

Appendix

Identification and Management of Credit Line Categorization

Type of Account	Identification Procedure	Agreed Strength	Single-Day Trading Limit
Type 1	<ol style="list-style-type: none"> <li data-bbox="480 533 799 712">1. Verification by the settlement bank + OTP or telephone call. <li data-bbox="480 723 799 1003">2. Citizen digital certificate, bank account information. or wafer debit card etc. + OTP or telephone call. <li data-bbox="480 1014 799 1619">3. A photograph from which both the national I.D. card and face are identifiable + information on the designated debit account of the customer's ledgers of the securities firm's settlement account + OTP or telephone call. <li data-bbox="480 1630 799 1765">4. Verification by video imaging + OTP or telephone call. <li data-bbox="480 1776 799 1910">5. <u>Verification by mobile ID + OTP or telephone call.</u> <li data-bbox="480 1921 799 2002">6. Verification by Financial Fast 	Agreed single-day trading limit	TWD 1 million

	<p>Identity Online (Financial Fast-ID) + OTP or telephone call.</p> <p>7. Other means by which the principal can be verified + OTP or telephone call.</p>		
Type 2	<ol style="list-style-type: none"> 1. Online verification against a Citizen Digital Certificate + Video imaging. 2. Online verification against bank account information + Video imaging 	Provision of financial proof, such as the withholding statement on individual annual income etc.	The estimated single-day trading limit is determined by the securities firm in accordance with the Self-Regulatory Rules on Credit Checking and Credit Line Management.
Type 3	Same as type 1.	It is agreed that advance payment be collected or funds be earmarked as prepayment in the securities brokerage trading.	The limit on type 2 applies.