

法規名稱：MEMORANDUM ON THE EXCHANGE OF INFORMATION BETWEEN THE SECURITIES AND INVESTMENTS BOARD OF THE UNITED KINGDOM AND THE SECURITIES AND EXCHANGE COMMISSION IN TAIPEI (AD.1993.06.16)

簽訂日期：民國 82 年 06 月 16 日

生效日期：民國 82 年 06 月 16 日

- 1.The Securities and Investments Board of the United Kingdom ("SIB") and the Securities and Exchange Commission in Taipei ("SEC") ("the Signatories") recognise the increasing international activity in the futures and options markets of the United Kingdom and Taiwan("derivatives markets"), and the corresponding need for mutual co-operation between the Signatories.
- 2.The Signatories believe that, as international participation in derivatives markets continues to grow, it becomes increasingly important to establish arrangements for the Signatories to exchange supervisory, surveillance and investigatory information in order to assist each other in securing compliance with the laws, regulations and rules of the United Kingdom and Taiwan relating to derivatives markets, to the extent permitted by the law of each country. This should serve to improve the protection of investors, to help to strengthen the adequate supervision and effective regulation of the derivatives business, to enhance the supervision of cross-border transactions in derivatives products, and to prevent fraudulent and other prohibited practices, thus protecting the integrity of the derivatives markets.
- 3.The Signatories agree to consider carefully each request for information from the other relating to supervision, surveillance, and investigation as described in paragraph 2 above. In order to facilitate the timely processing of requests, the Signatories agree to appoint as contact persons those designated in Appendix A.
- 4.This Memorandum represents an important step towards improving co-operation between the Signatories in the supervision of their respective derivatives markets. The Signatories look forward to a productive relationship, and agree in principle to negotiate in good faith additional measures relating to the exchange of information should such measures prove necessary or appropriate.

Signed this 16th day of June 1993.

[Signed]

Andrew Large

Chairman

Securities and Investments

Board of the United Kingdom

[Signed]

Linin Day

Chairman

Securities and Exchange

Commission in Taipei

## Appendix A

### Contact Points

#### ■ The Securities and Investments Board:

Group Director, Compliance and Enforcement

Gavrelle House

2-14 Bunhill Row

London EC1Y 8RA

Telephone: 44 71 638 1240

Fax: 44 71 382 5906

#### ■ The Securities and Exchange Commission in Taipei:

General Counsel

Securities and Exchange Commission

Ministry of Finance

12th Floor

3 Nan-hai Road

Taipei 10728

Taiwan, Republic of China

Telephone: 886 2 356 0950

Fax: 88623948249