

Dear Customer:

Statement on Data Privacy Policy of HTISG

("Statement")

Thank you for your support and trust in HTISG, and as always, for choosing to use HTISG's one-stop global services.

Haitong International Securities Group Limited and its subsidiaries ("**HTISG**") undertake to protect the Personal Information of customers, and collect, process and share your Personal Information in accordance with Data Privacy Policy of HTISG ("**Privacy Policy**"). As part of the Privacy Policy, **this Statement** contains the matters applicable to you in the Privacy Policy, and you may review the specific clauses of the Privacy Policy via https://www.htisec.com/sites/all/themes/hitong/files/policy/HTI_Privacy_Notice_EN.pdf.

In order to better protect your legitimate rights and interests as well as make you fully understand HTISG's purpose and method of processing your Personal Information, the type and retention period of the processed Personal Information, as well as the method and procedure for you to exercise your rights provided under Applicable Laws, please read carefully and fully understand the Privacy Policy and the following contents in this Statement, and return the completed and executed Statement to HTISG. By acknowledging the contents of this Statement, you are deemed to have fully understood and agreed to the Privacy Policy and the contents of this Statement. If there are any discrepancy between the provisions of this Statement and those of the Privacy Policy when referring to the same matter, this Statement shall prevail.

In this Statement, "**Personal Information**" means all kinds of information related to identified or identifiable natural persons recorded by electronic or other means, excluding the information processed anonymously. Personal Information includes but not limited to the "Data" under the Privacy Policy. "**Applicable Laws**" means all the laws, regulations, rules and ordinances, etc. of the jurisdiction where HTISG is incorporated, the jurisdiction where the customer resides and other relevant jurisdictions that are applicable to the collection and processing of Personal Information under this Statement.

Please note the following matters:

1. For the purposes of processing listed in Article 8 of the Privacy Policy, HTISG will collect and process the customer's sensitive Personal Information (including but not limited to your financial account information) in a reasonable manner, and HTISG may collect and process your Personal Information via mobile applications in a reasonable manner. HTISG undertakes to protect the customer's Personal Information and has taken steps in this regard.
2. For the purposes of providing services, products and information to you, HTISG needs to share your Personal Information with certain recipients. HTISG will only share

necessary Personal Information of yours with designated recipients ("**Designated Recipients**"). These Designated Recipients include:

- (i) any officer, employee, agent, contractor or third party who provides administrative, professional, credit information, debt collection, telecommunications, computer, payment, archiving or other services to HTISG in connection with the operation of their business;
- (ii) any financial institution with which you have or propose to have dealings;
- (iii) any holding or affiliated company of HTISG located in different jurisdictions;
- (iv) any judicial, regulatory, governmental, tax, enforcement, administrative or statutory authority, stock exchange or clearing house or other self-regulatory or industry body or association in different jurisdictions;
- (v) any certification authority in different jurisdictions;
- (vi) any relevant authority in different jurisdictions in order to satisfy any applicable law, regulation, rule or guideline existing currently and in the future concerning automatic exchange of financial account information or the Foreign Account Tax Compliance Act (FATCA) of the United States;
- (vii) any credit reference agency, and, in the event of default, debt collection agency;
- (viii) any actual or proposed assignee of the relevant HTISG entity, business or assets, any participant or sub-participant of the relevant HTISG entity's rights in respect of you to evaluate the transaction that is the subject of the assignment, participation or sub-participation; and
- (ix) any other person under a duty of confidentiality to HTISG, including any holding or affiliated company of HTISG which has undertaken to keep such information confidential.

You may contact HTISG at the contact information set out in Article 4 of this Statement to request (a) the contact information of the third-party recipient/recipient within HTISG; and (b) further details on how they collect and process your Personal Information.

HTISG may also provide your Personal Information (including on a cross-border basis) in response to lawful requests from judicial or public authorities, including court orders, government regulations or requests from government departments (including banking supervision, data protection, taxation, etc.) subject to Applicable Laws, in the following circumstances:

- (i) to comply with the applicable security or law enforcement requirements of relevant countries or regions;

- (ii) for discovery requests in connection with litigations; or
 - (iii) where required or permitted by Applicable Laws.
3. In the event that your Personal Information is shared with a Designated Recipient specified in Article 2 above, HTISG will comply with relevant requirements under Applicable Laws with respect to sharing Personal Information (including on a cross-border basis) and take necessary measures to procure that the processing of Personal Information carried out by relevant recipient meets the standards of Personal Information protection stipulated by Applicable Laws. You may contact HTISG at the contact information set out in Article 4 of this Statement to request the contact information of the third party, and then contact such third party to exercise relevant rights provided under Applicable Laws.

