

99²⁰¹⁰ ANNUAL

年報

九十九年度年報

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壹、序言



感謝所有會員代表及本會理事們的支持，於99年6月的會員代表大會中推舉本人接任中華民國期貨業商業同業公會第三屆理事長之職。在兩岸積極交流、ECFA簽署的關鍵年接下此職，本人深感任重而道遠。

過去這一年為推動公會「全能服務」化，在秘書長的建議下重新調整會務編組與工作職掌；購置教育訓練專用處所，以提昇會務運作功能；經理事會通過調整委員會組織，除將市場推廣委員會的功能融入各業務

委員會、明確定位法制委員會功能並正名為稽核暨法遵委員會外，並將國際暨兩岸事務委員會分為國際事務及兩岸事務兩個委員會，期能更適切的發揮各委員會之功能。

在全體業者的殷切期盼與爭取下，期貨業終於在99年6月正式納入兩岸經濟合作架構協議（ECFA）服務貿易早期收穫計畫適用範圍內，該協議並於8月17日通過立法院審議，然而後續的兩岸協議談判，對期貨業尚無具體內容。為謀求業者最大利益，本會業已召集會議凝聚共識，針對協商過程中可能發生的情況進行模擬，並已提供給主管機關參考，期待在下回合協商時能有所進展。

另一方面，在ECFA簽訂的推波助瀾之下，兩岸交流益加頻繁。本會過去這一年在兩岸事務方面主要的工作為建立大陸期貨業界資訊庫、推廣台灣期貨業的經驗和我國業者在對岸的知名度。過程中，我們深刻感受到大陸期貨業者在經濟規模方面的優勢，其發展潛力確實令人羨豔。但台灣本地期貨市場仍是我們業者的根本，如果我們無法繼續擴大交易量、增強商品結構、強化研發整合能力並調整規範使監理與實務並濟，台灣的產業優勢將不復存在，屆時，我們又拿什麼與大陸談合作？

本會為打擊地下期貨，維護市場秩序，過去的這一年也採用了與以往不同的宣導方式，推出「合法期貨」標章，以一目瞭然的方式區分「合法」與「非法」期貨業者，並佐以大量文宣告訴民眾那裡可以查詢合法期貨業者的資料。另為取締非法，我們提供了相關事證，經調查局經濟犯罪防制中心認定確為非法經營政府管理的特殊行業，於是動員台北市調查處同步掃蕩北、中、南地區地下期貨與地下投顧業者，保障合法業者和民眾的權益。

台灣期貨交易所新任董事長范志強先生不僅在證券市場擁有多年豐富經驗，他的執行力更是金融業所共聞共見。范董事長上任後積極深入了解期貨市場並提出許多具有實質助益的理念與構想，並在調整制度、規則時處處為業者設想。我相信期交所一定會在^其帶領下，與公會及全體業者同舟共濟，讓期貨市場能更加蓬勃發展。

中華民國期貨業商業同業公會

理事長

糜以癱

貳、公會簡介

一、公會沿革

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

二、設立宗旨

- 本會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

三、本會任務

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

參、組織系統

一、組織系統圖



二、組織與執掌

(一)、會員大會：會員公司可依照經營業務之類別，分別指派會員代表，但每一會員公司最多可指派7位代表，會員代表共計354位。

■ 成員：由會員代表組成。至99年12月31日止，本會會員公司計有194家：

- 1.專營期貨商18家
- 2.兼營期貨商20家
- 3.期貨交易輔助人59家
- 4.國外複委託商3家
- 5.期貨自營業務37家
- 6.期貨經理業務12家
- 7.期貨顧問業務34家
- 8.期貨信託業務11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：設有期貨經紀業務、自營業務、顧問業務、經理業務、信託業務、財務、紀律、稽核暨法遵、國際事務、兩岸事務、教育訓練等11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。

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。

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。

稽核暨法遵委員會

- (1)有關期貨業內部控制制度之研討與建議事項。
- (2)有關期貨業內部稽核業務之研討與建議事項。
- (3)有關期貨業法令遵循事項。
- (4)協商並解決共通性之稽核業務或法令遵循事項。
- (5)有關編擬年度工作計畫綱要事項。
- (6)其他有關稽核業務或法令遵循事宜之處理事項。

國際事務委員會

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

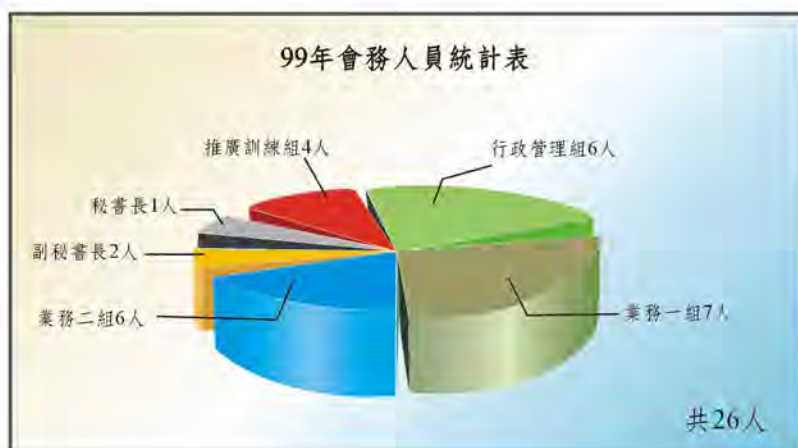
兩岸事務委員會

- (1)有關期貨兩岸業務之發展、聯繫、協調、改進事項。
- (2)有關編擬年度工作計劃事項。
- (3)其他有關期貨兩岸業務之處理事項。

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。

(五)會務人員：分為業務一、業務二、推廣訓練、行政管理等四組，由祕書長、副祕書長統籌領導。茲就各組職掌分述如下：



業務一組

辦理期貨商、期貨（證券）交易輔助人及海峽兩岸期貨業務

相關之下列工作：

- (1)經紀業務、自營業務、兩岸事務及紀律委員會開會事宜。
- (2)與主管機關、周邊單位及會員公司之聯繫事宜。
- (3)蒐集業界資料，掌握市場動態。
- (4)檢討期貨法令並提出改進建議。

- (5)提供會員公司期貨業務法規諮詢服務。
- (6)自律規定之研議。
- (7)新種業務之可行性研究與分析。
- (8)期貨相關專題之研究。
- (9)聯繫、跟催委外專案研究之進度。
- (10)蒐集及分析兩岸期貨業務之相關資訊。
- (11)兩岸期貨組織之聯繫及交流事宜。
- (12)會員公司宣傳資料與廣告物之審查。
- (13)會員公司業務及財務之查察與輔導。
- (14)會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
- (15)執行自律規定及主管機關交辦事項之稽查作業。
- (16)各會員公司營業據點場地、設備查驗。

業務二組

辦理期貨服務事業（不含期貨交易輔助人）、槓桿交易商及國際

期貨業務相關之下列工作：

- (1)顧問業務、經理業務、信託業務及國際事務委員會開會事宜。
- (2)與主管機關、周邊單位及會員公司之聯繫事宜。
- (3)蒐集業界資料，掌握市場動態。
- (4)檢討期貨法令並提出改進建議。
- (5)提供會員公司期貨業務法規諮詢服務。
- (6)自律規定之研議。
- (7)新種業務之可行性研究與分析。
- (8)期貨相關專題之研究。
- (9)聯繫、跟催委外專案研究之進度。
- (10)蒐集及分析國際期貨業務之相關資訊。
- (11)國際期貨組織之聯繫及交流事宜。
- (12)會員公司宣傳資料與廣告物之審查。
- (13)會員公司業務及財務之查察與輔導。
- (14)會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
- (15)執行自律規定及主管機關交辦事項之稽查作業。
- (16)各會員公司營業據點場地、設備查驗。

推廣訓練組

- (1)從業人員在職與相關訓練。
- (2)期貨業務講座、說明會等教育宣傳活動。
- (3)專題研究、公聽會及研討會之發表。
- (4)配合時事，研擬專案性之文宣活動。
- (5)刊物之編輯與發行事宜。
- (6)會員之會籍、負責人與業務人員登錄及管理。
- (7)業務員工作證核換發作業。
- (8)教育訓練委員會開會事宜。

行政管理組

- (1)採購驗收、財產保管。
- (2)資訊系統規劃建置及維護。
- (3)預算、決算、財務分析、經費收支、會計、出納、帳務、資金調度。
- (4)檔案管理、收發文。
- (5)各種活動支援。
- (6)人事、總務、行政、文書等作業。
- (7)會員公司及從業人員之聯誼或康樂活動。
- (8)會員大會、理監事會開會事宜。
- (9)財務、稽核暨法遵委員會開會事宜。
- (10)期貨交易糾紛調處事項。



理監事名錄

序號	公會職稱	姓名	會員名稱	職稱
1	理事長	糜以雍	凱基期貨股份有限公司	董事長
2	常務理事	丁子嘉	國票證券股份有限公司	董事長
3	常務理事	吳學敏	華南期貨股份有限公司	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	陳立	元富證券股份有限公司	執行副總
6	常務理事	張雅斐	富邦期貨股份有限公司	總經理
7	常務理事	賀鳴珩	寶來曼氏期貨股份有限公司	董事長
8	常務理事	黃奕銘	統一期貨股份有限公司	總經理
9	常務理事	葉黃杞	永豐期貨股份有限公司	董事長
10	常務理事	鄧序鵬	康和期貨股份有限公司	董事
11	常務理事	盧立正	元大期貨股份有限公司	副董事長
12	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
13	理事	王淑慧	大眾期貨股份有限公司	董事長
14	理事	江燕琇	日盛證券股份有限公司	副總經理
15	理事	呂常愷	澳帝華期貨股份有限公司	董事長
16	理事	宋肖瑾	元大期貨股份有限公司	資深副總
17	理事	侯青志	寶來曼氏期貨股份有限公司	國際部總經理
18	理事	高瑞堂	大昌期貨股份有限公司	董事
19	理事	高山燕	新際期貨股份有限公司	總經理
20	理事	高政煌	大眾綜合證券股份有限公司	副總經理
21	理事	陳忠憲	兆豐期貨股份有限公司	董事長
22	理事	陳品呈	大華期貨股份有限公司	董事長
23	理事	郭晃庭	富邦綜合證券股份有限公司	資深副總
24	理事	陳瑞珏	凱基期貨股份有限公司	總經理
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	黃俊仁	統一綜合證券股份有限公司	副總經理
28	理事	楊新德	永豐期貨股份有限公司	總經理
29	理事	賈中道	群益期貨股份有限公司	總經理
30	理事	詹正恩	光和證券股份有限公司	董事長
31	理事	楊金源	兆豐期貨股份有限公司	特別助理
32	理事	劉威廉	台灣工銀證券股份有限公司	新金部副總
33	理事	劉懋楠	金鼎證券股份有限公司	副總經理
1	監事會召集人	孫天山	群益期貨股份有限公司	董事長
2	常務監事	任俊行	大華期貨股份有限公司	總經理
3	常務監事	許瑞立	安泰證券股份有限公司	總經理
4	監事	王鎬娟	太平洋證券股份有限公司	協理
5	監事	李文柱	康和綜合證券股份有限公司	總經理
6	監事	李姿錡	國票期貨股份有限公司	總經理
7	監事	林家進	元富期貨股份有限公司	總經理
8	監事	許人祥	華南永昌綜合證券股份有限公司	副總經理
9	監事	葉一豐	新加坡商明富環球期貨經紀股份有限公司台灣分公司	總經理
10	監事	鄭質榮	新加坡商華大期貨經紀有限公司台灣分公司	總經理
11	監事	滕青華	兆豐期貨股份有限公司	總經理

註：以上資料以99.12.31日為準，依姓氏筆劃排序。

肆、會務報導

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 修定「期貨商受託國內當日沖銷交易自律規則」。
- 2 修定「國內當日沖銷交易風險預告同意書(範本)」
- 3 增定「交易人採行整戶風險保證金計收方式(SPAN)聲明書」簡要版中英文參考範本。
- 4 修定「委員會組織規則」。
- 5 修定「期貨交易糾紛調處辦法」。
- 6 修定「期貨交易糾紛調處作業細則」。
- 7 廢止「調處人遴選辦法」。
- 8 廢止「從事臺灣期貨交易所股份有限公司股票選擇權契約賣出買權交易以標的證券繳交交易保證金約定書(參考範本)」。
- 9 修定「營業處所場地勘察收費標準」。
- 10 修定「會員營業處所場地及設備標準」。
- 11 修定「期貨顧問事業管理規則第六條辦理申報事項作業規範一覽表」。
- 12 修定「顧問事業透過傳播媒體提供分析建議管理辦法」。
- 13 修定「期貨顧問事業內部控制制度標準規範」。
- 14 修定期貨經理事業內部控制制度標準規範及相關自律規範。
- 15 修定「期貨交易全權委任契約(共同委任)範本」。
- 16 修定「保管機構委任契約(共同委任)範本」。
- 17 修定「保管機構委任契約範本」。
- 18 修定「期貨信託事業暨期貨經理事業治理實務守則」。
- 19 修定「會員暨期貨信託基金銷售機構宣傳資料及廣告管理辦法」。
- 20 增定「期貨信託事業指示基金保管機構辦理期貨信託基金資產交割之作業準則」。
- 21 修定「期貨信託基金宣傳資料及廣告管理辦法」。
- 22 修定「期貨信託契約範本(組合型)(本範本適用於對不特定人募集)」。
- 23 修定「期貨信託契約範本(保本型)(本範本適用於對不特定人募集)」。
- 24 修定「期貨信託契約範本(一般型)(本範本適用於對不特定人募集)」。
- 25 修定「期貨信託契約範本(本範本適用於對符合一定資格條件之人募集)」。
- 26 修定「期貨信託基金月報檢查表」。
- 27 修定「期貨信託事業運用期貨信託基金風險評量作業要點」。
- 28 修定「期貨信託內部控制制度標準規範範本」。
- 29 訂定「經營期貨信託基金業務之業者對外發布訊息行為規範準則」。
- 30 訂定「期貨信託事業委任代理契約範本」。
- 31 修定「期貨信託事業全權委託其他專業機構運用期貨信託基金契約範本」。
- 32 修定「期貨信託事業暨期貨信託基金應公告(或申報)事項一覽表」。
- 33 修定「期貨信託事業申報期貨信託事業管理規則第九條第一項事項檢查表」。

研議事項

1. 建請主管機關新增公告歐洲期貨交易所(Eurex)之82項契約為期貨商得受託從事交易之外國期貨交易種類，以增加法人避險之標的及降低避險成本。
2. 建請主管機關指示證券周邊單位，將期貨經理事業經委任人書面同意或契約特別約定時，得從事證券信用交易乙案納入相關規範。
3. 建請主管機關同意期貨商免提撥期貨交易人保護費用。
4. 建請主管機關同意期貨自營商於交易外國期貨契約時，所持有之外幣總額，得於國內銀行進行匯率避險交易。
5. 建請主管機關放寬期貨經理事業接受期貨信託事業全權委託須有三年以上經營全權委託經驗之限制。
6. 建請主管機關放寬現行期貨信託基金全權委託金額之上限為淨資產價值之百分之五十，以利與國際慣例接軌，並擴大期貨信託事業之財富管理業務發展與經濟規模，提供投資人更完整之財富管理服務。
7. 建請主管機關放寬證券投資信託事業募集證券投資信託基金得投資於期貨信託事業對不特定人募集之期貨信託基金受益憑證。
8. 建請主管機關同意「證券投資顧問事業擔任期信基金之銷售機構時，受理與其簽訂證券投資顧問契約之客戶以金錢信託帳戶所為之基金申購、買回申請」，以利期貨信託基金之多元發展。
9. 建請主管機關同意開放證券商自有資金得投資國內期貨信託事業，以利未來期貨信託產業之蓬勃發展。
10. 建請期交所修訂期貨商於選擇權委託單上新增「自動處理」欄位以供客戶勾選。
11. 建請期交所同意已自行以電子方式寄送買賣報告書或對帳單之期貨商，對於已取得網路認證機構電子簽章且未授權他人委託交易者，得以電子方式取得客戶電子同意書、電子郵件信箱位址等文件(有異動時亦同)。
12. 建請證基會調整「期貨商業務員資格測驗」電腦應試作業，以增加考生應試之便利性。
13. 建請證基會調整「期貨商業務員英文資格測驗」之測驗次數及建置題庫。
14. 蒐集並參考國外相關制度及市場實務，研議期貨信託基金性質之指數股票型基金(ETF)於國內上市之可行性及相關配套措施。
15. 研析歐盟地區所擬「另類投資基金經理人指令」並評估有無參採納入國內期貨信託基金業務管理規範之事項。
16. 蒐集外國交易所掛牌之槓桿型及放空型ETF商品屬性、價格波動性、風險管理措施及操作績效等資料，並研議國內期貨信託事業發行以投資槓桿型及放空型ETF為主之組合型期貨信託基金之可行性。

二、業務發展事項

研討會

「股票期貨三合一操作策略」研討會 (01/13、01/20、01/27)

本次研討會分別於北、中、南辦理3場次，共計462人參加，研討會係連結股票期貨、現貨與選擇權，解析三合一交易策略，利用市場新利基，搶佔投資最先機。



「歐洲期貨交易所股票期貨成功經驗分享」 研討會(01/22)

本次研討會共計211人參加，活動目的為借鏡國際股票期貨大師級專家，對股票期貨（Single Stock Futures）交易策略實務上的成功經驗，與投資人分享操作心得。



「黃金期貨發展經驗」研討會(03/09)

本次研討會共吸引123人參加，活動目的為借鏡國際黃金期貨發展經驗，以了解黃金市場脈動，本會特邀NYSE紐約泛歐證券期貨交易所副總裁Jennifer Ropiak來台與業者分享，讓業者注意到新的投資機會，並利用產品間的套利交易或策略交易，以促進交易的成長及產品的接受度。



「人口販運及洗錢防制」研討會 (10/20、10/21、10/26)

本次研討會分別於北、中、南辦理3場次，共計260人參加，活動主要為宣導從業人員對於洗錢防制觀念的建立與釐清並加強對於人口販運的概念。



講座

「2010年期貨業校園徵才」巡迴講座 (3、4、5月)

本講座遍布全省，北、中、南及外島地區，共計43所大專院校參與，計2613位同學參與，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，提供最好的業種介紹及最佳的解惑管道，也為職場生涯構築藍圖，邁向成功。



說明會

「期貨商國際會計準則IFRS宣導」說明會 (06/25、07/30、08/20、09/24)

本系列說明會共吸引430人次參加，說明會內容係針對各期貨商會計制度轉換之擬定、計劃、追蹤及執行等作業說明。



「個人資料保護法」說明會 (12/07、12/09、12/14)

本次說明會分別於北、中、南辦理3場次，共吸引287人參加，係為協助從業人員，能了解修定後的個人資料保護法之條文差異，及早規劃並調整作業。



期貨論壇

「台灣期貨市場保證金預繳制度的檢討」 期貨論壇(01/19)

提升期貨市場資金使用的效率前提下，我國異於國際期貨市場的預繳保證金制度，是否有繼續存在的必要性，本會特委外研議有關國內期貨市場取消保證金預繳制度的可行性，以提供期貨主管機關、期貨交易所、期貨商與投資人，在公平、公正且有效率的交易平台上交易，本次論壇共計53位從業人員參加。



「專營期貨商之成本結構分析」期貨論壇 (02/09)

為了避免價格競爭斲傷期貨市場的發展，讓期貨商深入瞭解業界的營運成本結構，並從公平交易法的觀點，研擬可行的定價規範，一方面避免因價格造成的「掠奪式行銷」；另一方面也避免遭受聯合定價行為之非議，本次論壇共計35位從業人員參加。



「2010年台北國際期貨論壇-高頻交易國際經驗之交流」(11/16)

隨著科技的進步，電腦在軟體及硬體方面的發展，可謂一日千里，因此在國外，利用電子交易設備結合期貨選擇權進行各種策略交易，早已行之有年，其交易速度之快，交易量之大，絕非傳統人工下單可及，台灣期貨業的未來勢必會面臨高頻交易的問題，有鑑於此，本會特地邀請歐洲期貨交易所、倫敦國際金融期貨交易所及資深高頻交易者來台，與台灣期貨業分享高頻交易的經驗，並交由交易所及業者的角度來看高頻交易對市場影響，本次論壇共計320位從業人員參加。



國際交流

荷蘭NYSE Liffe期貨商品及制度考察團 (11/19~11/27)

為考察短天期選擇權(daily/weekly options)商品了解它的運作流程與市場發展，本會特安排理監事參訪位於荷蘭阿姆斯特丹之倫敦國際金融期貨交易所(NYSE Liffe)，以俾主管機關、台灣期貨交易所作為未來增加新商品及開放新種業務之參考。



兩岸往來

理監事會大陸期貨業深圳年會考察團 (12/01~12/03)

本會為加強與大陸期貨業進行交流，由理事長率領24位理監事參與大陸期貨業深圳年會。此次年會主辦單位特別邀請本會理事長蔭以雍與秘書長盧廷劭暢談台灣期貨市場面臨經濟轉型時的經驗分享。



鄭州交易所來台參訪(05/07-05/12)

鄭州交易所梅宏斌副總經理率領該所各部高級總監一行六人，拜會本會瞭解會務運作情形。



大陸徽商集團來訪(05/18-05/27)

在財團法人兩岸交流發展基金會安排下，徽商集團一行7人來會參訪，對台灣期貨業經營模式提出多項問題。



浙江高管團來訪(07/18-07/25)

大陸浙江省大越、信達、永安、國泰君安、新湖、國海良時及新世紀期貨一行14位高管人員來台，由本會安排參訪多家期貨商，汲取台灣經驗。



中國期貨業協會來台參訪(12/14-12/21)

中國期貨業協會副會長兼秘書長李強率領該會培訓部、會員部、資格考試與認證部主管等一行6人來會進行業務交流。



人員培訓活動及輔導就業

1.期貨業務人才養成班

本會99年度分別於台北及高雄舉辦三場聯合徵才活動，第16期台北班經電腦媒合結果計16位學員分別為8家公司所錄取、第17期高雄班計6位學員分別予5家公司所錄取，以及第18期台北班計23位學員分別為10家公司所錄取。

2.期貨從業人員法律實用講座 (04/10-05/23)

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，避免誤觸法網，本會特舉辦「期貨從業人員法律實用講座」，培訓27位業界同仁。

聯誼活動

1.理監事聯誼活動

理監事聯誼-雲南昆麗之旅，共2梯次 (05/11-05/15、05/18-05/23)



2. 委員會聯誼活動

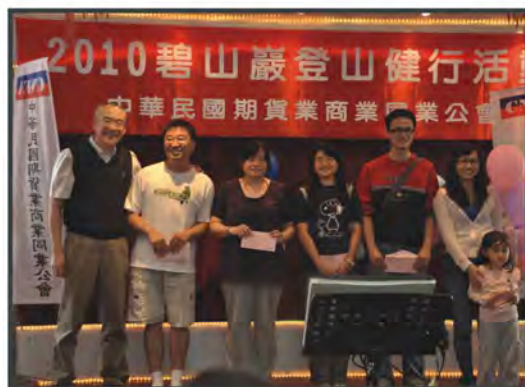
委員會聯誼-南庄vs北埔2日遊，共2梯次（10/02-10/03、12/11-12/12）



3. 會員聯誼活動

會員從業人員碧山巖登山活動(10/16)

共計526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。



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99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30家，專案查核期貨顧問事業26件。其中違反本會「會員自律公約」，發函會員公司要求改善者30件；警告者23件；科違約金者4件。

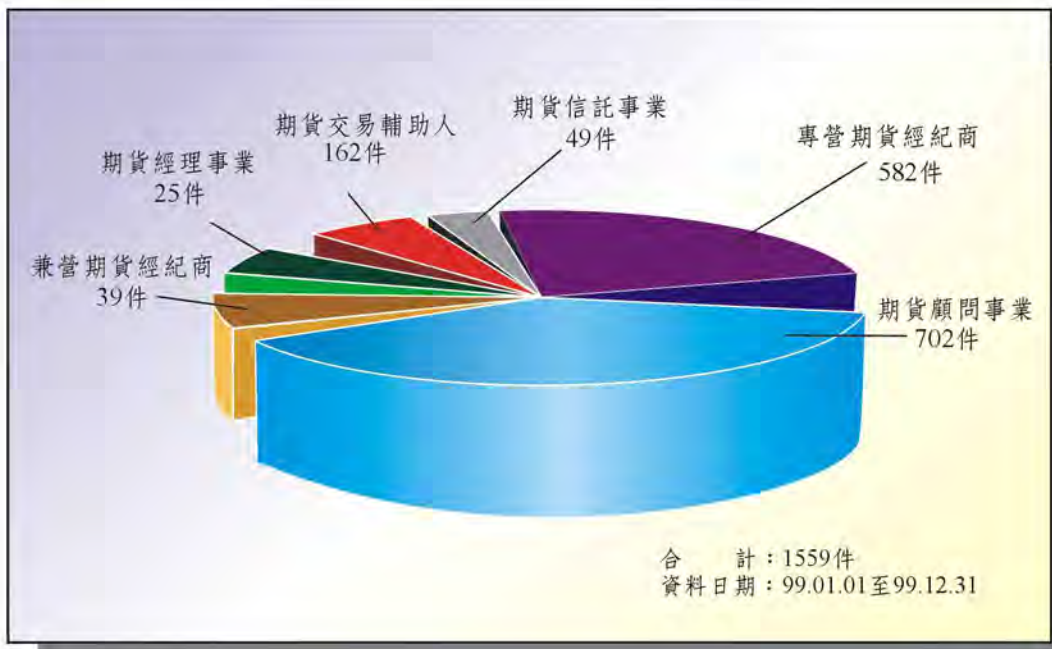
2.其他違規事項

會員公司99年度違反本會「會員自律公約」，提紀律委員會討論者55件，其中處違約金者4件，警告處分者23件，要求公司改善者30件。

四、關於會員業務之廣告及宣傳審查事項

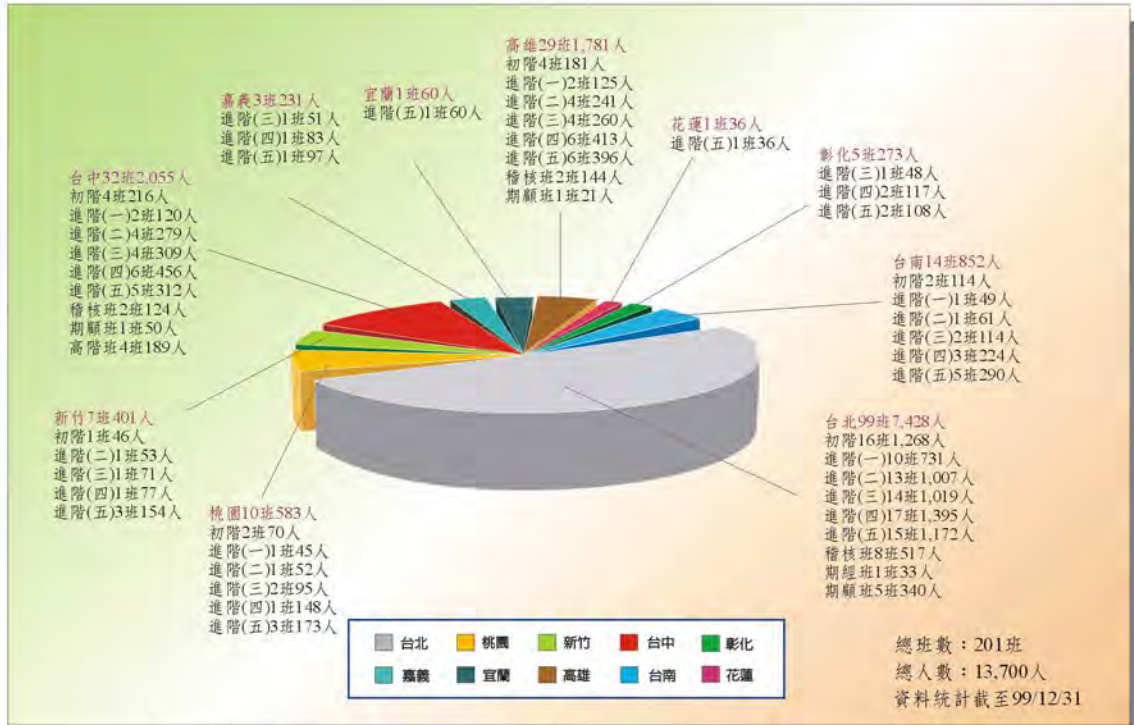
本會99年度共計審核1559件會員公司宣傳資料及廣告案件，就案件分析，專營期貨經紀商申報582件、兼營期貨經紀商申報39件、期貨顧問事業申報702件、期貨經理事業申報25件、期貨信託事業報49件、期貨交易輔助人申報162件。

99年1月~12月宣傳資料及廣告申報件數統計



五、在職訓練

99年度舉辦之地區別、班別及人數詳如下表：

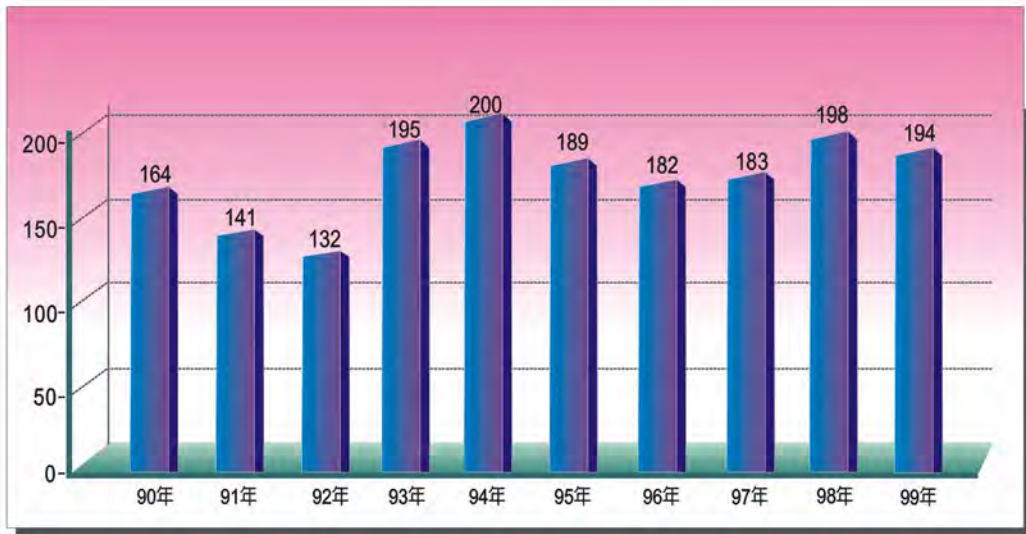


六、關於會員、會員代表、會員負責人及業務員基本資料之建立、登記事項

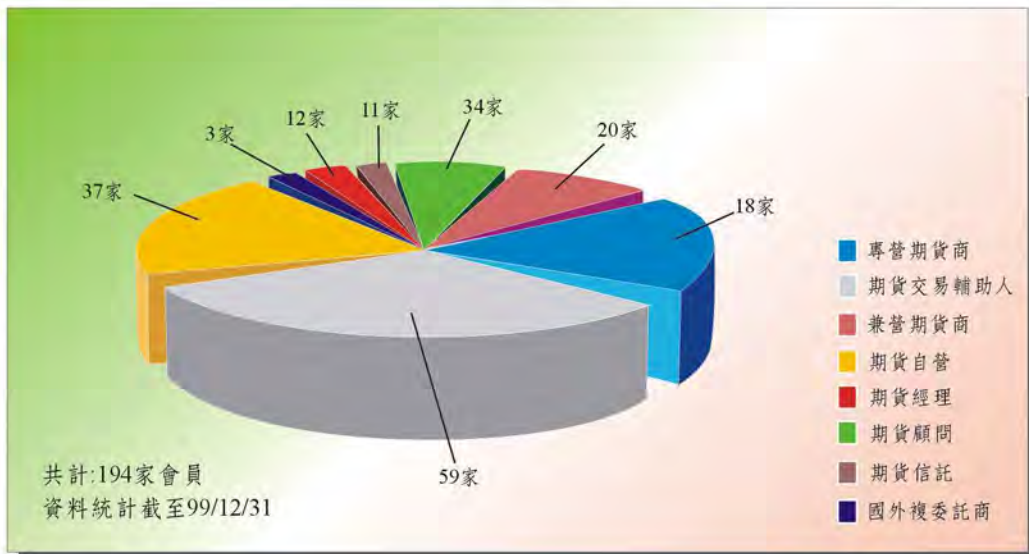
1. 會員及業務員基本資料之建立及登記事項

- 會員家數：共計194家，其中經營期貨經紀業務為41家（21%）；期貨交易輔助人59家（30%）；期貨自營業務37家（19.5%）；期貨經理業務12家（6%）；期貨顧問業務34家（18%）；期貨信託業務11家（6%）。

近10年會員家數統計圖

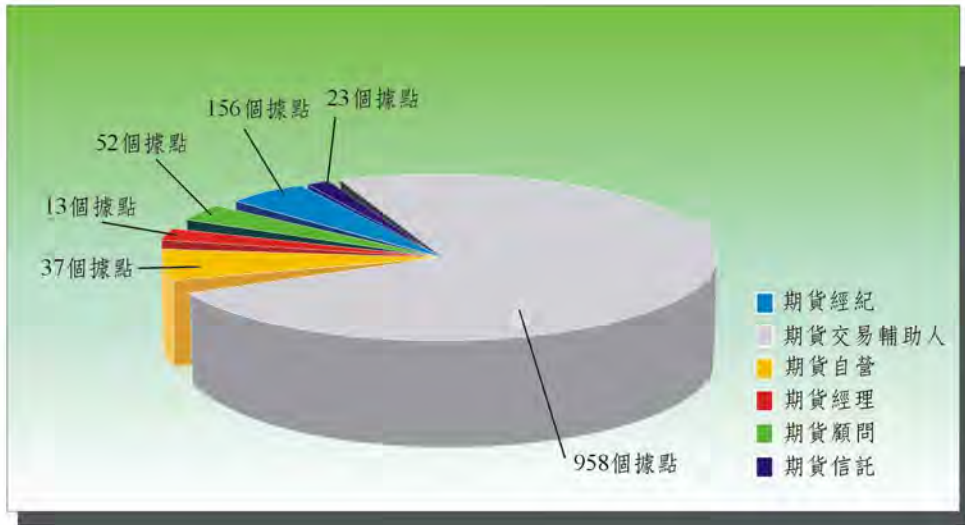


99年度會員類別統計圖

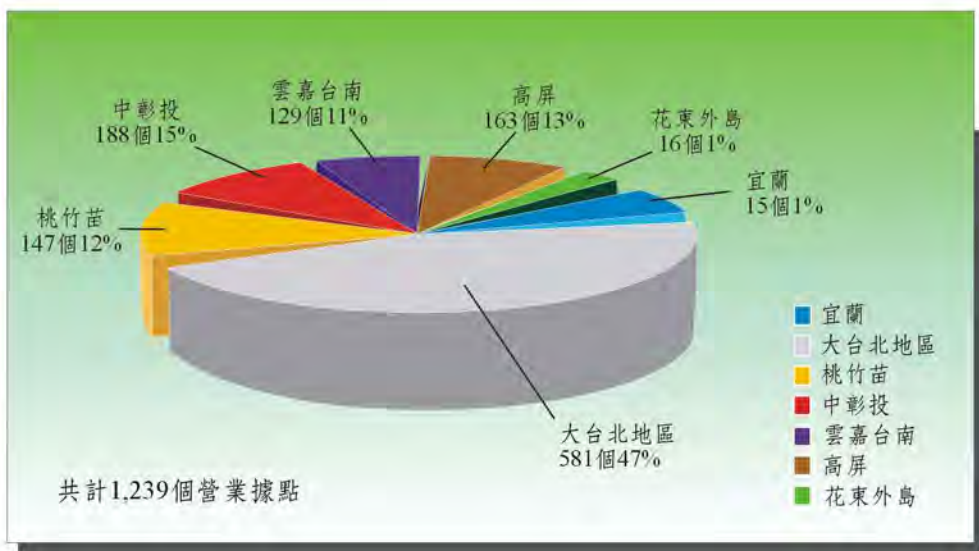


- 會員總分公司分支機構數：共計1,239家，其中經營期貨經紀業務為156個營業據點(13%)；期貨交易輔助人958個營業據點(77%)；期貨自營業務37個營業據點(3%)；期貨經理業務13個營業據點(1%)；期貨顧問業務52個營業據點(4%)；期貨信託業務23個營業據點(2%)。

會員營業據點統計圖



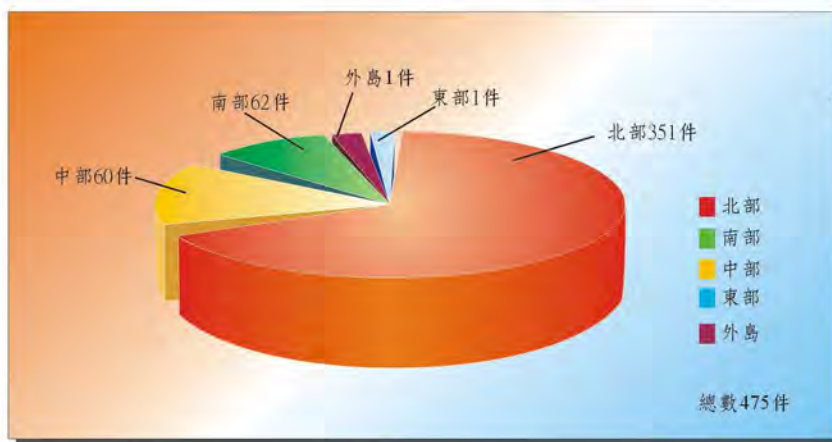
會員營業據點區域分佈統計圖



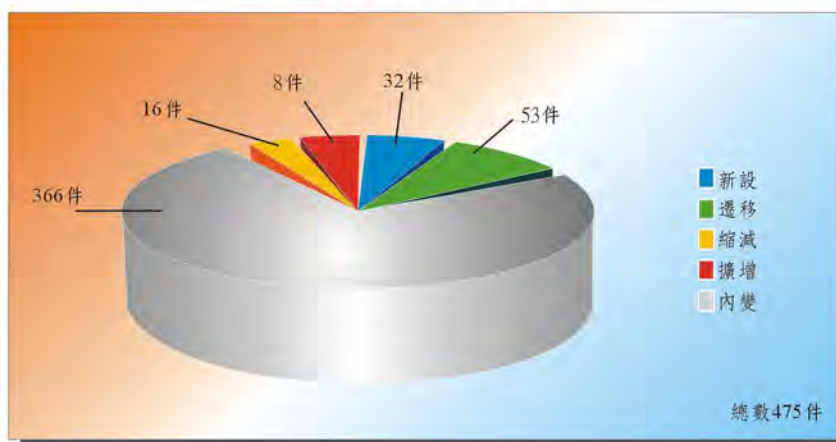
● 會員場地勘察

99年度共計475件場勘案(北部地區351件、中部地區60件、南部地區62件、東部地區1件、外島1件)，就其場勘案件分析，新設營業處所32件(7%)、遷移營業處所53件(11%)、縮減營業處所8件(2%)、擴增營業處所16件(3%)、營業處所內部配置變動366件(77%)。

99年場地勘察統計圖



99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

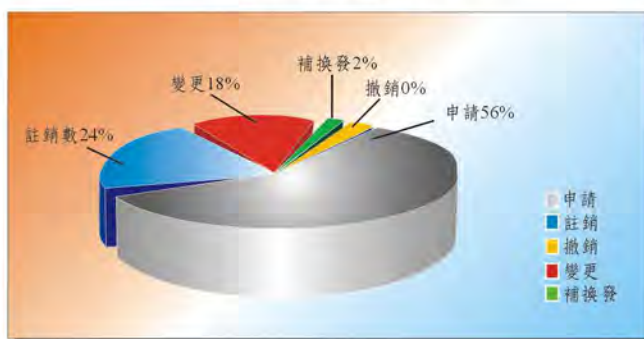
- 會員代表、會員負責人99年度於本會異動登錄共計2,134人次，細分如下：

身分類異動統計

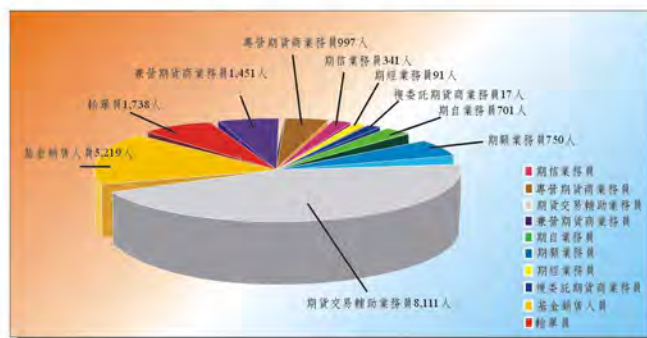


- 業務員、輸單員99年度於本會異動登錄共計19,416件，每月平均1,618件。

業務異動類別統計圖



業務種類異動統計



七、本會出版品

1. 會訊



2. 期貨人季刊



3. 台灣期貨與衍生性商品學刊

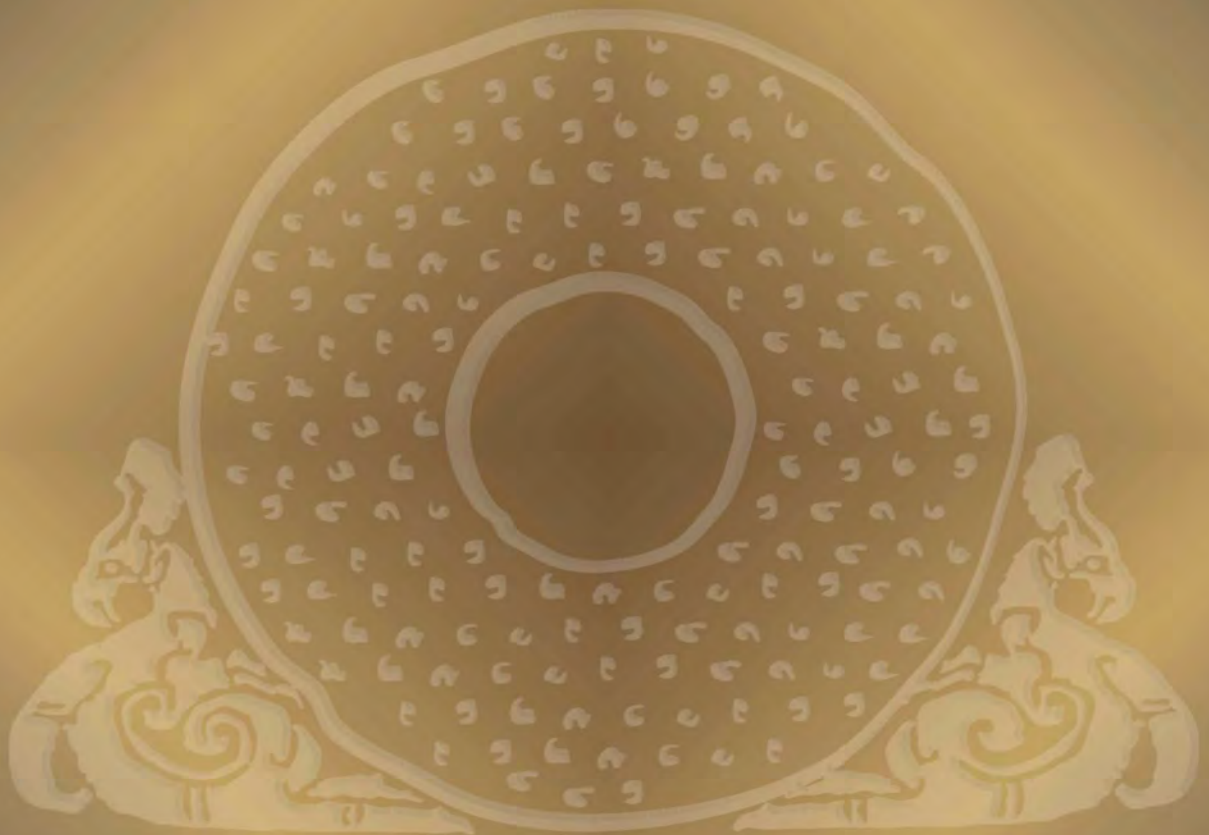


4政令宣導

本會為配合主管機關打擊地下期貨，製作捷運燈箱及公車車體廣告、印刷精美文宣海報寄發給所有會員及鄉鎮公所廣為發送張貼，以達宣導效果。



伍、財務報告



伍、財務報告

PRICEWATERHOUSECOOPERS 

資誠聯合會計師事務所
PricewaterhouseCoopers, Taiwan
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www.pwc.com/tw

會計師查核報告

(100)財審報字第 10002400 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 99 年及 98 年 12 月 31 日之資產負債表及財產目錄，暨民國 99 年及 98 年 1 月 1 日至 12 月 31 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 99 年及 98 年 12 月 31 日之資產負債狀況，暨民國 99 年及 98 年 1 月 1 日至 12 月 31 日之收支情形。

資 誠 聯 合 會 計 師 事 務 所

會計師



中 華 民 國 1 0 0 年 2 月 8 日

中華民國期貨商業同業公會
資產負債表

民國99年12月31日
及民國98年12月31日

資產	99年12月31日		98年12月31日		負債、基金及餘絀	99年12月31日		98年12月31日	
	金額	%	金額	%		金額	%	金額	%
流動資產					流動負債				
現金及銀行存款(附註三(一))	\$ 24,710,150	5	\$ 27,092,394	6	應付款項(附註三(七))	\$ 12,989,256	3	\$ 9,421,808	2
有價證券(附註三(二))	52,014,579	11	36,654,579	8	預收款	487,393	-	548,647	-
應收帳款(附註三(三))	7,375,840	2	3,151,757	1	流動負債合計	13,476,649	3	9,970,555	2
預付款項	215,645	-	862,393	-	存入保證金	988,943	-	988,943	-
流動資產合計	84,315,215	18	87,701,103	15	存入保證金-自持基金	69,300,000	15	71,820,000	16
基金					其他負債合計	70,288,943	15	72,808,943	16
會務發展準備基金-專戶存款(附註三(四))	72,028,650	15	65,435,837	14	負債總額	83,765,592	18	82,779,498	18
退換準備基金-專戶存款(附註三(五))	10,144,928	2	18,262,002	4	基金及餘絀				
基金合計	82,173,578	17	83,697,839	18	基金				
固定資產(附註三(六))					土地	133,989,345	29	133,989,345	29
房屋及建構					房屋及建構	91,281,927	19	91,182,318	20
車務設備					車務設備	10,949,150	2	9,479,765	2
運輸設備					運輸設備	652,381	-	652,381	-
辦公設備					辦公設備	450,619	-	453,847	-
其他資產					辦公設備	1,339,590	-	1,392,190	-
固定資產合計	238,663,012	50	237,149,846	51	固定資產合計	238,663,012	50	237,149,846	51
存出保證金	58,300	-	55,300	-	存出保證金	49,806,899	10	163,234,792	35
自持基金-專戶存款	69,300,000	15	71,820,000	16	自持基金-專戶存款	14,169,789	3	(114,427,893)	(25)
其他資產合計	89,358,300	15	71,875,300	16	其他資產合計	62,976,688	13	48,805,899	10
資產總計	\$ 474,511,105	100	\$ 460,424,088	100	基金及餘絀合計	390,745,513	82	377,644,590	82
					負債、基金及餘絀總計	\$ 474,511,105	100	\$ 460,424,088	100

後附會計報告附註為本報告之一部分，請併同參閱



秘書長：



理專長：



會計主管：



製表：

中華民國期貨業商業同業公會

收支決算表

民國99年1月1日至12月31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	\$ 370,800	\$ 12,000	\$ 358,800	\$ -	
常年會費收入	1,912,800	1,806,000	106,800	-	
業務費收入(附註三(十))	70,433,830	82,443,000	-	(12,009,170)	註1
利息收入	988,575	1,639,000	-	(640,425)	
專案計劃收入	-	477,000	-	(477,000)	
委託收入	16,429,953	16,190,000	239,953	-	
租金收入	3,767,400	3,130,000	637,400	-	
其他收入	2,389,981	4,303,000	-	(1,913,019)	註2
收入合計	96,303,339	110,000,000	1,342,953	(15,039,614)	
經費支出					
人事費	29,974,133	32,630,000	-	(2,655,867)	註3
辦公費	6,539,043	6,890,000	-	(350,957)	
業務費	33,232,945	53,390,000	-	(20,157,055)	註4
購置費	2,852,950	3,900,000	-	(1,047,050)	註5
團體會費	1,070,000	1,070,000	-	-	
什項支出	516,117	900,000	-	(383,883)	
專案計劃支出	-	610,000	-	(610,000)	
預備金	-	2,600,000	-	(2,600,000)	註6
基金提存(附註三(十一))	7,948,362	8,010,000	-	(61,638)	
支出合計	82,133,550	110,000,000	-	(27,866,450)	
本期餘絀(稅前)	14,169,789	-	14,169,789	-	
所得稅費用(附註三(八))	-	-	-	-	
本期餘絀(稅後)	\$ 14,169,789	\$ -	\$ 14,169,789	\$ -	

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，主係今年期貨業景氣不如預期所致。

註2：其他收入減少，主係工作證業務及場勤業務等減少所致。

註3：人事費減少，主係本期資深員工退休及未晉用新人所致。

註4：業務費減少，主係證券暨期貨市場發展基金會減免公會教育宣導分攤款所致。

註5：購置費減少，主係部分原編列購置預算並未執行所致。

註6：預備金減少，主係本期無特殊狀況動支。

理事長：



秘書長：



會計主管：



製表：



陸、大事紀要

日期	活動名稱
01/06	寶富多元策略期貨信託基金風控審查會議
01/12	第2屆財務委員會第22次會議
01/12	第2屆經紀業務委員會第32次會議
01/13	股票期貨三合一操作策略研討會-台北場
01/13-01/22	第16期「期貨業務人才養成班」徵選活動
01/19	期貨論壇(三)-台灣期貨市場保證金預繳制度的檢討
01/20	股票期貨三合一操作策略研討會-台中場
02/20-02/29	第17期「期貨業務人才養成班」徵選活動
01/22	歐洲期貨交易所股票期貨成功經驗分享研討會
01/22	期貨公會歲末聯歡晚會
01/27	股票期貨三合一操作策略研討會-高雄場
01/28	第2屆市場推廣委員會第14次會議
01/29	第2屆信託業務委員會第9次會議
01/29	「2009大專院校期權PK賽」頒獎典禮
02/04	第2屆財務委員會第23次會議
02/09	舉辦期貨論壇「專營期貨商之成本結構分析」
02/23	第2屆常務理監事第15次聯席會議
02/26	第2屆理監事第16次聯席會議
03/09	黃金期貨發展經驗研討會
03/11	第2屆經紀業務委員會第33次會議
03/15	「期貨校園徵才」講座屏東科技大學
03/16	「期貨校園徵才」講座北台灣科學技術學院
03/17	「期貨校園徵才」講座德霖技術學院
03/17	寶來黃金期貨信託基金風控審查會議

日期	活動名稱
03/19	「期貨校園徵才」講座金門技術學院
03/22	「期貨校園徵才」講座台南科技大學
03/23	「期貨校園徵才」講座黎明技術學院
03/24	「期貨校園徵才」講座虎尾科技大學
03/24	「期貨校園徵才」講座德明科技大學
03/24	「期貨校園徵才」講座聯合大學
03/25	第2屆教育訓練委員會第8次會議
03/30	「期貨校園徵才」講座台中教育大學
03/31	「期貨校園徵才」講座台中技術學院
04/01	「期貨校園徵才」講座醒吾技術學院
04/02	「期貨校園徵才」講座致理技術學院
04/07	「期貨校園徵才」講座樹德科技大學
04/07	「期貨校園徵才」講座義守大學
04/07	「期貨校園徵才」講座成功大學
04/08	「期貨校園徵才」講座康寧醫護暨管理專科學校
04/08	第2屆經紀業務委員會第34次會議
04/08	第2屆信託業務委員會第10次會議
04/12	「期貨校園徵才」講座銘傳大學
04/12	「期貨校園徵才」講座佛光大學
04/13	第2屆財務委員會第24次會議
04/14	「期貨校園徵才」講座新生醫護管理專科學校
04/15	「期貨校園徵才」講座南華大學
04/16	「期貨校園徵才」講座輔仁大學
04/20	第2屆常務理監事第16次聯席會議

日期	活動名稱
04/26	「期貨校園徵才」講座高雄應用科技大學
04/28	「期貨校園徵才」講座修平技術學院
04/28	「期貨校園徵才」講座大葉大學
04/28	「期貨校園徵才」講座真理大學
04/28	「期貨校園徵才」講座台南大學
04/28	「期貨校園徵才」講座東方技術大學
04/29	第2屆理監事第17次聯席會議
04/30	「期貨校園徵才」講座中正大學
05/01	證券期貨杯高爾夫球錦標賽
05/03	「期貨校園徵才」講座南開科技大學
05/04	「期貨校園徵才」講座逢甲大學
05/05	「期貨校園徵才」講座大同技術學院
05/05	「期貨校園徵才」講座興國管理學院
05/06	「期貨校園徵才」講座玄奘大學
05/06	第2屆紀律委員會第20次會議
05/07	「期貨校園徵才」講座暨南國際大學
05/07-05/12	鄭州交易所來訪
05/12	「期貨校園徵才」講座致遠管理學院
05/12	「期貨校園徵才」講座南台科技大學
05/13	「期貨校園徵才」講座高雄第一科技大學
05/13	第2屆經紀業務委員會第35次會議
05/14	第2屆信託業務委員會第11次會議
05/14	第2屆自營業務委員會第8次會議
05/19	「期貨校園徵才」講座萬能科技大學

日期	活動名稱
05/19	「期貨校園徵才」講座東吳大學
05/20	「期貨校園徵才」講座崇右技術學院
05/25	大陸徽商集團來訪
05/26	「期貨校園徵才」講座中華大學
05/27	第2屆經理業務委員會第13次會議
05/27	第2屆經紀業務委員會第36次會議
05/28	「期貨校園徵才」講座明道大學
06/01	第2屆常務理監事第17次聯席會議
06/03	第2屆理監事第18次聯席會議
06/18	第3屆第1次會員（代表）大會
06/18	第3屆理事會第1次會議
06/18	第3屆監事會第1次會議
06/25	期貨商國際會計準則IFRS宣導說明會第1場（與期交所合辦）
07/16	第3屆常務理監事第1次聯席會議
07/18-08/28	浙江高管團來訪
07/20	第3屆理監事第1次聯席會議
07/21-07/29	第18期「期貨業務人才養成班」徵選活動
07/26-08/02	大陸浙江永安期貨來訪
07/30	期貨商國際會計準則IFRS宣導說明會第2場（與期交所合辦）
08/11	第3屆兩岸事務委員會第1次會議
08/16	第3屆紀律委員會第1次會議
08/20	期貨商國際會計準則IFRS宣導說明會第3場（與期交所合辦）
08/25	第3屆經紀業務委員會第1次會議
08/31	第3屆信託業務委員會第1次會議

日期	活動名稱
09/09	第3屆自營業務委員會第1次會議
09/21	第3屆國際事務委員會第1次會議
09/24	期貨商國際會計準則 <i>IFRS</i> 宣導說明會第4場（與期交所合辦）
09/29	第3屆經紀業務委員會第2次會議
10/02-10/03	委員會南庄、北埔第一梯次聯誼會
10/05	第3屆常務理監事第2次聯席會議
10/14	第3屆理監事第2次聯席會議
10/16	碧山巖登山健行活動
10/19	第3屆兩岸事務委員會第2次會議
10/20	人口販運及洗錢防制研討會-高雄場
10/20	第3屆紀律委員會第2次會議
10/21	人口販運及洗錢防制研討會-台中場
10/26	人口販運及洗錢防制研討會-台北場
10/27	第3屆經紀業務委員會第3次會議
10/28	第3屆顧問業務委員會第1次會議
11/04	第3屆稽核暨法遵委員會第1次會議
11/04	第3屆信託業務委員會第2次會議
11/11	第3屆自營業務委員會第2次會議
11/16	2010年台北國際期貨論壇-高頻交易國際經驗之交流
11/17	第3屆經紀業務委員會第4次會議
11/19-11/27	荷蘭Liffe期貨商品及制度考察團出發
11/24	槓桿型及放空型研議工作小組會議
11/25	第3屆經紀業務委員會第3次會議
12/01-12/03	深圳期貨年會

日期	活動名稱
12/06	第3屆經紀業務委員會第5次會議
12/06-12/31	合法期貨宣導廣告
12/07	第3屆常務理監事第3次聯席會議
12/07	個人資料保護法宣導說明會-高雄場
12/09	個人資料保護法宣導說明會-台北場
12/11-12/12	委員會南庄、北埔第二梯次聯誼會
12/14	個人資料保護法宣導說明會-台中場
12/14-12/21	中期協來訪
12/15	中期協參訪本會
12/17	第3屆理監事第3次聯席會議
12/18-12/26	理監事荷蘭NYSE LIFFE第一梯次參訪活動

I. Preface

Message of CNFA Chairman



It's my honor to be elected as chairman of the Chinese National Futures Association (CNFA) for its third installment, a position of much significance especially at a time for closer cross-straits interaction under the Economic Cooperation Framework Agreement (ECFA). I am very grateful for the support of all member representatives and board members.

In 2010, the CNFA adopted secretary general's suggestion for re-organization and expanded its operations under the goal for acting as a “full-service” association. Meanwhile, it acquired a real estate property as the education and training location to enhance the efficiency of Association's operations. Based on the decision made by the board of directors, the Market Development Committee was dissolved and its business has been merged into other committees while the Legal Affairs Committee was renamed as the Auditing and Law Compliance Committee and repositioned with clearly-defined responsibilities. Meanwhile, the International & Cross-straits Affairs Committee was split into the International Affairs Committee and Cross-straits Affairs Committee. The re-organization will contribute to streamlined and higher-efficient operations of the Association.

It's the common expectation of all members that the futures industry, thanks to the Association's efforts and members' support, was finally added in June 2010 to the list of the first batch of service sectors to be benefited under the ECFA which has passed the review of the Legislative Yuan on Aug. 17, followed by a series of negotiations. In order to pursue maximized profits of Taiwan's futures industry under the ECFA, the Association has convened several meetings to consolidate consensus among member companies and will propose suggestions as reference to the government for its negotiation with mainland counterpart under the ECFA talks agenda.

Actually, the ECFA has resulted in closer cross-straits interactions of the futures industry. As the major tasks for its Cross-straits Affair Committee in 2010, the CNFA built a database of China's futures industry and promoted Taiwan's experience in futures market development to raise Taiwan's market reputation in the Greater China area. During the course, we were deeply aware of the advantage of China's futures market in scale and growth potential. However, Taiwan is our home market where if we could not continuously expand the market scale, strengthen the legal system, and develop new products, what advantages can we offer for closer cross-straits cooperation?

In its support to help the government crack down underground futures as a means to maintain good market order, the CNFA followed a new approach in this regard during 2010 when it arranged a series of public education activities and launched the "Legal Futures" logo for the public to easily distinguish "legal" from "illegal" futures companies. In addition, it made intensive advocate to tell the public where to find the legal futures companies. Meanwhile, it collected information about the illegal futures players and provided it to the government for its reference. In 2010, the Taipei City's Investigation Bureau took actions to crack down the underground futures players, which have been identified as illegal players by the Economic Crime Prevention Center under the Ministry of Justice (MOJ), around the island. It's a critical move to protect the interest and rights of the legitimate futures advisory enterprises as well as the public.

Tony Fan, new chairman of the Taiwan Futures Exchange(TAIFEX), is a veteran securities worker well known for his professional experience and execution capability. After he assumed the TAIFEX's chairmanship, Fan has shortly gained a deep understanding of the futures market and has raised several ideals regarding how to improve the market from the aspects of market system and legal framework, all well matching the expectation of the futures companies. The CNFA will provide full support to the TAIFEX and work with it closely to pursue prosperous development of the futures market in Taiwan.

CNFA Chairman

Falco Mi

II. CNFA Introduction

A. CNFA History

- The Chinese National Futures Association (hereinafter referred to the Association or CNFA) was transformed from its predecessor, the Taipei Futures Association dating back to April 17, 1995, as a national organization on June 21, 2004 and obtained the certificate issued by the Ministry of the Interior 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 self-disciplined organization, the Association handled membership registration, business location inspection, training of futures workers, and self-discipline practice 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, namely membership registration, business location 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, making coordination among members, and promoting common interest of the society.

C. Objectives

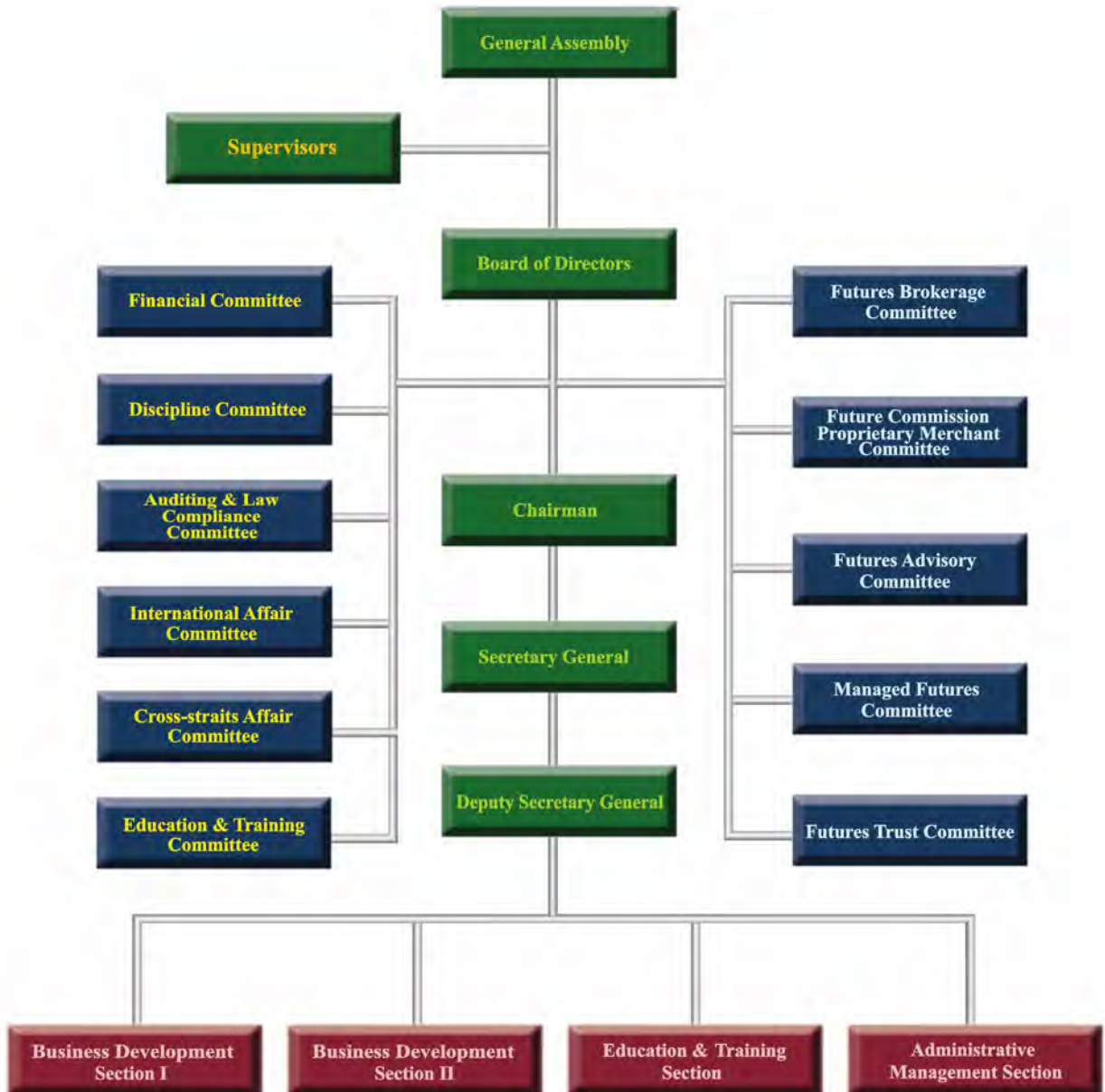
- To promote futures market development in cope with national economic development
- To make survey, compile statistics, and conduct R&D projects about the operations of member companies
- To make research and suggestions about government's policies and propose revisions to futures-related regulations
- 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 advertisements, exhibitions, and other promotional activities of member companies
- To handle registrations, conduct surveys, 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: member companies, based on their business categories, assign up to seven representatives each to take part in the General Assembly. In 2010, a total of 354 member representatives were registered with the Association.

■ **Member companies:** the Association was composed of 194 member companies at the end of 2010

1. Specialized futures brokerage companies: 18
2. Concurrent futures brokerage companies: 20
3. Futures introducing brokers (IB): 59
4. Foreign re-engaging brokers: 3
5. Proprietary futures commission merchants: 37
6. Managed futures enterprises: 12
7. Futures advisory enterprises: 34
8. Futures trust enterprises: 11



■ **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 at the meetings of board members, supervisors, or General Assembly

5. To take disciplinary actions against misbehaved member companies or member representatives
6. To trade 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 member registration fee, annual membership fee, business promotion fee, and donations of member companies
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 (or executive directors) were elected from board members
- **Authority:** the Board of Directors is the Association's highest permanent executive body where members elect a chairman to act on behalf of the Association
- **Responsibilities:**
 1. To convene the General Assembly and execute its decisions
 2. To elect or recall chairman or standing directors
 3. To approve resignation of chairman or board members
 4. To approve registration, 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 fee
11. To handle issues in accordance with laws, CNFA Charter, or related regulations
12. To handle other related issues

3. Supervisors

■ **Supervisors:** the 11 supervisors were elected by member representatives during the General Assembly, and they accordingly elected three standing supervisors among whom one was selected as convenor.

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

■ **Responsibilities:**

1. To elect or recall executive 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 11 committees, namely Futures Brokerage Committee, Proprietary Future Commission Merchant Committee, Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, Financial Committee, Discipline Committee, Auditing & Law Compliance Committee, International Affair Committee, Cross-straits Affair Committee, and Education & Training Committee.

■ **Committee members:** each committee is led by a convenor, who is appointed by CNFA Chairman and then invites industrial experts, officials, scholars as committee members.

■ **Authority:** each committee works to fulfill its working plans and duties to boost the development of the futures market.

Committees and their responsibilities:

Futures Brokerage Committee

- (1) To improve and promote futures brokerage business as well as handle interaction and coordination among futures brokers
- (2) To offer services to futures traders
- (3) To make annual work plan for the committee
- (4) To handle other related issues

Proprietary Futures Commission Merchant Committee

- (1) To improve and promote the business of proprietary futures commission merchants as well as handle interaction and coordination among them
- (2) To make annual work plan for the committee

- (3) To handle other related issues

Futures Advisory Committee

- (1) To improve and promote futures advisory business as well as handle interaction and coordination among the member companies engaged on this business
- (2) To offer services to clients of futures advisory enterprises
- (3) To make annual work plan for the committee
- (4) To handle other related issues

Managed Futures Committee

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

Futures Trust Committee

- (1) To improve and promote futures trust business as well as handle interaction and coordination among futures trust enterprises
- (2) To offer services to beneficiaries of futures trust fund
- (3) To make annual work plan for the committee
- (4) To handle other related issues

Financial Committee

- (1) To handle issues regarding 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

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

Auditing & Law Compliance Committee

(1) To make research on internal control system of futures companies and propose suggestions for improvement

(2) To make research on internal auditing system of futures companies and propose suggestions for improvement

(3) To take charge of law-compliance issues of member companies

(4) To coordinate for consistency in internal control and auditing system of futures companies and help them resolve related problems

(5) To make annual work plan for the committee

(6) To handle other related issues

International Affair Committee

(1) To promote and coordinate issues about international affairs of the futures industry

(2) To make annual work plan for the committee

(3) To arrange other related issues

Cross-straits Affair Committee

(1) To promote and coordinate cross-straits issues about the futures industry

- (2) To make annual work plan for the committee
- (3) To arrange 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 promotion activities
- (5) To arrange other education-related issues such as holding futures license tests and issuing certificates

5. Administrative staff: the Association's administration is divided into four sections of Business Development Section I, Business Development Section II, Education & Training Section, and Administrative Management Section, all under the supervision of secretary general and deputy secretary general. Duties of each section are listed below:



Business Development Section I

To handle the business of futures companies, futures (securities) introducing brokers, and cross-straits issues:

- (1) To arrange meetings of the Futures Brokerage Committee, Proprietary Futures Commission Merchant Committee, Cross-straits Affair Committee, and Discipline Committee
- (2) To handle interactions among regulatory agency, peripheral institutions, and member companies
- (3) To gather information about market trend and industrial development
- (4) To review futures-related laws and, when necessary, propose suggestion for improvement
- (5) To provide legal consulting services to member companies
- (6) To propose or make revisions to self-discipline rules
- (7) To make research on the feasibility of developing new futures-related business in Taiwan and analyze its market potential
- (8) To make research on futures-related topics
- (9) To arrange out-sourcing research projects
- (10) To gather and analyze the information about cross-straits issues
- (11) To arrange interactions among futures associations at the two sides of the Taiwan Straits
- (12) To review the advertisement and promotional materials of member companies
- (13) To inspect the financial condition of member companies and, when necessary, provide assistance to help them make improvement
- (14) To review and forward the documents of member companies to the regulatory agency and keep records of them

- (15) To execute the self-discipline rules for member companies and, in accordance with the regulatory agency's instruction, inspect the auditing practice of member companies
- (16) To make inspection on the business locations and facilities of member companies

Business Development Section II

To handle issues regarding futures-related business (excluding those of futures introducing brokers), leveraged trading, and international affairs:

- (1) To arrange meetings of Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, and International Affair Committee
- (2) To handle interactions among regulatory agency, peripheral institutions, and member companies
- (3) To gather information about market trend and industrial development
- (4) To review futures-related laws and, when necessary, propose suggestion for improvement
- (5) To provide legal consulting services to member companies
- (6) To propose or make revisions to self-discipline rules
- (7) To make research on the feasibility of developing new futures-related business in Taiwan and analyze its market potential
- (8) To make research on futures-related topics
- (9) To arrange out-sourcing research projects
- (10) To gather and analyze the information about international futures issues
- (11) To arrange the interaction between the Association and international futures associations
- (12) To review the advertisement and promotional materials of member companies

- (13) To inspect the financial condition of member companies and, when necessary, provide assistance to help them make improvement
- (14) To review and forward the documents of member companies to the regulatory agency and keep records of them
- (15) To execute the self-discipline rules for member companies and, in accordance with the regulatory agency's instruction, inspect the auditing practice of member companies
- (16) To make inspection on the business locations and facilities of member companies

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 publish the reports of research projects, public hearing, or seminars
- (4) To arrange activities for advocating special news or research topic
- (5) To compile and publish publications
- (6) To handle the registration of new member companies, member representatives, and business representatives of member companies
- (7) To arrange renewal of job certificates of Association's staff workers
- (8) To arrange meetings of the Education & Training Committee

Administrative Management Section

- (1) To handle procurement issues and safeguard Association's properties
- (2) To arrange IT equipment procurement, maintenance, and management
- (3) To make budget, settlement, financial analysis, income & payment, accounting, financial document review, as well as handle fund-raising, cashier's work, and other related issues

- (4) To handle mails and keep documents
- (5) To provide financial support to Association-held activities
- (6) To handle the issues about personnel, general issues, administrative management, and keep records of documents
- (7) To arrange social activities for employees of member companies and the Association's working staff
- (8) To arrange the General Assembly as well as meetings of the board of directors and supervisors
- (9) To arrange meetings of the Financial Committee and Auditing & Law-compliance Committee
- (10) To mediate disputes about futures trading



Board Members and Supervisors

No.	Title	Name	Company	Position
1	Chairman	Falco Mi	KGI Futures Corp.	Chairman
2	Standing Director	Michael Ding	Walterland Securities Co.	Chairman
3	Standing Director	Shieh-ming Wu	Hua Nan Futures Management Corp.	Chairman
4	Standing Director	Ming-hui Lin	Jih Sun Futures Management Corp.	Chairman
5	Standing Director	Li Chen	MasterLink Securities Corp.	Executive Vice President
6	Standing Director	Phoebe Chang	Fubon Futures Corp.	President
7	Standing Director	Ted M.H. Ho	Polaris Man Financial Futures Co.	Chairman
8	Standing Director	Yiming Huang	President Futures Corp.	President
9	Standing Director	Huang-chi Yeh	SinoPac Futures Co.	Chairman
10	Standing Director	Paul Teng	Concord Futures Corp.	Board Member
11	Standing Director	Maurice Lu	Yuanta Futures Corp.	Vice Chairman
12	Director	Philip Wang	ADM Investor Services, Inc. Taiwan Branch	President
13	Director	Shu-hei Wang	Ta Chong Futures Corp.	Chairman
14	Director	Yen-shiao Chiang	Jih Sun Securities Co.	Vice President
15	Director	Charles Liu	Optiver Taiwan Co.	Chairman
16	Director	Joyce Sung	Yuanta Futures Corp.	Vice Senior President
17	Director	Chris Ho	Polaris Man Financial Futures Co.	President
18	Director	R. T. Kao	Dah Chang Futures Co.	Board Member
19	Director	Clara Ko	CITIC Newedge Futures Co.	President
20	Director	Eric Kao	To Chong Securities Co.	Vice President
21	Director	Chung-hsien Chen	Mega Futures Corp	Chairman
22	Director	Ping-cheng Chen	Grand Cathay Futures Corp.	Chairman
23	Director	Huan-ting Kuo	Fubon Securities Corp.	Senior Vice President
24	Director	James Chen	KGI Futures Corp.	President
25	Director	Tien-fu Chen	Yung Chuan Securities Co.	President
26	Director	Peggy Huang	Cathay Futures Co.	Manager
27	Director	Chun-jen Huang	President Securities Corp.	Vice President
28	Director	Hsin-teh Yang	SinoPac Futures Co.	President
29	Director	Chung-tao Chia	Capital Futures Corp.	President
30	Director	Cheng-en Chan	Kuanz Ho Securities Corp.	Chairman
31	Director	Chin-yuan Yang	Mega Futures Corp.	Special Assistant
32	Director	Kevin Liu	IBT Securities Co.	Vice President
33	Director	Alex Liu	Taiwan International Securities Corp.	Vice President
1	Supervisor Convenor	Tim Sun	Capital Futures Corp.	Chairman
2	Standing Supervisor	Arie Jen	Grand Cathay Futures Co.	President
3	Standing Supervisor	Jerry Hsu	AnTay Securities Co.	President
4	Supervisor	Winnei Wang	Pacific Securities Corp.	Assistant Vice President
5	Supervisor	Wen-chu Li	Concord Securities Corp.	President
6	Supervisor	Tze-chi Lee	Waterland Futures Co.	President
7	Supervisor	Chia-chin Lin	MasterLink Futures Corp.	President
8	Supervisor	J. H. Hsu	Hua Nan Securities Co.	Vice President
9	Supervisor	Eric Yeh	MF Global Singapore Pte, Taiwan Branch	President
10	Supervisor	Vincent Cheng	UOB Bullion & Futures Ltd., Taiwan Branch	President
11	Supervisor	Chin-hua Teng	Mega Futures Corp.	President

Note: the list is in an order of the stroke number of the person's Chinese surname, as of the end of 2010

IV. Association Affairs

A. Execution and proposals of futures-related regulations

Making model copy of contracts, guidelines, and report formats

1. Revised the “Self-discipline Rules for Futures Companies in Doing Day Trading”
2. Revised the model copy of the “Risk Prediction Agreement for Making Day Trading in Taiwan”
3. Made a reference copy for both simplified Chinese and English versions of the “Statement for SPAN (Standard Portfolio Analysis of Risk) Margin Collection”
4. Revised the “CNFA Committee Organization Guidelines”
5. Revised the “Guidelines for Futures Trading Dispute Mediation”
6. Revised the “Enforcement Measures for Futures Trading Dispute Mediation”
7. Abolished the “Measures for Mediator Selection”
8. Abolished the reference copy of the “Agreement for Using Underlying Stocks to Pay Margins for Selling Put Options Issued by Taiwan Futures Exchange (TAIFEX)”
9. Revised the “Guidelines for Collecting Business Location Inspection Fee”
10. Revised the “Standards for CNFA Member Company's Business Location Facilities”
11. Revised the “Check List for Futures Advisory Business Report in Accordance with Article 6 of Regulations Governing Futures Advisory Enterprises”
12. Revised the “Regulations Governing Futures Advisory Enterprise's Market Analysis for Broadcasting on Mass Media”
13. Revised the “Guidelines for Internal Control of Futures Advisory Enterprises”
14. Revised the “Guidelines for Internal Control of Managed Futures Enterprises”
15. Revised the model copy of the “Joint Authorization Agreement for Doing Future Trading through Discretionary Account Management”
16. Revised the model copy of the “Contract of Joint Authorization for Custodian Banking Service”
17. Revised the model copy of the “Contract of Custodian Banking Institution Authorization”
18. Revised the “Guidelines for Practices of Futures Trust Enterprises and Managed Futures Enterprises”
19. Revised the “Regulations on Advertisement and Promotional Activities of CNFA Members and Futures Trust Fund Sales Outlets”
20. Made the “Futures Trust Transaction Settlement Guidelines for Custodian Banking Institution Entrusted by Futures Trust Enterprise”
21. Revised the “Regulations on Advertisement and Promotional Activities for Futures Trust Fund”
22. Revised the model copy of the “Contract of Futures Trust (Basket Type)” (applicable to general investors)

23. Revised the model copy of the “Contract of Futures Trust (Principal-guarantee Type)” (applicable to general investors)
24. Revised the model copy of the “Contract of Futures Trust (General Type)” (applicable to general investors)
25. Revised the model copy of the “Futures Trust Contract” (applicable to certain qualified investor group)
26. Revised the “Checking List for Futures Trust Monthly Report”
27. Revised the “Risk Evaluation Guidelines for Futures Trust Fund Application Made by Futures Trust Enterprise”
28. Revised the model copy of the “Internal Control of Futures Trust Enterprises”
29. Made the “Information-publishing Guidelines for Futures Trust Fund Operators”
30. Revised the model copy of the “Contract of Futures Trust Agent”
31. Revised the model copy of the “Contract of Professional Investment Institutions Entrusted by Futures Trust Enterprise for Doing Discretionary Account Management”
32. Revised the “Requirement List for Futures Trust Fund Report of Futures Trust Enterprises”
33. Revised the “Check List Stated in Article 9-1 of Regulations Governing Business Report of Futures Trust Enterprises”

Proposals

1. Proposed suggestion to the regulatory agency for adding 82 Eurex-launched futures to the list of the foreign futures allowed to be traded in Taiwan, a proposal for providing more risk-hedging alternatives to institutional investors and help them reduce risk-hedging cost
2. Proposed suggestion to the regulatory agency for making regulations to govern the stock margin trading that securities peripheral institutions conduct based on the managed futures trading agent authorization agreement or other special contract
3. Proposed suggestion to the regulatory agency for allowing futures companies to be exempted from paying futures trader protection fee
4. Proposed suggestion to the regulatory agency for allowing proprietary futures commission merchants to trade foreign exchange futures for risk hedging with their foreign currency deposit at foreign futures trading account

5. Proposed suggestion to the regulatory agency for relaxing the requirement that a managed futures enterprise should have at least three years of experience in doing discretionary account management before applying to be entrusted by futures trust enterprise for doing discretionary account management
6. Proposed suggestion to the regulatory agency for relaxing the requirement that the futures trust fund to be entrusted for discretionary account management should not exceed 50% of the net assets value of its issuer, a proposal aimed at making Taiwan's market system compliance with international practice and expanding Taiwan's futures trust market to provide investors with strengthened wealth management service
7. Proposed suggestion to the regulatory agency for allowing securities investment trust enterprise to use the securities investment trust fund to make investment on the futures trust funds issued by futures trust enterprise
8. Proposed suggestion to the regulatory agency for allowing the securities investment consulting enterprise, which acts as a future trust fund sales outlet, to handle the fund Subscription and redemption service for the futures trust fund at a pecuniary trust account of its clients based on their contract for securities investment consulting Service
9. Proposed suggestion to the regulatory agency for allowing securities firms to use its own capital to make investment on domestic futures trust fund as a means to boost the futures trust market in Taiwan
10. Proposed suggestion to the Taiwan Futures Exchange (TAIFEX) for adding a column of "Automatic Process" for clients to choose at the Options Trading Sheet used at future companies
11. Proposed suggestion to the regulatory agency for allowing the futures company, which have sent electronic copy of futures trading report and settlement sheet to its clients, to acquire the electronic trading agreement and e-mail address via the Internet from the clients which have obtained certified electronic signature and have not authorized other institution for doing futures trading on behalf of them (also applicable to the situation for making change in client information)
12. Proposed suggestion to the Securities and Futures Institute for adjustment in the procedures for its computerized "Futures Broker Qualification Test" to make it more convenient for people to take the test
13. Proposed suggestion to the Securities and Futures Institute for adjustment in the frequency of "English Test for Futures Brokers" and building a database of test Questions

14. Gathered information about the Exchange-traded Fund (ETF) market and related regulations in foreign countries as reference for making the research project to study the feasibility for launching the ETF as futures trust fund in Taiwan and proposing a full package of ETF-related regulations
15. Made a research on the DAIF (Directive on Alternative Investment Fund Managers) system in the European Union (EU), evaluating if it's necessary to include it into the regulations governing the futures trust business in Taiwan
16. Gathered the information about product characteristics, price fluctuation, risk management, and performance records of the Exchange-traded Fund (ETF) used for leveraged trading or short sales, and made a study on the feasibility for domestic futures trust enterprise to launch the futures trust fund composed of a combination of ETF funds

B. Association Activities

Seminar

“3-in-1 Stock Futures Trading Strategies” (Jan. 13, Jan. 20, Jan.27)

The CNFA arranged three rounds of the seminar in northern, central, and southern Taiwan, respectively, participated by a total of 462 persons. The seminar analyzed how to make the most of the combination of stocks, single stock futures, and options as a new investment strategy for pursuing maximized profits.



“Successful Experience in Eurex Stock Futures Trading” (Jan. 22)

The seminar, participated by 211 persons, was featured by the expert's speech sharing her successful experience in trading the single stock futures on the Eurex.



“Development of Gold Futures Market” (March 9)

The seminar, participated by 123 persons, invited NYSE Vice President Jennifer Ropiak to analyze the global gold futures market development and introduce the new investment opportunities. Ropiak also talked about how to make arbitrage and strategic trading to boost market liquidity and popularity of gold futures.



“People Smuggling and Money Laundry Control” (Oct. 20, Oct. 21, Oct. 26)

The CNFA arranged three rounds of the seminar in northern, central, and southern Taiwan, respectively, participated by a total of 260 persons. The seminar introduced proper means for money laundry control and clarified the concept of people smuggling.



Lecture

“Futures Talents-hunting on Campus” (March, April and May)

The lectures were held in the university campus around Taiwan and offshore islands, participated by a total of 2,613 students. It introduced the futures industry to the soon-to-be university graduates and provided job opportunities to help them make life career plans.



Presentation

“New IFRS Rules for Futures Companies” (June 25, July 30, Aug. 20, Sept. 24)

The presentation series, participated by a total of 430 persons, introduced the measures for futures companies to make accounting standard conversion as well as set new accounting system, make financial plans, track records, and execute the new accounting system under the new rules.



“Personal Information Protection” (Dec. 7, Dec. 9, Dec. 14)

The CNFA arranged three rounds of the presentation in northern, central, and southern Taiwan, respectively, participated by a total of 287 persons. It analyzed the regulations stated in the Act of Personal Information Protection and helped companies to take early actions to adjust their operations in accordance with the new rules.



Forum

“Review of Advanced Deposit Payment System for Taiwan's Future Market” (Jan. 19)

An order to help futures company to use their capital more efficiently, the CNFA arranged the forum to examine the advanced deposit payment system in Taiwan's futures market and discuss the feasibility for abolishing the system to allow local people to trade futures under a fair and highly efficient market system.



“Analysis of Cost Structure of Specialized Futures Brokerage Companies” (Feb. 9)

In order to prevent price competition on Taiwan's futures market, the CNFA arranged the forum to help futures companies understand the structure of their operational cost and proposed fair pricing mechanism based on the principles of fair trading. It's aimed at preventing “grabbing marketing” on one hand, and preventing the futures brokers from being criticized as making “market monopoly” on the other hand. The forum was participated by 35 persons.



“2010 CNFA International Futures Forum-- High Frequency Trading” (Nov. 16)

Thanks to the rapid progress in both hardware and software of the computer industry, there have emerged the practice of strategic trading in foreign futures and options markets for years, facilitated by the modern computerized transaction programs. Compared to the traditional trading means, the high frequency trading is distinguished by far faster speed and much larger transaction volume. While the high frequency trading will enter Taiwan's futures market sooner or later, the CNFA arranged the international forum and invited senior executives in charge of this business from Eurex and the London International Financial Futures and Options Exchange to share their experience and exchanged their points of view with local experts from the Taiwan futures exchange (TAIFEX) as well as futures companies. The forum was participated by 320 persons.



Overseas business trip of board members and supervisors

Business trip to Liffe in Europe (Nov. 19-27)

In order to collect information about the stock futures market in foreign countries, the CNFA arranged a delegation of board members and supervisors to visit the Eurex, Eurex-Paris, and Newedge-Paris exchanges in Europe to learn their operations and experience as reference.



Cross-straits interaction

Annual China International Derivatives Forum (CIDF) held in Shenzhen (Dec. 1-3)

The CNFA arranged a delegation, composed 24 board members and supervisors, to attend the annual China International Derivatives Forum (CIDF) held in Shenzhen, China. CNFA Chairman Falco Mi and Secretary General Lu Ting-chi were invited to speak at the meeting.



Visit of Zhengzhou Commodity Exchange delegation (May 7-12)

A 6-member delegation of Zhengzhou Commodity Exchange, led by Vice President Hai Hong-bin, visited the CNFA to exchange viewpoints with CNFA representatives.



Visit of Huishang Group (May 18-27)

Under the management of the Strait Exchange Foundation, the Huishang Group organized a delegation of seven persons to visit the CNFA for learning the operations and management models of Taiwan's futures companies.



Visit of Zhejiang Futures Delegation (July 18-25)

A delegation from Zhejiang Province, China, composed of 14 members from Dayue Futures, Cinda Futures, Yongan Futures, Guotai Gunan Futures, Xinhua Futures, Guohai Liangshi Futures, and Zhejiang New century Futures Brokerage Corp., visited the CNFA and member companies.



Visit of China Futures Association (Dec. 14-21)

China Futures Association (CFA) Vice Chairman & Secretary General Li Chiang led a delegation to visit the CNFA. The delegation was composed of six high-ranking executives from the departments of futures worker training, membership management, qualification test and certification at the CFA.



Training and Employment

1. Futures Talents Cultivation

In 2010, the Association arranged three rounds of talents-hunting activity for member companies in Kaohsiung and Taipei, targeted at those who have completed the CNFA-arranged training program. Through computerized-matching, 16 persons of the 16th training program were recruited by eight companies, 6 persons of the 17th training program were recruited by five companies, and another 23 persons of the 18th training program were recruited by 10 companies,

2. Legal lectures for futures workers (April 10-May 23)

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 2010, participated by 27 trainees.

Social activities

1. Social activities for board members and supervisors

Two rounds of overseas trips were arranged for board members and supervisors-the trips to Kunli, Yunan Province, China on May 11-15 and May 18-23, respectively.



2. Social activities for committee members

The social activity arranged for committee members in 2010 was the trip to Nanchuang and Paipu on Oct. 2-3 for the first group and Dec. 11-12 for the second group.



3. Social activities for member companies

In 2010, a mountain-climbing activity was arranged for member companies in Pishangyen, participated by a total of 526 persons, including employees of member companies as well as their family members and friends. The activity provided good opportunities for futures workers to relax themselves from working pressure and enjoy the time for being together with family members and friends at countryside.



C. Self-discipline and operation improvement of member companies

1. Inspection of futures advisory enterprises

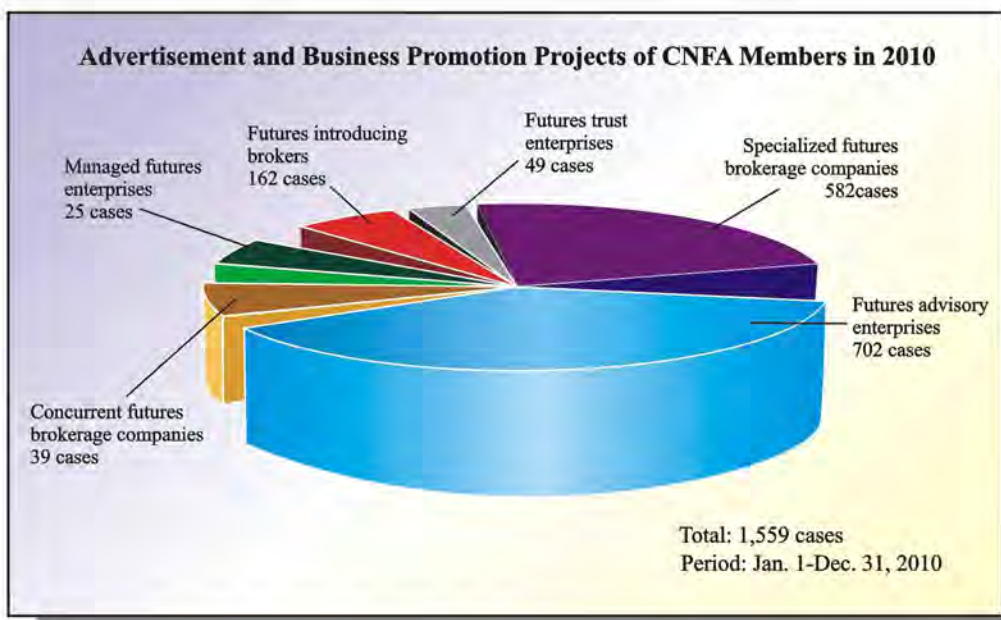
The Association made annual inspection on futures advisory enterprises and their practice of internal auditing. In 2010, it inspected 30 companies and 26 futures advisory projects. Among those found in violation against the Self-discipline Agreement for CNFA Members, 30 were required to make improvement, 23 received the Association's warning notice, and four were fined for rule violation.

2. Other rule-violation cases

For other projects where member companies were found acting against the Self-discipline Agreement for CNFA Members, 55 projects were sent to the Discipline Committee for its review, four companies were fined for rule-violation, 23 ones received the Association's warning notice, and 30 ones were required to make improvement.

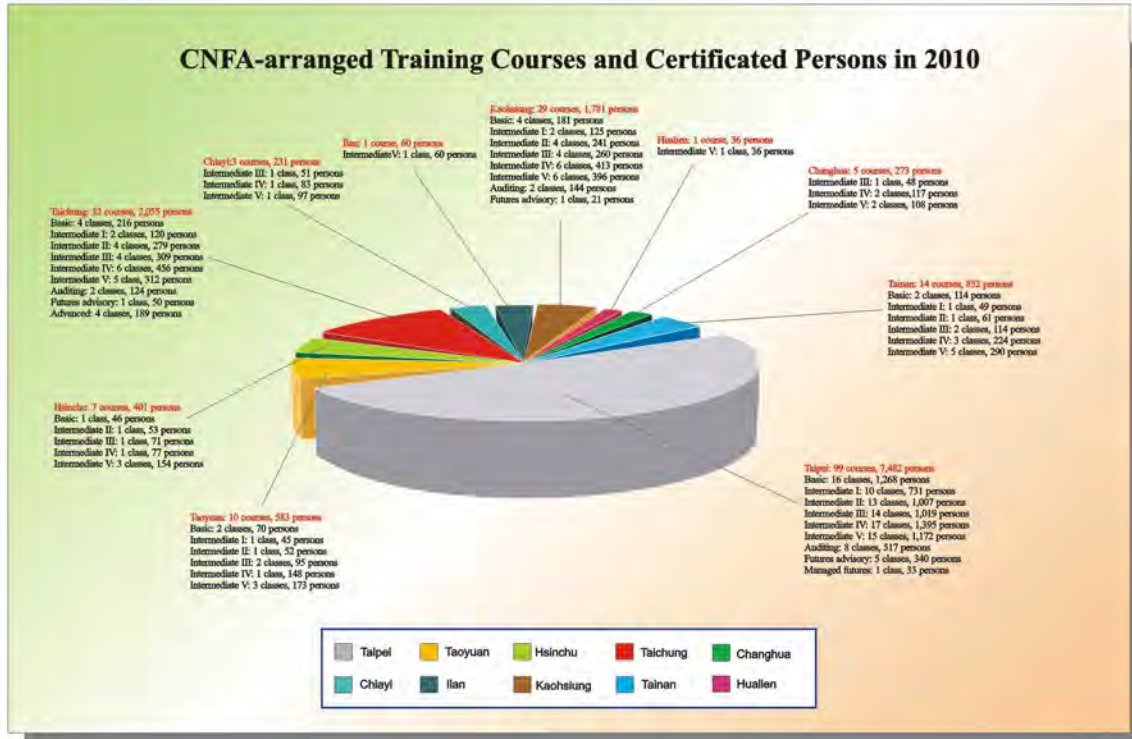
D. Inspection of advertisement and promotional materials of member companies

In 2010, the Association reviewed 1,559 projects of advertisement and promotional materials published by member companies. Among them, 582 projects were filed by the specialized futures brokerage companies, 39 by concurrent futures brokerage companies, 702 by futures advisory enterprises, 25 by managed futures enterprises, 162 by futures introducing brokers, 49 by futures trust enterprises, and 162 by futures introducing brokers.



E. On-job training

In 2010, the Association arranged following training courses for futures workers:

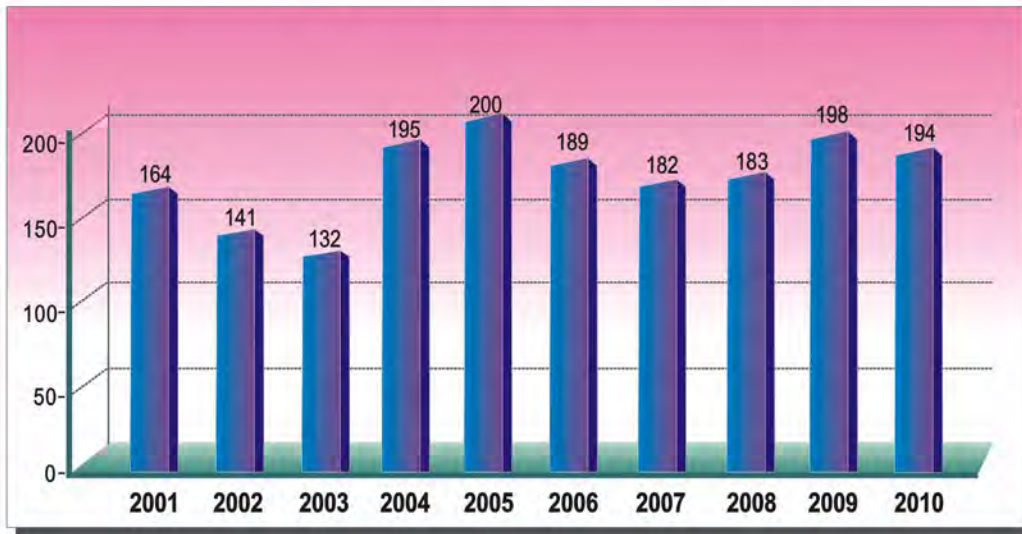


F. Registration and records of member companies as well as their representatives, persons-in-charge, and business representatives

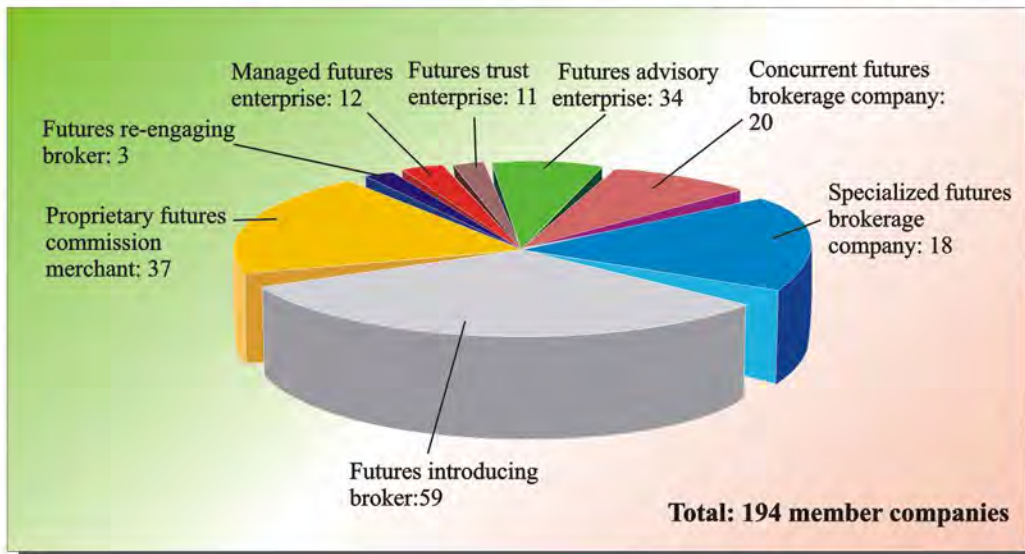
1. Registration of member companies and their business representatives

- There were 194 member companies registered with the CNFA at the end of 2010: 41 (21%) futures brokerage companies, 59 (30%) futures introducing brokers, 37 (19%) proprietary futures commission merchants, 12 (6%) managed futures enterprises, 34 (18%) futures advisory enterprises, and 11 (6%) futures trust enterprises.

Statistics of CNFA Member Companies, 2001-2010

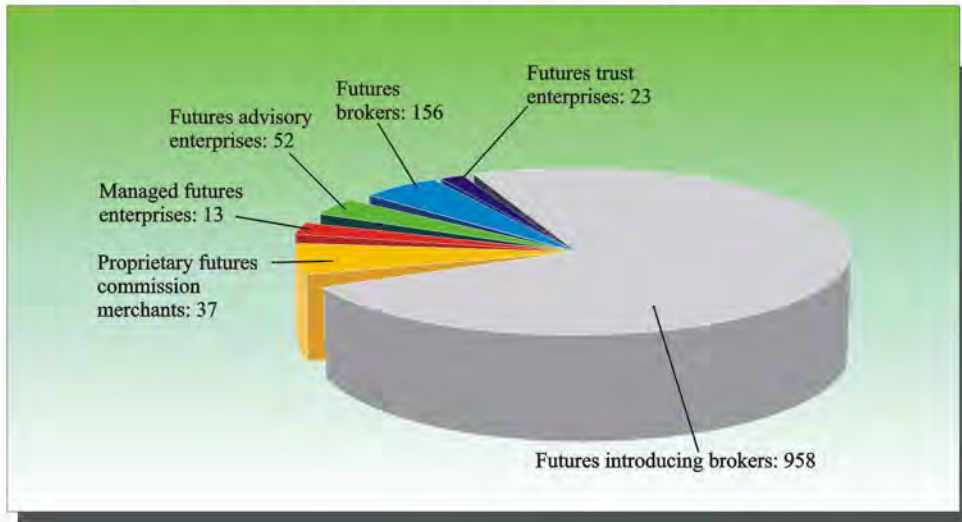


Statistics of CNFA Member Companies in 2010, by Business Category

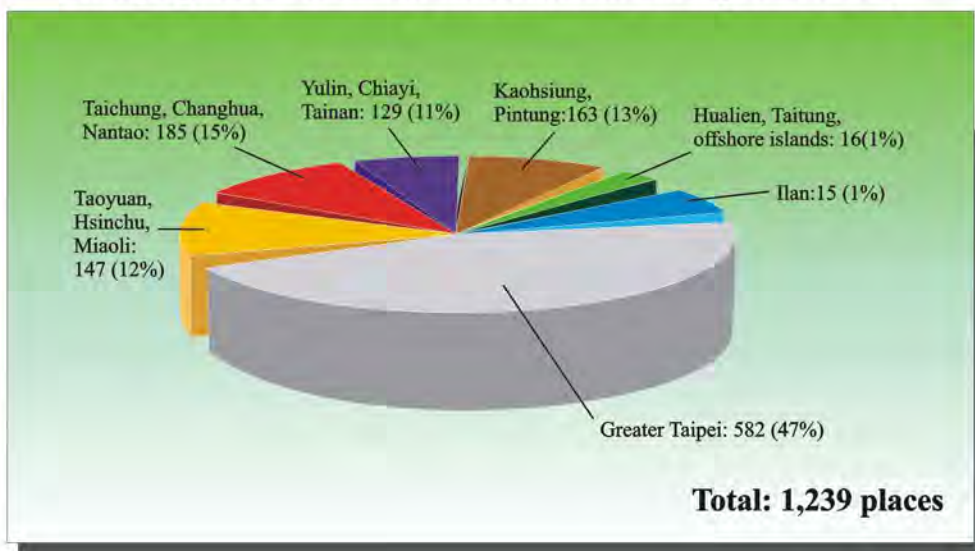


- CNFA member companies were operated with a total of 1,239 headquarters offices and branch offices as of the end of 2010: 156 used by futures brokers (13%), 958 used by introducing brokers (77%), 37 used by proprietary futures commission merchants (3%), 13 used by managed futures enterprises (1%), and 52 used by futures advisory enterprises (4%), and 23 used by futures trust enterprises (2%).

Business Places of CNFA Member Companies in 2010



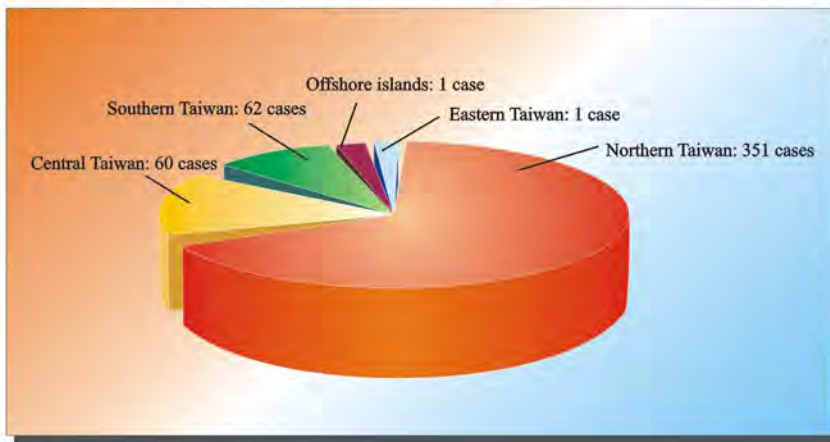
Geographical Location of CNFA Member Companies in 2010



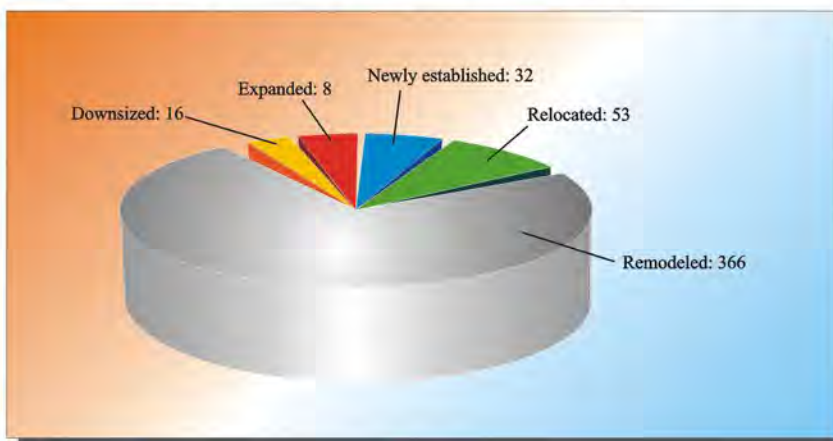
● Business place inspection

The Association conducted a total of 475 business place inspection cases in 2010 (351 in northern Taiwan, 60 in central Taiwan, 62 in southern Taiwan, 1 in eastern Taiwan, and 1 on offshore islands). Among these inspected places, 32 (7%) were newly established, 53 (11%) were relocated, 8 (2%) were downsized, 16 (3%) were expanded, and 366 (77%) were remodeled.

Geographical Areas of Inspected Business Places in 2010



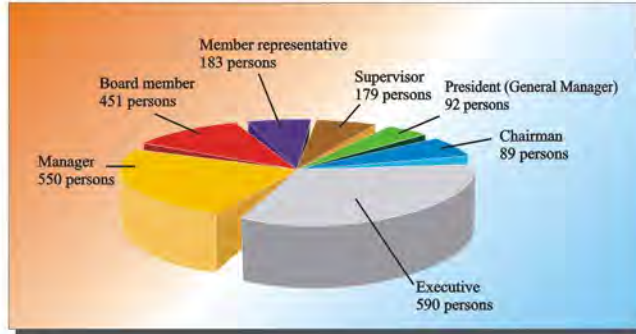
Statistics on Business Place Inspection Projects in 2010



2. Certificate renewal, change, and other related services

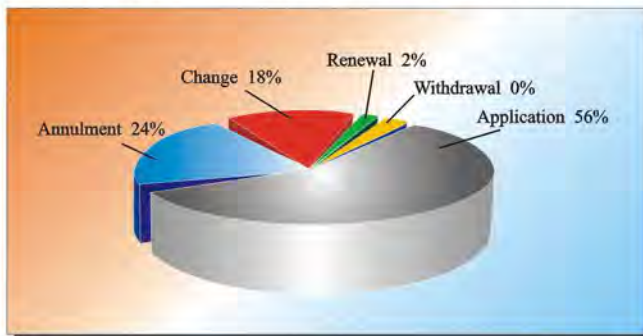
- In 2010, the Association handled a total of 2,134 certificate renewal and change projects for high-ranking executives, board members, and supervisors of member companies.

Changes of executives, board members, and supervisors in 2010

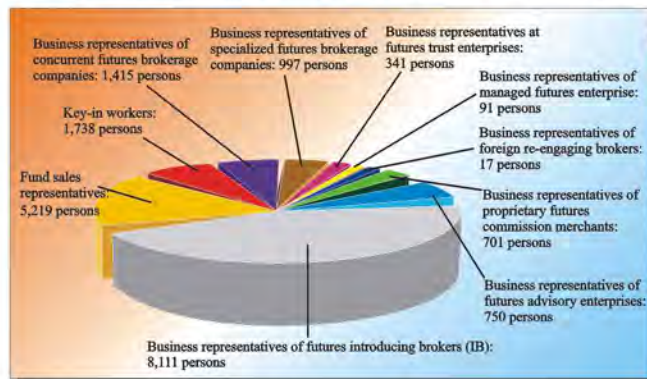


- In 2010, the Association handled a total of 19,641 business representative and key-in worker enrollment cases, with an average of 1,618 cases per month

Business Representative and Key-in Worker Change Cases in 2010



Business Category Change of Staff at CNFA Member Companies in 2010



G. Publications

1. Newsletter



2. Futures Journal



3. Taiwan Futures and Derivatives Journal



4. Policy advocate materials

In support to the government's policy for cracking down underground futures players, the Association made advertisement at the coaches of MRT and buses and meanwhile provided posters for member companies and township administration offices to distribute and post at their offices



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 2010 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, 2010 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. 8, 2011

Chinese National Futures Association
Balance Sheet

Assets	Dec. 31, 2010		Dec. 31, 2009		Dec. 31, 2010		Dec. 31, 2009		Unit: NT\$
	Amount	%	Amount	%	Amount	%	Amount	%	
Current assets									
Cash & bank deposit (Note 3-1)	\$ 24,710,150	5	\$ 27,032,384	6	\$ 12,989,256	3	\$ 9,421,908	2	
Securities (Note 3-2)	52,014,579	11	36,654,579	8	487,393	-	548,647	-	
Receivables (Note 3-3)	7,375,840	2	3,151,757	1	13,476,649	3	9,970,555	2	
Pre-payments	215,646	-	862,383	-	-	-	-	-	
Sub-total of current assets	84,316,215	18	67,701,103	15	988,943	-	988,943	-	
Funds									
Development fund at special bank account (Note 3-4)	72,028,650	15	65,435,837	14	69,300,000	15	71,820,000	16	
Pension fund at special bank account (Note 3-5)	10,144,928	2	18,262,092	4	70,288,943	15	72,808,943	16	
Sub-total of funds	82,173,578	17	83,697,929	18	83,765,922	18	82,779,498	18	
Fixed assets (Note 3-6)									
Land	133,989,345	29	133,989,345	29	-	-	-	-	
Office and buildings	91,281,927	19	91,182,318	20	76,428,650	16	71,435,837	16	
OA equipment	10,949,150	2	9,479,765	2	12,677,163	3	20,252,008	4	
Transportation equipment	652,381	-	652,381	-	238,663,012	50	237,149,846	52	
Miscellaneous items	450,619	-	453,847	-	327,768,825	69	328,837,691	72	
Office facilities	1,339,590	-	1,392,190	-	-	-	-	-	
Sub-total of fixed assets	238,663,012	50	237,149,846	51	-	-	-	-	
Other assets									
Refundable deposits	58,300	-	55,330	-	48,806,899	10	163,234,792	35	
Self-discipline fund at special bank account	69,300,000	15	71,820,000	16	14,169,789	3	(114,427,893)	(25)	
Sub-total of other assets	69,358,300	15	71,875,300	16	62,976,688	13	48,806,899	10	
Total assets	\$ 474,511,105	100	\$ 460,424,088	100	\$ 474,511,105	100	\$ 460,424,088	100	
Please refer to the following notes as part of the statement									
Liabilities, funds, and surplus									
Current liabilities									
Payables (Note 3-7)	-	-	-	-	-	-	-	-	
Advance payment	-	-	-	-	-	-	-	-	
Sub-total of current liabilities	-	-	-	-	-	-	-	-	
Other liabilities	-	-	-	-	-	-	-	-	
Deposits	-	-	-	-	-	-	-	-	
Self-discipline fund	-	-	-	-	-	-	-	-	
Sub-total of other liabilities	-	-	-	-	-	-	-	-	
Total of liabilities	-	-	-	-	-	-	-	-	
Funds and surplus									
Funds									
Development fund	-	-	-	-	-	-	-	-	
Pension fund	-	-	-	-	-	-	-	-	
Assets fund	-	-	-	-	-	-	-	-	
Sub-total of funds	-	-	-	-	-	-	-	-	
Surplus									
Accumulated balance (Note 3-9)	-	-	-	-	-	-	-	-	
Balance for this period	-	-	55,330	-	-	-	-	-	
Sub-total of surplus	-	-	71,820,000	16	62,976,688	13	48,806,899	10	
Total funds and surplus	-	-	71,875,300	16	390,745,513	82	377,644,590	82	
Total liabilities, funds, and surplus	\$ 474,511,105	100	\$ 460,424,088	100	\$ 474,511,105	100	\$ 460,424,088	100	

Chinese National Futures Association
Income Statement
Jan. 1-Dec. 31, 2010

Unit: NTS

Item	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
			Increase	Decrease	
Revenue					
Entry fees	\$ 370,800	\$ 12,000	\$ 358,800	\$ -	
Annual membership fees	1,912,800	1,806,000	106,800	-	
Business promotion fees (Note 3-10)	70,433,830	82,443,000	-	(12,009,170)	Note 1
Interest income	998,575	1,639,000	-	(640,425)	
Income from special projects	-	477,000	-	(477,000)	
Income from entrusted projects	16,429,953	16,190,000	239,953	-	
Rental income	3,767,400	3,130,000	637,400	-	
Miscellaneous items	<u>2,389,981</u>	<u>4,303,000</u>	<u>-</u>	<u>(1,913,019)</u>	Note 2
Total revenue	<u>96,303,339</u>	<u>110,000,000</u>	<u>1,342,953</u>	<u>(15,039,614)</u>	
Expenses					
Personnel expense	29,974,133	32,630,000	-	(2,655,867)	Note 3
Administration	6,539,043	6,890,000	-	(350,957)	
Business promotion	933,232,945	53,390,000	-	(20,157,055)	Note 4
Procurement	2,852,950	3,900,000	-	(1,047,050)	Note 5
Association activity fee	1,070,000	1,070,000	-	-	
Miscellaneous items	516,117	900,000	-	(383,883)	
Contracted research projects	-	610,000	-	(610,000)	
Advance cash	-	2,600,000	-	(2,600,000)	Note 6
Fund deposit (Note 3-11)	<u>7,948,362</u>	<u>8,010,000</u>	<u>-</u>	<u>(61,638)</u>	
Total expense	<u>82,133,550</u>	<u>110,000,000</u>	<u>-</u>	<u>(27,866,450)</u>	
Pre-tax balance	14,169,789	-	14,169,789	-	
Income tax (Note 3-8)	-	-	-	-	
After-tax balance	<u>\$14,169,789</u>	<u>-</u>	<u>\$14,169,789</u>	<u>(\$ -)</u>	

Please refer to the following notes as part of this statement:

Note 1. The decrease in business promotion fees was resulted from the weakened market performance.

Note 2. The decreased income of other income items was mainly due to the decreasing certificate and office inspection business for member companies.

Note 3. The decrease in personnel expense was mainly resulted from the retirement of some senior employees and no recruitment of new employees.

Note 4. The decrease in business promotion expense was mainly resulted from the Securities and Futures Institute's decision to allow the CNFA exempted from sharing its education advocate expense.

Note 5. The procurement expense decreased because the projected procurement projects had not been executed in 2010.

Note 6. The advance cash decreased because there was no special need to use it in 2010.

VI. Chronicle

Date	Event
Jan. 6	Risk control inspection meeting for MF Global Multi-Strategy Futures Trust Fund
Jan. 12	The 22 nd meeting of Financial Committee of the 2 nd installment
Jan. 12	The 32 nd meeting of Futures Brokerage Committee of the 2 nd installment
Jan. 13	“3-in-1 Stock Futures Trading Strategies” in Taipei
Jan. 13-22	Trainee-enlisting activity for the 16 th “Futures Talents Training Course”
Jan. 19	Futures Forum on “Review of Advanced Deposit Payment System for Taiwan's Future Market”
Jan. 20	“3-in-1 Stock Futures Trading Strategies” in Taichung
Jan. 20-29	Trainee-enlisting activity for the 17 th “Futures Talents Training Course”
Jan. 22	Seminar on “Successful Experience in Eurex Stock Futures Trading”
Jan. 22	Year-end celebration party (based on Lunar calendar)
Jan. 27	“3-in-1 Stock Futures Trading Strategies” in Kaohsiung
Jan. 28	The 14 th meeting of the Market Development Committee of the 2 nd installment
Jan. 29	The 9 th meeting of Futures Trust Committee of the 2 nd installment
Jan. 29	Award ceremony for “Futures PK Games on Campus 2009”
Feb. 4	The 23 rd meeting of Financial Committee of the 2 nd installment
Feb. 9	Futures forum on “Analysis of Cost Structure of Specialized Futures Brokerage Companies”
Feb. 23	The 15 th joint meeting of standing board members and supervisors of the 2 nd installment
Feb. 26	The 16 th joint meeting of board members and supervisors of the 2 nd installment
March 9	Seminar on “Development of Gold Futures Market”
March 11	The 33 rd meeting of Futures Brokerage Committee of the 2 nd installment

Date	Event
March 15	Lectures on “Futures Talents-Hunting on Campus”-National Pingtung University
March 16	Lectures on “Futures Talents-Hunting on Campus”-Technology and Science Institute of Northern Taiwan
March 17	Lectures for “Futures Talents-Hunting on Campus”-DE LIN Institute of Technology
March 17	Risk control inspection meeting for Polaris Gold Futures Trust Fund
March 19	Lectures for “Futures Talents-Hunting on Campus”-National Quemoy University
March 22	Lectures for “Futures Talents-Hunting on Campus”-Tainan University of Technology
March 23	Lectures for “Futures Talents-Hunting on Campus”-Lee Ming Institute of Technology
March 24	Lectures for “Futures Talents-Hunting on Campus”-National Formosa University
March 24	Lectures for “Futures Talents-Hunting on Campus”-Takming University of Science and Technology
March 24	Lectures for “Futures Talents-Hunting on Campus”-National United University
March 25	The 28 th meeting of Education & Training Committee of the 2 nd installment
March 30	Lecture for “Futures Talents-Hunting on Campus”-National Taichung University of Education
March 31	Lecture for “Futures Talents-Hunting on Campus”-National Taichung University of Technology
April 1	Lecture for “Futures Talents-Hunting on Campus”-Hsing Wu Institute of Technology
April 2	Lecture for “Futures Talents-Hunting on Campus”-Chihlee Institute of Technology
April 7	Lecture for “Futures Talents-Hunting on Campus”-Shu-te University
April 7	Lecture for “Futures Talents-Hunting on Campus”-I-Shou University
April 7	Lecture for “Futures Talents-Hunting on Campus”-National Cheng Kung University
April 8	Lecture for “Futures Talents-Hunting on Campus”-Kang Ning Junior College of Medical Care and Management
April 8	The 34 th meeting of Futures Brokerage Committee of the 2 nd installment

Date	Event
April 8	The 10 th meeting of Futures Trust Committee of the 2 nd installment
April 12	Lecture for “Futures Talents-Hunting on Campus”-Ming Chuan University
April 12	Lecture for “Futures Talents-Hunting on Campus”-Fo Guang University
April 13	The 24 th meeting of Financial Committee of the 2 nd installment
April 14	Lecture for “Futures Talents-Hunting on Campus”-Hsin Sheng College of Medical Care and Management
April 15	Lecture for “Futures Talents-Hunting on Campus”-Nan Hua University
April 16	Lecture for “Futures Talents-Hunting on Campus”-Fu Jen Cathelic University
April 20	The 16 th joint meeting of standing board members and supervisors of the 2 nd installment
April 26	Lecture for “Futures Talents-Hunting on Campus”-National Kaohsiung University of Applied University
April 28	Lecture for “Futures Talents-Hunting on Campus”-Hsiuping Institute of Technology
April 28	Lecture for “Futures Talents-Hunting on Campus”-Da yeh University
April 28	Lecture for “Futures Talents-Hunting on Campus”-Aletheia University
April 28	Lecture for “Futures Talents-Hunting on Campus”-National University of Tainan
April 28	Lecture for “Futures Talents-Hunting on Campus”-Tung Fang Design University
April 29	The 17 th joint meeting of board members and supervisors of the second installment
April 30	Lecture for “Futures Talents-Hunting on Campus”-National Chung Cheng University
May 1	Securities & Futures Golf Championship Game
May 3	Lecture for “Futures Talents-Hunting on Campus”-Nan Kai University of Technology
May 4	Lecture for “Futures Talents-Hunting on Campus”-Feng Chia University
May 5	Lecture for “Futures Talents-Hunting on Campus”-Tatung Institute of Technology

Date	Event
May 5	Lecture for “Futures Talents-Hunting on Campus”-Hsin Kuo University of Management
May 6	Lecture for “Futures Talents-Hunting on Campus”-Hsuan Chuan University
May 6	The 20 th meeting of Discipline Committee of the 2 nd installment
May 7	Lecture for “Futures Talents-Hunting on Campus”-National Chi Nan University
May 7-12	Visit of Zhengchou Commodity Exchange delegation
May 12	Lecture for “Futures Talents-Hunting on Campus”-DIWAN University
May 12	Lecture for “Futures Talents-Hunting on Campus”-Southern Taiwan University
May 13	Lecture for “Futures Talents-Hunting on Campus”-National Kaohsiung First University of Science and Technology
May 13	The 35 th meeting of Futures brokerage Committee of the 2 nd installment
May. 14	The 11 th meeting of Futures Trust Committee of the 2 nd installment
May 14	The 20 th meeting of Proprietary Futures Commission Merchant Committee of the 2 nd installment
May 19	Lecture for “Futures Talents-Hunting on Campus”-Vanang University
May 19	Lecture for “Futures Talents-Hunting on Campus”-Soochow University
May 20	Lecture for “Futures Talents-Hunting on Campus”-Chungyu Institute of Technology
May 25	Visit of Huishang Group delegation
May 26	Lecture for “Futures Talents-Hunting on Campus”-Chung Hua University
May 27	The 13 th meeting of Managed Futures Committee of the 2 nd installment
May 27	The 36 th meeting of Futures Brokerage Committee of the 2 nd installment
May 28	Lecture for “Futures Talents-Hunting on Campus”-Mingdao University
June 1	The 17 th joint meeting of standing board members and supervisors of the 2 nd installment

Date	Event
June 3	The 18 th joint meeting of board members and supervisors of the 2 nd installment
June 18	The 1 st General Assembly of Member Representatives of the 3 rd installment
June 18	The 1 st joint meeting of board members and supervisors of the 3 rd installment
June 18	The 1 st meeting of supervisors of the 3 rd installment
June 25	The first presentation on “New IFRS Rules for Futures Companies” (co-sponsored by the Taiwan futures Exchange)
July 16	The 1 st joint meeting of standing board members and supervisors of the 3 rd installment
July 18-25	Visit of Zhengzhou Commodity Exchange delegation
July 20	The 1 st joint meeting of board members and supervisors of the 3 rd installment
July 21-29	Trainee-enlisting activity for the 18 th “Futures Talents Training Course”
July 26-Aug. 2	Visit of China's Yongan Futures delegation
July 30	The second presentation on “New IFRS Rules for Futures Companies” (co-sponsored by the Taiwan futures Exchange)
Aug. 11	The 1 st meeting of Cross-straits Affair Committee of the 3 rd installment
Aug. 16	The 1 st meeting of the Discipline Committee of the 3 rd installment
Aug. 20	The third presentation on “New IFRS Rules for Futures Companies” (co-sponsored by the Taiwan futures Exchange)
Aug. 25	The 1 st meeting of Futures Brokerage Committee of the 3 rd installment
Aug. 31	The 1 st meeting of Futures Trust Committee of the 3 rd installment
Sept. 9	The 1 st meeting of Proprietary Futures Commission Merchant Committee of the 3 rd installment
Sept. 21	The 1 st meeting of International Affair Committee of the 3 rd installment
Sept. 24	The fourth presentation on “New IFRS Rules for Futures Companies” (co-sponsored by the Taiwan futures Exchange)
Sept. 29	The 2 nd meeting of Futures Brokerage Committee of the 3 rd installment

Date	Event
Oct. 2-3	Nanchuang trip the first social activity for committee members in 2010
Oct. 5	The 2 nd joint meeting of standing board members and supervisors of 3 rd installment
Oct. 14	The 1 st joint meeting of board members and supervisors of the 3 rd installment
Oct. 16	Hiking activity on Pishangyen
Oct. 19	The 2 nd meeting of Cross-straits Affair Committee of the 3 rd installment
Oct. 20	Seminar on “People Smuggling and Money Laundry Control” in Kaohsiung
Oct. 20	The 2 nd meeting of Discipline Committee of the 3 rd installment
Oct. 21	Seminar on “People Smuggling and Money Laundry Control” in Taichung
Oct. 26	Seminar on “People Smuggling and Money Laundry Control” in Taipei
Oct. 27	The 3 rd meeting of Futures Brokerage Committee of the 3 rd installment
Oct. 28	The 1 st meeting of Futures Advisory Committee of the 3 rd installment
Nov. 4	The 1 st meeting of Auditing & Law Compliance Committee of the 3 rd installment
Nov. 4	The 2 nd meeting of Futures Trust Committee of the 3 rd installment
Nov. 11	The 2 nd meeting of Proprietary Futures Commission Merchant Committee of the 3 rd installment
Nov. 16	2010 CNFA International Futures Forum--High Frequency Trading
Nov. 17	The 4 th meeting of Futures Brokerage Committee of the 3 rd installment
Nov. 19-27	Business trip to Liffe in Europe
Nov. 24	Meeting of short sales and leveraged trading
Nov. 25	The 4 th meeting of Futures Brokerage Committee of the 3 rd installment
Dec. 1-3	Annual China International Derivatives Forum (CIDF) held in Shenzhen

Date	Event
Dec. 6	The 5 th meeting of Futures Trust Committee of the 3 rd installment
Dec. 6-31	Advertisement of legitimate futures players
Dec. 7	The 3 rd joint meeting of standing board members and supervisors of the 3 rd installment
Dec. 7	Presentation on “Personal Information Protection” in Kaohsiung
Dec. 9	Presentation on “Personal Information Protection” in Taipei
Dec. 11-12	Paipu trip the second social activity for committee members in 2010
Dec. 14	Presentation on “Personal Information Protection” in Taichung
Dec. 14-21	Visit of China Futures Association's delegation around Taiwan
Dec. 15	Visit of China Futures Association's delegation at the Association
Dec. 17	The 3 rd joint meeting of board members and supervisors of the 3 rd installment
Dec. 18-26	Visit of board members and supervisors at NYSE LIFFE

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	105臺北市松山區南京東路五段188號8樓、8樓之1、8樓之9、8樓之10 No.188-8, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	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, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
F008	統一期貨股份有限公司 President Futures Corp.	105台北市東興路8號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.entrust.com.tw
F018	元富期貨股份有限公司 MasterLink 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 Man Financial 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/
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.mega futures.com.tw/
F034	澳帝華期貨股份有限公司 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
F035	香港南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
F037	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	http://www.dcnf.com.tw/index.htm
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	新加坡南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
R219	新加坡商明富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.mfglobal.com/Pages/default.aspx
S109	台灣工銀證券股份有限公司 IBT Securities Co., Ltd.	114台北市堤頂大道2段99號7樓 7F, 99, Sec.2, Tiding Blvd, Taipei 114, Taiwan	02-26561111	02-26561212	http://www.ibts.com.tw/
S144	美林證券股份有限公司 Merrill Lynch Securities (Taiwan) Limited	106台北市敦化南路二段207號9樓、17樓及23樓 9F, 207 Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-23763766	02-23763574	http://www.ml.com
S147	台灣摩根士丹利證券股份有限公司 Morgan Stanley Securities (Taiwan) Ltd.	106台北市敦化南路二段207號14樓(部分)及22樓 22F, No.207, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-27302800	02-27302990	建置中 (under construction)
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	香港南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 (under construction)
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	新加坡瑞瑞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174號4樓 4F, 174, Sec.2, Ming Sheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.testock.com.tw/
S601	華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 (under construction)
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 (under construction)
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/
S884	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
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 (under construction)
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
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台北市南京東路三段225號11樓、13樓、14樓 11F, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei City 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 BankTaiwan 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
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

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
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29號7樓 7F, 29, Sec.1, Anho Rd., Taipei 106, Taiwan	02-25636262	02-25635713	http://www.fsi.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	http://baby.boom.com.hk/zh/index.asp
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 (under construction)
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.gcsc.com.tw
B582	金鼎綜合證券股份有限公司 Taiwan International Securities Corp.	106台北市敦化南路2段97號B1 B1, 97, Sec.2, Tunhsa 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 (under construction)
B592	元富證券股份有限公司 MasterLink Securities Corp.	106台北市復興南路1段209號1樓 1F, 209, Sec.1, Fuhsing 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, Chungwha 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	建置中 (under construction)
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, Changhua 521, Taiwan	04-8886500	04-8886626	http://www.kuanzho.com.tw/
B646	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
B648	福邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104台北市民生東路一段51號3樓 3F, No.51, Sec. 1, Minsheng E. Rd., Zhongshan Dist., Taipei City 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 (under construction)
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 (under construction)
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 (under construction)
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37號3、4樓 3F, No.37, Shantong Rd., Puzi City, Chiayi County 613, Taiwan	05-3700988	05-3700909	建置中 (under construction)
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 (under construction)
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, Minchiuan Rd., Taichung 403, Taiwan	04-22020208	04-22024374	建置中 (under construction)
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

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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 (under construction)
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 (under construction)
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	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	104台北市中山北路二段44號2樓 2F, No.44, Sec.2, Zhongshan N. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-21815888	02-25232016	http://www.tssco.com.tw/
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 (under construction)
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 (under construction)
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 (under construction)
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 (under construction)
B877	大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	265宜蘭縣羅東鎮公正路154號3樓 3F, 154, Gongheng Rd., Luodong, Yilan 265, Taiwan	03-9566999	03-9532669	http://www.ycsc.com.tw
B880	鼎富證券股份有限公司 Team Pro Securities Co., Ltd.	106台北市忠孝東路4段300號7樓 7F, 300, Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-87739666	02-87739899	建置中 (under construction)
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 Man Financial 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, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
P006	群益期貨股份有限公司-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 MasterLink 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7樓 7F, 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
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/

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P015	元富期貨股份有限公司-自營 MasterLink 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
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台北市仁愛路四段169號4樓(電梯樓層5樓)部分及15樓(電梯樓層17樓) 4F, 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 (under construction)
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	香港南法匯豐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 6 F, 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台北市中山區復興南路1段2號11樓B號 B, 11F, 2 Sec.1, Fushing S., 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	澳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.ftsi.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 Commercial 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.taifeifubon.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/
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	105臺北市松山區南京東路五段188號8樓、8樓之1、8樓之9、8樓之10 No.188-8, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	http://www.wlf.com.tw
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 (under construction)
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

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A003	寶來曼氏期貨股份有限公司-顧問 Polaris Man Financial 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.jihsunfutures.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 MasterLink 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
A019	國票期貨股份有限公司-顧問 Waterland Futures Co., Ltd	105臺北市松山區南京東路五段188號8樓、8樓之1、8樓之9、8樓之10 No.188-8, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	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, Zhongshan N. Rd., Taipei 104, Taiwan	02-25678502	02-25679794	建置中 (under construction)
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台北市中山區八德路二段260號10樓 10F., No.260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-55899966	02-55825187	建置中 (under construction)
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	悠登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 Hua 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 (under construction)
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/
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 (under construction)
A032	順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 (under construction)
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	承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	http://www.27813900.com/
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 (under construction)
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, Zhongshan 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	新加坡明華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

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
A039	君安證券投資顧問股份有限公司-顧問 Jun An Securities Investment Advisory Lnc.	104 臺北市松江路318號11樓之3 11F-3, No.318, Songjiang Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-25115878	02-25116167	http://www.richiers.com.tw
A040	康和期貨經理事業股份有限公司-顧問 Concord Managed Futures Co., Ltd.	110 台北市基隆路一段176號14樓 14F, 176 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	http://www.concordfutures.com.tw/FM/
A041	大昌證券股份有限公司-顧問 Dah Chang Securities Co.,Ltd	220 台北縣板橋市東門街30之2號2樓之1至85及9樓1、2 No.30-2, No.85-9, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29689685	02-29658473	http://www.dcn.com.tw
A042	玉山證券投資顧問股份有限公司-顧問 E.SUN Investment Consulting Co.,Ltd.	105 台北市松山區民生東路三段117號7樓 7F, No.117, Sec.3, Minsheng E. Rd., Songshan Dist., Taipei 105, Taiwan	02-21751313	02-25453313	http://www.esunsec.com.tw
A043	亞洲證券投資顧問股份有限公司-顧問 Asia Securities Investment Advisory Lnc.	10050 台北市中正區忠孝東路二段88號5樓 7F, No.117, Sec.3, Minsheng E. Rd., Songshan Dist., Taipei 105, Taiwan	02-23948282	02-23413451	建置中 (under construction)
M008	康和期貨經理事業股份有限公司 Concord Managed Futures Co., Ltd.	110 台北市基隆路一段176號14樓 14F, 176, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	http://www.concordfutures.com.tw/fm/
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/tifmanage/
M015	大華期貨股份有限公司-經理 Grand Cathay Futures Corp.	100 台北市忠孝西路一段100號13樓 13F, 100, Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	http://www.gcf.com.tw
M016	寶來曼氏期貨股份有限公司-經理 Polaris Man Financial 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.yuanta-futures.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/
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 MasterLink 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 (under construction)
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, Sec.2, 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
M025	群益期貨股份有限公司-經理 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/
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 Puh 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	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.yuanta-funds.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	http://www.mfte.com.tw
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	摩根華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.jpmmrcli.com.tw/wps/portal/
T010	統一證券投資信託股份有限公司 Uni-President Assets Management Corp.	105 台北市東興路8號8樓 8,8 Dongsing Rd., Taipei 105, Taiwan	02-27478388	02-27478129	http://www.ezmoney.com.tw/
T011	永豐證券投資信託股份有限公司-信託 Copyright by SinoPac Securities Investment Trust CO., LTD	100 台北市博愛路17號9樓、13樓及14樓 13F, No.17, Bo'ai Rd., Zhongzheng Dist., Taipei City 100, Taiwan	02-23618110	02-23617069	http://sipc.sinopac.com

註：以上資料截止日為99.12.31

