

大事紀要 Chronicle

期 Date	項目 Event
1/16	防制洗錢工作小組（Compliance Forum Group）第1次會議 The 1 st meeting of the Compliance Forum Group
1/26	「企業以避險及非避險為目的會計帳務之相關規範」研究案期末報告 Final report of the research project on “Regulations Governing Enterprise’s Risk-hedging and Non-Risk-Hedging Accounting and Related Issues”
1/30	大陸福建平潭綜合實驗區金融辦來訪 Visit of delegation from Inclusive Experiment Area of Pingtang, Fujian Province, China
1/30	第5屆自營業務委員會第5次會議 The 5 th meeting of the 5 th Proprietary Business Committee
1/30	第5屆紀律委員會第6次會議 The 6 th meeting of the 5 th Discipline Committee
1/31	2017歲末聯歡晚會 2017 year-end gala dinner
2/2	第5屆經紀業務委員會第10次會議 The 10 th meeting of the 5 th Brokerage Business Committee
2/7	第5屆財務委員會第8次會議 The 8 th meeting of 5 th Financial Committee
2/12	第5屆自營業務委員會第6次會議 The 6 th meeting of the 5 th Proprietary Business Committee
2/23	第5屆理監事第10次聯席會議 The 10 th joint meeting of the 5 th board of Executive Directors and Supervisors
3/2	防制洗錢工作小組（Compliance Forum Group）第2次會議 The 2 nd meeting of the Compliance Forum Group
3/6	校園巡迴講座-講師座談會 “Campus Lecture Tour” —workshop of lecturers
3/7	金融創新與產業聚落論壇 Forum on Financial Innovation and Industrial Clusters
3/13-16	第43屆美國期貨業協會（FIA）年會-2018 BOCA年會 The 43 rd annual meeting (BOCA) of Futures Industry Association (FIA)
3/12	校園巡迴講座-南華大學 “Campus Lecture Tour” —Nanhua University
3/13	東京金融交易所來訪 Visit of delegation from Tokyo International Financial Futures Exchange (TIFFE)
3/13	第5屆常務理監事第6次聯席會議 The 6 th joint meeting of the 5 th board of Executive Directors and Supervisors
3/14	校園巡迴講座-萬能科大 “Campus Lecture Tour” — Vanung University
3/14-22	理監事聯誼活動-第一梯次（英國） Friendship activity for directors and supervisors—Group 1 (Britain)
3/16	校園巡迴講座-淡江大學 “Campus Lecture Tour” — Tamkang University
3/19	校園巡迴講座-明道大學 “Campus Lecture Tour” — Mingdao University
3/20	防制洗錢工作小組（Compliance Forum Group）第3次會議 The 3 rd meeting of the Compliance Forum Group
3/21	贊助第21屆傑出基金『金鑽獎』頒獎典禮 Sponsoring the 21 st TFF-Bloomberg Best Fund Award Ceremony
3/22	校園巡迴講座-真理大學 “Campus Lecture Tour” — Aletheia University
3/23	校園巡迴講座-屏東大學 “Campus Lecture Tour” — National Pingtung University of Science and Technology
3/23	校園巡迴講座-宜蘭大學 “Campus Lecture Tour” — National Ilan University
3/23	「期貨商風險控管機制調整」說明會 Presentation on “Adjustment in Futures Company’s Risk-control Mechanism”



期 Date	項目 Event
3/26	校園巡迴講座-中山大學 “Campus Lecture Tour” — National Chungshang University
3/26	校園巡迴講座-台北商業大學 “Campus Lecture Tour” — National Taipei University of Business
3/28	校園巡迴講座-台中科大 “Campus Lecture Tour” — National Taichung University of Science and Technology
3/30	第5屆兩岸事務委員會第4次會議 The 4 th meeting of the 5 th Cross-straits Affairs Committee
3/30	「期貨商風險控管機制調整」資訊系統調整討論會議 Meeting on “Adjustment in Futures Company’s Risk-control Mechanism,” focused on information system adjustment
4/2	「金融講堂」系列講座課程-東華大學 “Financial Podium” lecture series—National Dong Hwa University
4/3	校園巡迴講座-亞洲大學 “Campus Lecture Tour” — Asia University
4/10	「金融講堂」系列講座課程-城市科大 “Financial Podium” lecture series—Taipei City University of Science and Technology
4/10	校園巡迴講座-玄奘大學 “Campus Lecture Tour” — Hsuan Chuang University
4/12	證券期貨業暨投信投顧業國家風險評估初步結論說明會 and securities investment consulting companies Presentation of initial conclusion of national risk assessment report for securities, futures, securities investment trust,
4/12	「槓桿交易商如何影響實體經濟的國際經驗研究」暨「中小企業原物料避險需求分析」委外研究期末報告 Final report of CNFA-commissioning research project: “Study on International Experience of Leveraged Traders’ Influence on Physical Economy” and “Analysis on Risk-hedging Demand of Small- and Mid-size Enterprises for Trading of Raw Materials”
4/13	「金融講堂」系列講座課程-元智科大 “Financial Podium” lecture series—Yuang Ze University
4/13	校園巡迴講座-台南應用科大 “Campus Lecture Tour” —Tainan University of Technology
4/13	校園巡迴講座-中央大學 “Campus Lecture Tour” —National Central University
4/13	第5屆財務委員會第9次會議 The 9 th meeting of the 5 th Financial Committee
4/17	「金融講堂」系列講座課程-中華大學 “Financial Podium” lecture series— Chung Hua University
4/17	校園巡迴講座-金門大學 “Campus Lecture Tour” —National Quemoy University
4/17	洗錢防制說明會（台北場） AML Seminar (Taipei)
4/19	洗錢防制說明會（台中場） AML Seminar (Taichung)
4/20	「金融講堂」系列講座課程-逢甲大學 “Financial Podium” lecture series— Feng Chia University
4/20	校園巡迴講座-中正大學 “Campus Lecture Tour” —National Chungcheng University
4/20	第5屆理監事第11次聯席會議 The 11 th joint meeting of the 5 th board of Executive Directors and Supervisors
4/20	金融業防制洗錢暨打擊資恐誓師大會 AML/CTF oath-making assembly of financial industry
4/23	防制洗錢工作小組（Compliance Forum Group）第4次會議 The 4 th meeting of the Compliance Forum Group
4/24	洗錢防制說明會（高雄場） AML Seminar (Kaohsiung)
4/25	校園巡迴講座-崑山科大 “Campus Lecture Tour” —Kunshang University of Science and Technology

期 Date	項目 Event
4/26	LME交易暨倉儲研討會 LME Exchange & Warehousing Seminar
4/28	委員會聯誼-第一梯次 Friendship activity of committee members—Group 1
4/30	校園巡迴講座-銘傳大學桃園分校 “Campus Lecture Tour” —Ming Chuang University, Taoyuan Campus
5/1	107年度證券期貨盃高爾夫球賽聯誼活動 Securities & Futures Golf Championship 2018
5/2	內稽內控制度討論會 Seminar on Internal Auditing Management
5/3	校園巡迴講座-靜宜大學 “Campus Lecture Tour” —Providence University
5/6	委員會聯誼-第二梯次 Friendship activity of committee members—Group 2
5/7	校園巡迴講座-銘傳大學(台北校區) “Campus Lecture Tour” —Ming Chuang University, Taipei Campus
5/8	校園巡迴講座-輔仁大學 “Campus Lecture Tour” —Fu Jen Catholic University
5/9	校園巡迴講座-高雄科大 “Campus Lecture Tour” —Kaohsiung University of Science and Technology
5/11	校園巡迴講座-開南大學 “Campus Lecture Tour” —Nan Kai University
5/15-16	理監事聯誼活動-第三梯次(廣島) Friendship activity for directors and supervisors—Group 3 (Hiroshima, Japan)
5/13	IOSCO年會 IOSCO Annual Meeting
5/14	校園巡迴講座-義守大學 “Campus Lecture Tour” —I Sho University
5/15-18	LME亞洲年會 Annual Meeting of LME Asia
5/23	第5屆紀律委員會第7次會議 The 7 th meeting of the 5 th Discipline Committee
5/23	第5屆經紀業務委員會第11次會議 The 11 th meeting of the 5 th Brokerage Business Committee
5/25-26	洗錢防制專題研討會 Theme-based seminar on AML Regulations
5/26	2018年金融服務愛心公益嘉年華(基隆場) Financial Service and Charity Carnival 2018 (in Keelung)
6/8	第5屆理監事第12次聯席會議 The 12 th joint meeting of the 5 th board of Directors and Supervisors
6/11	因應期貨風險控管機制調整有關徵信及風控實務作業討論會議 Meeting on credit-checking and risk-control issues regarding adjustment in risk-control mechanism of futures companies
6/13	防制洗錢相關作業分享會 AML experience-sharing seminar
6/27	第5屆第3次會員大會 The 3 rd General Assembly of the 5 th -session NAFA Members
7/6	第5屆常務理監事第7次聯席會議 The 7 th joint meeting of the 5 th board of Executive Directors and Supervisors
7/13	第5屆財務委員會第10次會議 The 10 th meeting of 5 th Financial Committee
7/20	理財講座-設攤推廣期貨活動(台北場) Wealth Management Lecture—with futures promotional booth (in Taipei)
7/25	第5屆經紀業務委員會第12次會議 The 12 th meeting of the 5 th Brokerage Business Committee



期 Date	項目 Event
8/9	第5屆常務理監事第8次聯席會議 The 8 th joint meeting of the 5 th board of Executive Directors and Supervisors
8/9	證券期貨業暨投信投顧業國家風險評估報告說明會 Presentation on national risk assessment report for securities, futures, securities investment trust, and securities investment consulting companies
8/14	防制洗錢工作小組（Compliance Forum Group）第5次會議 The 5 th meeting of the Compliance Forum Group
8/15	第5屆國際事務委員會第3次會議 The 3 rd meeting of the 5 th International Affairs Committee
8/24	第5屆理監事第13次聯席會議 The 13 th joint meeting of the 5 th Board of Directors and Supervisors
8/18	投資新趨勢-新北場洗錢防制宣導 New Investment Trend—AML Seminar in New Taipei City
8/22	辦理「受金管會裁罰案件所涉缺失相關人員參加專業訓練課程」第一梯次 “Specialized Training Course for Persons Involved in FSC-penalized Cases” (for Group 1)
8/28	第5屆自營業務委員會第7次會議 The 7 th meeting of the 5 th Proprietary Business Committee
8/30	第5屆信託業務委員會第5次會議 The 5 th meeting of the 5 th Trust Business Committee
8/31-9/10	理監事參訪-第一梯次（葡萄牙） Visiting trip of directors and supervisors—Group 1 (Portugal)
9/1	理財講座-設攤推廣期貨活動（高雄場） Wealth Management Lecture—with futures promotional booth (in Kaohsiung)
9/7	「垂直價差組合與風險指標之關係」說明會 Presentation on “Relation between Vertical Price Gap and Risk Index”
9/11	內政部「106年度工商自由職業團體頒獎典禮」 “Industrial and Commercial Self-employed Business Awarding Ceremony 2017” held by the Ministry of the interior
9/12	第5屆紀律委員會第8次會議 The 8 th meeting of the 5 th Discipline Committee
9/14	辦理「受金管會裁罰案件所涉缺失相關人員參加專業訓練課程」第二梯次 “Specialized Training Course for Persons Involved in FSC-penalized Cases” (for Group 2)
9/17-21	第31期「期貨業務人才養成班聯合徵才活動」第一階段面試 Phase-1 interview for the 31 st “Joint Talents Recruitment Activity for Futures Salesperson Training Course”
9/26	第5屆兩岸事務委員會第5次會議 The 5 th meeting of the 5 th International Affairs Committee
9/27	「選擇權市場代為沖銷合理價格及保證金調整機制之研究」期中報告 Mid-term report of “Study on Reasonable Price for Making Write-off on Behalf of Clients and Deposit Adjustment Mechanism for Options Market”
10/1	2018台北國際期貨論壇 Taipei International Futures Forum 2018
10/2	第5屆常務理監事第9次聯席會議 The 9 th joint meeting of the 5 th Board of Executive Directors and Supervisors
10/5	防制洗錢工作小組（Compliance Forum Group）第6次會議 The 6 th meeting of the Compliance Forum Group
10/5	期貨業洗錢及資助恐怖主義風險評估報告參考實務守則說明會 Presentation on report on AML-CTF risk assessment and practice guidelines for futures industry
10/6-18	理監事參訪-第二梯次（葡萄牙） Visiting trip of directors and supervisors—Group 2 (Portugal)
10/12	第5屆財務委員會第11次會議 The 11 th meeting of the 5 th Financial Committee
10/13	2018年金融服務愛心公益嘉年華（桃園場） Financial Service and Charity Carnival 2018 (in Taoyuan)
10/13	投資新趨勢-高雄場說明期貨交易須知 New Investment Trend—Guidelines for Futures Trading (in Kaohsiung)
10/17	期貨業APG現地評鑑衝刺會議 Last-minute dashing meeting of futures companies in preparation for APG on-site assessment
10/18	「金融講堂」系列講座課程-環球科大 “Financial Podium” lecture series— University

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10/19	第5屆理監事第14次聯席會議 The 14 th joint meeting of the 5 th Board of Directors and Supervisors
10/19	金融業防制洗錢與打擊資恐法遵論壇 AML/CTF Compliance Forum for Financial Industry
10/22	「金融講堂」系列講座課程-東海大學 “Financial Podium” lecture series—Tunghai University
10/24	防制洗錢工作小組（Compliance Forum Group）第7次會議 The 7 th meeting of the Compliance Forum Group
10/25	2018金融建言白皮書研商會議 Meeting on “Financial White Paper 2018”
10/26	「選擇權市場代為沖銷與考慮流動性動態價格穩定機制之研究」期中報告 The first mid-term report on “Study on Making Write-off on Behalf of Clients and Price Stabilization Mechanism in Consideration of Dynamic Price-changing on Options Market”
10/29	「金融講堂」系列講座課程-虎尾科大 “Financial Podium” lecture series—Huwei University of Science and Technology
10/30	「期貨商執行代為沖銷作業」座談會 Workshop on “Futures Company Making Write-off on Behalf of Clients”
11/1	「選擇權市場代為沖銷與考慮流動性動態價格穩定機制之研究」第二次期中報告 The second mid-term report on “Study on Making Write-off on Behalf of Clients and Price Stabilization Mechanism in Consideration of Dynamic Price-changing on Options Market”
11/3	從業人員登山健行聯誼暨「捐發票、送愛心」活動 Friendship hiking and “Invoice Donation for Charity” activities for futures workers
11/14	第5屆自營業務委員會第8次會議 The 8 th meeting of the 5 th Proprietary Business Committee
11/15	第5屆經紀業務委員會第13次會議 The 13 th meeting of the 5 th Futures Brokerage Committee
11/23	第5屆國際事務委員會第4次會議 The 4 th meeting of the 5 th International Affairs Committee
11/27	「臺灣期貨市場造市制度與功能之研究」委外案期中報告會議 Mid-term report of CNFA-commissioned research project on “Study on Market-making Mechanism and Functions for Taiwan’s Futures Market”
11/28	第5屆紀律委員會第9次會議 The 9 th meeting of the 5 th Discipline Committee
11/30	「金融講堂」系列講座課程-中山大學 “Financial Podium” lecture series—National Chungshan University
12/3	第5屆經紀業務委員會第14次會議 The 14 th meeting of the 5 th Futures Brokerage Committee
12/4	第5屆顧問業務委員會第4次會議 The 4 th meeting of the 5 th Futures Advisory Committee
12/5	第5屆信託業務委員會第6次會議 The 6 th meeting of the 5 th Trust Business Committee
12/5	「金融講堂」系列講座課程-台北大學 “Financial Podium” lecture series—Taipei University
12/7	第5屆財務委員會第12次會議 The 12 th meeting of 5 th Financial Committee
12/7	第5屆稽核暨法遵委員會第4次會議 The 4 th meeting of the 5 th Auditing & Law Compliance Committee
12/10	第5屆兩岸事務委員會第6次會議 The 6 th meeting of the 5 th Cross-straits Affairs Committee
12/21	第5屆理監事第15次聯席會議 The 15 th joint meeting of the 5 th Board of Executive Directors and Supervisors
12/25	「金融服務業教育獎助學金計畫」頒獎典禮 Financial Scholarship and Assistantship Awarding Ceremony
12/25	期貨產業發展基金成立會議 Inauguration Meeting of Futures Development Fund
12/28	「第11屆證券暨期貨金椽獎」頒獎典禮 Award Ceremony of the 11 th Securities & Futures Award