

# Application Form for License for Financial Derivatives

## Activities by the Bank

Addressee: **Banking Bureau, Financial Supervisory Commission**

Subject: Please find attached the following documents for license for the      Branch of the Bank to conduct      business.

Appendices	<p>I. Initial application involving (1) Products involving contracts derived from either exchange-traded commodities or indexes related to domestic stock or futures exchanges other than equity derivatives linked to Taiwan stocks or (2) New types of Taiwan equity-linked derivatives or (3) Non Forex-related complex high-risk products:</p> <ol style="list-style-type: none"><li>1. Application Form;</li><li>2. Statement of Compliance;</li><li>3. Meeting minutes containing a resolution adopted by the board of directors (council members) or the board of managing directors to offer such financial derivatives or documents verifying authorization from an appropriate person(s);</li><li>4. Certificate proving the working experience of or specialized training received by the personnel in charge of the said derivatives activities;</li><li>5. Business proposal:<ol style="list-style-type: none"><li>(1) product instruction;</li><li>(2) description of product characteristic;</li><li>(3) risk disclosure statement;</li></ol></li></ol> <p>II. Application for derivatives not involving products mentioned in section I or forex-related products:</p> <ol style="list-style-type: none"><li>1. Description of each product's characteristics;</li><li>2. Statement of regulatory Compliance;</li><li>3. Risk Disclosure Statement.</li></ol> <p>III. License for the CBC-licensed foreign exchange derivatives shall be applied for to the CBC. Where the product is a forex-</p>
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related complex high-risk product, the bank shall submit copies of applications to the Commission.

Application date and  
reference number

Date:

Reference number:

Applying Bank:

Representative:

(Signature/seal)

Contact person and telephone:

## **Letter of Statement**

The undersigned hereby states on behalf of the Bank that the activities  
for which the Bank is applying for license:

1. Are not against the laws and regulations of the country where the Bank was incorporated and the Constitution of Bank; and
2. Will be conducted in accordance with the provisions of the relevant laws and regulations if the Bank is licensed thereto.

Signed by:

| (Designated representative in the R.O.C.)