

PERSONAL INFORMATION COLLECTION STATEMENT FOR HAITONG MPF RETIREMENT FUND (“PLAN”)

海通 MPF 退休金（“強積金計劃”）之個人資料（私隱）條例通知

1. Subject to any applicable laws of Hong Kong Special Administrative Region, the personal information supplied to or collected by or disclosed to HSBC Provident Fund Trustee (Hong Kong) Limited (the “Trustee”) or Haitong International Investment Managers Limited (the “MPF Scheme Provider”) or the system operator of the electronic MPF system in connection with your participation in the Plan may be used, held, processed and disclosed by the Trustee, the MPF Scheme Provider, or the system operator of the electronic MPF system, their service providers, agents or delegates, for one or more of the following purposes: (i) performing the functions conferred or imposed by or under the Mandatory Provident Fund Schemes Ordinance, including but not limited to processing your participation in the Plan, administering and managing your contributions and accrued benefits under the Plan, e.g. carrying out your instructions or responding to any enquiry purporting to be given by you or on your behalf, and dealing in any other matters relating to your participation in the Plan (including the mailing of reports or notices), (ii) complying with an order of any court and observing any legal, governmental or regulatory requirements of any relevant jurisdiction (including any disclosure, reporting or notification requirements to which any recipient of the data is subject, e.g. tax reporting requirements under the Inland Revenue Ordinance and its provisions), (iii) in respect of the MPF Scheme Provider, to provide a marketing database for MPF product and market research if it is / they are relevant to the Plan, to conduct direct marketing activities of MPF products and / or MPF services only if your consent is obtained or to provide information for the dispatch of information on other products or services to you from the Plan’s MPF Scheme Provider “Haitong International Investment Managers Limited” or any connected person of the MPF Scheme Provider if such products or services relate to the Plan, (iv) improving the provision of Mandatory Provident Fund services by the Trustee and the MPF Scheme Provider, (v) seeking legal, accounting, tax or other professional advice, and (vi) any other purposes directly related for the performance of the above-mentioned functions. To the extent not prohibited by the MPF legislations and/or the Personal Data (Privacy) Ordinance (“PDPO”), all of such information may be retained after you have ceased to participate in the Plan.

根據香港特別行政區的適用法律，閣下參與本計劃時提供給 HSBC Provident Fund Trustee (Hong Kong) Limited（“信託人”）或海通國際投資管理有限公司（“強積金計劃營辦人”）或電子 MPF 系統的系統操作員或由其收集或披露的個人信息，可由信託人、強積金計劃營辦人、電子 MPF 系統的系統操作員、其服務供應商、代理人或受託人用於以下一項或披露：(i) 履行《強制性公積金計劃條例》賦予或規定的職能，包括但不限於處理閣下參與本計劃的事宜、管理和運營閣下在本計劃下的供款和累積福利，例如執行閣下的指示或回應任何聲稱由閣下或代表閣下提出的詢問，以及處理與閣下參與本計劃有關的任何其他事項（包括郵寄報告或通知），(ii) 遵守任何法律的命令及司法權區的法律、政府、監管規定（包括收集這些數據而須作出披露、報告或通知的規定，如稅務局及相關規定下的稅務報告），(iii) 為強積金產品或市場研究作為營銷的數據庫（如與強積金計劃有關）、只限於強積金產品及 / 或強積金服務的市場推廣用途（如獲得閣下同意）、強積金計劃營辦人海通國際投資經理有限公司或其關連人士須向閣下寄發其他產品或服務資料而需要的資料（如與強積金計劃有關）(iv) 改善信託人和強積金計劃營辦人提供的強制性公積金服務，(v) 尋求法律、會計、稅務或其他專業建議，以及，(vi) 為履行上述職能而直接相關的任何其他用途，在個人資料（私隱）條例及 / 或強積金法例不禁止的前提下，即使閣下不再參與強積金計劃，所有這些資料仍會被保留。

2. Upon request, you are entitled under the PDPO:

- a) to be informed by the MPF Scheme Provider, whether it holds personal data as defined under PDPO about you and to request access to and / or correction of any such data. You also have the right to inform the MPF Scheme Provider at any time if you do not wish to receive any marketing materials or wish to opt out of our direct marketing activities in relation to the Plan. Any such request may be made by post to the Client Services Officer, Haitong International Investment Managers Limited, 28/F., One International Finance Centre, No.1 Harbour View Street, Central, Hong Kong or by email to htiamcs@htisec.com. We may charge a reasonable fee for processing your data access request.

閣下可要求並有權根據個人資料（私隱）條例而了解強積金計劃營辦人是否持有個人資料（私隱）條例所界定有關閣下的個人資料，並可要求查閱及 / 或更改任何這些資料。閣下有權隨時通知強積金計劃營辦人閣下不希望再收取與強積金計劃相關的推廣資訊的意願。有關要求可以書面方式寄發到向海通國際投資經理有限公司的客戶服務部（地址為香港中環港景街 1 號國際金融中心第一期 28 樓）或發送電子郵件至 htiamcs@htisec.com。我們可能會收取合理的費用來處理您的資料查閱請求。

- b) to be informed by the Trustee, whether it holds personal data as defined under PDPO about you and to request access to and / or correction of any such data. Request for such access can be made in writing and addressed to The Data Protection Officer, HSBC Provident Fund Trustee (Hong Kong) Limited, P.O. Box 5482, General Post Office, Hong Kong. We may charge a reasonable fee for processing your data access request.

信託人如持有《個人資料（私隱）條例》所定義的閣下的個人資料，閣下有權要求查閱及 / 或更正任何此類資料。查閱請求可書面提出，並郵寄至資料保護主任，HSBC Provident Fund Trustee (Hong Kong) Limited，香港中央郵政局郵政信箱 5482 號。我們可能會收取合理的費用來處理您的資料查閱請求。

For the avoidance of doubt, any amendment to your personal data for the above mentioned purposes may only be effected through the eMPF Platform, and such requests must be submitted in accordance with the procedures prescribed by the eMPF Platform Company Limited.

為釋疑起見，對上述用途的閣下的個人資料的使用和 / 或提供的任何修改，只能透過 eMPF 平台進行，且此類請求必須按照 eMPF 平台有限公司規定的程序提交。

3. Without prejudice to the foregoing, parties (which may be within or outside Hong Kong) to whom the personal information may be disclosed include: (a) the auditors of the Plan, (b) the employees, officers, directors and agents, and / or to the ultimate holding company of the MPF Scheme Provider, the Trustee and the system operator of the electronic MPF system, and / or their subsidiaries and / or affiliates or to any third party service provider, agent or delegate employed to provide services or hardware such as administrative, computer, operational support or other services or facilities which are relevant to or in connection with operation of the Plan, (c) any judicial, governmental or regulatory authority entitled thereto by law or regulation (whether such authorities are statutory or not) and (d) other persons who

are directly related to the Plan and such disclosure is necessary for the purposes set out in paragraph 1 above.

在不影響前述規定的前提下，可揭露個人資訊的各方（可能位於香港境內或境外）包括：(a) 該計劃的審計師；(b) 強積金計劃營辦人的員工、高級職員、董事和代理人，以及/或強積金計劃的最終控股公司、受託人及電子強積金系統的系統運作人，以及/或其附屬公司和/或關聯公司，或受僱提供與該計畫運作相關或與之有關的行政、電腦、營運支援或其他服務或設施等服務或硬體提供與該計畫運作相關或與之有關的行政、電腦、營運支援或其他服務或設施等服務或硬體的任何第三方提供者服務或硬體的任何第三方供應商、代理機構；依法或依規有權獲取該等資訊的任何司法、政府或監管機構（無論該等機構是否具有法定效力）；以及 (d) 與該計劃有直接關聯且為實現上文第 1 段所述目的而有必要披露該等信息的其他人士。。

4. You are required to provide the information supplied on the Form or otherwise in connection with your participation in the Plan, you understand that if you do not provide such information, the Trustee and / or the system operator of the electronic MPF system will not be able to properly process your membership and benefits under the Plan.

閣下需要提供表格上提供的資料或與閣下參與強積金計劃有關的資料，閣下明白如閣下不提供這些資料，信託人和/或電子 MPF 系統的系統操作員將不能適當處理閣下的強積金計劃的會籍和福利。

5. You understand and agree that the MPF Scheme Provider and/or the Trustee may request from you, both upon this application and during such time as you are a member of the Plan, such evidence and / or documentation as any of them may require to fulfill their obligations under applicable law, regulation or regulatory policy, including but not restricted to, laws, regulations or guidelines addressing anti-money laundering and tax reporting, and you shall provide such information.

閣下明白及同意強積金計劃營辦人海通國際投資經理有限公司及 / 或計劃的信託人可在遞交本申請時及閣下身為計劃成員期間，要求閣下提交履行閣下的責任而可能需要的該等證明及 / 或文件。該責任根據適用法例、規例或規管政策，包括但不限於有關反洗黑錢的法例、規例或指引及稅務報告，而閣下亦必須提供該等資料。

6. You undertake to advise the Trustee [via the system operator of the electronic MPF system] of any change in circumstances which affects the tax residency status stated in the self-certification or causes the information contained therein to become incorrect or incomplete, and to provide the Trustee with a suitably updated self-certification within 30 days of such change(s). You acknowledge and agree that (a) the information contained in the self-certification (comprising the contents therein described as forming parts of the self-certification) is collected by or on behalf of, and may be kept by the Trustee for the purpose of automatic exchange of financial information ("AEOI") and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the Trustee to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another country / countries and jurisdiction(s) in which the account holder may be resident for tax purposes, pursuant to the provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and (c) you agree to the obligation that you as the account holder must comply with requests made by the Trustee to comply with

the AEOL requirements under the Inland Revenue Ordinance and / or applicable law and regulation, and such obligation forms the basis of the account to be opened. You certify that You are the account holder / You are authorized to sign for the account holder of all the account(s) to which this form relates.

閣下承諾，如情況有所改變，以致影響本自我證明所述的個人的稅務居民身份，或引致本自我證明所載的資料不正確或不完整，閣下會[透過電子 MPF 系統的系統運營商]通知信託人，並會在情況發生改變後 30 天內，向信託人提交一份適當更新的自我證明。閣下確認及同意，信託人可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，(a) 收集本自我證明（包括此處描述構成自我證明的一部分的內容）所載資料並可備存作自動交換財務帳戶資料用途及(b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局及(c) 閣下同意帳戶持有人必須遵守信託人的要求以便遵守《稅務條例》及 / 或適用法律及規例的自動交換財務帳戶資料規定，並為日後開立帳戶之基礎。閣下證明，就與本表格所有相關的帳戶，閣下是帳戶持有人 / 閣下獲帳戶持有人授權簽署本表格。