

## 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 (“聲明”)

### 1. 資料披露

集團(“我們”或“我們的”)需要使用並共享資料,以便更有效地經營,包括向貴戶提供產品及服務以及提供更好的客戶服務。

本行將對貴戶提供的或與貴戶有關的資料保密,但在下列情況下,本行可能披露該等資料:(i) 給予任何渣打成員,(ii) 給予任何渣打成員的專業顧問、保險商、保險經紀人或促進集團在多個國家中的經營以及產品和服務的提供的服務供應商披露(例如經營、行政、數據處理及技術服務提供商),以上各方均須履行保密責任;或者(iii) 依照法律或任何主管機關的要求。

“關係企業”是指任何司法管轄地域內,一家公司的任何子公司、控股公司或任何該等控股公司的任何其他子公司以及(如適用)的任何代表處和分公司。

“主管機關”指任何對本行或渣打成員具有管轄權限的政府、半政府、行政、監管或監督團體或機構、法院或審裁處。

“渣打成員”是指Standard Chartered PLC(英商渣打集團)或其任何關係企業,“集團”是指所有渣打成員。

“法律”是指任何主管機關頒佈的任何法律、法例、規則、指令、命令、要求、指引、制裁、禁令和限制或與之達成的任何協議。

### 2. 隱私

在向貴戶提供產品及服務的過程中,為遵守適用的法律,本行將需要收集、持有、使用及共享貴戶的資料當事人的個人資料。

本行的隱私聲明(<https://www.sc.com/en/privacy-policy.html>)概述了集團如何處理個人資料。貴戶同意讓貴戶的資料當事人瞭解本行的隱私聲明。

“資料當事人”是指本行在本行與貴戶的銀行服務關係中收到其個人資料的所有個人,包括貴戶的直接和間接實益擁有人、董事、管理人員及被授權人。

“個人資料”是指任何與資料當事人相關的資料。

### 3. 法律合規及金融犯罪合規

集團致力於遵守其經營所在的所有司法管轄地域內的法律(包括適用的金融犯罪合規法律和法例,例如與反洗黑錢、反賄賂及反腐敗有關的法律和法例)。

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。

由於集團遵守法律的能力與本行客戶的行為直接相關，本行要求 貴戶遵守所有適用法律，並且在發展 貴戶業務時，不得致使 貴戶本身或集團違反所有適用法律。

如果 貴戶獲知任何有關本行向 貴戶提供產品和服務或本聲明中所述事宜的任何違反適用法律的行為，或針對 貴戶或 貴戶的子公司提出的任何有關違反任何適用法律的起訴、調查或訴訟，貴戶將及時通知本行（除非受法律禁止）。

#### 4. 制裁

集團有義務遵守各種制裁法律，包括美國、歐盟及其任何成員國的制裁法（“**制裁**”）。任何違反制裁的行為均可能對本行的聲譽、特許及監管關係產生嚴重的影響，並且可能損害集團向客戶提供產品及服務以及與之訂立交易的能力。

由於集團遵守制裁的能力與本行客戶的行為直接相關，貴戶確認並將確保：(i) 貴戶及 貴戶的子公司不是制裁的目標或當事人；並且 (ii) 任何涉及渣打成員的產品、服務或交易（或從中產生的收益）均未或將不會被用於任何作為制裁目標或當事人的利益上，也不會以任何方式導致 貴戶或 貴戶的子公司或任何渣打成員違反任何適用的制裁，或成為制裁的目標或當事人。如果提供任何產品或服務或處理任何交易的行為可能導致本行違反集團的制裁政策，本行保留不執行該等行為的權利。

#### 5. 稅務資料合規

依照各種稅務資料報告法律（例如《外國賬戶稅務合規法》），集團有義務向本行客戶收集資料、向主管機關報告資料以及在某些情況下從向客戶的付款中代扣稅務的義務。

本行可能要求 貴戶或 貴戶的資料當事人提供文件及資料，以便確定 貴戶以及 貴戶資料當事人的稅務狀況。如果該等文件及資料發生任何變更，或發生可能顯示 貴戶或 貴戶資料當事人的稅務狀況發生改變，貴戶將及時通知本行。

如果 貴戶或 貴戶的資料當事人未於收到本行要求時提供相關文件或資料，本行可能自行決定 貴戶的稅務狀況，並相應地予以處理。

本行可能被要求從向 貴戶的付款中代扣稅款，並轉交適用的主管機關。

## 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

本行可能不時依照適用的法律向 貴戶以及/或者第三方或公共來源要求並獲取資料，以確定 貴戶（或 貴戶管理的基金）的監管分類。貴戶將被告知該等分類，而本行將使用該等分類，以履行本行的義務，包括報告、商業操守、利潤率及抵押物以及適用法律中的其他要求。

如果 貴戶獲知本行之前通知貴戶的任何監管分類或本行持有的與 貴戶以及/或者 貴戶管理的基金相關的資料（包括聯絡詳情）不準確或不完整，貴戶應立即通知本行，且在任何情況下，必須於 貴戶與本行訂立任何交易之前通知。除非本行另行獲得通知，否則 貴戶應被視為 (i) 已確認該等監管分類，並且確認本行持有的與 貴戶以及/或者 貴戶管理的基金相關的資料完整準確；並且 (ii) 已同意並認可集團向任何主管機關（包括貿易資料庫）報告 貴戶與本行發生的衍生交易。

## 7. 資料提供

貴戶同意（或將確保 貴戶的關係企業及資料當事人）提供本行可能合理要求的與本聲明所述事宜相關的文件及資料。如 貴戶向本行提供的文件及資料發生任何變更，貴戶需及時通知本行，以確保該等文件及資料最新、準確及完整。

## 8. 不得違規

如本行的任何作為或不作為將會或可能導致本行違反任何適用的法律，則本行沒有義務作出該作為或不作為。

## 9. 終止與暫停

如發生下列情況，本行可以暫停交易或服務，或者終止交易、服務或本行與 貴戶的關係：(i) 貴戶違反任何適用的法律或本聲明中列出的任何事宜；或者 (ii) 執行交易、提供服務或繼續本行與 貴戶的關係將導致本行違反任何適用的法律。

## 10. 產品文件

本聲明將構成任何 貴戶已經或可能與本行訂立的，管轄產品、服務或交易的特定法律文件（“產品文件”）的一部分。

如該等產品文件的相關條款附加於本聲明之上或與本聲明不一致，則以該等條款為準。

## 11. 語言

本聲明具備中文及英文版本。如發生任何不一致，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)可在本行的網站瀏覽([www.sc.com/en/rcs/](http://www.sc.com/en/rcs/))。

本行保留不時修訂本聲明的權利，並且將向 貴戶提供有關更新內容，包括但不限於透過信件、電子郵件或本行網站([www.sc.com/en/rcs/](http://www.sc.com/en/rcs/))的方式。該等更新應自動適用於 貴戶與本行日後的關係。