**Consolidation Table for Holding Personal Information files**

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| **Item**  **Serial No.** | **Personal**  **Information file**  **name** | **Basis for Holding** | **Specific Purpose** | **Classification of Personal**  **Information** | **Holding**  **Department** |
|  | Relevant  documents and  attachments of  Securities and Futures Bureau | Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission | (053) Administration of legal affairs、 (059) Financial service industry’s collection and processing information in accordance with laws and needs for financial supervision、 (060) Financial dispute resolution、（061）Financial supervision, administration and inspection、 (128) Anti-corruption administration、(171) Other central government authorities and its subordinate authority internal management, supervision of public affairs, administrative assistance and related services. | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ002 Type for identifying finance、Ｃ003Type for identifying in government data）, **Code Family**（Ｃ021Family、Ｃ022 History of marriage、Ｃ023 Details about other family member、Ｃ024 Other social relations）, **Code** **Social conditions**(Ｃ031 Residence and facilities、Ｃ032Properties), (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Information related to pension and personnel name list | Enforcement Rules of the Public Service  Pension Fund Management Act | （002）Human Resource Management | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ002Type for identifying finance、Ｃ003Type for identifying in government data）（Ｃ011Individual description）, **Code Family**（Ｃ021Family、Ｃ023Details about other family member）, **Code Employment** (Ｃ061Current status of employment), **Code Details concerning finance**(Ｃ081 Earning, income, property and investment) | Securities and Futures Bureau |
|  | the Sexual  Harassment  Appeal  Committee | Article 7 of Sexual Harassment  Prevention Act | （002）Human Resource Management | **Code Types of identification**（Ｃ001Type for identifying individuals）, **Code Employment** (Ｃ061Current status of employment) | Securities and Futures Bureau |
|  | Contact list of the Gender Equality Task Force | Implementation Plan of Gender Mainstreaming Promotion by the Departments of Executive Yuan(2019~2022)  Establishment Guidelines for the Gender Equality Task Force of the Financial Supervisory Commission | （002）Human Resource Management | **Code Types of identification**（Ｃ001Type for identifying individuals）, **Code Education, examination, technique or other profession**(Ｃ052 Qualification or technique), **Code Employment** (Ｃ061Current status of employment) | Securities and Futures Bureau |
|  | Beneficiary’s  Basic information file、Beneficiary’s financial institution account file | Accounting Act | （129）Accounting and related Services | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data）, **Code Details concerning finance**(Ｃ081 Earning, income, property and investment、Ｃ086Credit of note) | Securities and Futures Bureau |
|  | Information and Records related to Executive Meeting | Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission | （061）Financial supervision ,administration and inspection、（171）Other central government authorities and its subordinate authority  internal management, supervision of public affairs, administrative  assistance and related services. | （Ｃ001 Type for identifying individuals）, **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Consignment Form and Attested Document Sheet | Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission | （107）Procurement and Supply Management | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Purchase Form | Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission | （107）Procurement and Supply Management | （Ｃ001 Type for identifying individuals）, **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Archives Application Form | The Freedom of Government Information Law | （061）Financial supervision, administration and inspection、（073）Details concerning security、（171）Other central government authorities and its subordinate authority  internal management, supervision of public affairs, administrative  assistance and related services. | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003Type for identifying in government data）,（Ｃ011Individual description） | Securities and Futures Bureau |
|  | Feedback Mail  (Feedback Mail  System) | Administrative Procedure Act | (039) Administrative sanction, administrative investigation、 (060) Financial dispute resolution、（061）Financial supervision, administration and inspection、 (113) Petition and petition reported matters handling、（122）Administrative petition & appeals and administrative remedies、 (128) Anti-corruption administration、 (171) Other central government authorities and its subordinate authority  internal management, supervision of public affairs, administrative  assistance and related services. | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ002Type for identifying finance、Ｃ003 Type for identifying in government data）, **Code Family**（Ｃ021 Family、Ｃ022 History of marriage、Ｃ023Details about other family member、Ｃ024Other social relations）, **Code Social conditions**(Ｃ031 Residence and facilities、Ｃ032 Properties、Ｃ038 Occupation), **Code Employment** (Ｃ061 Current status of employment), **Code Details concerning finance**(Ｃ081 Earning, income, property and investment、Ｃ082 Liabilities and expenditure、Ｃ083 Credit Ratings、Ｃ084 Loans、Ｃ085The record of Foreign exchange trade、Ｃ086Credit of note、Ｃ087 Subsidies, welfares, donations、Ｃ088Details concerning insurance), **Code Health and other** (Ｃ111 Record of health、Ｃ132 Data unclassified) | Securities and Futures Bureau |
|  | Consent Form for personal Information of Environmental Education | The Environmental Education Act | （026）Ecological reservation | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data） | Securities and Futures Bureau |
|  | Related Data and Name List for Pension of Janitors | Labor Standards Act and  Regulations Governing Janitors | （002）Human Resource Management | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ002 Type for identifying finance、Ｃ003Type for identifying in government data）,（Ｃ011Individual description）, **Code Family**（Ｃ021Family、Ｃ023 Details about other family member）, **Code Social conditions**（Ｃ032 Properties）, **Code Employment** (Ｃ061 Current status of employment), **Code Details concerning finance**(Ｃ081 Earning, income, property and investment) | Securities and Futures Bureau |
|  | Information Security Related Form | Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission | （171）Other central government authorities and its subordinate authority  internal management, supervision of public affairs, administrative  assistance and related services. | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data）, **Code Employment** (Ｃ061Current status of employment) | Securities and Futures Bureau |
|  | Various Data Related to Information System(Administrative Penalty System、Management of Shares System、Management of CPA System、Management of Issuing Market System、Issuance of New Bonus Shares Internet declaration system、Systems Related to Internal Operating) | Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission、Securities and Exchange Act、Accounting Act、Securities Investment Trust and Consulting Act、 Futures Trading Act、Administrative Procedure Act、Administrative Penalty Act | (039) Administrative sanction, administrative investigation、 (061) Financial supervision ,administration and inspection（171）Other central government authorities and its subordinate authority  internal management, supervision of public affairs, administrative  assistance and related services. | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data）, **Code Social conditions**（Ｃ032 Properties）, **Code Education, examination, technique or other profession** (Ｃ052Qualification or technique), **Code Employment** (Ｃ061Current status of employment), **Code Details concerning finance**(Ｃ081Earning, income, property and investment),**Code Health and other**(Ｃ115 Other decisions and administrative sanctions) | Securities and Futures Bureau |
|  | Security Management and Address Book of the Securities and Futures Related Organizations | Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission | （061）Financial supervision ,administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals）, **Code Employment** (Ｃ061Current status of employment) | Securities and Futures Bureau |
|  | Related Data of Purchase(Document of pitcher、Secrecy Affidavit Letter of Suppliers 、Name List of Outsourcing Team and Name of Committee Member) | Government Procurement Act | (107) Procurement and Supply Management | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data）, Education, examination, technique or other profession(Ｃ052 Qualification or technique), **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Administrative Sanction of Violation of Securities or Futures Laws or Regulations | Securities Investment Trust and Consulting Act、 Futures Trading Act、Securities and Exchange Act、Administrative Procedure Act、Administrative Penalty Act | (039) Administrative sanction, administrative investigation、（061）Financial supervision, administration and inspection、（122）Administrative petition & appeals and administrative remedies | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003Type for identifying in government data）, **Code Social conditions**（Ｃ032 Properties）, **Code Employment** (Ｃ061 Current status of employment), **Code Health and other**(Ｃ115Other decisions and administrative sanctions) | Securities and Futures Bureau |
|  | Documents of Application, Business Report, Financial Report, Board of Shareholders, Board of Directors | Securities Investment Trust and Consulting Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Employment** (Ｃ061Current status of employment), **Code Social conditions**（Ｃ032Properties）, **Code Details concerning finance**(Ｃ081 Earning, income, property and investment) | Securities and Futures Bureau |
|  | Futures Association and Securities and Futures Institute | Futures Trading Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003 Type for identifying in government data）、（Ｃ011 Individual description）, **Code Family**（Ｃ021Family、Ｃ023 Details about other family member）, **Code Education, examination, technique or other profession**(Ｃ052 Qualification or technique), **Code Employment** (Ｃ061Current status of employment) | Securities and Futures Bureau |
|  | Market Surveillance and Examination of Illegal Trading | Futures Trading Act、 Securities and Exchange Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data）, (C011Individual description), **Code Family**（Ｃ021Family、Ｃ023 Details about other family member）, **Code Social conditions**（Ｃ032Properties）, **Code Employment** (Ｃ061 Current status of employment), **Code Health and other**(Ｃ115 Other decisions and administrative sanctions、Ｃ116 Data relating to suspect of criminal offence) | Securities and Futures Bureau |
|  | Financial Crime Cases Transferred to Prosecuting Agencies | Securities and Exchange Act、Securities Investment Trust and Consulting Act、Futures Trading Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Employment** (Ｃ061 Current status of employment), **Code Health and other**(Ｃ115 Other decisions and administrative sanctions、Ｃ116 Data relating to suspect of criminal offence) | Securities and Futures Bureau |
|  | Petitions and  Reports Cases | Securities Investment Trust and Consulting Act、Act of the Establishment and Management of the Government Employee Ethics Units and Officers、Enforcement Rules of the Act of the Establishment of the Government Employee Ethics Units and Their Officers、Futures Trading Act、 Securities and Exchange Act | (039) Administrative sanction, administrative investigation、 (060) Financial dispute resolution、（061）Financial supervision, administration and inspection (113) Petition and petition reported matters handling、（122）Administrative petition & appeals and administrative remedies、 (128)、Anti-corruption administration (171) Other central government authorities and its subordinate authority  internal management, supervision of public affairs, administrative  assistance and related services. | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ002 Type for identifying finance、Ｃ003 Type for identifying in government data）, **Code Family**（Ｃ021 Family、Ｃ022History of marriage、Ｃ023 Details about other family member、Ｃ024Other social relations）, **Code Social conditions**（Ｃ031 Residence and facilities、Ｃ032 Properties、Ｃ038 Occupation）, **Code Employment** (Ｃ061 Current status of employment), **Code Details concerning finance**(Ｃ081 Earning, income, property and investment、Ｃ082Liabilities and expenditure、Ｃ083Credit Ratings、Ｃ084Loans、Ｃ085The record of Foreign exchange trade、Ｃ086 Credit of note、Ｃ087 Subsidies, welfares, donations、Ｃ088 Details concerning insurance) , **Code Health and other**(Ｃ111 Record of health) , (Ｃ132Data unclassified) | Securities and Futures Bureau |
|  | Filing the Application for Establishment and Management | Futures Trading Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003Type for identifying in government data）,（Ｃ011Individual description）, **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Information Related to Publications Written Articles Payment and Keynote Talks Lecture Payment | Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data）, **Code Details concerning finance**（Ｃ081 Earning, income, property and investment） | Securities and Futures Bureau |
|  | CPA Practice Registration | Certified Public Accountant Act | （119）license and registration | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003 Type for identifying in government data）,（Ｃ011Individual description）, **Code Education, examination, technique or other profession**(Ｃ052 Qualification or technique), **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Applications for CPA Certificates(CPA Curriculum Vitae Card(Resume)) | Certified Public Accountant Act、  Regulations Governing Applications for CPA Certificates and Practice Registration | （119）license and registration | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）,（Ｃ011Individual description）, **Code Family**（Ｃ021 Family、Ｃ023 Details about other family member）, **Code Education, examination, technique or other profession**(Ｃ052 Qualification or technique), **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | CPA Discipline Committee | Certified Public Accountant Act、Securities and Exchange Act、Regulations Governing the Organization and Deliberation Procedures of the CPA Discipline Committee and the CPA Disciplinary Rehearing Committee | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Employment** (Ｃ061 Current status of employment、Ｃ065 Working or missions record) | Securities and Futures Bureau |
|  | The reporting Information on the Professional Development and Changes of Internal Auditors, Chief Internal Auditors and Principal Accounting Officers | Regulations Governing Establishment of Internal Control Systems by Public Companies、Regulations Governing the Qualification Requirements and Professional Development of Principal Accounting Officers of Issuers, Securities Firms, and Securities Exchanges、Securities and Exchange Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）,（Ｃ011 Individual description）, **Code Education, examination, technique or other profession**(Ｃ052 Qualification or technique), **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Personnel Management of the Securities and Futures Related Organizations、Associations and Firms | Securities and Exchange Act、Securities Investment Trust and Consulting Act、Futures Trading Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）,（Ｃ011 Individual description）, **Code Family**（Ｃ021、Ｃ023 Details about other family member）, **Code Social conditions**(C032 Properties), **Code Education, examination, technique or other profession**(Ｃ052 Qualification or technique), **Code Employment** (Ｃ061 Current status of employment), **Code Health and other**(C116 Data relating to suspect of criminal offence) | Securities and Futures Bureau |
|  | Routine Examination、Target Investigation | Securities and Exchange Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Social conditions**（Ｃ032 Properties） | Securities and Futures Bureau |
|  | Reporting Cases of Shareholding change | Securities and Exchange Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data）, **Code Family**（Ｃ021 Family、Ｃ023 Details about other family member）, **Code Social conditions**（Ｃ032 Properties）, **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Application of Share Repurchase by Exchange-Listed and OTC-Listed Companies | Securities and Exchange Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Health and other**（Ｃ115 Other decisions and administrative sanctions） | Securities and Futures Bureau |
|  | Reporting Cases of Public Tender Offer | Securities and Exchange Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Social conditions**（Ｃ032 Properties）, **Code Health and other**（Ｃ115 Other decisions and administrative sanctions） | Securities and Futures Bureau |
|  | Information Related to Apply forPublic Issue | Securities and Exchange Act | （061）Financial supervision, administration and inspection、（166）Securities, futures, securities investment trusts and consultants related  business | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003Type for identifying in government data）, **Code Social conditions**（Ｃ032Properties）, **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Supervision and Management to Public Companies | Securities and Exchange Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Legal Affairs | Securities and Exchange Act、Securities Investment Trust and Consulting Act、Futures Trading Act、Certified Public Accountant Act | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001Type for identifying individuals、Ｃ003 Type for identifying in government data）, **Code Employment** (Ｃ061 Current status of employment),（Ｃ011 Individual description） | Securities and Futures Bureau |
|  | Compulsory Enforcement of Administrative Penalty | Administrative Procedure Act、Administrative Penalty Act、The Administrative Execution Act | (039) Administrative sanction, administrative investigation、（061）Financial supervision, administration and inspection、(038) Administrative enforcement | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003 Type for identifying in government data）,（Ｃ011 Individual description）, **Code Social conditions**（Ｃ032Properties）, **Code Employment** (Ｃ061 Current status of employment),（Ｃ081Earning, income, property and investment）, **Code Code Health and other**（Ｃ115 Other decisions and administrative sanctions） | Securities and Futures Bureau |
|  | Personal Data from Filing Portal for Securities Firms | Securities and Exchange Ac | （061）Financial supervision, administration and inspection | **Code Types of identification**（Ｃ001 Type for identifying individuals、Ｃ003Type for identifying in government data）, **Code Types of characteristic**（Ｃ011 Individual description）, **Code Family**（Ｃ021 Family、Ｃ023Details about other family member）, **Code Education, examination, technique or other profession**(Ｃ052 Qualification or technique), **Code Employment** (Ｃ061 Current status of employment) | Securities and Futures Bureau |
|  | Property Declaration and Review by Public Servants | Act on Property-Declaration by Public Servants | (014)  Civil Servants Property-Declaration, Recusal due to Interest Conflicts and  Campaign Contributions | **Code Types of identification**（Ｃ001 Type for identifying individuals）, **Code Types of characteristic**（Ｃ011 Individual description）, **Code** **Family**（Ｃ021 Family、Ｃ023 Details about other family member）, **Code Social conditions**（Ｃ031 Residence and facilities、Ｃ032 Properties、Ｃ038 Occupation）, **Code Details concerning finance**(Ｃ081 Earning, income, property and investment、Ｃ084 Loans) | Securities and Futures Bureau |

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| **Contact Information of** **Securities and Futures Bureau** | Address：No. 85, Sec. 1, Xinsheng S. Rd., Da’an Dist., Taipei City 106, Taiwan (R.O.C.) |
| Telephone number：02-87735100 |

**※Note: Parties who would like to check the personal information mentioned above should submit an application in accordance with The Freedom of Government Information Law, Archives Act and Personal Data Protection Act.**