

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 Personal 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 Personal 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 Personal 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 Personal 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 or other Products and Services we think you may be interested in, we would like to process, use, or transfer your Personal Data for direct marketing purposes as set out in the Privacy Policy. However, we cannot use your Personal Data without your consent. Therefore, if you consent to the processing, use and/or transfer of your Personal 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.*

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**REPLY SLIP**

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

**Address:** 12/F, CCB Tower,  
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 Personal Data for Direct Marketing**

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

*(Full name of client)*

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

- (a) (if you are an individual) the use (other than for direct marketing purposes) of Personal Data as set out in the Privacy Policy;
- (b) (if you are a corporate) where Personal Data or information relating to any of our representatives (including directors, employees, agents or customers (direct or indirect), where applicable) or those of any of our affiliates or any third party, is provided to or held by CCBI Group or its affiliates in the course of our business dealings with CCBI Group, we undertake and represent that:
  - we have obtained all required consents of our representatives and those of our affiliates or such third parties 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 we agree that we will promptly provide evidence of such consents as and when requested by CCBI Group; and we have provided a fair processing notice in the form of the Privacy Policy informing such data subjects that their Personal Data will be collected and used in accordance with the Privacy Policy.

If I/we consent to the processing, use and/or transfer of our Personal Data for use in direct marketing as indicated under the section "Personal Data and use of Personal Data for direct marketing" below, I/We confirm 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 agree that CCBI Group may contact me/us through various means (including telephone calls, text messages, faxes, emails, or other electronic means); and
- (b) where Personal 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 in the course of my/our business dealings with CCBI Group, I/we undertake and represent that I/we have obtained all required consents 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.

**Personal Data and use of Personal Data for direct marketing**

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

**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).**

**Please note that if you tick the box above, this means that you consent to the use of your Personal 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 Personal Data which may be used in direct marketing and the classes of persons to which my/our Personal Data may be provided to other persons for use in direct marketing.

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

- (a) The use and/or transfer of my/our Personal Data in direct marketing in the manner described above;
- (b) Where I/we have consented to the use and/or transfer of my/our Personal 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.

Signature of client (with chop where applicable): \_\_\_\_\_

Date: \_\_\_\_\_

Account no.: \_\_\_\_\_