

Everbright Securities International Privacy Policy

A. Personal information collection and privacy policy statements

Please read the following before you send us any Personal Data.

DEFINITIONS

1. Unless the context otherwise requires, the following terms when used in this Privacy Policy shall have the meanings ascribed thereto as follows:

"Personal Data" means personal data as defined in the Personal Data (Privacy) Ordinance, Cap. 486 of the Laws of Hong Kong. With regard to natural persons in Mainland China, personal data shall be deemed to include personal information as defined in the Personal Information Protection Law of the People's Republic of China.

"EBSI Group" means China Everbright Securities International Company Limited, together with its subsidiaries and associated companies, including, for the avoidance of doubt, any subsidiaries and associated companies of Everbright Securities International (HK) Limited.

INTERNET TRANSMISSION NOT SECURE

2. E-mail or other electronic messages sent to EBSI Group over the Internet cannot be completely secure as the Internet is an open system. EBSI Group does not make any warranty or guarantee with respect to the security of any message sent through Internet or other electronic communication system. The EBSI Group will not be responsible for any damage or loss suffered or incurred by any users if they send an e-mail or other electronic message to the EBSI Group, or if the EBSI Group sends an email or other electronic message at the request of the user, by Internet or other electronic communication system.

PURPOSE OF COLLECTION/USES

3. EBSI Group will not collect any Personal Data that individually identifies a visitor to any EBSI Group site unless it has been submitted by users themselves.
4. EBSI Group will endeavor to keep Personal Data held by EBSI Group confidential. Nevertheless, in submitting Personal Data you agree that any such data may be used for the following purposes –

- 4.1. the processing of applications for, and daily operation of services provided by EBSI Group to client and, where appropriate, non-client or to other persons for whom Client acts as guarantor or for whom client provides third-party security;
- 4.2. customer relationship management (including but not limited to loyalty programs or privileges and rewards schemes) and relationship management of non-clients such as attendees or participants of seminars or other activities;
- 4.3. maintaining client's or any surety's credit history for present and future reference;
- 4.4. improving, enhancing, designing or launching existing or new financial services or related products for client's use (including, where appropriate, providing client with financial advice);
- 4.5. if the relevant data subject has consented (including an indication of no objection) to the use of the data subject's personal data for direct marketing purposes by members of the EBSI Group and/or entities outside the EBSI Group in the Account Application or in other application form(s) or otherwise, marketing financial and related services, products or goods
- 4.6. determining the amount of indebtedness owed to or by client or any surety;
- 4.7. collecting of amounts outstanding from client or any surety;
- 4.8. meeting any requests or requirements to make disclosure under applicable laws and regulations;
- 4.9. enabling an actual or proposed assignee of EBSI Group in connection with merger, amalgamation, reconstruction or otherwise to evaluate the transaction intended to be the subject of the assignment;
- 4.10. any other purpose disclosed in the website(s) or an application form of a member of the EBSI Group from time to time;
- 4.11. commencing, defending or otherwise participating in any legal or administrative proceedings or inquiry before any court or competent authority;
- 4.12. seeking or obtaining administrative, telecommunications, computer, payment, debt collection or securities clearing, custodian, audit, banking, financing, insurance, business consulting, outsourcing, or other services to EBSI Group in connection with the operation of its business;
- 4.13. Companies with registered offices in Europe ("EU Companies") have the right to identify their shareholders across borders. For this reason, we are obliged to disclose shareholder information, such as the name and address of shareholders, to EU Companies upon request in accordance with applicable EU directives and/or member states' national laws and/or other implementing measures; and
- 4.14. any other lawful purpose directly or indirectly relating or incidental to any of the above.

CLASSES OF POTENTIAL TRANSFEREES

5. EBSI Group will endeavor to keep Personal Data of client or, where appropriate, non-client, held by EBSI Group confidential but EBSI Group may, at its sole discretion, provide such information

to the following persons for direct marketing purposes (where consented (including an indication of no objection) by the relevant data subject) or any other purposes permitted by this Privacy Policy:

- 5.1. any agent, contractor or third-party service provider (whether in Hong Kong or elsewhere) who provides administrative, telecommunications, computer, payment, debt collection or securities clearing, custodian, audit, banking, financing, insurance, risk management, business consulting, outsourcing, customer relationship management, marketing or other services to EBSI Group in connection with the operation of its business;
- 5.2. any branch or office of any member of the EBSI Group, whether in Hong Kong or elsewhere;
- 5.3. any person acting or proposing to act as surety;
- 5.4. any person under a duty of confidentiality to EBSI Group (or any member of the Group) or who has undertaken to keep such information confidential;
- 5.5. any financial institution with which a client has or proposes to have dealings;
- 5.6. credit reference agencies and, in the event of default, to debt collection agencies;
- 5.7. any actual or proposed assignee or transferee of any member of EBSI Group;
- 5.8. any person in accordance with applicable laws and regulatory requirements including through or pursuant to any rules, judgment, decision or ruling of the courts, arbitral tribunals, Financial Dispute Resolution Centre Limited, governmental, regulatory or other bodies or institutions, whether as required by the laws and regulatory requirements that are applicable to any member of the Group, or otherwise, or any company issuing a notice under section 329 of the Securities and Futures Ordinance.

