



Supplemental Personal Information Collection Statement (Local Securities) (For Individual)

Processing of Personal Data as part of the Local Securities Service

In addition to information set out in the Notice to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance (https://www.hangseng.com/content/dam/hase/config/bde/pws/common/pdfs/notice_e.pdf), Hang Seng Bank Limited (the "Bank") may collect, store, process, use, disclose and transfer personal data relating to you (including your Client Identification Data ("CID") and Broker-to-Client Assigned Number ("BCAN(s)")) as required for the Bank to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong ("SEHK"), submitting your Initial Public Offering ("IPO") application(s) to Hong Kong Securities Clearing Company Limited ("HKSCC") 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;
- (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; and
- (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 confirm that the CID and personal data as maintained with the Bank is provided following the order of priority for identity document type as specified by the SFC, is accurate and is most up-to-date:

- (1) Hong Kong Identity Card
- (2) National identification Document
- (3) Passport

You undertake to immediately notify in writing and provide the latest personal data to the Bank should there be any change in your personal data (e.g. identity document is expired) at any future time.

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.

If you fail to provide Personal Data or Consent

Failure to provide the Bank with your personal data or consent as described above may mean that the Bank will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with certain securities related services (e.g. if the client consent cannot be obtained from you, under the Hong Kong Investor Identification Regime ("HKIDR"), we should not submit any buy orders or trades to SEHK for you. Similarly, under Over-the-counter Securities Transactions Reporting Regime ("OTCR"), if the client consent cannot be obtained from you, we should not effect transfers of shares or deposits of physical share certificates into your account. If the client consent cannot be obtained from you, under Fast Interface for New Issuance ("FINI"), your IPO application may not be accepted).

Notes:

1. 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, namely:

"BCAN" means a "Broker-to-Client Assigned Number", being a unique identification code in the format prescribed by SEHK, generated by a relevant licensed or registered person in accordance with SEHK's requirements.

"CID" means the following information in relation to a client to whom a BCAN is assigned:

- (i) the full name of the client as shown in the client's identity document;
- (ii) the issuing country or jurisdiction of the identity document;
- (iii) the identity document type; and
- (iv) the identity document number.

2. For joint name account, all account holders must separately provide consent and the most up-to-date personal data in the priority for CID specified by SFC. The Bank will then transmit the personal data of all account holders to SEHK for registration.

In case of discrepancies between the English and Chinese version, the English version shall apply and prevail.

Hang Seng Bank Limited

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