



SDG Securities (HK) Limited (CE Number: BMB958) 山金證券(香港)有限公司(中央編號: BMB958)

Personal Information Collection Statement Concerning China Connect Trading Orders 有關中華通買賣盤的個人資料收集聲明

| Client Information 客戶資料 | |
|-------------------------|---------------------|
| Account Name 帳戶名稱 | Account Number 帳戶號碼 |

(“Client”) (“客戶”)

Processing of Personal Data as part of the China Connect Securities Services 中華通股票投資服務的個人資料處理

I/We acknowledge and agree that in SDG Securities (HK) Limited (“SDGS”), its service providers (collectively as “you”) providing Stock Connect Securities Services (“Services”) to me/us, SDGS will be required to: 本人 / 吾等確認和同意山金證券(香港)有限公司(「山金證券」)、其服務供應商(統稱「你們」)為本人 / 吾等提供中華通股票投資服務(「本服務」)。山金證券需要:

1. tag each of my/our orders submitted to the trading system with a Broker-to-Client Assigned Number (“BCAN”) that is unique to me or the BCAN that is assigned to our joint account with SDGS, as appropriate; and 為本人 / 吾等每個提交予交易系統的指令附加一個專為本人而設的券商客戶編碼或山金證券為吾等聯名帳戶所分配的券商客戶編碼(如適用); 及
2. provide to the Stock Exchange of Hong Kong (“SEHK”) my/our assigned BCAN and such identification information of me/us (“Client Identification Data” or “CID”), including my/our name(s) in English and Chinese (if applicable and available), Identity Document (“ID”) issuing country, ID type and ID number relating to me/us, as SEHK may request from time to time under the Rules of the Exchange. 向香港聯合交易所(「香港聯交所」)提供本人 / 吾等獲分配的券商客戶編碼及本人 / 吾等的身份資料(「客戶身份資料」)。包括本人 / 吾等的中英文姓名(如適用及如有)、簽發身份文件的國家、身份文件種類及本人 / 吾等的身份文件號碼。因為香港聯交所可能不時根據交易所規則提出要求。

Without limitation to any notification you have given me or consent you have obtained from me/us in respect of the processing of my/our personal data in connection with my/our account and your services to me/us, I/we acknowledge and agree that you may collect, store, use, disclose and transfer personal data relating to me/us as required as part of your Services, including as follows: 在不受山金證券就本人 / 吾等帳戶或所提供服務的個人資料處理情況而向本人 / 吾等發出的通知或從本人 / 吾等取得的同意之限制下, 本人 / 吾等確認及同意山金證券可以根據服務的要求收集、儲存、使用、披露及轉移本人 / 吾等的個人資料, 包括以下:

1. to disclose and transfer my/our BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating my/our BCAN when inputting a China Connect order into the trading system, which will be further routed to the relevant China Connect Market Operator on a real-time basis; 不時向交易所和相關的香港聯交所附屬公司披露及轉移本人 / 吾等的券商客戶編碼和客戶身份資料, 包括在向交易系統輸入中華通買賣盤時顯示本人 / 吾等的券商客戶編碼, 而該系統將實時進一步轉往相關的中華通市場營運者;
2. to allow each of SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store my/our 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 Hong Kong Exchanges and Clearing Limited) 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 3 and 4 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; 容許香港聯交所及相關的香港聯交所附屬公司: (i)收集、儲存及使用本人 / 吾等的券商客戶編碼、客戶身份資料和任何相關的中華通結算所提供的整合、核實及配對之券商客戶編碼及客戶身份資料(在儲存的情況下, 則由任何一方或經由香港交易及結算有限公司), 以作市場監督及監察和執行交易所規則之用; (ii)基於以下 3 項及 4 項所列之用途, 不時向相關的中華通市場營運者轉移該等資料(直接或透過相關的中華通結算所); 及(iii)向香港的相關監管部門和執法機構披露該等資料, 以便當局履行與香港金融市場有關的法定職能;
3. to allow the relevant China Connect Clearing House to: (i) collect, use and store my/our 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 SEHK and the relevant SEHK Subsidiary; (ii) use my/our 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 容許相關的中華通結算所: (i)收集、儲存及使用本人 / 吾等的券商客戶編碼和客戶身份資料, 以便整合和核實券商客戶編碼及客戶身份資料, 以及根據其投資者身份數據庫配對券商客戶編碼和客戶身份資料, 並向相關的中華通市場營運者、香港聯交所及相關的香港聯交所附屬公司提供該等整合、核實和配對的券商客戶編碼及客戶身份資料; (ii)使用本人 / 吾等的券商客戶編碼及客戶身份資料, 以履行證券帳戶管理的監管職能; 及(iii)向就該等資料擁有司法管轄權的內地監管部門和執法機構披露相關資料, 以便當局履行與內地金融市場有關的監管、監督和執法職能; 及



4. to allow the relevant China Connect Market Operator to: (i) collect, use and store my/our BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the Services 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. 容許相關的中華通市場營運者：(i)收集、使用及儲存本人 / 吾等的券商客戶編碼和客戶身份資料，以監督及監察透過使用本服務於相關中華通市場進行的證券交易，以及執行相關中華通市場營運者的規則；及(ii)向內地監管部門和執法機構披露相關資料，以便當局履行與內地金融市場有關的監管、監督和執法職能。

By instructing SDGS in respect of any transaction relating to China Connect order, I/we acknowledge and agree that you may use my/our personal data for the purposes of complying with the requirements of SEHK and its rules as in force from time to time in connection with the Services. I/We also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes in connection with the Services, whether before or after such purported withdrawal of consent. 當本人 / 吾等向山金證券發出與中華通買賣盤有關的交易指示，即代表本人 / 吾等確認及同意你們可以使用閣下的個人資料，以遵守香港聯交所的要求及其不時生效、與本服務相關的規則。另外，本人 / 吾等亦確認即使日後聲稱撤銷同意聲明，本人 / 吾等的個人資料可能繼續被儲存、使用、披露、轉移及以其他方式處理，以作上述與本服務相關的用途，不論在本人 / 吾等撤銷同意聲明之前或之後。

Consequences of failing to provide Personal Data or Consent 未能提供個人資料或同意聲明的後果

Failure to provide SDGS with my/our personal data or consent as described above may mean that SDGS will not, or no longer be able, as the case may be, to carry out my/our trading instructions or provide me/us with Services. 本人 / 吾等如未能如上述向山金證券提供個人資料或同意聲明，山金證券將不能或無法繼續（視乎情況而定）執行本人 / 吾等的交易指示或向本人 / 吾等提供服務。

| Client Acknowledgement and Consent 客戶確認及同意 | |
|--|---|
| I/We acknowledge that I/we have read and understand the content of this Personal Information Collection Statement. By ticking the box below, I/we signify my/our consent for SDGS and its service providers (including its execution broker) to use my personal data on the terms of and for the purposes set out in this Personal Information Collection Statement. 本人 / 吾等確認已經閱讀及了解本個人資料收集聲明的內容。勾選以下方格後，即代表本人 / 吾等同意山金證券及其服務供應商（包括其交易經紀）根據本個人資料收集聲明所列之條款及目的使用本人 / 吾等之個人資料。 | |
| <input type="checkbox"/> I/We agree to the use of my/our personal data by SDGS and its service providers (including its execution broker) for the purposes set out in this Personal Information Collection Statement. 本人 / 吾等同意山金證券及其服務供應商（包括其交易經紀）根據本個人資料收集聲明所列之目的使用本人 / 吾等之個人資料。 | |
| Signed by Client 客戶簽署 | Name 姓名 |
| | Date (dd/mm/yyyy) 日期 (日 / 月 / 年) |

| For Internal Use Only 內部專用 | |
|--|---|
| Approval 審批 | |
| Checked by Licensed Person 持牌人檢查 Date: 日期 : | Data Inputted by Settlement Officer 結算主任輸入資料 Date: 日期 : |
| Inputted Data Checked by Settlement Officer 結算主任檢查已輸入資料 Date: 日期 : | Approved by Responsible Officer 負責人員審批 Date: 日期 : |
| Approved by Chief Operating Officer 營運總監審批 Date: 日期 : | |