

Content

Title : The Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission **Ch**

Date : 2011.06.29

Legislative : 1. Full text of 6 articles enacted and promulgated per 9 January 2008 Presidential Order No. ROC-President-I-Yi-09700002281
2. Title and full text of six articles amended and promulgated per 29 June 2011 Presidential Order No. Hua-Zong-I-Yi-10000136531; the date for enforcement to be prescribed by an order of the Executive Yuan (original title: Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission, Executive Yuan)
Issued per 31 October 2011 Order No. Yuan-Shou-Yan-Zong-1002261392 of the Executive Yuan for enforcement from 1 July 2012

Content :

Article 1(Purpose of Establishment and Affiliation)

The Financial Supervisory Commission establishes the Securities and Futures Bureau (hereinafter referred to as the "Bureau") for purposes of the supervision and regulation of the securities and futures markets and securities and futures enterprises, and the formulation, planning, and implementation of related policies, laws, and regulations.

Article 2(Authority and Duties)

The Bureau shall be in charge of the formulation, planning, and implementation of the following matters:

1. Supervision and regulation of public companies and of the offering, issuance, listing, and over-the-counter trading of securities.
2. Supervision and regulation of the review and trading of futures trading contracts.
3. Supervision and regulation of securities and futures enterprises.
4. Supervision and regulation of foreign investment in domestic securities and futures markets.
5. Supervision and regulation of securities industry associations, futures industry associations, and related foundations.
6. Supervision and regulation of securities investment trust funds and securities margin transactions.
7. Supervision and regulation of the auditing and attestation of financial reports of public companies by certified public accountants.
8. Protection of securities investors and futures traders.
9. Processing of examination reports on financial institutions in relation to the businesses of the Bureau and conducting necessary follow-up and assessments.
10. Supervision and regulation of other matters in connection with securities and futures enterprises.

Article 3(Title, Rank, and Number of Senior Official and Deputy Senior Officials)

The Bureau shall have one director general, who shall be a regularly appointed senior civil servant at occupational grade 13, and two deputy directors general, who shall be regularly appointed senior civil servants at occupational grade 12.

Article 4(Title and Rank of Chief of Staff)

The Bureau shall have one chief secretary, who shall be a regularly appointed senior civil servant at occupational grade 11.

Article 5(Preparation of Personnel Organization Table)

The civil service rank, occupational grade, and staffing quotas for each occupational title within the Bureau shall be separately specified in a personnel organization table.

Article 6(Date of Enforcement)

The Executive Yuan shall prescribe by order the implementation date of this Act.

Files : 10The Organic Act of the Securities and Futures Bureau, Financial Supervisory Commission (100.06.29).txt

Data Source : Financial Supervisory Commission Laws and Regulations Retrieving System