

表 3-3-3
大陸地區投資人變更其餘項目申請登記表

身分編號：

1.申請人	
中文名稱：	
英文名稱：	
2.代理（表）人及保管機構	
代理人：	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勾選)	
<p>大陸地區合格機構投資者(請擇一勾選)</p> <p>類別：</p> <p>證券主管機關核准：</p> <p><input type="checkbox"/> 開放型基金</p> <p><input type="checkbox"/> 封閉型基金</p> <p><input type="checkbox"/> 集合計畫</p> <p>銀行主管機關核准：</p> <p><input type="checkbox"/> 銀行</p> <p><input type="checkbox"/> 信託公司</p> <p>保險主管機關核准：</p> <p><input type="checkbox"/> 保險公司</p> <p><input type="checkbox"/> 保險集團公司</p> <p><input type="checkbox"/> 保險控股公司</p>	<p>大陸籍員工集合投資專戶 (請擇一勾選)</p> <p>類別：</p> <p><input type="checkbox"/> 上市(櫃)公司之海外分公司</p> <p><input type="checkbox"/> 上市(櫃)公司之海外從屬公司</p> <p><input type="checkbox"/> 第一上市(櫃)公司</p> <p>大陸籍股東投資專戶(請擇一勾選)</p> <p>類別：</p> <p><input type="checkbox"/> 第一上市(櫃)前取得股票之股東</p> <p><input type="checkbox"/> 第一上市(櫃)後直接投資取得股票之股東</p> <p><input type="checkbox"/> 第一上市(櫃)後直接投資取得股票之大陸地區人民、法人、團體、其他機構於第三地區投資之公司(國名:_____)</p> <p><input type="checkbox"/> 上市(櫃)公司海外從屬公司或分公司具母公司內部人身分之大陸籍員工或第一上市(櫃)公司具內部人身分之大陸籍員工</p>
4.聲明事項：(自填表日起生效)	
<p>(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)</p> <p style="padding-left: 20px;"><input type="radio"/> 投資</p> <p style="padding-left: 20px;"><input type="radio"/> 避險</p> <p>(2) 申請人所提供之文件與內容屬實且無虛假。</p> <p>(3) 申請人絕不以不當手段干擾金融市場運作。</p>	<p>(1) 申請人所提供之文件與內容屬實且無虛假。</p> <p>(2) 申請人絕不以不當手段干擾金融市場運作。</p>
5.大陸地區外匯業務主管機關核准投資海外額度(僅大陸地區合格機構投資者須填具)： <p style="text-align: right;">(美金)</p>	
6.其他基本資料 (以下資料如無者請填"N/A")	

管理公司(Management Company) 電子郵件信箱：(E-mail Address)	
託管銀行(Custodian Bank)	
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”）	
<p>申請人有下列情事者，請務必勾選：</p> <p>(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：_____。</p> <p>(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：_____。</p> <p>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。</p>	

申請人：_____

有權簽字人姓名：_____

職稱：_____

填表日期：_____

Exhibit 3-3-3

Registration Application Form for Amendment of Other Items by Mainland Area Investors

1. Applicant	
Name in Chinese:	
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.)	
<p>Qualified Domestic Institutional Investor (QDII) Type: Approved by the China Securities Regulatory Commission (CSRC) :</p> <p><input type="checkbox"/> Open-end Fund <input type="checkbox"/> Closed-end Fund <input type="checkbox"/> Collective Scheme</p> <p>Approved by the China Banking Regulatory Commission (CBRC) :</p> <p><input type="checkbox"/> Bank <input type="checkbox"/> Trust Company</p> <p>Approved by the China Insurance Regulatory Commission (CIRC) :</p> <p><input type="checkbox"/> Insurance Company <input type="checkbox"/> Insurance Group Company <input type="checkbox"/> Insurance Holding Company</p>	<p>Segregated Collective Investment Account for the Mainland Area Employees Type :</p> <p><input type="checkbox"/> An overseas branch of a Taiwan company listed on TWSE or TPEX. <input type="checkbox"/> An overseas subordinate company of a Taiwan company listed on TWSE or TPEX. <input type="checkbox"/> A foreign company listed on TWSE or TPEX.</p> <p>The Mainland Area shareholder Type :</p> <p><input type="checkbox"/> A shareholder obtained shares prior to a foreign company listed on TWSE or TPEX. <input type="checkbox"/> A shareholder makes a direct investment in a foreign company listed on TWSE or TPEX. <input type="checkbox"/> A shareholder, in which an individual, juristic person, organization, or other institution of the Mainland Area invests in any third area⁷, makes a direct investment in a foreign company listed on TWSE or TPEX (Nationality : _____) <input type="checkbox"/> A Mainland Area shareholder, who is an employee of a subordinate company or branch of a TWSE/TPEX-listed company, is an insider of this TWSE/TPEX-listed company or a shareholder who is an insider of a foreign company listed on TWSE or TPEX.</p>

⁷ Please refer to Article 3 of the Measures Governing Investment Permit to the People of the Mainland Area.

4. Declaration: (effective from the execution date)	
<p>(1) Pursuant to the Articles or Memorandum or other registration documents or agreements for establishment of the applicant as in section 2, the applicant's principal investment or trading strategy is (Please check the appropriate box)</p> <p><input type="checkbox"/> investment</p> <p><input type="checkbox"/> hedging</p> <p>(2) The documents and the contents provided by the applicant are true and accurate.</p> <p>(3) The applicant will not use unjust measures to affect the fairness or order of the financial/securities market of the Taiwan Area.</p>	<p>(1) The documents and the contents provided by the applicant are true and accurate.</p> <p>(2) The applicant will not use unjust measures to affect the fairness or order of the financial/securities market of the Taiwan Area.</p>
5. Overseas investment quota approved by SAFE⁸ (QDII only):	
6. Other Information (Please mark N/A, if such item is not applicable.)	
	Name
Asset Management Company	
E-mail Address:	
Custodian Bank in the Mainland Area	
Advisory Company	
Global Custodian	
7. Insider Information (Please mark N/A, if such item is not applicable.)	
<p>Please tick the applicable box and fill in relevant information if it meets the conditions.</p> <p>(1) <input type="radio"/> 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 : _____ .</p> <p>(2) The applicant is an insider of TWSE/TPEX-listed or emerging market companies.</p> <p><input type="radio"/> Principal : The applicant itself is an insider of TWSE/TPEX-listed or emerging market companies. The company ticker : _____.</p> <p><input type="radio"/> 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 : _____.</p> <p>The name of the insider : _____ , and the identification number : _____ .</p>	

⁸ SAFE: State Administration of Foreign Exchange

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.

Applicant:

Authorized Signatory:

Title:

Execution Date:
