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112年年報



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



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壹

序言

Preface

Message from
CNFA Chairman



中華民國期貨業商業同業公會理事長
陳理事長佩君

多元發展 推動永續期貨

壹、112年期貨市場表現

隨著疫情降溫，全球經貿、旅遊往來也格外熱絡，112年開春百業復甦，一片欣欣向榮的景象，台股現貨市場全年度呈現上漲走勢。但另一方面也面臨通膨壓力、美國劇烈升息、地緣政治、烏俄戰爭等因素，導致全球債市、股匯市，甚至原油、黃金、小麥、玉米等原物料行情均受到影響。112年國內全年期貨交易量達3.24餘億口，較111年（3.84餘億口）減少約15.6%，但期貨商全年累計稅前獲利91.7億元，與111年（73.74億元）相較增加24.3%，在交易量減少之下，期貨商獲利仍能持續成長，也突顯期貨業的多元發展，是具可塑性及前瞻性的行業。

貳、112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112年期貨公會在業務面推動成果摘要說明如下：

一、積極協助業者推動永續期貨

為推動期貨商注重永續發展及相關利害關係人資訊需求，並強化永續經營相關資訊揭露，與期交所共同制定「期貨商編製與申報永續報告書作業辦法」。

為強化期貨業因應氣候變遷風險能，協助期貨商辦理氣候變遷情境分析及資料揭露，研訂期貨商氣候變遷情境分析、資訊揭露、氣候風險管理及財務揭露等相關規範，並研擬「期貨商範疇三投資組合財務碳排放計算之實務作業手冊」及「期貨商訂定範疇一、二盤查時程規劃案」。

另一方面本公會於官網設立專區揭露各項執行永續發展資訊，期貨業者也於官網建置永續專區揭露相關資訊，以完善資訊揭露管道及對外溝通。

二、重視AI發展及資安風險

為強化期貨業網路安全、資通系統安全防護及對供應商遴選、管理、終止與解除之風險管理，本公會除修正「新興科技資通安全自律規範」外，並訂定「網路安全防護自律規範」、「資通系統安全防護基準自律規範」及「供應鏈風險管理自律規範」，並舉辦資安事件通報演練及社交工程演練。

為協助期貨業於核心系統遭受中斷事故時，能有效執行應變措施並將損害降低至可承受範圍，訂定「資訊作業韌性自律規範」；為維護消費者權益，於「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」訂定「一定金額」之損害賠償標準。

Diversified Development & Promoting Sustainable Futures

A. Performance of Futures Markets in 2023

As the pandemic receded, global economic and trade activities, as well as travel, became particularly vibrant. With the onset of spring in 2023, various industries experienced a revival, marking a scene of prosperity. The Taiwan spot market exhibited an upward trend throughout the year. However, on the other hand, there were pressures from inflation, sharp interest rate hikes in the United States, geopolitical tensions, and the war between Ukraine and Russia. These factors affected global bond markets, stock markets, foreign exchange markets, as well as the price of commodities such as crude oil, gold, wheat, and corn.

In 2023, the total annual futures trading volume domestically reached over 324 million lots, a decrease of approximately 15.6% compared to the previous year (over 384 million lots in 2022). However, futures commission merchants accumulated pre-tax profits of NT\$9.17 billion throughout the year, a 24.3% increase compared to the previous year (NT\$7.374 billion in 2022). Despite the decrease in domestic trading volume, the continued growth in profits of futures commission merchants highlighted the industry's diversified development, indicating its adaptability and forward-looking nature.

B. Results of the Association's Business Operations in 2023

Under the guidance of competent authorities, with the active assistance of the futures exchange and related units, and through the concerted efforts of peers in the futures industry, the futures industry demonstrated remarkable performance throughout the year, fully leveraging its unique risk hedging and profit-enhancing functions in the financial market. Here is a summary of the results of the Futures Association's business operations in 2023:

1. Actively assisting firms in promoting sustainable futures

To increase futures commission merchants' attention to sustainable development and the information needs of relevant stakeholders, and to strengthen the disclosure of information related to sustainable operations, the Association has jointly developed the "Regulations Governing the Preparation and Filing of Sustainable Reports by Futures Commission Merchants" with the Taiwan Futures Exchange.

To enhance the futures industry's capacity to cope with climate change risks, the Association has assisted futures commission merchants in conducting climate change scenario analysis and data disclosure, formulated regulations related to futures commission merchants' climate change scenario analysis, information disclosure, climate risk management, and financial disclosure, and developed the "Practical Operation Manuals for Calculating Carbon Emissions of Futures Commission Merchants' Investment Portfolios within the Scope Three" and the "Planning Schedules for Conducting investigations within the Scopes One and Two for Futures Commission Merchants."

On the other hand, the Association has established a dedicated section on its official website to disclose various information related to sustainable development. Futures firms have also set up a sustainability section on their official websites to disclose relevant information, thereby enhancing information disclosure channels and external communication.

2. Paying close attention to AI development and cybersecurity risks

To enhance the cybersecurity, information and communication system security protection, and risk management regarding supplier selection, management, termination, and dissolution in the futures industry, the Association has not only revised the "Self-Regulatory Regulations on Information and Communication Security in Emerging Technologies" but also established the "Self-Regulatory Regulations on Network Security Protection," "Self-Regulatory Regulations on Information and Communication System Security Protection Standards," and "Self-Regulatory Regulations on Supply Chain Risk Management." Additionally, drills for reporting cybersecurity incidents and social engineering have been organized.

To assist the futures industry in effectively executing contingency measures and reducing damages to manageable levels in the event of disruptions to core systems, the "Self-Regulatory Regulations on Information Operations Resilience" have been established. To safeguard consumer rights, compensation standards for "certain amounts of damages" have been set forth in the "Self-Regulatory Regulations on Cooperation with Members and Third-Party Service Providers for Open Inquiry and Use of Securities Public Data" and the "Cooperation Contract Template for Businesses Regarding Open Inquiry and Use of Securities Public Data."

針對國外期貨交易因資訊源廠商PATS公司異常斷線，造成期貨商報價及電子下單相關業務受到影響，本公會即行蒐集相關資訊、拜訪提供報價資訊服務廠商了解可串接其他資訊源之報價載體，及建置成本之妥適性與合理性，成立工作小組，協助業者建置備援機制；另並訂定國外期貨交易複委託業務備援措施自律規範。

鑑於人工智慧（AI）科技運用日漸廣泛，本公會蒐集期貨業應用AI科技之應用場景、管理機制及可能造成的風險類型與影響等事項，並研議提出管理規範建議；另邀請業者代表參加「金融業核心業務與AI應用上雲可行性」座談會，以增進對AI雲端之了解。

三、積極研提各項建議促進期貨市場發展

(一) 產品面

1. 為滿足期貨交易者需求，本公會協助期貨商與主管機關溝通開放NYMEX微型西德洲原油期貨，獲主管機關善意回應，公告得複委託交易。

2. 建議臺灣期貨交易所於盤後交易時段推出個股期貨商品，俾利交易者避險或調整交易策略，期交所並於113年1月22日首先納入台積電期貨及小型台積電期貨ADR標的之個股期貨。

3. 建議臺灣期貨交易所研擬發展自有碳權期貨商品，並建請主管機關研議開放國外碳權期貨及碳權期貨ETF。

(二) 業務面

1. 為促進槓桿交易業務發展，推動開放期貨商受託買賣業務員得轉介槓桿交易者差價契約。

2. 為提供交易者即時、方便之服務，推動開放與期貨商同集團之期貨交易輔助人得協助期貨商提供確認身分及收件之服務。

3. 鑒於夜盤交易需求增加，修正「壓力測試」及「加強服務事項」二項機制，包括期貨商應於收盤後進行壓力測試，通知交易者注意風險，協助交易者瞭解帳戶風險變化，以及提供交易者查詢以盤後收盤價計算之模擬帳戶風險資訊等服務，以強化風險控管措施。

4. 為增加期貨自營商資金運用彈性，持續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。

5. 為提升期貨商經營效益，積極研議調整後淨資本額（ANC）調整議題，以提供主管機關監理參考。

(三) 制度面

1. 為提升交易者陳情處理效率，建請主管機關參照銀行局網站揭示原則，引導交易者進行有效率之陳情與申訴，優先向期貨商提出陳情與申訴，並儘速解決交易者問題。

2. 推動將期貨業納入與銀行業、證券業、保險業等金融機構合作推廣他業商品或提供相關服務之規範範圍，以提升期貨業之競爭力。

3. 建議期交所優化官網公開數據之完整性及即時性，提供更多樣化及完善市場資訊，俾利期貨業加深對全市場的認知並加強自我業務拓展。

In response to abnormal disconnections from the PATS platform of an information provider, which resulted in disruptions to futures commission merchants' quoting and electronic order placement services, the Association promptly gathered relevant information and visited providers of quoting information services to understand alternative information sources that could be integrated, as well as the feasibility and cost-effectiveness of such integration. A task force was also established to assist firms in establishing backup mechanisms. Additionally, the "Self-Regulatory Regulations on Backup Measures for Overseas Futures Trading Sub-Brokerage Services" have been formulated.

In light of the increasingly widespread application of artificial intelligence (AI) technology, the Association has collected information on the application scenarios, management mechanisms, and potential risks and impacts of AI technology in the futures industry to deliberate and propose regulatory suggestions. Additionally, business representatives were invited to participate in a seminar on the feasibility of cloud-based applications for core businesses and AI applications in the financial industry to enhance understanding of AI in cloud computing.

3. Actively proposing various recommendations to promote the development of the futures market

(1) Product development

a. To meet the needs of futures traders, the Association facilitated communication between futures commission merchants and competent authorities to open up trading of NYMEX Micro WTI Crude Oil Futures. This received a positive response from the competent authorities, resulting in the announcement of allowing sub-brokerage trading.

b. The Taiwan Futures Exchange was advised to introduce single-stock futures products during the after-hours trading session to facilitate hedging or adjustment of trading strategies for traders. As a result, on January 22, 2024, the Taiwan Futures Exchange included CDF and QFF with ADRs as the underlying assets for single-stock futures.

c. The Taiwan Futures Exchange was advised to develop proprietary carbon futures products; and competent authorities were advised to consider opening up trading of foreign carbon credit futures and carbon credit futures ETFs.

(2) Business operations

a. To facilitate the development of the leverage transaction business, the Association advocates for allowing futures commission merchants' agents who engage in brokerage trading to refer clients to leverage transaction merchants for CFDs.

b. To provide traders with timely and convenient services, the Association advocates for allowing futures commission merchants' business facilitating agents within the same group to assist in identity verification and document collection.

c. Two mechanisms have been amended in response to the increasing demand for after-hours trading: "Stress Testing" and "Enhanced Service Items." This includes requiring futures commission merchants to conduct post-market stress testing, notify traders of risks, assist traders in understanding changes in account risks, and provide traders with post-market closing price-based simulated account risk information, with the goal of strengthening risk management measures.

d. To increase flexibility in the use of funds by futures proprietary merchants, the Association continues to advocate for allowing futures proprietary merchants to engage in domestic and foreign derivative financial instrument trading in over-the-counter markets.

e. To enhance the operational efficiency of futures commission merchants, the Association actively deliberates the issue of adjusting the adjusted net capital (ANC) requirements for competent authorities' references.

(3) Systems

a. To enhance the efficiency of handling trader petitions, competent authorities were advised to follow the principles disclosed on the Banking Bureau's website, guiding traders in effectively presenting petitions and complaints, prioritizing petitions and complaints from traders to futures commission merchants, and promptly resolving trader issues.

b. The Association advocates for incorporating the futures industry into the regulatory framework for cooperation with financial institutions such as banks, securities firms, and insurance firms to promote cross-industry products or provide related services, thereby enhancing the competitiveness of the futures industry.

c. The Taiwan Futures Exchange was advised to optimize the completeness and timeliness of data published on its official website, providing more diverse and comprehensive market information. This would facilitate the futures industry in deepening its understanding of the entire market and strengthening its business expansion.

4.配合期交所調整客製化商品上市規劃，修正本公會「自然人及一般法人從事較不具流動性之商品加收保證金」適用商品範圍與執行方式，及「會員受託從事期貨交易手續費收取及折讓自律規則」。

5.推動將現行期貨商初任或離職滿二年再任內部稽核人員之登錄資格規定，放寬為「執行業務前二年內」。

6.通過本公會（及期貨同業）擔任國稅局提供一站式查詢金融遺產服務之受理查詢機構，以協助民眾查詢金融遺產。

7.進行「期貨業服務失智者或疑似失智者之實務參考作法」之研究，以建構友善金融環境。

8.配合主管機關發布「期貨商作業委託他人處理應注意事項」，籌組專案小組研議相關規範指引及契約範本，以提供業者參考。

四、防詐及打詐作為

1.與證券商公會、投信投顧公會及投保中心共同設置「證券期貨反詐騙諮詢專線」。

2.與證券商公會、投信投顧公會共同設置「非金管會核准之證券期貨業者及商品警示專區」以維護證券期貨市場秩序及保護投資人與交易人之權益。

3.針對金融詐騙態樣除提供業界發生的金融詐騙態樣予刑事警察局參考及於公會官網宣導外，並請期貨業者併同向交易人宣導，透過廣泛的宣導來防制金融詐欺。

4.為強化期貨交易人保護，訂定「定期抽檢非法期顧暨期貨詐騙活動作業程序」，定期蒐集網路上詐騙與違法行為。

五、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) 在強化現有人員專業能力方面

1.為利期貨商提升綠色金融能量及增進人員永續發展之專業，研訂期貨商高階經理人及一般職員之永續金融相關訓練，包括訓練時數、課程型態及上課方式等。

2.辦理「2023台北國際期貨論壇」活動，以「接軌國際聚焦碳權議題」為主題，使從業人員得與時俱進因應國際局勢變化。

(二) 在校園推動方面

辦理多場校園巡迴講座及校園徵才活動，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。

參、113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。

d. In line with the Taiwan Futures Exchange's adjustments to the listing plans for customized products, the scope of application and implementation methods for "Additional Margins Imposed on Natural Persons and General Juridical Persons Engaging in Less Liquid Products" and the "Self-Regulatory Rules on Commission Fee Collection and Discounts for Members Entrusted with Futures Transactions" by the Association have been amended.

e. The Association advocates for relaxing the registration qualifications for internal auditing personnel of futures commission merchants from the current requirement of being newly appointed or re-appointed after a resignation of a full two years to "within the first two years of executing business."

f. The Association (along with peers in the futures industry) has been designated as the inquiry agency by the National Taxation Bureau to provide one-stop financial inheritance inquiry services, assisting the public in querying financial inheritances.

g. A study on "Practical Reference Practices for Futures Industry Services for People with Dementia or Suspected People with Dementia" was conducted to establish a friendly financial environment.

h. In alignment with competent authorities' release of "Precautions for Futures Commission Merchants Entrusting Operations to Others," a project team was formed to deliberate on relevant regulatory guidelines and contract templates for practitioners' reference.

4. Fraud prevention and countermeasures

a. The "Securities and Futures Anti-Fraud Consultation Hotline" has been established in collaboration with the Taiwan Securities Association, the Securities Investment Trust & Consulting Association of the R.O.C., and the Securities and Futures Investors Protection Center.

b. The "Non-FSC Approved Securities and Futures Firms and Products Alert Website" has been established in collaboration with the Taiwan Securities Association, the Securities Investment Trust & Consulting Association of the R.O.C., and the Securities and Futures Investors Protection Center to maintain market order in the securities and futures markets and protect the rights and interests of investors and traders.

c. In addition to providing reference materials on financial fraud patterns occurring in the industry to the Criminal Investigation Bureau and sharing it on the Association's official website, the Association has also collaborated with futures firms to raise traders' awareness of financial fraud patterns. Through extensive awareness campaigns, the Association aims to prevent financial fraud.

d. To strengthen protection for futures traders, the Association has established "Procedures for Regular Inspection of Illegal Futures Advisory and Futures Fraud Activities" to regularly gather information on fraudulent and illegal activities online.

5. Strengthening the professional skills of existing personnel and deepening campus engagement for talent development

(1) Regarding the enhancement of existing personnel's professional skills

a. To facilitate futures commission merchants in enhancing their green financial capabilities and promoting the sustainable development of personnel, training programs on sustainable finance for senior managers and general staff of futures commission merchants have been devised. This includes specifications on training hours, course formats, and delivery modes.

b. The 2023 Taipei International Futures Forum with the theme "Integrate with International Standards and Enter the Era of Carbon Credits Trading" was organized, enabling industry practitioners to stay abreast of international developments and adapt to changing global trends.

(2) Regarding campus engagement

Multiple campus lectures and recruitment events were organized to provide students with insights into the forward-looking nature of the futures industry and to help them understand and plan for career development opportunities in the futures industry after graduating.

C. Major tasks for 2024 - to help companies promote business

The Association will continue to collaborate closely with the industry participants to deepen and broaden the role of the futures market. In addition to advancing various issues related to sustainable development, the Association will also actively devise and push forward feasible strategies for international exchanges, reducing operational costs, and creating business opportunities.

一、持續推動符合交易人需求的商品

參考國際商品發展趨勢，持續建議期交所開發新商品（如1000股為單位的小型股票期貨及微型臺指期貨商品）；美股波動常影響國內股票價格，為使國內交易人得在美股交易時段可同步管理我國股票部位風險，持續建議期交所於盤後交易時段，推出更多個股期貨商品。

二、持續研議期貨商調整後淨資本額（ANC）議題

為提升期貨商經營效益，持續研議期貨商調整後淨資本額（ANC）計算方式。本公會於112年12月成立「ANC工作小組」進行意見蒐集，就以下事項進行研議，並向主管機關提出建議：1.將「借券保證金」、「借券擔保價款」增列於調整後流動資產項目中；2.將「衍生工具資產一櫃檯」增列於調整後流動資產；3.提高現行買入選擇權權利金市值的折扣率；4.提高現行期貨交易保證金-所需保證金的折扣率；5.自營未沖銷部位所需保證金於計算ANC比率時自分母項扣除；6.扣除代非結算會員期貨商辦理結算之未沖銷部位所需保證金。

三、持續推動期貨業永續發展

本公會除配合主管機關政策，並將持續觀察國際趨勢變化，協助業者制定和實施符合ESG原則的政策和標準，包括風險管理、公司治理和社會責任等方面，刻就範疇三期貨商「揭露及查證投融資組合財務碳排放」、「減碳目標與策略」之時程進行規劃。

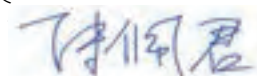
四、教育宣導與防範詐騙

積極對從業人員進行在職訓練與教育宣導。除期貨行業專業實務知識、國際發展動態及法令規範，亦納入洗錢防制與打擊資恐、數位科技與資訊安全、交易人保護與反詐騙、及ESG概念與實踐等相關課程；並規劃與刑事警察局簽訂合作備忘錄（MOU），就反詐騙情資分享、教育宣導等項加強合作，提升從業人員及社會大眾防範投資詐騙觀念。

五、推動期貨業國際交流合作

未來公會將就國際發展趨勢及產業關心議題，包括永續金融議題ESG、AI運用及風險控管、推動槓桿業務發展等面向，持續積極與國外交易所、期貨業者交流合作，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，以提升國際能見度，並為業者開拓商機、協助期貨業發展。

中華民國期貨業商業同業公會
理事長



1. Continuously promoting products that meet the needs of traders

With reference to the development trends of international commodities, the Taiwan Futures Exchange is still advised to develop new products (such as Mini Finance Sector Index Futures with 1000 shares per unit and mini TAIEX futures contracts). Given that fluctuations in U.S. stocks often influence domestic stock prices, to allow domestic traders to synchronously manage risks in their domestic stock positions during the trading session for U.S. stocks, the Taiwan Futures Exchange is still advised to introduce more single-stock futures products during the after-hours trading session.

2. Continuously deliberating on the issue of adjusted net capital (ANC) for futures commission merchants

To enhance the operational efficiency of futures commission merchants, the Association is continuously deliberating on the calculation method for adjusted net capital (ANC) for futures commission merchants. In December 2023, the Association established the ANC Task Force to collect opinions and conduct research on the following matters, and to submit recommendations to the competent authorities: 1. Inclusion of “deposits for securities borrowed” and “collateral for securities borrowed” in the adjusted current asset items; 2. Inclusion of “derivative instrument assets - over-the-counter” in adjusted current assets; 3. Increase in the discount rate for the market value of current call option premiums; 4. Increase in the discount rate for the required margin for futures trading; 5. Deduction of the required margin for a firm's own uncovered positions from the denominator when calculating the ANC ratio; 6. Deduction of the required margin for uncovered positions conducted for settlement on behalf of non-clearing member futures commission merchants.

3. Continuously promoting sustainable development in the futures industry

In addition to aligning with policies by competent authorities, the Association will also continue to monitor changes in international trends and assist firms in formulating and implementing policies and standards in line with ESG principles, including risk management, corporate governance, and social responsibility. This involves planning the timing for futures firms to disclose and verify the financial carbon emissions of their investment and financing portfolios and to establish carbon reduction goals and strategies.

Planning the schedule for scope 3 futures commission merchants regarding “disclosure and verification of financed emissions in investment and financing portfolios” and “carbon reduction targets and strategies.”

4. Awareness campaigns and fraud prevention

The Association actively conducts on-the-job training and awareness campaigns for industry practitioners. In addition to providing practical knowledge of the futures industry and insights into international developments and laws and regulations, our training also encompasses courses on anti-money laundering and counter-terrorism financing, digital technology and information security, trader protection and anti-fraud measures, as well as ESG concepts and practices. Furthermore, the Association is planning to sign a Memorandum of Understanding (MOU) with the Criminal Investigation Bureau to enhance cooperation in areas such as sharing intelligence on fraud prevention and conducting awareness campaigns, with the goal of enhancing the awareness of industry practitioners and the general public in preventing investment fraud.

5. Fostering international exchange and cooperation in the futures industry

In the future, the Association will continuously and proactively engage in exchanges and cooperation with foreign exchanges and futures firms on international development trends and industry concerns, including sustainable finance issues such as ESG, AI application and risk management, and promoting the development of the leverage transaction business. The Association will also organize or participate in various international conferences, such as hosting the Taipei Futures International Forum and the LME Practical Seminar, to enhance international visibility, explore business opportunities for firms, and facilitate the development of the futures industry.



Chairman, CNFA



貳

公會簡介

CNFA

Introduction

貳、公會簡介

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 as 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 the 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 the 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, laying 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 surveys, compile statistics, and conduct R&D projects about the operations of companies.
- To make research and suggestions about government 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 the 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 in social welfare activities.
- To protect legitimate rights and interests 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 that 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 policies and regulations.



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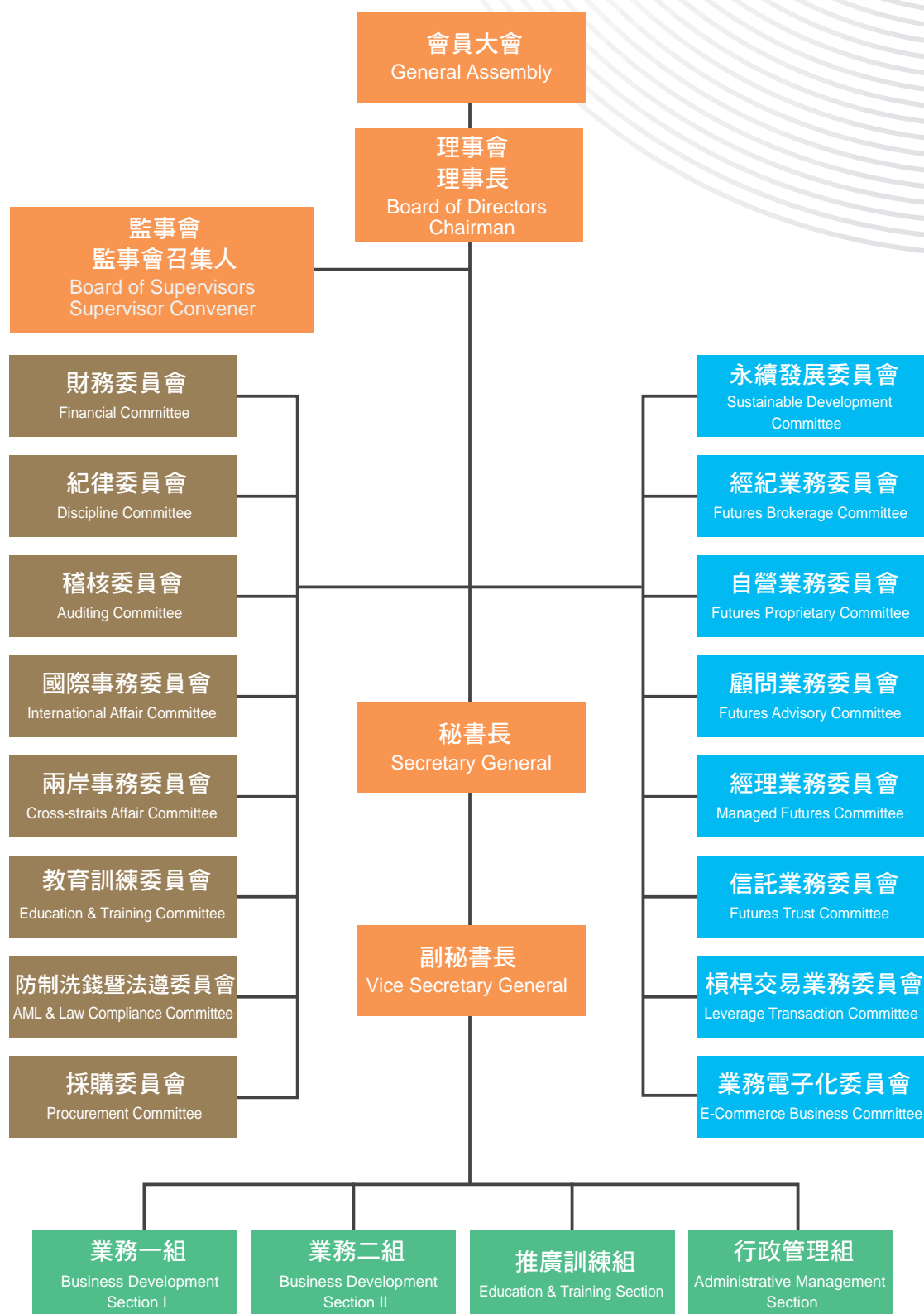
公會組織系統

Association
Structure

參、公會組織系統

一、組織系統圖

A. Organization 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258位。

■成員：由會員代表組成。至112年12月31日止，本公會會員公司計有147家：

1. 專營期貨商14家
2. 兼營期貨商12家
3. 期貨交易輔助人42家
4. 國外複委託商1家
5. 期貨自營業務28家
6. 槓桿交易商5家
7. 期貨顧問業務32家
8. 期貨經理業務5家
9. 期貨信託業務8家

■執掌：為本公會最高決策機關。

■職權：

1. 選舉、罷免理事監事。
2. 章程之訂定與修改。
3. 核定年度工作計畫綱要、經費預算、決算及事業計畫。
4. 審議理事會、監事會及會員（會員代表）提議事項。
5. 會員及會員代表之除名處分。
6. 財產之處分。
7. 清算之決議、清算人之選派及關於清算事項之決議。
8. 議決理事、監事之解職。
9. 議決入會費、常年會費、事業費及會員捐款之金額。
10. 議決其他有關會員權利義務事項。

(二)、理事會

■成員：33位理事，由會員代表互選之。另設置常務理事11人，由理事互選之。

■執掌：理事會為常設機構，亦是本公會決策最高執行單位。並由理事就常務理事中選舉一人為理事長，對外代表本公會。

B. Structure and Responsibilities

1. General Assembly: member companies, based on their business categories, assign up to 7 representatives each to take part in the General Assembly. In 2023, a total of 258 member representatives were registered with the Association.

■ Member companies: the Association was composed of 147 member companies at the end of 2023:

1. Specialized futures brokerage companies: 14
2. Concurrent futures brokerage companies: 12
3. Futures introducing brokers (IB): 42
4. Foreign re-engaging brokers: 1
5. Proprietary futures commission merchants: 28
6. Leverage Transaction Merchant: 5
7. Futures advisory enterprises: 32
8. Managed futures enterprises: 5
9. Futures trust enterprises: 8

■ Authority: the General Assembly is the supreme policy-making body of the Association.

■ Responsibilities:

1. To elect or recall board members or supervisors.
2. To make and revise CNFA Charter.
3. To approve annual working plans, budgets, 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 reports and appointments of settlement persons as well as handle other settlement-related issues.
8. To approve the dismissal of any board member or supervisor.
9. To approve member registration fees, annual membership fees, business promotion fees, 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. 議決處分未依規定繳納會費之會員。
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；並由常務監事互選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狀況。
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 the chairman or executive directors.
3. To approve the resignation of the chairman or board members.
4. To approve registration, withdrawal, or nullification of membership or member representative.
5. To make annual working plans, budgets, auditing reports, 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 fees.
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 an 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, Futures Proprietary Committee, Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, Leveraged Transaction 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 an 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 an 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 an 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 an 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 the futures trust fund.
 - (3) To make an 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 an 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 the futures workers
 - (2) To arrange visits, speeches, lectures, leisure activities, and sports, among others.
 - (3) To handle publishing and editing matters.
 - (4) To make advertising 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 a/the 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。

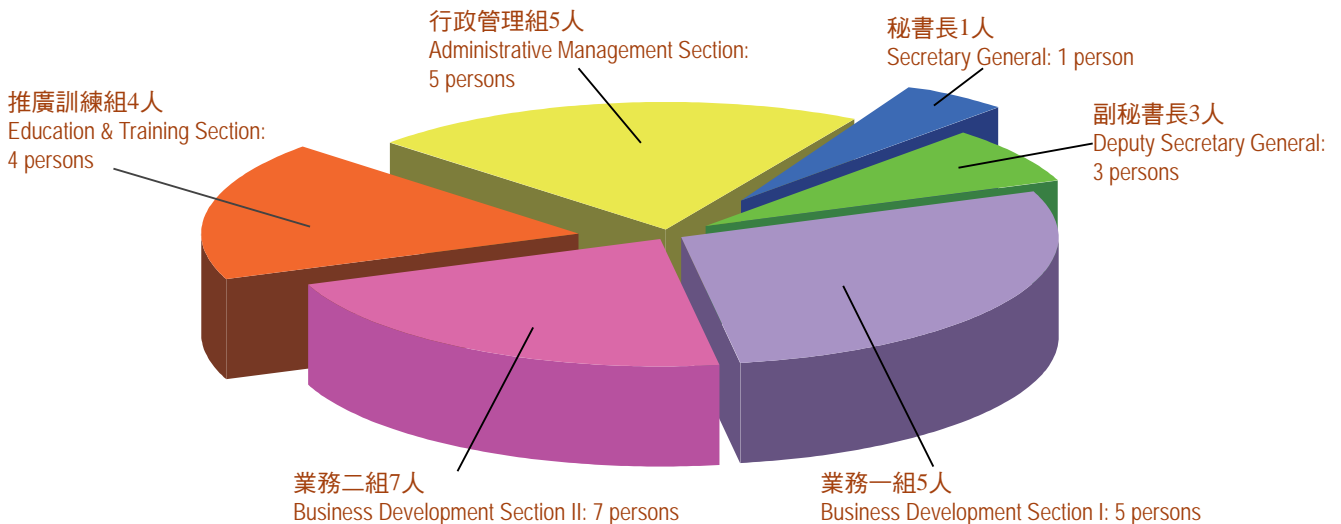
- 防制洗錢暨法遵委員會
 - (1) 有關期貨業法令遵循事務之研討與建議事項。
 - (2) 有關期貨業防制洗錢及打擊資恐之研討與建議事項。
 - (3) 協商並解決期貨業共通性之法令遵循事項。
 - (4) 協商並解決期貨業共通性之防制洗錢及打擊資恐事項。
 - (5) 有關編擬年度工作計畫事項。
 - (6) 其他有關防制洗錢及打擊資恐暨法令遵循事宜之處理事項。

- 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 the internal control system of futures companies and propose suggestions for improvement.
 - (2) To make research on the internal auditing system of futures companies and propose suggestions for improvement.
 - (3) To coordinate for consistency in internal control and auditing systems 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 an 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：

112年會務人員統計表
CNFA Administrative Staff in 2023



- 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 an 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 Business Development Section I, Business Development Section II, Education & Training Section, and Administrative Management Section, all under the supervision of the secretary general and deputy secretary general. The 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。
- (10) 蒐集及分析國際期貨業務之相關資訊。

● 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 the agency/agencies, peripheral institutions, and member companies.
- (3) To gather information about market trends and industrial development.
- (4) To review futures-related laws and, when necessary, propose suggestions 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 businesses 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-strait issues.
- (11) To arrange interactions among the futures associations on 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 improvements.
- (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 inspect 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 agencies, peripheral institutions, and member companies.
- (3) To gather information about market trends and industrial development.
- (4) To review futures-related laws and, when necessary, propose suggestions 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 businesses 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 the international futures issues.



- (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 improvements/improve.
 - (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 inspect on the business locations and facilities of member companies.
- Education & Training Section
 - (1) To arrange pre-job and on-the-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 hearings, or seminars.
 - (4) To arrange activities for advocating special news or research topics.
 - (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 the Association's staff workers.
 - (8) To arrange meetings of the Education & Training Committee.
 - Administrative Management Section
 - (1) To handle procurement issues and safeguard the 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 mail 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 Directors

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 Ececutive 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 Ececutive 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 Ececutive 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 Ececutive Director	林家進 Roger Lin	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.
6	常務理事 Ececutive Director	林添富 Tien-Fu Lin	元大期貨股份有限公司 Yuanta Futures Co., Ltd.
7	常務理事 Ececutive Director	林獻群 Leo Lin	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.
8	常務理事 Ececutive Director	陳瑞珪 Jui-chueh Chen	凱基期貨股份有限公司 KGI Futures Co., Ltd.
9	常務理事 Ececutive Director	黃正雄 Thomas Huang	元富期貨股份有限公司 MasterLink Futures Corp.
10	常務理事 Ececutive Director	黃奕銘 Yiming Huang	統一期貨股份有限公司 President Futures Corp.
11	常務理事 Ececutive 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	姜克勤 Ken Jiang	宏遠證券股份有限公司 Horizon Securities Co., Ltd.
16	理事 Director	凌壩宏 Ling, Yung-Hung	兆豐期貨股份有限公司 Mega Futures Co., Ltd.
17	理事 Director	耿世鈞 Geng, Shih-Chun	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.
18	理事 Director	康景泰 Ching-Tai Kang	康和期貨股份有限公司 Concord Futures Corp.
19	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
20	理事 Director	張清發 Fred Chang	元富證券股份有限公司 MasterLink Securities Corporation

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)
21	理事 Director	張禮賢 Li-hsien Chang	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.
22	理事 Director	莊智宏 Chih-hung Chuang	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.
23	理事 Director	許人祥 Mark Hsu	華南永昌綜合證券股份有限公司 HuaNan 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	許國村 Alex Hsu	元大期貨股份有限公司 Yuanta Futures Co., Ltd.
26	理事 Director	許瑞立 Jurry Hsu	安泰證券股份有限公司 Antay Securities Co., Ltd.
27	理事 Director	郭晃庭 Huan-ting Kuo	富邦證券股份有限公司 Fubon Securities Co., Ltd.
28	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.
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	許介偉 Charly Hsu	國票期貨股份有限公司 Waterland Futures Co., Ltd.
37	候補理事 Alternate Director	陳順揚 Shunyang Chen	元富期貨股份有限公司 MasterLink Futures Corp.
38	候補理事 Alternate Director	黃維本 Webber Huang	群益期貨股份有限公司 Capital Futures Corp.
39	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.
40	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.

註：以上資料以112.12.31為準，依公會職稱、姓氏筆劃排序。

Note: the list is in order of professional title and stroke number of Chinese surname, as of the end of 2023.



監事名錄 Supervisors

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	富邦期貨股份有限公司 Fubon Futures Co., Ltd.
2	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.
3	常務監事 Executive Supervisor	詹正恩 Cheng-en Chan	光和證券股份有限公司 Kuanzho Securities Corp.
4	監事 Supervisor	王文浩 Wen-Hao Wang	康和期貨股份有限公司 Concord Futures Corp.
5	監事 Supervisor	吳皇旗 Huang-chi Wu	統一期貨股份有限公司 President Futures Corp.
6	監事 Supervisor	侯青志 Chris Ho	凱基期貨股份有限公司 KGI Futures Co., Ltd.
7	監事 Supervisor	陳柏榮 Bo-jung Chen	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.
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	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
10	監事 Supervisor	楊宗來 Tsung-lai Yang	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.
11	監事 Supervisor	糜以雍 Falco Mi	凱基期貨股份有限公司 KGI Futures Co., Ltd.

註：以上資料以112.12.31為準，依公會職稱、姓氏筆劃排序。

Note: the list is in order of professional title and stroke number of Chinese surname, as of the end of 2023.



肆

會務報導

Association
Affairs

肆、會務報導

一 關於期貨交易法令協助推行、研議事項

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. 為強化期貨業網路安全及資通系統安全防護，訂定「網路安全防護自律規範」及「資通系統安全防護基準自律規範」。

To strengthen the network security and information communication system security of the futures industry, the Association established the "Self-Discipline Standards for Internet Security Protection" and "Benchmark Self-Discipline Standards for Security Protection of Information and Communication Systems".

2. 為強化期貨業對資通系統之資訊服務供應商遴選、管理、終止與解除之風險管理，訂定「供應鏈風險管理自律規範」。

The "Supply Chain Risk Management Self-Discipline Regulations" were established to enhance the risk management of the selection, management, termination, and release of IT service providers in the futures industry.

3. 為協助期貨業於核心系統遭受中斷事故時，能有效執行應變措施並將損害降低至可承受範圍，訂定「資訊作業韌性自律規範」。

To assist the futures industry in effectively implementing contingency measures and reducing damages to a manageable level in the event of a disruption to core systems, the "Information Operations Resilience Self-Discipline Regulations" was established.

4. 鑑於「新興科技資通安全自律規範」第九條係規範經營經紀業務之期貨業者提供網際網路下單服務時防範撞庫等網路攻擊應有之措施，修正「新興科技資通安全自律規範」第九條第一項明訂適用對象為「經營經紀業務之期貨業」。

In view of Article 9 of the "Emerging Technology Information and Communication Security Self-Discipline Regulations", which regulates measures that futures companies operating brokerage services should take to prevent network attacks such as credential stuffing when providing online trading services over the Internet, the amendment clarifies that the subject of the application in Article 9, Paragraph 1 of the "Emerging Technology Information and Communication Security Self-Discipline Regulations" is "futures industry operators engaged in brokerage business".

5. 為推動期貨商注重永續發展及相關利害關係人資訊需求，並強化永續經營相關資訊揭露，依主管機關指示與期交所共同制定「期貨商編製與申報永續報告書作業辦法」。

To promote futures commission merchants' attention to sustainable development and the information requirements of related stakeholders, and to enhance the disclosure of sustainable management-related information, the Association jointly formulated the "Operating Procedures for Futures Commission Merchants to Compile and Declare Sustainability Reports" with the guidance of the competent authorities and in collaboration with the Taiwan Futures Exchange.

6. 為避免造成消費者權利受侵害，修正「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業務合作契約書範本」，增訂對使用者給付「一定金額範圍內」之損害賠償規定。

To prevent infringement on consumer rights, amendments were made to the "Self-Disciplinary Regulations on Members' Cooperation with Third-Party Service Providers in Opening Securities Public Data Queries and Usage" and the "Model Contract for Cooperation in Opening Securities Public Data Query Services". Additional provisions were added regarding the compensation for damages within "a certain range of amounts" to users.

7. 因應期交所客製化商品上市，考量客製化商品流動性風險，調整「自然人及一般法人從事較不具流動性之商品加收保證金」，適用商品範圍及加收保證金執行方式，將該商品納入並增訂保證金金額計算原則。

In response to the listing of customized products by the Futures Exchange, considering the liquidity risk of customized products, adjustments were made to the "Additional Margin Requirement for Individuals and General Corporations Engaging in Less Liquid Commodities", including the scope of applicable commodities and the implementation of additional margin requirements. The products in question were included and additional margin amount calculation principles were added.

8. 因應客製化商品上市，針對客製化契約新增二項收費項目，分別為「客製化契約申請費」及「客製化契約附加費」，本公會配合將前揭收費項目訂於「會員受託從事期貨交易手續費收取及折讓自律規則」。

In response to the listing of customized products, two new charges were added for customized contracts: the "Customized Contract Application Fee" and the "Customized Contract Additional Fee". The Association incorporated the aforementioned fee items into the "Self-Disciplinary Rules on Collection and Allowance of Handling Fees for Futures Trading Entrusted by Members."

9. 為強化期貨業因應氣候變遷風險能力，協助期貨商辦理氣候變遷情境分析及資料揭露，研訂相關規範（「期貨商氣候變遷情境分析指引」及「期貨商氣候變遷資訊揭露指引」暨「期貨商有關氣候風險管理及財務揭露參考範例」）。

To strengthen the futures industry's ability to respond to climate change risks and assist futures commission merchants in conducting climate change scenario analysis and data disclosure, relevant regulations were formulated ("Guidelines for Climate Change Scenario Analysis for Futures Commission Merchants" and "Guidelines for Climate Change Information Disclosure for Futures Commission Merchants" and "Reference Examples for Futures Commission Merchants on Climate Risk Management and Financial Disclosure").

10. 為強化期貨交易人保護，本公會增訂「定期抽檢非法期顧暨期貨詐騙活動作業程序」，定期主動搜尋網路上未經主管機關許可經營期貨顧問事業及期貨等詐騙與違法行為，以維護整體期貨顧問事業形象及期貨市場交易秩序。

To enhance the protection of futures traders, the Association has added "Regular Inspection of Illegal Futures Advisory and Futures Fraudulent Activities Operating Procedures", actively searching the Internet periodically for unauthorized futures advisory businesses and fraudulent activities related to futures not permitted by the competent authorities, in order to maintain the overall image of the futures advisory business and the trading order of the futures market.

11. 因應人民團體法公布人民團體章程得訂明召開會員大會、理事會及監事會，以視訊會議或其他經中央主管機關公告之方式為之。本公會修正章程第三十七條、第四十條，明訂會員大會及理監事會議得以視訊會議辦理，但涉及選舉、補選、罷免事項應以實體集會辦理。

This amendment is in response to the Civil Associations Act, which stipulates that the Articles of Association of a civil association may specify that a members' assembly and a meeting of the Board of Directors and supervisors shall be convened through video conferencing or other means as promulgated by the central competent authority. The Association amended Articles 37 and 40 of its Articles of Association to specify that members' assemblies and meetings of the Board of Directors and supervisors may be convened through video conferencing. However, matters involving elections, by-elections, and recalls must be conducted in in-person meetings.

12. 參照工商團體財務處理辦法第十八條規定，會員常年會費分類標準分為甲、乙二類，本公會修正章程第四十四條第二款常年會費之規定，明定修正分為甲、乙類常年會費，並同步修正會費繳納辦法。

With reference to Article 18 of the Regulations of Financial Treatment of Industrial and Commercial Groups, annual membership fees are classified into type A and type B. The Association amended Article 44, Paragraph 2 of its Articles of Association to specify the classification of annual fees into type A and type B, and concurrently revised the fee payment methods.

13. 依據「證券暨期貨市場各服務事業建立內部控制制度處理準則」第36條之2及主管機關111年11月3日金管證券字第1110384596號令之規定，並參酌臺灣期貨交易所「建立期貨商資通安全檢查機制」第2條、第3條及第5條規定，修正「期貨信託事業內部控制制度標準規範」之「資通安全檢查之控制作業」相關作業程序。

Pursuant to Article 36-2 of the "Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets" and Jin-Guan-Cheng-Zi Order No. 1110384596 dated November 3, 2022, and referring to the provisions of Articles 2, 3, and 5 of the "Establishment of a Futures Trader Information Security Inspection Mechanism" by the Taiwan Futures Exchange, the "Internal Control System Standard Specification for Futures Trust Businesses" has been amended regarding the relevant operational procedures for "information security inspection controls".

14. 依據111年12月15日實施之審計準則第610號「採用內部稽核人員之工作」規定，修正期貨信託事業內部稽核實施細則之總則第四點內部稽核之職能規範，原採審計準則公報第25號「內部稽核工作之採用」之規定，自109年7月1日起不再適用。

Based on the provisions of TWSA610 "Using the Work of Internal Auditors" implemented on December 15, 2022, the General Principles of the Internal Audit Implementation Rules for Futures Trust Businesses were amended regarding the specification of the internal audit function stipulated in Article 4. The previous provisions under Auditing Standards Communique No. 25 "Use of Internal Audit Work" are no longer applicable since July 1, 2020.

15. 依據期貨信託事業會員反映本公會電子交易登入安全控管機制規定有窒礙難行之處，經與主管機關溝通，修正本公會「新興科技資通安全自律規範」相關條文。

According to feedback from members of futures trust businesses regarding the impractical aspects of the electronic trading login security control mechanism stipulated by the Association, and following communication with the competent authorities, the relevant provisions of the "Emerging Technology Cybersecurity Self-Regulation Code" of the Association were revised.

16. 為避免期貨商過度集中透過單一系統辦理複委託國外期貨經紀業務，因系統斷線，而影響交易人權益，本公會研議於「資通系統安全防護基準自律規範」第五條增訂第九點，明訂期貨商從事國外期貨經紀業務與複委託業者之間，出示交易系統備援相關聲明。期貨商應自行每年進行一次主備援切換測試演練等相關規範。

To prevent futures commission merchants from excessively relying on a single system to conduct international futures sub-brokerage business, which may affect traders' rights in the event of a system failure, the Association is considering adding a ninth point to the fifth article of the "Self-Discipline Regulations on Information System Security Protection Standards". This amendment will stipulate that futures commission merchants engaging in international futures brokerage and sub-brokerage business shall provide relevant statements on the standby trading systems. Futures commission merchants shall conduct active/standby switching test drills once a year, and other relevant regulations.

17. 為強化期貨業確實遵守「會員暨期貨信託基金銷售機構從事廣告業務招攬及營業促銷活動管理辦法」規定，並優化本公會自律功能，訂定未申報之廣告宣傳資料，雖經本公會發函請業者注意改善，惟其內容亦涉及違反前揭辦法第5條規定之情節者，應進行差異化管理機制。

To strengthen compliance with the "Management Measures for Advertising, Solicitation, and Business Promotion Activities Conducted by Members and Futures Trust Fund Sales Agencies" and to enhance the Association's self-regulatory functions, the Association stipulated that despite reminders issued by the Association for improvement, if the content of advertising and promotional materials that have not been reported still violates the provisions of Article 5 of the aforementioned Measures, they should be subject to differential management measures.

研議、建議事項 Proposals

1. 為利期貨業者內部稽核之調度與銜接，並參考期貨從業人員離職滿二年再任者須參加職前訓練之規定，建請主管機關將現行期貨商初任或離職滿二年再任內部稽核人員，應於「執行業務前半年內」完成內部稽核講習之登錄資格規定，放寬為「執行業務前二年內」。

To facilitate the scheduling and continuity of internal audits for futures companies, and taking into account the requirement for futures practitioners to undergo pre-employment training if rejoining after a two-year break, the Association proposes that the competent authority revise the current rule regarding the registration qualifications for internal auditors of futures companies. Specifically, internal auditors, whether newly appointed or reappointed after a two-year break, shall complete internal audit training "within the first two years of assuming their duties", instead of "within the first six months" as currently stipulated.

2. 為利期貨商提升綠色金融能量及增進人員永續發展之專業，研議期貨商高階經理人及一般職員之永續金融相關訓練，每年應至少上3小時，課程內容包含環境(E)社會(S)及治理(G)永續責任相關議題，上課方式採實體或線上皆可，並由各會員公司自行納入相關教育訓練時數。

To enhance the green finance capabilities of futures commission merchants and promote personnel's sustainable development expertise, it is proposed to provide sustainable finance-related training for senior managers and staff of futures commission merchants. They should receive a minimum of 3 hours of training annually. The course content should cover environmental (E), social (S), and governance (G) sustainability issues. Training can be conducted in-person or online, and each member company may recognize training hours as needed.

3. 為使交易人得在美股交易時段可同步管理我國股票部位風險，建議期交所以在美國上市ADR之股票做為標的之個股期貨，於盤後交易時段進行交易，以提供我國股票投資人得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。

To allow traders to manage the risk of their domestic stock positions during the U.S. stock trading hours, it is proposed that the Taiwan Futures Exchange introduce single stock futures based on American Depositary Receipts listed in the United States. These futures contracts could be traded during the after-hours trading session, enabling stock investors in Taiwan to hedge or adjust their trading strategies during overnight market volatility or unforeseen events in the U.S. stock market.

4. 因期貨商營業據點少，為提供交易人即時、方便之服務，以利交易人變更資料或需要臨櫃辦理相關事項，建議期交所開放與期貨商同集團之期貨交易輔助人得以協助期貨商提供確認身份及收件之服務。

Due to the limited number of business locations for futures commission merchants, to provide traders with immediate and convenient services, allowing them to update information or handle related matters in person, it is suggested that the Taiwan Futures Exchange open up the possibility for affiliated futures trading assistants within the same group as the futures brokers to assist in confirming identities and receiving documents on behalf of the futures commission merchants.

5. 鑒於夜盤交易量持續成長，參與夜盤交易人逐年增加，配合期交所強化夜盤風控措施調整「期貨商交易及風險控管機制專案」各項議題彙整表，修正有關「壓力測試」及「加強服務事項」二個項目。

Considering the continuous growth in after-hours trading volume and the increasing number of participants in after-hours trading, in line with the Taiwan Futures Exchange's efforts to enhance risk control measures during after-hours trading, adjustments were made to the various issues listed in the "Project for Futures Commission Merchants Trading and Risk Management Mechanisms". Specifically, revisions were made to the two items related to "stress testing" and "enhanced service matters".

6. 為避免期貨商有違規情事發生，建請主管機關同意期貨商及期貨交易輔助人新進內部人員及其配偶可以彈性保留一般帳戶，員工離職後之員工帳戶及其配偶的區分帳戶也可以彈性保留，但彈性保留的帳戶僅限反向沖銷部位不得建立新單規定。

To prevent violations by futures commission merchants, the Association requests the competent authorities to allow flexibility for new internal personnel of futures commission merchants and futures trading assistants, as well as their spouses, to retain general accounts. The differentiated accounts of employees and their spouses after resignation may also be flexibly retained. However, the accounts retained under flexibility shall be limited to reverse offsetting, and no new orders may be established.

7. 建請主管機關放寬得向期貨商申請採行整戶風險保證金計收方式適用對象之規定，以國外法人及符合條件之國內法人為限，以提升下單速度及資金運用效率，修正「期貨交易人採行整戶風險保證金計收方式自律規則」。

The Association requests the competent authorities to relax the eligibility criteria for applying to futures commission merchants for the adoption of SPAN margin methodology. This relaxation should be limited to international legal entities and eligible domestic legal entities. This is aimed at enhancing order placement speed and capital utilization efficiency. The Association proposes amending the "Self-Regulation Rules for Futures Traders Adopting the SPAN Margin Methodology".

8. 考量0206期貨市場超額損失事件後，經期交所研擬相關管理措施，已有更具效率的管理措施，建請主管機關評估開放一般法人及符合條件之自然人得授權期貨商執行部位組合及拆解，修正「期貨商、期貨交易輔助人接受特定客戶授權執行部位組合及拆解作業自律規則」。

Considering the excess loss incident in the 0206 futures market, the Futures Exchange has devised relevant management measures, which are more efficient. The Association requests the competent authorities to evaluate the possibility of allowing general legal entities and qualified natural persons to authorize futures commission merchants to execute position combinations and disassemblies. This requires amendments to the "Self-Regulation Rules for Futures Commission Merchants and Futures Trading Assistants Accepting Authorization to Execute Position Combinations and Disassemblies for Specific Clients".

9. 為提供期貨商更多樣化及完善市場資訊，加深對全市場的認知並加強自我業務拓展，建議期交所官網公開數據揭露新增期貨商交易量日、週、月報交易量歷史資料及每月新開戶數、註銷戶數、新開戶之年齡分布統計等。

To provide futures commission merchants with more diversified and comprehensive market information, deepen their understanding of the market, and strengthen their business expansion, it is suggested that the Future Exchange's official website disclose additional data, including daily, weekly, and monthly trading volumes of futures commission merchants, historical data of trading volumes, as well as monthly statistics on the number of new accounts opened, retired accounts, and the age distribution of newly opened accounts.

10. 為利期貨商推動永續發展及配合主管機關綠色金融行動方案3.0，研擬「期貨商範疇三投資組合財務碳排放計算之實務作業手冊」及「期貨商訂定範疇一、二減碳目標與策略之時程規劃案」。

To facilitate futures commission merchants in promoting sustainable development and aligning with the competent authority's Green Finance Action Plan 3.0, "practical operation manuals for calculating financial carbon emissions in futures commission merchants' scope 3 investment portfolios" and "planning schedules for futures commission merchants to determine scopes 1 and 2 inspections" are being developed.

11. 為完善期貨商資訊揭露管道及對外溝通，依據「證券期貨業永續發展轉型執行策略」第27項「網站設立專區將各項執行永續發展資訊彙整揭露」，完成本公會官網及業者官網永續專區之建置作業及相關資訊揭露。

To enhance information disclosure channels and external communication for futures brokers, in accordance with item 27 of the "Securities and Futures Industry Sustainable Development Transformation Implementation Strategy", which stipulates the establishment of a special section on the website to disclose various information on sustainability, the construction and related information disclosure of the sustainability section on the Association's official website and the websites of the companies have been completed.

12. 為增加期貨自營商資金運用彈性，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乙案，增提補充說明。

To increase the flexibility of capital utilization for futures proprietary merchants, it is suggested that the competent authorities allow futures proprietary merchants to engage in the trading of domestic and international derivative financial products in the over-the-counter market. Supplementary explanation was added.

13. 本公會實地訪談了解期貨商申設貿易子公司之困難點及實務需求，建議主管機關放寬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業務範圍，包括放寬得承作之標的除註冊倉單外，亦包括國內外交易所「註冊品牌生產商」生產之「所有產品」。

The Association conducted on-site interviews to understand the difficulties and practical needs of futures commission merchants in establishing trading subsidiaries. It is recommended that the competent authorities relax the restrictions on domestic specialized futures commission merchants investing their own funds in establishing trading company businesses domestically. This includes expanding the scope of permissible targets beyond registered warrants to include "all products" produced by domestic and international exchanges' "registered brand manufacturers".

14. 為強化槓桿交易商向一般客戶提供槓桿保證金契約交易服務之徵信作業，研擬修正槓桿交易商自律規則第五條之一及之二，增訂資力證明與交易額度控管規定。

To strengthen the credit investigation procedures for leverage transaction merchants providing leveraged margin contract trading services to retail customers, it is proposed to amend Articles 5-1 and 5-2 of the self-regulatory rules for leverage transaction merchants to include provisions on financial capability certification and transaction limit control.

15. 為建構友善金融環境，委託萬國法律事務所進行「期貨業服務失智者或疑似失智者之實務參考做法」之研究，蒐集實務上失智者或疑似失智者於期貨業辦理業務之態樣及問題並訂定實務參考做法。

To create a friendly financial environment, the Association commissioned Formosa Transnational Attorneys at Law to conduct a study on "Practical Reference Practices for Futures Industry Services for Dementia Patients or Suspected Dementia Patients". The study aims to collect patterns and issues related to dementia patients or suspected dementia patients conducting business in the futures industry, and establish reference practices.

16. 為協助民眾查詢金融遺產，依主管機關指示研議由本公會及期貨商擔任國稅局提供一站式查詢金融遺產服務之受理查詢機構。

To assist people in querying financial legacies, it is discussed, as instructed by the competent authority, to establish a one-stop service for querying financial legacies provided by the Association and futures commission merchants acting as the inquiry institutions designated by the National Taxation Bureau.

17. 建請主管機關參照銀行局網站揭示原則，引導交易人進行有效率之陳情與申訴，優先向期貨商提出陳情與申訴，以提升交易人陳情處理效率，並儘速解決交易人問題。

The competent authorities are advised to refer to the website disclosure principles by the Banking Bureau, guiding traders to make efficient petitions and complaints, prioritizing petitions and complaints to futures commission merchants to enhance the efficiency of handling trader petitions and quickly resolve trader issues.

二 業務發展事項

B Association activities

一、市場推廣 Market promotion activities

2023 LME實務研討會（8/4）

由本公會主辦、臺灣港務公司高雄分公司協辦的「2023 LME實務研討會」，8月4日在高雄盛大舉行。睽違兩年後終於恢復以實體方式舉辦，特別規畫上午參觀實體倉庫，下午進行專題演講與座談，本次活動共吸引將近90位各界人士參加。

2023 LME Practice Seminar

The “2023 LME Practices Seminar” organized by CNFA and co-organized by Taiwan International Ports Corporation Kaohsiung Branch was held on August 4 in Kaohsiung. After a two-year hiatus, the event finally resumed in physical form. A special schedule was arranged for participants to visit physical warehouses in the morning and attend thematic lectures and discussions in the afternoon. The event attracted nearly 90 participants from various sectors.



2023台北國際期貨論壇（11/22）

配合政府「2050淨零排放政策路徑藍圖」，本公會以「與國際接軌 邁入碳權交易時代」為主題舉辦論壇，聚焦實體經濟如何透過淨零轉型維持國際競爭力，邀請臺灣期貨交易所、國際著名期貨交易所、學者與國內業者進行實務觀點分享，共吸引118位業界人士參與。

2023 Taipei International Futures Forum

In line with the government’s “2050 Net Zero Emissions Policy Roadmap”, the Association organized a forum with the theme “Aligning with International Standards: Entering the Era of Carbon Trading”. The forum focused on how the economy can maintain international competitiveness through the transition to net-zero emissions. The event invited representatives from the Taiwan Futures Exchange, internationally renowned futures exchanges, scholars, and domestic industry players to share practical perspectives. The forum attracted a total of 118 industry professionals.



參與「第48屆美國期貨業協會（FIA）年會」（3/14-16）

2023年美國CFTC國際監理官會議及第48屆美國FIA年會於3月14日假美國佛州Boca Raton舉行，探討加密資產的監管、智慧數據分析之應用、如何精進結算體系、交易市場的挑戰和機遇、氣候風險等最新議題。

Participated in "The 48th FIA Annual Conference"

The 2023 CFTC Regulators Conference and the 48th FIA Annual Conference were held on March 14 in Boca Raton, Florida, USA. The conferences discussed topics such as the regulation of cryptocurrencies, the application of smart data analytics, enhancing clearing systems, challenges and opportunities in trading markets, and climate risks.



參與「榮耀20ETF啟動財富博覽會」(8/11、8/12)



本公會與證券商公會、投信投顧公會共同設攤，以實際行動推廣並傳達交易正確觀念，多元提供投資人認識商品宣傳管道，設計兩項遊戲並提供小禮品，藉由遊戲與近1,500位民眾互動，推廣正確交易觀念及反詐騙。

Participated in the "ETF International Forum"

The Association, along with Taiwan Securities Association and Securities Investment Trust and Consulting Association of the R.O.C., jointly set up a booth. Through practical actions, we promoted and conveyed correct trading concepts, and provided diverse channels for investors to understand products. We designed two games and offered small gifts, engaging with nearly 1,500 people through games to promote correct trading concepts and anti-fraud awareness.

贊助「2023台北國際金融博覽會」(11/24-11/26)



為響應政府金融政策、關心環境永續發展，對接市場投資趨勢，實現普惠金融願景，由《今周刊》主辦「2023台北國際金融博覽會」11月24日起為期三天，於世貿一館盛大登場。為持續加強宣導合法期貨，於金融博覽會對外宣傳廣告、大會手冊揭露本公會識別標章(CNFA)及合法期貨廣告。

Sponsored "2023 Taipei International Financial Expo"

In response to government financial policies, concerns about environmental sustainability, alignment with market investment trends, and the realization of the vision of inclusive finance, the "2023 Taipei International Financial Expo" organized by Business Today kicked off on November 24th and lasted for three days at the Taipei World Trade Center Exhibition Hall 1. To continuously strengthen the promotion of legitimate futures, advertisements were disseminated externally at the financial expo, and the conference handbook disclosed the identification emblem (CNFA) of the Association, as well as legitimate futures advertisements.

2023年金融服務愛心公益嘉年華(7/8、8/19)



為推動普及金融知識，喚起民眾對金融知識的重視及對社會弱勢族群的關懷，本公會積極參加金融總會統籌辦理之高雄及宜蘭兩場關懷社會園遊會，從事教育宣導工作，並捐贈款項予弱勢團體，幫助需要關懷人士。

2023 Financial Services Charity Carnival

To promote financial literacy and raise public awareness of the importance of financial knowledge and concern for vulnerable groups in society, the Association actively participated in two social care carnivals organized by the Taiwan Financial Services Roundtable in Kaohsiung and Yilan. The Association engaged in educational outreach activities and donated funds to vulnerable groups to help those in need of care.

2023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27場、超過2,100位同學參與。

2023 Futures Industry Development and Job Opportunities Lecture Campus Tour

To facilitate the sustainable development of the futures industry, the Association invited specialized futures practitioners to form a team of speakers to visit campuses, sharing practical work experiences, introducing prospects for futures market development, and discussing talent demands. The goal is to attract talent and strengthen the futures industry. A total of 27 sessions were held this year with over 2,100 participants.



校園金融講堂及期貨校園徵才（5/11、12/4）

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

Campus Finance Seminar and Futures Campus Talent Recruitment

To attract talent and accumulate industry development momentum, Taiwan Futures Exchange, Economic Daily News, and the Chinese National Futures Association jointly organized the "Campus Finance Seminar and Futures Campus Talent Recruitment" event. The Association invited futures commission merchants to set up booths for recruitment at the event venue, while actively promoting joining legitimate futures companies in the futures workplace.



贊助112學年度金融服務業教育公益基金

本計畫是由金管會指導，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，以募得新臺幣1億為目標，以八千萬元供做為教育獎助學金，供發放清寒及弱勢家庭學生，112學年度提供獎助學金予1,553名學生，每名學生五萬元分別於同一學年度兩學期註冊後各發放，另2千萬元供做金融教育課程及宣導活動等相關支出。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。

Sponsored the 2023 Financial Services Industry Education Non-Profit Foundation

This project was directed by the Financial Supervisory Commission (FSC) and coordinated by the Taiwan Financial Services Roundtable. Various financial peripheral organizations, industry associations, holding companies, and international banks aimed to raise NT\$100 million. Of this amount, NT\$80 million was allocated for educational scholarships, which were provided to financially disadvantaged and vulnerable students. In the 2023 academic year, scholarships were awarded to 1,553 students, with each student receiving NT\$50,000 distributed over two semesters of the same academic year after registration. Additionally, NT\$20 million was allocated for expenses related to financial education courses and advocacy activities. In order to prevent the students from interrupting their studies due to economic factors and to provide them with a fair opportunity to receive education, the Taiwan Financial Services Roundtable provided scholarships to give students broader opportunities and space for development.

國外期貨資訊源座談會（2/10、2/15、3/16）

為協助期貨商從事國外期貨交易之資訊源備援事宜，本公會召開三次會議，邀請八家資訊源業者向期貨商說明系統功能、建置、監控及可能風險等項；另邀請三竹資訊就國外期貨斷線事件說明處理措施與解決方案，並就未來相關硬體建置規模、所需設備、資訊源涵蓋範圍等交換意見。

International Futures Information Source Forum

To assist futures commission merchants in dealing with backup matters for engaging in international futures trading information sources, the Association convened three meetings, inviting eight information source providers to explain system functionalities, deployment, monitoring, potential risks, etc, to futures commission merchants. Additionally, Mitake was invited to explain measures and solutions for handling disconnection events in international futures, and to exchange opinions on future hardware deployment scales, required equipment, information source coverage, and so forth.

期貨商國外期貨複委託業務座談會（4/21）



因聯合平台（PATS）停止服務，期貨商如何因應國外期貨複委託業務經營環境之變化，本公會邀請各專營期貨商董、總及熟悉複委託業務之人員參加會議建立共識，針對國外期貨複委託業務有關建置事項中之資訊源廠商、複委託期貨商等成立工作小組進行討論，研提方案供期貨商做為參考。

Symposium on foreign futures re-entrustment business

Due to the cessation of services by the PATS, and to address how futures commission merchants can adapt to changes in the operating environment of international futures sub-brokerage business, the Association invited directors, executives, and personnel familiar with sub-brokerage business from various futures commission merchants to participate in a meeting to establish consensus. Regarding the establishment matters related to international futures sub-brokerage business, such as information source providers and sub-brokerage futures commission merchants, working groups were formed to discuss and propose solutions for futures commission merchants as references.

金融業核心業務與AI應用上雲可行性座談會（10/12）



精誠資訊邀請學者專家針對打造滿足期貨商可靠高效的雲平台、金融業上雲（法遵與個資、企業ChatGPT賦能及本土公有金融AI雲等）進行座談會，本公會邀請相關業務委員會代表，並邀請業界線上參與，共計78人與會。

Seminar on the Feasibility of Cloud Computing in Financial Industry Core Business and AI Applications

System invited scholars and experts to conduct a seminar on building a reliable and efficient cloud platform for futures commission merchants and financial industry cloud adoption (compliance with regulations and personal data protection, enterprise ChatGPT empowerment, and local public financial AI cloud, etc). The Association invited representatives from relevant business committees and invited industry participants to join online, with a total of 78 attendees.

二、政令宣導 Policy Advocating

「期貨業氣候相關財務揭露與溫室氣體排放範疇三宣導會（6/8）」

本公會為提升期貨業永續發展資訊揭露品質內涵，協助期貨商揭露氣候變遷及碳盤查相關資訊，於本年6月8日在本公會13樓會議室以實體與線上方式舉辦「期貨業氣候相關財務揭露與溫室氣體排放範疇三宣導會」，共計70餘位業者代表參與。

Futures Industry Climate-Related Financial Disclosure and Scope Three Greenhouse Gas Emissions Advocacy Seminar

To enhance the quality and content of sustainability information disclosure in the futures industry and assist futures commission merchants in disclosing climate change and carbon inventory-related information, the Association held the "Futures Industry Climate-Related Financial Disclosure and Scope Three Greenhouse Gas Emissions Advocacy Seminar" on June 8th of this year. The seminar took place both in person and online at the 13th-floor conference room of the Association, with over 70 industry representatives in attendance.

期貨業永續發展轉型執行策略宣導座談會（8/10）」

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，以利期貨商高層瞭解政策目標及方向，本場次15家專營期貨商全數出席，逾百位董事、監察人及高階主管與會。

Seminar on the Implementation Strategy for Sustainable Development Transformation in the Futures Industry (8/10)

To strengthen the sustainability management of the futures industry, Taiwan Futures Exchange and the Association jointly organized a seminar on the "Implementation Strategy for Sustainable Development Transformation in the Futures Industry". This aimed to help senior executives of futures commission merchants understand policy goals and directions. All 15 specialized futures commission merchants attended the event, with over a hundred directors, supervisors, and senior executives present.



期貨商範疇三投融资碳排放作業座談會（12/28）」

為達成碳排淨零目標，並使證券期貨投信各業所揭露之資訊具有一致性，依據主管機關112年11月23日召開研商「證券期貨業範疇三投融资碳排放相關疑義」會議指示之相關議題進行討論，以取得期貨商之共識。

Seminar on Futures Commission Merchants Scope Three Investment and Financing Carbon Emissions Operations

To achieve net-zero carbon emission goals and ensure consistency in the information disclosed by securities, futures, and investment trust companies, discussions were held based on the topics related to "Issues on Securities, Futures, and Investment Trust Companies' Scope Three Investment and Financing Carbon Emissions" as instructed by the competent authorities during the meeting on November 23rd, 2023. The aim was to reach a consensus among futures commission merchants.



建置「非金管會核准之證券期貨業者及商品警示專區」

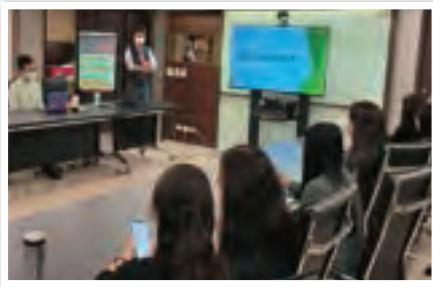


本公會、證券商公會和投信投顧公會共同建置「非金管會核准之證券期貨業者及商品警示專區」，公告包括金管會核准之證券、期貨及投信投顧業者名單與公司網址、經金管會核准之金融商品，以維護證券期貨市場秩序，並藉以提醒投資人與交易人應透過合法業者申購或交易相關金融商品，維護自身權益。

Warnings area for securities and futures not approved by the FSC

CNFA, TSA and STCA jointly set up the area. Announced the list and company website of securities, futures and investment advisors approved by the Financial Supervisory Commission, and financial products approved by the Financial Supervisory Commission to maintain the order of the securities and futures markets. To remind investors and traders to subscribe or trade through legal operators. Related financial products and protect your own rights and interests.

資訊安全意識課程 (5/23)



為提升會務同仁資安相關意識，進而降低資安事件發生風險，邀請專家就資訊安全風險管理方法、郵件安全、密碼與帳戶安全、網頁與網路安全、行動裝置安全、社交媒體及電腦安全等內容說明。

Information Security Awareness Course

To enhance the awareness of our colleagues regarding information security and consequently reduce the risk of security incidents, the Association invited experts to explain various aspects including information security risk management methods, email security, password and account security, website and network security, mobile device security, as well as social media and computer security measures.

洗錢防制/打擊資恐法令解析及案例說明會 (5/24、6/09、6/13、11/29、12/12)



為協助會員對洗錢防制工作之執行，本公會邀請專家適時提供業者最新資訊，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，共辦理3場實體、2場線上說明會，超過600位洗錢防制相關人員與會。

Anti-Money Laundering/Counter-Terrorism Financing Legal Analysis and Case Study Seminar

To assist members in implementing anti-money laundering measures, the Association invited experts to provide timely updates to industry players. Practical case studies were used to illustrate international regulatory trends, suspicious transaction monitoring, digital technology applications, and anti-money laundering measures. The Association organized a total of 3 in-person and 2 online seminars, with over 600 anti-money laundering professionals in attendance.

疑似洗錢態樣實務交流與分享會 (8/11)

Practical Exchange and Sharing Session on Suspicious Money Laundering Patterns

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

To assist industry members in implementing anti-money laundering measures, the Association's Anti-Money Laundering and Compliance Committee invited the Money Laundering Prevention Department of the Investigation Bureau of the Ministry of Justice to explain suspected money laundering patterns. Additionally, through case studies on abnormal fund flows generated through futures trading and money laundering through futures trading, practical exchanges and sharing were conducted.

強化資通安全及案例說明會（8/17、8/22、8/24）

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。

Enhancing Information and Communication Security and Case Study Seminar

To assist members in strengthening information and communication security, as well as personal data protection, the Association organized the "Enhancing Information and Communication Security and Case Study Seminar" in northern, central, and southern regions. The seminar discussed personal and corporate responses to cybersecurity risks based on examples of cybercrime cases. Over 200 information security professionals, business units, and relevant personnel attended the event.



金融消費者保護法令解析與最新趨勢線上課程（10/5、10/18）

為能協助會員營造更具包容性的金融友善環境，提昇從業人員遵法及公平合理對待客戶之意識及專業知識，本公會辦理二場視訊說明會。計353位董、監、經理人、營業單位一線人員及法令遵循、內部稽核人員與會。

Online Course on Analysis of Financial Consumer Protection Regulations and Latest Trends

To assist members in creating a more inclusive and financially friendly environment, and to enhance the awareness and professional knowledge of practitioners in legal compliance and fair treatment of clients, the Association organized two video conferences. A total of 353 directors, supervisors, managers, front-line personnel of business units, and compliance and internal auditors attended the event.



三、聯誼活動 Friendship activities

111年度歲末聯誼餐會（1/5）

本公會111年度歲末聯歡晚會於112年1月5日晚間假寒舍艾麗酒店5樓楓廳舉行，席間除本公會理監事、各委員會委員外，蒞臨貴賓尚有主管機關及多位周邊單位首長，大家齊聚一堂迎接癸卯兔年，共祝期貨市場蓬勃發展，更上一層樓。

2022 Year-End Banquet

The year-end celebration of the Association was held on the evening of January 5, 2023, at the Maple Hall, 5th floor of Humble House Taipei. In addition to the directors, supervisors, and committee members of the Association, distinguished guests including representatives from competent authorities and various related units attended the event. It was a get-together for networking and to welcome the prosperous development of the futures market in the Year of the Rabbit.



112年度證券期貨盃高爾夫球錦標賽聯誼活動（5/6）



為增進證期同業之交流及情誼，由證交所、櫃買中心、期交所、集保、投信投顧公會、證券公會及本公會等7個單位共同辦理、證券公會承辦之「證券期貨盃高爾夫球錦標賽」假桃園揚昇高爾夫球場舉行，今年計有153人報名參賽，挑戰並突破自我，賽事圓滿成功。

Securities & Futures Golf Championship for 2023

To enhance the connections and camaraderie among securities and futures industry peers, the "Securities and Futures Cup Golf Tournament", jointly organized by seven entities including the Taiwan Stock Exchange,

Taipei Exchange, Taiwan Futures Exchange, Taiwan Depository & Clearing Corporation, Investment Trust & Consulting Association, Taiwan Securities Association, and our Association, and undertaken by the Taiwan Securities Association, was held at Sunrise Golf & Country Club in Taoyuan. This year, 153 people registered to participate in the tournament, challenging and surpassing themselves. The event was a complete success.

委員會聯誼活動（7/8-7/9、7/22-7/23）



為感謝各委員會委員平日參予會議之辛勞與貢獻，本公會分二梯次舉辦委員會聯誼活動，本年度擇定「龜山島賞鯨豚、蔥仔寮體驗及酒藏酒莊」二日休之旅，近60位委員及眷屬參加。

Friendship activity for committee members

To express gratitude for the hard work and contributions of committee members in their regular attendance at meetings, the Association organized two separate committee networking events. This year, the Association organized a two-day trip to "Guishan Island Whale and Dolphin Watching, Tsungtsai Village Experience, and Cang Jiu Winery"

for nearly 60 committee members and their families to participate in.

理監事聯誼參訪活動（9/8-9/17、10/4-10/15、10/5-10/14）



112年度本公會陸續恢復辦理各項實體國際交流事務，於第三季安排理監事國外參訪活動；分為德瑞、紐西蘭、義瑞三梯次進行國外考察，共計38位理監事參加，期能透過實際行動加強國際交流與瞭解國際金融市場發展趨勢。

Networking Trips of directors and supervisors

In 2023, the Association resumed various in-person international exchange activities. In the third quarter, we arranged overseas visits for the Board of Directors. The visits were divided into three trips to Germany and Switzerland, New Zealand, Italy and Switzerland, with a total of 38 directors and supervisors participating. The aim was to strengthen

international exchanges and understand the trends in the international financial market through practical actions.

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112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1案，計2項違規內容，發函要求改善者1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 2023” there were 1 cases reported to the Discipline Committee, 2 cases found to have violated the Agreement, 1 were notified to make improvement by written letter.

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12案，計12項違規內容，發函要求改善者12項。

Among other member companies which violated the “Self-discipline Agreement for CNFA Members”(except futures advisory enterprises), there were 12 cases reported to the Discipline Committee, 12 cases found to have violated the Agreement, and 12 cases which were required to make improvement through written notification.

3. 適時建議修訂相關規範

Suggest amendments to relevant specifications in a timely manner

會員因違反本公會廣告管理辦法，涉及該辦法第5條所訂應共同遵守事項，本公會研議差異化管理機制。

The Association deliberates on differential management mechanisms for members who violate the Advertising Management Measures of the Association, involving the matters stipulated in Article 5 of the said Measures that should be jointly complied with.

四 關於會員業務之廣告及宣傳審查事項

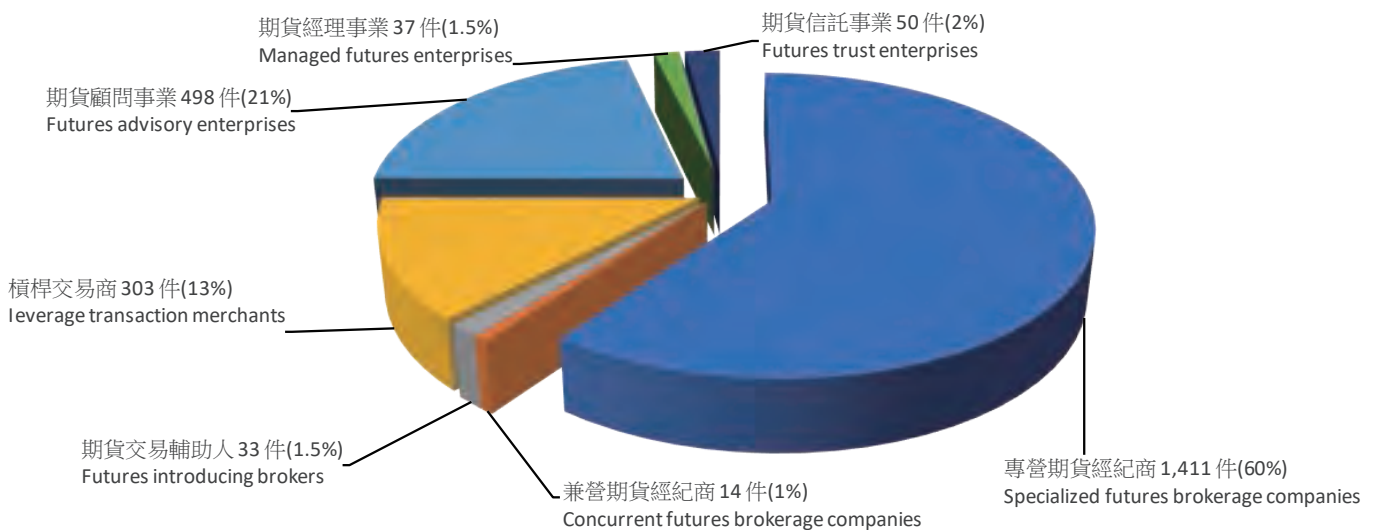
D Inspection of advertisement and promotional materials of member companies

本公會112年度共計審核2,346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1,411件、兼營期貨經紀商申報14件、槓桿交易商申報303件、期貨顧問事業申報498件、期貨經理事業申報37件、期貨信託事業申報50件、期貨交易輔助人申報33件。

In 2023, the Association reviewed 2,346 projects of advertisement and promotional materials published by member companies. Among them, 1,411 projects were filed by the specialized futures brokerage companies, 14 by concurrent futures brokerage companies, 303 by leverage transaction merchants, 498 by futures advisory enterprises, 37 by managed futures enterprises, 50 by futures trust enterprises, and 33 by futures introducing brokers

112年度宣傳資料及廣告申報案件統計

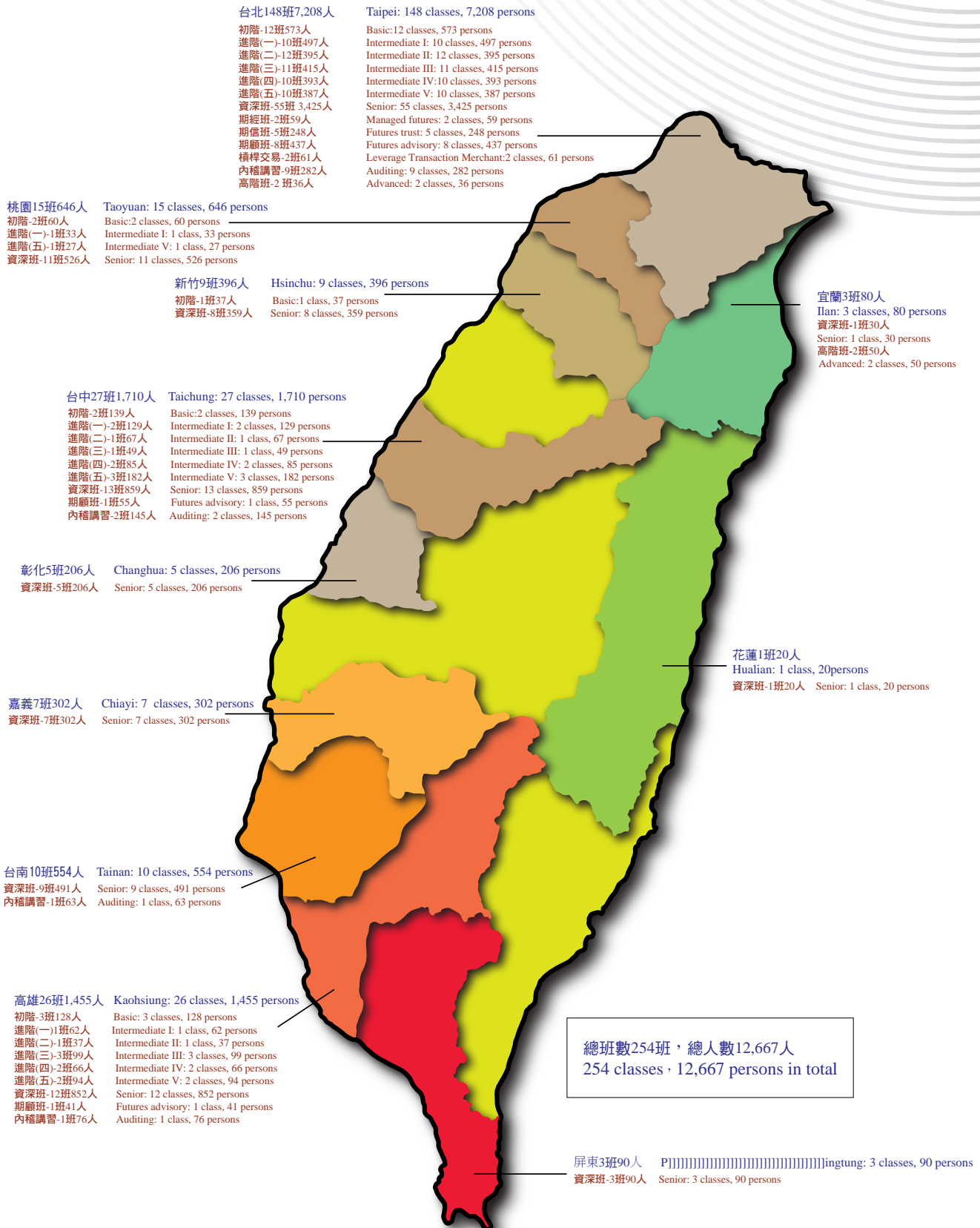
Advertisement and Business Promotion Projects of CNFA Members in 2023



五 在職訓練

E On-job training

112年度舉辦之地區別、班別及人數詳如下圖：
CNFA-arranged Training Courses in 2023



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

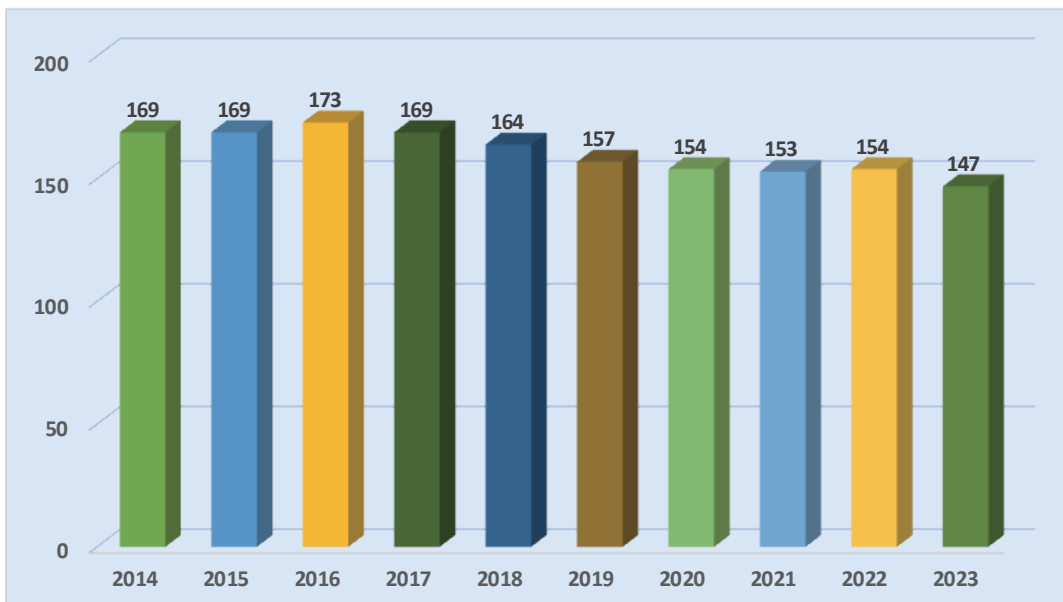
1. 會員及業務員基本資料之建立及登記事項

Registration of member companies and their business representatives

- 會員家數：共計147家，其中經營期貨經紀業務為27家；期貨業務輔助人42家；期貨自營業務28家；期貨顧問業務32家；期貨經理業務5家；期貨信託業務8家；槓桿交易商5家。
- There were 147 member companies registered with the CNFA at the end of 2023, 27 futures brokerage companies, 42 futures introducing brokers, 28 futures proprietary commission merchants, 32 futures advisory enterprises, 5 managed futures enterprises, and 8 futures trust enterprises, and 5 leverage transaction merchants.

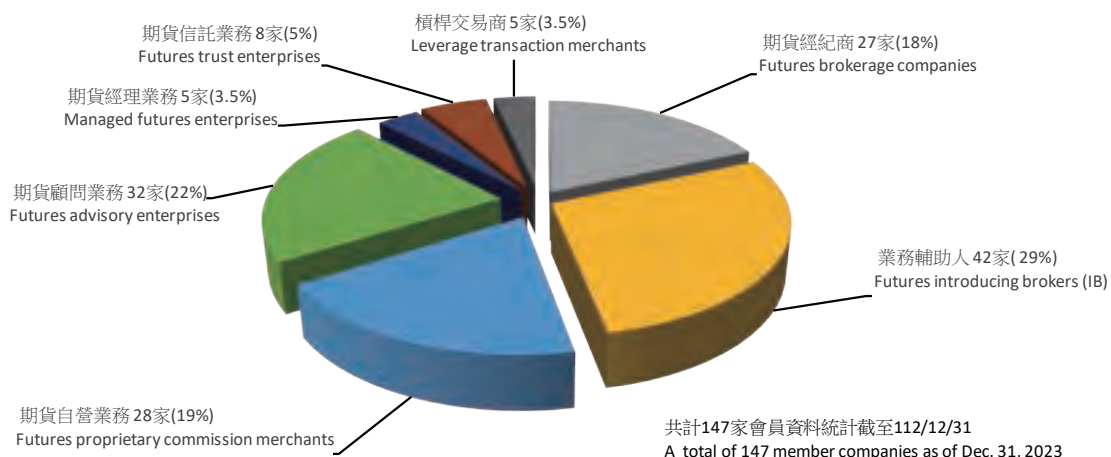
近10年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years



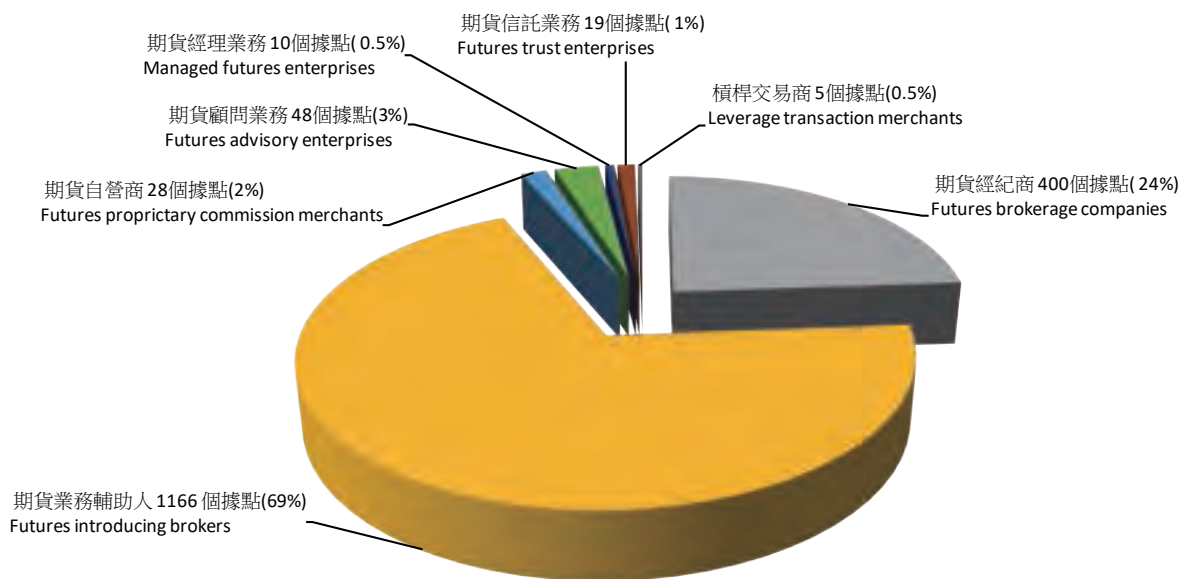
112年度會員類別統計圖

Statistics of CNFA Member Companies in 2023, by Business Category



- 會員總分公司分支機構數：共計1,676家，其中經營期貨經紀業務為400個營業據點；期貨業務輔助人1,166個營業據點；期貨自營業務28個營業據點；期貨顧問業務48個營業據點；期貨經理業務10個營業據點；期貨信託業務19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 1,676 headquarters offices and branch offices as of the end of 2023: 400 used by futures brokers, 1,166 used by introducing brokers, 28 used by futures proprietary commission merchants, 48 used by futures advisory enterprises, 10 used by managed futures enterprises, 19 used by futures trust enterprises, and 5 used by leverage transaction merchant.

112年度會員營業據點統計圖 Business Sites of CNFA Member Companies in 2023



112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 2023



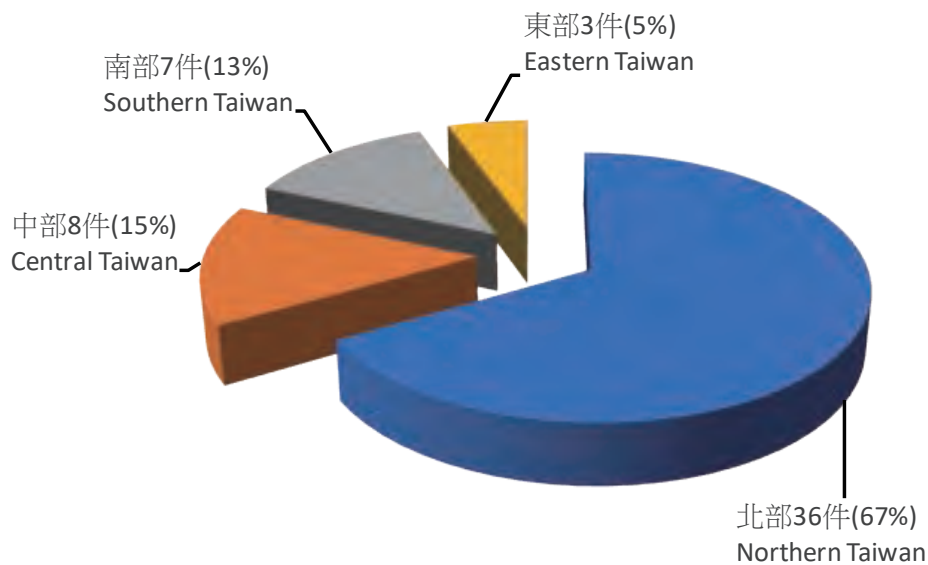
- 會員場地勘察 Business site inspection

112年度共計54件實地場勘案(北部地區36件、中部地區8件、南部地區7件、東部地區3件)，就其場勘案件分析，新設營業處所11件、遷移營業處所23件、縮減營業處所3件、擴增營業處所11件、營業處所內部配置變動6件。

- The Association conducted a total of 54 business site inspection projects in 2023 (36 in northern Taiwan, 8 in central Taiwan, 7 in southern Taiwan, and 3 in eastern Taiwan). Among these inspected sites, 11 were newly established, 23 were relocated, 3 were downsized, 11 were expended, and 6 were remodeled.

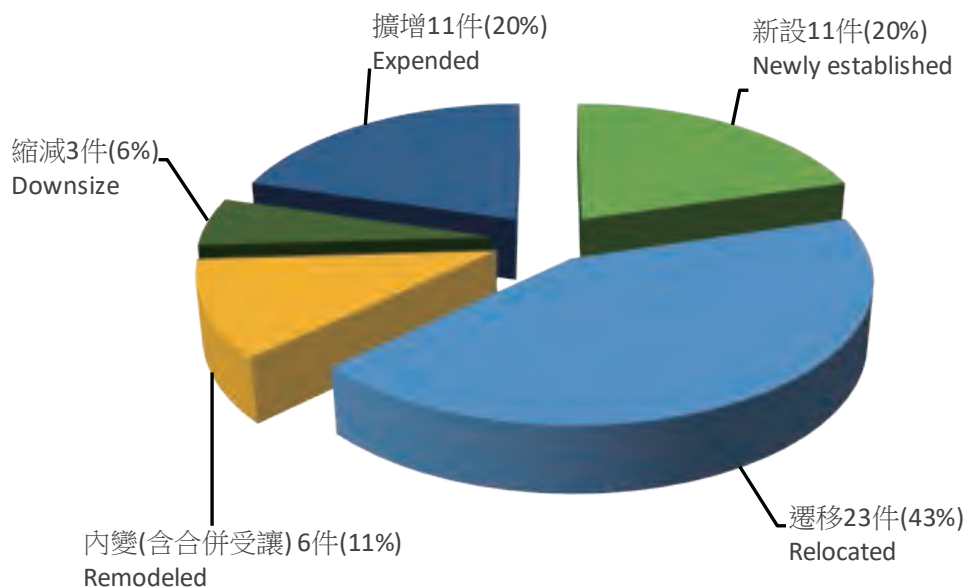
112年度場地勘察區域分布統計圖

Geographical Areas of Inspected Business Sites in 2023



112年度場地勘察類別統計圖

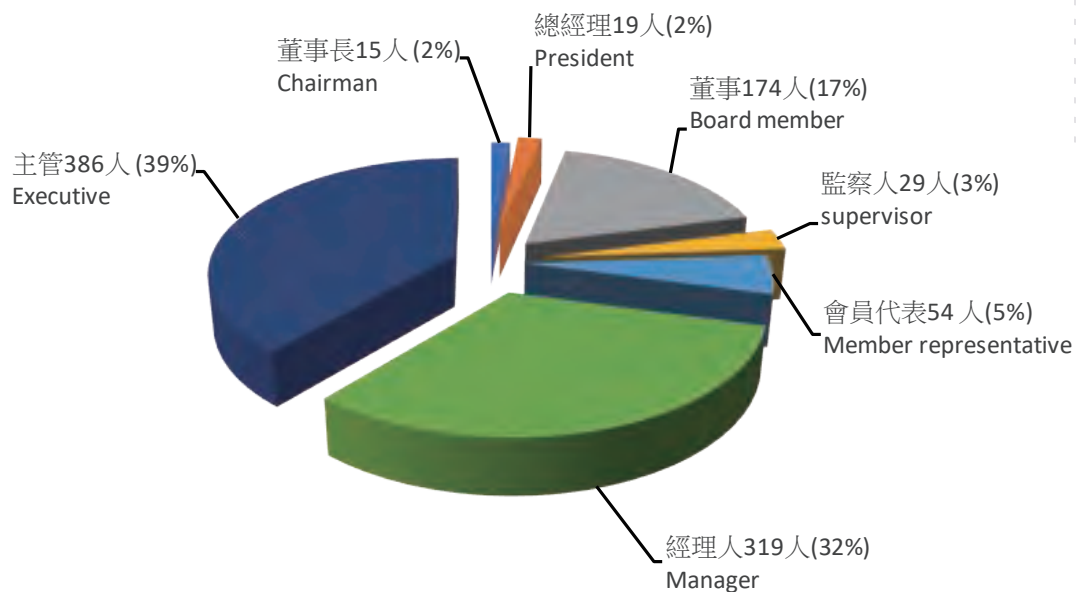
Statistics of Business Site Inspection Projects in 2023



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

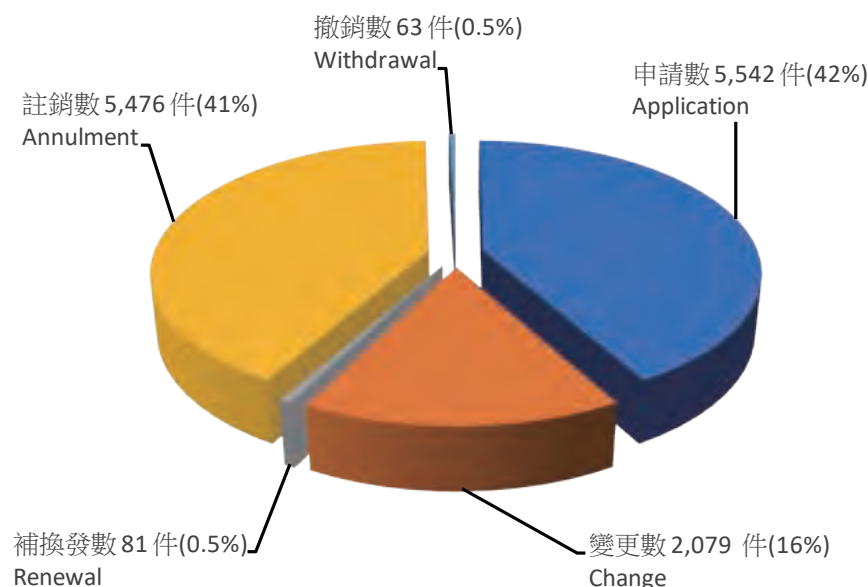
- 會員代表、會員負責人112年度於本公會異動登錄共計996人次，細分如下：
- In 2023, the Association handled a total of 996 certificate renewal and change cases for highranking executives, board members, and supervisors of member companies.

112年度身分類異動統計圖 Position Change Statistics for 2023



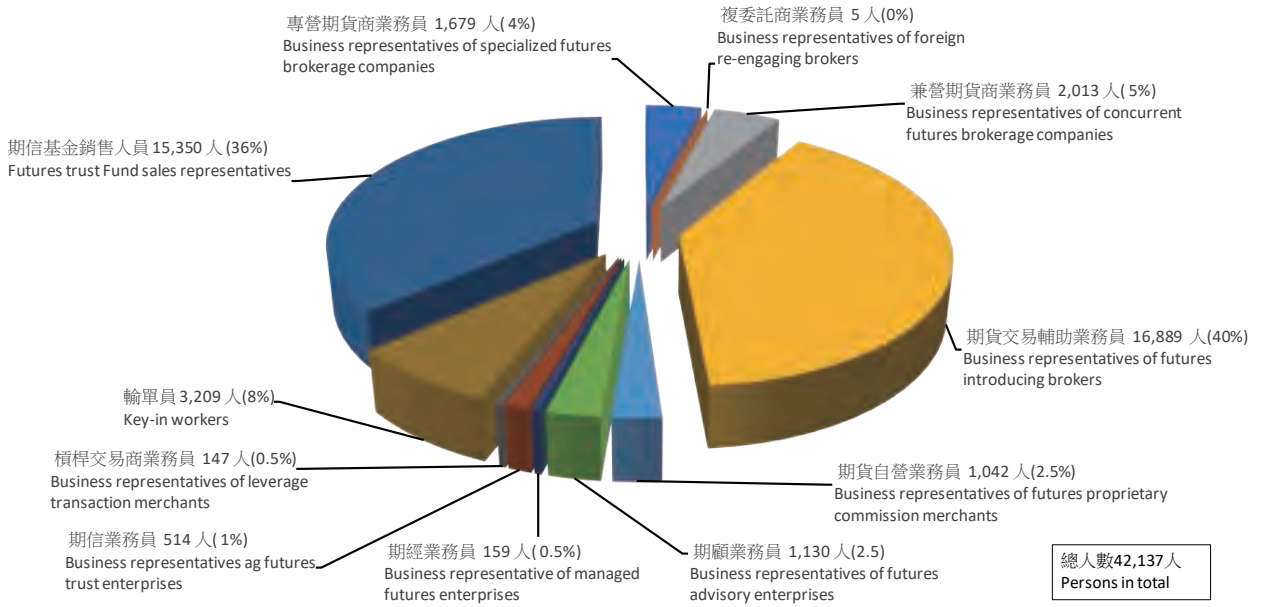
- 業務員、輸單員、銷售人員112年度於本公會異動登錄共計13,241件，每月平均1,103件
- In 2023, the Association handled a total of 13,241 business representative, key-in worker, and salesperson enrollment cases, with an average of 1,103 cases per month.

112年度業務異動類別統計圖 Job Change Registrations in 2023



112年度從業人員登記統計圖

Business Category Change of Staff at CNFA Member Companies in 2023



七 本公會出版品 G Publications

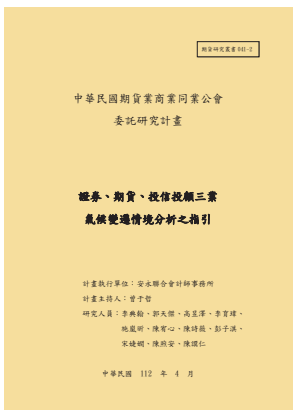
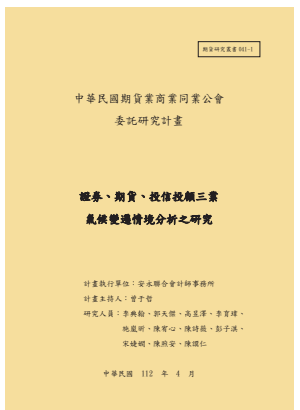
1. 會訊 Newsletter



2. 期貨人季刊 Futures Journal



3. 研究叢書 Research Books





伍

財務報告

Financial
Report



會計師查核報告

(113)財審報字第 23003396 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 112 年及 111 年 12 月 31 日之資產負債表及財產清冊，暨民國 112 年及 111 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 112 年及 111 年 12 月 31 日之財務狀況，暨民國 112 年及 111 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



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



中華民國 113 年 2 月 23 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, 2023 and 2022, 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, 2023 and 2022, 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.

The issues discussed by the governing body and the certified accountant covered all the items to be checked within the designated time frame as well as the major findings (including the significant internal auditing defects addressed during the checking procedure).

		111年12月31日		111年12月31日		111年12月31日	
		金額	單位	金額	單位	金額	單位
中華民國證券投資顧問公會 光緒三十三年一月一日							
資產負債表							
資產							
流動資產							
現金及銀行存款(附註五(一))	6	41,226,968	0	12,202,671	2	0	15,707,235
有價證券(附註五(二))	20	147,796,681	21	371,437	-	-	399,247
應收帳款(附註五(三))	-	548,907	-	91,692	-	-	122,668
預付帳項	-	519,791	-	12,465,703	-	-	18,359,282
流動資產合計	26	193,453,349	27	160,874,103	27	-	-
非流動資產							
其他權益							
合瑞信及瑞信基金一專戶存款(附註五(四))	22	159,523,599	21	130,363,764	21	-	56,480,000
遠鴻信基金一專戶存款(附註五(五))	8	41,526,828	8	37,879,811	8	-	50,440,660
基金合計	30	201,050,427	29	168,243,575	29	-	66,799,282
固定資產(附註五(六))							
土地	19	133,983,345	19	133,989,345	19	-	-
房屋及設備	15	197,779,326	15	107,776,320	15	-	-
車牌設備	3	21,284,339	3	16,898,974	3	-	-
傢俬設備	1	4,948,698	1	4,048,968	1	-	-
辦公設備	-	3,876,622	-	2,078,830	-	-	-
固定資產合計	38	259,178,693	38	259,793,637	38	-	-
其他資產							
有價證券(附註五(七))	1	5,381,590	1	5,301,590	1	-	-
存出保證金	7	37,380	7	37,380	7	-	-
存摺基金一專戶存款	2	48,425,801	2	50,409,008	2	-	-
其他資產合計	8	53,178,651	8	55,738,898	8	-	-
資產總計	103	5,717,508,948	103	5,791,490,355	103	-	-
負債							
流動負債							
銀行存款	24	169,578,728	24	169,578,728	24	-	25
應付帳款	1	10,234,081	1	10,234,081	1	-	-
其他負債	25	179,803,025	25	169,578,728	25	-	-
負債合計	30	359,615,834	30	349,391,537	30	-	-
非流動負債							
其他負債	108	5,717,508,948	108	5,791,490,355	108	-	-
負債總計	138	3,717,508,948	138	3,791,490,355	138	-	-

此項會計師報告附註為本會計報告之一部分，請併同參閱。

董事長：


總經理：


會計主管：


製表：


CHINESE NATIONAL FUTURES ASSOCIATION
BALANCE SHEETS
YEARS ENDED DECEMBER 31

	2023		2022		Notes	LIABILITIES, FUNDS AND SURPLUS		Notes	2023		2022	
	Amount	%	Amount	%		Amount	%		Amount	%	Amount	%
ASSETS												
Current Assets							Current Liabilities					
Cash and bank deposit	\$ 44,528,229	6	\$ 41,226,966	6	5(1)	Accrued expenses	\$ 12,202,671	2	\$ 15,797,235	2		
Securities	147,796,681	20	147,796,681	21	5(2)	Receipts under custody	371,437	-	389,247	-		
Accounts receivable	588,607	-	1,183,346	-	5(3)	Temporary receipts	91,600	-	122,800	-		
Prepayments	549,791	-	665,200	-		Total current liabilities	12,665,708	2	16,309,282	2		
Total current assets	193,463,308	26	190,874,193	27								
Funds												
Development fund at special bank account	159,523,509	22	150,303,764	21	5(4)	Non-current Liabilities	48,420,000	7	50,400,000	7		
Pension fund at special bank account	41,556,428	6	37,970,011	6	5(5)	Refundable deposits received	48,420,000	7	50,400,000	7		
Total funds	201,079,937	28	188,273,775	27		Total Non-current Liabilities	61,085,708	9	66,709,282	9		
						TOTAL LIABILITIES						
Property, Plant and Equipment					5(6)							
Land	133,989,345	19	133,989,345	19		Funds And Accumulated Surplus						
Buildings	107,770,320	15	107,770,320	15		Funds	166,563,509	23	157,883,764	23		
Machinery and equipment	21,294,330	3	18,898,974	3		Development fund	41,067,253	6	41,043,044	6		
Miscellaneous property, plant, and equipment	4,048,868	1	4,048,868	1		Pension fund	269,178,893	37	266,783,537	38		
Office equipment	2,076,030	-	2,076,030	-		Fixed assets fund	476,609,655	66	465,410,345	67		
Total property, plant and equipment	269,178,893	38	266,783,537	38								
Other Assets												
Securities	5,301,550	1	5,301,550	1	5(7)	Surplus	169,570,728	24	159,063,376	23		
Refundable deposits	57,300	-	57,300	-		Accumulated surplus	10,234,897	1	10,507,352	1		
Self-discipline fund at special bank account	48,420,000	7	50,400,000	7		Surplus for the year	179,805,625	25	169,570,728	24		
Total other assets	53,778,850	8	55,758,850	8		Total surplus	656,415,280	91	634,981,073	91		
						TOTAL FUNDS AND SURPLUS						
TOTAL ASSETS	\$ 717,500,988	100	\$ 701,690,355	100		TOTAL LIABILITIES, FUNDS AND SURPLUS	\$ 717,500,988	100	\$ 701,690,355	100		

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

中華民國體育委員會

收支決算書

民國110年12月31日

單位：新台幣元

行 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	\$ 12,000	\$ 2,400	\$ 9,600	\$ -	
甲類常年會費收入	1,544,800	1,515,200	29,600	-	
乙類常年會費收入(附註五(十))	100,090,770	154,310,200	-	(54,219,430)	註1
利息收入	2,705,709	1,633,209	1,072,500	-	註2
會員服務收入	15,010,154	13,539,000	1,471,154	-	註3
其他收入	125,949	-	125,949	-	
收入合計	119,489,442	171,080,000	2,708,872	(54,219,430)	
經費支出					
人事費	40,975,179	44,318,000	-	(3,342,821)	註4
辦公費	8,773,640	8,280,000	-	(1,492,360)	註5
業務費	41,381,436	92,281,200	-	(50,899,764)	註6
購置費	2,463,700	2,200,000	263,700	-	
商標會費	1,574,000	1,574,000	-	-	
什項支出	5,066,124	7,520,000	-	(2,453,876)	註7
撥備金	-	3,420,000	-	(3,420,000)	註8
會務發展準備基金(附註五(十一))	8,845,800	8,870,800	-	(25,000)	
退休準備基金(附註五(十一))	4,182,400	4,550,000	-	(367,600)	
支出合計	109,254,545	171,000,000	261,706	(62,007,161)	
本期餘絀(稅前)	10,234,897	-	10,234,897	-	
所得稅費用(附註五(九))	-	-	-	-	
本期餘絀(稅後)	\$ 10,234,897	\$ -	\$ 10,234,897	\$ -	

後附會計報告附註為本會計報告之一部分，請併同查閱。

註1：乙類常年會費收入減少，主係總理監事聯席會議，自本期0月起免收常會費。

註2：利息收入增加，主係因本年度定存利率上升所致。

註3：會員服務收入增加，主係本年度各職訓課程班次較預期增加。

註4：人事費減少，主係因本年度員工人數減少所致。

註5：辦公費減少，主係因轉辦辦公費用支出所致。

註6：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7：什項支出減少，主係本期預估之社會服務費未全數執行所致。

註8：撥備金減少，主係本期無特殊狀況發生。

董事長：



秘書長：



會計主管：



製表：



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

(Expressed in New Taiwan Dollars)

Notes	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
			Increase	Decrease	
Income					
	\$ 12,000	\$ 2,400	\$ 9,600	\$ -	
	1,544,800	1,515,200	29,600	\$ -	
5(10)	100,090,770	154,310,200	-	(54,219,430)	Note1
	2,705,769	1,633,200	1,072,569	-	Note2
	15,010,154	13,539,000	1,471,154	-	Note3
	125,949	-	125,949	-	
	<u>119,489,442</u>	<u>171,000,000</u>	<u>2,708,872</u>	<u>(54,219,430)</u>	
Expenditure					
	40,975,179	44,318,000	-	(3,342,821)	Note4
	6,773,640	8,266,000	-	(1,492,360)	Note5
	41,381,436	92,281,200	-	(50,899,764)	Note6
	2,461,706	2,200,000	261,706	-	
	1,574,000	1,574,000	-	-	
	5,066,124	7,520,000	-	(2,453,876)	Note7
	-	3,420,000	-	(3,420,000)	Note8
5(11)	6,840,000	6,870,800	-	(30,800)	
5(11)	4,182,460	4,550,000	-	(367,540)	
	<u>109,254,545</u>	<u>171,000,000</u>	<u>261,706</u>	<u>(62,007,161)</u>	
	10,234,897	-	10,234,897	-	
5(9)	-	-	-	-	
	<u>\$ 10,234,897</u>	<u>\$ -</u>	<u>\$ 10,234,897</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 September 2023.

2 : Interest income increased due to the interest rate of increased.

3 : Membership service fees increased due to the number of class increased than estimated.

4 : The personnel expense decreased due to the number of employees decreased.

5 : Administration fee decreased mainly due to budget cut.

6 : Business activity fees decreased because the planned activities for business promotion had not been completely implemented in 2023.

7 : Miscellaneous expenses decreased primarily because the social service budget has not been fully used.

8 : Reserve cash decreased because there were no conditions for special purpose.



陸

大事紀要

Chronicle

大事紀要 Chronicle

日期 Date	項目 Event
1/5	111年度歲末聯歡餐會 2022 Year-End Banquet
1/6	第7屆採購委員會第2次會議 The 2 nd meeting of the 7 th -session Procurement Committee
2/3	第7屆經紀業務委員會第5次會議 The 5 th meeting of the 7 th -session Futures Brokerage Committee
2/7	第7屆教育訓練委員會第4次會議 The 4 th meeting of the 7 th -session Education & Training Committee
2/8	第7屆永續發展委員會工作小組第4次會議 The 4 th meeting of the 7 th -session Sustainable Development Committee's working group
2/8	第7屆採購委員會第3次會議 The 3 rd meeting of the 7 th -session Procurement Committee
2/10	第7屆財務委員會第4次會議 The 4 th meeting of the 7 th -session Financial Committee
2/10	國外期貨資訊源座談會（國外期貨資訊源業者系統說明會議） Seminar on "International Futures Information Source" -International Futures Information Disruption Events Explanation and Exchange Meeting
2/14	槓桿徵信作業機制小組第3次會議 The 3 rd meeting of Leverage Transaction Committee's "Credit-tracking Mechanism Group"
2/15	國外期貨資訊源座談會－國外期貨資訊斷訊事件說明及交流會議 Seminar on "International Futures Information Source" -International Futures Information Disruption Events Explanation and Exchange Meeting
2/17	第7屆永續發展委員會第4次會議 The 4 th meeting of 7 th -session Sustainable Development Committee
2/17	第7屆理監事第4次聯席會議 The 4 th joint meeting of the 7 th -session executive directors and supervisors
2/24	第7屆財務委員會第5次會議 The 5 th meeting of the 7 th -session Financial Committee
3/1	「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
3/14	「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
3/14	「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
3/14-3/16	參與「第48屆美國期貨業協會（FIA）年會」 Participated in "The 48 th FIA Annual Conference"
3/15	「期貨業未來發展與就業機會」校園巡迴講座－嘉義大學 "Futures Market Outlook and Job Opportunities" campus lecture tour—National Chiayi University

日期 Date	項目 Event
3/15	「期貨業未來發展與就業機會」校園巡迴講座－德霖科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—HungKuo Delin University of Technology
3/16	國外期貨資訊源座談會－國外期貨資訊系統建置說明及交流會議 Seminar on “International Futures Information Source” -International Futures Information System Construction Explanation and Exchange Meeting
3/17-3/18	112年Q1高階經理班 High-ranking Executive Class (Q1, 2023)
3/21	「期貨業未來發展與就業機會」校園巡迴講座－中華大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Chung Hua University
3/21	「期貨業未來發展與就業機會」校園巡迴講座－臺北城市科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—Taipei City University of Science and Technology
3/22	「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
3/27	「證券期貨業永續發展轉型執行策略第27項」三公會第4次交流會議 The 4 th 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
3/28	第7屆紀律委員會第3次會議 The 3 rd meeting of 7 th -session Discipline Committee
3/29	「期貨業未來發展與就業機會」校園巡迴講座－元智大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Yuang Ze University
3/30	「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
3/30	「期貨業未來發展與就業機會」校園巡迴講座－輔仁大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Fu Jen Catholic University
4/7	第7屆採購委員會第4次會議 The 4 th meeting of the 7 th -session Procurement Committee
4/13	第7屆永續發展委員會工作小組第5次會議 The 5 th meeting of 7 th -session Sustainable Development Committee
4/14	「期貨業未來發展與就業機會」校園巡迴講座－宜蘭大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Ilan University
4/18	「期貨業未來發展與就業機會」校園巡迴講座－金門大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Quemoy University
4/18	「期貨業未來發展與就業機會」校園巡迴講座－南台科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—Southern Taiwan University of Science and Technology

日期 Date	項目 Event
4/18	「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
4/18	第7屆經紀業務委員會第6次會議 The 6 th meeting of the 7 th -session Futures Brokerage Committee
4/19	「期貨業未來發展與就業機會」校園巡迴講座－暨南大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—National Chi Nan University
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
4/21	「期貨業未來發展與就業機會」校園巡迴講座－台北商業大學(1) “Futures Market Outlook and Job Opportunities” campus lecture tour-National Taipei University of Business(1)
4/21	期貨商國外期貨複委託業務座談會 Symposium on foreign futures re-entrustment business
4/24	「期貨業未來發展與就業機會」校園巡迴講座－佛光大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Fo Guang University
4/26	「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
4/26	「期貨業未來發展與就業機會」校園巡迴講座－僑光科大 “Futures Market Outlook and Job Opportunities” campus lecture tour—Overseas Chinese University
4/28	第7屆永續發展委員會第5次會議 The 5 th meeting of 7 th -session Sustainable Development Committee
4/28	第7屆理監事第5次聯席會議 The 5 th joint meeting of the 7 th -session executive directors and supervisors
5/4	「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
5/5	期貨商國外期貨複委託業務工作小組第1次會議 The 1 st meeting of Symposium on foreign futures re-entrustment business Working Group
5/6	112年度證券期貨盃高爾夫球錦標賽聯誼活動 Securities & Futures Golf Championship for 2023
5/9	「證券期貨業永續發展轉型執行策略第27項」三公會第3次交流會議 The 3 rd 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
5/10	「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

日期 Date	項目 Event
5/11	校園金融講堂及期貨校園徵才—致理科大 Campus activities of “Financial Podium” & futures talent recruitment—National Taipei University-Chihlee University of Technology
5/12	「期貨業未來發展與就業機會」校園巡迴講座—東海大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Tunghai University
5/18	期貨商國外期貨複委託業務工作小組第2次會議 The 2 nd meeting of Symposium on foreign futures re-entrustment business Working Group
5/19	「期貨業未來發展與就業機會」校園巡迴講座—台北商業大學(2) “Futures Market Outlook and Job Opportunities” campus lecture tour—National Taipei University of Business(2)
5/23	資訊安全意識課程 Information Security Awareness Course
5/23	第7屆採購委員會第5次會議 The 5 th meeting of the 7 th -session Procurement Committee
5/24	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
5/24	第7屆業務電子化委員會第4次會議 The 4 th meeting of the 7 th -session E-Commerce Business Committee
5/25	第7屆常務理事會第1次會議 The 1 st meeting of the 7 th board of executive directors
5/30	「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
5/31	「期貨業未來發展與就業機會」校園巡迴講座—文化大學 “Futures Market Outlook and Job Opportunities” campus lecture tour—Chinese Culture University
5/31	期貨商國外期貨複委託業務工作小組第3次會議 The 3 rd meeting of Symposium on foreign futures re-entrustment business Working Group
6/8	期貨業氣候相關財務揭露與溫室氣體排放範疇三宣導會 Futures Industry Climate-Related Financial Disclosure and Scope Three Greenhouse Gas Emissions Advocacy Seminar
6/8-6/9	112年Q2高階經理班 High-ranking Executive Class (Q2, 2023)
6/9	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
6/9	第7屆理監事第6次聯席會議 The 6 th joint meeting of the 7 th -session executive directors and supervisors
6/13	洗錢防制/打擊資恐法令解析及案例說明會—高雄場 Seminar on “AML/CTF Regulation Analysis and Case Illustration” —Kaohsiung
6/16	第7屆信託業務委員會第2次會議 The 2 nd meeting of the 7 th -session Futures Trust Committee

日期 Date	項目 Event
6/28	第7屆第2次會員大會 The 2 nd General Assembly of the 7 th -session CNFA Members
7/8	2023年金融服務愛心公益嘉年華－高雄場 Financial Service and Charity Carnival 2023 (in Kaohsiung)
7/8-7/9	委員會聯誼活動－第1梯 Friendship activity for committee members-Group 1
7/12	第7屆國際事務委員會第2次會議 The 2 nd meeting of the 7 th International Affairs Committee
7/13	第7屆採購委員會第6次會議 The 6 th meeting of the 7 th -session Procurement Committee
7/22-7/23	委員會聯誼活動－第2梯 Friendship activity for committee members-Group 2
7/28	第7屆經紀業務委員會第7次會議 The 7 th meeting of the 7 th -session Futures Brokerage Committee
8/4	2023 LME實務研討會 LME Practice Seminar 2023
8/10	「期貨業永續發展轉型執行策略」宣導座談會 Promotional seminar on “Sustainable Development and Transformation Strategies for Futures Industries”
8/11	第7屆防制洗錢暨法遵委員會第3次會議 The 3 rd meeting of 7 th -session AML & Law Compliance Committee
8/11	疑似洗錢態樣實務交流與分享會 AML experience-sharing seminar
8/11-8/12	參與「榮耀20 ETF啟動財富博覽會」 Participated in the “ETF International Forum”
8/17	強化資通安全及案例說明會－台北場 Presentation on “information security and case illustrations” —Taipei
8/22	強化資通安全及案例說明會－台中場 Presentation on “information security and case illustrations” —Taichung
8/19	2023年金融服務愛心公益嘉年華－宜蘭場 Financial Service and Charity Carnival 2023 (in Ilan)
8/24	強化資通安全及案例說明會－高雄場 Presentation on “information security and case illustrations” — Kaohsiung
8/25	第7屆理監事第7次聯席會議 The 7 th joint meeting of the 7 th -session executive directors and supervisors
8/29	第7屆採購委員會第7次會議 The 7 th meeting of the 7 th -session Procurement Committee
9/6	112年度受裁罰案例訓練課程 Course of Penalty Case Studies for 2023
9/8-9/17	理監事聯誼參訪活動－第1梯（德瑞） Networking Trips of directors and supervisors-Group 1 (Germany and Switzerland)

日期 Date	項目 Event
9/15-9/16	112年Q3高階經理班 High-ranking Executive Class (Q3, 2023)
9/26	第7屆經紀業務委員會第8次會議 The 8 th meeting of the 7 th -session Futures Brokerage Committee
9/28	第7屆槓桿交易業務委員會第2次會議 The 2 nd meeting of the 7 th -session Leverage Transaction Committee
10/3	第7屆紀律委員會第4次會議 The 4 th meeting of 7 th -session Discipline Committee
10/3	第7屆國際事務委員會第3次會議 The 3 rd meeting of the 7 th International Affairs Committee
10/4-10/15	理監事參訪活動－第2梯（紐西蘭） Networking Trips of directors and supervisors—Group 2 (New Zealand)
10/5-10/14	理監事參訪活動－第3梯（義瑞） Networking Trips of directors and supervisors—Group 3 (Italy and Switzerland)
10/5	「金融消費者保護法令解析與最新趨勢－以公平待客原則為中心」線上課程(1) Semina on “Financial consumer protection regulation explanation and latest development trend- focused on fairdealing policy” —online class (1)
10/12	金融業核心服務與AI應用上雲可行性討論會 Seminar on the Feasibility of Cloud Computing in Financial Industry Core Business and AI Applications
10/18	「金融消費者保護法令解析與最新趨勢－以公平待客原則為中心」線上課程(2) Semina on “Financial consumer protection regulation explanation and latest development trend- focused on fairdealing policy” —online class (2)
10/27	第7屆永續發展委員會第6次會議 The 6 th meeting of 7 th -session Sustainable Development Committee
10/27	第7屆理監事第8次聯席會議 The 8 th joint meeting of the 7 th -session executive directors and supervisors
11/6	第7屆監事會第2次會議 The 2 nd meeting of the 7 th board of supervisors
11/9	第7屆業務電子化委員會第5次會議 The 5 th meeting of the 7 th -session E-Commerce Business Committee
11/14	第7屆教育訓練委員會第5次會議 The 5 th meeting of the 7 th -session Education & Training Committee
11/15	第7屆自營業務委員會第3次會議 The 3 rd meeting of the 7 th -session Proprietary Futures Merchant Committee
11/17	第7屆稽核委員會第2次會議 The 2 nd meeting of the 7 th -session Auditing Committee
11/17-11/18	112年Q4高階經理班 High-ranking Executive Class (Q4, 2023)
11/22	2023台北國際期貨論壇 Taipei International Futures Forum 2023

日期 Date	項目 Event
11/24	第7屆信託業務委員會第3次會議 The 3 rd meeting of the 7 th -session Futures Trust Committee
11/24-11/26	贊助「2023台北國際金融博覽會」 Sponsored "2023 Taipei International Financial Expo"
11/27	第7屆顧問業務委員會第2次會議 The 2 nd meeting of the 7 th -session Futures Advisory 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)
12/1	第7屆防制洗錢暨法遵委員會第4次會議 The 4 th meeting of 7 th -session AML & Law Compliance Committee
12/4	校園金融講堂及期貨校園徵才－世新大學 "Futures Market Outlook and Job Opportunities" campus lecture tour—Shih Hsin University—Shih Hsin University
12/5	第7屆兩岸事務委員會第2次會議 The 2 nd meeting of the 7 th -session Cross-straits Affairs Committee
12/7	第7屆經紀業務委員會第9次會議 The 9 th meeting of the 7 th -session Futures Brokerage Committee
12/8	第7屆經理業務委員會第1次會議 The 1 st meeting of the 5 th Managed Futures Committee
12/12	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)
12/22	第7屆理監事第9次聯席會議 The 9 th joint meeting of the 7 th -session executive directors and supervisors
12/28	第7屆永續發展委員會工作小組第6次會議 The 6 th meeting of the 7 th -session Sustainable Development Committee's working group
12/28	期貨商範疇三投融資碳排放作業座談會 Seminar on Futures Commission Merchants Scope Three Investment and Financing Carbon Emissions Operations
12/31	第7屆採購委員會第8次會議 The 8 th meeting of the 7 th -session Procurement Committee



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會員名錄

Directory of
Members

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台北市敦化南路二段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23269899	02-27332198	https://www.cathayfut.com.tw
F002	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100台北市重慶南路一段2號8樓 8F., 2, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894226	http://www.spf.com.tw
F004	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市重慶南路一段2號6樓 6F., 2, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.KGI.f.com.tw
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	https://www.ibff.com.tw
F008	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號B1 B1., 8, Dong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
F014	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105台北市民生東路四段54號3樓 3F., 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw
F018	元富期貨股份有限公司 MasterLink Futures Corp.	110台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw
F020	群益期貨股份有限公司 Capital Futures Corp.	106台北市敦化南路二段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
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	https://www.yuantafutures.com.tw
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	02-23701110	https://www.fubon.com/futures/home/index.htm
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	http://www.concordfutures.com.tw
F030	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110台北市忠孝東路二段95號2樓 2F., 95, Sec. 2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-23278895	02-23278879	http://www.megafutures.com.tw
F039	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220新北市板橋區東門街30之2號9樓 9F., 30-2, Tung-men St., Panchiao, Taipei 220, Taiwan	02-29601066	02-29657707	http://www.dcnf.com.tw
F040	台新期貨股份有限公司 Taishin Futures Co., Ltd.	104台北市建國北路一段96號2樓之1 2F.-1, No. 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-55708000	02-55708005	http://www.tsfutures.com.tw
R201	美商愛德盟期貨經紀股份有限公司台灣分公司 ADM Investor Services, Inc. Taiwan Branch	105台北市南京東路四段161號3樓 3F., 161, Sec. 4, Nanking E. Rd., Taipei 105, Taiwan	02-27137590	02-27137648	http://www.admis.com
S126	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路四段236號3樓 3F., 236, Sec. 4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw
S144	美林證券股份有限公司 Merrill Lynch Securities (Taiwan) Ltd.	110台北市信義路五段7號48樓 48F., No. 7, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-23763766	02-23763740	http://www.ml.com
S147	台灣摩根士丹利證券股份有限公司 Morgan stanley taiwan limited	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	http://www.morganstanley.com
S152	瑞士商瑞士信貸銀行股份有限公司台北證券分公司 Credit Suisse, Taipei Securities Branch	105台北市民生東路三段109號5樓 5F., 109, Sec. 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27156388	02-27156373	http://www.credit-suisse.com



代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
S159	花旗環球證券股份有限公司 Citigroup Global Markets Taiwan Securities Company Limited	110台北市松智路1號14樓 14F., 1, Songzhi Rd., Taipei 110, Taiwan	02-87269000	02-87254755	http://www.citigroup.com
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	02-77531899	02-77531705	http://www.osc.com.tw
S526	美好證券股份有限公司 Good Finance Securities Co., Ltd.	104台北市民生東路二段176號4樓 4F., 176, Sec. 2, Ming Sheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.tcstock.com.tw
S538	第一金證券股份有限公司 First Securities Inc.	104台北市長安東路一段22號4樓 4F., 22, Sec. 1, Chang'an E. Rd., Taipei 104, Taiwan	02-25636262	02-25635713	https://www.firstsec.com.tw
S616	中國信託綜合證券股份有限公司 CTBC Securities Co., Ltd.	115台北市經貿二路168號3樓 3F., 168, Jingmao 2nd Rd., Taipei 115, Taiwan	02-66392000	02-66392124	http://www.ctbsec.com
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110台北市信義路五段106號3樓 3F., 106, Sec. 5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27252275	http://www.jpmorgan.com
S856	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.	100台北市重慶南路一段66之1號5樓 5F., 66-1, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23118181	02-23714293	http://www.skis.com.tw
S884	玉山綜合證券股份有限公司 E. Sun Securities Co., Ltd.	105台北市民生東路三段156號2樓 2F., 156 Sec. 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27186613	http://www.esunsec.com.tw
B091	群益金鼎證券股份有限公司 Capital Securities Corp.	110台北市民生東路三段156號14樓之3 14F.-3., 156, Sec. 3, Minsheng E. Rd., Taipei 105, Taiwan	02-87898888	02-87892942	http://www.capital.com.tw
B092	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路698號3樓 3F., 698 Mingshui Rd., Taipei 104, Taiwan	02-21818888	02-85011852	https://www.kgi.com.tw/zh-tw
B093	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路四段54號5樓 5F., 54, Sec. 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25459231	http://www.entrust.com.tw
B096	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市仁愛路四段169號3樓 3F., 169, Sec. 4, Ren'ai Rd., Taipei 106, Taiwan	02-87716888	02-87716795	https://www.fubon-ebroker.com/Home/Index
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	http://www.yuanta.com.tw
B09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路一段2號7樓 7F., 2 Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23114345	02-23112220	https://www.sinotrade.com.tw
B102	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市忠孝東路四段285號1樓 1F., 285 Sec. 4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27528000	02-27526060	http://www.tcfhc-sec.com.tw
B103	臺灣土地銀行股份有限公司 Land Bank Co., Ltd.	100台北市延平南路81號 81., Yen Ping S.Rd., Taipei 100, Taiwan	02-23483978	02-23891864	http://www.landbank.com.tw
B104	臺銀綜合證券股份有限公司 BankTaiwan Securities Co., Ltd.	100台北市重慶南路一段58號4樓 4F., 58, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23882188	02-23822045	http://www.twfhcsec.com.tw
B111	台灣中小企業銀行股份有限公司 Taiwan Business Bank Co., Ltd.	103台北市塔城街30號4樓 4F., 30, Tacheng St., Taipei 103, Taiwan	02-25597171	02-25509987	https://www.tbb.com.tw
B123	彰化商業銀行股份有限公司 Chang Hwa Bank Co., Ltd.	100台北市衡陽路68號3樓 3F., No.68, Hengyang Rd., Taipei 100, Taiwan	02-23619654	02-23113726	https://www.bankchb.com/frontend/mashupjsp?funcId=8ab34cd615jsp?funcId=8ab34cd615
B505	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	103台北市承德路一段17號17樓 17F., 17, Sec.1, Cheng Teh Rd., Taipei 103, Taiwan	02-25551234	02-25554200	http://www.tachan.com.tw
B532	高橋證券股份有限公司 Goldengate Securities Co., Ltd.	320桃園市中壢區中和路96號 96, Chung-ho Rd., Chungli, Taoyuan 320, Taiwan	03-4224243	03-4225738	http://www.easytrade.com.tw
B546	寶盛證券股份有限公司 Pao Shin Securities Co., Ltd.	406台中市北屯區北興街43號1樓 1F., 43, Beising St., Taichung 406, Taiwan	04-22309377	04-22371684	https://www.boom.com/zh/why_boom

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B560	永興證券股份有限公司 Yung Shin Securities Co., Ltd.	100台北市中正區南海路20號2樓 2F., 20, Nanhai Rd., Taipei 100, Taiwan	02-23218200	02-23516239	http://www.yss.com.tw
B566	日進證券股份有限公司 Fortune Securities Co., Ltd.	360苗栗市中正路426號4樓 4F., 426, Chung Cheng Rd., Miaoli 360, Taiwan	037-332266	037-335228	http://www.fscl.com.tw
B585	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號1樓 1F., 8, Dong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
B586	盈溢證券股份有限公司 Ying Yi Securities Co., Ltd.	800高雄市七賢二路38號 38, Chihshien 2 Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	https://www.e-order.com.tw
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	02-23255818	http://www.masterlink.com.tw
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	049-2353266	http://www.gmstock.com.tw
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	02-27180101	https://www.estockking.com
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	02-23969955	https://www.tcbs.com.tw
B621	新百王證券股份有限公司 New Hundred King Securities Co., Ltd.	801高雄市中華三路11號B1 B1., 11, 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, Changhwa 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	富邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104台北市忠孝西路一段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台北市新生南路一段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台北市忠孝東路二段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台南市西門路三段10號1樓 1F., 10, Shi-Men Rd., Sec. 3, Tainan 704, Taiwan	06-2219777	06-2286324	http://www.wintan.com.tw
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二段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	02-85021999	02-85026868	https://www.ibfs.com.tw
B816	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	104台北市中山北路二段44號2樓 2F., 44, Sec. 2, Zhongshan N. Rd., Taipei 104, Taiwan	02-21815888	02-25232016	http://www.tssco.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



代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
B849	京城證券股份有限公司 King's Town Securities Co., Ltd.	105台北市南京東路三段289號3樓 3F., No. 289, Sec. 3, Nanjing E. Rd., Taipei 105, Taiwan	02-25631168	02-27126677	https://www.ktds.com.tw/
B852	中農證券股份有限公司 Chung Nour Securities Co., Ltd.	435台中市梧棲區四維中路157巷1號2樓 2F., 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435, Taiwan	04-26572801	04-26564499	https://sptrade.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台北市南京東路二段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台北市重慶南路一段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台北市忠孝東路二段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 Yuantafutures 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
P006	群益期貨股份有限公司 Capital Futures Corp.	106台北市敦化南路二段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888 02-27551532	02-27551532 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
P015	元富期貨股份有限公司 MasterLink Futures Corp.	110台北市信義路五段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw
P020	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路700號9樓 9F., 700, Mingshui Rd., Taipei 104, Taiwan	02-21818888	02-85011852	https://www.kgi.com.tw/zh-tw
P022	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市仁愛路四段169號3樓 3F., 169, Sec. 4, Ren'ai Rd., Taipei 106, Taiwan	02-87716888 02-87716795	02-87716795 02-87716795	https://www.fubon-ebroker.com/Home/Index
P024	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號2樓 2F., 8 Dong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
P026	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路四段54號5樓 5F., 54, Sec. 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25454122	https://www.entrust.com.tw
P028	元大證券股份有限公司 Yuantafutures 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	http://www.yuanta.com.tw
P032	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市重慶南路一段2號6樓 6F., 2, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.KGI.f.com.tw
P033	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市敦化南路二段335號6樓 6F., 335, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23269888	02-23778908	http://www.cathaysec.com.tw
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	02-77531899 02-77531705	02-77531899 02-77531705	http://www.osc.com.tw
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	https://optiver.com
P039	第一金證券股份有限公司 First Securities Inc.	104台北市長安東路一段22號4樓 4F., 22, Sec. 1, Chang-an E. Rd., Taipei 104, Taiwan	02-25636262	02-25635713	https://www.firstsec.com.tw
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	02-85021999	02-85026868	https://www.ibfs.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)
P046	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路四段236號3樓 3F., 236, Sec. 4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw
P047	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105台北市南京東路五段188號15樓之1 15F-1., 188, Sec. 5, Nanjing E. Rd., Taipei 105, Taiwan	02-27683998	02-27287576	https://www.ibff.com.tw
P050	康和期貨股份有限公司 Concord Futures Corp.	105台北市復興北路143號6樓 6F., 143, Fusing N.Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
P052	中國信託綜合證券股份有限公司 CTBC Securities Co., Ltd.	115台北市經貿二路188號14樓 14F., 188, Jingmao 2nd Rd., Taipei 115, Taiwan	02-66392000	02-66392500	http://www.ctbcsec.com
P053	玉山綜合證券股份有限公司 E.SUN Securities Co., Ltd.	105台北市民生東路三段158號6樓 6F., 158, Sec. 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27188913	http://www.esunsec.com.tw
P054	法銀巴黎證券股份有限公司 BNP PARIBAS INVESTMENT PARTNERS	110台北市信義路五段7號72樓 72F., 7, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-87297000	02-81012168	https://www.bnpparibas.com.tw/zh/?contact=bnpparibas-securities-taiwan-co-ltd
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	https://www.cathayfut.com.tw
P056	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23701110	https://www.fubon.com/futures/home/index.htm
P057	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市忠孝東路四段285號1樓 1F., 285 Sec. 4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27528000	02-27526060	http://www.tcfhc-sec.com.tw
P09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路一段2號7樓 7F., 2 Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23114345	02-23112220	https://www.sinotrade.com.tw
A001	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100台北市重慶南路一段2號8樓 8F., 2, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894226	http://www.spf.com.tw
A002	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號B1 B1., 8, Dong sing Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
A003	元大期貨股份有限公司 Yuantan 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
A005	群益期貨股份有限公司 Capital Futures Corp.	106台北市敦化南路二段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
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	https://www.cathayfut.com.tw
A008	康和期貨股份有限公司 Concord Futures Corp.	105台北市復興北路143號6樓 6F., 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
A009	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23701110	https://www.fubon.com/futures/home/index.htm
A011	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105台北市民生東路四段54號3樓 3F., 54, Sec. 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw
A013	元富期貨股份有限公司 MasterLink Futures Corp.	110台北市信義路五段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw
A019	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105台北市南京東路五段188號15樓之1 15F-1., 188, Sec. 5, Nanjing E. Rd., Taipei 105, Taiwan	02-27683998	02-25287576	https://www.ibff.com.tw
A020	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110台北市忠孝東路二段95號2樓 2F., 95, Sec. 2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-23278895	02-23278879	http://www.megafutures.com.tw
A021	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市重慶南路一段2號6樓 6F., 2, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.KGIf.com.tw
A025	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路一段2號7樓 7F., 2 Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23114345	02-23112200	https://www.sinotrade.com.tw



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A026	運達證券投資顧問股份有限公司 Yun Ta Investment Consulting Co., Ltd.	104台北市八德路二段260號10樓 10F., 260, Sec. 2, Bade Rd., Taipei 104, Taiwan	02-27810909	02-27312166	http://win-dollar.com
A027	萬寶證券投資顧問股份有限公司 Marbo Securities Consultant Co., Ltd.	104台北市松江路87號4樓 4F., 87, Songjiang Rd., Taipei 104, Taiwan	02-66083998	02-66088833	http://www.marbo.com.tw
A028	啟發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant Co., Ltd.	100台北市忠孝西路一段100號9樓 9F., 100, Sec. 1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23820566	02-23313628	http://www.chifar.com.tw
A029	大華國際證券投資顧問股份有限公司 Da Hwa International Securities Investment Consulting Co., Ltd.	100台北市羅斯福路二段102號23樓 23F., 102, Sec. 2, Roosevelt Rd., Taipei 100, Taiwan	02-83695566	02-77258855	http://da-hwa-international.com.tw
A032	顧德證券投資顧問股份有限公司 Good Securities Investment Consultant Co., Ltd.	105台北市南京東路四段126號14樓 14F., 126, Sec. 4, Nanjing E. Rd., Taipei 105, Taiwan	02-25783000	02-25793500	http://www.good-group.com.tw
A033	華信證券投資顧問股份有限公司 Hwashin Investment Consulting Co., Ltd.	100台北市青島東路7號5樓之4 5F-4., 7, Cingdao E. Rd., Taipei 100, Taiwan	02-23923988	02-77253896	http://www.hwashin.com.tw
A034	承通證券投資顧問股份有限公司 Cheng-Tung Securities Investment Consulting Co., Ltd.	104台北市八德路二段260號6樓 6F., 260, Sec. 2, Bade Rd., Taipei 104, Taiwan	02-27813900	02-27722813	http://27813900.com
A036	永誠國際證券投資顧問股份有限公司 Yong Cheng Securities Investment Consultant Co., Ltd.	104台北市中山北路一段145號6樓 6F., 145, Sec. 1, Jhongshan N. Rd., Taipei 104, Taiwan	02-25428999	02-25428113	https://88598.com.tw
A042	玉山證券投資顧問股份有限公司 E.SUN Investment Consulting, Co., Ltd.	105台北市民生東路三段156號2樓之2 2F-2., 156, Sec. 3, Minsheng E. Rd., Taipei 105, Taiwan	02-55569913	02-25453313	http://www.esunconsulting.com.tw
A043	亞洲證券投資顧問股份有限公司 Asia securities investment Consultant Co., Ltd.	105台北市區南京東路四段126號11樓A2 Rm. A2, 11F., 126, Sec. 4, Nanjing E. Rd., Taipei 105, Taiwan	02-25783777	02-25705916	http://www.asia-rich.com.tw
A044	倫元證券投資顧問股份有限公司 E-invest Security Investment Consultant Co., Ltd.	100台北市青島東路7號6樓 6F., 7, Qingdao E. Rd., Taipei 100, Taiwan	02-77251273	02-23927062	https://www.e-invest.com.tw
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	http://www.dcnf.com.tw
A047	第一金證券股份有限公司 First Securities Inc.	104台北市長安東路一段22號4樓 4F., 22, Sec. 1, Chang'an E. Rd., Taipei 104, Taiwan	02-25636262	02-25635713	https://www.firstsec.com.tw
A049	高欣證券投資顧問股份有限公司 Harvest Securities Investment 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	https://www.stock881688.com.tw/
A050	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路四段236號3樓 3F, 236, Sec. 4, Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw
A051	君安證券投資顧問股份有限公司 Richers Securities Investment Consulting Co., Ltd.	104台北市松江路318號8樓 8F., 318, Songjiang Rd., Taipei 104, Taiwan	02-77018898	02-77020599	http://www.richers.com.tw
A052	大拇指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	https://www.taroadvisors.com
A053	摩爾證券投資顧問股份有限公司 Moore Securities Investment Consulting Co., Ltd.	100台北市新生南路一段50號12樓 12F., 50, Sec. 1, Xincheng S. Rd., Taipei 100, Taiwan	02-23510873	02-23510752	https://www.morerich.com.tw
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	https://www.hwa-guan.com.tw/Wealth
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	https://www.yuanta-futures.com.tw

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L002	群益期貨股份有限公司 Capital Futures Corp.	106 台北市敦化南路二段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
L003	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路一段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Taipei 100, Taiwan	02-23619889	02-23612867	http://www.KGIf.com.tw
L004	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	https://www.cathayfut.com.tw
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	https://www.fubon.com/futures/home/index.htm
M018	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路一段2號6樓 6F., 2, Sec. 1, Chongqing S. Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.KGIf.com.tw
M020	永豐期貨股份有限公司 SinoPac Futures Co., Ltd.	100 台北市重慶南路一段2號8樓 8F., 2, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894226	http://www.spf.com.tw
M022	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23701110	https://www.fubon.com/futures/home/index.htm
M025	群益期貨股份有限公司 Capital Futures Corp.	106 台北市敦化南路二段97號地下1樓 B1., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888 02-27551532	02-27551532 02-27551532	http://www.capitalfutures.com.tw
M028	元富期貨股份有限公司 MasterLink Futures Corp.	110 台北市信義路五段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw
T002	復華證券投資信託股份有限公司 Fuh Hwa Securities Investment Trust Co., Ltd.	104 台北市八德路二段308號8樓 8F., 308, Sec. 2, Bade Rd., Taipei 104, Taiwan	02-81616800	02-87728000	www.fhtrust.com.tw
T003	國泰證券投資信託股份有限公司 Cathay Securities Investment Trust Co., Ltd.	106 台北市敦化南路二段39號6樓 6F., 39, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27008399	02-23269633	http://www.cathaysite.com.tw
T004	元大證券投資信託股份有限公司 Yuanta Securities Investment Trust Co., Ltd.	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	http://www.yuantafunds.com
T008	新光證券投資信託股份有限公司 Shin Kong Investment Trust Co., Ltd.	104 台北市南京東路二段167號11樓 11F., 167, Sec. 2, Nanjing E. Rd., Taipei 104, Taiwan	02-25071123	02-25077600	https://www.skit.com.tw
T010	統一證券投資信託股份有限公司 Uni-President Assets Management Corp.	105 台北市東興路8號8樓 8F., 8 Dongsing Rd., Taipei 105, Taiwan	02-27478388	02-27478129	http://www.ezmoney.com.tw
T011	永豐證券投資信託股份有限公司 Copyright by SinoPac Securities Investment Trust Co., Ltd.	100 台北市博愛路17號13樓 13F., 17, Bo'ai Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23618110	02-23126199	https://sitc.sinopac.com/newweb/index.html
T015	富邦證券投資信託股份有限公司 Fubon Asset Management Co., Ltd.	105 台北市敦化南路一段108號8樓 8F., 108, Sec. 1, Dunhua S. Rd., Songshan Dist., Taipei 105, Taiwan	02-87716688	02-87716788	https://www.fubon.com/asset-management
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	http://www.jkoam.com

註：以上資料截止日為112.12.31

Note: the list until the end of 2023.



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
電子信箱 / 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



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