# Securities Competitive Auction System User Manual

Version: V1.2 2025/02/24

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# 1 Login

## 1.1 <u>On-line Stock-Dealing Certificate</u>

Step1. When to choose "On-line Stock-Dealing Certificate" as the type of certificate to log in: When the investor will be placing a bid using a valid On-line Stock-Dealing Certificate issued by a securities firm and held by the investor.

Investor On-line Stock-D Broker Select Securities Firm ID Number or Uniform ID Number FAQ Investor Login Instructions Login

Step2. Select securities firm and input investor's ID number

Home		中文 Loign
	Investor On-line Stock-DV Broker COOPERATIVE BANKV ID Number or Uniform ID Number FAQ Investor Login Instructions	

Step3. Please note! If the investor has not yet imported the certificate into the browser, please select the location of the certificate, and input the certificate password. If the investor has already imported the certificate into the browser, and the browser has been preset to read the certificate, then this screen will be skipped over. (For how to check whether the certificate has already been imported into the personal computer, please see section 3. Frequently Asked Questions [FAQ].)

Home	中文 Loign
	Certificate file information X
	PFX file path : Browse
	E - (SURS (CHF LUUII) \\ 297.pfx
	PFX file password :
	OK Cancel
正在轉機 localhost	

Step4. Once successfully logged in, the investor may begin the bidding operations.



# 2 Investor

## 2.1 <u>Input Bid(I001)</u>

Setpl. Select the auction on which the investor wishes to bid.

Home BID Operation -			Manage - 9602 Logoff 960231
	Input Bid(I001)Creat	e a bid	
Before submitting the bid, carefully read	t the relevant materials such as the securitie competitive aucti	s prospectus and the notice of the rule on.	s governing the handling of the
1 Input Bid →			
	Initial TWSE Listing   6666   6666 stock		
	Begin		

Step2. Click the "Begin" to show the basic details of the auction and the field for inputting the bid.



Setp3. Click the "help" next to any field for an explanation of the information that should be input into the field.



Step4. After you have input the required information, the "Margin (Including the Tender Fee) Payable" and the "Total Price" for that bid will appear underneath the "Bid Price" and "Bid Quantity" fields, respectively. After checking the content for accuracy, click "Next".

Home E	ID Operation	-							Manag	je - 9602 96023	2 Logoff
Securities Code	Name of the Securities	Nature of the Issue	Market	Date of Opening of Bids	Minimum Quantity Per Single Bid (in Units of 1,000 shares)	Minimum Bid Price (NTD)	Maximum Award Quantity (in Units of 1,000 shares)	Tender Fee Per Single Bid (NTD)	Bid Margin Percentage (%)	Winning Bid Fee Rate (%)	Deadline for Deposit of Margin
6666	6666 stock	Initial TWSE Listing	TWSE Listed	2018-06- 05	2	6.66	60	400	50%	3%	2018-05- 30
*Asterisk indi	cates require	l field.									
Auction Number 20180004					* Tradin Number	g Account Fhelp	9802	9900005			
* Bid price (	* Bid price (NTD) help				* Bid Qu <u>Units c</u> shares	uantiry <u>(in</u> of 1,000 ) <u>help</u>	6				
Amount of M Payable (Inc Tender Fees	Margin Iuding 5) (NTD)	27,400				Total Pr	rice (NTD)	54,000			
* ID Number Uniform ID Number <u>helr</u>	or	03559508				Foreign Code N	Investor umber <u>help</u>	F1234567	78		
* Date of Bir	th <u>help</u>	Year	▼ Mo	nth 1 💌	Day 🔽						
* Telephone Number help		02-8101810	1  ×			* Cell P Number	hone F <u>help</u>	09123456	378		
					1	Next					

Step5. Check the accuracy of the bid content once again, and then click "Next". Please double-check the accuracy of the information that has been input in each field. After the close of bidding, the bid content will be reviewed, and if any error is found in the review, the bid will be deemed invalid, and will be excluded from the auction.

Input Bid(I001)Confirm Bid										
1 Input Bid	•	2 Confirm Content	<b>O</b> 3 li			4 Completed!				
Please no	te!	You have no	ot yet	comple	eted su	Ibmission				
		of yo Auc	our bi tion In	d! fo						
Securities Code		Name of the Securities	Nature of the Minin Issue			num Bid Price (NTD)				
9999		測試	初	上市	10.0000					
		Con	firm Bi	id						
Bid price (NTD)	:	15.00		Bid Quan	tity :	1				
Auction Number	:	20250001	Trading A Number :	ccount	1020 - 0551622					
ID Number or Uniform ID Number :		A137618037	Foreign Ir Code Nun	nvestor nber :						
Date of Birth :		1973 - 1 - 22								
Telephone Numb	ber :	02-9874516		Cell Phon Number :	e	0987659567				

The amount of margin payable (including the tender fee) for this bid is : NT\$ 7,900

The total price of this bid is : NT\$ 15,000

Return to Preceding Page Next Step

# Step6. Important Terms and Conditions and Representations.

Home	BID Operation 🔸						Mana	ge - <sup>96</sup> 960	502 0231	Logoff
			Input Bid(1001)I	nportant T	ferms and Conditions					
	1 Input Bid	•	2 Confirm Content	•	3 Important Terms	•				
Important 1. Bids to administra shall be h Firms and	Terms and Conditi o participate in a stive rules, and th mandled in accordan Procedures for the	ons competitive e operation ce with the Allocation	auction shall be handled procedures adopted by th Taiwan Securities Associ of Securities by Competi	in accord e lead und ation Rule tive Auct:	dance with the bid form and derwriter, All matters rela es Governing Underwriting a ion by Securities Firms,	d applicabl ating to th and Resale	le laws a me presen of Secur	nd regulat t competit ities by Se	ions, ive a ecuri	uction ties
2, Article bid form t tender fee	2 13 of the Taiwan 30 which any of the 21	Securities following	Association Rules Governi circumstances applies is	ng Underw disqualif:	riting and Resale of Securi ied and will be excluded fr	ities by Se rom the auc	curities	Firms prov hout refund	vides d of	that a the
1. The	1. The bid price is lower than the minimum offering price under Article 8, paragraph 1, subparagraph 2.									
2, The	2. The quantity of securities bid for is lower than the minimum unit per bid or exceeds the maximum bid quantity per bid.									
3. The	e bid margin or the	tender fee	has not been paid in ful	1,						
4. The	e trading account n	umber (11 d	igits) has not been prope	rly fille	d in, or the information is	s inaccurat	te.			
5. The	e ID number or unif	orm ID numb	er has not been properly	filled in,	, or the information is ins	accurate.				
6. If	a natural person,	the date of	birth has not been prope	rly fille	d in, or the information is	s inaccurat	te.			
7. The	e stock code has no	t been prop	erly filled in,							
or 36	of the Taiwan Secu	rities Asso	ciation Rules Governing (	nderwritin	ng and Resale of Securities	s by Securi	ties Fir	ns.		
9. Fai remittance	lure to open a tra of securities.	ding accoun	t, a book-entry bank acco	unt for re	emittance of funds, or a bo	ook-entry a	account f	or custody	and	
10, Fa competitiv	ailure to sign a co re auction.	ntract with	the bank designated by t	he securi	ties broker for deductions	of funds i	in connec	tion with 1	the	
ll. Th tender fee	e balance of funds required for the	in the bid bid for the	der's book-entry bank acc securities.	ount for :	remittance of funds is lowe	er than the	e sum tot	al of the n	margi	n and
12 Th	e hidder has submi	tted the hi	d in the name of another	or false	ly using the name of anothe	pr				

Step7. After reading the Terms and Conditions, select the "I have read and agree to the above Terms and Conditions" checkbox, and click the "Submit" tab.

Home BID Operation -	Manage - <sup>9602</sup> Logoff 960231
4. A foundation that has received one-third or more of its paid-in endowment from the issuing comp	pany (or issuing institution).
<ol><li>Any of the issuing company's (or issuing institution's) directors, supervisors, general manager, assistant general managers, or any division officer serving directly under the general manager.</li></ol>	r, assistant general manager(s), deputy
6. The spouse of a director, a supervisor, or the general manager of the issuing company (or issuin	ing institution).
7. A director, supervisor, or employee of the underwriting syndicate, or a spouse thereof.	
8. Any person as set out in the preceding subparagraphs who participates in the offering under the who meets the criteria of a de facto related party as defined in Article 2 of the Securities and Excha	e name of another person (i.e. a person ange Act Enforcement Rules).
2. The undersigned agrees that the undersigned's personal information associated with the central securities firm may, within the scope of the specific purposes for the handling of the competitive processed, and used by the Taiwan Stock Exchange Corporation, the Taiwan Depository and Clearing Corpo institutions mandated thereby.	urities depository account opened through e auction of securities, be collected, pration, the securities underwriter, or
3. The undersigned agrees to provide winning bid information to the shareholder services agent of the information file creation.	issuer of the securities for purposes of
4. The undersigned represents that the account opening information recorded with the securities broker form are true and correct. The securities firm may use that information as the contact method for notic If, as a result of any inaccuracy in such information provided, the undersigned fails to make timely p or any winning bid fee, the undersigned agrees that the securities underwriter may take forfeiture of	and the contact information on this bid ices of winning bids and payment notices. Dayment of any price payable for shares the amount from the bid margin therefor.
☑ have read and agree to the above Terms and Conditions and Represer	ntations.
Return to Preceding Page Submit	

Step8. After clicking the "Submit" tab, a dialog box will appear on the screen asking "Are you sure you wish to submit this bid?" as seen outlined in red below. If you click "OK", your bid will be submitted.

Home BID Operation -	Manage - <sup>9602</sup> Logoff 960231
the Labor Insurance Fund.	
5. Other parties granted permission by the government.	
Article 36:	
1. An equity-method investee of the issuing company (or issuing institution).	
2. An investor that has equity-method investment in the issuing company (or issuing institution	n),
3. A company whose chairman or general manager is the same person as the chairman or general minimativation), or is the spouse thereof.	manager of the issuing company (or issuing
4. A foundation that has received one-thir	ompany (or issuing institution).
5. Any of the issuing company's (or issuing Message from webpage X assistant general managers, or any division of	ger, assistant general manager(s), deputy
6. The spouse of a director, a supervisor, 🛛 🕜 Are you sure you wish to submit this bid?	suing institution).
7. A director, supervisor, or employee of :	
8. Any person as set out in the preceding s who meets the criteria of a de facto related p	the name of another person (i.e. a person change Act Enforcement Rules).
2. The undersigned agrees that the undersigned s personal information associated with the central the securities firm may, within the scope of the specific purposes for the handling of the competi processed, and used by the Taiwan Stock Exchange Corporation, the Taiwan Depository and Clearing ( institutions mandated thereby.	securities depository account opened through tive auction of securities, be collected, Corporation, the securities underwriter, or
3. The undersigned agrees to provide winning bid information to the shareholder services agent of information file creation.	the issuer of the securities for purposes of
4. The undersigned represents that the account opening information recorded with the securities by form are true and correct. The securities firm may use that information as the contact method for If, as a result of any inaccuracy in such information provided, the undersigned fails to make time or any winning bid fee, the undersigned agrees that the securities underwriter may take forfeiture	roker and the contact information on this bid notices of winning bids and payment notices. Ply payment of any price payable for shares of the amount from the bid margin therefor.
${old C}$ I have read and agree to the above Terms and Conditions and Repu	resentations.
Return to Preceding Page Submit	

Step9. Input the certificate password again: If you logged in using a Securities and Futures Certificate, please input the Securities and Futures Certificate password. If you logged in using an investor On-line Stock-Dealing Certificate, please input the On-line Stock-Dealing Certificate password.

Step10. The appearance of this screen indicates that the operations for submitting the bid are complete, and reminds the bidder of the date on which the margin will be deducted from your account and the amount to be deducted. If the bidding process is interrupted because of any operation problem or unknown cause, please immediately execute a "Query Bid " to confirm whether the procedure for submitting the bid has been completed, so as to avoid making multiple submissions of the same bid.



# 2.2 Margin and Bid Query (1002)

Step1. Select the auction to be queried and input the investor trading account number (the securities firm code + the investor account number, 11 digits in total).

Home	BID Operation 👻		investor N123367297	Logoff	
		Margin Payable and Bid Query			
	Auction: Investor's Trading Account Number:	Initial TWSE Primary Listing 1 4499 1 Test Stock  9662 0000014 Regin			
Impo • The • The forfe • Plea subn • A bio	vrtant Terms and Conditions total margin payable includes the tender fee total balance payable for winning bids inclut ited. se notel A bidder making an in-person quep inited and the amount of margin; the temzze dder using an Investor On-Line Stock-Dealin	I for each bid. For non-winning bids, the tender fee will not returned, only the bi tes the winning bid fee. If the funds on deposit are insufficient to make the full of y at a securities firm during the bidding peniod is only able to query the number d bid content cannot be queried until after the bidding is closed. Ig Certificate can query the itemized content of all bids that have been successi	d margin will be re leduction, the mar of bids successful fully submitted.	turned gin will be ly	

Step2. An investor who logs in using the On-line Stock-Dealing Certificate can query the full itemized information of all bids that have been submitted through the account opened with that securities firm, whether the bids are qualified, and, after the bids have been opened, whether the bids are winning bids (by clicking on "See Winning Bids").

Home	BID Op	eration -									in N12	vestor Logoff 3367297
					Margin Pa	yable and B	id Query					
	Invest	or's Trading	A g Account N	uction: umber:	Initial TWSE Primary Li 9602	sting   0409   Tes	it Stock		•			
					Auction Info: Op	Begin ening of B	ids Comp	leted				
			Que	rv Succes	sful! Your amou	nt currentl	v pavable	for thi	is auct	tion is:		Show Auction
		т	rading Acco	unt	Total Bid Margin Payable and fender Fee (NTD)	Total Bala Winni Winning	ance Payab ing Bids an Bid Fees(N	le for d ITD)	Numb Bi Succes Subn	ber of Nu ids W ssfully nitted	mber of linning Bids	
			9602-000001	14	72800		171000		1	1	11	
			You curr	ently hav	e 11 successfully	submitte	d bids. Th	e cont	ent is a	as follows		
Tradir Accou	ng Bid unt price (NTD	Bid Quantity	Tender Fee (NTD)	Margin Deductibl (NTD)	ID Number or e Uniform ID Number	Foreign Investor Code Number	Date of Birth	Telep Num	hone iber	Cell Phone Number	Bid Status	Winning Bid?
9602 00000	2- 10.00 14	1	400	3000	N123367297		3/2/1901			096312345	G Qualified Bid	See Winning Bid
9602 00000	2- 10.00 114	2	400	6000	N123367297		2/2/1900			096312345	Qualified Bid	See Winning Bid
9602 00000	2- 11.00 14	2	400	6600	N123367297		3/2/1902			096323260	B Qualified Bid	See Winning Bid
9602 00000	2- 11.00 14	2	400	6600	N123367297		1/1/1901			096312345	0 Qualified Bid	See Winning Bid



Step3. The Winning Bid information screen is as shown below.

Step4. If there currently are not any successfully submitted bids through the investor's trading account, the query result shown below will appear.

Home BID (	Operation	•								investor N123367297	Logoff
					Margin Payab	ele and Bid Q	uery				
Inve	Auction: Interest PECA Lating 1888   Intial TPEX Lating 18888   Intial TPEX Lating 1888   Intial TPEX Lating 18888   I									Hide Auction	
Securities M Code Si	Name of the Securities	Nature of the Issue	Market	Date of Opening of Bids	Minimum Quantity Per Single Bid (in Units of 1,000 shares)	Minimum Bid Price (NTD)	Maximum Award Quantity (in Units of 1,000 shares)	Tender Fee Per Single Bid (NTD)	Bid Margin Percentage (%)	Winning Bid Fee Rate (%)	Minimum Award Price
8888 ti	test 8888	Initial TPEx Listing	TPEx Listed	2018/05/24	2	10.00	40	400	50%	4.5%	
Important T - The total m - The total b torfeited. - Please note submitted a - A bidder us	Curre Terms and 0 margin payal balance paya tel A bidder and the amo ising an Inve	ently, no Conditions ble include able for wir making an ount of ma sstor On-Li	bids ha	ve yet been a er fee for each includes the w query at a sec emized bid cor Dealing Certific	bid. For non-wi inning bid fee. It curities firm duriti tent cannot be ate can query th	submitted f nning bids, th f the funds on ng the bidding queried until a ne itemized co	hrough tradil e tender fee will deposit are insu period is only a ffer the bidding intent of all bids	ng accourt i not returne ufficient to r able to quern is closed. that have b	nt 9602-00000 ed; only the bid r make the full dec y the number of been successful	014! margin will be i duction, the mi l bids successf lly submitted.	returned. argin will be ully

# 3 Frequently Asked Questions

### 3.1 <u>FAQ</u>

To view the answers to frequently asked questions (FAQ), click on the "FAQ" tab on the login page.

	中文 Loigr
	Investor On-line Stock-D Broker Select Securities Firm ID Number or Uniform ID Number FAQ Investor Login Instructions Loign
Home	中文 Loi FAQ
Home 1. Questions about th	中文 Loi FAQ e System and Certificates
Home 1. Questions about th Q1-1. System Use Enviror	中文 Loi FAQ e System and Certificates nent Limits?
Home 1. Questions about th Q1-1. System Use Environ Q1-2. Can I submit bids us	中文 Loi FAQ e System and Certificates nent Limits? ng my smartphone or tablet computer?
Home 1. Questions about th Q1-1. System Use Environ Q1-2. Can I submit bids us Q1-3. How do I log into the	中文 Loi FAQ e System and Certificates nent Limits? ng my smartphone or tablet computer? system?
Home 1. Questions about th Q1-1. System Use Enviror Q1-2. Can I submit bids us Q1-3. How do I log into the Q1-4. What should I do if I	中文 Loi FAQ e System and Certificates nent Limits? ng my smartphone or tablet computer? system? have forgotten my password?
Home 1. Questions about the Q1-1. System Use Environ Q1-2. Can I submit bids us Q1-3. How do I log into the Q1-4. What should I do if I Q1-5. If an investor visits a the investor do?	中文 Loi FAQ a System and Certificates nent Limits? Ing my smartphone or tablet computer? system? have forgotten my password? securities firm to submit a bid in person, but after logging in is unable to find the bidding function, what should
Home 1. Questions about th Q1-1. System Use Environ Q1-2. Can I submit bids us Q1-3. How do I log into the Q1-4. What should I do if I Q1-5. If an investor visits a the investor do? Q1-6. When there is a sign Failure)	中文 Loi FAQ e System and Certificates ment Limits? Ing my smartphone or tablet computer? system? have forgotten my password? securities firm to submit a bid in person, but after logging in is unable to find the bidding function, what should ature or verification failure (ActiveX Component Download Failure or TWCA Intermediary Program Connection

