

**Client Consent on Collection, Storage, Use, Disclosure and Transfer of Personal Data for Provision of Trading and Settlement services in relation to Hong Kong Securities Transaction**

I/We acknowledge and agree that you, Soochow Securities International Brokerage Limited, may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for us to provide services to me/us 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 my/our 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. I/We 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 you with my/our personal data or consent as described above may mean that you will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us 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.

-----  
**Acknowledgement and Consent**

I/We, the undersigned, acknowledge I/we have read and understand the above content. By ticking the box below, I/we signify my/our consent for Soochow Securities International Brokerage Limited to use my/our personal data on the terms of and for the purposes set out in the above.

I/We agree to Soochow Securities International Brokerage Limited to use of my/our personal data on the terms of and for the purposes set out in the above.

Signed by: \_\_\_\_\_

Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

Date: \_\_\_\_\_