

Operational Arrangement Principles of
TDCC Offshore Fund Order Routing Platform Services
臺灣集中保管結算所境外基金資訊傳輸平台作業原則

1. The TDCC Offshore Fund Order Routing Platform Service (hereafter “Order Routing Platform”) operational arrangement principles are for guidance and ease of reference only. The information is subject to change from time to time. A more detailed operational document must be in place between the Master Agent, Sales Institution, Custodian Bank of Unit Linked product and other Distributors (hereafter “Distributors”) and Fund Institutions or its designated institutions to specify the operational attributes of the service.

本作業原則係為參考文件。相關內容將適時因實際運作狀況而調整。為使用「臺灣集中保管結算所境外基金資訊傳輸平台」（以下簡稱「傳輸平台」），總代理人、銷售機構及保險業委託之保管機構等使用機構（以下簡稱「使用機構」）與各境外基金公司或其指定機構間應自行約定更完整及更詳細之作業程序。

2. Distributors agree to send “Order” and receive “Order status” / “Order confirmation” via the Order Routing Platform. The Distributors will receive a “TDCC upload confirmation” upon successful upload of an “Order”; an “Order Status” following the receipt of the “Order” by Fund Institutions or its designated institutions; and an “Order confirmation” upon pricing of a valid order from the Fund Institutions or its designated institutions via the Order Routing Platform.

使用機構同意透過傳輸平台傳送「下單資訊 (Order)」與接收「下單狀態 (Order status)」/「交易確認 (Order confirmation)」。當「下單資訊」上傳成功時，使用機構將透過傳輸平台接收到「集保接收成功 (TDCC upload confirmation)」訊息；當境外基金公司或其指定機構收到「下單資訊」時，會立即透過傳輸平台回覆「下單狀態」；當有效的下單交易計價後會透過傳輸平台回覆「交易確認」。

3. The Order Routing Platform is jointly provided by both TDCC and Order Routing Service Providers (hereafter “Service Providers”). It is the Distributors’ decision in selecting the partnering Service Provider. Once the Service Provider is confirmed, the Distributors should notify the Fund Institutions or its designated institutions on the Service Provider relationship and agree on the effective live date, servicing scope, contingency arrangement and other operational related procedures. In scenarios where Distributors are required to change Service Providers, the Distributors will agree with the Fund Institutions or its designated institutions in advance on the system and operational transition arrangement for those in-progress transactions. At any one time, the Distributor can only choose one partnering Service Provider.

本傳輸平台服務係由「集保結算所」及「資訊傳輸服務機構」共同提供，資訊傳輸服務機構係由使用機構選擇。使用機構於首次指定資訊傳輸服務機構時，應事先與境外基金公司或其指定機構約定所指定之資訊傳輸服務機構、作業啟用日、使用資訊傳輸服務作業及其備援方式等相關事項；如欲更換資訊傳輸服務機構時，需事先與境外基金公司或其指定機構約定尚未完成交易確認之下單資訊之處理方式及其他相關作業與系統調整事宜。

4. It is the Distributors' responsibility to ensure receipt of: i.) "TDCC upload confirmation" and "Order status" on or before the dealing cut-off time specified in the respective Fund Prospectuses or Information to Investor ("ITI"); ii.) "Order confirmation" upon pricing of each valid order; and the content is as per original instructions. Please refer to the Timestamp Definitions section of this document for more information.

使用機構應負責確認：(i)在相關基金公開說明書或投資人須知所述交易截止時間或該時間之前收到「集保接收成功」與「下單狀態」、(ii)在每筆有效下單交易計價後收到「交易確認」；並應確認上述訊息內容與原始下單指示內容相符。有關交易時間戳記定義(Timestamp Definitions)請參照後附文件。

5. If the Distributors do not receive a "TDCC upload confirmation" or "Order status" shortly (within reasonable timeline) or by dealing cut-off after uploading of an order via the Order Routing Platform, or that the "TDCC upload confirmation" / "Order status" / "Order confirmation" content was incorrect (which will affect the validity of the transaction), the Distributors should notify the Fund Institutions or its designated institutions immediately. If the Distributors fail to notify the Fund Institutions or its designated institutions in such circumstances then the Distributors will be deemed to have accepted the terms of the transaction as stated in the "TDCC upload confirmation" and subsequent deal "Order status" / "Order confirmation". Delay in receipt of the "TDCC upload confirmation" or "Order status" may result in the "Order" being processed on the next business day.

若使用機構在透過傳輸平台傳檔後一段時間內未收到或未在交易截止時間前收到「集保接收成功」或「下單狀態」，或收到之「集保接收成功」/「下單狀態」/「交易確認」內容有誤（此狀況將影響該下單交易之效力），使用機構應立即通知境外基金公司或其指定機構。若使用機構於此狀況下未通知境外基金公司或其指定機構，視為該使用機構已接受「集保接收成功」所載之交易條件，以及其後「下單狀態」/「交易確認」。延遲接收「集保接收成功」或「下單狀態」，有可能會使得「交易下單」於下一營業日才會處理。

6. Distributors shall investigate all orders rejected by the Order Routing Platform / Service Provider / Fund Institutions or its designated institutions, and the order that needs to be resent

shall be sent via the Order Routing Platform on or before the dealing cut-off on the same business day.

使用機構應查明所有被傳輸平台/資訊傳輸服務機構/境外基金公司或其指定之機構拒絕之交易，此外需重送之下單資訊，應於同一營業日交易截止時間前透過傳輸平台重送。

7. In dispute scenarios, the Distributors should provide and demonstrate the following actions have been taken as a proof that an order was submitted prior to the dealing cut-off:

若遇有爭議時，使用機構應提供證明顯示已採取下列行動，以證明下單資訊係於交易截止時間前傳送。

- “TDCC upload confirmation” timestamp and “Order status” timestamp should be on or before the dealing cut-off time for the specific business day.

該下單交易之「集保接收成功」時間戳記（使用機構可經由集保傳輸平台獲得）係落在該營業日交易截止時間前。

- If the “TDCC upload confirmation” or “Order status” was not received by dealing cut-off, the Distributors will have to contact the Fund Institutions or its designated institutions by the dealing cut-off for the specific business day in confirming the status and trade date of the order.

若傳送下單資訊後在約定時間內未收到「集保接收成功」或「下單狀態」，使用機構已於該營業日交易截止時間前聯絡境外基金公司或其指定機構。

8. In Order Routing Platform outage scenarios, the Distributors or Fund Institutions (or its designated institutions), depending on the different outage scenarios, should contact the other party (via phone and/or email) on or before the dealing cut-off to stop dealing via the TDCC Order Routing Platform and deal via fax transmission or other pre-agreed procedures for carrying out subscriptions, redemptions and other transactions. Distributor has the responsibility to ensure all orders are accounted for, and that there are no duplicate orders. Please find below the different outage scenarios:

當遇集保境外基金資訊傳輸服務異常時，應視異常情況由使用機構或境外基金公司或其指定機構於交易截止時間前主動聯繫另一方（透過電話或電子郵件），以暫停透過傳輸平台處理下單交易，並改由傳真或其他約定程序處理申購、贖回與其他交易。使用機構需負責任確認所有下單交易，並確保沒有重複下單。請參考下述異常狀況：

I. Order Routing Platform outage (TDCC system issue): TDCC will inform the Distributors, Service Providers and Fund Institutions or its designated institutions immediately. Distributors have the responsibility to contact the Fund Institutions or its

designated institutions via the pre-agreed procedures in initiating the contingency order placement process.

集保境外基金資訊傳輸服務異常(集保系統之問題)：集保應立即通知使用機構、資訊傳輸服務機構與境外基金公司或其指定機構。使用機構有責任聯絡境外基金公司或其指定機構，以啟動異常狀況下單處理程序。

- II. Service Providers' system outage: Service Providers will inform the Distributors, TDCC and Fund Institutions or its designated institutions immediately. Fund Institutions or its designated institutions have the responsibility to contact the Distributors via the pre-agreed procedures in initiating the contingency order placement process.

資訊傳輸服務機構系統異常：資訊傳輸服務機構應立即通知使用機構、集保與境外基金公司或其指定機構。境外基金公司或其指定機構有責任聯絡使用機構，以啟動異常狀況下單處理程序。

- III. Distributors' system outage: Distributors will inform TDCC, Service Provider and Fund Institutions or its designated institutions immediately. Distributors have the responsibility to contact the Fund Institutions or its designated institutions via the pre-agreed procedures in initiating the contingency order placement process.

使用機構系統異常：使用機構應立即通知集保、資訊傳輸服務機構與境外基金公司或其指定機構。使用機構有責任聯絡境外基金公司或其指定機構，以啟動異常狀況下單處理程序。

- IV. Fund Institutions or its designated institutions' system outage: Fund Institutions or its designated institutions will inform TDCC, Service Provider and Distributors immediately. Fund Institutions or its designated institutions have the responsibility to contact the Distributors via the pre-agreed procedures in initiating the contingency order placement process.

境外基金公司或其指定機構系統異常：境外基金公司或其指定機構應立即通知集保、資訊傳輸服務機構與使用機構。境外基金公司或其指定機構有責任聯絡使用機構，以啟動異常狀況下單處理程序。

9. Order cancellation and amendment shall be managed directly between Distributors and Fund Institutions or its designated institutions by fax transmission or other pre-agreed means between the two parties.

下單交易之取消與更正，應由使用機構以傳真或其他約定方式自行與境外基金公司或其指定機構辦理。

10. The Order Routing Platform will be available on every Taiwan business day from 08:00 to 20:00 Taiwan Time.

傳輸平台營運時間為每營業日台灣時間 8:00 至 20:00

- “Order” can not be upload / submitted via the TDCC Platform after **17:30** Taiwan Time. In contingency scenario, distributors may apply for an order upload extension to 20:00 Taiwan Time with TDCC.

「下單資訊」上傳及傳送原則上於 **17:30** 後停止。如欲異常或特殊狀況，使用機構可向集保結算所提出延長交易上傳時間申請至 20:00 止。

- “Order status” and “Order confirmation” received after 20:00 Taiwan Time will not be routed until the Order Routing Platform is available again on the next business day.

「下單狀態」及「交易確認」如於台灣時間 20:00 後才由傳輸平台接收者，該狀態將於下一營業日傳輸平台營運時間傳送予使用機構。

Timestamp Definitions 時間戳記定義

In this Operational Arrangement Principles document unless the context otherwise requires the following expressions have the following meanings:

除內容另有解釋外，集保境外基金資訊傳輸服務作業原則中下列各用語，分別具有下述意義：

<p>“TDCC upload confirmation” timestamp 「集保接收成功」時間戳記</p>	<ul style="list-style-type: none">▪ The TDCC receipt timestamp in the “TDCC upload confirmation” generated by TDCC upon the successful uploading of an order by the Distributors. Distributors will be able to obtain this information from the Order Routing Platform. 係指使用機構成功上傳下單資訊時，集保產製「集保接收成功」所載之集保收執時間戳記。使用機構可向集保索取此資訊。
<p>“Order status” timestamp 「下單狀態」時間戳記</p>	<ul style="list-style-type: none">▪ The TDCC receipt timestamp in the “Order status” generated during the order routing process from the Fund Institutions or its designated institutions / Order Routing Platform / Service Provider to the Distributors. 係指境外基金公司或其指定機構成功接收下單資訊時，將「下單狀態」透過資訊傳輸服務機構及傳輸平台回傳至使用機構時，所產製訊息之時間。
<p>“Order confirmation” timestamp 「交易確認」時間戳記</p>	<ul style="list-style-type: none">▪ The TDCC receipt timestamp in the “Order confirmation” generated during the order routing process from the Fund Institutions or its designated institutions / Order Routing Platform / Service Provider to the Distributors. 係指境外基金公司或其指定機構對有效下單交易計價成功時，將「交易確認」透過資訊傳輸服務機構及傳輸平台回傳至使用機構時，所產製訊息之時間。