

Content

Title : Financial-Supervisory-Securities-Firms-10200143751 [Ch](#)

Date : 2013.05.31

Legislative : Issue date: 31 May 2013

Content : Order of the Financial Supervisory Commission

Issue date: 31 May 2013

Issue no.: Financial-Supervisory-Securities-Firms-10200143751

1. Mainland Area employees who have obtained shareholder status for shares of TWSE (or GTSM) listed companies as specified in Article 3, subparagraph 2 of the Regulations Governing Securities Investment and Futures Trading in Taiwan by Mainland Area Investors ("the Regulations") and Mainland Area shareholders of TWSE (or GTSM) primary listed companies as specified in Article 3, subparagraph 3 of the same Regulations may obtain shares of other TWSE (or GTSM) listed companies or TWSE (or GTSM) primary listed companies through participation permitted by law in a public tender offer or through a merger or acquisition in which the issuer has participated, and may sell the shareholdings in accordance with Article 22, paragraph 3 and Article 23, paragraph 2 of the Regulations, respectively. However, the shares of TWSE (or GTSM) listed companies that they so obtain may not belong to industries in which investment by Mainland Area investors is prohibited under Article 13, paragraph 1 of the Regulations.

2. If a Mainland Area investor specified above obtains 10 percent or more of the shares of another TWSE (or GTSM) listed company through lawful participation in a public tender offer or through a merger or acquisition in which the issuer has participated, the investor, as set out in Article 12, paragraph 4 of the Regulations, shall apply for approval in accordance with the applicable regulations prescribed by the relevant authority.

3. This Order shall take effect from this day forward.

Originals: To be posted on the public notice boards of the Financial Supervisory Commission and the Securities and Futures Bureau of the FSC.

Copies: Legal Affairs Committee, Executive Yuan; Taiwan Stock Exchange Corporation; GreTai Securities Market; Taiwan Securities Association; Taiwan Depository & Clearing Corporation; Financial Examination Bureau of the FSC; Banking Bureau of the FSC; Insurance Bureau of the FSC; FSC (Department of Legal Affairs and Department of Information Management); Lex Data Information Inc.; Winkler Partners, Attorneys at Law; all custodian banks.