



To: Deutsche Bank AG, Hong Kong Branch / Deutsche Asset Management (HK) Ltd\*

### CONFIDENTIALITY UNDERTAKING

<i>Last Name, First Name</i>	<i>Department / Division</i>

I understand that whilst working at **Deutsche Bank AG, HK Branch / Deutsche Asset Management (HK) Ltd\*** ("the Bank"), I may acquire information which is regarded as confidential to the Bank and which must not be divulged at any time to a third party.

In consideration of my period of employment to the Bank I hereby agree with and declare to the Bank as follows:

#### DECLARATION

I understand the importance attached by the Bank to the confidentiality and secrecy and to the protection of its proprietary information and information relating to its clients and counterparties. I agree and undertake not to, in any circumstances, use or disclose to any third party any information which relates to the Bank or its business, its employees, its clients and counterparties, its associates, its plans, its circumstances or its intentions. I accept that I shall continue to be bound by this declaration notwithstanding the termination of my assignment to the Bank.

I am aware that electronic information is crucial to the Bank. I should only attempt to access the information and services I need in order to carry out my duties and for which I am authorised. The Bank will hold me accountable for actions carried out on computer systems using my User Identification. I should, therefore, keep the associated password confidential and change it regularly to prevent it from becoming known to others. I undertake never to use someone else's User Identification and password or allow anyone to use mine.

I am also aware of the banking secrecy obligations which apply to the Bank and to me, and I undertake to strictly observe them. I shall not give out, divulge or reveal any information whatsoever regarding the accounts of any customer of the Bank unless required to do so by the Bank and permitted to do so under applicable laws.

In addition, I am aware that if I have information gained deliberately or by accident from my work at the Bank which could be described as "inside information" with respect to a particular company and thereafter deal in the securities of that company or advise another person to deal in those securities, I may be considered as having undertaken insider dealing, as defined by the relevant insider dealing prevention legislation.

I understand that if I have any questions regarding the application of the above Declaration, I should raise them with the Bank's Compliance Department.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Place & Date

\_\_\_\_\_  
HKID / Passport Number

\* delete as appropriate



## Compliance Department

### **COMPLIANCE UNDERTAKING FOR PERSONAL ACCOUNT DEALING**

#### **For All Staff**

I understand and agree that all securities transactions in my personal accounts (including all purchases and sales of securities and applications for initial public offerings) and for connected parties must be approved by Compliance prior to placing the order with the broker.

**Additional approval for staff employed in Private Wealth Management, Global Transaction Banking, Corporate Finance, Research, Global Markets Equities, Legal, Compliance and Credit Risk Management.**

I understand and agree that I must also obtain prior management approval for my personal account dealing.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Location/Department

**You are requested to sign the Undertaking and return it to Human Resources Department on the date you join Deutsche Bank. The Undertaking will be kept as a record by the Compliance Department.**

**REMARKS: IN ADDITION TO THE ABOVE UNDERTAKING, YOU WILL BE REQUIRED TO SIGN THE AUTOMATED ELECTRONIC UNDERTAKING CONFIRMING THAT YOU WILL OBSERVE AND COMPLY WITH ALL RELEVANT POLICIES & PROCEDURES AS SET OUT IN THE COMPLIANCE MANUAL.**



## Compliance Department

### IMPORTANT NOTICE

**Unless you are informed by Compliance that you are duly registered to conduct the regulated activity (as defined under Schedule 5 of the Securities and Futures Ordinance), you should not conduct any regulated activity which you have not been registered for.** Failure to comply with these requirements is serious and the consequences can be severe with the individual being subject to reprimand / suspension by the regulator. Such acts are also against the Bank's policy and guideline which may lead to internal disciplinary action, including but not limited to the termination of your employment.

We have set out below the activities which you are prohibited from carrying out without being licensed / registered as well as those you are permitted to carry on pre-registration. Please note that the list is by no means exhaustive and you should contact Compliance whenever you have any doubt.

#### **A - Activities you are prohibited from carrying on without a license / registration**

- Any dealing/trading with external clients/counterparties/exchanges (local and/or overseas).
- Introducing/inducing external clients/counterparties (local and/or overseas) to trade with Deutsche Bank.
- Writing investment-related articles.
- Engaging in market making, liquidity provision and basket trading activities.
- Providing price quotes to external clients/counterparties (local and/or overseas).
- Marketing and promoting products and services.
- Developing business relationships with clients/counterparties (local and/or overseas).
- Executing or forwarding trade orders initiating from various trading desks.
- Advising clients, including email or verbal communications.
- Publication of research reports.
- Schedule 5 of the SFO

To avoid any doubts, you should observe the following **during the period pending for registration:**

- **NO contact with prospective client(s), external dealer(s) / broker(s), whether by physical meeting, telephone, fax, or email or any other forms**
- **NO business trip for undertaking any activities listed in A above**
- **NO access to trading systems**

#### **B - Activities you may carry on pre-registration**

- Supporting an internal licensed marketer/trader/analyst with no contact with external client/counterparties.
- Giving proprietary orders through registered/licensed brokers, where applicable.
- Dealing with (but not advising) professional investors for the proprietary trading books of any Deutsche Bank entities (local and/or overseas), where applicable.
- Development of new products (internally).
- Co-ordinating or performing work of an administrative nature.

**Apart from the above, your reporting manager must not instruct or allow you to perform any regulated activity without proper registration and notification from Compliance.**

Should you have any questions or doubts, please consult Compliance (Licensing and Registration Team at 2203-6431).

I understand my employment with Deutsche Bank is subject to my observance of the compliance guidelines, including those as stipulated above. I also understand that if I have any questions regarding the above guidelines, I should raise them with the Bank's Compliance Department.

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

Date: