

太平証券(香港)有限公司
Taiping Securities (HK) Co Limited

Unit 3, 19/F, No.18 King Wah Road, Hong Kong
Licensed Corporation of Securities and Futures Commission (CE No. AAE494) &
Participant of The Stock Exchange of Hongkong Ltd. (Participant ID: 01217)

Tel : 3716 8388 Fax : 2815 1499
www.tpfh.cntaiping.com/tc

Application Form (Individual)	
<p>This Application Form is to be read in conjunction with, and forms part of, the Taiping Securities (HK) Co Limited Terms of Business (“Terms of Business”). Unless otherwise defined, words defined in the Terms of Business shall have the same meaning when used in this Application Form.</p> <p>Taiping Securities (HK) Co Limited (“Taiping”) is currently licensed to engage in Type 1 (<i>dealing in securities</i>) regulated activity under the Securities and Futures Ordinance (Cap 571) (“SFO”).</p> <p>You should complete this form if the customer is an individual. If two persons are proposing to jointly apply for a product, one form should be completed for each applicant. If the customer is a company, trust or partnership, a different Application Form will need to be completed. Please speak to your Taiping representative.</p> <p>Instructions and disclaimers</p> <ol style="list-style-type: none"> Complete this Application Form by typing it, or handwriting it in blue or black pen ink. Do not use correction fluid/tape or pencil. Please initial all corrections. Complete one form for each customer. This Application Form and the ancillary documents (if any) to be signed (in a language of your choice) are intended to create legal relations and binding obligations between you and Taiping. You should therefore consult your own legal, tax and financial advisers prior to signing. Each agent, or power of attorney acting on behalf of a customer must identify themselves and provide supporting documentation. Please provide certified copies of identity documents as specified in this form. A list of people who can certify documents is included in this form. 	

Section 1 Customer details	
Account details	
Application for the types of account:	<input type="checkbox"/> Securities Cash Account <input type="checkbox"/> Securities Margin Account
Market:	<input type="checkbox"/> Hong Kong <input type="checkbox"/> Mainland China <input type="checkbox"/> Singapore <input type="checkbox"/> United States
Product:	<input type="checkbox"/> Hong Kong Securities <input type="checkbox"/> China Connect (Shanghai-Hong Kong Stock Exchange and Shenzhen-Hong Kong Stock Exchange) <input type="checkbox"/> China B Share <input type="checkbox"/> Singapore Stock <input type="checkbox"/> U.S Securities
Personal information	
Title	<input type="checkbox"/> Mr <input type="checkbox"/> Ms
Full Name	(English): _____ (Chinese): _____
Joint Account Holder name (if applicable): Note: each Joint Account Holder should complete one Account Application Form.	(English): _____ (Chinese): _____
Is the person acting in a trustee capacity? If yes, please speak to your Taiping representative, as additional forms may need to be completed.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Date of birth (day/month/year)	Nationality

Internet Services	
<input type="checkbox"/> Confirm to use	<input type="checkbox"/> Confirm not to use
Real Time Quote Services	
<input type="checkbox"/> YES (subject to service charge)	<input type="checkbox"/> NO
Source of Assets	
<input type="checkbox"/> Deposits <input type="checkbox"/> Salary <input type="checkbox"/> Inheritance <input type="checkbox"/> Rental <input type="checkbox"/> Investment <input type="checkbox"/> Others(please specify): _____	
Origin of Source of Funds	
<input type="checkbox"/> Hong Kong <input type="checkbox"/> Mainland China <input type="checkbox"/> Macau <input type="checkbox"/> United States <input type="checkbox"/> Canada <input type="checkbox"/> Others(please specify): _____	
Expected daily transaction volume	
<input type="checkbox"/> <HKD50,000 <input type="checkbox"/> HKD50,001-250,000 <input type="checkbox"/> HKD250,001-500,000 <input type="checkbox"/> HKD500,001-2,000,000 <input type="checkbox"/> Others (please specify): _____	
Expected Investment products:	
<input type="checkbox"/> equities (e.g., shares) <input type="checkbox"/> structured products (e.g., warrants) <input type="checkbox"/> debt instruments (e.g., bonds) <input type="checkbox"/> unit trusts / funds <input type="checkbox"/> Others (please specify): _____	
Frequency and volume:	
<input type="checkbox"/> daily transaction <input type="checkbox"/> weekly transaction <input type="checkbox"/> monthly transaction <input type="checkbox"/> quarterly transaction <input type="checkbox"/> Others (please specify): _____	
Related account(s)	
Are you a spouse/relative of an employee or director of Taiping?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please state the name of the employee/director: <hr/> Relationship: <input type="checkbox"/> Husband or wife <input type="checkbox"/> Parent/child <input type="checkbox"/> Other: _____
Are you an employee of entities or persons licensed by or registered with the SFC?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please state the employer's name and provide your employer's consent letter : _____
Identity of ultimate beneficial owner	<input type="checkbox"/> Customer <input type="checkbox"/> Other If other, please state: _____
<u>For Securities Margin Account only</u>	
Is your spouse a margin client of Taiping?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please state the account no. and name: _____
Is your spouse an employee of entities or persons licensed by or registered with the SFC?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please state the account no. and name: _____
Are you, either alone or with your spouse, entitled to exercise control of 35% or more of the voting rights of any corporate margin account with Taiping?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please state the account no. and name: _____

Identity of person(s) ultimately responsible for originating instructions	
Are you ultimately responsible for originating instructions?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If no, please state the identity of person(s) ultimately responsible for originating instructions.	
Title	<input type="checkbox"/> Mr <input type="checkbox"/> Ms
Full Name	(English): _____ (Chinese): _____
Date of birth (day/month/year)	Nationality
Home address	Permanent address (if different)
Country(s) of citizenship	HKID or Passport Number and issuing country
Home telephone number	Mobile phone number
Email address	

Section 2 Customer's bank account			
	Hong Kong dollar	Reminbi	U.S. dollar
Bank name			
Bank account number			
Account holder's name			

Section 3 Certification of tax residency	
<p>Important Notes :</p> <ul style="list-style-type: none"> This is a self-certification form provided by the Customer to Taiping for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Taiping to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. The Customer should report all changes in its tax residency status to Taiping. All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). 	
Common Reporting Standard Individual Self-Certification	
Country of Tax Residence:	Taxpayer Identification Number or equivalent number (TIN): (For Hong Kong tax resident, the TIN is the Hong Kong Identity Card Number. Explanation is required if the TIN cannot be provided)
(1)	
(2)	
(3)	

