


Content

Title :	Financial-Supervisory-Securities-VIII-09800176691 
Date :	2009.04.30
Legislative :	Issue date: 30 April 2009
Content :	<p>Documents to be Submitted by Mainland China Area Investors Applying to Engage in Securities Investment and Futures Trading Order of the Financial Supervisory Commission, Executive Yuan Issue date: 30 April 2009 Issue no: Financial-Supervisory-Securities-VIII-09800176691</p> <p>A mainland area investor applying in accordance with Article 7, paragraph 2 of the Regulations Governing Securities Investment and Futures Trading in Taiwan by Mainland Area Investors ("the Regulations") to register to engage in securities investment or futures trading is required to submit the following documents:</p> <ol style="list-style-type: none">1. Documents to be submitted by a Qualified Domestic Institutional Investor from the mainland area:<ol style="list-style-type: none">(1) Documentary proof of establishment that satisfies the provisions of the Taiwan Stock Exchange Directions for the Registration of Overseas Chinese, Foreign Nationals, and Mainland China Investors Applying to Invest in ROC Securities or Trade ROC Futures ("the Directions").(2) Documentary proof that the applicant has been approved by the mainland securities authority as a Qualified Domestic Institutional Investor.(3) Documentation showing the amount up to which the mainland foreign exchange authority has granted approval for the applicant to invest overseas.(4) A power of attorney for the applicant's agent or letter of appointment for the applicant's representative.(5) The mainland area investor's registration form (English version), signed by the applicant.2. Documents to be submitted by a mainland area investor that meets either of the descriptions set out in Article 3, subparagraphs 2 and 3 of the Regulations:<ol style="list-style-type: none">(1) An identification certificate, the English version of the registration form signed by the party applying for registration, and the power of attorney for the applicant's agent or letter of appointment for the applicant's representative, all of which must meet the requirements of the Directions.(2) A mainland area investor as described in Article 3, subparagraph 2 of the Regulations must additionally submit: (i) the original copy of an affidavit affirming that the overseas subsidiary or branch of the exchange-listed or OTC-listed company has obtained the required authorizations from its employees of mainland nationality; (ii) a photocopy of documentary proof showing that the exchange-listed or OTC-listed company has obtained approval from the competent authority, or completed an effective

registration therewith, to issue new shares or employee stock warrants, or to repurchase its shares; and (iii) a photocopy of the minutes from the board of directors meeting of the exchange-listed or OTC-listed company where the resolution was adopted to approve the repurchase of shares and transfer thereof to employees, or to issue the employee stock warrants, or to issue the new shares.

(3) A mainland area investor as described in Article 3, subparagraph 3 of the Regulations must additionally submit: (i) documentary proof from the shareholder services agent of the foreign issuer which shows that the mainland shareholder in question already held the foreign issuer's securities before the issuer listed on an exchange or OTC market in the Republic of China (Taiwan); and (ii) photocopies of letters of consent from the competent authority and either the Taiwan Stock Exchange or the GreTai Securities Market, whereby approval is granted for the issuer to list on an exchange or OTC market.

3. The present Order is effective from 30 April 2009.

Original to: Post on the public notice board of the FSC and the public notice board of the Securities and Futures Bureau, FSC

Copy to: Department of Legal Affairs, FSC; Taiwan Stock Exchange Corporation; GreTai Securities Market; Taiwan Depository & Clearing Corporation; Taiwan Futures Exchange Corporation; all custodian banks; Lex Data Information Inc.; Winkler Partners, Attorneys at Law; Public Company Shareholder Services Association of the ROC