



會務暨業務概況

本公會依法令、章程、自律規章等規定執行各項工作，代表會員與主管機關協商溝通各項事宜，以協助會員爭取及推動各項相關業務之發展；在全體理事、監事、委員及會務同仁共同努力下，於 2023 年完成多項工作成果。

協助產業爭取業務放寬及發展

一、協助爭取境內基金業務發展空間

- 為利投信事業提升綠色金融能量及增進人員永續發展相關之專業，將投信事業高階經理人及一般職員之永續金融相關訓練（每年至少應 3 小時）納入在職訓練課程時數，2023 年 6 月 30 日獲主管機關同意備查。
- 建請將投信子公司擔任普通合夥人之私募股權基金 (PE Fund)，及由投信受託管理之私募股權基金，納入列為銀行高資產客戶適用之金融商品，於 2023 年 7 月 19 日報會，並提供投信 PE Fund 與未具證券投資信託基金性質之境外基金風險差異及客戶風險承受度說明資料，及現行投信、投顧、信託業及證券商銷售之未具證券投資信託基金性質之境外基金中屬 PE Fund 相關資訊予主管機關。
- 建請修正「鼓勵投信躍進計畫問答集」，調整面向「投研能力」項下自行投資能力之兩項指標，並新增優惠措施，於 2023 年 7 月 21 日報會。
- 依主管機關指示，研訂投信新基金募集案件記點制度，俾就該等案件施行差異化管理，於 2023 年 8 月 7 日報會。
- 建請降低保險資金投資投信子公司擔任普通合夥人且投資於國內特定產業之私募股權基金之 RBC 風險係數，於 2023 年 7 月 19 日報會。主管機關於 8 月 16 日函復表示甫修正相關規範，嗣後適時評估檢討。後於 12 月 22 日修正保險業透過國內私募股權基金及創投基金投資五加二及六大核心戰略產業之風險係數，從原本的 33.75% 調降到 10.18 至 17.25%。
- 建請開放投信事業得「受託管理」私募股權基金，其型態得包括投資面管理、客戶資源管理或銷售通路管理等，以利擴大一般投信業者參與私募股權產業之模式，於 2023 年 7 月 19 日報會，主管機關於 9 月 15 日函復「受託管理」尚不包含客戶資源管理及銷售通路管理等引介資金參與投資之業務範圍。
- 建請主管機關開放投信事業及經營全委業務之投顧事業，內部稽核報告得採無紙化之電子方式製作，2023 年 9 月 18 日獲主管機關同意備查。
- 依主管機關指示，研議協助銷售機構建立電子平台以有效彙整受益人行使表決權意向之可行性，研商具體意見及規劃作法後報會，2023 年 10 月 27 日獲主管機關指示依說明修正後同意照辦。
- 依主管機關指示，研擬「投信事業投資組合財務碳排放（範疇三）計算實務作業手冊（草案）」，於 2023 年 10 月 31 日報會。
- 依主管機關指示，研擬「證券投資信託事業氣候變遷情境分析實務作業手冊與範例（草案）」，於 2023 年 10 月 31 日報會。

Association and Business Activities

The Securities Investment Trust and Consulting Association (SITCA) performs its duties in accordance with laws, articles of incorporation, and self-regulatory rules. Besides representing member companies to communicate and negotiate various issues with the regulator, the Association aims to assist members in promoting the development of related business. With the collaborative efforts among our directors, supervisors, committee members and staff, we achieved the following in 2023.

Strive for Business Development and Deregulation

1. Pursue Domestic Fund Business Development

- To enhance sustainable finance capabilities and professional knowledge of sustainable development of SITEs, the Association incorporated sustainable finance-related training (at least 3 hours per year) for senior managers and general employees into on-the-job training hours. This was ratified and approved by the competent authority on June 30th, 2023.
- The Association proposed including private equity funds (PE Funds) with SITE subsidiaries as general partners, and PE Funds entrusted to SITEs as eligible financial products for high-net-worth clients of banks. The proposal was submitted on July 19th, 2023, along with information on risk differences between SITE PE Funds and offshore funds without securities investment trust fund nature and customer risk tolerance explanations, as well as PE Fund-related information among offshore funds without securities investment trust fund nature sold currently by SITEs, SICEs, trusts, and securities firms.
- The Association proposed amending the "FAQ of the Incentive Plan for SITEs", and adjusting two indicators under "Investment Research Capability" for self-investment ability in Aspect 1, and adding preferential measures. The proposal was submitted on July 21st, 2023.
- As per instructions of the competent authority, the Association formulated a point-based system for reviewing new fund offering applications of SITEs to facilitate differentiated management. The proposal was submitted on August 7th, 2023.
- The Association proposed lowering the RBC risk coefficient for insurance funds investing in PE funds with SITE subsidiaries as general partners and investing in specific domestic industries. The proposal was submitted on July 19th, 2023. The competent authority replied on August 16th that relevant regulations were recently amended and would be evaluated and reviewed in due course. On December 22nd, the risk coefficient for insurance companies investing in 5+2 and six core strategic industries through domestic PE funds and venture capital funds was reduced from 33.75% to between 10.18% and 17.25%.
- The Association proposed allowing SITEs to provide "entrusted management" for PE funds, including investment management, customer resource management, or sales channel management, to expand participation models for general investment trust operators in the PE industry. The proposal was submitted on July 19th, 2023. The competent authority replied on September 15th that "entrusted management" does not yet include business scope such as customer resource management and sales channel management for introducing capital participation in investment.
- The Association proposed allowing SITEs and SICEs operating in discretionary investment business to produce internal audit reports electronically in a paperless manner. This was ratified and approved by the competent authority on September 18th, 2023.
- As per instructions of the competent authority, the Association deliberated on the feasibility of assisting sales institutions in establishing electronic platforms to effectively collect beneficiary voting intentions. After discussing specific opinions and planning methods, the proposal was submitted and approved by the competent authority on October 27th, 2023, with instructions to revise as explained.
- As per instructions of the competent authority, the Association drafted the "Securities Investment Trust Enterprise Portfolio Financial Carbon Emission (Scope 3) Calculation Practice Operation Manual (Draft)" and submitted it on October 31st, 2023.
- As per instructions of the competent authority, the Association drafted the "Securities Investment Trust Enterprise Climate Change Scenario Analysis Practice Operation Manual and Examples (Draft)" and submitted it on October 31st, 2023.

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- 建請修改本公會廣告行為規範第 8 條之 1，開放得提供贈品鼓勵投資人開戶及提高贈品成本上限，於 2023 年 12 月 8 日報會。
 - 建請開放投信事業得募集發行主動型 ETF，並依主管機關指示研議建議案之可行性及相關配套措施，並瞭解國際間主要市場主動型 ETF 之發展情形及監理規範，併同專案小組蒐集之美國、香港、南韓、日本、歐盟、英國及澳洲等國資料，提供予證交所，證交所於 2023 年 12 月 28 日報會。
 - 依主管機關指示，邀集業者研議提升主動式資產管理人才之強化措施，於 2023 年 12 月 29 日報會。
 - 研擬簡化指數股票型基金於成立日前之申購作業流程，建議修正「證券商交割專戶設置客戶分戶帳作業要點」第 9 條第 1 項交割專戶規範，於 2024 年 1 月 3 日報證交所及櫃買中心，並副知主管機關及證券商公會。
 - 建請放寬新基金於開放買回日前，倘已發行單位數占原申請核准或申報生效發行單位數之比率達 80% 以上，即得辦理追加募集，於 2024 年 1 月 8 日報會。
 - 依主管機關指示，研議與社交投資平臺業者合作之規範及相關配套措施，於 2024 年 1 月 10 日報會。
 - 依主管機關指示，研議加強 ETF 配息來自收益平準金之資訊揭露、基金績效與指標 (benchmark) 作比較計算基礎應一致及不應以年化配息率為廣告內容等規定，修正本公會廣告行為規範，2024 年 1 月 15 日獲主管機關同意備查。
 - 研議投信事業指示基金保管機構辦理基金資產交割作業，以電子郵件傳送時，應加密並採電子簽章，且公司內部規章內應明訂電子郵件保存方式、約定傳送方式應具備訊息隱密性、完整性、來源辨識性、不可重複性及不可否認性等安全防護措施以及納入集保公司交割指示傳送平台等事宜報會，2024 年 1 月 16 日獲主管機關同意備查。
 - 持續推動建立國人個人儲蓄帳戶 (TISA) 制度，於 2023 年金總白皮書再次提出本建議案，年內並先後補充本案具公共利益法益衡量不僅止於特定產業；新增對經濟弱勢者提供一段期間 (如 5 年) 可以在其須繳納所得稅之年度，追朔減除以前年度未行使之投資列舉扣除優惠，以符量能平等課稅原則；補充英美星日等國家提供稅賦誘因，鼓勵國民自主儲蓄投資建立第三支柱情況，TISA 與現行所得稅法鼓勵儲蓄及投資之規定目的作用不同，應為分開考慮等說明。
 - 推動開放不動產投資信託 (REIT) 採基金架構發行；包括開放 REIT 採基金架構運作、新增不動產投資信託事業以及開放投信事業兼營。並配合主管機關子法研議進程，2023 年間先後擬具本公會會員自律規範等 25 項相關規範報會、配合 REIT 議題進展進行成立不動產投信成立基金進行 REIT 合併等意願徵詢、擬具相關補充說明如 REIT 對本產業影響、將基礎設施納入之可行性等看法。

- The Association proposed amending Article 8-1 of the Guidelines Governing Advertisement Activities and Operation Procedures on the Public Offering and Issuance of Investment Trust Funds to allow providing gifts to encourage investors to open accounts and raise the gift cost limit. The proposal was submitted on December 8th, 2023.
- The Association proposed allowing SITEs to offer and issue actively managed ETFs. As per instructions of the competent authority, the Association deliberated on the feasibility and supporting measures of the proposal, and understood the development and regulatory requirements of actively managed ETFs in major international markets. Along with information collected by the project team on the US, Hong Kong, South Korea, Japan, EU, UK, and Australia, the materials were provided to the stock exchange, which submitted the proposal on December 28th, 2023.
- As per instructions of the competent authority, the Association invited industry participants to discuss enhancement measures for active asset management talent and submitted the proposal on December 29th, 2023.
- The Association proposed simplifying the subscription process for index ETFs before the establishment date, recommending amending Article 9, Paragraph 1 of the "Operating Guidelines for Securities Firms to Set Up Customer Sub-accounts in Settlement Accounts" regarding settlement account regulations. The proposal was submitted to the TWSE and Taipei Exchange on January 3rd, 2024, with copies to the competent authority and Taiwan Securities Association.
- The Association proposed relaxing the requirement for new funds to conduct additional offering if the number of units issued reaches 80% or more of the originally approved or effective number of units issued before the redemption opening date. The proposal was submitted on January 8th, 2024.
- As per instructions of the competent authority, the Association studied and proposed the regulations and supporting measures for cooperation with social investment platform operators and submitted the proposal on January 10th, 2024.
- As per instructions of the competent authority, the Association studied on strengthening information disclosure of ETF distributions from equalization reserve, aligning calculation basis for fund performance comparison with benchmarks, and prohibiting using annualized distribution rate in advertisements. The Guidelines Governing Advertisement Activities and Operation Procedures on the Public Offering and Issuance of Investment Trust Funds was amended accordingly then ratified and approved by the competent authority on January 15th, 2024.
- The Association deliberated and studied requiring investment trust enterprises to use encrypted and digitally signed emails when instructing fund custodians to conduct fund asset settlement operations. The internal regulations should specify email storage methods, agree on transmission methods with security measures such as confidentiality, integrity, source identification, non-repeatability, non-repudiation, and include the TDCC settlement instruction transmission platform. The proposal was submitted then ratified and approved by the competent authority on January 16th, 2024.
- The Association continued to promote the establishment of the Taiwan Individual Savings Account (TISA) system. The proposal was re-submitted in the 2023 Financial Counsel White Paper, with additional supplements throughout the year, stating that the public interest legal balance is not limited to specific industries; adding a provision for economically disadvantaged individuals to deduct unutilized investment itemized deductions from previous years in the year they are required to pay income tax for a certain period (e.g. 5 years) to comply with the principle of equitable taxation based on ability to pay; supplementing information on tax incentives provided by countries such as the UK, US, Singapore, and Japan to encourage citizens to independently save and invest in building the third pillar, and explaining that the purpose and function of TISA differs from existing income tax law incentives for savings and investment, and should be considered separately.
- The Association promoted the opening of real estate investment trusts (REITs) to be issued under a fund structure, including allowing REITs to operate under a fund structure, adding real estate investment trust enterprises, and allowing investment trust enterprises to concurrently operate. In line with the subsidiary law research and discussion progress of the competent authority, the Association drafted 25 related self-regulatory provisions such as member self-regulatory provisions in 2023, conducted intention surveys on establishing real estate investment trust companies to merge REITs in response to REIT issue developments, and provided relevant supplementary explanations such as the impact of REITs on the industry and the feasibility of including infrastructure.



二、健全投資顧問事業發展

- 研議強化投顧事業業務人員管理機制，於 2023 年 4 月 19 日第三次報會，2023 年 7 月 5 日獲主管機關同意備查。
- 建請開放投信事業兼營投顧業務，並以自動化工具提供證券投資顧問服務者，得銷售其他投信事業發行之基金，2023 年 10 月 3 日獲主管機關同意開放。
- 依主管機關指示，研擬投顧事業辦理以自動化工具提供證券投資顧問服務委託證券商為客戶執行下單及再平衡交易三方合約範本條文草案，於 2023 年 11 月 14 日報會。
- 配合證券投資顧問業務相關管理規範定期修訂本公會「證券投資顧問事業經營證券投資顧問業務內部管理制度標準規範」，於 2023 年 12 月 7 日報會，2024 年 1 月 19 日獲主管機關同意備查。
- 鑑於屢有不法份子冒名並利用詐騙帳號誘使投資人匯款，為保障本公會投顧會員公司權益，公會於 2023 年 12 月 25 日調查投顧業者對外匯款帳號資料，並於 2024 年 1 月 26 日起於本公會官網對外揭露相關資訊。

三、強化境外基金業務發展

- 依主管機關指示，就協助審查代理境外基金於國內募集銷售之申請案件研議記點制度，俾利審查該等案件時據以施行差異化管理，於 2023 年 8 月 7 日報會。
- 建請開放境外基金機構委任投信事業或投顧事業私募境外基金，以及外國資產管理機構委任投信事業或投顧事業進行「未具證券投資信託基金性質」之境外基金商品之銷售與諮詢，其受委任機構（投信事業及投顧事業）可透過證券集中保管事業綜合帳戶辦理投資人款項收付，於 2023 年 8 月 28 日報會。復依主管機關 10 月 31 日指示於 12 月 1 日研商建置（或修改）基金交易平台之可行性。
- 建請修改本公會廣告行為規範第 8 條之 1，開放得提供贈品鼓勵投資人開戶及提高贈品成本上限，於 2023 年 12 月 8 日報會。
- 建議開放投信事業及投顧事業得擔任「未具證券投資信託基金性質」境外基金商品之行政協助服務提供者，於 2023 年 12 月 15 日報會。
- 依主管機關指示，研議與社交投資平臺業者合作之規範及相關配套措施，於 2024 年 1 月 10 日報會。
- 修正本公會境外基金銷售通路自行評量範本，於 2023 年 12 月 21 日報會，2024 年 1 月 19 日獲主管機關函復洽悉。
- 依主管機關指示，研議加強 ETF 配息來自收益平準金之資訊揭露、基金績效與指標（benchmark）作比較計算基礎應一致及不應以年化配息率為廣告內容等規定，修正本公會廣告行為規範，2024 年 1 月 15 日獲主管機關同意備查。

四、持續推動全權委託業務

- 因應信託業兼營全權委託投資業務之門檻提高至新臺幣一千五百萬元以上，就信託業公會配合修正信託業兼營全權委託投資業務之紛爭調解處理辦法草案，出具意見並報主管機關核定，2023 年 8 月 7 日獲主管機關同意照辦。8 月 15 日函轉信託業公會處理。

2. Development of Holistic SICE Business

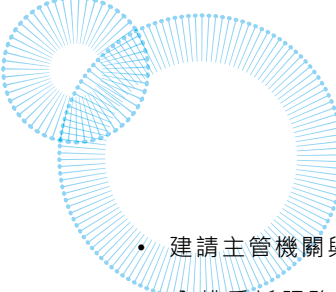
- The Association deliberated on strengthening the management mechanism for business personnel of investment consulting enterprises. The third proposal was submitted on April 19th, 2023, then ratified and approved by the competent authority on July 5th, 2023.
- The Association proposed to allow SITEs to concurrently operate investment consulting business and providing securities investment consulting services through automated tools to sell funds issued by other SITEs. This was approved by the competent authority on October 3rd, 2023.
- As per instructions of the competent authority, the Association drafted provisions for a tripartite contract template for SICEs providing securities investment consulting services through automated tools, entrusting securities firms to execute orders and rebalance transactions for clients. The proposal was submitted on November 14th, 2023.
- In line with regular revisions to SICE related management regulations, the Association amended the "Standards for Internal Control System of Securities Investment Consulting Enterprises Engaged in Investment Consulting Business" and submitted the proposal on December 7th, 2023. It was ratified and approved by the competent authority on January 19th, 2024.
- In view of frequent incidents of criminals impersonating and using fraudulent accounts to defraud investors, the Association surveyed SICE member companies' remittance account information on December 25th, 2023, to protect their rights and interests. Starting from January 26th, 2024, relevant information is disclosed on the Association's official website.

3. Strengthen Offshore Fund Business Development

- As per instructions of the competent authority, the Association studied a point-based system to assist in reviewing applications for offshore funds to offer and sell domestically, in order to implement differentiated management when reviewing such applications. The proposal was submitted on August 7th, 2023.
- The Association proposed allowing offshore fund institutions to entrust SITEs or SICEs to conduct private placement of offshore funds, as well as allowing foreign asset management institutions to entrust SITEs or SICEs to sell and provide consulting for offshore fund products "without securities investment trust fund nature". The entrusted institutions (investment trust enterprises and investment consulting enterprises) can handle investor fund receipt and payment through the centralized securities depository omnibus account. The proposal was submitted on August 28th, 2023. As per instructions of the competent authority on October 31st, the feasibility of establishing (or modifying) a fund transaction platform was studied and submitted on December 1st.
- The Association proposed amending Article 8-1 of the Guidelines Governing Advertisement Activities and Operation Procedures on the Public Offering and Issuance of Investment Trust Funds to allow providing gifts to encourage investors to open accounts and raise the gift cost limit. The proposal was submitted on December 8th, 2023.
- The Association proposed allowing SITEs and SICEs to act as administrative service providers for offshore fund products "without securities investment trust fund nature". The proposal was submitted on December 15th, 2023.
- As per instructions of the competent authority, the Association deliberated and studied regulations and supporting measures for cooperation with social investment platform operators and submitted the proposal on January 10th, 2024.
- The Association amended the self-assessment template for offshore fund sales channels and submitted the proposal on December 21st, 2023. The competent authority replied on January 19th, 2024, acknowledging the amendment.
- As per instructions of the competent authority, the Association deliberated and studied strengthening information disclosure of ETF distributions from equalization reserve, aligning calculation basis for fund performance comparison with benchmarks, and prohibiting using annualized distribution rate in advertisements. The Guidelines Governing Advertisement Activities and Operation Procedures on the Public Offering and Issuance of Investment Trust Funds was amended accordingly and approved by the competent authority on January 15th, 2024.

4. Continue the Promotion of Discretionary Investment Business

- In response to raising the threshold for trust enterprises concurrently operating discretionary investment business to NT\$15 million or more, the Association provided opinions on the Trust Association's draft amendments to the dispute mediation handling regulations for trust enterprises concurrently operating discretionary investment business and submitted them to the competent authority for approval. This was approved by the competent authority on August 7th, 2023, and forwarded to the Trust Association of R.O.C for handling on August 15th.

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- 建請主管機關與愛爾蘭中央銀行洽談簽署 ESMA AIFMD MoU，使投信事業能為愛爾蘭註冊之境外基金提供全權委託服務，擔任該等基金之次投資經理公司，於 2023 年 7 月 20 日報會，復依主管機關指示於 9 月 6 日提供簽約相關參考文件予主管機關。
 - 建請主管機關開放投信事業及經營全委業務之投顧事業，內部稽核報告得採無紙化之電子方式製作，2023 年 9 月 18 日獲主管機關同意備查。
 - 為使本公會網站公布之「全權委託業務統計表」符合實際現況，將網站中「有效契約金額」調整為「淨資產價值」。

五、其他業務之研議與推動

- 依主管機關指示，增訂投信事業投顧事業如提供身心障礙人士智慧型手機應用程式服務 (APP)，該應用程式服務可包括之項目說明，修正本公會「證券投資信託事業證券投資顧問事業身心障礙人士申請金融服務實務作業問答集」，2023 年 3 月 2 日獲主管機關同意備查。
- 依主管機關指示，參考「證券商因應嚴重特殊傳染性肺炎 (COVID-19) 事件申請居家辦公指引」中有關資訊不落地之資安機制，及應明訂居家辦公各項作業應於內部控制制度訂定適當控管機制及查核程序，並妥善保存相關資料以利稽核作業，修正本公會「證券投資信託事業證券投資顧問事業因應流行疫情採取異地備援辦公或居家辦公作業指引」相關規定報會，2023 年 4 月 13 日獲主管機關同意備查。
- 就公會訂定之「會員與第三方服務提供者合作開放證券公開資料查詢及使用自律規範」第 9 條第 2 項及「開放證券公開資料查詢及使用業務合作契約書範本」第 11 條第 2 項規定中所指先對使用者給付「一定金額範圍內」之損害賠償進行研議，建議使用者如提出因消費爭議而受有損害者，先行給付每一使用者每一事件為 2 萬元以下之損害賠償，對同一原因事實造成多數消費者權利受侵害時之損害賠償合計數為 1 佰萬元，2023 年 5 月 26 日獲主管機關同意。
- 依主管機關指示，研議建置「投信投顧事業暨所屬從業人員查詢系統」，增加民眾查證途徑，避免民眾遭受詐騙，於 2023 年 9 月 18 日完成建置。
- 為強化證券市場資訊與安全控管，研訂「證券投資信託事業證券投資顧問事業資訊作業韌性自律規範 (草案)」，2023 年 8 月 28 日獲主管機關同意備查。
- 依主管機關指示，研擬證券投資信託事業氣候相關財務揭露 (TCFD) 指引、範例，於 2023 年 10 月 31 日報會。
- 依據行政院資通系統防護基準修訂「證券投資信託事業證券投資顧問事業資通系統安全防護基準自律規範」修訂第六條身分驗證管理之相關條文，於 2023 年 11 月 20 日報會。
- 為強化本、異地及離線備份基本規範，修訂「證券投資信託事業證券投資顧問事業資訊安全內部控制制度」部分條文，於 2023 年 11 月 20 日報會。
- 建請開放應募人為專業投資機構或高資產客戶之私募基金得投資私募股權基金 (PE Fund)，於 2023 年 2 月 15 日報會，12 月 29 日獲主管機關同意開放投信私募基金投資 PE Fund，投資部位加計黃金礦產大宗物資等現貨商品不得逾基金淨資產價值之 40%。
- 為強化投信事業基金 (全委) 經理人利益衝突交易控管機制，修訂「證券投資信託事業證券投資顧問事業新興科技資通安全自律規範」，增訂具體之視訊會議軟體使用控管措施，2024 年 1 月 8 日獲主管機關同意備查。

- The Association proposed that the competent authority negotiate and sign the ESMA AIFMD MoU with the Central Bank of Ireland, enabling SITEs to provide discretionary investment services for offshore funds registered in Ireland and act as sub-investment managers of such funds. The proposal was submitted on July 20th, 2023. As per instructions of the competent authority, relevant reference documents for signing the agreement were provided to the competent authority on September 6th.
- The Association proposed allowing SITEs and SICEs operating in discretionary investment business to produce internal audit reports electronically in a paperless manner. This was ratified and approved by the competent authority on September 18th, 2023.
- To align the "Statistics and Data of Discretionary Investment Business" published on the Association's website with the market needs, the "Effective Contract Amount" on the website was adjusted to "Net Asset Value".

5. Other Business Proposals and Promotions

- As per instructions of the competent authority, the Association added explanations on items that can be included in smartphone application services (APP) provided by investment trust enterprises and investment consulting enterprises to persons with disabilities, and amended the "FAQ for Securities Investment Trust Enterprises and Securities Investment Consulting Enterprises Handling Financial Service Applications for Persons with Disabilities". This was ratified and approved by the competent authority on March 2nd, 2023.
- As per instructions of the competent authority, the Association referenced the information security mechanism for information not landing in the "Guidelines for the Work-From-Home Application by Securities Firms in Response to COVID-19", specifying that appropriate control mechanisms and audit procedures for various work-from-home operations should be stipulated in internal control systems, relevant information should be properly preserved to facilitate auditing, and amended relevant provisions in the "Guidelines for Securities Investment Trust Enterprises and Securities Investment Consulting Enterprises Adopting Off-site Backup or Work-from-Home Operations in Response to Epidemics". The proposal was submitted, then ratified and approved by the competent authority on April 13th, 2023.
- Regarding the "certain amount" of compensation to be paid to users first as stipulated in Article 9, Paragraph 2 of the Association's "Self-Regulatory Rules for Members Cooperating with Third-Party Service Providers to Open Securities Public Information for Inquiry and Use" and Article 11, Paragraph 2 of the "Contract Template for Business Cooperation on Opening Securities Public Information Inquiry and Use", the Association proposed that if users claim damages due to consumer disputes, a compensation of up to NT\$20,000 per user per incident should be paid first, with a total compensation amount of NT\$1 million for multiple consumers affected by the same cause. This was approved by the competent authority on May 26th, 2023.
- As per instructions of the competent authority, the Association studied establishing a "SITE and SICE and Affiliated Practitioner Inquiry System" to increase channels for the public to verify information and prevent fraud. The system was completed on September 18th, 2023.
- To strengthen information and security control in the securities market, the Association formulated the "Self-Regulatory Rules for Information Operation Resilience of Securities Investment Trust Enterprises and Securities Investment Consulting Enterprises (Draft)". This was ratified and approved by the competent authority on August 28th, 2023.
- As per instructions of the competent authority, the Association drafted guidelines and examples for climate-related financial disclosures (TCFD) of securities investment trust enterprises and submitted the proposal on October 31st, 2023.
- In accordance with the amendments to the Executive Yuan's Information Security Standards, the Association amended relevant provisions in Article 6 regarding identity authentication management in the "Self-Regulatory Rules for Information Security Protection Standards of Securities Investment Trust Enterprises and Securities Investment Consulting Enterprises" and submitted the proposal on November 20th, 2023.
- To strengthen basic regulations for local, off-site, and offline backups, the Association amended parts of the "Internal Control Policy for Information Security of Securities Investment Trust Enterprises and Securities Investment Consulting Enterprises" and submitted the proposal on November 20th, 2023.
- The Association proposed allowing private placement funds with professional institutional investors or high-net-worth clients as subscribers to invest in PE Funds. The proposal was submitted on February 15th, 2023. On December 29th, the competent authority agreed to allow investment trust private placement funds to invest in PE Funds, with the investment position plus spot commodities such as gold and mineral resources not exceeding 40% of the fund's net asset value.
- To strengthen the conflict of interest transaction control mechanism for fund (discretionary) managers of SITEs, the Association amended the "Self-Regulatory Rules for Information Security in Emerging Technology of Securities Investment Trust Enterprises and Securities Investment Consulting Enterprises", adding specific control measures for the use of video conferencing software. This was ratified and approved by the competent authority on January 8th, 2024.

參與國際交流，提升產業競爭力

一、參與美國投資公司 (ICI) 年會與領導高峰會議

2023 年 5 月 22 日舉辦國際年會，由 IIFA 會員及 EFAMA 會員討論全球資產管理主要趨勢及發展相關；5 月 24 日與 25 日舉辦 2023 領導高峰會議，定位為基金產業領導者之研討會，邀請美國證管會及財政部等政府官員說明基金產業的監理方向，並由業界具領導地位者就基金產業攸關議題提供看法。

二、參與國際投資基金協會年會及會員大會

2023 年 10 月 23 日至 27 日於賽普勒斯利馬索爾市舉行。本次主題包含：全球經濟走勢與國際關係的變化、主管機關的監理觀點與趨勢、ESG 投資與永續發展、法人投資意向及金融科技對資產管理業的影響等；本公會劉理事長參與 ESG 投資與永續發展專題討論，分享我國基金產業永續發展轉型策略。會員大會則於 10 月 25 日舉行，地點同樣在賽普勒斯利馬索爾市，亦採實體與線上會議同時進行，本公會由劉理事長在賽普勒斯現場與會。



本公會於 10 月 23 日至 10 月 27 日至賽普勒斯利馬索爾市參與國際投資基金協會年會及會員大會
From October 23rd – 27th, the Association attend the 36th Annual International Investment Funds Association Conference in Limassol, Cyprus

三、參與亞洲基金護照聯合委員會議及產業會議

亞洲基金護照第 14 次聯合委員會議及產業會議分別於 2023 年 11 月 30 日與 12 月 1 日在澳洲雪梨召開，本公會以視訊連線參加，會議主題包含：各會員國護照進度、討論檢討報告、合作備忘錄 (MoC) 修訂執行狀況、各國因應 ARFP 之法規概況及各國資產管理業簡介等。

四、其他國際交流活動

- 接待胡志明交易所、越南集保公司及越南資產管理公司，會同拜會金管會證期局、證券交易所及集中保管結算所等單位，就雙方資本市場現況發展、ETF 掛牌實務作業及發行公募基金或 ETF 至對方市場募集銷售之未來展望與可行方案等交換意見。
- 拜會泰國與泰國基金公會祕書長等就兩地基金進入對方市場銷售可能態樣、需滿足條件、進一步推動可行性等進行交流。
- 接待泰國證券交易所暨期貨交易所，就雙方資本市場現況、ETF 發展及發行實務經驗等進行意見交流。



本公會於 11 月 3 日與泰國期交所、證交所董事長、總經理及其同仁進行交流
The Association exchanged views with representatives from the Stock Exchange of Thailand and the Thailand Futures Exchange on November 3rd

提升專業素養，強化產業正面形象

一、舉辦媒體春酒聯誼活動

為與媒體記者建立良好關係與互動，於 2 月 15 日舉辦「2023 年公會與媒體記者春酒聯誼活動」，邀請媒體朋友共進午宴，就會務及產業未來發展方向與在場記者進行交流。

Participation in International Exchange and Cooperation to Improve Industry Competitiveness

1.Attend the Investment Company Institute (ICI) General Membership Meeting and Leadership Summit

The international annual conference was held on May 22nd, 2023, with IIFA and EFAMA members discussing the major trends and developments in global asset management. The 2023 Leadership Summit was held on May 24th-25th, positioned as a seminar for fund industry leaders. US SEC and Treasury officials were invited to explain the regulatory direction for the fund industry, and industry leaders provided insights on critical issues in the fund industry.

2.Attend the 36th Annual International Investment Funds Association Conference

The conference was held from October 23rd-27th, 2023, in Limassol, Cyprus. Topics included global economic trends and changes in international relations, regulatory perspectives and trends of competent authorities, ESG investing and sustainable development, institutional investor intentions, and the impact of financial technology on the asset management industry. The Association's Chairperson Liu joined the panel discussion on ESG and Sustainability, introducing the transition strategies of sustainable development for the mutual fund industry in Taiwan. Furthermore, he attended the general meeting that was held on October 25th, 2023 in Limassol, Cyprus, with both in-person and online attendance.

3.Attend the Asia Region Funds Passport Joint Committee Meeting and Industry Meeting

The 14th Asia Region Funds Passport Joint Committee Meeting and Industry Meeting were held on November 30th and December 1st, 2023, respectively, in Sydney, Australia. The Association participated via video conference. Topics included passport progress of member countries, discussion of review reports, implementation of the Memorandum of Cooperation (MoC) amendments, regulatory overview of each country in response to the ARFP, and brief introductions of the asset management industry in each country.

4.Other International Exchange Activities

- The Association, together with the delegation from the Ho Chi Minh Stock Exchange, Vietnam Securities Depository, and Vietnam Asset Management Company, visited the Securities and Futures Bureau of the Financial Supervisory Commission, Taiwan Stock Exchange, and Taiwan Depository & Clearing Corporation. They exchanged views on the current development of capital markets in both countries, practical operations of ETF listing, and future prospects and feasible plans for issuing public funds or ETFs for offering and sale in each other's markets.
- The Association with the Secretary-General of the Thailand Association of Investment Management Companies exchanged views on possible models, required conditions, and further promotion feasibility for funds entering each other's markets for sale.
- The Association exchanged views on the current situation of capital markets, ETF development, and practical experience in issuance with representatives from the Stock Exchange of Thailand and the Thailand Futures Exchange.

Enhance Professional Quality and Strengthen Positive Image of the Industry

1.Hosted Media Spring Banquet and Networking Activity

To establish good relationships and interactions with media reporters, the Association held the "2023 Association and Media Reporters Spring Banquet and Networking Event" on February 15th, inviting the media to a luncheon and exchanging views on the Association's affairs and future industry development.

二、進行提升投信投顧產業形象及產業業務之宣導

- 為宣導民眾提高反金融投資詐騙意識，5月4日拍攝完成「預防投資詐騙起手式」宣導短片，並於5月9日發函請會員公司及周邊單位共同進行宣導。
- 慶祝ETF 20週年，與券商、期貨公會共同參展設攤，參加8月11至12日「榮耀20 ETF 啟動財富博覽會」，為向投資人介紹ETF 20週年之成果，並由理事長擔任主講人，錄製「台灣ETF 20週年發展之現況與展望」宣導影片，於會場及本公會官網播放。
- 協辦台灣金融服務聯合總會舉辦之7月8日「2023年金融服務愛心公益嘉年華」高雄場及8月19日宜蘭場活動。
- 為協助投信業者順利達成證券期貨業永續轉型目標，規劃設置投信投顧產業ESG永續轉型專區網頁，於3月29日完成專區網頁之建置並於公會網站上線，供會員公司查詢與參考；為協助境外基金業者瞭解主管機關有關ESG基金及證券期貨業永續轉型政策，由理事長擔任主講人，錄製「SITCA ESG portal and Taiwan ESG regulation」英文宣導影片，於6月29日完成製作後上線；為協助業者瞭解氣候變遷風險，邀請S&P Sustainable1錄製「Understanding financial impact of physical risk (物理性風險分析)」中英文影片，於9月19日完成製作後上線。
- 協辦10月23日工商時報「工商時報第三屆數位金融獎」。
- 於11月24日至26日與今周刊共同推動舉辦「2023台北國際金融博覽會」活動。
- 為協助大專學子及早建立正確投資理財觀念，宣導以「共同基金」為主之理財知識，及進行反金融投資詐騙宣導，邀集13家投信及總代理人會員公司，於10月6日至12月29日共同辦理大專院校「共同基金正確理財觀巡迴講座」，計至16所學校舉辦共18場次講座，並於工商時報進行5次會後報導，以加強宣導廣度。
- 為協助投資大眾獲取金融市場新訊，提升投資理財知識，持續與自由時報合作，邀請投信投資長及基金經理人協助撰寫財經專欄，2023年度共刊登150篇專欄。
- 協辦台北金融研究發展基金會第26屆傑出基金「金鑽獎」頒獎典禮及回饋社會公益活動。
- 為協助投資大眾提升理財知識，與證交所、券商公會共同舉辦「112年度ETF競賽」。
- 協辦集保結算所112年學年度「大專生金融就業公益專班」徵才活動。
- 為慶祝投信投顧產業40週年，規劃辦理40週年紀念活動，於11月30日完成40紀念專刊印製；12月1日假中正紀念堂演藝廳舉辦「投信投顧產業40週年感恩晚會」；2024年1月25日完成40紀念網頁之建置並於公會官網上線。
- 為持續推廣正確退休投資理財，續與集保結算所、證基會、壽險公會及基富通證券共同辦理退休準備平台專案活動。
- 為讓金融知識走入校園，與櫃買中心、券商公會共同協辦經濟日報與輔仁大學合辦之校園巡迴講座。



本公會於5月4日拍攝完成「預防投資詐騙起手式」宣導短片

The Association filmed the "Start Here and Now to Prevent Investment Fraud" promotional video on May 4th



本公會於8月11日至8月12日共同設攤參與「榮耀20 ETF 啟動財富博覽會」

The Association participated in the "Glorious 20 ETF Wealth Expo" from August 11th to 12nd



本公會於3月29日在公會官網建置ESG永續轉型專區網頁

The Association established an ESG Sustainable Transformation Section on its website on March 29th



本公會於10月6日至12月29日辦理大專院校「共同基金正確理財觀巡迴講座」

From October 6th – December 29th, the Association held the "Correct Financial View of Mutual Funds Lecture Tour" in colleges and universities



本公會於12月1日舉辦「投信投顧產業40週年感恩晚會」

The Association held the "Securities Investment Trust and Investment Consulting Industry 40th Anniversary Celebratory Banquet" on December 1st

2. Promote SITE and SICE Industry Image and Related Business

- To raise public awareness of preventing financial investment fraud, the Association filmed the "Start Here and Now to Prevent Investment Fraud" promotional video on May 4th and sent a letter on May 9th requesting member companies and related units to jointly promote it.
- Celebrating the 20th anniversary of ETFs, the Association participated in the "Glorious 20 ETF Wealth Expo" from August 11th-12th, jointly with the Securities Association and Futures Association, to introduce the achievements of ETFs over 20 years. The Chairperson recorded a promotional video titled "Current Situation and Outlook of Taiwan ETF Development in 20 Years" to be played at the venue and on the Association's official website.
- The Association co-organized the "2023 Financial Services Love and Charity Carnival" events in Kaohsiung on July 8th and Yilan on August 19th, hosted by the Taiwan Financial Services Roundtable.
- To assist investment trust companies in achieving sustainable transformation goals of the securities and futures industry, the Association planned and established an ESG Sustainable Transformation Section on its website on March 29th, providing information for member companies to reference. To help offshore fund companies understand the competent authority's policies on ESG funds and sustainable transformation of the securities and futures industry, the Chairperson recorded an English promotional video titled "SITCA ESG Portal and Taiwan ESG Regulation", which was completed and launched on June 29th. To assist companies in understanding climate change risks, the Association invited S&P Sustainable1 to record a bilingual video titled "Understanding Financial Impact of Physical Risk", which was completed and released on September 19th.
- The Association co-organized the "3rd Digital Finance Awards of Commercial Times" on October 23rd.
- The Association co-organized the "2023 Taipei International Financial Expo" with Business Today from November 24th-26th.
- To help college students establish correct investment and financial management concepts early, and to promote financial knowledge focusing on "mutual funds", as well as conduct anti-financial investment fraud promotion, the Association invited 13 SITEs and Master Agents to jointly organize the "Campus Tour on Mutual Fund Correct Financial Management Concepts" from October 6th to December 29th. A total of 18 seminars were held at 16 schools, with 5 post-event reports published in Commercial Times to enhance the breadth of promotion.
- To keep the public informed about the financial market and enhance investment and financial knowledge, the Association continued to collaborate with Liberty Times, inviting investment trust chief investment officers and fund managers to write financial columns. A total of 150 columns were published in 2023.
- The Association co-organized and sponsored the 26th Outstanding Fund "Golden Diamond Awards" ceremony and the charity event of the Taipei Foundation of Finance.
- The Association co-organized the "2023 ETF Competition" with the Taiwan Stock Exchange and the Securities Association to help the public enhance financial knowledge.
- The Association co-organized the "2023 Financial Employment Charity Program for College Students" recruitment event with the Taiwan Depository & Clearing Corporation.
- To celebrate the 40th anniversary of the securities investment trust and investment consulting industry, the Association planned the 40th anniversary commemorative activities. The 40th anniversary special issue was completed and printed on November 30th. The "Securities Investment Trust and Investment Consulting Industry 40th Anniversary Celebratory Banquet" was held at the National Theater and Concert Hall on December 1st. The 40th anniversary commemorative webpage was completed and launched on the Association's official website on January 25th, 2024.
- Continued promoting proper retirement investment management by collaborating with the Taiwan Depository & Clearing Corporation, Securities and Futures Institute, the Life Insurance Association of R.O.C, and Fund Rich Securities on a retirement preparation platform project.
- To bring financial knowledge into campuses, the Association co-organized campus tour seminars with the Taipei Exchange, Securities Association, Economics Daily and Fu Jen Catholic University.

三、舉辦國際資產管理論壇及產業相關研討會

- 協辦及贊助 4 月 14 日內部稽核協會 112 年度研討會。
- 為俾利會員公司遵守相關法規，於 5 月 10 日舉辦「投信業檢查缺失分析及重點說明」宣導。
- 為協助投信投顧業者掌握永續發展的浪潮，於 6 月 14 日假福華文教會館舉辦「2023 年國際資產管理論壇」，就「資產管理業氣候變遷揭露與情境分析」、「國外資產管理業者執行氣候變遷情境分析之實務分享」以及「善用 FinTech 金融科技推動 ESG 永續發展」等議題進行專題演講。
- 為響應國際證券管理機構組織 (IOSCO) 所倡議的「世界投資者週」，提升金融從業人員專業素養，以及加強投資人教育及保護意識，與社團法人臺灣理財顧問認證協會、中華民國退休基金協會、台灣金融研訓院、台灣金融分析專業人員協會、台灣不動產投資協會、臺灣證券交易所、臺灣集中保管結算所、臺灣期貨交易所、中華民國證券櫃檯買賣中心，於 10 月 2 日至 6 日假台灣金融研訓院共同舉辦「2023 世界投資者週聯合論壇」，10 月 3 日下午場次為本公會「2023 年國際資產管理論壇 II」，就「國際氣候變遷之發展趨勢與風險管理 - ISSB 全球永續揭露準則」及「國際基金產業發展趨勢 - ETF 之商品創新、未來發展與監理趨勢」等議題進行專題演講。
- 協辦並贊助自由時報 10 月 11 日、10 月 27 日「2023 台灣資本市場論壇」活動。
- 協辦 10 月 28 日政大信義書院 10 週年「企業倫理與 ESG 國際論壇」之「綠色金融與責任投資論壇」。
- 於 11 月 16 日舉辦「勞動基準法及職業安全衛生法研習」宣導。
- 為強化證券期貨事業法令遵循之角色與功能，於 12 月 18 日及 12 月 20 日協辦證交所「證券期貨事業法令遵循人員在職訓練」初階及進階班。
- 協辦及贊助台北金融研究發展基金會「第 25 屆兩岸金融合作研討會」。



本公會於 6 月 14 日舉辦「2023 投信投顧公會國際資產管理論壇 I」

The Association held the "2023 International Asset Management Forum" on June 14th



本公會於 10 月 3 日合辦「2023 投信投顧公會國際資產管理論壇 II」

From October 4th - 6th, the Association co-organized the the "2023 International Asset Management Forum II"



本公會於 10 月 11 日與 10 月 27 日共同舉辦「2023 台灣資本市場論壇」

The Association co-organized the "2023 Taiwan Capital Market Forum" events of Liberty Times on October 11th and October 27th.

舉辦會員聯誼活動、教育訓練課程，促進會員間交流

一、舉辦證券期貨盃高爾夫球聯誼賽

為加強證券、期貨、投信投顧業者及週邊單位之情誼，本公會與六大證券、期貨週邊單位於 5 月 6 日假桃園揚昇高爾夫球場共同舉辦「2023 年證券期貨盃高爾夫球聯誼賽」，活動當天聚集了 149 位高爾夫球好手踴躍參與。



2023 年證券期貨盃高爾夫球錦標賽
The 2023 Securities and Futures Golf Championship at the Yangsheng Golf Club

3. Host International Asset Management Forums and Conferences

- The Association co-organized and sponsored the 2023 Annual Seminar of the Institute of Internal Auditors on April 14th.
- To facilitate member companies' compliance with relevant regulations, the Association held a promotional event titled "Analysis of Deficiencies and Key Points in Securities Investment Trust Inspections" on May 10th.
- To help SITEs and SICEs grasp the trend of sustainable development, the Association held the "2023 International Asset Management Forum" at the Howard Civil Service International House on June 14th, with keynote speeches on topics such as "Climate Change Disclosure and Scenario Analysis of the Asset Management Industry", "Practical Sharing of Climate Change Scenario Analysis by International Asset Management Companies", and "Leveraging FinTech to Promote ESG Sustainable Development".
- In response to the "World Investor Week" initiative advocated by the International Organization of Securities Commissions (IOSCO), to enhance the professional competence of financial practitioners and strengthen investor education and protection awareness, the Association co-organized the "2023 World Investor Week Joint Forum" with the Financial Planning Association of Taiwan, Pension Fund Association R.O.C., Taiwan Academy of Banking and Finance, Taiwan Financial Analysts Association, Taiwan Real Estate Investment Association, Taiwan Stock Exchange, Taiwan Depository & Clearing Corporation, Taiwan Futures Exchange, and Taipei Exchange from October 2nd-6th at the Taiwan Academy of Banking and Finance. The afternoon session on October 3rd was the Association's "2023 International Asset Management Forum II", with keynote speeches on topics such as "International Trends and Risk Management of Climate Change - ISSB Global Sustainability Disclosure Standards" and "International Fund Industry Development Trends - ETF Product Innovation, Future Development, and Regulatory Trends".
- The Association co-organized and sponsored the "2023 Taiwan Capital Market Forum" events of Liberty Times on October 11th and October 27th.
- The Association co-organized the "Green Finance and Responsible Investment Forum" of the 10th Anniversary "Corporate Ethics and ESG International Forum" of the NCCU College of Commerce on October 28th.
- The Association held the "Seminar on Labor Standards Act and Occupational Safety and Health Act" on November 16th.
- To strengthen the role and function of legal compliance in securities and futures enterprises, the Association co-organized the beginner and advanced classes of the "Training for Compliance Personnel of Securities and Futures Enterprises" of the Taiwan Stock Exchange on December 18th and December 20th.
- The Association co-organized and sponsored the "25th Cross-Strait Financial Cooperation Conference" of the Taipei Foundation of Finance.

Hosted Member Activities, Training Courses, and Increase Member Interaction

1. Hosted the Securities and Futures Golf Championship

To enhance the friendship among securities, futures, investment trust, investment consulting, and related companies and agencies, the Association co-organized the "2023 Securities and Futures Golf Championship" with six major securities and futures related units at the Yangsheng Golf Club in Taoyuan on May 6th. On the day of the event, 149 golf enthusiasts participated.



二、舉辦投信投顧盃羽球聯誼賽

為促進投信投顧從業人員交流，於 7 月 29 日假國立台北教育大學舉行投信投顧盃羽球聯誼賽，共 189 名羽球好手參加。

三、舉辦從業人員教育訓練

全年度共舉辦教育訓練課程 257 場次，受訓人數達 19,080 人次；其中投信投顧從業人員職前（認可證基會外訓課程）12 班次，受訓人數共計 743 人；投信投顧從業人員在職訓練 243 場次，受訓人數共計 18,337 人。



2023 年投信投顧盃羽球聯誼賽
The 2023 SITE and SICE Badminton Tournament at National Taipei University of Education

開辦新課程有：

- * 金融法令制度 - 國際防制洗錢及打擊資恐新趨勢、反貪腐與吹哨者保護、內線交易與非常規交易剖析與案例分享、勞動基準法及職業安全衛生法研習、董監責任與公司治理、公司治理 3.0 看董事會之新挑戰。
- * 投資分析與資產配置 - 氣候變遷與永續金融發展、氣候變遷下之基金投資風險管理、氣候風險管理的第一堂課 - 理論與實作、氣候變遷等環境問題與因應對策、2023 經濟局勢及未來展望、綠色經濟的發展趨勢與商機。
- * ESG 系列課程 - 實踐 ESG 人才永續是關鍵、國際 ESG 趨勢與投信產業永續發展轉型策略解析、責任投資與 ESG 整合流程、從 CSR 到 ESG 企業管理心法、永續發展趨勢 - 2030/2050 淨零碳排、永續發展淨零碳排。
- * 金融科技 - 元宇宙時代的新金融 - 談虛擬貨幣及 NFT 的重要法律議題、綠色金融科技發展現況與展望、ChatGPT 的原理和應用、人工智慧大爆發：聊天機器人 ChatGPT 的技術發展與應用商機。
- * 財富管理與行銷 - 金融業的數位行銷、數位化銷售服務 - 贏得顧客心之溝通技巧。
- * 稽核在職課程 - 如何調整內控制度以因應 ESG 之新規範、法律自保之道 - 如何面對偵查審判程序。

2.Hosted the Securities Investment Trust and Consulting Badminton Tournament

To promote interaction among investment trust and investment consulting practitioners, the Association held the Investment Trust and Investment Consulting Badminton Tournament at National Taipei University of Education on July 29th, with a total of 189 badminton enthusiasts participating.

3.Hosted the SITE and SICE Professional Training Course

A total of 257 training courses were held throughout the year, with 19,080 participants. Among them, 12 pre-employment courses (recognized by the Securities & Futures Institute for external training) for investment trust and investment consulting practitioners had a total of 743 participants; 243 on-the-job training courses for investment trust and investment consulting practitioners had a total of 18,337 participants.

The new courses include:

- Financial Laws and Regulations - New Trends in International Anti-Money Laundering and Combating the Financing of Terrorism, Anti-Corruption and Whistleblower Protection, Analysis and Case Sharing of Insider Trading and Irregular Transactions, Labor Standards Act and Occupational Safety and Health Act Seminar, Director and Supervisor Responsibilities and Corporate Governance, Corporate Governance 3.0: New Challenges for the Board of Directors.
- Investment Analysis and Asset Allocation - Climate Change and Sustainable Finance Development, Fund Investment Risk Management Under Climate Change, First Course on Climate Risk Management - Theory and Practice, Climate Change and Other Environmental Issues and Response Strategies, 2023 Economic Situation and Future Outlook, Development Trends and Business Opportunities of Green Economy.
- ESG Series Courses - Implementing ESG: Talent Sustainability is the Key, Analysis of International ESG Trends and Sustainable Development Transformation Strategies of the Investment Trust Industry, Responsible Investment and ESG Integration Process, From CSR to ESG Corporate Management Mindset, Sustainable Development Trend - 2030/2050 Net Zero Carbon Emissions, Sustainable Development Net Zero Carbon Emissions.
- Financial Technology - New Finance in the Metaverse Era - Discussing Important Legal Issues of Virtual Currencies and NFTs, Current Situation and Outlook of Green Financial Technology Development, Principles and Applications of ChatGPT, AI Explosion: Technological Development and Application Opportunities of ChatGPT.
- Wealth Management and Marketing - Digital Marketing in the Financial Industry, Digital Sales Service - Communication Skills to Win Customers' Hearts.
- On-the-Job Internal Audit Courses - How to Adjust Internal Control Systems in Response to New ESG Regulations, The Way of Legal Self-Preservation - How to Face Investigation and Trial Procedures.

