

Appendix 6

Application by Foreign Futures Commission Merchant for Permission to Establish Branch Unit (for parties applying to establish either a first or an additional branch unit)

To: Financial Supervisory Commission (FSC), Executive Yuan
Subject: In accordance with Article 56, paragraph 3 of the Futures Trading Act and Article 22 of the Standards Governing the Establishment of Futures Commission Merchants, this form is submitted in duplicate to apply for permission to establish a branch unit.

Name of foreign FCM	
Nationality and location of company	
Type of FCM	
Amount of operating capital to be earmarked for use in the ROC	
Name of branch unit under first-time application	
Place of business of branch unit under first-time application	
Name of additional branch unit	
Place of business of additional branch unit	
Line(s) of business	
Date of application	
Attachments	

1. Articles of incorporation or an equivalent document. 2. A business plan, specifying: the operational principles; method of risk management; internal organization and segregation of duties; personnel recruitment and training; the basic status of premises and facilities; and financial forecasts for the year of establishment and the year following. 3. An FCM business license issued by the futures authority or an authority equivalent thereto in the applicant's home jurisdiction. 4. Documentary evidence that the requirements of Article 19 of the Standards Governing the Establishment of Futures Commission Merchants are met. 5. A copy of the minutes of the board of directors meeting where it was resolved to apply to establish a branch unit in the Republic of China. 6. A list of directors, managerial officers, and 5 percent or greater shareholders. 7. The names, nationalities, and domiciles of directors and other responsible persons. 8. The name, nationality, domicile, residence, and identification documents of the person appointed as agent for litigious and non-litigious matters within the territory of the Republic of China, and the power of attorney. 9. The latest CPA-audited and certified financial report. 10. The power of attorney issued to the designated agent appointed to handle permit application and branch unit establishment. 11. A representation by the head office affirming that it is willing to provide relevant transaction data and records. 12. A Case Review Form (Appendix 6).	
Foreign FCM applicant:	(Signature or seal)
Representative:	
Agent:	
(Contact person:	Telephone:)

Note: This application form and the attachments must be printed on A4 paper and bound into booklet form. A table of contents must be prepared, and page numbers indicated.