



太平証券（香港）有限公司

Taiping Securities (HK) Co., Ltd.

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Registered securities dealer of SFC (CE No. AAE494) &
证监会持牌法团中央编号 AAE494 及
Participant of The Stock Exchange of Hong Kong Ltd.
香港联合交易所有限公司(“联交所”)参与者

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Letter of Consent for Collection of Client Personal Data

This Letter of Consent for Collection of Client Personal Data (this “**Letter**”) is prepared by Taiping Securities (HK) Co., Ltd. (“**Taiping**”, “**we**”, “**us**”, or “**our**”) in accordance with the *Personal Information Protection Law of the People’s Republic of China* and relevant supporting regulations (collectively, the “**Personal Information Protection Laws**”). This Letter is intended to explain the rules for Taiping’s collection, use, storage and disclosure of personal data of you or relevant individuals and the related rights of you or relevant individuals, among others, in the process of providing products or services to Taiping’s individual clients within Mainland China or institutional clients who provide Taiping with data of individuals within Mainland China (“**you**”, or “**your**”).

This Letter only applies to individual clients within Mainland China or institutional clients who provide Taiping with data of individuals within Mainland China. This Letter is a supplementary appendix to, and has the same effect as, the Privacy Policy Statement (“**PPS**”) and the Personal Information Collection Statement (“**PICS**”) of Taiping. Matters not covered in this Letter may be addressed with reference to the PPS and the PICS. In the event of any conflict between this Letter and the PPS or the PICS, this Letter shall prevail.

Before you use Taiping products or services, please fully read and consent to the relevant content of this Letter. If you are an institution rather than an individual, please ensure that you have provided this Letter to relevant personal data subject before providing us with the data of such personal data subject within Mainland China, and that the personal data subject has fully read, understood and consented to the relevant content of this Letter. Please be aware that, by signing this Letter, you and the relevant personal data subject, as applicable, consent to the terms of this Letter and the processing of relevant personal data for the purposes set out in this Letter. If you and the relevant personal data subject, as applicable, do not consent to this Letter, please do not use Taiping products or services.

1 How We Collect Client Personal Data

In the course of providing products or services to you, we may collect relevant data about you on our own or from third parties (including any member of the Taiping Group or other third parties) for the matters and purposes set out in this Letter. **If the data you may have provided to us includes personal data of other persons, please ensure that you have obtained the consent of such other persons.** Relevant persons may include but are not limited to applicants for our Facilities, Products and Services; referees; corporate officers and managers; suppliers, manufacturers, service providers, agents and other contractual counterparties; beneficiaries; financing agents; and any other third party dealing with or through us.

1.1 In order to assist you in opening and maintaining a securities cash account or securities margin account with Taiping and ensure that Taiping and any member of the Taiping Group comply with applicable laws and regulations, regulatory requirements on anti-money laundering, counter-terrorist financing and other illegal financial activities, or any other applicable legal obligations, regulations or arrangements, we will collect all information about you as listed in the Application Form (Individual) or the Application Form (Companies), including:

- ◆ **Account details** (including the **types of account, trading market and product** you applied for);
- ◆ Personal information (including your full name, joint account holder name (if applicable), date of birth, nationality, country(s) of citizenship, home address, permanent address, **passport number**, number of dependents, home telephone number, mobile phone number, email address, and **whether you are or any of your Authorised Person is a politically exposed person**);
- ◆ **Residential status**;
- ◆ Employment and income information (including whether you are self-employed, name of your employer, office telephone number, nature of business, **annual income, net asset value**, and information concerning the immediately prior employment where your current employment is less than six months);
- ◆ Correspondence / Statement address;

