



## I. Important Announcements (Chinese)

### 1. FSC Amends “Regulations Governing Futures Trust Enterprises”

In order to strengthen the risk management mechanisms and the management of personnel transactions of futures trust enterprises (FTEs), the Financial Supervisory Commission (FSC) issued amendments to the Regulations Governing Futures Trust Enterprises on 18 February 2022. Key amendments are as follows:

- I. Considering that risk management personnel have become an important part of the corporate governance of FTEs, the job description of risk management is added to associated persons of FTEs. The amendment also requires that FTEs shall have adequate and competent risk management personnel, and specifies the qualifications these personnel shall possess and that they shall be full-time personnel. FTEs shall comply with these regulations by 31 December 2022.
  - II. FTEs are professional institutional investors who raise futures trust funds from the public to execute investments and trades, and are highly related to the rights of investors. In order to avoid conflicts of interest as well as to implement professional operating principles, the amendment stipulates that FTEs’ personnel may not act as another person's agent engaging in the trading of futures or futures-related spot commodity trading.
- ### 2. FSC amends "Regulations Governing the Preparation of Financial Reports by Securities Firms" and "Regulations Governing the Preparation of Financial Reports by Futures Commission Merchant.

To improve the quality and compliance of non-financial disclosures, the FSC on 22 February 2022 amended the aforementioned Regulations, then on 24 February 2022, to coordinate with those amendments, the FSC issued an interpretive order to amend the attached forms. Key points of the amendments include the following :

I. The amended Regulations expressly provide that at any securities firm or futures commission merchant (FCM) which is a foreign company's branch within the territory of the Republic of China (ROC), the matters that under these Regulations are required to be handled by the board of directors or supervisors shall be handled by the responsible persons of the ROC branch who are authorized by the head office or regional headquarters of the foreign company.

II. Improve the quality of non-financial information disclosure:

- i. Strengthen the information disclosure on cyber security management: The amendment stipulates that securities firms and FCMs shall clearly describe information such as cyber security policy, specific management plan and resources invested in cyber security management. In addition, securities firms and FCMs shall disclose the impact of cyber security risks on their finance and business and countermeasures, as well as their losses suffered, possible impact and countermeasures due to severe cyber security accidents.
- ii. Strengthen the information disclosure on the professional fees of certified public accountants (CPAs): The amendment requires securities firms and FCMs to disclose the specific amounts paid in CPA professional fees, deletes the option for securities firms and FCMs to use a tiered disclosure method for disclosing the fees, and additionally requires disclosure of the content of non-audit services.

**3. 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 February 2022, the total number of TWSE-listed companies stood at 962, the same as the preceding month. Authorized capital was NT\$ 7,401.6 billion, an increase of NT\$ 6.2 billion over the preceding month. Market capitalization was NT\$ 54,742.7 billion, a decrease of NT\$ 54.8 billion over the preceding month.

There were 788 TPEX-listed companies, the same as the preceding month. Authorized capital was NT\$ 761.7 billion, an increase of NT\$ 1.8 billion over the preceding month. Market capitalization was NT\$ 5,242.4 billion, an increase of NT\$ 5.2 billion over the preceding month.

The total trading value in the centralized stock market was NT\$ 4,404.3 billion, a decrease of NT\$ 589.6 billion over the preceding month. The trading volume was 65.2

billion shares, a decrease of 96 billion over the preceding month. The net value of inwardly remitted foreign funds was US\$ 234.8 billion, an increase of US\$ 1.2 billion over the preceding month.

There were 62 securities firms, 15 futures commission merchants, 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>

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## 金管會證期局第二百一十二期新聞信

[top](#)

### 壹、重要公告

#### 一、修正「期貨信託事業管理規則」部分條文

為強化期貨信託事業風險管理機制及人員交易行為管理，金管會於 111 年 2 月 18 日修正發布旨揭規則，修正要點如下：

- (一) 考量風險管理人員已為期貨信託事業公司治理重要一環，爰新增業務人員之「風險管理」職務，且明定期貨信託事業應配置適足及適任之風險管理人員、增訂風險管理人員應具備之資格條件及應為專職等規定，並應於 111 年 12 月 31 日前符合前揭規定。
- (二) 考量期貨信託事業為專業投資機構，向投資大眾募集期貨信託基金執行投資及交易，關係投資人權益甚鉅。為避免利益衝突並落實專業經營原則，明定期貨信託事業人員不得代理他人從事期貨交易或期貨相關現貨商品交易。

#### 二、修正「證券商財務報告編製準則」及「期貨商財務報告編製準則」部分條文

為強化非財務性資訊之揭露及符合法制，金管會於 111 年 2 月 22 日修正發布旨揭準則，並配合相關修正條文，於 111 年 2 月 24 日發布相關財務報告表格名稱及書表格式之令，修正要點如下：

- (一) 明定證券商及期貨商屬外國公司在我國境內分支機構者，於旨揭準則規定應由董事會或監察人處理之事項，原則由該外國公司總公司或區域總部授權之在我國境內分支機構負責人處理。
- (二) 提升非財務性資訊之揭露品質：

- 1、強化資通安全管理之資訊揭露：明定證券商及期貨商應敘明資通安全政策、具體管理方案及投入資通安全管理之資源等資訊，並應揭露資通安全風險對證券商及期貨商財務業務之影響及因應措施，以及因重大資通安全

事件所遭受之損失、可能影響及因應措施。

2、強化會計師公費之資訊揭露：將簽證會計師公費之揭露方式改為個別揭露金額，刪除原先可選擇採級距揭露方式，並應揭露非審計服務內容。

三、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 2022 年 2 月底止，上市公司計有 962 家，較上月增加 0 家；資本額新臺幣 74,016 億元，較上月增加新臺幣 62 億元；上市市值新臺幣 547,427 億元，較上月減少新臺幣 548 億元。

上櫃公司計有 788 家，較上月增加 0 家；資本額新臺幣 7,617 億元，較上月增加新臺幣 18 億元；上櫃市值新臺幣 52,424 億元，較上月增加新臺幣 52 億元。

集中市場股票總成交值新臺幣 44,043 億元，較上月減少新臺幣 5,896 億元；成交量 652 億股，較上月減少 960 億股。外資總累積匯入淨額 2,348 億美元，較上月增加 12 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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