

致：越秀證券有限公司

香港灣仔港灣道 30 號新鴻基中心 49 樓 17-37 室
 電話：(852) 3925 9928 傳真：(852) 3583 1689
 電郵：info@yxsh.hk

客戶資料使用聲明 - 客戶同意書

第一部分：處理個人資料作為於香港聯合交易所交易的一部分

閣下明白並同意，越秀證券有限公司（以下稱為「越秀證券」）為了向閣下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、通過 FINI (Fast Interface for New Issuance) 平台向香港中央結算有限公司（「香港結算」）提交閣下的首次公開招股申請，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，越秀證券可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括閣下的客戶識別信息及券商客戶編碼¹）。在不限制以上的內容的前提下，當中包括：

- (a) 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閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（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) 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（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) 向香港結算提供券商客戶編碼以允許香港結算：(i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及 (ii) 處理及儲存閣下的客戶識別信息，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閣下的客戶識別信息，以便處理閣下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。

閣下亦同意，即使閣下其後宣稱撤回同意，越秀證券在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

未能提供客戶同意書或個人資料所須承擔的後果

閣下如未能向越秀證券提供個人資料或上述同意，可能意味著越秀證券不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

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。

第二部分：處理個人資料作為中華通北向交易的一部分（如適用）

閣下知悉及同意越秀證券在通過中華通北向交易服務過程中，越秀證券將被要求進行以下工作：

對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼（適用於客戶持有單一帳戶）或分配給客戶的聯名帳戶的券商客戶編碼（適用於客戶持有聯名帳戶）；及向聯交所提供已經編配給客戶的券商客戶編碼及相關客戶識別信息，聯交所可根據交易所規則而不時提出要求。

在處理與閣下帳戶相關的個人資料以及向閣下提供服務時，在不限制越秀證券已經向閣下作出的通知和已經取得的閣下的同意情況下，作為中華通北向交易服務的一部分，閣下知悉並同意越秀證券可能會收集、存儲、使用、披露並傳輸閣下的個人資料，包括以下內容：

- (a) 不時向聯交所及相關聯交所子公司披露及傳輸閣下的券商客戶編碼及客戶識別信息，包括向中華通交易系統輸入委託指令時標明閣下的券商客戶編碼，並將進一步即時傳遞至相關中華通市場運營者；
- (b) 允許聯交所及相關聯交所子公司：(i) 收集、使用以及存儲閣下的券商客戶編碼、客戶識別信息以及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證和配對的該等信息（資料由中華通結算機構或交易所保存）；(ii) 為符合下文 (c) 及 (d) 規定的目的，不時將有關資料（直接或通過相關中華通結算機構）轉移給中華通市場運營者；(iii) 向香港的相關監管機構和執法機構披露有關資料，以促進其香港金融市場法定職能的履行；
- (c) 允許相關中華通結算機構：(i) 收集、使用以及存儲閣下的券商客戶編碼和客戶識別信息，以促進該等信息的整合和驗證，以及與投資者資料庫的配對，並將相應整合、驗證和配對的資料提供給相關中華通市場運營者、交易所、聯交所及相關聯交所子公司；(ii) 使用閣下的券商客戶編碼和客戶識別信息來履行其證券帳戶管理的監管職能；(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以促進其內地金融市場的監管、監察及執法職能的履行；
- (d) 允許相關中華通市場運營者：(i) 收集、使用以及存儲閣下的券商客戶編碼和客戶識別信息，通過使用中華通服務及執行相關中華通市場營運商的規則，以促進其中華通市場的證券交易的監測監控；(ii) 向內地監管機構和執法機構披露有關資料，以協助履行其對金融市場的監管、監察及執法職能。

通過向越秀證券發出關於中華通證券交易的指示，閣下知悉並同意，為符合與中華通北向交易相關而不時更新的交易所要求和規則，越秀證券可以使用閣下的個人資料。閣下亦知悉，儘管閣下隨後聲稱撤回同意，但無論在閣下聲稱撤銷同意之前或之後，閣下的個人資料仍可被繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。

未能提供客戶同意書或個人資料所須承擔的後果

未能向越秀證券提供閣下的個人資料或作出上述同意，意味著根據具體情況越秀證券將不會或不能執行閣下的交易指令或向閣下提供中華通北向交易服務。

第三部分：請提供最新的客戶識別信息和附上相關身份證件副本（只適用於個人客戶）
(聯名戶口需額外填寫一份表格)

請依照下列身分證明文件的優先排序依次填寫以下資料，如不適用，請填上"N/A"。在開戶過程中，請根據證監會要求的優先次序，提供有關類別的身份證明文件的核證副本。

客戶帳戶號碼	
身份證件上的英文姓名	
身份證件上的中文姓名	
其他在身份證件上的姓名（如果不是英文或中文）	
第一優先：香港身份證	香港身份證號碼：
第二優先：國民身分證文件	國民身分證號碼： 國民身分證頒發國家/地區： 身份證件到期日：
第三優先：護照	護照號碼： 護照頒發國家/地區： 護照到期日：
第四優先：其他同等文件 請註明：_____	證件號碼： 頒發國家/地區： 證件到期日：

第三部分：請提供最新的客戶識別信息和附上相關身份證件副本（只適用於實體/公司/機構/信託客戶）

在香港投資者識別碼制度下，持牌法團及註冊機構（統稱「相關受規管中介人」⁺²）必須確保為其已經或擬就在聯交所的交易系統上市或買賣的證券發出自動對盤交易指令或須根據聯交所規則向其匯報的非自動對盤交易指令的相關客戶編配唯一的識別碼（即券商客戶編碼）及相應的客戶類別。每單自動對盤交易指令或向聯交所匯報的非自動對盤交易指令均須包含相應的券商客戶編碼及客戶類別。

根據聯交所與證監會的規則和規定，在香港投資者識別碼制度及場外證券交易匯報制度下，越秀證券需要向客戶收集最新的客戶識別信息，以呈交至聯交所及證監會。根據證監會的要求，提交客戶身分證明文件類別的優先次序為：(a) 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；(b) 就屬信託客戶而言：受託人的客戶識別信息的優先次序應與公司或個人客戶的客戶識別信息要求相同；然而，若信託是一個投資基金，則應提交在越秀證券開戶的資產管理公司或個別基金的客戶識別信息。

為遵守香港投資者識別碼制度及場外證券交易匯報制度的要求，請閣下提供及確認以下資料：（ 請在適當方格內填上「√」號）

1. 閣下是否為相關受規管中介人

<input type="checkbox"/> 是	確認屬於「 相關受規管中介人 」，且閣下同意及確認，在香港投資者識別碼制度實施後： (1) 閣下須在發送到越秀證券的交易指令中附上貴公司已預先分派的券商客戶編碼； (2) 閣下將有責任直接發送券商客戶編碼及客戶識別信息的配對檔案（“配對檔案”）予聯交所並保持配對檔案為最新； (3) 閣下將保證提供予越秀證券的券商客戶編碼的準確性及有效性； (4) 當閣下意識到附加的券商客戶編碼有誤，閣下有責任盡快通知越秀證券，以供越秀證券及時歸檔錯誤報告並提供予聯交所； (5) 僅代表閣下已同意在香港投資者識別碼制度下提供客戶識別信息的客戶發出買入交易指令。
<input type="checkbox"/> 否	確認屬於「 非相關受規管中介人 」，且閣下同意及確認，在香港投資者識別碼制度實施後： (1) 越秀證券將為閣下的證券賬戶編派唯一券商客戶編碼，並在閣下下達的每個向聯交所發出的交易指令中附上該編碼； (2) 越秀證券將向聯交所提供分派給閣下的券商客戶編碼及相關客戶識別信息。

2. 根據香港投資者識別碼制度的檔案接口規格的客戶類別⁺³定義，請選擇以下適合的客戶類別：

<input type="checkbox"/> 基金 (如：互惠基金、集體投資計劃)	<input type="checkbox"/> 法人實體 - 基金經理 (如：資產管理公司)
<input type="checkbox"/> 自營業務	<input type="checkbox"/> 法人實體 - 其他 (如：公司、組織)

3. 請依照下列身份證明文件的優先排序依次填寫以下資料，如不適用，請填上"N/A"。在開戶過程中，請根據證監會要求的優先次序，提供有關類別的身份證明文件的核證副本。

公司客戶 (如適用)	
客戶帳戶號碼	
身份證件上的英文姓名	
身份證件上的中文姓名	
其他在身份證件上的姓名 (如果不是英文或中文)	
第一優先：法律實體識別編碼	法律實體識別編碼：
第二優先：公司註冊證明書	公司註冊證明書號碼： 註冊地點：
第三優先：商業登記證	商業登記證號碼： 商業登記證頒發國家/地區：
第四優先：其他同等文件 請註明：_____	證件號碼： 頒發國家/地區：

第三部分 (續)
信託客戶屬公司的受託人 (如適用)

客戶帳戶號碼	
身份證件上的英文姓名	
身份證件上的中文姓名	
其他在身份證件上的姓名 (如果不是英文或中文)	
第一優先：法律實體識別編碼	法律實體識別編碼：
第二優先：公司註冊證明書	公司註冊證明書號碼： 註冊地點：
第三優先：商業登記證	商業登記證號碼： 商業登記證頒發國家/地區：
第四優先：其他同等文件 請註明：_____	證件號碼： 頒發國家/地區：

或
信託客戶屬個人的受託人 (如適用)

客戶帳戶號碼	
身份證件上的英文姓名	
身份證件上的中文姓名	
其他在身份證件上的姓名 (如果不是英文或中文)	
第一優先：香港身份證	香港身份證號碼：
第二優先：國民身分證文件	國民身分證號碼： 國民身分證頒發國家/地區： 身份證件到期日：
第三優先：護照	護照號碼： 護照發頒發國家/地區： 護照到期日：
第四優先：其他同等文件 請註明：_____	證件號碼： 頒發國家/地區： 證件到期日：

第四部分：客戶確認及同意

本人/吾等確認已經閱讀並理解關於越秀證券客戶資料使用聲明的內容。通過勾選下面的方框，本人/吾等表示同意越秀證券：根據客戶資料使用聲明中的條款和目的使用本人/吾等的個人資料，本人/吾等特此聲明，上述提供之信息完整及正確，沒有提供任何虛假或誤導性信息或虛假陳述。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/吾等將會立即通知越秀證券，並提供本人/吾等更新的身分證明文件核證副本。

(請在適當方格內填上「√」號)

本人/吾等同意越秀證券將本人/吾等的個人資料用於“處理個人資料作為於香港聯合交易所交易的一部分”所載的目的。

本人/吾等同意越秀證券將本人/吾等的個人資料用於“處理個人資料作為中華通北向交易的一部分”所載的目的，並確認本人/吾等並非僅持有中國內地身份證明文件的中國公民及/或在中國內地註冊的法人及非法人組織。

客戶簽署及公司印章(如有)

(客戶簽署必須與本公司記錄之簽署樣式一致)



簽署人姓名： _____

日期 (dd/mm/yyyy)： _____

帳戶號碼： _____

帳戶名稱： _____

附註:

1. 本文所述的「客戶識別信息」及「券商客戶編碼」具有以下含義：

「客戶識別信息」指與獲編配券商客戶編碼的客戶有關的以下資料：(i) 身分證明文件上所示的全名；(ii) 身分證明文件的簽發國家或司法管轄區；身分證明文件類別；及 (iii) 身分證明文件號碼。

「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. 相關受規管中介人指在與(i)進行自營交易，或(ii)就透過為另一人開立和維持的帳戶發出的交易指令向該人提供證券經紀服務有關連的情況下，進行以下事項的持牌法團或註冊機構：提交（或安排提交）自動對盤交易指令以供執行/執行非自動對盤交易指令/或以交易所參與者身分根據聯交所規則就非自動對盤交易直接向聯交所作出匯報。

3. 客戶類別： 1=個人 2=聯名帳戶 3=基金 4=法人實體 - 基金經理 5=自營業務 6=法人實體 - 其他

To: Yue Xiu Securities Company Limited

Room 17-37, 49/F, Sun Hung Kai Centre, 30 Harbour Road, Wanchai, Hong Kong

Tel. No. : (852) 3925 9928 Fax No. : (852) 3583 1689

Email : info@yxsh.hk

Statement on the Use of Client Information – Client Consent Letter

Part 1: Processing of Personal Data as part of Trading on the Stock Exchange of Hong Kong

You acknowledge and agree that Yue Xiu Securities Company Limited (“YXS”) may collect, store, process, use, disclose and transfer personal data relating to you (including your Client Identification Data (“CID”) and Broker-to-Client Assigned Number (“BCAN(s)” ⁺¹)) as required for YXS to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (“SEHK”), submitting your IPO application to Hong Kong Securities Clearing Company Limited (“HKSCC”) via FINI (Fast Interface for New Issuance) platform, 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 –

- (a) disclosing and transferring your 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;
- (b) allowing SEHK to: (i) collect, store, process and use your 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;
- (c) allowing the SFC to: (i) collect, store, process, and use your 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
- (d) providing BCAN(s) to HKSCC allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer’s share registrar to enable HKSCC and/ or the issuer’s share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your 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 your application for the relevant share subscription or any other purpose set out in the IPO issuer’s prospectus.

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such a purported withdrawal of consent.

Consequences of failing to provide Personal Data or Consent

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

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.

Part 2: Processing of Personal Data as part of the Stock Connect Northbound Trading (If Applicable)

In view of the provision of Stock Connect Northbound Trading Services to you by YXS, you acknowledge and agree that YXS will be required to:

tag each of your orders submitted to the China Stock Connect (“CSC”) with a BCAN that is unique to you (for you having a single account) or to your joint account (for you having a joint account) with YXS, as appropriate; and provide to the SEHK your assigned BCAN and CID relating to you as the SEHK may request from time to time under the Rules of the Exchange.

Without limitation to any notification YXS has given to you or consent YXS has obtained from you in respect of the processing of your personal data in connection with your account and YXS’s services to you, you acknowledge and agree that YXS may collect, store, use, disclose and transfer personal data relating to you as required as part of YXS’s Stock Connect Northbound Trading Service, including as follows:

- (a) to disclose and transfer your BCAN(s) and CID to SEHK and the relevant SEHK subsidiaries from time to time, including by indicating your BCAN(s) 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 SEHK and the relevant SEHK subsidiaries to: (i) collect, use and store your BCAN(s), 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 the Exchange) 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(s) and CID to facilitate the consolidation and validation of such information and the mapping of the same 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, SEHK and the relevant SEHK subsidiaries; (ii) use your BCAN(s) 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(s) 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 YXS in respect of any transaction relating to China Connect Securities, you acknowledge and agree that YXS 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 a purported withdrawal of consent.

Consequences of failing to provide Personal Data or Consent

Failure to provide YXS with your personal data or consent as described above may mean that YXS will not, or will no longer be able, as the case may be, to carry out your trading instructions or provide you with YXS's Stock Connect Northbound Trading Service.

Part 3 : Please provide the latest client identification data and attach a copy of identity document (Applicable to individual clients only)

(A separate form is needed for joint accounts)

Please fill in the details of identity document according to the following order of priority and put "N/A" if not applicable. During the account opening process, please provide a certified true copy of your identity documents in accordance with the sequence requirement of the SFC.

Client Account No.	
Full Name in English on the identity document	
Full Name in Chinese on the identity document	
Full Name on the identity document (If not in English or Chinese)	
1 st priority: HKID Card	HKID Card No.:
2nd priority: National identification document	<p>National identification No.:</p> <p>National identification's issuing country / jurisdiction:</p> <p>National identification Expiry date:</p>
3 rd priority: Passport	<p>Passport No.:</p> <p>Passport's issuing country / jurisdiction:</p> <p>Passport Expiry date:</p>
4 th priority: Other equivalent identity document	<p>Identification No.:</p> <p>Issuing country / jurisdiction:</p> <p>Expiry date:</p>
Please specify: _____	

Part 3 : Please provide the latest client identification data and attach a copy of the identity document (Applicable to entity, corporate, institutional and trust clients only)

Under the Hong Kong Investor Identification Regime (“HKIDR”), relevant licensed corporations and registered institutions (collectively “Relevant Regulated Intermediaries” or “RRIs”²) would have to ensure a unique identification code i.e. BCAN(s) and respective client type have been assigned to each “Relevant Client” who has placed or proposes to place an on-exchange order or an off-exchange trade reportable to the SEHK per its rules, in securities listed or traded on the trading system of SEHK. The corresponding BCAN(s) and client type are also required to be included in the order information for each on-exchange order and in the reporting of off-exchange trades to SEHK.

Pursuant to the rules and regulations of SEHK and the SFC, under the HKIDR and Over-the-counter Securities Transaction Reporting Regime (“OTCR”), YXS is required to obtain the updated CID from you and submit it to SEHK and the SFC. According to the rules and requirements of SFC, the order of priority of identity document type to be collected is: (a) For a corporate client: (1) legal entity identifier (“LEI”) registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent identity documents; (b) For a client that is a trust: the CID of the trustee should be the same as that of a corporate or individual client (refer to the below table for details). However, if the trust is an investment fund, the CID of the asset management company or the individual fund opening account with YXS should be provided.

In order to comply with the requirements of the HKIDR and the OTCR, you are required to provide and confirm the relevant information by completing the following: (Please put a “√” in the appropriate box)

1. Whether you are a RRI or not

<input type="checkbox"/> Yes	Confirm that you are a RRI, and you agree and confirm that after the implementation of the HKIDR: 1. You must attach your company's pre-assigned BCAN(s) to the trading instructions sent to YXS; 2. You will be responsible for directly sending the BCAN-CID matching file ("matching file") to the SEHK and keeping the matching file up to date; 3. You will guarantee the accuracy and validity of the BCAN(s) provided to YXS; 4. When you realize that the attached BCAN(s) is incorrect, you are responsible for notifying YXS as soon as possible so that YXS can file the error report and provide it to the SEHK in a timely manner; 5. For buy orders placed on behalf of your clients, such clients have agreed to provide their CID under the HKIDR.
<input type="checkbox"/> No	Confirm that you are not a RRI, and you agree and confirm that after the implementation of the HKIDR: 1. YXS will assign a BCAN to your securities account, and attach the BCAN to each trading order issued by you to the SEHK; 2. YXS will provide the SEHK with the BCAN and CID assigned to you.

2. According to the definition of client type³, please select the appropriate category below:

<input type="checkbox"/> Funds (e.g. Mutual Funds, Collective Investment Schemes)	<input type="checkbox"/> Legal Entity – Fund Manager (e.g.: Asset Management Company)
<input type="checkbox"/> Proprietary Trading	<input type="checkbox"/> Legal Entity – Others (e.g. Corporation, Organization)

3. Please fill in details of identity document according to the following order of priority and put “N/A” if not applicable. During the account opening process, please provide a certified true copy of your identity documents in accordance with the sequence requirement of the SFC.

