

客戶開設有價證券保管劃撥帳戶契約書 (核定版)
Securities Book-Entry Custody Account Opening Contract (Approved Version)

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本人茲向貴公司申請開設有價證券保管劃撥帳戶（以下簡稱保管帳戶），並同意與貴公司共同遵守下列契約條款及有價證券集中保管帳簿劃撥作業辦法、臺灣集中保管結算所股份有限公司（以下簡稱集保結算所）業務操作辦法、相關作業配合事項或要點等業務章則及主管機關、臺灣證券交易所與櫃檯買賣中心相關法令及章則，修正時亦同。

I, the undersigned, hereby apply to the Company to establish a securities book-entry custody account ("custody account"), and agree with the Company to mutually abide by the terms and conditions set out below and the provisions of the Regulations Governing Book-Entry Operations for Centrally Deposited Securities, the Operating Rules of the Taiwan Depository & Clearing Corporation (TDCC), and related operational rules and directions, and the laws, regulations, and bylaws of the competent authority, the Taiwan Stock Exchange Corporation, and the GreTai Securities Market, including any subsequent amendments.

第一條

Article 1

客戶向本公司申請開設保管帳戶時，應詳實填寫開戶申請書所列之有關資料，並留存印鑑或簽名式樣。

When applying with the Company to open a custody account, the customer shall accurately fill out all the required information in the account opening application and leave a specimen seal impression or signature on file.

客戶於辦理集中保管有價證券領回、帳簿劃撥交割及轉撥等事宜，均應加蓋原留印鑑或簽名式樣。

In all cases when carrying out such matters as the withdrawal of securities in central custody and book-entry settlements and account transfers, the customer shall add the seal impression or signature originally left on file.

第二條

Article 2

客戶於本公司開設保管帳戶後，除集保結算所另有規定者外，由本公司發給證券存摺。

After opening a custody account with the Company, unless the TDCC has provided otherwise, a securities passbook will be issued by the Company.

前項證券存摺應由客戶收執並妥慎保管。

The customer shall retain and keep appropriate custody of the securities passbook of the preceding paragraph.

第三條 Article 3

客戶得於檢附買賣報告書或其他證明文件後，委託本公司將屬於客戶本人所有，且非屬緩課股票之有價證券以本公司名義送存集保結算所。

The customer, after attaching a trade report or other evidentiary document, may request the Company to deposit with the TDCC, in the name of the Company, any stocks owned by the customer that are not tax-deferred stocks.

另客戶送存零股股票時應依規定之收費標準負擔零股送存合併及領回分割之手續費用。

When delivering odd lots of stock for deposit, the customer shall be responsible for payment of processing fees, in accordance with prescribed fee schedules, for consolidating odd lots into even lots for deposit and splitting even lots for withdrawal.

第四條 Article 4

客戶集中保管之有價證券餘額，以本公司客戶帳戶記載餘額為準。但能證明其記載餘額錯誤者，不在此限。

The Company's recorded balance for the customer's account shall be taken as the balance of the customer's securities in central custody, except where the customer can provide evidence that the balance is in error.

客戶領回集中保管之有價證券，本公司得以同種類同數量之有價證券返還之。
When the customer withdraws securities in central custody, the Company may return securities that are of the same type and the same amount.

第五條 Article 5

客戶以本公司名義送存集中保管之有價證券，依客戶帳簿記載餘額分別共有。
Securities deposited in central custody by the customer in the Company's name will be held in undivided co-ownership based on the recorded balance of the customer's account.

第六條 Article 6

客戶於委託買賣成交後，辦理有價證券之交割，應先以帳載餘額辦理帳簿劃撥交割。

When the customer carries out securities settlement after transaction of a trading order, book-entry settlement shall be carried out first on the basis of the recorded account balance.

第七條 Article 7

客戶以本公司名義送存集中保管之有價證券，就該有價證券所為之帳簿劃撥及領回，均應經由同一帳戶辦理。

All book entry transfers or withdrawals of securities sent by the customer for deposit in central custody in the name of the Company shall without exception be made through the same account.

