



To: OCBC Bank (Hong Kong) Limited
致: 華僑銀行 (香港) 有限公司

Acknowledgement and Consent

確認同意書

I/We acknowledge that I/We have read and understand the content of the Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) and OTC Securities Transactions Reporting Regime (OTCR) ("**Personal Information Collection Statement**"). I/We hereby give my consent and authorize OCBC Bank (Hong Kong) Limited ("**the Bank**") to use my/our personal data on the terms of and for the purposes as set out in this Personal Information Collection Statement.

I/We acknowledge that I/we shall inform and report to the Bank any change(s) or update(s) in my/our personal information/data in a timely manner. I/We also acknowledge and understand that my/our failure to provide the Bank with my/our consent and/or up-to-date information in relation to my/our personal information/data may mean that the Bank will not, or will no longer be able to, as the case may be, carry out my/our trading instructions and/or provide me/us with any securities-related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

本人(等)確認本人(等)已閱讀和明白「香港投資者識別碼制度」及「場外證券交易匯報制度」個人資料收集聲明(「個人資料收集聲明」)的內容。本人(等)同意並授權華僑銀行(香港)有限公司(「貴行」)根據個人資料收集聲明中的條款和目的使用本人(等)之個人資料。

本人(等)確認如本人(等)的個人資料有所變更或更新,本人(等)會盡快將任何變更或更新通知貴行。本人(等)亦確認和明白如本人(等)未能向銀行提供有關本人(等)個人資料的同意和/或更新本人(等)的個人資料,貴行不會或不能夠再(視情況而定)執行本人(等)的交易指示或向本人(等)提供證券相關服務,惟出售、轉出或提取本人(等)現有的證券持倉(如有)除外。

Signed by 客戶簽署#:

日期 Date: _____

Name of Customer Account:

客戶帳戶姓名:

Account No. 帳戶號碼*:

For joint account, please sign by all account holders of the printed Account Number 如屬聯名戶口, 請上述帳戶號碼的所有帳戶持有人共同簽署

* Please take note that the above consent is only applicable to the above-mentioned transaction account 請注意, 上述同意書僅適用於上述帳戶

銀行專用 For Bank User Only

Input by:

Date:

Checked by:

Date:



Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR)
and OTC Securities Transactions Reporting Regime (OTCR)
("Personal Information Collection Statement")

Use of Personal Data under the HKIDR and OTCR

You hereby acknowledge and agree that we OCBC Bank (Hong Kong) Limited ("the Bank") may collect, store, process, use, disclose and transfer personal data relating to you (including your Client Identification Data ("CID") and Broker-to-Client Assigned Number(s) ("BCAN(s)") as required for the Bank to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong ("SEHK") and for complying with the rules and requirements of SEHK and the Securities and Futures Commission ("SFC") in effect from time to time. Without limiting the foregoing, this includes –

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time.
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight;
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements; and
- (d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that I have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

You also agree that despite any subsequent purported withdrawal of consent by yourself/yourselfs, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

Consequences of failing to provide Personal Data or Consent

Failure to provide the Bank with your personal data or consent as described above may mean that the Bank will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

Notes: Pursuant to the 'Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission', (i) "BCAN" means a "Broker-to-Client Assigned Number", being a unique identification code in the format prescribed by the SEHK, generated by a licensed or registered person in accordance with the requirements of the SEHK; and (ii) "CID" means the information in relation to a client to whom a BCAN is assigned, including (a) the full name of the client as shown in the client's identity document, (b) the issuing country or jurisdiction of the identity document, (c) the identity document type, and (d) the identity document number.

[^] Should there be any discrepancy between the English and the Chinese versions of this Consent Form, the English version shall apply and prevail.



「香港投資者識別碼制度」及「場外證券交易匯報制度」個人資料收集聲明 (“個人資料收集聲明”)

香港投資者識別碼制度及場外證券交易匯報制度下的個人資料使用

閣下特此確認知悉及同意華僑銀行（香港）有限公司（「銀行」）為向閣下提供與在香港聯合交易所（「聯交所」）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（「證監會」）的規則和規定，銀行可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；
- (c) 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料；及
- (d) 向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

閣下亦同意，即使閣下其後宣稱撤回同意，銀行在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

未能提供個人資料或同意的後果

閣下亦同意，如閣下未能向銀行提供個人資料或上述同意，可能意味著銀行不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

備註：根據《證券及期貨事務監察委員會持牌人或註冊人操守準則》，(i) “券商客戶編碼”是指一個符合聯交所訂明的格式及由持牌人或註冊人按照聯交所的規定產生的唯一識別碼；及(ii) “客戶識別信息”是指與獲編配券商客戶編碼的客戶有關的資料，包括(a)客戶的身分證明文件上所示的全名；(b)身分證明文件的簽發國家或司法管轄區；(c)身分證明文件類別；及(d)身分證明文件號碼。

^本函的英文本與中文本之間如有任何歧異，一概以英文本為準。