

Application for TPEx Trading of Active ETF Beneficial Certificates

To: Taipei Exchange

Subject: Pursuant to Article 4, paragraph 1 of the Taipei Exchange Rules Governing the Review of Passive Exchange-Traded Fund and Active Exchange-Traded Fund Beneficial Certificates for Trading on the TPEX, we herewith submit the documents listed below to apply for consent for TPEX listing:

Name of applicant institution					
Date of establishment of applicant institution		(Date)		Authorized capital	Registered authorized capital
					Total paid-in capital
Name of Active ETF beneficial certificate under application for TPEX listing		Fund type	TPEX listing date applied for	Competent Authority approval document number and date	Remarks
		<input type="checkbox"/> Equity <input type="checkbox"/> Bond			The Company will duly, on the day before TPEX listing of the Fund, input relevant information, including the net asset value per beneficial unit, total number of beneficial units, and net asset value of the fund as of the latest business day available prior to the TPEX listing, into the internet reporting system designated by the TPEX.
Performance indicator(s)		<input type="checkbox"/> None <input type="checkbox"/> Yes, _____			
The percentage invested in non-investment-grade bonds may reach 60 percent or higher (Note)		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Fund custodian name					
Application date		(Date)			
Attachments	1. Fund issuance plan. 2. Photocopy of the approval letter from the Competent Authority approving the establishment of the Fund. 3. Three counterparts of the Agreement for TPEX Trading of the Beneficial Certificates 4. The securities investment trust enterprise's financial reports for the most recent fiscal year and the most recent period. 5. Prospectus. 6. Photocopy of the securities investment trust agreement. 7. Beneficial certificate services agency agreement (not required if the services are handled by the applicant itself). 8. Photocopy of the agreement signed with the central securities depository enterprise with respect to registration and relevant account transfer operations for beneficial certificates issued in dematerialized form. 9. Photocopy of the liquidity provider agreement signed under Article 14 of the Taipei Exchange Rules Governing Trading of Passive Exchange-Traded Fund and Active Exchange-Traded Fund Beneficial Certificates. 10. Other documents as required by the Competent Authority and the TPEX.				
Applicant institution: Legal representative: _____ Seal/signature Company address: Telephone:					

Note: An investor, before trading this type of ETF, shall sign a risk disclosure statement in accordance with Article 3 of the Taipei Exchange Rules Governing Trading of Passive Exchange-Traded Fund and Active Exchange-Traded Fund Beneficial Certificates.