

Appendix 7

Application by Foreign Futures Commission Merchant for Issuance of Branch Unit Business Permit (for 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 23 of the Standards Governing the Establishment of Futures Commission Merchants, this form is submitted in duplicate to apply for issuance of a branch unit business.

Name of foreign FCM	
Nationality and location of company	
Type of FCM	
Amount of operating capital 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	
Date and reference number of permit issued by FSC	
Date of application	
Attachments	

1. A list of managerial officers and associated persons; a list of qualifications certificates for managerial officers and associated persons, issued by the Chinese National Futures Association.
2. A representation affirming that the responsible persons and associated persons are free of the circumstances set out in Article 4 of the Standards Governing the Establishment of Futures Commission Merchants.
3. Documentary evidence that operating bond has been furnished in accordance with the requirements of Article 19 of the Standards Governing the Establishment of Futures Commission Merchants.
4. Documentary evidence that the applicant is capable of obtaining real-time market information, and that it has the necessary data transmission facilities for the conduct of trading.
5. A description of the internal control system of the branch unit.
6. Documentary evidence that the requirements of Article 6 of the Standards Governing the Establishment of Futures Commission Merchants are met.
7. Documentary evidence that the requirements of Article 20 of the Standards Governing the Establishment of Futures Commission Merchants are met.
8. A Case Review Form (Appendix 7).
9. Permit fee: NT\$ _____

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.