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 ◯其他(請敘明：_____)
4.聲明事項：(自填表日起生效)	

(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). 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 (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。 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。 (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.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。 ＊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：(Email 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：

申請人：_____

有權簽字人姓名：_____

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 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 check 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 FCM ☐ Others _____[2]

[1] Please specify the country.

[2] 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 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. (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. 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 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.

Application Date:
Agent:
Representative:
Contact Person:
Telephone Number:
E-mail Address:
Taiwan Custodian:

[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.

Attachments:

1. Power of attorney to agent or letter of appointment to representative.
2. Application's identification documents as required by the Directions.
3. Registration 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

Applicant: _____

Authorized Signatory: _____

Title: _____

Execution Date: _____