[**華僑及外國人與大陸地區投資人申請投資國內有價證券或從事國內期貨交易登記作業要點**](http://www.selaw.com.tw/LawContent.aspx?LawID=G0101913&ModifyDate=1031128)**第壹點修正條文對照表**

| 修 正 條 文 | 現 行 條 文 | 說 明 |
| --- | --- | --- |
| 壹、境外華僑及外國人申請登記  一、新增  （一）（二）<略>  （三）申請文件  1.申請登記表：由境外華僑及外國人之代理人（或代表人）填具完成「境外外國機構投資人投資國內有價證券或從事國內期貨交易申請登記表」，如表 1-1-1及「境外華僑及外國自然人投資國內有價證券或從事國內期貨交易申請登記表」如表 1-1-2。  2.檢附文件：境外華僑及外國人申請辦理登記，應備齊下列文件：  2.1代理人授權書或代表人指派書。  2.2身分證明文件。  2.2.1 境外華僑及外國自然人：護照、身分證或其他附相片足資證明國籍及身分之文件。  2.2.2 境外外國機構投資人  (1)非基金型態  I.公司  (I)當地政府單位核發之成立證書，如公司登記證明文件。如無公司登記證明文件，得以下列文件之一替代：  a.有當地主管機關存檔紀錄之公司章程。  b.當地稅務機關出具之資格證明。  (II)第一上市(櫃)、興櫃公司或第二上市(櫃)公司之登記目的聲明書。  II.其他依法成立之組織，如政府投資機構、慈善團體、基金會及學術單位，應出具當地主管機關核准成立之證書或函件。如無證書或函件，得以下列文件之一替代：  (I)有當地主管機關存檔紀錄之組織章程。  (II)為申請人成立依據制定之法令專章。  (III)當地稅務機關出具之資格證明。 | 壹、境外華僑及外國人申請登記  一、新增  （一）（二）<略>  （三）申請文件  1.申請登記表：由境外華僑及外國人之代理人（或代表人）填具完成「境外外國機構投資人投資國內有價證券或從事國內期貨交易申請登記表」，如表 1-1-1及「境外華僑及外國自然人投資國內有價證券或從事國內期貨交易申請登記表」如表 1-1-2。  2.檢附文件：境外華僑及外國人申請辦理登記，應備齊下列文件：  2.1代理人授權書或代表人指派書。  2.2身分證明文件。  2.2.1 境外華僑及外國自然人：護照、身分證或其他附相片足資證明國籍及身分之文件。  2.2.2 境外外國機構投資人  (1)非基金型態  I.公司  當地政府單位核發之成立證書，如公司登記證明文件。  如無公司登記證明文件，得以下列文件之一替代：  (I)有當地主管機關存檔紀錄之公司章程。  (II)當地稅務機關出具之資格證明。    II.其他依法成立之組織，如政府投資機構、慈善團體、基金會及學術單位，應出具當地主管機關核准成立之證書或函件。如無證書或函件，得以下列文件之一替代：  (I)有當地主管機關存檔紀錄之組織章程。  (II)為申請人成立依據制定之法令專章。  (III)當地稅務機關出具之資格證明。 | 1. 為本公司100年10月27日臺證上二字第1001703798號函公告第一上市公司買回本公司股份及第二上市公司買回臺灣存託憑證除依規定辦理外資登記外，另應檢具聲明書，說明登記目的係為投資或買回股份；爰增修ㄧ (三)規定，明定第一上市(櫃)、興櫃公司或第二上市(櫃)公司申請辦理登記時應檢附登記目的聲明書，以為遵循，另配合新增聲明書範本。 2. 調整項次。 |