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000)

Section 4 Foreign Account Tax Compliance Act (“FATCA”) Status (if applicable)

Customer Notice for this section:

1. The customer shall guarantee the truthfulness, accuracy, completeness and legitimacy of the information provided in this statement, and shall bear any consequence caused by its failure to provide the information as required.
2. In case of changes in the information provided by the customer in the statement, the customer shall notify Taiping Securities (HK) Co Limited (“Taiping”) in writing within 30 working days upon occurrence of such changes, provide Taiping with updated version and related supporting documents according to the format of the Statement, and go through change formalities.
3. Where customer fails to timely and accurately provide personal identity information to Taiping in accordance with the requirements on national (international) tax declaration which results in personal losses, the customer shall bear the responsibility for such losses on his own. The customer shall assume the whole responsibility in case of causing losses to Taiping.
4. The Customer agrees to provide related documents as required by Taiping and accept the inspections by Taiping and other institutions concerned.
5. The Customer shall authorize Taiping to withhold taxes from the accounts opened by the Customer with the Head Office or any branch Taiping in accordance with regulatory requirements or the agreements between Taiping and domestic/foreign tax authorities. The amount of withheld taxes shall meet the regulatory requirements or the requirements of domestic/foreign tax authorities.
6. If the Customer breaches this section, Taiping shall have the right to take the following measures as the case may be: requiring the customer to rectify misconduct within a specified period; suspending or terminating the business relations with the Customer; refusing to render services any longer; declaring prior expiration of the contract that has been signed but has not been fully performed; requiring the customer to indemnify Taiping against the losses incurred thereby; other measures that Taiping considers necessary.
7. This section shall come into effect as of the date when it is signed by the Customer or authorized representative.
8. The customer authorises Taiping to submit related information of the customer to relevant institutions according to the requirements on national (international) tax declaration.

This section was not intended or written to be used, and it cannot be used, for the purpose of avoiding U.S. federal, state or local tax penalties. This includes penalties that may apply if the transaction that is the subject of this document is found to lack economic substance or fails to satisfy any other similar rule of law.

The Written Statement for Individual Customer FATCA status

This written statement needs to be completed by the individual customer wishing to open accounts.

Customer Personal Information

The U.S. / Non-U.S. status of customer

“✓” in relevant boxes

I certify that I am a U.S. individual (see Note) Non-U.S. individual

Note: For federal tax purposes, one is considered a U.S. person if the Customer is an individual who is a U.S. citizen or U.S. resident alien.

Section 5 Risk disclosure

Taiping may provide the customer with a separate risk disclosure notice, customer’s attention should be specifically drawn to the risk disclosure document.

Section 6 Data Privacy

Taiping collects personal data in order to provide the Customer with products and services in accordance with Taiping’s Personal Information Collection Statement (provided to you with this Application Form) and Taiping’s Privacy Policy Statement (available on request).

Direct marketing

The below options represent my/our present choice of whether or not to receive direct marketing contact or information. This replaces any choice previously communicated by me/us to Taiping.

Opt-out from use of personal data in direct marketing by Taiping	
<p>Taiping intends to use my/our personal data in direct marketing and cannot do so without my/our consent. If the Customer do not wish Taiping to use my/our personal data in direct marketing or do not wish to receive direct marketing materials by certain channels, the Customer should tick ("✓") any of the following opt-out channel(s):</p> <p><input type="checkbox"/> Email (email address provided above) <input type="checkbox"/> SMS (mobile phone number provided above)</p> <p><input type="checkbox"/> All channels (including email, mail, SMS, phone)</p>	
Opt-out from provision of my personal data to other persons for direct marketing	
<p><input type="checkbox"/> Taiping may provide my/our personal data to other persons for their use in direct marketing, whether or not such persons are members of the Taiping group. The Customer should tick ("✓") this box if the Customer do not wish Taiping to provide my/our personal data to any other persons for their use in direct marketing.</p> <p>Note: The above choice applies to the direct marketing of the classes of products, services and/or subjects, the kinds of data which may be used in direct marketing and the classes of persons to which data may be provided for them to use in direct marketing as set out in Taiping's Notice to Customer in relation to Personal Data (Privacy) Ordinance (Cap 486) ("Taiping's Data Policy Notice").</p>	
Consent to the use of personal data in the Hong Kong Investor Identification Regime ("HKIDR")	
<p><input type="checkbox"/> Taiping may collect, store, process, use, disclose and transfer my/our personal data for the purpose of the HKIDR. The Customer should tick ("✓") this box if the Customer agrees with such use of the Customer's personal data in accordance with Taiping's Personal Information Collection Statement and Privacy Policy Statement.</p>	

Section 7 Authorised Person or Margin Call Contact (if applicable)		
Authorised Person		
The Customer authorises the following person as the authorised person to act on behalf of the Customer in respect of the accounts.		
Authorised Person		
Name	(English): _____ (Chinese): _____	
Relationship with the Customer	HKID or Passport Number and Issuing country	
Reasons of authorisation	Mobile telephone number	Email
Licensed/ registered under Securities and Futures Ordinance	<input type="checkbox"/> Yes. CE No: _____ (Please provide employer's consent letter) <input type="checkbox"/> No	
Scope of authorisation		
<input type="checkbox"/> operating the Accounts <input type="checkbox"/> effecting purchases, sales, holdings and other dealings in securities of the Accounts <input type="checkbox"/> handling funds movement into and out of the Accounts <input type="checkbox"/> signing and executing any documentation in connection with the Account		
Authorisation period (dd/mm/yy - dd/mm/yy)	Specimen signature	
Customer's Margin Call Contact (if applicable)		
The Customer authorises the following person(s) as the Margin Call Contact(s) in respect of the Margin Accounts.		
	Margin Call Contact 1	Margin Call Contact 2
Name	(English): _____ (Chinese): _____	(English): _____ (Chinese): _____
Relationship with the Customer		

Email		
Mobile telephone number		

Section 8 Customer's Risk Profile and Knowledge on Derivative Instruments

Customer Risk Profile

1. Which of the following age range does the Customer fall into?

- (a) 18 - 24
 (b) 25 - 35
 (c) 36 - 50
 (d) 51 - 64
 (e) 65 or above

2. Please indicate your highest education level completed:

- (a) Primary level or below
 (b) Secondary level (e.g., having completed the HKCEE and HKALE)
 (c) Bachelor's degree
 (d) Postgraduate diploma, Master's degree, Doctorate degree

3. What is the average percentage of the net liquid assets that Customer will set aside for investment?

- (a) Less than 10%
 (b) 10% to less than 20%
 (c) 20% to less than 30%
 (d) 30% or above

4. Which of the following best describe Customer's investment or hedging experience?

- (a) has relevant professional qualification and experience
 (b) has adequate knowledge
 (c) has some knowledge
 (d) has a little knowledge
 (e) has no investment or hedging knowledge.

