



NOTICE TO CUSTOMERS RELATING TO PERSONAL DATA (PRIVACY) ORDINANCE (THE “PDPO”)

This Statement is made by Hong Kong Securities (International) Company Limited (“HKSICL”) in accordance with the PDPO of the Hong Kong Special Administrative Region. The statement is intended to notify you why personal data is collected, how it will be used and to whom data access requests are to be addressed.

1. From time to time, it is necessary for customers to supply HKSICL with data in connection with the opening or continuation of accounts and the establishment or continuation of provision of brokerage services, credit facilities or compliance with any laws or guidelines issued by regulatory or other authorities.
2. Failure to supply such data may result in the HKSICL being unable to open or continue accounts or establish or continue the provision of brokerage services or comply with any laws or guidelines issued by regulatory or other authorities.
3. It is also the case that data are collected from customers in the ordinary course of the continuation of the brokerage relationship. This includes information obtained from credit reference agencies.
4. The purpose of which data relating to a customer may be used are as follows:
 - (i) The daily operation of the services and credit facilities provided to customers;
 - (ii) Conducting credit checks/background/litigation search and upon periodic or special reviews of the credit which normally will take place one or more times each year;
 - (iii) Creating and maintaining HKSICL’s credit and risk related models;
 - (iv) Assisting other financial institutions to conduct credit checks and collect debts;
 - (v) Ensuring ongoing credit worthiness of customers;
 - (vi) Designing financial services or related products for customers;
 - (vii) Marketing services and products including but not limited to reward, loyalty or privileges programmes and related services and products, and services and products offered by the HKSICL’s co-branding partners. These services or products may be provided and/or marketed by HKSICL and its group company, third party financial institutions, securities and investment services providers, third party



- reward, loyalty or privileges programme providers, and co-branding partners of HKSICL and its group;
- (viii) Determining the amount of indebtedness owed to or by customers;
 - (ix) Collection of amounts outstanding from the customers and the guarantors who provide securities for the customers;
 - (x) Meeting the requirements to make disclosure under the requirements of any law binding on HKSICL or its group companies and for the purposes of any guidelines issued by regulatory or other authorities with which HKSICL or its group companies are expected to comply;
 - (xi) Enabling an actual or proposed assignee of HKSICL or participant or sub-participant of HKSICL's rights in respect of the customer to transaction intended to be the subject of the assignment, participation or sub-participation; and
 - (xii) Purposes relating thereto.
5. Data held by HKSICL relating to a customer will be kept confidential but HKSICL may provide such information to the following parties (whether within or outside the HKSAR) for the purposes set out in paragraph 4 above:
- (i) Any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment or securities clearing or other services to HKSICL in connection with the operation of its business;
 - (ii) Credit reference agencies, and in the event of default, to debt collection agencies;
 - (iii) Any person to whom HKSICL is under an obligation to make disclosure under the requirements of any law binding on HKSICL or any group companies or under and for the purposes of any guidelines issued by regulatory or other authorities with which HKSICL or any group companies are expected to comply;
 - (iv) Any actual or proposed assignee of HKSICL or participant or sub-participant or transferee of HKSICL's rights in respect customer; of and the c
 - (v) HKSICL's group companies, third party reward, loyalty and privileges programme providers, co-branding partners of HKSICL and HKSICL's group companies (the names of such co-branding partners will be provided during the application of the



relevant services and products, as the case may be); and external service providers that HKSICL engages for the purposes set out in paragraph 4(vii) above. Such information may be transferred to a place outside Hong Kong.

In connection with 5(ii) above, the credit reference agency will use the above data supplied by HKSICL for the purpose of compiling a count of the number of credit facilities from time to time held by the customer for sharing in the consumer credit database of the credit reference agency by credit providers. In the event of any default in payment where the amount in default is not fully repaid, the HKSICL and its group companies have the right to supply the above data to debt collection agencies for the purpose of debt collection until the outstanding amount is fully repaid to HKSICL and its group companies.

6. Under and in accordance with the terms of the PDPO, any individual has the right:
 - (i) to check whether HKSICL holds data about him and of access to such data;
 - (ii) to require HKSICL to correct any data relating to him which is inaccurate; and
 - (iii) in relation to the provision of credit facilities, to request to be informed which items are disclosed to debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant debt collection agency.
7. In accordance with the terms of PDPO, HKSICL has the right to charge a reasonable fee for the processing of any data access request.
8. The person to whom requests for access to data or correction of data or for information regarding kinds of data held are to be addressed as follows:

Customer Services Department

Hong Kong Securities (International) Company Limited

Address: Room 706, 7/F, Tai Tung Building, 8 Fleming Road, Wan Chai, Hong Kong

Hotline: (+852) 2893 5566

Email:cs@hksecurities.com.hk

NOTE: In case of discrepancies between the English and Chinese versions, the English version shall apply and prevail.

Last update: 15 February 2016