

PERSONAL DATA (PRIVACY) ORDINANCE (CAP.486) ("PDPO")
PERSONAL INFORMATION COLLECTION STATEMENT
for Individual/Joint Account

- (1) The client ("Client") respectively of Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited (individually or collectively "GTJA") may from time to time be requested by GTJA to supply personal data (as defined under the PDPO) relating to the Client. For the purposes of this Statement, "personal data" (i) in the case of individual account holders, joint account holders or sole proprietors, means personal data relating to the relevant individual concerned; (ii) in the case of a partnership, means personal data relating to each partner of the partnership; and (iii) in the case of a corporate entity, means personal data relating to any individual director, shareholder, officer or manager which has been provided to GTJA. "GTJA Group" means all and/or any of GTJA's subsidiaries and/or holding companies and/or subsidiaries of such holding companies, within and/or outside Hong Kong.
- (2) The Client shall provide all such personal data as shall be reasonably requested by GTJA in the Account Opening Form or otherwise, and any failure to do so may result in GTJA being unable to open or continue the Client's account ("Account"), or to effect transactions under the Account.
- (3) The Client understands and accepts that GTJA may provide personal data received from the Client to the following persons (whether within or outside of Hong Kong) for the purposes set out in sub-paragraph (4) of this Statement:
 - (i) any nominees in whose name securities or other assets may be registered;
 - (ii) any member or affiliated or related company in the GTJA Group including but not limited to GTJA's parent and/or subsidiary companies;
 - (iii) any contractor, adviser, agent or third party service provider which provides administrative, background checking, data processing, financial, computer, telecommunication, payment or clearing, professional or other services to GTJA in connection with the operation of its business or provision of financial services or products to the Client;
 - (iv) credit reference agencies, and, in the event of default, to debt collection agencies;
 - (v) any person with whom GTJA enters into or proposes to enter into a transaction with on behalf of the Client or the Account, or the persons representing the same;
 - (vi) any person who provides financial services or issues, distributes or provides financial products to the Client through or with GTJA;
 - (vii) any foreign or local exchanges of securities, futures and/or other financial products where the Client's orders to buy or sell such securities, futures and/or other financial products are placed or transacted; or their associated clearing houses or operators;
 - (viii) any assignee, transferee, participant, sub-participant, delegate, successor or person to whom any agreement between the Client and GTJA is novated; and
 - (ix) any foreign or local governmental, regulatory, supervisory, tax, law enforcement or other authorities, bodies or institutions.
- (4) The Client understands and accepts that the purposes for which the personal data provided by the Client from time to time may be used are:
 - (i) executing or giving effect to the Client's orders relating to transactions or otherwise, and carrying out the Client's other Instruction;
 - (ii) providing financial services or products to the Client or in connection with the Account, whether the services or products are provided by or through any other member of GTJA Group or any other person, within or outside Hong Kong;
 - (iii) providing personalized financial analysis and planning or designing financial services or products for the Client's use;
 - (iv) marketing services or products which may be of interest to the Client;
 - (v) conducting credit inquiries or background checks on the Client and ascertaining the Client's financial situation and investment objectives;
 - (vi) collecting of amounts due, enforcing of security, charges or other rights and interests in favour of GTJA or any member of GTJA Group;
 - (vii) complying with and/or enabling any affiliated or related company in the GTJA Group to comply with any foreign or local laws, regulations (including Foreign Account Tax Compliance Act, Automatic Exchange Of Financial Account Information, Common Reporting Standards and similar regulations), notifications, directives, guidelines or guidance given or issued by or in agreement with any legal, regulatory, governmental, tax, law enforcement or other authorities, exchanges, or self-regulatory or industry bodies or associations of financial services providers, within or outside Hong Kong, existing currently and in the future;;
 - (viii) complying with obligations, requirements, policies, procedures, measures and arrangements for sharing personal data and information within the GTJA Group and/or any other use of personal data in accordance with any GTJA Group wide programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities; and
 - (ix) other purposes related or incidental to any one or more of the above.
- (5) GTJA may from time to time transfer the personal data of the Client outside Hong Kong to any of the persons

referred to in sub-paragraph (3) of this Statement above and for any of the purposes referred to in sub-paragraph (4) of this Statement above.

