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
客戶同意書——關於香港投資者識別制度和場外證券交易匯報制度及香港交易及結算所有限公司開發的嶄新公開招股結算平台("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 ("**HKEX**") 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.
承於關於下述兩項諮詢的結論文件（"《結論》"） (i)就有關在交易層面上對香港證券市場實施投資者識別碼制度的建議，以及(ii) 於 2021 年 8 月 10 日發佈的為在香港聯合交易所上市的股份引入場外證券交易匯報制度的建議，和其他不時發出的通知，香港證券及期貨事務監察委員會（"**證監會**"）及香港交易及結算所有限公司（"**聯交所**"）將會分別于 2022 年和 2023 年進行實施相關規定（"**投資者身份識別制度和場外證券交易匯報制度**"）。 承於聯交所於 2021 年 7 月刊發對 2020 年 11 月 FINI 框架諮詢文件的諮詢總結，和不時關於引進新平台 FINI 的通知，FINI 將在在 2022 年實施。

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.
本人在此向中信証券經紀（香港）有限公司確認，本人已同意與本人賬戶（ "**賬戶**"）相關以及貴司向本人提供的服務相關的個人資料的處理，包括但不限於與私隱政策聲明中規定的個人資料的處理。該私隱政策聲明已經刊登在 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:

在不限於上述規定的情況下，通過簽署本同意書，本人同意並承認貴司和/或貴司的關聯公司可將券商客戶編碼（"**券商客戶編碼**"）分配給本人，以向本人提供與在聯交所上市或交易的證券有關的服務，並遵守聯交所和/或證監會不時實施的要求（包括但不限於《結論》和《證券及期貨事務監察委員會持牌人或註冊人操守準則》（"**《行為守則》**"）。本人同意並明確同意貴司和/或貴司的關聯公司可以收集、存儲、處理、使用、披露和傳輸與本人有關的個人資料（包括本人的客戶識別信息（"**客戶識別信息**"）和券商客戶編碼) 以便中信証券經紀香港向本人提供與在聯交所上市或交易的證券有關的服務，並遵守聯交所和/或證監會不時實施的要求（包括但不限於《結論》及《行為守則》），為提供與在聯交所新上市的公開發售中認購或購買證券相關的服務，其中包括，但不限於以下內容：

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 (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;

根據香港中央結算有限公司（"**結算所**"）、聯交所及證監會不時實施的條例及要求， 貴司向本人提供服務時， 直接或間接地透過其他經紀人或其他中介人向結算所、聯交所及證監會披露及傳輸本人的個人資料（包括客戶識別信息及券商客戶編碼）；

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

允許聯交所：(i)收集、儲存、處理及使用本人的個人資料（包括客戶識別信息和券商客戶編碼），以便監察、監督市場及執行《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)以監察市場為目的而使用有關資料進行分析；

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

允許證監會： (i) 收集、儲存、處理和使用本人的個人資料（包括客戶識別信息和券商客戶編碼），以履行其法定職能，包括對香港金融業務的監控、監督和執法； (ii) 根據適用法律或監管要求，向香港的相關監管機構和執法機構披露和傳輸此類信息；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.

向結算所提供券商客戶編碼以便結算所： (i) 從聯交所（向結算所披露和轉移是允許的）檢索、處理和存儲本人的客戶識別信息並將本人的客戶識別信息轉移到發行人的股份過戶登記處，以便結算所和/或發行人的股份過戶登記處核實本人沒有就相關股份認購提出任何重複申請，並據此促進上市股票抽籤和結算； (ii) 處理和儲存本人的客戶識別信息，並將本人的客戶識別信息傳送給發行人、發行人的股份過戶登記處、證監會、聯交所和參與首次公開募股的任何其他各方，以處理本人的股份認購申請或其他上市發行人的招股說明書中規定的目的。

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.
本人同時承認並同意，儘管本人隨後撤回同意，但在本人聲稱撤回同意後，本人的個人資料可能會繼續存儲、處理、使用、披露或轉移用於上述目的。

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貴司提供本人的個人資料或同意可能意味著貴司將不會或將不再能夠（視情況而定）執行本人的交易指示或向本人提供證券相關服務（除了出售、轉讓或撤回本人現有的證券持有量（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.
本人承認並向貴司承諾，客戶識別信息和本人提供的任何其他個人資料是真實準確的，本人將及時通知貴司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，並應及時向貴司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，本人承認、確認並向貴司承諾將協助貴司驗證和維護客戶識別信息和其他個人資料。

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.
本人理解並確認，如果貴司按照本人的指示在聯交所新上市的公開發售中認購或購買證券，貴司可以以電子方式代表本人認購（定義見由結算所設立及運行的中央結算及交收系統規則）。

The terms "**BCAN**" and "**CID**" used in this notice shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct.
本通知中使用的術語"券商客戶編碼"和"客戶識別信息"應具有《行為守則》第 5.6 段中定義的含義。

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).

本人確認並同意，可在證監會網站上找到有關投資者身份識別碼制度和場外證券交易匯報制度多詳細信息 (https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting)。 FINI 的資料可以在聯交所網站上找到(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.
本人還確認，貴司的銷售代表和/或本人的獨立法律顧問已經向本人解釋了本同意書的內容以及提供同意書的含義。

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.
本人承認並同意中信証券經紀香港可以更新適用於本人賬戶及其提供給本人的服務的條款，並將在中信証券經紀香港的網站上發佈其條款的更新版本 https://www.citics.com.hk/customer-service .php （"**商業條款**"）。 中信証券經紀香港將盡力通知本人有關投資者身份識別制度和場外證券交易匯報制度的任何更新以及相關條款的變更。 本人將持續在中信証券經紀香港網站上參考此類條款的更新版本。

I agree to your use of my personal data (including CID and BCAN(s)) for the purposes set out in this consent letter.
本人同意貴司將本人的個人資料（包括本人的客戶識別信息和券商客戶編碼）用於本同意書中規定的目的。

Signed by:
簽署:

Name of individual:
姓名:

Date:
日期: