



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

1. TWSE's TIB and TPEX's PSB to Be Officially Launched and Open for Listing as of the Third Quarter of 2021

To assist the development of innovation industries, improve business fundraising channels, and expand the scale of Taiwan's capital market, the Financial Supervisory Commission (FSC) announced on 3 December 2020 that the Taiwan Stock Exchange Corporation (TWSE) and the Taipei Exchange (TPEX) will respectively launch the Taiwan Innovation Board (TIB) and the Pioneer Stock Board (PSB) under the Emerging Stock Market structure within Taiwan's multi-tiered capital market framework. The FSC, TWSE, and TPEX are currently in the process of drafting amendments to relevant laws, regulations, and rules, and the TWSE and TPEX will implement relevant system setups. These new boards are scheduled to be officially launched and in operation as of the third quarter of 2021.

2. Partial Amendment to the Regulations Governing Securities Investment Trust Enterprises

To strengthen the supervision of securities investment trust enterprises ("SITs"), the FSC on 17 December 2020 issued amendments to the Regulations Governing Securities Investment Trust Enterprises. Key points of the amendments are as follows:

I. To improve the business operations of SITs and protect the rights and interests of investors, new provisions are added requiring SITs to collect or pay fees in a reasonable manner for the conduct of business and not to use unreasonable fees to solicit or engage in business.

II. Strengthening SITs' management of domestic, foreign, and Mainland Area enterprises in which they invest:

i. Authorizing provisions, internal control requirements, and total amount limit with respect to SITs' investment in such enterprises and the scope of investment:

To strengthen SITs' management of such invested enterprises and provide a clear

regulatory framework, provisions are prescribed that a SITE's total amount of investment in domestic, foreign, and Mainland Area enterprises may not exceed 40% of the SITE's net worth, that SITES shall in their internal control systems establish management and risk assessment mechanisms for the invested enterprises, and that the competent authority is authorized to specify the scope, investment ratio, and qualifications with respect to SITES' investment in domestic and foreign enterprises and relevant procedures.

ii. Strengthening subsequent management of SITES' investment in such enterprises:

Existing provisions are amended regarding the documents SITES are required to submit when applying to invest in foreign enterprises, and new provisions are added regarding the documents they are required to submit for a subsequent application to increase the investment amount. SITES are also required to report material changes and to regularly report the financial, business, and other relevant information of the invested foreign and Mainland Area enterprises.

3. Amendment to the Regulations Governing Anti-Money Laundering and Countering the Financing of Terrorism for Certified Public Accountants, with Strengthened Requirements for CPAs' CDD Measures (Date of Issuance: 24 December 2020)

To strengthen requirements for CPAs' customer due diligence (CDD) measures, the Regulations Governing Anti-Money Laundering and Countering the Financing of Terrorism for Certified Public Accountants were amended. Key points of the amendments include the following. By reference to Recommendation 10 of the FATF (Financial Action Task Force) Recommendations, new provisions are added as to when CPAs are required to verify the identity of the customer. Also, by reference to the Regulations Governing Anti-Money Laundering of Financial Institutions, new provisions are added requiring CPAs to carry out watch list filtering procedures on customers and connected parties of transactions.

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 December 2020, the total number of TWSE listed companies stood at 948, an increase of 4 over the preceding month. Authorized capital was NT\$ 7,238.4 billion, an increase of NT\$ 1.9 billion over the preceding month. Market capitalization was NT\$ 44,903.8 billion, an increase over the preceding month of NT\$ 3,091.9 billion.

There were 782 TPEX listed companies, an increase of 5 over the preceding month.

Authorized capital was NT\$ 742.2 billion, an increase of NT\$ 1.7 billion from the preceding month. Market capitalization was NT\$ 4,352 billion, an increase of NT\$ 187.8 billion from the preceding month.

The total value of stock trades on the centralized market was NT\$ 5,944.7 billion, an increase of NT\$ 1,402.2 billion from the preceding month. The volume of trading was 144.5 billion shares, an increase of 54.5 billion from the preceding month. The net value of inwardly remitted foreign funds was US\$ 208.5 billion, a decrease of US\$ 4.525 billion from the preceding month.

There were a total of 62 securities firms. There were 15 enterprises exclusively engaged in futures commission merchant business, 39 securities investment trust companies, and 85 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/en/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@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](#).

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壹、重要公告

一、證交所「臺灣創新板」及櫃買中心「戰略新板」今(110)年第 3 季起正式開板掛牌：

為扶植創新產業發展，完善企業籌資管道，並擴大我國資本市場規模，本會已於 109 年 12 月 3 日宣布將由證交所及櫃買中心(下稱二單位)於現行多層次資本市場架構下分別開設「臺灣創新板」及「戰略新板」，本會及二單位刻正修正相關法規，並將由二單位進行相關系統設置事宜，預計自 110 年第 3 季起正式開板運作。

二、修正「證券投資信託事業管理規則」部分條文

為利強化對證券投資信託事業（下稱投信事業）之監理，金管會於 109 年 12 月 17 日修正發布旨揭管理規則，修正重點如下：

(一) 為健全投信事業業務經營與保護投資人權益，增訂投信事業經營業務應合理收取或支付費用，不得以不合理之費用招攬或從事業務。

(二) 強化投信事業對投資國內外及大陸地區事業之管理：

1. 明確規範投信事業投資事業範圍之授權規定、內控要求與總額限制：為強化投信事業對投資事業之管理並明確規範，明定投信事業投資國內外及大陸事業應符合之投資總額為不超過該投信事業淨值之 40%，及應於內部控制制度對投資事業建立管理及風險評估機制，以及授權主管機關得明定投信事業投資國內外事業之範圍、投資比率、資格條件及相關程序。
2. 加強投信事業所投資事業之後續管理：修正投信事業申請投資外國事業應檢附文件，及增訂嗣後欲申請增加投資金額應檢附之文件；明定投信事業應申報重大變更事項，以及定期申報被投資外國及大陸地區事業之財務業

務資訊等。

三、修正「會計師防制洗錢及打擊資恐辦法」，強化會計師對客戶審查相關規定(發布日期：109年12月24日)

為強化會計師對客戶審查相關規定，爰修正會計師防制洗錢及打擊資恐辦法，修正重點包括參酌防制洗錢金融行動工作組織(FATF)四十項建議之第十項建議，新增會計師確認客戶身分時點之規定，及參酌金融機構防制洗錢辦法規定，新增會計師應對客戶及交易有關對象進行姓名及名稱檢核程序。

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2020年12月底止，上市公司計有948家，較上月增加4家；資本額新臺幣72,384億元，較上月增加新臺幣19億元；上市市值新臺幣449,038億元，較上月增加新臺幣30,919億元。

上櫃公司計有782家，較上月增加5家；資本額新臺幣7,422億元，較上月增加新臺幣17億元；上櫃市值新臺幣43,520億元，較上月增加新臺幣1,878億元。

集中市場股票總成交值新臺幣59,447億元，較上月增加新臺幣14,022億元；成交量1,445億股，較上月增加545億股。外資總累積匯入淨額2,085億美元，較上月減少45.25億美元。

專營證券商計62家，專營期貨商計15家，證券投資信託公司39計家，證券投資顧問公司計85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=873&parentpath=0,6>

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