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# 壹

## 序言



民國101年對我們期貨業來說，是苦樂參半、困難與成就兼具的一年。

從年初開始，財政部突然拋出了復徵證所稅的議題，引發了廣泛的討論。證券市場價、量應聲下跌，以有價證券相關期貨、選擇權為主力的台灣期貨市場自然難以全身而退，平均日均量比前一年度明顯衰退。我們公會為此密集召開了專案會議，形成了對外一致的立場。主管機關金管會、證期局和台灣期貨交易所基於對期貨市場性質的了解，在此一議題上與公會有著高度的共識，彼此之間充分合作、分進合擊。最終使得期貨交易所得並未納入課稅的標的，並順勢重新提出期貨交易稅應再度調降，希望能為期貨交易人進一步降低交易成本。

台灣期貨交易所范董事長掌握時機，推出了短天期的選擇權契約，甫一推出即大受歡迎。雖然因為上市的時間所限，對全年交易量的衰退無法力挽狂瀾，但對今年來說卻是期貨市場再創高峰的重要契機，期貨同業對此都有很高的期待。

延續民國100年的工作，我們公會推動了一整年的風控專案終於經主管機關核定，並將於今年7月1日前上路施行了。這個專案是同業們在主管機關還沒有介入、授意的狀況下自發性的啟動；所有議題都是由會員公司所主動提出；經過了無數次的研究、討論甚至爭辯，最終以一致性的共識決通過的。除了徹底解決了台灣期貨市場十八年發展過程中所遺留下來的老問題，得到主管機關的高度讚揚之外，從發想、成案、討論、議決的整個過程中全體同業所表現出的積極參與，更標誌著台灣期貨行業的成熟——我們已經是一個懂得自律、願意承擔社會責任的行業了。

動筆之前欣聞兩岸金證會中主管機關為我們爭取到了參股大陸期貨商的重大突破！在此想對主管機關表示最高的謝意與敬意。證期局黃局長和期貨組簡組長雖然與期貨界的淵源不深，但都是很快就能進入狀況，同時又關心業界、願意傾聽業界聲音的官員。我們期貨業界自己打好了基礎，站穩了腳步，與主管機關之間建立了瞭解和互信，又爭取到了大陸這麼大一片新的發展空間，看來102年應該會是我們大展拳腳的一年！

4月1日起期貨交易稅率減半，又是另一個我們業界的最大利多。未來期貨自營商和重要法人客戶的交易成本可望降到臺指期貨的一個跳動點以內，對期貨市場必將發揮根本性的影響。在推動降稅的過程中有幸與金管會、證期局、期交所的長官們並肩作戰，深感金融業與監理機關間的密切配合有其必要。我們要打造出一個具國際競爭力的期貨市場，沒有主管機關的支持絕對會事倍功半。

今年期貨公會將要全面改選理、監事，期待會員代表大會中能和諧圓滿地選出一個有著充分代表性的理、監事會，讓所有關心期貨市場的同業都有發聲和與同業溝通的管道。我深信以期貨業界的成熟程度，我們需要的是一個理性溝通的平台而不是一盞指引道路的明燈。民主社會需要的不是英明的領袖而是理性並關心公共事務的公民，公會亦復如是。

中華民國期貨業商業同業公會

理事長 糜以雍

The 2012 has been a bittersweet year as far as our futures business is concerned, with both difficulties and accomplishments.

At the beginning of the year, the Ministry of Finance suddenly threw us the capital tax issue, triggering wide-ranging debate. Prices and volume of the securities market responded with a drop, and it was naturally difficult for Taiwan's futures market, where the major futures and options are closely linked with the securities market, to escape unscathed. Average daily trading saw a clear decline, compared with the previous year.

The Association met this issue by convening a series of meetings to forge a united stance. The competent authorities, the Financial Supervision Commission (SFC), Securities and Futures Bureau (SFB), and the Taiwan Futures Exchange (TFE), reached a high degree of consensus with the Association on this issue, based on their understanding of the nature of the futures market. With full mutual co-operation, we followed various approaches to strike the targets together, finally allowing the income generated from futures trading to avoid becoming subject to taxation, and then using this favorable position to our advantage, suggesting once again that futures transaction tax should be lowered further, hoping thereby to further reduce transaction costs for futures traders.

TFE Chairman Fan seized the opportunity to launch short-term options contracts, and these met with instant popularity. While given the short period of time since its launch, this move was unable to turn the tide on transaction volume over the year. Yet, it nevertheless provided an important opportunity for the futures market to reach new heights, and the futures industry has very high expectations of this.

Continuing our work of 2011, the risk control project that the Association had promoted throughout the year finally received approval of the competent authorities and will come into effect on July 1 of 2013. This project was inspired and put into action by CNFA Members before the competent authorities intervened. After thorough research and countless discussions, or even arguments, it was finally passed with a unanimous agreement. While completely solving all the problematic legacy issues the Taiwan futures market has inherited over the past 18 years of development, it receives high praise from the competent authorities. The entire process, from the concept's inception to forming a case through to discussion and resolution, can be taken as a mark of the maturity of the futures industry in Taiwan. We are now an industry endowed with self-discipline, willing to shoulder our social responsibilities.

Before putting pen to paper, we were glad to hear that the competent mainland Chinese authorities for cross-straits issues has won us the major breakthrough of allowing us to take part in the mainland futures market! We'd like here to express our deepest gratitude and respect to the competent authorities for this. Director-general Huang of the Securities and Futures Bureau and Mr. Chien, head of Futures Sector under the bureau, while not having a background with deep roots in the futures trade, have nevertheless been able to adapt to situations quickly, and at the same time show concern for the industry and a willingness to listen to the industry's voices. Our futures industry has been able to lay a firm foundation and adopt a steady stance, establishing mutual trust and understanding with the competent authorities, and furthermore securing such a vast space for development in mainland China—it seems that 2013 will be a year when we can fully flex our muscles.

The 50% cut in futures transaction tax starting from April 1 is another bullish news for the futures industry, expected to make fundamental effects on the futures market. The cost for the transactions made between major institutional traders and the proprietary futures commission merchants, for example, could dramatically drop to no more than a kick value of the Taiwan index futures. We were glad to work with top executives of the SFC, SFB, and TFE during the course of pushing the tax cut policy to take effect. It's also a good example demonstrating the importance of cooperation between futures players and government officials, especially regarding how to strengthen the international competitiveness of Taiwan futures market. We would make efforts in vain if without supports of the government.

This year the Association will hold comprehensive re-election of board directors and supervisors, and we expect a peaceful and smooth election to elect the directors and supervisors who will be fully representative of the members, and able to show concern for providing those involved in the futures market with a voice and a channel for communication. I am convinced that with the degree of maturity of the futures industry, what we need is a rational communications platform, rather than a road sign showing us the way. What the democratic society needs is not wise leaders, but rational citizens concerned about public affairs, and the same can be said for the associations.

*Falco Mi*  
Chairman, CNFA

# 貳

## 公會簡介

### 一、公會沿革

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

### 二、設立宗旨

- 本公會以保障投資大眾、發展國民經濟、協調同業關係、增進共同利益為宗旨。

### 三、本公會任務

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

# CNFA Introduction

## A. CNFA History

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

## B. Goals

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

## C. Objectives

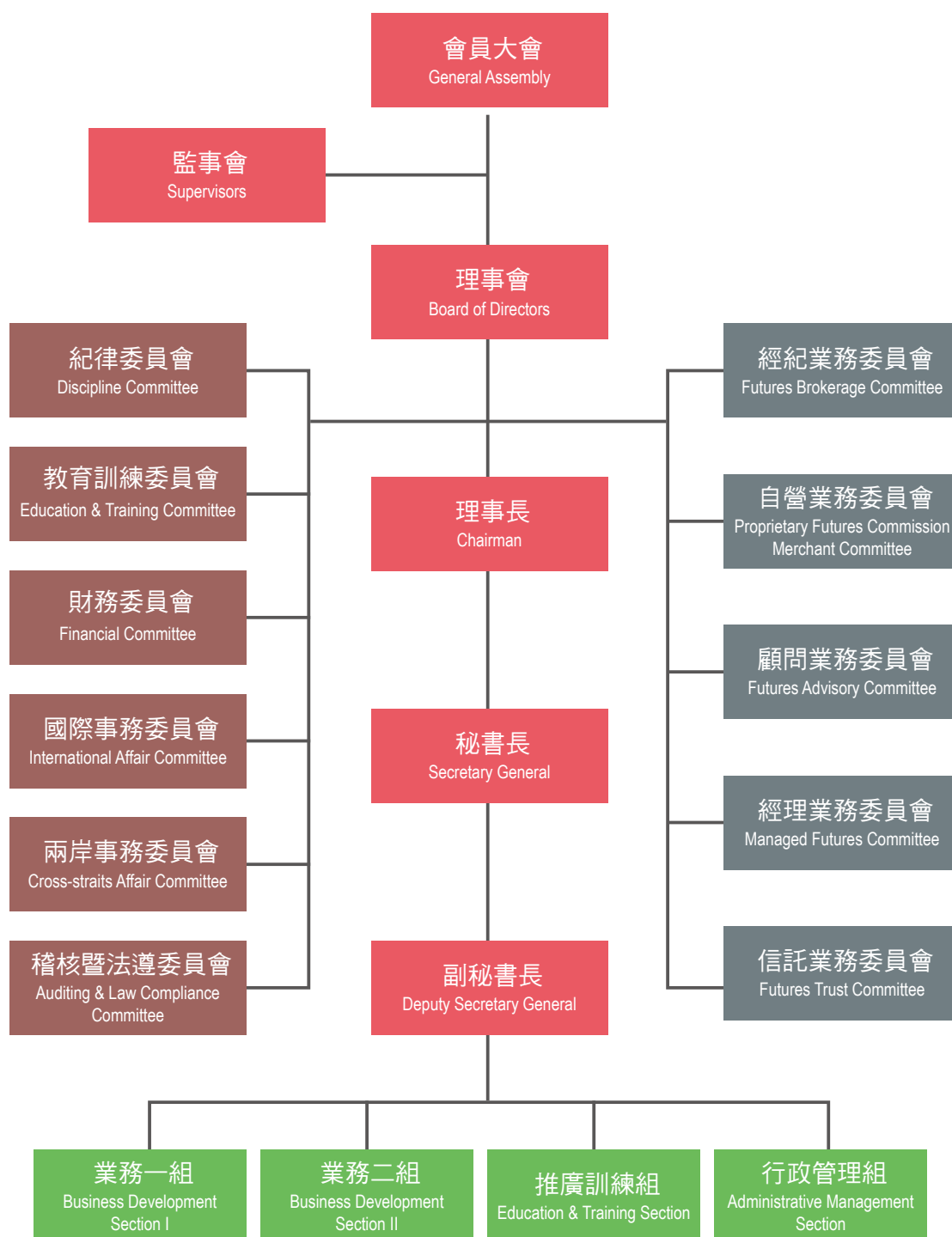
- To promote the full functioning of the futures market, working in step with the national economic development
- To make survey, compile statistics, and conduct R&D projects about the operations of member companies
- To make research and suggestions about government's policies and propose revisions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





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334位。

■成員：由會員代表組成。至101年12月31日止，本公會會員公司計有183家：

1. 專營期貨商16家
2. 兼營期貨商20家
3. 期貨交易輔助人54家
4. 國外複委託商3家
5. 期貨自營業務35家
6. 期貨經理業務8家
7. 期貨顧問業務37家
8. 期貨信託業務10家

■執掌：為本公會最高決策機關。

■職權：

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

### (二)、理事會

■成員：33位理事，由會員代表互選之。另設置常務理事11人，由理事互選之。

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

## B. Structure and Responsibilities

1. General Assembly: member companies, based on their business categories, assign up to seven representatives each to take part in the General Assembly. In 2012, a total of 334 member representatives were registered with the Association.

■ Member companies: the Association was composed of 183 member companies at the end of 2012:

1. Specialized futures brokerage companies: 16
2. Concurrent futures brokerage companies: 20
3. Futures introducing brokers (IB): 54
4. Foreign re-engaging brokers: 3
5. Proprietary futures commission merchants: 35
6. Managed futures enterprises: 8
7. Futures advisory enterprises: 37
8. Futures trust enterprises: 10

■ 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；並由常務監事互選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 three executive supervisors among whom one was selected as convener.

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

■ **Responsibilities:**

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



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

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

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

茲就各委員會之職掌分述如下：

- 經紀業務委員會
  - (1) 有關期貨經紀業務之發展、聯繫、協調及改進事項。
  - (2) 有關期貨交易人服務事項。
  - (3) 有關編擬年度工作計劃事項。
  - (4) 其他有關期貨經紀業務之處理事項。
- 自營業務委員會
  - (1) 有關期貨自營業務之發展、聯繫、協調、改進事項。
  - (2) 有關編擬年度工作計劃事項。
  - (3) 其他有關期貨自營業務之處理事項。
- 顧問業務委員會
  - (1) 有關期貨顧問業務之發展、聯繫、協調、改進事項。
  - (2) 有關委任人服務事項。
  - (3) 有關編擬年度工作計劃事項。
  - (4) 其他有關期貨顧問業務之處理事項。
- 經理業務委員會
  - (1) 有關期貨經理業務之發展、聯繫、協調、改進事項。
  - (2) 有關委任人服務事項。
  - (3) 有關編擬年度工作計劃事項。
  - (4) 其他有關期貨經理業務之處理事項。
- 信託業務委員會
  - (1) 有關期貨信託業務之發展、聯繫、協調、改進事項。
  - (2) 有關受益人服務事項。

4. Committees: the Association set up 11 committees, namely Futures Brokerage Committee, Proprietary Future Commission Merchant Committee, Futures Advisory Committee, Managed Futures Committee, Futures Trust Committee, Discipline Committee, Education & Training Committee, Financial Committee, International Affair Committee, Cross-straits Affair Committee, and Auditing & Law Compliance Committee.

- Committee members: each committee is led by a convener, appointed by CNFA Chairman and the convener then invites industrial experts, officials, scholars as committee members.
- Authority: each committee works to fulfill its working plans and duties to boost the development of the futures market.

### Committees and their responsibilities:

- Futures Brokerage Committee
  - (1) To improve and promote futures brokerage business as well as handle interaction and coordination among futures brokers
  - (2) To offer services to futures traders
  - (3) To make annual work plan for the committee
  - (4) To handle other related issues
- Proprietary Futures Commission Merchant Committee
  - (1) To improve and promote the business of proprietary futures commission merchants as well as handle interaction and coordination among them
  - (2) To make annual work plan for the committee
  - (3) To handle other related issues
- Futures Advisory Committee
  - (1) To improve and promote futures advisory business as well as handle interaction and coordination among the member companies engaged on this business
  - (2) To offer services to clients of futures advisory enterprises
  - (3) To make annual work plan for the committee
  - (4) To handle other related issues
- Managed Futures Committee
  - (1) To improve and promote managed futures business as well as handle interaction and coordination among the member companies engaged on this business
  - (2) To offer services to clients of managed futures enterprises
  - (3) To make annual work plan for the committee
  - (4) To handle other related issues
- Futures Trust Committee
  - (1) To improve and promote futures trust business as well as handle interaction and coordination among futures trust enterprises
  - (2) To offer services to beneficiaries of futures trust fund



- (3) 有關編擬年度工作計劃事項。
- (4) 其他有關期貨信託業務之處理事項。

- 紀律委員會

- (1) 有關自律公約之擬訂、執行與督促會員自律事項。
- (2) 有關會員職業道德之規範事項。
- (3) 其他有關會員自律之處理事項。

- 教育訓練委員會

- (1) 辦理期貨從業人員職前訓練及在職訓練事項。
- (2) 有關參觀、演講、講習、康樂、體育等活動之舉辦事項。
- (3) 有關出版刊物之編輯事項。
- (4) 有關期貨投資宣傳事項。
- (5) 其他有關教育訓練、考試及核發證書之處理事項。

- 財務委員會

- (1) 有關會費、事業費、經費籌措、管理與運用之研議事項。
- (2) 有關財務之稽核事項。
- (3) 有關預算、決算之編擬事項。
- (4) 其他有關財務事宜之處理事項。

- 國際事務委員會

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

- 兩岸事務委員會

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

- 稽核暨法遵委員會

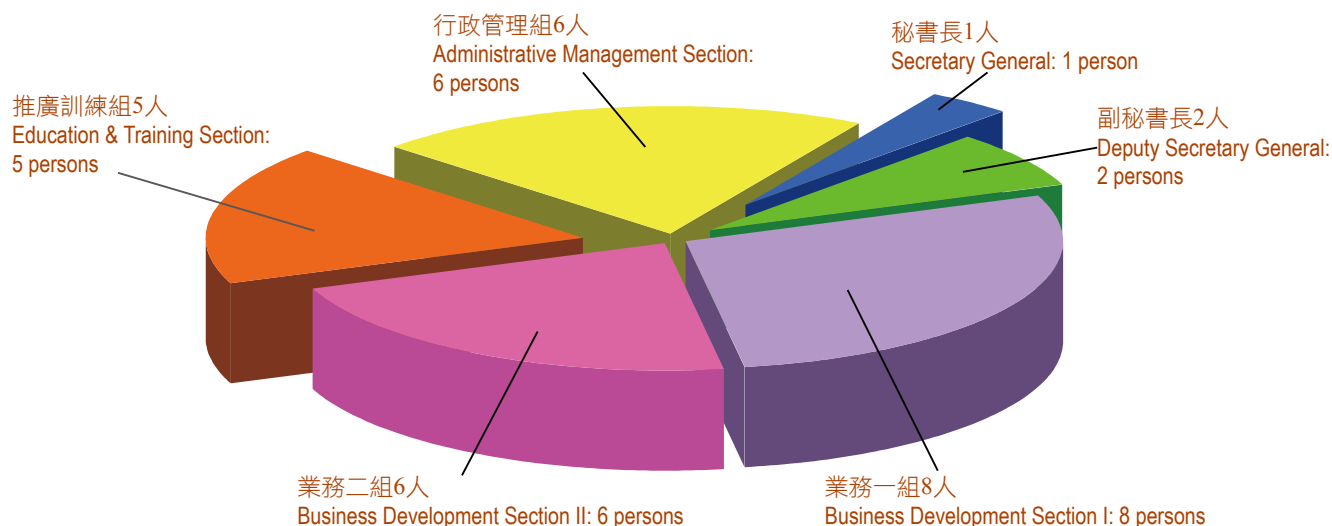
- (1) 有關期貨業內部控制制度之研討與建議事項。
- (2) 有關期貨業內部稽核業務之研討與建議事項。
- (3) 有關期貨業法令遵循事項。

- (3) To make annual work plan for the committee
  - (4) To handle other related issues
- Discipline Committee
  - (1) To draft self-discipline rules as well as execute the rules and supervise self-discipline practices of member companies
  - (2) To help member companies comply with working ethics
  - (3) To handle other related issues
- Education & Training Committee
  - (1) To arrange pre-job and on-job training for futures workers
  - (2) To arrange visit, speech, lecture, leisure activity, sports, among others
  - (3) To handle publishing and editing matters
  - (4) To make advertise and promotional matters
  - (5) To handle training, examination, license issuance, and other education-related issues
- Financial Committee
  - (1) To handle issues regarding membership fees, business service fees, fund-raising, and other related financial issues
  - (2) To handle auditing and related issues
  - (3) To make budget plan and deal with settlement issues
  - (4) To handle other related issues
- International Affair Committee
  - (1) To promote and coordinate issues about international affairs of the futures industry
  - (2) To make annual work plan for the committee
  - (3) To arrange other related issues
- Cross-straits Affair Committee
  - (1) To promote and coordinate cross-straits issues about the futures industry
  - (2) To make annual work plan for the committee
  - (3) To arrange other related issues
- Auditing & Law Compliance Committee
  - (1) To make research on internal control system of futures companies and propose suggestions for improvement
  - (2) To make research on internal auditing system of futures companies and propose suggestions for improvement
  - (3) To take charge of law-compliance issues of member companies



- (4) 協商並解決共通性之稽核業務或法令遵循事項。
  - (5) 有關編擬年度工作計畫綱要事項。
  - (6) 其他有關稽核業務或法令遵循事宜之處理事項。
- (五) 會務人員：分為業務一、業務二、推廣訓練、行政管理等四組，由秘書長、副秘書長統籌領導。茲就各組職掌分述如下：

**101年會務人員統計表**  
CNFA Administrative Staff in 2012



● 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、負責人與業務人登錄及管理。
- (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

序號 (No.)	公會職稱 (Title)	姓 名 (Name)	會員名稱 (Company)	職 稱 (Position)
1	理事長 Chairman	糜以雍 Falco Mi	凱基期貨股份有限公司 KGI Futures Co., Ltd.	董事長 Chairman
2	常務理事 Executive Director	丁予嘉 Michael Ding	國票綜合證券股份有限公司 Waterland Securities Co., Ltd.	顧問 Advisor
3	常務理事 Executive Director	吳學敏 Shieh-ming Wu	華南期貨股份有限公司 Hua Nan Futures Co., Ltd.	董事長 Chairman
4	常務理事 Executive Director	林明輝 Ming-hui Lin	日盛期貨股份有限公司 Jih Sun Futures Co., Ltd.	總經理 President
5	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
6	常務理事 Executive Director	張雅斐 Phoebe Chang	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	總經理 President
7	常務理事 Executive Director	賀鳴珩 Ted M.H. Ho	元大寶來期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	董事長 Chairman
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 Corp.	董事長 Chairman
10	常務理事 Executive Director	鄧序鵬 Paul Teng	康和期貨股份有限公司 Concord Futures Co., Ltd.	董事 Board Member
11	常務理事 Executive Director	盧立正 Maurice Lu	元大寶來期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	總經理 President
12	理事 Director	王冲青 Philip Wang	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	總經理 President
13	理事 Director	江燕琇 Yen-shiao Chiang	日盛證券股份有限公司 Jih Sun Securities Co., Ltd.	總經理 President
14	理事 Director	呂常愷 Charles Lui	澳帝華期貨股份有限公司 Optiver Taiwan Co., Ltd.	董事長 Chairman
15	理事 Director	宋肖瑾 Joyce Sung	元大寶來期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	執行副總 Executive Vice President
16	理事 Director	吳松濤 Sung-tao Wu	大華期貨股份有限公司 Grand Cathay Futures Corp.	副總經理 Vice President
17	理事 Director	吳英龍 Ying-lung Wu	元富證券股份有限公司 Master Link Securities Corp.	副總經理 Vice President
18	理事 Director	周筱玲 Hsiao-ling Chou	元大寶來期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	副董事長 Vice Chairman
19	理事 Director	侯青志 Chris Ho	元大寶來期貨股份有限公司 Polaris MF Global Futures Co., Ltd.	資深副總經理 Senior Vice President
20	理事 Director	高瑞堂 R.T. Kao	大昌期貨股份有限公司 Dah Chang Futures Co., Ltd.	董事 Board Member
21	理事 Director	高政煌 Eric Kao	大眾綜合證券股份有限公司 Ta Chong Securities Co., Ltd.	顧問 Advisor
22	理事 Director	陳忠憲 Chung-hsien Chen	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	董事長 Chairman

序號 (No.)	公會職稱 (Title)	姓 名 (Name)	會員名稱 (Company)	職 稱 (Position)
23	理事 Director	陳品呈 Ping-cheng Chen	大華期貨股份有限公司 Grand Cathay Futures Corp.	董事長 Chairman
24	理事 Director	郭晃庭 Huan-ting Kuo	富邦綜合證券股份有限公司 Fubon Securities Co., Ltd.	執行副總 Executive Vice President
25	理事 Director	陳瑞珏 James Chen	凱基期貨股份有限公司 KGI Futures Co., Ltd.	總經理 President
26	理事 Director	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
27	理事 Director	黃佩儀 Peggy Huang	國泰期貨股份有限公司 Cathay Futures Corp.	顧問 Advisor
28	理事 Director	黃俊仁 Chun-jen Huang	統一綜合證券股份有限公司 President Securities Corp.	副總經理 Vice President
29	理事 Director	莊輝耀 Huei-yao Chuang	大昌期貨股份有限公司 Dah Chang Securities Co., Ltd.	董事 Board Member
30	理事 Director	楊新德 Hsin-teh Yang	永豐期貨股份有限公司 SinoPac Futures Corp.	總經理 President
31	理事 Director	賈中道 Chung-tao Chia	群益期貨股份有限公司 Capital Futures Corp.	總經理 President
32	理事 Director	詹正恩 Cheng-en Chan	光和證券股份有限公司 Kuanzho Securities Corp.	董事長 Chairman
33	理事 Director	楊金源 Chin-yuan Yang	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	董事 Board Member

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	孫天山 Tim Sun	群益期貨股份有限公司 Capital Futures Corp.	董事長 Chairman
2	常務監事 Executive Supervisor	許瑞立 Jerry Hsu	安泰證券股份有限公司 Antay Securities Co., Ltd.	總經理 President
3	常務監事 Executive Supervisor	滕青華 Chin-hua Teng	兆豐期貨股份有限公司 Mega Futures Co., Ltd.	總經理 President
4	監事 Supervisor	王鎬娟 Winnei Wang	永豐金證券股份有限公司 SinoPac Securities Corp.	副總經理 Vice President
5	監事 Supervisor	李文柱 Wen-chu Li	康和綜合證券股份有限公司 Concord Securities Corp.	總經理 President
6	監事 Supervisor	李姿綺 Tze-chi Lee	國票期貨股份有限公司 Waterland Futures Co., Ltd.	總經理 President
7	監事 Supervisor	黃貽寬 Yi-kuan Huang	康和期貨股份有限公司 Concord Futures Co., Ltd.	總經理 President
8	監事 Supervisor	許人祥 J.H. Hsu	華南永昌綜合證券股份有限公司 Hua Nan Securities Co., Ltd.	副總經理 Vice President
9	監事 Supervisor	鄭質榮 Vincent Cheng	新加坡商華大期貨經紀股份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101.12.31日為準，依姓氏筆劃排序。

Note: The lists are in the order of stroke number of the person's Chinese surname, as of Dec. 31, 2012

### 一、關於期貨交易法令協助推行

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

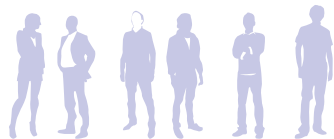
增修定範本、規則、申報書表

Making contract templates, guidelines, and report formats

1. 修定「會員自律公約」  
Revised “Self-discipline Rules for CNFA Members”
2. 訂定「市價委託風險告知書(參考範本)」  
Formulated “Risk Note for Entrustment Based on Market Price” (Reference Template)
3. 訂定「槓桿交易商自律規則」  
Formulated “Self-discipline Rules for Leveraged Futures Trader”
4. 修定「期貨交易人採行整戶風險保證金計收方式自律規則」  
Revised “Self-discipline Rules for Futures Traders Who Adopt Margin-calculating Method Based on Intergrated Trading Account Risk”
5. 修定「期貨商開戶徵信作業管理自律規則」及附件1、2  
Revised “Self-discipline Rules for Futures Companies in Checking Credibility of New Customers,” plus Appendix One & Two”
6. 修定「期貨商防制洗錢注意事項範本」(中英文版)  
Revised “Items for Future Traders’ Attention in Prevention of Money Laundering” (Chinese and English Editions)
7. 修定「期貨顧問事業內部控制制度標準規範」  
Revised “Template for Internal Control System Standards of Futures Advisory Enterprises”
8. 修定「期貨顧問委任契約範本」  
Revised “Contract Template for Appointment of Futures Advisor”
9. 修定「期貨顧問事業於傳播媒體從事營業活動自行審核與申報作業程序」  
Revised “Operational Processes for Futures Advisory Enterprises in Self-examination and Reporting of Mass Media Advertising Activities”
10. 修定「期貨經理事業帳表憑證保存年限表」  
Revised “Validity Periods Table for Credentials of Trading Accounts at Managed Futures Enterprises”
11. 修定「期貨經理事業全權委託交易帳戶帳務處理要點」  
Revised “Main Points for Management of Discretionary Trading Accounts by Managed Futures Enterprises”

## Association Affairs

12. 修定「期貨經理事業經營全權委託期貨交易業務操作辦法」  
Revised “Operational Methods for Executing Discretionary Futures Trading by Managed Futures Enterprise”
13. 修定「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「作業查核明細表」  
Revised “Internal Control System Template for Managed Futures Enterprises,” “Detailed Rules for Implementation of Internal Auditing by Managed Futures Enterprises,” and “Operation Check List”
14. 修定「期貨信託事業暨期貨經理事業防制洗錢注意事項範本」  
Revised “Template of Items for Attention of Futures Trust Enterprises and Managed Futures Enterprises in Prevention of Money Laundering”
15. 修定「會員暨期貨信託基金銷售機構從事廣告業務招攬及營業促銷活動管理辦法」  
Revised “Regulations on CNFA Members and Futures Trust Fund Sales Organizations in Advertising for Business and Promotional Activities”
16. 修定「期貨信託事業內部控制制度範本」、「期貨信託事業內部稽核制度範本」及「期貨信託事業內部稽核查核明細表」  
Revised “Internal Control System Template for Futures Trust Enterprises,” “Internal Auditing Template for Futures Trust Enterprises,” and “Internal Auditing Check List for Futures Trust Enterprises”
17. 修定「期貨信託基金之募集、發行、銷售及申購買回作業程序」  
Revised “Operational Processes for Raising, Issuance, Sale and Redemption of Futures Trust Funds”
18. 訂定「期貨信託基金受益人會議表決票效力認定及書面表決作業程序辦法」  
Revised “Operating Procedures for Determining Effectiveness of Votes Taken in Meetings of Futures Trust Fund Beneficiaries, and for Their Written Votes”
19. 修定「期貨信託基金銷售契約範本」  
Revised “Template of Sales Contracts of Futures Trust Funds”
20. 修定「期貨信託事業會計制度範本」及「期貨信託事業帳表憑證保存年限表」  
Revised “Template for Accounting System of Futures Trust Enterprises” and “Table of Period of Validity of Account Forms of Futures Trust Enterprises”
21. 訂定「期貨公會蒐集、處理利用個人資料告知書」(期貨信託事業及其委任之基金銷售機構範本)  
Formulated “Report on Collection, Processing and Use of Personal Data by CNFA” (Fund Sales Template Contract for Futures Trust Enterprises and Their Appointed Institutions for Fund Sales)



## 研議事項 Proposals

1. 研擬期貨交易全權委任契約(含共同委任)範本內容之審閱期7日之起算基期，適時與主管機關溝通修法之可行性。

Drafting discretionary appointment contract for futures transactions (including joint appointment), concerning template's content review period of seven days, suitability of this period and communicating with competent authority on feasibility of amending this regulation

2. 就「期貨商交易及風險控管機制專案」之各項議題進行研議並作成決議。

Doing research and making resolutions for various issues regarding "Futures Trading and Risk Control Mechanism Project"

3. 建請主管機關同意「申購期貨信託基金匯款人與受益人為同一人之規定不適用於原客戶」。

Suggesting agreement of the competent authority on "the rule which specifies that futures trust fund's beneficiary and the one who wires money for fund subscription should be the same person not be applicable to the original clients"

4. 建請期交所放寬股票期貨契約交易規則部位限制以及增訂自然人得申請放寬部位限制相關辦法。

Suggesting that the TFE should relax regulations on position of stock futures trading and add regulations on individual traders in applying for relaxed limits on their positions

5. 建請期交所取消全權委託交易帳戶開戶限制，修定「業務規則」及「期貨經紀商受託契約準則」。

Suggesting that the TFE should cancel strictions on opening of discretionary trading account and amending "business regulations" and "futures broker fiduciary contract guidelines"

6. 建請期交所放寬現行期貨商及期貨交易輔助人於營業場所外辦理開戶前置作業應由開戶經辦人員與業務員共同在場之規定，並簡化相關控管措施。

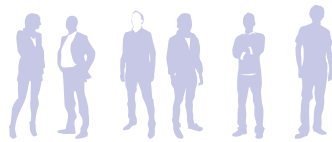
Suggesting that the TFE should relax the requirement that futures brokers and futures introducing brokers (IB) shouldn't open trading accounts outside the place of business without the presence of the salesperson and the customer-designated person for opening the account, and at the same time simplify the related regulations

7. 建請期交所取消期貨商、期貨交易輔助人內部人員網路下單固定IP位址及其配偶申報作業之規定。

Suggesting that the TFE should cancel the requirement that the internal working staff of futures brokers or futures introducing brokers (IB) should make online trading at fixed IP address and the regulations on them in reporting the transactions made by their spouses

8. 建請期交所取消期貨交易人授權交易之函證作業。  
Suggesting that the TFE should cancel the process for futures traders to authorize futures trading by written promise
9. 建請期交所放寬期貨交易人變更基本資料之作業。  
Suggesting that the TFE relax requirements pertaining to changes in basic information of futures traders
10. 建請期交所調降資訊設備使用費。  
Suggesting that the TFE lower the IT equipment usage fees
11. 建請期交所放寬專業機構投資人使用應用程式介面(API)服務之資格條件限制。  
Suggesting that the TFE relax the restrictive eligibility conditions for the professional institutional investors which apply for programming interface (API) services
12. 因應臺指選擇權加掛短天期契約新商品上市，建請期交所提撥經費俾利期貨公司共同行銷。  
Suggesting that the TFE set aside funds to serve co-marketing activities of futures companies for the newly-launched short-term options on Taiwan stock index
13. 建請期交所開放期貨競價終端設備(含電子方式填具買賣委託書)得與公眾網路連結。  
Suggesting that the TFE open a futures bidding terminal (including electronic method with delegated rights to trade) and link it to the public network





## 二、業務發展事項

### B. Association activities

#### 論壇 Forum

##### 協辦「2012京台金融合作論壇」(11/26)

本座談會北京方由北京市金融局霍學文書記率領北京市各金融業代表出席；台灣方除主、合辦單位之首長外，亦有多位金融業代表約150人出席，本公會廉理事長擔任此論壇第二場圓桌論壇「資本市場之創新、發展及合作議題交流」之與談人，廉理事長於會中說明了期貨業對ECFA之建議。

##### Co-sponsoring "Beijing-Taiwan Financial Cooperation Forum, 2012" (Nov. 26)

At this forum, the mainland participants, led by Huo Xuewen, head of Beijing Municipal Bureau of Financial Work, included representatives from various sectors of Beijing's financial industry, while at the Taiwan side, apart from the heads of the forum's organizer and co-sponsoring institutions, there were about 150 people representing the financial industry of Taiwan. CNFA Chairman Mi served as convener in the second instance of the roundtable forum on "Innovation, Development, and Cooperation of Capital Markets" during which Chairman Mi outlined suggestions to the ECFA for the futures industry.



