

**To:** CITIC Securities Brokerage (HK) Ltd (“CSBHK”)  
致: 中信证券经纪(香港)有限公司 (“中信证券经纪香港”)  
**From (Client Name):**  
自 (客户姓名): \_\_\_\_\_  
**Securities A/C No. :**  
证券账户号码: \_\_\_\_\_  
**Date:**  
日期: \_\_\_\_\_

**Client Consent Letter – in relation to the Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime and Fast Interface for New Issuance (“FINI”) a new platform to be implemented by Hong Kong Exchanges and Clearing Limited**  
客户同意书——关于香港投资者识别制度和场外证券交易汇报制度及香港交易及结算所有有限公司开发的崭新公开招股结算平台 (“FINI”)

Reference is made to the Consultation Conclusions Paper (“**Conclusions**”) on proposals to (i) implement an investor identification regime at trading level for the securities market in Hong Kong; and (ii) over-the-counter securities transactions reporting regime for shares listed on the Stock Exchange of Hong Kong on 10 August 2021 and other notifications from time to time, which may be implemented in 2022 and 2023 respectively, as stipulated by the Securities and Futures Commission of Hong Kong (“**SFC**”) and Hong Kong Exchange and Clearing Limited (“**HKEX**”) (collectively, the “**Investor Identification Regime and OTCR**”), and reference is made to the HKEX’s November 2020 FINI Concept Paper and July 2021 Conclusions Paper and other notifications from time to time to introduce new platform FINI, which may be implemented in 2022.

承于关于下述两项咨询的结论文件 (“**《结论》**”) (i) 就有关在交易层面上对香港证券市场实施投资者识别码制度的建议, 以及 (ii) 于 2021 年 8 月 10 日发布的为在香港联合交易所上市的股份引入场外证券交易汇报制度的建议, 和其他不时发出的通知, 香港证券及期货事务监察委员会 (“**证监会**”) 及香港交易及结算所有有限公司 (“**联交所**”) 将会分别于 2022 年和 2023 年进行实施相关规定 (“**投资者身份识别制度和场外证券交易汇报制度**”)。承于联交所于 2021 年 7 月刊发对 2020 年 11 月 FINI 框架咨询文件的咨询总结, 和不时关于引进新平台 FINI 的通知, FINI 将在 2022 年实施。

I hereby confirm to you, CITIC Securities Brokerage (HK) Limited, that I have given my consent in respect of the processing of my personal data in connection with my account(s) (the “**Accounts**”) and your services to me, including without limitation, those as provided in the Privacy Policy Statement available at <https://www.citics.com.hk/customer-service.php>.

本人在此向中信证券经纪(香港)有限公司确认, 本人已同意与本人账户 (“**账户**”) 相关以及贵公司向本人提供的服务相关的个人资料的处理, 包括但不限于与私隐政策声明中规定的个人资料的处理。该隐私政策声明已经刊登在 <https://www.citics.com.hk/customer-service.php>。

Without limiting to the foregoing, by signing this consent letter, I agree and acknowledge that you and/or your affiliates may assign Broker-Client Assigned Number (the “**BCAN**”) to me to provide services to me in relation to securities listed or traded on the HKEX and for complying with the rules and requirements of HKEX and/or SFC in effect from time to time (including but not limited to the Conclusions and the Code of Conduct for Persons Licensed by or Registered with the SFC (the “**Code of Conduct**”), and I further agree and consent expressly that you and/or your affiliates may collect, store, process, use, disclose and

transfer personal data relating to me (including my client identification data (the “CID”) and BCAN(s)) as required for CSBHK to provide services to me in relation to securities listed or traded on the HKEX and for complying with the rules and requirements of the HKEX and/or the SFC in effect from time to time (including but not limited to the Conclusions and the Code of Conduct), and to provide services for the subscription or purchase of securities in a public offer in respect of a new listing on the HKEX, including, without limitation, as follows:

在不限于上述规定的情况下，通过签署本同意书，本人同意并承认贵司和/或贵司的关联公司可将券商客户编码（“**券商客户编码**”）分配给本人，以向本人提供与在联交所上市或交易的证券有关的服务，并遵守联交所和/或证监会不时实施的要求（包括但不限于《结论》和《证券及期货事务监察委员会持牌人或注册人操守准则》（“**行为守则**”））。本人同意并明确同意贵司和/或贵司的关联公司可以收集、存储、处理、使用、披露和传输与本人有关的个人资料（包括本人的客户识别信息（“**客户识别信息**”）和券商客户编码）以便中信证券经纪香港向本人提供与在联交所上市或交易的证券有关的服务，并遵守联交所和/或证监会不时实施的要求（包括但不限于《结论》及《行为守则》），为提供与在联交所新上市的公开发售中认购或购买证券相关的服务，其中包括，但不限于以下内容：

- a) disclosing and transferring my personal data (including CID and BCAN(s)), directly or indirectly through another broker or other intermediaries you may use in relation to the services you provide to me (if any), to Hong Kong Securities Clearing Company Limited (the “**HKSCC**”), HKEX and/or the SFC in accordance with the rules and requirements of HKSCC, HKEX and the SFC in effect from time to time;

根据香港中央结算有限公司（“**结算所**”）、联交所及证监会不时实施的条例及要求，贵司向本人提供服务时，直接或间接地透过其他经纪人或其他中介人向结算所、联交所及证监会披露及传输本人的个人资料（包括客户识别信息及券商客户编码）；

