

(9) 本國證券商申請兼營期貨業務許可—案件檢查表

_____ Co., Ltd.

Chick-List of the application for the permission to concurrently engage in futures business

Table 8 For local futures commission merchants to apply for the permission to engage in futures business (applicable to the applicants who apply for the permission of their headquarters or their headquarters along with their branches to engage in futures business)

Check items	Filled by applicant				The Commission's opinion	
	Normal	Irregular	Not applicable	(page nos. to be referred to)	Yes	No
1. Are the attachment documents prepared as stated in the application form, submitted in A4 paper and compiled into a volume with table of contents and page nos. (as regulated in article 28 of Rules Governing the Establishment Criteria of Futures Commission Merchants)?						
2. Is the application form fully filled in, and does the representative of the application securities firm sign or seal it? ◦						
3. Are the qualifications in compliance with article 24 of Rules Governing the Establishment Criteria of Futures Commission Merchants?						
(1) The latest financial reports audited and certified by the certified public accountant have no accumulated loss and meet the standards regulated by the Commission in accordance with article 49 of Securities and Exchange Law.						

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(2) No warning punishment received in the latest three months from the Commission giving in accordance with subparagraph 1 of article 66 of Securities and Exchange Law.						
(3) No punishment of removing the post of the director, supervisor or manager received in the latest half year from the Commission ordering in accordance with subparagraph 2 of article 66 of Securities and Exchange Law.						
(4) No punishment of full or partial business suspension in the latest year from the Commission giving in accordance with subparagraph 3 of article 66 of Securities and Exchange Law.						
(5) No punishment of revocation of partial business permission received in the latest two years from the Commission giving in accordance with Securities and Exchange Law.						
(6) No punishment of suspending or limiting trading in the latest year from Taiwan Stock Exchange and Gre Tai Securities Market giving in accordance with their regulations.						

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(7) The adequacy ratio of the securities firm's proprietary capital is not lower than 150%						
(8) Other qualifications regulated by the Commission						
4. Is the corporate constitution or its equivalent document stated with the permission to engage in futures business without specific limitation items,						
5. Data of paid-in capital and futures division's exclusive working capital:						
(1) The legal min. paid-in capital required for engaging in securities business: NT\$____ (Type of the securities firm: _____, number of branches: _____)						
(2) Paid-in capital: NT\$ _____						
(3) Expected working capital exclusively appropriated for the futures division: NT\$ _____						
6. Is the operating plan stated with the following items: (Those who apply for their branches to concurrently engage in future business shall have the branch's operating plan included):						
(1) Futures business operating principles: Company's business philosophy,						

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sales goals, business expansion strategy and other planning details shall be described.						
(2) The risk control method of the headquarters: The Company's risk control operation of futures business shall be explained. Also, those who concurrently apply for the branch shall describe the headquarters' authorities and responsibilities.						
(3) Labor division of internal organization: The divisions that the Company plans to establish and their major functions, internal control establishment and other related items shall be explained.						
(4) Personnel recruitment and training: Explain if the personnel planned to be recruited by respective divisions and their qualifications, sources of personnel recruitment, personnel's salary and their fringe benefits, the status of personnel training and the number of associated persons are in compliance with article 9 of Rules Governing the Establishment Criteria of Futures Commission Merchants. Those who concurrently apply for the branch shall explain if the number of their associated						

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persons is in accordance with article 15 of Rules Governing the Establishment Criteria of Futures Commission Merchants, and if they all in compliance with the article 26 of Rules Governing the Establishment Criteria of Futures Commission Merchants in terms of personnel full-time employment.						
(5) Site equipment status: Explain how the business site is acquired and its space and decoration, and elaborate on expected placement of varying kinds of equipment.						
(6) Futures division's financial prediction respectively for the opening year and the following year: The sources and utilization of exclusively appropriated working capital and the possible gain or loss resulting from operating shall be thoroughly estimated, the estimated balance sheet and income statement shall be prepared, and significant accounting policies and important basic assumptions shall be listed.						
7. Are the rules to segment the risk between securities business and futures business and handle their conflict of interest stated in accordance with the						

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document no. (1997) Tai-Tsai-Zheng (5) 04549 issued by the Commission on September 19, 1997.						
8. Is the shareholders' meeting or board meeting minutes book stated with the resolution to agree to apply for concurrent operation of futures business? For those who concurrently apply for the branch, is the resolution to agree the branch to apply for concurrent operation of futures business also stated?						
9. Are director and supervisor rosters normal without irregularity?						
10. Does the amount deposited in accordance with article 27 of Governing the Establishment Criteria of Futures Commission Merchants meet the following stipulations:						
(1) Is the deposited financial institution the bank approved by the Commission for custodian business and meeting a certain level of the credit rating graded by the credit rating agency approved or recognized by the Commission?						
(2) Is the amount in compliance with the regulation, and are there no specific items stated in the attached certificate documents?						

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Responsible person::

Supervisor:

Tabulated by