MOUETTE

有關香港投資者識別碼制度及場外證券交易匯報制度的客戶識別信息收集（適用於公司帳戶）

第一部 客戶識別信息

根據香港聯合交易所有限公司(「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，在香港投資者識別碼制度及場外證券交易匯報制度下，海盈證券有限公司(「海盈證券」)需要向客戶收集最新的客戶識別信息，以呈交至聯交所及證監會。客戶必須按證監會的要求根據以下優先次序提供身分證明文件及填寫有關資料。如果在開戶過程中未曾提供該身分證明文件，**請提供該身份證明文件的副本**。

公司客戶*(如不適用，請填上"N/A"。)*

第一優先	法律實體識別編碼	第二優先	公司註冊證明書號碼
			註冊地點
第三優先	商業登記證號碼	第四優先	其他同等文件，請註明:
	商業登記證發出地		其他同等文件之號碼及發出地

信託客戶的受託人*(如不適用，請填上"N/A"。)*

第一優先	香港身份證號碼	第二優先	國民身分證號碼	第三優先	護照號碼
			國民身分證發出地		護照發出地

或

第一優先	法律實體識別編碼	第二優先	公司註冊證明書號碼
			註冊地點
第三優先	商業登記證號碼	第四優先	其他同等文件，請註明:
	商業登記證發出地		其他同等文件之號碼及發出地

備註：

本文所述的「券商客戶編碼」及「客戶識別信息」具有以下含義：

- 「券商客戶編碼」指一個符合聯交所訂明的格式及由相關持牌人或註冊人按照聯交所的規定產生的唯一識別碼。

- 「客戶識別信息」指與獲編配券商客戶編碼的客戶有關的以下資料：(i) 身分證明文件上所示的全名；(ii) 身分證明文件的簽發國家或司法管轄區；(iii) 身分證明文件類別；及 (iv) 身分證明文件號碼。

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[1] 法律實體識別編碼指 legal entity identifier（簡稱"LEI"），即金融穩定委員會在全球 LEI 體系下採納的 20 位字符代碼，旨在以獨有的方式識別出參與金融交易的特定法律實體。

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第二部 客戶確認及同意

客戶明白並同意，海盈證券為了向客戶提供與在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監會的規則和規定，海盈證券可收集、儲存、處理、使用、披露及轉移與客戶有關的個人資料（包括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客戶的個人資料（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、處理及使用的客戶個人資料（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、處理及使用客戶的個人資料（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。客戶亦同意，即使客戶其後宣稱撤回同意，海盈證券在客戶宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移客戶的個人資料以作上述用途；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客戶的客戶識別信息，及向發行人的股份過戶登記處轉移客戶的客戶識別信息，以便核實客戶未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及 (ii) 處理及儲存客戶的客戶識別信息，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客戶的客戶識別信息，以便處理客戶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。

客戶如未能向海盈證券提供個人資料或上述同意，可能意味著海盈證券不會或不能夠再（視情況而定）執行客戶的交易指示或向客戶提供證券相關服務，惟出售、轉出或提取客戶現有的證券持倉（如有）除外。

客戶同意上述之客戶識別信息收集，並承諾若客戶根據優先次序有更新的身分證明文件，或已提供的身分證明文件有任何更新，客戶將會立即通知海盈證券，並提供已更新的身分證明文件副本。

客戶簽署: _____   帳戶號碼: _____

戶口名稱: _____   日期: _____

內部專用			
Signature Check	Inputted By	Checked By	Approved By

MSCL_HKIDR&OTCR Consent (Corp)_202308

MOUETTE

Client Identity Data Collection concerning Hong Kong Investor Identification Regime ("HKIDR") and Over-the-counter Securities Transactions Reporting Regime ("OTCR") *(Applicable to Corporate Account)*

Part I <u>Client Identification Data</u>

Pursuant to rules and regulations of the Stock Exchange of Hong Kong ("SEHK") and the Securities and Futures Commission ("SFC"), under the rules and requirements of HKIDR and OTCR, Mouette Securities Company Limited ("MSCL") are required to obtain the updated client identification data ("CID") from the Client and submit to SEHK and the SFC. The identity document should be obtained in accordance with the following waterfall requirement of the SFC (the "waterfall"). If such identification document is not provided during the account opening process, **please provide us with a copy of such identity document**.

For corporation client *(please fill in "N/A" if not applicable)*

1st priority	Legal Entity Identifier registration No.	2nd priority	Certificate of Incorporation No.
			Place of Incorporation
3rd priority	Business Registration Certificate No.	4th priority	Other Equivalent Documents, please specify:
	Place of Issue of Business Registration Certificate		No. and Place of Issue of Other Equivalent Documents

For trustee of trust account client *(please fill in "N/A" if not applicable)*

1st priority	HKID Card No.	2nd priority	National ID Card No.	3rd priority	Passport No.
			Place of Issue of National ID Card		Place of Issue of Passport:

OR

1st priority	Legal Entity Identifier registration No.	2nd priority	Certificate of Incorporation No.
			Place of Incorporation
3rd priority	Business Registration Certificate No.	4th priority	Other Equivalent Documents, please specify:
	Place of Issue of Business Registration Certificate		No. and Place of Issue of Other Equivalent Documents

Note: The terms "BCAN" and "CID" used here shall bear the below meanings:
- "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) full name as shown on its identity document; (ii) ID's issuing country or jurisdiction; (iii) ID type; and (iv) ID number.

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[2] LEI refers to the Legal Entity Identifier which is a 20-character alpha-numeric code under the Global LEI System adopted by the Financial Stability Board to uniquely identify distinct legal entities which participate in financial transactions.

MSCL_HKIDR&OTCR Consent (Corp)_202308

Part II Client Confirmation and Consent

The Client acknowledges and agrees that MSCL 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 us to provide services to the Client in relation to securities listed or traded on the SEHK and for complying with the rules and requirements of SEHK and the 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 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 the Client's 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 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; 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 the Client's CID and transfer the Client's CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that the Client has not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store the Client's CID and transfer the Client's 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 the Client's application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

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 MSCL with the Client's personal data or consent as described above may mean that MSCL 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).

The Client consents to the above client identity data collection. The Client hereby undertakes that if there are any updates of our identity documents according to the waterfall or any updates on the previously provided identity documents, the Client will MSCL immediately and provide a copy of the updated identity documents.

Client's Signature: _____   Account No.: _____

Account Name: _____   Date: _____

For Internal Use			
Signature Check	Inputted By	Checked By	Approved By