

# 111年報 Annual Report 2022



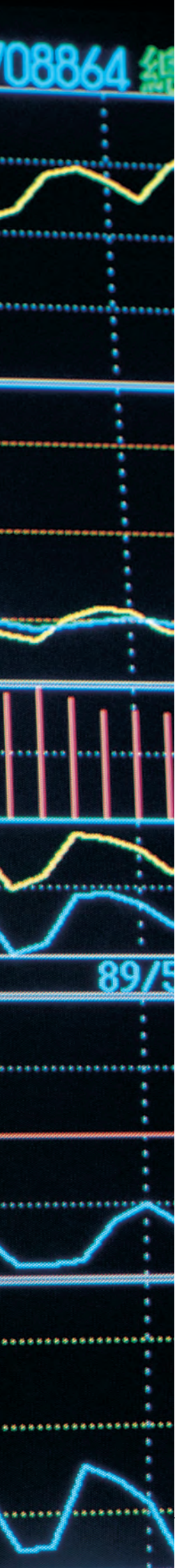
2022台北國際期貨線上論壇  
通膨與升息環境下  
期貨業之挑戰與因應之道

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

臺灣期貨交易所  
TAIWAN FUTURES EXCHANGE



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



# Contents

## 目錄

壹、序言 .....	2
I. Preface .....	3
貳、公會簡介 .....	8
II. CNFA Introduction .....	9
參、公會組織系統 .....	11
III. Association Structure .....	11
肆、會務報導 .....	31
IV. Association Affairs .....	31
伍、財務報告 .....	56
V. Financial Report .....	58
陸、大事紀要 .....	65
VI. Chronicle .....	65
柒、會員名錄 .....	70
VII. Directory of Members .....	70

# 壹

序言



## 推動期貨業永續發展 創新局

### 壹、111年期貨市場表現

回顧這幾年全球遭逢許多政經事件，包括貿易戰、科技戰、全球疫情、地緣政治，111年初俄烏衝突爆發，更是掀起萬丈波瀾，為全球經貿投入震撼彈，實體企業與資本市場受到相當影響。期貨商全年累計稅前獲利73.74億元，與110年(61.75億元)相較增加19.4%，而全年國內期貨交易量達3.84億餘口，其中盤後交易比例為31.48%，相較110年(22%)增加43.1%，在此局勢中期貨業整體表現仍維持成長，也突顯運用期貨避險增益之需求。

### 貳、111年公會業務推動成效

在主管機關指導、期交所及周邊單位積極協助與期貨同業共同的努力之下，期貨業這一年充分發揮在金融市場特有的避險增益功能，表現亮眼。茲就111年期貨公會在業務面推動成果摘要說明如下：

#### 一、成立永續發展委員會，協助業者推動永續發展及ESG事項

為能由上而下形塑文化及價值觀，公會除成立永續發展委員會外，並研定董監進修地圖，將董監及經理人等納入進修對象，並與期交所共同辦理「期貨業永續發展轉型執行策略」宣導座談會，以利期貨商董監事及高階主管瞭解政策目標及方向。

本公會並與證券商公會及投信顧公會共同辦理氣候變遷資訊揭露的三個研究案，涵蓋氣候變遷資訊揭露、氣候變遷情境分析、溫室氣體排放（範疇三），期能協助證券期貨業者有效執行氣候有關財務揭露、檢視自身氣候風險等政策之相關作業。

#### 二、將資通安全事項納入業務電子化委員會執掌範圍，協助業者管理及應用新興科技

有鑑於金融科技發展迅速且帶動數位創新，於創新開放金融服務的同時，金融業者的資通安全風險控管能力，也是期貨業關注議題。為彰顯期貨業發展數位科技同時，對資通安全防護問題之重視，爰將資通安全事項納入本公會業務電子化委員會職掌範圍。

此外，為推動資料共享與資料開放，研定「會員與第三方服務提供者合作開放證券公開資料查詢之自律規範」、「開放證券公開資料查詢業務合作契約書」、「新興科技資通安全自律規範」。為協助業者強化電子式交易、雲端服務及深度偽造之防範，研擬網路安全防護及資通系統安全防護基準、供應鏈風險管理等自律規範。

#### 三、積極研提各項建議促進期貨市場發展

第七屆理監事上任後，公會積極蒐集期貨業建言，並強化主管機關、期交所及本公會三方之溝通，裨益各項建議充分討論。本著共同促進期貨市場發展之精神，研提相關建言，並獲期交所及主管機關的支

## Promoting futures industry's sustainable development while creating new scenarios

### A. Futures market performance in 2022

Looking back at all the political and economic incidents around the world over the past few years, including trade wars, technology wars, global pandemic, and geopolitics, we witnessed the far-reaching shock of the Russia-Ukraine war on the global economy and trade since it broke out in early 2022, extensively affecting both enterprises and capital market.

In 2022, Taiwan's futures industry recorded an overall pre-tax profit of NT\$7.374 billion, up 19.4% from the previous year (NT\$6.175 billion in 2021), while the annual market transactions topped 384 million contracts, among which after-market transactions took up 31.48%, up 43.1% from the 22% in 2021. The striking performance of the futures market amid the uncertain economic situations fully demonstrated the growing demand for futures as risk-hedging vehicles.

### B. CNFA Accomplishments in 2022

Under the competent authority's instructions and thanks to the assistance of the Taiwan Futures Exchange (TAIFEX) and other related organizations, as well as the joint efforts of futures companies, Taiwan's futures industry fully played a special risk-hedging role in serving the financial market and marked a prominent performance in 2022. Major achievements are briefed as follows:

1. Establishing the Sustainable Development Committee to help futures companies peruse sustainable development and deal with ESG-related issues

In order to take the lead in fostering industrial culture and the industry's core value, the CNFA worked out an advanced study map for executive directors and supervisors of member companies (also covering company's managers), in addition to setting up the Sustainable Development Committee. Meanwhile, it teamed up with the TAIFEX in jointly holding the promotional seminar on "Sustainable Development and Transforming Strategies for Futures Industries" in a bid to help the high-ranking executives of futures companies clearly understand the targets and development directions of the futures industry.

The CNFA joined the TSA and SITCA in co-hosting three climate change research projects which cover three major parts on climate change information disclosure, analysis of changing situations, and warming exhaustion gas emission (range 3), in a hope to help securities firms and futures companies effectively practice information disclosure, climate-related self-examination and other related requirements.

2. Adding information security issues to the responsibilities of E-commerce Business Committee, helping companies manage and apply emerging technologies

In view of the dynamic digital innovation brought about by the financial technology, it's a critical issue for the futures industry on how to enhance financial information risk management capacity amid the liberalization of financial services. In order to call for futures companies' attention to information security issues while developing digital technology application, the CNFA added information security issues to the responsibilities of the E-commerce Business Committee.

Meanwhile, in order to promote information sharing and information disclosure, the CNFA proposed the "Self-discipline rules for CNFA members to cooperate with a third party in disclosing securities information for public inquiry," "Contract of cooperation in disclosing securities information for public inquiry," "Self-discipline rules on emerging information technology security." In order to help futures companies enhance their digital translation platforms, e-clouding services, and prevention of deepfakes, the CNFA proposed the standards for Internet security protection and information system protection, supply chain managements, and other related self-discipline rules.

3. Actively propose various recommendations to boost futures market development

Since the 7th-term executive directors and supervisors assumed responsibilities, the CNFA was actively collecting recommendations from the futures industry and strengthen communications among the competent authority, TAIFEX and the CNFA, in a bid to secure full discussion about every recommendations. Based on the spirit of jointly promoting the futures market development, the CNFA proposed several recommendations and have earned support of the competent authority and TAIFEX for them. In the future, the CNFA will continue working to serve its members, pursue benefits for the futures industry and, based on the principle of pursuing joint prosperity with securities industry, actively carry out the measures briefed as follows:

持，後續亦將秉持服務會員，為期貨業謀福祉，促進證券期貨共榮發展之原則，積極推動各項措施，簡要說明如下：

(一) 產品面：

1. 推動增加小型及微型商品、集中市場掛牌或複委託商品。
2. 盤後交易時段增加股票類商品。
3. 新增槓桿交易商可提供一般客戶商品類差價契約服務等。

(二) 業務面：

1. 推動開放期貨自營商得於店頭市場從事國內外衍生性金融商品交易。
2. 推動開放期貨商受託買賣業務員轉介槓桿交易商差價契約種類等。
3. 獲主管機關同意期貨商得運用自有資金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。
4. 為協助交易人儘速解決問題、提升交易人陳情處理效率，建請主管機關參考銀行局網站揭示處理陳情或申訴之做法，業奉參採。

(三) 制度面：

1. 建議期交所在市場發生特殊緊急情況下，應有緊急應變措施（如休市或取消交易等制度）。
2. 建議開放期貨交易輔助人得協助委任期貨商辦理交易人資料變更等身分確認作業，以簡化作業，提升對交易人服務效率。
3. 為符業者實務作業需求，建請主管機關將期貨稽核人員參加內部稽核講習之規定，從執行業務前半年內，放寬為執行業務前二年內，並獲參採。
4. 建請主管機關排除期貨商之法人董事、監察人屬證券商且從事國外期貨交易者為內部人員之適用範圍，並獲參採。
5. 建議期交所取消期貨商開戶作業，辦理約定存入保證金對應存款帳戶之文件，應簽名或蓋章之規定，並獲同意。
6. 在ANC調整方面，爭取將期貨商持有透過其他綜合損益按公允價值衡量（FVOCI）之上市（櫃）股票納入ANC分子項計算及將期貨商持有因租賃協議產生之租賃負債納入ANC分子項計算（亦即將租賃負債自負債總額扣除），並獲主管機關參採。

(四) 資訊面：

建議期交所依三階段開放MTS新的通訊格式，不限於windows api，使期貨商之作業更為便利，目前已在進行中。

四、健全期貨業經營與業務轉型之目標，在人才培育上以「強化現有人員專業能力」與「深入校園開發生力軍」雙軌並進。

(一) 在業務轉型方面：

辦理「2022LME線上實務研討會」探討期貨商從事LME倉單相關業務的商機與挑戰，以協助業者開發新業務。

(二) 在強化現有人員專業能力方面：

1. 在職訓練新增「高階經理班」納入董監進修及期貨商業務人員在職訓練二分之一的時數可

- (1) In product perspective
  - a. To promote new mini or micro-sized products for trading on the centralized market or through sub-brokerage.
  - b. To increase stock-related futures products traded on after-market hours.
  - c. To increase the products that the leveraged transaction merchants can introduce to their general customers such as the contract for difference (CFD) and the like.
- (2) In business perspective
  - a. To allow proprietary futures commission merchants to trade foreign or domestic financial derivatives in the OTC market.
  - b. To allow the agents of futures brokerage companies to make referral of the CFD traded through leveraged transaction merchants to their clients.
  - c. To get the competent authority's promise for a futures brokerage company to use its paid-in capital to acquire the securities investment trust funds issued by the securities investment trust company of which it holds a certain stake of shares.
  - d. In order to help futures traders get their problems to be solved as soon as possible and to make the procedures efficient for futures traders to file petitions, the CNFA called the competent authority for referring the practice of the Banking Bureau which publishes people's petitions or complaints on its website. This suggestion has been adopted by the supervisory authority.
- (3) In systemic perspective
  - a. The CNFA made a suggestion to the TAIFEX that it should take emergency measures in case of market emergency incidents (such as market closure, cancellation of trading system, etc.).
  - b. To suggest that futures introducing brokers should be able to appoint a futures brokerage company to handle client's information changes or other identity confirmation issues so as to simplify the procedures and raise service efficiency.
  - c. In order to meet company's needs for business practice, the CNFA called on the competent authority for adjusting the internal auditor training courses, relaxing the training period from the first six months following their practice of auditing business to the first two years. This suggestion has been adopted.
  - d. The CNFA called on the competent authority to revise the eligibility requirement for the representatives of institutional investors to serve as futures company's executive directors or supervisors that they should come from a securities firm and has engaged on foreign futures trading. This suggestion has been adopted.
  - e. The CNFA called on the TAIFEX to cancel the requirement that a futures trader should sign or seal on the application documents for opening the deposit savings account at a futures commission brokerage company. This suggestion has been approved.
  - f. Regarding ANC adjustment, the CNFA proposed the suggestion that the FCM's holdings of the listed stocks (including OTC-listed stocks), whose value is calculated through FVCOI valuation, as well as the FCM's liabilities from leasing should be added to the in the numerator of the ANC (i.e., to deduct the leasing liability from the total liability amount). This suggestion has been adopted by the supervisory authority.
- (4) In information perspective

The CNFA called on the TAIFEX to open up the new MTS protocol through three stages, without limited to windows API, in a bid to facilitate futures company's operations. This suggestion has been put into practice.
4. In order to help futures companies strengthen their operations and reach the goal of transformation, the CNFA proposed a dual-track approach to "strengthen professionalism of existing working staff" and "explore new talents from university campus".
  - (1) Business transformation

The CNFA held the "Online LME Seminar 2022", discussing the business opportunities and challenges for futures companies in engaged on LME warehousing receipt-related business, in a bid to help them create new business opportunities.
  - (2) Strengthening professionalism of working staff
    - a. To add the on the job training, "High-ranking Manager Class", exclusively for company's executive directors, supervisors, and high-ranking managers. Meanwhile, a member company is allowed to arrange one half of the required on the job training courses itself as a means to satisfy the need of the working staff.

以由公司自辦，以滿足從業人員專業需求。

2. 辦理「2022台北國際期貨線上論壇」活動，以「通膨與升息環境下，期貨業之挑戰與因應之道」為主題，使從業人員得與時俱進因應國際局勢變化。

(三) 在校園推動方面：

公會進入校園，並以期現結合、企業避險、綠色金融與期貨業數位發展等宣導內容，讓同學能更了解期貨業的前瞻性，並對畢業後進入期貨行業的發展方向有所了解及規劃。

(四) 成立採購委員會，以健全並提升採購效率

本公會會務運作涉及多採購事項，為健全採購作業，提升採購效率，爰參考其他公會作法，修正本公會委員會組織規則，成立採購委員會。

### 參、112年重點工作，協助業者推動業務

公會將持續與業界一起努力，深化、廣化期貨市場的角色定位，除持續推動永續發展各項議題之外，公會亦將就國際交流、降低經營成本及開創商機等面向研議規劃可行方案，並積極推動：

#### 一、持續推動期貨業永續發展

持續針對期貨商董監事、高階主管辦理座談會及進修課程；提供證券期貨三業氣候變遷及氣體排放之研究成果予會員參考，並依期貨商資本規模，商請6家期貨商先行試辦相關作業，且將邀請研究單位對期貨商舉辦講習，以協助期貨業順利落實執行，另除公會官網外，亦將協助期貨商設立專區揭露各項執行永續發展資訊等。

#### 二、推動期貨業國際交流合作

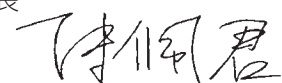
公會積極與國外交易所、期貨業者交流合作並舉辦或參與各項國際會議，如持續辦理台北期貨國際論壇、LME實務研討會，參與FIA Boca Raton舉辦之年會等，以提升國際能見度，並為業者開拓商機。

#### 三、持續協助期貨商拓展業務範圍及節省成本增加收益

(一) 在國外期貨交易方面，公會邀請資訊源及載體等廠商提供相關資料，並由業者成立工作小組，研議對複委託業務較具經濟效益之解決方案，供期貨商選擇參考，期能協助期貨商建置永續穩定之國外期貨交易環境。

(二) 爭取開放期貨商轉投資貿易子公司相關業務限制，以助益業者落實服務實體經濟功能，並可多角化經營、永續發展。

中華民國期貨業商業同業公會  
理事長



b. The CNFA arrange the “Online Taipei International Forum 2022” under the theme “Inflation and Rising Interest Rates: Challenges and Reactions of Futures Industry” from which participants learned about the up-to-date international situations and discussed how to make reactions.

(3) Campus talent recruitment

The CNFA walked into the campus to conduct promotional activities under the four themes: “combination of cash equity and futures,” “risk-hedging of enterprises” “green financing” and “development of digital futures business,” in order to help students understand the prospect of the futures industry, arouse their interest in developing a career in the futures industry, and help them make plans to move toward this goal.

(4) Establishing Procurement Committee to strengthen procedures and raise efficiency of procurement

The CNFA’s operation is involved with many procurement projects. In order to strengthen procurement procedures and raise procurement efficiency, the CNFA refers to the practice of other associations, revise the CNFA’s organizational rules, and thus set up the Procurement Committee.

### C. Major tasks for 2023—to help companies promote business

The CNFA will continue working with the industry to deepen and broaden the role and position of the futures market. While continuing to promote various sub-topics related to sustainable development, the CNFA has been engaged on drafting proposals on promoting international exchange, reducing operational cost, creating new business opportunities, among other respective.

1. Continue promoting sustainable development of futures industry

The CNFA will continue holding seminars and advanced study programs for member company’s executive directors, supervisors, and other high-ranking executives. Besides, it will provide the reports of the three research projects on climate change and exhaust gas emission issues as reference to member companies. Meanwhile, it will consider the operational scale of member companies and invite six companies to make trial run of related operations and invite research institutions to hold training lectures for futures companies in a bid to help them smoothly carry out these requirements. Besides on the CNFA’s official website, it will help member companies create a special area in their websites to provide the information regarding sustainable development.

2. Promote international interactions of futures industry

The CNFA will be actively make interactions with international futures exchanges and foreign futures companies to proceed cooperation projects or co-arrange international activities or take part in international conferences such as continuing holding the “Taipei International Futures Forum” , participating the LME Seminars, attending the FIA Boca Raton Annual Conferences, etc., so as to promote the visibility of Taiwan’s futures industry and help companies create international business opportunities.

3. Continue helping futures companies broaden their business scope and reduce operational cost for pursuing higher profits

(1) In the perspective of foreign futures trading, the CNFA will ask the information source and software providers to provide information and request several companies to organize a working group to propose economical solutions to sub-brokerage business as reference of futures companies, in a bid to help futures companies build a sustainable environment for transactions of foreign futures.

(2) The CNFA will call for relaxation of the restrictions on futures companies from setting up a trading company as subsidiary, in a bid to help futures companies realize the goal of serving physical economic activities and meanwhile diverse their businesses for sustainable development.



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

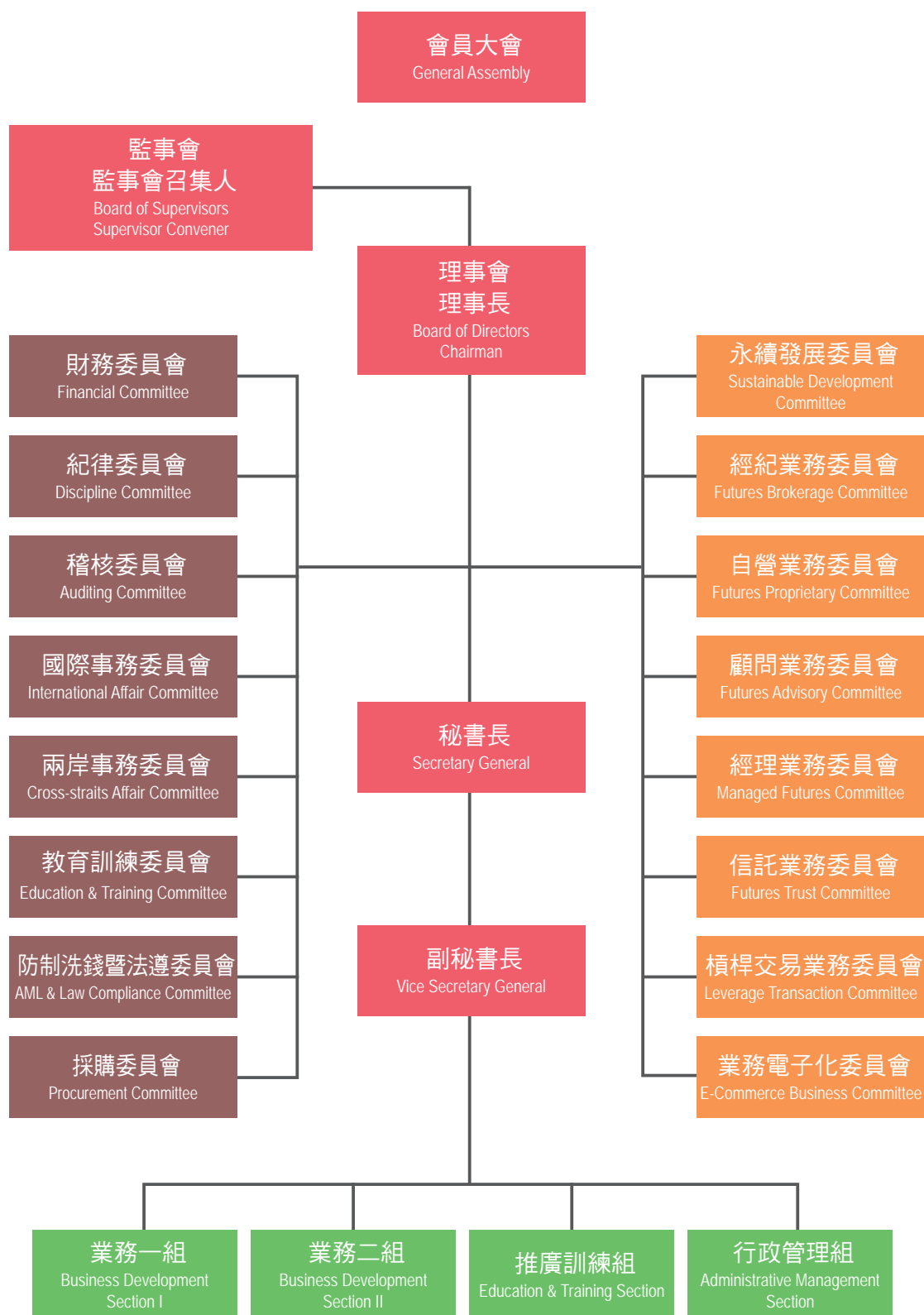
- To promote the full functioning of the futures market, working in step with the national economic development
- To make survey, compile statistics, and conduct R&D projects about the operations of member companies
- To make research and suggestions about government's policies and propose revisions 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





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111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13家
3. 期貨交易輔助人43家
4. 國外複委託商1家
5. 期貨自營業務31家
6. 槓桿交易商5家
7. 期貨顧問業務33家
8. 期貨經理業務5家
9. 期貨信託業務9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 2022, 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 2022:

1. Specialized futures brokerage companies: 14
2. Concurrent futures brokerage companies: 13
3. Futures introducing brokers (IB): 43
4. Foreign re-engaging brokers: 1
5. Proprietary futures commission merchants: 31
6. Leverage Transaction Merchant: 5
7. Futures advisory enterprises: 33
8. Managed futures enterprises: 5
9. Futures trust enterprises: 9

■ 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：設有永續發展、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、採購等16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：

● 永續發展委員會

- (1) 有關期貨業永續發展之溝通協調及政策建議事項。
- (2) 有關永續發展之規劃宣導、舉辦研討會、座談會，延請專家及金融業分享等事項。
- (3) 有關本公會永續發展相關所訂自律規範、範例或指引之討論與建議事項。
- (4) 有關編擬年度工作計畫事項。
- (5) 其他有關永續發展事宜之處理事項。

● 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。

4. Committees: The Association set up 16 committees, namely Sustainable Development Committee, Futures Brokerage Committee, Future Proprietary 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, E-Commerce Business Committee, and Procurement 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:

#### ● Sustainable Development Committee

- (1) To coordinate and propose suggestions about sustainable development of futures industry
- (2) To make promotional plans, holding seminars/conferences, and invite experts to share their professional experience
- (3) To propose the self-discipline rules, exemplar cases, guidelines, topics for discussions, and suggestions about sustainable development issues
- (4) To make annual work plans for the committee
- (5) To handle other relevant issues

#### ● 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

#### ● Futures Proprietary 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



- 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。
  
- 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。

- **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
  
- **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



- 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。
  
- 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。

- 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
- 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

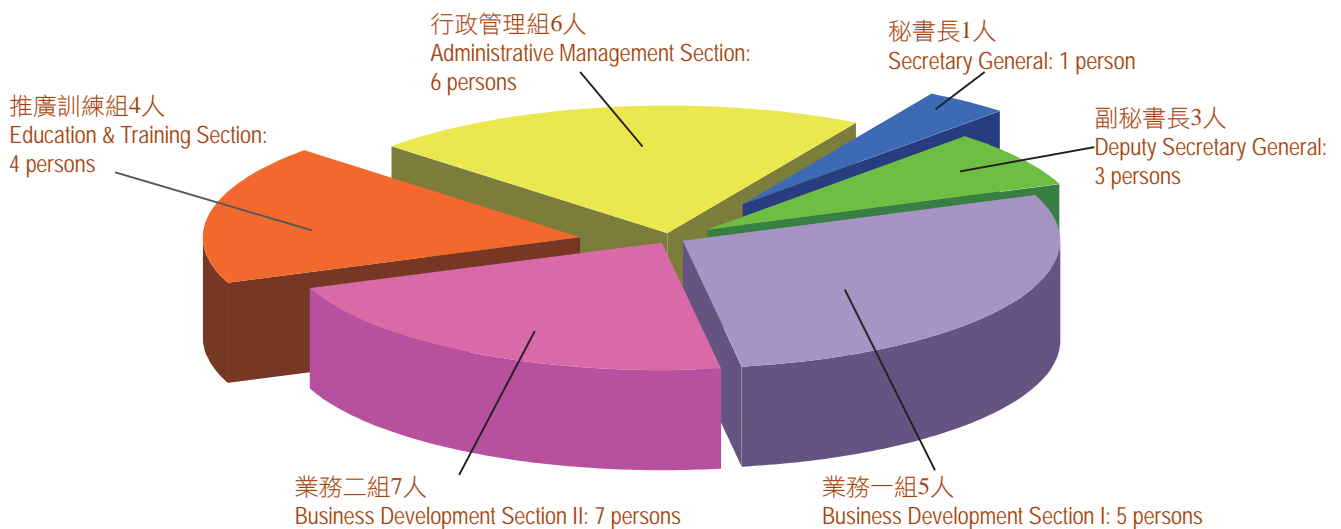


- 業務電子化委員會
  - (1) 有關業務電子化業務之發展、聯繫、協調、改進事項。
  - (2) 有關業務電子化業務相關法規研討及建議事項。
  - (3) 有關交易人服務事項。
  - (4) 有關期貨業資通安全事項。
  - (5) 有關編擬年度工作計畫事項。
  - (6) 其他有關業務電子化及資通安全事宜之處理事項。
- 採購委員會
  - (1) 辦理本公會購置重大財產或消耗品之採購。
  - (2) 有關編擬年度工作計畫事項。
  - (3) 其他有關採購事宜之處理事項。

(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：

111年會務人員統計表  
CNFA Administrative Staff in 2022



- E-Commerce Business Committee
    - (1) To handle promotion, communication, coordination and improvement issues about digitalization
    - (2) To handle digitalization-related law research and proposed issues
    - (3) To handle issues about digitalized services for traders
    - (4) To handle futures-related information security issues
    - (5) To compile annual work plan for this committee
    - (6) To handle other digitalization and information security issues
  - Procurement Committee
    - (1) To handle procurement of the Association's major equipment and consumables
    - (2) To make annual work plans for the committee
    - (3) To handle other procurement-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, Futures Proprietary 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) To gather and analyze the information about international futures issues



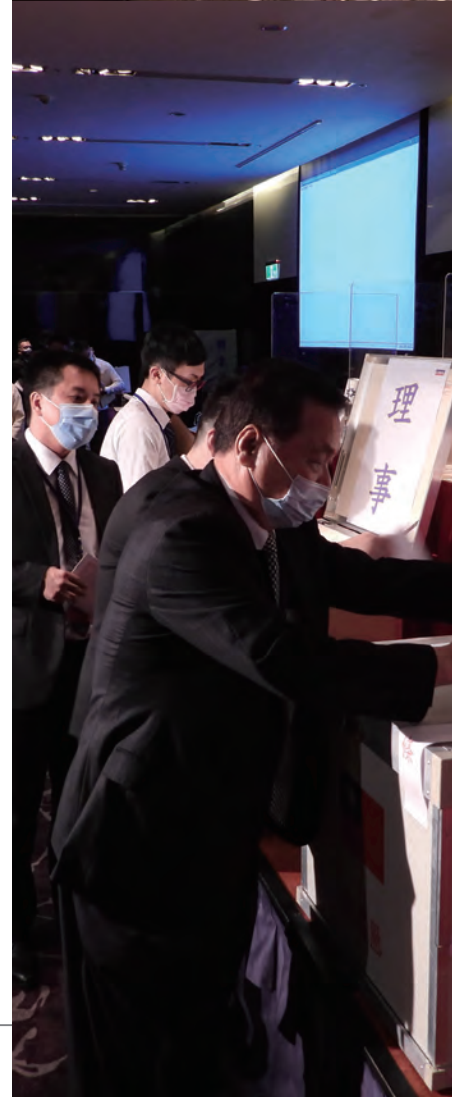
- (10) 蒐集及分析國際期貨業務之相關資訊。
- (11) 國際期貨組織之聯繫及交流事宜。
- (12) 會員公司宣傳資料與廣告物之審查。
- (13) 會員公司業務及財務之查察與輔導。
- (14) 會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
- (15) 執行自律規定及主管機關交辦事項之稽查作業。
- (16) 各會員公司營業據點場地、設備查驗。

● 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。





- (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)
1	理事長 Chairman	陳佩君 Pei-chun Chen	兆豐期貨股份有限公司 Mega Futures Co., Ltd.
2	常務理事 Executive Director	王中愷 Steve Wang	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.
3	常務理事 Executive Director	李文柱 Wen-chu Lee	群益期貨股份有限公司 Capital Futures Corp.
4	常務理事 Executive Director	周武華 Alex Chou	國票期貨股份有限公司 Waterland Futures Co., Ltd.
5	常務理事 Executive Director	周筱玲 Carolyn Chou	元大期貨股份有限公司 Yuanta Futures Co., Ltd.
6	常務理事 Executive Director	林家進 Roger Lin	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.
7	常務理事 Executive Director	陳瑞珪 Jui-chueh Chen	凱基期貨股份有限公司 KGI Futures Co., Ltd.
8	常務理事 Executive Director	黃正雄 Thomas Huang	元富期貨股份有限公司 MasterLink Futures Corp.
9	常務理事 Executive Director	黃奕銘 Yiming Huang	統一期貨股份有限公司 President Futures Corp.
10	常務理事 Executive Director	楊俊宏 June-hong Yang	富邦期貨股份有限公司 Fubon Futures Co., Ltd.
11	常務理事 Executive Director	葉光章 Kuang-chang Yeh	康和期貨股份有限公司 Concord Futures Corp.
12	理事 Director	毛振華 Edward Mao	群益期貨股份有限公司 Capital Futures Corp.
13	理事 Director	何家瑜 Ho, Chia-Yu	德信綜合證券股份有限公司 Reliance Securities Co., Ltd.
14	理事 Director	李逸源 Yih-yuan Lee	美好證券股份有限公司 Good Finance Securities Co., Ltd.
15	理事 Director	林添富 Tien-Fu Lin	元大期貨股份有限公司 Yuanta Futures Co., Ltd.
16	理事 Director	林獻群 Leo Lin	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.
17	理事 Director	姜克勤 Ken Jiang	宏遠證券股份有限公司 Horizon Securities Co., Ltd.
18	理事 Director	凌壩宏 Ling, Yung-Hung	兆豐期貨股份有限公司 Mega Futures Co., Ltd.
19	理事 Director	康景泰 Ching-Tai Kang	康和期貨股份有限公司 Concord Futures Corp.
20	理事 Director	張建中 Pond Chang	瑞士商瑞士信貸銀行股份有限公司台北證券分公司 Credit Suisse AG, Taipei Securities Branch
21	理事 Director	張清發 Fred Chang	元富證券股份有限公司 MasterLink Securities Corporation
22	理事 Director	張禮賢 Li-hsien Chang	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)
23	理事 Director	莊智宏 Chih-hung Chuang	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.
24	理事 Director	許文義 fama Hsu	中國信託綜合證券股份有限公司 CTBC Securities Co., Ltd.
25	理事 Director	許瑞立 Jurry Hsu	安泰證券股份有限公司 Antay Securities Co., Ltd.
26	理事 Director	郭晃庭 Huan-ting Kuo	日盛證券股份有限公司 Jih Sun Securities Co., Ltd.
27	理事 Director	陳其緯 Chi Wei Chen	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.
28	理事 Director	陳宜宗 Yi-tsung chen	華南期貨股份有限公司 HuaNan Futures Co., Ltd.
29	理事 Director	陳致全 Jeremy C.C. Chen	第一金證券股份有限公司 First Securities Inc
30	理事 Director	陳清德 Ching-Te Chen	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.
31	理事 Director	黃信一 Sean Huang	萬寶證券投資顧問股份有限公司 Marbo Securities Consultant Co., Ltd.
32	理事 Director	黃凱琳 Karen Huang	國泰期貨股份有限公司 Cathay Futures Corp.
33	理事 Director	黃榕瑄 Mandy Huang	台灣摩根士丹利證券股份有限公司 Morgan Stanley Taiwan Limited
34	候補理事 Alternate Director	吳明宗 Wu, Ming-Tsung	兆豐證券股份有限公司 Mega Securities Co., Ltd.
35	候補理事 Alternate Director	金志倫 Alan Kin	國泰期貨股份有限公司 Cathay Futures Corp.
36	候補理事 Alternate Director	耿世鈞 Geng, Shih-Chun	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.
37	候補理事 Alternate Director	許人祥 Mark Hsu	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.
38	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.
39	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.
40	候補理事 Alternate Director	陳順揚 Shunyang Chen	元富期貨股份有限公司 MasterLink Futures Corp.
41	候補理事 Alternate Director	黃維本 Webber Huang	群益期貨股份有限公司 Capital Futures Corp.
42	候補理事 Alternate Director	賈景陽 Chia, Cheng-Yang	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.
43	候補理事 Alternate Director	劉承志 Arch Liu	富邦期貨股份有限公司 Fubon Futures Co., Ltd.
44	候補理事 Alternate Director	謝政雄 Hsieh, Cheng-Hsiung	合作金庫證券股份有限公司 Taiwan Cooperative Securities Co., Ltd.

註：以上資料以111.12.31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)
1	監事會召集人 Supervisor Convener	張雅斐 Phoebe Chang	日盛期貨股份有限公司 Jihsun Futures Co., Ltd.
2	常務監事 Executive Supervisor	宋政憲 Anson Sung	國泰期貨股份有限公司 Cathay Futures Corp.
3	常務監事 Executive Supervisor	李全才 Mario Lee	華南期貨股份有限公司 HuaNan Futures Co., Ltd.
4	監事 Supervisor	王登立 Tengli Wang	大展證券股份有限公司 Ta Chan Securities Co., Ltd.
5	監事 Supervisor	李綱 Douglas Lee	美林證券股份有限公司 Merrill Lynch Securities (Taiwan) Ltd.
6	監事 Supervisor	陳柏榮 Bo-jung Chen	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.
7	監事 Supervisor	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
8	監事 Supervisor	黃俊仁 Jun-jen Huang	統一綜合證券股份有限公司 President Securities Corp.
9	監事 Supervisor	楊宗來 Tsung-lai Yang	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.
10	監事 Supervisor	詹正恩 Cheng-en Chan	光和證券股份有限公司 Kuanzho Securities Corp.
11	監事 Supervisor	糜以雍 Falco Mi	凱基期貨股份有限公司 KGI Futures Co., Ltd.
12	後補監事 Alternate Supervisor	王文浩 Wen-Hao Wang	康和期貨股份有限公司 Concord Futures Corp.
13	後補監事 Alternate Supervisor	吳皇旗 Huang-chi Wu	統一期貨股份有限公司 President Futures Corp.
14	後補監事 Alternate Supervisor	侯青志 Chris Ho	凱基期貨股份有限公司 KGI Futures Co., Ltd.

註：以上資料以111.12.31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. 因應民法及商業團體法降低成年年齡，修正本公會「章程」會員代表資格年齡之規定。

In reaction to amendments to the Civil Code and the Commercial Organization Act, which lowered the age of majority from 20 to 18, the CNFA revised related clauses in its Charter.

2. 為推動「證券期貨業永續發展轉型執行策略」，建立期貨業推動永續發展及ESG事項之溝通協調及政策擬定諮詢平台，修正本公會「委員會組織規則」，成立「永續發展委員會」。

In order to push the “Sustainable Development Strategies Transformation for Securities and Futures Industries” into practice as well as to build a platform for communication, coordination, policy-proposing and consultation about ESG and other issues involved with sustainable development of the futures industry, the CNFA revised the “Guidelines for Committee Organization” and set up the “Sustainable Development Committee.”

3. 為健全採購作業，提升採購效率，並辦理本公會購置重大財產及消耗品之採購事宜，修正本公會「委員會組織規則」，成立「採購委員會」。

In order to strengthen procurement procedures, raise procurement efficiency, and conduct procurement of the Association’s major equipment and consumables, the CNFA revised the “Guidelines for Committee Organization” and set up the “Procurement Committee.”

4. 為彰顯期貨業發展數位科技同時，對資通安全防護同等重視，修正本公會「委員會組織規則」，增訂業務電子化委員會執掌範圍，納入資通安全事項。

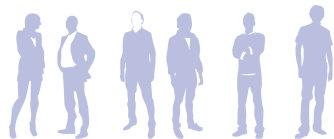
In order to call for attention to the protection of information security while promoting application of digital technology in the futures industry, the CNFA revised the “Guidelines for Committee Organization” to expand the responsibilities of the E-Commerce Business Committee to cover information security issues.

5. 為落實公平待客及強化身心障礙等特定族群之投資人保護，修正「會員金融友善服務準則」及「會員金融友善服務準則實務作業問答集」，有關定期辦理金融友善員工教育訓練、訂定獎勵措施；會員如提供身心障礙交易者網路下單或電子式交易，應包含之服務功能。

In order to realize the fair treatment for financial consumers and strengthen protection of physically- or mentally-retarded groups of investors, the CNFA revised relevant clauses in the “Guidelines for CNFA Member Companies in Providing Financially-friendly Services” and the “Q&A on Practice of Guidelines for CNFA Member Companies in Providing Financially-Friendly Services,” including those about regularly holding financially-friendly training programs for employees, rewarding policies, and the functions to be covered by the online trading platforms for physically- or mentally-retarded traders.

6. 為強化期貨服務事業對高齡客戶保護措施，促進期貨服務事業健全發展，訂定「期貨服務事業向高齡金客戶辦理金融商品或服務適合度評估準則」，及配合修正期貨顧問事業、期貨經理事業及期貨信託事業內部控制制度標準規範，以保障高齡客戶權益。

In order to help futures companies strengthen protection of their senior clients and to boost the healthy development of futures service businesses, the CNFA made the “Assessment Guidelines for Financial Products and Services Provided to Senior Clients of Futures Companies” as well as revised relevant clauses in the guidelines for internal control mechanisms of Futures Advisory Enterprises, Managed Futures Enterprises, and Futures Trust Enterprises, a move to protect the rights of senior clients.



7. 為強化對高齡消費者保護，依主管機關指示修正「期貨商開戶徵信作業管理自律規則」並更名為「期貨商開戶徵信作業管理及提供高齡客戶金融服務自律規則」以落實期貨商向高齡客戶提供金融服務之相關事項。

In accordance with the competent authority's instructions for strengthening protection of senior consumers, the CNFA made amendments to the "Self-discipline Guidelines for Futures Companies in Examining Credibility of New Clients" and renamed the Guidelines as "Self-discipline Guidelines for Futures Companies in Examining New Client's Credibility and Providing Financial Services to Senior Clients" as a means to secure implementation of related financial service requirements for senior futures traders.

8. 為將具備國外期貨交易所會員資格或造市資格及為國外期貨交易所流動量提供者納入免填「期貨交易知識認知表」之對象，修正「期貨商開戶徵信作業管理及提供高齡客戶金融服務自律規則」。

In order to waive the "Futures Transaction Knowledge Questionnaire" requirement to those who will become qualified members, market makers, or market liquidity contributors of foreign futures exchanges, the CNFA revised the "Self-discipline Guidelines for Futures Companies in Examining New Client's Credibility and Providing Financial Services to Senior Clients."

9. 為使證券期貨市場開戶作業規範一致性，修正「期貨商開戶徵信作業管理及提供高齡客戶金融服務自律規則」，將重新徵信之對象，限於一年內有交易或交易額度超過100萬元以上者之交易人，須每年重新徵信。

In order to ensure consistency in the guidelines regarding opening new accounts for trading futures or securities, the CNFA revised the "Self-discipline Guidelines for Futures Companies in Examining New Client's Credibility and Providing Financial Services to Senior Clients," redefining the targets for annual credibility checking as those who have made transitions over the latest 12 months or those whose transaction amount exceeds NT\$1 million.

10. 為使提升開戶作業便利性及簡化行政作業成本，且考量現行當沖自律規則及開戶徵信自律規則針對交易人提供資力證明評估方式，均已訂定相關規定，修正「期貨商受託國內當日沖銷交易自律規則」，刪除期貨交易人應具備資格條件之規定。

In order to streamline the procedures for opening new trading accounts and reduce administrative cost while considering that the self-discipline rules have defined the guidelines for assessing financial credibility of day traders and new clients, the CNFA revised the "Self-discipline Rules for Futures Commission Merchants Entrusted by Clients to Make Day Trading on Domestic Market," deleting the qualification requirements for futures traders.

11. 配合主管機關發布「證券期貨業永續發展轉型執行策略」，研訂「期貨業董事、監察人進修推行要點及進修地圖」，以健全期貨業經營與業務轉型之目標。

In cope with the government-published "Sustainable Development and Transformation Strategies for Securities and Futures Industries," the CNFA proposed the "Guidelines for Advanced Study and Advanced Study Maps for Executive Directors and Supervisors of Futures Companies," in a bid to help futures companies strengthen their operations to reach the goals of company transformation.

12. 配合主管機關修正「期貨商負責人及業務員管理規則」，有關期貨商得依同業公會所定在職訓練作業要點規定，申請自行辦理在職訓練，研訂「期貨商業務員在職訓練作業要點」。

In cope with the government's amendment to clauses in the "Regulations Governing Responsible Persons and Associated Persons of Futures Commission Merchants," stipulating that a Futures Commission Merchant, in accordance with the in-service training guidelines defined by industry association, can apply for holding the training programs itself, the CNFA proposed the "Guidelines for In-service Training Programs for Futures Associated Persons."

13. 配合主管機關訂定金融機構間資料共享指引，修正期貨顧問事業、期貨經理事業及期貨信託事業內部控制制度標準規範，增訂辦理資料共享之相關控管機制。

In cope with the government's information-sharing guidelines for financial institutions, the CNFA revised the guidelines for internal control mechanisms of Futures Advisory Enterprises, Managed Futures Enterprises, and Futures Trust Enterprises, adding the clause on information-sharing management mechanism.

14. 為利推動證券期貨業公開資料查詢之開放證券目標，研擬「會員與第三方服務提供者合作開放證券公開資料查詢及使用自律規範」及「開放證券公開資料查詢及使用業務合作契約書範本」，以確保會員、使用者及第三方服務提供者之權益。

To encourage securities firms and futures companies to provide information for public inquiry, the CNFA proposed the "Self-discipline Rules on Cooperation between CNFA Member Companies and Third Parties in Providing Information for Public Inquiry" and the "Contract Template for Cooperation between CNFA Member Companies and Third Parties in Providing Information for Public Inquiry" so as to secure the interest of Member Companies, third-parties, and information users.

15. 為強化期貨業管理及應用新興科技，參考證交所「證券期貨市場相關公會新興科技資通安全管控指引」，修正本公會「新興科技資訊安全自律規範」有關法令遵循、雲端運算服務運作安全、電子式交易相關控管及深度偽造之防範等，並更名為「新興科技資通安全自律規範」。

In order to promote the application of newly-emerging technology in futures business management, the CNFA referred to the "Guidelines for Securities- and Futures-related Associations in Governing Newly-emerging Information Security Management" and revised relevant clauses in the "Self-discipline Rules on Newly-emerging Information Security Management," including those about law compliance, cloud calculation security, digital transaction management, fabrication prevention, among others. Meanwhile, the CNFA renamed it as "Self-discipline Rules on Newly-emerging Information Technology Security Management."

16. 配合ETF期貨納入盤後交易，修正「期貨商交易及風險控管機制專案各項議題彙整表」之「名詞彙整表」有關未沖銷/未實現損益相關內容。

In cope with the after-market trading of ETF futures, the CNFA revised the definition of the terms of non-write-off/non-realized profit or loss defined in the "Glossary" of the "List of Risk Control Mechanism and Related Issues Involved with Transactions Made through Futures Commission Merchants."

17. 配合開放期貨商得與同一身分編號之期貨交易人約定其國內期貨交易帳戶間贖餘現金保證金、權利金之撥轉，修正「會員受理客戶以電話申請保證金提領暨交易帳戶間贖餘款項撥轉防範配套措施作業辦法」。

To cope with the government's policy under which the Futures Commission Merchant would allow clients to transfer the amount in balance, margin deposit, or premium at the futures trading accounts opened with the same ID number, the CNFA revised the "Guidelines for Member Companies in Handling Client's Request by Phone for Deposit Withdrawal or Transfer of Balance Amounts between the Client's Trading Accounts."

18. 為強化指數股票型期貨信託基金超額申購之公平合理配售作業，依主管機關指示協同投信投顧公會研修「期貨信託基金之募集、發行、銷售及申購買回作業程序」第21條之2，並於申購書件新增「利益衝突聲明」公版文字。

In order to secure fair and rational sales and distribution for the oversubscribed stock index futures trust funds, the CNFA followed the competent authority's instruction to coordinate with the Securities Investment Trust and Consultancy Association (SITCA) for revising Article 21, paragraph 2 in the "Fund-raising, Issuance, Sales, and Redemption Procedures for Futures Trust Funds," and added the official "Conflict of Interest Statement" to the subscription form.



19. 為強化執行期貨信託基金銷售適合度評估、改善不當銷售行為，修正期貨信託事業內部控制制度標準規範，增修辦理客戶適合度與基金風險等級適配評估作業、基金成立後之風險等級審查機制、基金主要投資市場發生劇烈變化時之因應措施，並建立業務人員不當銷售之懲處機制。

In order to strengthen assessment on appropriateness of futures trust fund sales procedures and to prevent improper sales behaviors, the CNFA revised the internal control standards and guidelines for Futures Trust Enterprises, adding the requirement for client eligibility assessment and risk-grading for the fund, post-issuance fund risk assessment and monitoring mechanism, countering measures to deal with dramatic changes in the fund-invested markets, as well as created the penalty mechanism for improper fund sales persons.

20. 配合主管機關修正「期貨信託事業管理規則」，修正期貨信託事業內部控制制度標準規範，增訂「風險管理」、「辦理其他經核准之業務」及「法令遵循」等職務及應具備之資格條件；另修正「期貨業業務員登錄作業須知」，增訂「風險管理」等職務及應具備之資格條件。

To cope with the government's amendment to the "Regulations Governing Futures Trust Enterprises," the CNFA revised the internal control standards and guidelines for Futures Trust Enterprises, adding the qualification requirements for those who are in the positions dealing with "risk management", "relevant approved businesses" and "law compliance issues" and meanwhile revised the "Guidelines for Registry of Futures Associated Persons" and added the qualification requirements for those who are in the positions dealing risk-control issues.

21. 配合主管機關修正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、增訂受益人會議召開者得將電子投票列為行使表決權之方式，修正「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）」相關條款。

In cope with the government's amendment to the regulations that the Futures Trust Enterprise should report to the Financial Supervisory Commission for permission before terminating the contract of the futures trust fund whose net assets value per unit has dropped below standard level and the policy to allow digital voting as an alternative voting method for the meeting of fund beneficiaries, the CNFA revised relevant clauses stated in the "futures trust contract template" (regarding the qualifications for buying the funds of general type, deposit-guaranteed type, or combination type).

## 研議、建議事項 Proposals

1. 為服務實體經濟及增進期貨商自有資金運用，金管會參採本公會建議，於111年4月7日發布令，開放本國專營期貨商得以自有資金轉投資於國內設立貿易公司從事倉單相關業務，經營國內外期貨交易所倉單買賣、交換、避險、融資及其他與倉單相關之業務。

In order to strengthen services for physical economic activities as well as to provide greater flexibility for FCMs to use their proprietary fund, the Financial Supervisory Commission (FSC) adopted the CNFA's recommendation and made a formal announcement on April 7, 2022 that domestic FCMs are allowed to use their proprietary fund to set up a trading company to engage on warehousing receipt-related businesses such as warehousing receipt transactions, swapping, risk-hedging, financing, among others.

2. 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.

3. 為強化槓桿交易商向「一般客戶」提供槓桿保證金交易契約交易服務之徵信作業，槓桿交易業務委員會成立「徵信作業機制研議小組」，研商徵信相關作業之程序。

In order to help Leverage Transaction Merchants strengthen their operations in checking credibility of the "general clients" engaged on leverage trading, the Leverage Transaction Committee set up the "Credibility-checking Mechanism Group" responsible for proposing the credibility checking procedures.

4. 有關槓桿交易商使用之交易平台，不得有外部公司提供期貨金融服務之網路鏈結乙案，櫃買中心召開會議，邀請主管機關、本公會及槓桿交易商共同研商改善之方法及時程。

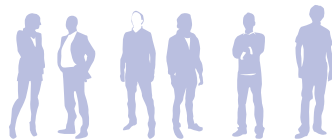
Regarding the proposal to ban hyperlinking the futures-related financial services provided by outside companies to the trading platform used by Leverage Transaction Merchants, the Taipei Exchange invited competent authorities, the CNFA, and Leverage Transaction Merchants to discuss the improvement methods and schedule.

5. 為擴大多元槓桿保證金契約種類，向櫃買中心建議槓桿交易商可向自然人一般客戶提供連結大宗物資商品之差價契約服務。

In order to increase the types of leverage transaction contracts, the CNFA called on the Taipei Exchange to allow leverage transaction merchants to offer general customers the service of trading commodities-linked contract for difference (CFD).

6. 參考國際上許多交易所偵測到期貨商線路斷線時，交易所端即啟動刪除該期貨商於該連線上所有的委託單，以降低市場參與者無法掌控委託單的交易風險，建議期交所先於自營業務實施建立斷線立即刪單（DOD）之風控機制。

Referring to the international practice that an exchange, in order to protect market participants and minimize the risk of uncontrollable trading orders, would immediately delete all the trading orders placed to a futures company where disconnection is detected by the exchange, the CNFA called on the TAIFEX to first help Proprietary Futures Commission Merchants build up the DOD risk-management framework.



7. 建議主管機關開放期貨自營商得於店頭市場從事國內外衍生性金融商品交易，並提案於111年金融建言白皮書。

The CNFA called on the competent authority to allow Futures Proprietary Commission Merchants to trade foreign financial derivatives through the over-the-counter exchange, and proposed the suggestion to be included in Financial White Paper 2022.

8. 為增加期貨商自有資金運用之靈活度及投資效益，建議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投信事業發行之證券投資信託基金，並研擬配套措施。

In order to help Futures Commission Merchants have greater flexibility in managing self-paid capital to pursue higher investment returns, the CNFA called on the competent authority to allow a Futures Commission Merchant to acquire the securities investment trust funds issued by the securities investment trust enterprise of which the Futures Commission Merchant holds a certain stake of shares, and to propose relevant governing regulations.

9. 為協助業者業務推動，保障交易人權益，促進整體期貨市場發展，建議臺灣期貨交易所研議與國外期貨交易所洽談接收其報價資訊源並提供國內業者使用之可行性。

In order to help the FCMs promote business, protect interests and rights of traders, and boost the overall development of the futures market, the CNFA called on the TAIFEX to study the feasibility of asking international exchanges to provide their quotation information to the TAIFEX through which domestic futures merchants will get the information for use..

10. 為提升期貨交易人辦理變更開戶資料之時效性及便利性，建議期交所期貨商及期貨交易輔助人受理交易人於營業場所申請變更開戶資料，新增交易人於期貨商開戶者，於建置客戶基本資料之共同開戶平台下，得至同一期貨商總、分公司與委任期貨交易輔助人總、分公司營業據點辦理。

In order to make it more efficient and convenient for futures traders to change their information required for opening a trading account, the CNFA calls on the TAIFEX and futures auxiliary brokers to handle futures traders' applications for changing the account-opening information at their business sites and handle the information change applications of those new futures traders who have opened trading accounts through the platform with the database of traders' basic information at any business site of the futures company's headquarters office, branch office, or any business site of their entrusted futures auxiliary trading brokers.

11. 考量法人使用出金系統提領保證金，可即時處理資金調度，有利提升法人資金靈活運用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」。

Regarding the deposit withdrawal system for institutional investors allows timely money transfer for flexible capital management and efficient risk control, the CNFA called on the TAIFEX to revise the "Guidelines for Futures Commission Merchants in Building Deposit Withdrawal System to Help Futures Traders Withdraw Deposit."

12. 為優化開戶作業，參考證券市場做法，建議期交所放寬以非當面辦理開戶之交易人，日後欲調高交易額度方式，除現行臨櫃辦理方式外，放寬得以自然人憑證輔以視訊方式辦理。

In order to streamline account-opening procedures, the CNFA refers to the practice on the securities market and calls on the TAIFEX to allow those futures traders who didn't open their trading accounts in person to use their electronic ID certificate to apply for raising their ceiling transaction amount through video conferencing system, in addition to the existing in-person application.

13. 為簡化靜止戶銷戶作業，在兼顧民法相關規範暨維護期貨交易人權益，且無礙於期貨商保全證據下，建議期交所修正「期貨商寄送買賣報告書、對帳單及註銷帳戶作業要點」，放寬現行以雙掛號通知期貨交易人之方式，得採取其他多元化通知方式。

In order to simplify the account-nullification procedures for inactive traders and, in accordance with the Civil Code, to protect futures traders' rights without hindering the document security required by Futures Commission Merchants, the CNFA calls on the TAIFEX to revise the "Guidelines for Futures Commission Merchants in Mailing Transaction Reports, Transaction Statements, and Account Nullification Procedures," allowing diverse delivery methods compared to the existing mandatory double-register mailing requirement.

14. 為簡化作業程序，建議期交所期貨交易人以通信或電子化方式辦理申請新增、變更約定存款帳戶時，期貨交易人本人無須於存款帳戶存摺或對帳單等文件影本簽名或蓋章，並加註約定日期之規定。

In order to simplify the operational procedures, the CNFA called on the TAIFEX to revise the regulations that, when the traders apply for additional accounts or change the deposit accounts by mail or through digital means, they don't need to sign or affix a seal on the copies of deposit accounts passbook or other related documents, nor need to note the date.

15. 鑑於證券商與期貨商同屬受金融監督管理委員會高度監理之特許事業，基於資金分散之風險管理政策，且現行證券商管理法令對其從事期貨交易已有相關規範，建請主管機關排除期貨商之法人董事、監察人屬證券商且從事國外期貨交易者為內部人員之適用範圍。

Considering that the securities firms and the FCMs are both highly regulated businesses by the FSC, and under the risk management policy of capital diversification, as well as the regulations on securities firms engaged on futures trading, the CNFA called on the supervisory authorities to eliminate the requirement that company's executive directors or supervisors should come from securities firms and have engaged on foreign futures trading.

16. 鑑於夜間美國股市波動或突發事件時進行避險或調整交易策略，建議期交所於盤後交易時段加掛以在美國上市ADR之股票做為標的商品。

Considering risk-hedging or adjusting the trading strategies in case of sudden events or extraordinary fluctuations in USA stock markets at night, the CNFA called on the TAIFEX to add the securities as underlying assets of US-listed ADRs to be traded during the after-market trading hours.

17. 為優化期貨結算系統與期貨商間之資訊交換作業，建議期交所依三階段開放MTS新的通訊格式，不限於windows api。

In order to optimize the information exchange operations between the FCMs and futures clearing system, the CNFA called on the TAIFEX to open up the new MTS protocol through three stages, without limited to windows API.

18. 為避免期貨市場因代為沖銷作業引發選擇權非線性風險，導致0206事件重演，建議期交所在特殊情況下，期貨商執行代為沖銷作業時得在價格崩跌當日對short call部位不執行代為沖銷。

In order to avoid repeating of the 0206 event caused by the nonlinear risk of options resulted from proxy clearing of the FCMs, the CNFA proposed suggestion to the TAIFEX that, under extraordinary situations, FCMs can choose not to make proxy clearing for the short call positions on the day when the prices stumble.



19. 為協助交易人儘速解決問題、提升交易人陳情處理效率，建請主管機關參考銀行局網站揭示處理陳情或申訴之做法。

In order to optimize the information exchange operations between the FCMs and futures clearing system, the CNFA called on the TAIFEX to open up the new MTS protocol through three stages, without limited to windows API.

20. 為符業者實務作業需求，建請主管機關將期貨稽核人員參加內部稽核講習之規定，從執行業務前半年內，放寬為執行業務前二年內。

In order to simplify the account-nullification procedures for inactive traders and, in accordance with the Civil Code, to protect futures traders' rights without hindering the document security required by Futures Commission Merchants, the CNFA calls on the TAIFEX to revise the "Guidelines for Futures Commission allowing diverse delivery methods compared to the existing mandatory double-register mailing requirement.

21. 配合資本市場藍圖規劃，與期交所及業者組成專案小組研議修正ANC計算方式及計算表，建議主管機關將期貨商持有透過其他綜合損益按公允價值衡量（FVOCI）之上市（櫃）股票納入ANC分子項計算及將期貨商持有因租賃協議產生之租賃負債納入ANC分子項計算（亦即將租賃負債自負債總額扣除）。

In order to cope with the Capital Market Roadmap, the CNFA joined the TAIFEX and several futures companies in forming a taskforce engaged on study how to revise the ANC calculation method and sheets. The CNFA proposed a recommendation to the supervisory authorities that the FCM's holdings of the FVOCI-evaluated listed stocks (including OTC-listed ones) should be included to the numerator of the ANC. Also, FCM's liabilities from leasing should be also added to the numerator of the ANC (i.e., to deduct the leasing liability from the total liability amount).

22. 為研議開放期貨商國際期貨業務平台之可行性，以利期貨業者在兼顧外匯穩定前提下擴大期貨產業商機，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）之可行性」研究。

In order to evaluate the feasibility for Futures Commission Merchants to operate international futures trading platforms to expand futures business potentials under the premise of stable foreign exchange rate, the CNFA appointed LCC Partners Law Office to do the research project on "Feasibility for Futures Commission Merchants to Operate Offshore Futures Units (OFU)."

23. 為推動「證券期貨業永續發展轉型執行策略」，與證券商公會、投信投顧公會共同委託安永會計師事務所進行「證券期貨投信投顧三業氣候變遷情境分析研究報告及指引與範例」、「證券期貨投信投顧三業氣候變遷資訊揭露研究報告及指引與範例」、「證券期貨投信投顧三業溫室氣體排放範疇三研究報告及資訊揭露指引與範例」研究。

In order to advocate the "Sustainable Development and Transformation Strategies for Securities and Futures Industries," the CNFA joins the Taiwan Securities Association (TSA) and the Securities Investment Trust and Consulting Association (SITCA) in appointing Ernst & Young to do these research projects on "Climate-changing Situation Report, Analysis Guidelines, and Exemplar Cases for Securities, Futures, Securities Investment Trust and Advisory Industries," "Climate-changing Information Disclosure Report, Guidelines, and Exemplar Cases for Securities, Futures, Securities Investment Trust and Advisory Industries," and the "CO<sub>2</sub> Emission Range Research Report, Information Disclosure Guidelines and Exemplar Cases for Securities, Futures, Securities Investment Trust and Advisory Industries."

## 二、業務發展事項

### B. Association activities

#### 政令宣導 Policy Advocating



#### 公平待客原則評核說明會 (1/11)

為協助期貨商落實金融服務業建立公平待客之作為，本公會辦理說明會，邀請主管機關說明評核作業及評核重點、邀請業者分享實務作業經驗，14家專營業者共34名專責主管及人員出席。

#### Presentation on "Treating Customers Fairly Principle" practice assessment

In order to help futures companies provide financial services in accordance with the "Treating Customers Fairly Principle," the CNFA held this presentation seminar, inviting competent authority to explain the assessment procedures and major assessment points as well as inviting industry representatives to share their practice experience. This activity was attended by a total 34 executives and relevant staff workers from 14 Futures Commission Merchants.

#### 「金融消費者保護法令解析與最新趨勢」線上課程 (3/31)

為能協助會員營造更具包容性的金融友善環境，本公會邀請金融消費評議中心林志潔董事長分享經驗，期提昇業者公平合理對待客戶之意識及專業知識，計553位董、監、經理人及法令遵循、內部稽核主管及人員與會

#### Online course on "Financial Consumer Protection Act explanation and latest development trend"

In order to help Member Companies develop even more inclusive financially friendly environment, the CNFA invited Carol Lin, Chairwomen of Financial Ombudsman Institution, to share her experiences to help Member Companies strengthen their awareness of fair treatment of consumers and related professional knowledge. This online course was participated by a total of 553 executive directors, supervisors, managers, as well as other executives and staff workers engaged on the work of law compliance and internal auditing.

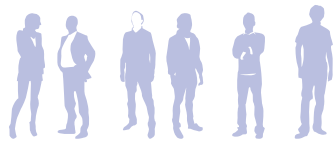
#### 洗錢防制 / 打擊資恐法令解析及案例說明會 (8/23、8/26、8/31、11/29、12/1)

本公會邀請洗錢防制辦公室、律師等專家，以實務案例說明國際監理趨勢、可疑交易監控、數位科技與防制洗錢之應用，以協助會員對AML/CFT作業之執行，共辦理3場實體、2場線上說明會，約550位洗錢防制相關人員與會。

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

The CNFA invited officials from the Anti-Money Laundering Office as well as lawyers and other experts to give case illustrations on international monitoring trend, suspicious transaction monitoring, and applications of digital technologies to AML practice, in a bid to help Member Companies conduct AML/CTF practices. This seminar was held three times in physical conference rooms and twice through video conferencing, participated by 550 people in total.





### 強化資通安全及案例說明會 (9/29、10/6、10/14)

為協助會員強化資通安全與個人資料保護，本公會辦理北中南各乙場「強化資通安全及案例說明會」，從網路犯罪案例談個人與企業如何因應資安風險，超過200位資訊安全、營業單位及相關人員與會。

#### Presentation on “information security and case illustrations”

In order to help Member Companies strengthen information security and personal information protection, the CNFA held this presentation seminar in northern, central, and southern Taiwan, illustrating several criminal cases committed online and analyzing how to manage the risk involved with information management. This seminar was attended by over 200 people engaged on information security, futures transaction, and related fields.



### 「111 年度受裁罰案例研習」專業訓練課程

於111年9月8日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，本次課程共計28位參訓。

#### Professional training course on “Penalty Cases studies” in 2022

On September 8, 2022, the CNFA was appointed by the Financial Supervisory Commission to arrange this professional training course for staff workers from the disciplined futures companies, inviting lecturers from competent authority to explain relevant regulations and make case illustrations. This course was participated by 28 trainees.

## 市場推廣 Market promotion activities

### 贊助 111 學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1億元，其中8仟萬元供發放教育獎助學金，111年提供獎助學金予1,507名學生，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。

#### Charity educational fund for financial service industry

The “Charity Financial Service Educational Fund” was founded by the Taiwan Financial Services Roundtable under instruction of the FSC, with an initial capital of around NT\$100 million donated from related associations, holding companies, and foreign banks. Of the initial capital, around NT\$80 million is used to grant awards or financial subsidies. In 2022, it granted financial subsidies to 1,507 students, NT\$50,000 for each. The rest NT\$20 million is used for holding financial training programs. This Fund was founded to prevent interruption in student’s study at school due to economic problems as well as to provide students with even more opportunities for pursuing careers in financial industry.

### 參與「期貨商 ANC 專案小組」會議

依資本市場3年藍圖規劃，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，於2月17日及8月19日參與期交所召集之期貨商ANC專案小組會議。

#### Meeting of “Futures ANC Project Group”

In accordance with capital market development blueprint for the following three years, the CNFA joined the TAIFEX and industry representatives in founding the Futures ANC (adjusted net capital) Project Group, engaged on collecting information about capital risk, capital adequacy from international futures markets so as to formulate the ANC calculation formula. The CNFA attended the two meetings of this TAIFEX-convened Futures ANC Project Group on Feb. 17 and Aug. 19, respectively.

### 「證券期貨業永續發展轉型執行策略」三公會交流討論會議

為協助證券期貨業者具體執行永續發展轉型策略，與證券商公會、投信投顧公會共同研議：

1. 針對具體措施第21、22及26項策略，研訂證券期貨業氣候變遷情境分析範例或指引及具體措施、氣候變遷資訊揭露範例或指引及具體措施、證券期貨業揭露碳盤查(範疇三)相關資訊，於4月18日及5月13日分別召集討論會議。
2. 針對具體措施第27項策略研擬設立證券期貨業網站專區，揭露各項執行永續發展資訊、氣候變遷資訊、與公開發行公司議合及參與公司股東會投票等資訊，於9月29日及12月8日分別召集三公會交流會議。

#### Sustainable Development and Transformation Strategies for Securities and Futures Industries jointly held by three associations

In order to help securities firms and futures companies substantively implement the sustainable development and transformation strategies, the CNFA joined the TSA and SITCA in the meeting to discuss the following two issues:

1. Regarding how to substantively implement Items 21, 22, and 26 of the “Strategies,” the three associations define the exemplar cases of climate-changing situation analysis and information disclosure as well as guidelines, practical reaction measures, and Co2 emission tracking information (range 3) for securities firms and futures companies. They convened the meeting twice to discuss these issues on April 18 and May 13, respectively.
2. Regarding how to substantively implement Item 27 of the “Strategies,” the three associations proposed to create a special area on their websites to publish climate change and sustainable development information as well as the information regarding meeting procedures and voting activities of the shareholders of the public companies (which issue shares publicly). They convened the meeting twice to discuss this issue on Sept. 29 and Dec. 8, respectively.



### 運用LME金屬期貨避險分享會(1/17)

為推動期貨業服務實體經濟，由證期局指導、本公會辦理「運用LME金屬期貨避險分享會」視訊講座，邀請企業實務專家分享觀念、避險比例與控管機制、SOP作業經驗，並邀請期交所共同與會進行溝通交流。

#### Experience-sharing seminar on how to use LME-traded metal futures for risk hedging

In order to promote futures-related service for development of physical economic activities, the CNFA followed the instructions of the Securities and Futures Bureau to arrange the this online experience-sharing seminar on how to hedge risks with the metal futures traded on the London Metal Exchange (LME), inviting industry experts to share ideas on the futures, spot goods ratio, risk-control mechanism, and SOP operational experience. TAIFEX representatives were also invited to discuss and exchange viewpoints at this seminar.



### 贊助財團法人台北金融研究發展基金會「金鑽獎」活動(3/23)

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25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。

#### Sponsoring "TFF-Bloomberg Best Fund Award" activity

In order to compliment industry talents and establish professional images of mutual fund workers, as well as to help the public examine the performances of the mutual funds in Taiwan, the CNFA sponsored the 25th "TFF-Bloomberg Best Fund Award" held by the Taipei Foundation of Finance (TFF). While encouraging the mutual fund workers' efforts and praising their professional experience, it also arouses the public's awareness of the social trend and recognition of performances of the mutual funds.



### 「期貨業永續發展轉型執行策略」宣導座談會(8/16)

為強化期貨業永續發展經營，期交所與本公會共同辦理「期貨業永續發展轉型執行策略」宣導座談會，以期期貨商高層瞭解政策目標及方向，本場次15家期貨商全數出席，近120位董事、監察人及高階主管與會。

#### Promotional seminar on "Transition Strategies of Sustainable Development for Futures Sectors"

In order to help futures companies strengthen their operations for sustainable development, the CNFA and the TAIFEX jointly held the promotional seminar on "Transition Strategies of Sustainable Development for Futures Sectors" in a bid to help the high-ranking executives of futures companies clearly understand the targets and development directions of the futures industry. It's joined by all the 15 Futures Commission Merchants. An estimate of around 120 executive directors, supervisors, and other high-ranking executives attended this seminar.



### 參與2022 ESG高峰會(6/24、6/25)

期交所邀請本公會及期貨商共同參與會計基金會辦理之「2022 ESG高峰會」，展示期貨業共同推動ESG的努力成果，本次有元大、統一、群益、凱基等四家期貨商及本公會參與設攤，超過1,200位民眾臨櫃參觀。

#### ESG Summit 2022

The TAIFEX invited the CNFA and futures companies to participate ESG Summit 2022, organized by the Accounting Research and Development Foundation, to present the results of futures companies' effort in ESG practice. At the event, the CNFA and four Futures Commission Merchants—Yuanta, President, Capital, and KGI—also ran promotional booths which drew around 1,200 visitors.



### 參與金融業反詐騙宣示儀式(9/19)

宣示儀式由金管會指導，證交所統籌、周邊單位共同辦理，以展現反制金融詐騙決心，並期喚起全民防詐意識。由金管會黃天牧主委、證期局張振山局長、刑事警察局李西河局長及本公會等10個周邊單位首長共同宣示。

#### Anti-fraud Oath Ceremony

The ceremony was jointly organized by several related industry associations under instruction of the Financial Supervisory Commission (FSC) and planning of the Taiwan Stock Exchange, in a bid to present determination in countering financial frauds and arouse anti-fraud awareness of the public. FSC Chairman Huang Tien-mu, Securities and Futures Bureau Director-general Chang Chen-shan, Criminal Investigation Bureau Commissioner Li Hsi-ho as well as the high-ranking officials from 10 related associations all attend to lead participants to take the oath.



### 2022 LME線上實務研討會(11/4)

由本公會主辦、臺灣港務公司高雄分公司協辦的「2022LME線上實務研討會」，安排業界專家現身說法，就倉單業務需建立之風控機制、人員培訓及LME倉單最新情況等議題分享經驗，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325人參與交流。

#### Online LME Practice Seminar 2022

The online LME Practice Seminar 2022, organized by the CNFA with sponsor of Kaohsiung branch of Taiwan International Ports Corporation, invited experts to speak on the topics of risk-control mechanism for warehouse receipt management, staff training, status of warehouse receipts trading at LME, as well as discuss the possible roles of futures companies in this practice and their challenges ahead. The seminar was joined by 325 persons who shared their experience and exchange viewpoints through this online event.



### 2022 台北國際期貨論壇(12/9)

為提升期貨業在後疫情時代服務實體經濟之效能，本公會邀請臺灣期貨交易所、國際著名期貨交易所與國內外業者代表就「通膨與升息環境下期貨業之挑戰與因應之道」分享未來趨勢及實務觀點，共吸引226位業界人士參與。

#### Taipei International Futures Forum 2022

In order to promote futures industry's services for the physical economy in the post-pandemic era, the CNFA invited representatives from the TAIFEX, well-known international futures exchanges, as well as domestic and foreign futures companies to speak on the theme "Challenges and Countering Strategies of Futures Industry to Inflation and Rising Interest Rates." They shared viewpoints on future trends and practical operations, drawing 226 attendees from the industry.



### 「期貨業未來發展與就業機會」校園巡迴講座 (3/1-5/31)

為利期貨業永續發展，本公會邀請專營期貨業者組成講師團，深入校園分享實務工作經驗、介紹期貨市場發展前景與人才需求，期能引入人才投入、壯大期貨產業。今年度共辦理24場、約1,900位同學參與。

#### “Future Market Development and Job Opportunities” – campus lecture tour

In a bid to help futures companies pursue sustainable development, the CNFA invited Futures Commission Merchants to organize a lecturer team to tour into the campus of universities around Taiwan. They shared their working experience, analyzed the outlook of futures market and talents demand in a hope of inducing talents to join this industry so as to help expand the industrial scale. In 2022, the lectures team toured to 24 campuses, drawing attendance of around 1,900 students.



### 校園金融講堂及期貨校園徵才(11/16、11/23)

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 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. Meanwhile, the CNFA invited Member Companies to run booths to advocate the concepts of legitimate futures at these events.





## 聯誼活動 Friendship activities

### 委員會聯誼活動(9/17-9/18、9/24-9/25)

本公會為感謝各委員會委員平日參予會議之辛勞與貢獻，分二梯次舉辦委員會聯誼活動，本年度擇定「南投鹿谷小半天風景區、溪頭及車埕火車站」二日休閒之旅，計60位委員、眷屬及會務人員參加。

#### Friendship activity for committee members

To express its appreciation to all the committee members for their efforts and contributions to the committee meetings, the CNFA organized the 2-day friendship trips for the committee members, who were divided into two groups for the trips to the “Hsiaobantien Leisure Farmland in Luku, Nantao” and the “Hsi-tao & Checheng Station,” respectively. The two trips were joined by 60 committee members, their family members, as well as the CNFA administrative staff workers.



### 理監事聯誼活動(5/10-5/12、6/7-6/9、12/1-12/4)

111年度理監事聯誼活動，分三梯次舉辦南投2團、高屏台東1團，共28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 three friendship activities for three separate groups of executive directors and supervisors in 2022, two in Nantao and one in Taitung, participated by 28 executive directors and supervisors in total. Through these leisure activities, the executive directors and supervisors could relax themselves from busy work and took the opportunities to learn from each other, make interactions, in





### 理監事自強活動

(12/7-12/9、12/18-12/20、12/25-12/27)

111年度理監事海外參訪活動配合防疫政策更改為國內自強活動，於12月分三梯次舉辦埔里牛眠1團、苗栗寨酌然2團，共計29位理監事參加。

### Physical-training activity for executive directors and supervisors

Due to the COVID-19 pandemic in 2022, the overseas visiting trips for executive directors and supervisors were changed to three physical-training activities for three separate groups in December, one in The Bal'e Villa of Puli Township and two in Modo Forest Museum of Miaoli County, participated by 22 executive directors and supervisors in total.



### 證券期貨盃高爾夫球錦標賽聯誼活動 (5/7)

由本公會與證交所、期交所、集保結算所、櫃買中心、證券公會及投信投顧公會等單位共同辦理「證券期貨盃高爾夫球錦標賽」於5月7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 2022

The Securities & Futures Golf Championship for 2022, co-organized by seven associations and institutes, namely the TSE, TAIFEX, TDCC, TAPx, TSA, CNFA, and SITCA, was held at the Sunrise Gold & Country Club on May 7, an event to strengthen interactions among the workers in related industries.



### 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111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3案，計6項違規內容，發函要求改善者3件、核處警告者3件。

The CNFA made annual inspection on futures advisory enterprises and their practices of internal auditing. Among those breaking the “Self-discipline Agreement for CNFA Members, in 2022” 6 cases were reported to the Discipline Committee, 3 were notified to make improvement by written letter, and 3 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9案，計9項違規內容，發函要求改善者9項。

Among other member companies which violated the “Self-discipline Agreement for CNFA Members” (except futures advisory enterprises), there were 9 cases reported to the Discipline Committee, 9 cases found to have violated the Agreement, and 9 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

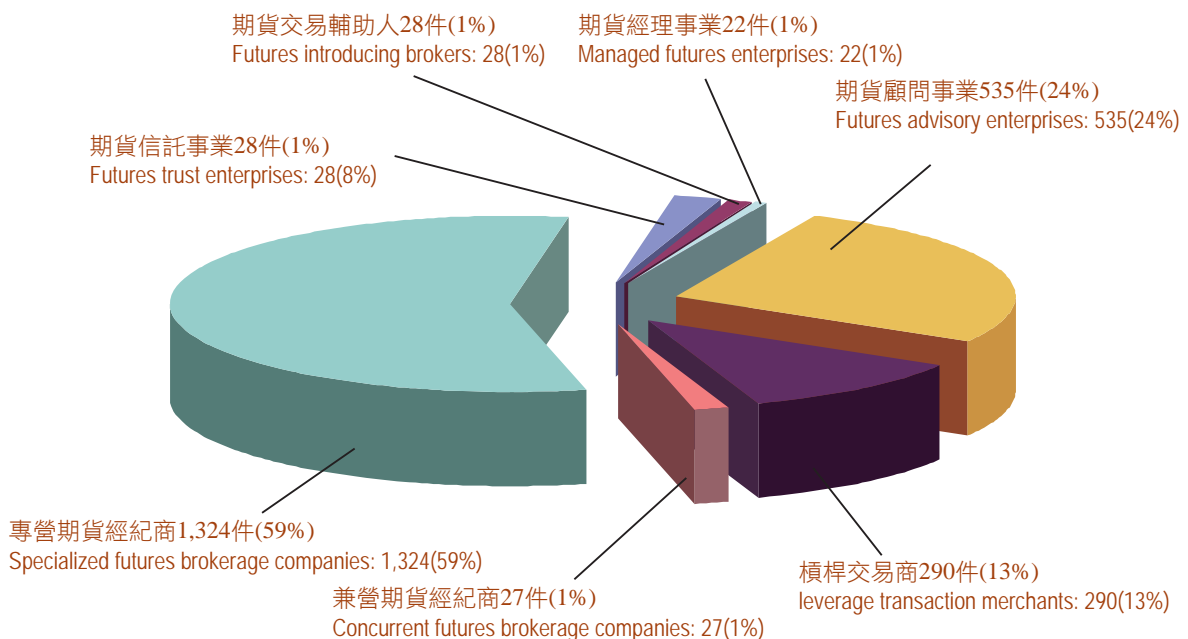
##### D. Inspection of advertisement and promotional materials of member companies

本公會111年度共計審核2,254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1,324件、兼營期貨經紀商申報27件、槓桿交易商申報290件、期貨顧問事業申報535件、期貨經理事業申報22件、期貨信託事業申報28件、期貨交易輔助人申報28件。

In 2022, the Association reviewed 2,254 projects of advertisement and promotional materials published by member companies. Among them, 1,324 projects were filed by the specialized futures brokerage companies, 27 by concurrent futures brokerage companies, 290 by leverage transaction merchants, 535 by futures advisory enterprises, 22 by managed futures enterprises, 28 by futures trust enterprises, and 28 by futures introducing brokers.

##### 111年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2022



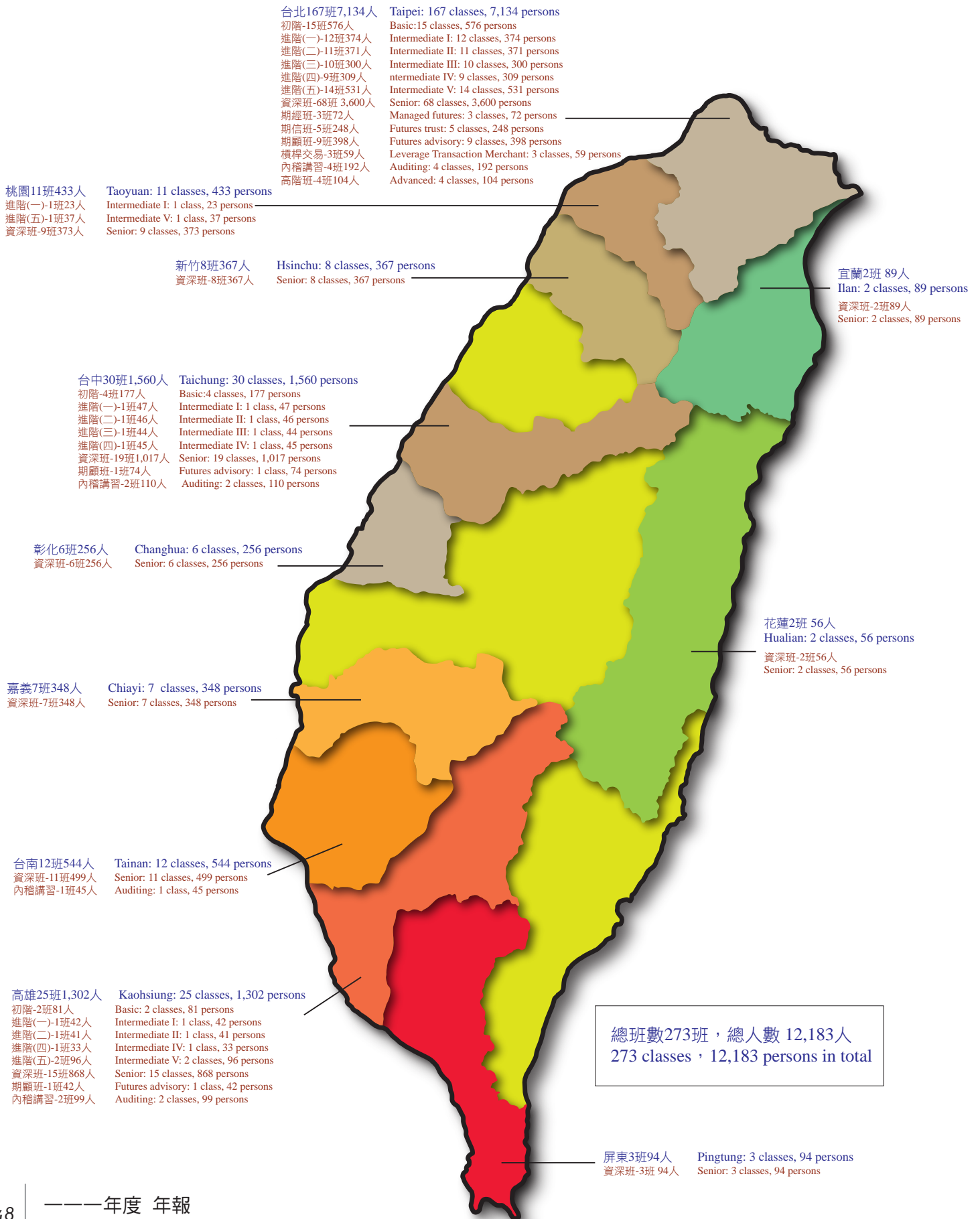


五、在職訓練

E. On-job training

111年度舉辦之地區別、班別及人數詳如下圖：

CNFA-arranged Training Courses in 2022



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

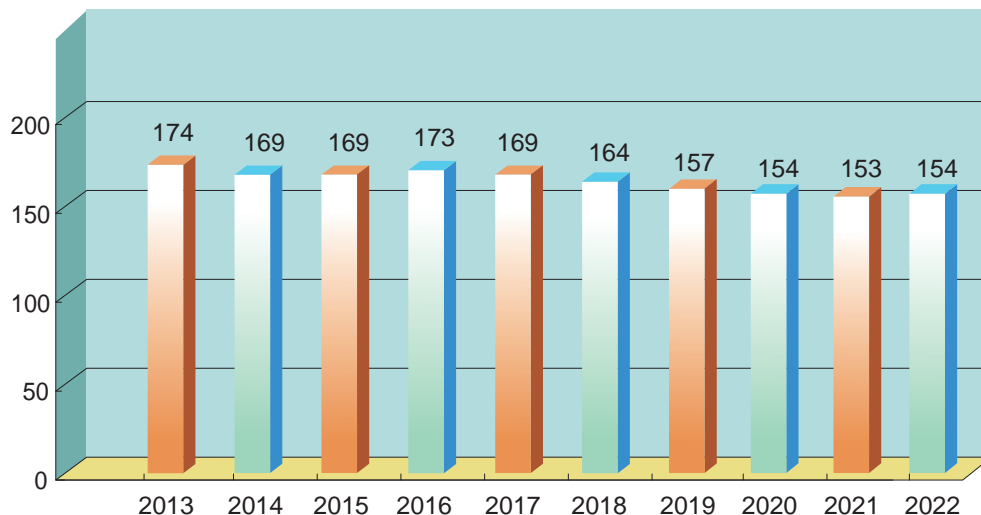
1. 會員及業務員基本資料之建立及登記事項

Registration of member companies and their business representatives

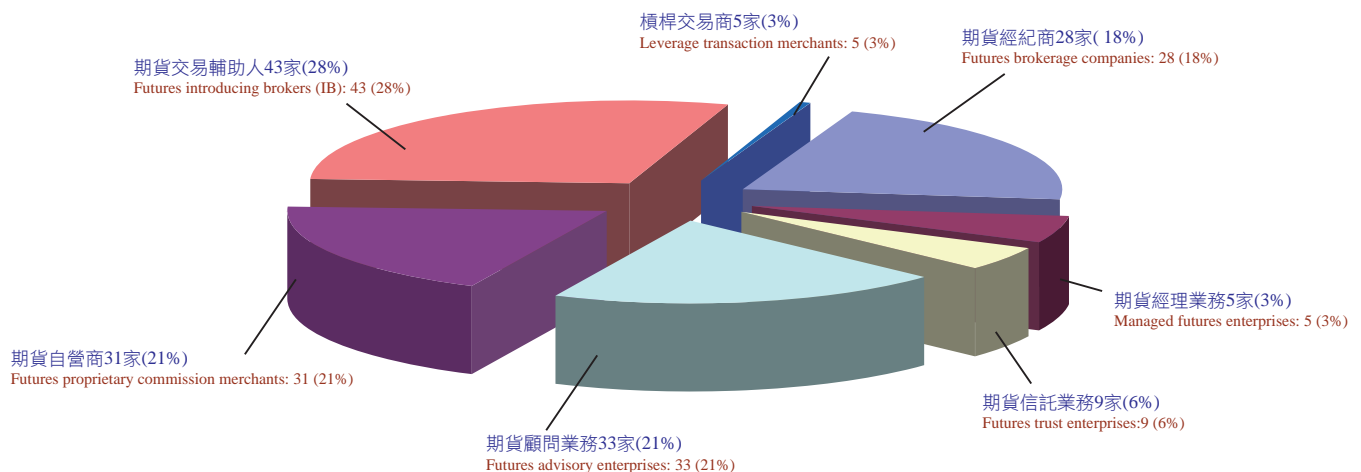
- 會員家數：共計154家，其中經營期貨經紀業務為28家；期貨業務輔助人43家；期貨自營業務31家；期貨顧問業務33家；期貨經理業務5家；期貨信託業務9家；槓桿交易商5家。

There were 154 member companies registered with the CNFA at the end of 2022: 28 futures brokerage companies, 43 futures introducing brokers, 31 futures proprietary commission merchants, 33 futures advisory enterprises, 5 managed futures enterprises, and 9 futures trust enterprises, and 5 leverage transaction merchants.

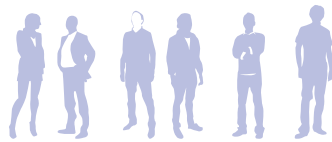
近10年會員家數統計圖  
Statistics of CNFA Member Companies over Past 10 Years



111年度會員類別統計圖  
Statistics of CNFA Member Companies in 2022, by Business Category



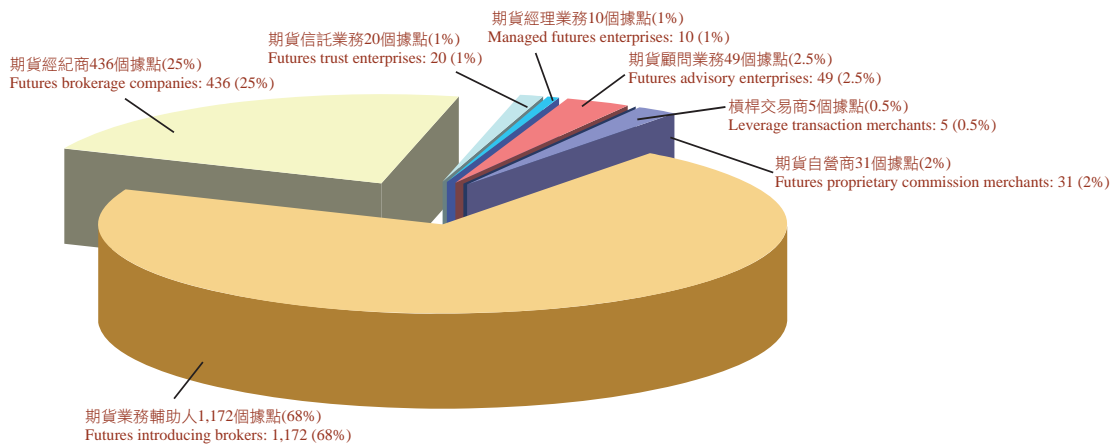
共計154家會員 資料統計截至111/12/31  
A total of 154 member companies as of Dec. 31, 2022



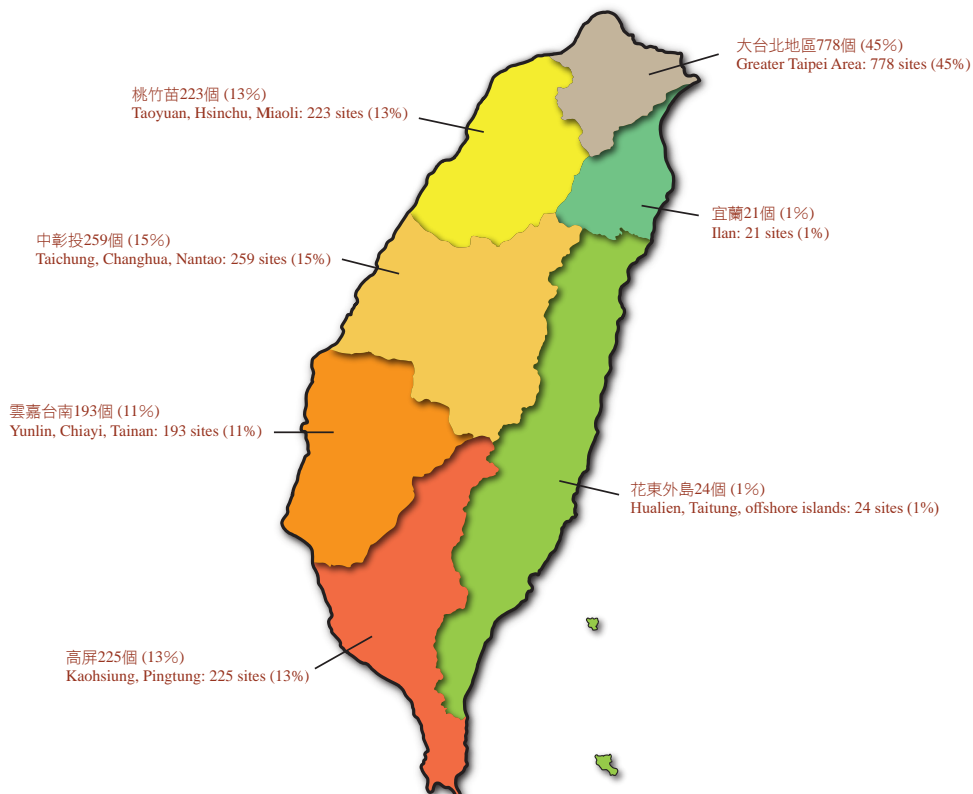
- 會員總分公司分支機構數：共計1,723家，其中經營期貨經紀業務為436個營業據點；期貨業務輔助人1,172個營業據點；期貨自營業務31個營業據點；期貨顧問業務49個營業據點；期貨經理業務10個營業據點；期貨信託業務20個營業據點；槓桿交易商5個營業據點。

CNFA Member Companies were operated with a total of 1,723 headquarters offices and branch offices as of the end of 2022: 436 used by futures brokers, 1,172 used by introducing brokers, 31 used by futures proprietary commission merchants, 49 used by futures advisory enterprises, 10 used by managed futures enterprises, and 20 used by futures trust enterprises, 5 used by leverage transaction merchant。

111年度會員營業據點統計圖  
Business Sites of CNFA Member Companies in 2022



111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 2022

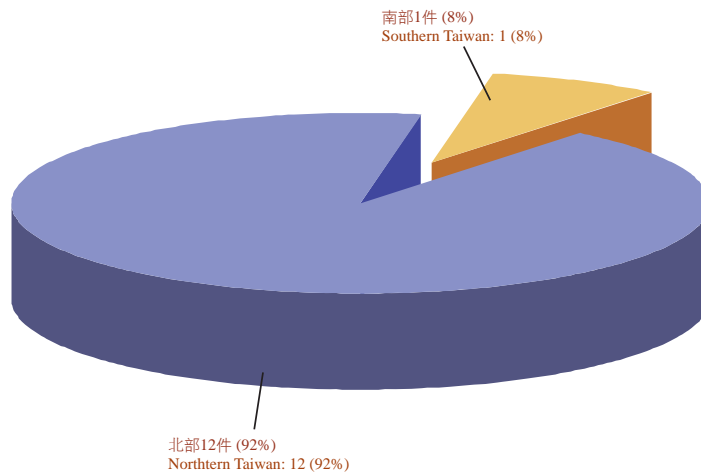


● 會員場地勘察 Business site inspection

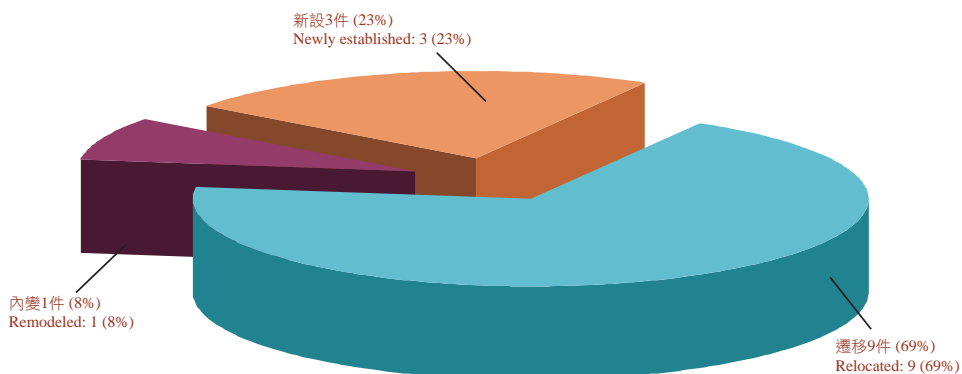
111年度共計13件實地場勘案(北部地區12件、南部地區1件)，就其場勘案件分析，新設營業處所3件、遷移營業處所9件、營業處所內部配置變動1件。

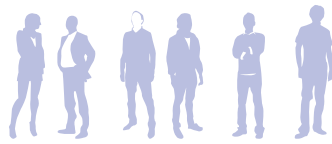
The Association conducted a total of 13 business site inspection projects in 2022 (12 in northern Taiwan, 1 in southern Taiwan). Among these inspected sites, 3 were newly established, 9 were relocated, and 1 was remodeled.

111年度場地勘察區域分布統計圖  
Geographical Areas of Inspected Business Sites in 2022



111年度場地勘察類別統計圖  
Statistics of Business Site Inspection Projects in 2022



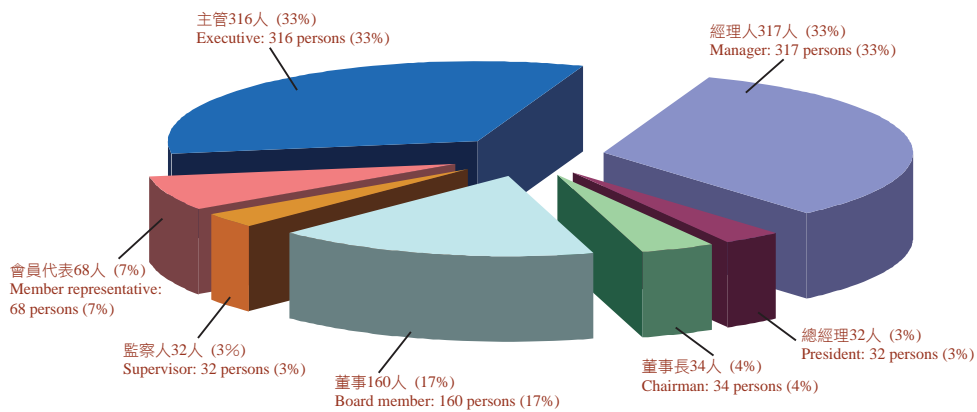


2. 會員委託證照之申請變更、換領及其他服務事項  
Certificate renewal, change, and other related services

- 會員代表、會員負責人111年度於本公會異動登錄共計959人次，細分如下：

In 2022, the Association handled a total of 959 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies.

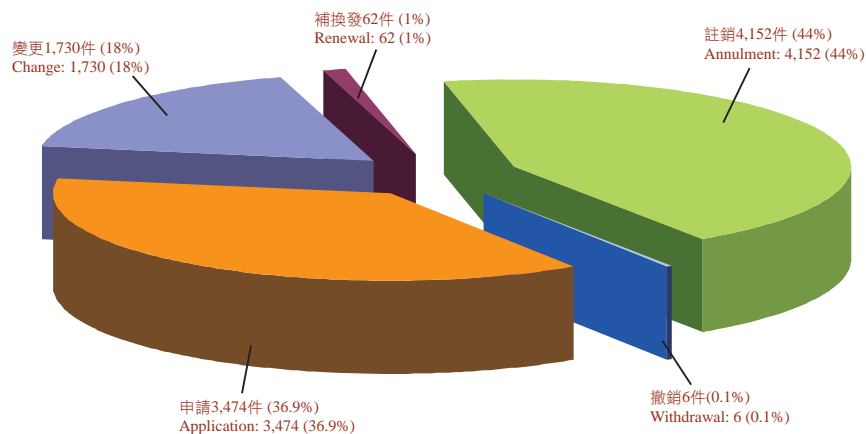
111年度身分類異動統計圖  
Position Change Statistics for 2022



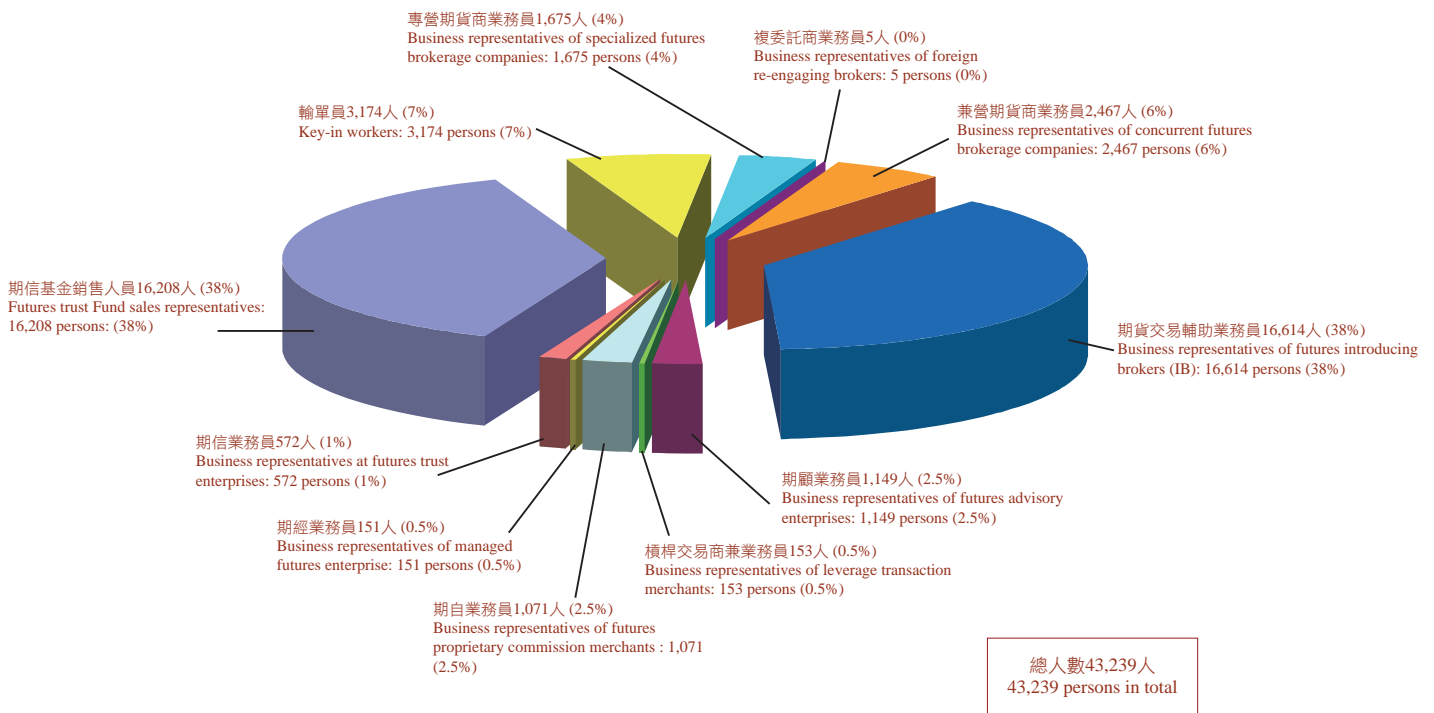
- 業務員、輸單員、銷售人員111年度於本公會異動登錄共計9,424件，每月平均785件

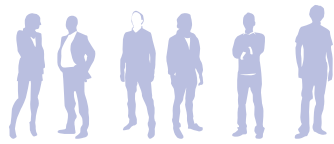
In 2022, the Association handled a total of 9,424 business representative, key-in worker, and salesperson enrollment cases, with an average of 785 cases per month.

111年度業務異動類別統計圖  
Job Change Registrations in 2022



**111年度從業人員登記統計圖**  
**Business Category Change of Staff at CNFA Member Companies in 2022**





# 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

(112)財審報字第 22003728 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 111 年及 110 年 12 月 31 日之資產負債表及財產清冊，暨民國 111 年及 110 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 111 年及 110 年 12 月 31 日之財務狀況，暨民國 111 年及 110 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會計報告規則及中華民國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之責任段進一步說明。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。

### 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在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，惟依照中華民國審

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



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審計準則查核時，運用專業判斷及專業懷疑。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。

本會計師與治理單位溝通之事項，包括所規劃之查核範圍及時間，以及重大查核發現（包括於查核過程中所辨認之內部控制顯著缺失）。

資誠聯合會計師事務所

會計師

李香吟



中華民國 112 年 2 月 17 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, 2022 and 2021, 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, 2022 and 2021, 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 17, 2023

---

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.

中華民國期貨業商業公會  
會計師事務所  
民國111年12月31日

	111年12月31日		110年12月31日		111年12月31日		110年12月31日	
	金額	%	金額	%	金額	%	金額	%
<b>資產</b>								
流動資產								
現金及銀行存款(附註五(一))	\$ 41,226,966	6	\$ 6,214,767	1	\$ 15,797,235	2	\$ 12,332,546	2
有價證券(附註五(二))	147,796,681	21	165,796,681	25	389,247	-	182,770	-
應收帳款(附註五(三))	1,185,346	-	821,993	-	122,800	-	268,020	-
預付款項	665,200	-	341,034	-	-	-	-	-
流動資產合計	190,874,193	27	173,174,475	26	16,309,282	2	12,783,336	2
基金								
會務發展準備基金-專戶存款(附註五(四))	150,303,764	21	142,586,652	21	50,400,000	7	50,580,000	7
退換準備基金-專戶存款(附註五(五))	37,970,011	6	38,037,195	6	50,400,000	7	50,580,000	7
基金合計	188,273,775	27	180,623,847	27	66,709,282	9	63,363,336	9
固定資產(附註五(六))								
土地	133,989,345	19	133,989,345	20	-	-	-	-
房屋及建築	107,770,320	15	107,770,320	16	-	-	-	-
專務設備	18,898,974	3	16,984,174	2	157,583,764	23	149,476,652	22
雜項設備	4,048,868	1	3,821,768	1	41,043,044	6	37,663,808	6
辦公設備	2,076,030	-	1,996,030	-	266,783,537	38	264,561,637	39
固定資產合計	266,783,537	38	264,561,637	39	465,410,345	67	451,702,097	67
其他資產								
有價證券(附註五(七))	5,301,550	1	5,301,550	1	159,063,376	23	147,233,221	22
存出保證金	57,300	-	57,300	-	10,507,352	1	11,830,155	2
自律基金-專戶存款	50,400,000	7	50,400,000	7	169,570,728	24	159,063,376	24
其他資產合計	55,758,850	8	55,758,850	8	634,981,073	91	610,765,473	91
資產總計	\$ 701,690,355	100	\$ 674,128,809	100	\$ 701,690,355	100	\$ 674,128,809	100
<b>負債</b>								
流動負債								
應付款項(附註五(八))								
代收帳款								
暫收款								
流動負債合計								
其他負債								
存入保證金-自律基金								
其他負債合計								
負債合計								
基金及餘絀								
基金								
會務發展準備基金								
退換準備基金								
資產基金								
基金合計								
餘絀								
累計餘絀								
本期餘絀								
餘絀合計								
基金及餘絀合計								
負債、基金及餘絀總計	\$ 701,690,355	100	\$ 674,128,809	100	\$ 701,690,355	100	\$ 674,128,809	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：

陳君佩

陳君佩

陳君佩



CHINESE NATIONAL FUTURES ASSOCIATION  
BALANCE SHEETS  
YEARS ENDED DECEMBER 31

	2022		2021		Notes	2022		2021		Notes	2022		2021	
	Amount	%	Amount	%		Amount	%	Amount	%		Amount	%	Amount	%
(Expressed in New Taiwan Dollars)														
<b>ASSETS</b>														
<b>Current Assets</b>														
Cash and bank deposit	\$ 41,226,966	6	\$ 6,214,767	1	5(1)	\$ 15,797,235	2	\$ 12,332,546	2	5(8)	\$ 15,797,235	2	\$ 12,332,546	2
Securities	147,796,681	21	165,796,681	25	5(2)	389,247	-	182,770	-		389,247	-	182,770	-
Accounts receivable	1,185,346	-	821,993	-	5(3)	122,800	-	268,020	-		122,800	-	268,020	-
Prepayments	665,200	-	341,034	-		16,309,282	2	12,783,336	2		16,309,282	2	12,783,336	2
<b>Total current assets</b>	<u>190,874,193</u>	<u>27</u>	<u>173,174,475</u>	<u>26</u>										
<b>Funds</b>														
Development fund at special bank account	150,303,764	21	142,596,652	21	5(4)	50,400,000	7	50,580,000	7		50,400,000	7	50,580,000	7
Pension fund at special bank account	37,970,011	6	38,037,195	6	5(5)	50,400,000	7	50,580,000	7		50,400,000	7	50,580,000	7
<b>Total funds</b>	<u>188,273,775</u>	<u>27</u>	<u>180,633,847</u>	<u>27</u>		66,709,282	9	63,363,336	9		66,709,282	9	63,363,336	9
<b>Property, Plant and Equipment</b>														
Land	133,989,345	19	133,989,345	20	5(6)	157,583,764	23	149,476,652	22		157,583,764	23	149,476,652	22
Buildings	107,770,320	15	107,770,320	16		41,043,044	6	37,663,808	6		41,043,044	6	37,663,808	6
Machinery and equipment	18,898,974	3	16,984,174	2		266,783,537	38	264,561,637	39		266,783,537	38	264,561,637	39
Miscellaneous property, plant, and equipment	4,048,868	1	3,821,768	1		465,410,345	67	451,702,097	67		465,410,345	67	451,702,097	67
Office equipment	2,076,030	-	1,996,030	-										
<b>Total property, plant and equipment</b>	<u>266,783,537</u>	<u>38</u>	<u>264,561,637</u>	<u>39</u>										
<b>Other Assets</b>														
Securities	5,301,550	1	5,301,550	1	5(7)	159,063,376	23	147,233,221	22		159,063,376	23	147,233,221	22
Refundable deposits	57,300	-	57,300	-		10,507,352	1	11,830,155	2		10,507,352	1	11,830,155	2
Self-discipline fund at special bank account	50,400,000	7	50,400,000	7		169,570,728	24	159,063,376	24		169,570,728	24	159,063,376	24
<b>Total other assets</b>	<u>55,758,850</u>	<u>8</u>	<u>55,758,850</u>	<u>8</u>		634,981,073	91	610,765,473	91		634,981,073	91	610,765,473	91
<b>TOTAL ASSETS</b>	<u>\$ 701,690,355</u>	<u>100</u>	<u>\$ 674,128,809</u>	<u>100</u>		<u>\$ 701,690,355</u>	<u>100</u>	<u>\$ 674,128,809</u>	<u>100</u>		<u>\$ 701,690,355</u>	<u>100</u>	<u>\$ 674,128,809</u>	<u>100</u>
<b>LIABILITIES, FUNDS AND SURPLUS</b>														
<b>Current Liabilities</b>														
Accrued expenses														
Receipts under custody														
Temporary receipts														
<b>Total current liabilities</b>														
<b>Non-current Liabilities</b>														
Refundable deposits received														
<b>Total Non-current Liabilities</b>														
<b>TOTAL LIABILITIES</b>														
<b>Funds And Accumulated Surplus</b>														
Funds														
Development fund														
Pension fund														
Fixed assets fund														
<b>Total funds</b>														
<b>Surplus</b>														
Accumulated surplus														
Surplus for the year														
<b>Total surplus</b>														
<b>TOTAL FUNDS AND SURPLUS</b>														
<b>TOTAL LIABILITIES, FUNDS AND SURPLUS</b>	<u>\$ 701,690,355</u>	<u>100</u>	<u>\$ 674,128,809</u>	<u>100</u>		<u>\$ 701,690,355</u>	<u>100</u>	<u>\$ 674,128,809</u>	<u>100</u>		<u>\$ 701,690,355</u>	<u>100</u>	<u>\$ 674,128,809</u>	<u>100</u>

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

中華民國期貨業商業公會



民國111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					
入會費收入	\$ 7,200	\$ 2,400	\$ 4,800	\$ -	
常年會費收入	1,548,000	1,539,200	8,800	-	
業務費收入(附註五(十))	102,545,150	164,380,000	-	( 61,834,850)	註1
利息收入	1,408,069	950,400	457,669	-	
會員服務收入	14,217,555	15,128,000	-	( 910,445)	
其他收入	139,121	-	139,121	-	
收入合計	119,865,095	182,000,000	610,390	( 62,745,295)	
經費支出					
人事費	42,463,994	39,504,000	2,959,994	-	註2
辦公費	7,104,183	8,337,220	-	( 1,233,037)	註3
業務費	37,753,790	103,654,780	-	( 65,900,990)	註4
購置費	2,225,388	2,700,000	-	( 474,612)	
團體會費	3,044,000	3,044,000	-	-	
什項支出	5,114,637	9,740,000	-	( 4,625,363)	註5
預備金	-	3,640,000	-	( 3,640,000)	註6
會務發展準備基金(附註五(十一))	7,280,000	7,280,000	-	-	
退撫準備基金(附註五(十一))	4,371,751	4,100,000	271,751	-	
支出合計	109,357,743	182,000,000	3,231,745	( 75,874,002)	
本期餘絀(稅前)	10,507,352	-	10,507,352	-	
所得稅費用(附註五(九))	-	-	-	-	
本期餘絀(稅後)	\$ 10,507,352	\$ -	\$ 10,507,352	\$ -	

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決議，自本期8月起免收事業業務費。

註2：人事費增加，主係因本年度員工人數增加及依「會務工作人員服務規則」第13條修正後規定，調整薪資點數及職等所致。

註3：辦公費減少，主係因樽節辦公費用支出所致。

註4：業務費減少，主係因預估之業務推廣活動未全數執行所致。

註5：什項支出減少，主係本期預估之社會服務費未全數執行所致。

註6：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	
<b>Income</b>						
Entry fees		\$ 7,200	\$ 2,400	\$ 4,800	\$ -	
Annual membership fees		1,548,000	1,539,200	8,800	\$ -	
Business promotion fees	5(10)	102,545,150	164,380,000	-	( 61,834,850)	Note1
Interest income		1,408,069	950,400	457,669	-	
Membership service fees		14,217,555	15,128,000	-	( 910,445)	
Miscellaneous income		139,121	-	139,121	-	
<b>Total income</b>		<u>119,865,095</u>	<u>182,000,000</u>	<u>610,390</u>	<u>( 62,745,295)</u>	
<b>Expenditure</b>						
Personnel expense		42,463,994	39,504,000	2,959,994	-	Note2
Administration expense		7,104,183	8,337,220	-	( 1,233,037)	Note3
Business expense		37,753,790	103,654,780	-	( 65,900,990)	Note4
Procurement expense		2,225,388	2,700,000	-	( 474,612)	
Association activity fee		3,044,000	3,044,000	-	-	
Miscellaneous items		5,114,637	9,740,000	-	( 4,625,363)	Note5
Reserve cash		-	3,640,000	-	( 3,640,000)	Note6
Development fund	5(11)	7,280,000	7,280,000	-	-	
Pension fund	5(11)	4,371,751	4,100,000	271,751	-	
<b>Total expenditure</b>		<u>109,357,743</u>	<u>182,000,000</u>	<u>3,231,745</u>	<u>( 75,874,002)</u>	
<b>Surplus before income tax</b>		10,507,352	-	10,507,352	-	
Income tax	5(9)	-	-	-	-	
<b>Surplus for the year</b>		<u>\$ 10,507,352</u>	<u>\$ -</u>	<u>\$ 10,507,352</u>	<u>\$ -</u>	

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

- 1 : Due to the minutes of Broad meetings, the income of Business promotion fees was exempted from August 2022.
- 2 : The personnel expense increased due to the number of employees increased, as well as the adjustment in the salary level and the job grade.
- 3 : Administration fee decreased mainly due to budget cut.
- 4 : Business activity fees decreased because the planned activities for business promotion had not been completely implemented in 2022.
- 5 : Miscellaneous expenses decreased primarily because the social service budget has not been fully used.
- 6 : Reserve cash decreased because there were no conditions for special purpose.

日期 Date	項目 Event
1/11	公平待客原則評核說明會 Presentation on “Treating Customers Fairly Principle” practice assessment
1/13	槓桿交易業務委員會「徵信作業機制研議小組」第1次會議 The 1 <sup>st</sup> meeting of Leverage Transaction Committee’s “Credit-tracking Mechanism Group”
1/17	運用LME金屬期貨避險分享會 Experience-sharing seminar on how to use LME-traded metal futures for risk-hedging
1/19	第6屆經紀業務委員會第14次會議 The 14 <sup>th</sup> meeting of the 6 <sup>th</sup> -session Futures Brokerage Committee
1/21	第6屆期貨信託、經理暨顧問業務委員會第1次聯席會議 The 1 <sup>st</sup> joint meeting of the 6 <sup>th</sup> -session Futures Trust Committee, Managed Futures Committee, and Futures Advisory Committee
2/11	第6屆財務委員會第11次會議 The 11 <sup>th</sup> meeting of the 6 <sup>th</sup> -session Financial Committee
2/17	參加期交所「111年期貨商ANC專案小組第1次會議」 The 1 <sup>st</sup> meeting of the TAIFEX-organized “Futures ANC Project Group” for 2022
2/25	第6屆理監事第16次聯席會議 The 16 <sup>th</sup> joint meeting of the 6 <sup>th</sup> -session executive directors and supervisors
3/4	「期貨業未來發展與就業機會」校園巡迴講座-虎尾科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Formosa University
3/9	「期貨業未來發展與就業機會」校園巡迴講座-景文科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—Jinwen University of Science and Technology
3/11-3/12	111年Q1高階經理班 High-ranking Executive Class (Q1, 2022)
3/14	「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
3/15	內部教育訓練-資安意識課程 Internal training—information security awareness classes
3/15	第6屆經紀業務委員會第15次會議 The 15 <sup>th</sup> meeting of the 6 <sup>th</sup> -session Futures Brokerage Committee
3/16	「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
3/23	「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 Ren Catholic University
3/25	「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
3/25	「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
3/29	「期貨業未來發展與就業機會」校園巡迴講座-東華大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Dong Hwa University
3/30	開放證券推動委員會-期貨小組第二次會議 The 2 <sup>nd</sup> meeting of Securities Liberalization Committee’s futures group
3/31	「金融消費者保護法令解析與最新趨勢」線上課程 Online course on “Financial Consumer Protection Act explanation and latest development trend”
3/31	參加「證券期貨業永續發展轉型執行策略」專案啟動會議 “Sustainable Development and Transformation Strategies for Securities and Futures Industries” project-launching conference

# Chronicle

日期 Date	項目 Event
4/8	「期貨業未來發展與就業機會」校園巡迴講座-雲科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Yunlin University of Science and Technology
4/8	第6屆財務委員會第12次會議 The 12 <sup>th</sup> meeting of the 6 <sup>th</sup> -session Financial Committee
4/13	「期貨業未來發展與就業機會」校園巡迴講座-屏東大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Pingtung University
4/15	第6屆理監事第17次聯席會議 The 17 <sup>th</sup> joint meeting of the 6 <sup>th</sup> -session executive directors and supervisors
4/18	「證券期貨業永續發展轉型執行策略」證券期貨業三公會委外研究第1次工作會議 The 1 <sup>st</sup> working meeting to discuss the outsourced research project on “Sustainable Development and Transformation Strategies for Securities and Futures Industries” jointly commissioned by the CNFA, TSA, and SITAC
4/18	「期貨業未來發展與就業機會」校園巡迴講座-北科大(一) “Futures Market Outlook and Job Opportunities” campus lecture tour—National Taipei University of Technology (1)
4/19	「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
4/19	「期貨業未來發展與就業機會」校園巡迴講座-南臺科技大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Southern Taiwan University of Science and Technology
4/20	「期貨業未來發展與就業機會」校園巡迴講座-中興大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Chung Hsing University
4/27	「期貨業未來發展與就業機會」校園巡迴講座-台中科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Taichung University of Science and Technology
4/27	「期貨業未來發展與就業機會」校園巡迴講座-聯合大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National United University
4/28	「期貨業未來發展與就業機會」校園巡迴講座-勤益科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Chin-Yi University of Technology
4/28	「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
5/3	「期貨業未來發展與就業機會」校園巡迴講座-北科大(二) “Futures Market Outlook and Job Opportunities” campus lecture tour—National Taipei University of Technology (2)
5/3	「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
5/4	「期貨業未來發展與就業機會」校園巡迴講座-高科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Kaohsiung University of Science and Technology
5/7	證券期貨業高爾夫球錦標賽聯誼活動 Securities & Futures Golf Championship for 2022
5/10-5/12	理監事聯誼活動-第1梯 Friendship activity for executive directors and supervisors—the 1 <sup>st</sup> group
5/11	「期貨業未來發展與就業機會」校園巡迴講座-世新大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Shih Hsin University
5/12	ETF期貨推出盤後交易後有關「名詞彙整表」調整討論會議 Discussion meeting on the “Glossary” about after-market transactions of ETF futures
5/13	第6屆防制洗錢暨法遵委員會第8次會議 The 8 <sup>th</sup> meeting of 6 <sup>th</sup> -session AML & Law Compliance Committee
5/13	「證券期貨業永續發展轉型執行策略」證券期貨業三公會委外研究第2次工作會議 The 2 <sup>nd</sup> working meeting of the outsourced research project on “Sustainable Development and Transformation Strategies for Securities and Futures Industries” jointly commissioned by the CNFA, TSA, and SITAC
5/18	第6屆經紀業務委員會第16次會議 The 16 <sup>th</sup> meeting of the 6 <sup>th</sup> -session Futures Brokerage Committee
5/20	第6屆業務電子化委員會第3次會議 The 3 <sup>rd</sup> meeting of the 6 <sup>th</sup> -session E-Commerce Business Committee
5/23	「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

日期 Date	項目 Event
5/26	「期貨業未來發展與就業機會」校園巡迴講座-義守大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—I-shou University
6/7-9	理監事聯誼活動-第2梯 Friendship activity for executive directors and supervisors—the 2 <sup>nd</sup> group
6/8	第6屆自營業務委員會第5次會議 The 5 <sup>th</sup> meeting of the 6 <sup>th</sup> -session Futures Proprietary Committee
6/8	第6屆防制洗錢暨法遵委員會第5次會議 The 5 <sup>th</sup> meeting of 6 <sup>th</sup> -session AML & Law Compliance Committee
6/10	第6屆永續發展委員會第1次會議 The 1 <sup>st</sup> meeting of 6 <sup>th</sup> -session Sustainable Development Committee
6/10	第6屆理監事第18次聯席會議 The 18 <sup>th</sup> joint meeting of the 6 <sup>th</sup> -session executive directors and supervisors
6/14	參加「永續金融評鑑預算分攤協調會」 Coordination meeting on “how to share sustainable financial development assessment budget”
6/15	第6屆自營業務委員會第5次會議 The 5 <sup>th</sup> meeting of the 6 <sup>th</sup> -session Proprietary Futures Merchant Committee
6/24-6/25	參與2022 ESG高峰會 ESG Summit 2022
6/28	第7屆第1次會員大會 The 1 <sup>st</sup> General Assembly of the 7 <sup>th</sup> -session CNFA Members
6/28	第7屆理事會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session executives directors
6/28	第7屆監事會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session supervisors
6/29	第6屆永續發展委員會工作小組第1次會議 The 1 <sup>st</sup> meeting of 6 <sup>th</sup> -session Sustainable Development Committee
7/28	第7屆財務委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Financial Committee
8/2	第7屆經紀業務委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Futures Brokerage Committee
8/4	第7屆永續發展委員會工作小組第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Sustainable Development Committee’s working group
8/5-8/6	111年Q2高階經理班 High-ranking Executive Class (Q2, 2022)
8/9	第7屆永續發展委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Sustainable Development Committee
8/9	第7屆常務理監事第1次聯席會議 The 1 <sup>st</sup> joint meeting of the 7 <sup>th</sup> -session executive directors and supervisors
8/10	第7屆自營業務委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Futures Proprietary Committee
8/16	「期貨業永續發展轉型執行策略」宣導座談會 Promotional seminar on “Transition Strategies of Sustainable Development for Futures Sectors”
8/19	第7屆理監事第1次聯席會議 The 1 <sup>st</sup> joint meeting of the 7 <sup>th</sup> -session executive directors and supervisors
8/23	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
8/26	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
8/29	參加期交所「111年期貨商ANC專案小組第2次會議」 The 2 <sup>nd</sup> meeting of TAIFEX-convened “Futures ANC Project Group”
8/30	槓桿交易業務委員會「徵信作業機制研議小組」第2次會議 The 2 <sup>nd</sup> meeting of Leverage Transaction Committee’s “Credit-tracking Mechanism Group”



日期 Date	項目 Event
8/31	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
9/2	第7屆防制洗錢暨法遵委員會第1次會議 The 1 <sup>st</sup> meeting of 7 <sup>th</sup> -session AML & Law Compliance Committee
9/8	裁罰案例研習課程 Course of Penalty Case Studies
9/13	第7屆常務理監事第2次聯席會議 The 2 <sup>nd</sup> joint meeting of the 7 <sup>th</sup> -session executive directors and supervisors
9/16-9/17	111年Q3高階經理班 High-ranking Executive Class (Q3, 2022)
9/17-9/18	委員會聯誼活動-第1梯 Friendship activity for committee members—the 1 <sup>st</sup> group
9/19	參與金融業反詐騙宣示儀式 Anti-fraud Oath Ceremony
9/20	第7屆紀律委員會第1次會議 The 1 <sup>st</sup> meeting of 7 <sup>th</sup> -session Discipline Committee
9/21	第7屆經紀業務委員會第2次會議 The 2 <sup>nd</sup> meeting of 7 <sup>th</sup> -session Futures Brokerage Committee
9/24-9/25	委員會聯誼活動-第2梯 Friendship activity for committee members—the 2 <sup>nd</sup> group
9/28	第7屆國際事務委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session International Affairs Committee
9/29	強化資通安全及案例說明會-台中場 Presentation on “information security and case illustrations”—Taichung
9/29	「證券期貨業永續發展轉型執行策略」第27項證券期貨業三公會第1次交流會議 The 1 <sup>st</sup> discussion meeting on Item No. 27 of the “Sustainable Development and Transformation Strategies for Securities and Futures Industries” outsourced research project jointly commissioned by the CNFA, TSA, and SITAC
9/30	第7屆業務電子化委員會第1次會議暨永續發展委員會工作小組聯席會議 The 1 <sup>st</sup> meeting with the 7 <sup>th</sup> -session E-Commerce Business Committee with the Sustainable Development Committee
10/4	第7屆教育訓練委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Education & Training Committee
10/5	第7屆兩岸事務委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Cross-straits Affairs Committee
10/6	第7屆永續發展委員會第2次會議 The 2 <sup>nd</sup> meeting of the 7 <sup>th</sup> -session Sustainable Development Committee
10/6	強化資通安全及案例說明會-台北場 Presentation on “information security and case illustrations”—Taipei
10/11	第7屆常務理監事第3次聯席會議 The 3 <sup>rd</sup> joint meeting of the 7 <sup>th</sup> -session executive directors and supervisors
10/14	第7屆永續發展委員會工作小組第2次會議 The 2 <sup>nd</sup> meeting of the 7 <sup>th</sup> -session Sustainable Development Committee’s working group
10/14	強化資通安全及案例說明會-高雄場 Presentation on “information security and case illustrations”—Kaohsiung
10/14	第7屆財務委員會第2次會議 The 2 <sup>nd</sup> meeting of the 7 <sup>th</sup> -session Financial Committee
10/21	第7屆理監事第2次聯席會議 The 2 <sup>nd</sup> joint meeting of the 7 <sup>th</sup> -session executive directors and supervisors
11/2	第7屆經紀業務委員會第3次會議 The 3 <sup>rd</sup> meeting of the 7 <sup>th</sup> -session Futures Brokerage Committee
11/2	第7屆永續發展委員會工作小組第3次會議 The 3 <sup>rd</sup> meeting of the 7 <sup>th</sup> -session Sustainable Development Committee’s working group
11/4	2022LME線上實務研討會 Online LME Practice Seminar 2022
11/7	第7屆稽核委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Auditing Committee

日期 Date	項目 Event
11/10	第7屆信託業務委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Futures Tru <sup>st</sup> Committee
11/15	第7屆業務電子化委員會第2次會議 The 2 <sup>nd</sup> meeting of the 7 <sup>th</sup> -session E-commerce Business Committee
11/15	第7屆永續發展委員會第3次會議 The 3 <sup>rd</sup> meeting of the 7 <sup>th</sup> -session Sustainable Development Committee
11/16	校園金融講堂及期貨校園徵才-中正大學場 “Financial Podium” and talent-recruiting activities on campus—National Cheng-cheng University
11/18	第7屆防制洗錢暨法遵委員會第2次會議 The 2 <sup>nd</sup> meeting of the 7 <sup>th</sup> -session Law Compliance Committee
11/21	第7屆經紀業務委員會第4次會議 The 4 <sup>th</sup> meeting of the 7 <sup>th</sup> -session Futures Brokerage Committee
11/22	第7屆自營業務委員會第2次會議 The 2 <sup>nd</sup> meeting of the 7 <sup>th</sup> -session Futures Proprietary Committee
11/22	第7屆紀律委員會第2次會議 The 2 <sup>nd</sup> meeting of the 7 <sup>th</sup> -session Discipline Committee
11/23	校園金融講堂及期貨校園徵才-台北商業大學場 “Financial Podium” and talent-recruiting activities on campus—National Taipei University of Business
11/23	第7屆教育訓練委員會第2次會議 The 2 <sup>nd</sup> meeting of the 7 <sup>th</sup> -session Education & Training Committee
11/29	洗錢防制/打擊資恐法令解析及案例說明會-線上課程(1) Seminar on “AML/CTF Regulation Analysis and Case Illustration”—online class (1)
11/30	第7屆顧問業務委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Futures Advisory Committee
12/1	洗錢防制/打擊資恐法令解析及案例說明會-線上課程(2) Seminar on “AML/CTF Regulation Analysis and Case Illustration”—online class (2)
12/1-12/4	理監事聯誼活動-第3梯 Friendship activity for executive directors and supervisors—the 3 <sup>rd</sup> group
12/6	第7屆槓桿交易業務委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Leverage Transaction Committee
12/7-12/9	理監事自強活動-第1梯 Physical-training activity for executive directors and supervisors—the 1 <sup>st</sup> group
12/8	「證券期貨業永續發展轉型執行策略」第27項證券期貨業三公會第2次交流會議 The 2 <sup>nd</sup> discussion meeting on Item No. 27 of the “Sustainable Development and Transformation Strategies for Securities and Futures Industries” outsourced research project jointly commissioned by the CNFA, TSA, and SITAC
12/9-12/10	111年Q4高階經理班 High-ranking Executive Class (Q4, 2022)
12/9	2022台北國際期貨線上論壇 Taipei International Futures Forum 2022
12/12	第7屆財務委員會第3次會議 The 3 <sup>rd</sup> meeting of the 7 <sup>th</sup> -session Financial Committee
12/14	第7屆教育訓練委員會第3次會議 The 3 <sup>rd</sup> meeting of the 7 <sup>th</sup> -session Education & Training Committee
12/14	第7屆採購委員會第1次會議 The 1 <sup>st</sup> meeting of the 7 <sup>th</sup> -session Procurement Committee
12/15	第7屆業務電子化委員會第3次會議 The 3 <sup>rd</sup> meeting of the 7 <sup>th</sup> -session E-commerce Business Committee
12/18-12/20	理監事自強活動-第2梯 Physical-training activity for executive directors and supervisors—the 2 <sup>nd</sup> group
12/23	第7屆理監事第3次聯席會議 The 3 <sup>rd</sup> joint meeting of the 7 <sup>th</sup> -session executive directors and supervisors
12/25-12/27	理監事自強活動-第3梯 Physical-training activity for executive directors and supervisors—the 3 <sup>rd</sup> group

## 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	<a href="https://www.cathayfut.com.tw">https://www.cathayfut.com.tw</a>
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	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
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	<a href="http://www.KGI.com.tw">http://www.KGI.com.tw</a>
F005	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五段188號15樓之1 15F-1., 188, Sec. 5, Nanjing E. Rd., Taipei 105, Taiwan	02-27683998	02-25287576	<a href="https://www.ibff.com.tw">https://www.ibff.com.tw</a>
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	<a href="http://www.jihsunfutures.com.tw">http://www.jihsunfutures.com.tw</a>
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	<a href="http://www.pfcf.com.tw">http://www.pfcf.com.tw</a>
F014	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105台北市民生東路4段54號3樓 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	<a href="http://ft.entrust.com.tw">http://ft.entrust.com.tw</a>
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	<a href="http://futures.masterlink.com.tw">http://futures.masterlink.com.tw</a>
F020	群益期貨股份有限公司 Capital Futures Corp.	106台北市敦化南路2段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888	02-27551532	<a href="http://www.capitalfutures.com.tw">http://www.capitalfutures.com.tw</a>
F021	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路二段77號5樓 5F., 77, Sec. 2, Nanjing E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	<a href="https://www.yuantafutures.com.tw">https://www.yuantafutures.com.tw</a>
F026	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<a href="https://www.fubon.com/futures/home/index.htm">https://www.fubon.com/futures/home/index.htm</a>
F029	康和期貨股份有限公司 Concord Futures Corp.	105台北市復興北路143號6樓 6F., 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	<a href="http://www.concordfutures.com.tw">http://www.concordfutures.com.tw</a>
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	<a href="http://www.megafutures.com.tw">http://www.megafutures.com.tw</a>
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	<a href="http://www.dcnf.com.tw">http://www.dcnf.com.tw</a>
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	<a href="http://www.admis.com">http://www.admis.com</a>
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	02-27008897	<a href="http://www.honsec.com.tw">http://www.honsec.com.tw</a>
S144	美林證券股份有限公司 Merrill Lynch Securities (Taiwan) Ltd.	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	<a href="http://www.ml.com">http://www.ml.com</a>
S147	台灣摩根士丹利證券股份有限公司 Morgan stanley taiwan limited	110台北市信義路五段7號83樓 83F., 7, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27302888	02-27301737	<a href="http://www.morganstanley.com">http://www.morganstanley.com</a>
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	02-27156388	02-27156373	<a href="http://www.credit-suisse.com">http://www.credit-suisse.com</a>
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	<a href="http://www.citigroup.com">http://www.citigroup.com</a>
S218	亞東證券股份有限公司 Oriental Securities Corp.	100台北市重慶南路一段86號2樓 2F, 86 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	<a href="http://www.osc.com.tw">http://www.osc.com.tw</a>
S526	美好證券股份有限公司 Good Finance 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	<a href="http://www.tstock.com.tw">http://www.tstock.com.tw</a>
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	<a href="https://www.firstsec.com.tw">https://www.firstsec.com.tw</a>
S616	中國信託綜合證券股份有限公司 CTBC Securities Co., Ltd.	115台北市經貿二路168號3樓 3F., 168, Jingmao 2nd Rd., Taipei 115, Taiwan	02-66392000	02-66392124	<a href="http://www.ctbcsec.com">http://www.ctbcsec.com</a>

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
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	02-55708888	02-55708999	<a href="http://www.tssco.com.tw">http://www.tssco.com.tw</a>
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110 台北市信義路5段106號3樓 3F., 106, Sec.5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27252275	<a href="http://www.jpmorgan.com">http://www.jpmorgan.com</a>
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	<a href="http://www.skis.com.tw">http://www.skis.com.tw</a>
S884	玉山綜合證券股份有限公司 E. Sun Securities Co., Ltd.	105 台北市民生東路3段156號2樓 2F., 156 Sec 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27186613	<a href="http://www.esunsec.com.tw">http://www.esunsec.com.tw</a>
B091	群益金鼎證券股份有限公司 Capital Securities Corp.	110 台北市民生東路3段156號14樓之3 14F.-3.,156, Sec. 3, Minsheng E. Rd., Taipei 105, Taiwan	02-87898888	02-87892942	<a href="http://www.capital.com.tw">http://www.capital.com.tw</a>
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	<a href="https://www.kgi.com.tw/zh-tw">https://www.kgi.com.tw/zh-tw</a>
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	<a href="http://www.enrust.com.tw">http://www.enrust.com.tw</a>
B096	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106 台北市仁愛路4段169號3樓 3F., 169, Sec. 4, Ren'ai Rd., Taipei 106, Taiwan	02-87716888	02-87716795	<a href="https://www.fubon-ebroker.com/Home/Index">https://www.fubon-ebroker.com/Home/Index</a>
B098	元大證券股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路三段219號11樓 11F., No.219, Sec. 3, Nanjing E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	<a href="http://www.yuanta.com.tw">http://www.yuanta.com.tw</a>
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	02-23114345	02-23112220	<a href="https://www.sinotrade.com.tw">https://www.sinotrade.com.tw</a>
B102	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285號1樓 1F., 285 Sec.4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27528000	02-27526060	<a href="http://www.tcfhc-sec.com.tw">http://www.tcfhc-sec.com.tw</a>
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	<a href="http://www.landbank.com.tw">http://www.landbank.com.tw</a>
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	<a href="http://www.twfhcsec.com.tw">http://www.twfhcsec.com.tw</a>
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	<a href="https://www.tbb.com.tw">https://www.tbb.com.tw</a>
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	<a href="http://www.jihsun.com.tw">http://www.jihsun.com.tw</a>
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., No.68, Hengyang Rd., Taipei 100, Taiwan	02-23619654	02-23113726	<a href="https://www.bankchb.com/frontend/mashup.jsp?funcId=8ab34cd615">https://www.bankchb.com/frontend/mashup.jsp?funcId=8ab34cd615</a>
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	<a href="http://www.tachan.com.tw">http://www.tachan.com.tw</a>
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	<a href="http://www.easytrade.com.tw">http://www.easytrade.com.tw</a>
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	<a href="https://www.boom.com/zh/why_boom">https://www.boom.com/zh/why_boom</a>
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	<a href="http://www.yss.com.tw">http://www.yss.com.tw</a>
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	<a href="http://www.fscf.com.tw">http://www.fscf.com.tw</a>
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	<a href="http://www.pscnet.com.tw">http://www.pscnet.com.tw</a>
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, Chhsien 2 Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	<a href="https://www.e-order.com.tw">https://www.e-order.com.tw</a>
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一段209號1樓 1F, 209 Sec.1, Fuhshing S. Rd., Taipei 106, Taiwan	02-23255818	02-23259407	<a href="http://www.masterlink.com.tw">http://www.masterlink.com.tw</a>
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	<a href="http://www.gmstock.com.tw">http://www.gmstock.com.tw</a>
B601	犇亞證券股份有限公司 Primasia Securities Co., Ltd.	105 台北市復興北路99號3樓 3F., 99 Fushin N. Rd., Taipei 105, Taiwan	02-27180101	02-27180202	<a href="https://www.estockking.com">https://www.estockking.com</a>
B611	台中銀證券股份有限公司 Taichung Commercial Bank Securities Co., Ltd.	100 台北市忠孝東路一段85號9樓 9F., 85, Sec. 1, Zhongxiao E. Rd., 100, Taiwan	02-23969955	02-23210502	<a href="https://www.tcbs.com.tw">https://www.tcbs.com.tw</a>

# 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)
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, Chungghwa 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, Changghwa 521, Taiwan	04-8886500	04-8886626	https://www.kuanzho638.com.tw/index_tw.php
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9樓 9F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29601088	02-29658473	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	口袋證券股份有限公司 POCKET SECURITIES Co., Ltd.	220新北市板橋區三民路一段216號9樓 9F., 216, Sec. 1, Sanmin Rd., Banqiao Dist., New Taipei 220, Taiwan	02-29526620	02-26856668	https://www.pocket.tw
B691	德信綜合證券股份有限公司 Reliance Securities Co., Ltd.	100台北市新生南路1段50號3樓 3F., 50, Sec.1, Shin Sheng S. Rd., Taipei 100, Taiwan	02-23939988	02-23567722	http://www.rsc.com.tw
B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251新北市淡水區中正路63號5樓 5F., 63, Chung Chen Rd., Tanshui, Taipei 251, Taiwan	02-26251818	02-26251705	http://www.fushan-ewin.com.tw
B700	兆豐證券股份有限公司 Mega Securities Co., Ltd.	106台北市忠孝東路2段95號3樓 3F., 95, Sec.2, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-23278988	02-33932995	http://www.emega.com.tw
B703	致和證券股份有限公司 Concord International Securities Co., Ltd.	704台南市西門路3段10號1樓 1F., 10, Shi-Men Rd., Sec.3, Tainan 704, Taiwan	06-2219777	06-2286324	http://www.wintan.com.tw
B707	豐農證券股份有限公司 Feng Long Securities Co., Ltd.	420台中市豐原區水源路669號 669, Shuiyuan Rd., Fungyuan, Taichung 420, Taiwan	04-25281000	04-25253100	https://sprade.fenglong.com.tw/fenglong/index.html
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.	104台北市樂群三路128號3樓 3F., 128, Lequn 3rd Rd., Taipei 104, Taiwan	02-25288988	02-27647834	https://www.ibfs.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	(建置中)
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	京城證券股份有限公司 King's Town 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.ktds.com.tw/ktds/index.html
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/chungnour/index.html
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台北市敦化南路二段335號6樓 6F., 335, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23269888	02-23778908	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., Taipei 106, Taiwan	02-33227073	02-33933052	http://www.emega.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 台北市南京東路二段77號5樓 5F., 77, Sec. 2, Nanjing E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	https://www.yuantafutures.com.tw
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, Sec2, 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台北市敦化南路2段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888	02-27551532	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一段209號1樓 1F, 209 Sec.1, Fuhsing S. Rd., Taipei 106, Taiwan	02-23255818	02-27000208	http://www.masterlink.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)
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., Taipei 110, Taiwan	02-27290818	02-27298867	<a href="http://futures.masterlink.com.tw">http://futures.masterlink.com.tw</a>
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	<a href="https://www.kgi.com.tw/zh-tw">https://www.kgi.com.tw/zh-tw</a>
P022	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市仁愛路4段169號3樓 3F., 169, Sec. 4, Ren'ai Rd., Taipei 106, Taiwan	02-87716888	02-87716795	<a href="https://www.fubon-ebroker.com/Home/Index">https://www.fubon-ebroker.com/Home/Index</a>
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	<a href="http://www.pscnet.com.tw">http://www.pscnet.com.tw</a>
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	<a href="https://www.entrust.com.tw">https://www.entrust.com.tw</a>
P028	元大證券股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路三段219號11樓 11F., No.219, Sec. 3, Nanjing E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	<a href="http://www.yuanta.com.tw">http://www.yuanta.com.tw</a>
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	<a href="http://www.jihsun.com.tw">http://www.jihsun.com.tw</a>
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, Chung Ching S. Rd., Taipei 100, Taiwan	02-23619889	02-23713146	<a href="http://www.KGIF.com.tw">http://www.KGIF.com.tw</a>
P033	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市敦化南路二段335號6樓 6F., 335, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23269888	02-23778908	<a href="http://www.cathaysec.com.tw">http://www.cathaysec.com.tw</a>
P037	亞東證券股份有限公司 Oriental Securities Corp.	100台北市重慶南路一段86號2樓 2F, 86 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	<a href="http://www.osc.com.tw">http://www.osc.com.tw</a>
P038	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.	110台北市松仁路100號8樓 8F., 100, Songren Rd., Taipei 110, Taiwan	02-23570777	02-23578392	<a href="https://optiver.com">https://optiver.com</a>
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	<a href="https://www.firstsec.com.tw">https://www.firstsec.com.tw</a>
P042	中國信託商業銀行股份有限公司 Chinatrust Commercial Bank	115台北市經貿二路168號5樓 5F., 168, Jingmao 2nd Rd., Taipei 115, Taiwan	02-27222002	02-87808867	<a href="https://www.ctcbank.com/twrb/zh_tw/index.html">https://www.ctcbank.com/twrb/zh_tw/index.html</a>
P045	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	104台北市樂群三路128號3樓 3F., 128, Lequn 3rd Rd., Taipei 104, Taiwan	02-25288988	02-27647834	<a href="https://www.ibfs.com.tw">https://www.ibfs.com.tw</a>
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	<a href="http://www.honsec.com.tw">http://www.honsec.com.tw</a>
P047	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105台北市南京東路五段188號15樓之1 15F-1., 188, Sec. 5, Nanjing E. Rd., Taipei 105, Taiwan	02-27683998	02-27287576	<a href="https://www.ibff.com.tw">https://www.ibff.com.tw</a>
P050	康和期貨股份有限公司 Concord Futures Corp.	105台北市復興北路143號6樓 6F., 143, Fusing N.Rd., Taipei 105, Taiwan	02-27171339	02-27171319	<a href="http://www.concordfutures.com.tw">http://www.concordfutures.com.tw</a>
P052	中國信託綜合證券股份有限公司 CTBC Securities Co., Ltd.	115台北市經貿二路188號14樓 14F., 188, Jingmao 2nd Rd., Taipei 115, Taiwan	02-66392000	02-66392500	<a href="http://www.ctbcsec.com">http://www.ctbcsec.com</a>
P053	玉山綜合證券股份有限公司 E.SUN Securities Co., Ltd.	105台北市民生東路3段158號6樓 6F., 158, Sec 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27188913	<a href="http://www.esunsec.com.tw">http://www.esunsec.com.tw</a>
P054	法銀巴黎證券股份有限公司 BNP PARIBAS INVESTMENT PARTNERS	110台北市信義路五段7號72樓 72F., 7, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-87297000	02-81012168	<a href="https://www.bnpparibas.com.tw/zh/?contact=bnp-paribas-securities-taiwan-co-ltd">https://www.bnpparibas.com.tw/zh/?contact=bnp-paribas-securities-taiwan-co-ltd</a>
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., Taipei 106, Taiwan	02-23269899	02-27332198	<a href="https://www.cathayfut.com.tw">https://www.cathayfut.com.tw</a>
P056	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<a href="https://www.fubon.com/futures/home/index.htm">https://www.fubon.com/futures/home/index.htm</a>
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285號1樓 1F., 285 Sec.4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27528000	02-27526060	<a href="http://www.tcfhc-sec.com.tw">http://www.tcfhc-sec.com.tw</a>
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	02-23114345	02-23112220	<a href="https://www.sinotrade.com.tw">https://www.sinotrade.com.tw</a>
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	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
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	<a href="http://www.pfcf.com.tw">http://www.pfcf.com.tw</a>

# 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)
A003	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路二段77號5樓 5F., 77, Sec. 2, Nanjing E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	<a href="https://www.yuantafutures.com.tw">https://www.yuantafutures.com.tw</a>
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	<a href="http://www.jihsunfutures.com.tw">http://www.jihsunfutures.com.tw</a>
A005	群益期貨股份有限公司 Capital Futures Corp.	106台北市敦化南路2段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888	02-27551532	<a href="http://www.capitalfutures.com.tw">http://www.capitalfutures.com.tw</a>
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., Taipei 106, Taiwan	02-23269899	02-27332198	<a href="https://www.cathayfut.com.tw">https://www.cathayfut.com.tw</a>
A008	康和期貨股份有限公司 Concord Futures Corp.	105台北市復興北路143號6樓 6F., 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	<a href="http://www.concordfutures.com.tw">http://www.concordfutures.com.tw</a>
A009	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<a href="https://www.fubon.com/futures/home/index.htm">https://www.fubon.com/futures/home/index.htm</a>
A011	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105台北市民生東路4段54號3樓 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	<a href="http://ft.entrust.com.tw">http://ft.entrust.com.tw</a>
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., Taipei 110, Taiwan	02-27290818	02-27298867	<a href="http://futures.masterlink.com.tw">http://futures.masterlink.com.tw</a>
A019	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105台北市南京東路五段188號15樓之1 15F-1., 188, Sec. 5, Nanjing E. Rd., Taipei 105, Taiwan	02-27683998	02-25287576	<a href="https://www.ibff.com.tw">https://www.ibff.com.tw</a>
A020	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	<a href="http://www.megafutures.com.tw">http://www.megafutures.com.tw</a>
A021	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	<a href="http://www.KGI.com.tw">http://www.KGI.com.tw</a>
A025	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	02-23114345	02-23112200	<a href="https://www.sinotrade.com.tw">https://www.sinotrade.com.tw</a>
A026	運達證券投資顧問股份有限公司 Yun Ta Investment Consulting Co., Ltd.	104台北市八德路2段260號10樓 10F., 260, Sec. 2, Bade Rd., Taipei 104, Taiwan	02-27810909	02-27312166	<a href="http://win-dollar.com">http://win-dollar.com</a>
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	<a href="http://www.marbo.com.tw">http://www.marbo.com.tw</a>
A028	啟發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant Co., Ltd.	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	<a href="http://www.chifar.com.tw">http://www.chifar.com.tw</a>
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	<a href="http://da-hwa-international.com.tw">http://da-hwa-international.com.tw</a>
A032	顧德證券投資顧問股份有限公司 Good Securities Investment Consultant Co., Ltd.	105台北市南京東路4段126號14樓 14F., 126, Sec. 4, Nanjing E. Rd., Taipei 105, Taiwan	02-25783000	02-25793500	<a href="http://www.good-group.com.tw">http://www.good-group.com.tw</a>
A033	華信證券投資顧問股份有限公司 Hwashin Investment Consulting Co., Ltd.	100台北市青島東路7號5樓之4 5F-4., 7, Qingdao E. Rd., Taipei 100, Taiwan	02-23923988	02-77253896	<a href="http://www.hwashin.com.tw">http://www.hwashin.com.tw</a>
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., Taipei 104, Taiwan	02-27813900	02-27722813	<a href="http://27813900.com">http://27813900.com</a>
A036	永誠國際證券投資顧問股份有限公司 Yong Cheng Securities Investment Consultant Co., Ltd.	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	<a href="https://88598.com.tw">https://88598.com.tw</a>
A042	玉山證券投資顧問股份有限公司 E.SUN Investment Consulting Co., Ltd.	105台北市民生東路三段156號2樓之2 2F-2., 156, Sec. 3, Minsheng E. Rd., Taipei 105, Taiwan	02-55569913	02-25453313	<a href="http://www.esunconsulting.com.tw">http://www.esunconsulting.com.tw</a>
A043	亞洲證券投資顧問股份有限公司 Asia securities investment Consultant Co., Ltd.	105台北市區南京東路4段126號11樓A2 Rm. A2, 11F., 126, Sec. 4, Nanjing E. Rd., Taipei 105, Taiwan	02-25783777	02-25705916	<a href="http://www.asia-rich.com.tw">http://www.asia-rich.com.tw</a>
A044	倫元證券投資顧問股份有限公司 E-invest Security Investment Consultant Co., Ltd.	100台北市青島東路7號6樓 6F., 7, Qingdao E. Rd., Taipei 100, Taiwan	02-77251273	02-23927062	<a href="https://www.e-invest.com.tw">https://www.e-invest.com.tw</a>
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	02-29605258	<a href="http://www.dcnf.com.tw">http://www.dcnf.com.tw</a>
A047	第一金證券股份有限公司 First Securities Inc.	104台北市長安東路1段22號4樓 4F., 22, Sec. 1, Chang'an E. Rd., Taipei 104, Taiwan	02-25636262	02-25635713	<a href="https://www.firstsec.com.tw">https://www.firstsec.com.tw</a>
A049	高欣證券投資顧問股份有限公司 Harvest Securities Investmant Consulting Co., Ltd.	104台北市復興北路150號7樓之2 7F-2., 150, Fuxing N. Rd., Taipei 104, Taiwan	02-27171000	02-27150077	(建置中)

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
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	<a href="http://www.honsec.com.tw">http://www.honsec.com.tw</a>
A051	君安證券投資顧問股份有限公司 Richers Securities Investment Consulting Co., Ltd.	104台北市松江路318號8樓 8F., 318, Songjiang Rd., Taipei 104, Taiwan	02-77018898	02-77020599	<a href="http://www.richers.com.tw">http://www.richers.com.tw</a>
A052	大拇哥證券投資顧問股份有限公司 Tarobo Investment Advisors Ltd.	106台北市敦化南路2段95號10樓 10F., 95, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27553066	02-27552196	<a href="https://www.taroboadvisors.com">https://www.taroboadvisors.com</a>
A053	摩爾證券投資顧問股份有限公司 Moore Securities Investment Consulting Co., Ltd.	100台北市新生南路1段50號12樓 12F., 50, Sec. 1, Xincheng S. Rd., Taipei 100, Taiwan	02-23510873	02-23510752	<a href="https://www.morerich.com.tw">https://www.morerich.com.tw</a>
A054	華冠證券投資顧問股份有限公司 Hwa Guan Securities Investment Consult Co., Ltd.	100台北市忠孝東路二段100號6樓之2 6F.-2, 100, Sec. 2, Zhongxiao E. Rd., Taipei 100, Taiwan	02-66303283	02-23973938	<a href="https://www.hwa-guan.com.tw/Wealth">https://www.hwa-guan.com.tw/Wealth</a>
L001	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路二段77號5樓 5F., 77, Sec. 2, Nanjing E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	<a href="https://www.yuantafutures.com.tw">https://www.yuantafutures.com.tw</a>
L002	群益期貨股份有限公司 Capital Futures Corp.	106台北市敦化南路2段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888	02-27551532	<a href="http://www.capitalfutures.com.tw">http://www.capitalfutures.com.tw</a>
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., Taipei 100, Taiwan	02-23619889	02-23612867	<a href="http://www.KGI.com.tw">http://www.KGI.com.tw</a>
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	<a href="https://www.cathayfut.com.tw">https://www.cathayfut.com.tw</a>
L005	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23701110	<a href="https://www.fubon.com/futures/home/index.htm">https://www.fubon.com/futures/home/index.htm</a>
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., Taipei 100, Taiwan	02-23619889	02-23713146	<a href="http://www.KGI.com.tw">http://www.KGI.com.tw</a>
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	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
M022	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<a href="https://www.fubon.com/futures/home/index.htm">https://www.fubon.com/futures/home/index.htm</a>
M025	群益期貨股份有限公司 Capital Futures Corp.	106台北市敦化南路2段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888	02-27551532	<a href="http://www.capitalfutures.com.tw">http://www.capitalfutures.com.tw</a>
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	<a href="http://futures.masterlink.com.tw">http://futures.masterlink.com.tw</a>
T002	復華證券投資信託股份有限公司 Fuh Hwa Securities Investment Trust Co., Ltd.	104台北市八德路二段308號8樓 8F., 308, Sec.2, Bade Rd., Taipei 104, Taiwan	02-81616800	02-87728000	<a href="http://www.fhtrust.com.tw">www.fhtrust.com.tw</a>
T003	國泰證券投資信託股份有限公司 Cathay Securities Investment Trust Co., Ltd.	106台北市敦化南路2段39號6樓 6F., 39, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27008399	02-23269633	<a href="http://www.cathaysite.com.tw">http://www.cathaysite.com.tw</a>
T004	元大證券投資信託股份有限公司 Yuanta Securities Investment Trust Co., Ltd.	106台北市敦化南路二段69號18樓 18F, No. 69, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27175555	02-27190232	<a href="http://www.yuantafunds.com">http://www.yuantafunds.com</a>
T008	新光證券投資信託股份有限公司 Shin Kong Investment Trust Co., Ltd.	104台北市南京東路二段167號11樓 11F., 167, Sec.2, Nanjing E. Rd., Taipei 104, Taiwan	02-25071123	02-25077600	<a href="https://www.skit.com.tw">https://www.skit.com.tw</a>
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	<a href="http://www.ezmoney.com.tw">http://www.ezmoney.com.tw</a>
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	02-23126199	<a href="https://site.sinopac.com/newweb/index.html">https://site.sinopac.com/newweb/index.html</a>
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	<a href="https://www.fubon.com/asset-management">https://www.fubon.com/asset-management</a>
T016	街口證券投資信託股份有限公司 JKO Asset Management Co., Ltd.	106台北市市民大道3段206號9樓 9F., 206, Sec. 3, Civic Blvd., Taipei 106, Taiwan	02-27505555	02-27721255	<a href="http://www.jkoam.com">http://www.jkoam.com</a>
T018	中國信託證券投資信託股份有限公司 CTBC Investments Co., Ltd.	115台北市經貿二路188號12樓 12F., 188, Jingmao 2nd Rd., Taipei 115, Taiwan	02-26526688	02-27891339	<a href="https://www.ctbcinvestments.com.tw">https://www.ctbcinvestments.com.tw</a>

註：以上資料截止日為111.12.31



# |||年報

## Annual Report 2022

---

發行人 / 陳佩君

發行所 / 中華民國期貨業商業同業公會

臺北市安和路一段 27 號 12 樓

電話 / 02-87737303

傳真 / 02-27728378

網址 / [www.futures.org.tw](http://www.futures.org.tw)

電子信箱 / [cnfa@futures.org.tw](mailto:cnfa@futures.org.tw)

總編輯 / 吳桂茂

執行編輯 / 莫璧君

編審委員 / 詹益青 · 范加麟

設計印刷 / 震大打字印刷有限公司

