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)	
□基金型態	□非基金型態
基金類別： ◯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：_____） 募集類別： ◯向特定人私募 ◯向不特定人募集	類別： ◯銀行 ◯保險公司 ◯證券商或期貨商 ◯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 ◯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：_____） ◯境外外籍員工持股信託投資專戶（請敘明扣繳單位統一編號：_____） ◯其他（請敘明：_____）

<table>
<tr><td colspan="2">4.聲明事項：(自填表日起生效)</td></tr>
<tr><td>(1) 申請人擬就所投資之公司有提名董事或監察人候選人之計畫
□是 (請提供提名計畫)
□否
(2) 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
(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。
(5) 申請人募集類別為向特定人私募且基金類別非屬退休型基金或共同基金者，大陸地區投資人出資總額不得逾30%。</td><td>(1) 申請人或其客戶(實質投資貴國有價證券者)擬就所投資之公司有提名董事或監察人候選人之計畫
□是 (請提供提名計畫)
□否
(2) 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；但境外外籍員工持股信託之資金得來自臺灣。
(3) 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。
(4) 申請人所提供之文件與內容屬實且無虛假。
(5) 申請人絕不以不當手段干擾金融市場運作。</td></tr>
</table>

<table>
<tr><td colspan="4">5.股東背景資料(基金型態者及境外外籍員工持股信託投資專戶可無須填寫)</td></tr>
<tr><td rowspan="4">＊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。
＊非基金型態之其他類別且無全球保管銀行之申請人請檢附載明實質受益人之股東結構文件。</td><td>名　　稱</td><td>國　籍</td><td>統一編號或
身分證號碼</td></tr>
<tr><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td></tr>
</table>

<table>
<tr><td colspan="4">6.其他基本資料（以下資料如無者請填"N/A"）</td></tr>
<tr><td></td><td>名　　稱</td><td>註冊地</td><td>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)</td></tr>
</table>

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)○申請人業經經濟部投資審議司、產業園區管理局或國家科學及技術委員會各科學園區管理局專案核准投資，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：

○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：_____。

○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）。 4. 非基金型態之其他類別且無全球保管銀行之申請人請檢附載明實質受益人之股東結構文件。
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）。
境外外籍員工持股信託投資專戶 1.符合本作業要點規定之身分證明文件。 2.申請登記之境外外國機構投資人登記表（中文版）。

申請人：_____

有權簽字人姓名：_____

職稱：_____

填表日期：_____

表 1-3-3

境外華僑及外國人變更其餘項目申請登記表

身分編號：

<table>
<tr><td colspan="2">1.申請人</td></tr>
<tr><td colspan="2">中文名稱：</td></tr>
<tr><td colspan="2">英文名稱：</td></tr>
<tr><td colspan="2">2.代理(表)人及保管機構</td></tr>
<tr><td>代理人：</td><td>保管機構：</td></tr>
<tr><td>聯絡人員：</td><td>代表人：</td></tr>
<tr><td>電話：</td><td>電子郵件信箱：</td></tr>
<tr><td colspan="2">3.型態(請就所屬非基金型態或基金型態勾選)</td></tr>
<tr><td>□基金型態</td><td>□非基金型態</td></tr>
<tr><td>基金類別：
〇公司型基金
〇信託型基金
〇合夥型基金
〇退休型基金
〇共同基金
〇單位信託
〇其他型基金（請敘明：_____）
募集類別：
〇向特定人私募
〇向不特定人募集</td><td>類別：
〇銀行
〇保險公司
〇證券商或期貨商
〇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
〇 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：_____）
〇境外外籍員工持股信託投資專戶（請敘明扣繳單位統一編號：_____）
〇其他（請敘明：_____）</td></tr>
<tr><td colspan="2">4.聲明事項：(自填表日起生效)</td></tr>
</table>

(1) 申請人擬就所投資之公司有提名董事或監察人候選人之計畫 □是 (請提供提名計畫) □否 (2) 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 (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。 (5) 申請人募集類別為向特定人私募且基金類別非屬退休型基金或共同基金者，大陸地區投資人出資總額不得逾30%。	(1) 申請人或其客戶(實質投資貴國有價證券者)擬就所投資之公司有提名董事或監察人候選人之計畫 □是(請提供提名計畫) □否 (2) 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；但境外外籍員工持股信託之資金得來自臺灣。 (3) 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。 (4) 申請人所提供之文件與內容屬實且無虛假。 (5) 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(基金型態者及境外外籍員工持股信託投資專戶可無須填寫)

＊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。 ＊非基金型態之其他類別且無全球保管銀行之申請人請檢附載明實質受益人之股東結構文件。	名　　稱	國　籍	統一編號或身分證號

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)○申請人業經經濟部投資審議司、產業園區管理局或國家科學及技術委員會各科學園區管理局專案核准投資，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：

○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：_____。

○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。

申請人：_____

有權簽字人姓名：_____

職稱：_____

填表日期：_____

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) 統一證號：　　(請參閱居留證)
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.澳大利亞
	◯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) 本國主管機關登記或核准設立日期：西元　年　月　日
	◯境內外籍員工持股信託投資專戶 信託業者設立日期：西元　年　月　日
聲明事項（自簽署日起生效）	1. 申請人擬就所投資之公司有提名董事或監察人候選人之計畫 □是 (請提供提名計畫) □否 2. 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。 3. 申請人不得為大陸地區人民**。 4. 本人所提供之文件與內容屬實且無虛假。 5. 申請人絕不以不當手段干擾金融市場運作。
內部人資料（如無者請填”N/A”）	申請人有下列情事者，請務必勾選： (1)◯申請人業經經濟部投資審議司、產業園區管理局或國家科學及技術委員會各科學園區管理局專案核准投資，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： ◯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：_____。 ◯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	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：_____

有權簽字人之姓名及簽章：_____

職稱：_____

填表日期：_____

表 2-3-1

境內華僑及外國人更名申請登記表

<table>
<tr><td colspan="3">身分編號：</td></tr>
<tr><td colspan="3">申請人：</td></tr>
<tr><td colspan="2">舊中文名稱：</td><td>舊英文名稱：</td></tr>
<tr><td colspan="2">新中文名稱：</td><td>新英文名稱：</td></tr>
<tr><td rowspan="3">類別</td><td colspan="2">◯華僑及外國自然人　　出生日期：西元　　年　月　日</td></tr>
<tr><td colspan="2">◯外國機構投資人(法人) 本國主管機關登記或核准設立日期：西元　　年　月　日</td></tr>
<tr><td colspan="2">◯境內外籍員工持股信託投資專戶 信託業者設立日期:西元　　年　月　日</td></tr>
<tr><td>聲明事項
(自簽署日起生效)</td><td colspan="2">1. 申請人擬就所投資之公司有提名董事或監察人候選人之計畫
□是 (請提供提名計畫)
□否
2. 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。
3. 申請人不得為大陸地區人民**。
4. 本人所提供之文件與內容屬實且無虛假。
5. 申請人絕不以不當手段干擾金融市場運作。</td></tr>
<tr><td colspan="3">內部人資料（如無者請填”N/A”）</td></tr>
<tr><td colspan="3">申請人有下列情事者，請務必勾選：
(1)◯申請人業經經濟部投資審議司、產業園區管理局或國家科學及技術委員會各科學園區管理局專案核准投資，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：
◯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：_____。
◯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。</td></tr>
</table>

**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。
受託申請登記證券商或期貨商
證券商或期貨商：　　（公司章）
經辦：

申請人：_____

有權簽字人之姓名及簽章：_____

職稱：_____

填表日期：_____

表2-3-2

境內華僑及外國人變更受託登記證券商或期貨商申請登記表

<table>
<tr><td colspan="2">身分編號：</td></tr>
<tr><td colspan="2">申請人：</td></tr>
<tr><td colspan="2">中文名稱：</td></tr>
<tr><td colspan="2">英文名稱：</td></tr>
<tr><td rowspan="3">類別</td><td>◯華僑及外國自然人　　出生日期：西元　　年　　月　　日</td></tr>
<tr><td>◯外國機構投資人(法人) 本國主管機關登記或核准設立日期：西元　　年　　月　　日</td></tr>
<tr><td>◯境內外籍員工持股信託投資專戶 信託業者設立日期：西元　　年　　月　　日</td></tr>
<tr><td>聲明事項
(自簽署日起生效)</td><td>1. 申請人擬就所投資之公司有提名董事或監察人候選人之計畫
□是 (請提供提名計畫)
□否
2. 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。
3. 申請人不得為大陸地區人民**。
4. 本人所提供之文件與內容屬實且無虛假。
5. 申請人絕不以不當手段干擾金融市場運作。</td></tr>
<tr><td colspan="2">內部人資料（如無者請填”N/A”）</td></tr>
<tr><td colspan="2">申請人有下列情事者，請務必勾選：
(1)◯申請人業經經濟部投資審議司、產業園區管理局或國家科學及技術委員會各科學園區管理局專案核准投資，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：
◯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：_____。
◯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。</td></tr>
</table>

**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。
變更後受託申請登記證券商或期貨商
證券商或期貨商：　　（公司章）
經辦：

申請人：_____

有權簽字人之姓名及簽章：_____

職稱：_____

填表日期：_____

表 2-3-3

境內華僑及外國人變更其餘項目申請登記表

<table>
<tr><td colspan="2">身分編號：</td></tr>
<tr><td colspan="2">申請人</td></tr>
<tr><td colspan="2">中文名稱：</td></tr>
<tr><td colspan="2">英文名稱：　　(須與所檢附之居留證完全一致)</td></tr>
<tr><td colspan="2">統一證號：　　(請參閱居留證)</td></tr>
<tr><td rowspan="3">類別</td><td>◯華僑及外國自然人　　出生日期：西元　　年　　月　　日</td></tr>
<tr><td>◯外國機構投資人(法人) 本國主管機關登記或核准設立日期：西元　　年　　月　　日</td></tr>
<tr><td>◯境內外籍員工持股信託投資專戶 信託業者設立日期：西元　　年　　月　　日</td></tr>
<tr><td>聲明事項
(自簽署日起生效)</td><td>1.申請人擬就所投資之公司有提名董事或監察人候選人之計畫
□是 (請提供提名計畫)
□否
2.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。
3.申請人不得為大陸地區人民**。
4.本人所提供之文件與內容屬實且無虛假。
5.申請人絕不以不當手段干擾金融市場運作。</td></tr>
<tr><td colspan="2">內部人資料（如無者請填”N/A”）</td></tr>
<tr><td colspan="2">申請人有下列情事者，請務必勾選：
(1)◯申請人業經經濟部投資審議司、產業園區管理局或國家科學及技術委員會各科學園區管理局專案核准投資，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：
◯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：_____。
◯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。</td></tr>
</table>

**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。
申請人聯絡資訊
地址：
聯絡電話：
受託申請登記證券商或期貨商
證券商或期貨商：　　（公司章）
經辦：

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 the 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]

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
Fund Type: ☐ Fund established as a corporation ☐ Trust fund ☐ Fund established as a partnership ☐ Pension fund ☐ Mutual fund ☐ Unit trust ☐ Others (Please specify _____) Offering Type: ☐ Private placement fund ☐ Public offering fund	Type: ☐ Bank ☐ Insurance company ☐ Securities firm or futures commission merchants ☐ 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 the TWSE or TPEx. 2. A foreign company listed on the TWSE or TPEx. ☐ 1. A foreign company listed on the

[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.

	TWSE or TPEx. 2. A foreign company secondary listed on the TWSE or TPEx. Security code: Tax ID: ☐ Offshore Foreign Employee Stock Ownership Trust Investment Account Tax ID: ☐ Others (Please specify _____)
4. Declaration: (effective from the execution date)	

(1) Does the applicant intend planning to nominate candidates for directors or supervisors for the companies in which they invest? ☐ Yes (Please attach the nomination plan) ☐ None (2) Pursuant to the Articles or Memorandum of Incorporation or other constitutive documents or agreements for establishment of the applicant, the nature of the applicant's overall investment or trading strategy is for the following purposes. (Please tick the appropriate box.) ☐ Investment ☐ Hedging (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 R.O.C. financial/securities market. (5) If the applicant's offering type is a private placement fund and the fund type is not a retirement fund or mutual fund, the Mainland China area investor investment shall not exceed 30% capital contribution.	(1) Does the applicant or its client (who is the actual investor) intend planning to nominate candidates for directors or supervisors for the companies in which they invest? ☐ Yes (Please attach the nomination plan) ☐ None (2) 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. The restriction on funds not originating from Taiwan shall not apply to Offshore Foreign Employee Stock Ownership Trust Investment Accounts. (3) 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]. (4) The documents and information provided by the applicant are true and correct. (5) The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.

5. Background Information on Applicant (Not required for fund-type applicants or Offshore Foreign Employee Stock Ownership Trust Investment Accounts)

	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 or is registered in the R.O.C, please complete the identification number or business registration number.			

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

*If the applicant is not a fund and type is others, without a global custodian bank, please attach shareholder structure documents specifying the beneficial owners.			

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			

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

Please tick the applicable box and fill in the 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, Ministry of Economic Affairs, or the Science Park Bureaus, National Science and Technology Council. 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 :

[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.

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. 4. If the applicant is not a fund and type is others, without a global custodian bank, please attach shareholder structure documents specifying the beneficial owners.
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.
Attachments to be provided by an Offshore Foreign Employee Stock Ownership Trust Investment Account 1. Applicant's identification documents as required by the Directions 2. Registration Application Form.

Applicant: _____

Authorized Signatory: _____

Title: _____

Execution Date: _____

Exhibit 1-3-3

Registration Application Form for Amendment of Other Items by Offshore Overseas Chinese & Foreign Nationals

<table>
<tr><td colspan="2">1. Applicant</td></tr>
<tr><td colspan="2">Name in Chinese:</td></tr>
<tr><td colspan="2">Name in English:</td></tr>
<tr><td colspan="2">2. Taiwan Agent / Representative & Custodian</td></tr>
<tr><td>Agent / Representative:
Contact Person:
Tel No.</td><td>Custodian:
Representative :
Email Address :</td></tr>
<tr><td colspan="2">3. Type of Applicant (Please tick applicable box and fill in relevant information, as appropriate.)</td></tr>
<tr><td>☐ If applicant is a fund</td><td>☐ If applicant is not a fund</td></tr>
<tr><td>Fund Type:
☐ Fund established as a corporation
☐ Trust fund
☐ Fund established as a partnership
☐ Pension fund
☐ Mutual fund
☐ Unit trust
☐ Others (Please specify _____)

Offering Type:
☐ Private placement fund
☐ Public offering fund</td><td>Type:
☐ Bank
☐ Insurance company
☐ Securities firm or futures commission merchants
☐ 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 the TWSE or TPEx.
2. A foreign company listed on the TWSE or TPEx.
☐ 1. A foreign company listed on the TWSE or TPEx.
2. A foreign company secondary listed on the TWSE or TPEx.
Security code: _____
Tax ID: _____</td></tr>
</table>

	☐ Offshore Foreign Employee Stock Ownership Trust Investment Account Tax ID: ☐ Others (Please specify _____)

4. Declaration: (effective from the execution date)

(1) Does the applicant intend planning to nominate candidates for directors or supervisors for the companies in which they invest? ☐ Yes (Please attach the nomination plan) ☐ None (2) Pursuant to the Articles or Memorandum of Incorporation or other constitutive documents or agreements for establishment of the applicant, the nature of the applicant's overall investment or trading strategy is for the following purposes. (Please tick the appropriate box) ☐ Investment ☐ Hedging (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 R.O.C. financial/securities market. (5) If the applicant's offering type is a private placement fund and the fund type is not a retirement fund or mutual fund, the Mainland China area investor investment shall not exceed 30% capital contribution.	(1) Does the applicant or its client (who is the actual investor) intend planning to nominate candidates for directors or supervisors for the companies in which they invest? ☐ Yes (Please attach the nomination plan) ☐ None (2) 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. The restriction on funds not originating from Taiwan shall not apply to Offshore Foreign Employee Stock Ownership Trust Investment Accounts. (3) 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]. (4) The documents and information provided by the applicant are true and correct. (5) The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.

5. Background Information on Applicant (Not required for fund-type applicants or Offshore Foreign Employee Stock Ownership Trust Investment Accounts)

	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.			

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

nationality or is registered in the R.O.C, please complete the identification number or business registration number. *If the applicant is not a fund and type is others, without a global custodian bank, please attach shareholder structure documents specifying the beneficial owners.			

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			

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

Please tick the applicable box and fill in the 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, Ministry of Economic Affairs, or the Science Park Bureaus, National Science and Technology Council. 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.

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

Applicant: _____

Authorized Signatory: _____

Title: _____

Execution Date: _____

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 the same as indicated on supporting identification documents.)
Uniform ID Numbers: (Please reference to Resident Certificate.)
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 _____
Type
☐ Natural Person Date of Birth: ☐ Juristic Person Registration Date /Establishment Date: ☐ Onshore Foreign Employee Stock Ownership Trust Investment Account Establishment Date of Trustee:
Declaration (effective from the date this registration form is signed)
(1) Does the applicant intend planning to nominate candidates for directors or supervisors for the companies in which they invest? ☐ Yes (Please attach the nomination plan) ☐ None (2) The funds to be remitted by the applicant to invest in R.O.C. securities or to trade R.O.C. futures will not come from Mainland China. (3) The applicant shall not be an individual from Mainland China.** (4) The documents and information provided by the applicant are true and correct. (5) The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.
Insider Information (Please mark N/A, if such item is not applicable.)
Please tick the applicable box and fill in the 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, Ministry of Economic Affairs, or the Science Park Bureaus, National Science and Technology Council. The serial number of the approval 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: _____
** 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 document 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[1] (Representative handling Agent) : (Company's Chop) Maker:

Applicant:

[1] futures commission merchant

Name and Signature of Authorized Signatory: _____

Title: _____

Execution Date: _____

Exhibit 2-3-1

Registration Application Form for Name Change by Onshore Overseas Chinese & Foreign Nationals

<table>
<tr><td colspan="3">Investment Identification No.:</td></tr>
<tr><td colspan="3">Applicant</td></tr>
<tr><td colspan="2">Original Name in Chinese:</td><td>Original Name in English:</td></tr>
<tr><td colspan="2">New Name in Chinese:</td><td>New Name in English:</td></tr>
<tr><td rowspan="3">Type</td><td colspan="2">◯ Natural Person Date of Birth:</td></tr>
<tr><td colspan="2">◯ Juristic Person Registration Date /Establishment Date:</td></tr>
<tr><td colspan="2">◯ Onshore Foreign Employee Stock Ownership Trust Investment Account Establishment Date of Trustee:</td></tr>
<tr><td>Declaration
(effective from the date this registration form is signed)</td><td colspan="2">1. Does the applicant intend planning to nominate candidates for directors or supervisors for the companies in which they invest?
☐ Yes (Please attach the nomination plan)
☐ None
2. The funds to be remitted by the applicant to invest in R.O.C. securities or to trade R.O.C. futures will not come from Mainland China.
3. The applicant shall not be an individual from Mainland China.**
4. The documents and information provided by the applicant are true and correct.
5. The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.</td></tr>
<tr><td colspan="3">Insider Information (Please mark N/A, if such item is not applicable.)</td></tr>
<tr><td colspan="3">Please tick the applicable box and fill in the 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, Ministry of Economic Affairs, or the Science Park Bureaus, National Science and Technology Council. The serial number of the approval 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,</td></tr>
</table>

the applicant is required to self-report in accordance with the rules governing reporting by insiders of public companies.
** 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 document other than a Macao passport or holds a Portuguese passport obtained prior to the end of Portuguese rule.
Securities Firm or FCM[2] (Representative handling Agent)
Securities Firm or FCM: (Company's Chop)
Maker:

Applicant: _____

Name and Signature of Authorized Signatory: _____

Title: _____

Execution Date: _____

[2] futures commission merchant

Exhibit 2-3-2

Registration Form for Change of the Securities Firm or FCM by Onshore Overseas Chinese & Foreign Nationals

<table>
<tr><td colspan="2">Investment Identification No.:</td></tr>
<tr><td colspan="2">Applicant</td></tr>
<tr><td colspan="2">Name in Chinese:</td></tr>
<tr><td colspan="2">Name in English:
(Applicant's name shall be the same as indicated on supporting identification documents.)</td></tr>
<tr><td rowspan="3">Type</td><td>◯ Natural Person Date of Birth:</td></tr>
<tr><td>◯ Juristic Person Registration Date / Establishment Date:</td></tr>
<tr><td>◯ Onshore Foreign Employee Stock Ownership Trust Investment Account Establishment Date of Trustee:</td></tr>
<tr><td>Declaration
(effective from the date this registration form is signed)</td><td>1. Does the applicant intend planning to nominate candidates for directors or supervisors for the companies in which they invest?
☐ Yes (Please attach the nomination plan)
☐ None
2. The funds to be remitted by the applicant to invest in R.O.C. securities or to trade R.O.C. futures will not come from Mainland China.
3. The applicant shall not be an individual from Mainland China.**
4. The documents and information provided by the applicant are true and correct.
5. The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.</td></tr>
<tr><td colspan="2">Insider Information (Please mark N/A, if such item is not applicable.)</td></tr>
<tr><td colspan="2">Please tick the applicable box and fill in the 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, Ministry of Economic Affairs, or the Science Park Bureaus, National Science and Technology Council. The serial number of the approval 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</td></tr>
</table>

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.
** 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 document other than a Macao passport or holds a Portuguese passport obtained prior to the end of Portuguese rule.
New Securities Firm or FCM[3] (Representative handling Agent)
Securities Firm or FCM: (Company's Chop)
Maker:

Applicant: _____

Name and Signature of Authorized Signatory: _____

Title: _____

Execution Date: _____

[3] futures commission merchant

Exhibit 2-3-3

Registration Application Form for Amendment of Other Items by Onshore Overseas Chinese & Foreign Nationals

Investment Identification No.:	
Applicant	
Name in Chinese:	
Name in English: (Applicant's name shall be the same as indicated on supporting identification documents.)	
Uniform ID Numbers: (Please reference to Resident Certificate.)	
Type	◯ Natural Person Date of Birth:
	◯ Juristic Person Registration Date / Establishment Date:
	◯ Onshore Foreign Employee Stock Ownership Trust Investment Account Establishment Date of Trustee:
Declaration (effective from the date this registration form is signed)	1. Does the applicant intend planning to nominate candidates for directors or supervisors for the companies in which they invest? ☐ Yes (Please attach the nomination plan) ☐ None 2. The funds to be remitted by the applicant to invest in R.O.C. securities or to trade R.O.C. futures will not come from Mainland China. 3. The applicant shall not be an individual from Mainland China.** 4. The documents and information provided by the applicant are true and correct. 5. The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.
Insider Information (Please mark N/A, if such item is not applicable.)	
Please tick the applicable box and fill in the 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, Ministry of Economic Affairs, or the Science Park Bureaus, National Science and Technology Council. The serial number of the approval 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.
** 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 document other than a Macao passport or holds a Portuguese passport obtained prior to the end of Portuguese rule.
Applicant's Contact Information
Mailing Address:
Telephone Number:
Securities Firm or FCM[4] (Representative handling Agent)
Securities Firm or FCM: (Company's Chop)
Maker:

Applicant: _____

Name and Signature of Authorized Signatory: _____

Title: _____

Execution Date: _____

[4] futures commission merchant