

The Financial Regulatory Directory

Entry	Regulatory name
1	<u>The Organizational law of Financial Supervisory Commission Republic of China(Taiwan)</u>
2	<u>Financial Supervisory Commission Regulations Governing the Standards of the Calculation and Payment of Examination Charges and Annual Supervisory Fees and the Collection of Official Fees</u> (Chinese version only)
3	<u>Regulations Governing Public Disclosure by the Financial Supervisory Commission of Material Enforcement Actions for Violations of Financial Legislation</u> (Chinese version only)
4	<u>Financial Consumer Protection Act</u>
5	<u>Regulations Governing the Advertisements and Solicitation or Promotional Activities Conducted by the Financial Services Enterprise</u> (Chinese version only)
6	<u>Regulations Governing Ascertaining the Suitability of Financial Products or Services to the Financial Consumer</u> (Chinese version only)
7	<u>Regulations Governing Explaining the Important Aspects of the Contract and Disclosing Associated Risks before Providing Financial Products or Services</u> (Chinese version only)
8	<u>Regulations Governing the Establishment and Administration of the Ombudsman Body</u> (Chinese version only)
9	<u>Regulations Governing the Qualification Requirements, Appointment and Dismissal of Ombudsman Committee Members and the Procedures by which the Ombudsman Body Handles Ombudsman Cases</u> (Chinese version only)
10	<u>Offshore Banking Act</u>
11	<u>Offshore Banking Act Enforcement Rules</u>
12	<u>Rules Governing Offshore Banking Branches</u>

13	<u>Regulations Governing Offshore Securities Branches</u>
14	<u>Regulations Governing Offshore Insurance Branches</u>
15	<u>Financial Technology Development and Innovative Experimentation Act</u>
16	<u>Regulations Governing Financial Technology Innovative Experimentation</u>
17	<u>Regulations Governing the Operations of Financial Technology Innovative Experimentation Review Meetings and Evaluation Meetings</u>
18	<u>Regulations Governing Fees for Handling Civil Disputes Arising from Financial Technology Innovative Experimentation</u>
19	<u>The Banking Act of The Republic of China</u>
20	<u>Enforcement Rules of the Banking Act</u>
21	<u>Regulations Governing Qualification Requirements and Concurrent Serving Restrictions and Matters for Compliance by the Responsible Persons of Banks</u>
22	<u>Regulations Governing Approvals of the Same Persons' or Same Concerned Persons' Applications to Own More Than a Certain Percentage of the Issued Voting Shares of a Same Bank</u> (Chinese version only)
23	<u>Regulations Governing the Capital Adequacy and Capital Category of Banks</u>
24	<u>Implementation Rules of Internal Audit and Internal Control System of Financial Holding Companies and Banking Industries</u>
25	<u>Regulations Governing Internal Operating Systems and Procedures for the Outsourcing of Financial Institution Operation</u>
26	<u>Regulations Governing Internal Operating Systems and Procedures for Banks Conducting Financial Derivatives Business</u>
27	<u>Regulations Governing the Deposit Accounts and Suspicious or Unusual Transactions</u>
28	<u>Regulations Governing Institutions Engaging In Credit Card Business</u>
29	<u>Regulations Governing the Banking Activity and the Establishment and the Investment by Financial Institution Between the Taiwan Area and the Mainland Area</u>
30	<u>Directions Governing Limitations on Types and</u>

	<u>Amounts of the Securities in Which a Commercial Bank May Invest</u> (Chinese version only)
31	<u>Regulations Governing Investments in Real Estate by Commercial Banks</u>
32	<u>Financial Holding Company Act</u>
33	<u>Regulations Governing Qualification Requirements for the Founder or Responsible Persons of Financial Holding Companies and Concurrent Serving Restrictions and Matters for Compliance by the Responsible Persons of a Financial Holding Company</u>
34	<u>Regulations Governing the Investing Activities of a Financial Holding Company</u>
35	<u>The Financial Institutions Merger Act</u>
36	<u>Deposit Insurance Act</u>
37	<u>Enforcement Regulations of the Deposit Insurance Act</u>
38	<u>The Credit Cooperatives Act Of The Republic Of China</u>
39	<u>Enforcement Rules of Credit Cooperatives Act</u>
40	<u>Regulations Governing the Qualifications and Election/Appointment of Membership Representatives, Directors, Supervisors and Managerial Officers of Credit Cooperatives</u>
41	<u>Financial Asset Securitization Act</u>
42	<u>Regulations Governing Issuance of Beneficiary Securities by Trustee and Asset-Backed Securities by Special Purpose Company</u> (Chinese version only)
43	<u>Clauses of the Real Estate Securitization Act</u>
44	<u>Regulations Governing the Public Offering or Private Placement of REIT and REAT Beneficiary Securities by a Trustee</u>
45	<u>Trust Enterprise Act</u>
46	<u>Enforcement Rules of the Trust Enterprise Act</u>
47	<u>Regulations Governing Required Qualifications for Responsible Persons and Required Trust Expertise or Experience for Operations and Managerial Personnel of Trust Enterprises</u>
48	<u>Regulations Governing Offshore Structured Products</u>
49	<u>Regulations Governing the Scope of Business, Restrictions on Transfer of Beneficiary Rights, Risk Disclosure, Marketing, and Conclusion of Contract by</u>

	<u>Trust Enterprises</u>
50	<u>Regulations Governing Concurrent Conduct of Trust Business by Securities Investment Trust Enterprises, Securities Investment Consulting Enterprises, and Securities Firms</u>
51	The Act Governing Bills Finance Business
52	<u>Enforcement Rules of Governing Bills Finance Business Act</u> (Chinese version only)
53	<u>Regulations Governing the Responsible Persons and Business Staff Members of Bills Houses</u>
54	<u>Act Governing Issuance of Electronic Stored Value Cards</u>
55	<u>Rules Governing the Business of Electronic Stored Value Card Issuers</u>
56	<u>Regulations Governing Concurrent Serving Restrictions and Matters for Compliance by the Responsible Persons of Electronic Stored Value Card Issuers</u>
57	<u>The Act Governing Electronic Payment Institutions</u>
58	<u>Regulations Governing Cooperating with or Assisting Foreign Institutions in Engaging in Activities Associated with Electronic Payment Business within the Territory of the Republic of China</u>
59	<u>Regulations Governing Identity Verification Mechanism and Transaction Limits for Users of Electronic Payment Institutions</u>
60	<u>Rules Governing the Administration of Electronic Payment Business</u>
61	<u>Foreign Exchange Regulation Act</u>
62	<u>Securities and Exchange Act</u>
63	<u>Securities and Exchange Act Enforcement Rules</u>
64	<u>Regulations Governing the Offering and Issuance of Securities by Securities Issuers</u>
65	<u>Regulations Governing Investment in Securities by Overseas Chinese and Foreign Nationals</u>
66	<u>Regulations Governing Securities Firms</u>
67	<u>Regulations Governing Responsible Persons and Associated Persons of Securities Firms</u>
68	<u>Regulations Governing the Acquisition and Disposal of Assets by Public Companies</u>
69	<u>Regulations Governing Securities Investment and Futures Trading in Taiwan by Mainland Area Investors</u>

70	<u>Regulations Governing Permission and Administration of Securities and Futures Business Dealings and Investment Between the Taiwan Area and the Mainland Area</u>
71	<u>Futures Trading Act</u>
72	<u>Futures Trading Act Enforcement Rules</u>
73	<u>Regulations Governing Futures Commission Merchants</u>
74	<u>Regulations Governing Responsible Persons and Associated Persons of Futures Commission Merchants</u>
75	<u>Certified Public Accountant Act</u>
76	<u>Regulations Governing the Organization and Deliberation Procedures of the CPA Discipline Committee and the CPA Disciplinary Rehearing Committee</u>
77	<u>Securities Investor and Futures Trader Protection Act</u>
78	<u>Securities Investment Trust and Consulting Act</u>
79	<u>Regulations Governing Securities Investment Trust Enterprises</u>
80	<u>Regulations Governing Securities Investment Consulting Enterprises</u>
81	<u>Regulations Governing Responsible Persons and Associated Persons of Securities Investment Trust Enterprises</u>
82	<u>Regulations Governing Responsible Persons and Associated Persons of Securities Investment Consulting Enterprises</u>
83	<u>Regulations Governing Securities Investment Trust Funds</u>
84	<u>Regulations Governing the Conduct of Discretionary Investment Business by Securities Investment Trust Enterprises and Securities Investment Consulting Enterprises</u>
85	Regulations Governing Offshore Funds https://law.moj.gov.tw/ENG/LawClass/LawAll.aspx?pcode=G0400122
86	<u>Insurance Act</u>
87	<u>Enforcement Rules of Insurance Act</u> (Chinese version only)
88	<u>Regulations Governing Use of Insurer's funds in Special Projects, Public Utilities and Social Welfare Enterprises</u>
89	<u>Regulations Governing Required Qualifications for Responsible Persons of Insurance Enterprises</u>

90	<u>Regulations Governing Permission of Insurance Business Transactions and Investment Between the Taiwan Area and the Mainland Area</u>
91	<u>Regulations Governing Business Solicitation, Policy Underwriting and Claim Adjusting of Insurance Enterprises</u>
92	<u>Regulations Governing Foreign Investments by Insurance Companies</u>
93	<u>Regulations Governing Insurance Agents</u>
94	<u>Regulations Governing Insurance Brokers</u>
95	<u>Regulations Governing Insurance Surveyors</u>
96	<u>Regulations Governing Pre-sale Procedures for Insurance Products</u>
97	<u>Regulations for Establishment and Administration of Insurance Enterprises</u>
98	<u>Regulations Governing the Supervision of Insurance Solicitors</u>
99	<u>Regulations Governing Derivatives Transactions Conducted by Insurance Companies</u>
100	<u>Regulations Governing Public Disclosure of Information by Life Insurance Enterprises</u>
101	<u>Regulations Governing Public Disclosure of Information by Non-life Insurance Enterprises</u>
102	<u>Regulations Governing Implementation of Internal Control and Auditing System of Insurance Enterprises</u>
103	<u>Regulations Governing Capital Adequacy of Insurance Companies</u>
104	<u>Compulsory Automobile Liability Insurance Act</u>
105	<u>Enforcement Rules for the Compulsory Automobile Liability Insurance Act</u>
106	<u>Payment Standards of the Compulsory Automobiles Liability Insurance</u>
107	<u>Simple Life Insurance Act</u>
108	Company Act
109	<u>Negotiable Instruments Act</u>
110	<u>Trust Law</u>
111	<u>Business Mergers And Acquisitions Act</u>
112	<u>Money Laundering Control Act</u>
113	<u>Regulations Governing Anti-Money Laundering of Financial Institutions</u>
114	<u>Regulations Governing Internal Audit and Internal</u>

	<u>Control System of Anti-Money Laundering and Countering Terrorism Financing of Banking Business and Other Financial Institutions Designated by the Financial Supervisory Commission</u>
115	<u>Regulations Governing Internal Audit and Internal Control System of Anti-Money Laundering and Countering Terrorism Financing of Securities and Futures Business and Other Financial Institutions Designated by the Financial Supervisory Commission</u>
116	<u>Regulations Governing Implementation of Internal Control and Audit System for Anti-Money Laundering and Countering Terrorism Financing of Insurance Companies, Post Offices Engaging in Simple Life Insurance Business and Other Financial Institutions Designated by the Financial Supervisory Commission</u>
117	<u>Regulations Governing Anti-Money Laundering and Countering Terrorism Financing of Financial Technology Innovative Experimentation</u>
118	<u>Regulations Governing Anti-Money Laundering and Countering the Financing of Terrorism for Certified Public Accountants</u>
119	<u>Regulations Governing Anti-Money Laundering of Financial Leasing Enterprises</u>
120	<u>Regulations Governing Internal Audit and Internal Control System of Anti-Money Laundering and Countering Terrorism Financing of Financial Leasing Enterprises</u>
121	<u>Counter-Terrorism Financing Act</u>
122	<u>Personal Data Protection Act</u>
123	<u>Enforcement Rules of the Personal Data Protection Act</u>
124	<u>Regulations Governing Security Measures of the Personal Information File for Non-government Agencies Designated by Financial Supervisory Commission</u> (Chinese version only)
125	<u>The Freedom of Government Information Law</u>
126	<u>Administrative Procedure Act</u>
127	<u>Administrative Penalty Act</u>
128	<u>Central Regulation Standard Act</u>
129	<u>The Central Bank of the Republic of China (Taiwan) Act</u>
130	<u>Law of the Legislative Authority exercise</u> (Chinese version only)

131	State Compensation Law
132	Administrative Appeal Act
133	The Administrative Litigation Act (Chinese version only)
134	The Administrative Execution Act
135	Consumer Protection Act
136	Fair Trade Act
137	Act Governing Relations between the People of the Taiwan Area and the Mainland Area
138	The Consumers Debt Clearance Act (Chinese version only)