

KGI 凱基證券投資顧問股份有限公司

KGI 凱基證券投資顧問股份有限公司成立於 1997 年 2 月，資本額為新台幣 1.5 億元。成立宗旨在於運用證券投資之專業，為投資大眾及公司法人提供完善的服務，為客戶提供投資理財規劃，與積極追求長期穩健之投資收益。長期以來，KGI 凱基投顧秉持『誠信』與『穩健』的理念，深獲投資客戶的信賴，亦創造了輝煌的成效。

2010 年業務概況

KGI 凱基投顧於 2001 年 2 月取得『全權委託投資業務』經營資格後，乃積極拓展全權委託投資業務，目前透過專業的经营團隊以及審慎的選股策略，為客戶尋求最適宜之資產配置，截至 2010 年 12 月 31 日為止，接受客戶委託資產超過新台幣 13.5 億元，委託客戶數超過 90 餘戶，無論是委託資產或客戶數在投顧業界均已名列前茅。此外，KGI 凱基投顧亦投入大量資源提供上市櫃公司財務規劃並接受客戶諮詢服務，對於銀行業、壽險業、投信業等法人機構，所提供的投資諮詢、法說會等服務，均獲得好評，相關成效從歷次舉辦的法說會參加人數，及法人客戶諮詢頻率均可堪稱業界之冠。

2011 年業務展望

展望未來，隨著政府進一步陸續開放證券投資顧問事業得投資外國有價證券、上市櫃及興櫃公司私募有價證券、金融資產證券化受益證券與資產基礎證券，全權委託投資及投顧諮詢市場的需求將持續升溫。KGI 凱基投顧除了持續推展原有的業務內容之外，並將 2011 年業務發展目標設定為全力衝刺提升全權委託業務，尤其在接受壽險業、法人委託方面，投顧將盡力提升委託資產規模。另 KGI 凱基投顧團隊研究報告除在內容與品質上力求與國際接軌外，並於兩岸三地完整的佈局，提供客戶更廣泛及靈活的個股及題材追蹤，力求成為以全球化為研究目標的研究團隊

KGI Securities Investment Advisory Co. Ltd.

Established in February 1997 with capital of NT\$150mn, KGI Securities Investment Advisory Co. Ltd. (KGI SIAC) offers investment consulting services to individual and corporate clients with the aim of ensuring stable and long-term returns from the financial markets. KGI SIAC's commitment to its founding principles of integrity and reliability has won the trust of many valued clients, resulting in years of impressive results.

2010 Performance

Since obtaining a license to operate a discretionary investment service business in February 2001, KGI SIAC has utilized professional stock-picking strategies to formulate the most appropriate asset allocations for its clients. As of December 31, 2010 until accepted by customers assets of more than NT 1.35 billion, more than 90 more than the number of clients commissioned by households, whether it is entrusted assets or the number of clients in the investment consulting industry are the first of several. KGI SIAC has also channeled sizable resources into financial planning and consulting services for TAIEX and OTC listed companies. In this area, in terms of both results and workforce, KGI SIAC is well ahead of peers.

2011 Outlook

KGI SIAC expects that securities investment advisory companies will be permitted to invest in a wider variety of financial instruments in the near future, including securities listed in diverse foreign markets, the private placements of the securities of TAIEX- and OTC-listed companies and emerging market companies, financial asset securitization beneficial certificates and asset-backed securities. Thus, KGI SIAC, in addition to continuing its core operational activities, in 2011 has set as a development goal the enhancement of its discretionary investment services, especially in terms of the life insurance industry and institutional businesses. It will also increase the amount of entrusted assets this year. Moreover, KGI SIAC study in addition to the content and quality to meet international standards, but also in mainland China, Taiwan, Hong Kong complete the arrangement, providing customers with a wide range of stocks and the message, try to become the target for the study of globalization Research and analysis team.