

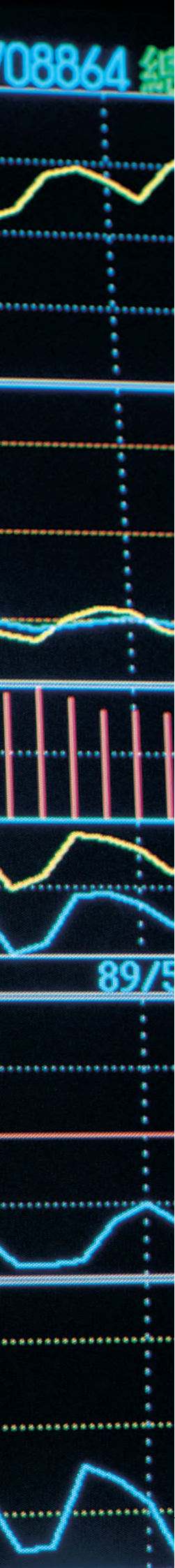
107年報

Annual Report 2018



中華民國期貨業商業同業公會
Chinese National Futures Association

108年四月編製



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壹

序言



精益求精 穩健發展

107年對於全球金融市場是詭譎多變的一年，自美國公布對中國貿易高達500億美元商品徵收額外關稅，為美中及全球貿易戰揭開序幕，不管是股匯債市或商品原物料均受波及；惟臺灣期貨市場憑藉著推出新商品與交易制度的調整，挹注了市場動能並使交易更趨活絡，在國際金融市場波動趨大及交易人逐漸熟悉運用夜盤避險等因素推升下，交易量超過3億808萬口，為臺灣期貨市場年度交易量首次突破3億口大關。

107年也是期貨業精益求精的一年，為強化期貨商的風險控管機制及解析代為沖銷與善良管理人義務之性質與內涵，本公會委外進行代為沖銷相關研究案；為瞭解國際市場的造市功能與制度，以及流動性風險對造市功能之影響，委外辦理造市制度功能之研究；為健全期貨交易及保護交易人，委外研究分析違法經營期貨業務罪名之行為態樣。

在主管機關大力支持及期貨同業積極爭取下，財政部業於107年底取消股價類期貨交易稅率減半落日條款，自108年1月1日起實施，為期貨市場提供良好發展環境；為讓證券期貨業證照管理具一致性，建議取消期貨業業務員5年未登記喪失資格之規定，主管機關也已於108年2月預告修正相關管理規則；為擴大期貨新藍海-槓桿交易商市場規模，並提供交易人多元化資產配置選擇，本公會積極爭取增加槓桿交易商的通路及提供服務對象，建議開放「期貨商及期貨交易輔助人受託買賣業務員得轉介各類槓桿保證金契約」，以及「建議槓桿交易商對屬自然人之一般客戶得提供除外幣保證金外之差價合約(CFD)商品交易服務」，以及「建議華僑及外國人得從事之期貨交易之範圍增加槓桿保證金契約交易」等。

鑒於全球氣候變遷加劇，國內823水患造成中南部鉅額農損，美東9月中旬遭受強烈颶風侵襲，重創棉花、玉米、黃豆產量，加上中美貿易戰，種種突發的天災或人為因素，導致農糧價格劇幅波動，本公會之「臺北國際期貨論壇」，分別以糧食供需分析、農產品避險工具及農產保險發展概況等主題，邀請專家深入探討以分享經驗，另一方面協辦LME交易暨倉儲訓練課程，以實踐期貨服務實體經濟之功能。期許未來，持續連結全球，強化國際競爭力，以服務實體經濟並吸引全球資金，將臺灣期貨市場帶入嶄新的境界。

中華民國期貨業商業同業公會

理事長 糜以雍

Continuously Striving for Improvement and Development

2018 was a year of turbulent change for the global financial market. Since the United States announced the imposition of up to US\$50 billion in additional tariffs on Chinese trade, which kicked off US-China and global trade wars. No matter it's the market of securities, foreign exchange, commodities, or raw materials, all were impacted by this. Only Taiwan's futures market, where new commodities and adjustments to the trading system were just introduced, injected market kinetics and made transactions more laissez-faire. While the international financial market became increasingly volatile and traders turned progressively more familiar with the use of night trading and other such factors, the annual futures transaction volume exceeded 308.08 million lots in 2018, passing the 300 million mark for the first time in the Taiwan futures market.

2018 was also a year of constantly striving for perfection in the futures industry. In order to reinforce risk control mechanisms for futures dealers and to analyze the nature and implication of obligations on dealers who make settlements on behalf of clients, the Chinese National Futures Association (CNFA) outsourced the execution of relevant research cases on this issue. To understand the market-making functions and system of international markets, as well as the impact of liquidity risks on market-making functionality, we outsourced studies carried out on market-making system functionality. In the interests of sound futures trading and for the protection of traders, we outsourced research and analysis of criminal behavior in illegal operations in the futures business.

With the vigorous support of the competent authorities and the enthusiastic efforts of the futures industry, the Ministry of Finance at the end of 2018 announced the reduction in stock price futures trading tax rate by half, which took effect on January 1, 2019, providing an excellent development environment for the futures market.

To allow consistency in licenses management of futures and securities industries, the CNFA once suggested cancellation of this regulation that a futures sales person would become disqualified if he or she has not registered with the CNFA for five years. The competent authority announced in February, 2019 that it agreed with the CNFA and would announce relevant management rules later. In order to expand the blue-sea market of the futures industry—especially regarding the niche of margins trading and to provide traders with diversified asset allocation options, the CNFA actively strives to increase channels for margins traders and provides diverse targets for service. We put forward proposals that “futures dealers and futures IB workers, who are commissioned by clients to make futures trading, would be allowed to refer margin-trading or related government-approved products to their clients, “margin dealers would be allowed to provide trading services apart from CFD commodity contracts to individual clients” and “leverage margin trading should be added to the range of futures-related trading activities opened to overseas Chinese and foreigners.”

Considering the drastic fluctuations in the price of agricultural products due to the intensification of global climate change, as well as the huge agricultural losses caused by the 823 flooding disaster in central and southern Taiwan, the powerful hurricanes that made landfall on the US east coast in mid-September, hitting the production of cotton, corn and soybeans, and the Shina-US trade war, and various kinds of sudden natural or man-made disasters, the CNFA held the “Taipei International Futures Forum,” inviting experts to discuss in depth, and share experiences on the themes of analysis of food supply and demand, agricultural product hedging tools and development of agricultural insurance. We also co-organized LME trade and warehousing training courses to enable practice of the functions of futures services in the physical economy. We hope that in the future we will be able to continue to link the world and improve international competitiveness to serve the physical economy and attract global capital, taking Taiwan futures market to a new level.

Falco Mi
Chairman, CNFA

貳

公會簡介

一、公會沿革

- 本公會前身為創立於民國84年4月17日之「台北市期貨商業同業公會」，為配合期貨產業之開放，因應業種、會員業務類別之增加，以及分布區域之擴大，遂於93年6月21日升格改制為全國性單一公會，並於6月30日獲頒立案證書。
- 本公會目前之組織型態為全國性之自律機構，除辦理會員證照登錄、場地設備勘查、從業人員教育訓練等服務功能外；更擔負了主管機關所賦予之自律職責。為促使國內期貨市場健全發展，本公會將確實完成從業人員資格審查、場地檢查、會員查核、教育訓練等四大自律職能與機制；並積極協調業界團結合作，促進業界與主管機關之溝通與互動，在熱忱、積極、完美的品質政策下，期能為期貨業之發展奠定更穩健之基石。

二、設立宗旨

- 本公會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

三、本公會任務

- 配合國家經濟建設，促進期貨市場發揮功能事項。
- 會員業務之調查、統計及研究、發展事項。
- 政府經濟政策與期貨交易法令之協助推行與研究、建議事項。
- 督促會員自律、共謀業務上之改進及聯繫、協調事項。
- 會員糾紛之調處事項。
- 同業員工職能訓練及業務講習之舉辦事項。
- 會員業務之廣告、展覽及證明事項。
- 會員、會員代表及會員員工基本資料之建立及動態之調查、登記事項。
- 會員委託證照之申請變更、換領及其他服務事項。
- 會員或社會公益之舉辦事項。
- 會員合法權益之維護事項。
- 會員違法或違規之議處事項。
- 接受機關、團體之委託服務事項。
- 社會運動之參加事項。
- 維護期貨交易之秩序、公正及保護期貨交易人或委任人事項。
- 防止期貨交易之操縱、對作、虛偽、詐欺、隱匿或其他足生期貨交易人、委任人或第三人誤信等不法之行為事項。
- 依其他法令規定或會員建議應辦理之事項。

CNFA Introduction

A. CNFA History

- The Chinese National Futures Association (hereinafter referred to the Association or CNFA) was transformed from its predecessor, the Taipei Futures Association first founded on April 17, 1995, as a national organization on June 21, 2004 and obtained the certificate issued by the Ministry of the Interior on June 30 of the same year, a move in reflection of the market liberalization, business diversification, as well as expansion in the Association's membership and covered geographical area.
- As a national self-disciplined organization, the Association handled members' license registrations, site equipment inspections, personnel training and other functions. Moreover, it assumes the responsibility as a self-regulatory body. For healthy development of Taiwan's futures market, the Association develops a highly efficient administrative mechanism to fulfill its four major duties, namely reviews of industry personnel qualifications, site equipment inspections, member check-ups, as well as education and training for futures workers. It will actively coordinate the industry's unity and cooperation, promoting communication and interaction between the industry and the competent authorities, and under circumstances of sincere and positive, immaculate policies, lay a more solid foundation for the futures industry.

B. Goals

- The Association was established to protect the investing public, develop the national economy, coordinate intra-industry relations, and promote common benefits of the society.

C. Objectives

- To promote the full functioning of the futures market, working in step with the national economic development
- To make survey, compile statistics, and conduct R&D projects about the operations of member companies
- To make research and suggestions about government's policies and propose revisions to futures-related regulations
- To supervise self-discipline practices of member companies as well as coordinate among members for business promotion and improvement
- To arbitrate disputes among members
- To arrange career training courses and lectures for employees of member companies
- To supervise advertisements, exhibitions, and other promotional activities of member companies
- To handle registrations, conduct surveys, as well as keep records of members as well as representatives and employees of member companies
- To revise or renew licenses of member companies and handle related issues
- To organize or participate social welfare activities
- To protect legitimate rights and interest of member companies
- To take disciplinary actions against wrongful or illegal behaviors of member companies
- To offer the services on request of government agencies or non-profit organizations
- To take part in social activities
- To uphold fair and efficient market order and protect the rights of clients of member companies and other futures traders
- To prevent manipulation, hedging, cheating, fraud, concealment, or other wrongful activities which would mislead futures traders, clients, or other persons associated with futures trading
- To offer other related services on member company's requests in accordance with the government's policies and regulations



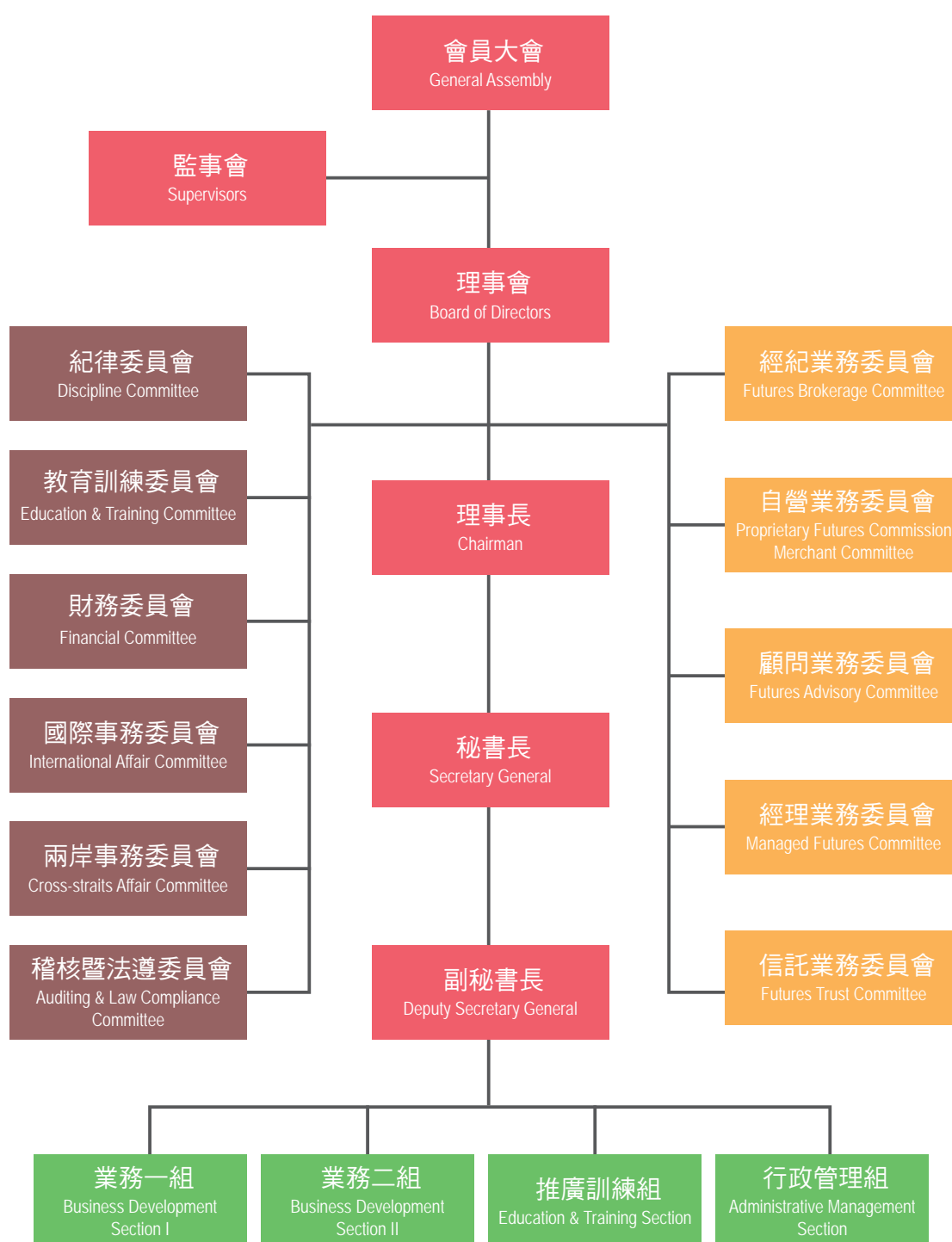
中華民國期貨業商業同業公會
第五屆第三次會員大會





一、組織系統圖

A. Organizational Chart





二、組織與執掌

(一)、會員大會：會員公司可依照經營業務之類別，分別指派會員代表，但每一會員公司最多可指派7位代表，會員代表共計296位。

■成員：由會員代表組成。至107年12月31日止，本公會會員公司計有164家：

1. 專營期貨商14家
2. 兼營期貨商15家
3. 期貨交易輔助人48家
4. 國外複委託商2家
5. 期貨自營業務33家
6. 槓桿交易商3家
7. 期貨顧問業務32家
8. 期貨經理業務7家
9. 期貨信託業務10家

■執掌：為本公會最高決策機關。

■職權：

1. 選舉、罷免理事監事。
2. 章程之訂定與修改。
3. 核定年度工作計畫綱要、經費預算、決算及事業計畫。
4. 審議理事會、監事會及會員（會員代表）提議事項。
5. 會員及會員代表之除名處分。
6. 財產之處分。
7. 清算之決議、清算人之選派及關於清算事項之決議。
8. 議決理事、監事之解職。
9. 議決入會費、常年會費、事業費及會員捐款之金額。
10. 議決其他有關會員權利義務事項。

(二)、理事會

■成員：33位理事，由會員代表互選之。另設置常務理事11人，由理事互選之。

■執掌：理事會為常設機構，亦是本公會決策最高執行單位。並由理事就常務理事中選舉一人為理事長，對外代表本公會。

B. Structure and Responsibilities

1. General Assembly: member companies, based on their business categories, assign up to 7 representatives each to take part in the General Assembly. In 2018, a total of 296 member representatives were registered with the Association.

■ Member companies: the Association was composed of 164 member companies at the end of 2018:

1. Specialized futures brokerage companies: 14
2. Concurrent futures brokerage companies: 15
3. Futures introducing brokers (IB): 48
4. Foreign re-engaging brokers: 2
5. Proprietary futures commission merchants: 33
6. Leverage Transaction Merchant: 3
7. Futures advisory enterprises: 32
8. Managed futures enterprises: 7
9. Futures trust enterprises: 10

■ Authority: the General Assembly is the supreme policy-making body of the Association.

■ Responsibilities:

1. To elect or recall board members or supervisors
2. To make and revise CNFA Charter
3. To approve annual working plans, budget, auditing reports, and R&D projects
4. To review proposals approved at the meetings of board members, supervisors, or General Assembly
5. To take disciplinary actions against misbehaved member companies or member representatives
6. To trade properties of the Association
7. To approve settlement report and appointment of settlement persons as well as handle other settlement-related issues
8. To approve dismissing of any board member or supervisor
9. To approve member registration fee, annual membership fee, business promotion fee, and donations of member companies
10. To approve other issues associated with member's rights or obligations

2. Board of Directors

■ Board members: the 33 board members were elected by member representatives during the General Assembly, and 11 executive board members (or executive directors) were elected from board members.

■ Authority: the Board of Directors is the Association's highest permanent executive body where members elect a chairman to act on behalf of the Association.



■職權：

1. 召開會員大會並執行其決議。
2. 選舉、罷免常務理事及理事長。
3. 議決常務理事、理事及理事長自行辭任。
4. 通過會員入會、退會及註銷會員、會員代表會籍。
5. 編擬年度工作計畫綱要、經費預、決算及事業計畫。
6. 會務工作人員、顧問、研究員等之遴聘、解聘。
7. 議決本公會相關規章之制訂及修訂案。
8. 辦理監事會移送執行案件。
9. 遇有緊急重大事項不及召開會員代表大會時，得由理事會先為必要之措施，於會員代表大會時報請追認。
10. 議決處分違反本公會章程第二十條規定之會員。
11. 執行法令及章程所規定事項。
12. 其他依職責應辦之事項。

(三)、監事會

■成員：11位監事，由會員代表互選之。另設置常務監事3人由監事互選之；並由常務監事互推其中一人為監事會召集人。

■執掌：為本公會最高監察單位。

■職權：

1. 選舉及罷免常務監事。
2. 監察理事會執行會員大會之決議案。
3. 監察理事會會務執行情形。
4. 審核理事會各種會計報告書類。
5. 稽核理事會之經費收支狀況。
6. 向會員大會提出年度監察報告。
7. 議決常務監事及監事之自行辭任。
8. 其他依職責應辦之事項。

■ **Responsibilities:**

1. To convene the General Assembly and execute its decisions
2. To elect or recall chairman or executive directors
3. To approve resignation of chairman or board members
4. To approve registration, withdrawal, or nullification of membership or member representative
5. To make annual working plans, budget, auditing report, and R&D projects
6. To approve appointment or dismissing the Association's administrative staff workers, advisors, or research staff workers
7. To approve the Association's new regulations or revisions to the CNFA Charter or regulations
8. To deal with the projects approved at meetings of supervisors
9. To hold a meeting to discuss the proposals originally tendered for discussion at the General Assembly which fails to be held for certain reasons. Decisions made during the meeting will be reported to next General Assembly for its approval.
10. To take disciplinary actions against the members who fail to pay membership fee
11. To handle issues in accordance with laws, CNFA Charter, or related regulations
12. To handle other related issues

3. Supervisors

■ Supervisors: the 11 supervisors were elected by member representatives during the General Assembly, and they accordingly elected 3 executive supervisors among whom one was selected as convener.

■ Authority: it's the highest supervising body of the Association.

■ **Responsibilities:**

1. To elect or recall executive supervisors
2. To supervise the Board of Directors' execution of the projects approved by the General Assembly
3. To supervise the Board of Directors' execution of the Association's working plans
4. To review the accounting reports which have been approved by the Board of Directors
5. To review the financial reports which have been approved by the Board of Directors
6. To make annual supervisory report to the General Assembly
7. To approve resignation tendered by any executive supervisor or supervisor
8. To handle other related issues



(四)、委員會：設有經紀業務、自營業務、顧問業務、經理業務、信託業務、紀律、教育訓練、財務、國際事務、兩岸事務、稽核暨法遵等11個委員會。

■成員：由理事長指定各委員會之召集人，召集人視實際需求遴聘產、官、學界之專業人士籌組而成。

■執掌：各委員會就其設置之性質及功能，配合期貨市場之需求及發展，推動各項工作。

茲就各委員會之職掌分述如下：

- 經紀業務委員會
 - (1) 有關期貨經紀業務之發展、聯繫、協調、改進事項。
 - (2) 有關期貨交易人服務事項。
 - (3) 有關編擬年度工作計畫事項。
 - (4) 其他有關期貨經紀業務之處理事項。
- 自營業務委員會
 - (1) 有關期貨自營業務之發展、聯繫、協調、改進事項。
 - (2) 有關編擬年度工作計畫事項。
 - (3) 其他有關期貨自營業務之處理事項。
- 顧問業務委員會
 - (1) 有關期貨顧問業務之發展、聯繫、協調、改進事項。
 - (2) 有關委任人服務事項。
 - (3) 有關編擬年度工作計畫事項。
 - (4) 其他有關期貨顧問業務之處理事項。
- 經理業務委員會
 - (1) 有關期貨經理業務之發展、聯繫、協調、改進事項。
 - (2) 有關委任人服務事項。
 - (3) 有關編擬年度工作計畫事項。
 - (4) 其他有關期貨經理業務之處理事項。
- 信託業務委員會
 - (1) 有關期貨信託業務之發展、聯繫、協調、改進事項。
 - (2) 有關受益人服務事項。

4. Committees: the Association set up 11 committees, namely Futures Brokerage Committee, Proprietary Future Commission Merchant Committee, Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, Discipline Committee, Education & Training Committee, Financial Committee, International Affair Committee, Cross-straits Affair Committee, and Auditing & Law Compliance Committee.

- Committee members: each committee is led by a convener, appointed by CNFA Chairman and the convener then invites industrial experts, officials, scholars as committee members.
- Authority: each committee works to fulfill its working plans and duties to boost the development of the futures market.

Committees and their responsibilities:

- Futures Brokerage Committee
 - (1) To improve and promote futures brokerage business as well as handle interaction and coordination among futures brokers
 - (2) To offer services to futures traders
 - (3) To make annual work plan for the committee
 - (4) To handle other related issues
- Proprietary Futures Commission Merchant Committee
 - (1) To improve and promote the business of proprietary futures commission merchants as well as handle interaction and coordination among them
 - (2) To make annual work plan for the committee
 - (3) To handle other related issues
- Futures Advisory Committee
 - (1) To improve and promote futures advisory business as well as handle interaction and coordination among the member companies engaged on this business
 - (2) To offer services to clients of futures advisory enterprises
 - (3) To make annual work plan for the committee
 - (4) To handle other related issues
- Managed Futures Committee
 - (1) To improve and promote managed futures business as well as handle interaction and coordination among the member companies engaged on this business
 - (2) To offer services to clients of managed futures enterprises
 - (3) To make annual work plan for the committee
 - (4) To handle other related issues
- Futures Trust Committee
 - (1) To improve and promote futures trust business as well as handle interaction and coordination among futures trust enterprises
 - (2) To offer services to beneficiaries of futures trust fund



- (3) 有關編擬年度工作計畫事項。
- (4) 其他有關期貨信託業務之處理事項。

- 紀律委員會

- (1) 有關自律公約之擬訂、執行與督促會員自律事項。
- (2) 有關會員職業道德之規範事項。
- (3) 其他有關會員自律之處理事項。

- 教育訓練委員會

- (1) 辦理期貨從業人員職前訓練及在職訓練事項。
- (2) 有關參觀、演講、講習、康樂、體育等活動之舉辦事項。
- (3) 有關出版刊物之編輯事項。
- (4) 有關期貨投資宣傳事項。
- (5) 其他有關教育訓練、考試及核發證書之處理事項。

- 財務委員會

- (1) 有關會費、事業費、經費籌措、管理與運用之研議事項。
- (2) 有關財務之稽核事項。
- (3) 有關預算、決算之編擬事項。
- (4) 其他有關財務事宜之處理事項。

- 國際事務委員會

- (1) 有關期貨國際業務之發展、聯繫、協調、改進事項。
- (2) 有關編擬年度工作計畫事項。
- (3) 其他有關期貨國際業務之處理事項。

- 兩岸事務委員會

- (1) 有關期貨兩岸業務之發展、聯繫、協調、改進事項。
- (2) 有關編擬年度工作計畫事項。
- (3) 其他有關期貨兩岸業務之處理事項。

- 稽核暨法遵委員會

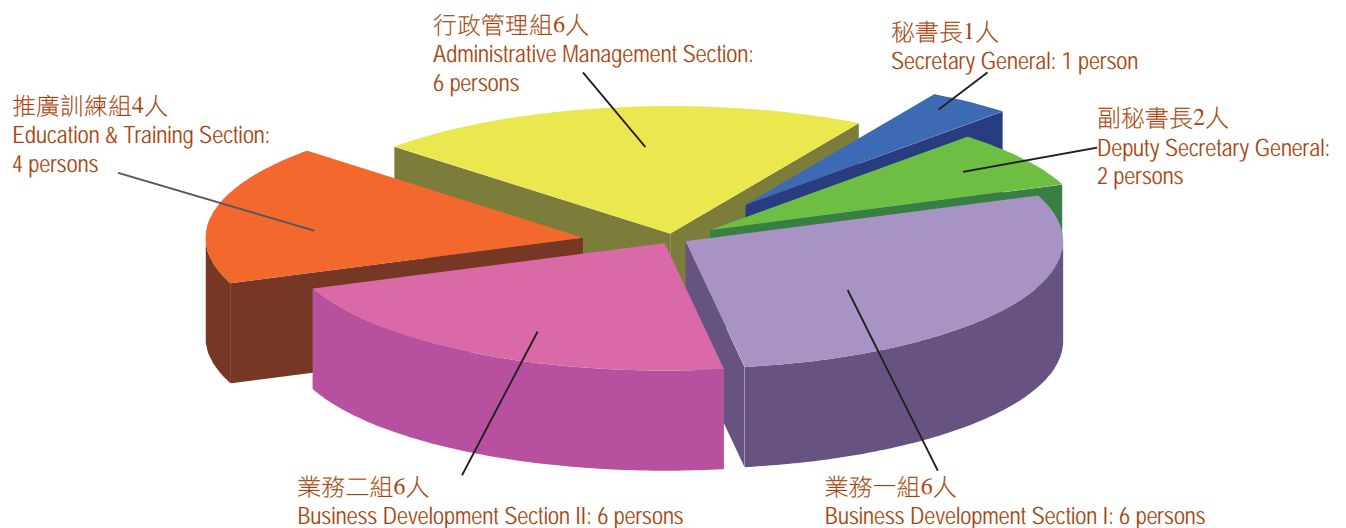
- (1) 有關期貨業內部控制制度之研討與建議事項。
- (2) 有關期貨業內部稽核業務之研討與建議事項。
- (3) 有關期貨業法令遵循事項。

- (3) To make annual work plan for the committee
 - (4) To handle other related issues
- Discipline Committee
 - (1) To draft self-discipline rules as well as execute the rules and supervise self-discipline practices of member companies
 - (2) To help member companies comply with working ethics
 - (3) To handle other related issues
- Education & Training Committee
 - (1) To arrange pre-job and on-job training for futures workers
 - (2) To arrange visit, speech, lecture, leisure activity, sports, among others
 - (3) To handle publishing and editing matters
 - (4) To make advertise and promotional matters
 - (5) To handle training, examination, license issuance, and other education-related issues
- Financial Committee
 - (1) To handle issues regarding membership fees, business service fees, fund-raising, and other related financial issues
 - (2) To handle auditing and related issues
 - (3) To make budget plan and deal with settlement issues
 - (4) To handle other related issues
- International Affair Committee
 - (1) To promote and coordinate issues about international affairs of the futures industry
 - (2) To make annual work plan for the committee
 - (3) To arrange other related issues
- Cross-straits Affair Committee
 - (1) To promote and coordinate cross-straits issues about the futures industry
 - (2) To make annual work plan for the committee
 - (3) To arrange other related issues
- Auditing & Law Compliance Committee
 - (1) To make research on internal control system of futures companies and propose suggestions for improvement
 - (2) To make research on internal auditing system of futures companies and propose suggestions for improvement
 - (3) To take charge of law-compliance issues of member companies



- (4) 協商並解決共通性之稽核業務或法令遵循事項。
- (5) 有關編擬年度工作計畫綱要事項。
- (6) 其他有關稽核業務或法令遵循事宜之處理事項。
- (五) 會務人員：分為業務一、業務二、推廣訓練、行政管理等四組，由秘書長、副秘書長統籌領導。茲就各組職掌分述如下：

107年會務人員統計表
CNFA Administrative Staff in 2018



- 業務一組
辦理期貨商、期貨（證券）交易輔助人、槓桿交易商及海峽兩岸期貨業務相關之下列工作：
 - (1) 經紀業務、自營業務、兩岸事務及紀律委員會開會事宜。
 - (2) 與主管機關、周邊單位及會員公司之聯繫事宜。
 - (3) 蒐集業界資料，掌握市場動態。
 - (4) 檢討期貨法令並提出改進建議。
 - (5) 提供會員公司期貨業務法規諮詢服務。
 - (6) 自律規定之研議。
 - (7) 新種業務之可行性研究與分析。
 - (8) 期貨相關專題之研究。
 - (9) 聯繫、跟催委外專案研究之進度。

- (4) To coordinate for consistency in internal control and auditing system of futures companies and help them resolve related problems
 - (5) To make annual work plan for the committee
 - (6) To handle other related issues
5. Administrative staff: the Association's administration is divided into four sections of Business Development Section I, Business Development Section II, Education & Training Section, and Administrative Management Section, all under the supervision of secretary general and deputy secretary general. Duties of each section are listed below:
 - Business Development Section I:

To handle the business of futures companies, futures (securities) introducing brokers, leveraged trading, and cross-straits issues:

 - (1) To arrange meetings of the Futures Brokerage Committee, Proprietary Futures Commission Merchant Committee, Cross-straits Affair Committee, and Discipline Committee
 - (2) To handle interactions among regulatory agency, peripheral institutions, and member companies
 - (3) To gather information about market trend and industrial development
 - (4) To review futures-related laws and, when necessary, propose suggestion for improvement
 - (5) To provide legal consulting services to member companies
 - (6) To propose or make revisions to self-discipline rules
 - (7) To make research on the feasibility of developing new futures-related business in Taiwan and analyze its market potential
 - (8) To make research on futures-related topics
 - (9) To arrange out-sourcing research projects
 - (10) To gather and analyze the information about cross-straits issues
 - (11) To arrange interactions among futures associations at the two sides of the Taiwan Straits



- (10) 蒐集及分析兩岸期貨業務之相關資訊。
- (11) 兩岸期貨組織之聯繫及交流事宜。
- (12) 會員公司宣傳資料與廣告物之審查。
- (13) 會員公司業務及財務之查察與輔導。
- (14) 會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
- (15) 執行自律規定及主管機關交辦事項之稽查作業。
- (16) 各會員公司營業據點場地、設備查驗。

● 業務二組

辦理期貨服務事業（不含期貨交易輔助人）及國際期貨業務相關之下列工作：

- (1) 顧問業務、經理業務、信託業務及國際事務委員會開會事宜。
- (2) 與主管機關、周邊單位及會員公司之聯繫事宜。
- (3) 蒐集業界資料，掌握市場動態。
- (4) 檢討期貨法令並提出改進建議。
- (5) 提供會員公司期貨業務法規諮詢服務。
- (6) 自律規定之研議。
- (7) 新種業務之可行性研究與分析。
- (8) 期貨相關專題之研究。
- (9) 聯繫、跟催委外專案研究之進度。
- (10) 蒐集及分析國際期貨業務之相關資訊。
- (11) 國際期貨組織之聯繫及交流事宜。
- (12) 會員公司宣傳資料與廣告物之審查。
- (13) 會員公司業務及財務之查察與輔導。
- (14) 會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
- (15) 執行自律規定及主管機關交辦事項之稽查作業。
- (16) 各會員公司營業據點場地、設備查驗。





- (12) To review the advertisement and promotional materials of member companies
- (13) To inspect the financial condition of member companies and, when necessary, provide assistance to help them make improvement
- (14) To review and forward the documents of member companies to the regulatory agency and keep records of them
- (15) To execute the self-discipline rules for member companies and, in accordance with the regulatory agency's instruction, inspect the auditing practice of member companies
- (16) To make inspection on the business locations and facilities of member companies

● Business Development Section II

To handle issues regarding futures-related business (excluding those of futures introducing brokers), and international affairs:

- (1) To arrange meetings of Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, and International Affair Committee
- (2) To handle interactions among regulatory agency, peripheral institutions, and member companies
- (3) To gather information about market trend and industrial development
- (4) To review futures-related laws and, when necessary, propose suggestion for improvement
- (5) To provide legal consulting services to member companies
- (6) To propose or make revisions to self-discipline rules
- (7) To make research on the feasibility of developing new futures-related business in Taiwan and analyze its market potential
- (8) To make research on futures-related topics
- (9) To arrange out-sourcing research projects
- (10) To gather and analyze the information about international futures issues
- (11) To arrange the interaction between the Association and international futures associations
- (12) To review the advertisement and promotional materials of member companies
- (13) To inspect the financial condition of member companies and, when necessary, provide assistance to help them make improvement
- (14) To review and forward the documents of member companies to the regulatory agency and keep records of them
- (15) To execute the self-discipline rules for member companies and, in accordance with the regulatory agency's instruction, inspect the auditing practice of member companies
- (16) To make inspection on the business locations and facilities of member companies



● 推廣訓練組

- (1) 從業人員在職與相關訓練。
- (2) 期貨業務講座、說明會等教育宣傳活動。
- (3) 專題研究、公聽會及研討會之發表。
- (4) 配合時事，研擬專案性之文宣活動。
- (5) 刊物之編輯與發行事宜。
- (6) 會員之會籍、負責人與業務員登錄及管理。
- (7) 業務員工作證換發作業。
- (8) 教育訓練委員會開會事宜。

● 行政管理組

- (1) 採購驗收、財產保管。
- (2) 資訊系統規劃建置及維護。
- (3) 預算、決算、財務分析、經費收支、會計、出納、帳務、資金調度。
- (4) 檔案管理、收發文。
- (5) 各種活動支援。
- (6) 人事、總務、行政、文書等作業。
- (7) 會員公司及從業人員之聯誼或康樂活動。
- (8) 會員大會、理監事會開會事宜。
- (9) 財務、稽核暨法遵委員會開會事宜。
- (10) 期貨交易糾紛調處事項。





● Education & Training Section

- (1) To arrange pre-job and on-job training courses for futures workers
- (2) To arrange futures lecturers, seminars, and other promotional activities
- (3) To publish the reports of research projects, public hearing, or seminars
- (4) To arrange activities for advocating special news or research topic
- (5) To compile and publish publications
- (6) To handle the registration of new member companies, member representatives, and business representatives of member companies
- (7) To arrange renewal of job certificates of Association's staff workers
- (8) To arrange meetings of the Education & Training Committee

● Administrative Management Section

- (1) To handle procurement issues and safeguard Association's properties
- (2) To arrange IT equipment procurement, maintenance, and management
- (3) To make budget, settlement, financial analysis, income & payment, accounting, financial document review, as well as handle fund-raising, cashier's work, and other related issues
- (4) To handle mails and keep documents
- (5) To provide financial support to Association-held activities
- (6) To handle the issues about personnel, general issues, administrative management, and keep records of documents
- (7) To arrange social activities for employees of member companies and the Association's working staff
- (8) To arrange the General Assembly as well as meetings of the board of directors and supervisors
- (9) To arrange meetings of the Financial Committee and Auditing & Law-compliance Committee
- (10) To mediate disputes about futures trading



理監事名錄 Board Members and Supervisors

理事名錄

序號 (No.)	公會職稱 (Title)	姓 名 (Name)	會員名稱 (Company)	職 稱 (Position)
1	理事長 Chairman	糜以雍 Falco Mi	凱基期貨股份有限公司 KGI Futures Co., Ltd	董事長 Chairman
2	副理事長 Vice Chairman	林添富 Tien-Fu Lin	元大期貨股份有限公司 Yuanta Futures Co., Ltd	董事長 Chairman
3	副理事長 Vice Chairman	莊輝耀 Huei-Yao Chuang	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	董事長 Chairman
4	常務理事 Eecutive Director	王中愷 Steve Wang	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.	董事 Board Member
5	常務理事 Eecutive Director	孫天山 Tim Sun	群益期貨股份有限公司 Capital Futures Corp.	董事長 Chairman
6	常務理事 Eecutive Director	張雅斐 Phoebe Chang	富邦期貨股份有限公司 Fubon Futures Co., Ltd	總經理 President
7	常務理事 Eecutive Director	陳 立 Li Chen	元富期貨股份有限公司 MasterLink Futures Corp	董事長 Chairman
8	常務理事 Eecutive Director	黃奕銘 Yiming Huang	統一期貨股份有限公司 President Futures Corp.	總經理 President
9	常務理事 Eecutive Director	黃進明 Chin-ming Huang	日盛證券股份有限公司 JihSun Securities Co., Ltd.	總經理 President
10	常務理事 Eecutive Director	葉黃杞 Huang-chi Yeh	永豐期貨股份有限公司 SinoPac Futures Co.Ltd.	董事長 Chairman
11	常務理事 Eecutive Director	詹正恩 Cheng-en Chan	光和證券股份有限公司 Kuanzho Securities Corp.	董事長 Chairman
12	理事 Director	朱茂隆 Mao-Lung Chu	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	董事 Board Member
13	理事 Director	吳金榮 Chin-Jung Wu	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	顧問 Advisor
14	理事 Director	宋政憲 Anson Sung	國泰期貨股份有限公司 Cathay Futures Corp	副總經理 Vice President
15	理事 Director	李文柱 Wen-chu Li	群益期貨股份有限公司 Capital Futures Corp.	總經理 President
16	理事 Director	周筱玲 Hsiao-ling Chou	元大期貨股份有限公司 Yuanta Futures Co., Ltd	總經理 President
17	理事 Director	林明杉 Vincent Lin	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	總經理 President
18	理事 Director	林獻群 Leo Lin	台新綜合證券股份有限公司 Taishin Securities Co., Ltd	總經理 President
19	理事 Director	洪三雄 Steven Hung	國票期貨股份有限公司 Waterland Futures Co., Ltd	董事長 Chairman
20	理事 Director	高山燕 Shan-Yin KO	香港商法國興業證券股份有限公司台北分公司 SG Securities (HK) Ltd., Taipei Branch	總經理 President
21	理事 Director	許人祥 Mark Hsu	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	副總經理 Vice President
22	理事 Director	許瑞立 Jurry Hsu	安泰證券股份有限公司 Antay Securities Co., Ltd.	總經理 President
23	理事 Director	莊智宏 Chih-hung Chuang	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	董事長 Chairman
24	理事 Director	郭育宏 Yu-hung Kuo	元大期貨股份有限公司 Yuanta Futures Co., Ltd	顧問 Advisor

序號 (No.)	公會職稱 (Title)	姓 名 (Name)	會員名稱 (Company)	職 稱 (Position)
25	理事 Director	陳明智 Min-jyh Chen	啟發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant	董事長 Chairman
26	理事 Director	陳柏榮 Bo-jung Chen	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.	副總經理 Vice President
27	理事 Director	陳瑞珪 Jui-chueh Chen	凱基期貨股份有限公司 KGI Futures Co., Ltd	總經理 President
28	理事 Director	黃正雄 Thomas Huang	元富期貨股份有限公司 MasterLink Futures Corp	總經理 President
29	理事 Director	黃炳和 Arvin Huang	日盛期貨股份有限公司 Jihsun Futures Co., Ltd	總經理 President
30	理事 Director	楊俊宏 June-hong Yang	富邦期貨股份有限公司 Fubon Futures Co., Ltd	董事長 Chairman
31	理事 Director	楊新德 Hsin-te Yang	永豐金證券股份有限公司 SinoPac Securities Co., Ltd.	副總經理 Vice President
32	理事 Director	賈中道 Alex Chia	群益金鼎證券股份有限公司 Capital Securities Corp.	總經理 President
33	理事 Director	盧立正 Maurice Lu	永豐金證券股份有限公司 SinoPac Securities Co., Ltd.	法人事業處處長 head of institutional division

註：以上資料以107.12.31日為準，依公會職稱、姓氏筆劃排序。

監事名錄

序號 (No.)	公會職稱 (Title)	姓 名 (Name)	會員名稱 (Company)	職 稱 (Position)
1	監事會召集人 Supervisor Convener	李姿綺 Tzu-Chi Lee	國票期貨股份有限公司 Waterland Futures Co., Ltd	總經理 President
2	常務監事 Executive Supervisor	王錫娟 Winnei Wang	永豐期貨股份有限公司 SinoPac Futures Co.Ltd	副總經理 Vice President
3	常務監事 Executive Supervisor	侯青志 Chris Ho	凱基期貨股份有限公司 KGI Futures Co., Ltd	顧問 Advisor
4	監事 Supervisor	王登立 Tengli Wang	台新綜合證券股份有限公司 Taishin Securities Co., Ltd	執行副總 Executive Vice President
5	監事 Supervisor	李全才 Mario Lee	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	總經理 President
6	監事 Supervisor	吳皇旗 Huang-chi Wu	統一期貨股份有限公司 President Futures Corp.	副總經理 Vice President
7	監事 Supervisor	張禮賢 Li-hsien Chang	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	總經理 President
8	監事 Supervisor	曾幼敏 Yu-ming Tseng	美商愛德盟期貨經紀股份有限公司台灣分公司 ADM Investor Services, Inc. Taiwan Branch	經理 Manager
9	監事 Supervisor	黃俊仁 Jun-jen Huang	統一綜合證券股份有限公司 President Securities Corp.	副總經理 Vice President
10	監事 Supervisor	鄭質榮 Vincent Cheng	新加坡商大華期貨有限公司台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	總經理 President

註：以上資料以107.12.31日為準，依公會職稱、姓氏筆劃排序。

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。

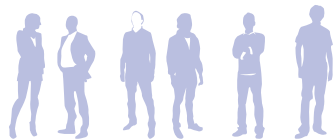
Referring to the discretionary account management model for securities transaction and revising the "Guidelines for Managed Futures Enterprises in Handling Discretionary Account Management Business," the "Contract of Discretionary Account for Futures Trading (Template)" and the "Contract of Authorizing 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、銷售及申購買回作業程序」、「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.

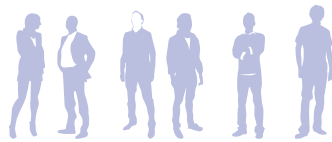


研議、建議事項 Proposals

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 TAIFEX 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.

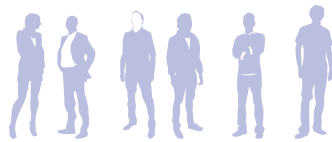


洗錢防制專題研討會 (5/25-26)

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，由廖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.

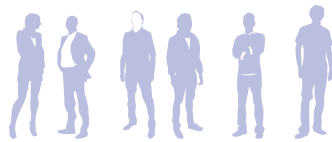


期貨業務人才養成班聯合徵才活動 (9/11-21)

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 TAIEX 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.

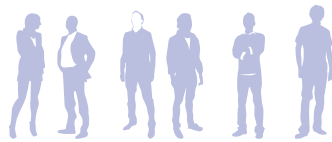


第11屆「證券暨期貨金椽獎」頒獎典禮 (12/28)

「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 証拠營業部長、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.

