

<Note from our Bank>

In response to the requirement for an investor identification system under China Stock Connect jointly set out by The Hong Kong Exchanges and Clearing (“HKEx”) and the Securities and Futures Commission, with effect from 26 Sep 2018, customers who are interested to buy Northbound Shares of China Stock Connect are required to provide the following consent.

For details, you could refer to HKEx’s website at : http://www.hkex.com.hk/Mutual-Market/Stock-Connect/Reference-Materials/Northbound-Investor-ID-Model?sc_lang=en

If you would like to give us the following consent, please contact (in case of DBS Private Bank clients or DBS Treasures Private Client) your Relationship Manager; or (in case of DBS Treasures customers) our Customer Services Hotline at 2961 2338. It might take up to 3 days for our Bank to process your consent before you can buy Northbound Shares of China Connect.

Consent for Disclosure of Identification Data to Mainland China entities under China Connect Service (“Consent”)

Unless otherwise defined, all capitalised terms in this Consent shall have the same meaning as the defined terms under (in case of DBS Private Bank clients) DBS Private Bank Master Agreement – Section E - China Connect Terms and Risk Disclosures (Shanghai and Shenzhen Stock Connect); or (in case of DBS Treasures Private Client) DBS Treasures Private Client Terms and Conditions – Section E - China Connect Terms and Risk Disclosures (Shanghai and Shenzhen Stock Connect); or (in case of DBS Treasures customers) Supplemental China Connect Terms and Risk Disclosures (Shanghai & Shenzhen Stock Connect) that you have previously agreed.

1. The Customer agrees that in providing the Bank’s China Connect Service to the Customer, the Bank will be required to:
 - (a) tag each of the Customer’s orders submitted to the CSC with a Broker-to-Client Assigned Number (“**BCAN**”) that is unique to the Customer or the BCAN that is assigned to the Customer’s joint account with the Bank; and
 - (b) provide to the SEHK, directly or indirectly through an Exchange Participant, the Customer’s assigned BCAN and such identification information (“**Client Identification Data**” or “**CID**”) relating to the Customer as the SEHK may request from time to time under the SEHK China Connect Rules. The CID includes the following from the Customer:
 - (i) for individuals: name (in English and Chinese), identity document (“**ID**”) issuing country, ID type and ID number; and
 - (ii) for companies/entities: entity name, place of incorporation, ID type and ID number.
2. Without limitation to any notification the Bank has given the Customer or consent the Bank has obtained from the Customer in respect of the processing of the Customer’s personal data or CID in connection with the Customer’s account and the Bank’s services to the Customer, the Customer agrees that the Bank may collect, store, use, disclose and transfer personal data or CID relating to the Customer as required as part of the Bank’s China Connect Service, including as follows:

2.1 Disclosure of Identification Data to SEHK and SEHK Subsidiaries

- (a) to disclose and transfer the Customer's BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating the Customer's BCAN when inputting a China Connect Northbound order into the CSC, which will be further routed to the relevant China Connect Market on a real-time basis;
- (b) to allow each of SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store the Customer's BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by ChinaClear (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of SEHK China Connect Rules; (ii) transfer such information to the relevant China Connect Market (directly or through ChinaClear) from time to time for the purposes set out in 2.2 (a) and 2.2 (b) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

2.2 Disclosure of Identification Data to Mainland China entities under China Connect Service

- (a) to allow ChinaClear to: (i) collect, use and store the Customer's BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market, SEHK and the relevant SEHK Subsidiary; (ii) use the Customer's BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland China regulatory authorities and Mainland China law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland China financial markets; and
- (b) to allow the relevant China Connect Market to: (i) collect, use and store the Customer's BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market; and (ii) disclose such information to the Mainland China regulatory authorities and Mainland China law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland China financial markets.

- 2.3 By instructing the Bank in respect of any transaction relating to China Connect Securities, the Customer agrees that the Bank may use the Customer's personal data or CID for the purposes of complying with the requirements of SEHK and its rules as in force from time to time in connection with the China Connect Service. The Customer also acknowledges that despite any subsequent purported withdrawal of consent by the Customer, the Customer's personal data or CID may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

3. Consequences of Failing to Provide Consent

Failure to provide the Bank with the Customer's consent as described above may mean that the Bank will not, or no longer be able, as the case may be, to carry out the Customer's trading instructions or provide the Customer with the China Connect Service.

<備註>

鑑於香港交易及結算所有限公司(「港交所」)及證券及期貨事務監察委員會聯合制訂有關中港通交易的投資者識別機制的最新要求，由 2018 年 9 月 26 日起，有意買入中港通北向股份的客戶需向本行作出以下同意。

如需了解詳情，請參閱港交所以下網址：https://www.hkex.com.hk/Mutual-Market/Stock-Connect/Reference-Materials/Northbound-Investor-ID-Model?sc_lang=zh-HK。

如您想向本行作出下述同意，請聯絡(如屬星展私人銀行客戶或星展豐盛私人客戶)您的客戶經理；或致電(如屬星展豐盛理財客戶)本行客戶服務熱線2961 2338。本行可能需要三個工作天處理您的同意，然後您才可買入中港通北向股份。

同意向中港通交易服務下的內地機構披露識別信息(「同意」)

除經另行界定外，下述同意中的特定詞語的涵義，與閣下之前同意及載於(如屬星展私人銀行客戶)星展私人銀行主協議 E 章的「中港通條款和風險披露(滬港通及深港通)」；或(如屬星展豐盛私人客戶)星展豐盛私人客戶條款細則 E 章的「中港通條款和風險披露(滬港通及深港通)」；或(如屬星展豐盛理財客戶)「中港通補充條款和風險披露(滬港通及深港通)」中的已界定詞語的涵義相同。

1. 客戶同意，銀行為客戶提供中港通交易服務時，銀行需要：
 - (a) 在提交每一客戶交易指示予中港通系統時，在交易指示中附加一個專屬於客戶的券商客戶編碼或(如客戶為聯名戶口)客戶聯名戶口獲分配的券商客戶編碼；及
 - (b) 直接或間接透過交易所參與者向聯交所提供客戶的指定券商客戶編碼以及聯交所根據其中港通規則可能不時要求與客戶有關的識別資料(「客戶識別信息」)。客戶識別信息包括以下客戶資料：
 - (i) 適用於個人：客戶名稱(中文及英文)、身份證明文件的簽發國家、身份證明文件類別及身份證明文件號碼；及
 - (ii) 適用於公司／機構：機構名稱、註冊地點、身份證明文件類別及身份證明文件號碼。
2. 不限於銀行就著因應客戶的戶口或提供服務予客戶而處理客戶個人資料或客戶識別信息而給予客戶的通知或取得的客戶同意，客戶同意銀行可作出下述收集、儲存、使用、披露及轉移客戶個人資料或客戶識別信息的行為，以作為銀行的中港通交易服務的一部分：

2.1 向聯交所及聯交所附屬公司披露識別信息

- (a) 不時向聯交所及相關聯交所附屬公司披露及轉移客戶的券商客戶編碼及客戶識別信息，包括在中港通系統輸入中港通北向交易指示時註明客戶的券商客戶編碼，並實時傳送至相關中港通市場；
- (b) 允許聯交所及相關聯交所附屬公司：(i)收集、使用及儲存(由任何一方或透過港交所儲存)客戶的券商客戶編碼及客戶識別信息以及由中國結算提供的已綜合、核實及配對的券商客戶編碼及客戶識別信息，用作市場監控和監察目的及執行聯交所中港通規則；(ii)為下文 2.2(a)及 2.2(b)段所載目的，不時向相關中港通市場(直接或透過中國結算)轉移此等資料；及(iii)向香港相關監管機構及執法機關披露此等資料，以助其履行有關香港金融市場的法定職能；

2.2 向中港通交易服務下的內地機構披露識別信息

- (a) 允許中國結算：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以便綜合及核實券商客戶編碼與客戶識別信息，並將此類信息與其投資者身分數據庫進行配對，及把此等已綜合、核實及配對的券商客戶編碼及客戶識別信息提供予相關中港通市場、聯交所及相關聯交所附屬公司；(ii)使用客戶的券商客戶編碼及客戶識別信息來協助其履行證券戶口管理的監管職能；及(iii)向管轄中國結算的內地監管機構及執法機關披露此等資料，以助其履行有關內地金融市場的監管、監察及執法職能；及
- (b) 允許相關中港通市場：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以助其監管及監察透過使用中港通交易服務在相關中港通市場進行的證券交易，以及執行相關中港通市場規則；及(ii)向內地監管機構及執法機關披露此等資料，以助其履行有關內地金融市場的監管、監察及執法職能。

- 2.3 通過向銀行發出與中港通證券有關的任何交易指示，客戶同意銀行可能會使用客戶的個人資料或客戶識別信息，以遵守聯交所的要求及其對中港通交易服務不時有效的規則。客戶亦確認，即使客戶隨後表示撤回同意，客戶的個人資料或客戶識別信息(無論是在客戶撤回同意之前還是之後)仍有機會繼續被儲存、使用，披露，轉移及以其他方式處理以達到上述目的。

3. 未能提供同意的後果

倘若客戶不能如上述向銀行提供同意，將可能導致銀行(視情況而定)不會或不能繼續執行客戶的交易指示或向客戶提供中港通交易服務。