

PERSONAL INFORMATION COLLECTION STATEMENT

This Statement declares in accordance with the Hong Kong Personal Data (Privacy) Ordinance 《Notice on Personal Data(Privacy)》

This Statement is provided to the Customer as a Customer of Brilliant Norton Securities Company Limited, in accordance with the requirements of the Hong Kong Personal Data (Privacy) Ordinance (the "Ordinance").

1 Disclosure Obligation

Unless otherwise stated the Customer must supply the personal data requested on the account opening form to the Company. If the Customer does not supply this data, it will not be possible for the Customer to open an account with the Company as the Company will not have sufficient information to open and administer the account.

2 Use of Personal Data

2.1 Users

All personal data concerning the Customer (whether provided by the Customer or any other person, and whether provided before or after the date the Customer receives the client agreement containing this information) may be used by any of the following companies or persons (each, a "User"):

- (i) any member of the Company;
- (ii) any director, officer or employee or agent of the Company;
- (iii) any person (such as lawyers, advisers, nominee, custodian etc.) authorized by the Company when carrying out the Customer's Instructions and/or the business of the Company;
- (iv) any actual or proposed assignee of any rights and obligations of the Company in relation to the Customer; and
- (v) any governmental, regulatory or other bodies or institutions, whether as required by law or regulations applicable to any member of the Group.

2.2 Purposes

All personal data concerning the Customer may be used by any User for the following purposes:

- (i) carrying out new or existing client verification and credit checking procedures and assisting other financial institutions to do so;
- (ii) ongoing account administration, including the collection of amounts due, enforcement of security, charge or other rights and interests;
- (iii) designing further products and services or marketing a company Product to the Customer;
- (iv) transfer of such data to any place outside Hong Kong;
- (v) comparison with the Customer's personal data (irrespective of the purposes and sources for which such data were collected, and whether collected by a User or any other person) for the purpose of: (A) credit checking; (B) data verification; and/or (C) otherwise producing or verifying data which may be used for the purpose of taking such action that a User or any other person may consider appropriate (including action that may relate to the rights, obligations or interest of the Customer or any other person);
- (vi) providing on the terms of any other agreements and services relating to the Customer;
- (vii) any purpose relating to or in connection with compliance with any law, regulation, court order or order of any regulatory body; and
- (viii) any other purpose relating to the execution of the Customer's Instructions or in connection with the business or dealings of the Company.

2.3 Use of Data in Direct Marketing

The Company intends to use and/or transfer the Customer's data to other members of the Company for direct marketing and the Company requires the consent (including no objection) of the Customer for that purpose. In this connection, please note that:

- (i) the name, contact details, portfolio information, transaction pattern and financial background of the Customer may be used in direct marketing of investment or financial related products and services of the Company; and
- (ii) If a Customer does not wish the Company to use and/or transfer the Customer's data for use in direct marketing, the Customer may, without charge, exercise the right to opt-out.

3 Rights of Access and Correction

The Customer has the right to have access to and correction of the Customer's personal data as set out in the Ordinance. In general, and subject to certain exemptions, the Customer is entitled to:

- (i) enquire whether the Company holds personal data in relation to the Customer;
- (ii) request access to the Customer's personal data within a reasonable time, at a fee which is not excessive, in a reasonable manner and in a form that is intelligible;
- (iii) request the correction of the Customer's personal data; and
- (iv) be given reasons if a request for access or correction is refused, and object to any such refusal.

4 Contact Person

If the Customer wishes to request access to and/or correct personal data and/or opt out of receiving direct marketing material, the Customer should contact the Data Protection Officer on 28386008.

I / We consent to the Company providing information about investment or financial related products and services including research reports and special offers by any means.

Individual/Corporation / Primary Joint Holder's Signature: _____ Date _____ Secondary Joint Account Holder's Signature: _____ Date _____