

Appendix 2: Negative Data on Credit Extension Businesses of Securities Firms

Data		Description	
Date of inquiry			
I.D. No./Tax I.D. of Data Subject			
Name/Name of Juristic Person of Data Subject			
Notes to negative credit data	N	0	There was no negative record of credit extension by the data subject during the disclosure period, and no information on credit extension transactions by the data subject with credit extension institutions, i.e. no data on lines of credit, in the Joint Credit Rating System for Securities Firms as of the date of the inquiry.
		1	There was no negative record of credit extension by the data subject during the disclosure period, and was information on credit extension transactions by the data subject with credit extension institutions, i.e. there were data on lines of credit, in the Joint Credit Rating System for Securities Firm as at the date of the inquiry.
	Y	0	There were negative records of credit extension (breaches of contract) by the data subject during the disclosure period, and the cases have been reported by the securities firm as closed.
		1	There were negative records of credit extension (breaches of contract) by the data subject during the disclosure period, and the cases have not been reported by the securities firm as closed. Under this circumstance, the initial total outstanding amount of the credit extension businesses of the securities firm was disclosed (unit: NT dollars), being the sum of the initial total outstanding amounts of “margin transactions (excluding short sales)”, “securities business money lendings” and “non-restricted purpose loans.”