

## **Personal Information Collection Statement**

### **Processing of Personal Data as part of the China Connect Northbound Trading**

You acknowledge and agree that in providing our China Connect Northbound trading service to you, we will be required to:

(i) tag each of your orders submitted to the CSC with a Broker-to-Client Assigned Number ("**BCAN**") that is unique to you; and

(ii) provide to the SEHK your assigned BCAN and such identification information ("**Client Identification Data**" or "**CID**") relating to you or any other person in the joint account (if appropriate) as the SEHK may request from time to time under the Rules of the Exchange.

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your accounts and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you or any other person in the joint account (if appropriate) as required as part of our China Connect Northbound trading service, including as follows:

(a) to disclose and transfer your BCAN and CID to the SEHK and the relevant SEHK 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 SEHK and the relevant SEHK 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 SEHK) 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 SEHK and the relevant SEHK 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 China 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 China 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 China regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland China financial markets.

By instructing us in respect of any transaction in any accounts relating to China Connect Securities, you acknowledge and agree that we may use the relevant personal data for the purposes of complying with the requirements of the SEHK and its rules as in force from time to time in connection with the China Connect Northbound trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you or any other person(s), the relevant 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. In the event of a joint account, you confirm and represent that you have obtained the authorization from each joint account holder(s) to consent to the processing of personal data under the same terms as set out herein.

### **Consequences of failing to provide Personal Data or Consent**

Failure to provide us with the personal data or consent as described above may mean that we 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 Northbound trading service.

***Acknowledgement and Consent***

*I acknowledge I have read and understand the content of the Personal Information Collection Statement of BOCI Securities Limited. By ticking the box below, I signify my consent for BOCI Securities Limited to use the personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.*

*I agree to BOCI Securities Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement. I also represent that I am in the capacity and being duly authorized by other joint account holder(s) (if applicable) to agree to BOCI Securities Limited's use of the personal data for the purposes set out in the Personal Information Collection Statement.*

<i>Signed by:</i>	
<i>Name of individual:</i>	
<i>Account Number:</i>	
<i>Date:</i>	

<b>For Official Use Only</b>	
<b>Signature Verified</b>	<b>Checked By</b>
Y/N	

## Explanatory Notes

1. Saved as otherwise defined below, all capitalized terms herein shall have the same meaning as defined in the China Connect Supplemental Terms issued by BOCIS Securities Limited.

“China Connect Clearing House” has the same meaning as defined in the CCASS Rules (as defined in the Rules of the Exchange).

“China Connect Market Operator” means an exchange that operates a China Connect Market and that has entered into Trading Links (as defined in the Rules of the Exchange) with the SEHK, whose name is included in the list of China Connect Market Operators from time to time, as referred to in Rule 1409(1)(d) of the Rules of the Exchange.

“China Connect Order” means an order input into the CSC via a China Connect Open Gateway (as defined in the Rules of the Exchange) or via a China Connect Central Gateway (as defined in the Rules of the Exchange) session of a China Connect Exchange Participant (as defined in the Rules of the Exchange) for routing to a China Connect Market System to buy or sell China Connect Securities (including an order to sell Special China Connect Securities (as defined in the Rules of the Exchange)), and the terms “China Connect buy order” and “China Connect sell order” shall be construed accordingly.

“Rules of the Exchange” means the Rules and Regulations of the SEHK and the Options Trading Rules (as defined in the Rules of the Exchange) prescribed by the Directors of the SEHK as from time to time in effect.

2. BOCI Securities Limited and its group companies shall not be responsible or liable for any loss or damage, directly or indirectly, arising from the use of or reliance upon any information provided in this document.

3. In the event of any conflict between any provision of the English version of this Personal Information Collection Statement and the Chinese version, the English version shall prevail.