

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.澳大利亞	
○7.其他(國名：)	
3.型態(請就所屬非基金型態或基金型態勾選)	
<input type="checkbox"/> 基金型態	<input type="checkbox"/> 非基金型態
基金類別： <input type="radio"/> 公司型基金 <input type="radio"/> 信託型基金 <input type="radio"/> 合夥型基金 <input type="radio"/> 退休型基金 <input type="radio"/> 共同基金 <input type="radio"/> 單位信託 <input type="radio"/> 其他型基金(請敘明：_____) 募集類別： <input type="radio"/> 向特定人私募 <input type="radio"/> 向不特定人募集	類別： <input type="radio"/> 銀行 <input type="radio"/> 保險公司 <input type="radio"/> 證券商或期貨商 <input type="radio"/> 海外外籍員工集合投資專戶 1.上市(櫃)及興櫃公司海外控制或從屬公司、分公司或辦事處 2.第一上市(櫃)及興櫃公司 <input type="radio"/> 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：_____) <input type="radio"/> 其他(請敘明：_____)
4.聲明事項：(自填表日起生效)	
(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： <input type="checkbox"/> 投資 <input type="checkbox"/> 避險 (請務必勾選) (2) 申請人所提供之文件與內容屬實且無虛假。 (3) 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。 (2) 申請人所提供之文件與內容屬實且無虛假。 (3) 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或於中華民國設立登記者，請填註身分證號碼或營利事業統一編號。	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	是否為大陸地區人民、法人、團體、其他機構於第三地區投資之公司(Y/N)
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，本申請登記表由受託公司填具)			
顧問公司(Advisory Company)			
全球保管銀行(Global Custodian)			
7.內部人資料 (以下資料如無者請填"N/A")			
申請人有下列情事者，請務必勾選： (1) <input type="radio"/> 申請人業經經濟部投資審議司委員會、產科學工業園區管理局或加工出口國家科學及技術委員會各科學園區管理局處專案核准投資，其核准函文號：_____。 (2) 申請人具上市(櫃)、第一上市(櫃)或興櫃公司內部人身分： <input type="radio"/> 本人：申請人為上市(櫃)、第一上市(櫃)或興櫃公司內部人，其公司之股票代號：_____。 <input type="radio"/> 關係人：申請人為上市(櫃)、第一上市(櫃)或興櫃公司內部人之關係人(配偶、未成年子女或利用他人名義持有者)，其公司之股票代號：_____，該內部人之名稱：_____、身分編號：_____。 申請人於申請時尚未具上市(櫃)、第一上市(櫃)或興櫃公司內部人或其內部人之關係人身分，未來具有該等身分時，須依發行公司內部人申報作業相關規定主動申報。			
申請日期： 代理人： 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登記表（英文版）

上市（櫃）及興櫃公司海外控制或從屬公司、分公司或辦事處員工集合投資專戶

- 1.上市（櫃）及興櫃公司之海外控制或從屬公司、分公司或辦事處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登記表（英文版）。

第一上市(櫃)及興櫃公司員工集合投資專戶

- 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或買回其股份之證明文件影本。
- 3.符合本作業要點規定之身分證明文件
- 4.代理人授權書或代表人指派書。
- 5.申請登記之境外外國機構投資人登記表（英文版）。

申請人：_____

有權簽字人姓名：_____

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 the same as indicated on supporting identification documents.)	
Establishment Date:	
2. Nationality	
<input type="checkbox"/> 1. Japan <input type="checkbox"/> 2. United States <input type="checkbox"/> 3. United Kingdom* <input type="checkbox"/> 4. Other European Country _____ ¹ <input type="checkbox"/> 5A. Hong Kong <input type="checkbox"/> 5B. Macao <input type="checkbox"/> 6A. New Zealand <input type="checkbox"/> 6B. Australia <input type="checkbox"/> 7. Others _____ ¹	
3. Type of Applicant (Please tick applicable box and fill in relevant information, as appropriate.)	
<input type="checkbox"/> If applicant is a fund	<input type="checkbox"/> If applicant is not a fund
Fund Type: <input type="checkbox"/> Fund established as a corporation <input type="checkbox"/> Trust fund <input type="checkbox"/> Fund established as a partnership <input type="checkbox"/> Pension fund <input type="checkbox"/> Mutual fund <input type="checkbox"/> Unit trust <input type="checkbox"/> Others (Please specify _____) Offering Type: <input type="checkbox"/> Private placement fund <input type="checkbox"/> Public offering fund	Type: <input type="checkbox"/> Bank <input type="checkbox"/> Insurance company <input type="checkbox"/> Securities firm or futures commission merchants <input type="checkbox"/> Segregated Collective Investment Account for the Overseas Foreign Employees 1. An overseas controlling or subordinate company or branch or representative office of a Taiwan company listed on TWSE or TPEX. 2. A foreign company listed on TWSE or TPEX. <input type="checkbox"/> 1. A foreign company listed on TWSE or TPEX. 2. A foreign company secondary listed on TWSE or TPEX. Security code: Tax ID: <input type="checkbox"/> Others (Please specify _____)
4. Declaration: (effective from the execution date)	

¹ Please specify the country.

* Please note that the following countries shall be classified under the 'United Kingdom' as per the TWSE: Bermuda Islands, Guernsey Islands, Channel Islands, Cayman Islands, British Virgin Islands, Jersey, Isle of Man, Gibraltar.

<p>(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.)</p> <p><input type="checkbox"/> Investment</p> <p><input type="checkbox"/> Hedging</p> <p>(2) The documents and information provided by the applicant are true and correct.</p> <p>(3) The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.</p>	<p>(1) The funds to be remitted by the applicant or its client (who is the actual investor) to invest in R.O.C. securities or to trade R.O.C. futures will not come from Taiwan or from Mainland China.</p> <p>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 company².</p> <p>(2) The documents and information provided by the applicant are true and correct.</p> <p>(3) The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.</p>
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5. Background Information on Applicant (if the applicant is not a fund)

	Name	Nationality	R.O.C. Business Registration No. or Identification No.
<p>Top Three Shareholders or Shareholders who own 5% or more of applicant's share capital.</p> <p>*If any of the shareholders holds R.O.C. nationality or is registered in the R.O.C, please complete the identification number or business registration number.</p>			

6. Other Information (Please mark N/A, if such item is not applicable.)

	Name	The place of registration	A company in which an individual, juristic person, organization, or other institution of the Mainland Area invests in any third area. (Y/N)
Asset Management Company			
E-mail Address:			
Trustee ³			
Advisory Company			
Global Custodian			

² Please refer to Article 3 of the Measures Governing Investment Permit of the People of the Mainland Area.

³ If applicant is a trust, the name of the trustee must be filled in and this registration form must be filled out by the trustee.

7. Insider Information (Please mark N/A, if such item is not applicable.)

Please tick the applicable box and fill in relevant information if it meets the conditions.

(1) The applicant has obtained foreign investment approval from the **Department of Investment Review or Bureau of Industrial Parks, Commission**, Ministry of Economic Affairs-~~(MOEAIC)~~, or the Science Park Bureaus, **National Science and Technology Council** or the ~~Export Processing Zone Administration~~. The serial number of the approved document :

_____ .

(2) The applicant is an insider of TWSE/TPEX-listed or emerging market companies.

Principal : The applicant itself is an insider of TWSE/TPEX-listed or emerging market companies. The company ticker : _____.

Related person : The applicant is a related person (spouse, minor children or nominee) of an insider of TWSE/TPEX-listed or emerging market companies. The company ticker : _____.

The name of the insider : _____ , and the identification number : _____ .

If at the time of the registration, the applicant is not an insider or a related person of an insider of TWSE/TPEX-listed or emerging market companies, if and when the applicant obtains such status, the applicant is required to self-report in accordance with the rules governing reporting by insiders of public companies.

Application Date:

Agent:

Representative:

Contact Person :

Telephone Number :

E-mail Address :

Taiwan Custodian:

Attachments 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; and
3. Registration Application Form.

Attachments to be provided by a Segregated Collective Investment Account for the Overseas Foreign Employees of an overseas controlling or subordinate company or branch or representative office of a Taiwan company listed on TWSE or TPEX.

1. A declaration issued by the overseas controlling or subordinate company or branch or representative office 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 employee 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 Application Form.

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. Applicant's identification documents as required by the Directions.
4. Power of attorney to agent or letter of appointment to representative.
5. Registration Application Form.

Applicant:

Authorized Signatory:

Title:

Execution Date:
