

## Application for Requesting Securities Account and Transaction Information of a Person Adjudicated to be Subject to Guardianship by a Guardian

To:  
Taiwan Stock Exchange Corporation

The undersigned \_\_\_\_\_ and \_\_\_\_\_, acting as the agents of \_\_\_\_\_ (person subject to guardianship), hereby request personal information of account openings, consignment orders, or transaction records in the centralized securities exchange market.

Date: Year      Month      Date

Requested Information	<input type="checkbox"/> Details of securities accounts held at securities brokers (Account opening information)	<p><b>Important Information</b></p> <p>※ An individual applicant that has changed his or her last name, first name, or full name is required to provide the Census Registration or Household Certificate Transcript with note of the change, or evidence of his or her name change for verification by the TWSE.</p> <p>※ For purpose of inquiry, provision of the application form and photocopying ID document and/or supporting documents are free of charge.</p> <p>※ If the applicant makes the request in person or through an agent to the TWSE, or makes a request to the securities broker to receive information by mail:</p> <ol style="list-style-type: none"> <li>1. For each request only for account opening information, a handling fee and computer processing fee of TWD 300 is charged per request per individual.</li> <li>2. For each request only for transaction information, or for both account opening and transaction information, a handling fee and computer processing fee of TWD 500 is charged per request per individual.</li> <li>3. A request made in person by an applicant who is 65 years old or above for the applicant's own account opening or transaction information to the TWSE is free of charge.</li> <li>4. In case of a request by an employee or his/her spouse of a securities investment trust enterprise or securities investment consulting enterprise (SITE/SICE) in accordance with the "Procedures for Inquiries Regarding Securities Investment Trust/Consulting Enterprises," or a request by an employee or his/her spouse of a company/firm in accordance with "Procedures for Inquiries Regarding Companies/Firms" in person at the TWSE for information about him/herself, his/her</li> </ol>
	<p>Information about securities transactions</p> <p><input type="checkbox"/> Transactions record</p> <p>From</p> <p>Year _____ Month _____ Date _____</p> <p>To</p> <p>Year _____ Month _____ Date _____</p> <p><input type="checkbox"/> Consignment orders</p> <p>From</p> <p>Year _____ Month _____ Date _____</p> <p>To</p> <p>Year _____ Month _____ Date _____</p>	

		spouse, or minor children, the fee schedule applicable to the request procedure may apply if they present the employment verification issued by the company/firm within three months. ※ Fees may be paid promptly by an in-person request, or, if required by a mail, by wire transfer to the following account: Bank Name: Cathay United Bank, Guanqian Branch (Bank Code 013); Account Name: Taiwan Stock Exchange Corporation; Account No.: 001030912922. An invoice will be separately sent by email.		
Applicant (person subject to guardianship)		( Sign or Affix Seal )		
National ID Number (Foreign Investment Number or Entry/Exit Permit Number)		Attach the photocopy of the front page of the National ID Card, or ROC passport page showing Overseas Chinese Identity Endorsement, Overseas Chinese Identity Certification, Alien Resident Certificate, foreign passport, Entry Permit for People from the Mainland Area, or identification issued by an overseas mission of the person subject to guardianship here. (In case of a Census Registration with note of change etc., attach a photocopy after this application.)		
Guardian	Telephone Number			
	Email			
	Address			
	( Sign or Affix Seal )			

Note: Stamp the following words on the photocopy of the certificates after the original has been verified: "Certified Copy of the Original".