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## OPTIVER EUROPE PRIVACY POLICY

This policy describes what Optiver Group<sup>1</sup> does with personal information we collect from you and the ways in which Optiver Group may collect that information.

Optiver Group may collect information from you through your use of our website.

By using our website and by providing us with any personal information, you are consenting to the use of your personal information as set out in this policy. Please do not send us any personal information if you do not want your personal information to be used in this way.

### Information collected through our website

A number of facilities on our website invite you to provide us with personal information, for example, the vacancy application facility in the "Working at Optiver" section of our website. The purpose of these facilities is apparent at the point that you provide your personal information and we only use your information for those purposes.

### What we use your personal information for

We use your personal information:

- ▶ To provide and improve this website.
- ▶ To compile anonymous statistics, for example, website usage statistics.
- ▶ To market our services.
- ▶ To manage our relationships.
- ▶ To fulfil our legal obligations.
- ▶ For the purposes of recruitment.
- ▶ For other legitimate business purposes.

We apply the highest standard of security when it comes to hosting and protecting information.

We do not sell, rent, distribute or otherwise make personal information commercially available to any third party, except as described in this policy or with your prior permission.

### Sharing information across our offices

Any information that you provide to us may be shared with and processed by any entity in the Optiver Group. This may entail a transfer of your information from a location within the European Economic Area (the "EEA") to outside the EEA, or from outside the EEA to a location within the EEA. The level of information protection in countries outside the EEA may be less than that offered within the EEA, however we have procedures in place to ensure the protection of your information as much as possible.

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<sup>1</sup> Optiver Holding BV and its wholly owned subsidiaries and Optiver VOF.

**Transferring information when there is a change to our business**

If in the future we re-organise or transfer all or part of our business we may need to transfer your information to new entities in the Optiver Group or to third parties through which the business of Optiver Group will be carried out.

**Electronic communications**

Information that you send to us in electronic form may not be secure and not be treated as confidential.

**Legal Requirements**

While it is unlikely, we may be required to disclose your information to comply with legal or regulatory requirements. We will use reasonable endeavours to notify you before we do this, unless we are legally restricted from doing so.

**Your rights**

Under applicable data protection legislation we must ensure that your personal information is accurate and up to date. Therefore, please advise us of any changes to your information.

You are entitled to request details of the information we hold about you and to have it rectified or deleted as required by applicable data protection legislation. For more information please send an email to [info@optiver.com](mailto:info@optiver.com).

**OPTIVER EUROPE DISCLAIMER**

The following terms and conditions apply to the use of the website [www.optiver.com](http://www.optiver.com). By using our website and using the information provided on it, the user accepts the following conditions. If the user does not accept these conditions, he or she should not use our website.

**Legal Disclaimer**

The information on our website is for general informational purposes only and does not constitute an offer to sell or a solicitation of an offer to buy any security or any financial instrument or to provide any investment advice in any jurisdiction. Optiver is not providing specific investment advice to any individual viewing the content of our website and does not represent that the securities or services described herein are suitable for any specific investor. Investors are advised not to rely on any information contained on our website in the process of making a fully informed investment decision. Optiver expressly disclaims all liability in respect to actions taken based on any or all of the information on our website.

Optiver is authorized at all times to amend, modify or discontinue the operation of our website and the information and details on our website (including this disclaimer) without prior notification. It is therefore advisable to review this disclaimer and any other notices on our website on a regular basis so that you are aware of any such amendments or modifications.

**Cookies**

This Website uses Google analytic cookies. These cookies help Optiver improving its website. By continuing to use our website the user consents to the use of these cookies.

**(Intellectual) Property and use of our website**

Users of our website are permitted to store, analyse, print, download and copy the data and/or information on our website for personal use and non-commercial purposes only. Information on our website may not be distributed, published, transferred, reproduced or made available to third parties in any other way without Optiver's express written consent. No licensing rights or rights of use of any kind (except for as described above) are granted to the user of our website. Optiver retains all rights (including all registered property rights as well as the rights to all non-registered brands, copyright, texts, graphic material, design and logos) in relation to

the information presented on our website. Links to our website are not permitted without Optiver's prior written consent.

### **Links**

This Website provides links to other websites maintained by third parties. The inclusion of any such link does not imply any type of endorsement by Optiver of any material contained on any linked site. Optiver has no control over the linked sites and Optiver does not provide any guarantee concerning the content of those sites and is not responsible or liable for any content, information or other materials available on such sites.

### **Disclaimer of Warranty & Limitation of Liability**

Optiver provides no guarantee whatever concerning the availability of, access to and use of our website. Optiver does not guarantee that the information and data provided on our website is up to date, accurate or complete. The user accepts that access to and use of our website, as well as the use of the information provided on it, are solely his or her personal responsibility.

Optiver does not in any way guarantee the security of our website and, in particular, cannot rule out the possibility that unauthorized third parties may gain access to details entered by the user on our website or that such entries will be intercepted and/or manipulated.

Optiver accepts no liability whatever for loss, costs, compensation or lost earnings arising directly or indirectly from the provision of our website to the user or the use of our website by the user or third parties, or arising from the access provided by our website to other websites. This exclusion of liability also extends to the management and staff of Optiver.

THIS WEBSITE AND ALL INFORMATION CONTAINED HEREIN IS PROVIDED "AS IS," WITHOUT WARRANTIES OF ANY KIND, EITHER EXPRESS OR IMPLIED, INCLUDING, WITHOUT LIMITATION, ANY IMPLIED WARRANTIES OF MERCHANTABILITY, NON-INFRINGEMENT OF THIRD PARTY RIGHTS, FREEDOM FROM VIRUSES OR OTHER HARMFUL CODE, OR FITNESS FOR A PARTICULAR PURPOSE. YOU HEREBY ACKNOWLEDGE THAT YOUR USE OF THIS SITE IS AT YOUR SOLE RISK.

## **OPTIVER AUSTRALIA DISCLAIMER**

### **Optiver Asia Pacific Disclaimer**

All material on the Institutional Trading Asia Pacific webpage has been prepared for one or all of Optiver Australia Pty Limited (ABN 54 077 364 366, AFSL 244145) or Optiver Trading Hong Kong Ltd (Registration # 133118, SFC #AP0583) (collectively "Optiver"), for informational purposes only and is not a solicitation of any offer to buy or sell any security or other financial instrument or to participate in any trading strategy. The financial products and/or services referred to on this web page may not be eligible for sale in all jurisdictions. This information is directed at institutional investors who have professional experience as defined by applicable law and/or regulation in the relevant jurisdiction, specifically Professional Investors within the meaning of the Corporations Act 2001 (Australia) and Institutional Professional Investors within the meaning of the Securities and Futures Ordinance (Hong Kong). It is not for retail investors and it is not for distribution into any jurisdiction where this information is not permitted.

## **OPTIVER AUSTRALIA PRIVACY POLICY**

### **1. Objective**

This policy sets out how Optiver Pty Ltd and its related bodies corporate in Australia ("Optiver") collect, hold, use, and disclose personal information, including sensitive information; and how you may seek access to, and correct your personal information. Optiver follows the Australian Privacy Principles and the *Privacy Act 1998* (Cth) (the "Privacy Act").

Certain employee records such as job application details, qualification records, remuneration details, performance and disciplinary information, and similar, may be exempt from the Privacy Act and from this Privacy Policy.

## **European Personal Data**

Optiver will process personal information belonging to a European resident ("EU personal information") in compliance with applicable European data protection laws, including the General Data Protection Regulation 2016/679 and any implementing laws in relevant European Member States and the United Kingdom ("EU Data Protection Laws"). Optiver will only process EU personal information where necessary.

## **2. Details**

### **The kinds of personal information Optiver may collect and hold**

In the process of conducting its business, Optiver may collect, hold, use, and in some cases, disclose personal information, including sensitive information, relating to its business, contractors, and employees.

**Personal information** is information or an opinion about an individual who is reasonably identifiable from that information, whether or not the information or opinion is correct, and whether or not it is in a material form, and regardless of its source. Examples of the type of personal information we may collect includes a person's name, address, phone number, and email address.

**Sensitive information** is a subset of personal information, and is information or an opinion about an individual's racial or ethnic origin; political, philosophical or religious opinions or associations or affiliations; sexual preferences or practices; memberships; beliefs; health, genetic or biometric information; and dietary preferences. Under the Privacy Act sensitive information also includes criminal records.

The references to 'personal information' in this policy include 'sensitive information'.

### **Collecting personal information**

Optiver will only collect personal information where necessary.

Optiver may collect personal information from an individual, for example, through its job application process, in relation to a procurement process, or if an individual requests information or otherwise engages with Optiver. Optiver may ask an individual to provide their first and last name, contact information, date of birth, financial information such as tax file numbers or bank account details, pre-employment screening information, certification information, details of qualifications, information about transactions with Optiver or customers of third party suppliers or contractors, or licences and information collected incidentally to the management of operational activities.

Optiver will generally only collect personal information from the relevant individual, unless in Optiver's opinion it is unreasonable or impracticable to do so. However, not all of the personal information Optiver holds about an individual will come directly from the individual. It may, for example, come from publicly available information, previous or current employers, third party referees, government agencies, pre-employment screening agencies or other organisations to which the individual belongs.

If an individual elects to not give Optiver their personal information, Optiver may be unable to employ them, or procure services or otherwise engage with the individual.

Optiver will only collect sensitive personal information if the relevant individual consents to the collection, the collection is reasonably necessary for Optiver's business activities, or in circumstances permitted by the Privacy Act or where applicable, EU Data Protection Laws.

### **Holding personal information**

Optiver may hold personal information electronically, or in paper files. Optiver will take all reasonable steps to protect personal information against misuse, interference, loss and unauthorised access, modification or disclosure. Depending on the information and the circumstances this protection may include:

- (a) the use of confidential passwords for purposes of accessing such information on Optiver's internal systems;
- (b) storing hard copies of documents containing personal or sensitive information in secure files created for this purpose;
- (c) imposing confidentiality requirements on our employees;

- (d) conducting reasonable due diligence on any third party service provider's security measures, and compliance with the Privacy Act, especially if they are located offshore; and
- (e) maintaining physical access controls over our premises.

Where Optiver holds personal information that it no longer requires, Optiver will take reasonable steps to destroy or de-identify such information, subject to any law or court order requiring retention.

### **Use of personal information**

All personal information (including EU personal information)

**Job applications, employment and counterparty management.** Personal information is used by Optiver so that we can verify an individual's identity, qualifications, or experience; make informed employment decisions; comply with regulatory requirements; manage our employment relationships; make informed resource management decisions and operate our business (including managing our counterparty relationships).

**Administration .** If an individual engages with Optiver, we may use personal information in order to manage the relationship, to verify the individual's identity and send important information.

**Legal obligations.** Optiver may be required to use and retain personal information for legal and compliance reasons, such as the prevention, detection, or investigation of a crime; loss prevention; or fraud. We may also use personal information to meet our internal and external audit requirements, information security purposes, and as we otherwise believe to be necessary or appropriate: (a) under applicable law (including the Privacy Act and EU Data Protection Laws), which may include laws outside your country of residence; (b) to respond to requests from courts, law enforcement agencies, regulatory agencies, and other public and government authorities, which may include such authorities outside your country of residence; (c) to enforce our contractual relationship with an individual; and (d) to protect our rights, privacy, safety, or property, or those of other persons.

Optiver will notify individuals in advance if the way Optiver uses or processes personal information changes.

Sensitive information will only be used for a purpose other than the express purpose for which it was collected with the individual's consent or for a purpose directly related to the express purpose for which the individual would reasonably expect the personal information to be used.

### **Personal information that is not EU personal information**

This section applies to personal information that is not EU personal information (and all references to personal or sensitive information in this section shall be interpreted accordingly).

Where personal information is collected from individuals or from other third parties about individuals, Optiver will use such information for the express purpose for which it was collected or a purpose related to that purpose for which the individual would reasonably expect the personal information to be used.

Optiver may also use personal information:

- (a) to lessen or prevent a serious threat to an individual's life, health or safety, or a serious threat to public health or public safety;
- (b) if Optiver has reason to suspect that unlawful activity or misconduct of a serious nature related to Optiver's business is imminent;
- (c) where the collection, use or disclosure of personal information is reasonably necessary for Optiver to establish, exercise or defend a claim against it;
- (d) where the collection, use or disclosure of personal information is reasonably necessary for the purposes of a confidential alternative dispute resolution process;
- (e) the disclosure is warranted by law or by order of a court or tribunal;
- (f) the disclosure is reasonably necessary for an enforcement related activity by an enforcement body;
- (g) for any other purpose the individual has consented to; or
- (h) for another reason permitted by the Privacy Act.

