

一、關於期貨交易法令協助推行

A. Implementation of futures-related regulations

增修定範本、規則、申報書表

Formulating contract templates, guidelines, and report formats

修定事項 Amendments to futures-related laws and regulations

1. 修正「分散式阻斷服務防禦與應變作業程序（範本）」，建議期貨業者應要求ISP業者於遭受大量攻擊時提供此告知機制。

Revising the “Distributed Denial of Service (DDoS) Prevention and Reaction Procedures (Reference Sample),” suggesting that futures companies should require ISP operators to trigger this notification mechanism in case of large-scale attack.

2. 將「期貨商行動應用程式檢測」納入「雲端運算、社群媒體、行動裝置資訊安全自律規範」。

Applying the “Self-discipline Rules on Cloud-computing, Social Media, and Mobile Device Information Security” to the “Futures Company’s App Inspection.”

3. 修正本公會「雲端運算、社群媒體、行動裝置資訊安全自律規範」有關「物聯網設備安全控管」及「防堵釣魚網站之處理規範」等，並更名為「新興科技資訊安全自律規範」。

Revising the CNFA’s “Self-discipline Rules on Cloud-computing, Social Media, and Mobile Device Information Security” (revised sections include the “Security Control for IoT Equipment” and the “Regulations on Blocking Phishing Websites”) and renaming it as the “Self-discipline Rules on Emerging Technologies.”

4. 訂定「期貨業防制洗錢及打擊資恐相關規定問答集」。

Formulating the “Anti-Money Laundering and Counter Terrorism Financing Q&A for Futures enterprises”

5. 為協助期貨業者辦理其機構風險評估，訂定「期貨業洗錢及資助恐怖主義風險評估報告參考實務守則」。

Formulating the “Reference Guidelines for AML/CTF Risk Report of Futures enterprises.”

6. 訂定「期貨商及期貨交易輔助人辦理防制洗錢及打擊資恐相關作業參考範本」，有關期貨商對所屬期貨交易輔助人辦理防制洗錢及打擊資恐（AML/CFT）作業表單應注意實質覆核之相關規範。

Formulating the “Guidelines for AML/CTF Practices by Futures Brokerage Companies and Futures Introducing Brokers (Reference Sample) and Related Issues” (regarding the rules which require substantial confirmation of the futures companies on the AML/CFT Practice Report made by their Futures IB.

7. 配合「洗錢防制法」、「資恐防制法」之訂定、主管機關修正洗錢防制相關法令規範、及本公會「期貨信託事業暨期貨經理事業防制洗錢及打擊資恐注意事項範本」等，修正本公會「期貨經理事業內部控制制度標準規範」及內部稽核實施細則、「期貨信託事業內部控制制度標準規範」及內部稽核實施細則。

In order to cope with the government-published “Anti-Money Laundering Act,” the “Countering Terrorist-financing Act,” and related regulations, as well as revisions to the CNFA’s Guidelines for AML/CTF Practices by Futures Trust and Managed Futures Enterprises (Reference Sample),” the CNFA revised its “Standards for Internal Control System of Managed Futures Enterprises” and the “Standards for Internal Control System of Futures Trust Enterprises” as well as related enforcement rules.

Association Affairs

8. 為落實節能減碳及推動期貨經理事業無紙化作業，修正「期貨經理事業經營全權委託期貨交易業務操作辦法」、「期貨經理事業內部控制制度」及「期貨經理事業內部稽核實施細則」，有關「交易決定人員應於『交易前』完成決定書並完成覆核作業」。

In order to cope with the government's "energy-saving and carbon-reducing" policy and to promote paperless operation of managed futures enterprises, the CNFA revised the "Guidelines for Managed Futures Enterprises in Handling Discretionary Account Management Business," the "Internal Control Mechanism of Managed Futures Enterprises," and the "Enforcement Rules for Internal Control Mechanism of Managed Futures Enterprises," requiring that "transaction decision makers should, 'prior to the transaction,' be sure to complete the transaction form and go through all the confirmation procedures."

9. 參考證券全權委託作業，於期貨經理事業運用期貨全權委託資金複委託證券商買賣國外有價證券時，排除投資買賣帳戶應以客戶名義為之（即得以受託之證券商名義簽訂開戶或買賣契約），修正「期貨經理事業經營全權委託期貨交易業務操作辦法」、「期貨交易全權委任契約範本」及「保管機構委任契約範本」相關內容。

Referring to the discretionary account management model for securities transaction and revising the "Guidelines for Managed Futures Enterprises in Handling Discretionary Account Management Business," the "Contract of Discretionary Account for Futures Trading (Template)" and the "Contract of Authorizing Custodian Banking Institution (Reference Sample)," scrapping the requirement that the Managed Futures Enterprises should use their client's title for opening the discretionary account which may re-consign securities firms to trade foreign securities (i.e., to allow the authorized Managed Futures Enterprises to use their own titles to open such accounts or sign on related transaction contracts).

10. 配合櫃買中心開放指數股票型期貨信託基金得申請櫃檯買賣，修正本公會「期貨信託契約範本（一般型）」及「期貨信託基金之募集、發行、銷售及申購回作業程序」、「期貨信託事業受益憑證事務處理規則」。

Revising the CNFA's "Template of Futures Trust Contract (General Type)," the "Procedures for Futures Trust Fund Raising, Issuance, Sales, Subscription, and Redemption," and the "Guidelines for Managed Futures Enterprises in Handling Beneficiary Issues," in cope with the Taipei Exchange's policy to allow the stock index futures trust fund to apply for making OTC translations.

11. 修正「期貨信託事業受益憑證事務處理規則」、「期貨信託基金電子交易作業準則」及「期貨信託基金電子交易約定書範本」增訂客戶透過電子化方式簽署開戶文件，期貨信託事業或基金銷售機構進行客戶身分確認之程序。

Revising the "Guidelines for Managed Futures Enterprises in Handling Beneficiary Issues," the "Guidelines for Managed Futures Enterprises in Handling Electronic Transactions," and the "Electronic Transaction Contract of Futures Trust Fund (Template)," defining the procedures for Futures Trust Enterprises or fund sales agents to confirm client's identification while dealing with electronic translation applications.



研議、建議事項 Proposals

擴大業務範圍事項 Business expansion issues

1. 研議「期貨商開戶徵信作業管理自律規則」，對期貨交易人加收保證金之相關規定。
Proposing to revise the “Self-discipline Rules on Futures Companies in Checking Identification of New Account Applicant,” regarding the regulations on raising the deposit of futures traders.
2. 配合政府發展高齡化金融商品與服務，本公會與期交所共同研議「期貨商開戶徵信作業管理自律規則」有關七十歲以上交易人之開戶、徵信及交易等相關規定。
In cope with the government’s policy for developing financial services and products for the elderly people, the CNFA and the TAIEX are jointly proposing to revise the “Self-discipline Rules on Futures Companies in Checking Identification of New Account Applicant,” regarding account-opening, credibility checking, transactions, and related requirements on the people aged 70 or above.
3. 建議臺灣期貨交易所於交易人同意前提下，對交易人以「自動」委託方式之期貨商品，得經期貨商檢核保證金後，以新倉執行委託送交期交所進行撮合。
To suggest that the TAIEX should, with the consent of futures traders, be able to do transaction-matching for the new account position of the managed futures products which have been entrusted by the traders for “automatic” trading through the account where the deposit has been approved by the Managed Futures Enterprise.
4. 建請主管機關放寬得申請採行整戶風險保證金計收方式（SPAN）交易人之資格。
To suggest that the regulatory agency should relax the qualification requirements of the SPAN traders.
5. 建議臺灣期貨交易所開放期貨商之客戶如係透過保管機構辦理有關期貨交易之結算交割及資料申報等事宜者，期貨商得以加密電子郵件寄送買賣報告書或對帳單。
To suggest that the TAIEX should allow futures companies to send the transaction reports or settlement reports through SSL-certified emails to the clients who have gone through the procedures for allowing their custodian institutions to handle trading settlement and reporting issues.
6. 為持續瞭解期貨業落實防制洗錢及打擊資恐AML/CFT制度執行情形，辦理「期貨業AML/CFT遵循成效評估問卷」，並將分析結果並提供主管機關據以採取適當監理措施。
In order to grasp the AML/CFT practices by futures enterprises, the CNFA will make “Analysis of the Anti-Money Laundering/Counter Terrorism Financing Compliance and Performance Questionnaire for Futures Enterprises” and make analysis for reference of the regulatory agency.
7. 自108年起銀行業週末補行上班日，期貨市場不交易不結算交割，建議臺灣期貨交易所不辦理出金作業。
To suggest that the TAIEX should not process cash flow issues for futures trading on the working Saturday when, since the beginning of 2019, the banks won’t handle settlement procedures for futures trading.
8. 建請主管機關同意給予實施「期貨商法令遵循之評估內容與程序標準規範」之緩衝期間6個月。
To suggest that the regulatory agency should give a buffer period of six months for the “Guidelines for Futures Companies in Compliance Assessment Items and Procedures.”
9. 建議臺灣期貨交易所新增「停損限價」及「一定範圍停損市價」委託種類。
To suggest that the TAIEX should add the two categories of “trading at loss-limit price” and “trading at loss-limit price range” to the trader-authorized futures trading.
10. 建議臺灣期貨交易所調整向期貨商收取「電腦連線處理費」之費率。
To suggest that the TAIEX should adjust the rate of the “computer-network handling fee” charged to the futures companies.
11. 建議臺灣期貨交易所同意放寬期貨商執行代為沖銷作業時，當該交易人未平倉部位中之股票期貨，於當日盤中已出現漲（跌）停成交價時，可排除適用「期貨商開戶徵信作業管理自律規則」第八條「全程禁止使用漲跌停ROD委託單」之規定及刪除「附表」表單。
To suggest that the TAIEX should allow the futures companies, while writing off the position at a trading account on behalf of the client at whose trading account the unsettled stock futures have hit the daily high/low price limit during that day’s trading hours, to exempt from the requirement of Article 8 “Futures Companies are prohibited from using ROD Commission Form During All Trading Hours” of the “Self-discipline Rules for Futures Companies during Credibility-checking Procedures for Account Opening” and remove its “Appendix Form.”
12. 為降低結算會員成本負擔，建議臺灣期貨交易所調整結算會員繳存至該公司結算保證金專戶內款項之「帳務管理費」費率，期交所於108年1月10日函復同意減收帳戶管理費40%（相較前次，再減收15%）。
In order to help settlement members reduce their operational cost, the CNFA previously had requested the TAIEX to lower the rate of the “account management fee” for its settlement members’ deposit at the special settlement deposit account, and has received the TAIEX’s reply on January 10, 2019 that it would cut the rate by 40% (following a 15% cut of last time).

13. 為避免低流動性商品產生價格偏離致無法即時平倉或連鎖代沖銷之風險及影響期貨商系統之風控洗價效率、增加系統負擔及人力經營成本，建議臺灣期貨交易所定期檢視低流動性商品，並報請主管機關核准終止上市。
Considering that the prices of low-liquidity products may deviate too far for futures traders to offset their accounts or for the futures companies to write off the position at the accounts on behalf of their clients and that would influence the risk-control mechanism of futures companies which would accordingly bear heavier human and overall operational cost, the CNFA thus proposes to suggest that the TAIEX should examine the low-liquidity products regularly and apply to the regulatory agency for delisting these products.
14. 建請主管機關同意開放期貨交易輔助人受託買賣執行業務員，得轉介槓桿保證金契約相關商品或其他經主管機關核准之商品。
To suggest that the regulatory agency should allow the futures IB workers, who are commissioned by clients to make futures trading, could make referrals of margin-trading or related government-approved products to their clients.
15. 為利提供委託人全方位最適化之資產管理，建請主管機關函釋華僑及外國人投資有價證券，得以委任方式委託期貨經理事業，並協助與央行溝通配合開放期經得受託投資有價證券。
In order to optimize the assets management services for authorizing traders, the CNFA will suggest that the regulatory agency should send a written letter to the overseas Chinese or foreigners, allowing them to authorize domestic Managed Futures Enterprises for handling securities investments for them, and the CNFA at the same time will coordinate with the Central Bank in regard of this issue.
16. 為利國際化資產管理作業，建請主管機關開放期貨經理事業運用全權委託資產從事國外交易或投資，委託人所交付之資金及結算交割所收款項，不以新臺幣為限。
In order to facilitate international assets management services, the CNFA will suggest that the regulatory agency should allow the trading or settlement accounts, which are used by the Managed Futures Enterprises for making foreign securities transaction or investments on behalf of clients, to be denominated by other currency rather than local New Taiwan Dollar.
17. 為活絡期經業務發展及提升運作效率，建請主管機關考量保管機構在期經業務之功能，函釋專業機構投資人之委託人或委託資產在一定額度以上之法人機構得自行保管委託資產，或放寬得從事期經保管業務之業者範圍、刪除應與保管機構另行簽訂委任契約之規定。
In order to boost Managed Futures market and help Managed Futures Enterprises raise their operational efficiency, the CNFA will suggest that the regulatory agency should, in regard of the custodian institution's services for Managed Futures Enterprises, issue an explanatory letter allowing the professional investment institutions to act as the custodian institution for the clients whose commissioned assets value has reached a certain high level, or relax the range of the institutions to provide custodian services for Managed Futures Enterprises, and delete the requirement for a commission contract to be signed by the custodian institution.
18. 為簡化期貨經理事業申報營業場地及設備作業並配合實務運作，參酌臺灣證券交易所相關規定，研議修正本公會「會員營業處所場地及設備標準」，有關「範圍」、「遵循事項」及「營業處所或場地設置、變動申請作業程序」。
In order to simplify the procedures for Managed Futures Enterprises to report their business sites and related equipment and make the procedures well meet the need of actual operations, the CNFA will refer to the TSEC's related rules and make revisions to its "Standards for Business Site and Facilities of CNFA Member Companies," regarding the sections of "range," "compliance issues," and "procedures of newly-setting up or changing business site or equipment."
19. 為提供期貨經理事業年度財務報告多元化公告方式，研議比照107年7月6日立法院三讀通過修正之公司法規定，建請主管機關函示期貨經理事業年度財務報告除登載於新聞紙外，得登載於新聞電子報。
In order to provide multiple channels for Managed Futures Enterprises to publish their annual financial report, the CNFA will refer to the amendment to the Company Law, which has just passed the Legislative Yuan on July 6, 2018, and suggest that the regulatory agency should send a written letter to notify Managed Futures Enterprises that they could publish their annual financial report on electronic newspaper in addition to traditional printed newspaper.
20. 建請主管機關開放信託業運用信託財產之範圍，除現行得從事衍生性金融商品、結構型商品交易外，增加「槓桿保證金契約交易」。
To suggest that the regulatory agency should relax the range of the trusted assets to be operated by trust companies, adding the category of "products for leverage margin trading" in addition to the existing financial derivatives and structured products.
21. 建請主管機關開放期信事業得採金錢信託方式對符合一定資格條件之人募集期貨信託基金，訂定本公會「期貨信託事業與受委任機構透過金錢信託方式對符合一定資格條件之人募集期貨信託基金委任契約應行記載事項」。
To suggest that the regulatory agency should allow Managed Futures Enterprises to raise managed futures fund, in the form of money trust, from the persons of specific qualifications, and the CNFA will at the same time formulate the "Guidelines for Managed Futures Trust Contract of Managed Futures Enterprises raising managed futures fund, in the form of money trust, from persons of specific qualifications."



二、業務發展事項

B. Association activities

政令宣導 Policy Advocating

金融創新與產業聚落論壇 (3/7)

本論壇結合產官民、相關領域之專家代表及實務界人士共同探討，希冀透過論壇舉辦，建構政府、產業與公民三方實質交流與溝通對話之平台，為產業營造出一個有利經營與發展之優質環境，約150位各屆人士參加。

Forum on Financial Innovation and Industrial Clusters

This forum, which gathered industrial representatives, officials, as well as experts in related fields, made a dialogue platform for these three sides of the government, industry, and the public to discuss and create a favorable business environment for the futures industry. It's joined by around 150 participants.



「期貨商風險控管機制調整」說明會 (3/23)

本公會邀請專、兼營期貨商辦理風控、資訊相關業務之主管，就交易人分類、從事較不具流動性商品加收保證金、SPAN適用對象、停止使用保證金最佳化、代為沖銷及壓力測試、加強服務等調整事項進行說明與溝通。

Presentation on “Adjustment in Futures Company’s Risk-control Mechanism”

The CNFA invited the executives in charge of risk-control, information management, and related fields from the specialized futures brokerage companies and futures brokerage affiliates of financial institutions to discuss the issues such as trader classification, extra charge for trading on low-liquidity products, targets of SPAN, optimized alternative to deposit collection, making write-off on behalf of clients and pressure test, as well as other adjustment issues regarding how to strengthen services for futures traders.