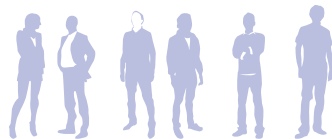


LME亞洲年會(5/15-18)

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.

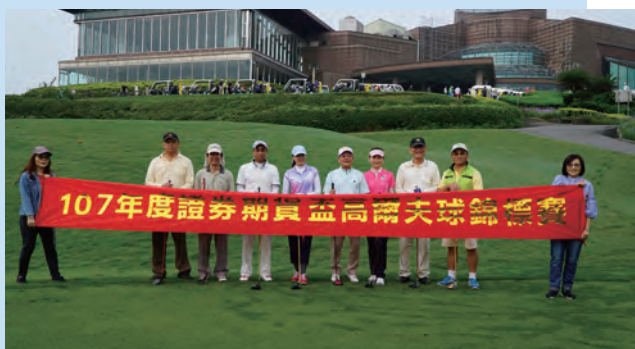


2. 107年度證券期貨盃高爾夫球聯誼賽 (5/1)

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.



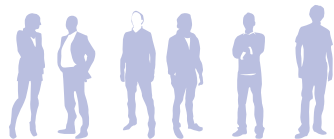
3. 從業人員登山健行聯誼暨「捐發票、送愛心」活動 (11/3)

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.

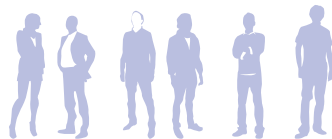
2. 督促事項

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

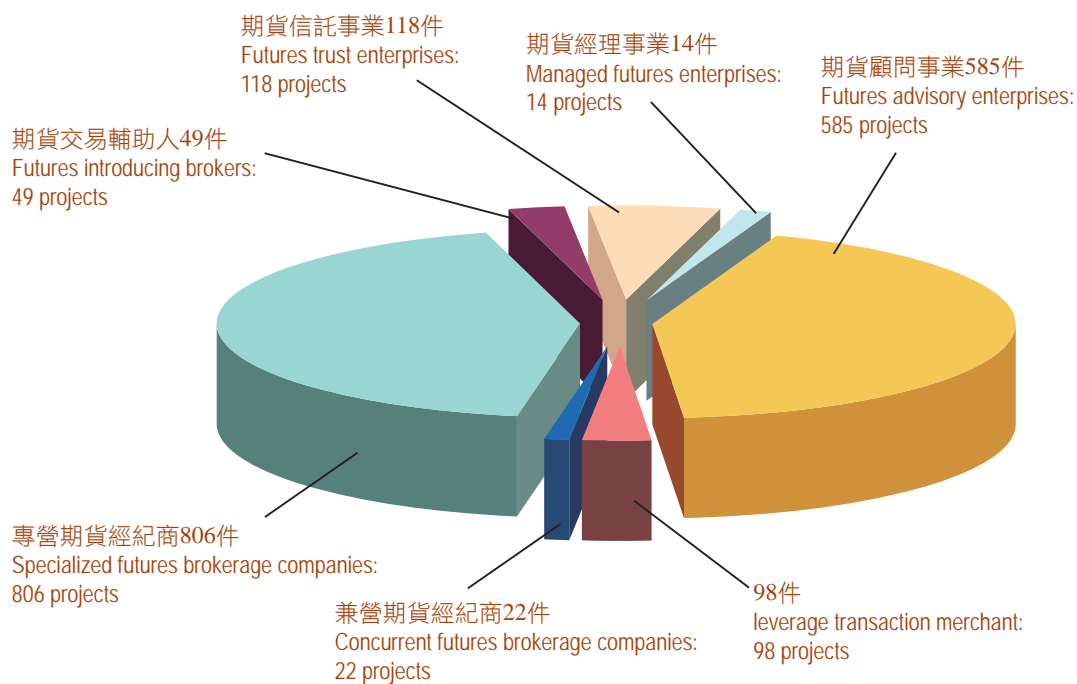
D. Inspection of advertisement and promotional materials of member companies

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

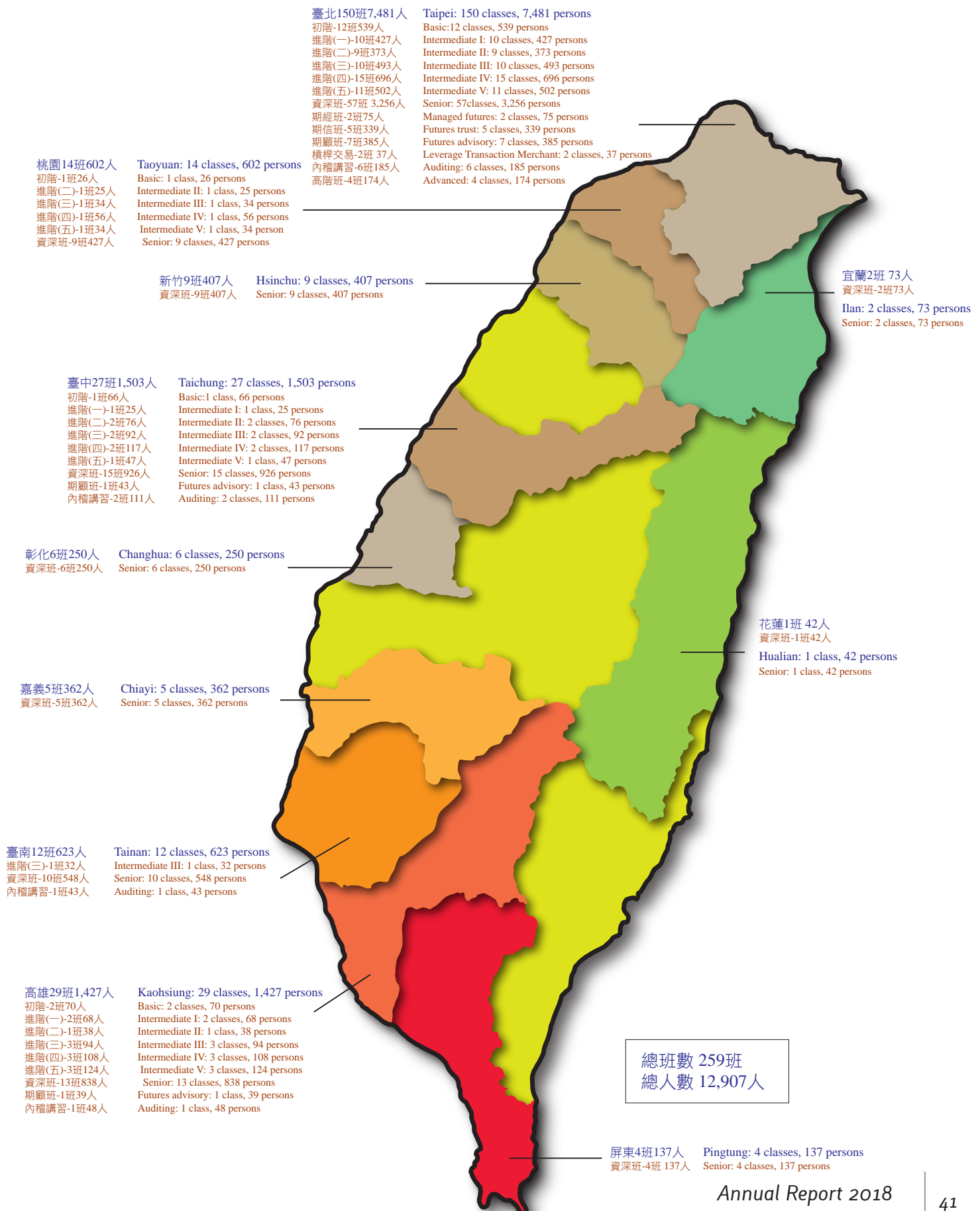


五、在職訓練

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

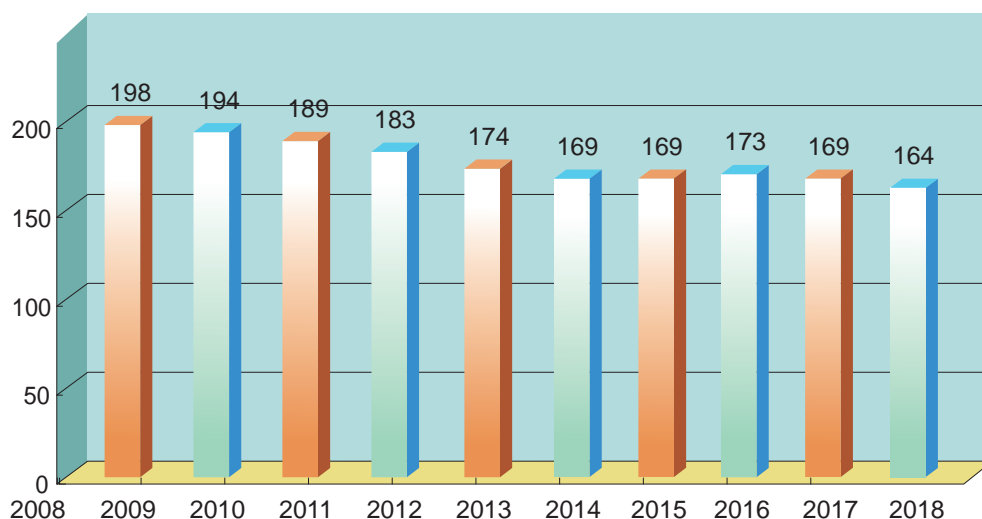
Registration of member companies and their business representatives

- 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.

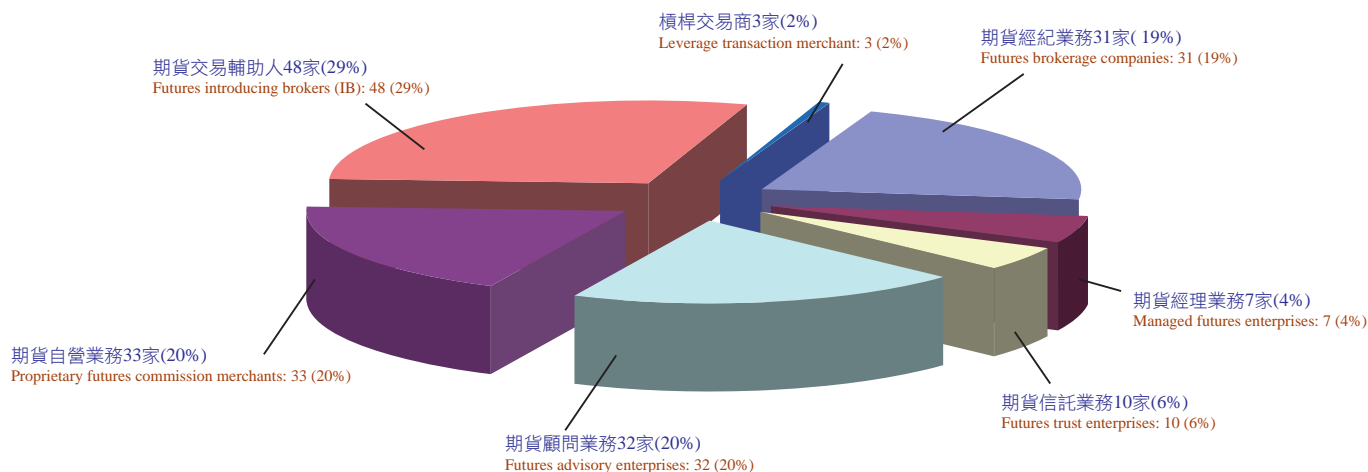
近10年會員家數統計圖

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



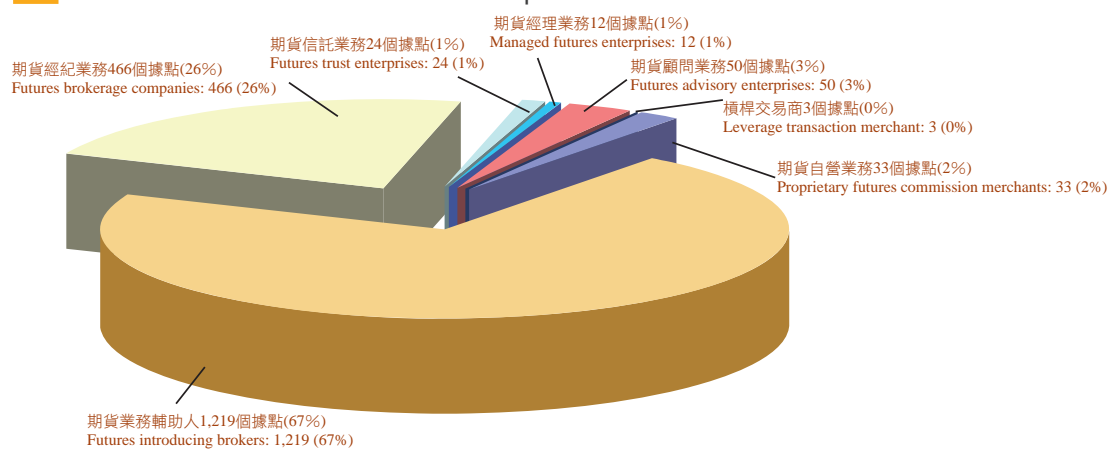
共計164家會員 資料統計截至107/12/31
A total of 169 member companies as of Dec. 31, 2018

