



## **AIA Investment Management HK Limited**

### **Personal Data Privacy Statement**

The following Personal Data Privacy Statement is provided to you pursuant to the Personal Data (Privacy) Ordinance of Hong Kong (“Ordinance”) in connection with your dealings with, and provision of personal data or information (“Data”) to, AIA Investment Management HK Limited (“AIMHK”) or its affiliates from time to time. AIMHK is fully committed to protecting the privacy interests of individuals who provide us with information about themselves and to comply with the requirements of the Ordinance. In doing so, AIMHK instructs its staff to comply with the strict internal AIA standards/policies of security and confidentiality.

#### **A. Collection:**

1. From time to time, it is necessary for you to supply AIMHK with Data in connection with various matters such as account opening or continuations, provision of services to you or compliance with any laws or guidelines issued by regulatory or other authorities.

2. The kinds of Data that may be collected includes, but is not limited to, name and address, occupation, contact details, date and country of birth, nationality, identity card, social security or national insurance numbers, country of tax residence, tax reference numbers or passport numbers, and details of financial status.

3. Failure to supply such Data may result in AIMHK being unable to open an account or continue to provide services to you or unable to comply with any laws or regulations or guidelines and codes issued by regulatory or other authorities.

4. It is also the case that Data is collected from you in the ordinary course of the continuation of your relationship with AIMHK, for example, when you open an account, write cheques, transfer funds, effect transactions, attend seminar/events, participate in online activities or generally communicate verbally or in writing with AIMHK.

5. Additional Data may also be collected at AIMHK’s websites which include, but is not limited to:

5.1 the IP address of the visitor’s personal computer, the country from which the inquiry is made, the pages visited, the time at which a visit is made and the browser type;

5.2 certain personal details of the visitor (these may for instance include his/her name, age, sex, profession), client identification details, electronically encrypted security passcodes, information regarding holdings in any funds offered or distributed by AIMHK. Whether the visitor wishes to receive information and, if so, what kind of information.

Apart from any security passcode, the Data collected at any AIMHK website is not electronically encrypted.

We or our third-party partners (including our affiliates) may use software tools or 'cookies' to gather information about site visitors' browsing activities. The information collected may be processed by us, our agents or any other third-parties which provide services to AIMHK. Please visit our Cookies Policy for further details.

## **B. Purpose and Use:**

1. The purposes for which Data may be used will vary depending on the nature of your relationship with AIMHK. AIMHK intends to use your Data (including any third-party Data provided by you) for any or all of the following purposes:

1.1 the processing of an application for an account with AIMHK including confirming and verifying your identity;

1.2 the daily operation of your account and the services to be provided to you;

1.3 any purpose related to the administration of the products and services offered by AIMHK;

1.4 researching, designing and launching financial, investment services or related products for clients;

1.5 meeting the disclosure, reporting and compliance requirements (including but not limited to tax reporting) under any laws or regulations, codes, guidelines or internal AIMHK/AIA compliance policies applicable to AIMHK in Hong Kong or elsewhere;

1.6 enabling:

1.6.1 any actual or proposed assignee(s) of AIMHK;

1.6.2 any actual or proposed participant(s), sub-participant(s) or transferee(s) of AIMHK's rights or obligations with respect to you and/or your account; and/or

1.6.3 any person(s) in whose favour AIMHK's obligations with respect to you and/or your account are, or are to be, novated, to evaluate, execute and/or complete the transaction(s) intended to be the subject of any assignment, participation, sub-participation, transfer, novation or other similar arrangement; and

1.7 any other purpose directly related to any of the above.

## **C. Direct Marketing:**

1. AIMHK will not use the Data collected for direct marketing.

**D. Retention and Access:**

1. The Data collected may be maintained for such period of time required under applicable law and as otherwise needed to fulfil the purposes set out above.

2. Data held by AIMHK relating to you will be kept confidential and AIMHK will take all reasonable measures to ensure that Data is kept secure against unauthorised access, loss, disclosure and destruction. AIMHK may provide such information to the following parties, whether inside or outside of Hong Kong, for the purposes set out in the “Purpose and Use” section above:

2.1 the holding company/companies of AIMHK, its subsidiaries, representative offices, associated companies and/or affiliates;

2.2 the service providers of AIMHK including the trustee, investment manager, registrar, transfer agent, the custodian, administrative service agent, and the auditor of each product offered by AIMHK;

2.3 any agent, contractor, sub-contractor, consultant, insurer, or third-party service provider who provides administrative, research, design, launch, digital or telecommunication, clearing and settlement or other services to AIMHK in connection with the operation of its business;

2.4 the employees, officers, directors of AIMHK;

2.5 any party (including but not limited to, any local or foreign governmental, tax or regulatory authorities, or court of competent jurisdiction) entitled thereto by law or regulation, or in response to a regulatory request;

2.6 affiliated or unaffiliated providers of outsourced or other services, and other external service providers of AIMHK (including but not limited to printing houses, mailing houses, digital or telecommunication companies, information technology companies, data storage and infrastructure companies, cloud providers, data processing companies and storage companies) that AIMHK engages for the purposes set out in “Purpose and Use” section above; and

2.7 any actual or proposed assignee(s) of AIMHK, any actual or proposed participant(s), sub-participant(s) or transferee(s) of AIMHK’s rights or obligations with respect to you and/or your account, and/or any person(s) in whose favour AIMHK’s obligations with respect to you and/or your account are or are to be novated.

3. AIMHK’s policy is to restrict access to Data concerning individuals to those persons who have a need to use that Data and who have been instructed to handle such information properly and observe confidentiality.

4. Please note that the Data transferred outside of Hong Kong may be subject a lower level of protection and/or cease to be protected by any relevant banking secrecy, client confidentiality or data protection laws of Hong Kong.

5. Under the Ordinance, you have the right to:

4.1 check whether AIMHK holds Data about you, your account and access to such Data;

4.2 require AIMHK to correct any Data relating to you and your account which is inaccurate;

4.3 ascertain AIMHK's policies and practices in relation to data and to be informed of the kinds of Data held by AIMHK; and

In accordance with the Ordinance, AIMHK has the right to charge a reasonable fee for the process of any data request.

For access to your Data held by AIMHK, correction of such Data, or for information regarding policies and practices and kinds of Data held, please contact:

The Data Protection Officer/ Compliance Officer

AIA Investment Management HK Limited

Room 701, 7/F, AIA Building,

1 Stubbs Road, Hong Kong

In order to deal with any such request, AIMHK may require evidence from you that you are the individual in respect of whom the request is made or a person permitted under the Ordinance to make the request on that individual's behalf.

Nothing in this Statement shall limit your rights under the Ordinance.

I / We confirm that I / We have read and understood this Statement. I / We declare and agree that any Data and other information relating to me / us or relating to my / our investments or accounts with AIMHK collected, obtained, compiled or held by AIMHK by any means from time to time may be collected and used in accordance with this Statement. I / We acknowledge and consent to the transfer of my / our Data outside of Hong Kong for the purposes and to the types of transferee as set out in this Statement.