



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

Systemx 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）」

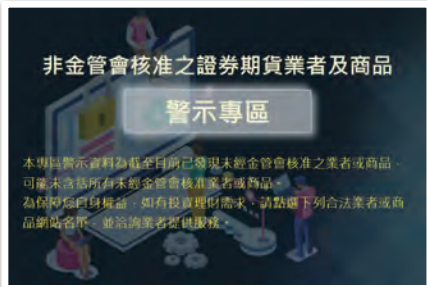
為達成碳排淨零目標，並使證券期貨投信各業所揭露之資訊具有一致性，依據主管機關112年11月23日召開研商「證券期貨業範疇三投融资碳排放相關疑義」會議指示之相關議題進行討論，以取得期貨商之共識。

### 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」



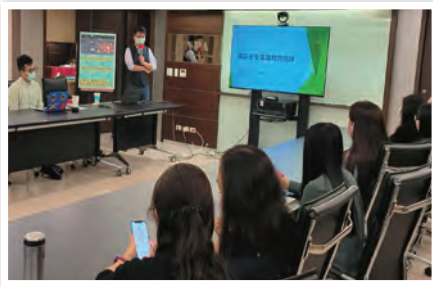
本公會、證券商公會和投信投顧公會共同建置「非金管會核准之證券期貨業者及商品警示專區」，公告包括金管會核准之證券、期貨及投信投顧業者名單與公司網址、經金管會核准之金融商品，以維護證券期貨市場秩序，並藉以提醒投資人與交易人應透過合法業者申購或交易相關金融商品，維護自身權益。

#### 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.

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### 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.

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

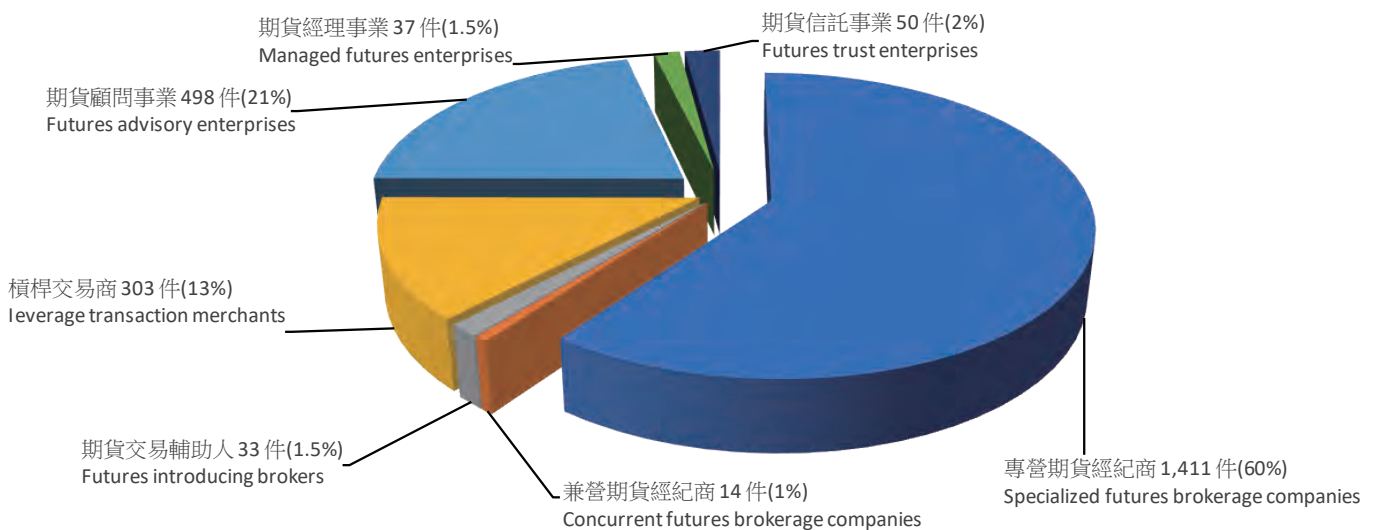
#### D Inspection of advertisement and promotional materials of member companies

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

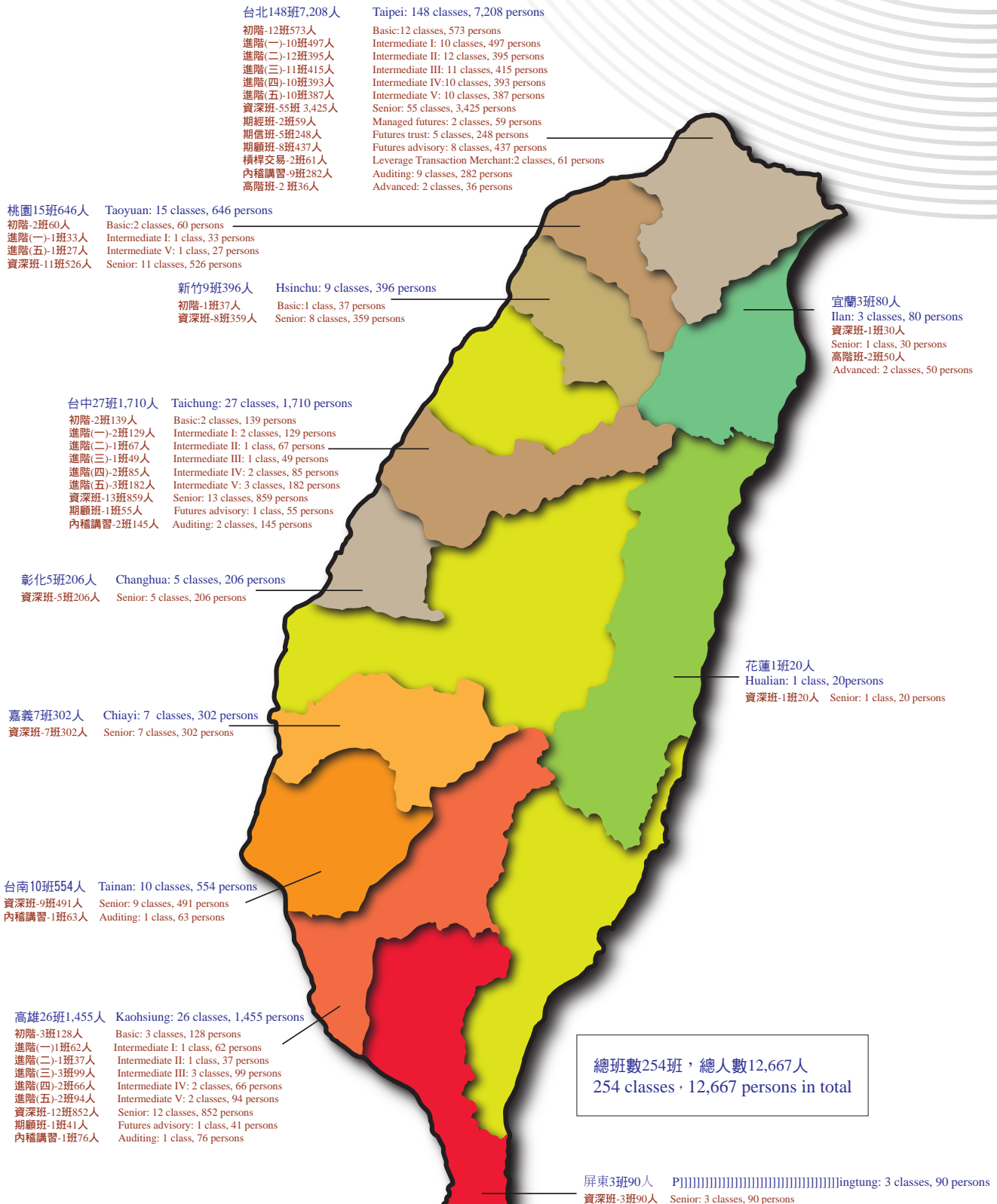
#### Advertisement and Business Promotion Projects of CNFA Members in 2023



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

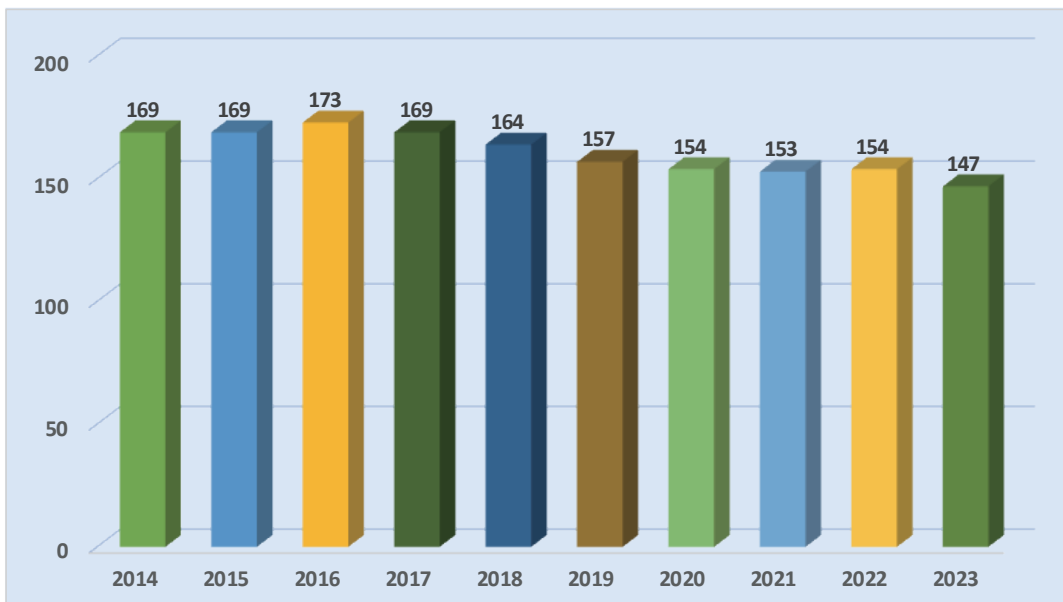
#### 1. 會員及業務員基本資料之建立及登記事項

##### 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.

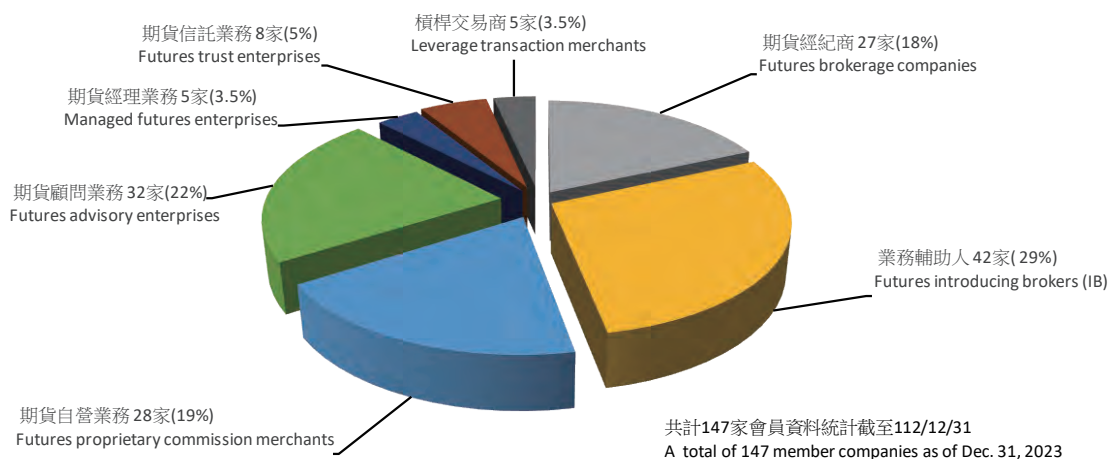
#### 近10年會員家數統計圖

##### Statistics of CNFA Member Companies over Past 10 Years



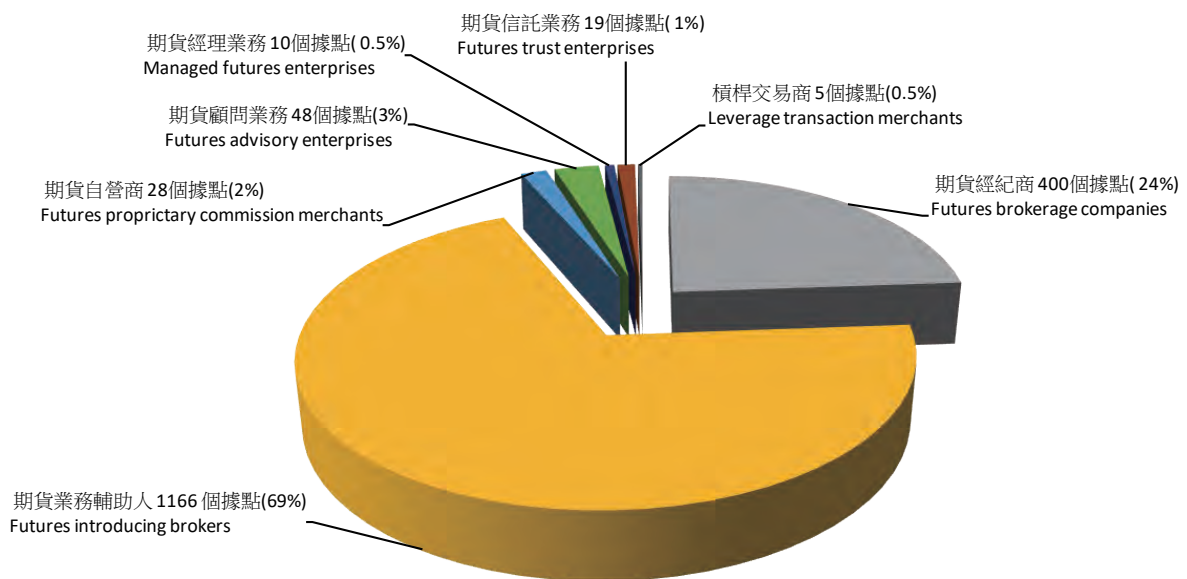
#### 112年度會員類別統計圖

##### 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



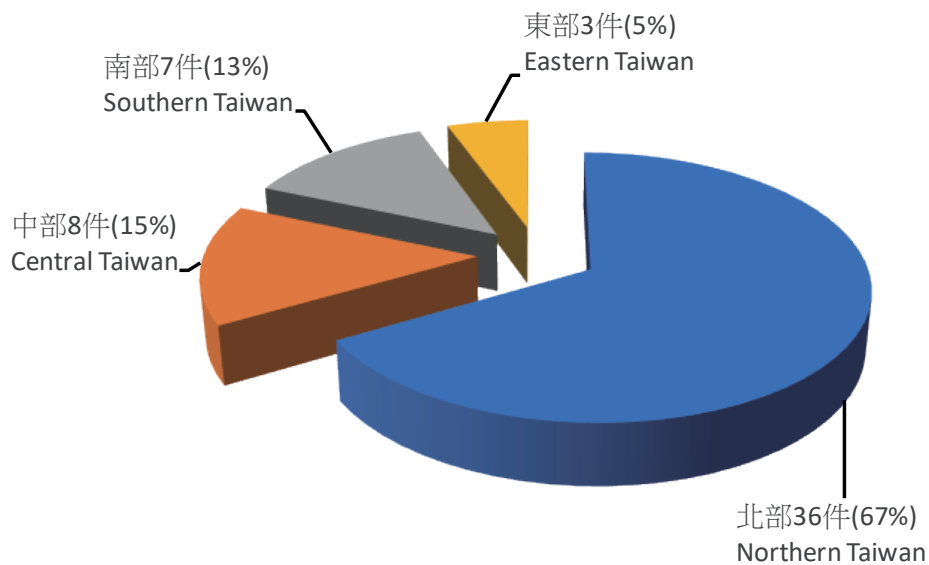
- 會員場地勘察 Business site inspection

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.

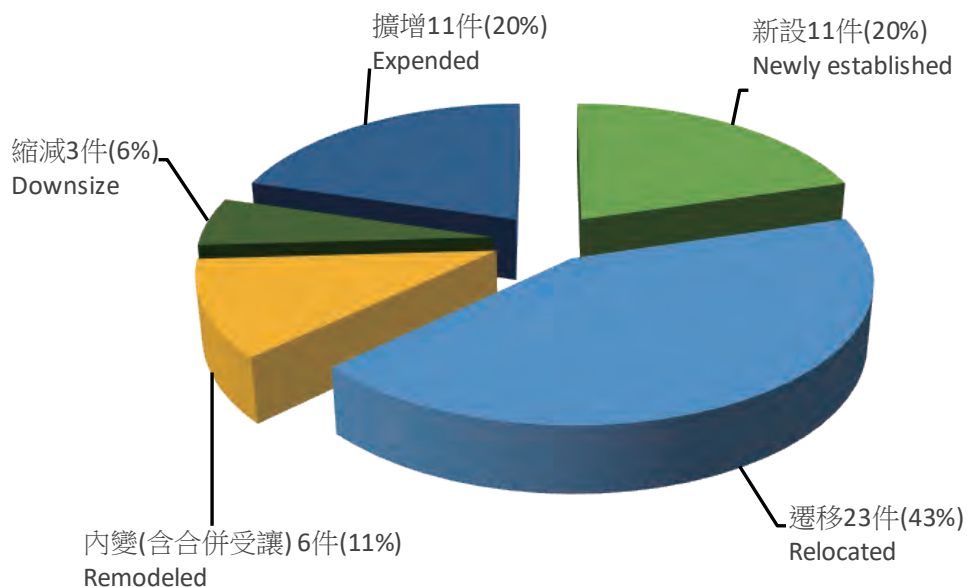
### 112年度場地勘察區域分布統計圖

#### Geographical Areas of Inspected Business Sites in 2023



### 112年度場地勘察類別統計圖

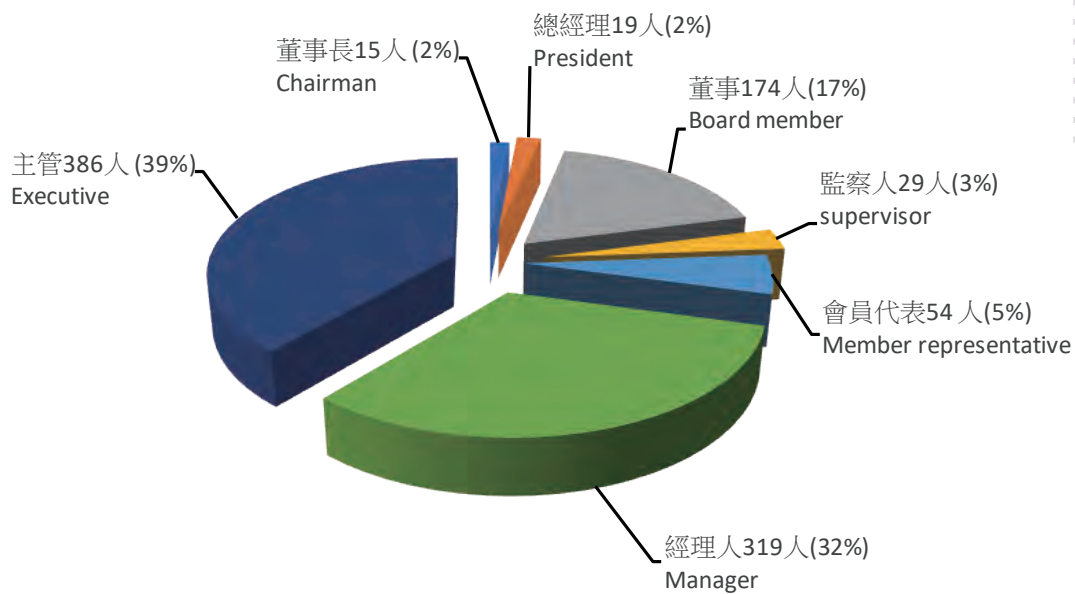
#### Statistics of Business Site Inspection Projects in 2023



## 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

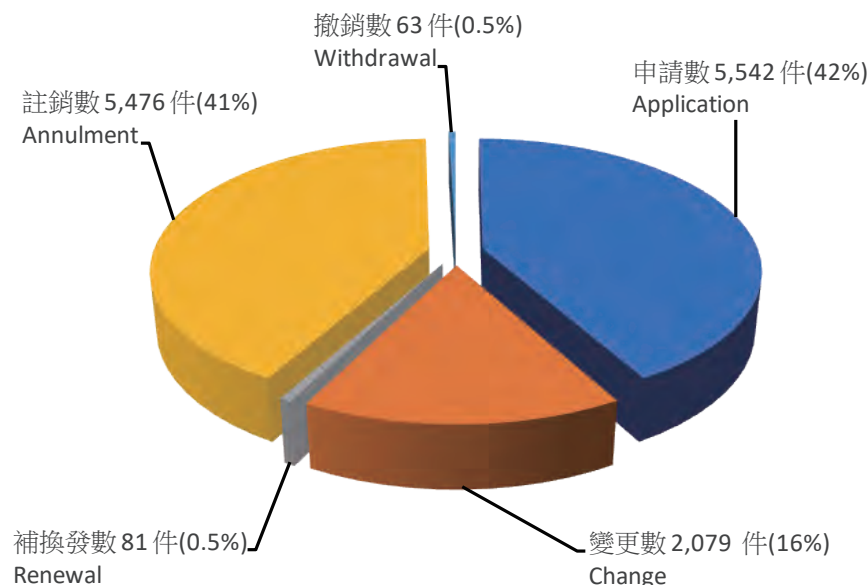
- 會員代表、會員負責人112年度於本公會異動登錄共計996人次，細分如下：
- In 2023, the Association handled a total of 996 certificate renewal and change cases for highranking executives, board members, and supervisors of member companies.

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



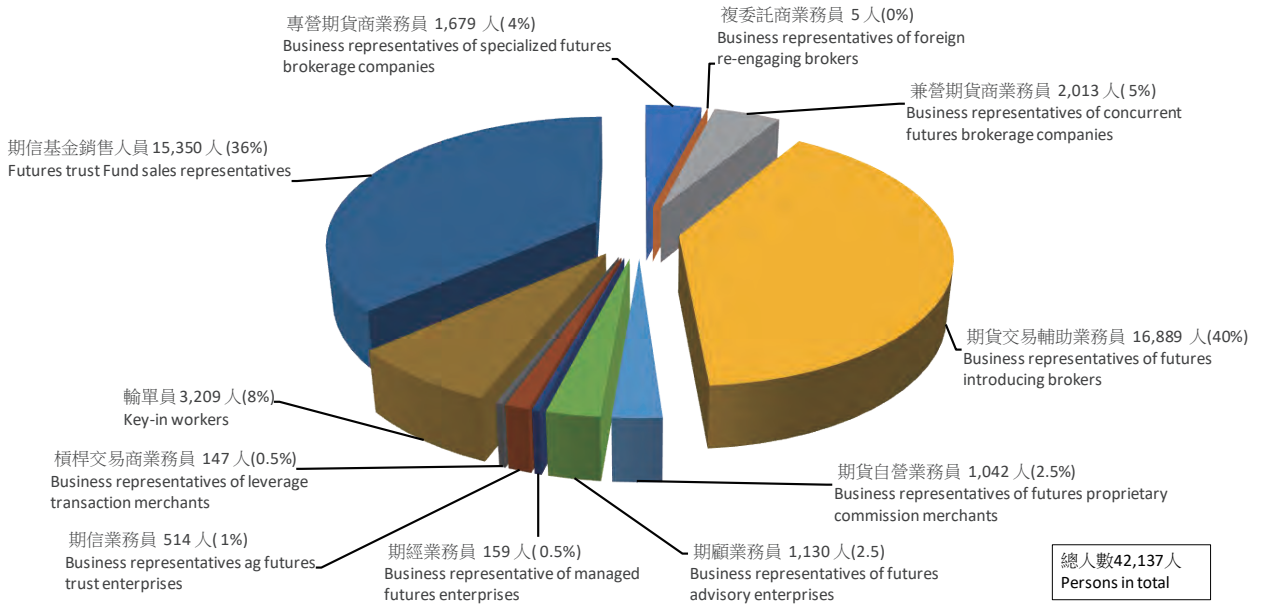
- 業務員、輸單員、銷售人員112年度於本公會異動登錄共計13,241件，每月平均1,103件
- In 2023, the Association handled a total of 13,241 business representative, key-in worker, and salesperson enrollment cases, with an average of 1,103 cases per month.

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

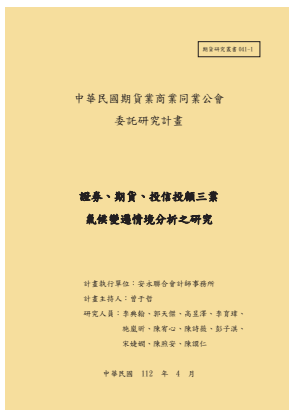
#### 1. 會訊 Newsletter

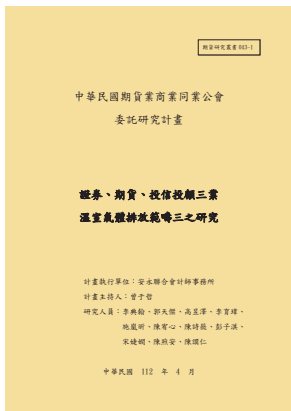


#### 2. 期貨人季刊 Futures Journal



#### 3. 研究叢書 Research Books





4. 政令宣導 Policy Advocacy

