

Content

Title :	Financial-Supervisory-Securities-VII-09800079231 <b>Ch</b>
Date :	2009.03.06
Legislative :	Issue date: 6 March 2009
Content :	<p>Directions Concerning Account Opening and the Delivery and Execution of Order Tickets for Insiders of Futures Introducing Brokers Order of the Financial Supervisory Commission, Executive Yuan Issue date: 6 March 2009 Issue no: Financial-Supervisory-Securities-VII-09800079231</p> <ol style="list-style-type: none"><li>1. This order is issued in accordance with Article 30 of the Regulations Governing the Operation of Futures Introducing Broker Business by Securities Firms</li><li>2. If an insider of a futures introducing broker wishes to open an account for trading of domestic futures trading contracts, the insider must open the account with the mandating futures commission merchant of that introducing broker. If the account is to be opened through a futures introducing broker engaged by the future commission merchant, it must be done by the futures introducing broker to which the person belongs. If the insider wishes to engage in overseas futures trading, the account must be opened by the mandating futures commission merchant.</li><li>3. When the opening of an account for an insider of a futures introducing broker is delegated to the futures introducing broker, the insider's order tickets for domestic futures trading may be forwarded through the futures introducing broker to which the insider belongs, whereas order tickets for overseas futures trading must be delivered directly for execution by the associated persons of the mandating futures commission merchant.</li><li>4. The 30 April 1998 Order No. Taiwan-Finance-Securities-(VII)-01106 of the former Securities and Futures Bureau, Ministry of Finance is repealed from this day forward; the present Order is effective from this day forward.</li></ol> <p>Original to: Post on the public notice board of the Financial Supervisory Commission (FSC) and the public notice board of the Securities and Futures Bureau, FSC</p> <p>Copy to: Legal Affairs Committee, Executive Yuan; Department of Legal Affairs, FSC; Financial Examination Bureau, FSC; Taiwan Futures Exchange Corporation; Chinese National Futures Association; Taiwan Securities Association; Lex Data Information Inc.; Winkler Partners, Attorneys at Law</p>

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