

表 3-1

Form 3-1

大陸地區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
Application Form for Registration of Mainland Area Investors Investing in ROC
Securities or Trading ROC Futures

1. 申請人 1. Applicant
中文名稱： Chinese Name:
英文名稱： English Name: (須與所檢附文件完全一致) (Must be exactly as shown in attached documents)
成立日期：西元 年 月 日 Date of registration:
2. 型態 2. Type:

<p>大陸地區合格機構投資者(請擇一勾選): Mainland Area qualified institutional investor (please check one):</p> <p>類別： Type:</p> <p>證券主管機關核准： Approved by China Securities Regulatory Commission:</p> <p><input type="checkbox"/> 開放型基金 <input type="checkbox"/> Open-end fund <input type="checkbox"/> 封閉型基金 <input type="checkbox"/> Closed-end fund <input type="checkbox"/> 集合計畫 <input type="checkbox"/> Collective plan</p> <p>銀行主管機關核准： Approved by China Banking Regulatory Commission:</p> <p><input type="checkbox"/> 銀行 <input type="checkbox"/> Bank <input type="checkbox"/> 信託公司 <input type="checkbox"/> Trust company</p> <p>保險主管機關核准： Approved by the China Insurance Regulatory Commission:</p> <p><input type="checkbox"/> 保險公司 <input type="checkbox"/> Insurance company <input type="checkbox"/> 保險集團公司 <input type="checkbox"/> Insurance group company <input type="checkbox"/> 保險控股公司 <input type="checkbox"/> Insurance holding company</p>	<p>大陸籍員工集合投資專戶 (請擇一勾選)</p> <p>類別： Segregated collective investment account for Mainland Area nationality employees (please check one):</p> <p>Type:</p> <p><input type="checkbox"/> 上市(櫃)公司之海外分公司 <input type="checkbox"/> Overseas branch of a TWSE (or GTSM) listed company</p> <p><input type="checkbox"/> 上市(櫃)公司之海外子公司 <input type="checkbox"/> Overseas subsidiary of a TWSE (or GTSM) listed company</p> <p><input type="checkbox"/> 第一上市(櫃)公司 <input type="checkbox"/> A TWSE (or GTSM) primary listed company</p> <p>大陸籍股東投資專戶</p> <p><input type="checkbox"/> Segregated collective investment account for Mainland Area nationality shareholders</p> <p><input type="checkbox"/> 第一上市(櫃)公司 <input type="checkbox"/> A TWSE (or GTSM) primary listed company</p>
<p>3. 聲明事項：(自簽署日起生效) 3. Declarations (effective from date of signing):</p>	

<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). The applicant declares that its investment or trading strategy, based on the fund prospectus or fund establishment agreement, is for investment or hedging purposes:</p> <p style="padding-left: 20px;"> <input type="radio"/> 投資 <input type="radio"/> Investment <input type="radio"/> 避險 <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 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>	<p>(1). 申請人所提供之文件與內容屬實且無虛假。</p> <p>(1) The documents by the applicant and the information they contain are truthful and accurate.</p> <p>(2). 申請人絕不以不當手段干擾金融市場運作。</p> <p>(2) The applicant will under no circumstances use inappropriate means to interfere with the operation of the financial markets.</p>
<p>4.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)： (美金)</p> <p>4. The limit on overseas investment approved by the competent Mainland Area authority over foreign exchange business (required only for Mainland Area qualified institutional investors): (US\$)</p>	
<p>5.其他基本資料 (以下資料如無者請填"N/A")</p> <p>5. Other basic information (Please mark "N/A" when any of the following are not applicable)</p>	
<p>管理公司 (Management Company)</p> <p>電子郵件信箱： (E-mail Address)</p>	
<p>託管銀行 (Custodian Bank)</p>	
<p>顧問公司 (Advisory Company)</p>	
<p>全球保管銀行 (Global Custodian)</p>	

申請日期：

Date of application:

代理人：

Agent:

(公司章) (Company seal)

代表人：

Representative:

聯絡人員：

Contact person:

聯絡電話：

Contact tel. no.:

電子郵件信箱：

Email address:

保管銀行：

Custodian bank:

檢附附件清單：

Checklist of attached documents:

