

(9) 本國證券商申請兼營期貨業務許可 – 申請書範例

Application form for local securities firms to apply for the permission to concurrently engage in futures business

(Applicable to the applicants who apply for the permission for their headquarters or their headquarters along with their branches to concurrently engage in futures 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 28 of Rules Governing the Establishment Criteria of Futures Commission Merchants to apply for the permission to concurrently engage in futures business. °

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| Name of the securities firm | <input type="checkbox"/> Securities Co., Ltd. |
| Business site | Fl. ○, No. ○, Section ○, ○○ Road, ○○ City |
| Type of the engaged securities business | <input type="checkbox"/> Securities Firm 商 |
| Paid-in capital | NT\$ |
| Type of the futures commission merchant | <input type="checkbox"/> Futures Commission Merchant |
| Scheduled appropriated working capital for futures business | NT\$ |
| Branch name | <input type="checkbox"/> Branch |
| Business site of the branch | Fl. ○, No. ○, Section ○, ○○ Road, ○○ City |
| Business items | Concurrently engage in local futures and option contract brokerage business. |
| Application date | MM/DD/YYYY |

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| Attachments | <ol style="list-style-type: none">1. Corporate constitution ◦2. Operating plan: Future business operating principles, risk control method of the headquarters, labor division of internal organization, personnel recruitment and training, site equipment status, and financial prediction respectively for the opening year and the following year shall be stated.3. Rules to segment the risk between securities business and futures business and handle their conflict of interest4. Shareholders' meeting or board meeting minutes book5. Director and supervisor rosters ◦6. The latest financial reports audited and certified by the certified public accountant.7. Certificate documents in compliance with subparagraph 6 of article 24 of Rules Governing the Establishment Criteria of Futures Commission Merchants8. Certificate documents of the amount deposited in accordance with article 27 of Rules Governing the Establishment Criteria of Futures Commission Merchants9. Case's check-list |
| Application securities firm: (Sign or seal) | |
| Representative: (Contact person and Tel. No.: _____) | |

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