

To: Luk Fook Securities (Hong Kong) Limited (“LFSHK”)

致：六福證券(香港)有限公司

## Undertaking Letter for Trading of Taiwan Securities

### 買賣台灣證券承諾書

According to Article 10 of Republic of China's (i.e. Taiwan's) “Regulations Governing Investment in Securities by Overseas Chinese and Foreign Nationals”, offshore foreign institutional investors (“FINI”) investing in securities listed on the Taiwan Stock Exchange (“TWSE”) and/or the Taipei Exchange (“Taiwan Securities”) must register with the TWSE. It requires funds remitted by the FINI to invest in any investment products listed on the aforementioned exchanges do not come from Republic of China (i.e. Taiwan) or the People's Republic of China.

根據中華民國(即台灣)之「華僑及外國人投資證券管理辦法」第十條，境外機構投資人(“FINI”)投資在台灣證券交易所上市的證券(“台灣證券交易所”)和/或台北證券交易所(“台灣有價證券”)必須在台灣證券交易所註冊。FINI匯入台灣投資有價證券之資金非來自台灣或中國大陸地區。

Furthermore, offshore overseas Chinese and foreign nationals (i.e. foreign investors) are defined as “[...] those who have a nationality other than the Mainland Area, are at least 20 years old and hold an identification certificate”, under Article 7 of TWSE's “Operation Directions for Applications by Overseas Chinese, Foreign Nationals, and Mainland Area Investors for Registration to Invest in Domestic Securities or Trade Domestic Futures”. Offshore foreign institutional investors mean those institutions incorporated outside the territory of the ROC, according to the laws and regulations of the locale.

依據台灣證券交易所股份有限公司「華僑及外國人與大陸地區投資人申請投資國內有價證券或從事國內期貨交易登記作業要點」，境外華僑及外國自然人係指具有中國大陸地區以外之國籍，年滿二十歲持有身分證者；境外外國機構投資人：係指在中華民國境外，依當地政府法令設立登記者。

In consideration of Luk Fook Securities (Hong Kong) Limited's role as an FINI and its obligation to make declarations to the TWSE, THE UNDERSIGNED HEREBY AGREES AND UNDERTAKES AS FOLLOWS:

鑑於六福證券(香港)有限公司作為FINI向台灣證券交易所做出聲明及相應之義務，以下簽章人士同意並承諾如下：

- A. I/We shall invest in Taiwan Securities via Luk Fook Securities(Hong Kong) Limited and the funds to be transmitted to Taiwan for investing in Taiwan securities by me/us/ the ultimate beneficial owner of the account are not originated from Taiwan or the Mainland China.  
本人/我們透過六福證券(香港)有限公司投資於台灣有價證券，而本人/我們或帳戶最終受益人擬匯入台灣投資有價證券之資金非來自台灣或中國大陸地區。
- B. I/We shall not use unjust measures to affect the fairness or order of the Taiwan financial market and also will abide by the regulations stipulated by all relevant regulatory authorities.  
本人/我們絕不以不當手段干擾台灣金融市場運作，亦會遵守所有相關監管機構的規定。
- C. I/We DO **NOT** hold nationality / citizenship /household registration of or passports issued by Mainland China.  
本人/我們非為中國大陸地區之國民/公民，且不持有中國大陸所簽發的戶籍或護照。
- D. I/We hold household registration of or passports issued by districts or countries other than Taiwan.  
本人/我們持有非為台灣所簽發之戶籍或護照。
- E. I/We undertake that I/we shall, upon the LFSHK's request, provide any documents and/or information for identifying or verifying the identity(ies) of me/us and/or the ultimate beneficial owner(s) of the captioned account (if applicable). I/We also agree to provide any documentary proofs showing that the transmitted funds were not originated from Taiwan or the Mainland China upon the LFSHK's request.  
本人/我們承諾本人/我們將依 貴公司要求，提供任何可識別或核實本人/我們等及/或述明之帳戶的最終受益人(如適用)之身份的文件及/或資料。本人/我們並同意依 貴公司要求提供匯入資金非來自台灣或中國大陸地區之證明文件。
- F. Here and now, I/we/the ultimate beneficial owner (please tick the suitable option):  
本人/我們或帳戶最終受益人現在(請勾選適當選項)：

- am/are insider(s) of a Taiwan listed company in accordance with the relevant present law and regulations of Taiwan, for instance (i)directors, (ii)supervisors, (iii)managers or (iv)shareholders holding 10% or above shares of a Taiwan listed company (spouses, minor children and owners of shares held under the name of third parties inclusive).

是根據現時台灣相關法例所定義之台灣上市公司內部人，例如擔任台灣上市公司之(i)董事、(ii)監察人、(iii)經理人或(iv)持有台灣上市公司股份超過股份總額百分之十之股東(含本人、配偶、未成年子女及利用他人名義持有者)。

Name of Listed Company 上市公司名稱	Stock Code 股票代號
Position held in the Listed Company : 上市公司擔任之職位/身份:	Shareholders holding % 持股比例

Understand that I/we, as insider(s), shall not acquire shares of above listed company through LFSHK.

Otherwise, LFSHK shall have absolute right to cease to act upon any non-conforming order(s) or/and dispose of any non-conforming shares and inform authorities of any non-conforming aspects, without obtaining prior consent from me/us or giving prior notice to me/us.

本人/我們了解，作為內部人不應透過六福證券(香港)買入該上市公司股票；否則，貴公司有絕對權力停止執行與上述承諾不符的訂單、出售與上述承諾不符的股票及將與上述承諾不符的事宜通知有關當局，而無需獲取本人/我們的事先同意，亦無需事前通知本人/我們。

- am/are **NOT** insider(s) of a Taiwan listed company in accordance with the relevant present law and regulations of Taiwan, for instance (i)directors, (ii)supervisors, (iii)managers or (iv)shareholders holding 10% or above shares of a Taiwan listed company (spouses, minor children and owners of shares held under the name of third parties inclusive).

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- G. I/We agree that Luk Fook Securities(Hong Kong) Limited shall execute foreign exchange transactions to settle the securities in the currency denominated in the traded securities on behalf of me/us which are sufficient to pay all the settlement amount upon conversion into the currency of value. The exchange rate shall be the quoted price on the day when Luk Fook Securities (Hong Kong) Limited shall exchange the money, and the exchange rate risk and related costs shall be borne by me/us.

本人/我們同意六福證券(香港)有限公司得逕行代理本人/我們辦理換匯，兌換足以支付所有成交計價幣別之交割款項；匯率依六福證券(香港)有限公司換匯當日所報價位為準，匯率風險及相關費用由本人/我們自行承擔。

- H. I/We shall be legally liable if this Declaration is untrue.

本聲明如有不實，本人/我們願負一切法律責任。

- I. I/We shall immediately notify Luk Fook Securities (Hong Kong) Limited should there be any changes to my/our position(s) after signing this Declaration.

本人/我們的身份若在簽署本聲明後有任何更改，會即時通知六福證券(香港)有限公司以作修正。

Account Name  
賬戶名稱

\_\_\_\_\_

Account No.  
賬戶號碼

\_\_\_\_\_

Name of the  
Authorized Persons(s)  
if NOT account holder  
獲授權代理人姓名  
(若非賬戶持有人)

\_\_\_\_\_

Signature of the Account Holder or Authorized Person(s)  
持有人或獲授權代理人簽字

\_\_\_\_\_