### **Disclosure of personal information**

### All personal information (including EU personal information)

Optiver discloses personal information when necessary to conduct our business operations as described below. When we disclose personal information, we do so in accordance with applicable data privacy and security requirements which may include the Privacy Act and EU Data Protection Laws.

**Within Optiver.** Our businesses around the world are supported by a variety of Optiver teams and functions, and personal information will be made available to them if necessary for the provision of services, human resources administration, and business and product development, for instance. All of our employees and contractors are required to follow our data privacy and security policies when handling personal information. For more information about Optiver's locations please click here: [www.optiver.com/ap/en/our-locations](http://www.optiver.com/ap/en/our-locations)

**Third-party suppliers.** Optiver partners with and is supported by suppliers around the world. Personal information will be made available to these parties only when necessary to fulfill the services they provide to us, such as software, system, and platform support; recruitment services; clearing services; cloud hosting services; advertising; data analytics; and order fulfillment and delivery.

**Third parties for legal reasons.** We will share personal information when we believe it is required, such as:

- To comply with legal obligations and respond to requests from government agencies, including law enforcement and other public authorities, which may include such authorities outside your country of residence.
- In the event of a merger, sale, restructure, acquisition, joint venture, assignment, transfer, or other disposition of all or any portion of our business, assets, or stock (including in connection with any bankruptcy or similar proceedings)
- To protect our rights, users, systems, and capabilities.

**E-recruitment.** If you register as an applicant in order to apply for employment, your personal information, including any sensitive personal information you provide, will be made available to the organization to which you have applied. In order to consider an application fully, your personal information may be forwarded to Optiver's global offices. If you are unsuccessful in your application Optiver may retain your personal information to contact you in the future if a suitable role becomes available. If you do not want us to retain your personal information for this purpose, please let us know by contacting us at [TheTalentTeam@optiver.com.au](mailto:TheTalentTeam@optiver.com.au) .

### Personal information that is not EU personal information

Optiver can disclose personal information on the same basis that it can use the personal information, as described in the section above.

### **Transborder Dataflows**

Optiver may at times transfer personal information from the country in which it was collected, including to servers situated offshore. The countries where personal information may be transferred to include Australia, The Netherlands, Hong Kong, Ireland, United States of America, and Singapore.

When Optiver transfers EU personal information from the European Economic Area to other countries in which applicable laws do not offer the same level of protection to personal information, we take measures to provide an appropriate level of protection to such personal information.

### **3. Access to, and correction of personal information**

Under applicable data protection law, individuals may have the right to access and control personal information that Optiver holds about them. Any individual wishing to access, amend, correct or delete their personal information held by Optiver must contact the Optiver Privacy Officer or Optiver's Talent Engagement & Experience department at [TheTalentTeam@optiver.com.au](mailto:TheTalentTeam@optiver.com.au) . Before providing data to requesting individuals, we will ask for proof of identity and sufficient information about your interaction with us so that we can locate any relevant data.

Access will be provided where this is reasonable and practicable. However, in accordance with applicable law, Optiver may refuse an access request in certain permitted situations.

### **4. Complaints**

Should an individual wish to make a complaint in relation to Optiver's use, collection, disclosure or management of personal information or sensitive information, or request access or correction, they must contact the 'Privacy Officer' at 39 Hunter Street, Sydney, NSW 2000.

Where a complaint is received, the Privacy Officer will consider the complaint and, within a reasonable time, will decide whether the complaint warrants further investigation. The complainant will be advised by Optiver of the outcome of its investigations within a reasonable time.

Alternatively, you may refer your complaint to the Office of the Australian Information Commissioner (the "OAIC"). The OAIC's contact details are:

The Office of the Australian Information Commissioner  
GPO Box 2999, Canberra ACT 2601, Australia  
Phone: 1300 363 992  
Website: [www.oaic.gov.au](http://www.oaic.gov.au)

For complaints in relation to Optiver's data protection practices relating to EU personal data, you may contact the UK Information Commissioner at Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF. Further information is available on the Information Commissioner's website at <https://ico.org.uk>

You may request to receive a copy of this Privacy Policy by contacting the Privacy Officer on the details above at 'Complaints'.

This Privacy Policy was last updated on 04 May 2018.

## OPTIVER HONG KONG PRIVACY POLICY

### 1. Objective

Optiver is committed to protecting the privacy, confidentiality and security of any personal data held about individuals with the applicable laws. Nothing in this Privacy Policy Statement ("**Policy**") is intended to limit your rights under the Personal Data (Privacy) Ordinance ("**Ordinance**").

This Policy sets out the practices followed by Optiver Holding Hong Kong Limited and its related bodies corporate in Hong Kong ("**Optiver**", "**we**", "**us**" or "**our**"), and describes the practice of Optiver's collection, holding, use, correction, disclosure and transfer of personal data and sensitive information.

### 2. What is "personal data"?

Personal data means any data relating directly or indirectly to an identifiable individual, for which it is practicable to ascertain the identity of such individual, as defined by the Ordinance.

Personal data includes a person's name, address, ID number, photo, phone number and email address.

### 3. Use of information and type of personal data held by Optiver

Your personal data is collected by Optiver so that we can perform our business functions. For example, Optiver may collect and/or use your personal data to:

- (a) meet the disclosure, reporting and compliance requirements (including but not limited to tax reporting) under any laws or regulations, codes, guidelines or internal Optiver compliance policies applicable to Optiver in Hong Kong or elsewhere;
- (b) establish, exercise, defend a claim or any other purposes in connection with any claims made by or against Optiver (this includes but not limited to claims involving you, or (where relevant)

your employer, company or affiliated entity (as may be applicable)) in respect of any products and/or services provided by us;

- (c) consider or take part in an alternative dispute resolution process;
- (d) enable an actual or proposed assignee of Optiver, or participant or sub-participant of Optiver's rights in respect of any transaction intended to be the subject of the assignment, participation or sub-participation involving you;
- (e) additionally, in relation to job applicants and employees of Optiver:
  - (i) verify your identity, qualifications or experience;
  - (ii) assess your suitability for the position for which you have applied;
  - (iii) negotiate with and make employment offers to selected applicants;
  - (iv) make informed employment decisions;
  - (v) comply with regulatory requirements (including but not limited to making tax returns);
  - (vi) assess training and development needs;
  - (vii) plan and effect promotions; and
  - (viii) facilitate a retirement or provident fund scheme and/or other benefits applicable to employees; and
- (f) any other purposes directly relating to any of the above.

Personal data collected from individuals or from other third parties about individuals, may only be used or disclosed for the express purpose for which it was collected or a purpose related to that purpose for which the individual would reasonably expect the personal data to be used.

Depending on the nature of your dealings with Optiver, the types of information that we may collect include, but are not limited to:

- (a) information that identifies you (such as your name, phone number, fax number, email and postal addresses);
- (b) basic information (such as your date of birth);
- (c) information relates to your financial affairs, associates, business, employment, assets, income, trading activities and/or investment experience;
- (d) information helps Optiver to process applications made by you for particular products and services;
- (e) marketing information (such as your financial background, investment history, information about transactions with Optiver, any information about you which you provide through promotions or customer surveys);
- (f) licence and certification information, details of qualifications;
- (g) if applicable, information about your company's representatives and other connected persons (such as authorised representative name(s) and their contact details); and/or
- (h) any information that is provided to Optiver.



The provision of personal data is voluntary unless otherwise specified by us. However, failure to provide sufficient information may result in Optiver being unable to:

- (a) *provide to you the services included in Section 3 of this Policy above;*
- (b) *(for job applicants) consider your employment application; or*
- (c) *(for employees) effect promotions, transfers or relocations, or the provision of certain benefits to you.*

#### **4. Channels to collect personal data**

During the course of our business, we may collect personal data about you in a variety of ways.

Optiver will only collect personal data from you if in Optiver's opinion it is reasonable, practicable and lawful to do so.

In some circumstances, Optiver may collect your personal data from other entities covered by this Policy or third parties (including publicly available information, previous or current employers, third party referees, government agencies or pre-employment screening agencies). When it does so, it will ensure that it acts in accordance with relevant privacy laws and this Policy.

"Cookies" are data files stored on your electronic devices (such as your computer or mobile phone) after you access certain websites. Cookies are primarily used to identify visitors when they return to a site, so that certain information already provided by the visitor to a site is not required to be provided again. Cookies are also used to gather data on which areas of a site are visited frequently and which are not. Keeping data on which areas of a site are most popular allows a site operator to better plan and enhance the site. By accessing any Optiver website, you acknowledge that you have been informed of this practice and authorise Optiver to use any information collected through our use of cookies in connection with the purpose set out under Section 3 of this Policy. We acknowledge that some users may wish to disable cookies. This can be done by changing your web browser settings but may result in more limited functionality. To find out more about cookies, please contact us.

#### **5. Disclosure of personal data**

In providing you the information or services you request, Optiver may disclose your personal data to:

- (a) any subsidiary, holding company, associated company or affiliate, or any entity controlled by or under common control with Optiver;
- (b) any affiliate, agent, contractor or other service provider who provides administrative, compliance, telecommunications, computer, other technological, payment, screening, data processing or storage, cloud computing or other services to us and/or our affiliates in connection with the operation of our respective businesses;
- (c) any person under a duty of confidentiality to Optiver, such as a professional adviser or another person that has undertaken to keep such data confidential;
- (d) any bank, intermediary or regulatory authority involved in sending or receiving any payment or instruction to or from or in connection with you;
- (e) any actual or proposed assignee, transferee, participant or sub-participant of Optiver's rights or business; and

- (f) any person to whom Optiver is under an obligation to make disclosure under the requirements of any law, rules, regulations or directive binding on us and/or our affiliates, or under and for the purposes of any codes of practice or guidelines issued by or responding to requests made to us and/or our affiliates by regulatory or other authorities, or for the purposes of any legal or administrative proceedings in which we and/or our affiliates are involved;
- (g) additionally, in relation to Optiver's employees, any relevant insurers, bankers, provident fund managers and medical practitioners, in connection with services requested and/or provided in relation to employees; and
- (h) any service provider whom Optiver may appoint or to whom Optiver may delegate its obligation to in connection with its business operation.

each a "**Transferee**".

Optiver will not provide a reference concerning an employee or former employee to a third party without the employee's prescribed consent.

If Optiver provides your personal data to such a Transferee, Optiver requires the Transferee to protect your personal data in the same way Optiver does.

For the purposes set out under Section 3 of this Policy, we may transfer, disclose otherwise make available your personal data to persons set out in this Section 5 situated in overseas jurisdictions, including (without limitation) Australia, the Netherlands, Taiwan and Mainland China, where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Ordinance. That means your personal data may not be protected to the same or similar level in Hong Kong.

Under paragraph 3.11.5 and 3.11.6 of the Code of Practice on Human Resource Management issued by the Office of the Privacy Commissioner for Personal Data, Optiver may transfer your employment-related personal data to a related office or a third party within or outside Hong Kong. In any event, such a transfer is for a purpose directly related to your employment and the data transferred will not be excessive in relation to that purpose.

Optiver may also disclose your personal data to other third parties where it is required or permitted to under any applicable law or by order of a court or tribunal.

## 6. Security

Optiver will take all reasonable steps to protect personal data against misuse, interference, accidental loss, unauthorised access, destruction, unlawful process, unlawful modification or unauthorised disclosure.

Depending on the type of personal data and the circumstances, this protection may include:

- (a) the use of confidential passwords for purposes of accessing such information on Optiver's network or wiki;
- (b) hard copies of documents containing personal or sensitive information are kept in secure files created for this purpose;
- (c) imposing confidentiality duties and requirements on our employees; and/or
- (d) control of access to our building.

Where Optiver holds personal data that it no longer requires, Optiver will take reasonable steps to destroy or de-identify such information, so long as the information is not required to be kept by law or court order.

However, Optiver cannot ensure the security and confidentiality of internet communications, which may not be secured by encryption. As a result, all information transmitted via the Internet (including via email) is at your own risk.

## **Privacy Officer**

The Privacy Officer is the Compliance Manager, whose details are set out below. Optiver may in its absolute discretion appoint a different Privacy Officer as and when it sees fit.

### **7. Access to personal data and correction**

You may do the following in respect of your personal data:

- (a) *ascertain whether Optiver holds personal data about you;*
- (b) *access your personal data;*
- (c) *require Optiver to correct your personal data which is inaccurate; and/or*
- (d) *find out Optiver's policies and practices in relation to your personal data.*

When Optiver receives a data access request from you, whether it holds the requested data or not, it will respond in writing within 40 calendar days after receiving your data access request. However, Optiver may refuse to comply with your data access request in certain situations, which include without limitation to:

- (a) Optiver is not supplied with sufficient information to identify you;
- (b) Optiver cannot comply with the request without disclosing the personal data of a third party;
- (c) where compliance with the request is for the time being prohibited under the Ordinance or any other ordinance;
- (d) the data access request follows two or more similar requests, and it is unreasonable for Optiver to comply with the request in the circumstances; or
- (e) another party controls the use of the requested data in a way that prohibits Optiver from complying with the data access request.

Should you wish to access your personal data held by Optiver and/or seek correction of your personal data, please contact our Privacy Officer, Amy Hui on +(852) 3607 8777, by email at [amy.hui@optiver.com.au](mailto:amy.hui@optiver.com.au) or by post to 25/F, 33 Des Voeux Road Central, Hong Kong, your Optiver business contact or for Optiver's employees, the Human Resources Department.

Access will be provided where this is reasonable and practicable, however Optiver may refuse the access requested in accordance with the Ordinance.

Even if you do not submit such a request, if we are satisfied that, having regard to the reasons for which we hold your personal data, that personal data is inaccurate, incomplete, out-of-date, irrelevant or misleading, we may take reasonable steps to correct that information.

In accordance with the Ordinance, Optiver has the right to charge a reasonable fee for the processing of any request to access personal data.

### **8. Retention of personal data**

Your personal data will not be kept longer than required.

Please note that Optiver may retain personal data relating to:

- unsuccessful applicants up to a period of two years (from the date of rejection); and

- an employee up to a period of seven years (after an employee has left Optiver).

Optiver may, at its discretion, retain personal data for longer than these periods where it considers it necessary or desirable to do so to meet its legal or regulatory obligations,

## 9. Changes to this Policy

From time to time, Optiver may change this Policy to accommodate the new legal or regulatory requirements, industry practices or for other purposes. We will provide notice to you if these changes are material and, where required by applicable law, we will obtain your consent.

## 10. Contact us

Should you:

- (a) *have any queries or require further information regarding this Policy or any other steps Optiver has taken to protect your personal data or privacy; or*
- (b) *have any concerns or wish to make a complaint in relation to Optiver's use, collection, disclosure or management of your personal data,*

please contact our Privacy Officer, Amy Hui at +(852) 3607 8777, by email at [amy.hui@optiver.com.au](mailto:amy.hui@optiver.com.au) or by post to 25/F, 33 Des Voeux Road Central, Hong Kong.

Where a complaint is received, the Privacy Officer will consider the complaint and, within a reasonable time, will decide whether the complaint warrants further investigation. The complainant will be advised by Optiver of the outcome of its investigations within a reasonable time.

This Privacy Policy Statement was last updated on 10 February 2017.

## OPTIVER TAIWAN PRIVACY NOTICE

### 澳帝華期貨股份有限公司「個人資料蒐集、處理、利用告知書」

### Notice of Collection, Processing and Use of Personal Information

澳帝華期貨股份有限公司（以下簡稱「本公司」）依據個人資料保護法（以下簡稱「個資法」）第8條第1項，向您告知下列事項：

Optiver Taiwan Futures Co., Ltd. ("Optiver") hereby, pursuant to Paragraph 1 of Article 8 of the Personal Information Protection Act ("PIPA") notify you of the following matters:

#### 一、本公司蒐集您之個人資料目的：

- (一) 〇〇二：人事管理（包含甄選、離職及所屬員工基本資訊、現職、學經歷、考試分發、終身學習訓練進修、考績獎懲、銓審、薪資待遇、差勤、福利措施、褫奪公權、特殊查核或其他人事措施）
- (二) 〇三一：全民健康保險、勞工保險、國民年金保險或其他社會保險
- (三) 〇六九：契約、類似契約或其他法律關係事務

#### 1. Purposes of collecting personal information:

- (1) 002: Human Resource Management (including recruitment, separation, employee profile, current position, education, working experience, examination distribution, long term learning, training and development, performance management, verify the qualification, compensation, attendance record, benefit, deprived of civil rights, special check (background), other personnel management.)
- (2) 031: National health insurance, labor insurance, national pension insurance or other social insurance.
- (3) 069: Contract, contract-like or other legal relation matters.

#### 二、本公司蒐集您之個人資料類別：

- (一) 識別類（如姓名、身分證字號、通訊地址、聯絡電話、非工作用電子郵件地址、住家電話號碼、手機、稅籍編號、銀行帳戶或開戶資訊、簽證及護照號碼、影像）
- (二) 特徵類（如性別、出生日期）
- (三) 家庭情形（如婚姻狀況、緊急連絡人）
- (四) 受僱情形（如薪水、工作表現、休假紀錄、請假或補假紀錄）
- (五) 其他（如宗教信仰、種族）

#### 2. Classification of the personal information:

- (1) Types for identification (for example: name, ID number, address, contact number, personal email address, home telephone number, cellphone number, tax registration numbers, bank account or account opening information, visa and passport number, photograph/image.)
- (2) Types of characteristic (for example: gender, date of birth.)
- (3) Family (for example: marital status, emergency contact person.)
- (4) Employment (for example: salary, evaluation of working performance, record regarding personal leave, compensatory leave, and other information regarding leaving taking.)
- (5) Other (for example: religion and faith, races.)

#### 三、本公司利用您之個人資料期間、地區、對象及方式：

- (一) 期間：申請人自投履歷日起3年。
- (二) 地區：本國、本公司之關係企業所在地區（詳如本公司所屬集團之網站上所載：<http://optiver.com/>）以及其他受本公司委託處理您個人資料之公司之地區，例如：加拿大、澳洲、愛爾蘭、荷蘭、香港等。
- (三) 對象：本公司、本公司之關係企業（詳如本公司所屬集團之網站上所載：<http://optiver.com/>）、以及其他受本公司委託處理您個人資料之公司，例如位於加拿大之Global Relay Communications Inc.、位於愛爾蘭之Workday Inc.。

(四) 方式：以自動化機器或其他非自動化之利用方式。

3. Time period, areas, parties and ways of using personal information:

- (1) Time period: 3 years after applicant's submitting the resume.
- (2) Areas: within the territory of this country, the territory of the affiliated companies listed on the website of Optiver Group (<http://optiver.com>) and other territory of the entities entrusted by Optiver with the processing of your personal information such as Canada, Australia, Ireland, Netherlands, Hong Kong, etc.
- (3) Parties: Optiver, the affiliated companies listed on the website of Optiver Group (<http://optiver.com>), and other entities entrusted by Optiver with the processing of your personal information, such as Global Relay Communications Inc. in Canada, Workday Inc. in Ireland.
- (4) Ways: through automatic machine or non-automatic methods

四、就本公司保有您之個人資料，您得透過言詞、書面、電話、簡訊、電子郵件、傳真等方式，行使以下所載個資法第三條之當事人各項權利：

- (一) 得直接向本公司請求查詢、請求閱覽或請求製給複製本。依個資法第14條規定，本公司得須酌收必要成本費用。
- (二) 得直接向本公司請求補充或更正。
- (三) 得直接向本公司請求停止蒐集、處理或利用及請求刪除。但依個資法第11條及同法施行細則第21條規定，本公司因執行業務所必須者，於註明爭議事項後，得不依您請求為之。

4. According to Article 3 of the PIPA, you may exercise following rights by means of words, written document, telephone, text message, email, facsimile or other manners, with regard to your personal information collected by Optiver:

- (1) You may inquire and request for a review or make duplications of your personal information. Optiver may charge necessary handling fee in terms of Article 14 of the PIPA.
- (2) You may request to supplement or correct your personal information.
- (3) You may request Optiver to discontinue the collection, the processing or using, and delete your personal information. However, pursuant to Article 11 of the PIPA and Article 21 of the Enforcement rules of the PIPA, the preceding sentence may not be applicable when the collection, processing and use of the personal information is necessary for the performance of an official duty or fulfillment of a legal obligation and the dispute has been recorded.

五、您不提供個人資料所致權益之影響：

您得自由選擇是否提供相關之個人資料，惟您若拒絕提供相關個人資料，本公司、本公司之關係企業、及其他受本公司委託之公司將無法進行如上開蒐集目的之各項作業，致無法提供您蒐集目的之各項服務。

5. Impact of the rights and interests if not providing personal information:

You may choose to provide or not to provide the relevant personal information. In the case that you refuse to provide the relevant personal information, Optiver, the affiliated companies, and other entities entrusted by Optiver will not be able to provide services as specified purposes of collection listed in section 1.

六、您充分瞭解上述告知事項。

6. You fully understand the matters specified above.