

Notice to Customers relating to Personal Data (Privacy) Ordinance The “PDPO”

This Statement is made by SoFi Securities (Hong Kong) Limited (“SoFi HK”) in accordance with the PDPO of the Hong Kong Special Administrative Region (“HKSAR”). The statement is intended to notify you why personal data is collected, how it will be used and to whom data access requests are to be addressed

- a. From time to time, it is necessary for customers to supply SoFi HK with data in connection with the opening or continuation of accounts and the establishment or continuation of provision of brokerage services, credit facilities or compliance with any laws or guidelines issued by regulatory or other authorities.
- b. Failure to supply such data may result in the SoFi HK being unable to open or continue accounts or establish or continue the provision of brokerage services or comply with any laws or guidelines issued by regulatory or other authorities.
- c. It is also the case that data are collected from customers in the ordinary course of the continuation of the brokerage relationship. This includes information obtained from credit reference agencies.
- d. The purpose of which data relating to a customer may be used are as follows:
 - (i) The daily operation of the services and credit facilities provided to customers;
 - (ii) Conducting credit checks/background/litigation search and upon periodic or special reviews of the credit which normally will take place one or more times each year;
 - (iii) Creating and maintaining SoFi HK's credit and risk related models;
 - (iv) Assisting other financial institutions to conduct credit checks and collect debts;
 - (v) Ensuring ongoing credit worthiness of customers;
 - (vi) Designing financial services or related products for customers' use;
 - (vii) Marketing the following services and products:
 - Reward, loyalty or privileges programmes and related services and products; and
 - Services and products offered by the SoFi HK's co-branding partners; andThese services or products may be provided and/or marketed by:
 - SoFi HK and its group company;
 - Third party financial institutions, securities and investment services providers;
 - Third party reward, loyalty or privileges programme providers; and
 - Co-branding partners of SoFi HK and its group companies.
 - (viii) Determining the amount of indebtedness owed to or by customers;
 - (ix) Collecting amounts outstanding from customers;
 - (x) Meeting the requirements to make disclosure under the requirements of any law binding on SoFi HK or its group companies and for the purposes of any guidelines issued by regulatory or other authorities with which SoFi HK or its group companies are expected to comply;
 - (xi) Enabling an actual or proposed assignee of the SoFi HK or participant or sub-participant of SoFi HK's rights in respect of the customer to evaluate the transaction intended to be the subject of the assignment, participation or sub-participation;
 - (xii) Sharing information on your personal profile (created by you through the Trading Platform), the Trading and Portfolio Information with other SoFi HK's customer(s) for the function of Social Trading feature;
 - (xiii) Complying with any obligations, requirements or arrangements that SoFi HK and/or its Affiliates have or may have in the future with local or foreign regulatory or tax authorities, whether imposed by law or assumed by them for the protection of their financial, commercial business or other legitimate interests in or related to such jurisdictions, including but not limited to compliance with obligations binding on SoFi HK and/or its Affiliates pursuant to arrangements in relation to the FATCA and AEOL;
 - (xiv) For establishing whether you are a citizen of the United States, resident of the United States for its federal income tax purposes or otherwise subject to tax in the United States and/or to substantiate whether your account has U.S. status for the purposes of FATCA; and
 - (xv) Purposes relating thereto.
- e. Data held by SoFi HK relating to a customer will be kept confidential but SoFi HK may provide such information to the following parties (whether within or outside the HKSAR) for the purposes set out in paragraph (d):

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- (i) Any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment or securities clearing or other services to SoFi HK in connection with the operation of its business;
- (ii) Credit reference agencies, and in the event of default, to debt collection agencies;
- (iii) Any person to whom SoFi HK is under an obligation to make disclosure under the requirements of any law binding on SoFi HK or any group companies or under and for the purposes of any guidelines issued by regulatory or other authorities with which SoFi HK or any group companies are expected to comply;
- (iv) Any actual or proposed assignee of SoFi HK or participant or sub-participant or transferee of SoFi HK's rights in respect of the customer;
- (v) SoFi HK's customer(s) using the function of Social Trading features
- (vi) Any person to whom SoFi HK and/or its Affiliates is under an obligation to make disclosure under the requirements of any law, rules, regulations, court orders, codes of practice, guidelines or voluntary arrangements binding on SoFi HK and/or its Affiliates including, without limitation, any applicable regulators, governmental bodies, or industry recognized bodies such as exchanges, fiscal and monetary authorities, securities and banking associations and credit reference agencies, (all of which may be within or outside Hong Kong) and where otherwise required by law, including, without limitation, to any tax authority of any jurisdiction (including but not limited to the IRS and IRD) for the purposes specified above (including but not limited to the compliance with FATCA and AEOI), or where we have reason to believe you may be a resident for tax purposes, citizen or otherwise subject to tax; and
- (vii)
 - SoFi HK's group companies;
 - Third party reward, loyalty and privileges programme providers;
 - Co-branding partners of SoFi HK and SoFi HK's group companies (the names of such co-branding partners will be provided during the application of the relevant services and products, as the case may be); and
 - external service providers that SoFi HK engages for the purposes set out in paragraph (d) (vii).Such information may be transferred to a place outside Hong Kong.

In connection with e(ii) above, the credit reference agency will use the above data supplied by SoFi HK for the purpose of compiling a count of the number of credit facilities from time to time held by the customer for sharing in the consumer credit database of the credit reference agency by credit providers. In the event of any default in payment where the amount in default is not fully repaid, the SoFi HK and its group companies have the right to supply the above data to debt collection agencies for the purpose of debt collection until the outstanding amount is fully repaid to SoFi HK and its group companies.

f. Under and in accordance with the terms of the PDPO, any individual has the right:

- (i) to check whether SoFi HK holds data about him and of access to such data;
- (ii) to require SoFi HK to correct any data relating to him which is inaccurate; and
- (iii) in relation to the provision of credit facilities, to request to be informed which items are disclosed to debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant debt collection agency.

g. In accordance with the terms of PDPO, SoFi HK has the right to charge a reasonable fee for the processing of any data access request.

h. The person to whom requests for access to data or correction of data or for information regarding kinds of data held are to be addressed as follows:

Customer Services

SoFi Securities (Hong Kong) Limited

15/F, 1 Lyndhurst Tower, No.1 Lyndhurst Terrace, Central, Hong Kong

(852) 2693 8888

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Note: In case of discrepancies between the English and Chinese versions, the English version shall apply and prevail.

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