

ITALIAN REPUBLIC*

MEMORANDUM OF UNDERSTANDING
ON THE EXCHANGE OF INFORMATION
BETWEEN THE SECURITIES AND
FUTURES COMMISSION IN TAIPEI AND
THE COMMISSIONE NAZIONALE PER LE
SOCIETÀ E LA BORSA IN ROME

Signed on November 5, 1997
Entered into force on November 5, 1997

1. The Securities and Futures Commission in Taipei (SFC) and the Commissione Nazionale per le Società e la Borsa in Rome (CONSOB) (hereinafter referred to as the Authorities) recognize the increasing international activities in the securities, futures and options markets and the corresponding need for mutual cooperation.
2. The Authorities considering, in the light of the increasing international activity in the securities, futures and options markets, the need for mutual cooperation and consultation in order to facilitate the performance of the tasks they are entrusted with, law or regulations in Taiwan and in Italy and to assist each other in securing compliance with laws and regulation of both jurisdiction, have reached the following Understanding in order to establish a framework for the exchange of information to the extent permitted by their domestic laws.

This should serve to improve the protection of investors, to help strengthen the adequate supervision and effective regulation of the securities, futures and options markets, to enhance the supervision of cross border transactions in securities, futures and options products, and to prevent fraudulent and other prohibited practices, thus protecting the integrity of the securities, futures and options markets.

3. This Understanding represents an important step toward improving cooperation between the Authorities in the supervision of their respective markets. The Authorities look for-

義大利共和國*

台北證券暨期貨管理委員會與
羅馬證券管理委員會資訊交換
瞭解備忘錄 (中譯本)

八十六年十一月五日簽訂
八十六年十一月五日生效

- 一、台北證券暨期貨管理委員會與羅馬證券管理委員會(以下共同簡稱為雙方當局)均體認到證券、期貨及選擇權市場日漸增加的國際活動及相互合作的需要。
- 二、雙方當局鑒於證券、期貨、選擇權市場日漸增加的國際活動，考慮相互合作與諮商的需要，以便受託在台灣或義大利執行法規任務，並相互合作，以使雙方所轄能遵行法令規範，業已達成下列共識，建立雙方國內法律所准許的資訊交換架構。
- 三、本項備忘錄代表雙方當局在改善各自市場的監管上已邁進重要一步。雙方當局期盼建設性的關係，願意考慮竭誠磋商有

ward to a productive relationship, and will give consideration to negotiating in good faith additional measures relating to the exchange of information should such measures prove necessary or appropriate.

4. This Understanding does not create binding obligations and does not modify or supersede any laws, rules or regulations in force in, or applying to, both jurisdictions.
5. The Authorities will consider carefully each request for information from the other relating to supervision and surveillance tasks as described in paragraph 2 above.

In order to facilitate the timely processing of requests, the Authorities will appoint contact points as designated in the attached Appendix.

6. This Understanding will be effective from the date of its signing by the Authorities and shall remain in force unless terminated by either Authority upon 30 days written notice to the other Authority.

IN WITNESS WHEREOF, the Undersigned, being duly authorized, have signed this Understanding.

Done in Taipei, on the 5th day of November, 1997 in duplicate in the English language.

For the Commissione Nazionale
per le Società e la Borsa
by

[Signed]
Tommaso Padoa-Schioppa
Chairman

For the Taipei Securities and
Futures Commission
by

[Signed]
Daung-yen Lu
Chairman

關資訊交換的各種必要且妥適的措施。

- 四、本項備忘錄並未建立強制義務，亦非修改或取代雙方所轄現有或適用之法令規章。

- 五、雙方當局將審慎考慮對方所提第二項所述有關監管與監視之各項資訊之請求；為即時處理各項請求，雙方當局將指定附件所列為聯絡處。

- 六、本項備忘錄自雙方當局簽署之日起生效，其效期至一方於三十天前書面通知另一方始告終止。

為此，締約雙方代表爰簽署於本備忘錄，以昭信守。

本備忘錄於西元一九九七年十一月五日在台北市簽訂，以英文各繕兩份。

羅馬證券管理委員會
主任委員

托馬索·帕都阿－休帕
〔簽名〕

台北證券暨期貨管理委員會
主任委員

呂東英〔簽名〕

APPENDIX
CONTACT POINTS

附錄
聯絡處

The Securities and Futures Commission in
Taipei:

Office of International Affairs
The Securities and Futures Commission
Ministry of Finance
85, Section I, Hsin Sheng South Road
Taipei, TAIWAN, ROC
Tel.: (886-2) 877-34161; 877-34142
Fax: (886-2) 877-34146; 877-34143

★ 台北證券暨期貨管理委員會

財政部證券暨期貨管理委員會
國際事務組
中華民國台灣省台北市新生南
路一段八十五號
電話：(八八六二)八七七-三
四一六一、八七七-三四一四
二
傳真號碼：(八八六二)八七七
-三四一四六、八七七-三四
一四三

The Commissione Nazionale per le Società e
la Borsa in Rome

Office of International Relations
Commissione Nazionale per le Società e la Borsa
Via Isonzo 19/D
00198 Roma
ITALY
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★ 羅馬證券管理委員會

證券管理委員會國際關係組
義大利羅馬市〇〇一九八依松
若、十九\ D
電話：(三九一六)八四七-七
二一六
傳真號碼：(三九一六)八四一
-六七〇三