- ◆ Whether you agree to use Internet services;
- ◆ Whether you agree to use real time quote services;
- ◆ **Origin of source of funds;**
- ◆ **Source of assets;**
- ◆ **Related account(s)** (including whether you are a spouse/relative of an employee or director of Taiping; whether you are an employee of entities or persons licensed by or registered with the SFC; and the identity of ultimate beneficial owner of your account) ;
- ◆ **Identity of person(s) ultimately responsible for originating instructions** (including the title, full name, date of birth, country(s) of citizenship, nationality, home address, permanent address, **HKID or passport number**, home telephone number, mobile phone number, and email address of relevant person(s));
- ◆ **Bank account information** (including your **bank name**, currency, **bank account number**, and **account holder's name**);
- ◆ **Certification of tax residency** (including your country of tax residence and **Taxpayer Identification Number (TIN) or equivalent number**);
- ◆ **Securities margin account information** (including whether your spouse is a margin client of Taiping; whether your spouse is an employee of entities or persons licensed by or registered with the SFC; margin call contact; relationship with the client; mobile phone number; and email address); and
- ◆ **Client's risk profile, knowledge on derivative instruments and risk tolerance level.**

Please be aware that, **the category of your personal data that may be collected by Taiping may be subject to change** based on the changes in applicable laws and regulations and regulatory requirements in order to assist you in opening and maintaining a securities cash account or securities margin account with Taiping and ensure that Taiping and any member of the Taiping Group comply with applicable laws and regulations, regulatory requirements on anti-money laundering, counter-terrorist financing and other illegal financial activities, or any other applicable legal obligations, regulations or arrangements. **The category of your personal data actually collected by Taiping shall be the category set out in the Application Form (Individual) or the Application Form (Companies).** We will update this Letter in a timely manner to remind you of the changes in the category of personal information we may collect and obtain your consent for such changes.

- 1.2 In order to design financial services or related products for your use, we will collect information about **your risk profile, knowledge on derivative instruments and risk tolerance level** for the purposes of accurately assessing your risk preference in securities trading and providing related products or services that match your risk tolerance level;
- 1.3 In order to assist you in executing securities trading, we will collect **trading information from your securities account** for the purposes of assisting you in completing securities buying, selling and other trading operations in a timely manner;
- 1.4 In order to assist you in applying for Facilities, Products and Services and facilitate the daily operation of Facilities, Products and Services provided to you, we will collect **your personal and account information or records** from credit reference agencies for the purposes of understanding your credit standing and conducting credit checks on you;
- 1.5 In order to determine the amount of indebtedness owed to or by you, or collect amounts outstanding from you and those providing security for your obligations, we will collect your **credit and repayment records** for the purposes of assisting you in identifying and settling indebtedness owed in a timely manner.
- 1.6 In order to provide you with information about related products or services through Taiping's own channels for direct marketing purpose, we will collect your name, contact details, **products and other service portfolio information, transaction pattern and behaviour, financial background** and/or demographic data. The products or services we may market to you may include the following: securities, financial, investment products and services; margin financing, securities lending and other credit facilities; reward, loyalty or privileges programmes and related services and products; and services and products offered by our co-branding partners. **Please be aware that if you does not want to receive the above marketing information, you may withdraw your consent without charge by contacting us at any time through the contact information set out in Article 7 of this Letter to refuse our collection of your relevant personal data for marketing purpose. We will, upon receipt of your notice, timely respond to your request and cease collecting and processing your personal data.**

2 How We Use Client Personal Data

In the course of providing products or services to you, we will use your personal data collected for the following purposes:

- 2.1 The purposes set out in Article 1 of this Letter;
- 2.2 Creating and maintaining our credit and risk related models;
- 2.3 Enabling our actual or proposed assignee or that of any member of the Taiping Group, or participant or sub-participant of our rights or those of any member of the Taiping Group in respect of you, to evaluate the transaction intended to be the subject of the assignment, participation or sub-participation (in which scenario, only statistical data other than relevant personal data which may be used to identify you will be used for evaluation); and
- 2.4 Other purposes agreed upon by you in compliance with all applicable laws and regulations.