(6) Use of Personal Data in Direct Marketing

GTJA intends to use, from time to time, Client's personal data in direct marketing of financial products and services, including but not limited to securities, futures, fixed income, currencies, commodities, wealth management, asset management, equity financing, equity derivatives, insurance, and other financial products and services. Only the following kinds of personal data of the Client may be used in such direct marketing:

- (i) name;
 - (ii) gender;
 - (iii) date of birth;
 - (iv) part of identity card or passport number;
 - (v) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address);
 - (vi) information about the products and/or services the Client has purchased or applied for.
- GTJA may not so use the data unless it has received the Client's consent to the intended use.

(7) Provision of Personal Data for Use in Direct Marketing

GTJA intends to provide, from time to time and for money and other property, Client's personal data to GTJA Group (other than GTJA itself) for use by GTJA Group in direct marketing of financial products and services, including but not limited to securities, futures, fixed income, currencies, commodities, wealth management, asset management, equity financing, equity derivatives, insurance, and other financial products and services. Only the following kinds of personal data of the Client may be provided to GTJA Group (other than GTJA itself) for use by GTJA Group in such direct marketing:

- (i) name;
 - (ii) gender;
 - (iii) date of birth;
 - (iv) part of identity card or passport number;
 - (v) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address);
 - (vi) information about the products and/or services the Client has purchased or applied for.
- GTJA may not so use the data unless it has received the Client's consent to the intended use.

(8) China Connect Securities Trading Service

The Client acknowledges and agrees that in providing GTJA's China Connect securities trading service to the Client, GTJA will be required to:

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

Without limitation to any notification GTJA has given the Client or consent GTJA has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and GTJA's services to the Client, the Client acknowledges and agrees that GTJA may collect, store, use, disclose and transfer personal data relating to the Client as required as part of GTJA's China Connect securities trading service, including as follows:

- (a) to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating the Client's 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 the Client's 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 the Client's 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 the Client's 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 the Client's 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.

By instructing GTJA in respect of any transaction relating to China Connect Securities, the Client acknowledges and agrees that GTJA may use the Client's 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. The Client also acknowledges that despite any subsequent purported withdrawal of consent by the Client, the Client's 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 GTJA with the Client's personal data or consent as described above may mean that GTJA will not, or no longer be able, as the case may be, to carry out the Client's trading instructions or provide the Client with GTJA's China Connect securities trading service.

- (9) The Client has the right to request a copy of such personal data and may request the correction of the personal data (if applicable). Any such request must be made in accordance with the PDPO and shall be addressed to the Data Protection Officer of GTJA at the address at 27/F Low Block, Grand Millennium Plaza, 181 Queen's Road central, Hong Kong. The Client understands that a fee shall be charged by GTJA for any such request.

