

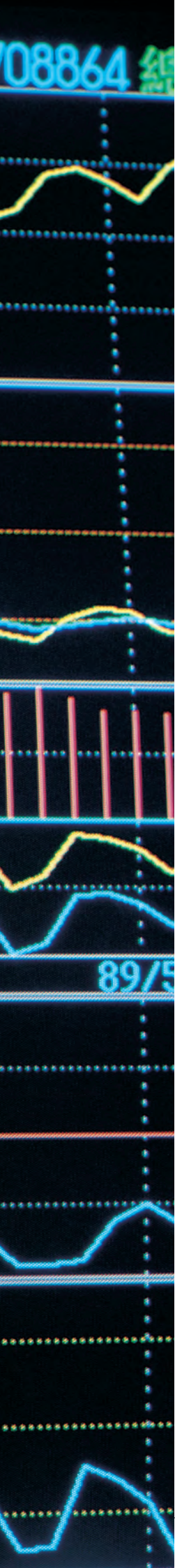
108年報

Annual Report 2019



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

109年四月編製



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壹

序言



創新發展 與時俱進

推動期貨市場之健全發展，提供多元且有效率的避險交易管道，向來為本公會努力之方向。回顧2019年，為提升市場交易安全並同時兼顧市場效率，本公會與期貨交易所共同優化交易及風險控管機制，並提供相關資料及經費補助，協助業者積極辦理宣導。在與主管機關良性溝通互動下，主管機關亦通過本公會所提多項建言，包括為擴大期貨業服務範圍，爭取開放自然人一般客戶可交易以黃金、原油為標的之價差合約（CFD）；為提供交易人多元化的商品交易及不間斷的服務，建議開放期貨商複委託國外交易的管道；為增加期貨自營商資金使用彈性，建議取消自營商從事任一國外交易所期貨交易不得超過淨值10%之額度限制案等。期交所亦參採本公會建議，調整業務規則第10條之1有關客戶保證金計算及調降期貨商連線處理費等。

為爭取更多交易人參與期貨市場，本公會2019年8月舉辦「保險業衍生性商品避險實務研討會」、10月舉辦「2019新金融·新商品·新投資國際論壇」，本公會亦實地拜訪中小企業，深入了解產業避險需求，以落實期貨業服務實體經濟之功能。為吸引職場新鮮人投入期貨產業，除持續到各大專院校舉辦校園巡迴講座，5月及10月擴大舉辦校園徵才活動，為期貨業引進更多優秀人才。

為積極面對金融科技對傳統金融市場帶來衝擊，協助期貨業因應金融環境變化及挑戰，本公會於11月舉辦「FinTech於衍生品市場之未來趨勢與展望」國際期貨論壇，此外於高階經理班課程中亦安排專題講座，提供高階經理人對AI與金融科技相關議題的創新思維等。

展望2020年，本公會將持續爭取合理的稅制吸引更多國內外交易人參與國內期貨市場、推動法規鬆綁並推動槓桿交易相關業務開放，以利期貨業者提供全方位的服務，提升我國衍生性金融市場競爭力，並將協助期貨業將金融科技運用於產品、服務及風險管理等面向，推動金融創新同時並強化資訊安全。此外，本公會將協助業者宣導期貨市場交易制度、新措施及風險控管機制，建立交易人正確之觀念，並持續推動公平待客原則，落實金融消費者保護，打造更優質的交易環境，達成普惠金融的目標。

中華民國期貨業商業同業公會

理事長 糜以雍

Innovation, Development, and Moving with the Time

Promoting sound development of the futures market while providing diversified and efficient risk-hedging channels has always been the direction of the Association's efforts. Looking back on 2019, in order to improve the security of market transactions and at the same time take into account market efficiency, the Chinese National Futures Association (CNFA) and the Taiwan Futures Exchange (TAIFEX) jointly worked to optimize transaction and risk-control mechanisms, provide relevant information and financial subsidies, as well as assist companies to actively promote their businesses.

Through excellent communication and interaction with the competent authority, the CNFA has seen the competent authority pass a number of its recommendations, including the case where the CNFA strove to make trading of Contract for Difference (CFD) with gold or crude oil as underlying investments available to general individual traders; the CNFA also recommended the opening of channels for futures companies to re-entrust foreign transactions so that traders are provided with diversified commodity trading and uninterrupted services; in order to increase the flexibility for the proprietary futures commission merchants in using their own fund, the CNFA recommended rescinding the 10% net worth limit on their trading of the products on any single foreign futures exchange. This recommendation has also been adopted by the TAIFEX which has accordingly adjusted the trader's margin calculation formula stated in Article 10-1 of its Business Regulations and reduced online processing fees for futures companies.

With the objective of winning even more traders to participate in the futures market, the CNFA held the "Seminar on insurance industry's practices in hedging risks with financial derivatives" in August and the "2019 International Forum on New Finance, New Products and New Investments" in October. The CNFA also visited small and medium-sized enterprises on site to gain a deeper understanding of the industry's need for risk-hedging so as to realize the futures industry's function of serving the real economy. With a view to attracting newcomers in the workplace to join the futures industry, the CNFA continued holding campus lectures at a number of universities while expanding the campus recruitment activities in May and October in a hope of bringing more talents into the futures industry.

In order to actively deal with the impact of financial technology (FinTech) on traditional financial markets and assist the futures industry in responding to changes and challenges in the financial environment, the CNFA held an international futures forum, "Future Trends and Prospects of FinTech on Derivatives Market" in November, in addition to the in-class special topic lectures arranged for the courses of senior management to provide senior managers with innovative thinking on AI and FinTech-related issues.

Looking forward to 2020, the CNFA will continue to strive for a reasonable tax system to win even more foreign and domestic traders to participate in Taiwan's futures market, encourage the relaxation of regulations and promote opening of leveraged trading-related businesses so as to facilitate the provision for futures companies to provide a full range of services and to enhance the competitiveness of Taiwan's derivative finance market. Meanwhile, we will also assist the futures industry in applying FinTech to products, services and risk management, to further promote financial innovation and reinforce information security.

In addition, the CNFA will assist futures companies with publicity on the futures market trading system, new measures and risk control mechanisms, establish correct concepts among traders, continue to advocate the principle of fair customer treatment, implement protections for financial consumers, and create a better trading environment, thus achieving the goal of pursuing complete benefits of the financial industry.

Falco Mi

Chairman, CNFA

貳

公會簡介

一、公會沿革

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

二、設立宗旨

- 本公會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

三、本公會任務

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

CNFA Introduction

A. CNFA History

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

B. Goals

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

C. Objectives

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

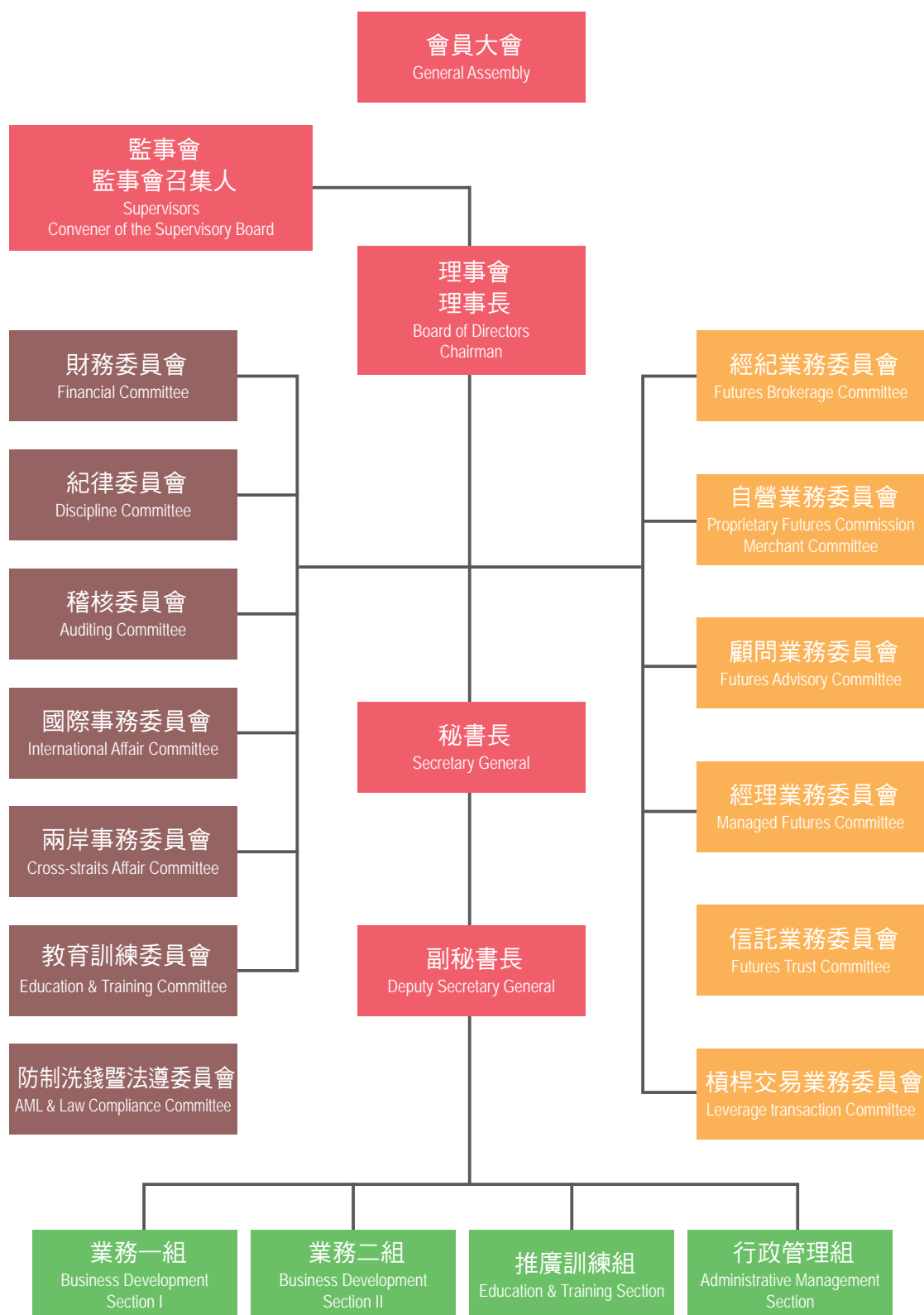
CNFA 中華民國期貨業商業同業公會第六屆第一次會員大會





一、組織系統圖

A. Organizational Chart





二、組織與執掌

(一)、會員大會：會員公司可依照經營業務之類別，分別指派會員代表，但每一會員公司最多可指派7位代表，會員代表共計280位。

■成員：由會員代表組成。至108年12月31日止，本公會會員公司計有157家：

1. 專營期貨商14家
2. 兼營期貨商15家
3. 期貨交易輔助人47家
4. 國外複委託商1家
5. 期貨自營業務32家
6. 槓桿交易商3家
7. 期貨顧問業務31家
8. 期貨經理業務6家
9. 期貨信託業務8家

■執掌：為本公會最高決策機關。

■職權：

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

(二)、理事會

■成員：33位理事，由會員代表互選之。另設置常務理事11人，由理事互選之。

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

B. Structure and Responsibilities

1. General Assembly: member companies, based on their business categories, assign up to 7 representatives each to take part in the General Assembly. In 2019, a total of 280 member representatives were registered with the Association.

■ Member companies: the Association was composed of 157 member companies at the end of 2019:

1. Specialized futures brokerage companies: 14
2. Concurrent futures brokerage companies: 17
3. Futures introducing brokers (IB): 47
4. Foreign re-engaging brokers: 1
5. Proprietary futures commission merchants: 32
6. Leverage Transaction Merchant: 3
7. Futures advisory enterprises: 31
8. Managed futures enterprises: 6
9. Futures trust enterprises: 8

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

■ Responsibilities:

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

2. Board of Directors

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

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



■職權：

1. 召開會員大會並執行其決議。
2. 選舉、罷免常務理事及理事長。
3. 議決常務理事、理事及理事長自行辭任。
4. 通過會員入會、退會及註銷會員、會員代表會籍。
5. 編擬年度工作計畫綱要、經費預、決算及事業計畫。
6. 會務工作人員、顧問、研究員等之遴聘、解聘。
7. 議決本公會相關規章之制訂及修正案。
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. 議決處分違反本公會章程第二十條規定之會員。
11. 執行法令及章程所規定事項。
12. 其他依職責應辦之事項。

(三)、監事會

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

■執掌：為本公會最高監察單位。

■職權：

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

■ **Responsibilities:**

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

3. Supervisors

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

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

■ **Responsibilities:**

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



(四)、委員會：設有經紀業務、自營業務、顧問業務、經理業務、信託業務、槓桿交易業務、紀律、教育訓練、財務、國際事務、兩岸事務、稽核、防制洗錢暨法遵等13個委員會。

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

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

茲就各委員會之職掌分述如下：

● 經紀業務委員會

- (1) 有關期貨經紀業務之發展、聯繫、協調、改進事項。
- (2) 有關期貨交易人服務事項。
- (3) 有關編擬年度工作計畫事項。
- (4) 其他有關期貨經紀業務之處理事項。

● 自營業務委員會

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

● 顧問業務委員會

- (1) 有關期貨顧問業務之發展、聯繫、協調、改進事項。
- (2) 有關委任人服務事項。
- (3) 有關編擬年度工作計畫事項。
- (4) 其他有關期貨顧問業務之處理事項。

● 經理業務委員會

- (1) 有關期貨經理業務之發展、聯繫、協調、改進事項。
- (2) 有關委任人服務事項。
- (3) 有關編擬年度工作計畫事項。
- (4) 其他有關期貨經理業務之處理事項。

● 信託業務委員會

- (1) 有關期貨信託業務之發展、聯繫、協調、改進事項。
- (2) 有關受益人服務事項。

4. Committees: The Association set up 13 committees, namely Futures Brokerage Committee, Proprietary Future Commission Merchant Committee, Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, Leverage Transaction Committee, Discipline Committee, Education & Training Committee, Financial Committee, International Affair Committee, Cross-straits Affair Committee, Auditing Committee, and AML & Law Compliance Committee.

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

Committees and their responsibilities:

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



- (3) 有關編擬年度工作計畫事項。
- (4) 其他有關期貨信託業務之處理事項。
- 槓桿交易業務委員會
 - (1) 有關槓桿交易業務之發展、聯繫、協調、改進事項。
 - (2) 有關交易人服務事項。
 - (3) 有關編擬年度工作計劃事項。
 - (4) 其他有關槓桿交易業務之處理事項。
- 紀律委員會
 - (1) 有關自律公約之擬訂、執行與督促會員自律事項。
 - (2) 有關會員職業道德之規範事項。
 - (3) 其他有關會員自律之處理事項。
- 教育訓練委員會
 - (1) 辦理期貨從業人員職前訓練及在職訓練事項。
 - (2) 有關參觀、演講、講習、康樂、體育等活動之舉辦事項。
 - (3) 有關出版刊物之編輯事項。
 - (4) 有關期貨投資宣傳事項。
 - (5) 其他有關教育訓練、考試及核發證書之處理事項。
- 財務委員會
 - (1) 有關會費、事業費、經費籌措、管理與運用之研議事項。
 - (2) 有關財務之稽核事項。
 - (3) 有關預算、決算之編擬事項。
 - (4) 其他有關財務事宜之處理事項。
- 國際事務委員會
 - (1) 有關期貨國際業務之發展、聯繫、協調、改進事項。
 - (2) 有關編擬年度工作計畫事項。
 - (3) 其他有關期貨國際業務之處理事項。
- 兩岸事務委員會
 - (1) 有關期貨兩岸業務之發展、聯繫、協調、改進事項。
 - (2) 有關編擬年度工作計畫事項。
 - (3) 其他有關期貨兩岸業務之處理事項。

- (3) To make annual work plan for the committee
 - (4) To handle other related issues
- Leverage transaction Committee
 - (1) To improve and promote leveraged-trading business as well as handle interaction and coordination among futures companies and traders
 - (2) To offer services to futures traders
 - (3) To make annual work plan for the committee
 - (4) To handle other related issues
- Discipline Committee
 - (1) To draft self-discipline rules as well as execute the rules and supervise self-discipline practices of member companies
 - (2) To help member companies comply with working ethics
 - (3) To handle other related issues
- Education & Training Committee
 - (1) To arrange pre-job and on-job training for futures workers
 - (2) To arrange visit, speech, lecture, leisure activity, sports, among others
 - (3) To handle publishing and editing matters
 - (4) To make advertise and promotional matters
 - (5) To handle training, examination, license issuance, and other education-related issues
- Financial Committee
 - (1) To handle issues regarding membership fees, business service fees, fund-raising, and other related financial issues
 - (2) To handle auditing and related issues
 - (3) To make budget plan and deal with settlement issues
 - (4) To handle other related issues
- International Affair Committee
 - (1) To promote and coordinate issues about international affairs of the futures industry
 - (2) To make annual work plan for the committee
 - (3) To arrange other related issues
- Cross-straits Affair Committee
 - (1) To promote and coordinate cross-straits issues about the futures industry
 - (2) To make annual work plan for the committee
 - (3) To arrange other related issues

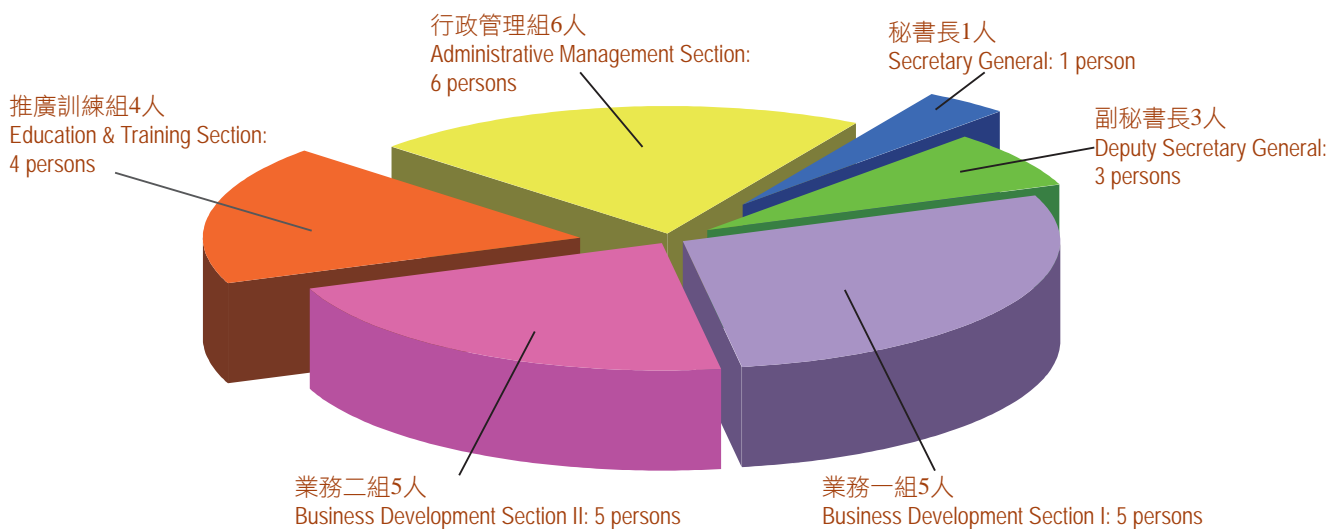


- 稽核委員會
 - (1) 有關期貨業內部控制制度之研討與建議事項。
 - (2) 有關期貨業內部稽核業務之研討與建議事項。
 - (3) 協商並解決期貨業共通性之稽核業務事項。
 - (4) 有關編擬年度工作計畫綱要事項。
 - (5) 其他有關稽核業務事宜之處理事項。
- 防制洗錢暨法遵委員會
 - (1) 有關期貨業法令遵循事務之研討與建議事項。
 - (2) 有關期貨業防制洗錢及打擊資恐之研討與建議事項。
 - (3) 協商並解決期貨業共通性之法令遵循事項。
 - (4) 協商並解決期貨業共通性之防制洗錢及打擊資恐事項。
 - (5) 有關編擬年度工作計劃事項。
 - (6) 其他有關防制洗錢及打擊資恐暨法令遵循事宜之處理事項。

(五) 會務人員：

- 分為業務一、業務二、推廣訓練、行政管理等四組，由秘書長、副秘書長統籌領導。茲就各組職掌分述如下：

108年會務人員統計表
CNFA Administrative Staff in 2019



- Auditing Committee (split from the former Auditing & Law Compliance Committee)
 - (1) To make research on internal control system of futures companies and propose suggestions for improvement
 - (2) To make research on internal auditing system of futures companies and propose suggestions for improvement
 - (3) To coordinate for consistency in internal control and auditing system of futures companies and help them resolve related problems
 - (4) To make annual work plan for the committee
 - (5) To handle other related issues
 - AML & Law Compliance Committee
 - (1) To make research on law compliance-related issues and propose recommendations for improvement
 - (2) To make research on AML/CTF-related issues and propose recommendations for improvement
 - (3) To coordinate law-compliance issues and make solutions as standard guidelines for futures companies
 - (4) To coordinate AML/CTF-related issues and make solutions as standard guidelines for futures companies
 - (5) To make annual work plan for the committee
 - (6) To handle other related issues
5. Administrative staff: the Association's administration is divided into four sections of Business Development Section I, Business Development Section II, Education & Training Section, and Administrative Management Section, all under the supervision of secretary general and deputy secretary general. Duties of each section are listed below:



- 業務一組
辦理期貨商、期貨（證券）交易輔助人及海峽兩岸期貨業務相關之下列工作：
 - (1) 經紀業務、自營業務、兩岸事務及紀律委員會開會事宜。
 - (2) 與主管機關、周邊單位及會員公司之聯繫事宜。
 - (3) 蒐集業界資料，掌握市場動態。
 - (4) 檢討期貨法令並提出改進建議。
 - (5) 提供會員公司期貨業務法規諮詢服務。
 - (6) 自律規定之研議。
 - (7) 新種業務之可行性研究與分析。
 - (8) 期貨相關專題之研究。
 - (9) 聯繫、跟催委外專案研究之進度。
 - (10) 蒐集及分析兩岸期貨業務之相關資訊。
 - (11) 兩岸期貨組織之聯繫及交流事宜。
 - (12) 會員公司宣傳資料與廣告物之審查。
 - (13) 會員公司業務及財務之查察與輔導。
 - (14) 會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
 - (15) 執行自律規定及主管機關交辦事項之稽查作業。
 - (16) 各會員公司營業據點場地、設備查驗。
- 業務二組
辦理期貨服務事業（不含期貨交易輔助人）、槓桿交易商及國際期貨業務相關之下列工作：
 - (1) 顧問業務、經理業務、信託業務及國際事務委員會開會事宜。
 - (2) 與主管機關、周邊單位及會員公司之聯繫事宜。
 - (3) 蒐集業界資料，掌握市場動態。
 - (4) 檢討期貨法令並提出改進建議。
 - (5) 提供會員公司期貨業務法規諮詢服務。
 - (6) 自律規定之研議。
 - (7) 新種業務之可行性研究與分析。
 - (8) 期貨相關專題之研究。
 - (9) 聯繫、跟催委外專案研究之進度。





- Business Development Section I:

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

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

- Business Development Section II

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

- (1) To arrange meetings of Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, and International Affair Committee
- (2) To handle interactions among regulatory agency, peripheral institutions, and member companies
- (3) To gather information about market trend and industrial development
- (4) To review futures-related laws and, when necessary, propose suggestion for improvement
- (5) To provide legal consulting services to member companies
- (6) To propose or make revisions to self-discipline rules
- (7) To make research on the feasibility of developing new futures-related business in Taiwan and analyze its market potential
- (8) To make research on futures-related topics
- (9) To arrange out-sourcing research projects



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

● 推廣訓練組

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

● 行政管理組

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





- (10) To gather and analyze the information about international futures issues
- (11) To arrange the interaction between the Association and international futures associations
- (12) To review the advertisement and promotional materials of member companies
- (13) To inspect the financial condition of member companies and, when necessary, provide assistance to help them make improvement
- (14) To review and forward the documents of member companies to the regulatory agency and keep records of them
- (15) To execute the self-discipline rules for member companies and, in accordance with the regulatory agency's instruction, inspect the auditing practice of member companies
- (16) To make inspection on the business locations and facilities of member companies
- Education & Training Section
 - (1) To arrange pre-job and on-job training courses for futures workers
 - (2) To arrange futures lecturers, seminars, and other promotional activities
 - (3) To publish the reports of research projects, public hearing, or seminars
 - (4) To arrange activities for advocating special news or research topic
 - (5) To compile and publish publications
 - (6) To handle the registration of new member companies, member representatives, and business representatives of member companies
 - (7) To arrange renewal of job certificates of Association's staff workers
 - (8) To arrange meetings of the Education & Training Committee
- Administrative Management Section
 - (1) To handle procurement issues and safeguard Association's properties
 - (2) To arrange IT equipment procurement, maintenance, and management
 - (3) To make budget, settlement, financial analysis, income & payment, accounting, financial document review, as well as handle fund-raising, cashier's work, and other related issues
 - (4) To handle mails and keep documents
 - (5) To provide financial support to Association-held activities
 - (6) To handle the issues about personnel, general issues, administrative management, and keep records of documents
 - (7) To arrange social activities for employees of member companies and the Association's working staff
 - (8) To arrange the General Assembly as well as meetings of the board of directors and supervisors
 - (9) To arrange meetings of the Financial Committee and Auditing & Law-compliance Committee
 - (10) To mediate disputes about futures trading



理監事名錄 Board Members and Supervisors

理事名錄

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
1	理事長 Chairman	糜以雍 Falco Mi	凱基期貨股份有限公司 KGI Futures Co., Ltd.	董事長 Chairman
2	副理事長 Vice Chairman	林添富 Tien-Fu Lin	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	董事長 Chairman
3	副理事長 Vice Chairman	莊輝耀 Huei-Yao Chuang	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	董事長 Chairman
4	副理事長 Vice Chairman	孫天山 Tim Sun	群益期貨股份有限公司 Capital Futures Corp.	董事長 Chairman
5	常務理事 Ececutive Director	王中愷 Steve Wang	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.	董事長 Chairman
6	常務理事 Ececutive Director	康景泰 Ching- Tai Kang	康和期貨股份有限公司 Concord Futures Corp.	董事長 Chairman
7	常務理事 Ececutive Director	張雅斐 Phoebe Chang	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	總經理 President
8	常務理事 Ececutive Director	陳宜宗 YI-TSUNG CHEN	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	董事長 Chairman
9	常務理事 Ececutive Director	黃奕銘 Yiming Huang	統一期貨股份有限公司 President Futures Corp.	總經理 President
10	常務理事 Ececutive Director	葉黃杞 Huang-chi Yeh	永豐期貨股份有限公司 SinoPac Futures Co.Ltd.	董事長 Chairman
11	常務理事 Ececutive Director	羅壯豪 Johnson Lo	國泰期貨股份有限公司 Cathay Futures Corp.	總經理 President
12	理事 Director	王文浩 Wen-Hao Wang	康和期貨股份有限公司 Concord Futures Corp.	總經理 President
13	理事 Director	王登立 Tengli Wang	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	總經理 President
14	理事 Director	宋政憲 Anson Sung	國泰期貨股份有限公司 Cathay Futures Corp.	副總經理 Vice President
15	理事 Director	李文柱 Wen-chu Li	群益期貨股份有限公司 Capital Futures Corp.	總經理 President
16	理事 Director	李全才 Mario Lee	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	總經理 President
17	理事 Director	李美芳 Julia Lee	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	總經理 President
18	理事 Director	李綱 Douglas Lee	美林證券股份有限公司 Merrill Lynch Securities (Taiwan) Ltd.	副總經理 Vice President
19	理事 Director	周筱玲 Carolyn Chou	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	總經理 President
20	理事 Director	林明杉 Vincent Lin	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	總經理 President
21	理事 Director	林家進 Roger Lin	永豐期貨股份有限公司 SinoPac Futures Co.Ltd.	總經理 President
22	理事 Director	林禎民 Chen-Ming Lin	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	總經理 President

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
23	理事 Director	洪三雄 Steven Hung	國票期貨股份有限公司 Waterland Futures Co., Ltd.	董事長 Chairman
24	理事 Director	張禮賢 Li-hsien Chang	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	總經理 President
25	理事 Director	陳佩君 Pei-chun Chen	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	董事長 Chairman
26	理事 Director	曾幼敏 Yu-ming Tseng	美商愛德盟期貨經紀股份有限公司台灣分公司 ADM Investor Services, Inc. Taiwan Branch	經理 Manager
27	理事 Director	黃正雄 Thomas Huang	元富期貨股份有限公司 MasterLink Futures Corp.	總經理 President
28	理事 Director	黃俊仁 Jun-jen Huang	統一綜合證券股份有限公司 President Securities Corp.	副總經理 Vice President
29	理事 Director	黃炳和 Arvin Huang	日盛期貨股份有限公司 Jihsun Futures Co., Ltd.	總經理 President
30	理事 Director	楊宗來 Tsung-lai Yang	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.	協理 Assistant Vice President
31	理事 Director	葉光章 Kuang-chang Yeh	第一金證券股份有限公司 First Securities Inc	董事長 Chairman
32	理事 Director	詹正恩 Cheng-en Chan	光和證券股份有限公司 Kuanzho Securities Corp.	董事長 Chairman
33	理事 Director	侯青志 Chris Ho	凱基期貨股份有限公司 KGI Futures Co., Ltd.	顧問 Advisor
34	候補理事 Alternate Director	毛振華 Edward Mao	群益期貨股份有限公司 Capital Futures Corp.	執行副總經理 Executive Vice President
35	候補理事 Alternate Director	吳皇旗 Huang-chi Wu	統一期貨股份有限公司 President Futures Corp.	副總經理 Vice President
36	候補理事 Alternate Director	金志倫 Alan Kin	國泰期貨股份有限公司 Cathay Futures Corp.	業務副總經理 Sales Vice President
37	候補理事 Alternate Director	許介偉 Charly Hsu	國票期貨股份有限公司 Waterland Futures Co., Ltd.	協理 Assistant Vice President
38	候補理事 Alternate Director	許國村 Alex Hsu	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	執行副總經理 Executive Vice President
39	候補理事 Alternate Director	郭晃庭 Huan-ting Kuo	富邦綜合證券股份有限公司 Fubon Securities Corp.	執行副總經理 Executive Vice President
40	候補理事 Alternate Director	陳清德 CHING-TE CHEN	永豐期貨股份有限公司 SinoPac Futures Co.Ltd.	副總經理 Vice President
41	候補理事 Alternate Director	鄭大宇 David Cheng	康和期貨股份有限公司 Concord Futures Corp.	副董事長 Vice Chairman
42	候補理事 Alternate Director	駱迺楨 Lo-Nai Chen	兆豐證券股份有限公司 Mega Securities Co., Ltd.	副總經理 Vice President
43	候補理事 Alternate Director	龐元愷 Michael Pang	日盛證券股份有限公司 JihSun Securities Co., Ltd.	執行副總經理 Executive Vice President

註：以上資料以108.12.31日為準，依公會職稱、姓氏筆劃排序。



監事名錄

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
1	監事會召集人 Supervisor Convener	陳立 Li Chen	元富期貨股份有限公司 MasterLink Futures Corp.	董事長 Chairman
2	常務監事 Executive Supervisor	陳其緯 CHI WEI CHEN	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	協理 Assistant Vice President
3	常務監事 Executive Supervisor	黃進明 Chin-ming Huang	日盛證券股份有限公司 JihSun Securities Co., Ltd.	總經理 President
4	監事 Supervisor	林獻群 Leo Lin	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	總經理 President
5	監事 Supervisor	許人祥 Mark Hsu	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	副總經理 Vice President
6	監事 Supervisor	許瑞立 Jurry Hsu	安泰證券股份有限公司 Antay Securities Co., Ltd.	總經理 President
7	監事 Supervisor	陳柏榮 Bo-jung Chen	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.	總經理 President
8	監事 Supervisor	陳瑞珪 Jui-chueh Chen	凱基期貨股份有限公司 KGI Futures Co., Ltd.	總經理 President
9	監事 Supervisor	黃信一 Sean Huang	萬寶證券投資顧問股份有限公司 Marbo Securities Consultant Co., Ltd.	顧問 Advisor
10	監事 Supervisor	楊俊宏 June-hong Yang	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	董事長 Chairman
11	監事 Supervisor	楊惠仁 HUI-REN YANG	陽信證券股份有限公司 Sunny Securities Co., Ltd.	總經理 President
12	候補監事 Alternate Supervisor	莊智宏 Chih-hung Chuang	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	董事長 Chairman
13	候補監事 Alternate Supervisor	張建中 Pond Chang	香港商德意志證券亞洲有限公司台北分公司 Deutsche Securities Asia Limites, Taipei Branch	副總經理 Vice President

註：以上資料以108.12.31日為準，依公會職稱、姓氏筆劃排序。

一、關於期貨交易法令協助推行

A. Implementation of futures-related regulations

增修定範本、規則、申報書表

Formulating contract templates, guidelines, and report formats

1. 配合「證券期貨業及其他經金融監督管理委員會指定之金融機構防制洗錢及打擊資恐內部控制與稽核制度實施辦法」、「金融機構防制洗錢辦法」、「金融機構對經指定制裁對象之財物或財產上利益及所在地通報辦法」，並參酌「銀行防制洗錢及打擊資恐注意事項範本」及檢查局107年度辦理期貨商防制洗錢及打擊資恐作業專案檢查意見等內容修正本公會「期貨商暨槓桿交易者防制洗錢及打擊資恐注意事項範本」及「期貨信託事業暨期貨經理事業防制洗錢及打擊資恐注意事項範本」。

The CNFA, in order to cope with the “AML/CTF (anti-money laundry/countering terrorist-financing) Internal Control Measures and Auditing System Practiced by Securities and Futures Industries as well as Other Financial Institutions Required by Financial Supervisory Commission,” the “Anti-money Laundry Act,” and the “Guidelines for Financial Institutions in Reporting Properties, Property-derived Benefits and Location of Sanctioned Persons,” referred to the “AML/CTF Guidelines for Banking Industry” as well as the Financial Examination Bureau’s comments on the special AML/CTF projects during 2018, and then made revisions to its “AML/CTF Guidelines for Futures Companies and Leverage Transaction Merchants (Reference Sample)” and “AML/CTF Guidelines for Futures Trust and Managed Futures Enterprises (Reference Sample).”

2. 擬訂「期貨業辦理客戶審查或風險評估簡化或差異化措施之實務參考做法」，就低風險客戶得採行之簡化措施，或不同風險等級客戶得採取差異化措施之實務參考做法供會員參考，以落實風險基礎之洗錢防制執行並降低對低風險正常交易之干擾，達成兼顧服務客戶及執行洗錢防制措施與洗錢風險評估相稱之衡平作法。

The CNFA drafted the “Reference for futures company’s practice in simplifying risk-assessment or risk-classification procedures for clients,” allowing futures companies to take simplified procedures for low-risk clients or take differentiated procedures for different client groups of different risk levels so as to ensure AML practices while reducing intervention on normal trading, a balanced approach to provide customer-friendly services and fulfill AML risk-assessment responsibilities at the same time.

3. 參考防制洗錢金融行動工作組織（FATF）於107年10月26日發布之證券業風險基礎方法指引（Guidance for a Risk-Based Approach—Securities Sector），並參酌證券商公會相關內容，研議訂定「期貨業疑似洗錢、資恐或武擴交易監控作業」參考實務指引，提供期貨業監控疑似洗錢、資恐或武擴交易之實務參考。

The CNFA, which referred to the “Guidance for a Risk-Based Approach—Securities Sector” issued by the Financial Action Task Force (FATF) on Oct. 26, 2018 and related documents issued by the Taiwan Securities Association, drafted the “Guidelines for futures company’s practice in monitoring the transactions suspiciously involved with AML/CTF or military expansion” as reference for futures companies.



4. 修正「期貨信託事業暨期貨經理事業防制洗錢及打擊資恐注意事項範本」、附件「期貨信託事業暨期貨經理事業評估洗錢及資恐風險及訂定相關防制計畫指引」及「附錄疑似洗錢、資恐或武擴交易態樣」。

The CNFA made revisions to the “AML/CTF Guidelines for Futures Trust and Managed Futures Enterprises (Reference Sample)” as well as its appendix of “Guidelines for Futures Trust and Managed Futures Enterprises in Planning AML/CTF-related Risk-control Measures” and the “Types of Transactions Suspiciously Involved with AML/CTF or Military Expansion.”

5. 為協助期貨信託事業及期貨經理事業建立良好之公司治理制度，以保障投資人權益，並促進期貨市場健全發展，修正「期貨信託事業暨期貨經理事業公司治理實務守則」。

The CNFA, in order to help futures trust and managed futures enterprises build up efficient corporate governance system so as to protect investors’ right and boost healthy development of the futures market, revised the “Guidelines for Futures Trust and Managed Futures Enterprises in Practice of Corporate Governance.”

6. 為維護員工權益，修正本公會「期貨經理事業停業、終止營業及解散處理程序」、申報「期貨經理事業辦理變更登記許可申請書（變更營業處所部分）」及「期貨經理事業申請受讓其他期貨經理事業全部或主要部分營業或財產（或讓與全部或主要部分之營業或財產）許可申請書」乙案。

In order to protect futures workers’ right, the CNFA made revisions to the “Procedures for Business Suspension, Corporate Closing, or Working Staff Disbanding for Managed Futures Enterprises” and reported the “Application Form for Business Change Registration of Managed Futures Enterprises” and the “Application Form for Business or Assets Transfer (Overall or Partial) among Managed Futures Enterprises.”

7. 因應期貨業務之發展日益蓬勃，並順利推動會務工作，修正本公會章程第二十五條，增加本公會副理事長員額。

The CNFA, in reaction to the booming futures market and in order to facilitate implementation of CNFA’s affairs, revised Article 25 of CNFA Charter, adding the position of vice chairperson of the Association.

8. 為強化委員會之功能，並推動槓桿交易商之業務發展、期貨產業洗錢防制政策之持續進行，有效處理反洗錢及反資恐相關議題，修正委員會組織規則，將現行稽核暨法遵委員會，分別獨立為稽核委員會、防制洗錢暨法遵委員會，並增設槓桿交易業務委員會。

The CNFA, in order to strengthen the functions of its committees, promote development of leveraged trading business, continue implementing AML policies for the futures industry as well as to ensure the efficiency in dealing with AML/CTF-related issues, revised the CNFA Committee Structure Guidelines, splitting the Auditing & Law Compliance Committee into two separate ones of the Auditing Committee and the AML & Law Compliance Committee, while at the same time setting up a new one of the Leverage Transaction Committee.

9. 基於考量期貨交易人屬性、財力、資歷、風險承受能力等因素，爰向主管機關建議開放業者得接受符合一定財力或專業能力之自然人或法人，授權執行期貨帳戶內持有部位之組合及拆解作業，研訂「期貨商、期貨交易輔助人接受特定客戶授權執行部位組合及拆解作業自律規則」，並經主管機關同意備查。

Considering the different attributes, financial capability, trading experience, and risk-enduring capability of futures traders as well as other factors, the CNFA proposed a recommendation to the competent authority for allowing the futures companies to authorize the individual or institutional traders with certain high level of financial and professional capabilities to make combination or splitting of the positions of their futures trading accounts, and thus proposed the “Self-discipline rules for futures companies and futures introducing brokers (IB) in authorizing certain clients to combine or split the positions of their futures trading accounts” which has been approved by the competent authority.

10. 為強化物聯網設備之網路安全，以防堵釣魚網站假冒金融機構名義，不當蒐集個人資料或涉有詐騙之情形等，致影響我國數位金融服務之發展，並配合證交所將「證券期貨市場相關公會雲端運算、社群媒體、行動裝置資訊安全管控指引」更名為「證券期貨市場相關公會新興科技資訊安全管控指引」，基於本公會之資訊安全自律規範係參考前揭指引訂定，爰修正並更名本公會「新興科技資訊安全自律規範」。

In order to secure safety of the Internet of Things (IoT) and prevent phishing websites from collecting personal information by making fraudulent practices or doing other scams which may hinder the development of digital financial services in Taiwan and to cope with the Taiwan Stock Exchange’s move of renaming the “Guidelines for Cloud Computing, Social Media, and Mobile Devices Safety Measures of Securities/futures-related Associations” as the “Guidelines for Emerging Information Technology Safety Control Measures of Securities/futures-related Associations,” the CNFA referred to it and compiled related rules as the “Self-discipline Rules on Emerging Information Technology Safety.”

11. 主管機關考量高齡長者之風險承擔能力有限，不宜從事高槓桿、高風險之期貨交易，指示本公會研議七十歲以上交易人開戶、定期重新徵信及交易限制之相關規定，爰修正本公會「期貨商開戶徵信作業管理自律規則」第五條條文、七十歲以上交易人開戶聲明書（範本）及「期貨商交易及風險控管機制專案」各項議題彙整表。

The competent authority, concerning that the elderly traders may not be suitable to make high-leverage/high-risk futures trading due to their relatively limited risk-bearing capability, assigned the CNFA to review related rules such as those on new trading account applications, regular recheck of trader’s credibility, limitation on trading as well as other particular requirements for the traders aged 70 or above. The CNFA thus made revisions to Article 5 of the “Self-discipline Rules for Futures Companies in Checking Credibility of New Account Applicants,” the Declaration Letter of New Trading Account Applicant aged 70 or above (Reference Sample) as well as the list of related-issues involved with the “Special Project of Futures Trading and Risk Control Mechanism for Futures Companies.”

12. 有關滿七十歲之既有客戶及日後屆滿七十歲之交易人，須依新制規定完成相關作業之時程規畫，關於已滿七十歲且一年內有交易之交易人（即108年1月1日至108年12月31日有交易者）：至遲應於109年第3季前，依規定完成聲明書簽署、徵信作業及揭示相關風險警語等相關作業。嗣後期貨商應每年定期檢視，針對已滿70歲且前一年度有交易之客戶，應於自行訂定之期限依規定完成相關作業。

Those existing futures traders aged 70 or above or those who will soon turn 70 should follow new related regulations. For those who are aged 70 or above and have made futures trading over the past year from January 1 to December 31, 2019, the futures company should: collect their signed declaration letters, complete credibility-checking procedures for them, make sure they have read the risk-warning notice, etc., and should make annual recheck for them. Each futures company should set a deadline by itself for completing all these requirements for its clients aged 70 or above.



13. 因現行「70歲以上交易人開戶聲明書」範本內容有關從事選擇權賣方交易之警語，原規定以紅色加粗體顯示，以提醒交易人注意相關風險；因考量現行期貨商契約製作方式及達到有效提醒交易人注意風險之目的，爰修正「期貨商開戶徵信作業管理自律規則」第五條第六款第一目條文明定聲明書應以顯著方式標示從事選擇權賣方交易之警語之規定。

In the existing reference sample of the “Declaration Letter of New Futures Trading Account Applicant Aged 70 or Above,” the warnings for option sellers are printed in red bold front so as to make it distinctive to catch futures traders’ attention. Considering how to make it more effective to attract futures trader’s attention to the warning messages stated in the existing contract format used by FCMs, the CNFA made revisions to Article 5-6-1 of the “Self-discipline Rules for FCMs in Checking Credibility of New Account Applicants,” requiring that the warnings for option sellers should be made in a distinctive way to catch attention of futures traders.

14. 配合主管機關放寬期貨信託基金之募集得採申報生效方式，修正「期貨信託契約範本」、「期貨信託基金之募集、發行、銷售及申購買回作業程序」、「期貨信託基金月報檢查表」、「期貨信託事業內部控制制度標準規範」及「會員暨期貨信託基金銷售機構從事廣告業務招攬及營業促銷活動管理辦法」。

With a view to the fact that competent authority’s policy to adopt the reporting approach for futures trust enterprises to raise new fund has taken effect, the CNFA made revisions to the “Futures Trust Contract (Reference Sample),” the “Procedures for Futures Trust Fund Raising, Issuance, Sales, Subscription, and Redemption,” the “Monthly Checking List of Futures Trust Fund’s Performance,” the “Standard Guidelines for Internal Control of Futures Trust Enterprises,” and the “Guidelines for CNFA Members and Futures Trust Fund Sales Agents in Making Advisements or Other Business Promotional Activities.”

15. 因應少子化、科技化與大環境的影響，參採證基會建議將期貨交易分析人員資格測驗之筆試測驗次數，由每年辦理4次(次/季)減少為3次(次/4個月)，修正本公會「辦理期貨交易分析人員資格測驗辦法」第三條條文，另為顧及修正前考生權益，修正條文自一百一十年開始實施。

To cope with the trends of the declining birth rate and digitalization in Taiwan’s society as well as other environmental changes, the CNFA followed the Securities & Futures Institute to reduce the written tests of futures trading analyst certificate from four times a year (once a quarter) to three times a year (once four months), and at the same time made a revision to Article 3 of the Association’s “Guidelines for Holding Futures Trading Analyst Certificate Test” which, in regard of the rights of those who have been in preparation for the tests, won’t take effect until 2021.

16. 委託外部單位研訂「期貨商法令遵循風險管理架構及風險評估之參考實務守則」，供業者實務作業之參考。

The CNFA commissioned an outside institute to propose the “Guidelines for futures companies in practices of risk management framework development and risk assessment in compliance of law” as reference of futures companies.

研議、建議事項 Proposals

1. 研議開放槓桿交易商得辦理無本金交割遠期外匯業務（NDF）。
To propose allowing leveraged-trading companies to provide the services involved with non-delivery forward (NDF) for forward exchange.
2. 5月16日建議主管機關就期貨市場造市制度及期貨商調整後淨資本額計算方式予以調整。
The CNFA made a recommendation on May 16 to the competent authority, calling for an adjustment in the futures market-making system as well as the calculating methodology for the adjusted net capital (ANC) of the futures companies.
3. 5月17日建議期交所刪除該公司業務規則第19條之1有關期貨商之調整後淨資本額不得低於其客戶保證金專戶總額之百分之六之規定，期交所於8月6日公告修正該規定，期貨商若具備該公司會員資格者，得將其繳存至該公司之結算保證金自其客戶保證金專戶總額予以扣減。
The CNFA made a recommendation to the TAIFEX on May 17, 2019, calling for removal of the paragraph, “The adjusted net capital amount of a futures commission merchant shall not be less than 6 percent of the total amount in the customer margin account” stated in Article 19-1 of the “Operating Rules of the Taiwan Futures Exchange Corporation.” The TAIFEX adopted this recommendation and issued an amendment on Aug. 6, reading “if a futures commission merchant has clearing member status, the amount of the funds it has on deposit in the TAIFEX Clearing Margin Account may be deducted from the total amount in the customer margin account as referred to in the preceding paragraph.”
4. 為健全我國期貨交易以及整體金融秩序之體系，並釐清實務上就違法經營期貨業務罪之行為態樣，以及罪名認定之疑義，進行「司法裁判關於地下期貨所犯罪名之研究」委外研究案，本案於109年5月完成。
In order to strengthen Taiwan’s futures trading system as well as the overall financial system and to clarify the various types of crimes involved with illegal futures-related trading, the CNFA commissioned a research project on “Crimes of underground futures players in judicial rulings” to an outside institution, scheduled to be completed in May 2020.
5. 為增加期貨自營商資金使用彈性並提高其對單一交易所調升保證金之應變能力，6月18日建請主管機關取消期貨自營商從事任一國外交易所期貨交易不得超過淨值10%之額度限制，主管機關於9月24日公告開放。
In order to increase the flexibility for the proprietary futures commission merchants in using their own fund and strengthen their capability in dealing with the raised deposit requirements of a single futures exchange, the CNFA recommended rescinding the 10% net assets worth limit on their trading of the products on one single foreign futures exchange. The competent authority adopted this recommendation and issued an announcement on Sept. 24.
6. 建請主管機關放寬本國期貨商委託辦理國外期貨交易及結算交割之間接複委託對象，本案主管機關業於8月19日公告開放。
The CNFA suggested that the competent authorities should allow domestic futures companies to re-entrust a third party to handle foreign futures trading and related settlement matters. This recommendation has been adopted by the government which issued the new policy on Aug. 19, 2019.



7. 為降低委任人成本提高委任意願，建議期交所研議調高補助期貨經理事業委任人之保管費用。
In order to induce appointer's willingness at higher cost, the CNFA suggested that the TAIFEX should consider giving subsidy to the managed futures enterprise entrusted by clients to provide custodian banking services.
8. 107年「期貨業防制洗錢及打擊資恐（AML/CFT）遵循成效評估問卷」：為持續瞭解期貨業落實AML/CFT制度執行情形，本公會函請各專營期貨業者填寫107年「期貨業防制洗錢及打擊資恐（AML/CFT）遵循成效評估問卷」，並就各專營期貨業者所填寫之結果進行分析及完成報告。
Following the analysis of the “AML/CFT Compliance and Performance Questionnaire for Futures Enterprises” in 2018, the CNFA mailed the questionnaire in a written letter to each specialized futures broker and made a report of result analysis, with the objective of having a deeper understanding of the AML/CFT practice of the futures industry.
9. 「108年金融建言白皮書」本公會建議事項有：(1)建請調降期貨及選擇權交易稅率；(2)建議期貨商及期貨交易輔助人之受託買賣業務員得轉介外幣保證金及其他槓桿保證金契約；(3)建議華僑及外國人得從事之期貨交易之範圍增加槓桿保證金契約交易；(4)建議槓桿交易商對屬自然人之一般客戶得提供除外幣保證金外之差價合約商品交易服務。
The CNFA proposed following recommendations for “Financial White Paper 2019”: (1) to cut the futures transaction tax and options transaction tax; (2) to allow futures commission merchants and futures introducing brokers to introduce leverage contracts or other leverage transaction on foreign exchange to their customers; (3) to allow overseas Chinese or foreigners to make leverage transaction through their trading accounts opened in Taiwan; (4) to allow leverage transaction merchants to offer CDF trading (except margin trading on foreign exchange) to general individual traders.
10. 為活絡期貨交易，建請期交所開放對選擇權當日沖銷交易減收保證金。
The CNFA, with an objective of revitalizing the futures market, recommended that the TAIFEX cut the premium for day trading of options.
11. 委託外部單位辦理「期貨交易者風險認知、法律知識與交易爭議之關聯性研究」研究案。
The CNFA will assign a research project on “Correlations among trading disputes and futures trader's risk awareness and legal knowledge” to an outside institute.
12. 為滿足我國屬自然人之一般客戶交易需求、增加槓桿交易商業量並提升其競爭力，9月24日建議櫃買中心開放槓桿交易商對屬自然人之一般客戶提供原油、黃金之差價合約（CFD）商品交易服務，櫃買中心於12月18日公告開放。
The CNFA, in order to satisfy the need of general individual traders and to help leverage transaction merchants expand their business and strengthen their competitiveness, made a recommendation to the Taipei Exchange, asking for opening the trading of the Contract for Difference (CFD) with crude oil or gold as underlying investments to general individual traders. The Taipei Exchange adopted this recommendation and issued an announcement on Dec. 18.
13. 建請主管機關同意放寬期貨商業務員參加在職訓練之頻率，由現行兩年一訓調整為三年一訓。
The CNFA suggested that competent authority should ease the on-job training schedule for futures specialists from current once two years to once three years.
14. 參與證交所主辦「ETF分割反分割討論會議」，提供意見供作規畫作業程序及配套機制之參考。
The CNFA participated in the “Meeting on ETF Split and Reverse Split” convened by the TSE, providing comments on operational procedures and packaged mechanism as reference to the TSE.

二、業務發展事項

B. Association activities



政令宣導 Policy Advocating

金融服務業公平待客原則評核機制宣導 (1/23)

為利期貨商落實執行金融服務業公平待客原則評核機制相關事項，爰舉辦本評核機制宣導說明會，由主管機關代表與會說明並進行雙邊交流，以利期貨商瞭解並及早因應準備。

Seminar on fair customer treatment assessment mechanism for financial service industry

In order to ensure that futures companies would fully understand the fair customer treatment assessment mechanism for financial service industry, the CNFA held this seminar for government officials and industry representatives to discuss and exchange viewpoints on this assessment mechanism so as to help the futures companies take early reaction measures.



防制洗錢工作小組 (COMPLIANCE FORUM GROUP) 會議 (1/23、6/5)

擬定有關期貨業年度防制洗錢工作計畫，以及辦理防制洗錢及打擊資恐 (AML/CFT)、期貨業法令遵循之研討、交流或建議。

Meetings of Compliance Forum Group

The meetings were arranged to propose the annual AML/CFT work plan, advocate the fair customer treatment assessment mechanism for financial service industry, as well as plan for related activities such as holding seminars, facilitating interactions, proposing suggestions, etc.



洗錢防制 / 打擊資恐 法令解析及案例說明會 - 上半年 (3/20、22、27)

為協助業者執行相關作業之判斷力，本公會特別邀請調查局專家從風險評估看STR可疑交易申報作業，並以案例配合說明，於北中南各辦理乙場說明會，超過400位洗錢防制督導主管、營業單位等一線人員及法遵、內部稽核參加。

Seminar on AML/CFT rules and case analysis – for the first half of 2019

In order to help the AML/CFT enforcement working staff strengthen their judging capability at work, the CNFA invited experts from the Investigation Bureau to speak on how to review suspicious STR trading reports from the respect of risk assessment and make case analysis. The seminar was held in three rounds for northern, central, and southern Taiwan, respectively, participated by over 400 people who are mostly the AML/CFT supervisors, frontline workers, or members from the law compliance and internal control divisions.



「第九期防制金融犯罪研討會」(5/13-5/14)

為使法官、檢察官、檢察事務官、金融監理官、司法警察、律師了解金融生態以利金融犯罪防制，本公會就金融業發展與犯罪防制議題進行研討會。

Financial crime control seminar for the 9th session

In order to help the judges, prosecutors, administrative prosecutors, financial supervising officials, judicial policeman and lawyers further understand various kinds of financial activities so as to ensure financial crime control, the CNFA held this seminar on development of the financial industry as well as financial crime control issues.



金融消費者保護-新興科技資訊安全法令解析及案例說明會(5/15、21、23)

近來5G通訊備受產業關注，其所承載之大數據傳輸及多元應用更將擴大業者服務，為維護交易人個資保護並協助業者提昇資安能力，本公會特邀資策會專家於北中南各辦理乙場說明會，計200位資訊安全主管及相關人員與會。

Protection of financial consumers—seminars on emerging technology and information safety rules and case analysis

Lately, the emerging 5G communication technology, which would transmit big data and significantly expand the scope of multiple services, has drawn much attention from the society. In order to protect trader's information and help futures companies strengthen their capability to ensure information safety, the CNFA invited experts from the Institute of Intelligent Information (III) to speak on this issue in three rounds of seminar held in northern, central, and southern Taiwan, respectively, drawing over 200 participants in total who were mostly the information safety supervisors or related workers.



金融消費者保護-公平待客原則說明及實務經驗分享會(8/20、23、30)

為協助會員落實公平待客原則相關作為，本公會邀請年度受評優秀之證券商法遵主管進行經驗分享，於台北、台中及高雄各辦理乙場分享會，計208位稽核、法遵、營業單位主管及人員與會。

Financial consumer protection—seminars on fair customer treatment principles and practice experiences

In order to help CNFA Members fully cope with the fair customer treatment principles and related requirements, the CNFA invited the law compliance division supervisors of the excellence-rated securities firms to share their experiences in three rounds of the seminar held in northern, central, and southern Taiwan, respectively, participated by 208 persons from the auditing, law compliance, business or related divisions.





洗錢防制/打擊資恐 法令解析及案例說明會-下半年 (8/29、9/5、9/11)

為協助業者瞭解相關規範之落實方向與作為，本公會特邀洗錢防制辦公室說明相關法令規範、國際趨勢、實務工作並分享經驗，本案於北中南各辦理乙場說明會，計324位洗錢防制主管及專責人員、營業單位主管及人員與會。

Seminar on AML/CFT rules and case analysis – for the second half of 2019

In order to help futures companies further understand AML/CFT-related regulations and directions of its development, the CNFA invited officials from the AML/CFT Office to speak on related regulations, international trend, practices and experiences in three rounds of the seminar, estimated to be attended by 324 AML/CFT supervisors and staff workers as well as those from related divisions.

市場推廣活動 Market promotion activities

2019「期貨業未來發展與就業機會」校園巡迴講座 (3/1-5/31)

本講座於各大學院校辦理24場、約1,800位同學參與，舉辦目的係藉由巡迴講座協助同學正確認識期貨就業市場，並了解實務工作內容與所需具備之職能，並做好職涯規劃與就業的準備，為職場生涯構築藍圖。

2019 Campus Lecture Tour on “Futures Industry Development and Job Opportunities”

The campus lecture, held at 24 universities and participated by around 1,800 students in total, was arranged to help students understand the job opportunities of the futures market as well as job responsibilities and capability requirements so that interested students may take earlier steps to make career plans and preparations.

贊助台北金融研究發展基金會「金鑽獎」活動 (3/27)

為鼓勵基金市場上努力耕耘的業界精英、建立投信投顧業界的專業形象，並為廣大投資大眾檢視基金績效表現，本公會贊助「金鑽獎」秉持「公平、公正、公開」原則，以提供投資大眾最完整、透明的資訊。

Sponsoring TFF-organized “Best Fund Award”

With the objective of encouraging the industry elites of the fund management market as well as building a professional reputation of the securities investment fund management and advisory enterprises and showing their fund management performance, the CNFA sponsored the “Best Fund Award” activity which, based on the “fair, justice, and opening” principles, provides the public with complete and transparent information.





贊助內部稽核協會「數位化轉型 稽核新趨勢」研討會 (4/11-4/12)

本研討會邀請產、官、學界專業人士進行「金融數位科技」專題演講，另同步舉行「稽核數位化的挑戰與機會」與「數位稽核新概念」兩場分組研討，最後開放與會來賓提問表達意見，以利與會嘉賓互相交流。

Sponsoring "Digital Transformation; New Auditing Trend" conference held by Internal Auditing Association

This conference invited industry representatives, government officials, and academic scholars to give speeches on "Financial Digital Technology" and arranged two group discussions on the topics of "Challenges and Opportunities of Auditing Digitalization" and "New Concepts of Digital Auditing," and ended with a Q&A session open to take questions and make interactions with the audience.

「股票期貨月月亨通」交易競賽起跑記者會 (4/26)

為加強社會大眾熟悉股票期貨的優勢及相關運用，期交所、本公會及鉅亨網共同辦理「股票期貨月月亨通」交易競賽，並透過活動網站，設置證券期貨商品、制度及交易觀念，協助投資人優化投資策略。

Press conference to announce "Monthly Stock and Futures Trading Race" campaign

In order to strengthen the public's understanding on the advantages of stock and futures trading as well as trading skills, the CNFA teamed up with the Taiwan Futures Exchange and Anue.com in holding the "Monthly Stock and Futures Trading Race" campaign where a website was established to introduce stocks, futures, and related products, trading systems, and trading skills in a bid to strengthen investors' trading strategies.

「校園金融講堂及期貨校園徵才」活動 (5/29、10/28)

為吸引人才投入，以蓄積產業發展能量；本公會邀請期貨商於期交所與媒體共同辦理之校園講堂現場設攤徵才，並補助設攤公司製作公司形象宣傳品或攤位布置等費用，同時積極宣導從事期貨交易請選擇合法期貨業者。

"Campus Financial Podium and talents recruitment activity"

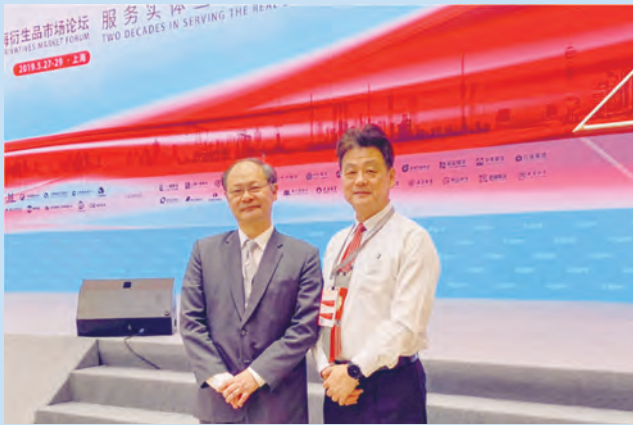
In order to attract more talented people and strengthen the momentum of the futures industry, the CNFA invited the TAIFEX, Member Companies and mass media to jointly arrange the "Campus Financial Podium and talents recruitment activity" of which the CNFA provided subsidies to those who run booths to promote futures products, futures trading, as well as the knowledge of legitimate futures trading.



政治大學場



中興大學場



第十六屆上海衍生品市場論壇 (5/27-5/29)

本屆論壇主題為“服務實體二十載，改革開放創未來”，就期貨市場服務實體經濟的主要經驗、新時代期貨市場如何主動對接國家戰略、如何加快推進行期貨市場對外開放等話題進行研討，本公會首長受邀參加。

Shanghai Derivatives Market Forum

This forum, under the title “20 years of Physical Services; Creating Future through Innovation and Opening” for 2019, gathered experts to discuss how to use futures products to serve physical economic development, how to integrate futures market development into national strategic strategies, how to accelerate opening of the futures market, and other related topics.



保險業衍生性商品避險實務研討會 (8/1)

為加深保險業與期貨業合作的力度、共創雙贏，期交所、壽險公會及本公會共同辦理研討會，邀請壽險及期貨業界先進分享實務經驗、並邀請產官學從金融面及實務面進行座談，計174位嘉賓與會。

Seminar on insurance industry's practices in hedging risks with financial derivatives

In order to intensify cross-industry cooperation and create a win-win situation for both the insurance and futures industries, the CNFA joined the TAIFEX and the insurance association in arranging this seminar where experts from the insurance or futures industry were invited to share their experiences and discuss with the participants from the government agencies, academic institutions and companies. The seminar was attended by 174 guests.

理監事參訪活動 (8/14-8/25及9/3-9/14)

本公會108年下半年度安排理監事赴北歐進行金融產業交流活動，本年度考察分為二梯次，第一梯次於8月14日出發，第二梯次於9月3日出發，參訪人數共計35位(包含會務人員)。

Business trip of board members and supervisors

The CNFA arranged trips for the board members and supervisors to visit North European countries for making exchange of the financial industry during the second half of 2019, with the first group starting from August 14 and the second group from September 3. The trips were joined by 35 persons, including the association administrative staff.





期貨業務人才養成班聯合徵才活動 (9/17-9/27)

本公會於108年度舉辦第32期「期貨業務人才養成班」聯合徵才活動，本班係由臺灣期貨交易所贊助經費、證券暨期貨市場發展基金會執行培訓課程，再由本公會籌辦甄選作業。開辦迄今已為業界媒合377位生力軍。

Joint talents recruitment activity for futures salesperson training course

The CNFA held the 32nd joint talents recruitment activity for 2019, in conjunction with the “Futures Salesperson Training Course” sponsored by the TAIFEX and organized by the Securities & Futures Institute (SFI). The CNFA was responsible for screening the trainees for this Course which, since inception, has seen 377 trainees find competent jobs after completing the training course.



從臺灣到全球-2019新金融·新商品·新投資國際論壇 (10/1)

為推動法人機構參與期貨市場，期交所及本公會共同舉辦國際論壇，邀請國內外專家從金融面及實務面進行專講與座談，分享衍生性商品交易實務經驗、亞洲市場投資展望及全球投資契機，共150位法人機構及期貨業者參加。

From Taiwan to Around the World—2019 International Forum on New Finance, New Products and New Investments

In order to induce more institutional players on the futures market, the CNFA and the TAIFEX jointly held this forum, inviting domestic and international experts to give speeches from both aspects of the financial market and business practices, sharing their derivatives trading experiences, viewpoints on the outlook of Asian market, and the investment opportunities around the world. It drew around 150 representatives of institutional investors to participate.



108年國慶大會花車嘉年華遊行活動 (10/10)

本公會與券商公會及投信投顧公會共同製作一輛花車，參與國慶大會花車嘉年華遊行活動，宣導繁榮資本市場、共享經濟啟航。

Carnival float parade for national day celebration

The CNFA, TSE and SITCA jointly made a decorated float to participate the carnival float parade in celebration of the national day, a move successfully advocating the prosperous development of the financial market and its contributions to the overall economic growth.





2019台北國際期貨論壇 (11/6)

為因應數位金融服務創新及轉型，探討FinTech如何應用於衍生品市場，本公會舉辦「2019 台北國際期貨論壇-FinTech於衍生品市場之未來趨勢與展望」，業已於108年11月06日假台北福華廳(B2)舉辦完畢，共計180位人員出席參加。

Taipei International Futures Forum 2019

In reaction to the innovation and transformation of digital financial services, the CNFA arranged the "Taipei International Futures Forum 2019-"The Development Trends of FinTech Derivatives Markets" to discuss how to apply FinTech to the derivatives market. It's held at the Taipei Plaza Hotel on Nov. 6, drawing around 180 people to participate.

社會關懷 Social care

贊助三立電視台「台潮盛典」活動 (4/27-4/28)

「台潮盛典」係為台灣音樂史上第一次「全台語流行音樂演唱會」，為推動本土音樂，本公會贊助經費並於音樂演唱會現場，露出「合法期貨」，藉以提升群眾觀念。

Sponsoring "Taiwanese Music Tide Festival" held by Sangli E-television

The "Taiwanese Music Tide Festival" was the first ever music event entirely proceeded with Taiwanese music. The CNFA, which shared the expenses of this event as a sponsor, took this opportunity to advocate the concept of "Legitimate Futures."



「2019年金融服務愛心公益嘉年華」

(6/29、11/2)

為推動普及金融知識，喚起民眾對金融知識的重視及對社會弱勢族群的關懷，本公會積極參加金融總會統籌辦理之台南及新竹兩場關懷社會園遊會，從事教育宣導工作，並捐贈款項予弱勢團體，幫助需要關懷人士。

Financial Service and Charity Carnival 2019

In order to spread out financial knowledge to arouse the public's notice to the financial knowledge and social care for the disadvantaged groups, the CNFA enthusiastically joined the two rounds of the TFSR-organized "Financial Service and Charity Carnival 2019" in Tainan and Hsinchu, respectively. Besides promoting public education, the CNFA made donations to the disadvantaged groups to help those in need.





107學年度「金融服務業教育獎助學金計畫」頒獎典禮(12/25)

本計畫係由金管會指導，金融總會統籌辦理，各金融周邊、同業公會、金融機構共同捐助新臺幣1億2千萬元，其中1億元供發放教育獎助學金（2,000名學生，每名5萬元），2千萬元供辦理金融教育課程。

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

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



聯誼活動 Friendship activities

1.107年度歲末聯誼活動 (1/17)

本公會假台北福華大飯店舉行歲末聯歡晚會，除理監事及各委員會委員熱烈參與外，尚有金管會顧主任委員立雄、證期局王局長詠心、黃組長厚銘及多位週邊單位董總等貴賓蒞臨，共同迎接金豬年並祝期貨市場蓬勃發展。

2018 year-end gala dinner

The year-end gala dinner for 2018 was held at the Howard Plaza Hotel, participated by the CNFA's executive directors, supervisors, committee members in addition to several special guests including Deputy Director Chang Chuan-chuang from the Financial Supervisory Commission, Director Wang Yung-hsin and Section Chief Huang Ho-ming from the Securities and Futures Bureau, as well as the chairpersons and other high-ranking executives from related companies. They got together to welcome the coming of the new Chinese lunar year with best wishes for prosperous development of the futures market in the new year.

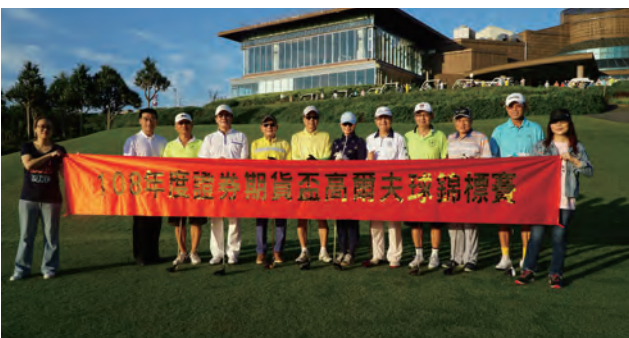


2.108年度證券期貨盃高爾夫球賽聯誼活動 (7/27)

本公會與證交所、期交所、集保公司、櫃買中心、券商公會及投信投顧公會於桃園揚昇球場共同辦理證券期貨盃高爾夫球賽，以加強證券、期貨交流聯誼。

Securities & Futures Golf Championship for 2019

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



3. 從業人員聯誼活動（11/23）

為提倡健康自然之休閒活動並提供從業人員聯誼管道，辦理登山健行聯誼活動，並同時「捐發票、送愛心」關懷弱勢。本次活動近1,200名從業人員及眷屬參與，共募得超過3,000張發票全數捐與育成社會福利基金會。

Friendship activities for futures workers

In order to provide healthy and natural leisure activities to futures workers, the CNFA arranged the annual hiking activity in conjunction with an "Invoice Donation for Charity" activity, participated by over 1,200 futures workers and their family members in 2019. Over 3,000 invoices were collected through this activity.



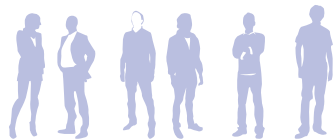
4. 理監事聯誼活動（4/10-4/15、5/4-5/11）

108年度理監事聯誼活動分別於4月及5月共舉辦二梯次，地點為大陸麗江及大陸北疆等，本次聯誼共有23位理監事參加，透過此聯誼活動，讓平日業務繁忙的理監事，得與同業與周邊單位互相學習、增進情誼並與周邊單位互相交流。

Friendship activity for CNFA directors and supervisors

The CNFA arranged two friendship trips for two groups of board members and supervisors, respectively in April and May 2019, with the first the trip to Lijiang of Yunnan Province China and the second trip to Dzungaria in northwest China. The two trips were participated by 23 board members and supervisors in total, who took the chances to relax themselves from busy daily work routines while enjoying the time with counterparts from related institutions and strengthening friendship among each other.





三、督促會員自律、共謀業務上改進事項

C. Self-discipline and operation improvement of member companies

1. 期貨顧問事業查察輔導事項

Inspection of futures advisory enterprises

本公會108年度針對期貨顧問事業之業務及內部稽核作業實施例行查察輔導及專案查核工作，其中違反本公會「會員自律公約」，提報紀律委員會共11案，發函要求改善者9件、核處警告者12件。

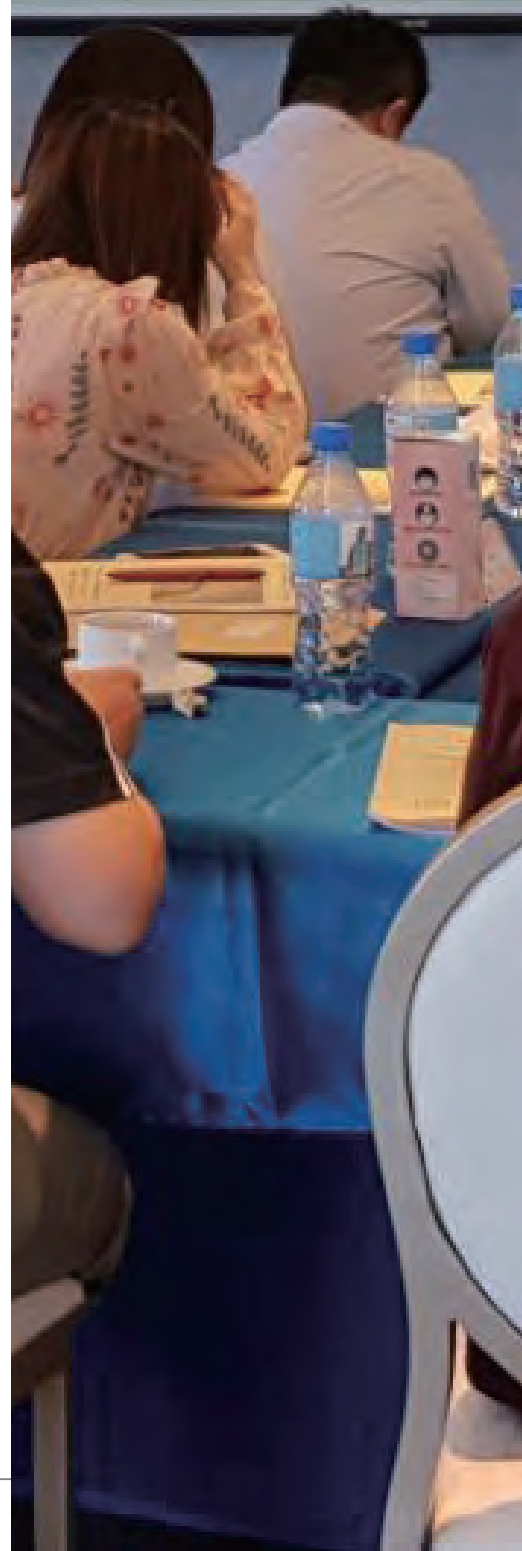
The CNFA made annual inspection on futures advisory enterprises and their practices of internal auditing. In 2019, among those breaking the “Self-discipline Agreement for CNFA Members,” 11 cases were reported to the Discipline Committee, 9 were notified to make improvement by written letter, and 12 received the CAFA's warning notices.

2. 督促事項

Discipline matters

期貨顧問事業以外之會員公司因違反本公會自律規範，提報紀律委員會共8案，發函要求改善者8項、核處警告者1項。

Among other member companies which violated the “Self-discipline Agreement for CNFA Members,” except futures advisory enterprises, 8 cases were reported to the Discipline Committee, there were 8 requests for improvement and 1 notified of the CNFA's warning.



四、關於會員業務之廣告及宣傳審查事項

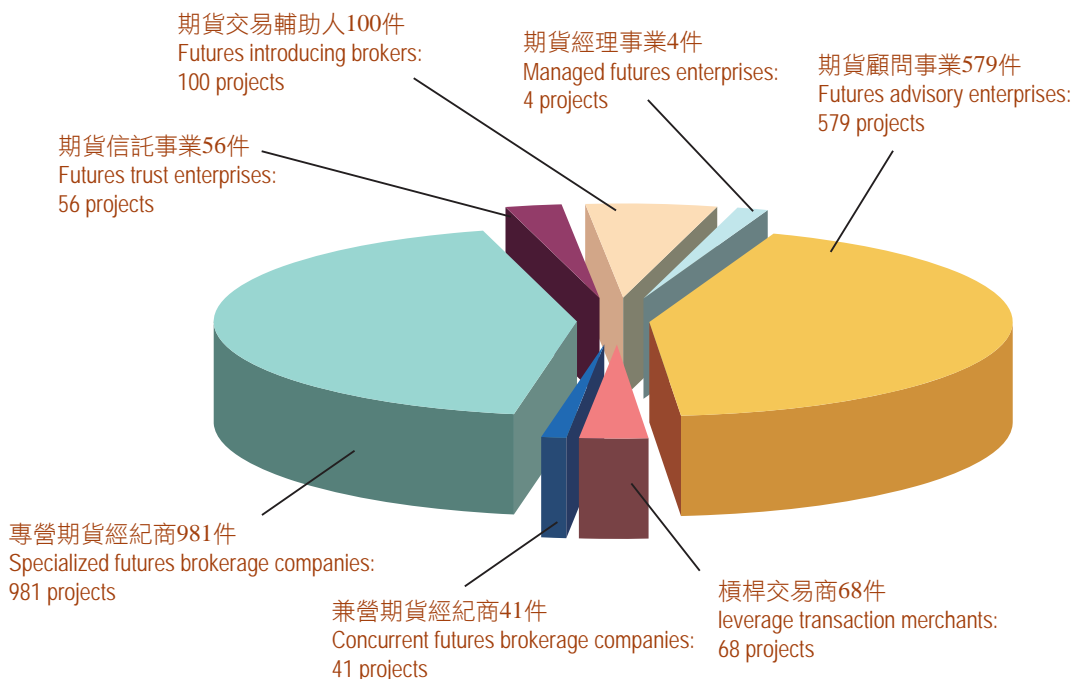
D. Inspection of advertisement and promotional materials of member companies

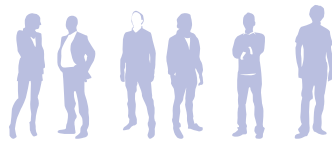
本公會108年度共計審核1,829件會員公司宣傳資料及廣告案件，就案件分析，專營期貨經紀商申報981件、兼營期貨經紀商申報41件、槓桿交易商申報68件、期貨顧問事業申報579件、期貨經理事業申報4件、期貨信託事業申報56件、期貨交易輔助人申報100件。

In 2019, the Association reviewed 1,829 projects of advertisement and promotional materials published by member companies. Among them, 981 projects were filed by the specialized futures brokerage companies, 41 by concurrent futures brokerage companies, 68 by leverage transaction merchants, 579 by futures advisory enterprises, 4 by managed futures enterprises, 56 by futures trust enterprises, and 100 by futures introducing brokers.

108年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2019



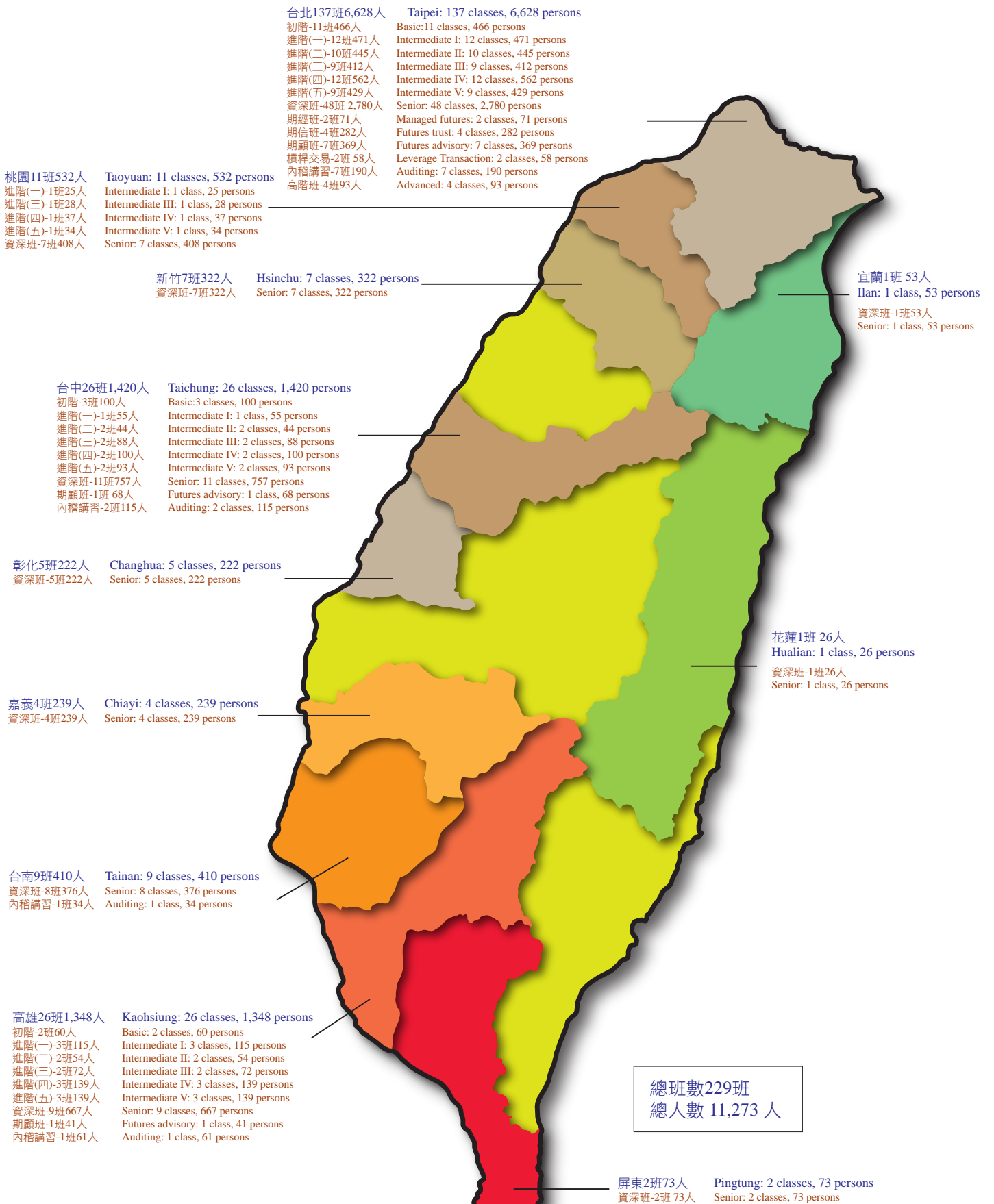


五、在職訓練

E. On-job training

108年度舉辦之地區別、班別及人數詳如下圖：

CNFA-arranged Training Courses in 2019



六、關於會員、會員代表、會員負責人及業務員基本資料之建立、登記事項

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

1. 會員及業務員基本資料之建立及登記事項

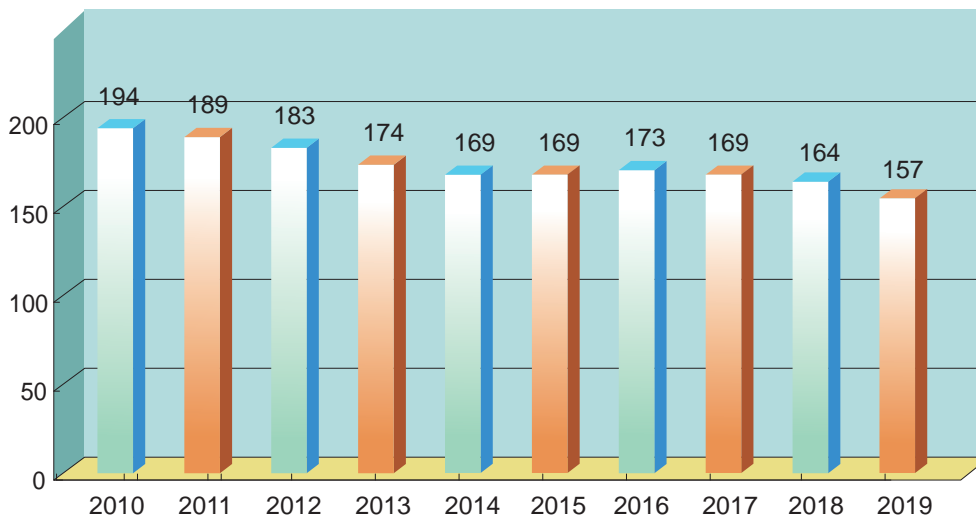
Registration of member companies and their business representatives

- 會員家數：共計157家，其中經營期貨經紀業務為30家(19%)；期貨業務輔助人47家(30%)；期貨自營業務32家(20%)；期貨顧問業務31家(20%)；期貨經理業務6家(4%)；期貨信託業務8家(5%)；槓桿交易商3家(2%)。

There were 157 member companies registered with the CNFA at the end of 2019: 30 (19%) futures brokerage companies, 47 (30%) futures introducing brokers, 32 (20%) proprietary futures commission merchants, 31 (20%) futures advisory enterprises, 6 (4%) managed futures enterprises, and 8 (5%) futures trust enterprises, and 3(2%) leverage transaction merchants.

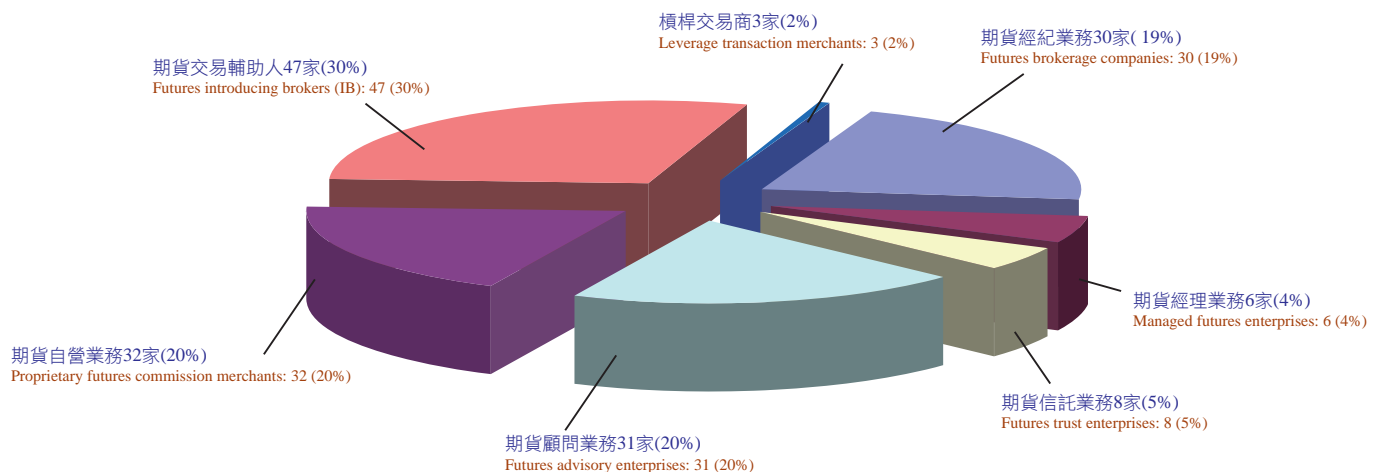
近10年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years



108年度會員類別統計圖

Statistics of CNFA Member Companies in 2019, by Business Category



共計157家會員 資料統計截至108/12/31
A total of 157 member companies as of Dec. 31, 2019

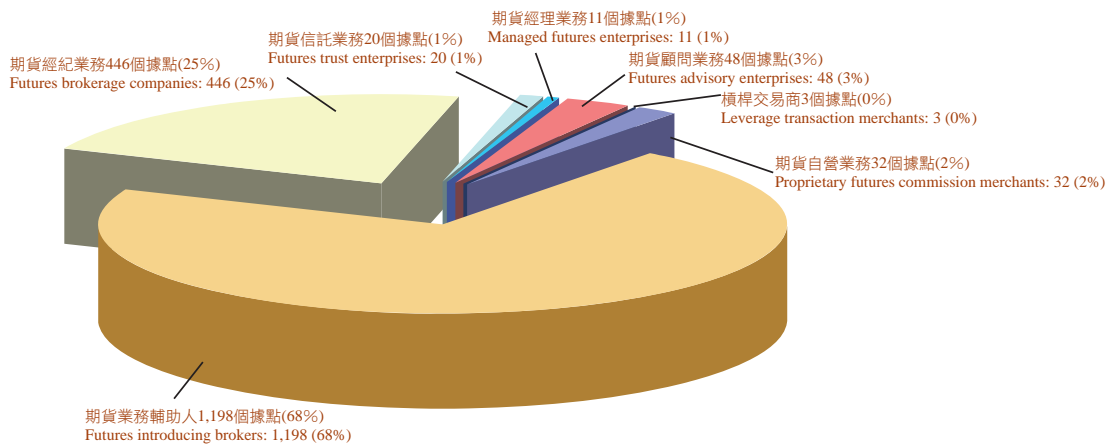


- 會員總分公司分支機構數：共計1,758家，其中經營期貨經紀業務為446個營業據點(25%)；期貨業務輔助人1,198個營業據點(68%)；期貨自營業務32個營業據點(2%)；期貨顧問業務48個營業據點(3%)；期貨經理業務11個營業據點(1%)；期貨信託業務20個營業據點(1%)；槓桿交易商3個營業據點(0%)。

CNFA Member Companies were operated with a total of 1,758 headquarters offices and branch offices as of the end of 2019: 446 used by futures brokers (25%), 1,198 used by introducing brokers (68%), 32 used by proprietary futures commission merchants (2%), 48 used by futures advisory enterprises (3%), 11 used by managed futures enterprises (1%), and 20 used by futures trust enterprises (1%), 3 used by leverage transaction merchant (0%)。

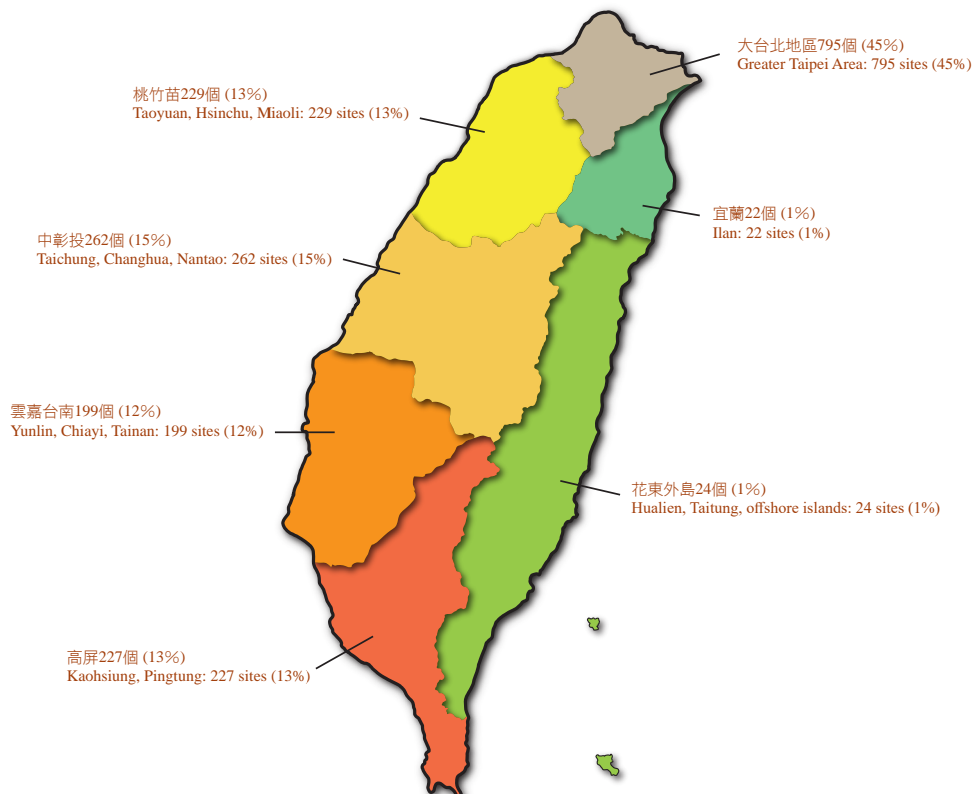
會員營業據點統計圖

Business Sites of CNFA Member Companies in 2019



108年度會員營業據點區域分布統計圖

Geographical Location of Business Sites of CNFA Member Companies in 2019

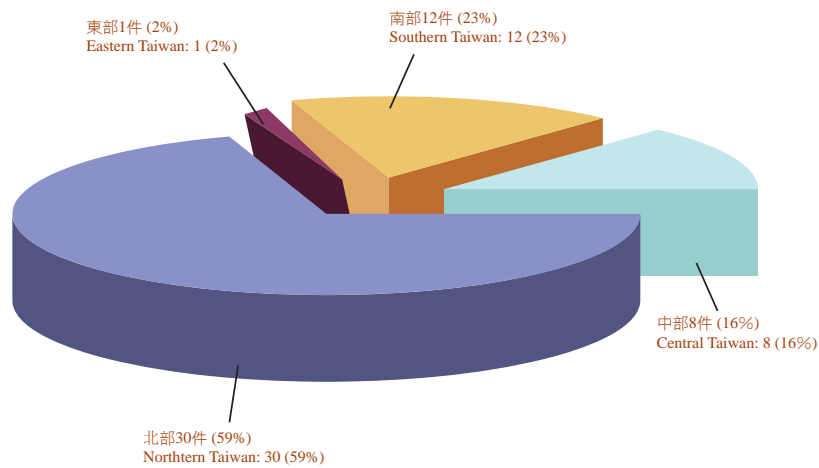


● 會員場地勘察 Business site inspection

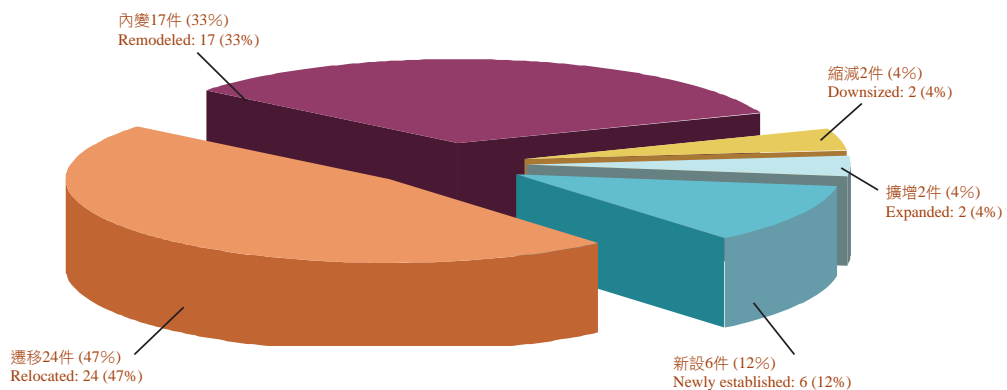
108年度共計51件場勘案(北部地區30件、中部地區8件、南部地區12件、東部地區1件)，就其場勘案件分析，新設營業處所6件(12%)、遷移營業處所24件(47%)、縮減營業處所2件(4%)、擴增營業處所2件(4%)、營業處所內部配置變動17件(33%)。

The Association conducted a total of 51 business site inspection projects in 2019 (30 in northern Taiwan, 8 in central Taiwan, 12 in southern Taiwan, 1 in eastern Taiwan). Among these inspected sites, 6 (12%) were newly established, 24 (47%) were relocated, 2 (4%) were downsized, 2 (4%) were expanded, and 17 (33%) were remodeled.

108年度場地勘察區域分布統計圖
Geographical Areas of Inspected Business Sites in 2019



108年度場地勘察類別統計圖
Statistics of Business Site Inspection Projects in 2019

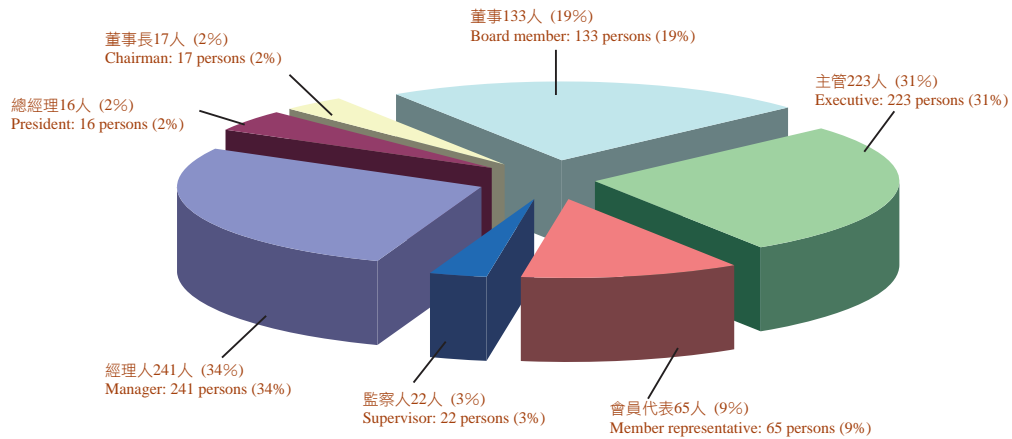




2. 會員委託證照之申請變更、換領及其他服務事項
Certificate renewal, change, and other related services

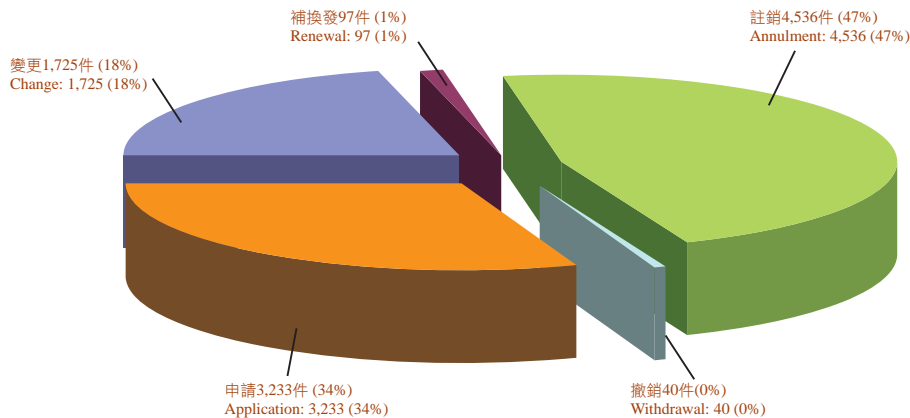
- 會員代表、會員負責人108年度於本公會異動登錄共計717人次，細分如下：
In 2019, the Association handled a total of 717 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies.

108年度身分類異動統計圖
Position Change Statistics for 2019

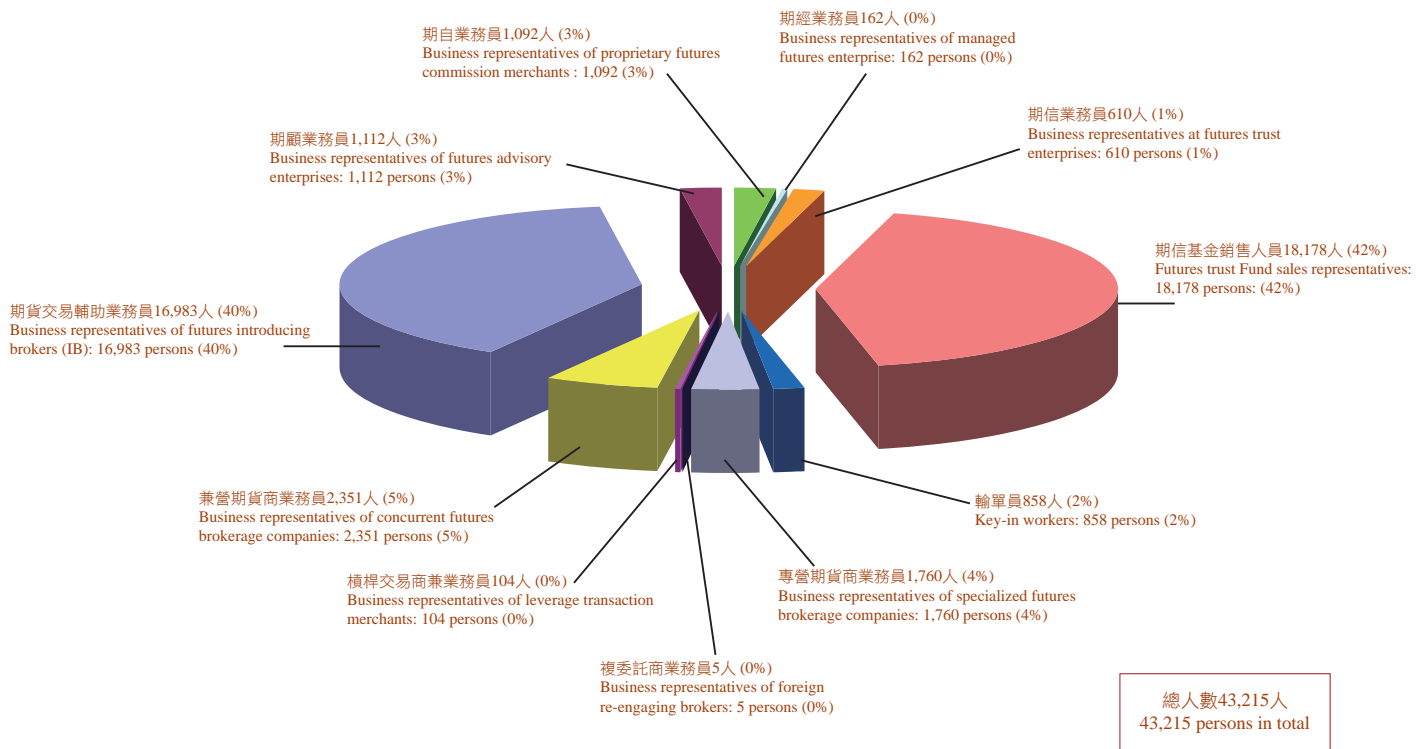


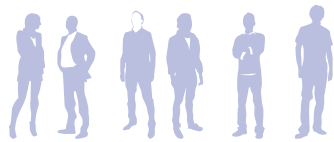
- 業務員、輸單員、銷售人員108年度於本公會異動登錄共計9,631件，每月平均803件
In 2019, the Association handled a total of 9,631 business representative, key-in worker, and salesperson enrollment cases, with an average of 803 cases per month.

108年度業務異動類別統計圖
Job Change Registrations in 2019



108年度從業人員登記統計圖
Business Category Change of Staff at CNFA Member Companies in 2019





七、本公會出版品 G. Publications

1. 會訊 Newsletter

The newsletter pages contain several articles and photos. The first page features a photo of a group of people at an event. The second page has a photo of a group of people standing together. The third page includes a photo of a group of people in a meeting or discussion.

2. 期貨人季刊 Futures Journal

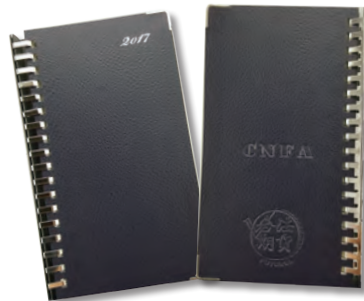
The covers of the Futures Journal magazine are displayed. Each cover features the title '期貨人' (Futures Journal) and the year '2019'. The covers have different color schemes and images: a landscape, a group of people, a building, and a sunset over water.

3. 研究叢書 Study report

The book covers from the study report series are shown. Each cover includes the title of the study, the publisher '中華民國期貨業商業同業公會', and the date of publication. The covers are yellow, pink, and blue.

4. 政令宣導 Policy Advocacy

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



伍

財務報告



會計師查核報告

(109)財審報字第 19002883 號

中華民國期貨業商業同業公會 公鑒：

查核意見

中華民國期貨業商業同業公會民國 108 年及 107 年 12 月 31 日之資產負債表及財產清冊，暨民國 108 年及 107 年 1 月 1 日至 12 月 31 日之收支決算表、現金出納表及基金收支表，以及會計報告附註(包括重大會計政策彙總)，業經本會計師查核竣事。

依本會計師之意見，上開會計報告在所有重大方面係依照內政部頒布之「工商團體財務處理辦法」暨企業會計準則公報及其解釋編製，足以允當表達中華民國期貨業商業同業公會民國 108 年及 107 年 12 月 31 日之財務狀況，暨民國 108 年及 107 年 1 月 1 日至 12 月 31 日之收支情形。

查核意見之基礎

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

管理階層對會計報告之責任

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

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

資誠聯合會計師事務所 PricewaterhouseCoopers, Taiwan
11012 臺北市信義區基隆路一段 333 號 27 樓
27F, No. 333, Sec. 1, Keelung Rd., Xinyi Dist., Taipei 11012, Taiwan
T: +886 (2) 2729 6666, F: + 886 (2) 2729 6686, www.pwc.tw



會計師查核會計報告之責任

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

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

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

資 誠 聯 合 會 計 師 事 務 所

會計師

李香吟



中 華 民 國 1 0 9 年 2 月 2 1 日

REPORT OF INDEPENDENT ACCOUNTANTS TRANSLATED FROM CHINESE

To the Board of Directors of CHINESE NATIONAL FUTURES ASSOCIATION

Opinion

We have audited the accompanying balance sheets and property lists of CHINESE NATIONAL FUTURES ASSOCIATION (the “Association”) as at December 31, 2019 and 2018, and the related statements of activities, income and disbursements of cash and fund for the years then ended, and notes to the accounting reports, including a summary of significant accounting policies.

In our opinion, the accompanying accounting reports present fairly, in all material respects, the financial position of the Association as at December 31, 2019 and 2018, and the results of its operations and disbursements of cash and fund for the years then ended in accordance with “Regulations of Financial Treatment of Industrial and Commercial Groups” promulgated by Ministry of the Interior and Enterprise Accounting Standards and its interpretations.

Basis for opinion

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

Responsibilities of management for the accounting reports

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

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

Auditor's responsibilities for the audit of the accounting reports

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

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

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

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

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

Lee, Hsiu-Ling

For and on Behalf of PricewaterhouseCoopers, Taiwan

February 21, 2020

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

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

Independent Auditor's Report

To: Chinese National Futures Association

Feb. 21, 2020

We have audited the balance sheet and assets list of the Chinese National Futures Association (CNFA) as of the end of 2019 as well as related statement of income, cash flow, and fund management for the year then ended. The CNFA is responsible for making all these financial statements about which we are responsible for expressing our opinions based on our audit.

We conduct our audits in accordance with generally accepted auditing standards in the Republic of China, which requires 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 CNFA as of December 31, 2019 and the results of its operations and cash flows for the year then ended in conformity with the “Rules Governing Financial Management of Industrial and Commercial Associations” and generally accepted accounting principles in the Republic of China.

PricewaterhouseCoopers

Taipei, Taiwan, ROC

CHINESE NATIONAL FUTURES ASSOCIATION
BALANCE SHEETS
YEARS ENDED DECEMBER 31

	2019		2018		Notes	2019		2018	
	Amount	%	Amount	%		Amount	%	Amount	%
(Expressed in New Taiwan Dollars)									
ASSETS									
Current Assets									
Cash and bank deposit	\$ 20,498,575	3	\$ 28,567,531	5		\$ 12,489,770	2	\$ 14,129,110	2
Securities	121,496,681	19	108,396,681	18	5(8)	153,425	-	129,732	-
Accounts receivable	2,631,146	-	3,134,448	-		94,771	-	22,571	-
Prepayments	1,351,134	-	375,165	-		12,737,966	2	14,281,413	2
Other current assets	450,000	-	39,095	-					
Total current assets	146,427,536	22	140,512,920	23					
Funds									
Development fund at special bank account	127,791,812	20	120,450,903	20		52,740,000	8	55,260,000	9
Pension fund at special bank account	32,540,123	5	30,238,045	5		65,477,966	10	69,541,413	11
Total funds	160,331,935	25	150,688,948	25					
Property, Plant and Equipment									
Land	133,989,345	22	133,989,345	22		134,711,812	21	126,970,903	21
Buildings	107,770,320	17	107,770,320	17		34,858,149	6	32,273,156	5
Machinery and equipment	18,234,873	3	18,087,873	3		265,628,830	42	265,481,830	43
Miscellaneous property, plant, and equipment	3,539,262	1	3,539,262	1		435,198,791	69	424,725,889	69
Office equipment	2,095,030	-	2,095,030	-					
Total property, plant and equipment	265,628,830	43	265,481,830	43					
Funds And Accumulated Surplus									
Funds									
Development fund						117,953,646	20	100,727,507	17
Pension fund						9,295,148	1	17,226,139	3
Fixed assets fund						127,248,794	21	117,953,646	20
Total funds	265,628,830	43	265,481,830	43		562,447,585	90	542,679,535	89
Other Assets									
Securities	219,950	-	219,950	-					
Refundable deposits	57,300	-	57,300	-					
Self-discipline fund at special bank account	55,260,000	10	55,260,000	9					
Total other assets	55,537,250	10	55,537,250	9					
TOTAL ASSETS	\$ 627,925,551	100	\$ 612,220,948	100		\$ 627,925,551	100	\$ 612,220,948	100
LIABILITIES, FUNDS AND SURPLUS									
Current Liabilities									
Accrued expenses									
Receipts under custody									
Temporary receipts									
Total current liabilities									
Non-current Liabilities									
Refundable deposits received									
TOTAL LIABILITIES									
TOTAL LIABILITIES, FUNDS AND SURPLUS									

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



中華民國國貨業商業同業公會

收支決算表

民國108年1月1日至12月31日

單位：新台幣元

科 目	決算數	預算數	決算與預算比較數		說明
			增 加	減 少	
經費收入					
常年會費收入	\$ 1,441,200	\$ 1,753,000	\$ -	(\$ 311,800)	
業務費收入(附註五(十))	92,953,357	155,990,000	-	(63,036,643)	註1
利息收入	1,350,392	1,286,000	64,392	-	
會員服務收入	13,424,077	13,971,000	-	(546,923)	
其他收入	137,216	-	137,216	-	
收入合計	<u>109,306,242</u>	<u>173,000,000</u>	<u>201,608</u>	<u>(63,895,366)</u>	
經費支出					
人事費	35,458,204	36,776,000	-	(1,317,796)	註2
辦公費	7,255,555	8,310,000	-	(1,054,445)	註3
業務費	40,164,382	102,717,000	-	(62,552,618)	註4
購置費	1,323,494	3,727,000	-	(2,403,506)	註5
團體會費	2,590,000	1,570,000	1,020,000	-	註6
什項支出	2,503,454	5,520,000	-	(3,016,546)	註7
預備金	-	3,460,000	-	(3,460,000)	註8
基金提存(附註五(十一))	<u>10,716,005</u>	<u>10,920,000</u>	-	(203,995)	
支出合計	<u>100,011,094</u>	<u>173,000,000</u>	<u>1,020,000</u>	<u>(74,008,906)</u>	
本期餘絀(稅前)	9,295,148	-	9,295,148	-	
所得稅費用(附註五(九))	-	-	-	-	
本期餘絀(稅後)	<u>\$ 9,295,148</u>	<u>\$ -</u>	<u>\$ 9,295,148</u>	<u>\$ -</u>	

後附會計報告附註為本會計報告之一部分，請併同參閱。

註1：業務費收入減少，主係經理監事聯席會議，自本期9月起依結餘情況調整折扣數。

註2：人事費減少，主係本期有員工離職。

註3：辦公費減少，主係因樽節辦公費用支出所致。

註4：業務費減少，主係因預估之業務推廣活動未全數執行所致。

註5：購置費減少，主係本期預計購置之資訊設備並未購所致。

註6：團體會費增加，主係本期入會金融法制暨犯罪防制中心及金融治理與法律遵循協會。

註7：什項支出減少，主係因本期預估之社會服務費未全數執行所致。

註8：預備金減少，主係本期無特殊狀況動支。

理事長：



秘書長：



會計主管：



製表：



**FINAL STATEMENTS OF INCOME AND EXPENDITURE
FOR THE YEARS ENDED DECEMBER 31**

(Expressed in New Taiwan Dollars)

	Notes	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
				Increase	Decrease	
Income						
Annual membership fees		\$ 1,441,200	1,753,000	\$ -	(\$ 311,800)	
Business promotion fees	5(10)	92,953,357	155,990,000	-	(63,036,643)	Note1
Interest income		1,350,392	1,286,000	64,392	-	
Membership service fees		13,424,077	13,971,000	-	(546,923)	
Miscellaneous income		137,216	-	137,216	-	
Total income		<u>109,306,242</u>	<u>173,000,000</u>	<u>201,608</u>	<u>(63,895,366)</u>	
Expenditure						
Personnel expense		35,458,204	36,776,000	-	(1,317,796)	Note2
Administration expense		7,255,555	8,310,000	-	(1,054,445)	Note3
Business expense		40,164,382	102,717,000	-	(62,552,618)	Note4
Procurement expense		1,323,494	3,727,000	-	(2,403,506)	Note5
Association activity fee		2,590,000	1,570,000	1,020,000	-	Note6
Miscellaneous items		2,503,454	5,520,000	-	(3,016,546)	Note7
Reserve cash		-	3,460,000	-	(3,460,000)	Note8
Fund withdrawing	5(11)	10,716,005	10,920,000	-	(203,995)	
Total expenditure		<u>100,011,094</u>	<u>173,000,000</u>	<u>1,020,000</u>	<u>(74,008,906)</u>	
Surplus before income tax		9,295,148	-	9,295,148	-	
Income tax	5(9)	-	-	-	-	
Surplus for the year		<u>\$ 9,295,148</u>	<u>\$ -</u>	<u>\$ 9,295,148</u>	<u>\$ -</u>	

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

- 1 : Income of business fees decreased due to the new policy approved at the meeting of board members and supervisors, under which discount would be adjusted along with the balance, starting from September 2019.
- 2 : The personnel expense decreased primarily due to the employee's resignation.
- 3 : Administration fee decreased mainly due to the cut in budget.
- 4 : Business activity fees decreased because the proposed business promotion activities haven't been completely implemented in 2019.
- 5 : Procurement expenditure decreased because the website have not been completed.
- 6 : The increase in association activity fee mainly results from the recent entrance of the association in the "Institute of Financial Law and Crime Prevention" and "Financial Governance and Legal Compliance Institute".
- 7 : Miscellaneous expenses decreased primarily because the social service budget has not been fully used.
- 8 : Reserve cash decreased because there were no special conditions for extra expenditure.

陸

大事紀要

日期 Date	項目 Event
1/8	「校園巡迴講座」講師座談會 “Campus Lecture Tour” workshop for lecturers
1/16	第5屆紀律委員會第10次會議 The 10 th meeting of the 5 th -session Discipline Committee
1/17	107年度歲末聯歡餐會 Year-end gala dinner for 2018
1/22	「司法裁判關於地下期貨所犯罪名之研究」期中報告 Mid-term report of study on “Crimes of underground futures players defined in judicial rulings”
1/23	防制洗錢工作小組（Compliance Forum Group）第8次會議 The 8 th meeting of Compliance Forum Group
1/23	金融服務業公平待客原則評核機制宣導 Promotion of fair customer treatment assessment mechanism for financial industry
1/30	「臺灣期貨市場造市制度與功能之研究」期末報告 Final report of study on “Market-making system and its functions of Taiwan futures market”
1/30	第5屆財務委員會第13次會議 The 13 th meeting of the 5 th -session Financial Committee
2/13	「選擇權市場代為沖銷及考慮流動性動態價格穩定機制與保證金調整之研究」 期末報告 Final report of study on “Feasibility for futures companies to make write-off on behalf of clients as well as price stabilization mechanism for liquid assets and adjustment in premium for options trading”
2/15	第5屆理監事第16次聯席會議 The 16 th joint meeting of the 5 th -session Executive Directors and Supervisors
2/26	「金融講堂」系列講座課程-臺灣師範大學場 “Financial Podium” lecture series—National Taiwan Normal University
3/5	第5屆自營業務委員會第9次會議 The 9 th meeting of the 5 th -session Proprietary Future Commission Merchant Committee
3/6	「校園巡迴講座」嘉義大學場 “Campus Lecture Tour” —National Chiayi University
3/6	「校園巡迴講座」南台科大場 “Campus Lecture Tour” —Southern Taiwan University of Science and Technology
3/6	「校園巡迴講座」聯合大學場 “Campus Lecture Tour” —National United University
3/11	第5屆經紀業務委員會第15次會議 The 15 th meeting of the 5 th -session Futures Brokerage Committee
3/11	「校園巡迴講座」朝陽科大場 “Campus Lecture Tour” —Chaoyang University of Technology
3/13	「校園巡迴講座」台北大學場 “Campus Lecture Tour” —National Taipei University

日期 Date	項目 Event
3/13	「校園巡迴講座」高雄科技大學場 “Campus Lecture Tour” —National Kaohsiung University of Science and Technology
3/20	洗錢防制說明會-台中場 AML Seminar-Taichung
3/20	「校園巡迴講座」-僑光科大 “Campus Lecture Tour” —Overseas Chinese University
3/20	「校園巡迴講座」-元智科大 “Campus Lecture Tour” — Yuan Ze University
3/20	「校園巡迴講座」-佛光大學 “Campus Lecture Tour” —Fo Guang University
3/20	「校園巡迴講座」-暨南大學 “Campus Lecture Tour” —Jinan University
3/22	洗錢防制說明會-高雄場 AML Seminar-Kaohsiung
3/25	「金融講堂」系列講座課程-東華大學場 “Financial Podium” lecture series—National Dong Hwa University
3/25	「校園巡迴講座」-實踐大學高雄校區 “Campus Lecture Tour” —Shih Chien University
3/27	「金融講堂」系列講座課程-彰化師範大學場 “Financial Podium” lecture series—National Changhua University of Education
3/27	洗錢防制說明會-台北場 AML Seminar-Taipei
3/27	「校園巡迴講座」南華大學場 “Campus Lecture Tour” —Nanhua University
3/28	「校園巡迴講座」真理大學場 “Campus Lecture Tour” —Aletheia University
4/2	「金融講堂」系列講座課程-中原大學場 “Financial Podium” lecture series—Chung Yuan Christian University
4/10~4/15	理監事聯誼活動-麗江第一團 Friendship activity for directors and supervisors—trip for Group-1 to Lijiang of Yunnan Province, China
4/11	第5屆教育訓練委員會第5次會議 The 5 th meeting of the 5 th -session Education & Training Committee
4/12	「校園巡迴講座」宜蘭大學場 “Campus Lecture Tour” —National Ilan University
4/19	第5屆理監事第17次聯席會議 The 17 th joint meeting of the 5 th -session Executive Directors and Supervisors
4/23	「校園巡迴講座」台北商業大學場 “Campus Lecture Tour” —National Taipei University of Business



日期 Date	項目 Event
4/24	「校園巡迴講座」醒吾大學場 “Campus Lecture Tour” —Hsing Wu University
4/24	「校園巡迴講座」台南大學場 “Campus Lecture Tour” —National University of Tainan
4/24	槓桿工作小組第1次會議 The 1 st meeting of the Leverage transaction Working Group
4/25	「校園巡迴講座」文化大學場 “Campus Lecture Tour” —Chinese Culture University
4/26	鉅亨網交易競賽起跑記者會 Press conference on futures trading race held by Anue.com
4/30	期貨商法令遵循風險管理架構及風險評估報告參考範本專案會議 Special project meeting discussing the reference sample of futures company’s report on their law compliance practice regarding risk management framework and risk assessment
5/2	「校園巡迴講座」屏東大學場 “Campus Lecture Tour” —National Pingtung University of Education
5/3	「司法裁判關於地下期貨所犯罪名之研究」期末報告 Mid-term report of study on “Crimes of underground futures players defined in judicial rulings”
5/3	「校園巡迴講座」中正大學場 “Campus Lecture Tour” —National Chung Cheng University
5/4~5/11	理監事聯誼活動-北疆第二團 Friendship activity for directors and supervisors—trip for Group 2 to Dzungaria in north west China
5/6	「校園巡迴講座」輔仁大學場 “Campus Lecture Tour” —Fu Jen Catholic University
5/13	「校園巡迴講座」高雄師範大學場 “Campus Lecture Tour” —National Kaohsiung Normal University
5/13-5/14	第九期防制金融犯罪研討會 The 9 th financial crime control seminar
5/15	「校園巡迴講座」中山醫學大學場 “Campus Lecture Tour” —Chung Shan Medical University
5/15	資安說明會-台北場 Information Safety Workshop-Taipei
5/15	第5屆紀律委員會第11次會議 The 11 th meeting of the 5 th -session Discipline Committee
5/16	「校園巡迴講座」義守大學場 “Campus Lecture Tour” —I-Shou University
5/21	第5屆自營業務委員會第10次會議 The 10 th meeting of the 5 th -session Proprietary Future Commission Merchant Committee
5/21	資安說明會-台中場 Information Safety Workshop-Taichung
5/23	資安說明會-高雄場 Information Safety Workshop-Kaohsiung

日期 Date	項目 Event
5/24	第5屆稽核暨法遵委員會第5次會議 The 5 th meeting of the 5 th -session Auditing & Law Compliance Committee
5/27	參加108年金融建言白皮書期中報告 Mid-term report on “Financial White Paper 2019”
5/27~5/29	參加第16屆上海衍生品市場論壇 The 16 th Shanghai Derivatives Market Forum
5/29	校園講座暨徵才活動-政治大學場 Campus Lecture & Talents Recruitment—National Chengchi University
5/30	「代為沖銷法律性質暨期貨商責任內涵之研究」期末報告 Final report of study on “Legal aspect and responsibilities of futures companies making writing-off on behalf of clients”
5/31	第5屆經紀業務委員會第16次會議 The 6 th meeting of the 5 th -session Futures Brokerage Committee
6/5	防制洗錢工作小組（Compliance Forum Group）第9次會議 The 9 th meeting of Compliance Forum Group
6/11	第5屆理監事第18次聯席會議 The 16 th joint meeting of the 5 th -session Executive Directors and Supervisors
6/20	槓桿工作小組第2次會議 The 2 nd meeting of Leverage transaction Working Group
6/21	參加108年金融建言白皮書期末報告 Final report on “Financial White Paper 2019”
6/21	第5屆稽核暨法遵委員會第6次會議 The 6 th meeting of the 5 th -session Auditing & Law Compliance Committee
6/21	期貨商法令遵循風險管理架構及風險評估參考實務守則說明會 Seminar on guidelines of risk management framework and risk assessment for futures company’ s law-compliance practice
6/27	第6屆第1次會員大會 The 1 st General Assembly of 6 th -session CNFA Members
6/27	第6屆理事會第1次會議 The 1 st meeting of the 6 th -session executive directors
6/27	第6屆監事會第1次會議 The 1 st meeting of the 6 th -session supervisors
6/29	2019年金融服務愛心公益嘉年華（台南場） Financial Service and Charity Carnival 2019 (in Tainan)
7/27	108年度證券期貨盃高爾夫球賽聯誼活動 Securities & Futures Golf Championship for 2019
8/1	保險業避險實務研討會 Seminar on risk-hedging practices of insurance industry
8/14~8/25	理監事參訪活動-北歐第一團 Business trip of board members and supervisors—North Europe trip for Group 1
8/20	公平待客原則說明及實務經驗分享會-台北場 Seminar on fair customer treatment principles and experience-sharing—Taipei



日期 Date	項目 Event
8/21	辦理受金管會裁罰所涉相關人員參加專業訓練課程 Specialized training course for persons involved in FSC-penalized cases
8/23	公平待客原則說明及實務經驗分享會-台中場 Seminar on fair customer treatment principles and experience-sharing—Taichung
8/29	洗錢防制說明會-台北場 AML Seminar-Taipei
8/30	第6屆理監事第1次聯席會議 The 1 st joint meeting of the 6 th -session Executive Directors and Supervisors
8/30	公平待客原則說明及實務經驗分享會-高雄場 Seminar on fair customer treatment principles and experience-sharing—Kaohsiung
8/30	辦理受金管會裁罰所涉相關人員參加專業訓練課程。 Specialized training course for persons involved in FSC-penalized cases
9/3~9/14	理監事參訪活動-北歐第二團 Business trip of board members and supervisors—North Europe trip for Group 2
9/5	洗錢防制說明會-台中場 AML Seminar-Taichung
9/11	洗錢防制說明會-高雄場 AML Seminar-Kaohsiung
9/12	辦理交易人開戶應檢附評估風險分級之具體面書文件第1次交流會議 The 1 st meeting on risk assessment and risk classification documents required for new trading account application
9/17	第32期「期貨業務人才養成班聯合徵才活動」第一階段面試 Initial interview for the 32nd “Joint Talents Recruitment Activity for Futures Salesperson Training Course”
9/25	第6屆信託業務委員會第1次會議 The 1 st meeting of the 6 th -session Futures Trust Committee
9/26	第6屆紀律委員會第1次會議 The 1 st meeting of the 6 th -session Discipline Committee
10/1	從臺灣到全球-2019新金融·新商品·新投資國際論壇 From Taiwan to Around the World—2019 International Forum on New Finance, New Products and New Investments
10/3	「大專院校金融教育課程」環球科大場 “Financial Course on Campus” —TransWorld University
10/7	第6屆防制洗錢暨法遵委員會第1次會議 The 1 st meeting of the 6 th -session AML & Law Compliance Committee
10/14	第6屆財務委員會第1次會議 The 1 st meeting of the 6 th -session Financial Committee
10/14	第6屆經紀業務委員會第1次會議 The 1 st meeting of the 6 th -session Futures Brokerage Committee
10/17	第6屆兩岸事務委員會第1次會議 The 1 st meeting of the 6 th -session Cross-straits Affair Committee
10/18	第6屆理監事聯席會第2次會議 The 2 nd joint meeting of the 6 th -session Executive Directors and Supervisors

日期 Date	項目 Event
10/28	校園講座暨徵才活動-中興大學場 Campus Lecture & Talents Recruitment—National Chung Hsing University
10/31	與業者代表就辦理交易人開戶作業，應檢附評估交易人風險分級之具體面書文件乙案第二次會議。 The 2 nd meeting on the risk assessment and risk classification documents required for new trading account application—discussion with company representatives
11/2	2019年金融服務愛心公益嘉年華（新竹場） Financial Service and Charity Carnival 2019 (in Hsinchu)
11/6	2019台北國際期貨論壇 Taipei International Futures Forum 2019
11/7	金管會召開「108年金融建言白皮書」研商會議，孫副理事長天山代表出席 FSC-held meeting on “Financial White Paper 2019” (Vice Chairman Sun Tien-sun represented the CNFA to attend this meeting)
11/18	「大專院校金融教育課程」朝陽科大場 “Financial Course on Campus” —Chaoyang University of Technology
11/19	第6屆槓桿交易業務委員會第1次會議 The 1 st meeting of the 6 th -session Leveraged-trading business Committee
11/19	第6屆自營業務委員會第1次會議 The 1 st meeting of the 6 th -session Proprietary Future Commission Merchant Committee
11/19	「大專院校金融教育課程」台南應用科技大學場 “Financial Course on Campus” —Tainan University of Technology
11/20	第6屆財務委員會第2次會議 The 2 nd meeting of the 6 th -session Financial Committee
11/20	「大專院校金融教育課程」輔仁大學場 “Financial Course on Campus” —Fu Jen Catholic University
11/22	第6屆稽核委員會第1次會議 The 1 st meeting of the 6 th -session Auditing Committee
11/23	從業人員登山健行聯誼暨「捐發票、送愛心」活動 Friendship hiking and “Invoice Donation for Charity” activities for futures workers
11/29	第6屆紀律委員會第2次會議 The 2 nd meeting of the 6 th -session Discipline Committee
11/30-12/1	協助理監事參加「2019年第15屆深圳國際期貨大會」 The 15 th China (Shenzhen) Financial Derivatives Forum (CNFA organized a delegation of executive directors and supervisors to attend this forum)
12/3	第6屆教育訓練委員會第1次會議 The 1 st meeting of the 6 th -session Education & Training Committee
12/4	第6屆經紀業務委員會第2次會議 The 2 nd meeting of the 6 th -session Futures Brokerage Committee
12/18	「研議交易人交易額度核給評估作業」專案會議 Special project meeting on “Assessment of transaction quota for futures traders”
12/20	第6屆理監事第3次聯席會議 The 3 rd joint meeting of the 6 th -session Executive Directors and Supervisors

柒

會員名錄

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

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
F001	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
F002	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100 台北市重慶南路1段2號8樓 8F., 2, Sec.1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23811799	02-23894228	http://www.spf.com.tw
F004	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路1段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
F005	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105 台北市南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	http://www.wlf.com.tw
F007	日盛期貨股份有限公司 Jih Sun Securities Co., Ltd.	104 台北市南京東路2段111號4樓 4F., 111, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
F008	統一期貨股份有限公司 President Futures Corp.	105 台北市東興路8號B1 B1, 8, Dong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
F014	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105 台北市民生東路4段54號3樓 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw/
F018	元富期貨股份有限公司 Master Link Futures Corp.	110 台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
F020	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓 32F., 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-27002888	02-27551532	http://www.capitalfutures.com.tw/
F021	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.yuanta.com
F026	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市中正區襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
F029	康和期貨股份有限公司 Concord Futures Corp.	105 台北市復興北路143號6樓 6F., 143, Fusing N.Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
F030	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110 台北市忠孝東路2段95號2樓 2F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-23278895	02-23278879	http://www.megafutures.com.tw/
F039	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220 新北市板橋區東門街30之2號9樓 9F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29601066	02-29657707	http://www.dcnf.com.tw/
R201	美商愛德盟期貨經紀股份有限公司 台灣分公司 ADM Investor Services, Inc. Taiwan Branch	105 台北市南京東路4段161號3樓 3F., 161, Sec.4, Nanking E. Rd., Taipei 105, Taiwan	02-27137590	02-27137648	http://www.admis.com
S126	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106 台北市信義路4段236號3樓 3F., 236, Sec.4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27006088	http://www.honsec.com.tw/
S144	美林證券股份有限公司 Merrill Lynch Securities (Taiwan) Limited	106 台北市敦化南路2段207號9樓 9F., 207 Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23763766	02-23763740	http://www.ml.com
S147	台灣摩根士丹利證券股份有限公司 Morgan stanley taiwan limited	106 台北市敦化南路2段207號22樓 22F., 207, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27302888	02-27301774	http://www.morganstanley.com
S152	瑞士商瑞士信貸銀行股份有限公司 台北證券分公司 Credit Suisse, Taipei Securities Branch	105 台北市民生東路3段109號5樓 5F., 109, Sec.3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27156307	02-27156373	http://www.credit-suisse.com
S153	香港商德意志證券亞洲有限公司 台北分公司 Deutsche Securities Asia Limites, Taipei Branch	106 台北市仁愛路4段296號13樓 13F., 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-21922888	02-37078473	https://www.db.com/taiwan/
S159	花旗環球證券股份有限公司 Citigroup Global Markets Taiwan Securities Company Limited	110 台北市松智路1號14樓 14F., 1, Songzhi Rd., Taipei 110, Taiwan	02-87269000	02-87254755	http://www.citigroup.com
S165	新加坡商瑞銀證券股份有限公司 台北分公司 UBS Securities Pte.Ltd., Taipei Branch	110 台北市松仁路7號5樓 5F., 7, Sung Jen Rd., Taipei 110, Taiwan	02-87227200	02-87227230	http://www.ubs.com
S218	亞東證券股份有限公司 Oriental Securities Corp.	100 台北市重慶南路1段86號2樓 2F., 86, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	http://www.osc.com.tw
SS26	大慶證券股份有限公司 Ta Ching Securities Co., Ltd.	104 台北市民生東路2段176號4樓 4F., 176, Sec.2, Ming Sheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.tcstock.com.tw/

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)
S538	第一金證券股份有限公司 First Securities Inc.	104台北市長安東路1段22號4樓 4F., 22, Sec. 1, Chang-an E. Rd., Taipei 104, Taiwan	02-25636262	02-25635713	http://www.ftsi.com.tw
S616	中國信託綜合證券股份有限公司 CTBC Securities Co., Ltd.	115台北市南港區經貿二路168號3樓 3F., 168, Jingmao 2nd Rd., Nangang Dist., Taipei 115, Taiwan	02-66392000	02-55813881	http://www.ctbsec.com/
S815	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	104台北市中山北路2段44號2樓 2F., 44, Sec. 2, Zhongshan N. Rd., Taipei 104, Taiwan	02-21815888	02-25232016	http://www.tssco.com.tw/
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110台北市信義路5段106號3樓 3F, 106, Sec.5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27252275	http://www.jpmorgan.com
S856	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.	100台北市重慶南路1段66之1號5樓 5F, 66-1, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23118181	02-23714293	http://www.skis.com.tw/
S884	玉山綜合證券股份有限公司 E.SUN Securities Co., Ltd.	105台北市松山區民生東路3段156號2樓 2F., 156 Sec 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27186613	http://www.esunsec.com.tw
B091	群益金鼎證券股份有限公司 Capital Securities Corp.	110台北市松山區民生東路3段156號14樓 14F., 156, Sec. 3, Minsheng E. Rd., Songshan Dist., Taipei 105, Taiwan	02-87898888	02-87892942	http://www.capital.com.tw
B092	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路698號3樓 3F., 698, Mingshui Rd., Taipei 104 Taiwan	02-21818888	02-85011852	http://www.kgi.com.tw/
B093	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路4段54號5樓 5F., 54, Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25459231	http://www.enrtrust.com.tw
B096	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市大安區仁愛路4段169號2樓 2F., 169, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei 106, Taiwan	02-87716888	02-87716795	http://www.fubon.com/
B098	元大證券股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號13樓 13F., 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
B09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路1段2號7樓 8F., 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
B102	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市大安區忠孝東路4段325號2樓 2F., 325 Sec.4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27319987	02-27754202	http://www.tcb-bank.com.tw/
B103	臺灣土地銀行股份有限公司 Land Bank Co., Ltd.	100台北市延平南路81號 81, Yen Ping S.Rd., Taipei 100, Taiwan	02-23483978	02-23891864	http://www.landbank.com.tw
B104	臺銀綜合證券股份有限公司 BankTaiwan Securities Co., Ltd.	100台北市重慶南路1段58號4樓 4F., 58, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23882188	02-23822045	http://www.twfhsec.com.tw/
B111	台灣中小企業銀行股份有限公司 Taiwan Business Bank Co., Ltd.	103台北市塔城街30號4樓 4F., 30, Tacheng St., Taipei 103, Taiwan	02-25597171	02-25509987	http://www.tbb.com.tw
B116	日盛證券股份有限公司 Jih Sun Securities Co., Ltd.	104台北市南京東路2段111號3樓 3F., 111, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25071047	http://www.jihsun.com.tw/
B123	彰化商業銀行股份有限公司 Chang Hwa Bank Co., Ltd.	100台北市衡陽路68號3樓 3F., 68, Hengyang Rd., Taipei 100, Taiwan	02-23619654	02-23113726	http://www.chb.com.tw
B505	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	103台北市承德路1段17號17樓 17F., 17, Sec.1, Cheng Teh Rd., Taipei 103, Taiwan	02-25551234	02-25554200	http://www.tachan.com.tw/
B511	富隆證券股份有限公司 Fullong Securities Co., Ltd.	105台北市南京東路3段287號3樓 3F., 287, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27182788	02-27183445	http://www.fullong.com.tw
B532	高橋證券股份有限公司 Goldengate Securities Co., Ltd.	320桃園市中壢區中和路96號 96, Chung-ho Rd., Chungli, Taoyuan 320, Taiwan	03-4224243	03-4225738	http://www.easytrade.com.tw
B546	寶盛證券股份有限公司 Pao Shin Securities Co., Ltd.	406台中市北屯區北興街43號1樓 1F., 43, Beising St., Taichung 406, Taiwan	04-22309377	04-22371684	http://www.boom.com/zh/
B560	永興證券股份有限公司 Yung Shin Securities Co., Ltd.	100台北市中正區南海路20號2樓 2F., 20, Nanhai Rd., Taipei 100, Taiwan	02-23218200	02-23516239	http://www.yss.com.tw
B566	日進證券股份有限公司 Fortune Securities Co., Ltd.	360苗栗市中正路426號4樓 4F., 426, Chung Cheng Rd., Miaoli 360, Taiwan	037-332266	037-335228	http://www.fscl.com.tw/
B585	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號1樓 1F., 8, Dong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
B586	盈溢證券股份有限公司 Ying Yi Securities Co., Ltd.	800高雄市七賢二路38號 38, Chihhsien 2 Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	http://www.e-order.com.tw/e-order/layout.jsp?err=logout
B587	光隆證券股份有限公司 Kuang Long Securities Co., Ltd.	970花蓮市公園路26號4樓 4F., 26, Kungyuan Rd., Hualian 970, Taiwan	03-8352181	03-8353447	https://etrade.kunglon.com.tw/kunglon/about/layout.jsp
B592	元富證券股份有限公司 Master Link Securities Corp.	106台北市大安區復興南路1段209號1樓 1F., 209, Sec.1, Fuhsing S.Rd., Taipei 106, Taiwan	02-23255818	02-23259407	http://www.masterlink.com.tw

會員名錄

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
B596	日茂證券股份有限公司 Jee Mach Securities Co., Ltd.	542南投縣草屯鎮草溪路1020號2樓 2F., 1020 Tsao-His Rd., Tsao-tun Nantou 542, Taiwan	049-2353266	049-2357216	http://www.gmstock.com.tw
B601	犇亞證券股份有限公司 Primasia Securities Co., Ltd.	105 台北市松山區復興北路99號3樓 3F., 99, Fushin N. Rd., Taipei 105, Taiwan	02-27180101	02-27180202	http://www.primasia.com
B611	台中銀證券股份有限公司 Taichung Commercial Bank Securities Co., Ltd.	400 台中市西區民族路45號1樓 1F., 45, Minzu Rd., Central Dist., Taichung 400, Taiwan	02-23969955	02-23210502	http://www.tcbank.com.tw/
B621	新百王證券股份有限公司 New Hundred King Securities Co., Ltd.	801 高雄市中華三路11號B1 B1, 11, Chunghua 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	http://www.nhks.com.tw/
B638	光和證券股份有限公司 Kuanzho Securities Corp.	521 彰化縣北斗鎮光復路166號3樓 3F., 166, Kwangfu Rd., Pie-Tou Cheng, Changhwa 521, Taiwan	04-8886500	04-8886626	http://www.kuanzho.com.tw/
B645	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.	330 桃園市縣府路82號1樓 1F., 82, Hsien Fu Rd., Taoyuan 330, Taiwan	03-3352155	03-3350711	http://www.yucn.com.tw/
B646	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	220 新北市板橋區東門街30之2號2樓 2F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29689685	02-29676069	http://www.dcn.com.tw
B648	福邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104 台北市忠孝西路1段6號6樓 6F., 6, Sec. 1, Chung Hsiao W. Rd., Taipei 104, Taiwan	02-23836888	02-23836800	http://www.gfortune.com.tw/
B662	全泰證券股份有限公司 Chuan Tai Securities Co., Ltd.	330 桃園市三民路3段317號3樓 3F., 317, Sec.3, San Ming Rd., Taoyuan 330, Taiwan	03-3353359	03-3345286	建置中
B691	德信綜合證券股份有限公司 Reliance Securities Co., Ltd.	100 台北市新生南路1段50號3樓 3F., 50, Sec.1, Shin Sheng S. Rd., Taipei 100, Taiwan	02-23939988	02-23567722	http://www.rsc.com.tw
B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251 新北市淡水區中正路63號5樓 5F., 63, Chung Chen Rd., Tanshui, Taipei 251, Taiwan	02-26251818	02-26251705	http://www.fushan-ewin.com.tw
B700	兆豐證券股份有限公司 Mega Securities Co., Ltd.	106 台北市忠孝東路2段95號3樓 3F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-23278988	02-33932995	http://www.emega.com.tw/
B703	致和證券股份有限公司 Concord International Securities Co., Ltd.	704 台南市西門路3段10號1樓 1F., 10, Shi-Men Rd., Sec.3, Tainan 704, Taiwan	06-2219777	06-2286324	http://www.wintan.com.tw/
B707	豐農證券股份有限公司 Feng Long Securities Co., Ltd.	420 台中市豐原區水源路669號 669, Shuiyuan Rd., Fungyuan, Taichung 420, Taiwan	04-25281000	04-25253100	https://sprade.fenglong.com.tw/fenglong/index/layout.jsp
B767	金港證券股份有限公司 Goldport Stock Corp.	802 高雄市苓雅區三多二路93號2樓 2F., 93, Sando 2 Rd., Kaohsiung 802, Taiwan	07-7129399	07-7133579	https://sprade.chinkang.com.tw/chinkang/index/layout.jsp
B775	北城證券股份有限公司 Pei Cheng Securities Co., Ltd.	234 新北市永和區永和路2段116號3樓 3F., 116, Sec.2, Yung-ho Rd., Yung-ho, Taipei 234, Taiwan	02-29283456	02-29208664	http://www.peicheng.com.tw
B779	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	103 台北市重慶北路3段199號地下1樓 B1, 199 Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://www.wls.com.tw/
B838	安泰證券股份有限公司 Antay Securities Co., Ltd.	830 高雄市鳳山區五福二路36號 36, Wu Fu 2 Rd., Fong Shan, Kaohsiung 830, Taiwan	07- 8122789	07-8315419	http://www.antay.com.tw/
B845	康和綜合證券股份有限公司 Concord Securities Corp.	110 台北市基隆路一段176號地下1樓 B1, 176, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-87871888	02-27697562	http://www.concords.com.tw/
B849	萬泰證券股份有限公司 Wan Tai Securities Co., Ltd.	600 嘉義市新榮路193號2樓 2F., 193, Hsin-Jung Rd., Chiayi 600, Taiwan	05-2289911	05-2273459	https://www.wantaig.com.tw/
B852	中農證券股份有限公司 Chung Nour Securities Co., Ltd.	435 台中市梧棲區四維中路157巷1號2樓 2F., 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435, Taiwan	04-26572801	04-26564499	https://sprade.chungnour.com.tw/
B858	聯邦商業銀行股份有限公司 Union Bank of Taiwan Co., Ltd.	104 台北市南京東路2段137號2樓 2F., 137, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25040066	02-25171241	http://www.ubot.com.tw
B871	陽信證券股份有限公司 Sunny Securities Co., Ltd.	105 台北市民生東路5段165號B2 B2, 165, Sec.5, Ming Sheng E. Rd., Taipei 105, Taiwan	02-28288585	02-28213444	http://www.sunnysec.com.tw
B877	大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	110 台北市信義路4段458號8樓 8F., 458, Sec. 4, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87862666	02-87862663	http://www.ycsc.com.tw
B888	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106 台北市敦化南路2段335號22樓 22F., 335, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269888	02-23777688	http://www.cathaysec.com.tw
P001	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100 台北市重慶南路1段2號8樓 8F., 2, Sec.1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23811799	02-23894228	http://www.spf.com.tw
P002	兆豐證券股份有限公司 Mega Securities Co., Ltd.	100 台北市忠孝東路2段95號3樓 2F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-33227073	02-33933052	http://www.megasec.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)
P003	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號B1 B1, 8, Dong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
P004	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.yuanta.com
P005	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104台北市南京東路2段111號4樓 4F., 111, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
P006	群益期貨股份有限公司 Capital Futures Corp.	106台北市大安區敦化南路2段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
P008	元富證券股份有限公司 Master Link Securities Corp.	106台北市大安區復興南路1段209號1樓 1F., 209, Sec.1, Fuhsing S.Rd., Taipei 106, Taiwan	02-23255818	02-27000208	http://www.masterlink.com.tw
P015	元富期貨股份有限公司 Master Link Futures Corp.	110台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
P020	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路700號9樓 9F., 700, Mingshui Rd., Taipei 104, Taiwan	02-21818888	02-85011852	http://etrade.kgi.com.tw/
P022	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市大安區仁愛路4段169號2樓 2F., 169, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei 106, Taiwan	02-27767819	02-27210783	http://www.fubon.com/
P024	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號2樓 2F., 8, Dong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
P026	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路4段54號5樓 5F., 54, Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25454122	http://www.enrust.com.tw
P028	元大證券股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號13樓 13F., 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
P030	日盛證券股份有限公司 Jih Sun Securities Co., Ltd.	104台北市南京東路2段111號3樓 3F., 111, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25048400	http://www.jihsun.com.tw/
P032	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市重慶南路1段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-25169009	02-25082351	http://www.kgifutures.com.tw/
P033	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市敦化南路2段335號22樓 22F., 335, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269888	02-27003350	http://www.cathaysec.com.tw
P037	亞東證券股份有限公司 Oriental Securities Corp.	100台北市重慶南路1段86號2樓 2F., 86, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	http://www.osc.com.tw
P038	澳帝華期貨股份有限公司 Optiver Taiwan Co., Ltd.	100台北市杭州南路1段19號12樓 12F., 19, Sec.1, Hangjhou S. Rd., Taipei 100, Taiwan	02-23570777	02-23578392	http://www.optiver.com
P039	第一金證券股份有限公司 First Securities Inc.	104台北市長安東路1段22號4樓 4F., 22, Sec. 1, Chang-an E. Rd., Taipei 104, Taiwan	02-25632622	02-25635713	http://www.ftsi.com.tw
P042	中國信託商業銀行股份有限公司 Chinatrust Commercial Bank	115台北市南港區經貿二路168號5樓 5F., 168, Jingmao 2nd Rd., Nangang Dist., Taipei 115, Taiwan	02-27222002	02-87808867	http://hrbank.chinatrust.com.tw
P045	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	103台北市重慶北路3段199號地下1樓 B1, 199 Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://web.wls.com.tw/
P046	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路4段236號3樓 3F., 236, Sec.4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw/
P047	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105台北市松山區南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-27287576	http://www.wlf.com.tw
P050	康和期貨股份有限公司 Concord Futures Co., Ltd.	105台北市復興北路143號6樓 6F., 143, Fusing N.Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw/
P052	中國信託綜合證券股份有限公司 CTBC Securities Co., Ltd.	115台北市南港區經貿二路188號14樓 14F., 188, Jingmao 2nd Rd., Nangang Dist., Taipei 115, Taiwan	02-66392000	02-66392500	http://www.chinatrustsec.com.tw/
P053	玉山綜合證券股份有限公司 E.SUN Securities Co., Ltd.	105台北市松山區民生東路3段158號6樓 6F., 158, Sec 3, Mingsheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27188913	http://www.esunsec.com.tw
P054	法銀巴黎證券股份有限公司 BNP PARIBAS INVESTMENT PARTNERS	110台北市信義路五段7號72樓 72F., 7, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87297000	02-81012168	http://www.bnpparibas-ip.com
P055	國泰期貨股份有限公司 Cathay Futures Corp.	106台北市敦化南路二段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
P056	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市中正區襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/

會員名錄

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
P057	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市忠孝東路4段325號6樓 6F., 325, Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27319987	02-27754202	http://www.tcb-bank.com.tw/
P058	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	104 台北市中山北路2段44號2樓 2F., 44, Sec. 2, Zhongshan N. Rd., Taipei 104, Taiwan	02-21815888	02-25232016	http://www.tssco.com.tw/
P09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路1段2號7樓 7F., 2, Sec.1, Chung Ching S. Rd. Taipei 100 Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
A001	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100台北市重慶南路1段2號8樓 8F., 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894228	http://www.spf.com.tw
A002	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號B1 B1, 8, Dong sing Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
A003	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.yuanta.com
A004	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104台北市南京東路2段111號4樓 4F., 111, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
A005	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓 32F., 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
A006	國泰期貨股份有限公司 Cathay Futures Corp.	106台北市敦化南路二段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
A008	康和期貨股份有限公司 Concord Futures Co., Ltd.	105台北市復興北路143號6樓 6F., 143, Fusing N.Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
A009	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市中正區襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
A011	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105台北市民生東路4段54號3樓 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw/
A013	元富期貨股份有限公司 Master Link Futures Corp.	110 台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
A019	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105 台北市松山區南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	http://www.wlf.com.tw
A020	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110 台北市中正區忠孝東路2段95號2樓 2F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-23278895	02-23278879	http://www.megafutures.com.tw/
A021	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市重慶南路一段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
A025	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路一段2號19樓 19F., 2, Sec.1, Chung Ching S.Rd. Taipei 100 Taiwan	02-23114345	02-23112200	http://www.sinopacsecurities.com
A026	運達證券投資顧問股份有限公司 Yun Ta Investment Consulting Co., Ltd.	104 台北市中山區八德路2段260號10樓 10F., 260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei 104, Taiwan	02-55825438	02-27312166	http://win-dollar.com/
A027	萬寶證券投資顧問股份有限公司 Marbo Securities Consultant Co., Ltd.	104台北市松江路87號4樓 4F., 87, Songjiang. Rd., Taipei 104, Taiwan	02-66083998	02-66088833	http://www.marbo.com.tw/
A028	啟發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant	100台北市忠孝西路1段100號9樓 9F., 100, Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23820566	02-23313628	http://www.chifar.com.tw/
A029	大華國際證券投資顧問股份有限公司 Da Hwa International Securities Investment Consulting Co., Ltd.	100 台北市羅斯福路2段102號23樓 23F., 102, Sec.2, Roosevelt Rd., Taipei 100, Taiwan	02-83695566	02-77258855	http://da-hwa-international.com.tw/
A032	顧德證券投資顧問股份有限公司 Good Securities Investment Consultant	105 台北市松山區南京東路4段126號14樓 14F., 126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-23913000	02-23413451	http://www.good-group.com.tw/
A033	華信證券投資顧問股份有限公司 Hwashin Investment Consulting Co., Ltd.	100台北市中正區青島東路7號5樓 5F., 7, Cingdao E.Rd., Taipei 100, Taiwan	02-23923988	02-77253896	http://www.hwashin.com.tw/
A034	承通證券投資顧問股份有限公司 Cheng-Tung Securities Investment Consulting Co., Ltd.	104 台北市八德路2段260號6樓 6F., 260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27813900	02-27722813	http://27813900.com/
A036	永誠國際證券投資顧問股份有限公司 Yong Cheng Securities Investment Consultant	104台北市中山北路1段145號6樓 6F., 145, Sec.1, Jhongsan N. Rd., Taipei 104, Taiwan	02-25428999	02-25428113	http://www.88598.com.tw/
A042	玉山證券投資顧問股份有限公司 E.SUN Investment Consulting, Co., Ltd.	105 台北市松山區民生東路3段156號6樓 6F., 156, Sec.3, Minsheng E. Rd., Songshan Dist., Taipei 105, Taiwan	02-55569913	02-25453313	http://www.esunsec.com.tw

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
A043	亞洲證券投資顧問股份有限公司 Asia securities investment advisory-inc.	105 台北市松山區南京東路4段126號11樓A2 A2, 11F., 126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-25783777	02-25779495	http://www.asia-rich.com.tw/
A044	倫元證券投資顧問股份有限公司 E-invest Security Investment Consultant Co., Ltd.	100 台北市中正區青島東路7號6樓 6F., 7, Qingdao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23219933	02-23927062	http://www.e-invest.com.tw/main/
A045	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220 新北市板橋區東門街30之2號9樓 9F-2., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29601066	02-29657707	http:// www.dcn.com.tw
A046	聚揚證券投資顧問股份有限公司 Everyoung Securities investment consulting Co., Ltd.	104 台北市中山區松江路315號2樓 2F., 315, Songjiang Rd., Zhongshan Dist., Taipei 104, Taiwan	02-25066808	02-25065018	http://everyoung88.com.tw/
A047	第一金證券股份有限公司 First Securities Inc.	104 台北市長安東路1段22號4樓 4F., 22, Sec. 1, Chang-an E. Rd., Taipei 104, Taiwan	02-25636262	02-25635713	http://www.ftsi.com.tw/
A049	高欣證券投資顧問股份有限公司 Securities Investment Consulting Co., Ltd.	104 台北市中山區復興北路150號7樓 7F., 150, Fuxing N. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27171000	02-27150077	http://www.ks5567.com.tw/public/video_list.php
A050	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106 台北市信義路4段236號3樓 3F, 236, Sec.4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw/
A051	君安證券投資顧問股份有限公司 Richers securities investment consulting Co., Ltd.	104 台北市中山區松江路318號7樓 7, 318, Songjiang Rd., Zhongshan Dist., Taipei 104, Taiwan	02-77018898	02-77020599	http://www.richers.com.tw/
L001	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.yuanta.com
L002	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓 32F., 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-27002888	02-27051532	http://www.capitalfutures.com.tw/
L003	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路1段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
M018	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路1段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
M020	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100 台北市重慶南路1段2號8樓 8F., 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894228	http://www.spf.com.tw
M022	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市中正區襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
M023	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104 台北市南京東路2段111號4樓 4F., 111, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw/
M025	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓 32F., 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
M028	元富期貨股份有限公司 Master Link Futures Corp.	110 台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
T002	復華證券投資信託股份有限公司 Fuh Hwa Securities Investment Trust Co., Ltd.	104 台北市中山區八德路二段308號7樓 7F., 308, Sec.2, Bade Rd., Taipei 104, Taiwan	02-81616800	02-87728000	www.fhtrust.com.tw/
T003	國泰證券投資信託股份有限公司 Cathay Securities Investment Trust Co., Ltd.	106 台北市大安區敦化南路2段39號6樓 6F., 39, Sec. 2, Dunhua S. Rd., Daan Dist., Taipei City 106, Taiwan	02-27008399	02-23269633	http://www.cathaysite.com.tw/
T004	元大證券投資信託股份有限公司 Yuanta Securities Investment Trust Co., Ltd.	104 台北市中山區南京東路3段219號11樓 11F., 219, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27175555	02-27190951	http://www.yuantafunds.com/
T008	新光證券投資信託股份有限公司 Shin Kong Investment Trust Co., Ltd.	104 台北市南京東路2段123號12樓 12F., 123, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25071123	02-25077600	http://www.skic.com.tw/
T010	統一證券投資信託股份有限公司 Uni-President Assets Management Corp.	105 台北市東興路8號8樓 8F., 8 Dongsing Rd., Taipei 105, Taiwan	02-27478388	02-27478129	http://www.ezmoney.com.tw/
T011	永豐證券投資信託股份有限公司 Copyright by SinoPac Securities Investment Trust Co., Ltd.	100 台北市博愛路17號13樓 13F., 17, Bo'ai Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23618110	02-23617069	http://sicc.sinopac.com
T015	富邦證券投資信託股份有限公司 Fubon Asset Management Co., Ltd.	105 台北市敦化南路1段108號8樓 8F., 108, Sec. 1, Dunhua S. Rd., Songshan Dist., Taipei 105, Taiwan	02-87716688	02-87716788	https://www.fubon.com
T016	街口證券投資信託股份有限公司 JKO Asset Management Co., Ltd.	106 台北市大安區市民大道3段206號9樓 9F., 206, Sec. 3, Civic Blvd., Da'an Dist., Taipei 106, Taiwan	02-21756969	02-25016939	http://www.jkoam.com/

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Annual Report 2019

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