



TAT LEE SECURITIES COMPANY LIMITED

達利證券有限公司

(Member of The Stock Exchange of Hong Kong Ltd.)

Head Office: Room 1801-1806, 18/F, President Commercial Centre, 608 Nathan Road, Kowloon

Tel: (852) 3123-9399 Fax: (852) 2781-2102 e-mail: info@tatlee.com

Branch Office: 1/F, 14 Fook Hong Street, Yuen Long.

Tel: (852) 2479-7337 Fax: (852) 2478-6617

Dear Customers,

Important notice about the implementation of the investor identification regime and over-the-counter securities transaction reporting regime in Hong Kong

We would like to inform you that the Securities and Futures Commission (“SFC”) will implement the **Investor Identification Regime** (“HKIDR”) in the second half of the year 2022 and the **Over-the-Counter Securities Transaction Reporting Regime** (“OTCR”) in the first half of the year 2023 in Hong Kong# (refer to herein as the “new regime”).

Under the new regime, customers are required to provide written consent to Tat Lee Securities Company Limited (“Tat Lee”) for the assignment of a unique Broker-Client Assigned Number (“BCAN”). Tat Lee is required to provide the customer’s BCAN to the Stock Exchange of Hong Kong (“SEHK”) together with the Client Identification Data (“CID”), including Customer’s Name, ID Issuing Country, ID Type & ID Number in order to process the trade order. Tat Lee is also required to report the customer’s BCAN together with the trade order or share withdraw/deposit instruction to the SEHK and/or SFC. Without prior written consent, Tat Lee will continue to process customers’ trading instructions for sell or share withdrawal. However, trading instructions for purchase or deposit of share cannot be processed until written consent is received.

Customers can download the Consent Form via the website <http://www.tatlee.com> or email info@tatlee.com. Please complete and return the original form to Tat Lee to process.

If customers do not return the completed Consent Form to Tat Lee within five (5) working days prior to the implementation date of the new regime, Tat Lee will continue to process customers’ trading instructions for sell or share withdrawal. However, trading instructions for purchase or deposit of share cannot be processed until written consent is received. Customers have the right to withdraw their consent at any time. In such cases, written notice is required. For further enquiries, please contact Tat Lee at 3123-9399.

Remarks:

The exact launch date is to be announced by the SFC. For details, please refer to SFC website: <https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting>.

Should there be any inconsistency between the English and Chinese versions, the English version shall prevail.



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Tel: (852) 3123-9399 Fax: (852) 2781-2102 E-mail: tatlee@tatlee.com

Consent Form

To : Tat Lee Securities Company Limited

Updated Personal Information Collection Statement in relation to the Hong Kong Investor Identification Regime (HKIDR) and the Over-The-Counter Securities Transactions Reporting Regime (OTCR)

I/We acknowledge and agree that Tat Lee Securities Company Limited may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CIDi and BCANii(s)) as required for Tat Lee Securities Company Limited 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, this includes:

- (a) disclosing and transferring my/our personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) allowing SEHK to: (i) collect, store, process and use my/our 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;
- (c) allowing the SFC to: (i) collect, store, process and use my/our 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; and
- (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 my/our CID and transfer my/our CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that I/We have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store my/our CID and transfer my/our 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 my/our application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

I/We also 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 Tat Lee Securities Company Limited with the consent and/or updated CID Form (if any) as described in this letter may mean that Tat Lee Securities Company Limited 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/our existing holdings of securities, if any).

Remarks:

1. 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.
2. In case of discrepancy between the English Version and Chinese Version, the English Version shall prevail.

Acknowledgement and Consent

I/We have acknowledged, read and understood the contents of the updated Personal Information Collection Statement in relation to the HKIDR and the OTCR provided by Tat Lee Securities Company Limited. I/We hereby provide my/our consent for Tat Lee Securities Company Limited to use my/our personal data on the terms of and for the purposes set out in this updated Personal Information Collection Statement. **I/We also confirmed that there is no changes to my/our identification data (CID) previously provided / *Please refer to the changes on the CID form attached. (*delete as appropriate)*

Individual Account Holder / Joint Account Holder (1)

Name of Customer	Client's Signature(s)
	X
Date:	Plesce use the signature(s) filed with our company

Joint Account Holder (2)

Name of Customer	Client's Signature(s)
	X
Date:	Plesce use the signature(s) filed with our company

Corporate / Entity Account Holder

Name of Customer	Authorized Signature(s)
	X
Date:	Plesce use the signature(s) filed and stamp with our company

For official use only	
Signature verified by	Checked / updated by
	Date:

Remarks:

1. For Corporate customer, company's stamp is required along with the authorized signature(s)
2. Please use the signature(s) filed with our company