第八條

Article 8

客戶辦理有價證券送存時應填具『現券送存申請書』連同證券送經本公司核對無誤後，辦理證券存摺登錄。

When depositing securities, the customer shall fill out and submit a "Spot Securities Deposit Application" along with the securities. If no error is found after examination by the Company, the deposit will be registered in the securities passbook.

第九條

Article 9

客戶申請領回集中保管之有價證券，應提示證券存摺並填具『存券領回申請書』，加蓋原留印鑑或簽名式樣，經本公司核對無誤後，即辦理證券存摺登錄。

When applying to withdraw securities in central custody, the customer shall present the securities passbook and fill out an "Application for Withdrawal of Securities on Deposit," adding the seal impression or signature originally left on file. If no error is found after examination by the Company, the withdrawal will be registered in the securities passbook.

第十條

Article 10

客戶以集中保管之有價證券辦理賣出交割時，除已辦妥交割單據免簽章手續者外，應提示證券存摺並以原留印鑑或簽名式樣為劃撥交割之確認。

When carrying out a sales settlement with securities in central custody, in addition to having already carried out procedures for signature exemption with regard to settlement documents, the customer shall also present the securities passbook and confirm the book-entry settlement with the seal impression or signature originally left on file.

第十一條

Article 11

客戶申請將集中保管之有價證券轉撥至其他公司該客戶之帳戶，應於集保結算所規定作業時間內，提示證券存摺，填具『存券匯撥申請書』，加蓋原留印鑑或簽名式樣至本公司辦理。

When the customer applies to transfer securities in central custody to an account of the customer at another company, the customer, within the time period prescribed by the TDCC, shall present the securities passbook and fill out an "Application for Transfer of Securities on Deposit," adding the seal impression or signature originally

left on file, and submit it to the Company for handling of the transfer.

本公司審核前項資料無誤後，即辦理證券存摺登錄。

After reviewing the information required under the preceding paragraph and finding it free of error, the Company will register the transfer in the securities passbook.

第十二條

Article 12

客戶開設保管帳戶後，其有價證券之送存、領回、劃撥交割及轉撥等，除未發給證券存摺外，本公司一律於證券存摺登載。

After the customer opens a custody account, the Company will without exception record all deposits, withdrawals, and book-entry transfers and settlements in the securities passbook, except in those cases where no passbook was issued.

本契約書有關證券存摺提示及掛失補發之規定，於未發給證券存摺之客戶，不適用之。

The provisions of this Contract in regard to presenting the securities passbook and reissuance of lost passbooks do not apply to customers to whom no securities passbook was issued.

第十三條

Article 13

客戶申請註銷保管帳戶時，應填具申請書向本公司申請。

A customer that applies to cancel a custody account shall fill out an application form and apply to the Company for cancellation.

客戶與本公司所訂委託買賣證券受託契約終止時，本公司得視客戶需要結清其帳戶有價證券餘額後註銷其帳戶。

When the securities trading brokerage contract entered into between the customer and the Company is terminated, the Company may cancel the customer's account after closing out the securities balance in the account, as it deems necessary based on the customer's needs.

第十四條

Article 14

客戶開設保管帳戶後，若其開戶申請書所列之資料內容有變更時，客戶應即時將記載變更事項及加蓋原留印鑑或簽名式樣之通知書送交本公司，憑以辦理變更帳簿資料之記載。

If there is any change to the information contained in its account opening application after the customer has opened a custody account, the customer shall immediately submit notification to the Company, containing the information to be changed and bearing the seal impression or signature originally left on file, on the basis of which the Company will record the changes in the account information.

客戶怠於辦理前項之變更通知，致使其權益遭受損害時，應由客戶自行負責。

The customer shall be responsible if the customer's delay in submitting the notification of the preceding paragraph results in injury to the customer's rights and interests.

第十五條

Article 15

客戶擬更換或遺失原留印鑑式樣之印章時，應即時向本公司申請辦理變更印鑑手續。

If the customer intends to change or has lost the seal for the seal impression originally left on file, the customer shall immediately apply with the Company to carry out procedures for a change of the seal.

客戶怠於辦理變更原留印鑑手續，致使其權益遭受損害時，應由客戶自行負責。
The customer shall be responsible if the customer's delay in carrying out procedures for a change of the seal results in injury to the customer's rights and interests.

第十六條

Article 16

客戶之證券存摺遺失時，應即向本公司辦理申請掛失補發證券存摺手續。

If the customer's securities passbook is lost, the customer shall immediately apply to the Company to carry out procedures for reissuance of a lost securities passbook.

第十七條

Article 17

客戶集中保管之有價證券，倘因天災地變或不可抗力之情事，未能即時返還時，本公司得延遲返還或暫緩受理客戶申請領回集中保管之有價證券。

If it is impossible to immediately return customer securities in central custody due to a natural disaster or other force majeure event, the Company may postpone the return of the securities or may temporarily cease processing of customer applications for withdrawal of securities in central custody.

第十八條

Article 18

客戶送存之有價證券，有瑕疵或有法律上爭議時，應即以無瑕疵之有價證券更換，或由本公司逕行核減帳戶記載餘額。

If there is a defect in or a legal dispute regarding securities deposited by the customer, the customer shall immediately substitute securities with no defect, or the Company may at its discretion approve a reduction in the recorded balance of the customer's custody account.

客戶領回之有價證券，有瑕疵或有法律上爭議時，本公司應即以無瑕疵之有價證券更換。

If there is a defect in or a legal dispute regarding securities withdrawn by the customer, the Company shall immediately substitute securities with no defect.

客戶送存之債券如附有已剪下之未到期息票或未到期息票張數不足或附有已到期息票之情事者，本公司得拒絕接受，事後發現者亦得通知客戶本人更換或補正。The Company may refuse to accept bonds deposited by the customer in the event that unmatured interest coupons have been stripped from the bonds, or there is a shortage in the number of unmatured interest coupons borne by the bonds, or the bonds bear matured interest coupons. If any such circumstance is discovered after the fact, the Company may likewise notify the customer that the customer must substitute or supplement appropriate bonds.

第十九條

Article 19

客戶以本公司名義送存集中保管之有價證券，遇該有價證券還本付息或發行公司為召開股東會或受益人大會或分派股息、紅利或其他利益應辦理過戶時，以申請書所列通訊地址為準。但客戶有申請變更者，以變更後之通訊地址為準。

When there is to be a payment of principal and interest, or the issuer convenes a shareholders meeting or a general meeting of beneficial owners or makes a distribution of interest or dividends or other benefits requiring a transfer of title, it will be carried out using the contact address listed in the customer's application form, except when the customer has applied to change the contact address, in which case the new contact address will be used.

客戶於不同公司處分別開戶，填列之通訊地有二種以上者，辦理過戶時以最新通訊地址為準。

If the customer has opened separate accounts at different Company locations and has listed two or more contact addresses, the most recent address given will be used when carrying out transfer of title.

第二十條

Article 20

客戶應於本公司指定之金融機構開立存款帳戶，由本公司委託集保結算所準用前條規定將存款帳號提供相關機構，據以辦理有價證券股息或紅利之分派、受益憑證買回、轉換公司債贖回/賣回、存託憑證兌回、債券還本付息及其他與款項撥付有關之作業。

The customer shall open a deposit account at a financial institution designated by the Company. The Company will request the TDCC to provide the deposit account number to the relevant institutions, applying mutatis mutandis the provisions of the preceding article, for use in carrying out interest and dividend distributions on securities, redemptions of beneficial securities, redemption or repurchase of convertible corporate bonds, redemption of depositary receipts, payment of principal and interest on bonds, and other operations in relation to transfers of funds.

第二十一條

Article 21

本契約書未盡事宜依有價證券集中保管帳簿劃撥作業辦法、集保結算所業務操作

辦法、相關作業配合事項或要點等業務章則及主管機關、臺灣證券交易所與櫃檯買賣中心相關法令及章則辦理，修正時亦同。

Matters for which this Contract does not provide will be handled in accordance with the provisions of the Regulations Governing Book-Entry Operations for Centrally Deposited Securities, the Operating Rules of the Taiwan Depository & Clearing Corporation, and related operational rules and directions, and the laws, regulations, and bylaws of the competent authority, the Taiwan Stock Exchange Corporation, and the GreTai Securities Market, including any subsequent amendments.

_____ the Company (seal) Customer: _____(seal)

Representative: _____(seal) Customer's agent: _____(seal)

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