

Privacy notice
Roc Partners (HK) Limited

1. Introduction

- 1.1. Roc Partners (HK) Limited (“Roc”) is committed to safeguarding the personal data it collects and holds in connection with the business that it is authorised to provide to clients in the Hong Kong Special Administrative Region (“Hong Kong”). “Clients” means prospective, existing and former clients of Roc.

This Privacy Notice describes the personal data that Roc may collect and hold, how Roc may use, manage and process this personal data, and to whom it may disclose the personal data.

2. Personal data we collect

- 2.1. Roc’s operations in Hong Kong do not include direct business relationships with individual clients. However, from time to time, Roc may need to collect personal data in connection with Roc’s dealings with its Clients and “Know Your Client” obligations associated with these business dealings. This may include the collection of certain personal data about the directors, authorised personnel, authorised signatories, beneficial owners, trustees, partners, relevant staff and employees, other associates of, or persons exercising control over the Clients (“Relevant Individuals”). Personal data of Relevant Individuals may also be collected by Roc’s Clients and provided to Roc in the ordinary course of continuation of Roc’s relationships with its Clients. Roc needs to collect and use the data of the Relevant Individuals because of its roles and capacity with the Clients.
- 2.2. Failure to supply personal data required by Roc may result in Roc being unable to continue to provide services to its Clients.
- 2.3. The personal data Roc may collect may include details of Relevant Individual’s name, residential address, date or place of birth, unique identification number(s), such as tax identification or equivalent number(s), background information (which may include demographic data relating to education, career, family or financial background), telephone number, email address or other contact details, information about their place of work and position title, information generated in the ordinary course of a business relationship with Roc, or any other information from which the Relevant Individual can be identified, whether in electronic form or otherwise.
- 2.4. Roc will collect most of the personal data of Relevant Individuals in the following ways:
- i. Directly from Clients, or as received or derived in the course of Roc’s relationship with its Clients.
 - ii. Where the Relevant Individual registered for an account or to receive emails from Roc.
 - iii. When the Relevant Individual submits a query or request to Roc.
 - iv. When the Relevant Individual responds to a survey that Roc runs or fills in forms on Roc’s websites.
 - v. By tracking use of Roc’s websites and applications.
 - vi. From publicly available resources.
 - vii. From third parties who are entitled to disclose that information to Roc.

In some cases Roc may be required by law to collect certain types of personal data about the Relevant Individual.

- 2.5. A Client must ensure that its Relevant Individuals are made aware of how Roc will collect, use and access their personal data. Whenever, the Client provides Roc with personal data about a Relevant Individual, the Client warrants, and it shall be deemed, that it has provided this Privacy Notice and a Personal Information Collection Statement (as required by law) to

its Relevant Individuals and (if necessary) have obtained written consents from its Relevant Individuals for such information to be held, processed, used, disclosed and transferred (including international transfer) in accordance with this Privacy Notice (including any amendment thereto). The Client also agrees to provide to Roc with evidence of such consent as and when requested by Roc and shall inform Roc immediately if such consent is revoked by any Relevant Individual.

3. Purpose of use

- 3.1. The purpose for which personal data relating to a Relevant Individual is used is incidental to Roc dealing with the respective Client. The purposes for which personal data relating to a Relevant Individual may be used are as follows:
- i. providing services to Clients (including, identifying and verifying the identity of Relevant Individuals, existing or future due diligence, developing Roc's services to its Clients);
 - ii. for managing risks and internal controls;
 - iii. offering and providing information to Clients about the services of Roc;
 - iv. determining the appropriateness of services offered or to be offered to Clients taking into consideration relevant suitability requirements;
 - v. confirming that a Client acts as principal or as an agent for the principal in accordance with relevant laws and regulations;
 - vi. confirming the qualifications and other experience requirements of Relevant Individual that a Client must satisfy to use financial instruments or services offered or to be offered by Roc;
 - vii. ensuring commensurate controls implemented by outsourced services providers to protect personal data (where all or part of the personal data processing is outsourced to other business operators);
 - viii. exercising rights and performing obligations under any contracts with Clients or under any applicable laws and regulations;
 - ix. maintaining contact information with Clients;
 - x. complying with the obligations, requirements or arrangements for disclosing and using data that apply to Roc according to:
 - a. any law within or outside Hong Kong existing currently and in the future;
 - b. any guidelines or guidance given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or association of financial services providers within or outside of Hong Kong existing currently and in the future;
 - c. any present or future contractual or other commitment with local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial service providers that is assumed by or imposed on Roc by reason of its financial, commercial business or other interests or activities in or related to the jurisdiction of the relevant local or foreign legal, regulatory, governmental, tax, law enforcement or other authority, or self-regulatory or industry bodies or associations; or
 - d. Roc's policies and procedures.
 - xi. complying with any obligations, requirements, policies, procedures, measures or arrangements for sharing data and information within the Roc related entities and/or any

- other use of data and information in accordance with any Roc related entities group-wide programs for compliance with sanction or prevention or detection of money laundering, terrorist financing or other unlawful activities;
- xii. enhancing Roc operational, technology, finance, compliance and support function efficiencies;
 - xiii. handling complaints; and
 - xiv. purposes relating to any of the above.
- 3.2. Roc may also record any communications made between Clients/Relevant Individuals and Roc (including telephone calls). Roc will use the recordings to check Client instructions made to Roc for identification, investigation, regulatory and fraud protection.
- 3.3. To the extent required by applicable law or regulation or where required for the conduct of business Roc will notify and/or seek consent from its Clients if Roc needs to collect additional personal data or process personal for purposes not set out above. The Clients will need to notify and seek the relevant consent from the Relevant Individuals.

4. Disclosure and retention of personal data of a relevant individual

- 4.1. Roc will keep personal data supplied by its Clients confidential. However, Roc may transfer or disclose the personal data supplied by its Clients with the classes or persons listed below. The classes or persons listed below may be in and outside Hong Kong for purposes set out in paragraph 3 above:
- i. employees, officers or directors of Roc or any of Roc's related entities;
 - ii. any agent, contractor, sub-contractor, or third party service provider who provides administrative, telecommunications, computer or other services to Roc in connection with the operation of its business or any person to whom Roc outsource any service in accordance in with applicable laws and regulations;
 - iii. any other person under a duty of confidentiality to Roc including a Roc related entity which has undertaken to keep such information confidential;
 - iv. any person to whom Roc is required to make disclosure under the requirements of any law applying to Roc, or any disclosure under and for the purpose of any guidelines or guidance given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial providers with which Roc is expected to comply, or any disclosure pursuant to any contractual or other commitment of Roc with local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers, all of which may be within or outside Hong Kong and may be exiting currently and in the future;
 - v. companies and/or intermediaries Roc may deal with in the course of processing transactions;
 - vi. any party to whom Roc may transfer its rights and/or obligations or any third party as a result of any restructure, sale or acquisition of any business or shares in the company that is a Roc related entity, on the basis that the recipient is notified to use the personal data for the same purpose as it was originally supplied to Roc and/or used by Roc;
 - vii. any court of competent jurisdiction in defence of claims or enforcement of rights, or any agreed forum for alternative dispute resolution.

- 4.2. Roc will keep personal data supplied by its Clients for as long as permitted for legitimate business purposes, to help prevent fraud and other financial crime, and for other legal and regulatory reasons. Roc may retain personal data for a period of at least 7 years. At its discretion, Roc may retain personal data for longer than the said period if it considers it necessary or desirable to do so to meet its legal or regulatory obligations.
- 4.3. Personal data subject to this Privacy Notice may be transferred to locations outside of Hong Kong to classes of persons (set out above) in jurisdictions where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Personal Data (Privacy) Ordinance (Cap.486, Laws of Hong Kong) ("Privacy Ordinance").

5. Marketing

- 5.1. Roc may use any Relevant Individual's personal data in direct marketing to the Client, in the official capacity of such Relevant Individual. In this connection, the Client should note, and bring to the attention of its Relevant Individuals that:
 - i. the name, contact details of Relevant Individuals held by Roc from time to time may be used by Roc in direct marketing of its services and products to the Client; and
 - ii. the above services and products may be provided by Roc and/or Roc related entities.
- 5.2. If a Relevant Individual does not wish Roc to use their data for direct marketing to the Client as described above, they may exercise their opt out right by notifying Roc using the contact details set out in this Privacy Notice. After a Relevant Individual has so exercised their opt-out right, the Client undertakes to provide Roc with the contact details of another Relevant Individual for use in direct marketing to the Client as described above.
- 5.3. For the avoidance of doubt, Roc will not use the personal data of any Relevant Individual of the Client for direct marketing purposes other than as set out above.

6. Storage and security of personal data

Roc generally stores personal data that it collects in electronic databases, which may be held on Roc's behalf by third party data storage providers. Sometimes Roc may also keep hard copy records of this personal data at its business address or other physical storage facilities. Roc may use a range of physical and technical security processes and procedures to protect the confidentiality and security of the information that it holds, and Roc will update these from time to time to address new and emerging security threats.

7. Managing personal data

- 7.1. To ensure proper handling of personal data, Roc will review this Privacy Notice from time to time and may notify its Client of any changes accordingly, whether online via an electronic medium or otherwise. The Client warrants and undertakes to provide its Relevant Individuals with the updated Privacy Notice without delay and agrees to provide Roc with evidence that it has done so as and when requested by Roc. To the extent required by law, the Client also warrants to obtain the consent of the Relevant Individual to any change in purpose in the use of their personal data.
- 7.2. Under and in accordance with the Privacy Ordinance, any Relevant Individual has the right:
 - i. to check whether Roc holds data about them and of access to such data;
 - ii. Roc, if so requested, should supply a copy of the requested data in an intelligible form and within 40 calendar days after receiving the data access request;
 - iii. If Roc is unable to comply fully with the data access request within the 40-day time limit but is able to comply partially within that time period, Roc is required to comply partially

with the data access request before the 40-day period and as soon as practicable thereafter;

- iv. to require Roc to correct any data relating to them which is inaccurate; and
 - v. to ascertain Roc's policies and practices in relation to data and to be informed of the kind of personal data held by Roc.
- 7.3. In accordance with the provisions of the Privacy Ordinance, Roc has the right to charge a reasonable fee for the processing of any data access request.
- 7.4. There may be cases where Roc is unable to provide the information requested, such as where it would interfere with the privacy of others or result in a breach of confidentiality. In these cases Roc will inform the Relevant Individual why it cannot comply with the request.
- 7.5. Requests for access to data or correction of data or for information regarding policies and practices and kinds of data held are to be addressed as follows:

Data Protection Officer

Room 1002, Level 10, Chinachem

Two Central, 26 Des Voeux Road, Central, Hong Kong

Email: rocpcompliance@rocp.com

- 7.6. Nothing in this Privacy Notice shall limit the rights of Clients or Relevant Individuals under the Privacy Ordinance.

8. Acceptance

By using our services the Client acknowledge and agree to be bound by the terms set out in this Privacy Notice.