

HSBC Notice to Employees and Job Applicants Relating to the Privacy Act 1993 (the “Act”)

Collection of Data

- (a) It is necessary for job applicants of any member of the HSBC Group, wherever situated, to supply the HSBC Group with certain personal data in connection with their application. (“**HSBC Group**” means HSBC Holdings plc, The Hongkong and Shanghai Banking Corporation Limited, and each of their subsidiaries, holding companies, branches, representative offices and their affiliates (collectively “we”, “us”, “our”, including our successors and assigns).)
- (b) If your application for employment is successful, your personal data collected in connection with such application will be retained by the HSBC Group and form part of your employee records. Further personal data may also be collected from you during your employment with the HSBC Group.
- (c) Data may be collected from you directly, from someone acting on your behalf or from another source, and combined with other data available to members of the HSBC Group.
- (d) If the data requested by us is not provided, we will be unable to process your employment application, or we may be unable to allow the employment to continue or provide certain employee benefits.

Use of Data

- (e) We will use data for the following purposes or any of them (which may vary depending on the nature of your relationship with us):-
 - (i) considering and processing your present and/or future employment application(s) including pre-employment checks and background screening/vetting;
 - (ii) conducting employment checks whenever appropriate during employment;
 - (iii) assisting with applications for work permits and licences;
 - (iv) determining and reviewing salaries, incentives, bonuses and other benefits;
 - (v) considering and administering appraisals, promotions, training, secondments, assignments or transfers;
 - (vi) considering eligibility for and administration of staff loans, health benefits, retirement benefits and other benefits and entitlements;
 - (vii) providing the name, title, office telephone number, and other business contact details in the ordinary course of our business;
 - (viii) assessing the demographics of the employee population;
 - (ix) providing employee references;
 - (x) monitoring and administering compliance with our internal rules;
 - (xi) meeting obligations, requirements or arrangements of any member of the HSBC Group, whether compulsory or voluntary, to comply with or in connection with:
 - (1) any law, regulation, judgment, court order, voluntary code, sanctions regime, within or outside the New Zealand existing currently and in the future (“**Laws**”);

- (2) any guidelines, guidance or requests given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers within or outside New Zealand existing currently and in the future and any international guidance, internal policies or procedures;
- (3) any present or future contractual or other commitment with local or foreign legal, regulatory, judicial, administrative, public or law enforcement body, or governmental, tax, revenue, monetary, securities or futures exchange, court, central bank or other authorities, or self-regulatory or industry bodies or associations of financial service providers or any of their agents with jurisdiction over all or any part of the HSBC Group (together the “**Authorities**” and each an “**Authority**”) that is assumed by, imposed on or applicable to any member of the HSBC Group; or
- (4) any agreement or treaty between Authorities;
- (xii) complying with any obligations, requirements, policies, procedures, measures or arrangements for sharing data and information within the HSBC Group and/or any other use of data and information in accordance with any programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities;
- (xiii) conducting any action to meet obligations of any member of the HSBC Group to comply with Laws or international guidance or regulatory requests relating to or in connection with the detection, investigation and prevention of money laundering, terrorist financing, bribery, corruption, tax evasion, fraud, evasion of economic or trade sanctions and/or any acts or attempts to circumvent or violate any Laws relating to these matters;
- (xiv) meeting any obligations of any member of the HSBC Group to comply with any demand or request from the Authorities;
- (xv) administering any other human resources related matters;
- (xvi) dealing with matters concerning your personal health and safety; and
- (xvii) purposes relating thereto.

Disclosure of Data

- (f) Data held by us or a member of the HSBC Group will be kept confidential but we or a member of the HSBC Group may provide data to the following parties or any of them (whether within or outside New Zealand) for the purposes set out in paragraph (e) above:-
 - (i) any member of the HSBC Group;
 - (ii) any agents, contractors, sub-contractors, insurers/insurance brokers, professional advisers or associates of the HSBC Group (including their employees, officers, agents, contractors, sub-contractors, service providers and professional advisers);
 - (iii) any third party service providers (including their employees and officers) who provide services to any member of the HSBC Group in connection with the operation or maintenance of our business (including but not limited to performance of pre-employment or background check, provision or administration of benefits and services entitled by employees, and share scheme administration);
 - (iv) any Authorities;

- (v) any persons under a duty of confidentiality to us which have undertaken to keep such data confidential;
- (vi) any persons seeking employee references in respect of employees;
- (vii) any persons to whom we are under an obligation or required or expected to make disclosure for the purposes set out in, or in connection with, paragraph (e)(xi), (e)(xii) or (e)(xiii) above;
- (viii) any actual or proposed purchaser(s) of all or part of our business or, in the case of any merger, acquisition or other public offering, the purchaser(s) or subscriber(s) for our shares; and
- (ix) any of your emergency contacts.

Such data may be transferred in and to a place outside New Zealand.

Provision of Another Person's Data

- (g) Where you provide to us data about another person, you are representing to us that you have been authorised by that person to do so. You should also give to that person a copy of this Notice and, in particular, tell him/her how we may use his/her data.

Data Access Requests

- (h) You have the right:-
 - (i) to check whether we hold data about you and to access such data;
 - (ii) to require us to correct any data relating to you which is inaccurate; and
 - (iii) to ascertain our policies and practices in relation to data and to be informed of the kind of data held by us.

- (i) Nothing in this Notice shall limit your rights as a data subject under the Act.

Human Resources New Zealand
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