

(9-1) 證券商申請核發兼營期貨業務許可作業流程（第二階段）申請書表

**Application form for local securities firms to apply for the permission certificate for concurrently engaging in futures business**

**(Applicable to the applicants who apply for the permission certificate for their headquarters or their headquarters along with their branches to concurrently engage in future business)**

To: Financial Supervisory Commission, Executive Yuan

Subject: The following documents in duplicate are attached pursuant to paragraph 2 of article 57 of Futures Trading Law and article 29 of Rules Governing the Establishment Criteria of Futures Commission Merchants to apply for the permission certificate for concurrently engaging in futures business.

Name of the securities firm	
Business site	
Type of the engaged securities business	
Paid-in capital	
Type of the futures commission merchant	
Appropriated working capital for futures business	
Branch name	
Business site of the branch	
The Commission's approval date and No.	
Application date	MM/DD/YYYY

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Attachments	<ol style="list-style-type: none"> <li>1. Copy of the securities firm permission certificate</li> <li>2. Internal control system of futures business operation</li> <li>3. Rosters of the managers and associated person involved in futures business, and manager (including full-time manger) and associated person qualification certificates issued by Chinese National Futures Association.</li> <li>4. Statement documents to claim that the managers and associated person in futures business are not in the situations as listed in article 4 of Rules Governing the Establishment Criteria of Futures Commission Merchants, and comply with paragraph 2 of article 26 of the Rules.</li> <li>5. Certificate documents of the operating bond deposited as regulated in article 14 of Rules Governing Futures Commission Merchants.</li> <li>6. Certificate documents of the transmission equipment required for obtaining real-time market trading information and trading.</li> <li>7. Certificate documents to show the permission to engage in futures trading at futures exchanges.</li> <li>8. Certificate documents to show the requirement for clearing and settlement at futures clearing houses.</li> <li>9. The latest financial reports audited and certified by the certified public accountant. However, in the case that the financial reports attached in the application for the permission are in the same period as the latest financial reports, the latest financial reports can be exempt from submission.</li> <li>10. Certificate documents in compliance with article 6 of Rules Governing the Establishment Criteria of Futures Commission Merchants.</li> <li>11. Certificate documents in compliance with subparagraph 6 of article 24 of Rules Governing the Establishment Criteria of Futures Commission Merchants.</li> <li>12. Certificate documents in compliance with article 25 of Rules Governing the Establishment Criteria of Futures Commission Merchants.</li> <li>13. Case's check-list (table 9)</li> <li>14. Permit fee: NT\$</li> </ol>
Application securities firm: _____ (Sign or seal)	
Representative: _____ )	
(Contract person and Tel. No.:: _____ )	

Note: The application and its attachments shall be submitted in A4 paper and compiled into a volume with table of contents and page nos.