

Documents Required to be submitted	Filled by the company				Review by the Association		Reviewed by FSC	
	Normal	Irregular	Not applicable	Remarks	Yes	No	Yes	No
<p>24. 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. (It can be exempt if the fund administration institute's registration place is recognized and announced by the R.O.C.)</p> <p>25. Certificate documents of the admission to the Association. However, those who have already been the member of the Association can be exempt from the certificate documents.</p> <p>26. The general agency's self-check list (Please refer to attachment 3 for the contents and format).</p> <p>27. Statement to claim content correctness and integration of the general agency's self-check list (Please refer to attachment 4 for the contents and format)</p>								
Other items required to be specifically stated:								
Review opinions from the Association:								
Overall review opinions from FSC:								

Application company:

Responsible person

(Sign or seal)

Notes:

1. The general agency 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.
2. The general agency whose placement and sale of other offshore funds being approved or coming into effect after declaration shall submit the copies of the documents listed in above item 2 (1).

3. The documents listed in above item 2 (2) can be exempt if they are in the same period as that of the submitted financial reports of other offshore funds approved in the latest year for placement and sale.
4. For the general agency being approved or entitled after declaration to place or sell the offshore funds managed by a same offshore fund administration institute:
 - (1) If the documents listed in above item 2 (3), 3, 4 and 34 do not have any change, they can be submitted in copy.
 - (2) If the documents listed in above item 18 (1) and (3), are same as the certificate documents of the offshore funds managed by a same offshore fund administration institute, in which the offshore funds have been approved or come into effect after declaration in the latest year for placement and sale, they can be submitted in copy..
 - (3) If the statement documents listed in above item 19 target the offshore funds approved by the Commission or coming into effect after declaration (instead of the offshore fund applied this time), they can be submitted in copy.
 - (4) The documents listed in above item 21 can be exempt if they are in the same period as that of the submitted financial reports of the offshore funds managed by a same offshore fund administration institute, in which the offshore funds have been approved in the latest year for placement and sale.
 - (5) If the documents listed in above item 23 have the same fund registration place as that of the offshore funds managed by a same offshore fund administration institute, in which the offshore funds have been approved or come into effect after declaration for placement or sale, they can be submitted in copy.
5. If the documents listed in above item 5 and 7 through 9 have no change from the submitted certificate documents or contracts of other offshore funds approved or coming into effect after declaration for placement and sale, they can be submitted in copy.
6. For the certificate document listed in the above item 7 which is submitted by the general agency for the sales institute's deposit of the operating bond, if the sales institute directly declares it to the Association without going through the general agency, the following methods can be used to replace: the sales institute shall obtain the review opinion given by the Association to show that its deposit of the operating bond, the qualification of the deposited financial institution and the custodian contract content of the operating bond are in compliance with the regulations. At the same time, the sales institute shall provide the review opinion for the general agency to submit in application.
7. For some of the sub-funds of a same umbrella fund approved or coming into effect after declaration for placement and sale, if other sub-funds are applied this time under the same umbrella fund and there is no change of the following documents, the documents can be either submitted in copy or exempt. However, the situation shall be stated in the remarks column:
 - (1) The documents which can be exempt:
 - i. The documents listed in above item 2 (1), 4, 5, 23 and 24.
 - ii. When the documents listed in above 2 (2) are in the same period as that of the submitted financial reports of the offshore fund approved in the latest year for placement and sale.
 - iii. When the documents listed in above item 14 are not the information exclusive for the fund applied this time.
 - iv. When the documents listed in above item 18 (1) and (3) are same as the submitted certificate documents of the offshore funds under a same offshore fund administration institute, in which the offshore funds have been approved or come into effect after declaration in the latest year for replacement and sale.
 - v. When the documents listed in above item 21 are in the same period as that of the submitted financial reports of the offshore fund under a same offshore administration institute, in which the offshore funds have been approved or come into effect after declaration in the latest year for placement and sale.
 - (2) The documents required to be submitted in copy:
 - i. If the documents listed in above item 2 (3) are for other offshore funds approved or coming into effect after declaration in the latest year for placement and sale.

- ii. If the documents listed in above item 3 are for the funds applied this time which are covered in the signed general agency contract.
- iii. The documents listed in above item 6 through 9.
- iv. If the statement documents listed in above item 19 and 20 are for the offshore funds under a same offshore administration institute, in which the offshore funds have been approved by the Commission or come into effect after declaration, they can be submitted in copy.