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| <p>類別： Type：</p> <p><input type="checkbox"/> 公司型基金 □ a fund established as a corporation</p> <p><input type="checkbox"/> 信託型基金 □ a trust fund</p> <p><input type="checkbox"/> 合夥型基金 □ a fund established as a partnership</p> <p><input type="checkbox"/> 退休型基金 □ a pension fund</p> <p><input type="checkbox"/> 共同基金 □ a mutual fund</p> <p><input type="checkbox"/> 單位信託 □ a unit trust</p> <p><input type="checkbox"/> 其他型基金（請敘明：_____）</p> <p><input type="checkbox"/> Others（please specify: _____）</p> | <p>類別： Type:</p> <p><input type="checkbox"/> 銀行 □ a bank</p> <p><input type="checkbox"/> 保險公司 □ an insurance company</p> <p><input type="checkbox"/> 證券商或期貨商 □ a securities firm or a futures commission merchants</p> <p><input type="checkbox"/> 1. 上市(櫃)及興櫃公司海外子公司或分公司員工集合專戶 □ 1. segregated collective account for employees of an overseas subsidiary or branch of a TWSE (or GTSM) listed or emerging stock company.</p> <p>2. 第一上市(櫃)及興櫃公司員工集合專戶 2. segregated collective account for employees of a TWSE (or GTSM) primary listed or emerging stock company.</p> <p><input type="checkbox"/> 1. 第一上市(櫃)及興櫃公司 1. TWSE (or GTSM) primary listed or emerging stock company</p> <p>2. 第二上市(櫃)公司 2. TWSE (or GTSM) secondary listed company</p> <p>(請敘名 (Please specify 證券代號：_____</p> <p>Ticker Code: 扣繳單位統一編號：_____</p> <p>Uniform ID number of tax withholding entity:</p> <p><input type="checkbox"/> 其他 □ other</p> |
| <p>4. 聲明事項：(自簽署日起生效) 4. Declaration：(effective from the date this registration form is signed)</p> | |

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| <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>(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 check the appropriate box)</p> <p style="padding-left: 40px;"> <input type="radio"/>投資 (請務必勾選) <input type="radio"/>避險 (Must check one) <input type="radio"/>investment <input type="radio"/>hedging </p> <p>(2). 申請人所提供之文件與內容屬實且無虛假。</p> <p>(2). The documents and the contents provide by the applicant are true and accurate.</p> <p>(3). 申請人絕不以不當手段干擾金融市場運作。</p> <p>(3). The applicant will under no circumstances use inappropriate means to interfere with the operation of the financial markets.</p> | <p>(1). 申請人擬匯入 貴國投資有價證券或從事期貨交易之資金非來自臺灣或大陸地區。</p> <p>(1). The funds to be remitted by the applicant to invest in ROC securities or to trade ROC futures will not come from Taiwan or the Mainland Area.</p> <p>(2). 申請人所提供之文件與內容屬實且無虛假。</p> <p>(2). The documents by the applicant and the information they contain are truthful and accurate.</p> <p>(3). 申請人絕不以不當手段干擾金融市場運作。</p> <p>(3). The applicant will under no circumstances use inappropriate means to interfere with the operation of the financial markets.</p> |
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5.股東背景資料(基金型態者可無須填寫)
5. Background Information on Applicant (if the applicant is not a fund)

| <p>*持前三名或持股比例達5%以上(含)之股東，請填寫名稱與國籍。</p> <p>* Top Three Shareholders or Shareholders who own 5% or more of Applicant's share capital.</p> | <p>名 稱 Name</p> | <p>國 籍 Nationality</p> | <p>統一編號或身分證號碼 R.O.C. Business Registration number or Identification No.</p> |
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| <p>*上述股東屬中華民國籍者，請填註營利事業統一編號或身分證號碼。</p> <p>* If any of the shareholders holds R.O.C. nationality, please complete the business registration number or Identification No.</p> | | | |

| 6.其他基本資料（以下資料如無者請填”N/A”） | | |
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| 6.Other Information（Please mark N/A, if such item is not applicable） | | |
| | 名 稱 Name | 註 冊 地 Place of Registration |
| 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，並由受託公司於本申請登記表簽署) (required if the applicant is a trust fund, and the trustee company shall sign at this registration application form.) | | |
| 顧問公司 (Advisory Company) | | |
| 全球保管銀行 (Global Custodian Bank) | | |