When providing your Personal Information to a judicial or public authority specified in Article 2 above at their lawful request, HTISG will procure that the disclosure and transfer of your Personal Information will be kept at a minimal and necessary level. To the extent permitted by Applicable Laws, HTISG will notify you of such lawful requests from relevant public authorities.

4. If you have any questions about how HTISG collects, processes or discloses your Personal Information, or have any queries about the way HTISG addresses your questions or concerns, or you would like to exercise your rights as a subject of Personal Information under Applicable Laws, you may call our Customer Service Hotline at +852 3583 3388 for further consultation with our Customer Service Officer.

You may contact HTISG at the contact information above to inquire and request a copy of your Personal Information from HTISG, and to request corrections, additions and deletions of your Personal Information. In certain circumstances, and to the extent permitted by Applicable Laws, you may request that HTISG transfers your Personal Information to a third party. Any such request must be raised in accordance with Applicable Laws. For unreasonable requests which may bring risk to others' legitimate rights or are not operationally/technically feasible, HTISG reserves the right to decline the customer's requests in accordance with Applicable Laws.

5. In certain circumstances and to the extent permitted by Applicable Laws, HTISG may process your Personal Information without your consent.
6. If the scope of, or the purpose of, processing the sensitive Personal Information referred in this Statement above and/or the Designated Recipients changes, HTISG will inform you separately and obtain your consent in accordance with Applicable Laws.
7. HTISG will always only keep the customer's Personal Information for as long as HTISG reasonably needs it for the purposes listed in Article 8 of the Privacy Policy or on a longer term basis in accordance with Applicable Laws and policies and procedures of

HTISG, or until receipt of the customer's request to delete such Personal Information, subject to limitations on technical feasibility.

8. If you agree to accept the above Articles, please check appropriate box(es) in the following "**CONFIRMATION AND CONSENT**". If you refuse to provide or withdraw any of the above authorisations, your normal use of certain services set forth in Article 8 of the Privacy Policy and/or provided by HTISG may be affected. You may call our Customer Service Hotline at +852 3583 3388 for further consultation with our Customer Service Officer.

Yours faithfully,

Haitong International Securities Company Limited

Haitong International Futures Limited

Date:

CONFIRMATION AND CONSENT

By signing this Statement or checking the following box(es), I (*Joint Account Holder A*) acknowledge that I have received, read and fully understood all contents of this Statement; and I am aware of the meanings and legal effects arising therefrom, and

I (*Joint Account Holder A*) hereby confirm and consent:

1. **I have carefully read, fully understood and accepted and will abide by the Privacy Policy of HTISG**
(https://www.htisec.com/sites/all/themes/hitong/files/policy/HTI_Privacy_Notice_EN.pdf)
2. **HTISG collects and processes my sensitive Personal Information in accordance with the Privacy Policy and this Statement;**
3. **HTISG shares or provides (including on a cross-border basis) my Personal Information with the recipients set forth under Article 2 of this Statement; and**
4. **all contents and authorisations contained herein.**

This Statement is my true intention and I agree to bear all legal consequences caused thereby.

Name: ID/Passport No.:

Account number:

Signature: Date:

By signing this Statement or checking the following box(es), I (*Joint Account Holder B*) acknowledge that I have received, read and fully understood all contents of this Statement; and I am aware of the meanings and legal effects arising therefrom, and

I (*Joint Account Holder B*) hereby confirm and consent:

- 1. **I have carefully read, fully understood and accepted and will abide by the Privacy Policy of HTISG**
(https://www.htisec.com/sites/all/themes/hitong/files/policy/HTI_Privacy_Notice_EN.pdf)
- 2. **HTISG collects and processes my sensitive Personal Information in accordance with the Privacy Policy and this Statement;**
- 3. **HTISG shares or provides (including on a cross-border basis) my Personal Information with the recipients set forth under Article 2 of this Statement; and**
- 4. **all contents and authorisations contained herein.**

This Statement is my true intention and I agree to bear all legal consequences caused thereby.

Name: ID/Passport No.:

Account number:

Signature: Date: