

## 買賣有價證券開戶總契約

### ACCOUNT OPENING MASTER AGREEMENT

(編號: ) (下稱「客戶」, 經中華民國法令許可包括但不限於外資及大陸地區投資人) 茲依據台灣證券交易所股份有限公司(以下稱「證券交易所」)及財團法人中華民國證券櫃檯買賣中心(下稱「櫃檯中心」)之規定, 委託\_\_\_\_\_證券股份有限公司台北分公司(下稱「證券商」)在證券交易所、櫃檯中心市場及在證券商營業處所買賣證券, 除於實際委託買賣時由客戶另行通知每次委託買賣證券名稱、數量及委託買賣證券之條件外, 由證券商之營業員依照規定製作委託書及由保管銀行辦理交割並負責保管證券外, 特先行簽訂買賣有價證券開戶總契約(以下簡稱「本契約」), 並同意共同遵守下列條款:

(the "Client" permitted by applicable R.O.C. Laws and Regulations including but not limited to Foreign Investor and Mainland Area Investor) pursuant to the relevant regulations of the Taiwan Stock Exchange Corporation (the "TWSE") and GreTai Securities Market (the "GTSM") hereby appoints \_\_\_\_\_ (the "Broker") to buy and sell securities on the TWSE and GTSM market. The Client will advise the Broker of the names and quantities of securities and other terms of the order. The Broker's sales representatives will, accordingly, fill out the required order slips. The settlement and custody of securities shall be handled by the Custodian. This Account Opening Master Agreement (the "Agreement") is executed to stipulate the general terms and conditions for the purchase and sale of securities and the provisions hereunder shall be duly complied with by all parties:

#### 第一條 集中市場買賣有價證券開戶契約

#### Article 1. Account Opening Agreement for the Securities Transaction at the Centralized Market.

一、證券交易所之章程、營業細則、證券經紀商受託契約準則、有關公告事項、修訂章則等, 行政院金融監督管理委員會、證券集中保管公司、證券商業同業公會之規約及其他相關法令章則、公告函釋〔以下簡稱「法令章則」〕, 均為本契約之一部分, 本契約簽訂後, 上開法令章則如有修正者, 亦同。

The TWSE Articles of Incorporation, the TWSE Operational Rules, the Guidelines for Brokerage Agreement, announcements or amendments with respect thereto made by the TWSE from time to time, the rules, and other regulations, announcements, and interpretation made by the Financial Supervisory Commission, Executive Yuan, Securities Central Depository Company, and/or Securities Association (the "Rules and Regulations"), shall be incorporated herein by reference and made a part of this Agreement. If the Rules and Regulations are amended, the amended Rules and Regulations shall be deemed to be incorporated herein and made a part of this Agreement.

二、證券商必須依據客戶之書信、電報、電話、IC 卡、網際網路、電信、當面委託或其他經主管機關核准之委託方式, 據實製作委託書, 列印或留存買賣委託紀錄, 並依據委託書或委託買賣紀錄所載委託事項執行之。

證券商基於風險控管或與客戶往來狀況等事由, 得限制或拒絕客戶之委託。

客戶以前述方式通知委託買賣, 如有錯誤而其錯誤之原因非為可歸責於證券商之事由者, 由客戶自行負責。

The Broker shall correctly complete order slips, print out the order record or maintain transaction records, based on the Client's written, telegraphic, telephone, IC Card, internet, telecommunications, or face-to-face instruction or via other means permitted by the competent authorities. The Broker shall execute the orders in accordance with the order slips or the transaction records.

The Broker may refuse or limit orders placed by the Client on the grounds of risk control or related conditions with the Client, etc.

If any error exists in an order placed by the Client as above and such error is not attributable to the Broker, the Client will be responsible for the error.

三、客戶應依法令章則於規定交割時間前確認已成交之有價證券交易, 並完成交割等相關事宜。

The Client shall confirm the matched securities transactions prior to the settlement time prescribed by the applicable Rules and Regulations and settle the transactions.

四、證券商受託買賣有價證券於成交後, 得依照與客戶之協議向客戶收取手續費及其他相關費用, 客戶應如數給付, 證券商並得依當時市場慣例並於法令章則容許之範圍內自客戶之款項中扣抵。

After the trade is matched, the Broker shall be entitled to charge commissions and other related expenses from the Client as agreed with the Client and the Client shall pay such commission and such expenses in full. The Broker may, in accordance with the market practice and to the extent permitted by the Rules and Regulations, deduct the above amounts from the funds of the Client.

五、客戶不按期履行交割代價或交割證券者, 即為違約, 本契約當然終止。惟證券商仍應依法令章則, 代客戶辦理該違約交割之交割手續, 並得向客戶收取違約金。證券商因代辦交割所收取之有價證券, 應委託其他證券商在證券交易所集中交易市場予以處理; 此項處理所得或證券商代辦交割所收取之對價抵銷客戶因違約所生債務、費用、賠償責任及違約金後有剩餘者, 應退還客戶; 如有不足, 得處分因其他委託買賣關係所收或應付客戶之財物予以扣抵取償, 如仍有不足, 得向客戶追償。

客戶因遲延給付結算產生之借券、代付款項及其他相關費用時, 應於完成給付結算時一併返還證券商。

If the Client defaults in the delivery of securities or making payment in any settlement, such shall constitute a breach of this Agreement and this Agreement shall be automatically terminated; provided, that the Broker shall, on behalf of the Client, nevertheless complete the settlement procedures for such transactions pursuant to the Rules and Regulations. Where the Broker settles such transactions for and on behalf of the Client, the Broker may claim against the Client for a penalty. The securities received by the Broker in such settlement

procedures should be delivered to another broker and sold on the TWSE market; the proceeds, thus, recovered or the purchase price received by the Broker from the settlement, shall be applied to set-off the Client's obligations in respect of the aforementioned debt, expenses, indemnification liability and default penalty payment arising as a result of the Client's breach of this Agreement. Any excess shall be returned to the Client. If there is an insufficiency, the Broker may dispose of the assets obtained by the Broker due to any mandated sale or purchase relationship or retain any proceeds payable to the Client as a result of any trade transactions and apply same to the indebtedness arising out of the subject trade transaction. If such is insufficient, then the Broker may seek payment from the Client. Any delay in settlement which results in borrowing of securities, payments made by the Broker on behalf of the Client, or other related fees, the Client shall pay all such amounts to the Broker when completing settlement.

六、證券商因委託買賣關係所收受客戶之財物，及交易計算上應付予客戶之款項，得視為客戶對於證券商因交易所生之債務而留置，非至客戶清償其債務後，不予返還。

The Client's assets obtained by the Broker due to any mandated sale or purchase relationship and any proceeds payable to the Client as a result of any trade transaction may be retained by the Broker and applied to the indebtedness arising out of such trade transaction and shall not be returned to the Client until the Client has settled its debt.

七、若發生非證券商所能控制之不可抗力情事，造成傳輸或任何通訊系統中斷或其他障礙，致證券商無法或遲延履行本契約下對客戶之義務時，證券商免負其責。

The Broker shall not be responsible for the Broker's inability to perform or delay in performing its obligations to the Client under this Agreement as a result of any disruptions of transmission or communication link operation or other obstacles caused by force majeure events that are out of the control of the Broker.

