

## 大事紀要 Chronicle

日期 Date	項目 Event
1/10	2016歲末聯歡晚會 2016 year-end gala dinner
1/24	第5屆常務理監事第3次聯席會議 The 3 <sup>rd</sup> joint meeting of the 5 <sup>th</sup> Board of Executive Directors and Supervisors
2/3	第5屆經紀業務委員會第4次會議 The 4 <sup>th</sup> meeting of the 5 <sup>th</sup> Brokerage Business Committee
2/9	第5屆財務委員會第3次會議 The 3 <sup>rd</sup> meeting of 5 <sup>th</sup> Financial Committee
2/17	第5屆理監事第4次聯席會議 The 4 <sup>th</sup> joint meeting of the 5 <sup>th</sup> Board of Directors and Supervisors
3/7	贊助第20屆傑出基金『金鑽獎』頒獎典禮 Sponsoring the 20 <sup>th</sup> TFF-Bloomberg Best Fund Award activity
3/9	校園巡迴講座-中興大學 “Campus Lecture Tour” —National Chung Hsing University
3/14-17	第42屆美國期貨業協會（FIA）年會 The 42 <sup>nd</sup> annual meeting of Futures Industry Association (FIA)
3/14	期貨業防制洗錢及打擊資恐遵循成效評估問卷說明會 Presentation of “Survey on AML & CTF Practices and Law Compliance by Futures Companies”
3/15	校園巡迴講座-嘉義大學 “Campus Lecture Tour” —National Chiayi University
3/16	校園巡迴講座-東海大學 “Campus Lecture Tour” —Tunghai University
3/17	理財講座-設攤推廣期貨活動（新竹場） Financial Lecture—with futures promotional booth (Hsinchu)
3/20	校園巡迴講座-真理大學 “Campus Lecture Tour” —Aletheia University
3/21	第5屆自營業務委員會第3次會議 The 3 <sup>rd</sup> meeting of the 5 <sup>th</sup> Proprietary Business Committee
3/22	校園巡迴講座-南華大學 “Campus Lecture Tour” —Nanhua University
3/23-27	理監事聯誼-第一梯次（日本） Friendship activity for directors and supervisors—Group 1 (Japan)
3/23	證券期貨業暨投信投顧業防制洗錢及打擊資恐相關規定說明會 Presentation on “AML & CTF Regulations for Securities, Futures, and Securities Investment Trust and Advisory Industries”
3/24	第5屆經理業務委員會第2次會議 The 2 <sup>nd</sup> meeting of the 5 <sup>th</sup> Managed Futures Committee
3/28	第5屆兩岸事務委員會第2次會議 The 2 <sup>nd</sup> meeting of the 5 <sup>th</sup> Cross-straits Affairs Committee
3/29	第5屆經紀業務委員會第5次會議 The 5 <sup>th</sup> meeting of the 5 <sup>th</sup> Brokerage Business Committee
3/29	校園巡迴講座-中國科大 “Campus Lecture Tour” —China University of Technology
3/30	配合期交所盤後交易制度期貨商風險控管原則說明會（台北場一） Presentation on risk control guidelines for futures companies in cope with TAIEX's after-hour trading system (1st round, Taipei)
4/6-4/10	理監事聯誼-第二梯次（日本） Friendship activity for directors and supervisors—Group 2 (Japan)
4/6	「金融講堂」系列講座課程-環球科大 “Financial Podium” lecture series—TransWorld University



日期 Date	項目 Event
4/7	「金融講堂」系列講座課程-元智科大 “Financial Podium” lecture series—Yuan Ze University
4/11	「金融講堂」系列講座課程-台北城市科大 “Financial Podium” lecture series—Taipei City University of Science and Technology
4/11	「金融講堂」系列講座課程-臺灣師範大學 “Financial Podium” lecture series—National Taiwan Normal University
4/13	配合期交所盤後交易制度期貨商風險控管原則說明會（台中場） Presentation on risk control guidelines for futures companies in cope with TAIFEX’s after-hour trading system (Taichung)
4/13	第5屆財務委員會第4次會議 The 4 <sup>th</sup> meeting of the 5 <sup>th</sup> Financial Committee
4/14	「金融講堂」系列講座課程-開南科大 “Financial Podium” lecture series—Nan Kai University of Technology
4/14	元大標普金日傘型期貨信託基金風控審查會議 Risk control meeting for Yuanta S&P Japanese yen umbrella-type futures trust fund
4/17	校園巡迴講座-高師大 “Campus Lecture Tour” —National Kaohsiung Normal University
4/18	配合期交所盤後交易制度期貨商風險控管原則說明會（高雄場） Presentation on risk control guidelines for futures companies in cope with TAIFEX’s after-hour trading system (Kaohsiung)
4/19	校園巡迴講座-崑山科大 “Campus Lecture Tour” —Kun Shan University
4/19	校園巡迴講座-中華大學 “Campus Lecture Tour” —Chung Hua University
4/20	第5屆顧問業務委員會第2次會議 The 2 <sup>nd</sup> meeting of the 5 <sup>th</sup> Advisory Business Committee
4/20	配合期交所盤後交易制度期貨商風險控管原則說明會（台北場二） Presentation on risk control guidelines for futures companies in cope with TAIFEX’s after-hour trading system (2nd round, Taipei)
4/21	第5屆理監事第5次聯席會議 The 5 <sup>th</sup> joint meeting of the 5 <sup>th</sup> Board of Directors and Supervisors
4/24	校園巡迴講座-宜蘭大學 “Campus Lecture Tour” —Ilan University
4/24	校園巡迴講座-靜宜大學 “Campus Lecture Tour” —Providence University
4/26	校園巡迴講座-暨南大學 “Campus Lecture Tour” —National Chi Nan University
4/29	106年度證券期貨盃高爾夫球賽聯誼活動 Securities & Futures Golf Championship 2017
5/3	校園巡迴講座-萬能科大 “Campus Lecture Tour” —Vanung University
5/4	校園巡迴講座-景文科大 “Campus Lecture Tour” —Jinwen University of Science and Technology
5/9-5/11	LME年會 LME Annual Meeting
5/11	校園巡迴講座-義守大學 “Campus Lecture Tour” —I-Shou University
5/11	校園巡迴講座-彰化師範大學 “Campus Lecture Tour” —National Changhwa Normal University
5/12-5/21	IOSCO年會 IOSCO Annual Meeting

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5/17	校園巡迴講座-聯合大學 “Campus Lecture Tour” —National United University
5/17	校園巡迴講座-高雄第一科大 “Campus Lecture Tour” —National Kaohsiung First University of Science and Technology
5/18	校園巡迴講座-明新科大 “Campus Lecture Tour” —Minghsin University of Science and Technology
5/18	校園巡迴講座-銘傳大學 “Campus Lecture Tour” —Ming Chuan University
5/23	校園巡迴講座-輔仁大學 “Campus Lecture Tour” —Fu Jen Catholic University
5/23	海峽金融論壇綠色金融交流座談會 Cross-straits Financial Forum—Green Financial Exchange Seminar
5/25-5/26	第14屆上海衍生品論壇 The 14 <sup>th</sup> Shanghai Derivatives Market Forum
6/1	第5屆經紀業務委員會第6次會議 The 6 <sup>th</sup> meeting of the 5 <sup>th</sup> Brokerage Business Committee
6/9	第5屆理監事第6次聯席會議 The 6 <sup>th</sup> joint meeting of the 5 <sup>th</sup> Board Members and Supervisors
6/21	第5屆紀律委員會第3次會議 The 3 <sup>rd</sup> meeting of the 5 <sup>th</sup> Discipline Committee
6/28	第5屆第2次會員大會 The 2 <sup>nd</sup> General Assembly of CNFA Members of the 5 <sup>th</sup> Session
7/13	第5屆財務委員會第5次會議 The 5 <sup>th</sup> meeting of the 5 <sup>th</sup> Financial Committee
7/20	第5屆經理業務委員會第3次會議 The 3 <sup>rd</sup> meeting of the 5 <sup>th</sup> Managed Futures Committee
7/25	第5屆常務理監事第4次聯席會議 The 4 <sup>th</sup> joint meeting of the 5 <sup>th</sup> Board of Executive Directors and Supervisors
7/28	理財講座-設攤推廣期貨活動（台中場） Wealth Management Lecture—with futures promotional booth (Taichung)
8/9	第5屆經紀業務委員會第7次會議 The 7 <sup>th</sup> meeting of the 5 <sup>th</sup> Brokerage Business Committee
8/11	《企業以避險及非避險為目的會計帳務之相關規範》討論會議 Meeting held to discuss “Regulations on Enterprise’s Risk-hedging or Non-Risk-Hedging Accounting Affairs”
8/16	新版洗錢防制說明會 Seminar on New AML Regulations
8/17	研議「一定範圍市價委託宣導方式及風險控管措施」專案會議 Project meeting on “Promotional Ways and Risk-control Measures for Authorized Transactions within Certain Range of Prices”
8/18	第5屆理監事第7次聯席會議 The 7 <sup>th</sup> joint meeting of the 5 <sup>th</sup> Board of Directors and Supervisors
8/25	「受金管會裁罰案件所涉缺失相關人員參加專業訓練課程」（從業人員班） “Specialized Training Course for Persons Involved in FSC-penalized Cases” (for staff workers)
8/30	第5屆常務理監事第5次聯席會議 The 5 <sup>th</sup> joint meeting of the 5 <sup>th</sup> Board of Executive Directors and Supervisors
8/31	韓國交易所來訪 Visit of KRX (KOREA EXCHANGE)
8/31	「受金管會裁罰案件所涉缺失相關人員參加專業訓練課程」（高階班） “Specialized Training Course for Persons Involved in SFC-penalized Cases” (for high-ranking Executives)



日期 Date	項目 Event
8/31-9/11	理監事參訪-第一梯次（加拿大） Business trip of board members and supervisors—Group 1 (Canada)
9/1	理財講座-設攤推廣期貨活動（台北場） Wealth Management Lecture—with futures promotional booth (Taipei)
9/13~9/30	第30期「期貨業務人才養成班聯合徵才活動」 The 30 <sup>th</sup> “Joint Talents Recruitment Activity for Futures Salesperson Training Course”
9/14-9/25	理監事參訪-第二梯次（西雅圖） Business trip of board members and supervisors—Group 2 (Seattle, USA)
9/27	第5屆國際事務委員會第2次會議 The 2 <sup>nd</sup> meeting of the 5 <sup>th</sup> International Affairs Committee
9/27	第5屆紀律委員會第4次會議 The 4 <sup>th</sup> meeting of the 5 <sup>th</sup> Discipline Committee
9/29	TFX東京金融交易所伊藤副社長來訪 Visit of TFX Senior Managing Director Wataru Ito
9/30	第30期「期貨業務人才養成班聯合徵才活動」公布錄取名單 Announcement of admission list for the 30 <sup>th</sup> “Joint Talents Recruitment Activity for Futures Salesperson Training Course”
10/3	第5屆經紀業務委員會第8次會議 The 8 <sup>th</sup> meeting of the 5 <sup>th</sup> Brokerage Business Committee
10/5	國外期貨交易TAS（TRADING AT SETTLEMENT）委託之風控機制專案會議 Project meeting on risk control mechanism for trading at settlement (TAS) on international markets
10/12	第5屆財務委員會第6次會議 The 6 <sup>th</sup> meeting of the 5 <sup>th</sup> Financial Committee
10/18	洗錢防制說明會（台北場） AML Seminar (Taipei)
10/18	106年金融建言白皮書會議 Meeting on “Financial White Paper 2017”
10/19	洗錢防制說明會（台中場） AML Seminar (Taichung)
10/20	第5屆理監事第8次聯席會議 The 8 <sup>th</sup> joint meeting of the 5 <sup>th</sup> Board of Executive Directors and Supervisors
10/20	洗錢防制說明會（高雄場） AML Seminar (Kaohsiung)
10/23	《企業以避險及非避險為目的會計帳務之相關規範》期中報告 Mid-term report of research project on “Regulations Governing Enterprise’s Risk-hedging and Non-Risk-Hedging Accounting Affairs”
10/24	2017台北國際期貨論壇 Taipei International Futures Forum 2017
10/24	「金融講堂」系列講座課程-中原大學 “Financial Podium” lecture series—Chung Yuan Christian University
10/25	日本TOCOM東京工業品交易所濱田總經理來訪 Visit of TOCOM President Takamichi Hamada
10/26-11/5	理監事參訪-第三梯次（奧地利） Overseas business trip of board members and supervisors—Group 3 (Austria)
11/6	日本日產證券株式會社二家英彰社長來訪 Visit of Nissan Securities Board Director Tomoaki Hirao
11/6	防制金融犯罪研討會 Seminar on Financial Crime Control

日期 Date	項目 Event
11/6	「金融講堂」系列講座課程-東華大學 “Financial Podium” lecture series—National Dong Hwa University
11/8	「金融講堂」系列講座課程-淡江大學 “Financial Podium” lecture series—Tamkang University
11/10	「金融講堂」系列講座課程-東海大學 “Financial Podium” lecture series—Tunghai University
11/11	2017年金融服務愛心公益嘉年華（台中場） Financial Service and Charity Carnival 2017 (Taichung)
11/15	「推動期經業務發展，增加期經競爭力」專案會議 Project meeting on “How to Promote Managed Futures Business and Strengthen Competitiveness of Taiwan’s Managed Futures Enterprises”
11/15	第5屆兩岸事務委員會第3次會議 The 3 <sup>rd</sup> meeting of the 5 <sup>th</sup> Cross-straits Affairs Committee
11/16	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」委外研究期中報告 Mid-term report of outsourcing research projects: “Study on International Experience of Leveraged Traders’ Influence on Physical Economy” and “Analysis on Demand of Small- and Mid-size Enterprises’ Demand for Risk-hedging for Trading of Raw Materials.”
11/18	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
11/21	第5屆自營業務委員會第4次會議 The 4 <sup>th</sup> meeting of the 5 <sup>th</sup> Proprietary Business Committee
11/22	第5屆信託業務委員會第4次會議 The 4 <sup>th</sup> meeting of the 5 <sup>th</sup> Trust Business Committee
11/22	第5屆稽核暨法遵委員會第3次會議 The 3 <sup>rd</sup> meeting of the 5 <sup>th</sup> Auditing & Law Compliance Committee
11/23	第5屆紀律委員會第5次會議 The 5 <sup>th</sup> meeting of the 5 <sup>th</sup> Discipline Committee
11/24	第5屆經理業務委員會第4次會議 The 4 <sup>th</sup> meeting of the 5 <sup>th</sup> Managed Futures Committee
11/28	第5屆顧問業務委員會第3次會議 The 3 <sup>rd</sup> meeting of the 5 <sup>th</sup> Advisory Business Committee
12/4	第5屆經紀業務委員會第9次會議 The 9 <sup>th</sup> meeting of the 5 <sup>th</sup> Brokerage Business Committee
12/5-12/6	CBOE 風險管理亞洲會議 CBOE Risk Control Meeting in Asia
12/8	第5屆財務委員會第7次會議 The 7 <sup>th</sup> meeting of the 5 <sup>th</sup> Financial Committee
12/13	第14屆證券暨期貨金犇獎 頒獎典禮 Award Ceremony of the 14 <sup>th</sup> Securities & Futures Award
12/15	第5屆理監事第9次聯席會議 The 9 <sup>th</sup> joint meeting of the 5 <sup>th</sup> Board of Executive Directors and Supervisors
12/16	2017年金融服務愛心公益嘉年華（高雄場） Financial Service and Charity Carnival 2017 (Kaohsiung)
12/20	金融服務業教育獎助學金頒獎典禮 Educational Scholarship and Assistantship Awarding Ceremony
12/27	「金融講堂」系列講座課程-東吳大學 “Financial Podium” lecture series—Soochow University