



- Accountability
- Caring
- Activism



*Yi-Fen Tsai, Esq.*  
E-mail : [yftsai@atslaw.com.tw](mailto:yftsai@atslaw.com.tw)

## Current Position

Associate, Aequitas Law Firm

## Education

- M.B.A. (Accounting), National Chengchi University

## Experiences

- Legal and Audit Manager, Taipei Exchange
- Supervisor, Audit and International Taxation Departments, Deloitte
- Lawyer, Legal Aid Foundation

## Certification

- Bar Admission – Taiwan
- Licensed Certified Public Accountant (CPA)
- Passed Chartered Financial Analyst (CFA) Level II
- Licensed Certified Internal Auditor (CIA)
- Licensed Futures Trader, Republic of China (Taiwan)
- Licensed Senior Securities Specialist, Republic of China (Taiwan)
- Fintech Investment Trading and Risk Management, 2018 GoPro Training Program Completion Certificate, Securities & Futures Institute
- Information Security Management System/Lead Auditor Training Course Completion Certificate, ISO/IEC 27001:2013, British Standards Institution
- Personal Information Management System/Lead Auditor Training Course Completion Certificate, BS 10012:2009, British Standards Institution

## Professional Specialties

Advisory services in the areas of Taiwan Stock Exchange and Taipei Exchange listing, and capital market related regulations; practical financial and legal experiences regarding Company Act, Securities and Exchange Act, Mergers and Acquisitions Laws and Regulations; civil and criminal cases.

## Project Experiences

- Applying for listing & filing for an initial public offering.
- Seasoning Public Offering (SPO) and bond issuance for listed companies.
- Handling breach of trust, financial statement deceptions, and non-arm's length transactions...etc. among corporate director or manager of listed companies in Taiwan.
- Corporate Governance, Corporate Social Responsibility (CSR) and Environmental, Social and Governance (ESG) consultation.
- Design and compliance of internal control system as well as internal audit system.
- Company disputes resolution.
- Acquisition and merger.
- Tax planning.
- Legal research.
- Contracts drafting and review.
- Provision of legal opinions.
- Corporate legal consultation.
- Litigation.
- Settlement of financial disputes.
- Debt clearance related negotiation, rehabilitation and liquidation for consumers.

