

Supplemental Customer Information Collection Statement

(For Corporate Customers other than Sole Proprietorship and Partnership)

Processing of Customer Information as part of the Stock Connect Northbound Trading Service

The Customer acknowledges and agrees that in providing the Stock Connect Northbound Trading Service of Hang Seng Bank ("the Bank") to the Customer, the Bank and its Related Person will be required to:

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

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

- (a). to disclose and transfer the Customer's BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including tagging the Customer's 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 the Customer's 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 the Customer's 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 the Customer's 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 the Customer's 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, the Customer acknowledges and agrees that the Bank and its Related Person may use the Customer's information 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. The Customer also acknowledges that even if the Customer later claims to withdraw the Customer's consent, the Customer's information may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such withdrawal and that the Customer's information may be retained by the Bank for not less than 20 years according to the regulatory requirements. The Customer acknowledges that acceptance of this Supplemental Customer Information Collection Statement will not change the Customer's direct marketing preference with the Bank.

If the Customer fails to provide Customer Information or Consent

If the Bank does not receive the Customer's information when the Bank asks for it or the above-mentioned consent, the Bank may not, or may no longer be able to, carry out the Customer's trading instructions or provide the Customer 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