

## **NOTES ON PERSONAL INFORMATION COLLECTION**

These Notes are prepared to assist you in understanding your rights and obligations in relation to the supply of personal data by you to Hong Kong Securities Clearing Company Limited ("HKSCC") (which data may relate to yourself or other persons) and the manner in which HKSCC may use or deal with such data (in connection with application and other matters). You are strongly advised to read these notes carefully.

1. From time to time, HKSCC is provided with names, addresses, telephone numbers, and other personal information relating to CCASS Participants who are individuals, designated officers and authorised signatories of CCASS Participants and Designated Banks, directors and shareholders of CCASS Participants and non-registered owners of securities kept in the CCASS Depository through a CCASS Clearing or Custodian Participant. It is necessary to provide HKSCC with the information which is needed for the purposes specified below. Failure to supply the personal data may result in HKSCC being unable to process the application for CCASS Participant admission or to continue to provide CCASS services to CCASS Participants.
2. The information provided with respect to such persons may be used for the purposes of admitting CCASS Participants and their continued participation in CCASS, providing CCASS services to Participants, administration of CCASS activities, the daily operations of CCASS, CCASS money settlement services, conducting risk management and compliance functions, ensuring ongoing credit worthiness of CCASS Participants, meeting the requirements under insurance policies purchased and maintained by HKSCC, designing new services for CCASS Participants, preparing CCASS and other publications, facilitating despatch of copies of corporate communications to recipients, meeting the requirements to make disclosure under the requirements of any laws binding on HKSCC and other purposes related thereto.
3. Unless consent of the individual is obtained, personal information of an individual held by HKSCC relating to Investor Participants will be kept confidential but HKSCC may release some of the information to external parties including but not limited to agents, contractors or third party service providers who provide administrative, telecommunications, computer, payment clearing, insurance or other services to HKSCC in connection with the operation of its business, any other person under a duty of confidentiality to HKSCC (including by way of contract), the Securities and Futures Commission, The Stock Exchange of Hong Kong Limited, any recognized exchange controller, any company of which the recognized exchange controller which is the controller of HKSCC is the controller, other recognized clearing houses, central depositories, bodies of exchanges, overseas governmental or regulatory bodies, governmental departments and issuers or Depositaries of Eligible Securities authorized by law and/or pursuant to the CCASS Rules, notwithstanding that any such persons may be outside of Hong Kong.
4. Subject to the exemptions under the Personal Data (Privacy) Ordinance ("Ordinance"), data subjects who have provided such information to HKSCC have the right to access and correction with respect to personal data held by HKSCC. Request for personal data access and correction should be in writing and addressed to the Personal Data Administrator, Hong Kong Securities Clearing Company Limited, 12<sup>th</sup> Floor, One International Finance Centre, 1 Harbour View Street, Central, Hong Kong.
5. CCASS Participants and Designated Banks should quote their CCASS Participant ID and Bank ID when communicating with HKSCC.
6. In accordance with the terms of the Ordinance, HKSCC shall impose a reasonable fee for processing a data access request.