

Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR)

You acknowledge and agree that we, China Merchants Securities (HK) Co., Limited may collect, store, process, use, disclose and transfer personal data relating to you (including your **CID** and **BCAN(s)**) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (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 –

- (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; and
- (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. 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 purported withdrawal of consent. Failure to provide us with your personal data or consent as described above may mean that we 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.

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 securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

This Statement is supplemental to the Securities Account Agreement (or as amended from time to time) entered into between you and China Merchants Securities (HK) Co., Limited (“**SAA**”). Should there is any discrepancies between this Statement and the **SAA**, this Statement shall prevail. You may access and request a copy of the personal data held with China Merchants Securities (HK) Co., Limited and/or seek to rectify your personal data, by contacting our Customer Service Hotline at (852) 3189-6368.

Acknowledgement, Consent and Covenant

I/We acknowledge I/we have read and understand the content of this Statement of China Merchants Securities (HK) Co., Limited. By ticking the box below, I/we signify my/our consent for China Merchants Securities (HK) Co., Limited to use any of my/our personal data on the terms of and for the purposes set out in this Statement.

I/We agree to China Merchants Securities (HK) Co., Limited’s use of any of my/our personal data for the purposes set out in this Statement. We also acknowledge that all the necessary consents have been obtained from the relevant persons to process their personal data in relation to this Statement. We also covenant that we shall notify China Merchants Securities (HK) Co., Limited in writing if there is any material changes to this covenant or to the personal data that China Merchants Securities (HK) Co., Limited collects and/or processes under this Statement.

Signed by:

Name of Account Holder:

A/C Number:

Date: