



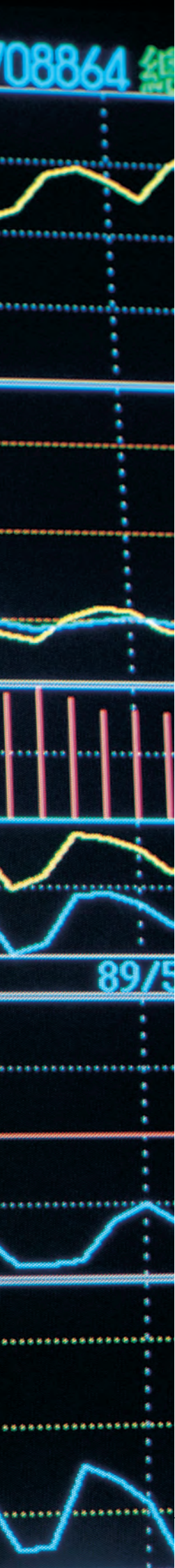
102年報

Annual Report 2013

中華民國期貨業商業同業公會

Chinese National Futures Association

103年四月編製



Contents

目錄

壹、序言	2
I. Preface	3
貳、公會簡介	4
II. CNFA Introduction	5
參、公會組織系統.....	7
III. Association Structure.....	7
肆、會務報導.....	24
IV. Association Affairs	24
伍、財務報告	48
V. Financial Report	49
陸、大事紀要.....	54
VI. Chronicle	54
柒、會員名錄.....	60
VII. Directory of Members.....	60

壹

序言



首先，要感謝會員代表以及理監事的支持，本人榮膺期貨公會第四屆理事長職務，有機會為業界盡一己之力，深感任重道遠，必將戮力服務，以不負業界之期望。

民國100年期貨市場發生兩件大事：8月因美國債信問題，造成行情劇烈變動，發生了國內期貨市場始業以來最大金額的單一交易人違約事件，使業者更加了解統一風控制度之重要性，公會凝聚業者共識，與期交所合作，在主管機關的支持下，訂定了風險控管措施並自102年7月1日開始實施；100年11月MF GLOBAL集團發生財務問題，在主管機關果斷而得宜的處理下，凍結其關係企業明富環球期貨新加坡分公司在臺之客戶保證金，並同意期貨商以自有資金處理交易人之權益，因此交易人的權益並未受到影響，而期貨公會本著服務會員的精神，召集業者開會討論，並委請律師提出專業的法律意見，與債務人協商還款，經過兩年時間的奔走，終於在102年12月由MF集團旗下關係企業買回期貨商對明富環球期貨新加坡分公司的債權，此事件獲得圓滿的解決。由上述事件可知，本國期貨商在主管機關的支持下，具備優良的體質，故能夠在一次又一次重大事件的淬鍊之下屹立不搖，穩健經營。在此特別感謝上一任理監事過去三年在強化市場制度上所作的努力，打下穩固的基礎；而未來，我們將本於這個基礎，致力推動期貨市場國際化及爭取業務開放，為期貨業者拓展更多商機。

臺灣本身市場範圍受限於先天地理環境因素，必須向外發展，加深與國際之連結，才能擴大市場範圍，為業者帶來更多收益與機會，若臺灣能加入國際性經貿組織，及強化與國外交易所、期貨業及其他金融業者的往來與合作關係，將有助於提升國內業者的國際競爭力。金管會曾主委於103年2月邀集證券、期貨及投信投顧業者，就布局亞洲乙案聽取業者之建議，並指示相關單位應盡力協助業者；而期交所除了持續與各國交易所進行跨國合作事宜之外，將在5月推出授權於歐洲期貨交易所掛牌交易，以台股期貨及臺指選擇權為標的之一天期期貨契約，此商品推出，將可透過歐洲期貨交易所的推廣，讓外國交易人更認識我國的期貨商品，可說是期貨市場國際化的一大進展。有了主管機關與期交所的支持，期貨公會未來也將盡力協助業者朝國際化邁進，例如，臺灣期貨業者在電子交易平台、風險管理技術、公司管理制度、造市制度及顧問諮詢服務等方面已具備相當專業能力及經驗，若能將上述服務項目輸出至國外，相信定能為業者帶來更多的收益，為此期貨公會特別向主管機關爭取推動本項業務，並獲得主管機關同意；在爭取大陸方面的業務往來部分，也向主管機關提出建議，允許大陸人來臺開戶從事國際期貨交易；及建請期交所，推動與大陸交易所合作，指數互相掛牌交易。

在推動期貨業務方面，期貨公會積極爭取保險業更多自有資金參與期貨市場來從事期貨交易、交由期貨經理事業操作，或購買期貨信託基金。在102年12月與期交所、證交所及券商公會合作推出的「個股期多空對交易策略」推廣活動，藉由寓教於樂的期股達人遊戲，成功將交易策略推廣給投資大眾以及從業人員同時增加了市場動能，未來公會也將持續與期交所共同商議個股期貨推廣計畫。而去年開始，本公會著手進行了幾個委外案件：建置大陸期貨法規資料庫，提供業者及從業人員查詢大陸期貨規章之管道；期貨違法違規案例之研究，針對過去違法或違規案例加以蒐集並分門別類，旨在提供業者對員工教育訓練參考，及強化從業人員對於違規態樣認識，避免身陷違法或違規的處境而不自知；期貨業與證券業法規制度之比較，從兩個產業制度之差異處，找出期貨業可以參考證券業的部分，向主管機關提出具有建設性之建議。

業務推動是有計畫而長遠的任務，本公會將持續協調會員間避免惡性價格競爭，影響全體產業正常發展，未來以更積極、用心的態度，兼顧服務品質及效率，為全體會員公司永續經營，及期貨市場穩健發展盡最大的努力！

中華民國期貨業商業同業公會

理事長 賀鳴珩

First, I would like to express my gratitude to the support of board members and supervisors. With opportunities to serve the futures industry in my capacity as chairman of the Chinese National Futures Association (CNFA), I am aware of the great responsibilities that need our all-out endeavors to fulfill to meet the industry's expectation.

The futures market was once shattered by two incidents in 2011: the American national debit crisis breaking out in August, leading to sharp fluctuations on Taiwan's financial market where the futures segment was interrupted by the largest transaction default of one single trader. This incident, yet, enforced Member Companies' alertness for risk control. The CNFA thus fostered consensus of the futures industry and teamed up with the Taiwan Futures Exchange (TAIFEX), with support of the competent authority, in formulating the package of risk control measures which has taken effect since July 1, 2013.

In November of the same year, there exposed a serious financial turmoil of MF GLOBAL group. Thanks to the government's resolute and proper decision in accordance with which the trading accounts of local clients of the groups' Singapore-based subsidiary were soon frozen and domestic futures companies were allowed to use their own funds to handle the disputes of involved traders. Then, the CNFA convened meetings for discussion about this issue and commissioned lawyers to provide professional suggestions regarding how to negotiate with debtors for debt repayment. After two years of efforts, an affiliate of MF GLOBAL group finally agreed to buy back the rights of Taiwan's futures companies as creditors on debtor of MF GLOBAL Singapore, making a complete end to this issue.

Thanks to the support of the competent authority, Taiwan futures companies stand firm and keep steady operations after one after another challenge. In light of this, we are especially grateful for the efforts of former CNFA Chairman Falco Mi who made considerable efforts in strengthening the market foundation during his tenure over the past three years.

Taiwan is confined by geographical limitation, so we have to explore opportunities abroad through intensified international linkage as a means to expand our market scale and create more business opportunities. To strengthen international competitiveness, Taiwan should join more international organizations and pursues closer cooperation with international exchanges, futures operators, and related financial institutions.

The Financial Supervisory Commission (FSC) convened a meeting with representatives of securities, futures, and related industries in February this year, in a bid to gather suggestions regarding how to help operators of these industries deploy business network in Asia. It has accordingly instructed related government agencies to provide support in this regard.

While continuing to strengthen its cross-border cooperation with international exchanges, the TAIFEX in May introduced a new business of the one-day Taiwan stock futures and options being traded on European exchange. It marked a significant step for the internationalization of Taiwan futures market as it will make Taiwan futures products become increasingly popular to international traders through promotion of the European exchange.

With support of the government and the TAIFEX, the CNFA will continue to help Member Companies strengthen internationalization of their business. Based on their professional capabilities and experiences, Taiwan futures companies should be able to make export of their "services" and thus bring in even more benefits to the industry as a whole. For this sake, the CNFA has gained the government's agreement in helping its Member Companies explore business opportunities across the Taiwan Straits. Meanwhile, the CNFA has proposed suggestions for allowing mainlanders to open accounts in Taiwan and for cross-listing with China's market.

Considering promotion of domestic futures business, the CNFA called for a greater quota of funds from insurance companies for making futures trading. Last December, the CNFA organized a promotional activity with related institutions and successfully introduced trading strategies to the public. It will continue to hold similar activities in the future.

The CNFA has been engaged on several research projects since 2013, such as those on futures law and regulations, criminal case studies, comparison of the legal frameworks of futures and securities industries, etc.

Business promotion is a long-term task based on visionary plans. The CNFA will take an even more active and attentive attitude to enhance its service quality and efficiency, making utmost efforts to help all Member Companies pursue sustainable operations and secure steady growth of Taiwan futures market.

Ted Ho
Chairman, CNFA

貳

公會簡介

一、公會沿革

- 本公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，以及分布區域之擴大，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。
- 本公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，本公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

- 本公會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

三、本公會任務

- 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。

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 first founded on 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 members' license registrations, site equipment inspections, personnel training and other functions. Moreover, it assumes the responsibility as a self-regulatory body. For healthy development of Taiwan's futures market, the Association develops a highly efficient administrative mechanism to fulfill its four major duties, namely reviews of industry personnel qualifications, site equipment inspections, member check-ups, as well as education and training for futures workers. It will actively coordinate the industry's unity and cooperation, promoting communication and interaction between the industry and the competent authorities, and under circumstances of sincere and positive, immaculate policies, lay a more solid foundation for the futures industry.

B. Goals

- The Association was established to protect the investing public, develop the national economy, coordinate intra-industry relations, and promote common benefits of the society.

C. Objectives

- To promote the full functioning of the futures market, working in step with the 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



CONFERENCE
ON THE FUTURE OF
FINANCIAL SERVICES

主题演讲	陈永泰
圆桌论坛	陈永泰
主旨演讲	王天
主旨演讲	王天
主旨演讲	王天
主旨演讲	王天

CNFA 中国金融期货交易所

CNFA

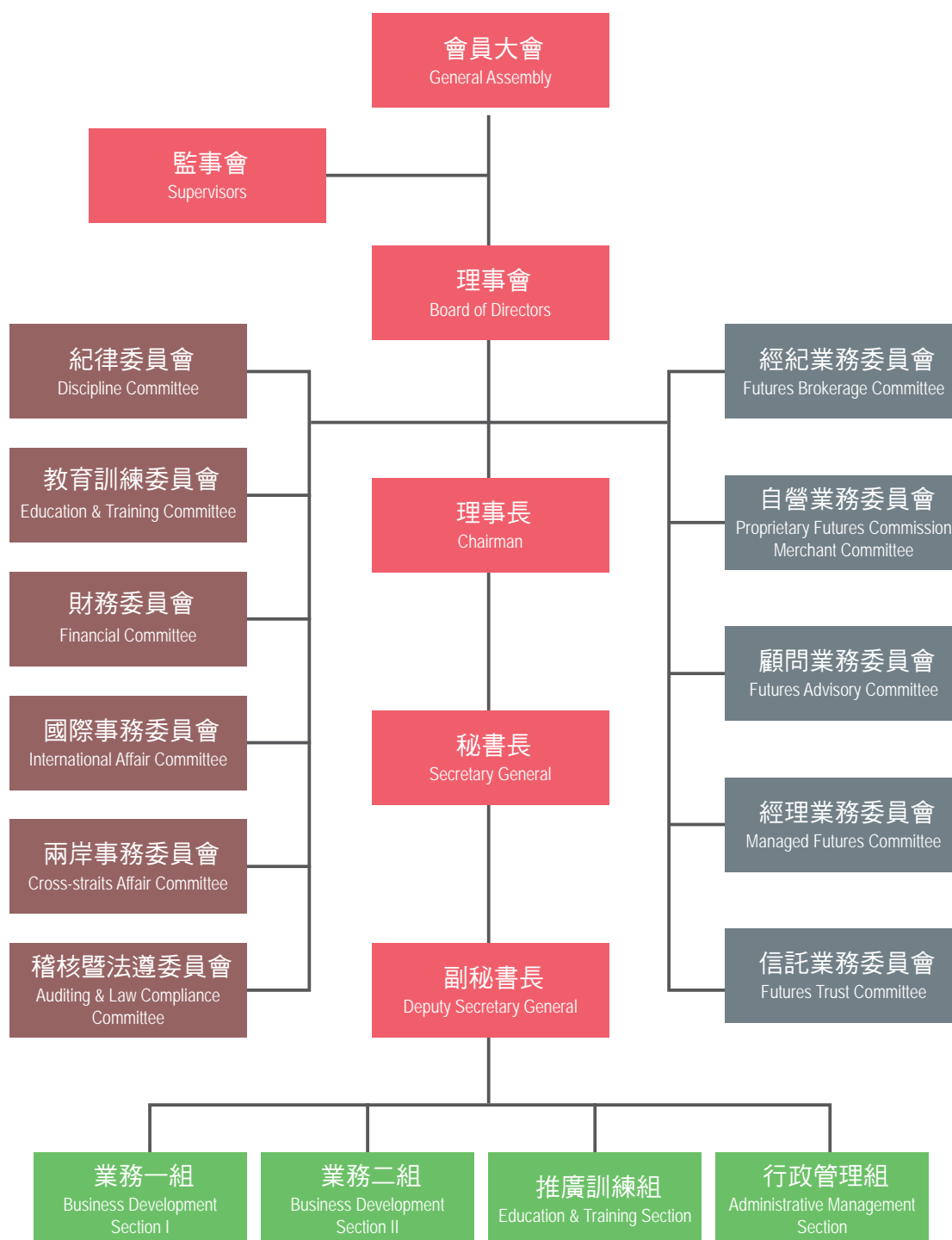
CNFA

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一、組織系統圖

A. Organizational Chart





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318位。

■成員：由會員代表組成。至102年12月31日止，本公會會員公司計有174家：

1. 專營期貨商15家
2. 兼營期貨商20家
3. 期貨交易輔助人52家
4. 國外複委託商3家
5. 期貨自營業務31家
6. 期貨經理業務9家
7. 期貨顧問業務35家
8. 期貨信託業務9家

■執掌：為本公會最高決策機關。

■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. 會員及會員代表之除名處分。
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，亦是本公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，對外代表本公會。

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 2013, a total of 318 member representatives were registered with the Association.

■ Member companies: the Association was composed of 174 member companies at the end of 2013:

1. Specialized futures brokerage companies: 15
2. Concurrent futures brokerage companies: 20
3. Futures introducing brokers (IB): 52
4. Foreign re-engaging brokers: 3
5. Proprietary futures commission merchants: 31
6. Managed futures enterprises: 9
7. Futures advisory enterprises: 35
8. Futures trust enterprises: 9

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

■ Responsibilities:

1. To elect or recall board members or supervisors
2. To make and revise CNFA Charter
3. To approve annual working plans, budget, auditing reports, and R&D projects
4. To review proposals approved 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 executive 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.



■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. 議決本公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. 議決處分違反本公會章程第二十條規定之會員。
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；並由常務監事互推其中一人為監事會召集人。

■執掌：為本公會最高監察單位。

■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情形。
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。

■ **Responsibilities:**

1. To convene the General Assembly and execute its decisions
2. To elect or recall chairman or executive 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 3 executive supervisors among whom one was selected as convener.

■ 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 executive supervisor or supervisor
8. To handle other related issues



(四)、委員會：設有經紀業務、自營業務、顧問業務、經理業務、信託業務、紀律、教育訓練、財務、國際事務、兩岸事務、稽核暨法遵等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。

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, Discipline Committee, Education & Training Committee, Financial Committee, International Affair Committee, Cross-straits Affair Committee, and Auditing & Law Compliance Committee.

- Committee members: each committee is led by a convener, appointed by CNFA Chairman and the convener 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



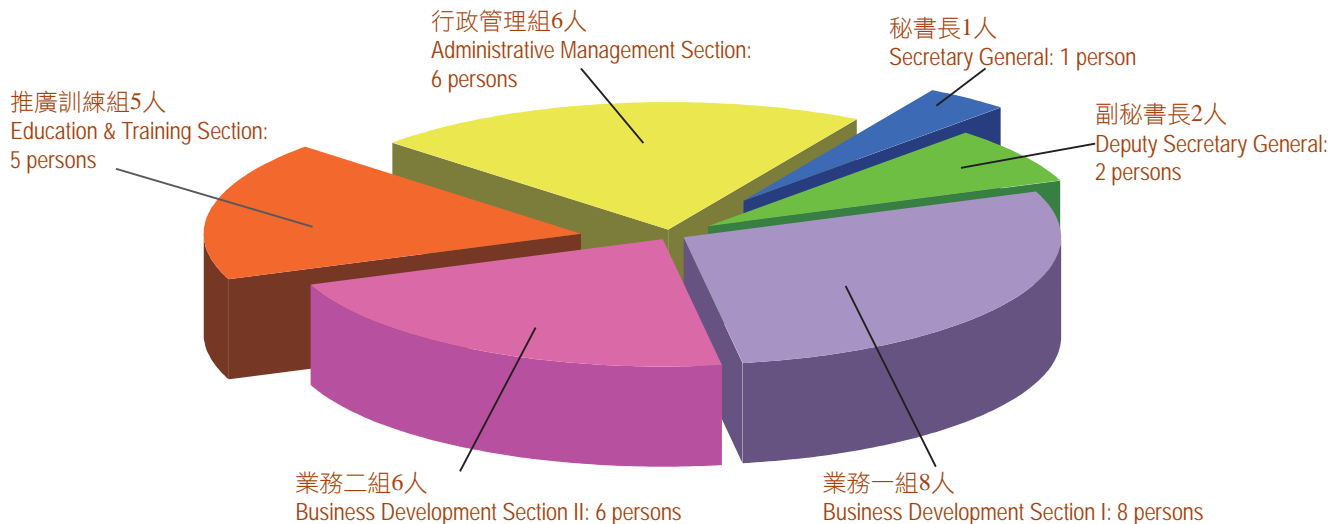
- (3) 有關編擬年度工作計劃事項。
- (4) 其他有關期貨信託業務之處理事項。
- 紀律委員會
 - (1) 有關自律公約之擬訂、執行與督促會員自律事項。
 - (2) 有關會員職業道德之規範事項。
 - (3) 其他有關會員自律之處理事項。
- 教育訓練委員會
 - (1) 辦理期貨從業人員職前訓練及在職訓練事項。
 - (2) 有關參觀、演講、講習、康樂、體育等活動之舉辦事項。
 - (3) 有關出版刊物之編輯事項。
 - (4) 有關期貨投資宣傳事項。
 - (5) 其他有關教育訓練、考試及核發證書之處理事項。
- 財務委員會
 - (1) 有關會費、事業費、經費籌措、管理與運用之研議事項。
 - (2) 有關財務之稽核事項。
 - (3) 有關預算、決算之編擬事項。
 - (4) 其他有關財務事宜之處理事項。
- 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。
- 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。

- (3) To make annual work plan for the committee
 - (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
- Education & Training Committee
 - (1) To arrange pre-job and on-job training for futures workers
 - (2) To arrange visit, speech, lecture, leisure activity, sports, among others
 - (3) To handle publishing and editing matters
 - (4) To make advertise and promotional matters
 - (5) To handle training, examination, license issuance, and other education-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
- 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
- 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) 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。
- (五) 會務人員：分為業務一、業務二、推廣訓練、行政管理等四組，由秘書長、副秘書長統籌領導。茲就各組職掌分述如下：

102年會務人員統計表
CNFA Administrative Staff in 2013



- 業務一組
辦理期貨商、期貨（證券）交易輔助人、槓桿交易商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。

- (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
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, leveraged trading, 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



- (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）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。





- (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), 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



- 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、負責人與業務員登錄及管理。
 - (7) 業務員工作證換發作業。
 - (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。



- 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





理監事名錄 Board Members and Supervisors

理事名錄

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
1	理事長 Chairman	賀鳴珩 Ted M. H. Ho	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd	董事長 Chairman
2	常務理事 Ececutive Director	呂常愷 Charles Lui	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.	董事長 Chairman
3	常務理事 Ececutive Director	李姿綺 Tzu-chi Lee	國票期貨股份有限公司 Waterland Futures Co., Ltd	總經理 President
4	常務理事 Ececutive Director	孫天山 Tim Sun	群益期貨股份有限公司 Capital Futures Corp.	董事長 Chairman
5	常務理事 Ececutive Director	張雅斐 Phoebe Chang	富邦期貨股份有限公司 Fubon Futures Co., Ltd	總經理 President
6	常務理事 Ececutive Director	莊輝耀 Huei-Yao Chuang	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	董事長 Chairman
7	常務理事 Ececutive Director	陳立 Li Chen	元富證券股份有限公司 Master Link Securities Corp.	執行副總 Executive Vice President
8	常務理事 Ececutive Director	黃奕銘 Yiming Huang	統一期貨股份有限公司 President Futures Corp.	總經理 President
9	常務理事 Ececutive Director	葉黃杞 Huang-chi Yeh	永豐期貨股份有限公司 SinoPac Futures Co.Ltd.	董事長 Chairman
10	常務理事 Ececutive Director	鄭大宇 David Cheng	康和期貨股份有限公司 Concord Futures Corp	董事 Board Member
11	常務理事 Ececutive Director	糜以雍 Falco Mi	凱基期貨股份有限公司 KGI Futures Co., Ltd	董事長 Chairman
12	理事 Director	李文柱 Wen-chu Lee	康和綜合證券股份有限公司 Concord Securities Corp.	執行長 CEO
13	理事 Director	林家進 Chia-ching Lin	國泰期貨股份有限公司 Cathay Financial Holding Co., Ltd.	總經理 President
14	理事 Director	侯青志 Chris Ho	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd	資深副總經理 Senior Vice President
15	理事 Director	洪三雄 Steven Hung	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	董事長 Chairman
16	理事 Director	耿世鈞 Shih-chun Keng	國泰期貨股份有限公司 Cathay Financial Holding Co., Ltd.	副總經理 Vice President
17	理事 Director	張禮賢 Li-hsien Chang	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	總經理 President
18	理事 Director	張鶴霖 Ho-lin Chang	凱基期貨股份有限公司 KGI Futures Co., Ltd	副總經理 Vice President
19	理事 Director	許文義 Wen-yi Hsu	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	協理 Assistant Vice President
20	理事 Director	陳孝傑 Jack Chen	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	協理 Assistant Vice President
21	理事 Director	陳瑞珏 Jui-chueh Chen	凱基期貨股份有限公司 KGI Futures Co., Ltd	總經理 President
22	理事 Director	曾幼敏 Yu-ming Tseng	美商愛德盟期貨經紀股份有限公司台灣分公司 ADM Investor Services, Inc. Taiwan Branch	經理 Manager
23	理事 Director	黃正雄 Thomas Huang	元富期貨股份有限公司 MasterLink Securities Corp	總經理 President
24	理事 Director	黃俊仁 Jun-jen Huang	統一綜合證券股份有限公司 President Securities Corp.	副總經理 Vice President

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
25	理事 Director	楊俊宏 June-hong Yang	富邦期貨股份有限公司 Fubon Futures Co., Ltd	董事長 Chairman
26	理事 Director	楊新德 Hsin-te Yang	永豐期貨股份有限公司 SinoPac Futures Co.Ltd	總經理 President
27	理事 Director	賈中道 Alex Chia	群益期貨股份有限公司 Capital Futures Corp.	總經理 President
28	理事 Director	滕青華 Ching-hua Teng	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	總經理 President
29	理事 Director	蔡鎮村 Chen -tsun Tsai	國票期貨股份有限公司 Waterland Futures Co., Ltd	副總經理 Vice President
30	理事 Director	鄭尚浩 Shang-hao Cheng	日盛證券股份有限公司 Jih Sun Securities Co., Ltd	資深協理 Senior Assistant Vice President
31	理事 Director	鄭質榮 Vincent Cheng	新加坡商華大期貨經紀有限公司台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	總經理 President
32	理事 Director	謝孟龍 Meng-lung Hsieh	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	總經理 President
33	理事 Director	顧維道 Daniel Ku	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.	副總經理 Vice President

註：以上資料以102.12.31日為準，依姓氏筆劃排序。

監事名錄

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
1	監事會召集人 Supervisor Convener	林明輝 Ming-hui Lin	日盛期貨股份有限公司 Jihsun Futures Co., Ltd	總經理 President
2	常務監事 Executive Supervisor	許人祥 Mark Hsu	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	副總經理 Vice President
3	常務監事 Executive Supervisor	陳忠憲 Stephen Chen	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	顧問 Advisor
4	監事 Supervisor	周筱玲 Hsiao-ling Chou	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd	副董事長 Vice Chairman
5	監事 Supervisor	高山燕 Clara Shan Yin KO	香港商法國興業證券股份有限公司台北分公司 SG Securities (HK) Ltd., Taipei Branch	總經理 President
6	監事 Supervisor	許瑞立 Jurry Hsu	安泰證券股份有限公司 Antay Securities Co., Ltd.	總經理 President
7	監事 Supervisor	陳明智 Min-jyh Chen	啟發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant	董事長 Chairman
8	監事 Supervisor	陳添富 Tien-fu Chen	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.	總經理 President
9	監事 Supervisor	楊金源 Chin-yuan Yang	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	董事 Board Member
10	監事 Supervisor	詹正恩 Cheng-en Chan	光和證券股份有限公司 Kuanzho Securities Corp.	董事長 Chairman
11	監事 Supervisor	謝明智 Ming-chih Hsieh	台新綜合證券股份有限公司 Taishin Securities Co., Ltd	董事 Board Member

註：以上資料以102.12.31日為準，依姓氏筆劃排序。

一、關於期貨交易法令協助推行

A. Implementation of futures-related regulations

增修定範本、規則、申報書表

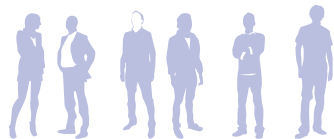
Formulating contract templates, guidelines, and report formats

修定事項 Amendments

1. 修定「期貨商受託國內當日沖銷交易自律規則」。
Made amendment to the “Self-discipline rules for futures companies in doing day-trading on behalf of clients”
2. 修定「期貨交易人以有價證券抵繳保證金自律規則」。
Made amendment to the “Self-discipline rules for futures companies in using marketable securities to pay for futures margin”
3. 修定「全權委託投資買賣期貨開戶暨受託契約」。
Revised the “Standardized contract for futures companies in opening and operating discretionary futures trading account for client”
4. 訂定「交易輔助系統之風險聲明暨使用同意書」（參考範本）。
Formulated the draft of reference template of the “Agreement letter and risk statement for application of auxiliary trading system”
5. 修定「期貨商開戶徵信作業管理自律規則」。
Made amendment to the “Self-discipline rules for futures companies in doing credit-checking for opening new futures trading account”
6. 修定「期貨商防制洗錢注意事項」範本。
Revised the reference template of the “Money laundry control guidelines for futures companies”
7. 修定「期貨業業務員登錄作業須知」。
Made amendment to the “Guidelines for futures companies in making registration of account executives”
8. 修定「期貨輸單員登記作業要點」。
Made amendments to the “Guidelines for futures companies in making registration of order key-in clerks”
9. 修正「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」。
Revised the “Reference template of contract for futures trust enterprises in commissioning other institutions for managing discretionary account of futures trust fund”

Association Affairs

10. 修正「期貨信託事業受益憑證事務處理規則」。
Made amendment to the “Guidelines for futures trust enterprises in handling beneficiary certificate matters”
11. 修正「期貨信託事業暨期貨經理事業防制洗錢注意事項範本」。
Revised the “Standardized template of money laundry control guidelines for futures trust enterprises and managed futures enterprises”
12. 修正「期貨經理事業經營全權委託期貨交易業務操作辦法」。
Made amendment to the “Guidelines for managed futures enterprises in managing discretionary futures trading account”
13. 修正「期貨信託事業暨期貨經理事業防制洗錢注意事項範本」。
Revised the “Standardized template of money laundry control guidelines for futures trust enterprises and managed futures enterprises”
14. 修正「期貨交易全權委任契約範本」。
Revised the “Reference template of contract of discretionary futures trading account”
15. 修正「全權委託交易說明書範本」。
Revised the “Reference template of prospectus for discretionary futures trading account”



研議事項 Proposals

1. 建請主管機關同意期貨商經營國外期貨交易複委託業務者得擔任其國外總公司或母公司辦理國內期貨交易之開戶、期貨交易相關權利行使、結匯之申請及繳納稅捐等各項手續之國內代理人。

Made a suggestion to the government that it should allow the futures companies which operate foreign re-engaging brokerage business to act as the domestic agent for the overseas headquarters office or parent company in opening domestic futures-trading account, exercising related rights regarding futures trading, applying for foreign exchange settlement, filing tax report, as well as handling other related issues.

2. 建請主管機關開放金融機構於證券商營業廳之款券收付處得辦理跨行匯款或轉帳之業務，以利期貨交易人辦理期貨入金。

Made a suggestion to the government that it should allow the financial institution with a business site located at the settlement area of the securities trading floor of a securities firm to make cross-bank remittance or money transfer so as to make it even more convenient for futures traders to collect payment resulted from their futures trading.

3. 建議「開放證券商得經營國外期貨交易輔助業務」，現階段建議業務範圍增加臺灣期貨交易所於歐洲期貨交易所連結掛牌交易之商品。

Made a proposal to the government that it should “open the foreign re-engaging brokerage business to securities firms” and add the TAIFEX-issued futures-related products traded on the European futures market to the list of the futures-related products opened to trading of securities firms.

4. 建請放寬專業投資人為期貨商接受授權委託之對象乙案。

Made a proposal that the government should allow professional investors to be authorized by futures companies for doing futures trading.

5. 建請期交所於該公司「期貨經紀商受託契約準則」增訂相關條文，當期貨交易人保證金專戶權益總值為負數且依規定申報違約時，期貨商得以期貨交易人帳戶相當違約損失金額之7%為上限收取違約金。

Made a suggestion to the Taiwan Futures Exchange (TAIFEX) that it should add new regulations to its “Guidelines for authorization contract of futures brokers” under which futures companies would levy breach penalty of up to 7% of the value of loss derived from transaction default of the specialized margin account where the balance has turned to be negative and the futures trader has reported default as required by the Guidelines.

6. 建請期交所修定結算保證金利息計算標準。

Made a suggestion to the TAIFEX that it should revise the interest calculation formula for settlement deposit.

7. 建請臺灣期貨交易所增加期貨交易人自行申請註銷帳戶作業方式。

Made a suggestion to the TAIFEX that it should make the procedures for futures traders to apply for account nullification by themselves.

8. 建請期交所取消「提供客戶使用應用程式介面(API)服務作業」核可標準乙案。
Made a suggestion to the TAIFEX that it should cancel the approval criteria for the “Application Program Interface (API) service offered to clients.”
9. 與證券商公會共同建議臺灣網路認證股份有限公司調降網路下單之電子交易憑證費用並修改計費方式。
Made a joint suggestion with the Taiwan Securities Association to the Taiwan CA Inc. that it should lower the charge for electronic trading certificate and revise its pricing formula.
10. 研議建請主管機關同意期貨商自行買賣之「國外期貨交易所及其種類」應與證券商自行買賣「外國有價證券之範圍」一致。
Made a suggestion to the government, requesting its approval for consistency in the “list of foreign futures exchanges and products” it has opened to the trading by domestic futures companies and those opened to domestic securities firms.
11. 研議申請新增期貨商得受託從事期貨交易之外國期貨交易種類及交易所乙案。
Proposed to apply for addition of new foreign futures and exchanges opened to the trading conducted by domestic futures companies on behalf of their clients
12. 研議建請主管機關放寬兼營期貨自營商之自有資金運用範圍及交易限額。
Made a suggestion to the government, requesting a broadened scope and a raised ceiling amount opened to the futures trading conducted by concurrent futures brokerage companies with their own funds for risk-hedging purpose.
13. 建請主管機關開放期貨自營商得從事期貨交易之國內外交易所及種類不以依期貨交易法第五條公告者為限。
Made a suggestion to the government, requesting that concurrent futures brokerage companies should not be subject to Article 5 of the Futures Trading Act, which delimits the types of futures products and exchanges (both domestic and overseas) that are opened to trading of them.
14. 研議現行期貨交易法第108條所稱「配合交易」之疑義案。
Proposed to clarify the definition of “Accommodation Trade” mentioned in Article 108 of the Futures Trading Act.
15. 建請主管機關協調財政部研議將股票期貨暨選擇權造市者因提供市場流動性在證券交易帳戶所從事避險之證券交易稅率由現行千分之3調降為千分之1。
Made a suggestion to the government that it should coordinate with the Ministry of Finance (MOF) for cutting the securities transaction tax from 0.3% to 0.1% for the transactions that futures or options market makers make for hedging the risks involved with their transactions for strengthening market liquidity.
16. 建請主管機關修正「期貨信託事業全權委託其他專業機構運用期貨信託基金應注意事項」。
Made a suggestion to the government for amendment to the “Guidelines for futures trust companies in entrusting futures trust funds to other financial institutions for discretionary account management.”



17. 建請主管機關放寬保險業投資期貨信託基金之規定及投資型保單可連結期貨信託基金。
Made a suggestion to the government for relaxing the regulations on insurance companies in making investments on futures trust funds as well as allowing Investment Link Product (ILP) to be linked with futures trust fund.
18. 研議放寬期貨信託基金量化交易四大流程限制建議案。
Made a proposal for relaxing the four major procedure limitations on Quantitative Trading made by futures trust fund.
19. 研擬有關期貨經理事業全權委託業務於共同委任之同進不同出時，委任淨值如何計算及相關作業細節內容。
Proposed the net value calculation formula as well as details of related operations that managed futures enterprises conduct for the joint discretionary account where the funds entrusted by different clients are used to make long trading at the same time, but make short trading at various times.
20. 建請主管機關調降期貨經理事業接受委任人委託交易時之資產最低限額乙案。
Made a suggestion to the government that it should lower the minimum requirement for the assets entrusted to managed futures enterprises for futures trading.
21. 建請主管機關放寬期貨經理事業自有資金運用範圍乙案。
Made a suggestion to the government that it should relax the application scope for the funds of managed futures enterprises.
22. 建請主管機關放寬期貨經理事業之分公司得辦理與總公司相同之期貨經理業務，以就近服務全權委託客戶乙案。
Made a suggestion to the government that it should allow the branch offices of managed futures enterprises to provide the same businesses as their headquarters offices so as to facilitate the channels for doing discretionary account business.
23. 研議期貨結算機構（臺灣期貨交易所兼營）擔任期貨經理事業全權委託業務保管機構乙案。
Made a proposal for the Futures Clearing House (operated by the Taiwan Futures Exchange) to act as the custodian banking institution for the fund at discretionary accounts managed by managed futures enterprises.
24. 研議期貨經理事業經營全權委託期貨交易業務，接受委託交易或投資之總金額不得超過淨值之10倍，比照證券投資信託事業證券投資顧問事業經營全權委託投資接受委託投資之總金額，不得超過其淨值之20倍規定乙案。
Proposed to delimit the total amount of the funds to be entrusted to managed futures enterprises for discretionary futures trading or investment management not to exceed 10 times of the trustee's net assets value, compared to the 20 times set for the discretionary account business of securities investment trust enterprises.

二、業務發展事項

B. Association activities

市場推廣活動 Market promotion activities

「2013年期貨業校園徵才」巡迴講座 (3/7-5/28)

本講座全省共計31所大專院校、計2,051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。

Serial futures lectures for talents recruitment on campus, 2013" (March 7-May 28)

In 2013, the campus lectures were arranged for 31 universities throughout Taiwan, participated by 2,051 students in total. It provided both the students about to be graduated and those with interest in the futures industry with the best channel to understand this industry and find answers to their questions, helping students map out blueprints for building successful careers in the futures industry.

「投資人理財講座」

(6/26、8/12、9/25、11/19、12/1)

為推廣股票期貨，活絡期貨市場，且使參與者能了解並善加運用股票期貨進行避險或策略交易，本公會再度與臺灣期貨交易所攜手合作，與工商時報、經濟日報異業結盟共同辦理「投資人理財講座」，吸引近千人參加。

"Investment & Wealth Management Lectures" (June 26, Aug. 12, Sept. 25, Nov. 19, Dec. 1)

In order to promote stock futures, activate the futures market, as well as help traders well understand stock futures and make good use of it for risk-hedging or strategic trading, the CNFA and the Taiwan Futures Exchange (TAIFEX), with co-sponsors of the Commercial times and Economic Daily News, jointly held the "Investment & Wealth Management Lectures," participated by nearly 1,000 participants.

海峽兩岸服務貿易協議金融宣導說明會 (7/11、7/26、8/01)

兩岸委員會賀召集人鳴珩、張副召集人雅斐及楊委員新德共3人受邀分別擔任「海峽兩岸服務貿易協議金融宣導說明會」台北、台中、高雄場次之與談人員，會中均對服貿協議表示支持。

"Presentation on Cross-Strait Agreement on Trade in Services and Financial Services" (July 11, July 26, Aug. 1)

For the "Presentation on Cross-Strait Agreement on Trade in Services and Financial Services," CNFA Cross-straits Affair Committee Convener Ted Ho, Deputy Convener Phoebe Chang, and Member Yang Hsin-te were invited to be discussants for Taipei, Taichung, and Kaohsiung sessions, respectively, expressing the CNFA's support to the agreement.





金彝獎選拔

堪稱國內證券期貨界一大盛事之金彝獎傑出人才及傑出公司選拔活動，自102年3月開鑼後，即受到各界注目及支持，在經過業界眾多優秀菁英激烈角逐下，本公會盧廷劼秘書長榮獲傑出市場服務人才獎。

Golden Goblet Award competition

The Golden Goblet Award competition is an important annual event for the securities and futures industries in Taiwan. From March 2013, it started to take applications, drawing much attention and support of these two industries. Through severe competition, CNFA Secretary General Lu Ting-chieh won the award of outstanding talents for market service.



期貨業務人才養成班 (9/24-10/08)

本公會於102年度舉辦第26期聯合徵才活動，本活動由臺灣期貨交易所贊助、證券暨期貨市場發展基金會執行培訓課程，再由本公會籌辦甄選作業，經電腦媒合結果共計13位學員分別予8家公司所錄取。

Futures AE training program (Sept. 24-Oct. 8)

The 26th joint talents recruitment program for 2013, held by the CNFA and sponsored by the Taiwan Futures Exchange (TAIFEX), was implemented by the Securities & Futures Institute (SFI) which offered a package of training courses for this program. At the end of these courses, the CNFA selected the qualified ones and, through computer-matching, 13 of them have been recruited to eight companies.



「股票配個股期」多空配對策略推廣活動(102/12/9-103/3/31)

為創造證券及期貨市場新動能，由期交所、證交所、證券公會及本公會共同舉辦「股票配個股期」多空配對策略推廣活動，以股票搭配個股期的策略交易為本次推廣活動重點，活動參加人數超過5萬人次。

“Matching of long and short single stock futures traders”— futures trading strategy and promotion activity (Dec. 9, 2013- March 31, 2014)

To activate the securities and futures markets, the TAIFEX, the TWSE, the CSA, and CNFA jointly held the futures trading strategy and promotion activity, namely “Matching of long and short single stock futures traders, focused on introduction of combining futures and stocks as flexible investment strategy. The activity attracted over 50,000 participants in total.





社會關懷 Social care

「102年金融服務關懷社會」園遊會 (6/1、11/30)

為推動普及金融知識，喚起民眾對金融知識的重視及對社會弱勢族群的關懷，本公會除積極參加6/1及11/30由金總統籌於嘉義及新竹辦理之關懷社會園遊會，從事教育宣導工作，並捐贈款項予弱勢團體，幫助需要關懷人士。

“Financial Service & Social Care 2013” courtyard party (June 1, Nov. 30)

In order to disseminate financial knowledge, arouse the public's attention to assets management and its care for disadvantaged groups, the CNFA supportively took part in the “Financial Service & Social Care 2013” courtyard party, which was held in two sessions in Chiayi and Hsinchu, respectively, and disseminated related information and knowledge at the activity.



政令宣導 Policy advocating

期貨商交易及風險控管機制教育宣導 (1/1-6/30)

為能順利推動「期貨商交易及風險控管機制」，本公會共辦理3場種子教官講習、12場巡迴講座、98場在職訓練，另印製海報3份及宣導手冊乙份分送會員總公司分支機構共1600處所。

“Trading and Risk Control Mechanism for Futures Companies” training course for seed instructors (Jan. 1-June 30)

In order to promote the “Trading and Risk Control Mechanism for Futures Companies,” the CNFA held three sessions of seed instructor training course, 12 sessions of serial seminar, and 98 on-job training classes, in addition to making three different posters and a handbook, copies of which have been distributed to 1,600 business sites of CNFA Members.



「洗錢防制」研討會(7/18、7/23、7/25)

本次研討會分別於台中、高雄、台北辦理3場次，共計197人參加，本公會每年舉辦研討會，藉由專家經驗分享及實務案例研討，協助從業人員遵循防制洗錢注意事項之規範。

“Money Laundry Control” seminar (July 18, July 23, July 25)

The seminars were held in three sessions in Tauchung, Kaohsiung, and Taipei, respectively, drawing 197 participants in total. The CNFA held these seminars every year to help futures workers, through experts' experience-sharing and case discussion, act in compliance with the guidelines for money laundry control.



「金融消費者保護-防範地下期貨宣導說明會」 (9/10)

本次說明會共計130人出席。為維護金融消費者權益，防範非法業者破壞期貨交易機制，詐騙交易人之情事，特別邀請專家以案例解說查緝地下期貨之事證文件及可能態樣，以減少金融消費者受騙之情事，有效打擊非法、遏止犯罪。

Presentation on “Protection of Financial Consumers—Keep Away from Underground Futures” (Sept. 10)

This activity, participated by 130 persons in total, was held to protect the rights of financial consumers and prevent illegal futures operations from destroying market mechanism or making illegitimate transactions. Experts were invited to analyze the types of underground futures operators and provide some crackdown cases as examples so as to help the public from being cheated and effectively prevent such illegal crimes.

「個人資料保護-資訊安全說明會」(11/13)

本次說明會共吸引158人參加，係為積極提升資安防護能力，保護所擁有的客戶個資之安全，防範因資通安全而衍生之犯罪情事，特別邀請資安專家，以案例解說，使從業人員對資安能有更加充分的認識及作為。

Information security presentation on “Personal Information Protection” (Nov. 13)

This activity, which drew participation of 158 persons, was arranged to help futures companies enhance their information protection capability to secure safety of their client information and prevent illegal behaviors in regard of information security. Experts were invited to give illustrating examples to help futures workers obtain full understanding of this issue and behave properly.

國際交流 International exchange

2013台北國際期貨論壇-短天期選擇權之國際發展趨勢 (4/16)

為活絡期貨市場的發展，主管機關在101年8月核准臺灣期貨交易所申請加掛臺指選擇權一週到期契約 (weekly options)，為使從業人員了解短天期選擇權在國際市場的發展現況及趨勢，本公會特邀國際間頗負盛名的專業人士，與業者共享成功寶貴之經驗，共計95位人員出席參加。

2013 Taipei International Futures Forum: the Development Trends of Short-term Options in the International Markets (April 16)

In order to activate the futures market, the regulator in August 2013 approved TAIFEX's application for listing of the weekly options of TAIFEX Index. In a bid to help associators understand the development trend of the short-term options, CNFA invited international experts from this field to share their successful experiences with local associators at this activity, which was participated by 95 persons.





理監事奧捷考察團(10/05-14)

為考察先進國家之衍生性市場發展經驗，作為業界日後經營之重要參考，並向國外同業及友人介紹我國期貨市場之現況，本公會每年均安排理監事出國參訪及交流。由於維也納及布拉格係人文、商業、藝術薈萃之區，102年特別安排理監事考察參訪該地，以協助會員與當地業者及商會人士建立合作平台，尋求商機。

Hungary and Czech trip of board members and supervisors (Oct. 5-14)

In order to observe the experience and development of the derivatives market in advanced countries as well as to introduce Taiwan experiences to the international society, the CNFA arranged overseas trips for its board members and supervisors every year. In 2013, it selected Vienna and Prague, rich in cultural, commercial, and art resources, as destinations for the trip, through which the CNFA has found interested groups and individuals there for building closer cooperative relations and helping each other seek business opportunities.



第38屆美國期貨業協會年會(3/12-14)

本公會派員參加美國期貨業協會(FIA)假美國波卡雷登(Boca Raton)舉行之第38屆年會，全球共超過30個國家、800位來自於各國主管機關、交易所、期貨業者、顧問公司、資訊廠商的高階人員參與盛會。本次年會有相當多之議題探討店頭交易之透明及客戶權益的維護。

Boca 2013, annual meeting of the Futures Industry Association, FIA (March 12-14)

The CNFA organized a delegation to attend the annual meeting of the American Futures Industry Association (FIA), held at Boca Raton. The meeting entered its 38th year in 2013, drawing nearly 800 participants from 30 countries around the world, including government officials, exchange executives, as well as representatives from futures companies, consulting firms, information technology companies, and so on. Themes for discussions at this year's meeting were focused on transparency of OTC trading and protection of consumers' interests.



兩岸往來 Cross-straits Interaction

第七屆中國期貨分析師論壇(4/13)

為促進兩岸期貨業共同發展合作，本公會前任理事長率領期貨業者及會務人員共計10人至杭州參加，以「新平臺·新機遇-期貨分析師的轉型」為主題，進行期貨資產管理、場外商品衍生品業務以及新形勢下期貨行業高端人才培養、風險管理產品創新等多項議題進行深入交流和討論。

The 7th China Derivative Analyst Forum (April 13)

In order to promote mutual development and cooperation of futures industry across the Taiwan Straits, former CNFA Chairman Falco Mi led a delegation, composed of 10 members of futures representatives and association staff workers, to attend the 7th China Derivative Analyst Forum held in Hangzhou City. Under the main theme of “New Platform, New Opportunities: Transforming of Futures Analysts” for this year, discussions about management of futures’ underlying assets, business of futures-related derivatives trading, and advanced talents cultivation in cope with new market trends, innovation of new risk-control products, etc. were proceeded during the annual event.



浙江大學來訪(8/23)

浙江大學李志文院長率領師生共11名，由國立臺北大學國際企業研究所以「提升教學品質、追求卓越研究、加強產學合作、推動國際交流」為教育目標之精神，協助規劃參訪本公會。

Visit of teaching faculty and students from Zhejiang University (Aug. 23)

A team of 11 teaching faculty members and students from Zhejiang University, led by Dean Li Zhi-wen, visited the CNFA under the invitation of the Graduate Institute of International Business, National Taipei University, which organized the activity under the goals of “promoting education quality, pursuing excellent research, strengthening cooperation, and activate international exchange.”



理監事大陸四大交易所參訪(11/03-11)

本公會賀理事長率領理事、監事及會務人員，並特別邀請臺灣期貨交易所董事長范志強等一行27人，首次共同組團參訪大陸四大期貨交易所(中國金融期貨交易所、上海期貨交易所、大連商品交易所及鄭州商品交易所)，開啟兩岸合作契機。

Visit of CNFA board members and supervisors at four major exchanges in China (Nov. 3-11)

The CNFA organized a delegation of board members and supervisors, led by Chairman Ted Ho, and invited TAIFEX chairman Tony Fan to join the 27-member delegation for a making a mainland trip to visit four major futures exchanges in China, namely China Financial Futures Exchange, GCM Asia (in Shanghai), Dalian Commodity Exchange, and Zhengzhou Commodity Exchange. It's a crucial step for making closer cross-straits cooperation for the futures industry.





理監事參加第九屆深圳國際期貨大會(12/02-04)

為加強兩岸期貨業交流，本公會賀理事長率領理監事及會務人員12人，至深圳參加「第九屆中國(深圳)國際期貨大會」，以「開放創新合作共贏」為主題，進行中國期貨及衍生品市場改革開放與創新發展、全球衍生品市場改革發展趨勢，以及衍生品市場如何更好地滿足實體經濟需求等議題之深入交流和討論。

CNFA board members and supervisors attending the 9th Annual China International Derivatives Forum (CIDF) held in Shenzhen (Dec. 2-4)

In order to promote interactions among futures industry across the Taiwan Straits, the CNFA organized a delegation of 12 board members and supervisors, led by Chairman Ted Ho, to attend the 9th Annual China International Derivatives Forum (CIDF) held in Shenzhen. Centered at the main theme of “Open and Create New Cooperation Opportunities,” the meeting proceeded with discussions at the topics of opening and innovative development of China’s futures and derivatives market, reform and development trend of global derivatives market, as well as strategies for using derivatives to satisfy the need of substantial economic activities, etc.



聯誼活動 Friendship activities

1. 理監事聯誼活動

Friendship activities for board members and supervisors

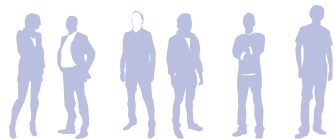
理監事聯誼-北海道之旅 (04/19-23)

Trip to Hokkaido, Japan (April 19-23)

理監事聯誼-大陸黃山之旅 (04/24-28)

Trip to Huangshan, China (April 24-28)





2. 委員會聯誼活動

Friendship activities for committee members

委員會聯誼-花蓮夢幻湖、豐田玉琢磨兩日精緻遊，共2梯次（04/13-14、04/20-21）

2-day trip to Dream Lake and Fengtien Jade DIY Workshop in Hualien County, 2 groups (April 13-14, April 20-21)



3. 會員聯誼活動（11/16）

Friendship activities for committee members (Nov. 16)

本公會每年舉辦登山健行活動，主要目的是讓平日工作壓力極大的從業人員，可以有一個釋放情緒並能同時促進親子關係的活動。本年度再次與證券投信投顧公會共同攜手擴大舉辦，藉此增進證券期貨從業人員聯誼交流；並辦理「捐發票、送愛心」活動，希望能藉以達到另一層面的教育意義並實現社會責任，本次活動共計1,200名從業人員及眷屬參與。

The CNFA holds an annual mountain hiking activity for futures workers to help them relax from work pressures and build closer family relations. This year, it once again invited the Securities Investment Trust and Consulting Association as a co-sponsor for this event, jointly promoting interactions among securities and futures workers. Meanwhile, an “invoice donation & care expression” activity was held at the same time to fulfill the social responsibilities and to add educational value to this activity which was participated by a total of 1,200 futures workers and their family members.



4.大陸地區臺籍證券期貨專業人士聯誼活動

Friendship activities for Taiwanese securities and futures workers in mainland

鑑於旅居在大陸地區期貨業工作之臺灣籍期貨從業人員與日俱增，然因工作旅居地可能相隔甚遠、往來不易，為能增進彼此間互動、交換經營心得之機會，本公會於上海、北京、深圳及海西成立顧問聯誼小組，凝聚旅陸人士。

There has seen an increasing number of Taiwanese securities and futures workers in mainland. Yet, they may rarely contact with each other due to geographical barriers. In order to promote their interactions and exchanges of points of view, the CNFA organized three groups of them in Shanghai, Beijing, and Shengzhen, respectively, to foster friendship among them.

4.1上海聯誼活動(10/13)

Friendship activity of CNFA Shanghai Group (Oct. 13)

由上海東証期貨高級顧問方世聖召集共計11人，參加旅居上海地區之臺灣籍證券、期貨從業人員交流聯誼活動。

The CNFA Shanghai Group, organized by Fang Shih-sheng, senior consultant of Orient Futures, held friendship activities for Taiwanese securities and futures workers in Shanghai and its vicinity. It's composed of 11 members as of the end of 2013.

4.2北京聯誼活動(11/12)

Friendship activity of CNFA Beijing Group (Nov. 12)

由北京第一創業期貨公司總經理吳建華召集共計9人，參加旅居北京地區之臺灣籍證券、期貨從業人員交流聯誼活動。

The CNFA Beijing Group, organized by Wu Chien-hua, president of First Capital Futures, held friendship activities for Taiwanese securities and futures workers in Shanghai and its vicinity. It's composed of 9 members as of the end of 2013.

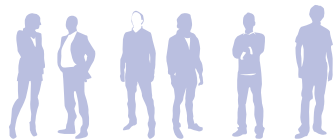
4.3深圳聯誼活動(12/24)

Friendship activity of CNFA Shengzhen Group (Dec. 24)

由深圳中信期貨金融總監謝明忠召集共計6人，參加旅居深圳地區之臺灣籍證券、期貨從業人員交流聯誼活動。

The CNFA Shengzhen Group, organized by Hsieh Ming-chung, chief supervisor of CITIC Futures, held friendship activities for Taiwanese securities and futures workers in Shanghai and its vicinity. It's composed of 6 members as of the end of 2013.





三、督促會員自律、共謀業務上改進事項

C. Self-discipline and operation improvement of member companies

1. 期貨顧問事業查察輔導事項

Inspection of futures advisory enterprises

本公會102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35家，專案查核期貨顧問事業18件。其中違反本公會「會員自律公約」，發函會員公司要求改善者11件；警告者9件；罰鍰1件。

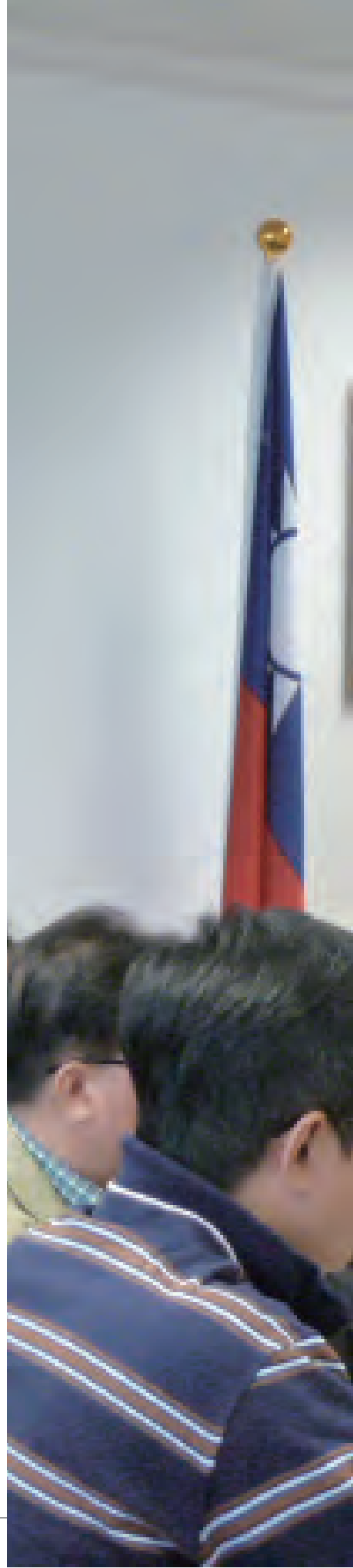
The Association made annual inspection on futures advisory enterprises and their practice of internal auditing. In 2013, it inspected 35 companies and 18 futures advisory projects. Among those found breaking the Self-discipline Agreement for CNFA Members, 11 were required to make improvement, and 9 received the Association's warning notice, 1 companies were fined for rule-violation.

2. 督促事項

Discipline matters

提紀律委員會報告者6件、討論者17件，其中處警告二次處分者2件、警告一次處分者8件、要求公司注意改善者7件、處新臺幣10萬元違約金者1件、促請會員公司加強對從業人員宣導，避免類似情形再次發生者1件。

In 2013, 6 cases were sent to the Discipline Committee for its review, in addition to another 17 for its discussion. In 2 cases, companies were disciplined with warning twice and in another 8 cases, companies were disciplined with warning once. There were 7 cases where companies were required to make improvement, 1 case where the company was fined for NT\$100,000 due to default transaction, and another 1 case where the company was required to strengthen education on staff to avoid happening of similar mistakes.



四、關於會員業務之廣告及宣傳審查事項

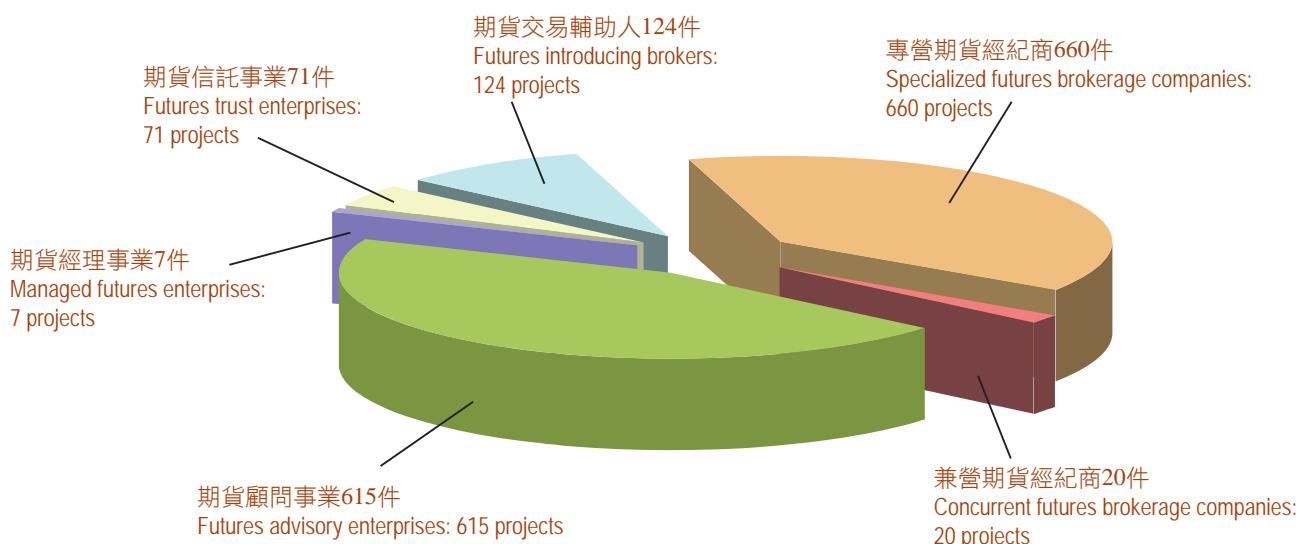
D. Inspection of advertisement and promotional materials of member companies

本公會102年度共計審核1,497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660件、兼營期貨經紀商申報20件、期貨顧問事業申報615件、期貨經理事業申報7件、期貨信託事業申報71件、期貨交易輔助人申報124件。

In 2013, the Association reviewed 1,497 projects of advertisement and promotional materials published by member companies. Among them, 660 projects were filed by the specialized futures brokerage companies, 20 by concurrent futures brokerage companies, 615 by futures advisory enterprises, 7 by managed futures enterprises, 71 by futures trust enterprises, and 124 by futures introducing brokers

102年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2013



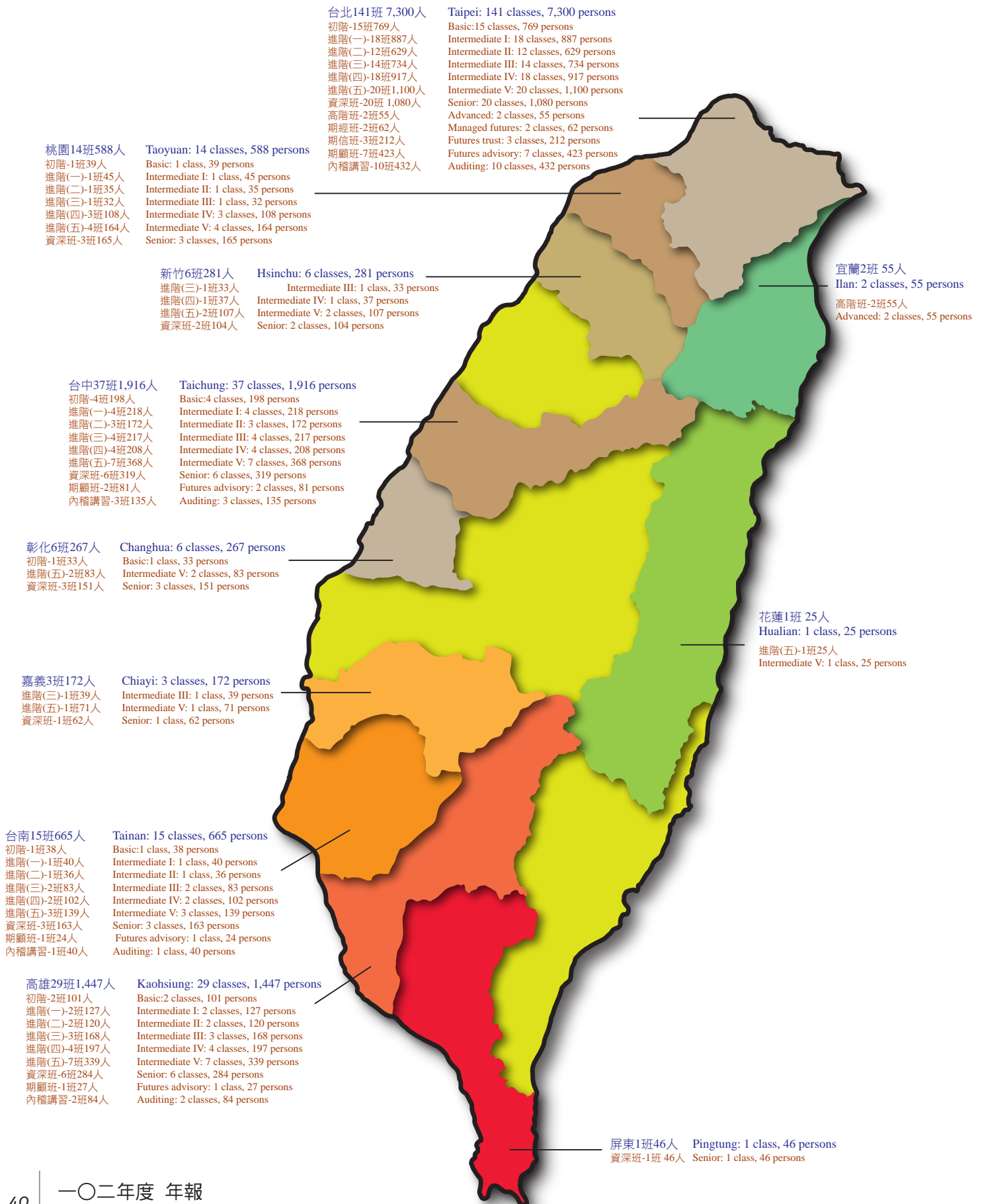


五、在職訓練

E. On-job training

102年度舉辦之地區別、班別及人數詳如下圖：

CNFA-arranged Training Courses in 2013



六、關於會員、會員代表、會員負責人及業務員基本資料之建立、登記事項

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

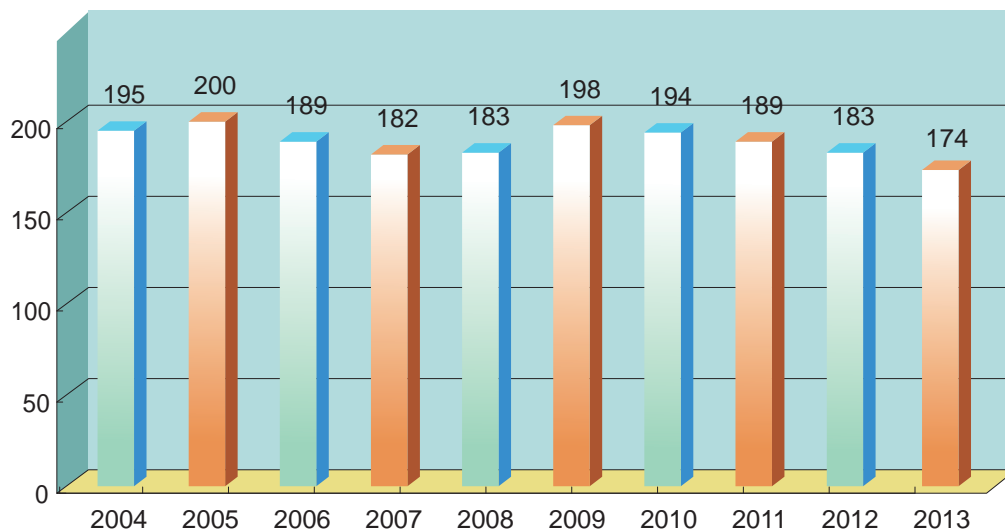
1. 會員及業務員基本資料之建立及登記事項

Registration of member companies and their business representatives

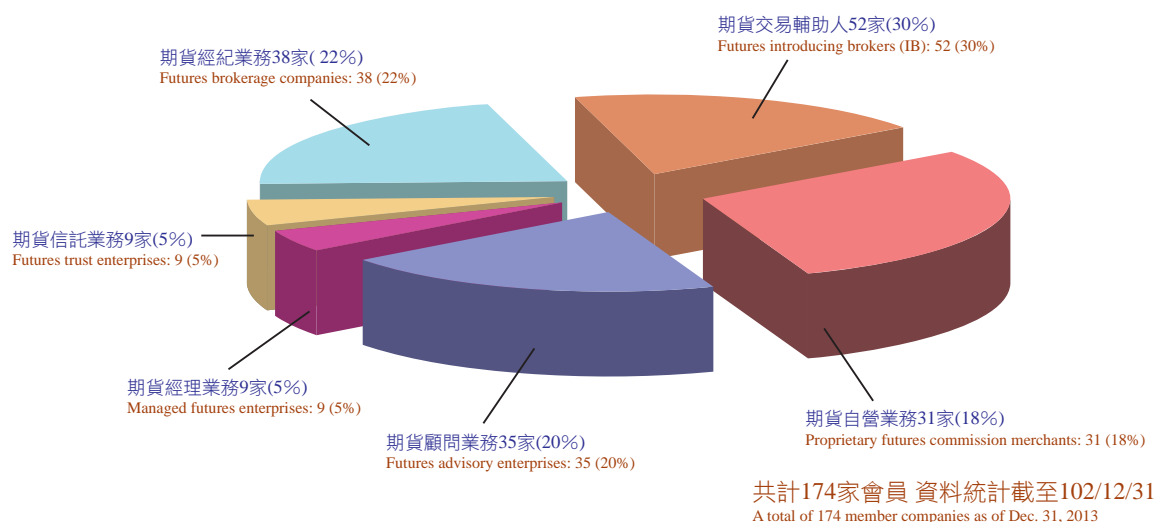
- 會員家數：共計174家，其中經營期貨經紀業務為38家(22%)；期貨業務輔助人52家(30%)；期貨自營業務31家(18%)；期貨經理業務9家(5%)；期貨顧問業務35家(20%)；期貨信託業務9家(5%)。

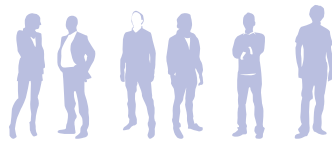
There were 174 member companies registered with the CNFA at the end of 2013: 38 (22%) futures brokerage companies, 52 (30%) futures introducing brokers, 31 (18%) proprietary futures commission merchants, 9 (5%) managed futures enterprises, 35 (20%) futures advisory enterprises, and 9 (5%) futures trust enterprises.

近10年會員家數統計圖
Statistics of CNFA Member Companies over Past 10 Years



102年度會員類別統計圖
Statistics of CNFA Member Companies in 2013, by Business Category



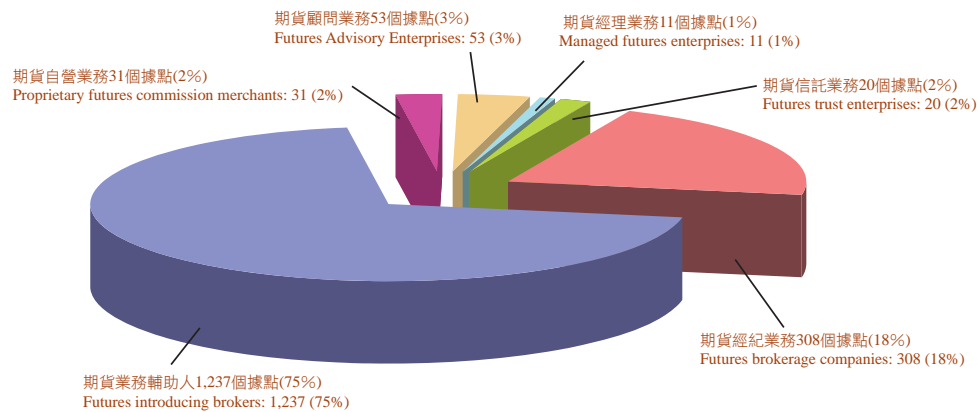


- 會員總分公司分支機構數：共計1,660家，其中經營期貨經紀業務為308個營業據點(18%)；期貨業務輔助人1,237個營業據點(75%)；期貨自營業務31個營業據點(2%)；期貨經理業務11個營業據點(1%)；期貨顧問業務53個營業據點(3%)；期貨信託業務20個營業據點(1%)。

CNFA Member Companies were operated with a total of 1,660 headquarters offices and branch offices as of the end of 2013: 308 used by futures brokers (18%), 1,237 used by introducing brokers (75%), 31 used by proprietary futures commission merchants (2%), 11 used by managed futures enterprises (1%), 53 used by futures advisory enterprises (3%), and 20 used by futures trust enterprises (1%)

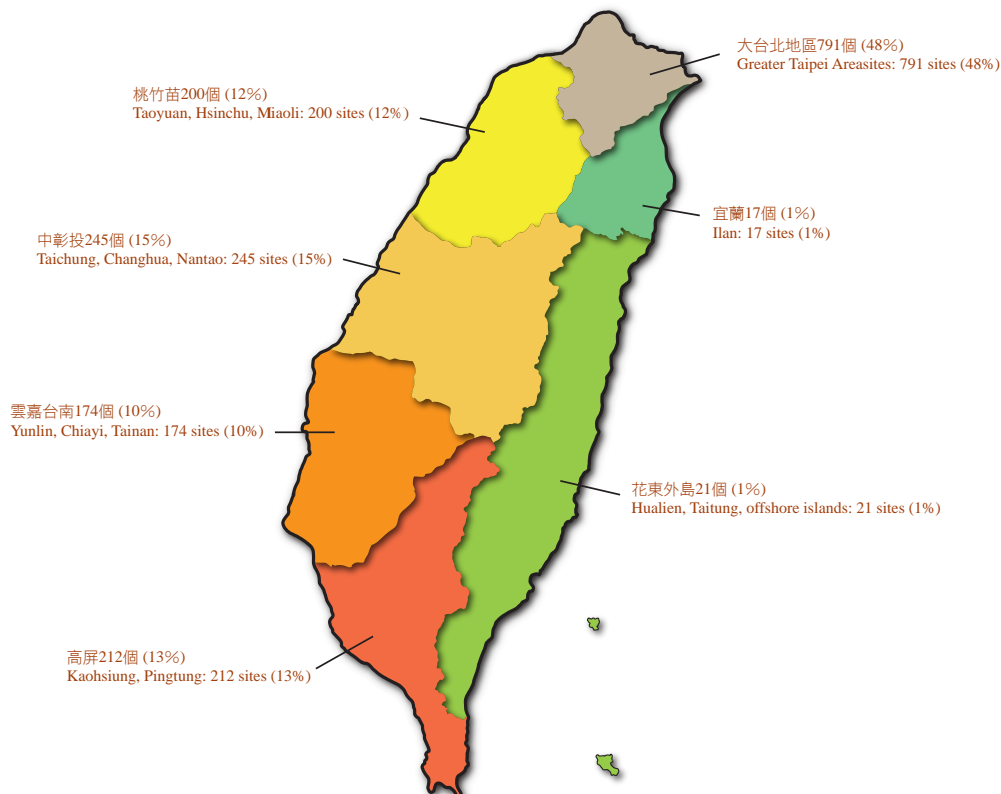
會員營業據點統計圖

Business Sites of CNFA Member Companies in 2013



102年度會員營業據點區域分布統計圖

Geographical Location of Business Sites of CNFA Member Companies in 2013

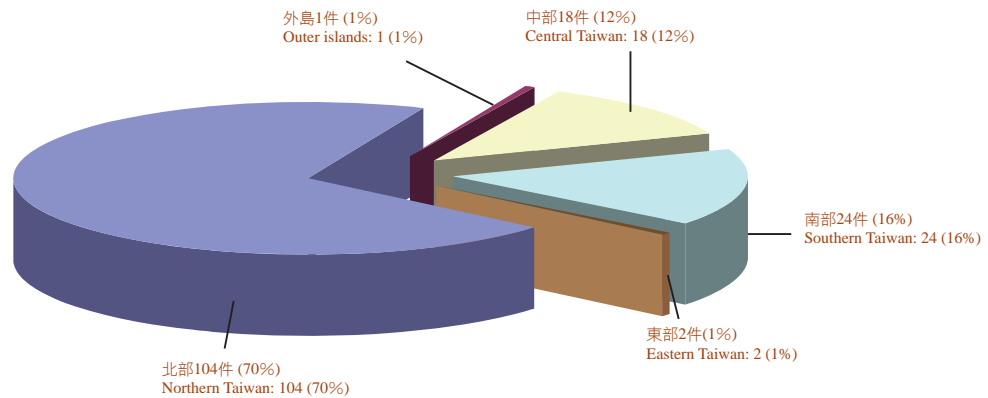


● 會員場地勘察 Business site inspection

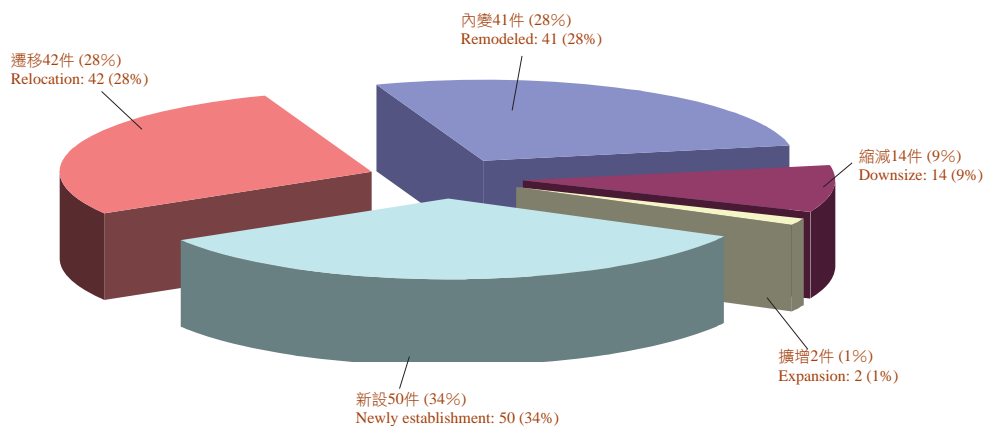
102年度共計149件場勘案(北部地區104件、中部地區18件、南部地區24件、東部地區2件、外島1件)，就其場勘案件分析，新設營業處所50件(34%)、遷移營業處所42件(28%)、縮減營業處所14件(9%)、擴增營業處所2件(1%)、營業處所內部配置變動41件(28%)。

The Association conducted a total of 149 business site inspection projects in 2013 (104 in northern Taiwan, 18 in central Taiwan, 24 in southern Taiwan, 1 in eastern Taiwan). Among these inspected sites, 50 (34%) were newly established, 42 (28%) were relocated, 14 (9%) were downsized, 2 (1%) were expanded, and 41 (28%) were remodeled.

102年度場地勘察區域分布統計圖
Geographical Areas of Inspected Business Sites in 2013



102年度場地勘察類別統計圖
Statistics of Business Site Inspection Projects in 2013

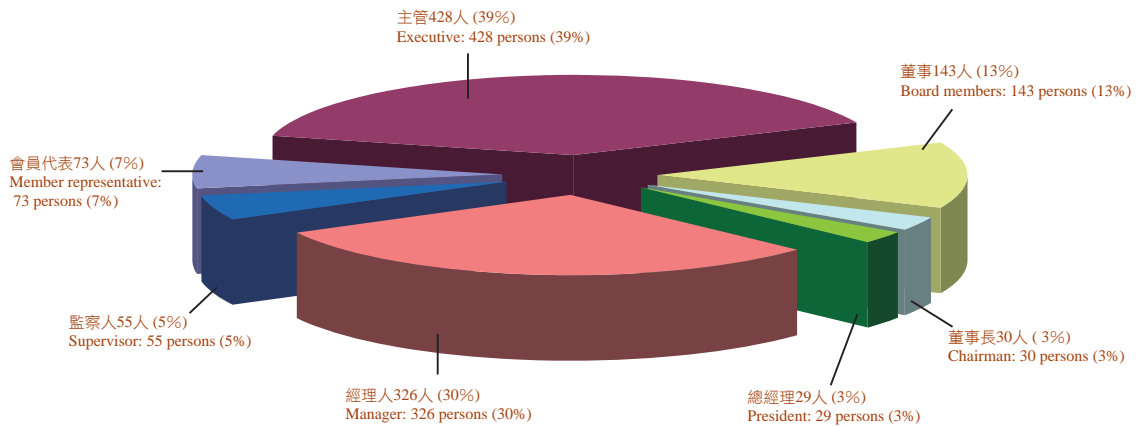




2. 會員委託證照之申請變更、換領及其他服務事項
Certificate renewal, change, and other related services

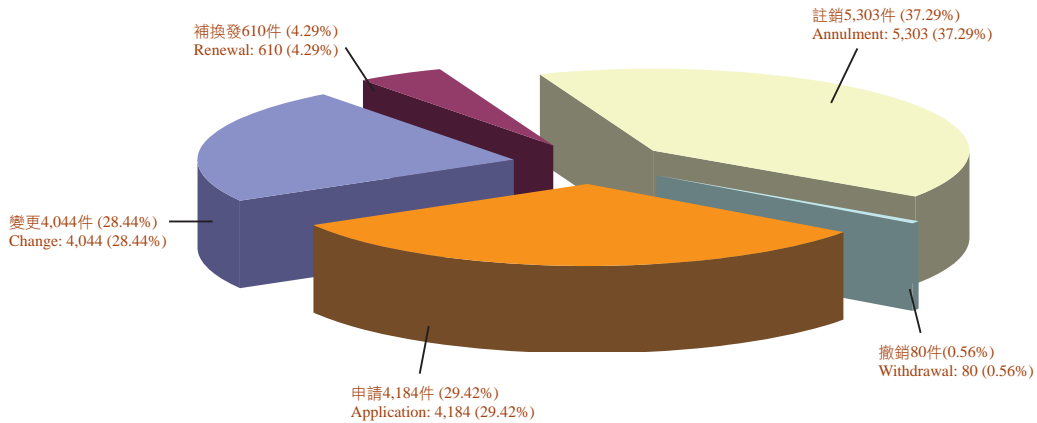
- 會員代表、會員負責人102年度於本公會異動登錄共計1,084人次，細分如下：
In 2013, the Association handled a total of 1,084 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies

102年度身分類異動統計圖
Position Change Statistics for 2013

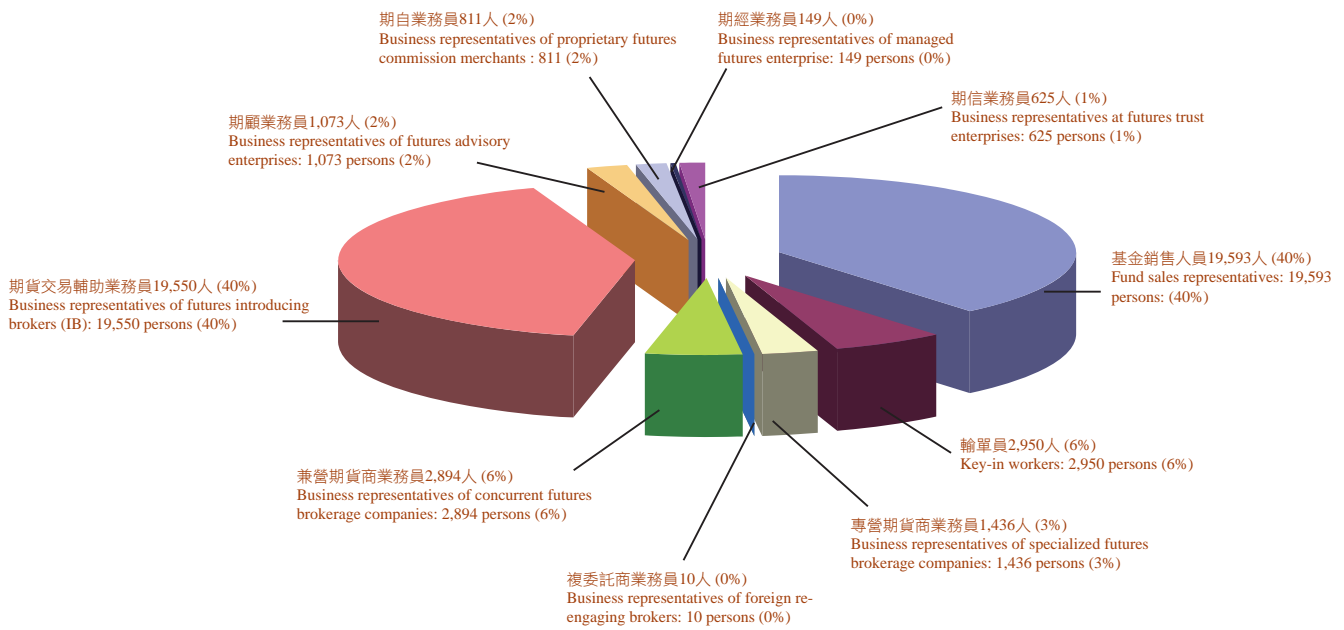


- 業務員、輸單員102年度於本公會異動登錄共計14,221件，每月平均1,185件
In 2013, the Association handled a total of 14,221 business representative and key-in worker enrollment cases, with an average of 1,185 cases per month

102年度業務異動類別統計圖
Job Change Registrations in 2013



102年度從業人員登記統計圖
Business Category Change of Staff at CNFA Member Companies in 2013





七、本公會出版品 G. Publications

1. 會訊 Newsletter

2. 期貨人季刊 Futures Journal



3. 政令宣導 Policy Advocating

製作手提袋、保溫瓶、拭鏡布及掛鉤分送在職訓練學員，以推廣「合法期貨」標章。

The Association made handbags, thermos bottles, lens wipers, and hangers as gifts for students at the training courses, each with print of the logo of “Legitimate Futures.”



4. 海報 Poster



5. 摺頁及手冊 DM & Handbook



伍

財務報告



會計師查核報告

(103)財審報字第 13002528 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 102 年及 101 年 12 月 31 日之資產負債表及財產目錄，暨民國 102 年及 101 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 102 年及 101 年 12 月 31 日之資產負債狀況，暨民國 102 年及 101 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

賴亭羲



中華民國 103 年 2 月 25 日

Independent Auditor's Report

To: Chinese National Futures Association

Feb. 25, 2013

We have audited the balance sheet and assets list of the Chinese National Futures Association (CNFA) as of the end of 2013 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, 2013 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

Chinese National Futures Association
Balance Sheet

Dec. 31, 2013 & Dec. 31, 2012

Unit: NT\$

	Dec. 31, 2013		Dec. 31, 2012		Liabilities, funds, and surplus	Dec. 31, 2013		Dec. 31, 2012	
	Amount	%	Amount	%		Amount	%	Amount	%
Assets									
Current assets									
Cash & bank deposit (Note 3-1)	\$ 25,808,367	5	\$ 24,796,355	5	Payables (Note 3-7)	\$ 16,911,852	3	\$ 15,468,154	3
Securities (Note 3-2)	57,374,579	11	57,014,579	11	Receipts under custody	251,241	-	276,639	-
Accounts receivable (Note 3-3)	5,202,061	1	5,096,197	1	Temporary receipts	177,045	-	79,905	-
Pre-payments	298,318	-	292,734	-					
Sub-total of current assets	88,683,325	17	87,199,865	17	Sub-total of current liabilities	17,340,138	3	15,824,698	3
Funds									
Development fund at special bank account (Note 3-4)	83,366,741	17	82,512,347	16	Other liabilities				
Pension fund at special bank account (Note 3-5)	17,640,053	3	14,936,039	3	Deposits received Fund	60,660,000	12	64,620,000	13
Sub-total of funds	106,006,794	20	97,448,386	19	Total of liabilities	78,000,138	15	80,444,698	16
Fixed assets (Note 3-6)									
Land	133,989,345	26	133,989,345	26	Funds and surplus				
Buildings	107,770,320	21	107,770,320	21	Funds				
OA equipment	16,899,615	3	13,249,615	3	Development fund	92,686,741	18	87,232,347	17
Transportation equipment	-	-	-	-	Pension fund	19,919,517	4	17,426,887	3
Other facilities	3,194,690	1	3,194,690	1	Assets fund	263,446,180	51	259,795,960	51
Office facilities	1,591,990	-	1,591,990	-	Sub-total of funds	376,052,438	73	364,455,194	71
Unfinished construction	-	-	-	-					
Sub-total of fixed assets	263,466,180	51	259,795,960	51					
Other assets									
Refundable deposits	55,300	-	58,300	-	Accumulated balance (Note 3-9)	64,222,619	12	63,587,179	13
Self-discipline fund at special bank account	60,660,000	12	64,620,000	13	Balance for this period	576,404	-	635,440	-
Sub-total of other assets	60,715,300	12	64,678,300	13	Sub-total of surplus	64,799,023	12	64,222,619	13
Total assets	\$ 518,851,599	100	\$ 509,122,511	100	Total of funds and surplus	440,351,461	85	428,677,813	84
					Total liabilities, funds and surplus	\$ 518,851,599	100	\$ 509,122,511	100

Please refer to the following notes as part of the statement

中華民國期貨業商業同業公會

收支決算表

民國102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	\$ 7,200	\$ 7,200	\$ -	\$ -	
常年會費收入	2,139,200	2,052,000	87,200	-	
業務費收入(附註三(十))	75,695,314	86,366,800	-	(10,671,486)	註1
利息收入	1,700,585	1,667,000	33,585	-	
委託收入	16,215,177	17,907,000	-	(1,691,823)	註2
其他收入	260,952	-	260,952	-	
收入合計	96,018,428	108,000,000	381,737	(12,363,309)	
經費支出					
人事費	34,960,953	35,287,000	-	(326,047)	
辦公費	6,293,662	7,684,000	-	(1,390,338)	註3
業務費	40,376,663	44,425,000	-	(4,048,337)	註4
購置費	3,905,197	10,000,000	-	(6,094,803)	註5
團體會費	1,070,000	1,070,000	-	-	
什項支出	748,511	810,000	-	(61,489)	
預備金	-	540,000	-	(540,000)	註6
基金提存(附註三(十一))	8,087,038	8,184,000	-	(96,962)	
支出合計	95,442,024	108,000,000	-	(12,557,976)	
本期餘絀(稅前)	576,404	-	-	576,404	
所得稅費用(附註三(八))	-	-	-	-	
本期餘絀(稅後)	\$ 576,404	\$ -	\$ -	\$ 576,404	

後附會計報告附註為本報告之一部分，請併同參閱

- 註1：業務費收入減少，主係經理監事會議決，自本期10月起視結餘情況調整折扣數所致。
 註2：委託收入減少，主係因會員之在職訓練人數較去年減少所致。
 註3：辦公費減少，主係擇節辦公費用支出所致。
 註4：業務費減少，主係因預估之研究專案未全數執行所致。
 註5：購置費減少，主係預計購置之公會電子會務系統並未購置所致。
 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：

張佩瑜

Chinese National Futures Association
Income Statement
Jan. 1-Dec. 31, 2013

Unit: NT\$

Item	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
			Increase	Decrease	
Revenue					
Entry fees	\$ 7,200	\$ 7,200	\$ -	\$ -	
Annual membership fees	2,139,200	2,052,000	87,200	-	
Business promotion fees (Note 3-10)	75,695,314	86,366,800	-	(10,671,486)	Note 1
Interest income	1,700,585	1,667,000	33,585	-	
Income from entrusted projects	16,215,177	17,907,000	-	(1,691,823)	Note 2
Miscellaneous income	<u>260,952</u>	<u>-</u>	<u>260,952</u>	<u>-</u>	
Total revenue	<u>96,018,428</u>	<u>108,000,000</u>	<u>381,737</u>	<u>(12,363,309)</u>	
Expenses					
Personnel expense	34,960,953	35,287,000	-	(326,047)	
Administration expense	6,293,662	7,684,000	-	(1,390,338)	Note 3
Business expense	40,376,663	44,425,000	-	(4,048,337)	Note 4
Procurement expense	3,905,197	10,000,000	-	(6,094,803)	Note 5
Association activity fee	1,070,000	1,070,000	-	-	
Miscellaneous items	748,511	810,000	-	(61,489)	
Advance cash	-	540,000	-	(540,000)	Note 6
Fund deposit (Note 3-11)	<u>8,087,038</u>	<u>8,184,000</u>	<u>-</u>	<u>(96,962)</u>	
Total expense	<u>95,442,024</u>	<u>108,000,000</u>	<u>-</u>	<u>(12,557,976)</u>	
Pre-tax balance	576,404	-	-	576,404	
Income tax (Note 3-8)	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	
After-tax balance	<u>\$ 576,404</u>	<u>-</u>	<u>\$ -</u>	<u>\$ 576,404</u>	

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

1. Income of business fees decreased due to the new policy approved at the meeting of board members and supervisors, under which discount would be adjusted along with the balance, starting from October 2013.
2. Income of commission projects decreased due to decrease in the number of trainees for on-job training program.
3. Administration fee decreased mainly due to the cut in budget.
4. Income of business activity fees decreased because some research projects have not been completed within 2013.
5. Procurement expenditure decreased mainly because the installation of electronic administration system has not been completed.
6. Provisions decreased because there were no special conditions for extra expenditure.