3 How We Store Client Personal Data

- 3.1 During your use of Taiping products or services, we will store your personal data collected and processed by us in Taiping's servers located in Hong Kong. We will retain the personal data collected based on your consent, unless otherwise required by applicable laws and regulations. After achieving the business purpose stated in this Letter, we will promptly delete or anonymise your personal data, unless otherwise required by applicable laws and regulations or we have other reasonable grounds.
- 3.2 The security of your personal data is very important to us. We will protect your personal data in accordance with the common technical and administrative security measures in the industry. Such security measures, including but not limited to the following, ensure that the confidentiality and integrity of your personal data will not be compromised:
- (a) Use of firewalls and intrusion detection systems to prevent unauthorized access;
 - (b) Implementation of stringent security procedures with the use of user ID and passwords and audit trails for transactions, together with a dedicated internal transaction security policy;
 - (c) Limitation of access to your personal data to relevant employees and/or account executives of us and/or any other member of the Taiping Group on a "need-to-know" basis;
 - (d) Regular review of our policies and practices on the handling of personal data; and
 - (e) Training to our employees, account executives and/or any other member of the Taiping Group on the proper handling of personal data.

Please be aware that your personal data may be processed for certain business purposes by our agents, contractors, external service providers or other members of the Taiping Group. When using external service providers, we require that they adhere to security standards mandated by us and the Taiping Group. We may do this by signing a contract with them and monitoring their data processing activities. Regardless of where personal data is transferred, we take all steps reasonably necessary to ensure that your personal data is kept securely.

You should be aware that the Internet may not be a secure form of communication and sending us personal data over the Internet may carry with it risks, including, but not limited to, the risk of access and interference by unauthorized third parties. In the unfortunate event of a data security incident, we will promptly notify you, take remedial measures and report to the relevant regulatory authorities in accordance with applicable laws, regulations and regulatory requirements.

4 How We Provide Personal Data to Third Parties

In principle, we will not provide your personal data to third parties, except in the following circumstances:

- 4.1 **Outsourcing:** In the course of providing Taiping products or services, we may appoint third party suppliers to assist us in providing client support, such as sending text messages or emails and providing technical support on our behalf. We will conduct a personal data security impact assessment in respect of the appointment, and sign a stringent personal data processing agreement with the supplier to whom the processing of your personal data is outsourced. We will require the supplier to process the personal data in strict accordance with the purposes, periods, methods, categories and protective measures stated in this Letter and to take appropriate confidentiality and security measures to protect the security of your personal data.
- 4.2 **Sharing:** In the course of providing Taiping products or services, we will share your personal data with third parties only in the following circumstances:
- (a) In order to comply with applicable laws, regulations and regulatory requirements on securities trading activities, we will provide the information you are required to disclose under the applicable laws, regulations and regulatory requirements to the SFC and its subsidiaries or other parties who are required to process your personal data in accordance with the applicable laws and regulations, so as to assist you in executing securities trading and fulfilling regulatory reporting and other obligations.
 - (b) In order to understand your credit standing and conduct the necessary credit checks on you, we will provide the credit reference agency with your basic information (including your name, address, contact information, date of birth or date of incorporation, **identity card number** or travel document number or certificate of incorporation number), **account information (including your risk and credit rating, account number, type of facility account, account status and account closure date (if any) in respect of the Facilities, Products and Services), and credit application data (including your history of applying for consumer credit, and the type and the amount of credit sought)**, so as to understand your basic information and determine your credit standing based on the database developed by the credit reference agency, if required.
 - (c) In order to comply with the anti-money laundering and counter-terrorist financing obligations or other compliance requirements under applicable laws, regulations and regulatory requirements, we will provide Taiping Group or its members with your basic information, including your name, alias, gender, address, contact information, date of birth or date of incorporation, **identity card number** or travel document number or certificate of incorporation number, so as for Taiping Group to assist us in our anti-money laundering and counter-terrorist financing efforts or for Taiping Group's internal audit firm to assist us in our internal audit and audit remediation efforts.

- 4.3 **Transfer:** In the event of any acquisition, merger, restructuring or bankruptcy of Taiping during the process of providing Taiping products or services, we will, subject to a timely notice to you, transfer your personal data to the successor of Taiping and require it to process your personal data in accordance with applicable laws, regulations, regulatory requirements and the terms of this Letter, and to protect the security of your personal data at the same level as we do. Otherwise, we will require the successor to delete your personal data in a timely manner or obtain your consent again.

5 Cross-Border Transfer of Client Personal Data

In order for us to provide Taiping products or services, your personal data may be transferred to and from Hong Kong and Mainland China. For the transfer of personal data from Mainland China to another jurisdiction, we will conduct impact assessment on the protection of personal data in accordance with the Personal Information Protection Laws. By signing a contract with the relevant data recipient or other means, we ensure that the data recipient adheres to security standards mandated by us and the Taiping Group and adopts appropriate technical and administrative security measures to ensure the security of your personal data.

6 Your Rights

During your use of Taiping products or services, you have the following rights on Taiping's processing of your personal data:

- 6.1 Right to access and reproduction: check whether we hold personal data about you and/or to access such data;
- 6.2 Right to rectification: require us to correct any personal data relating to you which is inaccurate;
- 6.3 Right to erasure: require us to delete any personal data collected relating to you;
- 6.4 Right to cancellation: require us to cancel your securities account;
- 6.5 Right to withdraw consent: withdraw any consent that you have previously given to us with respect to our use of your personal data; and
- 6.6 Right of your close relatives: entitle your close relatives to exercise the above-mentioned rights to access, reproduction, erasure and other related rights to your personal data in the event of your death, unless otherwise arranged by you.

You may exercise the above-mentioned rights by contacting us through the contact information set out in Article 7 of this Letter. We will respond to your request within fifteen (15) business days upon receipt of your request.

7 Our contact information

If you exercise your rights as a personal data subject or have any questions or suggestions regarding this Letter and our collection and processing of your personal data, you may promptly contact us by phone, post and email, and we will respond to your request within fifteen (15) business days upon receipt of your request:

Tel: +852-37168388/+86-4001201966
Email: cs@tps.cntaiping.com
The Data Protection Officer Client Services Department
Unit 3, 19/F, No.18 King Wah Road, Hong Kong

Acknowledgement and Consent

You hereby acknowledge that you have read and understood the content of the Letter of Consent for Collection of Client Personal Data of Taiping Securities (HK) Co., Ltd. By ticking the box below, you signify your consent for Taiping Securities (HK) Co., Ltd. to process your personal data on the terms of and for the purposes set out in the Letter of Consent for Collection of Client Personal Data.

If you are an institution rather than an individual, you acknowledge that, before using Taiping products or services, you have provided this Letter to the personal data subject whose personal data is provided by you to Taiping, and that the personal data subject has fully read, understood and consented to the relevant content of this Letter. By ticking the box below, you and the relevant personal data subject signify consent for Taiping (HK) Co., Ltd. to process the personal data of the relevant personal data subject on the terms of and for the purposes set out in this Letter.

- I agree to Taiping Securities (HK) Co., Ltd.’s **processing of my personal data** for the purposes and in the manner set out in this Letter.

- I agree to Taiping Securities (HK) Co., Ltd.’s **processing of my sensitive personal data (marked in bold in this Letter)** for the purposes and in the manner set out in this Letter. I fully understand that the processing of relevant sensitive personal data is necessary for achieving the purpose of providing products or services, and the disclosure of sensitive personal data may have a material impact on my rights and interests.

- I agree to Taiping Securities (HK) Co., Ltd.’s **transfer of my personal data to countries/regions outside Mainland China** for the purposes and in the manner set out in this Letter.

Signature of Client: <i>Please use the signature(s) field with our company</i>	
Client Name:	
Client Number:	
Date:	