



Acknowledgement of Consent under Hong Kong Investor Identification Regime, OTC Securities Transactions Reporting Regime and Fast Interface for New Issuance ("FINI")

Name of Account Holder : _____ Account Number : _____

I/We acknowledge and consent that Solomon JFZ (Asia) Holdings Limited ("Solomon") may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our Customer Identification Data ("CID") and Broker-to-Client Assigned Number ("BCAN(s)") as required for Solomon to provide services to me/us in relation to securities listed or traded on The Stock Exchange of Hong Kong Limited ("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, my/our consent given to Solomon includes:

(a) disclosing and transferring my personal data (including CID and BCAN(s)), directly or indirectly through another broker or other intermediaries you may use in relation to the services you provide to me (if any), to Hong Kong Securities Clearing Company Limited (HKSCC), HKEX and/or the SFC in accordance with the rules and requirements of HKSCC, HKEX 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.

(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 your CID and transfer your CID to the issuer' s share registrar to enable HKSCC and/ or the issuer' s share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your 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 your application for the relevant share subscription or any other purpose set out in the IPO issuer' s prospectus.



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I/We also acknowledge and 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 you with my personal data or consent as described above may mean that you 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 existing holdings of securities, if any).

I/We understand and confirm that where you on my/our instructions provide services for the subscription or purchase of securities in a public offer in respect of a new listing on the HKEX, you may submit EIPO (as defined under Rules of Central Clearing and Settlement System established & operated by HKSCC) subscription on my/our behalf.

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."

Points to note :

- (1) Customers are only eligible to trade upon the assignment of BCAN number
- (2) All customers in a joint relationship will have to provide their consent in order for buy orders to proceed.
- (3) If you do not provide the consent, under the HKIDR, your BCAN or CID will not be submitted to SEHK and it should only effect sell orders or trades in respect of existing holdings of a listed security (but not buy orders or trades). Similarly, under OTCR, without your consent provided, your CID will not be submitted to the SFC and it should only effect transfers of shares out of and withdrawals of physical share certificates from your account, but not transfers of shares or deposits of physical share certificates into your account.
- (4) By submitting the consent, you acknowledge that your submitted CID is accurate (e.g.CID is in accordance with the waterfall). If your ID type is not eligible or expired, or your CID is not in compliance with the waterfall requirements under the HKIDR, please update at your earliest convenience; otherwise you can only be allowed to conduct the sell orders.
- (5) Data of a Data Subject may be processed, kept, transferred or disclosed in and to any country as the Solomon JFZ (Asia) Holdings Limited ("Solomon Securities") or any person who has obtained such data from Solomon Securities considers appropriate. Such data may also be processed, kept, transferred or



Solomon JFZ (Asia) Holdings Limited
華贏東方(亞洲)控股有限公司

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disclosed in accordance with the local practices and laws, rules and regulations (including any governmental acts and orders) in such country.

Acknowledgement and Consent

I/We acknowledge I/we have read and understand the contents of this Consent Form and the Policy Statement relating to the Personal Data (Privacy) Ordinance of Solomon JFZ (Asia) Holdings Limited ("Solomon Securities") or any person who has obtained such data from Solomon Securities considers appropriate. I/We hereby give my/our consent to Solomon Securities use of my/our personal data for the purposes set out in this Consent Form and the Policy Statement relating to the Personal Data (Privacy) Ordinance.

Signature of Account Holder(s)
(with company chop, ONLY if applicable)

Date

本公司內部用 For Official Use Only	
Signature verified by:	Handled by:
Approved by:	Effective Date:

With respect to this form and any other relevant documents, in case of any discrepancy between the English and Chinese version, the English version shall prevail.