

To: East Asia Securities Company Limited (“EAS”)

Acknowledgement of Consent under Hong Kong Investor Identification Regime, OTC Securities Transactions Reporting Regime and Fast Interface for New Issuance (“FINI”)

I/We acknowledge and consent that EAS may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our Customer Identification Data (“CID”) and Broker-to-Client Assigned Number (“BCAN(s)”) as required for EAS to provide services to me/us in relation to securities listed or traded on The Stock Exchange of Hong Kong Limited (“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, my/our consent given to EAS includes:


- (a) disclosing and transferring my/our 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 my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; (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;
- (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; and
- (d) providing my/our BCAN(s) to Hong Kong Securities Clearing Company Limited (“HKSCC”) to allow HKSCC to: (i) retrieve my/our CID from SEHK (which is allowed to disclose and transfer to HKSCC), process and store my/our CID and transfer my/our CID to the issuer’s share registrar to enable HKSCC and/ or the issuer’s share registrar to verify that I/we 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/our CID and transfer my/our CID to the issuer, the issuer’s share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing my/our application for the relevant share subscription or any other purpose set out in the IPO issuer’s prospectus.

I/We agree and understand that the above consent given by me/us to EAS is irrevocable during the period when the relevant services are provided by EAS and can only be withdrawn upon the closure of my/our securities account maintained with EAS. I/We also agree that despite any purported withdrawal of consent given by me/us after the closure of my/our securities account maintained with EAS, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

I/We understand that failure to provide EAS with my/our personal data or consent as described above may mean that EAS 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 my/our existing holdings of securities, if any).

In addition, upon the request of EAS, I/we agree to provide my/our updated identification document(s) to EAS within the stipulated timeframe; otherwise, EAS may only be able to provide limited services to me/us.

Signature(s) of Account Holder(s)

_____ 

A/C Name: _____

A/C No.: _____

Date: _____