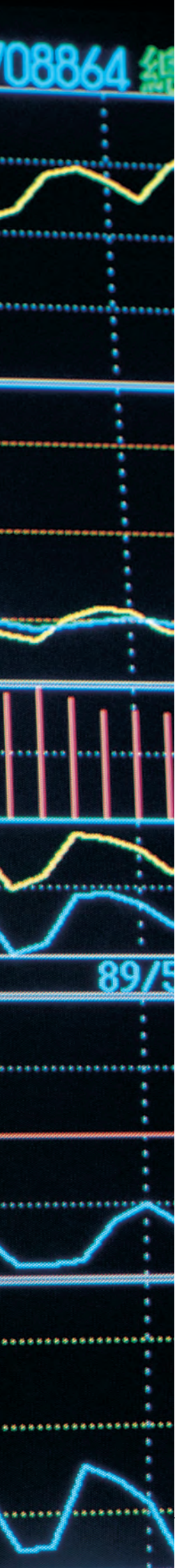


109年報 Annual Report 2020



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

110年四月編製



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壹

序言



穩健發展 莫忘初心

109年在全球遭逢新冠肺炎疫情的險惡環境下，更加彰顯期貨市場的避險功能。國內期貨全年交易量達到3億4千多萬口，較108年大幅成長30.9%，整體期貨商稅前獲利達77.32億元，較108年大幅成長49.5%，表現亮眼。109年4月主管機關繼開放黃金及石油CFD後，再開放專業機構及法人交易人承作不涉及新臺幣無本金交割遠期外匯商品(NDF)，為期貨市場增添服務實體經濟的工具；槓桿交易商亦陸續推出相關產品，提供交易人多元的商品選擇，交易量屢創新高。為利期貨業長遠發展及提升業者之國際競爭力，公會辦理LME實務研討會，針對交易規則、交割流程、倉儲作業及倉單質借實務等議題，安排業界專家與與會嘉賓交流意見，希望為實體業者與期貨商共創利基，並成立了ANC專案小組討論ANC相關議題，及委託外部單位研究「期貨市場採用BIS 計提風險資本之可行性分析」。另為響應金管會推動綠色金融行動方案2.0，公會舉辦的台北國際期貨論壇並針對「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」探討相關議題。

8月召開的「提升期貨商競爭力暨協助期貨市場健全發展」座談會，主管機關邀集期貨業者從「推動期貨商業務發展及提升競爭力」、「落實服務實體經濟及發揮避險功能」等面向與業者雙向溝通，期貨業者提出包括：新增期貨集中市場夜盤商品、研議及推動集中交易市場發展新商品(如臺指波動率期貨、長天期選擇權契約、小型期貨契約)、店頭期貨交易市場發展屬自然人之一般客戶可交易之新商品(如以國內外股票為標的資產之差價合約、連結外幣計價原物料衍生品之選擇權)、開放華僑及外國人得從事槓桿保證金契約交易、開放期貨商或由其設立商貿子公司從事LME倉單交換或避險等相關業務、研議調整期貨商ANC之計算、擴大期貨商受託買賣業務員轉介槓桿保證金契約之範圍、開放證券商受託買賣業務員轉介槓桿保證金契約等多項建設。而其中多項建議內容已納入「資本市場藍圖」進行研議，將提供證券期貨業共同打造具前瞻性與國際競爭力之資本市場之機會。

109年適逢公會創立25週年，我們特別發行專刊，紀錄公會與業界先進胼手胝足攜手為期貨產業努力的日子。感謝主管機關一直以來以開放的態度支持期貨產業發展，由於期交所的積極協助及業界的共同努力，期貨業持續發光發熱。公會也會秉持初心凝聚業者共識，發揮自律，扮演金管會與期貨業之間溝通的橋樑，協助業者穩健經營，落實期貨增益避險及服務實體經濟的功能。面對新年度的來臨，本公會除規劃有關服務實體經濟的專刊，從需求面及國外案例等實務面進行剖析與探討，亦將透過不同管道打擊非法業者及宣導風險控管觀念，以保障期貨交易人權益。本公會將持續以熱忱的服務態度實現證券期貨業永續健全發展的願景。

中華民國期貨業商業同業公會

理事長

糜以雍

Pursue steady growth, keep on initial aspiration

In 2020, we witnessed an increasingly highlighted function of futures as a risk-hedging tool amid the cruel global COVID-19 pandemic, where the annual transaction on Taiwan's futures market hit 340 million contracts with a remarkable growth of 30.9% from the previous year. Meanwhile, futures companies recorded an overall pre-tax profit of NT\$7.732 billion, significantly up 49.5% from 2019. Following the opening of crude oil and gold CFD (contract for difference) trading, the government made a further move to allow professional investors and institutional traders to trade the non-deliverable forward (NDF) on New Taiwan Dollars, adding another vehicle on the futures market to serve the physical economy. Meanwhile, leverage transaction enterprises introduced one after another new products, providing traders with multiple choices and thus repeatedly seeing a new high of transaction. The CNFA, in order to create a favorable condition for futures companies to pursue long-term development and strengthen their international competitiveness, arranged the seminars on LME (London Metal Exchange) practices, inviting experts to give lectures on LME transaction rules, settlement procedures, warehousing operations, warehouse receipt pledge, and other practical issues as well as exchange viewpoints with seminar participants, in a hope to create a mutual beneficial foundation for both futures companies and those engaged on physical economic activities. The CNFA also set up an ANC (adjusted net capital) Project Group to handle ANC-related issues, and at the same time assigned a research project on “feasibility of applying BIS capital ratio to futures industry” to an outside research institute. Meanwhile, in reaction to the FSC-launched Green Financial Movement 2.0, the CNFA set the theme “Sustainable Development Trend and Outlook of Taiwan’s Finance and Futures Industries” for Taipei International Futures Forum 2020, which the CNFA arranged as a venue for interested participants to make discussions about the related issues.

In August 2020, the regulatory agency held a seminar on “strengthening competitiveness of futures companies and promoting healthy development of futures market,” inviting futures workers to communicate and discuss this topic from various aspects such as “how to promote the business and competitiveness of futures companies,” “how to realize futures functions for serving physical economy and hedging risks,” etc. At this seminar, representatives of futures companies raised several recommendations such as: to add new products for trading on the TAIFEX during night trading hours; to propose new types of products for trading on the TAIFEX (such as Taiwan stock volatility index futures, long-term options, small-sized futures contracts), to introduce new products suitable for individual traders to trade on the OTC market (such as the CDF on Taiwan stocks, the commodity options denominated in foreign currency), to allow overseas Chinese and foreigners to make leverage trading on Taiwan’s futures market, to allow futures companies or their international trading affiliates to exchange warehouse receipts, hedge risks, or make other kinds of transactions on the LME, to adjust the ANC calculation formula for futures companies, to expand the range of the leverage transaction contracts allowed to be referred by futures company’s sales workers to their clients, to allow securities firm’s sales workers to make referral of leverage transaction contracts to their clients among many others. A large part of these recommendations have been included into the “blueprint of Taiwan’s capital market development” for follow-up discussion, a move to further strengthen the prospective and international competitiveness of Taiwan’s capital market.

The CNFA celebrated its 25th anniversary in 2020, and issued a special publication recording all the efforts of the CNFA and futures market pioneers over the past years, expressing its gratitude to the regulatory agency for its liberal attitude and staunch support for the development of Taiwan’s futures market. Thanks to the joint efforts of the TAIFEX and futures workers, Taiwan’s futures industry has been kept developing. The CNFA will stick to its initial aspiration to foster consensus among futures workers, encourage self-discipline of its member companies, and play the role as a bridge for communication between the FSC and the futures industry, help futures companies pursue steady development, and thus further realize the function of futures for risk-hedging and making substantial services to the physical economy. Looking forward to the coming year, the CNFA is planning to compile special books on how to serve the physical economic activities, making in-depth analysis from the aspects of market demand and practical operations by using foreign cases as examples. Meanwhile, it will continue the efforts in cracking down illegal operators and advocate risk-control concept as a means to protect the interest of futures traders. The CNFA will keep its enthusiasm to help futures and securities workers realize the goal of pursuing sustainable and healthy development.

Falco Mi
Chairman, CNFA

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
第六屆第二次會員大會



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271位。

■成員：由會員代表組成。至109年12月31日止，本公會會員公司計有154家：

1. 專營期貨商14家
2. 兼營期貨商14家
3. 期貨交易輔助人44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5家
7. 期貨顧問業務30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 2020, a total of 271 member representatives were registered with the Association.

■ Member companies: the Association was composed of 154 member companies at the end of 2019:

1. Specialized futures brokerage companies: 14
2. Concurrent futures brokerage companies: 14
3. Futures introducing brokers (IB): 44
4. Foreign re-engaging brokers: 1
5. Proprietary futures commission merchants: 32
6. Leverage Transaction Merchant: 5
7. Futures advisory enterprises: 30
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、業務電子化等14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。
 - (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。

4. Committees: The Association set up 14 committees, namely Futures Brokerage Committee, Proprietary Future Commission Merchant Committee, Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, Leveraged-trading Committee, Discipline Committee, Education & Training Committee, Financial Committee, International Affair Committee, Cross-straits Affair Committee, Auditing Committee, AML & Law Compliance Committee, and E-Commerce Business 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) To make annual work plan for the committee
 - (4) To handle other related issues



- 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畫事項。
 - (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。
- 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。

- 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

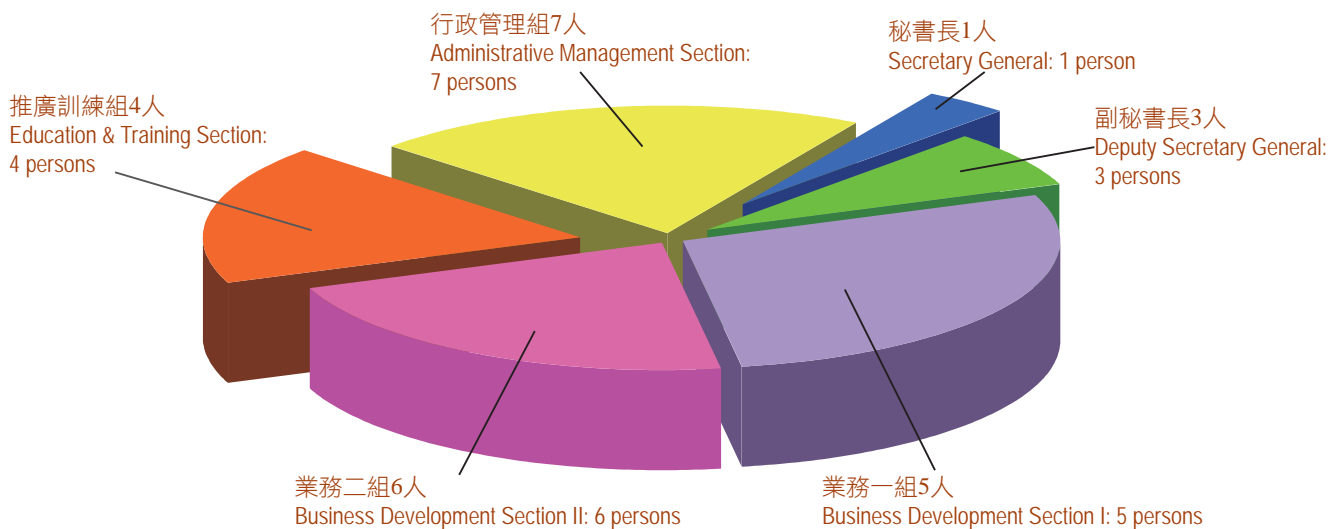


- 防制洗錢暨法遵委員會
 - (1) 有關期貨業法令遵循事務之研討與建議事項。
 - (2) 有關期貨業防制洗錢及打擊資恐之研討與建議事項。
 - (3) 協商並解決期貨業共通性之法令遵循事項。
 - (4) 協商並解決期貨業共通性之防制洗錢及打擊資恐事項。
 - (5) 有關編擬年度工作計畫事項。
 - (6) 其他有關防制洗錢及打擊資恐暨法令遵循事宜之處理事項。
- 業務電子化委員會
 - (1) 有關業務電子化業務之發展、聯繫、協調、改進事項。
 - (2) 有關業務電子化業務相關法規研討及建議事項。
 - (3) 有關交易人服務事項。
 - (4) 有關編擬年度工作計畫事項。
 - (5) 其他有關業務電子化事宜之處理事項。

(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：

109年會務人員統計表
CNFA Administrative Staff in 2020



- Auditing 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

- E-Commerce Business Committee
 - (1) To handle the issues regarding digitalization promotion, communication, coordination, and improvement
 - (2) To handle research and recommended issues regarding digitalization business
 - (3) To provide digitalization-related services to traders
 - (4) To compile annual work plan for this committee
 - (5) 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
- (10) To mediate disputes about futures trading



理監事名錄 Board Members and Supervisors

理事名錄

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
1	理事長 Chairman	糜以雍 Falco Mi	凱基期貨股份有限公司 KGI Futures Co., Ltd.	董事長 Chairman
2	副理事長 Vice Chairman	林添富 Tien-Fu Lin	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	董事長 Chairman
3	副理事長 Vice Chairman	莊輝耀 Huei-Yao Chuang	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	董事長 Chairman
4	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.	副董事長 Vice Chairman
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

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
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
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.	總經理 President
39	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
40	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
41	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109.12.31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	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

註：以上資料以109.12.31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. 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。

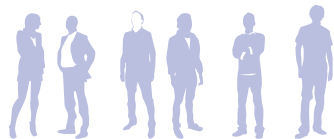
In order to effectively handle financial technology, information application, and information security issues, the CNFA revised its committee organization guidelines and set up a new committee, namely “E-Commerce Business Committee.”

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 Future 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"

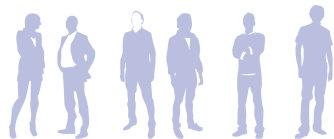
In order to enhance protection of personal information and information security, the CNFA particularly arranged this seminar this year, inviting experts from the Institution of Information Industry (III) to talk about new thinking of financial information security, in a bid to help CNFA member companies 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.

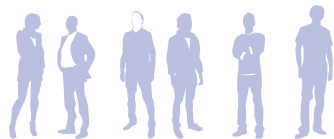


公平交易法規專題講座(11/27)

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

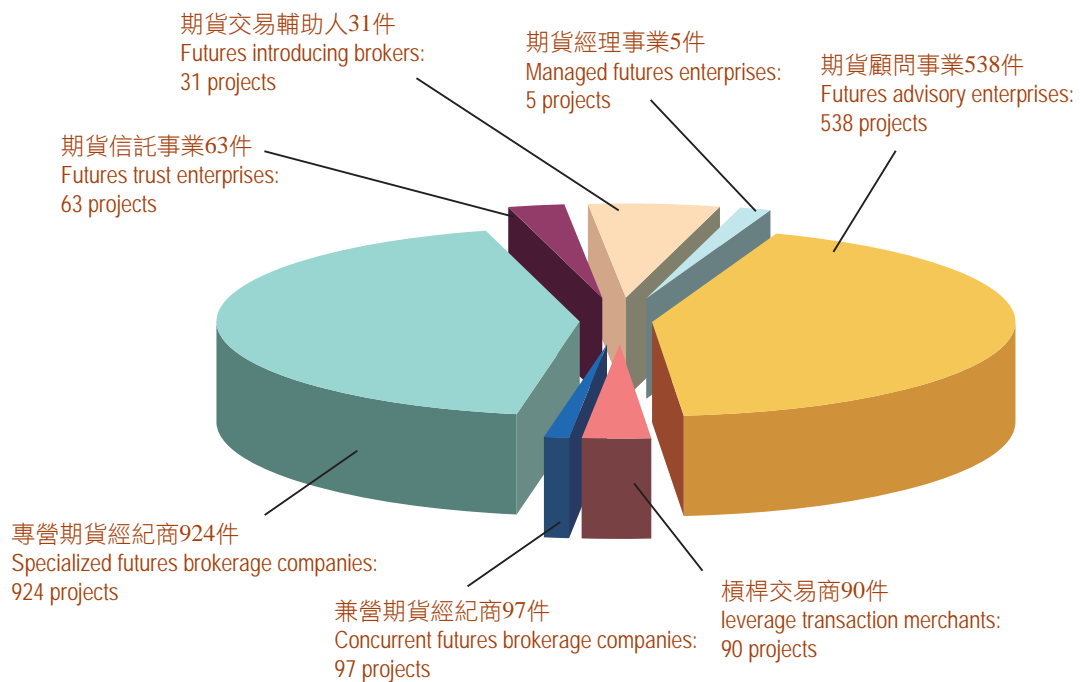
D. Inspection of advertisement and promotional materials of member companies

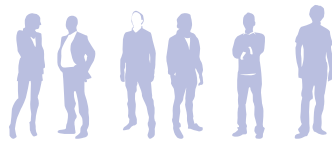
本公會109年度共計審核1,748件會員公司宣傳資料及廣告案件，就案件分析，專營期貨經紀商申報924件、兼營期貨經紀商申報97件、槓桿交易商申報90件、期貨顧問事業申報538件、期貨經理事業申報5件、期貨信託事業申報63件、期貨交易輔助人申報31件。

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



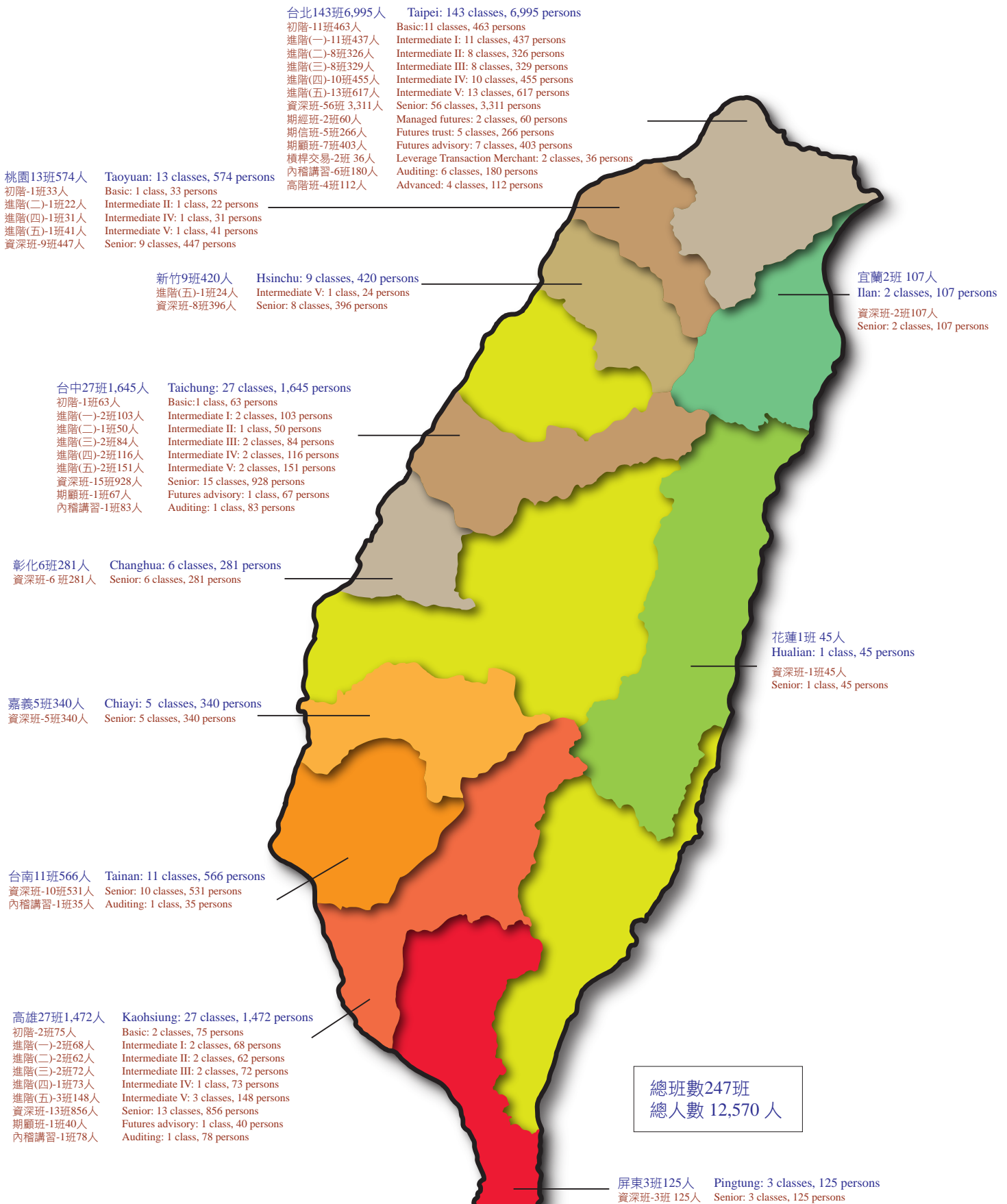


五、在職訓練

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

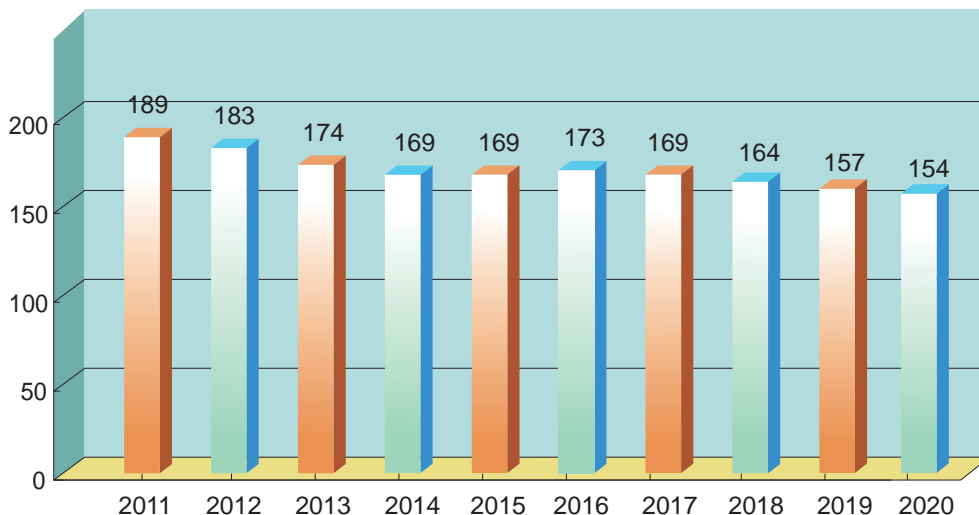
Registration of member companies and their business representatives

- 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.

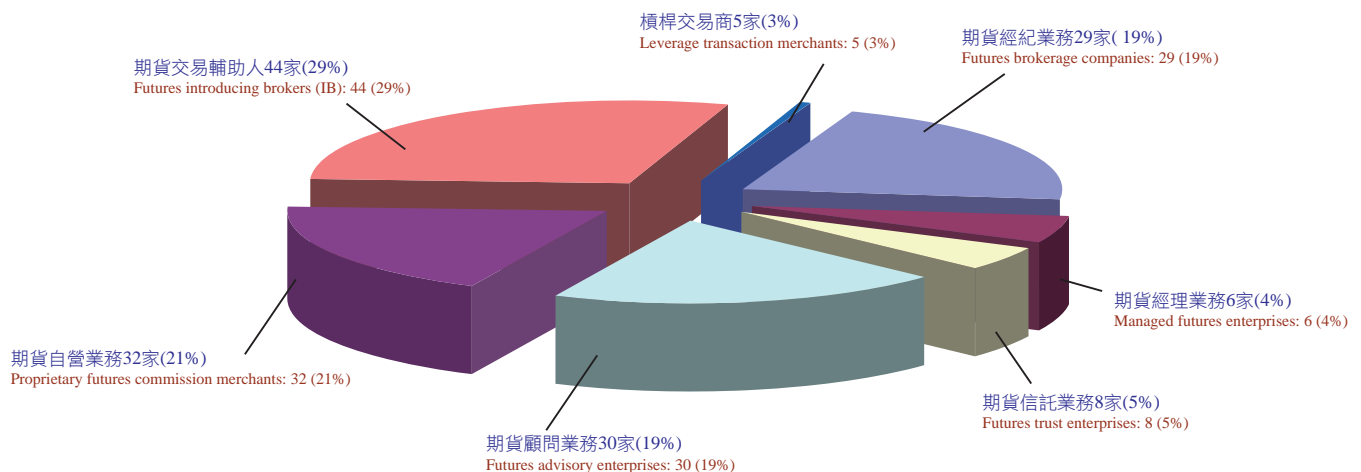
近10年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years

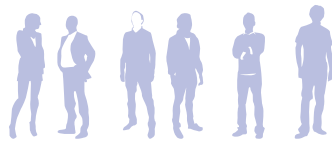


109年度會員類別統計圖

Statistics of CNFA Member Companies in 2020, by Business Category



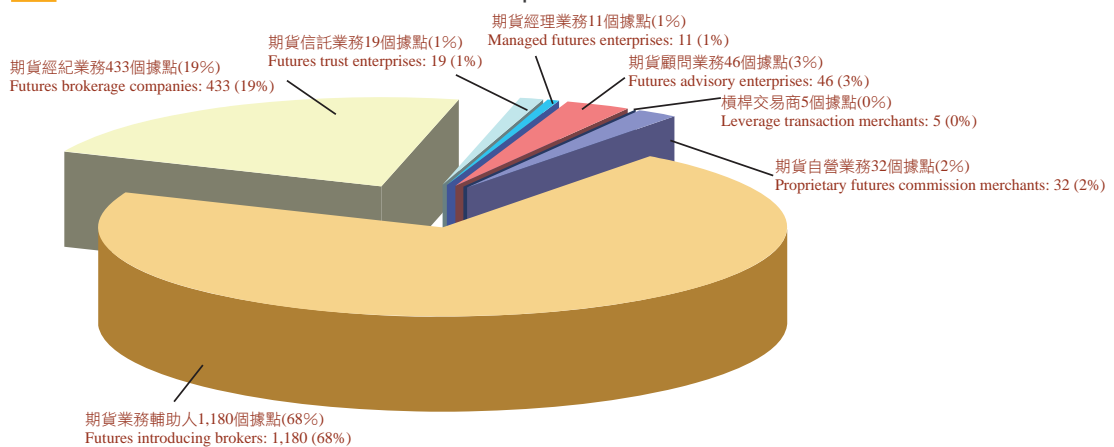
共計154家會員 資料統計截至109/12/31
A total of 154 member companies as of Dec. 31, 2020



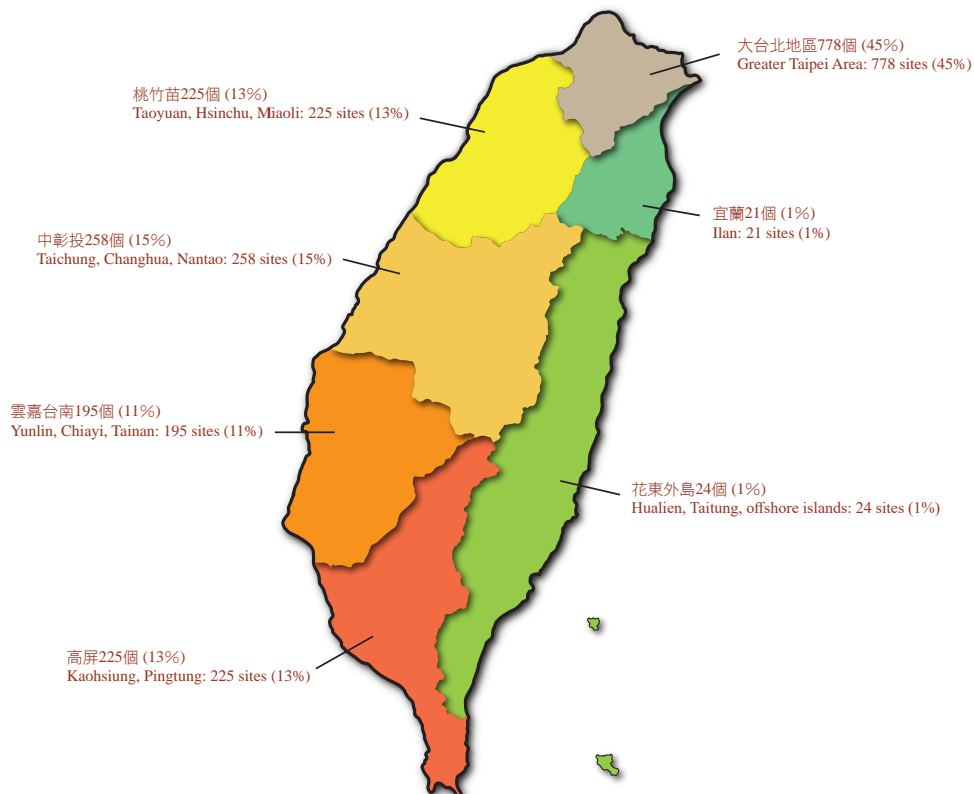
- 會員總分公司分支機構數：共計1,726家，其中經營期貨經紀業務為433個營業據點(25%)；期貨業務輔助人1,180個營業據點(68%)；期貨自營業務32個營業據點(2%)；期貨顧問業務46個營業據點(3%)；期貨經理業務11個營業據點(1%)；期貨信託業務19個營業據點(1%)；槓桿交易商5個營業據點(0%)。

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

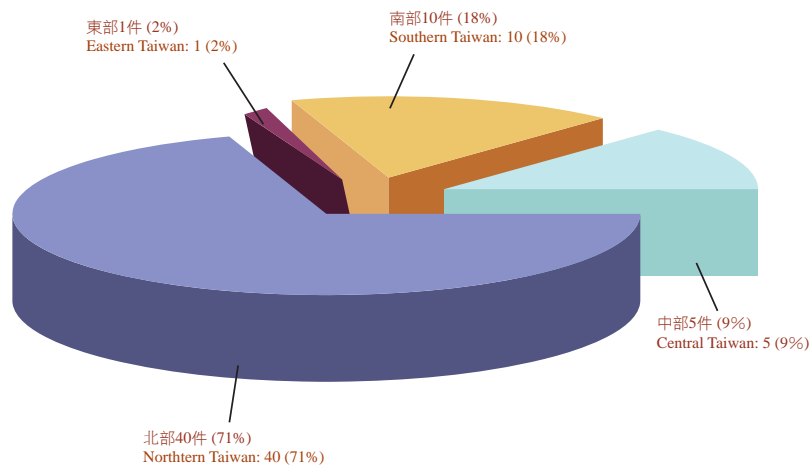


● 會員場地勘察 Business site inspection

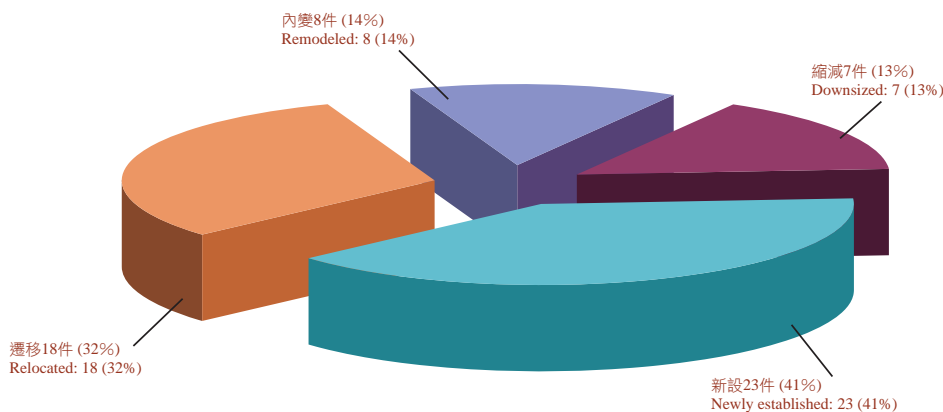
109年度共計56件場勘案(北部地區40件、中部地區5件、南部地區10件、東部地區1件)，就其場勘案件分析，新設營業處所23件、遷移營業處所18件、縮減營業處所7件、營業處所內部配置變動8件。

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



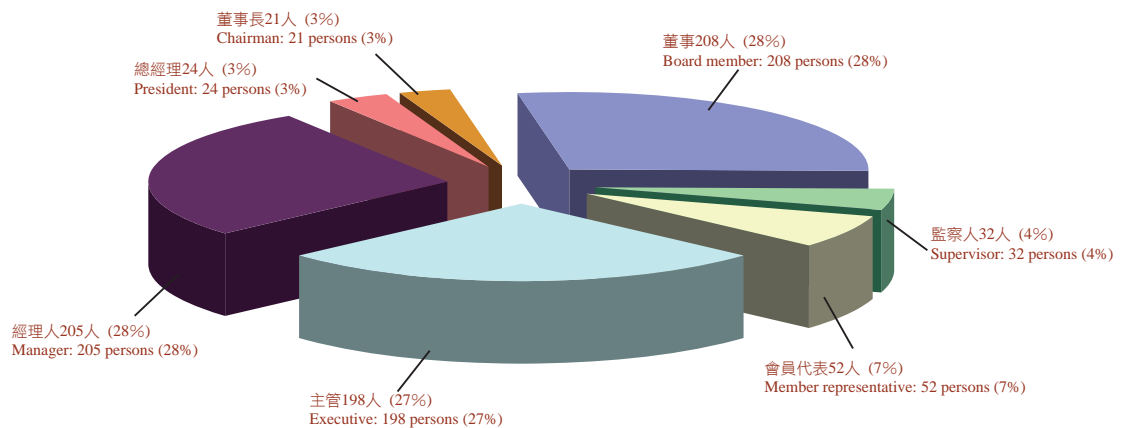


2. 會員委託證照之申請變更、換領及其他服務事項
Certificate renewal, change, and other related services

- 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.

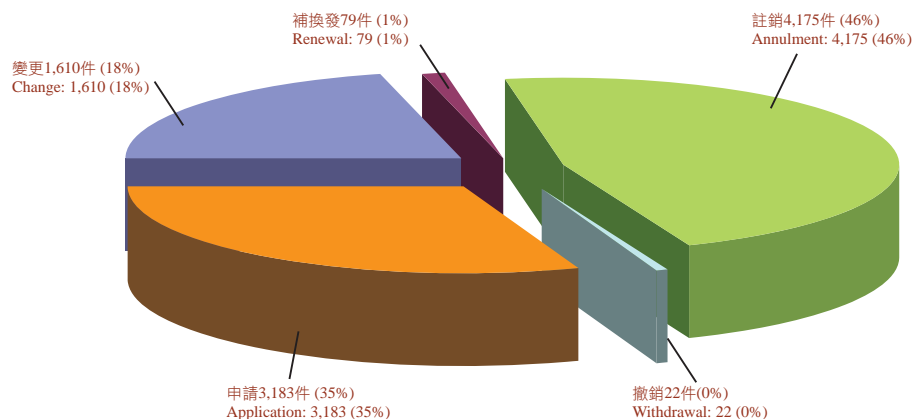
109年度身分類異動統計圖
Position Change Statistics for 2020



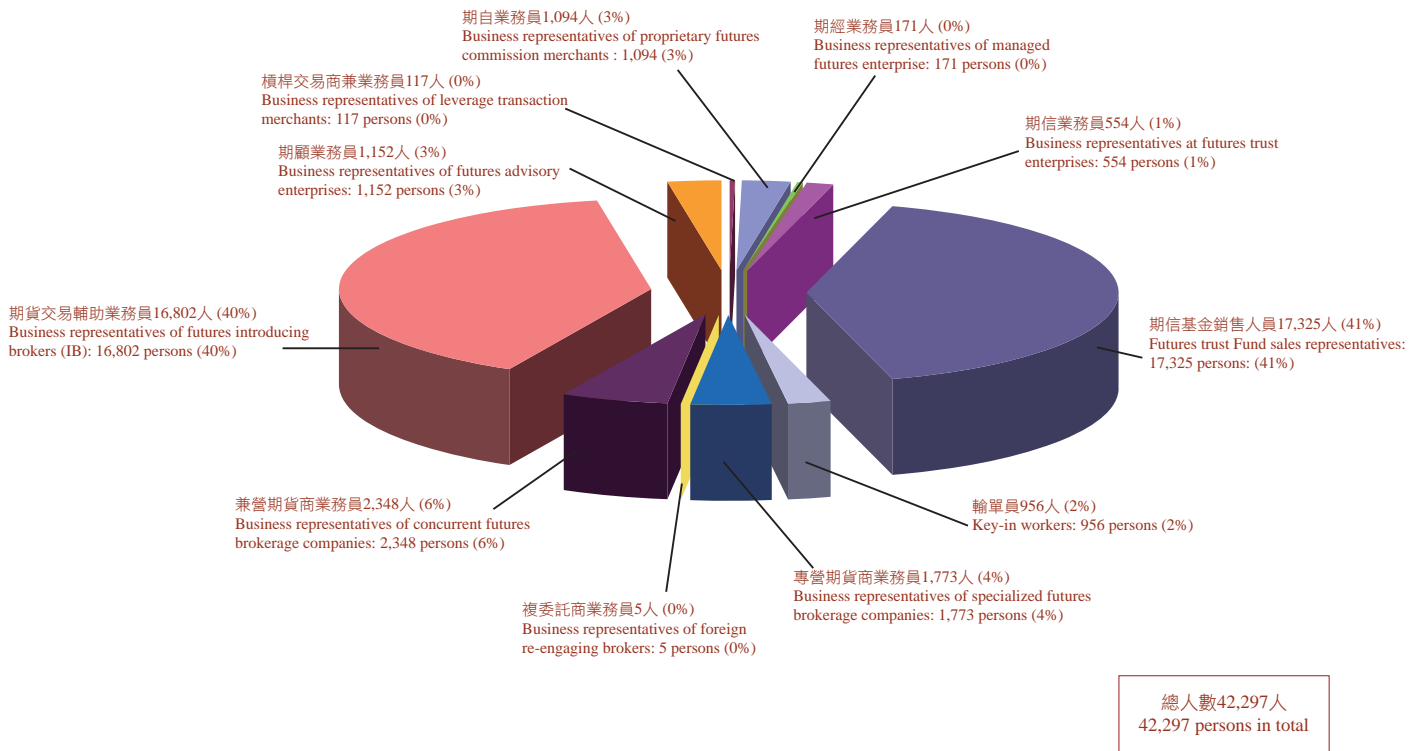
- 業務員、輸單員、銷售人員109年度於本公會異動登錄共計9,069件，每月平均756件

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





會計師查核報告

(110)財審報字第 20003435 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 109 年及 108 年 12 月 31 日之資產負債表及財產清冊，暨民國 109 年及 108 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 109 年及 108 年 12 月 31 日之財務狀況，暨民國 109 年及 108 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
110208 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 110208, 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 110 年 2 月 26 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, 2020 and 2019, 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, 2020 and 2019, 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 26, 2021

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. 26, 2021

We have audited the balance sheet and assets list of the Chinese National Futures Association (CNFA) as of the end of 2020 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, 2020 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



中華民國期貨業商業同業公會
 中華民國108年12月31日

資產	109年12月31日		108年12月31日		負債、基金及餘絀		109年12月31日		108年12月31日	
	金額	%	金額	%	金額	%	金額	%	金額	%
流動資產										
現金及銀行存款(附註五(一))	\$ 41,151,960	6	\$ 20,498,575	3	應付款項(附註五(八))		\$ 12,049,413	2	\$ 12,489,770	2
有價證券(附註五(二))	121,496,681	19	121,496,681	19	代收款		155,362	-	153,425	-
應收帳款(附註五(三))	4,043,850	1	2,631,146	-	暫收款		154,571	-	94,771	-
預付款項	320,765	-	1,351,134	-	流動負債合計		12,359,346	2	12,737,966	2
其他流動資產	-	-	450,000	-						
流動資產合計	167,013,256	26	146,427,536	22						
基金										
會務發展準備基金-專戶存款(附註五(四))	135,426,822	21	127,791,812	20	其他負債					
退撫準備基金-專戶存款(附註五(五))	35,095,277	5	32,540,123	5	存入保證金-自律基金		51,120,000	8	52,740,000	8
基金合計	170,522,099	26	160,331,935	25	負債總額		63,479,346	10	65,477,966	10
固定資產(附註五(六))										
土地	133,989,345	20	133,989,345	22	基金及餘絀					
房屋及建築	107,770,320	17	107,770,320	17	基金					
事務設備	15,488,984	2	18,234,873	3	會務發展準備基金		142,026,822	22	134,711,812	21
雜項設備	3,773,762	1	3,539,262	1	退撫準備基金		37,813,216	6	34,858,149	6
辦公設備	2,095,030	-	2,095,030	-	資產基金		263,117,441	40	265,628,830	42
固定資產合計	263,117,441	40	265,628,830	43	基金合計		442,957,479	68	435,198,791	69
其他資產										
有價證券(附註五(七))	219,950	-	219,950	-	餘絀					
存出保證金	57,300	-	57,300	-	累計餘絀		127,248,794	19	117,953,646	20
自律基金-專戶存款	52,740,000	8	55,260,000	10	本期餘絀		19,984,427	3	9,295,148	1
其他資產合計	53,017,250	8	55,537,250	10	餘絀合計		147,233,221	22	127,248,794	21
資產總計	\$ 653,670,046	100	\$ 627,925,551	100	基金及餘絀合計		590,190,700	90	562,447,585	90
					負債、基金及餘絀總計		\$ 653,670,046	100	\$ 627,925,551	100

後附會計報告附註為本會計報告之一部分，請併同參閱。



製表：



會計主管：



秘書長：



理事長：

CHINESE NATIONAL FUTURES ASSOCIATION
BALANCE SHEETS
YEARS ENDED DECEMBER 31

	2020		2019		2020		2019	
	Amount	%	Amount	%	Amount	%	Amount	%
ASSETS								
Current Assets								
Cash and bank deposit (notes5(1))	\$ 41,151,960	6	\$ 20,498,575	3	\$ 12,049,413	2	\$ 12,489,770	2
Securities (notes5(2))	121,496,681	19	121,496,681	19	155,362	-	153,425	-
Accounts receivable (notes5(3))	4,043,850	1	2,631,146	-	154,571	-	94,771	-
Prepayments	320,765	-	1,351,134	-	12,359,346	2	12,737,966	2
Other current assets	-	-	450,000	-	-	-	-	-
Total current assets	<u>167,013,256</u>	<u>26</u>	<u>146,427,536</u>	<u>22</u>				
Funds								
Development fund at special bank account (notes5(4))	135,426,822	21	127,791,812	20	51,120,000	8	52,740,000	8
Pension fund at special bank account (notes5(5))	35,095,277	5	32,540,123	5	63,479,346	10	65,477,966	10
Total funds	<u>170,522,099</u>	<u>26</u>	<u>160,331,935</u>	<u>25</u>				
Property, Plant and Equipment (notes5(6))								
Land	133,989,345	20	133,989,345	22	142,026,822	22	134,711,812	21
Buildings	107,770,320	17	107,770,320	17	37,813,216	6	34,858,149	6
Machinery and equipment	15,488,984	2	18,234,873	3	263,117,441	40	265,628,830	42
Miscellaneous property, plant, and equipment	3,773,762	1	3,539,262	1	442,957,479	68	435,198,791	69
Office equipment	2,095,030	-	2,095,030	-	-	-	-	-
Total property, plant and equipment	<u>263,117,441</u>	<u>40</u>	<u>265,628,830</u>	<u>43</u>				
Other Assets								
Securities (notes5(7))	219,950	-	219,950	-	127,248,794	19	117,953,646	20
Refundable deposits	57,300	-	57,300	-	19,884,427	3	9,295,148	1
Self-discipline fund at special bank account	52,740,000	8	55,260,000	10	147,233,221	22	127,248,794	21
Total other assets	<u>53,017,250</u>	<u>8</u>	<u>55,537,250</u>	<u>10</u>	<u>590,190,700</u>	<u>90</u>	<u>562,447,585</u>	<u>90</u>
TOTAL ASSETS	<u>\$ 653,670,046</u>	<u>100</u>	<u>\$ 627,925,551</u>	<u>100</u>	<u>\$ 653,670,046</u>	<u>100</u>	<u>\$ 627,925,551</u>	<u>100</u>
LIABILITIES, FUNDS AND SURPLUS								
Current Liabilities								
Accrued expenses (notes5(8))								
Receipts under custody								
Temporary receipts								
Total current liabilities								
Non-current Liabilities								
Refundable deposits received								
TOTAL LIABILITIES								
Funds And Accumulated Surplus								
Development fund								
Pension fund								
Fixed assets fund								
Total funds								
Surplus								
Accumulated surplus								
Surplus for the year								
Total surplus								
TOTAL FUNDS AND SURPLUS								
TOTAL LIABILITIES, FUNDS AND SURPLUS								

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


 中華民國期貨業商業同業公會
 民國109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	\$ 1,580,000	\$ 1,575,000	\$ 5,000	\$ -	
業務費收入(附註五(十))	103,590,194	146,991,000	-	(43,400,806)	註1
利息收入	1,278,386	1,300,000	-	(21,614)	
會員服務收入	14,633,214	15,134,000	-	(500,786)	註2
其他收入	48,960	-	48,960	-	
收入合計	<u>121,130,754</u>	<u>165,000,000</u>	<u>53,960</u>	<u>(43,923,206)</u>	
經費支出					
人事費	37,751,544	39,476,000	-	(1,724,456)	註3
辦公費	6,812,771	8,157,000	-	(1,344,229)	註4
業務費	38,337,270	94,013,000	-	(55,675,730)	註5
購置費	1,962,811	1,900,000	62,811	-	
團體會費	3,044,000	2,094,000	950,000	-	註6
什項支出	2,570,357	5,360,000	-	(2,789,643)	註7
預備金	-	3,300,000	-	(3,300,000)	註8
基金提存(附註五(十一))	<u>10,667,574</u>	<u>10,700,000</u>	-	(32,426)	
支出合計	<u>101,146,327</u>	<u>165,000,000</u>	<u>1,012,811</u>	<u>(64,866,484)</u>	
本期餘絀(稅前)	19,984,427	-	19,984,427	-	
所得稅費用(附註五(九))	-	-	-	-	
本期餘絀(稅後)	<u>\$ 19,984,427</u>	<u>\$ -</u>	<u>\$ 19,984,427</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7月起依結餘情況調整折扣數。
- 註2：會員服務收入減少，主係本年度在職訓練課程班次較預期減少。
- 註3：人事費減少，主係人員異動尚未補足，致決算數較預算數低。
- 註4：辦公費減少，主係因樽節辦公費用支出所致。
- 註5：業務費減少，主係預估之業務推廣活動未全數執行所致。
- 註6：團體會費增加，主係本期繳納金融法制暨犯罪防制中心入會費所致。
- 註7：什項支出減少，主係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：



