

98 ²⁰⁰⁹ ANNUAL

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九十八年度年報

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壹、理事長感謝詞

第二屆理事長三年的任期，即將99年6月18日在新的理、監事順利選出後，告一段落；在此要特別感謝本屆全體理、監事，以及所有會員代表的盡心盡力，積極推動本會的會務，也要感謝主管機關之指導，讓本會各項業務能順利的推展。三年以來，我們始終秉持著熱忱、積極、完美的精神，不斷努力，共同達成下列十項目標：

一、調降期貨交易稅：

在主管機關、立法委員、期交所與公會的努力奔波爭取下，股價類期貨契約之期貨交易稅，自97年10月初起，由萬分之一調降為十萬分之四，降幅高達六成。影響所及，帶動國內期貨契約交易量大幅攀升，較前一年增加4.150萬口，成長率為122%。

二、將期貨納入兩岸簽署金融MOU及ECFA之範圍內：

配合政府部門簽署兩岸金融監理備忘錄的腳步，公會於97年起積極於各種場合呼籲政府及立法長官將期貨納入兩岸簽署金融MOU之範圍；同時安排與大陸業者相互參訪、蒐集大陸期貨市場相關法規、規劃輔導業者報考大陸期貨證照測驗、以及組成專案諮詢小組，提供業者投資大陸期貨公司之相關諮詢服務，協助業者做好赴大陸投資前的準備工作。

三、敦請主管機關同意期貨商得以上櫃及上市：

自97年11月起，陸續有寶來曼氏期貨及群益期貨等2家期貨商依「核發專營期貨商申請股票上櫃及興櫃登錄同意函之審查要點」申請股票上櫃。為鼓勵優質期貨商朝向股票上市之路邁進，公會擬具說帖建請主管機關制訂專營期貨商申請股票上市相關審查規範。主管機關業於98年5月8日發布該項函令，俾供公會會員作為申請股票上市之準繩。

四、期貨信託基金正式推出：

公會除協助主管機關研議期貨信託事業及期貨信託基金之相關管理規範之外，也於96及97年間擬訂40多項期貨信託事業之自律規範。多家期貨信託事業陸續在97年成立，並且在98年8月推出首檔期貨信託基金，可望彌補有價證券類資產的不足，為投資人建構兼具有價證券與非有價證券類資產的完整投資組合，將期貨正式帶入資產管理的領域。

五、研議槓桿交易商相關設置及管理規範：

為協助主管機關研議槓桿交易商相關設置及管理規範，公會於97年委託普華國際財務顧問公司，蒐集與分析國外最具代表性的店頭衍生性交易商品如黃金、能源、外匯與差價合約（CFD）等的交易流程與控管要點，於98年8月份出具研究報告並草擬槓桿交易商設置標準與管理規則條文，供主管機關卓參，並借鏡美國金融立法改革，以利店頭衍生性產品，在集中市場交易，達到降低交易對手信用風險與強化交易透明之目的。

六、敦請主管機關及期交所推出個股期貨：

個股期貨之推出，得以提昇交易人資金運用之效益、增加投資組合之多元化、增進標的證券之交易量及流動性、進而健全我國金融市場之發展，期貨公會於98年起積極建請主管機關儘速核准交易，並獲主管機關正面回應，期交所並於99年1月25日正式推出該項契約。此外，公會更主動函詢國稅局，就標的股票之除權或除息所得，得免併入所得課稅之疑義，並於同年5月28日獲得免稅之釐清。

七、敦請主管機關開放期貨商擔任證券交易輔助人：

基於客戶或有同時交易個股期貨與投資股票需求之考量。開放期貨商擔任證券交易輔助人後，期貨商即可提供單一證券及期貨理財服務平台，增加客戶同時交易期貨與投資股票之便利性。期貨公會於97年7月起積極敦請主管機關開放是項業務，主管機關自98年第4季起開放期貨商申請該項業務。

八、公會購置會所及增設副祕書長：

本會為配合期貨業務之蓬勃發展，需擴大編制強化服務品質，除增設副祕書長一人外，並經會員大會授權，分別於96年11月22日及98年7月21日順利購置會所，地點位於台北市安和路精華區，坪數共計448.56坪，金額為新台幣2.16億元，每坪平均為48.15萬元。

九、引進國際知名交易所成為公會Special Member：

為了強化國際合作，汲取世界先進市場之交易制度，本會於98年12月22日引進歐洲衍生性商品交易所（Eurex Frankfurt AG）、紐約泛歐交易所集團（NYSE Euronext Group）旗下之NYSE Liffe及美國芝加哥商業交易所（CME）等三大國際知名交易所，加入本會成為特別會員(Special Member)，開各公會之先河。

十、敦請期貨交易所調降交易經手費及結算手續費：

自98年起，在業者與公會的極力爭取下，台灣期貨交易所自99年1月4日起再次調降選擇權契約之交易與結算費用，以降低期貨業者之經營成本，營造更優質的經營環境。

此外，尚有三項重大議案正在努力中，包括：

- 一、積極協助業者佈局大陸。
- 二、積極爭取主管機關開放全球前30大交易所的期貨交易契約得為國人交易之標的。
- 三、爭取開放境外外資在台開立之期貨交易帳戶得交易國內外之期貨交易契約。

相信新選任的理監事團隊將會帶領全體成員繼續前進、開拓創新，創造出不同風貌，期待期貨事業能繼續更上一層樓，最後，再次感謝全體成員三年來的鼓勵，並祝大家鴻圖大展，事事順心。



中華民國期貨業商業同業公會

理事長

賀鳴珩

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

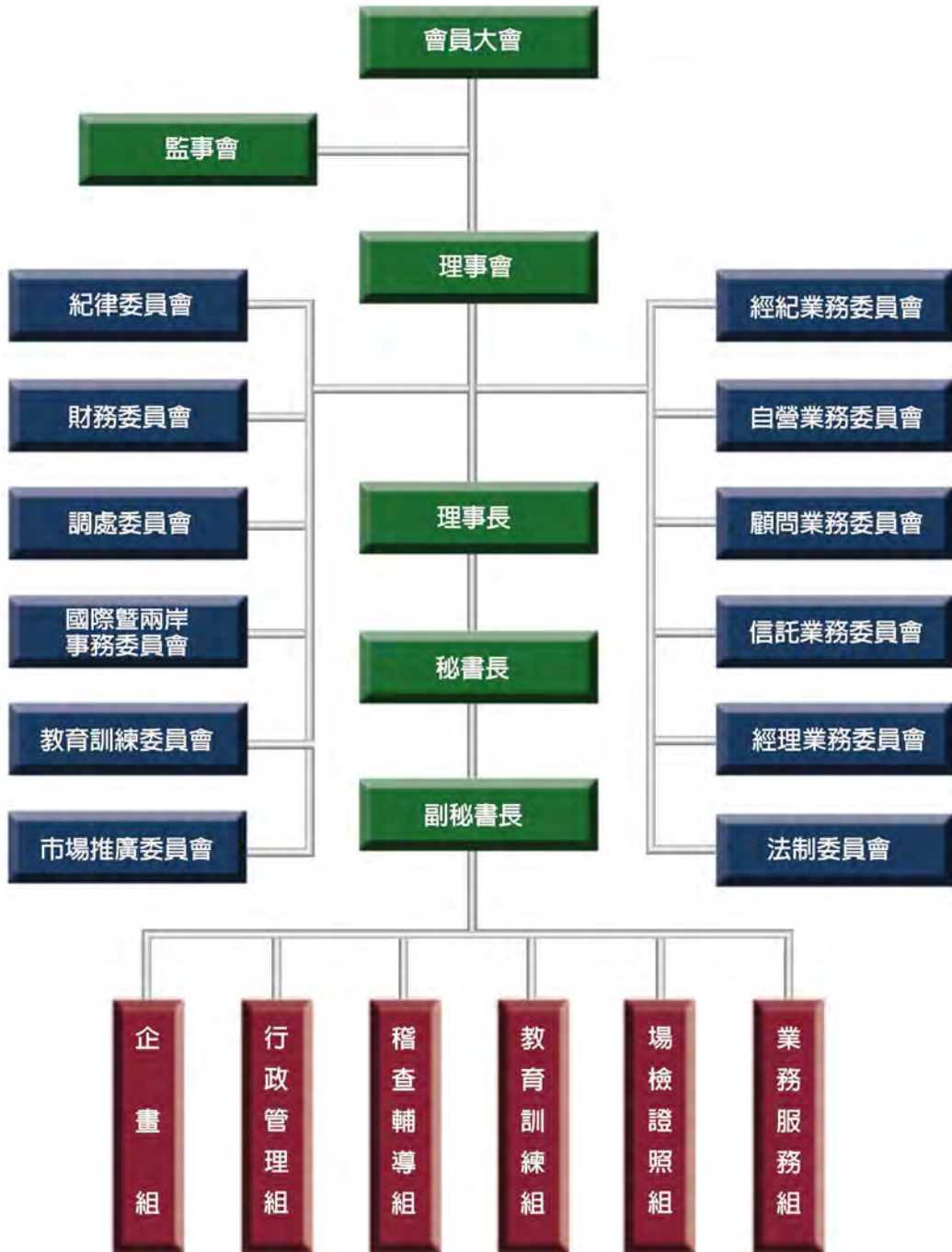
- 本會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

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。



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375位。

■ **成員**：由會員代表組成。至98年12月31日止，本會會員公司計有198家：

- 1.專營期貨商19家
- 2.兼營期貨商19家
- 3.期貨交易輔助人61家
- 4.國外複委託商4家
- 5.期貨自營業務42家
- 6.期貨經理業務13家
- 7.期貨顧問業務31家
- 8.期貨信託業務9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。
- (2) 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) 處理與主管機關、交易所、結算機關及會員公司之聯繫、協調事宜。
- (2) 蒐集業界資料，掌握市場動態。
- (3) 處理公共關係事宜。
- (4) 籌備會員大會、理監事會議及委員會議等之開會事宜。
- (5) 擔任各委員會之執行秘書。
- (6) 編輯、出版年報、期貨相關手冊及刊物。
- (7) 提供會員公司期貨法規之諮詢服務。
- (8) 擬定自律公約及敦促會員公司及其從業人員發揮自律精神，遵守規範。
- (9) 辦理國際期貨組織之聯繫及交流事宜。
- (10) 辦理跨國性期貨組織策略聯盟事宜。
- (11) 協助會員公司規劃交易流程及建立內控管制點。
- (12) 統計及彙整會員公司之交易量。

■ 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) 辦理期貨從業人員之在職訓練事宜。
- (2) 舉辦期貨交易講座、說明會等宣傳活動。
- (3) 辦理會員公司及其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) 辦理帳務處理、預決算等作業。
- (2) 辦理資金調度、財務分析及出納作業。
- (3) 規劃、建置及維護本會網站及網路系統。
- (4) 辦理資訊設備之採購、維護及管理作業。
- (5) 規劃、建置及維護會員服務系統及相關資料庫。
- (6) 處理人事、行政、文書、總務等作業。
- (7) 規劃及管理資訊閱覽室。

■ 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。

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	任俊行	大華期貨股份有限公司	總經理
3	常務理事	何富雄	元大期貨股份有限公司	董事長
4	常務理事	林明輝	日盛期貨股份有限公司	董事長
5	常務理事	柳健昌	元富期貨股份有限公司	顧問
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	許瑞立	安泰證券股份有限公司	總經理
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	鄧序鵬	康和期貨股份有限公司	董事
10	常務理事	糜以雍	凱基期貨股份有限公司	董事長
11	常務理事	簡信男	華南期貨股份有限公司	顧問
12	理事	劉懋楠	金鼎證券股份有限公司	副總經理
13	理事	王錫娟	太平洋證券股份有限公司	協理
14	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
15	理事	史網	富邦期貨股份有限公司	董事長
16	理事	吳政哲	大華期貨股份有限公司	副總經理
17	理事	呂常愷	澳帝華期貨股份有限公司	決策長
18	理事	林繼政	香港商法國興業證券股份有限公司	副總經理
19	理事	侯肇宏	凱基證券股份有限公司	資深協理
20	理事	高山燕	新際期貨股份有限公司	總經理
21	理事	高政煌	大眾期貨股份有限公司	副總經理
22	理事	高瑞堂	大昌證券股份有限公司	總經理
23	理事	張慎	凱基證券股份有限公司	副總經理
24	理事	陳壬龍	兆豐期貨股份有限公司	協理
25	理事	陳添富	永全證券股份有限公司	總經理
26	理事	黃佩儀	國泰期貨股份有限公司	經理
27	理事	黃貽寬	康和期貨股份有限公司	總經理
28	理事	楊甲鈞	凱基證券股份有限公司	副總經理
29	理事	葉一豐	新加坡商明環球期貨經紀股份有限公司台灣分公司	總經理
30	理事	劉威廉	台灣工銀證券股份有限公司	副總經理
31	理事	滕青華	兆豐期貨股份有限公司	總經理
32	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
33	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
1	監事會召集人	陳瑞珽	凱基期貨股份有限公司	總經理
2	常務監事	侯青志	寶來曼氏期貨股份有限公司	總經理
3	常務監事	許人祥	華南永昌綜合證券股份有限公司	副總經理
4	監事	方旭郎	群益期貨股份有限公司	總經理
5	監事	王淑慧	大眾期貨股份有限公司	董事長
6	監事	宋肖瑾	元大期貨股份有限公司	副總經理
7	監事	李文柱	康和綜合證券股份有限公司	總經理
8	監事	李姿錡	國票期貨股份有限公司	總經理
9	監事	張雅斐	富邦期貨股份有限公司	總經理
10	監事	陳立	元富證券股份有限公司	執行副總
11	監事	詹正恩	光和證券股份有限公司	董事長

註：以上資料以98.12.31日為準，依姓氏筆劃排序。

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 修正本會「期貨商受託國內當日沖銷交易自律規則」。
- 2 建請主管機關同意「期貨商經營證券交易輔助業務」。
- 3 建請主管機關同意「期貨交易輔助人得代理期貨商執行沖銷作業」。
- 4 向期交所爭取對於期貨商因盤後交易、股票期貨、資訊系統改善等制度，所衍生資訊費用予以全額補助。
- 5 向主管機關爭取期貨商使用證券商聯合徵信系統。
- 6 與期交所共同向金資中心爭取提供期貨商「受監護宣告之人」及「受輔助宣告之人」二種身分的資料。
- 7 建請臺灣期貨交易所參考國外發展趨勢，擔任我國未來槓桿交易市場之結算機構，促進集中與店頭交易市場的蓬勃發展。
- 8 修訂「期貨經理事業內部控制制度」。
- 9 修訂「期貨經理事業操作績效公布自律規則」。
- 10 修訂「保管機構委任契約(共同委任)範本」。
- 11 修訂「期貨交易全權委任契約範本」。
- 12 修訂「期貨信託事業暨期貨經理事業防制洗錢注意事項範本」。
- 13 修訂「期貨顧問事業透過傳播媒體提供分析建議管理辦法」。
- 14 修訂「期貨顧問委任契約範本」。
- 15 修訂「期貨顧問事業內部控制制度」。
- 16 修訂「會員宣傳資料及廣告管理辦法」。
- 17 修訂「辦理期貨交易分析人員資格測驗辦法」。
- 18 訂定「性質與風險來源類似之期貨信託基金規範」。
- 19 訂定「期貨信託事業全權委託其他專業機構運用對符合一定資格條件之人募集之期貨信託基金檢核作業要點」。
- 20 訂定「期貨信託基金從事店頭選擇權契約賣出交易擔保自律規範」。
- 21 訂定「期貨信託事業暨期貨信託基金應公告(或申報)事項一覽表」。
- 22 修訂「期貨信託基金宣傳資料及廣告管理辦法」。
- 23 修訂「期貨信託事業帳表憑證保存年限表」。
- 24 修訂「期貨信託基金之募集、發行、銷售及申購買回作業程序」。
- 25 修訂「期貨信託事業受益憑證事務處理規則」。
- 26 修訂「期貨信託基金銷售契約範本」。
- 27 修訂「期貨信託基金銷售機構內部控制制度審查表」。

- 28 修訂「期貨信託事業會計制度範本」。
- 29 修訂「期貨信託事業內部控制制度範本」。
- 30 修訂「期貨信託事業內部稽核制度範本」。
- 31 修訂「會員營業處所場地及設備標準」
- 32 修訂「會員負責人及業務員登記事項作業要點」
- 33 修訂「期貨業業務員登錄作業須知」
- 34 增訂「期貨輸單員登記作業要點」

研議事項

- 1 建請主管機關增列本國專營期貨商自有資金操作項目(得購買期貨信託基金)。
- 2 建請主管機關開放境外華僑及外國人得購買期貨信託基金。
- 3 建請主管機關開放專營期貨信託事業得申請兼營期貨顧問事業。
- 4 建請主管機關開放「對不特定人得銷售期貨信託基金之銷售機構得擔任期貨信託事業對符合一定資格條件之人募集之期貨信託基金之合作對象」
- 5 建請期交所修改臺指選擇權、電子選擇權、金融選擇權、MSCI 臺指選擇權、非金電選擇權及櫃買選擇權等商品調整縮小履約價格間距及增加掛牌序列數。
- 6 建請期交所放寬證券商兼營期貨業務者，其證券及期貨結算交割人員得相互兼任。
- 7 建請期交所比照證券商制定期貨商靜止戶銷戶作業。
- 8 建請期交所開放期貨商委任期貨交易輔助人辦理營業場所外代理開戶。
- 9 建請期交所修改業務規則，增加原委託單改價功能。
- 10 建請集保結算所現行MTS結算系統，除使用現行安控卡外，得新增以軟體進行加解密之方式。

二、業務之研究暨發展事項

1. 專題委外研究案

1

個人海外所得納入基本所得額課稅對國內期貨業者之影響

研究案主持人：資誠會計師事務所 李秀玲會計師

2

有價證券抵繳保證金制度下期貨保證金專戶運用之法律探討

研究案主持人：銘傳大學法學院 武永生院長

3

台灣期貨市場保證金預繳制度的檢討

研究案主持人：淡江大學兩岸金融研究中心 林蒼祥教授、段昌文助理教授

4

專營期貨商之成本結構分析

研究案主持人：國立臺灣大學財金系(所) 李存修教授

2. 研討會 / 講座 / 說明會 / 論壇 / 國外考察 / 委員會聯誼活動 / 人員培訓活動及輔導就業 / 理監事聯誼活動 / 其它聯誼活動 /

研討會

1. 「公司治理」研討會 (6/9)

本次研討會共計78人參加，研討會係針對期貨商公司治理之重要性及加強期貨商從業人員對公司治理的了解。



2. 「洗錢防制」研討會 (7/1)

本次研討會共計149人參加，活動主要宣導期貨商從業人員對於洗錢防制的觀念建立及釐清，避免因對洗錢防制不了解而誤觸法網。



3. 「選擇權交易策略與資產配置」研討會 (8/14、19、21)

本次研討會分別於北、中、南辦理3場次，共吸引230人參加，活動內容為協助投資人了解如何利用指數期貨與選擇權作好資產配置與風險控管，進而提高投資效益。



4. 「管理期貨-分散投資與創造商機」研討會 (10/19)

本次研討會共吸引98人參加，本會邀請國外知名CTA來台，活動目的為借鏡國外管理期貨之經驗，提供管理期貨實務上的經驗分享，作為台灣期貨信託業發展之助力。



5. 「稽聯會期貨違規案例及作業缺失」研討會 (4/18、19)

本會與臺灣期貨交易所共同贊助經費邀請期交所稽核部副理曾耀輝及羅銘達組長，針對期貨市場違規案例與查核期貨商、期貨交易輔助人作業缺失彙整進行專題報告，並進行分組研討及心得報告。



講座

1. 「如何利用個股選擇權增加投資效益」 講座 (2/4、10)

教導投資人由理論與實務的運作，深入了解個股選擇權的新舊制度差異及對投資人的益處，以及如何利用個股選擇權降低現貨部位的損失，進而將其運用至投資人的證券投資組合之中，達到避險及增加投資效益的效果，二場共計183人參加。



2. 「2009年期貨業未來發展與就業機會校園巡迴講座」(3、4、5月)

全省各地，北、中、南及外島共43所大專院校近2300人參與，對即將步入社會的應屆畢業生，以及對期貨業有興趣的學子，提供了最好的業種介紹，也為他們的職場生涯構築藍圖，邁向成功。



2. 「認識期貨信託基金」講座 (9/8)

為使投資大眾對期貨信託基金有更深入的了解，本會與精誠資訊合作舉辦「理財新思維-認識期貨信託基金」講座。本次講座共計70人參加。



說明會

1. 「期貨商國際會計準則IFRS宣導」(9/15、18)

本會與期交所共同舉辦本次說明會共吸引134人參加，活動內容係使期貨商對國際會計準則IFRS有基本了解。



2. 「東京工業品交易所期貨市場」說明會 (2/18、19)

為使期貨商從業人員瞭解東京工業品交易所商品，本會特與日商聯貿期貨公司合作辦理市場宣導說明會2場次，共計170人參加。



3. 「東京工業品交易所與期經期信業者」 說明會(3/26)

為使期經期信從業人員瞭解東京工業品交易所商品及日本最新推出之交易平台，本會特與日商聯貿期貨公司合作辦理市場宣導說明會。



4. 「期貨信託基金銷售機構銷售人員登錄」 說明會(5/6)

為使期貨信託基金銷售機構人員登錄作業順利進行，本會特舉辦期貨信託基金銷售機構人員登錄說明會。



論壇

1. 「期貨商依法提列損失準備之研究」 (4/27)

本活動共計30人參加，研究內容係針對期貨商依法提列損失準備以探討違約損失與壞帳損失等規範所衍生之問題。



2. 「2009台北期貨論壇」 (12/9)

本活動共計97人參加，邀請國際知名專業人士來台，分享先進期貨市場的寶貴經驗，供國內各界參考，為台灣股票期貨上市暖身。



3. 「開放槓桿交易商之研究」 (8/6)

本次活動共計45人參加，研究內容為分析開放經營槓桿保證金契約交易業務之可行性，並且蒐集各國槓桿交易商之營運情況，作為台灣期貨業者之參考。



4. 「有價證券抵繳保證金制度下期貨保證金專戶運用之法律探討」(12/21)

藉由本研究成果，使投資者更能理解有價證券抵繳期貨交易保證金制度，進而能有效提高資金使用效率，本活動共計46位參加。



5. 「期貨交易之市場資料揭露速度與關鍵因素研究」(1/15)

研究我國市場資料3秒鐘的延遲發布落差與投資者的即時成交回報，兩者間造成市場行情資料的不一致性，本活動共計40位參加。



6. 「個人海外所得納入基本所得額課稅對國內期貨業者之影響」(12/1)

研究內容為探討個人海外所得併入最低稅負制課稅後，對國內期貨業者可能之衝擊包含營業收入、帳務處理，以及通報義務等方面之影響，本活動共計81位參加。



7. 「期貨交易人保護」論壇

(9/22、10/1、10/8)

隨著期貨與選擇權交易市場的發展與成熟，其高流動性與資金運用效率高等優點，已深受投資人重視，然而因交易所衍生出來的糾紛案件也屢見不鮮，為保護期貨交易人在參與投資時，也能注重保護自身的權益本會特舉辦北、中、南3場次講座，共計179人參加。



國外考察

(8/28~9/6及9/18~9/27共兩梯次)

1. 理監事會 Eurex 股票期貨商品考察團為了研究股票期貨商品，協助主管機關開放業務，本會理監事分別參訪德國 Eurex 交易所、Eurex- Paris 交易所及 Newedge- Paris 期貨商，汲取他人經驗，作為台灣業者及市場的發展參考。



2. 理監事會大陸期貨業深圳年會考察團

(12/02~12/5)

本會為加強與大陸期貨業進行交流，由理事長帶領14位理監事參與大陸期貨業深圳年會。



3. 中國期貨業協會來台參訪(5/26)

中國期貨業協會由劉志超會長率領相關業務主管來台交流。



4. 大陸福建期貨業協會(11/17)

青島市金融交流團參訪(11/19)

大陸福建期貨業協會一行十三人，青島市金融交流團一行十二人，先後拜會本會瞭解台灣期貨業的發展歷程及現況進行簡報。



5. 巴西交易所來台參訪(9/24)

透過本會的協助，在台期間參訪了大華、元大、富邦、寶來曼氏等多家期貨公司，希望深入了解臺灣期貨業及業者的現況，為未來開創商機。



委員會聯誼活動

第2屆委員會聯誼活動共2梯次(南投2日遊)



理監事聯誼活動

理監事日本黑部立山聯誼活動(5/14~18)



日本懷石北陸理監事聯誼活動(12/16~19)



其他聯誼活動

指南宮登山健行活動(11/14)、澄清湖健行活動(12/19)

2場次共計2,035人參加，主要目的是讓平日工作壓力極大的從業人員，有一個舒緩情緒、放鬆心情的正當休閒，同時邀請所有眷屬參與，以培養親情，強調家庭生活之觀念。



人員培訓活動及輔導就業

1.期貨業務人才養成班

本會98年度分別於台北、台中及高雄舉辦三場聯合徵才活動。第13期高雄班經電腦媒合結果計13位學員分別為5家公司所錄取、第14期台北班計21位學員分別為8家公司所錄取，以及第15期台中班計9位學員分別為3家公司所錄取。

2.專營期貨商證券業務員考照輔導班(10~11月，共3期)

面對期貨商兼營證券交易輔助人業務開放之際，本會辦理專營期貨商從業人員證券業務員考照輔導班，98年度培訓161位。

3.期貨從業人員法律實用講座(2/6~3/14)

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47位。

4.期貨經理人才培訓班(5/15~8/8)

為協助期經業者培訓對金融暨商品期貨左右逢源之優秀操盤人，特開辦本班，培訓人數計33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98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28家，專案查核期貨顧問事業27件。其中違反本會「會員自律公約」，發函會員公司要求改善者10件；警告者8件；科違約金者5件；敦請會員自行處分者4件。

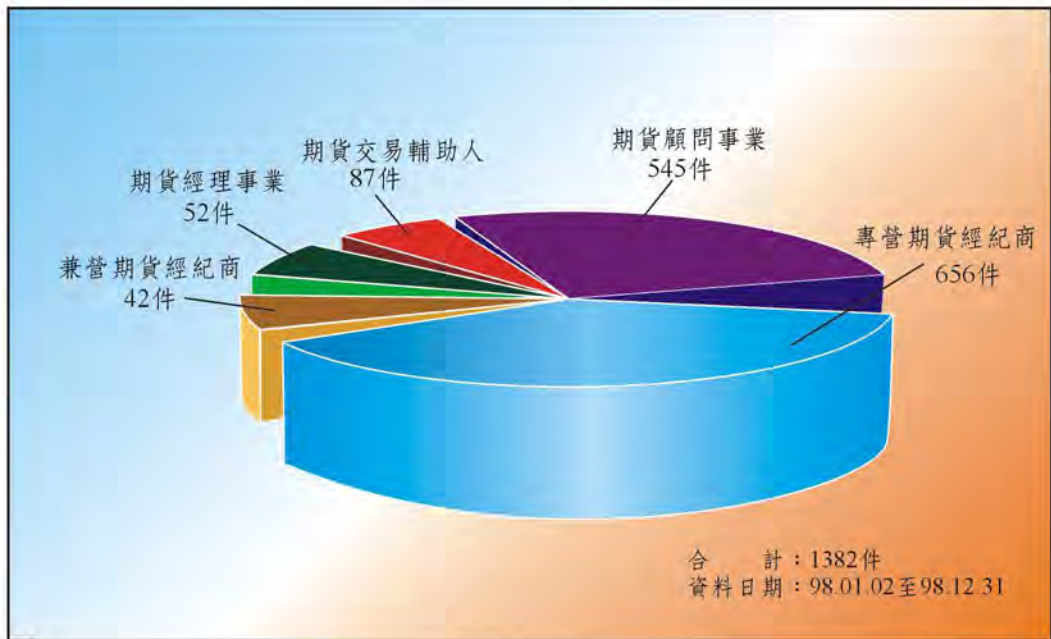
2.其他違規事項

會員公司98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14件；警告者11件；科違約金者2件；敦請會員自行處分者4件。

四、關於會員業務之廣告及宣傳審查事項

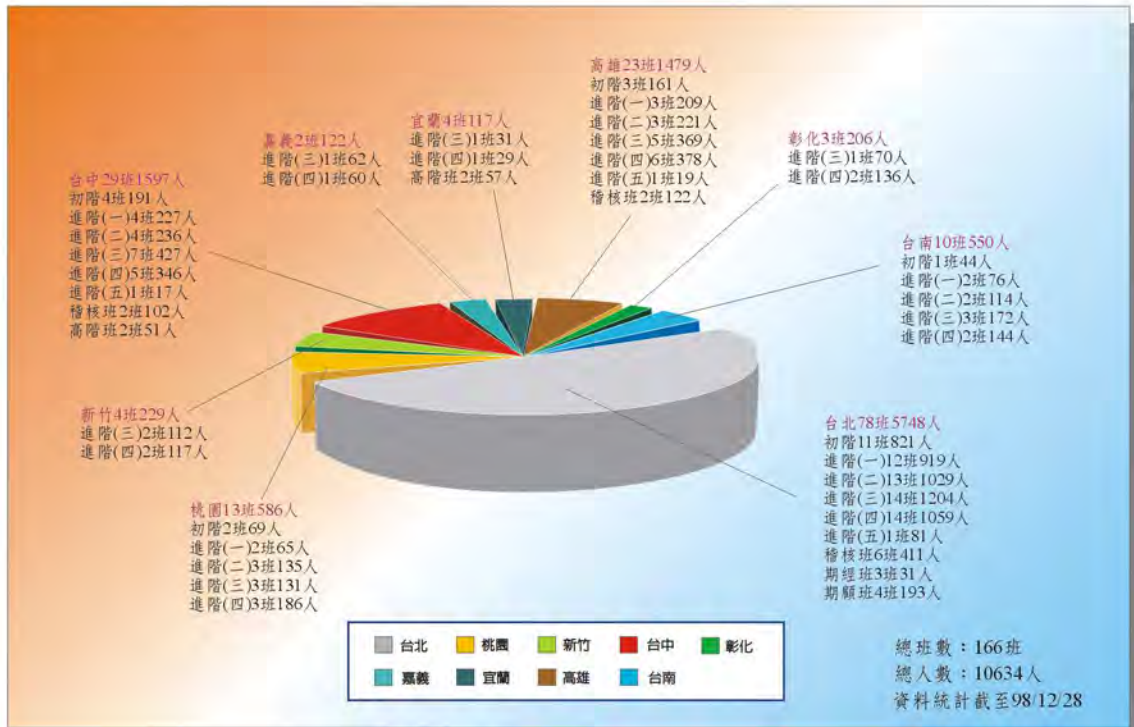
- 為維護合法業者之專業形象，並保障期貨交易人權益，規範本會所屬會員於對外進行宣傳廣告行為前，須向本會報備。98年度宣傳資料及廣告物等審查合計1382件。

98年度宣傳資料及廣告申報件數統計



五、在職訓練

2009年度舉辦之地區別、班別及人數詳如下表：

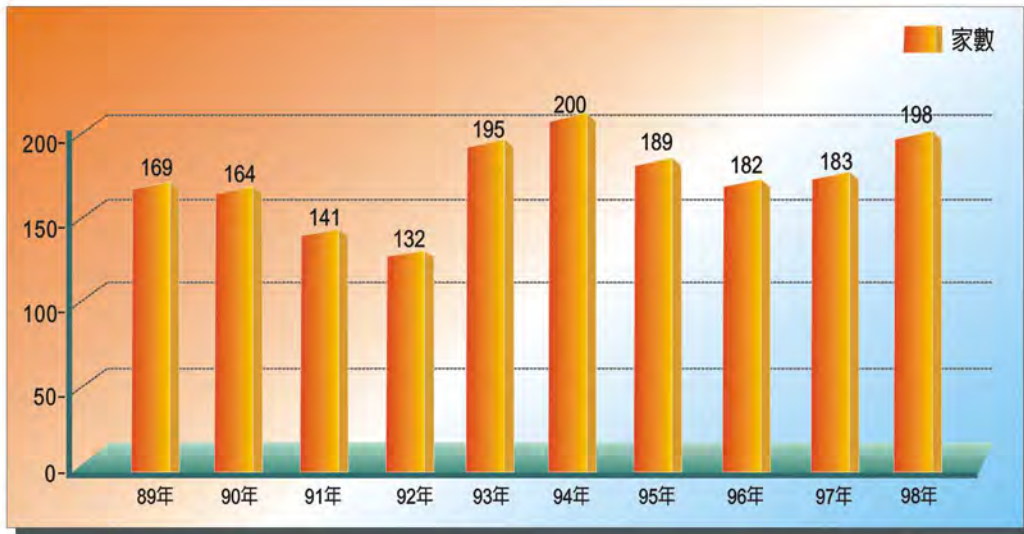


六、關於會員、會員代表、會員負責人及業務員基本資料之建立、登記事項

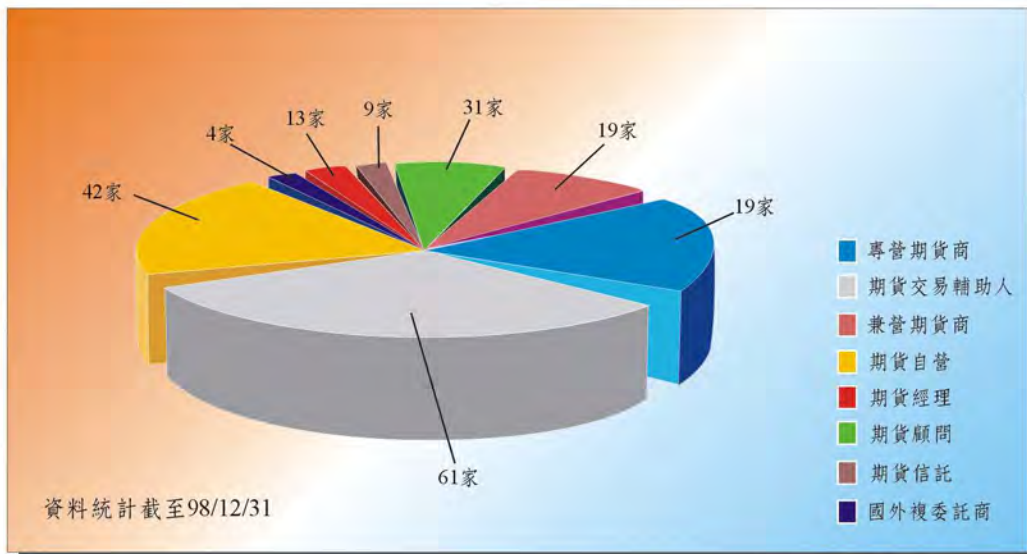
1. 會員及業務員基本資料之建立及登記事項

- 會員家數：共計198家，其中經營期貨經紀業務為42家（20.5%）；期貨業務輔助人61家（31%）；期貨自營業務42家（20.5%）；期貨經理業務13家（7%）；期貨顧問業務31家（16%）；期貨信託業務9家（5%）。

89-98年會員家數統計圖

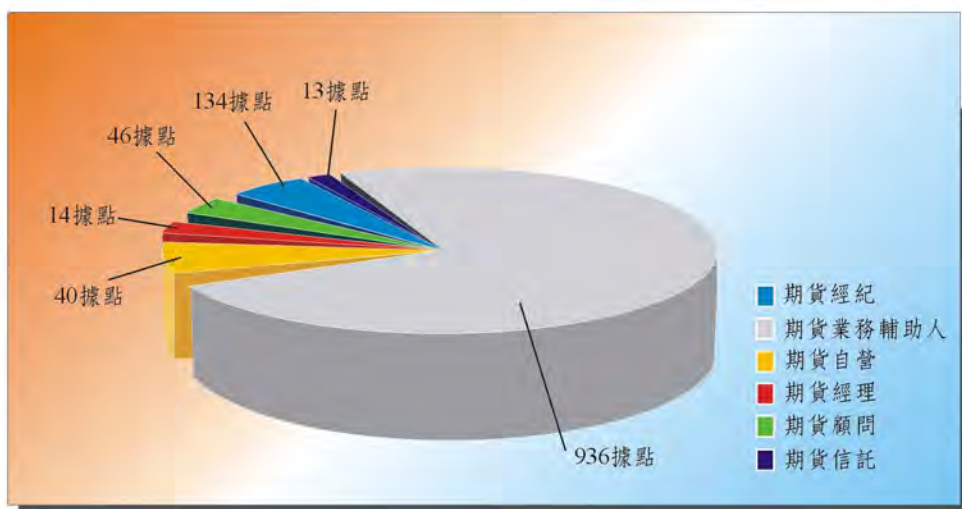


98年會員類別統計圖

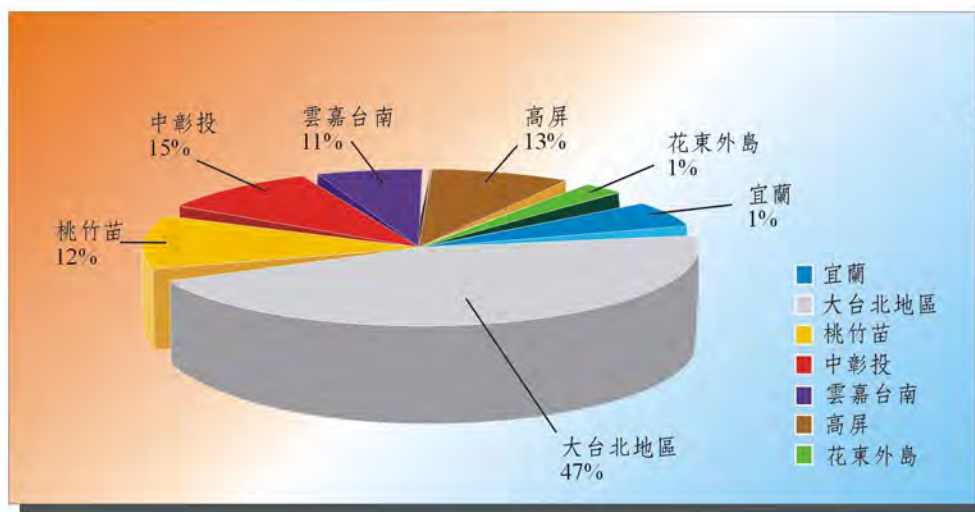


- 會員總分公司分支機構數：共計1,183家，其中經營期貨經紀業務為134個營業據點（11%）；期貨業務輔助人936個營業據點（80%）；期貨自營業務40個營業據點（3%）；期貨經理業務14個營業據點（1%）；期貨顧問業務者46個營業據點（4%）；期貨信託業務13個營業據點（1%）。

期貨營業據點統計圖



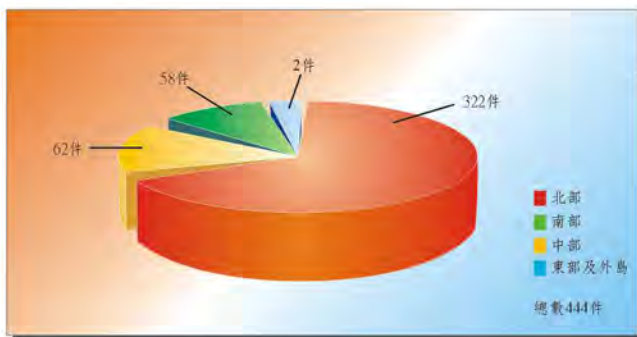
營業據點統計資料



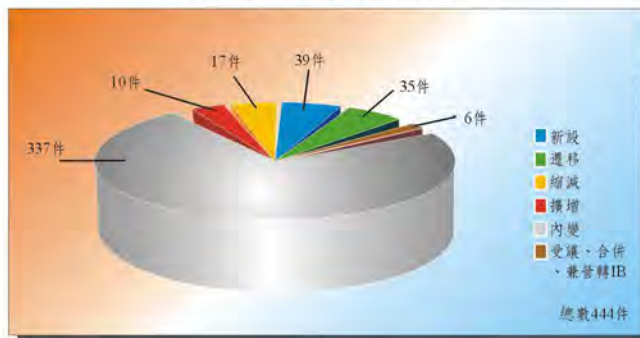
● 會員場地勘察

98年度共計444件場勘案(北部地區322件、中部地區62件、南部地區58件、東部地區2件)，就其場勘案件分析，新設營業處所39件(8.78%)、遷移營業處所35件(7.88%)、縮減營業處所17件(3.83%)、擴增營業處所10件(2.25%)、營業處所內部配置變動337件(75.91%)、受讓、合併、兼營轉IB6件(1.35%)。

98年場地勘察統計圖



98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

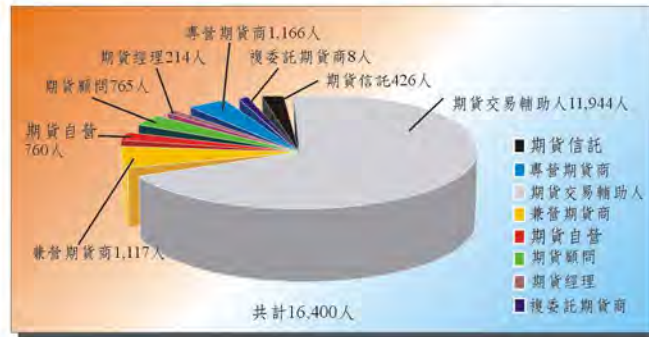
● 會員代表、會員負責人98年度於本會異動登錄區分如下：

98年身分類異動統計



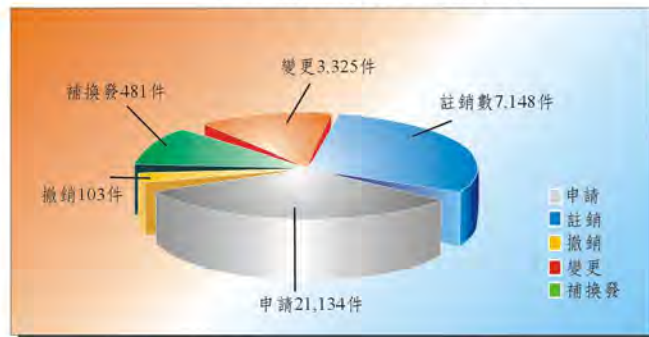
- 截至98年年底，共有16,400位期貨業業務員於本會登錄，登錄業別細分如下：

98年期貨業業務員登錄業別統計圖



- 98年度共計受理32,191件業務員之登錄件，平均每月處理2,683件：

98年業務員受理登記件數



資料統計截至98/12/31

- 期貨市場國際化程度更上一層樓世界著名交易所成為本會贊助會員：

歷經四個多月的籌劃、特地召開臨時會員大會修訂章程，增加會員類別、以及報請內政部與金管會核備，取得法源依據後，本會於12月22日召開理監事會，正式通過歐洲衍生性交易所（EUREX）、芝加哥商業交易所（CME）、倫敦國際金融期貨交易所（NYSE Liffe）等3個國際知名交易所的入會申請案，該3大交易所率先成為本會創設以來的首批贊助會員（Special Member）。



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. 期貨業從業人員職業道德手冊



6. 宣傳海報：

本會為配合期貨信託業務發展，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。

期貨信託基金宣傳系列一 - 投資前請務必詳閱各基金公開說明書

理財新思維 投資新商品

期貨信託基金

期貨信託

絕對報酬為目標
多空操作為特色

CNFA 中華民國期貨商業同業公會
電話: (02) 87731001 傳真: (02) 87731009
網址: <http://www.futures.org.tw>

期貨信託基金宣傳系列二 - 投資前請務必詳閱各基金公開說明書

理財新思維 投資新商品

期貨信託基金

資產配置
不可或缺
績效風險
雙軌並重

CNFA 中華民國期貨商業同業公會
電話: (02) 87731001 傳真: (02) 87731009
網址: <http://www.futures.org.tw>

期貨信託基金宣傳系列三 - 投資前請務必詳閱各基金公開說明書

理財新思維 投資新商品

期貨信託基金

七大購買管道

- 一 期貨經紀商
- 一 期貨顧問事業
- 一 銀行
- 一 信託業
- 一 證券經紀商
- 一 證券投資顧問事業
- 一 人壽保險業

CNFA 中華民國期貨商業同業公會
電話: (02) 87731001 傳真: (02) 87731009
網址: <http://www.futures.org.tw>

期貨信託基金宣傳系列四 - 投資前請務必詳閱各基金公開說明書

理財新思維 投資新商品

期貨信託基金

四大類型：

- 一、傘型期貨信託基金
- 二、組合型期貨信託基金
- 三、保本型期貨信託基金
- 四、一般型期貨信託基金

CNFA 中華民國期貨商業同業公會
電話: (02) 87731001 傳真: (02) 87731009
網址: <http://www.futures.org.tw>

期貨信託基金宣傳系列五 - 投資前請務必詳閱各基金公開說明書

理財新思維 投資新商品

期貨信託基金

多元化
投資標的
多角化
交易策略

CNFA 中華民國期貨商業同業公會
電話: (02) 87731001 傳真: (02) 87731009
網址: <http://www.futures.org.tw>

期貨信託基金宣傳系列六 - 投資前請務必詳閱各基金公開說明書

理財新思維 投資新商品

期貨信託基金

掌握趨勢
嚴控風險
多空並濟
分散操作

CNFA 中華民國期貨商業同業公會
電話: (02) 87731001 傳真: (02) 87731009
網址: <http://www.futures.org.tw>

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27F, 333 Keelung Rd., Sec. 1

Taipei, Taiwan 11012

Tel: (886) 2 2729 6666

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www.pwc.com/tw

會計師查核報告

(99)財審報字第 09002421 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九十八年及九十七年十二月三十一日之資產負債表及財產目錄，暨民國九十八年及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。

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九十八年及九十七年十二月三十一日之資產負債狀況，暨民國九十八年及九十七年一月一日至十二月三十一日之收支情形。

資 誠 聯 合 會 計 師 事 務 所

會計師



中 華 民 國 九 十 九 年 二 月 二 日

中華民國期貨商業同業公會
資產負債表
民國九十八年十二月三十一日
及民國九十七年十二月三十一日

資產	98年12月31日		97年12月31日		單位：新台幣元	
	金額	%	金額	%	金額	%
流動資產						
現金及銀行存款(附註三(一))	\$ 27,032,384	5	\$ 38,408,918	9	\$ 9,421,908	2
有價證券(附註三(二))	36,654,579	8	67,307,402	15	548,647	-
應收帳款(附註三(三))	3,151,757	1	1,369,152	-	-	-
其他應收款(附註三(四))	-	-	2,190,237	1	9,970,555	2
預付款項	862,383	-	414,527	-	988,943	-
流動資產合計	67,701,103	15	109,690,236	25	71,820,000	16
基金						
會務發展準備基金—專戶存款(附註三(五))	65,435,837	14	58,528,670	13	82,779,498	18
退撫準備基金—專戶存款(附註三(六))	18,262,002	4	15,281,404	4	70,020,000	16
購置會所預備金—專戶存款(附註三(七))	-	-	74,173,860	16	72,808,943	16
基金合計	83,697,839	18	147,983,754	33	230,349,668	45
固定資產(附註三(八))						
土地	133,989,345	29	78,794,345	18	-	-
房屋及建築	91,182,318	20	27,906,678	6	71,435,837	16
事務設備	9,479,765	2	280,895	-	20,252,008	4
儀器設備	-	-	8,920,725	2	118,014,787	27
運輸設備	652,381	-	652,381	-	328,837,691	72
雜項設備	453,847	-	-	-	-	-
辦公設備	1,392,190	-	1,459,663	-	-	-
固定資產合計	237,149,846	51	118,014,787	26	200,349,668	45
其他資產						
存出保證金	55,300	-	55,300	-	163,234,792	37
自律基金—專戶存款	71,820,000	16	70,020,000	16	(1,212,205)	(3)
其他資產合計	71,875,300	16	70,075,300	16	363,584,460	82
資產總計	\$ 460,424,088	100	\$ 445,764,077	100	\$ 445,764,077	100
負債						
會計師社(附註三(十一))	163,234,792	35	163,234,792	35	164,446,997	37
本帳餘額	(114,427,893)	(25)	(1,212,205)	(3)	(1,212,205)	(3)
餘額合計	48,806,899	10	163,234,792	37	163,234,792	37
基金及餘額合計	377,644,590	82	377,644,590	82	363,584,460	82
負債、基金及餘額總計	\$ 460,424,088	100	\$ 445,764,077	100	\$ 445,764,077	100

製表：張麗娟



會計主管：



秘書長：



理事長：

後附會計報告附註為本報告之一部分，請併同季閱

中華民國期貨業商業同業公會

收支決算表

民國九十八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	\$ 57,600	\$ 32,000	\$ 25,600	\$ -	
常年會費收入	1,933,200	1,920,000	13,200	-	
業務費收入(附註三(十二))	66,809,862	77,104,000	-	(10,294,138)	註1
利息收入	3,727,723	5,853,518	-	(2,125,795)	註2
專案計劃收入	476,190	477,000	-	(810)	
委託收入	12,896,890	12,530,000	366,890	-	
其他收入	6,124,680	1,064,000	5,060,680	-	註3
收入合計	92,026,145	98,980,518	5,466,370	(12,420,743)	
經費支出					
人事費	27,428,108	28,099,000	-	(670,892)	
辦公費	5,709,559	6,181,000	-	(471,441)	
業務費	40,122,683	46,953,000	-	(6,830,317)	註4
購置費	119,396,124	2,220,000	117,176,124	-	註5
團體會費	1,070,000	1,070,000	-	-	
什項支出	385,826	300,000	85,826	-	
專案計劃支出	1,080,898	1,173,000	-	(92,102)	
預備金	1,000,000	1,000,000	-	-	
基金提存(附註三(十三))	10,260,840	11,984,518	-	(1,723,678)	註6
支出合計	206,454,038	98,980,518	117,261,950	(9,788,430)	
本期餘絀(稅前)	(114,427,893)	0	-	(114,427,893)	
所得稅費用(附註三(十))	-	-	-	-	
本期餘絀(稅後)	(\$ 114,427,893)	\$ 0	\$ -	(\$ 114,427,893)	

後附會計報告附註為本報告之一部分，請併同參閱

註1：業務費收入減少，主係經理監事會決議，自本期10月起視結餘情況調整折扣數所致。

註2：利息收入減少，主係動支購置會所預備金專戶存款所致。

註3：其他收入增加，主係工作證業務及場勘業務等增加所致。

註4：業務費減少，主係部分原編列業務推廣預算並未執行所致。

註5：購置費增加，主係會務工作需要增購辦公處所所致。

註6：基金提存減少，主係專戶存款定存利率下降所致。

理事長：



秘書長：



會計主管：



製表：



陸、大事紀要

日期	活動名稱
1/5	期貨論壇-期貨交易之市場資料揭露速度與關鍵因素
1/5~1/20	IB後勤人員期貨商業務員考照輔導台北班
2/4	如何利用個股選擇權增加投資效益講座
2/5	第2屆常務理監事第10次聯席會議
2/6~2/22	IB後勤人員期貨商業務員考照輔導台中班及高雄班
2/10	如何利用個股選擇權增加投資效益講座
2/18	東京工業品交易所期貨市場說明會—台北
2/19	東京工業品交易所期貨市場說明會—台中
2/24	期貨論壇-期貨商風險之研究
2/26	第2屆理監事第9次聯席會議
3/26	東京工業品交易所與期經期信業者說明會
4/18~4/19	期貨違規案例及作業缺失研討會
4/27	期貨論壇-期貨商依法提列損失準備
5/6	期貨信託基金銷售機構銷售人員登錄說明會
5/14	認識股票選擇權講座
5/14~5/18	理監事聯誼第1梯次-日本黑部立山
5/19	第2屆第11次理監事聯席會議
6/9	期貨商公司治理研討會
7/1	洗錢防制研討會
8/6	期貨論壇-開放槓桿交易商
8/14、8/19、8/21	選擇權交易策略與資產配置研究研討會
8/18	第2屆第12次理監事聯席會議
8/22~8/23	第1團委員會溪頭聯誼
8/26	期貨經理人才培訓班座談會
8/28~9/6	理監事德國Eurex考察
8/29~8/30	第2團委員會溪頭聯誼

日期	活動名稱
9/8	認識期貨信託基金講座
9/15、9/18	期貨商國際會計準則IFRS宣導說明會
9/18~9/27	理監事法國Eurex-Paris及新際期貨-Paris考察
9/22	期貨交易人保護論壇-高雄場
9/23	巴西Link Corretora來台參訪與台灣期貨商交流
9/29	第2屆第13次理監事聯席會議
10/1	期貨交易人保護論壇-台中場
10/8	期貨交易人保護論壇-台北場
10/19	分散投資與創造商機研討會
10/29	第2屆第1次臨時會員大會
11/14	指南宮登山健行活動
12/1	期貨論壇-個人海外所得納入基本所得額課稅對國內期貨業者之影響
12/2~12/4	理監事參加第5屆深圳期貨年會
12/9	2009台北期貨論壇
12/16~12/20	理監事聯誼第2梯次-日本名古屋
12/19	2009證券期貨澄清湖健行活動
12/21	期貨論壇-有價證券抵繳保證金制度下期貨保證金專戶運用之法律探討

I. Gratitude Message of CNFA Chairman

My 3-year chairmanship came to an end after the election of the new directors and supervisors during the General Assembly held on June 18, 2010. I would like to take the opportunity to express my earnest appreciation to the old directors supervisors, and member companies for their dedication to the Association affairs. I'm also grateful to the government officials for their instructions which enabled the Association affairs to proceed smoothly. With enthusiasm, activism, and endless efforts in pursuing perfection, the Association achieved ten major goals over the past three years:

1. Futures transaction tax is reduced

As a result of the joint efforts of the regulatory agencies, legislators, the Taiwan Futures Exchange (TFE), and the Association, the transaction tax on equity index futures contracts has been cut from previous 0.01% to 0.004% since October 2008, a considerable reduction of 60%. It accordingly stimulated futures transactions during the following year, up 122% or 41.5 million contracts, from one year earlier.

2. Futures industry is covered by MOU for cross-straits financial monitoring and ECFA

In support to the government's attempt for signing a memorandum of understanding (MOU) with mainland counterpart for developing the cross-straits financial monitoring system, the Association has been active in contacting government officials and legislators to call for inclusion of futures industry into the MOU contents since 2008. Meanwhile, it arranged to boost interactions with China-based futures institutions, made research on China's futures law and regulations, worked out plans to help Taiwan futures workers prepare for futures certificate tests held in China, and set up an ad hoc committee to provide consulting services about China's futures law and regulations. All these efforts are arranged under the goals of paving the way for Taiwan's futures companies to explore into the futures market in China.

3. Futures companies are qualified to apply for listing

Starting from November 2008, futures companies like Polaris Man Financial Futures Co. and Capital Futures Corp. have filed applications for OTC-listing in accordance with the "Guidance for Reviewing OTC-listing or Emerging Stock-listing Application Filed by Specialized Futures Brokerage Company." Furthermore, on request of the Association, the regulatory agency published another guidance for futures companies to apply for listing on the Taiwan Stock Exchange Corp. (TSEC) on May 8, 2009.

4. Futures trust fund has been launched

In addition to working with the regulatory agency in drafting the regulations governing futures trust enterprises and futures trust fund, the Association spent two years (2007-2008) in making the self-discipline rules for futures trust enterprises, composed of over 40 detailed regulations. Since 2008, one after another futures trust enterprise has been established in Taiwan. The first domestic futures trust fund was launched in August 2009, making a complementary investment vehicle to the securities. Investors would thus be able to build up complete investment portfolio, covering futures under their assets management.

5. CNFA drafts leverage transaction merchant regulations for government's reference

The Association worked with the regulatory agency in making the regulations governing the new business of leverage transaction merchants. In 2008, it entrusted the PricewaterhouseCoopers Financial Advisory

Services Co. for a research project which gathered and analyzed the information about transaction procedures and market regulations of the most actively-traded foreign derivatives such as gold, energy, foreign exchange, and contract for difference (CFD). In August 2009, the research report was completed and, along with a draft of set-up guidelines and governing regulations, has been forwarded to the regulatory agency for its reference regarding how to introduce the new business, especially with reference of the American experience, into both Taiwan's centralized and OTC markets as a means to have efficient control of the credit risk of trading party and strengthen transparency of market transaction information.

6. TFE has launched single stock futures

The launch of single stock futures will help stock investors pursue higher cash efficiency, make even more diversified investment portfolio, and raise market liquidity of the invested stocks, which all will contribute to healthy development of Taiwan's financial market. Since 2009, the Association has been actively contacting the regulatory agency to call for an earlier launch of single stock futures in Taiwan. With the regulatory agency's approval, the Taiwan Futures Exchange (TFE) made a formal launch of the single stock futures on January 25, 2010. Meanwhile, the Association made an inquiry to the National Tax Administration (NTA) in regard of tax issues about the stock or cash dividends to be allocated to the underlying stocks, which as the NTA confirmed on May 28, 2010 would be exempted from the income tax.

7. Futures brokers are allowed to act as securities introducing brokers

In order to satisfy the demand of those futures traders who trade single stock futures and underlying stocks at the same time, the Association advocated that the futures brokers should be allowed to act as securities introducing brokers so as to provide clients with securities investment and futures trading services through the same platform. It will also benefit clients with even more convenient channel for trading futures and stocks at the same time. The Association has been active to call for opening the new business since July 2008, and the regulatory agency has started to take futures company's application for doing this business since the fourth quarter of 2009.

8. Association procures new office and expands administrative staff with deputy secretary general

In order to strengthen its services to cope with the growing futures market in Taiwan, the Association expanded its administrative staff with a new position of deputy secretary general and, with approval of the General Assembly, procured a new office located on An-ho Road of the high-level area in Taipei. It covered 448.56 pings, at a total cost of NT\$216 million or an average unit price of NT\$481,500 per ping. The office procurement was first processed on Nov. 22, 2007 and completed on July 21, 2009.

9. Prestigious international exchanges join CNFA as Special Members

Three globally renowned exchanges Eurex Frankfurt AG, NYSE Liffe (under NYSE Euronext Group) and CME (Chicago Mercantile Exchange) formally joined the Association as its Special Members on Dec. 22. It marked a significant achievement of the Association's efforts in promoting international cooperation, and will facilitate the channels for the Association to introduce advanced foreign market systems into Taiwan. It's unprecedented for a Taiwanese association to recruit prestigious foreign institutions as its Special Members.

10. TFE cuts transaction and settlement fees

The Taiwan Futures Exchange (TFE) made another cut in the options transaction and settlement fees on Jan. 4, 2010, a move in reaction to the request of the Association which, joined with member companies, was active in negotiating with the TFE for fee reduction as a means to help futures companies reduce operational cost and strengthen the competitiveness of Taiwan's futures market.

In addition, the Association has been engaged on the following three important projects:

1. To help member companies explore business opportunities on the mainland market
2. To call for an opening of Taiwan's market to those financial derivatives launched by the world's top 30 futures exchanges
3. To call for relaxed rules to allow the futures trading accounts opened by overseas traders to trade both domestic and foreign futures

Under the leadership of the new chairman, directors and supervisors, the Association and its entire working staff will continue to move forward and create a new atmosphere for the futures business in Taiwan, which would accordingly keep expanding in the following years.

Finally, I would once again express my sincere gratitude for all member companies for their support and encouragement over the past three years. Wish all of you good health, great success, and prosperous business.



CNFA Chairman

II. CNFA Introduction

A. CNFA History

- The Chinese National Futures Association (the Association or CNFA) was transformed from its predecessor, Taipei Futures Association, established on April 17, 1995, as a national organization on June 21, 2004 and obtained the certificate on June 30 of the same year, a move in reflection of the market liberalization, business diversification, as well as expansion in the Association's membership and covered geographical area.
- As a national autonomous 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

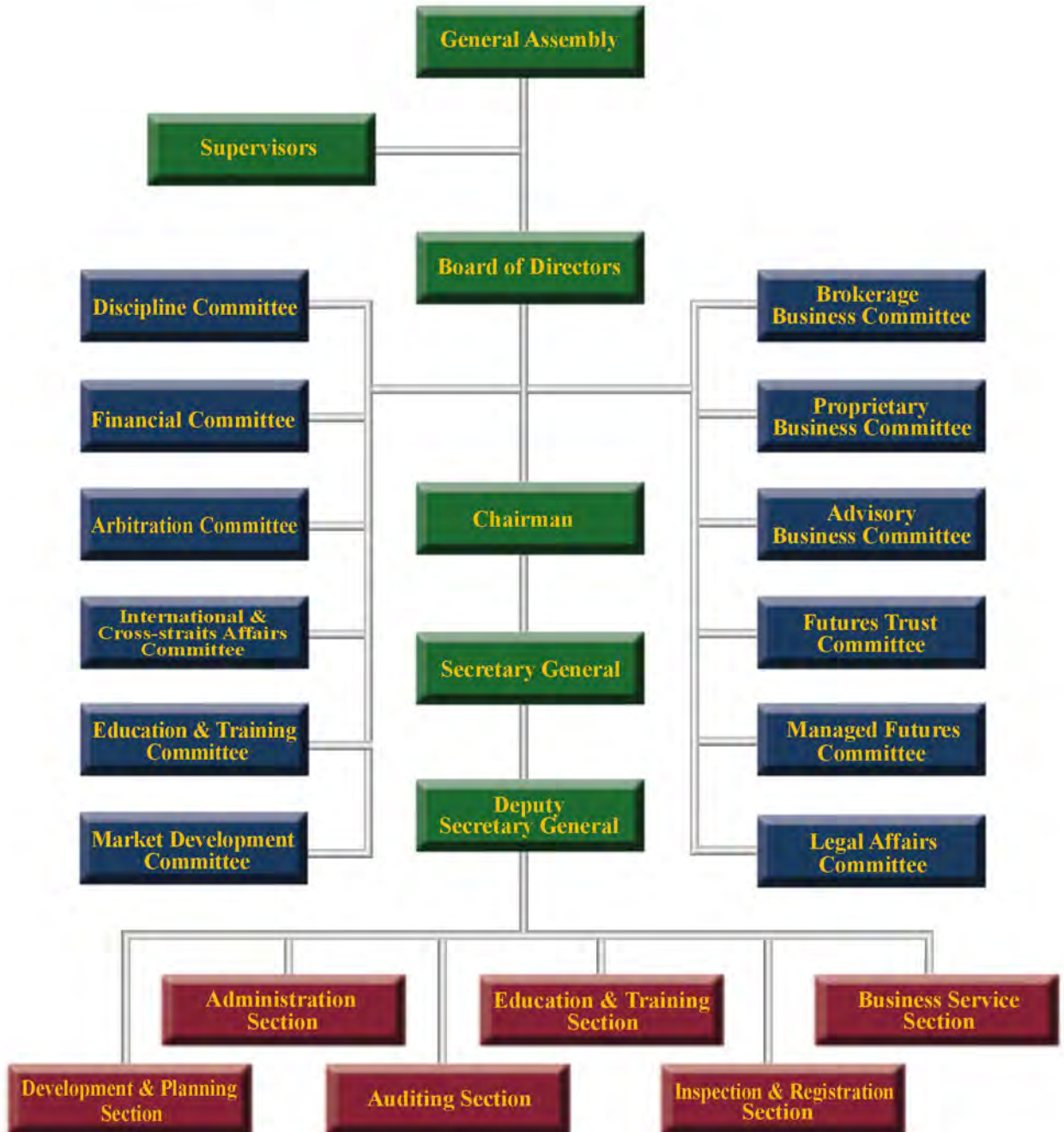
- The Association was established under the goals of protecting investors, boosting national economic development, coordinating among members, and promoting common interest of the society.

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 operations 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 as well as representatives and employees of member companies
- To revise or renew licenses of member companies and handle related issues
- To organize or participate 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. Structure and Responsibilities

1. General Assembly: each member company, based on its business categories, assigns up to seven representatives to take part in the General Assembly. In 2009, a total of 375 member representatives were registered.

■ **Member companies:** the Association was composed of 198 member companies as of the end of 2009.

1. Specialized futures brokerage companies: 19
2. Concurrent futures brokerage companies: 19
3. Futures introducing brokers (IB): 61
4. Foreign re-engaging brokers: 4
5. Proprietary futures commission merchants: 42
6. Managed futures enterprises: 13
7. Futures advisory enterprises: 31
8. Futures trust enterprises: 9

■ **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 misbehaved 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 from board members

■ **Authority:** the Board of Directors is the Association's highest permanent executive body in which members elect a chairman to act as the Association's representative

■ **Responsibilities:**

1. To convene the 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 for certain reasons. Decisions made during the meeting will be reported to next General Assembly for its approval.
10. To take disciplinary actions against the members who fail to pay membership fees
11. To handle issues in accordance with laws or CNFA Charter and CNFA related regulations
12. To handle other related issues

3. Supervisors

■ **Supervisors:** the 11 supervisors were elected by member representatives during the General Assembly, and three standing supervisors were elected from supervisors and they accordingly elected one convener of supervisors

■ **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 Board of Directors' execution of the Association's working plans

4. To review the accounting reports which have been approved by the Board of Directors.
 5. To review the financial reports which have been approved by the Board of Directors.
 6. To make 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:** each committee is led by a convenor, appointed by CNFA Chairman and the convenor then invites industrial experts, officials, scholars as committee members.
 - **Authority:** each committee works to fulfill its working plans 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 deal with communication and coordination among member companies, government agencies, exchanges, and clearing institutions
- (2) To gather and keep files of the information about futures market and member companies
- (3) To deal with public relation issues
- (4) To arrange the General Assembly as well as meetings of board of directors and supervisors
- (5) To act as executive secretariat staff of each committee
- (6) To compile and publish futures-related journals and publications
- (7) To provide futures-related legal consulting services to member companies
- (8) To draft self-discipline rules for member companies and help member companies behave in compliance with the self-discipline rules
- (9) To deal with communication and interaction among international futures organizations
- (10) To arrange cross-border strategic alliances among futures institutions
- (11) To help member companies plan futures trading procedures and build up internal control mechanism
- (12) To compile statistics about trading volumes of 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 deal with Association's accounting and budget-making issues
- (2) To deal with fund-raising, financial analysis, and accounting issues
- (3) To plan, build up, and make maintenance of the Association's website and Internet network
- (4) To arrange IT equipment procurement, maintenance, and management issues
- (5) To plan, build up, and manage the Association's member service mechanism
- (6) To manage personnel, accounting, administration, and document-filing, and other general administrative issues
- (7) To plan and manage the Association's library

Development & Planning Section

- (1) To make research on new future-related businesses and analyze the feasibility for introducing them into Taiwan's 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

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	Aric Jen	Grand Cathay Futures Corp.	President
3	Standing Director	Foo-shiung Ho	Yuanta Futures Corp.	Chairman
4	Standing Director	Ming-hui Lin	Jih Sun Futures Management Corp.	Chairman
5	Standing Director	Chien-Chang	LiuMasterLink Futures Corp.	Advisor
6	Standing Director	Tim Sun	Capital Futures Corp.	Chairman
7	Standing Director	Jerry Hsu	Antay Securities Co.	President
8	Standing Director	Yiming Huang	President Futures Corp.	President
9	Standing Director	Paul Teng	Concord Futures Corp.	Board Member
10	Standing Director	Faleo Mi	KGI Futures Corp.	Chairman
11	Standing Director	Hsin-nan Chien	Hua Nan Futures Management Corp.	Advisor
12	Director	Alex Liu	Taiwan International Futures Corp.	Vice President
13	Director	Winnei Wang	Pacific Securities Corp.	Assistant Vice President
14	Director	Philip Wang	ADM Investor Services, Inc. Taiwan Branch	President
15	Director	Gang Shyy	Fubon Futures Corp.	Chairman
16	Director	Cheng-che Wu	Grand Cathay Futures Corp.	Vice President
17	Director	Charles Liu	Optiver Taiwan Co.	Chief Strategist
18	Director	Chi-cheng Lin	SG Securities (HK) Ltd., Taipei Branch	Vice President
19	Director	Chao-hung Hou	KGI Securities Corp.	Senior Assistant Vice President
20	Director	Clara Ko	CITIC Newedge Futures Co.	President
21	Director	Eric Kao	Ta Chong Securities Corp.	Vice President
22	Director	R. T. Kao	Dah Chang Securities Co.	President
23	Director	Sheng Chang	KGI Securities Corp.	Vice President
24	Director	Jen-long Chen	Mega Futures Corp.	Assistant Vice President
25	Director	Tien-fu Chen	Yung Chuan Securities Co.	President
26	Director	Peggy Huang	Cathay Futures Co.	Manager
27	Director	Yi-kuan	HuangConcord Securities Corp.	President
28	Director	Chia-chin Yang	KGI Securities Corp.	Vice President
29	Director	Eric Yeh	MF Global Singapore Pte. Taiwan Branch	President
30	Director	Kevin Liu	IBT Securities Co.	Vice President
31	Director	Vincent Teng	Mega Futures Corp.	President
32	Director	Vincent Cheng	UOB Bullion & Futures Ltd., Taiwan Branch	President
33	Director	Ricky Hsieh	Nihon Unicom Corp. Taipei Branch	Vice President
1	Supervisor Convener	James Chen	KGI Futures Corp.	President
2	Standing Supervisor	Chris Ho	Polaris Man Financial Futures Co.	President
3	Standing Supervisor	J. H. Hsu	Hua Nan Securities Co.	Vice President
4	Supervisor	Alan Fang	Capital Futures Corp.	President
5	Supervisor	Shu-hei Wang	Ta Chong Futures Corp.	Chairman
6	Supervisor	Joyce Sung	Yuanta Futures Corp.	Vice President
7	Supervisor	Wen-chu Lee	Concord Securities	Corp. President
8	Supervisor	Tze-chi Lee	Waterland Futures Co.	President
9	Supervisor	Phoebe Chang	Fubon Futures Corp.	President
10	Supervisor	Li Chen	MasterLink Futures Corp.	Executive Vice President
11	Supervisor	Cheng-en Chan	Kuanz Ho Securities	Chairman

Note: the list is in an order of the stroke number of Chinese surname, as of the end of 2009

IV. Association Affairs

A. Execution and research of futures-related regulations

Making model contracts, guidelines, and report formats

- (1) Revised the “Self-discipline Rules for Futures Companies in Doing Day Trading”
- (2) Suggested that the regulatory agency should approve the “Proposal for Futures Companies to Operate Complementary Securities Businesses”
- (3) Suggested that the regulatory agency should approve the “Proposal for Futures Introducing Brokers to Offer Offsetting Business as Agent of Futures Companies”
- (4) Requested that the Taiwan Futures Exchange (TFE) should provide full subsidy to futures companies to cover their expenditures for improving off-market trading, equity futures trading, and market information disclosure systems
- (5) Requested that the regulatory agency should allow futures companies to use the united credit-investigation system of securities firms
- (6) Made a request with the Taiwan Futures Exchange that the Financial Information Service Co. should provide information about the “Interdicted Persons” and Assisted Persons” to the futures companies
- (7) Requested that the Taiwan Futures Exchange should refer to the foreign experience and act as the settlement institution for the leverage contract trading proposed to be introduced into Taiwan as a means to energize both the centralized and over-the-counter futures markets in Taiwan
- (8) Revised the “Internal Control System of Managed Futures Enterprises”
- (9) Revised the “Self-discipline Rules for Managed Futures Enterprises in Publishing Performance Report”
- (10) Revised model format of the “Letter of (Joint) Authorization of Custodian Institution(s)”
- (11) Revised the “Model Contract for Discretionary Account Management Service for Futures Companies”
- (12) Revised the “Anti-Money Laundry Guidelines for Futures Trust and Managed Futures Enterprises”
- (13) Revised the “Guidelines for Futures Advisory Enterprises in Providing Futures Transaction Analysis and Recommendation through Mass Media”
- (14) Revised the “Model Contract of Authorization for Futures Advisory Enterprises”
- (15) Revised the “Internal Control guidelines for Futures Advisory Enterprises”
- (16) Revised the “Regulations on Advertisements and Promotional Materials Published by Member Companies”

(17) Revised the “Guidelines for Futures Analyst Certificate Test”

(18) Published the “Guidelines for Those Futures Trust Funds Similar in Nature or Exposed to Similar Risks”

(19) Published the guidelines for evaluating those futures trust funds which, raised by qualified persons, would authorize professional institutions for discretionary account management

(20) Published the “Self-discipline Rules for Futures Trust Fund in Providing Guarantee for OTC Put Options Trading”

(21) Published the “Required Information for Report of Futures Trust Enterprises or Futures Trust Funds”

(22) Revised the “Regulations on Advertisements and Promotional Materials published by Futures Trust Fund”

(23) Revised the “List of Accounting Document Reservation Years for Futures Trust Fund”

(24) Revised the “Procedures for Futures Trust Fund Raise, Issue, Sales, and Redemption”

(25) Revised the “Management Guidelines for Beneficiary Certificates of Futures Trust Fund”

(26) Revised the “Model Contract of Futures Trust Fund Sales”

(27) Revised the “Internal Control Inspection Form for Futures Trust Fund Sales Outlets”

(28) Revised the “Model Format of Accounting Report of Futures Trust Enterprises”

(29) Revised the “Model Internal Control System for Futures Trust Enterprises”

(30) Revised the “Model Internal Auditing Guidelines for Futures Trust Enterprises”

(31) Revised the “Guidelines for Business Location and Facilities of Member Companies”

(32) Revised the “Guidelines for Registration of Member Company's Responsible Person and Engaged Businesses”

(33) Revised the “Guidelines for Enrollment of Member Company's Business Representatives”

(34) Revised the “Guidelines for Enrollment of Member Company's Order Key-in Workers”

Proposals

(1) Proposed that the regulatory agency should open new businesses for domestic specialized futures brokerage companies to run with self-prepared funds (e.g. buying futures trust fund)

(2) Proposed that the regulatory agency should allow overseas compatriots or foreigners to purchase Taiwan-issued futures trust funds

(3) Proposed that the regulatory agency should allow specialized futures brokerage companies to offer futures advisory services

(4) Proposed that the regulatory agency should allow the sales agent of the futures trust fund, launched by qualified persons, to become a business partner of the fund issuer

(5) Proposed that the Taiwan Futures Exchange should narrow the tick of the TAIEX Options, Electronics Sector Index Options, Financial Sector Index Options, MSCI Taiwan Index Options, other TFE-traded options and OTC-traded options, so as to provide more contract size alternatives to options traders.

(6) Proposed that the Taiwan Futures Exchange should allow a securities firm and its affiliated futures division to share the same settlement staff

(7) Proposed that the Taiwan Futures Exchange should make procedures for futures companies to annul the inactive accounts as securities firms

(8) Proposed that the Taiwan Futures Exchange should allow futures companies to authorize futures introducing brokers to provide off-market trading account opening service on behalf of them

(9) Proposed that the Taiwan Futures Exchange should revise its regulations to allow price adjustment for transaction order

(10) Proposed that the Taiwan Depository & Clearing Corp. (TDCC) should add software-control coding and decoding functions in addition to the existing security card for its MTS settlement system

B. R&D projects

1. Outsourcing projects on special topics

(1). New Tax on Personal Overseas Income and Its Impact on Domestic Futures Companies
Project Manager: Hsiou-ling Lee, certified accountant of PricewaterhouseCoopers Taiwan

(2). Legal Issues Regarding Futures Margin Trading Accounts Which Use Marketable Securities to Pay for Deposit
Project Manager: Yung-shen Wu, dean of Law School, Ming Chuan University

(3). Advanced Deposit Payment System for Taiwan's Futures Market
Project Manager: William Lin and Wen-chang Tuan, researchers at Cross-straits Financial Research Center, Tamkang University

(4). Cost Structure of Specialized Futures Brokerage Companies
Project Manager: Tsun-hsiou Lee, professor of Financial Department, National Taiwan University

Seminar / Lecture / Presentation / Forum / Cross-border interactions / Social activity for committee members / Staff training & job consulting / Social activity for board members and supervisors / Other activities

Seminar

1. Corporate Governance” seminar (June 9)

The seminar, attended by 78 persons, addressed the importance of corporate governance for futures companies and strengthened futures workers' concept of the “corporate governance” for futures companies.



2. “Money Laundry Control” seminar (July 1)

The seminar, attended by 149 persons, advocated the right concept of money laundry control. It clarified the right concept to prevent futures companies from violating the law and helped them make effective control against money laundry.



3. “Options Trading Strategies & Assets Allocation” seminar (Aug. 14, 19, 21)

The seminar was held three times in northern, central, and southern Taiwan, respectively, participated by 230 persons in total. It helped futures traders understand how to use index options to make better assets allocation, strengthen risk control, and raise investment efficiency.



4. “Managed Futures Diverse Investment and Create Profit Source” seminar (Oct. 19)

The seminar, participated by 98 persons, invited renowned foreign commodity trading advisors (CTA) to speak on the practice of managed futures business in foreign countries, and shared their experiences in managed futures trading. It provided good reference to domestic companies for developing futures trust business in Taiwan.



5. “Futures Trading Default Case & Flawed Management Procedures” seminar (April 18-19)

The seminar, co-sponsored by the CNFA and the Taiwan Futures Exchange (TFE), was featured by the speeches of Tseng Ming-hui, deputy manager of TFE's Auditing Department, and Lo Ming-ta, section chief of TFE's Auditing Department, which analyzed some futures trading default cases and the flawed management procedures of domestic futures companies. After their speeches, participants were divided into several groups for group discussion to share their experiences and viewpoints with each other.



Lecture

1. “How to Use Single stock Options to Raise Investment Efficiency” (Feb. 4, 10)

The lecture combined theory and working experiences, making in-depth analysis on how the new single stock options trading system differed from the old version and how it would benefit traders. It also analyzed how to use single stock options to minimize loss of stock investment and integrate it into equity investment portfolio to hedge risks and increase investment efficiency. The lecture was held twice, participated by 183 persons in total.



2. “Prospect of Futures Industry and Related Job Opportunities” (March, April, May)

The road-show lectures covered 43 universities around the island, attended by nearly 2,300 students. For the would-be graduates, the lectures introduced the best job opportunities to those who are interested in futures business, and helped them work out plans for pursuing successful life career in the future.



3. “Introduction of Futures Trust Fund” (Sept. 8)

In order to help the public build up right concept about the futures trust fund, the CNFA and Systex Corporation jointly arranged the lecture to introduce futures trust fund as a new money management tool. It's participated by around 70 persons.



Presentation

1. “IFRS Accounting Standards for Futures Companies” (Sept. 15, 18)

The presentation, co-sponsored by the CNFA and the Taiwan Futures Exchange (TFE), introduced the new international IFRS Accounting Standards for futures companies. It's attended by 134 persons.



2. “TOCOM-hosted Futures Exchange”
(Feb. 18-19)

In order to help futures workers have better understanding of the commodity futures traded on the Tokyo Commodity Exchange (TOCOM), the CNFA and the Nihon Unicom Corp. Taipei Branch jointly arranged the presentation, which was held twice and attended by 170 persons in total.



3. “TOCOM and Taiwan's Managed Futures,
Futures Trust Enterprises” (March 26)

The CNFA and the Nihon Unicom Corp. Taipei Branch jointly arranged the presentation with an attempt to keep Taiwan's futures workers informed of the new products, services, and new trading platform developed on the Tokyo Commodity Exchange (TOCOM).



4. “Enrollment of Futures Trust Fund Sales
Staff” (May 6)

The CNFA arranged this presentation to assure that enrollment of sales personnel of the futures trust fund sales outlets would proceed smoothly.



Forum

1. “How Futures Companies Make Provisions for Writing Off Losses in Compliance with Law” (April 27)

The forum, participated by 30 persons, discussed the legal issues regarding how futures companies should abide by the law to make provisions for writing off losses in case of transaction default or uncollectible accounts.



2. “2009 Taipei Futures Forum” (Dec. 9)

The forum, participated by 97 persons, invited globally renowned experts to share their experiences and insights which would be valuable reference to the futures companies interested in the proposed equity futures market to be developed in Taiwan.



3. “Feasibility of Introducing Leverage Transaction Merchants into Taiwan” (Aug. 6)

The forum discussed the feasibility of opening the leverage contract market in Taiwan. It provided information about development and operations of the leverage transaction merchants in foreign countries as valuable reference to Taiwan futures companies. It's participated by 45 persons.



4. “Legal Issues Regarding Those Futures Margin Trading Account Paying Deposits with Marketable Securities” (Dec. 21)

The forum helped futures margin traders learn how to pay for deposits with marketable securities rather than cash and pursue higher cash efficiency through this way. It's participated by 46 persons.



5. “Key Factors That Influence Market Information Disclosure Speed” (Jan. 15)

The forum, participated by 40 persons, discussed the key factors which caused a 3-second time gap between the time of transaction and the time of publishing the transaction information. The time gap caused inconsistency in the information of the two systems.



6. “New Tax on Personal Overseas Income and Its Impact on Futures Companies” (Dec. 1)

The forum analyzed how personal overseas income would be taxed and how it would influence the operations of futures companies in respects of operational income, accounting management, information-reporting obligations, among others. It's participated by 81 persons.



7. "Futures Trader Protection"
(Sept. 22, Oct. 1,8)

Along with the development and maturity of the futures and options markets, their advantages of high liquidity and cash efficiency have been well recognized by traders. Nonetheless, disputes associated with futures and options transactions happen from time to time. In order to help traders protect their rights and interest, the CNFA held the forum three times in northern, central and southern Taiwan, respectively, attended by 179 persons in total.



Cross-border interactions

1. European trips to visit Eurex
(Aug. 28-Sept. 6, Sept. 18-27)

In order to learn and gather information about foreign equity futures as reference to the government officials in charge of opening the new futures business in Taiwan, the Association's board members and supervisors organized two delegations to visit the Eurex headquarters office in Germany as well as Eurex-Paris and Newedge Group S.A. in Paris. The foreign experience is valuable reference to those concerned about how to develop the equity futures market in Taiwan.



2. Attendance on 5th China International Derivatives Forum (CIDF) held in Shenzhen (Dec. 2-5)

In order to promote interactions with counterparts in China, Chairman Ted M.H. Ho led a delegation of 14 board members and supervisors to attend the 5th China International Derivatives Forum (CIDF) held in Shenzhen, southern China.



3. Visit of China Futures Association (May 26)

China Futures Association (CFA) Chairman Liu Qi-chao led a delegation of high-ranking executives of related institutions to visit the Association.



4. Visits of Fujian Securities and Futures Association (Nov. 17) and Qingdao Financial Exchange Delegation (Nov. 19)

Fujian Securities and Futures Association organized a delegation of 13 members to visit the Association in mid-November, followed by the Qingdao Financial Exchange Delegation of 12 members in the same week. During their visit, they learned of CNFA's history, structure, and development.



5. Visit of Brazilian Mercantile & Futures Exchange (Sept. 24)

With the assistance of the Association, Brazilian Mercantile & Futures Exchange (BM&F) organized a delegation to visit the Association. During their stay in Taiwan, they also called on several futures companies such as Grand Cathay, Yuanta, Fubon, and Polaris, with an attempt to gather information about Taiwan's futures industry and learn of potential opportunities for cooperation in the future.



Social activities for committee members

A 2-day Hsitao trip was arranged for committee members, who were divided into two groups to take part in the activity held twice on different dates.



Social activities for board members and supervisors

A tour to Toyama-Nagano, Japan was arranged for board members and supervisors (May 14-18).
A tour to Hokuriku, Japan was arranged for board members and supervisors (Dec. 12-19).



Other activities

Two hiking activities were arranged for futures workers, one in route to Chinan Temple in suburban Taipei (Nov. 14) and the other to Chengching Lake in Kaohsiung (Dec. 19).

The two activities were participated by 2,035 persons in total, providing good opportunities for futures workers to relax themselves from working pressure, accompanied by family members, relatives, and friends.



Training and Employment

1. Futures Talents Cultivation

In 2009, the Association arranged three talents-hunting activities for member companies, targeted at those who have completed the CNFA-arranged training program. Through computerized-matching, 13 trainees of Kaohsiung courses were recruited by five companies, 21 trainees of Taipei courses were recruited by eight companies, and 9 trainees of Taichung courses were recruited by three companies.

2. Certificate courses for securities IB at specialized futures companies (3 terms in Oct.-Nov.)

While the government is about to allow specialized futures brokerage companies to operate securities introducing brokerage business, the Association arranged the training courses to help students prepare for the certificate test for working at the specialized futures brokerage companies. In 2009, there were 161 trainees taking part in these courses.

3. Legal training course for futures workers (Feb. 6-March 14)

In order to help futures workers possessed of right legal concepts and prevent themselves from violating against law at work or in life, the Association arranged the “Lectures on Legal Practice for Futures Workers” in 2009, joined by 47 trainees.

4. Training course for managed futures operators (May 15-Aug. 8)

In order to help managed futures enterprises cultivate outstanding financial derivatives operators, the Association created the course in 2009, joined by 33 trainees.

C. Self-discipline and operation improvement of futures advisory enterprises

1. Inspection of futures advisory enterprises

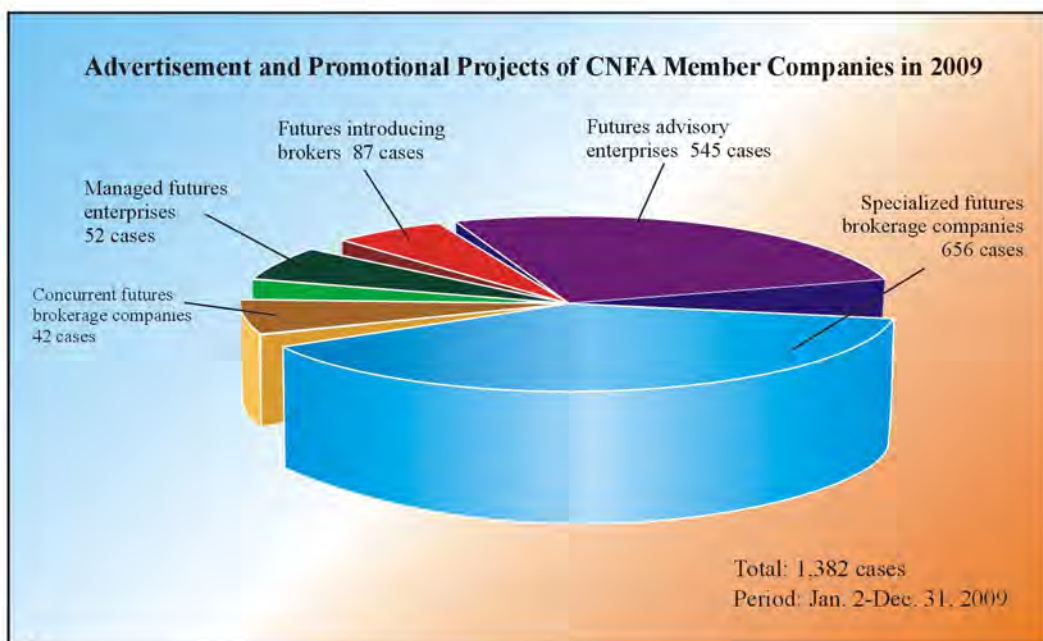
The Association made annual inspection on futures advisory enterprises and their practice of internal auditing. In 2009, it inspected 28 companies and 27 futures advisory projects. Among them, 10 projects were found in violation against the Association's Self-discipline Agreement and required to make improvement, eight received the Association's warning notice, 5 were fined for rule violation, and another four were required to take self-disciplinary actions.

2. Other regulation-violation cases

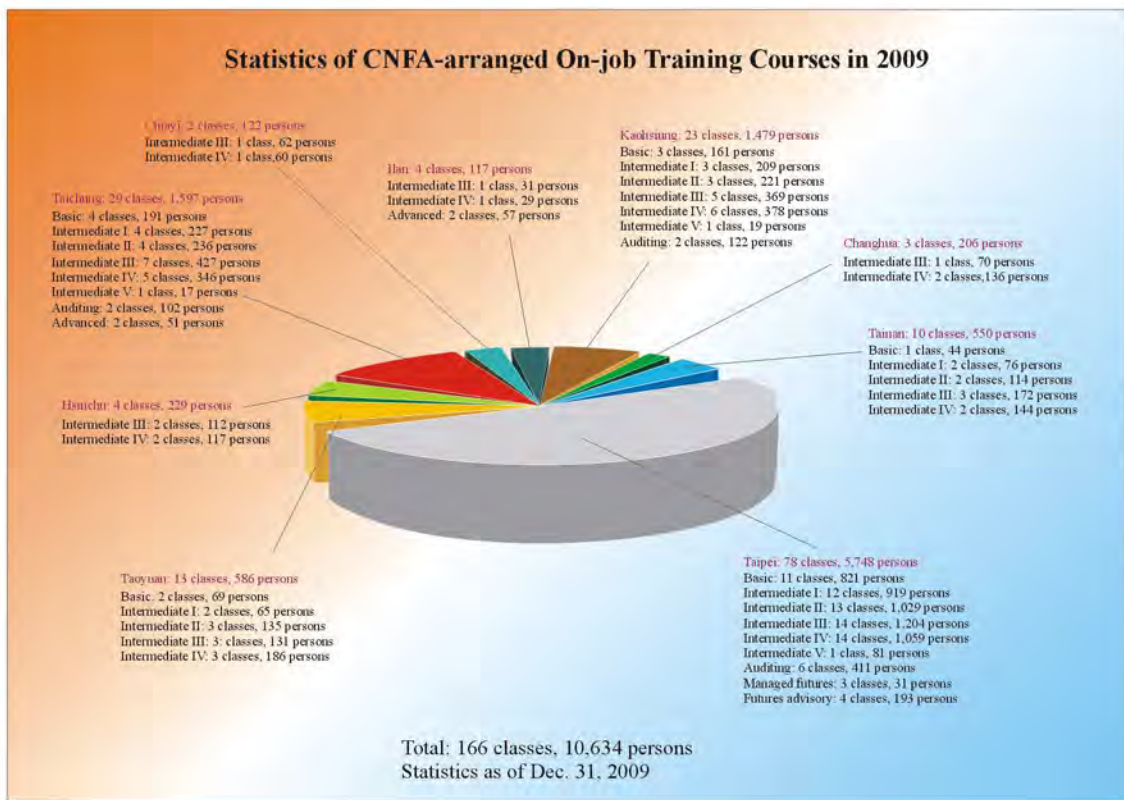
As for other member companies, the Association found other cases where member companies were found in violation against the Association's Self-discipline Agreement. Among them, the Association issued letter for improvement in 14 cases and issued warning notice in 11 cases. Meanwhile, companies were fined in two cases and required to take self-disciplinary actions in another four cases.

D. Advertisement and Business Promotion of Member Companies

- In order to protect the image of legitimate futures operators and protect interest of futures traders, the Association requires member companies to report to the Association first before conducting any advertisement and promotional activities. In 2009, the Association reviewed 1,382 advertisement and promotional materials published by member companies.



E. On-job Training

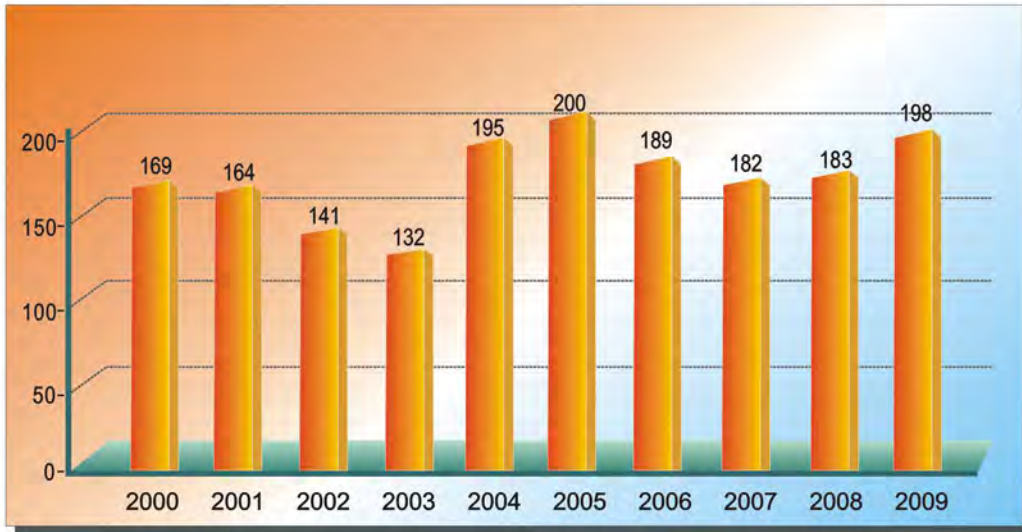


F. Enrollment and records of member companies as well as representatives, responsible person, and business representatives of member companies

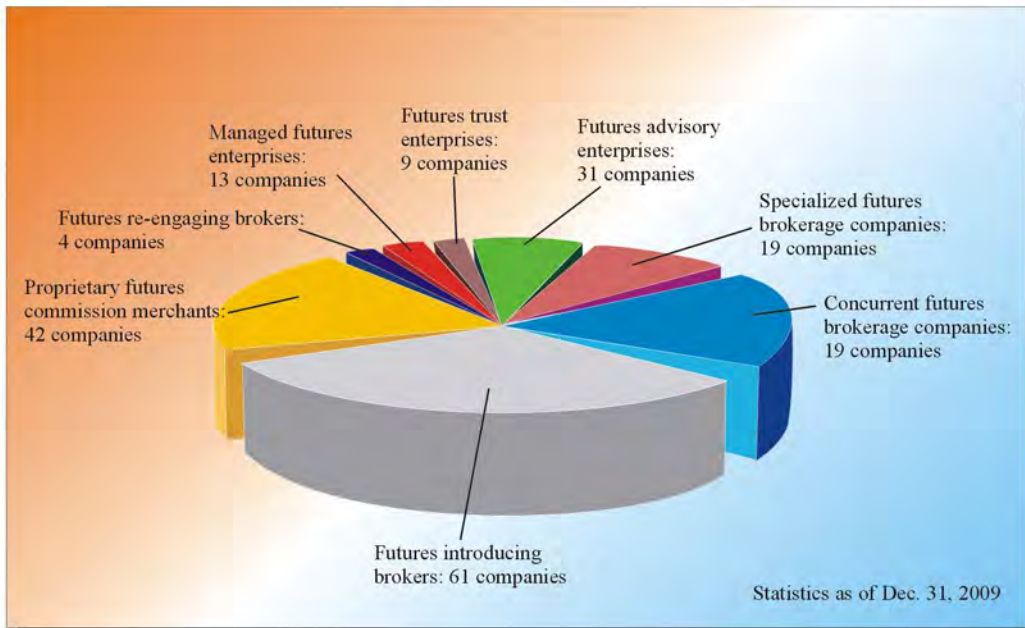
1. Enrollment of member companies and their business representatives

- There were 198 member companies in 2009: 42 futures brokerage companies (20.5%), 61 futures introducing brokers (31%), 42 proprietary futures commission merchants (20.5%), 13 managed futures enterprises (7%), 31 futures advisory enterprises (16%), and 9 futures trust enterprises (5%).

Number of Member Companies, 2000-2009

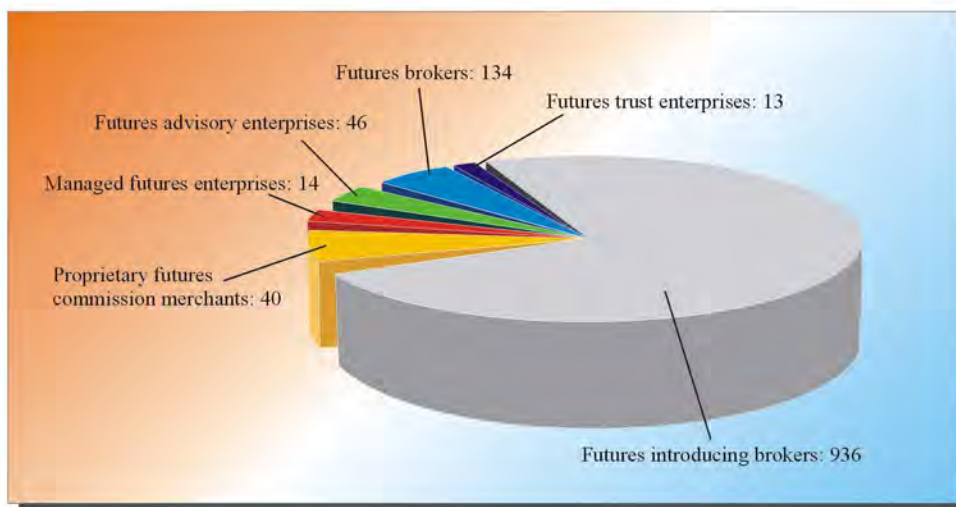


CNFA Member Companies in 2009, by Business Category

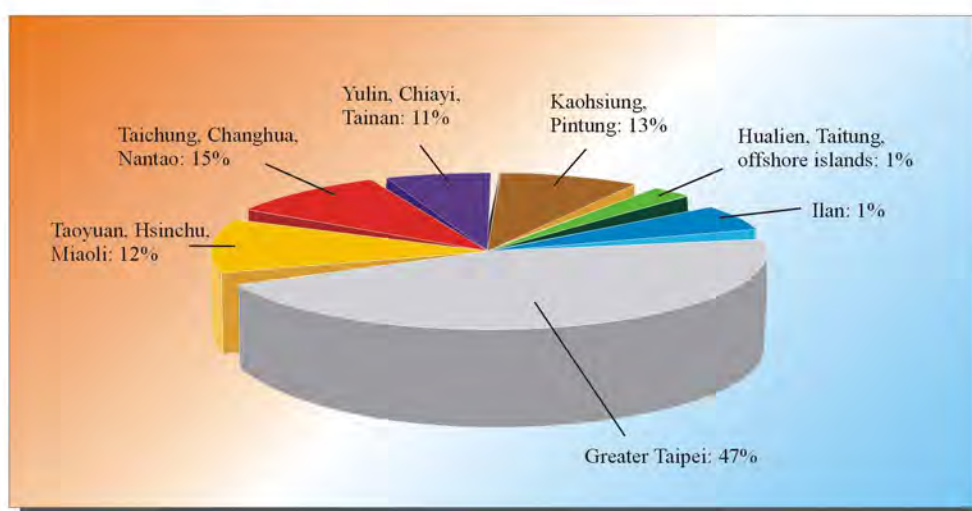


- Member companies operated a total of 1,183 headquarters and branch offices as of the end of 2009: 134 used by futures brokers (11%), 936 used by introducing brokers (80%), 40 used by proprietary futures commission merchants (3%), 14 used by managed futures enterprises (1%), and 46 used by futures advisory enterprises (4%), and 13 used by futures trust enterprises.

Business Units of CNFA Member Companies in 2009



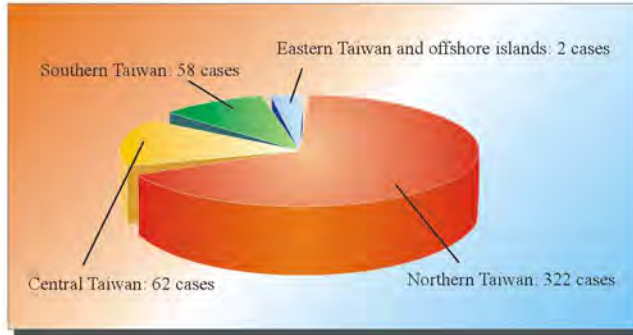
Geographical Location of CNFA Member Companies in 2009



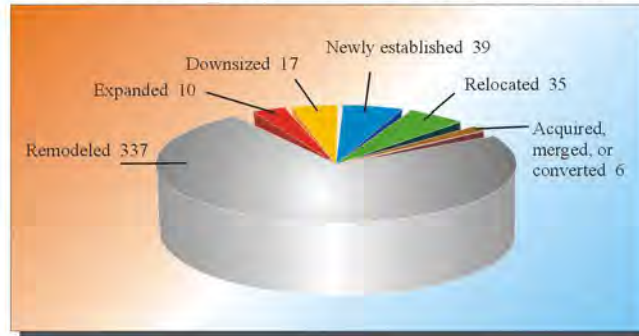
- **Business Location inspection**

The Association conducted a total of 444 business location inspection cases in 2009 (322 in northern Taiwan, 62 in central Taiwan, 58 in southern Taiwan, 2 in eastern Taiwan). Among these inspected sites, 39 were newly established (8.78%), 35 ones were relocated (7.88%), 17 were downsized (3.83%), 10 were expanded (2.25%), 337 were remodeled (75.91%), and 6 were acquired, merged, or converted (1.35%).

Business Location Inspections in 2009



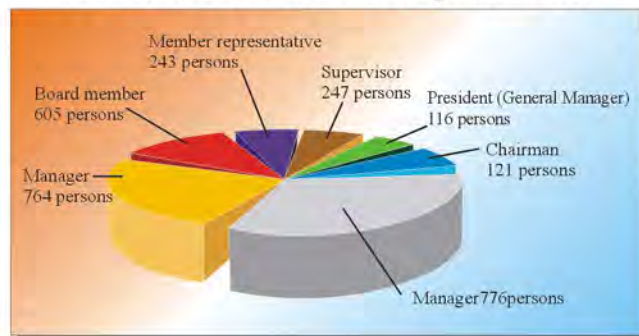
Statistics on Inspected Business Locations in 2009



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

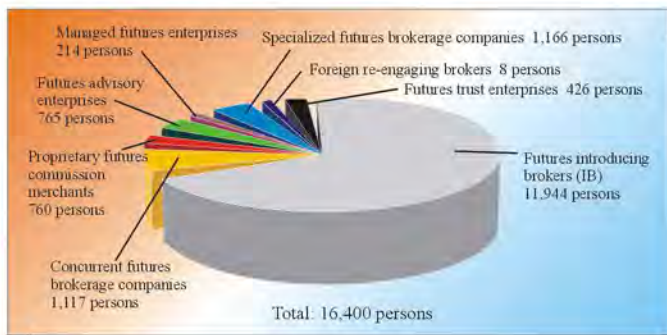
- In 2009, records of member companies and their representatives were updated as shown in the following chart:

Statistics of CNFA Member Companies in 2009



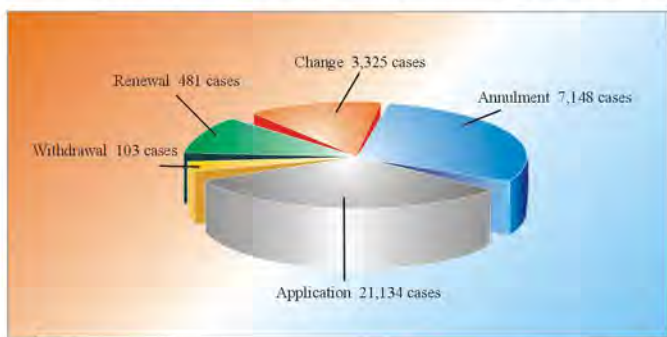
- In 2009, 16,400 business representatives were enrolled with the Association, with detailed shown in the following chart:

Business Representatives enrolled with the Association in 2009



- In 2009, the Association handled a total of 32,191 business representatives enrollment cases, with an average of around 2,683 cases per month

Business Representatives enrollment cases in 2009



Statistics as of the end of 2009

- Another milestone of the Association's internationalization-international futures exchanges become special members of the CNFA

After over four months of planning, holding an extra General Assembly, and revising the CNFA Charter to increase membership categories, the Association finally obtained the approval of the Interior Ministry for it to recruit foreign institutions as Special Members. With the approved legal base, the Association held a joint meeting of board members and supervisors on Dec. 22, during which it passed the applications of three foreign exchanges for joining the CNFA as Special Members. They are EUREX, CME, and NYSE Liffe, which have thus become the first Special Members of the CNFA since its establishment.



7. Publications

1. Newsletter



2. Futures Journal



3. Taiwan Futures Publication



4. Taiwan Futures and Derivatives Journal



5. Working Ethics Handbook for Futures Workers



6. Promotional Posters

In order the help member companies promote futures business, the Association made several promotional posters for them to post on their offices and business locations.

期貨信託基金宣傳系列一 · 投資前請務必詳閱各基金公開說明書 ·

理財新思維 投資新商品

期貨信託基金

期貨信託

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中華民國期貨商業同業公會
電話: (02)47792461 ● 傳真: (02)27262498
網址: <http://www.futures.org.tw>

敬請垂注

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- 一 銀行
- 一 信託業
- 一 證券經紀商
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期貨信託基金

四大類型：

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- 二、 組合型期貨信託基金
- 三、 保本型期貨信託基金
- 四、 一般型期貨信託基金

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敬請垂注

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 2009 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.

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, 2009 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
Feb. 2, 2010

Chinese National Futures Association
Balance Sheet

	Dec. 31, 2009		Dec. 31, 2008		Dec. 21, 2009		Dec. 31, 2008	
	Amount	%	Amount	%	Amount	%	Amount	%
Assets								
Current assets								
Cash & bank deposit (Note 3-1)	27,032,384	6	\$ 38,408,918	9	9,421,908	2	\$ 11,112,318	2
Securities (Note 3-2)	36,654,579	8	67,307,402	15	508,647	—	1,047,299	—
Receivables (Note 3-3)	3,151,757	1	1,369,152	—	9,970,555	2	12,139,617	2
Other receivables (Note 3-4)	—	—	2,190,237	1	—	—	—	—
Prepayments	862,383	—	414,527	—	—	—	—	—
Sub-total	67,701,103	15	109,090,233	25	988,943	—	—	—
Funds								
Development fund at special bank account	65,435,837	14	58,528,670	13	71,820,000	16	70,020,000	16
Pension fund at special bank account (Note 3-7)	18,262,002	4	15,281,004	4	72,808,943	16	70,020,000	16
Advance cash for office procurement (Note 3-7)	—	—	74,173,680	16	82,779,498	18	82,179,617	18
Sub-total	83,697,839	18	147,983,754	33	—	—	—	—
Fixed assets (Note 3-8)								
Land	133,989,345	29	78,794,345	18	—	—	—	—
Office and buildings	91,182,318	20	27,906,578	6	71,435,837	16	64,528,670	14
Office facilities	9,479,765	2	280,995	—	20,552,008	4	17,806,211	4
OA equipment	—	—	8,920,725	2	237,149,846	52	118,014,787	27
Transportation	652,381	—	652,381	—	328,837,691	72	200,349,668	45
Miscellaneous items	453,847	—	—	—	—	—	—	—
Office facilities	1,392,190	—	1,459,663	—	—	—	—	—
Sub-total	237,149,846	51	118,014,787	26	—	—	—	—
Funds and surplus								
Funds	133,989,345	29	78,794,345	18	71,435,837	16	64,528,670	14
Development fund	91,182,318	20	27,906,578	6	20,552,008	4	17,806,211	4
Pension fund	9,479,765	2	280,995	—	237,149,846	52	118,014,787	27
OA equipment	—	—	8,920,725	2	328,837,691	72	200,349,668	45
Transportation	652,381	—	652,381	—	—	—	—	—
Miscellaneous items	453,847	—	—	—	—	—	—	—
Office facilities	1,392,190	—	1,459,663	—	—	—	—	—
Sub-total	237,149,846	51	118,014,787	26	—	—	—	—
Surplus								
Accumulated balance (Note 3-11)	55,330	—	55,300	—	163,234,792	35	104,445,997	37
Balance for this period	71,820,000	16	70,020,000	16	(114,427,89)	(25)	(1,212,205)	—
Sub-total	71,875,300	16	70,075,300	16	48,806,899	10	163,234,792	37
Total funds and surplus	—	—	—	—	377,644,500	82	363,584,460	82
Total assets	\$ 460,424,088	10	\$ 445,764,077	100	460,424,088	100	\$ 445,764,07	100

Please refer to the attached audit report issued by Certified Accountant C. P. Tsai of PricewaterhouseCoopers

Chinese National Futures Association
Income Statement
Jan. 1-Dec. 31, 2009

Unit: NT\$

Item	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
			Increase	Decrease	
Revenue					
Entry fees	\$ 57,600	\$ 32,000	\$ 25,600	\$ -	
Annual membership fees	1,933,200	1,920,000	13,200	-	
Business promotion fees	66,809,862	77,104,000	-	(10,294,138)	Note 1
(Note 3-12)					
Interest income	3,727,723	5,853,518	-	(2,125,795)	Note 2
Income from special projects	476,190	477,000	-	(810)	
Income from special projects	12,896,890	12,530,000	366,890	-	
Others	<u>6,124,680</u>	<u>1,064,000</u>	<u>5,060,680</u>	-	Note 3
Total	<u>92,026,145</u>	<u>98,980,518</u>	<u>5,466,370</u>	<u>(12,420,743)</u>	
Expenses					
Personnel expense	27,428,108	28,099,000	-	(670,892)	
Administration	5,709,559	6,181,000	-	(471,441)	
Business promotion	40,122,683	46,953,000	-	(6,830,317)	Note 4
Procurement	119,396,124	2,220,000	117,176,124	-	Note 5
Association activities	1,070,000	1,070,000	-	-	
Miscellaneous items	385,826	300,000	85,826	-	
Contracted research projects	1,080,898	1,173,000	-	(92,102)	
Advance cash	1,000,000	1,000,000	-	-	
Fund deposit (Note 3-13)	<u>10,260,840</u>	<u>11,984,518</u>	-	(1,723,678)	Note 6
Total expense	<u>206,454,038</u>	<u>98,980,518</u>	<u>117,261,950</u>	<u>(9,788,430)</u>	
Pre-tax balance	(114,427,893)	0	-	(114,427,893)	
Income tax (Note 3-10)	-	-	-	-	
After-tax balance	<u>(\$ 114,427,893)</u>	<u>0</u>	<u>-</u>	<u>(\$ 114,427,893)</u>	

Please refer to the attached audit report issued by Certified Accountant C. P. Tsai of PricewaterhouseCoopers.

Note 1: The income of business promotion fees has decreased since October 2008 when the board of directors and supervisors made a decision for the discount rate to be adjusted along with the account's balance.

Note 2: The interest income decreased due to those procurement projects which used the advanced cash.

Note 3: The income from other resources increased as a result of the increasing businesses of license issuance and office inspection.

Note 4: The business promotion expense decreased due to non-execution of some approved business promotion projects.

Note 5: Procurement expense increased due to procurement of new office equipment.

Note 6: Fund deposit decreased due to the falling interest rate for the fund deposit account.

VI. Chronicle

Date	Event
Jan. 5	Forum on “Key Factors That Influence Market Information Disclosure Speed”
Jan. 5-20	IB certificate course in Taipei
Feb. 4	Lecture on “How to Use Single Stock Options to Raise Investment Efficiency” (I)
Feb. 5	The 10 th joint meeting of the second-term standing board members and supervisors
Feb. 6-22	IB certificate courses in Taichung and Kaohsiung
Feb. 10	Lecture on “How to Use Single Equity Options to Raise Investment Efficiency” (II)
Feb. 18	Presentation on “TOCOM-hosted Futures Exchange” in Taipei
Feb. 19	Presentation on “TOCOM-hosted Futures Exchange” in Taichung
Feb. 24	Forum on “Risks of Futures Companies”
Feb. 26	The 9 th joint meeting of the second-term board members and supervisors
March 26	Presentation on “TOCOM and Taiwan's Managed Futures, Futures Trust Enterprises”
April 18-19	Seminar on “Futures Trading Default Case & Flawed Management Procedures”
May 6	Presentation on “Enrollment of Futures Trust Fund Sales Staff”
May 14	Lecture on “Equity Options”
May 14-18	First social activity for board members and supervisors in 2009trip to Toyama-Nagano, Japan
May 19	The 11 th joint meeting of the second-term board members and supervisors
June 9	Seminar on “Corporate Governance”
July 1	Seminar on “Money Laundry Control”
Aug. 6	Forum on “Feasibly of Introducing Leverage Transaction Merchants into Taiwan”
Aug. 14,19, 21	Seminar on “Options Trading Strategies & Assets Allocation”
Aug. 18	The 12 th joint meeting of the second-term board members and supervisors

Date	Event
Aug. 22-23	Social activity for committee members 2-day trip to Hsitao (first group)
Aug. 26	Training course for managed futures operators
Aug. 28-Sept. 6	Overseas trip of board members and supervisors to visit Eurex in Europe
Aug. 29-30	Social activity for committee members 2-day trip to Hsitao (second group)
Sept. 8	Lecture on "Introduction of Futures Trust Fund"
Sept. 15, 18	Presentation on "IFRS Accounting Standards for Futures Company"
Sept. 18-27	Overseas trip of board members and supervisors to visit Paris and Newedge Group S.A. in Paris
Sept. 22	Forum on "Futures Trader Protection" in Kaohsiung
Sept. 23	Brazilian Link Corretora's delegation's visit on futures companies in Taiwan
Sept. 29	The 13 th joint meeting of the second-term board members and supervisors
Oct. 1	Forum on "Futures Trader Protection" in Taichung
Oct. 8	Forum on "Futures Trader Protection" in Taipei
Oct. 19	Seminar on "Managed Futures Diverse Investment and Create Profit Source"
Oct. 29	First extra General Assembly for second-term member companies
Nov. 14	Hiking activity in route to Chinan Temple
Dec. 1	Forum on "New Tax on Personal Overseas Income and Its Impact on Futures Companies"
Dec. 2-4	Attendance on 5th China International Derivatives Forum (CIDF) held in Shenzhen
Dec. 9	"2009 Taipei Futures Forum"
Dec. 16-20	The second social activity for board members and supervisor in 2009 trip to Hokuriku, Japan
Dec. 19	Hiking activity in route to Chengching Lake in Kaohsiung
Dec. 21	Forum on "Legal Issues Regarding Those Futures Margin Trading Account Paying Deposits with Marketable Securities"

柒、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

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4段296號17樓 17F, 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
F002	永豐期貨股份有限公司 SinoPac Futures Corp.	100台北市重慶南路1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	02-23713146	http://www.kgifutures.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4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 Yuanta Futures Co.,Ltd.	104台北市南京東路3段225號12樓 12F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	http://www.yuanta-futures.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2段111號4樓 4F, 111, Sec.2, 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B1 B1, 8, Tong Shin 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1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
F014	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105台北市民生東路4段54號3樓 3F, 54, Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://www.enrust.com.tw
F018	元富期貨股份有限公司 Master Link Futures Corp.	106台北市復興南路1段209號4樓 4F, 209, Sec.1, Fushing S Rd., Taipei 106, Taiwan	02-27213458	02-87732029	http://www.masterlink.com.tw
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2段69號10樓 10F, 69, Sec.2, Tunhua S. Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://www.pmf.com.tw/
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	02-25082351	http://www.kgifutures.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.fbf.com.tw/
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4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	香港新際期貨股份有限公司台灣分公司 Newedge Financial Hong Kong 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2段207號17樓 17F, 207, Sec. 2, Tunhua S. Rd., Taipei 106, Taiwan	02-23763586	02-23763574	http://www.ml.com
F039	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220台北縣板橋市東門街30之2號9樓 9F, 30-2, Tung-men St., Panchiao, Taipei 220, Taiwan	02-29601066	02-29657707	建置中
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4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3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	日商聯實期貨經紀股份有限公司台北分公司 Nihon Unicom Corp. Taipei Branch	106台北市敦化南路2段46號15樓之10 15F-10, 46, Sec.2, Tunhua S. Rd., Taipei 106, Taiwan	02-27055577	02-27003766	維護中
R219	新加坡明亞環球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1段1號6樓 6F, 1, Sec.1, Tunhua S. Rd., Taipei 105, Taiwan	02-25798118	02-25704868	http://www.mifglobal.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2段99號7樓 7F, 99, Sec.2, Tiding Blvd, Taipei 114, Taiwan	02-26561111	02-26561212	http://www.ibts.com.tw/
S152	瑞士商瑞士信貸銀行股份有限公司台北證券分公司 Credit Suisse, Taipei Securities Branch	105台北市民生東路3段109號5樓 5F, 109, Sec.3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27156307	02-27156373	http://www.credit-suisse.com
S153	香港德意志證券亞洲有限公司台北分公司 Deutsche Securities Asia Limited, Taipei Branch	106台北市仁愛路4段296號13樓 13F, 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-21922888	02-37078473	建置中
S159	花旗環球證券股份有限公司 Citigroup Global Markets Taiwan Securities Company Limited	110台北市松智路1號14樓 14F, 1, Songzhi Rd., Taipei 110, Taiwan	02-87269000	02-87254755	http://www.citigroup.com
S165	新加坡瑞銀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, Sung Jen Rd., Taipei 110, Taiwan	02-87227200	02-87227230	http://www.ubs.com

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
S218	亞東證券股份有限公司 Oriental Securities Corp.	100台北市重慶南路1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1段17號17樓 17F, 17, Sec.1, Cheng Teh Rd., Taipei 103, Taiwan	02-25551234	02-25554200	http://www.tachan.com.tw/
S518	太平洋證券股份有限公司 Pacific Securities Co., Ltd.	106台北市忠孝東路4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 Ching Securities Co., Ltd.	104台北市民生東路2段176號4樓 4F, 176, Sec.2, Ming Sheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.testock.com.tw/
S601	轟亞證券股份有限公司 Primasia Securities Co., Ltd.	105台北市復興北路99號3樓 3F, 99, Fushin N. Rd., Taipei 105, Taiwan	02-27180101	02-27193771	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3段10號 10, Sec.3, Shi Men Rd., 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 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5段106號3樓 3F, 106, Sec.5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27253183	http://www.jpmorgan.com
S856	新光證券股份有限公司 Shin Kwang Securities Co., Ltd.	100台北市重慶南路1段66之1號5樓 5F, 66-1, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23118181	02-23714293	http://www.skis.com.tw/
S889	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1段200號13樓 13F, 200, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-27239698	02-23453640	建置中
B092	凱基證券股份有限公司 KGI Securities Co., Ltd.	104台北市明水路698號3樓 3F, 698, Mingshui Rd., Taipei 104, Taiwan	02-21818888	02-85011852	http://etrade.kgi.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4段54號5樓 5F, 54, Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25459231	http://www.entrust.com.tw
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://etrade.kgi.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1段108號B1 B1, 108, Sec.1, Tunhwa S. Rd., Taipei 106, Taiwan	02-87716888	02-87716795	http://www.fbs.com.tw
B097	寶來證券股份有限公司 Polaris Securities Co., Ltd.	106台北市忠孝東路4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 Yuanta Securities Co., Ltd.	104台北市南京東路3段225號12樓 12F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
B102	合作金庫商業銀行股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市忠孝東路4段325號2樓 2F, 325, Sec.4, Chung Hsiao E. Rd., Taipei 106, 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1段58號4樓 4F, 58, Sec. 1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23882188	02-23822045	http://www.twfhsec.com.tw/
B111	台灣中小企業銀行股份有限公司 Taiwan Business Bank Co., Ltd.	103台北市塔城街30號4樓 4F, 30, Tacheng St., Taipei 103, Taiwan	02-25597171	02-25509987	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2段111號3樓 3F, 111, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25071047	http://www.jihsun.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4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3段287號3樓 3F, 287, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27182788	02-27183445	http://www.fullong.com.tw

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
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
B538	第一金證券股份有限公司 First Securities Inc.	106台北市安和路1段27號6樓 6F, 27, Sec.1, Anho Rd., Taipei 106, Taiwan	02-25636262	02-25635713	http://www.ftsi.com.tw
B546	寶盛證券股份有限公司 Pao Shin Securities Co., Ltd.	406台中市北興街43號1樓 1F, 43, Beising St., 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5段188號14樓 14F, 188, Sec.5, Nanking E. Rd., Taipei 105, Taiwan	02-27482828	02-27481818	建置中
B551	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路1段2號7樓 7F, 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 Shin Securities Co., Ltd.	100台北市南海路20號2樓 2F, 20, Nanhai Rd., Taipei 100, Taiwan	02-23218200	02-23516239	http://www.yss.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 Shing Securities Co., Ltd.	420台中縣豐原市中正路220號3樓 3F, 220, Chung Cheng 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.gpsc.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2段97號B1 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, Tong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
B586	盈溢證券股份有限公司 Ying Yi Securities Co., Ltd.	800高雄市七賢二路38號 38, Chihhsien 2 Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	http://k5860.myweb.hinet.net/
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., Hualian 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1段209號1樓 1F, 209, Sec.1, Fuhshing 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 Mach Securities Co., Ltd.	542南投縣草屯鎮草溪路1020號2樓 2F, 1020, Tsao-His Rd., Tsao-tun Nantou 542, Taiwan	049-2353266	049-2357216	http://www.gmstock.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	富邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104台北市南京東路1段52號2樓 2F, 52, Sec.1, Nanking 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3段317號3樓 3F, 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 Bank(Taiwan)	330桃園市中正路465號3樓 3F, 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台北縣永和中市中正路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1段50號3樓 3F, 50, Sec.1, Shin Sheng S. Rd., Taipei 100, Taiwan	02-23939988	02-23567722	http://www.rsc.com.tw
B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251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2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1段73號3樓 3F, 73, Sec.1, Tzu-Cheang 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 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, Yimin St. Pei-miao LI, Miaoli 360, Taiwan	037-266666	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2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B1 B1, 199, Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://web.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, Chihshien 1 Rd., Kaoshiung 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1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-Jung 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2段137號2樓 2F, 137, Sec.2, Nanking 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, Songjiang. 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5段165號B2 B2, 165, Sec.5, Ming Sheng E. Rd., Taipei 105, Taiwan	02-28288585	02-28213444	建置中
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, Gongzheng 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4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B1 B1, 117, Sec.3, Ming Sheng E.Rd., Taipei 105, Taiwan	02-23821313	02-23757606	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4段296號17樓 17F, 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-23269888	02-27003670	http://www.cathaysec.com.tw
P001	永豐期貨股份有限公司-自營 SinoPac Futures Corp.	100 台北市重慶南路1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-自營 Mega Securities Co., Ltd.	100 台北市忠孝東路2段95號4樓 4F, 95, Sec.2, Chung Hsiao E. Rd., Taipei 100, Taiwan	02-33227073	02-33933052	http://www.megasec.com.tw/
P003	統一期貨股份有限公司-自營 President Futures Corp.	105 台北市東興路8號B1 B1, 8, Tong Shin 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-自營 Polaris MF Global Futures Co., Ltd.	106 台北市仁愛路4段68號3樓 3F, 68, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://www.pmf.com.tw/
P005	日盛期貨股份有限公司-自營 Jih Sun Futures Co., Ltd.	104 台北市南京東路2段111號3樓 3F, 111, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jhsunfutures.com.tw
P006	群益期貨股份有限公司-自營 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/
P008	元富證券股份有限公司-自營 Master Link Securities Corp.	106 台北市敦化南路2段97號19樓 19F, 97, Sec.2, Tunhwa 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-自營 Polaris Securities Co., Ltd.	106 台北市敦化南路2段97號29樓 29F, 97, Sec.2, Tunhwa 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-自營 SinoPac Securities Corp.	100 台北市重慶南路1段2號17樓 17F, 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com

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P012	元大期貨股份有限公司-自營 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號12樓 12F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27176000	02-25454913	http://www.yuantafutures.com.tw
P014	大展證券股份有限公司-自營 Ta Chan Securities Co., Ltd.	103台北市承德路1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-自營 Master Link Futures Corp.	106台北市復興南路1段209號4樓 4F, 209, Sec.1, Fushing S Rd., Taipei 106, Taiwan	02-27213458	02-87732029	http://www.masterlink.com.tw
P016	群益證券股份有限公司-自營 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-自營 Taishin Securities Co., Ltd.	106台北市仁愛路4段118號11樓 11F, 118, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-23268866	02-66369366	http://etrade.kgi.com.tw/
P018	金鼎綜合證券股份有限公司-自營 Taiwan International Securities Corp.	106台北市敦化南路2段99號31樓 31, 99 Sec.2, Tunhwa 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-自營 KGI Securities Co., Ltd.	104台北市明水路700號9樓 9F, 700, Mingshui Rd., Taipei 104, Taiwan	02-21818888	02-85011852	http://etrade.kgi.com.tw/
P022	富邦綜合證券股份有限公司-自營 Fubon Securities Co., Ltd.	106台北市仁愛路4段169號16樓 16F, 169, Sec. 4, Ren-ai Rd., Taipei 106, Taiwan	02-27767819	02-27210783	http://www.fbs.com.tw
P023	大華證券股份有限公司-自營 Grand Cathay Securities Corp.	100台北市重慶南路1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-自營 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-自營 Daiwa Securities SMBC-Cathay Co., Ltd.	110台北市基隆路1段200號13樓 13F, 200, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-27239698	02-23453640	建置中
P026	華南永昌綜合證券股份有限公司-自營 HuaNan Securities Co., Ltd.	105台北市民生東路4段54號5樓 5F, 54, Sec.4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-25456888	02-25454122	http://www.entrust.com.tw
P027	台灣工銀證券股份有限公司-自營 IBT Securities Co., Ltd.	114台北市堤頂大道2段99號5樓 5F, 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-自營 Yuanta Securities Co., Ltd.	104台北市南京東路3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-自營 Jih Sun Securities Co., Ltd.	104台北市南京東路2段111號3樓 3F, 111, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25048888	02-25048400	http://www.jihsun.com.tw/
P031	康和綜合證券股份有限公司-自營 Concord Securities Corp.	110台北市基隆路1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-自營 KGI 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	02-25082351	http://www.kgifutures.com.tw/
P033	國泰綜合證券股份有限公司-自營 Cathay Securities Co., Ltd.	106台北市仁愛路4段296號17樓 17F, 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-23269888	02-27003350	http://www.cathaysec.com.tw
P034	香港商法源興業證券股份有限公司台北分公司-自營 SG Securities (HK) Ltd., Taipei Branch	105台北市民生東路3段109號6樓 6F, 109, Sec.3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27151486	02-25467376	http://www.socgen.com
P036	大眾綜合證券股份有限公司-自營 Ta Chong Securities Co., Ltd.	104台北市復興南路1段2號2樓 2F, 2, Sec.1, Fushing S Rd., Taipei 104, Taiwan	02-27790866	02-27790800	http://www.tesc.com.tw
P037	亞東證券股份有限公司-自營 Oriental Securities Corp.	100台北市重慶南路1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	漢帝華期貨股份有限公司-自營 Optiver Taiwan Co., Ltd.	100台北市杭州南路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-自營 First Securities Inc.	106台北市安和路1段27號6樓 6F, 27, Sec.1, Anho Rd., Taipei 106, Taiwan	02-25636262	02-25635713	http://www.flsi.com.tw
P041	台証期貨股份有限公司-自營 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	02-25082351	http://www.kgifutures.com.tw/
P042	中國信託商業銀行股份有限公司-自營 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-自營 Taipei Fubon Bank Co. Ltd.,	106台北市仁愛路4段169號16樓 16F, 169, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-66027309	02-66003808	http://www.taipeifubon.com.tw/
P044	合作金庫商業銀行股份有限公司-自營 Taiwan Cooperative Bank Co., Ltd.	106台北市忠孝東路4段325號5樓 5F, 325, Sec.4, Chung Hsiao E Rd., Taipei 106, Taiwan	02-27312798	02-27312366	http://www.tcb-bank.com.tw/
P045	國票綜合證券股份有限公司-自營 Waterland Securities Co., Ltd.	105台北市南京東路5段188號15樓 15F, 188, Sec.5, Nanking E. Rd., Taipei 105, Taiwan	02-25288988	02-27647834	http://web.wls.com.tw/

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
P046	宏遠證券股份有限公司-自營 Horizon Securities Co., Ltd.	106台北市信義路4段236號7樓 7F, 236, Sec.4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	http://www.honsec.com.tw/
P047	國票期貨股份有限公司-自營 Waterland Futures Co., Ltd	106台北市忠孝東路4段231號3樓 3F, 231, Sec. 4., Chung Hsiao E.Rd., Taipei 106, Taiwan	02-27786060	02-27785659	http://www.wlf.com.tw
P048	冬至期貨股份有限公司-自營 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
P049	大眾期貨股份有限公司-自營 Ta Chong Futures Co., Ltd	100台北市忠孝東路2段88號15樓 15F,88, Sec.2., Chung Hsiao E.Rd., Taipei 100, Taiwan	02-23973456	02-23973232	建置中
P050	康和期貨股份有限公司-自營 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/
A001	永豐期貨股份有限公司-顧問 SinoPac Futures Corp.	100台北市重慶南路1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-顧問 President Futures Corp.	105台北市東興路8號B1 B1, 8, Tong Shin 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-顧問 Polaris MF Global Futures Co., Ltd.	106台北市敦化南路2段67號10樓 10F, 67, Sec.2, Tunhwa S.Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://www.pmf.com.tw/
A004	日盛期貨股份有限公司-顧問 Jih Sun Futures Co., Ltd.	104台北市南京東路2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-顧問 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-顧問 Cathay Futures Corp.	106台北市仁愛路4段296號17樓 17F, 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
A008	康和期貨股份有限公司-顧問 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-顧問 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.fbf.com.tw/
A010	元大期貨股份有限公司-顧問 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號12樓 12F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27176000	02-25454913	http://www.yuantafutures.com.tw
A011	華南期貨股份有限公司-顧問 HuaNan Futures Co., Ltd.	105台北市民生東路4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
A013	元富期貨股份有限公司-顧問 Master Link Futures Corp.	106台北市復興南路1段209號4樓 4F, 209, Sec.1, Fushing S Rd., Taipei 106, Taiwan	02-27213458	02-87732029	http://www.masterlink.com.tw
A018	台証期貨股份有限公司-顧問 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	02-25075794	http://www.kgifutures.com.tw/
A019	國票期貨股份有限公司-顧問 Waterland Futures Co., Ltd	106台北市忠孝東路4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-顧問 Mega Futures Co., Ltd.	110台北市忠孝東路4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-顧問 KGI Futures Co., Ltd.	100台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
A022	大華期貨股份有限公司-顧問 Grand Cathay Futures Corp.	100台北市忠孝西路1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
A024	國際大通證券投資顧問股份有限公司 International Da-tong Securities Investment Consultant	104台北市中山北路1段145號10樓 10F, 145, Sec.1, Jhongshan N. Rd., Taipei 104, Taiwan	02-25678502	02-25679794	建置中
A025	永豐金證券股份有限公司-顧問 SinoPac Securities Corp.	100台北市重慶南路1段2號18樓 18F, 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23123866	02-23165233	http://www.sinopacsecurities.com
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, Jhulun, Taipei 104, Taiwan	02-55899966	02-55825187	建置中
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	啓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1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2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, Sec5, Hsin Yi.Rd., Taipei, Taiwan	02-81010618	02-81010616	http://www.hantec.com.tw/

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
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2段232號9樓 9F, 232, Sec.2, Bade Rd., Taipei, Taiwan,	02-27315444	02-27318155	建置中
A032	顯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2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台北市青島東路7號5樓之4 5F, 7, Qingdao E.Rd., Taipei 100, Taiwan	02-23923988	02-77253896	http://www.hwashin.com.tw/
A034	永通證券投資顧問股份有限公司 Cheng-Tung Securities Investment Consulting Co., Ltd	104台北市復興北路58號3樓 3F, 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台北市敦化南路2段97號19樓 19, 97, Sec. 2, Tunhwa S. Rd., Taipei 106, Taiwan	02-23253299	02-27026353	建置中
A036	永誠國際證券投資顧問股份有限公司-顧問 Yong Cheng Securities Investment Consultant	104台北市中山北路1段145號4樓 4F, 145, Sec.1, Jhongshan N. Rd., Taipei 104, Taiwan	02-25611115	02-25611084	http://www.88598.com.tw/
A037	金鼎期貨經理股份有限公司-顧問 Taiwan International Managed Futures Corp.	106台北市敦化南路2段97號B1 B1, 97, Sec.2, Tunhwa S. Rd., Taipei 106, Taiwan	02-27088355	02-27008992	http://www.tisc.com.tw/tifcmanage/
A038	新加坡萊佛士環球期貨股份有限公司台灣分公司-顧問 MF Global Singapore Pte. Taiwan Branch	105台北市敦化南路1段1號6樓 6F, 1, Sec.1, Tunhwa S. Rd., Taipei 105, Taiwan	02-25798118	02-25704868	http://www.mfglobal.com/Pages/default.aspx
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1段176號14樓 14F, 176, Sec. 1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	建置中
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2段97號B1 B1, 97, Sec. 2, Tunhwa S. Rd., Taipei 106, Taiwan	02-27088355	02-27008992	http://www.tisc.com.tw/tifcmanage/
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/
M015	大華期貨股份有限公司-經理 Grand Cathay Futures Corp.	100台北市忠孝西路1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-經理 Polaris MF Global Futures Co., Ltd.	106台北市敦化南路2段67號10樓 10F, 67, Sec.2, Tunhwa S. Rd., Taipei 106, Taiwan	02-27008989	02-27008363	http://www.pmf.com.tw/
M017	元大期貨股份有限公司-經理 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號12樓 12F, 225 Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27176000	02-25461625	http://www.yuantafutures.com.tw
M018	凱基期貨股份有限公司-經理 KGI Futures CO., Ltd	100台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
M019	台証期貨股份有限公司-經理 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	02-25082351	http://www.kgifutures.com.tw/
M020	永豐期貨股份有限公司-經理 SinoPac Futures Corp.	100台北市重慶南路1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
M021	元富證券投資顧問股份有限公司-經理 Master Link Securities Investment Advisory Co., Ltd	106台北市敦化南路2段97號19樓 19, 97, Sec. 2, Tunhwa S. Rd., Taipei 106, Taiwan	02-23253299	02-27026353	建置中
M022	富邦期貨股份有限公司-經理 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.fbf.com.tw/
M023	日盛期貨股份有限公司-經理 Jih Sun Futures Co., Ltd.	104台北市南京東路2段111號4樓 4F, 111, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw/
M024	華南期貨股份有限公司-經理 HuaNan Futures Co., Ltd.	105台北市民生東路4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
T001	寶來證券投資信託股份有限公司-信託 Polaris International Securities Investment Trust Co., Ltd	104台北市民生東路2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-信託 Fuh Hwa Securities Investment Trust Co., Ltd.	104台北市八德路2段308號8樓 8F, 308, Sec.2, Bade Rd., Taipei, Taiwan	02-81616800	02-87720066	https://www.fhtrust.com.tw/
T003	國泰證券投資信託股份有限公司-信託 Cathay Securities Investment Trust Co., Ltd.	106台北市仁愛路4段296號18樓 18F, 296, Sec.4, Jen-ai Rd., Taipei, Taiwan	02-27008399	02-23269633	http://www.cathaysite.com.tw/
T004	元大證券投資信託股份有限公司-信託 Yuanta Securities Investment Trust Co., Ltd.	104台北市南京東路3段225號6樓 6F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27175555	02-25472380	http://www.yuantafunds.com/
T005	保誠證券投資信託股份有限公司-信託 PCA Securities Investment Trust Co., Ltd.	106台北市敦化南路2段67號12樓 12F, 67, Sec.2, Tunhwa S.Rd., Taipei 106, Taiwan	02-27549821	02-27015424	http://www.pcafunds.com.tw/
T006	寶富期貨信託股份有限公司 MF Global Futures Trust Co., Ltd.	106台北市敦化南路2段65號12樓 12F, 65, Sec.2, Tunhwa S.Rd., Taipei 106, Taiwan	02-27080101	02-27845959	建置中
T007	富邦證券投資信託股份有限公司-信託 Fubon Asset Management Co., Ltd.	106台北市敦化南路1段108號8樓 8F, 108, Sec.1, Tunhwa S.Rd., Taipei 106, Taiwan	02-87716688	02-66000130	http://www.fubon.com/financial/home/index.htm
T008	新光證券投資信託股份有限公司-信託 Shin Kong Investment Trust Co., Ltd.	104台北市南京東路2段123號12樓 12F, 123, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25071123	02-25077600	http://www.skit.com.tw/
T009	摩根富林明證券投資信託股份有限公司-信託 JPMorgan Asset Management (Taiwan) Limited	106台北市敦化南路2段65號17樓 17F, 65, Sec. 2, Tunhwa S.Rd., Taipei 106, Taiwan	02-27558686	02-27050933	https://www.jpmmich.com.tw/wps/portal/

註：以上資料截止日為98.12.31