

大不列顛與北愛蘭聯合王國*

UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND*

台北證券交易委員會與聯合王國證券投資局間資訊交換備忘錄

MEMORANDUM ON THE EXCHANGE OF INFORMATION BETWEEN THE
SECURITIES AND INVESTMENTS BOARD OF THE UNITED KINGDOM AND
THE SECURITIES AND EXCHANGE COMMISSION IN TAIPEI

Signed on June 16, 1993
Entered into Force on June 16, 1993

1. The Securities and Investments Board of the United Kingdom ("SIB") and the Securities and Exchange Commission in Taipei ("SEC") ("the Signatories") recognise the increasing international activity in the futures and options markets of the United Kingdom and Taiwan ("derivatives markets"), and the corresponding need for mutual co-operation between the Signatories.
2. The Signatories believe that, as international participation in derivatives markets continues to grow, it becomes increasingly important to establish arrangements for the Signatories to exchange supervisory, surveillance and investigatory information in order to assist each other in securing compliance with the laws, regulations and rules of the United Kingdom and Taiwan relating to derivatives markets, to the extent permitted by the law of each country. This should serve to improve the protection of investors, to help to strengthen the adequate supervision and effective regulation of the derivatives business, to enhance the supervision of cross-border transactions in derivatives products, and to prevent fraudulent and other prohibited practices, thus protecting the integrity of the derivatives markets.
3. The Signatories agree to consider carefully each request for information from the other relating to supervision, surveillance, and investigation as described in paragraph 2 above. In order to facilitate the timely processing of requests, the Signatories agree to appoint as contact persons those designated in Appendix A.
4. This Memorandum represents an important step towards improving co-operation between the Signatories in the supervision of their respective derivatives markets. The Signatories look forward to a productive relationship, and agree in principle to negotiate in good faith additional measures relating to the exchange of information should such measures prove necessary or appropriate.

Signed this 16th day of June 1993.

[Signed]
Andrew Large
Chairman
Securities and Investments
Board of the United Kingdom

[Signed]
Linin Day
Chairman
Securities and Exchange
Commission in Taipei

Appendix A
Contact Points

■ The Securities and Investments Board:

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