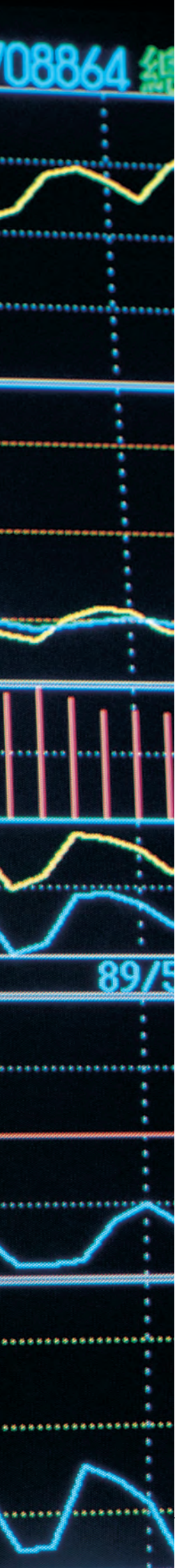


105年報

Annual Report 2016



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



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	52
V. Financial Report	53
陸、大事紀要	58
VI. Chronicle	58
柒、會員名錄	64
VII. Directory of Members	64

壹

序言



變動、開放、創新年

民國105年我們經歷了人民幣急貶、英國脫歐公投、美國總統大選…等令全球震撼的政經大旋風，恰恰突顯了期貨市場價格發現和管理風險的功能與價值。台灣期貨交易所接連推出跨市場連結的創新產品，如連結海外指數及外匯的東證期貨、Nifty50期貨、人民幣匯率期貨、歐元兌美元、美元兌日圓期貨，期現貨市場搭配的指數股票型基金（ETF），及連結黃金、石油等期貨契約的期貨ETF，同時也展現了期貨市場國際化與多元化的面貌。

三大面向 推動產業穩健發展

一、市場推廣面

為使交易人能更進一步的瞭解期信基金及期經全委代操，與期交所共同推動期貨資產管理領域，規劃多樣性的期經及期貨基金推廣宣傳活動，透過平面、網路及電視等媒體，提供投資人進一步瞭解期貨信託基金與期經全委代操相關資訊之管道。同時，於期交所與媒體共同辦理之理財講座會場邀請期貨商設置攤位，以簡單的遊戲傳達正確的期貨交易、開戶、風險控管等作業流程與相關規定，以利投資人認識期貨。

二、擴大業務範圍面

建請主管機關同意開放期貨商受託買賣執行業務員得轉介槓桿交易外幣保證金商品；放寬期貨自營商從事國外期貨造市交易相關限制；放寬期貨商自營業務及自有資金運用得全權委託期貨經理事業代為操作，與開放期貨商得以自有資金購買期貨信託事業於國內對特定人募集發行之期貨信託基金；考量從業人員相關工作經驗，放寬期信基金銷售機構銷售人員之資格條件等項。另於金融白皮書建請開放兩岸期貨交易人可透過當地期貨商複委託他方期貨商參與彼此期貨市場交易；開放大陸地區投資人來臺時得開立從事國內、外期貨交易之帳戶。

三、交易制度面

本公會身負市場自律管理機構任務，並為同業溝通協調單位，在保護交易人及產業穩定發展原則下，於2011年推動「期貨商交易及風險控管機制」專案，就KYC作業、風險控管、交易制度等方面加以檢討，經多次討論與溝通達成業界共識，並於2012年7月1日上路；今（2016）年度期交所規劃推出盤後交易制度，本公會再度啟動專案會議，針對盤後交易及期貨商對交易人之風險控管作業，與主管機關、期交所、業者積極討論，於本刊發行前達成共識並獲主管機關同意，在此特別感謝所有參與者的辛勞付出。

展望未來

展望未來，期貨公會將持續協助業者創新發展，打造更符合交易人需求的金融科技環境，加強宣導合法期貨、風險控管與洗錢防制等議題，積極配合期交所國際化腳步，提昇期貨業服務實體經濟功能。祝大家萬事順利、大展鴻圖，期貨業蒸蒸日上。

中華民國期貨業商業同業公會

理事長 糜以雍

A year of changing, opening, and innovation

In 2016, we encountered a series of global economic and political shocks throughout the year, such as the drastic depreciation of Chinese Renminbi, Brexit referendum, the U.S. presidential election, and so on which, though, highlighted the function and value of the futures market to be used for price discovery and risk management. The Taiwan Futures Exchange (TAIFEX) continued to introduce innovative cross-market products such as the Tokyo Stock Price Index (TOPIX), Nifty50, USD/CTN FX Futures, EUR/USD FX Futures, USD/JPY FX Futures, as well as the ETF which links the spot stock market and stock index fund, or linked with gold, crude oil futures, etc. All of these underscore the internationalization and diversity of Taiwan's futures market.

Three major facets to push for steady and healthy development of futures industry

1. Facet of market activation

In order to help traders better understand the discretionary account management services introduced by the futures trust enterprises and managed futures enterprises, the CNFA worked with the TAIFEX in promoting the business of futures-related assets management, supplemented with several managed futures fund and futures trust fund promotional activities. Through printed, website, TV, and other mass media, we provided traders and investors with multiple channels for access to detailed information about the discretionary account management services. Meanwhile, the CNFA joined the TAIFEX and several mass media in holding the assets management lectures and arranged assets management booths where, through simple games, the booth runners introduced correct concept about futures trading as well as the rules for opening a trading account, making risk control, among other related issues to the interested persons. These are all arranged to help traders have a better understanding about the futures.

2. Facet of business expansion

The CNFA requested the regulatory agencies to allow the sales workers at futures companies to be authorized to make referral of FX margin trading to leveraged traders, relax the restrictions on Proprietary Futures Commission Merchants from acting as market makers or making trading of foreign futures, relax the restrictions on Proprietary Futures Commission Merchants from authorizing their own fund to managed futures enterprises for discretionary account management, and relaxing the bans on futures companies from using their own fund to purchase the futures trust funds issued by futures trust enterprises for special targeted persons. Meanwhile, regarding the working experience of futures workers, the CNFA suggested that qualifications of the futures trust sales workers should be relaxed. In addition, it raised the suggestions to the financial whitepaper that the futures traders across the Taiwan Straits should be able to re-authorize the futures companies of other side through local futures companies to do trading on each other's futures market, and that mainland traders should be able to open trading accounts in Taiwan for doing trading of local and overseas futures.

3. Facet of market system

The CNFA bears the self-discipline responsibility to assure market order, and also play a role as a coordinator among futures companies. Under the principles of traders protection and market stability, the CNFA initiated the project of "Risk Control Mechanism for Futures Companies," examining the three aspects of KYC operations, risk control, and trading system. Through repeated negotiations and discussion, it finally reached a consensus among futures companies, allowing the risk control mechanism to make a formal debut on July 1, 2012. In 2016, the TAIFEX was proposing to introduce the after-hours trading system for which the CNFA once again arranged project meetings gathering representatives from the regulatory agencies, the TAIFEX, and futures companies to discuss and exchange points of view on the risk control over the after-hours trading. The CNFA has just got the regulatory agency's nod on its proposed risk control mechanism after the annual report was about to be published. We sincerely attribute this success to the efforts of all the people concerned with this issue.

Prospect

While looking forward, the CNFA will continue to help Member Companies pursue innovation, creating a trader-friendly financial technology environment. Meanwhile, it will continue strengthening the public education on the issues of legitimate futures, risk control, and money laundry. Meanwhile, the CNFA will be active in coping with the TAIFEX's internationalization pace, strengthening the role of the futures in complementing the physical market. Finally, I sincerely wish everybody smoothness in all businesses and have a prosperous year in the coming year.

Falco Mi
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

CNFA 中華民國期貨業商業同業公會第五屆第一次會

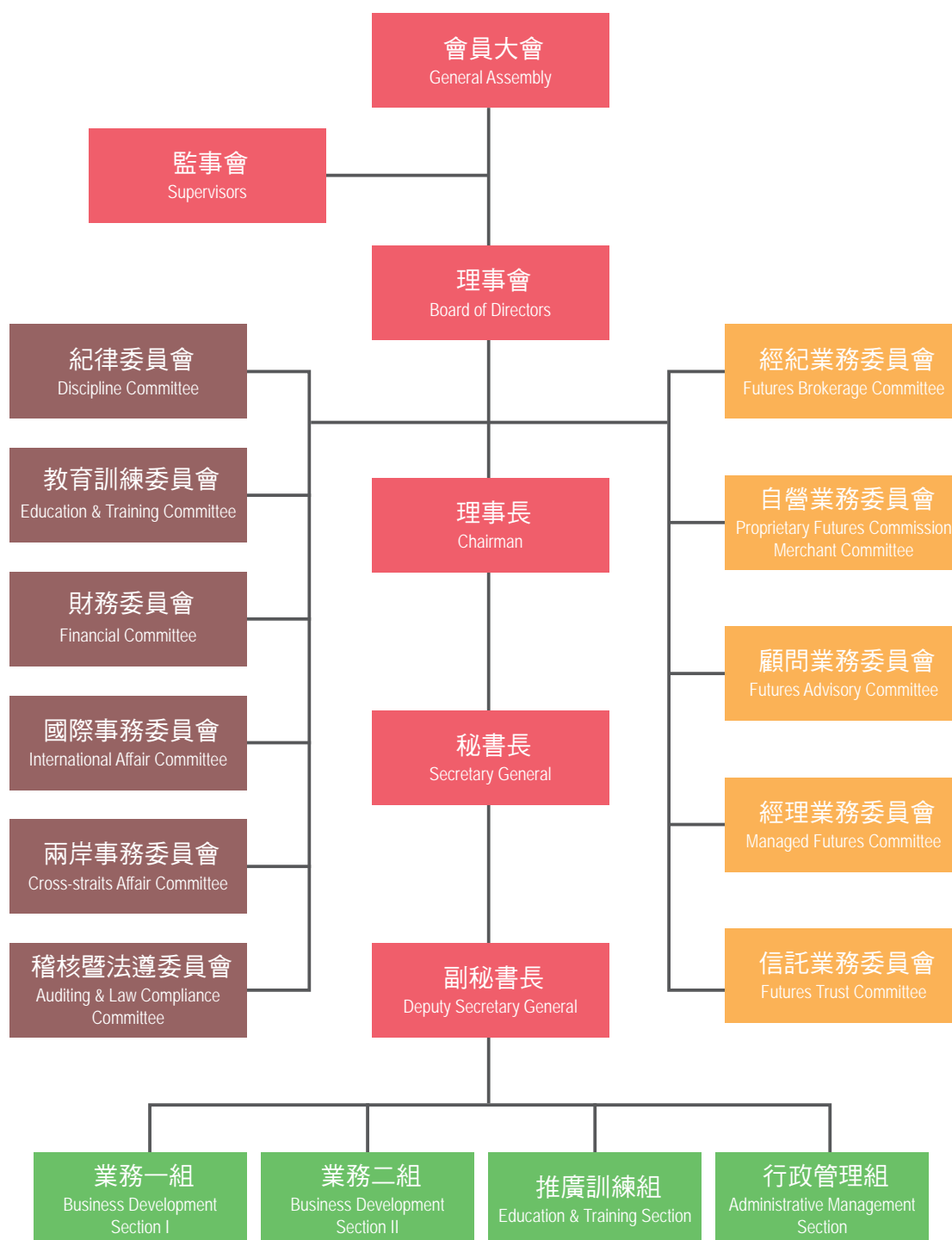


TAITRA



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312位。

■成員：由會員代表組成。至105年12月31日止，本公會會員公司計有173家：

1. 專營期貨商15家
2. 兼營期貨商18家
3. 期貨交易輔助人49家
4. 國外複委託商2家
5. 期貨自營業務34家
6. 期貨經理業務9家
7. 期貨顧問業務34家
8. 期貨信託業務10家
9. 槓桿交易商2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 7 representatives each to take part in the General Assembly. In 2016, a total of 312 member representatives were registered with the Association.

■ Member companies: the Association was composed of 173 member companies at the end of 2016:

1. Specialized futures brokerage companies: 15
2. Concurrent futures brokerage companies: 18
3. Futures introducing brokers (IB): 49
4. Foreign re-engaging brokers: 2
5. Proprietary futures commission merchants: 34
6. Managed futures enterprises: 9
7. Futures advisory enterprises: 34
8. Futures trust enterprises: 10
9. Leverage Transaction Merchant: 2

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

■ Responsibilities:

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



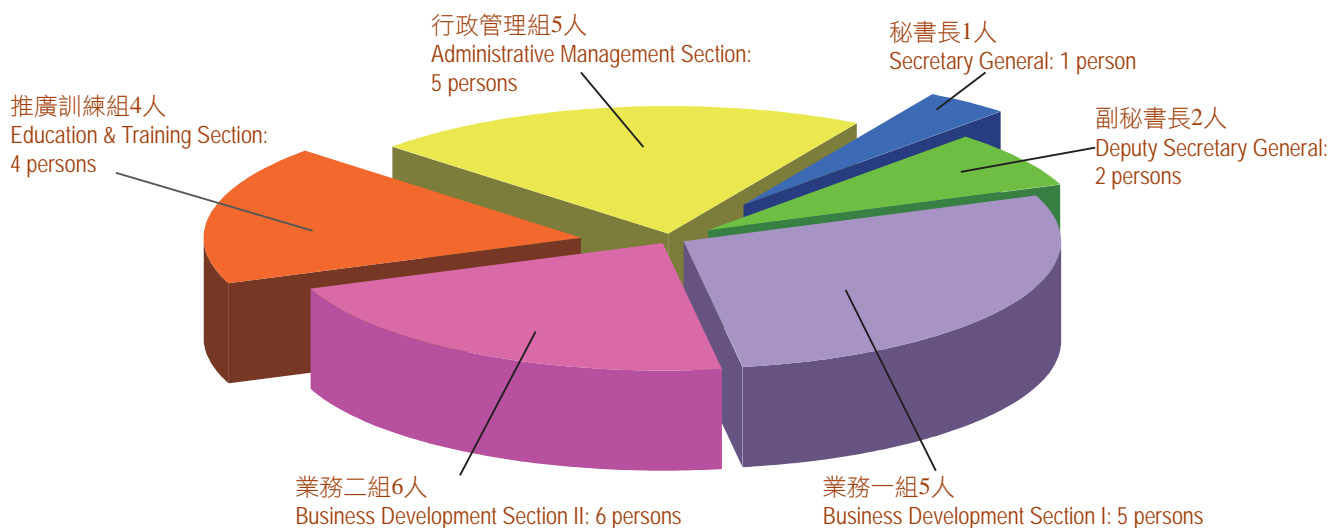
- (3) 有關編擬年度工作計畫事項。
- (4) 其他有關期貨信託業務之處理事項。
- 紀律委員會
 - (1) 有關自律公約之擬訂、執行與督促會員自律事項。
 - (2) 有關會員職業道德之規範事項。
 - (3) 其他有關會員自律之處理事項。
- 教育訓練委員會
 - (1) 辦理期貨從業人員職前訓練及在職訓練事項。
 - (2) 有關參觀、演講、講習、康樂、體育等活動之舉辦事項。
 - (3) 有關出版刊物之編輯事項。
 - (4) 有關期貨投資宣傳事項。
 - (5) 其他有關教育訓練、考試及核發證書之處理事項。
- 財務委員會
 - (1) 有關會費、事業費、經費籌措、管理與運用之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

105年會務人員統計表
CNFA Administrative Staff in 2016



- 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	糜以雍 Falco Mi	凱基期貨股份有限公司 KGI Futures Co., Ltd.	董事長 Chairman
2	副理事長 Vice Chairman	林添富 Tien-Fu Lin	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	董事長 Chairman
3	副理事長 Vice Chairman	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
4	常務理事 Executive Director	王中愷 Steve Wang	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.	董事 Board Member
5	常務理事 Executive Director	孫天山 Tim Sun	群益期貨股份有限公司 Capital Futures Corp.	董事長 Chairman
6	常務理事 Executive Director	張雅斐 Phoebe Chang	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	總經理 President
7	常務理事 Executive Director	陳立 Li Chen	元富證券股份有限公司 MasterLink Securities Corp.	執行副總 Executive Vice President
8	常務理事 Executive 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 Executive Director	黃進明 Chin-ming Huang	日盛證券股份有限公司 JihSun Securities Co., Ltd.	總經理 President
10	常務理事 Executive 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
11	常務理事 Executive Director	詹正恩 Cheng-en Chan	光和證券股份有限公司 Kuanzho Securities Corp.	董事長 Chairman
12	理事 Director	王世琦 Shih-Chi Wang	康和期貨股份有限公司 Concord Futures Co., Ltd.	總經理 President
13	理事 Director	朱茂隆 Mao-Lung Chu	大展證券股份有限公司 Ta Chan Securities Co., Ltd.	董事 Board Member
14	理事 Director	吳金榮 Chin-Jung Wu	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	總經理 President
15	理事 Director	宋政憲 Anson Sung	國泰期貨股份有限公司 Cathay Futures Corp.	副總經理 Vice President
16	理事 Director	周筱玲 Hsiao-ling Chou	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	副董事長 Vice Chairman
17	理事 Director	林明杉 Vincent Lin	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	總經理 President
18	理事 Director	林獻群 Leo Lin	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	總經理 President
19	理事 Director	洪三雄 Steven Hung	國票期貨股份有限公司 Waterland Futures Co., Ltd.	董事長 Chairman
20	理事 Director	高山燕 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
21	理事 Director	張銘杰 Ming-Jye Chang	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	董事長 Chairman
22	理事 Director	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
23	理事 Director	許瑞立 Jurry Hsu	安泰證券股份有限公司 Antay Securities Co., Ltd.	總經理 President
24	理事 Director	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

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
25	理事 Director	陳柏榮 Bo-jung Chen	永全證券股份有限公司 Yung Chuan Securities Co., Ltd.	副總經理 Vice President
26	理事 Director	陳瑞珪 Jui-chueh Chen	凱基期貨股份有限公司 KGI Futures Co., Ltd.	總經理 President
27	理事 Director	黃正雄 Thomas Huang	元富期貨股份有限公司 MasterLink Futures Corp.	總經理 President
28	理事 Director	黃炳和 Arvin Huang	日盛期貨股份有限公司 Jihsun Futures Co., Ltd.	總經理 President
29	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
30	理事 Director	楊金源 Chin-yuan Yang	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	董事 Board Member
31	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
32	理事 Director	賈中道 Alex Chia	群益期貨股份有限公司 Capital Futures Corp.	副董事長 Vice Chairman
33	理事 Director	盧立正 Maurice Lu	永豐期貨股份有限公司 SinoPac Futures Co. Ltd.	副董事長 Vice Chairman

註：以上資料以105.12.31日為準，依公會職稱、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	李姿綺 Tzu-Chi Lee	國票期貨股份有限公司 Waterland Futures Co., Ltd.	總經理 President
2	常務監事 Executive Supervisor	林家進 Chia-ching Lin	國泰期貨股份有限公司 Cathay Futures Co., Ltd.	總經理 President
3	常務監事 Executive Supervisor	滕青華 Ching-hua Teng	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	總經理 President
4	監事 Supervisor	王登立 Tengli Wang	大眾綜合證券股份有限公司 Ta Chong Securities Co., Ltd.	總經理 President
5	監事 Supervisor	李全才 Mario Lee	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	總經理 President
6	監事 Supervisor	侯青志 Chris Ho	凱基期貨股份有限公司 KGI Futures Co., Ltd.	顧問 Advisor
7	監事 Supervisor	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
8	監事 Supervisor	郭昭良 Peter Kuo	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	總經理 President
9	監事 Supervisor	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
10	監事 Supervisor	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
11	監事 Supervisor	鄭質榮 Vincent Cheng	新加坡商大華期貨有限公司台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	總經理 President

註：以上資料以105.12.31日為準，依公會職稱、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 to futures-related laws and regulations

1. 配合期貨交易人得以非當面申辦開戶作業，修正「期貨商開戶徵信作業管理自律規則」。
Making amendments to the “Self-discipline Rules for Futures Company in Checking Credibility of New Trading Account Applicant,” in reaction to the new rule that futures traders should open trading accounts in person.
2. 配合期貨交易違約資料揭露期限之調整，修正「期貨交易人採行整戶風險保證金計收方式自律規則」、「期貨商、期貨交易輔助人接受特定客戶授權委託自律規則」，放寬有關期貨交易違約之條件。
Relaxing the default-prevention requirements stated in the SPAN futures trading application form, and revising the “Self-discipline Rules Regarding SPAN Margin Calculation for Futures Traders” and the “Self-discipline Rules for Specialized Futures Brokerage Companies and Futures Introducing Brokers Authorized by Special Clients for Doing Futures Trading on behalf of them”
3. 修正「雲端運算、社群媒體、行動裝置資訊安全自律規範（草案）」，增列行動裝置應用程式規範。
Revising the draft of “Self-discipline Rules Regarding Information Security of Cloud Computing, Social Media, and Mobile Communication Devices,” adding regulations on software application of mobile communications devices
4. 修正「期貨交易風險預告書（參考範本）」。
Revising the “Warning Letter of Futures Trading Risk (Reference Sample)”
5. 配合期交所黃金期貨及黃金選擇權得於到期時轉現貨機制，以及推出「印度Nifty50股價指數期貨」、「歐元兌美元匯率期貨」及「美元兌日圓匯率期貨」商品，修正「期貨商交易及風險控管機制專案」各項議題彙整表。
Revising the list of topics for discussion about the proposed “Project of Futures Company’s Trading and Risk Control Mechanism,” in reaction to the TAIFEX’s gold-delivery mechanism for gold futures and gold options at expiration date as well as TAIFEX’s newly-launched products such as the “Nifty 50,” “EUR/USD FX Futures,” and “USD/JPY FX Futures”
6. 確認客戶電話出金之方式，除以電話確認，增加以簡訊方式辦理，修正「期貨商暨期貨交易輔助人受理電話辦理保證金提領防範配套措施作業辦法」。
Making amendments to the “Procedures for Deposit Withdrawal by Phone and Related Security Measures for Specialized Futures Brokerage Companies and Futures Introducing Brokers,” adding the clause for deposit withdrawal by text message, in a bid to prevent clients from being distributed during withdrawal procedures by phone.
7. 因應櫃買中心「期貨商受託買賣執行業務員轉介槓桿保證金契約業務規範」，開放期貨商受託買賣執行業務員轉介槓桿保證金契約，修正「會員負責人及業務員登記事項作業要點」及「期貨業業務員登錄作業須知」，新增受託買賣執行（轉介槓桿保證金契約）、受託買賣執行（轉介槓桿保證金契約-涉及外匯）之登錄項目。
Revising the “Enrollment Guidelines for Responsible Person and Sales Workers of CNFA Members” and “Enrollment Procedures for Futures Sales Workers,” adding the items of enrollment for those authorized for trading “Contract of Leverage Referral” or “Contract of Leverage Referral—Involved with Foreign Currency Transaction,” in reaction to the TPEx-announced “Guidelines for Futures Companies Authorized for Doing Business of Leverage Referral” which allows sales workers of futures companies to do business of leverage contract referrals.

Association Affairs

8. 配合放寬兼營期貨顧問事業得接受「非特定人」使用憑證機構所簽發之電子簽章（自然人憑證）簽署電子文件方式辦理期貨顧問委任契約，修正內控標準制度。

Adjusting the standardized internal control system, in support of the new policy allowing concurrent futures advisory enterprises to accept non-specified person's electronic signature (Citizen Digital Certificate), issued by the Certificate Authority (CA), for the electronic contract and related documents for authorization of futures trading advisors.

9. 配合主管機關開放期貨信託事業得募集發行槓桿型與反向型期貨ETF等法令，修正「期貨信託契約範本」、「期貨信託基金月報檢查表」、「期貨信託基金之募集、發行、銷售及申購回作業程序」、「期貨信託基金宣傳資料及廣告管理辦法」及「期貨信託事業內控制度標準規範」等5項自律規範。

Revising the five self-discipline rules of the "Template for Futures Trust Contract," "Monthly Checking List for Futures Trust Fund," "Procedures for Futures Trust Fund Raising, Issuance, Sales, and Redemption," "Regulations on Futures Trust Promotional Materials and Advertisement," and "Guidelines for Standard Internal Control System," in reaction to the government's policy to allow futures trust enterprises to issue Leverage ETF Contract and Reversing ETF Contract.

10. 修正「期貨信託事業負責人與受雇人及其關係人買賣自己公司基金處理準則」，排除指數股票型期貨信託基金之適用。

Revising the "Guidelines for Futures Trust Enterprise's Responsible Person and Staff Workers in Purchasing or Selling Funds Issued by Their Own Company," making it not applicable to stock index futures trust fund.

11. 修正期貨經理事業「內部控制制度標準規範範本」、「內部稽核實施細則範本」及「查核明細表範本」，對主管機關出具之檢查報告內容，增列受檢機構得提供參閱之對象、範圍及方式。

Revising the "Template for Internal Control System Standards," "Template of Execution Measures for Internal Auditing," and "Template for Detailed Checking List" for managed futures enterprises, adding the items of the targets to whom the inspected enterprises shall disclose regulatory agency's inspection report, as well as the items to disclose and the means of disclosure.

12. 為簡化期貨信託事業對不特定人募集期貨信託基金，申請追加之程序，配合期貨信託基金管理辦法第16條之修正，修正「期貨信託基金之募集、發行、銷售及申購回作業程序」。

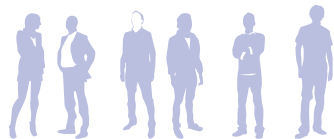
Revising the "Procedures for Futures Trust Fund Raising, Issuance, Sales, and Redemption," in reaction to the amendments to Article 16 of "Regulations Governing Futures Trust Enterprises" which simplifies the procedures for non-specified persons to add up their subscription for the futures trust funds issued by futures trust enterprises.

13. 為避免投資大眾產生混淆，刊登文宣者應主動刪除非任職公司期間之廣告宣傳資料；且任職之公司，亦應主動要求所屬受雇人刪除非公司所發布之廣告宣傳資料，修正「會員暨期貨信託基金銷售機構從事廣告業務招攬及營業促銷活動管理辦法」。

Revising the "Act of Governing Advertisement or Other Sales Promotion Activities of CNFA Members and Futures Trust Fund Sales Outlets," requiring the advertisement publishers to automatically remove those advertisement published before the employees left the company and companies should require their employees to remove those advertisements published by outside persons, in a hope to avoid confusion of the public.

14. 為避免造成同業會員之間不當挖角，破壞同業間之和諧及間接影響期貨市場之健全發展，修正「會員自律公約」。

Revising the "Self-discipline Rules for CNFA Members," to prevent inappropriate talent hunting among them so as to secure harmony among companies doing the same businesses and healthy development of the futures market.



研議、建議事項 Proposals

擴大業務範圍事項 Business expansion issues

1. 建請期交所開放於同一期貨商開立之綜合帳戶子帳戶與同ID之一般帳戶間部位轉移作業。
To recommend the TAIFEX to allow position transfer between Omnibus Trading Account's sub account and the ordinary trading account opened with the same ID at the same futures company
2. 研議「期貨商交易及風險控管機制」之盤中高風險帳戶通知、風險指標公式及代為沖銷作業。
To propose the procedures for sending notification for high-risk trading accounts amid trading hours, formulating risk index formula, and making write-off on behalf of clients for the "Project of Futures Company's Trading and Risk Control Mechanism"
3. 建請主管機關同意開放期貨商及其第三地子公司接受證券投資信託事業及證券自營商委託從事非現行期貨交易法第5條公告之國外期貨契約、選擇權契約及期貨選擇權契約。
To recommend the regulatory authority to allow a futures company and its subsidiary registered with a third place to be authorized by the securities investment trust and advisory enterprises or the self-dealing division of a securities firm to trade the foreign futures, options, or options on futures which are currently not among the list announced in Article 5 of Futures Trading Act.
4. 研議「我國期貨市場建置盤後交易平台」之交易及風險控管機制相關作業調整。
To propose operational adjustments in the trading and risk control mechanism for the "After-market Trading Platform of Taiwan's Futures Market"
5. 建請主管機關同意開放期貨商經營國外期貨交易業務時，於國外期貨交易所進行交易之方式。
To recommend the regulatory authority to allow futures companies to follow foreign practices while trading foreign futures at foreign futures exchange.
6. 建請主管機關同意放寬期貨商自有資金運用範圍，增加臺灣集中保管結算所股份有限公司為得轉投資事業。
To recommend the regulatory authority to increase the targets for investments that Proprietary Futures Commission Merchants make with their own fund, adding Taiwan Depository & Clearing Corporation (TDCC) as a target for their re-investment.
7. 研議建議開放期貨商受託買賣業務員得協助槓桿交易者辦理槓桿保證金契約銷售案。
To recommend the government to allow futures company's brokers to help leverage transaction merchants with their sales project of leverage margin contracts.
8. 建請主管機關同意開放期貨商（含期貨交易輔助人）受託買賣執行業務員得轉介槓桿交易外幣保證金商品乙案。
To recommend the regulatory authority to allow futures companies (including futures introducing brokers) to make referrals of foreign currency leverage margin contracts to clients.
9. 與櫃買中心共同研議「開放華僑及外國人得從事槓桿保證金契約」案。
To work with Taipei Exchange in proposing the project of "Opening Leverage Margin Contract Trading to Overseas Chinese and Foreign Traders"
10. 研擬放寬保險業因增加投資效益目的從事衍生性金融商品交易範圍與作業程序及開放投資型保單投資標的範圍納入期貨信託基金之可行性。

To recommend the government to relax the operational procedures and the scope of the financial derivatives for insurance companies to trade for the purpose of increasing returns on investments as well as study the feasibility to add futures trust fund to the investment targets of investment-type insurance.

11. 建請主管機關放寬華僑及外國人委任期貨經理事業從事期貨交易不以期貨交易法第五條公告期貨商得受託從事之期貨交易為限。

To recommend the regulatory authority to relax provisions of Article 5 of Futures Trading Act which sets a limited scope of targets to be traded by the managed futures enterprises commissioned by overseas Chinese or foreign clients for trading futures on behalf of them.

12. 於「105年金融建言白皮書」建議：開放兩岸期貨交易人可透過當地期貨商複委託他方期貨商參與彼此期貨市場交易；開放大陸地區投資人來臺時得開立從事國內、外期貨交易之帳戶。

To raise recommendation to “Financial Whitepaper 2016”: to allow futures traders of both sides of the Taiwan Straits to require their futures companies to commission foreign re-engaging brokers in a third area to trade futures on each other’s futures market, and to allow traders from mainland area to open trading accounts in Taiwan for trading both local and foreign futures.

13. 建請主管機關放寬證券經紀商及證券投資顧問兼營期貨顧問事業，業務範圍不以辦理證券相關期貨顧問業務為限乙案。

To recommend the regulatory authority to broaden the business scope of the futures division of a securities broker or securities investment advisory enterprise to include non-futures businesses.

14. 研議期貨顧問業者發展類似受任人對於投資交易具有全權決定運用權之相關規範及具體管控措施。

To study the feasibility for futures advisory enterprises to provide the businesses similar to discretionary account management, as well as related regulations and supervising measures.

15. 為增進期貨信託業務發展，建請主管機關考量從業人員相關工作經驗，放寬期信基金銷售機構銷售人員之資格條件。

To recommend the regulatory authority to consider the related work experiences of futures trust workers and to relax the qualification requirements for futures trust fund sales workers, in a bid to activate development of futures trust business in Taiwan.

16. 建請主管機關開放信用合作社得擔任期貨信託基金之銷售機構。

To recommend the regulatory authority to allow co-ops to act as futures trust fund sales outlets.

17. 建議主管機關開放申購期貨信託基金及核准證券集中保管事業得經營期貨信託基金款項收付業務。

To recommend the regulatory authority to relax regulations on subscription of futures trust fund and allow the centralized securities depository enterprises to do the business of collecting payments for futures trust fund subscription.

18. 建請主管機關核准已依證券商管理規則第38條規定設立基金款項收付專戶或透過證券集中保管事業指定之銀行專戶辦理款項收付之證券經紀商，得以自己名義為客戶申購期信基金。

To recommend the regulatory authority to relax provision of Article 38 of Regulations Governing Securities Firms to allow the securities firm, which has opened a specialized account for collecting payment for fund subscription and collect such payment through the bank account designated by the centralized securities depository enterprises, to use its own name to subscribe futures trust fund for its clients.



簡化作業程序事項 Procedure-simplifying issues

1. 配合期交所辦理年度內控修訂作業，建議調整有關交易保證金追繳作業、調整後淨資本額之控管、申報作業及營業場所外辦理開戶前置作業等相關內稽內控作業，並建議調整內稽作業交易循環管理之查核週期。

To recommend the TAIFEX to adjust the procedures for collecting overdue deposit, management of adjusted net capital (ANC), as well as internal auditing control following adjustments in report-filing procedures and preparatory operations for account-opening, and at the same time make recommendation for adjusting the cycles for recyclable management of internal auditing, in cope with the TAIFEX's annual adjustments in internal control operation

2. 建請期交所同意放寬期貨商接受交易人辦理開戶時，於進行受託契約之重要內容、期貨交易程序及風險預告書之內容告知時，增加得以電子化方式或電話辦理。

To recommend the TAIFEX to allow futures companies to inform clients of major contents of contract, futures trading procedures, and the contents of the letter of risk warning by phone or electronic channels while handling account-opening procedures with client.

3. 建請主管機關放寬期貨信託事業募集基金計畫提報董事會之作業方式，並刪除期貨信託事業辦理追加募集基金案件須經董事會決議之規定。

To recommend the regulatory authority to relax the means for futures trust enterprises to report to the board meeting about its futures trust fund issuance plans and remove the requirement that a futures trust enterprise should report to its board meeting first before raising extra fund for the existing futures trust fund.

4. 研擬整合「年滿20歲須出具交易或投資經驗及瞭解風險之聲明書」及「70歲以上應出具有1年以上交易或投資經驗及瞭解風險之聲明書」與「風險預告書」之可行性。

To study the feasibility for integrating the requirements of "Requirements for Futures Trader Aged 20 or Above to Present Statement of Trading and Investment Experience and Understanding of Risks," "Requirements for Futures Trader Aged 70 or Above to Present Statement of Trading and Investment Experience of One Year or More and Understanding of Risks," and "Letter of Risk Warning"

放寬自有資金運用限制 Relaxing restrictions on paid-in fund management

1. 建請放寬兼營期貨自營商之自有資金運用範圍，於國內上市（櫃）有價證券增列公司債及可轉換公司債乙案。

To recommend the regulatory authority to broaden the investment field for investments of the Futures companies, using the capital of themselves, to add corporate bonds and Type-B Convertible Bond to the category of marketable securities issued by TSE- or TPEx-listed companies.

2. 建請主管機關放寬：期貨自營商從事國外期貨造市業務之相關限制，及從事任一國外期貨未沖銷部位原始保證金加計選擇權權利金收付金額，不得超過淨值10%之規定。

To recommend the regulatory authority to relax the regulations on the proprietary Futures Commission Merchants acting as market makers and relax the regulation stating that the total sum of the original deposit position which has not been written off and the collected premium for option trading should not exceed 10% of the company's net assets value

3. 與櫃買共同研議，建請主管機關放寬期貨商自營業務及自有資金運用得全權委託期貨經理事業代為操作，與開放期貨商得以自有資金購買期貨信託事業於國內對特定人募集發行之期貨信託基金。

To discuss with the TPEX for recommending the regulatory authority to relax the regulations to allow futures companies and those using their own capital to entrust managed futures enterprises for discretionary account management or purchase the futures trust fund issued by domestic futures trust enterprises for special targeted persons

因應期貨業打造數位化金融環境 Creating digital financial environment 3.0 for futures industry

1. 研議有關「規劃專營期貨商提列特別盈餘公積以因應金融科技發展之員工轉型及訓練經費」意見案。

To propose the recommendation of “Rules for specialized futures brokerage companies to allocate special surplus reserves as the fund for employee skill upgrading or training to cope with the financial technology development”

2. 為利打造數位化金融環境，建議期交所開放期貨商及期貨交易輔助人辦理交易人開戶，得透過電子載具提供電子契約書及相關文件供投資人審閱簽署，暨得以電子方式交付電子密碼條。

To recommend the TAIFEX to allow futures companies and the IB to handle account-opening process by using electronic devices, providing electronic contracts and related documents to clients for their review as well as provide the QR code through electronic channels, in favor of development of digitalized financial environment.

3. 打造數位化金融環境，建請主管機關放寬兼營期貨顧問事業得接受「非特定人」使用憑證機構所簽發之電子簽章（自然人憑證）簽署電子文件方式辦理期貨顧問委任契約乙案。

To recommend the regulatory authority to allow the concurrent futures advisory enterprises to accept the non-specified person's electronic signature (Citizen Digital Certificate), issued by the Certificate Authority (CA), for the electronic contract and related documents for authorization of managed futures business advisors.

4. 為利打造數位化金融環境，建請主管機關修正期貨信託基金管理辦法第20條及期貨信託事業管理規則第30條，刪除「指派登記合格之業務員」之文字。

To recommend the regulatory authority to make amendments to Article 20 of Regulations Governing Futures Trust Fund and Article 30 of Regulations Governing Futures Trust Enterprises, removing these words “appoint enrolled qualified sales workers.”

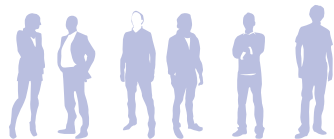
其他建議事項 Other recommendations

1. 建議期交所之內部稽核查核作業之營業紛爭處理作業，增訂選擇樣本標準。

To recommend the TAIFEX to add the criteria for selecting samples to the section of solving business disputes of the guidelines for internal auditing and checking.

2. 建議開放證券商經營期貨交易輔助業務者從事國內、外期貨交易業務時，得分別接受一家期貨商之委任。

To recommend the regulatory authority to allow the securities firms which provide the futures IB business to entrust separate futures companies for their domestic and foreign futures businesses, respectively.



3. 建請主管機關修正「期貨商接受期貨交易人委託辦理國外期貨當日沖銷交易應行注意事項」，有關審核程序、委託單作業方式…等事項。

To recommend the regulatory authority to make amendments to the “Guidelines for Futures Companies to Be Entrusted by Futures Traders for Handling Day Trading of Foreign Futures,” regarding the procedures of document-reviewing, order-placing, and other related matters.

4. 建議主管機關取消期貨商業務員資格五年內有效之相關規定。

To recommend the regulatory authority to scrap the regulation that the qualification of a futures sales worker is valid for five years.

5. 配合期交所規劃推出的盤後交易制度，研議修正「期貨商交易及風險控管機制專案」各項議題彙整表。

To compile a list of the items for revising the “Project of Futures Company’s Trading and Risk Control Mechanism” in cope with the TAIFEX-planned after-hours trading system.

6. 為提高期貨商對公司治理參與度，參酌證券商相關規定，研議訂定期貨商應指派人員出席被投資公司股東會之門檻條件。

To refer the related regulations governing securities firms for proposing the basic qualification requirements of the person to be appointed by a futures company as its representative to attend the shareholders’ meeting of its re-invested company, in a bid to raise the participation of the futures company in handling corporate governance issues.

7. 建請放寬股票選擇權或股票期貨造市者可依實際避險需求自定彈性之現貨避險規範

To recommend the regulatory authority to relax the regulations to allow greater flexibility for the stock options or stock futures market makers to hedge the risks associated with spot stocks with their own paid-in capital.

8. 研擬修正期貨經理事業經營全權委託期貨交易業務操作辦法，有關受理委任人申請全權委託期貨交易時，應請委任人填寫全權委託期貨交易申請書。

To propose amendments to the guidelines for managed futures enterprises in handling discretionary account management business, regarding the application form for clients to fill out while they are handling the process to be entrusted for doing discretionary account management business.

9. 研議「會員金融友善服務準則（草案）」，暨規劃本公會及各期貨業者設置「金融友善服務專區」之作法。

To propose the “Guidelines for Providing Finance-Friendly Service for CNFA Members (draft)” and the measures for the CNFA and its Members to set up the “Special Zone for Finance-Friendly Service.”

10. 完成「期貨商調整後淨資本額（ANC）計算及比例標準合宜性」委外研究計畫，並建請主管機關調整「調整後流動資產項目」及調整後淨資本額（ANC）比率計算之項目。

To complete the commissioned research project on the “Adjusted Net Capital (ANC) calculation formula for futures companies and appropriateness of setting standard ratio,” and recommend the regulatory authority to adjust the “assets items after adjustment” and the items for calculating the ratio of the ANC.

二、業務發展事項

B. Association activities



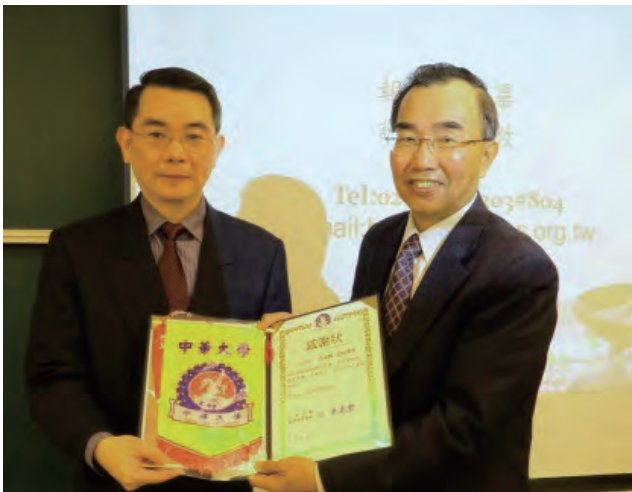
市場推廣活動 Market promotion activities

「2016年期貨業校園徵才」巡迴講座 (3/01-6/01)

本講座於各大學院校辦理25場、超過1,700位同學參與，舉辦目的係籍由巡迴講座協助同學正確認識期貨就業市場，並了解實務工作內容與所需具備之職能，並做好職涯規劃與就業的準備，為職場生涯構築藍圖。

“Talents-hunting on Campus” lecture series for 2016 (March 1-June 1)

In 2016, the CNFA arranged 25 such campus lectures, attended by over 1,700 students. The lectures were arranged to help students understand the futures market as well as the jobs of futures workers and the work requirements, and that would prompt them to take earlier steps to plan for their careers in the future.



「金融講堂」系列講座課程 (3/16、3/31、4/18、10/08、11/02、11/03、11/07)

為響應主管機關推動「金融知識普及計畫」及金融教育推動小組「深化校園根基」策略，本公會參與「金融講堂」系列講座，講授期貨業實務課程，協助學生就業之工作計畫，實踐向下紮根，培育金融人才之理念。

“Financial Auditorium” lecture series (March 16, 31, April 18, Oct. 8, Nov. 2, 3, 7)

To cope with the government’s “popularization of financial knowledge” policy as well as the financial education promotion group’s “deepening education on campus” strategy, the CNFA sponsored the “Financial Auditorium” lecture series to provide lectures on practices of futures business, helping students plan for their career in the future, realizing the concept for deepening futures education and cultivating financial talents for the future.



期貨業務人才養成班聯合徵才活動 (9/20~10/05)

本公會於105年度舉辦第29期聯合徵才活動，「期貨業務人才養成班」係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。開辦至今已為業界媒合357位生力軍。

Joint talents recruitment activity for futures salesperson training courses (Sept. 20-Oct. 5)

The CNFA held the 29th joint talents recruitment activity for 2016, in conjunction with the “Futures Salesperson Training Course” sponsored by the TAIEX and organized by the Securities & Futures Institute (SFI). The CNFA was responsible for screening the trainees for this Course which, since inception, has seen 357 trainees find competent jobs after completing the training course.



「期貨信託基金與期經全委代操宣傳活動」
(3/11~5/31)

為使交易人能更進一步的瞭解期信基金及期經全委代操，臺灣期貨交易所與期貨公會共同舉辦「期貨信託基金與期經全委代操宣導活動」，宣導內容包含報章、廣告Banner及影片字卡等，媒體運用以網路為主、平面媒體為輔，並設計QR Code連結至本公會專屬網頁，提供投資人進一步瞭解期貨信託基金與期經全委代操相關資訊之管道，另透過電視媒體製播財經新聞專題報導。

為提昇宣導活動之曝光度與效果，3月11日於期交所大會堂舉辦啟動典禮，由金管會副主委黃天牧親臨現場勉勵，期交所董事長劉連煜及期貨公會常務理事張雅斐致詞，期經期信多家業者均出席觀禮，當日活動並有眾多媒體爭相報導。

Promotional activities for discretionary account management business of futures trust and managed futures enterprises
(March 11-May 31)

In order to help traders further understand the discretionary account management businesses offered by the futures trust and managed futures enterprises, the CNFA joined the FAIFEX in holding the “Promotional activities for discretionary account management business of futures trust and managed futures enterprises” with advertisements published on newspapers, as well as advertisement banners, videos, and cards. For promotion through mass media, Internet is the major channel, supplemented with printed materials and a specially-designed QR Code linked to the CNFA’s website, providing multiple channels for the public to get relevant information. Besides, several special reports were broadcast on the economic and financial TV programs.

In order to expand public exposure for higher promotional efficiency, an opening ceremony of this activity was held on the auditorium hall of the TAIEX on March 11, with welcome remarks of TAIEX Chairman Lien-yu Liu and CNFA Executive Director Phoebe Chang. It’s attended by FSC Vice Chairman Tien-mu Huang and experts from the futures trust and managed futures enterprises. This event was widely reported by the mass media.



	<p>期貨信託基金 期經全委 帶你找到收益新契機</p>	<p>多元交易標的 多空雙向操作 追求絕對報酬</p>	
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理財講座-設攤推廣期貨活動 (5/17、5/26、6/30)

為使業者與企業主管能夠直接面對面的接觸，今年再度於法人機構人民幣匯率期貨理財講座會場設置期貨商攤位，以簡單的遊戲傳達正確之期貨交易、開戶、風險控管等作業流程與相關規定，業者與來賓互動熱絡，活動盛況空前。

Wealth management lecture and assets management booth (May 17、26, June 30)

In order to create opportunities for futures workers to talk with high-ranking executives of enterprises in person, the CNFA arranged the Wealth Management Lectures again for 2016, on the topic of RMB FX Futures, and set up assets management booth to play simple games with visitor to help them understand the rules on futures trading, procedures for account opening, risk control system, and so on. It attracted many visitors and had active interaction with them.





證券期貨業推動發展金融科技座談會 (8/10)

面對國際金融業近年來運用金融科技提升競爭力之趨勢，我國證券期貨業轉型與升級勢在必行！證券公會、期貨公會及投信投顧公會共同辦理本座談會，邀請產學專家共同座談，協助我國證券期貨業，在創新時代下成功轉型、永續發展。

Seminar on financial technologies developed for securities and futures markets (Aug. 10)

Amid the global trend of applying technology to strengthen competitiveness among the financial industry, it's inevitable for Taiwan's securities and futures industries to seek transformation and upgrading. The CNFA there fore joined the Taiwan Securities Association and Securities Investment Trust and Advisory Association in holding this seminar, inviting experts to discuss related issues in a bid to help Taiwan's securities and futures industries transform to cope with the new financial environment and pursue sustainable development in the future.

「金融業推動金融科技發展之努力與建言」座談會 (8/29)

本公會參加由金融總會主辦之座談會，除瞭解金融業應用金融科技之目前進展，並期建立期貨業與金融科技業之合作關係、推動金融科技之未來發展、金融科技與期貨業洗錢防制之強化等議題。

Seminar on development of financial technologies for financial industry (Aug. 29)

The CNFA participated the “Seminar on development of financial technologies for financial industry” held by the Taiwan Financial Service Roundtable (TFSR), to understand the status of technology application in financial industry in a hope to establish cooperative link between financial technology and futures industries to push for development of financial technology in the future as well as strengthened cooperation between them in tackling money laundry crimes.

新創業者與證券期貨投信投顧業之對話座談會 (11/11)

為解析證券期貨業應用金融科技、與金融科技新創業者合作情形及發展目標，證券公會、期貨公會及投信投顧公會共同辦理本座談會，以建立直接有效之溝通平台，期藉由對話，凝聚明確建議，以提升證券期貨業經營效率及競爭力。

Dialogue among start-up runners and securities investment trust and advisory enterprises (Nov. 11)

In order to further understand the development of financial technology, cooperation between financial institutions and financial technology providers, as well as the goals of cooperation in the future, the CNFA joined the Taiwan Securities Association and Securities Investment Trust and Advisory Association in holding this seminar, establishing a direct and efficient communication platform where full discussion was made to foster concrete recommendations regarding how to strengthen operational efficiency and competitiveness of securities and futures companies.





「105年金融建言白皮書」座談會（11/25）

本公會參與金管會主辦之金融建言白皮書座談會，建議「大陸地區投資人來台時得開立從事國內、外期貨交易之帳戶」、「調降期貨交易稅率」，及「調降股票期貨暨股票選擇權造市者從事避險股票交易之證券交易稅」…等事項。

Meeting on “Financial Whitepaper 2016” (Nov. 25)

The CNFA participated the FSC-held Meeting on “Financial Whitepaper 2016,” raising several recommendations such as “allowing investors from the mainland area to open trading account in Taiwan for trading local and foreign futures,” “cutting the tax rate on futures trading,” “lowering the tax rate for the risk-hedging stock transaction made by stock futures and stock operations market makers,” and so on.

期貨市場盤後交易風險控管作業暨期貨商受託從事國外期貨交易方式專案會議（11/26）

配合期交所規劃推出之盤後交易，有關盤後交易結算作業及期貨商風險控管作業，未來若開放期貨商受託從事國外期貨交易方式後，複委託商及期貨經紀商之發展方向，以及二者之合作關係，特辦理本專案會議，邀請本公會理監事及期貨商相關人員進行討論與溝通。

“Project meeting on after-hour trading risk control and means for futures companies to be entrusted for trading foreign futures (Nov. 26)

In cope with the TAIEX-proposed after-hours trading system, the CNFA arranged this meeting to discuss related issues such as the settlement procedures during trading hours and risk control for futures companies, future development of re-engaging brokers and managed futures enterprises once the futures brokers are allowed to be entrusted for trading foreign futures, and possible cooperation between them, and other related issues. It invited CNFA directors and supervisors as well as representatives of futures-related companies to gather at the meeting to have discussions and exchange points of view.



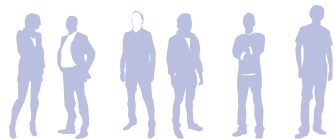
「院長與金融產業座談會」（12/22）

由金融總會主辦之「行政院長與商業領袖座談會」參與者包含閣揆林全及等10多位政府機關一級主官，及國內30餘位金融界與金融商業公會理事長或代表，及相關周邊單位董事長，就共同關切的財金議題面對面溝通。

Meeting of Premier and Representatives of Financial Industry (Dec. 22)

The meeting arranged by Taiwan Financial Service Roundtable (TFSR) was attended by Premier Lin Chuan and more than 10 first-tier government officials as well as over 30 representatives of financial industry (including association chairmen and company chairpersons) to have face-to-face discussion about financial-related issues.





政令宣導 Policy Advocating

洗錢防制宣導說明會 (7/20、22、29)

為利會員遵循防制洗錢相關規範，本公會邀請調查局洗錢防制中心專家從案例分析講解，說明重要法律條文、透析洗錢手法及疑似洗錢應注意事項，以達強化從業人員對洗錢行為之警覺性，進而防杜重大犯罪情事。

Advocating activity for "Money Laundry and Terrorism Money laundry control seminar (July 20、22、29)

In order to help Member Companies behave in compliance with money laundry control regulations, the CNFA invited experts from the money laundry control center of the Investigation Bureau to introduce major laws and acts, analyze possible money laundry means and prevention guidelines, so as to raise futures workers' awareness and prevent major financial crimes.

「金融消費者保護-從新聞事件談期貨交易者保護」說明會 (10/18、20、25)

為維護期貨交易者權益與期貨市場交易秩序，邀請法務部調查局台北市調查處專家，從非法期貨交易、近期金融資安事件等層面的新聞事件及個案實例，配合法律條文，提醒從業人員謹慎執行職務，並留意應注意事項。

Personal information protection—on news event regarding how to protect futures traders (Oct. 18、20、25)

For protecting futures traders' right and maintaining futures market order, the CNFA invited experts from the investigation department of the Taipei City Government and the investigation bureau of the Ministry of Justice to speak about the news events and raise actual cases as samples to talk about illegal futures trading, financial information security, and related laws and regulations, in a bid to remind futures workers to keep alert and pay attention to details at work.

國際交流 International exchange

第41屆美國期貨業協會 (FIA) 年會 (3/14-17)

2016年美國CFTC國際監理官會議及第41屆美國FIA年會於3月14日假美國佛州Boca Raton舉行，除國際監理會議及交易所資訊交換外，另探討自動化交易規範、區塊鏈技術運用及期貨商危機情境模擬等專題，計有上千位各國代表與會，我國由證期局王副局長詠心、期交所劉董事長連煜及期貨公會盧秘書長廷劭等8位代表出席。

Boca 2016, annual meeting of Futures Industry Association, FIA (March 14-17)

In conjunction with the meeting of international supervisors of the Commodity Futures Trading Commission (CFTC), the 41st annual meeting of the Futures Industry Association (FIA) was held in Boca Raton, Florida, the U.S.A. on March 14-17, gathering international supervisors and executives from the exchanges to change information and discuss rules on automatic transactions, block chain technology application, simulation of potential risks threatening operations of futures companies, and other related topics. These two events were attended by over 1,000 representatives from various countries. Taiwan's eight delegation include Securities and Futures Bureau Deputy Director Yung-hsin Wang, TAIFEX Chairman Lien-yu Liu, CNFA Secretary General Lu, and others.





IOSCO祕魯年會 (5/08-5/12)

國際證券管理機構組織 (IOSCO) 於2016年5月8日至12日假秘魯利馬舉辦第41屆年會。IOSCO係由各國證券及期貨市場主管機關或自律機構所組成，其會員管理超過全球95%以上之證券及衍生性商品市場。

IOSCO annual meeting in Peru (May 8-12)

The International Organization of Securities Commissions (IOSCO), an international body that brings held its 41st annual meeting in Lima, Peru on May 8-12, 2016. The IOSCO is an international body which brings together the world's securities regulators as a cross-border self-discipline organization, and its members covering over 95% of the global securities and derivatives market.



LME亞洲年會 (6/14)

2016 LME亞洲年會於6月14日在香港會議展覽中心舉行，探討有色金屬的發展前景，共吸引近1,600名產業人士參加，我國期貨業者計有凱基期貨董事長以雍、群益期貨董事長孫天山、康和證券副董事長大宇、元大期貨總經理周筱玲、統一期貨總經理黃奕銘及期貨公會秘書長廷劼等7位受邀參加。

LME's annual meeting in Asia (June 14)

The London Metal Exchange (LME) held its annual meeting for Asia in Hongkong on June 14, discussing the future prospect of colored metal trading. It was attended by around 1,600 industrial representatives, including seven from Taiwan. KGI Futures Chairman Falco Mi, Capital; Futures Chairman Tim Sun, Concord Futures Vice Chairman David Cheng, Yuanta Futures President Hsiao-ling Chou, President Futures President Yi-ming Huang, and CNFA Secretary General Lu were invited to attend.

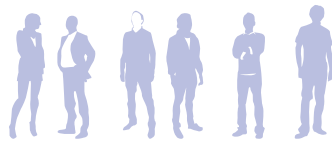


「2016台北國際期貨論壇」(9/21)

今年以「黃金現貨及衍生品市場之現況與展望」作為論壇主題，力邀國內外交易所及專業人士，就全球供需基本面、國際熱門產品面與香港發展經驗面，向與會人士分享國內外黃金現貨及衍生性市場之現況，並探討我國發展黃金相關市場之展望。

Taipei International Futures Forum 2016 (Sept. 21)

The forum 2016, held under the theme of "The Development Trends of Gold Spot and Derivatives Markets," invited both local and foreign traders and experts to have broad discussion from the fundamental facet of global supply as well as the facets of hot products and Hongkong experiences, introducing the status and prospect of the spot gold and derivatives markets, in addition to introduction of the market development in Taiwan.



理監事義大利考察團 (9/23~10/3、10/13~10/23)

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。105年特別安排理監事考察參訪義大利，協助會員拜訪我國駐義大利台北代表處，並爭取當地人士參與我國期貨市場之交易。

Italy Observation Trip of CNFA Directors and Supervisors (Sept. 23-Oct. 3, Oct. 13-23)

In order to observe the experience of advanced countries in development of financial derivatives market as reference of Taiwan's futures companies for their operations in the future, as well as to introduce Taiwan's futures market to foreign counterparts, the CNFA arranges overseas observation trips for directors and supervisors every year. In 2016, the CNFA particularly arranged this Italy trip for directors and supervisors, helped CNFA Members visit Taipei representative office in Italy, and invited local citizens there to take part in Taiwan's futures market.



兩岸往來 Cross-straits Interaction

浙江寧波大學師生來訪 (7/19)

該校師生一行20人來訪，由本公會陳怡真組長負責接待，參訪中除介紹本公會之組織、職能外，並就台灣期貨市場做了精要之介紹，讓來訪師生對台灣期貨業能有基本之認識。

Visit of teaching faculty members and students from Ninbo Institute of Technology (July 19)

This school organized a delegation of 20 students and faculty members to visit the CNFA, received by Section Chief Yi-chen Chen who introduced the structure and operation of the CNFA and the current development of Taiwan's futures market to help the visitors have a basic understanding of Taiwan's futures industry.



「第10屆中國期貨分析師暨場外衍生品論壇」 (4/22-23)

本屆論壇以“新動力•新平台•新服務--全面提升服務實體經濟能力”為主題，圍繞大宗商品、期權與場外衍生品、期貨+保險、金融衍生品與風險管理等服務等議題，本公會受邀參加，並於會議期間拜訪當地期貨公司，以瞭解大陸期貨資產管理業務的運作現況及風險管理子公司發展現況。

“The 10th China Derivatives Analyst & OTC Derivatives Forum 2016” (April 22-23)

The forum for 2016 was held on the theme “New Momentum, New Platform, New Service—overall enhancing of service capability for physical side of economy,” discussing commodities, futures options, OTC-traded derivatives, combination of futures and insurance, financial derivatives, risk management, and other related topics. The CNFA was invited to attend this forum. During their trip in the mainland, the CNFA delegates took the opportunities to visit local futures companies there, in a bid to have better understanding of the role of futures as a risk-hedging vehicle, risk control, and subsidiary management in the mainland.





「第13屆上海衍生品論壇」(5/25-26)

本公會盧秘書長及詹副秘書長受上海期貨交易所邀請，參加本論壇，本次主要探討供給側改革大背景下期貨市場的功能發揮，涉及大宗商品產業服務、風險管理子公司、資產管理等多項議題。

“13th Shanghai Derivatives Market Forum” (May 25-26)

CNFA Secretary General Lu and Deputy Secretary General Chan were invited by Shanghai Futures Exchange to attend this forum for 2016 which is focused on the topics regarding how to exert functions of futures market in reaction to the changes of fundamental side of goods supply, concerning the services for commodity trading, risks of subsidiaries, assets managements, and other related issues.

社會關懷 Social care

「金融服務業教育獎助學金計畫」(105學年)

本計畫是由金管會指導，金融總會統籌辦理，各金融周邊、同業公會、控股公司及外商銀行，共同捐助約新臺幣1億2仟萬元，其中1億元針對需要幫助之大專青年作為教育獎助學金，2仟萬元辦理金融教育課程。

Educational Scholarship Program for Financial Service Industry (School year 2016)

This program, in accordance with the FSC's instruction, is executed by the Taiwan Financial Services Roundtable, with an initial fund of NT\$120 million, donated by financial satellite institutions, associations, holding companies, foreign banks, and so on. Of the NT\$120 million, NT\$100 million will be used as scholarship for collage students while the rest as the fund for holding educational courses and activities.



「第10屆證券暨期貨金椽獎」頒獎典禮(12/13)

由金管會指導，證券期貨局與證券期貨周邊單位共同辦理之「證券暨期貨金椽獎」論文甄選，每兩年辦理一次，至今已辦理十屆。本屆由金管會鄭副主委貞茂親臨致詞及頒獎，共計136篇論文參賽，19篇論文得獎。

Award Ceremony of 10th Securities & Futures Award (Dec. 13)

The “Securities & Futures Award” co-organized by the Securities and Futures Bureau and satellite institutions of securities or futures institutions, in accordance with the FSC's instruction, has entered its 10th year in 2016. It's held twice a year, awarding the excellent papers. Among the 136 papers participated to compete the award for 2016, 19 were selected as the winners, honored with the awards presented from FSC Vice Chairman Cheng-mao Cheng on the award ceremony.





聯誼活動 Friendship activities

1. 從業人員聯誼活動 (11/15)

為提倡健康自然之休閒活動並提供從業人員聯誼管道，期貨公會辦理從業人員登山健行聯誼活動，在好朋友們的熱情參與期待中，自96年起每年辦理；在有限的條件下，規劃不同的路線與餘興活動，親子型、加強版、勇腳級循序漸進，以滿足參與者不同的需求，並同時辦理「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，本次活動近1,200名從業人員及眷屬參與。

Friendship activities for futures workers (Nov. 15)

In order to provide healthy and natural leisure activities to futures workers, the CNFA has arranged the annual hiking activity amid zealous anticipation of members since 2007. Under limited conditions, it planned multiple hiking routes—the child-loving version, enhanced version, brave-hiker version, and incremental version, plus leisure activities for 2016, in a hope to meet the demands of different groups of hikers. Meanwhile, an “invoice donation for social care” was held in to have the leisure activity proceed with the functions of education and social responsibilities. The activity was participated by over 1,000 futures workers and their family members.

2. 委員會聯誼活動 (4/16-17、4/30-5/01)

105年度委員會聯誼活動規劃台中都會風情兩日行程，2梯次辦理，期透過此聯誼活動，讓平日業務繁忙的業界同仁，得以互相交流並聯絡感情。

Friendship activity for committee members (April 16-17、April 30-May 1)

The friendship activity for committee members for 2016 was the 2-day journey to Taichung offering a good opportunities for futures workers to entirely relax themselves from busy work and make closer interaction with each other during this trip.





3. 理監事聯誼活動

Friendship activity for CNFA directors and supervisors



理監事聯誼-日本 (02/26~03/01、03/24~03/28、12/10~12/15)

Friendship activity for directors and supervisors—in Japan
(Feb. 26-March 1、March 24-28、Dec. 10-15)

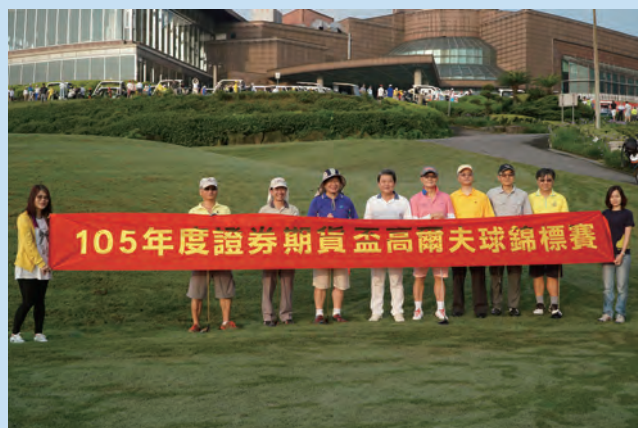


4. 105年度證券期貨盃高爾夫球賽 (5/07)

證交所、期交所、集保、櫃買、證券公會、期貨公會及投信投顧公會7大單位共同舉辦證券期貨盃高爾夫球賽，以提倡正當休閒運動，並加強證券、期貨業之交流聯誼。

Securities & Futures Golf Championship for 2016 (May 7)

The securities & futures Golf Championship is co-organized by seven associations and institutes of the TSE, TAIFEX, TDCC, TAPx, TSA, CNFA, and SITCA to promote healthy leisure activity for securities and futures workers and strengthen interactions among them.





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105年度針對期貨顧問事業之業務及內部稽核作業實施例行查察輔導及專案查核工作，其中違反本公會「會員自律公約」，提報紀律委員會共8案，發函要求改善者4件、核處警告者3件、核處5萬元違約金者1件。

The CNFA made annual inspection on futures advisory enterprises and their practices of internal auditing. In 1026, among those found breaking the “Self-discipline Agreement for CNFA Members,” eight cases were reported to the Discipline Committee, four were notified to make improvement by written letter, and one was fined NT\$50,000 for breaking the rules.

2. 督促事項

Discipline matters

期貨顧問事業以外之會員公司因違反本公會自律規範，提紀律委員會報告案共5案，其中處「注意改善」者5件。

Except futures advisory enterprises, among other member companies which violated the “Self-discipline Rules for CNFA Members,” five cases were reported to the Discipline Committee and another five were notified to make improvement.



四、關於會員業務之廣告及宣傳審查事項

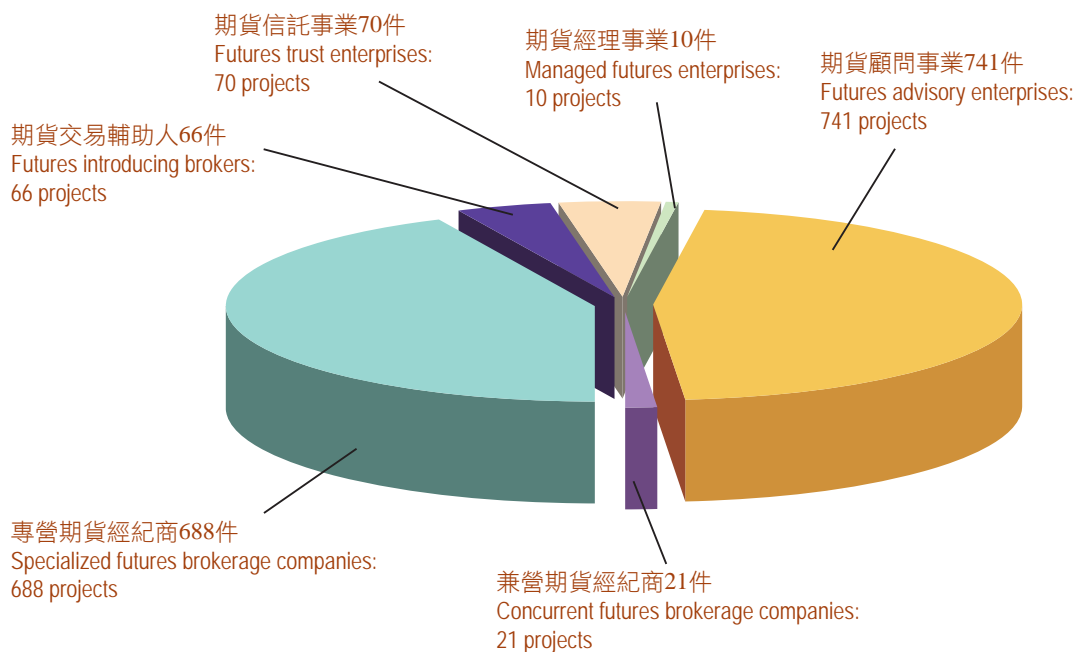
D. Inspection of advertisement and promotional materials of member companies

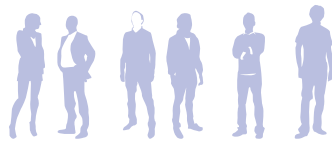
本公會105年度共計審核1,596件會員公司宣傳資料及廣告案件，就案件分析，專營期貨經紀商申報688件、兼營期貨經紀商申報21件、期貨顧問事業申報741件、期貨經理事業申報10件、期貨信託事業申報70件、期貨交易輔助人申報66件。

In 2016, the Association reviewed 1,596 projects of advertisement and promotional materials published by member companies. Among them, 688 projects were filed by the specialized futures brokerage companies, 21 by concurrent futures brokerage companies, 741 by futures advisory enterprises, 10 by managed futures enterprises, 70 by futures trust enterprises, and 66 by futures introducing brokers

105年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2016

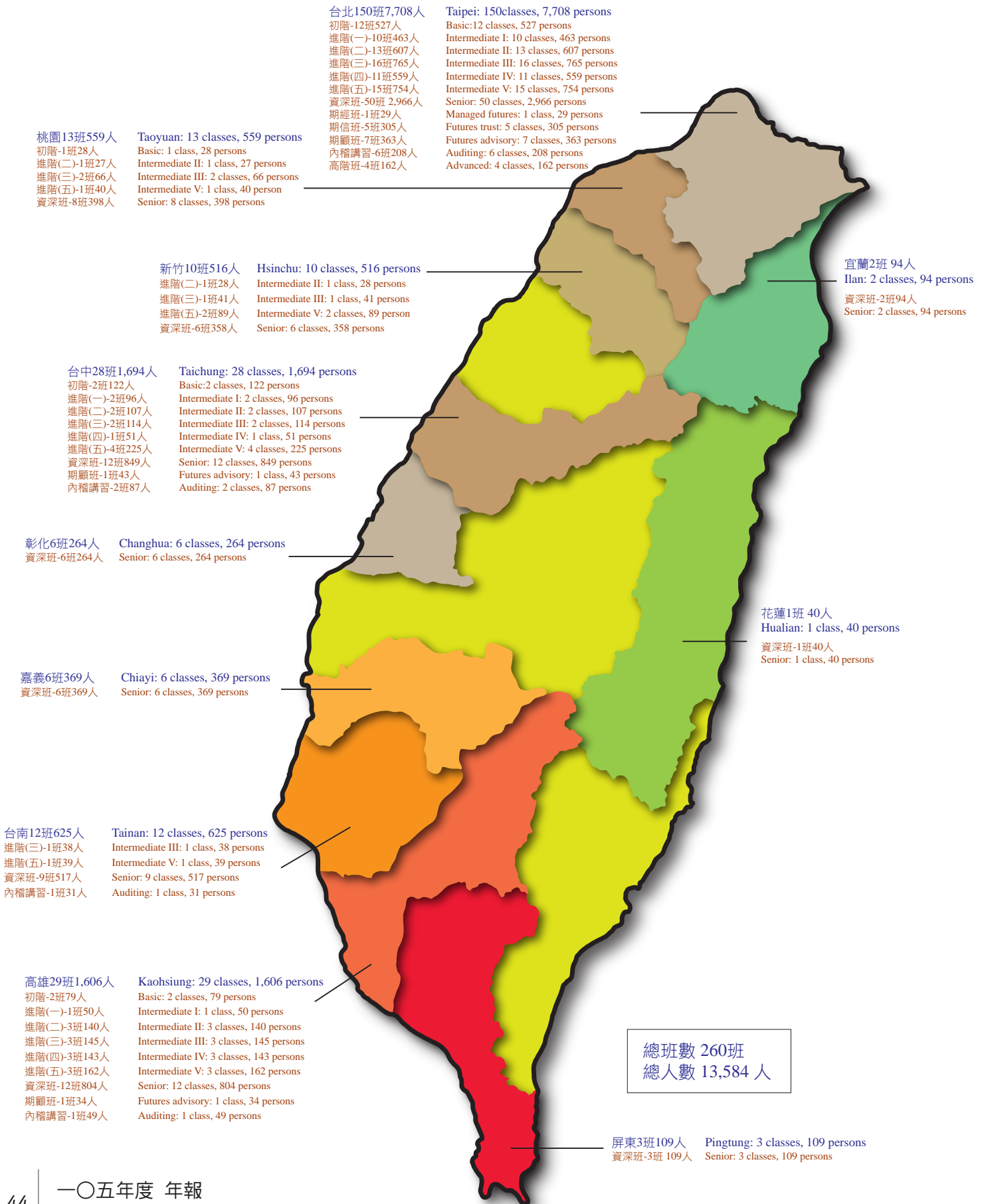




五、在職訓練

E. On-job training

105年度舉辦之地區別、班別及人數詳如下圖：
CNFA-arranged Training Courses in 2016



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

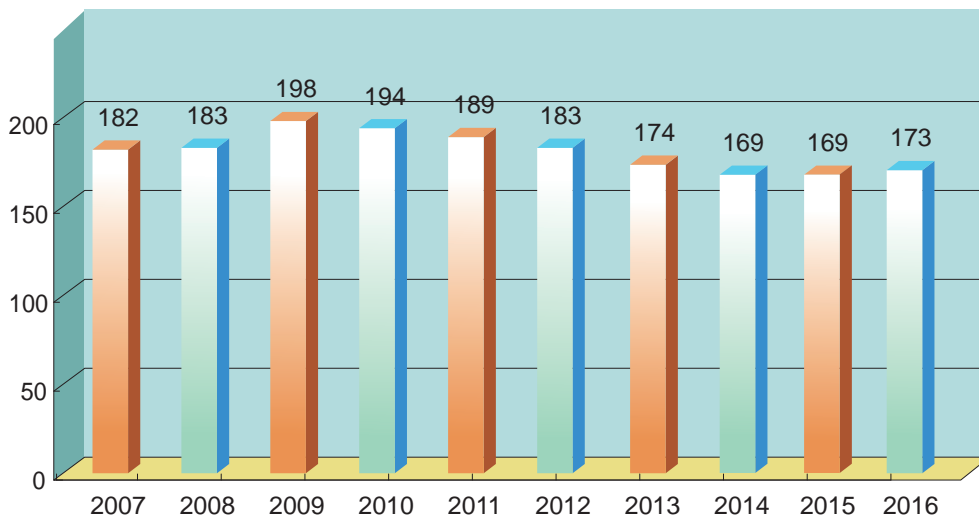
Registration of member companies and their business representatives

- 會員家數：共計173家，其中經營期貨經紀業務為35家(20%)；期貨業務輔助人49家(28%)；期貨自營業務34家(20%)；期貨經理業務9家(5%)；期貨顧問業務34家(20%)；期貨信託業務10家(6%)；槓桿交易商2家(1%)。

There were 173 member companies registered with the CNFA at the end of 2016: 35 (20%) futures brokerage companies, 49 (28%) futures introducing brokers, 34 (20%) proprietary futures commission merchants, 9 (5%) managed futures enterprises, 34 (20%) futures advisory enterprises, 10 (6%) futures trust enterprises, 2(1%) leverage transaction merchant.

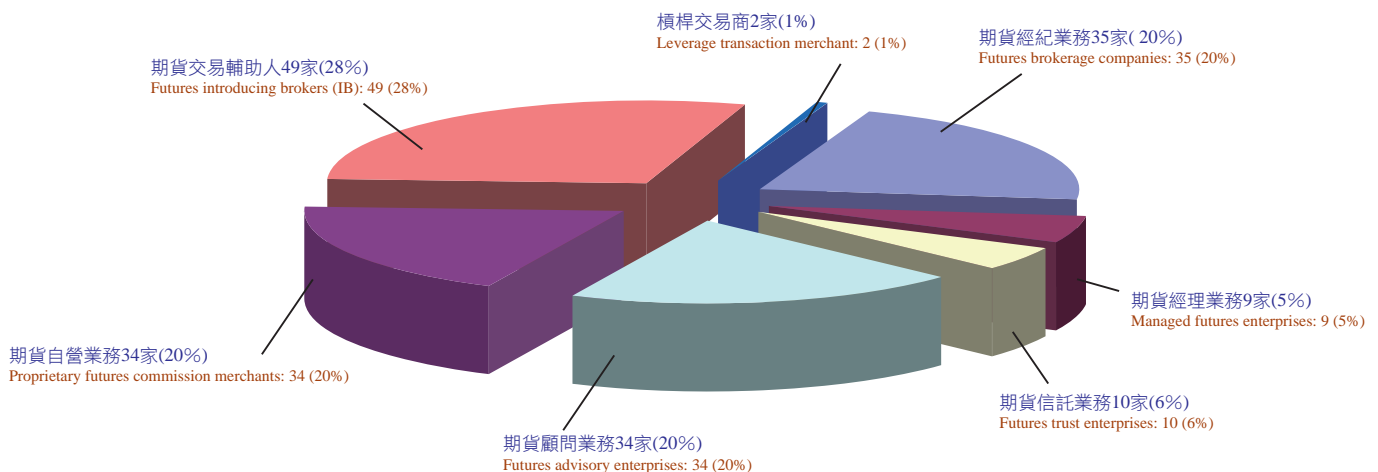
近10年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years

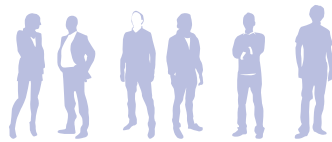


105年度會員類別統計圖

Statistics of CNFA Member Companies in 2016, by Business Category



共計173家會員 資料統計截至105/12/31
A total of 173 member companies as of Dec. 31, 2016

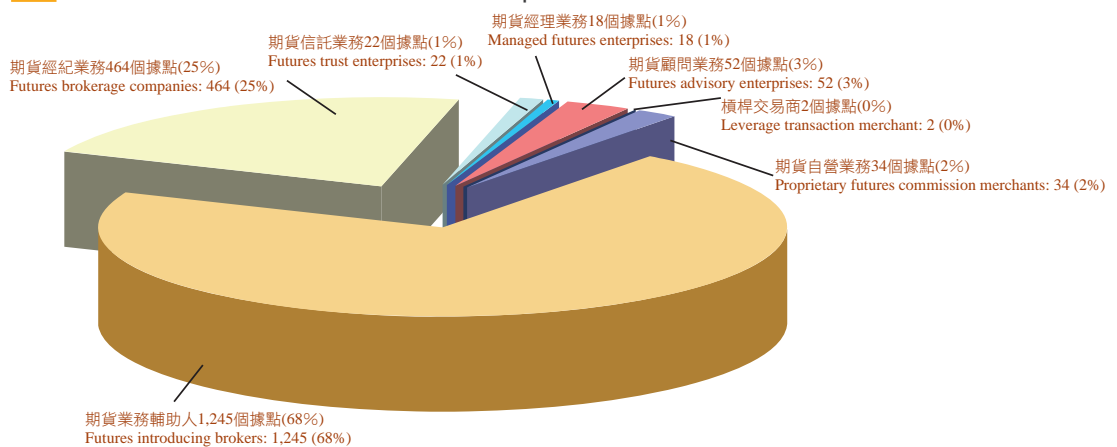


- 會員總分公司分支機構數：共計1,837家，其中經營期貨經紀業務為464個營業據點(25%)；期貨業務輔助人1,245個營業據點(68%)；期貨自營業務34個營業據點(2%)；期貨經理業務18個營業據點(1%)；期貨顧問業務52個營業據點(3%)；期貨信託業務22個營業據點(1%)；槓桿交易者2個營業據點(0%)。

CNFA Member Companies were operated with a total of 1,837 headquarters offices and branch offices as of the end of 2016: 464 used by futures brokers (25%), 1,245 used by introducing brokers (68%), 34 used by proprietary futures commission merchants (2%), 18 used by managed futures enterprises (1%), 52 used by futures advisory enterprises (3%), and 22 used by futures trust enterprises (2%), 2 used by leverage transaction merchant (0%)。

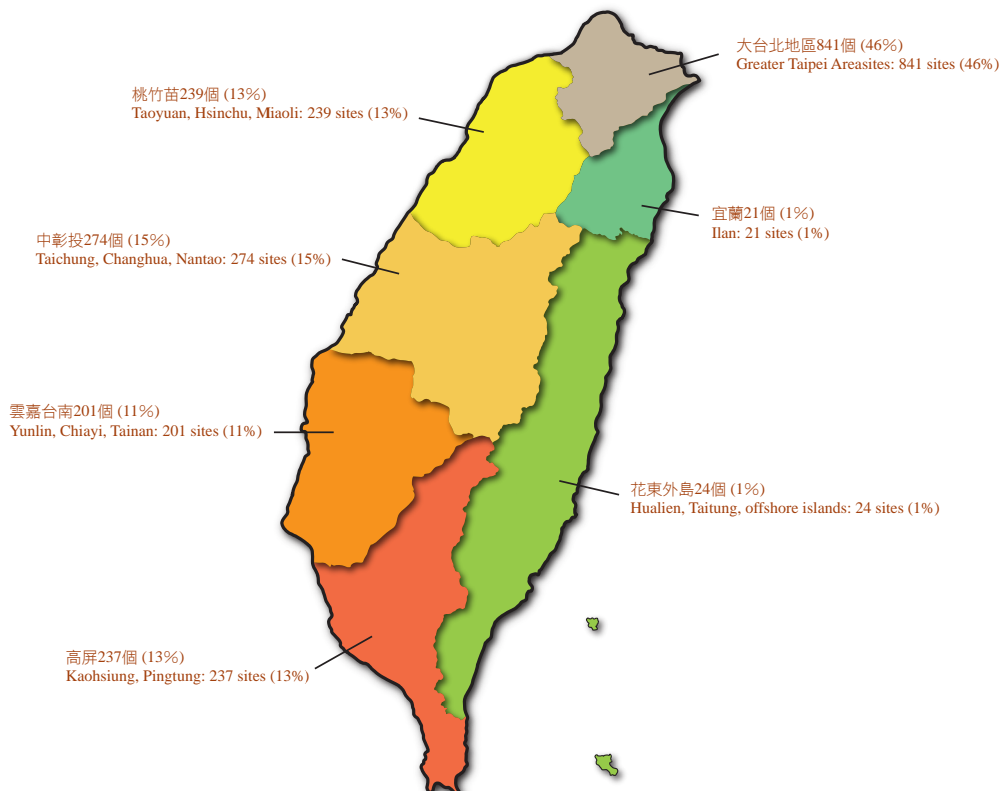
會員營業據點統計圖

Business Sites of CNFA Member Companies in 2016



105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 2016

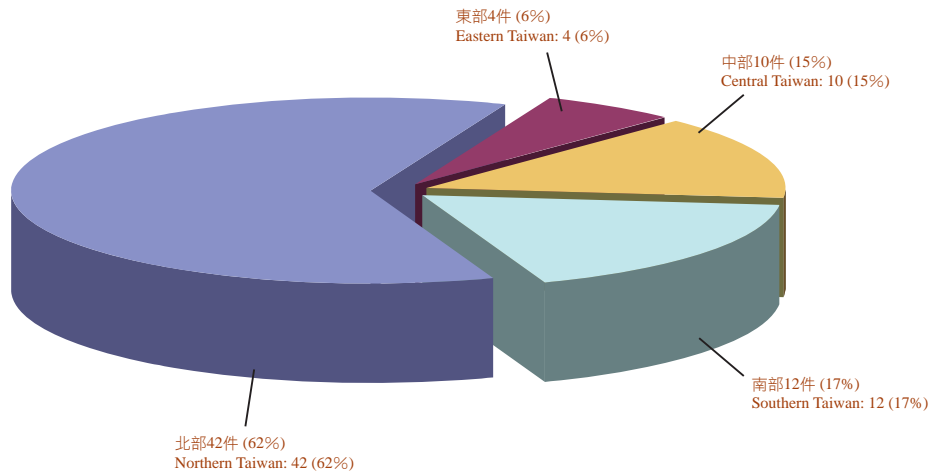


● 會員場地勘察 Business site inspection

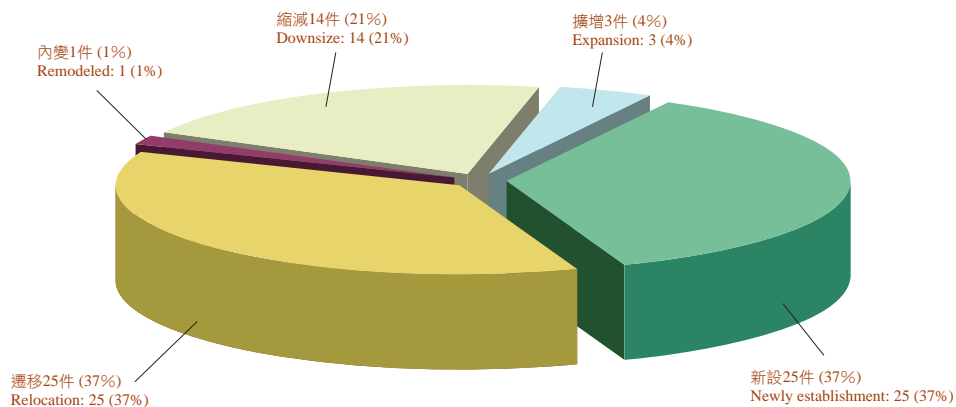
105年度共計68件場勘案(北部地區42件、中部地區10件、南部地區12件、東部地區4件)，就其場勘案件分析，新設營業處所25件(37%)、遷移營業處所25件(37%)、縮減營業處所14件(21%)、擴增營業處所3件(4%)、營業處所內部配置變動1件(1%)。

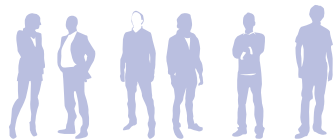
The Association conducted a total of 68 business site inspection projects in 2016 (42 in northern Taiwan, 10 in central Taiwan, 12 in southern Taiwan, 4 in eastern Taiwan). Among these inspected sites, 25 (37%) were newly established, 25 (37%) were relocated, 14 (21%) were downsized, 3 (4%) were expanded, and 1 (1%) were remodeled.

105年度場地勘察區域分布統計圖
Geographical Areas of Inspected Business Sites in 2016



105年度場地勘察類別統計圖
Statistics of Business Site Inspection Projects in 2016

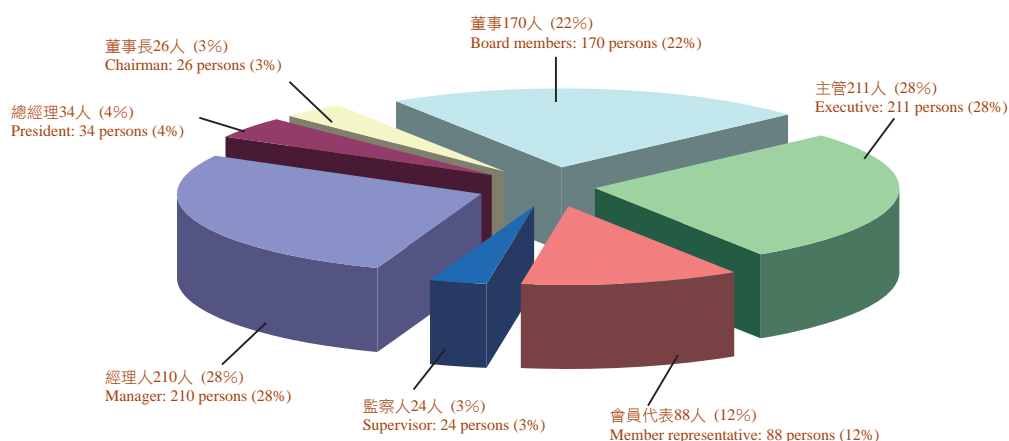




2. 會員委託證照之申請變更、換領及其他服務事項
Certificate renewal, change, and other related services

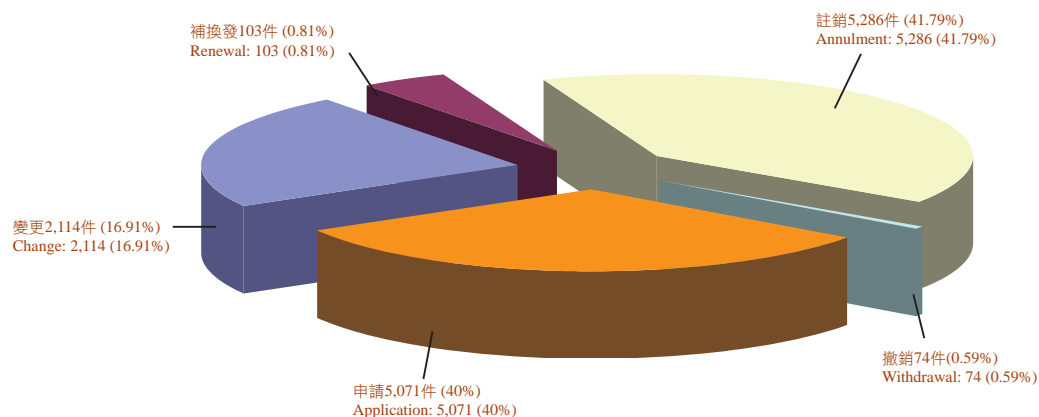
- 會員代表、會員負責人105年度於本公會異動登錄共計763人次，細分如下：
In 2016, the Association handled a total of 763 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies.

105年度身分類異動統計圖
Position Change Statistics for 2016

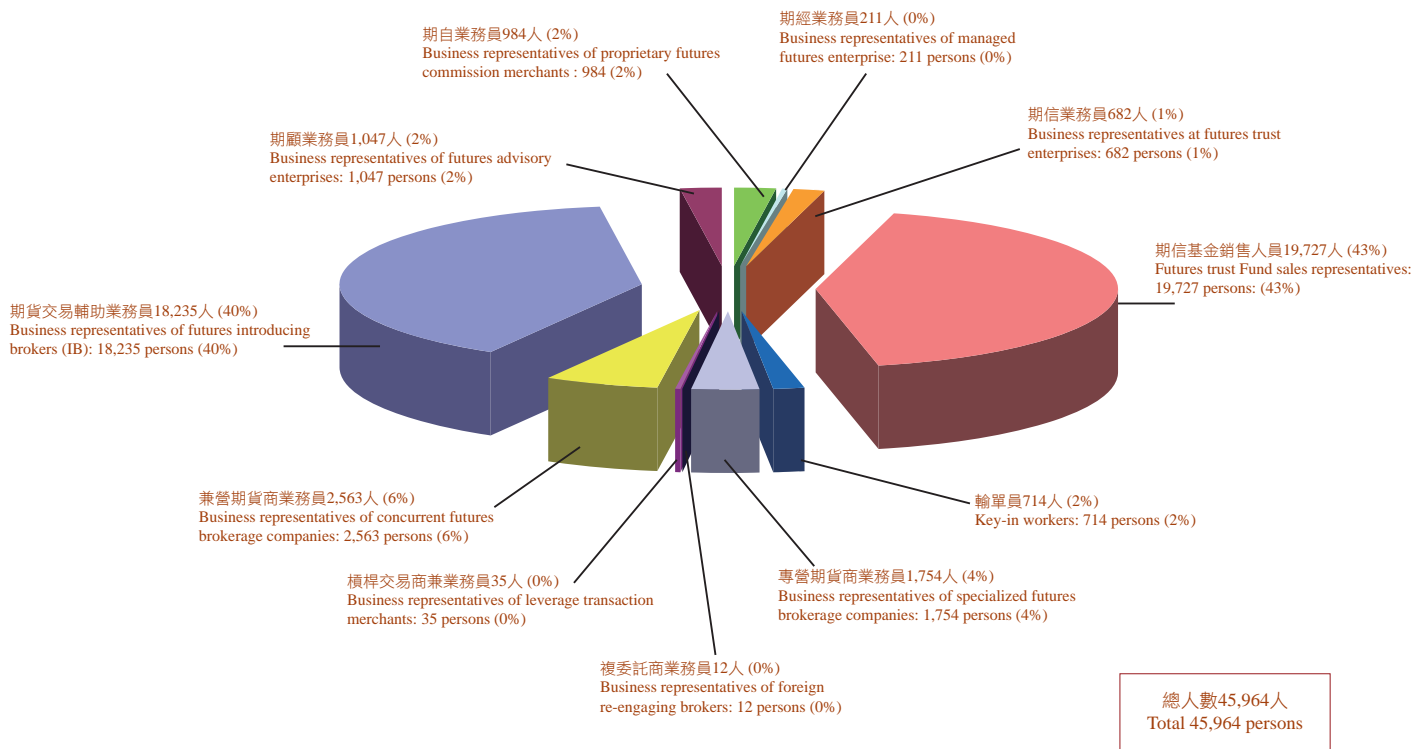


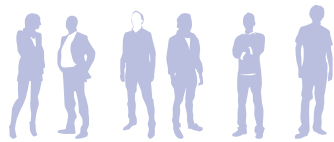
- 業務員、輸單員、銷售人員105年度於本公會異動登錄共計12,648件，每月平均1,054件
In 2016, the Association handled a total of 12,648 business representative, key-in worker, and salesperson enrollment cases, with an average of 1,054 cases per month.

105年度業務異動類別統計圖
Job Change Registrations in 2016



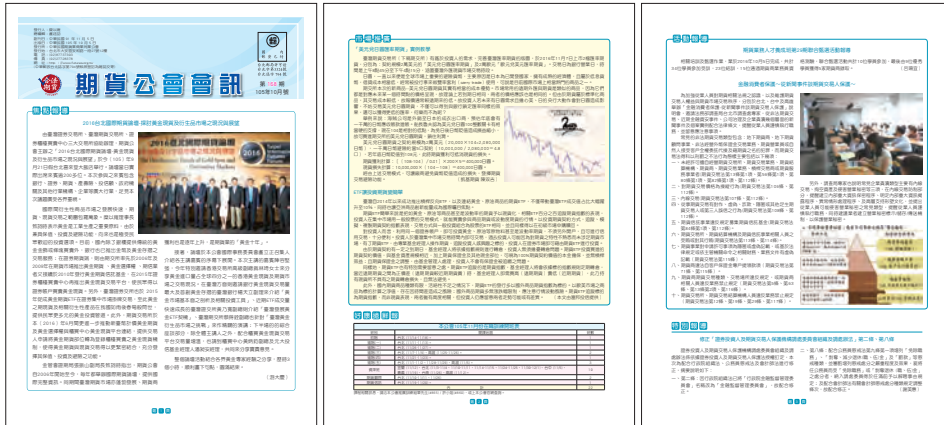
105年度從業人員登記統計圖
Business Category Change of Staff at CNFA Member Companies in 2016





七、本公會出版品 G. Publications

1. 會訊 Newsletter



2. 期貨人季刊 Futures Journal



3. 海報 Poster



4. 政令宣導 Policy Advocacy

製作擦拭布、保溫杯、掛勾、運動毛巾、原子筆及環保袋、日誌本等實用物品，以推廣「合法期貨」。

The CNFA made the wiping cloth, thermal bottles, hooks, sports towels, ball-point pens, eco-friendly bags, diary books as promotional give-away with “Legal Futures” mark.



伍

財務報告



資誠

會計師查核報告

(106)財審報字第 16002841 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 105 年及 104 年 12 月 31 日之資產負債表及財產目錄，暨民國 105 年及 104 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「會計師查核簽證財務報表規則」及中華民國一般公認審計準則規劃並執行查核工作，以合理確信會計報告有無重大不實表達。此項查核工作包括以抽查方式獲取會計報告所列金額及所揭露事項之查核證據、評估管理階層編製會計報告所採用之會計原則及所作之重大會計估計，暨評估會計報告整體之表達。本會計師相信此項查核工作可對所表示之意見提供合理之依據。

依本會計師之意見，第一段所述民國 105 年度會計報告在所有重大方面係依照內政部頒佈之「工商團體財務處理辦法」及企業會計準則公報及其解釋編製，民國 104 年度會計報告在所有重大方面係依照內政部頒佈之「工商團體財務處理辦法」及先前中華民國一般公認會計原則編製，分別足以允當表達中華民國期貨業商業同業公會民國 105 年及 104 年 12 月 31 日之財務狀況，暨民國 105 年及 104 年 1 月 1 日至 12 月 31 日之收支情形。

如附註三所述，中華民國期貨業商業同業公會自民國 105 年 1 月 1 日首次適用企業會計準則公報及其解釋。

資誠聯合會計師事務所

會計師

賴宗壽



中華民國 106 年 2 月 17 日

Independent Auditor's Report

To: Chinese National Futures Association

Feb. 17, 2017

We have audited the balance sheet and assets list of the Chinese National Futures Association (CNFA) as of the end of 2016 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, 2016 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



中華民國商業同業公會
資產負債表
民國 105 年 12 月 31 日

資產	105 年 12 月 31 日		104 年 12 月 31 日		負債、基金及餘絀		105 年 12 月 31 日		104 年 12 月 31 日	
	金額	%	金額	%	金額	%	金額	%	金額	%
流動資產										
現金及銀行存款(附註五(一))	\$ 28,832,082	5	\$ 36,232,341	6	應付款項(附註五(八))		\$ 13,878,620	2	\$ 22,438,036	4
有價證券(附註五(二))	73,298,037	13	66,094,579	12	代收帳款		270,759	-	296,592	-
應收帳款(附註五(三))	2,425,854	1	2,914,828	1	暫收款		3,272	-	52,992	-
預付款項	690,567	-	581,062	-	流動負債合計		14,152,651	2	22,787,620	4
其他流動資產	411,004	-	327,916	-						
流動資產合計	105,457,544	19	106,150,726	19						
基金					其他負債					
會務發展準備基金-專戶存款(附註五(四))	106,678,891	19	100,458,065	18	存入保證金-自律基金		58,680,000	11	58,320,000	10
退撫準備基金-專戶存款(附註五(五))	25,269,920	5	22,764,767	4	負債總額		72,832,651	13	81,107,620	14
基金合計	131,948,811	24	123,222,832	22						
固定資產(附註五(六))					基金及餘絀					
土地	133,989,345	24	133,989,345	24	基金					
房屋及建築	107,770,320	19	107,770,320	19	會務發展準備基金		112,678,891	20	105,226,065	19
事務設備	16,759,873	3	25,426,171	5	退撫準備基金		27,547,874	5	25,234,058	4
雜項設備	3,331,262	1	3,194,690	1	資產基金		283,390,190	47	271,972,516	49
辦公設備	1,539,390	-	1,591,990	-	基金合計		403,616,955	72	402,432,639	72
固定資產合計	263,390,190	47	271,972,516	49						
其他資產					餘絀					
有價證券(附註五(七))	219,950	-	-	-	累計餘絀		76,179,115	14	65,613,808	12
存出保證金	57,300	-	55,300	-	本期餘絀		7,125,074	1	10,565,307	2
自律基金-專戶存款	58,680,000	10	58,320,000	10	餘絀合計		83,304,189	15	76,179,115	14
其他資產合計	58,957,250	10	58,375,300	10	基金及餘絀合計		486,921,144	87	478,611,754	86
資產總計	\$ 559,753,795	100	\$ 559,719,374	100	負債、基金及餘絀總計		\$ 559,753,795	100	\$ 559,719,374	100

請參閱後附財務報表附註暨資誠聯合會計師事務所
賴宗義會計師民國105年2月17日查核報告。



製表：



會計主管：



秘書長：



理事長：

**Chinese National Futures Association
Balance Sheet**

Dec. 31, 2016 & Dec. 31, 2015

Assets	Dec. 31, 2016		Dec. 31, 2015		Liabilities, funds, and surplus		Dec. 31, 2016		Dec. 31, 2015		Unit: NT\$
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	
Current assets											
Cash & bank deposit (Note 5-1)	\$ 28,632,082	5	\$ 36,232,341	6			\$ 13,878,620	2	\$ 22,438,036	4	
Securities (Note 5-2)	73,298,037	13	66,094,579	12			270,759	-	296,592	-	
Accounts receivable (Note 5-3)	2,425,854	1	2,914,828	1			3,272	-	52,992	-	
Pre-payments	690,567	-	581,062	-			-	-	-	-	
Other current liability	411,004	-	327,916	-			-	-	-	-	
Sub-total of current assets	105,457,544	19	106,150,726	19			14,152,651	2	22,787,620	4	
Funds											
Development fund at special bank account (Notes 5-4)	106,678,891	19	100,456,065	18	Other liabilities						
Pension fund at special bank account (Note 5-5)	25,269,920	5	22,764,767	4	Deposits received Fund			58,680,000	11	58,320,000	10
Sub-total of funds	131,948,811	23	123,220,832	21	Total of liabilities			72,832,651	13	81,107,620	14
Fixed assets (Note 5-6)											
Land	133,989,345	24	133,989,345	24	Funds and surplus						
Buildings	107,770,320	19	107,770,320	19	Funds			112,678,891	20	106,226,065	19
OA equipment	16,759,873	3	25,426,171	5	Funds			27,547,874	5	25,234,058	4
Transportation equipment	3,331,262	1	3,194,690	1	Pension fund			263,390,190	47	271,972,516	49
Other facilities	1,539,390	-	1,591,990	-	Assets fund			403,616,955	72	402,432,639	72
Sub-total of fixed assets	263,390,190	47	271,972,516	49	Sub-total of funds						
Other assets					Surplus						
Securities(Notes 5-7)	219,950	-	-	-	Accumulated balance			76,179,115	14	65,613,808	12
Refundable deposits	57,300	-	55,300	-	Balance for this period			7,125,074	1	10,565,307	2
Self-discipline fund at special bank account	58,680,000	10	58,320,000	10	Sub-total of surplus			83,304,189	15	76,179,115	14
Sub-total of other assets	58,957,250	10	58,375,300	10	Total of funds and surplus			486,921,144	87	478,611,754	86
Total assets	\$ 559,753,795	100	\$ 559,719,374	100	Total liabilities, funds and surplus			\$ 559,753,795	100	\$ 559,719,374	100

The accompanying notes are an integral part of these financial statements
See report of independent accountants dated Feb. 17, 2017

中華民國期貨業商業同業公會

收支決算表

民國105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	\$ 14,400	\$ -	\$ 14,400	\$ -	
常年會費收入	1,664,800	1,816,000	0	(151,200)	
業務費收入(附註五(十))	88,085,297	131,656,000	-	(43,570,703)	註1
利息收入	2,662,602	2,160,000	502,602	-	
委託收入	16,439,637	14,368,000	2,071,637	-	註2
其他收入	53,256	-	53,256	-	
收入合計	108,919,992	150,000,000	2,641,895	(43,721,903)	
經費支出					
人事費	33,886,701	36,776,000	-	(2,889,299)	註3
辦公費	6,783,851	8,638,000	-	(1,854,149)	註4
業務費	42,332,668	81,426,000	-	(39,093,332)	註5
購置費	727,318	3,530,000	-	(2,802,682)	註6
團體會費	1,570,000	1,570,000	-	-	
什項支出	6,897,255	5,060,000	1,837,255	-	註7
預備金	-	3,000,000	-	(3,000,000)	註8
基金提存(附註五(十一))	9,597,125	10,000,000	-	(402,875)	
支出合計	101,794,918	150,000,000	1,837,255	(48,205,082)	
本期餘絀(稅前)	7,125,074	-	7,125,074	-	
所得稅費用(附註五(九))	-	-	-	-	
本期餘絀(稅後)	\$ 7,125,074	\$ -	\$ 7,125,074	\$ -	

請參閱後附財務報表附註暨資誠聯合會計師事務所
賴宗義會計師民國106年2月17日查核報告。

- 註1: 業務費收入減少, 主係經理監事會決議, 自本期7月起視結餘情況調整折扣數所致。
 註2: 委託收入增加, 主係因會員之在職訓練人數較預估數增加所致。
 註3: 人事費減少, 主係本期員工人數下降所致。
 註4: 辦公費減少, 主係因擷節辦公費用支出所致。
 註5: 業務費減少, 主係因預估之業務推廣活動未全數執行所致。
 註6: 購置費減少, 主係本期預計購置之官網並未購置所致。
 註7: 什項支出增加, 主係本期外幣定存期末評價所產生之兌換損失所致。
 註8: 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:



**Chinese National Futures Association
Income Statement**

Jan. 1-Dec. 31, 2016

Unit: NT\$

Item	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
			Increase	Decrease	
Revenue					
Entry fees	\$ 14,400	\$ -	\$14,400	\$ -	
Annual membership fees	1,664,800	1,816,000	-	(151,200)	
Business promotion fees (Note 5-10)	88,085,297	131,656,000	-	(43,570,703)	Note1
Interest income	2,662,602	2,160,000	502,602		
Income from entrusted projects	16,439,637	14,368,000	2,071,637		Note2
Miscellaneous income	53,256	-	53,256	-	
Total revenue	108,919,992	150,000,000	2,641,895	(43,721,903)	
Expenses					
Personnel expense	33,886,701	36,776,000	-	(2,889,299)	Note3
Administration expense	6,783,851	8,638,000	-	(1,854,149)	Note4
Business expense	42,332,668	81,426,000	-	(39,093,332)	Note5
Procurement expense	727,318	3,530,000	-	(2,802,682)	Note6
Association activity fee	1,570,000	1,570,000	-	-	
Miscellaneous items	6,897,255	5,060,000	1,837,255	-	Note7
Advance cash	-	3,000,000	-	(3,000,000)	Note8
Fund deposit (Note 5-11)	9,597,125	10,000,000	-	(402,875)	
Total expense	101,794,918	150,000,000	1,837,255	(50,042,337)	
Pre-tax balance	7,125,074	-	7,125,074	-	
Income tax (Note 5-9)	-	-	-	-	
After-tax balance	\$ 7,125,074	\$ -	\$ 7,125,074	\$ -	

The accompanying notes are an integral part of these financial statements

See report of independent accountants dated Feb. 17, 2017

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 July 2016.
2. Income from commissioned projects increased mainly for the increase of trainees of training courses.
3. The personnel expense decreased primarily due to the decrease in the number of staff workers.
4. Administration fee decreased mainly due to the cut in budget.
5. Business activity fees decreased because the proposed business promotion activities haven't been completely implemented in 2016.
6. Procurement expenditure decreased because the website have not been completed.
7. Increase in miscellaneous spending is mainly attributed to the profit resulted from converting currencies based on the value of the foreign current certificated deposit (CD) at the end of this term.
8. Provisions decreased because there were no special conditions for extra expenditure.

陸

大事紀要

大事紀要 Chronicle

日期 Date	項目 Event
1/15	研議「期貨商交易及風險控管機制作業」之風險指標專案會議 Holding a prospect meeting on how to set the risk index for the “Futures Company’ s Trading and Risk Control Mechanism”
1/27	第4屆紀律委員會第13次會議 The 13 th meeting of the 4 th Discipline Committee
1/27	第4屆經紀業務委員會第22次會議 The 22 nd meeting of the 4 th Brokerage Business Committee
2/3	第4屆財務委員會第15次會議 The 15 th meeting of the 4 th Financial Committee
2/19	第4屆理監事第17次聯席會議 The 17 th joint meeting of the 4 th Board of Directors and Supervisors
2/26~3/1	理監事北海道聯誼活動 Friendship activity for directors and supervisors in Hokkaido, Japan
3/1	贊助金融研究發展基金會「金鑽獎」活動 Sponsoring the TFF-Bloomberg Best Fund Award activity organized by the Taipei Foundation of Finance (TFF)
3/9	第4屆顧問業務委員會第12次會議 The 12 th meeting of the 4 th Advisory Business Committee
3/9	「2016期貨業校園徵才」巡迴講座-德明科大 “Talents-hunting on Campus” lecture series for 2016—Takming University of Science and Technology
3/11	辦理「期貨信託基金與期經全委代操宣傳活動」啟動典禮 Launching ceremony of the “Promotional Activity for Discretionary Account Business of Futures Trust and Managed Futures Enterprises”
3/11~5/31	與期交所共同辦理「期信基金與期經代操」宣傳活動 Joining the TFE in holding the “Promotional Activity for Discretionary Account Business of Futures Trust and Managed Futures Enterprises”
3/14	「2016期貨業校園徵才」巡迴講座-宜蘭大學 “Talents-hunting on Campus” lecture series for 2016—National Ilan University
3/14~3/17	參加BOCA年會 Attending Boca Annual Meeting
3/15	「2016期貨業校園徵才」巡迴講座-聯合大學 “Talents-hunting on Campus” lecture series for 2016—National United University
3/16	「金融講堂」系列講座課程-環球科大 “Talents-hunting on Campus” lecture series for 2016—TransWorld University
3/18	第4屆經理業務委員會第12次會議 The 12 th meeting of the 4 th Managed Futures Committee
3/21	「2016期貨業校園徵才」巡迴講座-台大 “Talents-hunting on Campus” lecture series for 2016—National Taiwan University
3/23	「2016期貨業校園徵才」巡迴講座-佛光大學 “Talents-hunting on Campus” lecture series for 2016—Fo Guang University
3/24~3/28	理監事九州聯誼活動 Friendship activity for directors and supervisors in Kyushu, Japan

日期 Date	項目 Event
3/23	「2016期貨業校園徵才」巡迴講座-嘉義大學 “Talents-hunting on Campus” lecture series for 2016—National Chiayi University
3/25	第4屆信託業務委員會第13次會議 The 13 th meeting of the 4 th Futures Trust Committee
3/28	「2016期貨業校園徵才」巡迴講座-文化 “Talents-hunting on Campus” lecture series for 2016—National Chinese Culture University
3/28	「2016期貨業校園徵才」巡迴講座-暨南大學 “Talents-hunting on Campus” lecture series for 2016—National Chi Nan University
3/29	「2016期貨業校園徵才」巡迴講座-佛光大學 “Talents-hunting on Campus” lecture series for 2016—Fo Guang University
3/30	第4屆自營業務委員會第13次會議 The 13 th meeting of the 4 th Proprietary Business Committee
3/30	第4屆教育訓練委員會第11次會議 The 11 th meeting of the 4 th Education and Training Committee
3/30	「2016期貨業校園徵才」巡迴講座-景文科大 “Talents-hunting on Campus” lecture series for 2016—Jinwen University of Science and Technology
3/31	「金融講堂」系列講座課程-中華科大 “Financial Auditorium” lecture series in China University of Science and Technology
3/31	第4屆經紀業務委員會第23次會議 The 23 rd meeting of the 4 th Brokerage Business Committee
4/1	第4屆紀律委員會第14次會議 The 14 th meeting of the 4 th Discipline Committee
4/6	「2016期貨業校園徵才」巡迴講座-義守大學 “Talents-hunting on Campus” lecture series for 2016—I-shou University
4/7	「2016期貨業校園徵才」巡迴講座-銘傳大學 “Talents-hunting on Campus” lecture series for 2016—Ming Chuan University
4/7	「2016期貨業校園徵才」巡迴講座-靜宜大學 “Talents-hunting on Campus” lecture series for 2016—Providence University
4/12	第4屆財務委員會第16次會議 The 16 th meeting of the 4 th Financial Committee
4/15	第4屆理監事第18次聯席會議 The 18 th joint meeting of the 4 th Board of Directors and Supervisors
4/16~17	委員會第一梯次聯誼活動 Friendship activity for committee members (Group 1)
4/18	「金融講堂」系列講座課程-虎尾科大 “Financial Auditorium” lecture series in National Formosa University
4/22	「2016期貨業校園徵才」巡迴講座-雲林科大 “Talents-hunting on Campus” lecture series for 2016—National Yunlin University of Science and Technology
4/22~25	參加「第10屆中國期貨分析師暨場外衍生品論壇」 Attending the “10 th China Futures Analyst & OTC Derivatives Forum”



日期 Date	項目 Event
4/25	「2016期貨業校園徵才」巡迴講座-玄奘大學 “Talents-hunting on Campus” lecture series for 2016—Hsuan Chuan University
4/25	「2016期貨業校園徵才」巡迴講座-屏東科大 “Talents-hunting on Campus” lecture series for 2016—National Pingtung University of Science and Technology
4/26	「2016期貨業校園徵才」巡迴講座-東海大學 “Talents-hunting on Campus” lecture series for 2016—Tunghai University
4/26	「2016期貨業校園徵才」巡迴講座-輔仁大學 “Talents-hunting on Campus” lecture series for 2016—Fu Jen Catholic University
4/27	「2016期貨業校園徵才」巡迴講座-崑山大學 “Talents-hunting on Campus” lecture series for 2016—Kun Shan University
4/27	「2016期貨業校園徵才」巡迴講座-暨南大學 “Talents-hunting on Campus” lecture series for 2016—National Chinan University
4/28	「2016期貨業校園徵才」巡迴講座-東南科大 “Talents-hunting on Campus” lecture series for 2016—Tungnan University
4/28	「2016期貨業校園徵才」巡迴講座-義守大學 “Talents-hunting on Campus” lecture series for 2016—I-shou University
4/28~4/29	贊助內部稽核協會辦理105年度研討會「投資自己創造新價值」 Sponsoring the Internal Auditing Association’s annual conference 2016, entitled “Investing on Yourself and Creating New Values”
4/30~5/1	委員會第二梯次聯誼活動 Friendship activity for committee members (Group 2)
5/3	「金融服務業教育公益基金」教育獎助學金頒獎典禮 Educational Scholarship and Assistantship Awarding Ceremony held by “Educational Charity Fund for Financial Service Industry”
5/5	「2016期貨業校園徵才」巡迴講座-真理大學 “Talents-hunting on Campus” lecture series for 2016—Aletheia University
5/7	證券期貨盃高爾夫球賽 Securities & Futures Golf Championship
5/6~5/16	參加IOSCO祕魯年會 Attending IOSCO annual meeting in Peru
5/12	第4屆信託業務委員會第14次會議 The 14 th meeting of the 4 th Futures Trust Committee
5/16	「2016期貨業校園徵才」巡迴講座-明新科大 “Talents-hunting on Campus” lecture series for 2016—Ming Hsin University of Science and Technology
5/17	人民幣匯率期貨講座（台北場）理財設攤活動 RMB FX Futures Lecture (in Taipei), with assets management booth
5/25-5/26	參加「第13屆上海衍生品論壇」 Attending the 13 th Shanghai Derivatives Market Forum
5/26	人民幣匯率期貨講座（中科場）理財設攤活動 RMB FX Futures Lecture (in Taichung Technology Science Park), with assets management booth
6/1	「2016期貨業校園徵才」巡迴講座-政治大學 “Talents-hunting on Campus” lecture series for 2016—National Chengchi University

日期 Date	項目 Event
6/3	第4屆經紀業務委員會第24次會議 The 24 th meeting of the 4 th Brokerage Business Committee
6/13	第4屆理監事第19次聯席會議 The 19 th joint meeting of the 4 th Board of Directors and Supervisors
6/14	參加LME亞洲年會 Attending LME's annual meeting in Asia
6/30	人民幣匯率期貨講座（南科場）理財設攤活動 RMB FX Futures Lecture (in Tainan Technology Science Park), with assets management booth
7/1	第5屆第1次會員大會 The 1 st General Assembly of CNFA Members of the 5 th Session
7/19	浙江寧波大學師生來訪 Visit of teaching faculty members of students from Ninbo Institute of Technology
7/20	洗錢防制宣導說明會（台北場） Money laundry control seminar (in Taipei)
7/20	第5屆常務理監事第1次聯席會議 The 1 st joint meeting of the 5 th Board of Executive Directors and Supervisors
7/22	洗錢防制宣導說明會（台中場） Money laundry control seminar (in Taichung)
7/25	洗錢防制宣導說明會（高雄場） Money laundry control seminar (in Kaohsiung)
7/27	金融數位化措施法規修正建議專案會議 Project meeting on amendments to existing regulations governing digitalization of futures business
8/10	證券期貨業推動發展金融科技座談會 Seminar on the financial technologies developed for securities and futures markets
8/19	第5屆理監事第1次聯席會議 The 1 st joint meeting of the 5 th Board of Directors and Supervisors
8/23	研議「我國期貨市場建置盤後交易平台」之交易及風險控管機制專案會議 Project meeting on trading and risk control mechanism of "After-hours Trading Platform of Taiwan Futures Market"
8/29	「金融業推動金融科技發展之努力與建言」座談會 Seminar on development of financial technologies for financial industry
9/5	臺灣期貨交易所規劃「我國期貨市場建置盤後交易平台」草案說明會 Presentation on TAIFEX-proposed "After-hours Trading Platform of Taiwan Futures Market"
9/8	第5屆常務理監事第2次聯席會議 The 2 nd joint meeting of the 5 th Board of Executive Directors and Supervisors
9/19	第5屆自營業務委員會第1次會議 The 1 st meeting of the 5 th Proprietary Business Committee
9/20	第29期期貨業務人才養成班聯合徵才第一階段面試活動 Phase-1 Interview for joint talents recruitment activity for the 29 th futures salesperson training course
9/21	「2016台北國際期貨論壇-黃金現貨及衍生品市場之現況與展望」 Taipei International Futures Forum 2016—The Development Trends of Gold Spot and Derivatives Markets



日期 Date	項目 Event
9/22	第5屆紀律委員會第1次會議 The 1 st meeting of the 5 th Discipline Committee
9/22	第5屆稽核暨法遵委員會第1次會議 The 1 st meeting of the 5 th Auditing & Law Compliance Committee
9/23~10/3	理監事義大利參訪活動-第一梯次 Business Trip of CNFA Directors and Supervisors in Italy (Group 1)
9/29	第5屆信託業務委員會第1次會議 The 1 st meeting of the 5 th Futures Trust Committee
9/30	第5屆教育訓練委員會第1次會議 The 1 st meeting of the 5 th Education and Training Committee
10/6	研議證券期貨相關業者資通安全事件通報機制會議 Special meeting on information security event reporting mechanism for futures- and securities-related companies
10/7	第5屆經紀業務委員會第1次會議 The 1 st meeting of the 5 th Brokerage Business Committee
10/8	「金融講堂」系列講座課程-城市科大 “Financial Auditorium” lecture series in Taipei City University of Science and Technology
10/11	金融同業公會提供無障礙金融服務溝通會議 Special meeting on how to build up barrier-free service and communication channels for financial-related companies
10/12	第29期期貨業務人才養成班聯合徵才活動公告錄取名單 Announcing the list of recruited persons selected from trainees of the 29 th futures salesperson training course
10/13~10/23	理監事義大利參訪活動-第二梯次 Business Trip of CNFA Directors and Supervisors in Italy (Group 2)
10/17	第5屆經紀業務委員會第2次會議 The 2 nd meeting of the 5 th Brokerage Business Committee
10/18	「金融消費者保護-從新聞事件談期貨交易人保護」說明會（台北場） Personal information protection—on news event regarding how to protect futures traders (In Taipei)
10/19	第5屆財務委員會第1次會議 The 1 st meeting of the 5 th Financial Committee
10/20	「金融消費者保護-從新聞事件談期貨交易人保護」說明會（台中場） Personal information protection—on news event regarding how to protect futures traders (In Taichung)
10/20	第5屆顧問業務委員會第1次會議 The 1 st meeting of the 5 th Advisory Business Committee
10/21	第5屆經理業務委員會第1次會議 The 1 st meeting of the 5 th Managed Futures Committee
10/24	第5屆兩岸事務委員會第1次會議 The 1 st meeting of Cross-straits Affairs Committee of the 5 th Session
10/25	「金融消費者保護-從新聞事件談期貨交易人保護」說明會（高雄場） Personal information protection—on news event regarding how to protect futures traders (in Kaohsiung)
10/28	第5屆理監事第2次聯席會議 The 2 nd joint meeting of the 5 th Board of Executive Directors and Supervisors

日期 Date	項目 Event
11/2	「金融講堂」系列講座課程-東吳大學 “Financial Auditorium” lecture series in Soochou University
11/3	「金融講堂」系列講座課程-環球科大 “Financial Auditorium” lecture series in Transworld University
11/5	從業人員劍潭山登山健行聯誼活動 Hiking Activity on Chientan Mountain for futures workers
11/7	「金融講堂」系列講座課程-虎尾科大 “Financial Auditorium” lecture series in National Formosa University
11/7	第5屆國際事務委員會第1次會議 The 1 st meeting of the 5 th International Affairs Committee
11/9-11/11	北京拜訪行程 Visit of CNFA High-ranking executives in Beijing
11/11	新創業者與證券期貨投信投顧業之對話座談會 Dialogue among start-up runners and securities investment trust and advisory enterprises
11/17	第5屆自營業務委員會第2次會議 The 2 nd meeting of the 5 th Proprietary Business Committee
11/23	第5屆紀律委員會第2次會議 The 2 nd meeting of the 5 th Discipline Committee
11/25	參加研商「105年金融建言白皮書」會議 Attending the meeting on “Financial Whitepaper 2016”
11/25-27	期貨市場盤後交易風險控管作業暨期貨商受託從事國外期貨交易方式專案會議 Project meeting on after-hour trading risk control and the means for futures companies to be entrusted for trading foreign futures
12/1	第5屆經紀業務委員會第3次會議 The 3 rd meeting of the 5 th Brokerage Business Committee
12/2	第5屆信託業務委員會第2次會議 The 2 nd meeting of the 5 th Trust Business Committee
12/5	第5屆稽核暨法遵委員會第2次會議 The 2 nd meeting of the 5 th Auditing & Law Compliance Committee
12/7	第5屆財務委員會第2次會議 The 2 nd meeting of the 5 th Financial Committee
12/8	第5屆教育訓練委員會第2次會議 The 2 nd meeting of the 5 th Education and Training Committee
12/10~12/15	理監事日本參訪活動-第三梯次 Visit of board directors and supervisors in Japan (Group 3)
12/13	參加「第10屆證券暨期貨金橡獎頒獎典禮」 Attending award ceremony of the 10 th Securities & Futures Award
12/16	第5屆理監事第3次聯席會議 The 3 rd joint meeting of the 5 th Board of Directors and Supervisors
12/22	「院長與金融產業座談會」 Meeting of Premier and Representatives of Financial Industry

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 Futures Corp.	106 台北市敦化南路2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
F002	永豐期貨股份有限公司 SinoPac Futures 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1段2號6樓 6F., 2, Sec. 1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
F005	國票期貨股份有限公司 Waterland Futures Co., Ltd.	105 台北市南京東路5段188號8樓 8F., 188, Sec. 5, Nanjing E. Rd., 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 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 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 Futures Corp.	110 台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
F020	群益期貨股份有限公司 Capital Futures Corp.	106 台北市敦化南路2段97號32樓 32F., 97, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27002888	02-27551532	http://www.capitalfutures.com.tw/
F021	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., 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 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 5F., 143, Fusing N.Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
F030	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110 台北市忠孝東路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/
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, Hangzhou 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, Taipei 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.admis.com
R208	新加坡商大華期貨經紀有限公司台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	110 台北市忠孝東路五段68號30樓 30F., 68, Sec. 5, Chung Hsiao E. Rd., Xinyi Dist., Taipei Taiwan	02-23451266	02-23451639	http://www.uob.com.sg
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2段207號9樓 9F., 207 Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-23763766	02-23763740	http://www.ml.com
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2段207號22樓 22F., 207, Sec. 2, Dunhua S. Rd., Taipei 106, Taiwan	02-27302888	02-27301774	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

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)
S153	香港商德意志證券亞洲有限公司台北分公司 Deutsche Securities Asia Limited, Taipei Branch	106台北市仁愛路4段296號13樓 13F., 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-21922888	02-37078473	建置中
S159	花旗環球證券股份有限公司 Citigroup Global Markets Taiwan Securities Company Limited	110台北市松智路1號14樓 14F., 1, Songzhi Rd., Taipei 110, Taiwan	02-87269000	02-87254755	http://www.citigroup.com
S165	新加坡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1段22號4樓 4F., 22, Sec. 1, Chang'an E. Rd., Taipei 104, Taiwan	02-25379722	02-25635713	http://www.ftsi.com.tw
S616	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	115台北市南港區經貿二路168號3樓 3F., 168, Jingmao 2nd Rd., Nangang Dist., Taipei, Taiwan	02-66392000	02-55813881	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高雄市三民區壽昌路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1樓 1F., 10, Shi-Men Rd., Sec.3, 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樓部分 3F., 106, Sec.5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27252275	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156號2樓 2F., 156 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 Capital Securities Corp.	110 台北市松仁路101號4樓 4F.,101 Sung Jen Rd., Taipei 110, Taiwan	02-87898888	02-87892942	http://www.capital.com.tw
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
B096	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	106台北市大安區仁愛路4段169號2樓 2F., 169, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei 106, Taiwan	02-87716888	02-87716795	http://www.fubon.com/
B098	元大證券股份有限公司 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1段2號7樓 7F., 2 Sec.1,Chung Ching S.Rd.Taipei 100 Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
B102	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市大安區忠孝東路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/

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)
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	02-23483978	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3樓 3F., 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桃園市中壢區中和路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台中市北屯區北興街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台北市中正區南海路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.fsc.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, Chihshien 2 Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	http://www.e-order.com.tw/e-order/layout.jsp?err=logout
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	https://etrade.kunglon.com.tw/kunglon/about/layout.jsp
B592	元富證券股份有限公司 MasterLink Securities Corp.	106台北市大安區復興南路1段209號1樓 1F., 209, Sec.1, Fuhsing S.Rd., Taipei 106, Taiwan	02-23255818	02-23259407	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, Taiwa	049-2353266	049-2357216	http://www.gmstock.com.tw
B601	犇亞證券股份有限公司 Primasia Securities Co., Ltd.	105台北市松山區復興北路99號3樓 3F., 99 Fushin N. Rd., Taipei 105, Taiwan	02-27180101	02-27180202	http://www.primasia.com
B611	台中銀證券股份有限公司 Taichung Commercial Bank Securities Co., Ltd.	400台中市中區民族路45號1樓 1F., 45, Minzu Rd., Central Dist., Taichung 400, Taiwan	02-23969955	02-23210502	http://www.tcbank.com.tw/
B621	新百王證券股份有限公司 New Hundred King Securities Co., Ltd.	801高雄市中華三路11號B1 B1, 11, Chungghwa 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	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/
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2樓 2F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29689685	02-29676069	http://www.dcn.com.tw
B648	福邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104台北市忠孝西路1段6號6樓 6F., 6, Sec. 1, Chung Hsiao W. Rd., Taipei 104, Taiwan	02-23836888	02-23836800	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4樓 3F., 317, Sec.3, San Ming Rd., Taoyuan 330, Taiwan	03-3353359	03-3345286	建置中

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
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, Taipei 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樓 3F., 37, Shantong Rd., Puzi City, Chiayi County 613, Taiwan	05-3700988	05-3700909	https://www.shinfan.com.tw/shinfan/main.jsp
B707	豐農證券股份有限公司 Feng Long Securities Co., Ltd.	420台中市豐原區水源路669號 669, Shuiyuan Rd., Fungyuan, Taichung 420, Taiwan	04-25281000	04-25253100	https://sprade.fenglong.com.tw/fenglong/index/layout.jsp
B767	金港證券股份有限公司 Goldport Stock Corp.	802高雄市苓雅區三多二路93號2樓 2F., 93, Sando 2 Rd., Kaohsiung 802, Taiwan	07-7129399	07-7133579	https://sprade.chinkang.com.tw/chinkang/index/layout.jsp
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, Taipei 234, Taiwan	02-29283456	02-29208664	http://www.peicheng.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號地下1樓 B1, 199, Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://www.wls.com.tw/
B790	豐德證券股份有限公司 Fung Der Securities Co., Ltd.	420台中市豐原區中山路481號 481, Chung Shan Rd., Feng-Yuan, Taichung 420, Taiwan	04-25282800	04-25282306	https://sprade.kingfong.com.tw/kingfong/index/layout.jsp
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2段44號2樓 2F., 44, Sec. 2, Zhongshan N. Rd., Taipei 104, Taiwan	02-23268898	02-25232016	http://www.tssco.com.tw/
B838	安泰證券股份有限公司 Antay Securities Co., Ltd.	830高雄市鳳山區五福二路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台北市基隆路一段176號地下1樓 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台中市梧棲區四維中路157巷1號2樓 2F., 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435, Taiwan	04-26572801	04-26564499	https://sprade.chungnour.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
B877	大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	110台北市信義路4段458號8樓 8F., 458, 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.	104台北市大同區民權西路104號5樓 5F., 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 106, Taiwan	02-23269888	02-23777688	http://www.cathaysec.com.tw
P001	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
P002	兆豐證券股份有限公司 Mega Securities Co., Ltd.	100台北市忠孝東路2段95號3樓 3F., 95, Sec. 2, Chung Hsiao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-33227073	02-33933052	http://www.megasec.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)
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	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號12樓 12F., 225, Sec. 3, 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, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	http://www.jihsunfutures.com.tw
P006	群益期貨股份有限公司 Capital Futures Corp.	106台北市大安區敦化南路2段97號地下1樓 B1., 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 MasterLink Securities Corp.	106台北市大安區復興南路1段209號1樓 1F., 209, Sec.1, Fuhshing 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 MasterLink Futures Corp.	110台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	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 Securities Co., Ltd.	106台北市大安區仁愛路4段169號2樓 2F., 169, Sec. 4, Ren'ai Rd., Da'an Dist., 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2樓 2F., 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
P028	元大證券股份有限公司 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
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/
P032	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 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, 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 106, Taiwan	02-23269888	02-27003350	http://www.cathaysec.com.tw
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	110台北市信義區忠孝東路5段68號38樓 38F., No.68, Sec. 5, Chung Hsiao E. Rd., Xinyi Dist., Taipei 110, Taiwan	02-21750800	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台北市中山區復興南路1段2號2樓 2F., 2 Sec.1, Fushing S., Taipei 104, Taiwan	02-27790866	02-27790800	http://www.tscs.com.tw
P037	亞東證券股份有限公司 Oriental Securities Corp.	100台北市重慶南路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1段22號4樓 4F., 22, Sec. 1, Chang-an E. Rd., Taipei 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	115台北市南港區經貿二路168號5樓 5F., 168, Jingmao 2nd Rd., Nangang Dist., Taipei 115, 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.	103台北市重慶北路3段199號地下1樓 B1, 199, Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	http://web.wls.com.tw/

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
P046	宏遠證券股份有限公司 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	02-27008897	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5段188號8樓 8F., 188, 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.	115台北市南港區經貿二路188號14樓 14F., 188, Jingmao 2nd Rd., Nangang Dist., Taipei 115, Taiwan	02-66392000	02-66392500	http://www.chinatrustsec.com.tw/
P053	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158號6樓 6F., 158, Sec 3, Ming Sheng E. Rd., Taipei Taiwan	02-55561313	02-27188913	http://www.esunsec.com.tw
P054	法銀巴黎證券股份有限公司 BNP PARIBAS INVESTMENT PARTNERS	110台北市信義路五段7號72樓 72F., 7, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87297000	02-81012168	http://www.bnpparibas-ip.com
P055	國泰期貨股份有限公司 Cathay Futures Corp.	106台北市敦化南路2段333號 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27087967	http://www.onrich.com.tw
P056	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
P057	合作金庫證券股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市忠孝東路4段325號6樓 6F., 325, Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27319987	02-27754202	http://www.tcb-bank.com.tw/
P09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路1段2號7樓 7F., 2, Sec.1, Chung Ching S. Rd. Taipei 100 Taiwan	02-23823866	02-23823529	http://www.sinopacsecurities.com
A001	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
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, Tong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	http://www.pfcf.com.tw
A003	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 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號地下1樓 B1, 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 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2段333號19樓 19F., 333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 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 5F., 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	http://www.concordfutures.com.tw
A009	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
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 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 MasterLink Futures Corp.	110台北市信義路5段8號3樓 3F., 8, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27290818	02-27298867	http://futures.masterlink.com.tw/
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5段188號8樓 8F., 188, 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台北市中正區忠孝東路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/

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)
A021	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 6F., 2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23619889	02-23713146	http://www.kgifutures.com.tw/
A025	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路一段2號7樓 7F., 2, Sec. 1, Chung Ching S. Rd. Taipei 100 Taiwan	02-23123866	02-23823529	http://www.sinopacsecurities.com
A026	連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2段260號10樓 10F., 260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei 104, Taiwan	02-55899966	02-27312166	http://win-dollar.com/
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2段102號23樓 23F., 102, Sec. 2, Roosevelt Rd., Taipei 100, Taiwan	02-83695566	02-77258855	http://www.toptrade.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, Sec. 5, 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台北市信義區信義路4段415號10樓 10F., 415, Sec. 4, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87891777	02-87892677	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4段126號14樓 14F., 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 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., 260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27813900	02-27722813	http://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, Zhongshan 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/
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 2F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29689685	02-29658473	http://www.dcn.com.tw
A042	玉山證券投資顧問股份有限公司 E.SUN Investment Consulting, Co., Ltd.	105台北市松山區民生東路3段156號6樓 6F., 156, Sec. 3, Minsheng E. Rd., Songshan Dist., Taipei 105, Taiwan	02-55569913	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4段126號11樓A2 Rm. A2, 11F., 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., 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 9F., 30-2, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29601066	02-29657707	http://www.dcn.com.tw
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., 315, Songjiang Rd., Zhongshan Dist., Taipei 104, Taiwan	02-25066808	02-25065018	http://everyyoung88.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4樓 4F., 22, Sec. 1, Chang'an E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-25636262	02-25635713	http://www.ftsi.com.tw/
A049	高欣證券投資顧問股份有限公司 Securities Investment Consulting Co., Ltd.	104台北市中山區復興北路150號7樓 7F., 150, Fuxing N. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27171000	02-27150077	http://www.ks5567.com.tw/public/video_list.php
A050	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	02-27008897	http://www.honsec.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)
L001	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	http://www.pmf.com.tw/
L002	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號地下1樓 B1, 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.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	元大期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路3段225號12樓 12F., 225, Sec. 3, 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 6F., 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 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
M022	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100 台北市襄陽路9號3樓 3F., 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	http://www.fubon.com/
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號地下1樓 B1, 97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	http://www.capitalfutures.com.tw/
M027	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, Taipei 220, Taiwan	02-29601066	02-29657707	http://www.dcnf.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	02-87728000	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 台北市大安區仁愛路4段296號18樓 18F., 296, Jen-ai Rd., Sec.4, Taipei 106, Taiwan	02-27008399	02-23269633	http://www.cathaysite.com.tw/
T004	元大證券投資信託股份有限公司 Yuanta Securities Investment Trust Co., Ltd.	104 台北市中山區南京東路3段225號6樓 6F., 225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27175555	02-27190951	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., 1, Songzhi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27558686	02-87268976	https://www.jpmerich.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 8F., 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., 17, Bo'ai Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23618110	02-23617069	http://sitc.sinopac.com
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1段176號14樓 14F., 176, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	http://fm.concordfutures.com.tw
T015	富邦證券投資信託股份有限公司 Fubon Asset Management Co., Ltd.	105 台北市敦化南路1段108號8樓 8F., 108, Sec. 1, Dunhua S. Rd., Songshan Dist., Taipei 105, Taiwan	02-87716688	02-87716788	https://www.fubon.com
T016	華頓證券投資信託股份有限公司 Paradigm Asset Management Co., Ltd.	104 台北市民權東路3段6號5樓 5F., 6, Sec. 3, Minquan E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-21756969	02-25019868	http://www.paradigm-fund.com/

註：以上資料截止日為105.12.31



105年報

Annual Report 2016

發行人 / 糜以雍

發行所 / 中華民國期貨業商業同業公會

臺北市安和路一段 27 號 12 樓

電話 / 02-87737303

傳真 / 02-27728378

網址 / www.futures.org.tw

電子信箱 / cnfa@futures.org.tw

總編輯 / 盧廷劼

執行編輯 / 莫璧君

編審委員 / 詹益青 · 范加麟

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