

# Certificate of Registration

## INFORMATION SECURITY MANAGEMENT SYSTEM - ISO/IEC 27001:2013

This is to certify that: Capital Securities Corporation  
Capital Center  
11F.  
No. 156, Sec. 3, Minsheng E. Rd.  
Songsshan Dist.  
Taipei City  
105005  
Taiwan

Holds Certificate No: **IS 503970**

and operates an Information Security Management System which complies with the requirements of ISO/IEC 27001:2013 for the following scope:

The provision of information system design, development, operation, maintenance, customer service, management of network infrastructure, server rooms and all supporting information processing activities for Capital Securities Corp., Capital Futures Corp., Capital Insurance Agency Corp. and Capital Insurance Advisory Corp. within Innovation Technology Department. This is in accordance with the Statement of Applicability version 3.2 dated 22 February 2019.

For and on behalf of BSI:

Chris Cheung, Head of Compliance & Risk - Asia Pacific

Original Registration Date: 2006-03-16  
Latest Revision Date: 2021-09-30

Effective Date: 2021-03-13  
Expiry Date: 2024-03-12

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Certificate No: **IS 503970**

Location	Registered Activities
Capital Securities Corporation Capital Center 11F. No. 156, Sec. 3, Minsheng E. Rd. Songshan Dist. Taipei City 105005 Taiwan	The provision of information system design, development, operation, maintenance, customer service, management of network infrastructure, server rooms and all supporting information processing activities for Capital Securities Corp., Capital Futures Corp.<( >,< )> Capital Insurance Agency Corp. and Capital Insurance Advisory Corp. within Innovation Technology Department.
Capital Securities Corporation Capital Center 13F. No. 101, Songren Road Sinyi Dist. Taipei City 110414 Taiwan	The provision of management of related server room activities.
Capital Securities Corporation Capital Center B2. No. 97, Sec. 2, Dunhua S. Road. Da'an Dist. Taipei City 106420 Taiwan	The provision of system design and development, management of related server room activities within Innovation Technology Department.

Original Registration Date: 2006-03-16

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This certificate relates to the information security management system, and not to the products or services of the certified organisation. The certificate reference number, the mark of the certification body and/or the accreditation mark may not be shown on products or stated in documents regarding products or services. Promotion material, advertisements or other documents showing or referring to this certificate, the trademark of the certification body, or the accreditation mark, must comply with the intention of the certificate. The certificate does not of itself confer immunity on the certified organisation from legal obligations.

This certificate was issued electronically and remains the property of BSI and is bound by the conditions of contract.

An electronic certificate can be authenticated [online](#).

Printed copies can be validated at [www.bsi-global.com/ClientDirectory](http://www.bsi-global.com/ClientDirectory) or telephone +886 (02)2656-0333.

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