證券期貨業暨投信投顧業國家風險評估初步結論說明會 (4/12)

為協助業者瞭解國家風險評估對金融機構之意義，以及如何將國家風險評估（NRA）結論及風險評估在相互評鑑上之運用，證券商公會、期貨公會、證券投信投顧公會共同辦理本說明會，計380位業界人士參加。

Presentation on national risk assessment report for securities, futures, securities investment trust, and securities investment consulting companies

In order to help market players understand the significance of national risk assessment (NRA) for the financial institutions as well as the NRA application in mutual assessment, the CNFA joined the Taiwan Securities Association and the SITCA in arranging this presentation. It's participated by 380 attendees.





洗錢防制/打擊資恐 法令解析及案例說明會 (4/17、19、24)

為協助防制洗錢及打擊資恐第一道防線相關人員瞭解所承擔職責，及具備執行該職責應有之專業，以強化防制洗錢作業之執行，本公會辦理北中南各乙場說明會，計307位督導主管、營業人員、法遵及內部稽核參加。

AML Seminar, analyzing AML/CTF regulations with case explanations

In order to address the responsibilities and professional skills of the AML/CTF frontline workers so as to help them strengthen their practices at work, the CNFA held the AML Seminar in northern, central, and southern Taiwan, respectively, participated by a total of 307 attendees including supervisors, sales representatives, compliance department workers, internal auditing workers, and so on.



金融業防制洗錢暨打擊資恐誓師大會 (4/20)

為宣示金融業支持國家重大政策、落實防制洗錢與打擊資恐之決心，由金管會指導、金融總會統籌、金融業9大公會共同辦理誓師大會，當天超過300位金融業董總及客戶參與；另透過媒體報導，以提升民眾對洗錢防制之認知。

AML/CTF oath-making assembly of financial industry

In order to declare the financial workers' support to the major national policies and fulfill their AML/CTF commitment, the nine major financial-related association jointly held an oath-making assembly, led by the Taiwan Financial Services Roundtable (TFSR) under instructions of the Financial Supervisory Commission. It gathered over 300 top-ranking executives and heavyweight clients of the financial industry. Through reports of the mass media, this event substantially raised the public's awareness on the AML/CTF issues.



洗錢防制專題研討會 (5/25-26)

為因應接受亞太防制洗錢組織（APG）第三輪相互評鑑，並強化期貨業對防制洗錢及打擊資恐之重視與瞭解，本公會舉辦「洗錢防制專題研討會」，邀請理事、監事及期貨業董事長、總經理與高階主管共126人參加，並獲得熱烈迴響。

Theme-based seminar on AML Regulations

In order to prepare for the APG's 3rd round of mutual evaluation and to strengthen futures companies' awareness and attention to the AML/CTF issues, the CNFA organized this seminar, joined by the CNFA Directors and Supervisors, as well as chairmen, presidents, and other high-ranking executives of member companies. It gathered a total of 126 attendees and drew active feedback.



證券期貨業暨投信投顧業國家風險評估報告說明會 (8/9)

為協助業者瞭解並將國家風險評估 (NRA) 結果導入機構風險評估 (IRA)，強化以風險基礎方法進行風險評估，證券商公會、期貨公會、證券投信投顧公會共同辦理本說明會，計380位業界人士參加。

Presentation on national risk assessment report for securities, futures, securities investment trust, and securities investment consulting companies

In order to help market players understand the national risk assessment (NRA) and its application in institutional risk assessment (IRA) and meanwhile strengthen risk assessment based on basic risk assessment methods, the Taiwan Securities Association, the CNFA, and the SITCA jointly in arranging this presentation. It's participated by 380 attendees.



金融業防制洗錢與打擊資恐法遵論壇 (10/19)

為強化金融業對我國洗錢與資恐風險之認知，由金融總會主辦、金融業9大公會協辦本論壇，就詐欺、網路金融犯罪、貨物進口涉及洗錢等犯罪手法與態樣經驗分享，計350位政府官員、法遵與從業人員、執業會計師參加。

AML/CTF Compliance Forum for Financial Industry

In order to strengthen financial workers' AML/CTF risk awareness, the TFSR organized this forum, sponsored by the nine major financial-related associations, discussing a broad range of topics such as fraud, financial crime online, suspicious imported goods, and other money laundering issues. It's joined by around 350 attendees, including government officials, compliance workers, certified accountants, and other relevant workers who gathered to share experiences about AML issues.



防制洗錢工作小組 (Compliance Forum Group) 會議

因應107年11月底亞太防制洗錢組織 (APG) 第三輪評鑑，本公會邀集各專營期貨業者之防制洗錢專責主管組成工作小組，由糜以雍理事長親自擔任召集人，以協助解決業者面臨問題及意見交流，於本年度共召開7次會議。

Meeting of Compliance Forum Group

In preparation for the third round of APG assessment in late November 2018, the CNFA organized the Compliance Forum Group which was joined by the AML supervisors of member companies. This Group, with CNFA Chairman acting as its commissioner, has convened seven meetings to help futures companies solved problems in this field and share each other's experiences and viewpoints.





市場推廣活動 Market promotion activities

2018「期貨業未來發展與就業機會」校園巡迴講座 (3/1-5/31)

本講座於各大學院校辦理24場、約1,400位同學參與，舉辦目的係藉由巡迴講座協助同學正確認識期貨就業市場，並了解實務工作內容與所需具備之職能，並做好職涯規劃與就業的準備，為職場生涯構築藍圖。

“Future Development & Job Opportunities of Futures Industry” – campus lecture tour

In 2018, the CNFA arranged campus lectures at 24 universities, attended by around 1,400 students. The lectures were arranged to help students understand the futures market as well as jobs of futures workers and related job requirements, and that would prompt them to take earlier steps to plan for their careers in the future.

「金融講堂」系列講座課程 (Q2、Q4)

為響應主管機關推動「金融知識普及計畫」及金融教育推動小組「深化校園根基」策略，本公會今年度共參與10場「金融講堂」系列講座，講授期貨業實務課程，灌輸學生正確之期貨知識，實踐向下紮根，培育金融人才之理念。

“Financial Podium” lecture series

In reaction to the government’s “Financial Knowledge Spread-out” plan and the Financial Education Committee’s “Campus Rooting” strategy, the CNFA supported 10 rounds of the “Financial Podium” to give futures lectures on campus of universities around Taiwan, cultivating university students with correct futures knowledge, deepening financial education on campus under the goal of cultivation of financial talents.



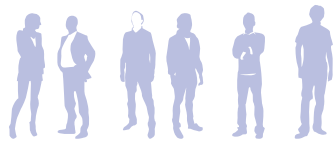
期貨業務人才養成班聯合徵才活動 (9/11-21)

本公會於107年度舉辦第31期「期貨業務人才養成班」聯合徵才活動，本班係由臺灣期貨交易所贊助經費、證券暨期貨市場發展基金會執行培訓課程，再由本公會籌辦甄選作業。開辦迄今已為業界媒合369位生力軍。

Joint talents recruitment activity for futures salesperson training course

The CNFA held the 31st joint talents recruitment activity for 2018, in conjunction with the “Futures Salesperson Training Course” sponsored by the TAIFEX and organized by the Securities & Futures Institute (SFI). The CNFA was responsible for screening the trainees for this Course which, since inception, has seen 369 trainees find competent jobs after completing the training course.





2018金融建言白皮書研商會議（10/25）

本公會參與金管會主辦之金融建言白皮書會議，建議「為促進選擇權市場之商品發展及健全選擇權商品稅制，將選擇權稅制比照期貨契約，依類別予以分別訂定稅率課稅，並酌予調降各類選擇權核定稅率。」。

Meeting on “Financial White Paper 2018”

The CNFA participated the FSC-held meeting on “Financial White Paper 2018” where it suggested classifying options into different categories for different tax rates as taxation measures for futures, and at the same time considering cut the tax rates on options” and “reducing tax rates for the transactions made by stock futures or stock option marker makers for risk-hedging.”



期貨產業發展基金成立會議（12/25）

期貨業界為善盡企業社會責任，捐助款項成立「期貨產業發展基金」並由證券暨期貨市場發展基金會進行管理及運用，以健全期貨市場、增進證券暨期貨產業發展，辦理相關政令宣導、市場教育、制度推展等宣傳活動與文宣。

Inauguration Meeting of Futures Development Fund

The futures companies, in order to fulfill their social responsibilities, made donations to the “Futures Development Fund” managed by the Securities & Futures Institute as the fund to promote healthy development of the futures market as well as organize various public education activities such as policy promotion campaigns, public educational, policy introduction, and so on.



理財講座-設攤推廣期貨活動（7/20、9/1）

為推廣期貨市場、維護期貨市場交易秩序，本公會邀請期貨商於期交所與媒體共同辦理之理財講座現場辦理設攤推廣活動，期藉由簡單易懂的小遊戲加強交易人對期貨開戶、交易、風險管理...等作業的認識，並積極宣導從事期貨交易請選擇合法期貨業者。

Wealth Management Lecture and Futures Promotional Booth

In order to promote futures trading and maintain the market order, the CNFA invited the TAIFEX, futures companies, as well as mass media to jointly organized this event where, through simple games, the public learned how to open futures trading accounts, how to do futures trading, how to control risk, and such related issues. Meanwhile, they also gained the knowledge regarding how to select legitimate futures companies.





社會關懷 Social care

2018年金融服務愛心公益嘉年華（5/26、10/13）

為推動普及金融知識，喚起民眾對金融知識的重視及對社會弱勢族群的關懷，本公會除積極參加5/26及10/13金融總會統籌辦理之基隆及桃園兩場關懷社會園遊會，從事教育宣導工作，並捐贈款項予弱勢團體，幫助需要關懷人士。

Financial Service and Charity Carnival 2018

In order to spread out financial knowledge to arouse the public's awareness of the new financial knowledge and social care for the disadvantaged groups, the CNFA enthusiastically joined the two rounds of the TFSR-organized "Financial Service and Charity Carnival 2018" held in Taoyuan and Keelung, respectively. Besides promoting public education, the CNFA made donations to the disadvantaged groups and helped those who were in need.

107學年「金融服務業教育獎助學金計畫」頒獎典禮（12/25）

本計畫係由金管會指導，金融總會統籌辦理，各金融周邊、同業公會、金融機構共同捐助新臺幣1億2仟萬元，其中1億元供發放教育獎助學金（2,000名學生，每名5萬元），2仟萬元供辦理金融教育課程。

Educational Scholarship Program for Financial Service Industry (for school year 2018)

This program is executed by the TFSR in accordance with FSC's instruction, with an initial fund of NT\$120 million, donated by related institutions, associations, holding companies, and so on. Of the initial fund, NT\$100 million is used as scholarship for college students (2,000 students, each NT\$50,000), while the rest NT\$20 million to be used for arranging financial training courses.

第11屆「證券暨期貨金椽獎」頒獎典禮（12/28）

「證券暨期貨金椽獎」係由金管會指導，證期局與證券期貨周邊單位共同辦理之論文甄選比賽，每兩年辦理一次。本屆參選作品計58件，選出「研究建言獎」9篇、「創新設計獎」2名及「傑出研究團隊獎」乙名。

Award Ceremony of 11th Securities & Futures Award

The "Securities & Futures Award" is a biennial paper contest, co-organized by the Securities & Futures Bureau and related organizations under instructions of the FSC. In 2018, it received 58 papers, from which nine were awarded the "Research Recommendation Award," two "Innovative Design Award, and one "Outstanding Research Team Award."



國際兩岸交流 International exchange

大陸福建平潭綜合實驗區金融辦來訪(1/30)

大陸平潭綜合實驗區管理委員會金融辦楊哲安副主任一行3人來訪，就該實驗區之政策現況及證券期貨商於該區設立條件和相關獎補政策進行說明，由本公會首長接待，並邀請業者代表3人與會。

Visit of delegation from Financial Experiment Area of Pingtang, Fujian Province, China

A 3-member delegation from the Inclusive Experiment Area of Pingtang, Fujian Province, China, led by Je-an Yang, deputy director of Financial Office of the area's Management Committee, made a visit to the CNFA and introduced that area's policies, subsidy programs, and qualification requirements for securities and futures companies to apply for setting up business offices inside that area. They were received by CNFA high-ranking executives and three representatives of CNFA members.



東京金融交易所來訪 (3/13)

日本東京金融交易所大房 弘憲 証拋營業部長、日產證券平尾 友亮 法人部長等5位來訪，就臺日期貨市場概況、商品與制度等議題，分享最新動態。

Visit of Tokyo Financial Exchange

A 5-member delegation from the Tokyo Financial Exchange, led by Hironori Ofusa, Director of Financial Derivatives Marketing Department, made a visit to the CNFA and shared views on a variety of issues about the development of Taiwan's and Japan's futures markets, futures products, and market system.



第43屆美國期貨業協會 (FIA) 年會(3/13-16)

2018年美國CFTC國際監理官會議及第43屆美國FIA年會於3月13日假美國佛州Boca Raton舉行，探討金融海嘯10年後的回顧、建設未來的衍生性商品市場、金融科技、比特幣期貨等最新議題。

Boca 2018, annual meeting of Futures Industry Association, FIA

The Commodity Futures Trading Commission (CFTC) held its annual meeting of directors and supervisors, in conjunction with FIA annual meeting, in Boca Raton, Florida, U.S.A. on March 13, making a review of the 2008 financial crisis as well as discussing related hot topics on financial derivatives market, financial technology, bitcoin futures, and so on.





LME交易暨倉儲研討會(4/26)

由香港交易所主辦、高雄港務公司及本公會共同協辦之「LME交易暨倉儲訓練課程」，於4月26日假高雄香蕉碼頭河邊餐廳成功舉辦，吸引各界菁英包括交通部、財政部、證期局、臺灣期交所、期貨經紀商、槓桿交易商、倉儲業、金屬業、貿易商、銀行等單位共76位人士與會交流。

LME Exchange & Warehousing Training Course

This training course, organized by Hong Kong Exchanges and Clearing Limited (HKEx) and co-sponsored by the CNFA and the Port of Kaohsiung under Taiwan International Ports Corporation, was held at a restaurant near Banana Dock of Kaohsiung Port on April 26, joined by 76 people from the Ministry of Transportation and Communication, Ministry of Finance, Securities and Futures Bureau, Taiwan Stock Exchange, as well as futures brokerage companies, leverage-trading firms, warehousing industry, metal industry, and banks.



IOSCO年會(5/5-13)

國際證券管理機構組織（IOSCO）第43屆年會於5月7日至11日假匈牙利布達佩斯舉辦，研討會聚焦於強化資本市場結構的韌性、金融科技對市場的衝擊及因應措施、虛擬貨幣首次公開募資（ICO）及虛擬貨幣交易平台、ETFs及基金運用槓桿問題之因應措施等相關議題。

IOSCO annual meeting

The International Organization of Securities Commissions (IOSCO) held its 43rd annual meeting on May 7-11 in Budapest, Hungary, discussing how to strengthen the “toughness” of the capital market, how to deal with fintech impact on the financial market, how to regulate the initial coin offering (ICO) of the cryptocurrencies and its exchange platform, how to govern the leveraging operations of ETFs and other funds, among other related issues.

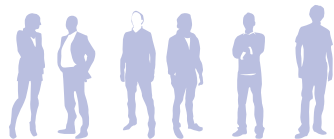


LME亞洲年會(5/15-18)

2018 LME亞洲年會於5月17日假香港會議展覽中心舉行為期一天的研討，今年的議題鎖定在全球金屬商品定價權之歸屬，共有近600位業界代表齊聚一堂，探討金屬行業現況及未來發展。

LME annual meeting in Asia

The one-day LME annual meeting in Asia was held in Hongkong convention and exhibition center on May 17, centered at the topic about the pricing rights on the global metal product market. It gathered nearly 600 industrial representatives, discussing the status and future development trend of the global metal industry.



2018台北國際期貨論壇（10/1）

本論壇以「臺灣農糧市場現況及避險工具探討」為主題，結合農業、保險及期貨各領域之專業人士與學者，在本次活動中分享寶貴經驗，期望透過論壇促進金融事業瞭解農糧市場，進一步發展協助農糧業者避險之金融商品。

Taipei International Futures Forum 2018

Under the theme of “Current Situation and Hedging Tools of Taiwan’s Agricultural Market,” the forum gathered experts and scholars from the agricultural, insurance, and futures industries to share their valuable working experiences in a hope to enhance financial workers’ understanding of the agricultural market and thus develop hedging tools for agricultural workers.



理監事參訪團（8/31-9/10及10/6-18）

為考察國外金融市場發展趨勢，作為業界日後經營之重要參考，本公會每年均安排理監事赴國外進行金融產業交流活動。107年下半年特別安排理監事考察參訪葡萄牙商會，藉由此行以深化雙邊業務交流及緊密合作。

Overseas business trip of board members and supervisors

In order to observe the financial market trends of foreign countries and make it as reference to Taiwan’s futures workers, the CNFA held the cross-border exchange activity for the financial industry every year. It organized a trip to Portugal for the directors and supervisors during the second half of 2018, promoting bilateral business interaction and cooperation.



聯誼活動 Friendship activities

1. 歲末聯歡晚會 (1/31)

本公會辦理歲末感恩聯歡晚會，感謝所有理監事及各委員會委員的辛勞付出，並邀請週邊單位首長共同出席，多方交流與互動。

2017 year-end gala dinner

The CNFA held the Year-end Gala Dinner to express gratitude for the efforts of all board members, supervisors, and committee members, inviting the high-ranking executives from related institutions to join for closer interaction with them.

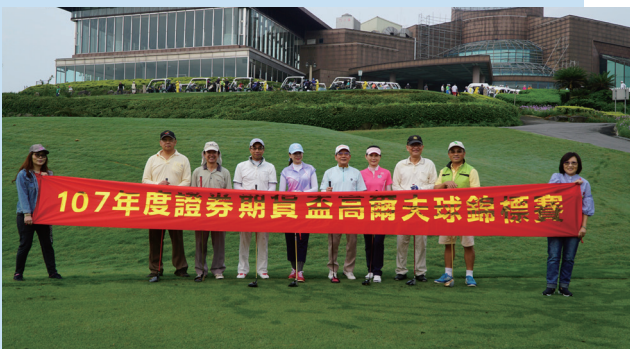


2. 107年度證券期貨盃高爾夫球聯誼賽 (5/1)

由證交所、期交所、集保、櫃買、證券公會、期貨公會及投信投顧公會等7大證券暨期貨周邊單位共同舉辦證券期貨盃高爾夫球賽，提倡正當休閒運動，並加強證券、期貨業之交流聯誼。

Securities & Futures Golf Championship for 2018

The Securities & Futures Golf Championship was co-organized by seven associations and institutes, including the TSE, TAIFEX, TDCC, TAPx, TSA, CNFA, and SITCA, to provide securities and futures workers with healthy leisure activities and at the same time strengthen interactions among them.



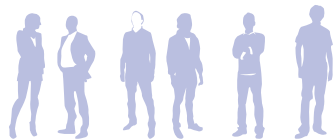
3. 從業人員登山健行聯誼暨「捐發票、送愛心」活動 (11/3)

為提倡健康自然之休閒活動並提供從業人員聯誼管道，辦理從業人員登山健行聯誼活動，並同時「捐發票、送愛心」關懷弱勢。本次活動超過1,100名從業人員及眷屬參與，共募得近3,000張發票全數捐與第一社會福利基金會。

Friendship hiking and “Invoice Donation for Charity” activities for futures workers.

In order to provide healthy and natural leisure activities to futures workers, the CNFA arranged the annual hiking activity in conjunction with an “Invoice Donation for Charity” campaign in 2018, participated by over 1,100 futures workers and their family members. Nearly 3,000 invoices were collected through these activities, and all have been donated to the First Social Welfare Foundation.





4. 委員會聯誼活動 (4/28-29及5/5-6)

107年度委員會聯誼活動規劃台南府城兩日行程，辦理2梯次，期透過此聯誼活動，讓平日業務繁忙的業界同仁，得以互相交流並聯絡感情。

Friendship activity for committee members

The friendship activity organized for committee members in 2018 was the 2-day journey to Tainan (held twice for two groups), making good opportunities for futures workers to entirely relax themselves from busy work and build up closer friendship with each other.



5. 理監事聯誼活動 (3/14-22、5/4-9、5/11-16)

為促進理監事之情誼，本公會於3月及5月辦理英國及日本廣島共三梯次之聯誼活動，計30位理監事參加。

Friendship activity for CNFA directors and supervisors

In order to promote friendship among directors and supervisors, the CNFA organized three foreign trips for three groups of them, one to Britain and the other two to Hiroshima, Japan, during March and May, participated by a total of 30 directors and supervisors.



三、督促會員自律、共謀業務上改進事項

C. Self-discipline and operation improvement of member companies

1. 期貨顧問事業查察輔導事項

Inspection of futures advisory enterprises

本公會107年度針對期貨顧問事業之業務及內部稽核作業實施例行查察輔導及專案查核工作，其中違反本公會「會員自律公約」，提報紀律委員會共8案，發函要求改善者4件、核處警告者6件。

The CNFA made annual inspection on futures advisory enterprises and their practices of internal auditing. In 2018, among those found breaking the “Self-discipline Agreement for CNFA Members,” 8 cases were reported to the Discipline Committee, 4 were notified to make improvement by written letter, and 6 received the CAFA's warning notices.

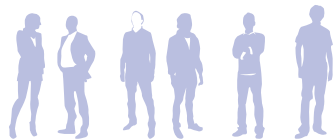
2. 督促事項

Discipline matters

期貨顧問事業以外之會員公司因違反本公會自律規範，提報紀律委員會共3案，發函要求改善者3件。

Among other member companies which violated the “Self-discipline Rules for CNFA Member,” except futures advisory enterprises, 3 cases were reported to the Discipline Committee and another 3 were notified to make improvement.





四、關於會員業務之廣告及宣傳審查事項

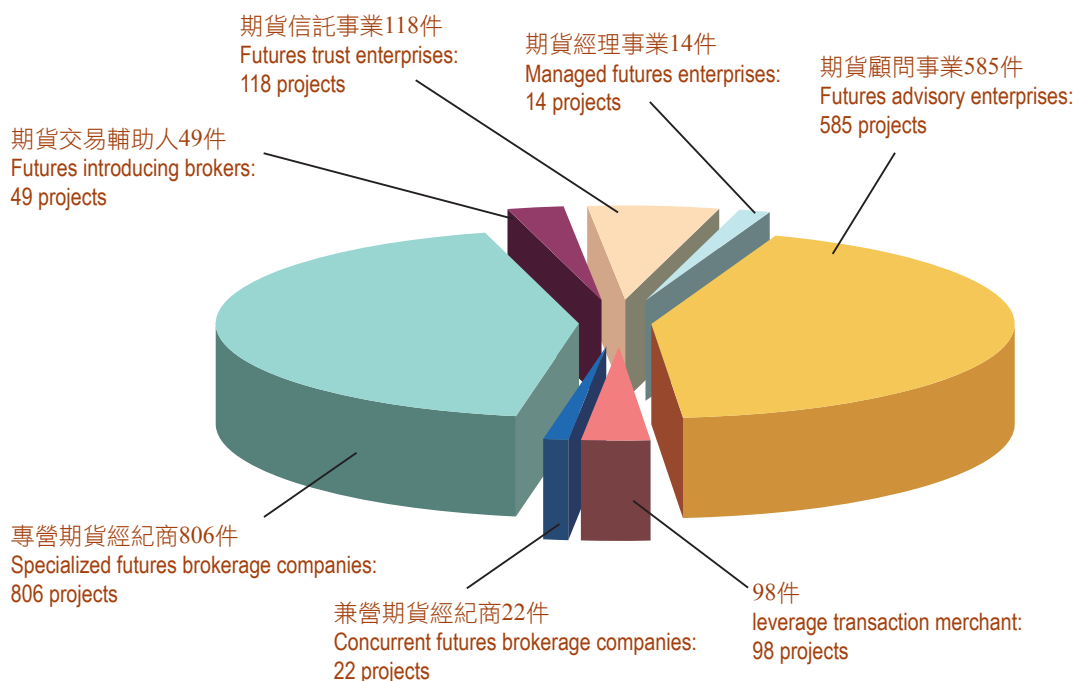
D. Inspection of advertisement and promotional materials of member companies

本公會107年度共計審核1,692件會員公司宣傳資料及廣告案件，就案件分析，專營期貨經紀商申報806件、兼營期貨經紀商申報22件、槓桿交易商申報98件、期貨顧問事業申報585件、期貨經理事業申報14件、期貨信託事業申報118件、期貨交易輔助人申報49件。

In 2018, the Association reviewed 1,692 projects of advertisement and promotional materials published by member companies. Among them, 806 projects were filed by the specialized futures brokerage companies, 22 by concurrent futures brokerage companies, 98 by leverage transaction merchant, 585 by futures advisory enterprises, 14 by managed futures enterprises, 118 by futures trust enterprises, and 49 by futures introducing brokers.

107年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2018

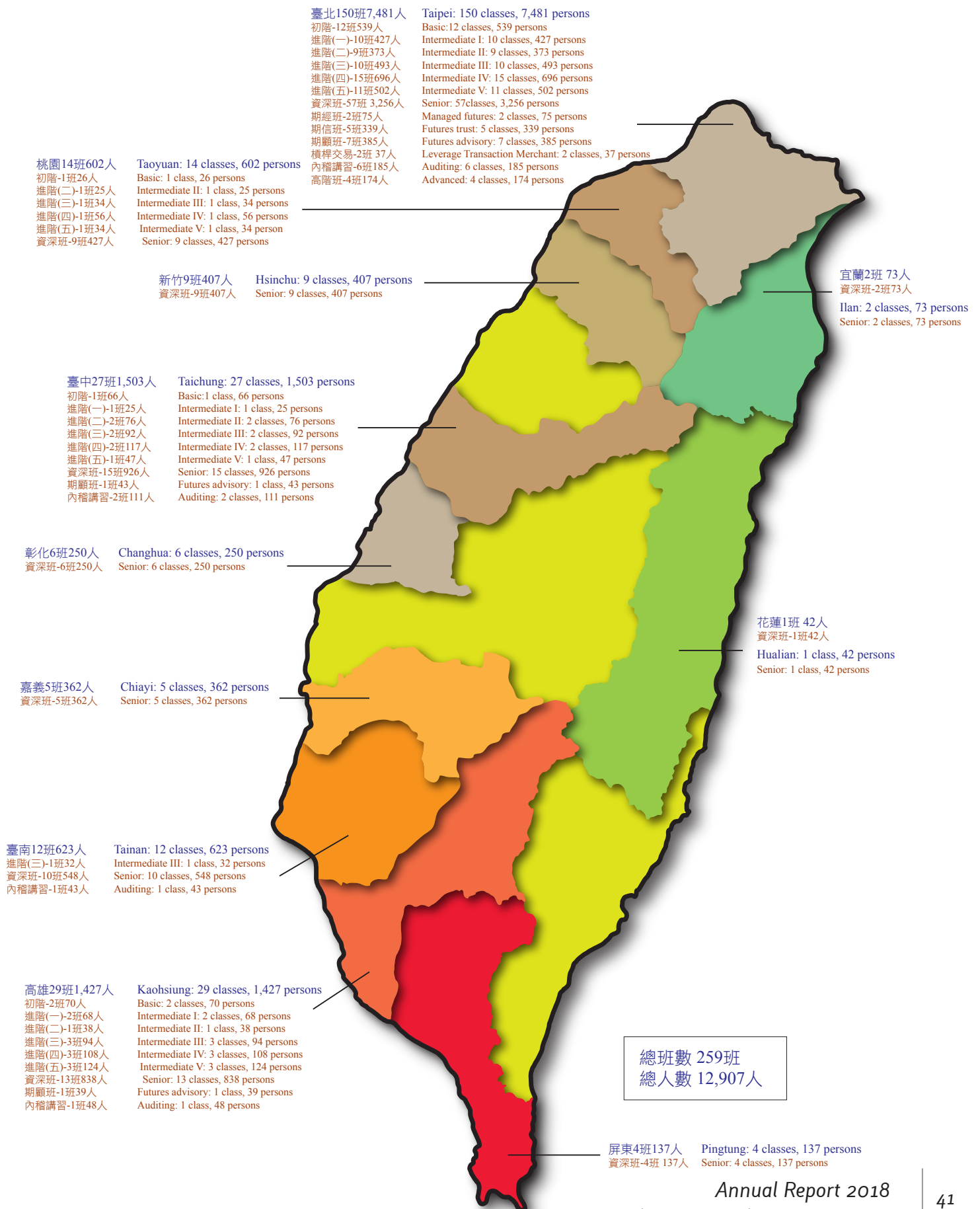


五、在職訓練

E. On-job training

107年度舉辦之地區別、班別及人數詳如下圖：

CNFA-arranged Training Courses in 2018





六、關於會員、會員代表、會員負責人及業務員基本資料之建立、登記事項

F. Registration and records of member companies as well as their representatives, persons-in-charge, and business representatives

1. 會員及業務員基本資料之建立及登記事項

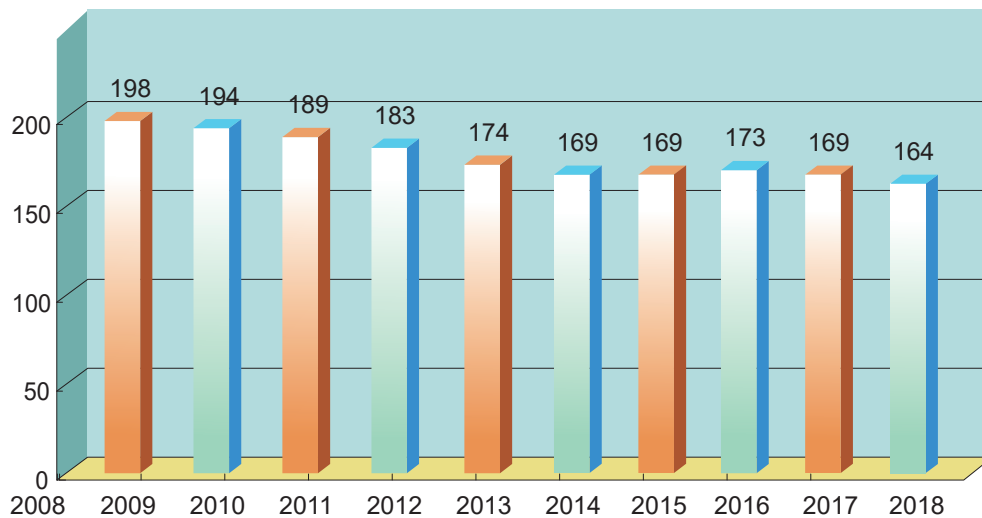
Registration of member companies and their business representatives

- 會員家數：共計164家，其中經營期貨經紀業務為31家(19%)；期貨業務輔助人48家(29%)；期貨自營業務33家(20%)；期貨顧問業務32家(20%)；期貨經理業務7家(4%)；期貨信託業務10家(6%)；槓桿交易商3家(2%)。

There were 164 member companies registered with the CNFA at the end of 2018: 31 (19%) futures brokerage companies, 48 (29%) futures introducing brokers, 33 (20%) proprietary futures commission merchants, 32 (20%) futures advisory enterprises, 7 (4%) managed futures enterprises, and 10 (6%) futures trust enterprises, 3(2%) leverage transaction merchant.

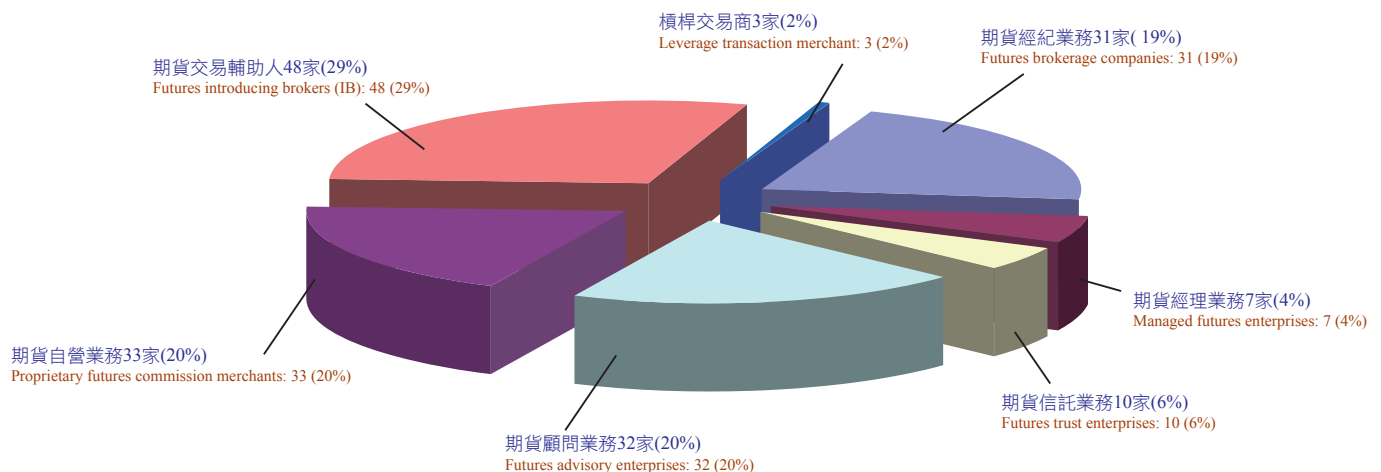
近10年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years



107年度會員類別統計圖

Statistics of CNFA Member Companies in 2018, by Business Category



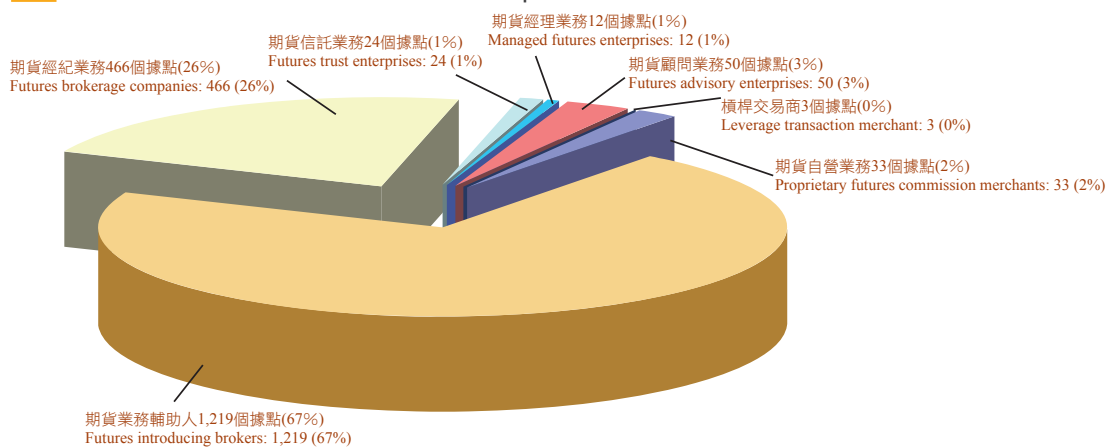
共計164家會員 資料統計截至107/12/31
A total of 169 member companies as of Dec. 31, 2018

- 會員總分公司分支機構數：共計1,807家，其中經營期貨經紀業務為466個營業據點(26%)；期貨業務輔助人1,219個營業據點(67%)；期貨自營業務33個營業據點(2%)；期貨顧問業務50個營業據點(3%)；期貨經理業務12個營業據點(1%)；期貨信託業務24個營業據點(1%)；槓桿交易商3個營業據點(0%)。

CNFA Member Companies were operated with a total of 1,807 headquarters offices and branch offices as of the end of 2018: 466 used by futures brokers (26%), 1,219 used by introducing brokers (67%), 33 used by proprietary futures commission merchants (2%), 50 used by futures advisory enterprises (3%), 12 used by managed futures enterprises (1%), and 24 used by futures trust enterprises (1%), 3 used by leverage transaction merchant (0%)。

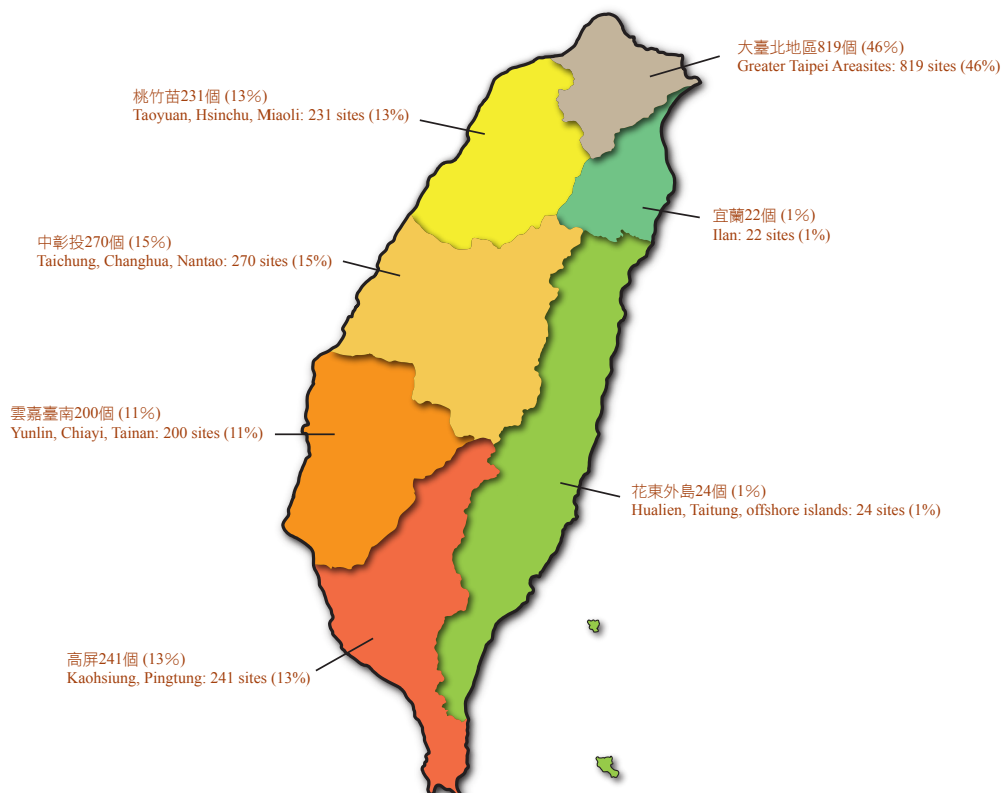
會員營業據點統計圖

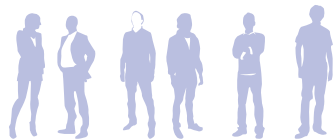
Business Sites of CNFA Member Companies in 2018



107年度會員營業據點區域分布統計圖

Geographical Location of Business Sites of CNFA Member Companies in 2018



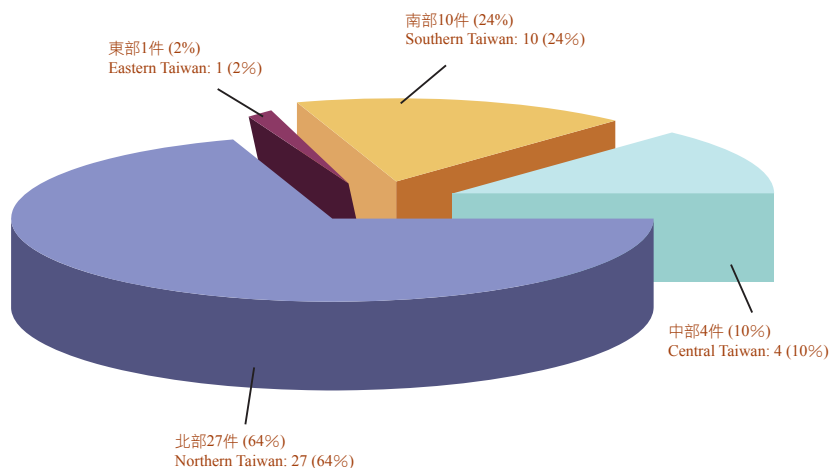


● 會員實地場地勘察 Business site inspection

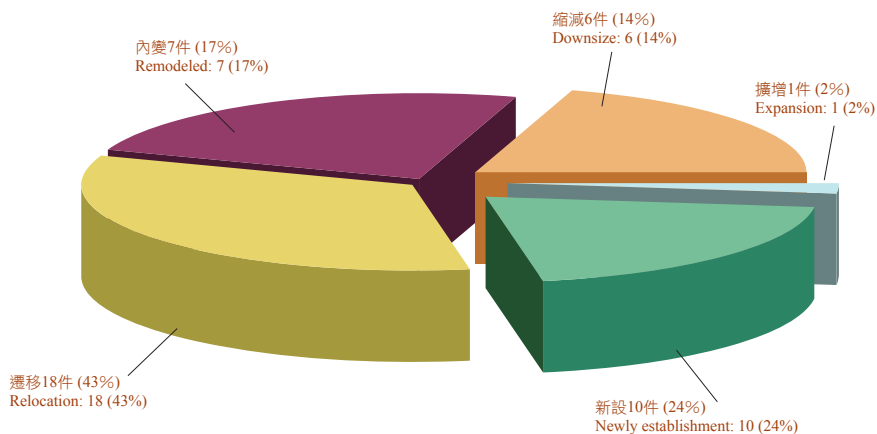
107年度共計42件實地場勘案(北部地區27件、中部地區4件、南部地區10件、東部地區1件)，就其場勘案件分析，新設營業處所10件(24%)、遷移營業處所18件(43%)、縮減營業處所6件(14%)、擴增營業處所1件(2%)、營業處所內部配置變動7件(17%)。

The Association conducted a total of 42 business site inspection projects in 2018 (27 in northern Taiwan, 4 in central Taiwan, 10 in southern Taiwan, 1 in Eastern Taiwan). Among these inspected sites, 10 (24%) were newly established, 18 (43%) were relocated, 6 (14%) were downsized, 1 (2%) were expanded, and 7 (17%) were remodeled.

107年度場地勘察區域分布統計圖
Geographical Areas of Inspected Business Sites in 2018



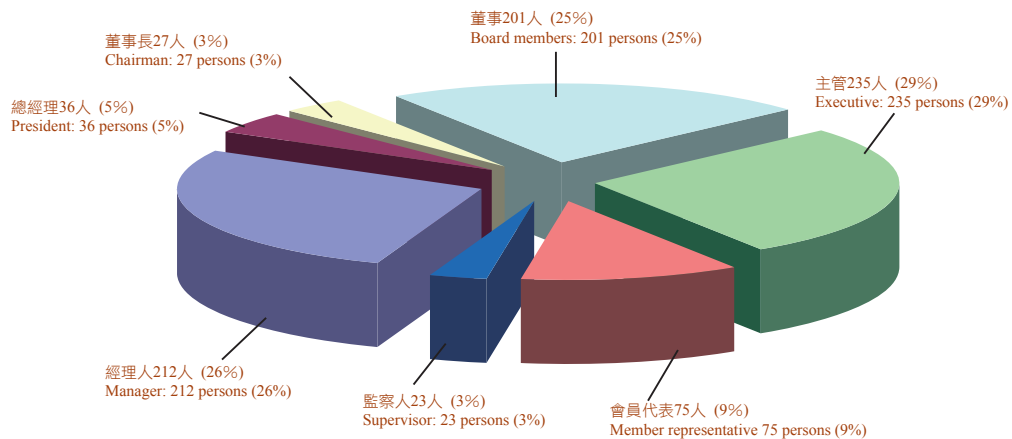
107年度場地勘察類別統計圖
Statistics of Business Site Inspection Projects in 2018



2. 會員委託證照之申請變更、換領及其他服務事項
Certificate renewal, change, and other related services

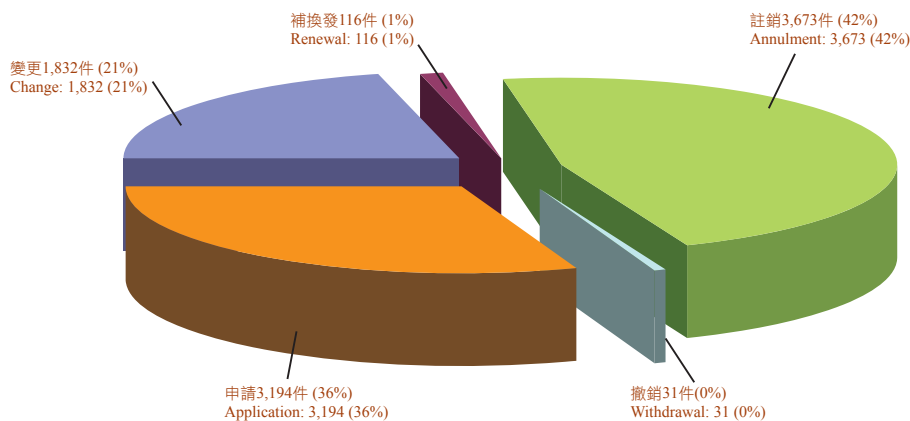
- 會員代表、會員負責人107年度於本公會異動登錄共計809人次，細分如下：
In 2018, the Association handled a total of 809 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies.

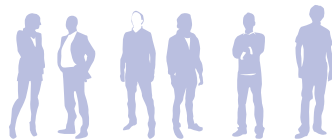
107年度身分類異動統計圖
Position Change Statistics for 2018



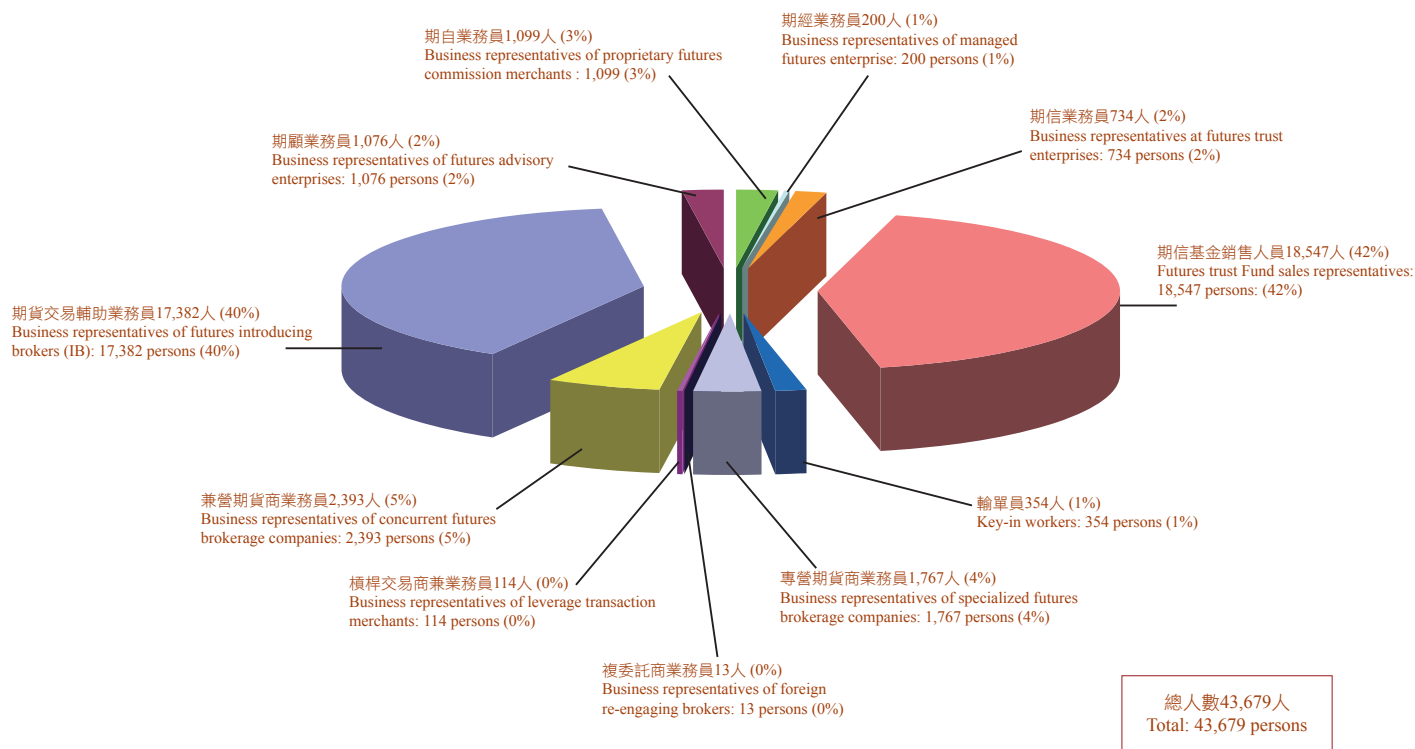
- 業務員、輸單員、銷售人員107年度於本公會異動登錄共計8,846件，每月平均737件
In 2018, the Association handled a total of 8,846 business representative, key-in worker, and salesperson enrollment cases, with an average of 737 cases per month.

107年度業務異動類別統計圖
Job Change Registrations in 2018





107年度從業人員登記統計圖
Business Category Change of Staff at CNFA Member Companies in 2018



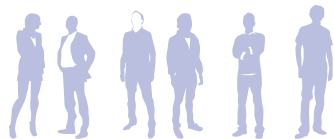
七、本公會出版品 G. Publications

1. 會訊 Newsletter

2. 期貨人季刊 Futures Journal

3. 研究叢書 Study report

<p style="text-align: center;">中華民國期貨業商業同業公會 委託研究計畫</p> <p style="text-align: center;">企業以避險及非避險為目的會計帳務之相關規範</p> <p style="text-align: center;">計畫執行單位：資誠聯合會計師事務所 計畫主持人：紀淑梅會計師 共同主持人：陳麗雲協理 林敏妃協理</p> <p style="text-align: center;">中華民國 107 年 1 月 30 日</p>	<p style="text-align: center;">中華民國期貨業商業同業公會 委託研究計畫</p> <p style="text-align: center;">槓桿交易者如何影響實體經濟的國際經驗研究</p> <p style="text-align: center;">計畫主持人：周治邦 共同主持人：邵之蕙 研究助理：潘敏斌、王澤堂</p> <p style="text-align: center;">中華民國 107 年 4 月 20 日</p>	<p style="text-align: center;">中華民國期貨業商業同業公會 委託研究計畫</p> <p style="text-align: center;">中小企業外匯與原料避險需求分析</p> <p style="text-align: center;">主持人：廖代庭 共同主持人：邵之蕙 研究員：蕭育仁</p> <p style="text-align: center;">中華民國 107 年 4 月 20 日</p>
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4. 政令宣導 Policy Advocacy

製作海報、擦拭布、保溫杯、掛勾、運動毛巾、原子筆及環保袋、日誌本等實用物品，以宣導「合法期貨」。

The CNFA made the poster, wiping cloth, thermal bottles, hooks, sports towels, ball-point pens, eco-friendlybags, diary books as promotional give-away with “Legal Futures” mark.

