

To : Yue Xiu Securities Co. Ltd (“Yue Xiu Securities”)

Dear Sirs,

Client Consent Letter
Northbound China Stock Connect Orders (Investor Identification Model)
and the China Stock Connect Information Collection Statement

Processing of Data as part of the Stock Connect Northbound Trading

I/ We acknowledge and agree that in providing China Stock Connect Northbound Trading Service to me/ us, Yue Xiu Securities will be required to:

- (i) tag each of my/ our orders submitted to the China Stock Connect System (“CSC”) with a Broker-to-Client Assigned Number (“**BCAN**”) that is unique to me/ us or the BCAN that is assigned to our joint account with Yue Xiu Securities, as appropriate; and
- (ii) provide to The Stock Exchange of Hong Kong Limited (the “Exchange”) my/ our assigned BCAN and such identification information (“**Client Identification Data**” or “**CID**”) relating to me/ us as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification Yue Xiu Securities has given me/ us or consent Yue Xiu Securities has obtained from me/ us in respect of the processing of my/ our data in connection with my/ our account and Yue Xiu Securities’ services to me/ us, I/ we acknowledge and agree that Yue Xiu Securities may collect, store, use, disclose and transfer data relating to me/ us as required as part of Yue Xiu Securities’ Stock Connect Northbound Trading Service, including as follows:

- (a) to disclose and transfer my/ our BCAN and CID to the Exchange and the relevant subsidiaries of the Exchange from time to time, including by indicating my/ our 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 subsidiaries of the Exchange to: (i) collect, use and store my/ our 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 Hong Kong Exchanges and Clearing Limited (“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 my/ our 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 subsidiaries of the Exchange; (ii) use my/ our 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 my/ our 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 Yue Xiu Securities in respect of any transaction relating to China Connect Securities, I/ we acknowledge and agree that Yue Xiu Securities may use my/ our 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. I/ We also acknowledge that despite any subsequent purported withdrawal of consent by me/ us, my/ our 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 Yue Xiu Securities with my/ our data or consent as described above may mean that Yue Xiu Securities will not, or no longer be able, as the case may be, to carry out our trading instructions or provide us with China Stock Connect Northbound Trading Service.

Acknowledgement and Consent

I/ We acknowledge that I/ we have read and understand the content of the China Stock Connect Information Collection Statement of Yue Xiu Securities. I/ We hereby give my/ our consent for Yue Xiu Securities to use my/ our data on the terms of and for the purposes set out in the China Stock Connect Information Collection Statement.

Client's Name:

Account Number:

Client's Signature

Date