

一、罰緩部分：

序號	裁罰日期	機構名稱	處分內容	違規內容摘要	裁罰依據
1	106.11.29 2017.11.29	日盛期貨 JihSun Futures Co.,Ltd	60萬元 NT\$600,000	受理客戶委託買賣期貨作業，未對帳戶及交易採取持續監控，及辨識、確認交易帳戶實際受益人之合理措施，與受處分人防制洗錢及打擊資助恐怖主義注意事項第3條相關規定不符，核已違反期貨商管理規則第2條第2項之規定。 JihSun Futures Co.,Ltd failed to comply with Article 3 of its “Guidelines for Anti-Money Laundering and Counter Terrorism Financing Policies and Procedures” as it accepted customer orders for futures trading without taking reasonable measures to censor ongoing trading accounts and transactions, and identify account beneficial owners. The facts were found to be in violation of Article 2, paragraph 2 of the “Regulations Governing Futures Commission Merchants.”	期貨交易法第119條 Article 119 of the Futures Trading Act
2	107.11.2 2018.11.2	大慶證券 Ta Ching Securities	50萬元 NT\$500,000	辦理防制洗錢及打擊資恐作業，未確實辦理客戶姓名檢核作業、高風險客戶身分作業未採取強化措施、對既有客戶尚未完成風險評估及分級、與新客戶或既有客戶新增辦理承銷業務未進行身分審查及適時調整風險等級等情事。 When developing and implementing AML/CFT program, the offender failed to conduct proper customer's name screening measures, to conduct proper EDD(enhanced due diligence) measures to high risk customers, to complete risk assessment and rating on existing customers, to review the identity of existing and new customers on new business and adjust the risk rating timely.	洗錢防制法第7條 Article 7 of the Money Laundering Control Act

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3	107.11.5 2018.11.5	野村投信 Nomura Asset Management Taiwan Ltd	50 萬元 NT\$500,000	辦理防制洗錢及打擊資恐作業，未明訂一般風險客戶之定期審查年限，並久未更新國家風險名單，未能有效辨識高風險地區或國家之客戶，不利防制洗錢及打擊資恐作業之執行。 Nomura Asset Management Taiwan Ltd failed to comply with Article 7 of the Money Laundering Control Act as it failed to conduct periodic reviewing for general risk customers when performing the operation of AML/CFT. Its national risk list has not been updated for a long time, and it failed to effectively identify customers if they were from high ML/TF risk countries or regions. It caused the difficulty in the implementation of AML/CFT.	洗錢防制法第7條 Article 7 of the Money Laundering Control Act
4	107.11.7 2018.11.7	永豐金證券 SinoPac Securities	50 萬元 NT\$500,000	辦理防制洗錢及打擊資恐作業，對法人客戶持股達 25%以上之法人股東，未辨識對該法人股東具最終控制權之自然人身分、對高風險客戶未採取合理措施了解客戶財富及資金來源，亦未對其交易往來關係採取強化之持續監督措施等情事。 When developing and implementing AML/CFT program, the offender failed to identify the ultimate parties who are natural persons in control of the institutional investor customer holding more than 25% of the stake, to take appropriate EDD measures to understand the source of wealth and capital of the high risk customers, and to take continued measures in monitoring the relation of the transactions.	洗錢防制法第7條 Article 7 of the Money Laundering Control Act
5	107.11.16 2018.11.16	兆豐證券 Mega	50 萬元 NT\$500,000	辦理防制洗錢及打擊資恐作業，未完整辨識法人客戶之實質受益人、高風險客戶身分作業有未採取強化措施、辦理防制洗錢及打擊資恐人員未依規定參加教育訓練、未依規定辦理自行評估作業及內部稽核作業等情事。 When developing and implementing AML/CFT program, the offender	洗錢防制法第7條 Article 7 of

