

# 證券投資信託業 FATCA 註冊情形統計彙整表

## List of FATCA Status and GIIN of SITE

公告依據：依金融監督管理委員會證券期貨局 103 年 6 月 30 日證期（券）字第 1030025365 號函辦理。

更新日期：106.5.12

序號 No.	金融機構名稱(註 1) Name of Financial Institution	金融機構 FATCA 狀態(註 2) FATCA Status of Financial Institution	全球中介機構識別碼 Global Intermediary Identification Number (GIIN)
A0001	兆豐國際投信 Mega International Investment Trust Co., Ltd.	我國未來若與美國簽署 Model 2 IGA，則 FATCA 狀況屬「在模式二下 應申報的外國金融機構」。	EM3R16.00009.ME.158
A0003	第一金投信 First Securities Investment Trust Co., Ltd.	3. 有簽署協議的外國金融機構 (IGA 簽署後，將成為類別 5-Reporting Model 2 FFI)	X8K3HM.00003.ME.158
A0004	匯豐中華投信 HSBC Global Asset Management (Taiwan) Limited	3. Participating FFI	OSZ808.00014.ME.158
A0005	元大寶來投信 Yuanta Securities Investment Trust Co., Ltd.	3. Participating FFI	6LSW4S.00006.ME.158
A0006	景順投信 Invesco Taiwan Limited	5. Reporting Model 2 FFI	K6CP8D.00011.ME.158
A0007	瀚亞投信 Eastspring Securities Investment Trust Co. Ltd.	3 Participating FFI	IBT87I.00058.ME.158
A0008	保德信投信 Prudential Financial Securities Investment Trust Enterprise	3. Participating FFI	OX0NN3.00043.ME.158
A0009	統一投信 Uni-President Assets Management Corp.	5. Reporting Model 2 FFI	XIEDK5.99999.SL.158
A0010	富邦投信 Fubon Asset Management Co., Ltd.	3. 有簽署協議的外國金融機構	YJQ66V.00018.ME.158
A0011	摩根投信 JPMorgan Asset Management (Taiwan)	3. 有簽署協議的外國金融機構	H8JE86.00072.ME.158

	Limited		
A0012	華南永昌投信 Hua Nan Investment Trust Corp.	5. Reporting Model 2 FFI	6YCW5X.00019.ME.158
A0014	新光投信 Shin Kong Investment Trust Co., Ltd.	3.有簽署協議的外國金融機構	P498XJ.00003.ME.158
A0015	瑞銀投信 UBS Global Asset Management ( Taiwan ) Ltd.	3 & 5 Participating Financial Institution not covered by an IGA; or a Reporting Financial Institution under a Model 2 IGA Note: 在 IRS 登記時這兩類歸屬同一選項	N2CIOB.00227.ME.158
A0016	群益投信 Capital Investment Trust Corp.	3. 有簽署協議的外國金融機構	TMCYJQ.99999.SL.158
A0017	德信投信 Reliance Securities Investment Trust Co.,Ltd	3. 有簽署協議的外國金融機構	LVHZDL.99999.SL.158
A0018	聯博投信 AllianceBernstein Investments Taiwan Limited	Participating FI not covered by an IGA or a reporting FI under a Model 2 IGA	7Y8WJV.99999.SL.158
A0020	日盛投信 Jih Sun Securities Investment Trust Co.,Ltd.	5. 在模式二下應申報的外國金融機構	ED85CN.99999.SL.158
A0021	柏瑞投信 PineBridge Investments Management Taiwan Limited	Participating FFI (我國若與美國簽署 Model 2 IGA · 則屬「Reporting Model 2 FFI」)	ECCG18.99999.SL.158
A0022	復華投信 Fuh Hwa Securities Investment Trust Co., Ltd.	3. 有簽署協議的外國金融機構	2MMNTK.00000.LE.158
A0025	永豐投信 SinoPac Securities Investment Trust Co.,Ltd.	3. 有簽署協議的外國金融機構	D7JSA3.00003.ME.158
A0026	中國信託投信 CTBC Investments Co., Ltd.	3. 有簽署協議的外國金融機構	YKCW96.00007.ME.158
A0027	宏利投信	公司 : 5. 在模式二下應申報的外國	R2S40P.00030.ME.158

	Manulife Asset Management (Taiwan) Co., Limited	金融機構	
A0031	貝萊德投信 Blackrock Investment Management (Taiwan) Limited	Registered as a sponsoring entity	ZQ9JJE.00000.SP.158
A0032	野村投信 Nomura Asset Management Taiwan Ltd.	3. 有簽署協議的外國金融機構	NZJEI2.000I2.ME.158
A0033	聯邦投信 Union Securities Investment Trust Co., Ltd.	5. Reporting Model 2 FFI	LSIXJ5.99999.SL.158
A0035	未來資產投信 Mirae Asset Global Investments (Taiwan)	5. Reporting Model 2 FFI	5GGTAM.99999.SL.158
A0036	德盛安聯投信 Allianz Global Investors Taiwan Ltd.	3. Participating FFI	ZAYJZP.00111.ME.158
A0037	國泰投信 Cathay Securities Investment Trust Co.,Ltd.	3. Participating FFI	WL8XG6.00005.ME.158
A0038	富達投信 FIL Securities Investment Trust Co.(Taiwan) Limited	5. Reporting Model 2 FFI	C4AITT.00055.ME.158
A0040	德銀遠東投信 Deutsche Far Eastern Asset Management Company Limited	3. PFFI	3MFZ8R.00089.ME.158
A0041	凱基投信 KGI Securities Investment Trust Co. Ltd.	3. 有簽署協議的外國金融機構	RK40B5.00018.ME.158
A0042	施羅德投信 Schroder Investment Management (Taiwan )Limited	3. 有簽署協議的外國金融機構	9I88MH.00058.ME.158
A0043	華頓投信 Paradigm Asset Management Co. Ltd.	5. Reporting Model 2 FFI	AI7B2K.00005.ME.158
A0044	惠理康和投信 Value Partners Concord Asset Management Co., Ltd.	5. 在模式二下應申報的外國金融 機構	DS5GLV.99999.SL.158

A0045	富蘭克林華美投信 Franklin Templeton SinoAm Securities Investment Management Inc.	3. 有簽署協議的外國金融機構	VGI2IJ.99999.SL.158
A0047	台新投信 Taishin Securitates Investment Trust Co.,Ltd.	3. Participating FFI	AUS7J4.00000.SP.158
A0048	合庫巴黎投信 Taiwan Cooperative Securities Investment Trust Co., Ltd.	3. PFFI	RB833D.00005.ME.158
A0049	大華銀證券投資信託股份有限公司 UOB Asset Management (Taiwan) Co Ltd.	Reporting Model 2 FFI	BTGAT6.00076.ME.158
A0050	路博邁投信 Neuberger Berman Taiwan (SITE) Limited	5.Reporting Model II FFI	U3IM89.99999.SL.158

## 證券投資顧問業 FATCA 註冊情形統計彙整表 List of FATCA Status and GIIN of SICEs

公告依據：依金融監督管理委員會證券期貨局 103 年 6 月 30 日證期（券）字第 1030025365 號函辦理。

更新日期：106.2.24

會員編號	金融機構名稱(註 1) Name of Financial Institution	金融機構 FATCA 狀態(註 2) FATCA Status of Financial Institution	全球中介機構識別碼 Global Intermediary Identification Number (GIIN)
B0015	康和投顧 Concord Capital Management Corp.	Participating FFI	TT8PFM.00006.ME.158
B0011	元大投顧 Yuanta Securities Invest Consulting Co.	Reporting Model 2 FFI	6LSW4S.00007.ME.158
B0029	富蘭克林投顧 Franklin Templeton Securities Investment Consulting (SinoAm) Inc.	Participating FFI	DZEVWB.99999.SL.158
B0034	萬寶投顧 Marbo Securities Consultant Co., Ltd.	Reporting Model 2 FFI	L49FHA.99999.SL.158
B0044	宏遠投顧 Horizon Securities Investment Consultant Co., Ltd.	REPORTING MODEL II FFI	WBM054.00004.ME.158
B0047	永豐投顧 Sinopac Securities Investment Service Corporation	Participating FFI	D7JSA3.00011.ME.158
B0049	法銀巴黎投顧 BNP Paribas Investment Partners Taiwan Co.,Ltd	Participating FFI	1G159I.00033.ME.158
B0063	安睿投顧 Sinopro Financial Planning Taiwan Limited	Investment advisors and investment managers	B7RIJY.00002,ME.158
B0066	大華銀投顧 UOB Investment Advisor Taiwan Ltd.	Reporting Model 2 FFI	BTGAT6.00065.ME.158
B0157	大昌投顧 DAH CHANG SECURITIES INVESTMENT CONSULTANT CO.,LTD.	有簽署協議的外國金融機構 Participating FFI	XKACEV.00002.ME.158
B0233	先鋒投顧 Ezfund Securities Investment Consulting Enterprise Ltd.	Registered Deemed-Compliant FFI	D27LEI.99999.SL.158
B0282	鉅亨網投顧 FundsYES Investment Advisors Co.,	Participating FFI	K5007X.99999.SL.158

	Ltd.		
B0312	安本投顧 Aberdeen International Securities Investment Consulting Company Limited	Registered deemed-compliant FFI	N3BY5Q.00048.ME.158
B0313	富盛投顧 Capital Gateway Securities Investment Consulting Enterprise	Participating FFI	R10ML1.99999.SL.158
B0320	容海國際投顧 RoundHigh International Asset Management Co. Ltd.	Registered deemed-compliant FFI	YBJB2Y.99999.SL.158
B0325	瑞邦投顧 Rich Union Investment Consulting Corp.	Participating FFI	G195GP.99999.SL.158
B0333	核聚投顧 Core Securities Investment Consulting Co., Ltd.	Reporting Model 2 FFI	DPH06D.99999.SL.158

註 1：金融機構名稱請併列中文及英文。

註 2：「金融機構 FATCA 狀態」欄位請依下表「FATCA Status」乙欄之文字填列：

序號	FATCA 狀態	FATCA Status
1	排除適用 FATCA 申報規定之美國人士	U.S. person exempts from FATCA reporting
2	未簽署協議的外國金融機構	Nonparticipating FFI
3	有簽署協議的外國金融機構	Participating FFI
4	在模式一下應申報的外國金融機構	Reporting Model 1 FFI
5	在模式二下應申報的外國金融機構	Reporting Model 2 FFI
6	註冊視同合規的外國金融機構	Registered deemed-compliant FFI
7	不具 GIIN 之受贊助的外國金融機構	Sponsored FFI that has not obtained a GIIN
8	非註冊本地銀行	Certified deemed-compliant nonregistering local bank
9	僅具低價值帳戶的外國金融機構	Certified deemed-compliant FFI with only low-value accounts
10	受贊助且被緊密持有的投資工具	Certified deemed-compliant sponsored, closely held investment vehicle
11	暫時性的債權投資法人	Certified deemed-compliant limited life debt investment company
12	投資顧問及投資經理人	Investment advisors and investment managers
13	已提供所有人資訊的外國金融機構	Owner-documented FFI

14	受限制的通路商	Restricted distributor
15	在跨政府協議下免申報的外國金融機構	Nonreporting IGA FFI
16	豁免的退休基金	Exempt retirement funds
17	由免受扣繳的最終受益人完全持有之法人	Entity wholly owned by exempt beneficial owners
18	美國屬地金融機構	Territory financial institution