



SMBC Nikko Securities (Hong Kong) Limited

Privacy Collection Statement

SMBC Nikko Securities (Hong Kong) Limited (ARBN 638 096 643 /ABN 63 638 096 643), operating in Australia (**we** or **Nikko HK**) is bound by the obligations set out in the *Australian Privacy Principles (APP)* which form part of the *Privacy Act 1988 (Cth)* (**Privacy Act**).

This Privacy Collection Statement is provided to you in accordance with APP No. 5 (Notification of the collection of personal information). This Privacy Collection Statement outlines what personal information we collect, record, store, use, disclose and process and how we do so, in relation to Nikko HK's functions or activities.

1. Purpose of collection: Nikko HK only collects and holds personal information¹ about individuals that is necessary for Nikko HK's business, particularly:

- a) to identify its prospective customers before offering any financial products or services;
- b) to review its current customers as part of its ongoing customer due diligence duties;
- c) to comply with the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*;
- d) to establish the tax status of its customers under any Australian or foreign legislation, regulation or treaty or pursuant to an agreement with any tax authority;
- e) to identify, prevent or investigate any actual or suspected fraud, unlawful activity or misconduct; or
- f) as required by relevant laws, regulations, and applicable industry codes of practice.

2. Personal information collected from someone other than the individual: If Nikko HK collects personal information about you from anyone other than you, we will take reasonable steps to let you know. Reasonable steps may include asking the person who gave us your information to let you know that we have collected that information.

3. Consequences if the personal information is not collected: If any personal information Nikko HK needs is not available, or not provided, Nikko HK may not be able to provide the relevant product or service or we may delay, block or refuse to make a payment or action relating to the customer's account.

4. Disclosure of personal information

Nikko HK is entitled to make certain disclosures in accordance with the Privacy Act. These include disclosures which are related to the primary purposes as listed in paragraph 1 above. The Privacy Act also permits Nikko HK to disclose the personal information if a party would reasonably expect us to disclose the information for a secondary purpose. This may include where HK shares the personal information as part of the customer information with its group

¹ Personal information means information or an opinion about an identified individual or an individual who is reasonably identifiable: (a) whether the information or opinion is true or not; and (b) whether the information or opinion is recorded in a material form or not.



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related entities/affiliates to better service the customer.

Some examples of the parties to whom we may disclose the personal information are:

- a) related entities or affiliates of Sumitomo Mitsui Financial Group, Inc.;
- b) regulatory bodies, government agencies, law enforcement bodies and courts in Australia and overseas;
- c) participants in financial and payments systems and other financial institutions;
- d) guarantors and security providers;
- e) parties to whom Nikko HK is authorised or required by law or court/tribunal order to disclose information;
- f) professional advisors or service providers of Nikko HK who are under a duty of confidentiality to keep such information confidential; and
- g) internal or external auditors.

5. Overseas recipient: Some of these recipients are located outside Australia (e.g. group related entities). The countries in which these recipients may be located vary from time to time, but may include: Japan, the United Kingdom, the United States of America, Singapore. Nikko HK will only share personal information with parties who have a comparable level of controls and measures in protecting such information.

6. Privacy policy: You can receive a copy of Nikko HK's privacy policy statement from its group webpage or by contacting the below. The privacy policy contains information about how the individual may: (i) access the personal information about the individual; (ii) seek the correction of such information; and (iii) complain about a breach of the APPs, and how Nikko HK will deal with such a complaint.

SMBC Nikko Securities (Hong Kong) Limited
Suites 807-811, 8/F, One International Finance Centre
1 Harbour View Street, Central, Hong Kong
Phone: (852) 2842 1111