表1-1-1

境外外國機構投資人投資國內有價證券

或從事國內期貨交易申請登記表

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1.申請人 | | | | | | |
| 中文名稱： | | | | | | |
| 英文名稱：  （須與所檢附文件完全一致） | | | | | | |
| 成立日期：西元 年 月 日 | | | | | | |
| 2.國別 | | | | | | |
| ○1.日本 ○2.美國 ○3.英國 | | | | | | |
| ○4.其他歐洲國家（國名： ） | | | | | | |
| ○5A.香港 ○5B澳門 ○6A.紐西蘭 ○6B.澳洲 | | | | | | |
| ○7.其他（國名： ） | | | | | | |
| 3.型態(請就所屬非基金型態或基金型態擇一勾選) | | | | | | |
| □基金型態 | | | □非基金型態 | | | |
| 類別：  ○公司型基金  ○信託型基金  ○合夥型基金  ○退休型基金  ○共同基金  ○單位信託  ○其他型基金（請敘明： ） | | | 類別：  ○銀行  ○保險公司  ○證券商或期貨商  ○ 1.上市(櫃)及興櫃公司海外子公司或分公司員工集合專戶  2.第一上市(櫃)及興櫃公司員工集合專戶  ○ 1.第一上市(櫃)及興櫃公司  2.第二上市(櫃)公司  (請敘明  證券代號：  扣繳單位統一編號：  ○其他（請敘明： ） | | | |
| 4.聲明事項：(自簽署日起生效) | | | | | | |
| 1. 依申請人之基金章程或成立契約等文件，其投資或交易策略之性質，聲明係屬投資或避險目的：   □投資  (請務必勾選)  □避險   1. 申請人所提供之文件與內容屬實且無虛假。 2. 申請人絕不以不當手段干擾金融市場運作。 | | | 1. 申請人或其客戶(實質投資貴國有價證券者)擬匯入　貴國投資有價證券或從事期貨交易之資金非來自臺灣或大陸地區。   申請人或其客戶(實質投資貴國有價證券者)不得為大陸地區人民、法人、團體、其他機構或其於第三地區投資之公司。   1. 申請人所提供之文件與內容屬實且無虛假。 2. 申請人絕不以不當手段干擾金融市場運作。 | | | |
| 5.股東背景資料(基金型態者可無須填寫) | | | | | | |
| ＊持股前三名或持股比例達5%以上(含)之股東，請填寫名稱與國籍。  ＊上述股東屬中華民國籍者，請填註營利事業統一編號或身分證號碼。 | 名 稱 | | | 國 籍 | 統一編號或身分證號碼 | |
|  | | |  |  | |
| 6.其他基本資料（以下資料如無者請填”N/A”） | | | | | | |
|  | | 名　　　　　稱 | | | | 註　　冊　　地 |
| 管理公司(Management Company)  電子郵件信箱：(E-mail Address) | |  | | | |  |
| 受託公司(Trustee Company；信託型基金請務必填寫，並由受託公司於本申請登記表簽署) | |  | | | |  |
| 顧問公司(Advisory Company) | |  | | | |  |
| 全球保管銀行(Global Custodian) | |  | | | |  |
| 申請日期：  代理人： （公司章）  代表人：  聯絡人員：  聯絡電話：  電子郵件信箱：  保管機構： | | | | | | |
| 檢附附件清單： | | | | | | |
| 境外外國機構投資人   1. 代理人授權書或代表人指派書。 2. 符合本作業要點規定之身分證明文件。 3. 申請登記之境外外國機構投資人親簽之登記表（英文版） | | | | | | |
| 上市(櫃)及興櫃公司海外子公司或分公司員工集合專戶   1. 上市(櫃)及興櫃公司之海外子公司或分公司切結確實取得海外員工授權之切結書正本。 2. 上市(櫃)及興櫃公司經主管機關核准或申報生效發行新股或員工認股權憑證或買回其股份之證明文件影本。 3. 上市(櫃)及興櫃公司董事會通過當次買回其股份轉讓予員工、發行員工認股權憑證或發行新股之議事錄影本。 4. 符合本作業要點規定之身分證明文件 5. 代理人授權書或代表人指派書。 6. 申請登記之境外外國機構投資人親簽之登記表（英文版）。 | | | | | | |
| 第一上市(櫃)及興櫃公司員工集合專戶   1. 第一上市（櫃）及興櫃之外國發行人切結確實取得海外外籍員工授權之切結書正本。 2. 第一上市（櫃）及興櫃之外國發行人向主管機關申報生效發行新股或員工認股權憑證之證明文件影本。 3. 經證交所核准第一上市或經櫃檯買賣中心核准第一上櫃、興櫃之同意函影本。 4. 符合本作業要點規定之身分證明文件 5. 代理人授權書或代表人指派書。 6. 申請登記之境外外國機構投資人親簽之登記表（英文版）。 | | | | | | |

申請人：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

有權簽字人之姓名及簽章：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

職稱：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

填表日期：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Exhibit 1-1-1**

**Registration Application Form for Offshore Foreign Institutional**

**Investors to Invest in ROC Securities or to Trade ROC Futures**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1. Applicant** | | | | | | | | |
| Name in Chinese: | | | | | | | | |
| Name in English:  (Applicant's name shall be same as indicated on supporting identification documents) | | | | | | | | |
| Establishment Date: | | | | | | | | |
| **2. Nationality** | | | | | | | | |
| □ 1. Japan | | | | | | | | |
| □ 2. United States | | | | | | | | |
| □ 3. United Kingdom\* | | | | | | | | |
| □ 4. Other European Country | | | | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_1 | | | |
| □ 5A. Hong Kong □ 5B. Macao | | | | |  | | | |
| □ 6A. New Zealand □ 6B. Australia | | | | |  | | | |
| □ 7. Others | | | | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_[[1]](#footnote-1)1 | | | |
| **3. Type of Applicant** (Please tick applicable box and fill in relevant information, as appropriate) | | | | | | | | |
| □ If Applicant is a fund. | | | | □ If Applicant is not a fund. | | | | |
| Type:   * a fund established as a corporation. * a trust fund. * a fund established as a partnership. * a pension fund. * a mutual fund. * a unit trust. * others ( please specify \_\_\_\_\_\_\_\_\_) | | | | Type:   * a bank. * an insurance company. * a securities firm or futures commission merchants. * 1. Segregated Collective Investment Account for the Overseas Foreign Employees of an overseas subsidiary or branch of a Taiwan company listed on TWSE or TPEx.   2. Segregated Collective Investment Account for the Overseas Foreign Employees of a foreign company listed on TWSE or TPEx.   * 1. a foreign company listed on TWSE or TPEx.   2. a foreign company secondary listed on TWSE or TPEx.  Security code:  Tax ID:   * others ( please specify \_\_\_\_\_\_\_\_\_) | | | | |
| **4. Declaration:** (effective from the date this registration form is signed) | | | | | | | | |
| 1. Pursuant to the Articles or Memorandum of Incorporation or other constitutive documents or agreements for establishment of the applicant, the nature of applicant's overall investment or trading strategy is for the following purposes (Please tick the appropriate box)  * investment * hedging  1. The documents and information provided by the applicant are true and correct. 2. The applicant will not use unjust measures to affect the fairness or order of the ROC financial/securities market. | | | | 1. The funds to be remitted by the applicant or its client (who is the actual investor) to invest in ROC securities or to trade ROC futures will not come from Taiwan or from Mainland China.   The applicant or its client (who is the actual investor) shall not be an individual, juristic person, organization or any other institution from Mainland China or its third-area invested company[[2]](#footnote-2)2.   1. The documents and information provided by the applicant are true and correct. 2. The applicant will not use unjust measures to affect the fairness or order of the ROC financial/securities market. | | | | |
| **5. Background Information on Applicant** (if the applicant is not a fund) | | | | | | | | |
|  | | | | Name | | Nationality | | R.O.C. Business Registration No. or Identification No. |
| Top Three Shareholders or Shareholders who own 5% or more of Applicant's share capital.  \*If any of the shareholders holds R.O.C. nationality, please complete the business registration number or identification number. | | | |  | |  | |  |
| **6. Other Information** (Please mark N/A, if such item is not applicable) | | | | | | | | |
|  | | | Name | | | | The place of registration | |
| Asset Management Company  E-mail Address: | | |  | | | |  | |
| Trustee[[3]](#footnote-3)3 | | |  | | | |  | |
| Advisory Company | | |  | | | |  | |
| Global Custodian | | |  | | | |  | |
| Application Date: |  | | | | | | | |
| Agent: |  | | | | | | | |
| Representative: |  | | | | | | | |
| Contact Person : |  | | | | | | | |
| Telephone Number : |  | | | | | | | |
| E-mail Address : |  | | | | | | | |
| Taiwan Custodian: |  | | | | | | | |
| Attactments to be provided by a foreign institutional investor:   1. Power of attorney to agent or letter of appointment to representative. 2. Applicant’s identification documents as required by the Directions. 3. Registration form in English signed by the applicant. | | | | | | | | |
| Attachments to be provided by a Segregated Collective Investment Account for the Overseas Foreign Employees of an overseas subsidiary or branch of a Taiwan company listed on TWSE or TPEx.  1. A declaration issued by the overseas subsidiary or branch of the Taiwan Listed Company confirming that it has obtained the authorization from its foreign employees.  2. A copy of the letter issued by the Financial Supervisory Commission approving the issuance of new shares or the employees stock option by the Taiwan Listed Company or the supporting documents evidencing the Taiwan Listed Company’s share buy back.  3. A copy of the minutes of the board of directors meeting of the Taiwan Listed Company approving the share buy back and transfer of such shares to its employees or the issuance of the employees stock option or new shares.  4. Applicant’s identification documents as required by the Directions.  5. Power of attorney to agent or letter of appointment to representative.  6. Registration form in English signed by the applicant. | | | | | | | | |
| Attachments to be provided by a Segregated Collective Investment Account for the Overseas Foreign Employees of a foreign company listed on TWSE or TPEx.  1. A declaration issued by the Taiwan Listed Company confirming that it has obtained the authorization from its foreign employees.  2. A copy of the letter issued by the Financial Supervisory Commission approving the issuance of new shares or the employees stock option by the Taiwan Listed Company or the supporting documents evidencing the Taiwan Listed Company’s share buy back.  3. A copy of the minutes of the board of directors meeting of the Taiwan Listed Company approving the share buy back and transfer of such shares to its employees or the issuance of the employees stock option or new shares.  4. Applicant’s identification documents as required by the Directions.  5. Power of attorney to agent or letter of appointment to representative.  6. Registration form in English signed by the applicant. | | | | | | | | |
| Applicant: | |  | | | | | | |
| Name and Signature of Authorized Signatory: | |  | | | | | | |
| Title: | |  | | | | | | |
| Execution Date: | |  | | | | | | |

表1-1-2

境外華僑及外國自然人投資國內有價證券

或從事國內期貨交易申請登記表

|  |
| --- |
| 1.申請人 |
| 中文名稱： |
| 英文名稱：  （須與所檢附之身分證明文件完全一致） |
| 出生日期：西元 年 月 日 |
| 2.國別 |
| ○ 1.日本 |
| ○ 2.美國 |
| ○ 3.英國 |
| ○ 4.其他歐洲國家（國名： ） |
| ○ 5A.香港\*\* ○ 5B澳門\*\* |
| ○ 6A.紐西蘭 ○ 6B.澳洲 |
| ○ 7.其他（國名： ） |
| 3.聲明事項(自簽署日起生效) |
| 1. 申請人擬匯入　貴國投資有價證券或從事期貨交易之資金非來自臺灣或大陸地區。 2. 申請人不得為大陸地區人民\*\*。 3. 申請人所提供之文件與內容屬實且無虛假。 4. 申請人絕不以不當手段干擾金融市場運作。 |
| 申請日期：  代理人：  代表人： （公司章）  聯絡人員：  聯絡電話：  電子郵件信箱：  保管機構： |
| 檢附附件清單：   1. 代理人授權書或代表人指派書。 2. 符合本作業要點規定之身分證明文件。 3. 申請登記之境外華僑及外國自然人親簽之登記表（英文版） |
| \*\*香港及澳門申請人符合香港澳門關係條例第4條規定者，應檢附符合規定之證明文件，準用外國人或華僑回國投資及結匯相關規定。  1.申請人國別為香港者應為香港居民，其指具有香港永久居留資格，且未持有英國國民(海外)護照或香港護照以外之旅行證照者。  2.申請人國別為澳門者應為澳門居民，其指具有澳門永久居留資格，且未持有澳門護照以外之旅行證照或雖持有葡萄牙護照但係於葡萄牙結束治理前於澳門取得者。 |

姓名及簽章：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

填表日期：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Exhibit 1-1-2**

**Registration Application Form for Offshore Overseas Chinese & Foreign Natural Persons to Invest in ROC Securities or to Trade ROC Futures**

|  |  |  |
| --- | --- | --- |
| **1. Applicant** | | |
| Name in Chinese: | | |
| Name in English:  (Applicant's name shall be same as indicated on supporting identification documents) | | |
| Date of Birth: | | |
| **2. Nationality** | | |
| □ 1. Japan | | |
| □ 2. United States | | |
| □ 3. United Kingdom | | |
| □ 4. Other European Country | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_1 |
| □ 5A. Hong Kong\*\* □ 5B. Macao\*\* | |  |
| □ 6A. New Zealand □ 6B. Australia | |  |
| □ 7. Others | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_[[4]](#footnote-4)1 |
| **3. Declaration:** (effective from the date this registration form is signed) | | |
| (1) The funds to be remitted by the applicant to invest in ROC securities or to trade ROC futures will not come from Taiwan or from Mainland China.  (2) The applicant shall not be an individual from the Mainland China.\*\*  (3) The documents and information provided by the applicant are true and correct.  (4) The applicant will not use unjust measures to affect the fairness or order of the ROC financial/securities market. | | |
| Application Date:  Agent:  Representative:  Contact Person :  Telephone Number :  E-mail Address :  Taiwan Custodian: | | |
| Attachments :  1. Power of Attorney to Agent or Letter of Appointment to Representative.  2. Applicant’s identification documents as required by the Directions.  3. Registration form in English signed by the applicant. | | |
| \*\* The applicant who is a Hong Kong or Macao resident as defined under Article 4 of the Laws and Regulations Regarding Hong Kong & Macao Affairs shall submit the required identification documents and apply mutatis mutandis to the regulations governing the investment and remittance by foreign nationals and overseas Chinese.  1. The Hong Kong applicant shall be a Hong Kong resident who has permanent residency in Hong Kong and does not hold a travel document other than a British (Overseas) passport or a Hong Kong passport.  2. The Macao applicant shall be a Macao resident who has permanent residency in Macao and does not hold a travel documents other than a Macao passport or holds a Portuguese passport obtained prior to the end of Portuguese rule. | | |
| Applicant: |  | |
| Name and Signature of Authorized Signatory: |  | |
| Title: |  | |
| Execution Date: |  | |

表1-3-1

境外華僑及外國人更名申請登記表

|  |  |
| --- | --- |
| 身分編號: | |
| 1.申請人 | |
| 舊中文名稱： | 舊英文名稱： |
| 新中文名稱： | 新英文名稱： |
| 2.代理(表)人及保管機構 | |
| 代理人： （公司章） | 保管機構： |
| 聯絡人員： | 代表人： |
| 電話： | 電子郵件信箱： |
| 3.型態(請就所屬非基金型態或基金型態擇一勾選) | |
| □基金型態 | □非基金型態 |
| 類別：  ○公司型基金  ○信託型基金  ○合夥型基金  ○退休型基金  ○共同基金  ○單位信託  ○其他型基金 | 類別：  ○銀行  ○保險公司  ○證券商或期貨商  ○1.上市(櫃)及興櫃公司海外子公司或分公司員工集合專戶  2.第一上市(櫃)及興櫃公司員工集合專戶  ○1.第一上市(櫃)及興櫃公司  2.第二上市(櫃)公司  (請敘明  證券代號：  扣繳單位統一編號：  ○其他 |
| 4.聲明事項：(自簽署日起生效) | |
| 1. 依申請人之基金章程或成立契約等文件，其投資或交易策略之性質，聲明係屬投資或避險目的：   （請務必勾選）  □投資  □避險   1. 申請人所提供之文件與內容屬實且無虛假。 2. 申請人絕不以不當手段干擾金融市場運作。 | 1. 申請人或其客戶(實質投資貴國有價證券者)擬匯入　貴國投資有價證券或從事期貨交易之資金非來自臺灣或大陸地區。   申請人或其客戶(實質投資貴國有價證券者)不得為大陸地區人民、法人、團體、其他機構或其於第三地區投資之公司。   1. 申請人所提供之文件與內容屬實且無虛假。 2. 申請人絕不以不當手段干擾金融市場運作。 |

申請人：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

有權簽字人之姓名及簽章：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

職稱：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

填表日期：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Exhibit 1-3-1**

**Registration Application Form for Name Change**

**by Offshore Overseas Chinese & Foreign Nationals**

|  |  |  |
| --- | --- | --- |
| Investment Identification No. | | |
| 1. Applicant | | |
| Original Name in Chinese: | | Original Name in English: |
| New Name in Chinese: | | New Name in English: |
| 2. Taiwan Agent / Representative & Custodian | | |
| Agent / Representative:  Contact Person:  Tel No. | | Custodian:  Representative :  Email Address : |
| 3. Type of Applicant (please tick applicable box and fill in relevant information, as appropriate.) | | |
| □ If Applicant is a fund. | | □ If Applicant is not a fund. |
| Type :   * a fund established as a corporation. * a trust fund. * a fund established as a partnership. * a pension fund. * a mutual fund. * a unit trust. * others ( please specify \_\_\_\_\_\_\_\_\_) | | Type :   * a bank. * an insurance company. * a securities firm or futures commission merchants. * 1. Segregated Collective Investment Account for the Overseas Foreign Employees of an overseas subsidiary or branch of a Taiwan company listed on TWSE or TPEx.   2. Segregated Collective Investment Account for the Overseas Foreign Employees of a foreign company listed on TWSE or TPEx.   * 1. a foreign company listed on TWSE or TPEx.   2. a foreign company secondary listed on TWSE or TPEx.  Security code:  Tax ID:   * others ( please specify \_\_\_\_\_\_\_\_\_) |
| **4、Declaration:** (effective from the date this registration form is signed) | | |
| 1. Pursuant to the Articles or Memorandum of Incorporation or other constitutive documents or agreements for establishment of the applicant, the nature of applicant's overall investment or trading strategy is for the following purposes (Please tick the appropriate box)  * investment * hedging  1. The documents and information provided by the applicant are true and correct. 2. The applicant will not use unjust measures to affect the fairness or order of the ROC financial/securities market. | | 1. The funds to be remitted by the applicant or its client (who is the actual investor) to invest in ROC securities or to trade ROC futures will not come from Taiwan or from Mainland China.   The applicant or its client (who is the actual investor) shall not be an individual, juristic person, organization or any other institution from Mainland China or its third-area invested company.   1. The documents and information provided by the applicant are true and correct. 2. The applicant will not use unjust measures to affect the fairness or order of the ROC financial/securities market. |
| Applicant: |  | |
| Name and Signature of Authorized Signatory: |  | |
| Title: |  | |
| Execution Date: |  | |

表2-1

境內華僑及外國人投資國內有價證券

或從事國內期貨交易申請登記表

|  |  |
| --- | --- |
| 僑外人名稱或姓名 | 中文：  英文：  （須與所檢附之居留證完全一致） |
| 僑外人國籍 | ○1.日本 |
| ○2.美國 |
| ○3.英國 |
| ○4.其他歐洲國家（國名： ） |
| ○5A.香港\*\* ○5B澳門\*\* |
| ○6A.紐西蘭 ○6B.澳洲 |
| ○7.其他（國名： ） |
| 類別 | ○華僑及外國自然人 出生日期：西元 年 月 日 |
| ○外國機構投資人(法人)經經濟部核准設立日期：  西元 年 月 日 |
| 聲明事項  (自簽署日起生效) | 1. 本人擬匯入　貴國投資有價證券或從事期貨交易之資金非來自大陸地區。 2. 申請人不得為大陸地區人民\*\*。 3. 本人所提供之文件與內容屬實且無虛假。 4. 申請人絕不以不當手段干擾金融市場運作。 |
| 申請日期 | 中華民國 年 月 日 |
| \*\*香港及澳門申請人符合香港澳門關係條例第4條規定者，應檢附符合規定之證明文件，準用外國人或華僑回國投資及結匯相關規定。  1.申請人國別為香港者應為香港居民，其指具有香港永久居留資格，且未持有英國國民(海外)護照或香港護照以外之旅行證照者。  2.申請人國別為澳門者應為澳門居民，其指具有澳門永久居留資格，且未持有澳門護照以外之旅行證照或雖持有葡萄牙護照但係於葡萄牙結束治理前於澳門取得者。 | |
| 申請人：  地址：  聯絡電話： | |
| 代理申請證券商或期貨商： 　　　　　　　　（公司章）  經辦： | |

申請人：

(如為境內外國機構投資人則由負責人簽名)

簽署日期：

**Exhibit 2-1**

**Registration Form for Onshore Overseas Chinese & Foreign**

**Nationals to Invest in ROC Securities or to Trade ROC Futures**

|  |  |  |
| --- | --- | --- |
| **Applicant** | | |
| Name in Chinese: | | |
| Name in English:  (Applicant's name shall be same as indicated on supporting identification documents) | | |
| Date of Birth:  (for natural person) | | |
| Establishment Date:  (for juristic person) | | |
| **Nationality** | | |
| □ 1. Japan | | |
| □ 2. United States | | |
| □ 3. United Kingdom | | |
| □ 4. Other European Country | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| □ 5A. Hong Kong\*\* □ 5B. Macao\*\* | |  |
| □ 6A. New Zealand □ 6B. Australia | |  |
| □ 7. Others | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Declaration:** (effective from the date this registration form is signed)  (1) The funds to be remitted by the applicant to invest in ROC securities or to trade ROC futures will not come from Mainland China.  (2) The applicant shall not be an individual from Mainland China.\*\*  (3) The documents and information provided by the applicant are true and correct.  (4) The applicant will not use unjust measures to affect the fairness or order of the ROC financial/securities market. | | |
| **Application Date:** | | |
| \*\* The applicant who is a Hong Kong or Macao resident as defined under Article 4 of the Laws and Regulations Regarding Hong Kong & Macao Affairs shall submit the required identification documents and apply mutatis mutandis to the regulations governing the investment and remittance by foreign nationals and overseas Chinese.  1. The Hong Kong applicant shall be a Hong Kong resident who has permanent residency in Hong Kong and does not hold a travel document other than a British (Overseas) passport or a Hong Kong passport.  2. The Macao applicant shall be a Macao resident who has permanent residency in Macao and does not hold a travel documents other than a Macao passport or holds a Portuguese passport obtained prior to the end of Portuguese rule. | | |
| Applicant:  Mailing Address:  Telephone Number: | | |
| **Securities Firm or FCM (Representative handling Agent) :**  (Company’s Chop)  Maker: | | |
| Applicant: |  | |
| Execution Date: |  | |

