

## Power of Attorney to Securities Investment Trust/Consulting Enterprises for Inquiry by Employees and their Spouses about Securities Account Opening and Trading Data

(With the Notification and Letter of Consent in Regard to the Collection, Processing and Use of Personal Information)

To: Taiwan Stock Exchange Corporation

I hereby appoint \_\_\_\_\_ Securities Investment Trust/Consulting Co., Ltd. (☐ on behalf of my spouse, \_\_\_\_\_, a person subject to an order of the commencement of guardianship) to inquire about the client's personal information such as account opening, brokerage and trading data at the centralized stock exchange market for an unlimited number of times as necessary for its business operation during the period from [ mm/dd/yyyy ] to [ mm/dd/yyyy ].

Date:

Client (or Person Subject to an Order of the Commencement of Guardianship)	<div style="border: 1px solid black; height: 40px; margin: 0 auto; width: 80%;"></div> <small>(Please sign or seal)</small>	<p style="text-align: center;">Attach a photocopy of the front of the Client's identification (or R.O.C. passport with Overseas Chinese Identity Endorsement, Overseas Chinese Identity Certificate, Alien Resident Certificate, foreign passport, Mainland Chinese Entry and Exit Permit, or identification issued by an overseas mission) here</p> <p style="text-align: center;">(To submit a household registry with notes made etc., please attach a photocopy to this application)</p>
I.D. No. (Foreign Investor Code No. or Exit & Entry Permit No.)	<div style="border: 1px solid black; height: 40px; margin: 0 auto; width: 80%;"></div>	
TEL	<div style="border: 1px solid black; height: 40px; margin: 0 auto; width: 80%;"></div>	
Client Address	<div style="display: flex; justify-content: space-between;"> <span>City/County</span> <span>Village</span> </div> <div style="display: flex; justify-content: space-between;"> <span>(Town, Administrative City,</span> <span>District)</span> <span>Cun/Li</span> <span>Lin</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Road/Street</span> <span>Section</span> <span>Lane</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Alley</span> <span>No.</span> <span>-</span> <span>F</span> </div>	
Guardian	<div style="border: 1px solid black; height: 40px; margin: 0 auto; width: 80%;"></div> <small>(Please sign or seal)</small>	<p style="text-align: center;">Attach a photocopy of the front of the guardian's identification (or R.O.C. passport with Overseas Chinese Identity Endorsement, Overseas Chinese Identity Certificate, Alien Resident Certificate, foreign passport, Mainland Chinese Entry and Exit Permit, or identification issued by an overseas mission) here</p>
I.D. No.	<div style="border: 1px solid black; height: 40px; margin: 0 auto; width: 80%;"></div>	

TEL		(Identification of a guardian of a person subject to an order of the commencement of guardianship include the court's civil rulings and civil ruling confirmation, a photocopy of each of which is to be attached to this application)
Guardian Address	City/County      Village (Town, Administrative City, District)      Cun/Li      Lin Road/Street      Section      Lane Alley      No.      -      F	
Notes: 1. In the event the Client terminates the appointment of the Trustee, please reclaim the original of the Power of Attorney from the Client. 2. The appointed SITE/SICE shall assign persons (limited to employees on active duty of the Client) to make inquiries at the Taiwan Stock Exchange Corporation. 3. After verification of an original, please affix the "this is a true copy of the original" stamp to the photocopy. 4. In case of change of the last name, first name, or whole name, a photocopy of the household registry recording the change or of the certificate of name change record shall be included, and attached to the Power of Attorney. 5. If the inquiries are made by an employee on behalf of a spouse being a person subject to an order for the commencement of guardianship, please check <input type="checkbox"/> above and provide the custody documents. 6. When processing the inquiry, the Taiwan Stock Exchange Corporation may contact to verify if the Client has appointed the SITE/SICE to make the inquiry (as below).		(Corporate seal and representative's personal seal)
Notification For TWSE use only	TWSE staff:	
Time of notification:		
Verify if the request is true: Yes <input type="checkbox"/> No <input type="checkbox"/> : Describe the reason:		

## **Notification and Letter of Consent in Regard to the Collection, Processing and Use of Personal Information (for Client)**

For the purposes of handling “requests for and requests to review and make copies of the personal data of a data subject,” Taiwan Stock Exchange Corporation (hereinafter We, Us, Our, or [the “TWSE”]) needs to collect, process, and use your personal data. To protect your legitimate rights and interests, please read the following carefully (the purpose of collection and classification of personal data below are governed by the specific purposes and classification of personal data set forth in the Personal Data Protection Act announced by the Ministry of Justice):

1. Purpose of collection: 166 “Securities, futures, securities investment trusts and consultants related business.” We collect personal data to handle procedures pertaining to, and to respond to, your exercise of personal data rights such as the right to make an inquiry, the right to review, and the right to request a copy etc.

2. Classification of personal data

Personal data We collect includes:

- (1)C001 Type for identifying individuals: name, address, telephone number, or foreign investor code number
- (2)C003 Type for identifying in government data: I.D. card number, Alien Residence Certificate number, passport number, or Mainland Chinese Entry and Exit Permit number
- (3)C011 Personal description: gender, date of birth, nationality
- (4)C021 Family: name of spouse
- (5)C033 Immigration: R.O.C. passport with Overseas Chinese Identity Endorsement, Overseas Chinese Identity Certificate, or identification issued by an overseas mission.
- (6)C034 Travel and other migration: Alien Resident Certificate, foreign passport, or Mainland Chinese Entry and Exit Permit
- (7)C041 Courts, the Public Prosecutor's Office or other trial-related authorities and procedures: civil court rulings, civil ruling confirmations etc.

3. Time period, area, target and way of the use of personal data

- (1)Time period: Data of this application will be deleted three years from the date of Our response to your application.
- (2)Area: Internal transmission within the territory of the R.O.C. and as required by laws and regulations
- (3)Target: the personal data will be used by Us or furnished in accordance with laws and regulations to the our competent authority or other third persons.
- (4)Way: We will collect, process, and use your personal data digitally or in paper form

4. Rights of the data subject and way of exercising the rights:

You may exercise your data subject rights in personal data online, by telephone or in person at the TWSE, including the right to:

- (1)make an inquiry and to review;
- (2)request a copy;
- (3)supplement or correct;
- (4)demand the cessation of collection, processing or use; and
- (5)erase.

However, erasure is not required if the collection, processing or use is necessary for the performance of a business duty, the specific purpose no longer exists, or the retention period has not expired. If necessary, you may call Our investor service at TEL: 02-27928188.

5. Impact of the data subject’s refusal to provide personal data: You must provide the above personal data to Us for the aforementioned specific purpose. We may be unable to offer the above information request service to you should you be unable or fail to so provide.

6. Others:

This notification is effective with regard to requests to the TWSE to review account opening and trading data by persons authorized by the Trustee (i.e. the staff responsible for the matter). The Trustee may submit an unlimited

number of requests to the TWSE on a regular or random basis.

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To the extent of business consistent with the above specific purposes for collection, I hereby agree that the TWSE may collect, process and use my personal information. After being notified of the above by the TWSE, I clearly understand the content of collection, processing and use of my personal information by the TWSE. I agree the Trustee may further authorize persons it designates (i.e. staff responsible for the matter) to make requests to the TWSE for review of securities account opening and trading data. I further agree the Trustee may submit an unlimited number of requests to the TWSE as necessary for its business operation on a regular or random basis during the period from [ *mm/dd/yyyy* ] to [ *mm/dd/yyyy* ].

Signed by (please sign or seal):

Guardian (please sign or seal):

Date

Note: If the data subject is a person subject to an order of the commencement of guardianship, the guardian shall enter the name of said person in the “name of data subject” column (Article 15 of the Civil Code).