

 國立東華大學  
教學計劃表 Syllabus

|                                                                                                                             |                                                                      |                             |    |                                    |                                                                                          |
|-----------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------------|----|------------------------------------|------------------------------------------------------------------------------------------|
| 課程名稱(中文)<br>Course Name in Chinese                                                                                          | 證券交易法                                                                |                             |    | 學年/學期<br>Academic Year/Semester    | 113/2                                                                                    |
| 課程名稱(英文)<br>Course Name in English                                                                                          | Stock Exchange Law                                                   |                             |    |                                    |                                                                                          |
| 科目代碼<br>Course Code                                                                                                         | DOL_30040                                                            | 系級<br>Department & Year     | 學三 | 開課單位<br>Course-Offering Department | 法律學系                                                                                     |
| 修別<br>Type                                                                                                                  | 學程 Program                                                           | 學分數/時間<br>Credit(s)/Hour(s) |    | 2.0/2.0                            |                                                                                          |
| 授課教師<br>Instructor                                                                                                          | /張郁齡                                                                 |                             |    |                                    |                                                                                          |
| 先修課程<br>Prerequisite                                                                                                        | /*民法總則                                                               |                             |    |                                    |                                                                                          |
| 課程描述 Course Description                                                                                                     |                                                                      |                             |    |                                    |                                                                                          |
| 1. 透過課堂授課方式，讓學生了解證券交易法概念的重要基礎知識<br>2. 透過法律條文的解釋，讓學生了解證券交易法現代化的過程<br>3. 透過證券交易法各重要判例及相關文獻的閱讀、評析及討論，培養學生未來在職場上從事相關工作所需的基本知識能力 |                                                                      |                             |    |                                    |                                                                                          |
| 課程目標 Course Objectives                                                                                                      |                                                                      |                             |    |                                    |                                                                                          |
| 使同學明瞭證券交易法體系之具體內容及實務上相關問題                                                                                                   |                                                                      |                             |    |                                    |                                                                                          |
| 系專業能力<br>Basic Learning Outcomes                                                                                            |                                                                      |                             |    |                                    | 課程目標與系專業能力相關性<br>Correlation between Course Objectives and Dept.' s Education Objectives |
| A                                                                                                                           | 具備專業法律領域及基礎法學知識能力A student with the legal knowledge.                 |                             |    |                                    | ●                                                                                        |
| B                                                                                                                           | 具關懷弱勢、服務熱誠與社會責任之內涵A student with the sense of social responsibility. |                             |    |                                    | ○                                                                                        |
| C                                                                                                                           | 具備獨立、理性及批判思考能力A student with the ability to think independently.     |                             |    |                                    | ○                                                                                        |
| D                                                                                                                           | 具有探索跨學門議題之能力A student with the ability of interdisciplinary research |                             |    |                                    | ●                                                                                        |
| 圖示說明Illustration：● 高度相關 Highly correlated ○ 中度相關 Moderately correlated                                                      |                                                                      |                             |    |                                    |                                                                                          |
| 授課進度表 Teaching Schedule & Content                                                                                           |                                                                      |                             |    |                                    |                                                                                          |
| 週次Week                                                                                                                      | 內容 Subject/Topics                                                    |                             |    |                                    | 備註Remarks                                                                                |
| 1                                                                                                                           | 課程介紹                                                                 |                             |    |                                    |                                                                                          |
| 2                                                                                                                           | 公司治理與獨立董事. 財務報告                                                      |                             |    |                                    |                                                                                          |
| 3                                                                                                                           | 公開收購股權 及股東會委託書之管理                                                    |                             |    |                                    |                                                                                          |
| 4                                                                                                                           | 證券商之管理及有價證券之私募                                                       |                             |    |                                    |                                                                                          |
| 5                                                                                                                           | 證券櫃台買賣中心及證券交易所                                                       |                             |    |                                    |                                                                                          |
| 6                                                                                                                           | 有價證券之上市. 上櫃                                                          |                             |    |                                    |                                                                                          |
| 7                                                                                                                           | 有價證券之買賣                                                              |                             |    |                                    |                                                                                          |

|    |             |  |
|----|-------------|--|
| 8  | 期中考         |  |
| 9  | 證券商         |  |
| 10 | 電影欣賞        |  |
| 11 | 不法操縱行為之類型   |  |
| 12 | 內線交易        |  |
| 13 | 公司之董監等之詐害行為 |  |
| 14 | 歸入權之探討      |  |
| 15 | 反詐欺條        |  |
| 16 | 證券犯罪與罰則     |  |
| 17 | 期末考         |  |
| 18 |             |  |

### 教學策略 Teaching Strategies

- ☒ 課堂講授 Lecture
 ☐ 分組討論 Group Discussion
 ☐ 參觀實習 Field Trip  
☐ 其他 Miscellaneous:

### 教學創新自評 Teaching Self-Evaluation

#### 創新教學(Innovative Teaching)

- ☐ 問題導向學習(PBL)
 ☐ 團體合作學習(TBL)
 ☐ 解決導向學習(SBL)  
☐ 翻轉教室 Flipped Classroom
 ☐ 磨課師 Moocs

#### 社會責任(Social Responsibility)

- ☒ 在地實踐 Community Practice
 ☐ 產學合作 Industry-Academia Cooperation

#### 跨域合作(Transdisciplinary Projects)

- ☐ 跨界教學 Transdisciplinary Teaching
 ☐ 跨院系教學 Inter-collegiate Teaching

- ☐ 業師合授 Courses Co-taught with Industry Practitioners

其它 other:

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| 學期成績計算及多元評量方式 Grading & Assessments                                                                                                                   |                    |                    |          |          |          |          |          |          |                |
|-------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|--------------------|----------|----------|----------|----------|----------|----------|----------------|
| 配分項目<br>Items                                                                                                                                         | 配分比例<br>Percentage | 多元評量方式 Assessments |          |          |          |          |          |          |                |
|                                                                                                                                                       |                    | 測驗<br>會考           | 實作<br>觀察 | 口頭<br>發表 | 專題<br>研究 | 創作<br>展演 | 卷宗<br>評量 | 證照<br>檢定 | 其他             |
| 平時成績(含出席)<br>General Performance<br>(Attendance Record)                                                                                               | 10%                |                    |          |          |          |          |          |          | 出席率及課堂參與<br>情況 |
| 期中考成績 Midterm Exam                                                                                                                                    | 40%                | ✓                  |          |          |          |          |          |          |                |
| 期末考成績 Final Exam                                                                                                                                      | 50%                | ✓                  |          |          |          |          |          |          |                |
| 作業成績 Homework and/or<br>Assignments                                                                                                                   |                    |                    |          |          |          |          |          |          |                |
| 其他 Miscellaneous<br>(上課參與情況)                                                                                                                          |                    |                    |          |          |          |          |          |          |                |
| 評量方式補充說明<br>Grading & Assessments Supplemental instructions                                                                                           |                    |                    |          |          |          |          |          |          |                |
| 教科書與參考書目 (書名、作者、書局、代理商、說明)<br>Textbook & Other References (Title, Author, Publisher, Agents, Remarks, etc.)                                           |                    |                    |          |          |          |          |          |          |                |
| 證券交易法解析 (簡明版) (賴英照)                                                                                                                                   |                    |                    |          |          |          |          |          |          |                |
| 課程教材網址(含線上教學資訊,教師個人網址請列位於本校內之網址)<br>Teaching Aids & Teacher's Website(Including online teaching information.<br>Personal website can be listed here.) |                    |                    |          |          |          |          |          |          |                |
| 其他補充說明 (Supplemental instructions)                                                                                                                    |                    |                    |          |          |          |          |          |          |                |
| 不提供加簽                                                                                                                                                 |                    |                    |          |          |          |          |          |          |                |