

Consent Letter for Personal Information Collection under Hong Kong Investor Identification Regime (“HKIDR”) and Over-the-counter Securities Transactions Reporting Regime (“OTCR”)

有關香港投資者識別碼制度及場外證券交易匯報制度的個人資料收集同意書

I/We acknowledge and agree that Plutus Securities Limited (“PLUTUS”) may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for PLUTUS to provide services to me/us 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 –

本人／吾等明白並同意，貝德斯證券有限公司(「貝德斯證券」)為了向本人／吾等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，貝德斯證券可收集、儲存、處理、使用、披露及轉移與本人／吾等有關的個人資料(包括本人／吾等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) disclosing and transferring my/our 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;

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本人／吾等的個人資料(包括客戶識別信息及券商客戶編碼)；

- (b) allowing SEHK to: (i) collect, store, process and use my/our 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; and

允許聯交所：(i)收集、儲存、處理及使用本人／吾等的個人資料(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；及

- (c) allowing the SFC to: (i) collect, store, process and use my/our 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;

允許證監會：(i)收集、儲存、處理及使用本人／吾等的個人資料（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。

I/We also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人／吾等亦同意，即使本人／吾等其後宣稱撤回同意，貝德斯證券在本人／吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人／吾等的個人資料以作上述用途。

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

本人／吾等如未能向貝德斯證券提供個人資料或上述同意，可能意味著貝德斯證券不會或不能夠再（視情況而定）執行本人／吾等的交易指示或向本人／吾等提供證券相關服務，惟出售、轉出或提取本人／吾等現有的證券持倉（如有）除外。

Note: The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會 持牌人或註冊人操守準則》第 5.6 段所界定的含義。

According to the rules and requirements of SEHK and the SFC, the waterfall of identity document type under HKIDR and OTCR are collected in the order of priority:

根據聯交所與證監會的規則和規定，有關在香港投資者識別碼制度及場外證券交易匯報制度下的身分證明文件類別按以下優先次序：

For individual:

就個人客戶而言：

- (1) HKID card; (2) National Identification Document; (3) Passport
- (1) 香港身份證；(2) 國民身分證明文件；(3) 護照

For corporation:

就公司客戶而言:

(1) Legal Entity Identifier (“LEI”) Registration Document; (2) Certificate of Incorporation; (3) Certificate of Business Registration; (4) other equivalent Identity Document

(1) 法律實體識別編碼 (legal entity identifier, 簡稱“LEI ”); (2) 公司註冊證明書; (3) 商業登記證;
(4) 其他同等文件

Y I/We confirm there is no change to my/our identity document and it is accurate and is in accordance with the above waterfall requirement.

Y 本人/吾等確認本人/吾等的身份證明文件沒有更改、準確無誤以及符合上述排序要求。

Y I/We would like to update my/our identity document (**please provide relevant copy of identification document**) as below:

Y 本人/吾等欲更新本人/吾等的身份證明文件 (**請提供相關身份證明文件副本**) 如下:

Individual Client 個人客戶	
(1) HKID card 香港身份證	HKID card No.: 香港身份證號碼:
(2) National Identification Document 國民身份證明文件	National Identification Document No.: 國民身份證號碼:
	Place of Issue of National identification document: 國民身份證發出地:
(3) Passport 護照	Passport No.: 護照號碼:
	Place of issue of Passport: 護照發出地:

Corporate Client 公司客戶	
(1) LEI Registration Document 法律實體識別編碼	Legal Entity Identifier No.: 法律實體識別編碼號碼:
(2) Certificate of Incorporation 公司註冊證明書	Certificate of Incorporation No.: 公司註冊證明書號碼:
	Place of Issue of Certificate of Incorporation: 公司註冊證明書發出地:
(3) Certificate of Business Registration 商業登記證	Certificate of Business Registration: 商業登記證號碼:
(4) Other Identity Document (Please specify) 其他同等文件(請列明):	Identity Document No. and Place of Issue: 文件號碼及發出地:

Client Confirmation 客戶確認
<p>I/We hereby acknowledge that I/we have read and understood the above terms of Personal Information Collection under Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime and confirm my/our acceptance of the same.</p> <p>本人/吾等特此承認，本人/吾等已經閱讀和理解了上述有關香港投資者識別碼制度及場外證券交易匯報制度的個人資料收集同意書的條款，並且特此確認本人/吾等已經接受了該等條款。</p> <p>I/We hereby undertake that if there are any updates of my/our identity documents according to the waterfall or any updates on the previously provided identity documents, I/We will notify PLUTUS immediately and provide a copy of the updated identity documents.</p> <p>本人/吾等承諾，若本人/吾等根據優先次序有更新的身分證明文件，或已提供的身分證明文件有任何更新，本人/吾等將會立即通知貝德斯證券，並提供本人/吾等更新的身分證明文件副本。</p>

Client's Signature(s) 客戶簽署	Client's name 客戶姓名	
	Account number 戶口號碼	
	Date 日期	

<i>Internal use</i> 內部專用			
S.V. 核對簽署		Date of Data input 資料輸入日期	