

**Taipei Exchange**  
**Exchange-Traded Fund Request for Quote (RFQ) Platform**  
**Application for Registration of Contracting Participant and Personnel**

Date completed: \_\_\_\_/\_\_\_\_/\_\_\_\_

**1. Basic Information of the Contracting Participant**

Name in Chinese: \_\_\_\_\_ Participant code<sup>1</sup>: \_\_\_\_\_

Name in English: \_\_\_\_\_ Abbreviation in Chinese: \_\_\_\_\_

Date commenced business: \_\_\_\_/\_\_\_\_/\_\_\_\_ Business admin. no.: \_\_\_\_\_

Registered address: \_\_\_\_\_ Company telephone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Contact address: \_\_\_\_\_ Name of contact person: \_\_\_\_\_

Contact person's phone no.: (\_\_\_\_) \_\_\_\_\_ - ext. \_\_\_\_\_ Securities firm code<sup>2</sup>: \_\_\_\_\_

Securities firm name: \_\_\_\_\_ Investment account no.: \_\_\_\_\_

**2. Platform User Account Information**

<b>Name in Chinese</b>			
<b>User code<sup>3</sup></b>			
<b>User password<sup>4</sup></b>			
<b>Add or delete</b>	<input type="checkbox"/> Add <input type="checkbox"/> Delete	Add <input type="checkbox"/> Delete <input type="checkbox"/>	Add <input type="checkbox"/> Delete <input type="checkbox"/>
<b>Function selection</b>	<input type="checkbox"/> RFQ function only <input type="checkbox"/> RFQ and response functions	<input type="checkbox"/> RFQ function only <input type="checkbox"/> RFQ and response functions	<input type="checkbox"/> RFQ function only <input type="checkbox"/> RFQ and response functions
<b>Contact phone no.</b>			
<b>User cell phone no.</b>			
<b>Contact email</b>			

Notes:

- Please leave blank. **The participant code will be filled in by the TPEX.**

2. For the securities firm code, name, and investment account, please fill in the code and name of, and account number with, the securities firm for quotes through the RFQ Platform.
3. The user code must be from 3 to 20 digits in length and can be in English letters or numerals.
4. The password must be from 8 to 20 digits in length. The password must contain at least three of the four categories of English uppercase letters, lowercase letters, numerals, and special symbols, and it may not contain the user code. Before using the system for the first time, the password must be modified.
5. After the information above has been registered by the TPEX, it may not be modified unilaterally by the participant. When there is any change in information with respect to any personnel, an application must be submitted to the TPEX to change the information.

**\* This application must be completed by those applying for the first time to participate in the system and whenever there is any change in the personnel.**

Personal Data Collection Notice:

When the Taipei Exchange (TPEX) collects, processes or uses your personal data, it will do so based on respecting your rights and interests, and in good faith and in accordance with the principles set out below. Please be sure to read the following contents in detail.

1. The TPEX will only ask you to provide the personal data that is necessary to execute the **application for use of the TPEX-Listed ETF Request for Quote Platform**, including categories of personal data such as name, phone number, and email. The purpose of collection is to provide the TPEX with the personal data necessary for the execution of the subsequent services and business.
2. Your personal data will only be used by the TPEX in the form of digital files or physical paper copies and for the period of time necessary for the execution of business or for which you have given your consent. In addition, the TPEX will, as needed based on specific purposes, provide your personal data to government agencies that exercise public power in accordance with laws and regulations.
3. If you need to know more about the details of the processing or use of your personal data, you are welcome to contact us. You may visit the Administration Department of the TPEX in person to contact a member of the personal data task force and apply for exercise of the rights of a data subject as provided in Article 3 of the Personal Data Protection Act, including inquiries about personal data and requests to peruse, duplicate, supplement, correct, or delete personal data, or to cease its collection, processing and use. You may also contact us by telephone by calling the TPEX hotline at (02) 2366-6100.
4. Based on the above specific purposes, if you fail or are unable to provide the above basic personal data, the TPEX will not be able to provide you with subsequent services.

This Application is issued to:  
Taipei Exchange

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(Seals of the Company and its Responsible Person)