

SWEDEN, KINGDOM OF*
 MEMORANDUM ON THE EXCHANGE OF
 INFORMATION BETWEEN THE
 SECURITIES AND FUTURES
 COMMISSION IN TAIPEI AND THE
 FINANSINSPEKTIONEN IN STOCKHOLM

Signed on November 7, 1997
 Entered into force on November 7, 1997

瑞典王國*

台北證券暨期貨管理委員會與
 斯德哥爾摩金融監理委員會資
 訊交換備忘錄（中譯本）

八十六年十一月七日簽訂
 八十六年十一月七日生效

1. The Securities and Futures Commission in Taipei and the Finansinspektionen in Stockholm ("hereinafter referred to as the Signatories") are both members of the International Organization of Securities Commissions and are both committed to the objectives of that organization. The Signatories recognize the increasing international activities in the securities and futures markets of both jurisdictions, and the corresponding need for mutual co-operation between the Signatories.
 2. The Signatories believe that, as international participation in securities and futures markets continue to grow, it has become 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 both jurisdictions relating to securities and futures markets, to the extent permitted by the law of each jurisdiction. This should serve to improve the protection of investors, to help to strengthen the adequate supervision and effective regulation of the securities and futures markets, to enhance the supervision of cross-border transactions in securities and futures markets products, and to prevent fraudulent and other prohibited practices, thus protecting the integrity of the securities and futures markets.
 3. The Signatories will 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 will appoint contact persons
- 一、台北證券暨期貨管理委員會與斯德哥爾摩金融監理委員會（以下共同簡稱為締約雙方）均為國際證券管理機構組織會員，並均致力於追求該組織之宗旨。締約雙方體認國際活動在雙方證券暨期貨市場間之成長，及互相合作之必要。
 - 二、締約雙方均確信，由於國際之參與使得證券暨期貨市場持續成長，締約雙方在彼此法律許可下，建立架構以相互交換監督、市場監視與調查資訊，裨助各自司法管轄領域內證券暨期貨市場之法律、規章及行政命令得以確實遵行，將益形重要。此一架構旨在改善對投資人之保護，裨助強化充分且有效之證券暨期貨市場業務管理，增強證券暨期貨市場跨國交易監管，以及防止舞弊及其他禁止之業務行為，以保障證券暨期貨市場之健全。
 - 三、締約雙方將審慎考慮相互提出前項有關監督、市場監視與調查之資訊之請求。為利及時處理此等請求，締約雙方將指派附錄所列人員為聯絡人。

as designated in the attached Appendix.

4. This Memorandum represents an important step toward improving cooperation between the Signatories in the supervision of their respective markets. The Signatories look forward 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.
5. The Signatories undertake to revise the present Memorandum in the light of future development in national and EC legislation and/or decisions taken by an EC or national institution. Any such revised memorandum will supersede this Memorandum, unless otherwise stated.
6. This Memorandum will take effect on the date of signature.

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

Done in Taipei on the 7th day of November, 1997 in duplicate in the English language.

For the Securities and Futures
Commission in Taipei

[Signed]
Daung-yen Lu
Chairman

For the Finansinspektionen in
Stockholm

[Signed]
Claes Norgren
Director General

[Signed]
Bernt Magnusson
Head of the Securities Market
Department

四、本備忘錄代表締約雙方就證券暨期貨市場之加強合作管理已向前邁進重要一步。締約雙方期望有利的未來關係，並將審慎考慮竭誠協商有關資訊交換所需或妥適之其他措施。

五、締約雙方得視兩國與歐洲共同市場未來之立法發展及歐洲共同市場或兩國某管理機關之決議，修改現行之備忘錄。除非另有聲明，修改後之備忘錄將取代現行之備忘錄。

六、本備忘錄將自雙方簽署之日起生效。

為此，締約雙方爰於本備忘錄簽字，以昭信守。

公曆一九九七年十一月七日於
臺灣臺北簽訂，本備忘錄以英文共
繕兩份。

台北證券暨期貨管理委員會
主任委員

呂東英〔簽名〕

斯德哥爾摩金融監理委員會
主任委員

克雷斯、諾格仁〔簽名〕

證券市場部主任
伯恩特·美格努森〔簽名〕

APPENDIX

CONTACT POINTS

The Securities and Futures Commission in
Taipei:

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Securities and Futures Commission
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Tel: 886-2-877-34161; 877-34142
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The Finansinspektionen in Stockholm:

Mr. Bernt Magnusson
Securities Market Department
Finansinspektionen
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附錄

聯絡處

★台北證券暨期貨管理委員會

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一四三

★斯德哥爾摩金融監理委員會

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