



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

1. FSC amends the Regulations Governing Establishment of Internal Control Systems by Public Companies and the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets

In view of the growing international concern for environmental, social and governance (ESG) and other sustainable development issues, and in line with Taiwan's measures to promote enhanced disclosure of sustainability information in annual reports and the compilation of sustainability reports by Taiwan Stock Exchange (TWSE)-listed and Taipei Exchange (TPEX)-listed companies, the Financial Supervisory Commission (FSC) on 22 April 2024 issued amendments to certain articles of the Regulations Governing Establishment of Internal Control Systems by Public Companies and to Articles 8, 14, and 39 of the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets. The amendments expressly require TWSE-listed and TPEX-listed companies as well as service enterprises in securities and futures markets to incorporate the management of sustainability information into their internal control systems and to designate it a mandatory audit item. The amendments will come into force from 1 January 2025.

2. In response to the continued growth of ETFs, the FSC has collaborated with relevant parties to strengthen ETF oversight measures, with the aim of protecting investor rights

To address the impact of ETF growth on the capital market, the FSC, along with TWSE, TPEX, and the Securities Investment Trust & Consulting Association (SITCA), has strengthened ETF supervision measures for advertising and marketing activities, as well as market risk management for ETFs, with the aim of protecting investor rights. These measures include: with regard to marketing activities, reviewing marketing documents

during the offering period and regulating the cooperation with internet celebrities; with regard to issuance, adding risk reminder to ETFs with high-yield-related names and conducting an assessment of the concentration of individual stocks within ETF portfolios; and with regard to trading, the FSC overseeing the TWSE and TPEx to regularly assess ETF portfolios and establish a transaction database.

3. FSC amends the Incentive Policy for Onshore Funds to encourage the balanced development of products and strategies by SITEs

To encourage securities investment trust enterprises (SITEs) to enhance their asset management talent and technologies, expand the scale of assets under management, and move towards internationalization, the FSC on 30 April 2024 issued amendments to the Incentive Policy for Onshore Funds. Considering that the development of actively managed funds is more conducive to the enhancement of the investment and research capabilities of asset management professionals in Taiwan, and that recent years have seen a surge in the development and size of passively managed funds, the amendments are aimed at encouraging SITEs to pursue the balanced development of products and strategies and actively upgrade their investment and research capabilities. To this end, the amendments adjust relevant performance evaluation indicators to make actively managed funds the basis for measuring performance and exclude passively managed funds from those calculations.

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 April 2024, the total number of TWSE-listed companies stood at 1,006, unchanged from the preceding month. Authorized capital was NT\$ 7,662.28 billion, an increase of NT\$ 2.01 billion over the preceding month. Market capitalization was NT\$ 64,864.41 billion, an increase of NT\$ 351.61 billion over the preceding month.

There were 821 TPEx-listed companies, an increase of 1 over the preceding month. Authorized capital was NT\$ 763.66 billion, an increase of NT\$ 1.86 billion over the preceding month. Market capitalization was NT\$ 6,134.57 billion, a decrease of NT\$ 55.67 billion over the preceding month.

The total trading value in the centralized stock market was NT\$ 8,325.58 billion, a

decrease of NT\$ 940.09 billion over the preceding month. The trading volume was 92.35 billion shares, an increase of 2.14 billion over the preceding month. The net value of inwardly remitted foreign funds was US\$ 259.372 billion, a decrease of US\$ 1.296 billion over the preceding month.

There were 65 securities firms, 15 futures commission merchants, 38 securities investment trust companies, and 87 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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Newsletter

Securities and Futures Bureau
Financial Supervisory Commission, R.O.C.



金管會證期局第二百三十八期新聞信

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壹、重要公告

一、修正「公開發行公司建立內部控制制度處理準則」及「證券暨期貨市場各服務事業建立內部控制制度處理準則」

鑒於國際間對環境、社會及治理(ESG)等永續發展議題之日益關注，並配合我國推動上市(櫃)公司精進年報永續資訊揭露及編製永續報告書等各項措施，金管會於113年4月22日修正發布「公開發行公司建立內部控制制度處理準則」部分條文及「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8條、第14條、第39條，明定上市(櫃)公司及證券暨期貨市場各服務事業內部控制制度應包括「永續資訊之管理」且納為必要稽核項目，並自114年1月1日施行。

二、因應ETF規模持續成長，金管會協同周邊單位再精進ETF監理措施，以維護投資人權益

為因應ETF成長對資本市場之影響，金管會協同臺灣證券交易所、櫃買中心及投信投顧公會提出強化規範業者廣告行銷活動及強化市場風險控管ETF再精進監理措施，包括於銷售面有關募集期間銷售文件審查及投信公司等業者與網紅合作行銷之監理，於發行面有關高息相關名稱之ETF後加註警語及ETF對個別股票持有集中度之評估，以及於交易面督導證交所及櫃買中心定期評估ETF持股狀況及建置交易資料庫等措施，以維護投資人權益。

三、修正「鼓勵投信躍進計畫」，鼓勵投信事業產品策略衡平發展

為鼓勵投信事業提升資產管理人才與技術，擴大資產管理規模並朝向國際化發展，金管會於 113 年 4 月 30 日發布修正「鼓勵投信躍進計畫」，考量主動式操作管理基金之發展較有助於提升我國資產管理人才之投研能力，又近年採被動式管理之基金商品發展及規模快速成長，為鼓勵投信業者產品策略衡平發展及積極提升投研能力，主要修正內容為相關評估指標調整為以主動式操作管理基金作為計算基準，排除被動式操作管理基金。

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 2024 年 4 月底止，上市公司計有 1,006 家，較上月增加 0 家；資本額新臺幣 76,622.8 億元，較上月增加新臺幣 20.1 億元；上市市值新臺幣 648,644.1 億元，較上月增加新臺幣 3,516.1 億元。

上櫃公司計有 821 家，較上月增加 1 家；資本額新臺幣 7,636.6 億元，較上月增加新臺幣 18.6 億元；上櫃市值新臺幣 61,345.7 億元，較上月減少新臺幣 556.7 億元。

集中市場股票總成交值新臺幣 83,255.8 億元，較上月減少新臺幣 9,400.9 億元；成交量 923.5 億股，較上月增加 21.4 億股。外資總累積匯入淨額 2,593.72 億美元，較上月減少約 12.96 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 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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