

## Personal Information Collection Statement concerning China Stock Connect Northbound Orders (“this Statement”)

(Not applicable to Mainland investors)

### Processing of Personal Data as part of the Northbound Securities Trading Services under the China Stock Connect

You acknowledge and agree that in providing our Northbound Securities Trading Services under the China Stock Connect to you, China Merchants Securities (HK) Co., Limited (“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, as appropriate; and
- (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.

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 Northbound Securities Trading Services under the China Stock Connect, including as follows:

- (a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK subsidiaries from time to time, including by indicating your BCAN when inputting a China Stock Connect transaction into the CSC, which will be further routed to the relevant China Stock 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 Stock 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 Stock Connect market operator (directly or through the relevant China Stock 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 Stock 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 Stock 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 Stock 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 Stock Connect market through the use of the China Stock Connect service

and enforcement of the rules of the relevant China Stock 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 Stock 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 Northbound Securities Trading Services under the China Stock Connect. 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 Northbound Securities Trading Services under the China Stock Connect.

This Statement is supplemental to the Securities Account Agreement (or as amended from time to time) entered into between you and China Merchants Securities (HK) Co., Limited (“SAA”). Should there be any discrepancies between this Statement and the SAA, this Statement shall prevail.

### **Acknowledgement and Consent**

I acknowledge I have read and understand the content of this Statement of China Merchants Securities (HK) Co., Limited. By ticking the box below, I signify my consent for China Merchants Securities (HK) Co., Limited to use my personal data on the terms of and for the purposes set out in this Statement.

- I agree to China Merchants Securities (HK) Co., Limited’s use of my personal data for the purposes set out in this Statement.

Signed by:

\_\_\_\_\_  
Name of individual:

Date:

**Internal Use only**

Completed by Business Unit

Client Account No.:

Joint Name account: Yes  Consent provided by Joint Name individual client

No

Name of licensed person: \_\_\_\_\_ (C.E. No. \_\_\_\_\_ )

Verified by: \_\_\_\_\_

Name of staff:

Business Operations Department – Account Management Team

Date: