

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	<input type="radio"/> 1.日本 <input type="radio"/> 2.美國 <input type="radio"/> 3.英國 <input type="radio"/> 4.其他歐洲國家(國名：_____) <input type="radio"/> 5A.香港** <input type="radio"/> 5B 澳門** <input type="radio"/> 6A.紐西蘭 <input type="radio"/> 6B.澳大利亞 <input type="radio"/> 7.其他(國名：_____)
類別	<input type="radio"/> 華僑及外國自然人 出生日期：西元____年____月____日 <input type="radio"/> 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
聲明事項 (自簽署日起生效)	<p>1. <u>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</u></p> <p><input type="checkbox"/>是(請提供提名計畫)</p> <p><input type="checkbox"/>否</p> <p>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。</p> <p>3. 申請人不得為大陸地區人民**。</p> <p>4. 本人所提供之文件與內容屬實且無虛假。</p> <p>5. 申請人絕不以不當手段干擾金融市場運作。</p>
內部人資料 (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、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：_____。</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：</p> <p><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：_____。</p> <p><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：_____

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
<input type="checkbox"/> 1. Japan <input type="checkbox"/> 2. United States <input type="checkbox"/> 3. United Kingdom <input type="checkbox"/> 4. Other European Country _____ <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 _____
Type
<input type="checkbox"/> Natural Person Date of Birth: _____ <input type="checkbox"/> Juristic Person Registration Date /Establishment Date: _____
Declaration (effective from the date this registration form is signed)
<p>(1) Does the applicant intend planning to nominate candidates for directors or supervisors for the companies in which they invest?</p> <p><input type="checkbox"/> Yes (Please attach the nomination plan)</p> <p><input type="checkbox"/> None</p> <p>(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.</p> <p>(3) The applicant shall not be an individual from Mainland China.**</p> <p>(4) The documents and information provided by the applicant are true and correct.</p> <p>(5) The applicant will not use unjust measures to affect the fairness or order of the R.O.C. financial/securities market.</p>
Insider Information (Please mark N/A, if such item is not applicable.)
<p>Please tick the applicable box and fill in the 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, Ministry of Economic Affairs, or the Science Park Bureaus, National Science and Technology Council. The serial number of the approval document : _____ .</p>

(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 FCM¹ (Representative handling Agent) :

(Company's Chop)

Maker:

Applicant:

Name and Signature of
Authorized Signatory:

Title:

Execution Date:

¹ futures commission merchant

