

PERSONAL DATA, CLIENT DATA AND DISCLOSURE OF CLIENT IDENTITY

Each of Societe Generale acting through its Hong Kong branch and SG Securities (HK) Limited (“**we**” or “**SG**” referring in this document to either or both such entities as the context requires) is registered with or licensed by the Securities and Futures Commission (“**SFC**”) as a Registered Institution or a Licensed Corporation.

We provide you with the following information in connection with our duties and responsibilities as a Registered Institution or as a Licensed Corporation (as the case may be) concerning the matters referred to in the heading to this document.

A. PERSONAL DATA

The following information is provided to you in accordance with the requirements of the Hong Kong Personal Data (Privacy) Ordinance as amended from time to time (the “**Ordinance**”).

1. Use of Personal Data

All personal data concerning you may be used by any of the following (each a “**User**”)

- (a) SG and any other company which is a subsidiary or affiliate of SG (“**SG Group**”);
- (b) Any director or officer or employee of a SG Group company but only when carrying out the business of that SG Group company; or
- (c) Any agent or person authorised by a SG Group company but only when carrying out the business of that SG Group company.

2. Purposes

All personal data concerning you may be used by any User:

- (a) for any purpose relating to or in connection with the business dealings of any SG Group company or any services provided to you by or on behalf of any SG Group company (including the opening, administration and operation of any account you may hold with any SG Group company); and
- (b) without limiting the generality of paragraph 2(a), in relation to marketing SG Group company products and services to you subject to any “opt out” or other rights you may have under the Ordinance.

Use of your personal data may include disclosure: (i) between SG Group companies including without limitation to persons providing SG Group companies with professional or other services; (ii) to third parties such as settlement agents, overseas banks or exchange or clearing houses, intermediate brokers and sub-custodians to whom SG Group companies disclose your personal data in the course of providing the services to you; (iii) to any person for audit or insurance purposes; (iv) to credit reference, fraud prevention and other similar agencies and other financial institutions, with whom information is shared for credit and money



laundering checking and fraud prevention purposes, to any actual or proposed transferee, assignee, participant or sub-participant of any asset, liability, right or obligation of any SG Group company under any agreement with you; and (v) to national and international regulatory, governmental, tax, law enforcement, clearing or exchange or other bodies (including industry bodies and associations of financial service providers) or courts anywhere in the world as required by applicable laws and regulations or pursuant to obligations, requirements or arrangements for disclosing and using information or data that apply to any SG Group company.

These disclosures may involve overseas storage and other overseas transfer, processing and use of your personal data and disclosure to these third parties including in or to countries or territories which do not offer the same level of protection of personal information as is enjoyed within Hong Kong and other jurisdictions applicable to you.

Under the Ordinance, you have a right of access to your personal data, to request correction of your personal data, and to inform SG that you do not wish to receive marketing information. If you wish to exercise these rights you should address your request as follows:

Societe Generale, Hong Kong Branch / SG Securities (HK)
Limited Level 38, Three Pacific Place
1 Queen's Road East
HONG KONG
Tel: (852) 2166 4919
Fax: (852) 2166 4651

B. CLIENT DATA AND CONFIDENTIALITY

SG will treat all information it holds about you as private and confidential, even when you are no longer a client. You agree, however, that without prejudice to section A of this document in relation to personal data, SG and any SG Group company may use and disclose any other client data and information it holds in relation to you for the same uses and purposes, and to the same extent, as set out in section A of this document in relation to personal data.

Such disclosure may involve overseas storage and other overseas transfer, processing and use of your client data and disclosure to these third parties including in or to countries or territories which do not offer the same level of protection of information as is enjoyed within Hong Kong and other jurisdictions applicable to you.

C. DISCLOSURE OF CLIENT IDENTITY

As a Licensed Corporation, SG is required to comply with, among other things, the Client Identity Rule ("**Client Identity Rule**") referred to in the Code of Conduct for Persons Licensed by or Registered with the SFC (the "**Code**"). The Code requires, among other things, SG to be satisfied on reasonable grounds about the identity, address and contact details of the person or entity (legal or otherwise) ultimately responsible for originating the instructions in relation to a transaction, to keep a record of such details in Hong Kong and to provide the SFC access to the same

upon request. Details of the Client Identity Rule can be accessed via the SFC's website at <http://www.sfc.hk>

You hereby understand and agree to SG or any other member of the SG Group disclosing such information relating to you and/or your client (as the case may be) to any other member of the SG Group. Further, you hereby consent to SG or any other member of the SG Group disclosing any information supplied by you as may be required by any applicable law, rules or regulations or to any department, agency, government or to a regulator upon request, whether or not such request is in fact enforceable, and will not be liable in any way to you for doing so.

In the event that you effect any transactions for the account of your clients, whether on a discretionary or non-discretionary basis, and whether as agent or by entering into matching transactions as principal with your clients, you agree that, in relation to any such transaction, when SG or any other member of the SG Group has received any enquiry from the SFC, the Stock Exchange of Hong Kong, the Hong Kong Futures Exchange and or any other regulator whether inside or outside Hong Kong (the "**Regulator**"), you shall undertake the following:

- (a) Except as provided below, you shall immediately upon request by SG or any other member of the SG Group (which request shall include the relevant contact details of the Regulator), inform such Regulator of the identity, address, occupation and contact details of the client for whose account the transaction was effected and (so far as known to you) of the person with the ultimate beneficial interest in the transaction. You shall also inform such Regulator of the identity, address, occupation and contact details of any third party thereof (if different from the client/the ultimate beneficiary) who originated the transaction.
- (b) If you effected the transaction for a collective investment scheme, discretionary account or discretionary trust, you shall immediately upon request by SG or any other member of the SG Group (which request shall include the relevant contact details of the Regulator), inform the Regulator of the identity, address and contact details of the scheme, account or trust and, if applicable, the identity, address, occupation and contact details of the person who, on behalf of the scheme, account or trust, instructed you to effect the transaction.
- (c) If you effected the transaction for a collective investment scheme, discretionary account or discretionary trust, you shall as soon as practicable, inform SG or any other member of the SG Group when your discretion to invest on behalf of the scheme, account or trust has been overridden. In the case where your investment discretion has been overridden, you shall, immediately upon request by SG or any other member of the SG Group (which request shall include the relevant contact details of the Regulator), inform the Regulator of the identity, address, occupation and contact details of the person who has or have given the instruction in relation to the transaction.
- (d) If you are aware that your client is acting as intermediary for its underlying client(s), and you do not know the identity, address, occupation and contact details of the underlying client(s) for whom the transaction was effected, you confirm that:

- (i) You have arrangements in place with your client which entitle you to obtain the information set out in paragraphs (a), (b) and/or (c) above from your client immediately upon request or procure that it be so obtained; and
- (ii) You will, upon request from SG or any other member of the SG Group in relation to a transaction, promptly request the information set out in paragraphs (a), (b) and/or (c) from your client on whose instructions the transaction was effected, and provide the information to the Regulator as soon as received from your client or procure that it be so provided.

You further represent and warrant to us that:

- (a) you are not subject to any laws which prohibits you from performing the duties and obligations hereunder, or
- (b) to the extent that you are subject to any laws which prohibit you from performing the duties and obligations hereunder, you or your clients (as the case may be) have waived the benefit of such law or consents in writing to the performance by you of the duties and obligations hereunder. You confirm that such waivers are valid and binding under the laws of such jurisdiction.

Due to regulatory requirements, your obligations above shall still survive notwithstanding the termination of the Account.

In accepting services or otherwise dealing or continuing to deal with SG or any member of SG Group, after 30 days following the receipt of this notice, you are taken to have agreed to, and undertake on a continuing basis to comply with, the terms set out herein.
