

## 公會簡介

### 公會沿革

本公會係於 1998 年 10 月 8 日由原台北市證券投資信託暨顧問商業同業公會（創設於 1990 年 1 月）為強化公會服務會員及自律組織之功能，並配合證券市場之發展需要及協助主管機關執行相關行政委託作業而改組創設，於同年 11 月 6 日經內政部正式核備。

### 設立宗旨

本公會以促進經濟建設，協調同業關係，增進共同利益為宗旨。

### 公會任務

- 一、關於配合國家經濟發展，促進證券市場發揮功能事項。
- 二、關於會員業務之調查、統計、諮詢及研究、發展事項。
- 三、關於維護證券投資信託、證券投資顧問、全權委託投資與境外基金相關業務之秩序、公正及保護受益人或客戶事項。
- 四、關於防止證券投資信託、證券投資顧問、全權委託投資與境外基金相關業務之虛偽、詐欺、隱匿或其他足致他人誤信等不法之行為事項。
- 五、關於政府經濟政策與證券投資信託及顧問、證券期貨管理法令、商業法令之協助推行及研究、建議事項。
- 六、檢查會員是否遵守法令及自律規範。
- 七、對於業務經營顯然不善，重大損害投資人權益之會員，協調其他會員協助處理該會員之業務，或報請主管機關為適當之處分。
- 八、對於破產會員之財產進行管理。
- 九、關於督促會員自律，共謀業務改進及聯繫、協調事項。
- 十、關於會員間或會員與客戶間紛爭之調處事項。
- 十一、關於同業員工職前訓練、在職專業訓練及業務講習之舉辦事項。
- 十二、關於會員業務之廣告、展覽及證明事項。
- 十三、關於會員業務錯誤之矯正及違規之議處事項。
- 十四、關於會員、會員代表、及會員員工基本資料之建立及動態之調查、登記事項。

## Introduction of the Association

### History of Organization

The Association was reorganized on October 8<sup>th</sup>, 1998 and previously known as Securities Investment Trust & Advisory Association of Taipei, R.O.C., which was set up in January of 1990. To strengthen services for its members, well perform its functions as self-regulatory organization, meet the requirements for securities market development, and support the administrative operations entrusted by the government agencies in charge, the Association obtained the permission to set up from the Ministry of the Interior affairs on November 6<sup>th</sup>, 1998.

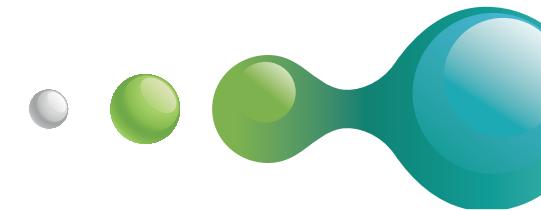
### Purpose of Establishment

The purposes for the establishment of the Association are to promote national economy, coordinate the relationships between the members, and advance their common interests.

### Association's Missions

1. To cope with nation's economic development and promote the functions of local securities market.
2. To conduct investigation, statistics, consultation, and research and development of the operations of association members.
3. To uphold the fairness and integrity of SITE, SICE, discretionary investment management, offshore funds business and protect the investors.
4. To prevent any untruthful, fraudulent, deceiving, or misleading business conducts in the market.
5. To research, propose, promote, and facilitate policies and guidelines to the government on behalf of the industry.
6. To conduct field inspection on members' compliance with applicable laws and regulations.
7. To report to the competent authority in charge and coordinate members to deal with other members in financial trouble or issues concerning investors' rights and interests.
8. To supervise and manage assets and property of members in insolvency proceedings.
9. To enforce association members' self-discipline and code-of-conduct matters of operations improvement, liaison and coordination.
10. To mediate the disputes between association members or those between association members and the investors.
11. To conduct prejob training and on-job training, as well as operations training.
12. To manage the advertisements, exhibitions and certifications for association members.
13. To rectify association member's misconducts and violations of self-regulations.
14. To establish personnel data of association members, representatives and employees, and conduct investigation and registration of association members' activities.





十五、關於會員委託證照之申請變更、換領及其他服務事項。

十六、關於會員或社會公益事業之舉辦事項。

十七、關於會員合法權益之維護事項。

十八、關於接受政府機關委託辦理、授權處理事項或其他機關團體之委託服務事項。

十九、關於社會運動之參加事項。

二十、依其他法令規定或會員建議應辦理之事項。

15. To offer association members the services of permit, amendment, and replacement and other license-related matters.

16. To conduct the activities of social charity for association members.

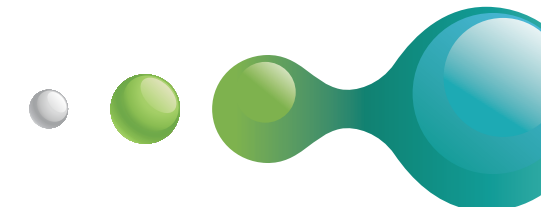
17. To protect the legal rights and interests of association members.

