



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

### 1. Securities Firms Allowed to Accept Orders from Professional Investors for Trading of Overseas Virtual Asset ETFs

To provide investors with diverse product options and enhance the momentum of sub-brokerage business for Taiwanese securities firms, while also considering the relatively high investment risk associated with overseas virtual asset ETFs, the Financial Supervisory Commission (FSC) issued Order No. Financial-Supervisory-Securities-Firms- 1130353825 1 October 2024. The order allows securities firms to accept orders from professional investors for trading of overseas virtual asset ETFs. It also introduces supporting measures including requiring securities firms to assess whether the principal has professional knowledge and investment experience in virtual assets and related products, to ascertain whether the product is suitable for sub-brokerage trading by the principal. Unless the principal is a professional institutional investor, a securities firm, prior to a principal's initial purchase, must provide product information and have the principal sign a risk disclosure statement. Securities firms will also be required to regularly conduct related education and training for their associated persons.

### 2. Regulations Governing Securities Investment Consulting Enterprises Amended to Enhance the Legal Underpinnings and Strengthen the Supervision of Robo-Advisor Services

The number of firms providing securities investment consulting services with automated tools ("robo-advisor services") and the cumulative asset size under management and cumulative number of customers of such services have all surged in recent times. Considering this development, to enhance the legal underpinnings and strengthen the supervision of robo-advisor services, and to protect the rights and interests of investors, the FSC issued amendments to the Regulations Governing Securities Investment Consulting Enterprises on 25 October 2024. The amendments introduce important self-

regulatory provisions to the Regulations, and expressly set out financial and business conditions for the service providers and requirements with respect to their internal management systems or internal control systems and external supervision. Meanwhile, the amendments also relax restrictions on banks that concurrently operate trust enterprises, by allowing them to use their capital adequacy status to meet the financial conditions for operating investment consulting services relating to foreign securities and providing robo-advisor services.

### **3. FSC Order Introduces New Types of Business Approved by the Competent Authority for Operation by SITEs and SICEs Under Articles 3(3)(3) and 4(3)(3) of the Securities Investment Trust and Consulting Act**

To allow securities investment trust enterprises (SITEs) and securities investment consulting enterprises (SICEs) to cooperate with banks and securities firms in developing sales and consulting services for offshore funds that do not have the nature of securities investment trust funds, the FSC issued an order on 25 October 2024 introducing new types of business that are approved by the competent authority for operation by SITEs and SICEs under Articles 3(3)(3) and 4(3)(3) of the Securities Investment Trust and Consulting Act. The order relaxes the scope of the counterparties of, and types of, services that SITEs and SICEs are allowed to provide. Also, to increase operational flexibility for domestic and overseas enterprises, the order lifts the original restriction that foreign asset management institutions or their designated institutions could appoint only a single qualified financial institution in Taiwan to sell their fund products that do not have the nature of a securities investment trust fund. Under the order, they now may make such appointments on a fund-by-fund basis.

### **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 October 2024, the total number of TWSE-listed companies stood at 1,026, an increase of 4 over the preceding month. Authorized capital was NT\$ 7,813.32 billion, an increase of NT\$ 35.58 billion over the preceding month. Market capitalization was NT\$ 73,067.93 billion, an increase of NT\$ 2,089.55 billion over the preceding month.

There were 831 TPEX-listed companies, an increase of 1 over the preceding month. Authorized capital was NT\$ 788.58 billion, an increase of NT\$ 6.39 billion over the preceding month. Market capitalization was NT\$ 6,694.53 billion, a decrease of NT\$

62.77 billion over the preceding month.

The total trading value in the centralized stock market was NT\$ 6,427.51 billion, an increase of NT\$ 101.55 billion over the preceding month. The trading volume was 63.04 billion shares, a decrease of 7 billion over the preceding month. The net value of inwardly remitted foreign funds was US\$ 278.31 billion, an increase of US\$ 3.29 billion over the preceding month.

There were 64 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/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>

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## 金管會證期局第二百四十四期新聞信

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### 壹、重要公告

#### 一、開放證券商得接受專業投資人委託買賣外國虛擬資產 ETF

為提供投資人多元商品之選擇性，並提升我國證券商複委託業務動能，復考量外國虛擬資產 ETF 之投資風險較高，金管會於 113 年 10 月 1 日發布金管證券字第 1130353825 號令，開放證券商得接受專業投資人委託買賣外國虛擬資產 ETF，並擬具配套措施包括：證券商應評估委託人是否具備虛擬資產及相關商品專業知識及一定投資經驗，以瞭解客戶委託買賣該商品之適配性，且除委託人為專業機構投資人外，證券商應於委託人初次買進前提供商品資訊及請委託人簽具風險預告書，以及定期對業務人員辦理相關教育訓練。

#### 二、修正「證券投資顧問事業管理規則」，提升自動化投資顧問服務法令位階及強化監理強度

考量提供自動化投資顧問服務之業者數、累積資產規模及累積客戶數均大幅增加，為提升自動化投資顧問服務法令位階及強化監理強度，並保障投資人權益，爰於 113 年 10 月 25 日發布修正後「證券投資顧問事業管理規則」，除納入自律規範重要規定，並明定提供該服務者之財務業務條件、內部管理制度或內部控制制度及外部監理規範；同時放寬信託業由銀行兼營者，得以資本適足性作為經營外國有價證券投資顧問業務及提供自動化投資顧問服務之財務條件。

#### 三、發布有關證券投資信託及顧問法第 3 條第 3 項第 3 款及第 4 條第 3 項第 3 款規定經主管機關核准得經營之業務之令

為協助證券投資信託事業及證券投資顧問事業得與銀行及證券商合作發展未具證券投資信託基金性質境外基金銷售與諮詢業務，金管會於 113 年 10 月 25 日發布有關證券投資信託及顧問法第 3 條第 3 項第 3 款及第 4 條第 3 項第 3 款規定經主管機關核准得經營之業務種類之令，放寬證券投資信託事業及證券投資顧問事業得提供服務之對象及項目；另為提高境內外業者經營彈性，放寬外國資產管理機構或其指定機構在國內僅能委任一家符合資格之金融機構銷售其未具證券投資信託基金性質境外基金商品之限制，得以單一基金別控管。

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 10 月底止，上市公司計有 1,026 家，較上月增加 4 家；資本額新臺幣 78,133.2 億元，較上月增加新臺幣 355.8 億元；上市市值新臺幣 730,679.3 億元，較上月增加新臺幣 20,895.5 億元。

上櫃公司計有 831 家，較上月增加 1 家；資本額新臺幣 7,885.8 億元，較上月增加新臺幣 63.9 億元；上櫃市值新臺幣 66,945.3 億元，較上月減少新臺幣 627.7 億元。

集中市場股票總成交值新臺幣 64,275.1 億元，較上月增加新臺幣 1,015.5 億元；成交量 630.4 億股，較上月減少 70 億股。外資總累積匯入淨額 2,783.09 億美元，較上月增加 32.91 億美元。

專營證券商 64 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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