

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

[A 股通股票買賣服務]中個人資料之處理

You acknowledge and agree that in Founder Securities (Hong Kong) Limited providing [Stock Connect Northbound Trading Service] to you, we will be required to:

您(們)確認並同意在方正證券(香港)有限公司(以下稱“本行”) 向您(們)提供[A 股通股票買賣服務]時，本行須：

- (i) tag each of your orders submitted to the CSC with [a Broker-to-Client Assigned Number ("BCAN") that is unique to you]¹ ; and
把您(們)遞交至中華證券通系統的每項訂單以[您(們)獨有的遞交券商客戶編碼]標記；
及
- (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.
向交易所提供分配予您(們)的遞交券商客戶編碼以及根據交易所規則，交易所可不時要求與您(們)相關的該等識別信息(“客戶識別信息”)。

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 [Stock Connect Northbound Trading Service], including as follows:

就處理與您(們)帳戶及本行提供予您(們)的服務相關之您(們)的個人資料事宜，在本行給予您(們)的任何通知或本行從您(們)獲取之同意不受限制的情況下，您(們)確認並同意，本行可以就[A 股通股票買賣服務]之要求收集、儲存、使用、披露及傳輸下述與您(們)有關的個人資料：

- (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;
不時向交易所及相關的香港交易所附屬公司披露及傳輸您(們)的遞交券商客戶編碼及客戶識別信息，包括在向中華證券通系統輸入中華通訂單時標明您(們)的遞交券商客戶編碼，而該遞交券商客戶編碼會被即時傳送給相關的中華通市場營運商；
- (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

¹ For clients having a joint account, Founder Securities (Hong Kong) Limited may replace the language in brackets with the following: “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”.

如客戶持聯名戶口，方正證券(香港)有限公司 可以“您(們)獨有的遞交券商客戶編碼或分配給您(們)的聯名戶口之遞交券商客戶編碼”代替括號中的字眼。

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;

容許交易所及每所相關的香港交易所附屬公司 (i) 為市場監控及監察之目的及執行交易所規則而收集、使用及儲存您(們)的遞交券商客戶編碼、客戶識別信息及任何經相關中華通結算所整合、驗證及配對的遞交券商客戶編碼和客戶識別信息；(ii) 為下述(c)及(d)項目的，直接地或透過相關中華通結算所向相關的中華通市場營運商傳輸該等資料；(iii) 向香港的相關監管機構和執法機構披露該等資料，以便其履行對香港金融市場的法定職能；

- (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

容許相關中華通結算所 (i) 收集、使用及儲存您(們)的遞交券商客戶編碼及客戶識別信息以便遞交券商客戶編碼及客戶識別信息的整合和驗證及該等資料與投資者識別數據庫的配對，及向相關的中華通市場營運商、交易所及相關的香港交易所附屬公司提供該等經整合、驗證及配對的遞交券商客戶編碼和客戶識別信息；(ii) 使用您(們)的遞交券商客戶編碼和客戶識別信息以履行其對證券賬戶管理的監管職能；及 (iii) 向有管轄權的內地監管機構及執法機構披露該等資料，以便其履行對內地金融市場的監管、監察及執法職能；及

- (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.

容許相關的中華通市場營運商 (i) 收集、使用及儲存您(們)的遞交券商客戶編碼及客戶識別信息以便其監控及監察透過使用中華通服務在有關中華通市場進行的證券交易及執行相關中華通市場營運商的規則；及 (ii) 向內地監管機構及執法機構披露該等資料，以便其履行對內地金融市場的監管、監察及執法職能。

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 [Stock Connect Northbound Trading]. 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.

通過就與中華通證券有關的任何交易向本行發出指示，您(們)確認並同意本行可能會使用您(們)的個人資料，以遵守交易所針對[A股通股票買賣服務]不時有效的要求及規則。您(們)亦確認，儘管後來您(們)指稱有任何同意的撤回，不論是在指稱撤回同意之前還是之後，您(們)的個人資料可為上述目的而繼續被儲存、使用、披露、傳輸及以其他方式處理。

Consequences of failing to provide Personal Data or Consent **未能提供個人資料或同意的後果**

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 [Stock Connect Northbound Trading Service].

若您(們)未能向本行提供您(們)的個人資料或上述所指的同意，這可能意味著本行不會或不能再(視屬何情況而定)執行您(們)的交易指示或向您(們)提供[A股通股票買賣服務]。

Acknowledgement and Consent **確認及同意**

☐ I acknowledge I have read and understand the content of the Personal Information Collection Statement of Founder Securities (Hong Kong) Limited. By ticking the box below, I signify my consent for Founder Securities (Hong Kong) Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人確認已閱讀並理解方正證券(香港)有限公司收集個人資料聲明的內容。通過勾選下面的空格，本人表示同意方正證券(香港)有限公司根據收集個人資料聲明項下的條款及目的使用本人的個人資料。

☐ I agree to Statement of Founder Securities (Hong Kong) Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement.

本人同意方正證券(香港)有限公司根據收集個人資料聲明項下的目的使用本人的個人資料。

Signed by 署名:

Account Name 帳戶名稱:

Account Number 帳戶號碼:

Date 日期: