



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

### **1. FSC Issues a directive Regarding Offshore Fund Types, Scopes, and Restrictions based on Article 23, Paragraph 1, Subparagraph 9 of the Regulations Governing Offshore Funds**

To balance the development and supervision of onshore and offshore funds, the Financial Supervisory Commission on 3 October 2023 issued a directive relating to offshore fund types, scopes, and restrictions under Article 23, paragraph 1, subparagraph 9 of the Regulations Governing Offshore Funds. The directive applies to offshore fund that are launched after this directive has taken effect.. The directive additionally specifies that an offshore fund institution that has applied and been recognized by the FSC in accordance with the "Incentive Policy for Offshore Fund Development in Taiwan", it is eligible for the incentive measures provided under the Policy, and not subject to the provisions regarding the types, scope, and restrictions of offshore funds that are set out in this directive.

### **2. FSC Issues Interpretive Order Regarding Securities Investment Trust Fund Distributors Under Article 19, Paragraph 1 of the Regulations Governing the Public Offering of Securities Investment Trust Funds by SITEs**

Considering that when securities investment trust enterprises (SITEs) that concurrently operate securities investment consulting business offer securities investment consulting services using automated tools ("robo-advisor" services), there is a demand by such SITEs to distribute funds managed by other SITEs, the FSC on 3 October 2023 issued an interpretive order relating to securities investment trust fund distributors under Article 19, paragraph 1 of the Regulations Governing the Public Offering of Securities Investment Trust Funds by Securities Investment Trust Enterprises. The order states that SITEs that concurrently operate securities investment consulting business and furthermore offer securities investment consulting services using automated tools may serve as securities investment trust fund distributors.

### **3. FSC Issues Order Regarding the Types of Business the Competent Authority Permits to Be Operated Under Article 3, Paragraph 3, Subparagraph 3 And Article 4, Paragraph 3, Subparagraph 3 of the Securities Investment Trust and Consulting Act**

To expressly permit securities investment trust enterprises (SITEs) and securities investment consulting enterprises (SICEs) to provide services involving the use of decision-making power and services involving executing transactions on clients' behalf, and to set out related compliance requirements, the FSC on 26 October 2023 issued an order regarding the types of business the competent authority permits to be operated under Article 3, paragraph 3, subparagraph 3 and Article 4, paragraph 3, subparagraph 3 of the Securities Investment Trust and Consulting Act. The order provides that a SITE or SICE that is licensed to operate discretionary investment business may submit relevant documents to apply to operate business involving the use of decision-making power and business involving executing transactions on clients' behalf and must follow relevant compliance requirements when operating such business. SITEs and SICEs that currently are already operating such business must retroactively file an application for approval within 6 months.

### **4. 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 October 2023, the total number of TWSE listed companies stood at 986, an increase of 3 over the preceding month. Authorized capital was NT\$7,617.41 billion, an increase of NT\$6.93 billion over the preceding month. Market capitalization was NT\$50,464.09 billion, a increase of NT\$1,002.99 billion over the preceding month.

There were 813 TPEX listed companies, a decrease of 1 over the preceding month. Authorized capital was NT\$756.89 billion, an increase of NT\$1 billion over the preceding month. Total TPEX market capitalization was NT\$5,244.87 billion, a decrease of NT\$78.42 billion over the preceding month.

The total value of stock trades on the centralized market was NT\$4,970.44 billion, a decrease of NT\$10.76 billion over the preceding month. The volume of trading was 55.89 billion shares, a decrease of 0.63 billion shares over the preceding month. The net value of inwardly remitted foreign funds was US\$225.56 billion, a decrease of US\$1.02 billion over the preceding month.

There were a total of 65 securities firms. There were 15 enterprises exclusively engaged in futures commission merchant business, 38 investment trust companies, and 87 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.



## 金管會證期局第二百三十二期新聞信

[top](#)

### 壹、重要公告

#### 一、發布境外基金管理辦法第 23 條第 1 項第 9 款有關境外基金之種類、運用範圍及限制之解釋令

為衡平境內外基金之發展與監理，金管會於 112 年 10 月 3 日發布境外基金管理辦法第 23 條第 1 項第 9 款有關境外基金之種類、運用範圍及限制之解釋令，並適用於本令生效後之境外基金申請(報)案件。另境外基金機構依鼓勵境外基金深耕計畫向金管會申請並經認可者，得適用鼓勵境外基金深耕計畫優惠措施，不受本令基金種類、運用範圍及限制之規定。

#### 二、發布證券投資信託事業募集證券投資信託基金處理準則第 19 條第 1 項有關證券投資信託基金銷售機構之解釋令

考量兼營證券投資顧問業務之證券投資信託事業以自動化工具提供證券投資顧問業務時，有銷售其他證券投資信託事業所經理基金之需求，金管會於 112 年 10 月 3 日發布證券投資信託事業募集證券投資信託基金處理準則第 19 條第 1 項有關證券投資信託基金銷售機構之解釋令，核定證券投資信託事業兼營證券投資顧問業務，並以自動化工具提供證券投資顧問服務者，得擔任證券投資信託基金之銷售機構。

#### 三、發布有關證券投資信託及顧問法第 3 條第 3 項第 3 款及第 4 條第 3 項第 3 款規定經主管機關核准得經營之業務之令

為明定投信投顧事業得辦理具運用決定權業務及代客戶執行交易業務，並規範其應遵循事項，金管會於 112 年 10 月 26 日發布有關證券投資信託及顧問法第 3 條第 3 項第 3 款及第 4 條第 3 項第 3 款規定經主管機關核准得經營之業務種類之令，規範得經營全權委託投資業務之投信投顧事業，得檢具書件申請辦理具運用決定權相關業務及代客戶執行交易業務，並應依相關應遵循之事項辦理；現行已辦理相關業務之投信投顧事業，應於 6 個月內補申請核准。

四、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 2023 年 10 月底止，上市公司計有 986 家，較上月增加 3 家；資本額新臺幣 76,174.1 億元，較上月增加新臺幣 69.3 億元；上市市值新臺幣 504,640.9 億元，較上月增加新臺幣 10,029.9 億元。

上櫃公司計有 813 家，較上月減少 1 家；資本額新臺幣 7,568.9 億元，較上月增加新臺幣 10 億元；上櫃市值新臺幣 52,448.7 億元，較上月減少新臺幣 784.2 億元。

集中市場股票總成交值新臺幣 49,704.43 億元，較上月減少新臺幣 107.61 億元；成交量 558.92 億股，較上月減少 6.27 億股。外資總累積匯入淨額 2,255.54 億美元，較上月減少 10.19 億美元。

專營證券商計 65 家，專營期貨商計 15 家，證券投資信託公司計 38 家，證券投資顧問公司計 87 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>

2023-10 Updated