Hong Kong Investor Identification and OTC securities reporting Regime – Client Agreement

The client acknowledges and agrees that Emperor Securities Limited ("Emperor") may collect, store, process, use, disclose and transfer personal data relating to the client (including the client's CID and BCAN(s)) as required for Emperor to provide services to the client in relation to securities listed or traded on the Hong Kong Exchanges and Clearing Limited and/or its subsidiaries and affiliates ("HKEx") and for complying with the rules and requirements of HKEx and the Securities and Futures Commission ("SFC") in effect from time to time.

Without limiting the foregoing, this includes:

(a)   disclosing and transferring the client's personal data (including CID and BCAN(s)) to HKEx and/or the SFC in accordance with the rules and requirements of HKEx and the SFC in effect from time to time;

(b)   allowing HKEx including but not limited to the Stock Exchange of Hong Kong Limited ("SEHK") and Hong Kong Securities Clearing Company Limited ("HKSCC") to: (i) collect, store, process and use the client's personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the relevant rules of HKEx, including but not limited to the trading and clearing rules of the SEHK and HKSCC ; 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 the client's 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.

The client also agrees that despite any subsequent purported withdrawal of consent by the client, the client's 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 Emperor with the client's personal data or consent as described above may mean that Emperor will not, or will no longer be able to, as the case may be, carry out the client's trading instructions or provide the client with securities related services (other than to sell, transfer out or withdraw the client's 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."

I/We have read and understood the above terms and conditions on the Hong Kong Investor Identification ("HKIDR") and OTC securities reporting Regime ("OTCR"):

☐   I/We agree that Emperor could collect, store, process, use, disclose and transfer personal data relating to me/us (including CID and BCAN(s)) for fulfilling the requirement of HKIDR and OTCR.

☐   I/We do not agree that Emperor could collect, store, process, use, disclose and transfer personal data relating to me/us (including CID and BCAN(s)) for fulfilling the requirement of HKIDR and OTCR.

Client Signature: _____

Client Name: _____

Account Number: _____   Date: _____

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