



# Privacy Statement for Client Data Sharing in Relation to the Guidelines for Information Sharing Among Financial Institutions

To increase client's ("you", or "your") convenience, enhance risk control and facilitate trans-entities cooperation among affiliates and cooperated financial institutions (if applicable), upon establishing internal control rules and adopting appropriate information security measures, UBS AG, Taipei Branch, Taichung Branch, Kaohsiung Branch and OBU ("UBS") and UBS Securities Pte. Ltd., Taipei Branch ("UBS Securities") (UBS and UBS Securities, collectively as "we", "our", or "us") collect, process, and use your personal data. We share client data in accordance with the "Personal Data Protection Act", "Guidelines for Information Sharing Among Financial Institutions" and other relevant regulations. UBS and UBS Securities hereby stipulate and announce the privacy statement for client data sharing (the "Privacy Statement") as follows:

## 1 Participating entities for client data sharing

UBS AG, Taipei Branch, Taichung Branch, Kaohsiung Branch and OBU and UBS Securities Pte. Ltd., Taipei Branch.

## 2 Scope of Client Data Sharing

Upon obtaining the client's consent, the types of personal data that can be shared among UBS, UBS Securities, and cooperated financial institutions (if applicable) include but are not limited to client's basic information, identification information, account information, trading records of financial products or services, negative information, KYC data and value-added data from financial institutions, electronic communication trace (e.g. IP address) and other shared data agreed between the client and the cooperated financial institutions.

## 3 Purposes of Client Data Sharing

To increase client's convenience, enhance risk control and facilitate trans-entities cooperation, UBS and UBS Securities manage client data sharing in accordance with respective financial laws, the "Personal Data Protection Act", "Regulations Governing Internal Audit and Internal Control System of Anti-Money Laundering and Countering Terrorism Financing of Banks and Other Financial Institutions Designated by the Financial Supervisory Commission", "Regulations Governing Internal Audit and Internal Control System of Anti-Money Laundering and Countering Terrorism Financing of Securities and Futures Business and Other Financial Institutions Designated by the Financial Supervisory Commission" and "Guidelines for Information Sharing Among Financial Institutions".

## 4 Client Data Protection Measures

We adopt appropriate security measures to protect client data, including but not limited to the following measures:

- (1) To ensure the security of the information system and data transmission of client's personal data, we adopt TLS 1.2 (at minimum) mechanism to encrypt data transmissions and installed firewalls to block illegal intrusions in order to guard your personal information against illegal access. In addition, multi-factor authentication and biometric access for information system, appropriate management policies on the utilization, maintenance, staff access of database and the management of the reports generated by the database will be applied to reinforce the security of data transmission, data storage, and application of data.



- (2) In order to protect client data under emergencies or natural disasters, we adopt physical security measures, such as access control, security system and client data storage backed up in a third place.
- (3) The internal control rules stipulate the management procedures and protection principles for client data collection, process and use. The purposes of sharing data, strengthening the client data protection mechanism, employee authorization, eligibility of related employees, internal audit and layered responsibility mechanism, handling process for events that have a significant impact on customer's interest, internal standard procedures for complaints and processing are all conducted in accordance with relevant regulations such as "Guidelines for Information Sharing Among Financial Institutions", "Personal Data Protection Act" and "Security and Maintenance Plan for the Protection of Personal Data Files in Non-government Agencies Designated by the Financial Supervisory Commission".

## **5 Protection Measures of Client's Interests**

If you have any questions or related disputes occurs regarding the above measures, please contact us at 02-87227888 (UBS) or 02-87227200 (UBS Securities). Unless the laws provide otherwise, you may request us:

- (1) to make an inquiry of and to review your personal data; to request a copy of your personal data for which we may charge a reasonable fee in accordance with the laws;
- (2) to supplement or correct your personal data provided that you shall provide appropriate explanation;
- (3) to demand the cessation of the collection, processing, or use of your personal data and to erase your personal data, except those personal data which are marked with dispute related and hence required for our business operation, or which you have agreed in written form as exceptions;
- (4) to withdraw the consent of data collection, process or use; and
- (5) to decline or stop personal data processing or use for the purpose of marketing.

To increase client's convenience, enhance risk control and facilitate trans-entities cooperation, UBS and UBS Securities use and share client data, and protect client's interests in accordance with respective financial laws, the "Personal Data Protection Act", "Regulations Governing Internal Audit and Internal Control System of Anti-Money Laundering and Countering Terrorism Financing of Banks and Other Financial Institutions Designated by the Financial Supervisory Commission", "Regulations Governing Internal Audit and Internal Control System of Anti-Money Laundering and Countering Terrorism Financing of Securities and Futures Business and Other Financial Institutions Designated by the Financial Supervisory Commission" and "Guidelines for Information Sharing Among Financial Institutions". In addition to this Privacy Statement, the disclosure of the above related measures shall be reviewed concurrently with UBS' Master Relationship Agreement, the Notification of Collecting, Processing and Using Personal Data by UBS and UBS Securities' Master Relationship Agreement for Taiwan and Foreign Securities in which the specific purposes for personal data collection, process or use, the data categories, the period, regions, recipients, and methods of which the personal data is used and the client's rights under the Personal Data Protection Act, are specified.

## **6 Amendment on the Privacy Statement for Client Data Sharing**

We will amend this Privacy Statement anytime as necessary. If cooperated financial institutions or data sharing purposes change, we will timely update this Privacy Statement without notifying the client individually. You are advised to check the updated Privacy Statement and related information on our website from time to time to protect your interests.