

**Personal Information Collection Statement under the Hong Kong Investor Identification Regime (HKIDR), Over-the-counter Securities Transactions Reporting (OTCR) and Fast Interface for New Issuance (FINI)**

I/we acknowledge and agree that Kingsway Financial Services Group Limited (“KFSGL”) may collect, store, process, use, disclose and transfer personal data relating to me/us (including my CID and BCAN(s)) as required for KFSGL to provide services to me/us 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 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.

**Consequences of failure to provide personal data or consent**

Failure to provide KFSGL with my/our personal data or consent as described above may mean that I/we 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).

**Confirmation and agreement**

I/we acknowledge that I/we have read and understand the above content. By signing on this consent, I/we agree and confirm Kingsway Financial Services Group Limited may collect, disclose, transfer, use and/or store any of my/our personal and trading information (including those relating to other individuals provided to Kingsway Financial Services Group Limited by me/us) in accordance with this consent, and agree to accept the terms of this consent.

*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.”

Authorized Signature

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Client Name:  
Account Number:  
Date: