



**To: Clients of Interactive Brokers Hong Kong Limited or any of its affiliates (collectively "Interactive Brokers")**

As required by the rules of the Hong Kong Exchanges and Clearing Limited (the "Exchange"), Interactive Brokers is required to collect and process your personal data as described in the Personal Information Collection Statement ("PICS") below. Please read, acknowledge and consent to our processing of your personal data described in the PICS in order for us to provide our Stock Connect Northbound Trading Service to you.

**PICS Concerning Northbound China Connect Orders**

**Processing of Personal Data as part of the Stock Connect Northbound Trading through Interactive Brokers**

In providing you with our Stock Connect Northbound Trading Service, you consent to permit IB to do the following in order to fulfill its regulatory obligations:

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

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows:

- a. to disclose and transfer your BCAN and CID to the Exchange and its relevant wholly-owned subsidiaries which are duly authorized and licensed to provide order-routing service in connection with the Stock Connect Northbound Trading ("SEHK subsidiary" or "SEHK Subsidiaries") from time to time, including by indicating your 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 your 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, by any of them or via the Exchange) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange;

- ii. transfer such information to 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 your 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 your 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 your 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.

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading.

You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent, when that is required to meet any legal or regulatory obligations.

### **Consequences of failing to provide Personal Data or Consent**

Failure to provide us with your personal data or consent as described above may mean that we will not carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

### **Acknowledgement and Consent**

I acknowledge I have read and understand the content of the Personal Information Collection Statement of Interactive Brokers. By ticking the box below, I signify my consent for Interactive Brokers to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

I agree to use of my personal data by Interactive Brokers for the purposes set out in the Personal Information Collection Statement.