18. To offer the services entrusted by government agencies or other organizations and establishments.

19. To participate in social activities in compliance with "Business Group Laws".

20. To manage the matters regulated by relative laws and those suggested by association members.





## 公會識別系統 An Explanation of the SITCA Logo

凝聚與延展 Cooperation and Expansion



### 公會識別系統 – 意義與說明

以中文的“中”字為圖形主軸，實則為兩動線的環繞，且為同一單一圖形的四種逆時鐘向中間旋轉，意涵「投信」「投顧」兩大產業如動線般凝聚、延展。

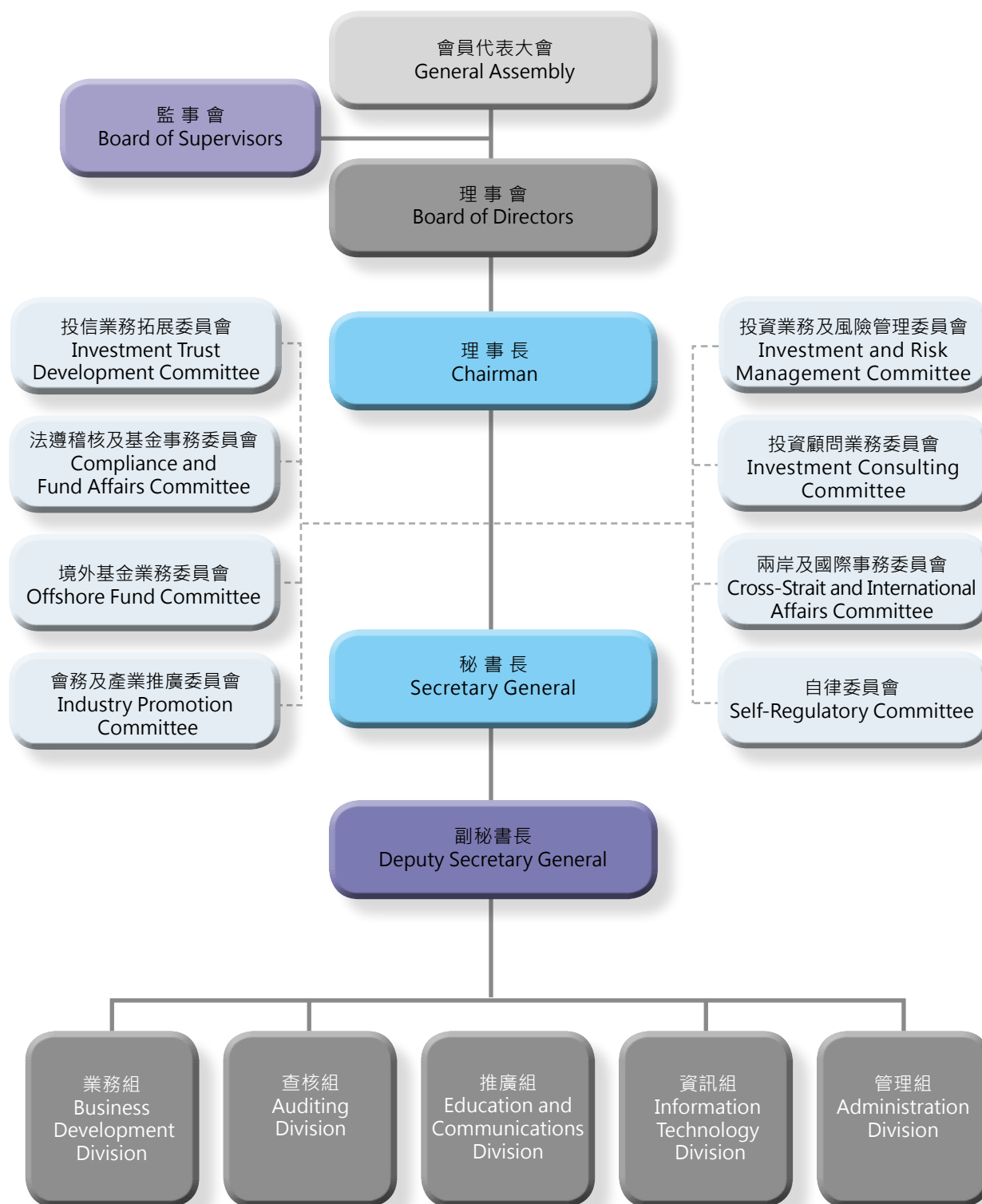
商標色以象徵兩大產業之綠藍兩色為主架構，塑造清新形象且充滿活力。

### The Meaning Behind the SITCA Logo

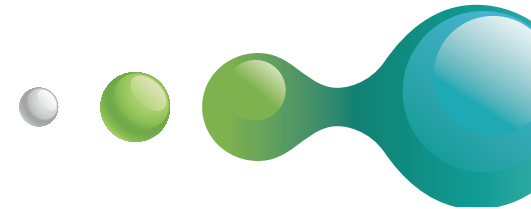
SITCA's logo is designed based on the Chinese Character “中” (center). Essentially, it contains two dynamic lines that mean that the SITE and SICE circulate in a counter-clockwise manner around the center. The logo implies that both the SITE and SICE sectors cooperate and seek expanded opportunities together as the dynamic lines indicate.

The logo is primarily colored green and blue, indicating that the two business sectors are growing innovatively and robustly.

## 組織系統圖 Organization Chart







## 理監事名錄

### 一、現任理事名錄 Directors

資料日期：2018年12月31日  
Date：December 31, 2018

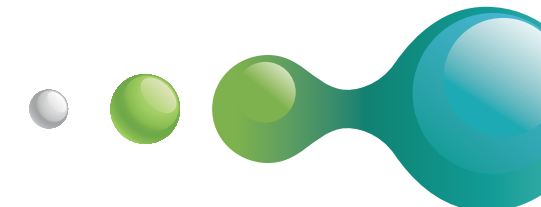
職別 Position	姓名 Name	公司 Company	公司職稱 Title
理事長 Chairman	張錫 Jeff Chang	國泰證券投資信託股份有限公司 Cathay Securities Investment Trust Co., Ltd.	董事長 Chairman
理事 Director	劉吉人 Frank Liu	富蘭克林證券投資顧問股份有限公司 Franklin Templeton Securities Investment Consulting (SinoAm) Inc.	資深顧問 Senior Consultant
理事 Director	馬文玲 Michelle Maa	安本標準證券投資信託股份有限公司 Aberdeen Standard Investments Taiwan Limited	總經理 President
理事 Director	林怡君 Kimiko Lin	華南永昌證券投資信託股份有限公司 Hua Nan Investment Trust Corp.	董事長 Chairman
理事 Director	董俊男 Samuel Tung	柏瑞證券投資信託股份有限公司 PineBridge Investments Management Taiwan Limited	代理總經理 Acting President
理事 Director	段嘉薇 Vivian Tuan	安聯證券投資信託股份有限公司 Allianz Global Investors Taiwan Ltd.	總經理 President
理事 Director	李靖靖 Ching Ching Li	凱基證券投資信託股份有限公司 KGI Securities Investment Trust Co. Ltd.	資深副總經理 Senior Vice President
理事 Director	巫慧燕 Francine Wu	施羅德證券投資信託股份有限公司 Schroder Investment Management (Taiwan) Limited	總經理 President
理事 Director	周文森 Bourdarie Vincent	野村證券投資信託股份有限公司 Nomura Asset Management Taiwan Ltd.	投資長 CIO
理事 Director	翁振國 Derek Yung	聯博證券投資信託股份有限公司 AllianceBernstein Investments Taiwan Limited	董事長 Chairman
理事 Director	黃慧敏 Loretta Ng	瀚亞證券投資信託股份有限公司 Eastspring Securities Investment Trust Co. Ltd.	總經理 President
理事 Director	朱成志 Chen Chih Chu	萬寶證券投資顧問股份有限公司 Marbo Securities Consultant Co., Ltd.	董事長 Chairman
理事 Director	周輝啟 Stephen Chou	復華證券投資信託股份有限公司 Fuh Hwa Securities Investment Trust Co., Ltd.	總經理 President
理事 Director	陳明輝 Ming Hui Chen	群益證券投資信託股份有限公司 Capital Investment Trust Corp.	總經理 President
理事 Director	陳駿賢 Jeff Chen	兆豐國際證券投資信託股份有限公司 Mega International Investment Trust Co., Ltd.	總經理 President
理事 Director	游麗美 Li Mei Yu	統一證券投資信託股份有限公司 Uni-President Asset Management Corporation	執行副總經理 Executive Vice President
理事 Director	黎方國 Park Li	統一證券投資顧問股份有限公司 President Capital Management Corp.	董事長暨總經理 Chairman & President
理事 Director	簡文芳 Max Chien	駿利亨德森證券投資顧問股份有限公司 Janus Henderson Investors Taiwan Limited	總經理 President
理事 Director	林寶珠 Judy Lin	先鋒證券投資顧問股份有限公司 Ezfund Securities Investment Consulting Enterprise Ltd.	顧問 consultant
理事 Director	莊智宏 Chih-Hung Chuang	大昌證券投資顧問股份有限公司 Dah Chang Securities Investment Consultant Co., Ltd.	董事 Board Director

非會員理事 Non-Member Director	王儷玲 Jennifer L. Wang	國立政治大學 National Chengchi University	教授 Professor
非會員理事 Non-Member Director	李瑞珠 Grace Lee	台灣社會保險教育發展協會 Social Insurance Education Development Association In Taiwan	理事長 Chairman
非會員理事 Non-Member Director	李存修 Tsun-Siou Lee	國立臺灣大學 National Taiwan University	特聘教授 Distinguished Professor
非會員理事 Non-Member Director	林修銘 Sherman H. M. Lin	台灣集中保管結算所股份有限公司 Taiwan Depository & Clearing Corporation	董事長 Chairman
非會員理事 Non-Member Director	張麗真 Li Chen Chang	財團法人中華民國證券暨期貨市場發展基金會 Securities and Futures Institute Service Foresight Innovation	總經理 President
非會員理事 Non-Member Director	林仁光 Andrew Jen-Guang Lin	國立臺灣大學法律學院 National Taiwan University College of Law	教授 Professor
非會員理事 Non-Member Director	林盈課 Anchor Lin	國立中興大學財務金融系 National Chung Hsing University Department of Finance	教授 Professor
非會員理事 Non-Member Director	郝充仁 James C. Hao	淡江大學保險系 Tamkang University Department of Insurance	副教授 Associate Professor
非會員理事 Non-Member Director	馬嘉應 Chia Ying Ma	東吳大學會計學系 Soochow University Department of Accounting	教授 Professor
非會員理事 Non-Member Director	陳錦烽 Jiin Feng Chen	實踐大學管理學院國際企業英語學位學程 Shih Chien University College of Management English Taught Program in International Business	客座副教授兼系主任 Visiting Associate Professor & Chair

### 二、現任監事名錄 Supervisors

職別	姓名 Name	公司 Company	公司職稱 Title
監事會召集人 Convener	陳明智 Min Jyh Chen	啟發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant Co., Ltd.	董事長兼總經理 Chairman & President
監事 Supervisor	黃書明 James S. Hwang	富蘭克林華美證券投資信託股份有限公司 Franklin Templeton SinoAm Securities Investment Management Inc.	總經理 President
監事 Supervisor	劉宗聖 Tsung-Sheng Liu	元大證券投資信託股份有限公司 Yuanta Securities Investment Trust Co., Ltd.	總經理 President
監事 Supervisor	林志明 Barry Lin	霸菱證券投資顧問股份有限公司 Baring SICE (Taiwan) Limited	董事長兼總經理 Chairman & President
監事 Supervisor	顧奎民 Andy Ku	顧德證券投資顧問股份有限公司 Good Securities Investment Consultant Co., Ltd.	董事長兼總經理 Chairman & President
監事 Supervisor	季崇慧 Christine Jih	法銀巴黎證券投資顧問股份有限公司 BNP Paribas Investment Partners Taiwan Co., Ltd.	董事長兼總經理 Chairman & President
監事 Supervisor	張惟閔 Wei Min Chang	安聯證券投資信託股份有限公司 Allianz Global Investors Taiwan Ltd.	投資長 CIO
非會員監事 Non-Member Supervisor	蔡揚宗 Yang-Tzong Tsay	國立臺灣大學會計系 National Taiwan University Department of Accounting	名譽教授 Emeritus Professor
非會員監事 Non-Member Supervisor	李志宏 Jie Haun Lee	國立政治大學財務管理學系 National Chengchi University Department of Finance	教授 Professor
非會員監事 Non-Member Supervisor	張仲岳 Conrad Chang	國立台北大學 National Taipei University	教授 Professor
非會員監事 Non-Member Supervisor	譚家蘭 Jia Lang Seng	國立政治大學 National Chengchi University	特聘教授 Distinguished Professor





## 組織與職掌

### 會員代表大會

由本公會會員公司依營業收入分為 A、B、C、D、E、F 六級，並依其等級分別指派代表六人、五人、四人、三人、二人或一人組成會員大會，為公會之最高權力機關。本公會截至 107 年 12 月底止會員有證券投資信託公司 39 家，證券投資顧問公司 82 家，兼營業者 42 家，合計 163 家，會員代表 412 人。

職掌：

- 選舉及罷免理、監事。
- 章程之訂定與變更。
- 議決年度工作計畫綱要、經費預算、決算及事業計畫。
- 議決理事會、監事會及會員（會員代表）提議事項。
- 議決入會費、常年會費、事業費等之數額及方式。
- 除組織章程第十八條第二項之處分外，會員及會員代表之處分。
- 理事、監事之解職。
- 財產之處分。
- 本公會解散、清算之決議、清算人之選派及關於清算事項之決議。
- 議決其他有關會員權利義務事項。

### 理事會

本公會置理事三十三人，其中十人為有關專家擔任之非會員理事，組織理事會，為常設機構，亦為公會最高執行機關。其中一人為理事長，綜理會務，對外代表公會。

職掌：

- 與監事會共同遴選非會員理事及監事。
- 選舉及罷免理事長。
- 議決理事及理事長自行辭任。
- 執行會員大會之決議案。
- 召集會員大會。
- 通過會員入會、退會及註銷會員、會員代表會籍。
- 編擬年度工作計畫綱要、經費預、決算及事業計畫。
- 審議重要提案。
- 本公會會務工作人員、顧問等之遴聘、解聘。
- 本公會相關規章之訂定及變更。
- 辦理監事會移送執行案件。
- 遇有緊急重大事項不及召開會員代表大會時，得由理事會先為必要之措施，於會員代表大會時報請追認。
- 議決處分未依規定繳納會費之會員。
- 執行法令及章程所規定之事項。
- 其他依職責應辦理之事項。

## Organizations and Duty

### General Assembly

The SITCA members are divided into six classes in accordance with their business revenues: A, B, C, D, E and F with 6, 5, 4, 3, 2, 1 representatives appointed to form the General Assembly, which is the highest power of the Association. By the end of December 2018 SITCA has 39 securities and investment trust member companies, 82 securities and investment consulting member companies, and 42 concurrent members. There are a total of 163 member companies and 412 member representatives.

### Functions and Responsibilities

- Elect and recall the members of Board of Directors and Supervisors.
- Enact and amend the rules of the Charter of the Association.
- Call for votes on the annual work schedules, budgets of expenditures, actual expenditures.
- Resolve on the matters proposed by the Board of Directors and Supervisors as well as member initiatives.
- Resolve on membership fees, annual fees, and business fees.
- Dispositions on member and their representatives other than those specified under Article 18, Section 2 of Association article of incorporation.
- Discharge of directors and supervisors.
- Disposition of property.
- Resolve and liquidate on the Association, the appointment of liquidation supervisor and other related matters.
- Resolve on other substantial matters concerning the rights and obligations of the members.

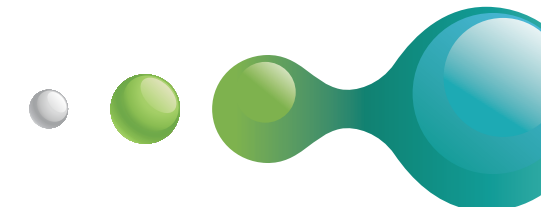
### Board of Directors

The board is composed of 33 directors and ten of them are from of scholars and experts. The Board of Directors is the highest execution body for the SITCA. One Director shall be elected as the Chairman to represent the SITCA.

### Functions and Responsibilities

- Elect non-member directors and supervisors jointly with the Board of Supervisors.
- Elect and discharge the Chairman.
- Resolve on the voluntary resignation of Chairman and directors.
- Execute resolutions passed by General Assembly.
- Call for the meetings of General Assembly.
- Resolve on new membership, revocation, and representatives.
- Prepare and draft annual projects, budgets, and action plan.
- Review important proposals.
- Employ and discharge working staff and consultant.
- Enact and amend Association's rules and regulations.
- Enforce matters resolved by the Board of Supervisors.
- Acknowledge necessary emergency measures in the next the General Assembly if not able to convene an official General Assembly.
- Resolve on and dispose of members who fail to submit a timely membership fees.
- Perform legal matter or others required by article of incorporation.
- Others required by its duties.





## 監事會

本公會置監事十一人，其中四人為有關專家擔任之非會員監事，組織監事會，為公會之監察機關。其中一人為監事會召集人。

職掌：

- 與理事會共同遴選非會員理事及監事。
- 選舉及罷免監事會召集人。
- 監察理事會執行會員大會之決議案。
- 監察理事會會務執行情形。
- 審核理事會各種會計報告書類。
- 稽核理事會之經費收支狀況。
- 向會員大會提出年度監查報告。
- 議決監事之自行辭任。
- 其他依職權應監察之事項。

## 委員會

本公會依一般行政業務項下設有投信業務拓展、投資業務及風險管理、法遵稽核及基金事務、投資顧問業務、境外基金業務、兩岸及國際事務、會務及產業推廣及自律等八個委員會。投資顧問業務委員會設置會員投顧組及投顧事務組，自律委員會設置基金廣告組及媒體證券分析組。

### 投信業務拓展委員會

職掌

- 有關投資信託業務之企劃、行銷、通路暨退休金業務之發展、聯繫、協調、改進及範圍擴增事項。
- 有關編擬本委員會年度工作計劃綱要、預、決算及年度工作報告事項。
- 其他相關事宜之處理事項。

### 投資業務及風險管理委員會

職掌

- 有關投信投顧事業經理之各基金、全權委託投資基金之運用範圍、投資交易與流程、投資風險管理等之相關法令、規章之研究與建議事項。
- 有關編擬本委員會年度工作計劃綱要、預、決算及年度工作報告事項。
- 其他相關事宜之處理事項。

## Board of Supervisors

It is comprised of 11 supervisors, and 4 of them are experts and scholars. One Supervisor shall be elected as the Convener.

### Functions and Responsibilities

- Elect non-member directors and supervisors jointly with the Board of Directors.
- Elect and discharge Convener of the Board of Supervisors.
- Supervise the implementation of resolutions of the Board of Directors.
- Supervise the implementation of association affairs by the Board of Directors.
- Review accounting reports of the Board of Directors.
- Audit the budgets and expenses of the Board of Directors.
- Submit supervisory reports to the General Assembly.
- Resolve on the voluntary resignation of supervisors.
- Others required by its supervisory duties.

## Committees

There are eight committees handling the general administrative affairs, namely investment trust development, compliance and fund affairs, investment and risk management, investment consulting development, offshore fund business, cross-strait and international affairs, industry promotion, and self-regulatory committees. SICE and SICE affairs group setup by SICE committee for members and funds advertisement and media fund securities analysis group set up by the self-regulatory committee.

### Investment Trust Development Committee

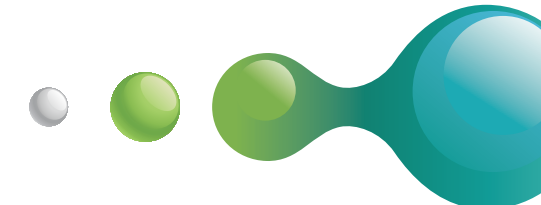
- Business development, co-ordination, improvement and expansion of SITE planning, marketing, channel and pension.
- Drafting of the annual calendar of the committee as well as issues such as agenda, budget, final account and annual report.
- Other related issues.

### Investment and Risk Management Committee

- Research on the policy, regulation as well as and proposal of SITE and SICE managed general funds, discretionary investment funds, investment trading and procedure, and investment risk management.
- Drafting of the annual calendar of the committee as well as issues such as agenda, budget, final account and annual report.
- Other related issues.







## 法遵稽核及基金事務委員會

### 職掌

- 有關投資信託業務之法遵、稽核、基金事務、基金會計等業務之發展、聯繫、協調、改進及範圍擴增事項。
- 有關投資信託業務之法遵、稽核、基金事務、基金會計等業務、新種作業模式之相關法令、規章之研究與建議事項。
- 有關全權委託業務相關法令、規章之研究與建議事項。
- 有關編擬本委員會年度工作計劃綱要、預、決算及年度工作報告事項。
- 其他相關事宜之處理事項。

## 投資顧問業務委員會

### 職掌

- 有關投資顧問業務之發展、聯繫、協調、改進及範圍擴增事項。
- 有關投資顧問業務、新種業務之相關法令、規章之研究與建議事項。
- 有關編擬本委員會年度工作計劃綱要、預、決算及年度工作報告事項。
- 其他有關投資顧問業務事宜之處理事項。

## 境外基金業務委員會

### 職掌

- 有關境外基金業務之發展、聯繫、協調、改進及範圍擴增事項。
- 有關境外基金投資人服務事項。
- 有關編擬本委員會年度工作計劃綱要、預、決算及年度工作報告事項。
- 其他有關境外基金業務事宜之處理事項。

## 兩岸及國際事務委員會

### 職掌

- 有關蒐集、研究兩岸及國際之證券投資信託、顧問及資產管理法規及市場發展相關資訊，並提供會員參考。
- 有關舉辦兩岸及國際之證券及資產管理相關研討會、座談會、參觀訪問等活動。
- 有關編擬本委員會年度工作計劃綱要、預、決算及年度工作報告事項。
- 其他有關兩岸及國際之資產管理事業交流事宜之處理事項。

## 會務及產業推廣委員會

### 職掌

- 有關會費、業務費及經費之籌措，管理與運用之研議。
- 有關本公會財務之稽核及預算、決算之編擬事項。
- 有關證券投資信託證券投資顧問事業業務人員資格測驗之研議及處理事項。
- 有關會員員工進修、各項活動之舉辦事項（參觀、演講、講習、體育、康樂等）。

## Compliance and Fund Affairs Committee

- The development, co-ordination, communication, improvements and expansion of SITE's compliance, review, fund affairs, and accounting.
- The research of relevant policies, regulation and the proposal of SITE compliance, review, fund affairs, fund accounting, and new operation model.
- The research and proposal of discretionary business related policies and regulation.
- Drafting of the annual calendar of the committee as well as issues such as agenda, budget, final account and annual report.
- Other related issues.

## Investment Consulting Committee

- Promote the development, liaison, coordination, improvement, and business expansion of investment consulting.
- The research and proposal of policies and regulations regarding SICE affairs and new operation models.
- Prepare annual project, budgets, and working reports.
- Other matters.

## Offshore Fund Business Committee

- Promote the development, liaison, coordination, improvement, and business expansion of offshore fund business.
- Improve investor service.
- Prepare the annual project, budgets, and working report.
- Other matters.

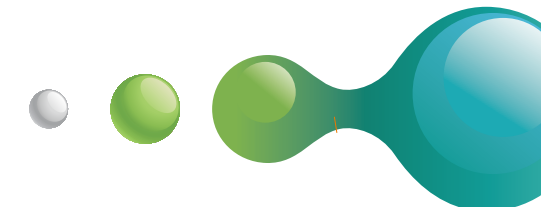
## Cross-strait and International Affairs Committee

- The collection and research of cross-strait and international securities and investment trust, consulting and asset management regulations and market information for the member companies' reference.
- Organizing and hosting cross-strait and international securities and asset management related seminars, conferences, tours and visitations.
- Drafting of the annual calendar of the committee as well as issues such as agenda, budget, final account and annual report.
- Other cross-strait and international asset management industry exchange related matters.

## Industry Promotion Committee

- Discuss issues pertaining to fund-raising, management and utilization of membership fees, expenses and the budget.
- The review and budgeting of the Association's finance.
- Handling and discussing issues relating to the securities investment consulting personnel qualification examination.
- Matters relating to member company's employee training and hosting of various activities (visitation, conferences, sport events, entertainment etc.).





- 有關出版刊物之編輯、投信投顧產業業務推廣與宣導等事宜。
- 有關本公會各項活動之發佈、聯絡事項及公共關係之研議、擬案、執行。
- 有關編擬本委員會年度工作計畫綱要、預、決算及年度工作報告事項。
- 有關其他財務、教育訓練、公共關係事宜之處理事項。

## 自律委員會

### 職掌

- 有關自律公約之擬定、執行與督促會員自律事項。
- 有關會員自律事項之獎勵及懲處事宜。
- 有關調處會員間、會員與投資人間之營業上請說及糾紛事項。
- 有關編擬本委員會年度工作計畫綱要、預、決算及年度工作報告事項。
- 其他有關會員自律事宜之處理事項。

## 會務部門

### 業務組

#### 職掌

- 辦理有關本公會會員業務發展之規劃事項。
- 研議會員業務相關法令、規章及制度。
- 蒐集國內、外產業資訊，研究新種業務可行性。
- 辦理國際及兩岸證券相關組織之聯繫、協調與交流。
- 辦理會員營業上之請說事項。
- 審查會員各項申請業務及申報案件。
- 其他上級長官交辦事項。

### 查核組

#### 職掌

- 審查會員各項申請業務及申報案件。
- 輔導及查訪會員相關業務。
- 研議會員財務、業務相關法令、規章及制度。
- 研議、執行、督促會員公司及其從業人員之自律事項。
- 辦理會員營業糾紛暨調處等事項。
- 辦理投資人申訴事項。
- 其他上級長官交辦事項。

- The editing of publications, and SITE and SICE promotion.
- The discussion, drafting and execution of all matters relating to the announcement and communication of activities and public relations.
- Drafting of the annual calendar of the committee as well as issues such as agenda, budget, final account and annual report.
- Other matters relating to finance, education and training, and public relations.

## Self-Regulatory Committee

- The drafting of self-regulating pledges, and the execution as well as promotion of members' self regulation.
- The reward and punishment of members' self-regulation.
- Mediate business disputes between or among members; settle disputes between the investors and the members.
- Drafting of the annual calendar of the committee as well as issues such as agenda, budget, final account and annual report.
- Other affairs relating to members' self-regulation.

## Divisions for Association's Affair

### Business Development Division

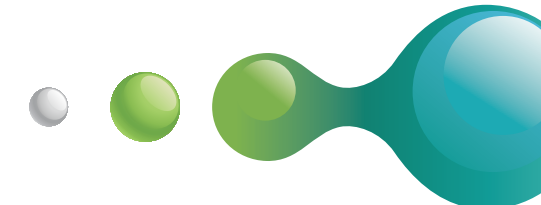
- Planning business development for members.
- Conducting research on laws, regulations, and systems related to members' business operation.
- Researching and analyzing new business initiatives and issues on global asset management.
- Promoting business exchange with foreign institutions for SITCA members.
- Organizing regulatory lobbies on behalf of members.
- Reviewing applications and reports of members.
- Related instructions from senior officials.

### Auditing Division

- Reviewing applications and reports of members.
- Auditing and advising business operation of members.
- Conducting research on laws, regulations, and systems related to financial affairs and business operation of members.
- Performing and supervising issues on self-disciplinary practice of members.
- Mediating business disputes between members and investors.
- Settling investors' complaints.
- Related instructions from senior officials.







## 推廣組

### 職掌

- 辦理會員從業人員考訓相關事項。
- 舉辦投資管理相關演講、講習、座談會、說明會等各項活動。
- 編輯並出版本公會年報及投資宣導等刊物。
- 舉辦教育宣導並推廣有關資產管理相關事項。
- 辦理本公會公共關係相關事務。
- 辦理證券投信、投顧事業之董事、監察人或持股百分之五以上股東及業務人員登錄等審核事項。
- 其他上級長官交辦事項。

## 資訊組

### 職掌

- 彙總、提供並發布境內、外基金相關資料。
- 規劃、設置並維護本公會資訊網站。
- 規劃、設置並維護會員業務相關服務系統及資料庫。
- 採購並維護本公會電腦軟、硬體設備。
- 建置並維護本公會會務系統。
- 其他上級長官交辦事項。

## 管理組

### 職掌

- 辦理會員代表大會及理、監事會議。
- 辦理會員入、退會及會籍資料管理，查訪會員相關業務。
- 辦理本公會組織、財務、會計、總務、人事、公文及檔案管理等相關事項作業、規章辦法與制度。
- 彙報本公會各項工作計劃與執行成果 ( 含社團評鑑 ) 相關資料。
- 負責本公會公文、工作計劃暨執行成果及各組業務之進度控管與稽催。
- 負責秘書長行政秘書作業。
- 其他上級長官交辦事項。

## Education and Communications Division

- Providing continuous education and training the business personnel of members.
- Executing promotional and education activities via conferences, forums, lectures, or seminars.
- Editing and preparing annual report and investment-related information for publish.
- Holding educational and promotional activities for the industry.
- Managing PR matters.
- Managing the auditing works of SITE and SICE responsible persons, major shareholders' holdings, and business personnel log.
- Related instructions from senior officials.

## Information Technology Division

- Providing related fund information.
- Planning, installing, and maintaining website.
- Planning, setting, and maintaining computer system and database.
- Purchasing and maintaining hardware and software.
- Building and maintaining Association's service system.
- Related instructions from senior officials.

## Administration Division

- Processing matters relating to the organization structure, finance, accounting and general affairs of SITCA.
- Managing membership applications and with drawals.
- Managing the collection of membership and business fees.
- Auditing commencement and resumption of business operation of members.
- Managing and controlling the progress of the various business activities of SITCA.
- Holding General Assembly and meetings of Board of Directors and Supervisors.
- Related instructions from senior officials.