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

(Expressed in New Taiwan Dollars)

	Notes	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
				Increase	Decrease	
Income						
Annual membership fees		\$ 1,580,000	\$ 1,575,000	\$ 5,000	\$ -	
Business promotion fees	5(10)	103,590,194	146,991,000	-	(43,400,806)	Note1
Interest income		1,278,386	1,300,000	-	(21,614)	
Membership service fees		14,633,214	15,134,000	-	(500,786)	Note2
Miscellaneous income		48,960	-	48,960	-	
Total income		<u>121,130,754</u>	<u>165,000,000</u>	<u>53,960</u>	<u>(43,923,206)</u>	
Expenditure						
Personnel expense		37,751,544	39,476,000	-	(1,724,456)	Note3
Administration expense		6,812,771	8,157,000	-	(1,344,229)	Note4
Business expense		38,337,270	94,013,000	-	(55,675,730)	Note5
Procurement expense		1,962,811	1,900,000	62,811	-	
Association activity fee		3,044,000	2,094,000	950,000	-	Note6
Miscellaneous items		2,570,357	5,360,000	-	(2,789,643)	Note7
Reserve cash		-	3,300,000	-	(3,300,000)	Note8
Fund withdrawing	5(11)	10,667,574	10,700,000	-	(32,426)	
Total expenditure		<u>101,146,327</u>	<u>165,000,000</u>	<u>1,012,811</u>	<u>(64,866,484)</u>	
Surplus before income tax		19,984,427	-	19,984,427	-	
Income tax	5(9)	-	-	-	-	
Surplus for the year		<u>\$ 19,984,427</u>	<u>\$ -</u>	<u>\$ 19,984,427</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 July 2020.
- 2 : The Membership service fees decreased primarily because on-the-job training courses are lower than expected.
- 3 : The personnel expense decreased primarily because workforce vacancies have not been full in.
- 4 : Administration fee decreased mainly due to the cut in budget.
- 5 : Business activity fees decreased because the proposed business promotion activities haven't been completely implemented in 2020.
- 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".
- 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.

日期 Date	項目 Event
1/13	第6屆防制洗錢暨法遵委員會第2次會議 The 2 nd meeting of the 6 th AML & Law Compliance Committee
1/13	公平待客原則分享會 Experience-sharing seminar on “Fair Dealing Policy”
1/14	108年度歲末聯誼活動 2019 year-end gala dinner
1/14	「研議交易人交易額度核給評估作業」第2次專案會議 The 2 nd special project meeting on “Guidelines for assessing trading quotas of futures traders.”
1/16	第6屆信託業務委員會第3次會議 The 3 rd meeting of the 6 th Futures Trust Committee
2/4	第6屆經紀業務委員會第3次會議 The 3 rd meeting of the 6 th Futures Brokerage Committee
2/6	第6屆財務委員會第3次會議 The 3 rd meeting of the 6 th Financial Committee
2/21	第6屆理監事第4次聯席會議 The 4 th joint meeting of the 6 th board of Executive Directors and Supervisors
2/25	「期貨業未來發展與就業機會」校園巡迴講座-講師座談會 “Futures Market Outlook and Job Opportunities” campus lecture tour—workshop of lecturers
2/27	「研議交易人交易額度核給評估作業」第3次專案會議 The 3 rd special project meeting on “Guidelines for assessing trading quotas of futures traders.”
3/10	「期貨業未來發展與就業機會」校園巡迴講座-僑光科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—Overseas Chinese University
3/18	「期貨業未來發展與就業機會」校園巡迴講座-聯合大學 “Market Outlooks and Job Opportunities of Futures Industry” campus lecture tour—National United University
3/20	司法學院第66期準司法官來訪 Visit of 66 th -session quasi-judiciaries from Academy for the Judiciary
3/24	第6屆防制洗錢暨法遵委員會第3次會議 The 3 rd meeting of the 6 th AML & Law Compliance Committee
3/24	「期貨業未來發展與就業機會」校園巡迴講座-中華大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Chung Hua University
3/25	第6屆紀律委員會第3次會議 The 3 rd meeting of the 6 th Discipline Committee
3/26	「期貨業未來發展與就業機會」校園巡迴講座-銘傳大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Ming Chuan University

日期 Date	項目 Event
3/27	「期貨業未來發展與就業機會」校園巡迴講座-中正大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Chung Cheng University
3/31	第6屆經紀業務委員會第4次會議 The 4 th meeting of the 6 th Futures Brokerage Committee
4/8	「期貨業未來發展與就業機會」校園巡迴講座-南華大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Nanhua University
4/15	「期貨業未來發展與就業機會」校園巡迴講座-輔仁大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Fu Jen Catholic University
4/15	「期貨業未來發展與就業機會」校園巡迴講座-長榮大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Chang Jung Christian University
4/17	第6屆理監事第5次聯席會議 The 5 th joint meeting of the 6 th board of Executive Directors and Supervisors
4/21	「期貨業未來發展與就業機會」校園巡迴講座-淡江大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Tamkang University
4/24	「期貨業未來發展與就業機會」校園巡迴講座-宜蘭大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Ilan University
4/27	ANC專案小組第1次會議 The 1 st meeting of ANC Project Group
4/28	期貨ETF風險管理研討會 Risk control seminar for ETF futures
4/29	「期貨業未來發展與就業機會」校園巡迴講座-朝陽科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—Chaoyang University of Technology
5/1	109年度證券期貨盃高爾夫球錦標賽聯誼活動 Securities & Futures Golf Championship 2020
5/4	「期貨業未來發展與就業機會」校園巡迴講座-實踐大學(高雄) “Futures Market Outlook and Job Opportunities” campus lecture tour—Shih Chien University (Kaohsiung campus)
5/6	「期貨業未來發展與就業機會」校園巡迴講座-真理大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Aletheia University
5/7	「期貨業未來發展與就業機會」校園巡迴講座-環球科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—TransWorld University



日期 Date	項目 Event
5/8	「期貨業未來發展與就業機會」校園巡迴講座-雲林科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Yunlin University of Science & Technology
5/12	「期貨業未來發展與就業機會」校園巡迴講座-南台科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—Southern Taiwan University of Science & Technology
5/13	「期貨業未來發展與就業機會」校園巡迴講座-元智大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Yuan Ze University
5/14	「研議交易人交易額度核給評估作業專案會議」進度說明會 Seminar on proceeding of “Special Project of Guidelines for assessing trading quotas of futures traders”
5/18	「期貨業未來發展與就業機會」校園巡迴講座-中山大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Sun Yat-sen University
5/19	「期貨業未來發展與就業機會」校園巡迴講座-文化大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Chinese Culture University
5/20	ANC工作小組第1次會議 The 1 st meeting of ANC Working Group
5/21	「期貨業未來發展與就業機會」校園巡迴講座-台北商業大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Taipei University of Business
5/28	期貨信託基金風險管理會議 Risk-control meeting for futures trust funds
5/28	ANC工作小組第2次會議 The 2 nd meeting of ANC Working Group
6/4	ANC專案小組第2次會議 The 2 nd meeting of ANC Project Group
6/17	期貨信託基金風險控管委員暨信託業務委員聯席會議 Joint meeting of Futures Trust Fund Risk Control Committee and Futures Trust Committee
6/17	第6屆經紀業務委員會第5次會議 The 5 th meeting of the 6 th Futures Brokerage Committee
6/18	第6屆紀律委員會第4次會議 The 4 th meeting of the 6 th Discipline Committee
6/30	新思維的金融資安技術解析及案例說明會-台北場 Seminar on “New thinking on fintech security and case illustration” —Taipei
7/1	第6屆信託業務委員會第4次會議 The 4 th meeting of the 6 th Futures Trust Committee
7/2	新思維的金融資安技術解析及案例說明會-台中場 Seminar on “New thinking on fintech security and case illustration” —Taichung
7/7	新思維的金融資安技術解析及案例說明會-高雄場 Seminar on “New thinking on fintech security and case illustration” —Kaohsiung

日期 Date	項目 Event
7/10	第6屆理監事第6次聯席會議 The 6 th joint meeting of the 6 th board of Executive Directors and Supervisors
7/15	第6屆財務委員會第4次會議 The 4 th meeting of the 6 th Financial Committee
7/23	第6屆稽核委員會第2次會議 The 2 nd meeting of the 6 th Auditing Committee
7/24	2020 LME實務研討會-台北場 LME Practice Seminar 2020—Taipei
7/28	洗錢防制/打擊資恐 法令解析及案例說明會-台北場 Seminar on “AML/CTF Regulation Analysis and Case Illustration” —Taipei
7/31	2020 臺灣資本市場論壇 Taiwan Capital Market Forum 2020
7/31	第6屆第2次會員大會 The 2 nd General Assembly of the 6 th -session NAFA Members
8/3	第6屆防制洗錢暨法遵委員會第4次會議 The 4 th meeting of the 6 th AML & Law Compliance Committee
8/4	第6屆經紀業務委員會第6次會議 The 6 th meeting of 6 th Futures Brokerage Committee
8/4	第6屆經紀、顧問、經理、信託及槓桿交易業務委員會第1次聯席會議 The 1 st joint meeting of the 6 th -session Futures Brokerage, Futures Advisory, Managed Futures, and Leveraged-trading Committees
8/6	洗錢防制/打擊資恐 法令解析及案例說明會-台中場 Seminar on “AML/CTF Regulation Analysis and Case Illustration” —Taichung
8/6	第6屆槓桿交易業務委員會第2次會議 The 2 nd meeting of 6 th Leveraged-trading Committee
8/13	洗錢防制/打擊資恐 法令解析及案例說明會-高雄場 Seminar on “AML/CTF Regulation Analysis and Case Illustration” —Kaohsiung
8/20	裁罰案例研習課程 Course of Penalty Case Studies
8/21	第6屆理監事第7次聯席會議 The 7 th joint meeting of the 6 th board of Executive Directors and Supervisors
8/21	金融業企業誠信及法令遵循研討會 Conference on corporate Integrity and law compliance of financial institutions
8/28	「研商代為沖銷作業」-法務或法遵人員會議 “Discussion on making write-off on behalf of clients” —meeting of legal affairs and law compliance workers
9/1	「研商代為沖銷作業」-代為沖銷業務主管會議 “Discussion on making write-off on behalf of clients” —meeting of executives in charge of write-off business
9/7-9/10	理監事聯誼活動-第1梯 Friendship activity for executive directors and supervisors—the 1 st group
9/24	第6屆顧問業務委員會第2次會議 The 2 nd meeting of 6 th Futures Advisory Committee



日期 Date	項目 Event
9/25	第6屆自營業務委員會第2次會議 The 2 nd meeting of the 6 th Proprietary Futures Commission Merchant Committee
9/25	第6屆國際事務委員會第2次會議 The 2 nd meeting of the 6 th International Affairs Committee
9/25	校園金融講堂及期貨校園徵才活動-交通大學場 Campus activities of “Financial Podium” & futures talent recruitment—National Chiao Tung University
9/29	金融資安資訊分享與分析中心(F-ISAC)簡報會議 Meeting for sharing experience in fintech security management and briefing of F-ISAC
9/30	第6屆經紀業務委員會第7次會議 The 7 th meeting of the 6 th Futures Brokerage Committee
10/4-10/7	理監事聯誼活動-第2梯 Friendship activity for executive directors and supervisors—the second group
10/8	第6屆財務委員會第5次會議 The 5 th meeting of the 6 th Financial Committee
10/8	期貨商查核案例及缺失改善宣導說明會 Presentations on cases of “how to check operations of futures commission merchants and help them make improvement”
10/14	校園金融講堂及期貨校園徵才-中山大學場 Campus activities of “Financial Podium” & futures talent recruitment—National Sun Yat-sen University
10/16	第6屆理監事第8次聯席會議 The 8 th joint meeting of the 6 th Board of Executive Directors and Supervisors
10/17	「研商代為沖銷作業」-理監事專題研討會 “Discussion on making write-off on behalf of clients” —special project meeting of executive directors and supervisors
10/17-10/18	委員會聯誼活動-第1梯 Friendship activity for committee members—the 1 st group
10/19	「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」說明會 Seminar on “Financial consumer protection regulation explanation and latest development trend—focused on fair dealing policy”
10/24	2020年金融服務愛心公益嘉年華-屏東場 Financial Service and Charity Carnival 2020 (in Pintung)
10/30	2020台北國際期貨論壇 Taipei International Futures Forum 2020
10/31-11/1	委員會聯誼活動-第2梯 Friendship activity for committee members—the 2 nd group
11/7	從業人員登山健行聯誼活動 Friendship hiking activity for futures workers
11/13	第6屆防制洗錢暨法遵委員會第5次會議 The 5 th meeting of the 6 th AML & Law Compliance Committee
11/13	疑似洗錢態樣實務交流與分享會 Experience-sharing seminar on “Suspicious money laundry and AML practice”
11/18	「期貨市場採用BIS計提風險資本之可行性分析」期中報告 Mid-term report of research project on “Feasibility of applying BIS capital ratio to futures industry”

日期 Date	項目 Event
11/20	2020 LME實務研討會-高雄場 LME Practice Seminar 2020 --Kaohsiung
11/24	第6屆顧問業務委員會第3次會議 The 3 rd meeting of the 6 th Futures Advisory Committee
11/24	數位身分識別證教育訓練 New eID training course
11/25	第6屆紀律委員會第5次會議 The 5 th meeting of the 6 th Discipline Committee
11/26	第6屆信託業務委員會第5次會議 The 5 th meeting of the 6 th Futures Trust Committee
11/27	第6屆兩岸事務委員會第2次會議 The 2 nd meeting of the 6 th Cross-straits Affairs Committee
11/27	公平交易法專題講座 Lecture on Fair Trade Act
11/27-11/29	2020台北·金融博覽會 2020 Taipei FinExpo
11/28	2020年金融服務愛心公益嘉年華-嘉義場 Financial Service and Charity Carnival 2020 (in Chiayi)
11/30	第6屆槓桿交易業務委員會第3次會議 The 3 rd meeting of the 6 th Leveraged-trading Committee
12/2-12/5	理監事自強活動-第1梯 Physical-training activity for executive directors and supervisors—the 1 st group
12/2	第6屆教育訓練委員會第2次會議 The 2 nd meeting of the 6 th Education & Training Committee
12/3	組合及拆解內控作業座談會 Workshop on combination and splitting of internal control operations
12/4	第6屆稽核委員會第3次會議 The 3 rd meeting of the 6 th Auditing Committee
12/6-12/9	理監事自強活動-第2梯 Physical-training activity for executive directors and supervisors—the 2 nd group
12/7	API 開發訓練課程 Training course on API exploration
12/8	第6屆財務委員會第6次會議 The 6 th meeting of the 6 th Financial Committee
12/10	第6屆經紀業務委員會第8次會議 The 8 th meeting of the 6 th Future Brokerage Committee
12/11	第6屆自營業務委員會第3次會議 The 3 th meeting of the 6 th Proprietary Future Commission Merchant Committee
12/18	第6屆理監事第9次聯席會議 The 9 th joint meeting of the 6 th board of Executive Directors and Supervisors
12/30	「研商代為沖銷作業」-風控主管會議 “Discussion on making write-off on behalf of clients” —meeting of risk-control executives

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

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
F001	國泰期貨股份有限公司 Cathay Futures Corp.	106台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23269899	02-27332198	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	02-23894226	http://www.spf.com.tw
F004	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市重慶南路1段2號6樓 6F., 2, Sec. 1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
F005	國票期貨股份有限公司 Waterland Futures Co., Ltd	105台北市南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., Taipei 105, Taiwan	02-27683998	02-25287576	http://www.wlf.com.tw
F007	日盛期貨股份有限公司 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
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樓之7、8、9 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw/
F018	元富期貨股份有限公司 MasterLink Futures Corp.	110台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
F020	群益期貨股份有限公司 Capital Futures Corp.	106台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 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	02-25461625	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.3樓之1及21樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
F029	康和期貨股份有限公司 Concord Futures Corp.	105台北市復興北路143號5樓、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, Tung-men St., Panchiao, Taipei 220, Taiwan	02-29601066	02-29657707	http://www.dcnf.com.tw/
R201	美商愛德盟期貨經紀股份有限公司 台灣分公司 ADM Investor Services, Inc. Taiwan Branch	105台北市南京東路4段161號3樓 3F., 161, Sec.4, Nanking E. Rd., Taipei 105, Taiwan	02-27137590	02-27137648	http://www.admis.com
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
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.	220新北市板橋區新站路16號13、14樓 14F., No. 16-13, Xinshan Rd., Banqiao Dist., New Taipei City 220, Taiwan	02-23618600	02-23811061	http://www.osc.com.tw
S526	大慶證券股份有限公司 Ta Ching Securities Co., Ltd.	104台北市民生東路2段176號4樓 4F., 176, Sec.2, Ming Sheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.tcstock.com.tw/

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, Taiwan	02-66392000	02-55813881	http://www.ctbsec.com/
S815	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	104台北市中山北路2段44號2樓 2F., 44, Sec. 2, Zhongshan N. Rd., Taipei 104, Taiwan	02-21815888	02-25232016	http://www.tssco.com.tw/
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110台北市信義路5段106號3樓部分 3F, 106, Sec.5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27252275	http://www.jpmorgan.com
S856	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.	100台北市重慶南路1段66之1號5樓 5F, 66-1, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23118181	02-23714293	http://www.skis.com.tw/
S884	玉山綜合證券股份有限公司 E. Sun Securities Co., Ltd.	105台北市松山區民生東路3段156號2樓 2F., 156 Sec 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27186613	http://www.esunsec.com.tw
B091	群益金鼎證券股份有限公司 Capital Securities Corp.	110台北市松山區民生東路3段156號14樓之3 14F.-3, No. 156, Sec. 3, Minsheng E. Rd., Songshan Dist., Taipei City 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.entrust.com.tw
B096	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市大安區仁愛路四段258號10樓 10F., No.258, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei City	02-87716888	02-87716795	http://www.fubon.com/
B098	元大證券股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號13樓 13F., 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
B09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路1段2號7樓 7F., 2 Sec.1, Chung Ching S.Rd. Taipei 100 Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
B102	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市大安區忠孝東路4段325號2樓 2F., 325 Sec.4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27319987	02-27754202	http://www.tcb-bank.com.tw/
B103	臺灣土地銀行股份有限公司 Land Bank Co., Ltd.	100台北市延平南路81號 81, Yen Ping S.Rd., Taipei 100, Taiwan	02-23483978	02-23891864	http://www.landbank.com.tw
B104	臺銀綜合證券股份有限公司 Bank Taiwan Securities Co., Ltd.	100台北市重慶南路1段58號4樓 4F., 58, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23882188	02-23822045	http://www.twfsc.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/
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 台中市區民族路45號1樓 1F., 45, Minzu Rd., Central Dist., Taichung 400, Taiwan	02-23969955	02-23210502	http://www.tcbbank.com.tw/
B621	新百王證券股份有限公司 New Hundred King Securities Co., Ltd.	801高雄市中華三路11號B1 B1, 11, Chunghua 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	http://www.nhks.com.tw/
B638	光和證券股份有限公司 Kuanzho Securities Corp.	521彰化縣北斗鎮光復路166號3樓 3F., 166, Kwangfu Rd., Pie-Tou Cheng, Changhwa 521, Taiwan	04-8886500	04-8886626	http://www.kuanzho.com.tw/
B645	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.	330桃園市縣府路82號1樓 1F., 82, Hsien Fu Rd., Taoyuan 330, Taiwan	03-3352155	03-3350711	http://www.yucn.com.tw/
B646	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	220 新北市板橋區東門街30之2號2樓 2F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29689685	02-29676069	http://www.dcn.com.tw
B648	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,4樓 3F., 317, Sec.3, San Ming Rd., Taoyuan 330, Taiwan	03-3353359	03-3345286	建置中
B691	德信綜合證券股份有限公司 Reliance Securities Co., Ltd.	100台北市新生南路1段50號3樓 3F., 50, Sec.1, Shin Sheng S. Rd., Taipei 100, Taiwan	02-23939988	02-23567722	http://www.rsc.com.tw
B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251新北市淡水區中正路63號5樓 5F., 63, Chung Chen Rd., Tanshui, Taipei 251, Taiwan	02-26251818	02-26251705	http://www.fushan-ewin.com.tw
B700	兆豐證券股份有限公司 Mega Securities Co., Ltd.	106台北市忠孝東路2段95號3樓 3F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-23278988	02-33932995	http://www.emega.com.tw/
B703	致和證券股份有限公司 Concord International Securities Co., Ltd.	704台南市西門路3段10號1樓 1F., 10, Shi-Men Rd., Sec.3, Tainan 704, Taiwan	06-2219777	06-2286324	http://www.wintan.com.tw/
B707	豐農證券股份有限公司 Feng Long Securities Co., Ltd.	420台中市豐原區水源路669號 669, Shuiyuan Rd., Fengyuan, Taichung 420, Taiwan	04-25281000	04-25253100	https://sprade.fenglong.com.tw/fenglong/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樓及6樓部分 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
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6樓部分、18樓部分、19樓部分、22樓部分 22F., 335, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 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	02-23894226	http://www.spf.com.tw
P002	兆豐證券股份有限公司 Mega Securities Co., Ltd.	100台北市忠孝東路2段95號3樓 3F., 95, Sec. 2, Chung Hsiao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-33227073	02-33933052	http://www.megasec.com.tw/
P003	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號B1 B1, 8, 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	02-25461625	http://www.yuanta.com

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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 MasterLink Futures Corp.	110台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
P020	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路700號9樓 9F., 700, Mingshui Rd., Taipei 104, Taiwan	02-21818888	02-85011852	http://etrade.kgi.com.tw/
P022	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市大安區仁愛路4段169號2樓 2F., 169, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei 106, Taiwan	02-27767819	02-27210783	http://www.fubon.com/
P024	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號2樓 2F., 8 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6樓部分、18樓部分、19樓部分、22樓部分 22F., 335, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 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 Futures Co., Ltd.	100台北市杭州南路1段19號12樓 12F., 19, Sec.1, Hangzhou S. Rd., Taipei 100, Taiwan	02-23570777	02-23578392	http://www.optiver.com
P039	第一金證券股份有限公司 First Securities Inc.	104台北市長安東路1段22號4樓 4F., 22, Sec. 1, Chang-an E. Rd., Taipei 104, Taiwan	02-25636262	02-25635713	http://www.flsi.com.tw
P042	中國信託商業銀行股份有限公司 Chinatrust Commercial Bank	115台北市南港區經貿二路168號5樓 5F., 168, Jingmao 2nd Rd., Nangang Dist., Taipei 115, Taiwan	02-27222002	02-87808867	http://hrbank.chinatrust.com.tw
P045	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	103台北市重慶北路3段199號地下1樓及6樓部分 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 Corp.	105台北市復興北路143號5樓、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, Ming Sheng E. Rd., Taipei Taiwan	02-55561313	02-27188913	http://www.esunsec.com.tw
P054	法銀巴黎證券股份有限公司 BNP Paribas Investment Partners	110台北市信義路五段72號7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	02-27332198	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、3樓之1及21樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
P057	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市忠孝東路4段325號6樓 6F., 325, Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27319987	02-27754202	http://www.tcb-bank.com.tw/
P058	台新綜合證券股份有限公司 Taishin Securities Co., Ltd	104台北市中山北路2段44號2樓 2F., 44, Sec. 2, Zhongshan N. Rd., Taipei 104, Taiwan	02-21815888	02-25232016	http://www.tssco.com.tw/

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)
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	02-23894226	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	02-25461625	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.jhsunfutures.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樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 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	02-27332198	http://www.onrich.com.tw
A008	康和期貨股份有限公司 Concord Futures Corp.	105台北市復興北路143號5樓、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.3樓之1及21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樓之7、8、9 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw/
A013	元富期貨股份有限公司 MasterLink Futures Corp.	110台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
A019	國票期貨股份有限公司 Waterland Futures Co., Ltd	105台北市松山區南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	http://www.wlf.com.tw
A020	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110台北市中正區忠孝東路2段95號2樓 2F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 110 Taiwan	02-23278895	02-23278879	http://www.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樓之4 5F-4., 7, Qingdao E.Rd., Taipei 100, Taiwan	02-23923988	02-77253896	http://www.hwashin.com.tw/
A034	承通證券投資顧問股份有限公司 Cheng-Tung Securities Investment Consulting Co., Ltd.	104台北市八德路2段260號6樓 6F., 260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27813900	02-27722813	http://27813900.com/
A036	永誠國際證券投資顧問股份有限公司 Yong Cheng Securities Investment Consultant	104台北市中山北路1段145號6樓 6F., 145, Sec.1, Jhongshan 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樓之1 6F-1., 156, Sec.3, Minsheng E. Rd., Songshan Dist., Taipei 105, Taiwan	02-55569913	02-25453313	http://www.esunsec.com.tw
A043	亞洲證券投資顧問股份有限公司 Asia securities investment advisory-inc.	105台北市松山區南京東路4段126號11樓A2 Rm. A2, 11F., 126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-25783777	02-25779495	http://www.asia-rich.com.tw/
A044	倫元證券投資顧問股份有限公司 E-invest Security Investment Consultant Co., Ltd.	100台北市中正區青島東路7號6樓 6F., 7, Qingdao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23219933	02-23927062	http://www.e-invest.com.tw/main/
A045	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220新北市板橋區東門街30之2號9樓之2 9F-2., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29601066	02-29657707	http://www.dcn.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)
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., Zhongshan Dist., 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樓之2 7F-2., 150, Fuxing N. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27171000	02-27150077	http://www.ks567.com.tw/ public/video_list.php
A050	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路4段236號3樓 3F, 236, Sec.4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw/
A051	君安證券投資顧問股份有限公司 Richers securities investment consulting co.ltd.	104台北市中山區松江路318號7樓 7, 318, Songjiang Rd., Zhongshan Dist., Taipei 104, Taiwan	02-77018898	02-77020599	http://www.richers.com.tw/
L001	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-25461625	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樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Taipei City 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/
L004	國泰期貨股份有限公司 Cathay Futures Corp.	106台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23269899	02-27332198	http://www.onrich.com.tw
L005	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,3樓之1及21樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
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	02-23894226	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,3樓之1及21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樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
M028	元富期貨股份有限公司 MasterLink Futures Corp.	110台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
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、8樓及9樓 7F., 308, Sec.2, Bade Rd., Taipei, Taiwan	02-81616800	02-87728000	www.fhtrust.com.tw/
T003	國泰證券投資信託股份有限公司 Cathay Securities Investment Trust Co., Ltd.	106台北市大安區敦化南路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樓及225號6樓、6樓之1、6樓之2 11F., 219, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-27175555	02-27190951	http://www.yuantafunds.com/
T008	新光證券投資信託股份有限公司 Shin Kong Investment Trust Co., Ltd.	104台北市南京東路2段123號12樓 12F., 123, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25071123	02-25077600	http://www.skit.com.tw/
T010	統一證券投資信託股份有限公司 Uni-President Assets Management Corp.	105台北市東興路8號8樓 8F., 8 Dongsing Rd., Taipei 105, Taiwan	02-27478388	02-27478129	http://www.ezmoney.com.tw/
T011	永豐證券投資信託股份有限公司 Copyright by SinoPac Securities Investment Trust Co., Ltd.	100台北市博愛路17號13樓 13F., 17, Bo'ai Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23618110	02-23617069	http://site.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., No. 206, Sec. 3, Civic Blvd., Da'an Dist., Taipei City 106, Taiwan	02-21756969	02-25016939	http://www.jkoam.com/

註：以上資料截止日為109.12.31



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設計印刷 / 震大打字印刷有限公司

