

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

(For a guardian acting as an agent of a person subject to an order of commencement of guardianship)

For the purposes of handling “requests for and requests to review and make copies of the personal data of a data subject,” Taiwan Stock Exchange Corporation (hereinafter We, Us, Our, or the TWSE) needs to collect, process, and use your personal data. To protect your legitimate rights and interests, please read the following carefully (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, foreign investor code number, email address, and audio/video files applied for on-site.
- (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, 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
- (6)C041 Courts, the Public Prosecutor's Office or other trial-related authorities and procedures: court civil rulings, civil ruling confirmations etc.

3. Time period, area, target and way of the use of personal data

- (1)Time period: Data of this application will be deleted one year from the date of Our response to your application. Audio and video files will be deleted one year from the date of application. If the application is submitted via correspondence, the data provided in this application will be deleted three years from the time We respond to and archive your request.
- (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 data, request a copy, request supplementation or correction; any necessary request for ceasing collection, processing or use 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 on its rights and interests: 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.

To the extent of business consistent with the above specific purposes for collection, I agree to your collection, processing, and use of my personal data. 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.

Data Subject (person subject to an order of commencement of guardianship) (please sign or stamp):

Guardian (please sign or stamp):

Legal Representative (please sign or stamp):

Fiduciary (if any, please sign or stamp; if none, please leave it blank):

Date

Notes:

If the data subject is a person subject to an order of commencement of guardianship, the guardian shall enter the name of said person in the “name of data subject” column. (Article 15 of the Civil Code).