



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

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壹、序言



2008年是期貨業最亮麗，也是期貨公會最具紀念的一年。去年雖然受全球金融海嘯的重擊，然而期貨業卻創下全體專營期貨商獲利的新紀錄，期貨公會另在4月份完成了新會所喬遷的歷史任務。

放眼全球，去年度全球期貨市場以11.72%成長率蓬勃發展，台灣期貨市場的成長率更超越全球，高達18.73%，期貨市場大放異彩，充分發揮價格發現及避險功能，對期貨業者而言，獲利固然令人振奮，但是能夠獲得大家的認同，肯定期貨業是金融業種中不可或缺的重要角色，才是最大的收穫。

期貨公會自創會以來，從借用辦公室，到租用辦公室，始終是無殼蝸牛，14年來，歷經筭路藍縷的艱辛，也隨著期貨市場的成長，逐年累積盈餘，終於在前年年底完成了購屋計畫，去年4月正式遷入了新會所。本人非常榮幸，能夠在任內達成這項歷史任務，除了要感謝主管機關給予的大力支持及協助外，也要感謝歷任理事長領導有方，更要感謝全體會員公司的努力，讓公會能夠擁有永久的辦公處所，使會務人員能夠在安定、良好的辦公環境中為大家服務。

去年度期貨業還有一大豐收，歷經兩年多的規劃，期貨信託事業正式上線，其間計有寶來、復華、元大、國泰、保誠、富邦等七家業者送件申請，並陸續將在2009年開業。未來透過期信基金的發行，期貨投資已正式成為投資人資產配置中重要的一環。

在期貨版圖陸續完成之際，接著要著眼於兩岸期貨業的交流與合作。大陸期貨市場極具潛力，而台灣期貨市場具有成功的風險控管能力、良好的IT技術、完善的發展經驗及健全的體制，這些都是期貨業者未來登陸大陸的優勢。在兩岸金融監理合作MOU即將簽訂之際，期貨公會將積極展開協助業者拓展大陸期貨市場的工作。當務之急是成立兩岸專案小組，擴編人員，負責協助業者蒐集資料、提供專業諮詢，做為促進兩岸交流之資訊平台。在法規政策方面，也將積極敦促政府適時放寬業者投資大陸的法規限制，在資金、稅負、人才等方面，協助業者登陸。

對於期貨業界而言，每一年均有新的目標，2009年我們將著眼大陸期貨市場，在目前仍有許多障礙的情形下，期貨公會將秉持熱忱、積極、完美的服務宗旨，凝聚業者的共識，展現團結的力量，在主管機關及所有業者的支持及協助下，共同為2009年的業務目標而齊心努力。

中華民國期貨業商業同業公會

理事長

A handwritten signature in black ink, appearing to be '黃國治' (Huang Guozhi), written in a cursive style.

貳、公會簡介

一、公會沿革

- 本會前身為創立於民國84年4月17日之「台北市期貨商業同業公會」，為配合期貨產業之開放，因應業種、會員業務類別之增加，以及分佈區域之擴大，遂於93年6月21日升格改制為全國性單一公會，並於6月30日獲頒立案證書。
- 本會目前之組織型態為全國性之自律機構，除辦理會員證照登錄、場地設備勘查、從業人員教育訓練等服務功能外；更擔負了主管機關所賦予之自律職責。為促使國內期貨市場健全發展，本會將確實完成從業人員資格審查、場地檢查、會員查核、教育訓練等四大自律職能與機制；並積極協調業界團結合作，促進業界與主管機關之溝通與互動，在熱忱、積極、完美的品質政策下，期能為期貨業之發展奠定更穩健之基石。

二、設立宗旨

- 本會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

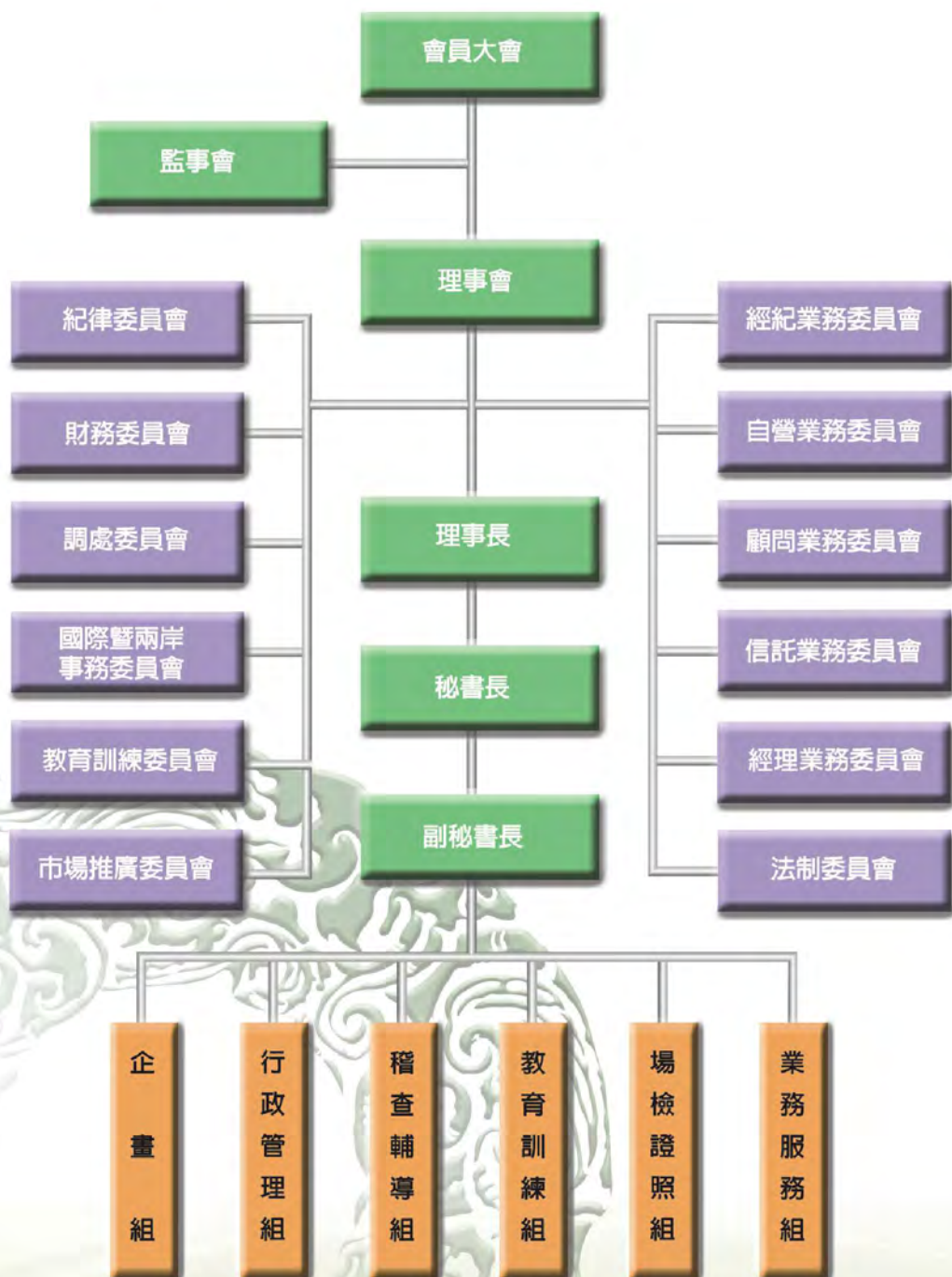
三、本會任務

- 配合國家經濟建設，促進期貨市場發揮功能事項。
- 會員業務之調查、統計及研究、發展事項。
- 政府經濟政策與期貨交易法令之協助推行與研究、建議事項。
- 督促會員自律、共謀業務上之改進及聯繫、協調事項。
- 會員糾紛之調處事項。
- 同業員工職能訓練及業務講習之舉辦事項。
- 會員業務之廣告、展覽及證明事項。
- 會員、會員代表及會員員工基本資料之建立及動態之調查、登記事項。
- 會員委託證照之申請變更、換領及其他服務事項。
- 會員或社會公益之舉辦事項。
- 會員合法權益之維護事項。
- 會員違法或違規之議處事項。
- 接受機關、團體之委託服務事項。
- 社會運動之參加事項。
- 維護期貨交易之秩序、公正及保護期貨交易人或委任人事項。
- 防止期貨交易之操縱、對作、虛偽、詐欺、隱匿或其他足生期貨交易人、委任人或第三人誤信等不法之行為事項。
- 依其他法令規定或會員建議應辦理之事項。



參、組織系統

一、組織系統圖



二、組織與執掌

(一)、會員大會：會員公司可依照經營業務之類別，分別指派會員代表，但每一會員公司最多可指派7位代表，會員代表共計342位。

■ **成員**：由會員代表組成。至97年12月31日止，本會會員公司計有183家：

- 1.專營期貨商18家
- 2.兼營期貨商19家
- 3.期貨交易輔助人63家
- 4.國外複委託商4家
- 5.期貨自營業務41家
- 6.期貨經理業務8家
- 7.期貨顧問業務28家
- 8.期貨信託業務2家

■ **執掌**：為本會最高決策機關。

■ **職權**：

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



(二)、理事會

■ **成員**：33位理事，由會員代表互選之。另設置常務理事11人，由理事互選之。

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

■職權：

- 1.召開會員大會並執行其決議。
- 2.選舉、罷免常務理事及理事長。
- 3.議決常務理事、理事及理事長自行辭任。
- 4.通過會員入會、退會及註銷會員、會員代表會籍。
- 5.編擬年度工作計畫綱要、經費預、決算及事業計畫。
- 6.會務工作人員、顧問、研究員等之遴聘、解聘。
- 7.議決本會相關規章之制訂及修正案。
- 8.辦理監事會移送執行案件。
- 9.遇有緊急重大事項不及召開會員代表大會時，得由理事會先為必要之措施，於會員代表大會時報請追認。
- 10.議決處分未依規定繳納會費之會員。
- 11.執行法令及章程所規定事項。
- 12.其他依職責應辦之事項。

(三)、監事會

■成員：11位監事，由會員代表互選之。另設置常務監事3人由監事互選之；並由常務監事互選其中一人為監事會召集人。

■執掌：為本會最高監察單位。

■職權：

- 1.選舉及罷免常務監事。
- 2.監察理事會執行會員大會之決議案。
- 3.監察理事會會務執行狀況。
- 4.審核理事會各種會計報告書類。
- 5.稽核理事會之經費收支狀況。
- 6.向會員大會提出年度監察報告。
- 7.議決常務監事及監事之自行辭任。
- 8.其他依職責應辦之事項。

(四)、委員會：設有經紀業務、自營業務、顧問業務、經理業務、信託業務、法制、市場推廣、紀律、教育訓練、財務、調處、國際暨兩岸事務等12個委員會。

■成員：由理事長指定各委員會之召集人，召集人視實際需求遴聘產、官、學界之專業人士籌組而成。

■執掌：各委員會就其設置之性質及功能，配合期貨市場之需求及發展，推動各項工作。

茲就各委員會之職掌分述如下：

■ 經紀業務委員會

- (1) 有關期貨經紀業務之發展、聯繫、協調及改進事項。
- (2) 有關期貨交易人服務事項。
- (3) 有關編擬年度工作計劃事項。
- (4) 其他有關期貨經紀業務之處理事項。

■ 自營業務委員會

- (1) 有關期貨自營業務之發展、聯繫、協調、改進事項。
- (2) 有關編擬年度工作計劃事項。
- (3) 其他有關期貨自營業務之處理事項。

■ 顧問業務委員會

- (1) 有關期貨顧問業務之發展、聯繫、協調、改進事項。
- (2) 有關委任人服務事項。
- (3) 有關編擬年度工作計劃事項。
- (4) 其他有關期貨顧問業務之處理事項。

■ 經理業務委員會

- (1) 有關期貨經理業務之發展、聯繫、協調、改進事項。
- (2) 有關委任人服務事項。
- (3) 有關編擬年度工作計劃事項。
- (4) 其他有關期貨經理業務之處理事項。

■ 信託業務委員會

- (1) 有關期貨信託業務之發展、聯繫、協調、改進事項。
- (2) 有關受益人服務事項。
- (3) 有關編擬年度工作計劃事項。
- (4) 其他有關期貨信託業務之處理事項。

■ 法制委員會

- (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

- (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。

■ 紀律委員會

- (1) 有關自律公約之擬訂、執行與督促會員自律事項。
- (2) 有關會員職業道德之規範事項。
- (3) 其他有關會員自律之處理事項。

■ 教育訓練委員會

- (1) 辦理期貨從業人員職前訓練及在職訓練事項。
- (2) 有關參觀、演講、講習、康樂、體育等活動之舉辦。
- (3) 有關出版刊物之編輯事項。
- (4) 有關期貨投資宣傳事項。
- (5) 其他有關教育訓練、考試及核發證書之處理事項。

■ 財務委員會

- (1) 有關會費、事業費、經費籌措、管理與運用之研議事項。
- (2) 有關財務之稽核事項。
- (3) 有關預算、決算之編擬事項。
- (4) 其他有關財務事宜之處理事項。

■ 調處委員會

- (1) 調處會員間因期貨交易所生之爭議。
- (2) 調處會員與交易人或委任人，因期貨相關業務所生之爭議。
- (3) 調處會員、期貨交易所、期貨結算機構，因期貨交易或結算所生之爭議。

■ 國際暨兩岸事務委員會

- (1) 有關期貨國際暨兩岸業務之發展、聯繫、協調、改進事項。
- (1) 有關編擬年度工作計劃事項。
- (3) 其他有關期貨國際暨兩岸業務之處理事項。

(五)、會務人員：分為業務服務、場檢證照、教育訓練、稽查輔導、行政管理、企畫等六組，由秘書長、副秘書長統籌領導。茲就各組職掌分述如下：

■ 業務服務組

- (1) 籌備會員大會、理監事會及委員會開會事宜。
- (2) 處理與主管機關、周邊單位及會員公司之聯繫事宜。
- (3) 蒐集業界資料，掌握市場動態。
- (4) 檢討期貨法令並提出改進建議。
- (5) 提供會員公司期貨業務法規諮詢服務。
- (6) 自律規定之研議。

■ 場檢證照組

- (1) 各期貨商營業據點場地、設備查驗。
- (2) 會籍管理、業務人員登錄、異動及撤銷等事項。
- (3) 業務員工作證換發及負責人異動登錄。

■ 教育訓練組

- (1) 辦理從業人員職前與在職訓練。
- (2) 舉辦期貨業務講座、說明會等教育宣傳活動。
- (3) 辦理會員公司及從業人員之聯誼或康樂活動。

■ 稽查輔導組

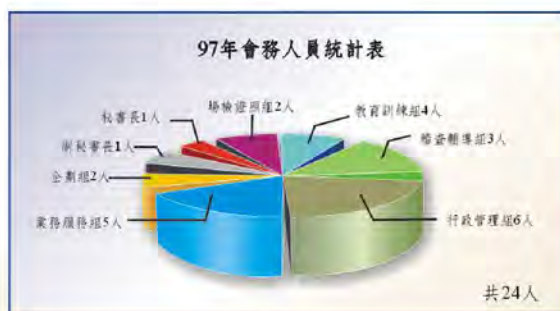
- (1) 辦理會員公司宣傳資料與廣告物之審查。
- (2) 辦理會員公司業務及財務之查察與輔導。
- (3) 辦理會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
- (4) 執行自律規定及主管機關交辦事項之稽查作業。

■ 行政管理組

- (1) 辦理採購驗收、財產保管。
- (2) 電腦網路規劃建置及維護。
- (3) 預算決算、財務分析。
- (4) 經費收支、會計出納、帳務、資金調度、檔案管理、收發文。
- (5) 各種活動支援。
- (6) 處理人事、總務、行政、文書等作業。

■ 企畫組

- (1) 進行新種業務之可行性研究與分析。
- (2) 進行期貨相關專題之研究。
- (3) 聯繫、跟催委外專案研究之進度。
- (4) 辦理專題研究、公聽會及研討會之發表與開會事宜。
- (5) 配合時事，研擬專案性之文宣活動。
- (6) 蒐集及分析國際期貨之相關資訊。
- (7) 辦理國際期貨組織之聯繫及交流事宜。
- (8) 進行刊物之編輯與發行事宜。



理監事名錄

序號	公會職稱	姓 名	會 員 名 稱	職 稱
1	理事長	賀鳴珩	寶來曼氏期貨股份有限公司	董事長
2	常務理事	何富雄	元大期貨股份有限公司	董事長
3	常務理事	鄧序鵬	康和期貨股份有限公司	董事長
4	常務理事	柳健昌	元富期貨股份有限公司	顧問
5	常務理事	任俊行	大華期貨股份有限公司	總經理
6	常務理事	孫天山	群益期貨股份有限公司	董事長
7	常務理事	糜以雍	凱基期貨股份有限公司	董事長
8	常務理事	黃奕銘	統一期貨股份有限公司	總經理
9	常務理事	簡信男	華南期貨經紀股份有限公司	董事長
10	常務理事	黃正雄	日盛期貨經紀股份有限公司	總經理
11	常務理事	許瑞立	安泰證券股份有限公司	總經理
12	理事	劉懋楠	金鼎證券股份有限公司	副總經理
13	理事	謝志忠	日商聯貿期貨經紀股份有限公司台北分公司	副總經理
14	理事	鄭質榮	新加坡商華大期貨經紀股份有限公司台灣分公司	總經理
15	理事	葉一豐	新加坡商明富環球期貨經紀股份有限公司台灣分公司	總經理
16	理事	江偉源	永豐期貨股份有限公司	董事長
17	理事	吳建華	台証期貨股份有限公司	總經理
18	理事	林明輝	日盛期貨股份有限公司	總經理
19	理事	王冲青	美商愛德盟期貨經紀股份有限公司台灣分公司	總經理
20	理事	林士喬	新壽證券股份有限公司	總經理
21	理事	高山燕	新際期貨股份有限公司	總經理
22	理事	滕青華	兆豐期貨股份有限公司	總經理
23	理事	劉威廉	台灣工銀證券股份有限公司	新金部副總
24	理事	呂常愷	澳帝華期貨股份有限公司	決策長
25	理事	黃佩儀	國泰期貨股份有限公司	協理
26	理事	張禮賢	國票期貨股份有限公司	總經理
27	理事	陳添富	永全證券股份有限公司	總經理
28	理事	高政煌	大眾綜合證券股份有限公司	副總經理
29	理事	王鎬娟	太平洋證券股份有限公司	協理
30	理事	史 綱	富邦期貨股份有限公司	董事長
31	理事	高子鈞	寶來曼氏期貨股份有限公司	自營總經理
32	理事	梁維仁	花旗環球國際證券股份有限公司	董事長
33	理事	高瑞堂	大昌證券股份有限公司	總經理
1	監事會召集人	詹益青	國泰期貨股份有限公司	副總經理
2	常務監事	楊金源	兆豐期貨股份有限公司	董事長特助
3	常務監事	侯青志	寶來曼氏期貨股份有限公司	國際部總經理
4	監事	陳 立	元富期貨股份有限公司	董事
5	監事	方旭郎	群益期貨股份有限公司	總經理
6	監事	陳瑞旺	凱基期貨股份有限公司	總經理
7	監事	李文柱	康和證券股份有限公司	總經理
8	監事	宋肖瑾	元大期貨股份有限公司	資深副總經理
9	監事	許人祥	華南永昌證券股份有限公司	副總經理

一、關於期貨交易法令之協助推行、研議事項

訂定範本、規則、申報書表

- 1 期貨信託基金之募集、發行、銷售及申購買回作業程序
- 2 有價證券抵繳保證金自律規則
- 3 整戶風險保證金計收方式自律規則(SPAN)
- 4 期貨信託基金銷售契約應行記載事項
- 5 期貨信託基金銷售機構終止銷售業務申報單
- 6 期貨信託基金銷售契約範本（一般型、保本型、組合型、符合一定資格條件）
- 7 期貨信託基金銷售機構聲明書
- 8 期貨信託基金月報檢查表
- 9 期貨信託基金電子交易作業準則
- 10 期貨信託基金電子交易約定書範本
- 11 期貨顧問事業管理規則第六條辦理申報事項作業規範一覽表
- 12 期貨顧問事業管理規則第六條辦理申報事項相關書件
- 13 期貨經理事業管理規則第十一條及第十二條辦理申請(申報)事項之相關書件
- 14 期貨經理事業管理規則第十一條及第十二條辦理申請(申報)事項作業規範一覽表
- 15 期貨信託事業經營期貨信託相關業務表冊申報單
- 16 期貨信託基金銷售機構暨人員登記作業要點
- 17 基金銷售機構銷售人員辦理期貨信託基金銷售業務訓練管理規範
- 18 辦理期貨信託基金銷售機構銷售人員資格測驗辦法
- 19 期貨經理事業內部控制制度
- 20 期貨交易全權委任三方權義協定書範本
- 21 保管機構委任契約範本
- 22 期貨交易全權委任契約範本
- 23 全權委託期貨交易說明書範本
- 24 期貨信託基金資產價值之計算標準
- 25 期貨信託事業全權委託其他專業機構運用期貨信託基金契約範本英譯版
- 26 期貨信託事業三方權利義務協定書範本英譯版
- 27 期貨信託事業致國外主管機關同意監理合作函中文版
- 28 期貨信託事業致國外主管機關同意監理合作函英譯版
- 29 中華民國期貨業商業同業公會期貨顧問委任契約範本
- 30 期貨顧問事業透過傳播媒體提供分析建議管理辦法
- 31 期貨經理事業操作績效公布自律規則

- 32 期貨信託事業全權委託其他專業機構運用期貨信託基金契約範本
- 33 期貨經理事業內部人員從事期貨交易管理辦法
- 34 期貨經理事業經營全權委託期貨交易業務操作辦法
- 35 期貨經理事業全權委託交易帳戶帳務處理要點
- 36 期貨信託基金從事店頭衍生性商品之總風險暴露計算標準
- 37 委員會組織規則
- 38 會員自律公約
- 39 本會「辦理期貨交易分析人員資格測驗辦法」之及格標準
- 40 期貨信託事業持有問題公司債處理規則
- 41 期貨信託內部控制制度範本
- 42 期貨信託內部稽核制度範本
- 43 期貨信託事業內部稽核查核報告查核明細及工作底稿
- 44 期貨信託基金月報審查表
- 45 期貨信託基金年報審查表
- 46 期貨信託事業負責人與受雇人及其關係人買賣自己公司基金處理準則
- 47 期貨信託基金風險控管委員會設置要點
- 48 期貨信託事業運用期貨信託基金風險評量作業要點
- 49 期貨信託事業辦理申購人以信用卡申購期貨信託基金應行注意事項
- 50 期貨信託基金宣傳資料及廣告管理辦法
- 51 會員宣傳資料及廣告管理辦法
- 52 期貨信託事業受益憑證事務處理規則
- 53 期貨信託事業暨期貨經理事業治理實務守則
- 54 期貨信託事業會計制度範本
- 55 期貨信託基金會計制度範本
- 56 期貨信託事業申報期貨信託事業管理規則第9條申報事項檢查表
- 57 期貨信託事業帳表憑證保存年限表
- 58 期貨信託基金交易投資分析報告、決定書、執行紀錄、檢討報告
- 59 期貨交易代理契約書中英文範本
- 60 期貨交易綜合帳戶代理契約書中英文範本
- 61 期貨交易代理授權書中英文範本
- 62 期貨交易代理聲明書中英文範本
- 63 期貨交易代理未開立現貨聲明書中英文範本

研議事項

- 1 建議期交所調整保證金結構比案。
- 2 推動期貨商建立法令遵循制度案。
- 3 建請期交所同意由期貨交易輔助人得自行向期交所申報，期貨競價終端設備位置、IP位址、業務員姓名等相關資料之異動案。
- 4 建請期交所調降選擇權結算費用案。
- 5 建請主管機關研議股票上櫃及興櫃登錄同意函審查標準，自「申請時（含）前六個月調整後淨資本額（ANC比率）均不得低於未沖銷部位所需客戶保證金總額百分之四十」調整為「不低於百分之二十」乙案。
- 6 針對結算保證金利息回饋結算會員，建請期交所儘速成立、運作專款專用管理委員會案。
- 7 建議期交所放寬綜合帳戶下單一交易人之新台幣餘額限制案。
- 8 建議期交所開放期貨商保證金追繳通知書以電子郵件方式寄送案。
- 9 建議期交所明訂期貨商與期貨交易輔助人辦理期貨交易人保證金追繳之權責關係及作業程序案。
- 10 研議「調整期貨經紀商及期貨交易輔助人按月寄送對帳單」案。
- 11 研議會員公司從業人員於網路或個人部落格從事業務招攬文宣，由會員公司自行管理案。
- 12 研議有關兼營期貨商及期貨交易輔助人執行競價終端機輸入工作之人員是否須具備期貨商業務員資格案。
- 13 研議「期貨交易輔助人代理期貨商辦理開戶作業之控管程序」案。
- 14 研議「調整期貨經紀商及期貨交易輔助人按月寄送對帳單」案。
- 15 建議期交所酌予補助期貨商資訊系統改版費用。
- 16 建請主管機關開放期貨商得在大陸地區投資期貨公司案。
- 17 建請主管機關提高期貨商轉投資外國事業(含投資大陸事業)之上限至淨值40%案。
- 18 建議期交所研議有關交易、結算、紀律委員會委員產生方式案。
- 19 研議「期貨商寄送對帳單作業要點」案。

- 20 研議期貨商及期貨交易輔助人辦理保證金追繳及代沖銷相關作業案。
- 21 研議放寬期貨交易輔助人代理期貨商辦理開戶作業之控管程序。
- 22 研議期貨顧問事業暨期貨經理事業業務員在職訓練課程內容案。
- 23 研議開放期貨交易人以有價證券抵繳保證金案。
- 24 研議SPAN制度推行至一般交易人案。
- 25 研議期貨顧問委任契約範本，明定退款金額及方式之差異。
- 26 研議期貨經理事業操作績效公佈自律規則，調降公布操作績效之委託交易資金總額。
- 27 建請主管機關取消期貨經理事業從事外幣保證金全權委託交易，須營業滿一年之限制案。
- 28 研議對於期貨交易輔助人於必要時得協助期貨商辦理出金及強制沖銷之配套措施。
- 29 研議開放期貨商辦理期貨業務借貸款項業務，其契約範本與開戶徵信自律規則。
- 30 研議期貨商導入以Basel II標準法計算自有資本適足比率之實施計畫及時程表案。
- 31 研議期貨商交易人採行整戶風險保證金計收方式自律規則。
- 32 研議期貨交易人以有價證券抵繳期貨交易保證金自律規則。
- 33 建請主管機關開放期貨經紀商得擔任證券投資信託基金之銷售機構。
- 34 研議「期貨商擔任證券投資信託基金銷售機構營運計畫書」案。
- 35 建請期交所修改「臺灣期貨交易所股份有限公司業務規則」第52條第2項為「期貨交易人之委託無特約有效期限者，視為當日有效之委託」案。
- 36 研議期貨交易人因保證金追繳、彌補超額損失等特殊情形，得以非約定帳戶存入保證金、權利金時等例外事項，是否仍有存在必要案。
- 37 建請主管機關放寬全權委託期貨交易資產操作規範案。
- 38 建請主管機關放寬期貨經理事業自有資金運用範圍。
- 39 研議我國期貨商品與大陸期貨商品相互掛牌交易及大陸授權我方以大陸地區股價指數設計期貨商品，並於台灣期貨交易所掛牌交易之可行性。

二、業務之研究暨發展事項

1. 專題委外研究案



1. 有價證券抵繳保證金與期貨商業務項目國際化

研究案主持人：淡江大學兩岸金融研究中心 林蒼祥博士、段昌文博士



2. 海峽兩岸期貨市場相互開放探討

研究案主持人：北京工商大學證券期貨研究所 胡俞越所長



3. 期貨交易之市場資料揭露速度與關鍵因素研究

研究案主持人：國立台灣大學嚴慶齡工業發展基金會 游張松教授



4. 如何促進台灣期貨市場發展之研究

研究案主持人：台灣信用評等協會 薛琦教授
東吳大學會計學系 柯瓊鳳 副教授



5. 金融市場整合下的期貨商因應之道

研究案主持人：淡江大學 財務金融學系 劉威漢助理教授
淡江大學 國際貿易學系 黃哲盛助理教授
東吳大學財務工程與精算數學系 洪明欽教授



6. 開放槓桿交易商之研究

研究案主持人：普華商務法律事務所 蔡朝安律師



7. 期貨商風險之研究

研究案主持人：政治大學法律系暨智慧財產研究所 馮震宇教授



8. 期貨商依法提列損失準備之研究

研究案主持人：資誠會計師事務所 李秀玲會計師



9. 準則基礎監理之期貨商品審查制度

研究案主持人：鉅業國際法律事務所 梁懷信律師

2.喬遷／研討會／座談會／講座／說明會／論壇／宣導節目／國際會議及國外考察／
委員會聯誼活動／理監事聯誼活動／其它聯誼活動／人員培訓活動及輔導就業

喬遷

「期貨公會慶喬遷 貴賓雲集同祝賀」

97年5月16日下午，本會舉辦新會所喬遷酒會，邀請主管機關、周邊單位、理監事等貴賓參加，並由證期局副局長李啓賢（現任局長）、本會理事長賀鳴珩、期交所總經理王中愷共同剪綵揭幕。

李副局長肯定公會近年來的表現，尤其在與主管機關溝通，完成賦予之業界自律規範等方面，均有卓越表現，他期許公會在新家、新氣象的工作環境中，未來能夠提供更好的服務品質，為業界創造更佳的經營環境。賀理事長則希望能夠持續獲得主管機關之指導，加強與周邊單位之溝通與合作，爭取會員公司及理監事之協助，秉持最高品質之服務，讓會務工作達到完善及周全之境界。



研討會

1.「期貨業常見缺失與案例」研討會

本次研討會共計47位稽核人員參加，針對期貨市場違規案例，有效防範交易流程作業疏失及弊端進行研討。



2.「如何前進歐洲期貨市場~歐洲期交所的交易優勢」研討會

本次研討會共吸引了80多位業界人士參加，活動內容為介紹Eurex主要產品、Eurex期貨及選擇權買賣技巧、Eurex與其他期市之跨市場交易，以及如何以Eurex產品價格走勢作為市場趨勢預測。



3. 「從業人員網路部落格行銷管理」研討會

共計有 8 位本會委員等業界先進參加，由謝秘書長召開，決議由公會制訂切結書範本交由各公司自行管理。



4. 「利用農產品期貨管理風險」研討會

本次研討會由 CME 主辦，共計吸引將近150位現貨及期貨市場的法人及投資人參與，活動目的在於讓現貨市場業者有機會了解期貨業務，協助推廣期貨市場。



5. 「期貨業未來發展建言」研討會

本次研討會共計38位理監事參加，根據國際發展趨勢、兩岸市場交流及期貨業務等面向，就一．提昇國際競爭力；二．開放兩岸期貨市場交流；三．擴大期貨商業業務範圍。在每一個主題下提出政策建言，提供給主管機關及所有關心台灣期貨產業發展之人士參考。



6. 「人口販運及洗錢防制」研討會共3場 (北、中、南)

本次研討會北、中、南部共計131人參加，由調查局洗錢防制中心安排講師，活動目的在於配合政府政策，遏止非法人口販運及防制洗錢。



座談會

1. 「期貨信託基金風險評量作業要點」座談會共3場

2. 「TCP/IP 交易平台」座談會

3. 「期貨信託基金銷售機構宣導」座談會

4. 「期交所介紹期貨市場新制度」座談會

講座

1. 「2008年期貨業校園徵才巡迴講座」38場次

全省各地，北、中、南、東部共有38所學校近2500人參與，目的在於協助期貨業界招募新血為主軸，並促使學生更加了解期貨業界之需求及未來發展。



2. 「股市低迷之際，如何操作期貨與選擇權避險及獲利」講座共8場次

北、中、南部所有場次參加總人數共計573人，目的希望教導投資人正確操作期權商品，改善投資效率。



3.「如何利用個股選擇權增加投資效益講座」 共8場次

北、中、南部共8場次，所有場次參加總人數共計584人，目的以宣導個股選擇權新制度，並搭配股票現貨，提升投資效益。



4.「次級房貸之前因與後果：對金融投資與企業的影響」講座

共計192人報名參加，目的在於讓金融從業人員能對次貸風暴有清楚的認知及了解，作為未來金融從業人員風險控管之參考。



說明會

1.「東京工業品交易所商品期貨」說明會

本場說明會吸引將近120位期貨商從業人員參與，目的在於推廣日本期貨商品，內容主要為介紹該交易所之組織概要及上市商品，並說明研議中之制度，例如將導入全球最先進的電子交易系統、引進股份有限公司制等。



2. 「高物價時代如何利用股票與黃金增加投資報酬」說明會

北、中、南部三場說明會共吸引了546位投資人熱情參與，目的在於教導投資人利用股票及黃金期貨等商品搭配操作，以減少通貨膨脹之衝擊。



3. 「期貨商納入Basel II標準法計算自有資金適足比率」說明會

共計32人參加，目的在於配合我國資本市場整合及符合國際潮流趨勢，除單純考量期貨業務風險計算ANC比率外，將參採Basel II精神研議增加計算整體自有資本適足率。



4. 「網路行銷自律規則案例」說明會

共計152從業人員參加，目的在於宣導網路行銷之規範，協助從業人員建立正確合法的網路行銷概念，以免誤觸法規。



1. 「有價證券抵繳保證金與期貨商業項目國際化」

為即將推出之新制度及未來期貨商面對國際化的業務挑戰，本會特別委託淡江大學林蒼祥教授進行研究，並假犛亞國際會議中心舉辦本論壇研究結果發表，各家期貨商董事長及總經理出席踴躍。



2. 「海峽兩岸期貨市場相互開放探討」

本會就「海峽兩岸期貨市場相互開放探討」，特委託北京工商大學證券期貨研究所胡俞越教授進行研究，以了解中國大陸期貨市場的發展歷程、期貨業相關之法律規定，以及未來兩岸期貨市場相互開放進入的模式，作為台灣期貨業者之參考；本論壇假政大公企中心東樓201教室辦理，共計72人報名參加。



3. 「金融市場整合下的期貨商因應之道」

本會就「金融市場整合下的期貨商因應之道」，特委託淡江大學財金系助理教授劉威漢，探討證券轉投資的期貨商有何契機；開放各業別跨業經營的多元化發展後，對期貨商的衝擊與轉機。本論壇假政大公企中心東樓201教室辦理，共計28人報名參加。



4. 「如何促進台灣期貨市場發展」

本會就「如何促進台灣期貨市場發展之研究」，特委託台灣信用評等協會進行專案研究，以了解目前台灣期貨市場發展瓶頸，提出可行的改善方案；本論壇假東吳大學第5大樓5211國際會議廳辦理，共計50人報名參加。



宣導節目

委託中華財經台製播「期貨交易新思維」之宣導節目共12集：

期貨公會邀請產、官、學界之專家接受中華財經台訪問，目的為使投資人對期貨有一個全新的思維，內容包括新商品、新制度及新期貨事業體（期貨信託）等介紹。

國際會議及國外考察

1. 「期貨基金之操作與風險管理」

共計有金融從業人員及一般投資大眾156人參與，目的在於因應期貨信託基金之開放，借鏡國外期貨基金之經驗，提供國內期貨從業人員作為參考。



2. 「2008年期貨論壇—演算法交易與金融危機對期貨市場之影響」

兩天共計吸引了150餘位期貨業及對此議題有興趣的人士參加，目的在於介紹演算法交易之發展與應用，由歐美著名之演算法交易專家分享成功經驗，以及此次金融海嘯對期貨市場影響之看法。



3. 中國金融期貨交易所來訪

中國金融期貨交易所總經理朱玉辰率領交易部、結算部、研發部等五位高階主管來台，本會於7/19日假故宮晶華酒店舉辦歡迎晚宴，邀請本會理監事及專營期貨商高階主管共同參加。



4. 鄭州交易所來訪

市場監察部總監助理白利民、結算部總監助理張超、研發部高級總監魏振祥及技術部高級總監雷曉全來訪，希望了解台灣多年來期權投資者教育的措施、難度、存在的問題及台灣推出選擇權的市場環境與宣導推薦選擇權的方法。



5. 理監事會澳洲證交所CFD考察團：

本團包括公會服務人員共計28人參加，目的在於了解澳洲發展蓬勃的差價合約(CFD)，特別由本會理監事組團前往澳洲考察，拜訪當地期貨商，汲取他人經驗，作為台灣業者及市場的發展參考。



委員會聯誼活動

1. 第2屆第1次委員會聯誼活動共兩梯次(南投二日遊)



2. 第2屆第2次委員會聯誼活動(淡水休閒農場)



理監事聯誼活動

1. 理監事印尼峇里島聯誼活動



2. 理監事日本北海道聯誼活動



其他聯誼活動

會員公司從業人員登山健行活動：

共計485人參加，目的為促進本會會員公司從業人員健康自然之休閒活動，特舉辦指南宮登山健行，並於中午12:00於指南宮大雄寶殿地下室提供免費午餐及舉行摸彩活動。





輔導就業

「期貨業務人才養成班」第11、12期第一階段、第二階段徵才活動



本會分別於6月及12月份舉辦「期貨業務人才養成班」第11、12期徵才活動，其第11期經電腦媒合結果計25位學員分別為11家公司所錄取；第12期經電腦媒合結果計21位學員分別為7家公司所錄取。



人才培訓

大專院校教師期貨暨選擇權實務體驗營

為使全國各大專院校佐以實務經驗，加強青年學子之學習效果，本會針對大專院校教師舉辦了「第一屆大專院校教師期貨暨選擇權實務體驗營」，培訓計20人。

財務工程期貨商品研發人才培訓班

面對期貨信託事業開放之際，財工班為期貨信託事業再度培養出專業的生力軍，本次培訓計33人。

個股選擇權業務推廣師資班共三期(北、中、南)

為使各會員公司優秀之業務員深入了解個股選擇權商品的新制度，以協助一般投資大眾利用個股選擇權創造另類新契機，本會特舉辦「個股選擇權業務推廣師資班」，培訓計134人。

期貨從業人員法律實用講座共三期(北、中、南)

為引導從業人員具備正確的法律觀念，在自己的工作與生活中，避免誤蹈法網，本會特舉辦「期貨從業人員法律實用講座」，培訓計124人。

三、督促會員自律、共謀業務上改進事項

1.期貨顧問事業查察輔導事項

本會97年度針對期貨顧問事業之業務及內部稽核作業實施查察輔導工作，例行訪查期貨顧問事業共計27家，專案查核期貨顧問事業25件。其中違反本會「會員自律公約」，發函會員公司要求改善者5件；警告者14件；科違約金者6件；敦請會員自行處分者6件；人員停止執行業務1個月者1件。

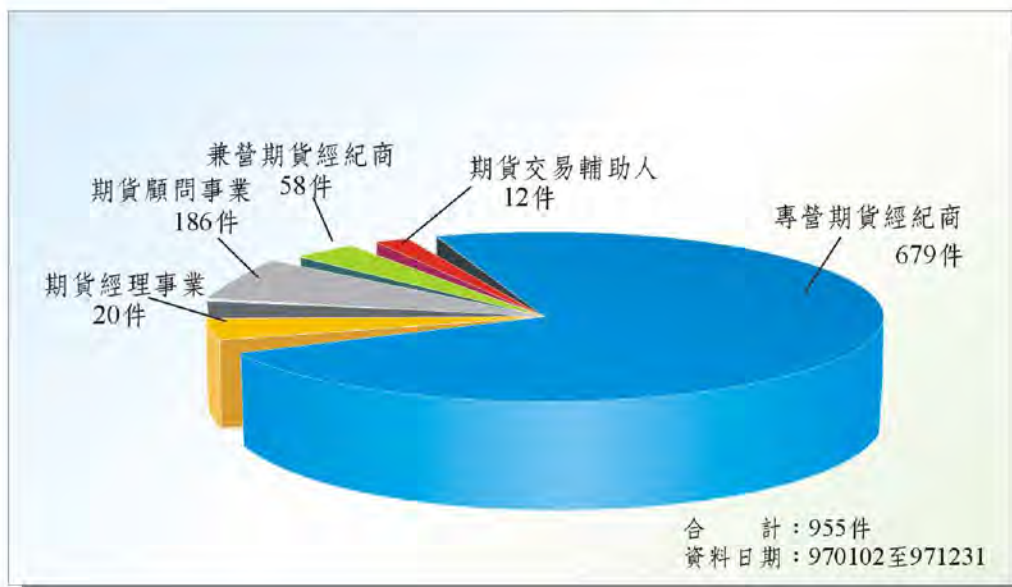
2.其他違規事項

會員公司97年度違反本會「會員自律公約」，經本會發函會員公司要求改善者8件；警告者3件；科違約金者2件；敦請會員自行處分者5件。

四、關於會員業務之廣告及宣傳審查事項

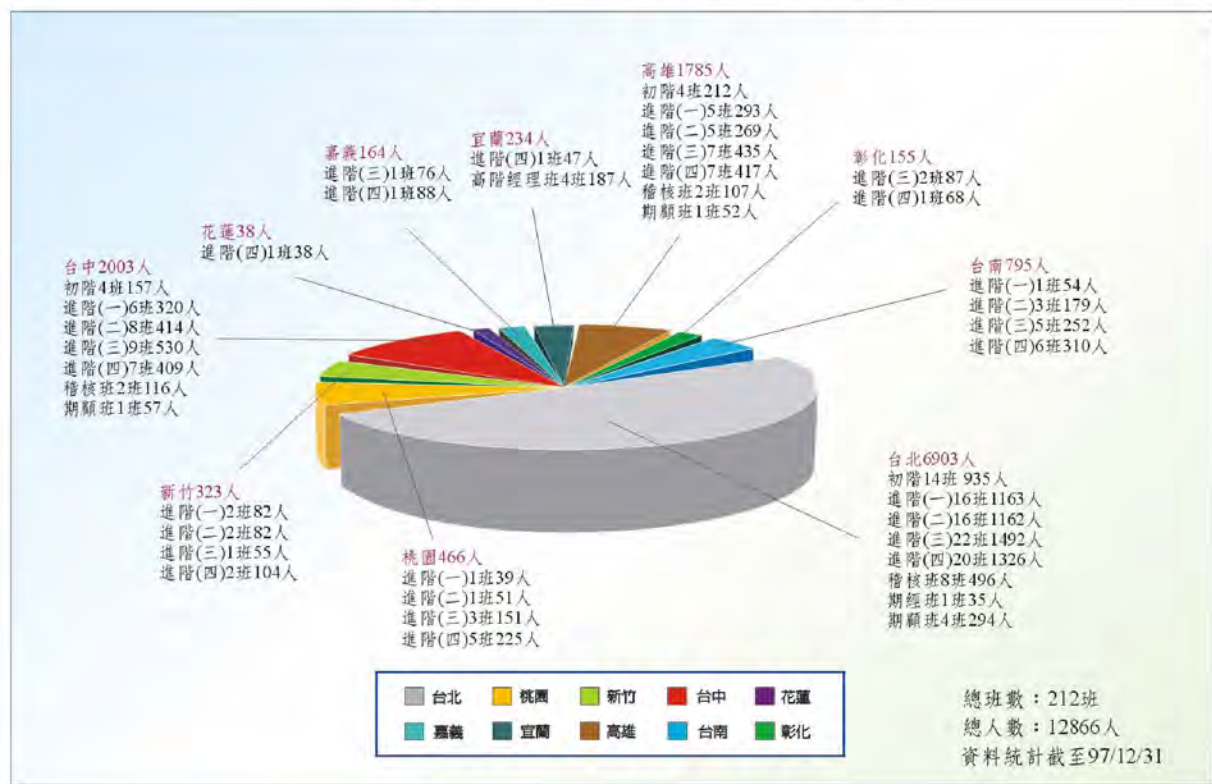
- 為維護合法業者之專業形象，並保障期貨交易人權益，規範本會所屬會員於對外進行宣傳廣告行為前，須向本會報備。97年度宣傳資料及廣告物等審查合計955件。

97年度宣傳資料及廣告申報件數統計



五、在職訓練

2008年度舉辦之地區別、班別及人數詳如下表：

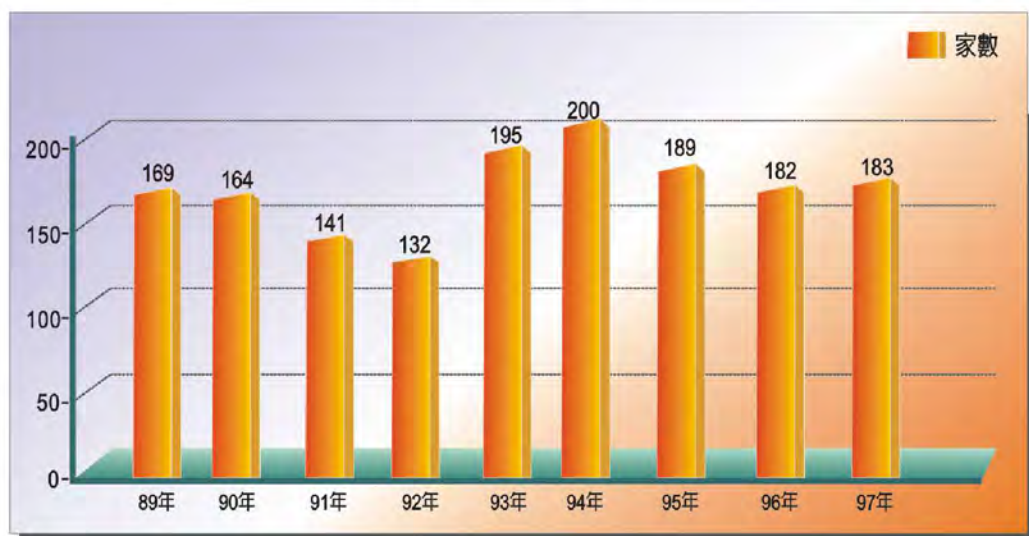


六、關於會員、會員代表、會員負責人及業務員基本資料之建立、登記事項

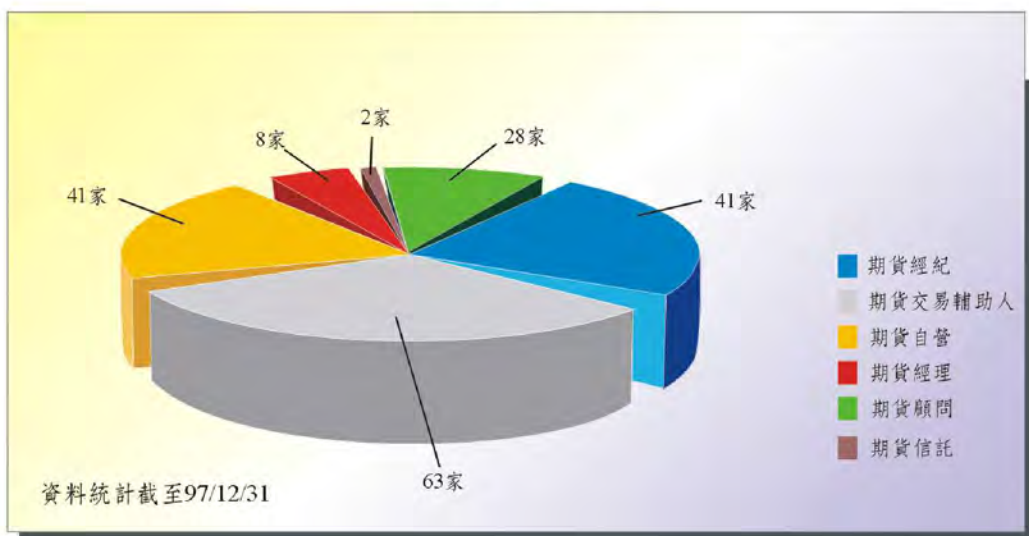
1. 會員及業務員基本資料之建立及登記事項

- 會員家數：共計183家，其中經營期貨經紀業務為41家（22%）；期貨業務輔助人63家（34%）；期貨自營業務41家（22%）；期貨經理業務者8家（4%）；期貨顧問業務者28家（15%）；期貨信託業務者2家（1%）。

89-97年會員家數統計圖

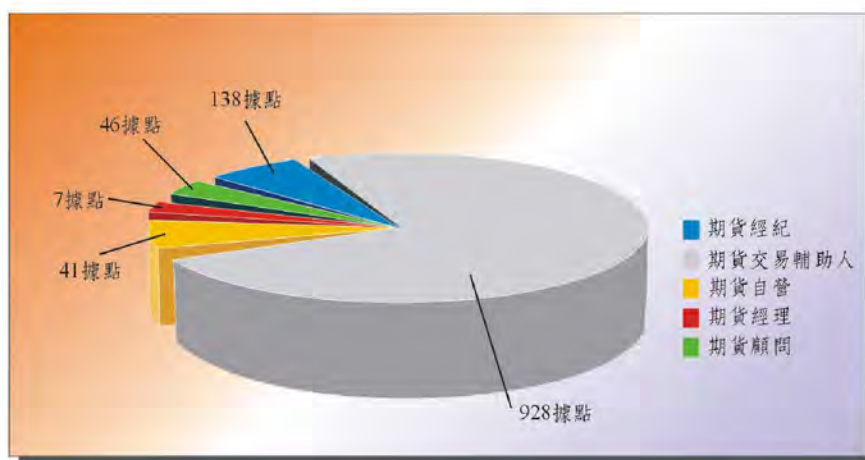


97年會員類別統計圖

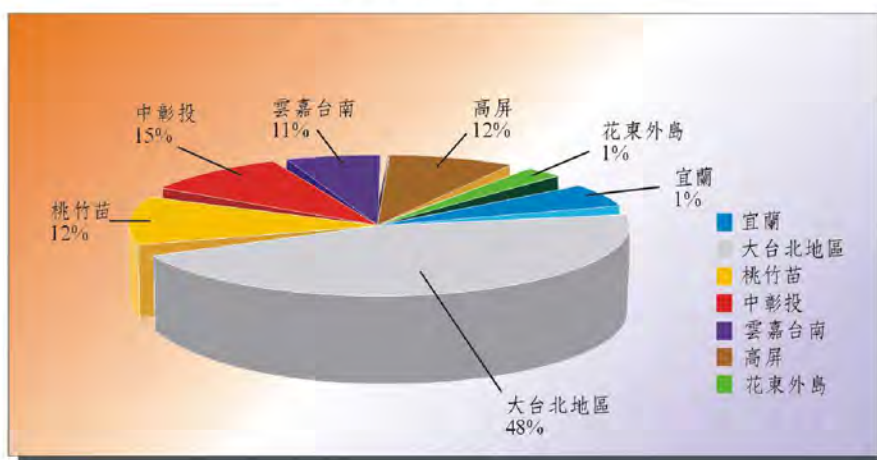


- 會員總分公司分支機構數：共計1,160家，其中經營期貨經紀業務為138個營業據點（11%）；期貨業務輔助人928個營業據點（80%）；期貨自營業務41個營業據點（4%）；期貨經理業務者7個營業據點（1%）；期貨顧問業務者46個營業據點（4%）。

期貨營業據點統計圖



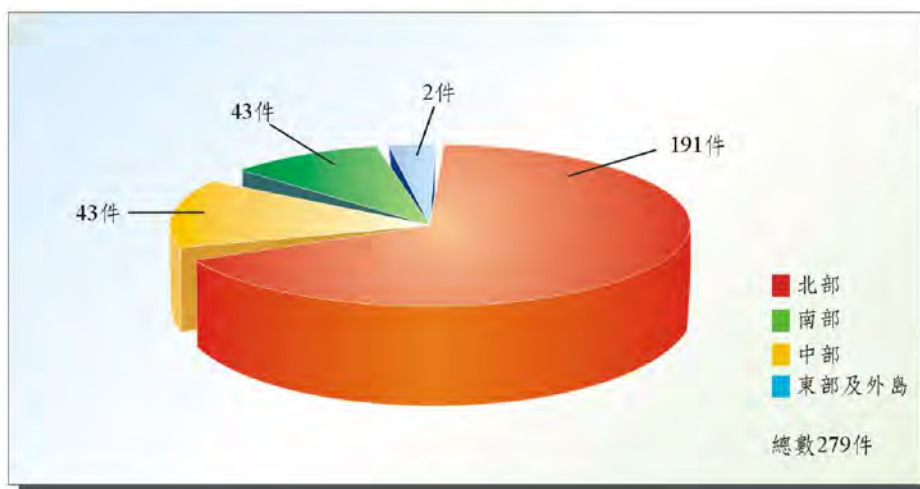
營業據點統計資料



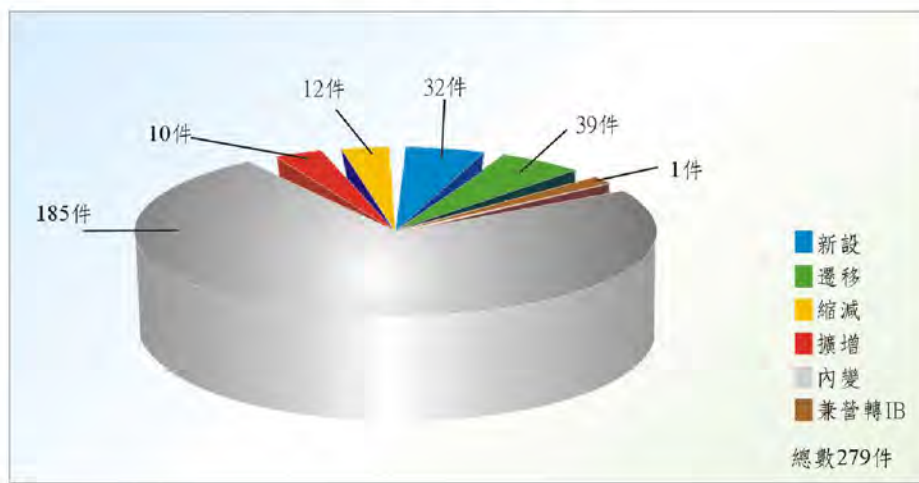
● 會員場地勘察

97年度共計279件場勘案(北部地區191件、中部地區43件、南部地區43件、東部地區2件)，就其場勘案件分析，新設營業處所32件(11.72%)、遷移營業處所39件(14.29%)、縮減營業處所12件(4.40%)、擴增營業處所10件(3.66%)、營業處所內部配置變動185件(65.57%)、兼營轉IB1件(0.36%)。

97年場地勘察統計圖



97年場地勘察類別統計圖



2.會員委託證照之申請變更、換領及其他服務事項

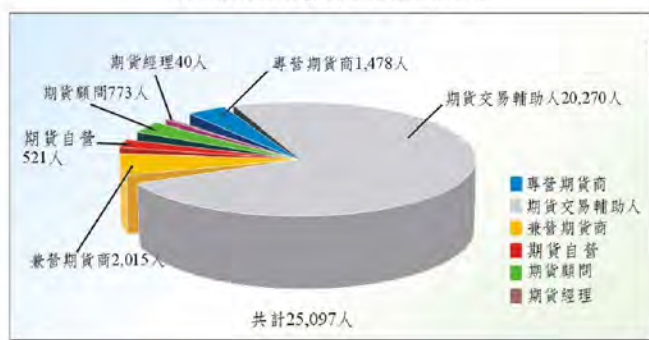
- 會員代表、會員負責人97年度於本會異動登錄區分如下：

97年身分類異動統計



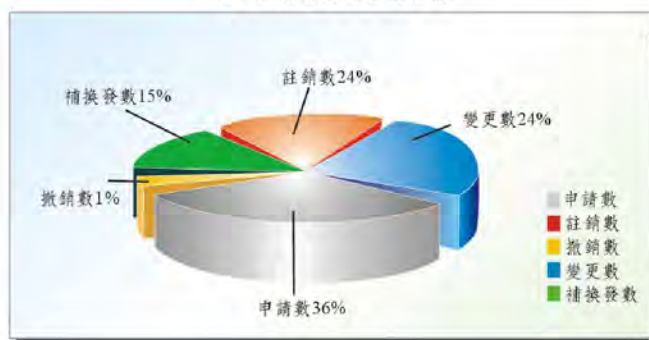
- 截至97年年底，共有25,097位期貨業業務員於本會登錄，登錄業別細分如下：

97年期貨業業務員登錄業別統計圖



- 97年度共計受理12,222件會員業務員之登錄件，平均每月處理1,019件：

97年業務員受理登記件數



資料統計截至97/12/31

七、本會出版品

1. 會訊



2. 期貨人季刊



3. 台灣期貨研究叢書



4. 台灣期貨與衍生性商品學刊

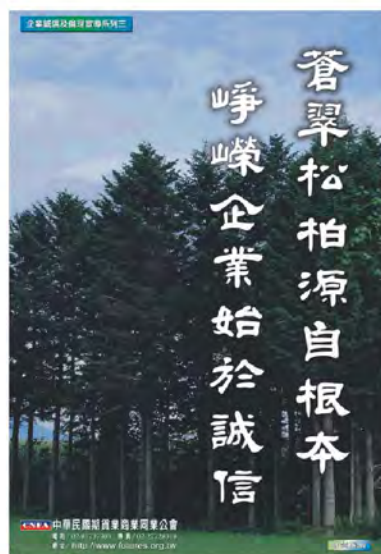
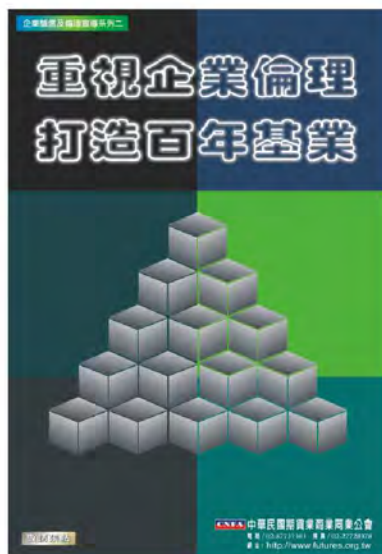


5. 手冊



6. 宣傳海報：

本會為配合政府反貪促廉及節能減碳政策宣導，製作精美海報並寄發給所有會員總分公司廣為張貼，以達宣導效果。



伍、財務報告

PRICEWATERHOUSECOOPERS 

資誠會計師事務所

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會計師查核報告

(98)財審報字第 08002465 號

中華民國期貨業商業同業公會 公鑒：

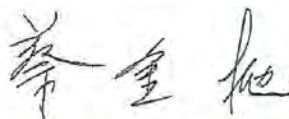
中華民國期貨業商業同業公會民國九十七年十二月三十一日之資產負債表及財產目錄，暨民國九十七年一月一日至十二月三十一日之收支決算表、現金出納表及基金收支表，業經本會計師查核竣事。上開會計報告之編製係管理階層之責任，本會計師之責任則為根據查核結果對上開會計報告表示意見。中華民國期貨業商業同業公會民國九十六年度之會計報告係由其他會計師查核，並於民國九十七年三月七日出具無保留意見之查核報告，惟如會計報告附註三(十三)所述，因以前年度係按購置會所預算數認列為當期經費支出，現修改為按實際發生購置會所支出時再予以認列購置費，中華民國期貨業商業同業公會業將民國九十六年度會計報告予以修正重編，而前任會計師並未重簽查核報告。本會計師經採用必要之查核程序，查核重編報告之調整分錄，依本會計師之意見，前述調整分錄尚稱允當，且經適當處理。

本會計師係依照一般公認審計準則規劃並執行查核工作，以合理確信會計報告有無重大不實表達。此項查核工作包括以抽查方式獲取會計報告所列金額及所揭露事項之查核證據、評估管理階層編製會計報告所採用之會計原則及所作之重大會計估計，暨評估會計報告整體之表達。本會計師相信此項查核工作可對所表示之意見提供合理之依據。

依本會計師之意見，第一段所述民國九十七年度會計報告在所有重大方面係依照內政部頒布之「工商團體財務處理辦法」及中華民國一般公認會計原則編製，足以允當表達中華民國期貨業商業同業公會民國九十七年十二月三十一日之資產負債狀況，暨民國九十七年一月一日至十二月三十一日之收支情形。

資 誠 會 計 師 事 務 所

會計師



中華民國九十八年三月二十一日

國立中央大學商業管理學院

前息負債表

民國九十七年十二月三十一日

中華民國十九年十二月三十一日

	97年	12月	31日	96年	12月	31日	單位：新台幣萬元
買入	金額	%	金額	%	金額	%	
流動資產							
現金及銀行存款(附註三(一))	\$ 38,408,918	9	\$ 18,795,568	4	\$ -	-	
有價證券(附註三(二))	67,307,402	15	101,520,000	24	11,112,318	2	\$ 30,913
應收帳款(附註三(三))	1,359,452	-	8,927,883	2	-	-	\$ 8,355,715
其他應收款(附註三(四))	2,190,237	1	2,892,038	1	1,047,209	-	832,435
預付事項	414,527	-	83,221	-	12,159,617	2	9,279,284
流動資產合計	109,680,236	25	132,229,798	31	-	-	-
基金							
台灣證券投資信託基金-第一專戶存款(附註三(五))	58,528,670	13	49,602,554	12	-	-	71,280,000
台灣證券投資信託基金-第二專戶存款(附註三(六))	15,281,404	4	14,037,459	3	-	-	-
台灣證券投資信託基金-第三專戶存款(附註三(七))	79,173,680	16	59,385,832	12	82,179,317	18	80,559,264
基金合計	147,983,754	33	114,035,846	27	-	-	-
固定資產(附註三(八))							
土地	78,794,345	18	78,794,345	18	-	-	-
房屋及建築	27,906,678	6	21,955,961	5	-	-	-
車輛設備	280,995	-	77,465	-	64,528,370	14	56,671,932
傢俱設備	8,920,725	2	9,139,892	2	17,803,211	4	16,527,748
運輸設備	652,381	-	652,381	-	112,014,787	27	111,939,277
雜項設備	1,459,663	-	1,218,203	-	200,349,668	45	185,038,955
固定資產合計	118,014,787	25	111,836,277	25	-	-	-
負債、基金及餘額計							
其他負債							
累計損益(附註三(十一))	-	-	-	-	104,448,997	37	236,739,249
本期盈餘	55,300	-	659,300	-	(1,212,205)	-	(72,253,252)
自營基金-第一專戶存款	70,020,000	16	71,280,000	17	163,234,792	37	154,446,997
其他資產合計	70,075,300	16	71,939,300	17	363,584,469	82	349,485,952
負債、基金及餘額計	\$ 445,764,077	100	\$ 430,045,216	100	\$ 445,764,077	100	\$ 430,045,216

清季鄂後州會計報告附註暨資產負債會計師事務所基金協會會計師民國九年三月十一日發表報告

— 1 —

一、普通教育

蘇州府志

..
作
三

中華民國期貨業商業同業公會

收支決算表

民國九十七年一月一日至十二月三十一日

單位:新台幣元

科 目	決算數	預算數	決算與預算比較數		說明
			增 加	減 少	
經費收入					
入會費收入	\$ 24,000	\$ 14,400	\$ 9,600	\$ -	
常年會費收入	1,873,600	1,932,000	-	(58,400)	
業務費收入(附註三(十二))	71,905,468	74,987,048	-	(3,081,580)	註1
利息收入	7,137,697	5,148,972	1,988,725	-	註2
專案計劃收入	765,189	952,380	-	(187,191)	
委託收入	16,034,719	15,152,836	881,883	-	
其他收入	2,404,935	788,511	1,616,424	-	註3
收入合計	100,145,608	98,976,147	4,495,632	(3,327,171)	
經費支出					
人事費	26,929,701	29,096,167	-	(2,166,466)	註4
辦公費	6,695,534	7,024,895	-	(329,361)	
業務費	43,893,189	46,853,069	-	(2,959,880)	註5
購置費	10,558,263	450,000	10,108,263	-	註6
團體會費	1,070,000	1,070,000	-	-	
什項支出	338,461	230,000	108,461	-	
專案計劃支出	772,012	1,346,000	-	(573,988)	
預備金	-	1,000,000	-	(1,000,000)	
基金提存(附註三(十三))	11,100,653	11,906,016	-	(805,363)	
支出合計	101,357,813	98,976,147	10,216,724	(7,835,058)	
本期餘絀(稅前)	(1,212,205)	-	(5,720,092)	4,507,887	
所得稅費用(附註三(十))	-	-	-	-	
本期餘絀(稅後)	(\$ 1,212,205)	\$ -	(\$ 5,720,092)	\$ 4,507,887	註7

請參閱後附會計報告附註暨資誠會計師事務所蔡金拋會計師民國九十八年三月二十一日查核報告

註1:業務費收入減少,主係本期10月開始經理監事會議決議,視結餘情況調整折扣數所致。

註2:利息收入增加,主係本期利率比原估計利率高所致。

註3:其他收入增加,主係工作經費業務及場勘業務增加所致。

註4:人事費用減少,主係保險費及教育訓練支出減少所致。

註5:業務費減少,主係會議費支出減少及本期考察觀摩費支出較少所致。

註6:購置費增加,主係會務工作需要農演會所及購買設備所致。

註7:本期期餘絀係以指撥累積餘絀-購置會所預備金支應,符合年度與資產負債表之累計餘絀數併計。

理事長:



秘書長:



會計主管:



製表:



陸、大事紀要

日期	活動名稱
1/3~2/5	「財務工程商品研發人才培訓班」第一期
1/28~2/1	「大專院校教師期貨暨選擇權實務體驗營」第一期
1/31	第2屆常務理監事第4次聯席會議
2/19	「從業人員網路部落格行銷管理」研討會
2/25	公會春酒
2/26~27	公會內部教育訓練-ISO9001內部稽核系列課程
2/27	「如何前進歐洲期貨市場~歐洲期交所的交易優勢」研討會
2/27	上海期交所來訪
2/27~5/5	2008期貨校園徵才巡迴講座共38場
3/8~9	期貨業常見缺失與案例研討會—台中清新溫泉會館
3/13	CME「利用農產品期貨管理風險」研討會
3/14	第2屆常務理監事第5次聯席會議
3/18	東京工業品交易所商品期貨說明會
3/20~6/25	「財務工程商品研發人才培訓班」第二期
3/21	第2屆理監事第4次聯席會議
4/7	期貨信託基金風險評量作業要點第一次座談會
4/9~10	期貨論壇「期貨基金之操作與風險管理」研討會
4/14	期貨信託基金風險評量作業要點第二次座談會
4/16	期貨信託基金風險評量作業要點第三次座談會
4/17	第2屆常務理監事第6次聯席會議
4/21、25、30	高物價時代如何利用股票與黃金增加投資報酬說明會—台北場、高雄場、台中場
5/2	「期貨信託基金總風險暴露計算暨績效費收取」座談會
5/3~4	第2屆第1次委員會聯誼活動—南投二日遊
5/9~10	「期貨業未來發展建言」研討會—台中清新溫泉
5/13	期貨信託基金總風險暴露計算方式一致性規範第一次座談會
5/16	本會喬遷新會所開幕酒會

日期	活動名稱
5/16	第2屆理監事第5次聯席會議
5/17~18	第2屆第2次委員會聯誼活動—淡水休閒農場二日遊
5/22	期貨信託基金總風險暴露計算方式一致性規範第二次座談會
6/5	第2屆第2次會員代表大會
6/6	期貨信託相關法規修訂第一次座談會
6/10	期貨論壇「有價證券抵繳保證金與期貨商業項目國際化」
6/16	期貨信託相關法規修訂第二次座談會
6/24~25	第11期「期貨業務人才養成班」聯合徵才面試
7/4	研議「修正期貨經理事業全權委託期貨交易業務操作辦法與內部人員從事期貨交易管理辦法」會議
7/8	研商「結算保證金利息計算標準」會議
7/11	研議「修正期貨經理事業全權委託期貨交易業務操作辦法與內部人員從事期貨交易管理辦法」會議
7/14	期貨信託業務座談會
7/15	第2屆常務理監事第7次聯席會議
7/17	中國金融期貨交易所來訪歡迎晚宴
7/24、29、31	人口販運暨洗錢防制座談會—高雄場、台中場、台北場
7/31	「TCP/IP交易平台」座談會
8/7	期貨信託基金銷售機構宣導座談會
8/12	期貨信託業務座談會
8/14	第2屆理監事聯席會議第6次會議
8/27	網路行銷自律規則案例說明會
8/29~9/7	理監事澳洲證交所CFD考察
9/17	ISO外部稽核
9/23	期貨信託基金資產價值計算標準座談會
9/23~26、30	「股市低迷之際，如何操作期貨與選擇權避險及獲利」講座共八場
9/25	第2屆常務理監事第8次聯席會議

日期	活動名稱
9/26~11/8	「期貨從業人員法律實用講座」第一期—台北班
10/16	「期貨商納入Basel II標準法計算自有資金適足比率」說明會
10/17	大陸鄭州交易所來訪
10/18	2008年「指南宮登山健行活動」
10/21	研商「結算保證金利息計算標準」會議
10/24-12/6	「期貨從業人員法律實用講座」第二期—台中班
10/30	第2屆理監事聯席會議第7次會議
10/30	「期交所介紹期貨市場新制度」座談會
11/5~7	「個股選擇權業務推廣師資班」第一期—台北班
11/6	第2屆常務理監事第1次臨時聯席會議
11/7-12/20	「期貨從業人員法律實用講座」第三期—高雄班
11/10	「次級房貸之前因與後果：對金融投資與企業的影響」講座
11/17	第2屆常務理監事第2次臨時聯席會議
11/18、12/8 12/10、12/12 12/15、12/26 12/29、12/31	「如何利用個股選擇權增加投資效益」講座共八場—台北、台中、高雄
11/21~11/22	「個股選擇權業務推廣師資班」第二期—高雄班
11/26~11/30	理監事印尼峇里島聯誼活動
11/27	第2屆常務理監事第9次聯席會議
11/28~29	「個股選擇權業務推廣師資班」第三期—台中班
12/2~5	2008年CIDE第4屆中國(深圳)國際期貨大會
12/3	期貨論壇「海峽兩岸期貨市場相互開放探討」
12/4	第2屆經紀業務委員會第19次會議
12/7	證券投資顧問兼營期貨顧問事業聯誼活動
12/8~9	「2008年期貨論壇—演算法交易與金融危機對期貨市場之影響」
12/10~14	理監事日本北海道聯誼活動
12/16~17	第12期「期貨業務人才養成班」聯合徵才面試
12/24	期貨論壇「金融市場整合下的期貨商因應之道」

I. Preface

The 2008 was the most brilliant year of Taiwan's futures industry and also the most memorable year for the Chinese National Futures Association (CNFA). Despite the serious impact of the global financial storm, Taiwan's futures industry made a breakthrough in its annual profit. Meanwhile, the CNFA completed the historic mission of moving to a new office building in April.

In fact, the global futures market attained a remarkable growth of 11.72% in 2008 while Taiwan's futures market saw an even higher growth of 18.73%. The futures market became especially vigorous at a time of market tumbling, bringing its functions of price-discovery and risk-hedging into full play. For futures companies, it's even more gratifying to see the public recognize the importance of futures for the financial market than to make profits of their own.

The CNFA, since established, used to work in an office borrowed or rented over the past 14 years. After undergoing the difficult time in its early stage, the Association gradually grows with accumulating retained profit. It finally acquired an office at the end of 2007 and made formal inauguration in April 2008. It's my honor to lead the Association to complete this historic mission in my capacity as its chairman. Besides the support and assistance of the regulatory agencies, I'm especially thankful for the excellent leadership of the past chairmen and the efforts of all our working staff. The permanent office provides a stable and pleasant working environment where, I believe, we will be able to offer even better services.

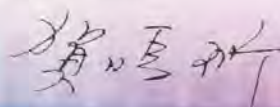
There was another great achievement for the futures industry in 2008. That's the opening of the futures trust business, following more than two years of planning. Seven companies (like Polaris, Fuhwa, Yuanta, Cathay, Prudential, and Fubon) have filed applications, scheduled to start operations in 2009. The launch of futures trust fund will accentuate the role of futures for assets management.

While the domain of futures market is about to be completed, it's another major task for the futures industry to react to the closer cross-straits link. The mainland's futures market has great potential for growth in the future. Taiwan's futures companies have the advantages of risk-control capability, IT talents, and management expertise to get an upper hand on the mainland market.

While Taiwan and the mainland have reached the consensus for signing a MOU (Memorandum of Understanding) for cooperation in financial supervision, the CNFA will take active actions to help member companies to explore the mainland market. It has set up a cross-straits affairs committee and will expand its working staff to gather market information, provide consulting services, and serve as a platform for promoting cross-straits interactions. The CNFA will continue to call for eased mainland investment regulations and provide assistance regarding capital, tax, manpower, and other related issues.

For the futures industry, every year marks the beginning of a new target. For the year of 2009, we will place more attention on the mainland affairs and will overcome barriers ahead with our enthusiasm, activism, and willpower. We will continue to promote our services with the assistance and supports of the government, member companies, as well as all related persons. Let's work together to achieve the goals of the year.

CNFA Chairman



II. Introduction

A. CNFA History

- The Chinese National Futures Association (the Association) dates back to the mid-1990s as its predecessor “Taipei Futures Association” was founded on April 17, 1995. It was upgraded as a national organization on June 21, 2004 and obtained the certificate on June 30 of the same year, a move that reflected the market liberalization, business diversification, as well as expansion in association's membership and covered geographical area.
- As a national organization, the Association takes charge of membership registration, on-site inspection of member company's offices, training of futures workers, and self-discipline of member companies. For healthy development of Taiwan's futures market, the Association develops a highly efficient administrative mechanism to fulfill its four major duties of membership registration, on-site inspection, training of futures workers, and self-discipline of member companies. Meanwhile, it plays an active role in coordinating among member companies and promoting communication and interaction between member companies and the regulatory agency, paving a sound foundation for healthy and steady development of Taiwan's futures market.

B. Goals

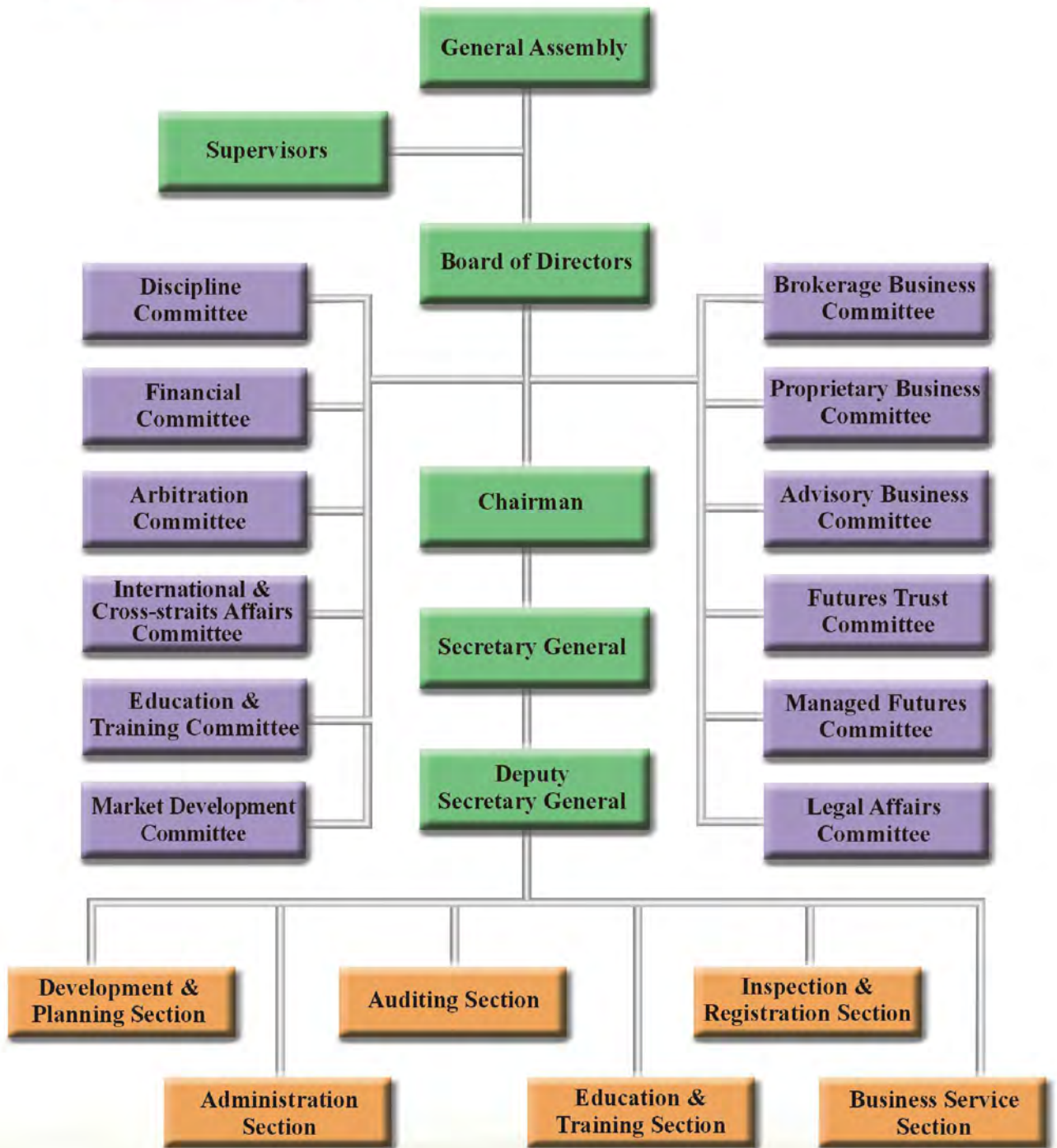
- The Association was established under the goals of protecting investors, boosting national economic development, coordinating among members, and promoting common interest of the society.

C. Objectives

- To promote futures market development in cope with national economic development
- To make survey, compile statistics, and conduct R&D projects about the businesses of member companies
- To make research and suggestions about government's policies and propose revisions to futures-related regulations
- To supervise self-discipline practices of member companies as well as coordinate among members for business promotion and improvement
- To arbitrate disputes among members
- To arrange career training courses and lectures for employees of member companies
- To supervise advisements, exhibitions, and other promotional activities of member companies
- To make registrations, conduct survey, as well as keep records of members, member representatives, and employees of member companies
- To revise or renew licenses of member companies and handle related issues
- To organize or participate social welfare activities
- To protect legitimate rights and interest of member companies
- To take disciplinary actions against wrongful or illegal behaviors of member companies
- To offer the services on request of government agencies or non-profit organizations
- To take part in social activities
- To uphold fair and efficient market order and protect the rights of clients of member companies and other futures traders
- To prevent manipulation, hedging, cheating, fraud, concealment, or other wrongful activities which would mislead futures traders, clients, or other persons associated with futures trading
- To offer other related services on member company's requests in accordance with the government's policies and regulations

III. Association Structure

A. Organizational Chart



B. Committees and Responsibilities

1. General Assembly: member companies, based on their business categories, assign up to seven representatives each to take part in the General Assembly. There were a total of 342 member representatives in 2008.

■ Member companies: the Association was composed of 183 member companies as of the end of 2008.

- (1) Specialized futures brokerage companies: 18
- (2) Concurrent futures brokerage companies: 19
- (3) Futures introducing brokers (IB): 63
- (4) Foreign re-engaging brokers: 4
- (5) Proprietary futures commission merchants: 41
- (6) Managed futures enterprises: 8
- (7) Futures advisory enterprises: 28
- (8) Futures trust enterprises: 2

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

■ Responsibilities:

- (1) To elect or recall board members or supervisors
- (2) To make and revise CNFA Charter
- (3) To approve annual working plans, budget, auditing reports, and R&D projects
- (4) To review proposals approved during the meetings of board members, supervisors, or General Assembly.
- (5) To take disciplinary actions against members or member representatives
- (6) To dispose properties of the Association
- (7) To approve settlement report and appointment of settlement persons as well as handle other settlement-related issues
- (8) To approve dismissing of any board member or supervisor

(9) To approve entry fee, annual membership fee, business promotion fee, and donations of members

(10) To approve other issues associated with member's rights or obligations

2. Board of Directors

■ Board members: the 33 board members were elected by member representatives during the General Assembly and 11 standing board members were elected by the 33 board members.

■ Authority: the Board of Directors is a standing body and also the highest executive body of the Association. The Chairman is elected by board members and acts as representative of the Association.

■ Responsibilities:

(1) To convene General Assembly and execute its decisions

(2) To elect or recall chairman or standing board members

(3) To approve resignation of chairman or board members

(4) To approve entry, withdrawal, or nullification of membership or member representative

(5) To make annual working plans, budget, auditing report, and R&D projects

(6) To approve appointment or dismissing the Association's administrative staff workers, advisors, or research staff workers

(7) To approve the Association's new regulations or revisions to the CNFA Charter or regulations

(8) To deal with the projects approved at meetings of supervisors

(9) To hold a meeting to discuss the proposals originally tendered for discussion at the General Assembly which fails to be held due to certain reasons. Decisions made during the meeting will be reported to the next General Assembly for its approval.

(10) To take disciplinary actions against the members who fail to pay membership fees

(11) To handle issues in accordance with laws or CNFA Charter and CNFA related regulations

(12) To handle other related issues

3. Supervisors

■ Supervisors: the 11 supervisors are elected by member representatives during the General Assembly; three standing supervisors are elected by supervisors themselves and they accordingly elect one convenor.

■ Authority: it's the highest supervising body of the Association.

■ Responsibilities:

- (1) To elect or recall standing supervisors
- (2) To supervise the Board of Directors' execution of the projects approved by the General Assembly
- (3) To supervise the execution of the Board of Directors for the Association's working plans
- (4) To review the accounting reports which have been approved by the Board of Directors.
- (5) To review the financial reports which have been approved by the Board of Directors.
- (6) To make annual supervisory report to the General Assembly
- (7) To approve resignation tendered by any standing supervisor or supervisor
- (8) To handle other related issues

4. Committees: the Association set up 12 committees to take charge of brokerage business, proprietary business, advisory business, managed futures, futures trust, legal affairs, market development, self-discipline, education & training, finance, arbitration, international affairs & cross-strait affairs.

■ Committee members: CNFA Chairman appoints convenor for each committee and every convenor invites industrial experts, officials, scholars to serve as committee members.

■ Authority: each committee works to fulfill its goals and duties in cope with the development of the futures market.

Committees and their responsibilities:

Brokerage Business Committee

- (1) To improve and promote futures brokerage business as well as make communications and coordination among futures brokers
- (2) To offer services to futures traders

- (3) To make annual work plan
- (4) To handle other related issues

Proprietary Business Committee

- (1) To improve and promote the proprietary business of futures companies as well as make communications and coordination among them
- (2) To make annual work plan
- (3) To handle other related issues

Advisory Business Committee

- (1) To improve and promote futures advisory business as well as make communications and coordination among members engaged on this business
- (2) To offer services to clients
- (3) To make annual work plan
- (4) To handle other related issues

Managed Futures Committee

- (1) To improve and promote managed futures services as well as make communications and coordination among companies engaged on this business
- (2) To offer services to clients
- (3) To make annual work plan
- (4) To handle other related issues

Futures Trust Committee

- (1) To improve and promote futures trust services as well as make communications and coordination among futures trust enterprises
- (2) To offer services to beneficiaries
- (3) To make annual work plan
- (4) To handle other related issues

Legal Affairs Committee

- (1) To collect and keep file of futures regulations, laws, and other related documents
- (2) To make research and analysis on futures regulations, laws, and government's policies
- (3) To provide legal and contract consulting service or other assistances to members and futures traders
- (4) To gather and compare domestic and foreign futures regulations, laws, contracts, and other related documents
- (5) To provide legal consulting services to other committees

Market Development Committee

- (1) To make research as well as propose and execute market development projects
- (2) To arrange and coordinate domestic and international public relations and communications
- (3) To handle other related issues

Discipline Committee

- (1) To draft self-discipline rules as well as execute the rules and supervise self-discipline practices of member companies
- (2) To help member companies comply with working ethics
- (3) To handle other related issues

Education & Training Committee

- (1) To arrange pre- and on-job training programs for futures workers
- (2) To arrange visit, speeches, lectures, leisure activities, and sporting activities for member companies
- (3) To compile and publish futures-related publications
- (4) To arrange futures investment promotion activities
- (5) To arrange other education-related issues such as holding futures license tests and issuing certificates

Financial Committee

- (1) To take charge of membership fees, business service fees, fund-raising, and other related financial issues
- (2) To handle auditing and related issues
- (3) To make budget plan and deal with settlement issues
- (4) To handle other related issues

Arbitration Committee

- (1) To arbitrate futures trading disputes among members
- (2) To arbitrate futures-related disputes among member companies, futures traders, and clients
- (3) To arbitrate disputes involved with futures trading or futures settlement among member companies, futures exchange, and futures settlement institution

International & Cross-straits Affairs Committee

- (1) To promote and coordinate issues about international and cross-straits interaction for futures industry
- (2) To make annual work plan
- (3) To arrange other related issues

5. Administrative staff: the Association's administration is divided into six sections of business service, inspection & registration, education, auditing, administrative management, and R&D, all under the supervision of secretary general and deputy secretary general. Duties of each section are listed as the following:

Business Service Section

- (1) To arrange the General Assembly, meetings of board of directors, and meetings of supervisors
- (2) To arrange communications and coordination among regulatory agency, member companies, and related institutions
- (3) To gather and keep files of information about futures market and member companies
- (4) To study futures laws and regulations and raise suggestions for improvement

- (5) To provide futures-related legal consulting services
- (6) To draft self-discipline rules for member companies

Inspection & Registration Section

- (1) To make on-site inspection of member company's offices
- (2) To manage membership as well as keep files and renew records of futures business representatives
- (3) To issue working license to futures brokers and make registration of member company's new responsible person

Education & Training Section

- (1) To arrange pre-job and on-job training courses for futures workers
- (2) To arrange futures lecturers, seminars, and other promotional activities
- (3) To arrange social and leisure activities for futures workers

Auditing Section

- (1) To inspect advertisement and promotional documents of member companies
- (2) To inspect financial conditions of member companies and provide assistances
- (3) To make initial review of the documents of member companies before forwarding them to regulatory agency and keep files of these documents
- (4) To execute self-discipline rules and make auditing inspection for member companies in accordance with regulatory agency's instructions

Administration Section

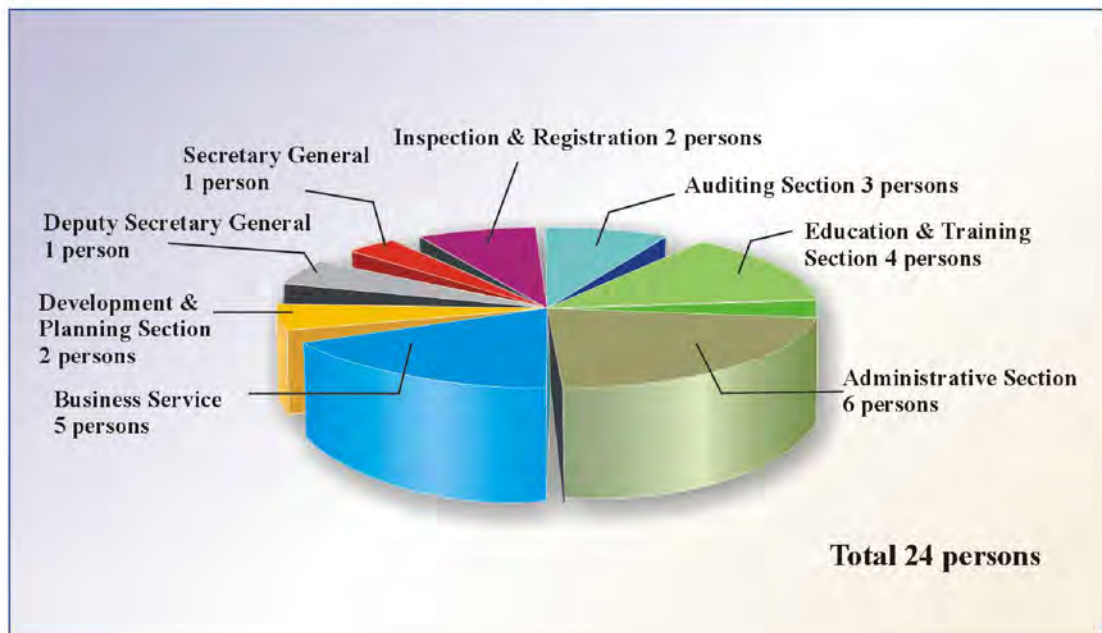
- (1) To supervise Association's procurement projects and protect its assets
- (2) To plan, build up, and make maintenance of the Association's website and Internet network
- (3) To make annual budget plan and financial analysis
- (4) To handle accounting issues, raise funds, and manage related financial records
- (5) To raise funds for CNFA-held activities

- (6) To manage personnel, accounting, administration, and document-filing, and other general administrative issues

Development & Planning Section

- (1) To make research on new future-related business and analyze feasibility for introducing it into Taiwan market
- (2) To make research on futures-related topics
- (3) To coordinate outsourcing research projects
- (4) To arrange special research projects, public hearings, seminars, and other related activities
- (5) To plan for promotional activities responding to current national new events
- (6) To gather international futures information and make analysis
- (7) To arrange international interaction and related issues
- (8) To compile and publish the Association's publications

Statistics of Administrative Staff in 2008



3. Board members and supervisors

No.	Title	Name	Company	Position
1	Chairman	Ted M.H. Ho	Polaris Man Financial Futures Co., Ltd.	Chairman
2	Standing Director	Foo-shiung Ho	Yuanta Futures Corp.	Chairman
3	Standing Director	Paul Teng	Concord Futures Corp.	Chairman
4	Standing Director	Chien-Chang Liu	MasterLink Futures Corp.	Advisory
5	Standing Director	Aric Jen	Grand Cathay Futures Corp.	President
6	Standing Director	Tim Sun	Capital Futures Corp.	Chairman
7	Standing Director	Falco Mi	KGI Futures Corp.	Chairman
8	Standing Director	Yiming Huang	President Futures Corp.	President
9	Standing Director	Hsin-Nan Chien	Hua Nan Futures Management Corp.	Chairman
10	Standing Director	Thomas Huang	Jih Sun Futures Management Corp.	President
11	Standing Director	Jerry Hsu	Antay Securities Co.	President
12	Director	Alex Liu	Taiwan International Futures Corp.	Vice President
13	Director	Ricky Hsieh	Nihon Unicom Corp. Taipei Branch	Vice President
14	Director	Vincent Cheng	UOB Bullion & Futures Ltd., Taiwan Branch	President
15	Director	Eric Yeh	MF Global Singapore Pte. Taiwan Branch	President
16	Director	Jerry Chiang	SinoPac Futures Corp.	Chairman
17	Director	Aleck Wu	Taiwan Futures Management Corp.	President
18	Director	Michael Lin	Jih Sun Futures Corp.	Chairman
19	Director	Philip Wang	ADM Investor Services, Inc. Taiwan Branch	President
20	Director	Shih-Chiao Lin	Shinkong Securities Co.	President
21	Director	Clara Ko	SG Securities (HK) Ltd., Taipei Branch	President
22	Director	Vincent Teng	Mega Futures Corp.	President
23	Director	Kevin Liu	IBT Securities Co.	Vice President
24	Director	Charles Liu	Optiver Taiwan Co.	Chief Strategist
25	Director	Peggy Huang	Cathay Futures Corp.	Assistant Vice President
26	Director	Li-Hsien Chang	Waterland Futures Co.	President
27	Director	Tien-Fu Chen	Yung Chuan Securities Co.	President
28	Director	Eric Kao	Ta Chong Securities Corp.	Vice President
29	Director	Winnei Wang	Pacific Securities Corp.	Assistant Vice President
30	Director	Shyy Gang	Fubon Futures Corp.	Chairman
31	Director	Kevin Kao	Polaris Man Financial Futures Co.	President for Proprietary Division
32	Director	William Liang	Global Securities Brokerage and Proprietary Trading	Managing Director
33	Director	R. T. Kao	Dah Chang Securities Co.	President
1	Chief Supervisor	Ian Chan	Cathay Futures Corp.	Vice President
2	Standing Supervisor	Charles Yang	Mega Futures Corp.	Special Assistant to Chairman
3	Standing Supervisor	Chris Ho	Polaris Man Financial Futures Co.	President
4	Supervisor	Chen Li	MasterLink Futures Corp.	Director
5	Supervisor	Alan Fang	Capital Futures Corp.	President
6	Supervisor	James Chen	KGI Futures Corp.	President
7	Supervisor	Wen-Chu Lee	Concord Securities Corp.	President
8	Supervisor	Joyce Sung	Yuanta Futures Corp.	Senior Vice President
9	Supervisor	J. H. Hsu	Hua Nan Securities company	Vice President

IV. 2008 Highlights

A. Execution and research of futures law and related regulations

Making model contracts, report format, and related regulations

1. Procedures for futures trust fund issue, marketing, subscription, and redemption
2. Self-discipline rules on paying deposit with marketable securities
3. Self-discipline rules on collecting deposits in compliance with Standard Portfolio Analysis of Risk (SPAN)
4. Requirements for futures trust fund sales contract
5. Application form for futures trust fund sales termination
6. Model contract for futures trust fund sales (for common fund, principal-guarantee fund, combination fund, or special-requirement fund)
7. Prospectus of futures trust fund
8. Monthly futures trust fund inspection report
9. Guidelines for electronic futures trust fund transaction
10. Model contract for making electronic transaction of futures trust fund
11. Business report guidelines defined in Article 6 of Regulations Governing Futures Advisory Enterprises
12. Required documents for business report defined in Articles 11 and 12 of Regulations Governing Futures Advisory Enterprises
13. Required documents for new business application (or business report) defined in Articles 11 and 12 of Regulations Governing Managed Futures Enterprises
14. Business report guidelines defined in Article 6 of Regulations Governing Managed Futures Enterprises
15. New business application form for futures trust enterprises
16. Guidelines for registration of new futures trust fund sales outlet or sales workers
17. Guidelines for futures trust fund sales staff training courses
18. Guidelines for futures trust fund sales staff qualification test
19. Internal control system for managed futures enterprises
20. Model contract among three parties associated with discretionary futures trading account management
21. Model contract for custodian banking service
22. Model contract for discretionary futures trading account management
23. Model prospectus for discretionary futures trading account management
24. Standards assets calculation formula for futures trust fund
25. Model contract for discretionary futures trust fund management authorized by futures trust enterprise to other professional investment institution (English version)
26. Model contract among three parties associated with futures trust fund management (English version)
27. Joint supervision agreement letter of futures trust enterprise to foreign regulatory agency (Chinese version)
28. Joint supervision agreement letter of futures trust enterprise to foreign regulatory agency (English version)
29. Model contract for CNFA futures advisor appointment
30. Mass media advertisement guidelines for futures advisory enterprises

31. Self-discipline rules on making performance report for managed futures enterprises
32. Model contract for discretionary futures trust fund management authorized by trust enterprise to other professional investment institution (English version)
33. Regulations governing futures trading made by managed futures enterprise's staff workers
34. Regulations governing discretionary futures trading account management service provided by managed futures enterprise
35. Discretionary futures trading account management guidelines for managed futures enterprises
36. Overall potential risk assessment guidelines for OTC financial derivatives transaction made by futures trust fund
37. Guidelines for organizing CNFA committees
38. Self-discipline rules for CNFA members
39. Criteria for passing CNFA-held "Futures Trading Analyzer Qualification Test"
40. Guidelines for handling problematic corporate bond held by futures trust enterprise
41. Model copy of internal control requirements for futures trust enterprise
42. Model copy of internal auditing requirements for futures trust enterprise
43. Check list and working sheet for futures trust enterprise's internal auditing inspection
44. Monthly futures trust fund inspection report
45. Annual futures trust fund inspection report
46. Regulations governing futures trust enterprise's responsible person, employees, and related persons who purchase futures trust fund issued by their own company
47. Guidelines for establishing futures trust fund risk control committee
48. Risk assessment guidelines for futures trust fund managed by futures trust enterprise
49. Guidelines for handling futures trust fund subscription by using credit card
50. Regulations governing futures trust fund advertisements and promotional activities
51. Regulations governing advertisements and promotional activities held by CNFA members
52. Guidelines for arranging beneficiary certificates of futures trust fund
53. Corporate governance guidelines for futures trust enterprises and managed futures enterprises
54. Model copy of accounting standards for futures trust enterprise
55. Model copy of accounting standards for futures trust fund
56. Check list for business report defined in Article 9 of Regulations Governing Futures Trust Enterprise
57. Table of preservation periods for futures trust enterprise's financial and transition records
58. Investment analysis report, decision letter, execution record, and performance assessment report of futures trust fund
59. Model contract for futures trading agent (both Chinese and English versions)
60. Model contract for omnibus futures trading account management agent (both Chinese and English versions)
61. Authorization letter for futures trading agent (both Chinese and English versions)
62. Prospectus of futures trading agent service (both Chinese and English versions)
63. Declaration letter of futures agent for non-disclosure of spot goods (both Chinese and English version)

Research projects

1. To make suggestion to Taiwan Futures Exchange for deposit ratio adjustment
2. To develop law-compliance system for futures companies
3. To request Taiwan Futures Exchange's consent for futures introducing brokers to report changes in futures bidding terminal's location, IP address, sales worker list, among others, on their own
4. To make suggestion to Taiwan Futures Exchange for cut in options settlement fee
5. To request regulatory agency's permission on the new criteria for accessing OTC-stock or Emerging Stock registration application to lower the minimum ratio of adjusted net capital (ANC) to total deposits for all outstanding futures positions over the six months prior to the application from 40% to 20%
6. To request Taiwan Futures Exchange's consent for allocating interest of settlement deposits to settlement members as their feedbacks and establishing a special committee to take charge of the fund
7. To request Taiwan Futures Exchange's approval for relaxing limitation on one single trader's NT dollar-denominated outstanding balance of an omnibus account
8. To request Taiwan Futures Exchange's consent for futures companies to send overdue deposit payment reminder through e-mail
9. To request Taiwan Futures Exchange to define obligations and responsibilities as well as detailed procedure for futures brokers or futures introducing brokers to collect overdue deposit payment
10. To adjust the existing policy that requires futures brokers and futures introducing brokers to mail monthly transaction reports to clients
11. To request member companies to regulate their own employees who conduct advertising or business promotional activities through personal email account or personal blocs
12. Analyzing the practicability for requiring futures bidding terminal operators at concurrent futures brokerage company or future introducing brokerage company to obtain futures broker certificate
13. Proposing procedures for futures introducing brokers to open futures trading account on behalf of futures brokerage company
14. Proposing adjustment to the existing policy that requires futures brokers and futures introducing brokers to mail monthly transaction reports to clients
15. To request Taiwan Futures Exchange to provide subsidy to futures company for upgrading computerized information system
16. To make suggestion to Taiwan Futures Exchange for allowing futures companies to set up branches or subsidiaries in the mainland
17. To make suggestion to regulatory agency for raising the maximum ratio of one futures company's foreign (including mainland area) investments to its nets assets value to 40%
18. To request Taiwan Futures Exchange to propose procedures for appointing members of its transaction, settlement, discipline committees
19. Proposing guidelines for futures companies to mail transaction reports to clients
20. Proposing procedures for futures brokers or futures introducing brokers to manage deposit collection and offsetting issues

21. Proposing relaxed internal control requirements for futures introducing brokers to open futures trading account on behalf of futures broker
22. Proposing training courses for business representatives of futures advisory enterprises and managed futures enterprises
23. Proposing to allow futures traders to pay deposits with marketable securities
24. Proposing to apply SPAN (Standard Portfolio Analysis of Risk) system to common futures traders
25. Proposing model contract for futures advisory service, specifying the differences among different means of refunding and refundable amounts
26. Proposing self-discipline rules for managed futures enterprises to publish performance reports and lower the minimum level of total entrusted amount (for futures trading) subject to disclose operational performance
27. To request regulatory agency to remove the requirement that those managed futures enterprises applying for providing discretionary foreign currency trading account management service should have been established for at least one year
28. Proposing full package of measures for futures introducing brokers to help futures companies handle short-term cash flow and mandatory offsetting services
29. Proposing model contract and self-discipline rules regarding client's creditability investigation for those futures companies which offer loan-granting services to clients
30. Proposing execution plan and timetable for futures companies to apply Basel II standards for calculating their capital adequacy ratio (CAR)
31. Proposing self-disciplines rules for futures companies to collect deposits under Standard Portfolio Analysis of Risk (SPAN) principle
32. Proposing self-disciplines rules for futures traders to pay for deposit with marketable securities
33. To suggest regulatory agency to allow futures companies to serve as securities investment trust fund sales outlet
34. Proposing the operational plan of futures company for serving as securities investment trust fund sales outlet
35. To suggest Taiwan Futures Exchange to revise Article 52-2 of "Taiwan Futures Exchange Business Development Rules" to "if the futures trader fails to specify effective period, the contract will become effective upon contract-signing"
36. To analyze if it's necessary to maintain the policy for a futures trader to pay for deposit or premium through non-designated account under the special situation that the futures trader has to pay a big amount of overdue deposits or has suffered big losses
37. To suggest regulatory agency to broaden the range of assets to be entrusted for discretionary futures trading account management
38. To suggest regulatory agency to relax restrictions on managed futures enterprise's management of its own capital
39. To analyze the possibility for mutual listings of Taiwan-issued and mainland-issued futures on each other's futures market and the possibility for Taiwan to issue mainland stock index futures in Taiwan

B. R&D projects for futures business development

1. Outsourcing projects on special topics

A. Paying Deposits with Marketable Securities & Internationalization of Futures Business Projector manager:

- William Lin and Wen-chang Tuan, researchers at Cross-straits Financial Research Center, Tamkang University

B. Opening of Taiwan and Mainland Futures Markets to Each Other Projector manager:

- Hu Yu-yueh, Dean of Securities and Futures Research Institute, Beijing Technology and Business University

C. Speed of Market Information Disclosure About Futures Trading and Involved Key Factors Projector manager:

- Yu Chang-sung, professor at Yen Tjng Ling Industrial Research Center, National Taiwan University

D. How to Boost Development of Taiwan Futures Market Projector manager:

- Chi Shieve, Professor at Taiwan Credit Rating Association
- Ke Chuan-feng, Assistant Professor at Accounting Department, Soochou University
- Hong Ming-chin, Assistant Professor at Financial Engineering Department, Soochou University

E. Reaction of Futures Companies to Financial Market Consolidation Projector manager:

- Liu We-han, Assistant Professor at Financial Department, Tamkang University
- Huang Tse-sheng, Assistant Professor at International Trade Department, Tamkang University

F. Opening of Leverage Transaction Merchant Project manager:

- Tsai Chao-an, lawyer at Puhua & Associates, correspondent law firm of Pricewaterhouse Coopers

G. Potential Risks Associated with Futures Companies Project manager:

- Feng Cheng-yu, professor at Graduate School of Intellectual Property, National Chengchi University

H. Loss Provision of Futures Companies Project manager:

- Lee Hsiao-ling, certified accountant at PricewaterhouseCoopers

I. Primary Supervision Standards for Futures products Project manager:

- Liang Hai-hsin, lawyer at Giant Era International Law Office

2. Relocation/seminar/workshop/lecture/presentation/forum/promotional program/international conference & foreign business inspection trip/friendship activity for committee members/friendship activity for board members and supervisors/talents-training & employment program

Relocation

CNFA inaugurates new office amid best wishes from distinguished guests

May 16, 2008— the CNFA held an inaugural cocktail party for its new office, participated by representatives of regulatory agencies and peripheral institutions as well as CNFA board members and supervisors. Securities and Futures Bureau Deputy Director General Lee Chi-hsien (now Director General), CNFA Chairman Ted Ho, and Taiwan Futures Exchange President Steve Wang jointly cut the ribbon during the inaugural ceremony.



Lee of Securities and Futures Bureau recognized the CNFA's performance over the past years, especially its efforts for promoting interactions with regulatory agencies and reinforcement of self-discipline rules for member companies. Lee hoped that the new office and working place would enable the CNFA to even strengthen its services and create an even better business environment for the futures industry in Taiwan. CNFA Chairman Ho expected continued support of the regulatory agencies to help the CNFA keep growing and strengthening its cooperation and communications with peripheral institutions. "With assistances of member companies as well as board members and supervisors," he said, "the CNFA will provide best quality services and make perfect performance."

Seminar

(1) “Frequent Misconduct of Futures Workers and Case Study”

The seminar, participated by 47 auditing workers, discussed the misconduct cases of futures companies and the means to prevent these misbehaviors



(2) “How to Explore European Futures Market Advantages of European Futures Market”

The seminar, which attracted over 80 representatives of futures industry to attend, introduced the major products of Eurex, skills for trading Eurex-launched futures and options, as well as its link with other exchanges and the skills for analyzing movement trend of individual products or the overall market.



(3) “Website and Bloc Marketing” for futures workers

The seminar, presided over by CNFA Secretary General Hsieh Mong-long, was joined by eight CNFA committee members. It reached the decision that the CNFA would provide a model letter of agreement that member companies could use for regulating website and bloc marketing activities conducted by their own employees.



(4) “Manage Risk with Agricultural Product Futures” (CME-sponsored)

The seminar, sponsored by the CME Group, was attended by nearly 150 traders of spot goods or futures. It's held to promote futures trading and help spot goods traders understand how to use futures to hedge risks.



(5) “How to Boost Futures Market Development”

The activity gathered 38 board members and supervisors to discuss how to boost development of Taiwan's futures market under the three sub-topics of internationalization, cross-straits interactions, and business diversification. Every participant was active to raise suggestions which were then forwarded to regulatory agencies and interested persons for their reference.



(6) “People Peddling & Money Laundry”

The CNFA arranged three rounds of the seminar in northern, central, and southern Taiwan, respectively, participated by a total of 131 persons. Lecturers were arranged by the Money Laundry Control Center under the Investigation Bureau. The seminar was held to support the government's policy for preventing people peddling and money laundry.



Workshop

1. “Risk Assessment Guidelines for Futures Trust Fund” (3 rounds)

2. “TCP/IP Trading Platform”

3. “Guidelines for Futures Trust Fund Sales Outlets”

4. “New Futures Trading System” held by Taiwan Futures Exchange”

Lecture

(1) “Futures Talents Recruitment on Campus” — 38 rounds at various universities

The campaign, which was participated by nearly 2,500 students from 38 universities around Taiwan, created a new channel for futures companies to recruit new talents on campus and helped students learn how to make themselves better fit the demand of futures



(2) How to Trade Stocks and Options during Market Downturn” – 8 rounds in tota

The activity, attended by 573 persons from around the island, was held to promote correct attitude for futures trading as a means to help traders increase returns on investments.



(3) “How to Use Single-stock Options to Increase Profit on Investments” – 8 rounds in Taipei, Taichung, and Kaohsiung

The activity, joined by 584 persons from northern, central, and southern Taiwan, was held to promote new trading system for single-stock options which, coupled with stocks, is designed to help traders pursue higher returns on investments.



(4) “American Sub-prime Housing Loan Problems and Its Effect on Financial Investments and Corporate Financial Management”

With 192 persons among the audience, the lecture helped financial workers gained a better understanding of the American sub-prime housing loan problem as a reference for them to strengthen risk-control capability at work.



Presentation

(1) “Tokyo Commodity Exchange and Its Futures Products”

The presentation on Japanese futures products, participated by 120 futures workers, introduced Tokyo Commodity Exchange as well as its structure and products. It gave detailed information on how Tokyo Commodity Exchange applied the world's most advanced electronic futures trading system and how it gradually converted into a corporation.



- (2) “How to increase profits on stock and gold investments at a time of high CPI” – in Taipei, Kaoshiung, and Taichung

The presentation, which was held in northern, central, and southern Taiwan, respectively, attracted 546 persons to attend. It's held to analyze how to combine stock and gold investments as a means to minimize the impact of inflation.



- (3) “Capital Adequacy Ratio (CAR) for Futures Companies under Basel II Standards”

The presentation, joined by 32 persons, analyzed how to cope with the local market consolidation trend and international market development by following the Basel II principle for calculating the capital adequacy ratio (CAR) for company's overall operations and the ANC (adjusted net capital) ratio for futures business.



- (4) “Self-discipline Rules for Internet Marketing and Case Study”

The presentation, participated by 152 persons, was held to introduce regulations governing Internet marketing activities to help futures workers build up correct attitude and behave in compliance with the law.



Forum

- (1) “Futures Forum –Paying Deposits with Marketable Securities & Internationalization of Futures Businesses”

Regarding the impact of new market system and business globalization trend on futures companies, the CNFA invited William Lin, professor at Tamkang University, to do a research project on this topic and held a forum to discuss the research result at the Primasia International Conference, joined by the chairmen and presidents of member companies.



(2) “Futures Forum – Opening of Taiwan and Mainland Futures Markets to Each Other”

In reaction to the closer cross-straits interactions, the CNFA invited Hu Yu-yueh, Dean of Securities and Futures Research Institute, Beijing Technology and Business University, to conduct a research project on this topic. It analyzed the development course of mainland's futures market, related laws and regulations, as well as the possible patterns for opening Taiwan and mainland futures markets to each other in the future. The CNFA arranged a forum to discuss the research result at the Public Administration and Business Management Center of National Chengchi University, participated by 72 persons.



(3) “Futures Forum – Reaction of Futures Companies to Financial Market Consolidation”

The CNFA appointed Liu We-han, Assistant Professor at Financial Department, Tamkang University, to conduct the research project on this topic. It analyzed potential business opportunities for the futures company as an affiliate of a securities firm. It also examined the impact and business opportunities for futures companies amid the trend of financial diversification. A forum on this project was held at the Public Administration and Business Management Center of National Chengchi University, participated by 28 persons.



(4) “How to Boost Futures Market Development”

The CNFA invited the Taiwan Credit Rating Association to make a research on this topic, aimed at exploring the barriers in the way of the development course of Taiwan futures market and proposing suggestions for improvement. A forum on this project was held at the International Conference Room of Soochou University, participated by 50 persons.



Promotional program

Promotional TV program on “New Thinking on Futures Trading” (12 sections)

The CNFA assigned the CSTV to make a series of promotional TV program on the topic of “New Thinking on Futures Trading” and invited industrial representatives, officials, scholars, and experts for interview at the TV program. It covered a broad range of topics, on new financial products, new market system, new futures business (futures trust) among others, to help futures traders have a new thinking on futures trading.

International conference & foreign business inspection trip

(1) International conference on “Futures Fund Management & Risk Control”

Joined by 156 financial workers and individual investors, the conference on futures trust fund introduced the experience of foreign countries as reference to local financial workers and interested persons.



(2) 2008 Taipei Futures Forum on “Impact of Algorithm Strategy and Financial Crisis on Futures Market”

The 2-day forum, participated by over 150 futures workers and interested persons, was held to introduce the Algorithm Strategy and its application. Foreign experts were invited to share their experiences and viewpoints on the impact of the global financial storm on futures companies.



(3) Visit of delegation of China Financial Futures Exchange

China Financial Futures Exchange President Chu Yu-cheng along with four other high-ranking executives from the trading, settlement, and R&D departments came to visit the CNFA in July. The CNFA held a welcome banquet for them at Regent Hotel on July 19, joined by CNFA board members, supervisors, and representatives of member companies.



(4) Visit of delegations of Zhengzhou Commodity Exchange

The Zhengzhou Commodity Exchange organized a four-member delegation (Bai Li-ming, assistant to director of Market Supervision Department, Zhang Chao, assistant to director of Settlement Department, Wei Zhen-yang, senior supervisor of R&D department, and Lai Shiao-chuan, senior supervisor of Technical Department) to visit Taiwan for a better understanding of the futures worker training system in Taiwan as well as related problems and barriers. They also learned about Taiwan's options market and its promotional strategies.



(5) Visit of CNFA Board Members and Supervisors on Australian Securities Exchange

The CNFA organized a trip, joined by 28 CNFA staff workers, to Australia to learn the CFD (Contracts for Difference) trading system of the Australian Securities Exchange and visit local futures companies for exchange of experiences and viewpoints. The information gathered during the trip would be provided to member companies as their reference.



Friendship activity for committee members

- (1) The first friendship activity for the 2nd board of directors 2-day trip to Nantao County
- (2) The second friendship activity for the 2nd board of directors 2-day trip to leisure farmland in Tamshui, Taipei County

Friendship activity for board members and supervisors

- (1) Trip to Bali Island, Indonesia
- (2) Trip to Hokkaido, Japan

Other social activities

Hiking Activity for employees of member companies

To promote healthy leisure activities for employees of member companies, the CNFA organized a hiking activity in a route to the Chinan Temple in Taipei outskirts, joined by 485 persons. Hikers arrived at the destination by noon to enjoy free lunch and take part in CNFA-sponsored luck-draw activity there.



Talents-training & Employment Program

■ Talents recruitment

The CNFA arranged interviews for selecting qualified persons to take the 11th and 12th terms of “Futures Broker Training Course”

The 11th and 12th terms of “Futures Broker Training Course” were held in June and December, respectively. Through computerized matching, 11 trainees of the 11th term were qualified to take the jobs offered by 11 companies and another 21 trainees of the 12th term qualified to take the jobs offered by 7 companies.

■ Talents-training

■ “Futures & Options Practice Camp” for university teaching faculty

In order to create opportunities for university teaching faculty to experience futures and options trading to strengthen their lectures at class, the CNFA held the “Futures & Options Practice Camp” for university teaching faculty, joined by 20 persons.

■ “Financial Engineering Talents Training Course”

In reaction to the opening of futures trust business in Taiwan, the CNFA arranged the “Financial Engineering Talents Training Course” to provide professional futures trust training, joined by 33 trainees.

■ “Single-stock Options Lecturer Training Course” (3 rounds)

The CNFA arranged three rounds of the “Single-stock Options Lecturer Training Course” in northern, central, and southern Taiwan, respectively, aimed at helping sales representatives have a better understanding of the new market system about single-stock options and promote it as another opportunity for futures and options traders to make profit. The activity (3 rounds) was held with a total of 134 trainees.

■ “Laws Applicable to Futures Workers” (3 rounds)

In order to help futures workers possess correct legal knowledge and behave in compliance with laws at work and in daily life, the CNFA arranged three rounds of the “Laws Applicable to Futures Workers” in northern, central, and southern Taiwan, respectively, joined by 124 trainees in total.

C. Self-discipline of members and improvement of association affairs

1. Inspection of futures advisory services

The CNFA made annual inspection on futures advisory enterprises and their practice of internal auditing. In 2008, it inspected 27 companies and 25 futures advisory projects. Among them, five projects were found against the CNFA Self-discipline Agreement and required to make improvement, 14 received warning notice, six were fined for regulation violation, six were required to take disciplinary actions by themselves, and one was required to suspend operations for one month.

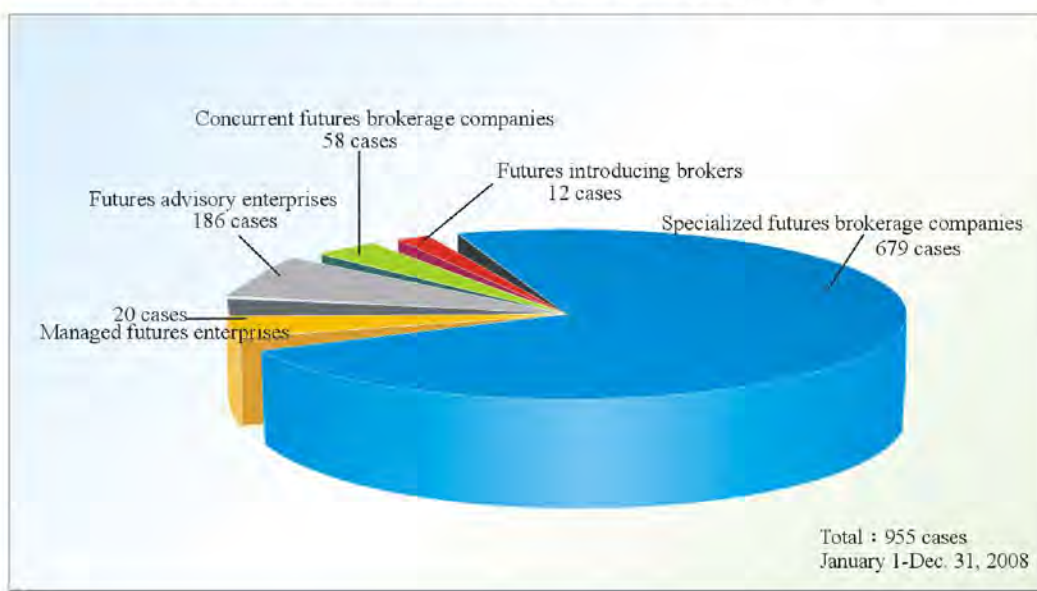
2. Other regulation-violation cases

Besides the routine annual inspection, the CNFA found another eight cases of which member companies behaved against the Self-discipline Agreement. The CNFA issued letters for improvement to three companies, fined two for regulation-violation, and required the rest five to take disciplinary actions by themselves.

D. Advertisement, exhibition, and related issues

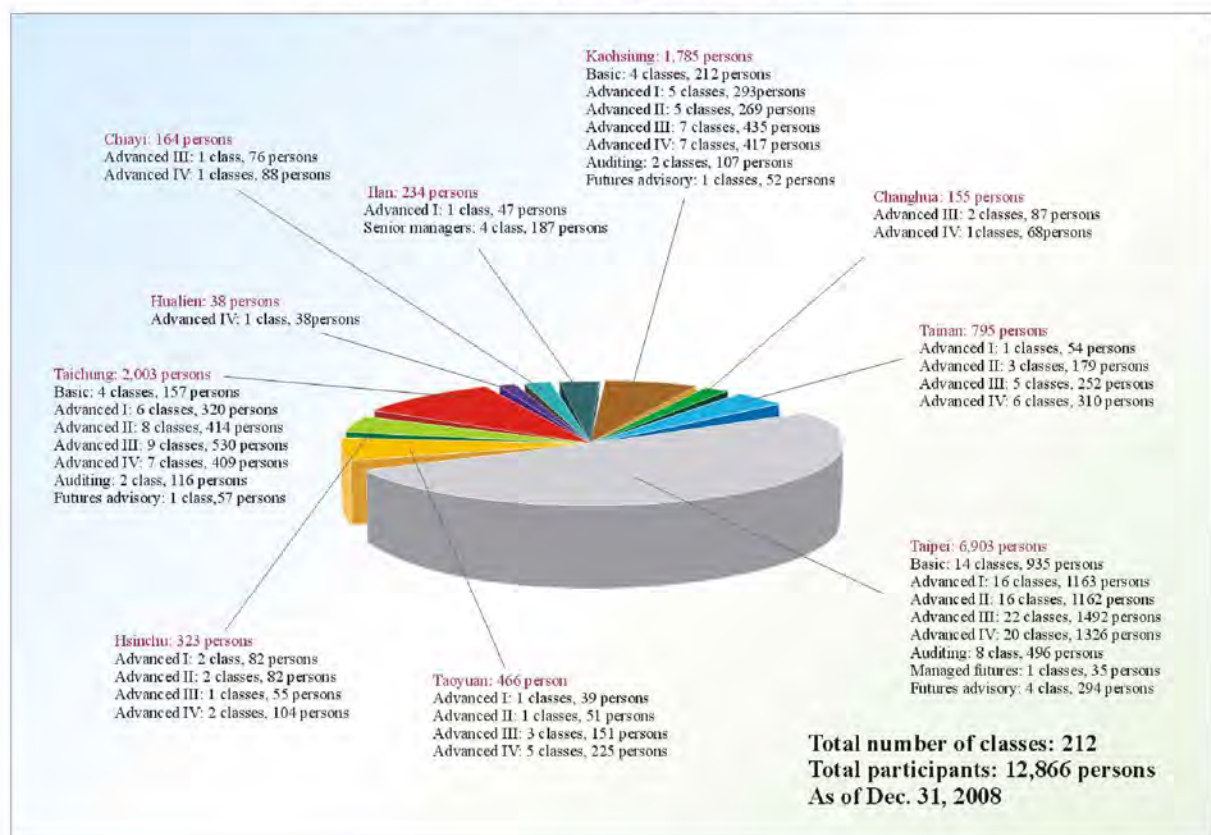
- In order to protect the image of legitimate futures operators and protect interest of futures traders, the CNFA requires member companies to report to it first before conducting any advertisement and promotional activities. In 2008, the CNFA handled 955 advertisement and promotional projects of member companies.

Advertisement and promotional projects of CNFA members in 2008



E. On-job training

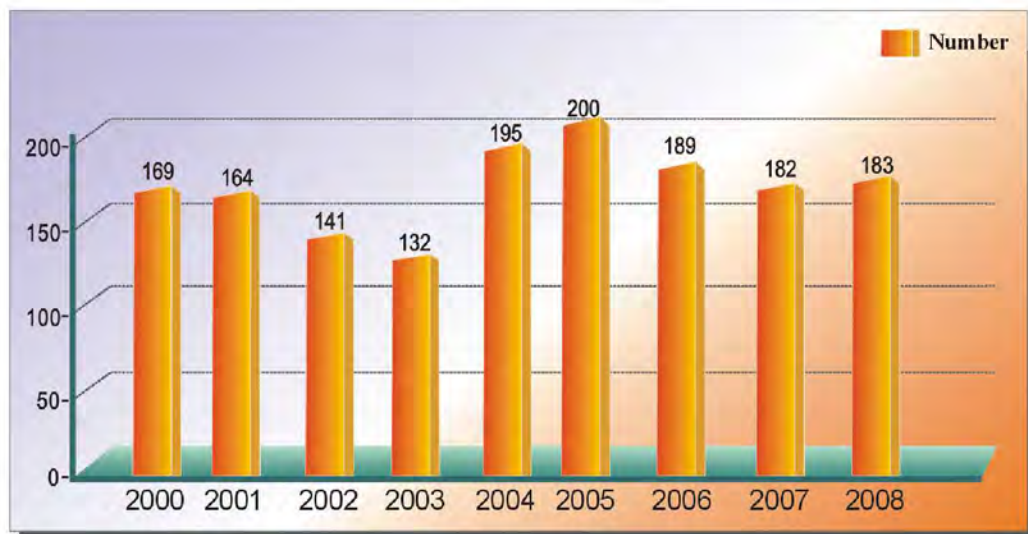
Statistics of on-job training courses in 2008:



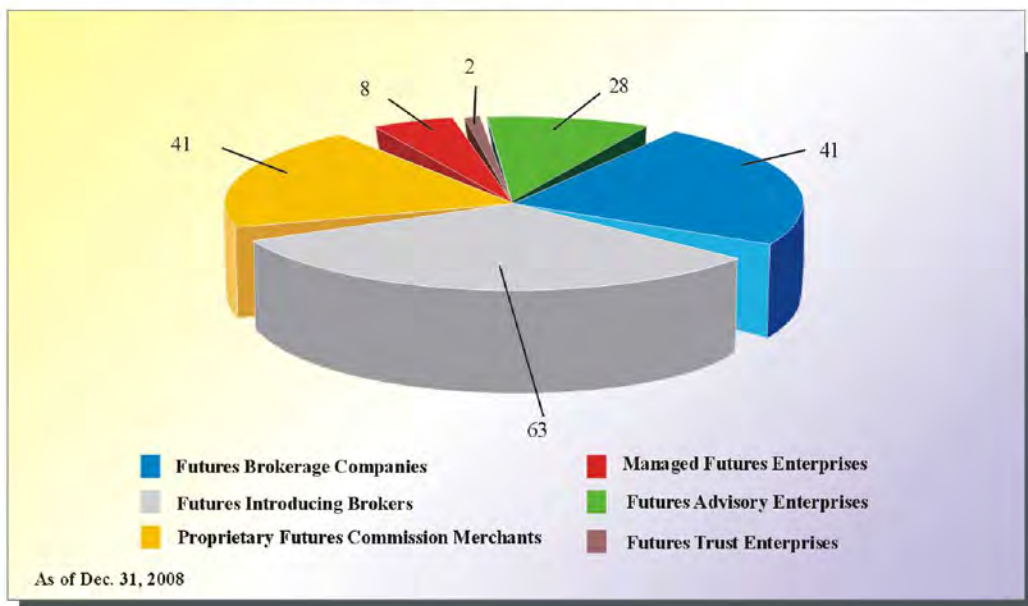
F. Registration and records of member companies, representatives of member companies, as well as member company's responsible person and business representatives

1. The CNFA had 183 member companies as of the end of 2008: 41 futures brokers (22%), 63 futures introducing brokers (34%) 41 proprietary futures commission merchants (22%), 8 managed futures enterprises (4%), 28 futures advisory enterprises (15%), and 2 futures trust enterprises (1%).

Number of Member Companies, 2000-2008

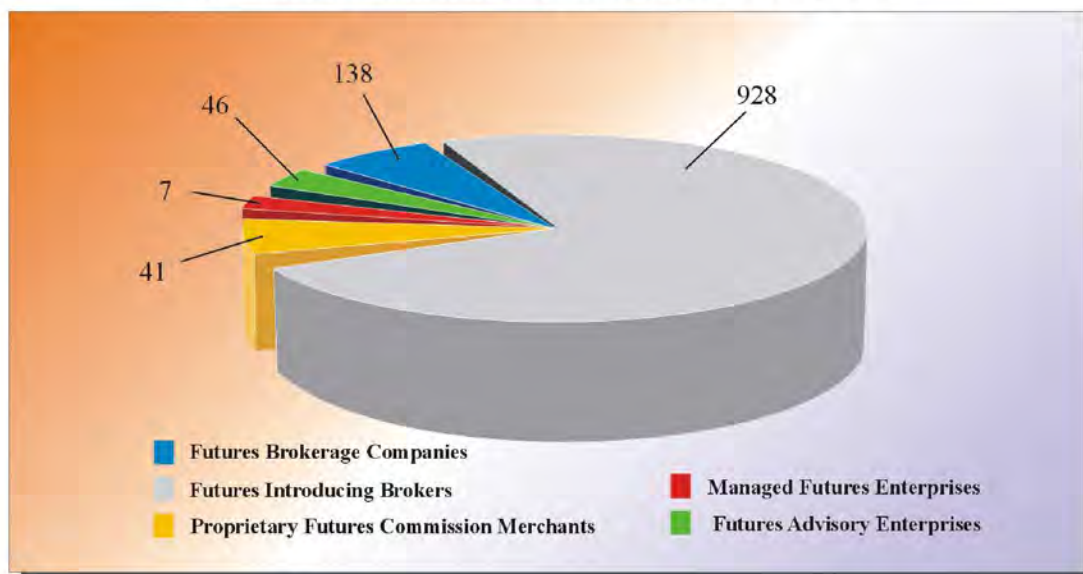


Statistics of Member Companies in 2008, by Category of Business

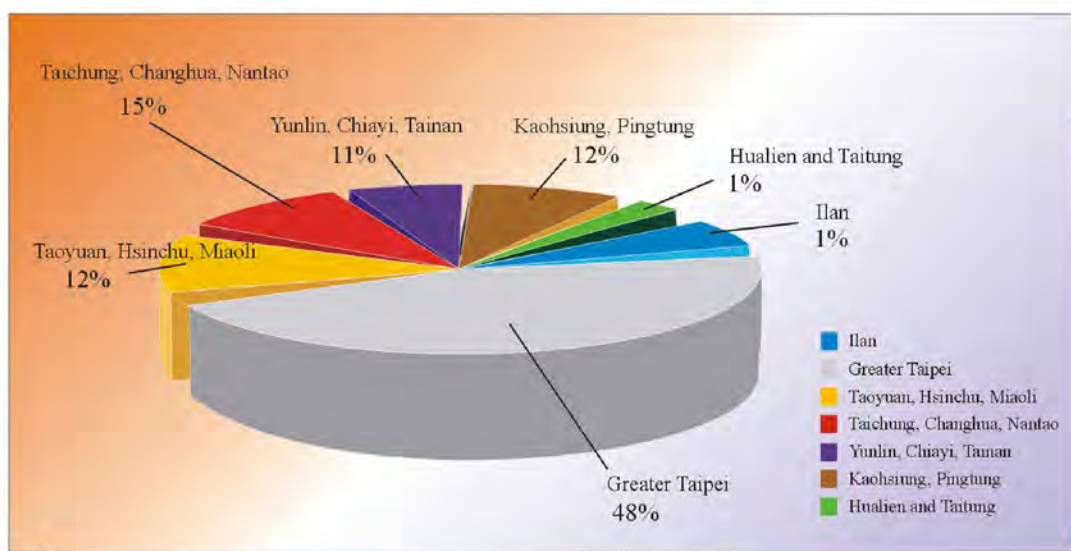


- Member companies operated a total of 1,160 headquarters offices and branches as of the end of 2008: 138 used for futures brokerage (11%), 928 used for futures introducing brokerage (80%), 41 used for proprietary futures commission merchants (4%), 7 used for managed futures (1%), and 46 used for futures consulting (4%).

Statistics of business sites of member companies in 2008



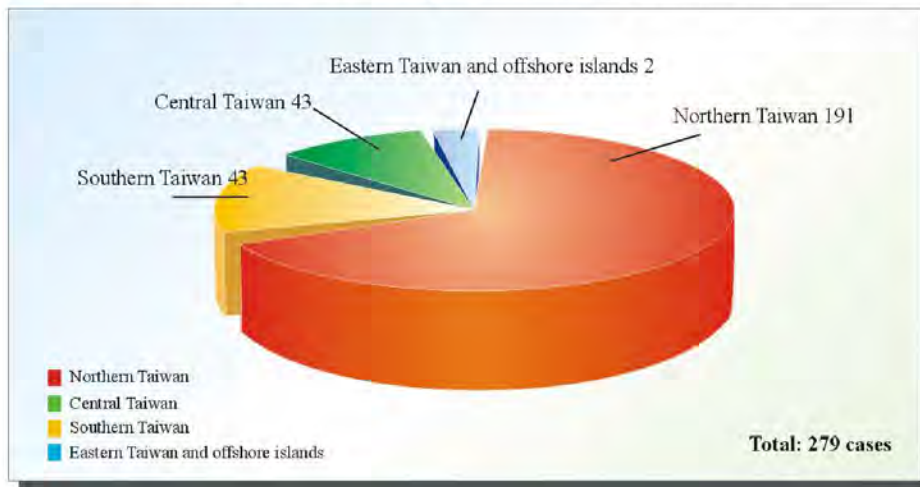
Geographical location of member companies in 2008



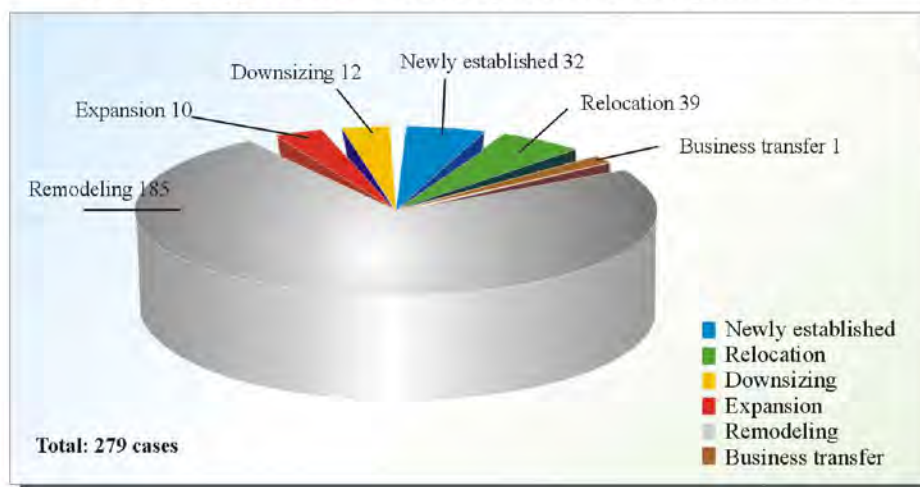
● On-site inspection

The CNFA inspected a total of 279 business places of member companies in 2008 (191 in northern Taiwan, 43 in central Taiwan, 43 in southern Taiwan, 2 in eastern Taiwan). Among them, 32 were newly established (11.72%), 39 were relocated (14.29%), 12 were downsized (4.40%), 10 were expanded (3.66%), 185 were remodeled (65.57%), and one was transferred as futures introducing brokerage houses (0.36%)

Statistics on CNFA-inspected business posts in 2008

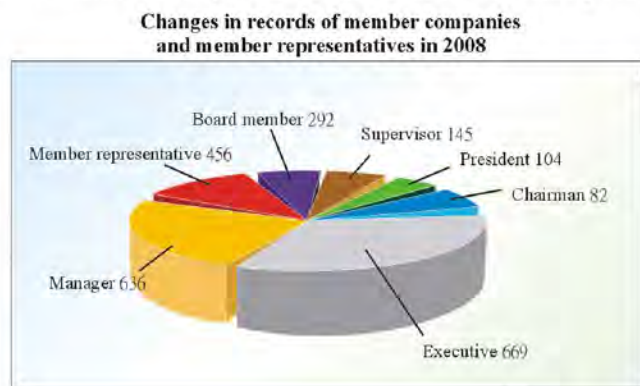


Company types of the CNFA-inspected business posts in 2008

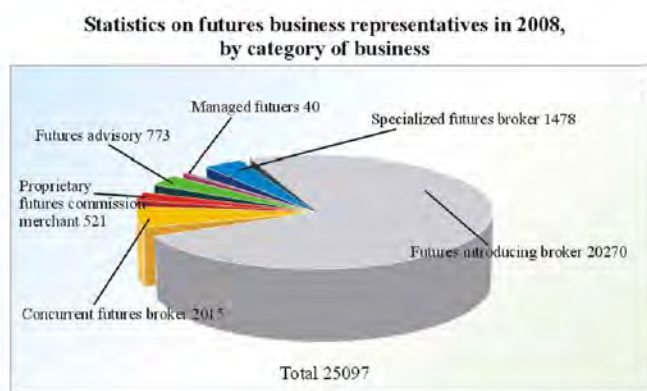


2. License renew, change, and other related services for member companies

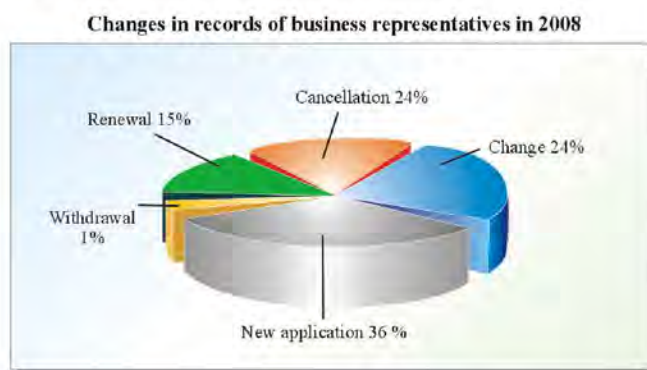
- In 2008, the CNFA handled the changes in records of member companies and representatives of member companies as shown in the following chart:



- As of the end of 2008, a total of 25,097 business representatives have been registered with the CNFA as shown in the following chart:



- As of the end of 2008, a total of 12,222 business representatives were registered with the CNFA, an average of around 1,019 cases per month.

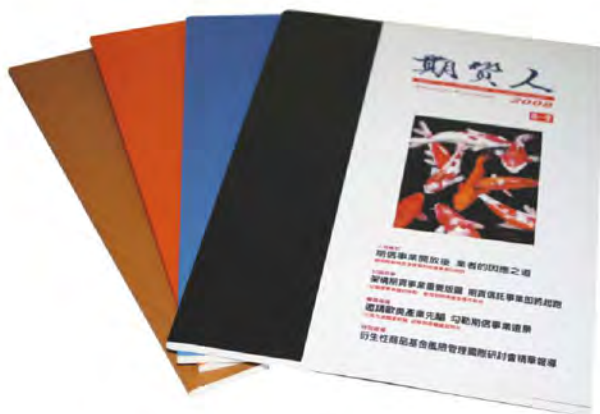


G. Publications

1. CNFA Newsletter



2. Futures Journal



3. Taiwan Futures Research Reports



4. Taiwan Futures & Derivatives Journal

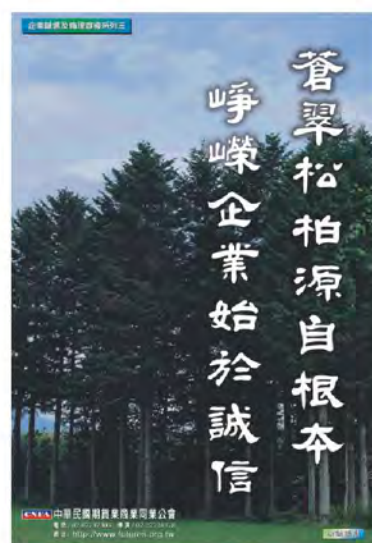
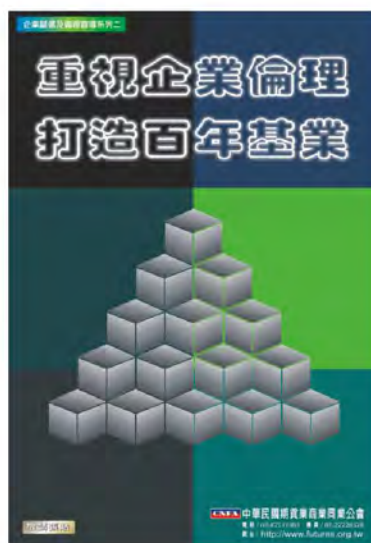


5. Futures Booklet



6. Promotional posters:

The CNFA made several posters supportive to the government's anti-corruption and environment-protection policies, and distributed them to member companies for posting at their business locations.



V. Financial Report

Independent Auditor's Report

To: Chinese National Futures Association

We have audited the balance sheet and assets list of the Chinese National Futures Association (CNFA) as of the end of 2008 as well as related statement of income, cash flow, and fund management for the year then ended. The CNFA is responsible for making all these financial statements about which we are responsible for expressing our opinions based on our audit.

The CNFA had all these financial statements for the previous year (2007) audited by another certified accountant who signed on these financial statements without provisos on March 7, 2008. The CNFA, nonetheless, remade all these financial statements for 2007 due to the changed methodology it applied for compiling financial statements. As indicated in Note 3, starting from 2008, the CNFA lists the actual amount it has paid for its new office facilities and equipment instead of listing the total procurement cost in its balance sheet. The remade financial statements don't carry signature of the previous certified accountant. We have reviewed all these remade financial statements through proper auditing procedure and are sure that they are properly presented.

We conduct our audits in accordance with generally accepted auditing standards in the Republic of China, which requires that we plan and perform the audit to obtain reasonable assurance about whether these financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall presentation of the financial statement. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to in the first paragraph present fairly, in all material aspects, the financial position of the CNFA as of December 31, 2008 and the results of its operations and cash flows for the year then ended in conformity with the "Rules Governing Financial Management of Industrial and Commercial Associations" and generally accepted accounting principles in the Republic of China.

PricewaterhouseCoopers
Taipei, Taiwan, ROC
March 21, 2009

Chinese National Futures Association
Balance Sheet
Dec. 31, 2008

Unit: NT\$

Assets	Dec. 31, 2008		Dec. 31, 2007		Dec. 21, 2008		Dec. 31, 2007	
	Amount	%	Amount	%	Amount	%	Amount	%
Current assets								
Cash & bank deposit (Note 3-1)	\$ 38,408,918	9	18,796,666	4	-	-	\$ 30,913	-
Securities (Note 3-2)	67,507,402	15	101,520,000	24	11,112,318	2	8,255,715	2
Receivables (Note 3-3)	1,369,152	-	8,927,868	2	1,047,299	-	892,636	-
Other receivables (Note 3-4)	2,190,237	1	2,892,038	1	12,159,617	2	9,279,264	2
Prepayments	414,527	-	93,221	-	-	-	-	-
Sub-total	109,690,236	25	132,229,793	31	-	-	-	-
Funds								
Development fund at special bank account (Note 3-5)	58,528,670	13	49,602,554	12	70,020,000	16	71,280,000	17
Pension fund at special bank account (Note 3-6)	15,281,404	4	14,037,459	3	-	-	-	-
Advance cash for office procurement (Notes 3-7)	74,173,680	16	50,396,833	12	82,179,617	18	80,559,264	19
Sub-total	147,983,754	33	114,036,846	27	-	-	-	-
Fixed assets (Note 3-8)								
Land	78,794,345	18	78,794,345	18	-	-	-	-
Office and buildings	27,906,578	6	21,956,961	5	64,328,670	14	56,671,932	13
Office facilities	280,995	-	77,495	-	17,806,211	4	16,527,746	4
OA equipment	8,920,725	2	9,139,892	2	118,014,787	27	111,839,277	26
Transportation	652,381	-	652,381	-	200,349,668	45	185,038,955	48
Miscellaneous items	1,459,663	-	1,218,203	-	-	-	-	-
Sub-total	118,014,787	26	111,839,277	25	-	-	-	-
Other assets								
Refundable deposits	55,300	-	659,300	-	164,446,997	37	236,730,249	55
Self-discipline fund at special bank account	70,020,000	16	71,280,000	17	(1,212,205)	-	(72,283,252)	(17)
Others	70,075,300	16	71,939,300	17	163,234,792	37	164,446,997	38
	-	-	-	-	363,584,460	82	349,485,952	81
Total assets	\$ 445,764,077	100	\$ 430,045,216	100	\$ 445,764,077	100	\$ 430,045,216	100
Please refer to the attached audit report issued on March 21, 2009 by Certified Accountant C. P. Tsai of PricewaterhouseCoopers.								
Liabilities, funds, and surplus								
Current liabilities								
Checks payable	-	-	-	-	-	-	-	-
Payables (Note 3-9)	-	-	-	-	-	-	-	-
Advance payment	-	-	-	-	-	-	-	-
Sub-total	-	-	-	-	-	-	-	-
Other liabilities								
Refundable withdrawal—self-discipline fund	-	-	-	-	-	-	-	-
Sub-total	-	-	-	-	-	-	-	-
Surplus								
Accumulated balance (Note 3-10)	-	-	-	-	-	-	-	-
Balance for this period	-	-	-	-	-	-	-	-
Sub-total	-	-	-	-	-	-	-	-
Total liabilities, funds, and surplus	\$ 445,764,077	100	\$ 430,045,216	100	\$ 445,764,077	100	\$ 430,045,216	100

Chinese National Futures Association
Income Statement
Jan. 1-Dec. 31, 2008

Unit: NTS

Item	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
			Increase	Decrease	
Revenue					
Entry fees	\$ 24,000	\$ 14,400	\$ 9,600	\$ -	
Annual membership fees	1,873,600	1,932,000	-	(58,400)	
Business promotion fees (Note 3-12)	71,905,468	74,987,048	-	(3,081,580)	Note 1
Interest income	7,137,697	5,148,972	1,988,725	-	Note 2
Income from special projects	765,189	952,380	-	(187,191)	
Income from entrusted projects	16,034,719	15,152,836	881,883	-	
Others	<u>2,404,935</u>	<u>788,511</u>	<u>1,616,424</u>	<u>-</u>	Note 3
Total	<u>100,145,608</u>	<u>98,976,147</u>	<u>4,496,632</u>	<u>(3,327,171)</u>	
Expenses					
Personnel expense	26,929,701	29,096,167	-	(2,166,466)	Note 4
Administration	6,695,534	7,024,895	-	(329,361)	
Business promotion	43,893,189	46,853,069	-	(2,959,880)	Note 5
Procurement	10,558,263	450,000	10,108,263	-	Note 6
Association activities	1,070,000	1,070,000	-	-	
Miscellaneous items	338,461	230,000	108,461	-	
Contracted research projects	772,012	1,346,000	-	(573,988)	
Advance cash	-	1,000,000	-	(1,000,000)	
Fund deposit (Note 3-13)	<u>11,100,653</u>	<u>11,906,016</u>	<u>-</u>	<u>(805,363)</u>	
Total expense	<u>101,357,813</u>	<u>98,976,147</u>	<u>10,216,724</u>	<u>(7,835,058)</u>	
Pre-tax balance	(1,212,205)	-	(5,720,092)	4,507,887	
Income tax (Note 3-10)	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	
After-tax balance	<u>(\$ 1,212,205)</u>	<u>-</u>	<u>(\$5,720,092)</u>	<u>\$ 4,507,887</u>	Note 7

Please refer to the attached audit report issued on March 21, 2009 by Certified Accountant C. P. Tsai of PricewaterhouseCoopers.

Note 1: The income of business promotion fees decreased due to the new policy for the discount rate which has become floating to be adjusted based on the account's balance since a joint meeting of board members and supervisors approved the new policy in October 2008.

Note 2: The interest income increased because the actual interest rate for this period was higher than expected.

Note 3: The income from other resources increased mainly for the increasing businesses of license issuance and office inspection.

Note 4: The personnel expense decreased due to the lower insurance fee and reduced cost for education and training courses.

Note 5: The income of business promotion fees decreased due to the decreasing cost for holding various kinds of meetings and business inspection trips.

Note 6: The procurement amount increased due to the need for interior decoration and new facilities for the Association's new office.

Note 7: The deficit in the balance for this period was mainly due to the procurement of the Association's new office that was paid with the advance cash for this and the following years.

VI. Chronicle

Date	Event
Jan. 3-Feb. 5	The 1 st term of “Financial Engineering Talents Training Course”
Jan. 28-Feb. 1	The 1 st term of “Futures & Options Practice Camp” for university teaching faculty
Jan. 31	The 4 th joint meeting of the second board of standing directors and supervisors
Feb. 19	Seminar on “Website and Bloc Marketing” for futures workers
Feb. 25	Spring Wine Feast of the Association
Feb. 26-27	ISO9001 Internal Auditing Training Course for CNFA Members
Feb. 27	Seminar on “How to Explore European Futures Market – Advantages of European Futures Market”
Feb. 27	Visit of delegation of Shanghai Futures Exchange
Feb. 25-May 5	Lecture on “Futures Talents Recruitment on Campus” – 38 rounds at various universities
March 8-9	Workshop on “Frequent Misconduct of Futures Workers and Case Study” at Freshfields Resort & Conference in Taichung
March 13	CME-sponsored seminar on “Manage Risk with Agricultural Product Futures”
March 14	The 5 th joint meeting of the second board of standing directors and supervisors
March 18	Presentation on Tokyo Commodity Exchange and its futures products
March 20-June 25	The 2 nd term of “Financial Engineering Talents Training Course”
March 21	The 4 th joint meeting of the second board of directors and supervisors
April 7	The first workshop on “Risk Assessment Guidelines for Futures Trust Fund”
April 9-10	International conference on “Futures Fund Management & Risk Control”
April 14	The second workshop on “Risk Assessment Guidelines for Futures Trust Fund”
April 16	The third workshop on “Risk Assessment Guidelines for Futures Trust Fund”
April 17	The 6 th joint meeting of the second board of standing directors and supervisors
April 21, 25, 30	Presentation on “how to increase profits on stock and gold investments at a time of high CPI” in Taipei, Kaoshiung, and Taichung
May 2	Seminar on “Risk Assessment Guidelines and Management Fee Collection for Futures Trust Fund”
May 3-4	The first friendship activity for committee members – 2-day trip to Nantao County
May 9-10	Seminar on “How to Boost Futures Market Development” – at Freshfields Resort & Conference in Taichung
May 13	The first workshop on “Standard Formula for Calculating Overall Risk of Futures Trust Fund”

Date	Event
May 16	Inaugural cocktail party for the Association's new office
May 16	The 5 th joint meeting of the second board of directors and supervisors
May 17-18	The second friendship activity for activity for committee members—2-day trip to Tamshui leisure farmland
May 22	The second workshop on “Standard Formula for Calculating Overall Risk of Futures Trust Fund”
June 5	General Assembly for 2008
June 6	The first workshop on “Futures Trust Law & Related Regulations”
June 10	“Futures Forum – Paying Deposits with Marketable Securities & Internationalization of Futures Businesses”
June 16	The second workshop on “Futures Trust Law & Related Regulations”
June 24-25	Interviews with applicants for the 11 th term of “Futures Broker Training Course”
July 4	Meeting on how to revise the Act of Futures Management & Discretionary Account Management and the Regulations Governing Futures Trading by Futures Workers
July 8	Meeting on “Interest Calculation Formula for Settlement Deposit”
July 11	Meeting on how to revise the Act of Futures Management & Discretionary Account Management and the Regulations Governing Futures Trading by Futures Workers
July 14	Seminar on futures trust business
July 15	The 6 th joint meeting of the second board of standing directors and supervisors
July 17	Welcome Banquets for delegation of China Financial Futures Exchange
July 24, 29, 31	Seminar on “People Peddling & Money Laundry” in Kaohsiung, Taichung, and Taipei
July 31	Workshop on “TCP/IP Trading Platform”
Aug. 7	Workshop for futures trust fund sales institutions
Aug. 12	Seminar on futures trust fund
Aug. 14	The 6 th joint meeting of the second board of directors and supervisors
Aug. 27	Presentation on “Self-discipline Rules for Internet Marketing and Case Study”
Aug. 29-Sept. 7	Visit of CNFA Board Members and Supervisors on Australian Securities Exchange
Sept. 17	ISO9001 External Auditing Training Course
Sept. 23	Workshop on “Assets Assessment Criteria for Futures Trust Fund”
Sept. 23, 26, 30	Lecture on “How to Trade Stocks and Options during Market Downturn”—8 rounds in total
Sept. 25	The 8 th joint meeting of the second board of standing directors and supervisors

Date	Event
Sept. 26-Nov. 8	Lectures on “Laws Applicable to Futures Workers” the first round in Taipei
Oct. 16	Presentation on “Capital Adequacy Ratio (CAR) for Futures Companies under Basel II Standards”
Oct. 17	Visit of delegations of Zhengzhou Commodity Exchange
Oct. 18	Hiking Activity for 2008 — on the route to Chinan Temple in Taipei outskirt
Oct. 21	Meeting on “Interest Calculation Formula for Settlement Deposit”
Oct. 24-Dec. 6	Lectures on “Laws Applicable to Futures Workers” the second round in Taichung
Oct. 30	The 7 th joint meeting of the second board of directors and supervisors
Oct. 30	Workshop on “New Futures Trading System” held by Taiwan Futures Exchange
Nov. 5-7	The first term of “Single-stock Options Lecturer Training Course” — in Taipei
Nov. 6	The 1 st extra joint meeting of the second board of standing directors and supervisors
Nov. 7-Dec. 20	Lectures on “Laws Applicable to Futures Workers” the second round in Kaohsiung
Nov. 10	Lecture on “American Sub-prime Housing Loan Problems and Its Effect on Financial Investments and Corporate Financial Management”
Nov. 17	The 2 nd extra joint meeting of the second board of standing directors and supervisors
Nov. 18, Dec. 8, 10, 12, 15, 26, 29, 31	Lectures on “How to Use Single-stock Options to Increase Profit on Investments” — 8 rounds in Taipei, Taichung, and Kaohsiung
Nov. 21-22	The second term of “Single-stock Options Lecturer Training Course” — in Kaohsiung
Nov. 26-30	Friendship activity for board members and supervisorstrip to Bali Island of Indonesia
Nov. 27	The 9 th joint meeting of the second board of standing directors and supervisors
Nov. 28-29	The third term of “Single-stock Options Lecturer Training Course” — in Taichung
Dec. 2-5	2008 China (Shenzhen) International Derivatives Forum
Dec. 3	“Futures Forum — Opening of Taiwan and Mainland Futures Markets to Each Other”
Dec. 4	Meeting of Brokerage Business Committee
Dec. 7	Joint social activities for working staff of securities consulting and futures advisory business
Dec. 8-9	2008 Taipei Futures Forum on “Impact of Algorithm Strategy and Financial Crisis on Futures Market”
Dec. 10-14	Friendship activity for board members and supervisorstrip to Hokkaido, Japan
Dec. 16-17	Interviews with applications for the 12 th term of “Futures Broker Training Course”
Dec. 24	“Futures Forum — Reaction of Futures Companies to Financial Market Consolidation”

榮、會員名錄 VII.Directory of members

中華民國期貨業商業同業公會會員名錄 Chinese National Futures Association Directory of members

經營期貨經紀業務會員 (Futures Broker Members)

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
F001	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市仁愛路四段296號17樓 17F, 296 Ren-ai Rd., SEC.4, Taipei 106, Taiwan	02-23269899	02-27087967	http://www.cnrich.com.tw
F002	永豐期貨股份有限公司 SinoPac 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	http://www.spf.com.tw
F004	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 100, Taiwan	02-23619889	02-23712867	http://www.KGI-futures.com.tw
F005	國票期貨股份有限公司 Waterland Futures Co., Ltd.	106 台北市忠孝東路四段231號3樓 3F, 231 Sec. 4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27786060	02-27715522	http://www.wlf.com.tw
F006	元大期貨股份有限公司 Yuanfa 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	http://www.yuanfafutures.com.tw
F007	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	http://www.jihsunfutures.com.tw
F008	統一期貨股份有限公司 President Futures Corp.	105 台北市東興路8號地下1樓 B1, 8, Dongxing Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
F013	大華期貨股份有限公司 Grand Cathay Futures Corp.	100 台北市忠孝西路一段100號13樓 13F, 100 Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	http://www.gcf.com.tw
F014	華南期貨股份有限公司 Hua Nan Futures Co., Ltd.	105 台北市民生東路四段54號3樓 3F, 54 Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://www.entrust.com.tw/fid2/index1024.asp
F018	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	02-87732029	http://www.masterlink.com.tw/futures/index.htm
F020	群益期貨股份有限公司 Capital Futures Corp.	110 台北市松仁路97號4樓 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
F021	寶來曼氏期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	106 台北市敦化南路二段69號10樓 10F, 69 Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://www.pmf.com.tw/newversion/index.php
F023	台証期貨股份有限公司 Taishin Futures Co., Ltd.	104 台北市建國北路1段96號11樓 11F, 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-25169009	02-25078794	http://www.tvfc.com.tw
F026	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市襄陽路9號3樓 3F, 9 Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com
F029	康和期貨股份有限公司 Concord Futures Co., Ltd.	105 台北市復興北路143號5樓 5F, 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
F030	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110 台北市忠孝東路四段563號4樓 4F, 563 Sec.4, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-87878080	02-27642513	http://www.megafutures.com.tw/
F035	新嘉坡新嘉坡經紀有限公司台灣分公司 Newedge Broker Limited Taiwan Branch	110 台北市信義路4段460號7樓之1 7F, 460 Sec.4, Hsin-Yi Rd., Taipei 110, Taiwan	02-87231800	02-87231850	http://www.newedgegroup.com/web/guest/home
F036	美林亞洲期貨股份有限公司 Merrill Lynch Futures Asia Ltd.	106 台北市敦化南路二段207號17樓 17F, 207 Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-23763586	02-23763574	http://www.ml.com
R201	美商愛德曼期貨經紀股份有限公司台灣分公司 ADM Investor Services, Inc. Taiwan Branch	105 台北市南京東路四段161號3樓 3F, 161 Sec.4, Nanking E. Rd., Taipei 105, Taiwan	02-27137590	02-27137648	http://www.admis.com
R208	新加坡華大期貨經紀有限公司台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	105 台北市民生東路三段109號16樓 16F, 109 Sec.3, Min Sheng E. Rd., Taipei 105, Taiwan	02-25456163	02-27199435	http://www.uob.com.sg
R217	日商聯興期貨經紀股份有限公司台北分公司 Nihon Unicom Corp. Taipei Branch	105 台北市民生西路三巷9號7樓 7F, 9, Lane 3, Min Sheng W. Rd., Taipei 105, Taiwan	02-25255777	02-25255476	http://www.tw-unicom.com/cetacean/front/bin/home.phtml
R219	新加坡瑞明管理期貨股份有限公司台灣分公司 MF Global Singapore Pte. Taiwan Branch	105 台北市敦化南路一段1號6樓 6F, 1 Sec.1, Tun Hwa S. Rd., Taipei 105, Taiwan	02-25798118	02-25704868	http://www.mfglobal.com/Pages/default.aspx
S109	台灣工銀證券股份有限公司 IBT Securities Co., Ltd.	114 台北市堤頂大道二段99號7樓 7F, 99, Sec.2, Tiding Blvd, Taipei 114, Taiwan	02-26561111	02-26561212	http://www.ibts.com.tw/
S152	瑞士信貸銀行股份有限公司台北證券分公司 Credit Suisse, Taipei Securities Branch	105 台北市民生東路三段109號5樓 5F, 109 Sec.3, Minsheng E. Rd., Taipei 105, Taiwan	02-27156307	02-271563734	http://www.credit-suisse.com
S159	花旗環球證券股份有限公司 Citigroup Global Markets Taiwan Securities Co., Ltd.	110 台北市信義路5段8號3樓 3F, 8, Sec. 5, Sinyi Rd., Taipei 110, Taiwan	02-87251888	02-87254755	http://www.citigroup.com
S165	新加坡瑞信證券股份有限公司台北分公司 UBS Securities Pte.Ltd., Taipei Branch	110 台北市松仁路7號5樓 5F, 7, Songren Rd., Taipei 110, Taiwan	02-87227200	02-87227230	http://www.ubs.com
S218	亞東證券股份有限公司 Oriental Securities Corp.	100 台北市重慶南路一段86號2樓 2F, 86 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	http://www.osc.com.tw
S505	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	103 台北市承德路一段17號17樓 17F, 17 Sec. 1, Cheng Teh Rd., Taipei 103, Taiwan	02-25551234	02-25554200	http://www.tachan.com.tw/

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S518	太平洋證券股份有限公司 Pacific Securities Co., Ltd.	106台北市忠孝東路四段200號13樓 13F, 200 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27161177	02-27188211	http://www.nettrade.com.tw/
S526	大慶證券股份有限公司 Ta Chung Securities Co., Ltd.	104台北市民生東路二段176號4樓 4F, 176 Sec.2, Minsheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.testock.com.tw/
S601	亞細亞證券股份有限公司 Primasia Securities Co., Ltd.	105台北市復興北路99號3樓 3F, 99 Fushun N. Rd., Taipei 105, Taiwan	02-27180101	02-27193771	http://www.primasia.com.tw
S616	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	110台北市松壽路3號10樓 10F, 3 Sung Shou Rd., Taipei 110, Taiwan	02-87808867	02-27224555	http://www.chinatrustsec.com.tw/
S645	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.	330桃園市縣府路82號1樓 1F, 82 Hsien Fu Rd., Taoyuan 330, Taiwan	03-3352155	03-3350711	建置中
S646	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	220台北縣板橋市東門街30號2樓 2F, 30 Tung-men St., Panchiao, Taipei 220, Taiwan	02-29689685	02-29676069	http://www.dcn.com.tw
S653	大眾綜合證券股份有限公司 Ta Chong Securities Co., Ltd.	807高雄市壽昌路93號2樓 2F, 93 Shou Chang Rd., Kaohsiung 807, Taiwan	07-3871166	07-3854985	http://www.tcsc.com.tw
S703	致和證券股份有限公司 Concord International Securities Co., Ltd.	704台南市西門路三段10號 10 Shu-Men Rd., Sec.3, Tainan 704, Taiwan	06-2219777	06-2286324	http://www.wintan.com.tw/
S838	安泰證券股份有限公司 Antay 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	建置中
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110台北市信義路五段106號3樓 3F, 106 Hsinyi Rd., Sec.5, Taipei 110, Taiwan	02-87862288	02-27253183	http://www.jp.morgan.com
S856	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.	100台北市重慶南路一段66之1號5樓 5F, 66 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23118181	02-23714293	http://www.skis.com.tw/
S869	新壽綜合證券股份有限公司 Shinkong Securities Co., Ltd.	110台北市信義路四段456號地下1樓 B1, 456 Sec.4, Hsin-Yi Rd., Taipei 110, Taiwan	02-25037890	02-25096518	http://www.sksc.com.tw/
S889	大和國泰證券股份有限公司 DaWa Securities SMBC-Catay 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	http://www.daiwasmbc-cathay.com.tw/
B093	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路四段54號5樓 5F, 54 Sec.4, Min-sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25459231	http://www.entrust.com.tw
B094	台証綜合證券股份有限公司 Taishin Securities Co., Ltd.	104台北市南京東路2段137號4樓 4F, 137 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25075000	02-25066833	http://www.tsc.com.tw
B096	富邦綜合證券股份有限公司 Fubon 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	02-87716795	http://www.fubon.com
B097	寶來證券股份有限公司 Polaris Securities Co., Ltd.	106台北市忠孝東路四段270號3樓 3F, 270 Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-87918899	02-87922644	http://www.polaris.com.tw
B098	元大證券股份有限公司 Yuantai Securities Co., Ltd.	104台北市南京東路三段225號11樓 11F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuantai.com.tw
B102	合作金庫商業銀行股份有限公司 Taiwan Cooperative Bank	100台北市忠孝東路四段325號2樓 2F, 325 Sec.4, Chung Hsiao E. Rd., Taipei 100, Taiwan	02-27312798	02-87717193	http://www.tcb-bank.com.tw/
B103	臺灣土地銀行股份有限公司 Land Bank Of Taiwan Co., Ltd.	100台北市延平南路81號 81 Yen-Ping S. Rd., Taipei 100, Taiwan	02-23483974	02-23891864	http://www.landbank.com.tw
B104	臺銀綜合證券股份有限公司 Bank Taiwan Securities Co., Ltd.	100台北市重慶南路一段58號2樓 2F, 58, Sec. 1, Chongching S. Rd., Taipei 100, Taiwan	02-23882188	02-23822045	http://www.twfhssec.com.tw/pages/index.aspx
B111	台灣中小企業銀行股份有限公司 Taiwan Business Bank Co., Ltd.	103台北市塔城街30號4樓 4F, 30, Tacheng St., Taipei 103, Taiwan	02-25597171	02-25509987	http://www.tbb.com.tw
B116	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3樓 3F, 111 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25071047	http://www.jhsun.com.tw/
B123	彰化商業銀行股份有限公司 Chang Hwa Bank Co., Ltd.	100台北市衡陽路68號2樓 2F, 68, Hengyang Rd., Taipei 100, Taiwan	02-23619654	02-23113726	http://www.chb.com.tw
B126	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路四段236號3樓 3F, 236 Sec.4 Hsin-Yi Rd., Taipei 106, Taiwan	02-27008899	02-27006088	http://www.honsec.com.tw/
B511	富隆證券股份有限公司 Fullong Securities Co., Ltd.	105台北市南京東路三段287號3樓 3F, 287 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27182788	02-27183445	http://www.fullong.com.tw
B527	群益證券股份有限公司 Capital Securities Corp.	110台北市松仁路101號4樓 4F, 101 Sung Jen Rd., Taipei 110, Taiwan	02-87898888	02-87892942	http://www.capital.com.tw
B532	高橋證券股份有限公司 Goldengate Securities Co., Ltd.	320桃園縣中壢市中和路96號 96 Chung-ho Rd., Chungli, Taoyuan 320, Taiwan	03-4224243	03-4225738	http://www.easytrade.com.tw

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B538	第一金證券股份有限公司 First Securities Inc.	106 台北市安和路一段29號7樓 7F, 29 Anho Rd., Sec.1, Taipei 106, Taiwan	02-25636262	02-25635713	http://www.ftsi.com.tw
B546	寶盛證券股份有限公司 Pao Shun Securities Co., Ltd.	406 台中市北屯區北興街43號1樓 1F, 43, Beising St., Beitun District, Taichung 406, Taiwan	04-22309377	04-22371684	建置中
B550	豐銀證券股份有限公司 Forwin Securities Corp.	105 台北市南京東路五段188號14樓 14F, 188 Sec.5, Nanjing E. Rd., Taipei 105, Taiwan	02-27482828	02-27481818	http://www.forwin.com.tw
B551	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路一段2號7樓 7E, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23495123	02-23823540	http://www.sinopacsecurities.com
B560	永興證券股份有限公司 Yung Shun Securities Co., Ltd.	100 台北市南海路20號2樓 2F, 20 Nanhai Rd., Taipei 100, Taiwan	02-23218200	02-23516239	http://www.yss.com.tw
B565	凱基證券股份有限公司 KGI Securities Co., Ltd.	104 台北市明水路698號3樓 3F, 698 Mingshui Rd., Taipei 104 Taiwan	02-21818888	02-85011121	http://www.kgiworld.com.tw/
B566	日進證券股份有限公司 Fortune Securities Co.,	360 苗栗市中正路426號4樓 4F, 426 Chung-cheng Rd., Miaoli 360, Taiwan	037-332266	037-335228	建置中
B569	豐興證券股份有限公司 Fong Shung 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	04-25277150	04-25261151	http://www.fstk.com.tw
B572	大華證券股份有限公司 Grand Cathay Securities Corp.	100 台北市許昌街17號3樓 3F, 17 Hsuehchang ST., Taipei 100, Taiwan	02-23148800	02-23819565	http://www.gcsc.com.tw
B582	金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號地下一樓 B1, 97 Sec.2, Tunhwa S. Rd., Taipei 106, Taiwan	02-27052888	02-27051513	http://www.tisc.com.tw
B585	統一綜合證券股份有限公司 President Securities Corp.	105 台北市東興路8號1樓 1F, 8 Tung Shun Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
B586	盈溢證券股份有限公司 Ying Yi Securities Co., Ltd.	800 高雄市新興區七賢二路38號 38 Chihhsien 2 nd Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	建置中
B587	光隆證券股份有限公司 Kuang Long Securities Co., Ltd.	970 花蓮市公園路26號4樓 4F, 26 Kungyuan Rd., Hualien 970, Taiwan	03-8352181	03-8353447	建置中
B592	元富證券股份有限公司 Master Link Securities Corp.	106 台北市復興南路一段209號1樓 1F, 209 Sec.1, Fulsing S.RD., Taipei 106, Taiwan	02-23255818	02-23257923	http://www.masterlink.com.tw
B596	日茂證券股份有限公司 Jee Maeh 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	http://www.gnstock.com.tw
B620	長城證券股份有限公司 Ever Advance Securities Co., Ltd.	106 台北市大安區仁愛路四段85號2樓 2F, 85 Sec.4, Ren-ai RD., Taipei 106, Taiwan	02-27719999	02-87718133	http://www.owin.com.tw/
B621	新百王證券股份有限公司 New Hundred King Securities Co., Ltd.	801 高雄市中華三路11號B1 B1, 11 Chungghwa 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	建置中
B638	光和證券股份有限公司 Kuanzho Securities Corp.	521 彰化縣北斗鎮光復路166號3樓 3F, 166 Kwangfu Rd., Pie-Tou Cheng, Changhwa 521, Taiwan	04-8886500	04-8886626	http://www.kuanzho.com.tw/
B648	福邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104 台北市南京東路一段52號2樓 2F, 52 Sec.1, Nankang E. Rd., Taipei 104, Taiwan	02-23966555	02-33225222	http://www.gfortune.com.tw/
B662	全泰證券股份有限公司 Chuan 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	建置中
B664	渣打國際商業銀行股份有限公司 Standard chartered Bnk(Taiwan)	330 桃園市中正路465號3樓 3 F, 465 Chung-cheng RD., Taoyuan 330, Taiwan	03-3347111	03-3347107	http://www.standardchartered.com.tw/
B666	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	02-29225700	建置中
B691	德信綜合證券股份有限公司 Reliance Securities Co., Ltd.	100 台北市新生南路一段50號3樓 3F, 50 Sec.1, Shinsheng S. Rd., Taipei 100, Taiwan	02-23939988	02-23567722	http://www.rsc.com.tw
B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251 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	建置中
B700	兆豐證券股份有限公司 Mega Securities Co., Ltd.	106 台北市忠孝東路二段95號2樓 2F, 95 Sec.2, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-23278988	02-33932995	http://www.megasec.com.tw/
B702	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樓 2F, 43 San Tung Rd., Pu-Tzu, Chiayi 613, Taiwan	05-3700988	05-3700909	建置中
B707	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	建置中
B712	台安證券股份有限公司 Tai-An Securities Co., Ltd.	403 台中市民權路234號 234, Minchuan Rd., Taichung 403, Taiwan	04-22020208	04-22024374	建置中

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B753	富順證券股份有限公司 FullSun Securities Co., Ltd.	241台北縣三重市自強路一段73號3樓 3F, 73 Sec. 1, Tai-Chang Rd., Shanchung, Taipei 241, Taiwan	02-29818889	02-89810727	http://www.fullsun.com.tw
B767	金港證券股份有限公司 Goldport Stock Corp.	802高雄市三多二路93號2樓 2F, 93 Sando 2 nd Rd., Kaohsiung 802, Taiwan	07-7129399	07-7133579	建置中
B769	金興證券股份有限公司 Ching Shing Securities Co., Ltd.	360苗栗市北苗里義民街51號 51 Yumen St., Pei-miao Li, Miao 360, Taiwan	037-2666666	037-266060	建置中
B775	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	02-29208664	http://www.peicheng.com.tw
B778	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樓 4F, 1 Ho Ping Rd., Hu Wei Chen, Yunlin 632, Taiwan	05-6334888	05-6334700	http://www.fuhsin.com.tw/
B779	國泰綜合證券股份有限公司 Waterland Securities Co., Ltd.	103台北市重慶北路三段199號B1 B1, 199 Sec. 3, Chung Chung N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://www.wls.com.tw
B790	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	04-25282800	04-25282306	http://kingfong142.myweb.hinet.net/
B815	東興證券股份有限公司 Tong Shing Securities Co., Ltd.	800高雄市七賢一路301號2樓 2F, 301 Chhsien 1 Rd., Kaohsiung 800, Taiwan	07-2366657	07-2385274	建置中
B845	康和綜合證券股份有限公司 Concord Securities Corp.	110台北市基隆路一段176號B1 B1, 176 Sec. 1, Keelung Rd., Taipei 110, Taiwan	02-87871888	02-27697562	http://www.6016.com
B849	萬泰證券股份有限公司 Wan Tai Securities Co., Ltd.	600嘉義市新榮路193號2樓 2F, 193 Hsin-fung Rd., Chiayi 600, Taiwan	05-2289911	05-2273459	建置中
B852	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2樓 2F, 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435 Taiwan	04-26572801	04-26564499	建置中
B858	聯邦商業銀行股份有限公司 Union Bank of Taiwan Co., Ltd.	104台北市南京東路二段137號2樓 2F, 137 Sec. 2, Nankang E. Rd., Taipei 104, Taiwan	02-25040066	02-25171241	http://www.ubot.com.tw
B866	萬通證券股份有限公司 Vantone Securities Co., Ltd.	104台北市松江路301號2樓 2F, 301 Sung Chiang Rd., Taipei 104, Taiwan	02-25156655	02-25026363	建置中
B871	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B2 B2, 165 Sec. 5, Min-sheng E. Rd., Taipei 105, Taiwan	02-28288585	02-28213444	建置中
B874	昇豐證券股份有限公司 Sun-Fund Securities Co., Ltd.	110台北市忠孝東路五段508號2樓 2F, 508 Sec. 5, Chung Hsiao E. Rd., Taipei 110 Taiwan	02-25039090	02-25155353	http://www.sunfund.com.tw/index.htm
B877	大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	265宜蘭縣羅東鎮公正路154號3樓 3F, 154, Gongheng Rd., Luodong, Yilan 265, Taiwan	03-9566999	03-9532669	http://www.ycsc.com.tw
B880	鼎富證券股份有限公司 Team Pro Securities Co., Ltd.	106台北市忠孝東路四段300號7樓 7F, 300 Sec. 4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-87739666	02-87739899	建置中
B884	玉山綜合證券股份有限公司 E. Sun Securities Corp.	105台北市民生東路3段117號地下1樓 B1, 117 Sec. 3, Min-sheng E. Rd., Taipei 105, Taiwan	02-23821313	02-23815689	http://www.esunsec.com.tw
B885	鑫豐證券股份有限公司 Shing Fong Securities Co., Ltd.	103台北市民權西路104號8樓 8F, 104, Mincyuan W. Rd., Taipei 103, Taiwan	02-25538000	02-25548064	http://www.promoney.com.tw/
B888	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市仁愛路四段296號17樓 17F, 296 Ren-ai RD., SEC. 4, Taipei 106, Taiwan	02-23269888	02-27003670	http://www.cathaysec.com.tw

經營期貨自營業務會員 (Futures Dealing Members)

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
P001	永豐期貨股份有限公司 SinoPac 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	http://www.spf.com.tw
P002	兆豐證券股份有限公司 Mega Securities Co., Ltd.	106台北市忠孝東路二段95號4樓 4F, 95 Sec. 2, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-23278988	02-33932995	http://www.megasec.com.tw/
P003	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號地下1樓 B1, 8, Dongxing Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
P004	寶來曼氏期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	106台北市敦化南路二段69號10樓 10F, 69 Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://www.pmf.com.tw/newversion/index.php
P005	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3樓 3F, 111 Sec. 2, Nankang E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
P006	群益期貨股份有限公司 Capital Futures Corp.	110台北市松仁路97號4樓 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/

中華民國期貨業商業同業公會會員名錄

Chinese National Futures Association Directory of members

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
P008	元富證券股份有限公司 MasterLink Securities Corp.	106台北市敦化南路二段97號19樓 19F, 97 Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-23255818	02-27000208	http://www.masterlink.com.tw
P009	寶來證券股份有限公司 Polaris Securities Co., Ltd.	106台北市敦化南路二段97號29樓 29F, 97 Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-87918899	02-87922644	http://www.polaris.com.tw
P010	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路一段2號17樓 17F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23495123	02-23823540	http://www.sinopacsecurities.com
P012	元大期貨股份有限公司 Yuanta 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	http://www.yuantafutures.com.tw
P014	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	103台北市承德路一段17號17樓 17F, 17 Sec. 1, Cheng Teh Rd., Taipei 103, Taiwan	02-25551234	02-25554200	http://www.tachan.com.tw/
P015	元富期貨股份有限公司 MasterLink 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	02-87732029	http://www.masterlink.com.tw/futures/index.htm
P016	群益證券股份有限公司 Capital Securities Corp.	110台北市松仁路101號16樓 16F, 101 Sung Jen Rd., Taipei 110, Taiwan	02-87898888	02-87800077	http://www.capital.com.tw
P017	台証綜合證券股份有限公司 Taishin Securities Co., Ltd.	106台北市仁愛路四段118號11樓 11F, 118 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-25075000	02-25047246	http://www.tsc.com.tw
P018	金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99號31樓部分 31, 99 Sec.2, Tunliwa S. Rd., Taipei 106, Taiwan	02-27052888	02-23262243	http://www.tisc.com.tw
P020	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路700號9樓 9F, 700 Mingshui Rd., Taipei 104 Taiwan	02-21818888	02-85011121	http://www.kgiworld.com.tw/
P022	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市仁愛路四段169號16樓 16F, 169 Sec. 4, Ren-ai Rd., Taipei 106, Taiwan	02-27767819	02-27210783	http://www.fubon.com
P023	大華證券股份有限公司 Grand Cathay Securities Corp.	100台北市重慶南路一段2號13樓 13F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23148800	02-23819565	http://www.gcsc.com.tw
P024	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號3樓 3F, 8 Tong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
P025	大和國泰證券股份有限公司 Daiwa Securities SMBC-Cathay 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	http://www.daiwasmbc-cathay.com.tw/
P026	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105台北市民生東路四段54號5樓 5F, 54 Sec.4, Min-sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25459231	http://www.entrust.com.tw
P027	台灣工銀證券股份有限公司 IBT Securities Co., Ltd.	114台北市堤頂大道二段99號7樓 7F, 99, Sec.2, Tiding Blvd, Taipei 114, Taiwan	02-26561111	02-26561212	http://www.ibts.com.tw/
P028	元大證券股份有限公司 Yuanta Securities Co., Ltd.	104台北市南京東路三段225號14樓 14F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
P030	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3樓 3F, 111 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25048400	http://www.jhsun.com.tw/
P031	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	02-27697562	http://www.6016.com
P032	凱基期貨股份有限公司 KGI Futures Co., Ltd.	104台北市明水路700號 700, Mingshui Rd., Taipei 104, Taiwan	02-21818060	02-85012955	http://www.KGI.futures.com.tw
P033	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市仁愛路四段296號17樓 17F, 296 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-23269888	02-27003670	http://www.cathaysec.com.tw
P034	香港國泰證券股份有限公司台北分公司 SG Securities (HK) Ltd., Taipei Branch	105台北市民生東路三段109號6樓 6 F, 109 Sec.3, Minsheng E. RD., Taipei 105, Taiwan	02-27151486	02-25467376	http://www.socgen.com
P035	新壽綜合證券股份有限公司 Shinkong Securities Co., Ltd.	104台北市南京東路二段123號2樓 2F, 123 Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25037890	02-25096518	http://www.sksc.com.tw/
P036	大眾綜合證券股份有限公司 Ta Chong Securities Co., Ltd.	104台北市中山區復興南路一段2號2樓 2F, 2 Sec.1, Fushing S., Taipei 104, Taiwan	02-27790866	02-27790800	http://www.tscs.com.tw
P037	亞東證券股份有限公司 Oriental Securities Corp.	100台北市重慶南路一段86號2樓 2F, 86 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23618600	02-23811061	http://www.osc.com.tw
P038	澳帝華期貨股份有限公司 Optiver Taiwan Co., Ltd.	100臺北市杭州南路1段19號12樓 12F, 19 Sec. 1, Hangzhou S. Rd., Taipei 100, Taiwan	02-23570777	02-23578392	http://www.optiver.com
P039	第一金證券股份有限公司 First Securities Inc.	106台北市安和路一段27號6樓 6F, 27 Anho Rd., Sec.1, Taipei 106, Taiwan	02-25636262	02-25635713	http://www.ftsi.com.tw
P041	台証期貨股份有限公司 Taishin Futures Co., Ltd.	104台北市建國北路1段96號11樓 11F, 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-25169009	02-25078794	http://www.twfc.com.tw

中華民國期貨業商業同業公會會員名錄

Chinese National Futures Association Directory of members

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
P042	中國信託商業銀行股份有限公司 Chinatrust Commercial Bank	110 台北市松壽路3號5樓 5F, 3 Sung Shou Rd., Taipei 110, Taiwan	02-27222002	02-87808867	http://hrbank.chinatrust.com.tw
P043	台北富邦商業銀行股份有限公司 Taipa Fubon Commercial Bank Co. Ltd.	106 台北市大安區仁愛路四段169號16樓 16F, 169 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-27716699	02-27210783	http://www.fubon.com
P044	合作金庫商業銀行股份有限公司 Taiwan Cooperative Bank	100 台北市忠孝東路四段325號5樓 5F, 325 Sec.4, Chung Hsiao E. Rd., Taipei 100, Taiwan	02-27312798	02-87717193	http://www.tcb-bank.com.tw/
P045	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	103 台北市重慶北路3段199號地下1樓 B1, 199 Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://www.wls.com.tw
P046	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106 台北市信義路四段236號3樓 3F, 236 Sec.4 Hsin-Yi Rd., Taipei 106, Taiwan	02-27008899	02-27006088	http://www.honsec.com.tw/
P047	國票期貨股份有限公司 Waterland Futures Co., Ltd.	106 台北市忠孝東路四段231號3樓 3F, 231 Sec. 4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27786060	02-27715522	http://www.wlf.com.tw
P048	冬至期貨股份有限公司 Toji Trading Taiwan	106 台北市忠孝東路2段88號16樓1605室 1605, 16F, 88 Sec.2, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-33225111	02-33225102	建置中

經營期貨顧問事業會員 (Futures Consulting Members)

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
A001	永豐期貨股份有限公司 SinoPac 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	http://www.spf.com.tw
A002	統一期貨股份有限公司 President Futures Corp.	105 台北市東興路8號地下1樓 B1, 8, Dongsing Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
A003	寶來曼氏期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	106 台北市敦化南路2段69號10樓 10F, 69 Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://www.pmf.com.tw/newversion/index.php
A004	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	http://www.jhsunfutures.com.tw
A005	群益期貨股份有限公司 Capital Futures Corp.	110 台北市松仁路97號4樓 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
A006	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市仁愛路四段296號17樓 17F, 296 Ren-ai RD., SEC.4, Taipei 106, Taiwan	02-23269899	02-27087967	http://www.ornich.com.tw
A008	康和期貨股份有限公司 Concord Futures Co., Ltd.	105 台北市復興北路143號5樓 5F, 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
A009	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市襄陽路9號3樓 3F, 9 Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com
A010	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路三段225號12樓 12F, 225 Sec.3, Nanling E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	http://www.yuantafutures.com.tw
A011	華南期貨股份有限公司 Hua Nan Futures Co., Ltd.	105 台北市民生東路四段54號3樓 3F, 54 Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://www.entrust.com.tw/fd2/index1024.asp
A013	元富期貨股份有限公司 MasterLink 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	02-87732029	http://www.masterlink.com.tw/futures/index.htm
A018	台証期貨股份有限公司 Taishin Futures Co., Ltd.	104 台北市建國北路1段96號11樓 11F, 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-25169009	02-25078794	http://www.twfc.com.tw
A019	國票期貨股份有限公司 Waterland Futures Co., Ltd.	106 台北市忠孝東路四段231號3樓 3F, 231 Sec. 4, Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27786060	02-27715522	http://www.wlf.com.tw
A020	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110 台北市忠孝東路四段563號4樓 4F, 563 Sec.4, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-87878080	02-27642513	http://www.megafutures.com.tw/
A021	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 100, Taiwan	02-23619889	02-23712867	http://www.KGI-futures.com.tw
A022	大華期貨股份有限公司 Grand Cathay Futures Corp.	100 台北市忠孝西路一段100號13樓 13F, 100 Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	http://www.gcf.com.tw
A024	國際大通證券投資顧問股份有限公司 International De-long Securities Investment Consultant	104 台北市中山北路一段145號10樓 10F, 145 Sec.1, Zhongshan N. Rd., Taipei 104, Taiwan	02-25678502	02-25679794	建置中
A025	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路一段2號18樓 18F, 2 Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23123866	02-23165233	http://www.sinopacsecurities.com.tw
A026	運達證券投資顧問股份有限公司 Yun Ta Investment Consulting Co., Ltd.	104 台北市朱崙街31號1樓 1F, 31, Jhu-hua, Taipei 104, Taiwan	02-55825305	02-55825187	建置中

中華民國期貨業商業同業公會會員名錄

Chinese National Futures Association Directory of members

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
A027	萬寶證券投資顧問股份有限公司 Marbo Securities Consultant Co., Ltd	104 台北市松江路87號4樓 4F, 87, Songjiang Rd., Taipei 104, Taiwan	02-66083998	02-66088833	http://www.marbo.com.tw/
A028	亨發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant	100 台北市忠孝西路一段100號9樓 9F, 100 Sec. 1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23820566	02-23313628	http://www.chifar.com.tw
A029	大華國際證券投資顧問股份有限公司 Da Hwa International Securities Investment Consulting Co., Ltd	100 台北市羅斯福路二段102號23樓 23F, 102, Sec. 2, Roosevelt Rd., Taipei 100, Taiwan	02-83695566	02-77258855	建置中
A030	亨達證券投資顧問股份有限公司 Hantec Securities Consultant Limited	110 台北市信義路5段7號24樓 24F, 7, Sec. 5, Hsin-Li Rd., Taipei, Taiwan	02-81010618	02-81010616	建置中
A031	聯華證券投資顧問股份有限公司 United Asset Investment Consultant Services	104 台北市八德路二段232號9樓 9F, 232, Sec. 2, Bade Rd., Taipei, Taiwan	02-27315444	02-27318155	建置中
A032	聯德證券投資顧問股份有限公司 Good Securities Investment Consultant	100 台北市忠孝東路二段88號5樓 5F, 88 Sec. 2, Chung Hsiao E. Rd., Taipei 100, Taiwan	02-23913000	02-23413451	建置中
A033	華信證券投資顧問股份有限公司 Hwashin Investment Consulting Co., Ltd	100 台北市中正區青島東路7號5樓之4 5F-4, 7, Qingdao E. Rd., Taipei 100, Taiwan	02-23923988	02-77253896	http://www.hwashin.com.tw/
A034	承道證券投資顧問股份有限公司 Chengdao Securities Investment Consulting CO., LTD	104 台北市復興北路58號2樓 2F, 58, Fusing N. Rd., Taipei 104, Taiwan	02-27815322	02-27525176	建置中
A035	元富證券投資顧問股份有限公司 Master Link Securities Investment Advisory Co., Ltd	106 台北市大安區敦化南路二段97號19樓 19, 97, Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-23253299	02-27026353	http://www.masterlink.com.tw/iag/index.htm

經營期貨經理事業會員 (Futures Management Members)

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
M002	日盛期貨經理股份有限公司 Jih Sun Managed Futures Co., Ltd.	104 台北市南京東路二段111號3樓 3F, 111 Sec. 2, Nanking E. Rd., Taipei 104, Taiwan	02-25061668	02-25064596	http://www.jsmf.com.tw/
M004	中信期貨經理股份有限公司 KGI Managed Futures Co., Ltd.	100 台北市博愛路35號7樓 7F, 35 Boai Rd., Taipei 100, Taiwan	02-23127886	02-66308029	http://www.kgifutures.com.tw/content/futures/about/about01.htm
M008	康和期貨經理事業股份有限公司 Concord Managed Futures Co., Ltd.	110 台北市基隆路一段176號14樓 14F, 176 Sec. 1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	http://fin.concordfutures.com.tw/
M009	金鼎期貨經理股份有限公司 Taiwan International Managed Futures Corp.	106 台北市敦化南路二段97號B1 B1, 97, Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-27088355	02-27008992	http://www.tisc.com.tw/tifcmanage/
M010	台証期貨經理股份有限公司 Taiwan Managed Futures Corp.	104 台北市建國北路1段96號7樓 7F, 96, Sec. 1, Jianguo N. Rd., Taipei 104, Taiwan	02-25168696	02-25046690	http://www.tmfsc.com.tw/tmf/about_tmf.asp
M011	群益期貨經理股份有限公司 Capital Managed Futures Corp.	110 台北市松仁路97號4樓之1 4F, 97 Sung Jen Rd., Taipei 110, Taiwan	02-87862000	02-87862233	http://www.capitalfutures.com.tw/financier/new_default.asp
M015	大華期貨股份有限公司 Grand Cathay Futures Corp.	100 台北市忠孝西路一段100號13樓 13F, 100 Sec. 1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	Http://www.gcfc.com.tw
M016	寶來曼氏期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	106 台北市敦化南路二段69號10樓 10F, 69 Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://www.pmf.com.tw/newversion/index.php

經營期貨信託事業會員 (Futures Trust Members)

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
T001	寶來證券投資信託股份有限公司 Polaris International Securities Investment Trust Co., Ltd	104 台北市民生東路二段141號6樓 6F, 141 Sec 2, Min Sheng E. Rd., Taipei 104, Taiwan	02-25169339	02-25095231	https://www.polarisfund.com.tw/
T002	復華證券投資信託股份有限公司 Fuh Hwa Securities Investment Trust CO., LTD.	104 台北市中山區八德路二段308號8樓 8F, 308, Sec 2, Bade Rd., Taipei, Taiwan	02-81616800	02-87720066	http://www.fhtrust.com.tw/

註：以上資料截止日為97.12.31