



Taipei Futures Association

台北市期貨商業同業公會

九十一年度年報

2002 ANNUAL REPORT



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壹、序言

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九十一年度台北市政府社會局對全市447個工商暨自由職業團體進行評鑑，本會獲評為「第一組優等團體」，自公會成立以來，這是外界給予的最高榮譽。獲此殊榮代表對全體會務同仁工作努力的肯定，最重要的還是要感謝所有理、監事及會員對我們的支持。

九十一年度公會主要的工作有四大重點：協助業界推廣宣導期貨市場、辦理各項教育訓練、配合主管機關推動期貨服務事業、加強兩岸與國際間的交流。

推廣宣導方面，自去年四月起，每次邀請一家專業期貨商共同辦理「贏家系列一期貨成功經驗傳承」講座，共計辦理了65場次，足跡遍佈全省，深入各個投資階層。為使社會菁英及新鮮人了解期貨市場，替業界引進新血輪，公會首次舉辦了「前進期貨市場—人才招募群英會」，邀請業界以雙向溝通的方式發掘新的人才。為增進同業間的經驗交流與心得交換，讓業界有一份專屬自己的刊物，使投資大眾有一份參考的依循，公會的「期貨人」季刊，在五月廿一日創刊出版，這是國內目前唯一屬於期貨業的專業刊物。在十一月五日我們又發行了「期貨會訊」，讓所有會員可藉著每月一次的會訊，了解公會的會務現況與未來計畫，掌握最新的期貨相關政策、法令以及各類活動。

教育訓練是公會的核心業務，配合新商品一選擇權的上市，我們大幅修正了業務員在職訓練的課程內容。因應不同的工作類別，公會還辦理「高階經理」及「內部稽核人員」的專業課程，以確切符合業界同仁的業務需求。順應新的期貨顧問事業，我們特地邀請日本專家來台傳授實務經驗與專業知識。一年間，辦理各類不同的訓練，共計61班次，受訓的學員高達4959人次。

在主管機關規劃期貨服務事業的過程中，公會以積極的態度，聯合各會員公司，主動提出建議以為制訂相關法令時的參考。為協助業界開辦期貨顧問事業，我們訂定了申請的日期流程及應備妥之各類相關文件，主動即時的提供給業界，使廿三家業者順利取得開業資格。

在加強兩岸與國際交流的業務上，公會去年辦理「大陸期貨市場考察團」，走訪大連，參訪大連商品交易所。本人亦在一月及十月代表業界至北京與蘇州，參加「第四、五屆的亞洲論壇大會」。六月底，公會也舉辦了「大宗物資期貨市場研討會」，邀請大陸業者來台，就大陸期貨市場的發展現況及未來趨勢做專題的講演。九月間組團參加「FOW新加坡亞洲太平洋衍生性金融商品展覽會」，透過至國外的參訪觀摩，提昇大家的視野，跨出現有的格局。

公會在年底提出了調降業務費及在職訓練費用的重大措施，以協助各會員公司降低營運成本。過去一年，公會在精簡的人力下，以滿足會員的需求為努力的目標。未來我們仍將秉持『熱忱、積極、完美』的精神，百尺竿頭，更上層樓，持續為所有會員提供優質的服務。

台北市期貨商業同業公會

理事長 王中愷

A. Preface

The Taipei Futures Association (TFA) was ranked by the Bureau of Civil Affairs under the Taipei City Government among the best Taiwan professional associations in 2002. This is the highest honor the Association has ever received since it is one of only a few among the 447 professional associations in Taipei to receive such glory. The honor demonstrates the government's recognition of the efforts made by the Association's staff. I especially appreciate the support from all the directors and supervisors involved with the business development and operations of the Association.

There were four major tasks for the Association's operations in 2002: to help promote futures and options trading, arrange various kinds of training and education, advocate futures investment consulting and management services in line with the government's policy, and strengthen international and cross-strait interactions.

The Association held 65 seminars around the island, starting in April 2002, having the senior of the futures industry to share their experience with participants from all walks of life in Taiwan. As well, for the first time, the Association organized a talent recruiting activity, during which representatives of member companies had the chance to meet with prospective employees, especially recent graduates, and fill vacancies within their companies.

Additionally, the Association creates a quarterly publication exclusively for the futures industry. The Taiwan Futures , inaugurated on May 21, 2002, is a forum for people in the industry to share their experience, exchange ideas and provide relevant information to the public. On Nov. 5, the Association started another publication, the monthly TFA Newsletter. It is designed to help member companies keep abreast of the Association's operations and business development plans as well as the latest government's policies, regulation revisions and futures-related activities.

As for training and education, the Association has made a significant adjustment in its training courses to cope with the launch of stock options in Taiwan. Its training courses are tailored to meet the needs of different groups, providing special courses for high-ranking executives and auditors of futures companies, in addition to regular courses for the industrial workforce. To deal with the emerging importance of futures service enterprises, the Association also invited Japanese experts to share their experiences and professional expertise with member companies. In 2002, the Association arranged a total of 61 training courses, attended by 4,959 persons.

The Association is active in cooperating with the government in developing the peripheral futures service enterprises . It consults member companies and takes the initiative to draft relevant regulations for the reference of the Securities and Futures Commission (SFC). The Association has, for example, proposed an application procedure and prepared the documents needed to help member companies apply to operate the futures advisory enterprises. In 2002, 23 member companies received their approvals from the SFC.

The Association is also a zealous player on the international scene. It organized a delegation to visit Dalian City and the Dalian Commodity Exchange in Shandong province of mainland China in 2002. As well, I represented Taiwan's futures industry at the 4th Members' Meeting of Asian Forum, held in Beijing last November and the 5th Annual Meeting of the same organization, held in Suzhou last October. At the end of June, the Association held an international commodity futures conference and invited renowned international experts to discuss current developments of commodity futures markets in their countries. Additionally, the Association organized a delegation to attend the "FOW Asia-Pacific Financial Derivatives Fair" in Singapore, in September 2002. These international activities have been helpful to member companies in developing their overseas businesses.

To help member companies reduce their operational costs, the Association cut service fees and training course fees. Despite the cut in budget and workforce, the Association maintains the same enthusiasm in serving its member companies. The Association will maintain our high level of its dedication to work and continue to provide the best service quality possible, building more and more progress on top of our existing solid foundation.

Steve Wang, Chairman

Taipei Futures Association



貳、台北市期貨商業同業公會簡介

一、公會沿革

本會成立於民國八十四年四月十七日，並由國內經營期貨業務而依法取得證照之國內外民營期貨公司所組成，定名為「台北市期貨商業同業公會」，第一屆理事長由李洪鰲先生擔任並聘韓開明先生為總幹事，民國八十七年六月六日第二屆第一次會員大會改選第二屆理事長由張永京先生擔任，並續聘韓開明先生擔任總幹事，民國九十年六月五日第三屆第一次會員大會改選第三屆理事長由王中愷先生擔任，並聘謝夢龍先生擔任總幹事。現會址設於台北市忠孝東路四段一六九號十一樓。

二、設立宗旨

本會以保障投資大眾，發展國民經濟，協調同業關係，增進共同利益為宗旨。

三、本會任務

- * 關於配合國家經濟發展，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、聯繫及協調事項。
- * 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。
- * 會員委任證照之申請變更、換領及其他服務事項。
- * 會員或社會公益事業之舉辦事項。
- * 會員合法權益之維護事項。
- * 接受政府機關、團體之委託服務事項。
- * 社會運動之參加事項。
- * 依其他法令規定或會員建議應辦理之事項。

B. Association introduction

I. TFA: A brief history

The Taiwan Futures Association (TFA) was established on April 17, 1995, organized by legal futures companies with licenses to trade both domestic and foreign futures. Its first Chairman was H.A. Lee, and Kai-ming Han was appointed as the first secretary general of the Association. On June 6, 1998, the Association members elected Eugene Y. Chang as the second chairman of the Association. Han stayed on to serve as the Association's secretary general. On June 5, 2001, Steve Wang was elected as the third chairman and he appointed Meng-long Hsieh as the new secretary general. The current address of the Association is: 11F, 169 Chunghsiao E. Road, Sec. 4, Taipei

II. TFA: Purpose of establishment

The association was founded to protect investor interests, support national economic development, help resolve conflicts between member companies and promote benefits of both member futures companies and investors.

III. Responsibilities of TFA

- * To enhance the operations of the futures market in cope with the national economic development.
- * To conduct surveys on the business and operations of member companies as well as other relevant research projects.
- * To do research on current futures trading laws and related government policies, help facilitate the abiding of current laws and policies, and, if necessary, make recommendations to the government for revisions of relevant laws and policies.
- * To encourage self-discipline in member companies and coordinate between them in order to bring about closer member company relations and help improve the Association's operations.
- * To help mediate disputes among members.
- * To provide on-job training and seminars for employees at member companies.
- * To help arrange advertisements, exhibitions, and licensing for member companies.
- * To keep and update basic information on member companies, staff workers, and representatives to the Association.
- * To help arrange licensing, license changes and other relevant services for member companies.
- * To sponsor social activities for member companies and the public.
- * To protect the legal rights and interests of member companies.
- * To offer services entrusted to it by government agencies and civil organizations.
- * To participate in various social activities.
- * To provide other services and implement recommendations of member companies in accordance with relevant laws and regulations.

參、公會組織系統 ORGANIZATION OF THE TFA

一、組織系統圖 ORGANIZATION CHART



北市九二年工商自由



熱忱 · 積極 · 完美

二、理、監事及顧問名錄

理事名錄

職別	姓名	任職公司	職稱
理事長	王中愷	大華期貨經紀股份有限公司	總經理
理事	糜以雍	中信證券股份有限公司	顧問
理事	姒元忠	群益期貨股份有限公司	總經理
理事	楊金源	台育期貨經紀股份有限公司	董事長
理事	許瑞立	安泰證券股份有限公司	總經理
理事	黃重文	建華期貨股份有限公司	董事長
理事	李敬明	金鼎期貨經紀股份有限公司	總經理
理事	韋月桂	聯邦期貨股份有限公司	總經理
理事	江淵舟	寶來期貨股份有限公司	董事長
理事	黃正雄	日盛期貨股份有限公司	副董事長
理事	鄭質榮	新加坡商華大期貨經紀股份有限公司	總經理
理事	林孟璋	協和證券股份有限公司	執行董事
理事	蔡銘源	永昌證券股份有限公司	主任秘書
理事	鄧序鵬	康和期貨股份有限公司	董事長
理事	楊惠倫	太祥證券股份有限公司	協理
理事	林茂昌	台証期貨經紀股份有限公司	總經理
理事	黃睿	新竹期貨經紀股份有限公司	總經理
理事	許瑞茂	台灣工銀證券股份有限公司	總經理
理事	陳明地	中農證券股份有限公司	董事長
理事	王棟樑	菁英綜合證券股份有限公司	副總經理
理事	鄭文憲	大和國泰證券股份有限公司	協理
理事	陳秀駒	復華期貨股份有限公司	總經理

監事名錄

職別	姓名	任職公司	職稱
監事召集人	賀鳴珩	羅盛豐期貨股份有限公司	董事長
監事	王洪正	世華期貨股份有限公司	總經理
監事	江雲松	國票證券股份有限公司	協理
監事	謝志忠	日商聯貿期貨經紀股份有限公司	副總經理
監事	王鐘靖	美商愛德盟期貨經紀股份有限公司	總經理
監事	葉一豐	美商曼氏期貨經紀(股)公司	總經理
監事	陳添富	永全證券股份有限公司	副董事長
監事	蔡鎮村	群益期貨股份有限公司	副總經理

顧問名錄

職別	姓名	任職公司	職稱
顧問	張永京	德華國際資產管理公司	總經理
顧問	朱士廷	中信期貨股份有限公司	董事長
顧問	李文興	元大京華期貨股份有限公司	總經理
顧問	盧立正	建華期貨股份有限公司	總經理

以上資料為91.12.31止，依當選票數排列。

II · DIRECTORS · SUPERVISORS AND CONSULTANTS

Directors

Position	Name	Company	Title
Chairman	Steve Wang	Grand Cathay Futures Corp.	President
Director	I-Yung Mi	KGI Securities Co., Ltd.	Consultant
Director	Michael Hsieh	Capital Futures Corp.	President
Director	Charles Yang	Tai Yu Futures Corp.	Chairman
Director	Jui Li Hsu	Antay Securities Co., Ltd.	President
Director	Chung-Wen Huang	Sino Pac Futures Corp.	Chairman
Director	Jimmy Lee	Taiwan International Futures Corp.	President
Director	Jennifer Wei	Union Bank Futures Corp.	President
Director	Yuan Chou Chiang	Polaris Futures Co., Ltd	Chairman
Director	Thomas Huang	Jih Sun Futures Co., Ltd.	Asst Vice Chairman
Director	Vincent Cheng	UOB Bullion & Futures Ltd., Taiwan Branch	President
Director	Edward Lin	Concourse Securities Co., Ltd.	Executive Director
Director	Ming Yuan Tsai	Entrust Securities Co., Ltd.	C.A.O.
Director	Paul Teng	Concord Futures Corp.	Chairman
Director	Hui Lun Yang	Taisec Securities Inc.	Asst Vice President
Director	Richard Lin	Taiwan Futures Co., Ltd	President
Director	Ray R. Hwang	Hsinchu Futures Corp.	President
Director	Morris J. Hsu	IBT Securities Co., Ltd.	President
Director	Te Ming Chen	Chung Noun Securities Co., Ltd.	Chairman
Director	Tung-Liang Wang	First Taiwan Securities Inc.	Vice President
Director	Wen-Hsien Cheng	Daiwa Securities SMBC-Cathay Co., Ltd.	Asst Vice President
Director	Hsiu-Chu Chen	Fuh-Hwa Futures Co., Ltd.	President

Supervisors

Position	Name	Company	Title
Conevener	Ted Ho	REFCO Taiwan Co., Ltd	Chairman
Supervisor	Justin Wang	Seaward Futures Corp.	President
Supervisor	Yun Shung Chiang	IBU, Securities CO., Ltd.	Asst Vice President
Supervisor	Chih-Chung Hsieh	Nihon Unicom Corp. Taipei Branch	Vice President
Supervisor	Philip K.C. Wang	A.D.M. Investor Service, Inc., Taiwan Branch	President
Supervisor	Eric Yeh	Man Financial Inc. Taiwan Branch	President
Supervisor	Tien Fu Chen	Yung Chuan Securities Co., Ltd.	Asst Vice Chairman
Supervisor	James Tsai	Capital Futures Corp.	Vice President

Consultants

Position	Name	Company	Title
Consultant	Eugene Y. Cheng	CHINA IAM Corporation	President
Consultant	Stanley Chu	KGI Futures Co., LTD.	Chairman
Consultant	Wen-Shing Lee	Yuanta Core Pacific Futures Services Co., LTD.	President
Consultant	Maurice Lu	Sino Pac Futures Corp.	President

Note: The information above is as of Dec. 31, 2002. The directors are in the order of votes.

三、組織與執掌

(一)、會員大會

由本會會員公司指派代表出席本會（專營期貨經紀或自營業務之期貨公司三席，非專營期貨經紀或自營業務之公司一席），組成會員大會，為本會最高權利機關。

本會截至九十一年十二月三十一日止計有專營期貨商二十八家，兼營期貨商二十二家，期貨交易輔助人九十一家，會員公司共計一百四十一家（不含停業清算中會員），會員代表共計一百九十七位。

其職權如下：

- 1.選舉、罷免理事、監事。
- 2.章程之訂定與修改。
- 3.核定年度工作計劃綱要、經費預算、決算及事業計劃。
- 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.其他依職責應辦之事項。

(二)、理事會

本會置理事廿七人，組織理事會為常設機構，亦是本會最高執行機關。其中一人為理事長，對外代表本會。

理事會之職責如下：

- 1.召開會員代表大會並執行其決議。
- 2.選舉、罷免理事長。
- 3.通過會員入會、退會及註銷會員代表，會員會籍。
- 4.編擬年度工作計畫綱要、經費預決算及事業計畫。
- 5.本會會務工作人員及顧問，研究員之遴聘、解聘及升遷、獎懲。
- 6.辦理監事移送執行案件。
- 7.議決理事、理事長之辭職。
- 8.執行不繳納會費之處分。
- 9.執行法令及章程所規定事項。
- 10.其他依職責應辦之事項。



III. Organization and responsibilities

(a) General meeting

The general meeting is the highest policy-making body of the Association, participated in by representatives of member companies. A futures company, specialized in either futures brokerage or futures trading, can appoint three representatives, and any securities firm with a futures division can appoint one representative to the general meeting.

Of the 141 total member companies as of Dec. 31, 2002, 28 were futures companies, 22 were securities firms with a futures division, and 91 were intermediary brokers. The member companies excluded the ones which have suspended operations or are liquidating their assets for ceasing operations. The 138 member companies together send a total of 197 representatives to the meeting.

Major duties of the meeting:

1. Elect or dismiss directors and supervisors.
2. Set and revise the Association charter.
3. Approve the Association's working schedule, budget plan, and other major projects.
4. Review decisions proposed by the board of directors, supervisors, and member companies.
5. Discipline member companies and their representatives.
6. Dispose of the properties of the Association.
7. Make decisions on liquidation of member company's properties and appoint members to take charge of the procedures.
8. Approve proposals for resignations of certain directors or supervisors.
9. Approve membership, annual and business fees of the members as well as other donations to the Association.
10. Carry out other duties falling within its charter.

(b) Board of directors

The board of directors, composed of 27 directors, is a high-profile body with the highest executive power of the Association. The chairman, elected from the 27 directors, is the representative of the Association.

The duties of the board are as:

1. To call for general meetings of the Association's members and execute the decisions reached during those meetings.
2. To elect or dismiss the chairman.
3. To approve applications for new membership, membership withdrawal, revocation of membership and member representatives.
4. To work out the annual working schedule, budget plan and other major projects.
5. To appoint or quit staff workers, advisors and researchers of the Association, and approve proposals for their promotion or penalties.
6. To implement decisions made by the supervisors.
7. To approve resignations from the chairman or directors.
8. To levy penalties on members failing to pay annual fees.
9. To oversee compliance with futures-related regulations and the Association's charter.
10. To perform other duties within its charter.

(三)、監事會

本會置監事九人，設置監事召集人一人，組織監事會，為本會之監察機關。其職責如下：

1. 監察理事會執行會員大會決議案。
2. 監察理事會會務業務執行情形。
3. 監察理事會財務收支情形。
4. 審核年度預決算，向理事會提出書面審核意見，提報大會通過或追認。
5. 向會員大會提出年度監察報告。
6. 決議監事、常務監事之辭職。
7. 監督會員履行義務。
8. 其他依職責應辦之事項。

(四)、委員會

本會設有業務委員會、法制委員會、市場推廣委員會、紀律委員會、教育訓練委員會、財務委員會、調處委員會等七個委員會，分別推動各項工作。

業務委員會

- 職 掌：(1) 有關期貨業務之發展、聯繫、協調、改進事項。
- (2) 有關期貨投資人服務事項。
 - (3) 有關編擬年度工作計畫事項。
 - (4) 其他有關期貨業務之處理事項。

法制委員會

- 職 掌：(1) 有關各項業務之相關法令、規章之蒐集與整理事項。
- (2) 有關新種業務之相關法令、規章之研究與分析事項。
 - (3) 有關會員及投資人相關規章、契約之諮詢與協助事項。
 - (4) 有關國內外相關行業之法令、規章、契約之蒐集與比較事項。
 - (5) 協助其他各委員會有關法制事宜與專案事項之研究。

市場推廣委員會

- 職 掌：(1) 有關市場推廣方案之研議、擬訂及執行。
- (2) 有關國內外活動聯繫、協調及交流事項。
 - (3) 其他有關市場推廣及公共關係之處理事項。

(c) Board of supervisors

The board of supervisors, composed of nine supervisors, is the supervisory body of the Association. Its convener is elected from the nine supervisors.

The duties of the board of supervisors are:

1. To ensure the board of directors implements the decisions made during the general meeting.
2. To ensure the board of directors adheres to Association policies.
3. To oversee compilation of the Association's financial report
4. To examine the Association's annual budget and forward its opinions to the board of directors as well as submit a revision proposal to the general meeting for approval.
5. To deliver an annual report about its operations at the general meeting.
6. To approve the resignation of supervisors and standby supervisors.
7. To ensure member companies fulfill their obligations and duties.
8. To carry out other duties within its charter.

(d) Committees

The Association is comprised of seven committees that take charge of the Association's business, legal, market development, disciplinary, education & training, financial, and coordination affairs.

The duties of each committee are:

* Business Committee

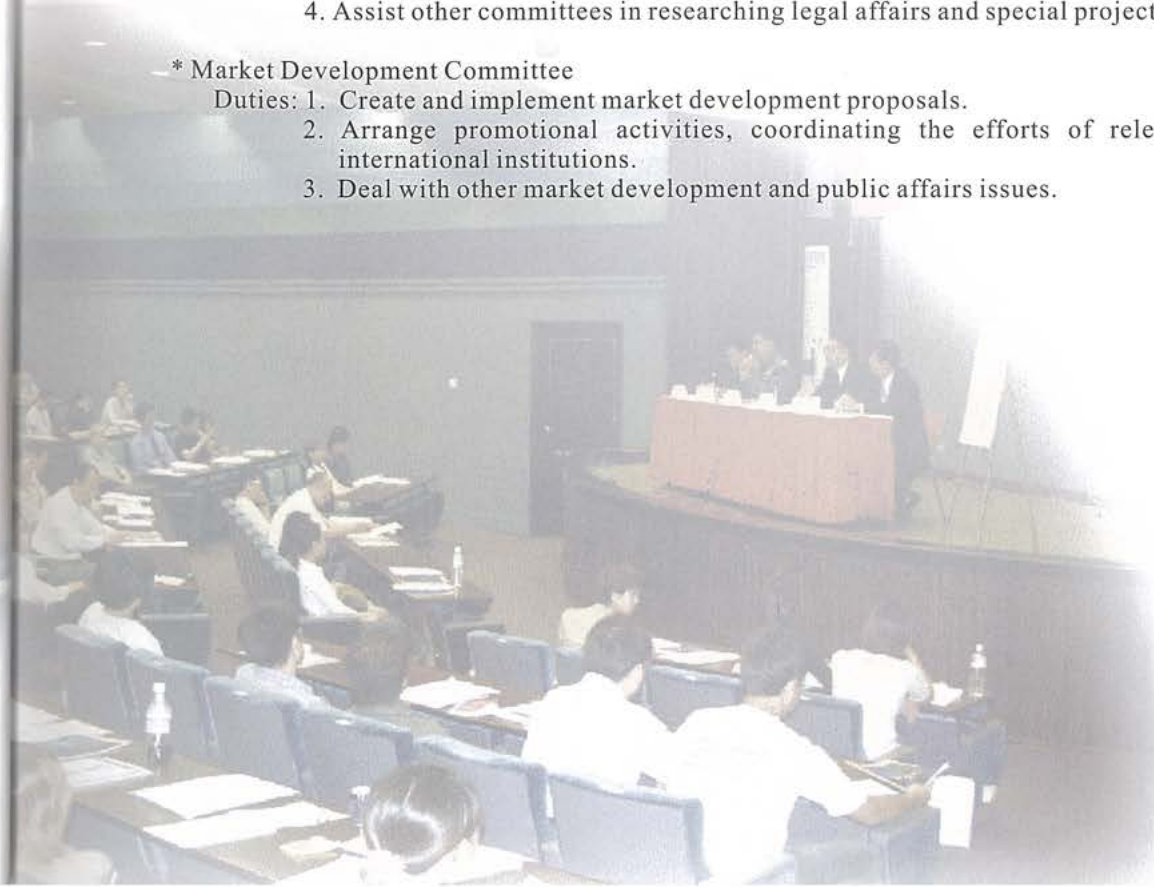
- Duties:
1. Develop, coordinate and improve futures-related businesses.
 2. Provide relevant services to futures investors.
 3. Define the committee's annual working schedule.
 4. Deal with other futures-related issues.

* Legal Affairs Committee

- Duties:
1. Gather and organize futures-related regulations and policies.
 2. Do research and analysis on futures-related regulations and policies.
 3. Make comparisons on the legal rights and obligations of futures companies and futures investors in different countries.
 4. Assist other committees in researching legal affairs and special projects.

* Market Development Committee

- Duties:
1. Create and implement market development proposals.
 2. Arrange promotional activities, coordinating the efforts of relevant domestic and international institutions.
 3. Deal with other market development and public affairs issues.



紀律委員會

- 職 掌：(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

- 職 掌：(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、考試及核發證照之處理事項。

財務委員會

- 職 掌：(1) 有關會費、事業費、及經費籌措、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。

調處委員會

- 職 掌：(1) 調處會員間因期貨交易所生之爭議。
(2) 調處會員與投資人間因期貨交易所生之爭議。
(3) 調處會員與期貨交易所與期貨結算機構因期貨交易或結算所生之爭議。

* Discipline Committee

- Duties: 1. Set self-discipline principles for member companies and monitor member companies to make sure the principles are not violated.
2. Define work ethics and morals for member companies.
3. Deal with other discipline-related issues.

* Education & Training Committee

- Duties: 1. Provide on-job training for employees at futures companies.
2. Arrange speeches, lectures, visits, entertainment and sporting activities.
3. Edit and publish futures-related documents.
4. Arrange futures trading promotional campaigns.
5. Provide other educational, training and related services to help people pass examinations and gain licenses.

* Financial Committee

- Duties: 1. Draft proposals about annual and business fee collection as well as other Association budget appropriation and management issues.
2. Audit the Association's various income and expense reports.
3. Deal with other financial issues.

* Coordination Committee

- Duties: 1. Mediate conflicts between member companies and the Taiwan Futures Exchange (TAIFEX).
2. Mediate conflicts between member companies and customers.
3. Mediate clearing disputes between member companies, the TAIFEX and futures clearing institutions



肆、會務報告

一、研議各項期貨業務與法規

1. 修訂自律公約，以提昇自律之精神

公會為督促會員發揚自律精神，提高商業道德，確實遵守法令，加強同業合作，共謀期貨市場之健全發展，修訂本會自律公約，由全體會員共同信守遵行之。

2. 建請期交所修訂「選擇權組合部位」之收費制度

有關期交所針對選擇權之組合部位收費（即經手費及結算費）係以兩個獨立部位計算，為降低會員公司營運成本，建議台灣期貨交易所調整選擇權投資組合之部位收費標準。

3. 訂定補助在職研究生辦法

本會為鼓勵業界讀書與研究發展風氣，本會視每年財務狀況適度提撥研究發展費用，對目前任職本會會員公司之從業人員就讀國內外大學在職碩士班以上之應屆畢業生之酌予補助。

4. 研議修訂期貨商防制洗錢注意事項範本

有關證期會希本會重新研議「期貨商防制洗錢注意事項範本」第二條第四項之疑似洗錢態樣表徵第三款、第四款、第五款及第九款乙案，本會已於九十一年七月一日函轉會員公司參照。

5. 修訂期貨商之從業人員申請工作證登記規章及營業處所設備條件

為配合金融控股公司法，檢討本會現行之期貨商從業人員申請工作證登記規章及期貨經紀商（含兼營期貨）營業處所及設備條件，以符合金融控股公司間跨業行銷之實施。

6. 建請期交所放寬選擇權部位限制

為達到選擇權市場的成長性、流動性與避險需求，建議期交所放寬選擇權部位限制至一千二百口。

7. 有關期貨商利用公司以外第三人為介紹人，並支付其佣金或其他報酬之行為乙案，研擬具體規範

為健全我國期貨市場之發展及秉持自律之精神，本會針對期貨商利用公司以外第三人為介紹人，並支付其佣金或其他報酬之行為乙案研擬具體規範，行文各會員公司遵行。

8. 建請證期會放寬期貨商以自有資金開設外幣存款帳戶相關規定

基於增加期貨商閒置資金之運用項目及因應國際化之趨勢與發展等因素之考量，本會依期貨商持有外幣存款金額之情況及需求，評估其可能面臨之匯兌風險，建議證期會放寬期貨商以自有資金開設外幣存款帳戶相關規定。

D. Association operations

Business development and regulation revisions in 2002

1. Revised the self-discipline charter to promote the self-discipline of its members

The Association revised its self-discipline charter and required all members to abide by the charter in a bid to ensure the full participation of member companies in promoting commercial ethics, enhancing cooperation between member companies and pursuing the healthy development of Taiwan's futures market.

2. Suggested to the Taiwan Futures Exchange (TAIFEX) to revise its fee-collection system for structured options holdings

The Association made suggestions to the Taiwan Futures Exchange (TAIFEX), asking it to combine the brokerage fee and settlement fee for options transactions so as to help member companies reduce operational costs.

3. Revised financial aid measures for graduate students

The Association appropriates a portion of its retained earnings every year for a financial aid, provided to the employees of member companies in pursuing graduate studies.

4. Proposed revisions to an anti-money laundering measures draft for futures companies

The Association, entrusted by the Securities and Futures Commission (SFC), proposed revisions to Section II, Article 4 of the "Anti-money Laundry Regulations for Futures Companies" draft, and sent the proposed revision to member companies on July 1, 2002 for their reference. The revision covers Clauses 3, 4, 5, and 9-2 of Article 4, Section II of the document.

5. Revised registration requirements of a futures company's employees and facilities

The Association reviewed its requirements for the registration of a member company's employees and facilities, so that they might meet the requirements of the Financial Holding Company Law on cross-sales practices among different financial businesses.

6. Suggested to the SFC an easing of restrictions on options holding position

The Association made a suggestion to the SFC to raise the single investor options holding position cap to 1,200 contracts so as to help boost the market transactions, market liquidity and the increasing need of options traders for hedging risks.

7. Proposed regulations on commissions for people who introduce clients to futures companies

To help boost healthy development and enforce the self-discipline practices of member companies, the Association proposed rules governing the commissions or other rewards a futures company pays to those who provide new client introduction services. The Association sent copies of the drafted rules to all member companies and requires them to follow the new rules.

8. Suggested allowing futures companies to open foreign currency savings accounts

To create greater flexibility for futures companies in managing their idle money, develop international businesses, and hedge risks associated with foreign exchange fluctuations, the Association suggested that the SFC allow futures companies to deposit their idle money in foreign currency savings accounts at banks.

9. 研擬期貨交易買賣報告書及月對帳單格式範本

為便利期貨交易人對於期貨交易買賣報告書及月對帳單之閱讀與核帳作業，以避免期貨交易糾紛之發生，本會研擬期貨交易買賣報告書範本，供會員公司參照。

10. 建議台灣期貨交易所新增期貨換月價差交易 (Spread) 功能

有關台灣期貨市場的換月轉倉動作，對客戶而言十分不便，且容易有價差損失，此點亦是法人機構低參與率的原因之一，有鑒於此，本會建議期交所新增期貨換月價差交易功能，以利客戶進行部位換月轉倉交易，進而吸引更多客戶從事期貨交易。

11. 建議台灣期貨交易所新增 Give-up 交易、結算機制

我國期貨市場刻正努力朝向國際化邁進，法人機構將扮演舉足輕重的關鍵角色；查新加坡摩根台指成交量有四成以上，皆由法人所貢獻，相較於台灣期貨市場法人之低參與度，差異甚大，為便利法人客戶進行期貨交易，本會建議台灣期貨交易所新增 Give-up 交易、結算機制，進而提高法人參與台灣期貨市場。

12. 建請主管機關開放本國專營期貨經紀商得以自有資金買賣國內選擇權契約

依八十九年七月廿五日 (89) 台財證 (七) 第四四五三四號函規定，本國專營期貨經紀商得以自有資金買賣國內上市股票、國內上市公司債及國內台股指數期貨契約…，惟考量選擇權交易其風險性低，且交易策略多元化，符合自有資金宜以保守穩健之運用原則，故建請證期會核准本國專營期貨經紀商得以自有資金買賣國內選擇權契約。

13. 建請主管機關開放證券商得以期貨交易人身分從事選擇權交易

依八十七年七月十日 (87) 台財證 (二) 第〇一七六一號函規定，證券商得以期貨交易人身分從事期貨交易，惟台指選擇權上市後，因函令僅定義期貨交易，而未含選擇權交易，故證券商無法以台指選擇權建立避險部位，經查外國專業投資機構及證券投資信託基金，皆已開放得以台指選擇權從事避險部位，三大法人中唯獨證券商受此限制，考量證券商建立避險部位之需求，並為活絡選擇權市場，建請證期會核准證券商得以選擇權建立避險部位。

14. 訂定期貨顧問事業相關草案

因應財政部開放期貨顧問事業，本會訂定「會員負責人及業務員登記事項作業要點」草案、「期貨顧問事業宣傳資料與廣告物管理辦法」草案及「期貨顧問事業營業處所及設備標準」草案，層報證期會。

15. 建請證期會開放本國期貨自營商承作國外期貨市場商品

本國期貨自營商之設立資本額為新台幣四億元，僅可交易本國單一期貨市場之商品，若本國市場之價格波動幅度不大，則自營商便無進場空間，其資金多半閒置，而無法有效發揮經濟效益，本會有鑒於此，建請證期會放寬本國期貨自營商之承作範圍，不僅可充分發揮其專長，進行各項跨市場之交易策略、嫻熟不同市場 (如日本、歐洲等) 之交易制度，同時也可藉由此機會，培養具國際觀及競爭力的專業人才，惟本會就風險控管的角度而言，建議主管機關採取階段性方式開放。

16. 修訂期貨業之負責人及業務員登記申請表格

建因應期貨顧問事業、期貨經理事業、金控公司之開放設立，本會修訂期貨業之負責人及業務員登記申請表格。



9. Proposed a standard format for daily and monthly futures trading reports

The Association proposed a standard format for the daily and monthly futures trading reports so as to help member companies streamline the report issuance procedure, make the information carried on the reports clearer to read, and therefore help avoid disputes with clients. The Association has sent a copy of the format to each member company for reference.

10. Suggested to the Taiwan Futures Exchange (TAIFEX) to streamline its monthly futures position transfer

The inconvenience in the monthly transfer of the futures and options holding positions as well as the possible losses involved is one of institutional investors' major concerns. The Association, therefore, proposed a new system to simplify the monthly position transfer in a bid to help stimulate the willingness of institutional investors in trading futures and options.

11. Suggested to the Taiwan Futures Exchange (TAIFEX) to create the Give-up Trading and relevant settlement service

Institutional investors play an important role during the internationalization course of Taiwan's futures market. The institutional investors accounted for around 40% of the Taiwan index futures traded on the Singapore International Monetary Exchange (SIMEX). The percentage in Taiwan is relatively low. The Association, therefore, suggested the TAIFEX to develop the Give-up Trading and relevant settlement service to facilitate the trading channels for institutional investors and help raise their interest in trading the futures in Taiwan.

12. Suggested to the Securities and Futures Commission (SFC) to allow specialized futures brokerage houses to trade options with their own funds

Regarding lower trading risks and investment diversification, the Association suggested the SFC to add options to the investment targets stated in the notification of the Ministry of Finance (MOF) published on July 25, 2000 (No. 44534) that the specialized futures brokerage houses can trade TSE-listed stocks, corporate bonds and Taifex futures with their own funds.

13. Suggested to SFC to allow securities firms to trade options

When the Ministry of Finance (MOF) published a notification (No. 01761) on July 10, 1999 authorizing securities firms to operate futures dealing business, options had not yet been launched in Taiwan. Since the TAIFEX has issued options, and since both foreign institutional investors and domestic mutual funds are allowed to trade options, the Association suggested that securities firms should also be able to trade options. This would provide another channels for securities firms by which to hedge the risks associated with their investments, and help boost options market transactions.

14. Set rules on futures investment consulting service

Encountering the MOF-proposed new business of futures investment consulting service, the Association has drafted the relevant regulations such as the registration of the company's owners and new business, advertisement and business promotion campaign as well as the standard facilities, and sent a copy of the draft to the SFC for its reference.

15. Suggested to the SFC to allow futures dealing company to trade foreign futures

Under the current regulations, a domestic futures dealing company, set up with a capital of (at least) NT\$400 million, can only trade in domestic futures. Sometimes, a domestic futures dealing company is not active in futures trading when the market performs steadily without sharp price fluctuations. At that point, it will have more idle money and won't be able to pursue high profits. The Association, therefore, suggested to the SFC to broaden the invested markets of the futures dealing companies to include the futures issued in foreign markets such as Japan and Europe. It can also help the futures dealing companies cultivate the talents with international operational experiences. The SFC, however, is advised to broaden the invested markets one by one so as to reduce the risks involved.

16. Revised the company's owners and business registration form

The Association revised the company's owners and business registration form in reaction to the new types of services offered by futures investment consulting, futures investment management and the establishment of financial holding.

二、會務活動報導

1. 推展期貨業務研究發展事項

九十年八月三十一日與期交所委請學者專家吳壽山教授研究「健全資本市場與期貨課稅制度之變革」已於九十一年四月結案，以供業界參考。

2. 參與國際交流會議

- (1). 亞洲論壇第四屆大會於九十一年一月十一日至十四日在北京舉行及第五屆年會於九十一年十月二十五日至二十七日在蘇州舉行，本會由王理事長等三位代表參加。
- (2). 為增進兩岸期貨市場交流，協助國內業界瞭解大陸期貨市場之發展現況與未來展望，本會於九十一年七月三十日至八月四日舉辦「大陸期貨市場考察團」並邀請國內業界參訪中國大連市及大連商品交易所。
- (3). 「FOW新加坡亞洲太平洋衍生性金融商品展覽會」於九十一年九月十六日至二十一日，本會王理事長及理事等代表參加。

3. 因應WTO後邀請國際期貨業者及國內專家探討期貨市場

為因應加入WTO後，台灣農產品市場之變化特邀請美國、日本、大陸及國內專家，介紹世界各主要農產品期貨市場之概況，以協助大宗物資業者了解期貨市場的運作機制，進而利用期貨交易，達到規避風險創造利潤之目的，並協助國內業者推廣商品期貨市場，於六月廿五日至廿六日主辦「大宗物資期貨市場研討會」。二場平均每場計一百二十七人參加。

4. 有關期貨服務事業會議

- (1). 五月十四日本會王理事長主持邀本會理、監事共同研商「期貨顧問事業及期貨經理事業之設置標準及管理規則等草案」。
- (2). 七月十一日邀請專營期貨商召開「推動我國期貨服務事業相關事宜會議」。
- (3). 十月一日召開「台灣期貨市場未來展望」座談會。
- (4). 十月九日召開「期貨顧問事業籌設」說明會。
- (5). 十一月五日召開「我國期貨服務事業未來展望」座談會。



II. Business in 2002

1. Helped boost futures market development

The Association and the Taiwan Futures Exchange (TAIFEX) jointly entrusted financial scholar Shiu-shan Wu to conduct research on how to "improve the taxation system on futures trading and strengthen the capital market" with reference to the futures industry. The project began on August 31, 2001 and was completed in April 2002.

2. Attended international conferences

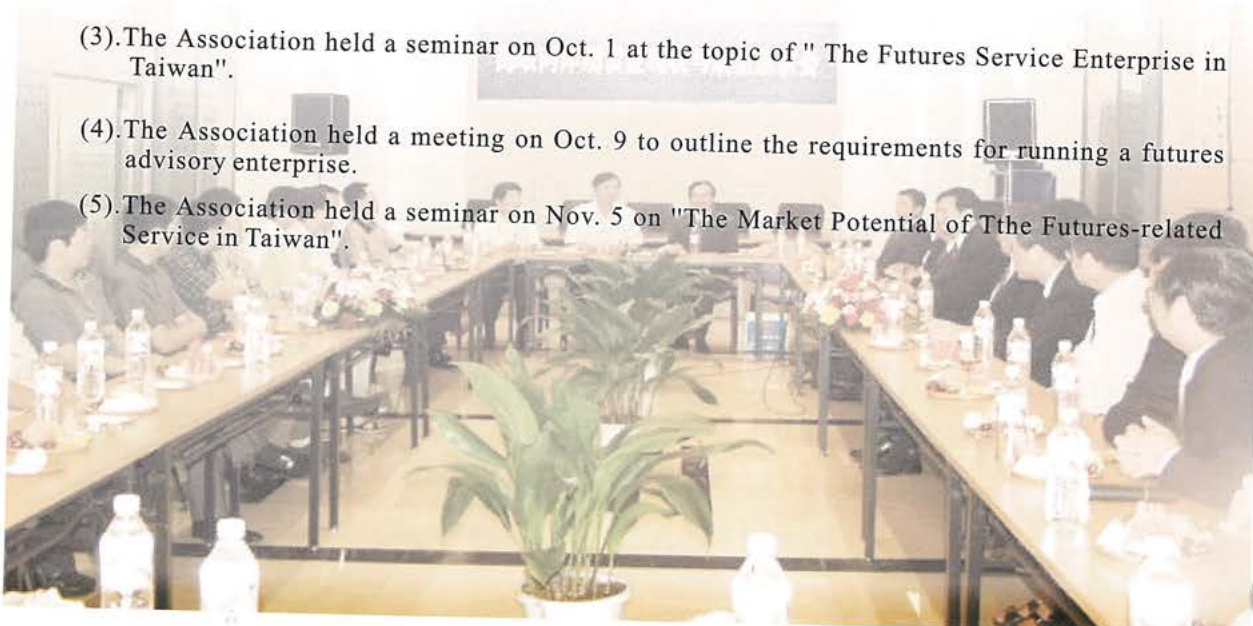
- (1). Chairman Steve Wang and two other high-ranking executives of the Association attended the 4th members' meeting of the Asian Forum, held in Beijing on January 11-14, 2002 and the 5th annual meeting of the same international organization in Suzhou on October 25-27, 2002.
- (2). The Association sent a delegation of Taiwan futures industry representatives to Dalian, Shandong and the Dalian Commodity Exchange, on July 30-Aug. 4, 2002, in an attempt to help boost cross-strait futures industry interaction and help deepen members' understanding of current futures market developments on the mainland.
- (3). Chairman Steve Wang and directors of the Association attended the "FOW Asia-Pacific Derivatives Exhibition" held in Singapore on Sept. 16-21, 2002.

3. Held international conferences on futures market development after Taiwan's entry into the WTO

To deal with the expanding financial market as well as the impact on the agricultural industry after Taiwan's WTO accession, the Association invited both Taiwan and overseas scholars from the U.S., Japan and mainland China to discuss the commodity futures market development in their countries during a seminar held on June 25-26, 2002. Attendance averaged over 125 participants per day.

4. Held meetings on futures service enterprises

- (1). Chairman Steve Wang invited directors and supervisors of the Association to meet on May 14, 2002 to discuss the criteria and regulations for futures advisory and managed enterprise.
- (2). The Association held a meeting on July 11, attended by specialized futures dealers, to discuss how to improve futures service enterprise in Taiwan.
- (3). The Association held a seminar on Oct. 1 at the topic of "The Futures Service Enterprise in Taiwan".
- (4). The Association held a meeting on Oct. 9 to outline the requirements for running a futures advisory enterprise.
- (5). The Association held a seminar on Nov. 5 on "The Market Potential of The Futures-related Service in Taiwan".



5. 強化會員公司資訊系統之功能

- (1). 為配合期貨市場12月份將新推出個股選擇權業務本會於十月份至十一月份舉辦四場，召集會員公司與中國嘉通、精奇、精業等資訊廠商研商有關個股選擇權前後臺資訊系統規格/建置/安裝報價系統等相關事宜。
- (2). 十一月十九日召開「國內期貨資訊系統問題面面觀」座談會。

6. 配合期貨市場新推出個股選擇權業務

十二月二十日邀請專、兼營期貨商召開「股票選擇權履約交割作業說明會」。

7. 協助業界推廣業務及人才招募活動

(1). 辦理菁英人才招募說明會

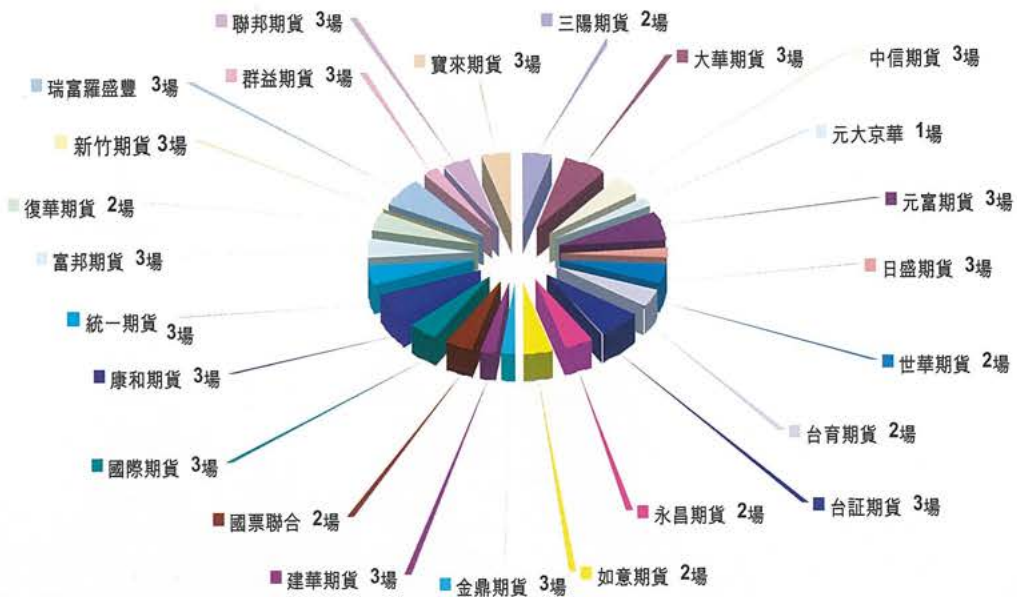
五月四日假外貿協會台北國際會議中心102室舉辦「前進期貨市場-人才招募群英會」，協助業界舉辦本項徵才活動，廣徵社會菁英人才加入，以提昇整體業界之素質。



(2). 辦理贏家傳承系列巡迴講座

邀請各專業期貨商協助辦理贏家傳承系列巡迴講座，四月份起至十二月份共舉辦65場。

九十一年度巡迴講座-各公司場次圖



5. Enhanced the information systems of member companies Helped the futures industry develop business and recruit talent

- (1). In order to deal with the new stock options product launched in December 2002, the Association met with member companies and three information systems providers EDS Taiwan, InfoTel Wireless Internet and Systexto to discuss how to install a new stock options trading system.
- (2). The Association held a seminar on Nov. 19 to discuss how to improve the current computerized futures trading and information systems used by member companies.

6. Developed stock options-related business

The Association held a meeting on Dec. 20 to outline the settlement system for stock options trading to representatives of futures companies and futures divisions of banks.

7. Helped the futures industry develop business and recruit talent

- (1). The Association held a meeting on May 4, 2002 at the Taiwan International Conference Center for member companies to outline their operations and major areas of business to the public. This was done in order to help recruit persons with interest in developing futures industry careers.
- (2). The Association arranged 65 seminars around the island from April to December 2002, having senior futures brokers to share their experiences with their juniors and others interested in futures transactions.




8. 合辦各項業務推廣活動

配合期貨交易所業務推廣活動，與證券公會、投信投顧公會共同舉辦之研討會。

- (1). 七月十七日至十八日假台北國際會議中心舉辦「股票選擇權研討會」。
- (2). 十月二日至三日假台北國際會議中心舉辦「期貨商國際化策略、國際合作暨結算機制之現況與趨勢研討會」。
- (3). 十一月十一日至十二日假台北喜來登舉辦「法人機構運用指數期貨及指數選擇權提昇資產管理績效研討會」。



9. 總統府九十一年假日開放參觀，配合財政部聯合金融相關單位辦理公益性宣導活動。

九十一年十月六日總統府廣場前由財政部聯合金融相關單位舉辦「歡喜慶光輝、快樂拼財金」宣導活動。

10. 宣傳期貨業務

- (1). 配合期交所九十年十二月份推出選擇權商品-臺指選擇權，本會與證券公會共同編印「選擇權交易業務員手冊」提供業務員及投資人參考。
- (2). 由於地下期貨商逾三分之一涉詐財，投資人受害，本會為保護交易人權益特製作海報，發送全省期貨、證券營業據點加以宣導。

保障您的權益
請找合法期貨商為您服務



貴公司以「高佣金」的方式招募員工，誘以種種詐術，從事外匯交易，造成客戶重大損失，甚至血本無歸。發現非法期貨業者，可逕向本會或相關檢調單位檢舉。

合法期貨商資料，請至證期會網站 www.sfc.gov.tw 或電 (02)87737303 台北市期貨商業同業公會查詢。

8. Sponsored several business promotion activities

The Association sponsored several futures-related activities held by the Chinese Securities Association and the Securities Investment Trust and Consulting Association of the ROC as follows:

- (1). "Stock options seminar" at Taipei International Conference Center on July 17-18
- (2). "Current and Development of globalization and international cooperation of futures companies and settlement system" seminar held on Oct. 2-3 in Taipei International Conference Center.
- (3). "Institution trade index futures and options to pursue higher returns on investment of portfolios" seminar held in Lai Lai Sheraton Hotel in Taipei

9. Joined the Ministry of Finance (MOF) to participate the "Visit the Presidential Office" activity on weekends and national holiday

The Association as well as other financial institutions joined Ministry of Finance (MOF) to participate the "Celebrate the Double Tenth and Boost Economic Development" held on Oct. 6 on the square in front of Presidential Office

10. Futures business promotion

- (1). To cope with the new stock options product, launched in December 2002, the Association and the Chinese Securities Association (CSA) jointly published the "Manual for Trading Stock Options" as a reference for futures brokers and the public.
- (2). Around one-third of underground futures companies were found to make money through cheating the public. The Association made several posters, urging investors to be wary, and distributed copies of these posters to member companies.



11. 本會定期刊物

1. 「期貨人季刊」，本會九十一年度起，每季定期出版，屬於期貨專業刊物，提供業界同仁一個專業知識與心得交流園地，也讓社會投資大眾，能藉由本專業刊物深入了解期貨。
2. 「期貨公會會訊」自九十一年十一月創刊，每月五日將發行，報導本會活動、服務會員之相關事宜及與業界有關之最新法規、政令等訊息與業界了解。



12. 本會榮獲「九十一年度工商暨自由職業團體評鑑為優等」及本會優秀會務人員獎

1. 由台北市政府舉辦之九十一年度工商暨自由職業團體評鑑，於第一類組三十四個團體中，獲評為優等。本會上次參加北市府的相同評鑑，僅得甲等，此次更上層樓，足證本會的整體表現，較往年有更顯著的進步。
2. 葉組長紫華，於九十年度致力於訓練課程之規劃、講師之安排聯繫、講義考題之編製、帶班人員之調度指揮，以最精簡之人力，辦理五十九期在職訓練課程，受訓學員共計4,579人，以及執行各項考察參訪等專案之協調洽商工作，負責盡職，堪為全體會務同仁之表率，因此獲選為本會九十一年度優秀會務人員。



11. Published regular journals

1. The Association published a quarterly, Taiwan Futures, beginning in 2002, to provide professional knowledge and current market information about the futures industry to futures company employees as well as the public.
2. The Association informed member companies about the latest regulations revisions, government policies and market information to member companies through a newsletter published on the fifth day of each month.

12. Honored as one of the best professional associations

1. The Association was rated by the Taipei City Government as one of the best professional associations in 2002, among 34 candidates, compared to a second-best rating received in 2001. This clearly demonstrates the progress the Association made in 2002.
2. Ms. Teu-hua Yeh was honored as the best-performing staff worker of the Association for her outstanding performance in 2001 in the arrangement of training course, structures, course materials and tests. She applied minimum human resources in arranging 54 courses in 2001, attended by a total of 4,570 persons.



三、辦理教育訓練

本會依期貨商負責人及業務管理規則第十一條規定，辦理在職訓練課程如下：

1. 在職訓練高階經理人班：

- (1). 第一季：九十一年三月二十九日及三十日假宜蘭礁溪蘭陽溫泉大飯店舉行，會員公司高階主管三十人報名參加。
- (2). 第二季：九十一年五月二十四日及二十五日假翡翠灣福華渡假飯店舉行，會員公司高階主管五十八人報名參加。
- (3). 第三季：九十一年九月二十七日至二十八日假陽明山天籟溫泉會館舉行，會員公司高階主管四十五人報名參加。
- (4). 第四季：九十一年十二月二十日及二十一日假桃園大溪鴻禧別館舉行，會員公司高階主管四十三人報名參加。

2. 在職訓練業務人員、交易結算、稽核人員班：

為配合會員公司本會分別於北、中、南各地區舉辦班次如下：

- (1). 台北地區：九十一年度開班共計二十八班，業務人員參訓人數為二二八八人，合格人數為二二七一人。
- (2). 桃園地區：九十一年度開班共計三班，業務人員參訓人數為一七四人，合格人數為一七四人。
- (3). 新竹地區：九十一年度開班共計三班，業務人員參訓人數為二一八人，合格人數為二一七人。
- (4). 台中地區：九十一年度開班共計十班，業務人員參訓人數為七四一人，合格人數為七四〇人。



III. Education and training

The Association provided several training programs for employees at futures companies in accordance with Article 11 of the Futures Business Management Act. The following are the major programs provided in 2002:

1. Courses for high-ranking executives

- (1). In the first quarter, courses were held at the Lan-Yang Spring Resort in Ilan County on March 29-30, and drew 30 participants.
- (2). In the second quarter, courses were held at the Howard Beach Resort Pacific Green Bay on May 24-25, and drew 58 participants.
- (3). In the third quarter, courses were held at the Yang Ming Shan Tien Lai Spring Resort on Yangminsshan on September 27-28, and drew 45 participants.
- (4). In the fourth quarter, courses were held at the Ta Shee Resort in the Taoyuan County on December 20 to 21, and drew 43 participants.

2. Courses for brokers, settlement staff and auditors:

- (1). Taipei area: 28 courses for 2002, participated in by 2288 persons, of whom 2271 earned certificates by the end of courses.
- (2). Taoyuan area: 3 courses for 2002, participated in by 174 persons, of whom all earned certificates by the end of courses.
- (3). Hsinchu area: 3 courses for 2002, participated in by 218 persons, of whom 217 earned certificates by the end of courses.
- (4). Taichung area: 10 courses for 2002, participated in by 741 persons, of whom 740 earned certificates by the end of courses.



- (5).嘉義地區：九十一年度開班共計一班，業務人員參訓人數為九六人，合格人數為九六人。
- (6).台南地區：九十一年度開班共計二班，業務人員參訓人數為二一一人，合格人數為二〇八人。
- (7).高雄地區：九十一年度開班共計九班，業務人員參訓人數為六八九人，合格人數為六八二人。
- (8).宜蘭地區：九十一年度開班共計二班，業務人員參訓人數為一一四人，合格人數為一一四人。
- (9).花蓮地區：九十一年度開班共計一班，業務人員參訓人數為四八人，合格人數為四八人。

3.期貨顧問職前訓練：

九十一年度第一、二期「期貨顧問職前訓練」於九十一年十二月十日及十一日順利舉行完畢，共計二十二家專營期貨商之從業人員四〇三人參加。



九十一年度期貨商稽核人員在職訓練
台北市期貨商業同業公會



- (5).Chiayi area: 1 course for 2002, participated in by 96 persons, of whom all earned certificates by the end of course.
- (6).Tainan area: 2 courses for 2002, participated in by 211 persons, of whom 208 earned certificates by the end of courses.
- (7).Kaohsiung area: 9 courses for 2002, participated in by 689 persons, of whom 682 earned certificates by the end of courses.
- (8).Ilan area: 2 courses for 2002, participated in by 114 persons, of whom all earned certificates by the end of courses.
- (9).Hualien area: 1 course for 2002, participated in by 48 persons, of whom all earned certificates by the end of courses.

3.Pre-job training for futures investment consultants

He Association arranged two pre-job training programs for the futures investment consultants, held on Dec. 10-11, 2002, with 403 participants from 22 member

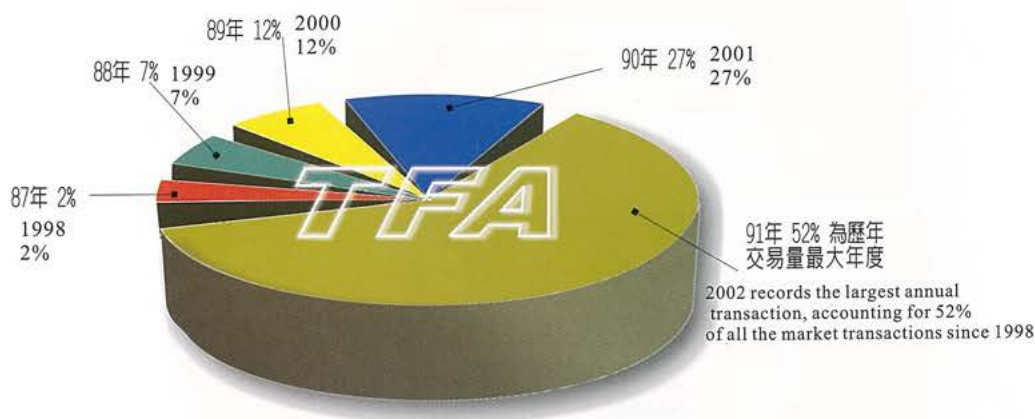


伍、台灣期貨市場概況 Taiwan futures market in 2002

一. 國內外期貨交易量分析

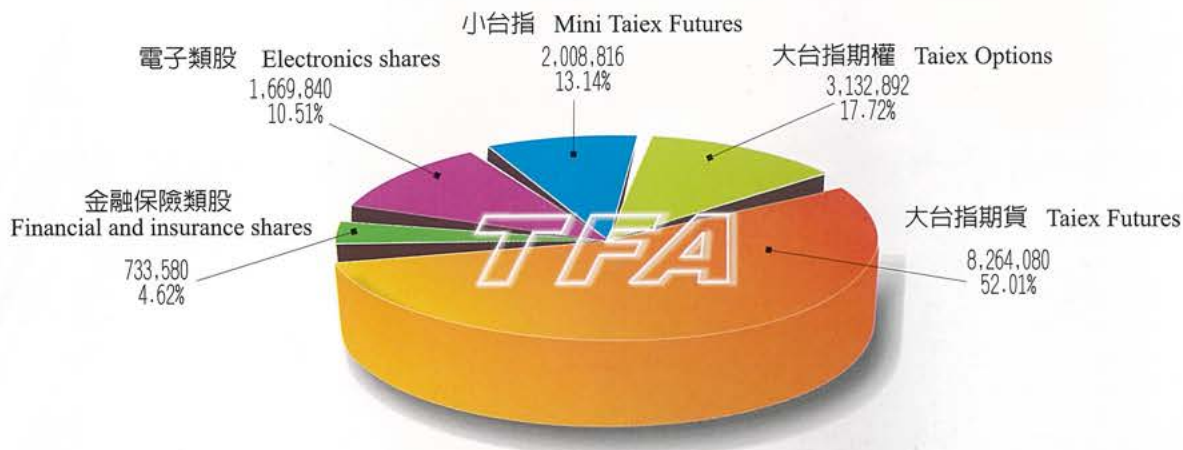
台灣期貨市場歷年交易量統計圖

Annual market transactions Percentage of each year since 1998



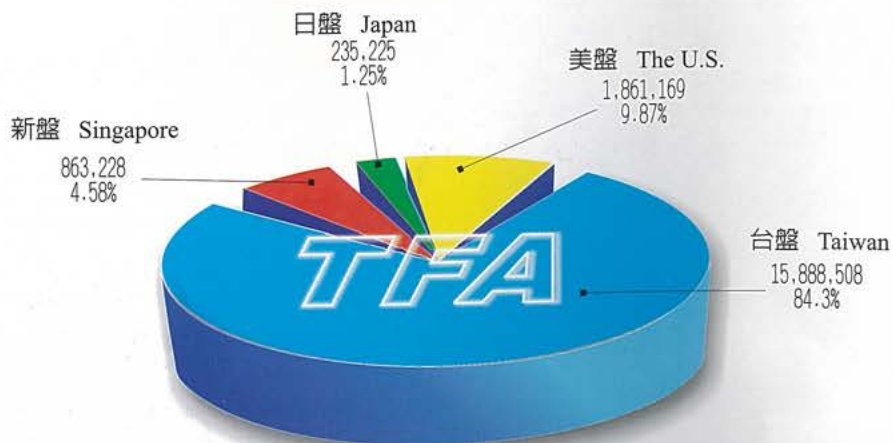
九十一年度國內期貨交易量統計圖

Annual transactions of Taiwan futures in 2002



九十一年度國內外期貨交易量統計圖

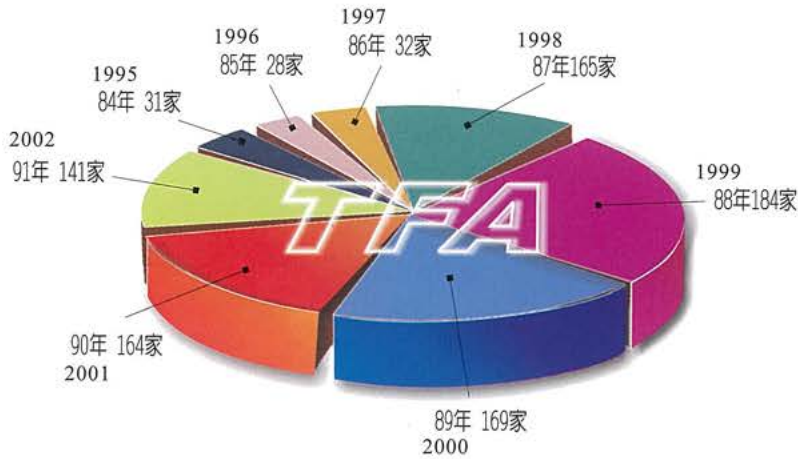
Annual transactions of Taiwan futures and foreign futures in 2002



二. 會員公司成長概況

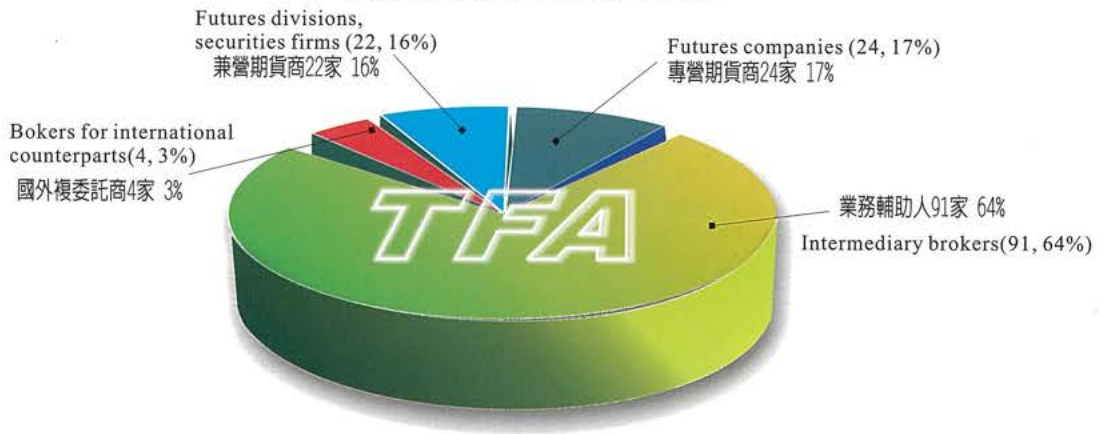
歷年會員公司家數統計圖

Number of member companies, 1995-2002



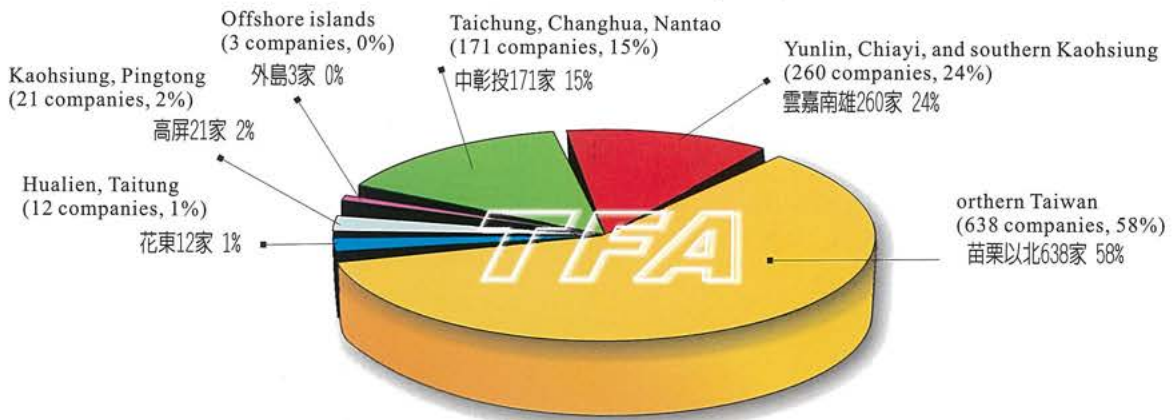
九十一年度會員公司類別統計圖

Categories of member companies in 2002



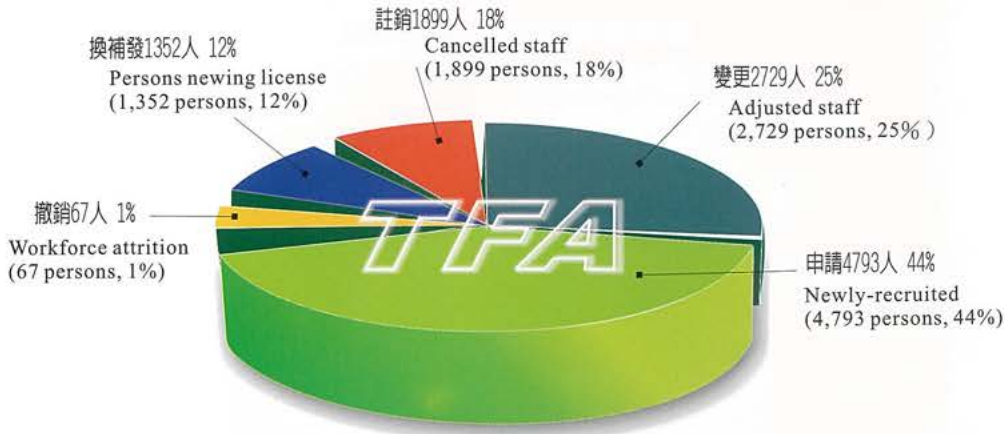
九十一年度期貨營業據點分佈圖

Locations of member companies, 2002



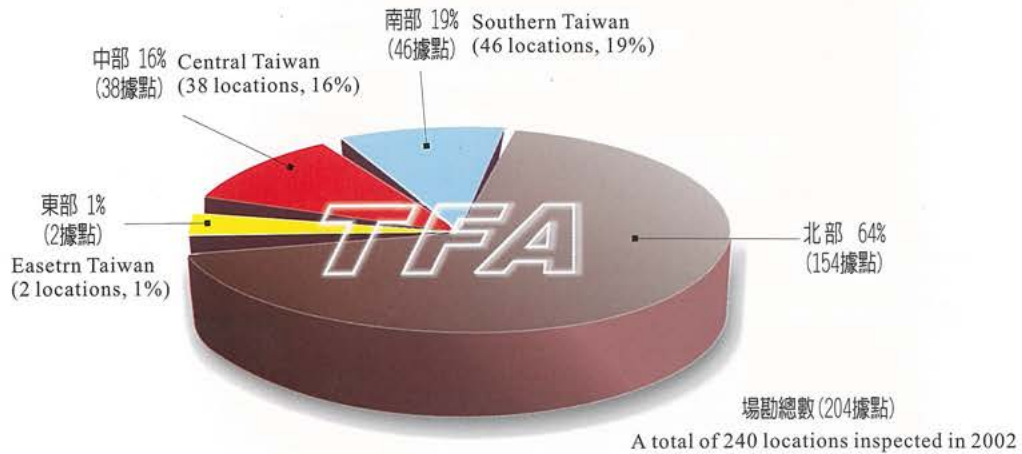
九十一年度全年會員公司從業人員登錄統計圖

Workforce of Taiwan futures industry, 2002



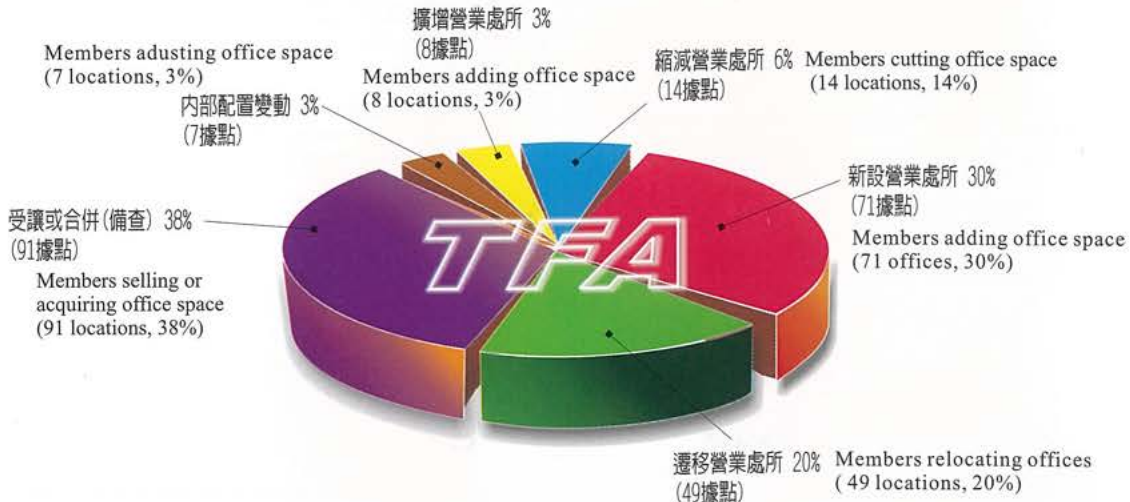
九十一年度場地勘察據點統計圖

Inspection of office space of member companies



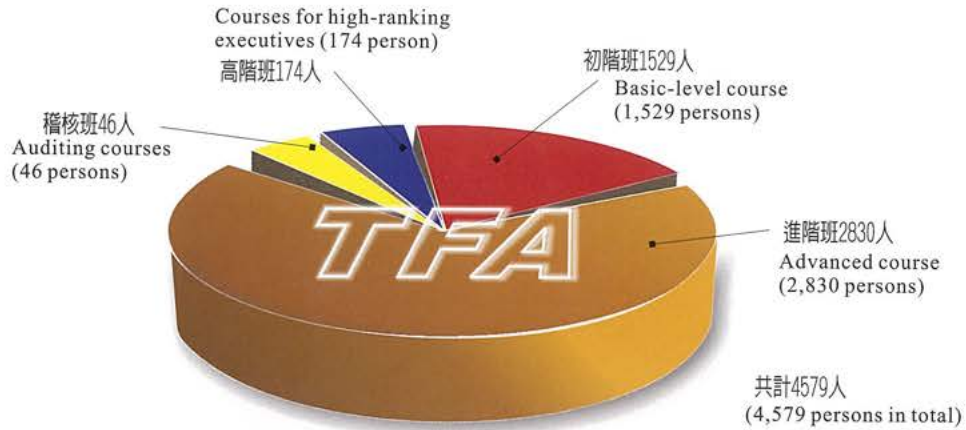
九十一年度場地勘察類別統計圖

Office space inspection in 2002

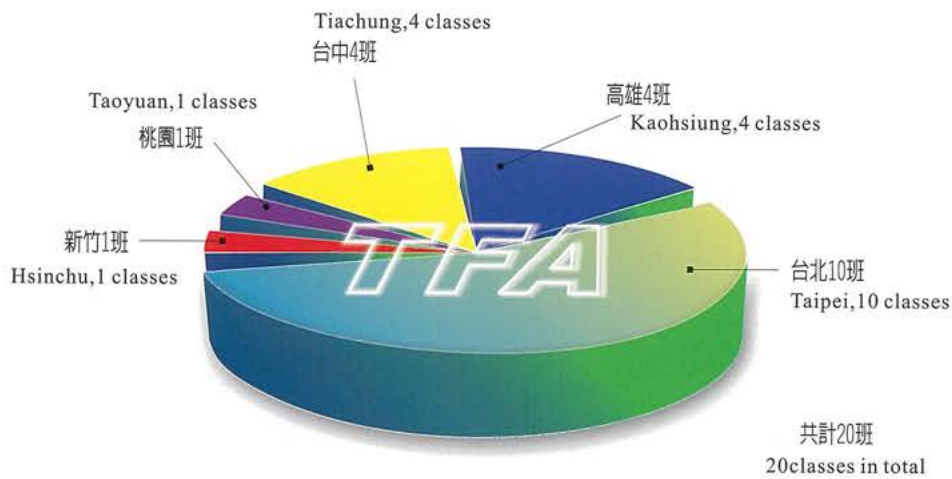


九十一年度期貨業務員在職訓練分佈圖

Annual transactions of Taiwan futures and foreign futures uin 2002

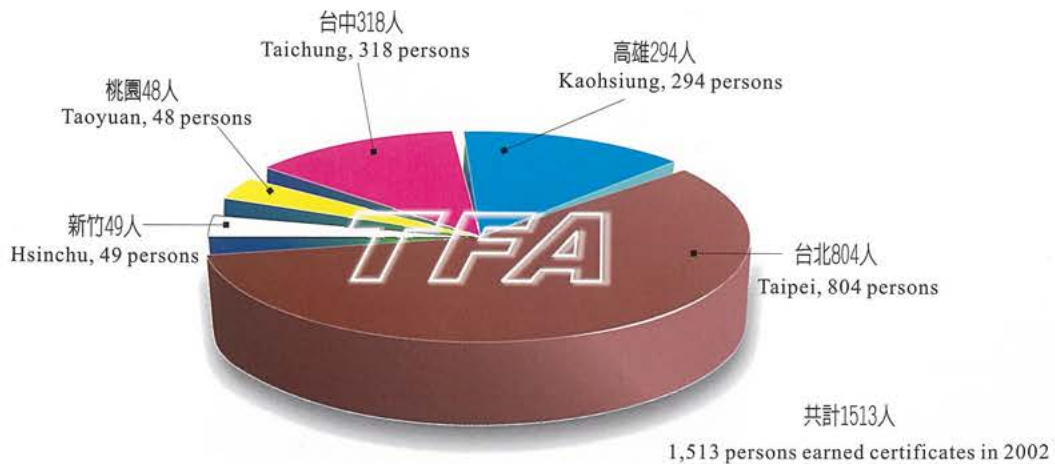


九十一年度期貨業務員在職訓練開班分佈圖-初階



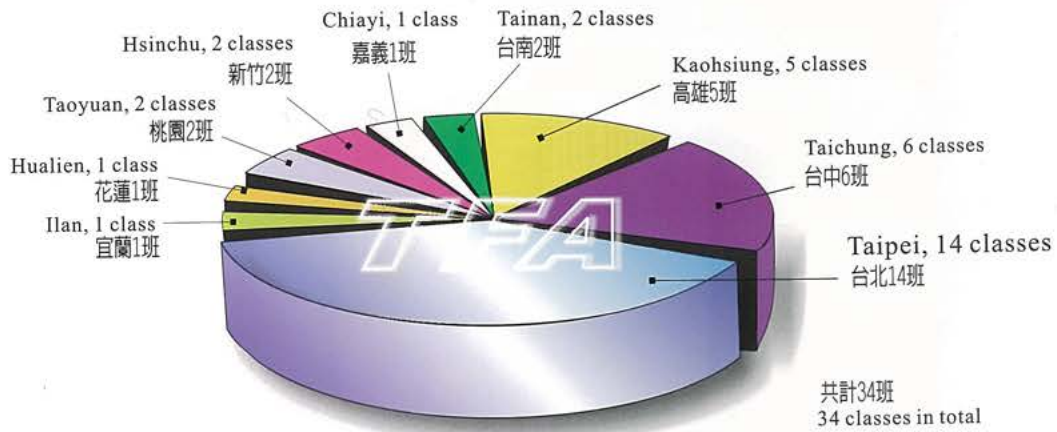
九十一年度期貨業務員在職訓練合格人數分佈圖-初階

Certificates granted to on-th-job training course participants in 2002



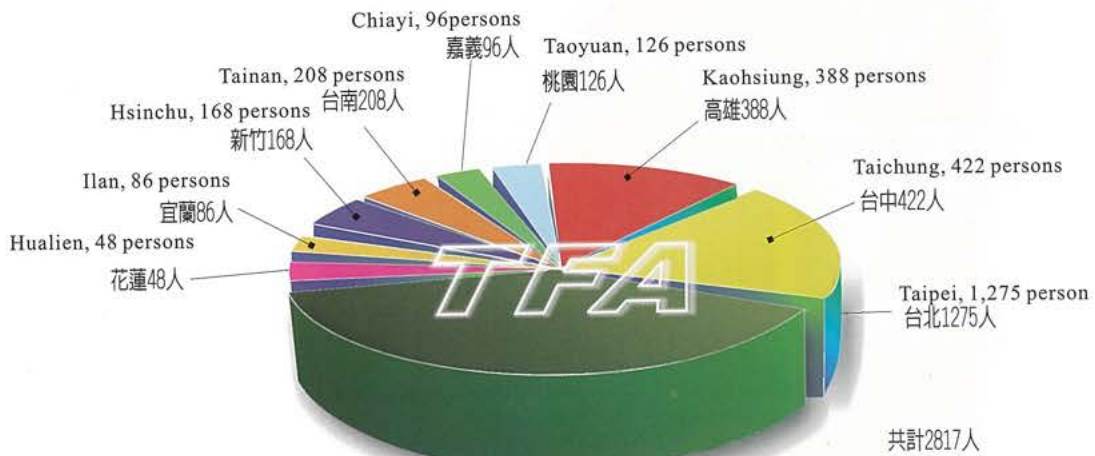
九十一年度期貨業務員在職訓練開班分佈圖-進階

Locations of advanced training courses in 2002



九十一年度期貨業務員在職訓練合格人數分佈圖-進階

Participants of advanced training courses in 2002



活動花絮



陸、未來展望

在業界、主管機關與期交所多年的努力下，九十一年度期貨市場新增加了26萬的開戶數，成長率創下歷史新高。今年度期貨經理事業可望成立；期交所也將陸續推出個股選擇權、利率期貨、ETF指數期貨等新的衍生性金融商品。在社會大眾對於期貨市場的熱度陡然升高，期貨界的營業版圖日漸擴張之際，期貨公會也將跳脫以往純粹行政作業服務；而轉型為一個積極協調業界，主動協助主管機關擬定業務辦法等作業的角色。

面臨如此重大的轉變，九十二年會務工作重點，分述如下：

一、會務工作e化 提高效率

運用電腦與網路新科技，是提高工作效率與發揮強大服務效能的最佳工具，公會勢必無法置身於外。每年超過一萬以上之工作證登錄、變更、註銷作業，數千人的在職訓練報名、變更、受訓資料查詢等，未來均將上網作業，以減少人為錯誤的困擾。其他的會務工作，如交易量統計、公文來往、會務宣導等等，也將全面導入e化系統。爾後期貨從業同仁只要透過網際網路進入公會的網站，就可自行完成登錄、報名、查詢等相關作業。在公會全面完成e化後，不但縮短服務所需的時間，更可以減少人為的疏失，同時達到降低作業成本，提高服務效率的功能。

同時公會要加強網站的建置規劃，豐富網頁的內容，在功能上達到服務的效能；同時希望藉著網路無遠弗屆與即時互動的特性，與業界、投資大眾及相關單位做更密切的交流與溝通。

二、會務流程標準化 通過 ISO 9001 認證

進行e化的工作前，首要的目標是會務流程標準化，因此我們在91年10月引進ISO 9001。首先將公會的每一項會務工作訂定出合理的、有效的流程，並且予以標準化，使每一項工作都有依循的標準與參考。透過ISO 9001的系統過程，經由定期的內外稽作業，發現流程的缺點，隨時修正，以達到滿足顧客需求的目標。

為了使公會內部的作業更為順暢、更具效能；避免無謂的浪費、人為的疏失，通過ISO 9001是重要的一項使命，目前我們已完成了書面審核，希望能順利取得ISO 9001的認證。

三、強化在職訓練的內涵

期貨顧問事業開放後，加上未來的經理事業，期貨商不再侷限於經紀業務。在新商品不斷的推出，交易商品日趨複雜化之際，又面臨來自金控的異業強力競爭，從業人員面臨了更大的挑戰，專業素養與能力的良窳，更攸關著公司經營的命脈。

在職訓練是主管機關賦予公會的重大任務，公會對於這項百年樹人的工作，始終抱持戰戰兢兢，如履薄冰的心情，不斷思考改進課程的內容。希望使將課程內容活潑生動、配合時事；課後能學以致用、符合需求。面對未來大環境的劇烈變化，我們在新的年度中，除了既有的在職訓練外，將持續開辦各類不同的專業課程，使整個在職訓練成為多元化、全面性的系統性課程，為業界培育全方位的專業人才。

四、爭取業務新空間

為了擴大期貨市場的利基及發展空間，公會特地編列預算，針對期貨市場的未來發展、新商品上市的可行性分析、管理制度的研修、法規的建議與修正等，以專案的方式，委託相關的學者或業界做專題研究。研究結果將提供為日後政府對期貨市場施政、期交所研發新商品，或是業界經營時的參考。

公會希望藉由學術及業界的專才為期貨市場把脈，經由事先透徹的研究，透過超然、客觀的專業立場，提供中肯、務實的建議及可行性方案，使期貨市場未來能有更多、更好的發展空間。

五、促進同業交流與聯誼

主管機關在修定與業界相關的法令或辦法時，十分重視業界的想法與實際需要，因此目前賦予公會參與期貨事業法規、辦法之擬訂，以及廣告宣傳物管理辦法及相關自律規則等制度的設計。未來公會的責任與工作愈加重要，且承擔著業界與主管機關之間的溝通橋樑，如何上情下達、溝通無礙，實有賴於同業間的團結、支持與合作。

以往公會舉辦座談會、聯誼會、考察團，創辦「期貨人」季刊及「期貨會訊」，無非是希望透過這些活動，達到同業相互溝通、意見交流及經驗交換。來年我們將延續這樣的精神，持續辦理此類活動。然而期貨市場的未來，是掌握在全體會員手中，唯有加強各委員會的功能，強化與會員公司的互動，增加所有會員的向心力，才能創造期貨市場長遠的未來。

F. Outlook for 2003

The number of new futures trading accounts, opened in 2002, hit a record high of 260,000 thanks to the efforts of governing authority Taiwan Futures Exchange (TAIFEX) as well as futures companies. In 2003, the new futures service enterprise will establish and the TAIFEX will also launch several new products such as stock options, interest rate futures, Exchange Traded Funds (ETF) and others. To cope with the rapidly growing futures market and the increasing zeal of investors for futures trading, the Association has been adjusting its role and operations, taking initiatives to coordinate relevant institutions and help work out measures to help the governing authority regulate the new businesses and market developments.

The Association has several major tasks for 2003, as follows:

1. To promote efficiency through computerization

The Association is not an exception in applying the modern computer and Internet technologies to promote its operational efficiency and service quality. Every year, its computer system manages nearly 100,000 entries for new work ID card registration, attrition and renewals as well as the registration of thousands of people for taking the training courses. It also applies a computerized system to streamline administration and record filing. The Internet application significantly simplifies the registration and information inquiry procedure, fulfilling the Association's goal to provide more efficient services at relatively low costs.

The Association will keep updating and enriching the information on its Web site to assure convenient access to information and help keeping close links between the Association and member companies, investors as well as relevant institutions around the world through effective interaction and communication on the Internet.

2. To streamline operations under ISO 9001 standards

With the goal to receive the ISO 9001 certificate in 2003, the Association applied ISO 9001 standards to its operations in October 2002. It first implemented a rational and effective business management procedure in accordance with ISO 9001 standards, and requires all staff workers to follow this procedure. It regularly checks internal auditing operations and, if necessary, makes instant corrections to any drawbacks and defects so as to ensure full compliance with the internationally recognized standards. It passed the application review process in 2002, and hopes to successfully receive the ISO 9001 certificate in 2003.

3. To strengthen the training courses

The futures industry in Taiwan will no longer be solely focused on brokerage after futures advisory and managed enterprises are launched. Employees at futures companies are facing several challenges amid rapid market growth, proliferation of new products and competition among financial holding companies. Professionalism and employee capability have become increasingly important for a company trying to sharpen its competitiveness.

Entrusted by the Securities and Futures Commission (SFC) to arrange various training courses for the employees working for its member companies, the Association is very serious about its task. It is continuously considering how to improve its existing training courses. While trying to make them more interesting, the Association also updates course handouts from time to time to make them reflect the changing market in a practical way.

Additionally, the Association will add new courses to its training programs in order to offer diversified and comprehensive courses to meet the needs of different groups of the workforce and help produce fully trained professionals.

4. To develop R&D projects

To help expand the futures market and create new niches with new products and businesses, the Association appropriates a special fund to support its R&D projects on market prospects, new product analysis, management adjustment and regulations revision. It entrusts certain projects to scholars and research institutions. Their reports are valuable references for government agencies and the TAIFEX when they formulate relevant policies or planning for new products or businesses, as well as for member companies when considering how to strengthen their operations.

The R&D projects are only entrusted to the scholars and research institutions that are able to conduct in-depth research and make objective comments and offer feasible suggestions on how to improve Taiwan's futures market.

5. To promote communication among member companies

To make its new policies and regulation revisions better meet the needs of futures companies and investors, the Securities and Futures Commission (SFC) invites the Association to join it during the procedure for making new policies and regulation revisions. The Association, for example, has drafted regulations for advertisement and business promotional campaigns as well as its self-discipline charter. While playing an increasingly important role in conveying the government's policies to futures companies and investors as well as reporting their own needs to the government, the Association will continue strengthening its interaction with member companies. In addition to arranging seminars, social activities and business-related delegations, the Association launched two new publications in 2002, the quarterly Futures Taiwan and monthly TFA Newsletter, to keep the member companies informed with the Associations' operations and business development plans, and to enable member companies to share their opinions and experiences. Since the development of Taiwan's futures market depends on the efforts of every member company, the Association will continue to maintain close interaction with its member companies to build a favorable business environment, both for them and for the development of Taiwan's futures market.

柒、大事紀

日期	事由
91.01.11	參加於北京舉行之第四屆亞洲論壇大會（1/11~1/14）。
91.01.30	召開本會第三屆理監事第七次聯席會議。
91.01.30	本會理監事及會務人員於六福皇宮舉辦歲末年終聯歡餐會。
91.03.27	召開本會第三屆理監事第八次聯席會議。
91.03.29	假礁溪鄉蘭陽大飯店舉辦第一期高階經理人班在職訓練（3/29~3/30）。
91.04.02	本月起邀請各專業期貨商協助辦理贏家傳承系列巡迴講座。
91.04.23	成立期貨商稽核人員聯誼會，並於本會會議室舉辦成立大會。
91.05.03	邀請各專業期貨商總經理假本會會議室舉辦「台指期貨及選擇權手續費收費座談會」。
91.05.04	由本會於外貿協會台北國際會議中心主辦「前進期貨市場-人才招募群英會」活動，協助業界發掘人才、廣徵群英，並以雙向溝通方式使社會各階菁英人才及新鮮人了解期貨，進而投入業界。
91.05.08	召開本會第三屆理監事第九次聯席會議。
91.05.14	由本會王理事長邀請各理、監事，假本會會議室共同「研商期貨顧問事業及期貨經理事業之設置標準及管理規則等草案」。
91.05.21	本會「期貨人」季刊（九十一年第一期創刊）出刊，於每季出刊。
91.05.24	假台北縣福華渡假飯店舉辦第二期高階經理人班在職訓練（5/24~5/25）。
91.06.05	假來來大飯店金冠廳召開本會第三屆第二次會員大會。
91.06.25	本會主辦大宗物資期貨市場研討會，於台灣大學第二活動中心國際會議廳舉行。
91.07.11	邀請專營期貨商召開「推動我國期貨服務事業相關事宜會議」。
91.07.17	本會、證券公會及期交所共同舉辦「股票選擇權研討會」，並假台北國際會議中心舉行（7/17~7/18）。
91.07.30	邀請國內業界舉辦「大陸期貨市場考察團」參訪中國大連市及大連商品交易所（7/30~8/4）。
91.08.09	召開本會第三屆理監事第十次聯席會議。
91.09.16	邀請本會理監事參加「FOW新加坡亞洲太平洋衍生性金融商品展覽會」（9/16~6/21）。
91.09.27	假陽明山天籟溫泉館舉辦第三期高階經理人班在職訓練（9/27~9/28）。
91.10.01	邀請專營期貨商及學者假於師範大學第二會議室召開「台灣期貨市場未來展望」座談會。

G. Major events in 2002

Date	event
Jan. 11	A delegation of the Association attended the 4 th members' meeting of the Asian Forum held on Jan. 11-14 in Beijing.
Jan. 30	The third boards of directors and supervisors held their 7 th joint meeting.
Jan. 30	Directors, supervisors and the staff workers of the Association held its year-end celebration party at The Westin Taipei.
March 27	The third boards of directors and supervisors held their 8 th joint meeting.
March 29	The Association held the first-quarter's on-job training courses for high-ranking executives at the Lan-Yang Spring Resort in Ilan County on March 29-30.
April 2	The Association began the seminar series for senior futures brokers to share their experiences with the public.
April 23	The auditors at futures companies formed their association and held the inauguration reception at the Association's meeting room.
May 3	The Association invited the presidents of member companies to discuss the brokerage fees for Taiex futures and options trading.
May 4	The Association held a talent-recruiting activity at the Taipei International Conference Center for representatives of member companies to meet with the people interested in developing their careers in the futures industry.
May 8	The third boards of directors and supervisors held their 9 th joint meeting.
May 14	Directors, supervisors and Chairman Steve Wang held a meeting to discuss the draft of the requirements and regulations for managing the futures investment consulting business.
May 21	The Association published the first issue of Taiwan Futures, a quarterly published every three months.
May 24	The Association held the second-quarter's on-the-job training courses for the high-ranking executives in Howard Beach Resort Pacific Green Bay.
June 5	The Association held the second general meeting of the 3 rd -term members at Lai Lai Sheraton Hotel.
June 25	The Association held a seminar on commodity futures in the international conference room of the National Taiwan University.
July 11	The Association held a seminar to discuss the issue of "How to improve the Futures Service Enterprise in Taiwan".
July 17	The Association, the Chinese Securities Association and the Taiwan Futures Exchange jointly held a stock options seminar at the Taiwan International Conference Center on July 17-18.
July 30	The Association organized a delegation to visit the Dalian city and Dalian Commodity Exchange in China.
Aug. 9	The third boards of directors and supervisors held their 10 th joint meeting.
Sept. 16	Directors and supervisors of the Association were invited to attend the FOW Asia-Pacific Derivatives Exhibition in Singapore (Sept. 27-28).
Sept. 27	The Association held the third-quarter's on-the-job training courses for high-ranking executives at the Yangmingshan Tien Lai Spring Resort in Taipei.
Oct. 1	The Association held a seminar on Taiwan futures market outlook in National Taiwan Normal University, participated by representatives of member companies and scholars.

日期	事由
91.10.02	本會、證券公會及期交所假台北國際會議中心共同舉辦「期貨商國際化策略、國際合作暨結算機制之現況與趨勢研討會」(10/02~10/03)。
91.10.06	與財政部及相關單位合辦九十一年總統府假日開放參觀活動，並舉辦公益性「歡喜慶光輝、快樂拼財金」宣導活動。
91.10.09	召開「期貨顧問事業籌設」說明會。
91.10.09	召集會員公司研商有關個股選擇權，前後櫃資訊系統規格/建置(精奇、精業)等相關事宜。
91.10.15	召集會員公司研商有關個股選擇權，前後櫃資訊系統規格/建置(中國嘉通)等相關事宜。
91.10.16	召開本會第三屆理監事第十一次聯席會議。
91.10.24	召集會員公司協調個股選擇權電腦資訊安裝報價(中國嘉通、精奇、精業)等相關事宜。
91.10.25	參加於蘇州舉行之第五屆亞洲論壇大會(10/25~10/27)。
91.11.01	本會導入ISO9001品質管理系統。
91.11.05	召開「我國期貨服務事業未來展望」座談會。
91.11.05	本會「期貨公會會訊」創刊，並定期於每月五日出刊。
91.11.07	召集會員公司協調個股選擇權電腦資訊安裝報價(中國嘉通)等相關事宜。
91.11.11	本會、期交所、證券公會及投信投顧公會假台北喜來登共同舉辦「法人機構運用指數期貨及指數選擇權提昇資產管理績效研討會」(11/11~11/12)。
91.11.13	邀請協辦之會員公司召開「贏家巡迴講座」活動檢討會。
91.11.13	本會協助二十三家期貨商統一送件申請增設期貨顧問業務許可。
91.11.14	期貨商申請期貨顧問業務許可，計有二十二家經證期會核准許可。
91.11.19	邀請會員公司召開「國內期貨資訊系統問題面面觀」座談會。
91.12.10	假師範大學舉辦第一、二期「期貨顧問」職前訓練(12/10~12/11)
91.12.14	假大溪鴻禧別館召開本會第三屆理監事第十二次聯席會議。
91.12.14	假烏來那魯灣渡假飯店舉辦「內部稽核人員」在職教育訓練(12/14~12/15)
91.12.20	邀請專、兼營期貨商召開「股票選擇權履約交割作業說明會」。
91.12.20	假大溪鴻禧別館舉辦第四期高階經理人班在職訓練(12/20~12/21)。

Date	event
Oct. 2	The Association, the Chinese Securities Association and the Taiwan Futures Exchange jointly held a conference on "Current and Development of globalization and international cooperation of futures companies and settlement system" at the Taipei International Conference Center.
Oct. 6	The Association joined the Ministry of Finance to participate the activity for visiting the Presidential Office on weekends and national holidays.
Oct. 9	The Association held a meeting to discuss the issue of "Futures Advisory Enterprise Preparatory".
Oct. 9	The Association held a meeting to brief the requirements for running futures investment consulting business.
Oct. 15	The Association met with member companies and information system providers to discuss the new information system needed for trading the stock options.
Oct. 16	The third boards of directors and supervisors held its 11 th joint meeting.
Oct. 24	The Association held a meeting for member companies to discuss the costs for installing the new information system needed for stock options trading.
Oct. 25	A delegation of the Association attended the 5 th annual meeting of the Asian Forum held in Suzhou on Oct. 25-27.
Nov. 1	The Association applied the ISO9001 quality control system to its operations.
Nov. 5	The Association held a conference to discuss the issue of "The Vision of The Futures Service Enterprise in Taiwan".
Nov. 5	The Association published the first issue of its monthly newsletter, published on the fifth day of each month.
Nov. 7	The Association held another meeting to discuss with member companies about the price for installing the new information system needed for stock options trading.
Nov. 11	The Association, Taiwan Futures Exchange, Chinese Securities Association and the Securities Investment Trust and Consulting Association jointly held a conference on how institutional investors trade the index futures and options to pursue higher returns of their investment portfolios at Lai Lai Sheraton Hotel in Taipei.
Nov. 13	The Association held a meeting for the Members of the Association to review the results of "The Winners' Talk Seminars - sharing the experiences with the public".
Nov. 13	The Association helps 23 member companies filed the license application for running futures advisory service.
Nov. 14	All the 22 applicants gained the approvals from the Securities and Futures Commission for their applications for running the futures advisory services.
Nov. 19	The Association held a meeting to discuss with member companies on how to improve the information system for futures trading.
Dec. 10	The Association held the pre-job training courses for futures advisory services.
Dec. 14	The third boards of directors and supervisors held their 12 th joint meeting.
Dec. 14	The Association held the on-the-job training course for the auditors serving with member companies.
Dec. 20	The Association held a seminar on the settlement system for stock options trading.
Dec. 20	The Association held the fourth quarter's on-the-job training courses for the high-ranking executives at member companies at the Ta Shee Resort in Taoyuan County.

捌、財務報告 Financial report

台北市期貨商業同業公會 (Taipei Futures Association)

資 產 負 債 表 (Balance sheet)

中華民國 九十一年十二月三十一日 (As of Dec. 31, 2002)

單位：新台幣元 (Unit:NT\$1)

資 產 (Assets)	金 額 (Amount)		%	負債及餘絀 (Liability and balance)	金 額 (Amount)		%
	小 計 (Amount of separate item)	合 計 (Total)			小 計 (Amount for separate item)	合 計 (Total)	
流動資產 (Current assets)		80,921,190	70.20%	流動負債 (Current liability)		6,007,628	5.21%
現 金 (Cash)	20,000			短期借款 (Short-term loans)	-		
銀行存款 (Bank deposit)	6,098,340			應付票據 (Checks payables)	1,992,225		
有價證券 (Securities)	74,000,000			應付款項 (Payables)	3,819,967		
應收票據 (Checks receivable)	208,463			代收款項 (Collections)	141,306		
應收款項 (Receivables)	512,965			應納稅額 (Tax liabilities)	54,130		
預付款項 (Pre-paid expense)	81,422			其他負債 (Other liabilities)		59,239,357	51.39%
留抵稅額 (Reserved tax)	-			存入保證金 (Deposits payable)	59,100,000		
基 金 (Fund)		28,900,930	25.07%	暫收款 (Advance collection)	139,357		
會務發展準備基金-專戶存款 (Development fund deposited at bank)	15,019,289			銷項稅額 (Tax payables)	-		
退休準備基金-專戶存款 (Pension fund-deposited at bank)	5,893,277						

會務作業系統電腦化基金-專戶存款 (Office computerization fund at separate account)	7,988,364			負債總額 (Total liability)	65,246,985	56.60%
固定資產(Fixed assets)		4,704,779	4.08%	基金及餘絀 (Total of fund and surplus)		
土地(Land)	-			基金(fund)	33,718,171	29.25%
房屋及建築(Buildings)	-			會務發展準備基金 (Development fund)	15,072,217	
交通運輸設備 (Transportation Equipment)	652,381			退休準備基金 (Pension fund)	5,915,683	
事務器械設備 (Machinery & equipment)	6,600			資產基金 (Assets fund)	4,704,779	
儀器設備 (Precision instruments)	2,340,780			會務作業系統電腦化基金 (office computerization fund)	8,025,492	
辦公設備 (Office equipment)	848,388			餘絀(Surplus)	16,310,912	14.15%
雜項設備(Miscellaneous)	250,953			累計餘絀 (Accumulated surplus)	2,536,588	
租賃物改良設備 (Leasing improvement)	605,677			本期餘絀 (Surplus for 2001)	13,774,324	
其他資產(Other assets)		749,169	0.65%	基金及餘絀總額 (Total of fund and surplus)	50,029,083	43.40%
存出保證金 (Deposits Receivable)	679,700			負債基金及餘絀總額 (Total of liability, fund and surplus)	115,276,068	100.00%
暫付款(Advanced payments)	60,000					
退項稅額(Tax receivable)	9,469					
資產總額 (Total)		115,276,068	100.00%			

附註(note):

銀行存款世華銀行活存(savings account at United World Chinese Commercial Bank)	#53030004023	NT\$ 5,843,019
世華銀行活存(savings account at United World Chinese Commercial Bank)	#53030007308	NT\$ 107,966
世華銀行活存(savings account at United World Chinese Commercial Bank)	#53030009220	NT\$ 137,355
世華銀行支存(checking account at United World Chinese Commercial Bank)	#53010002253	NT\$ 10,000

有價證券(securities) 定期存款(certificate of deposits) NTS74,000,000

應收款項(cash receivables)	
利息(interest)	NT\$ 284,865
業務費(business fees)	NT\$ 0
在職訓練(on-job training fees)	NT\$ 228,100

台北市期貨商業同業公會 (Taipei Futures Association)

收支決算表 (Income/expense statement)

中華民國九十一年一月一日至十二月三十一日 (Jan. 1-Dec. 31, 2002)

單位：新台幣元 (Unit:NT\$1)

科目 (Item)	決算數 (Actual amount)	預算數 (Estimated amount)	決算與預算比較數 (Gap between actual amount and estimated amount)		備註 (Note)
			增加 (Increase)	減少 (Decrease)	
經費收入 (Income)	\$55,871,737	\$55,799,200	72,537	-	
入會費收入 (Membership fee)	16,000	-	16,000	-	
常年會費收入 (Annual fee)	1,708,667	1,744,000	-	35,333	
業務費收入 (Business fee)	40,266,237	35,154,000	5,112,237	-	
利息收入 (Interest)	2,340,266	2,190,900	149,366	-	包括會員自律基金孳息 (including the interest of self-self-discipline funds)
捐助收入 (Donation)	-	-	-	-	
委託收入 (Income of trust projects)	9,935,002	13,790,300	-	3,855,298	辦理在職訓練收入 (The income generated through providing various on-job training programs)。
專案計劃收入 (Income of special projects)	125,713	2,000,000	-	1,874,287	辦理研討會收入 (The income generated by arranging various conferences and seminars)。
雜項收入 (Miscellaneous)	1,479,852	920,000	559,852	-	辦理工作證、會員公司場地勘查等項收入 (The income of the service fees charged for work certificates and inspecting the offices of member companies)。
經費支出 (Expense)	42,097,413	55,799,200	-	13,701,787	
薪資 (Salary)	12,196,328	13,200,000	-	1,003,672	
保險費 (Insurance)	804,757	875,208	-	70,451	
訓練費 (Trainee)	157,700	200,000	-	42,300	
績效獎金 (Workawards)	336,000	-	336,000	-	
文具用品 (Stationery)	57,397	120,000	-	62,603	
書報雜誌費 (Newspaper & magazines)	26,046	36,000	-	9,954	
印刷費 (Printing)	466,918	600,000	-	133,082	
水電燃料費 (utilities)	131,017	132,000	-	983	
旅運費 (Travel)	316,437	389,400	-	72,963	
郵電費 (Mail and express delivery)	399,232	540,000	-	140,768	
大樓管理費 (Building management)	186,944	204,000	-	17,056	

加班費 (Overtime pay)	40,575	138,240	-	97,665	
租金 (Rental)	2,562,051	2,649,600	-	87,549	
修繕維護費 (Maintenance)	106,957	100,000	6,957	-	
公共關係費 (Expense for public relations)	666,765	600,000	66,765	-	
會議費 (Conference expense)	3,192,029	3,000,000	192,029	-	
聯誼活動費 (Expenses for activities)	592,553	600,000	-	7,447	
業務推廣費 (Expenses for business promotion)	1,785,202	2,000,000	-	214,798	
研究發展費 (R&D expenses)	400,000	1,000,000	-	600,000	
接受委託業務費 (Expenses for trusted projects)	6,574,765	11,668,496	-	5,093,731	辦理在職訓練支出 (The expenses for arranging on-job training courses)。
會刊編印費 (Expense for Association's journals)	1,157,699	1,000,000	157,699	-	
購置費 (Procurement)	1,516,814	2,100,000	-	583,186	
繳納團體會費 (Membership fees at other organizations)	50,100	50,100	-	-	
專案計劃支出 (Expenses for special projects)	443,645	1,800,000	-	1,356,355	辦理研討會支出 (expenses for arranging conferences and seminars)。
雜項支出 (Miscellaneous)	184,002	286,316	-	102,314	
利息支出 (Interest costs)	-	-	-	-	
社會服務費 (Employee welfare)	100,000	100,000	-	-	
職工福利金 (Employee welfare)	350,000	350,000	-	-	
預備金 (Advance cash)	-	5,579,920	-	5,579,920	
業務發展準備基金 (Reserve for development fund)	5,579,920	5,579,920	-	-	依據工商團體財務處理辦法第二十一條規定提列10% (The association appropriates 10% of its income as employee pension fund in accordance with clause 21 of the financial management act for commercial and industrial associations.)
退換準備基金 (Reserve for pension fund)	1,715,560	900,000	815,560	-	依據工商團體財務處理辦法第二十一條規定提列二個月。 (The Association appropriates a fund equivalent to two-month salaries of employees as the pension fund in accordance with clause 21 of the financial management act for commercial and industrial associations.)
期初餘 (Total)	\$13,774,324	\$-			

玖、會員名錄 Directory of members

公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
世華期貨股份有限公司 Seaward Futures Corp.	106台北市敦化南路二段26號1樓 1F, 26 Sec. 2, Tun Hwa S.Rd., Taipei 106, Taiwan	02-27087989	02-27087967	www.onrich.com.tw
建華期貨股份有限公司 Sino Pac Futures Corp.	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	02-23894228	www.spf.com.tw
中信期貨經紀股份有限公司 KGI Futures Co., Ltd.	100台北市博愛路35號8樓 8F, No.35, Boai Rd., Taipei 100, Taiwan	02-23619889	02-23712867	www.KGI-futures.com.tw
國票期貨經紀股份有限公司 Waterland Futures Co., Ltd	106台北市敦化北路56號地下一樓 B1, 56, Tun Hwa N. Rd., Taipei 106, Taiwan	02-27786060	02-27715522	www.IBUS.com.tw
元大京華期貨股份有限公司 Yuanta Core Pacific Futures Co., Ltd.	104台北市南京東路三段225號12樓 12F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	www.ycpf.com.tw
日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104台北市南京東路二段111號4樓 4F, 111 Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	www.jihsunfutures.com.tw
統一期貨股份有限公司 President Futures Corp.	100台北市羅斯福路二段100號8樓 8F, 100 Sec.2, Luo Sy Fwu Rd., Taipei 100, Taiwan	02-23648338	02-23642395	www.pfcf.com.tw
金鼎期貨經紀股份有限公司 Taiwan International Futures Corp.	105台北市敦化南路二段97號地下一樓 B1, 97, Sec. 2, Tun Hwa S. Rd., Taipei 105, Taiwan	02-27084567	02-27064689	www.intral.tisc.com.tw
聯邦期貨股份有限公司 Unionbank Futures Corp.	104台北市南京東路二段137號3樓之1 3F-1, 137 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25162777	02-25162098	www.ufc.com.tw
大華期貨經紀股份有限公司 Grand Cathay Futures Corp.	100台北市忠孝西路一段100號13樓 13F, 100 Sec.1, Jungshiau W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	www.gcsc.com.tw
永昌期貨經紀股份有限公司 Yung Chong Futures Co., Ltd.	105台北市民生東路四段54號3樓之9 3F-9, 54 Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	www.entrust.com.tw
新竹期貨經紀股份有限公司 Hsinchu Futures Corp.	300新竹市四維路130號3樓之1 3F-1, 130, Szu Wei Rd., Hsinchu 300, Taiwan	03-5240060	03-5243060	www.hsinchu.com.tw
元富期貨股份有限公司 Master Link Futures Corp.	106台北市復興南路一段209號4樓 4F, 209 Sec.1, Fushing S., Taipei 106, Taiwan	02-27213458	02-27314320	www.masterlink.com.tw
如意期貨經紀股份有限公司 Fortune Futures Co., Ltd.	106台北市信義路四段236號4樓 4F, .236 Sec.4, Shi Yi Rd., Taipei 106, Taiwan	02-27008878	02-27097464	
群益期貨經紀股份有限公司 Capital Futures Corp.	110台北市信義區松仁路97號4樓 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87800099	02-87893782	www.capitalfutures.com.tw
寶來期貨股份有限公司 Polaris Futures Co., Ltd.	104台北市復興北路420號2樓 2F, 420 Fushing N., Taipei 104, Taiwan	02-25133888	02-25133899	futures.polaris.com.tw
台育期貨經紀股份有限公司 Tai Yu Futures Corporation	106台北市復興北路167號4樓 4F, 167 Fushing N., Taipei 106, Taiwan	02-25467666	02-25469222	www.futures.etop.com.tw
台証期貨經紀股份有限公司 Taiwan Futures Co., Ltd.	104台北市南京東路二段123號9樓 9F, 123 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25002980	02-25074434	www.twfc.com.tw
三陽期貨股份有限公司 Sun Futures Co., Ltd.	104台北市民生東路一段51號9樓之1 9F-1, 51 Sec.1, Ming Sheng E. Rd., Taipei 104, Taiwan	02-25638999	02-25233351	www.sunfutures.com.tw
富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號2樓 2F, 9 Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23701121	www.fbf.com.tw
復華期貨股份有限公司 Fuh-Hwa Futures Co., Ltd.	100台北市忠孝西路一段4號4樓 4F, 4 Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23802180	02-23757739	www.fuhwa.com.tw
瑞富羅盛豐期貨股份有限公司 REFCO Taiwan Co., Ltd.	105台北市敦化南路一段2號5樓 5F, 2 Sec.1, Tun Hwa S. Rd., Taipei 105, Taiwan	02-27728989	02-27819506	www.refco.com.tw
康和期貨股份有限公司 Concord Futures Co., Ltd.	110台北市基隆路一段176號B1 B1, 176 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-27681588	02-37651498	www.concords.com.tw

公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
國際期貨股份有限公司 International Futures Co., Ltd.	106台北市忠孝東路四段563號B1-1 B1-1, 563, Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-87878080	02-27681865	www.inter.futures.com.tw
富達德盟期貨經紀股份有限公司台灣分公司 FDM 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	02-27176018	02-27137648	www.admis.com
富曼氏期貨股份有限公司台灣分公司 Man Financial Inc. Taiwan Branch	105台北市敦化南路一段1號6樓之A 6F-A, 1 Sec.1, Tun Hwa S. Rd., Taipei 105, Taiwan	02-25798118	02-25796816	
威高華大期貨經紀有限公司台灣分公司 Bullion & Futures Ltd., Taiwan Branch	105台北市民生東路三段109號10樓 10F, 109, Sec.3, Min Sheng E. Rd., Taipei 105, Taiwan	02-25456163	02-27199434	
聯貿期貨經紀股份有限公司台北分公司 Hon Unicomp Corp. Taipei Branch	104台北市中山北路二段96號(嘉新第二大樓N713) N-713 Chia Hsin Bldg II 96 Chung Shan N.Rd., Taipei 104, Taiwan	02-25255777	02-25255766	
工銀證券股份有限公司 IB Securities Co., Ltd.	110台北市松仁路89號16樓之1 16F-1, 89 Sung Jen Rd., Taipei 110, Taiwan	02-87895558	02-87895556	www.ibts.com.tw
亞洲證券股份有限公司 Asia Securities Inc.	104台北市南京東路三段225號3,4樓 3-4F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27183456	02-27183349	www.asia-group.com.tw
歐亞證券股份有限公司 Osc Securities Corp.	100台北市重慶南路一段86號2樓 2F, 86 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	www.osc.com.tw
達安證券股份有限公司 Tachen 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	www.trade.tachan.com.tw
網際證券股份有限公司 Net Securities Co., Ltd.	106台北市忠孝東路四段151號3樓 3F, 151 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27816536	02-27347388	www.nettrade.com.tw
德昌證券股份有限公司 Tching Securities Co., Ltd.	104台北市民生東路二段174號4樓 4F, 174 Sec.2, Minsheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	www.tcstock.com.tw
鴻富證券股份有限公司 Hong Fu Securities Co., Ltd.	330桃園市中華路10號2, 3樓 2-3F, 10 Chun-hua Rd., Taoyuan 330, Taiwan	03-3367688	03-3367879	www.W3.hongfu.com.tw
第一證券股份有限公司 Firstsec Securities Inc.	106台北市安和路一段27號6樓 6F, 27 Anho Rd., Sec.1, Taipei 106, Taiwan	02-27413434	02-27720900	www.first.com.tw
第一證券股份有限公司 Primasia Securities Co., Ltd.	105台北市復興北路99號3樓 3F, 99 Fushin N. Rd., Taipei 105, Taiwan	02-27180101	02-27180202	www.primasia.com
萬興綜合證券股份有限公司 Wan Hsing Trust Securities Co., Ltd.	110台北市松壽路3號10樓 10F, 3 Sung Shou Rd., Taipei 110, Taiwan	02-87808867	02-27294903	www.win168.com.tw
萬興證券股份有限公司 Wan Hsing 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	
萬昌證券股份有限公司 Wan Chang Securities Co., Ltd.	106台北市敦化南路二段105號15樓 15F, 105, Sec.2, Tunhwa S. Rd., Taipei 106, Taiwan	02-27076055	02-27551844	www.tcsc.com.tw
萬安證券股份有限公司 Wan An Securities Co., Ltd.	251台北縣淡水鎮中正路63號5樓 5F, 63 Chung Chen Rd., Tanshui, Taipei 251, Taiwan	02-26251818	02-26251705	
萬安證券股份有限公司 Wan An Securities Co., Ltd.	100台北市和平西路一段3號2樓 2F, 3 Sec.1, Hoping W. Rd., Taipei 100, Taiwan	02-23219938	02-23937943	www.macotosec.com.tw
萬安證券股份有限公司 Wan An International Securities Co., Ltd.	704台南市西門路三段10號 10 Shi-Men Rd., Sec.3, Tainan 704, Taiwan	06-2219777	06-2286324	www.wintan.com.tw
萬安證券股份有限公司 Wan An Securities Co., Ltd.	241台北縣三重市自強路一段73號3樓 3F, 73 Sec.1, Tzu-Cheang Rd., Shanchung, Taipei 241, Taiwan	02-29818889	02-89810727	www.fullsun.com.tw
萬安證券股份有限公司 Wan An Securities Co., Ltd.	260宜蘭市中山路45號2樓 2F, 45 Chung San Rd., Ilan 260, Taiwan	03-9331999	03-9325996	www.808.com.tw
萬安證券股份有限公司 Wan An Securities Co., Ltd.	830高雄縣鳳山市五福二路36號 36 Wu Fu 2 nd Rd., Fong Shan, Kaohsiung 830, Taiwan	07- 8122789	07-8315419	www.antay.com.tw

公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
大和國泰證券股份有限公司 Daiwa Global Securities Co., Ltd.	110台北市基隆路一段200號13樓 13F, 200 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-27239698	02-23453640	
中央信託局信託處 Central Trust Of China Trust Department	100台北市博愛路76號2、3樓 2、3F, 76, Poai Road Taipei100, Taiwan	02-23111511	02-23120620	www.ctoc.com.tw
合作金庫銀行 Taiwan Cooperative Bank	100台北市延平南路85號5樓 5F, 85 Yen-Ping S. Rd., Taipei 100 Taiwan	02-23118001	02-23752896	www.cobank.com.tw
台灣土地銀行 Land Bank Of Taiwan	100台北市延平南路81號 81 Yen-Ping S. Rd., Taipei 100, Taiwan	02-23483002	02-23891864	www.landbank.com.tw
華僑銀行 Bank Of Overseas Chinese	100台北市衡陽路102號3樓 No.102, Hengyang Rd., Jungjeng Chiu, Taipei 100, Taiwan	02-23113348	02-23111053	www.booc.com.tw
遠東證券股份有限公司 Far Eastern Securities Co., Ltd.	104台北市南京東路二段71號9樓 9F, 71 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25428131	02-25623380	www.feg.hinet.net
永利證券股份有限公司 Yung-Li Securities Co., Ltd.	100台北市武昌街一段77號3-5樓 3-5F, 77 Sec.1, Wuchang St., Taipei, Taiwan	02-23111541	02-23319604	
台灣中小企業銀行股份有限公司證券部 Taiwan Business Bank	103台北市塔城街30號4樓 4F, No.30, Tacheng St., Taipei 103, Taiwan	02-25597171	02-25590751	www.tbb.com.tw
世華聯合商業銀行 United World Chinese Commercial Bank	106台北市信義路三段9號1樓 1F, 9 Sec.3 Hsin-Yi Rd., Taipei 106, Taiwan	02-23310025	02-27003266	www.uwccb.com.tw
日盛證券股份有限公司 Jih Sun Securities Co., Ltd.	104台北市南京東路二段111號7樓 7F, 111 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25172442	www.jihsun.com.tw
第一綜合證券股份有限公司 First Securities Co., Ltd.	106台北市敦化南路二段39號12樓 12F, 39 Sec.2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-27555768	02-27849604	www.fst.com.tw
吉祥綜合證券股份有限公司 Fortune Securities Co., Ltd.	106台北市信義路四段236號6樓 6F, 236 Sec.4 Hsin-Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008867	www.fortunsec.com.tw
菁英綜合證券股份有限公司 First Taiwan Securities Inc.	110台北市忠孝東四段563號15樓 15F, 563 Sec.4, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-27531155	02-27237236	www.eztrade.com.tw
永昌綜合證券股份有限公司 Entrust Securities Co., Ltd.	105台北市民生東路四段54號5樓 5F, 54 Sec.4, Min-sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25457679	www.entrust.com.tw
富隆證券股份有限公司 Full Long Securities Co., Ltd.	104台北市長安東路一段18號3樓 3F, 18 Sec.1, Changan E. Rd., Taipei 104, Taiwan	02-25631168	02-25411559	www.fullong.com.tw
聯合證券股份有限公司 United Securities Corp.	100台北市重慶南路一段86號6樓 6F, 86 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23717922	02-23817668	
群益證券股份有限公司 Capital Securities Corp.	110台北市松仁路101號群益金融大樓 Capital Center, 101 Sung Jen Rd., Taipei 110, Taiwan	02-87898888	02-87800077	www.capital.com.tw
高橋證券股份有限公司 Goldenga Securities Co., Ltd.	320桃園縣中壢市中和路96號 96 Chung-ho Rd., Chungli, Taoyuan County 320, Taiwan	03-4224243	03-4222765	www.easytrade.com.tw
中興證券股份有限公司 Chung Hsing Securities Corp.	104台北市南京東路二段125號5樓 5F, 125 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25169888	02-25176344	www.chsc.com.tw
世界證券股份有限公司 Global Securities Co., Ltd.	100台北市館前路2號6樓 6F, 2 Kwan Chan Rd., Taipei 100, Taiwan	02-23718666	02-23831630	
豐銀綜合證券股份有限公司 Forwin Securities Corp.	105台北市南京東路五段188號14樓 14F, 188 Sec.5, Nanking E. Rd., Taipei 105, Taiwan	02-27482828	02-27485958	www.forwin.com.tw
建華證券股份有限公司 Sino Pac Securities Corp.	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	02-23495123	02-23823585	www.sinopacsecurities.com
台証綜合證券股份有限公司 Taiwan Securities Co., Ltd.	104台北市建國北路一段96號十一樓 11F, 96 Sec.1, Jianguo N. Rd., Taipei 104, Taiwan	02-25075000	02-25065550	www.tsc.com.tw

公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
台育綜合證券股份有限公司 Tai Yu Securities Co., Ltd.	105台北市復興北路167號14樓 3F, 167 Fu Hsin N. Rd., Taipei 105, Taiwan	02-27180718	02-25469222	www.etop.com.tw
公正證券股份有限公司 Kung Cheng Securities Co., Ltd.	500彰化市陳稜路156號5樓 5F, 156 Chenglin Rd., Changhwa 500, Taiwan	047-223700	047-227377	
永興證券股份有限公司 Yung Shin Securities Co., Ltd.	100台北市南海路20號2樓 2F, 20 Nanhai Rd., Taipei 100, Taiwan	02-23218200	02-23516964	www.yss.com.tw
中信證券股份有限公司 KGI Securities Co., Ltd.	104台北市中山北路二段96號11樓 11F 96 Chung Shan North Road Sec.2 Taipei 104 Taiwan	02-27580606	02-27286678	www.KGI.com.tw
財道證券股份有限公司 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	
豐興證券股份有限公司 Fong Shing Securities Co., Ltd.	420台中縣豐原市中正路220號3樓 3F, 220 Chungcheng Rd., Fengyuan, Taichung 420, Taiwan	04-5277150	04-5261151	
華南證券股份有限公司 Grand Cathay Securities Corp.	100台北市重慶南路一段2號14樓 14F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23148800	02-23142206	www.gcsc.com.tw
鼎綜合證券股份有限公司 Taiwan International Securities Corp.	106台北市敦化南路二段97號33樓 33F, 97 Sec.2, Tunhwa S. Rd., Taipei 106, Taiwan	02-27052888	02-23268778	www.tisc.com.tw
統一綜合證券股份有限公司 Unitec Securities Corp.	105台北市東興路8號1樓 8 Tong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	www.pscnet.com.tw
溢豐證券股份有限公司 Ying Yi Securities Co., Ltd.	800高雄市新興區七賢二路10號 10 Chihhsien 2 nd Rd., Kaohsiung 800, Taiwan	07-2818516	07-2212914	www.winer.com.tw
隆證券股份有限公司 Liang Long Securities Co., Ltd.	970花蓮市公園路26號5樓 4F, 26 Kungyuan Rd., Hualian 970, Taiwan	038-352181	038-353447	
富證券股份有限公司 Master Link Securities Corp.	106台北市敦化南路二段97號22樓 22F, 97 Sec.2, Tunhwa S. Rd., Taipei 106, Taiwan	02-23255818	02-23255313	www.masterlink.com.tw
茂證券股份有限公司 The Mach Securities Co., Ltd.	542南投縣草屯鎮草溪路1020號2樓 2F, 1020 Tsao-His Rd., Tsao-tun Nantou 542, Taiwan	049-2353266	049-2357216	www.gmstock.com.tw
明證券股份有限公司 Ming Securities Co., Ltd.	330桃園市成功路二段1號2樓 2F, 1 Sec.2, Chengkung Rd., Taoyuan 330, Taiwan	03-3366000	03-3366050	
營證券股份有限公司 Inner Securities Co., Ltd.	324平鎮市忠孝路2號B1樓 B1, 2 Chung Hsiao Rd., Ping-Cheng City, Taoyuan 324, Taiwan	03-4930888	03-4930947	
鴻證券股份有限公司 Her Advance Securities Co., Ltd.	106台北市忠孝東路四段87號7樓 7F, 87 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27719999	02-27781101	www.money168.com.tw
百王證券股份有限公司 The Hundred King Securities Co., Ltd.	801高雄市中華三路11號1樓 1F, 11 Chunghwa 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	
利綜合證券股份有限公司 Lits Securities Corp.	100台北市羅斯福路二段100號10樓 10F, 100 Sec.2, Roosevelt Rd., Taipei 100, Taiwan	02-23668647	02-23688687	www.barits.com.tw
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、4樓 3-4F, 166 Kwangfu Rd., Pie-Tou Cheng, Changhwa 521, Taiwan	04-8886500	04-8886626	www.kuanzho.com.tw
昌證券股份有限公司 Chang Securities Co., Ltd.	220台北縣板橋市東門街30之2號9樓之1 9F-1, 30-2 Tung-men St., Panchiao, Taipei 220, Taiwan	02-29689685	02-29676069	www.dcn.com.tw
陽證券股份有限公司 Sunsec Securities Co., Ltd.	104台北市南京東路一段52號4樓 4F, 52 Sec.1, Nanking E. Rd., Taipei 104, Taiwan	02-25217000	02-25224516	www.sunsec.com.tw
舟城證券股份有限公司 Owin Securities Broker Inc	700台南市民族路二段153號3樓 3F, 153 Sec.2, Mintsu Rd., Tainan 700, Taiwan	06-2206678	06-2287566	www.owin.com.tw
泰證券股份有限公司 Tian Tai Securities Co., Ltd.	330桃園市三民路三段317號4樓 4F, 317 Sec.3, San-ming Rd., Taoyuan 330, Taiwan	03-3353359	03-3345286	

公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
新竹國際商業銀行 Hsinchu International Bank	330新竹市中央路106號6樓 6F, 106 Chung Yang Rd., Hsinchu 330, Taiwan	03-5253171	03-5269443	www.hibank.com.tw
和興證券股份有限公司 Hosin Securities Co., Ltd.	234台北縣永和市中正路455號3樓 3F, 455 Chung Cheng Rd., Yung-ho, Taipei 234, Taiwan	02-29229797	02-29223115	
瑞豐證券股份有限公司 Ruey Fong Securities Co., Ltd.	802高雄市三多一路174號2樓 2F, 174 Sabduo 1 st Rd., Kaohsiung 802, Taiwan	07-7211828	07-7511837	
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, Shinseng S. Rd., Taipei 100, Taiwan	02-23939988	02-33933131	www.rsc.com.tw
金稻理證券股份有限公司 Kingston Securities Co., Ltd.	103台北市延平北路二段96號4樓 4F, 96 Sec.2, Yenping N. Rd., Taipei 103, Taiwan	02-25553888	02-25597211	
國際綜合證券股份有限公司 International Securities Co., Ltd.	106台北市忠孝東路四段563號B1 B1, 563 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27479966	02-25503015	www.intertrade.com.tw
信富證券股份有限公司 Shin Fan Securities Co., Ltd.	613嘉義縣朴子市山通路43號2至4樓 2-4F, 43 San Tung Rd., Pu-Tzu, Chiayi 613, Taiwan	05-3700988	05-3700909	
豐農證券股份有限公司 Feng Long Securities Co., Ltd.	420台中縣豐原市水源路669號 669 Shuiyuan Rd., Fengyuan, Taichung 420, Taiwan	04-25281000	04-25253100	
石橋證券股份有限公司 Bridge-Stone Securities Co., Ltd.	234桃園縣平鎮市環南路184號 1F, 184 Huan-Nan Rd., Ping-Chen, Taoyuan, 234 Taiwan	03-4927373	03-4932904	www.bit-bridge.com.tw
台安證券股份有限公司 Tai-An Securities Co., Ltd.	403台中市民權路234號 No.234, Minchiuan Rd., Taichung 402, Taiwan	04-22020208	04-22024374	
大永證券股份有限公司 Ta Young Securities Co., Ltd.	241台北縣三重市正義南路97號 97 Chengyi S. Rd., San Chung, Taipei 241, Taiwan	02-29734388	02-29724795	
日陞證券股份有限公司 Sun Rise Securities Co., Ltd.	710台南縣永康市中華路144之1號 144-1 Chunghwa Rd., Yungkuang, Tainan 710, Taiwan	06-3115522	06-3131650	
東勢證券股份有限公司 Tung Shin Securities Corp.	423台中縣東勢鎮豐勢路297號4樓 4F, 297 Fugn-Shin Rd., Tun-Shin Chen, Taichung 423, Taiwan	04-5877111	04-5877314	
金港證券股份有限公司 Goldport Stock Brokerage Corp.	802高雄市三多二路93號2樓 2F, 93 Sando 2 nd Rd., Kaohsiung 802, Taiwan	07-7253922	07-7566464	
金興證券股份有限公司 Ching Shing Securities Co., Ltd.	360苗栗市為公路三西巷12號 12, Lone San-Si, Wei-Kung Rd., Pei-Miao Li, 360, Taiwan	037-266666	037-266060	
北城證券股份有限公司 Pei Cheng Securities Co., Ltd.	234台北縣永和市永和路二段116號3樓 3F, 116 Sec.2, Yung-ho Rd., Yung-ho, Taipei 234, Taiwan	02-29283456	02-29291620	www.peicheng.com.tw
富星證券股份有限公司 Fu Hsing Securities Co., Ltd.	632雲林縣虎尾鎮和平路1號4,5樓 4-5F, 1 Ho Ping Rd., Hu Wei Chen, Yunlin 632, Taiwan	05-6334888	05-6334700	
國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	105台北市南京東路五段188號15樓 15F, 188 Sec.5, Nanking E. Rd., Taipei 105, Taiwan	02-25288988	02-27647834	www.ibus.com.tw
金豐證券股份有限公司 King Fong Securities Co., Ltd.	420台中縣豐原市中山路481號 481, Chung Shan Rd., Feng-Yuan, Taichung 420, Taiwan	04-25282808	04-25283008	www.kfsec.com.tw
東興證券股份有限公司 Tong Shing Securities Co., Ltd.	800高雄市復興一路80號 80 Fu-Shing 1 Rd., Kaoshiung 800, Taiwan	07-2222747	07-2235400	
台南區中小企業銀行股份有限公司 Tainan Business Bank	700台南市忠義路二段69號5樓 5F, 69 Sec.2, Chung-I Rd., Tainan 700, Taiwan	06-2232151	06-2269265	www.tnb.com.tw
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B1 B1, 176 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-87871888	02-27663448	www.6016.com
萬泰證券股份有限公司 Wan Tai Securities Co., Ltd.	600嘉義市新榮路193號 193 Hsin-Jung Rd., Chiayi 600, Taiwan	05-2289911	05-2273459	

公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
中農證券股份有限公司 Chung Nour Securities Co., Ltd.	435台中縣梧棲鎮四維中路157巷1號 No. 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435 Taiwan	04-26623311	04-26624455	
大裕證券股份有限公司 Ta Yu Securities Co., Ltd.	402台中市南區台中路504號 504, Taichung Rd., Taichung 402, Taiwan	04-2862688	04-2861890	
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661號5樓 5F, 66-1 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23118181	02-23118736	
聯邦商業銀行 Union Bank of Taiwan	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	02-25161601	www.ubot.com.tw
萬通證券股份有限公司 Wantone Securities Co., Ltd.	104台北市松江路301號2樓之1 2F-1, 301 Sung Chiang Rd., Taipei 104, Taiwan	02-25156655	02-25026363	
寶宏證券股份有限公司 Bao-Hung Securities Co., Ltd.	105台北市南京東路四段130號11樓 11F, 130 Sec.4, Nanking E. Rd., Taipei 105, Taiwan	02-25708889	02-25706773	www.baohung.com.tw
新壽證券股份有限公司 Shinkong Securities co., ltd	110台北市信義路四段456號5樓 5F, 456 Sec.4, Hsin-Yi Rd., Taipei 110, Taiwan	02-23451668	02-27200565	www.pws.com.tw
陽信證券股份有限公司 Sunny Securities Co., Ltd.	105台北市民生東路五段165號之2 No.165-2 Sec.5, Min-sheng E. Rd., Taipei 105, Taiwan	02-27629288	02-27623398	
廣盛證券股份有限公司 Doksa Securities Co., Ltd.	106台北市信義路三段153號2樓 2F, 153 Sec.3, Hsin-Yi Rd., Taipei 106, Taiwan	02-23259868	02-27544545	www.waso.com.tw
華華綜合證券股份有限公司 Hua-Hwa Securities Co., Ltd.	100台北市忠孝西路一段4號17樓 17F, 4 Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23801168	02-23719898	www.fhs.com.tw
華豐證券股份有限公司 Hua-Fund Securities Co., Ltd.	110台北市永吉路302號1樓 1F, 302 Yung-Chi Rd., Taipei, 110 Taiwan	02-27652277	02-27691847	
中通證券股份有限公司 Chutung Securities International Company	104台北市松江路261號8樓 8F, 261, Sung-Chiang Rd., Taipei 104, Taiwan	02-25180558	02-25180555	www.equity.com.tw
大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	110台北市信義路四段458號8樓 8F, 458 Sec.4, Hsin-Yi Rd., Taipei 110, Taiwan	02-87862668	02-87862663	www.yexc.com.tw
網路證券股份有限公司 Net Broker Securities Co., Ltd.	106台北市復興南路一段103號2樓 2F, 103 Sec.1, Fuhsin S. Rd., Taipei 106, Taiwan	02-87736616	02-87737727	www.netbroker.com.tw
富豐證券股份有限公司 Fam Pro Securities Co., Ltd.	106台北市忠孝東路四段300號3樓 3F, 300 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-87739666	02-87739799	
東鼎證券股份有限公司 East-Team Securities Co., Ltd.	106台北市忠孝東路四段169號2樓 2F, 169 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27730899	02-87719629	www.okane.com.tw
日山綜合證券股份有限公司 Sun Securities Corp.	104台北市復興北路178號15樓 15F, 178 Fushing N. Rd., Taipei 104, Taiwan	02-27131313	02-87126577	www.esunsec.com.tw
豐豐證券股份有限公司 Fong Fong Securities Co., Ltd.	104台北市南京東路二段125號3樓 3F, 125 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25163939	02-25120338	
廣益證券股份有限公司 Guan Securities Co., Ltd.	106台北市復興南路一段227號4樓 4F, 227 Sec.1, Fushing S. Rd., Taipei 106 Taiwan	02-87716633	02-87717373	
聯綜證券股份有限公司 Lion Securities Co., Ltd.	106台北市敦化南路一段108號B1 B1, 108 Sec.1, Tunhwa S. Rd., Taipei 106, Taiwan	02-87716888	02-87716796	www.fbs.com.tw
極星證券股份有限公司 Polaris Securities Co., Ltd.	114台北市新湖二路339號3樓 3F, 339 Hsin Hu-2 nd Rd., Taipei 114, Taiwan	02-87918899	02-87922644	www.polaris.com.tw
大京華證券股份有限公司 Yuanta Core Pacific Securities Co., Ltd.	104台北市南京東路三段225號12樓 12F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27136060	www.yuanta.com.tw

以上資料為91.12.31
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