



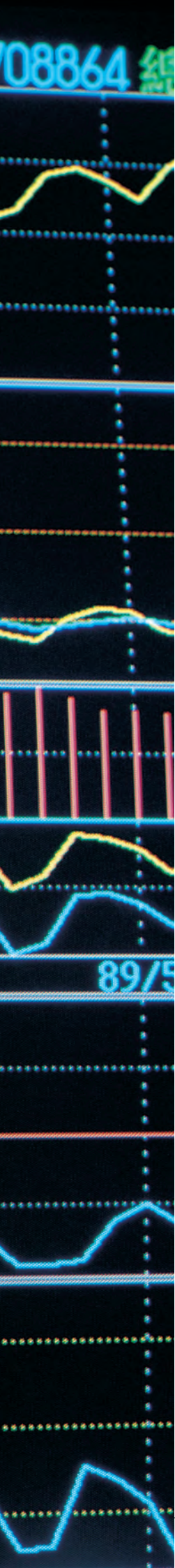
# 103年報

## Annual Report 2014



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

104年四月編製



# Contents

## 目錄

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

# 壹

## 序言



103年期貨市場全年度交易量為2億241萬餘口，首度突破2億口大關，較102年成長超過30%，為我國期貨市場成立以來最高年度交易量；而個別契約中尤其以臺股期貨、臺指選擇權、個股期貨表現亮麗，分別較102年成長9.1%、38.7%、74.5%。國內期貨市場保證金總額亦較102年增加15.5%，量能齊揚，整體期貨商稅前損益達21.9億元，感謝主管機關、期交所及業界的共同努力。以下謹就本公會103年度重要工作分述如下：

### 爭取三大業務 為業界挹注活水

- 一、擴大經紀業務：建請主管機關同意期貨商經營證券交易輔助業務（證IB）接受投資人之委託範圍增加外國有價證券、開放證券商得擔任境外華僑及外國人從事期貨交易之代理人、放寬專業客戶為期貨商接受授權委託之對象。
- 二、開放券商從事國外期貨業務：推動兼營期貨商（2億元以上指撥營運資金）及證券商經營期貨交易輔助業務（期IB）得從事國外期貨業務，期藉由更多元跨市場、跨商品之避險或套利策略，拓展投資人及從業人員國際視野並促進國內外期貨及選擇權交易量成長。
- 三、降低期經委託門檻：放寬指撥營運資金達3億元以上之期貨經理事業接受全權委託期貨交易總金額不受淨值10倍之限制，將期經委任門檻由新臺幣250萬元放寬為100萬元，增加期經業者的展業空間。

### 國際化與海外混業經營

- 一、歐臺期、歐臺選商品：積極支持期交所推動歐臺期、歐臺選商品（Eurex/TAIFEX Link），除配合研擬有關歐臺期及歐臺選期貨契約，期貨商預收保證金等風險控管措施，舉辦各式座談會及協助業者從事歐臺期、歐臺選相關業務，並以實際行動參與期交所國內外招商活動，並特別籌組理監事參訪歐洲交易所。
- 二、因應海外金融業混業經營趨勢，國內金融業營業範圍大幅開放之際，針對「我國期貨商與證券商監理規範之比較研究」專案，研究單位提出之建議事項進行規劃後續辦理作業，俾使法規精神及實務作業能更加詳實完善。

### 展望未來

新的一年期貨公會將與期交所攜手促進產業成長及提升動能，研擬期貨產業長期發展之方案，並加速推出更多元化的商品。同時本期貨公會也將推動期貨業獲利倍增計畫，獲利倍增計畫將包含：新種商品掛牌如人民幣期貨、延長陸股期貨ETF交易時間、協助專兼營期貨商及IB推廣國外期貨業務、爭取開放期貨商得與海外或大陸業者簽署業務合作契約，以提供經營管理及資訊技術等服務、建請開放期經事業得發展陽光私募業務、推動銀行保險等金融產業資金得委託期貨經理事業操作，且可交易商品種類不限金融指數類商品等。

中華民國期貨業商業同業公會

理事長

賀鳴珩

The annual transaction on the Taiwan Futures Exchange (TAIFEX) hit a record high of over 200 million contracts and broke the 200-million mark for the first time in 2014, soaring over 30% from the previous year. The Taiex Futures (TX), Taiex Options (TXO), and single stock futures performed best, up 9.1%, 38.7%, and 74.5% from the previous year, respectively. Meanwhile, the total margin amount also expanded by 15.5% in 2014 and the overall pre-tax profits of futures companies reached NT\$2.19 billion. The thriving market performance is attributed to the joint efforts of the government, the TAIFEX, and all the market players. In 2014, the Chinese National Futures Association (CNFA) has down several major tasks contributing to the booming market:

### **Recommending three new businesses to boost market momentum**

1. Expanding brokerage business: the CNFA made a suggestion to the government that it should allow futures companies to operate stock introducing brokerage business and take customer's entrustment for trading foreign securities, and meanwhile allow securities firms to act as an agent of overseas Chinese or foreigners for making futures transactions as well as lift the ban on professional traders from being the discretionary account clients of futures companies.
2. Allowing securities firms to operate foreign futures business: the CNFA also suggested that the government should allow concurrent futures brokerage companies (with an allocated operational fund of NT\$200,000,000 or more) and securities firms to offer futures IB service and operate foreign futures trading business so as to provide futures traders and market operators with even more diversified choices and cross-product risk-hedging or arbitraging strategies. It will help futures traders and market players broaden international views and boost futures and options market transaction at the same time.
3. Lowering the threshold for making entrustment to managed futures enterprises: the CNFA also suggested that the government should allow the managed futures enterprise with an allocated operational fund of over NT\$300,000,000 to be exempt from the restriction that the total amount deposited at their discretionary accounts can't exceed 10 times of their net assets value, and meanwhile lower the minimum amount for a client of the managed futures enterprise from NT\$2.5 million to NT\$1 million.

### **Internationalization and diversified management trends**

1. Eurex/TAIFEX Link: the CNFA is active in supporting the TAIFEX to launch the Eurex/TAIFEX Link business (such as the TAIEX Futures and Options futures to be traded at the Eurex Exchange) for which the CNFA worked with the TAIEX in setting contracts for such futures and risk control measures (e.g. the measure to help futures companies prevent the risk associated with advanced margin collection), and arranged various seminars and meetings to introduce them to traders and market players. Meanwhile, the CNFA joined the TAIFEX in holding both domestic and overseas business promotion activities and also organized a delegation of CNFA board members and supervisors to attend the launching ceremony of the Eurex/TAIFEX Link futures and options at the Eurex Exchange.
2. In reaction to the trend of diversified management of financial institutions and the broadening business scope of domestic financial institutions, the CNFA was engaged on a research project "Comparison of supervisions on futures companies and securities firms," and has made recommendations to the government for building an even better legal framework as the guidance for practices of market players.

### **Outlook**

In the coming year, the CNFA will continue to work with the TAIFEX to boost the market momentum, propose long-term development strategies for the futures industry, and help the industry provide even more diversified products. Meanwhile, the CNFA has proposed the profit-double plans for its member companies, covering various projects such as introducing new RMB-denominated products, prolonging of trading hours of the ETF on China stocks, helping concurrent futures brokerage companies and futures introducing brokers (futures IB) promote business abroad, allowing futures companies to sign up cooperation agreement with overseas or China-based counterparts, providing business management and technology consulting services, lifting the ban on managed futures enterprises from raising funds in public, allowing banks, insurance companies and other financial institutions to entrust their assets to managed futures enterprises for management with targeted products of trading or investment not confined to index futures.

*Ted Ho*  
Chairman, CNFA

# 貳

## 公會簡介

### 一、公會沿革

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

### 二、設立宗旨

- 本公會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

### 三、本公會任務

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

# CNFA Introduction

## A. CNFA History

- The Chinese National Futures Association (hereinafter referred to the Association or CNFA) was transformed from its predecessor, the Taipei Futures Association first founded on April 17, 1995, as a national organization on June 21, 2004 and obtained the certificate issued by the Ministry of the Interior on June 30 of the same year, a move in reflection of the market liberalization, business diversification, as well as expansion in the Association's membership and covered geographical area.
- As a national self-disciplined organization, the Association handled members' license registrations, site equipment inspections, personnel training and other functions. Moreover, it assumes the responsibility as a self-regulatory body. For healthy development of Taiwan's futures market, the Association develops a highly efficient administrative mechanism to fulfill its four major duties, namely reviews of industry personnel qualifications, site equipment inspections, member check-ups, as well as education and training for futures workers. It will actively coordinate the industry's unity and cooperation, promoting communication and interaction between the industry and the competent authorities, and under circumstances of sincere and positive, immaculate policies, lay a more solid foundation for the futures industry.

## B. Goals

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

## C. Objectives

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

CNFA

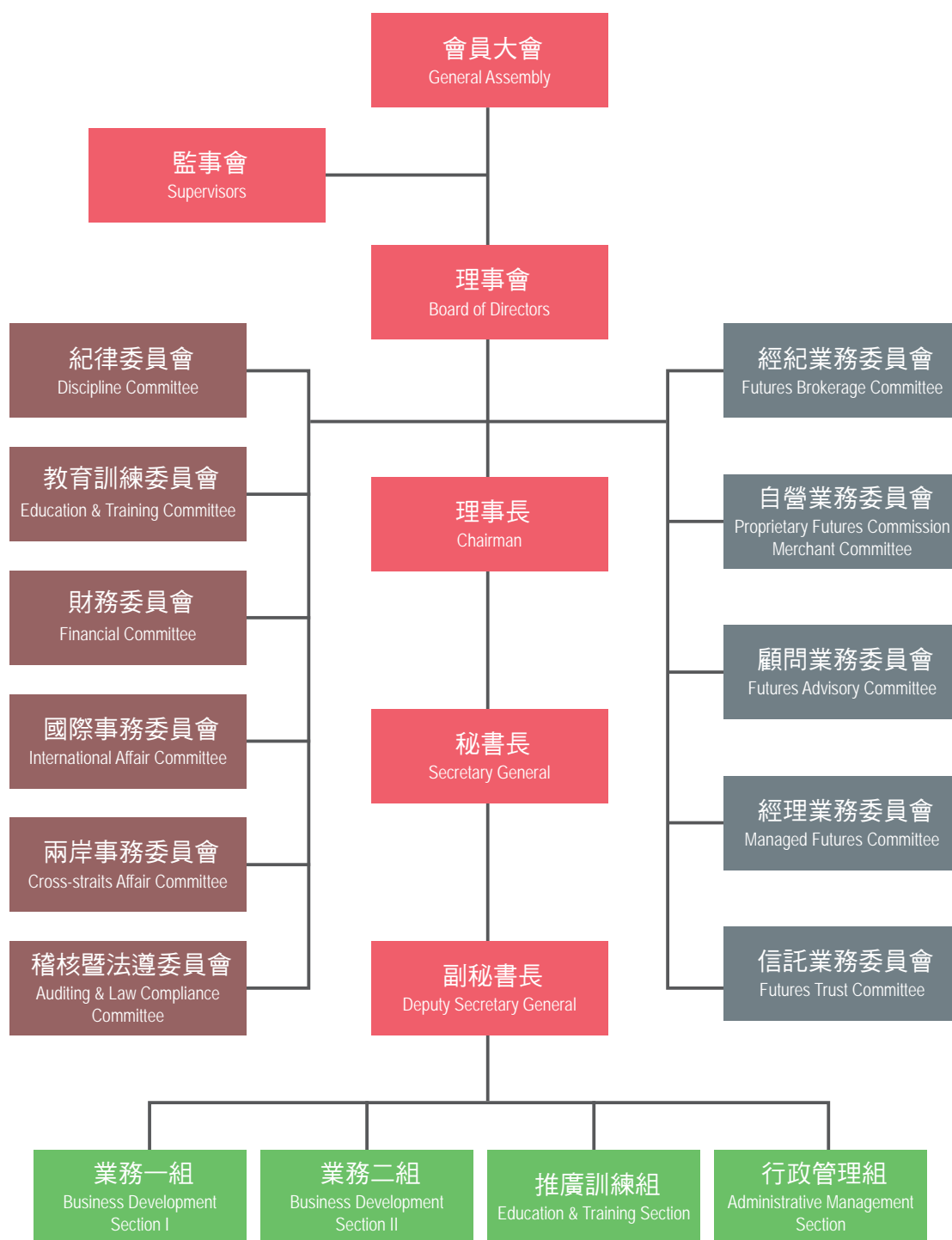
中華民國期貨業商業同業公會  
第四屆第二次會員大會





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313位。

■成員：由會員代表組成。至103年12月31日止，本公會會員公司計有169家：

1. 專營期貨商15家
2. 兼營期貨商20家
3. 期貨交易輔助人49家
4. 國外複委託商2家
5. 期貨自營業務32家
6. 期貨經理業務9家
7. 期貨顧問業務33家
8. 期貨信託業務9家

■執掌：為本公會最高決策機關。

■職權：

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

(二)、理事會

■成員：33位理事，由會員代表互選之。另設置常務理事11人，由理事互選之。

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

## B. Structure and Responsibilities

1. General Assembly: member companies, based on their business categories, assign up to 7 representatives each to take part in the General Assembly. In 2014, a total of 313 member representatives were registered with the Association.

■ Member companies: the Association was composed of 169 member companies at the end of 2014:

1. Specialized futures brokerage companies: 15
2. Concurrent futures brokerage companies: 20
3. Futures introducing brokers (IB): 49
4. Foreign re-engaging brokers: 2
5. Proprietary futures commission merchants: 32
6. Managed futures enterprises: 9
7. Futures advisory enterprises: 33
8. Futures trust enterprises: 9

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

■ Responsibilities:

1. To elect or recall board members or supervisors
2. To make and revise CNFA Charter
3. To approve annual working plans, budget, auditing reports, and R&D projects
4. To review proposals approved at the meetings of board members, supervisors, or General Assembly
5. To take disciplinary actions against misbehaved member companies or member representatives
6. To trade properties of the Association
7. To approve settlement report and appointment of settlement persons as well as handle other settlement-related issues
8. To approve dismissing of any board member or supervisor
9. To approve member registration fee, annual membership fee, business promotion fee, and donations of member companies
10. To approve other issues associated with member's rights or obligations

2. Board of Directors

■ Board members: the 33 board members were elected by member representatives during the General Assembly, and 11 executive board members (or executive directors) were elected from board members.

■ Authority: the Board of Directors is the Association's highest permanent executive body where members elect a chairman to act on behalf of the Association.



■職權：

1. 召開會員大會並執行其決議。
2. 選舉、罷免常務理事及理事長。
3. 議決常務理事、理事及理事長自行辭任。
4. 通過會員入會、退會及註銷會員、會員代表會籍。
5. 編擬年度工作計畫綱要、經費預、決算及事業計畫。
6. 會務工作人員、顧問、研究員等之遴聘、解聘。
7. 議決本公會相關規章之制訂及修正案。
8. 辦理監事會移送執行案件。
9. 遇有緊急重大事項不及召開會員代表大會時，得由理事會先為必要之措施，於會員代表大會時報請追認。
10. 議決處分違反本公會章程第二十條規定之會員。
11. 執行法令及章程所規定事項。
12. 其他依職責應辦之事項。

(三)、監事會

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

■執掌：為本公會最高監察單位。

■職權：

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

■ **Responsibilities:**

1. To convene the General Assembly and execute its decisions
2. To elect or recall chairman or executive directors
3. To approve resignation of chairman or board members
4. To approve registration, withdrawal, or nullification of membership or member representative
5. To make annual working plans, budget, auditing report, and R&D projects
6. To approve appointment or dismissing the Association's administrative staff workers, advisors, or research staff workers
7. To approve the Association's new regulations or revisions to the CNFA Charter or regulations
8. To deal with the projects approved at meetings of supervisors
9. To hold a meeting to discuss the proposals originally tendered for discussion at the General Assembly which fails to be held for certain reasons. Decisions made during the meeting will be reported to next General Assembly for its approval.
10. To take disciplinary actions against the members who fail to pay membership fee
11. To handle issues in accordance with laws, CNFA Charter, or related regulations
12. To handle other related issues

3. Supervisors

■ Supervisors: the 11 supervisors were elected by member representatives during the General Assembly, and they accordingly elected 3 executive supervisors among whom one was selected as convener.

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

■ **Responsibilities:**

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



(四)、委員會：設有經紀業務、自營業務、顧問業務、經理業務、信託業務、紀律、教育訓練、財務、國際事務、兩岸事務、稽核暨法遵等11個委員會。

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

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

茲就各委員會之職掌分述如下：

- 經紀業務委員會
  - (1) 有關期貨經紀業務之發展、聯繫、協調及改進事項。
  - (2) 有關期貨交易人服務事項。
  - (3) 有關編擬年度工作計畫事項。
  - (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



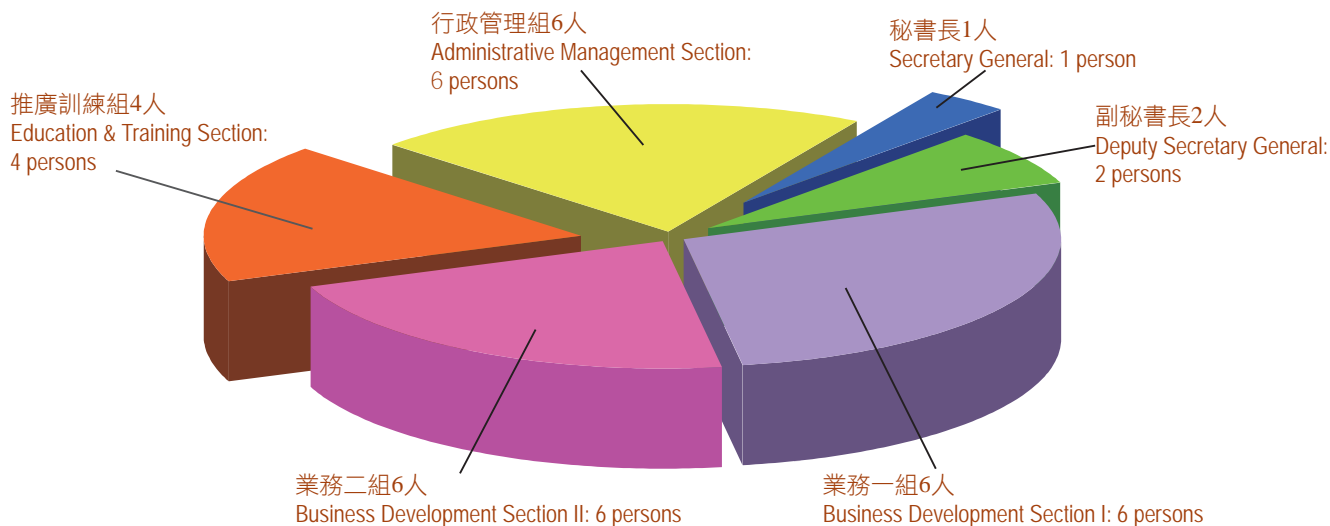
- (3) 有關編擬年度工作計畫事項。
- (4) 其他有關期貨信託業務之處理事項。
- 紀律委員會
  - (1) 有關自律公約之擬訂、執行與督促會員自律事項。
  - (2) 有關會員職業道德之規範事項。
  - (3) 其他有關會員自律之處理事項。
- 教育訓練委員會
  - (1) 辦理期貨從業人員職前訓練及在職訓練事項。
  - (2) 有關參觀、演講、講習、康樂、體育等活動之舉辦事項。
  - (3) 有關出版刊物之編輯事項。
  - (4) 有關期貨投資宣傳事項。
  - (5) 其他有關教育訓練、考試及核發證書之處理事項。
- 財務委員會
  - (1) 有關會費、事業費、經費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

**103年會務人員統計表**  
CNFA Administrative Staff in 2014



- 業務一組  
辦理期貨商、期貨（證券）交易輔助人、槓桿交易商及海峽兩岸期貨業務相關之下列工作：
  - (1) 經紀業務、自營業務、兩岸事務及紀律委員會開會事宜。
  - (2) 與主管機關、周邊單位及會員公司之聯繫事宜。
  - (3) 蒐集業界資料，掌握市場動態。
  - (4) 檢討期貨法令並提出改進建議。
  - (5) 提供會員公司期貨業務法規諮詢服務。
  - (6) 自律規定之研議。
  - (7) 新種業務之可行性研究與分析。
  - (8) 期貨相關專題之研究。
  - (9) 聯繫、跟催委外專案研究之進度。

- (4) To coordinate for consistency in internal control and auditing system of futures companies and help them resolve related problems
  - (5) To make annual work plan for the committee
  - (6) To handle other related issues
5. Administrative staff: the Association's administration is divided into four sections of Business Development Section I, Business Development Section II, Education & Training Section, and Administrative Management Section, all under the supervision of secretary general and deputy secretary general. Duties of each section are listed below:
- Business Development Section I:  
To handle the business of futures companies, futures (securities) introducing brokers, leveraged trading, and cross-straits issues:
    - (1) To arrange meetings of the Futures Brokerage Committee, Proprietary Futures Commission Merchant Committee, Cross-straits Affair Committee, and Discipline Committee
    - (2) To handle interactions among regulatory agency, peripheral institutions, and member companies
    - (3) To gather information about market trend and industrial development
    - (4) To review futures-related laws and, when necessary, propose suggestion for improvement
    - (5) To provide legal consulting services to member companies
    - (6) To propose or make revisions to self-discipline rules
    - (7) To make research on the feasibility of developing new futures-related business in Taiwan and analyze its market potential
    - (8) To make research on futures-related topics
    - (9) To arrange out-sourcing research projects
    - (10) To gather and analyze the information about cross-straits issues
    - (11) To arrange interactions among futures associations at the two sides of the Taiwan Straits



- (10) 蒐集及分析兩岸期貨業務之相關資訊。
- (11) 兩岸期貨組織之聯繫及交流事宜。
- (12) 會員公司宣傳資料與廣告物之審查。
- (13) 會員公司業務及財務之查察與輔導。
- (14) 會員公司送由公會轉送主管機關文件之初審、建檔與轉報。
- (15) 執行自律規定及主管機關交辦事項之稽查作業。
- (16) 各會員公司營業據點場地、設備查驗。

● 業務二組

辦理期貨服務事業（不含期貨交易輔助人）及國際期貨業務相關之下列工作：

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





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

● Business Development Section II

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

- (1) To arrange meetings of Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, and International Affair Committee
- (2) To handle interactions among regulatory agency, peripheral institutions, and member companies
- (3) To gather information about market trend and industrial development
- (4) To review futures-related laws and, when necessary, propose suggestion for improvement
- (5) To provide legal consulting services to member companies
- (6) To propose or make revisions to self-discipline rules
- (7) To make research on the feasibility of developing new futures-related business in Taiwan and analyze its market potential
- (8) To make research on futures-related topics
- (9) To arrange out-sourcing research projects
- (10) To gather and analyze the information about international futures issues
- (11) To arrange the interaction between the Association and international futures associations
- (12) To review the advertisement and promotional materials of member companies
- (13) To inspect the financial condition of member companies and, when necessary, provide assistance to help them make improvement
- (14) To review and forward the documents of member companies to the regulatory agency and keep records of them
- (15) To execute the self-discipline rules for member companies and, in accordance with the regulatory agency's instruction, inspect the auditing practice of member companies
- (16) To make inspection on the business locations and facilities of member companies



- 推廣訓練組
  - (1) 從業人員在職與相關訓練。
  - (2) 期貨業務講座、說明會等教育宣傳活動。
  - (3) 專題研究、公聽會及研討會之發表。
  - (4) 配合時事，研擬專案性之文宣活動。
  - (5) 刊物之編輯與發行事宜。
  - (6) 會員之會籍、負責人與業務員登錄及管理。
  - (7) 業務員工作證換發作業。
  - (8) 教育訓練委員會開會事宜。
  
- 行政管理組
  - (1) 採購驗收、財產保管。
  - (2) 資訊系統規劃建置及維護。
  - (3) 預算、決算、財務分析、經費收支、會計、出納、帳務、資金調度。
  - (4) 檔案管理、收發文。
  - (5) 各種活動支援。
  - (6) 人事、總務、行政、文書等作業。
  - (7) 會員公司及從業人員之聯誼或康樂活動。
  - (8) 會員大會、理監事會開會事宜。
  - (9) 財務、稽核暨法遵委員會開會事宜。
  - (10) 期貨交易糾紛調處事項。





- Education & Training Section
  - (1) To arrange pre-job and on-job training courses for futures workers
  - (2) To arrange futures lecturers, seminars, and other promotional activities
  - (3) To publish the reports of research projects, public hearing, or seminars
  - (4) To arrange activities for advocating special news or research topic
  - (5) To compile and publish publications
  - (6) To handle the registration of new member companies, member representatives, and business representatives of member companies
  - (7) To arrange renewal of job certificates of Association's staff workers
  - (8) To arrange meetings of the Education & Training Committee
  
- Administrative Management Section
  - (1) To handle procurement issues and safeguard Association's properties
  - (2) To arrange IT equipment procurement, maintenance, and management
  - (3) To make budget, settlement, financial analysis, income & payment, accounting, financial document review, as well as handle fund-raising, cashier's work, and other related issues
  - (4) To handle mails and keep documents
  - (5) To provide financial support to Association-held activities
  - (6) To handle the issues about personnel, general issues, administrative management, and keep records of documents
  - (7) To arrange social activities for employees of member companies and the Association's working staff
  - (8) To arrange the General Assembly as well as meetings of the board of directors and supervisors
  - (9) To arrange meetings of the Financial Committee and Auditing & Law-compliance Committee
  - (10) To mediate disputes about futures trading



## 理監事名錄 Board Members and Supervisors

## 理事名錄

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

序號 (No.)	公會職稱 (Title)	姓名 (Name)	會員名稱 (Company)	職稱 (Position)
25	理事 Director	黃正雄 Thomas Huang	元富期貨股份有限公司 MasterLink Securities Corp.	總經理 President
26	理事 Director	黃俊仁 Jun-jen Huang	統一綜合證券股份有限公司 President Securities Corp.	副總經理 Vice President
27	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
28	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
29	理事 Director	賈中道 Alex Chia	群益期貨股份有限公司 Capital Futures Corp.	總經理 President
30	理事 Director	滕青華 Ching-hua Teng	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	總經理 President
31	理事 Director	蔡鎮村 Chen -tsun Tsai	國票期貨股份有限公司 Waterland Futures Co., Ltd	副總經理 Vice President
32	理事 Director	鄭尚浩 Shang-hao Cheng	日盛證券股份有限公司 Jih Sun Securities Co., Ltd	副總經理 Vice President
33	理事 Director	鄭質榮 Vincent Cheng	新加坡商華大期貨經紀有限公司台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	總經理 President

註：以上資料以103.12.31日為準，依姓氏筆劃排序。

#### 監事名錄

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

註：以上資料以103.12.31日為準，依姓氏筆劃排序。

### 一、關於期貨交易法令協助推行

#### A. Implementation of futures-related regulations

##### 增修定範本、規則、申報書表

##### Formulating contract templates, guidelines, and report formats

##### 修定事項 Amendments to futures-related laws and regulations

1. 配合歐臺期、歐臺選交易契約，訂定「期貨商代期貨交易人辦理國內、國外期貨交易客戶保證金專戶相互撥轉同意書(範本)」。  
In coping with the “Eurex/TAIFEX Link Daily Futures” transaction contract, the CNFA formulated the “Agreement template for futures companies, on behalf of futures traders, to transfer fund between special deposit accounts for domestic or overseas futures transactions.”
2. 配合主管機關訂定發布之「證券期貨業防制洗錢及打擊資助恐怖主義注意事項」，修正訂定「期貨商防制洗錢及打擊資助恐怖主義注意事項範本」、「期貨信託事業暨期貨經理事業防制洗錢及打擊資助恐怖主義注意事項範本」。  
In coping with the government-published “Guidelines for Securities and Futures Companies in Prevention of Money-Laundering and Assistance to Terrorism,” the CNFA made amendments to the “Model Guidelines for Futures Companies in Prevention of Money-Laundering and Assistance to Terrorism” and the “Model Guidelines for Futures Trust Enterprises and Managed Futures Enterprises in Prevention of Money-Laundering and Assistance to Terrorism.”
3. 修正「期貨商開戶徵信作業管理自律規則」，有關受任人不得為證券或期貨市場違約戶之規定。  
The CNFA made amendment to the “Self-discipline Rules for Futures Companies in Investigating Credibility of New Account Applying Customers,” making regulations to prohibit the traders with securities or futures transaction default record from applying new accounts.
4. 配合期交所新增「一定範圍市價委託」之委託單種類，修正「期貨商受託國內當日沖銷交易自律規則」暨風險預告同意書(範本)。  
In coping with the “bidding of fixed price range”—a new type of bidding announced by the Taiwan Futures Exchange (TAIFEX), the CNFA made amendments to the “Self-discipline Rules for Futures Companies in Making Domestic Day Trading Transaction” as well as the agreement template for risk warning.
5. 明定期貨商各項手續費費率及折讓標準之訂價應考量之要素。  
The CNFA listed the criteria for futures companies in setting service fees and discounts for different types of futures trading.
6. 修正「期貨商受理電話辦理保證金提領防範配套措施作業辦法」，有關：  
(1)增加以簡訊方式通知期貨交易人保證金提領作業之配套措施。  
(2)增加IB受理期貨交易人以電話方式申請提領保證金之相關配套措施。  
The CNFA made amendments to the “Procedures for Futures Companies in Dealing with Futures Trader’s Request for Deposit Withdraw by Phone,” regarding:  
(1) Futures companies should send the text of the “Procedures” to clients by mobile phone.  
(2) Futures introducing brokers (IB) are allowed to handle client’s request for deposit withdraw by phone in accordance with the “Procedures.”
7. 因應主管機關開放槓桿保證金契約交易業務，修正「會員負責人及業務員登記事項作業要點」、「期貨業經理人資格審核作業須知」、「期貨業業務員登錄作業須知」。  
In coping with the government’s policy to open leveraged margin transactions, the CNFA revised the “Registration Guidelines for Member Company’s Responsible Person and Business Representatives,” the “Guidelines for Inspection of Manager’s Qualifications at Futures Company,” and the “Registration Procedures for Business Representatives at Futures Companies.”
8. 為因應國際金融情勢發展，降低對信用評等機構之依賴度，修正：  
In coping with the changing international financial market, the CNFA considered how to reduce futures company’s reliance on credit-rating agencies, and revised:  
(1)「期貨顧問事業內部控制制度範本」、「期貨顧問事業內部稽核實施細則範本」及「內部稽核查核明細表範本」；

## Association Affairs

The “Template of Internal Control Guidelines for Futures Advisory Enterprises,” the “Template of Internal Auditing Procedures for Futures Advisory Enterprises,” and the “Template of Checking List for Internal Auditing.”

- (2) 「期貨經理事業內部控制制度範本」、「期貨經理事業內部稽核實施細則」及相關查核明細表、「期貨交易全權委任契約範本」、「期貨交易全權委任契約（共同委任）範本」、「保管機構委任契約範本」、「保管機構委任契約（共同委任）範本」、「全權委託期貨交易說明書範本」。

The “Template of Internal Control Guidelines for Managed Futures Enterprises,” the “Template of Internal Auditing Procedures for Managed Futures Enterprises” as well as the checking list, the “Template of Discretionary Account Trading Agreement,” the “Template of Discretionary Account trading Agreement (Joint Commission),” the “Template of Commission Agreement for Custodian Banking Services,” “Template of Commission Agreement for Custodian Banking Services (Joint Commission),” and the “Template of Prospectus for Discretionary Account Trading.”

- (3) 「期貨信託事業內部控制制度」、「內部稽核制度及查核明細表」、「期貨信託契約範本(一般型、保本型、組合型、對符合一定資格條件之人募集)」、「期貨信託基金之募集、發行、銷售及申購買回作業程序」、「期貨信託基金從事店頭衍生性商品之總風險暴露計算標準」、「期貨信託基金月報檢查表」。

The “Template of Internal Control Guidelines for Futures Trust Enterprises,” the “Template for Futures Trust Contract (General, Principal-guarantee, Combined, or Specially-tailored Type for Specifically-qualified Traders),” the “Procedures for Futures Trust Fund Raising, Launch, Sale, and Redemption,” the “Criteria for Overall Risk Estimation for Futures Trust Enterprises Engaged on OTC-market Derivatives Trading,” and the “Monthly Checking Report Format of Futures Trust Fund.”

9. 配合主管機關開放期貨ETF，修正「期貨信託契約範本(一般型、保本型、組合型)」、「期貨信託事業及其銷售機構基金通路報酬揭露施行要點」、「期貨信託基金銷售契約範本」、「期貨信託基金之募集、發行、銷售及申購買回作業程序」、「期貨信託基金資產價值之計算標準」、「期貨信託基金月報檢查表」、「期貨信託事業內部控制制度」、「期貨信託事業內部稽核制度及查核明細表」。

In coping with the government’s policy to allow ETF trading, the CNFA revised the “Template of Futures Trust Contract (General, Principal-guarantee, or Combined type),” the “Guidelines for Futures Trust Enterprises and Their Sales Agents in Profit Exposure,” the “Template of Futures Trust Fund Sale Contract,” the “Procedures for Futures Trust Fund Raising, Launch, Sale, and Redemption,” the “Criteria for Calculation of Futures Trust Fund’s Assets Value,” the “Report Format for Monthly Checking of Futures Trust Fund,” the “Internal Control Mechanism for Futures Trust Enterprises,” and the “Internal Control Mechanism and Inspection List for Futures Trust Enterprises.”

10. 因應先買後賣現股當日沖銷交易措施，修正「期貨交易全權委任契約範本」、「期貨經理事業經營全權委託期貨交易業務操作辦法」及「全權委託交易說明書範本」。

In coping with the government’s policy for allowing the “buy-first, sell-later” day trading, the CNFA revised the “Contract Template for Discretionary Account for Futures Trading,” the “Guidelines for Managed Futures Enterprises in Dealing Discretionary Account Trading,” and the “Prospectus Template for Discretionary Account Trading.”

11. 訂定「與大陸地區業務往來合作契約書範本」提供專、兼營期貨商參考使用。

The CNFA made the “Contract Template for Dealing Business with China” as reference for specialized futures brokerage companies and concurrent futures brokerage companies.

12. 增定「期貨信託基金資產價值之計算標準」有關期貨信託基金淨資產價值計算之可容忍偏差率標準及相關處理作業規定。

The CNFA set the “Criteria for Calculating Assets Value of Futures Trust Fund” defining the standard deviation for calculating assets value of futures trust fund as well as related regulations.

13. 配合主管機關放寬期貨經理事業經營全權委託期貨交易業務，接受委託交易或投資之總金額比例限制，修正本公會「期貨交易全權委任契約範本」、「期貨經理事業經營全權委託期貨交易業務操作辦法」。

In coping with the government’s policy to relax the total amount limit on discretionary account trading conducted by managed futures enterprises, the CNFA revised the “Contract Template for Discretionary Account for Futures Trading” and the “Guidelines for Managed Futures Enterprises in Dealing Discretionary Account Trading.”



## 研議事項 Proposals

1. 建請主管機關開放期貨交易輔助人(IB)從事臺灣期貨交易所與國外期貨交易所合作連結商品以外之國外期貨交易。  
The CNFA suggested that the government should allow IB to conduct foreign futures trading except those linked to the TAIFEX-listed ones.
2. 建請主管機關同意期貨商經營證券交易輔助業務者，接受投資人之委託範圍增加外國有價證券。  
The CNFA suggested that the government should allow the IB to trade foreign securities on behalf of customers.
3. 建請主管機關開放證券商得擔任境外華僑及外國人從事期貨交易之代理人。  
The CNFA suggested that the government should allow securities firms to act as agents of overseas or foreign traders for futures trading.
4. 建請主管機關放寬兼營期貨自營商之自有資金運用範圍及交易限額。  
The CNFA suggested that the government should relax the investment range and amount limitation for concurrent futures brokerage companies in making investments with their own fund.
5. 建請主管機關同意專營期貨商得於分支機構設置經營自營業務之部門。  
The CNFA suggested that the government should allow specialized futures brokerage companies to have their branches run concurrent futures brokerage business.
6. 建請主管機關修訂「期貨信託基金之淨資產價值低於基金成立時之淨資產價值時，不得計收績效報酬」之規定。  
The CNFA suggested that the government should revise the regulations, regarding “Futures trust enterprises can’t charge performance reward when the net assets of the fund under their management slip below the level upon the fund’s establishment.
7. 建請主管機關放寬保險業資金進入期貨市場之限制、放寬保險業投資期貨信託基金受益憑證之規定及開放投資型保單連結期貨信託基金。  
The CNFA suggested that the government should remove the restriction on insurance companies from using their fund to make futures trading, as well as relax the regulations on insurance companies in buying mutual funds and allow investment-type insurance funds to buy futures trust funds.
8. 建請主管機關放寬期貨信託基金從事「期貨信託基金管理辦法」第38條第1項第1款至第2款之交易，所收取與支付之保證金及權利金合計佔該期貨信託基金淨資產價值之比率。  
The CNFA suggested that the government should relax the regulations on futures trust funds in making the transactions defined in Article 38, Paragraphs 1-2 of the “Act of Futures Trust Management,” setting the ceiling ratio of the combined value of the deposits and premiums to the net assets value of the futures trust fund.
9. 建請主管機關修正期貨經理事業持有外幣存款上限為「期貨經理事業得以自有資金開設外幣存款帳戶，因自有資金運用而持有之外幣存款總額，不得超過其淨值20%。  
The CNFA suggested that the government should revise the ceiling of the foreign currency deposit of a managed futures enterprise to be in accordance with the regulation that “a managed futures enterprise could hold a foreign currency account with deposit not exceeding 20% of its net assets value.”
10. 建請主管機關放寬接受委任人委託交易時之資產最低限額從250萬元調降至100萬元。  
The CNFA suggested that the government should lower the minimum amount for a trustee to entrust a trust manager from NT\$2.5 million to NT\$1 million.

11. 建請主管機關放寬實收資本額或指撥營運資金達三億元以上之期貨經理事業，接受委託交易或投資之總金額無倍數限制。

The CNFA suggested that the government should loosen its policy to allow a managed futures enterprise, whose paid-in capital or allocated operation fund exceeds NT\$300 million, to be exempt from the limitation on the total amount of the trading or investments it makes on behalf of clients.

12. 建請主管機關放寬期貨經理事業之分公司除「推廣」及「招攬」業務外，得進行「研究分析」、「交易決定」及「交易執行」等業務。

The CNFA suggested that the government should allow the branches of managed futures enterprises to conduct the businesses of “doing research and analysis,” “making trading decision,” and “executing transaction,” in addition to the existing businesses of “business promotion” and “business inducing.”

13. 建請主管機關開放大陸人士得來臺開立期貨交易帳戶以從事國際期貨交易。

The CNFA suggested that the government should allow Chinese mainlanders to open futures trading account in Taiwan for doing trading of foreign futures.

14. 建議期交所增加期貨商得以通訊方式辦理期貨交易帳戶開戶作業。

The CNFA suggested that the TAIFEX should allow futures companies to handle account-opening services by correspondence.

15. 建議期交所增加得由受託買賣業務員一人於營業場所外，並由開戶經辦人員於營業場所內同步視訊辦理開戶前置作業。

The CNFA suggested that the TAIFEX should allow futures company to handle account-opening preparatory matters at the business site, through correspondence with the entrusted business representative who is not required to be at the futures company during the account-opening procedures.

16. 建議期交所修正期貨商委任期貨交易輔助人受理交易人以電話方式申請提領保證金應辦理事項。

The CNFA suggested that the TAIFEX should allow futures company to handle account-opening preparatory matters at the business site, through correspondence with the entrusted business representative who is not required to be at the futures company during the account-opening procedures.

17. 建議期交所「集中交易市場104年度農曆春節前最後營業日及春節後開始營業日」。

The CNFA proposed the first and last trading days at the TAIFEX for 2015.

18. 建議期交所「內部稽核實施細則精化作業」：

The CNFA suggested revisions to the TAIFEX-formulated “Enforcement Rules for Internal Auditing” as follows:

- (1) 開戶手續及審核、客戶徵授信作業之查核頻率，建議調整為「抽核10戶」。

Regarding the “frequency” of inspection of account-opening procedures and client’s credibility, it’s suggested to inspect 10 accounts in total.

- (2) 有關受託買賣及成交之查核作業，建議將「買賣委託書」修正為「買賣委託紀錄」之查核作業。

Regarding the inspection of entrusted trading and conducted transaction, it’s suggested to be revised as inspection of the “commissioned transaction record” rather than “commissioned transaction contract.”

- (3) 交易循環管理作業查核明細表，建議修正為「月」查核。

Regarding the checking list for trading cycle management, it’s suggested to be changed to be the “monthly” inspection.

19. 向證基會爭取調降期貨商業務員資格測驗英文版費用。

The CNFA requested the Securities and Futures Institute (SFI) to lower the English test fee for futures salesperson



- qualification test.
20. 配合主管機關開放專營期貨自營商得申請兼任槓桿交易商，研擬「風險預告書(範本)」。  
In coping with the government's policy to allow proprietary futures commission merchants to apply for making leveraged trading, the CNFA formulated the "Template for Risk Warning Contract."
  21. 研議期貨顧問事業是否得以第三方支付方式收取期貨顧問服務費之內部控制制度如何防範相關風險管理措施、為避免爭議，研議契約生效基準日之明確規範及另檢視採用第三方支付方式之整體流程。  
The CNFA made a study on how futures advisory enterprises should strengthen their internal control system and related risk-management measures for a third party to collect their futures advisory fees.
  22. 有關歐臺期、歐臺選交易契約，研擬期貨商預收保證金等風險控管措施。  
Regarding trading of "Eurex/TAIFEX Link Daily Futures," the CNFA proposed the risk-control measures for futures companies to collect deposit in advance.
  23. 進行兩岸期貨業是否得採用利潤分享制度及其適法性之研究與探討。  
The CNFA made a study on the feasibility of profit-sharing system for the futures industry across the Taiwan Straits.
  24. 研議建請期貨結算機構擔任期貨經理事業全權委託保管機構可行性乙案。  
The CNFA made a study on the feasibility for futures clearing institute to act as the custodian bank for the funds at the discretionary accounts at managed futures companies.
  25. 研議建請主管機關放寬期貨顧問事業得接受委任人以網路方式簽署委任契約乙案。  
The CNFA suggested that the government should allow futures advisory enterprises and their clients to sign on commission contract through Internet.
  26. 建請主管機關本公會辦理期貨業人員職能基準驗證，之後免再依職能發展計畫向勞委會或其委託單位提出「職能基準品質認證」、「職能導向課程品質認證」及「職能鑑定認證」乙案  
The CNFA made recommendation to the government that those who have passed the CNFA-arranged futures worker qualification test will be exempt from the requirements for the "vocational capability quality certificate," the "vocation-oriented class quality certificate," or the "vocational capability certificate" required in accordance with the vocational capability development program announced by the Council of Labor Affairs Council (CLA) or other related institutions.
  27. 節省會員公司從業人員異動之作業成本，調整本公會期貨業從業人員工作證製發對象，及工作證改為不揭露總分公司別，修訂本公會「會員負責人及業務員登記事項作業要點」、「期貨業業務員登錄作業須知」、「期貨輸單員登記作業要點」。  
In order to help Member Companies reduce the operation cost involved with working staff change, the CNFA adjusted the targeted futures worker for badge issue as well as remove the working location item on the badge, and has revised the CNFA's "Registration Key Points for Member Company's Responsible Person and Salespersons," the "Guidelines for Enrollment of Futures Business Representatives," and the "Enrollment Guidelines for Futures Trading Order Key-in Workers."

## 二、業務發展事項

### B. Association activities

#### 市場推廣活動 Market promotion activities

##### 「2014年期貨業校園徵才」巡迴講座 (3/07-5/28)

本講座全省共33所大專院校、計2,045位同學參與，對即將步入社會的應屆畢業生，以及對期貨業有興趣的學子，提供最好的業種介紹及最佳的解惑管道，也為職場生涯構築藍圖，邁向成功。

##### “Talents-Hunting on Campus” lecture series for 2014 (March 7-May 28)

In 2014, the campus lectures were arranged for of 33 universities throughout Taiwan, participated by 2,045 students in total. It provided the best opportunities for the students about to be graduated and those with interest in the futures industry to understand this industry and find answers to their questions, helping students map out blueprints for building successful careers in the futures industry.

##### 「2014金融就業博覽會」 (5/24)

由於金融行業的迅速發展，國際化程度高，各金融機構人力需求大幅增加，並期能提供正確資訊引導青年朋友就業方向，在金管會指導下，由金融總會、銀行、證券、期貨…等十二個金融產業公會與合作社，共同辦理「2014金融就業博覽會」，提供待職者諮詢與求職之管道。

##### Financial Job Fair for 2014 (May 24)

The financial market is fast-growing and highly internationalized, and the demand for financial talents keeps growing. In order to provide the youth with correct job market information, the CNFA followed the SFC's instructions to join the Taiwan Financial Services Roundtable (TFSR) and other 10 financial associations (including those of banks, securities firms, co-ops, etc) in holding the “Financial Job Fair for 2014,” providing both the job seekers and employers with the channels to meet and interview.

##### 期貨業務人才養成班聯合徵才活動 (9/24-10/08)

本公會於103年度舉辦第27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339位生力軍。

##### Futures salesperson training course (Sept. 24-Oct. 8)

The CNFA held the 27<sup>th</sup> joint talents recruitment program in 2014, of which the “Futures Salesperson Training Course” was sponsored by the Taiwan Futures Exchange (TAIFEX) and organized by the Securities & Futures Institute (SFI). The CNFA was responsible for screening the trainees for this Course which, since inception, has seen 339 trainees find proper jobs after they completed the Course.





### 「股票配個股期」多空配對策略推廣活動 (2013年12月9日~2014年3月31日)

為創造證券及期貨市場新動能，由期交所、證交所、證券公會及本公會共同舉辦「股票配個股期」多空配對策略推廣活動，以股票搭配個股期的策略交易為本次推廣活動重點，並藉以提升投資人風險管理與資產規劃能力。此次活動吸引超過6萬人次參與，普遍獲得各界好評。

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

To activate the securities and futures markets, the TAIFEA, the Taiwan Stock Exchange, the TSA, and the CNFA jointly held the futures trading strategy and promotion activity, namely “Matching of long and short single stock futures traders,” focused on introduction of combining futures and stocks as flexible investment strategy. The activity attracted over 60,000 participants in total.

### 「投資人理財講座」(8/16、8/22、11/21、12/12)

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

“Investment & Wealth Management Lecture” (Aug. 16, Aug.  
22, Nov. 21, Dec. 12)

In order to promote stock futures, activate the futures market, as well as help traders well understand stock futures and make good use of it for risk-hedging or strategic trading, the CNFA and the Taiwan Futures Exchange (TAIFEA), with co-sponsors of the Commercial times and Economic Daily News, jointly held four rounds of the “Investment & Wealth Management Lecture” in 2014, participated by nearly 1,000 participants.

### 積極參與「歐臺期、歐臺選」國際說明會 (2/20-24)

本公會積極參與歐臺期、歐臺選國際說明會，理監事除到場表示支持，亦請代表就該商品發展商機加以說明，以利市場參與者掌握合作發展空間並可預作相關準備，更希望讓國際投資人對本合作案商品有更深入之瞭解，進一步吸引外資參與交易。

International presentation of “Eurex/TAIFEX Link Daily  
Futures” (Feb. 20-24)

The CNFA was active in participating the international presentation of “Eurex/TAIFEX Link Daily Futures” with representatives to introduce business opportunities associated with it at the presentation, in addition to the attendance of both the CNFA’s executive directors and supervisors. It helped interested traders grasp opportunities for cooperation and make preparation for trading the new futures. It also made deep analysis about the futures to international traders and that will help attract foreign traders to the market.



### 「自由經濟示範區」金融服務啟動典禮 (3/5)

金融業為政府推動自由化政策的重要一環，金管會於103年3月5日舉辦自由經濟示範區金融服務啟動典禮，典禮最後，銀行、證券、期貨…等10大金融產業公會理事長共同進行「以金融支援產業，以產業活絡金融」之啟動儀式，宣告啟動我國金融業邁入自由經濟示範區新紀元。



#### Inaugural ceremony of financial services at "Free Economic Pilot Zone" (March 5)

The financial industry is an important sector for the government's liberalization policy. The SFC held the inaugural ceremony of financial services at the "Free Economic Pilot Zone" on March 5, 2014, where chairmen of the 10 financial-related associations (including banks, securities, futures, etc.) gathered at the ceremony held under the title "The financial industry supports the manufacturing industry; the manufacturing industry activates the financial industry," claiming a new age for Taiwan's financial industry to march into the free economic pilot zone.

### 「支持兩岸金融業互開記者會」 (3/28)

由工商時報主辦，邀請本公會於3月28日舉辦本記者會，邀集學者、學生代表、工會代表、投資人代表從不同的角度討論兩岸「開放」議題，期盼在市場開放下，有助於提升動能及交易量，且配合交易標的增加，理財工具將更多元化。



#### Press conference to call for opening of financial markets to each other side of Taiwan Straits (March 28)

The Commercial Times invited the CNFA to sponsor the press conference which gathered scholars, student representatives, labor union representatives, and investors to discuss the cross-strait opening issue from various aspects, in a hope that, through opening of the futures market, it would help strengthen the market momentum and provide futures traders with even more targets of trading and wealth management vehicles.

## 社會關懷 Social care

### 「2014年金融服務關懷社會」園遊會 (7/12、11/01)

為推動普及金融知識，喚起民眾對金融知識的重視及對社會弱勢族群的關懷，本公會除積極參加7/12及11/01金融總會統籌辦理之彰化及新北兩場關懷社會園遊會，從事教育宣導工作，並捐贈款項予弱勢團體，幫助需要關懷人士。



#### "Financial Service & Social Care 2014" courtyard party (July 12, Nov. 1)

In order to disseminate financial knowledge, as well as arouse the public's attention to assets management and care for disadvantaged groups, the CNFA supportively took part in the "Financial Service & Social Care 2014" courtyard party, which was held in two sessions in Changhua and New Taipei City on July 12 and Nov. 1, respectively, and disseminated related information and knowledge at the activity.



## 政令宣導 Policy Advocating

### 「洗錢防制」說明會(7/16、7/18、8/06)

因應主管機關於103年1月發布「證券期貨業防制洗錢及打擊資助恐怖主義注意事項」，本公會特於全省辦理3場說明會，以協助從業人員了解訂定內容、洗錢資訊之蒐集與申報作業。

#### “Money Laundry Control” seminar (July 16, 18, Aug. 6)

In coping with the government-published “Guidelines for Securities and Futures Companies in Prevention of Money-Laundry and Assistance to Terrorism” published in January 2014, the CNFA arranged three seminars to help futures workers understand the contents of the new regulations and procedures for gathering and reporting money laundry information.

### 「期貨交易違法及違規案例」說明會 (9/16、9/23、9/25、10/08)

為強化從業人員對期貨相關法規之認識，維護期貨市場交易秩序，本公會特別辦理說明會，透過實際案例說明違法違規之行為態樣及觸犯法規時可能面臨之民、刑事及行政責任，藉此提醒從業人員謹慎執行職務。

#### Seminar on “Futures trading default and law-violation cases” (Sept. 16, 23, 25, Oct. 8)

In order to strengthen futures workers’ understanding of futures-related regulations and protect futures market order, the CNFA arranged the seminars to analyze the law-breaking cases and behaviors as well as their responsibilities under the civil and crime codes, urging futures workers to act carefully at work.

### 「個人資料保護」說明會 (10/21)

本公會每年辦理「個人資料保護法」宣導說明會，並規劃不同主題，以利業者與從業人員遵循。本次特別針就人事單位規劃說明會，主題為「人資經手個資之維護與管理」，以協助相關人員在處理經手個資時能有更加充分的認識及作為。

#### Presentation on “Protection of personal information” (Oct. 21)

The CNFA held the presentation on “Protection of personal information” every year, with different topic for different year to help futures workers to act in compliance with the law. The presentation for this year is focused on the human resource unit, under the title of “analysis of personal informational management procedures from aspect of investors” in a hope to help the workers follow the proper procedures in handling personal information.



## 國際交流 International exchange

### 第38屆美國期貨業協會年會(03/12-14)

本公會派員參加美國期貨業協會(FIA)假美國波卡雷登(Boca Raton)舉行之第38屆年會，全球共超過30個國家、超過1,000位來自於期貨業主管機關、交易所、期貨業者、資訊廠商的高階人員參與大會。本次年會探討替代性遵循法令之施行、交易所垂直及水平整合，及歐洲高頻交易對市場影響等議題。

### Boca 2014, annual meeting of the Futures Industry Association, FIA (March 12-14)

The CNFA dispatched several representatives to attend Boca 2014, the 38<sup>th</sup> annual meeting of the Futures Industry Association (FIA) which gathered over 1,000 high-ranking executives of futures regulatory agencies, futures exchanges, futures companies, information management companies from over 30 countries around the world to discuss the implementation of futures regulations, vertical or horizontal integration of futures exchanges, and the impact of high-frequency trading on futures market.

### 理監事德瑞考察團(5/02-11、5/09-18)

臺灣時間5月16日在德國歐洲期貨交易所(Eurex)法蘭克福總部舉行Eurex/TAIFEX Link聯結掛牌交易上市典禮，這是我國首次將商品輸出國外，意義非凡。為了彰顯我國期貨業對此一聯結案之重視，本公會特別籌組參訪團，由賀理事長鳴珩率領，親臨現場向歐洲期貨交易所及臺灣期貨交易所表達祝賀之意，期盼本項聯結順利成功。

### Germany-Switzerland observation trip of CNFA directors and supervisors (May 2-11, 9-18)

The Eurex held the launching ceremony of the Eurex/TAIFEX Link at its Frankfurt headquarters at Taipei time of May 16, 2014. It's a significant moment for Taiwan's futures industry as it's the first time for Taiwan's futures to be listed on an international exchange. To show Taiwan's emphasis on this accession, the CNFA organized a delegation, headed by Chairman Ted Ho, to join this ceremony and express congratulations to both the FAIFEX and Eurex, with wish for success of this link in the future.

### 「2014台北國際期貨論壇」(8/27)

本公會自96年起每年皆會因應國際市場衍生性金融商品最夯之議題，舉辦國際性會議，本年度特別規劃探討港交所購併LME、滬港通、臺歐通及臺星通等議題，做為臺灣期貨市場中長期發展策略之參考，超過220人，現場座無虛席。

### Taipei International Futures Forum 2014 (Aug. 27)

The CNFA, since 1997, has held an annual international meeting on derivatives trading every year. The meeting for 2014 was focused on the topics of the acquisition of HKex over LME, direct link between Shanghai and Hongkong, and link between Taiwan and Singapore. Discussions at the meeting will be used as reference for considering the medium and long-term development of Taiwan's futures market. The 2014 meeting was participated by over 220 people.





## 兩岸往來 Cross-straits Interaction

### 第八屆中國期貨分析師論壇(4/11-12)

由中國期貨業協會主辦的「第八屆中國期貨分析師論壇」於杭州召開，本公會由詹副秘書長益青代表出席與會。本屆論壇以「重裝上陣，定制未來」為主題，就當前期貨行業和期貨分析師如何適應行業發展新形勢實現自身轉型升級，更好地為實體經濟發展服務進行了熱烈的討論。

#### The 8th China Hangzhou Analysts Forum (April 11-12)

The 8<sup>th</sup> China Hangzhou Analysts Forum was held by China Futures Association in Hangzhou. The CNFA organized a delegation, headed by Deputy Secretary-General Chan Yi-ching, to attend this forum which, under the topic of “Re-armed to set future development direction,” discussed how futures analysts and futures traders to cope with the changing market situation and how to seek self-upgrading so as to provide better services for the physical market development.



### 第11屆上海衍生品市場論壇 (5/27-29)

由上海期貨交易所和中國金融期貨交易所共同主辦的「第十一屆上海衍生品市場論壇」，本公會由盧秘書長廷劼代表出席與會。本屆主題為市場化、法治化、國際化的前景與路徑。

#### The 11<sup>th</sup> Shanghai Derivatives Market Forum (May 27-29)

The CNFA organized a delegation, headed by Secretary-general Lu Ting-chieh, to attend the 11<sup>th</sup> Shanghai Derivatives Market Forum co-organized by the Shanghai Futures Exchange and China Futures Association. The topic this year's forum was the “Tracks for Going-market, Law-governing, and Internationalization.”



### 理監事深圳國際期貨大會考察團(12/04-06)

為加強兩岸期貨業交流，本公會由賀理事長率領理監事及會務人員共計14人參加「第十屆中國(深圳)國際期貨大會」，本屆大會主題為「改革與創新•競爭與融合」，以促進期貨市場功能發揮、中介機構創新發展及實體企業風險管理為目標，圍繞大陸期貨市場改革開放、創新發展及全球衍生品市場改革發展趨勢等議題進行深入交流和討論。

#### CNFA delegation for joining “China (Shenzhen) International Derivatives Forum” (Dec. 4-6)

In order to promote cross-straits interactions of the futures industry, the CNFA Chairman Ted Ho led a delegation, with 14 members of the CNFA directors, supervisors, and staff workers, to attend the “10<sup>th</sup> China (Shenzhen) International Derivatives Forum” which, under the topic of “Reform and Innovation; Competition and Integration,” discussing how to fulfill futures market's functions as a medium organization to promote development of the physical market and realize the goal of risk management. Discussions were also focused on futures market opening in China, innovative development and reform of the global derivatives market, as well as the trends of market reforms.





湖北省期貨業協會王長松會長來訪(2/10)  
Visit of Wang Chang-song, Chairman of Hubei Futures Association (Feb. 10)



浙江金融參訪團來訪(3/26)  
Visit of the financial delegation from Zhejiang Province, China (March 26)



安信期貨來訪(2/20)  
Visit of Essence Futures Company, Beijing (Feb. 20)



中金所來訪(7/9)  
Visit of China Financial Futures Exchange (July 9)



華泰證券來訪(6/17)  
Visit of Huatai Securities, China (June 17)



浙江大學寧波理工學院來訪(7/29)  
Visit of Ningbo Institute of Technology, Zhejiang University, China (July 29)



## 聯誼活動 Friendship activities

### 1. 從業人員聯誼活動 (11/15)

#### Friendship activities for futures workers (Nov. 15)

為提倡健康自然之休閒活動並提供從業人員聯誼管道，本公會每年辦理從業人員登山健行聯誼活動，至今已辦理九屆，為增加證券、期貨二業交流，今年仍與證券投信投顧公會共同辦理，規劃親子同樂、老少咸宜的忠義山登山健行路線，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，本次活動計超過1,000名從業人員及眷屬參與。

In order to provide healthy and natural leisure activities to futures workers, the CNFA arranged hiking activity every year, and it has been the ninth year in 2014. Meanwhile, in order to promote interaction between securities and futures workers, the CNFA invited the Securities Investment Trust and Consulting Association of the ROC (SITCA) to co-organize the hiking activity. This year, they selected the Chungyi Mountain hiking track, a route suitable for both parents and children as well as people of all age brackets. An "Invoice donation for social care" activity was held at the same time, in a hope 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

#### Friendship activities for committee members

委員會聯誼-宜蘭好山水、礁溪泡湯趣兩日精緻遊，共2梯次。(6/14-15、6/21-22)

A two-day trip for committee members to enjoy spring bathing in Chiaoshi, Ilan in 2014 (2 groups on June 14-15, June 21-22, respectively)





### 3. 理監事聯誼活動

Friendship activities for CNFA directors and supervisors

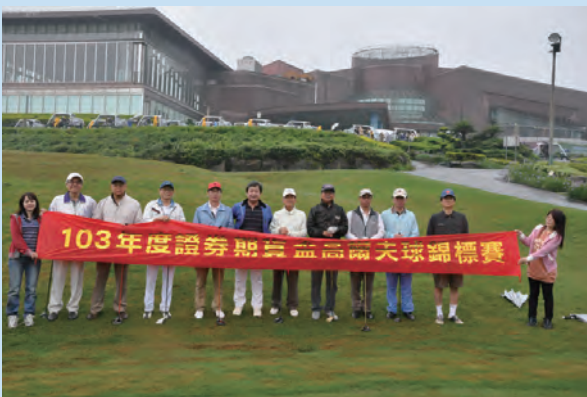
理監事聯誼-泰國清邁 (11/20-24)

A trip to Chiang Mai, Thailand (Nov. 20-24)



理監事聯誼-日本靜岡 (11/28-12/02)

A trip to Shizuoka Prefecture, Japan (Nov. 28-  
Dec. 2)



### 4. 103年度證券期貨盃高爾夫球賽 (5/01)

Securities and Futures Golf Championship for  
2014 (May. 1)

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。

The Securities & Futures Gold Championship is co-organized by seven  
associations and institutes of the TSE, TAIFEX, TDCC, GreTai, 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103年度針對期貨顧問事業之業務及內部稽核作業實施查察輔導工作，例行訪查期貨顧問事業共計33家，專案查核期貨顧問事業7件。其中違反本公會「會員自律公約」，發函會員公司要求改善者8件；警告者2件。

The Association made annual inspection on futures advisory enterprises and their practices of internal auditing. In 2014, it inspected 33 futures advisory enterprises and 7 futures advisory projects. Among those found breaking the Self-discipline Agreement for CNFA Members, 8 were required to make improvement and 2 received the CNFA's warning notices.

##### 2. 督促事項

##### Discipline matters

會員因違反公會自律規範，提紀律委員會報告共6案，討論共9案，其中處「注意改善」者12件，處警告一次者2件、處警告二次者2件。

In 2014, 6 cases were sent to the Discipline Committee for its review, in addition to another 9 for its discussion. Among them, there were 12 cases where companies were required to make improvement, two cases where companies were disciplined with a warning notice once, and in the other two cases where companies were disciplined with a warning notice twice.

# 合作

## 年度 績優至

## 頒

## 力團結 共



#### 四、關於會員業務之廣告及宣傳審查事項

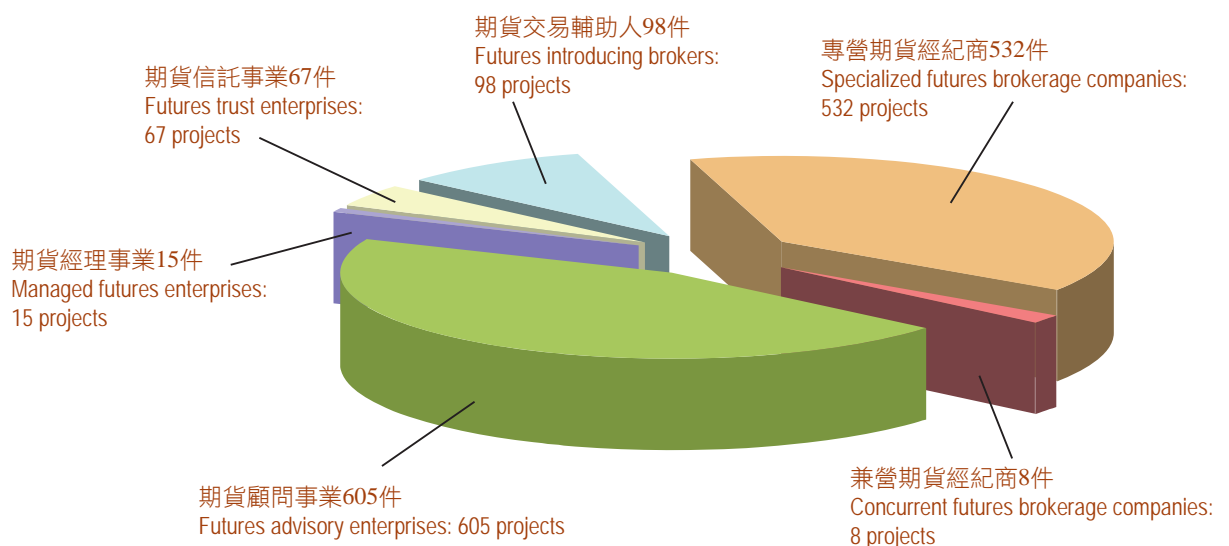
##### D. Inspection of advertisement and promotional materials of member companies

本公會103年度共計審核1,325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532件、兼營期貨經紀商申報8件、期貨顧問事業申報605件、期貨經理事業申報15件、期貨信託事業申報67件、期貨交易輔助人申報98件。

In 2014, the Association reviewed 1,325 projects of advertisement and promotional materials published by member companies. Among them, 532 projects were filed by the specialized futures brokerage companies, 8 by concurrent futures brokerage companies, 605 by futures advisory enterprises, 15 by managed futures enterprises, 67 by futures trust enterprises, and 98 by futures introducing brokers

#### 103年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2014

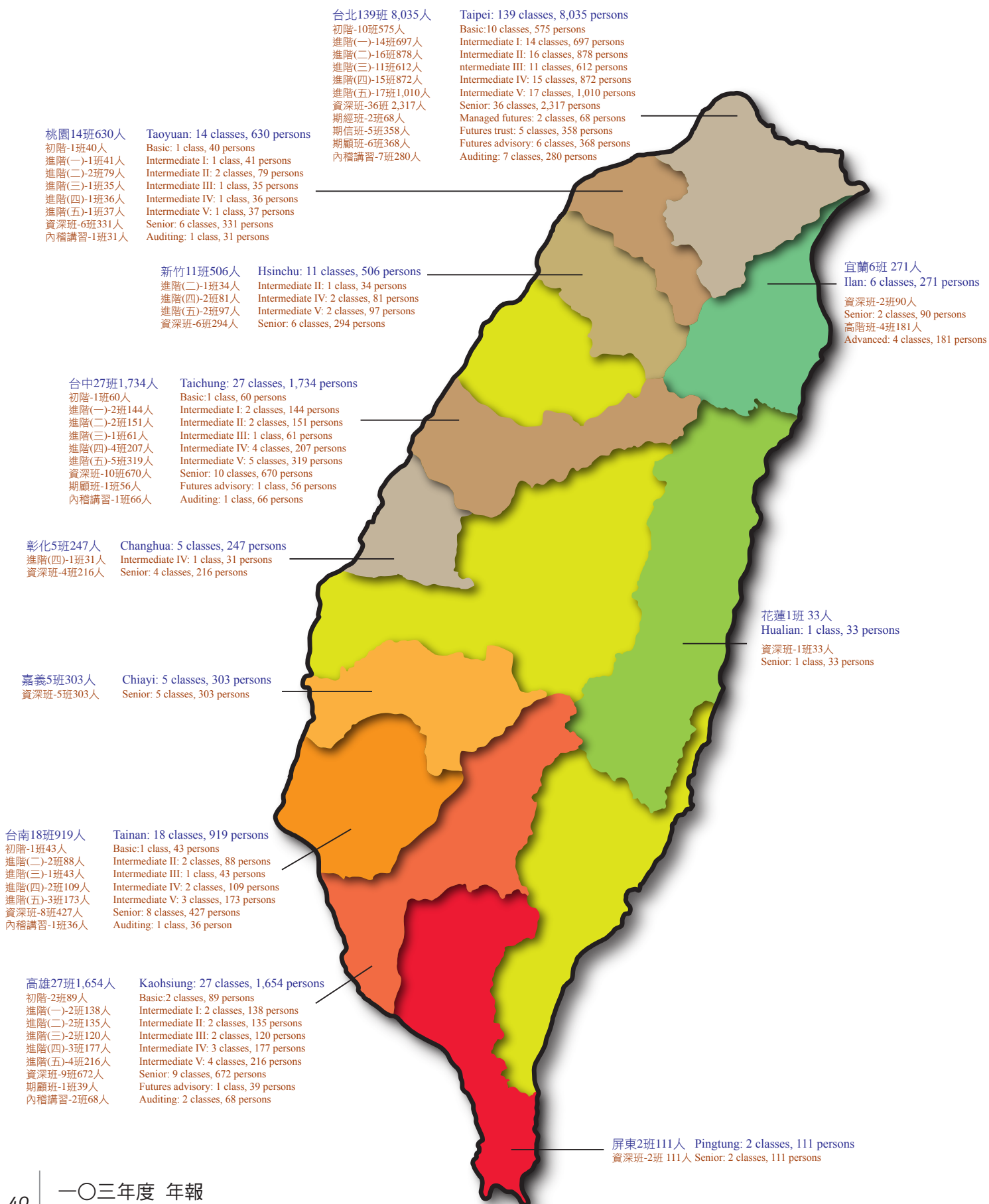




五、在職訓練

E. On-job training

103年度舉辦之地區別、班別及人數詳如下圖：  
CNFA-arranged Training Courses in 2014



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

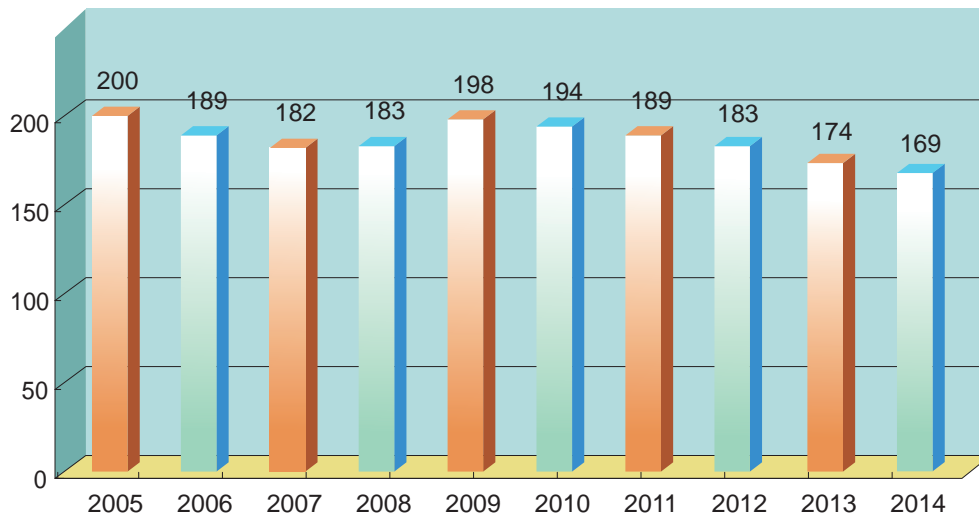
Registration of member companies and their business representatives

- 會員家數：共計169家，其中經營期貨經紀業務為37家(22%)；期貨業務輔助人49家(29%)；期貨自營業務32家(19%)；期貨經理業務9家(5%)；期貨顧問業務33家(20%)；期貨信託業務9家(5%)。

There were 169 member companies registered with the CNFA at the end of 2014: 37 (22%) futures brokerage companies, 49 (29%) futures introducing brokers, 32 (19%) proprietary futures commission merchants, 9 (5%) managed futures enterprises, 33 (20%) futures advisory enterprises, and 9 (5%) futures trust enterprises.

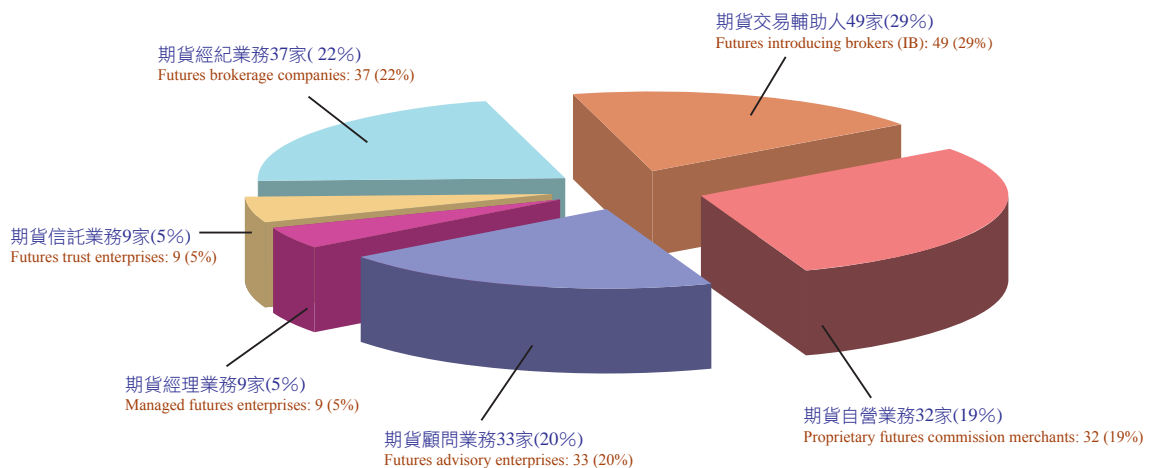
近10年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years



103年度會員類別統計圖

Statistics of CNFA Member Companies in 2014, by Business Category



共計169家會員 資料統計截至103/12/31  
A total of 169 member companies as of Dec. 31, 2014

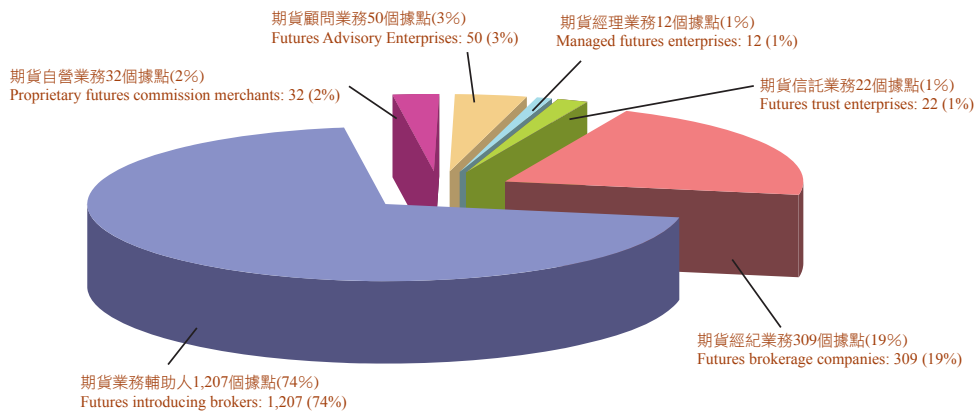


- 會員總分公司分支機構數：共計1,632家，其中經營期貨經紀業務為309個營業據點(19%)；期貨業務輔助人1,207個營業據點(74%)；期貨自營業務32個營業據點(2%)；期貨經理業務12個營業據點(1%)；期貨顧問業務50個營業據點(3%)；期貨信託業務22個營業據點(1%)。

CNFA Member Companies were operated with a total of 1,632 headquarters offices and branch offices as of the end of 2014: 309 used by futures brokers (19%), 1,207 used by introducing brokers (74%), 32 used by proprietary futures commission merchants (2%), 12 used by managed futures enterprises (1%), 50 used by futures advisory enterprises (3%), and 22 used by futures trust enterprises (1%)

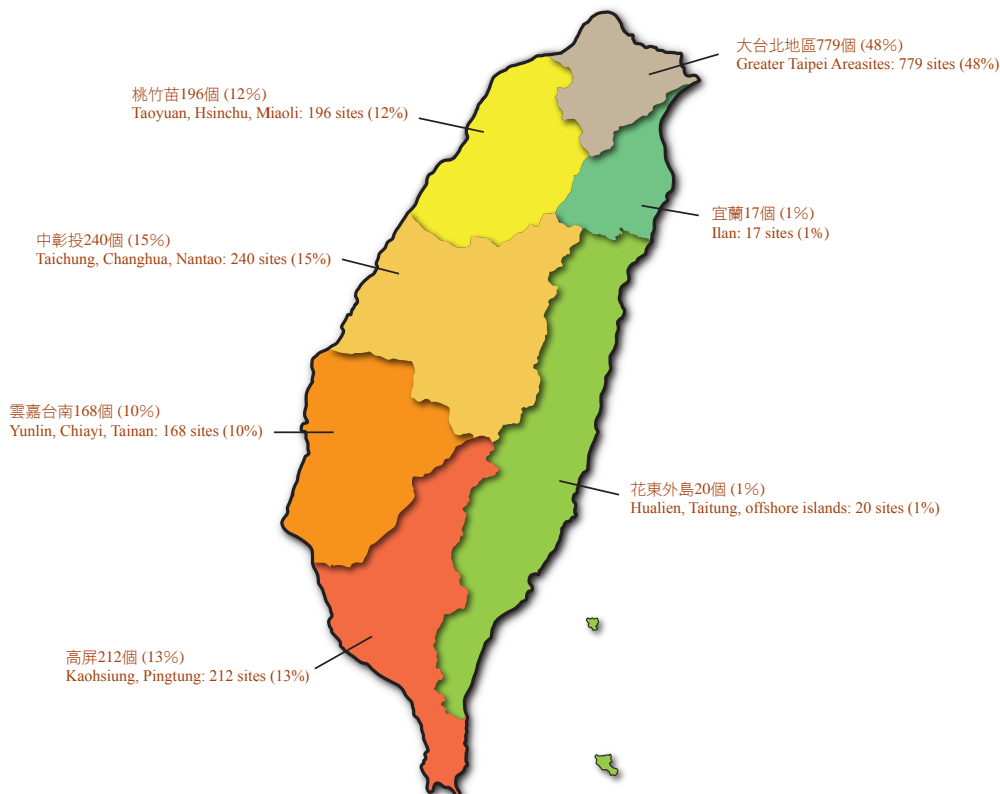
### 會員營業據點統計圖

Business Sites of CNFA Member Companies in 2014



### 103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 2014

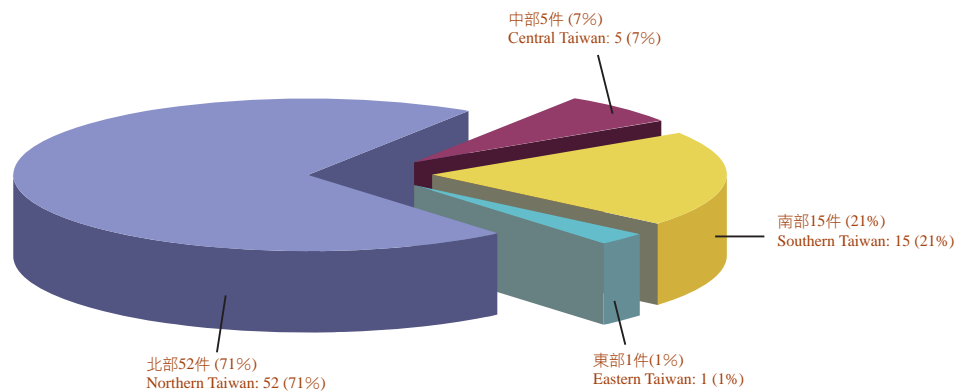


● 會員場地勘察 Business site inspection

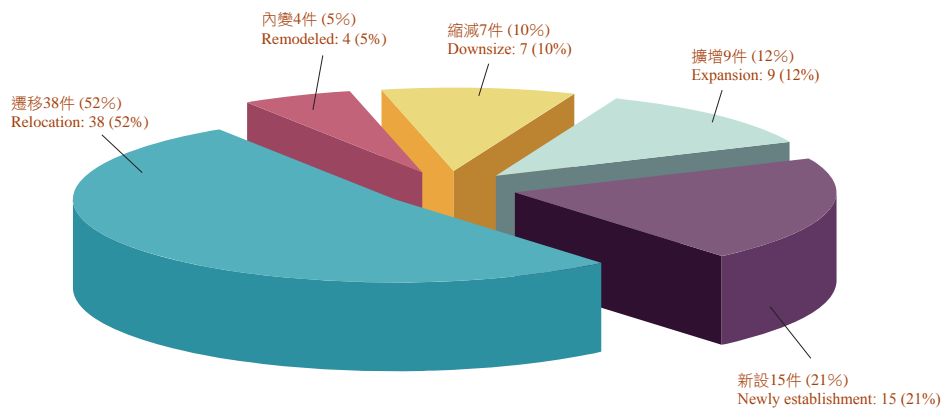
103年度共計73件場勘案(北部地區52件、中部地區5件、南部地區15件、東部地區1件)，就其場勘案件分析，新設營業處所15件(21%)、遷移營業處所38件(52%)、縮減營業處所7件(10%)、擴增營業處所9件(12%)、營業處所內部配置變動4件(5%)。

The Association conducted a total of 73 business site inspection projects in 2014 (52 in northern Taiwan, 5 in central Taiwan, 15 in southern Taiwan, 1 in eastern Taiwan). Among these inspected sites, 15 (21%) were newly established, 38 (52%) were relocated, 7 (10%) were downsized, 9 (12%) were expanded, and 4 (5%) were remodeled.

103年度場地勘察區域分布統計圖  
Geographical Areas of Inspected Business Sites in 2014



103年度場地勘察類別統計圖  
Statistics of Business Site Inspection Projects in 2014

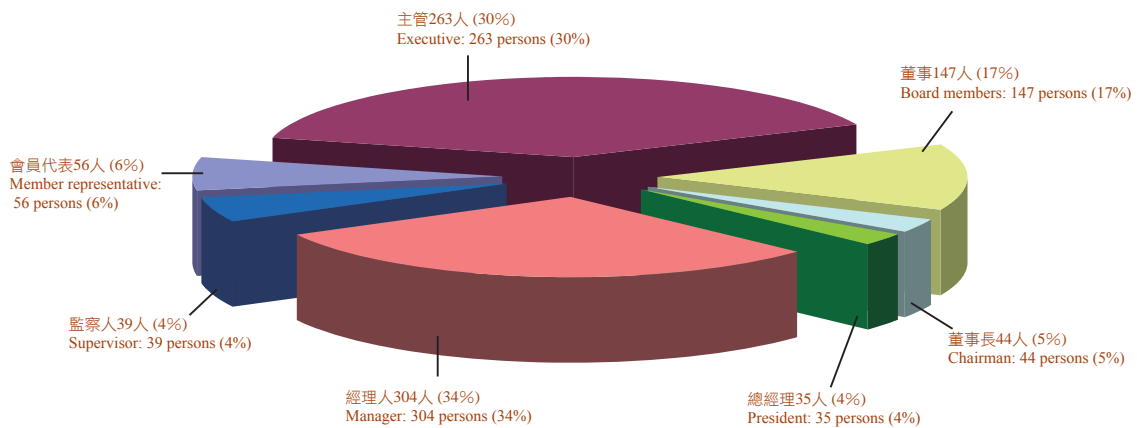




2. 會員委託證照之申請變更、換領及其他服務事項  
Certificate renewal, change, and other related services

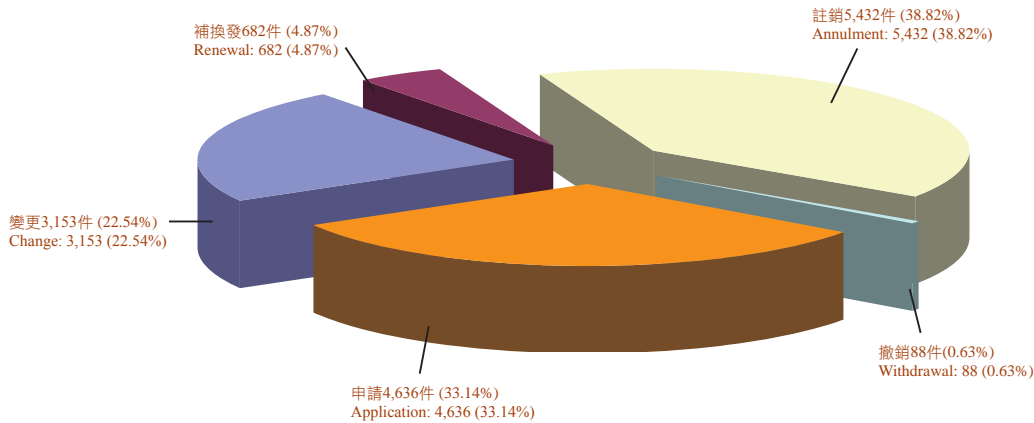
- 會員代表、會員負責人103年度於本公會異動登錄共計888人次，細分如下：  
In 2014, the Association handled a total of 888 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies.

103年度身分類異動統計圖  
Position Change Statistics for 2014

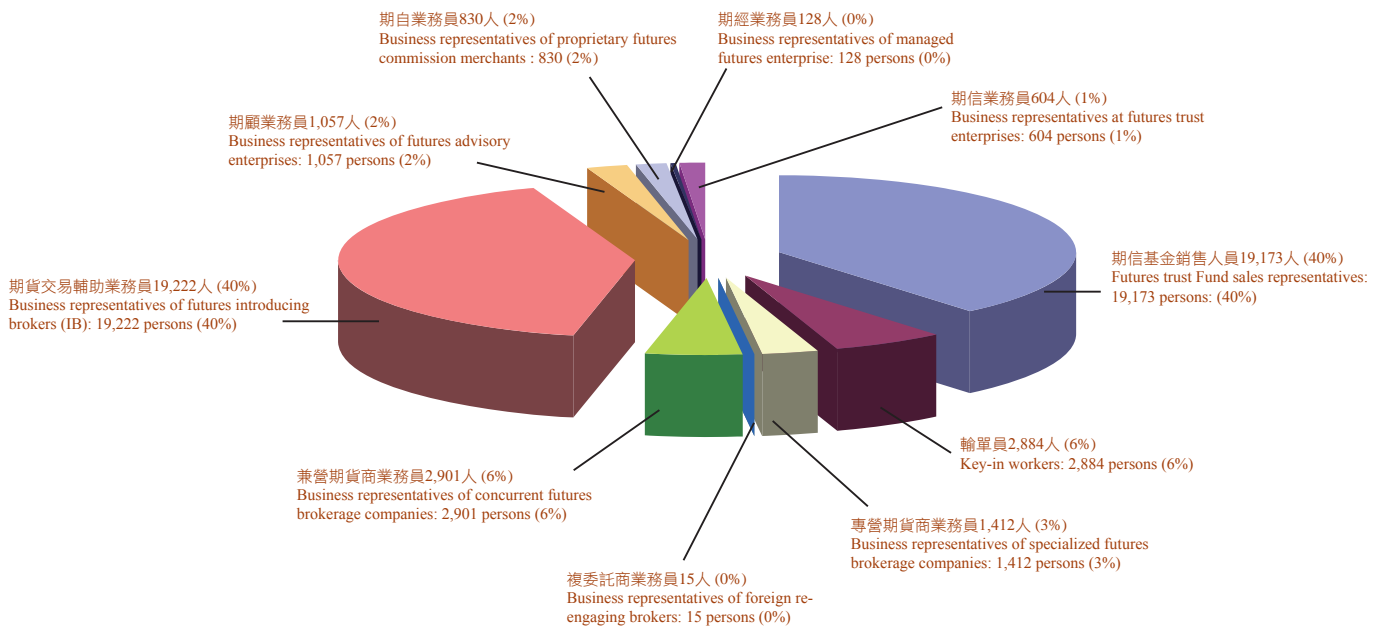


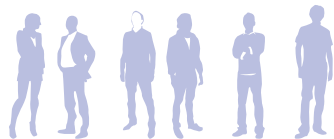
- 業務員、輸單員、銷售人員103年度於本公會異動登錄共計13,991件，每月平均1,166件  
In 2014, the Association handled a total of 13,991 business representative, key-in worker, and salesperson enrollment cases, with an average of 1,166 cases per month.

103年度業務異動類別統計圖  
Job Change Registrations in 2014



**103年度從業人員登記統計圖**  
**Business Category Change of Staff at CNFA Member Companies in 2014**





## 七、本公會出版品 G. Publications

### 1. 會訊 Newsletter

The newsletter pages contain various financial news, market analysis, and data tables. The first page features a table of market data and a section on '期貨公會會訊'. The second page includes a '行情分析' section with line graphs and a '新聞簡訊' section. The third page contains a '行情分析' section with a table of market data and a '新聞簡訊' section.

### 2. 期貨人季刊 Futures Journal

The covers of the Futures Journal magazine feature various themes and images. The covers include the title '期貨人' (Futures Journal) and 'Taiwan Futures 2014'. The covers also feature various headlines and images related to the financial market.

### 3. 研究叢書 Study reports

The covers of the Study Reports booklets are titled '中華民國期貨商業同業公會 委託研究計畫'. The covers include the title of the study and the date of publication. The covers are yellow, blue, and pink.

#### 4. 政令宣導 Policy Advocating

製作手提袋、保溫瓶、拭鏡布及掛鉤分送在職訓練學員，以推廣「合法期貨」標章。

Making handbags, thermos bottles, glass wipers, and hooks to promote the legal of "Legitimate Futures."



#### 5. 海報 Poster



#### 6. 摺頁及手冊 DM



# 伍

## 財務報告



### 會計師查核報告

(104)財審報字第 14002568 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 103 年 12 月 31 日及民國 102 年 12 月 31 日之資產負債表及財產目錄，暨民國 103 年 1 月 1 日至 12 月 31 日及民國 102 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」及中華民國一般公認會計原則編製，足以允當表達中華民國期貨業商業同業公會民國 103 年 12 月 31 日及民國 102 年 12 月 31 日之資產負債狀況，暨民國 103 年 1 月 1 日至 12 月 31 日及民國 102 年 1 月 1 日至 12 月 31 日之收支情形。

資 誠 聯 合 會 計 師 事 務 所

會計師

賴宗義



中 華 民 國 1 0 4 年 2 月 2 6 日

## *Independent Auditor's Report*

---

To: Chinese National Futures Association

Feb. 26, 2015

**W**e have audited the balance sheet and assets list of the Chinese National Futures Association (CNFA) as of the end of 2014 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, 2014 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



中華民國期貨業商業同業公會  
資產負債表

民國103年12月31日及民國102年12月31日

單位：新台幣元

	103年12月31日		102年12月31日		103年12月31日		102年12月31日	
	金額	%	金額	%	金額	%	金額	%
<b>資產</b>								
<b>流動資產</b>								
現金及銀行存款(附註三(一))	\$ 21,387,497	4	\$ 25,808,367	5	\$ 17,419,110	3	\$ 16,911,852	3
有價證券(附註三(二))	65,734,579	12	57,374,579	11	194,464	-	251,241	-
應收帳款(附註三(三))	2,665,534	1	5,202,061	1	82,876	-	177,045	-
預付款項	362,823	-	298,318	-	17,696,450	3	17,340,138	3
流動資產合計	90,150,433	17	88,683,325	17				
<b>基金</b>								
會務發展準備基金－專戶存款(附註三(四))	94,135,184	18	88,366,741	17				
退撫準備基金－專戶存款(附註三(五))	20,188,509	4	17,640,053	3	58,680,000	11	60,660,000	12
基金合計	114,323,693	22	106,006,794	20	76,376,450	14	78,000,138	15
<b>固定資產(附註三(六))</b>								
土地	133,989,345	25	133,989,345	26				
房屋及建築	107,770,320	20	107,770,320	21				
事務設備	17,435,335	3	16,899,835	3	98,785,184	19	92,686,741	18
雜項設備	3,194,690	1	3,194,690	1	22,433,984	4	19,919,517	4
辦公設備	1,591,990	-	1,591,990	-	268,949,180	51	263,446,180	51
未完工程	4,967,500	1	-	-	390,168,348	74	376,052,438	73
固定資產合計	298,943,180	50	263,446,180	51				
<b>其他資產</b>								
存出保證金	55,300	-	55,300	-	64,799,023	12	64,222,619	13
自律基金－專戶存款	58,680,000	11	60,680,000	12	814,785	-	576,404	-
其他資產合計	58,735,300	11	60,715,300	12	65,613,808	12	64,799,023	12
<b>資產總計</b>	\$ 532,158,606	100	\$ 518,851,599	100	\$ 532,158,606	100	\$ 518,851,599	100
<b>負債</b>								
<b>流動負債</b>								
應付款項(附註三(七))								
代收帳款								
暫收款								
流動負債合計								
<b>其他負債</b>								
存入保證金－自律基金								
負債總額								
<b>基金及餘絀</b>								
基金								
會務發展準備基金								
退撫準備基金								
資產基金								
基金合計								
餘絀								
累計餘絀(附註三(九))								
本期餘絀								
餘絀合計								
基金及餘絀合計								
<b>負債、基金及餘絀總計</b>								

後附會計報告附註為本報告之一部分，請併同參閱



理事長：



秘書長：



會計主管：



製表：

## Chinese National Futures Association Balance Sheet

Dec. 31, 2014 & Dec. 31, 2013

	Dec. 31, 2014		Dec. 31, 2013		Dec. 31, 2014		Dec. 31, 2013	
	Amount	%	Amount	%	Amount	%	Amount	%
<b>Assets</b>								
<b>Current assets</b>								
Cash & bank deposit (Note 3-1)	\$ 21,387,497	4	\$ 25,808,367	5	\$ 17,419,110	3	\$ 16,911,852	3
Securities (Note 3-2)	65,734,579	12	57,374,579	11	194,464	-	251,241	-
Accounts receivable (Note 3-3)	2,665,534	1	5,202,061	1	82,876	-	177,045	-
Pre-payments	362,823	-	298,318	-	17,696,450	3	17,340,138	3
Sub-total of current assets	<u>90,150,433</u>	<u>17</u>	<u>88,683,325</u>	<u>17</u>				
<b>Funds</b>								
Development fund at special bank account (Note 3-4)	94,135,184	18	88,366,741	17				
Pension fund at special bank account (Note 3-5)	20,188,509	4	17,640,053	3	58,680,000	11	60,660,000	12
Sub-total of funds	<u>114,323,693</u>	<u>22</u>	<u>106,006,794</u>	<u>20</u>	<u>76,376,450</u>	<u>14</u>	<u>78,000,138</u>	<u>15</u>
<b>Fixed assets (Note 3-6)</b>								
Land	133,989,345	25	133,989,345	26				
Buildings	107,770,320	20	107,770,320	21				
OA equipment	17,435,335	3	16,899,835	3	98,785,184	19	92,686,741	18
Transportation equipment	3,194,690	1	3,194,690	1	22,433,984	4	19,919,517	4
Other facilities	1,591,990	-	1,591,990	-	268,949,180	51	263,446,180	51
Unfinished construction	4,967,500	1	-	-	390,168,348	74	376,052,438	73
Sub-total of fixed assets	<u>298,943,180</u>	<u>50</u>	<u>263,446,180</u>	<u>51</u>				
<b>Other assets</b>								
Refundable deposits	55,300	-	55,300	-	64,799,023	12	64,222,619	13
Self-discipline fund at special bank account	58,680,000	11	60,660,000	12	814,785	-	576,404	-
Sub-total of other assets	<u>58,735,300</u>	<u>11</u>	<u>60,715,300</u>	<u>12</u>	<u>65,613,808</u>	<u>12</u>	<u>64,799,023</u>	<u>12</u>
<b>Total assets</b>	<u>\$ 532,158,606</u>	<u>100</u>	<u>\$ 518,851,599</u>	<u>100</u>	<u>\$ 532,158,606</u>	<u>100</u>	<u>\$ 518,851,599</u>	<u>100</u>
<b>Liabilities, funds, and surplus</b>								
<b>Current liabilities</b>								
Payables (Note 3-7)								
Receipts under custody								
Temporary receipts								
Sub-total of current liabilities								
<b>Other liabilities</b>								
Deposits received Fund								
Total of liabilities								
<b>Funds and surplus</b>								
Accumulated balance (Note 3-9)								
Balance for this period								
Sub-total of surplus								
Total of funds and surplus								
<b>Total liabilities, funds and surplus</b>								

Please refer to the following notes as part of the statement

中華民國期貨業商業同業公會  
收支決算表

民國103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	\$ 4,800	\$ 9,600	\$ -	
常年會費收入	1,794,800	1,951,200	( 156,400)	-	
業務費收入(附註三(九))	74,368,396	94,275,000	-	( 19,906,604)	註1
利息收入	2,480,662	1,650,000	830,662	-	註2
委託收入	17,858,010	18,119,000	260,990	-	
其他收入	30,520	-	30,520	-	
收入合計	96,546,788	116,000,000	453,392	( 19,906,604)	
經費支出					
人事費	33,907,966	36,776,000	-	( 2,868,034)	註3
辦公費	6,789,151	8,729,000	-	( 1,939,849)	註4
業務費	38,907,490	50,055,000	-	( 11,147,510)	註5
購置費	5,684,134	9,000,000	-	( 3,315,866)	註6
團體會費	1,320,000	1,070,000	-	( 250,000)	
什項支出	820,548	1,140,000	-	( 319,452)	
預備金	-	580,000	-	( 580,000)	註7
基金提存(附註三(十))	8,302,714	8,650,000	-	( 347,288)	
支出合計	95,732,003	116,000,000	-	( 20,267,997)	
本期餘絀(稅前)	814,785	-	814,785	-	
所得稅費用(附註三(八))	-	-	-	-	
本期餘絀(稅後)	\$ 814,785	\$ -	\$ 814,785	\$ -	

後附會計報告附註為本報告之一部分，請 同參閱

- 1.業務費收入減少，主係經理監事會決議，自本期9月起視結餘情況調整折扣數所致。
- 2.利息收入增加，主係因本期購買外幣定存之利較高所致。
- 3.人事費用減少，主係本期員工人數下降所致。
- 4.辦公費減少，主係樽節辦公費用支出所致。
- 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。
- 6.購置費減少，主係本期預計購置之官網及硬體更新等並未購置所致。
- 7.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, 2014

Unit: NT\$

Item	Actual Amount	Estimated Amount	Difference between actual and estimated amounts		Remarks
			Increase	Decrease	
<b>Revenue</b>					
Entry fees	\$ 14,400	\$ 4,800	\$ 9,600	\$ -	
Annual membership fees	1,794,800	1,951,200	( 156,400)	-	
Business promotion fees (Note 3-9)	74,368,396	94,275,000	-	( 19,906,604)	Note 1
Interest income	2,480,662	1,650,000	830,662	-	Note 2
Income from entrusted projects	17,858,010	18,119,000	260,990	-	
Miscellaneous income	30,520	-	30,520	-	
<b>Total revenue</b>	<b>96,546,788</b>	<b>116,000,000</b>	<b>453,392</b>	<b>( 19,906,604)</b>	
<b>Expenses</b>					
Personnel expense	33,907,966	36,778,000	-	( 2,868,034)	Note 3
Administration expense	6,789,151	8,729,000	-	( 1,939,849)	Note 4
Business expense	38,907,490	50,055,000	-	( 11,147,510)	Note 5
Procurement expense	5,684,134	9,000,000	-	( 3,315,866)	Note 6
Association activity fee	1,320,000	1,070,000	-	( 250,000)	
Miscellaneous items	820,548	1,140,000	-	( 319,452)	
Advance cash	-	580,000	-	( 580,000)	Note 7
Fund deposit (Note 3-10)	8,302,714	8,650,000	-	( 347,288)	
<b>Total expense</b>	<b>95,732,003</b>	<b>116,000,000</b>	<b>-</b>	<b>( 20,267,997)</b>	
Pre-tax balance	814,785	-	814,785	-	
Income tax (Note 3-8)	-	-	-	-	
<b>After-tax balance</b>	<b>\$ 814,785</b>	<b>\$ -</b>	<b>\$ 814,785</b>	<b>\$ -</b>	

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

1. Income of business fees decreased due to the new policy approved at the meeting of board members and supervisors, under which discount would be adjusted along with the balance, starting from September 2014.
2. The increasing interest income was primarily attributed to the higher foreign currency CD rate.
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 2014.
6. Procurement expenditure decreased because the website and hardware procurement projects have not been completed.
7. Provisions decreased because there were no special conditions for extra expenditure.

# 陸

## 大事紀要

### 大事紀要

日期 Date	項目 Event
1/7	期貨ETF研討會 ETF conference
1/17	第4屆信託業務委員會第4次會議 The 4 <sup>th</sup> meeting of Futures Trust Committee of 4 <sup>th</sup> Installment
1/24	第4屆紀律委員會第5次會議 The 5 <sup>th</sup> meeting of Discipline Committee of 4 <sup>th</sup> Installment
2/8	第4屆財務委員會第4次會議 The 4 <sup>th</sup> meeting of Financial Committee of 4 <sup>th</sup> Installment
2/10	大陸湖北省期貨業協會會長來訪 Visit of the chairman of Hubei Futures Association, China
2/12	第4屆經紀業務委員會第5次會議 The 5 <sup>th</sup> meeting of Futures Brokerage Committee of 4 <sup>th</sup> Installment
2/13	第4屆稽核暨法遵委員會第3次會議 The 3 <sup>rd</sup> meeting of Auditing and Law Compliance Committee of 4 <sup>th</sup> Installment
2/20	大陸北京安信期貨來訪 Visit of Essence Futures Company, Beijing
2/25	第4屆理監事第5次聯席會議 The 5 <sup>th</sup> joint meeting of executive directors and supervisors of 4 <sup>th</sup> Installment
3/7	期貨業校園徵才巡迴講座-中正大學 “Talents-Hunting on Campus” lecture series—National Chung Cheng University
3/10	期貨業校園徵才巡迴講座-宜蘭大學 “Talents-Hunting on Campus” lecture series—National Ilan University
3/11~3/14	FIA Boca會議 Meeting at FIA Boca
3/12	防制洗錢工作小組會議 Meeting of Money Laundry Control Group
3/12	期貨業校園徵才巡迴講座-中華大學二場 “Talents-Hunting on Campus” lecture series—Chung Hua University (2 rounds)
3/12	期貨業校園徵才巡迴講座-台北商業技術學院 “Talents-Hunting on Campus” lecture series—National Taipei University of Business
3/13	期貨業校園徵才巡迴講座-高雄第一科大 “Talents-Hunting on Campus” lecture series—National Kaohsiung First University of Technology and Science
3/13	期貨業校園徵才巡迴講座-淡江大學 “Talents-Hunting on Campus” lecture series—Tamkang University
3/13	期貨業校園徵才巡迴講座-僑光科大 “Talents-Hunting on Campus” lecture series—Overseas Chinese University
3/19	第4屆自營業務委員會第4次會議 The 4 <sup>th</sup> meeting of Proprietary Future Commission Merchant Committee of 4 <sup>th</sup> Installment
3/19	期貨業校園徵才巡迴講座-聯合大學 “Talents-Hunting on Campus” lecture series—National United University
3/20	第4屆紀律委員會第6次會議 The 6 <sup>th</sup> meeting of Discipline Committee of 4 <sup>th</sup> Installment

# Chronicle

日期 Date	項目 Event
3/21	第4屆經紀業務委員會第6次會議 The 6 <sup>th</sup> meeting of Futures Brokerage Committee of 4 <sup>th</sup> Installment
3/21	期貨業校園徵才巡迴講座-文化大學 “Talents-Hunting on Campus” lecture series—Chinese Culture University
3/24	第4屆兩岸事務委員會第4次會議 The 4 <sup>th</sup> meeting of Cross-straits Affairs Committee of 4 <sup>th</sup> Installment
3/25	期貨業校園徵才巡迴講座-義守大學 “Talents-Hunting on Campus” lecture series—I-Shou University
3/25	期貨業校園徵才巡迴講座-實踐大學 “Talents-Hunting on Campus” lecture series—Shih Chien University
3/26	第4屆教育訓練委員會第3次會議 The 3 <sup>rd</sup> meeting of Education & Training Committee of 4 <sup>th</sup> Installment
3/26	第4屆顧問業務委員會第4次會議 The 4 <sup>th</sup> meeting of Futures Advisory Committee of 4 <sup>th</sup> Installment
3/26	大陸浙江金融參訪團來訪 Visit of the financial delegation from Zhejiang Province, China
3/27	第4屆經紀業務委員會第7次會議 The 7 <sup>th</sup> meeting of Futures Brokerage Committee of 4 <sup>th</sup> Installment
3/27	期貨業校園徵才巡迴講座-雲科大 “Talents-Hunting on Campus” lecture series—National Yulin University of Technology and Science
3/28	第4屆經理業務委員會第4次會議 The 4 <sup>th</sup> meeting of Managed Futures Committee of 4 <sup>th</sup> Installment
3/28	期貨業校園徵才巡迴講座-台北科技大學 “Talents-Hunting on Campus” lecture series—National Taipei University of Technology and Science
3/31	第4屆信託業務委員會第5次會議 The 5 <sup>th</sup> meeting of Futures Trust Committee of 4 <sup>th</sup> Installment
4/3	第4屆常務理監事第1次聯席會議 The 1 <sup>st</sup> joint meeting of executive directors and supervisors of 4 <sup>th</sup> Installment
4/3	期貨業校園徵才巡迴講座-佛光大學 “Talents-Hunting on Campus” lecture series—Fo Guang University
4/3	期貨業校園徵才巡迴講座-暨南大學 “Talents-Hunting on Campus” lecture series—National Chi Nan University
4/7	第4屆財務委員會第5次會議 The 5 <sup>th</sup> meeting of Financial Committee of 4 <sup>th</sup> Installment
4/11	第4屆理監事第6次聯席會議 The 6 <sup>th</sup> joint meeting of executive directors and supervisors of 4 <sup>th</sup> Installment
4/11~4/12	「第八屆中國期貨分析師論壇(杭州)」 The 8 <sup>th</sup> China Hangzhou Analysts Forum
4/21	期貨業校園徵才巡迴講座-開南大學 “Talents-Hunting on Campus” lecture series—Kainan University
4/23	「期貨交易違法及違規類型之研究」期中報告 Mid-term report of “Study on Types of Law-violation and Default Futures Transactions”



日期 Date	項目 Event
4/23	期貨業校園徵才巡迴講座-大華科大 "Talents-Hunting on Campus" lecture series—Tahwa University of Technology and Science
4/24	期貨業校園徵才巡迴講座-玄奘大學 "Talents-Hunting on Campus" lecture series—Hsuan Chuang University
4/24	期貨業校園徵才巡迴講座-真理大學 "Talents-Hunting on Campus" lecture series—Aletheia University
4/30	第4屆第2次會員大會 The 2 <sup>nd</sup> General Assembly of CNFA Members of 4 <sup>th</sup> Installment
05/01	103年度證券期貨盃高爾夫球賽 Securities & Futures Gold Championship for 2014
5/2	期貨業校園徵才巡迴講座-南華大學 "Talents-Hunting on Campus" lecture series—Nanhua University
5/2~5/11	理監事德瑞參訪-第一梯 Germany and Switzerland trip of executive directors and supervisors (1 <sup>st</sup> group)
5/5~5/7	期貨業校園徵才巡迴講座-朝陽科大 "Talents-Hunting on Campus" lecture series—Chaoyang University of Technology
5/7	期貨業校園徵才巡迴講座-元智大學 "Talents-Hunting on Campus" lecture series—Yuan Ze University
5/7	期貨業校園徵才巡迴講座-長榮大學 "Talents-Hunting on Campus" lecture series—Chang Jung Christian University
5/8	期貨業校園徵才巡迴講座-台北商業技術學院 "Talents-Hunting on Campus" lecture series—National Taipei University of Business
5/8	期貨業校園徵才巡迴講座-靜宜大學 "Talents-Hunting on Campus" lecture series—Providence University
5/9~5/18	理監事德瑞參訪-第二梯 Germany and Switzerland trip of executive directors and supervisors (2 <sup>nd</sup> group)
5/14	期貨業校園徵才巡迴講座-遠東科大 "Talents-Hunting on Campus" lecture series—Providence University
5/20	期貨業校園徵才巡迴講座-景文科大 "Talents-Hunting on Campus" lecture series—Jinwen University of Science and Technology
5/24	2014金融就業博覽會 Financial Job Fair for 2014
5/26	期貨業校園徵才巡迴講座-中山大學 "Talents-Hunting on Campus" lecture series—National Sun Yat-sen University
5/26	期貨業校園徵才巡迴講座-致理商業技術學院 "Talents-Hunting on Campus" lecture series—Chihlee Institute of Technology
5/27~5/29	大陸第11屆上海衍生品市場論壇 The 11 <sup>th</sup> Shanghai Derivatives Market Forum
5/28	期貨業校園徵才巡迴講座-崑山科大 "Talents-Hunting on Campus" lecture series—Chihlee Institute of Technology
5/30	第4屆經紀業務委員會第8次會議 The 8 <sup>th</sup> meeting of Futures Brokerage Committee of 4 <sup>th</sup> Installment

日期 Date	項目 Event
6/3	第4屆自營業務委員會第5次會議 The 5 <sup>th</sup> meeting of Proprietary Future Commission Merchant Committee of 4 <sup>th</sup> Installment
6/4	「證、期監理規範比較研究案」座談會 Seminar on “Comparison of Securities and Futures Supervision”
6/10	第4屆財務委員會第6次會議 The 6 <sup>th</sup> meeting of Financial Committee of 4 <sup>th</sup> Installment
6/11	第4屆稽核監法遵委員會第4次會議 The 4 <sup>th</sup> meeting of Auditing & Law Compliance Committee of 4 <sup>th</sup> Installment
6/14~6/15	委員會宜蘭聯誼活動-第一梯 Ilan friendship activity of committee members (1 <sup>st</sup> group)
6/17	第4屆顧問業務委員會第5次會議 The 5 <sup>th</sup> meeting of Futures Advisory Committee of 4 <sup>th</sup> Installment
6/17	大陸華泰證券來訪 Visit of Huatai Securities, China
6/18	「證、期監理規範比較研究案」期中報告 Mid-term report of “Comparison of Securities and Futures Supervision”
6/20	第4屆理監事第7次聯席會議 The 7 <sup>th</sup> joint meeting of executive directors and supervisors of 4 <sup>th</sup> Installment
6/21~6/22	委員會宜蘭聯誼活動-第二梯 Ilan friendship activity of committee members (2 <sup>nd</sup> group)
6/25	第4屆經理業務委員會第5次會議 The 5 <sup>th</sup> meeting of Managed Futures Committee of 4 <sup>th</sup> Installment
6/26~6/27	大陸國泰君安期貨公司參訪 Visit of Guatai Junan Futures, China
6/27	第4屆教育訓練委員會第4次會議 The 4 <sup>th</sup> meeting of Education & Training Committee of 4 <sup>th</sup> Installment
6/27	第4屆信託業務委員會第6次會議 The 6 <sup>th</sup> meeting of Futures Trust Committee of 4 <sup>th</sup> Installment
7/9	第4屆經紀業務委員會第9次會議 The 9 <sup>th</sup> meeting of Futures Brokerage Committee of 4 <sup>th</sup> Installment
7/9	中國金融期貨交易所來訪 Visit of China Financial Futures Exchange
7/11	第4屆財務委員會第7次會議 The 7 <sup>th</sup> meeting of Financial Committee of 4 <sup>th</sup> Installment
7/12	「2014金融服務關懷社會」園遊會-彰化場 “Financial Service & Social Care 2014” courtyard party—in Changhwa County
7/16	洗錢防制說明會-高雄場 “Money Laundry Control” seminar—in Kaohsiung
7/17	第4屆國際事務委員會第3次會議 The 3 <sup>rd</sup> meeting of International Affair Committee of 4 <sup>th</sup> Installment
7/18	洗錢防制說明會-台中場 “Money Laundry Control” seminar—in Taichung



日期 Date	項目 Event
7/29	大陸浙江大學寧波理工學院師生來訪 Visit of Ninbo Institute of Technology, Zhejiang University, China
7/30	第4屆紀律委員會第7次會議 The 7 <sup>th</sup> meeting of Discipline Committee of 4 <sup>th</sup> Installment
7/30	第4屆經紀業務委員會第10次會議 The 10 <sup>th</sup> meeting of Futures Brokerage Committee of 4 <sup>th</sup> Installment
8/6	洗錢防制說明會-台北場 "Money Laundry Control" seminar—in Taipei
8/7	第4屆自營業務委員會第6次會議 The 6 <sup>th</sup> meeting of Proprietary Future Commission Merchant Committee of 4 <sup>th</sup> Installment
8/15	第4屆理監事第8次聯席會議 The 8 <sup>th</sup> joint meeting of executive directors and supervisors of 4 <sup>th</sup> Installment
8/16	「洞悉股票期貨關鍵脈動」投資人理財講座-工商時報 "Investment & Wealth Management Lecture" on "Insights of stock and futures trading strategies" — Commercial Times
8/22	「靈活理財 聚焦股票期貨」投資人理財講座-經濟日報 "Investment & Wealth Management Lecture" on "Flexible financial management, focused on securities and futures" — Economic Daily News
8/27	2014台北期貨國際論壇 Taipei International Futures Forum 2014
9/5	第4屆信託業務委員會第7次會議 The 7 <sup>th</sup> meeting of Futures Trust Committee of 4 <sup>th</sup> Installment
9/10	內政部102年度全國性社會暨職業團體績效評鑑頒獎典禮 MOI-held national social and vocational group assessment and awarding ceremony for 2013
9/11	第4屆稽核暨法遵委員會第5次會議 The 5 <sup>th</sup> meeting of Futures Trust Committee of 4 <sup>th</sup> Installment
9/16	「期貨交易違法及違規案例」說明會-台北場 Seminar on "Futures trading default and law-violation cases" —in Taipei
9/23	「期貨交易違法及違規案例」說明會-台中場 Seminar on "Futures trading default and law-violation cases" —in Taichung
9/23~10/7	期貨業務人才養成班甄選活動 Trainee selection for futures sales person training program
9/24	第4屆顧問業務委員會第6次會議 The 6 <sup>th</sup> meeting of Futures Advisory Committee of 4 <sup>th</sup> Installment
9/25	「期貨交易違法及違規案例」說明會-高雄場 Seminar on "Futures trading default and law-violation cases" —in Kaohsiung
9/25	第4屆經理業務委員會第6次會議 The 6 <sup>th</sup> meeting of Managed Futures Committee of 4 <sup>th</sup> Installment
9/30	第4屆經紀業務委員會第11次會議 The 11 <sup>th</sup> meeting of Futures Brokerage Committee of 4 <sup>th</sup> Installment
9/30	第4屆教育訓練委員會第5次會議 The 5 <sup>th</sup> meeting of Education & Training Committee of 4 <sup>th</sup> Installment
10/7	第4屆兩岸事務委員會第5次會議 The 5 <sup>th</sup> meeting of Cross-straits Affairs Committee of 4 <sup>th</sup> Installment
10/8	「期貨交易違法及違規案例」說明會-台北場 Seminar on "Futures trading default and law-violation cases" —in Taipei

日期 Date	項目 Event
10/8	第4屆財務委員會第8次會議 The 8 <sup>th</sup> meeting of Financial Committee of 4 <sup>th</sup> Installment
10/17	第4屆理監事第9次聯席會議 The 9 <sup>th</sup> joint meeting of executive directors and supervisors of 4 <sup>th</sup> Installment
10/21	「個人資料保護-從人資觀點說明經手個資之維護與管理」說明會 Presentation on “Protection of personal information—analysis of personal informational management procedures from aspect of investors”
11/1	「2014金融服務關懷社會」園遊會-新北場 “Financial Service & Social Care 2014” courtyard party—in New Taipei City
11/15	從業人員忠義山登山健行聯誼活動 Friendship activity for futures workers—hiking on Chungyi Mountain
11/18	第4屆顧問業務委員會第7次會議 The 7 <sup>th</sup> meeting of Futures Advisory Committee of 4 <sup>th</sup> Installment
11/18	第4屆教育訓練委員會第6次會議 The 6 <sup>th</sup> meeting of Education and Training Committee of 4 <sup>th</sup> Installment
11/20~11/24	理監事泰國聯誼活動 Friendship activity for executive directors and supervisors—Thailand trip
11/21	「掌握關鍵策略 2015 期貨理財趨勢」投資人理財講座-經濟日報 “Investment & Wealth Management Lecture” on “Key strategy for futures trading and financial management in 2015” — Economic Daily News
11/26	第4屆紀律委員會第8次會議 The 8 <sup>th</sup> meeting of Discipline Committee of 4 <sup>th</sup> Installment
11/26	第4屆自營業務委員會第7次會議 The 7 <sup>th</sup> meeting of Proprietary Future Commission Merchant Committee of 4 <sup>th</sup> Installment
11/26	第4屆稽核暨法遵委員會第6次會議 The 6 <sup>th</sup> meeting of Auditing & Law Compliance Committee of 4 <sup>th</sup> Installment
11/26	第4屆信託業務委員會第8次會議 The 8 <sup>th</sup> meeting of Futures Trust Committee of 4 <sup>th</sup> Installment
11/27	第4屆國際事務委員會第4次會議 The 4 <sup>th</sup> meeting of International Affairs Committee of 4 <sup>th</sup> Installment
11/28~12/2	理監事日本聯誼活動 Friendship activity for executive directors and supervisors—Japan trip
11/28	第4屆經理業務委員會第7次會議 The 7 <sup>th</sup> meeting of Managed Futures Committee of 4 <sup>th</sup> Installment
12/3	第4屆經紀業務委員會第12次會議 The 12 <sup>th</sup> meeting of Managed Futures Committee of 4 <sup>th</sup> Installment
12/4~12/6	理監事「2014第十屆中國(深圳)國際期貨大會」考察團 Participation of CNFA executive directors and supervisors at the “10 <sup>th</sup> China (Shenzhen) International Derivatives Forum”
12/10	第4屆財務委員會第9次會議 The 9 <sup>th</sup> meeting of Financial Committee of 4 <sup>th</sup> Installment
12/12	「看準期股 贏向2015」-ETF期貨理財贏家投資人理財講座-工商時報 “Investment & Wealth Management Lecture” on “Welcoming 2015 with precise strategies” — Commercial Times
12/12	第4屆兩岸事務委員會第6次會議 The 6 <sup>th</sup> meeting of Cross-straits Affairs Committee of 4 <sup>th</sup> Installment
12/19	第4屆理監事第10次聯席會議 The 10 <sup>th</sup> joint meeting of executive directors and supervisors of 4 <sup>th</sup> Installment

# 柒

## 會員名錄

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

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
F001	國泰期貨股份有限公司 Cathay Financial Holding Co., Ltd.	106 台北市敦化南路二段333號19樓部分 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27087967	<a href="http://www.onrich.com.tw">http://www.onrich.com.tw</a>
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	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
F004	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100 台北市重慶南路一段2號6樓部分、12樓及13樓 6F., No.2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei City 100, Taiwan	02-23619889	02-23713146	<a href="http://www.kgifutures.com.tw/">http://www.kgifutures.com.tw/</a>
F005	國票期貨股份有限公司 Waterland Futures Co., Ltd	105 臺北市松山區南京東路五段188號8樓、8樓之 1、8樓之9、8樓之10 No.188-8, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	<a href="http://www.wlf.com.tw">http://www.wlf.com.tw</a>
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	<a href="http://www.jihsunfutures.com.tw">http://www.jihsunfutures.com.tw</a>
F008	統一期貨股份有限公司 President Futures Corp.	105 台北市東興路8號B1-1 B1, 8, Tong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	<a href="http://www.pfcf.com.tw">http://www.pfcf.com.tw</a>
F014	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105 台北市民生東路4段54號3樓之7、8、9 3F, 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	<a href="http://ft.entrust.com.tw/">http://ft.entrust.com.tw/</a>
F018	元富期貨股份有限公司 MasterLink Securities Corp	106 台北市復興南路1段209號4樓 4F, 209, Sec.1, Fushing S Rd., Taipei 106, Taiwan	02-27213458	02-87732029	<a href="http://futures.masterlink.com.tw/">http://futures.masterlink.com.tw/</a>
F020	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-27002888	02-27551532	<a href="http://www.capitalfutures.com.tw/">http://www.capitalfutures.com.tw/</a>
F021	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd.	104 台北市南京東路三段225號11樓、11樓之1、 2、3及12樓、12樓之1、2、3 11F.-1, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	<a href="http://www.pmf.com.tw/">http://www.pmf.com.tw/</a>
F026	富邦期貨股份有限公司 Fubon Financial	100 台北市襄陽路9號3樓及3樓之1 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<a href="http://www.fubon.com/">http://www.fubon.com/</a>
F029	康和期貨股份有限公司 Concord Futures Corp	105 台北市復興北路143號5樓、6樓 5F, 143, Fusing N.Rd., Taipei 105, Taiwan	02-27171339	02-27171319	<a href="http://www.concordfutures.com.tw">http://www.concordfutures.com.tw</a>
F030	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	110 台北市中正區忠孝東路二段95號2樓 2F, 95 Sec.2, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-23278895	02-23278879	<a href="http://www.megafutures.com.tw/">http://www.megafutures.com.tw/</a>
F034	澳帝華期貨股份有限公司 Optiver Futures Co., Ltd.	100 台北市杭州南路1段19號12樓 12F, 19 Sec. 1, Hangjhou S. Rd., Taipei 100, Taiwan	02-23570777	02-23578392	<a href="http://www.optiver.com.au/">http://www.optiver.com.au/</a>
F039	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220 台北縣板橋市東門街30之2號9樓 9F, 30-2, Tung-men St., Panchiao, Taipei 220, Taiwan	02-29601066	02-29657707	<a href="http://www.dcnf.com.tw/">http://www.dcnf.com.tw/</a>
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	建置中
R208	新加坡商華大期貨經紀有限公司 台灣分公司 UOB Bullion & Futures Ltd., Taiwan Branch	105 台北市民生東路3段109號16樓 16F, 109, Sec.3, Min Sheng E. Rd., Taipei 105, Taiwan	02-25456163	02-27199435	<a href="http://www.uob.com.sg">http://www.uob.com.sg</a>
S109	台灣工銀證券股份有限公司 IBT Securities Co., Ltd.	114 台北市堤頂大道2段99號7樓 7F, 99, Sec.2, TidingBlvd, Taipei 114, Taiwan	02-26561111	02-26561212	<a href="http://www.ibts.com.tw/">http://www.ibts.com.tw/</a>
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	<a href="http://www.honsec.com.tw/">http://www.honsec.com.tw/</a>

# 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)
S144	美林證券股份有限公司 Merrill Lynch Securities (Taiwan) Limited	106 台北市敦化南路二段207號9樓部份、17樓部份 9F, 207 Sec. 2, Tun Hwa S. Rd., Taipei 106, Taiwan	02-23763766	02-23763740	<a href="http://www.ml.com">http://www.ml.com</a>
S147	台灣摩根士丹利證券股份有限公司 Morgan stanley taiwan limited.	106 台北市敦化南路二段207號22樓 22F., No.207, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-27302888	02-27302804	<a href="http://www.morganstanley.com">http://www.morganstanley.com</a>
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	<a href="http://www.credit-suisse.com">http://www.credit-suisse.com</a>
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	<a href="http://www.citigroup.com">http://www.citigroup.com</a>
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	<a href="http://www.ubs.com">http://www.ubs.com</a>
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	<a href="http://www.osc.com.tw">http://www.osc.com.tw</a>
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	<a href="http://www.tachan.com.tw/">http://www.tachan.com.tw/</a>
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	<a href="http://www.tcstock.com.tw/">http://www.tcstock.com.tw/</a>
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., No.22, Sec. 1, Chang'an E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-25379722	02-25635713	<a href="http://www.ftsi.com.tw">http://www.ftsi.com.tw</a>
S601	犇亞證券股份有限公司 Primasia Securities Co., Ltd.	105 台北市復興北路99號3樓 3F, 99, Fushin N. Rd., Taipei 105, Taiwan	02-27180101	02-27193771	<a href="http://www.primasia.com.tw">http://www.primasia.com.tw</a>
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., No.168, Jingmao 2nd Rd., Nangang Dist., Taipei City , Taiwan	02-66392000	02-55813881	<a href="http://www.ctbsec.com/">http://www.ctbsec.com/</a>
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	<a href="http://www.yucn.com.tw/">http://www.yucn.com.tw/</a>
S653	大眾綜合證券股份有限公司 Ta Chong Securities Co., Ltd.	807 高雄市壽昌路93號2樓 2F, 93, Shou Chang Rd., Kaohsiung 807, Taiwan	07-3871166	07-3854985	<a href="http://www.tcsc.com.tw">http://www.tcsc.com.tw</a>
S703	致和證券股份有限公司 Concord International Securities Co., Ltd.	704 台南市西門路三段10號地下1樓、1、2、3、 4、7樓 10 Shi-Men Rd., Sec.3, Tainan 704, Taiwan	06-2219777	06-2286324	<a href="http://www.wintan.com.tw/">http://www.wintan.com.tw/</a>
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110 台北市信義路5段106號3樓 3F, 106, Sec.5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27253183	<a href="http://www.jpmorgan.com">http://www.jpmorgan.com</a>
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	<a href="http://www.skis.com.tw/">http://www.skis.com.tw/</a>
S884	玉山綜合證券股份有限公司 E. Sun Securities Co.Ltd.	105 台北市松山區民生東路3段117號地下1樓 B1, 117 Sec 3, Ming Sheng E. Rd., Taipei 105, Taiwan	02-55561313	02-27186613	<a href="http://www.esunsec.com.tw">http://www.esunsec.com.tw</a>
B091	群益金鼎證券股份有限公司 The Capital Group	110 台北市松仁路101號4樓 4F, 101 Sung Jen Rd., Taipei 110, Taiwan	02-87898888	02-87892942	<a href="http://www.capital.com.tw">http://www.capital.com.tw</a>
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	<a href="http://www.kgi.com.tw/">http://www.kgi.com.tw/</a>

# 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)
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	<a href="http://www.entrust.com.tw">http://www.entrust.com.tw</a>
B096	富邦綜合證券股份有限公司 Fubon Financial	106台北市大安區仁愛路四段169號2樓及15樓 2F., No.169, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei City	02-87716888	02-87716795	<a href="http://www.fubon.com/">http://www.fubon.com/</a>
B098	元大寶來證券股份有限公司 Yuanta Futures Co., Ltd	104台北市南京東路3段225號13樓 13F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	<a href="http://www.yuanta.com.tw">http://www.yuanta.com.tw</a>
B09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路一段2號7樓、8樓(部分)及18樓(部分) 7F, 2 Sec 1, Chung Ching S.Rd, Taipei 100, Taiwan	02-23823866	02-23823529	<a href="http://www.sinopacsecurities.com">http://www.sinopacsecurities.com</a>
B102	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2樓 2F, 325, Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27319987	02-27754202	<a href="http://www.tcb-bank.com.tw/">http://www.tcb-bank.com.tw/</a>
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	02-23483975	02-23891864	<a href="http://www.landbank.com.tw">http://www.landbank.com.tw</a>
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	<a href="http://www.twfhsec.com.tw/">http://www.twfhsec.com.tw/</a>
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	<a href="http://www.tbb.com.tw">http://www.tbb.com.tw</a>
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	<a href="http://www.jihsun.com.tw/">http://www.jihsun.com.tw/</a>
B123	彰化商業銀行股份有限公司 Chang Hwa Bank Co., Ltd.	100台北市衡陽路68號2樓 2F, 68, Hengyang Rd., Taipei 100, Taiwan	02-23619654	02-23113726	<a href="http://www.chb.com.tw">http://www.chb.com.tw</a>
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	<a href="http://www.fullong.com.tw">http://www.fullong.com.tw</a>
B532	高橋證券股份有限公司 Goldengate Securities Co., Ltd.	320桃園縣中壢市中和路96號 96, Chung-ho Rd., Chungli, Taoyuan 320, Taiwan	03-4224243	03-4225738	<a href="http://www.easytrade.com.tw">http://www.easytrade.com.tw</a>
B546	寶盛證券股份有限公司 Pao Shin Securities Co., Ltd.	406台中市北興街43號1樓 1F, 43, Beising St., Taichung 406, Taiwan	04-22309377	04-22371684	建置中
B560	永興證券股份有限公司 Yung Shin Securities Co., Ltd.	100台北市南海路20號2樓 2F, 20, Nanhai Rd., Taipei 100, Taiwan	02-23218200	02-23516239	<a href="http://www.yss.com.tw">http://www.yss.com.tw</a>
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	<a href="http://www.fscl.com.tw/">http://www.fscl.com.tw/</a>
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	<a href="http://www.pscnet.com.tw">http://www.pscnet.com.tw</a>
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, Chihsien 2 Rd., Kaohsiung 800, Taiwan	07-2888516	07-9682619	建置中
B587	光隆證券股份有限公司 Kuang Long Securities Co., Ltd.	970花蓮市公園路26號4樓 4F, 26, Kungyuan Rd., Hualian 970, Taiwan	03-8352181	03-8353447	建置中
B592	元富證券股份有限公司 Master Link Securities Corp.	106台北市復興南路1段209號1樓 1F, 209, Sec.1, Fuhsing S.Rd., Taipei 106, Taiwan	02-23255818	02-23257923	<a href="http://www.masterlink.com.tw">http://www.masterlink.com.tw</a>
B596	日茂證券股份有限公司 Jee Mach Securities Co., Ltd.	542南投縣草屯鎮草溪路1020號2樓 2F, 1020, Tsao-His Rd., Tsao-tun Nantou 542, Taiwan	049-2353266	049-2357216	<a href="http://www.gmstock.com.tw">http://www.gmstock.com.tw</a>
B611	台中銀證券股份有限公司 Taichung Commercial Bank Securities Co. Ltd	400台中市中國區民族路45號1、2樓 1F, No.45, Minzu Rd., Central Dist., Taichung City 400, Taiwan	04-22236021	04-22208175	<a href="http://www.tccb.com.tw/">http://www.tccb.com.tw/</a>
B621	新百王證券股份有限公司 New Hundred King Securities Co., Ltd.	801高雄市中華三路11號B1 B1, 11, Chunghua 3 Rd., Kaohsiung 801, Taiwan	07-2118888	07-2512518	<a href="http://www.nhks.com.tw/">http://www.nhks.com.tw/</a>
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	<a href="http://www.kuanzho.com.tw/">http://www.kuanzho.com.tw/</a>
B646	大昌證券股份有限公司 Dah Chang Securities Co., Ltd.	220台北縣板橋市東門街30之2號2樓之1至85及9樓之1、2 9F., No.30-2, Dongmen St., Banqiao Dist., New Taipei City 220, Taiwan	02-29689685	02-29676069	<a href="http://www.dcn.com.tw">http://www.dcn.com.tw</a>

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
B648	福邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	104 台北市民生東路一段51號3樓 3F., No.51, Sec. 1, Minsheng E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-21812688	02-21812606	<a href="http://www.gfortune.com.tw/">http://www.gfortune.com.tw/</a>
B662	全泰證券股份有限公司 Chuan Tai Securities Co., Ltd.	330桃園市三民路3段317號3樓 3F, 317, Sec.3, San Ming Rd., Taoyuan 330, Taiwan	03-3353359	03-3345286	建置中
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	<a href="http://www.rsc.com.tw">http://www.rsc.com.tw</a>
B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251台北縣淡水鎮中正路63號5樓 5F, 63, Chung Chen Rd., Tanshui, Taipei 251, Taiwan	02-26251818	02-26251705	<a href="http://www.fushan-ewin.com.tw">http://www.fushan-ewin.com.tw</a>
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	<a href="http://www.emega.com.tw/">http://www.emega.com.tw/</a>
B702	信富證券股份有限公司 Shin Fan Securities Co., Ltd.	613 嘉義縣朴子市山通路37號3、4樓 3F., No.37, Shantong Rd., Puzi City, Chiayi County 613, Taiwan	05-3700988	05-3700909	建置中
B707	豐農證券股份有限公司 Feng Long Securities Co., Ltd.	420台中縣豐原市水源路669號 669, Shuiyuan Rd., Fungyuan, Taichung 420, Taiwan	04-25281000	04-25253100	建置中
B767	金港證券股份有限公司 Goldport Stock Corp.	802高雄市三多二路93號2樓 2F, 93, Sando 2 Rd., Kaohsiung 802, Taiwan	07-7129399	07-7133579	建置中
B775	北城證券股份有限公司 Pei Cheng Securities Co., Ltd.	234台北縣永和市永和路2段116號3樓 3F, 116, Sec.2, Yung-ho Rd., Yung-ho, Taipei 234, Taiwan	02-29283456	02-29208664	<a href="http://www.peicheng.com.tw">http://www.peicheng.com.tw</a>
B778	富星證券股份有限公司 Fu Hsing Securities Co., Ltd.	632雲林縣虎尾鎮和平路1號4樓 4F, 1, Ho Ping Rd., Hu Wei Chen, Yunlin 632, Taiwan	05-6334888	05-6334700	<a href="http://www.fuhsin.com.tw/">http://www.fuhsin.com.tw/</a>
B779	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	103台北市重慶北路3段199號B1 B1, 199, Sec.3, Chung Ching N. Rd., Taipei 103, Taiwan	02-25288988	02-27647834	<a href="http://www.wls.com.tw/">http://www.wls.com.tw/</a>
B790	豐德證券股份有限公司 Fung Der Securities Co., Ltd.	420台中縣豐原市中山路481號 481, Chung Shan Rd., Feng-Yuan, Taichung 420, Taiwan	04-25282800	04-25282306	建置中
B815	台新綜合證券股份有限公司 Taishin Securities Co., Ltd	104 台北市中山北路二段44號2樓 2F., No.44, Sec. 2, Zhongshan N. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-21815888	02-25232016	<a href="http://www.tssco.com.tw/">http://www.tssco.com.tw/</a>
B838	安泰證券股份有限公司 Antay Securities Co., Ltd.	830高雄縣鳳山市五福二路36號 36, Wu Fu 2 Rd., Fong Shan, Kaohsiung 830, Taiwan	07- 8122789	07-8315419	<a href="http://www.antay.com.tw/">http://www.antay.com.tw/</a>
B845	康和綜合證券股份有限公司 Concord Securities Corp.	110台北市基隆路1段176號B1 B1, 176, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-87871888	02-27697562	<a href="http://www.concords.com.tw/">http://www.concords.com.tw/</a>
B849	萬泰證券股份有限公司 Wan Tai Securities Co., Ltd.	600嘉義市新榮路193號2樓 2F, 193, Hsin-Jung Rd., Chiayi 600, Taiwan	05-2289911	05-2273459	建置中
B852	中農證券股份有限公司 Chung Nour Securities Co., Ltd.	435台中縣梧棲鎮四維中路157巷1號2樓 2F, 1, Lane 157, Sweijung Rd., Wuchi Jen, Taichung, 435, Taiwan	04-26572801	04-26564499	<a href="https://sptrade.chungnourn.com.tw/">https://sptrade.chungnourn.com.tw/</a>
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	<a href="http://www.ubot.com.tw">http://www.ubot.com.tw</a>
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	<a href="http://www.sunnysec.com.tw">http://www.sunnysec.com.tw</a>
B877	大鼎證券股份有限公司 Da-Din Securities Co., Ltd.	110 台北市信義路四段456、458號8樓 8F., No.458、456, Sec. 4, Xinyi Rd., Xinyi Dist., Taipei 110, Taiwan	02-87862666	02-87862663	<a href="http://www.ycsc.com.tw">http://www.ycsc.com.tw</a>
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樓之1 5F.-1, No.104, Minquan W. Rd., Datong Dist., Taipei 103, Taiwan	02-25538000	02-25548064	<a href="http://www.promoney.com.tw/">http://www.promoney.com.tw/</a>
B888	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106 台北市敦化南路二段333號19樓部分暨335號6 樓部分、19樓部分 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-23269888	02-27003670	<a href="http://www.cathaysec.com.tw">http://www.cathaysec.com.tw</a>

# 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)
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	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
P002	兆豐證券股份有限公司 Mega Securities Co., Ltd.	100台北市忠孝東路二段95號5樓、9樓(部分)及10樓(部分) 5F., No.95, Sec. 2, Zhongxiao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-33227073	02-33933052	<a href="http://www.megasec.com.tw/">http://www.megasec.com.tw/</a>
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	<a href="http://www.pfcf.com.tw">http://www.pfcf.com.tw</a>
P004	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd	104 台北市南京東路三段225號11樓、11樓之1、2、3及12樓、12樓之1、2、3 11F.-1, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	<a href="http://www.pmf.com.tw/">http://www.pmf.com.tw/</a>
P005	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	104台北市南京東路2段111號4樓 4F, 111, Sec2, Nanking E. Rd., Taipei 104, Taiwan	02-25042088	02-25078288	<a href="http://www.jihsunfutures.com.tw">http://www.jihsunfutures.com.tw</a>
P006	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	<a href="http://www.capitalfutures.com.tw/">http://www.capitalfutures.com.tw/</a>
P008	元富證券股份有限公司 Master Link Securities Corp.	106台北市敦化南路2段97號19樓 19F, 97, Sec.2, Tunhwa S.Rd., Taipei 106, Taiwan	02-23255818	02-27000208	<a href="http://www.masterlink.com.tw">http://www.masterlink.com.tw</a>
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	<a href="http://www.tachan.com.tw/">http://www.tachan.com.tw/</a>
P015	元富期貨股份有限公司 Master Link Futures Corp.	106台北市復興南路1段209號4樓 4F, 209, Sec.1, Fushing S Rd., Taipei 106, Taiwan	02-27213458	02-87732029	<a href="http://futures.masterlink.com.tw/">http://futures.masterlink.com.tw/</a>
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	<a href="http://etrade.kgi.com.tw/">http://etrade.kgi.com.tw/</a>
P022	富邦綜合證券股份有限公司 Fubon Financial.	106台北市大安區仁愛路四段169號2樓及15樓 2F., No.169, Sec. 4, Ren'ai Rd., Da'an Dist., Taipei City	02-27767819	02-27210783	<a href="http://www.fubon.com/">http://www.fubon.com/</a>
P024	統一綜合證券股份有限公司 President Securities Corp.	105台北市東興路8號3樓、11樓 11F,8 Tong Shin Rd., Taipei 105, Taiwan	02-27478266	02-27463737	<a href="http://www.pscnet.com.tw">http://www.pscnet.com.tw</a>
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	<a href="http://www.entrust.com.tw">http://www.entrust.com.tw</a>
P027	台灣工銀證券股份有限公司 IBT Securities Co., Ltd.	114台北市堤頂大道2段99號7樓 7F, 99, Sec.2, Tiding Blvd, Taipei 114, Taiwan	02-26561111	02-26561212	<a href="http://www.ibts.com.tw/">http://www.ibts.com.tw/</a>
P028	元大寶來證券股份有限公司 Yuanta Futures Co., Ltd	104台北市南京東路3段225號13樓、14樓 13F, 225, Sec.3, Nanking E. Rd., Taipei 104, Taiwan	02-27181234	02-27180412	<a href="http://www.yuanta.com.tw">http://www.yuanta.com.tw</a>
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	<a href="http://www.jihsun.com.tw/">http://www.jihsun.com.tw/</a>
P032	凱基期貨股份有限公司 KGI Futures Co., Ltd.	104台北市重慶南路一段2號13樓 6F., No.700, Mingshui Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-25169009	02-25082351	<a href="http://www.kgifutures.com.tw/">http://www.kgifutures.com.tw/</a>
P033	國泰綜合證券股份有限公司 Cathay Securities Co., Ltd.	106台北市敦化南路二段333號19樓部分暨335號6樓部分、19樓部分 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-23269888	02-27003350	<a href="http://www.cathaysec.com.tw">http://www.cathaysec.com.tw</a>
P034	香港商法國興業證券股份有限公司台北分公司 SG Securities (HK) Ltd., Taipei Branch	105台北市民生東路三段109號6樓部分 6 F,109 Sec.3, Minsheng E.RD. , Taipei 105, Taiwan	02-27151486	02-25467376	<a href="http://www.socgen.com">http://www.socgen.com</a>
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	<a href="http://www.tcsc.com.tw">http://www.tcsc.com.tw</a>
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	<a href="http://www.osc.com.tw">http://www.osc.com.tw</a>
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	<a href="http://www.optiver.com">http://www.optiver.com</a>

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
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3樓 3F., No.22, Sec. 1, Chang-an E. Rd., Taipei City 104, Taiwan	02-25636262	02-25635713	<a href="http://www.ftsi.com.tw">http://www.ftsi.com.tw</a>
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、6樓 5F., No.168, Jingmao 2nd Rd., Nangang Dist., Taipei City, Taiwan	02-27222002	02-87808867	<a href="http://hrbank.chinatrust.com.tw">http://hrbank.chinatrust.com.tw</a>
P045	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	105 台北市南京東路5段188號15樓 15F, 188, Sec.5, Nanking E. Rd., Taipei 105, Taiwan	02-25288988	02-27647834	<a href="http://web.wls.com.tw/">http://web.wls.com.tw/</a>
P046	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106 台北市信義路4段236號7樓 7F, 236, Sec.4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27008897	<a href="http://www.honsec.com.tw/">http://www.honsec.com.tw/</a>
P047	國票期貨股份有限公司 Waterland Futures Co., Ltd	105 臺北市松山區南京東路五段188號8樓、8樓之1、8樓之9、8樓之10 No.188-8, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-27287576	<a href="http://www.wlf.com.tw">http://www.wlf.com.tw</a>
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	<a href="http://www.concordfutures.com.tw/">http://www.concordfutures.com.tw/</a>
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., No.188, Jingmao 2nd Rd., Nangang Dist., Taipei City	02-66392000	02-66392500	<a href="http://www.chinatrustsec.com.tw/">http://www.chinatrustsec.com.tw/</a>
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三段117號地下1樓 B1, 117 Sec 3, Ming Sheng E. Rd., Taipei Taiwan	02-55561313	02-27188913	<a href="http://www.esunsec.com.tw">http://www.esunsec.com.tw</a>
P054	法銀巴黎證券股份有限公司 BNP PARIBAS INVESTMENT PARTNERS	110 台北市信義區信義路五段7號72樓(部分) 72F., No.7, Sec. 5, Xinyi Rd., Xinyi Dist., Taipei City	02-87297000	02-81012168	<a href="http://www.bnpparibas-ip.com">http://www.bnpparibas-ip.com</a>
P09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市中正后重慶南路一段2號17樓 17F,2 Sec.1, Chung Ching S.Rd. Taipei 100 Taiwan	02-23823866	02-23823529	<a href="http://www.sinopacsecurities.com">http://www.sinopacsecurities.com</a>
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	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
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	<a href="http://www.pfcf.com.tw">http://www.pfcf.com.tw</a>
A003	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd	104 台北市南京東路三段225號11樓、11樓之1、2、3及12樓、12樓之1、2、3 11F.-1, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-27176000	02-27008363	<a href="http://www.pmf.com.tw/">http://www.pmf.com.tw/</a>
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	<a href="http://www.jihsunfutures.com.tw">http://www.jihsunfutures.com.tw</a>
A005	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-87800099	02-87893782	<a href="http://www.capitalfutures.com.tw/">http://www.capitalfutures.com.tw/</a>
A006	國泰期貨股份有限公司 Cathay Financial Holding Co., Ltd.	106 台北市敦化南路二段333號19樓部分 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-23269899	02-27087967	<a href="http://www.onrich.com.tw">http://www.onrich.com.tw</a>
A008	康和期貨股份有限公司 Concord Futures Co., Ltd.	105 台北市復興北路143號5樓、6樓 5F, 143, Fusing N. Rd., Taipei 105, Taiwan	02-27171339	02-27171319	<a href="http://www.concordfutures.com.tw">http://www.concordfutures.com.tw</a>
A009	富邦期貨股份有限公司 Fubon Financial	100 台北市襄陽路9號3樓及3樓之1 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<a href="http://www.fubon.com/">http://www.fubon.com/</a>
A011	華南期貨股份有限公司 HuaNan Futures Co., Ltd.	105 台北市民生東路4段54號3樓之7、8、9 3F, 54, Sec 4, Ming Sheng E. Rd., Taipei 105, Taiwan	02-27180000	02-25463700	<a href="http://ft.entrust.com.tw/">http://ft.entrust.com.tw/</a>
A013	元富期貨股份有限公司 Master Link Futures Corp.	106 台北市復興南路1段209號4樓 4F, 209, Sec.1, Fushing S Rd., Taipei 106, Taiwan	02-27213458	02-87732029	<a href="http://futures.masterlink.com.tw/">http://futures.masterlink.com.tw/</a>
A019	國票期貨股份有限公司 Waterland Futures Co., Ltd	105 臺北市松山區南京東路五段188號8樓、8樓之1、8樓之9、8樓之10 No.188-8, Sec. 5, Nanjing E. Rd., Songshan Dist., Taipei 105, Taiwan	02-27683998	02-25287576	<a href="http://www.wlf.com.tw">http://www.wlf.com.tw</a>
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二段95號2樓 2F, 95 Sec.2, Chung Hsiao E. Rd., Taipei 110 Taiwan	02-23278895	02-23278879	<a href="http://www.megafutures.com.tw/">http://www.megafutures.com.tw/</a>

# 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樓部分、12樓及13樓 6F., No.2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei City 100, Taiwan	02-23619889	02-23713146	<a href="http://www.kgifutures.com.tw/">http://www.kgifutures.com.tw/</a>
A025	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路1段2號22樓 22F, 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23123866	02-23823529	<a href="http://www.sinopacsecurities.com">http://www.sinopacsecurities.com</a>
A026	運達證券投資顧問股份有限公司 Yun Ta Investment Consulting Co.,Ltd.	104 台北市中山區八德路二段260號10樓 10F., No.260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-55899966	02-27312166	<a href="http://win-dollar.com/">http://win-dollar.com/</a>
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	<a href="http://www.marbo.com.tw/">http://www.marbo.com.tw/</a>
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	<a href="http://www.chifar.com.tw/">http://www.chifar.com.tw/</a>
A029	大華國際證券投資顧問股份有限 公司 Da Hwa International Securities Investment Consulting Co., Ltd	100 台北市羅斯福路二段102號23樓 23F , 102 , Sec.2 , Roosevelt Rd. , Taipei 100 , Taiwan	02-83695566	02-77258855	<a href="http://www.toptrade.com.tw/">http://www.toptrade.com.tw/</a>
A030	亨達證券投資顧問股份有限公司 Hantec Securities Consultant Limited	110台北市信義路5段7號24樓 24F, 7, Sec5, Hsin Yi.Rd., Taipei, Taiwan	02-81010618	02-81010616	<a href="http://www.hantec.com.tw/">http://www.hantec.com.tw/</a>
A031	聯華證券投資顧問股份有限公司 United Asset Investment Consultant Services	104 臺北市中山區松江路369號6樓 6F., No.369, Songjiang Rd., Zhongshan Dist., Taipei City , Taiwan	02-27315444	02-27318155	<a href="http://www.uas5888.com.tw/index.php">http://www.uas5888.com.tw/index.php</a>
A032	顧德證券投資顧問股份有限公司 Good Securities Investment Consultant	105 台北市松山區南京東路四段126號14樓 14F., No.126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105 ,Taiwan	02-23913000	02-23413451	<a href="http://www.good-group.com.tw/">http://www.good-group.com.tw/</a>
A033	華信證券投資顧問股份有限公司 Hwashin Investment Consulting Co., Ltd	100台北市青島東路7號5樓之4 5F, 7, Cingdao E.Rd., Taipei 100, Taiwan	02-23923988	02-77253896	<a href="http://www.hwashin.com.tw/">http://www.hwashin.com.tw/</a>
A034	承通證券投資顧問股份有限公司 Cheng-Tung Securities Investment Consulting CO.,LTD	104 台北市八德路2段260號6樓 6F., No.260, Sec. 2, Bade Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-27813900	02-27722813	<a href="http://27813900.com/">http://27813900.com/</a>
A036	永誠國際證券投資顧問股份有限 公司 Yong Cheng Securities Investment Consultant	104台北市中山北路1段145號6樓 6F, 145, Sec.1, Jhongshan N. Rd., Taipei 104, Taiwan	02-25611115	02-25611084	<a href="http://www.88598.com.tw/">http://www.88598.com.tw/</a>
A040	康和期貨經理事業股份有限公司 Concord Managed Futures Co., Ltd.	110 台北市基隆路一段176號14樓 14F,176 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	<a href="http://www.concordfutures.com.tw/FM/">http://www.concordfutures.com.tw/FM/</a>
A041	大昌證券股份有限公司 Dah Chang Securities Co.,Ltd	220 台北縣板橋市東門街30之2號2樓之1至85及9 樓1、2 No.2-2, No.85-9, Dongmen St., Banqiao Dist., New Taipei 220, Taiwan	02-29689685	02-29658473	<a href="http://www.dcn.com.tw">http://www.dcn.com.tw</a>
A042	玉山證券投資顧問股份有限公司 E.SUN Investment Consulting,Co.,Ltd.	105 台北市松山區民生東路三段117號7樓 7F., No.117, Sec. 3, Minsheng E. Rd., Songshan Dist., Taipei 105, Taiwan	02-21751313	02-25453313	<a href="http://www.esunsec.com.tw">http://www.esunsec.com.tw</a>
A043	亞洲證券投資顧問股份有限公司 Asia securities investment advisory-inc.	105 台北市松山區南京東路四段126號11樓A2 Rm. A2, 11F., No.126, Sec. 4, Nanjing E. Rd., Songshan Dist., Taipei 105 , Taiwan	02-25783777	02-25779495	<a href="http://www.asia-rich.com.tw/">http://www.asia-rich.com.tw/</a>
A044	倫元證券投資顧問股份有限公司 E-invest Security Investment Consultant Co., LTD	100 臺北市中正區青島東路7號6樓 6F., No.7, Qingdao E. Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23219933	02-23927062	<a href="http://www.e-invest.com.tw/main/">http://www.e-invest.com.tw/main/</a>
A045	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	220 新北市板橋區東門街30之2號9樓之2 9F.-2, No.30-2, Dongmen St., Banqiao Dist., New Taipei City 220, Taiwan	02-29601066	02-29657707	<a href="http://www.dcn.com.tw">http://www.dcn.com.tw</a>
A046	聚揚證券投資顧問股份有限公司 Ever Young Led.	104 臺北市中山區松江路315號2樓 2F., No.315, Songjiang Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-25066808	02-25065018	<a href="http://everyoung88.com.tw/">http://everyoung88.com.tw/</a>
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., No.22, Sec. 1, Chang'an E. Rd., Zhongshan Dist., Taipei City	02-25636262	02-25635713	<a href="http://www.ftsi.com.tw/">http://www.ftsi.com.tw/</a>

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
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樓之2 7F.-2, No.150, Fuxing N. Rd., Zhongshan Dist., Taipei City 104, Taiwan	02-27171000	02-27150077	<a href="http://www.ks5567.com.tw/public/video_list.php">http://www.ks5567.com.tw/public/video_list.php</a>
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	<a href="http://www.concordfutures.com.tw/FM/">http://www.concordfutures.com.tw/FM/</a>
M016	元大寶來期貨股份有限公司 Yuanta Futures Co., Ltd	104 台北市南京東路三段225號11樓、11樓之1、 2、3及12樓、12樓之1、2、3 11F.-1, No.225, Sec. 3, Nanjing E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-27176000	02-27008363	<a href="http://www.pmf.com.tw/">http://www.pmf.com.tw/</a>
M018	凱基期貨股份有限公司 KGI Futures CO., LTD	100 台北市重慶南路一段2號6樓部分、12樓及13樓 6F., No.2, Sec. 1, Chongqing S. Rd., Zhongzheng Dist., Taipei City 100, Taiwan	02-23619889	02-23713146	<a href="http://www.kgifutures.com.tw/">http://www.kgifutures.com.tw/</a>
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	<a href="http://www.spf.com.tw">http://www.spf.com.tw</a>
M022	富邦期貨股份有限公司 Fubon Financial	100 台北市襄陽路9號3樓 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<a href="http://www.fubon.com/">http://www.fubon.com/</a>
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	<a href="http://www.jihsunfutures.com.tw/">http://www.jihsunfutures.com.tw/</a>
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	<a href="http://ft.entrust.com.tw/">http://ft.entrust.com.tw/</a>
M025	群益期貨股份有限公司 Capital Futures Corp.	106 台北市大安區敦化南路2段97號32樓及地下1樓 32F., No.97, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-87800099	02-87893782	<a href="http://www.capitalfutures.com.tw/">http://www.capitalfutures.com.tw/</a>
M026	國泰期貨股份有限公司 Cathay Financial Holding Co., Ltd.	106 台北市大安區敦化南路二段333號19樓 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27332198	<a href="http://www.onrich.com.tw">http://www.onrich.com.tw</a>
T002	復華證券投資信託股份有限公司 Fuh Hwa Securities Investment Trust CO.,LTD.	104 台北市八德路2段308號8樓 8F, 308, Sec.2, Bade Rd., Taipei, Taiwan	02-81616800	02-87720066	<a href="http://www.fhtrust.com.tw/">www.fhtrust.com.tw/</a>
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四段296號18樓、8樓 8th, 18th Fl., No.296, Jen-ai Rd., Sec.4, Taipei 106, Taiwan	02-27008399	02-23269633	<a href="http://www.cathaysite.com.tw/">http://www.cathaysite.com.tw/</a>
T004	元大寶來證券投資信託股份有限公司 Yuanta Securities Investment Trust Co., Ltd.	105 台北市松山區敦化南路一段 66號5樓、6樓及 68號2樓之1 5F., No.66, Sec. 1, Dunhua S. Rd., Songshan Dist., Taipei 105, Taiwan	02-27175555	02-25472380	<a href="http://www.yuantafoods.com/">http://www.yuantafoods.com/</a>
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	<a href="http://www.skit.com.tw/">http://www.skit.com.tw/</a>
T009	摩根證券投資信託股份有限公司 JPMorgan Asset Management (Taiwan) Limited	110 台北市信義區松智路1號20樓 20F., No.1, Songzhi Rd., Xinyi Dist., Taipei 110, Taiwan	02-27558686	02-27050933	<a href="https://www.jpmmrich.com.tw/wps/portal/">https://www.jpmmrich.com.tw/wps/portal/</a>
T010	統一證券投資信託股份有限公司 Uni-President Assets Management Corp.	105 台北市東興路8號8樓 8,8 Dongsing Rd., Taipei 105, Taiwan	02-27478388	02-27478129	<a href="http://www.ezmoney.com.tw/">http://www.ezmoney.com.tw/</a>
T011	永豐證券投資信託股份有限公司 Copyright by SinoPac Securities Investment Trust CO., Ltd	100 台北市博愛路17號13樓 13F., No.17, Bo'ai Rd., Zhongzheng Dist., Taipei 100, Taiwan	02-23618110	02-23617069	<a href="http://sitc.sinopac.com">http://sitc.sinopac.com</a>
T014	康和期貨經理事業股份有限公司 Concord Managed Futures Co., Ltd.	110 台北市基隆路一段176號14樓 14F, 176 Sec.1, Keelung Rd., Taipei 110, Taiwan	02-37653688	02-37651038	<a href="http://fm.concordfutures.com.tw">http://fm.concordfutures.com.tw</a>
T015	富邦證券投資信託股份有限公司 Fubon Financial Co.Ltd	105 台北市松山區敦化南路一段108號8樓 8F., No.108, Sec. 1, Dunhua S. Rd., Songshan Dist., Taipei City	02-87716688	02-87716788	<a href="https://www.fubon.com">https://www.fubon.com</a>

註：以上資料截止日為103.12.31



# 103年報

## Annual Report 2014

---

發行人 / 賀鳴珩

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](http://www.futures.org.tw)

電子信箱 / [cnfa@futures.org.tw](mailto: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

設計印刷 / 震大打字印刷有限公司