



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司

Consent Letter on Northbound China Stock Connect Orders (Investor Identification Model) and the Personal Information Collection Statement

To: Solomon JFZ (Asia) Holdings Limited

Room 1910-12A, Tower 3, China Hong Kong City 33 Canton Rd, Tsim Sha Tsui, Hong Kong

Account Name : _____

Account Number : _____

Processing of Personal Data as part of the Stock Connect Northbound Trading

In view of Solomon JFZ (Asia) Holdings Limited's ("Solomon Securities") provision of Stock Connect Northbound Trading Services to you, you acknowledge and agree that Solomon will be required to:

- (i) tag each of your orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to you (for you having single account) or to your joint account (for you having a joint account) with Solomon Securities, as appropriate; and
- (ii) provide to the Exchange your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification Solomon Securities have given you or consent Solomon Securities have obtained from you in respect of the processing of your personal data in connection with your account and Solomon Securities's services to you, you acknowledge and agree that Solomon Securities may collect, store, use, disclose and transfer personal data relating to you as required as part of Solomon Securities' Stock Connect Northbound Trading Service, including as follows:

- a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
- b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) 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 your 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 Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the 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 your 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 the 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.



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Consent Letter on Northbound China Stock Connect Orders (Investor Identification Model) and the Personal Information Collection Statement

By instructing Solomon Securities in respect of any transaction relating to China Connect Securities, you acknowledge and agree that Solomon Securities may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

Consequences of failing to provide Personal Data or Consent

Failure to provide Solomon Securities with your personal data or consent as described above may mean that Solomon Securities will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with Solomon Securities' Stock Connect Northbound Trading Service.

Acknowledgement and Consent

I/We have read and understood the content of Solomon Securities' Personal Information Collection Statement and Northbound China Stock Connect Terms and Conditions.

(Please tick one of the following)

- (i) I/We **agree** that Solomon Securities may use my personal data in accordance with the terms and purposes set out in the Personal Information Collection Statement; (ii) I understand and agree that I must fully comply with all applicable laws and regulations at all relevant times, including but not limited to the Regulations of the People's Republic of China on the Administration of Foreign Exchange, and agree that all sources of investment funds will be from Hong Kong and/or overseas; (iii) I have acknowledged, understood and accepted all risk disclosure statements, including but not limited to the risk disclosure statements in relation to Stock Connect Northbound Trading Services. °
- I /We **do not agree** that Solomon Securities may use my/our personal data in accordance with the terms and purposes set out in the Personal Information Collection Statement.

Client Signature (with company chop, ONLY if applicable)

Signature Date

本公司內部用 For Official Use Only	
Signature verified by:	Handled by:
Approved by:	Effective Date:

In the event of any discrepancy between the English and Chinese versions of this form and any other related documents, the English version shall prevail.