

## Regulatory Compliance Statement (the "Statement")

### 1. Disclosure of Information

The Group ("we", "us" or "our") needs to use and share client information to operate effectively including in connection with our provision of products and services to you and for the purposes of client servicing.

We will keep information provided by or relating to you confidential, except that we may disclose such information (i) to any Bank Member; (ii) to any Bank Member's professional advisor, insurer, insurance broker or provider of services to facilitate the Group's operations and provision of products and services across multiple countries (such as operational, administrative, data processing and technological service providers) who are under a duty of confidentiality; or (iii) as required by Law or any Authority.

"Affiliate" means, in relation to a company, any of its subsidiaries, holding companies or any other subsidiary of any such holding company and (where applicable) any representative and branch office in any jurisdiction.

"Authority" means, government, quasi-government, administrative, regulatory or supervisory body or authority or court or tribunal having jurisdiction over any Bank Member.

"Bank Member" means Standard Chartered PLC or any of its Affiliates and "Group" means all Bank Members.

"Law" means any law, regulation, rule, directive, order, request, guideline, sanction, embargo and restriction of or agreement with any Authority.

### 2. Privacy

To comply with applicable Laws and in the course of providing products and services to you, we will need to collect, hold, use and share Personal Information of your Data Subjects.

Our Privacy Statement (<https://www.sc.com/en/privacy-policy.html>) outlines how the Group processes Personal Information. You agree to make your Data Subjects aware of our Privacy Statement.

"Data Subjects" means all individuals whose Personal Information we receive in the course of our banking relationship with you, including your direct and indirect beneficial owners, directors, officers and authorized persons.

"Personal Information" means any information relating to Data Subjects.

### 3. Compliance with Laws and Financial Crime Compliance

The Group is committed to complying with Laws (including applicable financial crime compliance laws and regulations such as those related to anti money laundering, anti-bribery and corruption) in all jurisdictions in which the Group operates.

## 監管合規聲明 (下稱「本聲明」)

### 1. 披露信息

為保持有效運作，包括在本集團向閣下提供產品與服務，以及提供客戶服務等情況下，本集團（「我們」或「我們的」）需要使用及共享客戶資料。

對於閣下向本行提供的資料或有關閣下的資料，我們均作保密處理，惟我們可能披露有關資料(i)給予任何本行成員；(ii)給予任何本行成員的專業顧問、承保人、保險經紀或促進本集團在多國營運及提供產品的服務供應商（例如營運、行政、數據處理和科技服務供應商），以上各方均須履行保密責任；或(iii)根據法例或任何當局要求。

「聯屬公司」指在任何司法權區內，一間公司的任何附屬公司、控股公司，或任何其他該等控股公司之附屬公司及（如適用）任何代表及分行辦事處。

「當局」指對任何本行成員擁有司法權的政府、半政府、行政、規管或監察團體或機構，或當局或法院或裁審處。

「本行成員」指渣打集團有限公司或其任何聯屬公司，而「集團」指所有本行成員。

「法例」指任何當局的任何法律、法規、規則、指示、指令、要求、指引、制裁、禁令、限制和與任何當局達成的協議。

### 2. 私隱

在為閣下提供產品與服務的過程中，為遵循適用法例，我們將需要收集、持有、使用及共享閣下之資料當事人的個人資料。

我們的私隱聲明(<https://www.sc.com/en/privacy-policy.html>)概述了本集團如何處理個人資料。閣下同意讓閣下的資料當事人得知我們的私隱聲明。

「資料當事人」指所有我們在與閣下的銀行服務關係中所接收其個人資料的所有人，包括閣下的直接及間接實益擁有人、董事、高級職員及授權人士。

「個人資料」指任何有關資料當事人的資料。

### 3. 法例合規與金融犯罪合規

本集團致力遵循所有本集團有業務經營之司法權區的法例（包括適用的金融犯罪合規法例與規例，例如與反洗黑錢、反賄賂及反貪污相關的法例與規例）。

Where you have a Financial Markets relationship with the Group, information on the regulatory standards we adhere to and how it may affect you can be found on our website ([www.sc.com/rcs/fm](http://www.sc.com/rcs/fm)).

As the Group's ability to comply with Laws is directly linked to the conduct of our clients, we require you to comply with all applicable Laws, and conduct your business in a manner which will not place yourself or the Group in breach of all applicable Laws.

If you become aware of any breach, or any action, investigation or proceeding brought against you or your subsidiaries with respect to any breach of any applicable Law in connection with our provision of products and services to you or matter set out in this Statement, you will notify us promptly (unless prohibited by Law to do so).

#### 4. Sanctions

The Group is obliged to comply with sanctions Laws including those of the United States, European Union or any of its member states ("**Sanctions**"). Any breach of Sanctions may have a serious impact on our reputation, franchise, regulatory relationships and could impair the Group's ability to provide products and services to and enter into transactions with clients.

As the Group's ability to comply with Sanctions is directly linked to the conduct of our clients, you confirm and will ensure that (i) you and your subsidiaries are not targets or the subject of Sanctions; and (ii) no product, service or transaction (or proceeds of the same) involving a Bank Member has or will be utilised for the benefit of any person that is a target or subject of Sanctions or in any manner that would result in you or your subsidiaries or any Bank Member being in breach of any applicable Sanctions or becoming a target or subject of Sanctions. We reserve the right to not provide any product or service or process any transaction if by doing so it may cause us to breach the Group's Sanctions policy.

#### 5. Tax Information Compliance

The Group has obligations under various tax information reporting Laws (such as the Foreign Account Tax Compliance Act) to collect information from our clients, report information to Authorities and withhold tax from payments to clients in certain circumstances.

We may require you or your Data Subjects to provide documents and information for the purposes of establishing your tax status and that of your Data Subjects. You will promptly inform us of any changes to such documents and information or change in circumstances that may indicate a change in your tax status or that of your Data Subjects.

If you or your Data Subjects do not provide documents or information when we request it, we may make our own decision about your tax status and treat you accordingly.

We may be required to withhold taxes from payments made to you for onward remittance to applicable Authorities.

若閣下與本集團有金融交易市場相關業務往來，我們所需遵循之監管標準及其對閣下之影響，閣下可參閱我們網站([www.sc.com/rcs/fm](http://www.sc.com/rcs/fm))之相關資訊。

鑑於本集團遵循法例的能力直接與客戶的行為操守相關，我們需要閣下遵循所有適用法例，並以不會令閣下或本集團觸犯所有適用法例的方式經營閣下的業務。

如閣下發現與我們向閣下提供產品及服務或與本聲明所列事宜有關的任何違反、或任何對閣下或閣下的附屬公司就任何適用法例的違反所提出的訴訟、調查或法律程序，閣下將盡快通知我們（法例禁止除外）。

#### 4. 制裁

本集團有義務遵守制裁法例，包括由美國、歐盟或其任何成員國頒佈的制裁法例（「**制裁**」）。任何違反制裁均可能嚴重影響我們的聲譽、特許經營權、規管關係，並可能損害本集團提供產品與服務及與客戶訂立交易的能力。

鑑於本集團遵循制裁的能力直接與客戶的行為操守相關，閣下確認及將確保(i)閣下和閣下的附屬公司並非制裁的目標或當事人；及(ii)涉及本行成員的產品、服務或交易（或從中產生的收益）均沒有或均不會用於任何身為制裁目標或當事人之人士的利益上，或以任何可能令閣下或閣下的附屬公司或任何本行成員觸犯任何適用制裁或成為制裁目標或當事人的形式運用。我們保留不提供及不進行任何可能令我們違反本集團制裁政策的產品或服務及交易的權利。

#### 5. 稅務資料合規

本集團在多項稅務資料匯報法例（例如《外國帳戶稅務合規法》）上有義務收集我們客戶的資料，向當局匯報資料及在某些情況下從支付予客戶的款項中扣起稅項。

我們或會要求閣下或閣下的資料當事人提供文件和資料以建立閣下和閣下資料當事人的稅務狀況。閣下將盡快就任何有關文件及資料的改變或可能顯示閣下或閣下資料當事人稅務狀況出現改變的事宜通知我們。

如果閣下或閣下的資料當事人沒有應我們要求提供文件或資料，我們可能自行決定閣下的稅務狀況，並相應地處理閣下的有關事宜。

我們可能被要求在支付予閣下的款項中扣起稅項以向適用當局轉交匯款。

## 6. Client Classification

From time to time, we may request and obtain information from you and/or third-party or public sources, to determine your regulatory classifications (or that of the funds that you manage) under applicable Laws. These classifications will be notified to you and used by us to comply with our obligations including reporting, business conduct, margin and collateral, and other requirements under applicable Laws.

You will inform us immediately and in any event prior to entering into any transaction with us if any regulatory classification that we have previously notified you of or information (including contact details) that we have about you and/or the funds that you manage is known by you to be inaccurate or incomplete. Unless we receive notification otherwise, you shall be deemed to have (i) confirmed such regulatory classifications and that the information that we have about you and/or the funds that you manage is complete and accurate; and (ii) agreed and consented to the Group reporting your derivative transactions with us to any Authority (including trade repository(ies)).

## 7. Provision of Information

You agree to (or will procure that your Affiliates and Data Subjects) provide such documents and information as we may reasonably request in relation to matters covered by this Statement. You will promptly inform us of any changes to documents and information provided to us so that they are up to date, accurate and complete.

## 8. No Breach

We are not obliged to do anything or omit to do anything if by doing so it would or might cause us to breach any applicable Law.

## 9. Termination and Suspension

We may suspend a transaction or service or terminate a transaction, service or our relationship with you if (i) you breach any applicable Law or any matter set out in this Statement or (ii) by executing the transaction, providing the service or continuing our relationship with you, it will cause us to breach any applicable Law.

## 10. Product Documents

This Statement shall form part of any specific legal documentation governing a product, service or transaction that you have or may enter into with us ("Product Documents").

The relevant terms of such Product Documents will prevail to the extent they are in addition to or inconsistent with this Statement.

## 11. Language

This Statement has been written in Chinese and English. In the event of any inconsistency, the English version prevails.

## 6. 客戶分類

我們可能會不時根據適用法例向閣下和／或第三方和／或公共來源要求及索取資料，以確定閣下的規管分類（或閣下管理基金的規管分類）。我們會通知閣下有關於閣下，且該等分類將用於履行我們各項義務，包括匯報、業務操守、利潤率及擔保和其他適用法例下的要求。

如閣下知悉我們此前通知閣下的任何規管分類或我們所有有關閣下和／或閣下管理基金的資料（包括聯絡資料）不準確或不完整，閣下將即時通知我們，且在任何情況下必須在與我們達成任何交易前通知我們。除非我們收到另行通知，否則閣下應被視為已(i)確認有關規管分類及我們所有有關閣下和／或閣下管理基金的資料均為完整及準確；並(ii)同意及答應本集團向任何當局（包括貿易資料儲存庫）匯報閣下經我們辦理的衍生工具交易。

## 7. 資料提供

閣下同意（或將促使閣下的聯屬公司及資料當事人）提供我們可能合理地就本聲明涵蓋的相關事宜所要求的文件和資料。如任何已向我們提供的文件和資料有任何更改，閣下將盡快通知我們，確保文件和資料保持更新、準確及完整。

## 8. 不違反

我們無義務作出或不作出任何事宜，如有關行動會或可能令我們違反任何適用法例。

## 9. 終止或暫停

如(i)閣下違反任何適用法例或本聲明所列的任何事宜，或(ii)執行有關交易、提供有關服務或維持我們與閣下的關係可能令我們違反任何適用法例，我們可能會暫停交易或服務，或終止交易、服務或與閣下的關係。

## 10. 產品文件

本聲明構成閣下已進行或可能將與我們簽定、規管個別產品、服務或交易的的特定法律文件（「產品文件」）的一部份。

如該等產品文件的相關條款不包含在本聲明內或與本聲明出現不一致，則以該等產品文件的相關條款為準。

## 11. 語言

本聲明以中文和英文兩種語言編寫。如兩個版本出現任何不一致，則以英文版本為準。

## 12. Availability and Updates

The most current version of this Statement (including translations) is available on our website ([www.sc.com/en/rcs/](http://www.sc.com/en/rcs/)).

We reserve the right to amend this Statement from time to time and will make such updates available to you including, without limitation, by way of letter, email or on our website ([www.sc.com/en/rcs/](http://www.sc.com/en/rcs/)). These updates shall apply to our relationship going forward and automatically.

## 12. 最新版本及更新

本聲明的最新版本(包括翻譯本)均可在我們的網站瀏覽([www.sc.com/en/rcs/](http://www.sc.com/en/rcs/))。

我們保留不時修訂本聲明的權利，並會透過不同方式通知閣下有關更新，包括但不限於：信件、電郵或在我們的網站([www.sc.com/en/rcs/](http://www.sc.com/en/rcs/))上公佈。有關更新適用於我們日後的關係，並且自動生效。