



## Supplemental Personal Information Collection Statement (For Individual, Sole Proprietorship and Partnership)

### Processing of Personal Data as part of the Stock Connect Northbound Trading Service

You acknowledge and agree that in providing the Stock Connect Northbound Trading Service of Hang Seng Bank ("the Bank") to you, the Bank and its Related Person will be required to:

- (i). tag each of your orders submitted to the China Stock Connect System with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the **BCAN** that is assigned to your joint account (if any); and
- (ii). provide to The Stock Exchange of Hong Kong Limited ("**SEHK**") your assigned BCAN and such identification information ("**Client Identification Data**" or "**CID**") relating to you as SEHK may request from time to time under its rules.

Without being limited to any notification the Bank has given you or consent from you in respect of the processing of your personal data, you acknowledge and agree that the Bank and its Related Person may collect, store, use, disclose and transfer your personal data as required as part of the Bank's Stock Connect Northbound Trading Service, including:

- (a). to disclose and transfer your BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including tagging your BCAN when inputting a China Connect order into the China Stock Connect System, which will be routed to the relevant China Connect Market operator on a real-time basis;
- (b). to allow each of the SEHK 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 Hong Kong Exchanges and Clearing Limited) for market surveillance and monitoring and enforcement of the SEHK's rules; (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 to enable them to perform their functions;
- (c). to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID for 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 SEHK and the relevant SEHK Subsidiaries; (ii) use your BCAN and CID to perform its regulatory functions of securities account management; and (iii) disclose such information to the Mainland China regulatory authorities and law enforcement agencies for them to perform their regulatory, surveillance and enforcement functions; 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 China regulatory authorities and law enforcement agencies for them to perform their regulatory, surveillance and enforcement functions.

By giving the Bank any instruction relating to China Connect Securities, you acknowledge and agree that the Bank and its Related Person may use your personal data to comply with the requirements of the SEHK and its rules in force from time to time in connection with the Stock Connect Northbound Trading Service. You also acknowledge that even if you later claim to withdraw your consent, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such withdrawal and that your personal data may be retained by the Bank for not less than 20 years according to the regulatory requirements. You acknowledge that acceptance of this Supplemental Personal Information Collection Statement will not change your direct marketing preference with the Bank.

### If you fail to provide Personal Data or Consent

If the Bank does not receive your personal data when the Bank asks for it or your above-mentioned consent (or in the case of joint accounts, the personal data or consent of all the account holders), the Bank may not, or may no longer be able to, carry out your trading instructions or provide you with the Bank's Stock Connect Northbound Trading Service.

Note: Terms not otherwise defined herein shall have the same meaning as ascribed to them in the Bank's Stock Connect Terms. In case of discrepancies between the English and Chinese version, the English version shall apply and prevail.

Hang Seng Bank Limited

July 2018