



## I. Important Announcements ([Chinese](#))

### 1. To strengthen management of the operations of securities firms and futures commission merchants and strengthen corporate governance, the Financial Supervisory Commission (FSC) amended the Regulations Governing Responsible Persons and Associated Persons of Securities Firms and the Regulations Governing Responsible Persons and Associated Persons of Futures Commission Merchants. Key points of the amendments are as follows: (2022/10/28)

- (1) To strengthen management of the operations of securities firms and futures commission merchants (FCMs) and enhance the professional abilities of the chairman of the board, the amended regulations require that the chairman has good moral character and effective leadership and management capabilities and has a certain level of education and relevant work experience at securities, futures, or financial institutions.
- (2) To strengthen corporate governance, the amendment places on the board of directors the responsibility of selecting and supervising managers and supervising the company to implement the accountability of managers and establish related systems.
- (3) To prevent the responsible persons of securities firms and FCMs from holding concurrent positions that could detract from the effective performance of their duties or cause conflicts of interest, the amendment adds self-regulatory provisions requiring securities firms and futures commission merchants to regularly assess their responsible persons' holding of concurrent positions and determine whether changes should be made thereto.
- (4) To control conflicts of interest arising from persons holding concurrent positions at different financial institutions, the subjects regulated by non-competition provisions are expanded from the responsible persons themselves including their related parties.

### 2. FSC relaxes the Directions on the Conduct of Wealth Management Business by Securities Firms and allows firms to provide and execute asset allocation for money and securities by means of a trust, and requires securities firms to

### **establish internal accountability systems (2022/10/27)**

To enhance the services offered by securities firms concurrently operating trust business and to facilitate greater participation in trust business by securities firms, the FSC amended certain provisions of the Directions for the Conduct of Wealth Management Business by Securities Firms on 7 November 2022. The amendment eases the former restriction under which securities firms were permitted only to provide simple investment trust products for customers, to the extent that securities firms now are allowed to provide and execute various trust products under money and securities trusts according to the needs of their clients. On the same day, the FSC also amended the Q&A of the Directions for the Conduct of Wealth Management Business by Securities Firms, simplifying relevant application procedures and requiring securities firms conducting trust business to introduce accountability systems. When necessary (e.g., when an examination report reveals deficiencies, or when there is a spike in customer complaint cases), the FSC may require the head of a securities firm's department handling trust and wealth management business to come to the FSC's office for an interview. Furthermore, in the event of a breach by a securities firm, the persons responsible will be held accountable in order to strengthen corporate governance and the implementation of the internal control system.

### **3. Information on the competitiveness of Taiwan's financial industry is available online at:**

<https://www.fsc.gov.tw/en/home.jsp?id=6&parentpath=0>

## **II. Market Wrap-up**

As of the end of Oct. 2022, the total number of TWSE-listed companies stood at 968, the same as the preceding month. Authorized capital was NT\$ 7,474.8 billion, a decrease of NT\$ 6.4 billion over the preceding month. Market capitalization was NT\$ 40,478.4 billion, a decrease of NT\$ 1,495.9 billion over the preceding month.

There were 801 TPEx-listed companies, an increase of 2 over the preceding month. Authorized capital was NT\$ 776.4 billion, a decrease of NT\$ 3.6 billion over the preceding month. Market capitalization was NT\$ 4,055.3 billion, a decrease of NT\$ 217.1 billion over the preceding month.

The total trading value in the centralized stock market was NT\$ 3,554.7 billion, a decrease of NT\$ 360.7 billion over the preceding month. The trading volume was 51.3 billion shares, a decrease of 8.1 billion shares over the preceding month. The net value of inwardly remitted foreign funds was US\$ 207.6 billion, an increase of US\$ 4.6 billion over the preceding month.

There were 61 securities firms, 15 futures commission merchants, 39 securities investment trust companies, and 86 securities investment consulting companies.

**III. For measures related to futures trading, please refer to the website of the Taiwan Futures Exchange:**

<https://www.taifex.com.tw/enl/eIndex>

**IV. For frequently asked questions and answers related to investment by foreign investors, please refer to the website of the Securities and Futures Bureau:**

<https://www.sfb.gov.tw/en/home.jsp?id=26&parentpath=0,9>

Note: If you expect to receive this newsletter, or have your name deleted from the sending list, or have your email information changed, please send to newsletter1 [newsletter1@sfb.gov.tw](mailto:newsletter1@sfb.gov.tw). If you hope to know more about the Taiwan's securities and futures markets, please surf the websites of Securities and Futures Bureau, Taiwan Stock Exchange, Taiwan Futures Exchange, Taipei Exchange, Taiwan Depository & Clearing Corporation.

Disclaimer: The SFB did its utmost to ensure that the information in newsletter is complete and true. All materials on this newsletter are for general information only. They are not legal or other professional advice and shall not be relied on as such. The SFB and its employees do not warrant the accuracy and completeness of the materials and disclaim all liabilities for eventual loss or damage. Links to external websites are provided purely for convenience. The SFB has no control over the websites and does not assume any responsibility for their contents. Inclusion in this website of any document from a third party or the provision of links does not constitute endorsement of the contents.

Copyright Notice: Copyright protected materials on this newsletter shall not be used for commercial purposes. The SFB permits accurate reproduction of the materials for non-commercial use. When third party copyright is involved, permission for reproduction must be obtained direct from the appropriate copyright owner.



## 金管會證期局第二百二〇期新聞信

[top](#)

### 壹、重要公告

一、 有關為加強對證券商、期貨商經營之管理及落實公司治理，修正「證券商負責人與業務人員管理規則」及「期貨商負責人及業務員管理規則」一案，相關修正重點如下(發布日期 111 年 10 月 28 日)

- (一)為加強對證券期貨商之經營管理，確保董事長具備專業能力，明定董事長應具備良好品德、有效領導及經營證券期貨商之能力，並應具備一定學歷與相關證券、期貨及金融機構工作經驗。
- (二)為落實公司治理，增訂董事會負有選任及監督經理人之職責，且應督導公司落實經理人之問責並建立相關制度。
- (三)為避免負責人因兼任其他職務之行為，影響本職有效執行或造成利益衝突，增訂對證券商、期貨商負責人兼任行為考核之自律管理規定。
- (四)為落實金融機構間兼任之利益衝突控管，將證券商、期貨商負責人競業禁止規範之主體，由負責人本人擴充至其關係人。

二、 有關放寬證券商以信託方式辦理財富管理業務，得提供及執行金錢及有價證券信託項下之各種信託商品，並要求證券商應建立內部問責制度(發布日期：111 年 10 月 27 日)

為提升證券商兼營信託業務之服務功能，並利證券商參與信託業務之發展，本會 111 年 11 月 7 日修正「證券商辦理財富管理業務應注意事項」部分規定，將原證券商兼營金錢信託及有價證券信託業務僅得提供客戶投資理財型信託商品之限制，放寬至證券商得依客戶所需，提供及執行金錢及有價證券信託項下之各種信託商品。另同日併同修正財富管理應注意事項問答集，簡化相關申請程序，以及

要求證券商辦理信託業務應導入問責制度，本會於必要時（如：檢查報告列有缺失、客訴案件大幅增加等），得請負責信託財管業務之專責部門主管到局面談，並於證券商發生違失時，對該當之人予以問責，以強化公司治理及落實內部控制制度。

### 三、有關我國金融競爭力相關資訊可參考金管會金融競爭力專區網站：

<http://www.fsc.gov.tw/ch/home.jsp?id=146&parentpath=0,8>

### 貳、重要指標

截至 2022 年 10 月底止，上市公司計有 968 家，較上月增加 0 家；資本額新臺幣 74,748.1 億元，較上月減少新臺幣 63.5 億元；上市市值新臺幣 404,784.2 億元，較上月減少新臺幣 14,959.4 億元。

上櫃公司計有 801 家，較上月增加 2 家；資本額新臺幣 7,764.4 億元，較上月減少新臺幣 35.8 億元；上櫃市值新臺幣 40,553.4 億元，較上月減少新臺幣 2,171.1 億元。

集中市場股票總成交值新臺幣 35546.9 億元，較上月減少新臺幣 3606.6 億元；成交量 513.1 億股，較上月減少 81.4 億股。外資總累積匯入淨額 2075.51 億美元，較上月增加 4.63 億美元。

專營證券商計 61 家，專營期貨商計 15 家，證券投資信託公司計 39 家，證券投資顧問公司計 86 家。

### 參、交易人從事期貨交易相關措施請參考臺灣期貨交易所網站

<http://www.taifex.com.tw/cht/index>

### 肆、外資投資相關問答集請參考證券期貨局網站

<http://www.sfb.gov.tw/ch/home.jsp?id=30&parentpath=0,6>

2022-10 Updated