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		Securities		failed to identify the de facto beneficiaries of the institutional customer, to conduct proper EDD measures to high risk customers, and the AML/CFT staffs did not receive proper training, and failed to conduct self-assessment and internal audit.	the Money Laundering Control Act
6	107.11.29	鑫豐證券	50 萬元	辦理防制洗錢及打擊資恐作業，對確認客戶身分措施及持續審查機制，未以風險基礎方法決定其執行強度、就疑似洗錢或資恐交易態樣未完成資訊系統建置俾輔助發現可疑交易或未留存軌跡及未執行檢視等情事。	洗錢防制法第 7 條
	2018.11.29	Shing Fong Securities	NT\$500,000	When developing and implementing AML/CFT program, the offender failed to adopt the risk-based approach to determine the intensity of customer due diligence(CDD) and on-going CDD measures, to complete the installation of the information system to assist in the detection of suspicious ML/FT transactions, or failed to keep records and conduct review.	Article 7 of the Money Laundering Control Act
7	107.12.6	統一證券	50 萬元	辦理防制洗錢及打擊資恐作業，受理法人開戶有未徵提股東名冊等資料以供辨識客戶實質受益人；對高風險客戶之加強盡職調查程序，有未採取合理措施瞭解客戶財富及資金來源等情事。	洗錢防制法第 7 條
	2018.12.6	President Securities	NT\$500,000	When developing and implementing AML/CFT program, the offender failed to obtain the shareholder registry for institutional customer to identify the de facto beneficiaries of the customers. In addition, the offender failed to take appropriate EDD measures to understand the source of wealth and capital of the high risk customers, .	Article 7 of the Money Laundering Control Act
8	107.12.6	富邦證券	50 萬元	辦理防制洗錢及打擊資恐作業，對高風險客戶未執行強化措施；對國內現貨、複委託等業務客戶之交易被授權人未依規定進行客戶姓名及名稱之檢核作業等情事。	洗錢防制法第 7 條

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	2018.12.6	Fubon Securities	NT\$500,000	When developing and implementing AML/CFT program, the offender failed to conduct proper EDD measures to high risk customers, and to conduct proper name screening measures on the authorized agent of the domestic customer when brokering domestic securities and foreign securities trades.	Article 7 of the Money Laundering Control Act
9	107.12.11	犛亞證券	50萬元	辦理防制洗錢及打擊資恐作業，有未依規定辦理確認客戶身分措施及持續審查措施、未以風險基礎方法決定其執行強度、就疑似洗錢或資恐交易態樣未完成資訊系統建置俾輔助發現可疑交易或未留存軌跡及未執行檢視等情事。	洗錢防制法第7條
	2018.12.11	Primasia Securities	NT\$500,000	When developing and implementing AML/CFT program, the offender failed to adopt the risk-based approach to determine the intensity of customer due diligence(CDD) and on-going CDD measures, to complete the installation of the information system to assist in the detection of suspicious ML/FT transactions, or failed to keep records and conduct review.	Article 7 of the Money Laundering Control Act
10	108.3.12	國泰證券	50萬元	辦理防制洗錢及打擊資恐作業，未依規定建立客戶資料並納入客戶風險評估範圍、未留存辦理客戶姓名及名稱檢核之檢核資料等情事、靜止戶恢復交易卻未進行實質審查、高風險客戶未依規定辦理定期審查、以人工檢核疑似洗錢或資恐態樣者，有未明確規範並留存檢核軌跡之情事等情事。	洗錢防制法第7條
	2019.3.12	Cathay Securities	NT\$500,000	When developing and implementing AML/CFT program, the offender failed to establish customer profiles and include the profiles into the scope of customer risk assessment, to keep records on the name and title of the customer when conduct the name screening measures, to conduct substantive review on the resumption of dormant accounts, to conduct periodic review of high risk	Article 7 of the Money Laundering Control Act

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				customers as required. When manually detecting suspicious transactions fitting the patterns of ML/FT, the offender failed to institute rules and keep records.	
11	108. 5. 21 2019. 5. 21	合作金庫證券 Taiwan Cooperative Securities	50 萬元 NT\$500, 000	辦理防制洗錢及打擊資恐作業，未確認委託人及實質受益人之身分並採取合理審查措施及未執行姓名檢核程序並留存查詢紀錄、高風險客戶身分作業有未採取強化措施、未就媒體報導之特殊重大案件建立檢視客戶帳戶及交易明細並評估洗錢及資恐可疑交易申報等機制等情事。 When developing and implementing AML/CFT program, the offender failed to verify the identities of the principal and the de facto beneficiaries, and take proper CDD measures when conduct name screening measures and keep records. The offender also failed to conduct proper EDD measures on high risk customers, to set up mechanisms to review customer account records and transactions details when special issues was reported by the media, conduct assessment of suspicious, and report STR.	洗錢防制法第7條 Article 7 of the Money Laundering Control Act
12	108. 6. 21 2019. 6. 21	華南永昌綜合證券 Hua Nan Securities	50 萬元 NT\$500, 000	辦理防制洗錢及打擊資恐作業，執行客戶姓名及名稱檢核有未確實查詢或建檔錯誤、未依規定建置防制洗錢態樣並納入監控等情事。 When developing and implementing AML/CFT program, the offender failed to verify the name and title of customer and make proper inquiries or have filing error when conduct customer's name screening measures, and failed to include the patterns of suspicious ML/FT into its detection system.	洗錢防制法第7條 Article 7 of the Money Laundering Control Act

二、警告部分：

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1	106.6.19 2017.6.19	永豐金證券 SinoPac Securities	警告(併其他缺失處分) Warning (with other penalty on defects)	受處分人受理客戶買賣股票，其中部分交易數量已符合受處分人所訂疑似洗錢交易態樣表徵，惟受處分人未詳實載明評估依據及留存評估之軌跡，另未訂定集團層次之防制洗錢與打擊資恐計畫。 When brokering the orders from the customers, and the transaction volume of some cases fit into the pattens of suspicious ML transactions specified by the offender, but the offender failed to maintain details and evidences for its assessment, and leave the trails for assessment. In addition, the offender also failed to establish AML/CFT programs at the group level.	證券交易法第66條 Article 66 of the Securities and Exchange Act
2	106.7.28 2017.7.28	遠智證券 Far Eastern International Securities	警告(併其他缺失處分) Warning (with other penalty on defects)	辦理受託買賣外國有價證券業務有委託人開戶時，未依規定請其開立存款帳戶、匯款至委託人相同戶名但不同於該委託人開戶時所開立之銀行帳戶、有逕依客戶指示將賣出款項匯付特定人之帳戶 When processing the application for opening new accounts to trade foreign securities, the offender failed to request the client to open a deposit account, remit funds to other account bearing the same title of the client, instead of the bank account under the same title of the client at the time of opening the account, and remit the proceeds to a specific account designated by the client.	證券交易法第66條 Article 66 of the Securities and Exchange Act
3	106.12.26	大慶證券	警告(併其他缺失處分)	辦理防制洗錢及打擊資恐作業，未依規定將相關內容納入其防制計畫及相關內規、推出部分新產品及服務前未進行全面洗錢風險評估、執行客戶審查措施部分，有未建立關係戶資料庫或明確之歸戶控管制度、有未確實辦理帳戶及交易之持續監控及未依規定執行疑似洗錢態	證券交易法第66條

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	2017.12.26	Ta Ching Securities	Warning (with other penalty on defects)	樣檢核等情事。 When developing and implementing AML/CFT program, the offender failed to include related content into the AML/CFT plan and related internal code as required, and failed to conduct an overall risk assessment at the time of launching new products and services, and conduct proper customer due diligence. In addition, the offender also failed to set up the database of connected accounts and control system, to conduct on-going monitoring of the accounts and the transactions, and examine on suspicious transactions of ML/FT.	Article 66 of the Securities and Exchange Act
4	107.11.2	大慶	警告(併其他缺失處分)	辦理防制洗錢及打擊資恐作業，未確實辦理客戶姓名檢核作業、高風險客戶身分作業未採取強化措施、對既有客戶尚未完成風險評估及分級、與新客戶或既有客戶新增辦理承銷業務未進行身分審查及適時調整風險等級、部分營業單位尚未指派防制洗錢督導主管且未參加相關課程等情事。	證券交易法第66條
	2018.11.2	Ta Ching Securities	Warning (with other penalty on defects)	When developing and implementing AML/CFT program, the offender failed to conduct proper customer's name screening measures, to conduct proper EDD measures on high risk customers, to complete risk assessment and rating on existing customers, to review the identity of existing and new customers when establishing new underwriting business relationship and adjust the risk rating timely, and some of the sale units failed to appoint AML/CFT officer and participate in related training.	Article 66 of the Securities and Exchange Act