



## Consent relating to China Connect Securities Trading Services

You acknowledge and agree that in providing our China Connect Securities Trading Services to you, we will be required to:

- (i) tag each of your orders submitted to the China Stock Connect (“CSC”) with a Broker-to-Client Assigned Number (“BCAN”) that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and
- (ii) provide to The Stock Exchange of Hong Kong Limited (“Exchange”) your assigned BCAN and such identification information including but not limited to your Name, ID Issuing Country, ID Type, ID Number (“Client Identification Data” or “CID”, relating to you and/or other information as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we, a Citi Entity (defined below), or any person who has obtained such data from us or the relevant Citi Entity may collect, store, use, disclose and transfer personal data relating to you as required as part of our China Connect Securities Trading Services, 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.

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we, a Citi Entity, or any person who has obtained such data from us or the relevant Citi Entity 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 China Connect Securities Trading Services. 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 us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our China Connect Securities Trading Services.

#### Acknowledgement and Consent

I acknowledge I have read and understand the contents of this Consent Form and the Policy Statement relating to the Personal Data (Privacy) Ordinance of Citi Entity (Citibank, N.A. Hong Kong Branch, Citibank (Hong Kong) Limited, Citicorp International Limited and Diners Club International (Hong Kong) Limited, each a "Citi Entity") or any person who has obtained such data from Citi Entity considers appropriate. By ticking the box below, I signify my consent for the relevant Citi Entity to use my personal data on the terms of and for the purposes set out in this Consent Form and the Policy Statement relating to the Personal Data (Privacy) Ordinance.

I agree to Citi Entity's use of my personal data for the purposes set out in this Consent Form and the Policy Statement relating to the Personal Data (Privacy) Ordinance.

#### Points to note:

- **Please refer to China Connect Product Page for details and FAQ.**
- All customers in a joint relationship will have to provide their consent in order for buy orders to proceed.
- For more details regarding Investor ID Model for Northbound Trading under China Connect, please refer to HKEX website.
- Data of a Data Subject may be processed, kept, transferred or disclosed in and to any country as the Citi Entity (Citibank, N.A. Hong Kong Branch, Citibank (Hong Kong) Limited, Citicorp International Limited and Diners Club International (Hong Kong) Limited, each a "Citi Entity") or

any person who has obtained such data from Citi Entity considers appropriate. Such data may also be processed, kept, transferred or disclosed in accordance with the local practices and laws, rules and regulations (including any governmental acts and orders) in such country. For details of Citi Policy Statement relating to the Personal Data (Privacy) Ordinance, please refer to Citi website.

- If your Chinese name (if any) is in Simplified Chinese characters in your identification document, we would require at least an additional 3 trading day to process your consent.
- Please remind it takes at least T+2 northbound trading days to complete the China Connect Consent registration, you can only trade after successful registration of your BCAN with relevant exchanges.

Customer Signature

X \_\_\_\_\_  SW/SV

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Customer No.: \_\_\_\_\_

Customer Signature

X \_\_\_\_\_  SW/SV

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Customer No.: \_\_\_\_\_

Customer Signature

X \_\_\_\_\_  SW/SV

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Customer Signature

X \_\_\_\_\_  SW/SV

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Customer No.: \_\_\_\_\_

With respect to this form and any other relevant documents, in case of any discrepancy between the English and Chinese version, the English version shall prevail.

Citibank, N.A., organized under the laws of U.S.A. with limited liability