



群益期貨股份有限公司
Capital Futures Corp.

外來人口統一證號變更申請書

New UI No. of Foreign Nationals Application Form

茲向 貴公司申請變更本人於 貴公司所開立帳戶之新式統一證號，並同意自 貴公司完成變更之日起生效。

The applicant hereby applies to Capital Futures Corp. ("CFC") to change the new UI No. of the applicant's account at CFC, and agrees to take effect from the date when CFC completed the change.

申請人 Applicant	
原統一證號 Original UI No.	
新式統一證號 New UI No.	

1. 申請人授權同意以與 貴公司往來業務中任一帳戶之原留印鑑申請辦理。
The applicant authorizes and agrees to apply with the original seal of any account in the business with CFC.

2. 申請人瞭解並同意 貴公司「蒐集處理及利用個人資料告知事項」。
The applicant has understood and agreed CFC's "Notification of Collecting, Processing, and Using Personal Information".

※郵寄申請注意事項/ Notice for Mailing Application :

1. 請填妥申請書並檢附新式統一證號之證件正反面影本乙份。
Please fill out the application form together with both front and back copies of resident certificate which contains the New UI No.
2. 帳戶申請異動時，需於申請人欄位簽名並簽蓋與 貴公司往來之原留印鑑後，將申請書逕寄至群益期貨總公司開戶櫃台辦理。(總公司住址:10682 台北市大安區敦化南路二段 97 號 B1 樓)
When the applicant applies for a change, the applicant needs to sign in and affix the original registered specimen seal, and mail the application form directly to the headquarters of CFC. (CFC's address: B1., No. 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 10682, Taiwan, R.O.C.)
3. 如申請書上申請人簽蓋之印鑑與 貴公司原留存印鑑不符， 貴公司得不受理帳戶變更之申請。
If the seal of the deposit account signed by the applicant on the application does not match the original seal, CFC may not accept the application.

此致 To
群益期貨股份有限公司
Capital Futures Corp.

(請簽蓋任一於本公司開立之帳戶原留印鑑)
(Original registered specimen seal)

申請人 Applicant : _____(親簽 Signature)

聯絡電話 Phone No. : _____(請務必填寫可聯絡之電話/手機號碼)
(Please fill in the contactable phone or mobile phone No.)

日期 Date : _____年(Year) _____月(Month) _____日(Day)

