

To : **Corporate Brokers Limited** (CENo.ACC806)

21/F Bupa Centre, 141-143 Connaught Road West, Sai Ying Pun, Hong Kong.

Client Name : _____ Client A/C No. : _____

**CONSENT LETTER ON NORTHBOUND CHINA STOCK CONNECT ORDERS (INVESTOR IDENTIFICATION MODEL) And
THE PERSONAL DATA INFORMATION COLLECTION STATEMENT**

Processing of Personal Data as part of the Stock Connect Northbound Trading

I / We acknowledge and agree that in providing **Corporate Brokers Limited's ("CBL")** Stock Connect Northbound Trading Services to me / us, **CBL** will be required to:

1. Tag each of my orders submitted to the China Stock Connect ("CSC") with **Broker-to-Client Assigned Number ("BCAN")** that is unique to me (for single account) / tag each of our orders submitted to the China Stock Connect ("CSC") with **Broker-to-Client Assigned Number ("BCAN")** that is unique to us or the BCAN that is assigned to our joint account with **CBL**, as appropriate (for joint account); and
2. Provide to the Stock Exchange of Hong Kong Limited (the "Exchange") my / our assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to me / us as the Exchange may request from time to time under the Rules of Exchange.

Without limitation to any notification **CBL** have given me / us or consent **CBL** have obtained from me / us in respect of the processing of my / our personal data in connection with my / our account and **CBL's** services to me / us, I / we acknowledge and agree that **CBL** may collect, store, use, disclose and transfer personal data relating to me / us as required as part of **CBL's** Stock Connect Northbound Trading Service, including as follows:

- A. To disclose and transfer my / our BCAN and CID to the Exchange and the relevant Subsidiaries from time to time, including by indicating my / our 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 my / our 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 purpose 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 China Connect Clearing House to:
 - I. collect, use and store my / our BCAN, 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 my / our 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 the 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 my / our 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 **CBL** in respect of any transaction relating to China Connect Securities, I / we acknowledge and agree that **CBL** may use my / our 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. I / we also acknowledge that despite any subsequent purported withdrawal of consent by me / us, my / our 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 **CBL** with my / our personal data or consent as described above may mean that **CBL** will not, or no longer be able, as the case may be, to carry out my / our trading instructions or provide me / us with **CBL's** Stock Northbound Trading Service.

Acknowledge and Consent

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

I/We agree to **CBL's** use of my / our personal data for the purposes set out in the Personal Information Collection Statement.

I/We acknowledge and agree with CBL's term and condition for trading Northbound China Stock Connect securities and related risk. Any updates of the terms and conditions (if applicable) can be obtained at CBL's website at www.cblhk.com.

Signed by : _____

Date : _____