- 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%)。

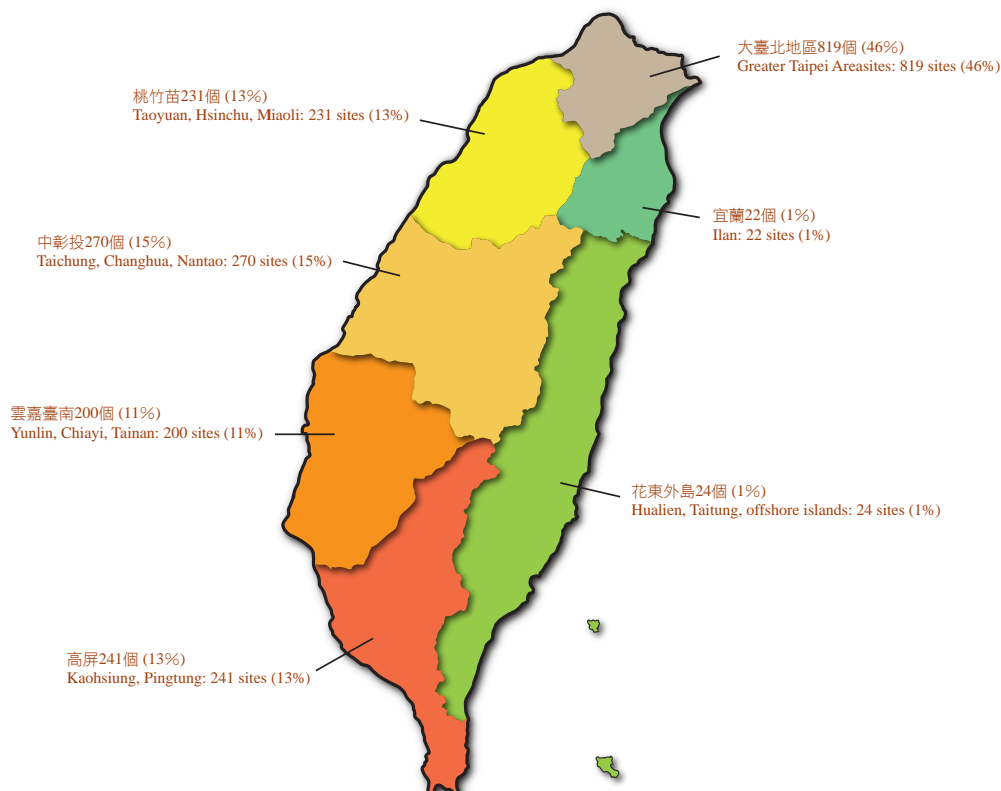
會員營業據點統計圖

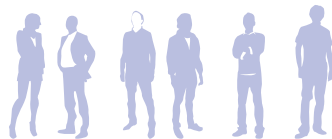
Business Sites of CNFA Member Companies in 2018



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





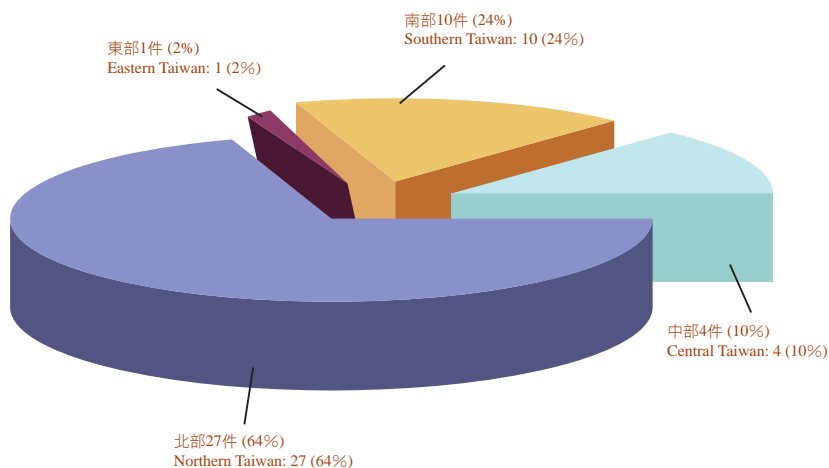
● 會員實地場地勘察 Business site inspection

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.

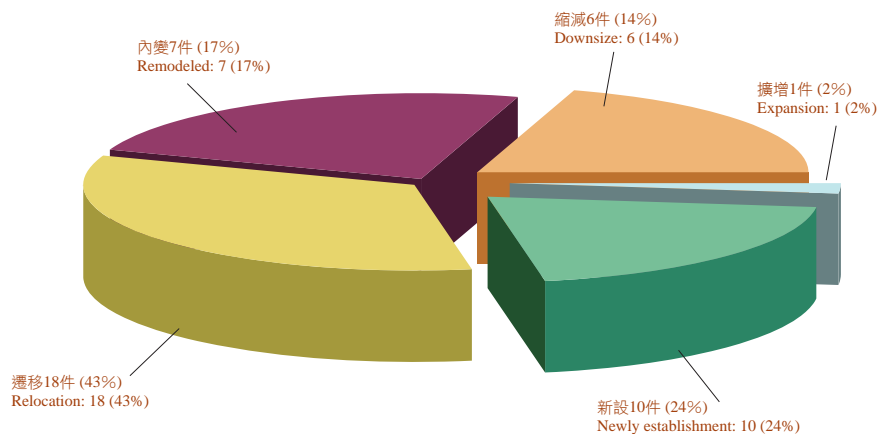
107年度場地勘察區域分布統計圖

Geographical Areas of Inspected Business Sites in 2018



107年度場地勘察類別統計圖

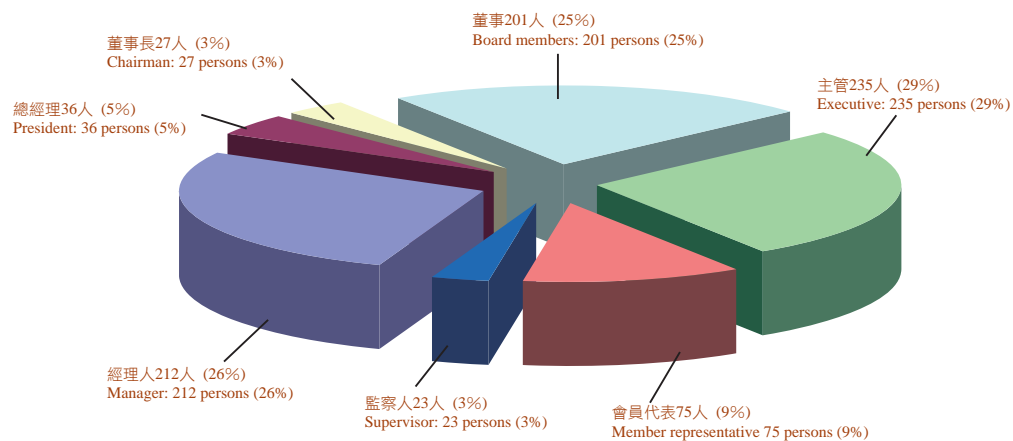
Statistics of Business Site Inspection Projects in 2018



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

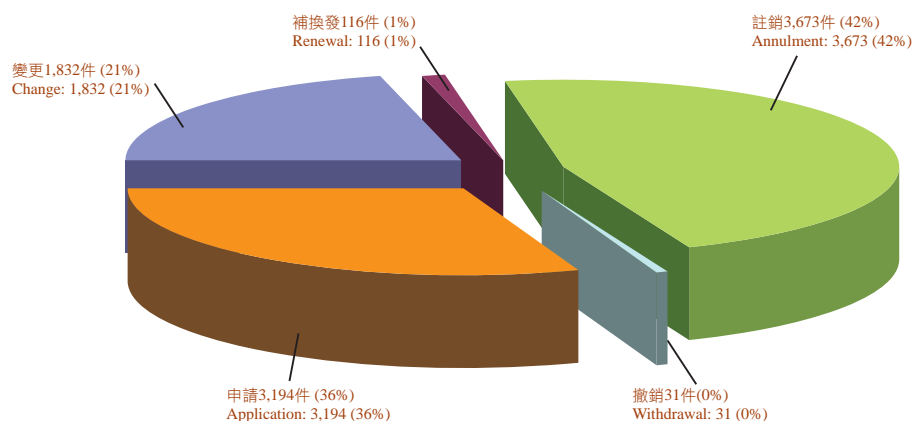
- 會員代表、會員負責人107年度於本公會異動登錄共計809人次，細分如下：
In 2018, the Association handled a total of 809 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies.

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.

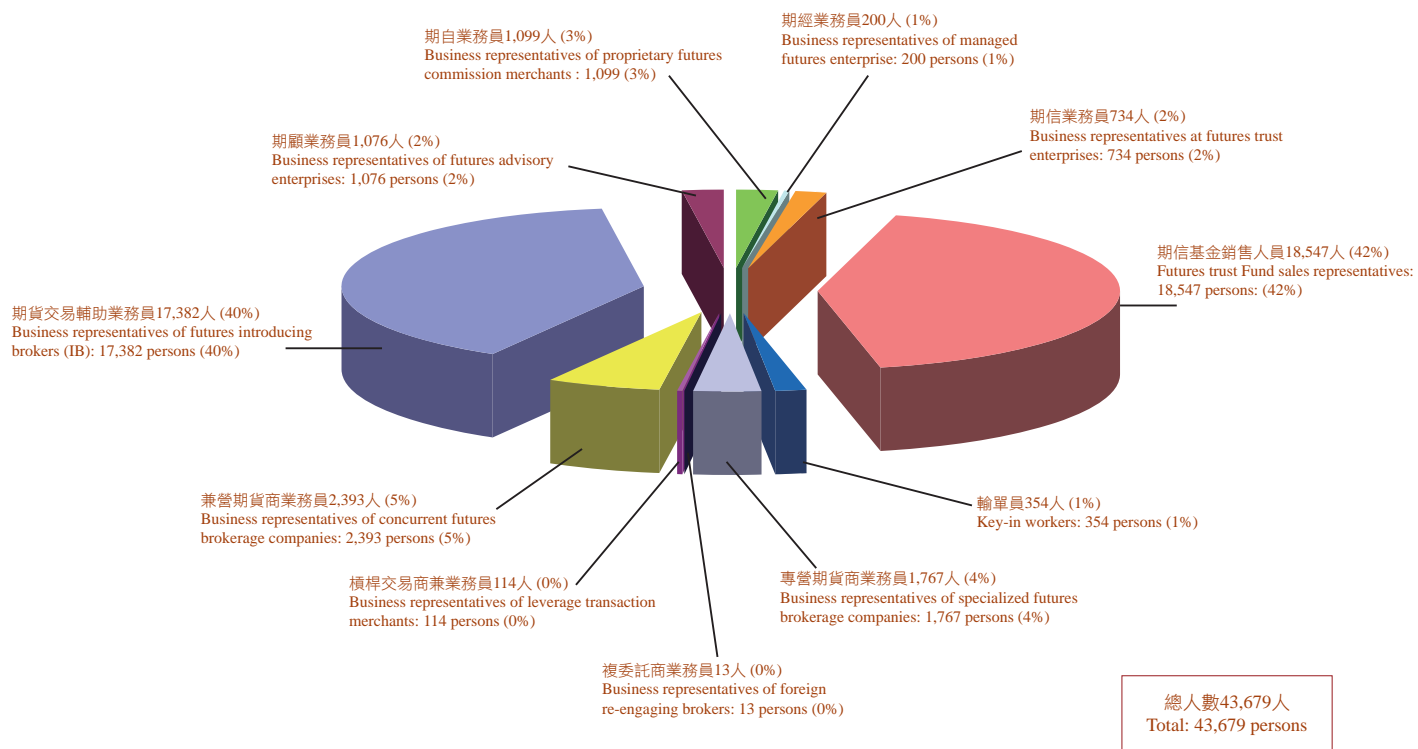
107年度業務異動類別統計圖
Job Change Registrations in 2018





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

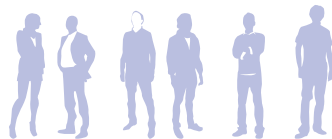


2. 期貨人季刊 Futures Journal



3. 研究叢書 Study report





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-friendly bags, diary books as promotional give-away with “Legal Futures” mark.







會計師查核報告

(108)財審報字第 18002660 號

中華民國期貨業商業同業公會 公鑒：

查核意見

中華民國期貨業商業同業公會民國 107 年及 106 年 12 月 31 日之資產負債表及財產清冊，暨民國 107 年及 106 年 1 月 1 日至 12 月 31 日之收支決算表、現金出納表及基金收支表，以及會計報告附註(包括重大會計政策彙總)，業經本會計師查核竣事。

依本會計師之意見，上開會計報告在所有重大方面係依照內政部頒布之「工商團體財務處理辦法」暨企業會計準則公報及其解釋編製，足以允當表達中華民國期貨業商業同業公會民國 107 年及 106 年 12 月 31 日之財務狀況，暨民國 107 年及 106 年 1 月 1 日至 12 月 31 日之收支情形。

查核意見之基礎

本會計師係依照「會計師查核簽證財務報表規則」及中華民國一般公認審計準則執行查核工作。本會計師於該等準則下之責任將於會計師查核會計報告責任段進一步說明。本會計師所隸屬事務所受獨立性規範之人員已依中華民國會計師職業道德規範，與中華民國期貨業商業同業公會保持超然獨立，並履行該規範之其他責任。本會計師相信已取得足夠及適切之查核證據，以作為表示查核意見之基礎。

管理階層對會計報告之責任

管理階層之責任係依照內政部頒布之「工商團體財務處理辦法」暨企業會計準則公報及其解釋編製允當表達之會計報告，且維持與會計報告編製有關之必要內部控制，以確保會計報告未存有導因於舞弊或錯誤之重大不實表達。

於編製會計報告時，管理階層之責任亦包括評估中華民國期貨業商業同業公會繼續經營之能力、相關事項之揭露，以及繼續經營會計基礎之採用，除非管理階層意圖清算中華民國期貨業商業同業公會或停止營業，或除清算或停業外別無實際可行之其他方案。



會計師查核會計報告之責任

本會計師查核會計報告之目的，係對會計報告整體是否存在導因於舞弊或錯誤之重大不實表達取得合理確信，並出具查核報告。合理確信係高度確信，惟依照中華民國一般公認審計準則執行之查核工作無法保證必能偵出會計報告存有之重大不實表達。不實表達可能導因於舞弊或錯誤。如不實表達之個別金額或彙總數可合理預期將影響會計報告使用者所作之經濟決策，則被認為具有重大性。

本會計師依照中華民國一般公認審計準則查核時，運用專業判斷並保持專業上之懷疑。本會計師亦執行下列工作：

1. 辨認並評估會計報告導因於舞弊或錯誤之重大不實表達風險；對所評估之風險設計及執行適當之因應對策；並取得足夠及適切之查核證據以作為查核意見之基礎。因舞弊可能涉及共謀、偽造、故意遺漏、不實聲明或踰越內部控制，故未偵出導因於舞弊之重大不實表達之風險高於導因於錯誤者。
2. 對與查核攸關之內部控制取得必要之瞭解，以設計當時情況下適當之查核程序，惟其目的非對中華民國期貨業商業同業公會內部控制之有效性表示意見。
3. 評估管理階層所採用會計政策之適當性，及其所作會計估計與相關揭露之合理性。
4. 依據所取得之查核證據，對管理階層採用繼續經營會計基礎之適當性，以及使中華民國期貨業商業同業公會繼續經營之能力可能產生重大疑慮之事件或情況是否存在重大不確定性，作出結論。本會計師若認為該等事件或情況存在重大不確定性，則須於查核報告中提醒會計報告使用者注意會計報告之相關揭露，或於該等揭露係屬不適當時修正查核意見。本會計師之結論係以截至查核報告日所取得之查核證據為基礎。惟未來事件或情況可能導致中華民國期貨業商業同業公會不再具有繼續經營之能力。
5. 評估會計報告（包括相關附註）之整體表達、結構及內容，以及會計報告是否允當表達相關交易及事件。

資誠聯合會計師事務所

會計師

李香吟



中華民國 108 年 2 月 15 日

-3-

REPORT OF INDEPENDENT ACCOUNTANTS TRANSLATED FROM CHINESE

To the Board of Directors of CHINESE NATIONAL FUTURES ASSOCIATION

Opinion

We have audited the accompanying balance sheets and property lists of CHINESE NATIONAL FUTURES ASSOCIATION (the “Association”) as at December 31, 2018 and 2017, and the related statements of activities, income and disbursements of cash and fund for the years then ended, and notes to the accounting reports, including a summary of significant accounting policies.

In our opinion, the accompanying accounting reports present fairly, in all material respects, the financial position of the Association as at December 31, 2018 and 2017, and the results of its operations and disbursements of cash and fund for the years then ended in accordance with “Regulations of Financial Treatment of Industrial and Commercial Groups” promulgated by Ministry of the Interior and Enterprise Accounting Standards and its interpretations.

Basis for opinion

We conducted our audits in accordance with the “Regulations Governing Auditing and Attestation of Financial Statements by Certified Public Accountants” and generally accepted auditing standards in the Republic of China (ROC GAAS). Our responsibilities under those standards are further described in the *Auditor’s Responsibilities for the Audit of the Financial Statements* section of our report. We are independent of the Association in accordance with the Code of Professional Ethics for Certified Public Accountants in the Republic of China (the “Code”), and we have fulfilled our other ethical responsibilities in accordance with the Code. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Responsibilities of management for the accounting reports

Management is responsible for the preparation and fair presentation of the accounting reports in accordance with “Regulations of Financial Treatment of Industrial and Commercial Groups” promulgated by Ministry of the Interior and Enterprise Accounting Standards and its interpretations, and for such internal control as management determines is necessary to enable the preparation of accounting reports that are free from material misstatement, whether due to fraud or error.

In preparing the accounting reports, management is responsible for assessing the Association's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless management either intends to liquidate the Association or to cease operations, or has no realistic alternative but to do so.

Auditor's responsibilities for the audit of the accounting reports

Our objectives are to obtain reasonable assurance about whether the accounting reports as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ROC GAAS will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these accounting reports.

As part of an audit in accordance with ROC GAAS, we exercise professional judgment and maintain professional skepticism throughout the audit. We also:

1. Identify and assess the risks of material misstatement of the accounting reports, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
2. Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Association's internal control.
3. Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.
4. Conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Association's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditor's report to the related disclosures in the accounting reports or, if such disclosures are

inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditor's report. However, future events or conditions may cause the Association to cease to continue as a going concern.

5. Evaluate the overall presentation, structure and content of the accounting reports, including the disclosures, and whether the accounting reports represent the underlying transactions and events in a manner that achieves fair presentation.

Lee, Hsiu-Ling

For and on Behalf of PricewaterhouseCoopers, Taiwan

February 15, 2019

The accompanying accounting reports are not intended to present the financial position and results of operations and disbursement of cash and fund of the Association in accordance with Regulations of Financial Treatment of Industrial and Commercial Groups in countries and jurisdictions other than the Republic of China. The standards, procedures and practices in the Republic of China governing the audit of such accounting reports may differ from those generally accepted in countries and jurisdictions other than the Republic of China. Accordingly, the accompanying accounting reports and report of independent accountants are not intended for use by those who are not informed about Regulations of Financial Treatment of Industrial and Commercial Groups or auditing standards generally accepted in the Republic of China, and their applications in practice.

As the accounting reports are the responsibility of the management, PricewaterhouseCoopers cannot accept any liability for the use of, or reliance on, the English translation or for any errors or misunderstandings that may derive from the translation.



中華民國證券期貨交易所公會

民國108年12月31日

		107 年 12 月 31 日		106 年 12 月 31 日		107 年 12 月 31 日		106 年 12 月 31 日		單位：新台幣元	
		金	%	金	%	金	%	金	%	金	%
資 產											
流動資產											
現金及銀行存款(附註五(一))		\$ 28,567,531	5	\$ 40,347,551	7	\$ 14,129,110	2	\$ 15,222,168	2		
有價證券(附註五(二))		108,396,681	18	80,396,681	14	129,732	-	209,031	-		
應收帳款(附註五(三))		3,134,448	-	3,096,655	-	22,571	-	130,709	-		
預付款項		375,165	-	403,708	-	-	-	-	-		
其他流動資產		39,095	-	248,257	-	14,281,413	2	15,561,908	2		
流動資產合計		140,512,920	23	124,492,852	21	-	-	-	-		
基 金											
會務發展準備基金—專戶存款(附註五(四))		120,450,903	20	113,430,255	19	-	-	56,700,000	9		
退換準備基金—專戶存款(附註五(五))		30,238,045	5	27,771,541	5	-	-	72,251,908	11		
基金合計		150,688,948	25	141,201,796	24	-	-	-	-		
固定資產(附註五(六))											
土地		133,989,345	22	133,989,345	23	-	-	-	-		
房屋及建築		107,770,320	17	107,770,320	18	-	-	-	-		
事務設備		18,087,873	3	17,959,873	3	-	-	119,710,255	20		
雜項設備		3,539,262	1	3,539,262	1	-	-	29,972,228	5		
辦公設備		2,095,030	-	1,989,390	-	-	-	265,248,190	45		
固定資產合計		265,481,830	43	265,248,190	45	-	-	414,830,673	71		
其他資產											
有價證券(附註五(七))		219,950	-	219,950	-	-	-	84,072,906	14		
存出保證金		57,300	-	57,300	-	-	-	16,654,601	3		
自營基金—專戶存款		55,260,000	9	56,700,000	10	-	-	100,727,507	17		
其他資產合計		55,537,250	9	56,977,250	10	-	-	515,658,180	88		
資 產 總 計		\$ 612,220,948	100	\$ 587,920,088	100	\$ 612,220,948	100	\$ 587,920,088	100		
負債、基金及餘絀											
流動負債											
應付款項(附註五(八))											
代收帳款		-	-	-	-	-	-	-	-		
暫收款		-	-	-	-	-	-	-	-		
須動負債合計		-	-	-	-	-	-	-	-		
其他負債											
存入保證金—自營基金		-	-	-	-	-	-	-	-		
負債總額		-	-	-	-	-	-	-	-		
基金及餘絀											
基金											
會務發展準備基金		-	-	-	-	-	-	-	-		
退換準備基金		-	-	-	-	-	-	-	-		
資產基金		-	-	-	-	-	-	-	-		
基金合計		-	-	-	-	-	-	-	-		
餘絀											
累計餘絀		219,950	-	219,950	-	100,727,507	17	84,072,906	14		
本期餘絀		57,300	-	57,300	-	17,226,139	3	16,654,601	3		
餘絀合計		55,260,000	9	56,700,000	10	117,953,646	20	100,727,507	17		
基金及餘絀合計		55,537,250	9	56,977,250	10	542,679,535	89	515,658,180	88		
負債、基金及餘絀總計		\$ 612,220,948	100	\$ 587,920,088	100	\$ 612,220,948	100	\$ 587,920,088	100		

後附會計報告附註為本會計報告之一部分，請併同參閱。



理事長：



秘書長：



會計主管：

製表：





CHINESE NATIONAL FUTURES ASSOCIATION
BALANCE SHEETS
YEARS ENDED DECEMBER 31

(Expressed in New Taiwan Dollars)												
ASSETS	2018			2017			2018			2017		
	Notes	Amount	%	Amount	%	Notes	Amount	%	Amount	%		
Current Assets						Current Liabilities						
Cash and bank deposit	5(1)	\$ 28,567,531	5	\$ 40,347,551	7	Accrued expenses	\$ 14,129,110	2	\$ 15,222,168	2		
Securities	5(2)	\$ 108,396,681	18	\$ 80,396,681	14	Receipts under custody	129,732	-	209,031	-		
Accounts receivable	5(3)	3,134,448	-	3,096,655	-	Temporary receipts	22,571	-	130,709	-		
Prepayments		375,165	-	403,708	-	Total current liabilities	14,281,413	2	15,561,908	2		
Other current assets		39,095	-	248,257	-							
Total current assets		140,512,920	23	124,492,852	21							
Funds	5(4)					Non-current Liabilities						
Development fund at special bank account		120,450,903	20	113,430,255	19	Refundable deposits received	55,260,000	9	56,700,000	10		
Pension fund at special bank account		30,238,045	5	27,771,541	5	TOTAL LIABILITIES	69,541,413	11	72,261,908	12		
Total funds		150,688,948	25	141,201,796	24							
Property, Plant and Equipment	5(6)					Funds And Accumulated Surplus						
Land		133,989,345	22	133,989,345	23	Funds						
Buildings		107,770,320	17	107,770,320	18	Development fund	126,970,903	21	119,710,255	20		
Machinery and equipment		18,087,873	3	17,959,873	3	Pension fund	32,273,156	5	29,972,228	5		
Miscellaneous property, plant, and equipment		3,539,262	1	3,539,262	1	Fixed assets fund	265,481,830	43	265,248,190	45		
Office equipment		2,095,030	-	1,989,390	-	Total funds	424,725,889	69	414,930,673	71		
Total property, plant and equipment		265,481,830	43	265,248,190	45							
Other Assets						Surplus						
Securities	5(7)	219,950	-	219,950	-	Accumulated surplus	100,727,507	17	84,072,906	14		
Refundable deposits		57,300	-	57,300	-	Surplus for the year	17,226,139	3	16,654,601	3		
Self-discipline fund at special bank account		55,260,000	9	56,700,000	10	Total surplus	117,953,646	20	100,727,507	17		
Total other assets		55,537,250	9	56,977,250	10	TOTAL FUNDS AND SURPLUS	542,679,535	89	515,658,180	88		
TOTAL ASSETS		\$ 612,220,948	100	\$ 587,920,088	100	TOTAL LIABILITIES, FUNDS AND SURPLUS	\$ 612,220,948	100	\$ 587,920,088	100		

The accompanying notes are an integral part of these financial statements.

中華民國期貨業同業公會



民國107年1月1日至12月31日

單位：新台幣元

科 目	決算數	預算數	決算與預算比較數		說明
			增 加	減 少	
經費收入					
入會費收入	\$ 2,400	\$ -	\$ 2,400	\$ -	
常年會費收入	1,697,200	1,768,000	-	(70,800)	
業務費收入(附註五(十))	97,151,554	144,437,000	-	(47,285,446)	註1
利息收入	1,233,242	1,060,000	173,242	-	
會員服務收入	15,356,300	15,735,000	-	(378,700)	
其他收入	92,005	-	92,005	-	
收入合計	115,532,701	163,000,000	267,647	(47,734,946)	
經費支出					
人事費	33,963,077	36,776,000	-	(2,812,923)	註2
辦公費	7,215,254	8,310,000	-	(1,094,746)	註3
業務費	41,671,749	93,517,000	-	(51,845,251)	註4
購置費	1,480,311	3,727,000	-	(2,246,689)	註5
團體會費	1,570,000	1,570,000	-	-	
什項支出	2,291,284	5,320,000	-	(3,028,716)	註6
預備金	-	3,260,000	-	(3,260,000)	註7
基金提存(附註五(十一))	10,114,887	10,520,000	-	(405,113)	
支出合計	98,306,562	163,000,000	-	(64,693,438)	
本期餘絀(稅前)	17,226,139	-	17,226,139	-	
所得稅費用(附註五(九))	-	-	-	-	
本期餘絀(稅後)	\$ 17,226,139	\$ -	\$ 17,226,139	\$ -	

後附會計報告附註為本會計報告之一部分，請併同參閱。

註1：業務費收入減少，主係經理監事聯席會決議，自本期9月起視結餘情況調整折扣數及退回前8月部分業務費。

註2：人事費減少，主係本期有員工退休所致。

註3：辦公費減少，主係因樽節辦公費用支出所致。

註4：業務費減少，主係因預估之業務推廣活動未全數執行所致。

註5：購置費減少，主係本期預計購置之官網及資訊設備並未購置所致。

註6：什項支出減少，主係因本期預估之社會服務費未全數執行所致。

註7：預備金減少，主係本期無特殊狀況動支。

理事長：



秘書長：



會計主管：



製表：



CHINESE NATIONAL FUTURES ASSOCIATION
FINAL STATEMENTS OF INCOME AND EXPENDITURE
FOR THE YEARS ENDED DECEMBER 31

(Expressed in New Taiwan Dollars)

	Notes	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
				Increase	Decrease	
Income						
Entry fees		\$ 2,400	\$ -	\$ 2,400	\$ -	
Annual membership fees		1,697,200	1,768,000	-	(70,800)	
Business promotion fees	5(10)	97,151,554	144,437,000	-	(47,285,446)	Note1
Interest income		1,233,242	1,060,000	173,242	-	
Membership service fees		15,356,300	15,735,000	-	(378,700)	
Miscellaneous income		<u>92,005</u>	<u>-</u>	<u>92,005</u>	<u>-</u>	
Total income		<u>115,532,701</u>	<u>163,000,000</u>	<u>267,647</u>	<u>(47,734,946)</u>	
Expenditure						
Personnel expense		33,963,077	36,776,000	-	(2,812,923)	Note2
Administration expense		7,215,254	8,310,000	-	(1,094,746)	Note3
Business expense		41,671,749	93,517,000	-	(51,845,251)	Note4
Procurement expense		1,480,311	3,727,000	-	(2,246,689)	Note5
Association activity fee		1,570,000	1,570,000	-	-	
Miscellaneous items		2,291,284	5,320,000	-	(3,028,716)	Note6
Reserve cash		-	3,260,000	-	(3,260,000)	Note7
Fund withdrawing	5(11)	<u>10,114,887</u>	<u>10,520,000</u>	<u>-</u>	<u>(405,113)</u>	
Total expenditure		<u>98,306,562</u>	<u>163,000,000</u>	<u>-</u>	<u>(64,693,438)</u>	
Surplus before income tax		17,226,139	-	17,226,139	-	
Income tax	5(9)	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	
Surplus for the year		\$ 17,226,139	\$ -	\$ 17,226,139	\$ -	

The accompanying notes are an integral part of these financial statements.

- 1 : Income of business fees decreased due to the new policy approved at the meeting of board members and supervisors, under which discount would be adjusted along with the balance, starting from September 2018, and refunded part of business promotion fees from January to August.
- 2 : The personnel expense decreased primarily due to the retirement of employees.
- 3 : Administration fee decreased mainly due to the cut in budget.
- 4 : Business activity fees decreased because the proposed business promotion activities haven't been completely implemented in 2018.
- 5 : Procurement expenditure decreased because the website have not been completed.
- 6 : Miscellaneous expenses decreased primarily because the social service budget has not been fully used.
- 7 : Reserve cash decreased because there were no special conditions for extra expenditure.

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 Presentation of initial conclusion of national risk assessment report for securities, futures, securities investment trust, and securities investment consulting companies
4/12	「槓桿交易者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

期 Date	項目 Event
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屆證券暨期貨金槓獎」頒獎典禮 Award Ceremony of the 11 th Securities & Futures Award

中華民國期貨業商業同業公會會員名錄 Chinese National Futures Association Directory of members

代號	公 司 名 稱 (Company)	公 司 地 址 (Address)	電 話 (Tel)	傳 真 (Fax)	公司網址 (Website)
F001	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
F002	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100 台北市重慶南路1段2號8樓 8F., 2, Sec.1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23811799	02-23894228	http://www.spf.com.tw
F004	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路1段2號6樓 6F., 2, Sec. 1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
F005	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105 台北市南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., Taipei 105, Taiwan	02-27683998	02-25287576	http://www.wlf.com.tw
F007	日盛期貨股份有限公司 Jihsun Futures Co., Ltd.	104 台北市南京東路2段111號4樓 4F., 111, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
F008	統一期貨股份有限公司 President Futures Corp.	105 台北市東興路8號B1 B1, 8, Tong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
F014	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105 台北市民生東路4段54號3樓 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw/
F018	元富期貨股份有限公司 MasterLink Futures Corp.	110 台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
F020	群益期貨股份有限公司 Capital Futures Corp.	106 台北市敦化南路2段97號32樓 32F., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888	02-27551532	http://www.capitalfutures.com.tw/
F021	元大期貨股份有限公司 Yuantia Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.yuantia.com.tw/
F026	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
F029	康和期貨股份有限公司 Concord Futures Corp.	105 台北市復興北路143號5樓 5F., 143, Fusing N.Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
F030	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110 台北市忠孝東路2段95號2樓 2F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-23278895	02-23278879	http://www.megafutures.com.tw/
F039	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220 新北市板橋區東門街30之2號9樓 9F., 30-2, Tung-men St., Panchiao, Taipei 220, Taiwan	02-29601066	02-29657707	http://www.dcnf.com.tw/
R201	美商愛德盟期貨經紀股份有限公司台灣分公司 ADM Investor Services, Inc. Taiwan Branch	105 台北市南京東路4段161號3樓 3F., 161, Sec.4, Nanking E. Rd., Taipei 105, Taiwan	02-27137590	02-27137648	http://www.admis.com
R208	新加坡商大華期貨經紀有限公司台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	110 台北市忠孝東路五段68號30樓 30F., 68, Sec. 5, Chung Hsiao E. Rd., Xinyi Dist., Taipei Taiwan	02-23451266	02-23451639	http://www.uob.com.sg
S126	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106 台北市信義路4段236號3樓 3F., 236, Sec.4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27006088	http://www.honsec.com.tw/
S144	美林證券股份有限公司 Merrill Lynch Securities (Taiwan) Limited	106 台北市敦化南路2段207號9樓 9F., 207, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23763766	02-23763740	http://www.ml.com
S147	台灣摩根士丹利證券股份有限公司 Morgan stanley taiwan limited	106 台北市敦化南路2段207號22樓 22F., 207, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27302888	02-27301774	http://www.morganstanley.com
S152	瑞士商瑞士信貸銀行股份有限公司台北證券分公司 Credit Suisse, Taipei Securities Branch	105 台北市民生東路3段109號5樓 5F., 109, Sec.3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27156307	02-27156373	http://www.credit-suisse.com

Directory of Members

代號	公 司 名 稱 (Company)	公 司 地 址 (Address)	電 話 (Tel)	傳 真 (Fax)	公司網址 (Website)
S153	香港商德意志證券亞洲有限公司 台北分公司 Deutsche Securities Asia Limited, Taipei Branch	106台北市仁愛路4段296號13樓 13F., 296, Sec.4, Ren'ai Rd., Taipei 106, Taiwan	02-21922888	02-37078473	http://www.db.com/taiwan
S159	花旗環球證券股份有限公司 Citigroup Global Markets Taiwan Securities Company Limited	110台北市松智路1號14樓 14F., 1, Songzhi Rd., Taipei 110, Taiwan	02-87269000	02-87254755	http://www.citigroup.com
S165	新加坡商瑞銀證券股份有限公司 台北分公司 UBS Securities Pte.Ltd., Taipei Branch	110台北市松仁路7號5樓 5F., 7, Sung Jen Rd., Taipei 110, Taiwan	02-87227200	02-87227230	http://www.ubs.com
S218	亞東證券股份有限公司 Oriental Securities Corp.	100台北市重慶南路1段86號2樓 2F., 86, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	http://www.osc.com.tw
S526	大慶證券股份有限公司 Ta Ching Securities Co., Ltd.	104台北市民生東路2段176號4樓 4F., 176, Sec.2, Ming Sheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.tcstock.com.tw/
S538	第一金證券股份有限公司 First Securities Inc.	104台北市長安東路1段22號4樓 4F., 22, Sec. 1, Chang'an E. Rd., Taipei 104, Taiwan	02-25379722	02-25635713	http://www.fisi.com.tw
S616	中國信託綜合證券股份有限公司 CIBC Securities Co., Ltd.	115台北市南港區經貿二路168號3樓 3F., 168, Jingmao 2nd Rd., Nangang Dist., Taipei, Taiwan	02-66392000	02-55813881	http://www.ctbsec.com/
S815	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	104 台北市中山北路2段44號2樓 2F., 44, Sec. 2, Zhongshan N. Rd., Taipei 104, Taiwan	02-21815888	02-25232016	http://www.tssco.com.tw/
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110台北市信義路5段106號3樓部分 3F, 106, Sec.5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27252275	http://www.jpmorgan.com
S856	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.	100台北市重慶南路1段66之1號5樓 5F, 66-1, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23118181	02-23714293	http://www.skis.com.tw/
S884	玉山綜合證券股份有限公司 E. Sun Securities Co., Ltd.	105台北市松山區民生東路3段156號2樓 2F., 156 Sec 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27186613	http://www.esunsec.com.tw
B091	群益金鼎證券股份有限公司 Capital Securities Corp.	110 台北市松仁路101號4樓 4F., 101 Sung Jen Rd., Taipei 110, Taiwan	02-87898888	02-87892942	http://www.capital.com.tw
B092	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路698號3樓 3F, 698 Mingshui Rd., Taipei 104 Taiwan	02-21818888	02-85011852	http://www.kgi.com.tw/
B093	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路4段54號5樓 5F., 54, Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25459231	http://www.entrust.com.tw
B096	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市大安區仁愛路4段169號2樓 2F., 169, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei 106, Taiwan	02-87716888	02-87716795	http://www.fubon.com/
B098	元大證券股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號13樓 13F., 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
B09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路1段2號7樓 7F., 2 Sec.1, Chung Ching S.Rd. Taipei 100 Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
B102	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市大安區忠孝東路4段325號2樓 2F., 325 Sec.4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27319987	02-27754202	http://www.tcb-bank.com.tw/
B103	臺灣土地銀行股份有限公司 Land Bank Co., Ltd.	100台北市延平南路81號 81, Yen Ping S.Rd., Taipei 100, Taiwan	02-23483978	02-23891864	http://www.landbank.com.tw
B104	臺銀綜合證券股份有限公司 Bank Taiwan Securities Co., Ltd.	100台北市重慶南路1段58號4樓 4F., 58, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23882188	02-23822045	http://www.twfhsec.com.tw/

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B111	台灣中小企業銀行股份有限公司 Taiwan Business Bank Co., Ltd.	103台北市塔城街30號4樓 4F., 30, Tacheng St., Taipei 103, Taiwan	02-25597171	02-25509987	http://www.tbb.com.tw
B116	日盛證券股份有限公司 Jih Sun Securities Co., Ltd.	104台北市南京東路2段111號3樓 3F., 111, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25071047	http://www.jihsun.com.tw/
B123	彰化商業銀行股份有限公司 Chang Hwa Bank Co., Ltd.	100台北市衡陽路68號3樓 3F., 68, Hengyang Rd., Taipei 100, Taiwan	02-23619654	02-23113726	http://www.chb.com.tw
B505	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	103台北市承德路1段17號17樓 17F., 17, Sec.1, Cheng Teh Rd., Taipei 103, Taiwan	02-25551234	02-25554200	http://www.tachan.com.tw/
B511	富隆證券股份有限公司 Fullong Securities Co., Ltd.	105台北市南京東路3段287號3樓 3F., 287, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27182788	02-27183445	http://www.fullong.com.tw
B532	高橋證券股份有限公司 Goldengate Securities Co., Ltd.	320桃園市中壢區中和路96號 96, Chung-ho Rd., Chungli, Taoyuan 320, Taiwan	03-4224243	03-4225738	http://www.easytrade.com.tw
B546	寶盛證券股份有限公司 Pao Shin Securities Co., Ltd.	406台中市北屯區北興街43號1樓 1F., 43, Beising St., Taichung 406, Taiwan	04-22309377	04-22371684	http://www.boom.com/zh/
B560	永興證券股份有限公司 Yung Shin Securities Co., Ltd.	100台北市中正區南海路20號2樓 2F., 20, Nanhai Rd., Taipei 100, Taiwan	02-23218200	02-23516239	http://www.yss.com.tw
B566	日進證券股份有限公司 Fortune Securities Co., Ltd.	360苗栗市中正路426號4樓 4F., 426, Chung Cheng Rd., Miaoli 360, Taiwan	037-332266	037-335228	http://www.fsc1.com.tw/
B585	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號1樓 1F., 8, Tong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
B586	盈溢證券股份有限公司 Ying Yi Securities Co., Ltd.	800高雄市七賢二路38號 38, Chihshien 2 Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	http://www.e-order.com.tw/ e-order/layout.jsp?err=logout
B587	光隆證券股份有限公司 Kuang Long Securities Co., Ltd.	970花蓮市公園路26號4樓 4F., 26, Kungyuan Rd., Hualien 970, Taiwan	03-8352181	03-8353447	https://etrade.kunglon.com. tw/kunglon/about/layout.jsp
B592	元富證券股份有限公司 MasterLink Securities Corp.	106台北市大安區復興南路1段209號1樓 1F., 209, Sec.1, Fuhsing S.Rd., Taipei 106, Taiwan	02-23255818	02-23259407	http://www.masterlink.com.tw
B596	日茂證券股份有限公司 Jee Mach Securities Co., Ltd.	542南投縣草屯鎮草溪路1020號2樓 2F., 1020 Tsao-His Rd., Tsao-tun Nantou 542, Taiwan	049-2353266	049-2357216	http://www.gmstock.com.tw
B601	犇亞證券股份有限公司 Primasia Securities Co., Ltd.	105 台北市松山區復興北路99號3樓 3F., 99 Fushin N. Rd., Taipei 105, Taiwan	02-27180101	02-27180202	http://www.primasia.com
B611	台中銀證券股份有限公司 Taichung Commercial Bank Securities Co., Ltd.	400 台中市中國民族路45號1樓 1F., 45, Minzu Rd., Central Dist., Taichung 400, Taiwan	02-23969955	02-23210502	http://www.tcbbank.com.tw/
B621	新百王證券股份有限公司 New Hundred King Securities Co., Ltd.	801高雄市中華三路11號B1 B1, 11, Chunghua 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	http://www.nhks.com.tw/
B638	光和證券股份有限公司 Kuanzho Securities Corp.	521彰化縣北斗鎮光復路166號3樓 3F., 166, Kwangfu Rd., Pie-Tou Cheng, Changhwa 521, Taiwan	04-8886500	04-8886626	http://www.kuanzho.com.tw/
B645	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.	330桃園市縣府路82號1樓 1F., 82, Hsien Fu Rd., Taoyuan 330, Taiwan	03-3352155	03-3350711	http://www.yucn.com.tw/
B646	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	220 新北市板橋區東門街30之2號2樓 2F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29689685	02-29676069	http://www.dcn.com.tw
B648	富邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104台北市忠孝西路1段6號6樓 6F., 6, Sec. 1, Chung Hsiao W. Rd., Taipei 104, Taiwan	02-23836888	02-23836800	http://www.gfortune.com.tw/

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B662	全泰證券股份有限公司 Chuan Tai Securities Co., Ltd.	330桃園市三民路3段317號3樓,4樓 3F., 317, Sec.3, San Ming Rd., Taoyuan 330, Taiwan	03-3353359	03-3345286	建置中
B691	德信綜合證券股份有限公司 Reliance Securities Co., Ltd.	100台北市新生南路1段50號3樓 3F., 50, Sec.1, Shin Sheng S. Rd., Taipei 100, Taiwan	02-23939988	02-23567722	http://www.rsc.com.tw
B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251新北市淡水區中正路63號5樓 5F., 63, Chung Chen Rd., Tanshui, Taipei 251, Taiwan	02-26251818	02-26251705	http://www.fushan-ewin.com.tw
B700	兆豐證券股份有限公司 Mega Securities Co., Ltd.	106台北市忠孝東路2段95號3樓 3F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-23278988	02-33932995	http://www.emega.com.tw/
B703	致和證券股份有限公司 Concord International Securities Co., Ltd.	704台南市西門路3段10號1樓 1F., 10, Shi-Men Rd., Sec.3, Tainan 704, Taiwan	06-2219777	06-2286324	http://www.wintan.com.tw/
B707	豐農證券股份有限公司 Feng Long Securities Co., Ltd.	420台中市豐原區水源路669號 669, Shuiyuan Rd., Fungyuan, Taichung 420, Taiwan	04-25281000	04-25253100	https://sptade.fenglong.com.tw/fenglong/index/layout.jsp
B767	金港證券股份有限公司 Goldport Stock Corp.	802高雄市苓雅區三多二路93號2樓 2F., 93, Sando 2 Rd., Kaohsiung 802, Taiwan	07-7129399	07-7133579	https://sptade.chinkang.com.tw/chinkang/index/layout.jsp
B775	北城證券股份有限公司 Pei Cheng Securities Co., Ltd.	234新北市永和區永和路2段116號3樓 3F., 116, Sec.2, Yung-ho Rd., Yung-ho, Taipei 234, Taiwan	02-29283456	02-29208664	http://www.peicheng.com.tw
B779	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	103台北市重慶北路3段199號地下1樓 B1, 199, Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://www.wls.com.tw/
B838	安泰證券股份有限公司 Antay Securities Co., Ltd.	830高雄市鳳山區五福二路36號 36, Wu Fu 2 Rd., Fong Shan, Kaohsiung 830, Taiwan	07- 8122789	07-8315419	http://www.antay.com.tw/
B845	康和綜合證券股份有限公司 Concord Securities Corp.	110台北市基隆路一段176號地下1樓 B1, 176, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-87871888	02-27697562	http://www.concords.com.tw/
B849	萬泰證券股份有限公司 Wan Tai Securities Co., Ltd.	600嘉義市新榮路193號2樓 2F., 193, Hsin-Jung Rd., Chiayi 600, Taiwan	05-2289911	05-2273459	http://www.wantaig.com.tw/
B852	中農證券股份有限公司 Chung Nour Securities Co., Ltd.	435台中市梧棲區四維中路157巷1號2樓 2F., 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435, Taiwan	04-26572801	04-26564499	https://sptade.chungnour.com.tw/
B858	聯邦商業銀行股份有限公司 Union Bank of Taiwan Co., Ltd.	104台北市南京東路2段137號2樓 2F., 137, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25040066	02-25171241	http://www.ubot.com.tw
B871	陽信證券股份有限公司 Sunny Securities Co., Ltd.	105台北市民生東路5段165號B2 B2, 165, Sec.5, Ming Sheng E. Rd., Taipei 105, Taiwan	02-28288585	02-28213444	http://www.sunnysec.com.tw
B877	大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	110 台北市信義路4段458號8樓 8F., 458, Sec. 4, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87862666	02-87862663	http://www.ycsc.com.tw
B885	鑫豐證券股份有限公司 Shing Fong Securities Co., Ltd.	104 台北市大同區民權西路104號5樓 5F., 104, Minquan W. Rd., Datong Dist., Taipei 103, Taiwan	02-25538000	02-25548064	http://www.promoney.com.tw/
B888	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269888	02-23777688	http://www.cathaysec.com.tw
P001	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100台北市重慶南路1段2號8樓 8F., 2, Sec.1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23811799	02-23894228	http://www.spf.com.tw
P002	兆豐證券股份有限公司 Mega Securities Co., Ltd.	100台北市忠孝東路2段95號3樓 3F., 95, Sec. 2, Chung Hsiao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-33227073	02-33933052	http://www.megasec.com.tw/
P003	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號B1 B1, 8, Tong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw

代號	公 司 名 稱 (Company)	公 司 地 址 (Address)	電 話 (Tel)	傳 真 (Fax)	公司網址 (Website)
P004	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.yuanta.com
P005	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104台北市南京東路2段111號4樓 4F., 111, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
P006	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
P008	元富證券股份有限公司 MasterLink Securities Corp.	106台北市大安區復興南路1段209號1樓 1F., 209, Sec.1, Fuhsing S.Rd., Taipei 106, Taiwan	02-23255818	02-27000208	http://www.masterlink.com.tw
P015	元富期貨股份有限公司 MasterLink Futures Corp.	110 台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
P020	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路700號9樓 9F., 700, Mingshui Rd., Taipei 104, Taiwan	02-21818888	02-85011852	http://etrade.kgi.com.tw/
P022	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市大安區仁愛路4段169號2樓 2F., 169, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei 106, Taiwan	02-27767819	02-27210783	http://www.fubon.com/
P024	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號2樓 2F., 8 Tong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
P026	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路4段54號5樓 5F., 54, Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25454122	http://www.entrust.com.tw
P028	元大證券股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號13樓 13F., 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
P030	日盛證券股份有限公司 Jih Sun Securities Co., Ltd.	104台北市南京東路2段111號3樓 3F., 111, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25048400	http://www.jihsun.com.tw/
P032	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市重慶南路一段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-25169009	02-25082351	http://www.kgifutures.com.tw/
P033	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269888	02-27003350	http://www.cathaysec.com.tw
P034	香港商法國興業證券股份有限公司台北分公司 SG Securities (HK) Ltd., Taipei Branch	110台北市信義區忠孝東路5段68號38樓 38F., 68, Sec. 5, Chung Hsiao E. Rd., Xinyi Dist., Taipei 110, Taiwan	02-21750800	02-25467376	http://www.socgen.com
P037	亞東證券股份有限公司 Oriental Securities Corp.	100台北市重慶南路1段86號2樓 2F., 86, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	http://www.osc.com.tw
P038	澳帝華期貨股份有限公司 Optiver Taiwan Co., Ltd.	100台北市杭州南路1段19號12樓 12F., 19, Sec.1, Hangzhou S. Rd., Taipei 100, Taiwan	02-23570777	02-23578392	http://www.optiver.com
P039	第一金證券股份有限公司 First Securities Inc.	104 台北市長安東路1段22號4樓 4F., 22, Sec. 1, Chang-an E. Rd., Taipei 104, Taiwan	02-25636262	02-25635713	http://www.flsi.com.tw
P042	中國信託商業銀行股份有限公司 Chinatrust Commercial Bank	115台北市南港區經貿二路168號5樓 5F., 168, Jingmao 2nd Rd., Nangang Dist., Taipei 115, Taiwan	02-27222002	02-87808867	http://hrbank.chinatrust.com.tw
P045	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	103台北市重慶北路3段199號地下1樓 B1, 199, Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://web.wls.com.tw/
P046	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路4段236號3樓 3F., 236, Sec.4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw/
P047	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105 台北市松山區南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-27287576	http://www.wlf.com.tw

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P050	康和期貨股份有限公司 Concord Futures Co., Ltd.	105 台北市復興北路143號5樓 5F., 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw/
P052	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	115 台北市南港區經貿二路188號14樓 14F., 188, Jingmao 2nd Rd., Nangang Dist., Taipei 115, Taiwan	02-66392000	02-66392500	http://www.chinatrustsec.com.tw/
P053	玉山綜合證券股份有限公司 E. Sun Securities Co. Ltd.	105 台北市松山區民生東路3段158號6樓 6F., 158, Sec 3, Ming Sheng E. Rd., Taipei Taiwan	02-55561313	02-27188913	http://www.esunsec.com.tw
P054	法銀巴黎證券股份有限公司 BNP PARIBAS INVESTMENT PARTNERS	110 台北市信義路五段7號72樓 72F., 7, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87297000	02-81012168	http://www.bnpparibas-ip.com
P055	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
P056	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
P057	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106 台北市忠孝東路4段325號6樓 6F., 325, Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27319987	02-27754202	http://www.tcb-bank.com.tw/
P058	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	104 台北市中山北路2段44號2樓 2F., 44, Sec. 2, Zhongshan N. Rd., Taipei 104, Taiwan	02-21815888	02-25232016	http://www.tssco.com.tw/
P09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路1段2號7樓 7F., 2, Sec.1, Chung Ching S. Rd. Taipei 100 Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
A001	永豐期貨股份有限公司 SinoPac Futures Co.Ltd.	100 台北市重慶南路1段2號8樓 8F., 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894228	http://www.spf.com.tw
A002	統一期貨股份有限公司 President Futures Corp.	105 台北市東興路8號B1 B1, 8, Tong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
A003	元大期貨股份有限公司 Yuantai Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.pmf.com.tw/
A004	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104 台北市南京東路2段111號4樓 4F., 111, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
A005	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號地下1樓 B1, 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
A006	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
A008	康和期貨股份有限公司 Concord Futures Co., Ltd.	105 台北市復興北路143號5樓 5F., 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
A009	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
A011	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105 台北市民生東路4段54號3樓 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw/
A013	元富期貨股份有限公司 MasterLink Futures Corp.	110 台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
A019	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105 台北市松山區南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	http://www.wlf.com.tw
A020	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110 台北市中正區忠孝東路2段95號2樓 2F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 110 Taiwan	02-23278895	02-23278879	http://www.mega-futures.com.tw/

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A021	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市重慶南路一段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
A025	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路一段2號7樓 7F., 2, Sec. 1, Chung Ching S. Rd. Taipei 100 Taiwan	02-23123866	02-23823529	http://www.sinopacsecurities.com
A026	運達證券投資顧問股份有限公司 Yun Ta Investment Consulting Co., Ltd.	104 台北市中山區八德路2段260號10樓 10F., 260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei 104, Taiwan	02-55899966	02-27312166	http://win-dollar.com/
A027	萬寶證券投資顧問股份有限公司 Marbo Securities Consultant Co., Ltd.	104台北市松江路87號4樓 4F., 87, Songjiang Rd., Taipei 104, Taiwan	02-66083998	02-66088833	http://www.marbo.com.tw/
A028	啟發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant	100台北市忠孝西路1段100號9樓 9F., 100, Sec. 1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23820566	02-23313628	http://www.chifar.com.tw/
A029	大華國際證券投資顧問股份有限公司 Da Hwa International Securities Investment Consulting Co., Ltd.	100 台北市羅斯福路2段102號23樓 23F., 102, Sec. 2, Roosevelt Rd., Taipei 100, Taiwan	02-83695566	02-77258855	http://www.toptrade.com.tw/
A032	顧德證券投資顧問股份有限公司 Good Securities Investment Consultant	105 台北市松山區南京東路4段126號14樓 14F., 126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-23913000	02-23413451	http://www.good-group.com.tw/
A033	華信證券投資顧問股份有限公司 Hwashin Investment Consulting Co., Ltd.	100台北市青島東路7號5樓 5F., 7, Qingdao E. Rd., Taipei 100, Taiwan	02-23923988	02-77253896	http://www.hwashin.com.tw/
A034	承通證券投資顧問股份有限公司 Cheng-Tung Securities Investment Consulting Co., Ltd.	104 台北市八德路2段260號6樓 6F., 260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27813900	02-27722813	http://27813900.com/
A036	永誠國際證券投資顧問股份有限公司 Yong Cheng Securities Investment Consultant	104台北市中山北路1段145號6樓 6F., 145, Sec. 1, Zhongshan N. Rd., Taipei 104, Taiwan	02-25611115	02-25611084	http://www.88598.com.tw/
A041	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	220 新北市板橋區東門街30之2號2樓 2F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29689685	02-29658473	http://www.dcn.com.tw
A042	玉山證券投資顧問股份有限公司 E.SUN Investment Consulting, Co., Ltd.	105 台北市松山區民生東路3段156號6樓 6F., 156, Sec. 3, Minsheng E. Rd., Songshan Dist., Taipei 105, Taiwan	02-55569913	02-25453313	http://www.esunsec.com.tw
A043	亞洲證券投資顧問股份有限公司 Asia securities investment advisory-inc.	105 台北市松山區南京東路4段126號11樓A2 Rm. A2, 11F., 126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-25783777	02-25779495	http://www.asia-rich.com.tw/
A044	倫元證券投資顧問股份有限公司 E-invest Security Investment Consultant Co., Ltd.	100 台北市中正區青島東路7號6樓 6F., 7, Qingdao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23219933	02-23927062	http://www.e-invest.com.tw/main/
A045	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220 新北市板橋區東門街30之2號9樓 9F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29601066	02-29657707	http://www.dcn.com.tw
A046	聚揚證券投資顧問股份有限公司 Ever Young Led.	104 台北市中山區松江路315號2樓 2F., 315, Songjiang Rd., Zhongshan Dist., Taipei 104, Taiwan	02-25066808	02-25065018	http://everyyoung88.com.tw/
A047	第一金證券股份有限公司 First Securities Inc.	104 台北市長安東路一段22號4樓 4F., 22, Sec. 1, Chang'an E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-25636262	02-25635713	http://www.flsi.com.tw/
A049	高欣證券投資顧問股份有限公司 Securities Investment Consulting Co., Ltd.	104 台北市中山區復興北路150號7樓 7F., 150, Fuxing N. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27171000	02-27150077	http://www.ks5567.com.tw/public/video_list.php
A050	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路4段236號3樓 3F, 236, Sec. 4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw/
A051	君安證券投資顧問股份有限公司 Richers securities investment consulting co.ltd.	104 台北市中山區松江路318號7樓 7, 318, Songjiang Rd., Zhongshan Dist., Taipei 104, Taiwan	02-77018898	02-77020599	http://www.richers.com.tw/
L001	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.yuanta.com

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L002	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號地下1樓 B1, 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
L003	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路1段2號6樓 6F., 2, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
M008	康和期貨經理事業股份有限公司 Concord Managed Futures Co., Ltd.	110 台北市基隆路1段176號14樓 14F., 176, Sec. 1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	http://www.concordfutures.com.tw/FM/
M018	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路1段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
M020	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100 台北市重慶南路1段2號8樓 8F., 2, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894228	http://www.spf.com.tw
M022	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
M023	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104 台北市南京東路2段111號4樓 4F., 111, Sec. 2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw/
M025	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號地下1樓 B1, 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
M028	元富期貨股份有限公司 Master Link Futures Corp.	110 台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
T002	復華證券投資信託股份有限公司 Fuh Hwa Securities Investment Trust Co., Ltd.	104 台北市八德路2段308號8樓 8F., 308, Sec. 2, Bade Rd., Taipei, Taiwan	02-81616800	02-87728000	www.fhtrust.com.tw/
T003	國泰證券投資信託股份有限公司 Cathay Securities Investment Trust Co., Ltd.	106 台北市大安區敦化南路二段39號4樓 4F., 39, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-27008399	02-23269633	http://www.cathaysite.com.tw/
T004	元大證券投資信託股份有限公司 Yuantan Securities Investment Trust Co., Ltd.	104 台北市中山區南京東路3段225號6樓 6F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27175555	02- 27190951	http://www.yuantafunds.com/
T008	新光證券投資信託股份有限公司 Shin Kong Investment Trust Co., Ltd.	104 台北市南京東路2段123號12樓 12F., 123, Sec. 2, Nanking E. Rd., Taipei 104, Taiwan	02-25071123	02-25077600	http://www.skit.com.tw/
T010	統一證券投資信託股份有限公司 Uni-President Assets Management Corp.	105 台北市東興路8號8樓 8F., 8 Dongsing Rd., Taipei 105, Taiwan	02-27478388	02-27478129	http://www.ezmoney.com.tw/
T011	永豐證券投資信託股份有限公司 Copyright by SinoPac Securities Investment Trust Co., Ltd.	100 台北市博愛路17號13樓 13F., 17, Bo'ai Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23618110	02-23617069	http://sitc.sinopac.com
T014	康和期貨經理事業股份有限公司 Concord Managed Futures Co., Ltd.	110 台北市基隆路1段176號14樓 14F., 176, Sec. 1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	http://fm.concordfutures.com.tw
T015	富邦證券投資信託股份有限公司 Fubon Asset Management Co., Ltd.	105 台北市敦化南路1段108號8樓 8F., 108, Sec. 1, Dunhua S. Rd., Songshan Dist., Taipei 105, Taiwan	02-87716688	02-87716788	https://www.fubon.com
T016	華頓證券投資信託股份有限公司 Paradigm Asset Management Co., Ltd.	104 台北市民權東路3段6號5樓 5F., 6, Sec. 3, Minquan E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-21756969	02-25019868	http://www.paradigm-fund.com/
T017	群益證券投資信託股份有限公司 Capital Investment Trust Corporation	106 台北市大安區敦化南路二段69號15樓 15F., 69, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27067688	02-27543804	https://www.capitalfund.com.tw/

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