收件日期 : _____ 主管 : _____ 經辦 : _____ 核印 : _____
期貨帳號 : _____

群益期貨股份有限公司暨期貨交易輔助人
蒐集處理及利用個人資料告知事項

一、群益期貨股份有限公司（下稱本公司）暨期貨交易輔助人為蒐集處理及利用 台端個人資料，茲依據個人資料保護法第 8 條第 1 項規定，告知下列事項，請 台端詳閱。

項次	告知事項	告知內容
1	蒐集之目的	<p>1.經營獲目的事業主管機關許可及營業登記項目或章程所定之業務。</p> <p>2.依法令規定及金融監理需要、依法定義務、依契約、類契約或其他法律關係等，所為個人資料之蒐集、處理及利用。</p> <p>3.包含本公司期貨經紀業務、期貨顧問事業、期貨經理事業、證券交易輔助人及槓桿保證金契約業務等相關金融業務、期貨交易輔助人之期貨交易輔助業務，以及前述公司其他經營合於營業登記項目或組織章程所訂之業務；徵信；行銷；消費者、客戶管理與服務；調查、統計與研究分析；會計與相關服務；法律服務；資(通)訊與資料庫管理；契約、類似契約或其他法律關係事務；金融服務業依法令規定、金融監理需要及其他法定義務，所進行個人資料之蒐集處理及利用。</p> <p>4.為辨識本公司內所有帳戶持有者之身分，並於必要時申報具有外國稅務居住者身分之帳戶持有者資訊予中華民國稅捐稽徵機關或依 FATCA 法案申報具有美國帳戶持有者資訊予美國國稅局。</p>
2	個人資料之類別	<p>經 台端提供之相關個人資料及留存於本公司之一切交易資訊，包括但不限於姓名、國籍、出生年月日、出生地、年齡、身分證字號（或僑外投資身分編號）、統一編號、稅籍編號、護照號碼、居留證號碼、戶籍資料、教育程度、職業、任職公司地址及電話、聯絡電話(含手機電話)、傳真號碼、通訊地址、戶籍地址、現行居住地址、電子信箱等及其他得識別個人之資料，往來金融機構帳號、期貨交易帳號、槓桿保證金交易帳號、帳戶餘額、帳戶總收益金額、交易明細、委任代為交易之代理人姓名、身分證字號、電話、聯絡人姓名及電話等資料、或其他合於營業項目之特定目的所需蒐集之個人各項資料及後續與本公司暨期貨交易輔助人往來之個人資料及結算交割紀錄。</p>
3	利用之期間	<p>本公司暨期貨交易輔助人將依照相關法令規定及在特定目的範圍內，於執行業務所必須之保存期間處理及利用您的個人資料。</p>
4	利用之地區	<p>本公司暨期貨交易輔助人營業活動之相關地區及為達蒐集、處理及利用目的所必須使用之相關地區：包含本公司暨期貨交易輔助人、本公司分公司、與本公司有從屬關係之子公司或有控制關係之母公司暨其分公司或有集團關係之公司、與本公司或前述公司因業務需要而訂有契約之機構或顧問等所在之地區、下列「個人資料利用之對象」欄位所列之利用對象其國內及國外所在地，及國際傳輸個人資料需未受中央目的事業主管機關限制之接收者所在地。</p>
5	利用之對象	<p>1. 本公司暨期貨交易輔助人、本公司之分公司、與本公司有從屬關係之子公司或有控制關係之母公司暨其分公司或有集團關係之公司，以及與前述公司因業務需要訂有契約關係或業務往來之機構或顧問（如律師、會計師）；獲主管機關許可受讓期貨商或證券商全部或部分業務之受讓人。</p> <p>2. 金融監理或依法有調查權或依法行使公權力之機關、證券或期貨交易所、證券櫃檯買賣中心、集中保管公司、同業公會、財團法人證券投資人及期貨交易人保護中心、財團法人金融消費評議中心、稅務機關（含美國國稅局）、司法檢調機關、股票發行公司、交割銀行、臺灣票據交換所(發放股利)、臺灣總合股務公司等依法令授權辦理股務事務之相關機構及其他經目的事業主管機關指定，包含在業務經營上，與監督管理檢查、發行、買賣、徵信、交易、交割、股務等有關之相關機構，及對第 1 點所列利用對象有管轄權之金融監理機構與依法行使公權力之機關。</p> <p>3. 依前述各款以外之機關或機構之請求或委託，本公司有提供 台端個人資料之義務者。</p>
6	利用之方式	<p>以自動化機器或其他非自動化方式所為之利用，包括但不限於：1.書面或電子2.國際傳輸等。</p>
7	台端權利與行使方式	<p>台端就本公司暨期貨交易輔助人保有之個人資料，得於營業時間內向本公司暨期貨交易輔助人要求行使下列權利：</p> <p>1. 查詢、請求閱覽或請求製給複製本，而前開公司依法得酌收必要成本費用。</p> <p>2. 請求補充或更正，惟依法台端應為適當之釋明且原則上需向本公司或期貨交易輔助人申請。</p> <p>3. 請求停止蒐集、處理或利用及請求刪除，惟依法本公司暨期貨交易輔助人因執行業務所必須或交易所為市場監理等執行職務所必須者，得不依 台端請求為之。</p>
8	台端拒不提供個人資料所致權益之影響	<p>台端拒不提供個人資料，或嗣後撤回、撤銷同意，或請求停止蒐集處理及利用，或刪除 台端之個人資料時，本公司、期貨交易輔助人及交易所將無法進行業務之必要審核與處理作業及其他相關服務，爰本公司暨期貨交易輔助人將得拒絕受理與 台端之業務往來及其他相關事項之辦理與申請。另本公司因遵循 FATCA 法案之特定目的需蒐集、處理及利用 台端之個人資料，如 台端不同意提供或提供資料不足，本公司須依 FATCA 規定將 台端帳戶列為 FATCA「不合作帳戶」而得自存入 台端名下屬 FATCA 法案所規範金融商品特定帳戶之款項中扣繳 30%之美國稅款。</p>

二、如尚有任何疑義，可撥打客服專線 412-8878(手機請加 02)洽詢，或於營業時間洽詢各營業單位，謝謝。

本人已清楚瞭解上述開告知事項，並同意上述本人個人資料之蒐集、處理及利用，特此聲明。
本人簽章(原留印鑑)：_____

中 華 民 國 年

中華民國 年 月 日

Notification of Collecting, Processing, and Using Personal Information

By Capital Futures Corp. and its Introducing Broker

According to the Article 8 Clause 1 of the Personal Information Protection Act, we hereby inform the following provisions to collect your personal information:

No.	Notification Items	Notification Provisions
1	The Purposes	<ol style="list-style-type: none"> Operating approved businesses by the competent authorities, the registered business and that is in accordance with the provisions of the Articles of Corporation. The collecting, processing, and using of personal information in accordance with the law and the demand of financial supervision, the legal obligation, the contract, the quasi-contract, or other legal relationships. Including collecting, processing, and using the personal information due to operating the business of futures brokerage, futures advisory, managed futures business, securities introducing broker business, leverage contract trading business, and futures introducing broker business; the services consistent with the business registration or the Articles of Corporation; credit checking; marketing; the services and management regarding consumers and clients; surveying, gathering, and analyzing the statistics; accounting and relating services; legal services; information database management; contract and quasi-contract or other legal affairs; the provision of financial services laws, the demand of the financial supervision and other legal obligation. Identifying all Account Holders' identification, and passing on information of Account Holder who is the tax resident in the country/jurisdiction other than the Republic of China (R.O.C., Taiwan) to the tax authorities of ROC according to CRS or to IRS according to FATCA, if necessary.
2	Categories of Personal Information	All personal information provided by you and transaction information kept in our company, including but not limited to the name, nationality, date of birth, birth place, age, I.D. Card number (including FIDI ID and FINI ID), Business Administration number, Taxpayer Identification number, passport number, Alien Resident Certificate number, family, education, occupation, the address and telephone number of your occupation, contact number (including mobile phone number), fax number, mailing address, current residence address, e-mail address and other information which may be used to identify a natural person, related Financial Institution Account number, Futures Trading Account number, Leverage Contract Trading Account number, Account Balance, Account Profit, Transaction Detail, Authorized Trader's information (including the name, I.D. Card number, phone number etc.), or other personal information collected in accordance with the specific purpose of the registered business and personal information gathered because of the follow-up business transactions.
3	Time period (of the use of personal Information)	Our company and our introducing broker will process and use your personal information during the preservation period necessary to perform the business, in accordance with the relevant laws and regulations and within the scope of specific purposes.
4	Area (of the use of the personal information)	The areas which is necessary to operate the competent authority approved business, the registered business and that in accordance with the Articles of Corporation and the relating areas which is necessary for attaining the propose of collecting, processing, and using personal information: including our company and our introducing broker, branches, the subordinated subsidiary company, the controlling parent company and its branches, and the conglomerate of our company; the locations where the contracted institution or consultant of our company or of the aforementioned companies under business purpose, the locations where the Counterparties are mentioned in Item 5, and the locations of the receptors which are not limited by the competent authority in transmitting personal information internationally.
5	Counterparties (of the use of the personal information)	<ol style="list-style-type: none"> Our company and our introducing broker, branches, the subordinated subsidiary company, the controlling parent company and its branches, and the conglomerate of our company, and the contracted institution or consultant of the aforementioned companies under business purpose (e.g. lawyers, accountants); the transferee approved by the authority that can be transferred all or part of the futures and securities business. Financial supervision authority and the authority which is empowered to investigate or exercise sovereign power, the securities or futures exchange, over-the-counter securities exchange, Depository and Clearing Corporation, Industry Associations, Securities and Futures Investor Protection Center, Financial Ombudsman Institution, Tax Authorities (including the IRS), Judicial or Investigating Authority, securities issuing corporations, settlement banks, Taiwan Clearing House (dispatching the stock dividend), Taiwan Integrated Shareholder Service Company and other authorized stock affair agents and the institution approved by competent authority to operate business relating to supervision, issue, trade, credit check, exchange, settlement, shareholder service and other business; the financial supervision authority and the authority which is empowered to exercise sovereign power to the counterparties listed in the point 1. According to the request or authorization of the Authority or Institution out of the scope of point 1 and 2, our company is obligated by law or contract to provide your personal information.
6	The way of use	Under the use of automatic or non-automatic machinery, including but not limited to: <ol style="list-style-type: none"> The written form or electric form, International transmits.
7	Your rights	To your personal information which is kept in our company or our introducing broker, you can exercise the following rights: <ol style="list-style-type: none"> Inquiry and request for a review or to make duplications of the personal information, and our company or our introducing broker may charge fee in accordance with the laws and regulations; Request to supplement or correct the personal information, while you shall clearly state the reason in accordance with the laws and regulations; Request to discontinue collecting, processing, using, or to delete your personal information; however, our company and our introducing broker may not fulfill your request due to the need of services by our company and introducing broker, and the duty of market surveillance by the Exchange.
8	The influence if you refuse to provide personal information	If you disagree to provide, or demand to stop collecting, processing and using or to delete your personal information, as a result our company, our introducing broker, and the Exchange cannot process the necessary checking and other services, we may refuse to accept your business and the application of other services. Besides, due to FATCA, our company is obligated to collect, process and use your personal information. If you disagree to provide your personal information, or the provided information is incorrect or incomplete, your account will be marked as Recalcitrant Account and 30% of your account value will be withheld as U.S. tax payment from the IRS.

As informed with the aforementioned provisions, I understand this notification and agree your collecting, processing and using towards my personal information.

Signature and/or the Registered Stamp: _____ **The Date:** ____/____/____