表5-1

原QFII分戶身分申請補辦為主戶登記表

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 原分戶登記資料：（系統自動給出） | | | | |
| 原分戶F編號： | | | | |
| 原分戶中文名稱： | | | | |
| 原分戶英文名稱： | | | | |
| 1.申請人 | | | | |
| 中文名稱： | | | | |
| 英文名稱：  （須與所檢附之文件完全一致） | | | | |
| 成立日期：西元 年 月 日 | | | | |
| 2.國別 | | | | |
| ○1.日本 | | | | |
| ○2.美國 | | | | |
| ○3.英國 | | | | |
| ○4.其他歐洲國家（國名： ） | | | | |
| ○5A.香港 ○5B澳門 | | | | |
| ○6A.紐西蘭 ○6B.澳洲 | | | | |
| ○7.其他（國名： ） | | | | |
| 3.型態(請就所屬非基金型態或基金型態擇一勾選) | | | | |
| □基金型態 | | □非基金型態 | | |
| 類別：  ○公司型基金  ○信託型基金  ○合夥型基金  ○退休型基金  ○共同基金  ○單位信託  ○其他型基金（請敘明： ） | | 類別：  ○銀行  ○保險公司  ○證券商或期貨商  ○其他（請敘明： ） | | |
| 4.聲明事項：(自簽署日起生效) | | | | |
| 1. 依申請人之基金章程或成立契約等文件，其投資或交易策略之性質，聲明係屬投資或避險目的：   （請務必勾選）  □投資  □避險   1. 申請人所提供之文件與內容屬實且無虛假。 2. 申請人絕不以不當手段干擾金融市場運作。 | | * 1. 申請人或其客戶(實質投資貴國有價證券者)擬匯入　貴國投資有價證券或從事期貨交易之資金非來自臺灣或大陸地區。   申請人或其客戶(實質投資貴國有價證券者)不得為大陸地區人民、法人、團體、其他機構或其於第三地區投資之公司。   * 1. 申請人所提供之文件與內容屬實且無虛假。   2. 申請人絕不以不當手段干擾金融市場運作。 | | |
| 5.股東背景資料(基金型態者可無須填寫) | | | | |
| ＊持股前三名或持股比例達5%以上(含)之股東，請填寫名稱與國籍。  ＊上述股東屬中華民國籍者，請填註營利事業統一編號或身分證號碼。 | 名 稱 | | 國 籍 | 統一編號或身分證號碼 |
|  | |  |  |
| 6.其他基本資料（以下資料如無者請填”N/A”） | | | | |
|  | 名　　　　　稱 | | | 註　　冊　　地 |
| 管理公司  (Management Company)  Email: |  | | |  |
| 受託公司  (Trustee Company；信託型基金請務必填寫，並由受託公司於本申請登記表簽署) |  | | |  |
| 顧問公司  (Advisory Company) |  | | |  |
| 全球保管銀行  (Global Custodian) |  | | |  |
| 申請日期：  代理人： （公司章）  代表人：  聯絡人員：  聯絡電話：  電子郵件信箱：  保管機構： | | | | |

申請人：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

有權簽字人之姓名及簽章：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

職稱：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

填表日期：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Exhibit 5-1**

**Offshore Foreign Institutional Investor Registration Form**

**(for Original QFII Sub-Account Registration as FINI)**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Information of QFII Sub-Account:** | | | | | | | |
| F number of the QFII Sub-Account: | | | | | | | |
| QFII Sub-Account Name in Chinese: | | | | | | | |
| QFII Sub-Account Name in English: | | | | | | | |
| **1. Applicant** | | | | | | | |
| Name in Chinese: | | | | | | | |
| Name in English:  (Applicant's name shall be same as indicated on supporting identification documents) | | | | | | | |
| Establishment Date: | | | | | | | |
| **2. Nationality** | | | | | | | |
| □ 1. Japan | | | | | | | |
| □ 2. United States | | | | | | | |
| □ 3. United Kingdom | | | | | | | |
| □ 4. Other European Country | | | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_1 | | | |
| □ 5A. Hong Kong □ 5B. Macao | | | |  | | | |
| □ 6A. New Zealand □ 6B. Australia | | | |  | | | |
| □ 7. Others | | | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_[[5]](#footnote-5)1 | | | |
| **3. Type of Applicant** (Please check applicable box and fill in relevant information, as appropriate) | | | | | | | |
| □ If Applicant is a fund. | | | □ If Applicant is not a fund. | | | | |
| Type:   * a fund established as a corporation. * a trust fund. * a fund established as a partnership. * a pension fund. * a mutual fund. * a unit trust. * others \_\_\_\_\_\_\_\_\_\_\_[[6]](#footnote-6)2 | | | Type:   * a bank. * an insurance company. * a securities firm or FCM * others \_\_\_\_\_\_\_\_\_\_\_\_[[7]](#footnote-7)2 | | | | |
| **4、Declaration:** (effective from the date this registration form is signed) | | | | | | | |
| 1. Pursuant to the Articles or Memorandum of Incorporation or other constitutive documents or agreements for establishment of the applicant, the nature of applicant's overall investment or trading strategy is for the following purposes (Please tick the appropriate box)  * investment * hedging  1. The documents and information provided by the applicant are true and correct. 2. The applicant will not use unjust measures to affect the fairness or order of the ROC financial/securities market. | | | 1. The funds to be remitted by the applicant or its client (who is the actual investor) to invest in ROC securities or to trade ROC futures will not come from Taiwan or from Mainland China.   The applicant or its client (who is the actual investor) shall not be an individual, juristic person, organization or any other institution from Mainland China or its third-area invested company.   1. The documents and information provided by the applicant are true and correct. 2. The applicant will not use unjust measures to affect the fairness or order of the ROC financial/securities market. | | | | |
| **5. Background Information on Applicant** (if the applicant is not a fund) | | | | | | | |
|  | | | Name | | Nationality | | R.O.C. Business Registration No. or Identification No. |
| Top Three Shareholders or Shareholders who own 5% or more of Applicant's share capital.  \* If any of the shareholders holds R.O.C. nationality, please complete the business registration number or identification number. | | |  | |  | |  |
| **6. Other Information** (Please mark N/A, if such item is not applicable) | | | | | | | |
|  | | Name | | | | The place of registration | |
| Asset Management Company  E-mail Address: | |  | | | |  | |
| Trustee  (If applicant is a trust, name of his trustee must be filled in and this registration form must be signed by the trustee.) | |  | | | |  | |
| Advisory Company | |  | | | |  | |
| Global Custodian | |  | | | |  | |
| Application Date:  Agent:  Representative:  Contact Person:  Telephone Number:  E-mail Address:  Taiwan Custodian: | | | | | | | |
| Attachments:  1. Power of Attorney to Agent or Letter of Appointment to Representative.  2. Documents evidencing that the applicant meets the qualification required by Paragraph 2 of Article 3, of the Regulations Governing Securities Investment by Overseas Chinese and Foreign Nationals.  3. Registration form in English signed by the applicant. | | | | | | | |
| Applicant: |  | | | | | | |
| Name and Signature of Authorized Signatory: |  | | | | | | |
| Title: |  | | | | | | |
| Execution Date: |  | | | | | | |

1. 1 Please specify country.

   \* Please note that the following countries should be classified under 'United Kingdom' as advised by the TWSE: Bermuda Islands, Guernsey Islands, Channel Islands, Cayman Islands, British Virgin Islands, Jersey, Isle of Man, Gibraltar [↑](#footnote-ref-1)
2. 2 Please refer to Article 3 of the Measures Governing Investment Permit of the People of Mainland Area. [↑](#footnote-ref-2)
3. 3 If applicant is a trust, name of his trustee must be filled in and this registration form must be signed by the trustee. [↑](#footnote-ref-3)
4. 1 Please specify country. [↑](#footnote-ref-4)
5. 1 Please specify country. [↑](#footnote-ref-5)
6. 2 Please specify. [↑](#footnote-ref-6)
7. [↑](#footnote-ref-7)