

To: SPDB International Securities Limited (“SPDBI”)

致浦銀國際證券有限公司 (“浦銀國際”)

**Consent concerning Investor Identification Regime (HKIDR),  
Over-the-counter Securities Transactions Reporting Regime (OTCR) and  
Fast Interface for New Issuance (FINI)**

**關於香港投資者識別碼制度、場外證券交易匯報制度及首次公開招股結算平台的同意書**

Account Name:

賬戶名稱: \_\_\_\_\_

Account No.:

賬戶號碼: \_\_\_\_\_

**Provision of Personal Data to the Stock Exchange of Hong Kong (“SEHK”) and the Securities and Futures  
Commission (“SFC”)**

**向香港聯合交易所 (“聯交所”) 和證券及期貨事務監察委員會 (“證監會”) 提供個人資料**

You acknowledge and agree that SPDBI may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for SPDBI 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 –

閣下明白並同意，我們浦銀國際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，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，我們可收集、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）。在不限制以上的內容的前提下，當中包括：

- 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;  
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) 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;  
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；及

- 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.

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

- d) providing your CID and/or 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 your CID and/or BCAN(s) and transfer your CID and/or BCAN(s) 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 initial public offering ("IPO") balloting and IPO settlement; and (ii) process and store your CID and/or BCAN(s) and transfer your CID and/or BCAN(s) 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.

向香港中央結算有限公司（香港結算）提供客戶識別信息及/或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/或券商客戶編碼，及向發行人的股份過戶登記處轉移閣下的客戶識別信息及/或券商客戶編碼，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；及(ii)處理及儲存閣下的客戶識別信息及/或券商客戶編碼，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及/或券商客戶編碼，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。

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.

閣下亦同意，即使閣下其後宣稱撤回同意，我們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。

Failure to provide SPDBI with your personal data or consent as described above may mean that SPDBI 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).

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（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。

You also acknowledge and undertake to SPDBI that, CID and any other personal data provided by you are true and accurate and you shall promptly notify SPDBI of any changes or updates or errors related to such CID and any other personal data provided and shall promptly provide SPDBI with any updated or changed CID and other personal data. Further, you acknowledge, confirm and undertake to SPDBI to assist SPDBI with verification and maintenance of CID and any other personal data.

閣下承認並向我們承諾，客戶識別信息和閣下提供的任何其他個人資料是真實準確的，閣下將及時通知我們與此類客戶識別信息和任何其他個人資料相關的更改、更新或錯誤，並應及時向我們提供任何更新或更改的客戶識別信息和其他個人資料。此外，閣下承認、確認並向我們承諾將協助我們驗證和維護客戶識別信息和其他個人資料。

You understand and confirm that where SPDBI on your instructions provide services for the subscription or purchase of securities in a public offer in respect of a new listing on the SEHK, you may submit EIPO (as defined under Rules of Central Clearing and Settlement System established & operated by HKSCC) subscription on your behalf.

閣下理解並確認，如果我們按照閣下的指示在聯交所新上市的公開發售中認購或購買證券，我們可以以電子方式代表閣下認購（定義見由香港結算設立及運行的中央結算及交收系統規則）。

You also confirm that you have been explained by SPDBI's sales representative and/or by your independent legal advisor about the content of this consent letter and the implication of providing the consent hereof.

閣下亦確認，我們的銷售代表和/或閣下的獨立法律顧問已經向閣下解釋了本同意書的內容以及提供同意書的含義。

Note: The terms "BCAN" and "CID" used in this statement 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.

備註：本文所述的“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。

CID shall mean the following information in relation to a client to whom a BCAN is assigned:

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) the full name of the client as shown in the client's identity document,  
客戶的身分證明文件上所示的全名；
- (ii) the issuing country or jurisdiction of the identity document,  
身分證明文件的簽發國家或司法管轄區；
- (iii) the identity document type, and  
身分證明文件類別；及
- (iv) the identity document number.  
身分證明文件號碼。

CID of a client should be collected from the identity document which is first mentioned in the list below save that where the client does not hold such document, the next mentioned document should be used and so forth:

客戶的客戶識別信息應收集自以下清單首述的身分證明文件，除非客戶並無持有該文件，則應使用所提及的下一份文件，如此類推：

- (i) in the case of a natural person, his or her (1) HKID card; or (2) national identification document; or (3) passport;  
就自然人而言，他 / 她的(1)香港身份證；或(2)國民身分證明文件；或(3)護照；
- (ii) in the case of a corporation, its (1) legal entity identifier ("LEI") registration document; or (2) certificate of incorporation; or (3) certificate of business registration; or (4) other equivalent identity document; and;

- 就公司而言，它的(1)法律實體識別編碼 (legal entity identifier, 簡稱 LEI) 登記文件; 或(2)公司註冊證明書; 或(3)商業登記證; 或(4)其他同等文件; 及
- (iii) in the case of a trust, the trustee's information as in this paragraph (i) or (ii) (as the case may be). However in the case of a trust which is an investment fund, CID of the asset management company or the individual fund, as appropriate, that which has opened a trading account with the relevant licensed or registered person should be obtained.
- 就信託而言，上文第(i)或(ii) (視情況而定) 的受託人資料。然而，若信託是一個投資基金，則應收集在相關持牌人或註冊人開立交易帳戶的資產管理公司或個別基金 (視何者適用而定) 的客戶識別信息。

### Acknowledgement and Consent

#### 確認和同意

I/we understood and acknowledged the content stated above, and agree SPDBI to collect, store, process, use, disclose and transfer my/our personal data in accordance with the above regulatory rules and requirements.

本人或吾等已知悉及明白上述的內容，並同意浦銀國際根據上述的監管規則和規定，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。

Signature 簽署:

Name 姓名:

Date 日期:

本公司專用 For Office Use Only			
Signature Verified by 簽署核證人	Approved by 審批人	Input by 經辦人	Checked by 校對人
Name 姓名:	Name 姓名:	Name 姓名:	Name 姓名:
Date 日期:	Date 日期:	Date 日期:	Date 日期: