

## Consent to Provision of Financial Transaction Information

1. Customer who consents hereto (the "Customer")

Name:

Address:

**Identification No.**

Investment Registration Certificate no.: \_\_\_\_\_

OR

Business Registration no.: \_\_\_\_\_

2. Financial Institution that will provide the Transaction Information:

The Hongkong and Shanghai Banking Corporation Limited

3. Details and Scope of Transaction Information to be provided:

Information on the Customer and financial transactions involving cash, deposit, trust, securities, listed derivatives, OTC derivatives or other financial assets effectuated by the Customer (including foreign exchange, loan transactions, transactions relating to dealing and brokerage service, trustee service, mergers and acquisitions advisory service, corporate finance service, etc.) ("Transaction Information").

4. Persons or Institutions to which Transaction Information will be Provided & Purpose of the Provision:

- a) Any domestic and overseas head offices, branches, subsidiaries or affiliates of the financial institution as identified in 2 above (collectively, the "Affiliate"), any domestic and overseas regulatory authorities, courts and law enforcement agencies, and institutions (including tax authority, exchanges and trade repositories such as Korea Exchange, etc.) designated by any domestic or overseas authority or under any domestic or overseas laws, etc. for such purposes as reporting, approval, audit, inspection, supervision, financial management (including accounting and tax, etc.), risk management, or prevention of financial crimes such as anti-money laundering, etc. (including "Know-Your-Customer check"), internal control (including compliance), consulting about new product development, business processing related to internal discussion or consulting for customer service, business processing or support for back office (human resources, planning, general affairs, management support, management analysis, product related development, IT, settlement, legal, etc.), compliance with domestic and overseas laws and regulations and subpoena, request, requirement and order thereunder, and other cooperation for dispute resolution proceedings, etc.; and
- b) The Affiliates with whom such financial institution works together for performance of joint business activities (including dealing, underwriting, brokerage, intermediation, referral, arrangement, agency or advisory service, etc. in relation to mergers and acquisitions advisory, corporate finance, dealing and brokerage of financial investment instruments or loans, identification of potential demands and provision of market trend information, identification of transaction counterparties or investors, provision of hedging transaction, and allocation of the performance and/or the profit generated after the provision of funding and/or the joint business activities, etc.) under the relevant laws (including the Financial Investment Services and Capital Markets Act and any rules or internal control standard thereunder).

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## Consent to Provision of Financial Transaction Information (cont)

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5. Effective Period:

- This consent shall be valid for one year until such financial institution receives from the Customer consenting hereto a written revocation of such consent by mail or email. Provided, however, that if the financial institution notifies the Customer each year that the Customer may revoke the consent by mail or email in case the Customer does not consent to the provision of financial transaction information pursuant to this consent, the effective period of this consent shall be automatically extended by one year at the end of each one year period.
- The Customer hereby requests and agrees that the financial institution as identified in 2 above shall send, by mail or email, an annual written notice to the Customer to notify the Customer of provision of the financial transaction information of the Customer to third parties pursuant to this consent.

6. Right to refuse to give consent and disadvantage the Customer possibly could face if the Customer refuses to give consent.

The Customer may refuse this consent. However, as the provision of the aforementioned Transaction Information is prerequisite for the Customer to execute or implement financial transactions with the financial institution, thus, without the consent pursuant to this consent form, it is not possible for the Customer to establish and maintain financial relationship with the financial institution.

Pursuant to Article 4 of Act on Real Name Financial Transactions and Confidentiality and Article 8 of the Enforcement Decree of the same Act, I/we hereby consent to your provision of any information or data regarding my/our financial transactions as prescribed above.

Date: \_\_\_\_\_

Consented by: \_\_\_\_\_ *(Registered seal or signature)*

Name: \_\_\_\_\_

Title: \_\_\_\_\_