- b) allowing HKEX to: (i) collect, store, process and use my personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of HKEX; 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

允许联交所：（i）收集、储存、处理及使用本人的个人资料（包括客户识别信息和券商客户编码），以便监察、监督市场及执行《联交所规则》；（ii）向香港相关监管机构和执法机构（包括但不限于证监会）披露及转移有关资料，以便他们就香港金融市场履行其法定职能；及（iii）以监察市场为目的而使用有关资料进行分析；

- c) allowing the SFC to: (i) collect, store, process and use my 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; and

允许证监会：（i）收集、储存、处理和使用本人的个人资料（包括客户识别信息和券商客户编码），以履行其法定职能，包括对香港金融业务的监控、监督和执法；（ii）根据适用法律或监管要求，向香港的相关监管机构和执法机构披露和传输此类信息；及

- d) providing BCAN to HKSCC allowing HKSCC to: (i) retrieve from HKEX (which is allowed to disclose and transfer to HKSCC), process and store my CID and transfer my CID 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 IPO balloting and IPO settlement; and (ii) process and store my CID and transfer my CID to the issuer, the issuer's share registrar, the SFC, HKEX and any other party involved in the IPO for the purposes of processing my application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

向结算所提供券商客户编码以便结算所：（i）从联交所（向结算所披露和转移是允许的）检索、处理和存储本人的客户识别信息并将本人的客户识别信息转移到发行人的股份过户登记处，以便结算所和/或发行人的股份过户登记处核实本人没有就相关股份认购提出任何重复申请，并据此促进上市股票抽签和结算；（ii）处理和储存本人的客户识别信息，并将本人的客户识别信息传送给发行人、发行人的股份过户登记处、证监会、联交所和参与首次公开募股的任何其他各方，以处理本人的股份认购申请或其他上市发行人的招股说明书中规定的目的。

I also acknowledge and agree that despite any subsequent purported withdrawal of consent by me, my personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人同时承认并同意，尽管本人随后撤回同意，但在本人声称撤回同意后，本人的个人资料可能会继续存储、处理、使用、披露或转移用于上述目的。

Failure to provide you with my 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 trading instructions or provide me with securities related services (other than to sell, transfer out or withdraw my existing holdings of securities, if any).

如本人未能如上所述向贵司提供本人的个人资料或同意可能意味着贵司将不会或不再能够（视情况而定）执行本人的交易指示或向本人提供证券相关服务（除了出售、转让或撤回本人现有的证券持有量（如果有））。

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

本人承认并向贵司承诺，客户识别信息和本人提供的任何其他个人资料是真实准确的，本人将及时通知贵司与此类客户识别信息和任何其他个人资料相关的更改、更新或错误，并应及时向贵司提供任何更新或更改的客户识别信息和其他个人资料。此外，本人承认、确认并向贵司承诺将协助贵司验证和维护客户识别信息和其他个人资料。

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

本人理解并确认，如果贵司按照本人的指示在联交所新上市的公开发售中认购或购买证券，贵司可以以电子方式代表本人认购（定义见由结算所设立及运行的中央结算及交收系统规则）。

The terms "BCAN" and "CID" used in this notice shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct.

本通知中使用的术语"券商客户编码"和"客户识别信息"应具有《行为守则》第 5.6 段中定义的含义。

I acknowledge and agree that more details on the Investor Identification Regime and OTCR can be found on the SFC website (<https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting>) and details on FINI can be found on HKEX website ([https://www.hkex.com.hk/Services/Platform-Services/Project-Fini?sc\\_lang=en](https://www.hkex.com.hk/Services/Platform-Services/Project-Fini?sc_lang=en)).

本人确认并同意，可在证监会网站上找到有关投资者身份识别制度和场外证券交易汇报制度的详细信息 (<https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting>)。FINI 的资料可以在联交所网站上找到 ([https://www.hkex.com.hk/Services/Platform-Services/Project-Fini?sc\\_lang=en](https://www.hkex.com.hk/Services/Platform-Services/Project-Fini?sc_lang=en))。

I also confirm that I have been explained by your sales representative and/or by my independent legal advisor about the content of this consent letter and the implication of providing the consent hereof.

本人还确认，贵司的销售代表和/或本人的独立法律顾问已经向本人解释了本同意书的内容以及提供同意书的含义。

I acknowledge and agree that CSBHK may update terms of business applicable to my Accounts and its services provided to me and will post the updated version of the terms of business on CSBHK's website <https://www.citics.com.hk/customer-service.php> (the "terms of business"). CSBHK will endeavour to notify me of any updates with respect to the Investor Identification Regime and OTCR and related changes to such terms of business. I will always refer the updated version of such terms of business on the CSBHK's website.

本人承认并同意中信证券经纪香港可以更新适用于本人账户及其提供给本人的服务的条款，并将在中信证券经纪香港的网站上发布其条款的更新版本 <https://www.citics.com.hk/customer-service.php> ("条款")。中信证券经纪香港将尽力通知本人有关投资者身份识别制度和场外证券交易汇报制度的任何更新以及相关条款的变更。本人将持续在中信证券经纪香港网站上参考此条款的更新版本。

I agree to your use of my personal data (including CID and BCAN(s)) for the purposes set out in this consent letter.

本人同意贵司将本人的个人资料（包括本人的客户识别信息和券商客户编码）用于本同意书中规定的目的。

Signed by:

签署:

Name of individual:

姓名:

Date:

日期:

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