陸

大事紀要

大事紀要

起日	項目
01/23	第3屆理監事第1次臨時聯席會議 The 1st extraordinary joint meeting of board members and supervisors of the 3rd installment
01/24	期貨商交易及風險控管機制種子教官培訓講習-高雄場 “Trading and Risk Control Mechanism for Futures Companies” training course for seed instructors—Kaohsiung session
01/30	期貨商交易及風險控管機制種子教官培訓講習-台北場 “Trading and Risk Control Mechanism for Futures Companies” training course for seed instructors—Taipei session
01/31	期貨商交易及風險控管機制種子教官培訓講習-台中場 “Trading and Risk Control Mechanism for Futures Companies” training course for seed instructors—Taichung session
02/22	第3屆理監事第16次聯席會議 The 16th joint meeting of board members and supervisors of the 3rd installment
03/06	期貨商交易及風險控管機制巡迴講座-花蓮場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Hualien session
03/11	FIA Boca會議 Boca 2013: annual meeting of the Futures Industry Association (FIA)
03/13	期貨商交易及風險控管機制巡迴講座-高雄場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Kaohsiung session
03/13	期貨業校園徵才巡迴講座-元智大學 Serial futures lectures for talents recruitment on campus—Yuan Ze University
03/18	期貨業校園徵才巡迴講座-明道大學 Serial futures lectures for talents recruitment on campus—Mingdao University
03/18	期貨業校園徵才巡迴講座-真理大學 Serial futures lectures for talents recruitment on campus—Aletheia University
03/20	期貨業校園徵才巡迴講座-義守大學 Serial futures lectures for talents recruitment on campus—I-Shou University
03/21	期貨商交易及風險控管機制巡迴講座-嘉義場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Chiayi session
03/25	期貨業校園徵才巡迴講座-景文科大 Serial futures lectures for talents recruitment on campus—Jinwen University of Science and Technology
03/26	期貨業校園徵才巡迴講座-中興大學 Serial futures lectures for talents recruitment on campus—National Chung Hsing University
03/27	期貨商交易及風險控管機制巡迴講座-台南場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Tainan session

Chronicle

起日	項目
03/28	期貨業校園徵才巡迴講座-宜蘭大學 Serial futures lectures for talents recruitment on campus—National Ilan University
03/28	期貨業校園徵才巡迴講座-靜宜大學 Serial futures lectures for talents recruitment on campus—Providence University
04/01	期貨業校園徵才巡迴講座-樹德科大 Serial futures lectures for talents recruitment on campus—Shu-te University
04/02	期貨商交易及風險控管機制巡迴講座-彰化場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Changhua session
04/02	期貨業校園徵才巡迴講座-元培科大 Serial futures lectures for talents recruitment on campus—Yuanpei University
04/02	期貨業校園徵才巡迴講座-大葉大學 Serial futures lectures for talents recruitment on campus—Dayeh University
04/03	期貨業校園徵才巡迴講座-輔英科大 Serial futures lectures for talents recruitment on campus—Fooyin University
04/09	期貨業校園徵才巡迴講座-長庚大學 Serial futures lectures for talents recruitment on campus—Chang Gung University
04/09	期貨業校園徵才巡迴講座-玄奘大學 Serial futures lectures for talents recruitment on campus—Hsuan Chuang University
04/10	期貨商交易及風險控管機制巡迴講座-台中場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Taichung session
04/10	期貨業校園徵才巡迴講座-中原大學 Serial futures lectures for talents recruitment on campus—Chung Yuan Christian University
04/11	第3屆理監事第17次聯席會議 The 17th joint meeting of board members and supervisors of the 3rd installment
04/12	期貨業校園徵才巡迴講座-萬能科大 Serial futures lectures for talents recruitment on campus—Vanung University
04/13	2013第七屆中國期貨分析師論壇-糜前理事長擔任與談人 China Derivative Analyst Forum 2013 where former CNFA Chairman Falco Mi acted as a discussant
04/13	委員會花蓮聯誼活動 Friendship activity of committee members in Hualien
04/16	「2013台北國際期貨論壇-短天期選擇權之國際發展趨勢」 Taipei International futures Forum 2013: Development Trend of Short-term Options on International Markets



起日	項目
04/17	期貨商交易及風險控管機制巡迴講座-新竹場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Hsinchu session
04/18	期貨業校園徵才巡迴講座-醒吾科大 Serial futures lectures for talents recruitment on campus—Hsing Wu University
04/19	理監事大陸黃山聯誼活動 Friendship activity of board members and supervisors in Huangshan, China
04/20	委員會花蓮聯誼活動 Friendship activity of committee members in Hualien
04/24	期貨商交易及風險控管機制巡迴講座-桃園場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies—Taoyuan session
04/24	期貨業校園徵才巡迴講座-開南大學 Serial futures lectures for talents recruitment on campus—Kainan University
04/24	期貨業校園徵才巡迴講座-崑山科大 Serial futures lectures for talents recruitment on campus—Kun Shan University
04/24	理監事北海道聯誼活動 Friendship activity of board members and supervisors in Hokkaido, Japan
04/25	期貨業校園徵才巡迴講座-東海大學 Serial futures lectures for talents recruitment on campus—Tunghai University
04/25	期貨業校園徵才巡迴講座-朝陽科大 Serial futures lectures for talents recruitment on campus—Chaoyang University of Technology
04/25	深圳期貨同業協會來訪 Visit of futures delegation from Shenzheng
05/01	102年度證券期貨盃高爾夫球賽 Futures & Securities Golf Championship 2013
05/02	期貨商交易及風險控管機制巡迴講座-宜蘭場 Series lecture on futures company’s trading and risk control—Ilan session
05/02	期貨業校園徵才巡迴講座-佛光大學 Serial futures lectures for talents recruitment on campus—Fo Kuang University
05/08	期貨商交易及風險控管機制巡迴講座-台北1場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Taipei 1st session
05/08	期貨業校園徵才巡迴講座-明新科大 Serial futures lectures for talents recruitment on campus—Mingshin University of Science and Technology

起日	項目
05/08	期貨業校園徵才巡迴講座-中國科大 Serial futures lectures for talents recruitment on campus—China University of Technology
05/10	期貨業校園徵才巡迴講座-德明財經科大 Serial futures lectures for talents recruitment on campus—Takming University of Science and Technology
05/14	期貨業校園徵才巡迴講座-健行科大 Serial futures lectures for talents recruitment on campus—Chien Hsin University of Science and Technology
05/15	期貨業校園徵才巡迴講座-東吳大學 Serial futures lectures for talents recruitment on campus—Soochow University
05/15	期貨業校園徵才巡迴講座-暨南國際大學 Serial futures lectures for talents recruitment on campus—National Chi Nan University
05/24	第3屆理監事第18次聯席會議 The 18th joint meeting of board members and supervisors of the 3rd installment
05/18	期貨商交易及風險控管機制巡迴講座-台北2場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Taipei 2nd session
05/20	期貨業校園徵才巡迴講座-中華大學 Serial futures lectures for talents recruitment on campus—Chung Hua University
05/22	期貨商交易及風險控管機制巡迴講座-台北3場 Serial lectures on “Futures Trading and Risk Control Mechanism for Futures Companies”—Taipei 3rd session
05/22	期貨業校園徵才巡迴講座-稻江管理學院 Serial futures lectures for talents recruitment on campus—Toko University
05/29	期貨業校園徵才巡迴講座-聖約翰科大 Serial futures lectures for talents recruitment on campus—St. John’s University
06/01	「102年金融服務關懷社會」園遊會-嘉義場 “Financial Service & Social Care 2013” courtyard party in Chiayi
06/14	第4屆第1次會員大會 The 1st General Assembly of CNFA Members of the 4th installment
06/14	第4屆理事會第1次會議 The 1st meeting of board members of the 4th installment
06/14	第4屆監事會第1次會議 The 1st meeting of supervisors of the 4th installment
07/11	海峽兩岸服務貿易協議金融宣導說明會-台北場(兩岸事務委員會賀召集人擔任與談人) Presentation on Cross-Strait Agreement on Trade in Services and Financial Services—Taipei session (Convener Ted Ho of Cross-straits Affair Committee acted as discussant)



起日	項目
07/18	洗錢防制研討會-台中場 Money Laundry Control Seminar—Taichung session
07/23	洗錢防制研討會-高雄場 Money Laundry Control Seminar—Ksohsiung session
07/25	洗錢防制研討會-台北場 Money Laundry Control Seminar—Taipei session
07/26	海峽兩岸服務貿易協議金融宣導說明會-台中場(兩岸事務委員會張副召擔任與談人) Presentation on Cross-Strait Agreement on Trade in Services and Financial Services—Taichung session (Deputy Convener Phoebe Chang of Cross-straits Affair Committee acted as discussant)
08/01	海峽兩岸服務貿易協議金融宣導說明會-高雄場(兩岸事務委員會委員楊新德擔任與談人) Presentation on Cross-Strait Agreement on Trade in Services and Financial Services—Taichung session (Mr. Yang Hsin-teh of Cross-straits Affair Committee acted as discussant)
08/09	金彝獎頒獎典禮 Golden Goblet Award Ceremony
08/12	「股期轉動 期海飛揚」投資人理財講座 Investment & wealth management lecture on “Rotating Stocks & Flying Futures”
08/16	第4屆理監事第1次聯席會議 The 1st joint meeting of board members and supervisors of the 4th installment
08/23	浙江大學師生來訪 Visit of teaching faculty and students from Zhejiang University
09/10	「金融消費者保護-防範地下期貨」宣導說明會 Presentation on “Protection of Financial Consumers—Keep Away from Underground Futures”
09/24	期貨業務人才養成班甄選活動 Trainee selection activity for futures AE training program
09/25	「期貨新藍海」投資人理財講座 Investment & wealth management lecture on “New Blue Ocean of Futures Market”
10/05	理監事奧捷考察 Business trip of board members and supervisors to Hungary and Czech Republic
10/13	大陸地區臺籍證券期貨專業人士上海聯誼活動 Friendship activity of Taiwanese securities and futures workers in Shanghai
10/18	第4屆理監事第2次聯席會議 The 2nd joint meeting of board members and supervisors of the 4th installment
11/03	理監事大陸四大交易所考察 Visit of board members and supervisors at four major exchanges in China

起日	項目
11/12	大陸地區臺籍證券期貨專業人士北京聯誼活動 Friendship activity of Taiwanese securities and futures workers in Beijing
11/13	「個人資料保護-資訊安全說明會」 Information security presentation on “Personal Information Protection”
11/13	第4屆理監事第3次聯席會議 The 3rd joint meeting of board members and supervisors of the 4th installment
11/16	從業人員虎山登山健行聯誼活動 Friendship hiking activity of futures workers in Tiger Mountain
11/19	「期股相當 投資有道」投資人理財講座 Investment & wealth management lecture on “Futures and Securities, Investment Vehicles”
11/25	期貨公會接受內政部授獎儀式 MOI award ceremony where CNFA was one of the winners
11/30	「102年金融服務關懷社會」園遊會-新竹場 “Financial Service & Social Care 2013” courtyard party in Hsinchu
12/01	「期股相當 贏先機」投資人理財講座 Investment & wealth management lecture on “Futures and Securities, Investment Opportunities”
12/01	理監事深圳年會考察團 Business trip of CNFA board members and supervisors to attend the 9th Annual China International Derivatives Forum (CIDF) held in Shenzhen
12/09	「個股期多空配對」活動記者會 Press conference on activity of “Matching of long and short single stock futures traders”
12/10	「個股期多空配對」推廣及交易策略說明會-台中場 “Matching of long and short single stock futures traders”—futures trading strategy and promotion activity—Taichung
12/12	「個股期多空配對」推廣及交易策略說明會-高雄場 “Matching of long and short single stock futures traders”—futures trading strategy and promotion activity—Kaohsiung
12/16	「個股期多空配對」推廣及交易策略說明會-台北場 “Matching of long and short single stock futures traders”—futures trading strategy and promotion activity—Taipei
12/20	第4屆理監事第4次聯席會議 The 4th joint meeting of board members and supervisors of the 4th installment
12/24	大陸地區臺籍證券期貨專業人士深圳聯誼活動 Friendship activity of Taiwanese securities and futures workers in Shengzhen

柒

會員名錄

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 Financial Holding Co., Ltd.	106 台北市敦化南路二段333號19樓部份 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., 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 Co.Ltd	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 台北市重慶南路一段2號6樓部分、12樓及13樓 6F., No.2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei City 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 台北市松山區南京東路五段188號8樓、8樓之1、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
F007	日盛期貨股份有限公司 Jihsun 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B1-1 B1, 8, Tong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.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樓之7、8、9 3F, 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw/
F018	元富期貨股份有限公司 MasterLink Securities 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://futures.masterlink.com.tw/
F020	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-27002888	02-27551532	http://www.capitalfutures.com.tw/
F021	元大實來期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路三段225號11樓、11樓之1、2、3及12樓、12樓之1、2、3 11F.-1, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	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樓及3樓之1 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
F029	康和期貨股份有限公司 Concord Futures Corp	105 台北市復興北路143號5樓、6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 台北市中正區忠孝東路二段95號2樓 2F, 95 Sec.2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-23278895	02-23278879	http://www.megafutures.com.tw/
F034	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.	100 台北市杭州南路1段19號12樓 12F, 19 Sec. 1, Hangjhou S. Rd., Taipei 100, Taiwan	02-23570777	02-23578392	http://www.optiver.com.au/
F039	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220 新北市板橋區東門街30之2號9樓 9F, 30-2, Tung-men St., Panchiao, New Taipei City 220, Taiwan	02-29601066	02-29657707	http://www.dcnf.com.tw/
R201	美商愛德盟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.odmis.com
R208	新加坡商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
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, TidingBlvd, Taipei 114, Taiwan	02-26561111	02-26561212	http://www.ibts.com.tw/
S126	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/
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樓部份、17樓部份 9F, 207 Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-23763766	02-23763740	http://www.ml.com

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S147	台灣摩根士丹利證券股份有限公司 Morgan stanley taiwan limited.	106 台北市敦化南路二段207號22樓 22F., No.207, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-27302888	02-27302804	http://www.morganstanley.com
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	香港商德意志證券亞洲有限公司台北分公司 Deutsche Securities Asia Limites, Taipei Branch	106 台北市仁愛路4段296號13樓 13F, 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-21922888	02-37078473	建置中
S159	花旗環球證券股份有限公司 Citigroup Global Markets Taiwan Securities Company Limited	110 台北市松智路1號14樓 14F, 1, Songzhi Rd., Taipei 110, Taiwan	02-87269000	02-87254755	http://www.citigroup.com
S165	新加坡商瑞銀證券股份有限公司台北分公司 UBS Securities Pte.Ltd., Taipei Branch	110 台北市松仁路7號5樓 5F, 7, Sung Jen Rd., Taipei 110, Taiwan	02-87227200	02-87227230	http://www.ubs.com
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/
S526	大慶證券股份有限公司 Ta Ching Securities Co., Ltd.	104 台北市民生東路2段176號4樓 4F, 176, Sec.2, Ming Sheng E. Rd., Taipei 104, Taiwan	02-25084888	02-25066545	http://www.tcstock.com.tw/
S538	第一金證券股份有限公司 First Securities Inc	104 台北市長安東路一段22號2樓 2F, 22., Sec. 1, Chang'an E. Rd., Taipei City 104, Taiwan	02-25379722	02-25635713	http://www.ftsi.com.tw
S601	犇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.ctbcsec.com/
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	http://www.yucn.com.tw/
S653	大眾綜合證券股份有限公司 Ta Chong Securities Co., Ltd.	807 高雄市壽昌路93號2樓 2F, 93, Shou Chang Rd., Kaohsiung 807, Taiwan	07-3871166	07-3854985	http://www.tcsc.com.tw
S703	致和證券股份有限公司 Concord International Securities Co., Ltd.	704 台南市西門路3段10號 10, Sec.3, Shi Men Rd., Tainan 704, Taiwan	06-2219777	06-2286324	http://www.wintan.com.tw/
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 Co.Ltd..	105 台北市松山區民生東路3段117號地下1樓 B1, 117 Sec 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27186613	http://www.esunsec.com.tw
B091	群益金鼎證券股份有限公司 The Capital Group	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
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://www.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

會員名錄

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B096	富邦綜合證券股份有限公司 Fubon Financial	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.fubon.com/
B098	元大寶來證券股份有限公司 Yuanta Futures Co., Ltd	104 台北市南京東路3段225號13樓 13F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
B09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路一段2號7樓、8樓(部分)及18樓(部分) 7F, 2 Sec 1, Chung Ching S.Rd, Taipei 100, Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
B102	合作金庫證券股份有限公司 Taiwan Cooperative Securities 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	02-27319987	02-27754202	http://www.tcb-bank.com.tw/
B103	臺灣土地銀行股份有限公司 Land Bank 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
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
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
B546	寶盛證券股份有限公司 Pao Shin Securities Co., Ltd.	406 台中市北興街43號1樓 1F, 43, Beising St., Taichung 406, Taiwan	04-22309377	04-22371684	建置中
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., Ltd.	360 苗栗市中正路426號4樓 4F, 426, Chung Cheng Rd., Miaoli 360, Taiwan	037-332266	037-335228	http://www.fscl.com.tw/
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
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	建置中
B587	光隆證券股份有限公司 Kuang Long Securities Co., Ltd.	970 花蓮市公園路26號4樓 4F, 26, Kungyuan Rd., Hualian 970, Taiwan	03-8352181	03-8353447	建置中
B592	元富證券股份有限公司 Master Link Securities Corp.	106 台北市復興南路1段209號1樓 1F, 209, Sec.1, 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
B611	台中商銀綜合證券股份有限公司 Taichung Bank Securities Co., Ltd.	100 台北市忠孝東路一段85號9樓 9F, No.85, Sec 1 Zhongxiao E. Rd., ZhongZheng Dist., Taipei 100, Taiwan	02-23969955	02-23960502	http://www.tcbbank.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, Chunghua 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	http://www.nhks.com.tw/
B638	光和證券股份有限公司 Kuanzho Securities Corp.	521 彰化縣北斗鎮光復路166號3樓 3F, 166, Kwangfu Rd., Pie-Tou Cheng, Changhwa 521, Taiwan	04-8886500	04-8886626	http://www.kuanzho.com.tw/

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B646	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	220 新北市板橋區東門街30之2號9樓 9F, No.30-2, Dongmen St., Banqiao Dist., New Taipei City, Taiwan	02-29689685	02-29676069	http://www.dcn.com.tw
B648	富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 104, Taiwan	02-21812688	02-21812606	http://www.gfortune.com.tw/
B662	全泰證券股份有限公司 Chuan Tai Securities Co., Ltd.	330 桃園市三民路3段317號3樓 3F, 317, Sec.3, San Ming Rd., Taoyuan 330, Taiwan	03-3353359	03-3345286	建置中
B664	渣打國際商業銀行股份有限公司 Standard Chartered Bank(Taiwan)	330 桃園市中正路465號3樓 3F, 465, Chung Cheng Rd., Taoyuan 330, Taiwan	03-3347111	03-3347107	http://www.standardchartered.com.tw/
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 新北市淡水區中正路63號5樓 5F, 63, Chung Chen Rd., Tanshui, New Taipei City 251, Taiwan	02-26251818	02-26251705	http://www.fushan-ewin.com.tw
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3樓 3F, 95, Sec.2, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-23278988	02-33932995	http://www.emega.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
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
B767	金港證券股份有限公司 Goldport Stock Corp.	802 高雄市三多二路93號2樓 2F, 93, Sando 2 Rd., Kaohsiung 802, Taiwan	07-7129399	07-7133579	建置中
B769	金興證券股份有限公司 Ching Shing Securities Co., Ltd.	360 苗栗市北苗里義民街51號 51, Yimin St, Pei-miao LI, Miaoli 360, Taiwan	037-266666	037-266060	建置中
B775	北城證券股份有限公司 Pei Cheng Securities Co., Ltd.	234 新北市永和區永和路2段116號3樓 3F, 116, Sec.2, Yung-ho Rd., Yung-ho Dist., New Taipei City 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://www.wls.com.tw/
B790	金豐證券股份有限公司 King Fong Securities Co., Ltd.	420 台中縣豐原市中山路481號 481, Chung Shan Rd., Feng-Yuan, Taichung 420, Taiwan	04-25282800	04-25282306	建置中
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/
B838	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	http://www.antay.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.concords.com.tw/
B849	萬泰證券股份有限公司 Wan Tai Securities Co., Ltd.	600 嘉義市新榮路193號2樓 2F, 193, Hsin-Jung Rd., Chiayi 600, Taiwan	05-2289911	05-2273459	建置中
B852	中農證券股份有限公司 Chung Nour Securities Co., Ltd.	435 台中縣梧棲鎮四維中路157巷1號2樓 2F, 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435, Taiwan	04-26572801	04-26564499	https://sptrade.chungnourn.com.tw/
B858	聯邦商業銀行股份有限公司 Union Bank of Taiwan Co., Ltd.	104 台北市南京東路2段137號2樓 2F, 137, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25040066	02-25171241	http://www.ubot.com.tw
B866	萬通證券股份有限公司 Vantone Securities Co., Ltd.	104 台北市松江路301號2樓 2F, 301, Songjiang. Rd., Taipei 104, Taiwan	02-25156655	02-25026363	建置中
B871	陽信證券股份有限公司 Sunny Securities Co., Ltd.	105 台北市民生東路5段165號B2 B2, 165, Sec.5, Ming Sheng E. Rd., Taipei 105, Taiwan	02-28288585	02-28213444	http://www.sunnysec.com.tw

會員名錄

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
B877	大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	110 台北市信義路四段456、458號8樓 8F., No.458、456, Sec. 4, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87862666	02-87862663	http://www.ycsc.com.tw
B885	鑫豐證券股份有限公司 Shing Fong Securities Co., Ltd.	103 台北市大同區民權西路104號5樓之1 5F.-1, No.104, Minquan W. Rd., Datong Dist., 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 台北市敦化南路2段333號19樓 19F, 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei, Taiwan	02-23269888	02-23277688	http://www.cathaysec.com.tw
P001	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
P002	兆豐證券股份有限公司 Mega Securities Co., Ltd.	100 台北市忠孝東路二段95號4樓部分、5樓部分 及10樓部分 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 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	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd	104 台北市南京東路三段225號11樓、11樓之1、 2、3及12樓、12樓之1、2、3 11F.-1, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.pmf.com.tw/
P005	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
P006	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
P008	元富證券股份有限公司 Master Link Securities Corp.	106 台北市敦化南路2段97號19樓 19F, 97, Sec.2, Tunhwa S.Rd., Taipei 106, Taiwan	02-23255818	02-27000208	http://www.masterlink.com.tw
P014	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/
P015	元富期貨股份有限公司 Master Link Futures Corp.	106 台北市復興南路1段209號4樓 4F, 209, Sec.1, Fushing S Rd., Taipei 106, Taiwan	02-27213458	02-87732029	http://futures.masterlink.com.tw/
P020	凱基證券股份有限公司 KGI Securities Co., Ltd.	104 台北市明水路700號9樓 9F, 700, Mingshui Rd., Taipei 104, Taiwan	02-21818888	02-85011852	http://etrade.kgi.com.tw/
P022	富邦綜合證券股份有限公司 Fubon Financial.	106 台北市仁愛路4段169號4樓 4F, 169, Sec. 4, Ren-ai Rd., Taipei 106, Taiwan	02-27767819	02-27210783	http://www.fubon.com/
P024	統一綜合證券股份有限公司 President Securities Corp.	105 台北市東興路8號3樓 3F, 8, Tong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	http://www.pscnet.com.tw
P026	華南永昌綜合證券股份有限公司 HuaNan Securities Co., Ltd.	105 台北市民生東路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 IBT Securities Co., Ltd.	114 台北市堤頂大道2段99號7樓 7F, 99, Sec.2, TidingBlvd, Taipei 114, Taiwan	02-26561111	02-26561212	http://www.ibts.com.tw/
P028	元大寶來證券股份有限公司 Yuanta Futures Co., Ltd	104 台北市南京東路3段225號13樓、14樓 13F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	http://www.yuanta.com.tw
P030	日盛證券股份有限公司 Jih Sun Securities Co., Ltd.	104 台北市南京東路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 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 KGI Futures Co., Ltd.	100 台北市重慶南路1段2號13樓 13F., No.2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei, Taiwan	02-25169009	02-25082351	http://www.kgifutures.com.tw/
P033	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106 台北市敦化南路2段333號19樓 19F, 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei, Taiwan	02-23269888	02-27003350	http://www.cathaysec.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)
P034	香港商法國興業證券股份有限公司台北分公司 SG Securities (HK) Ltd., Taipei Branch	105 台北市民生東路3段109號7樓 7 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 Ta Chong Securities Co., Ltd.	104 台北市復興南路1段2號10樓 10F, 2, Sec.1, Fushing S Rd., Taipei 104, Taiwan	02-27790866	02-27790800	http://www.tcsc.com.tw
P037	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
P038	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
P039	第一金證券股份有限公司 First Securities Inc.	104 台北市長安東路一段22號8樓 8F., 22., Sec. 1, Chang'an E. Rd., Taipei City 104, 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 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
P045	國票綜合證券股份有限公司 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 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 Waterland Futures Co., Ltd	105 台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	02-27287576	http://www.wlf.com.tw
P050	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/
P052	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	110 台北市信義區松高路11號16樓 16F., No.11, Songgao Rd., Xinyi Dist., Taipei 110, Taiwan	02-27223699	02-27221768	http://www.chinatrustsec.com.tw/
P09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市中正區重慶南路一段2號17樓 17F, 2 Sec.1, Chung Ching S.Rd. Taipei 100 Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
A001	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
A002	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, Tongsing Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
A003	元大寶來期貨股份有限公司 Yuantia Futures Co., Ltd	104 台北市南京東路三段225號11樓、11樓之1、2、3及12樓、12樓之1、2、3 11F.-1, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-27176000	02-27008363	http://www.pmf.com.tw/
A004	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
A005	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
A006	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市敦化南路二段333號19樓部分 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
A008	康和期貨股份有限公司 Concord Futures Co., Ltd.	105 台北市復興北路143號5樓、6樓 5F, 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
A009	富邦期貨股份有限公司 Fubon Financial	100 台北市襄陽路9號3樓及3樓之1 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
A011	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樓之7、8、9 3F, 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	http://ft.entrust.com.tw/
A013	元富期貨股份有限公司 Master Link Futures Corp.	106 台北市復興南路1段209號4樓 4F, 209, Sec.1, Fushing S Rd., Taipei 106, Taiwan	02-27213458	02-87732029	http://futures.masterlink.com.tw/

會員名錄

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
A019	國票期貨股份有限公司 Waterland Futures Co., Ltd	105 台北市松山區南京東路五段188號8樓、8樓之1、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 Mega Futures Co., Ltd.	110 台北市忠孝東路2段95號2樓 2F, 95, Sec.2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-23278895	02-23278879	http://www.megafutures.com.tw/
A021	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路1段2號6樓部分、12樓及13樓 6F, No.2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.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9樓、10樓 9F, 145, Sec.1, Jhongshan N. Rd., Taipei 104, Taiwan	02-25678502	02-25679794	建置中
A025	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市重慶南路1段2號22樓 22F, 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
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	啟發證券投資顧問股份有限公司 Chi Far Securities Investment Consultant	100 台北市忠孝西路1段100號9樓 9F, 100, Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23820566	02-23313628	http://www.chifar.com.tw/
A029	大華國際證券投資顧問股份有限公司 Da Hwa International Securities Investment Consulting Co., Ltd	100 台北市羅斯福路二段102號23樓及100號26樓之1 23F., 102., Sec.2., Roosevelt Rd., Taipei 100., Taiwan	02-83695566	02-77258855	http://da-hwa-international.com.tw/
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	http://www.uas5888.com.tw/index.php
A032	顧德證券投資顧問股份有限公司 Good Securities Investment Consultant	105 台北市松山區南京東路四段126號14樓 14F., No.126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105., Taiwan	02-23913000	02-23413451	http://www.good-group.com.tw/
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 台北市八德路2段260號6樓 6F., No.260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-27813900	02-27722813	http://www.27813900.com/
A036	永誠國際證券投資顧問股份有限公司 Yong Cheng Securities Investment Consultant	104 台北市中山北路1段145號6樓 6F, 145, Sec.1, Jhongshan N. Rd., Taipei 104, Taiwan	02-25611115	02-25611084	http://www.88598.com.tw/
A040	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/
A041	大昌證券股份有限公司 Dah Chang Securities Co.,Ltd	220 新北市板橋區東門街30之2號2樓之1至85及9樓1、2 No.2-2., No.85-9, Dongmen St., Banqiao Dist., New Taipei City 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 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 Asia securities investment advisory-inc.	105 台北市松山區南京東路四段126號11樓A2 Rm. A2, 11F, No.126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-25783777	02-25779495	http://www.asia-rich.com.tw/
A044	倫元證券投資顧問股份有限公司 E-invest Security Investment Consultant Co., LTD	100 台北市中正區青島東路7號6樓 6F., No.7, Qingdao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23219933	02-23927062	http://www.e-invest.com.tw/main/
A045	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220 新北市板橋區東門街30之2號9樓之2 9F.-2, No.30-2, Dongmen St., Banqiao Dist., New Taipei City 220, Taiwan	02-29601066	02-29657707	http://www.dcn.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)
A046	聚揚證券投資顧問股份有限公司 Ever Young Led.	104 台北市中山區松江路315號2樓 2F., No.315, Songjiang Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-25066808	02-25065018	http://everyoung88.com.tw/
A047	第一金證券股份有限公司 First Securities Inc	104 台北市長安東路一段22號2樓 2F., 22., Sec. 1, Chang'an E. Rd., Taipei City 104, Taiwan	02-25379722	02-25635713	http://www.ftsi.com.tw/
A048	台灣工銀證券投資顧問股份有限公司 IBT Securities Co., Ltd.	114 台北市內湖區堤頂大道二段99號6樓 6F., No.99, Sec. 2, Tiding Blvd., Neihu Dist., Taipei 114, Taiwan	02-26560780	02-26561114	http://www.ibts.com.tw
M008	康和期貨經理事業股份有限公司 Concord Managed Futures Co., Ltd.	110 台北市基隆路1段176號14樓 14F, 176, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	http://www.concordfutures.com.tw/FM/
M016	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd	104 台北市南京東路三段225號11樓、11樓之1、 2、3及12樓、12樓之1、2、3 11F.-1, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.pmf.com.tw/
M018	凱基期貨股份有限公司 KGI Futures CO., LTD	100 台北市重慶南路1段2號6樓部分、12樓及13樓 6F., No.2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
M020	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
M022	富邦期貨股份有限公司 Fubon Financial	100 台北市襄陽路9號3樓 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
M023	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/
M024	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://ft.entrust.com.tw/
M025	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
M026	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市大安區敦化南路二段333號19樓 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27332198	http://www.onrich.com.tw
T002	復華證券投資信託股份有限公司 Fuh Hwa Securities Investment Trust CO.,LTD.	104 台北市八德路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 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	元大寶來證券投資信託股份有限公司 Yuanta Securities Investment Trust Co., Ltd.	105 台北市松山區敦化南路一段 66號5樓、6樓及 68號2樓之1 5F., No.66, Sec. 1, Dunhua S. Rd., Songshan Dist., Taipei 105, Taiwan	02-27175555	02-25472380	http://www.yuantafunds.com/
T008	新光證券投資信託股份有限公司 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	摩根證券投資信託股份有限公司 JPMorgan Asset Management (Taiwan) Limited	110 台北市信義區松智路1號20樓 20F., No.1, Songzhi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87268686	02-87268976	https://www.jp-rich.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 Copyright by SinoPac Securities Investment Trust CO., Ltd	100 台北市博愛路17號13樓 13F., No.17, Bo'ai Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23618110	02-23617069	http://sitc.sinopac.com
T013	華南永昌證券投資信託股份有限公司 Hua Nan Investment Trust.,	105 台北市松山區民生東路4段54號3樓之1 3F.-1, No.54, Sec. 4, Minquan E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27196688	02-25450986	http://www.hnitc.com.tw
T014	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://fm.concordfutures.com.tw

註：以上資料截止日為102.12.31



102年報

Annual Report 2013

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