#### 研討會 Seminar

##### 「洗錢防制」研討會(07/19、07/24、07/25)

本次研討會分別於台北、台中、高雄辦理3場次，共計311人參加，本公會每年舉辦研討會，藉由專家經驗分享及實務案例研討，協助從業人員遵循防制洗錢注意事項之規範。

##### Money laundering Control Seminar (July 19, 24, 25)

The seminar was held in Taipei, Taichung, and Kaohsiung, respectively, and the three instances drew participation of a total of 311 people. Through sharing of experts' experience and discussion of practical cases, the annual activity helped people act in compliance with the money-laundry control regulations.





### 與金管會及五大公會共同舉辦「發展具兩岸特色之金融業務計畫」說明及業務研討會 (09/19)

本說明及業務研討會，由金管會陳主任委員裕璋主持，並邀請時任行政院陳冲院長蒞臨致詞。出席的金融業代表包括各金融業同業公會，以及金融控股公司、銀行業、證券期貨業及保險業等各業代表共計五百餘人。

本公會由監事會孫召集人天山代表參加兩岸市場准入議題座談會，孫召集人於會中說明了期貨業對ECFA之建議。

### Co-organizing “Development Plan of Financial Business with Cross-straits Characteristics” business briefing and seminar, with Financial Supervisory Commission and five major trade associations (Sept. 19)

Then Premier Sean Chen was invited to address at this business briefing and seminar, chaired by FSC Chairman Chen Yu-chang. Attendees from the financial industry included representatives of the various finance associations as well as those of financial holding companies, banks, securities firms, futures companies, and insurance companies, amounting to a total of more than 500 representatives. The CNFA was represented by its supervisor convener Tim Sun in talks on cross-straits market access issues, where Sun outlined suggestions to the ECFA for the futures industry.



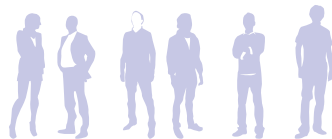
### 座談會 Symposium

#### 「期貨交易人保護機制」座談會 (03/27)

辦理「期貨交易人保護機制座談會」，期使從業人員及交易人對相關之期貨交易人保護機制能有概括統合性的了解，計77位法令遵循、內部稽核及業務主管等人員參與。

### “Futures Trader Protection Mechanism” symposium (March 27)

The “Futures Trader Protection Mechanism” symposium was held to provide futures workers and futures traders with comprehensive information about the mechanism developed to protect their rights and interests. The symposium was participated by 77 futures workers of legal affairs, auditing, and executives.



### 期貨業兩岸事務座談會 (05/30)

本座談會邀請到期交所、律師、會計師等專家及期貨業者，就兩岸期貨業相互合作上，大家所關心的兩個議題—「兩岸指數期貨相互掛牌的利基展望」及「兩岸期貨商互相投資的商機」做了深入之探討，共計82人參加。

### Cross-straights futures business symposium (May 30)

This symposium invites experts from the TFE, legal profession, accountancy and other professions, along with business operators from the futures industry, to discuss the two topics people were most concerned about cooperation in the futures industry between the two sides of the Taiwan Straits: "niche prospects in cross-straits mutual listing of index futures" and "cross-straits futures mutual investment business opportunities." The activity attracted a total of 82 attendees.



### 合法期貨標章電視座談會 (06/10)

為宣導合法期貨標章，特別安排本公會張理事雅斐及李監事姿綺擔任電視宣導座談會之代表，於節目中分享如何尋找合法期貨業者及防止期貨詐騙，增加交易安全的訊息。

### TV talk show on "Legitimate Futures" logo (June 10)

To advocate a logo for legal futures, the Association especially appointed board member Phoebe Chang and supervisor Tze-chi Lee to serve as its representatives in a promotional guidance TV program, and to discuss on the program how to find legitimate futures businesses, prevent futures fraud, and enhance security in transactions.





### 講座 Lecture

#### 「期貨業未來發展與就業機會校園巡迴系列講座」(3、4月)

本講座全省共計36所大專院校，共計2,014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。

#### Lecture series of "Futures Talents Recruitment on Campus" (March, April)

This lecture series was arranged for a total of 36 colleges throughout Taiwan, participated by 2,014 students. It provided graduates about to enter society and students with an interest in the futures industry, with the best introduction to the industry and the best channel through which to find answers to their questions, and help them map out blueprints for building a successful career in the futures industry.



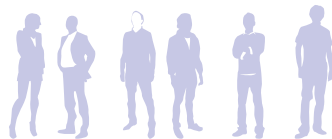
### 說明會 Presentation

#### 「期貨業國際會計準則IFRSs宣導」說明會(07/20、09/21、10/26)

本系列說明會邀請到鍾丹丹會計師就期貨商導入IFRSs議題進行實務探討，參加對象為各期貨業之財會主管、內部稽核人員及自行查核人員，共計149人次參加。

#### "IFRSs Rules for Futures Companies" (July 20, Sept. 21, Oct. 26)

It invited accountant Chong Dandan to give a lecture and discuss the cases of IFRS futures practices. Attendees were finance and account managers, internal auditing workers, and self-assessment workers, 149 people in total.



### 「中小企業如何利用期貨規避風險，提昇經營績效」說明會 (09/21)

本活動由本公會主辦、經濟部中小企業處協辦。期透過本活動，中小企業能善用期貨業者所提供之受託買賣、顧問諮詢、代客操作以及期信基金等服務，可有效運用期貨市場的金融工具，以達到企業避險需求及提昇經營績效。

### “How Small and Medium-sized Enterprises Use Futures to Avoid Risk and Improve Business Performance” (Sept. 21)

This activity is organized by the Association, co-sponsored by the Small and Medium Enterprises Administration under the Ministry of Economic Affairs. Through this activity, small and medium-sized enterprises learned to make good use of the services provided by the futures industry, such as buying and selling through entrusted companies, referring to consultancies, trust fund services, and so on, as well as how to make effective use of the various financial instruments available to meet their need for avoiding risk while promoting operation efficiency.



### 「個人資料保護法」說明會 (12/13)

本次說明會主要參加對象為各會員公司之稽核、法遵及相關業務承辦人員，計248人參加。係希藉由專家的經驗，提供產業因應個資法施行之道，與面對個資事件之應變與管理能力，期協助業者及早規劃並調整作業。

### “Personal Information Protection” (Dec. 13)

This presentation was mainly attended by auditing, legal affairs, and other related employees at CNFA member companies, attracting a total of 248 participants. Through sharing of experts' experience, it provided the ways that futures companies could follow to act in compliance with the relevant regulations and law, and helped companies build up the ability to deal with personal data violation cases, assisting them to plan as early as possible and adjust their operation in accordance with the law.





