

# 陸

## 大事紀要

| 日期 Date | 項目 Event   |
|---------|--|
| 1/8     | 「校園巡迴講座」講師座談會<br>“Campus Lecture Tour” workshop for lecturers  |
| 1/16    | 第5屆紀律委員會第10次會議<br>The 10 <sup>th</sup> meeting of the 5 <sup>th</sup> -session Discipline Committee  |
| 1/17    | 107年度歲末聯歡餐會<br>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<br>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<br>The 8 <sup>th</sup> meeting of Compliance Forum Group   |
| 1/23    | 金融服務業公平待客原則評核機制宣導<br>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<br>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<br>The 13 <sup>th</sup> meeting of the 5 <sup>th</sup> -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」<br>期末報告<br>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<br>The 16 <sup>th</sup> joint meeting of the 5 <sup>th</sup> -session Executive Directors and Supervisors   |
| 2/26    | 「金融講堂」系列講座課程-臺灣師範大學場<br>“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<br>The 9 <sup>th</sup> meeting of the 5 <sup>th</sup> -session Proprietary Future Commission Merchant Committee  |
| 3/6     | 「校園巡迴講座」嘉義大學場<br>“Campus Lecture Tour” —National Chiayi University   |
| 3/6     | 「校園巡迴講座」南台科大場<br>“Campus Lecture Tour” —Southern Taiwan University of Science and Technology   |
| 3/6     | 「校園巡迴講座」聯合大學場<br>“Campus Lecture Tour” —National United University   |
| 3/11    | 第5屆經紀業務委員會第15次會議<br>The 15 <sup>th</sup> meeting of the 5 <sup>th</sup> -session Futures Brokerage Committee   |
| 3/11    | 「校園巡迴講座」朝陽科大場<br>“Campus Lecture Tour” —Chaoyang University of Technology  |
| 3/13    | 「校園巡迴講座」台北大學場<br>“Campus Lecture Tour” —National Taipei University   |

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| 3/13      | 「校園巡迴講座」高雄科技大學場<br>“Campus Lecture Tour” —National Kaohsiung University of Science and Technology                        |
| 3/20      | 洗錢防制說明會-台中場<br>AML Seminar-Taichung  |
| 3/20      | 「校園巡迴講座」-僑光科大<br>“Campus Lecture Tour” —Overseas Chinese University  |
| 3/20      | 「校園巡迴講座」-元智科大<br>“Campus Lecture Tour” — Yuan Ze University  |
| 3/20      | 「校園巡迴講座」-佛光大學<br>“Campus Lecture Tour” —Fo Guang University  |
| 3/20      | 「校園巡迴講座」-暨南大學<br>“Campus Lecture Tour” —Jinan University   |
| 3/22      | 洗錢防制說明會-高雄場<br>AML Seminar-Kaohsiung   |
| 3/25      | 「金融講堂」系列講座課程-東華大學場<br>“Financial Podium” lecture series—National Dong Hwa University                                     |
| 3/25      | 「校園巡迴講座」-實踐大學高雄校區<br>“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<br>“Financial Podium” lecture series—National Changhua University of Education                      |
| 3/27      | 洗錢防制說明會-台北場<br>AML Seminar-Taipei  |
| 3/27      | 「校園巡迴講座」南華大學場<br>“Campus Lecture Tour” —Nanhua University  |
| 3/28      | 「校園巡迴講座」真理大學場<br>“Campus Lecture Tour” —Aletheia University  |
| 4/2       | 「金融講堂」系列講座課程-中原大學場<br>“Financial Podium” lecture series—Chung Yuan Christian University                                  |
| 4/10~4/15 | 理監事聯誼活動-麗江第一團<br>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<br>The 5 <sup>th</sup> meeting of the 5 <sup>th</sup> -session Education & Training Committee            |
| 4/12      | 「校園巡迴講座」宜蘭大學場<br>“Campus Lecture Tour” —National Ilan University   |
| 4/19      | 第5屆理監事第17次聯席會議<br>The 17 <sup>th</sup> joint meeting of the 5 <sup>th</sup> -session Executive Directors and Supervisors |
| 4/23      | 「校園巡迴講座」台北商業大學場<br>“Campus Lecture Tour” —National Taipei University of Business   |



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| 4/24      | 「校園巡迴講座」醒吾大學場<br>“Campus Lecture Tour” —Hsing Wu University  |
| 4/24      | 「校園巡迴講座」台南大學場<br>“Campus Lecture Tour” —National University of Tainan  |
| 4/24      | 槓桿工作小組第1次會議<br>The 1 <sup>st</sup> meeting of the Leverage transaction Working Group   |
| 4/25      | 「校園巡迴講座」文化大學場<br>“Campus Lecture Tour” —Chinese Culture University   |
| 4/26      | 鉅亨網交易競賽起跑記者會<br>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<br>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<br>“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<br>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<br>“Campus Lecture Tour” —National Chung Cheng University  |
| 5/4~5/11  | 理監事聯誼活動-北疆第二團<br>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<br>“Campus Lecture Tour” —Fu Jen Catholic University   |
| 5/13      | 「校園巡迴講座」高雄師範大學場<br>“Campus Lecture Tour” —National Kaohsiung Normal University   |
| 5/13-5/14 | 第九期防制金融犯罪研討會<br>The 9 <sup>th</sup> financial crime control seminar  |
| 5/15      | 「校園巡迴講座」中山醫學大學場<br>“Campus Lecture Tour” —Chung Shan Medical University  |
| 5/15      | 資安說明會-台北場<br>Information Safety Workshop-Taipei  |
| 5/15      | 第5屆紀律委員會第11次會議<br>The 11 <sup>st</sup> meeting of the 5 <sup>th</sup> -session Discipline Committee  |
| 5/16      | 「校園巡迴講座」義守大學場<br>“Campus Lecture Tour” —I-Shou University  |
| 5/21      | 第5屆自營業務委員會第10次會議<br>The 10 <sup>th</sup> meeting of the 5 <sup>th</sup> -session Proprietary Future Commission Merchant Committee  |
| 5/21      | 資安說明會-台中場<br>Information Safety Workshop-Taichung  |
| 5/23      | 資安說明會-高雄場<br>Information Safety Workshop-Kaohsiung   |

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| 5/24      | 第5屆稽核暨法遵委員會第5次會議<br>The 5 <sup>th</sup> meeting of the 5 <sup>th</sup> -session Auditing & Law Compliance Committee                                    |
| 5/27      | 參加108年金融建言白皮書期中報告<br>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<br>The 16 <sup>th</sup> Shanghai Derivatives Market Forum  |
| 5/29      | 校園講座暨徵才活動-政治大學場<br>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<br>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<br>The 6 <sup>th</sup> meeting of the 5 <sup>th</sup> -session Futures Brokerage Committee  |
| 6/5       | 防制洗錢工作小組（Compliance Forum Group）第9次會議<br>The 9 <sup>th</sup> meeting of Compliance Forum Group   |
| 6/11      | 第5屆理監事第18次聯席會議<br>The 16 <sup>th</sup> joint meeting of the 5 <sup>th</sup> -session Executive Directors and Supervisors                               |
| 6/20      | 槓桿工作小組第2次會議<br>The 2 <sup>nd</sup> meeting of Leverage transaction Working Group   |
| 6/21      | 參加108年金融建言白皮書期末報告<br>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<br>The 6 <sup>th</sup> meeting of the 5 <sup>th</sup> -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<br>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<br>The 1 <sup>st</sup> General Assembly of 6 <sup>th</sup> -session CNFA Members  |
| 6/27      | 第6屆理事會第1次會議<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session executive directors   |
| 6/27      | 第6屆監事會第1次會議<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session supervisors   |
| 6/29      | 2019年金融服務愛心公益嘉年華（台南場）<br>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<br>Securities & Futures Golf Championship for 2019   |
| 8/1       | 保險業避險實務研討會<br>Seminar on risk-hedging practices of insurance industry  |
| 8/14~8/25 | 理監事參訪活動-北歐第一團<br>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<br>Seminar on fair customer treatment principles and experience-sharing—Taipei  |



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| 8/21     | 辦理受金管會裁罰所涉相關人員參加專業訓練課程<br>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<br>Seminar on fair customer treatment principles and experience-sharing—Taichung   |
| 8/29     | 洗錢防制說明會-台北場<br>AML Seminar-Taipei   |
| 8/30     | 第6屆理監事第1次聯席會議<br>The 1 <sup>st</sup> joint meeting of the 6 <sup>th</sup> -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<br>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。<br>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<br>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<br>AML Seminar-Taichung   |
| 9/11     | 洗錢防制說明會-高雄場<br>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<br>The 1 <sup>st</sup> 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<br>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<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session Futures Trust Committee  |
| 9/26     | 第6屆紀律委員會第1次會議<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -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<br>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<br>“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<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session AML & Law Compliance Committee  |
| 10/14    | 第6屆財務委員會第1次會議<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session Financial Committee  |
| 10/14    | 第6屆經紀業務委員會第1次會議<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session Futures Brokerage Committee  |
| 10/17    | 第6屆兩岸事務委員會第1次會議<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session Cross-straits Affair Committee   |
| 10/18    | 第6屆理監事聯席會第2次會議<br>The 2 <sup>nd</sup> joint meeting of the 6 <sup>th</sup> -session Executive Directors and Supervisors   |

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| 10/28      | 校園講座暨徵才活動-中興大學場<br>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。<br>The 2 <sup>nd</sup> 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）<br>Financial Service and Charity Carnival 2019 (in Hsinchu)  |
| 11/6       | 2019台北國際期貨論壇<br>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<br>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<br>“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<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session Leveraged-trading business Committee  |
| 11/19      | 第6屆自營業務委員會第1次會議<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -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<br>“Financial Course on Campus” —Tainan University of Technology   |
| 11/20      | 第6屆財務委員會第2次會議<br>The 2 <sup>nd</sup> meeting of the 6 <sup>th</sup> -session Financial Committee   |
| 11/20      | 「大專院校金融教育課程」輔仁大學場<br>“Financial Course on Campus” —Fu Jen Catholic University  |
| 11/22      | 第6屆稽核委員會第1次會議<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session Auditing Committee  |
| 11/23      | 從業人員登山健行聯誼暨「捐發票、送愛心」活動<br>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<br>The 2 <sup>nd</sup> meeting of the 6 <sup>th</sup> -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」<br>The 15 <sup>th</sup> 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<br>The 1 <sup>st</sup> meeting of the 6 <sup>th</sup> -session Education & Training Committee  |
| 12/4       | 第6屆經紀業務委員會第2次會議<br>The 2 <sup>nd</sup> meeting of the 6 <sup>th</sup> -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<br>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<br>The 3 <sup>rd</sup> joint meeting of the 6 <sup>th</sup> -session Executive Directors and Supervisors   |