

業務推動要項

在主管機關的督導下，本公司依循年度業務計畫，推動各項業務，以促進證券市場蓬勃發展，列舉重大業務執行情形如下：

Business development guidelines

Under the supervision of the competent authority, we push ahead with various work plans in compliance with our annual business plan to facilitate the development of the Taiwan securities market. A number of major businesses which have been undertaken are illustrated below :

>> 壹、發行市場業務

一、擴大證券市場規模

- (一) 2018 年新上市掛牌本國公司計 23 家，達 2012 年以來高點，其中上海商銀掛牌市值 1,323 億元，為近 15 年來最大之新上市公司，於 2019 年 3 月 1 日納入 MSCI 成分股；外國公司新增上市掛牌計 6 家。
- (二) 為吸引外國企業來臺上市，並落實新南向政策，辦理 9 場次海外說明會，實地拜訪逾 60 家當地企業，其中包含新南向國家如：新加坡、馬來西亞、越南、泰國、印尼等地，更首赴澳洲辦理招商。
- (三) 2018 年 3 月公告修訂上市審查準則，增加市值及營收等之多元上市條件，使企業上市規劃更彈性，並自 4 月起將上市審查期間自 8 週縮短為 6 週。

1. Expand the scope of the securities market

- (1) There were 23 newly listed domestic firms in 2018, a record high since 2012. Of them, the Shanghai Commercial & Savings Bank, Ltd has a market value of TWD 132.3 billion, the biggest newly listed firm over the past 15 years. The bank became an MSCI constituent stock on March 1, 2019. Additionally, there were six newly listed foreign companies.
- (2) In order to attract foreign firms to list in Taiwan and implement the New Southbound Policy, nine overseas roadshows have been held. Moreover, over 60 local businesses have been visited, covering Singapore, Malaysia, Vietnam, Thailand, Indonesia, Australia (first visit), and others.

- (3) The rules governing review of securities listings were amended in March 2018. It adds diverse listing conditions, including market value, sales, etc. This will make listing planning more flexible for businesses. The listing review period is shortened from eight weeks to six weeks, which is to be implemented in April.



二、新上市金融商品

- (一) 2018 年 5 月 28 日開放國內非個股期貨型權證申請發行，連結標的更多元，計有 3 家發行券商，發行 20 檔期貨型權證。
- (二) 2018 年計有 17 檔 ETF 上市，台股 ETF 聚焦高股息、低波動、中小型、工業及內需等主題，海外股票 ETF 著重 AI、Robot、科技，或布局中國大陸、新興市場；期貨 ETF 追蹤白銀及銅期貨；另有 1 檔固定收益及 2 檔股票槓反 ETF 可為增益或避險工具。

2. Newly listed financial commodities

- (1) Applications for issuance of non-single-stock futures warrants are available effective May 28, 2018. There are three issuance brokers and 20 futures warrants have been issued.
- (2) 17 ETFs were listed in 2018. Taiwan stock ETFs focused on high dividends, low volatility, small and medium enterprises, industry, domestic demand, and more. Overseas stock ETFs underline AI, Robotics, technology, mainland China, emerging markets, and others. Futures ETFs track silver and copper futures. Furthermore, one fixed income ETF and two stock leveraged / inverse ETFs may serve as gains or hedging instruments.

三、強化上市公司管理與服務

- (一) 辦理重大訊息查證，督促上市公司即時揭露重大訊息，2018 年國內上市公司計發布 27,601 則重大訊息；關於訊息面暫停交易，申請暫停（恢復）交易案件計 21 件，有助提升證券市場透明度。
- (二) 為有效協助海外臺商企業提升其經營體質，擴大其營運規模及申請上市，提供海外臺商「一站式」完整服務，除強化與會計師及承銷商合作外，並將服務窗口擴大納入金融機構海外分支機構及產業技術單位。
- (三) 強化上市公司董事會、獨立董事及功能性委員會之職能；協助上市公司發布 CSR 報告書；辦理第五屆公司治理評鑑，增訂質化評鑑指標；推動簽署「機構投資人盡職治理守則」，截至 2018 年底有 140 家簽署人。
- (四) 推動企業採用 IFRS 及 Inline XBRL 申報財務報告，舉辦 9 場 IFRS 宣導會，11 場 Inline XBRL 宣導會，並請企業自 2018 年第 3 季起試行申報，目標 2019 年第 1 季正式採用。

3. Reinforce management and service of listed firms

- (1) Conduct material information verification and urge listed firms to disclose such information on time. Domestic listed firms issued 27,601 messages in 2018. There were 21 applications for trading halt (resumption). This measure helps to increase the transparency of the securities market.
- (2) In order to effectively assist overseas Taiwanese businesses to enhance their operating performance, expand their operating scale, and apply for listing, we offer them a one-stop service. In addition to increasing cooperation with accountants and underwriters, the initiative expands service to cover financial institutions' overseas branches and industrial technology agencies.
- (3) Enhance functions of board of directors, independent directors, and functional committees of listed firms; assist listed firms to publish CSR reports; hold the 5th Corporate Governance Evaluation; add qualitative evaluation indicators; encourage firms to sign the "Stewardship Principles for Institutional Investors". As of the end of 2018, 140 firms had signed it.
- (4) Encourage businesses to adopt IFRS and Inline XBRL for their financial reports. Nine IFRS and 11 Inline XBRL promotion sessions were held. Businesses have been notified to make a test-declaration starting in Q3 2018. We hope to formally implement the new measure in Q1 2019.

>> 貳、交易市場業務

一、市場制度變革

- (一) 主管機關於 2018 年 9 月 3 日核定盤中全面逐筆交易自 2020 年 3 月 23 日起實施，本公司將建置逐筆交易擬真平台及整合推廣宣導計畫，俾使投資人於新制上線前，瞭解相關配套措施。
- (二) 為因應股票買賣價格至萬元以上，推動全市場買賣價格欄位擴充開發計畫，2018 年 3 月 2 日函告市場價格欄位擴充案之規格及預定開發時程，預計於 2020 年上線。
- (三) 2018 年 9 月 13 日公告，自 2019 年起銀行業週末補行上班日，本公司集中交易市場不交易亦不交割，當日為非營業日，應屆交割事務順延至次一營業日辦理。
- (四) 2018 年 3 月 7 日起，放寬證券商返還客戶之擔保品，得轉為該客戶他筆借券之擔保品，以簡化作業流程並降低投資人借券成本。
- (五) 2018 年 3 月 7 日起，取消證券商辦理有價證券借貸持有外幣總額度，不得超過公司資本淨值百分之三十之限制。
- (六) 2018 年 5 月 14 日完成建置保管銀行有價證券借貸資訊查詢系統，採使用者付費原則，供其下載客戶借貸交易相關資料。
- (七) 2018 年 8 月 9 日公告修正「證券商辦理有價證券買賣融資融券業務操作辦法」，修正證券商信用交易處分投資人擔保品及提前收回債權之規範，並自 10 月 1 日起實施。
- (八) 2018 年 8 月 22 日起，實施議借交易淨額結算條款，簡化借貸雙方債權債務清償作業程序，當事人可經由抵銷後現金給付差額了結，毋須再經由證券市場買回有價證券還券。



2019年3月26日，逐筆交易擬真平台上線，快來體驗吧！

臺灣證券市場開盤時間同步，2020/3/23即將正式實施逐筆交易，
只要情投意合秒成交，還配更快更靈效！

即刻體驗逐筆交易擬真平台，禮品天天抽！

- 登入時間：每週一至週五（交易日）14:30-17:00
- 登入方式：以證券交易帳號登入下載
- 活動期間：2019年4月1日起至2019年12月31日止
- 禮品內容：2019年4月至6月抽獎1000份，11 CITY CAFE咖啡券或購物卡，
還有送禮券、亞洲來回機票、APPLE 產品等多項好禮

抽獎辦法與禮品活動內容詳見活動網站 <https://t22ps.twse.com.tw> 公告為準。

臺灣證券交易所 TAIWAN 證券期貨交易所 Taipei Exchange

>> II. Exchange Market Business

1. Market system reform

- (1) The regulatory authority approved Continuous Trading on September 3, 2018, which will be effective on March 23, 2020. We will set up a virtual platform and consolidate promotional plans to allow investors time to understand relative supporting measures before these changes are implemented.
- (2) In response to stock transactions with a value of over TWD 10,000, we are pushing ahead with a development plan in which transaction price fields are expanded across the market. On March 2, 2018, a notice was posted announcing the specification of the market price field expansion plan and estimated development schedule. The initiative is slated to be implemented in 2020.
- (3) A notice was published on September 13, 2018 announcing that when the banking sector works a make-up day on weekends starting in 2019, the centralized exchange market will be closed and settlements due will be postponed to the next business day.
- (4) Brokers returning collateral to their clients relaxed effective March 7, 2018, it can be changed as collateral for the client's other security lending.
- (5) Previously the total foreign currency amount possessed by brokers for undertaking securities borrowing and lending was not allowed to exceed 30% of their capital net worth. This restriction was revoked on March 7, 2018.
- (6) A securities borrowing and lending information inquiry system for custodians was completed on May 14, 2018. The system adopts a charge principle for users to download information related to their clients' transactions.
- (7) A revised version of the "Operating Rules for Securities Firms Handling with Margin Purchases and Short Sales of Securities" was published on August 9, 2018. It revised the regulations for brokers disposing of investors' collateral in credit transactions and recovering debt early, which went into effect on October 1.
- (8) A negotiable transaction netting settlement provision was implemented on August 22, 2018. It simplifies the creditor's right and debt settlement operating procedure between the lender and the borrower. The borrower may pay the deficiency with cash after offset and is not required to purchase back securities from the market for recall.

二、強化市場管理與服務

- (一) 放寬專業機構投資人得免辦理抽樣、詢證及加密電子郵件寄送月對帳單作業，可避免證券業者造成客戶困擾，簡化證券商作業及降低成本。
- (二) 推廣證券商線上開戶作業，配合數位金融科技的推動，2018 年採用者計有 22 家業者，截至年底線上開戶數總計逾 10 萬戶數。
- (三) 建置「證券商財務資料動態查詢系統」，將證券商財務資訊設置網頁供公眾動態查詢，使用者可自行選擇欲比較查詢之證券商，並將相關財務資訊下載為 EXCEL 檔案，依其需求進行進一步分析。
- (四) 強化物聯網設備之網路安全，增加新興科技管控納入證券商內部控制制度標準規範。
- (五) 開放證券商於取得國內銀行保證，並經本公司審核同意者，得暫時提高可受託買賣額度。
- (六) 修正「證券商交割專戶設置客戶分戶帳作業要點」，開放交割專戶分戶帳內款項得存放於定期存款，並增訂相關配套控管措施，提高投資人使用證券商交割專戶設置客戶分戶帳彈性。
- (七) 因應 2018 年第 4 季亞太防制洗錢組織（APG）來臺評鑑，加強對證券商洗錢防制作業之查核輔導，提升證券商瞭解及落實執行洗錢防制規範。
- (八) 開放證券商申報可歸責於專業機構投資人之更正帳號，得免提示更正帳號申請書，利於證券商發展業務及便捷作業。
- (九) 鬆綁及簡化對國外分析師拜訪專業機構投資人應由國內高級業務員或業務員陪同規定，解決證券業者實際需求及經營成本，利於證券業者擴展業務。

2. Enhance market management and service

- (1) Professional institutional investors are exempted from undertaking sampling, confirmation and sending monthly bills in encrypted email. This solves the broker's dilemma that previously caused their clients some trouble, and simplifies brokers' operations, and cuts down their costs.
- (2) Promote on-line account opening for brokers in conjunction with digital financial technology. There were 22 brokers adopting this initiative in 2018. By the end of the year, there were over 100,000 users as a result of this.
- (3) Set up a "Broker Finance Data Inquiry System". This initiative posts brokers' financial information on the Web for the public to retrieve. Users may choose brokers they desire and compare. Then, they may download related financial information in an Excel file for further analysis as needed.
- (4) Reinforce the network security of Internet of Things equipment, and add emerging technology control to brokers' internal control standard regulations.
- (5) Brokers who have obtained guarantees from domestic banks and have been approved by the TWSE may temporarily raise their consigned trading amount limit.

