



(Note: This English translation is provided for reference only and might not exactly reflect the true meaning and full text of the original language. In the event of discrepancy, the Chinese version of the Letter should prevail.)

## **Letter of Advice/Consent on Collecting, Processing and Using Personal Data of the Candidate/Employee**

HSBC Bank (Taiwan) Limited, The Hongkong and Shanghai Banking Corporation Limited, Taipei Branch, HSBC Securities (Taiwan) Corporation Limited, and HSBC Global Asset Management (Taiwan) Limited, (hereinafter referred to as "HSBC"), for the purpose of (1) establishing the data base for the candidates' basic information, (2) meeting the needs of human resource administration (including but not limited to the purposes of the administration research, statistical investigation and analysis, and risk control for the information/data base management), (3) fulfilling the purposes stated in the Appendix 1 herein, or any others permitted by laws, (4) providing the personal data collected to the objects identified in third Clause herein for the purposes permitted by laws, and (5) engaging third parties to process the relevant affairs (including but not limited to the data process, preservation and analysis) to gather, conduct processing, utilize and conduct international transmission of your personal, corresponding and transaction data (please see second Clause herein for details) and is advising you of the following contents for your perusal in accordance with Personal Data Protection Act:

1. Specific purposes for collection of personal data:

According to the "The Purposes Specified in Personal Data Protection Act and Category of Personal Data" promulgated by Ministry of Justice, HSBC collects your personal data for the specific purposes as Appendix 1.

2. Category of personal data:

It is subject to the personal data that is actually collected by HSBC. HSBC collects your personal data directly from you or other third parties based on the various needs, and the data is categorized into ten types as the following according to the "The Purposes Specified in Personal Data Protection Act and Category of Personal Data" promulgated by Ministry of Justice:

- (1) Identification C001 to C003 (e.g., name, telephone number, address, bank account number or credit card number, and ID No., etc.)
- (2) Characteristics C011 to C013 (e.g., your age, gender, and date of birth)
- (3) Family status C021, C023, C024 (e.g., your marital status, family member and name of spouse)
- (4) Societal status C033 to C035 and C37 to C041 (e.g., your work permit, residence certificate, courts, prosecutors offices or other trial authorities or other procedures)
- (5) Education, examination, technique or other expertise C051 to C057 (e.g., your academic degree, school of graduation, expertise, examination/training and the result)
- (6) Employment C061 to C066, C068, and C070 to C072 (e.g., your employer, job title, salary, working experience, working performance evaluation, training record)
- (7) Financial information C081, C083, C084, C086, C087 (e.g., your total revenue, total income, credit rating, loan balance, paper credit and allowance)
- (8) Business information C103 (e.g., your licenses)
- (9) Health and others C111, C113 to C116 (e.g., your treatment and diagnostic record, health examination and criminal records)
- (10) Other information C131 to C132 (e.g., unclassified emails)

3. Period, area, objects and method of use for personal data:
  - (1) Period: The existence period of the specific purposes, the data retention period required by applicable laws and regulations (e.g., Money Laundering Control Act, Business Accounting Act, etc.), or set by HSBC due to business operation needs, or agreed in the respective contract, or HSBC's internal policies. (the longest period shall prevail)
  - (2) Area: Local and foreign locations of the following objects.
  - (3) Objects: HSBC, Trust Association, Securities Investment Trust & Consulting Association, Stock Exchange Corporation, Taipei Exchange, Taiwan Future Exchange, Taiwan Depository & Clearing Corporation, Securities Association, Financial Ombudsman Institution, any third parties entering into cooperative or mandatory relationship with HSBC (including, but not limited to the CPA firms, insurance agent enterprises, group insurance companies and institutions commissioned to engage in market survey), host units for the prizes, receivers of personal data internationally transmitted who are not restricted by the central industrial competent authorities, other institutions(including but not limited to insurance enterprises ) trading with, having business contact or cooperating with HSBC with the needs to collect, process, use, and internationally transmit the personal data, competent authorities, financial supervisory authorities, parties wishing to acquire from or assign to HSBC any assets and liabilities, assume risk or proceed with merger (if any), HSBC's parent company, The Hong Kong and Shanghai Banking Corporation Limited, HSBC Holdings PLC and all its subsidiaries and affiliates thereof (hereinafter referred to as "HSBC Group Members" collectively) and the entity(s)/person(s) mandated by any of HSBC Group Members, and any competent authorities, judicial or other governmental bodies which have jurisdiction over HSBC and HSBC Group Members in the R.O.C., the United Kingdom, Hong Kong and any other places.
  - (4) Method of use: By automated machine or any other non-automated means.
4. According to Article 3 of Personal Data Protection Act, you may exercise the following rights against HSBC with respect to your personal data held by HSBC:
  - (1) Inquire or request to review or reproduce your personal data. HSBC shall, pursuant to laws, charge the necessary cost and expense;
  - (2) Request HSBC to supplement or correct your personal data. You shall exercise it with reasonable explanation in accordance with laws;
  - (3) Request HSBC to stop collection, processing or using, or to delete your personal data. However, HSBC may disregard the request if such data is mandated to execute relevant processes or your written consent for such collection, processing or using of personal data has been obtained.

If you wish to exercise aforesaid rights, you may make the request in writing via HSBC HR department and HSBC HR department will, pursuant to laws and regulations, proceed with it per your request.

5. You may choose to provide your personal data in your sole discretion:



You may choose to provide your personal data in your sole discretion. Provided that you refuse to provide your personal data, it may cause HSBC not able to verify the accuracy of your personal data and the suitability for the position you seek so that you may not find the appropriate position and/or you may not be able to receive full HSBC HR services.

6. You agree that upon becoming an employee of HSBC, HSBC may continue collecting, processing and using your personal data during your employment period (as stated in second Clause herein). HSBC is entitled to amend the advice and to notify you of the outlined amendments and designated webpage, verbally, in writing, or via telephone, SMS, email, fax, e-document, and website, or in any other manners sufficient to enable you to know or perceive the amendments (including, but not limited to, providing the access to any website disclosing the details of advice in aforesaid manners). Please peruse the content on the designated webpage accordingly then.
7. In case of any inconsistency between the terms and conditions contained in the employment contract or instrument entered into between you and HSBC previously with respect to collection, processing, using and international transmission of personal data and the "Letter of Advice/Consent on Collecting, Processing and Using Personal Data", this letter shall prevail.

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#### Appendix 1: Specific Purposes for Collection of Personal Data

With reference to the "The Purposes Specified in Personal Data Protection Act and Category of Personal Data" promulgated by Ministry of Justice, HSBC collects your personal data for the following specific purposes:

©001Life insurance ©002Human resource management (e.g., selection, leaving office, basic information of the belonged employees, current position, academic/working record, examination/assignment, long term study/training/further education, merits/rewards and penalties, reviewing, salary treatment, attendance, benefit measurements, deprivation of rights, special check or other human resource measurements) ©003 Exist/entrance and immigration ©031 National health insurance, labor insurance or other social insurance matters ©059 Collecting, processing and using by financial service institution pursuant to laws and per the needs of financial supervision ©061 Financial supervision, management and examination ©065 Insurance managing, agency and notary business ©114 Labor administration ©118 Intelligence property, disc management and other related administration ©136 Management of information/communication and database ©145 Hiring and service management ©150 Supplementary and logistic supporting management ©157 Survey, statistic and research analysis ©168 Passport, visa and certificate processing ©069 Contract, similar of contract or other legal relations ©Internal control ©Handling outsourcing operation ©Outsourcing human resource management

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To: HSBC Bank (Taiwan) Limited

The Hongkong and Shanghai Banking Corporation Limited, Taipei Branch

HSBC Securities (Taiwan) Corporation Limited

HSBC Global Asset Management (Taiwan) Limited)

I have been advised by HSBC of above "Letter of Advice/Consent on Collecting, Processing, and Using



Personal Data" with clear understanding and agree HSBC to collect, process and use my personal data (including sensitive personal data as defined in Article 6 of Personal Data Protection Act).

I represent and warrant that in case of providing the personal data of my emergency contact person, family member, reference person (e.g., supervisor at former company) and referee (hereinafter referred to as "Related Persons" collectively) to HSBC, I have advised the Related Persons of above "Letter of Advice/Consent on Collecting, Processing, and Using Personal Data" and obtained their consents to enable HSBC to collect, process, use and internationally transmit their personal data in accordance with Personal Data Protection Act and the relevant laws.

The Undersigned: \_\_\_\_\_

Date: \_\_\_\_\_ Year \_\_\_\_\_ Month \_\_\_\_\_ Day