



萬利豐證券有限公司

Malahon Securities Limited

(Exchange Participant of the Stock Exchange of Hong Kong Limited) (CE No. AAB291)

To: Malahon Securities Limited

Application for Trading in China Connect shares

With regards to the Trading in China Connect shares, I/we understand that regulators in Hong Kong and Mainland China may from time to time stipulate regulatory requirements for disclosure or securities market supervision, and pursuant to such requirements, you may be required to disclose the identity, account information (if applicable), personal data and other relevant information and materials relating to me/us, my transactions and your services (collectively "Customer Information") to such regulators.

I/We hereby agree as follows:

1. I/We acknowledge and agree that the Securities and Futures Commission ("SFC"), the Stock Exchange of Hong Kong Limited ("SEHK"), the China Securities Regulatory Commission, the Shanghai Exchange, the Shenzhen Exchange or any other Mainland China regulator may from time to time stipulate regulatory requirements for disclosure or securities market supervision, and pursuant to such requirements, you may be required to disclose the identity, account information (if applicable), personal data and other relevant information and materials relating to my/our transactions and your services (collectively, "Customer Information") to such regulators. Notwithstanding anything contained in the Terms and Conditions, I/we hereby authorize you to (1) comply with such disclosure requirements as you deemed appropriate; and (2) without prior notice to or consent from me/us, forward any of my/our Customer Information to any relevant regulatory bodies.
2. I/We also understand and acknowledge that under the new investor identification regime stipulated by the SFC and the SEHK:
 - (a) you are required to assign a unique number ("BCAN") to each of its Northbound trading clients under the China Connect;
 - (b) each BCAN should be mapped to client identification data ("CID") of the relevant client; and
 - (c) you are required to submit the BCAN-CID mappings of all our Northbound trading clients in one file ("BCAN-CID Mapping File") to the SEHK. The CID file will contain Customer Information of relevant clients.
3. Further, I/we acknowledge and agree that pursuant to the above requirements and when providing trading service under the China Connect ("China Connect Trading Service") to me/us, you will be required to:
 - (a) tag each of my/our orders submitted to the China Stock Connect System ("CSC") (as defined by the Rules of the Exchange) with a BCAN that is unique to me/us (or in case the relevant client account maintained with you is a joint account, a BCAN that is assigned to the joint account maintained with you as appropriate); and
 - (b) provide to the SEHK the BCAN assigned by you to me/us and such identification information (i.e. CID) relating to me/us as the SEHK may request from time to time under the Rules of the Exchange.

Without limiting any notification that you have given me/us or any consent that you have obtained from me/us in respect of the use or processing of my/our Customer Information, I/we acknowledge and agree that you may collect, store, use, disclose and transfer all such Customer Information as required as part of your China Connect Trading Service, including as follows:

- (a) to disclose and transfer my/our BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating my/our BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator (as defined in the Rules of the Exchange) on a real-time basis;
 - (b) to allow each of the SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store my/our BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (as defined in the Rules of the Exchange) (in the case of storage, by any of them or via SEHK) 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 my/our 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 my/our BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to any 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 my/our 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 any 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.
4. By instructing you in respect of any transactions relating to China Connect Securities, I/We acknowledge and agree that you may use my/our Customer Information 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 Northbound trading. I/We may withdraw my/our consent for the above purposes any time. I/We also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our Customer Information may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.
 5. I/We understand that in case of doubt, I/We may seek independent professional advice on the requirements of the investor identification regime as highlighted above and their implications.

Consequences of failing to provide Personal Data or Consent

6. Failure to provide you with any Customer Information or consent or withdrawing my/our prescribed consent subsequently as described above may mean that you will not, or no longer be able, as the case may be, to carry out my/our trading instructions or provide me/us with any Northbound trading services.

I/We have read and understood the above contents.

I/We acknowledge and accept the terms stated above.

I/We agree and hereby signify my consent for you to use my personal data/the Customer Information on the terms of and for purposes set out above.

In the event of any inconsistency or conflict arising in the interpretation of this Agreement, the English language version shall prevail.

Name:

A/C No.:

Date:

Application for Trading in China Connect shares 2018/07 Version

For office use			
Signature Verified	Approved	Inputted	Checked