



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 參考主管機關公告「金融業運用人工智慧 (AI) 指引」、銀行公會「金融機構運用人工智慧技術作業規範」，訂定本公會「期貨業運用人工智慧技術自律規範」。

A “Self-Regulatory Guideline for Application of Artificial Intelligence Technology in the Futures Industry” was formulated with reference to the FSC’s “Guidelines for the Application of AI in the Financial Industry” and the Bankers Association’s “Operational Standards for Financial Institutions Using AI Technology.”

- 2 因應櫃買中心「證券暨期貨市場各服務事業資通系統安全防护基準參考指引」修正帳戶鎖定防護原則，本公會修正「資通系統安全防护基準自律規範」，將「帳號登入進行身分驗證失敗達三次後」修改為「帳號登入進行身分驗證失敗達五次後」。

In response to the Taipei Exchange’s revision of the “Reference Guidelines for Information Security Protection Standards for Various Securities and Futures Service Providers”, which updates the account lockout protection policy, the association has amended the “Self-Regulatory Guidelines for Information Security Protection Standards”, changing the rule from “account login identity verification failure after three attempts” to “account login identity verification failure after five attempts.”

- 3 依主管機關指示，修正本公會金融友善服務準則，增訂「本公會會員之董事、負責人及高階管理人員每年應接受一定時數之會員自行舉辦或外部之金融友善、身心障礙者權利公約 (CRPD) 等教育訓練。」之規定。

Following regulatory instructions, the association has revised its “Financial Inclusion Service Guidelines”, adding a new provision requiring that board members, responsible persons, and senior executives of member firms receive a certain number of hours of training annually on financial inclusion and the United Nations Convention on the Rights of Persons with Disabilities (CRPD), either through internal training or external programs .

- 4 參考集保公司「證券暨期貨市場各服務事業資通系統與服務供應鏈風險管理參考指引」，修正本公會「期貨業資通系統與服務供應鏈風險管理自律規範」。

With reference to the “Reference Guidelines for Risk Management of Information Systems and Service Supply Chains in the Securities and Futures Market” issued by the Taiwan Depository & Clearing Corporation, the association has amended the “Self-Regulatory Guidelines for Risk Management of Information Systems and Service Supply Chains in the Futures Industry.”

- 5 因應臺灣期貨交易所修正「建定期貨商資通安全檢查機制」及「證券暨期貨市場各服務事業網路安全防护參考指引」，修正本公會「網路安全防护自律規範」。

In response to the Taiwan Futures Exchange’s revisions to the “Futures Commission Merchant Cybersecurity Inspection Mechanism” and the “Reference Guidelines for Cybersecurity Protection in the Securities and Futures Market,” the association has amended its “Self-Regulatory Guidelines for Cybersecurity Protection.”

- 6 因應金管會發布「期貨商作業委託他人處理應注意事項」，本公會與證券商公會共同委託勤業眾信聯合會計師事務所研擬「委外內部作業參考規範」、「風險基礎方法之委外管理架構」、「委外契約範本」、「必要性及適法性分析書件範本」、「作業委外計畫書範本」及「雲端政策範本」等範本，供業者參考。

Following the Financial Supervisory Commission's (FSC) issuance of the "Directions for Operations Outsourcing by Futures Commission Merchants," the association, in collaboration with the Securities Association, engaged Deloitte Taiwan to develop six reference documents, including the "Outsourcing Internal Operations Guidelines," "Risk-Based Outsourcing Management Framework," "Standard Outsourcing Agreement," and "Cloud Policy Framework."

- 7 因應行政院公告新版電子簽章法，本公會與證券商公會共同委託臺灣網路認證公司研擬「證券暨期貨業者線上服務身分驗證實務作業參考委託專案報告」，供主管機關及周邊業者參考。

To align with the newly revised Electronic Signature Act announced by the Executive Yuan, the association and the Securities Association jointly commissioned Taiwan Certification Authority to draft a "Practical Operational Reference Report on Online Identity Verification Services for Securities and Futures Firms" for regulatory and industry reference.

- 8 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，修正「槓桿交易商自律規則」，增訂資力證明評估與交易額度控管規定。

To strengthen the due diligence process for leveraged trading merchants providing leveraged margin contract trading services to retail customers, the association has amended the "Self-Regulatory Rules for Leveraged Trading Merchants", adding provisions for financial capacity verification and transaction limit control.

- 9 考量期貨商對於交易人從事期貨交易，應不分年齡依公司之風險管理原則透過 KYC 評估結果，給予適當的控管，修正本公會「期貨商開戶徵信作業管理及提供高齡客戶金融服務自律規則」刪除 70 歲以上交易人開戶條件及交易限制，並增訂應對於最近一年交易損失達一定金額者增加徵信資料更新頻率，損失金額及更新頻率由期貨商自行訂定之規定。

Considering that futures commission merchants (FCMs) should apply appropriate risk management controls to all traders regardless of age, based on KYC (Know Your Customer) evaluation results, the association has revised the "Self-Regulatory Rules for FCM Account Opening Due Diligence and Financial Services for Senior Customers." The revisions remove account opening requirements and trading restrictions for customers aged 70 and above and introduce a new provision requiring that FCMs increase the frequency of due diligence updates for traders who have incurred significant losses over the past year. The threshold for losses and the update frequency will be determined by each FCM.

- 10 為促進產業創新，改善產業環境，提升產業競爭力，並提供大學或職業學校相關科系作為開辦課程參考，藉以提升社會新鮮人自身之職場競爭力，提高職場就業之機率，研訂期貨服務（顧問、經理及信託）事業及槓桿交易商之「研究分析人員職能基準」。

To promote industry innovation, improve the business environment, and enhance industry competitiveness, as well as provide a reference for universities and vocational schools in designing relevant curricula, the association has formulated the "Competency Standards for Research Analysts" for futures services (consulting, management, and trust businesses) and leveraged trading merchants. This initiative aims to enhance the career readiness of new graduates and improve employment opportunities in the sector.

研議、建議事項

Proposals

- 1 倘國外複委託業務僅涉及延遲資安通報，此種缺失案於本公會知悉後，逕由本公會依程序自律處分，建請主管機關不另行處置。

If delays in cybersecurity incident reporting related to foreign sub-brokerage services are the only issue in a specific case, and the association has already handled the matter through its self-regulatory processes, it recommends that the regulatory authority refrain from taking further action.

- 2 為使證券、期貨監理一致，建請主管機關比照證券商模式研議開放資訊公司（桌機版或手機版 APP）提供交易人於期貨商開戶及下單之異業合作，俾利期貨業務推展。

To ensure regulatory consistency between securities and futures oversight, it is recommended that the regulatory authority consider adopting a model similar to that used for securities firms by allowing third-party information providers (desktop or mobile app versions) to facilitate account opening and trade execution with futures commission merchants (FCMs). This would help expand futures business opportunities.

- 3 建議櫃買中心修正「槓桿交易商經營槓桿保證金契約交易業務規則」有關槓桿交易商 ANC 比率管理機制。

It is suggested that the Taipei Exchange (TPEX) amend the “Regulations Governing Leveraged Trading Merchants Operating Leveraged Margin Contract Trading” concerning the adjusted net capital (ANC) ratio management mechanism for leveraged trading merchants.

- 4 為輔導槓桿交易商控管「槓桿交易商自律規則」新制之作業調整時間，研議規劃實施時程。

To assist leveraged trading merchants in implementing the new provisions of the “Self-Regulatory Rules for Leveraged Trading Merchants,” the feasibility of a phased implementation timeline is being studied.

- 5 建請主管機關將期貨商納入「銀行、證券商及保險公司等機構合作推廣他業商品或提供相關服務規範」案，同時爭取服務項目參考共同行銷的部分範圍，讓期貨商能在公平的競爭環境中健全發展。

The regulatory authority is urged to include futures commission merchants (FCMs) under the framework for “financial institutions such as banks, securities firms, and insurance companies cooperating to promote third-party products or services.” Additionally, efforts should be made to expand the scope of permissible services under joint marketing regulations to ensure that FCMs can develop in a fair and competitive environment.

- 6 建請將「公務人員退休撫卹基金」、「勞工保險基金」、「勞工退休基金」（新、舊制）及「國民年金保險基金」等相關政府基金於國內投資委託投資契約列入臺灣期貨交易所之「股票期貨及股票選擇權」，以利受託機構有效避險及增加投資效益。

It is proposed that government funds, including the Public Service Pension Fund, Labor Insurance Fund, Labor Pension Fund (both new and old systems), and National Pension Insurance Fund, incorporate Taiwan Futures Exchange (TAIFEX) stock futures and stock options into their domestic investment mandates. This would enable entrusted institutions to hedge risk more effectively and enhance investment returns.

- 7 因應線上開戶及交易之需求與日俱增，提升交易人使用金融服務之便利性，建議期貨商受理期貨交易人辦理約定出、入金帳戶時，倘客戶使用銀行帳戶經第三方線上驗證方式，可免提供存摺影本。

In response to the growing demand for online account opening and trading, and to enhance the convenience of financial services for traders, it is recommended that futures commission merchants (FCMs) allow futures traders to set up designated deposit and withdrawal accounts without requiring a passbook copy, provided that the bank account has been verified through a third-party online authentication method.

- 8 為避免期貨商因不可抗力無法依規定於次月五日前填製並發送對帳單給交易人，參考證券市場規定，建議放寬期貨商得於次月五日前完成填製對帳單，於次月十日前送交客戶查對。

To prevent FCMs from being unable to issue and deliver account statements to traders by the fifth day of the following month due to force majeure circumstances, it is recommended—based on securities market regulations—that FCMs be granted an extension, allowing them to prepare the statements by the fifth day of the following month and submit them to customers by the tenth day.

- 9 建議放寬期貨商受理客戶以非當面方式變更戶籍地址者，參考證交所規定，可檢附身分證影本辦理，免附戶口名簿影本或其他的證明文件，方得辦理變更。

It is suggested that FCMs be permitted to process customers' residential address changes without requiring in-person verification. Referring to Taiwan Stock Exchange (TWSE) regulations, a copy of the national ID should suffice, eliminating the need for a household registration transcript or other supporting documents.

- 10 建議同意同一身分編號之交易人，在同一期貨商國外期貨交易帳戶間賸餘現金保證金、權利金之撥轉，得依交易人指示撥至其所指定約定期貨交易帳戶，無需先出金至交易人約定銀行帳戶後再由交易人自行轉入其他交易帳號，以提升交易人從事國外期貨交易之資金使用效率。

It is recommended that traders using the same identification number be allowed to transfer surplus cash margins and option premiums between their foreign futures trading accounts within the same FCM, according to their instructions. This would eliminate the requirement to first withdraw funds to a designated bank account before manually transferring them to another trading account, thereby improving capital efficiency in foreign futures trading.

- 11 建請主管機關在接獲交易人申訴案件時，通知期貨商先行與交易人進行溝通協商，倘交易人與期貨商雙方針對申訴案件無法達成共識時，再啟動相關查核作業程序，並建請主管機關函復交易人申訴案時，可否僅就交易人主訴糾紛事件範圍回應，以降低主管機關之監理成本，並提升糾紛處理效率。

It is recommended that when the regulatory authority receives a trader's complaint, the futures commission merchant (FCM) should first be notified to engage in direct communication and negotiation with the trader. If the FCM and the trader are unable to reach a consensus on the complaint, then the relevant investigation procedures should be initiated. Additionally, it is suggested that when the regulatory authority responds to the trader's complaint, the reply should be limited to the specific dispute raised by the trader, thereby reducing supervisory costs and improving dispute resolution efficiency.

- 12 為增加期貨自營商資金運用彈性，有關建議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 enhance the flexibility of proprietary trading firms (proprietary FCMs) in capital utilization, it is recommended that they be allowed to engage in domestic and international derivatives trading in over-the-counter (OTC) markets, with further explanations and clarifications provided regarding this proposal.

- 13 考量期貨自營商借（融）券業務所繳交之保證金金額及應收賣券價款均屬期貨自營商所有，依現行規定，期貨自營商仍須將借（融）券了結之後才能運用該保證金及應收賣券價款，因此了結部位時的交易風險，應適當的給予覆蓋，建議參考證券商自有資本適足比率（BIS）針對類似交易的風險計提概念，在計算調整後淨資本時將借（融）券業務所產生之保證金及賣券收取之款項不分交易型態均以 100% 計入 ANC。

Considering that the margin deposits and receivable proceeds from securities borrowing and lending (SBL) transactions fully belong to proprietary FCMs, under the current regulations, proprietary FCMs must wait until the SBL position is closed before they can utilize the margin and receivable proceeds. Given the associated trading risks when closing such positions, it is suggested that the risk assessment framework for proprietary FCMs refer to the BIS capital adequacy ratio model used by securities firms. When calculating adjusted net capital (ANC), the margin and proceeds generated from SBL transactions—regardless of transaction type—should be fully included at 100%.

- 14 現行計算期貨商自有資金投資標的折算時，對於仍屬期貨商自有資金權益之使用保證金金額僅承認 50%，似有過度承擔部位風險的現象，建議在計算調整後淨資本時，參照經紀業務保證金風險管理精神，將所需保證金折扣率由 50% 調整為 75%。

Under the current calculation method for FCMs in converting proprietary capital investment targets, only 50% of the margin used from proprietary capital is recognized. This may result in an excessive assumption of position risk. It is recommended that when calculating adjusted net capital (ANC), the required margin discount rate be increased from 50% to 75%, in line with the risk management principles for brokerage margin requirements.

- 15 建請主管機關修正期貨信託事業運用期貨信託基金從事「期貨信託基金管理辦法」第 38 條第 1 項第 1 款至第 2 款之交易，所收取與支付之保證金及權利金合計佔該期貨信託基金淨資產價值之比率計算標準，案經金管會「金融行動創新法規調適平台」第 3 次會議通過，主管機關並以金管證期字第 1140330019 號令發布修正期貨信託基金管理辦法第 49 條第 1 項第 2 款之規定。

It is proposed that the regulatory authority amend the Futures Trust Fund Management Regulations, specifically regarding transactions under Article 38, Paragraph 1, Subparagraphs 1 and 2, to adjust the calculation standard for the ratio of total margin and option premiums received and paid relative to the net asset value of the futures trust fund. This proposal was approved during the third meeting of the Financial Innovation Regulatory Adjustment Platform held by the Financial Supervisory Commission (FSC), which subsequently issued Directive No. 1140330019 to amend Article 49, Paragraph 1, Subparagraph 2 of the Futures Trust Fund Management Regulations.

- 16 建請主管機關開放期貨信託事業得發行多元化期貨 ETF，案經金管會「金融行動創新法規調適平台」第 3 次會議通過，惟發行新商品前主管機關、公會、業者間需充分溝通，且業者需注意 KYC 及宣導等配套。

It is further recommended that the regulatory authority allow futures trust enterprises to issue diversified futures exchange-traded funds (ETFs). This proposal was approved during the third meeting of the Financial Innovation Regulatory Adjustment Platform, but prior to the launch of new products, full communication between regulatory authorities, industry associations, and market participants is necessary, with attention to Know Your Customer (KYC) compliance and investor education measures.

- 17 建請主管機關「期貨業職前訓練比照證券商職前訓練之規定」應於到職後半年內參加職前訓練。因考量業者人力需求，執行業務前半年完成職前訓練，人力調度較為吃緊，且若無完成職前訓練，無法登錄，進而影響業務推動和執行。

It is suggested that the regulatory authority require pre-employment training for futures professionals, similar to the requirements for securities professionals, with a mandatory pre-employment training program to be completed within six months after joining a company. Given the industry's workforce management needs, requiring completion of pre-employment training within the first six months of employment may create challenges in personnel allocation. Furthermore, without completing the pre-employment training, employees cannot be registered, which in turn affects business operations and execution.

- 18 為建構友善金融環境，委託萬國法律事務所研訂「期貨商服務失智者或疑似失智者之實務參考做法」，蒐集實務上失智者或疑似失智者於期貨商辦理業務之態樣及問題並訂定實務參考做法提供業者參酌。

To foster a financially inclusive environment, a legal study has been commissioned to Formosa Transnational Attorneys at Law to develop a set of practical guidelines for FCMs serving individuals with dementia or suspected dementia. This study collects real-world cases and identifies common challenges faced by these individuals when conducting business with FCMs, aiming to provide the industry with a practical reference for improving service accessibility.

- 19 為提供期貨商計算範疇三投資組合財務碳排放計算之參考，與券商公會及投信投顧公會共同委託資誠永續發展服務股份有限公司，研訂「本國期貨商投資組合財務碳排放（範疇三）實務作業手冊」。

To support FCMs in calculating financial carbon emissions (Scope 3) related to their investment portfolios, a collaborative research project was commissioned to PwC Sustainability Services Ltd., in partnership with Taiwan Securities Association and the Securities Investment Trust & Consulting Association (SITCA). The outcome is the development of the Practical Guide to Financial Carbon Emissions (Scope 3) for Domestic FCMs.

- 20 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，探討適合自身的淨零轉型路徑，並發揮金融業的正向影響力協助整體經濟、環境及社會達到淨零之目標，研訂「期貨商範疇三投資組合財務碳排放之揭露及確信時程」暨「期貨商訂定範疇三減碳目標、策略時程規劃」。

To promote sustainable development among FCMs and align with the Green Finance Action Plan 3.0 set forth by the regulatory authority, research is being conducted to explore appropriate net-zero transition pathways for FCMs. The goal is to leverage the financial sector's positive influence to support the overall economy, environment, and society in achieving net-zero targets. The result will be the development of a roadmap for Scope 3 investment portfolio financial carbon emissions disclosure and assurance, along with strategic planning and timeline recommendations for FCMs to establish Scope 3 carbon reduction targets and strategies.

二 業務發展事項

B Association activities

一、市場推廣 Market promotion activities

2024 LME 實務研討會 (8/2)

因應 2050 年淨零碳排目標，近年低碳、減碳成全球熱門議題，研討會特結合金屬交易實務及減碳議題，邀請專家分享綠色物流及低碳金屬的發展經驗，並由 LME 代表、期貨商及期信業者針對「期貨業在綠色 / 低碳金屬潮流下之機會與挑戰」進行綜合座談，共吸引 121 位業界人士參與。

2024 LME Practical Seminar

In response to the 2050 net-zero carbon emissions goal, the topics of low-carbon and carbon reduction have gained global attention in recent years. This seminar integrated metal trading practices with carbon reduction initiatives, inviting experts to share insights on green logistics and the development of low-carbon metals. Additionally, LME representatives, futures firms, and financial institutions participated in a panel discussion on "Opportunities and Challenges for the Futures Industry Amid the Green/Low-Carbon Metals Trend." The event attracted 121 industry professionals.



2024 台北國際期貨論壇 (12/13)

鑑於主管機關發布「金融業運用人工智慧 (AI) 指引」，做為金融機構導入、使用及管理 AI 的參考依據，2024 台北國際期貨論壇聚焦期貨業 AI 運用之機遇與挑戰，邀請主管機關、交易所、期貨業者及相關產業，共同深入探討如何透過 AI 激發行業潛力，共吸引 136 位業界人士參與。

2024 Taipei International Futures Forum

In light of the regulatory guidelines on artificial intelligence (AI) for the financial industry issued by the Financial Supervisory Commission (FSC), the 2024 Taipei International Futures Forum focused on the opportunities and challenges of AI applications in the futures industry. The forum invited regulators, exchanges, futures firms, and relevant industry professionals for an in-depth discussion on how AI can unlock industry potential. The event attracted 136 participants.



ANC 工作小組會議 (1/15)

因應市場行情變化及期貨業發展現況，邀請期交所及業者代表組成 ANC 工作小組重新檢視 ANC 相關規範並提出調整建議。

ANC Working Group Meeting

To address market fluctuations and the current state of the futures industry, a working group comprising representatives from the Futures Exchange and industry stakeholders was convened to review ANC-related regulations and propose necessary adjustments.

國外期貨資訊系統廠商 (TT) 連線異常座談會 (3/4、4/3)

為協助期貨商從事海外期貨交易之資訊源連線問題，本公會召開會議，邀請資訊源廠商 TT 公司、CQG 公司及專營期貨商代表共同商議相關問題，並三度致函 TT 公司請求給予期貨商一定的賠償或補償措施。

International Futures Information System Providers (TT) Connectivity Issue Seminar

To assist futures firms in addressing connectivity issues with international futures trading information providers, the association held meetings with information source companies TT, CQG, and futures firm representatives to discuss related issues. Additionally, the association formally requested TT three times to provide compensation or remedial measures for the affected firms.

「證券暨期貨業者委外相關作業規範指引及契約範本」說明會 (4/23、5/15、5/20、5/27、5/29、6/12)

因應金管會發布「期貨商作業委託他人處理應注意事項」，本公會偕同證券商公會委由勤業眾信聯合會計師事務所研擬「委外內部作業參考規範」、「風險基礎方法之委外管理架構」、「委外契約範本」、「必要性及適法性分析書件範本」、「作業委外計畫書範本」及「雲端政策範本」共六份範本供業者參考，並辦理六場說明會以利業者了解。

"Guidelines and Standard Contracts for Outsourcing in the Securities and Futures Industry" Seminar

Following the Financial Supervisory Commission's (FSC) issuance of the "Directions for Operations Outsourcing by Futures Commission Merchants," the association, in collaboration with the Securities Association, engaged Deloitte Taiwan to develop six reference documents, including the "Outsourcing Internal Operations Guidelines," "Risk-Based Outsourcing Management Framework," "Standard Outsourcing Agreement," and "Cloud Policy Framework." Six seminars were held to help industry professionals understand these regulatory frameworks.

2024 年金融服務愛心公益嘉年華 (6/15、12/7)

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台南及台北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。

2024 Financial Services Charity Carnival

To promote financial literacy, raise public awareness of financial knowledge, and show care for underprivileged groups, the association actively participated in two charity fairs organized by the Financial Services Commission in Tainan and Taipei. The association engaged in educational outreach activities and donated funds to support disadvantaged groups and individuals in need.



「反詐騙合作備忘錄」簽署儀式 (8/22)

為響應政府打擊金融詐騙政策，與刑事警察局簽署反詐騙合作備忘錄 (MOU) 共同防制投資詐騙，並合作拍攝反詐騙宣導影片，透過公會官網、周邊單位及會員公司協助推播以提升從業人員暨期貨交易者防詐意識。

"Anti-Fraud Cooperation MOU" Signing Ceremony

To support the government's financial fraud prevention policies, the association signed an Anti-Fraud Cooperation MOU with the Criminal Investigation Bureau, jointly combating investment fraud. Additionally, a fraud prevention awareness video was produced in collaboration with member companies and affiliated organizations and promoted via the association's official website to enhance fraud awareness among industry professionals and futures traders.



「國家資通安全聯防與情資分享合作備忘錄」簽署儀式 (12/3)

期貨公會與法務部調查局簽署國家資通安全聯防與情資分享合作備忘錄，希望透過共同聯防機制，分享資安情資，提升公私協力，以達早期預警、緊急應變及持續維運之成效，共創資安防護最佳效益。

"National Cybersecurity Joint Defense and Intelligence Sharing" MOU Signing Ceremony

The association signed a National Cybersecurity Joint Defense and Intelligence Sharing Memorandum of Understanding (MOU) with the Ministry of Justice Investigation Bureau. Through this collaborative defense mechanism, it is hoped that cybersecurity intelligence sharing will be enhanced to improve public-private cooperation, ensuring early warning, emergency response, and business continuity, thereby achieving optimal cybersecurity protection.



防範期貨詐騙分享會 (11/28)

為強化從業人員識詐意識，並希望藉由經驗分享以協助同業共同阻詐並確保交易人之交易安全，特邀刑事警察局、臺灣期貨交易所及期貨業者進行經驗分享，本次分享會計有 43 位專營期貨商負責有關防範詐騙事務之主管及承辦人員出席。

Futures Fraud Prevention Sharing Session

To strengthen fraud awareness among industry professionals and encourage peer collaboration in fraud prevention, the association invited representatives from the Criminal Investigation Bureau, Taiwan Futures Exchange, and futures firms to share experiences in fraud detection and prevention. The session was attended by 43 managers and compliance officers from specialized futures firms.

2024「期貨業未來發展與就業機會」校園巡迴講座 (3/1-5/31)

為協助大專院校同學正確認識期貨行業，並了解實務工作內容及所需具備之職能，做好進入期貨業就業的準備，期貨公會攜手期貨商辦理「期貨業未來發展與就業機會校園巡迴講座」。今年共辦理 26 場校園巡迴講座、近 1,800 名同學參與，計有大昌、元大、元富、永豐、兆豐、國泰、國票、康和、統一、凱基、富邦及群益等 12 家期貨商，深入校園與同學面對面協助瞭解從事期貨行業所需具備之資格條件與能力。

2024 Campus Tour Lecture Series: "The Future of the Futures Industry and Employment Opportunities"

To help university students gain a proper understanding of the futures industry, practical job functions, and required skills, the Futures Association partnered with futures firms to organize a campus tour lecture series. This year, 26 sessions were held, with nearly 1,800 students participating. 12 futures firms, including Taishin, Yuanta, Yuanfu, SinoPac, Mega, Cathay, KGI, Concord, Uni-President, Fubon, and Capital, visited campuses to provide face-to-face career guidance, explaining the qualifications and skills necessary for a career in futures trading.



校園金融講堂及期貨校園徵才 (11/13)

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」。今年度前進實踐大學，計有元大、元富、台新、永豐、兆豐、國票、國泰、統一、康和、華南、富邦、群益及凱基等 13 家期貨商一起共襄盛舉，計超過 800 人次洽訪期貨商攤位了解人才需求、資格條件、培訓發展等事項。

Campus Financial Lecture and Futures Recruitment Fair

To attract talent and strengthen industry development, the Futures Exchange, Economic Daily News, and the association jointly organized the "Campus Financial Lecture and Futures Recruitment Fair." This year, the event was held at Shih Chien University, with 13 futures firms—including Yuanta, Yuanfu, Taishin, SinoPac, Mega, Cathay, KGI, Uni-President, Concord, Hua Nan, Fubon, Capital, and KGI Futures—actively participating. Over 800 participants visited the futures firms' booths to learn about career opportunities, qualification requirements, and training programs.



贊助 113 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，113 學年度提供獎助學金予 1,542 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 仟萬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。

Sponsorship of the 2024 Academic Year Financial Services Education Charity Fund

This initiative is guided by the Financial Supervisory Commission and coordinated by the Taiwan Financial Services Roundtable, with participation from financial industry associations, financial holding companies, and foreign banks. The goal is to raise NT\$100 million, with NT\$80 million allocated as educational scholarships for students from low-income and disadvantaged families. In the 2024 academic year, scholarships were awarded to 1,542 students, each receiving NT\$50,000, disbursed in two installments upon registration for each semester. An additional NT\$20 million was allocated for financial education programs and awareness campaigns. To ensure that students do not drop out due to financial difficulties and to provide equal educational opportunities, the Taiwan Financial Services Roundtable distributes these scholarships, allowing students to expand their opportunities for personal and academic development.



二、政令宣導 Policy Advocating

「期貨業永續發展轉型執行策略」宣導座談會 (5/24)

為強化期貨業永續發展經營，期交所、本公會與金融研訓院共同辦理「期貨業永續發展轉型執行策略」宣導座談會，金管會證期局主任秘書尚光琪特別蒞臨指導，期望藉由產、官、學各界代表共同參與使期貨商快速掌握永續發展轉型執行策略的整體概念順利推動各項永續措施，本場次 14 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。

"Sustainable Development and Transformation Strategies in the Futures Industry" Seminar

To promote sustainable development in the futures industry, the Futures Exchange, the association, and the Financial Training Institute jointly organized a seminar attended by Kuang-Chi Shang, Secretary-General of the FSC Securities and Futures Bureau. The event brought together industry, government, and academia representatives to discuss strategies for transitioning to sustainable business models. All 14 specialized futures firms participated, with over 100 board members, supervisors, and executives in attendance.



洗錢防制 / 打擊資恐法令解析及案例說明會 (6/7、6/19、6/26、11/21、11/27)

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，約 550 位洗錢防制相關人員與會。

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

To assist members in implementing anti-money laundering measures, the association invited experts to provide the latest industry updates through practical case studies, explaining international regulatory trends, suspicious transaction monitoring, the application of digital technology in AML, and related topics. A total of three in-person seminars and two online seminars were conducted, with approximately 550 professionals in attendance.



疑似洗錢態樣實務交流與分享會 (7/12)

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。

Suspicious Money Laundering Patterns Practical Exchange and Sharing Session

To support the industry's effective execution of AML efforts, the association's Anti-Money Laundering and Compliance Committee invited the Ministry of Justice Investigation Bureau's Anti-Money Laundering Division to explain common money laundering patterns. Case studies focused on identifying abnormal capital flows through futures trading and how illicit gains are laundered through futures transactions.

113 年度裁罰案例研習課程 (8/16)

於 113 年 8 月 16 日辦理受金融監督管理委員會裁罰公司從業人員訓練課程，邀請主管機關派員擔任講師，就相關法令及案例進行說明。

2024 Disciplinary Case Study Training

On August 16, 2024, a training course was held for employees of companies subject to penalties by the Financial Supervisory Commission. Regulators were invited to serve as lecturers, providing legal and case explanations to enhance understanding and compliance.

強化資通安全及案例說明會 (8/14、8/22、8/28)

全球 AI 治理監管框架漸趨具體化，資安已成為 AI 監管的核心議題。本公會特邀專家於辦理北中南各辦理 3 小時宣導會，從人工智慧的起源及發展、演算法在人工智慧的地位、人工智慧的運算依據說明，再談受到熱議的人工智慧倫理及風險治理，並提出他國監理與法制供與會人員參考。超過 200 位資訊安全與營業單位等一線人員及法令遵循、內部稽核人員與會。

Cybersecurity Enhancement and Case Study Seminars

As AI governance and regulatory frameworks have become increasingly defined globally, cybersecurity has emerged as a central issue in AI regulation. The association invited experts to conduct three-hour training sessions across northern, central, and southern Taiwan. These sessions covered the origins and development of AI, the role of algorithms in AI, the computational basis of AI, and ongoing debates regarding AI ethics and risk management. Regulatory approaches from other jurisdictions were also presented for reference. Over 200 frontline employees from IT security, operations, compliance, and internal audit departments participated.



「金融消費者保護」宣導會 (9/26、10/16)

本公會重視消費者保護，因應主管機關重點議題今年分為「防制金融詐騙與犯罪」及「服務失智者或疑似失智者之實務參考作法」二個主題，近 650 位業界先進與會共同關心本議題。

Financial Consumer Protection Advocacy Seminars

Recognizing the importance of consumer protection, the association aligned its efforts with regulatory priorities and hosted seminars focused on "Preventing Financial Fraud and Crimes" and "Practical Guidelines for Serving Clients with Dementia or Suspected Dementia." Nearly 650 industry professionals attended these sessions, underscoring the sector's commitment to financial consumer rights.



三、聯誼活動 Friendship activities

從業人員聯誼活動 - 大佳河濱公園健行園遊會 (3/16)

為提倡健康自然之休閒活動並提供從業人員聯誼管道，辦理從業人員登山健行聯誼活動，並同時「捐發票、送愛心」關懷弱勢。本次活動近 1,200 名從業人員及眷屬參與，共募得超過 3,000 張發票全數捐與第一社會福利基金會。

Industry Networking Event - Dajia Riverside Park Hiking Fair

To promote health-conscious outdoor activities and facilitate industry networking, the association organized a hiking and social event. Participants also took part in a "Donate Receipts, Spread Love" initiative to support underprivileged communities. The event attracted approximately 1,200 professionals and their families, with over 3,000 receipts donated to the First Social Welfare Foundation.



113 年度證券期貨盃高爾夫球錦標賽 (5/1)

由證交所、櫃買、期交所、集保、期貨公會、投信投顧公會及證券公會等 7 個單位共同主辦，證券公會承辦之「113 年度證券期貨盃高爾夫球錦標賽」於 5 月 1 日假桃園揚昇高爾夫球場舉行，今年參賽者來自證券、期貨、銀行、投信顧、票券等行業，計有 143 人參賽。

2024 Securities and Futures Cup Golf Tournament

Jointly organized by the Taiwan Stock Exchange, Taipei Exchange, Taiwan Futures Exchange, Taiwan Depository & Clearing Corporation, the Futures Association, the Securities Investment Trust & Consulting Association, and the Securities Association, and hosted by the Securities Association, the "2024 Securities and Futures Cup Golf Tournament" was held on May 1 at the Sunrise Golf & Country Club in Taoyuan. This year, 143 participants from the securities, futures, banking, securities investment trust, and bills finance industries took part in the event.



委員會聯誼活動 (4/27~4/28 及 5/4~5/5)

為感謝各委員會委員參與會務運作之辛勞與貢獻，本公會舉辦「日月潭桃米賞螢、霧峰林家百年建築巡禮」及「溪頭米堤賞螢趣」委員會聯誼活動，計有 60 位委員及眷屬參加。

Committee Networking Events

To express gratitude for the dedication and contributions of committee members in association affairs, the association organized committee networking events, including the "Firefly Viewing at Taomi, Sun Moon Lake & Wufeng Lin Family Historical Architecture Tour" and "Firefly Viewing at Xitou Le Midi," with a total of 60 committee members and their families participating.



理監事聯誼活動 (5/12~5/16、5/14~5/18、5/28~6/1)

113 年度理監事聯誼活動辦理日本東北團，分三梯次進行，共計 33 位理監事及周邊單位主管參加，透過此聯誼活動，讓平日業務繁忙的理監事，得與同業與周邊單位互相學習、增進情誼並與周邊單位互相交流。

Directors and Supervisors Networking Event

The 2024 Directors and Supervisors Networking Event featured a tour to Japan's Tohoku region, conducted in three separate groups. A total of 33 directors, supervisors, and executives from affiliated organizations participated. This event provided a valuable opportunity for the busy directors and supervisors to engage with industry peers, strengthen professional relationships, and exchange insights with affiliated organizations.



理監事參訪活動 (10/1~10/6、10/14~10/23、10/29~11/7)

為加強國際交流與瞭解國際金融市場發展趨勢，本公會每年安排理監事赴國外進行參訪活動並邀集周邊單位主管一同參與，今年度辦理日本小豆島一團，克羅埃西亞二團，三梯次進行，共計有 33 位理監事及周邊單位主管參加。

Directors and Supervisors Overseas Study Visits

To enhance international exchanges and gain insights into global financial market trends, the association organizes annual overseas study visits for directors and supervisors, inviting executives from affiliated organizations to participate. This year, three groups visited Japan's Shodoshima Island and Croatia. A total of 33 directors, supervisors, and executives from affiliated organizations took part in these visits.



113 年度歲末聯誼餐會 (12/27)

本公會歲末聯誼餐會於 12 月 27 日晚間假台北福華大飯店 B2 福華一區舉行，除本公會理監事、各委員會委員外，蒞臨貴賓尚有金管會彭主委金隆、陳副主委彥良、證期局張局長振山、王組長秀玲及多位週邊單位董總、證券商及投信顧公會秘書長，大家齊聚一堂，迎接乙巳蛇年，共祝期貨市場蓬勃發展，更上一層樓。

2024 Year-End Networking Banquet

The association's year-end networking banquet was held on the evening of December 27 at the Howard Plaza Hotel Taipei, B2 Howard Ballroom 1. In addition to the association's directors, supervisors, and committee members, distinguished guests included FSC Chairman Jin-Lung Peng, Vice Chairman Yan-Liang Chen, Securities and Futures Bureau Director Chen-Shan Chang, Section Chief Hsiu-Ling Wang, and several senior executives from related organizations, securities firms, and investment trust and advisory associations. Everyone gathered to welcome the Year of the Snake and wished for a prosperous and thriving futures market.



☰ 督促會員自律、共謀業務上改進事項

◎ Self-discipline and operation improvement of member companies

1. 期貨顧問事業查察輔導事項

本公會 113 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 2 案，計 2 項違規內容，發函要求改善者 1 件，核處警告 1 件。

The CNFA made annual inspection on futures advisory enterprises and their practices of internal auditing. Among those breaking the "Selfdiscipline Agreement for CNFA Members, in 2024" there were 2 cases reported to the Discipline Committee, 2 cases found to have violated the Agreement, 1 were notified to make improvement by written letter, and 1 received the CNFA's warning notices.

2. 督促事項

期貨顧問事業以外之會員公司因違反本公會自律規範，提報紀律委員會共 6 案，計 7 項違規內容，發函要求改善者 5 件，核處警告 1 件。

Among other member companies which violated the "Self-discipline Agreement for CNFA Members"(except futures advisory enterprises),there were 6 cases reported to the Discipline Committee, 7 cases found to have violated the Agreement, and 5 cases were notified to make improvement by written letter, and 1 received the CNFA's warning notices.

3. 適時建議修訂相關規範

針對期貨商海外複委託業務，如有未依本公會「網路安全防護自律規範」之規定，於期限內辦理資安通報者，研擬處置方式，函報主管機關。

For futures brokers' overseas sub-brokerage business, if they fail to comply with the Association's "Self-Regulatory Guidelines on Cybersecurity Protection" by not submitting a cybersecurity report within the specified timeframe, a response plan will be formulated and submitted to the competent authority.

四 關於會員業務之廣告及宣傳審查事項

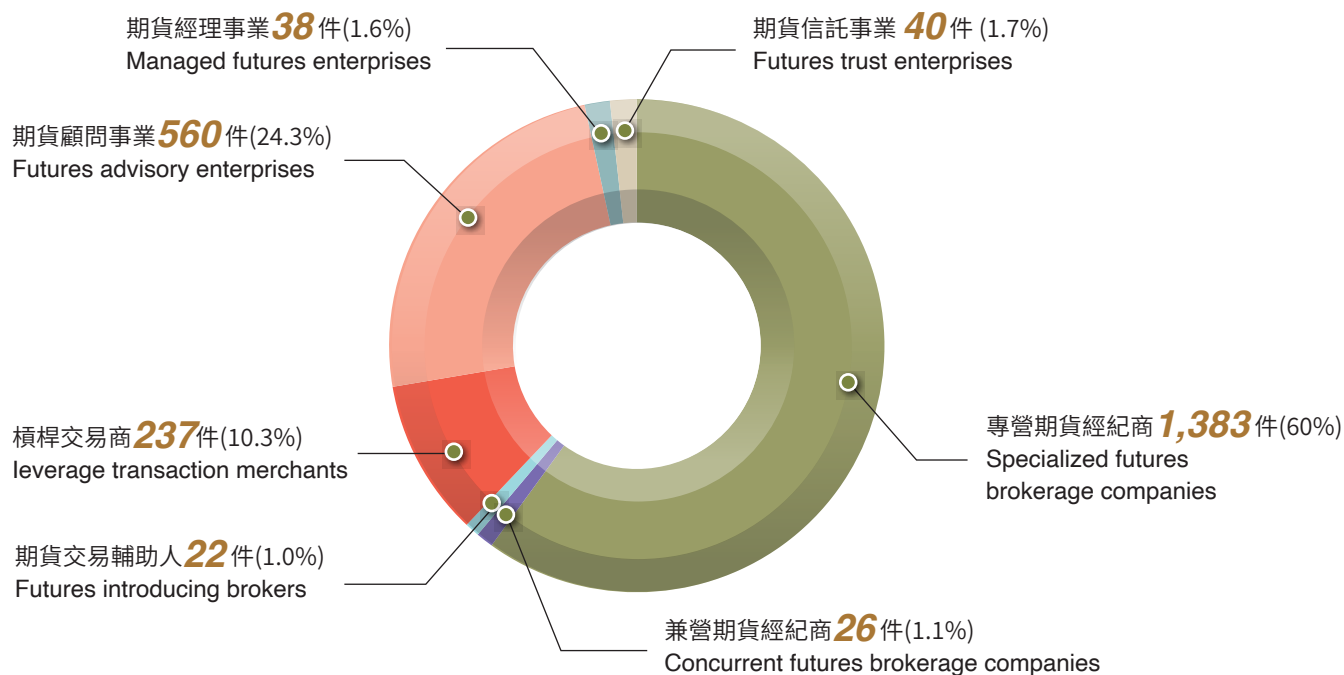
D Inspection of advertisement and promotional materials of member companies

本公會 113 年度共計審核 2,306 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 1,383 件、兼營期貨經紀商申報 26 件、槓桿交易商申報 237 件、期貨顧問事業申報 560 件、期貨經理事業申報 38 件、期貨信託事業申報 40 件、期貨交易輔助人申報 22 件。

In 2024, the Association reviewed 2,306 projects of advertisement and promotional materials published by member companies. Among them, 1,383 projects were filed by the specialized futures brokerage companies, 26 by concurrent futures brokerage companies, 237 by leverage transaction merchants, 560 by futures advisory enterprises, 38 by managed futures enterprises, 40 by futures trust enterprises, and 22 by futures introducing brokers

113 年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2024



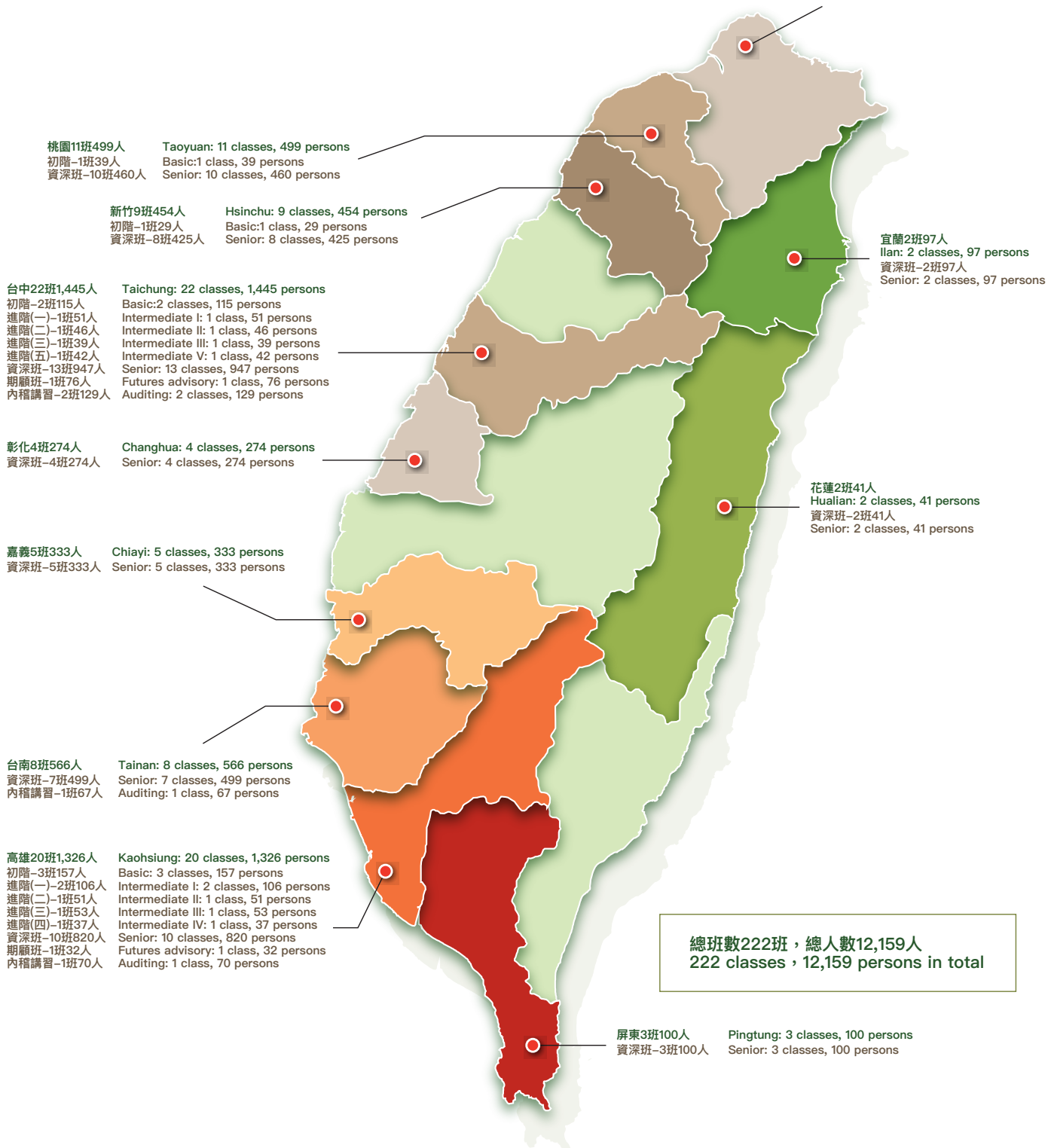
五 在職訓練

E On-job training

113年度舉辦之地區別、班別及人數詳如下圖：
CNFA-arranged Training Courses in 2024:

台北 136 班 7,024人
初階-14班629人
進階(一)-10班445人
進階(二)-8班342人
進階(三)-8班315人
進階(四)-8班265人
進階(五)-8班274人
資深班-54班 3,617人
期經班-2班67人
期信班-4班243人
期顧班-7班424人
槓桿交易-2班65人
內稽講習-7班219人
高階班-4 班119人

Taipei: 136 classes, 7,024 persons
Basic: 14 classes, 629 persons
Intermediate I: 10 classes, 445 persons
Intermediate II: 8 classes, 342 persons
Intermediate III: 8 classes, 315 persons
Intermediate IV: 8 classes, 265 persons
Intermediate V: 8 classes, 274 persons
Senior: 54 classes, 3,617 persons
Managed futures: 2 classes, 67 persons
Futures trust: 4 classes, 243 persons
Futures advisory: 7 classes, 424 persons
Leverage Transaction Merchant: 2 classes, 65 persons
Auditing: 7 classes, 219 persons
Advanced: 4 classes, 119 persons



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

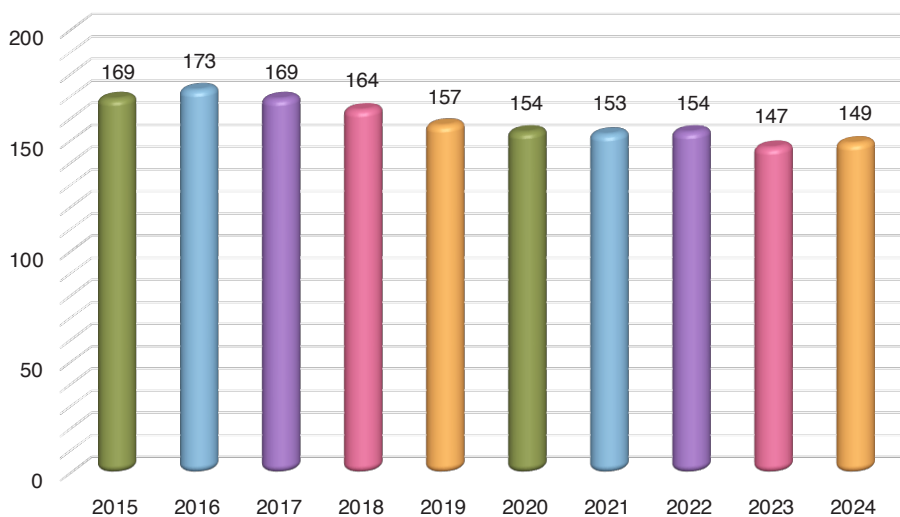
Registration of member companies and their business representatives

會員家數：共計 149 家，其中經營期貨經紀業務為 26 家；期貨業務輔助人 42 家；期貨自營業務 28 家；期貨顧問業務 35 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 149 member companies registered with the CNFA at the end of 2024, 26 futures brokerage companies, 42 futures introducing brokers, 28 futures proprietary commission merchants, 35 futures advisory enterprises, 5 managed futures enterprises, and 8 futures trust enterprises, and 5 leverage transaction merchants.

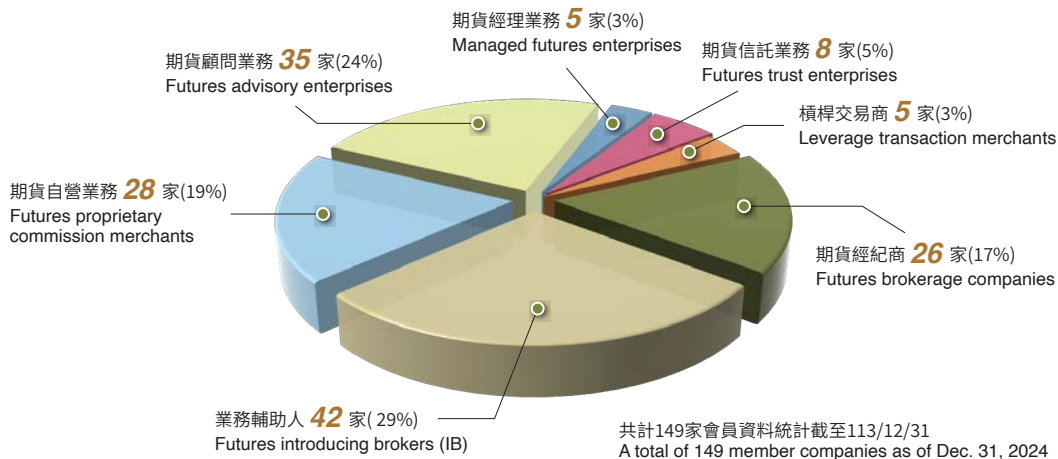
近 10 年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years



113 年度會員類別統計圖

Statistics of CNFA Member Companies in 2024, by Business Category

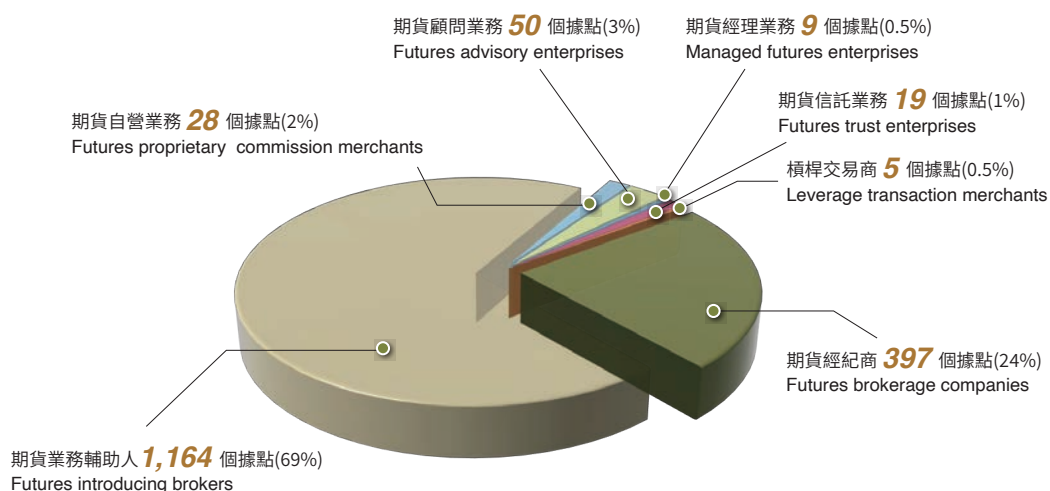


會員總分公司分支機構數：共計 1,672 家，其中經營期貨經紀業務為 397 個營業據點；期貨業務輔助人 1,164 個營業據點；期貨自營業務 28 個營業據點；期貨顧問業務 50 個營業據點；期貨經理業務 9 個營業據點；期貨信託業務 19 個營業據點；槓桿交易商 5 個營業據點。

CNFA Member Companies were operated with a total of 1,672 headquarters offices and branch offices as of the end of 2024: 397 used by futures brokers, 1,164 used by introducing brokers, 28 used by futures proprietary commission merchants, 50 used by futures advisory enterprises, 9 used by managed futures enterprises, 19 used by futures trust enterprises, 5 used by leverage transaction merchant.

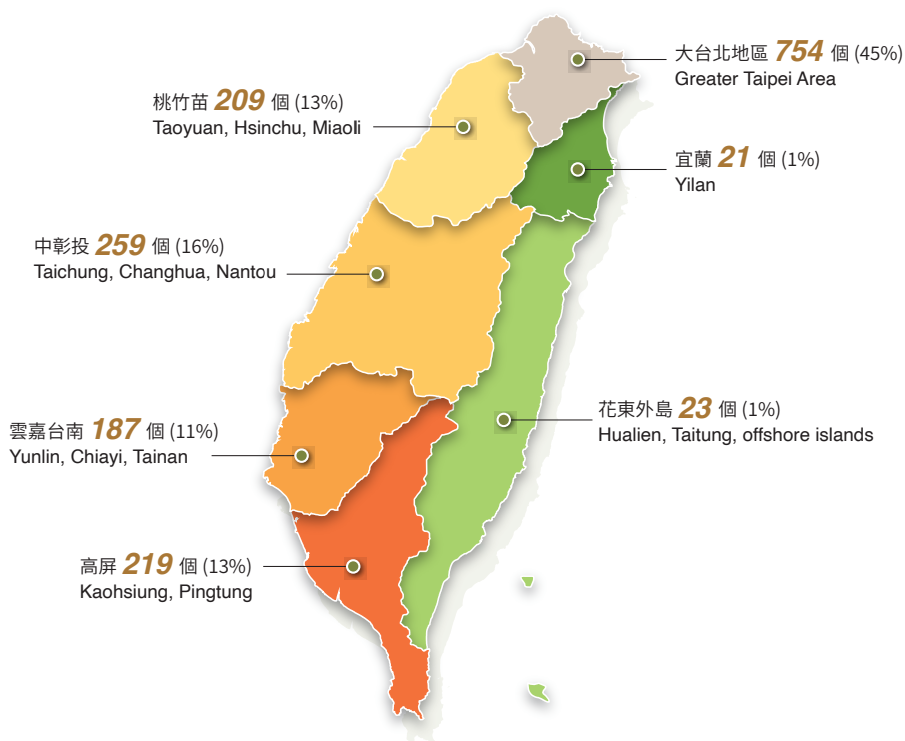
113 年度會員營業據點統計圖

Business Sites of CNFA Member Companies in 2024



113 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 2024



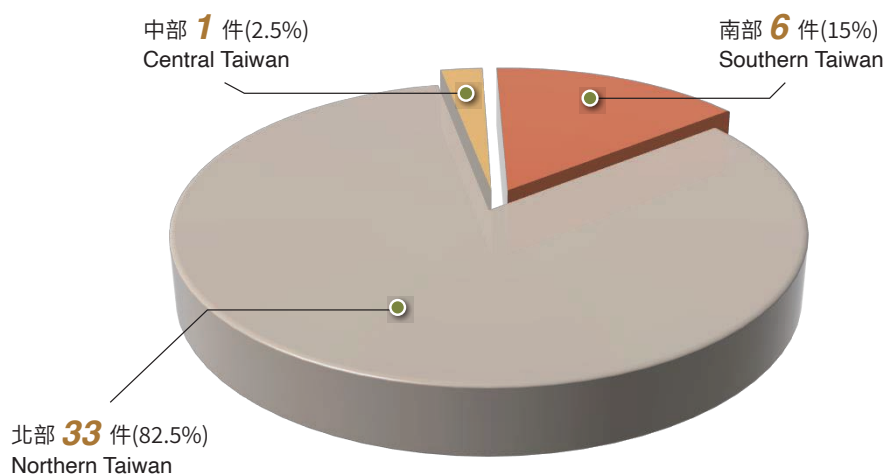
會員場地勘察 Business site inspection

113 年度共計 40 件實地場勘察 (北部地區 33 件、中部地區 1 件、南部地區 6 件) ，就其場勘案件分析，新設營業處所 9 件、遷移營業處所 24 件、縮減營業處所 1 件、擴增營業處所 3 件、營業處所內部配置變動 3 件。

The Association conducted a total of 54 business site inspection projects in 2024 (33 in northern Taiwan, 1 in central Taiwan, and 6 in southern Taiwan, and 3 in eastern Taiwan). Among these inspected sites, 11 were newly established, 24 were relocated, 1 were downsized, 3 were expended, and 3 were remodeled.

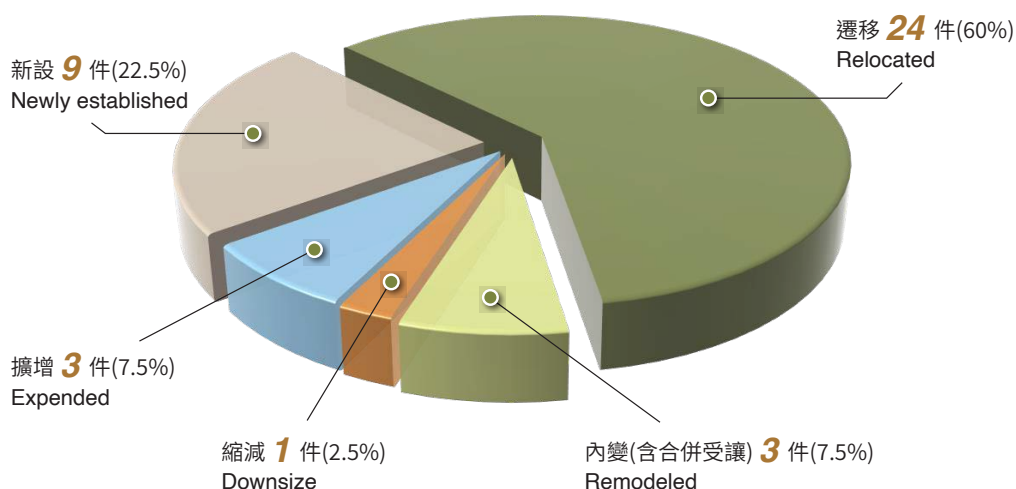
113 年度場地勘察區域分布統計圖

Geographical Areas of Inspected Business Sites in 2024



113 年度場地勘察類別統計圖

Statistics of Business Site Inspection Projects in 2024



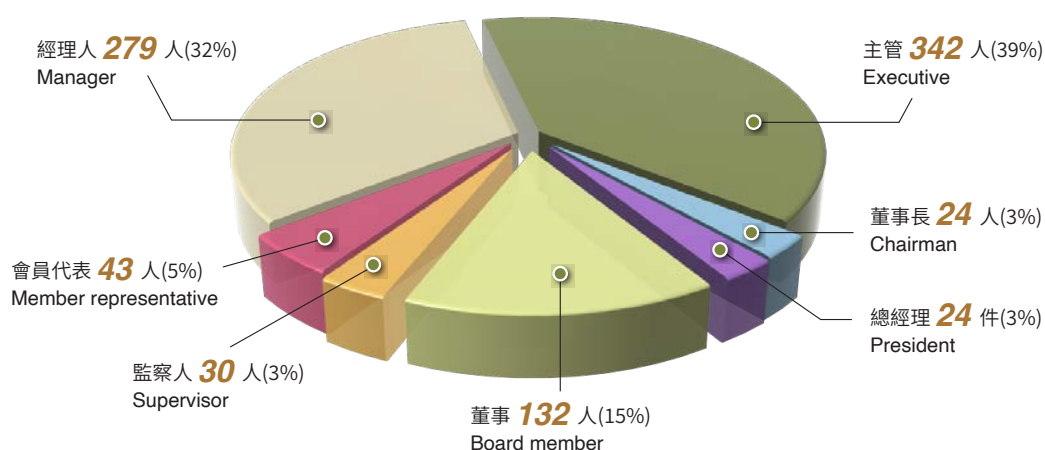
2. 會員委託證照之申請變更、換領及其他服務事項
Certificate renewal, change, and other related services

會員代表、會員負責人 113 年度於本公會異動登錄共計 874 人次，細分如下：

In 2024, the Association handled a total of 874 certificate renewal and change cases for highranking executives, board members, and supervisors of member companies.

113 年度身分類異動統計圖

Position Change Statistics for 2024

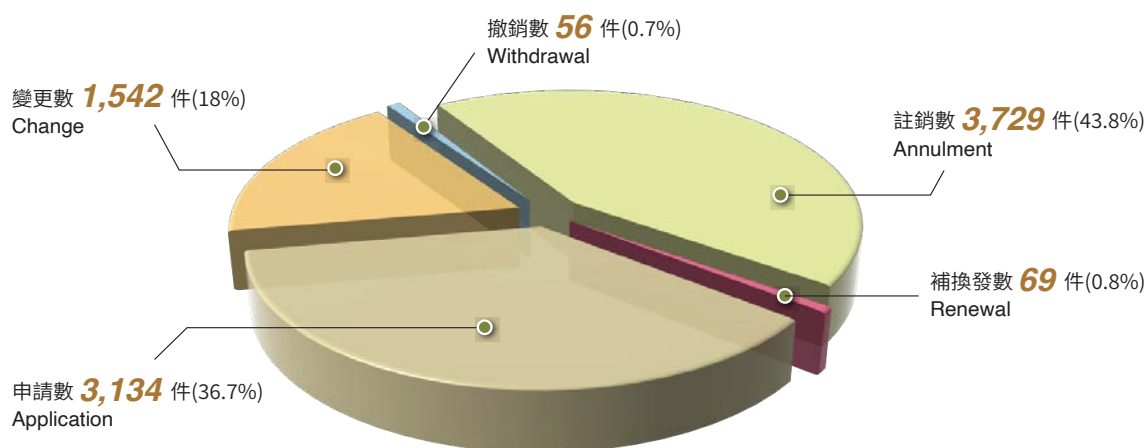


業務員、輸單員、銷售人員 113 年度於本公會異動登錄共計 8,530 件，每月平均 711 件

In 2024, the Association handled a total of 8,530 business representative, key-in worker, and salesperson enrollment cases, with an average of 711 cases per month.

113 年度業務異動類別統計圖

Job Change Registrations in 2024



七 本公會出版品

G Publications

1. 會訊 Newsletter



2. 期貨人季刊 Futures Journal



3. 政令宣導 Policy Advocacy

