

Application form for offshore fund general agencies to place and sell offshore funds **【Sample】**

To: Securities Investment Trust & Consulting Association of the R.O.C.

Subject: In order to place and sell ○○ offshore fund for the offshore fund's general agency, the following form filled out according to paragraph 1 of article 27 of Regulations Governing Offshore Funds is enclosed along with attachments. Please pass it to Financial Supervisory Commission, Executive Yuan (hereunder referred to as FSC).

Name of the General Agency	○○ Securities Investment Trust Co., Ltd.	Name of the offshore fund	○○ Fund, ○○ Fund, ○○ Fund, ○○ Fund, ○○ Fund
Offshore fund administration institute or its designated	○○○○ Company	Application date	MM/DD/YYYY
Other sub-funds previously approved or coming into effect after declaration for placement and sale (in a same umbrella fund)		Approval or declared effective date	

1. Basic data of offshore funds (Please refer to attachment 1 for contents and format)
2. The review list for the offshore fund general agency to apply for placement and sale of offshore funds (Please refer to attachment 2 for contents and format)
3. Certificate documents of the qualifications of the offshore fund general agency in compliance with article 9 of Regulations Governing Offshore Funds.
4. The general agency contract signed between offshore fund institute and general agency.
5. The personnel training plan signed between offshore fund institute and general agency.
6. Certificate documents of the operating bonds deposited by the general agency as regulated.
7. The statement to claim the compliance of the sales institute's qualifications, and the sales contract. In the case that there is more than one sales institute, a detailed list shall be submitted.
8. Certificate documents showing placement approval from offshore fund's registration place.
9. The detailed list if more than one offshore fund is applied for placement and sale.
10. Information including the offshore fund's latest year's financial reports and their simple Chinese translation, portfolios, precautions to be taken by investors, and prospectus along with Chinese translation.
11. Certificate documents of offshore fund administration institute's compliance with article 24 of Regulations Governing Offshore Funds.
12. Statement documents issued by the offshore fund institute to claim that it will meet FSC's requirements to provide account books of the offshore fund institute's offshore fund purchase, repurchase and switch, and information relating to investors' rights and interests for FSC to review.
13. Statement issued by the offshore fund administration institute to claim its compliance with subparagraph 1 through 5 of paragraph 1 of article 23 of Regulations Governing Offshore Funds.
14. The latest financial reports of the offshore fund administration institute.
15. Certificate documents to show the credit rating grade of the offshore fund's custodian institute.
16. The opinion issued by the attorney to comment that the protection of investor's rights and interests from the fund's registration place is not less than that from the R.O.C.
17. The opinion issued by the attorney to comment that the protection of investor's rights and interests from the fund administration institute's registration place is not less than that from the R.O.C.
18. Certificate documents of the admission to Securities Investment Trust & Consulting Association of the R.O.C. (hereunder referred to as the Association). However, those who have already been the member of the Association can be exempt from the certificate documents.
19. The general agency's self-check list (Please refer to attachment 3 for the contents and format) and the statement to claim content correctness and integration (Please refer to attachment 4 for the contents and format)
20. Other documents required to be submitted as regulated by FSC.

Application company:

(Sign and seal)

(Contact person and Tel. No.

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Responsible person:

- Explanations:
1. The application form and attachments shall be in one original copy, and the paper size shall be 29.7 cm in length and 21 cm in width (i.e. A4 size)
 2. Except for offshore fund portfolios and offshore fund administration institute's financial reports, Chinese translation for the attached documents in foreign language is required.
 3. Except for the original certificate issued by the fund's local competent authorities, self-discipline groups or certified public accountants (verification is still required for non-original copies), the general agency contract and personnel training plan (verification is still required for non-original copies), statements, financial reports, offshore fund portfolios, prospectuses, the custodian institute's credit rating certificate and the copy of passports, all the documents shall be verified according to one of the following ways:
 - (1) To be verified by the foreign branch of the ROC in the offshore country..
 - (2) With the certificate issued by the court or government of the offshore country.
 - (3) To be verified by the notary agency of the offshore country.