### 「個人資料保護法」實務作業講習(12/21)

本講習活動，參加對象為專營期貨經紀、期顧、期經、期信公司，每公司限指派乙名主管但不限部門，計39人參加。係希藉由本次講習活動，協助業者推行個人資料保護法。

### “Personal Information Protection” practice presentation (Dec. 21)

The activity was arranged for specialized futures brokerage, futures advisory, managed futures, and futures trust enterprises, each assigning one employee to join this activity. Participated by a total of 39 persons, the activity helped related companies understand the government's policy and act in compliant with the law.



### 市場推廣活動 Market Promotion Activities

#### 「全民股票期貨王」競賽活動 (100/08/15-101/01/13)

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，與工商時報異業結盟共同辦理「全民股票期貨王」競賽活動，本活動共吸引2,150人參加。

### “National Stock Futures King” Contest (Aug. 15, 2012-Jan. 13, 2013)

To promote stock futures, enliven the futures market, and enable participants to understand stock futures and put them to good use in hedging risk or strategic transactions, the Association once again worked in cooperation with the Taiwan Futures Exchange, collaborating with the Commercial Times to jointly conduct the “National Stock Futures King” contest, an event which attracted 2,150 participants.



## 國際交流 International exchange

### 「2012台北國際期貨論壇-期貨信託基金之國際發展趨勢」(05/10)

我國期貨信託事業自2008年主管機關開放至今，期貨信託市場陸續由11家證投信業者申請兼營、1家(寶富期信)申請專營，綜觀國內期貨信託市場現況共計4檔公募、1檔私募期貨信託基金募集成立。為使國內業者汲取國外經營期貨信託基金的操盤經驗、操作標的之選取與風險管理機制等，本公會特邀請國際間頗具有特色主流的期貨顧問管理專家來台與業者交流，本次論壇共計132人員出席參加。

### 2012 Taipei International Futures Forum —The Development Trends of CTAs in the International Markets (May 10)

Since the competent authority opened the futures trust industry in Taiwan in 2008, there has been a continuous growth in the market, with 11 securities investment trust companies applying for being concurrent futures brokers, in addition to and one specialized futures trust enterprise. An overview of the current status of the domestic futures trust market shows four futures trust funds raised through public channels and one raised through private placement. To enable the domestic industry to learn from the operational trading experience of foreign futures trust fund companies and their fund managers, in terms of action selection and risk management mechanisms, the Association specially invited a characteristically mainstream international futures consultant management expert to share views with business operators; joined by a total of 132 participants.

### 理監事加拿大卑斯省溫哥華台灣商會參訪團 (09/21-09/30、10/5-10/14)

為協助我國期貨業拓展海外華人市場，藉此機會了解加拿大當地市場潛力，本公會理監事至加拿大卑斯省溫哥華，拜會當地華人企業家組成之台灣商會(TCCBC)，尋求吸引當地華人參與我國期貨市場的合作契機。

### Vist of CNFA board members and supervisors to Taiwan Chamber of Commerce in BC, Canada (Sept. 21-30, Oct. 5-14)

To help expand Taiwan's futures industry to the overseas Chinese market and take the opportunity to learn the potential of Canadian domestic market, the CNFA organized a delegation of board members and supervisors to Vancouver, Canada, and visited the Taiwan Chamber of Commerce in British Columbia (TCCBC), which is made up of local Chinese entrepreneurs there, to seek to attract local Chinese participation and cooperation opportunities in Taiwan's futures market.





## 兩岸往來 Cross-straits Interaction

### 山西省銀行業協會來訪(04/12)

山西省銀行業協會副會長苟海儒及副秘書長牛燁等17人來訪。

#### Visit of Shanxi Banking Association (April 12)

A 17-member delegation of Shanxi Banking Association (SBA), led by Vice Chairman Go Hairu and Deputy Secretary General Niu Hua, made a visit to the Association.

### 國泰君安期貨來訪 (04/25)

國泰君安期貨高管李春保監事長率領該公司中高階主管一行18人參訪本公會。

#### Visit of Guotai Junan Futures (April 25)

A 18-member delegation of Guotai Junan Future, led by chief supervisor Li Chunbao, made a visit to the Association.



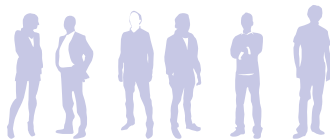
### 中金所、大商所、鄭商所來訪 (10/15、10/17)

2012年世界交易所聯合會（WFE）年度大會於台北舉辦，大陸的4家期貨交易所高管也來台參與此盛會。會議結束後本公會分別與其進行交流，分別為10月15日大連商品交易所劉興強總經理等2人與本會理監事與進行交流餐敘、10月17日鄭州商品交易所申鵬岳高級經理來訪，另中國金融期貨交易所李正強副總經理率領該所6人參訪本公會並與本會理監事進行交流餐敘。

#### Visits of CFFE, DCE, and ZCE (Oct. 15, 17)

The World Federation of Exchanges held its annual meeting for 2012 in Taipei. Among the participants, there were the high-ranking executives from four mainland-based futures companies. After the meeting, the CNFA took the opportunities to interact with the mainland delegates. On Oct. 15, Liu Xing-chiang, president of Dalian Commodity Exchange (DCE), and his colleague have lunch with the CNFA's board members and supervisors. On Oct. 17, Sheng Pengyueh, senior executive of Zhengzhen Commodity Exchange (ZCE), visited the CNFA, and Li Zhengchian, vice president of China Financial Futures Exchange (CFFE), led six colleagues to have dinner with the CNFA representatives.





### 理監事參加第八屆中國（深圳）國際期貨大會 (12/02-12/03)

為加強兩岸期貨業交流，由本公會廉理事長率領理監事及會務人員共計20人至深圳參加「第八屆中國（深圳）國際期貨大會」，會議期間，本公會與深圳市期貨同業協會共同舉辦「海峽兩岸期貨論壇」，共本論壇計30多人參加。

### 8th Annual China International Derivatives Forum (CIDF) held in Shenzhen (Dec. 2-3)

To strengthen exchange between China's and Taiwan's futures industries, CNFA Chairman Falco Mi led a total of 20 CNFA board members, supervisors, and staff workers to participate in the 8th Annual China International Derivatives Forum in Shengzhen. During the forum, the CNFA joined the Shenzhen Futures Association in holding the Cross-straits Futures Development Conference, attended by a total of over 30 people.



### 魯證期貨來訪(12/19)

魯證期貨裴英劍副總經理等3人由元大寶來期貨香港子公司江偉源董事總經理陪同來訪。

### Visit of Luzheng Futures (Dec. 19)

Pei Ying-jian, vice president of Luzheng Futures, accompanied by three colleagues and Chiang Wei-yuan, board member of Yuanta Futures' HK subsidiary, made a visit to the Association.



