



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

1. Securities Investment Consulting Enterprises Permitted to Invest in Securities Investment Trust Funds as Nominees for Investors

To diversify the operations of securities investment consulting enterprises, the FSC on May 10th, 2018, pursuant to Article 24, paragraph 1 of the Regulations Governing the Public Offering of Securities Investment Trust Funds by Securities Investment Trust Enterprises, gave approval for securities investment consulting enterprises that serve as distributors for securities investment trust funds and handle payments and receipts of funds through a segregated account at a bank designated by the centralized securities depository enterprises, to subscribe to securities investment trust funds as nominees for investors.

Before conducting the business described above, a securities investment consulting enterprise is required to obtain the investor's consent in advance, and to sign an agreement with the Taiwan Depository and Clearing Corporation regarding information transmission services and payments and receipts. It's also required to have comprehensive internal management and risk control mechanisms in place and ensure they are strictly implemented.

2. Amendments to the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets

On May 30th, 2018, the FSC introduced amendments to the Regulations to require service enterprises in securities and futures markets to establish whistleblower programs, increase the completeness of corporate groups' anti-money laundering and combating the financing of terrorism (AML/CFT) activities, and enhance their information security mechanism.

3. Amendments to the Checklists for Securities Firms' Financial Reports

In response to the adoption of IFRS 9 "Financial Instruments" and IFRS 15 "Revenue from Contracts with Customers" in 2018, the FSC issued relevant amendments to the Regulations Governing the Preparation of Financial Reports by Securities Firms for application from fiscal year 2018 on September 14th, 2017. Also, to be in line with the

application of Auditing Standard No. 65 “Review of Financial Information Performed by the Independent Auditor of the Entity” for reviews beginning with the first quarter of 2018, on April 27th, 2018, the FSC issued amendments to the checklists for securities firms' annual (semi-annual) and quarterly financial reports, which are applicable to the filing of the first quarter of financial reports starting from fiscal year 2018. As a consequence, the FSC Order No. Financial-Supervisory-Securities-Firms-1060005694 issued on March 10th, 2017 was repealed.

4. Information on the competitiveness of Taiwan's financial industry is available online in English at: Taiwan's International Financial Competitiveness (<http://event.fsc.gov.tw/fsd/CompetitivenessFront.asp?LANG=E>)

II. Market Wrap-up

As of the end of April 2018, the total number of TWSE listed companies stood at 915, an increase of 1 over the preceding month. Authorized capital was NT\$ 7,079.34 billion, a decrease of NT\$ 67.42 billion over the preceding month. Market capitalization was NT\$ 31,872.76 billion, a decrease over the preceding month of NT\$ 875.72 billion.

There were 756 TPEX listed companies, an increase of 4 over the preceding month. Authorized capital was NT\$ 732.89 billion, an increase of NT\$ 5.01 billion from the preceding month. Market capitalization was NT\$ 3,366.84 billion, a decrease of NT\$ 128.15 billion from the preceding month.

The total value of stock trades on the centralized market was NT\$ 2,240.19 billion, a decrease of NT\$ 364.95 billion from the preceding month. The volume of trading was 44.46 billion shares, a decrease of 9.28 billion from the preceding month. The net value of inwardly remitted foreign funds was US\$ 207.751 billion, a decrease of US\$ 3.568 billion from the preceding month.

There were a total of 65 securities firms. There were 15 enterprises exclusively engaged in futures commission merchant business, 39 investment trust companies, and 81 investment consulting companies.

III. Measures related to futures trading, please refer to the website of Taiwan Futures Exchange (http://www.taifex.com.tw/eng/eng_home.htm)

IV. For frequently asked questions and answers related to investment by foreign investors, please refer to the website of the Securities and Futures Bureau: <http://www.sfb.gov.tw/ch/home.jsp?id=30&parentpath=0,6>

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 newsletter@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 Securities Central Depository](#).

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金管會證期局第一百六十七期新聞信

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壹、重要公告

一、放寬證券投資顧問事業得以自己名義為投資人申購證券投資信託基金

為多元化證券投資顧問事業之業務經營模式，金管會於 107 年 5 月 10 日依據證券投資信託事業募集證券投資信託基金處理準則第 24 條第 1 項規定，核准證券投資顧問事業擔任證券投資信託基金銷售機構，透過證券集中保管事業指定之銀行專戶辦理款項收付者，得以自己名義為投資人申購證券投資信託基金。

證券投資顧問事業辦理上開業務，應先經投資人同意，並應與臺灣集中保管結算所股份有限公司簽訂有關資訊傳輸服務及款項收付之契約，亦應訂定完善之內部管理及風險控管機制，確實執行。

二、發布修正「證券暨期貨市場各服務事業建立內部控制制度處理準則」

金管會於 107 年 5 月 30 日公布修正旨揭處理準則部分條文，期使各服務事業建立其內部檢舉制度、周延集團層次防制洗錢及打擊資恐計畫之對象，以及強化資訊安全機制。

三、發布證券商財務報告公告申報檢查表之令

配合我國於 107 年適用 IFRS 9「金融工具」及 IFRS 15「客戶合約之收入」，金管會前於 106 年 9 月 14 日修正發布證券商財務報告編製準則並自 107 會計年度起適用，另審計準則公報第 65 號「財務報表之核閱」將於 107 年第 1 季財務報告核閱工作開始適用，金管會參酌前揭規定，於 107 年 4 月 27 日修正發布「證券商年度(半年度)財務報告公告申報檢查表」及「證券商季財務報告公告申報檢查表」，自證券商申報 107 年度第 1 季財務報告開始適用，並廢止 106 年 3 月 10 日金管證券字第 1060005694 號令。

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 2018 年 4 月底止，上市公司計有 915 家，較上月增加 1 家；資本額新臺幣 70,793.4 億元，較上月減少新臺幣 674.2 億元；上市市值新臺幣 318,727.6 億元，較上月減少新臺幣 8,757.2 億元。

上櫃公司計有 756 家，較上月增加 4 家；資本額新臺幣 7,328.9 億元，較上月增加新臺幣 50.1 億元；上櫃市值新臺幣 33,668.4 億元，較上月減少新臺幣 1,281.5 億元。

集中市場股票總成交值新臺幣 22,401.9 億元，較上月減少新臺幣 3,649.5 億元；成交量 444.6 億股，較上月減少 92.8 億股。外資總累積匯入淨額 2,077.51 億美元，較上月減少 35.68 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 39 家，證券投資顧問公司計 81 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/chinese/home.htm>

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>

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