



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

### 1. FSC Amends the Regulations Governing the Declaration of Acquisition of Shares in Accordance with Article 43-1, Paragraph 1 of the Securities and Exchange Act

An amendment to Articles 43-1 and 183 of the Securities and Exchange Act promulgated on 10 May 2023 lowered the threshold for reporting and announcement of substantial shareholding from 10% to 5%. In response, the Financial Supervisory Commission (FSC) on 30 January 2024 issued an amendment to the Regulations Governing the Declaration of Acquisition of Shares in Accordance with Article 43-1, Paragraph 1 of the Securities and Exchange Act. The amendment to the Regulations adjusts related measures to improving reporting efficiency and supervisory performance and will take effect from 10 May 2024. Key points of the amendment to the Regulations are as follows:

- (1) The threshold for declaration and public disclosure of substantial shareholding is lowered from 10% to 5% in response to the amendment to Article 43-1 of the Securities and Exchange Act.
- (2) The acquirer is currently required to make a public disclosure on the Market Observation Post System (MOPS) website and submit a written declaration form to the competent authority. For the sake of energy conservation and carbon reduction and to improve reporting efficiency, the FSC plans to maintain the current public disclosure method and require acquirers to upload a file of the declaration form to the MOPS website, but without further requiring a written declaration form. Upon the upload, the MOPS will notify the acquiree company, the Taiwan Stock Exchange Corporation (TWSE), or the Taipei Exchange (TPEX).
- (3) If the acquirer is a pension or insurance fund managed by the government, it differs from general acquirers in that it shoulders the mission of related policies and is highly related to public welfare. Hence, a special reporting system of filing a declaration and

making a public disclosure every half year is applicable to such acquirers, and the reporting requirements are simplified.

- (4) To improve supervisory efficiency and the quality of information disclosure, the amendment expressly states that the competent authority may commission the TWSE and the TPEX to handle declarations and public disclosures made by acquirers in accordance with the Regulations.
- (5) To ensure the transparency of company shareholdings and legal certainty, the amendment expressly states that if an acquirer (including pension and insurance funds managed by the government) acquires more than 5% but not more than 10% of any public company's total issued shares before the enforcement date of the amendment and continues to hold the shares until the enforcement date of the amendment, the acquirer shall file an initial declaration and make a public disclosure within 10 days from the enforcement date of the amendment. Also, considering the burden of declaration and the benefits of disclosing shareholding information, the matters to be specified in the initial declaration and public disclosure are simplified.

## **2. FSC Issues Interpretive Order Amending Provisions Under Article 36-2 of the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets**

Considering the increasingly important impact of information security protection on the overall operation of the securities and futures industry, and in line with the policies of the FSC's Financial Cyber Security Action Plan 2.0, the FSC issued an order on 4 January 2024 reducing the thresholds at which securities firms, futures commission merchants, and securities investment trust and consulting enterprises are required to appoint a chief information security officer (CISO). Under the order, appointing a CISO is now a requirement for securities firms with paid-in capital of NT\$ 4 billion, for futures commission merchants with paid-in capital of NT\$ 1 billion and at which electronically placed orders furthermore reach a certain percentage rate, and for securities investment trust and consulting enterprises with average monthly onshore and offshore managed assets of NT\$ 500 billion or more in the preceding fiscal year.

## **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 January 2024, the total number of TWSE-listed companies stood at 1,001, an increase of 4 over the preceding month. Authorized capital was NT\$ 7,655.56 billion, an increase of NT\$ 16.76 billion over the preceding month. Market capitalization was NT\$ 56,865.55 billion, an increase of NT\$ 23.46 billion over the preceding month.

There were 815 TPEX-listed companies, a decrease of 1 over the preceding month. Authorized capital was NT\$ 755.7 billion, a decrease of NT\$ 2.21 billion over the preceding month. Market capitalization was NT\$ 5,779.58 billion, a decrease of NT\$ 12.7 billion over the preceding month.

The total trading value in the centralized stock market was NT\$ 6,177.34 billion, an increase of NT\$ 46.01 billion over the preceding month. The trading volume was 65.94 billion shares, a decrease of 10.05 billion over the preceding month. The net value of inwardly remitted foreign funds was US\$ 254.001 billion, an increase of US\$ 5.075 billion over the preceding month.

There were 65 securities firms, 15 futures commission merchants, 38 securities investment trust companies, and 88 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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#### 壹、重要公告

##### 一、修正「證券交易法第四十三條之一第一項取得股份申報辦法」

為因應證券交易法第 43 條之 1 及第 183 條於 112 年 5 月 10 日修正公布，將大量持股申報及公告門檻由 10%調降為 5%，並自公布後 1 年施行，及為強化申報效率與監理效能，調整相關配合措施，金管會於 113 年 1 月 30 日修正發布旨揭法規，並自 113 年 5 月 10 日起施行，主要修正重點如下：

1. 因應證券交易法第 43 條之 1 修正公布，配合將大量持股申報及公告門檻由 10%修正至 5%。
2. 目前取得人係透過公開資訊觀測站辦理公告，並以書面向主管機關申報，為節能減碳及提升申報效率，規劃取得人除維持現行公告方式外，其申報書件改經由公開資訊觀測站上傳檔案，即屬完成申報，並由公開資訊觀測站系統轉知被取得股份之公司、臺灣證券交易所股份有限公司（下稱證交所）或財團法人中華民國證券櫃檯買賣中心（下稱櫃買中心）。
3. 取得人為政府管理之退休及保險基金者，考量其肩負相關政策任務，具高度公益性，與一般取得人性質有別，爰適用特別申報制於每半年度定期申報及公告，並簡化應行申報事項。
4. 為強化監理效率及提升資訊揭露品質，明定主管機關得行政委託證交所及櫃買中心受理取得人依本辦法辦理之申報及公告案件。
5. 為貫徹公司股權透明度，並基於法律明確性，明定取得人（包含政府管理之退休及保險基金）於本辦法修正施行前已取得任一公開發行公司已發行股份總額超過 5%而未超過 10%之股份且繼續持有至施行日者，應於施行日起 10 日內辦理初次申報及公告；另考慮實務申報作業負擔及相關股權資訊揭露實益，簡化前開應辦理初次申報及公告事項。

## 二、修正發布「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 及相關令釋

考量證券期貨事業資安防護對整體營運影響日趨重要，配合本會金融資安行動方案 2.0 政策，本會已於 113 年 1 月 4 日修正相關規定，推動證券商、期貨商及投信投顧業擴大設置資安長範圍，分別要求資本額 40 億元以上之證券商、資本額 10 億元以上且電子下單達一定比率之期貨商及前一年度月平均境內外管理資產規模達 5,000 億元以上之投信投顧事業應設置資安長。

## 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 2024 年 1 月底止，上市公司計有 1,001 家，較上月增加 4 家；資本額新臺幣 76,555.6 億元，較上月增加新臺幣 167.6 億元；上市市值新臺幣 568,655.5 億元，較上月增加新臺幣 234.6 億元。

上櫃公司計有 815 家，較上月減少 1 家；資本額新臺幣 7,557 億元，較上月減少新臺幣 22.1 億元；上櫃市值新臺幣 57,795.8 億元，較上月減少新臺幣 127 億元。

集中市場股票總成交值新臺幣 61,773.4 億元，較上月增加新臺幣 460.1 億元；成交量 659.4 億股，較上月減少 100.5 億股。外資總累積匯入淨額 2,540.01 億美元，較上月增加 50.75 億美元。

專營證券商計 65 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 88 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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