Corporate Client (if Applicable)	
Client Account No.	
Full Name in English on the identity document	
Full Name in Chinese on the identity document	
Full Name on the identity document (If not in English or Chinese)	
1 st priority: LEI registration document	LEI registration No.
2 nd priority: Certificate of Incorporation	Certificate of Incorporation No.: Place of Incorporation:
3 rd priority : Business Registration Certificate	Business Registration Certificate No.: Business Registration Certificate's issuing country / jurisdiction:
4 th priority : Other equivalent identity documents Please specify: _____	Identification No: Issuing country / jurisdiction:

Part 3 (continued)

<u>Trust Client of which Trustee is a Corporation (if Applicable)</u>	
Client Account No.	
Full Name in English on the identity document	
Full Name in Chinese on the identity document	
Full Name on the identity document (If not in English or Chinese)	
1 st priority: LEI registration document	LEI Registration No.:
2 nd priority: Certificate of Incorporation	Certificate of Incorporation No.: Place of Incorporation:
3 rd priority : Business Registration Certificate	Business Registration Certificate No.: Business Registration Certificate's issuing country / jurisdiction:
4 th priority : Other equivalent identity documents Please specify: _____	Identification No.: Issuing country / jurisdiction:

OR

<u>Trust Client of which Trustee is an Individual (if Applicable)</u>	
Client Account No.	
Full Name in English on the identity document	
Full Name in Chinese on the identity document	
Full Name on the identity document (If not in English or Chinese)	
1 st priority: HKID Card	HKID Card No.:
2nd priority: National identification document	National identification No.: National identification's issuing country / jurisdiction: National identification Expiry date:
3 rd priority: Passport	Passport No.: Passport's issuing country / jurisdiction: Passport Expiry date:
4 th priority: Other equivalent identity documents Please specify: _____	Identification No.: Issuing country / jurisdiction: Expiry date:

Part 4: Client's Acknowledgement and Consent

I/We acknowledge that I/we have read and understood the content of this document. By ticking the box below, I/we signify my/our consent:

for YXS to use my/our personal data pursuant to the terms of and for the purposes set out in this document. I/We hereby declare that the above information given is complete and accurate and that no false or misleading information or false statements have been given. I/We hereby undertake that if there are any updates to my/our identity documents according to the order of priority or any updates on the previously provided identity documents, I/we shall notify YXS immediately and provide a certified true copy of the updated identity documents.

(Please put a "✓" in the appropriate box)

- I/We agree to YXS's use of my/our personal data for the purposes set out in the "Processing of Personal Data as part of Trading on the Stock Exchange of Hong Kong" section.
- I/We agree to YXS's use of my/our personal data for the purposes set out in the "Processing of Personal Data as part of Stock Connect Northbound Trading" section and confirm that I/we are not mere Chinese citizens and holders of identity documents issued by Mainland China authorities or an incorporated association or unincorporated association registered in Mainland China.

Client's Signature and Company chop (if any):

(Client must sign in conformity with the specimen already registered with the Company)



Print Name of Signer: _____

Date (dd/mm/yyyy): _____

Account No: _____

Name of Account: _____

Remarks:

1. The terms "BCAN" and "CID" used here shall bear the below meanings:
 "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.
 "CID" means the following information in relation to a client to whom a BCAN is assigned: (i) full name as shown on its identity document; (ii) ID's issuing country or jurisdiction; (iii) ID type; and (iv) ID number.
2. A RRI is a licensed corporation or registered institution which: submits (or arranges to submit) for execution an on-exchange order/ carries out an off-exchange order/ reports an off-exchange trade directly as an exchange participant to SEHK according to its rules, in connection with: carrying out proprietary trading; or providing securities brokerage services for another person in respect of orders placed through an account opened and maintained for that person.
3. Client type: 1 = Individual; 2 = Joint Account; 3 = Funds; 4 = Legal Entity; Fund Managers; 5 = Proprietary Trading; 6 = Legal Entity - Others