

Review list of securities investment consulting enterprise's establishment application (1st stage)

Note: Applicants shall honestly fill in the form without errors, careless omissions, falsification, fraud and hiding, and shall not provide any information which may mislead others. Violators will be punished subject to related statutory laws and regulations.

Name of the company applied for establishment		○○ Securities Investment Consulting Co., Ltd.				
Total paid-in capital		NT Dollars ○○ Only				
A. . Review items		Filled by the applicant			Reviewed by the Commission	
		Normal	Irregular	Remarks	Yes	No
Application document	1. Is the establishment application form filled?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Corporate constitution	2. Do the items stated in the constitution comply with article 129 of Company Law and Security Investment Trust and Consulting Act?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	3. Do the company organization and paid in capital comply with article 5 of Standards Governing the Establishment of Securities Investment Consulting Enterprises (here under referred to as "Investment Consulting Establishment Standards")?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	4. Do the business items comply with paragraph 3 of article 4 (except subparagraph 2 of paragraph 3) of Securities Investment Trust and Consulting Act?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Operating plan	Content	5. Does the content of the operating plan comply with the items listed in subparagraph 2 of paragraph 1 of article 7 of Investment Consulting Establishment Standards?				
	Labor division of internal organization	6. Is the corporate organization system proper (as attached chart)?				
		7. Are investment research and financial/accounting divisions established (as per article 6 of Investment Consulting Establishment Standards)?				
		8. Is labor division is properly made in major divisions respectively?				
9. Has the sufficient number of competent managers, division supervisors, and sales personnel meeting the qualifications defined in Regulations Governing Responsible Persons and Associated Persons of Securities Investment Consulting Enterprises been planned and deployed?						
Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		
Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		
Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		
Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		

Operating principles	10. Do the present business focal items and further development directions comply with statutory laws and regulations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Financial prediction	11. Is the prediction of financial status for the year to come reasonable ?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	12. Are sponsoring accountants placed and is accounting system set up?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Status of site facilities	13. Is the location of the business site consistent with the address planned to be registered?					
	14. Is the space of the business site sufficient in use?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	15. Is there a statement to claim the independence of the business site which is not shared with other enterprises?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	16. Is the information service equipment sufficient to meet business demands?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	17. Are other kinds of major equipment in well-rounded preparation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Personnel recruitment and training	18. Are self-discipline regulations instituted for personnel to follow?					
	19. Are recruitment standards and methods instituted in accordance with personnel's qualifications and backgrounds?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
		Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	20. Are the personnel cultivation plan and fund budget reasonable?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>

Review of the founders and their roster	21. Does the number of the founders comply with article 128 of Company Law (which shall be at least two founders, but the corporation constituted by the Government or an institutional shareholder is not limited to the number)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	22. Are names or titles, ID (passport) nos. or companies' uniform nos., addresses, companies' locations, capital contribution amounts and share subscription ratios stated in the founders' roster?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	23. Do the founders in natural person identity submit the following documents: (1) ID documents (the copies of ID cards or household certificates for local founders, and copies of passports or other equivalent documents for foreign founders). (2) Statement to claim that the founders are not in the situations as listed in paragraph 1 of article 68 of Securities Investment Trust and Consulting Act.	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	24. Do the institutional founders submit the following documents?: (1) The copies of corporate constitution and company registration certificate documents, representatives' appointment letters and appointment acceptance letters. (2) Statement to claim that the representatives or appointed representatives of the founders are not in the situations as listed in paragraph 1 of article 68 of Securities Investment Trust and consulting Act. (3) The latest year's financial reports audited and certified by the certified public accountant, director roster, supervisor roster, roster of major shareholders holding more than 3% of the company's shares, and affiliated enterprise roster.	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
	25. Is the founders' meeting minutes signed or sealed by all the founders submitted?	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Others	26. Statement of no false and hiding information for the items stated on the application form and attachments	Yes <input type="checkbox"/>	No <input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>

All founders::

((Sign or seal)

(Contact person and Tel. No:)

B. Other items required to be specifically stated (no filling from the applicant)

C. Overall review opinions (No filling from the applicant)

Person-in-charge:

Section chief:

Re-checked by:

Vice panel chief:

Panel chief: