

修正後條文			修正前條文		
F_A-2-1_基金_開戶契約書_2025Jun F_A-11-1_開戶契約書條文_2025Jun F_A-11-3_開戶契約書條文_(共同行銷)_ 2025Jun F_A-11-6_開戶契約書_(自然人)_2025Jun F_A-11-7_開戶契約書_(法人)_2025Jun F_A-12-1_線上開戶契約書_2025Jun F_A-12-2_開戶契約書_(共同行銷)_2025Jun					
<b>壹拾貳、蒐集、處理及利用個人資料告知書</b> (第7版, 2025年6月修訂)			<b>壹拾貳、運用個人資料告知書</b> (第6版, 2024年10月修訂)		
壹、就凱基期貨股份有限公司(下稱「本公司」)蒐集、處理及利用(含國際傳輸)台端個人資料事宜,茲依據「個人資料保護法」第8條第1項及「歐盟一般個資保護規則」第13條(如有適用)規定,向台端告知下列事項:			一、凱基期貨股份有限公司運用個人資料告知書		
項次	告知事項	告知內容	就凱基期貨股份有限公司(以下簡稱「本公司」)蒐集、處理、利用及國際傳輸您的個人資料事宜,茲依據「個人資料保護法」第8條第1項及「歐盟一般個資保護規則」第13條(如有適用)規定,向您告知下列事項:		
1	蒐集之目的	1. 為經營本公司獲目的事業主管機關許可及符合本公司營業登記項目或章程所定之業務,包括但不限於期貨、期貨顧問、期貨經理、證券交易輔助、證券投資顧問、槓桿交易等業務。及本公司未來獲准經營之相關金融業務(依本公司所公告者之最新業務範圍為準)。 2. 為履行台端與本公司間基於契約關係、類似契約關係或其他法律關係所生之事務及作業,以及為提供台端各項基於客戶或股東身分之相關服務及作業,例如徵信、行銷(包含共同行銷及合作推廣業務)、客戶管理與服務、憑證業務管理、電子商務服務、諮詢與顧問服務、調查統計與研究分析、資訊與資料庫管理、資通安全與管理、內部控制及稽核、風險管理等。 3. 為履行法定義務,例如洗錢防制及打擊資恐作業、風險管理、內部控制及稽核、內部檢舉制度、資通	(一)本公司係基於下列特定目的,蒐集、處理、利用及國際傳輸您的個人資料: 1. 為經營證券、期貨及經營其他合於法規、營業登記項目或組織章程所定相關業務,並包含配合公司內部或母公司所為之行政作業、營運及管理之相關行為,例如辦理有價證券與有價證券持有人登記、投資管理、財產管理、資通安全與管理、資訊與資料庫管理、調查統計與研究分析、憑證業務管理、客戶管理與服務、內部控制及稽核、風險管理等。 2. 為履行您與本公司間契約義務或類似契約關係、提供您各項客戶服務,例如徵信、行銷、相關諮詢與顧問服務等。 3. 為履行法定義務,例如執行洗錢防制及打擊資恐工作、內部檢舉制度、遵循各國金融法規(包括但不限於美國海外帳戶稅收遵從法(FATCA)、共同申報準則(CRS))等。 4. 為遵循金融監理、司法、稅務與其他具有司法、檢調或行政調		

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		安全與管理、遵循國內外金融法規(包括但不限於美國海外帳戶稅收遵循法(FATCA)、共同申報準則(CRS)、歐盟股東權利指令(SRD II))等。 4. 為遵循金融監理、司法、稅務與其他具有司法、檢調或行政調查權機關之命令、調查及檢查，以及為處理訴訟、非訟、仲裁或其他金融爭議。	查權機關之命令、調查及檢查，以及為處理訴訟、非訟、仲裁或其他金融爭議案件之目的。
2	個人資料之類別	基於前述特定目的而於必要範圍內所蒐集之個人資料，包括基本資料(例如姓名、身分證統一編號、護照號碼、出生年月日、住所／居所／工作／電子郵件地址、電話／手機／傳真號碼、教育程度、職業、任職公司名稱、家庭情形等)、帳務資料、信用資料、收入資料、資產或財務資料、授信資料、投資資料、位置資料、網路識別碼、Cookie與類似技術所紀錄之資料及相關業務申請書或契約書所載之其他任何得以直接或間接方式識別個人之資料。	(二)本公司於上述目的或所涉業務執行之必要範圍內所蒐集之個人資料，包括您的基本資料(例如姓名、身分證統一編號、護照號碼、出生年月日、住所／居所／工作／電子郵件地址、電話／手機／傳真號碼、教育程度、職業、任職公司名稱、家庭情形…等)、帳務資料、信用資料、收入資料、資產或財務資料、授信資料、投資資料、位置資料、網路識別碼、Cookie與類似技術所紀錄之資料及相關業務申請書或契約書所載之其他任何得以直接或間接方式識別個人之資料。
3	利用之期間	於主管機關許可業務經營之存續期間內，符合下列要件之一者內(以期間最長者為準)： 1. 前述特定目的之存續期間。 2. 依相關法令規定或契約(或類似契約)約定之保存年限。 3. 因執行業務所必須之保存期間。 4. 經台端同意之期間。	(三)本公司將於前述特定目的存續期間、主管機關許可本公司業務經營之期間、因執行業務所需或依法令規定或契約(或類似契約)約定之保存期間、或經您同意之期間內(以期間最長者為準)基於前述特定目的處理、利用及國際傳輸您的個人資料，另將提供下列公司、機構或機關基於前述特定目的處理、利用及國際傳輸，包括： 1. 本公司及各分公司、本公司所屬金融控股公司及其子公司(包括但不限於與本公司共同行銷或交互運用客戶資料者)、與本公司合作推廣業務之公司、未受中央目的事業主管機關限制之國際傳輸個人資料之接收者、您指定之金融機構、與本公司因業務需要訂有契約關係或業務往來之機構(包含但不限於符合「期貨商作業委託他人處理應注意事項」之受委託機構)或顧問(如律師)、受讓本公司全部或部分業務之受讓人。 2. 金融監理、司法、稅務或依法有調查權之機關或爭議處理及徵信機構，包括但不限於證券交易所、期貨交易所、證券櫃檯買賣中心、集中保管結算所、證券商業或期貨商業同業公會(或其他相關商業同業公會)、財團法人證券投資人及期貨交易人保護中心、金融消費評議中心、金融聯合徵信中心、交割銀行等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、買賣、徵信、交易、交割等有關之相關機構，及對前述第1點所列利用對象有管轄權之國內外金融監理機構、司法機關或其他相關政府機關。
4	利用之地區	獲主管機關許可經營及經營營業登記項目或章程所定之業務，其營業活動之相關地區及為達蒐集、處理、利用目的所必須使用之相關地區：包含本公司(含總公司及各分公司)、與本公司有控制、從屬關係之母、子公司或集團關係之公司暨其分公司、與本公司或前述公司因業務需要而訂有契約或有業務往來之機構或顧問等所在之地區、或依法須提供之金融監理、司法、稅務或	

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		其他國內外政府機關或第三方機構、台端指定之對象所在之地區（如涉及國際傳輸個人資料，以未受中央目的事業主管機關限制之接收者所在地為限）。	
5	利用之對象	<p>1. 本公司(含總公司及各分公司)、與本公司有控制、從屬關係之母、子公司或集團關係之公司暨其分公司(包括但不限於與本公司共同行銷或交互運用客戶資料者)、與本公司或前述公司因業務需要而訂有契約或有業務往來之機構（包括但不限於與本公司合作推廣業務之公司或符合「期貨商作業委託他人處理應注意事項」之受委託機構）或顧問（如律師、會計師）、受讓本公司全部或部分業務之受讓人。</p> <p>2. 金融監理、司法、稅務或依法有調查權之機關或爭議處理及徵信機構，包括但不限於證券交易所、期貨交易所、證券櫃檯買賣中心、集中保管結算所、證券商業或期貨商業同業公會(或其他相關商業同業公會)、財團法人證券投資人及期貨交易人保護中心、金融消費評議中心、金融聯合徵信中心、保管機構、交割銀行等，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，及對上述第 1 點所列利用對象有管轄權之國內外金融監理機構、或依法須提供之金融監理、司法、稅務或其他國內外政府機關或第三方機構。</p> <p>3. 台端指定之對象。</p>	<p>(四) 本公司及前項所述對象將在營業活動之相關地區及為達蒐集、處理、利用及國際傳輸目的所需使用之相關地區，包括本國、海外機構所在地、往來銀行及通匯行所在地、未受中央目的事業主管機關限制之國際傳輸個人資料之接收者所在地、本公司業務委外機構所在地、與本公司有業務往來之機構營業處所所在地，透過自動化機器或其他非自動化方式（包含但不限於書面、電子方式或國際傳輸等）處理、利用及國際傳輸您的個人資料。「歐盟一般個資保護規則」如有適用，當進行國際傳輸時，本公司將確保該等傳輸受到法律所要求適當程度之安全保護，如本公司將您的個人資料傳輸至無法保證與中華民國同等個資保護等級的國家或司法管轄區時，本公司將要求接收方提高其對個人資料之保護至與本公司相等程度，以確保您的個人資料不因國際傳輸喪失應受之保護。另本公司個資(含 Cookie)之管理方式，請參本公司官網公告之「隱私權保護須知」。</p> <p>(五) 就本公司保有之您的個人資料，您可以行使以下權利：1. 查詢或請求閱覽或請求製給複製本（本公司依法得酌收必要成本費用）；2. 請求補充或更正（惟依法您應為適當之釋明）；3. 請求停止蒐集、處理、利用、國際傳輸或請求刪除；4. 請求處理限制；5. 請求資料可攜性；6. 拒絕自動化剖析；7. 拒絕直接行銷目的之個人資料處理；惟本公司依法令、契約之要求或因執行業務所必須，得不依您的請求為之。如您欲行使上述權利，可於本公司的官方網站上或本公司寄發給您的資料中找到聯繫本公司的電話號碼、電子郵件信箱或營業單位地址。如您認為本公司未依規定蒐集、處理、利用及國際傳輸您的個人資料，您亦可向本公司或主管機關提出申訴。</p>
6	利用之方式	透過自動化機器或其他非自動化方式（包含但不限於書面、電子方式或國際傳輸等），於前述特定目的範圍內依合理且適法方式處理、利用及國際傳輸台端個人資料。	<p><b>二、臺灣期貨交易所蒐集、處理暨利用個人資料告知書</b></p> <p>您於本公司開立期貨交易帳戶，從事國內外期貨交易，您的相關個人資料會因為交易與結算之需要，由本公司提供予臺灣期貨交易所股份有限公司（以下簡稱期交所）。爰本公司受期交所之委託，代期交所依個人資料保護法第 9 條及「歐盟一般個資保護規則」第 14 條(如有適用)規定告知您下列事項：</p> <p>(一) 機關名稱：臺灣期貨交易所股份有限公司</p>



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		「歐盟一般個資保護規則」如有適用，當進行國際傳輸時，本公司將確保該等傳輸受到法律所要求適當程度之安全保護，如本公司將台端之個人資料傳輸至無法保證與中華民國同等個資保護等級的國家或司法管轄區時，本公司將要求接收方提高其對個人資料之保護至與本公司相等程度，以確保台端之個人資料不因國際傳輸喪失應受之保護。	(二) 蒐集之目的：係為期貨市場交易、結算、監理及稽核等特定目的蒐集。 (三) 個人資料之類別項目：姓名、出生年月日、身分證字號（或僑外投資身分證編號）、職業、聯絡方式、往來金融機構帳號、期貨交易帳號、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開戶資料、期貨買賣委託紀錄、成交紀錄、國內外期貨市場違約紀錄以及結算交割紀錄（含您的權益數、未平倉部位資料、有價證券抵繳保證金資料、支付公債利息資料等）及其他期貨交易與結算相關資料。 (四) 個人資料利用之期間：金融監督管理委員會許可期交所業務經營之存續期間。 (五) 個人資料利用之對象：期交所、臺灣證券交易所股份有限公司、財團法人中華民國證券櫃檯買賣中心、臺灣集中保管結算所股份有限公司、中華民國期貨業商業同業公會、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、司法檢調機關、金融監督管理委員會及其指定之機構，以及其他依法得向期交所取得您個人資料之機構。 (六) 個人資料利用之地區：臺灣。 (七) 個人資料利用之方式：書面、電子檔案。 (八) 其他：
7	台端得之權利及行使該權利之方式與限制	<p><u>台端就本公司所保有之個人資料，得向本公司要求行使以下權利：</u></p> <ol style="list-style-type: none"> <li>1. 查詢、請求閱覽或請求製給複製本，惟本公司得酌收必要成本費用。</li> <li>2. 請求補充或更正，惟台端應為適當之釋明。</li> <li>3. 請求停止蒐集、處理、利用、國際傳輸或請求刪除，惟本公司依法令、契約之要求或因執行業務所必須，得不依台端之請求為之。</li> <li>4. 請求處理限制。</li> <li>5. 請求資料可攜性。</li> <li>6. 拒絕自動化剖析。</li> <li>7. 拒絕直接行銷目的之個人資料處理。</li> </ol> <p><u>如台端欲行使上述權利，可透過以下方式或其他得聯繫本公司之方式提出申請；如台端認為本公司未依規定蒐集、處理、利用及國際傳輸台端之個人資料，台端亦可向本公司或主管機關提出申訴。</u></p> <ol style="list-style-type: none"> <li>1. 聯絡電話：(02)2361-9889</li> <li>2. 凱基期貨官方網站-客服中心</li> </ol>	
8	台端拒不提供個人資料所致權益之影響	<u>台端得自由選擇是否提供相關個人資料。惟如選擇不提供，本公司將無法進行業務必要之審核、處理作業及其他相關服務，本公司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。</u>	<ol style="list-style-type: none"> <li>1. 期交所為市場監理等執行職務所必須，期交所無法應您的要求停止蒐集、處理、利用及刪除您的個人資料或為處理限制。</li> <li>2. 個人資料查詢、閱覽及製給複製本： <ol style="list-style-type: none"> <li>(1) 您的開戶資料、期貨買賣委託紀錄、成交紀錄、結算交割紀錄及您的國內外期貨市場違約紀錄，得於期交所營業時間內查詢、閱覽及請求製給複製本。</li> <li>(2) 您的其他交易資料原則上仍須至開戶交易之期貨商處請求。</li> </ol> </li> <li>3. 個人資料更正、補充：您的個人資料若有錯誤，原則上仍須至開戶交易之期貨商處請求補正或更正。</li> </ol>

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	<p>例如：台端如未完整提供本公司遵循美國海外帳戶稅收遵循法(FATCA)執行美國帳戶調查所需個人資料、或不同意本公司申報美國帳戶資料予美國聯邦政府或中華民國政府，本公司依該法案規定須針對符合特定條件之款項扣繳稅款，並可能須進一步關閉台端之帳戶</p>	<p>您得自由選擇是否提供相關個人資料。惟您如選擇不提供，本公司及期交所將無法進行必要之審核、處理作業及其他相關服務，本公司即得拒絕受理與您的業務往來及其他相關事項之辦理與申請。</p>
<p>貳、如本公司與台端之業務往來需自臺灣期貨交易所股份有限公司之期貨商管理系統蒐集台端之個人資料，茲依據「個人資料保護法」第 9 條第 1 項及「歐盟一般個資保護規則」第 14 條(如有適用)規定，向台端告知下列事項：本公司係為徵信之特定目的，自臺灣期貨交易所股份有限公司之期貨商管理系統取得台端之個人資料與期貨交易有關之違約紀錄。其餘告知內容與上述告知事項相同，不再贅述。</p>	<p>本公司往後將依此告知內容蒐集、處理及利用台端之個人資料，本公司於此告知範圍內蒐集、處理、利用及國際傳輸時，將不再逐一或重複告知。</p> <p>台端同意本公司有權修訂本告知書內容，並同意本公司於修訂後，得於本公司網站上公告或以言詞、書面、電話、簡訊、電子郵件、傳真、電子文件或其他足以使台端知悉或可得知悉之方式（包括但不限於以前述方式告知提供詳載本告知書內容之網站連結），告知台端修訂內容。</p> <p>若台端提供予本公司之資料包含本人以外第三人之個人資料時，台端應且聲明已以適當方式使該第三人知悉其個人資料會提供予本公司，由本公司於上開告知內容範圍內進行蒐集、處理、利用及國際傳輸。台端並應使該第三人同意得為上述蒐集、處理、利用及國際傳輸該第三人之個人資料，並使其理解所有依法應告知之內容及其權利，故本公司得免再告知該第三人。</p>	<p>本公司往後將依此告知內容蒐集、處理、利用及國際傳輸您的個人資料，本公司於此告知範圍內蒐集、處理、利用及國際傳輸您的個人資料時，將不再逐一或重複告知。</p> <p>您同意本公司有權修訂本告知書內容，並同意本公司於修訂後，得於本公司網站上公告或以言詞、書面、電話、簡訊、電子郵件、傳真、電子文件或其他足以使您知悉或可得知悉之方式（包括但不限於以前述方式告知提供詳載本告知書內容之網站連結），告知您修訂內容。</p> <p>若您提供予本公司之資料包含本人以外第三人之個人資料時，您應且聲明已以適當方式使該第三人知悉其個人資料會提供予本公司，由本公司於上開告知內容範圍內進行蒐集、處理、利用及國際傳輸。您並應使該第三人同意得為上述蒐集、處理、利用及國際傳輸該第三人之個人資料，並使其理解所有依法應告知之內容及其權利，故本公司得免再告知該第三人。</p>

**參、臺灣期貨交易所蒐集、處理暨利用個人資料告知書**

台端於本公司開立期貨交易帳戶，從事國內外期貨交易，台端的相關個人資料會因為交易與結算之需要，由本公司提供予臺灣期貨交易所股份有限公司（以下簡稱期交所）。爰本公司受期交所之委託，代期交所依個人資料保護法第9條及「歐盟一般個資保護規則」第14條(如有適用)規定告知台端下列事項：

一、機關名稱：臺灣期貨交易所股份有限公司

二、蒐集之目的：係為期貨市場交易、結算、監理及稽核等特定目的蒐集。

三、個人資料之類別項目：姓名、出生年月日、身分證字號（或僑外投資身分編號）、職業、聯絡方式、往來金融機構帳號、期貨交易帳號、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開戶資料、期貨買賣委託紀錄、成交紀錄、國內外期貨市場違約紀錄以及結算交割紀錄（含您的權益數、未平倉部位資料、有價證券抵繳保證金資料、支付公債利息資料等）及其他期貨交易與結算相關資料。

四、個人資料利用之期間：金融監督管理委員會許可期交所業務經營之存續期間。

五、個人資料利用之對象：期交所、臺灣證券交易所股份有限公司、財團法人中華民國證券櫃檯買賣中心、臺灣集中保管結算所股份有限公司、中華民國期貨業商業同業公會、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、司法檢調機關、金融監督管理委員會及其指定之機構，以及其他依法得向期交所取得您個人資料之機構。

六、個人資料利用之地區：臺灣。

七、個人資料利用之方式：書面、電子檔案。

八、其他：

（一）期交所為市場監理等執行職務所必須，期交所無法應您的要求停止蒐集、處理、利用及刪除您的個人資料或為處理限制。

（二）個人資料查詢、閱覽及製給複製本：

1. 您的開戶資料、期貨買賣委託紀錄、成交紀錄、結算交割紀錄及您的

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<p>國內外期貨市場違約紀錄，得於期交所營業時間內查詢、閱覽及請求製給複製本。</p> <p>2. 您的其他交易資料原則上仍須至開戶交易之期貨商處請求。</p> <p>(三) 個人資料更正、補充：您的個人資料若有錯誤，原則上仍須至開戶交易之期貨商處請求補正或更正。</p> <p>台端得自由選擇是否提供相關個人資料。惟台端如選擇不提供，本公司及期交所將無法進行必要之審核、處理作業及其他相關服務，本公司即得拒絕受理與您的業務往來及其他相關事項之辦理與申請。</p>	
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F_A-3-1-1_外資直接帳戶開戶契約書_(法人)_2025Jun F_A-3-1-2_外資直接帳戶開戶契約書_(自然人)_2025Jun F_A-3-2_外資綜合帳戶開戶契約書_(法人)_2025Jun F_A-11-15_開戶契約書_英文版_(境內外國自然人)_2025Jun								
<div><div><div>XII. Notification for the Collection, Processing, and Utilization of Personal Data</div><div>(Version 7, 2025 June)</div><div>1. With respect to the collection,processing,use and international transmission of your personal data, we, KGI Futures Co. Ltd. (hereinafter “the Company”) hereby inform you of the followings according to Paragraph 1 of Article 8 of Personal Data Protection Act and if applicable, Article 13 of the EU General Data Protection Regulation:</div></div><table><tr><th>No.</th><th>Notification Item</th><th>Notification Content</th></tr><tr><td>1</td><td>Purpose of Collection</td><td><div>1. To operate the businesses approved by the competent authorities and in accordance with the Company’s business registration or articles of incorporation, including but not limited to futures, futures advisory enterprise, managed futures enterprise, securities introducing broker, securities investment consulting enterprise, Leverage transaction merchant, , as well as any other financial services the Company may be permitted to operate in the future (based on the latest scope of business announced by the Company).</div><div>2. To perform matters and operations arising from contractual relationships, quasi-contractual</div></td></tr></table></div> <div></div>		No.	Notification Item	Notification Content	1	Purpose of Collection	<div>1. To operate the businesses approved by the competent authorities and in accordance with the Company’s business registration or articles of incorporation, including but not limited to futures, futures advisory enterprise, managed futures enterprise, securities introducing broker, securities investment consulting enterprise, Leverage transaction merchant, , as well as any other financial services the Company may be permitted to operate in the future (based on the latest scope of business announced by the Company).</div> <div>2. To perform matters and operations arising from contractual relationships, quasi-contractual</div>	<div><div><div>XII. Personal Information Protection Notification</div><div>(version 6, 2024 Oct)</div><div>1. KGI Futures Personal Information Protection Notification</div><div>In consideration of collection, processing, utilization and international transmission of your personal information by KGI Futures Co. Ltd. ( “Company” ), the Company hereby advises you of the following in accordance with Paragraph 1, Article 8 of the Personal Information Protection Act and if applicable, Article 13 of the EU General Data Protection Regulation:</div><div>(1)The Company engages in the collection, processing, utilization and international transmission of your personal information for the following specific purposes:</div><div>(i) Operation of securities and futures, and other business operation defined in laws, registered business lines or articles of association, including relevant acts carried out for the administrative operations or business management of the Company or its parent company(ies), e.g.</div></div></div>
No.	Notification Item	Notification Content						
1	Purpose of Collection	<div>1. To operate the businesses approved by the competent authorities and in accordance with the Company’s business registration or articles of incorporation, including but not limited to futures, futures advisory enterprise, managed futures enterprise, securities introducing broker, securities investment consulting enterprise, Leverage transaction merchant, , as well as any other financial services the Company may be permitted to operate in the future (based on the latest scope of business announced by the Company).</div> <div>2. To perform matters and operations arising from contractual relationships, quasi-contractual</div>						



		<p>relationships, or other legal relationships between you and the Company, and to provide services and operations related to your status as a customer or shareholder. These include credit investigation, marketing (including cross-selling and cooperative promotions), customer management and services, certificate management, e-commerce services, consulting and advisory services, statistical surveys and research analysis, information and database management, information and communications security management, internal audit and internal control system, risk management..</p> <p>3. To perform legal obligations, such as anti-money laundering and counter-terrorism financing operations, risk management, internal control and audit, whistleblowing systems, information security and management, and compliance with domestic and international financial regulations (including but not limited to the U.S. Foreign Account Tax Compliance Act (FATCA), Common Reporting Standard (CRS), and the EU Shareholders' Rights Directive II (SRD II)).</p> <p>4. To comply with orders, investigations, and inspections by financial supervisory, judicial, tax authorities, and other authorities with judicial, prosecutorial, or administrative investigative authority, and to handle litigation, non-litigation, arbitration, or other financial disputes.</p>	<p>registration of securities and securities holders, investment management, property management, information security and management, information and database management, investigation statistics and research analysis, certificate business management, customers' management and services, internal control and audit, risk management, etc.</p> <p>(ii) Performing contract/quasi-contract obligations, providing you with various client services, such as credit checking, marketing, relevant advisory and consultation services.</p> <p>(iii) Performing legal obligations such as implementation of anti-money laundering and counter-terrorism measures, and internal whistleblower system, compliance with financial regulations of various jurisdictions (including but not limited to FATCA, CRS).</p> <p>(iv) Complying orders, investigations, examinations of financial supervisory, judicial, tax regulators and other similar organizations, and handling litigations, non-litigating matters, arbitrations, or resolving financial disputes.</p> <p>(2) The personal information collected by the Company for said purposes or insofar it is required by the business which the Company is involved in includes your basic</p>
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2	Types of Personal Data	Personal data collected within the necessary scope for the aforementioned specific purposes includes basic information (such as name, national identification number, passport number, date of birth, residential/work/email address, telephone/mobile/fax number, education, occupation, employer's name, family status, etc.), account information, credit information, income information, asset or financial information, credit extension information, investment information, location data, online identifiers, data recorded by cookies and similar technologies, and any other information contained in relevant business application forms or contracts that can directly or indirectly identify an individual.	information (e.g. name, ID No., passport No., date of birth, residence/domicile/job/email address, Tel. No./mobile No./Fax No., educational background, occupation, employer's name and status of family, etc.), accounting information, credit information, information about income, assets, financial information, information about loan or investment, location data, online identifier, cookie/information recorded by similar methods, and other information which may be directly or indirectly identify a person, as provided in the related business application forms or contracts.
3	Duration of Use	Within the duration of the Company's business operations as permitted by the competent authority, and within any of the following periods (whichever is the longest): 1. The duration of the aforementioned specific purposes. 2. The retention period as required by applicable laws or as stipulated in contracts (or similar agreements). 3. The retention period necessary for the execution of business operations. 4. The period consented by you.	(3) The Company will process, utilize and internationally transmit your personal information during the period in which said specific purposes persist and the competent authority approves the Company's business operations, or the period required for execution of the business, or by laws or contract (or similar contract), or the period approved by you (whichever is longer). Meanwhile, within the scope of the said specific purposes, the Company will provide the same information to the following companies, organizations or entities for processing, utilization and international transmission of the same, including: (i) Each of the Company's branches, the Company's
4	Areas of Use	The relevant areas where the Company is authorized by the competent authority to operate and where its registered business activities or those stipulated in its	

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		<p>articles of incorporation are conducted, as well as areas necessary for achieving the purposes of personal data collection, processing, and use, include:</p> <p>the Company (including its headquarters and all branches), parent companies, subsidiaries, or affiliates under the Company's control or subordinate relationship, and their respective branches; areas where institutions or consultants that have contractual or business relationships with the Company or the aforementioned companies are located; areas where financial supervisory, judicial, tax authorities, or other domestic or foreign government agencies or third-party institutions to which data must be provided by law are located; and areas where recipients designated by you are located (in the case of international transmission of personal data, limited to jurisdictions not restricted by the central competent authority).</p>	<p>financial holding parent company and its subsidiaries (including but not limited to those with whom the Company conducts co-marketing or client data sharing), the entities with which the Company cooperates for business promotion), receivers of internationally communicated personal information free from restrictions imposed by the central industry competent authority, financial organizations designated by you, entities (including but not limited to any service provider whom the Company engages in accordance with the "Directions for Operations Outsourcing by Futures Commission Merchants" ),or consultants (e.g., attorneys at law) entering into contracts or transactions with the Company for business need, and assignees to succeed to the Company's business, in whole or in part, upon approval of the competent authority.</p>
5	Entities Using Personal Data	<p>1. The Company (including its headquarters and all branches), parent companies, subsidiaries, or affiliates under the Company's control or subordinate relationship, and their respective branches (including but not limited to those engaged in cross-selling or sharing customer data with the Company); institutions or consultants (such as lawyers or accountants) that have contractual or business relationships with the Company or the aforementioned companies due to business needs (including but not limited</p>	<p>(ii) Entities in charge of financial supervision, justice affairs or taxation or with the power of investigation pursuant to laws, or organizations engaged in settlement of dispute and credit investigation, including but not limited to, TWSE, TAIFEX, Taipei Exchange, TDCC, Taiwan Securities</p>

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		<p>to companies cooperating with the Company in promotional activities or entities entrusted in accordance with the “Directions for Operations Outsourcing by Futures Commission Merchants ”); and assignees of all or part of the Company’s business.</p> <p>2. Financial supervisory, judicial, tax authorities, or other authorities with investigative authority, or dispute resolution and credit agencies, including but not limited to the stock exchange, futures exchange, over-the-counter trading center, central securities depository, securities or futures industry associations (or other relevant trade associations), the Securities and Futures Investors Protection Center, the Financial Ombudsman Institution, This also includes other institutions designated by the competent authority related to business operations, supervision, issuance, trading, credit investigation, settlement, and financial supervisory authorities with jurisdiction over the recipients listed in Item 1, or other domestic or foreign government agencies or third-party institutions to which data must be provided by law.</p> <p>3. Recipients designated by you.</p>	<p>Association or Chinese National Futures Association (or other related commercial associations), Securities and Futures Investors Protection Center, Financial Ombudsman Institution, Joint Credit Information Center, and settlement banks, etc., as well as other related organizations designated by the industry competent authority related to the business operation and supervision management inspection, transaction, credit investigation, trading and delivery and the domestic or foreign financial supervisory entities, judicial entities and other related governmental entities which have jurisdiction over the subjects identified in the preceding subparagraph (1).</p> <p>(4) The Company and the persons referred to in the preceding paragraph will process, utilize and internationally transmit your personal information via automated machine or in any other non-automatic manners (including but not limited, in written form, in electronic form or by international transmission, etc.), within the territories related to the business operation and other related territories in which the information is required for the purposes intended for the collection, processing, utilization and</p>
6	Method of Use	By means of automated machines or other non-automated methods (including but not limited to written, electronic, or international transmission),	



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		<p>personal data will be used within the scope of the aforementioned specific purposes in a reasonable and lawful manner.</p> <p>If the EU General Data Protection Regulation (GDPR) is applicable, the Company will ensure that international data transfers are subject to an appropriate level of security protection as required by law. If the Company transfers your personal data to a country or jurisdiction that cannot guarantee a level of personal data protection equivalent to that of the Republic of China (Taiwan), the Company will require the recipient to enhance its data protection measures to a level equivalent to that of the Company, in order to ensure that your personal data remains protected despite the international transfer.</p>	<p>international transmission, including the native country, location of overseas business unit, location of the trading banks and correspondent banks, location of the receivers of internationally communicated personal information free from restrictions imposed by the central industry competent authority, location of the Company's outsourced entities, and location of the business place of the entities trading with the Company. If the EU General Data Protection Regulation is applicable, in transmitting personal information internationally, the Company shall ensure such transmission enjoys adequate level of protection required by law. If the Company transmits your personal information to countries or jurisdictions where same level of protection as provided by the Republic of China cannot be guaranteed, the Company will request the receiver to increase the protection to such level provided by the Company, so as to ensure the protection to your personal information is not be undermined. For the Company's measures in protecting personal information, including cookie, please refer to the Privacy Policy on the official website of the Company.</p>
7	Your Rights and How to Exercise	<p><b><u>You may exercise the following rights regarding your personal data held by the Company:</u></b></p> <ol style="list-style-type: none"> <li>1. To inquire about, request access to, or request a copy of your personal data (the Company may charge necessary fees to cover costs).</li> <li>2. To request supplementation or correction of your personal data (you must provide an appropriate explanation).</li> <li>3. To request the cessation of collection, processing, use, international transmission or to request deletion of your personal data (however, the Company may refuse such requests if it is necessary for the Company to comply with</li> </ol>	<p>(5) You may exercise the following rights with respect to your personal information retained by the Company: 1) make an inquiry, request to view or request a duplicate</p>

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		<p>relevant laws, regulations, and contracts, or to carry out its business.).</p> <p>4. To request restriction of processing.</p> <p>5. To request data portability.</p> <p>6. To object to automated profiling.</p> <p>7. To object to the processing of personal data for direct marketing purposes.</p> <p><u>If you wish to exercise any of the above rights, you may submit a request through the following contact methods or any other means by which you can reach the Company. If you believe the Company has collected, processed, international transported, or used your personal data in violation of applicable regulations, you may also file a complaint with the Company or the competent authority.</u></p> <p>1. Contact Numbers: (02) 2361-9889</p> <p>2. Official Website of KGI Futures</p>	<p>copy (the Company may charge necessary fees in accordance with relevant laws); 2) request to supplement or revise personal information, if a reasonable explanation is provided; 3) request to stop the collection, processing, use, and international transmission or request to delete personal information; ; 4) request to restriction of processing, 5) right to data portability; 6) right to object automated individual decision-making; and 7) right to object to processing of personal information for direct marketing purposes; provided, however, the Company may reject your request if it is necessary for the Company to comply with relevant laws, regulations, and contracts, or to carry out its business. Where you wish to exercise said rights, you may access the Company' s telephone number, email address or business place address on the Company' s official website or in the information sent by the Company to you. You may also lodge a complaint with the Company or regulator if you think the Company does not comply with regulations in collecting, processing, using, and internationally transmitting your personal information.</p>
8	Impact on your rights if you refuse to provide your personal data	<p><b><u>You have the right to freely decide whether to provide your personal data. However, if you choose not to provide such data, the Company may be unable to carry out the necessary reviews, processing operations, and other related services required for business purposes. As a result, the Company may refuse to engage in business transactions with you or process related matters and applications.</u></b></p>	<p>2. Taiwan Futures Exchange ( "TAIFEX" ) Personal Information Protection Notification</p> <p>The Company hereby provides on behalf of TAIFEX the</p>

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		<p>For example, if you do not fully provide the personal data required for the Company to comply with the U.S. Foreign Account Tax Compliance Act (FATCA) in conducting U.S. account investigations, or if you do not consent to the Company reporting your U.S. account information to the U.S. federal government or the government of the Republic of China (Taiwan), the Company may, in accordance with the provisions of FATCA, be required to withhold taxes on certain payments and may further be required to close your account.</p>	<p>following notification made in accordance with Paragraph 1, Article 9 of the Personal Information Protection Act and if applicable, Article 14 of the EU General Data Protection Regulation:</p>
2.	<p>If the dealings between you and the Company call for collection of your personal data from TAIFEX's information reporting system , the Company hereby informs you of the followings in accordance with Paragraph 1 of Article 9 of Personal data Protection Act and if applicable, Article 13 of the EU General Data Protection Regulation:</p> <p>Your personal data, and breach records related to futures transactions is obtained by the Company from TAIFEX's information reporting system for credit checking purpose. For other matters please refer to the above.</p> <p>The Company will continue to collect, process, international transport and use your personal data in accordance with the content of this notification. The Company will not provide separate or repeated notifications for such collection, processing, and use within the scope of this notification.</p> <p>You agree that the Company has the right to amend the content of this notification and that, upon such amendment, the Company may notify you by posting on its website or through verbal, written, telephone, SMS, email, fax, electronic documents, or any other means sufficient to inform or make the content accessible to</p>		<p>(1) Notifying party: TAIFEX.</p> <p>(2) Purpose for collection: trading, settlement, supervision, audit of futures market.</p> <p>(3) Type of personal information: name, date of birth, ID number (or FINI number), occupation, contact information, bank accounts, futures trading accounts, name, ID number of authorized persons, telephone number, name and telephone number of contact person, order placing and execution records, default records in domestic or foreign markets, settlement records, as well as other relevant information.</p> <p>(4) Period: during the period TAIFEX is permitted by the Financial Supervisory Commission ( "FSC" ) to conduct its business.</p> <p>(5) Parties to use: TAIFEX, Taiwan Stock Exchange, Taipei Exchange, TDCC, Futures Association, Securities and Futures Investors Protection Center, Financial Ombudsman Institution, tax or judicial authorities, FSC and its designated entities, as well as other institutions that may obtain your personal information under the laws.</p> <p>(6) Location: Taiwan.</p>

you (including, but not limited to, providing a website link containing the full content of this notification via the aforementioned methods).

If the data you provide to the Company includes personal data of third parties other than yourself, you declare that you have properly informed such third parties that their personal data will be provided to the Company and will be collected, processed, international transported, and used within the scope of this notification. You shall also ensure that such third parties have consented to the aforementioned collection, processing, use, and international transfer of their personal data, and that they understand all legally required notifications and their rights. Therefore, the Company is not required to provide separate notification to such third parties.

### 3. Taiwan Futures Exchange (“TAIFEX”) Personal Information Protection Notification

The Company hereby provides on behalf of TAIFEX the following notification made in accordance with Paragraph 1, Article 9 of the Personal Information Protection Act and if applicable, Article 14 of the EU General Data Protection Regulation:

- (1) Notifying party: TAIFEX.
- (2) Purpose for collection: trading, settlement, supervision, audit of futures market.
- (3) Type of personal information: name, date of birth, ID number (or FINI number), occupation, contact information, bank accounts, futures trading accounts, name, ID number of authorized persons, telephone number, name and telephone number of contact person, order placing and execution records, default records in domestic or foreign markets, settlement records, as well as other relevant information.
- (4) Period: during the period TAIFEX is permitted by the Financial Supervisory

(7) Method: in writing or electronic files.

(8) Others:

- (a) TAIFEX is not able to cease collecting, processing, using, or deleting your personal information per your request, for carrying out its market supervisory duties.
- (b) Make inquiries, request to view or request a duplicate copy:
  - i. you may do so during TAIFEX’ s office hours with regard to your account opening information, futures trading and execution records, settlement records, and default records in domestic or foreign markets.
  - ii. please approach your futures broker for other information.
- (c) Supplement or revise personal information: please approach your futures broker for such request.

You are free to provide your personal information. However, if you refuse to provide, the Company nor the TAIFEX will not be able to carry out the necessary review and process and provide other related services. Therefore, the Company may reject your request or application for conducting business or other related matters with the Company.

The Company will collect, process, use and internationally transmit your personal information in accordance with this



# 開戶契約修正對照表

2025/06

<p>Commission (“FSC”) to conduct its business.</p> <p>(5) Parties to use: TAIFEX, Taiwan Stock Exchange, Taipei Exchange, TDCC, Futures Association, Securities and Futures Investors Protection Center, Financial Ombudsman Institution, tax or judicial authorities, FSC and its designated entities, as well as other institutions that may obtain your personal information under the laws.</p> <p>(6) Location: Taiwan.</p> <p>(7) Method: in writing or electronic files.</p> <p>(8) Others:</p> <p>(a)TAIFEX is not able to cease collecting, processing, using, or deleting your personal information per your request, for carrying out its market supervisory duties.</p> <p>(b) Make inquiries, request to view or request a duplicate copy:</p> <p>i. you may do so during TAIFEX’s office hours with regard to your account opening information, futures trading and execution records, settlement records, and default records in domestic or foreign markets.</p> <p>ii. please approach your futures broker for other information.</p> <p>(c)Supplement or revise personal information: please approach your futures broker for such request.</p> <p><b>You are free to provide your personal information. However, if you refuse to provide, the Company nor the TAIFEX will not be able to carry out the necessary review and process and provide other related services. Therefore, the Company may reject your request or application for conducting business or other related matters with the Company.</b></p>	<p>Statement. The Company will not inform you again if the collection, process, use and international transmission of your personal information is within the scope of this Statement.</p> <p>You agree that the Company may amend the contents herein and may inform you of the updated version by any method that enables you to be aware of the amendment, including but not limited to, posting the same on company website(s) or providing links to such website(s), disclosing the same verbally or in writing, via telephone, messages, e-mails, fax, or electronic documents.</p> <p>If the information you provide include personal information of a third party, you should and you represent you have, inform such third party that his/her personal information will be provided to the Company. You should ensure the third party agrees the Company may collect, process, use and internationally transmit his/her personal information and that he/she understands the contents he/she should be notified and his/her rights; thus the Company does not need to inform the third party again.</p>
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The Company will collect, process, use and internationally transmit your personal information in accordance with this Statement. The Company will not inform you again if the collection, process, use and international transmission of your personal information is within the scope of this Statement.

You agree that the Company may amend the contents herein and may inform you of the updated version by any method that enables you to be aware of the amendment, including but not limited to, posting the same on company website(s) or providing links to such website(s), disclosing the same verbally or in writing, via telephone, messages, e-mails, fax, or electronic documents.

If the information you provide include personal information of a third party, you should and you represent you have, inform such third party that his/her personal information will be provided to the Company. You should ensure the third party agrees the Company may collect, process, use and internationally transmit his/her personal information and that he/she understands the contents he/she should be notified and his/her rights; thus the Company does not need to inform the third party again.