



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

1. FSC Issues Regulations Governing Anti-Money Laundering Registration of Enterprises or Persons Providing Virtual Asset Services

To strengthen Taiwan's anti-money laundering regulation and supervision of enterprises or persons providing virtual asset services, the Financial Supervisory Commission (FSC), on 26 November 2024, issued the Regulations Governing Anti-Money Laundering Registration of Enterprises or Persons Providing Virtual Asset Services. The Regulations standardize VASP business categories and business registration systems, registration conditions and procedures, management, and transitional provisions, and are in force from 30 November 2024. Enterprises or persons wishing to provide virtual asset services are required to apply for anti-money laundering registration in accordance with relevant provisions. Anyone who provides virtual asset services without completing registration will face a criminal penalty of fixed-term imprisonment for up to two years.

2. FSC Issues Order Amending Article 4-1 of the Regulations Governing Responsible Persons and Associated Persons of Securities Investment Trust Enterprises, Article 19-1 of the Regulations Governing Securities Investment Trust Enterprises, Article 19-2 of the Regulations Governing the Conduct of Discretionary Investment Business by Securities Investment Trust Enterprises and Securities Investment Consulting Enterprises, and Order Relating to Article 77, Paragraph 2 of the Securities Investment Trust and Consulting Act and Article 14, Paragraphs 3 and 5 of the Regulations Governing Responsible Persons and Associated Persons of Securities Investment Trust Enterprises

To strengthen the audit function of securities investment trust enterprises (SITEs) so as to effectively implement self-regulatory mechanisms, the amendments expressly provide that in addition to certain qualifications, a SITE's chief internal audit officer is required to hold a position equivalent to deputy general manager or an equivalent position. A time

limit is set for making any adjustments necessary for compliance: SITEs that do not meet the requirements must make the necessary adjustments within one year from the date the amendments take force. Also, to strengthen mechanisms for prevention of trades involving conflicts of interest by personnel of SITEs and of Securities Investment Consulting Enterprises (SICEs) that conduct discretionary investment business, the amendments require SITEs, as well as SICEs conducting discretionary investment business, to establish rules governing the use of information and communications equipment and to specify conflicts of interest prevention measures in their internal control systems and scrupulously implement the measures.

Under Article 77, paragraph 2 of the Securities Investment Trust and Consulting Act and Article 14, paragraphs 3 and 5 of the Regulations Governing Responsible Persons and Associated Persons of Securities Investment Trust Enterprises, the requirement is added that responsible persons, department heads, branch managers, fund managers, and investment managers of SITEs, as well as their related parties, must report the specifics of any transactions they engage in that involve stock or equity derivatives to their respective SITEs prior to executing the transactions.

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 November 2024, the total number of TWSE-listed companies stood at 1,026, an increase of 0 over the preceding month. Authorized capital was NT\$ 7,818.03 billion, an increase of NT\$ 4.71 billion over the preceding month. Market capitalization was NT\$ 71,369.03 billion, a decrease of NT\$ 1,698.9 billion over the preceding month.

There were 832 TPEX-listed companies, an increase of 1 over the preceding month. Authorized capital was NT\$ 791.29 billion, an increase of NT\$ 2.71 billion over the preceding month. Market capitalization was NT\$ 6,522.05 billion, a decrease of NT\$ 172.48 billion over the preceding month.

The total trading value in the centralized stock market was NT\$ 7,354.98 billion, an increase of NT\$ 927.47 billion over the preceding month. The trading volume was 74.62 billion shares, an increase of 11.58 billion over the preceding month. The net value of inwardly remitted foreign funds was US\$ 277.01 billion, a decrease of US\$ 1.30 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>

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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金管會證期局第二百四十五期新聞信

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壹、重要公告

一、訂定發布「提供虛擬資產服務之事業或人員洗錢防制登記辦法」

為強化我國對提供虛擬資產服務之事業或人員之洗錢防制監管，金管會於 113 年 11 月 26 日訂定發布「提供虛擬資產服務之事業或人員洗錢防制登記辦法」，規範虛擬資產服務商之業務類別及分業登記制度、登記之條件及程序、業者管理及過渡條款等事項，並自本年 11 月 30 日施行，欲提供虛擬資產服務之事業或人員，應依相關規定申請洗錢防制登記，未完成登記而提供虛擬資產服務者，將面臨最高有期徒刑 2 年之刑事責任。

二、發布修正證券投資信託事業負責人與業務人員管理規則第 4 條之 1、證券投資信託事業管理規則第 19 條之 1 與證券投資信託事業證券投資顧問事業經營全權委託投資業務管理辦法第 19 條之 2，及有關證券投資信託及顧問法第 77 條第 2 項、證券投資信託事業負責人與業務人員管理規則第 14 條第 3 項及第 5 項規定之令

為強化證券投資信託事業稽核功能以有效發揮自律機制，明定內部稽核主管除應具備一定資格條件外，其職位應等同於副總經理或同等職務，並訂定調整期限，未符合者，應於修正施行之日起一年內調整之。以及為強化證券投資信託事業及經營全權委託投資業務之證券投資顧問事業人員從事利益衝突交易之防範機制，明定證券投資信託事業及經營全權委託投資業務之證券投資顧問事業應訂定資訊及通訊設備使用管理規範，就可能衍生之利益衝突應於內部控制制度明定相關防範措施，並確實執行。

依據證券投資信託及顧問法第 77 條第 2 項、證券投資信託事業負責人與業務人員管理規則第 14 條第 3 項及第 5 項規定，證券投資信託事業之負責人、部門主管、分支機構經理人、基金經理人、投資經理人本人及其關係人從事股票及具股權性質之衍生性商品交易，其應申報之資料範圍及投資標的，增訂交易前向所屬證券投資信託事業申報。

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 11 月底止，上市公司計有 1,026 家，較上月增加 0 家；資本額新臺幣 78,180.3 億元，較上月增加新臺幣 47.1 億元；上市市值新臺幣 713,690.3 億元，較上月減少新臺幣 16,989 億元。

上櫃公司計有 832 家，較上月增加 1 家；資本額新臺幣 7,912.9 億元，較上月增加新臺幣 27.1 億元；上櫃市值新臺幣 65,220.5 億元，較上月減少新臺幣 1,724.8 億元。

集中市場股票總成交值新臺幣 73,549.8 億元，較上月增加新臺幣 9,274.7 億元；成交量 746.2 億股，較上月增加 115.8 億股。外資總累積匯入淨額 2,770.12 億美元，較上月減少 12.97 億美元。

專營證券商計 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 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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