耀佳金融集團
YAW KAI FINANCIAL GROUP LIMITED

投資者識別碼模式及個人資料收集聲明 - 客戶同意書

處理個人資料作為於香港聯合交易所交易的一部分

您/汝等明白並同意，耀佳金融集團(香港)有限公司（統稱“耀佳”）為了向您/汝等提供與在香港聯合交易所（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券及期貨事務監察委員會（證監會）的規則和規定， 耀佳可收集、儲存、處理、使用、披露及轉移與您/汝等有關的個人資料（包括您/汝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

I. 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您/汝等的個人資料（包括客戶識別信息及券商客戶編碼）；

II. 允許聯交所(i)收集、儲存、處理及使用您/汝等的個人資料（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；

III. 允許證監會(i)收集、儲存、處理及使用您/汝等的個人資料（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；及

IV. 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您/汝等的客戶識別信息，及向發行人的股份過戶登記處轉移您/汝等的客戶識別信息，以便核實您/汝等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)處理及儲存您/汝等的客戶識別信息，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您/汝等的客戶識別信息，以便處理您/汝等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。

您/汝等亦同意，即使您/汝等其後宣稱撤回同意，耀佳在您/汝等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移您/汝等的個人資料以作上述用途。

未能提供客戶同意書或個人資料所須承擔的後果

您/汝等如未能向耀佳提供個人資料或上述同意，可能意味著耀佳不會或不能夠再（視情況而定） 執行您/汝等的交易指示或向您/汝等提供證券相關服務，惟出售、轉出或提取您/汝等現有的證券持倉（如有）除外。

備註：本條文所述的“券商客戶編碼 及“客戶識別信息 具有《證券及期貨事務監察委員會 持牌人或註冊人操守準則》第5.6 段所界定的含義。

耀佳金融集團
Yaw Kai Financial Group Limited

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Personal Information Collection Statement

Under the Hong Kong Investor Identification Regime (HKIDR) and

the OTC Securities Transactions Reporting Regime (OTCR)

Processing of Personal Data in Connection with Trading on the Hong Kong Stock Exchange

You understand and agree that Yaw Kai Financial Group Limited ("Yaw Kai") may collect, store, process, use, disclose, and transfer personal data about you as necessary for us to provide services to you regarding securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. In addition to the aforementioned, this also covers

(a) revealing and transferring your personal data to SEHK and/or the SFC in accordance with the guidelines and standards that SEHK and the SFC have established and are currently in force;

(b) giving SEHK permission to (i) collect, store, process and use your personal data for SEHK exchange rules enforcement and market surveillance; and (ii) disclose and transfer such information to the appropriate Hong Kong regulators and law enforcement agencies, including but not limited to the SFC; and (iii) use such information of SEHK's own internal research and development purposes;

(c) allowing the SFC to (i) collect, store, process and use your/your personal data (including client identification information and brokerage client code) for the performance of its statutory functions, including the regulation, monitoring and control of Hong Kong's financial markets and law enforcement functions; and (ii) disclosure and transfer of relevant information to relevant Hong Kong regulators and law enforcement agencies in accordance with applicable laws or regulatory requirements; and

(d) giving the Broker-to-Client Assigned Number ("BCAN") to Hong Kong Securities Clearing Company Limited (HKSCC), which then enables HKSCC to (i) obtain, process, and store your client identification information ("CID") and transfer your CID to the issuer's share registrar, to verify that you have not re-submitted the same share subscription request and to facilitate IPO balloting and IPO settlement; (ii) process, store, and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK, and any other IPO participant in order to complete your application for the applicable share subscription or for any other purpose specified in the IPO issuer's prospectus.

Additionally, you acknowledge that your personal data may be stored, processed, utilized, disclosed, or transferred for the aforementioned reasons even after any alleged withdrawal of permission by you.

Consequences of failing to provide Personal Data or Consent

Failure to provide us with your personal data or consent as described above may mean that Yaw Kai will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities-related services (other than to SELL, transfer out or withdraw your existing holdings of securities, if any).

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.

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