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| 申請日期： Application Date: 代理人： Agent: (公司章) (company seal) 代表人： Representative: 聯絡人員： Contact Person: 聯絡電話： Telephone Number : 電子郵件信箱： E-mail Address: 保管銀行： Taiwan Custodian Bank: |
| 檢附附件清單： Attachments |
| 境外外國機構投資人 Offshore Foreign Institutional Investors 1. 代理人授權書或代表人指派書。 1. Power of attorney to agent or letter of appointment to representative. 2. 符合本作業要點規定之身分證明文件。 3. Documents evidencing that the applicant complies with these Operation Directions. 4. 申請登記之境外外國機構投資人親簽之登記表 (英文版) 5. Registration form (in English) signed by the offshore foreign institutional investor. |

上市(櫃)及興櫃公司海外子公司或分公司員工集合專戶

Segregated collective account for employees of an overseas subsidiary or branch of a TWSE (or GTSM) listed company or emerging stock company

1. 上市(櫃)及興櫃公司之海外子公司或分公司切結確實取得海外員工授權之切結書正本。
1. An original copy of the declaration by the overseas subsidiary or branch company of the TWSE (or GTSM) listed or emerging stock company stating that it has obtained the authorization of the overseas employees.
2. 上市(櫃)及興櫃公司經主管機關核准或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。
2. Photocopies of documents showing approval by the competent authority or filing for effective registration for issuance by the TWSE (or GTSM) listed company of new shares or employee stock warrants, or the company's repurchase of employee-held shares.
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。
3. A photocopy of the minutes of the board of directors meeting of the TWSE (or GTSM) listed company and emerging stock company, in which the transfer of repurchased shares to employees, issuance of employee stock warrants or issuance of new shares is approved.
4. 符合本作業要點規定之身分證明文件
4. Documents evidencing that the applicant complies with these Operation Directions.
5. 代理人授權書或代表人指派書。
5. Power of attorney to agent or letter of appointment to representative.
6. 申請登記之大陸地區投資人親簽之登記表(英文版)。
6. Registration form (in English) personally signed by the Mainland Area investor who is applying for registration.

第一上市(櫃)及興櫃公司員工集合專戶

Segregated collective account for employees of a TWSE (or GTSM) primary listed or emerging stock company

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。
1. An original copy of the declaration by the TWSE (or GTSM) primary listed or emerging stock foreign issuer stating that it has obtained the authorization of the overseas foreign employees.
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之證明文件影本。
2. Photocopies of documents showing filing with the competent authority and effective registration for issuance of new shares or employee stock warrants by the TWSE (or GTSM) listed or emerging stock foreign issuer.
3. 經證交所核准第一上市或經櫃檯買賣中心核准第一上櫃、興櫃之同意函影本。
3. An approval letter issued by the TWSE or the GTSM approving the TWSE primary listing or the GTSM primary listing or emerging stock listing.
4. 符合本作業要點規定之身分證明文件
4. Documents evidencing that the applicant complies with these Operation Directions.
5. 代理人授權書或代表人指派書。
5. Power of attorney to agent or letter of appointment to representative.
6. 申請登記之大陸地區投資人親簽之登記表(英文版)。
6. Registration form (in English) personally signed by the Mainland Area investor who is applying for registration.

申請人：_____

Applicant: _____

有權簽字人之姓名及簽章：_____

Name and Signature/Seal of Authorized Signatory: _____

職稱：_____

Title: _____

填表日期：_____

Form Completion Date: _____
