

Attachment 1

Application for Establishment of Branch in ROC by Foreign Banks

1. Basic information of Head Office	(1) Nationality	
	(2) Bank name (Chinese) (English)	
	(3) Organization structure and type	
	(4) Authorized capital	
	(5) Paid-in capital	
	(6) Head office address	
	(7) Scope of business	
	(8) Date of incorporation and date of business commencement	
	(9) The agency issuing a document proving the due incorporation and existence of the bank as a legal entity, and date and number of the document	
	(10) The agency issuing the banking license of the bank and date and number of the license	
2. Name of branch to be established in the ROC		
3. City in ROC at where the branch is to be established		
4. Amount of operating capital to be allocated for operations in the ROC		
5. Name, nationality and position of representative or agent for the application		
Attachments	<input type="checkbox"/> Feasibility study. <input type="checkbox"/> Bank profile. <input type="checkbox"/> The bank's ranking among the world's leading banks by capital or assets for the prior year, as well as credit rating from a globally recognized rating agency.	

	<ul style="list-style-type: none"> □ A self-assessment regarding the bank's compliance with laws and regulations and the integrity of its business operations, as well as an explanation of any [legal/regulatory] violations, frauds, disciplinary actions imposed on the bank, or failure to improve severe deficiencies in “anti-money laundering and countering the financing of terrorism” (AML/CFT) within the past five years. □ A document issued by the financial regulator in the home country approving the establishment of a branch in the ROC. □ Document issued by the financial regulator in the home country stating its willingness to cooperate with the ROC in sharing the supervisory and administrative responsibility for the bank, as well as a document issued by such regulator confirming the soundness of the bank’s business and financial conditions. □ Letter of undertaking issued by the head office promising to provide necessary (contingent) liquidity and financial support to branches in the ROC. □ The resume and relevant evidentiary documents of the proposed manager for the ROC branch. □ The business plan of the branch. □ Authenticated minutes of the board resolution approving the filing of an application to establish a branch in the ROC or an equivalent document thereof. □ Certification by a certified public accountant of the ratio of the bank’s equity capital to risky assets as of the end of the most recent year. □ Power of attorney issued by the responsible officer of the head office authorizing a lawyer or certified public accountant to file the application. □ Income statements and balance sheets of the bank for the last three years certified by a certified public
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	<p>accountant.</p> <p><input type="checkbox"/> Documentation proving the due incorporation and existence of the bank as a legal entity and the banking license issued by the regulator in the home country.</p> <p><input type="checkbox"/> An authenticated copy of the bank's articles of incorporation.</p> <p><input type="checkbox"/> Authenticated letter of authorization designating a representative who shall serve as the person in charge of the bank (hereinafter referred to as the designated representative) within the territories of the ROC.</p> <p><input type="checkbox"/> Statistics regarding the bank's total amount of dealings with banks and/or enterprises in the ROC during the three calendar years prior to application (applicable to foreign banks ranking outside top five hundred by capital or assets worldwide for the year prior to application).</p> <p><input type="checkbox"/> A declaration of the bank's designated representative.</p> <p><input type="checkbox"/> Other information and documents as required by the Financial Supervisory Commission.</p>
Date	<p>(year) (month) (day)</p> <p>Ref. No.:</p>

Applicant (Bank):

Representative: (Signature)

Agent: (Signature)

Contact person and telephone: