

**KGI ASIA LIMITED**  
**HKIDR AND OTCR FORM – INDIVIDUAL/JOINT ACCOUNT**

Under the Hong Kong investor identification regime (“HKIDR”) and the over-the-counter securities transaction reporting regime (“OTCR”), KGI Asia Limited (“KGIA”) is required to collect up-to-date client identity documents and identification data and the consent for collection, transfer and use of personal data as set out below from its clients in accordance with the regulatory requirements.

**A. Consent for Personal Data**

I/We acknowledge and agree that KGIA may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for KGIA to provide services to me/us in relation to securities listed or traded on the Stock Exchange of Hong Kong (“SEHK”) 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 my/our 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 my/our 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 my/our 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 my/our BCAN(s) to Hong Kong Securities Clearing Company Limited (“HKSCC”) and allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store my/our CID and transfer my/our CID to the issuer’s share registrar to enable HKSCC and/or the issuer’s share registrar to verify that I/we have not made any duplicate applications for the relevant share subscription and to facilitate public offers balloting and public offers settlement; and (ii) process and store my/our CID and transfer my/our CID to the issuer, the issuer’s share registrar, the SFC, SEHK and any other parties involved in the public offers for the purposes of processing my/our application for the relevant share subscription or any other purposes set out in the public offering issuer’s prospectus.

I/We also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

**Failure to provide KGIA with my/our personal data or consent as described above may mean that KGIA will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).**

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.

**B. Customer Identification Data (CID)**

I/We acknowledge the order of priority of accepted identity documents required by the Securities and Futures Commission as set out below:

- (1) HKID card\*                      (2) National identification document                      (3) Passport

*\*If you hold a HKID card but have used other types of identity document(s) to open or hold your account at KGIA, you shall provide a copy of your HKID card to KGIA for updating your CID.*

**C. Client Consent and Undertaking**

- (a) I/We agree to the terms of the above Consent for Personal Data.
- (b) I/We represent and confirm that I/we have provided to KGIA my/our identity document(s) and customer identification data which conform to the order of priority of identity documents required by the Securities and Futures Commission and are correct, valid and up-to-date, unless otherwise indicated below. I/We undertake to update KGIA of any changes of my/our information promptly.

(If applicable) I/We would like to update my/our identification data and provide cop(ies) of my/our up-to-date identity document(s) to KGIA (*Please tick the type of document*):

- (1) HKID Card       (2) National identification document       (3) Passport

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Client's Signature(s) (All account holders of joint account must sign.)

Client's Name(s):

Account Number:

Date:

**Instructions for submission of this form:**

*KGIA accepts the signing and submission of this form by the following methods:*

(i) *Via KGIA's website:*

*Please complete and sign the paper form and then upload a copy of it together with cop(ies) of your up-to-date identity document(s) (if updating is required) to KGIA's website at <https://acc.kgi.com.hk/hkidr/en>.*

*OR*

(ii) *Via KGIA's electronic trading platform (Not applicable to joint clients):*

*After logging into KGIA's WebTrade (Personal Profile >HKIDR) or KGI Asia Power Trader (Account >HKIDR), you may complete and sign this form electronically and upload cop(ies) of your up-to-date identity document(s) (if updating is required).*

*(In case of any discrepancy between the English and the Chinese versions, the English version shall prevail.)*

**凱基證券亞洲有限公司**  
**香港投資者識別碼制度及場外證券交易匯報制度表格 - 個人/聯名帳戶**

在香港投資者識別碼制度(HKIDR)及場外證券交易匯報制度(OTCR)下，凱基證券亞洲有限公司（“凱基亞洲”）必須按監管要求，收集最新的客戶身分證明文件及識別信息，及下述客戶對收集、轉移和使用其個人資料的同意書。

**A. 個人資料同意**

本人/吾等明白並同意，凱基亞洲為了向本人/吾等提供與在香港聯合交易所（“聯交所”）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（“證監會”）的規則和規定，凱基亞洲可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料（包括本人/吾等的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括—

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移本人/吾等的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i)收集、儲存、處理及使用本人/吾等的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；
- (c) 允許證監會：(i)收集、儲存、處理及使用本人/吾等的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料；及
- (d) 向香港中央結算有限公司（“香港結算”）提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於本人/吾等的客戶識別信息，及向發行人的股份過戶登記處轉移本人/吾等的客戶識別信息，以便核實本人/吾等未就相關股份認購進行重複申請，以及便利公開招股抽籤及公開招股結算程序；及(ii)處理及儲存本人/吾等的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移本人/吾等的客戶識別信息，以便處理本人/吾等對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

本人/吾等亦同意，即使本人/吾等其後宣稱撤回同意，本人/吾等宣稱撤回同意後，本人/吾等的個人資料仍可繼續被儲存、處理、使用、披露或轉移以作上述用途。

**本人/吾等如未能向凱基亞洲提供個人資料或上述同意，可能意味著凱基亞洲不會或不能夠再（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供證券相關服務，惟出售、轉出或提取本人/吾等現有的證券持倉（如有）除外。**

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

## B. 客戶識別信息

本人/吾等知悉證券及期貨事務監察委員會要求的可接納身分證明文件的優先排序如下:

- (1) 香港身份證\*      (2) 國民身分證明文件      (3) 護照

\* 如閣下持有香港身份證，但先前使用其他類別的身分證明文件開立或持有凱基亞洲帳戶，閣下必須向凱基亞洲提供香港身份證副本以便更新閣下的客戶識別信息。

## C. 客戶同意及承諾

- (a) 本人/吾等同意上述個人資料同意的條款。
- (b) 本人/吾等聲明並確認，本人/吾等已向凱基亞洲提供符合證券及期貨事務監察委員會要求的身分證明文件優先排序，並且是正確、有效和最新的身分證明文件和客戶識別信息，下文另有說明除外。本人/吾等承諾會及時通知凱基亞洲任何資料變更。

(如適用) 本人/吾等需要更新客戶識別信息，並向凱基亞洲提供最新的身分證明文件副本(請勾選文件類別)：

- (1) 香港身份證       (2) 國民身分證明文件       (3) 護照

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客戶簽署 (所有聯名客戶必須簽署)

客戶姓名:

帳戶號碼:

日期:

### 遞交表格指示：

凱基亞洲接受客戶透過以下方式簽署和遞交本表格：

- (i) 透過凱基亞洲網頁：  
請填寫及簽署實體表格後，將表格連同最新的身分證明文件副本(如需要更新)，上傳到凱基亞洲網站，連結是 <https://acc.kgi.com.hk/hkidr/chi>。
- 或
- (ii) 透過凱基亞洲電子交易平台(不適用於聯名客戶)：  
登入凱基亞洲的 WebTrade (個人資料庫 > 香港投資者識別碼制度) 或凱基亞洲投資通 (帳戶 > 香港投資者識別碼制度)後，以電子方式填寫及簽署本表格，並上傳最新的身分證明文件副本(如需要更新)。

(如中、英文版本有任何歧義，概以英文版本為準。)