

**Certificate**

( For requests by a guardian acting as an agent of a person subject to an order of commencement of guardianship to receive information by mail)

I, \_\_\_\_\_, am unable to request at the Taiwan Stock Exchange Corporation in person as an agent of the person subject to an order of commencement of guardianship, \_\_\_\_\_, the requested information stated in the application. The request for information is hereby confirmed made by me upon verification by \_\_\_\_\_ Securities Co, Ltd. \_\_\_\_\_ Branch.

To  
Taiwan Stock Exchange Corporation

Date

Principal Name	( Signed or stamped by the guardian )	I.D. No.	
Principal Address	City/County Lin Road/Street - F	Village (Town, Administrative City, District) Section Lane Alley No.	Cun/Li
Telephone			
Engaged Securities Broker	_____ Securities Co, Ltd. _____ Branch		( Company stamp )
Telephone:			

## Notification of and Consent to the Collection, Processing and Use of Personal Data

For the purposes of handling your exercise on behalf of the principal against us, Taiwan Stock Exchange Corporation, of personal data rights such as the right to make an inquiry, the right to review, and the right to request a copy, etc., we would request your assistance in verifying the qualifications of the principal and need you to provide certain personal data, which involves collection, processing, and use as below. Please read the following carefully and sign personally (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
  - (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: nationality
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 inquire about and review personal information, to request duplicate copies, to request supplementation or correction; any necessary request for ceasing collection, processing or utilization or for erasure shall be made in person at or in writing to the TWSE.  
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.

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I agree to your collection, processing, and use of my personal data within the scope of business that conforms to the above specific purpose of collection. I also confirm my express knowledge, upon being notified by you of the above, of the relevant contents concerning your collection, processing, and use of my personal data.

Supervisor (please sign or stamp):

Handling Officer (please sign or stamp):

**\*\*\*\*\*The above supervisor and officer must be duly registered Taiwan Stock Exchange business personnel\*\*\*\*\***