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Title : Financial-Supervisory-Securities-SITC-1130367069 

Date : 2024.12.30

Content :

Order of the Financial Supervisory Commission

Issue date: 30 December 2024

Issue no.: Financial-Supervisory-Securities-SITC-1130367069

1. Pursuant to Article 4, paragraph 3, subparagraph 3 of the Securities Investment Trust and Consulting Act, approval is granted that securities investment consulting enterprises (SICEs) (including securities investment trust enterprises [SITEs] that concurrently operate securities investment consulting business) may accept customer mandates to handle family office integration consulting business.
2. The term "family office integration consulting business" in the preceding point means consulting business offered by SICEs (including SITEs that concurrently operate securities investment consulting business), collaborating with professionals or firms offering services in areas such as trust, financing, accounting, law, tax, philanthropy, and education, for the purpose of assisting customers with family business succession and wealth transfer. A SICE (including a SITE that concurrently operates securities investment consulting business) that conducts family office integration consulting business under the preceding paragraph shall establish internal control systems or internal management systems, and shall comply with the provisions of relevant laws and regulations.
3. A SICE (including a SITE that concurrently operates securities investment consulting business) shall submit the following documents in an application to the FSC for approval to conduct the business under Point 1:
  - A. The minutes of the relevant board of directors meeting.
  - B. A business plan, detailing the specific operations and content of the services to be provided.
  - C. The internal control systems or internal management systems for engaging in the relevant business.
  - D. Other documents as required by the FSC.
4. A SICE (including a SITE that concurrently operates securities investment consulting business) that conducts the business under Point 1 shall enter into a family office integration consulting contract with the principal, specifying the rights and obligations between it and the principal arising out of the mandate.
5. A SICE (including a SITE that concurrently operates securities investment consulting business) that has been approved to conduct the business under Point 1 shall perform information reporting in accordance with the rules of the Securities Investment Trust & Consulting Association of the R.O.C. within 5 business days after the end of each quarter.
6. This Order is effective from this day forward.

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