



# 金聯證券有限公司 Goldlink Securities Limited

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## China Connect Securities Trading Service - Risk Disclosure

1. No day trading is allowed. The shares you bought from the Shanghai Stock Exchange ("SSE") on trade day (T) can only be sold on or after the following day of the trade day (T+1).
2. Pre-trade checking is in place so that you must have your shares transferred to Goldlink Securities Limited ("Goldlink") corresponding CCASS account before the commencement of trading on a trading day if you intend to sell the shares during a trading day.
3. All trading must be conducted on SSE, i.e. no over-the-counter or manual trades are allowed.
4. Naked short selling is not allowed.
5. Foreign shareholding restriction (including the forced-sale arrangement) is in place and Goldlink should have the right to "force-sell" your shares upon receiving the forced-sale notification from the Stock Exchange of Hong Kong Limited (SEHK).
6. Goldlink may have the right to cancel your orders in case of contingency such as hoisting of Typhoon Signal No 8 in Hong Kong.
7. Goldlink may not be able to send in your order cancellation requests in case of contingency such as when SEHK loses all its communication lines with SSE, etc and you should still bear the settlement obligations if the orders are matched and executed.
8. SEHK may upon SSE's request, require Goldlink to reject your orders.
9. You should understand fully the Mainland rules and regulations in relation to short-swing profits, disclosure obligations and follow such rules and regulations accordingly.
10. Goldlink may forward your identity to SEHK which may on-forward to SSE for surveillance and investigation purposes.
11. If the SSE Rules are breached, or the disclosure and other obligations referred to in the SSE Listing Rules or SSE Rules is breached, SSE has the power to carry out an investigation, and may, through SEHK, require Goldlink provide relevant information and materials and to assist in its investigation.
12. SSE may request SEHK to require Goldlink to issue warning statements (verbally or in writing) to you, and not to extend Shanghai-Hong Kong Stock Connect trading service to you.
13. You need to accept the risks concerned in Shanghai-Hong Kong Stock Connect trading, including but not limited to prohibition of trading SSE Securities, being liable or responsible for breaching the SSE Listing Rules, SSE Rules and other applicable laws and regulations.
14. You must comply with SSE Rules and other applicable laws of Mainland China relating to Shanghai-Hong Kong Stock Connect trading.
15. HKEx, SEHK, SEHK Subsidiary, SSE and SSE Subsidiary and their respective directors, employees and agents shall not be responsible or held liable for any loss or damage directly or indirectly suffered by you or any third parties arising from or in connection with Shanghai-Hong Kong Stock Connect trading or the China Stock Connect System.
16. You should visit the SEHK websites (<http://www.hkex.com.hk>) and SSE website (<http://www.sse.com.cn>) to read the updated rules of the Shanghai - Hong Kong Stock Connect and the relevant documents in details before participating in Shanghai-Hong Kong Stock Connect trading.
17. Trading in Shanghai-Hong Kong Stock Connect is not protected by the Investor Compensation Fund established under the Securities and Futures Ordinance.

## Personal Data (Privacy) Ordinance (Chapter 486 of the laws of Hong Kong)(the "Privacy Ordinance") Personal Information Collection Statement

For the purposes of this Statement, 'personal data' (i) in the case of individual account holders, joint account holders or sole proprietors, means personal data relating to the relevant individual concerned; (ii) in the case of a partnership, means personal data relating to each partner of the partnership; and (iii) in the case of a corporate entity, means personal data relating to any individual director, shareholder, officer or manager which has been provided to Goldlink.

The Client acknowledges and agrees that in providing Goldlink's China Connect services trading service to the Client, Goldlink will be required to :

- A. tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to the Client or the BCAN that is assigned to the Client's joint account with Goldlink, as appropriate; and
- B. provide to the Exchange the Client's assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to the Client as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification Goldlink has given the Client or consent Goldlink has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and Goldlink services to the Client, the Client acknowledges and agrees that Goldlink may collect, store, use disclose and transfer personal data relating to the Client as required as part of Goldlink's China Connect securities trading service, including as follows :

- A. to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK subsidiaries from time to time, including by indicating the Client's BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
- B. to allow each of the Exchange and the relevant SEHK subsidiaries to : (i) collect, use and store the Client's BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (C) and (D) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
- C. to allow the relevant China Connect Clearing House to: (i) collect, use and store the Client's BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK subsidiary; (ii) use the Client's BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
- D. to allow the relevant China Connect Market Operator to (i) collect, use and store the Client's BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

Client's signature : \_\_\_\_\_

Client's name : \_\_\_\_\_

Date : \_\_\_\_\_

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