

**Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) and OTC Securities Reporting Regime (OTCR)**

**(“Personal Information Collection Statement”)**

Client name: \_\_\_\_\_

Client name: \_\_\_\_\_

You acknowledge and agree that in providing TFI Securities and Futures Limited’s (“**We**” or “**TFI**”) services on securities listed or traded on the Stock Exchange of Hong Kong (the “**SEHK**”) to you, TFI will be required to:

- (i) tag each of your orders under securities accounts held by you with a Broker-to-Client Assigned Number (“**BCAN**”) that is unique to you or the BCAN that is assigned to your joint account with TFI, as appropriate.
- (ii) disclosing and transferring your BCAN(s) and client identification data (“**CID**”) to SEHK and/or the Securities and Futures Commission (the “**SFC**”) in accordance with the rules and requirements of SEHK and the SFC in effect from time to time.

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your securities account or our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our services in relation to securities listed or traded on SEHK, including as follows:

- (a) allowing we to disclose and transfer 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.

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.

**Consequences of failing to provide Personal Data or Consent**

- (i) Under the HKIDR, failure to provide us with your personal data or consent as described above for our services on securities listed or traded on the SEHK may mean that we will not, or no longer be able to, as the case may be, carry out your buy instructions or provide you with securities related services on securities listed or traded on SEHK, other than to sell or carry out instructions on your existing holdings of securities.
- (ii) Under OTCR, failure to provide us with your personal data or consent as described above for our services on securities listed or traded on the SEHK may mean that we will not, or no longer be able to, as the case may be, accept a transfer of Hong Kong shares into your account(s) or a deposit of physical certificates of Hong Kong shares into your account(s), other than to transfer shares out of your account(s) or withdraw physical certificates of shares out of your account(s).

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 content of this Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) and OTC Securities Reporting Regime (OTCR). By ticking the box below, I signify my consent or objection for TFI Securities and Futures Limited (“TFI”) to use my personal data on the terms of and for the purposes set out in this Personal Information Collection Statement.

I agree to TFI’s use of my personal data for the purposes set out in the Personal Information Collection Statement.

I object to TFI’s use of my personal data for the purposes set out in the Personal Information Collection Statement, and acknowledge that TFI will not or no longer be able to carry out my buy instructions on securities listed or traded on SEHK for all my securities accounts, and will not or no longer be able to accept a transfer of Hong Kong shares or a deposit of physical certificates of Hong Kong shares into my securities accounts.

Client’s signature(s):
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Client name: \_\_\_\_\_  
Client name: \_\_\_\_\_  
Date: \_\_\_\_\_

<b>For official use only</b>
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Sign	S.V	Input By:	Checked By;
Name			
Date			