

**Notice:           Over-The-Counter Securities Transactions Reporting Regime  
                          Personal Information Collection Statement**

The Over-The-Counter Securities Transactions Reporting Regime of SFC shall be effective on 25th September 2023. Any deposit and/or withdrawal of physical scripts and over-the counter securities transactions via bought and sold notes) shall be reported to SFC.

You acknowledge and agree that we may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) 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.

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.

Failure to provide us with your personal data or consent as described above may mean that we 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.

I/We acknowledge I/we have read and understand the content of this Personal Information Collection Statement of Leeds Securities Investment Limited (formerly Nuzar II Securities Investment Limited). By choosing of Agree/Disagree below, I/we signify my/our intention for Leeds Securities Investment Limited (formerly Nuzar II Securities Investment Limited):

Agree

Disagree

to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

Note: Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your HK Securities trading instructions or provide you with our HK Securities trading and deposit service.

For any queries, please contact our Customer Services Department (Tel: 852-3106 2998)

Signed by:

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Customer Name:

Customer No.:

Date: