



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

1. FSC amends Article 36-2 of the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets

On 30 September 2021, the Financial Supervisory Commission (FSC) amended Article 36-2 of the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets (the “Regulations”) to enhance the decision-making of securities and futures service enterprises on information security matters. Key points of the amendment are outlined below:

- I. A securities or futures service enterprise meeting certain conditions must appoint a person at the level of deputy general manager (vice president) or higher or a person of equivalent rank to concurrently serve as its chief information security officer, who shall be in charge of promoting information security policy and the allocation of resources.
- II. Each service enterprise must, on an annual basis, have its chief information security officer or highest officer responsible for information security and its board chairperson, general manager (president) and chief audit officer jointly issue the Statement on Internal Control under Article 24 of the Regulations, and submit it to the board of directors for approval within 3 months after the close of the fiscal year.

The certain conditions mentioned above under which a service enterprise must appoint a person at the level of deputy general manager (vice president) or higher or a person of equivalent rank to concurrently serve as its chief information security officer will be set out in an interpretive order to be issued by the FSC following the implementation of the amended Regulations. Service enterprises will have 6 months to complete the required adjustments. The range of service enterprises that will be affected by the new requirements will be as follows:

- I. Securities firms with paid-in capital of NT\$10 billion or more or securities firms at which electronically placed orders reach a certain percentage rate. The latter category is defined as securities firms at which the total monetary amount of executed trade orders that were placed online and by direct market access [DMA] reaches 60 percent

of the total monetary amount of all executed trade orders, and furthermore whose executed brokerage trades account for a share of 2 percent or more of the monetary amount of all executed brokerage trades in the market, and furthermore whose natural person customers account for 50 percent or more of all of the firm's customers.

- II. Futures commission merchants (FCMs) meeting the dual conditions of having paid-in capital of NT\$2 billion and furthermore having an electronically placed order rate reaching a certain percentage rate. The latter condition is defined as when the number of contracts traded through orders placed online and by direct market access [DMA] reaches 60 percent of the total number of contracts traded through all the FCM's executed trade orders, and when the FCM furthermore has executed brokerage trades accounting for a share of 2 percent or more of the number of contracts traded in all executed brokerage trades in the market, and furthermore has natural person customers accounting for 50 percent or more of all of the FCM's customers.
- III. Securities investment trust enterprises and securities investment consulting enterprises with average monthly onshore and offshore managed assets of NT\$600 billion or more in the preceding fiscal year.
- IV. The Taiwan Stock Exchange, Taipei Exchange, Futures Exchange, and Taiwan Depository and Clearing Corporation.

2. 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 September 2021, the total number of TWSE listed companies stood at 954, an increase of 2 from the preceding month. Authorized capital was NT\$ 7,345.8 billion, an increase of NT\$ 46.9 billion over the preceding month. Market capitalization was NT\$ 52,052.8 billion, a decrease of NT\$ 1,592.7 billion from the preceding month.

There were 790 TPEX listed companies, an increase of 1 over the preceding month. Authorized capital was NT\$ 759.8 billion, an increase of NT\$ 4.1 billion over the preceding month. Market capitalization was NT\$ 5,014.1 billion, a decrease of NT\$ 169.6 billion from the preceding month.

The total value of stock trades on the centralized market was NT\$ 5,789.72 billion, a decrease of NT\$ 2,086.51 billion from the preceding month. The volume of trading was 83.27 billion shares, a decrease of 26.92 billion from the preceding month. The net value of inwardly remitted foreign funds was US\$ 218.864 billion, an increase of US\$ 2.91 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 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/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 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、發布「證券暨期貨市場各服務事業建立內部控制制度處理準則」第 36 條之 2 條文

為提升服務事業對資訊安全議題之決策功能，金融監督管理委員會（以下簡稱金管會）已於 110 年 9 月 30 日修正「證券暨期貨市場各服務事業建立內部控制制度處理準則」（以下簡稱處理準則）第 36 條之 2 條文，其修正重點如下：

- (一)各服務事業符合一定條件者，應指派副總經理以上或職責相當之人兼任資訊安全長，綜理資訊安全政策推動及資源調度事務。
- (二)各服務事業每年應將前一年度資訊安全整體執行情形，由資訊安全長或負責資訊安全之最高主管與董事長、總經理、稽核主管聯名出具第二十四條規定之內部控制制度聲明書，於會計年度終了後三個月內提報董事會通過。

有關各服務事業應指派副總經理以上或職責相當之人兼任資訊安全長，上述一定條件將於處理準則實施後發布令釋規範，業者應於六個月內調整完成，其範圍如下：

- (一)證券商實收資本額達新臺幣(以下同)一百億元以上或電子下單達一定比率；電子下單一定比率為網際網路下單加計電子式專屬線路下單(Direct Market Access，以下簡稱 DMA)成交金額達公司成交金額百分之六十，經紀業務成交金額市占率達全市場百分之二，且自然人客戶數達公司客戶數百分之五十者。
- (二)期貨商實收資本額達二十億元以上，且電子下單達一定比率；電子下單一定比率為網際網路下單加計 DMA 下單成交口數達公司成交口數百分之六十，經紀業務成交口數市占率達全市場百分之二，且自然人客戶數達公司客戶數百分之五十者。

(三)證券投資信託事業及證券投資顧問事業前一年度月平均境內外管理資產規模達六千億元以上者。

(四)證券交易所、證券櫃檯買賣中心、期貨交易所及證券集中保管事業。

二、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 2021 年 9 月底止，上市公司計有 954 家，較上月增加 2 家；資本額新臺幣 73,458 億元，較上月增加新臺幣 469 億元；上市市值新臺幣 520,528 億元，較上月減少新臺幣 15,927 億元。

上櫃公司計有 790 家，較上月增加 1 家；資本額新臺幣 7,598 億元，較上月增加新臺幣 41 億元；上櫃市值新臺幣 50,141 億元，較上月減少新臺幣 1,696 億元。

集中市場股票總成交值新臺幣 57,897.2 億元，較上月減少新臺幣 20,865.1 億元；成交量 832.7 億股，較上月減少 269.2 億股。外資總累積匯入淨額 2,188.64 億美元，較上月增加 29.10 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=873&parentpath=0,6>

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