# 3.2 Error codes commonly seen when attempting to log in

Error code :

8042	Incorrect format(PKCS7)
24833	Certificate has expired
25648	Certificate suspend

26112	Incorrect Certificate
36896	Certificate has locked
36897	Incorrect password

#### 3.3 Querying certificates that have been imported into

#### browser(example:IE)

Step1. Tools -> Internet Options -> Content -> Certificates



Step2. In "Personal" certificates, you can access all your certificates that have been imported, and you can remove any certificate by clicking "Remove".

	urpose:	<all></all>			
Personal	Other Peop	ole Intermediate Certificat	ion Authorities	Tru	sted Root Certification
Issued	То	Issued By	Expiratio		Friendly Name
CC:	9999993	TaiCA Secure CA	10/9/20	15	<none></none>
Import.	Exp	port	)		Advanced

## 3.4 Inability to log in on a browser using IE9 or later

#### 3.4.1 <u>Download the IE Quick Test and Setup Tool</u>

Step1. Using an IE9 or greater browser, open https://scas.twse.com.tw/ and select "Investor Login Instructions".

Home		中文 Loign
	Investor On-line Stock-D V Broker Select Securities Firm V ID Number or Uniform ID Number FAQ Investor Login Instructions Loign	

Step2. Select "IE Quick Test and Setup".

Home	中文	Loign
Installation Instructions – Inve	stor On-Line Stock-Dealing Certificate	
C Internet Explorer	O Chrome / 😂 Firefox / 🤶 Edge	
Instructions for Logging in with the Investor On-Line Sto	ck Dealing Certificate (using Internet Explorer)	
Supports Internet Explorer 9, Internet Explorer 10, and Internet	Explorer 11	
IE Quick Test and Setup		
Step 1: Install necessary components.		
64-bit component file (x64):TseCCINxATL (x64)		
32-bit component file (x86):TseCCINxATL (x86)		
Step 2: When logging in, install add-on components.		

#### Step3. Change the settings to those recommended by the test tool.

Your PC configuration										
١	Windows Version		Microsoft Windows 7							
	Screen Resolution		True color (32-bit) 1920 x 1080 pixels							
	MSIE Version		Internet Explorer 11							
	Javascript Support		JavaScript 1.3							
	JRE Version	400	No JRE Installed							
	Windows Account/Group name	1094	1/ 笔脑規劃部設訂一租, G1U94, Domain Users, 笔脑規劃部, codesecure_grp							
		onent Check								
		MSIE CO	Inguration	December	Gurrant					
No.	Configurati	on	Description	Setting	Setting	Apply All				
1	Download signed ActiveX co	ntrols(Trusted sites)		Prompt	Prompt	Apply				
2	Automatic prompting for ActiveX	controls(Trusted sites)		Disable	Disable	Apply				
3	Initialize and script ActiveX controls not marke	ed as safe for scripting(Trusted sites)		Prompt	Prompt	Apply				
4	Run ActiveX controls and plu	ig-ins(Trusted sites)	For Component Installation and execution purposes	Enable	Enable	Apply				
5	Cancel: Enable memory protection to	help mitigate online attacks		Cancel	Not Cancel	Apply				
6	Script ActiveX controls marked as sat	e for scripting(Trusted sites)		Enable	Enable	Apply				
7	Active scripting(Tru	sted sites)	For Active Script execution purpose	Enable	Enable	Apply				
8	Display mixed of	content	For Miscollangous purposo	Enable	Enable	Apply				
9	Include local directory path when	uploading files to a server	r or miscellaneous purpose	Enable	Enable	Apply				
10	Add trusted site (tw	se.com.tw)	For Component execution purpose	Add	Add	Apply				