

Personal Information Collection Statement – State Street Global Advisors Asia Limited

1 General and Consent

- 1.1 It is often necessary from time to time for State Street Global Advisors Asia Limited (“State Street”, “us” or “we”) to collect, use and/or process personal information about you, such as name, address, phone number, email address and contact information (“Personal Data”) to enable us and other subsidiaries and group members of the State Street Corporation (“Affiliates” and collectively “State Street Group”) to provide, manage and administer financial products and services as described in this Personal Information Collection Statement (“Statement”). Failure to provide us with your Personal Data may result in us being unable to provide or continue to provide, manage and administer products and/or services to your employer or company, as may be applicable.
- 1.2 You hereby consent to our collection, use and processing of your Personal Data in accordance with sections 1 to 5 below.

2 Purpose

- 2.1 The Personal Data collected from you may be used by us and our Affiliates for the following purposes:
- (a) offering, providing and marketing products and/or services to your employer, and administering, maintaining, managing and operating products, portfolios, mandates, accounts and/or services for your employer, both from time to time;
 - (b) processing, assessing and determining any applications or requests made by you on behalf of your employer or company, as may be applicable, for products or services;
 - (c) any purposes in connection with any claims made by or against or otherwise involving you, your employer or company, as may be applicable, in respect of any products and/or services provided by us and/or our Affiliates;
 - (d) performing any functions and activities related to the products and/or services provided by us and/or our Affiliates including, without limitation, general marketing, as required by internal policies (including but not limited to audit and reporting), market research and general servicing and maintenance of online and other services;
 - (e) designing products and/or services by us or our Affiliates, and improving and furthering the provision of products and/or services by us and/or our Affiliates;
 - (f) matching any data held by us and/or our Affiliates relating to you from time to time for any of the purposes set out herein;
 - (g) making disclosure under the requirements of any law, rules, regulations or directive binding on us and/or our Affiliates, or under and for the purposes of any codes of practice or guidelines issued by or responding to requests made to us and/or our Affiliates by regulatory or other authorities, or for the purposes of any legal or administrative proceedings in which we and/or our Affiliates are involved;
 - (h) exercising any rights we and/or our Affiliates may have in connection with the provision to your employer or company, as may be applicable, of products and/or services from time to time;
 - (i) conducting identity and/or credit checks;
 - (j) enabling an actual or proposed assignee, transferee, participant or sub-participant of our rights or business to evaluate the transaction intended to be the subject of the assignment, transfer, participation or sub-participation; and
 - (k) any purposes relating to the above or any other purposes in accordance with our general policies or those of the State Street Group in relation to banking and financial services as set out in statements, circulars, notices or other terms and

conditions made available by us and/or the State Street Group to our clients from time to time.

3 Sharing of Information

- 3.1 Personal Data held by us will be kept confidential but we may provide such Personal Data within or outside Hong Kong, to the following persons:
- (a) any Affiliate, service provider or any person whom State Street may appoint as its agent or to whom State Street may delegate its obligations to provide products and/or services for the purposes specified in section 2 of this Statement;
 - (b) any person in connection with any claims made by or against or otherwise involving you, your employer or company, as may be applicable, in respect of any products and/or services provided by State Street and/or an Affiliate;
 - (c) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment, data processing or storage, or other services to us and/or our Affiliates in connection with the operation of business;
 - (d) any credit reference agencies;
 - (e) any person under a duty of confidentiality to State Street and/or any Affiliate which has undertaken to keep such data confidential;
 - (f) any actual or proposed assignee, transferee, participant or sub-participant of State Street’s rights or business; and
 - (g) any person to whom State Street and/or an Affiliate are under an obligation to make disclosure under the requirements of any law, rules, regulations or directive binding on us and/or our Affiliates, or under and for the purposes of any codes of practice or guidelines issued by or responding to requests made to us and/or our Affiliates by regulatory or other authorities, or for the purposes of any legal or administrative proceedings in which we and/or our Affiliates are involved.

4 Security

- 4.1 We confirm that we have taken appropriate security safeguards to prevent the unauthorized or unlawful processing of your Personal Data and the accidental loss or destruction of or damage to your Personal Data in accordance with the applicable laws and regulations.

5 Your Rights

- 5.1 Under and in accordance with applicable laws and regulations, you have the following rights:
- (a) to check whether we hold your Personal Data and to access such Personal Data;
 - (b) to require us to correct any Personal Data relating to you which is inaccurate;
 - (c) to ascertain our policies and practices in relation to Personal Data and to be informed of the kind of Personal Data held by us. Our policies and practices in relation to Personal Data may change over time and will be available to you on our website (<http://www.statestreet.com/hk/en/privacy.html>); and
 - (d) to request us not to use your Personal Data for direct marketing purposes or otherwise to cease such use of your Personal Data.
- 5.2 We may charge a reasonable fee for processing any data access request. Requests may be made in writing to us at 68/F., Two International Finance Centre, 8 Finance Street, Central, Hong Kong.
- 5.3 Nothing in this statement limits your rights under the applicable laws and regulations.