ACCESS AND CORRECTION OF PERSONAL DATA

6. You have the right to request access to and correction of information about you held by EBSI Group. If you wish to access or correct your personal data held by EBSI Group, please send your written request to the Data Privacy Officer, EBSI Group, 28/F, Lee Garden One, 33 Hysan Avenue, Causeway Bay, Hong Kong. EBSI Group may charge a reasonable fee for processing any data access request.

OTHER APPLICABLE PERSONAL DATA COLLECTION STATEMENTS

7. If you are a client of any member of EBSI Group, the Personal Data Schedule (if any) or provisions of the relevant client or terms and conditions regulating the relevant trading or investment account shall apply in respect of the relevant account in precedence of this Privacy Policy, which is general in nature. If Personal Data is collected in a certain activity application form, such as seminar attendance, the personal data collection statement in such application form will supplement this Privacy Policy and in case of any inconsistency, the personal

information collection statement in such activity application form shall prevail to the extent of such inconsistency.

OTHER DISCLAIMERS

8. EBSI GROUP ENDEAVORS TO ENSURE THE ACCURACY AND RELIABILITY OF THE INFORMATION PROVIDED ON OR THROUGH THE WEBSITE(S) OF ANY MEMBER OF EBSI GROUP BUT DO NOT WARRANT OR GUARANTEE ITS ACCURACY OR RELIABILITY AND ACCEPTS NO LIABILITY (WHETHER IN TORT OR CONTRACT OR OTHERWISE) FOR ANY LOSS OR DAMAGE ARISING FROM ANY INACCURACIES OR OMISSIONS OR OTHERWISE HOWSOEVER ARISING.

ANY INFORMATION, PRODUCTS OR SERVICES SUPPLIED IN ANY WEBSITE OF EBSI GROUP MAY BE WITHDRAWN OR AMENDED AT ANY TIME WITHOUT ANY ADVANCE NOTICE AT THE SOLE AND ABSOLUTE DISCRETION OF EBSI GROUP WITHOUT ANY LIABILITY WHATSOEVER ON THE PART OF EBSI GROUP. THE ELIGIBILITY OF CLIENTS FOR ANY PARTICULAR INFORMATION, PRODUCTS OR SERVICES IS SUBJECT TO THE FINAL AND ABSOLUTE DISCRETION OF EBSI GROUP.

IT IS YOUR RESPONSIBILITY TO PREVENT, SAFEGUARD AND ENSURE THAT NO COMPUTER VIRUS OR ANY OTHER MALWARES ENTER YOUR SYSTEM AND/OR ANY SYSTEM OF EBSI GROUP (INCLUDING BUT NOT LIMITED TO THIS WEBSITE) BY VIRTUE OF YOUR ACCESS TO OR USE OF ANY WEBSITE OR SERVICE OF EBSI GROUP.

COOKIES

9. EBSI Group will not collect any personal information that identifies a visitor to a website of EBSI Group unless specified otherwise. With regard to your visit, only the pages visited may be recorded unless specified otherwise. Such information will be used to prepare aggregate information about the number of visitors to, and general statistics on the usage patterns of the relevant site. Some of this information may be gathered through the use of "cookies".

B. OPT-OUT REQUEST FOR THE USE OF PERSONAL DATA FOR DIRECT MARKETING

REQUEST TO STOP RECEIVING DIRECT MARKETING MATERIALS

After providing your personal data, you may at any time opt out from receiving our direct marketing materials. To do so, you may click on the "Unsubscribe" link in any marketing or promotional email that you receive from the EBSI Group; alternatively, you may download a form by clicking [here](#), complete and mail back to the person below. We will process your request free of charge.

Data Privacy Officer
China Everbright Securities International Company Limited,
28/F, Lee Garden One,
33 Hysan Avenue, Causeway Bay, Hong Kong.

Customer Service Hotline: +852 2822 5001 (Hong Kong) / +853 6262 5028 (Macau) / +86 40011 95525 (Mainland)

Fax: +852 3920 2789

Email: cs@ebshk.com

C. PERSONAL DATA SCHEDULE

Please [click here](#) to download the Personal Data Schedule if you need more information about Everbright Securities International Group's policy and practices in relation to personal data. In case of any inconsistency, the personal data schedule contained in the relevant Client Agreement and Schedules governing your account shall prevail.

D. PERSONAL INFORMATION POLICY (PEOPLE'S REPUBLIC OF CHINA)

Please [click here](#) to view the Personal Information Protection Policy, which is applicable to personal information of natural persons in Mainland China.

IMPORTANT

The content of this site may be updated from time to time by EBSI Group. By accessing this site and any of its pages you agree to the terms and conditions set out above. If you do not agree with this Privacy Policy, you must not access or otherwise use this site or any of its contents. If there is any inconsistency between the English and Chinese versions of this Privacy Policy, the English version shall prevail.

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