

專業客戶申請書  
Application Form for Professional Customers  
(適用 IBG 公司戶)

本公司為與星展(台灣)商業銀行股份有限公司(下稱「貴行」)承作下列業務，謹向 貴行申請成為各相關業務之專業客戶：

To conduct the following business with DBS Bank (Taiwan) Ltd ("Bank"), we would like to apply for being a Professional Customer for the following business:

- 衍生性金融商品業務  
Financial derivatives business (including structured products)
- 信託商品業務 (含特定金錢信託投資國內外共同基金、外國債券、境外結構型商品等)  
Trust Business (including Non-Discretionary Money Trust Investment in Domestic/Foreign Mutual Funds, Foreign Bonds, Offshore Structured Products etc.)
- (如適用) 本公司聲明本公司總資產逾等值美金 160 萬元以上<sup>1</sup>  
(If Applicable) We confirm our total asset is above US\$1,600,000 (or its equivalent).
- 自行買賣外國債券業務  
Foreign Bond Trading Business
- 自行買賣外國債券業務(不包含結構型債券)  
Foreign Bond Trading Business (Exclude Offshore Structured Products)

本公司已瞭解 貴行針對各該業務項目專業客戶之資格條件要求並已閱讀、了解並同意貴行「專業客戶應注意事項」(如本申請書第 2 頁所載)。本公司茲確認已提供合法真實之相關證明供 貴行審查，並同意配合 貴行因調查、審核本件申請之需求，按 貴行之要求提供或補充其他相關證明及/或文件。

We have understood the qualifications and requirements for Professional Customers of the relevant business and have read, understood and agreed to the terms under the "Notices to Professional Customers" (please refer to the 2<sup>nd</sup> page of this Application Form). We hereby confirm that we have provided the relevant legal and true certificates for your Bank's review and agrees to provide or supplement other relevant certificates and/or documents upon your Bank's request so as to cooperate with your Bank's requirements for checking or reviewing this application.

此致 To

星展(台灣)商業銀行股份有限公司

DBS Bank (Taiwan) Ltd

申請人(Applicant)：

公司名稱(Company's Name)：

統一編號(Unified Business Number)：

授權簽署人<sup>2</sup>(Authorized Signatory)：

職稱(Title)：

日期(Date)：

<sup>1</sup> 本項聲明僅適用於境外法人或基金。This statement only applies to Offshore corporates or funds.

<sup>2</sup> DBU: (1) 經濟部大小章；或(2)主管機關登記之印鑑及負責人/代表人印章暨親簽；或(3)經董事會授權之被授權人或其他經公司合法授權之被授權人簽樣

OBU: (1) 經董事會授權之被授權人或其他經公司合法授權之被授權人親簽；或(2)公司 Signing Bar 暨負責人/代表人親簽

DBU: (1) Company Seal ; or (2) Registered chop(s) and director's / representative's seal(s) and signature(s) ; (3) Signatory authorised by the board or other legit authorised signatory

OBU: (1) Signatory authorised by the board or other legit authorised signatory; (2) Authorised director's/ representative's signature(s) with company's signing bar

## 專業客戶應注意事項 Notices to Professional Customers

1. 本申請書所稱之「專業客戶」，係指「銀行辦理衍生性金融商品業務內部作業制度及程序管理辦法」第 3 條規定所稱「專業客戶」或「證券商自行買賣外國債券交易辦法」、「境外結構型商品管理規則」、「信託業營運範圍受益權轉讓限制風險揭露及行銷訂約管理辦法」所稱之「專業投資人」，貴客戶若擬成為專業客戶，須以書面向本行提出申請並提供相關證明文件。  
“Professional Customer” as referred to in this Application Form means “Professional Customer” as defined under Article 3 of the "Regulations Governing Internal Operating Systems and Procedures for Banks Conducting Financial Derivatives Business" or “Professional Investor” as defined under “Rules Governing the Proprietary Trading of Foreign Bonds by Securities Firms”, “Regulations Governing Offshore Structured Products”, and "Regulations Governing the Scope of Business, Restrictions on Transfer of Beneficiary Rights, Risk Disclosure, Marketing, and Conclusion of Contract by Trust Enterprises". Customers who would like to be a Professional Customer should fill the application with our Bank in written form and provide relevant evidencing documents .
2. 專業客戶得承作之交易範圍較廣或較複雜，須承擔較高之風險。  
The scope of transactions a Professional Customer may conduct is broader or more complicate and a Professional Customer shall assume higher risks.
3. 若 貴客戶以專業客戶之身分向本行申購各項金融商品，本行得依法免除相關責任，包含但不限於就金融商品之核准及審查程序、銷售條件、推介、商品適合度、行銷過程控制、商品文件內容、文件審閱期等事項採取與一般客戶不同之控制與管理。  
**If you subscribe for various financial products with our Bank as a Professional Customer, our Bank may be exempted from relevant responsibilities, including without limitation, to adopt controls and management on the approval and review process on financial products, terms of products, product recommendation, product suitability, controls of marketing process, contents of product documents, and review period of transaction documents etc. different from those applying to retail clients.**
4. 就專業客戶所適用之法令、權益保障、承作金融商品交易之風險、適合度等事項，貴客戶應尋求獨立之法律或其他專業顧問意見，並自行判斷與決定是否承作金融商品交易。  
**You shall seek the advices from independent legal or other professional advisers in connection with the matters such as the applicable laws and regulations for Professional Customers, rights and interests protection, the risk of the financial product transactions you conducted and the suitability and determine and decide by yourself whether to conduct the financial product transactions.**
5. 專業客戶非屬金融消費者保護法保護之對象，且其與金融服務業間之金融消費爭議不適用該法之爭議處理程序。  
Professional Customers are not protected under the Financial Consumer Protection Act, and the dispute resolution procedure under the above Act will not apply to their financial consumption disputes with the financial service enterprises.
6. 本行得隨時就 貴客戶專業客戶之資格條件進行合理調查並要求提供相關證明，如 貴客戶未依本行之要求提供相關證明文件或有任何不符合前述第 1 點之資格條件，本行有權決定取消 貴客戶專業客戶之申請或資格。  
Our Bank may from time to time conduct reasonable investigation on your qualifications for being a Professional Customer and request you to provide relevant certificates. If you fail to provide relevant certificates as requested by our Bank or fail to meet the qualifications listed under Point 1 above, our Bank is entitled to determine to cancel your application or qualification for being a Professional Customer.
7. 如本行依法令或自律規範規定，要求 貴客戶增提證明、簽署文件、出具聲明、或增加交易條件限制等，貴客戶亦同意配合辦理。  
If our Bank requests you to provide additional certificates, sign documents or issue declarations or set additional limitations on the transactions in accordance with laws and regulations or self-regulatory rules, you agree to cooperate and act accordingly.
8. 貴客戶得隨時以書面向本行申請終止專業客戶之身分，但該終止不影響 貴客戶前已承作之交易或相關指示。  
You may apply with our Bank in written form for terminating the status of a Professional Customer any time and such termination will not affect the transactions entered into or relevant instructions made by you before the termination takes effect.