

外國專業投資機構初次申請投資有價證券申請書

APPLICATION FORM FOR QUALIFIED FOREIGN INSTITUTIONAL INVESTORS (QFII) TO INVEST IN ROC SECURITIES MARKETS

受文者：財政部證券暨期貨管理委員會

To: Securities and Futures Commission, Ministry of Finance

主 旨：為申請投資中華民國國內有價證券，依據華僑及外國人投資證券管理辦法第十條規定，檢具下列書件一份申請許可，請查 照。

Subject: To apply for the approval to make investment in the ROC securities markets pursuant to Article 10 of the Regulations Governing Securities Investment by Overseas Chinese and Foreign Nationals. Enclosed for review is a copy of the attached documents.

外國專業投資機構名稱 Name of the Applicant	中文： English：	機構國籍及機構所在地 Nationality and Location of Head-Office of the Applicant	
		申請投資額度 Applying amount for Investment (US\$)	
指定保管機構名稱 Name of the Custodian Bank	中文： English：	右欄限身分轉換者填寫Columns to the Right are applicable only for transfer from GFII to QFII status	截至申請日止 As of this Application Date
			已匯入金額 Net Remitted Amount (US\$)
			可再匯入金額 (US\$) available for remitting inward
		本次申請總投資額度後可再匯入金額 After this application, the amount of investment (US\$) available for remitting inward	
會計年度起迄日期 Fiscal Year	自 至 From To	是否申請開立分戶 Application for separate sub-account	是 否 Yes <input type="checkbox"/> No <input type="checkbox"/>
申請日期 Application Date	中華民國 年 月 日 Year Month Date		
附 件 Attachments	<input type="checkbox"/> 代理人授權書或代表人指派書 Power of Attorney to Agent or Letter of Appointment to Representative <input type="checkbox"/> 符合證券暨期貨管理委員會所規定資格條件之證明文件 Documents showing that the applicant meets with the qualification requirements set by the SFC <input type="checkbox"/> 保管契約副本 Copy of Custodian Agreement (Taiwan Rider) <input type="checkbox"/> 保管機構於台灣集中保管公司完成開戶之資料 (首次辦理保管業務者適用) The opening account document of the custodian at the Taiwan Securities Central Depository Co., Ltd. (Only applicable to those who engage in custodian business first time) <input type="checkbox"/> 聲明書—無中國大陸地區資金聲明書、無額度轉讓聲明書、投資身分選擇之聲明書、無來自國內資金聲明書 (如屬證券商應檢附) Combined Declaration Letter: Statement declaring that the applicant will not transfer its approved investment quota to any investors other than its contracted clients; that there exists no funds from the area of Mainland China; that application and investment under single investment status; that there exists no funds from Taiwan (applicable where the Applicant is a security firm). <input type="checkbox"/> 外國專業投資機構申請投資國內證券案件審查表 (保管機構或申請代理人代為審核所送表件是否符合規定) Reviewing and checking list filled out by the agent or custodian. <input type="checkbox"/> 證券暨期貨管理委員會規定之其他文件 Other documents requested by the SFC.		
申請人 Applicant: 代理人 Agent: 代表人 Representative: 簽名或蓋章 (Signature or Chop) 申請代理人 Application Handling Agent: (代理人與申請代理人不同時適用 applicable where the application handling agent is not the applicant's local agent) (聯絡人 Contact person: 電話 Tel:)			

註 Note: 如申請開立分戶者，應檢附申請開戶清單及分戶與申請者間關係證明文件 In case the applicant applies for separate sub accounts, a list of the separate sub accounts and the documents showing the relationship between each of the separate account with the applicant shall be attached.