《個人資料(私隱)條例》(第486章) (「私隱條例」)
個人資料收集聲明
個人/聯名戶口適用

- (1) 國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司(各稱或合稱「國泰君安」)可不時要求其客戶提供其個人資料(按私隱條例之釋義)。在本聲明中,「個人資料」意指客戶已向國泰君安提供之下述個人資料:(i)就個人帳戶持有人、聯名帳戶持有人或獨自經營者而言,其個人資料;(ii)就合夥而言,其各合夥人之個人資料;及(iii)就公司實體而言,其個人董事、股東、行政人員或經理之個人資料。「國泰君安集團」意指全部及/或任何香港境內及/或境外國泰君安之附屬公司及/或控股公司及/或該等控股公司之附屬公司。
- (2) 在國泰君安合理地要求客戶在開戶文件或其他情況下提供個人資料時,客戶需按要求提供個人資料,否則可能導致國泰君安無法為客戶開立或保持其帳戶或為其帳戶執行任何交易。
- (3) 客戶明白及同意,國泰君安可以向下述人士提供收取自客戶的個人資料:
- (i) 任何以其名義登記證券或其他資產的代名人;
 - (ii) 國泰君安集團內之成員或關聯或相關公司,包括但不限於國泰君安之母公司及/或子公司;
 - (iii) 任何向國泰君安提供與國泰君安業務經營有關的或向客戶提供金融服務或產品有關的行政、背景審查、資料處理、財務、電腦、電訊、支付或結算、金融、專業或其他服務的承包商、顧問、代理人或第三方服務提供者;
 - (iv) 信貸資料服務機構,及(在違約欠債時)追收債款代理;
 - (v) 國泰君安代表客戶或客戶帳戶或其代表與之訂立或擬訂立交易的任何人;
 - (vi) 透過或與國泰君安一起向客戶提供金融服務或發行、分銷或提供金融產品的任何人;
 - (vii) 客戶進行證券、期貨及/或其他金融產品買賣而在其場所下單或交易的任何外國或本地的證券、期貨及/或其他金融產品的交易所;或其相關聯結算所或營運者;
 - (viii) 任何更替國泰君安與客戶協議約務的承讓人、受讓方、參與者、次參與者、獲轉授人、繼承人或人士;及
 - (ix) 任何外國或本地的政府、監管、監督、稅務、執法或其他機關、組織或機構。
- (4) 客戶明白及同意,其不時提供之個人資料可以作下述用途使用:
- (i) 執行或實行客戶有關於交易或其他事情之下單或指令,以及執行客戶的其他指示;
 - (ii) 向客戶提供金融服務或產品或提供與賬戶有關的金融服務或產品,不論相關服務或產品是否由或透過任何在香港境內或境外國泰君安集團成員或其他人士提供;
 - (iii) 提供個人化財務分析及策劃或設計供客戶使用的金融服務或產品;
 - (iv) 向客戶推銷客戶可能感興趣的服務或產品;
 - (v) 對客戶進行信貸或背景查詢及確定客戶財務狀況和投資目標;
 - (vi) 追收債款、行使以國泰君安或其他國泰君安集團成員為受益人的抵押品、押記或其他權力及權利;
 - (vii) 為遵守或為促使國泰君安集團內之關聯公司或其相關公司遵守任何本地或外國之法律、規例(包括外國帳戶稅收合規法案、自動交換財務帳戶資料、共同申報準則及相類似規例)、任何在香港境內或境外現存或未來設立的法律、監管、政府、稅務、執法或其他機關、交易所、或自我監管或行業團體或組織或金融服務提供者所自行或按協議提供或發出的通知、指示或指引;
 - (viii) 為遵守國泰君安集團為了遵守制裁、防止或偵查洗錢、恐怖份子融資或其他非法活動而制定的,適用於任何國泰君安集團成員的,關於個人資料在國泰君安集團內分享及/或用於其他用途的責任、要求、政策、程序、措施及安排;及
 - (ix) 與上述任何一條或多條有關或附帶的其他目的。

(5) 國泰君安可以不時按上述第(4)段所述用途，轉移客戶的個人資料予香港以外之上述第(3)段所述人士。

(6) 個人資料在直接促銷中的使用

國泰君安會不時使用客戶的個人資料，用作直接促銷不同的金融產品和服務，其中包括但不限於證券、期貨、固定收益、外匯、商品、財富管理、資產管理、融資融券、股權衍生產品、保險、及其他金融產品及服務。使用于直接促銷的客戶的個人資料將限於：

- (i) 姓名；
- (ii) 性別；
- (iii) 出生日期；
- (iv) 身份證或護照號碼的一部分；
- (v) 聯絡資料（包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址）；
- (vi) 客戶已購買或申請的產品及/或服務的資料。

除非國泰君安已經就擬議使用獲得客戶的同意，否則不得如上所述使用資料。

(7) 提供個人資料作直接促銷

國泰君安會不時（不論是否收取金錢或其他財物為報酬）向其他國泰君安集團成員提供客戶的個人資料，使其可以使用客戶的個人資料用作直接促銷不同的金融產品和服務，其中包括但不限於證券、期貨、固定收益、外匯、商品、財富管理、資產管理、融資融券、股權衍生產品、保險、及其他金融產品及服務。提供予其他國泰君安集團成員使用于直接促銷的客戶的個人資料將限於：

- (i) 姓名；
- (ii) 性別；
- (iii) 出生日期；
- (iv) 身份證或護照號碼的一部分；
- (v) 聯絡資料（包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址）；
- (vi) 客戶已購買或申請的產品及/或服務的資料。

除非國泰君安已經就擬議使用獲得客戶的同意，否則不得如上所述使用資料。

(8) 中華通證券交易服務

客戶明白及同意，國泰君安為客戶提供中華通證券交易服務時，國泰君安須要：

- (i) 在提交每一客戶交易指令予中華通買賣盤訂單傳遞系統時，在交易指令中附加上客戶唯一的券商客戶編碼或（如客戶賬戶為聯名賬戶）客戶聯名賬戶獲分配的券商客戶編碼；及
- (ii) 向交易所提供客戶唯一的券商客戶編碼及一切交易所按照其規則不時要求索取的關於客戶的身份識別資料。

不受限於國泰君安就著因應客戶的賬戶或提供服務予客戶而處理客戶個人資料而給予客戶的通知或取得的客戶同意，客戶明白及同意，作為國泰君安中華通證券交易服務的一部份，國泰君安可以作出下述的收集、儲存、使用、披露及轉移客戶的個人資料的行為：

- (a) 不時向交易所及相關交易所附屬公司披露及轉移客戶的券商客戶編碼及客戶識別信息，包括在中華通買賣盤訂單傳遞系統輸入中華通證券交易指令時顯示客戶的券商客戶編碼，並實時轉傳至相關中華通證券交易營運者；
- (b) 容許交易所及各相關交易所附屬公司：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息以及相關中華通結算所所提供（以儲存而言，它們通過香港交易所進行）的合併、核實及配對的券商客戶編碼及客戶識別信息資料，以作市場監察及執行交易所規則用途；(ii) 基於下列(c)及(d)所述目的，不時（直接或通過相關中華通結算所）轉移該等資料予相關中華通證券交易營運者；及(iii) 披露該等資料予香港相關監管機構及執法機關，以配合其履行關於香港金融市場的法定職能；
- (c) 容許相關中華通結算所：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以對券商客戶編碼及客戶識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及客戶識別信息資料提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii)使用客戶的券商客戶編碼及客戶識別信息，以履行其證券賬戶管理的法定職能；及(iii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能；及
- (d) 容許相關中華通證券交易營運者：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

當客戶指示國泰君安進行任何中華通證券的交易時，客戶明白及同意，國泰君安可以使用客戶的個人資料于遵守交易所的要求及其對中華通北向交易不時生效的規則。客戶也明白，即使未來客戶計劃撤消其同意，客戶的個人資料（不論客戶撤消客戶同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

不能提供個人資料或同意的後果

客戶不能如上述向國泰君安提供個人資料或同意，將可能導致國泰君安（按情況）不會或不可繼續執行客戶的交易指示或向客戶提供中華通證券交易服務。

(9) 客戶可以要求國泰君安提供其個人資料的副本，及可以在需要時要求對其個人資料進行更正。任何此類要求可致予國泰君安資料保護主任，地址為：香港中環皇后大道中181號新紀元廣場低座27樓。客戶明白國泰君安將就任何此等要

求收取費用。

Acknowledgement and Consent 確認明白及同意

I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement of Guotai Junan Securities (Hong Kong) Limited ("GTJA"). By ticking the box below, I/we signify my/our consent for GTJA to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等確認已閱讀及明白國泰君安證券(香港)有限公司("國泰君安")之個人資料收集聲明之內容。在下列方格加上剔號,表示本人/吾等同意國泰君安按照個人資料收集聲明之條款及目的使用本人/吾等的個人資料。本人/吾等亦同意國泰君可以在任何時間、在通知本人/吾等後修改個人資料收集聲明之內容。

- I/We agree to GTJA's use of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安按照個人資料收集聲明之目的使用本人/吾等的個人資料。本人/吾等亦同意國泰君可以在任何時間、在通知本人/吾等後修改個人資料收集聲明之內容。

Direct Marketing 直接促銷

I/We confirm my/our consent as referred to in the sections entitled Use of Personal Data in Direct Marketing and Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement, subject to any objection as indicated by me/us below: 除本人/吾等如下所示提出之任何反對外,本人/吾等確認同意個人資料收集聲明內以個人資料在直接促銷中的使用及提供個人資料作直接促銷為標題之內容。

- I/We object to GTJA using my/our personal data in direct marketing as referred to in the section entitled Use of Personal Data in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對國泰君安按個人資料收集聲明內以個人資料在直接促銷中的使用為標題的分段所述,將本人/吾等之個人資料作直接促銷用途。
- I/We object to GTJA providing my/our personal data to GTJA Group (other than GTJA) for use in direct marketing as referred to in the section entitled Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對國泰君安按個人資料收集聲明內以提供個人資料作直接促銷為標題的分段所述,向國泰君安集團(不包括國泰君安本公司)提供本人/吾等之個人資料作直接促銷用途。

The above represents my/our present choice of whether or not to receive direct marketing contact or information. This shall replace any choice I/we may have given to GTJA previously.

以上乃本人/吾等對是否收取直接促銷之聯繫或資料之選擇。這會取代本人/吾等過往作出之選擇。

Client Signature:

客戶簽名: _____

Client Name:

客戶名稱: _____

Account Number:

帳號: _____

Date:

日期: _____