



# CNFA

## 2007 ANNUAL REPORT

# 96

# 九十六年度年報

2007 ANNUAL REPORT

## 目 錄

## Content

■ 壹、序 言 .....	02
<b>I. Preface .....</b>	<b>38</b>
■ 貳、公會簡介.....	03
<b>II. Introduction .....</b>	<b>39</b>
■ 參、組織系統.....	04
<b>III. Organizational Structure .....</b>	<b>40</b>
■ 肆、會務報導.....	11
<b>IV. 2007 Highlights.....</b>	<b>50</b>
■ 伍、財務報告.....	31
<b>V. Financial Reports.....</b>	<b>70</b>
■ 陸、大事紀要.....	33
<b>VI. Chronicle.....</b>	<b>72</b>
■ 柒、會員名錄.....	78
<b>VII. Directory of Members.....</b>	<b>78</b>

# 壹、序言

在96年6月的會員大會中，感謝所有會員代表及本會理事們給予的支持，選任本人接掌中華民國期貨業商業同業公會第二屆理事長之職。在期貨市場發展面臨轉折的關鍵年，接下此職，深感任重道遠。為不負眾望之所託，務期在理事長任內，殫精竭慮，為業界謀求最大及最佳之經營利基與環境。

期貨公會在前任各理事長任內，業已樹立良好的基礎，各項會務工作運作順暢，對於會員服務已有一定之口碑。去年度，在例行的會務工作外，最值得一提的就是公會同仁協助主管機關，規劃建制了期貨信託事業，為期貨服務事業再度添加一塊新的版圖。

早在95年底起，公會即成立了「期貨信託事業工作小組」，進行研議期貨信託事業開放之可行性。96年，當主管機關交付重責，要求公會協助進行期貨信託事業各項事務之規劃，會務同仁立即展開了相關作業。從期貨信託事業申設、開業與入會、管理，期貨信託基金申請、管理、銷售，以及相關的自律規範，一應俱全。這件浩大的工程，在公會同仁的努力下，不負主管機關及業者的期望，如期完成，讓期貨信託事業成為眾所矚目的新焦點。在此，除了要感謝主管機關如此明快的開放政策外，也要感謝所有投入這項規劃工作的會務同仁，以及參與工作小組的各界人士。

在所有理監事的支持下，96年度底公會完成了購置會所的大事，讓期貨公會擁有永久的辦公處所。這要感謝所有會員公司多年來的支

持與協助，讓公會得以累積足夠的購屋基金，完成了這項歷史大業。此舉將使會務人員有更好的工作環境，也希望在新的辦公處所，繼續秉持最高品質，為所有會員公司做最完善與周全的服務。

展望未來，期貨公會將針對期貨市場的交易稅、兩岸及國際化的業務，以及一些業者企盼開放或鬆綁的法規與制度，加強與業者進行研議、達成共識，並提出可行性的建議，積極與主管機關進行溝通，以期打造更符合期貨業現況與國際潮流及趨勢的經營環境與生存利基。



中華民國期貨業商業同業公會  
理事長

A handwritten signature in black ink, appearing to be '黃國新' (Huang Guoxin).

## 貳、公會簡介

### 一、公會沿革

本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，以及分佈區域之擴大，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。



本會榮獲內政部95年度工商團體評鑑甲等，由范副秘書長加麟（右二）代表領獎

### 二、設立宗旨

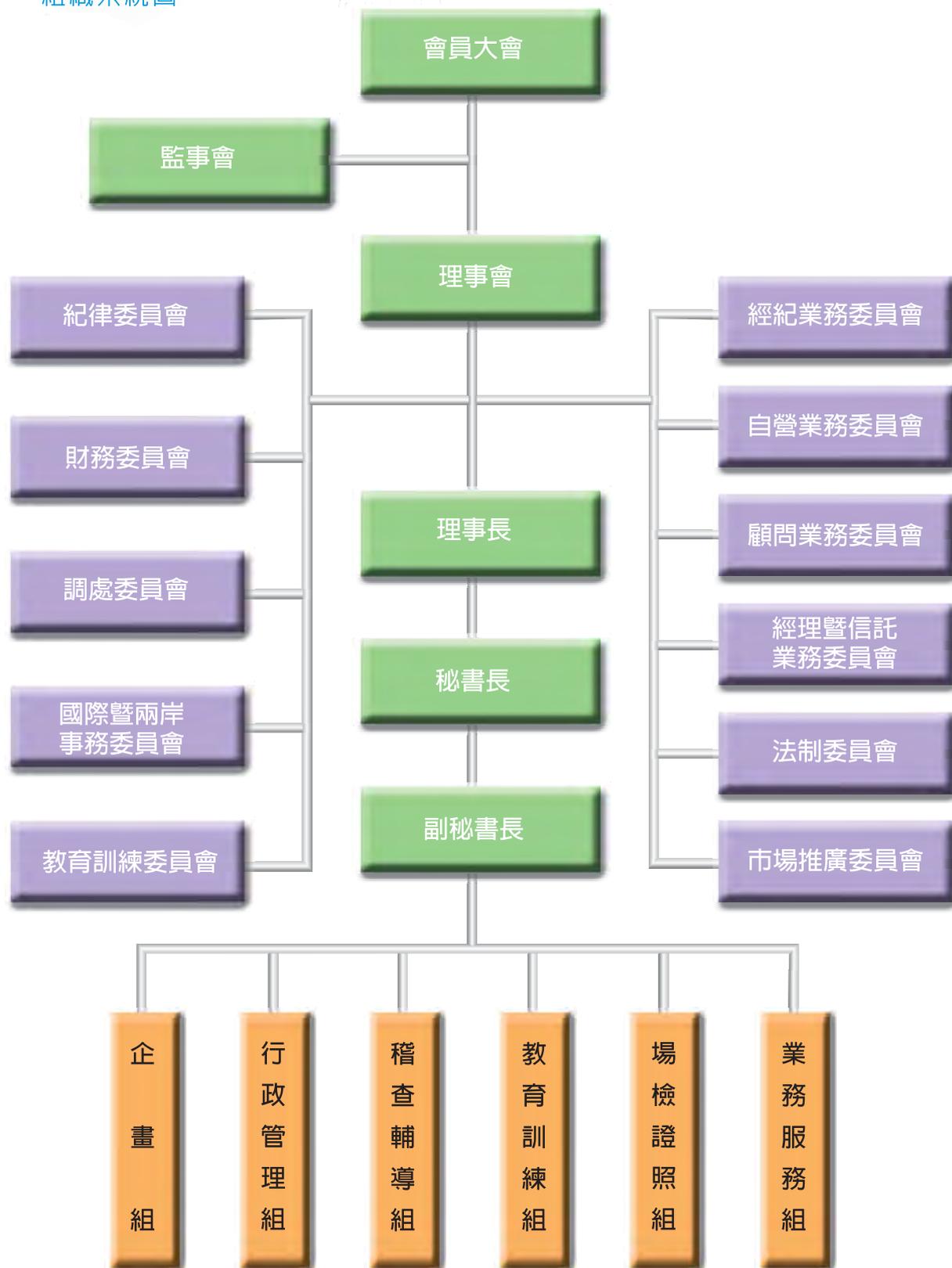
本會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

### 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。

# 參、組織系統

## 一、組織系統圖



## 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371位。

■成員：由會員代表組成。至96年12月31日止，本會會員公司計有182家：

- 1.專營期貨商19家
- 2.兼營期貨商20家
- 3.期貨交易輔助人62家
- 4.國外複委託商4家
- 5.期貨自營業務39家
- 6.期貨經理業務11家
- 7.期貨顧問業務27家

■執掌：為本會最高決策機關。

■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，亦是本會決策最高執行單位。並由理事就常務理事中選舉 1 人為理事長，對外代表本會。

■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.議決本會相關規章之制訂及修正案。
- 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.議決處分未依規定繳納會費之會員。
- 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；並由常務監事互選其中1人為監事會召集人。

■執掌：為本會最高監察單位。

■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狀況。
- 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。



(四)、委員會：設有經紀業務、自營業務、顧問業務、經理暨信託業務、法制、市場推廣、紀律、教育訓練、財務、調處、國際暨兩岸事務等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、協調及改進事項。
- (2) 有關期貨交易人服務事項。
- (3) 有關編擬年度工作計劃事項。
- (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劃事項。
- (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劃事項。
- (4) 其他有關期貨顧問業務之處理事項。

●經理暨信託業務委員會

- (1) 有關期貨經理或信託業務之發展、聯繫、協調、改進事項。
- (2) 有關委任人或受益人服務事項。
- (3) 有關編擬年度工作計劃事項。
- (4) 其他有關期貨經理或信託業務之處理事項。

●法制委員會

- (1) 有關各項業務之相關法令、規章之蒐集與整理事項。
- (2) 有關新種業務之相關法令、規章之研究與分析事項。
- (3) 有關會員及投資人相關規章、契約之諮詢與協助事項。
- (4) 有關國內外相關行業之法令、規章、契約之蒐集與比較事項。
- (5) 協助其他各委員會有關法制事宜與專案事項之研究。

●市場推廣委員會

- (1) 有關市場推廣方案之研議、擬訂及執行。
- (2) 有關國內外活動聯繫、協調及交流事項。
- (3) 其他有關市場推廣及公共關係之處理事項。

#### ● 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。
- (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。

#### ● 調處委員會

- (1) 調處會員間因期貨交易所生之爭議。
- (2) 調處會員與交易人或委任人，因期貨相關業務所生之爭議。
- (3) 調處會員、期貨交易所、期貨結算機構，因期貨交易或結算所生之爭議。

#### ● 國際暨兩岸事務委員會

- (1) 有關期貨國際暨兩岸業務之發展、聯繫、協調、改進事項。
- (2) 有關編擬年度工作計劃事項。
- (3) 其他有關期貨國際暨兩岸業務之處理事項。

(五)、**會務人員**：分為業務服務、場檢證照、教育訓練、稽查輔導、行政管理、企畫等六組，由祕書長、副祕書長統籌領導。茲就各組職掌分述如下：

#### ● 業務服務組

- (1) 處理與主管機關、交易所、結算機關及會員公司之聯繫、協調事宜。
- (2) 蒐集業界資料，掌握市場動態。
- (3) 處理公共關係事宜。
- (4) 籌備會員大會、理監事會議及委員會議等之開會事宜。
- (5) 擔任各委員會之執行秘書。
- (6) 編輯、出版年報、期貨相關手冊及刊物。
- (7) 提供會員公司期貨法規之諮詢服務。

- (8) 擬定自律公約及敦促會員公司及其從業人員發揮自律精神，遵守規範。
- (9) 辦理國際期貨組織之聯繫及交流事宜。
- (10) 辦理跨國性期貨組織策略聯盟事宜。
- (11) 協助會員公司規劃交易流程及建立內控管制點。
- (12) 統計及彙整會員公司之交易量。

● 場檢證照組

- (1) 辦理會員公司開業前場地勘查作業。
- (2) 辦理期貨業務員證照核發事宜。
- (3) 辦理期貨業務員基本資料之建檔及更新作業。
- (4) 處理會員入會、退會、頒發會員證書、會員代表登錄及變更等會籍管理作業。

● 教育訓練組

- (1) 辦理期貨從業人員之在職訓練事宜。
- (2) 舉辦期貨交易講座、說明會等宣傳活動。
- (3) 辦理會員公司及其從業人員之聯誼或康樂活動。

● 稽查輔導組

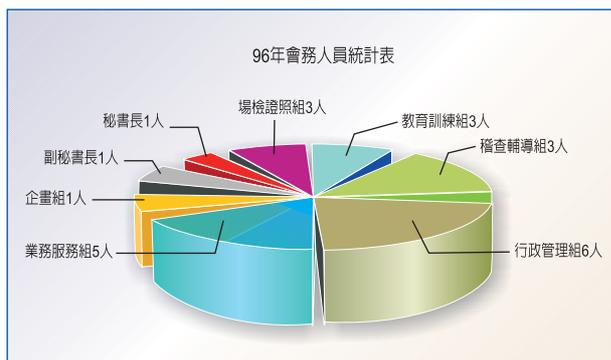
- (1) 辦理會員公司宣傳資料與廣告物之審查。
- (2) 辦理會員公司業務及財務之查察與輔導。
- (3) 辦理會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
- (4) 執行自律規定及主管機關交辦事項之稽查作業。

● 行政管理組

- (1) 辦理帳務處理、預決算等作業。
- (2) 辦理資金調度、財務分析及出納作業。
- (3) 規劃、建置及維護本會網站及網路系統。
- (4) 辦理資訊設備之採購、維護及管理作業。
- (5) 規劃、建置及維護會員服務系統及相關資料庫。
- (6) 處理人事、行政、文書、總務等作業。
- (7) 規劃及管理資訊閱覽室。

● 企畫組

- (1) 進行新種業務之可行性研究與分析。
- (2) 進行期貨相關專題之研究。
- (3) 聯繫、跟催委外專案研究之進度。
- (4) 辦理專題研究、公聽會及研討會之發表與開會事宜。
- (5) 配合時事，研擬專案性之文宣活動。
- (6) 蒐集及分析國際期貨之相關資訊。
- (7) 辦理國際期貨組織之聯繫及交流事宜。



### 三、理事及監事名錄

序號	公會職稱	姓名	會員名稱	職稱
1	理事長	賀鳴珩	寶來曼氏期貨股份有限公司	董事長
2	常務理事	任俊行	大華期貨股份有限公司	總經理
3	常務理事	何富雄	元大期貨股份有限公司	董事長
4	常務理事	柳健昌	元富期貨股份有限公司	總經理
5	常務理事	孫天山	群益期貨股份有限公司	董事長
6	常務理事	黃正雄	日盛期貨經理股份有限公司	總經理
7	常務理事	黃奕銘	統一期貨股份有限公司	總經理
8	常務理事	鄧序鵬	康和期貨股份有限公司	董事
9	常務理事	盧立正	永豐期貨股份有限公司	總經理
10	常務理事	糜以雍	中信期貨股份有限公司	董事長
11	常務理事	簡信男	華南期貨經紀股份有限公司	董事長
12	理事	王鎬娟	太平洋證券股份有限公司	協理
13	理事	王冲青	美商愛德盟期貨經紀股份有限公司台灣分公司	總經理
14	理事	史 綱	富邦期貨股份有限公司	董事長
15	理事	江偉源	永豐期貨股份有限公司	董事長
16	理事	吳建華	台証期貨經理股份有限公司	總經理
17	理事	呂常愷	澳帝華期貨股份有限公司	決策長
18	理事	姝元忠	元大期貨股份有限公司	總經理
19	理事	林士喬	新壽綜合證券股份有限公司	總經理
20	理事	林明輝	日盛期貨股份有限公司	董事長
21	理事	高子鈞	寶來曼氏期貨股份有限公司	自營部 總經理
22	理事	高山燕	香港商新際期貨經紀股份有限公司台灣分公司	總經理
23	理事	高政煌	大眾綜合證券股份有限公司	副總經理
24	理事	張禮賢	國票期貨經紀股份有限公司	總經理
25	理事	許瑞立	安泰證券股份有限公司	總經理
26	理事	陳添富	永全證券股份有限公司	總經理
27	理事	黃佩儀	國泰期貨股份有限公司	協理
28	理事	葉一豐	新加坡商明富環球期貨股份有限公司台灣分公司	總經理
29	理事	劉威廉	台灣工銀證券股份有限公司	新金部 副總經理
30	理事	劉懋楠	金鼎綜合證券股份有限公司	自營部 副總經理
31	理事	滕青華	兆豐期貨股份有限公司	總經理
32	理事	鄭質榮	新加坡商華大期貨經紀有限公司台灣分公司	總經理
33	理事	謝志忠	日商聯貿期貨經紀股份有限公司台北分公司	副總經理
1	監事會召集人	詹益青	國泰期貨股份有限公司	副總經理
2	常務監事	張雅斐	台証期貨股份有限公司	總經理
3	常務監事	楊金源	兆豐期貨股份有限公司	董事長特助
4	監事	方旭郎	群益期貨股份有限公司	總經理
5	監事	宋肖瑾	元大期貨股份有限公司	資深副總經理
6	監事	李文柱	康和綜合證券股份有限公司	總經理
7	監事	李志華	大華期貨經理事業股份有限公司	董事長
8	監事	侯青志	寶來曼氏期貨股份有限公司	顧問事業 總經理
9	監事	陳 立	元富證券股份有限公司	副總經理
10	監事	陳瑞珽	中信期貨股份有限公司	總經理
11	監事	蔡銘源	華南永昌綜合證券股份有限公司	副總經理

註：以上資料以96.12.31日為準，依姓氏筆劃排序。

# 肆、會務報導

## 一、政府經濟政策與期貨交易法令之協助推行、研議事項

### 1.關於政府經濟政策協助推行、研議事項

#### ●工商普查：

本會配合行政院主計處辦理95年工商及服務業普查並於96年8月辦理完竣，共統計42家。本普查目的為蒐集臺閩地區工商及服務業經營概況、資源分布、資本運用、生產結構、產銷變動等經濟活動之基本資料，以提供政府規劃工商及服務業發展計畫，釐訂有關產業發展策略之參據。

### 2.關於期貨交易法令之協助推行、研議事項

#### ●訂定範本：

- (1) 「期貨信託事業會計制度」範本。
- (2) 「期貨信託基金會計制度」範本。
- (3) 「期貨信託基金信託契約」範本。
- (4) 「期貨信託基金銷售契約」範本。
- (5) 「期貨信託基金淨資產價值計算標準」。
- (6) 「期貨信託事業全權委託其他專業機構運用期貨信託基金委任契約」範本。
- (7) 「期貨商受託國內當日沖銷交易自律規則」範本。
- (8) 「國內當日沖銷交易風險預告同意書」範本。
- (9) 「全權委託期貨交易開戶暨受託契約」英文譯本。
- (10) 「期貨交易全權委任契約」英文譯本。
- (11) 「保管機構委任契約」英文譯本。
- (12) 「全權委託期貨交易三方權義協定書」英文譯本。
- (13) 「全權委託期貨交易說明書」英文譯本。
- (14) 「期貨商防制洗錢注意事項範本」英文譯本。
- (15) 「期貨商擔任境外華僑及外國人之代理人代理契約」中、英參考本。
- (16) 「境外華僑及外國人從事國內期貨交易辦理開戶、相關權利行使、結匯申請及繳納稅捐之授權書」中、英參考本。
- (17) 「境外華僑及外國人僅從事期貨交易且未辦理實務交割確認聲明書」中、英參考本。
- (18) 「期貨商代理境外華僑及外國人申請統一證號授權書」中、英參考本。
- (19) 「期貨商代理境外華僑及外國人辦理國內期貨交易開戶聲明書」中、英參考本。

● 研議事項：

- (1) 研議期貨商受託從事國外期貨交易是否仍需註記「GLOBEX」等字樣案。
- (2) 研議開放期貨商得兼營證券經紀及自營業務案。
- (3) 建請主管機關開放期貨商接受特定法人授權委託CD單（Careful Discretion Order）案。
- (4) 建請主管機關放寬期貨經理事業運用委任資金操作國外期貨交易標的之比例限制案。
- (5) 建請主管機關開放期貨業與「銀行、證券商及保險公司等機構」合法進行合作推廣他業商品或提供相關服務案。
- (6) 建請主管機關開放期貨經理事業從事期交所股票選擇權契約交易時，可參與實物交割取得標的證券案。
- (7) 建請主管機關開放新加坡交易所之摩根台指期貨當日沖銷交易得減收保證金案。
- (8) 建請主管機關開放本國專營期貨商之操作範圍與限額，將上櫃股票列入可交易之標的範圍。
- (9) 建議期交所暫緩研議開放境外外資以有價證券抵繳保證金案。
- (10) 建議期交所儘速開放盤中「股價指數類期貨契約多空部位組合之保證金計收作業」案。
- (11) 建議期交所提昇接受委託、撮合及成交揭露速度並訂定改善時間表案。
- (12) 建議期交所就「期貨商品跨月價差委託機制規劃案」研擬危機處理機制並補助期貨商端資訊系統更換費用案。
- (13) 建議期交所修改臺指選擇權之履約價格間距及契約序列案。
- (14) 建議期交所開放期貨交易當日沖銷委託保證金減半案。
- (15) 建議期交所儘速開放期貨市場採用電子式專屬線路下單方式，並且不區分國內外，皆不須採用CA憑證，以期擴大我國期貨市場之參與案。
- (16) 建議期交所與資訊廠商連線頻寬增加1024K之選項，以減少資訊及成交揭露時間延滯情形案。
- (17) 建議期交所就 Spread、SPAN、Day Trade 等系統更換，能通盤考量期貨商資訊系統改版完成情形，重新考量實施交易新制度之時程案。
- (18) 建議期交所針對結算會員以現金方式存放於結算保證金專戶內之金額全數給予利息案。
- (19) 建議期交所就期貨交易人電話語音出金，可免除輸入銀行代碼及銀行帳號案。
- (20) 建議期交所開放期貨商應禁止盤中與其他期貨業者下單網頁連結之規定案。
- (21) 建議期交所放寬綜合帳戶下單一交易人之新台幣餘額限制案。

## 二、業務之研究暨發展事項

### 1. 專題委外研究案

專題研究案與委外研究案	
研究主題	強化期貨公會查核與執行自律機制之研究
研究案主持人	環球高蓋茨法律事務所 符玉章律師 高佩辰律師 陳玉華經理 張如雯副理
研究目的	為強化本會查核與自律功能，係就一、國內自律團體之職權、編制、監管範圍及自律程序；二、美國自律組織之組織架構、查核程序、紛爭解決機制、紀律程序、資訊揭露系統等；三、比對我國及美國期貨公會的組織定位、查核對象、紀律程序以及申覆機制等內容提出建議。

專題研究案與委外研究案	
研究主題	期貨商承作店頭衍生性商品之可行性種類及配套措施方案研究
研究案主持人	國立臺灣大學 李存修教授
研究目的	研究目的針對期貨商目前所面臨經營的困境，本會積極尋求突破，因此就台灣店頭衍生性商品市場之現況，探討期貨商經營的可行性，以及具發展潛力的商品類型及經營型態，另外也將從風險控管、人才、資本等方面來探討其應具備的條件。

專題研究案與委外研究案	
研究主題	期貨信託基金風險控管機制之研究
研究案主持人	環球高蓋茨法律事務所 符玉章律師
研究目的	針對期貨信託基金之各類型風險評量方式、參數及評量標準，以自律之方式進行規範；另，在公開募集期貨信託基金部分，業者尚應於其風險控管機制中配合該法規之投資標的分散、保證金及權利金運用上限、店頭市場商品交易之總風險暴露等限制規範；並藉由國際金融市場上交易衍生性商品之實務運作情況及面臨的風險研究，具體歸納整理，以建置我國期貨信託基金之風險控管機制。

## 2. 研討會 / 座談會

- 「日經225期貨說明會」：為加深台灣交易人對「日經225」的認識，本會協助日本大阪證券交易所就商品介紹、操作技巧及相關資訊於台北及台中各舉辦乙場說明會，希望透過專業人士的說明增加投資人獲利空間。(3.1、3.2)。
- 「期貨經理事業拓展法人業務研討會」：為尋求期貨經理事業在法人業務上之突破，本會特邀請各期貨經理公司高階主管，就實務困難、利基點，集思廣益，一展漂亮羽毛。(3.8)
- 「期貨商杜絕非法代操實務研討會」：期貨業界違法代客操作事件層出不窮，屢屢造成客戶、期貨公司及其從業人員的重大損害。為避免類似重大弊案再度發生，邀請各公司實際負責受託買賣及內部稽核作業之主管，針對如何加強防治及如何導正等議題進行研討，期促進期貨市場良性發展。(3.9、3.10)
- 「期貨商防制洗錢宣導說明會」：為強化期貨業者對防制洗錢作業之觀念，並配合行政院金融監督管理委員會政令，本會與臺灣期貨交易所共同舉辦此說明會，希冀藉此進而達到防杜不法洗錢之情事。(3.28、4.4、4.11、4.19、4.25、5.2、5.10、5.17、5.25)



- 「期貨基金實務管理經驗講座」：為協助有志於成立期貨信託事業之業者，充分瞭解國際間期貨基金之運作實務，本會力邀霸菱集團旗下基金公司-美國凱萬基金資深投資主管Jerry Webman博士來台就國外基金之經營及管理與我國業者分享經驗。（4.17）



- 「期貨商高階經營管理實務研討會」：為強化公司治理之風險認知，邀請期貨商董事長、總經理及本會理、監事分別就期貨市場發展前景與趨勢、高階管理層如何防範非法代操與洗錢防制以及高階主管對公司治理應有的觀念進行研討。（4.27、4.28）



- 金融期貨交易策略CME經驗分享研討會：為增進金融專業人員對國際金融商品與國外期貨交易所交流經驗，本會與芝加哥商業交易所共同舉辦本研討會。會中就擬訂指數期貨及選擇權之短中長期策略、避險策略及程式交易概論暨實際案例進行說明。（5.25）



- 2007與大師有約-如何做個快樂的期貨交易人：本會特別邀請具有近30年操盤經驗的專家—新加坡專業交易員郭福棠先生來台，以期貨交易員的自我養成、操盤人之心理修煉與職涯認知、如何抒解壓力、如何擬定交易計畫與操作秘訣、操盤人的特質與成功之道等五大議題做專題演講，提供給臺灣期貨交易人參考。（6.6）



- **期貨商行動通訊設備控管機制暨從業人員廣告行為宣導說明會**：為宣導期貨商受雇人利用財金網站聊天室或個人部落格發表手續費相關資訊或對個別期貨契約走勢看法，恐涉及違反相關法令乙事，邀請期交所交易部專員周文玲、資訊部專員徐志政及本會稽查輔導組副組長杜月明就相關規定說明。（6.13）



- **「證投顧兼營期顧業務法規遵循與案例研討」座談會**：由於證顧業者與期顧業者之經營行態不同，為加深證顧業者與從業人員對期顧法規之了解，就經營期顧業務所需注意之規範及案例進行研討，並就本會執行業務查核與輔導時，實務上證顧業者常見之10大缺失提出說明。（7.2）



- **「2007國際研討會」**：本會與期交所、台灣財務工程學會共同邀集來自國外知名金融專家與學者，與國內產學界進行專題演講與實務經驗交流，不僅揭示國際市場之趨勢、提供期交所如何與世界接軌之建言，同時為亞洲地區市場合作之可能性拋磚引玉外，並就公司治理與金融市場、法人機構與期貨市場進行座談。（7.16）



- **「期貨信託事業暨期貨信託基金相關法規要點說明會」**：為協助有意設立期貨信託事業之業者，瞭解期貨信託事業相關子法的奧義，本會特別邀請負責起草的證期局第七組長官，就期貨信託事業設置標準、期貨信託事業管理規則、期貨信託基金管理辦法、期貨信託事業募集期貨信託基金公開說明書應行記載事項準則進行說明。（7.24）



- 「期貨事業未來發展的問題與挑戰」座談會：為了解業者對即將開放的期貨信託事業之加入意願、探討未來發展方向，以及亟需公會協助之處，就期貨事業的制度面、經營面、人才面以及如何與國際接軌等議題進行探討。(8.9)



- 2007年與大師有約-「結合證券、期貨及選擇權 掌握投資契機」：近年來衍生性商品市場面臨前所未有的挑戰，尤其市場的整合及交易所組織的變革，使得國際間的加強合作，以及尋求策略聯盟等，都是刻不容緩的課題。當全球交易所國際化、大型化趨勢方興未艾之際，本會與期交所共同邀請韓國交易所總經理來台，就韓國期貨選擇權市場發展經驗做專題演講並就期貨業未來發展之道進行座談。(8.10)



- 2007與大師有約-第四季台股投資契機專題演講與座談會：本會特別邀請萬寶投顧朱成志社長、新光投信賴冠吉協理及寶來證券陳凌鶴總經理，以結合證券、期貨及選擇權等金融工具達到獲利目標為主軸與談，同時更一致強調「風險控管」才是奠定獲利的基石。(9.3)



- 「財務工程在交易策略之應用」研討會：投資人追求絕對報酬的趨勢促使財務工程在金融交易的角色越益重要，為因應市場需求，本會邀請鉅融資本管理公司投資長牛維方博士就定價模型最重要三件事及管理投資組合的三大原則進行探討。(9.28)



- 「衍生性商品基金風險管理國際研討會」：期貨信託基金其操作範圍擴及衍生性商品，不論在評價、交易結算以及風險控管等層面均較現有投資理財工具為複雜，為順利推展期貨信託事業，故引進國外先進管理經驗，使台灣財務工程與風險管理技術與世界接軌，力邀德意志銀行顧問Wolfgang Hardle與德國商業銀行風險管理最高主管Ludger Overbeck擔任主講，拓展台灣金融產業之國際視野。（10.1、10.2）



- 「第3屆 FIA亞洲衍生性商品會議」：會議內容分為專題演講及業者展覽兩部分。專題演講部分與談人將與聽眾分享如何在台灣開拓衍生性商品業務、OTC商品如何在期交所掛牌交易、亞洲市場的發展現況等議題；業者展覽部分本會為鼓勵會員積極參與，於規定日期前報名參展之會員公司，每一攤位公會補助新台幣10萬元正。（10.10-10.12）



- 「2007歐美期貨信託事業發展經驗論壇」：配合即將開放的期貨信託事業，此次特地邀請歐美國家著名之期貨基金公司及經營績效卓著之CTA來台，分享其成功經驗，為我國期貨信託事業暖身。（11.15、11.16）



- 「財務會計準則第39號公報」宣導說明會：配合金管會政令並使會員公司對本公報能深入了解，增加國際競爭力，本會邀請安侯建業會計師事務所方燕玲會計師主講股份基礎給付之會計處理準則，及新舊制度轉換間之因應措施。（11.22）



- 「第23屆期貨暨選擇權展覽會」：本項活動每年秋季於芝加哥舉辦，廣受全球期貨業者矚目。本會協助期貨業者參展，除汲取他國經驗外，並希藉此擴大我國期貨市場參與國際市場的機會，進一步開拓國際業務。（11.23-12.2）



- 「KPMG期貨信託會計制度範本」公聽會：為配合期貨信託事業之設立，本會委外制定期貨信託會計制度範本，期能滿足業者所需並符合相關規定，邀請安侯建業會計師事務所方燕玲及呂莉莉會計師就期貨信託事業會計制度範本、期貨信託基金會會計制度範本、期貨信託基金淨資產價值計算標準說明與溝通。（12.13）



### 三、督促會員自律、共謀業務上改進事項

- 期貨顧問事業查察輔導事項

本會96年度針對期貨顧問事業之業務及內部稽核作業實施查察輔導工作，例行訪查期貨顧問事業共計23家，專案查核期貨顧問事業20件。其中違反本會「會員自律公約」，發函會員公司要求改善者7件；警告者9件；科違約金者10件；敦請會員自行處分者7件。

- 其他違規事項

會員公司96年度違反本會「會員自律公約」，經本會發函會員公司要求改善者3件；敦請會員自行處分者2件。

- 因應期貨信託事業開放，本會增修訂各項自律規範如下：

項次	內 容
1	公會章程
2	公會會員自律公約
3	公會自律保證金設置辦法
4	會費繳納辦法

項次	內 容
5	委員會組織規則
6	期貨交易紛爭調處辦法
7	會員營業處所場地及設備標準
8	期貨信託事業內部控制制度標準規範
9	會員負責人及業務員登記事項作業要點
10	期貨信託事業帳表憑證保存年限表
11	期貨信託事業公司年度財務報告審核項目表
12	期貨信託基金銷售機構暨人員登記作業
13	期貨信託事業負責人與員工及其關係人買賣自己公司基金處理準則
14	期貨信託事業暨期貨信託基金定期應申報事項一覽表
15	期貨信託事業管理規則第九條申報事項格式
16	期貨信託事業公司治理實務守則
17	期貨信託基金宣傳資料及廣告實施細則
18	業務人員職前及在職訓練課程規劃（職前訓練由證基會負責）
19	期貨信託事業防制洗錢注意事項範本（中英文版）
20	期貨信託事業暨期貨信託基金會計制度範本（含事業體及基金）
21	期貨信託基金交易/投資分析報告、決定書、執行記錄及檢討報告書面格式
22	期貨信託基金月報申報及月報、年報審查表格式
23	期貨信託基金電子交易作業規範及約定書範本
24	期貨信託基金之募集、發行、銷售及申購買回作業程序
25	受益憑證事務處理規則
26	期貨信託基金銷售機構及內部控制制度審查表
27	期貨信託基金銷售機構終止銷售業務申報單
28	會員宣傳資料及廣告管理辦法
29	期貨信託事業辦理投資人以信用卡申購基金應行注意事項
30	期貨信託基金審查委員會設置要點及審查表
31	公會審查期貨信託基金之作業程序及審查表
32	期貨信託基金全權委託其他專業機構運用期貨信託基金委任契約範本
33	期貨信託基金淨資產價值之計算標準
34	期貨信託基金風險評量方式、參數及標準
35	期貨信託基金銷售契約範本

項次	內 容
36	期貨信託基金信託契約範本
37	不同銷售管道之風險預告作業
38	期貨信託基金風險預告書應行記載事項及格式
39	期貨信託基金銷售契約應行記載事項
40	期貨信託基金資訊揭露平台建置事項（公開資訊網站建置事宜）

#### 四、教育訓練之辦理：

- 本會受行政院金融監督管理委員會證券期貨局指定，為期貨商、期貨顧問事業及期貨經理事業業務員在職訓練之主辦單位。依法令規定上述三項業務員，自登錄後每兩年應參加在職訓練乙次。96年度全省在職訓練共計201班次，受訓人次達12,612人。

#### ● 期貨商業務員

期貨業務員在職訓練，依登錄年資區分為初階班（登錄後第一次參訓者）、進階一（第二次參訓者）、進階二（第三次參訓者）及進階三（第四次參訓者）四類課程；依職能別另有內部稽核班及高階經理班，共計六類課程。

96年度共計辦理194班次，初階34班-2260人、進階(一)41班-2528人、進階(二)50班-3187人、進階(三)53班-3308人，高階經理4班-144人、內部稽核12班-751人。

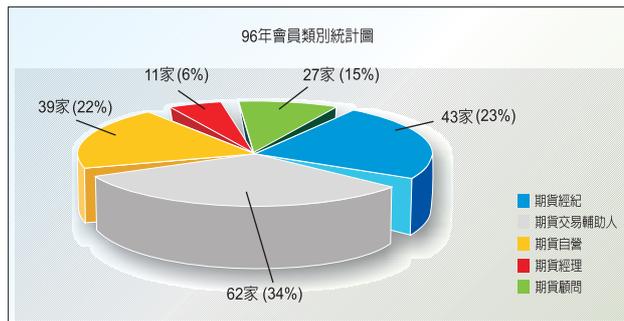




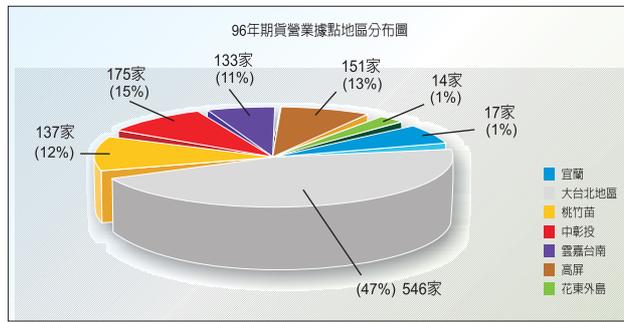
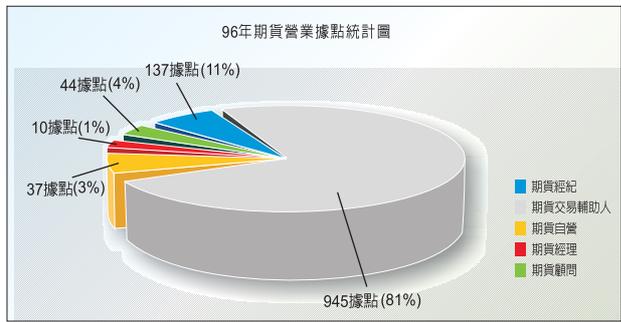
## 六、關於會員、會員代表、會員負責人及業務員基本資料之建立、登記事項

### 1. 關於會員及業務員基本資料之建立及登記事項

- 會員家數：共計182家，其中經營期貨經紀業務43家（23%）；期貨交易輔助人62家（34%）；期貨自營業務39家（22%）；期貨經理業務11家（6%）；期貨顧問業務27家（15%）。

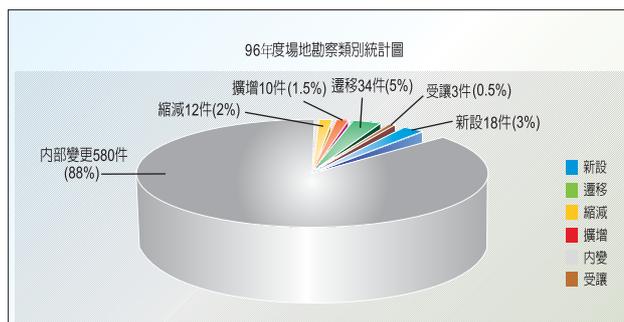
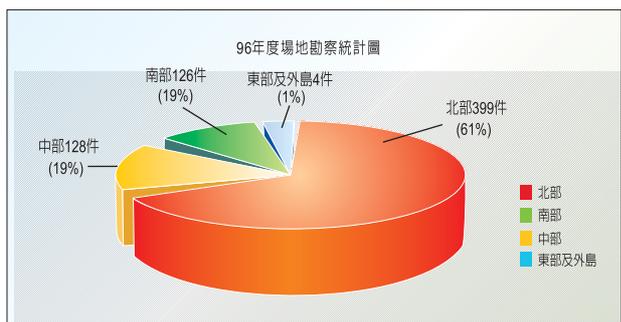


- 會員總分公司分支機構數：共計1,173家，其中經營期貨經紀業務137個營業據點（11%）；期貨交易輔助人945個營業據點（81%）；期貨自營業務37個營業據點（3%）；期貨經理業務10個營業據點（1%）；期貨顧問業務44個營業據點（4%）。



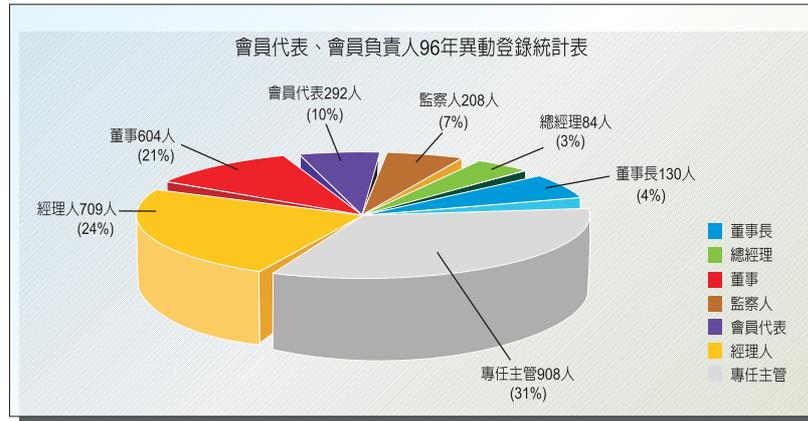
### ● 會員場地勘察

96年度共計657件場勘案(北部地區399件、中部地區128件、南部地區126件、東部地區3件、外島地區1件)，就其場勘案件分析，新設營業處所18件(3%)、遷移營業處所34件(5%)、縮減營業處所12件(2%)、擴增營業處所10件(1.5%)、營業處所內部配置變動580件(88%)、受讓營業處所3件(0.5%)。

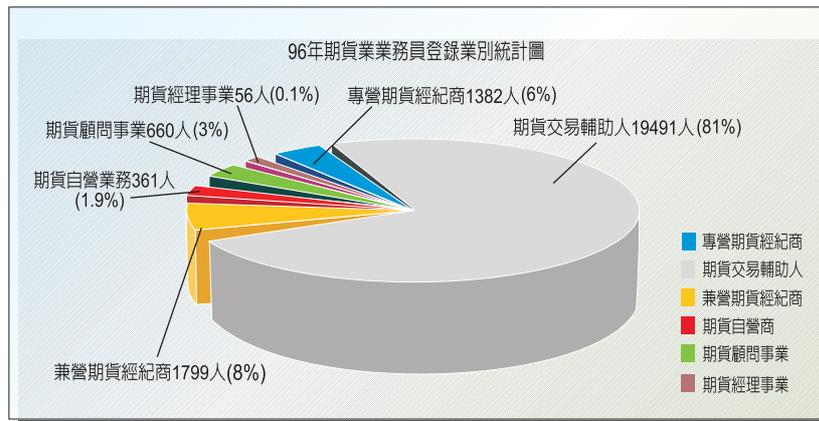


## 2. 會員委託證照之申請變更、換領及其他服務事項

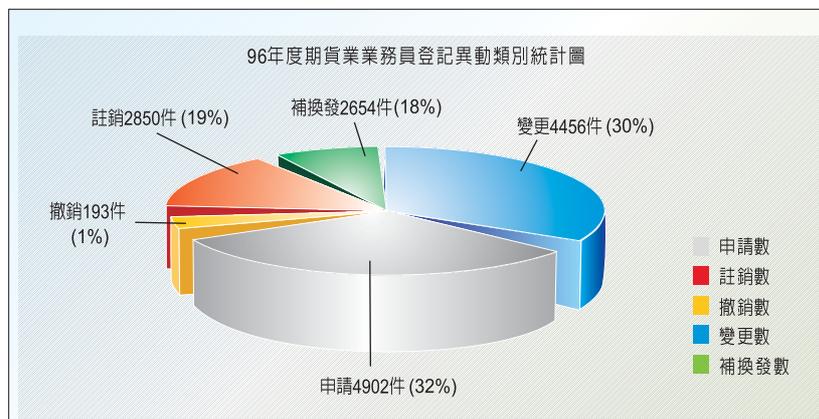
- 會員代表、會員負責人96年度於本會異動登錄共有2,935件，區分如下：



- 截至96年年底，共有23,749位期貨業業務員於本會登錄，登錄業別細分如下：



- 96年度共計受理15,055件會員業務員之登錄件，平均每月處理1,255件：

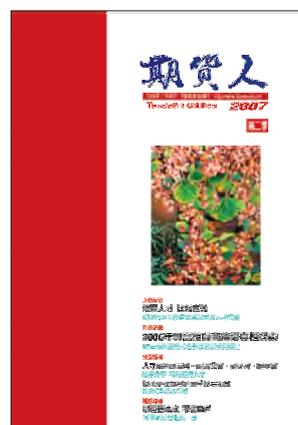


## 七、本會出版品

- **會訊**：每月出刊的公會會訊，報導最新會務動態、提供最新政令宣導、傳達最新市場消息，為業界了解公會、政令、業界動態之捷徑。



- **期貨人季刊**：秉持創刊使命，承續內容生動活潑的精神，分別依當季最新之議題進行報導之專業刊物，以提供業界一個專業知識與心得交流之專業刊物，同時為期貨市場發展留下歷史的見證與紀錄。



- **台灣期貨研究叢書**：係本會委外研究案及業界同儕撰寫之專題研究報告，提供予所有對期貨市場相關議題之探討有興趣者閱讀，以促進期貨市場之進步與提升業界素質。



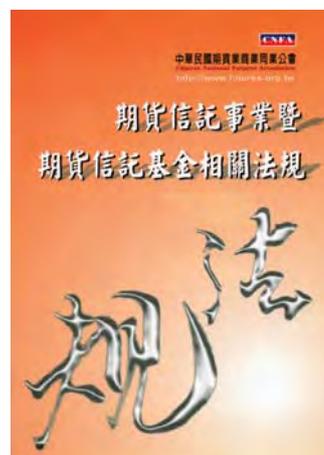
- **台灣期貨與衍生性商品學刊**：係本會針對期貨市場法令規章、管理制度之相關研究與探討、新金融商品之研究、分析或操作策略、期貨相關時事議題等相關專文集結而成之專業刊物，提供給所有對期貨市場有興趣者閱讀，分享期貨專業知識，以達到知識分享的目的。



- **期貨業從業人員職業道德手冊**：有感於近年來本土金融業界層出不窮的違規事件，並順應95年8月1日起，13種金融從業人員證照考試都將加考「職業道德」科目。本會特別編輯「期貨業從業人員職業道德手冊」以幫助全體從業人員了解個人在執行業務上的職責、避免業務執行不當，96年寄送發放3千多本，合計續予全省2萬5千多名業務員人手一冊。



- **期貨信託事業暨期貨信託基金相關法規小冊子**：為因應業者對期貨信託事業暨期貨信託基金相關法規之需求，本會特印製「期貨信託事業暨期貨信託基金相關法規」500本供業者索取。



## 八、交易人保護事項

- **宣導影片**：為了強化投資大眾對期貨的正確交易觀念、落實本會對期貨交易大眾教育宣導的宗旨，本會持續投入期貨市場的教育宣導，與臺灣期貨交易所共同出資，委託中華財經電視台製作全年26集「期貨贏家系列」期貨教育宣導節目並發行本系列光碟，分為理財會客室、選擇權能通、期貨好好玩、期貨紅不讓四片。



- **宣傳海報**：本會為保護合法經營者及投資人權益，製作精美海報並寄發給所有會員總分公司廣為張貼，以達宣導效果。



- **諮詢專線**：為保障交易人權益，本會設置諮詢專線 0800-457-588，提供交易人對期貨交易法令及相關制度進行諮詢。

## 九、活動報導

- 「2007期貨業徵才博覽會暨慶祝母親節慈善園遊會」：

本會結合為期貨同業提供徵才之機會、為弱勢團體盡一份回饋的心、與為慶祝母親節奉獻感恩之心等三項目的，假台北市政府前新仁愛路段舉辦慈善園遊會，當天公益所得全數歸屬參展之慈善團體，以增進弱勢團體之經費收入。

(5.13)



- 「期貨校園徵才」巡迴講座：

由本會主辦、15所大專院校畢業輔導組協辦，共歷時兩個月，累計參加學生達800多人次。本活動除向學生詳盡介紹我國期貨市場發展沿革、期貨業界現況與未來展望外，亦針對期貨業職缺及同學未來出路開放現場發問。藉由深耕校園奠定期貨業日後的競爭利基。

(3.13-5.21)



- 登山健行活動：

藉由發起「登山健行活動」以促進期貨及票券公會各會員互動交流，從業人員及眷屬超過220人參與此次戶外踏青，登山路線由木柵動物園至指南宮，在芬多精的眷顧中及本會準備的卡拉OK與抽獎活動下圓滿落幕。(10.16)



- 參與「2007金融知識嘉年華會」：

為了讓期貨知識普及到投資大眾，並且教導如何計算交易利損，達成宣傳期貨交易風險與控管資金的原意，本會於活動現場設置「期貨好好玩」的遊戲主題，當場就投資人疑問，予以解說。(10.27)



- 「期貨業務人才養成班」：

由期交所主辦、證基會教育訓練，公會輔導進入業界就業；學員必須接受120小時的專業課程訓練及通過期末測驗，並且具備期貨業務員資格方能參加由公會舉辦的人才徵選活動；96年度養成班共舉辦五期有138位學員結訓，其中通過證照測驗有105位，經公會輔導進入業界服務有56位。



- 「期貨操盤基礎人才培訓專班」：

與「期貨業務人才養成班」合作模式一樣，本課程仍然由期交所主辦、證基會教育訓練，公會協助向業界推廣本訓練課程；學員必須接受127小時的專業課程訓練及通過期末測驗，96年共舉辦四期，計有149位學員結訓。



● 「財務工程期貨商品研發人才培訓班」：

為培訓期貨事業金融衍生性期貨商品研發人員，使從事於財務工程、新金融商品設計、投資組合（策略）設計之從業人員透過本訓練課程，瞭解資本市場的動態行為，並應用至投資組合之交易策略及風險管理上。在120小時的課程安排上，公會特別設計了學理與實務結合的專業課程，邀請各大名校(台大、清大、交大、中央)名師以及業界頂尖人士共同教授，期望培養衍生性商品主流人才。第一期「財務工程期貨商品研發人才培訓班」共培訓36位業界精英。



## 十、國際暨兩岸交流

- 大陸深圳市期貨同業協會 / 金瑞期貨經紀有限公司來台拜訪，汲取本會對於會員營業據點之審查與規範標準、負責人及業務員登錄作業、從業人員在職訓練之經驗，並就保障合法業者權益、杜絕非法及期貨業資訊成本投入等問題分享台灣經驗。（8.29）



- 為因應期貨信託事業未來發展的挑戰，與俾便日後實務運作之順暢，本會副祕書長范加麟及操盤人聯誼會主任委員高子鈞等頂尖操盤人共同組團前往紐約參訪2家CTA、2家CPO及業界素負盛名的高盛集團，全體團員對於美國資產管理公司的運作實務，均有深刻了解，為日後期貨信託事業的營運規劃，助益亟大。（9.21-10.1）



- 大陸湖南期貨業協會暨證監局局長來台拜訪，希借重台灣期貨業者發展經驗實務作法做為湖南業者推廣業務之參考，及臺灣期貨市場監理制度作為證監局參考資料。（12.17）

## 十一、聯誼活動

### ● 理監事聯誼活動

為加強業界互動，促進業界共識，本年度共計舉辦一次理監事聯誼活動。此次共計有團員22人赴湖南長沙，安排參觀曾由本會前理事鄭文憲先生擔任執行長之台灣旺旺集團投資經營的「旺旺醫院」及黃獅寨、寶豐湖、黃龍洞、十里畫廊、天門山等著名景點。（5.15-5.20）



### ● 委員會聯誼活動

第一屆委員會即將於96年6月改選，為慰勞委員們這三年任期的付出及辛勞，本會特於5月25日、26日舉辦『杉林溪、溪頭及日月潭二日遊』。此次活動併邀請眷屬同行，讓委員在公務繁忙之餘，偷閒與親友流連於湖光山色美景中，享受森林浴的洗禮。（5.25、5.26）



# 伍、財務報告

**ERNST & YOUNG**  
安永會計師事務所

■ 11012 台北市基隆路一段333號9樓  
International Trade Building  
Taipei World Trade Center  
9F, 333 Keelung Road, Sec. 1,  
Taipei, Taiwan 11012, R.O.C.

■ Tel : 886 2 2720 4000  
Fax : 886 2 2757 6050  
www.ey.com/tw

## 中華民國期貨業商業同業公會 會計師查核報告

中華民國期貨業商業同業公會民國九十六年十二月三十一日及民國九十五年十二月三十一日之資產負債表及財產目錄，暨民國九十六年一月一日至十二月三十一日及民國九十五年一月一日至十二月三十一日之收支決算表、現金出納表及基金收支表，業經本會計師查核竣事。上開會計報告之編製係管理階層之責任，本會計師之責任則為根據查核結果對上開會計報告表示意見。

本會計師係依照一般公認審計準則規劃並執行查核工作，以合理確信會計報告有無重大不實表達。此項查核工作包括以抽查方式獲取會計報告所列金額及所揭露事項之查核證據、評估管理階層編製會計報告所採用之會計原則及所作之重大會計估計，暨評估會計報告整體之表達。本會計師相信此項查核工作可對所表示之意見提供合理之依據。

依本會計師之意見，第一段所述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」及一般公認會計原則編製，足以允當表達中華民國期貨業商業同業公會民國九十六年十二月三十一日及民國九十五年十二月三十一日之資產負債狀況，暨民國九十六年一月一日至十二月三十一日及民國九十五年一月一日至十二月三十一日之收支情形。

此 致

中華民國期貨業商業同業公會 公鑒

安永會計師事務所

會計師：李明昱 

民國九十七年三月七日

中華民國期貨業商業同業公會  
收支決算表  
民國九十六年一月一日至十二月三十一日  
及民國九十五年一月一日至十二月三十一日

單位：新台幣元

科目	九十六年度				九十五年度			
	決算數	預算數	決算數與預算數比較數		決算數	預算數	決算數與預算數比較數	
			增加	減少			增加	減少
經費收入								
入會費收入	\$36,000	\$7,200	\$28,800	\$-	\$12,000	\$12,000	\$-	\$-
常年會費收入	2,057,200	2,061,600	-	4,400	2,122,400	2,188,800	-	66,400
事業費收入	79,218,039	94,376,491	-	15,158,452	80,479,495	83,340,988	-	2,861,493
利息收入	8,427,554	1,687,365	6,740,189	-	6,216,179	1,571,832	4,644,347	-
專案計畫收入	761,905	500,000	261,905	-	647,618	500,000	147,618	-
捐助收入	1,000,000	-	1,000,000	-	-	-	-	-
委託收入	16,993,317	16,913,405	79,912	-	15,594,701	14,674,747	919,954	-
其他收入	2,684,897	1,290,000	1,394,897	-	2,054,134	1,210,000	844,134	-
收入合計	111,178,912	116,836,061	9,505,703	15,162,852	107,126,527	103,498,367	6,556,053	2,927,893
經費支出								
人事費	23,693,045	28,260,000	-	4,566,955	22,401,972	23,226,000	-	824,028
辦公費	7,305,487	9,160,000	-	1,854,513	7,487,146	8,024,850	-	537,704
業務費	41,554,543	42,965,000	-	1,410,457	36,522,123	40,384,700	-	3,862,577
購置費	246,513	2,600,000	-	2,353,487	455,460	450,000	5,460	-
繳納團體會費	1,070,000	1,070,000	-	-	1,070,000	1,070,000	-	-
專案計畫支出	621,320	400,000	221,320	-	562,178	400,000	162,178	-
什項支出	179,772	181,061	-	1,289	147,925	142,817	5,108	-
預備金	-	-	-	-	-	1,000,000	-	1,000,000
基金提存	35,923,348	32,200,000	3,723,348	-	31,561,046	28,800,000	2,761,046	-
支出合計	110,594,028	116,836,061	3,944,668	10,186,701	100,207,850	103,498,367	2,933,792	6,224,309
本期餘絀(稅前)	584,884	-	5,561,035	4,976,151	6,918,677	-	3,622,261	(3,296,416)
所得稅費用	-	-	-	-	-	-	-	-
本期餘絀(稅後)	\$584,884	\$-	\$5,561,035	\$ 4,976,151	\$6,918,677	\$-	\$3,622,261	\$ (3,296,416)

註：九十五年度及九十六年度事業費收入較預算數減少，皆係因調降事業費收入費率所致。

中華民國期貨業商業同業公會  
資產負債表  
民國九十六年十二月三十一日  
及民國九十五年十二月三十一日

單位：新台幣元

會計科目	九十六年十二月三十一日		九十五年十二月三十一日		負債、基金及餘絀	九十六年十二月三十一日		九十五年十二月三十一日	
	金額	%	金額	%		金額	%	金額	%
流動資產					流動負債				
現金及銀行存款	\$18,796,666	4.37	\$8,049,868	2.01	應付票據	\$30,913	0.01	\$1,112,778	0.28
有價證券	101,520,000	23.61	97,200,000	24.28	應付款項	8,355,715	1.94	7,872,928	1.97
應收帳款	8,927,868	2.08	11,213,773	2.80	其他流動負債	892,636	0.21	297,406	0.07
其他應收款	2,892,038	0.68	1,604,065	0.40	流動負債合計	9,279,264	2.16	9,283,112	2.32
預付款項	93,221	0.02	158,034	0.04	其他負債				
流動資產合計	132,229,793	30.76	118,225,740	29.53	存入保證金—自律基金	71,280,000	16.58	75,960,000	18.97
基金					負債合計	80,559,264	18.73	85,243,112	21.29
會務發展準備基金—專戶存款	49,602,554	11.53	43,628,706	10.90	基金及餘絀				
退換準備基金—專戶存款	14,037,459	3.26	11,496,690	2.87	基金				
購置會所預備金—專戶存款	50,396,833	11.72	136,763,227	34.16	會務發展準備基金	56,671,932	13.18	49,749,245	12.43
基金合計	114,036,846	26.51	191,888,623	47.93	退換準備基金	16,527,746	3.84	14,059,688	3.51
固定資產					資產基金	111,839,277	26.01	13,614,240	3.40
土地	78,794,345	18.32	-	-	購置會所預備金	83,654,771	19.44	157,474,276	39.33
房屋及建築	21,956,961	5.11	2,503,993	0.63	基金合計	268,693,726	62.47	234,897,449	58.67
事務機械設備	77,495	0.01	64,638	0.02	餘絀				
儀器設備	9,139,892	2.13	9,214,044	2.30	累計餘絀	80,207,342	18.65	73,288,665	18.31
運輸設備	652,381	0.15	652,381	0.16	本期餘絀	584,884	0.14	6,918,677	1.73
雜項設備	1,218,203	0.28	1,179,184	0.29	餘絀合計	80,792,226	18.79	80,207,342	20.04
固定資產合計	111,839,277	26.00	13,614,240	3.40	基金及餘絀合計	349,485,952	81.26	315,104,791	78.71
其他資產									
存出保證金	659,300	0.15	659,300	0.16					
自律基金—專戶存款	71,280,000	16.58	75,960,000	18.97					
其他資產合計	71,939,300	16.73	76,619,300	19.14					
資產總計	\$430,045,216	100.00	\$400,347,903	100.00	負債、基金及餘絀總計	\$430,045,216	100.00	\$400,347,903	100.00

# 陸、大事紀要

日期	活動名稱
01/02—01/12	第三期「期貨業務人才養成班」徵選活動
01/04	CA制度對期貨網路及專屬線路DMA下單之高階決策分析研究報告
01/17	第1屆常務理監事第10次聯席會議
02/01—02/09	第四期「期貨業務人才養成班」徵選活動
02/07	第1屆理監事第17次聯席會議
02/07	95年歲末聯歡晚會
03/01	假台北政大公企中心協辦「日經225期貨說明會」
03/02	假台中福華飯店協辦「日經225期貨說明會」
03/07	電資系統轉換作業協調會議
03/08	期貨經理事業拓展法人業務研討會
03/09—03/10	期貨商杜絕非法代操實務研討會
03/07—03/16	第五期「期貨業務人才養成班」徵選活動
03/13	「期貨校園徵才」講座-中原大學
03/14	「期貨校園徵才」講座-崑山科技大學
03/15	96年度ISO第1次定期評鑑
03/15—06/12	協辦第一期「期貨操盤基礎人才培訓專班」
03/19—06/29	協辦第二期「期貨操盤基礎人才培訓專班」
03/21	「期貨校園徵才」講座-大華技術學院
03/23	「期貨校園徵才」講座-育達商業技術學院
03/27	「期貨校園徵才」講座-屏東技術學院
03/28	第1屆常務理監事第11次聯席會議

日期	活動名稱
03/28	期貨商防制洗錢宣導說明會（台北場（一））
03/28	「期貨業務人才聯誼會迎新活動」
03/29	「期貨校園徵才」講座-龍華科技大學
04/04	「期貨校園徵才」講座-玄奘大學
04/04	期貨商防制洗錢宣導說明會（桃園場）
04/10	假證基會舉辦「自營交易經驗交流座談會」
04/11	「期貨校園徵才」講座-萬能科技大學
04/11	期貨商防制洗錢宣導說明會（台中場）
04/12	「期貨校園徵才」講座-樹德科技大學
04/13	「期貨校園徵才」講座-政治大學
04/17	期貨商承作店頭衍生性商品之可行性種類及配套措施方案研究報告
04/17	期貨基金實務管理研討會-霸菱集團Jerry Webman博士
04/18	「期貨校園徵才」講座修平技術學院
04/19	期貨商防制洗錢宣導說明會（高雄場）
04/21 – 07/01	第六期「期貨業務人才養成班」訓練活動
04/25	期貨商防制洗錢宣導說明會（台南場）
04/27、04/28	期貨商高階經營管理實務研討會-強化公司治理之風險認知
05/02	期貨商防制洗錢宣導說明會（台北場（二））
05/04	「期貨校園徵才」講座-雲林科技大學
05/05	假證基會舉行期貨自營交易經驗交流座談會
05/07	第1屆理監事第18次聯席會議



日期	活動名稱
05/07	「期貨校園徵才」講座-台灣科技大學
05/10	「期貨校園徵才」講座-淡江大學
05/10	期貨商防制洗錢宣導說明會（台北場（三））
05/13	期貨業徵才博覽會暨慶祝母親節慈善園遊會
05/15—05/20	理監事湖南長沙考察活動
05/17	「期貨校園徵才」講座-北台科技大學
05/17	期貨商防制洗錢宣導說明會（花蓮場）
05/25	期貨商防制洗錢宣導說明會（宜蘭場）
05/25	金融期貨交易策略CME經驗分享研討會
05/25、05/26	假溪頭暨日月潭舉辦委員會二日遊活動
06/01	第1屆常務理監事第12次聯席會議
6/4—7/3	第七期「期貨業務人才養成班」訓練活動
06/05	第1屆理監事第19次聯席會議
06/06	2007與大師有約-「如何做一個快樂的交易人」新加坡專業操盤人郭福堂先生經驗談
06/13	期貨商行動通訊設備控管機制暨從業人員廣告行為宣導說明會
06/14	第1屆理監事第20次聯席會議
06/20	第2屆第1次會員大會
06/28	2007期貨論壇(二)「強化期貨公會查核與執行自律機制之研究」
07/01	發行「期貨好好玩」精選光碟
07/02	「證投顧兼營期顧業務法規遵循與案例研討」座談會
07/04—07/13	第六期「期貨業務人才養成班」徵選活動

日期	活動名稱
07/07—09/02	第八期「期貨業務人才養成班」訓練活動
07/09—07/20	第七期「期貨業務人才養成班」徵選活動
07/10	期貨信託事業暨期貨信託基金相關法規要點說明會
07/16	與台灣期交所、台灣財務工程學會共同舉辦「2007國際研討會」
07/23	參加臺灣集保結算所舉辦之「期貨信託事業相關系統建置」簡報會議
07/24	「期貨信託事業暨期貨信託基金」相關法規重點說明會
07/26	第2屆理監事第1次聯席會議
08/02	「期貨信託基金風控架構」研討會
08/09	「期貨事業未來發展的問題與挑戰」座談會
08/09—10/30	協辦第三期「期貨操盤基礎人才培訓專班」
08/10	2007年與大師有約-韓國市場經驗談專題演講與座談會
08/15	「期貨業務人才聯誼會」講座（富邦金控許明珠副理）
08/21	第2屆常務理監事第1次聯席會議
08/29	大陸深圳市期貨同業協會及金瑞期貨經紀有限公司來訪
08/30	「期貨商承作店頭衍生性商品之可行性種類及配套措施」研究專案期末報告
09/03	2007與大師有約-期貨講座「結合證券、期貨及選擇權 掌握投資契機」
09/13	「期貨業務人才聯誼會」講座（中信證券袁佩琪經理）
09/14	96年度ISO第2次定期評鑑
09/11—09/21	第八期「期貨業務人才養成班」徵選活動
09/20—12/11	協辦第四期「期貨操盤基礎人才培訓專班」
9/21-10/1	紐約參訪



日期	活動名稱
09/27	第2屆常務理監事會第2次聯席會議
09/28	「財務工程在交易策略之應用」研討會
10/01 – 10/02	衍生性商品基金風險管理國際研討會
10/05	「局長有約」拜會證期局局長
10/10 – 10/12	假台北遠東國際大飯店舉辦『2007 FIA亞洲衍生性商品會議』
10/16	2007年期貨與票券公會聯合登山活動
10/24	期貨業務人才聯誼會十月講座（臺大財經系李存修教授）
10/25	第2屆理監事第2次聯席會議
10/27	2007金融知識嘉年華會
11/01	財務工程期貨商品研發人才培訓班 開課
11/15 – 11/16	2007歐美期貨信託事業發展經驗論壇
11/ 21	期貨業務人才聯誼會十一月講座(梅剛維交易員)
11/22	「財務會計準則第39號公報」宣導說明會
11/23 – 12/02	公會理監事參加美國芝加哥FIA會議
12/01	發行「期貨贏家系列」光碟
12/04	期貨信託基金風險控管機制之研究報告
12/06	第2屆常務理監事會第3次聯席會議
12/12	期貨業務人才聯誼會十二月講座(啓發投顧陳明智董事長)
12/13	KPMG期貨信託會計制度範本公聽會
12/17	湖南期貨業協會來訪
12/20	完成購置會所計畫（安敦國際大樓12樓）
12/21	第2屆理監事第3次聯席會議

## I. Preface



It's my honor to be elected as chairman of the Chinese National Futures Association during the general meeting of members in June 2007. I would like to take the opportunity to express my gratitude to all member representatives, board of directors, and supervisors for their support. Assuming the position at a critical moment for the futures market, I'm aware of the great responsibilities for my chairmanship. The Association and I will make our utmost efforts to pursue maximized benefits for members and create the best business environment for the futures industry.

Under former chairman's leadership, the Association has paved a sound foundation based on which Association affairs have been smoothly developed and its quality service has earned recognition from all members. Besides routine tasks, the Association made a great accomplishment in 2007 the Futures Trust Enterprise Law, which the government has just announced, was drafted with assistance of the Association as guidance for opening the new sector of futures trust business in Taiwan. That is deemed to boost the overall development of the futures industry.

As early as 2006, the Association set up the "Futures Trust Taskforce" which has made research and analysis on the feasibility for the new business to develop in Taiwan. In 2007, the Association was assigned by the regulatory agency to take charge of drafting a full set of regulations for all the detailed issues from filing applications, establishing a futures trust company, acquiring membership of the Association, raising futures trust fund as well as those governing management, marketing, and sales of the futures trust fund.

Thanks to the support and efforts of its working staff, the Association successfully completed the mission to cope with the expectation of the regulatory agency. The Futures Trust Enterprise Law has soon caught attention of the whole market shortly after its announcement. For this great accomplishment, I especially appreciate the government's determination for market liberalization, the efforts of all the Association colleagues and taskforce members, as well as the support and participation of all other associated persons.

Meanwhile, the Association fulfilled another great mission for acquiring an office as the Association's permanent location at the end of 2007. I would like to attribute the great achievement to the support of the board of directors and supervisors as well as the contributions of all member companies. It's indeed a milestone achievement to ensure a much better working environment for our working staff and encourage us to continue our efforts to provide high quality service to members.

However, there is no end for the Association's responsibilities. As for the issues closely associated with the interest of members such as futures transaction tax, cross-straits interaction, international integration, and those regulations commonly expected to be eased, the Association will keep listening to the opinions of member companies for reaching a consensus and extend it to the regulatory agency for its reference. All these efforts are aimed at creating a business environment in reflection of the current status of both domestic and international futures markets so as to ensure a profitable niche for member companies.

Chinese National Futures Association  
Chairman

A handwritten signature in black ink, consisting of stylized Chinese characters.

## II. Introduction

### A. Background

The Association dates back to the mid-1990s as its predecessor “Taipei Futures Association” was founded on April 17, 1995. In cope with liberalization of futures market, diversification of futures business, expansion of Association's membership, and extension of geographical locations of member companies, the Association was upgraded as a national organization on June 21, 2004 and obtained the certificate on June 30 of the same year.

As a national organization, the Association takes charge of membership registration, on-site inspection of member companies' offices, education of futures workers, and self-discipline of member companies.

For healthy development of Taiwan's futures market, the Association develops highly efficient administrative mechanism to fulfill its four major duties of membership registration, on-site inspection, education of futures workers, and self-discipline of member companies. Meanwhile, it plays an active role in coordinating among member companies and promoting communication and interaction between member companies and the regulatory agency as a means to pave a sound foundation for healthy and steady development of Taiwan's futures market.

### B. Mission

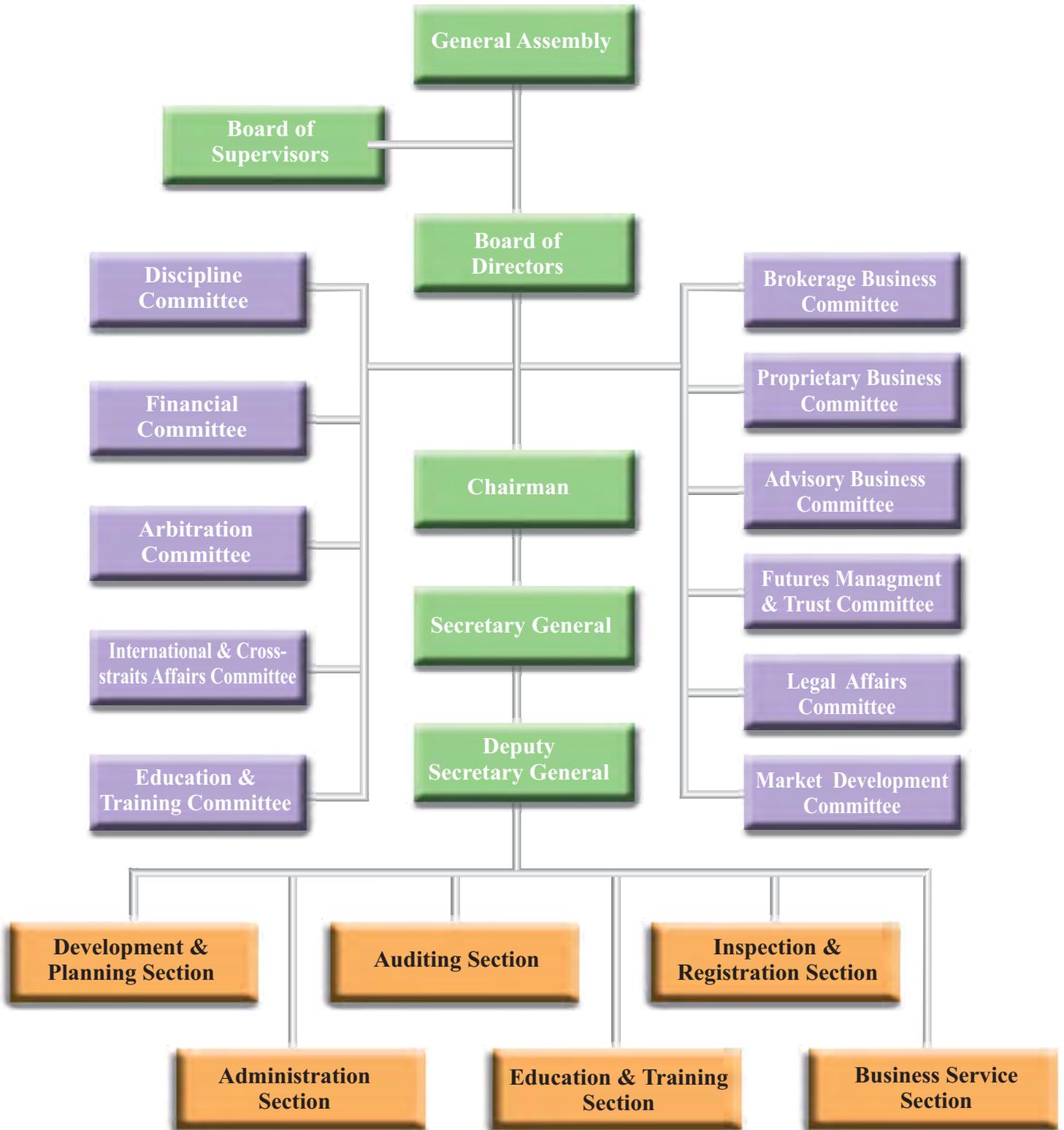
The Association was established under the goals of protecting investors, developing national economy, coordinating among members, and pursuing common interest of the society.

### C. Duties

- ◆ To promote futures market development in cope with national economic development
- ◆ To make survey, compile statistics, and conduct R&D projects about the businesses of member companies
- ◆ To make research and suggestions about the government's policies and propose revisions to futures-related regulations
- ◆ To urge self-discipline of member companies as well as coordinate among members for business promotion and improvement of member companies
- ◆ To mediate disputes among members
- ◆ To arrange career training courses and lectures for employees of member companies
- ◆ To supervise advisements, exhibitions, and related activities of member companies
- ◆ To make registrations, conduct survey, and keep records of members, member representatives, as well as employees of member companies
- ◆ To revise or renew licenses of member companies and handle other related issues
- ◆ To organize charity activities for member companies
- ◆ To protect interests and rights of member companies
- ◆ To take disciplinary actions against wrongful or illegal behaviors of member companies
- ◆ To offer the services entrusted by government agencies or non-profit organizations
- ◆ To take part in social activities
- ◆ To uphold fair and efficient market order and protect the rights of futures traders or clientages.
- ◆ To prevent manipulation, hedging, cheating, fraud, concealment, or other wrongful activities which would mislead futures traders, clientages, or other persons involved with futures trading
- ◆ To take members' suggestions and solve members' problems in accordance with laws or regulations

# III. Oranizational Structure

## A. Organizational Chart





## **B. Committees and Responsibilities**

1. **General Meeting of Members:** member companies, based on their business categories, assign up to seven representatives each to take part in the Association. As of the end of 2007, the membership is composed of 371 member representatives.

■ **Member companies:** the Association was composed of 182 companies as of the end of 2007.

(1) Specialized futures brokerage companies: 19

(2) Concurrent futures brokerage companies: 20

(3) Futures introducing brokers (IB): 62

(4) Foreign re-engaging brokers: 4

(5) Proprietary futures commission merchants: 39

(6) Managed futures enterprise: 11

(7) Futures advisory enterprise: 27

■ **Authority:** the general meeting of members is the supreme policy-making body of the Association.

■ **Responsibilities:**

(1) To elect or recall board member or supervisor.

(2) To make and revise Association's charter.

(3) To approve annual working plans, budget, auditing reports, and R&D projects.

(4) To review proposals raised during the meetings of board members, supervisors, or General Meeting of Members.

(5) To take disciplinary actions against members or member representatives.

(6) To dispose 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 board member or supervisor.

(9) To approve membership fee, annual fee, business promotion fee, and donations of members.

(10) To approve others issues associated with member's rights or obligations.

## 2. Board of Directors

■ Board of directors: the 33 board members were elected by member representatives during the General Meeting of Members and 11 standing board members were elected by the 33 board members.

■ Authority: the Board of Directors is a standing and also the highest executive body of the Association. The Chairman is elected by board members and acts as representative of the Association.

■ Responsibilities:

(1) To hold General Meeting of Members and execute the meeting's decisions.

(2) To elect or recall chairman or standing board members.

(3) To approve resignation of chairman or board members.

(4) To approve entry or withdrawal 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 Association's Charter or regulations.

(8) To deal with the projects made during meetings of supervisors.

(9) To attend to and provide solutions to major events of emergencies which arise prior to the General Assembly, and report later on the General Assembly.

(10) To take disciplinary actions against the members who don't pay membership fees.

(11) To handle issues in accordance with laws or Association's regulations.

(12) To handle other related issues.

### 3. Board of Supervisors

■ Supervisors: the 11 supervisors are elected by member representatives during the General Meeting of Members; three standing supervisors are elected by supervisors themselves and they accordingly elect one convenor for supervisors.

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

■ Responsibilities:

(1) To elect or recall standing supervisors.

(2) To supervise the Board of Directors' execution of the projects approved by the General Meeting of Members.

(3) To supervise the execution of the Board of Directors for 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 Meeting of Members.

(7) To make decisions for standing supervisor or supervisor to tender resignation.

(8) To handle other related issues.

4. Committees: the Association set up 11 committees in charge of brokerage, dealing, consulting service, management & trust, legal affairs, market promotion, disciplines, education, finance, mediation, international affairs & cross-strait affairs.

■ Committee members: Association Chairman appoints convenor for each committee and the convenor of each committee invites industrial experts, officials, scholars to be committee members.

■ Authority: each committee works to fulfill its goals and duties for development of futures market.

#### **Committees and their responsibilities:**

##### **Brokerage Business Committee**

(1) To improve and promote futures brokerage business as well as make communications and coordination among futures brokers.

- 
- (2) To offer services to futures traders.
  - (3) To make annual working plans.
  - (4) To handle other related issues.

#### **Proprietary Business Committee**

- (1) To improve and promote futures dealing business as well as make communications and coordination among futures dealers.
- (2) To make annual working plans.
- (3) To handle other related issues.

#### **Advisory Business Committee**

- (1) To improve and promote futures consulting business as well as make communications and coordination among futures consulting companies.
- (2) To offer services to clientage.s
- (3) To make annual working plans.
- (4) To handle other related issues.

#### **Futures Management & Trust Committee**

- (1) To improve and promote futures management & trust services as well as make communications and coordination among futures management & trust companies.
- (2) To offer services to clientages or beneficiaries.
- (3) To make annual working plans.
- (4) To handle other related issues.

#### **Legal Affairs Committee**

- (1) To collect and keep file of futures regulations, laws, and other related documents.
- (2) To make research and analysis on futures regulations, laws, and government's policies.
- (3) To provide legal and contract consulting service or other assistances to members and futures traders.

- 
- (4) To gather and compare domestic and foreign futures regulations, laws, contracts, and other related documents.
  - (5) To provide legal consulting services to other committees.

#### **Market Development Committee**

- (1) To make research as well as propose and execute market promotion projects.
- (2) To arrange and coordinate domestic and international public relations and communications.
- (3) To handle other related issues.

#### **Discipline Committee**

- (1) To draft self-discipline rules as well as execute 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- and on-job training programs for futures workers.
- (2) To arrange visit, speeches, lectures, leisure activities, and sporting activities for member companies.
- (3) To compile and publish futures-related publications.
- (4) To arrange futures investment promotion activities.
- (5) To arrange other education-related issues such as futures license examines and certificate issuance.

#### **Financial Committee**

- (1) To take charge of membership fees, business service fees, fund-raising, and related issues.
- (2) To arrange auditing issues.
- (3) To make budget plan and arrange settlement issues.
- (4) To handle other related issues.



### **Arbitration Committee**

- (1) To mediate futures trading disputes among members.
- (2) To mediate futures-related disputes among member companies, futures traders, and clientage.
- (3) To mediate disputes involved with futures trading or futures settlement among member companies, futures exchange, and futures settlement institution.

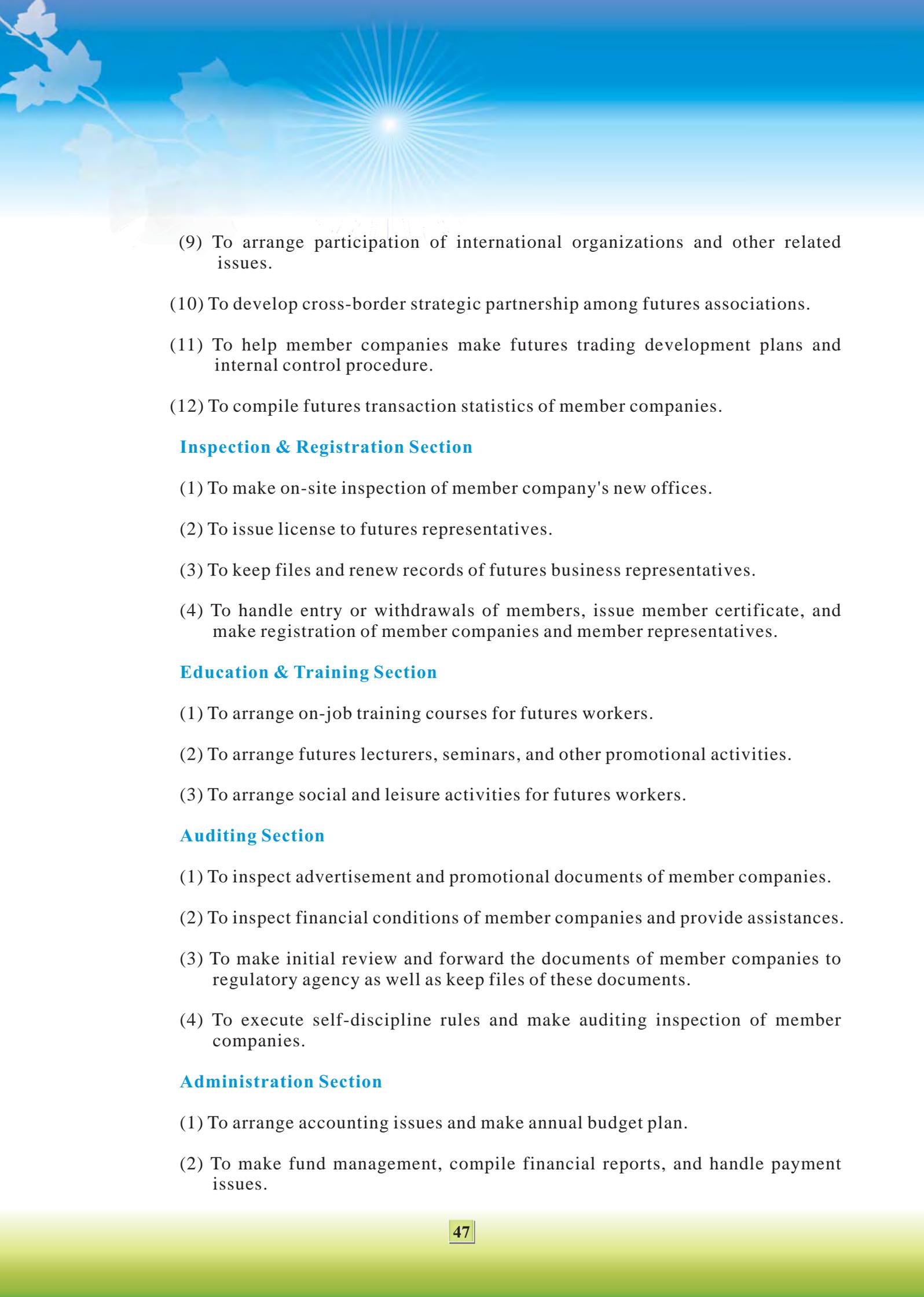
### **International & Cross-straits Affairs Committee**

- (1) To promote and coordinate issues about international and cross-straits interaction for futures industry.
- (2) To make annual working plans.
- (3) To arrange other related issues.

5. Administrative staff: the Association's administration is divided into six sections of business service, inspection & licensing, education, auditing, administrative management, and R&D, under the supervision of secretary general and deputy secretary general. Duties of each section are listed as the following:

#### **Business Service Section**

- (1) To arrange communications and coordination among regulatory agency, futures exchange, settlement institute, and member companies.
- (2) To gather and keep files of information about futures market and member companies.
- (3) To arrange public relation affairs.
- (4) To arrange General Meeting of Members, meetings of board of directors, and meetings of supervisors.
- (5) To act as executive secretary of each committee.
- (6) To compile and publish annual report and futures-related publications.
- (7) To provide futures-related legal consulting services.
- (8) To draft self-discipline rules as well as help member companies and futures workers behave in compliance with self-discipline rules.

- 
- (9) To arrange participation of international organizations and other related issues.
  - (10) To develop cross-border strategic partnership among futures associations.
  - (11) To help member companies make futures trading development plans and internal control procedure.
  - (12) To compile futures transaction statistics of member companies.

### **Inspection & Registration Section**

- (1) To make on-site inspection of member company's new offices.
- (2) To issue license to futures representatives.
- (3) To keep files and renew records of futures business representatives.
- (4) To handle entry or withdrawals of members, issue member certificate, and make registration of member companies and member representatives.

### **Education & Training Section**

- (1) To arrange on-job training courses for futures workers.
- (2) To arrange futures lecturers, seminars, and other promotional activities.
- (3) To arrange social and leisure activities for futures workers.

### **Auditing Section**

- (1) To inspect advertisement and promotional documents of member companies.
- (2) To inspect financial conditions of member companies and provide assistances.
- (3) To make initial review and forward the documents of member companies to regulatory agency as well as keep files of these documents.
- (4) To execute self-discipline rules and make auditing inspection of member companies.

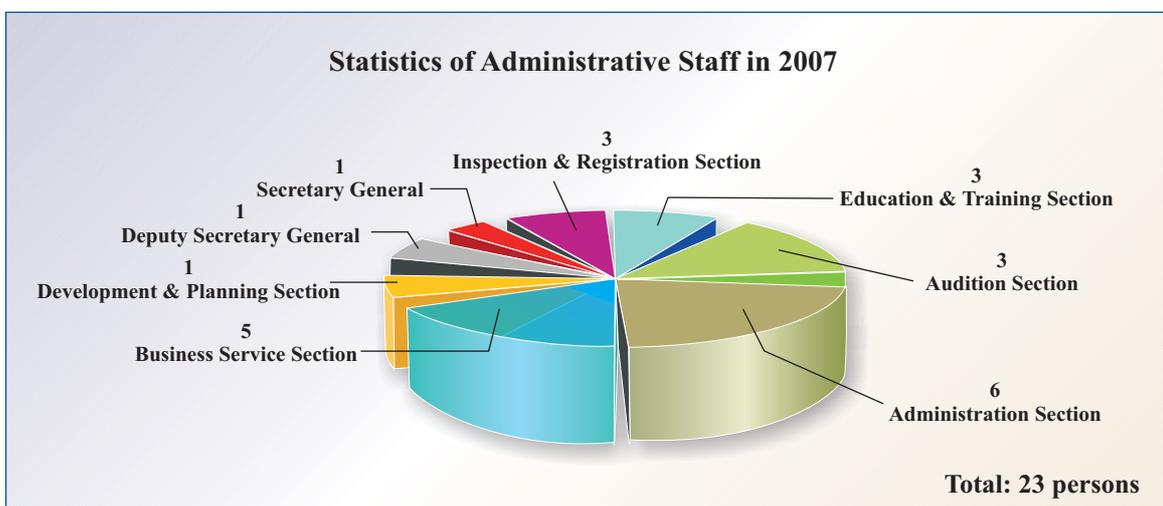
### **Administration Section**

- (1) To arrange accounting issues and make annual budget plan.
- (2) To make fund management, compile financial reports, and handle payment issues.

- (3) To plan, build up, and make maintenance of the Association's website and Internet network.
- (4) To procure equipment, make maintenance, and update the information management system.
- (5) To plan, build up, and make maintenance of database of member companies.
- (6) To handle personnel, administrative, document-filing, and other general administrative issues.
- (7) To manage and develop library of the Association.

### Development & Planning Section

- (1) To make research on new financial products and analyze feasibility for developing the new financial products in Taiwan.
- (2) To make research on futures-related topics.
- (3) To coordinate outsourcing research projects.
- (4) To arrange special research projects, public hearings, seminars, and other related activities.
- (5) To plan for promotional activities in cope with current affairs.
- (6) To gather international futures information and make analysis.
- (7) To arrange international interaction and related issues.



### C. Board members and supervisors

No.	Title	Name	Company	Position
1	Chairman	Ted M.H. Ho	Polaris Man Financial Futures Co., Ltd.	Chairman
2	Standing Director	Aric Jen	Grand Cathay Futures Corp.	President
3	Standing Director	Foo-shiung Ho	Yuanta Futures Corp.	Chairman
4	Standing Director	Chien-Chang Liu	MasterLink Futures Corp.	President
5	Standing Director	Tim Sun	Capital Futures Corp.	Chairman
6	Standing Director	Thomas Huang	Jih Sun Futures Management Corp.	President
7	Standing Director	Yiming Huang	President Futures Corp.	President
8	Standing Director	Paul Teng	Concord Futures Corp.	Director
9	Standing Director	Maurice Lu	SinoPac Futures Corp.	President
10	Standing Director	Falco Mi	KGI Futures Corp.	Chairman
11	Standing Director	Hsin-Nan Chien	Hua Nan Futures Management Corp.	Chairman
12	Director	Winnei Wang	Pacific Securities Corp.	Assistant Vice President
13	Director	Philip Wang	ADM Investor Services, Inc. Taiwan Branch	President
14	Director	Shyy Gang	Fubon Futures Corp.	Chairman
15	Director	Jerry Chiang	SinoPac Futures Corp.	Chairman
16	Director	Aleck Wu	Taiwan Futures Management Corp.	President
17	Director	Charles Liu	Optiver Taiwan Co.	Chief Strategist
18	Director	Michael Y.C. Hsieh	Yuanta Futures Corp.	President
19	Director	Shih-Chiao Lin	Shinkong Securities Co.	President
20	Director	Michael Lin	Jih Sun Futures Corp.	Chairman
21	Director	Kevin Kao	Polaris Man Financial Futures Co.	President for Proprietary Division
22	Director	Clara Ko	SG Securities (HK) Ltd., Taipei Branch	President
23	Director	Eric Kao	Ta Chong Securities Corp.	Vice President
24	Director	Li-Hsien Chang	Waterland Futures Co.	President
25	Director	Jerry Hsu	Antay Securities Co.	President
26	Director	Tien-Fu Chen	Yung Chuan Securities Co.	President
27	Director	Peggy Huang	Cathay Futures Corp.	Assistant Vice President
28	Director	Eric Yeh	MF Global Singapore Pte. Taiwan Branch	President
29	Director	Kevin Liu	IBT Securities Co.	Vice President
30	Director	Alex Liu	Taiwan International Futures Corp.	Vice President
31	Director	Vincent Teng	Mega Futures Corp.	President
32	Director	Vincent Cheng	UOB Bullion & Futures Ltd., Taiwan Branch	President
33	Director	Ricky Hsieh	Nihon Unicom Corp. Taipei Branch	Vice President
1	Chief Supervisor	Ian Chan	Cathay Futures Corp.	Vice President
2	Standing Supervisor	Phoebe Chang	Taiwan Futures Corp.	President
3	Standing Supervisor	Charles Yang	Mega Futures Corp.	Special Assistant to Chairman
4	Supervisor	Alan Fang	Capital Futures Corp.	President
5	Supervisor	Joyce Sung	Yuanta Futures Corp.	Senior Vice President
6	Supervisor	Wen-Chu Lee	Concord Securities Corp.	President
7	Supervisor	James Lee	Grand Cathay Futures Management Corp.	Chairman
8	Supervisor	Chris Ho	Polaris Man Financial Futures Co.	President
9	Supervisor	Chen Li	MasterLink Securities Corp.	Vice President
10	Supervisor	James Chen	KGI Futures Corp.	President
11	Supervisor	Ming-Yuan Tsai	Hua Nan Futures Company	Vice President

Note: the list is in order of stroke number of Chinese surname, as of the end of 2007

## IV. 2007 Highlights

### A. Execution and research of government's economic policies and futures trading law

#### 1. Execution and research of government's economic policies

##### ● **Census on manufacturing, commercial, and service industries:**

In cope with the census on manufacturing, commercial, and service industries conducted by the Directorate General of Budget, Accounting, and Statistics (DGBAS) under the Executive Yuan, the Association completed a survey on 42 futures companies in August 2007. The census is aimed at collecting information of operations, resource distribution, capital application, industrial structure, marketing & sales, and other business activities of the manufacturing, commercial, and service industries in the areas of Taiwan, Penhu, Kinmen, Matsu. It was made as a reference to the government in making economic policies and industrial development plans.

#### 2. Execution and research of futures trading law

##### ● **Making model contracts:**

- (1) Model Format of "Accounting System for Futures Trust Business".
- (2) Model Format of "Accounting System for Futures Trust Fund".
- (3) Model Contract of "Futures Trust Fund".
- (4) Model Contract of "Futures Trust Fund Sales".
- (5) Model Format of "Net Assets Assessment for Futures Trust Fund".
- (6) Model Contract of "Authorization of Futures Trust Business for Discretionary Management by Professional Assets Management Institution".
- (7) Model Format of "Self-discipline Rules for Futures Companies in Futures Trading".
- (8) Model Letter of Intent for "Warnings of Risks associated with Day Trading".
- (9) English version of "Contract for Opening Discretionary Futures Trading Account and Authorization Agreement".
- (10) English version of "Contract of Authorization for Discretionary Futures Trading".
- (11) English version of "Contract for Authorization of Custodian Institution".
- (12) English version of "Agreement of Three parties for Discretionary Futures Trading".
- (13) English version of "Prospectus of Discretionary Futures Trading".
- (14) English version of "Guidance for Anti-Money Laundry by Futures Company".
- (15) Referential copy (in Chinese and English) of "Contract for Futures Company Acting as Agent for Overseas Compatriots or Foreigners".
- (16) Referential copy (in Chinese and English) of "Authorization Letter for Overseas Compatriots or Foreigners in Opening Futures Trading Account, Applying for Foreign Exchange, Filing Tax Returns Report, and Other Related Issues in Taiwan".
- (17) Referential copy (in Chinese and English) of "Acknowledgement Letter of Overseas Compatriots or Foreign Futures Traders for No Involvement in Settlement Issues".
- (18) Referential copy (in Chinese and English) of "Authorization Letter for Overseas Compatriots or Foreigners to Apply for Certification Number".
- (19) Referential copy (in Chinese and English) of "Statement of Futures Company Acting as Agent for Opening Futures Trading Account for Overseas Compatriots or Foreigners".



● **Research Projects:**

- (1) Analyzed if the futures company engaged on foreign futures trading should denote “GLOBEX” or related words.
- (2) Analyzed the feasibility for futures companies to operate securities brokerage or securities dealing business.
- (3) Proposed suggestion to the regulatory agency for allowing futures companies to take Careful Discretion Order (CDO) of certain institutional investor.
- (4) Proposed suggestion to the regulatory agency for raising the ratio of foreign futures as trading targets of futures management company.
- (5) Proposed suggestion to the regulatory agency for allowing futures companies to take part in the cooperative projects for service or financial product sales promotion with banks, securities firms, insurance companies, or other related institutions.
- (6) Proposed suggestion to the regulatory agency for allowing futures management companies to trade TAIFEX-issued options for physical settlement and acquire the underlying securities.
- (7) Proposed suggestion to the regulatory agency for allowing futures brokers to reduce the premium for making day trading of SIMEX-listed MSCI Taiwan Index Futures.
- (8) Proposed suggestion to the regulatory agency for broadening the business range of specialized futures companies to cover OTC-listed securities.
- (9) Proposed suggestion to the TAIFEX for suspending the proposal for allowing overseas futures traders to make premium payment with their securities holdings.
- (10) Proposed suggestion to the TAIFEX for allowing futures company to collect premium payment for trading the futures combining long and short positions of stock index futures.
- (11) Proposed suggestion to the TAIFEX for making timetable to speed up the pace for taking futures trading orders, matching, and publishing transaction information.
- (12) Proposed suggestion to the TAIFEX for proposing risk management mechanism and giving subsidies to the futures companies for updating information transmission system under the TAIFEX plan for building up the mechanism in dealing with price gap between the futures traded in different months.
- (13) Proposed suggestion to the TAIFEX for revising the price interval and contract serial numbers of Taiwan index options.
- (14) Proposed suggestion to the TAIFEX for cutting premium for futures day trading by 50%.
- (15) Proposed suggestion to the TAIFEX for using special digital order-placing system for futures market and canceling the CA certificate requirement for both domestic and foreign futures traders as a means to induce more futures traders to join Taiwan's futures market.
- (16) Proposed suggestion to the TAIFEX for adding the alternative of 1024K Broadband options to futures companies as an on-time information disclosure solution.
- (17) Asked the TAIFEX to consider how to cope with the renewed information transmission system of futures companies when it's planning for replacement of its Spread, SPAN, and Dat Trade management system and to reconsider the schedule for executing the new system.
- (18) Suggested the TAIFEX to pay interest to the cash settlement deposit of settlement members.
- (19) Suggested the TAIFEX to remove the requirements for people to give the bank code and account number when they place futures trading orders by phone.

- (20) Suggested the TAIFEX to remove the restriction under which the futures company is prohibited from making hyperlink between its electronic order-placing system and the web page of other futures company.
- (21) Suggested the TAIFEX to relax the balance requirement on the Omnibus account used for making futures trading.

## B. R&D projects for futures business

### 1. Outsourcing projects on special topics

Outsourcing projects on special topics	
<b>Topic</b>	How to strengthen TFA's inspection function and self-discipline performance
<b>Project managers</b>	Preston, Gates & Ellis LLP: Lawyer Fu Chang-yu, Lawyer Kao Pai-chen, Manager Chen Yu-hua, Assistant Manager Chang Ju-wen
<b>Purpose</b>	In order to strengthen the Association's inspection function and self-discipline performance, the report raises suggestions from the following respects: 1. Responsibilities, structure, supervising authority and self-discipline procedure of domestic self-discipline organizations; 2. Structure, inspection procedure, dispute settlement mechanism, discipline procedure, information disclosure system of American self-discipline organization; 3. Comparison between Taiwan Futures Association and its American counterpart in structure, inspected targets, discipline procedure, and appeal mechanism.

Outsourcing projects on special topics	
<b>Topic</b>	Feasibility for futures company to offer OTC-listed derivatives brokerage service and related regulations
<b>Project managers</b>	Professor Li Tsun-hsiou, National Taiwan University
<b>Purpose</b>	Regarding the problems facing domestic futures companies, the Association is active in searching for solutions. The report analyzes the current financial derivatives market in Taiwan, the feasibility for futures companies to be engaged on financial derivatives trading, as well as market potential of certain financial products in Taiwan and the business type for futures companies to operate. The report also makes suggestions on how to make improvement in operations and risk control in aspects of talent cultivation and capital application.

## Outsourcing projects on special topics

<b>Topic</b>	Risk-control mechanism for futures trust fund
<b>Project managers</b>	Preston, Gates & Ellis LLP: Lawyer Fu Chang-yu
<b>Purpose</b>	The report analyzes how to regulate different types of futures trust funds with self-discipline rules based on their different risk-assessment methods, parameters, and assessment criteria. As for public-raised funds, companies should disperse investment targets in accordance with risk control principles, limitation on deposit and premium application, and risk-disclosure rules for trading of OTC-listed financial products. The report refers to the practice of OTC-listed product trading on the international market, analyzed the risks involved with OTC operations, and worked out the risk-control mechanism for futures trust fund operators in Taiwan.

### 2.Conference/seminar

- **Seminar on Nikkei 225:** in order to strengthen Taiwanese investors' understanding of Nikkei 225, the Association and Japan's Osaka Securities Exchange co-organized two seminars in Taipei and Taichung, respectively, to introduce Nikkei 225, trading strategies and related information. The analysis of experts should be valuable reference to Taiwanese investors. (March 1-2)



- **Meeting on futures management service for institutional investors:** in order to help futures management companies expand clientele of institutional investors, the Association invited high-ranking executives of futures management companies to discuss how to solve problems and seek profitable niche through brainstorming. (March 8)



- **Seminar on how to eliminate illegal discretionary investment service:** there from time to time occurs illegal discretionary investment service and that has threatened the interest of futures companies as well as their employees and clients. In order to prevent fraudulent practice of illegal market players, the Association invited the discretionary investment and auditing supervisors to discuss how to eliminate illegal practices to ensure healthy development of Taiwan's futures market. (March 9-10)



- **Anti-money laundry seminars for futures companies:** in order to help futures workers prevent the practice of money laundry by their clients in accordance with the government's decrees, the Association and the Taiwan Futures Exchange (TIFEX) co-sponsored the anti-money laundry seminars as a means to help futures companies prevent money laundry by clients. (March 28, April 4, 11, 19, 25, and May 2, 10, 17, and 25)



- **Lectures on practice and experience of futures trust fund:** in order to help those interested in futures trust funds have better understanding of international practices of futures trust funds, the Association invited Dr. Jerry Webman, senior executive at Baring Oppenheimer Funds plc, to share his experiences in fund management with Taiwanese people. (April 17)



- **Futures management and practice workshop for high-ranking executives:** in order to strengthen corporate governance concept and risk awareness of member companies, the Association invited the chairman and president of futures companies as well as the board members and supervisors of the Association to exchange viewpoints on development of futures market, prevention of illegal discretionary management, as well as the concept of corporate governance. (April 27-28)



- **Conference on financial futures trading strategiesexperience of CME:** in order to help Taiwanese financial professionals build up better understanding of foreign financial products and interact with foreign counterparts, the Association and Chicago Mercantile Exchange (CME) co-sponsored a conference to discuss the short-, medium-, and long-term trading strategies of index options as well as risk-aversion strategies, futures trading formula, and practices of particular cases. (May 25)



- **Dating with Futures Master in 2007lecture on how to be a happy futures trader:** the Association invited Mr. Guo Fu-tang, an experienced Singaporean futures trader for over three decades, to give a speech in Taiwan. His speech, under five sub-topics of self-training, cultivation and career development, the means for stress relief, winning strategies for futures trading, and characteristics of successful futures traders, was valuable reference to local futures traders. (June 6)



- **Seminar on mobile phone communications and advertisement activities:** in regard that it may violate the laws for futures workers to distribute futures-trading, commissions, or related information to the public through the financial websites, online chatting, or personal blogs on mobile communications devices, the Association invited futures trading specialist Chou Wen-ling and information management specialist Hsu Chih-cheng from TAIFEX and the Association's deputy auditing chief Du Yueh-ming to analyze detailed relevant regulations on this issue. (June 13)



- **Seminar on practices of securities investment consulting companies:** the securities investment consulting enterprises (SITE) and futures consulting companies operate in different business types. In order to let the former have better understanding about the regulations governing the latter, the Association held a seminar for SITE workers to learn the regulations governing futures consulting services. During the seminar, the Association, based on its experiences, analyzed the ten most common mistakes happening among the SITEs when they offer futures consulting services. (July 2)



- **2007 International Conference:** the Association, the TAIFEX, and the Financial Engineering Association of Taiwan (FEAT) co-sponsored an international conference, inviting both domestic and international renowned financial experts, industrial representatives, and government officials to share experiences and exchange viewpoints on international market trend as reference to the government concerning how to develop closer international integration and regional cooperation in Asia. During the conference, there were several break-out sessions on corporate governance, financial market, institutional investors, as well as futures market development. (July 16)



- **Seminar on regulations governing futures trust business and futures trust funds:** in order to help those with an attempt for running futures trust business, the Association held a seminar to give detailed explanation for the relevant regulations, inviting officials of the Securities and Futures Bureau to speak on criteria for running futures trust business, regulations on futures trust business, regulations governing futures trust fund, as well as requirements for prospectus of public-raised futures trust fund. (July 24)



- Dating with Futures Master in 2007-lecture on Korean experience:** in recent years, the international financial derivatives market encountered unprecedented challenges, especially in market consolidation and readjustment in futures exchange structure. That called for closer international cooperation or partnership as solutions. Amid the ongoing trend of internationalization and augmentation, the Association invited president of Korean Futures Exchange to speak on Korean experience in options market development as well as share his viewpoints with seminar participants. (August 10)



- Dating with Futures Master in 2007-lecture on “trading strategies for combination of securities, futures, and options”:** the Association invited Chu Cheng-chih, president of MARBO Securities Investment Consulting, Lai Kuan-chi, assistant vice president of Shin Kong Investment Trust, and Chen He-ling, president of Polaris Securities, to speak on how to pursue maximized profits through combination of securities, futures, options, and other financial products and efficient risk control mechanism. (September 3)



- Seminar on application of financial engineering in futures trading:** the attempt of investors to pursue fixed returns rate makes financial engineering play an important role for making financial transactions. In reaction to the growing market demand, the Association invited Dr. Nieu Wei-fang, chief investment strategist of Micro Financial Engineering System, to introduce the pricing formula and principles for investment portfolio management. (September 28)



- **Seminar on challenges and problems ahead of futures trust business:** in order to know the willingness of member companies for running futures trust business, the Association held a seminar to discuss the challenges and problems which may face the futures trust business in the future from the aspects of company structure, corporate management, talent cultivation, international integration, and so on. The seminar also discussed how the Association could help member companies solve problems about this business. (August 9)



- **International conference on risk control for financial derivatives fund:** as the investment targets of futures trust fund has broadened to cover financial derivatives, that will make it become even more complicated for assessment of fund's net assets value, settlement, and risk control for the futures trust fund. In order to ensure smooth development of futures trust business in Taiwan, the Association arranged an international conference to introduce international experience in this field and promote international integration of Taiwan's financial engineering and risk control expertise. It invited two German experts Wolfgang Hardle, Deutsche Bank Consultant, and Ludger Overbeck, highest risk control executive at Deutsche Commercial Bank, to be the two keynote speakers at the conference. (October 1-2)



- **The 3<sup>rd</sup> FIA Asia Derivatives Conference 2007:** the conference was composed of two parts of lectures and an exhibition. Topics of lectures included how to develop financial derivatives business in Taiwan, how to trade OTC-listed products on the futures exchange, as well as the development of Asian financial derivatives, and so on. Meanwhile, the Association encouraged member companies to take part in the exhibition and gave subsidy of NT\$100,000 to each member company which registered as an exhibitor. (October 10-12)



- **2007 Forum on European and American Futures Trust Fund:** as the government would soon open the futures trust business in Taiwan, the Association invited the prominent CTA from renowned futures trust companies in Europe and the U.S. to share their successful experiences with local people. (November 15-16)



- **Seminar on IFRS 39:** in order to cope with the government's policies and help member companies better understand the new IFRS 39 accounting principles, the Association invited KPMG Certified Accountant Fang Yen-ling to speak on the new accounting principles for bonus distribution and solutions to the problems associated with the conversion from old accounting system to new one. (November 22)



- **FIA 2007 Expo:** the FIA expo is held in Chicago in autumn as an annual activity for the global futures industry. The Association helped member companies take part in this activity. It helped member companies learn from foreign counterparts for their experiences and at the same time promoted Taiwan's participation in the international activities. (November 23-December 2)



- **Public hearing on KPMG accounting system for futures trust business:** to cope with the establishment of futures trust companies in Taiwan, the Association asked the KPMG to make model format for the accounting system for futures trust company and arranged a public hearing for KPMG Certified Accounts Fang Yen-ling and Lu Li-li to introduce their accounting system and net assets value assessment formula for futures trust fund. (December 13)



## C. Self-discipline of members and improvement of Association affairs

### ● Inspection of futures consulting service

The Association made annual inspection on futures consulting companies and their practice of internal auditing. In 2007, it inspected 23 companies and 20 futures consulting projects. Among them, seven projects were found against the Association's Self-discipline Agreement and required to make improvement, nine received the Association's warning notice, 10 were fined for regulation violation, and another seven were required to take disciplinary actions themselves.

### ● Other regulation-violation cases

Besides the routine annual inspection, the Association found another five cases in which member companies behaved against the Self-discipline Agreement. The Association issued letters for improvement to three companies and required the rest two to take disciplinary actions themselves.

### ● In reaction to market liberalization, the Association added new items to the Self-discipline Agreement:

No.	Document
1	Association Charter
2	Self-discipline Agreement for member companies
3	Regulation on deposit for self-discipline of member companies
4	Regulations on membership fee
5	Guidelines for TFA Committees
6	Guidelines for mediating futures trading disputes
7	Guidelines for member companies in setting up new office
8	Criteria for internal control of futures trust business
9	Main points for registration of member company owner and business representatives
10	Table of expiry years of futures trust business certificates
11	Table of inspected items of annual report of futures trust company
12	Procedure for registration of futures trust fund agent and sales staff
13	Guidelines for futures trust company's owner, staff, and related persons in trading funds issued by their own company
14	List of required items for report of futures trust company and futures trust fund
15	Report format for article 9 of futures trust business regulations
16	Guidelines for corporate governance of futures trust company
17	Detailed regulations on futures trust fund advertisement and promotional activities

No.	Document
18	Pre-job and on-job training programs for business representatives (pre-job program is drafted by Securities and Futures Institute)
19	Guidance for Anti-Money Laundry by Futures Company (in both Chinese and English)
20	Model Format for Accounting System of Futures Trust Company and Futures Trust Fund (it covers both company and fund)
21	Format of report of futures trust fund transaction/investment analysis/letter of intension, execution, and review
22	Format for monthly and annual inspection report of futures trust fund transactions
23	Guidelines and model contract for electronic transaction of futures trust fund
24	Procedures for raising, issuance, sales, redemption of futures trust fund
25	Guidelines for beneficiary certificate issue
26	Inspection list for futures trust fund sales and internal control
27	Termination report for sales of futures trust fund
28	Regulations on sales promotion and advertisements of member companies
29	Guidelines for subscribing futures trust fund by using credit card
30	Main points for founding futures trust fund inspection committee and inspection list
31	TFA Guidelines and Procedures for futures trust fund inspection
32	Model Contract of “Authorization of Futures Trust Business for Discretionary Management by Professional Assets Management Institution”
33	Net assets assessment formula for futures trust fund
34	Method, parameter, and criteria for assessing risks involved with futures trust fund
35	Model contract for futures trust fund sales
36	Model contract of futures trust fund
37	Risk-warning procedure for various fund sales channels
38	Format and required items for risk-warning report of futures trust fund
39	Required items for futures trust fund sales contract
40	Platform for futures trust fund information disclosure ( issues involved with establishment of website )

#### **D. Education and training:**

The Association was an FSC-designated organizer for the national education and training programs for workers at futures companies, futures consulting companies, and futures management companies. Under the government's administrative decrees, business representatives of the three categories of companies should take part in the training program every two years after they register with the Association. In 2007, the Association arranged 201 training courses, participated by 12,612 persons.

● **Business representatives of futures companies**

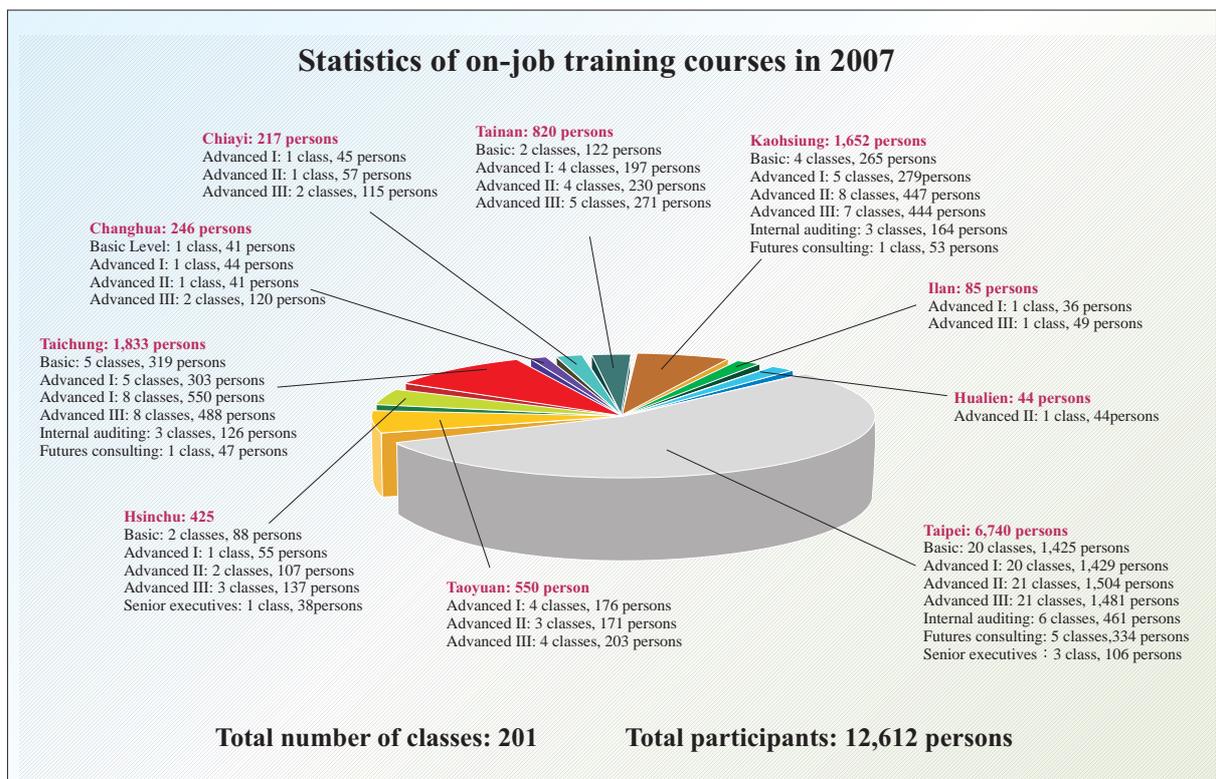
The on-job training courses for business representatives of futures companies were divided into four categories based on working years of participants: Basic level for the first-time participants, Advanced I for the second-time participants, Advanced II for the third-time participants, and Advanced III for the fourth-time participants. In addition, there were another two programs for internal auditing and senior managers, of six courses each.

In 2007, the Association arranged 194 classes: Basic level: 34 classes, 2,260 persons; Advanced I: 41 classes, 2,528 persons; Advanced II: 50 classes, 3,187 persons; Advanced III: 53 classes, 3,308 persons; course for senior managers: 4 classes, 144 persons; course of internal auditing: 12 classes, 751 persons.

● **Business representatives of futures consulting companies**

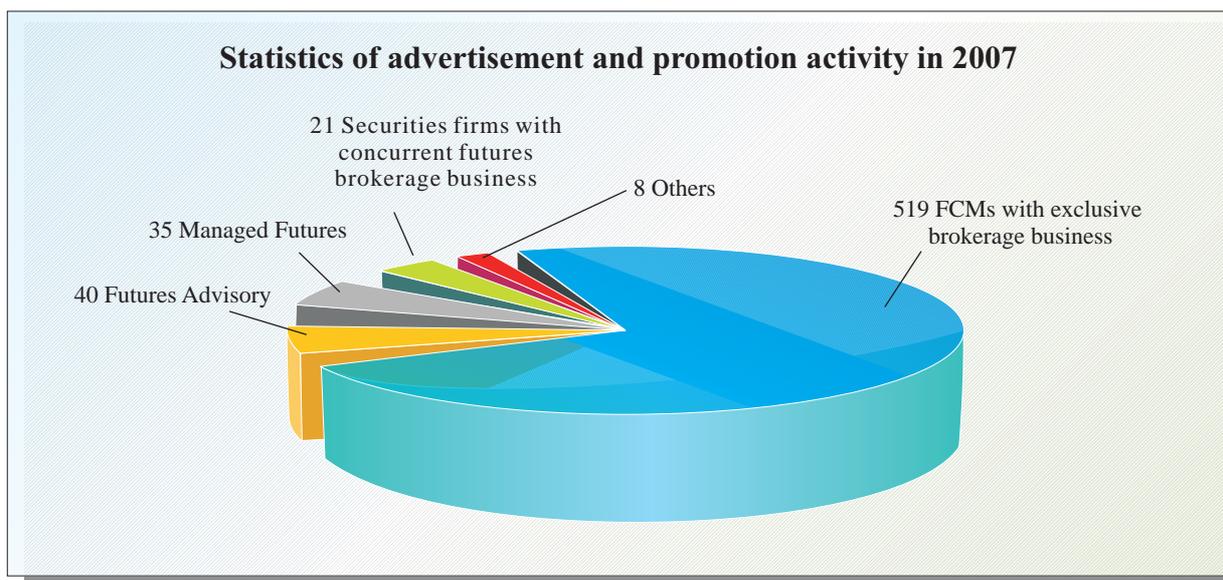
The Association arranged seven on-job training courses for business representatives of futures consulting companies in 2007, participated by 434 persons.

Statistics of on-job training courses in 2007:



### E. Advertisement, exhibition, and related issues

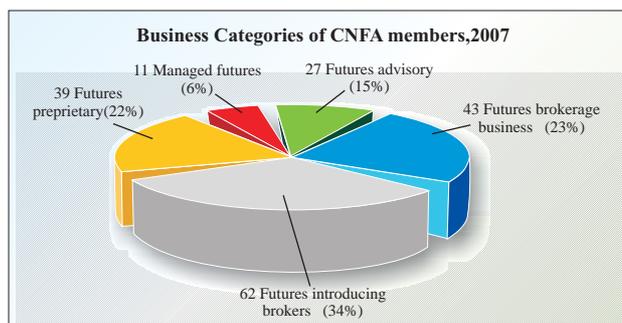
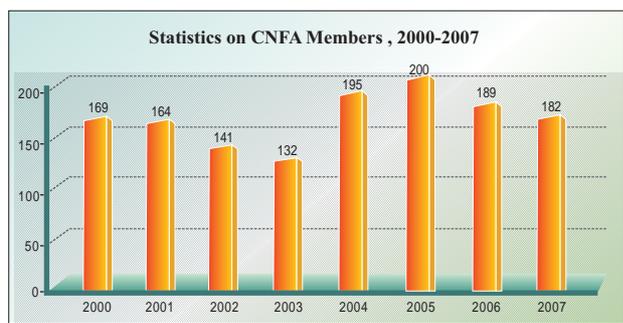
In order to protect the image of legitimate futures operators and protect interest of futures traders, the Association requires member companies to report to the Association first before conducting any advertisement and promotional activities. In 2007, the Association handled 623 advertisement and promotional projects of member companies.



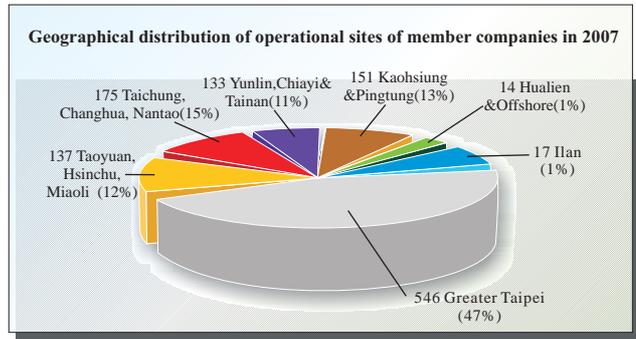
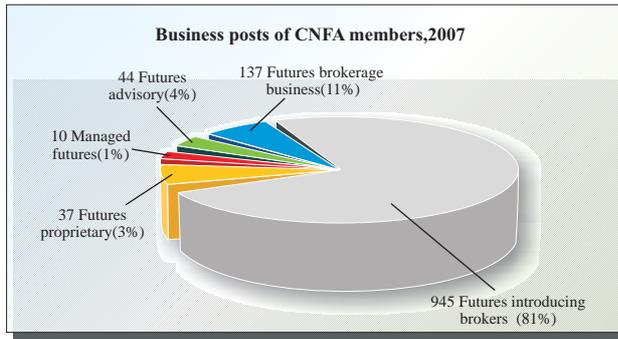
### F. Registration and records of member companies, representatives of member companies, member company owners, as well as business representatives of member companies

#### a. Registration of member companies and their business representatives

- **There were 182 member companies as of the end of 2007:** 43 Futures brokerage business (23%), 62 Futures introducing brokers (34%) 39 Futures proprietary (22%), 11 Futures management companies (6%), and 27 Futures advisory (15%).

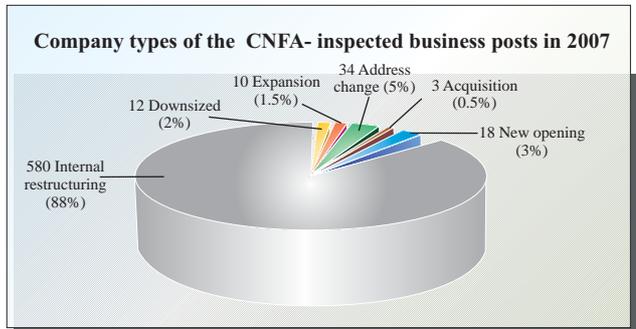
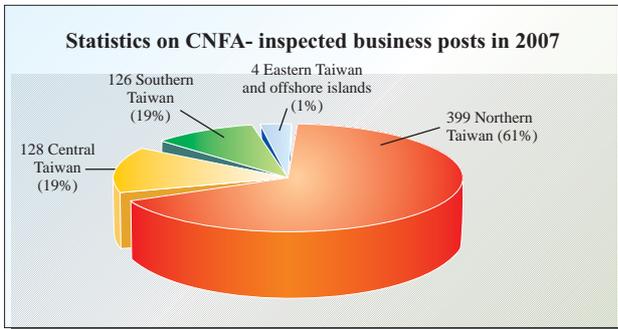


- **Member companies operated a total of 1,173 headquarters offices and branches as of the end of 2007:** 137 used for futures brokerage (11%), 945 used for Futures introducing brokers (81%), 37 Futures proprietary (3%), 10 used for futures management (1%), and 44 Futures advisory (4%).



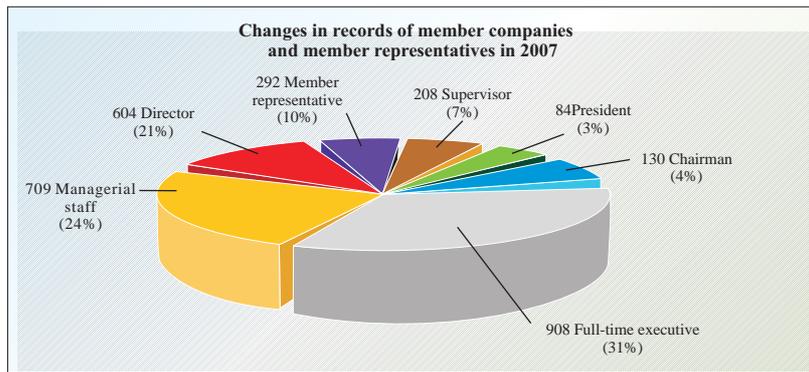
● **On-site inspection**

The Association made a total of 657 on-site inspections (399 in northern Taiwan, 128 in central Taiwan, 126 in southern Taiwan, three in eastern Taiwan, and one in offshore island). Among these inspected sites, 18 were newly established (3%), 34 were moved (5%), 12 were downsized (2%), 10 were expanded (1.5%), 580 were remodeled (88%), and 3 were transferred to new owners (0.5%).

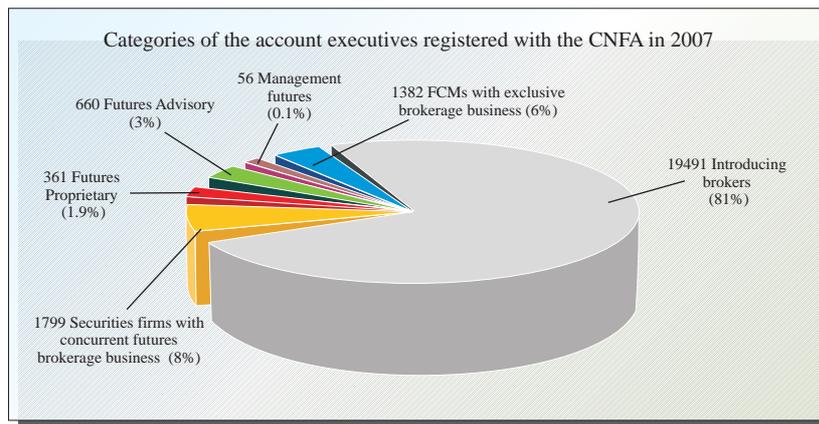


b. License renew, change, and other related services for member companies

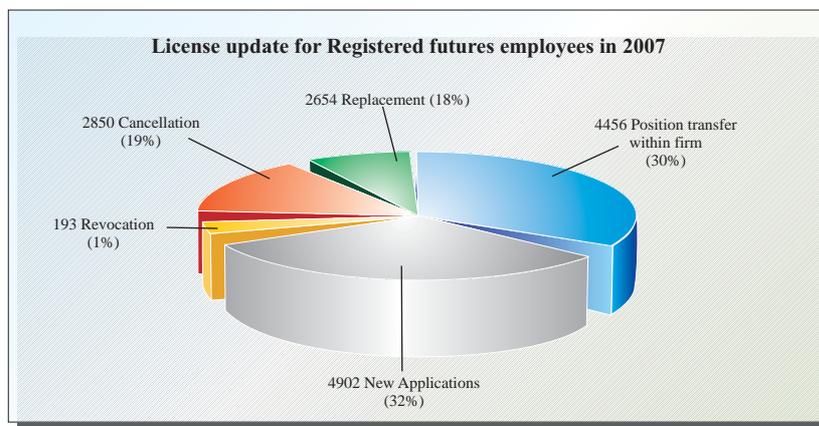
- In 2007, the Association handled a total of 2,935 cases for changes in records of member companies and representatives of member companies.



- A total of 23,749 business representatives have been registered with the Association as of the end of 2007. The following is the detailed classification:



- A total of 15,055 business representatives were registered with the Association in 2007, an average of around 1,255 cases per month.



## G. Publications

- **Newsletter:** the monthly newsletter provides the latest information about the Association affairs, government's policies, and futures market, making a crosscut for member companies to keep informed of the latest information about the Association, government's policies, and market trend.
- **Futures Journal:** the quarterly is compiled in a creative style, highlighting the latest topics about futures industry. It's a professional publication for futures workers to share professional knowledge and experiences. It also keeps records as historic documents of Taiwan's futures industry.
- **Research reports:** the Association compiles the reports of its outsourcing research projects into a series of futures publications as reference to those interested in the in-depth analysis of special topics about the futures industry. They will contribute to the development of Taiwan's futures market and the quality of Taiwan's futures workers.

- **Taiwan Futures and Derivatives Journal:** it makes analysis on market regulations, management system, new financial products, and other futures-related topics. It's a professional publication for those who interested in the futures market to share their experiences and knowledge with one another.
- **Working Ethics Handbook for Futures Workers:** in regard of the frequent happening of fraudulent cases on Taiwan's futures market and the inclusion of “Working Ethics” subject to all of the 13 license examinations for financial workers since August 1, 2006, the Association compiles the “Working Ethics Handbook for Futures Workers” to help futures workers realize their duties and prevent improper practices on work site. In 2007, it published additional 3,000 copies of the handbook to ensure that every one of the 25,000 futures business representatives around Taiwan should have a copy at hand.
- **Booklets on Futures Trust Business and Futures Trust Fund:** to help futures workers and futures traders obtain knowledge about the futures trust business and keep aware of its related regulations, the Association compiled the “Booklets on Futures Trust Business and Futures Trust Fund” and published 500 copies to offer to the public.

## H. Protection of futures traders

- **Promotional films:** in order to help the public build up correct attitude for futures trading and fulfill the Association's objective for futures trader education, the Association has been engaged on futures education for the public for years. In 2007, it joined the TAIFEX in making the 26<sup>th</sup> futures promotional film under the theme of “Futures Winner Series” broadcast on the CTV channel. Meanwhile, the Association made four CDs on “Guest Room for Assets Management,” “Options Expert,” “The Fun of Trading Futures,” and “Futures Winners.”
- **Promotional poster:** in order to protect futures traders and legitimate market players, the Association makes promotional posters every month to be posted on the headquarters office and branches of member companies.
- **Service hotline:** in order to protect the interest of futures traders, the Association set up a servicehotline ☎ 0800-457-588 for futures traders and the public to require information about market system and regulations.

## I. Association activities

- **2007 Futures Job Expo & Charity Garden Activity for Mother's Day:** the Association combined the three activities of futures job expo, fund-raising for weak social group, and celebration of Mother's Day into a garden activity held in the Jen-ai Square in front of Taipei City Government Hall, and later contributed the fund raised through the activity to charity associations. (May 13)



- **Road-show seminars for talents recruitment:** the Association held the road-show seminars for talents recruitment in 15 universities, participated by over 800 students. During these seminars, they introduced the current development and outlook of Taiwan's futures market, and answered students' questions concerning the work at futures companies. (March 13-May 21)



- **Mountain hiking activity:** the Association joined the Bills Finance Association in holding a mountain hiking activity, participated by over 220 persons. Hiking route was from Taipei Municipal Zoo in Mucha to Chinan Temple on the mountain. Participants enjoyed the green natural scenery along the route and singing with Karaoke accompaniment. It was ended with a lucky draw activity. (October 16)



- **Financial Carnival 2007:** in order to help futures traders control the risk associated with their investments, the Financial Carnival 2007 was held to disperse futures knowledge to the public and teach the public how to calculate returns rate at the same time. During the activity, they also answered the questions of the public about futures trading. (October 27)



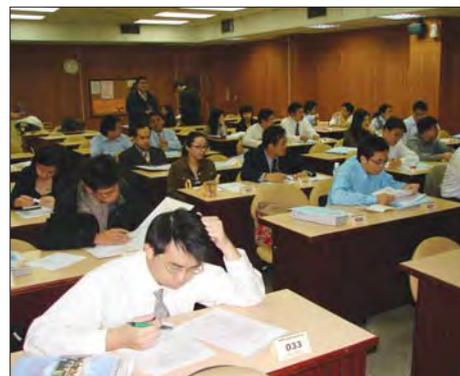
- **Training courses for futures business representatives:** the Association joined the TAIFEX and Securities & Futures Institute (SFI) in arranging the 120-hour training courses and test for futures business representatives on the weekend. Those who pass the test would be qualified to join the Association-held talents recruitment activity. In 2007, they arranged five sessions of the course of which 138 persons took part in the whole training course and 105 persons passed the test. Among them, 56 ones have been introduced by the Association to work at member companies.



- **Basic-level Training Program for Futures Traders:** as the “Training Program for Futures Business Representatives” to be co-sponsored by the TAIFEX, SFI, and the Association, the course was composed of 127 hours of classes and final test. Four courses were offered under the program in 2007, participated by 149 persons.



- **“Training Program for Financial Engineering and New Product Development”:** the course was designed to cultivate talents for developing futures-related derivatives. Its courses included financial engineering, new financial products, and investment portfolio. Through the training of this program, participants would learn how to apply investment strategies and risk-control skills to cope with the changing market. The program, composed of 120 hours of classes, arranged the courses for students to practice the theories they have learned in class. Lecturers include renowned professors of prestigious universities such as National Taiwan University, National Tsing-hua University, National Chiao-tung University, and National Central University. It's the first year for the Association to offer such kind of training program, participated by 36 persons.



## J. International and cross-strait interaction

- Mainland-based Shengzhen Futures Association and Juirai Futures organized a delegation to visit the Association. During their visit, they learned the criteria for on-site inspection, procedures for registration of member company owners and business representatives, training courses for futures workers, as well as the methods for protecting legitimate market players, and cracking down illegal market players. They also learned about the operational cost of Taiwan's futures companies and Taiwan's experience in developing its futures market. (August 29)



- To cope with the opening of futures trust business in Taiwan and to ensure smooth development of the market in the future, Association Deputy Secretary General Bryan Fann and Futures Traders Association Chairman Kevin Kao led a delegation to visit the Goldman Sachs as well as two CTAs and two CPOs in the U.S. From the trip, they learned the practices of assets management in the U.S., which was valuable reference for Taiwan in developing its own futures trust market in the near future. (September 21-October 1)



- Director of Hunan Securities Supervisory Bureau and representatives of Hunan Futures Association visited the Association to learn the practices of Taiwan's futures companies as well as the experiences and governing system of the Securities and Futures Bureau in Taiwan as the reference to Hunan Government in developing the futures market in Hunan Province. (December 17)

## K. Social activities

- **Social activities for board members and supervisors**

In order to foster industrial consensus and friendship among board members and supervisors, the Association arranges annual social activity for board members and supervisor. For 2007, it organized a trip to Changsha in Hunan Province, China, participated by 22 persons. During the trip, they visited the Wan-Wan Hospital under the Wan Wan Group. The hospital's CEO is the Association's former chairman Cheng Wen-hsien. During the trip, they also visited several scenic spots around the province. (May 15-20)

- **Social activity for committee members**

The committee members were re-elected in June 2007. In order to express its appreciation to the committee members over the past three years, the Association arranged a trip to Shanlinhsi and Hsitao of central Taiwan on May 25-26, participated by committee members and their families. During the trip, they fully relaxed themselves in the forest and enjoyed the beauty of the Nature. (May 25-26)



## V. Financial Reports

### Independent Auditor's Report

To: Chinese National Futures Association,

We have audited the balance sheets and list of properties of Chinese National Futures Association (the “Association”) as of December 31, 2007 and 2006 and the statement of income, cash flows, and funds flow for the year then ended. The Association's management is responsible for producing the financial statements listed above, whereas our responsibility is to express an opinion regarding these financial statements based on our audit.

We conducted our audits in accordance with generally accepted auditing standards in the Republic of China, which require that we plan and perform the audit to obtain reasonable assurance about whether these financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall presentation of the financial statement. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to in the first paragraph present fairly, in all material aspects, the financial position of the Association as of December 31, 2007 and 2006, and the results of its operations and cash flows for the year then ended in conformity with the “Rules Governing the Financial Management of Industrial and Commercial Organizations” and generally accepted accounting principles in the Republic of China.

DIWAN · ERNST & YOUNG  
Taipei, Taiwan  
R.O.C.  
March 7, 2008

**Chinese National Futures Association  
Income Statement  
For the year ended 2007 & 2006**

(Expressed in New Taiwan Dollars)

Item	2007				2006			
	Actual Amount	Estimated Amount	Difference between actual & estimated amount		Actual Amount	Estimated Amount	Difference between actual & estimated amount	
			Increase	Decrease			Increase	Decrease
<b>Revenues</b>								
Membership fees	\$36,000	\$7,200	\$28,800	\$-	\$12,000	\$12,000	\$-	\$-
Annual fees	2,057,200	2,061,600	-	4,400	2,122,400	2,188,800	-	66,400
Business fees	9,218,039	9,137,191	-	15,198,152	80,179,195	83,310,988	-	2,861,193
Interest	8,427,554	1,687,365	6,740,189	-	6,216,179	1,571,832	4,644,347	-
Income from special projects	761,905	500,000	261,905	-	617,618	500,000	117,618	-
Donation	1,000,000	-	1,000,000	-	-	-	-	-
Income from trust projects	16,993,317	16,913,105	-	79,912	15,994,791	11,671,717	3,999,954	-
Others	2,681,897	1,290,000	1,391,897	-	2,051,134	1,210,000	841,134	-
<b>Total revenues</b>	<b>111,178,912</b>	<b>116,836,061</b>	<b>9,505,703</b>	<b>15,162,852</b>	<b>107,126,527</b>	<b>103,498,367</b>	<b>6,556,053</b>	<b>2,927,893</b>
<b>Expenses</b>								
Wages	23,693,015	28,200,000	-	4,566,985	22,401,972	23,226,000	-	824,028
Administration	7,305,187	9,160,000	-	1,854,813	7,487,116	8,021,850	-	537,701
Business	41,554,513	42,965,000	-	1,410,487	36,522,123	36,384,700	-	3,862,577
Procurement	246,513	2,600,000	-	2,353,487	455,466	450,000	5,466	-
Group membership fees	1,070,000	1,070,000	-	-	1,070,000	1,070,000	-	-
Out-contracted research projects	621,320	100,000	221,320	-	562,178	400,000	162,178	-
Miscellaneous	179,772	181,061	-	1,289	117,925	142,817	5,108	-
Advance cash	-	-	-	-	-	1,000,000	-	1,000,000
Fund withdrawals	33,923,318	32,200,000	2,723,318	-	31,561,016	28,800,000	2,761,016	-
<b>Total expenses</b>	<b>110,594,028</b>	<b>116,836,061</b>	<b>3,941,668</b>	<b>10,186,701</b>	<b>109,207,850</b>	<b>103,498,367</b>	<b>2,933,792</b>	<b>6,224,309</b>
Pre-tax Net Surplus	584,884	-	5,564,035	4,976,151	6,918,677	-	3,622,261	13,296,116
Income tax	-	-	-	-	-	-	-	-
After-tax Surplus	584,884	\$-	\$5,564,035	\$4,976,151	\$6,918,677	\$-	\$3,622,261	\$13,296,116

**Chinese National Futures Association  
Balance Sheet  
December 31, 2007 & 2006**

(Expressed in New Taiwan Dollars)

Assets	Dec 31, 2007		Dec 31, 2006		Liabilities, Funds, and Surplus	Dec 31, 2007		Dec 31, 2006	
	Amount	%	Amount	%		Amount	%	Amount	%
<b>Current Assets</b>					<b>Current Liabilities</b>				
Cash & bank deposit	518,790,000	437	58,019,808	2.01	Checks payable	530,913	0.01	51,112,778	0.28
Securities	10,520,000	23.61	97,200,000	24.28	Payables	8,355,715	1.94	7,872,928	1.47
Receivables	8,927,808	2.68	11,213,773	2.80	Other Current Liabilities	892,636	0.21	297,400	0.67
Other receivables	2,892,038	0.68	1,694,005	0.40	<b>Total current liabilities</b>	<b>9,279,264</b>	<b>2.16</b>	<b>9,283,112</b>	<b>3.32</b>
Prepayments	93,221	0.02	158,031	0.04	<b>Other Liabilities</b>				
<b>Total current assets</b>	<b>132,220,793</b>	<b>30.76</b>	<b>118,225,740</b>	<b>29.53</b>	Reimbursable withdrawal - disciplinary fund	71,280,000	16.58	75,060,000	18.97
<b>Funds</b>					<b>Total liabilities</b>	<b>80,559,264</b>	<b>18.73</b>	<b>85,243,112</b>	<b>21.29</b>
Development fund deposited at bank	29,602,551	11.33	13,628,706	10.40	<b>Funds &amp; Surplus</b>				
Pension fund deposited at bank	14,637,459	3.26	11,490,600	2.87	<b>Funds</b>				
Office acquisition fund deposited at bank	80,396,833	11.72	136,763,227	34.16	Business development fund	50,671,933	13.18	49,749,745	12.43
<b>Total funds</b>	<b>114,636,816</b>	<b>26.51</b>	<b>191,882,623</b>	<b>17.43</b>	Pension fund	16,527,716	3.84	14,059,688	3.51
<b>Fixed Assets</b>					Asset fund	111,839,277	26.01	13,011,319	3.40
Land	78,794,315	18.32	-	-	Office acquisition reserve	83,654,771	19.14	157,412,716	39.33
Office & buildings	21,936,961	5.11	2,593,993	0.63	<b>Total funds</b>	<b>268,693,726</b>	<b>62.17</b>	<b>231,897,449</b>	<b>58.67</b>
Machinery & equipment	77,195	0.01	61,638	0.02	<b>Accumulated surplus</b>	80,207,312	18.65	73,288,005	18.31
Precision equipment	9,134,892	2.13	9,211,041	2.30	Surplus	58,488,1	0.11	6,918,677	1.73
Transportation equipment	652,381	0.15	652,381	0.16	<b>Total Surplus</b>	<b>80,792,226</b>	<b>18.79</b>	<b>80,207,342</b>	<b>20.61</b>
Miscellaneous	1,218,203	0.28	1,179,181	0.29	<b>Total funds &amp; surplus</b>	<b>349,485,952</b>	<b>81.26</b>	<b>315,104,791</b>	<b>78.71</b>
<b>Total fixed assets</b>	<b>11,834,277</b>	<b>26.60</b>	<b>13,611,240</b>	<b>3.40</b>					
<b>Other Assets</b>									
Reimbursable deposits	659,360	0.15	659,360	0.16					
Disciplinary fund deposited at bank	71,280,000	16.58	75,060,000	18.97					
<b>Total other assets</b>	<b>71,939,360</b>	<b>16.73</b>	<b>75,719,360</b>	<b>19.14</b>					
<b>Total Assets</b>	<b>\$430,015,216</b>	<b>100.00</b>	<b>\$400,317,903</b>	<b>100.00</b>	<b>Total Liabilities, Funds, and Surplus</b>	<b>\$430,015,216</b>	<b>100.00</b>	<b>\$400,317,903</b>	<b>100.00</b>

## VI. Chronicle

Date	Event
Jan. 2-12	Selection of qualified persons to participate the third term of the “Training Program for Futures Business Representatives”
Jan. 4	Meeting of high-ranking executives to discuss CA futures trading system and DMA order-placing system
Jan. 17	The 10 <sup>th</sup> joint meeting of the first board of standing directors and supervisors
Jan. 1-Feb. 9	Selection of qualified persons to participate the fourth term of the “Training Program for Futures Business Representatives”
Feb. 7	The 17 <sup>th</sup> joint meeting of the first board of directors and supervisors
Feb. 7	Year-end celebration party
March 1	“Seminar on Nikkei 225” held in Taipei
March 2	“Seminar on Nikkei 225” held in Taichung
March 7	Coordination meeting for electronic system conversion
March 8	Meeting on futures management service for institutional investors
March 9-10	Seminar on how to eliminate illegal discretionary investment services
March 7-16	Selection of qualified persons to participate the fifth term of the “Training Program for Futures Business Representatives”
March 13	“Talent-recruitment Presentation” at Chung Yuan Christian University
March 14	“Talent-recruitment Presentation ” at Kun Shan University
March 15	The first ISO appraisal for 2007
March 15-June 12	The first term of the “Basic Training Course for Futures Traders”
March 19-29	The second term of the “Basic Training Course for Futures Traders”
March 21	“Talent-recruitment Presentation” at Ta Hua Institute of Technology
March 23	“Talent-recruitment Presentation” at Yu Da Collage of Business
March 27	“Talent-recruitment Presentation” at National Pingtung Institute of Commerce

<b>Date</b>	<b>Event</b>
March 28	The 11 <sup>th</sup> joint meeting of the first board of standing directors and supervisors
March 28	Anti-money laundry seminar for futures companies (in Taipei)
March 28	Welcome party for new futures business representatives
March 29	“Talent-recruitment Presentation” at Longhua University of Science and Technology
April 4	“Talent-recruitment Presentation” at Hsuan Chuang University
April 4	Anti-money laundry seminar for futures companies (in Taoyuan)
April 10	Seminar for experience-sharing by futures dealers
April 11	“Talent-recruitment Presentation” at Vanung University
April 11	Anti-money laundry seminar for futures companies (in Taichung)
April 12	“Talent-recruitment Presentation” at Shu Te University
April 13	“Talent-recruitment Presentation” at National Chengchi University
April 17	Research report on feasibility for futures companies to trade OTC-listed financial derivatives and governing regulations
April 17	Speech on practice and experience of futures trust fund by Dr. Jerry Webman of Baring Oppenheimer Funds plc
April 18	“Talent-recruitment Presentation” at Hsiuping Institute of Technology
April 19	Anti-money laundry seminar for futures companies (Kaohsiung)
April 21-July 1	The sixth term of the “Basic Training Course for Futures Business Representatives”
April 25	Anti-money laundry seminar for futures companies (Tainan)
April 27-28	Futures management and practice workshop for high-ranking executives
May 2	Anti-money laundry seminar for futures companies (Taipei II)
May 4	“Talent-recruitment Presentation” at National Yunlin University of Science and Technology

<b>Date</b>	<b>Event</b>
May 5	Seminar for experience-sharing by futures dealers
May 7	The 18 <sup>th</sup> joint meeting of the first board of directors and supervisors
May 7	“Talent-recruitment Presentation” at National Taiwan University of Science and Technology
May 10	“Talent-recruitment Presentation” at Tamkang University
May 10	Anti-money laundry seminar for futures companies (Taipei III)
May 13	2007 Futures Job Expo & Charity Garden Activity for Mother's Day
May 15-20	Trip of board members and supervisors to Changsha, Hunan Province, China
May 17	“Talent-recruitment Presentation” at National Taipei University of Technology
May 17	Anti-money laundry seminar for futures companies (Hualien)
May 25	Anti-money laundry seminar for futures companies (Ilan)
May 25	Conference on financial futures trading strategiesexperience of CME
May 25-26	Trip of committee members to Hsitao, central Taiwan
June 1	The 12 <sup>th</sup> joint meeting of the first board of standing directors and supervisors
June 4-July3	The seventh term of the “Basic Training Course for Futures Business Representatives”
June 5	The 19 <sup>th</sup> joint meeting of the first board of directors and supervisors
June 6	Dating with Futures Masterlecturer on “How to be a happy futures trader”
June 13	Seminar on mobile phone communications and advertisement activities
June 14	The 20 <sup>th</sup> joint meeting of the first board of directors and supervisors
June 20	General Meeting of Members
June 28	2007 Futures Forum (II): How to strengthen self-discipline of futures companies
July 1	Launch of “The Fun of Futures” CD

<b>Date</b>	<b>Event</b>
July 2	Seminars on rules for securities investment consulting companies in offering futures consulting services
July 4-13	The seventh term of the “Basic Training Course for Futures Business Representatives”
July 7-Sept. 2	The eighth term of the “Basic Training Course for Futures Business Representatives”
July 9-20	Selection of qualified persons to participant the seventh term of the “Training Program for Futures Business Representatives”
July 10	Seminar on regulations governing futures trust business and futures trust fund
July 16	2007 International Conference, co-sponsored by the Association, the Taiwan Futures Exchange (TAIFEX), and the Financial Engineering Association of Taiwan (FEAT)
July 23	Briefing of Taiwan Securities Central Depository Company (TSCD) on settlement system for futures trust business
July 24	Seminar on regulations governing futures trust business and futures trust fund
July 26	The first joint meeting of the second board of directors and supervisors
Aug. 2	Seminar on risk control for futures trust fund
Aug. 9	Seminar on challenges and problems of futures trust business
Aug. 9-Oct. 30	The third term of “Basic Training Course for Futures Traders”
Aug. 10	Dating with Futures Masterlecture on Korean experience
Aug. 15	Lecture at Association of Futures Business Representatives ( lecturer: Hsu Ming-chu, deputy manager at Fubon Financial Holding)
Aug. 21	The first joint meeting of second board of standing directors and supervisors
Aug. 29	Visit of Shengzhen Futures Association and Jinrai Futures Company
Aug. 30	Report on feasibility for futures companies to offer OTC-listed financial derivatives business and governing regulations
Sept. 3	Dating with Futures Masterlecture on “trading strategies for combination of securities, futures, and options”

<b>Date</b>	<b>Event</b>
Sept. 13	Lecture at Association of Futures Business Representatives (lecturer: Yuan Pei-chi, manager at KGI Financial Holding)
Sept. 14	The second ISO appraisal in 2007
Sept. 11-21	Selection of qualified persons to participant the eighth term of the “Training Program for Futures Business Representatives”
Sept. 20-Dec. 11	The third term of “Basic Training Course for Futures Traders”
Sept. 21-Oct. 1	New York trip for business inspection
Sept. 27	The second joint meeting of second board of standing directors and supervisors
Sept. 28	Seminar on application of financial engineering in futures trading
Oct. 1-2	International conference on risk control for financial derivatives fund
Oct. 5	Visit at Securities and Futures Bureau
Oct. 10-12	The 3 <sup>rd</sup> FIA Asia Derivatives Conference 2007
Oct. 16	Mountain-climbing activity, co-sponsored by Bills Finance Association
Oct. 24	Lecture at Association of Futures Business Representatives (lecturer: Li Tsun-hsiou, professor at National Taiwan University)
Oct. 25	The second joint meeting of second board of directors and supervisors
Oct. 27	2007 Financial Carnival
Nov. 1	Training Course for Financial engineers
Nov. 15-16	2007 Forum on European and American Futures Trust Fund
Nov. 21	Lecture at Association of Futures Business Representatives (lecturer: Mei Wei-kang, senior futures trader)
Nov. 22	Seminar on IFRS 39
Nov. 23-Dec. 2	Participation in FIA 2007 Expo held in Chicago

Date	Event
Dec. 1	Launch of “Futures Winners” CD
Dec. 4	Report on risk-control mechanism for futures trust fund
Dec. 6	The third joint meeting of second board of standing directors and supervisors
Dec. 12	Lecture at Association of Futures Business Representatives (lecturer: Chen Ming-chih, chairman of Chi Far Securities Investment Consultant)
Dec. 13	Public hearing on KPMG accounting system for futures trust business
Dec. 17	Visit of Hunan Futures Association
Dec. 20	Completion of office procurement plan (12 <sup>th</sup> floor of An-Dun International Building)
Dec. 21	The third joint meeting of second board of standing directors and supervisors



# 柒、會員名錄 VII. 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台北市仁愛路四段296號17樓 17F, 296 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-23269899	02-27087967	<a href="http://www.onrich.com.tw">http://www.onrich.com.tw</a>
F002	永豐期貨股份有限公司 SinoPac Futures Corp.	100台北市重慶南路一段2號8樓 8F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894228	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
F004	中興期貨股份有限公司 KGI Futures Co., Ltd.	100台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 100, Taiwan	02-23619889	02-23712867	<a href="http://www.KGI-futures.com.tw">http://www.KGI-futures.com.tw</a>
F005	國票期貨經紀股份有限公司 Waterland Futures Co., Ltd	106台北市忠孝東路四段231號3樓 3F, 231 Sec. 4., Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27786060	02-27715522	<a href="http://www.wlf.com.tw">http://www.wlf.com.tw</a>
F006	元大期貨股份有限公司 Yuanta Futures Co.,Ltd.	104台北市南京東路三段225號12樓 12F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	<a href="http://www.yuantafutures.com.tw">http://www.yuantafutures.com.tw</a>
F007	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104台北市南京東路二段111號4樓 4F, 111 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	<a href="http://www.jihsunfutures.com.tw">http://www.jihsunfutures.com.tw</a>
F008	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號地下1樓 B1, 8, Dongsing Rd., Taipei 105, Taiwan	02-27488338	02-27488335	<a href="http://www.pfcf.com.tw">http://www.pfcf.com.tw</a>
F010	金鼎期貨經紀股份有限公司 Taiwan International Futures Corp.	106台北市敦化南路二段97號地下一樓 B1, 97 Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-27084567	02-27065289	<a href="http://www.tisc.com.tw">http://www.tisc.com.tw</a>
F013	大華期貨股份有限公司 Grand Cathay Futures Corp.	100台北市忠孝西路一段100號13樓 13F, 100 Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	<a href="http://www.gcf.com.tw">http://www.gcf.com.tw</a>
F014	華南期貨經紀股份有限公司 Hua Nan Futures Co., Ltd.	105台北市民生東路四段54號3樓 3F, 54 Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	<a href="http://www.entrust.com.tw/tid2/index1024.asp">http://www.entrust.com.tw/tid2/index1024.asp</a>
F018	元富期貨股份有限公司 MasterLink Futures Corp.	106台北市復興南路一段209號4樓 4F, 209 Sec.1, Fushing S., Taipei 106, Taiwan	02-27213458	02-87732029	<a href="http://www.masterlink.com.tw">http://www.masterlink.com.tw</a>
F020	群益期貨股份有限公司 Capital Futures Corp.	110台北市松仁路97號4樓 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87800099	02-87893782	<a href="http://www.capitalfutures.com.tw/">http://www.capitalfutures.com.tw/</a>
F021	寶來曼氏期貨股份有限公司 Polaris Man Financial Futures Co., Ltd.	106台北市敦化南路2段69號10樓 10F, 69 Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27008989	02-27008363	<a href="http://futures.polaris.com.tw/">http://futures.polaris.com.tw/</a>
F023	台証期貨股份有限公司 Taiwan Futures Co., Ltd.	104台北市建國北路1段96號11樓 11F, 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-25169009	02-25078794	<a href="http://www.twfc.com.tw">http://www.twfc.com.tw</a>
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	<a href="http://www.fbf.com.tw/">http://www.fbf.com.tw/</a>
F029	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	<a href="http://www.concordfutures.com.tw">http://www.concordfutures.com.tw</a>
F030	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110台北市忠孝東路四段563號4樓 4F, 563 Sec.4, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-87878080	02-27642513	<a href="http://www.megafutures.com.tw/">http://www.megafutures.com.tw/</a>
F035	香港商新際期貨經紀股份有限公司台灣分公司 Newedge Broker Limited Taiwan Branch	110台北市信義路4段460號7樓之1 7F, 460 Sec.4, Hsin-Yi Rd., Taipei 110, Taiwan	02-87231800	02-87231850	<a href="http://www.newedgegroup.com/web/guest/home">http://www.newedgegroup.com/web/guest/home</a>
F036	美林亞洲期貨股份有限公司 Merrill Lynch Futures Asia Ltd.	106 台北市敦化南路二段207號17樓 17F, 207 Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-23763586	02-23763574	<a href="http://www.ml.com">http://www.ml.com</a>
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台北市南京東路四段161號3樓 3F, 161 Sec.4, Nanking E. Rd., Taipei 105, Taiwan	02-27137590	02-27137648	<a href="http://www.admis.com">http://www.admis.com</a>
R208	新加坡商華大期貨經紀有限公司台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	105台北市民生東路三段109號16樓 16F, 109 Sec.3, Min Sheng E. Rd., Taipei 105, Taiwan	02-25456163	02-27199435	<a href="http://www.uob.com.sg">http://www.uob.com.sg</a>
R217	日商聯貿期貨經紀股份有限公司台北分公司 Nihon Unicom Corp. Taipei Branch	105台北市民生西路三巷9號7樓 7F, 9, Lane 3, Min Sheng W. Rd., Taipei 105, Taiwan	02-25255777	02-25255476	<a href="http://www.tw-unicom.com/cetacean/front/bin/home.phtml">http://www.tw-unicom.com/cetacean/front/bin/home.phtml</a>
R219	新加坡商明富環球期貨股份有限公司台灣分公司 MF Global Singapore Pte. Taiwan Branch	105台北市敦化南路一段1號6樓 6F, 1 Sec.1, Tun Hwa S. Rd., Taipei 105, Taiwan	02-25798118	02-25704868	<a href="http://www.mfglobal.com/pages/default.aspx">http://www.mfglobal.com/pages/default.aspx</a>
S109	台灣工銀證券股份有限公司 IBT Securities Co., Ltd.	114台北市堤頂大道2段99號5樓 5F, 99, Sec.2, Tiding Blvd, Taipei 114, Taiwan	02-26561111	02-26561212	<a href="http://www.ibts.com.tw/">http://www.ibts.com.tw/</a>
S152	瑞士商瑞士信貸證券股份有限公司台北分公司 Credit Suisse, Taipei Branch	105台北市民生東路三段109號5樓 5F, 109 Sec.3, Minsheng E. Rd., Taipei 105, Taiwan	02-27156388	02-27188934	<a href="http://www.credit-suisse.com">http://www.credit-suisse.com</a>

代號	公司名稱 (Company)	公司地址 (Address)	電話(Tel)	傳真(Fax)	公司網址(Website)
S159	花旗環球國際證券股份有限公司 Citigroup Global Markets Taiwan Securities Company Limited	110台北市信義路5段8號3樓 3F, 8, Sec. 5, Sinyi Rd., Taipei 110, Taiwan	02-87251888	02-87251858	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, Songren 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台北市重慶南路一段86號2樓 2F, 86 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	http://www.osc.com.tw
S505	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	103台北市承德路一段17號17樓 17F, 17 Sec. 1, Cheng Teh Rd., Taipei 103, Taiwan	02-25551234	02-25554200	http://www.tachan.com.tw/
S518	太平洋證券股份有限公司 Pacific Securities Co., Ltd.	106台北市忠孝東路四段200號13樓 13F, 200 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27771111	02-27774125	http://www.nettrade.com.tw/
S526	大慶證券股份有限公司 Ta Ching Securities Co., Ltd.	104台北市民生東路二段174號4樓 4F, 174 Sec.2, Minsheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.tcstock.com.tw/
S601	犛亞證券股份有限公司 Primasia Securities Co., Ltd.	105台北市復興北路99號3樓 3F, 99 Fushin N. Rd., Taipei 105, Taiwan	02-27180101	02-27193771	http://www.primasia.com.tw
S616	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	110台北市松壽路3號10樓 10F, 3 Sung Shou Rd., Taipei 110, Taiwan	02-87808867	02-87894626	http://www.chinatrustsec.com.tw/
S645	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	建置中
S646	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	220台北縣板橋市東門街30號2樓 2F, 30 Tung-men St., Panchiao, Taipei 220, Taiwan	02-29689685	02-29676069	http://www.dcn.com.tw
S653	大眾綜合證券股份有限公司 Ta Chong Securities Co., Ltd.	807高雄市壽昌路93號2樓 2F,93 Shou Chang Rd., Kaohsiung 807, Taiwan	07-3871166	07-3854985	http://www.tcsc.com.tw
S703	致和證券股份有限公司 Concord International Securities Co., Ltd.	704台南市西門路三段10號 10 Shi-Men Rd., Sec.3, Tainan 704, Taiwan	06-2219777	06-2286324	http://www.wintan.com.tw/
S753	富順證券股份有限公司 Full Sun Securities Co., Ltd.	241台北縣三重市自強路一段73號3樓 3F,73 Sec.1, Tzu-Cheang Rd., Shanchung, Taipei 241, Taiwan	02-29818889	02-89810727	http://www.fullsun.com.tw
S838	安泰證券股份有限公司 Antay Securities Co., Ltd.	830高雄縣鳳山市五福二路36號 36 Wu Fu 2 <sup>nd</sup> Rd., Fong Shan, Kaohsiung 830, Taiwan	07- 8122789	07-8315419	建置中
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110台北市信義路五段106號3樓 3F, 106 Hsinyi Rd., Sec.5, Taipei 110, Taiwan	02-87862288	02-27253183	http://www.jpmorgan.com
S856	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.	100台北市重慶南路一段66之1號5樓 5F, 66 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23118181	02-23118736	http://www.skis.com.tw/
S869	新壽綜合證券股份有限公司 Shinkong Securities Co., Ltd	110台北市信義路四段456號地下1樓 B1, 456 Sec.4, Hsin-Yi Rd., Taipei 110, Taiwan	02-23451668	02-23454449	http://www.sksc.com.tw/
S889	大和國泰證券股份有限公司 Daiwa Securities Smbc-cathay Co., Ltd.	110台北市基隆路一段200號13樓 13F, 200 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-27239698	02-23453640	http://www.daiwasmbc-cathay.com.tw/
B093	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路四段54號5樓 5F, 54 Sec.4, Min-sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25459231	http://www.entrust.com.tw
B094	台証綜合證券股份有限公司 Taiwan Securities Co., Ltd.104	台北市南京東路2段137號4樓 4F, 137 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25075000	02-25066833	http://www.tsc.com.tw
B096	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.106	台北市敦化南路一段108號B1 B1, 108 Sec.1, Tunhwa S. Rd., Taipei 106, Taiwan	02-87716888	02-87716795	http://www.fbs.com.tw
B097	寶來證券股份有限公司 Polaris Securities Co., Ltd.106	台北市忠孝東路四段270號3樓 3F,270 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-87918899	02-87923234	http://www.polaris.com.tw
B098	元大證券股份有限公司 Yuanta Securities Co., Ltd.	104台北市南京東路三段225號12樓 12F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
B102	合作金庫商業銀行股份有限公司 Taiwan Cooperative Bank	100台北市忠孝東路四段325號2樓 2F,325 Sec.4, Chung Hsiao E. Rd., Taipei 100, Taiwan	02-27312798	02-87717193	http://www.tcb-bank.com.tw/
B103	臺灣土地銀行股份有限公司 Land Bank Of Taiwan Co., Ltd.	100台北市延平南路81號 81 Yen-Ping S. Rd., Taipei 100, Taiwan	02-23483974	02-23891864	http://www.landbank.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)
B104	臺銀綜合證券股份有限公司 Bank Taiwan Securities Co., Ltd.	100 台北市重慶南路一段58號2,3樓 2F., 58, Sec. 1, Chongcing S. Rd., Taipei 100, Taiwan (R.O.C.)	02-23882188	02-23822045	<a href="http://www.twthsec.com.tw/default.aspx">http://www.twthsec.com.tw/default.aspx</a>
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	<a href="http://www.tbb.com.tw">http://www.tbb.com.tw</a>
B116	日盛證券股份有限公司 Jih Sun Securities Co., Ltd.	104台北市南京東路二段111號3樓 3F, 111 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25071047	<a href="http://www.jihsun.com.tw/">http://www.jihsun.com.tw/</a>
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2樓 2F,68, Hengyang Rd., Taipei 100, Taiwan	02-23619654	02-23113726	<a href="http://www.chb.com.tw">http://www.chb.com.tw</a>
B126	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路四段236號3樓 3F, 236 Sec.4 Hsin-Yi Rd., Taipei 106, Taiwan	02-27008899	02-27006088	<a href="http://www.honsec.com.tw/">http://www.honsec.com.tw/</a>
B511	富隆證券股份有限公司 Fullong Securities Co., Ltd.	105台北市南京東路三段287號3樓 3F,287 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27182788	02-27183445	<a href="http://www.fullong.com.tw">http://www.fullong.com.tw</a>
B527	群益證券股份有限公司 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	<a href="http://www.capital.com.tw">http://www.capital.com.tw</a>
B532	高橋證券股份有限公司 Goldengate Securities Co., Ltd.	320桃園縣中壢市中和路96號 96 Chung-ho Rd., Chungli, Taoyuan 320, Taiwan	03-4224243	03-4225738	<a href="http://www.easytrade.com.tw">http://www.easytrade.com.tw</a>
B538	一銀證券股份有限公司 First Taisec Securities Inc.	106台北市安和路一段29號7樓 7F, 29 Anho Rd., Sec.1, Taipei 106, Taiwan	02-27413434	02-27752231	<a href="http://www.ftsi.com.tw">http://www.ftsi.com.tw</a>
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., Beitun District, Taichung 406, Taiwan	04-22309377	04-22371684	建置中
B550	豐銀證券股份有限公司 Forwin Securities Corp.	105台北市南京東路五段188號14樓 14F, 188 Sec.5, Nanking E. Rd., Taipei 105, Taiwan	02-27482828	02-27481818	<a href="http://www.forwin.com.tw">http://www.forwin.com.tw</a>
B551	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20樓 20F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23495123	02-23823540	<a href="http://www.sinopacsecurities.com">http://www.sinopacsecurities.com</a>
B560	永興證券股份有限公司 Yung Shin Securities Co., Ltd.	100台北市南海路20號2樓 2F, 20 Nanhai Rd., Taipei 100, Taiwan	02-23218200	02-23516239	<a href="http://www.yss.com.tw">http://www.yss.com.tw</a>
B565	中信證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路698號3樓 3F,698 Mingshui Rd., Taipei 104 Taiwan	02-21818888	02-85011121	<a href="http://www.kgiworld.com.tw/">http://www.kgiworld.com.tw/</a>
B566	日進證券股份有限公司 Fortune Securities Co.,	360苗栗市中正路426號4樓 4F, 426 Chung-cheng Rd., Miaoli 360, Taiwan	037-332266	037-335228	建置中
B569	豐興證券股份有限公司 Fong Shing Securities Co., Ltd.	420台中縣豐原市中正路220號3樓 3F, 220 Chungcheng Rd., Fengyuan, Taichung 420, Taiwan	04-25277150	04-25261151	<a href="http://www.fstk.com.tw">http://www.fstk.com.tw</a>
B572	大華證券股份有限公司 Grand Cathay Securities Corp.	100台北市許昌街17號3樓 3F, 17 Hsuehchang ST., Taipei 100, Taiwan	02-23148800	02-23819565	<a href="http://www.gcsc.com.tw">http://www.gcsc.com.tw</a>
B582	金鼎綜合證券股份有限公司 Taiwan International Securities Corp.	106台北市敦化南路二段97號地下一樓 B1, 97 Sec.2, Tunhwa S. Rd., Taipei 106, Taiwan	02-27052888	02-27051513	<a href="http://www.tisc.com.tw">http://www.tisc.com.tw</a>
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	<a href="http://www.pscnet.com.tw">http://www.pscnet.com.tw</a>
B586	盈溢證券股份有限公司 Ying Yi Securities Co., Ltd..	800高雄市新興區七賢二路10號 10 Chihhsien 2 <sup>nd</sup> Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	建置中
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., Hualian 970, Taiwan	03-8352181	03-8353447	建置中
B592	元富證券股份有限公司 Master Link Securities Corp.	106台北市復興南路一段209號1樓 1 F, 209 Sec.1, Fuhsing S.RD., Taipei 106, Taiwan	02-23255818	02-23257923	<a href="http://www.masterlink.com.tw">http://www.masterlink.com.tw</a>
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	<a href="http://www.gmstock.com.tw">http://www.gmstock.com.tw</a>
B620	長城證券股份有限公司 Ever Advance Securities Co., Ltd.	106台北市大安區仁愛路四段85號2樓 2F, 85 Sec.4, Ren-ai RD., Taipei 106, Taiwan	02-27719999	02-87718133	<a href="http://www.owin.com.tw/">http://www.owin.com.tw/</a>
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 Chunghwa 3 Rd., Kaohsiung801, Taiwan	07-2118888	07-2512518	建置中

代號	公司名稱 (Company)	公司地址 (Address)	電話(Tel)	傳真(Fax)	公司網址(Website)
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	<a href="http://www.kuanzho.com.tw/">http://www.kuanzho.com.tw/</a>
B648	福邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104台北市南京東路一段52號2樓 2F, 52 Sec.1, Nanking E. Rd., Taipei 104, Taiwan	02-23966555	02-33225222	<a href="http://www.sunsec.com.tw">http://www.sunsec.com.tw</a>
B662	全泰證券股份有限公司 Chuan Tai Securities Co., Ltd.	330桃園市三民路三段317號4樓 4F, 317 Sec.3, San-ming Rd., Taoyuan 330, Taiwan	03-3353359	03-3345286	建置中
B664	渣打國際商業銀行股份有限公司 Standard chartered Bank(Taiwan)	330桃園市中正路465號3樓 3 F, 465 Chung-cheng RD., Taoyuan 330, Taiwan	03-5245131	03-5284138	<a href="http://www.standard.chartered.com.tw">http://www.standard.chartered.com.tw</a>
B666	和興證券股份有限公司 Hosin Securities Co., Ltd.	234台北縣永和市中正路455號3樓 3F, 455 Chung Cheng Rd., Yung-ho, Taipei 234, Taiwan	02-29229797	02-29225700	建置中
B691	德信綜合證券股份有限公司 Reliance Securities Co., Ltd.	100台北市新生南路一段50號3樓 3F, 50 Sec.1, Shinsheng S. Rd., Taipei 100, Taiwan	02-23939988	02-23567722	<a href="http://www.rsc.com.tw">http://www.rsc.com.tw</a>
B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251台北縣淡水鎮中正路63號5樓 5F, 63 Chung Chen Rd., Tanshui, Taipei 251, Taiwan	02-26251818	02-26251705	建置中
B700	兆豐證券股份有限公司 Mega Securities Co., Ltd.	106台北市忠孝東路二段95號2樓 2F, 95 Sec.2, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-23278988	02-33932995	<a href="http://www.megasec.com.tw/">http://www.megasec.com.tw/</a>
B702	信富證券股份有限公司 Shin Fan Securities Co., Ltd.	613嘉義縣朴子市山通路43號2樓 2F, 43 San Tung Rd., Pu-Tzu, Chiayi 613, Taiwan	05-3700988	05-3700909	建置中
B707	豐農證券股份有限公司 Feng Long Securities Co., Ltd.	420台中縣豐原市水源路669號 669 Shuiyuan Rd., Fungyuan, Taichung 420, Taiwan	04-25281000	04-25253100	建置中
B712	台安證券股份有限公司 Tai-An Securities Co., Ltd.	403台中市民權路234號 234, Minchiuan Rd., Taichung 403, Taiwan	04-22020208	04-22024374	建置中
B767	金港證券股份有限公司 Goldport Stock Corp.	802高雄市三多二路93號2樓 2F, 93 Sando 2 <sup>nd</sup> Rd., Kaohsiung 802, Taiwan	07-7129399	07-7133579	建置中
B769	金興證券股份有限公司 Ching Shing Securities Co., Ltd.	360苗栗市北苗里義民街51號 51 Yimin St, Pei-miao LI, Miaoli 360, Taiwan	037-266666	037-266060	建置中
B775	北城證券股份有限公司 Pei Cheng Securities Co., Ltd.	234台北縣永和市永和路二段116號3樓 3F,116 Sec.2, Yung-ho Rd., Yung-ho, Taipei 234, Taiwan	02-29283456	02-29291620	<a href="http://www.peicheng.com.tw">http://www.peicheng.com.tw</a>
B778	富星證券股份有限公司 Fu Hsing Securities Co., Ltd.	632雲林縣虎尾鎮和平路1號4樓 4F, 1 Ho Ping Rd., Hu Wei Chen, Yunlin 632, Taiwan	05-6334888	05-6334700	<a href="http://www.fuhsin.com.tw/">http://www.fuhsin.com.tw/</a>
B779	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	103台北市重慶北路三段199號B1 B1, 199 Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	<a href="http://www.wls.com.tw">http://www.wls.com.tw</a>
B790	金豐證券股份有限公司 King Fong Securities Co., Ltd.	420台中縣豐原市中山路481號 481, Chung Shan Rd., Feng-Yuan, Taichung 420, Taiwan	04-25282800	04-25282306	建置中
B815	東興證券股份有限公司 Tong Shing Securities Co., Ltd.	800高雄市七賢一路301號2樓 2F,301 Chhsien 1 Rd., Kaoshiung 800, Taiwan	07-2366657	07-2385274	建置中
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B1 B1, 176 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-87871888	02-27697562	<a href="http://www.6016.com">http://www.6016.com</a>
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	05-228991105-2273459		建置中
B852	中農證券股份有限公司 Chung Nour Securities Co., Ltd.	435台中縣梧棲鎮四維中路157巷1號2樓 2F, 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435 Taiwan	04-2657280104-26564499		建置中
B858	聯邦商業銀行股份有限公司 Union Bank of Taiwan Co., Ltd.	104台北市南京東路二段137號2樓 2F, 137 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25040066	02-25171241	<a href="http://www.ubot.com.tw">http://www.ubot.com.tw</a>
B866	萬通證券股份有限公司 Vantone Securities Co., Ltd.	104台北市松江路301號2樓 2F, 301 Sung Chiang Rd., Taipei 104, Taiwan	02-25156655	02-25026363	建置中
B871	陽信證券股份有限公司 Sunny Securities Co., Ltd.	105台北市民生東路五段165號B2 B2,165 Sec.5, Min-sheng E. Rd., Taipei 105, Taiwan	02-28288585	02-28213444	<a href="http://www.sunnysec.com.tw">http://www.sunnysec.com.tw</a>
B874	昇豐證券股份有限公司 Sun-Fund Securities Co., Ltd.	110台北市忠孝東路五段508號2樓 2F,508 Sec.5, Chung Hsiao E. Rd., Taipei ,110 Taiwan	02-23465858	02-27282684	<a href="http://www.sun-fund.com/">http://www.sun-fund.com/</a>

代號	公司名稱 (Company)	公司地址 (Address)	電話(Tel)	傳真(Fax)	公司網址(Website)
B877	大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	265宜蘭縣羅東鎮公正路154號3樓 3F,154, Gongzheng Rd., Luodong, Yilan 265, Taiwan	03-9566999	03-9532669	<a href="http://www.ycsc.com.tw">http://www.ycsc.com.tw</a>
B880	鼎富證券股份有限公司 Team Pro Securities Co., Ltd.	106台北市忠孝東路四段300號7樓 7F, 300 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-87739666	02-87739899	建置中
B884	玉山綜合證券股份有限公司 E. Sun Securities Corp.	105台北市民生東路三段117號地下1樓 B1,117 Sec.3, Min-sheng E. Rd., Taipei 105, Taiwan	02-23821313	02-23815689	<a href="http://www.esunsec.com.tw">http://www.esunsec.com.tw</a>
B885	鑫豐證券股份有限公司 Shing Fong Securities Co., Ltd.	103台北市民權西路104號8樓 8F,104, Mincyuan W. Rd., Taipei 103, Taiwan	02-25538000	02-25548064	<a href="http://www.promoney.com.tw/">http://www.promoney.com.tw/</a>
B888	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市仁愛路四段296號17樓 17F, 296 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-23269888	02-27003670	<a href="http://www.cathaysec.com.tw">http://www.cathaysec.com.tw</a>
P001	永豐期貨股份有限公司-自營 SinoPac Futures Corp.	100台北市重慶南路一段2號8樓 8F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894228	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
P002	兆豐證券股份有限公司-自營 Mega Securities Co., Ltd.	100台北市忠孝東路二段95號4樓 4F, 95 Sec.2, Chung Hsiao E. Rd., Taipei 100, Taiwan	02-33227073	02-33933052	<a href="http://www.megasec.com.tw/">http://www.megasec.com.tw/</a>
P003	統一期貨股份有限公司-自營 President Futures Corp.	105台北市東興路8號地下1樓 B1, 8, Dongsing Rd., Taipei 105, Taiwan	02-27488338	02-27488335	<a href="http://www.pfcf.com.tw">http://www.pfcf.com.tw</a>
P004	寶來曼氏期貨股份有限公司-自營 Polaris Man Financial Futures Co., Ltd.	106台北市敦化南路2段69號10樓 10F, 69 Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27008989	02-27008363	<a href="http://futures.polaris.com.tw/">http://futures.polaris.com.tw/</a>
P005	日盛期貨股份有限公司-自營 Jih Sun Futures Co., Ltd.	104台北市南京東路二段139號8樓 8F, 139 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	<a href="http://www.jihsunfutures.com.tw">http://www.jihsunfutures.com.tw</a>
P006	群益期貨股份有限公司-自營 Capital Futures Corp.	110台北市松仁路97號4樓 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87800099	02-87893782	<a href="http://www.capitalfutures.com.tw/">http://www.capitalfutures.com.tw/</a>
P008	元富證券股份有限公司-自營 MasterLink Securities Corp.	106台北市敦化南路二段97號19樓 19F, 97 Sec. 2, Tun Hwa S.Rd., Taipei 106, Taiwan	02-23255818	02-27000208	<a href="http://www.masterlink.com.tw">http://www.masterlink.com.tw</a>
P009	寶來證券股份有限公司-自營 Polaris Securities Co., Ltd.	106台北市敦化南路二段97號29樓 29F, 97 Sec. 2, Tun Hwa S.Rd., Taipei 106, Taiwan	02-87918899	02-87922644	<a href="http://www.polaris.com.tw">http://www.polaris.com.tw</a>
P010	永豐金證券股份有限公司-自營 SinoPac Securities Corp.	105台北市八德路2段308號5樓 5F,308 Sec. 2, Bade Rd., Taipei 105, Taiwan	02-23823866	02-23823529	<a href="http://www.sinopacsecurities.com">http://www.sinopacsecurities.com</a>
P012	元大期貨股份有限公司-自營 Yuanta Futures Co.Ltd.	104 台北市南京東路三段225號12樓及12樓之1 12F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27176000	02-25454913	<a href="http://www.yuantafutures.com.tw">http://www.yuantafutures.com.tw</a>
P014	大展證券股份有限公司-自營 Ta Chan Securities Co., Ltd.	103台北市承德路一段17號17樓 17F, 17 Sec. 1, Cheng Teh Rd., Taipei 103, Taiwan	02-25551234	02-25554200	<a href="http://www.tachan.com.tw/">http://www.tachan.com.tw/</a>
P015	元富期貨股份有限公司-自營 Master Link Futures Corp.	106台北市復興南路一段209號4樓 4F, 209 Sec.1, Fushing S., Taipei 106, Taiwan	02-27213458	02-87732029	<a href="http://www.masterlink.com.tw">http://www.masterlink.com.tw</a>
P016	群益證券股份有限公司-自營 Capital Securities Corp.	110台北市松仁路101號16樓 16F,101 Sung Jen Rd., Taipei 110, Taiwan	02-87898888	02-87800077	<a href="http://www.capital.com.tw">http://www.capital.com.tw</a>
P017	台証綜合證券股份有限公司-自營 Taiwan Securities Co., Ltd.	106 台北市仁愛路四段118號11樓 11F, 118 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-25075000	02-25047246	<a href="http://www.tsc.com.tw">http://www.tsc.com.tw</a>
P018	金鼎綜合證券股份有限公司-自營 Taiwan International Securities Corp.	106台北市敦化南路二段99號31樓部分 31, 99 Sec.2, Tunhwa S. Rd., Taipei 106, Taiwan	02-27052888	02-23262243	<a href="http://www.tisc.com.tw">http://www.tisc.com.tw</a>
P020	中信證券股份有限公司-自營 KGI Securities Co., Ltd.	104台北市明水路700號9樓 9F,700 Mingshui Rd., Taipei 104 Taiwan	02-21818888	02-85011121	<a href="http://www.kgiworld.com.tw/">http://www.kgiworld.com.tw/</a>
P022	富邦綜合證券股份有限公司-自營 Fubon Securities Co., Ltd.	106台北市仁愛路四段169號16樓 16F, 169 Sec. 4, Ren-ai Rd., Taipei 106, Taiwan	02-27767819	02-27210783	<a href="http://www.fbs.com.tw">http://www.fbs.com.tw</a>
P023	大華證券股份有限公司-自營 Grand Cathay Securities Corp.	100台北市重慶南路一段2號13樓 13F,2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23148800	02-23819565	<a href="http://www.gcsc.com.tw">http://www.gcsc.com.tw</a>
P024	統一綜合證券股份有限公司-自營 President Securities Corp.	105台北市東興路8號3樓 3F,8 Tong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	<a href="http://www.pscnet.com.tw">http://www.pscnet.com.tw</a>
P025	大和國泰證券股份有限公司-自營 Daiwa Securities Smbc-catcay Co., Ltd.	110台北市基隆路一段200號13樓 13F, 200 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-27239698	02-23453640	<a href="http://www.daiwasmbc-cathay.com.tw/">http://www.daiwasmbc-cathay.com.tw/</a>

代號	公司名稱 (Company)	公司地址 (Address)	電話(Tel)	傳真(Fax)	公司網址(Website)
P026	華南永昌綜合證券股份有限公司-自營 HuaNan Securities Co., Ltd.	105台北市民生東路四段54號5樓 5F, 54 Sec.4, Min-sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25454122	http://www.entrust.com.tw
P027	台灣工銀證券股份有限公司-自營 IBT Securities Co., Ltd.	114台北市堤頂大道2段99號5樓 5F, 99, Sec.2, Tiding Blvd, Taipei 114, Taiwan	02-26561111	02-26561212	http://www.ibts.com.tw/
P028	元大證券股份有限公司-自營 Yuanta Core Pacific Securities Co., Ltd.	104台北市南京東路三段225號14樓 14F, 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-自營 Jih Sun Securities Co., Ltd.	104台北市南京東路二段111號3樓 3F, 111 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25048400	http://www.jihsun.com.tw/
P031	康和綜合證券股份有限公司-自營 Concord Securities Corp.	110台北市基隆路一段176號B1 B1, 176 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-87871888	02-27697562	http://www.6016.com
P032	中信期貨股份有限公司-自營 KGI Futures Co., Ltd.	104 台北市明水路700號 700, Mingshuei Rd., Taipei 104, Taiwan	02-23619889	02-23712867	http://www.KGI-futures.com.tw
P033	國泰綜合證券股份有限公司-自營 Cathay Securities Co., Ltd.	106 台北市仁愛路四段296號17樓 17F, 296 Ren-ai RD., Sec.4, 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-自營 SG Securities (HK) Ltd., Taipei Branch	105 台北市民生東路三段109號6樓 6 F, 109 Sec.3, Minsheng E. RD., Taipei 105, Taiwan	02-27151486	02-25467376	http://www.socgen.com
P035	新壽綜合證券股份有限公司-自營 Shinkong Securities Co., Ltd	104 台北市南京東路二段123號2樓 2F, 123 Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25037890	02-66184556	http://www.sksc.com.tw/
P036	大眾綜合證券股份有限公司-自營 Ta Chong Securities Co., Ltd.	104台北市中山區復興南路1段2號2樓 2F, 2 Sec.1, Fushing S., Taipei 104, Taiwan	02-27790866	02-27790800	http://www.tcsc.com.tw
P037	亞東證券股份有限公司-自營 Oriental Securities Corp.	100台北市重慶南路一段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-自營 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	一銀證券股份有限公司-自營 First Taisec Securities Inc.	106台北市安和路一段27號6樓 6F, 27 Anho Rd., Sec.1, Taipei 106, Taiwan	02-27413434	02-27752231	http://www.ftsi.com.tw
P040	兆豐期貨股份有限公司-自營 Mega Futures Co., Ltd	110台北市忠孝東路四段563號4樓 4F, 563 Sec.4, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-87878080	02-27642513	http://www.bifc.com.tw/
P041	台証期貨股份有限公司-自營 Taiwan Futures Co., Ltd.	104台北市建國北路1段96號11樓 11F, 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-25169009	02-25078794	http://www.twfc.com.tw
P042	中國信託商業銀行股份有限公司-自營 Chinatrust Commercial Bank	110 台北市松壽路3號4樓、5樓 5F, 3 Sung Shou Rd., Taipei 110, Taiwan	02-27222002	02-27238674	http://hrbank.chinatrust.com.tw
P043	台北富邦商業銀行股份有限公司-自營 Taipei Fubon Commercial Bank Co. Ltd.,	106 台北市大安區仁愛路四段169號18樓 18F, 169 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-27716699	02-27210783	http://www.taipeifubon.com.tw/
P044	合作金庫商業銀行股份有限公司-自營 Taiwan Cooperative Bank	106 台北市忠孝東路4段325號5樓 5F,325 Sec.4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27312798	02-27312366	http://www.tcb-bank.com.tw/
P045	國票綜合證券股份有限公司-自營 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
A001	永豐期貨股份有限公司-顧問 SinoPac Futures Corp.	100台北市重慶南路一段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-顧問 President Futures Corp.	110台北市松山區東興路8號地下1樓 B1,8, Dongsing Rd., Taipei 110, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
A003	寶來曼氏期貨股份有限公司-顧問 Polaris Man Financial Futures Co., Ltd.	106台北市敦化南路2段69號10樓 10F, 69 Sec. 2, Tun Hwa S.Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://futures.polaris.com.tw/
A004	日盛期貨股份有限公司-顧問 Jih Sun Futures Co., Ltd.	104台北市南京東路二段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-顧問 Capital Futures Corp.	110台北市松仁路97號4樓 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
A006	國泰期貨股份有限公司-顧問 Cathay Futures Corp.	106 台北市仁愛路四段296號17樓 17F, 296 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.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)
A008	康和期貨股份有限公司-顧問 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	<a href="http://www.concordfutures.com.tw">http://www.concordfutures.com.tw</a>
A009	富邦期貨股份有限公司-顧問 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	<a href="http://www.fbf.com.tw/">http://www.fbf.com.tw/</a>
A010	元大期貨股份有限公司-顧問 Yuanta Futures Co., Ltd.	104 台北市南京東路三段225號12樓及12樓之1 12F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27176000	02-25454913	<a href="http://www.yuantafutures.com.tw">http://www.yuantafutures.com.tw</a>
A011	華南期貨經紀股份有限公司-顧問 Hua Nan Futures Co., Ltd.	105台北市民生東路四段54號3樓 3F, 54 Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	<a href="http://www.entrust.com.tw/fid2/index1024.asp">http://www.entrust.com.tw/fid2/index1024.asp</a>
A013	元富期貨股份有限公司-顧問 MasterLink Futures Corp.	106台北市復興南路一段209號4樓 4F, 209 Sec.1, Fushing S., Taipei 106, Taiwan	02-27213458	02-87732029	<a href="http://www.masterlink.com.tw">http://www.masterlink.com.tw</a>
A017	金鼎期貨經紀股份有限公司-顧問 Taiwan International Futures Corp.	106台北市敦化南路二段97號地下1樓 B1, 97, Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-27084567	02-27065289	<a href="http://www.tisc.com.tw">http://www.tisc.com.tw</a>
A018	台証期貨股份有限公司-顧問 Taiwan Futures Co., Ltd.	104台北市建國北路1段96號11樓 11F, 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-25169009	02-25075794	<a href="http://www.twfc.com.tw">http://www.twfc.com.tw</a>
A019	國票期貨經紀股份有限公司-顧問 Waterland Futures Co., Ltd	106台北市忠孝東路四段231號3樓 3F, 231 Sec. 4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27786060	02-27715522	<a href="http://www.wlf.com.tw">http://www.wlf.com.tw</a>
A020	兆豐期貨股份有限公司-顧問 Mega Futures Co., Ltd.	110台北市忠孝東路四段563號4樓 4F, 563 Sec.4, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-87878080	02-27642513	<a href="http://www.bifc.com.tw/">http://www.bifc.com.tw/</a>
A021	中信期貨股份有限公司-顧問 KGI Futures Co., Ltd.	100台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 100, Taiwan	02-23619889	02-23712867	<a href="http://www.KGI-futures.com.tw">http://www.KGI-futures.com.tw</a>
A022	大華期貨股份有限公司-顧問 Grand Cathay Futures Corp.	100台北市忠孝西路一段100號13樓 13F, 100 Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	<a href="http://www.gcfc.com.tw">http://www.gcfc.com.tw</a>
A024	國際大通證券投資顧問股份有限公司 International Da-tong Securities Investment Consultant	104台北市中山北路一段145號10樓 10F, 145 Sec.1, Jhongshan N. Rd., Taipei 104, Taiwan	02-25678502	02-25679794	建置中
A025	永豐金證券股份有限公司-顧問 SinoPac Securities Corp.	100 台北市重慶南路一段2號18樓 18F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23123866	02-23165233	<a href="http://www.sinopacsecurities.com.tw">http://www.sinopacsecurities.com.tw</a>
A026	運達證券投資顧問股份有限公司 Yun Ta Investment Consulting Co.,Ltd.	104 台北市朱崙街31號1樓 1F, 31, Jhulun , Taipei 104, Taiwan	02-55825305	02-55825187	建置中
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	02-66086266	<a href="http://www.marbo.com.tw/">http://www.marbo.com.tw/</a>
A028	啓發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant	100 台北市忠孝西路一段100號9樓、102號9樓 9F, 100 Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23820566	02-23313628	<a href="http://www.chifar.com.tw">http://www.chifar.com.tw</a>
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台北市羅斯福路二段102號23樓 23F, 102, Sec.2, Roosevelt Rd., Taipei 100, Taiwan	02-83695566	02-77258855	建置中
A030	亨達證券投資顧問股份有限公司 Hantec Securities Consultant Limited	110 台北市信義路5段7號24樓 24F., #7, Sec5, Hsin-I.Rd., Taipei, Taiwan	02-81010618	02-81010616	<a href="http://www.hantec.com.tw/main/index.aspx">http://www.hantec.com.tw/main/index.aspx</a>
A031	聯華證券投資顧問股份有限公司 United Asset Investment Consultant Services	104 台北市八德路二段232號9樓 9F, #232, Sec.2, Bade Rd., Taipei, Taiwan, R.O.C	02-27315444	02-27318155	建置中
A032	顧德證券投資顧問股份有限公司 Good Securities Investment Consultant	100 台北市忠孝東路二段88號5樓 5F, 88 Sec. 2, Chung Hsiao E.Rd., Taipei 100, Taiwan	02-23913000	02-23413451	<a href="http://www.good-group.com.tw">http://www.good-group.com.tw</a>
A033	華信證券投資顧問股份有限公司 Hwashin Investment Consulting Co., Ltd	100 台北市中正區青島東路7號5樓之4 5F-4, No.7, Cingdao E. Rd., Jhongjheng District, Taipei City 100, Taiwan	02-23923988	02-77253896	<a href="http://www.hwashin.com.tw/">http://www.hwashin.com.tw/</a>
M001	大華期貨經理事業股份有限公司 Grand Cathay Managed Futures Corp.	100台北市忠孝西路一段100號14樓 14F, 100 Sec.1, Jungshiau W. Rd., Taipei 100, Taiwan	02-23882598	02-23890838	<a href="http://www.gcmf.com.tw">http://www.gcmf.com.tw</a>
M002	日盛期貨經理股份有限公司 Jih Sun Managed Futures Co., Ltd.	104台北市南京東路二段139號8樓 8F, 139 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25061668	02-25064596	<a href="http://www.jsmf.com.tw/">http://www.jsmf.com.tw/</a>
M003	元大期貨經理股份有限公司 Yuanta Managed Futures Co., Ltd.	104台北市南京東路三段225號12樓 12F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27171108	02-25464628	<a href="http://www.yuantafutures.com.tw">http://www.yuantafutures.com.tw</a>
M004	中信期貨經理股份有限公司 KGI Managed Futures Co., Ltd.	100台北市博愛路35號7樓 7F, 35 Boai Rd., Taipei 100, Taiwan	02-23127886	02-66308029	<a href="http://www.kgifutures.com.tw/content/futures/about/about01.htm">http://www.kgifutures.com.tw/content/futures/about/about01.htm</a>

代號	公司名稱 (Company)	公司地址 (Address)	電話(Tel)	傳真(Fax)	公司網址(Website)
M006	寶來期貨經理股份有限公司 Polaris Managed Futures Co., Ltd.	104台北市復興北路420號9樓 9F,420 Fushing N., Taipei 104, Taiwan	02-25131200	02-25131212	<a href="http://www.polarismf.com.tw">http://www.polarismf.com.tw</a>
M007	永豐期貨經理股份有限公司 SinoPac Managed Futures Corp.	100台北市重慶南路一段2號18樓 18F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-66328316	建置中
M008	康和期貨經理事業股份有限公司 Concord Managed Futures Co., Ltd.	110台北市基隆路一段176號14樓 14F,176 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	<a href="http://www.concordfutures.com.tw/FM/">http://www.concordfutures.com.tw/FM/</a>
M009	金鼎期貨經理股份有限公司 Taiwan International Managed Futures Corp.	106台北市敦化南路二段97號B1 B1, 97, Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-27088355	02-27008992	<a href="http://www.tisc.com.tw/tifcmanage/">http://www.tisc.com.tw/tifcmanage/</a>
M010	台証期貨經理股份有限公司 Taiwan Managed Futures Corp.	104台北市建國北路1段96號7樓 7F, 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-25168696	02-25046690	<a href="http://www.tsc.com.tw/tmf/about_mf.asp">http://www.tsc.com.tw/tmf/about_mf.asp</a>
M011	群益期貨經理股份有限公司 Capital Managed Futures Corp.	110台北市松仁路97號4樓之1 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87862000	02-87862233	<a href="http://www.capitalfutures.com.tw/financier/new-default.asp">http://www.capitalfutures.com.tw/financier/new-default.asp</a>
M013	華南期貨經理股份有限公司 Hua Nan Managed Futures Co., Ltd.	105台北市民生東路四段54號6樓之2 6F,54 Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27137899	02-27123003	建置中

註：以上資料截止日為96.12.31







熱忱·積極·完美



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

106台北市安和路一段27號12樓  
12F, 27 Sec.1 Anho Rd., Taipei,  
106 Taiwan, R. O. C.

電話(TEL) / 02-87737303

傳真(FAX) / 02-27728378

網址 / <http://www.futures.org.tw>