

Addendum to Client’s Agreements and Risk Disclosure Statements

The following clause is amended in the manner stated below.

Original clause item	Revised clause item	Amendment (Newly added content will be underlined, and deleted content will be crossed)
<p>INDIVIDUAL/ JOINT/SOLE PROPRIETOR/ PARTNERSHIP ACCOUNT – NOTICE ON PERSONAL DATA COLLECTION</p>	<p>INDIVIDUAL/ JOINT/SOLE PROPRIETOR/ PARTNERSHIP ACCOUNT – NOTICE ON PERSONAL DATA COLLECTION</p>	<p>Revised - INDIVIDUAL/JOINT/SOLE PROPRIETOR/PARTNERSHIP ACCOUNT – NOTICE ON PERSONAL DATA COLLECTION:</p> <p>“This notice is given by BOCOM pursuant to <u>applicable personal data privacy laws and regulations, including the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) (“PDPO”)</u>. This notice is intended to notify <u>Client</u> why personal data <u>(including sensitive personal data)</u> is collected, how it will be used and to whom data access requests are to be addressed.</p> <p>1. <u>MEANS AND PURPOSES OF COLLECTION</u></p> <p><u>BOCOM collects Client’s personal data (including sensitive personal data) when Client interacts with BOCOM and use BOCOM’s services and products; visits BOCOM’s websites; and from other people and companies, including other members of BOCOM Group.</u></p> <p><u>Personal data (including sensitive personal data) provided by Client to BOCOM will be used by BOCOM for the following purposes:-</u></p> <p>(a) activities relating to processing of Client’s application to open and maintain <u>Client’s account(s) (the “Account”)</u> or for grant of credit or margin facilities to <u>Client; operating, maintaining and/or providing facilities or services to Client</u>, including but not limited to <u>conducting credit checks through credit reference agencies both in the Hong Kong Special Administrative Region (“HKSAR”) and overseas and ensuring ongoing</u></p>

		<p><u>creditworthiness of Client; determining the amount of indebtedness owed by Client; designing financial services and related products for Client’s use; enforcing Client’s obligations; and/or processing of any matters related to Client including claims, legal proceedings, insurance, etc;</u></p> <p>(b) <u>activities relating to purchasing, selling, investing, exchanging, acquiring, holding, disposing of and generally dealing in and with all kinds of securities or products (including funds) on behalf of Client and/or any related matters including investigations and enquiries from relevant regulators, executing brokers custodians, relevant service providers for the purpose of compliance with the relevant regulatory requirements;</u></p> <p>(c) maintenance of particulars and data in compliance with the PDPO and subsidiary legislation which are enacted and effective in HKSAR relating to securities business and transactions, the codes of the Securities and Futures Commission (“SFC”), the rules and regulations of The Stock Exchange of Hong Kong Limited (the “Exchange”) and Hong Kong Securities Clearing House (the “Clearing House”); <u>compliance with anti-money laundering obligations of BOCOM, and provision or making disclosure of Client’s personal data (including sensitive personal data) as required by law or to SFC, the Exchange, the Clearing House or any other local or overseas governmental or regulatory authorities upon request whether such request is enforceable in law;</u></p> <p>(d) marketing products and services which may be of interest to <u>Client;</u></p> <p>(e) <u>data privacy safety review. investigation or complaint;</u> <u>and</u></p> <p>(f) any other purpose to which Client may from time to time agree.</p> <p>2. THE OBLIGATION TO PROVIDE PERSONAL DATA</p>
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		<p>BOCOM Group, <u>its</u> affiliates, agents, assignee, contractors, third party providers, custodians, information service providers, <u>providers</u> of execution facilities, providers of other financial products (including their respective delegates) (whether in Hong Kong or elsewhere), service providers or subcontractors, any financial institution or dealer with which the Client has or proposes to have dealings, any credit reference agency and in the event of default, any debt collection agency, any actual or proposed assignee of BOCOM or participant or sub-participant or transferee of BOCOM's rights in respect of Client, any person providing or proposing to provide guarantee or security for Client's obligations, and BOCOM will not be liable to you for any consequences arising out of such <u>transfer or disclosure.</u></p> <p>3.4 BOCOM may also disclose or transfer Client's personal data <u>(including sensitive personal data)</u> to law enforcement agencies for the purpose of prevention of money laundering or other crimes.</p> <p>4. <u>STORAGE AND RETENTION</u></p> <p><u>BOCOM may store the personal data (including sensitive personal data) provided by Client locally or overseas including in the cloud. Personal data (including sensitive personal data) provided by Client is retained for as long as the purposes and any directly-related purposes for which such data was collected continue. Once it is not necessary to use the personal data (including sensitive personal data) to fulfil such purposes (and directly-related purposes), it is then destroyed within a reasonable time unless its retention is required to satisfy legal, regulatory or accounting requirements.</u></p> <p>5. <u>ACCESS TO PERSONAL DATA</u></p> <p>Client may request access to Client's personal data</p>
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(including sensitive personal data) and may request BOCOM to correct any inaccurate personal data (including sensitive personal data). BOCOM shall be entitled to charge a reasonable fee for processing any data access request._

6. ENQUIRIES

Enquiries concerning Client's personal data (including sensitive personal data) with BOCOM, including the request for access and corrections, or withdrawal of consent to process personal data, should be addressed to:-_

Data Protection Officer

BOCOM International Securities Limited

9th Floor, Man Yee Building, 68 Des Voeux Road Central
Hong Kong

Telephone: 2297 9888

Fax: 2851 9955 / 2851 9876

In this notice, all references to "personal data" refer to any personally identifying data, including names; email and postal addresses; telephone, fax and mobile numbers; gender, date of birth; income and education level; credit history and sensitive personal data. All references to "sensitive personal data" includes information relating to ethnicity, race, political beliefs, biometric identification, religious beliefs, healthcare, criminal records, specific identities, financial account, individual location tracking, etc. All references to "BOCOM" refer to BOCOM International Securities Limited and BOCOM International Asset Management Limited collectively or individually and all references to "BOCOM Group" refer to BOCOM together with its holding companies, subsidiary companies, associated companies and affiliated companies collectively or individually. All references to "Client" include prospective and existing clients, visitors to BOCOM's website and individuals who participate in promotion, contest or game.

		In case of discrepancies between the English and Chinese versions, the English version shall prevail.”
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