

Client Consent Form

客戶同意書

To: Mason Securities Limited

致: 茂宸證券有限公司

Updated Personal Information Collection Statement in relation to the Hong Kong Investor Identification Regime (HKIDR) and the Over-The-Counter Securities Transactions Reporting Regime (OTCR)

有關香港投資者識別碼制度 (HKIDR) 及場外證券交易匯報制度 (OTCR) 的經更新的個人資料收集聲明

I/We acknowledge and agree that Mason Securities Limited may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID¹ and BCAN²(s)) as required for Mason Securities Limited to provide services to me/us in relation to securities listed or traded on The Stock Exchange of Hong Kong Limited (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，茂宸證券有限公司為了向本人／吾等提供與在香港聯合交易所有限公司（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，茂宸證券有限公司可收集、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; 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；
- (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; and 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；及
- (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 my/our CID and transfer my/our CID to the issuer's share registrar to enable HKSCC and/or the issuer's share registrar to verify that I/we have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store my/our CID and transfer my/our 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 my/our application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus. 向香港中央結算有限公司(香港結算)提供券商客戶編碼，允許香港結算 (i) 從聯交所取得允許向香港結算披露及轉移本人／吾等的客戶識別信息、處理及儲存本人／吾等的客戶識別信息，及向發行人的股份過戶登記處轉移本人／吾等的客戶識別信息以便香港結算及／或發行人的股份過戶登記處核實本人／吾等未就相關股份認購進行重複申請，並且便利首次公開招股抽籤及首次公開招股結算程序及 (ii) 處理及儲存本人／吾等的客戶識別信息，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本人／吾等的客戶識別信息，以處理本人／吾等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。

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，茂宸證券有限公司在本人/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 Mason Securities Limited with my/our consent as described in this Form may mean that Mason Securities Limited 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).

如本人/吾等未能向茂宸證券有限公司提供本同意書所述的同意，茂宸證券有限公司不會或不能夠再（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（出售、轉出或提取本人/吾等現有的證券持倉（如有）除外）。

Note 備註: (1) The terms "BCAN" and "CID" used in this Form 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.

本同意書所述的“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。

(2) In case of discrepancy between the English version and Chinese version of this Form, the English version shall prevail.

如本同意書的中英文版本有歧義，概以英文版本為準。

I/We have acknowledged, read and understood the contents of the updated Personal Information Collection Statement in relation to the HKIDR and the OTCR provided by Mason Securities Limited. I/We hereby provide my/our consent for Mason Securities Limited to use my/our personal data on the terms of and for the purposes set out in the updated Personal Information Collection Statement. I/We also confirmed that there are no changes to my/our identification data (CID) previously provided.

本人/吾等已確認、細閱並理解茂宸證券有限公司提供的有關香港投資者識別碼制度及場外證券交易匯報制度的經更新的個人資料收集聲明的內容。本人/吾等特此表示同意茂宸證券有限公司根據經更新的個人資料收集聲明的條款及目的使用本人/吾等的個人資料。本人/吾等同時確認我/吾等之前提供的識別信息（CID）沒有更改。

ⁱ CID means client identification data including client's name, identity document type and number and identity document issuing country or jurisdiction. CID 指客戶識別信息，包括客戶的姓名、身份證件類型和編號、及身份證件簽發國家或司法管轄區。

ⁱⁱ BCAN means Broker-to-Client Assigned Number. BCAN 指券商客戶編碼。

Account Name: 帳戶名稱:	Account Number: 帳戶號碼:
Client Signature(s): 客戶簽署: <div style="text-align: center;">S.V.</div> <small>(Please use the same signature filed with our Company) (客戶簽名式樣必須與本公司記錄相同)</small>	Date: 日期:

For Official Use Only			
Sign	Input By	Checked By	CM
Name			
Date			