



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

1. Restrictions Eased on the Sub-Delegation of Securities Investment Trust Fund Overseas Investment Business Delegated to Appointed Management Institutions

In response to the operational demands of securities investment trust enterprises (SITEs) and taking as reference the regulations of other jurisdictions internationally, the Financial Supervisory Commission (FSC) on 13 September 2023 issued an order easing restrictions on the sub-delegation of securities investment trust fund overseas investment business delegated to appointed management institutions. With the exception of investment analysis and investment decision-making, which still may not be sub-delegated, an appointed management institution may sub-delegate to a third party any other matters delegated to it, subject to agreement by the SITE and compliance with the laws and regulations of the jurisdiction in which the appointed management institution operates and the requirements of the competent authority of that jurisdiction. The FSC order also sets forth related supporting measures, including matters required to be specified in the authorization contract between the SITE and the appointed management institution, the requirement that the appointed management institution explain its related control measures and provide related data or reports to the SITE, and the requirement that the SITE add related supervision and management procedures to its internal control system.

2. FSC Issues Guiding Directions for the Administration of Virtual Asset Platform or Transaction Service Providers (VASP)

In March 2023, the Executive Yuan designated the Financial Supervisory Commission (FSC) to serve as the competent authority for virtual asset platforms with financial investment or payment properties. In response, the FSC, on 26 September 2023, issued the Guiding Directions for the Administration of Virtual Asset Platform or Transaction Service Providers (VASP) (the "Guiding Directions"). Taking international supervisory trends into reference, the FSC formulated the Guiding Directions based on the provisions

of the Money Laundering Control Act and in the spirit of enhancing self-regulation by VASPs. The Guiding Directions enhance the protections that VASPs provide to customers in terms of transparency of transaction information, the methods for custody of customer assets, VASP internal controls and management, and assistance from external experts.

Following the issuance of the Guiding Directions, VASPs will be required to establish an industry association and adopt self-regulatory rules in compliance with the Guiding Directions. These measures will guide VASPs to strengthen their internal controls and further strengthen and enhance protections for the rights and interests of customers.

3. FSC Issues Order Under Article 24, Paragraph 4 of the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets

In tandem with the policies set out in the FinTech Development Roadmap 2.0, to promote the digitization of information reporting by financial institutions, the FSC on 20 September 2023 issued an order under Article 24, paragraph 4 of the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets. Under the order, securities firms that are not public companies must publicly announce and report their Statement on Internal Control through the Market Observation Post System (MOPS) but are not required to further submit the written materials to the FSC for recordation.

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 September 2023, the total number of TWSE listed companies stood at 983, an increase of 1 over the preceding month. Authorized capital was NT\$7,610.48 billion, an increase of NT\$15.64 billion over the preceding month. Market capitalization was NT\$51,467.08 billion, a decrease of NT\$824.91 billion over the preceding month.

There were 814 TPEX listed companies, an increase of 1 over the preceding month. Authorized capital was NT\$758.89 billion, an increase of NT\$2.6 billion over the preceding month. Total TPEX market capitalization was NT\$5,323.29 billion, a decrease of NT\$5.32 billion over the preceding month.

The total value of stock trades on the centralized market was NT\$4,981.2 billion, a decrease of NT\$2,093.77 billion over the preceding month. The volume of trading was 56.52

billion shares, a decrease of 21.31 billion shares over the preceding month. The net value of inwardly remitted foreign funds was US\$226.54 billion, a decrease of US\$3.28 billion over the preceding month.

There were a total of 59 securities firms. There were 15 enterprises exclusively engaged in futures commission merchant business, 38 investment trust companies, and 87 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/enl/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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金管會證期局第二百三十一期新聞信

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壹、重要公告

一、放寬投信基金海外投資業務複委任受託管理機構之再委任限制相關規範

因應投信事業實務作業需求及參考國際規範，金管會於 112 年 9 月 13 日發布令放寬投信基金海外投資業務複委任受託管理機構之再委任限制相關規範，除投資分析及投資決定仍維持不得再委任外，其餘受委任事項，經投信事業同意且符合受託管理機構當地法令規定及當地主管機關之要求，得再委任他人處理，並訂定相關配套措施，包含要求投信事業與受託管理機構之複委任契約應載明事項、受託管理機構應向投信業說明相關控管措施、提供相關資料或報告、投信事業應於內部控制制度增訂相關監督管理作業程序。

二、訂定發布「管理虛擬資產平台及交易業務事業指導原則」

今年 3 月，行政院指定金融監督管理委員會（以下簡稱金管會）擔任具金融投資或支付性質之虛擬資產的主管機關，爰金管會參考國際監理趨勢，以洗錢防制法之規定為基礎，以加強業者自律為原則，於 112 年 9 月 26 日訂定發布「管理虛擬資產平台及交易業務事業（VASP）指導原則」（以下簡稱指導原則），指導原則從交易資訊透明、客戶資產保管方式、平台業者內控管理、外部專家輔助等方面加強平台對客戶保護。

前揭指導原則發布後，將要求 VASP 業者組成公會，並依據指導原則內容訂定自律規範，引導業者強化內部控制，並進一步強化提升客戶權益之保障。

三、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 24 條第 4 項規定之令

配合「金融科技發展路徑圖（2.0）」政策，為推動金融機構申報資料數位化，金管會於 112 年 9 月 20 日發布「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 24 條第 4 項規定之令，規範股票未公開發行之證券商之內部控制制度聲明書，應於公開資訊觀測站辦理公告申報，免再將書面資料申報本會備查。

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 2023 年 9 月底止，上市公司計有 983 家，較上月增加 1 家；資本額新臺幣 76,104.8 億元，較上月增加新臺幣 156.4 億元；上市市值新臺幣 514,670.8 億元，較上月減少新臺幣 8,249.1 億元。

上櫃公司計有 814 家，較上月增加 1 家；資本額新臺幣 7,558.9 億元，較上月增加新臺幣 26 億元；上櫃市值新臺幣 53,232.9 億元，較上月減少新臺幣 53.2 億元。

集中市場股票總成交值新臺幣 49,812 億元，較上月減少新臺幣 20,937.7 億元；成交量 565.19 億股，較上月減少 213.13 億股。外資總累積匯入淨額 2,265.37 億美元，較上月減少 32.82 億美元。

專營證券商計 59 家，專營期貨商計 15 家，證券投資信託公司計 38 家，證券投資顧問公司計 87 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=30&parentpath=0,6>

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