**Attachment 3**  
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**Authorization to Securities Investment Trust Enterprise by Employee to Inquire about Securities Account Opening and Trading Data of Minor Child**

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

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| --- | --- | --- | --- |
| To: Taiwan Stock Exchange Corporation  For and on behalf of my minor child named \_\_\_\_\_\_\_\_\_\_\_\_\_\_, I hereby appoint \_\_\_\_\_\_\_\_\_\_\_\_\_\_ Securities Investment Trust Co., Ltd. to inquire about the personal information of the client about account opening, brokerage trading 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* ] (the date my minor child comes of age).  Date: | | | |
| **Client** | (Affix personal seal or sign here, either of which will be used for verification upon request of inquiry.) | Attach a photocopy of the front of  the client's identification (or photocopy of census register) here | |
| National I.D. No. |  |
| TEL |  |
| Address |  |
| **Legal Representative** | (Affix personal seal or sign here, either of which will be used for verification upon request of inquiry.) | **Legal Representative** | (Affix personal seal or sign here, either of which will be used for verification upon request of inquiry.) |
| Attach a photocopy of the front of  the Legal Representative's identification  (If the parents cannot jointly represent their minor child, please attach an independent representation agreement or sufficient proof of one of the parent's custody.) | | Attach the photocopy of the front of  the Legal Representative's identification  (If the parents cannot jointly represent their minor child, please attach an independent representation agreement or sufficient proof of one of the parent's custody.) | |
| **Trustee** |  | (Corporate seal and  representative's personal seal) | |
| Uniform Business No. |  |
| TEL |  |
| Address |  |

**\* In the event the Client terminates the appointment of the Trustee, the Client needs to contact the Trustee to take back the original of the Authorization.**

**\* The appointed securities investment trust enterprise may further authorize other persons to make inquiries with the Taiwan Stock Exchange Corporation.**

**\* The Authorization shall not take effect without notarization or authentication by the notary public.** (201311)

**Attachment 3**  
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**Notification and Letter of Consent in Regard to the Collection, Processing and Use of Personal Information**(for Client)

Please be advised Taiwan Stock Exchange Corporation (hereinafter "TWSE") may need to collect, process and use your personal information in handling "inquiries, reviews and production of duplications of securities account opening and trading data by and to the party." For protection of your legitimate rights and benefits, please make sure to read the following information:

1. Purposes of collection: For specific purposes of handling and responding to your exercise of rights to inquiry, review and production of duplications of your personal information.

2. Types of personal information: As stated in the application, letter of appointment, and documents to be submitted as specified therein.

3. For how long, where, by whom and how the personal information may be used:

(1) For how long: According to laws and regulations, or the required periods of preservation stated in the "TWSE Table of Mandatory Preservation Periods for Documents" acknowledged by the competent authority of the TWSE.

(2) Where: Within the territory of Taiwan, the Republic of China and for international transmission as permitted by laws and regulations.

(3) By whom: By the TWSE on its own behalf, or to be provided to the competent authorities of the industry of the TWSE or other third parties according to laws and regulations.

(4) How: The TWSE will collect, process and use the personal information about you via digital files or in hardcopy.

4. Rights the party may exercise and how to exercise the rights:

You may visit the office of the TWSE with your identification to exercise the rights a party is entitled to under Article 3 of the Personal Information Protection Act, including the rights to: (1) inquiry or review; (2) production of duplications; (3) supplementation or correction; (4) discontinuation of collection, processing or use; and (5)deletion, provided deletion is not required of information necessary for operation of business, until specific purposes cease to exist, or where the mandatory period of preservation has not expired.

5. Impact on the rights and interests of a party if it refuses to make its information available?  
If you fail or are unable to provide the various information described in the application, the TWSE may not be able to provide services to your satisfaction.

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* ]. (201311)

Undersigned:

(Please sign your name or affix your personal seal identical to the seal affixed on the Authorization.)

Date: