

FountainCap Research & Investment (Hong Kong) Co., Limited

DATA PRIVACY NOTICE

Introduction

This Data Privacy Notice sets out the manner and purposes of the collection of your personal data.

Investment Related Purposes

The personal data you provided to FountainCap Research & Investment (Hong Kong) Co., Ltd. (the “**Company**”), all our group companies and associated companies in the asset management business (“FountainCap”, “we”, “us” or “our”) enables us to conduct our asset management business in connection with your investment. Your personal data may from time to time be used for the purposes of:

- a. communicating with you in relation to our fund(s)/your investment;
- b. compliance with the applicable legal and regulatory requirements including but not limited to Know Your Client, anti-money laundering and counter-terrorist financing, related checks including ascertaining whether you are a “Professional Investor” under the Securities and Futures Ordinance (as amended from time to time);
- c. maintaining investor registers;
- d. collecting fees and charges; or
- e. which are directly relating to the above.

If you do not provide us with your personal data, we may not be able to accept and / or manage your investment.

Class of Transferees

Personal data held by us relating to you will be kept confidential but the Company may provide such data and related information for any of the purposes set out in the above to any of the following persons whether based in or outside Hong Kong:

- a. transferring to other members of our group, custodians, service providers, agents, contractors, data processors, administrators, telecommunication companies or professional firms and their duly appointed delegates (including their employees, directors or agents);
- b. transferring to government agencies such as the Hong Kong Police (in particular the Joint Force Intelligence Unit), if the Company suspects that any relevant person is /

may be engaged in drug trafficking, terrorism or any other serious crime; or the handling of the proceeds of crime or terrorist property;

- c. transferring to regulators / organizations under the applicable local legal or regulatory requirements (in such cases, our obligation to report may override our confidentiality obligations to you); or
- d. which are directly relating to the above.

Your rights of access to your personal data

Under the Personal Data (Privacy) Ordinance (“Ordinance”) and guidelines, you have the right to request us to:

- a. respond to you as to whether we hold any of your personal data and if so, provide access to such data;
- b. correct any personal data relating to you which is inaccurate;
- c. erase your personal data that is no longer required for the purpose for which the data is used, unless erasure is prohibited by law or is not in the public interest; and
- d. describe our policies and practices in relation to personal data and inform you of the kind of your personal data held by us.

Please send your request in writing to:

FountainCap Research & Investment (Hong Kong) Co., Limited
2401-02 China Resources Building
26 Harbour Road
Wanchai, Hong Kong
Attn: Data Protection Officer / Chief Compliance Officer

We may charge a reasonable fee for the processing of your personal data access request in accordance with the Ordinance.

Direct Marketing

Upon your consent, we may use the following personal data for direct marketing: your (i) name, (ii) telephone number(s), (iii) residential and / or correspondence address(es) and (iv) email address(es).

Your data will be used for direct marketing of one or more of the following products / services: (i) our funds, (ii) investment opportunities and / or (iii) any other products/services directly related to the above.

We respect your privacy. Your personal data will never be disclosed and / or transferred by us to any third party outside of our group for direct marketing without your prior written consent.

Opting-out Rights to Direct Marketing

You are free to decide whether or not to allow us to use your personal data for direct marketing. We will not use your personal data unless we have received your consent to do so.

If you wish to withdraw your consent with respect to the use of your personal data for direct marketing, please let us know in writing to our Data Protection Officer at the address provided above.

Please note however that the right to make such a request is not applicable to you if the direct marketing is addressed to you in your capacity as a representative of a company or business and is not sent to you in your individual or personal capacity.