

Confirmation Regarding Investor Identification Regime for Northbound Trading
北向交易投資者識別碼制度確認書

For Client Wishing to Use Shanghai-HK and
Shenzhen-HK Stock Connect Services
供有意使用滬港及深港股票市場交易互聯互通機制服務的客戶填寫

To: SinoPac Securities (Asia) Limited
致：永豐金證券(亞洲)有限公司

I/We have read, understood and agreed with the following notice to me/us from you regarding Investor Identification Regime for Northbound Trading:

本人/吾等已閱讀，明白及同意以下由貴公司給予本人/吾等之北向交易投資者識別碼制度通知：

Dear Valued Client,
尊敬的客戶：

The Securities and Futures Commission of Hong Kong has introduced an investor identification regime for Northbound trading under Mainland-Hong Kong Stock Connect (“Investor Identification Regime”), which has already been implemented in the third quarter of 2018. 香港證券及期貨事務監察委員會已提出內地與香港股票市場交易互聯互通機制下的北向交易投資者識別碼制度（「投資者識別碼制度」），並已在 2018 年第三季實施。

We, as a China Connect Exchange Participant, are required by the Stock Exchange of Hong Kong Limited (the “Exchange” or “HKEX”) under the Investor Identification Regime to:

本公司作為中華通交易所參與者於投資者識別碼制度下將按香港聯合交易所有限公司（「香港交易所」）要求：

- (i) tag each of your orders submitted to the China Stock Connect System 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 須在遞交客戶每個北向買賣盤予買賣盤訂單傳遞系統時附加券商客戶編碼（「券商客戶編碼」），而該等券商客戶編碼應是唯一編配予客戶/客戶之每一聯名證券賬戶（如適用）；及
- (ii) provide to 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. 香港交易所可不時根據《交易所規則》要求本公司呈交每位客戶的券商客戶編碼及相對應的個人身份信息（「客戶識別信息」）。

Please note that:
客戶請注意：

A. Applicable to Individual and Joint Account
個人及聯名帳戶適用

Under the Investor Identification Regime, in order to comply with the requirements of the Exchange and its rules as in force from time to time, we may use the personal data relating to or provided by you when providing our Shanghai-HK and Shenzhen-HK Stock Connect Services to you, including:

在投資者識別碼制度下，為遵守不時生效的香港交易所及其規則的要求，本公司在向客戶提供滬港及深港股票市場交易互聯互通機制服務時，可能使用與客戶有關或由客戶提供的個人資料，包括：

- (a) to disclose and transfer your BCAN and CID to HKEX and the relevant subsidiaries of HKEX (“HKEX Subsidiaries”) from time to time, including by indicating your BCAN when inputting a China Connect Order into the China Stock Connect System, which will be further routed to the relevant China Connect Market Operator on a real-time basis; 不時向香港交易所及香港交易所子公司披露和轉移客戶的券商客戶編碼及客戶識別信息，包括在輸入北向買賣盤予買賣盤訂單傳遞系統時註明券商客戶編碼，並進一步實時發送到相關內地交易所；
- (b) to allow each of HKEX and the relevant HKEX 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 the 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; 同意香港交易所及香港交易所子公司：(i) 收集、使用及儲存客戶的券商客戶編碼、客戶識別信息及其他由中國結算綜合、核實及與其本身的投資者身份數據庫進行配對後的券商客戶編碼與客戶識別信息（關於儲存，可經由相關中國結算或香港交易所），並將此類信息與其本身的投資者身份數據庫進行配對，用作市場監控和監察目的及執行《交易所規則》；(ii) 不時向內地交易所（直接或透過中國結算）轉移此等資料用作以下(c)及(d)的目的；(iii) 向在香港的相關監管機構及執法機關披露此等資料，以助他們履行有關香港證券市場的監控、監察及執法職能；
- (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, HKEX and the relevant HKEX 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

同意中國結算：(i) 收集、使用及儲存客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，並將此類信息與其本身的投資者身份數據庫進行配對，以將此類經綜合、核實及配對後的券商客戶編碼與客戶識別信息提供給內地交易所、香港交易所和香港交易所子公司；(ii) 使用客戶的券商客戶編碼與客戶識別信息來協助其履行證券賬戶管理的監管職能；及(iii) 向管轄中國結算的內地監管機構及執法機關披露此等資料，以助他們履行有關中國證券市場的監控、監察及執法職能；

- (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.

同意內地交易所：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以助其就滬股通及深股通下在內地交易所進行的證券交易進行監管與監察及執行內地交易所規則；及(ii) 向內地的監管機構及執法機關披露此等資料，以助他們履行有關內地證券市場的監管、監察及執法職能。

We will use and transfer your personal data in accordance with our Notice to Customers Relating to the Personal Data (Privacy) Ordinance as contained in our Terms & Conditions, terms of which have been agreed by you upon account opening. 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 HKEX and its rules as in force from time to time in connection with Mainland-Hong Kong Stock Connect. You also acknowledge that despite any subsequent purported withdrawal of consent by customer, the 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.

本公司將按客戶於開戶時已同意之《給予客戶關於〈個人資料(私隱)條例〉的客戶通知》(載於本公司的《條款及條件》內)使用及傳輸客戶的個人資料。如客戶就任何有關滬港及深港股票市場交易互聯互通證券的交易向本公司發出指示，即表示客戶確認並同意，本公司可能會將客戶的個人資料用於遵守香港交易所的要求及其規則中關於內地與香港股票市場交易互聯互通機制的不時有效的規定。客戶也了解，儘管客戶隨後可表示撤回同意，但客戶的個人資料可繼續被儲存、使用、披露、轉讓及以其他方式處理，以用於上述目的，無論是在此類聲稱的撤回同意之前還是之後。

B. Applicable to Corporate Account
機構帳戶適用

For corporate client, the CID provided to the Exchange shall include the following items:
就機構客戶而言，向香港交易所提供的客戶識別信息將包含以下資訊：

- (i) The entity's name as shown on the certificate of incorporation or Legal Entity Identifier ("LEI");
於成立證書或全球法人機構識別編碼(「LEI」)上所載之機構名稱；
- (ii) Place of incorporation;
成立之地點；及
- (iii) Certificate number or LEI.
證書編號或 LEI。

Please note that for each client which is an asset management company managing multiple funds or discretionary accounts through us, a single BCAN will be by default assigned by us at asset management company level. Should you wish to have BCAN assigned at a fund/underlying client level, you will need to provide the CID to us on each fund and also trade at fund level.

請注意，每個客戶如屬管理若干基金或全權委託帳戶的資產管理公司，本公司將預設為其於資產管理公司層面附加一個券商客戶編碼。如客戶希望於每個基金/底層客戶層面附加券商客戶編碼，客戶須就每一個基金向本公司提供客戶識別信息，而客戶亦須以基金層面進行交易。

Regards,
SinoPac Securities (Asia) Limited
此致
永豐金證券(亞洲)有限公司

Signature
客戶簽署：

Name of Client(s) Date
客戶姓名：_____ 日期：_____
Account No.
帳戶號碼：_____

If there is any discrepancy between the English and Chinese versions, the English version shall prevail.
如中、英文版本有不同詮釋，概以英文版本為準。