

**Appendix 2 : Consent Letter in Relation to the Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) , OTC Securities Reporting Regime (OTCR) and Fast Interface for New Issuance (FINI)**

**附件二：关于香港投资者识别码、场外证券交易汇报制度及 FINI 的个人资料收集声明确认函**

To: **China Galaxy International Securities (Hong Kong) Co., Limited ("CGIS")**  
致: **中国银河国际证券(香港)有限公司("银河国际证券")**

Date 日期: \_\_\_\_\_

Name of Client 客户名称		Account No. 客户号码	
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1. I/we acknowledge and agree that CGIS may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for CGIS to provide services to me/us in relation to securities listed or traded on the SEHK and for complying with the rules and requirements of SEHK and the SFC in effect from time to time. Without limiting the foregoing, this includes –
- 本人/吾等明白并同意，银河国际证券为了向本人/吾等提供与在联交所上市或买卖的证券相关的服务，以及为了遵守不时生效的联交所与证监会的规则和规定，银河国际证券可收集、储存、处理、使用、披露及转移与本人/吾等有关的个人资料(包括本人/吾等的客户识别信息及券商客户编码)。在不限制以上的内容的前提下，当中包括—
- 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;  
根据不时生效的联交所及证监会规则 and 规定，向联交所及 / 或证监会披露及转移本人/吾等的个人资料(包括客户识别信息及券商客户编码)；
  - 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  
允许联交所: (i) 收集、储存、处理及使用本人/吾等的个人资料(包括客户识别信息及券商客户编码)，以便监察和监管市场及执行《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) 为监察市场目的而使用有关数据进行分析；
  - 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.  
允许证监会: (i) 收集、储存、处理及使用本人/吾等的个人资料(包括客户识别信息及券商客户编码)，以便其履行法定职能，包括对香港金融市场的监管、监察及执法职能；及 (ii) 根据适用法例或监管规定向香港相关监管机构和执法机构披露及转移有关资料；及
  - providing CID and/or BCAN(s) to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store my/our CID and/or BCAN(s) and transfer my/our CID and/or BCAN(s) 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 initial public offering ("IPO") balloting and IPO settlement; and (ii) process and store my/our CID and/or BCAN(s) and transfer my/our CID and/or BCAN(s) 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.

向香港中央結算有限公司（「香港結算」）提供客戶識別信息及/或券商客戶編碼以允許香港結算：(i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於本人/吾等的客戶識別信息，及向發行人的股份過戶登記處轉移本人/吾等的客戶識別信息，以便核實本人/吾等未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存本人/吾等的客戶識別信息及/或券商客戶編碼，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移本人/吾等的客戶識別信息及/或券商客戶編碼，以便處理本人/吾等對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

2. 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.

本人/吾等亦同意，即使本人/吾等其後宣稱撤回同意，銀河國際證券或上述機構在本人/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。

3. Failure to provide CGIS with my/our personal data or consent as described above may mean that CGIS 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).

本人/吾等如未能向銀河國際證券提供個人資料或上述同意，可能意味著銀河國際證券不會或不能夠再（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。

4. For the avoidance of doubt, this consent form shall be supplemental to, but not as substitute for, the Terms and Conditions – Account Opening Agreement (“T&C”). I/we acknowledge that further details of rights in respect of personal data are set out in the Notes Relating to Personal Data Privacy Policy in the T&C.

為避免疑義，本同意表格為對《帳戶條款及條件-開戶合同書》的補充，而非替代。本人/吾等確認就其個人資料的權利均列於《帳戶條款及條件-開戶合同書》中的《有關個人資料私隱政策之附注》中。

*Note: (1) The terms “BCAN” and “CID” used herein shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for persons Licensed by or Registered with the SFC.*

注：(1) 本文所用“券商客戶編碼”及“客戶識別信息”一詞具有證監會持牌人或註冊人士操守準則第5.6段所界定的含義。

I/We agree and hereby signify my consent for you to use my personal data on the terms of and for the purposes set out in the Notes Relating to Personal Data Privacy Policy in the T&C.

本人/吾等特此簽署，確認並同意 貴公司可根據本同意表格及《帳戶條款及條件》中的《有關個人資料私隱政策之附注》及其所述的目的使用本人/吾等的個人資料。

Yours faithfully, 此致

Client Signature 客戶簽署

Please use signature(s) filed with us 請用留存於本行之簽署式樣

For Official Use Only		
S.V.	Inputted By	Approved By