

April 2022

Dear Customer,

We write to inform you of Securities and Futures Commission's (SFC) proposals to implement the Hong Kong Investor Identification Regime (HKIDR) in second half of 2022 and Over-the-counter Securities Transactions Reporting Regime (OTCR) in first half of 2023.

Under the HKIDR and OTCR, the Bank would have to ensure that a unique Broker-to-Client Assigned Number (BCAN) be assigned to you for tagging: (i) the orders placed and submitted to the Stock Exchange of Hong Kong (SEHK); and/or (ii) the transfer/deposit/withdrawal of certain shares required to be reported to SFC subject to having obtained: (a) your express consent for the transfer of your personal data to SEHK and SFC for their specified purposes; and (b) your undertaking to provide identity document according to the waterfall and notify us of any updates to Client Identification Data (CID).

Please note that failure to provide the Bank with your consent and/or refusal to provide CID in accordance with the waterfall may mean that the Bank will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any) upon implementation of the HKIDR and OTCR.

Kindly signify your consent and undertaking (each of the account holders in case of joint account) by signing and returning the attached Consent Form to any of our branches **on or before 30 June 2022** to ensure your securities account(s) is(are) fully operative when the HKIDR becomes effective.

You should contact the Bank for update of your CID, if necessary (i.e. if you hold an identity document that is of a higher priority in the waterfall, or for replacement of an expired passport etc.).

Should you have any queries, please feel free to call our Securities Service Hotline at (852) 2581-1468.

PUBLIC BANK (HONG KONG) LIMITED

(This is a computer-generated letter and no signature is required)

In case of any discrepancy or inconsistency between the English and Chinese versions hereof, the English version apply and prevail.

親愛的客戶：

證券戶口號碼 (請參閱英文版本)

謹致函通知 閣下證券及期貨事務監察委員會 (證監會) 建議將於 2022 年下半年實施香港投資者身份識別碼制度和 2023 年上半年實施場外證券交易匯報制度。

根據相關制度，本行必須確保為客戶編配一個唯一的券商客戶編碼，用於標記 (i) 下達和提交給香港聯合交易所(聯交所) 的交易指示和/或 (ii) 轉讓/存入/提取某些需要向證監會報告的股份，前提是 (a) 獲得 閣下的明示同意將您的個人資料轉移至聯交所和證監會的指定用途，以及 (b) 閣下的承諾根據優先次序提供身份證明文件，並通知本行客戶識別信息的任何更新。

請注意，未能向本行提供 閣下的同意和/或拒絕根據優先次序提供客戶識別信息可能令本行將不會或不再能夠（視情況而定）執行 閣下的交易指示或在實施 相關制度後為閣下提供證券相關服務（除了出售、轉出或提取 閣下現有的證券持倉（如有））。

為確保 閣下能在投資者身份識別碼制度生效後能全面操作 閣下的證券戶口，請在 2022 年 6 月 30 日或之前簽署同意書（如果是聯名賬戶，則需每個賬戶持有人）並將隨附的同意書交回本行的任何一間分行，以確認 閣下的同意和承諾。

如有需要，煩請 閣下前往本行更新 閣下的客戶識別信息（例如 閣下持有具有更高優先次序的身份證明文件，或更換過期護照等）。

如有任何查詢，請致電證券服務熱線 (852) 2581-1468。

大眾銀行 (香港) 有限公司

2022 年 4 月

(本函為毋須簽署之電腦編印信件)

若本通知的中、英文版有歧異或不一致之處，概以英文版為準。

CONSENT FORM

To: Public Bank (Hong Kong) Limited (“the Bank”)

Use of Personal Data under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

I/We acknowledge and agree that the Bank may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for the Bank 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 consent will apply to each and every securities account currently maintained with the Bank under the same account name and 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; 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 hereby undertake to provide the Bank the identity document which I/we hold that is of the highest priority in the waterfall: (1) HKID card; or (2) national identification document; or (3) passport and notify the Bank of any updates to my/our CID which shall mean my/our full name as shown on the identity document, the issuing country or jurisdiction of the identity document, the identity document type and the identity document number.

I/We also agree that despite any subsequent purported withdrawal of consent by me/us, my/our 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 the Bank with my/our personal data or consent as described above may mean that the Bank 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).

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.

In case of discrepancy between the English Version and Chinese Version, the English Version shall prevail.

Signed by:-

S.V.

Account Holder(s) Signature(s)

Account Name:

CIF Number:

Date:

FOR BANK USE ONLY

Check list for branch staff

- For joint account, all account holders have signed
- Identity document has been checked to be in accordance with waterfall
- HKIDR Consent Flag has been inputted in AS400

Handled by RI:

Reviewed by Supervisor:

Checked by SOD:

Handling parties to sign/initial with name and date

客戶同意書

致： 大眾銀行(香港)有限公司(「貴銀行」)

香港投資者識別碼制度及場外證券交易匯報制度下個人資料之使用

本人／吾等明白並同意，貴銀行為了向本人／吾等提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，貴銀行可收集、儲存、處理、使用、披露及轉移與本人／吾等有關的個人資料（包括本人／吾等的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，此同意書將適用於目前以同一戶口名稱開設及維持於貴銀行的每一個證券戶口及包括：

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移本人／吾等的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i)收集、儲存、處理及使用本人／吾等的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《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)為監察市場目的而使用有關資料進行分析；及
- (c) 允許證監會：(i)收集、儲存、處理及使用本人／吾等的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

本人／吾等特此承諾提供予貴銀行本人／吾等持有及根據排序表具最高優先次序的身分證明文件：(1)香港身份證；或(2)國民身分證明文件；或(3)護照並且就客戶識別信息的任何更新資料，意指身分證明文件上所示的全名、身分證明文件的簽發國家或司法管轄區、身分證明文件類別及身分證明文件號碼，向貴銀行作出通知。

本人／吾等亦同意，即使本人／吾等其後宣稱撤回同意，貴銀行在本人／吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人／吾等的個人資料以作上述用途。

本人／吾等如未能向貴銀行提供個人資料或上述同意，可能意味著貴銀行不會或不能夠再（視情況而定）執行本人／吾等的交易指示或向本人／吾等提供證券相關服務，惟出售、轉出或提取本人／吾等現有的證券持倉（如有）除外。

備註：本條文所述的「券商客戶編碼」及「客戶識別信息」具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6段所界定的含義。

如英文版本與中文版本有任何歧異，概以英文版本為準。