

Account Opening and Deposit Process

Step 1

| Documents Required from Clients

Documents Required from Individuals

1. Original ID Card
2. Second Identification Document (e.g., Health Insurance Card, Passport, Driver's License, Household Registration Book, Household Certificate)
3. Proof of Bank Account (Must Be in the Account Holder's Name)
4. Personal Seal

Documents Required from Corporations

1. Copy of the Company Representative's ID Card and Seal
2. Power of Attorney and Original ID Card of the Authorized Person, and Seal
3. Proof of Bank Account
4. Change Registration Form
5. Company Seals (Large and Small)
6. Second Proof Document: Copies of Board Meeting Minutes, Company Charter, or Financial Statements, etc.
7. Approval (or Filing) Letter from the Competent Authority (for Specific Legal Entities)

Step 2

| In-Person Processing

Capital Futures Headquarters

Capital Futures Taichung Branch

Capital Securities Branches Nationwide

1. Sign Futures Account Opening Documents
2. Receive Account Opening Card
3. Obtain Futures Trading Account Number

Step 3

| Client Transfers Margin by Themselves

There Are Five Deposit Methods: Limited to Designated Account

In-Person Deposit

Interbank Transfer

Automated Teller Machine (ATM)

Telephone Voice Transfer

Internet Banking

Step 4

| Capital Futures Client Margin Account

After completion, please confirm the transfer with your sales representative or check through the online trading system.

| Eligibility for Account Opening

If a futures broker discovers that a client exhibits any of the following conditions, the broker shall refuse to open an account:

1. The individual is under 20 years of age.
2. The individual has been declared bankrupt or is undergoing court-ordered liquidation proceedings and has not been reinstated.
3. The individual is under guardianship or assistance, and such status has not been revoked.
4. A corporate client cannot provide documentation proving authorization for account opening.
5. Overseas Chinese, foreign nationals, and investors from mainland China cannot provide registration documentation issued by the stock exchange or the futures exchange.
6. Overseas Chinese, foreign nationals, and investors from mainland China cannot provide a copy of the contract with a domestic agent, the agent's authorization, or a declaration from the domestic agent.
7. Employees and personnel employed by regulatory agencies, futures exchanges, futures clearing institutions, futures industry associations, or the National Futures Association.
8. The individual has violated a futures or securities trading agreement and the case is unresolved within five years.

9. The individual has violated futures or securities trading regulations, with a final criminal conviction in the last five years; or has been banned from trading futures or securities by regulatory notice, and the ban period is still within five years.
10. The broker has engaged in self-trading without regulatory approval.
11. The client applies to convert a previously established discretionary futures trading account to a self-directed futures trading account.

If an existing account holder is found to exhibit any of the above conditions, the broker shall immediately cease accepting new position orders for the account. The account will be closed upon settlement of all outstanding debts and obligations.

| Important Notes on Deposit

Important Notes on Depositing Domestic and Foreign Futures Margins and Premiums into Capital Futures

Dear Traders,

Please be reminded to correctly enter the remitter's name or ID number when processing remittance or in-person deposit using the designated deposit bank account. Upon receiving the funds, we will verify the basic information as required and deposit it into the specified futures account. If an error is detected in the system check, the funds will be temporarily stored as a mispayment. Please apply for a refund using the following methods:

If a client deposits funds using a non-designated account or makes a remittance on behalf of another person, the futures company will process the refund as follows:

| Margin Deposit Error Refund Process

Deposit Method: In-Person Deposit Error

Explanation	Situation
<p>Same Bank Transfer</p> <p>The bank system will reveal the "name" or "ID number" entered in the remarks field.</p> <p>Interbank Transfer</p> <p>The bank system will reveal the "remitter's name" or "remitter's ID number" or "remitter's name + ID number."</p>	<p>If the bank system shows that the name of the depositor/remitter is not the same as the trader's name in a same-bank or interbank transfer, please prepare the following documents for a refund. The funds will be returned to the "depositor/remitter."</p> <ol style="list-style-type: none"> 1. Identification Document 2. Proof of Deposit Document 3. Copy of Passport 4. Complete the Refund Application Form for Incorrect Margin Deposit

Deposit Method: Automated Equipment Deposit Error

Explanation	Situation
<p>Automated equipment includes ATMs, internet banking, and voice systems. If the client uses automated equipment to deposit margin, the bank system will reveal the "account number" but not the "client's name."</p>	<p>The bank reveals the "account number": Please prepare the following documents to process the refund, which will be returned to the original account.</p> <ol style="list-style-type: none"> 1. Name of the Bank and Branch of the Account 2. Name Associated with the Account

1. Funds deposited from a non-designated account will be returned to the "account number" revealed by the bank system.
2. If the remittance or deposit is made by someone other than the account holder, the funds will be returned to the original "remitter" or "depositor."
3. After preparing the relevant refund documents (Margin Refund Application Form), the futures company will return the funds to the original "remitter" or "depositor" upon the client's completion of the refund application process. Any bank transfer fees incurred due to the refund will be borne by the [recipient].
4. All deposits must be made using the designated deposit account, without exception.
5. In the following deposit situations, which are not the client's fault, the funds will be credited to the client's account after correcting the information without a refund.
 - ◉ Bank Input Error
 - ◉ Client's Name Contains Difficult Characters, But Recognizable
 - ◉ Bank system issue

Due to the automated bank connection process used by our deposit system, if you encounter a situation where a deposit cannot be immediately verified in our system due to erroneous deposits, bank operational issues, or system connectivity problems, please contact our 24-hour deposit and withdrawal hotline at 02-27010120 or 02-27010447 during business days.