

一、關於期貨交易法令協助推行

A. Implementation of futures-related regulations

增修定範本、規則、申報書表

Formulating contract templates, guidelines, and report formats

1. 配合期貨顧問事業舉辦講座說明會邀請來賓之應遵守準則，修正期貨顧問事業內部控制制度標準規範「相關作業程序，及「期貨顧問事業於傳播媒體從事營業活動自行審核與申報作業程序」。

In support of the guidelines for futures advisory enterprises in inviting guests to attend the lectures or seminars they hold, the CNFA revised related regulations stipulated in the “Guidelines for Internal Control Mechanism of Futures Advisory Enterprises” as well as the “Self-examination and Reporting Procedures for Futures Advisory Enterprises in Conducting Profitable Activities on Mass Media.”

2. 於「期貨商暨槓桿交易者疑似洗錢、資恐或武擴交易態樣」增訂「客戶在一定期間交易之累計虧損達一定程度，而與其受核交易額度顯不相當，且客戶無法說明其資金來源」之態樣。

As for the “Types of transaction behaviors suspiciously involved with money-laundering/terrorist-financing/military-expansion conducted by clients of futures brokerage companies or leveraged transaction merchants,” the CNFA added a new type: When the clients have suffered losses to a certain level which is far deviated from the level of their approved transaction amount and couldn’t clarify the resource of their capital.”

3. 修正本公會「期貨商開戶徵信作業管理自律規則」，(1)增訂交易人知識評估及交易額度核給作業。(2)增訂70歲以上之交易人無須提供250萬元以上財力證明、並修正滿70歲及日後滿70歲且有交易之既有客戶重新評估作業。

The CNFA made revisions to the “CNFA Self-discipline Rules for Futures Companies in Checking Credibility of New Trading Account Applicant”: First, it added the guidelines on assessing the trader’s knowledge and the procedures in determining the trader’s maximum transaction amount; Second, it added the requirement that those new traders aged 70 or above are not required to provide a financial statement of an assets amount worth at least NT\$2.5 million and, at the same time, revised the guidelines for reassessing the qualifications of the existing active clients who have turned or are going to turn 70.

4. 依主管機關指示，修正期貨ETF信託契約範本第3條、第25條、第27條及增訂期貨信託事業受益憑證事務處理規則第12條之1、期貨信託事業辦理期貨ETF分割及反分割之作業規範。

In accordance with competent authority’s instruction, the CNFA made amendments to Articles 3, 25, and 27 of ETF Trust Contract Template, as well as added provisions to Article 12-1 of Guidelines for Futures Trust Enterprises in Handling Beneficiary Matters, ”regarding split and reverse-split of ETF futures contracts.



5. 依主管機關指示，就期貨信託契約所定特殊情形，共同研議訂定啟動之標準作業流程，以及業者應配合明定相關之內部控制程序等，增訂「期貨信託事業運用期貨信託基金風險評量作業要點」第24條。

In accordance with competent authority's instruction regarding the special conditions stated in futures trust contracts, the CNFA discussed how to set forth the standard procedures for commencing operations and the internal control procedures applicable to the futures trust companies, and then added Article 24 to the "Guidelines for Assessing Risks Involved with Application of Futures Trust Funds by Futures Trust Enterprises."

6. 於本公會會員自律公約納入ESG責任投資相關內容，增訂期貨自營商及經紀商如有購買上市上櫃公司股票相關規劃，宜併予考量該公司落實公司治理之績效，以及是否善盡環境保護及社會責任。

As for the CNFA Self-discipline Rules for CNFA Member Companies, the CNFA included ESG (environment, social, governance) information to the requirements for responsible investment, adding that those proprietary futures commission merchants and brokerage companies which have planned to make stock investments should consider how to enhance the efficiency of corporate governance as well as how to well implement environment protection and social responsibilities.

7. 配合期交所開放期貨商可依交易人申請辦理同一交易人於同一期貨商不同交易帳戶間保證金撥轉乙案，訂定相關防範配套措施，研議修正本公會「期貨商暨期貨交易輔助人受理電話辦理保證金提領防範配套措施作業辦法」。

In support of the TAIFEX's policy that the futures company could allow a client to open multiple trading accounts at the same futures company and make transfer of deposit among these accounts, the CNFA proposed to make relevant regulations, revising the "CNFA Guidelines for Futures Brokerage Companies and Futures Introducing Brokers in Handling Client's Deposit Transfer or Withdrawal Request over Phone."

8. 為因應嚴重特殊傳染性肺炎(COVID-19)疫情變化，配合中央防疫中心調升防疫層級，訂定本公會期貨顧問事業、期貨經理事業及期貨信託事業因應流行疫情採取異地備援辦公或居家辦公作業指引。

In reaction to the changing COVID-19 pandemic situation, the CNFA supported the government's stricter pandemic control level, providing remote-work and back-up office guidelines for futures advisory enterprises, managed futures enterprises, and futures trust enterprises.

研議、建議事項 Proposals

1. 本公會於110年金融建言白皮書建議事項有：

(1) 開放多元化槓桿交易商品及銷售管道，促進槓桿交易業務發展：

- i. 鬆綁法規，開放更多元差價契約商品如連結外國指數、連結如大宗物資農產品、能源類或金屬類之差價契約等。
- ii. 開放期貨商及期貨交易輔助人（IB）受託買賣業務員得轉介客戶從事外匯保證金契約交易與差價契約交易，增加銷售管道。
- iii. 開放槓桿交易商代交易相對人結匯，提升作業效率。

(2) 開放期貨商轉投資子公司從事包括倉單買賣、倉單避險、倉單融資等商貿及風險管理服務業務。

The CNFA made following suggestions for Financial Whitepaper 2021:

1. To open diverse leveraged products and sales channels in order to boost leveraged transactions:

- i. To ease regulations and allow even more CFD (contract for difference) products such as those with underlying assets of foreign market index, agricultural commodity, product of energy or metal categories, and so on.
- ii. To allow brokers at futures brokerage company or futures IB to make referral of their clients to make foreign exchange margin trading or trade CFD, in a bid to create new sales channels.
- iii. To allow leverage trading merchants to make foreign exchange settlement on behalf of the traders in a bid to streamline settlement operations.

2. To allow futures companies to set up a trading company as subsidiary to do businesses of trading warehousing receipts, using warehousing receipts to hedge risks or get loans, as well as other trading-related businesses and risk management services.

2. 建議期交所取消期貨商及期貨交易輔助人(IB)營業場所外辦理開戶前置作業內部稽核人員應逐筆查核開戶作業之規定。

The CNFA suggested that the TAIFEX should remove the requirement that the internal auditing staff workers of futures brokerage companies or futures introducing brokers should check each item of the new trading applications filed outside their business sites.

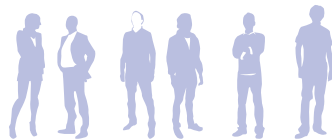
3. 基於證券及期貨之一致性管理，建議期交所修正期貨商、期貨交易輔助人內部人於營業處所使用網際網路委託必須使用內部網路之規定。

For consistency in management of securities investment and futures trading, the CNFA called on the TAIFEX to revise the regulation that the staff workers of futures brokerage companies or futures introducing brokers should use corporate's network system while handling clients' transaction orders at their business sites.

4. 為降低屬於期貨商內部人員之金融、證券業法人從事國外期貨自營交易資金過度集中之風險，建議主管機關「開放期貨商內部人員屬證券商，為從事國外期貨交易，得在非所屬期貨商開戶交易」。

In order to help those financial- or securities-related institutional investors of the futures companies reduce the risk of over centralizing their capital for trading foreign futures at one single trading account, the CNFA called on the competent authority to “allow them to open trading accounts at other futures brokerage companies for trading foreign futures.”

5. 為提升法人資金調度及帳戶風險控管便利性，建議期交所修正「期貨商設置出金系統受理期貨交易人提領保證作業」未約定以保管機構辦理保證金權利金收付之法人，得透過期貨商之網際網路系統辦理出金。



In order to make it even more convenient for institutional traders to allocate their fund and manage the risks involved with their trading accounts, the CNFA called on the TAIFEX to revise the “Procedures for Futures Companies in Handling Futures Trader’s Deposit Withdrawal,” stating that those institutional traders without accounts at the custodian banking institutions could make deposit withdrawal through the online system of their futures company.

- 建議期交所修正「期貨商於營業場所外辦理開戶前置作業應行注意事項」及「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」規定，開放期貨商及IB得於法人登記地址以外之營業處所辦理開戶前置作業。

The CNFA called on the TAIFEX to revise the “Guidelines for Pre-account Opening Procedures by Futures Commission Merchants outside Their Place of Business” and the “Guidelines for Pre-account Opening Procedures by FCM-appointed Introducing Brokers outside the Place of Business,” to allow futures brokerage companies and futures IB to handle new trading account applicants at an outside place rather than their registered business site.

- 建議期交所開放已開立期貨交易帳戶之期貨交易人得以電子交易憑證之電子化方式辦理新增、變更約定出入金銀行帳號作業。

The CNFA called on the TAIFEX to allow those futures traders which have already opened trading accounts to use their electronic trading certificate to open new bank account or change their bank account for futures trading.

- 建議期交所開放期貨商總、分公司間，或同一期貨交易輔助人各營業據點間得相互協助臨櫃受理交易人開戶資料變更申請。

The CNFA called on the TAIFEX to allow the headquarters office and brand offices of futures brokerage companies or futures IB to support each other in handling the in-person application for changing trader’s information.

- 為強化槓桿反向型期貨ETF投資人適合性，本公會依證交所來函協助提供「槓桿反向指數股票型期貨信託基金受益憑證交易檢核表」，俾便未來交易槓桿反向型期貨ETF投資人須完成測試，始得委託買賣槓桿反向型期貨ETF。

In order to ensure the qualification of traders in trading the leverage ETF or inverse ETF, the CNFA followed the TWSE’s instructions to provide the “Checklist of leverage and inverse ETF futures trust beneficiary certificate” which will be used to test leverage or inverse ETF trader’s qualifications. Traders won’t be qualified to trade such futures until passing the test.

- 主管機關來函交辦與投信投顧公會規劃強化指數股票型基金追加募集之公平配售作業之規範及配套措施。

The CNFA received a written instruction from the competent authority, which required the CNFA to work with the Securities Investment Trust and Consulting Association (SITCA) in strengthening the rules and packaged measures to ensure fair sales network for the increased issuance of ETF fund.

- 提供主管機關「期貨信託業事業管理規則」建議修正草案，建議期貨信託事業新增設置「風險管理」、「辦理其他經核准之業務」及「法令遵循」等職務，並配合修正業務部門範圍。

The CNFA provided the competent authority with a proposed amendment to the “Rules Governing Futures Trust Enterprises,” suggesting that futures trust enterprises should operate with the personnel in charge of “risk management,” “other approved businesses,” and “law compliance” and readjust their personnel structure in accordance with this amendment.

12. 為增加期貨商自有資金運用之靈活度及投資效益，建議主管機關開放專營期貨商運用自有資金得購買有投資其股份之事業所轉投資證券投資信託事業發行之證券投資信託基金。

In order to increase the freedom of futures company in using their own capital to make investment as well as to help them pursue higher investment returns, the CNFA called on the competent authority to allow specialized futures brokerage companies to use their own capital to purchase the securities investment funds issued by their affiliated securities investment enterprise.

13. 為強化期貨商資本及提升自身財務及營運上之風險承擔能力，建請主管機關發布期貨商管理規則第二十一條第一項第二款次順位公司債之具體發行相關規定。

In order to help futures companies enhance their capital structure as well as raise their risk-bearing capability, the CNFA called on the competent authority to publish rules on subordinated debt issuance as the second paragraph of Article 21.1 of the Rules Governing Futures Companies.

14. 目前各期貨經理事業財務報告，仍採傳統報紙方式公告，為顧及民眾查詢之便利性並簡化期貨經理事業作業流程，爰建請主管機關同意期貨經理事業簡明年度財務報告，得於臺灣期貨交易所網站公告。

While managed futures enterprises all still follow the traditional means to publish their financial reports on newspaper, the CNFA considered how to make it more convenient for the public to check their financial report as well as how to simply the means for managed futures enterprises to publish their financial reports. It has thus called on the competent authority to allow managed futures enterprises to publish their financial reports on the TAIEX website, starting from 2022.

15. 我國營業稅之本質為「行為稅」，係以銷售貨物或勞務之營業行為課稅，爰建請財政部同意經營期貨經理事業及期貨顧問事業相關收入，適用2%營業稅稅率規定，以維租稅公平。

In Taiwan, the business tax, also called sales tax, is the tax on behaviors, i.e., the tax is imposed on the business behaviors of selling goods or services. The CNFA called on the Ministry of Finance to make the business tax, set at 2%, applicable to managed futures enterprises and futures advisory enterprises for the sake of fair taxation.

16. 委託金融工程暨會計評價研究發展學會進行「期貨市場採用BIS計提風險資本之可行性分析」委外研究，並就研究報告所提ANC之修正意見請期交所納入「期貨商ANC專案小組」研議。

The CNFA commissioned the Financial Engineering & Accounting Assessment Research and Development Association to make research on “Feasibility of applying BIS capital ratio to futures industry” and then, based on its research, proposed ANC-related amendment to be discussed at the meeting of the TAIEX-organized “ANC Project Group.”

17. 為利期貨業國際業務之發展，委託元亨法律事務所進行「開放期貨商成立國際期貨業務分公司（OFU）」之研究。

In a bid to facilitate development of international futures business, the CNFA commissioned the LCC Partners Law Office to take on the research project on “Feasibility for futures companies to set up offshore futures units (OFU).”

18. 委託「財團法人金融法制暨犯罪防制中心」進行「地下期貨交易於司法實務之研究」，以防範地下期貨、維護交易人權益及協助期貨業長遠發展。

The CNFA commissioned the Institutions of Financial Law & Crime Prevention to conduct a research project on “Judicial practices on underground futures transactions,” in a bid to crack down illegal futures transactions, protect futures traders’ right, and secure the long-term stability of futures industry.



二、業務發展事項

B. Association activities

政令宣導 Policy Advocating

新思維的金融資安技術解析及案例說明會 (3/31、4/7、4/14)

本公會為協助會員落實執行金融資安行動方案，邀請財金資訊公司就重大資安事件分析及威脅趨勢預測、金融資安行動方案進行分享，於北中南各辦理乙場，近200位資訊安全主管及業務相關人員與會。

“New thinking on fintech security and case illustration” seminar

In order to help CNFA Member Companies carry out the financial information security action plan, the CNFA invited financial information companies to introduce this action plan as well as share their experiences of major information security events and analyze hidden threats and future trend. The seminars were held in northern, central, and southern Taiwan, respectively, attended by nearly 200 information security executives and related workers.

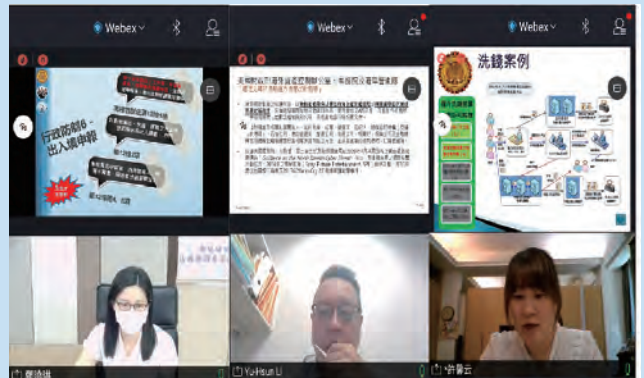


洗錢防制 / 打擊資恐 法令解析及案例說明會 (9/1、9/7、9/14)

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，並因應防疫需求，邀請檢調辦理4場線上直播說明會，說明相關法令規範、國際趨勢及實務工作，計530位洗錢防制專責主管及人員、督導主管、第一線執行業務之人員、法令遵循人員及內部稽核與會。

“AML/CTF Regulation Analysis and Case Illustration” seminar

In order to help CNFA Member Companies understand AML/CTF-related regulations and future development direction and in reaction to the demand for pandemic prevention, the CNFA invited prosecutors to give four online live lectures on the AML/CTF rules as well as international practices and trend, drawing a total of 530 participants including AML/CTF executives, supervisors, frontline workers, law compliance and internal auditing personnel.

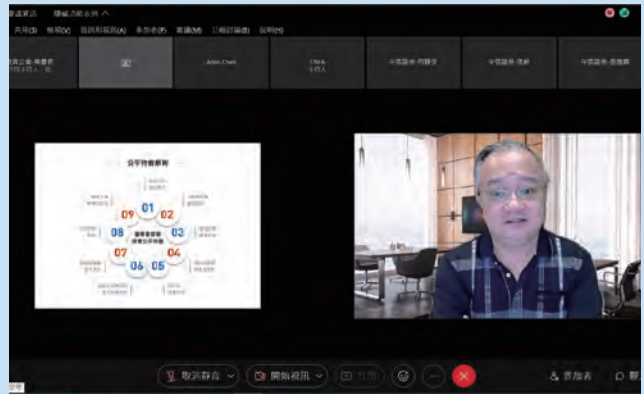


金融消費者保護法令解析與最新趨勢 - 以公平待客原則為中心 (10/13、10/19)

為強化金融消費者保護，提昇從業人員遵法及公平合理對待客戶之意識及專業知識，本公會特邀法學專家辦理線上直播課程；計264位營業單位經理人、一線人員及法令遵循、內部稽核等上線參與課程。

Seminar on “Financial consumer protection regulation and latest development trend—focused on fair dealing policy”

In order to strengthen protection of financial consumers as well as enhance staff workers’ awareness and professional knowledge about fair-dealing policy, the CNFA especially invited law scholars to give live lectures online, which were joined by 264 participants including division managers, frontline workers, law compliance and internal auditing personnel.



110年度裁罰案例研習課程（11/5、11/12）

於110年11月5日及12日分二班辦理受金融監督管理委員會裁罰公司從業人員訓練課程，邀請主管機關派員擔任講師，就相關法令及案例進行說明。

Course of Penalty Case Studies for 2021

On November 5 and 12, two training classes were offered for the employees from the FSC-penalized companies, inviting lecturers from competent authorities to speak on related regulations and make analysis on example cases.

社會服務 Social service

贊助110年度金融服務業教育公益基金

贊助由金管會指導，金融總會統籌辦理，各金融周邊、同業公會、控股公司及外商銀行，共同捐助成立「金融服務業教育公益基金」約新臺幣1億2仟萬元，其中1億元供發放教育獎助學金，110年提供獎助學金予1,535名學生，已於12月29日發放（每名5萬元），另2仟萬元供做辦理金融教育課程。為了讓學生不致因為經濟因素而中斷學業，讓學生有公平的受教機會，金融總會透過獎助學金發放，可讓學生有更寬廣的發展機會與空間。

贊助財團法人台北金融研究發展基金會「金鑽獎」活動（3/18）

為鼓勵基金市場上努力耕耘的業界精英、建立專業形象，並為廣大投資大眾檢視基金績效表現，本公會贊助第24屆「金鑽獎」除鼓勵基金從業人員的專業與努力，更希望透過關懷社會、順應趨勢，以提升投資大眾對基金、專業理財的認同。

“TFF-Bloomberg Best Fund Award” activity

In order to encourage elites of the mutual fund industry and establish professional images of the securities investment trust and advisory workers, and at the same time to examine the performance of the mutual funds in Taiwan, the CNFA sponsored the 24th “TFF-Bloomberg Best Fund Award” held by the Taipei Foundation of Finance (TFF). While encouraging fund workers to make efforts and pursue professionalism in this field, the award activity provides social care and acts in cope with the market trend to promote the public recognition on their efforts and professionalism.

成立證券期貨投資反詐騙諮詢專線，並於本公會網站建置「反詐騙」專區

為提供民眾反詐騙諮詢及加強宣導，本公會與券商公會、投信投顧公會共同研議設置證券期貨反詐騙諮詢專線，供民眾查詢合格業務員及公司是否為合法登記之證券、期貨及投信投顧業者；並於本公會網站建置「反詐騙」專區，提供相關宣導事項、會員澄清聲明管道及合法期貨業者資訊供交易者查詢。

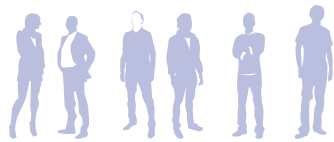
Setting up anti-scam service hotline for securities investors and futures traders; creating “Anti-Scam” area on CNFA website

In order to provide the public with anti-scam consulting services, the CNFA, Taiwan Securities Association (TSA) and Securities Investment Trust and Consulting Association (SITCA) jointly set up the anti-scam hotline, providing a channel for the public to inquire about legitimate securities firm, futures companies, securities investment trust enterprises, securities investment consulting enterprises, as well as legitimate sales agents. Meanwhile, the CNFA created the “Anti-Scam” area on its website which, while publishing scam-related information, makes a channel for CNFA Member Companies to make declarations and provides the information about operations of legitimate futures companies for futures traders to check out.

Charity educational fund for financial service industry in 2021

Proposed by the Taiwan Financial Services Roundtable (TFSR) under instruction of the FSC, with donation from financial-related industrial associations, holding companies, and foreign banks, the “charity educational fund for financial service industry” was founded with an initial capital of NT\$120 million, of which NT\$100 million is used to grant scholarship or financial subsidies. In 2021, a total of 1,535 students received the scholarship (granted on December 29; NT\$50,000 for each). The rest NT\$20 million is to be used for arranging financial training courses. In order to prevent interruption in student’s study at school due to economic problems as well as to provide students with fair education opportunities, the TFSR proposed the fund to provide students with even more opportunities and space for pursuing development in the future.





市場推廣活動 Market promotion activities

期貨商ANC專案小組會議 (3/19、8/27)

依資本市場藍圖規劃，與期交所及業者代表共同組成專案小組，蒐集國外主要期貨市場風險資本計提相關資料及研議ANC計算方式之建議方案。

Meeting of ANC Project Group

In accordance with the “Blueprint for Capital Market Development,” the CNFA, TAIEX, and representative futures companies jointly formed a project group to collect information about ANC (adjusted net capital) practices on major international futures markets as well as propose an ANC calculation formula for Taiwan’s futures market.

贊助辦理「2021臺灣資本市場論壇」(10/29)

為協助推動我國資本市場的發展，贊助自由時報於10月29日辦理之「2021臺灣資本市場論壇」，產官學以「政策對話」、「圓桌會議」方式提出觀點及建言，期能開創我國資本市場及數位金融發展與金融科技創新共榮的未來。

Sponsoring “Taiwan Capital Market Forum 2021”

In order to help promote development of Taiwan’s capital market, the CNFA sponsored the “Taiwan Capital Market Forum 2021” held by Liberty Times on October 29, where government officials, scholars, and industrial representatives discussed and raised suggestions through the forms of “Policy Dialogue” and “Roundtable Talks” during this forum, in a hope of pursuing a future of shared prosperity of the capital market, digital financial industry, and financial technology innovation in Taiwan.

「開放證券推動委員會～期貨小組會議」(11/24)

因應資本市場藍圖「推動證券期貨業之開放證券」政策目標，推派業者代表擔任集保「開放證券推動委員會」之委員，本公會成立「期貨小組」，並於11月24日召開「開放證券推動委員會～期貨小組會議」討論期貨業開放公開資料查詢之項目。

Meeting of futures group under “Securities Market Liberalization Commission”

In cope with the “securities & futures market liberalization” goal marked in the “Blueprint for Capital Market Development”, the CNFA designated representatives to join as members of the TDCC-organized “Securities Market Liberalization Commission” and meanwhile formed a futures group under this commission. The group held a meeting on November 24, discussing the items of futures-related information to be offered for the public to inquire about.

「交易人知識評估及交易額度核給作業」線上會議 (8/3)

因應期貨商徵信作業新制將於111年4月21日上線，為使業者充分瞭解新制爰於8月3日召開「交易人知識評估及交易額度核給作業」線上會議，並將業者所提問題，彙整為「開戶徵信期貨商作業QA」提供業者參考。

Online conference on “Assessment of trader’s knowledge & trading quota granting procedures”

In cope with the new credibility-checking system for futures companies, scheduled to become effective on April 21, 2022, the CNFA held an online conference on “Assessment of trader’s knowledge & trading quota granting procedures” on August 3, and then compiled the questions raised at this conference as “Guidelines for checking credibility of futures trading account applicants--Q&A” as reference of futures companies.

「個股期貨專案小組」會議 (11/23)

為利研議個股期貨風險控管及手續費議題，於11月23日召開「個股期貨專案小組」會議，邀請專、兼營期貨商推派代表參與，就相關議題進行討論，並彙整與會代表提出之建議提供主管機關及期交所參考。

Meeting of “Single Stock Futures” project group

To facilitate discussion of risk control and service fees for trading of single stock futures, the meeting of the “Single Stock Futures” project group was held on November 23, participated by representatives of both specialized and concurrent futures brokerage companies. They discussed related issues and compiled suggestions raised at this meeting as reference of the TAIEX and competent authorities.

110年金融建言白皮書

參與金融總會主辦之金融建言白皮書各項會議，提出開放多元化槓桿交易商品及銷售管道、開放期貨商轉投資子公司從事包括倉單買賣、倉單避險、倉單融資等商貿及風險管理服務業務之建言。

Financial Whitepaper 2021

The CNFA participated each meeting held by the Taiwan Financial Services Roundtable (TFSR) and raised suggestions for Financial Whitepaper 2021, such as opening diverse products and diverse sales channels for leveraged futures, allowing futures companies to set up subsidiaries engaged on the businesses of trading warehouse receipts, using warehouse receipts to hedge risks or raise funds, among other issues involved with international trade and risk management services.



「2021槓桿交易業務發展趨勢與展望研討會」
(5/6)

擴大店頭衍生性商品市場為期貨產業未來發展重要課題，本公會邀請店頭衍生性商品專家，針對我國與國際槓桿交易業務之現況與展望分享經驗，並有多位重量級學者及專家參與座談，共吸引學界及期貨業等百餘位來賓參與交流。

“Leveraged Trading Development and Prospect Conference 2021”

How to expand derivatives transaction on the OTC market is a key issue regarding the future development of Taiwan’s futures market. The CNFA invited derivatives experts to share their experience and make analysis on the status and prospect of both Taiwan and international leveraged transactions. This conference was joined by several heavyweight scholars and industrial leaders, drawing over 100 participants to join discussion and share viewpoints.

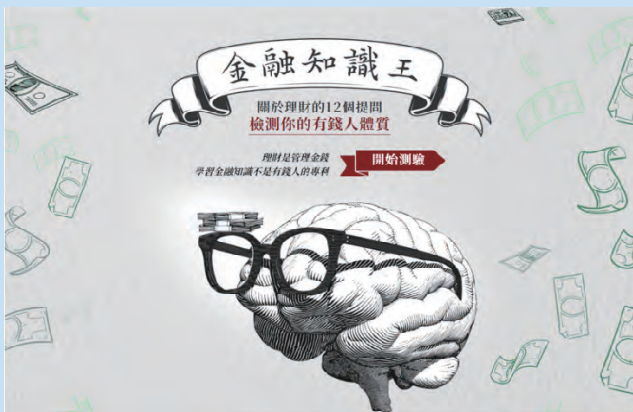


2021 LME線上實務研討會(10/8)

由本公會主辦、臺灣港務公司高雄分公司協辦的「2021 LME線上實務研討會」，安排業界專家現身說法，就交易規則、交割流程、倉儲作業及風險規避實務等議題分享經驗，並探討期貨商可扮演的角色及所面臨之挑戰，和與會嘉賓交流意見。共吸引230人參與交流。

Online LME Practice Seminar 2021

The LME seminar, organized by the CNFA with co-sponsor of Taiwan International Ports Corporation, Kaohsiung Office, invited industry leaders to share their experience on trading rules, settlement procedures, warehousing, risk-hedging, as well as other related issues. They also explored the possible roles and challenges of futures companies as well as made discussions and interactions with participants of this seminar with around 230 attendees.



金融知識王推廣活動(11/15~12/17)

與《風傳媒》合作辦理「金融知識王」活動，規劃線上互動測驗、相關報導與影音節目，對於投資理財有興趣的民眾，強化對金融商品的認知教育、體現普惠金融的意義及價值，參與人數28,433，專區宣傳總曝光大於360萬次。

“Financial Knowledge King” promotional campaign

The CNFA cooperated with “The Storm Media” in organizing the “Financial Knowledge King” campaign, providing online interactive tests, publishing reports, and taking videos. For those interested in financial management, this campaign strengthen their knowledge of financial products and understanding of the meaning and value of benefitting finance. This campaign was participated by 28,433 persons and the special promotion icon on the website was hit by 3.6 million times.



2021台北國際期貨論壇~後疫情時代期貨業未來發展趨勢與展望(11/26)

為使期貨業從業人員了解後疫情時代期貨業未來發展趨勢與展望，本公會邀請臺灣期貨交易所及國際著名期貨交易所與國內外業者代表就未來趨勢及實務觀點進行分享，希望能藉此提升期貨業在後疫情時代服務實體經濟之效能，共吸引一百多位業界人士參與。

Taipei International Futures Forum 2021—prospect and development trend of futures industry in post-pandemic era

In order to help futures workers understand the development trend and prospect of futures industry in post-pandemic era, the CNFA invited experts from the TAIFEX and renowned international futures exchanges as well as representatives from both domestic and foreign futures companies to share their viewpoints, in a hope of enhancing the efficiency of futures industry in serving physical economic activities. This forum was joined by over 100 participants.



現今金融犯罪型態、防制與訴追研討會(12/24)

近期屢傳詐騙集團以LINE、社群媒體或簡訊誘騙民眾投資海內外股票，為打擊非法證券期貨犯罪，與券商公會共同委託金融法制暨犯罪防制中心舉辦研討會，邀請法官、檢察官及業者代表參加，以強化對非法證券期貨犯罪之防制與訴追。

Seminar on modern financial crime types, control, and impeachment

There were frequently reports about the scam gangs which, through LINE, social media, messenger or other channels, induced people to make investments on local or foreign stocks. In order to crack down such financial crimes, the CNFA and the TSA jointly commissioned the Institute of Financial Law and Crime Prevention to hold seminars, inviting judges, prosecutors, and industry representatives to discuss how to prevent securities and futures crimes as well as how to impeach the suspects.



金融科技與犯罪之防制研討座談會(12/28、29)

為防範非法網路交易平台，侵害消費者權益，與券商、投信投顧公會共同委託金融法制暨犯罪防制中心辦理研討會，邀請警政人士及業者代表參與，避免致投資人求償無門、嚴重損害金融穩定。

Seminar on financial technology and financial crime prevention

In order to prevent illegal online trading platforms from violating consumer rights, the CNFA joined the TSA and SITCA in commissioning the Institute of Financial Law and Crime Prevention to hold the seminars, inviting police officers and industry representatives to discuss how to prevent the losses of victim investors and reduce its impact on financial market stability.



2021「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16年，今年度配合防疫措施下完成20場、超過1,600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。

“Futures Market Development & Job Opportunities”—campus lecture tour 2021

In order to help students better understand the futures market as well as practices of various futures businesses so as to trigger their interests in joining the futures industry, the CNFA has arranged the campus lecture tours for 16 years. While coping with the government’s pandemic control policies in 2021, it successfully arranged 20 campus lectures, participated by over 1,600 students. The CNFA was especially grateful to the hosting universities whose supports were very helpful to secure smooth operations of these campus activities.



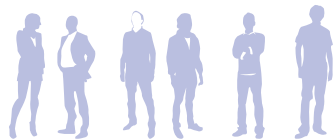
校園金融講堂及期貨校園徵才活動 (11/5、12/9)

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。

“Financial Podium” and talent-recruiting activities on campus

In order to attract talented people to join the futures industry as a means to strengthen the momentum for industrial development, the CNFA joined the TAIFEX and the Economic Daily in holding the “Financial Podium” and talent-recruiting activities on campus, inviting futures companies to run booths to recruit talents and take the opportunities to promote the concepts of legitimate futures.





聯誼活動 Friendship activities



2021年證券期貨盃高爾夫球錦標賽聯誼活動 (5/1)

由本公會與證交所、期交所、集保結算所、櫃買中心、券商公會及投信投顧公會7大單位共同辦理「110年度證券期貨盃高爾夫球錦標賽」於5月1日（星期六）假揚昇高爾夫球場舉行，以加強金融業界之交流聯誼。

Securities & Futures Golf Championship for 2021

The Securities & Futures Golf Championship, co-organized by the seven major securities and futures associations or institutes, the TWSE, TAIEX, TDCC, TPEX, TSA, SITCA, and CNFA, was held at the Sunrise Gold & Country Club on May 1 (Saturday), a social activity to strengthen friendship among securities and futures workers.



理監事聯誼活動(9/12~9/14、10/26~10/28、10/20~10/23)

110年理監事海外聯誼活動更改為國內聯誼活動，分三梯次舉辦，南投2團及澎湖1團，共有24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。

Social activities for executive directors and supervisors

In 2021, the overseas trips were changed to be domestic social activities, held in three separate trips for three groups—two trips to Nantao and one trip to Penhu Island, participated by 24 executive directors and supervisors in total. Through the social activities, the executive directors and supervisors could relax themselves from busy work and took the opportunities to learn from each other, make interactions, strengthen friendship, and consolidate the centripetal force of futures workers.



委員會聯誼活動(11/5~11/6、12/4~12/5)

110年度委員會聯誼活動於11月5日~11月6日及12月4日~12月5日分二梯次舉辦委員會聯誼活動，本年度擇定「情定巧克力、谷關溫泉泡湯、冬戀葡萄品酒趣」二日休閒之旅，參予本次活動之委員、眷屬及會務人員共71位。

Social activity for committee members

The social activity organized for committee members in 2021 was a 2-day trip covering the tourist destinations of "Chocolate Romance," "Guguan Hot Spring," "Grape Wine Farmland." It's participated by a total of 71 committee members as well as their family members and CNFA staff workers.



理監事自強活動(11/21~11/24、12/31~111/1/2)

110年理監事海外參訪活動更改為國內自強活動，分二梯次舉辦，第一梯次宜蘭團於11月21日至11月24日辦理完畢，第二梯次花蓮、宜蘭團於110年12月31日至111年1月2日辦理完畢，本次自強活動共有24位理監事參加。

Physical-training activity for executive directors and supervisors

Due to the COVID-19 pandemic, the annual overseas trips for executive directors and supervisors were changed to the physical-training activities in 2021. Participants were divided into two groups, visiting Ilan and Hualien, respectively. The two trips were joined by 24 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110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5項違規內容，發函要求改善者4件、核處警告者1件。

The CNFA made annual inspection on futures advisory enterprises and their practices of internal auditing. In 2021, among those breaking the "Self-discipline Agreement for CNFA Members," 5 cases were reported to the Discipline Committee, 4 were notified to make improvement by written letter, and 1 received the CAFA's warning notices.

2. 督促事項

Discipline matters

期貨顧問事業以外之會員公司因違反本公會自律規範，提報紀律委員會共8案，計8項違規內容，發函要求改善者8項。

Among other member companies which violated the "Self-discipline Agreement for CNFA Members" (except futures advisory enterprises), there were 8 cases reported to the Discipline Committee, 8 cases found to have violated the Agreement, and 8 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

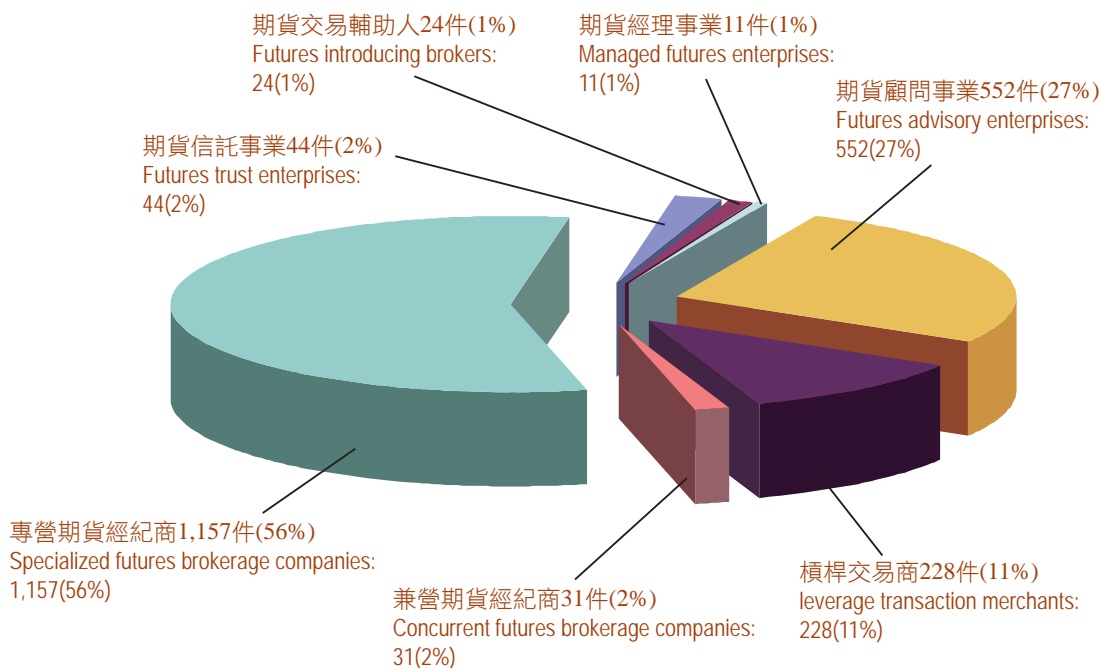
D. Inspection of advertisement and promotional materials of member companies

本公會110年度共計審核2,047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1,157件、兼營期貨經紀商申報31件、槓桿交易商申報228件、期貨顧問事業申報552件、期貨經理事業申報11件、期貨信託事業申報44件、期貨交易輔助人申報24件。

In 2021, the Association reviewed 2,047 projects of advertisement and promotional materials published by member companies. Among them, 1,157 projects were filed by the specialized futures brokerage companies, 31 by concurrent futures brokerage companies, 228 by leverage transaction merchants, 552 by futures advisory enterprises, 11 by managed futures enterprises, 44 by futures trust enterprises, and 24 by futures introducing brokers.

110年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2021

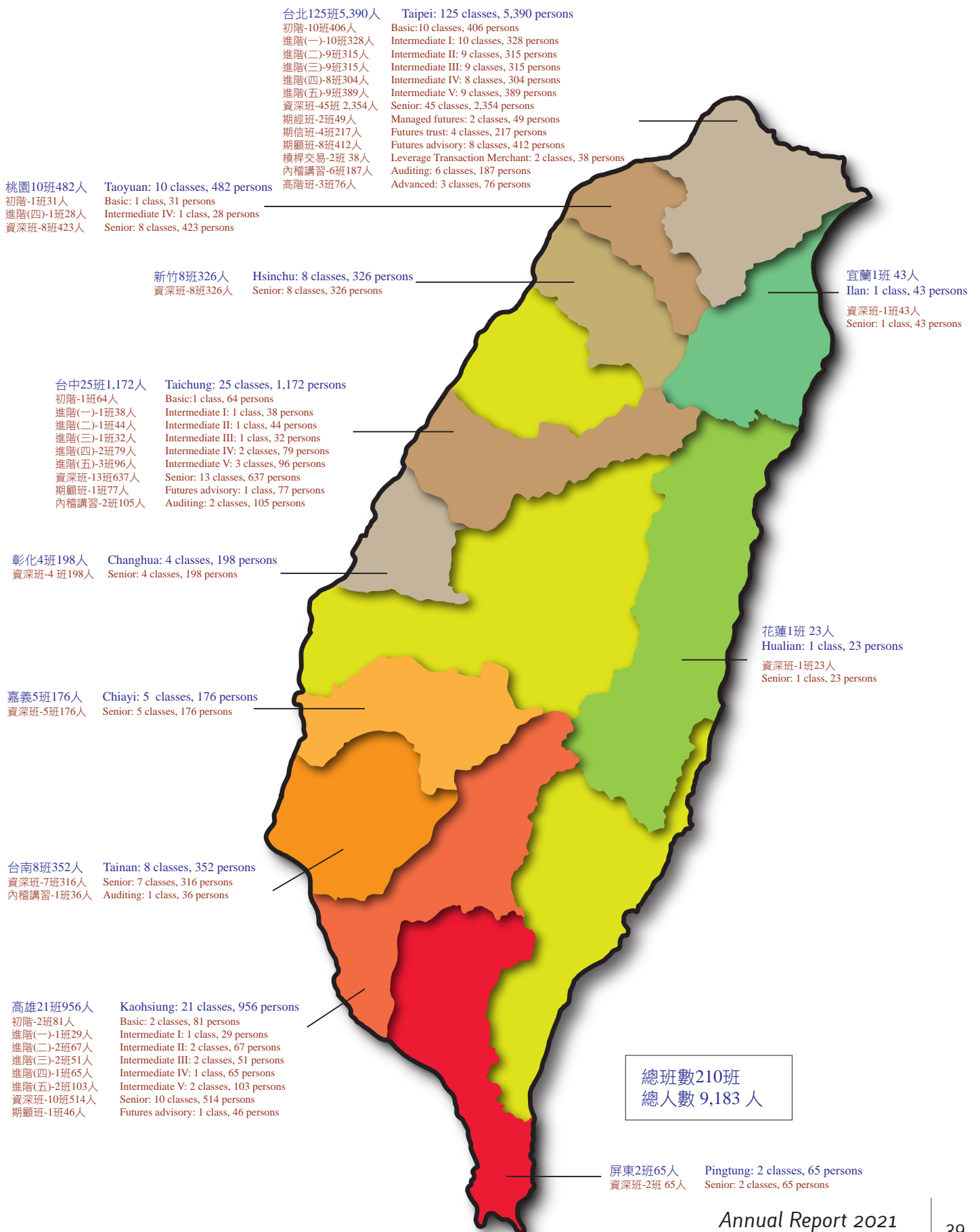


五、在職訓練

E. On-job training

110年度舉辦之地區別、班別及人數詳如下圖：

CNFA-arranged Training Courses in 2021



總班數210班
總人數 9,183 人



六、關於會員、會員代表、會員負責人及業務員基本資料之建立、登記事項

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

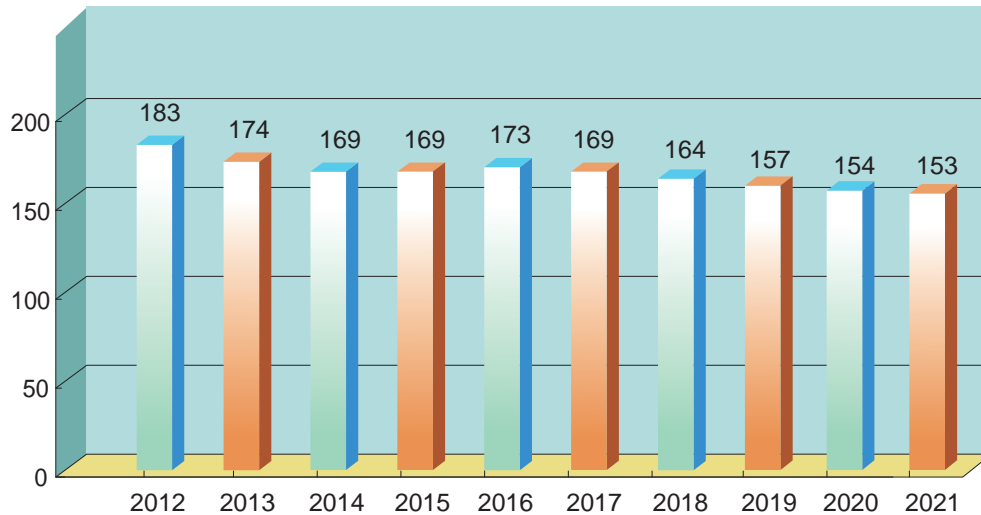
1. 會員及業務員基本資料之建立及登記事項

Registration of member companies and their business representatives

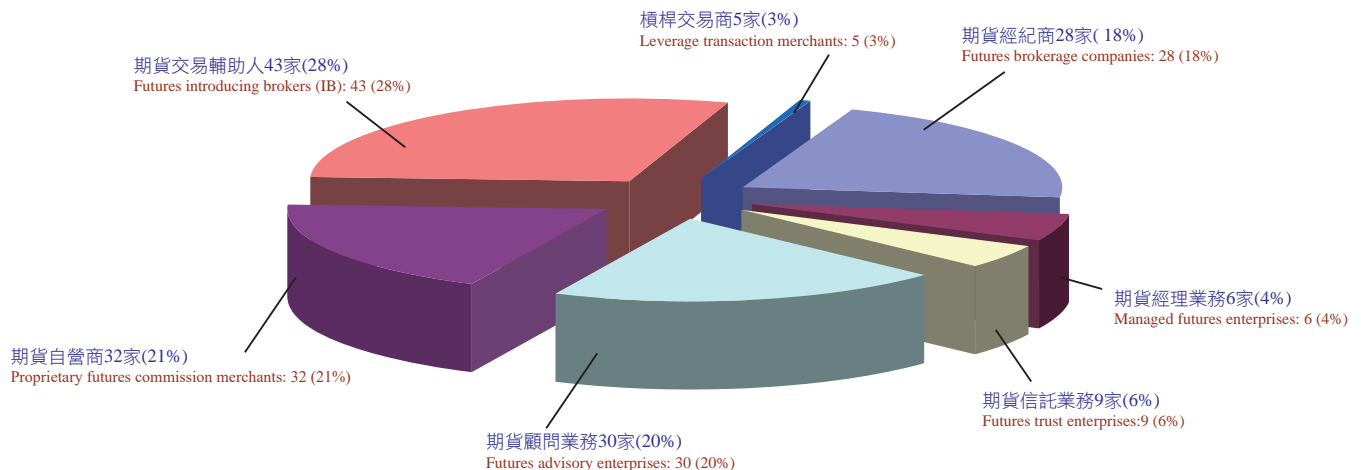
- 會員家數：共計153家，其中經營期貨經紀業務為28家；期貨業務輔助人43家；期貨自營業務32家；期貨顧問業務30家；期貨經理業務6家；期貨信託業務9家；槓桿交易商5家。

There were 153 member companies registered with the CNFA at the end of 2021: 28 futures brokerage companies, 43 futures introducing brokers, 32 proprietary futures commission merchants, 30 futures advisory enterprises, 6 managed futures enterprises, and 9 futures trust enterprises, and 5 leverage transaction merchants.

近10年會員家數統計圖
Statistics of CNFA Member Companies over Past 10 Years



110年度會員類別統計圖
Statistics of CNFA Member Companies in 2021, by Business Category

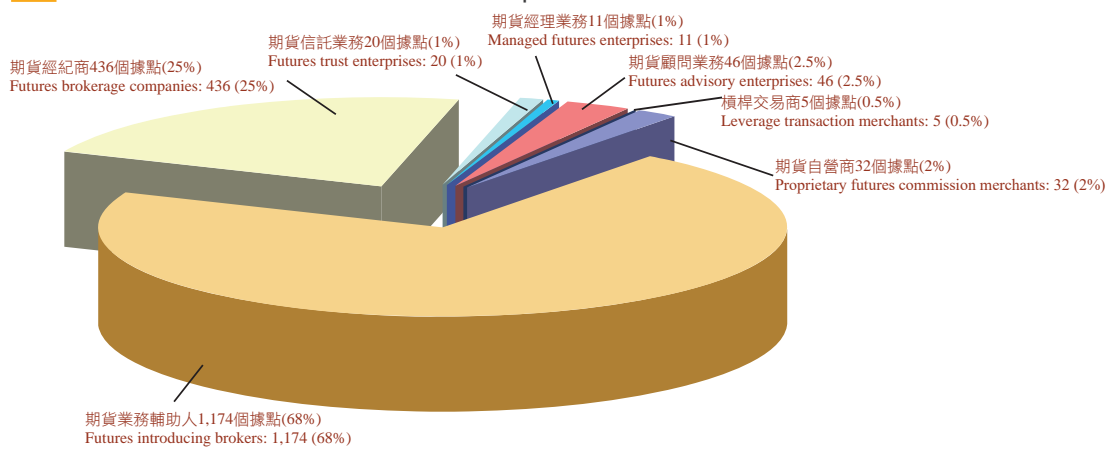


共計153家會員 資料統計截至110/12/31
A total of 153 member companies as of Dec. 31, 2021

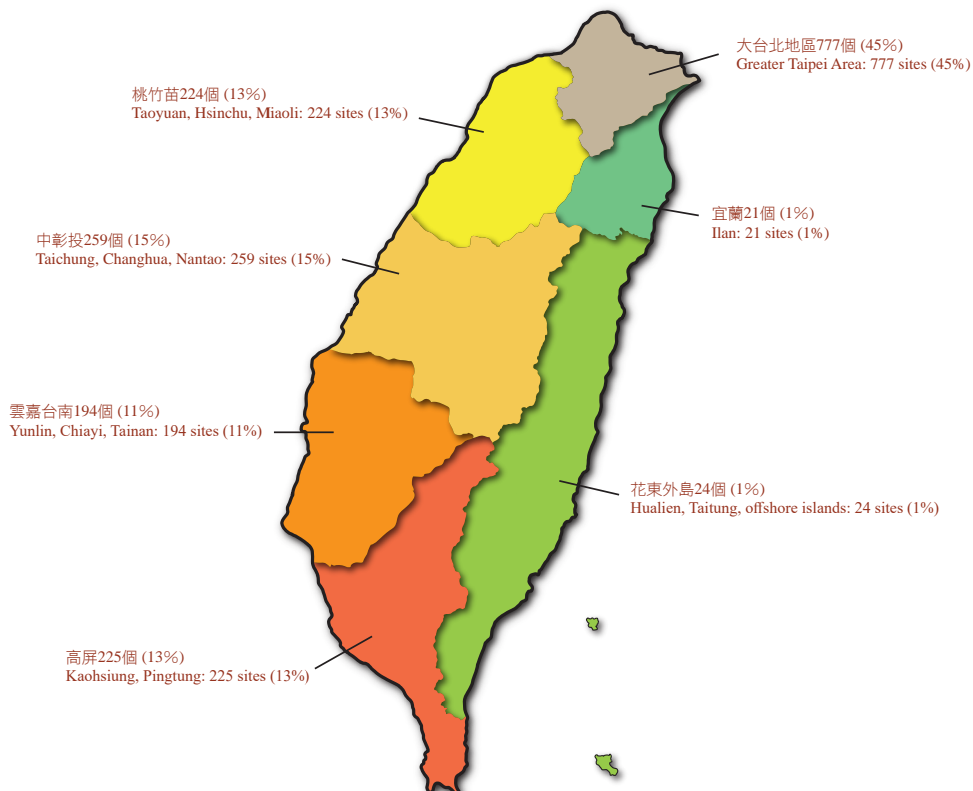
- 會員總分公司分支機構數：共計1,724家，其中經營期貨經紀業務為436個營業據點；期貨業務輔助人1,174個營業據點；期貨自營業務32個營業據點；期貨顧問業務46個營業據點；期貨經理業務11個營業據點；期貨信託業務20個營業據點；槓桿交易商5個營業據點。

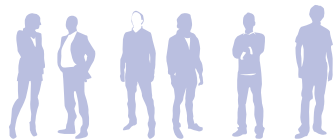
CNFA Member Companies were operated with a total of 1,724 headquarters offices and branch offices as of the end of 2021: 436 used by futures brokers, 1,174 used by introducing brokers, 32 used by proprietary futures commission merchants, 46 used by futures advisory enterprises, 11 used by managed futures enterprises, and 20 used by futures trust enterprises, 5 used by leverage transaction merchant。

110年度會員營業據點統計圖
Business Sites of CNFA Member Companies in 2021



110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 2021



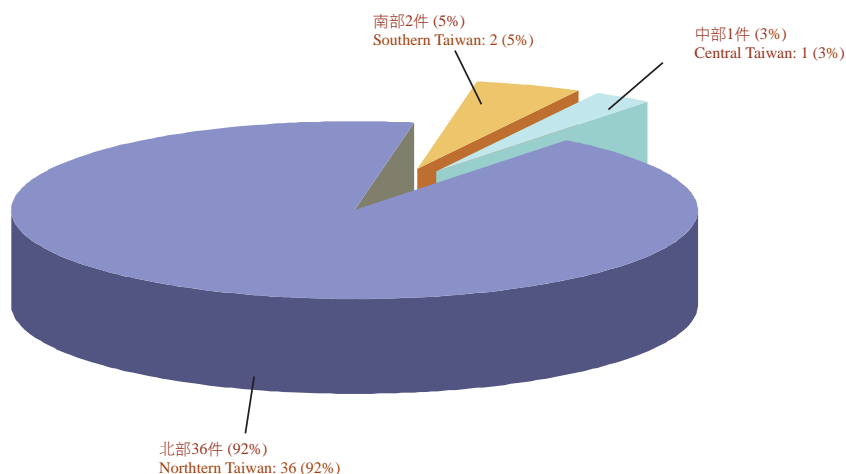


● 會員場地勘察 Business site inspection

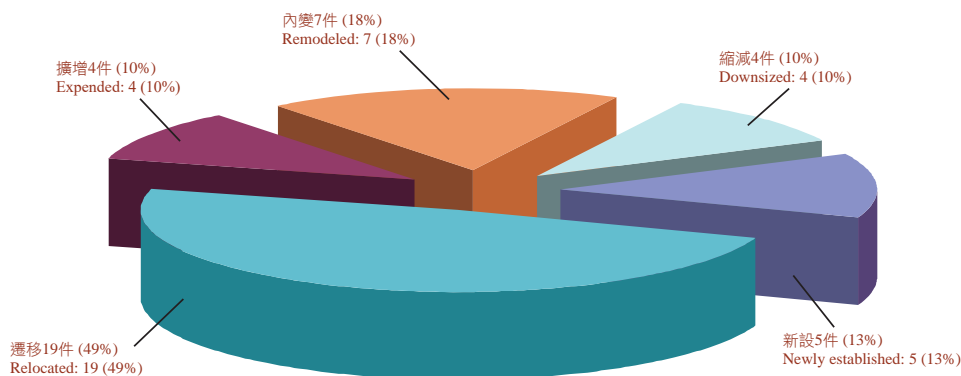
110年度共計39件場勘案(北部地區36件、中部地區1件、南部地區2件)，就其場勘案件分析，新設營業處所5件、遷移營業處所19件、縮減營業處所4件、擴增營業處所4件、營業處所內部配置變動7件。

The Association conducted a total of 39 business site inspection projects in 2021 (36 in northern Taiwan, 1 in central Taiwan, 2 in southern Taiwan). Among these inspected sites, 5 were newly established, 19 were relocated, 4 were downsized, 4 were expanded, and 7 were remodeled.

110年度場地勘察區域分布統計圖
Geographical Areas of Inspected Business Sites in 2021



110年度場地勘察類別統計圖
Statistics of Business Site Inspection Projects in 2021

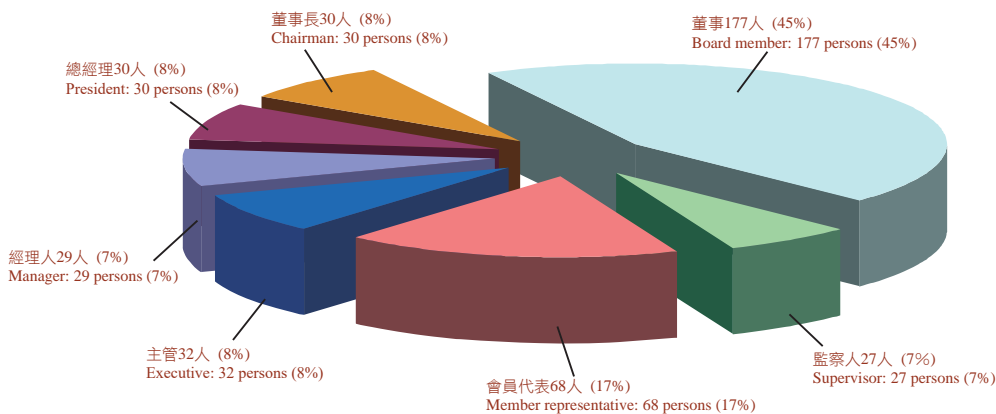


2. 會員委託證照之申請變更、換領及其他服務事項
Certificate renewal, change, and other related services

- 會員代表、會員負責人110年度於本公會異動登錄共計393人次，細分如下：

In 2021, the Association handled a total of 393 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies.

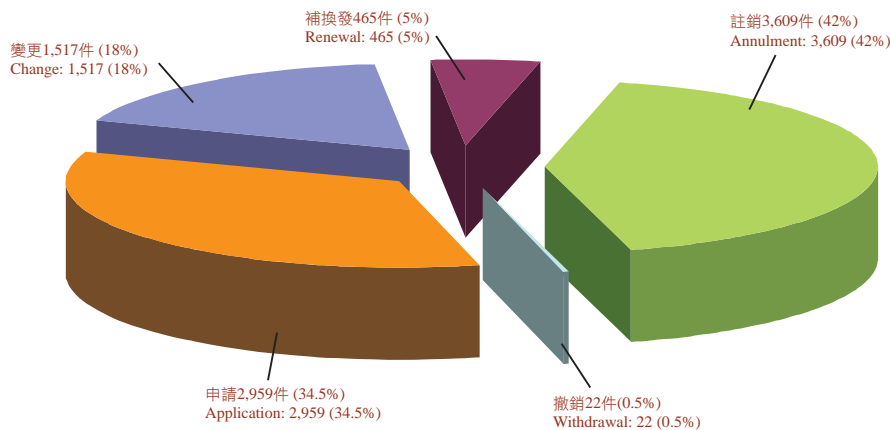
110年度身分類異動統計圖
Position Change Statistics for 2021



- 業務員、輸單員、銷售人員110年度於本公會異動登錄共計8,572件，每月平均714件

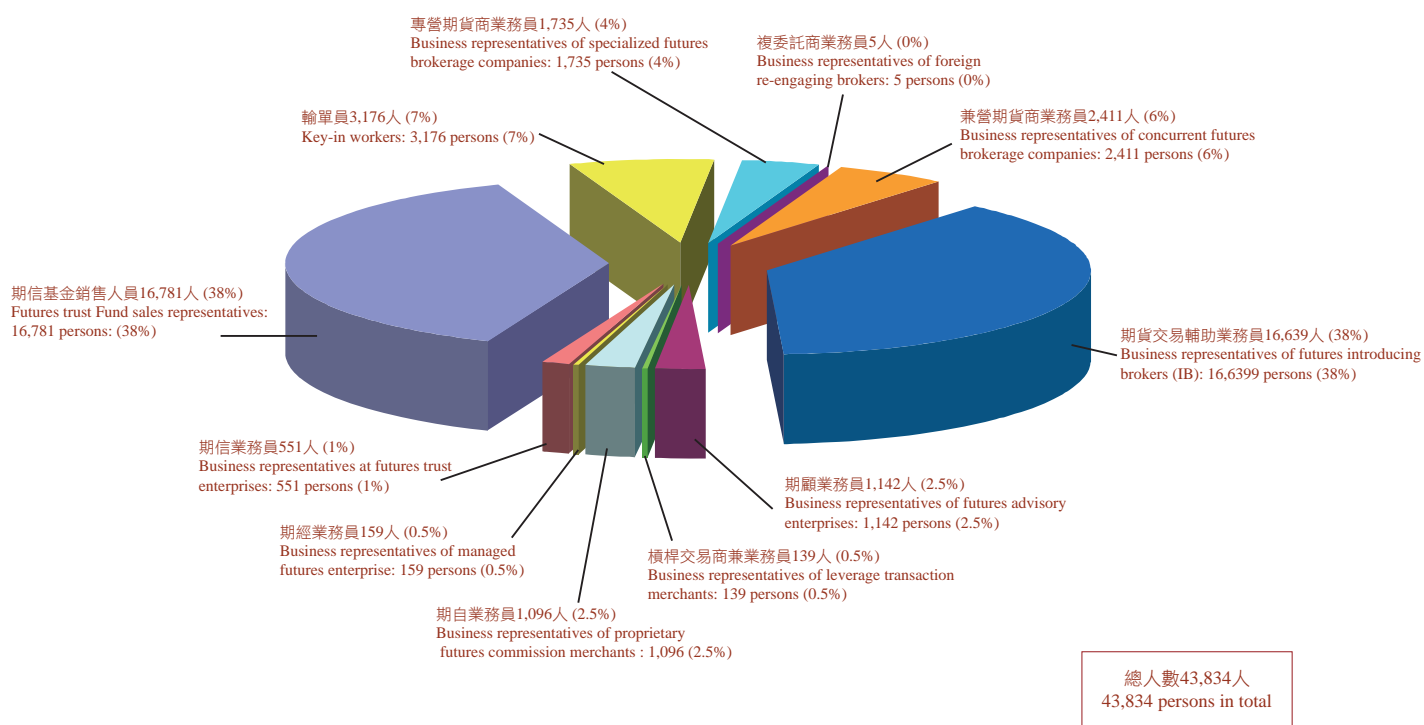
In 2021, the Association handled a total of 8,572 business representative, key-in worker, and salesperson enrollment cases, with an average of 714 cases per month.

110年度業務異動類別統計圖
Job Change Registrations in 2021





110年度從業人員登記統計圖
Business Category Change of Staff at CNFA Member Companies in 2021



七、本公會出版品 G. Publications

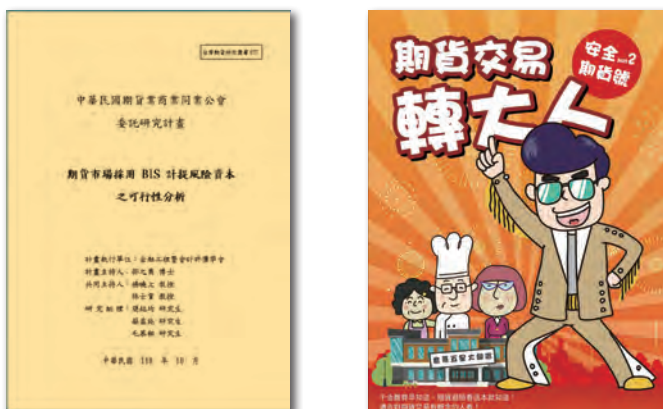
1. 會訊 Newsletter



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

