

Consent Form 同意書

Updated Personal Information Statement concerning Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime 有關香港投資者識別碼制度及場外證券交易匯報制度的更新個人資料聲明

With the launch of investor identification regime at trading level for the securities market in Hong Kong and the introduction of over-the-counter securities transactions reporting regime for shares listed on the Stock Exchange of Hong Kong ("SEHK"), client consent for the collection and handling of personal data and updated client identification data are required to collect from you to fulfil the requirements.

因應在交易層面上對香港證券市場實施投資者識別碼制度及在香港聯合交易所("聯交所") 上市的股份引入場外證券交易匯報制度，須向客戶就收集及處理客戶的個人資料及收集最新的客戶識別信息取得客戶的明示同意以符合要求。

Client Consent 客戶同意

I/We acknowledge and agree that Guoyuan Securities Brokerage (Hong Kong) Limited ("GYSB") may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID¹ and BCAN(s)²) as required for GYSB to provide services to me/us in relation to securities listed or traded on 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，國元證券經紀(香港)有限公司("國元證券經紀")為了向本人/吾等提供與在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香港證券及期貨事務監察委員會("證監會")的規則和規定，國元證券經紀可收集、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(s) 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 understand that failure to provide GYSB with my/our personal data or consent as described above may mean that GYSB will not, or will no longer be able to carry out my/our trading instructions or provide me/us with securities related services (other than, where applicable under the relevant laws, rules and regulations. to sell, transfer out or withdraw my/our existing holdings of securities, if any).

本人/吾等明白如未能向國元證券經紀提供個人資料或上述同意，可能意味著國元證券經紀不會或不能夠再（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（如相關法律、法規、規則許可下）出售、轉出或提取本人/吾等現有的證券持倉（如有）除外。

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，國元證券經紀在本人/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。

Updated Personal/Identification Information 更新個人識別信息

Priority of type of identity documents for different category of clients are set out as below :

證監會要求身分證明文件類別的優先次序如下：

- (a) Individual clients: (1) HKID card; (2) National identification document; (3) Passport
就個人客戶而言：(1) 香港身份證；(2) 國民身分證明文件；(3) 護照。
- (b) Corporate clients: (1) Legal Entity Identifier (“LEI”) registration document; (2) Certificate of incorporation; (3) Business registration certificate; (4) other relevant documents.
就公司客戶而言：(1) 法律實體識別編碼 (“LEI”) 登記文件；(2) 公司註冊證明書；(3) 商業登記證；(4) 其他同等文件。
- (c) Trust account clients: For individual trustee: (1) HKID card; (2) National identification document; (3) Passport
For corporate trustee: (1) Legal Entity Identifier (“LEI”) registration document; (2) Certificate of incorporation; (3) Business registration certificate; (4) other relevant documents.
就屬信託的客戶而言：就受託人屬個人而言：(1) 香港身份證；(2) 國民身分證明文件；(3) 護照
就受託人屬公司而言：(1) 法律實體識別編碼 (“LEI”) 登記文件；(2) 公司註冊證明書；(3) 商業登記證；(4) 其他同等文件。
- (d) Joint account clients: For each individual: (1) HKID card; (2) National identification document; (3) Passport.
就聯名帳戶的客戶而言：就聯名帳戶內的每個個人而言：(1) 香港身份證；(2) 國民身分證明文件；(3) 護照。

Please be noted that identification information must be provided in accordance with the above mentioned specified priority. Client must promptly notify GYSB of any changes or updates of the identity documents and provide GYSB with a certified true copy of the updated identity documents according to the relevant waterfall requirement.

請注意，客戶必須嚴格根據上述身分證明文件類別的優先次序提供相關之客戶識別信息。如客戶身份證明文件資料有任何更改或更新，須立即通知國元證券經紀，並根據相關優先次序要求提供最新的身份證明文件的核證副本。

Note 備註：

1. “BCAN” means a “Broker-to-Client Assigned Number”, being a unique identification code in the format prescribed by SEHK, generated by a relevant licensed or registered person in accordance with SEHK’s requirements.
“券商客戶編碼”指一個符合聯交所訂明的格式及由相關持牌人或註冊人按照聯交所的規定產生的唯一識別碼。
2. “CID” means the client identification data as described in paragraph 5.6(n) of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.
“客戶識別信息”指《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(n)段所述的客戶識別信息。

Acknowledgement and Consent 確認及同意

I/We acknowledge that I/we have read and understood the above content and hereby signify my/our consent to GYSB on the terms of and for the purposes set out in this document; and I/We hereby further undertake to promptly notify GYSB of any changes or updates of my/our identity documents according to the waterfall and provide with a certified true copy of the updated identity documents.

本人/吾等確認已閱讀並理解上述內容。本人/吾等同意國元證券經紀可以根據本同意函中的條款及目的而行事；並在此承諾，根據提供身分證明文件類別的優先次序，如有任何更改或更新，會及時通知國元證券經紀並提供最新的身份證明文件的核證副本。

S.V.

Signature(s) of Client/ Authorized Person & Company Chop (If applicable)

客戶/或授權代表簽署及公司印章(如適用):

Client Name 客戶姓名： _____

Account No. 帳戶號碼： _____

Date 日期： _____