

**Personal Information Collection Statement**  
**concerning Northbound Trading of China Connect Securities**

Unless otherwise defined below, terms defined in the Cash Account Terms and Conditions and the Stock Connect Supplement to Cash Account Terms & Conditions shall have the same meaning in this Personal Information Collection Statement concerning Northbound Trading orders (“**Personal Information Collection Statement**”). In the event of any difference in interpretation or meaning between the English version and Chinese version of this Personal Information Collection Statement, the English version shall prevail.

**Processing of Personal Data as part of the Northbound Trading**

You acknowledge and agree that in providing our service of Northbound Trading of China Connect Securities through Stock Connect to you, we will be required to:

- (i) tag each of your orders submitted to the 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 service of Northbound Trading of China Connect Securities through 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 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 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 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;
- (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, 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 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.

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 the Exchange and its rules as in force from time to time in connection with the service of Northbound Trading of China Connect Securities through 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 service of Northbound Trading.

**Acknowledgement and Consent**

I acknowledge I have read and understand the content of this Personal Information Collection Statement concerning Northbound Trading of China Connect Securities. By ticking the box below, I signify my consent or objection for Haitong International Securities Group Limited and its subsidiaries (together, "HTISG" or "you") to use my personal data on the terms of and for the purposes set out in this Personal Information Collection Statement.

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

I **object** to HTISG's use of my personal data for the purposes set out in the Personal Information Collection Statement and acknowledge that HTISG will not or no longer be able to carry out my trading instructions or provide me with your service of Northbound Trading of China Connect Securities through Stock Connect. Furthermore, I confirm that:

I **have not** given any similar consent to any other broker or bank or financial institution for their use of my personal data for the purposes set out in the Personal Information Collection Statement.

I **have** given consent to other broker or bank or financial institutions for their use of my personal data for the purposes set out in the Personal Information Collection Statement and the reason/explanation of objecting HTISG's use of my personal data for the purposes set out in the Personal Information Collection Statement is/being \_\_\_\_\_.  
Should I fail to provide any reason/explanation or if the abovementioned reason/explanation is not deemed reasonably satisfactory by you, HTISG shall have the right to insist for my consent before placing any further China Connect orders for me.

*Client's Name:* \_\_\_\_\_

*Client's Signature:* \_\_\_\_\_

*Account Number:* \_\_\_\_\_

*Date:* \_\_\_\_\_