5. How long is the expected investment horizon of Customer?

- (a) Less than 1 year
 (b) 1 year to less than 3 years
 (c) 3 years to less than 5 years
 (d) 5 years or above

6. In general, how much liquid asset (including cash or highly liquid assets: e.g. foreign currency, bullion etc.) has Customer reserved for monthly operational expenses?

- (a) Less than 3-month operational expenses
 (b) 3-month to less than 6-month operational expenses
 (c) 6-month to less than 12-month operational expenses
 (d) 12-month or above operational expenses

7. Which of the following types of volatility of investment portfolio during the relevant investment period will the Customer choose?

- (a) -5% to +5% volatility
 (b) -10% to +10% volatility
 (c) -15% to +15% volatility
 (d) -20% to +20% volatility

8. How long is the Customer's investment experience in the following products? (Please answer all items from (a) to (g))

Investment Products	Investment Experience		
	No	3 Years or below	Above 3 years
(a) Equity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Futures and Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Fixed Income Products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(d) Mutual Funds/ Unit Trusts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(e) OTC Swap / Accumulators / Decumulators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(f) Other Structured Notes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(g) Others (Please specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. How many transactions has the Customer conducted in the following investment products in the recent 3 years? (Please answer all items (a) to (g))

Investment Products	Investment Experience		
	No	Less than 5 transactions	5 transactions or above
(a) Equity Average Size per Transaction (HK\$): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Futures and Options Average Size per Transaction (HK\$): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Fixed Income Products Average Size per Transaction (HK\$): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(d) Mutual Funds/ Unit Trusts Average Size per Transaction (HK\$): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(e) OTC Swap / Accumulators / Decumulators Average Size per Transaction (HK\$): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(f) Other Structured Notes Average Size per Transaction (HK\$): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(g) Others (Please specify): Average Size per Transaction (HK\$): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. How would the Customer react if the Customer's portfolio fell significantly (e.g., more than 20%) within one day?

- (a) Do not know how to react
- (b) Stop loss without any strategic consideration
- (c) Wait and see if investment improves and may stop loss rationally
- (d) Understand market fluctuations are unavoidable and will not alter the determined investment strategy
- (e) Undergo in-depth analysis and reallocate investment portfolio

11. What is the Customer's primary investment objective?

- (a) Capital preservation and regular income
- (b) Moderate capital appreciation and regular income
- (c) Moderate capital appreciation and high regular income
- (d) Aggressive capital appreciation and high regular income
- (e) Very aggressive capital growth

Customer Knowledge on Derivative Instruments

- The Customer does **not** have any knowledge of the nature and risks of derivatives instruments.
Please note that Taiping will not market, distribute and recommend derivative products to the Customer. The Customer cannot give instructions in respect of derivatives instruments.
 - I confirm that I have acquired general knowledge of derivative instruments by the following mean(s) and understood the nature and risks of derivative instruments:
 - (1) I have prior trading experience and have executed five or more transactions in the following derivative instruments (whether traded on an exchange or not) within the past three years (please provide supporting transaction documents):
 - Currency Linked Products
 - Equity Linked Products
 - Derivative Warrant/Callable Bull/Bear Contracts
 - Exchange Traded Funds that Invest in Derivative Instruments
 - Unit Trusts that involve in Derivative Instruments
 - Other (Please specify : _____)
 - Interest Rate Linked Products
 - Credit Linked Products
 - Future/Option
 - (2) I have the following current or previous working experience related to derivative instruments (please provide supporting transaction documents):
 - Industry
 - Banking Financial Services Insurance Education
 - Other (Please specify: _____)
 - Job Nature (in relation to derivative instruments)
 - Sales & Marketing Product Trading Product Training
 - Product Development Others (Please specify: _____)
 - Please specify no. of years of experience: _____
 - Trading volume and number of derivative transactions in the past 2 years: _____
 - (3) I have undergone training or attended courses on derivative instruments.
Date of Completion: _____(yyyy/mm)
Please provide details of the courses attended: _____
- Please specify the relevant licence /professional status (e.g. SFC licence / HKMA registration / CFP / CFA / CPA etc.): _____

Customer's Risk Tolerance Level (Assessment by Licensed Representative)

Risk Tolerance Level

Customer's risk tolerance level is:

low risk moderate risk high risk

Risk Tolerance Level	Investment Risk Profiles
low risk	Refer to investors who can tolerate low level of investment risk; have some knowledge and experience in financial investment.
moderate risk	Refer to investors who can tolerate medium level of investment risk; have reasonable knowledge or experience in financial investment; and / or have moderate financial capability to tolerate losses from investment.
high risk	Refer to investors who can tolerate high level of investment risk; have considerable knowledge or experience in financial investment; and / or have strong financial capability to tolerate losses from investment.

Customer confirmation

Client agrees with the Risk Tolerance Level result above.

Client disagrees with the Risk Tolerance Level result above. Please indicate the Risk Tolerance Level towards investment risk that the Customer considers appropriate and state the reason(s):

low risk moderate risk high risk

Reason(s):

Section 9 Declaration and Confirmation

The undersigned (whose particulars are set out in Section 2 of this Application Form) (the "**Customer**"), agrees to open such account(s) as set out in Section 1 of this Application Form (the "**Account(s)**") with Taiping upon and subject to all the provisions of this Application Form and the Terms of Business together with the schedules, thereto (the "**Terms and Conditions**") applicable to the Account(s) that the Customer applies to open.

By signing this Application Form, the Customer acknowledges and agrees as follows:

- 1 the Customer confirms that the information provided in this Application Form is true, correct and complete and undertakes to notify Taiping immediately of any changes and Taiping is entitled to rely fully on such representations and information for all purposes;
- 2 the Customer authorises Taiping to verify the information provided by the Customer above from any source it may deem fit and the Customer agrees to provide whatever information, documents and certifications Taiping requires in order for it to do so;
- 3 the Customer agrees with the Risk Tolerance Level result above or has indicated objection (and reasons thereof) to the Risk Tolerance Level result. The Customer understands and agrees that Taiping will only market, distribute and recommend investment products to the Customer which are compatible with the Customer's Risk Tolerance Level and as Taiping at its sole and absolute discretion considers suitable to the Customer;
- 4 the Customer confirms the Customer is acting as principal in applying for the Service and/or Facility (as applicable) as described in the Terms and Conditions;
- 5 the Customer confirms that the authorization granted to the Authorised Person and/or Margin Call Contact (as applicable) is made by the Customer out of the Customer's own free will and understands that there is a high risk in authorising a third party to operate the Customer's account maintained with Taiping. Any instruction(s) given by the Authorized Persons shall be absolutely binding on the Customer. Taiping shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Persons in giving any instructions. The Customer accepts full responsibility for all oral and/or written instruction(s) given by the Authorized Persons on the Customer's behalf. The Customer understands that Taiping will not be responsible for any loss arising from such authorization.
- 6 Taiping is under no obligation to accept and/or approve any application for the Service and/or Facility, and is not required to provide any reason thereof;
- 7 the contents of this Application Form and the Terms and Conditions have been fully explained to the Customer in a language which the Customer understands. The Customer has fully read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Application Form and the Terms and Conditions (as amended from time to time and including the policy of Taiping in relation to information of the Customer as contained in the Terms and Conditions) applicable to the account(s) that the Customer applies to open with Taiping;
- 8 the Customer acknowledges and agrees that Taiping has provided the Customer with the opportunity to consult independent legal and other professional advisors before signing this Application Form;
- 9 the Customer has read, understood and acknowledged the Risk Disclosure Statement as provided with this Application Form and has been invited by Taiping to read the Risk Disclosure Statements, ask questions and take independent advice (if the Customer wishes); and the Customer agrees that the Risk Disclosure Statement forms part of the Terms and Conditions;
- 10 the Customer have read, understood and agree to be bound by the terms and conditions of Personal Information Collection Statement and Taiping's Privacy Policy Statement;
- 11 where required by domestic or overseas regulators or tax authorities, the Customer consents and agrees that Taiping may withhold

from the Customer's account(s) such amounts as may be required according to applicable laws, regulations and directives. The Customer expressly, unconditionally and irrevocably waives any claim the Customer may have against Taiping in the event of loss and shall indemnify Taiping for any liability in connection with such withholding by Taiping as required by domestic or overseas regulators or tax authorities;

12 the Customer agrees to notify Taiping within 30 calendar days if there is a change in any information which the Customer has provided to Taiping. The Customer understands and agrees to provide Taiping additional documentary evidence to validate the Customer's tax residency when potential change in circumstances is noted by Taiping during the course of relationship;

13 subject to applicable local laws, the Customer consents for Taiping to share the information contained in this form and information regarding the Account Holder and any Reportable Account(s) with domestic and overseas regulators or tax authorities where necessary for the purpose of automatic exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112);

14 the Customer confirms to appoint the person(s) as set out in Section 8 as the Authorised person(s) to perform any act in connection with the Account(s). The Customer has the Authorised Person(s)' consent to provide their details to Taiping and undertake to provide each Authorised Person with a copy of Terms of Business including Taiping's Personal Information Collection Statement. Each of such person agrees to be bound by the Terms of Business when acting for and on behalf of the Customer;

15 In relation to the Personal Information Collection Statement, the Customer confirms that:

- (a) the Customer understands that it is not obligatory to allow its information or personal data to be used or provided for direct marketing purposes and the Customer may opt in or opt out for the use of its personal data by Taiping by ticking the relevant checkbox(es);
- (b) it has fully read, understood and confirmed the contents of and agreed to be bound by the terms and conditions of the Personal Information Collection Statement;
- (c) it understands that the customer's choice applies to the direct marketing of all the classes of products, services and/or subjects as set out in the Personal Information Collection Statement;

16 the Customer agrees to abide by the rules and regulations of the Stock Exchange of Hong Kong Limited, Hong Kong Securities Clearing Company Limited and/or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems;

17 Taiping reserves its rights to amend the Terms and Conditions and service charges from time to time. Such amendments shall be incorporated into the Terms and Conditions unless objected to in writing by the Customer within 14 days from the notice of Taiping; and

18 in the event that there is any inconsistency between the English version and the Chinese version of the Application Form and the Terms and Conditions, the English version shall prevail.

19 (**Applicable to U.S. Securities Trading Account only**) The Customer has further read, understood and acknowledged the key risks below in relation to the trading of U.S. securities:

(a) **Differences in Regulatory Regimes**

U.S. markets are subject to different regulations and may operate differently from the Hong Kong Stock Exchange. For example, there may be different rules providing for the safekeeping of securities and monies held by custodian banks or depositories. This may affect the level of safeguards in place to ensure proper segregation and safekeeping of the Customer's investment products or monies held overseas. There is also the risk of the Customer's investment products or monies not being protected if the custodian has credit problems or defaults. U.S. markets may also have different periods for clearing and settling transactions. These may affect the information available to the Customer regarding transaction prices and the time that Customer has to settle his or her trade.

U.S. markets may be subject to rules which may offer different investor protection as compared to Hong Kong. Before the Customer starts to trade, the Customer should be fully aware of the types of redress available to him or her in Hong Kong and U.S.. The Customer should also note that U.S. securities may not be subject to the same disclosure standards that apply to investment products listed or quoted on SEHK. Where disclosure is made, differences in accounting, auditing and financial reporting standards may also affect the quality and comparability of information provided. It may also be more difficult to locate up-to-date information, and the information published may only be available in a foreign language.

The laws of U.S. may prohibit or restrict the repatriation of funds including capital, divestment proceeds, profits, dividends and interest arising from investment in U.S. Therefore, there is no guarantee that the funds the Customer has invested and the funds arising from the Customer's investment will be capable of being remitted. U.S. may also restrict the amount or type of investment products that foreign investors may purchase. This can affect the liquidity and prices of the U.S. securities that the Customer invests in.

(b) **Costs and Tax Implications**

The Customer may have to pay additional costs such as fees and broker's commissions for transactions in U.S. exchanges. The Customer may also have to pay a premium to trade certain listed investment products. Therefore, before the Customer begins to trade, the Customer should understand all commissions, fees and other charges for which the Customer will be liable. These charges will affect the Customer's net profit (if any) or increase the Customer's loss. There are tax implications of investing in U.S. securities. For example, sale proceeds or the receipt of any dividends and other income may be subject to tax levies, duties or charges in the foreign country/ region, in Hong Kong, or in both countries/regions. Any U.S. source income received by the Customer through Taiping, including interests or dividends, may be subject to the U.S. withholding tax. Taiping's executing broker for U.S. securities may be required to withhold a tax of up to 30% of any payment of the said income to a foreign person. Moreover, Taiping does not offer tax relief service, i.e. Taiping will not represent or assist the Customer for any application filed with the IRS for reduction or exemption of the withholding tax or any request for a refund due to any tax being over-withheld.

(c) **Counterparty and Correspondent Broker Risks**

Transactions on U.S. markets are generally effected by the broker through the use of foreign brokers who have trading and/or clearing rights on those exchanges. All transactions that are executed upon the Customer's instructions with such counterparties and correspondent brokers are dependent on their respective due performance of their obligations. The insolvency or default of such counterparties and correspondent brokers may lead to positions being liquidated or closed out without the Customer's consent and/or may result in difficulties in recovering the Customer's money and assets held overseas.

(d) **Political, Economic and Social Developments**

U.S. markets are influenced by the political, economic and social developments in U.S., which may be uncertain and may

increase the risk of investing in U.S. securities.

(e) Not Protected by Investor Compensation Fund, SFO and Related Subsidiary Legislation

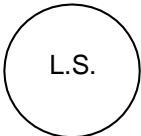
Hong Kong Investor Compensation Fund is established to pay compensation to investors who suffer pecuniary losses as a result of default of a licensed intermediary or authorized financial institution in relation to exchange-traded products in Hong Kong. According to the SFO, the Investor Compensation Fund only covers products trading in Hong Kong's recognized securities market (SEHK). The Customer should note that any U.S. securities will NOT be covered by Hong Kong's Investor Compensation Fund. As the U.S. securities are not listed or traded on the SEHK, the Customer will not have protection under the Securities and Futures (Client Securities) Rules, unless otherwise specified by an authority. As a result, the Customer engaging in U.S. securities do not have protection under the SFO and related subsidiary legislation.

The Customer understands and acknowledges that the risks listed above are not exhaustive. There are other risks and other significant aspects of trading in U.S. securities which may affect the value of the Customer's investment. The Customer acknowledges and agrees that he or she should not invest in U.S. securities if he or she does not understand or is not comfortable with the extent of his or her exposure to the risks.

Section 10 Signing

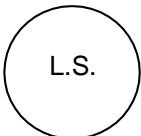
Client Signing

Signed sealed and delivered as a Deed

Signature of the Customer _____ Full Name: Title:		Date / /
--	---	-------------

Witness Signing

Signed sealed and delivered as a Deed

Signature of the Witness _____ Full Name: CE/ProfessionalQualificationLicenceNo.:		Date / /
--	---	-------------

Declaration by Customer

the Customer has been provided with the relevant risk disclosure statement in the language of its choice (either English or Chinese); and the Customer was invited to read the risk disclosure statement, to ask questions and take independent advice as it wishes; and

Signed by Customer : _____ Date : _____

Declaration by Licensed Staff

I have orally read and explained the relevant risk disclosure statements to the customer in a language of the Customer's choice on _____ (date) at _____ (time). I have invited the Customer to obtain a copy of and read the risk disclosure statements, ask questions and take independent advice if the customer so wishes.

Name of Licensed Staff : _____ CE No. : _____
 Signed by Licensed Staff : _____ Date : _____

Schedule 1 Definitions	
“Account Holder”	The person listed or identified as the holder of a financial account by the Financial Institution that maintains the account.
“Authorised Person”	An Authorised Person, in relation to the Customer, means a person who is authorised to act for and on its behalf, including without limitation any of the following: <ul style="list-style-type: none"> (a) a person who is responsible to for giving dealing and executing instructions and orders (i.e. traders); (b) a person who is authorised for handling funds movement (i.e. authorised person); and a person who is responsible for signing and executing documentation in connection with account opening for the Customer (i.e. authorised signatories).
“Beneficial Owner”	Beneficial owner, in relation to a corporation means: <p>an individual who –</p> <ul style="list-style-type: none"> (i) owns or controls, directly or indirectly, including through a trust or bearer share holding, more than 25% of the issued share capital of the corporation; or (ii) is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights at general meetings of the corporation; or (iii) exercises ultimate control over the management of the corporation; or if the corporation is acting on behalf of another person, means the other person.
“Control”	“Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official or exercises ultimate control over the management of the Entity.
“Controlling Person(s)”	Natural person(s) who exercise control over an Entity. <p>In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.</p> <p>Where the settlor, trustee, protector or beneficiary of a trust are themselves Entities, the Controlling Persons of the settlor, trustee, protector or beneficiary must be treated as Controlling Persons of the trust.</p> <p>In the case of a legal arrangement other than a trust, “Controlling Person(s) means persons in equivalent or similar positions to those of a trust.</p>
“Entity”	A legal person or a legal arrangement, such as a corporation, organization, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).
“PEP”	A PEP is a person who has been entrusted with a prominent public function such as a head of state, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official. <p>A spouse, partner, child, parent, or close associate of such an individual is also considered to be a PEP.</p>
“Related Entity”	An Entity is a “Related Entity” of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.
“Reportable Account”	A financial account that has been identified as such under the due diligence requirements in Schedule 17D of the Inland Revenue Ordinance (Cap. 112) and is held by at least one Reportable Person; or a passive NFE with at least one controlling person being a reportable person.
“Reportable Jurisdiction”	A territory outside Hong Kong that is specified in Column 1 of Part 1 of Schedule 17E of the Inland Revenue Ordinance (Cap. 112).
“Reportable Person”	An individual or entity that is a resident for tax purposes of a reportable jurisdiction; or an estate of a decedent who was a resident for tax purposes of a reportable jurisdiction; but does not include: <ul style="list-style-type: none"> (a) a corporation the stock of which is regularly traded on an established securities markets; (b) a corporation that is a related entity of a corporation mentioned in subparagraph (a); (c) a governmental entity; (d) an international organization; (e) a central bank; or (f) a financial institution.