大陸地區合格機構投資者：

Mainland Area qualified institutional investors:

1. 符合本作業要點規定之成立證明文件。
1. Documentation of establishment as required by these Directions.
2. 大陸地區證券、銀行或保險主管機關核准合格機構投資者之證明文件。
2. Documents evidencing approval of the qualified institutional investor by the competent Mainland Area securities, banking, or insurance authorities.
3. 大陸地區外匯業務主管機關核准投資海外額度文件。
3. The document from the competent Mainland Area authority over foreign exchange business approving the limit on overseas investment.
4. 代理人授權書或代表人指派書
4. Power of attorney to agent or letter of appointment to representative.
5. 申請登記之大陸地區投資人親簽之登記表（英文版）。
5. Registration form (in English) personally signed by the Mainland Area investor.

上市(櫃)公司之國外子公司或分公司大陸籍員工集合投資專戶

Segregated collective investment account for Mainland Area nationality employees of the foreign subsidiary or branch company of a TWSE (or GTSM) listed company

1. 符合本作業要點規定之身分證明文件。
 1. Documents evidencing that the applicant complies with these Operation Directions.
2. 上市(櫃)公司之海外子公司或分公司切結確實取得大陸籍員工授權之切結書正本。
 2. An original copy of the declaration by the overseas subsidiary or branch company stating that it has obtained the authorization of the employees of Mainland Area nationality.
3. 上市(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。
 3. 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.
4. 上市(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. A photocopy of meeting minutes from the relevant board of directors meeting of the TWSE (or GTSM) listed company showing passage of the given repurchase of company shares for transfer to employees, the issuance of share subscription certificates to employees, or the issuance of new shares.
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.

第一上市(櫃)公司大陸籍員工集合投資專戶

Segregated collective investment account for Mainland Area nationality employees of a TWSE (or GTSM) primary listed company

1. 符合本作業要點規定之身分證明文件。
1. Documents evidencing that the applicant complies with these Operation Directions.
2. 第一上市(櫃)之外國發行人切結確實取得大陸籍員工授權之切結書正本。
2. An original copy of the declaration by the TWSE (or GTSM) listed foreign issuer stating that it has obtained the authorization of the employees of Mainland Area nationality
3. 第一上市(櫃)之外國發行人經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。
3. Photocopies of documents showing filing with the competent authority and effective registration for issuance by the TWSE (or GTSM) listed company of new shares or employee stock warrants.
4. 證交所核准第一上市或櫃檯買賣中心核准第一上櫃之同意函影本。
4. A photocopy of the approval letter issued by the TWSE or the GTSM approving the TWSE primary listing or GTSM primary listing.
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)公司大陸籍股東投資專戶

Segregated collective investment account for Mainland Area nationality shareholders of a TWSE (or GTSM) primary listed company

1. 符合本作業要點規定之身分證明文件。

1. Documents evidencing that the applicant complies with these Operation Directions.

2. 第一上市(櫃)外國發行人之股務代理機構出具大陸籍股東在該外國發行人所發行股票來臺上市或上櫃前已取得該發行人所發行股票之證明文件，或大陸籍員工依註冊地國法令認購或獲配股份之證明文件。

2. Documents issued by the shareholder services agent of the TWSE (or GTSM) primary listed foreign issuer showing that shares issued by that foreign issuer were already held by the Mainland Area nationality shareholders prior to the TWSE listing or GTSM listing of the issuer, or that the employees of Mainland Area nationality subscribed to or were allotted with shares pursuant to the laws and regulations of the country of registration.

3. 證交所核准第一上市或櫃檯買賣中心核准第一上櫃之同意函影本。

3. A photocopy of the approval letter issued by the TWSE or the GTSM approving the TWSE primary listing or GTSM primary listing.

4. 代理人授權書或代表人指派書。

4. Power of attorney to agent or letter of appointment to representative.

5. 申請登記之大陸地區投資人親簽之登記表(英文版)。

5. Registration form (in English) personally signed by the Mainland Area investor.

申請人：

Applicant:

有權簽字人之姓名及簽章：

Name and signature/Seal of qualified signatory:

職稱：

Position title:

填表日期：

Form Completion Date: