

SMBC Nikko Securities (Hong Kong) Limited (the “Company”) PRIVACY POLICY STATEMENT

PERSONAL DATA (PRIVACY) ORDINANCE - PRIVACY POLICY STATEMENT GENERAL

This policy statement provides information on the obligations and policies of the Company, under the Hong Kong SAR Personal Data (Privacy) Ordinance - Cap.486 (the "**Ordinance**").

The Company committed to the protection of the privacy and confidentiality of individual's personal data and information, and the Company will ensure that the Company, our employees, and the Company's agents comply with the requirements of the Ordinance.

This policy specifically addresses the Company's obligations in respect of the data privacy laws of the Hong Kong SAR. As such, the Company undertakes to apply, where practicable, those principles and the processes set out herein to its operations globally.

Where the Company's operations are subject to privacy legislation other than that of Hong Kong SAR, then this policy shall be applied so far as practicable and consistent with such local legislation.

1 COMPANY CORPORATE POLICY

The Company shall fully comply with the obligations and requirements of the Ordinance. The Company's officers, management, and members of staff shall, at all times, respect the confidentiality of and endeavour to keep safe any and all personal data collected, stored, transmitted and/or used for, or on behalf of, the Company.

The Company shall endeavour to ensure all collection, storage, transmission and other handling or usage of personal data by the Company shall be done in accordance with the obligations and requirements of the Ordinance.

Where an individual legitimately requests access to and/or correction of personal data relating to the individual, held by the Company, then the Company may provide and/or correct that data in accordance with the time and manner stipulated within the Ordinance.

2 TYPES OF PERSONAL DATA COLLECTED FROM CUSTOMERS

For the purpose of carrying on the Company's businesses, including provision and related services, **you as our customer** may be requested to provide personal data such as, but not limited to, the following, without which it may not be possible to satisfy your request:

- (a) Your name;**
- (b) Address;**
- (c) Account details, including account numbers, service numbers, or user accounts (bank account details);**
- (d) Contact details, including contact name and telephone number or email address; or**
- (e) Information for the verification of identity, including identification type and identification number.**

In some instances, you may also be requested to provide certain data that may be used to further improve the Company's services and/or better type of information presented to you. In most cases, this type of data is optional although, where the requested service is a personalised service, or

provision of a product is dependant on your providing all requested data, failure to provide the requested data may prevent the Company from providing the service to you.

This type of data may sometimes include, but is not limited to:

- (a) Your age;**
- (b) Gender;**
- (c) Salary range and employment details;**
- (d) Education and Profession;**
- (e) Hobbies and leisure activities;**
- (f) Other related services subscribed to; and**
- (g) Family and household demographics.**

The Company will keep all the personal data safe and ensure the collection and use of such data will not lead to the violation of the personal dignity of a natural person or harm to personal or property safety.

3 USE OF PERSONAL DATA

Your personal data (whether provided by you or any other person, and whether provided before or after the date you receive this notice) may be used for:

- (a) verifying your identity;
- (b) provision of services to you;
- (c) matching (as defined in the Ordinance) your personal data with other data collected for other purposes and from other sources including third parties in relation to the provision of goods and services to you;
- (d) marketing and advertising of any goods and/or services to you by the Company, related companies, agents, contractors and third party suppliers upon your consent in accordance with the prevailing requirements in the Ordinance;
- (e) business planning and improving goods and/or services for supply to you, by the Company, related companies, agents, contractors and third party suppliers;
- (f) processing of any benefits in connection with the supply of services to you;
- (g) analysing, verifying, enforcing contractual rights, and/or checking of your credit, payment and/or status in relation to supply of services to you;
- (h) processing of any payment instructions, direct debit facilities and/or credit facilities in relation to supply of services to you;
- (i) enabling the daily operation of your account and/or the collection of amounts outstanding in your account with the Company including the use of debt collection agents;
- (j) enabling the Company to comply with any obligations to interconnect, with other industry practices, or with obligations to third parties or government agencies in relation to the supply of goods and services to you;
- (k) keeping you informed about services supplied to you and other services made available by the Company;
- (l) prevention or detection of crime;
- (m) disclosure as permitted or required by law; and
- (n) any other purposes as may be agreed to between you and the Company, including the purposes set out in any application or terms and conditions for the supply of specific services.

4 RETENTION OF PERSONAL DATA

The Company will destroy any personal data it may hold in accordance with its internal policy. Generally speaking, the Company's policies cover the following principles:

- (a) Personal data will only be retained for the shortest period as is necessary to fulfil the original or directly related purposes for which it was collected, unless the personal data is also retained to satisfy any applicable statutory or contractual obligations; and
- (b) Personal data are purged from the Company's electronic, manual, and other filing systems

in accordance with specific schedules based on the above criteria and the Company's internal procedures.

Under any of the following circumstances, the Company shall voluntarily delete your personal data; and, if the Company fails to delete such data, you shall have the right to request it to do so:

- (a) The processing purpose has been achieved or cannot be achieved, or it is no longer necessary to achieve the processing purpose;
- (b) The Company ceases the provision of products or services, or the retention period has expired;
- (c) You withdraw the consent;
- (d) The Company processes personal data in violation of any applicable laws or regulations or the contractual arrangement;
- (e) Other circumstances as provided by applicable laws or regulations.

Where the retention period provided by any applicable laws or regulations has not expired, or it is difficult to realize the deletion of personal data technically, the Company shall cease the processing of personal data other than storing and taking necessary security protection measures for such data.

5 DISCLOSURE OF PERSONAL DATA

All personal data held by the Company will be kept confidential but the Company may, where such disclosure is necessary to satisfy the purpose, or a directly related purpose, for which the data was collected provide such information to the following parties ("Recipients"):

- (a) Any holding companies, associated companies, or affiliates of, or companies controlled by, or under common control with the Company;
- (b) Any person or company who is acting for or on behalf of the Company, or jointly with the Company, in respect of the purpose or a directly related purpose for which the data was provided;
- (c) Any other person or company who is under a duty of confidentiality to the Company and has undertaken to keep such information confidential, provided such person or company has a legitimate right to such information;
- (d) the Company's dealers, agents, contractors, suppliers and other financial service providers; its professional advisers, including its accountants, auditors and lawyers;
- (e) Government and regulatory authorities and law enforcement agencies and other organisations, as required or authorised by law; and
- (f) Any financial institutions, charge or credit card issuing companies, credit information or reference bureau, or collection agencies, necessary to establish and support the payment of any services being requested.

The Recipients also have strict confidentiality and protection obligations for the data received data, and can only use such data for the agreed purposes. The Company will release specific name list of the Recipients on its official website and updated on a regular basis, you can check it online or contact the Contact person for detailed information. If you have any questions, doubts, or intentions of refusing the Company to provide your information to the Recipients, please also contact the Contact person.

Personal data may also be disclosed to any person or persons pursuant to any statutory or contractual obligations or as required by court of law, provided such person or persons are able to prove the required right/authority to access such information. Your personal data may also be disclosed to a third party where consented to or requested by you.

6 SECURITY OF PERSONAL DATA

Physical records containing personal data are securely stored in locked areas and/or containers when not in use.

Computer data are stored on computer systems and storage media to which access is strictly controlled and/or are located within restricted areas.

Access to records and data without appropriate management authorisation are strictly prohibited. Authorisations are granted only on a "need to know" basis that is commensurate with an individual's company responsibilities and their training.

Where the Company holds, uses and/or transmits the Customers' personal data it will be adequately protected from accidental and/or unauthorised disclosure, change and/or destruction.

7 ACCESS AND CORRECTION OF PERSONAL DATA

Under the Ordinance, **individuals have the right to:**

- (a) Ascertain whether the Company holds any personal data relating to them and, if so, obtain copies of such data ("right of access");
- (b) Require the Company to correct personal data in its possession which is inaccurate for the purpose for which it is being used by means of a data access request (right of correction); and
- (c) Ascertain the Company's policies and practices in relation to personal data, which are those policies and practices set out in their entirety herein.

An individual may exercise his or her right of access by:

- (a) Completing the "Data Access Request Form" as prescribed by the Privacy Commissioner for Personal Data or the "Personal Data (Privacy) Ordinance - Data Access Request Form";
- (b) Sending the completed form, along with appropriate proof of identity (a copy of the applicant's Hong Kong Identity Card or Passport) and the prescribed fee to the at the address listed below;

There, staff will verify your identity and stamp the completed form appropriately. Please send the stamped form and processing fee to the Company at the address listed below for processing.

The Company will, upon satisfying itself of the authenticity and validity of the access request, make every endeavour to comply with and respond to the request within the period set by the Ordinance (i. e. within 40 days after receiving the request).

An individual may exercise their right of correction by writing to the Company at the address listed below, specifying the data obtained through the Data Access Request mentioned above which needs to be corrected.

Satisfactory proof and/or explanation of the inaccuracy is essential before the Company would consider correcting the specified data.

Upon satisfying itself of the authenticity and validity of the correction request, the Company will comply with and respond to the request as required by the Ordinance.

8 HANDLING OF PERSONAL DATA IN RECRUITMENT AND EMPLOYMENT

RECRUITMENT

During the recruitment process, **job applicants** may be required to provide sufficient personal data so that the Company may, as appropriate and/or applicable:

- (a) Assess the applicant's suitability for the position being applied for;
- (b) Assess the applicant's suitability for other positions the Company may have available;
- (c) Determine preliminary remuneration and benefit packages;
- (d) Verification of credentials and/or experience; and
- (e) Perform security vetting and/or integrity checking.

At a minimum, such personal data will include:

- (a) The applicant's name and contact details, including address and telephone number(s);**
- (b) Previous employment and relevant experience; and**
- (c) Education and relevant training.**

Additional information may also be required dependent on the nature of the position being applied for.

The applicant is responsible for ensuring all personal data they provide is accurate and complete. The provision of inaccurate information or the withholding of requested information may:

- (a) Prevent the Company from making an offer of employment;**

(b) Invalidate such offer if the inaccuracy or omission is discovered after an offer has been made; or

(c) Lead to termination of employment if the inaccuracy or omission is discovered after employment has commenced.

The personal data so provided may be transferred to persons within the Company, its associated companies, and its clients in client projects; who are involved in the assessment of the applicant's suitability for the position applied for and/or other positions, which may be, or may become, available within the Company. The data may also be transferred to third parties, such as investigation agencies or previous employer, as are necessary to satisfy the purposes set out above ("Recipients of Recruitment Personal Data "). The Company shall retain the personal data of unsuccessful applicants for future recruitment purposes for a period of not exceeding 12 months from the day on which the recruitment period ends. The personal data of successful applicants shall be retained for the duration of their employment by the Company.

The Recipients of Recruitment Personal Data shall also have strict confidentiality and protection obligations for the data received, and can only use such data for the agreed purposes. The Company will release specific name list of the Recipients of Recruitment Personal Data on its official website and updated on a regular basis. You can check it online or contact the Contact person for detailed information. If you have any questions, doubts, or intentions of refusing the Company to provide your information to the Recipients of Recruitment Personal Data, please also contact the Contact person.

In respect of the Company's practices regarding matters not directly addressed in this section "Recruitment", the practices, and procedures set out in the preceding sections of this Privacy Policy Statement shall apply.

9 CONTACT PERSON

If you wish to request access to and/or correction of personal data concerning you or for information regarding policies, practices of and the kind of personal data held by the Company, you should address your request in writing to the Company as follows:

**SMBC Nikko Securities (Hong Kong) Limited
Suites 807-811, 8/F, One International Finance Centre,
1 Harbour View Street, Central, Hong Kong**

(Re: Personal Data Privacy Ordinance)

In accordance with the terms of the PDPO, the Company has the right to charge a reasonable fee for the processing of any data access request. Nothing in this notice shall limit your rights under the PDPO.