

## Privacy Notice

The following information is provided to you in relation to personal data, i.e. information relating directly or indirectly to a living individual from whom it is practicable for the identity of the individual to be directly or indirectly ascertained and in a form in which access to or processing of data is practicable, or any information relating to an identified or identifiable natural person resident in the European Union ("EU") (an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier including, but not limited to: a name (First Name, Last Name, Alias), an identification number (including, but not limited to, Passport number, Employee Number or Driving License Number), an online identifier, location data (home or work addresses), contact information (telephone numbers, email addresses), photographs and biometric data, one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person)) provided to us in accordance with the requirements of the Personal Data (Privacy) Ordinance ("PDPO") or the General Data Protection Regulation of the European Union ("GDPR").

### 1. Purpose

For the purposes of the GDPR, we are a data controller in respect of your personal data to the extent that you are an EU resident. We are responsible for ensuring that we use your personal data in compliance with GDPR.

We are registered in Hong Kong and our registered address is at 14-15/F., K11 Atelier, 18 Salisbury Road, Tsim Sha Tsui, Kowloon, Hong Kong and our company number is 671034.

Without limiting the generality of this Privacy Notice, this Privacy Notice also applies if we process personal data of contractors, market participants and clients to the extent that they are EU residents. In this regard, this Privacy Notice sets out the basis on which any personal data about you that you provide to us, that we create, or that we obtain about you from other sources, will be processed by us. Please take the time to read and understand this Privacy Notice.

### 2. Types of Personal Data Collected

The personal data about you that we typically collect and process includes (but is not limited to):

- Contact details (including address, telephone numbers, email addresses);
- Individual names;
- Personal identifiers (including tax codes, national identification references, bank account details and passport numbers);
- Photographs;
- Information about our business relationship with you;
- Professional information (including job title, role, department);
- Communication preferences (including preferred language);
- Vendor contact and sub-contractor details; or
- Data subject details associated with the author or modifier of electronic records.

### 3. Disclosure Obligation

Unless otherwise stated, you must supply personal data requested by us in connection with the opening or continuation of accounts with us, the provision of services or products by us, or the use of our website, and (where applicable) one or more of our group companies. If you do not supply this data or subsequently withdraw your consent provided to us in relation to the use, retention, transfer and handling of your personal data, it will not be possible for us or them to open or maintain such account(s) or provide services or products to you or companies related to you or to process an employment application (as the case may be) as we or they may not have sufficient information to do so.

### 4. Use of Personal Data

#### 4.1. User

All personal data (whether provided by you or any other person, and whether provided before or after the date you receive this notice) may be provided to, exchanged with or transferred to, any of the following entities or persons as we may consider necessary whether or not they are in or outside Hong Kong (each, a "User"):

- (a) Mizuho Securities Asia Limited ("we" or "us") or any entity directly or indirectly controlled by us, any entity that directly or indirectly controls us, or any entity directly or indirectly under common control with us (together "Mizuho Financial Group") or our or their branches or offices;
- (b) any director, officer, employee or representative of the Mizuho Financial Group only when carrying out the business of the Mizuho Financial Group;
- (c) any agent, contractor, vendor, market participants or third party service provider who provides employment, administrative, telecommunications, computer, payment, or securities clearing, nominee, custodian or other services, to any Mizuho Financial Group company;
- (d) any person who owes a duty of confidentiality to us or who has undertaken to keep such information confidential;
- (e) any financial institutions with which you have or propose to have dealings;
- (f) where data is collected by a Mizuho Financial Group company as agent of any other person or for forwarding to or otherwise for the purpose of making any application or request to any other person for any facility or service, any such person who may not be in Hong Kong and may not be subject to the PDPO and not restricted in the use of the data;
- (g) any trustee, registrar or custodian of any relevant unit trust or other collective investment scheme or any insurance company in connection with any service provided or to be provided by the Mizuho Financial Group or any centralized securities depository or registrar of products held in respect of any of your accounts;

- (h) credit reference agencies and, in the event of default, debt collection agencies;
- (i) any person to whom we transfer or assign or, propose to transfer or assign, our interests and/or obligations in respect of any of the accounts with us or any services provided by us;
- (j) if we are acquired by a third party, in which case personal data held by us about you will be disclosed to the third party buyer(s) and their advisers; or
- (k) any other third parties:
  - (i) as are necessary to provide any of the services
  - (ii) where required by law, regulation, court order or request from any governmental or regulatory body;
  - (iii) where the information is already in the public domain (otherwise than as a result of a breach of our obligations hereunder); or
  - (iv) where requested or permitted by you.

#### 4.2. Purposes

All personal data (whether provided by you or any other person, and whether provided before or after the date you receive this notice) may be used, stored and processed by any User for one or more of the following purposes:

- (a) allowing us to provide services to you;
- (b) contacting you as part of the conduct of normal business;
- (c) new or existing client verification;
- (d) ongoing account administration and maintenance;
- (e) developing financial services or related products for clients;
- (f) marketing (including direct marketing in accordance with paragraph 3 below) of financial services or related products;
- (g) providing you with information concerning our or the Mizuho Financial Group's businesses as well as information concerning any investment opportunities;
- (h) processing employment applications and, if this results in any employment with us, all aspects of our human resources functions;
- (i) transfer of such data to any place inside or outside Hong Kong whether for the processing, holding or use of such data inside or outside Hong Kong;
- (j) matching your personal data (irrespective of the purposes and sources for which such data were collected, and whether collected by a User or any other person);
- (k) data verification or exchange;
- (l) ensuring the ongoing credit worthiness of clients;
- (m) any purpose relating to or in connection with requirements to make disclosure under any law binding us or any other Mizuho Financial Group company under and for the purposes of compliance with any law, regulation, court order or order of a regulatory body;
- (n) enabling any of our actual or proposed transferees or assignees of our rights in respect of your account to evaluate the transaction intended to be the subject of the transfer or assignment;
- (o) conducting credit checks or assisting other institutions to conduct credit checks;
- (p) collecting debts, or assisting other institutions (including any Mizuho Financial Group company) to collect debts, from clients and those providing security for any clients' obligations; or 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 you or any other person);
- (q) in connection with any system or facility for payment or communication by electronic means which we or any other Mizuho Financial Group company participates;
- (r) backup retention and management supporting business continuity;
- (s) providing an audit trail relating to the conduct of normal business;
- (t) for operation and maintenance purposes, IT applications and infrastructure; or
- (u) any other purpose relating to or in connection with the any of the above, any business or dealings of the Mizuho Financial Group or which a client may from time to time agree.

Your personal data is retained, used, stored or processed only for so long as required for the purposes for which it was collected, as necessary to comply with any applicable legal and regulatory requirements, for us to establish, exercise or defend our legal rights or for the purpose of legal proceedings, or for our legitimate business interest (or the legitimate interests of one or more of our affiliates).

#### 5. Use of Personal Data in Direct Marketing

In addition to the purposes set out above, we intend to use your personal data (including but not limited to your name, contact details, products and services portfolio information, financial and investment experience and background and risk profile) for sending you promotional materials (such as information relating to our products and services) and/or contacting you in relation to our products and services. However, we cannot use your personal data without your consent.

If you do not agree to such use of your personal data in direct marketing, please indicate your objection by checking the appropriate box in the account opening and onboarding documents. By proceeding with the account opening and onboarding process without checking the box, you confirm your agreement to use of your personal data in direct marketing.

You may in the future withdraw your consent to use of your personal data by us for direct marketing purposes and we shall cease using your personal data without charge after receipt of your request. You shall inform us of your wish to withdraw your consent by using the contact information specified in section 5 below.

## 6. Transfer of Personal Data to a Third Country

The personal data that we collect from you may be transferred to, and stored at, a destination outside the European Economic Area ("EEA"). It may also be processed by staff operating outside of the EEA who work for our affiliates or for one of our suppliers.

Where we transfer your personal data outside the EEA, we will ensure that it is protected in a manner that is consistent with how your personal data will be protected by us in the EEA. This can be done in a number of ways, for instance:

- the country that we send your personal data to might be approved by the European Commission;
- the recipient might have signed up to a contract based on "model contractual clauses" approved by the European Commission, obliging them to protect your personal data; or
- where the recipient is located in the US, it might be a certified member of the EU-US Privacy Shield scheme.

In other circumstances the law may permit us to otherwise transfer your personal data outside the EEA. In all cases, however, we will ensure that any transfer of your personal data is compliant with data protection law.

## 7. Technical and Organization Security Measures

We ensure that suitable contractual arrangements are in place with third parties such that safeguards equivalent to us are in place for the processing of your personal data.

## 8. Retention Time

Personal data is kept for the time necessary to provide the services to the User or to fulfil legal, contractual or ongoing business interests. Once the purpose for processing the personal data has been discharged we shall keep such personal data no longer than is necessary, subject to any laws or regulations that may set a minimum period for which we have to keep your personal data.

## 9. Rights of Access and Correction

You have the right to have access to and correction of your personal data under the PDPO and/or the GDPR (if applicable). In general, and subject to certain exemptions and the applicability of the PDPO and/or the GDPR, you are entitled to:

- (a) enquire whether we hold personal data in relation to you;
- (b) request a copy of any such personal data;
- (c) receive some personal data in a structured, commonly used and machine-readable format and/or request that we transmit those data to a third party where this is technically feasible;
- (d) request the correction of your personal data which is inaccurate or incomplete;
- (e) be given reasons if a request for access or correction is refused;
- (f) ascertain our policies and practices in relation to personal data and to be informed of the kind of personal data held by us;
- (g) in relation to customer credit, request to be informed which items of personal data are routinely disclosed to credit reference agencies or debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant credit reference agency or debt collection agency;
- (h) in relation to any personal data which has been provided by us to a credit reference agency, to instruct us upon termination of an account by full repayment to make a request to the credit reference agency to delete such data from its database, as long as the instruction is given within five years of termination and at no time did the account have a default of payment lasting in excess of 60 days within 5 years immediately before account termination. In the event the account has had a default of payment lasting in excess of 60 days the data may be retained by the credit reference agency until the expiry of five years from the date of final settlement of the amount in default or five years from the date of discharge from a bankruptcy as notified to us, whichever is earlier;
- (i) request that we erase your personal data;
- (j) object to, and request us to restrict our processing of your personal data;
- (k) lodge a complaint with the data protection regulator if you think that any of your rights have been infringed by us; and
- (l) where we have obtained a credit report on you from a credit reference agency in considering any application for credit, to be given the contact details of the relevant credit reference agency.

## 10. Contact Person

If you wish to request access to and/or correction of personal data concerning you or for information regarding policies, practices of and the kind of personal data held by us, you should address your request in writing to us as follows:

**Mizuho Securities Asia Limited**  
**14-15/F., K11 Atelier**  
**18 Salisbury Road**  
**Tsim Sha Tsui, Kowloon**  
**Hong Kong**  
**Attention: Compliance (Re: Personal Data Privacy)**



In accordance with the terms of the PDPO, we have the right to charge a reasonable fee for the processing of any data access request. Nothing in this notice shall limit your rights under the PDPO.

#### **11. Changes to this Privacy Notice**

We reserve the right to make written changes to this Privacy Notice at any time. If we make any changes, it will notify you.