Personal Information Collection Statement concerning Northbound China Connect Orders

Processing of Personal Data

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we 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 if appropriate; and
(ii) provide to the Hong Kong Exchanges and Clearing Limited (the "**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.

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 account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows:

(a) to disclose and transfer your BCAN and CID to the Exchange and the relevant The Stock Exchange of Hong Kong Limited ("**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 Exchange 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 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 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 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 we 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 the Stock Connect Northbound 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 we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

Acknowledgement and Consent

I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement concerning Northbound China Connect Orders of UOB Kay Hian (Hong Kong) Limited. I/we signify my/our consent for UOB Kay Hian (Hong Kong) Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

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Client's Signature(s)/Authorized Signature(s) with Business Chop (if any)
For Joint account, all Account holders are required to sign for this instruction

Name of Client:

Client Account Number:

Date:

Submit the signed Personal Information Collection Statement either by:

- Reply to this email by attaching the scanned copy of the statement to eform-hk@uobkh.com

or

- Send the original statement by post to our office address:

  6/F Harcourt House, 39 Gloucester Road, Hong Kong (Attn.: Client Account Team).

滬深港通北向交易指令個人資料收集聲明

個人資料的處理

貴戶確認並同意我們在向貴戶提供滬深港通北向交易服務時，我們須：

(i) 為貴戶提交予中華證券通系統（「**CSC**」）的每個買賣盤中附加一個屬於貴戶而又唯一的券商客戶編碼(如為聯名賬戶，則該聯名賬戶將會獲分配一個券商客戶編碼)；以及

(ii) 香港交易及結算所有限公司（「**交易所**」）可能不時根據交易所規則的要求向交易所提供貴戶獲編派的券商客戶編碼及該等識別資料 （「**客戶識別信息**」）。

在不限於我們就處理關於貴戶的帳戶及為貴戶提供服務的個人資料，而向貴戶提供的任何通知或取得的同意下，貴戶確認並同意我們可能會作為我們滬深港通北向交易服務的一部分而須收集、儲存、使用、披露及轉移有關貴戶的個人資料，包括以下情況：

(a) 不時向交易所及其就滬深港通而成立的各子公司（「**聯交所子公司**」）披露及轉移貴戶的券商客戶編碼及客戶識別信息，包括向CSC輸入中華通買賣盤時標記貴戶的券商客戶編碼，該等買賣盤將再由交易所及聯交所子公司實時傳遞至相關中華通市場營運者；

(b) 同意交易所及聯交所子公司各自：（i）以市場監察及監控目的並為執行交易所規則而收集、使用及儲存貴戶的券商客戶編碼、客戶識別信息，以及由相關中華通結算所（就儲存而言，由彼等任何一方或通過交易所提供）提供之任何綜合、核實及配對的券商客戶編號及客戶識別信息；（ii）不時就下文（c）及（d）段所載之目的轉移該等信息予相關中華通市場營運者（直接或透過相關中華通結算所）；以及（iii）向香港相關監管機構及執法機構披露該等信息，以助彼等履行在香港金融市場的法定職能；

(c) 同意相關中華通結算所：（i）收集、使用及儲存貴戶的券商客戶編碼及客戶識別信息， 以便綜合及核實券商客戶編碼與客戶識別信息，並將券商客戶編碼及客戶識別信息與其投資者身份數據庫進行配對，並向相關中華通市場營運者、交易所及聯交所子公司提供此類合併、驗證及配對的券商客戶編碼及識別信息； （ii）使用貴戶的券商客戶編碼及客戶識別信息協助其履行證券賬戶管理的監管職能；以及（iii）向管轄其的內地監管機構及執法機構披露此等資料，以助彼等履行在內地金融市場的監管、監察及執法職能；以及

(d) 同意相關中華通市場營運者：（i）收集、使用及儲存貴戶貴戶的券商客戶編碼及客戶識別信息， 以助彼等透過使用中華通服務在相對中華通市場所進行的證券買賣進行監察及監控及執行相關中華通市場營運者規則；以及（ii）向內地監管機構及執法機構披露此等資料，以助彼等履行有關內地金融市場的監管、監察及執法職能。

與中華通證券有關的任何交易而向我們發出指示，貴戶確認並同意我們可能會使用貴戶的個人資料，以遵守交易所規定及其就滬深港通北向交易不時生效的規則。 貴戶亦確認，即使貴戶隨後表示撤回同意，無論是在表示撤回同意之前或之後，貴戶的個人資料仍可就上述目的而繼續被儲存、使用、披露、轉移及以其他方式處理。

未能提供個人資料或同意的後果

貴戶未能向我們提供上述的個人資料或同意，可能意味著我們將不會或不能（視情況而定）執行貴戶的交易指令或向貴戶提供我們的滬深港通北向交易服務。

確認及同意

本人/本公司確認本人/本公司已閱讀並理解大華繼顯(香港)有限公司的個人資料收集聲明的內容。本人/本公司同意大華繼顯(香港)有限公司根據個人資料收集聲明的條款及目的使用本人/本公司的個人資料。

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客戶簽署/公司授權人簽署及業務印章(如有)

客戶姓名：

戶口號碼 ：

日期：

提交簽署聲明的方法:

- 簽署聲明並將副本電郵至我們的客戶服務電郵 eform-hk@uobkh.com

或

- 簽署聲明並將正本郵寄至我們的辦公地址：

  香港灣仔告士打道 39 號夏慤大廈 6 樓（備注：客戶服務部）。