

SHENWAN HONGYUAN SECURITIES (H.K.) LIMITED

Personal Information Collection Statement concerning Northbound China Connect Orders

You acknowledge and agree that when Shenwan Hongyuan Securities (H.K.) Limited (“Broker”) provides service for trading China Connect securities, Broker will be required to:

- (i) tag each of your orders submitted to the China Stock Connect System (“CSC”) with a Broker-to-Client Assigned Number (“BCAN”) that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and
- (ii) provide to the Stock Exchange of the Hong Kong Limited (“Exchange”) your assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to you as the Exchange may request from time to time under the Rules of the Exchange.

You acknowledge and agree that Broker may collect, store, use, disclose and transfer personal data relating to you as required as part of our China Connect securities trading service, including as follows:

- (a) to disclose and transfer your BCAN and CID to the Exchange and the relevant Exchange’s subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect order into the CSC, which will be further routed to the relevant China Connect market operator on a real-time basis;
- (b) to allow each of the Exchange and the relevant Exchange’s subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEx) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect market operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect market operator, the Exchange and the relevant Exchange’s subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the mainland financial markets; and
- (d) to allow the relevant China Connect market operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect market through the use of the China Connect service and enforcement of the rules of the relevant China Connect market operator; and (ii) disclose such information to the mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the mainland financial markets.

By instructing us in respect of any transaction relating to China Connect securities, you acknowledge and agree that broker may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with China Connect securities trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

Consequences of failing to provide Personal Data or Consent

Failure to provide us with your personal data or consent as described above may mean that Broker will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our China Connect securities trading service.

Acknowledgement and Consent

I/We acknowledge I/we have read and understand the content of above Personal Information Collection Statement. I/we signify my/our consent for Broker to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

I/We agree to the use by Broker of my/our personal data for the purposes set out in the above Personal Information Collection Statement.

Client's Signature

Client Name: _____

Account Number: _____

Date: _____