

Dear Sir/ Madam,

Privacy Policy

As a prestigious client of ours, we treasure our relationship with you and we strive to provide you with the best service to help you achieve your investment and financing goals. One way to accomplish this is to, subject to the applicable laws and regulations, provide you with access to an extensive range of products and services offered or managed by CCB International (Holdings) Limited or its subsidiaries which carry on business in Hong Kong (collectively, “we”, “us” or the “CCBI Group”) in relation to asset management, research, investment banking, financing solution, M&A advisory, trading and brokerage, underwriting, investment management services, investment advisory services, custodial services, investment products and other financial services (collectively, “Products and Services”). Information relating to these Products and Services can be delivered to you personally through various communication channels by using your Data (as defined in the Privacy Policy (defined below)). Equally, we value in every way your right to privacy and understand the importance of keeping your Data confidential. These are commitments which we do not take lightly. We would like to set forth as attached CCBI Group’s privacy policy (the “Privacy Policy”):

- (a) where you are our new client, the Privacy Policy will apply with respect to the use and handling of Data; or
- (b) where you are our existing client, the Privacy Policy will replace our existing privacy policy with respect to the use and handling of Data, unless written notice of objection is received from you within (14) fourteen business days after dispatch of this letter, the Privacy Policy will take effect accordingly after the end of the aforesaid period.

In order to keep you updated and informed of CCBI Group’s offering of Products and Services, we would like to process, use, or transfer your Data (including for direct marketing purposes) as set out in the Privacy Policy. However, we cannot use your Data without your consent. Therefore, if you consent to the processing, use and/or transfer of your Data for direct marketing purposes as set out in the Privacy Policy, please tick the opt-in box in the reply slip appearing at the end of this letter before signing.

Please complete and return the reply slip to us either by mail or facsimile, and for the attention of [CCB International Securities Limited] / [CCB International Asset Management Limited].

This letter is prepared in both English and Chinese and in the event of inconsistency, the English text of this letter shall prevail.

Yours faithfully,

[CCB International Securities Limited] / [CCB International Asset Management Limited]

This is a computer printout. No signature is required.

REPLY SLIP

To: [CCB International Securities Limited] /
[CCB International Asset Management Limited]

Address: 3 Connaught Road Central,
Central, Hong Kong
Fax no.: 852-2525 1198 [For CCBIS]
852-2918 1632 [For CCBIAM]

Acknowledgement and Consent for Use of Data (including for Direct Marketing)

I/We _____ refer to your letter (the “Letter”).

(Full name of client)

Data processing and cross-border transfer

I/We have **received, understood and accepted** the Privacy Policy of CCBI Group as attached to the Letter and fully understand and

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agree to the following:

- (a) the collection, processing, retention and use (other than for direct marketing purposes) of Data as set out in the Privacy Policy;
- (b) the transfer of Data outside of where I/We live (if applicable) as set out in the Privacy Policy. I/We understand that there are risks in such a transfer, including Data being subject to differing legal regimes which may not afford the same level of protection; and
- (c) where Data or information relating to any of my/our representatives (including directors, employees, agents, customer (direct or indirect) or affiliates, where applicable) or any third party is provided to or held by CCBI Group or its affiliates in the course of my/our business dealings with CCBI Group, I/we undertake and represent that I/we have obtained the relevant consent of my/our representatives or such third party to enable CCBI Group to use, process, deal, share or transfer such data or information (other than for direct marketing purposes) in accordance with the Privacy Policy and I/we agree that I/we will promptly provide evidence of such consents as and when requested by CCBI Group.

Please note that you have the right not to provide Data. However, failure to do so means we may not be able to provide the Products and Services.

Direct marketing

I/we **wish** for [CCB International Securities Limited] / [CCB International Asset Management Limited] to use my/our Data in direct marketing (as described in the Privacy Policy) and/or provide my/our Data to other persons for their use in direct marketing (as described in the Privacy Policy).

If I/we consent to the processing, use and/or transfer of our Data for use in direct marketing, I/We understand the following:

- (a) where CCBI Group accedes to my/our request by providing or making available to me/us materials and information on various opportunities, products and services, I/we understand that CCBI Group may contact me/us through various means (including telephone calls, text messages, faxes, emails, or other electronic means); and
- (b) where Data or information relating to any of my/our representatives (including directors, employees, agents, customer (direct or indirect) or affiliates, where applicable) or any third party is provided to or held by CCBI Group or its affiliates in the course of my/our business dealings with CCBI Group, I/we undertake and represent that I/we have obtained the relevant consent of my/our representatives or such third party to enable CCBI Group to use such data or information for direct marketing purposes in accordance with the Privacy Policy and I/we agree that I/we will promptly provide evidence of such consents as and when requested by CCBI Group.

Please note that if you do tick the box above, this means that you consent to the use of your Data for direct marketing (as described in the Privacy Policy). Hence, please study this form carefully before you sign.

I/we understand that the above choice applies to the direct marketing of the Products and Services as set out in the Privacy Policy. Please refer to the Privacy Policy which sets out the types of Data which may be used in direct marketing and the classes of persons to which my/our Data may be provided to other persons for use in direct marketing.

Signature

By signing below, I/we have indicated my/our choice with regards to the following:

- (a) The use, processing and/or transfer (including cross-border transfer) of my/our Data (if applicable) (other than for direct marketing purposes);
- (b) The use, processing and/or transfer of my/our Data in direct marketing in the manner described above;
- (c) Where I/we have consented to the use, processing and/or transfer of my/our Data in direct marketing in (a) above, my/our choice with regards to:
 - (i) the receipt of materials and information as described above; and
 - (ii) being contacted by CCBI Group in the manner and for the purposes set out above.

This replaces any choice previously communicated by me/us to [CCB International Securities Limited] / [CCB International Asset Management Limited] (including but not limited to any choice communicated in any [CCB International Securities Limited] / [CCB International Asset Management Limited] account opening forms, if any).

Signature of client (with chop where applicable): _____

Date: _____

Account no.: _____