



Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) Client Consent

Following the SFC's decision to proceed with the implementation of investor identification regime at trading level for the securities market in Hong Kong (HKIDR) and over-the-counter securities transactions reporting regime for shares listed on the Stock Exchange of Hong Kong, we are required to obtain your consent on the disclosure and transfer of your personal data.

You acknowledge and agree that we Citibank (Hong Kong) Limited may collect, store, process, use, disclose and transfer personal data relating to you [the client] (including your CID and BCAN(s)) as required for us to provide services to you 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 includes –

- (a) disclosing and transferring your 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 your 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 your 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.
- (d) providing BCAN 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 your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your 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 your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

You also agree that despite any subsequent purported withdrawal of consent by you, your 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 us with your personal data or consent as described above may mean that we 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).

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.

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.

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.

I **disagree** 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 Hong Kong Stock Services Product Page for details and FAQ.
- Customers are only eligible to trade upon the assignment of BCAN number
- All customers in a joint relationship will have to provide their consent in order for buy orders to proceed.
- If you/your joint holder(s) have not provided the Hong Kong Investor Identification Regime Client Consent or your BCAN has not yet been registered successfully before the monthly execution day, your Regular Saving Plan(s) will be terminated.
- If you do not provide the consent, under the HKIDR, your BCAN or CID will not be submitted to SEHK and it should only effect sell orders or trades in respect of existing holdings of a listed security (but not buy orders or trades). Similarly, under OTCR, without your consent provided, your CID will not be submitted to the SFC and it should only effect transfers of shares out of and withdrawals of physical share certificates from your account, but not transfers of shares or deposits of physical share certificates into your account.
- The following information will be collected.
 - **For individual client:**
 - full name as shown on the identity document;
 - identity document's issuing country or jurisdiction;
 - identity document type (order of priority: (1) HKID card; (2) national identification document; (3) passport); and
 - identity document number on the identity document.
 - **For corporate client:**
 - full name as shown on the identity document;
 - identity document's issuing country or jurisdiction;
 - identity document type (order of priority: (1) LEI registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents); and
 - identity document number on the identity document.
- By submitting the consent, you acknowledge that your submitted CID is accurate (e.g.CID is in accordance with the waterfall). If your ID type is not eligible or expired, or your CID is not in compliance with the waterfall requirements under the HKIDR, please update at your earliest convenience; otherwise you can only be allowed to conduct the sell orders.
- For more details regarding Investor ID Model for Hong Kong Stock trading, 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.

Customer Signature

X _____ SW/SV

Date: _____

Name: _____

Customer No.:

Customer Signature

X _____ SW/SV

Date: _____

Name: _____

Customer No.:

Customer Signature

X _____ SW/SV

Date: _____

Name: _____

Customer No.:

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