

## **Notification of and Consent to Collection, Processing and Utilization of Personal Information**

(For adults only)

The Taiwan Stock Exchange Corporation (the TWSE) is required to collect, process, and utilize your personal information for the purpose of “processing the applicant’s inquiry, review and request for duplication of personal information.” Please read the following information carefully to protect your rights (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, the right to request a copy etc.
2. Types of personal information:
  - (1) C001 Type for identifying individuals: Name, address, telephone number, foreign investor code number, email address, or audio- and video-recording files for in-person request
  - (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, or nationality
  - (4) C033 Immigration: R.O.C. passport with Overseas Chinese Identity Endorsement, Overseas Chinese Identity Certificate, or identification issued by an overseas mission
  - (5) C034 Travel and other migration: Alien Resident Certificate, foreign passport, or Mainland Chinese Entry and Exit Permit
3. The time period, territory, user, and method of utilization of personal information:
  - (1) Time period: personal information will be deleted after 3 years from the date of the TWSE’s response to your application. Audio and video files will be deleted one year from the date of application.
  - (2) Territory: within the territory of the Republic of China and international transmissions permitted by the law.
  - (3) User: the personal information will be used by the TWSE or be provided to the industry competent authority of the TWSE or other third parties in accordance with the law.
  - (4) Method of utilization: the personal information will be collected, processed, and utilized digitally or in paper form.
4. Rights of the personal information owner and ways to exercise the rights:

You may exercise the personal information owner’s rights in regard to the protection of personal information online, by phone, or in person at the TWSE etc., 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 may not be conducted 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 02-27928188.

5. Consequence of personal information owner refusing the provision of personal information: The TWSE may not be able to provide the requested service in full if the information required in the application forms is not provided.
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Within the business scope conforming to the above purposes for personal information collection, I hereby agree for the TWSE to collect, process, and utilize my personal information. After being notified of the above information, I fully acknowledge that my personal information collected, processed, and utilized by the TWSE is correct.

Applicant:

(Signature or seal)

Authorized Agent:

(If any, signature or seal; if none, blank)

Date: Year\_\_\_\_\_ Month\_\_\_\_\_ Date\_\_\_\_\_