## 第二條 櫃檯中心買賣有價證券開戶契約 **Article 2. GTSM Trading Account Opening Agreement.**

一、櫃檯中心之「業務規則」、規約、有關公告事項、修訂章則等，行政院金融監督管理委員會、證券集中保管公司、證券商業同業公會之規約及其他相關法令章則、公告函釋〔以下簡稱「櫃檯中心法令章則」〕，均為本契約之一部分，本契約簽訂後，上開櫃檯中心法令章則如有修正者，亦同。

The "Business Operation Rules for the Purchase and Sale of Securities at the Business Premises of Securities Firms (the "GTSM Rules")", regulations, announcements and amendments with respect thereto made by the GTSM from time to time, the rules, and other regulations, announcements and interpretations made by the Financial Supervisory Commission, Executive Yuan, Securities Central Depository Company, and/or the Securities Association (the "GTSM Rules and Regulations") shall be incorporated herein by reference and made a part of this Agreement. If the GTSM Rules and Regulations are amended, the amended the GTSM Rules and Regulations shall be deemed to be incorporated herein and made a part of this Agreement.

二、櫃檯買賣依經紀或自營方式，以議價或等價、等殖成交方法為之。其以經紀方式為櫃檯買賣者，應於成交後，得依照與客戶之協議向客戶收取手續費及其他相關費用，客戶應如數給付，證券商並得依當時市場慣例並於櫃檯中心法令章則容許之範圍內自應付客戶之款項中扣抵；其以自營方式為櫃檯買賣者，不得收取手續費。

GTSM transactions may be conducted by brokerage or trading as principal, at the price negotiated, or through the price match or yield match system. If GTSM transactions are handled by brokerage, after the trade is matched, the Broker shall be entitled to charge commissions and other related expenses to the Client as agreed with the Client from time to time and the Client shall pay such commissions and such expenses in full. The Broker may, in accordance with then market practice and to the extent permitted by the GTSM Rules and Regulations, deduct the above amounts from the funds of the Client. If the GTSM transactions are conducted by trading with the Broker as principal, no commission shall be collected.

三、證券商接受經紀買賣之委託，必須依據客戶之書信、電報、電話、IC 卡、網際網路、電信、當面委託或其他經主管機關核准之委託方式，據實製作委託書，列印或留存買賣委託紀錄，並依據委託書或委託買賣紀錄所載委託事項執行之。

證券商基於風險控管、或與客戶往來狀況之事由，得限制或拒絕客戶之委託。

客戶以前述方式通知委託買賣，如有錯誤而其錯誤之原因非為可歸責於證券商之事由者，由客戶自行負責。

When accepting orders for brokerage transactions, the Broker shall correctly complete order slips, print out the order record or maintain transaction records, based on the Client's written, telegraphic, telephone, IC Card, internet, telecommunications or face-to-face instruction or via other means permitted by the competent authorities. The Broker shall execute the orders in accordance with the order slips or the transaction records.

The Broker may refuse or limit orders placed by the Client on the grounds of risk control or related condition with the Client, etc.

If any error exists in an order placed by the Client as above and such error is not attributable to the Broker, the Client will be responsible for the error.

四、證券商以經紀方式為櫃檯買賣者，應依櫃檯中心法令章則製發買賣報告書交由客戶簽章(客戶已簽立給付結算款券轉撥同意書或依櫃檯中心法令規章得以匯撥(匯款)方式收受或交付價金者，得免簽章)，證券商應收受或交付客戶之價金一律透過客戶在金融機構存款帳戶辦理；其應收或交付客戶之有價證券並依據「臺灣集中保管結算所股份有限公司業務操作辦法」辦理。

## 本會 99 年 12 月 16 日第 4 屆第 6 次理事會通過

證券商以自營方式為櫃檯買賣者，應依櫃檯中心法令章則製發買賣成交單、給付結算憑單及交付清單(如為現券交付者)交由客戶簽章，並依櫃檯中心規定之期限前結算價款、收付有價證券，或自行依「臺灣集中保管結算所股份有限公司業務操作辦法」有關規定為有價證券之給付。

Where an GTSM transaction is conducted by brokerage, the Broker shall prepare a Buy/Sell Report for the Client's signature or chop in accordance with the GTSM Rules and Regulations (the Client need not sign or chop if (i) the Client has executed a letter of consent to the delivery or receipt of cash and/or securities directly from the relevant bank account and securities book-entry account; or (ii) the receipt or delivery of payment is made by remittance pursuant to the GTSM Rules and Regulations). The purchase price to be received by the Broker or delivered to the Client shall be transferred through the Client's bank account, and the securities to be received by the Broker or to be delivered to the Client shall be handled in accordance with the relevant provisions of the "Business Operation Procedures of the Taiwan Depository & Clearing Corporation."

Where an GTSM transaction is conducted by trading with the Broker as principal, the Broker shall prepare a Buy/Sell Report and a Payment Settlement Slip and Delivery Slip (if share certificates are delivered) for the Client's signature or chop in accordance with the GTSM Rules and Regulations and the Broker shall settle the purchase price, handle the collection of the securities and/or the delivery thereof by such time and date as prescribed by the GTSM or in accordance with the relevant provisions of the "Business Operation Procedures of the Taiwan Depository & Clearing Corporation".

- 五、證券商接受客戶委託買賣債券，買賣之他方證券商違背給付結算義務時每逾一營業日，證券商得按成交金額之千分之一向他方證券商請求違約金；他方證券商逾三營業日仍未完成給付結算，證券商應即行使買賣契約解除權，向他方證券商請求返還其交付之債券或價金暨損害賠償。

證券商依前項規定收取之債券或價金、違約金暨損害賠償應於收取後，轉交客戶。

Where the Broker accepts an order placed by the Client for the purchase or sale of bonds, and the counterparty securities firm defaults in its obligation to settle the transaction, the Broker may demand from the counterparty securities firm a penalty equal to 0.1% of the transaction amount for every business day during the default period. If the counterparty securities firm fails to complete settlement within three (3) business days, the Broker may immediately exercise its right to terminate the transaction agreement, and claim against the counterparty securities firm for return of the bond or payments already delivered to such counterparty securities firm, plus indemnification for losses and damages.

The bond or payments, penalty and losses and damages received by the Broker in accordance with the proceeding paragraph shall be delivered to the Client.

- 六、客戶違背給付結算義務時，證券商得終止本開戶契約及註銷其帳戶，並依櫃檯中心「櫃檯買賣證券經紀商申報客戶遲延給付結算及違約案件處理作業要點」規定申報違約，代辦給付結算手續，並得向客戶收取相當成交金額之違約金。

證券商依前項規定代辦給付結算所受之證券或代價，應於客戶違約後第一營業日在證券商開立之違約專戶予以處理，處理所得抵充客戶因違約所生之債務及費用後有剩餘者，應返還客戶；如有不足，得處分因其他委託買賣關係所收或應付客戶之財物予以抵扣取償，如仍有不足，再向客戶追償。

客戶因遲延給付結算產生之借券、代付款項及其他相關費用時，應於完成給付結算時一併返還證券商。

證券商依前三項規定處理後，應即依櫃檯中心「財團法人中華民國證券櫃檯買賣中心櫃檯買賣證券經紀商申報客戶遲延給付結算及違約案件處理作業要點」規定辦理申報，並通知客戶。

In the event the Client breaches its obligation to settle, this Agreement shall be automatically terminated and the Broker shall immediately close the Client's account, report such breach to the GTSM in accordance with the GTSM's "Criteria for the Handling of the Investor's Delay in Settlement and Failed Trades as Reported by the Broker for GTSM Transactions" and complete the settlement procedures on behalf of the Client. Where the Broker settles such transaction for and on behalf of the Client, the Broker may claim against the Client for a penalty.

The securities or purchase price received by the Broker pursuant to such settlement mentioned in the above paragraph, shall be placed in a special account for failed trades on the 1<sup>st</sup> business day following the date of the Client's failed trade. The proceeds thereof shall be applied to set-off the debts and costs resulting from the Client's such default (the "Client's Obligations"). If such proceeds exceed the Client's Obligations, the excess shall be returned to the Client. If such proceeds are insufficient to meet the Client's Obligations, the Broker may apply the proceeds resulting from the sale of any financial assets received or payable to the Client from other mandated trades to such shortfall. If such proceeds remain insufficient to meet the Client's Obligations, the Broker may seek payment from the Client.

Any delay in settlement which results in borrowing of securities, payments made by the broker on behalf of the Client, or other related fees, the Client shall pay all such amounts to the Broker when completing settlement.

After the Broker has completed the procedures described in the preceding three paragraphs, the Broker shall report in accordance with "Criteria for the Handling of the Investor's Delay in Settlement and Failed Trades as Reported by the Broker for GTSM Transactions" to the GTSM and notify the Client.

- 七、若發生非證券商所能控制之不可抗力情事，造成傳輸或任何通訊系統中斷或其他障礙，致證券商無法或遲延履行本契約下對客戶之義務時，證券商不負責任。

The Broker shall not be responsible for the Broker's inability to perform or delay in performing its obligations to the Client under this Agreement as a result of any disruptions of transmission or computer link operation or other obstacles caused by force majeure events that are out of the control of the Broker.

#### 八、櫃檯中心買賣有價證券確認書

客戶與證券商簽訂櫃檯買賣有價證券開戶契約時，已確認明瞭並同意附件一櫃檯中心買賣有價證券確認書所載相關事項，並願遵守櫃檯中心公布之章則、公告及其他相關規定，進行櫃檯買賣有價證券事宜。

##### GTSM Trading Affirmation

Upon executing this GTSM Trading Account Opening Agreement, the Client hereby affirms that it understands the matters stated in the attached GTSM Trading Affirmation (Appendix I) and agrees to abide by the regulations, announcements and other relevant rules made by the GTSM for the securities trade over-the-counter.

#### 第三條 認購(售)權證風險預告書

##### **Article 3. Warrant Risk Notice**

客戶與證券商簽訂買賣有價證券開戶總契約時，已確認收到附件二認購(售)權證風險預告書，業已明瞭該風險預告書所載認購(售)權證交易之風險，並承諾投資風險自行負責。

Upon executing this Account Opening Master Agreement, the Client hereby

(i) acknowledges receipt of the attached Warrant Risk Notice (Appendix II), and

(ii) confirms that it fully understands the risk associated with trading of warrants as set forth in the Warrant Risk Notice and agrees to be fully responsible for the above risks.

#### 第四條 對帳單

##### **Article 4. Account Statement**

證券商受託買賣有價證券，應於每月底編製對帳單，並依法令章則送交客戶或其在台代理人，並得以電子檔經台灣證券交易所資訊交換平台為之。

At the end of each month, the Broker shall produce reconciliation statements and deliver them to the Client or its local agent as requires by local regulations. The delivery of such statements may be done via the Electronic Information Exchange Platform of TWSE.

#### 第五條 仲裁

##### **Article 5. Arbitration.**

本契約即為仲裁協議。客戶與證券商因本契約所生之爭議，得依證券交易法有關仲裁之規定提交仲裁或向中華民國證券商業同業公會、財團法人證券投資人及期貨交易人保護中心申請調處。仲裁程序概依仲裁法規定，仲裁地為台北市。

This Agreement shall be deemed an arbitration agreement Disputes arising under this Agreement shall be settled by arbitration in accordance with the arbitration provisions of the Securities and Exchange law or by applying for a conciliation with the Taiwan Securities Association, Securities and Futures Investors Protection Center. Arbitration procedures shall be conducted in accordance with the Arbitration Act. The place of arbitration shall be Taipei.

#### 第六條 保密義務

##### **Article 6. Confidentiality.**

證券商對於客戶之一切委託事項有嚴守秘密之義務。但依法令之規定或就主管機關、司法機關(包括法院及檢察機構)、證券交易所、櫃檯中心及證券集中保管事業查詢案件之答覆；或於遵循中華民國之電腦處理個人資料保護法及證券交易法相關保密規定範圍內所為之證券商或其關係企業內部揭露者；或於符合保密原則所為之徵信、風險控管、稽核或資料管理等項目的而委外處理或揭露者，不在此限。

The Broker shall keep all mandated matters of the Client strictly confidential. However, the above shall not apply to disclosures (i) made in accordance with laws or regulations; (ii) made in response to inquiries from the competent authority, **judicial authority** (including without limitations, courts and prosecutors)、TWSE、GTSM or the Securities Central Depository Company; (iii) made internally within the Broker or its **affiliates** in accordance with the relevant confidentiality provisions in the Computer Processing Personal Data Protection Law or Securities and Exchange Law of the R.O.C.; or (iv) made under outsourcing arrangement for purposes of credit review, risk control, audit, or information management, etc. done in compliance with applicable confidentiality principles.

#### 第七條 帳戶註銷與契約終止

##### **Article 7. Cancellation of the Account and Termination of the Agreement.**

一、除有關法令章則或本契約另有規定外，證券商及客戶均得於十四日前以書面通知註銷已開立之個別證券買賣交易帳戶，又客戶如連續三年未曾委託買賣，證券商亦得以書面通知客戶註銷該帳戶。

Except as otherwise provided by the applicable rules and regulation or by this Agreement, either the Broker or the Client may cancel any individual securities transaction account by giving a fourteen days prior written notice of such cancellation to the other. If the Client fails to place orders for GTSM transaction for three consecutive years, the Broker may notify the Client in writing to cancel the account.

二、除有關法令章則另有規定外，證券商及客戶均得於一個月前以書面通知終止本契約。

Except as otherwise provided for in the applicable rules and regulation, either the Broker or the Client may terminate this Agreement by giving one month's prior written notice to the other.

**第八條 準據法**

**Article 8. The Governing Law.**

一、本契約以中華民國法令為準據法。

This Agreement shall be governed by the laws of R.O.C.

二、本契約之中文與英文如有文義歧異，應以中文為主。

If there is both an English and Chinese version of this Agreement, the Chinese version shall govern in the event of any discrepancy.

客戶：

The Client:

身分編號：

完成登記日期：

客戶在台代理人：

Agent for the Client:

地 址：

電 話：

證券商：\_\_\_\_\_證券股份有限公司台北分公司

The Broker：

地 址：

電 話/ Tel：

傳 真/ Fax：

年 月 日

**櫃檯中心買賣有價證券確認書**  
**GTSM Trading - Affirmation**

客戶與證券商簽訂櫃檯買賣有價證券開戶契約時，已明瞭下列事項並願遵守貴公司及財團法人中華民國證券櫃檯買賣中心公布之章則、公告及其他相關規定，進行櫃檯買賣有價證券事宜。

The Client has understood the following matters upon executing the account opening master agreement with the broker, and should abide by the regulations, announcements and other relevant rules made by GTSM for the securities trade over-the-counter.

(一) 櫃檯買賣有價證券，係以自己之判斷為之。

The securities trade over-the-counter shall be made based upon Client's judgment.

(二) 客戶已充分瞭解櫃檯買賣有價證券之交易程序、給付結算應盡之義務及責任等相關規定。

Client understood completely the trading procedures, obligations and duties of settlement of payment and relevant rules regarding securities trade over-the-counter.

## 認購(售)權證風險預告書

### **Warrant Risk Notice.**

本風險預告書係依據臺灣證券交易所股份有限公司暨財團法人中華民國證券櫃檯買賣中心認購(售)權證買賣辦法第四條規定訂定之。

認購(售)權證之交易特性與股票不同，由於其具備高投資效益之財務槓桿特性，雖有機會以有限成本獲致極大收益，也可能短期內即蒙受全額損失，客戶於開戶前應審慎評估自身之財務能力與經濟狀況，是否適宜此種高槓桿特性之交易。決定從事交易前，客戶尤應瞭解下列各項事宜：

This Risk Notice has been drafted pursuant to Article 4 of the Procedures of the TWSE and Article 4 of the Procedures of the GTSM in the Purchase and Sale of Warrants.

The nature of warrants differs from that of stocks. While warrants may be a high return investment lever device providing great profits, an investor may also lose his or her entire investment within a very short period of time. Thus, in purchasing warrants, the Client should fully evaluate whether his or her own economic situation and financial ability matches the risks of the high return device. The Client should understand the following before he/she decides to conduct such trading:

- 一、 認購(售)權證基於其商品之特性，係以對特定證券之買賣權利作為交易標的，故在權證之存續期間，其價格皆與其該特定證券之價格互動，客戶應留意該證券價格波動對其認購(售)權證之影響。  
The characteristic of warrants is that it is established based on transaction indexes of the right to purchase and sell underlying securities. Thus, the price of the warrants during its term will fluctuate based on the movement of the underlying security in question. The Client should observe the fluctuations of the price of the underlying securities and its effects on the warrant.
- 二、 上市/櫃前之認購(售)權證，其發行價格、行使比率等發行條件係由發行人訂定，上市/櫃後在集中交易市場/櫃檯買賣中心交易並自由轉讓時，其價格則由市場之供需機制決定。  
The issuing criteria such as the issuing price and exercise rate etc., of unlisted warrants is established by the issuer. Once the warrant becomes publicly listed and freely exchangeable, its price will be determined by the supply and demand mechanism of the market.
- 三、 客戶於購買認購(售)權證前，應先行瞭解與發行人履約能力有關之財務、信用狀況，臺灣證券交易所/櫃檯買賣中心不負責擔保發行人之履約責任。  
Prior to purchasing the warrant, the Client should first understand the issuer's performance ability in terms of its financial and credit situations. The TWSE does not guarantee nor is it responsible for the performance responsibility of the issuer.
- 四、 認購(售)權證因發行人違反上市/櫃契約，或因標的證券下市/櫃等因素，而必須終止上市/櫃時，持有未到期之認購(售)權證者，應依原發行條件規定，由發行人按約定之價格收回，以了結發行人之契約責任。  
Where the issuer has violated the public listing agreement or where the underlying stock of the warrant has been delisted causing the warrant to terminate its public listing, the issuer shall, in accordance with the original issuing conditions, redeem the outstanding warrants at the price established in the contract to complete the issuer's contractual responsibilities.
- 五、 一般情況下，認購(售)權證屆期且無履約價值，該權證即無任何價值；即另尚有履約價值，若客戶未於期限內提出申請，該權證亦如同毫無價值可言。  
Under normal circumstances, once the term of the warrant has expired the warrant no longer retains any performance value, then the warrant has no value. Even if performance value remains, the Client's failure to apply for such value during the specified term will render the warrant worthless.

- 六、 **以國外成分證券指數股票型基金、境外指數股票型基金及外國證券或指數為標的之認購(售)權證，均採無升降幅度限制。買賣以外國證券或指數為標的之認購(售)權證，尚應考量匯率及其他風險。**

**Where the underlying of the warrants is exchange traded fund(s) composed of foreign securities, offshore exchange traded fund(s), foreign securities or index(es), there is no daily fluctuation limits. In the case of the purchase and sale of warrants with foreign securities or indexes as underlying, the Client should also take into account the foreign exchange rate and other risks.**

本風險預告書之預告事項僅為列舉性質，對所有認購(售)權證風險及影響市場行情之因素尚無法一一詳述，客戶於交易前除須對本風險預告書詳細研讀外，對其他可能影響之因素亦須有所預警，並確實作好財務規劃與風險評估，以免因貿然從事此類衍生性金融商品交易而遭受難以承受之損失。

The items contained in the risk notice are only examples. This notice can not account for all the possible risks associated with warrants and factors which may influence the market. Apart from reading this notice, the Client is advised to take precaution of other factors which may influence the investment and to fully evaluate the risk associated therewith in his or her financial planning. This will reduce the possibility of an investor making a hasty investment decision in derivative financial products which may result in tremendous losses.