

Phillip Capital Limited ABN 14 002 918 247 AFSL 246827

Please sign and return this form to [settlements@phillipcapital.com.au](mailto:settlements@phillipcapital.com.au) or return to your Adviser

Account Name:		Account No:	
Designation:			
Nationality:			

According to Article 10 of Taiwan’s “Regulations Governing Investment in Securities by Overseas Chinese and Foreign Nationals”, offshore foreign institutional investors (“FINI”) (i.e. institutions incorporated outside the territory of Taiwan) investing in securities listed on the Taiwan Stock Exchange (“TWSE”) and/or the Taipei Exchange (“Taiwanese Products”) must register with the TWSE. Our Custodian, Phillip Securities Pte Ltd (“PSPL”) has been instructed by the regulatory body in Taiwan to ensure that:

- (i) Mainland Chinese and Taiwanese nationals do not invest in any investment products listed on the aforementioned exchanges via our FINI license;
- (ii) funds remitted to the FINI to invest in Taiwanese investment products do not come from Mainland Chinese or Taiwanese sources, and
- (iii) no single beneficiary owner holds 10% or higher of a single investment product’s issued share capital (“10% Rule”), such as 10% or more of a listed company’s share capital.

In consideration of Phillip Capital Limited (PCL)’s role as an FINI and its obligation to make declarations to the TWSE, I/We HEREBY AGREE AND CONFIRM all of the followings:

1. My/Our source of funds to invest in Taiwanese Products through PCL does/do not come from Taiwan or the People’s Republic of China;
2. I/We do not hold nationality of the People’s Republic of China;
3. I/We do not hold Taiwanese nationality;
4. I/We am/are in full compliance of Clause (iii) above at all time;
5. I/We will abide by the regulations stipulated by all relevant regulatory authorities;
6. I/We will indemnify PCL against any loss, cost, claim, liability, or expense that may be suffered or incurred arising out of or in connection with these undertakings; and
7. I/We will duly sign a new letter of undertaking within a reasonable period of time as requested by PCL whenever there are changes to the relevant Taiwanese Regulations or as otherwise required by PCL.

I/We understand that if I/we do not comply with the above undertakings, PCL has the right to remove me/us from trading or investing in Taiwanese securities products through PCL.

We declare that the information provided is true and correct and that it is an offence to provide false or misleading information.

We acknowledge that notwithstanding this declaration, we understand that PCL may request further information to sufficiently satisfy itself of the above declaration and will make its determination of the applicability of the provisions of the Corporations Act 2001 at its absolute discretion.

Individual / Sole Trader

Individual (2)

Individual (3)

Signature(s): \_\_\_\_\_

Full Name(s): \_\_\_\_\_

Date(s):(DD/MM/YYYY) \_\_\_\_\_

**Please note that digital signatures are NOT accepted**