

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

1. You acknowledge and agree that we, Dah Sing Bank, Limited ("Bank") may collect, store, process, use, disclose and transfer personal data relating to you (including your client identification data (CID) and Broker-to-Client Assigned Number (BCAN)) as required for us to provide services to you in relation to 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. Without limiting the foregoing, this includes:
 - (a) disclosing and transferring your 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 your 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; and
 - (c) allowing the SFC to: (i) collect, store, process and use your 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.
2. You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.
3. Further, you agree that (i) you must submit your Hong Kong Identity Card ("HKID Card") to the Bank if you hold a HKID Card; (ii) if you do not have a HKID Card, you shall then submit your national identity document to the Bank and; (iii) you will submit your passport to the Bank only if you do not have a HKID Card and a national identity document.

Failure to provide the Bank with your personal data (including but not limited to the applicable identity document required to be submitted in accordance with paragraph 3 above) or consents as described above may mean that the Bank 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).

Notes

1. You are required to notify the Bank promptly if there is any update on your CID.
2. This statement is applicable to customer with securities account(s) under the same name. If customer holds a joint account, a unique BCAN will only be assigned to the joint account for providing services in relation to securities listed or traded on SEHK if all the account holders have provided their consent by signing this statement.
3. If your BCAN or BCAN-CID mapping is invalid or deficient or any information provided by you as requested pursuant to applicable regulatory requirements is incorrect, incomplete or inconsistent with other information held by the Bank, the Bank may not, or no longer be able, as the case may be, to provide services to you in relation to securities listed or traded on SEHK.
4. This statement will be effective within three trading days after receipt of the signed form by the Bank.