

**Consent Letter in Relation to the Personal Information Collection Statement concerning**  
**Northbound China Connect Orders (for Institutional Professional Investor Account)**  
**關於中華通北向交易指示的個人資料收集聲明確認函 (機構專業投資者適用)**

To: **China Galaxy International Securities (Hong Kong) Co., Limited**

致: **中國銀河國際證券(香港)有限公司**

日期 Date \_\_\_\_\_

客戶名稱 Name of Client		客戶號碼 Account No.	
1. 客戶類別 (用於券商客戶編碼) Client Type (for BCAN)	<input type="checkbox"/> 基金經理 Fund Managers <sup>1</sup> <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 自營交易 Proprietary Trading (如閣下是 TTEP, 請提供券商代碼 For TTEP, please provide Firm ID: _____) <input type="checkbox"/> 其他 Others (請繼續回答下列項目 2 Please continue to answer the following item 2)		
2. 如閣下的證券交易來自一名獨立客戶, 請完成此項 Please complete this part if you are originating the securities transactions from your independent clients	<input type="checkbox"/> 聯屬公司 Affiliate <input type="checkbox"/> 透過中華通交易所參與者進行北向交易的交易所參與者 TTEP (Firm ID: _____) <input type="checkbox"/> 非中華通交易所參與者或 TTEP 的中介人 Intermediary other than CCEP/TTEP		

本公司欲申請參與中華通北向交易, 並確認本公司已經閱讀並了解機構專業投資者帳戶的條款及條件中有關投資者識別碼制度的內容。通過勾選下列方框, 本公司同意銀河國際證券可根據個人資料私隱政策之附註及其所述的目的使用本公司的資料。  
 We would like to participate in Northbound China Connect trading and acknowledge that we have read and understood the content of Notes Relating to Personal Data Privacy Policy regarding Investor Identification Regime included in the Terms and Conditions of Institutional Professional Investor Account. By ticking the box below, we signify our consent for Galaxy International Securities to use our data on the terms of and for the purposes set out in the Personal Data Privacy Policy.

本公司確認及同意 We acknowledge and agree that:

- 銀河國際證券可根據個人資料私隱政策之附註及其所述的目的使用本公司的資料。  
 Galaxy International Securities' use of our data for the purposes set out in the Personal Data Privacy Policy.
- (適用於客戶為其獨立客戶處理證券交易) 本公司已根據《個人資料(私隱)條例》及其他司法管轄區適用的相關數據保護法例獲取本公司之客戶授權使用其資料作中華通北向交易之用途, 亦同意因應銀河國際為遵守滬深港通北向交易投資者識別碼模式的規定而不時提出的要求, 在已獲得相關客戶書面同意的情况下, 向銀河國際證券提供本公司相關客戶的資料。  
 (Applicable to clients who are originating the securities transactions from their independent clients) We confirm that we have obtained our underlying client's written consent on the use of client information for Northbound China Connect trading under the Personal Data (Privacy) Ordinance and data protection laws of other jurisdictions. We further agree to provide Galaxy International Securities with our underlying client's information as requested from time to time by Galaxy International Securities for its compliance with the regulations as set out under the Investor ID Model for Northbound Trading under Stock Connect.

此致

Yours faithfully,

\_\_\_\_\_  
 授權人簽名 Signature of Authorized Officer

姓名 Name:

職位 Title:

請用留存於本行之簽署式樣 Please use signature(s) filed with us

For Official Use Only		
S.V.	Inputted By	Approved By

<sup>1</sup> 基金經理是指業務涉及全權管理集體投資計劃(不論經認可與否)的香港證監會許可或註冊人士, 或在香港證監會認可的香港以外地方持牌、註冊或獲豁免而進行相當於第9類受規管活動, 並有權根據書面協議管理他人證券投資的人士。The fund manager shall be an asset management company licensed by or registered with the SFC for Type 9 regulated activity, or a corporation which is licensed, registered or exempt in a place outside Hong Kong recognized by the SFC for an activity which is equivalent to Type 9 regulated activity, and is authorized to manage investments in securities for another person under a written agreement.