



Notice of the arrangement to use of personal data under Investor ID model for Northbound trading under Stock Connect

Please be informed that the arrangement to use of personal data under Investor ID model for Northbound trading under Stock Connect is applicable to any transactions in relation to trading of A shares listed on Shanghai Stock Exchange ("SSE") ("A shares") via Northbound Trading of Shanghai-Hong Kong Stock Connect ("SH Northbound Trading") and listed on Shenzhen Stock Exchange ("SZSE") via Northbound Trading of Shenzhen-Hong Kong Stock Connect ("SZ Northbound Trading") through Nanyang Commercial Bank, Limited (the "Bank").

Processing of Personal Data as part of the SH Northbound Trading and SZ Northbound Trading in providing our SH Northbound Trading and SZ Northbound Trading Service to customers, the Bank will be required to:

- (a) tag each of customers' orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to customer or the BCAN that is assigned to customer's joint account with the Bank, as appropriate; and
- (b) provide to the Stock Exchange of Hong Kong Limited ("SEHK") the assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to customer as the SEHK may request from time to time under the Rules of the Exchange.

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

- (a) to disclose and transfer customer's BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating customer's 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 SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store customer's 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 customer's 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 SEHK and the relevant SEHK Subsidiary; (ii) use customer's 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 customer's 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 the Bank in respect of any transaction relating to China Connect Securities, customer acknowledge and agree that the Bank may use customer's personal data for the purposes of complying with the requirements of the SEHK and its rules as in force from time to time in connection with the SH Northbound Trading and SZ Northbound Trading. Customer also acknowledge that despite any subsequent purported withdrawal of consent by customer, the 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 the Bank with customer's personal data or consent as described above may mean that the Bank will not, or no longer be able, as the case may be, to carry out customer's trading instructions or provide customer with the Bank's SH Northbound Trading and SZ Northbound Trading Service.

Should there be any discrepancy between the English and Chinese versions of this document, the Chinese version shall prevail.