<p>“TIN” (including “functional equivalent”)</p>	<p>Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link:</p> <p>http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/</p> <p>Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”).</p> <p>Examples of that type of number include:</p> <p>(a) (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.</p> <p>(b) (for Entities) a Business/company registration code/number.</p>
--	--

Who can certify identity documents for you?

Only the following persons may certify a copy.

	Mandatory criteria	
Representative of a Hong Kong-regulated entity	A person licensed by or registered with the Securities and Futures Commission.	
Lawyer	Solicitor practising in Hong Kong who is a current member of The Law Society of Hong Kong	Lawyer practising in an approved jurisdiction*
Accountant	Certified public accountant practising in Hong Kong who is a current member of the Hong Kong Institute of Certified Public Accountants	Professional accountant practising in an approved jurisdiction*
Chartered Secretary	Chartered Secretary practising in Hong Kong who is a current member of the Hong Kong Institute of Chartered Secretaries	Chartered Secretary practising in an approved jurisdiction*
Notary public	Notary public practising in an approved jurisdiction*	
Justice of the Peace	Justice of the Peace appointed under section 3 of the Justices of the Peace Ordinance (Cap.510)	

* An “**approved jurisdiction**” means any one of the following members of the Financial Action Task Force: Argentina, Australia, Austria, Belgium, Brazil, Canada, People’s Republic of China, Denmark, Finland, France, Germany, Greece, Iceland, India, Ireland, Italy, Japan, Republic of Korea, Luxembourg, Mexico, Kingdom of Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States.

The certifier must:

- (a) sign and date the copy;
- (b) print their name clearly in capitals underneath the signature;
- (c) clearly indicate their position or capacity on the copy; and
- (d) state that the copy is a true copy of the original (or words to similar effect).

For example:

I certify that this is a true copy of the original document that I have seen.
 Certifier’s signature DD/MM/YYYY
 [FULL NAME OF CERTIFIER]
 [Certifier’s position/capacity], [Jurisdiction], [Licence or registration #]

Company Internal Use Only

Document List			
Document check list		Applicable to non face-to-face account opening procedure	
<input type="checkbox"/> Certified ID card / passport copy <input type="checkbox"/> Certified ID card / passport copy of authorised person (if applicable) <input type="checkbox"/> Address proof <input type="checkbox"/> Office Address proof(if applicable) <input type="checkbox"/> Address proof of authorised person (if applicable) <input type="checkbox"/> Written statement for individual customer/ W-8BEN/W-9 (if applicable) <input type="checkbox"/> Employer consent letter(if applicable)		<input type="checkbox"/> issued from a licensed bank in Hong Kong <input type="checkbox"/> payable to 'Taiping Securities (HK) Co Limited' <input type="checkbox"/> client name shown on cheque <input type="checkbox"/> cheque amount not less than HK\$10,000 <input type="checkbox"/> same signature on cheque and account opening form <input type="checkbox"/> cheque copy retained <input type="checkbox"/> cheque cleared	
Document reviewed by			
Name of staff/Name of AE:		Signature of staff/AE:	Date:
Customer information			
Customer number:	Name of AE/AE code:	Trading limit:	Commission Rate:
Customer information approved by			
Name of staff:		Signature of staff:	Date:
Account opening approved by			
Name of staff:		Signature of staff:	Date:
Remarks :			



太平証券（香港）有限公司

Taiping Securities (HK) Co., Ltd.

Unit 3, 19/F, No.18 King Wah Road, Hong Kong
香港京华道18号19楼3室
Registered securities dealer of SFC (CE No. AAE494) &
证监会持牌法团中央编号 AAE494 及
Participant of The Stock Exchange of Hong Kong Ltd.
香港联合交易所有限公司(“联交所”)参与者

Tel: 3716 8388 Fax: 2815 1499
电话: 3716 8388 传真: 2815 1499
www.tpjh.cntaiping.com/tc

Letter of Consent for Collection of Client Personal Data

This Letter of Consent for Collection of Client Personal Data (this “**Letter**”) is prepared by Taiping Securities (HK) Co., Ltd. (“**Taiping**”, “**we**”, “**us**”, or “**our**”) in accordance with the *Personal Information Protection Law of the People’s Republic of China* and relevant supporting regulations (collectively, the “**Personal Information Protection Laws**”). This Letter is intended to explain the rules for Taiping’s collection, use, storage and disclosure of personal data of you or relevant individuals and the related rights of you or relevant individuals, among others, in the process of providing products or services to Taiping’s individual clients within Mainland China or institutional clients who provide Taiping with data of individuals within Mainland China (“**you**”, or “**your**”).

This Letter only applies to individual clients within Mainland China or institutional clients who provide Taiping with data of individuals within Mainland China. This Letter is a supplementary appendix to, and has the same effect as, the Privacy Policy Statement (“**PPS**”) and the Personal Information Collection Statement (“**PICS**”) of Taiping. Matters not covered in this Letter may be addressed with reference to the PPS and the PICS. In the event of any conflict between this Letter and the PPS or the PICS, this Letter shall prevail.

Before you use Taiping products or services, please fully read and consent to the relevant content of this Letter. If you are an institution rather than an individual, please ensure that you have provided this Letter to relevant personal data subject before providing us with the data of such personal data subject within Mainland China, and that the personal data subject has fully read, understood and consented to the relevant content of this Letter. Please be aware that, by signing this Letter, you and the relevant personal data subject, as applicable, consent to the terms of this Letter and the processing of relevant personal data for the purposes set out in this Letter. If you and the relevant personal data subject, as applicable, do not consent to this Letter, please do not use Taiping products or services.

1 How We Collect Client Personal Data

In the course of providing products or services to you, we may collect relevant data about you on our own or from third parties (including any member of the Taiping Group or other third parties) for the matters and purposes set out in this Letter. **If the data you may have provided to us includes personal data of other persons, please ensure that you have obtained the consent of such other persons.** Relevant persons may include but are not limited to applicants for our Facilities, Products and Services; referees; corporate officers and managers; suppliers, manufacturers, service providers, agents and other contractual counterparties; beneficiaries; financing agents; and any other third party dealing with or through us.

1.1 In order to assist you in opening and maintaining a securities cash account or securities margin account with Taiping and ensure that Taiping and any member of the Taiping Group comply with applicable laws and regulations, regulatory requirements on anti-money laundering, counter-terrorist financing and other illegal financial activities, or any other applicable legal obligations, regulations or arrangements, we will collect all information about you as listed in the Application Form (Individual) or the Application Form (Companies), including:

- ◆ **Account details** (including the **types of account, trading market and product** you applied for);
- ◆ Personal information (including your full name, joint account holder name (if applicable), date of birth, nationality, country(s) of citizenship, home address, permanent address, **passport number**, number of dependents, home telephone number, mobile phone number, email address, and **whether you are or any of your Authorised Person is a politically exposed person**);
- ◆ **Residential status**;
- ◆ Employment and income information (including whether you are self-employed, name of your employer, office telephone number, nature of business, **annual income, net asset value**, and information concerning the immediately prior employment where your current employment is less than six months);
- ◆ Correspondence / Statement address;
- ◆ Whether you agree to use Internet services;
- ◆ Whether you agree to use real time quote services;

- ◆ **Origin of source of funds;**
- ◆ **Source of assets;**
- ◆ **Related account(s)** (including whether you are a spouse/relative of an employee or director of Taiping; whether you are an employee of entities or persons licensed by or registered with the SFC; and the identity of ultimate beneficial owner of your account) ;
- ◆ **Identity of person(s) ultimately responsible for originating instructions** (including the title, full name, date of birth, country(s) of citizenship, nationality, home address, permanent address, **HKID or passport number**, home telephone number, mobile phone number, and email address of relevant person(s));
- ◆ **Bank account information** (including your **bank name**, currency, **bank account number**, and **account holder's name**);
- ◆ **Certification of tax residency** (including your country of tax residence and **Taxpayer Identification Number (TIN) or equivalent number**);
- ◆ **Securities margin account information** (including whether your spouse is a margin client of Taiping; whether your spouse is an employee of entities or persons licensed by or registered with the SFC; margin call contact; relationship with the client; mobile phone number; and email address); and
- ◆ **Client's risk profile, knowledge on derivative instruments and risk tolerance level.**

Please be aware that, **the category of your personal data that may be collected by Taiping may be subject to change** based on the changes in applicable laws and regulations and regulatory requirements in order to assist you in opening and maintaining a securities cash account or securities margin account with Taiping and ensure that Taiping and any member of the Taiping Group comply with applicable laws and regulations, regulatory requirements on anti-money laundering, counter-terrorist financing and other illegal financial activities, or any other applicable legal obligations, regulations or arrangements. **The category of your personal data actually collected by Taiping shall be the category set out in the Application Form (Individual) or the Application Form (Companies).** We will update this Letter in a timely manner to remind you of the changes in the category of personal information we may collect and obtain your consent for such changes.

- 1.2 In order to design financial services or related products for your use, we will collect information about **your risk profile, knowledge on derivative instruments and risk tolerance level** for the purposes of accurately assessing your risk preference in securities trading and providing related products or services that match your risk tolerance level;
- 1.3 In order to assist you in executing securities trading, we will collect **trading information from your securities account** for the purposes of assisting you in completing securities buying, selling and other trading operations in a timely manner;
- 1.4 In order to assist you in applying for Facilities, Products and Services and facilitate the daily operation of Facilities, Products and Services provided to you, we will collect **your personal and account information or records** from credit reference agencies for the purposes of understanding your credit standing and conducting credit checks on you;
- 1.5 In order to determine the amount of indebtedness owed to or by you, or collect amounts outstanding from you and those providing security for your obligations, we will collect your **credit and repayment records** for the purposes of assisting you in identifying and settling indebtedness owed in a timely manner.
- 1.6 In order to provide you with information about related products or services through Taiping's own channels for direct marketing purpose, we will collect your name, contact details, **products and other service portfolio information, transaction pattern and behaviour, financial background** and/or demographic data. The products or services we may market to you may include the following: securities, financial, investment products and services; margin financing, securities lending and other credit facilities; reward, loyalty or privileges programmes and related services and products; and services and products offered by our co-branding partners. **Please be aware that if you does not want to receive the above marketing information, you may withdraw your consent without charge by contacting us at any time through the contact information set out in Article 7 of this Letter to refuse our collection of your relevant personal data for marketing purpose. We will, upon receipt of your notice, timely respond to your request and cease collecting and processing your personal data.**

2 How We Use Client Personal Data

In the course of providing products or services to you, we will use your personal data collected for the following purposes:

- 2.1 The purposes set out in Article 1 of this Letter;
- 2.2 Creating and maintaining our credit and risk related models;
- 2.3 Enabling our actual or proposed assignee or that of any member of the Taiping Group, or participant or sub-participant of our rights or those of any member of the Taiping Group in respect of you, to evaluate the transaction intended to be the subject of the assignment, participation or sub-participation (in which scenario, only statistical data other than relevant personal data which may be used to identify you will be used for evaluation); and
- 2.4 Other purposes agreed upon by you in compliance with all applicable laws and regulations.

3 How We Store Client Personal Data

- 3.1 During your use of Taiping products or services, we will store your personal data collected and processed by us in Taiping's servers located in Hong Kong. We will retain the personal data collected based on your consent, unless otherwise required by applicable laws and regulations. After achieving the business purpose stated in this Letter, we will promptly delete or anonymise your personal data, unless otherwise required by applicable laws and regulations or we have other reasonable grounds.
- 3.2 The security of your personal data is very important to us. We will protect your personal data in accordance with the common technical and administrative security measures in the industry. Such security measures, including but not limited to the following, ensure that the confidentiality and integrity of your personal data will not be compromised:
- (a) Use of firewalls and intrusion detection systems to prevent unauthorized access;
 - (b) Implementation of stringent security procedures with the use of user ID and passwords and audit trails for transactions, together with a dedicated internal transaction security policy;
 - (c) Limitation of access to your personal data to relevant employees and/or account executives of us and/or any other member of the Taiping Group on a "need-to-know" basis;
 - (d) Regular review of our policies and practices on the handling of personal data; and
 - (e) Training to our employees, account executives and/or any other member of the Taiping Group on the proper handling of personal data.

Please be aware that your personal data may be processed for certain business purposes by our agents, contractors, external service providers or other members of the Taiping Group. When using external service providers, we require that they adhere to security standards mandated by us and the Taiping Group. We may do this by signing a contract with them and monitoring their data processing activities. Regardless of where personal data is transferred, we take all steps reasonably necessary to ensure that your personal data is kept securely.

You should be aware that the Internet may not be a secure form of communication and sending us personal data over the Internet may carry with it risks, including, but not limited to, the risk of access and interference by unauthorized third parties. In the unfortunate event of a data security incident, we will promptly notify you, take remedial measures and report to the relevant regulatory authorities in accordance with applicable laws, regulations and regulatory requirements.

4 How We Provide Personal Data to Third Parties

In principle, we will not provide your personal data to third parties, except in the following circumstances:

- 4.1 **Outsourcing:** In the course of providing Taiping products or services, we may appoint third party suppliers to assist us in providing client support, such as sending text messages or emails and providing technical support on our behalf. We will conduct a personal data security impact assessment in respect of the appointment, and sign a stringent personal data processing agreement with the supplier to whom the processing of your personal data is outsourced. We will require the supplier to process the personal data in strict accordance with the purposes, periods, methods, categories and protective measures stated in this Letter and to take appropriate confidentiality and security measures to protect the security of your personal data.
- 4.2 **Sharing:** In the course of providing Taiping products or services, we will share your personal data with third parties only in the following circumstances:
- (a) In order to comply with applicable laws, regulations and regulatory requirements on securities trading activities, we will provide the information you are required to disclose under the applicable laws, regulations and regulatory requirements to the SFC and its subsidiaries or other parties who are required to process your personal data in accordance with the applicable laws and regulations, so as to assist you in executing securities trading and fulfilling regulatory reporting and other obligations.
 - (b) In order to understand your credit standing and conduct the necessary credit checks on you, we will provide the credit reference agency with your basic information (including your name, address, contact information, date of birth or date of incorporation, **identity card number** or travel document number or certificate of incorporation number), **account information (including your risk and credit rating, account number, type of facility account, account status and account closure date (if any) in respect of the Facilities, Products and Services), and credit application data (including your history of applying for consumer credit, and the type and the amount of credit sought)**, so as to understand your basic information and determine your credit standing based on the database developed by the credit reference agency, if required.
 - (c) In order to comply with the anti-money laundering and counter-terrorist financing obligations or other compliance requirements under applicable laws, regulations and regulatory requirements, we will provide Taiping Group or its members with your basic information, including your name, alias, gender, address, contact information, date of birth or date of incorporation, **identity card number** or travel document number or certificate of incorporation number, so as for

Taiping Group to assist us in our anti-money laundering and counter-terrorist financing efforts or for Taiping Group's internal audit firm to assist us in our internal audit and audit remediation efforts.

- 4.3 **Transfer:** In the event of any acquisition, merger, restructuring or bankruptcy of Taiping during the process of providing Taiping products or services, we will, subject to a timely notice to you, transfer your personal data to the successor of Taiping and require it to process your personal data in accordance with applicable laws, regulations, regulatory requirements and the terms of this Letter, and to protect the security of your personal data at the same level as we do. Otherwise, we will require the successor to delete your personal data in a timely manner or obtain your consent again.

5 Cross-Border Transfer of Client Personal Data

In order for us to provide Taiping products or services, your personal data may be transferred to and from Hong Kong and Mainland China. For the transfer of personal data from Mainland China to another jurisdiction, we will conduct impact assessment on the protection of personal data in accordance with the Personal Information Protection Laws. By signing a contract with the relevant data recipient or other means, we ensure that the data recipient adheres to security standards mandated by us and the Taiping Group and adopts appropriate technical and administrative security measures to ensure the security of your personal data.

6 Your Rights

During your use of Taiping products or services, you have the following rights on Taiping's processing of your personal data:

- 6.1 Right to access and reproduction: check whether we hold personal data about you and/or to access such data;
- 6.2 Right to rectification: require us to correct any personal data relating to you which is inaccurate;
- 6.3 Right to erasure: require us to delete any personal data collected relating to you;
- 6.4 Right to cancellation: require us to cancel your securities account;
- 6.5 Right to withdraw consent: withdraw any consent that you have previously given to us with respect to our use of your personal data; and
- 6.6 Right of your close relatives: entitle your close relatives to exercise the above-mentioned rights to access, reproduction, erasure and other related rights to your personal data in the event of your death, unless otherwise arranged by you.

You may exercise the above-mentioned rights by contacting us through the contact information set out in Article 7 of this Letter. We will respond to your request within fifteen (15) business days upon receipt of your request.

7 Our contact information

If you exercise your rights as a personal data subject or have any questions or suggestions regarding this Letter and our collection and processing of your personal data, you may promptly contact us by phone, post and email, and we will respond to your request within fifteen (15) business days upon receipt of your request:

Tel: +852-37168388/+86-4001201966

Email: cs@tps.cntaiping.com

The Data Protection Officer Client Services Department

Unit 3, 19/F, No.18 King Wah Road, Hong Kong

Acknowledgement and Consent

You hereby acknowledge that you have read and understood the content of the Letter of Consent for Collection of Client Personal Data of Taiping Securities (HK) Co., Ltd. By ticking the box below, you signify your consent for Taiping Securities (HK) Co., Ltd. to process your personal data on the terms of and for the purposes set out in the Letter of Consent for Collection of Client Personal Data.

If you are an institution rather than an individual, you acknowledge that, before using Taiping products or services, you have provided this Letter to the personal data subject whose personal data is provided by you to Taiping, and that the personal data subject has fully read, understood and consented to the relevant content of this Letter. By ticking the box below, you and the relevant personal data subject signify consent for Taiping (HK) Co., Ltd. to process the personal data of the relevant personal data subject on the terms of and for the purposes set out in this Letter.

- I agree to Taiping Securities (HK) Co., Ltd.'s **processing of my personal data** for the purposes and in the manner set out in this Letter.
- I agree to Taiping Securities (HK) Co., Ltd.'s **processing of my sensitive personal data (marked in bold in this Letter)** for the purposes and in the manner set out in this Letter. I fully understand that the processing of relevant sensitive personal data is necessary for achieving the purpose of providing products or services, and the disclosure of sensitive personal data may have a material impact on my rights and interests.
- I agree to Taiping Securities (HK) Co., Ltd.'s **transfer of my personal data to countries/regions outside Mainland China** for the purposes and in the manner set out in this Letter.

Signature of Client: <i>Please use the signature(s) field with our company</i>	
Client Name:	
Client Number:	
Date:	