- (6) Revised the "Guidelines Governing the Creation of Customer Ledgers of Securities Firms' Settlement Accounts", approved amounts in customer ledgers of settlement account are to be deposited in a fixed deposit, and supporting control measures have been added to increase the flexibility of investors using the creation of customer ledgers in securities firms' settlement accounts.
- (7) In response to the Asia / Pacific Group on Money Laundering (APG) visiting Taiwan for evaluation, increase inspection and guidance on broker operations in this regard to facilitate brokers to understand and implement anti-money laundering regulations.
- (8) Brokers are allowed to apply for account correction which can be attributed to professional institutional investors. They can be exempted from account correction applications for the convenience of brokers' operations.
- (9) Relax and simplify the regulations on domestic senior brokers or brokers accompanying foreign analysts visiting professional institutional investors to address brokers' actual needs, control operating costs and facilitate them to develop their business.

三、維持市場秩序

- (一) 市場監視作業：全年度公布注意交易資訊之有價證券計 431 種 2,335 次，採取處置措施者計 83 種 189 次。另於交易時間即時對新聞報導及網路訊息進行監看，發現影響上市公司股票價格之重大訊息，並請其公告澄清者計 16 次，執行跨市場監視資訊通報計 12 次。
- (二) 電視投資理財節目之側錄、監看情形：全年度側錄檢視計 2,130 個電視投資理財節目。節目分析人員言論明顯涉有違規情事已陳報主管機關，計有 43 人次。

3. Maintain market order

- (1) Market surveillance: There were 431 kinds of securities and 2,335 times with announcement or notice of attention to trading information, and 83 disposition types happened 189 times. Besides, monitoring news reports and Internet messages, real-time trading found material information affecting listed firms' share prices, in which 16 requests were issued to the listed firms for clarification. There were 12 information reports conducted on cross-market surveillance.
- (2) Recording and monitoring television investment and wealth management programs: 2,130 such programs were recorded and reviewed all year round. Program analysts whose comments clearly violated regulations were reported to the competent authority 43 times.

>> 參、資訊應用與服務

一、系統升級

- (一) IFRSs 財務報告 Inline XBRL 技術升級，以符合國際 XBRL 發展趨勢，投資人使用瀏覽器即可閱讀財報內容，大幅提升 XBRL 財報在使用上的便利性及效率。
- (二) 因應交易資料量擴增及歷史資料永久保留之需，並考量資料庫備份作業完整性，優化監視系統效能，壓縮歷史資料提升備份效率，增進 50% 資料庫存取效能。
- (三) 為維護市場電腦系統運作安全，完成交易系統撮合電腦主機汰舊換新作業，提高系統處理容量，確保業務發展不受限，並滿足逐筆交易上線之主機需求。
- (四) 協助周邊單位進駐第一資訊中心，期交所已於 2018 年 3 月 26 日進駐。本公司、櫃買中心、期交所皆已進駐完成。

二、優化服務

- (一) 英國標準協會 (BSI) 因應歐盟一般資料保護規範 (GDPR) 更新 BS 10012 版本，本公司於 2018 年 12 月 4 日獲得「BS 10012:2017 個人資料管理制度」國際認證，顯示本公司的個資保護作業已達國際最新標準。
- (二) 修正交易資訊使用管理辦法收費標準，於 2018 年 7 月起實施，維持公平競爭環境；另訂定對外國非揭示用途終端用戶收費，充分反映不同資訊用途的價值差異，健全證券市場資訊產業環境。
- (三) 推廣證券市場資訊應用於創新服務，與金融科技創新園區執行單位資策會議定，並簽署供給使用交易資訊契約，以協助園區吸引金融科技技術開發者投入金融領域，發展新興金融科技服務，加速金融科技服務創新。
- (四) 新版網路資訊商店 (Data E-Shop) 於 2018 年 10 月正式上線，導入更直覺、友善的行動化介面，帶給使用者更便捷、流暢、舒適的網站瀏覽與資訊訂購體驗，有效提升服務效率及客戶滿意度。
- (五) 提升公司網站服務內容與品質，含 APP 改版、網站行動化導入單一 APP 及強化網站資安。

>> III. Information Application and Service

1. System upgrade

- (1) Upgrade Inline XBRL in IFRS financial reports technologically to conform to the XBRL development trend. Investors may read financial reports easily through their web browser. This measure significantly enhances the convenience and efficiency of XBRL financial reports in terms of use.

- (2) In response to the expansion of trading data volume and the permanent storage need of historic data, and in consideration of database backup integrity, we have optimized the surveillance system's effectiveness and compressed historic data to enhance backup efficacy. This measure increases the database's access efficiency 50%.
- (3) In order to maintain the operating safety of the market computer system, we have changed to a new matching computer host for the trading system. This enhances the system's processing capacity, ensures business development is not limited, and meets the needs of the continuous trading on-line host.
- (4) We assisted peripheral units to be stationed at the First Information Center. The TWSE and Taipei Exchange moved first and then the Taiwan Futures Exchange on March 26, 2018. All Information Application and Service for all three are now in the same place.

2. Optimized service

- (1) The British Standards Institution (BSI) updated its BS 10012 version in response to the European Union's General Data Protection Regulation (GDPR). We became certified by "BS 10012:2017 Personal Information Management System" on December 4, 2018. This indicates that our personal data protection has reached the latest international standard.
- (2) The charging standard in the "Regulations Governing the Use of Trading Information" was implemented in July 2018 to maintain a fair competing environment. Furthermore, we have begun to charge non-displayed purpose terminal users to adequately reflect value variations of different information purposes and perfect the information and industrial environment of the securities market.
- (3) We have promoted information of the securities market to be applied to innovation service. We have reached an agreement with FinTechSpace's execution unit-the Institute for Information Industry, and signed a deal on trading information supply and use. This initiative is expected to assist FinTechSpace to draw FinTech developers into the financial field and develop emerging financial technology service and accelerate innovation in FinTech service.
- (4) A new version of Data E-Shop formally went on-line in October 2018. It adopts a more intuitive and friendly mobile interface to bring greater convenience, a smoother and more comfortable Website exploration and information subscription experience to users; additionally, it enhances service effectiveness plus customer satisfaction.

- (5) We have been enhancing our Website service content and quality, including a revised version of APP, a single app introduced to the Website mobilization, reinforcing Website information security.

>> 肆、國際事務、推廣宣導及新商品開發

一、國際事務與合作

- (一) 2018 年 3 月參與東京證券交易所主辦之「IR Festa」活動，並簽署臺日韓三方合作備忘錄，強化與日韓合作關係，截至 2018 年底，本公司已與國外 30 家交易所簽署 44 件有效備忘錄。
- (二) 與韓國交易所共同推動 ETF 商品合作，協助雙方市場之投信、資產管理公司發行追蹤雙方合編之「臺韓資訊科技指數」ETF，2018 年 6 月 11 日實現 ETF 於臺韓兩地同步上市，並授權予法國外貿銀行（Natixis）發行 ETN，於 2018 年 10 月 15 日在泛歐交易所（Euronext）掛牌上市。
- (三) 參與國際性證券相關組織會議及事務，如國際證券管理機構組織（IOSCO）、世界交易所聯合會（WFE）、亞洲暨大洋洲交易所聯合會（AOSEF）等相關國際組織年會、工作委員會、附屬組織會議及工作小組，掌握話語權，提升國際影響力。
- (四) 2018 年 10 月與主管機關及周邊單位共同舉辦「第十二屆臺北公司治理論壇」暨「美國 SEC 區域交流訓練計畫」，前項活動國內出席學員包括上市櫃公司、證券金融事業、推動公司治理之相關政府單位、學術單位及媒體代表等總計約 650 餘人，後項活動國外學員包含各國證券監管機構、公司治理研究機構及交易所代表共 55 位及百餘位國內證券同業參加。



臺韓科技 ETF 上市典禮 Korea / Taiwan IT
Premier ETF Listing Ceremony



亞洲科技論壇 Asia Technology Forum

>> IV. International Business, Promotion & Marketing, and New Commodity Development

1. International business and cooperation

- (1) We participated in the "IR Festa" in March 2018 held by the Tokyo Stock Exchange and signed a Taiwan-Japan-Korea trilateral Memorandum of Understanding (MOU) to reinforce our cooperation with Japan and South Korea. As of the end of 2018, we had signed 44 MOUs with 30 foreign exchanges.
- (2) We have been engaging in detailed discussion with the Korea Exchange on ETF commodities and assisting investment trust and asset management companies in both markets to issue and follow the "Korea / Taiwan IT Premier Index" (ITP Index) for ETFs compiled by both exchanges. On July 11, 2018, the ETFs went to the market in Taiwan and South Korea at the same time. Moreover, we authorized Natixis to issue ETNs, which listed on Euronext on October 15, 2018.
- (3) We have been participating in worldwide business-related organization meetings and affairs, such as international organization annual conferences, work committees, affiliated organization meetings and working groups of International Organization of Securities Commissions (IOSCO), World Federation of Exchanges (WFE), Asian and Oceanian Stock Exchanges Federation (AOSEF), and others. This gives us the opportunity to engage with the various global communities and thereby raise our international standing.
- (4) In October 2018, we held the "12th Taipei Corporate Governance Forum" & "the United States SEC Regional Exchange Training Program" jointly with the regulator and peripheral units. The first event was attended by domestic participants from listed companies, securities and finance businesses, governments units involved in promoting corporate governance and related matters, academia and media representatives, totaling over 650 people. The second event included 55 domestic and foreign participants from international securities regulators, corporate governance research institutes and stock exchange representatives, and also over a hundred representatives from domestic securities firms.

二、推廣宣導與公益

- (一) 為行銷我國資本市場，偕同上市櫃公司出訪，赴新加坡、東京、首爾、香港，舉辦前進臺灣資本市場說明會，與機構投資人會議，介紹臺灣產業前景與資本市場優勢。
- (二) 辦理證券投資教育宣導：
 - 1. 校園推廣教育：包括全國教師證券知識研習營、校園證券投資智慧王、金融講堂、學校及機關團體參訪服務。
 - 2. 一般投資人推廣教育：包括社區大學理財講座、宣導畫冊—漫畫、製作證券金融宣導 DVD 短片、金融服務愛心公益嘉年華、生技月活動、強化辦理更生人之金融知識宣導、紅包袋暨吉祥賀卡應景文宣品。
 - 3. 網路數位族群推廣教育：包括網路闖關有獎徵答活動、投資人知識網、臉書（FB）粉絲專頁、FinTech Taipei 2018 臺北金融科技展。
 - 4. 一般投資人服務：包括投資人服務專線、提供投資人查詢開戶及交易資料服務。
- (三) 2018 年本公司董事會後及針對重要議題（如公司治理評鑑結果、盤中全面逐筆交易等）召開記者會近 15 場，對外發布中英日文新聞稿逾 1,300 則；辦理國內上市公司重大訊息說明記者會逾 160 場。
- (四) 配合政府政策捐助「金融服務業教育公益基金」，捐助花蓮震災及 823 南部水災災民，與證券周邊單位合辦「教育部—學校教育儲蓄戶」、「大專生金融就業公益專班」、「金融有愛—食（實）物銀行」及贊助偏鄉足球運動，支持社福團體辦理老人送餐、照護及國內外弱勢救助，另贊助國中、小課後、暑期輔導計畫，及「新北教育局圓夢基金」等。

2. Promotion and public interest

- (1) In order to promote the Taiwan capital market, we went abroad together with listed firms and visited Singapore, Tokyo, Seoul, Hong Kong, and other locations globally. We held an information session on foreign listings on the TWSE (IPO in Taiwan) in each country. There were further one-on-one meetings with institutional investors to highlight the diverse industrial prospects and the advantages of the capital market in Taiwan.
- (2) Undertake securities investment and education promotion:
 - i. Promotional education on campus: including securities knowledge workshops for teachers nationwide, the TWSE securities investment competition on campus, financial lectures, school and organization visits.
 - ii. Promotional education for general investors: including wealth management lectures in community colleges, cartoons, DVD clips, public interest festival,

- biotech month activity, financial knowledge promotion to ex-offenders, red envelopes and cards, and other events.
- iii. Promotional education for Internet digital groups: including competitions, Investors Knowledge Network website, FB fan page, and FinTech Taipei 2018.
 - iv. General investor service: including a service hotline for investors, inquiring about account opening and trading information.
- (3) After the TWSE board meeting in 2018, about 15 press conferences were held alongside important issues (e.g. Corporate Governance Evaluation results, Continuous Trading), and 1,300 press released in Chinese, English and Japanese. Over 160 press conferences were held for domestic listed firms regarding material information.
- (4) To echo the government's policy, we donated to the Financial Services Education Fund, the 0206 Hualien earthquake victims, and victims of the 823 floods in southern Taiwan. Moreover, we have had the following initiatives jointly with securities peripheral units: "Ministry of Education: School Educational Saving Fund", "Financial Literacy" program for colleges, food / goods bank, sponsoring rural football sport. Furthermore, we support social welfare groups to deliver meals to senior citizens, aid domestic underprivileged people, and facilitate after-school guidance plans for elementary and junior high school students, dreamers fund of Education Bureau of New Taipei City, and other charities.

三、新商品開發及推廣

- (一) 金管會於 2018 年 6 月 28 日發布「證券商發行指數投資證券 (ETN) 處理準則」，本公司於 9 月 10 日公告上市制度、申購買回及流動量提供者等法規，12 月 3 日已受理富邦證券、元富證券及元大證券等首批 ETN 標的指數資格認可申請案；電腦系統開發作業，預計於 2019 年 4 月 29 日上線。
- (二) 單日槓桿證 DLC 上市規劃報告於 2018 年 2 月 7 日提報券商公會新金融商品委員會通過，並於 3 月 2 日陳報主管機關。另依主管機關指示，就規劃案再釐清事項，併彙整法規修訂意見，於 9 月 5 日再次陳報主管機關。
- (三) 依主管機關指示於期貨型權證上市交易 6 個月後召開檢討會議，本公司經邀集券商公會、期貨交易所及櫃檯買賣中心，就權證發行人提出之建議事項共同商議，業於 12 月 24 日將會議紀錄函送相關單位辦理，副本另陳主管機關。
- (四) 辦理證券商 ETF 交易及造市競賽、ETF 短片徵選、舉辦臺股 ETF 投資說明講座、ETF 十五週年論壇及韓國資本市場投資說明會，並出席國內及日本、韓國、馬來西亞等地之 ETF 研討會。

3. Development & promotion of new commodities

- (1) The Financial Supervisory Commission published the "Regulations Governing the Issuance of Exchange Traded Note by Securities Firms" on June 28, 2018. We announced rules on listing, redemption, and flow providers. On December 3, we received applications for qualification recognition of the first batch of ETNs underlying index from Fubon Financial, Master Link Securities, and Yuanta Securities. Computer system development operations are estimated to go on-line on April 29, 2019.
- (2) The Daily Leverage Certificate (DLC) listing planning report was approved by the new financial commodities committee of the Taiwan Securities Association on February 7, 2018 and was reported to the competent authority on March 2. Following their instructions, further explanation along with legal review and regulation revisions were again reported on September 5.
- (3) According to the instruction of the competent authority, a review meeting was to be held six months after futures warrants were listed for trading. As a result, we invited the securities association, the futures exchange, and Taipei Exchange to deliberate on feedback made by warrant issuers. The meeting minutes were submitted by December 24 to the competent authority and relevant units.
- (4) Various activities were held: broker ETF trading and market making competition, ETF clip selection, ETF investment lectures, ETF 15th anniversary forum and the South Korea capital market investment meeting; attendance at ETF seminars in Taiwan, Japan, South Korea, and Malaysia.



臺灣永續指數發表會暨永續投資論壇 Taiwan Sustainability Index Conference and Sustainable Investment Forum