

**UOB Kay Hian (Hong Kong) Limited**  
**15/F China Building**  
**29 Queen's Road Central, Hong Kong**  
**Attn: Client Services Department**

**Information Collection Statement concerning Northbound China Connect Orders (For Institutional Client)**

I/We acknowledge and agree to use or transfer our identification information by UOB Kay Hian (Hong Kong) Limited (including Entity name, Place of incorporation and Legal Entity Identifier (“LEI”) / Certificate of Incorporation number etc.) for the purpose of complying with the Investor ID Model regime for Northbound Trading. I/We hereby declare that:

- 1) The main account and all sub accounts of our institution are opened for (Funds / Proprietary Trading/ Others) \* purpose.
- 2) Our institution (belongs/ does not belong) \* to Trade-through Exchange Participants (“TTEPs”).

The TTEP firm ID is: \_\_\_\_\_

\*Delete whichever is inappropriate.

**滬深港北向交易指令資料收集聲明（適用於機構客戶）**

本人/吾等知悉及同意大華繼顯（香港）有限公司發送或傳輸本機構的識別資料（包括公司名稱，公司註冊國家及全球法人機構識別編碼/ 公司註冊證明編號等），以遵守北向投資者識別碼制度。本人/吾等謹此確認：

- 1) 本機構的主帳戶和所有相關的附屬帳戶的用途是（**基金/自營交易/其他**）\* 。
- 2) 本機構（**是/ 不是**）\* 屬於「透過中華通交易所參與者買賣之交易所參與者」（TTEP）。

透過中華通交易所參與者買賣之交易所參與者編號：\_\_\_\_\_

\*請刪除不合適者。

\_\_\_\_\_  
Authorized Signature(s) with Business Chop (if any)

機構授權人簽署及業務印章(如有)

\_\_\_\_\_  
Entity Name:

機構姓名:

\_\_\_\_\_  
Account Number:

戶口號碼：

\_\_\_\_\_  
Date

日期:

Submit the signed Information Collection Statement either by:

提交簽署聲明的方法:

- 1) Reply to this email by attaching the scanned copy of the statement to our Client Service Email (clientservices@uobkayhian.com.hk).

簽署聲明副本電郵至客戶服務電郵(clientservice@uobkayhian.com.hk) 。

- 2) Send the original statement by post to our office address: 15/F, China Building, 29 Queen's Road Central, Hong Kong (Attn.: Client Services Department).

簽署聲明正本郵寄至我們的辦公地址：香港皇后大道中二十九號華人行十五樓（備注：客戶服務部）。