

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. 修正本公會章程第四十條，增訂理事或監事會議採視訊方式辦理。

The CNFA made an amendment to Article 40 of CNFA Charter, adding one clause that meetings of executive directors or supervisors could be held via video-conferencing.

2. 為能有效處理金融科技、資訊運用及資訊安全等新興議題，修正本公會委員會組織規則，增設業務電子化委員會。

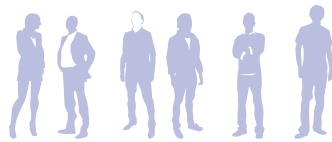
In order to effectively handle financial technology, information application, and information security issues, the CNFA revised its committee organization guidelines and set up a new committee, namely “E-Commerce Business Committee.”

3. 為簡化作業流程並符合業者實務作業需求，修正「會員負責人及業務員登記事項作業要點」、「期貨業業務員登錄作業須知」、「期貨信託基金銷售機構暨人員登記作業要點」及「期貨輸單員登記作業要點」，有關工作證遺失申請補發之作業及刪除登報作廢之規定。

In order to streamline the registration procedures and make it better satisfy the needs of futures enterprises, the CNFA revised the “Guidelines for Registration of Responsible Person and Sales Workers of CNFA Members,” “Procedures for Registration of Futures Sales Workers,” “Guidelines for Registration of Futures Trust Fund Sales Outlets and Staff workers,” as well as “Guidelines for Registration of Futures Trading Order Key-in Workers,” clarifying the rules on applying for reissue of a working badge and publishing the working badge nullification statement on newspaper.

4. 為落實RBA（風險基礎方法）精神，簡化低風險客戶有權交易人身分之辨識及驗證作業，修正「期貨業防制洗錢及打擊資恐相關規定問答集」。

In order to realize the risk-based approach (RBA) and simplify the procedures for verifying the identity of low-risk clients for making futures trading, the CNFA revised the “FAQ on AML/CTF Practices by Futures Companies and Related Issues.”



5. 因應臺灣期貨交易所推出行情逐筆揭示，期貨商得申請非揭示使用即時資訊傳輸予客戶，再由期貨商向期交所繳交費用，修正本公會「會員受託從事期貨交易手續費收取及折讓自律規則」。

In reaction to the TAIFEX's launch of a new market information disclosure system which shows real-time information of each transaction and allows futures commission merchant to apply for providing such information to their clients and paying the information service fee to the TAIFEX, the CNFA made revision to its "Self-discipline Rules for Member Companies for Futures Transaction Service Fee Charge and Discount."

6. 依主管機關要求期貨商之行動應用程式應交付合格實驗室檢測並通過測試，修正本公會「新興科技資訊安全自律規範」及新增期貨商自我檢核範列表單。

In cope with the regulatory agency's requirement that the futures commission merchants mobile application (app) program should be verified by qualified App testing lab, the CNFA revised its "Self-discipline Rules for Emerging Technology Application & Information Security" and formulated a model self-checking list for futures commission merchants.

7. 修正本公會「期貨商開戶徵信作業管理自律規則」及「期貨商交易及風險控管機制專案」各項議題彙整表，滿70歲之客戶其財力證明經期貨徵信人員評估後之總價值數額達新臺幣5000萬元以上者，得免提供固定收入證明。

The CNFA revised the its "Self-discipline Rules for Futures commission merchant in Checking Credibility of New Trading Account Applicant" and the list of related issues about the "Special Project of Futures Company's Transaction and Risk-control Mechanism," waiving the requirement of regular income statement for the new client, aged 70 or above, whose financial or assets documents are assessed by futures credit investigators to be worth NT\$50 million or more.

8. 參考防制洗錢金融行動工作組織（FATF）發布之證券業風險基礎方法指引（Guidance for a Risk-Based Approach—Securities Sector），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，提供期貨業者參考。

The CNFA, referring to the FATF's Guidance for a Risk-based Approach-Securities Sector, formulated the model guidelines for "Money-laundering, Terrorism-financing, or Military-expanding Monitoring Mechanism for Futures Industry" as reference for futures companies.

9. 為協助期貨業者辨識法人之實質受益人或具控制權之人，以落實防制洗錢及打擊資恐（AML/CFT）作業，訂定「期貨業辨識實質受益人實務參考做法」供期貨業者參考。

The CNFA, in order to help futures companies identify substantial beneficiaries or the persons with substantial controlling power as a means to support AML/CFT operations, formulated the "Reference Practice of Identifying Substantial Beneficiaries for Futures Industry" as reference for the futures companies.

10. 訂定「期貨業辦理低風險客戶防制洗錢及打擊資恐作業簡化措施之實務參考做法」，做為期貨業對低風險客戶或交易採取簡化措施、或對不同風險等級客戶採取差異化措施之參考。

The CNFA formulated the “Reference Practice for Simplifying AML/CTF Operational Procedures Targeted at Low-risk Clients for Futures Companies” as reference to futures companies in simplifying the operational or trading procedures for low-risk clients or taking different measures for clients of different risk-levels.

11. 為避免來賓分享内容涉及期貨顧問業務經營範疇，並使期貨顧問事業會員有所依循，謹就來賓分享内容不得涉及事項內容修正期貨顧問事業「內部控制制度範本」、「內部稽核實施細則範本」及「查核明細範本」等相關作業。

In order to prevent external lecturers from sharing the information involved with futures advisory and to provide guidelines for futures advisory enterprises, the CNFA revised the “Template for Internal Control Mechanism,” “Template for Guidelines for Internal Auditing Operations,” “Template for Details Checking” for futures advisory enterprises as well as relevant documents regarding the requirements that external lecturers are prohibited from sharing the information involved with futures advisory business.

12. 因應金融科技發展趨勢及促進期信業務發展，修正「期貨信託基金受益人會議表決票效力認定及書面表決作業程序辦法」，有關期貨信託基金受益人會議得採電子投票相關規定。

In reaction to the development of financial technology and to boost growth of futures trust business, the CNFA revised the “Guidelines for Verifying Valid Votes at Futures Trust Fund Beneficiaries’ Meeting and Procedures for Making Written Votes,” clarifying the rules on electronic voting practiced at the meeting of futures trust fund beneficiaries.

13. 期信基金管理單位遇有行情劇烈波動情事所衍生之問題及處理原則，本公會訂定「避免期貨信託基金遇到特殊狀況遭強制平倉或超額損失之處理措施（參考樣本）」。

Regarding the issues caused by sharp market fluctuations and the principles that the regulatory agency applies to govern the futures trust funds, the CNFA formulated the “Measures in Dealing with Special Situations Where Futures Trust Funds Are Required to Liquidate Trading Accounts or Suffering from Extra Losses (Template).”

14. 修正本公會「指數股票型期貨信託基金之期貨信託契約範本」，增訂分割/反分割相關契約條款。

The CNFA revised its “Futures Trust Contract Template for Index Stock Futures Trust Fund,” adding the clauses on splitting/counter-splitting matters.



15. 考量期貨ETF因市場變化或投資策略關係，導致基金淨資產價值過高或偏低，造成投資人交易之不便，期貨信託事業有進行分割或反分割之必要，修正本公會「期貨信託基金之募集、發行、銷售及申購買回作業程序」，增訂規範條款。

Regarding the need of futures trust enterprises for making splitting or counter-splitting of their funds which, due to changes in the ETF Futures market or investment strategies, have seen their net assets values over- or under-estimated and become inconvenient for investors to trade, the CNFA revised its “Procedures for Raising, Issuing, Sales, or Redemption of Futures Trust Fund,” adding clauses to govern this issue.

16. 修正本公會「期貨信託事業受益憑證事務處理規則」，增訂期貨信託事業辦理指數股票型期貨信託基金之追加募集，應對各類申購人採公平合理之配售原則規範條款。

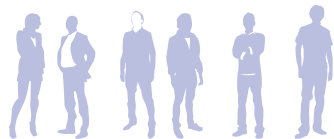
The CNFA revised its “Guidelines for Managing Beneficiary Certificates Issued by Futures Trust Enterprises,” adding the clause stating that the futures trust enterprises, while raising additional quota to existing index stock futures trust fund, should follow the fair dealing policy for every kinds of fund subscribers.

17. 修正本公會「期貨信託契約範本（一般型、保本型、組合理、對符合一定資格條件之人）」及「期貨信託基金月報檢查表」等自律規範，有關期貨信託基金單位淨值低於一定標準應報金管會核准後終止期貨信託契約之規範。

The CNFA revised the self-discipline rules stated in its “Template of Futures Trust Contract (general type, principle-guarantee type, combination type, or special type for specific investors)” and the “Monthly Checking List of Futures Trust Fund,” adding the requirement that a futures trust fund, while seeing its net assets value per unit dropping below a certain level, should be reported to the FSC for its approval for nullifying the futures trust fund contract.

研議、建議事項 Proposals

1. 建議臺灣期貨交易所修正「期貨商於營業場所外辦理開戶前置作業應行注意事項」第五點、「期貨商委任期貨交易輔助人辦理營業場所外代理開戶前置作業要點」第六點，刪除內部稽核人員應逐筆查核開戶作業，並作成紀錄之規定。
 Recommending to the TAIFEX for revising Point 5 of “Guidelines for Pre-Account Opening Procedures by Futures Commission Merchants Outside Their Place of Business” and Point 6 of “Guidelines for Pre-Account Opening Procedures by FCM-Appointed introducing Brokers Outside of the Place of Business”, deleting the requirement that the internal auditors shall conduct itemized audits of account opening operations, and keep records.
2. 建議期交所開放對同一交易人於同一期貨商之帳戶，可依交易人申請進行帳戶間轉帳，不須再經至銀行存款帳戶後再辦理存入保證金作業。
 Recommending to the TAIFEX that the trader with multiple accounts at the same futures commission merchant should be able to apply for transferring money among these accounts without making deposit at additional savings accounts at bank.
3. 建請主管機關開放證券商經營期貨交易輔助業務之範圍與期貨商相同，為依期貨交易法第5條規定公告期貨商得受託從事之期貨交易契約。
 Recommending to the regulatory agency that the securities firm should be able to operate the full range of futures introducing brokerage business as a futures commission merchant which, as per Article 5 of Futures Trading Act, is able to be entrusted by clients for trading futures.
4. 因應市場行情波動變化及期貨商業務發展現況，重新檢視槓桿交易商、期貨商調整後淨資本額（ANC）相關規定，及期貨商因調整後淨資本額（ANC）不足短期支應之規定，建請主管機關、建議櫃買中心及臺灣期貨交易所修正相關法定規範。
 In reaction to market fluctuations and the current status of futures commission merchant’s business development, the CNFA re-examined the adjusted net capital (ANC) requirements for leverage transaction merchants and futures commission merchants as well as the rules on the futures commission merchants which suffer post-ANC short-term shortage of capital, and then made recommendation to the regulatory agency the Taipei Exchange (TPEX) and the TAIFEX for amending relevant regulations.
5. 為擴大槓桿交易商業務範圍及提升國競爭力，建議櫃買中心開放槓桿交易商得與華僑及外國人承作「外幣保證金」及「連結黃金或原油價格之差價契約」。
 In order to help leverage transaction merchants expand their business scope and raise their international competitiveness, the CNFA made recommendation to the TPEX for allowing leverage transaction merchants and overseas Chinese to operate the businesses of “foreign exchange margin trading” and “contract for difference linked to gold or crude oil prices.”
6. 與臺灣期貨交易所共同研議有價證券抵繳保證金之比率及抵繳上限等重要約定事項，研議修正「期貨交易人以有價證券抵繳保證金自律規則」及增訂約定書參考範本。
 Joining the TAIFEX in proposing important requirements on the ratio of the deposit made with pledged securities and the ceiling amount of the pledged securities, and proposing amendment to the “Self-discipline Rules for Futures Traders in Using Securities Pledged as Deposit Payment” as well as proposing the reference template for the letter of agreement.
7. 為擴大一般自然人客戶得交易之差價契約（CFD）範圍，建請櫃買中心開放槓桿交易商對屬自然人之一般客戶提供連結國外個股（含ETF）、股價指數及白銀價格之差價契約交易服務。
 In order to expand the range of CFD trading for individual traders, the CNFA recommended that the TPEX should allow leverage transaction merchants to offer the services of trading the CFD linked to foreign single stocks (including ETF), index stock, as well as silver prices.
8. 為增加期貨經理事業競爭力，研議簡化開立全權委任交易契約審閱流程、豁免揭露或降低期經事業單位及交易決定人已了結帳戶正負報酬戶數揭露事項之年限期間、免除全權委任雙方須於全委契約中約定交易代理人之規定。



- In order to strengthen the competitiveness of managed futures enterprises, the CNFA is proposing to simplify the procedures for reviewing the discretionary trading account application documents, waive or relax the requirement for disclosure of the details of profits or losses made by the closed trading accounts of the managed futures enterprises or futures traders during a certain period of time, and remove the requirement for designating a trading agent approved by both parties of a discretionary management account agreement.
9. 為降低委任人成本及提升委任意願，爰拜訪保管機構並研議調降保管費用之可行性。
In order to reduce the custodian banking cost and raise client's willingness to pay for it, the CNFA is proposing to visit custodian banking institutions for possibility of lowering custodian banking fees.
 10. 為利期貨全權委託市場規模持續發展，研議由期貨結算機構（臺灣期貨交易所兼營）擔任期貨經理事業全權委託業務保管機構。
In order to bolster sustainable development of the discretionary futures trading market, the CNFA is studying the feasibility for the futures settlement institution, an affiliate of the TAIFEX, to serve as the custodian banking institute for managed futures enterprises.
 11. 研議建請主管機關開放金融控股公司、證券商（兼營期貨交易輔助人）得轉介客戶予兼營期貨顧問業務及期貨經理事業。
The CNFA is proposing to recommend that the regulatory agency should allow financial holding companies and securities firms (which also serve as introducing brokers for futures trading) to refer their clients to futures advisory or managed futures enterprises.
 12. 為一致性規定，研議於內部控制制度增定「董事、監察人、經理人、業務人員及受僱人，其業務性質非屬得參與、制定投資決策或有機會事先知悉公司有關投資交易行為之非公開資訊或得提供投資建議者」之規定。
For consistency in regulations, the CNFA is proposing to add a clause to the internal control mechanism, making additional requirements on the “executive directors, supervisors, managers, sales staff workers, and other employees who are not involved with company's policy-making but with accesses to obtaining company's trading decisions in advance or company's other decisions which are not to be disclosed to the public or those who have to provide suggestions to traders.”
 13. 因應金融科技發展趨勢及促進期信業務發展，期貨信託基金受益人會議如採電子投票，有助於便利受益人行使表決權，建請主管機關修正金管證七字第0960073755號令。
Regarding that electronic voting, given the development of financial technology and the growth of futures trust business, would make it even more convenient for futures trust fund beneficiaries to make voting at their meetings, the CNFA recommended that the regulatory agency should make an amendment to FSC Executive Order No. 0960073755.
 14. 因應新冠肺炎疫情，並配合金管會函令就「重大波動」及「一定期間」，研議期信事業申請豁免基金清算之具體認定標準。
In reaction to the pandemic and to support the FSC's letter of executive order regarding the “significant market fluctuations” and “a certain period of time,” the CNFA is drafting the criteria for approving the applications of futures trust enterprises for waiving settlement of their funds.
 15. 為強化金融消費者保護，具體落實公平待客原則，資訊透明公開，以公平合理對待客戶，研議對期貨ETF受益人重大影響事項，納入期貨信託契約範本之應公告或通知事項，並建請主管機關修正期貨信託事業管理規則第10條規定。
In order to strengthen protection of financial consumers and realize the “fair dealing policy” and information transparency to secure fair customer treatment, the CNFA is proposing to add the “events with major impact on ETF beneficiaries” as one of the to-be-published or to-be-notified items stated in the futures trust contract, and at the same time recommended that the regulatory agency should make amendment to Article 10 of “Regulations Governing Futures Trust Enterprises.”
 16. 為強化對投資人權益之保護，證交所、證券商公會及本公會共同研商槓反期貨ETF之投資人適格性，提供主管機關酌參。
In order to strengthen protection of investor's interests, the CNFA joins the Taiwan Stock Exchange and Taiwan Securities Association in defining the eligibilities of being a counterparty of leverage ETF futures trading and will send it to the regulatory agency for its reference.
 17. 以問卷方式蒐集各專營期貨商防制洗錢及打擊資恐（AML/CFT）之執行情形並做成分析報告，做為主管機關監理之參考。
The CNFA is proposing to make questionnaires for collecting information about AML/CFT practices by specialized Futures Commission Merchants, and compiled the information as a report for reference of the regulatory agencies.

二、業務發展事項

B. Association activities



政令宣導 Policy Advocating

公平待客原則分享會 (1/13)

為利期貨商落實公平待客原則，以提升對客戶權益之保障，並協助期貨商接受主管機關就落實情形評核時，得以展現辦理成效，本公會辦理分享會，特邀元大期貨簡麗玲副總經理就相關經驗進行分享與交流。

Experience-sharing seminar on "Fair Dealing Policy"

In order to help futures companies realize "fair dealing policy" in customer treatment as well as enhance protection of client's interest, and at the same time help futures companies fully present their achievements in this regard while receiving assessment of the regulatory agency, the CNFA held this experience-sharing seminar, inviting Chien Li-ling, Vice President of Yuanta Futures Company, to share her experiences and exchange viewpoints with the seminar participants.

新思維的金融資安技術解析及案例說明會 (6/30、7/12、7/17)

為強化個人資料保護與資訊安全，本公會今年度特邀資策會談新思維的金融資安技術，以協助會員強化雲端服務、社群媒體、行動裝置安全管控，於北中南各辦理乙場，超過200位資訊安全主管及業務相關人員與會。

Seminar on "New thinking on fintech security and case illustration"

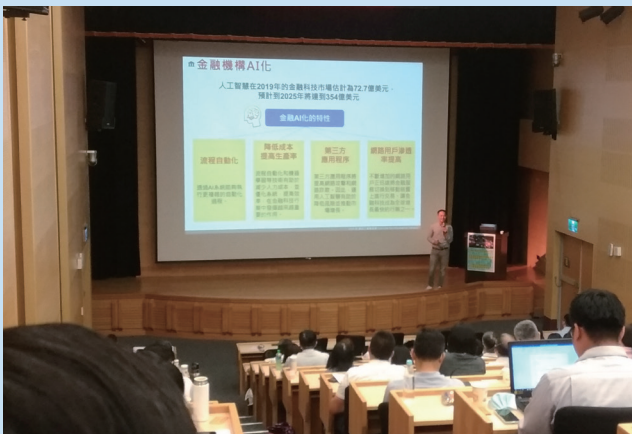
In order to enhance protection of personal information and information security, the CNFA particularly arranged this seminar this year, inviting experts from the Institution of Information Industry (III) to talk about new thinking of financial information security, in a bid to help CNFA member companies strengthen their clouding services, social media management, and app security control. This seminar was held three times, each in northern, central, and southern Taiwan, respectively, participated by over 200 executives of information security and related businesses.

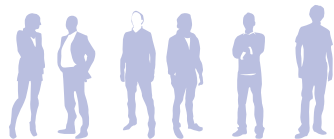
洗錢防制 / 打擊資恐 法令解析及案例說明會 (7/28、8/6、8/13)

為協助會員瞭解洗錢防制與打擊資恐相關規範之落實方向與作為，本公會邀請檢調專家於北中南辦理說明會，說明相關法令規範、國際趨勢及實務工作，計216位洗錢防制主管及人員、法令遵循、內部稽核、分公司經理人出席。

Seminar on "AML/CTF Regulation Analysis and Case Illustration"

In order to help CNFA member companies gain a better understanding of the AML/CTF-related rules as reference for their practices in this regard, the CNFA invited prosecutors to talk about the related rules, international trends, and practices on this seminar, which was held three times, each in northern, central, and southern Taiwan, respectively, participated by 216 executives of AML/CTF practices, law compliance, internal auditing divisions, as well as branch office managers.





2020全國金融業企業誠信及法令遵循研討會（8/21）

為積極促進金融業誠信治理，由金管會、法務部指導，金融總會及本公會等7單位共同辦理本研討會，為產官學建立面對面溝通的管道。本公會並邀請專營期貨商共同參與，期能建立良好之法遵制度與文化，共創永續發展。

Conference on corporate integrity and law compliance of financial institutions

In order to further promote integrity in corporate governance among the financial industry, seven financial organizations, including the CNFA and Taiwan Financial Service Roundtable, co-organized this seminar under instruction of the Financial Supervisory Commission (FSC) and the Ministry of Justice, providing a face-to-face communication channel among the government, academia, and industrial players. The CNFA particularly invited specialized futures commission merchants to attend this seminar in a bid to help them build up good law-compliance system and corporate culture as the base for pursuing sustainable development.



期貨商查核案例及缺失改善宣導說明會（10/8）

為協助業者落實內控制度、提升內部稽核功能、健全經營體質、保障業者與期貨交易人之權益，本公會辦理宣導說明會，邀請檢查局主講，說明與分享相關查核案例，以及缺失改善等實務作業，並與業者進行意見交流。

Presentation on cases of "how to check operations of futures commission merchants and help them make improvement"

In order to help futures companies realize internal control mechanism, enhance internal auditing system, build up healthy management fundamentals, and protect interest of both futures companies and their clients, the CNFA arranged this event and invited experts from Financial Examination Bureau to talk about how to check operations of the futures companies and help them make improvement, as well as exchange viewpoints of with participants.



金融消費者保護法令解析與最新趨勢-以公平待客原則為中心（10/19）

為強化金融消費者保護，具體落實金融服務業建立公平待客原則之政策及策略，邀請法學專家主講，另配合防疫需求辦理線上直播課程；當天計178位經理人、部門經理人及主管、法令遵循及業務人員上線參與課程。

Seminar on "Financial consumer protection regulation explanation and latest development trend—focused on fair dealing policy"

In order to strengthen financial consumer protection and realize the fair dealing policy or strategy in financial services, the CNFA invited legal experts to give lectures on this topic which, due to concern of pandemic control, was broadcast live through video conferencing. This online lecture course was joined by 178 managers, executives, as well as law compliance workers.





疑似洗錢態樣實務交流與分享會 (11/13)

為協助業者落實執行洗錢防制工作，本公會邀請法務部調查局洗錢防制處說明疑似洗錢態樣，並以案例就透過期貨交易產生異常資金流動、不法所得透過期貨交易洗錢進行實務交流與分享。

Experience-sharing seminar on “Suspicious money laundry and AML practice”

In order to help futures companies realize money laundry control work, the CNFA invited officials from money laundry division of the Ministry of Justice’s Investigation Bureau to talk about the types of money laundry behaviors and give case illustrations to analyze how money laundry was made through abnormal futures trading and capital flow on the futures market.



數位身分識別證相關教育訓練 (11/24、12/7)

為協助業者瞭解New eID相關資訊，本公會與證券商公會及投信投顧公會共同辦理「New eID教育訓練說明會」，以及「New eID API開發訓練課程」，就規劃內容與API開發實務作業，進行意見交流與問題溝通。

New eID training course

In order to help futures companies understand New eID and its related information, the CNFA joined the Taiwan Securities Association and the Securities Investment Trust and Consulting Association in holding the “New eID Presentation” and “New eID API development training course” where participants discussed about contents design and practices of API development.

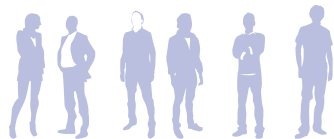


公平交易法規專題講座(11/27)

以「公平交易法之規範與聯合行為案例解析」及「從廣明案看公平交易法令遵循」為主題進行專題演講及實務交流，藉此讓證券、期貨、保險之從業人員瞭解我國公平交易之執行現況，並透過案例解析，期能共同維護金融市場競爭秩序。

Lecture on Fair Trade Act

This seminar, which was arranged with two lectures on the themes of “Case analysis about Norms and Concerted Action under Fair Trade Act” and “Law Compliance of Fair Trade Act in Case of Quanta Storage,” provided a venue for participants to make discussion and exchange points of view, through which securities, futures, and insurance workers would have a better understanding of how the Fair Trade Act was executed in Taiwan and, through case analysis, strengthened their consensus on how to protect the market competition order of the financial industry.



市場推廣活動 Market promotion activities

2020「期貨業未來發展與就業機會」校園巡迴講座 (3/1-5/31)

為協助同學瞭解期貨業的各項業務與實務作業、增進對期貨行業的認識，並為行業引入人才，本講座已辦理15年，今年度配合防疫措施下完成20場、超過1,400位同學參與，本公會特別感謝各校的協助，讓講座能順利進行。

“Future Market outlook & Job Opportunities, – campus lecture tour 2020

In order to help students better understand the futures market as well as practices of various futures businesses so as to induce their interests in joining the futures industry, the CNFA has arranged the campus lecture tours for 15 years. While coping with the government's pandemic control policies in 2020, it successfully arranged 20 campus lectures, participated by over 1,400 students. The CNFA was especially grateful to the hosting universities whose supports were very helpful to secure smooth operations of these campus activities.



贊助台北金融研究發展基金會「金鑽獎」 (3/25)

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，本公會贊助第23屆「金鑽獎」活動，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-Bloomberg Best Fund Award”

In order to encourage elites of the mutual fund industry and establish the professional images of the securities investment trust and advisory workers, and at the same time examine the performance of the mutual funds in Taiwan, the CNFA sponsored the 23rd “TFF-Bloomberg Best Fund Award” held by the Taipei Foundation of Finance (TFF), providing investors with the most complete and transparent information under the “fair,” “righteous,” and “open” principles.



2020 LME 實務研討會議 (7/24、11/20)

為服務實體經濟，本公會持續於台北及高雄辦理LME實務研討會，安排業界專家現身說法交易規則、交割流程、倉儲作業及倉單質借實務等議題分享經驗，期許助益高雄港LME業務與成長新動能，並發揮期貨服務實體經濟之效益。

LME Practice Seminar 2020

In order to serve the physical economic activities, the CNFA continued to arrange the LME Seminars in Taipei and Kaohsiung, inviting experts to speak on trading regulations, settlement procedures, warehousing operations, pledging by warehouse receipt, and other related topics as well as share their experiences, hopefully to favor the LME business development in Kaohsiung Harbor and realize the benefits brought about by the futures industry to the physical economic activities.





贊助辦理「2020 台灣資本市場論壇」(7/31)

為協助推動我國資本市場的發展，贊助自由時報辦理「2020 台灣資本市場論壇」，邀請總統蔡英文、行政院長蘇貞昌、金管會主委黃天牧致詞，並安排座談會，聚焦資本市場的新領域、新挑戰、新藍海、新戰略，以及因應社會演進的創新。

Sponsoring "Taiwan Capital Market Forum 2020"

In order to promote the development of Taiwan's capital market, the CNFA sponsored the "Taiwan Capital Market Forum 2020" hosted by the Liberty Times, which invited President Tsai Ying-wen, Premier Su Cheng-chang, FSC Commissioner Huang Tien-mu to give speeches while arranging several seminars focused on the theme of "new fields, new challenges, new blue sea, and new strategies" in reaction to the social revolution and innovation.



研商代為沖銷作業(8/28、9/1、10/17、12/30)

本案緣起於業者參加主管機關召開之「提昇期貨商競爭力暨協助期貨市場健全發展」座談會，與會業者建議重新檢視代為沖銷作業，以利期市發展；因涉及風險控管制度重要變革，本公會就相關議題召集業界相關人士研商，共辦理4次會議。

Meetings on "Making write-off on behalf of clients"

In reaction to the government-held seminar on "How to strengthen competitiveness of futures companies and promote healthy development of futures market" where participants called for re-examination of the "operations of making write-off on behalf of clients" which is involved with a major revolution of risk-control system, the CNFA took their suggestions and convened the meetings for four times, inviting experts to discuss related issues.

校園金融講堂及期貨校園徵才活動(9/25、10/14)

為吸引人才投入，以蓄積產業發展能量，期交所、經濟日報與本公會共同辦理「校園金融講堂及期貨校園徵才活動」；本公會邀請期貨商於活動現場設攤徵才，同時積極宣導加入期貨職場請選擇合法期貨業者。

Campus activities of "Financial Podium" & futures talent recruitment

In order to attract talented people to join the futures industry in a bid to strengthen the momentum for industrial development, the CNFA joined the Taiwan Futures Exchange (TAIFEX) and the Economic Daily in holding the "Financial Podium" and talent-recruiting activities on campus in the National Chiao-tung University and National Sun Yat-sen University, inviting futures companies to run booths introducing the concepts of legitimate futures to interested students at the events.





2020 台北國際期貨論壇 (10/30)

今年度本論壇以「氣候變遷下臺灣永續金融與期貨業發展之未來趨勢與展望」為主題，邀請主管機關、專業機構與企業代表就各方之觀點、永續金融最新趨勢及相關推動實務經驗進行分享，吸引近200位企業、機構及金融業者參與。

Taipei International Futures Forum 2020

The forum for this year, based on the theme of “Sustainable Development Trend and Outlook of Taiwan’s Finance and Futures Industries,” invited representatives from the government, professional institutions, and futures companies to share experiences and viewpoints on sustainable development of the financial industry. It attracted nearly 200 participants from private companies, professional institutions, and related financial workers.



贊助內部稽核協會年度研討會 (10/30)

由內部稽核協會主辦、本公會等周邊單位贊助辦理之「掌握趨勢脈動 推升創新能量」年度研討會，邀請證期局高晶萍主任秘書、台積電與鴻海集團總稽核等內部稽核相關專業知名人士前來演講、共同研討與交流。

Sponsoring annual meeting of Institute of Internal Auditors

The CNFA joined other related organizations in co-sponsoring the annual meeting of the Institute of Internal Auditors, under the theme of “Grasping Trendy Pulse; Boosting Innovative Momentum” for 2020, inviting Kao Chin-ping, Chief Secretary of Securities and Futures Bureau, as well as internal auditing executives from TSMC and Hon Hai Group to give speeches and share experiences.



贊助辦理「2020台北·金融博覽會」 (11/27~11/29)

由今周刊主辦、本公會等單位贊助之「2020台北·金融博覽會」以掌握金融脈動、實現財富自由為宗旨，於世貿一館盛大辦理。為持續加強宣導合法期貨，於金融博覽會對外宣傳廣告、大會手冊揭露本公會識別標章(CNFA)及合法期貨廣告。

Sponsoring “2020 Taipei FinExpo”

The “2020 Taipei FinExpo,” organized by Business Today magazine and co-sponsored by the CNFA as well as other related institutions, was held at the Taiwan World Trade Center under the goals of grasping financial pulses and realizing wealth freedom. The CNFA took the opportunity to promote public awareness of legitimate futures at the venue while publishing the CNFA logo and legitimate futures mark on one advertisement page of the expo handbook.





「期貨市場採用BIS計提風險資本之可行性分析」期中報告會議 (11/18)

辦理「期貨市場採用BIS計提風險資本之可行性分析」委外研究計畫案中報告會議，邀請專兼營期貨商代表，就本案初步研究結果及建議方向進行討論。

Mid-term report of research project on “Feasibility of applying BIS capital ratio to futures industry”

The CNFA-outsourced research project “Feasibility of applying BIS capital ratio to futures industry” made a mid-term report and invited representatives of both specialized and concurrent futures commission merchants to make a review of the report as well as discuss about it and provide suggestions.

社會關懷 Social care

金融服務業教育公益基金 (109年)

為了協助學生不致因為經濟因素而中斷學業，且有更寬廣的發展機會與空間。由金管會指導、金融總會統籌，金融周邊各同業公會、控股公司及外商銀行，共同捐助辦理本計畫，今年提供1,431名學生獎助學金圓夢。

Charity educational fund for financial service industry

In order to prevent interruption in student’s study at school due to economic problems as well as to provide students with even more opportunities of pursuing careers in financial industry, a charity educational fund was founded by the Taiwan Financial Services Roundtable under instruction of the FSC, with donation from financial-related industrial associations, holding companies, and foreign banks. The fund granted awards and financial subsidies to 1,431 students in 2020.



2020年金融服務愛心公益嘉年華 (10/24、11/28)

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屏東及嘉義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 2020

In order to spread out financial knowledge to arouse the public’s awareness of the new financial knowledge and social care for the disadvantaged groups, the CNFA enthusiastically joined the two rounds of the TFSR-organized “Financial Service and Charity Carnival 2020” held in Pingtung and Chiayi. Besides promoting public education, the CNFA made donations to the disadvantaged groups and helped those who were in need.





聯誼活動 Friendship activities

108年度歲末聯誼活動 (1/14)

本公會假台北福華大飯店舉行108年度歲末聯歡晚會，除理監事及各委員會委員熱烈參與外，尚有金管會首長們及多位週邊單位董總等貴賓蒞臨，共同迎接金鼠年並祝期貨市場蓬勃發展、交易量再創新高。

2019 year-end gala dinner

The CNFA held the 2019 Year-end Gala Dinner at Taipei Howard Hotel to express gratitude for the efforts of all executive directors, supervisors, and committee members, inviting the high-ranking executives from the FSC and related institutions to jointly welcome the coming of the new year with best wishes for the futures market to develop prosperously with market transaction hitting a new high in the new year.



109年度證券期貨盃高爾夫球錦標賽聯誼活動 (5/1)

本活動由證券商公會、期貨公會、投信投顧公會及證交所、期交所、集保、櫃買7大單位於林口美麗華球場共同辦理，今年計有144位證券、期貨、銀行、票券、證金等證券暨期貨業者參賽。

Securities & Futures Golf Championship for 2020

The Securities & Futures Golf Championship, co-organized by seven associations and institutes, including the TSE, TAIFEX, TDCC, TAPx, TSA, CNFA, and SITCA, was held at the Miramar Gold & Country Club. In 2020, it's participated by 144 persons from the securities firms, futures companies, banks, bill financing companies, and securities financing companies.



委員會聯誼活動 (10/17~10/18、10/31~11/1)

109年度委員會聯誼活動擇定「舊山線鐵道秘境，潮間帶體驗，太平雲梯，鹿港老街漫遊」二日休閒之旅，辦理2梯次，期讓委員們在工作之餘，有機會參與生態活動、了解在地文化，本次活動人員計有56位委員及眷屬們參與。

Friendship activity for committee members

The friendship activity organized for committee members in 2020 was a 2-day journey covering the tourist spots such as “Secret Attractions on Old Railway Route,” “Intertidal Zone,” “Taiping Sky Ladder,” and “Lukang Old Street.” The tour was held twice for two groups of the committee members, making good opportunities for them to experience eco-activities and explore into local culture of these tourist spots, participated by a total of 56 committee members and their family members.



理監事聯誼活動 (9/7~9/10、10/4~10/7)

109年度理監事聯誼活動分二梯次辦理，第一梯次花蓮、台東團、第二梯次阿里山、日月潭，共計29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、交流、增進情誼並凝聚期貨業界向心。

Friendship activity for Executive directors and supervisors

The CNFA held two friendship activities for two separate groups of executive directors and supervisors in 2020, with the first group going to Hualien and Taitung and the second group destined for Ali Mountain and Sun Moon Lake, participated by 29 persons in total. Through these activities, the executive directors and supervisors could relax themselves from busy work and took the opportunities to learn from each other, make interactions, boost friendship, and consolidate the centripetal force of futures workers.



從業人員登山健行聯誼活動 (11/7)

為提倡健康自然之休閒活動並提供從業人員聯誼管道，辦理從業人員登山健行聯誼活動，並同時「捐發票、送愛心」關懷弱勢。本次活動超過1,200名從業人員及眷屬參與，共募得3,600張發票全數捐與第一社會福利基金會。

Friendship hiking activity for futures workers

In order to provide healthy and natural leisure activities to futures workers, the CNFA arranged the annual hiking activity in conjunction with an “Invoice Donation for Charity” campaign in 2020, participated by over 1,200 futures workers and their family members. Nearly 3,600 invoices were collected through this activity, and all have been donated to the First Social Welfare Foundation.



理監事自強活動 (12/2~12/5、12/6~12/9)

因COVID-19疫情影響，今年度理監事海外參訪活動改為國內自強活動，分二梯次走訪宜蘭與花蓮，共計22位理監事參加。

Physical-training activity for executive directors and supervisors

Due to the COVID-19 pandemic in 2020, the overseas observing trips for executive directors and supervisors were changed to the physical-training activities to visit Ilan and Hualien in two separate trips for two groups of 22 executive directors and supervisors in total.





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109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5案，計8項違規內容，發函要求改善者3件、核處警告者5件。

The CNFA made annual inspection on futures advisory enterprises and their practices of internal auditing. In 2020, among those breaking the “Self-discipline Agreement for CNFA Members,” 5 cases were reported to the Discipline Committee, 3 were notified to make improvement by written letter, and 5 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6案，計6項違規內容，發函要求改善者6項。

Among other member companies which violated the “Self-discipline Agreement for CNFA Members” (except futures advisory enterprises), there were 6 cases reported to the Discipline Committee, 6 cases found to have violated the Agreement, and 6 cases which were required to make improvement through written notification.

四、關於會員業務之廣告及宣傳審查事項

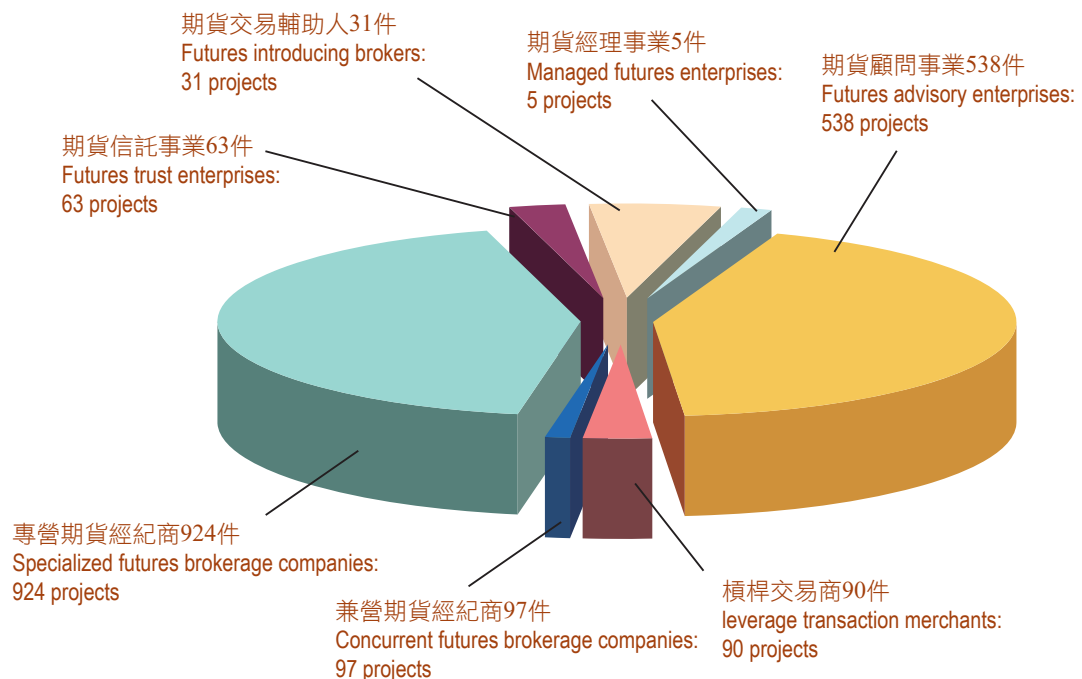
D. Inspection of advertisement and promotional materials of member companies

本公會109年度共計審核1,748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924件、兼營期貨經紀商申報97件、槓桿交易商申報90件、期貨顧問事業申報538件、期貨經理事業申報5件、期貨信託事業申報63件、期貨交易輔助人申報31件。

In 2020, the Association reviewed 1,748 projects of advertisement and promotional materials published by member companies. Among them, 924 projects were filed by the specialized futures brokerage companies, 97 by concurrent futures brokerage companies, 90 by leverage transaction merchants, 538 by futures advisory enterprises, 5 by managed futures enterprises, 63 by futures trust enterprises, and 31 by futures introducing brokers.

109年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2020



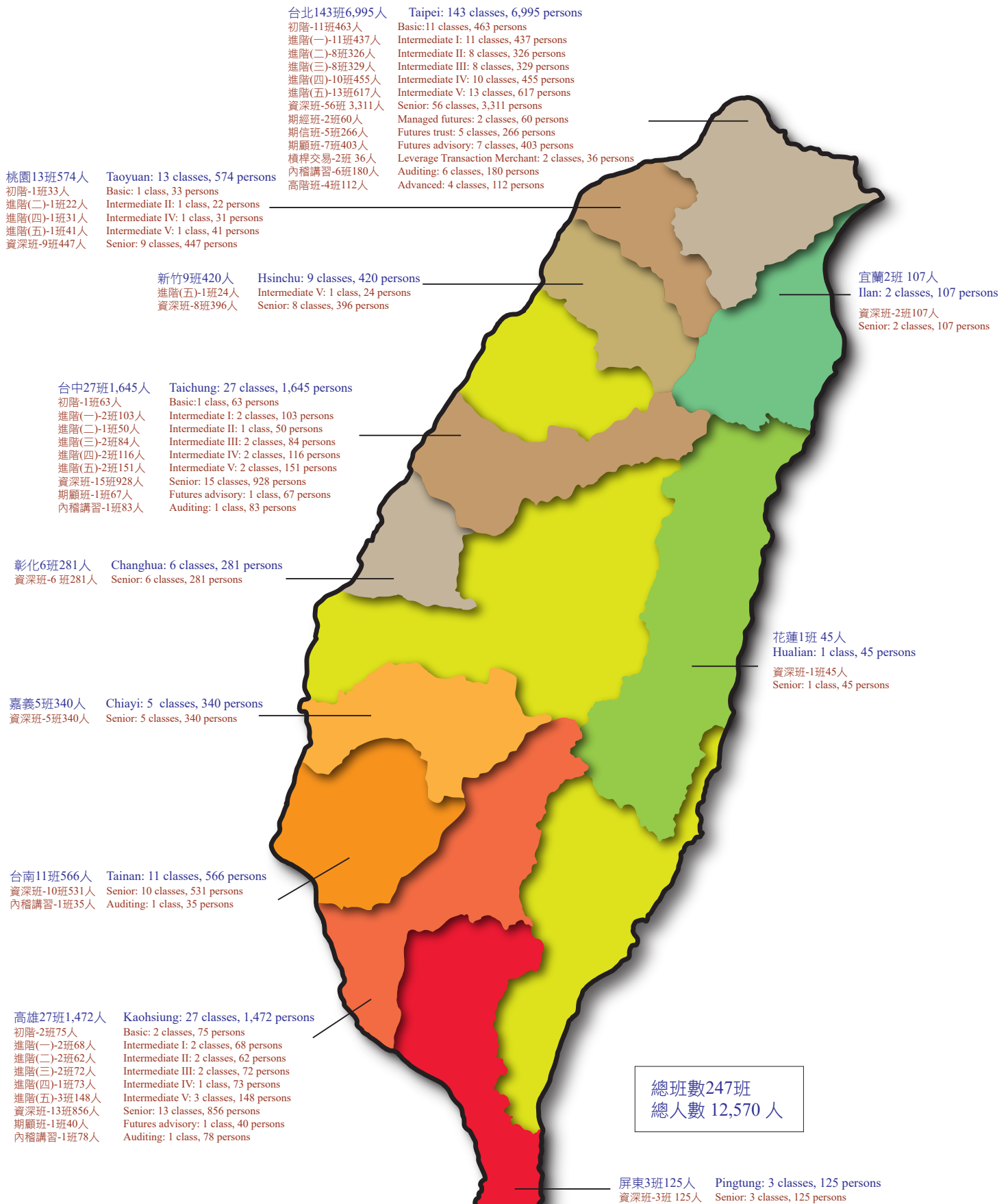


五、在職訓練

E. On-job training

109年度舉辦之地區別、班別及人數詳如下圖：

CNFA-arranged Training Courses in 2020



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

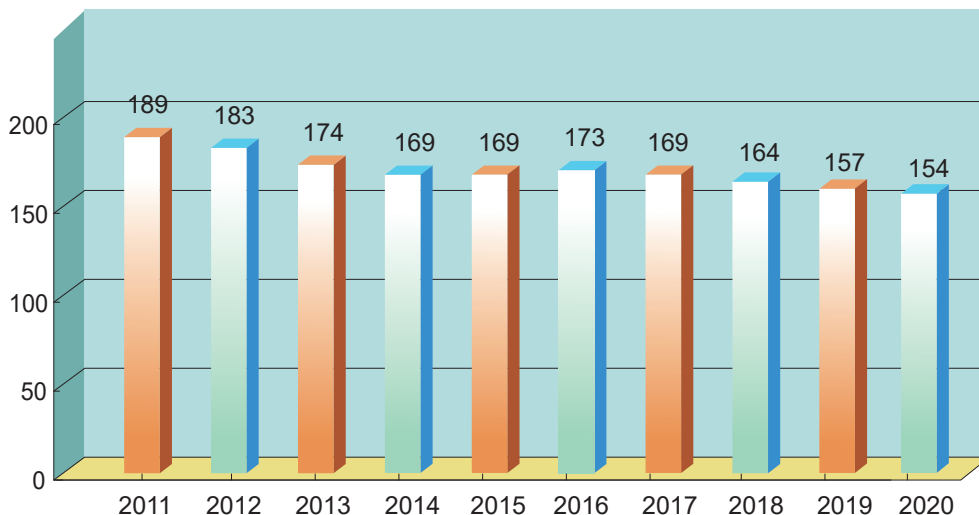
Registration of member companies and their business representatives

- 會員家數：共計154家，其中經營期貨經紀業務為29家(19%)；期貨業務輔助人44家(29%)；期貨自營業務32家(21%)；期貨顧問業務30家(19%)；期貨經理業務6家(4%)；期貨信託業務8家(5%)；槓桿交易商5家(3%)。

There were 154 member companies registered with the CNFA at the end of 2020: 29 (19%) futures brokerage companies, 44 (29%) futures introducing brokers, 32 (21%) proprietary futures commission merchants, 30 (19%) futures advisory enterprises, 6 (4%) managed futures enterprises, and 8 (5%) futures trust enterprises, and 5(3%) leverage transaction merchants.

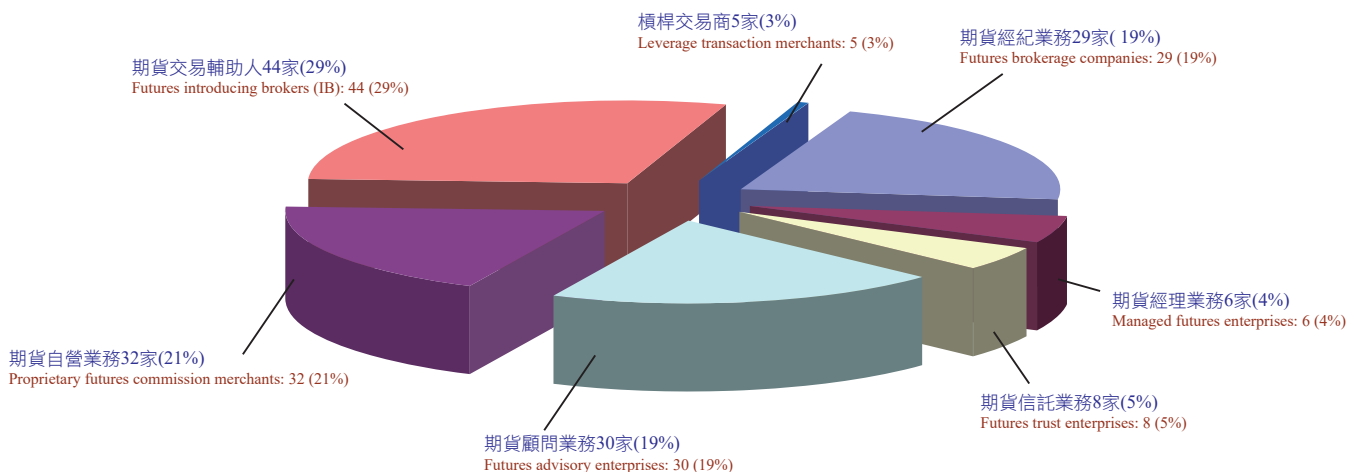
近10年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years

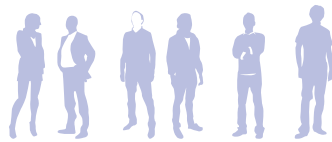


109年度會員類別統計圖

Statistics of CNFA Member Companies in 2020, by Business Category



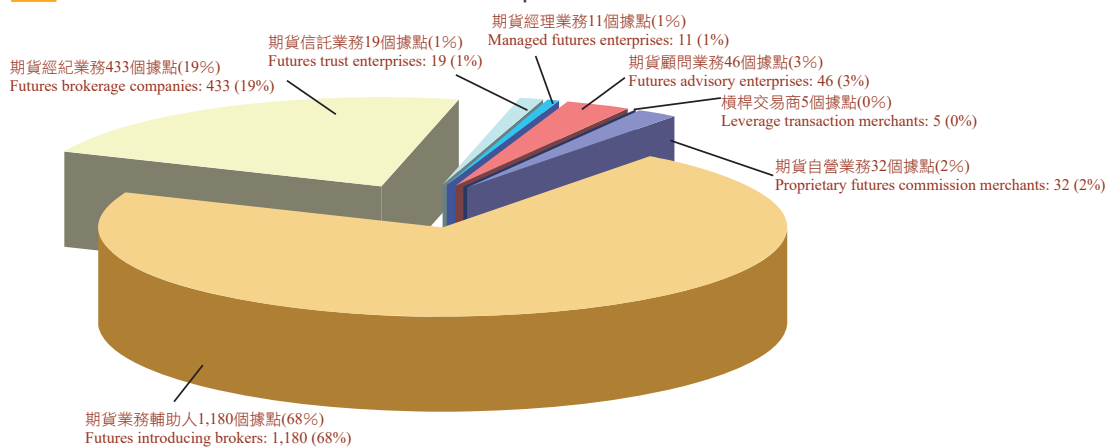
共計154家會員 資料統計截至109/12/31
A total of 154 member companies as of Dec. 31, 2020



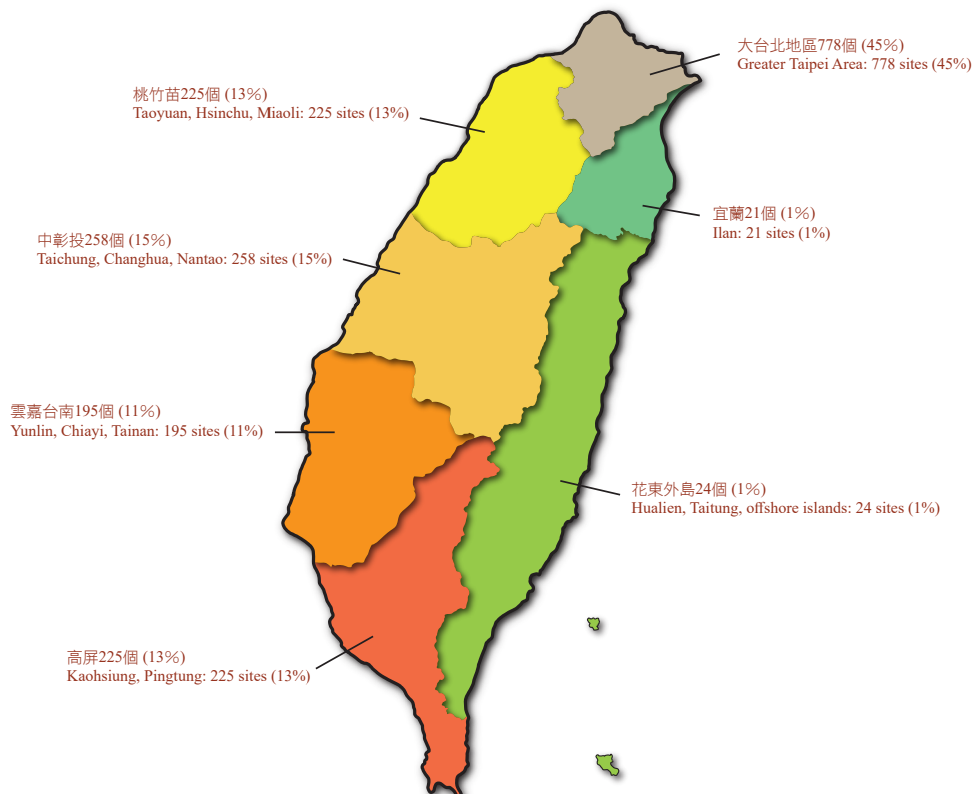
- 會員總分公司分支機構數：共計1,726家，其中經營期貨經紀業務為433個營業據點(25%)；期貨業務輔助人1,180個營業據點(68%)；期貨自營業務32個營業據點(2%)；期貨顧問業務46個營業據點(3%)；期貨經理業務11個營業據點(1%)；期貨信託業務19個營業據點(1%)；槓桿交易商5個營業據點(0%)。

CNFA Member Companies were operated with a total of 1,726 headquarters offices and branch offices as of the end of 2020: 433 used by futures brokers (25%), 1,180 used by introducing brokers (68%), 32 used by proprietary futures commission merchants (2%), 46 used by futures advisory enterprises (3%), 11 used by managed futures enterprises (1%), and 19 used by futures trust enterprises (1%), 5 used by leverage transaction merchant (0%)。

會員營業據點統計圖
Business Sites of CNFA Member Companies in 2020



109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 2020

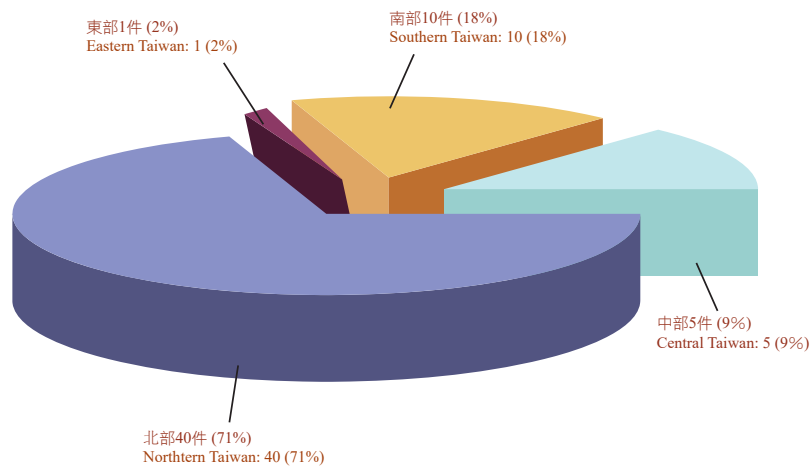


● 會員場地勘察 Business site inspection

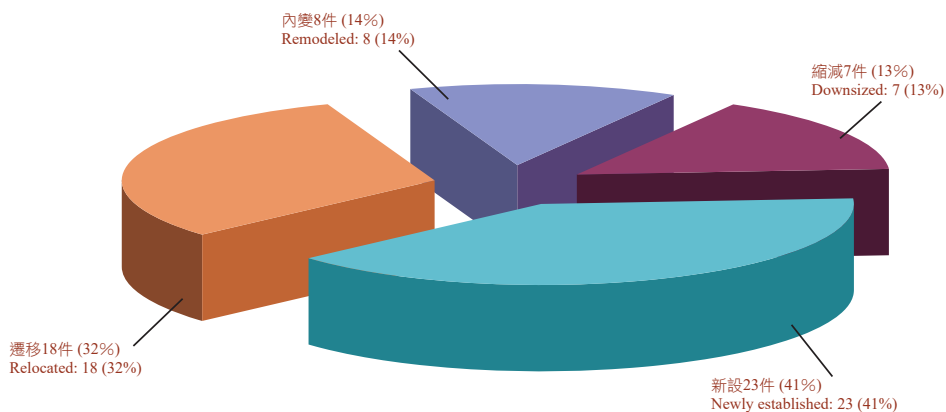
109年度共計56件場勘案(北部地區40件、中部地區5件、南部地區10件、東部地區1件)，就其場勘案件分析，新設營業處所23件、遷移營業處所18件、縮減營業處所7件、營業處所內部配置變動8件。

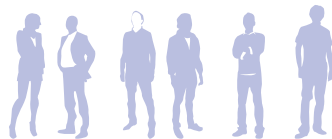
The Association conducted a total of 56 business site inspection projects in 2020 (40 in northern Taiwan, 5 in central Taiwan, 10 in southern Taiwan, 1 in eastern Taiwan). Among these inspected sites, 23 were newly established, 18 were relocated, 7 were downsized, and 8 were remodeled.

109年度場地勘察區域分布統計圖
Geographical Areas of Inspected Business Sites in 2020



109年度場地勘察類別統計圖
Statistics of Business Site Inspection Projects in 2020



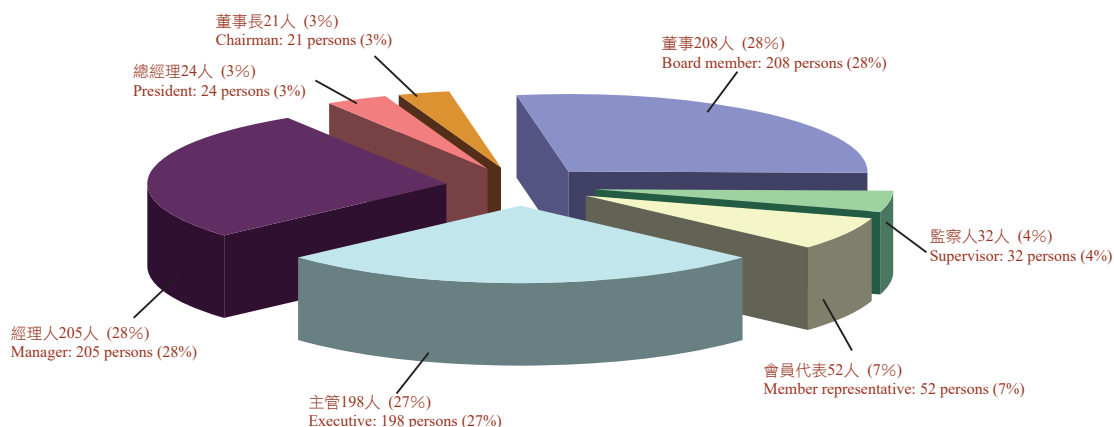


2. 會員委託證照之申請變更、換領及其他服務事項
Certificate renewal, change, and other related services

- 會員代表、會員負責人109年度於本公會異動登錄共計740人次，細分如下：

In 2020, the Association handled a total of 740 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies.

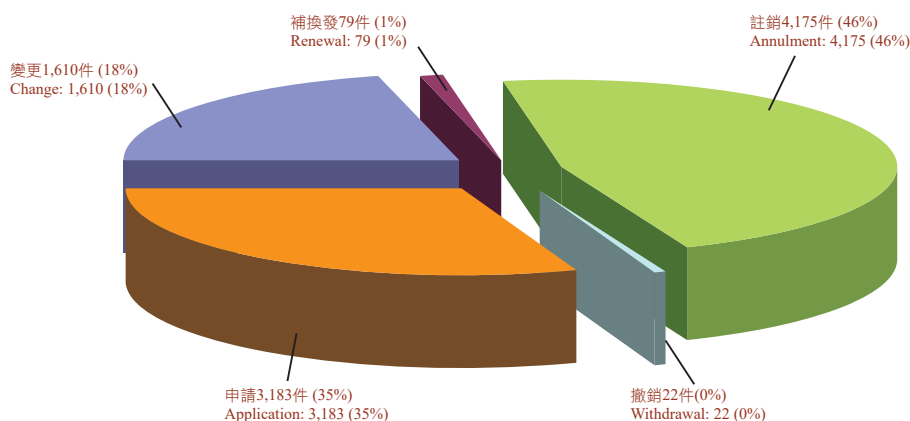
109年度身分類異動統計圖
Position Change Statistics for 2020



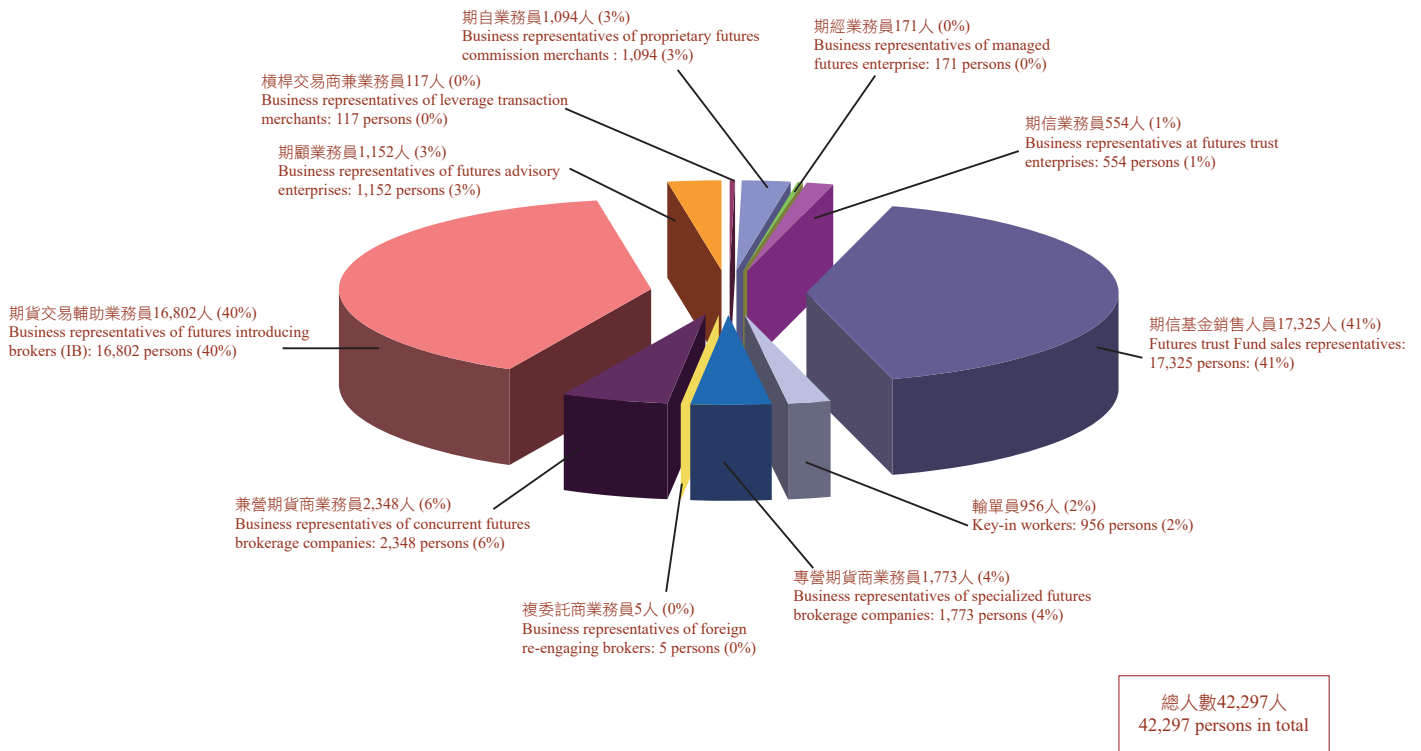
- 業務員、輸單員、銷售人員109年度於本公會異動登錄共計9,069件，每月平均756件

In 2020, the Association handled a total of 9,069 business representative, key-in worker, and salesperson enrollment cases, with an average of 756 cases per month.

109年度業務異動類別統計圖
Job Change Registrations in 2020



109年度從業人員登記統計圖
Business Category Change of Staff at CNFA Member Companies in 2020



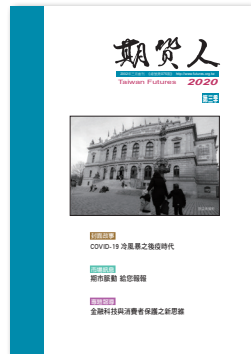


七、本公會出版品 G. Publications

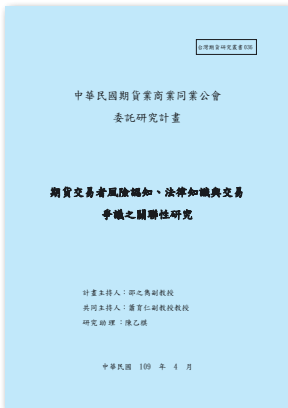
1. 會訊 Newsletter



2. 期貨人季刊 Futures Journal



3. 研究叢書及手冊 Research books & brochures





4. 政令宣導 Policy Advocacy