### 安徽省金融參訪團(12/24)

安徽省政府金融工作辦公室何昌順副主任等8人來訪。

### Visit of Anhui financial delegation (Dec. 24)

An 8-member delegation, led by Ho Changshun, deputy director of Anhui Financaill Work Office, made a visit to the CNFA.





## 人員培訓活動及輔導就業 Training and Employment Service

### 期貨業務人才養班(101/12/20-102/01/18)

本公會101年度分別於台北及高雄共舉辦2場聯合徵才活動。經電腦媒合結果，共計11位學員分別為3家公司所錄取。

### Futures Talents Training Courses (Dec. 20, 2012-Jan. 18, 2013)

In 2012, the Association held two joint recruitment events in Taipei and Kaohsiung, respectively. Through computer matching, a resulting total of 11 persons were admitted by three companies.



## 聯誼活動 Social Activities

### 1. 理監事聯誼活動

#### Social activities for board members and supervisors

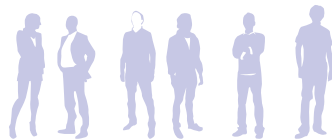
#### 海南島三亞 (03/06-03/10)

Trip to Sanya City of Hainan Island (March 6-10)

#### 北越下龍灣 (04/29-05/03)

Trip to Halong Bay, North Vietnam (April 29-May 3)





## 2. 委員會聯誼活動

### Social activities for committee members

七股潟湖、十鼓文化村兩日精緻遊，共2梯次  
(04/14-04/15、04/21-04/22)

Two 2-day trips to Cigu Lagoon in Tainan and Ten Drum Culture Village, April 14-15, April 21-22)



## 3. 會員聯誼活動

### Social activities for CNFA members

本公會每年舉辦登山健行活動，主要目的為釋放從業人員平日之工作壓力，並增進親子關係。本年度亦與證券投信投顧公會共同舉辦，藉此增進證券期貨從業人員聯誼交流；並邀請罕見病友設攤，且將當日所募發票全數捐贈財團法人創世社會福利基金會，除略盡社會責任外，也期能藉以達到教育意義，本次活動共計951名從業人員及其眷屬參與。

The Association arranges a mountain hiking activity every year, the main purpose of which is to free those working in the industry from the everyday pressures of work and to improve the parent-child relationship. This year the Securities Investment Trust and Consulting Association was also joined this activity as a co-sponsor to promote exchange between securities and futures practitioners. Meanwhile, the rare diseases patients association was invited to set up a stall. All invoices from the activity will be collected as donations to the charity. Apart from fulfilling a social responsibility, this action will hopefully be of some educational value. A total of 951 people working in the industry and their families took part.





### 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101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36家，專案查核期貨顧問事業14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10件；警告者4件。

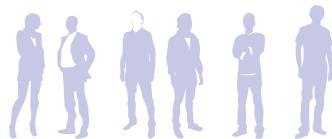
The Association made annual inspection on futures advisory enterprises and their practice of internal auditing. In 2012, it inspected 36 companies and 14 futures advisory projects. Among those found breaking the Self-discipline Agreement for CNFA Members, 10 were required to make improvement, and 4 received the Association's warning notice.

##### 2. 其他違規事項

##### Other rule-violation cases

會員公司101年度違反本公會「會員自律公約」，提紀律委員會報告者22件，討論者9件，其中處警告二次處分者2件、警告一次處分者5件、要求公司注意改善者27件、促請會員公司加強對從業人員宣導，避免類似情形再次發生者1件。

For other cases where member companies were found acting against the Self-discipline Agreement for CNFA Members in 2012, 22 cases were sent to the Discipline Committee for its review, in addition to another 9 for its discussion. In 2 cases, companies were disciplined with two warnings and in another 5 cases, companies were disciplined with one warning. There were 27 cases where companies were required to make improvement and 1 case where the company was required to strengthen education on advertising staff to avoid happening of similar case.



#### 四、關於會員業務之廣告及宣傳審查事項

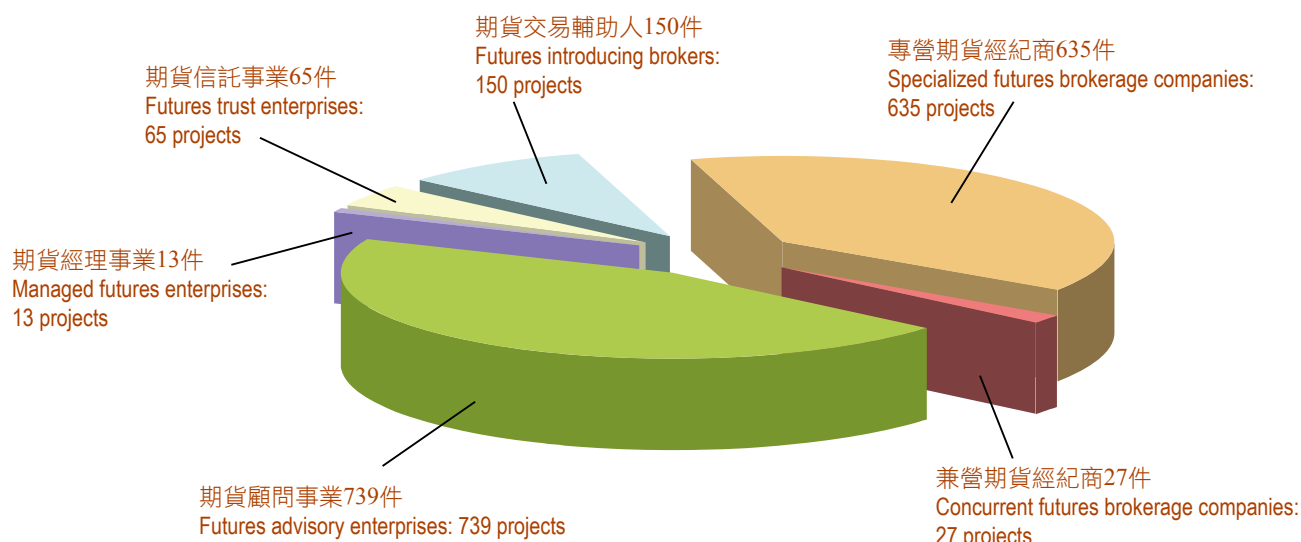
##### D. Inspection of advertisement and promotional materials of member companies

本公會101年度共計審核1,629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635件、兼營期貨經紀商申報27件、期貨顧問事業申報739件、期貨經理事業申報13件、期貨信託事業申報65件、期貨交易輔助人申報150件。

In 2012, the Association reviewed 1,629 projects of advertisement and promotional materials published by member companies. Among them, 635 projects were filed by the specialized futures brokerage companies, 27 by concurrent futures brokerage companies, 739 by futures advisory enterprises, 13 by managed futures enterprises, 65 by futures trust enterprises, and 150 by futures introducing brokers

##### 101年度宣傳資料及廣告申報案件統計

Advertisement and Business Promotion Projects of CNFA Members in 2012

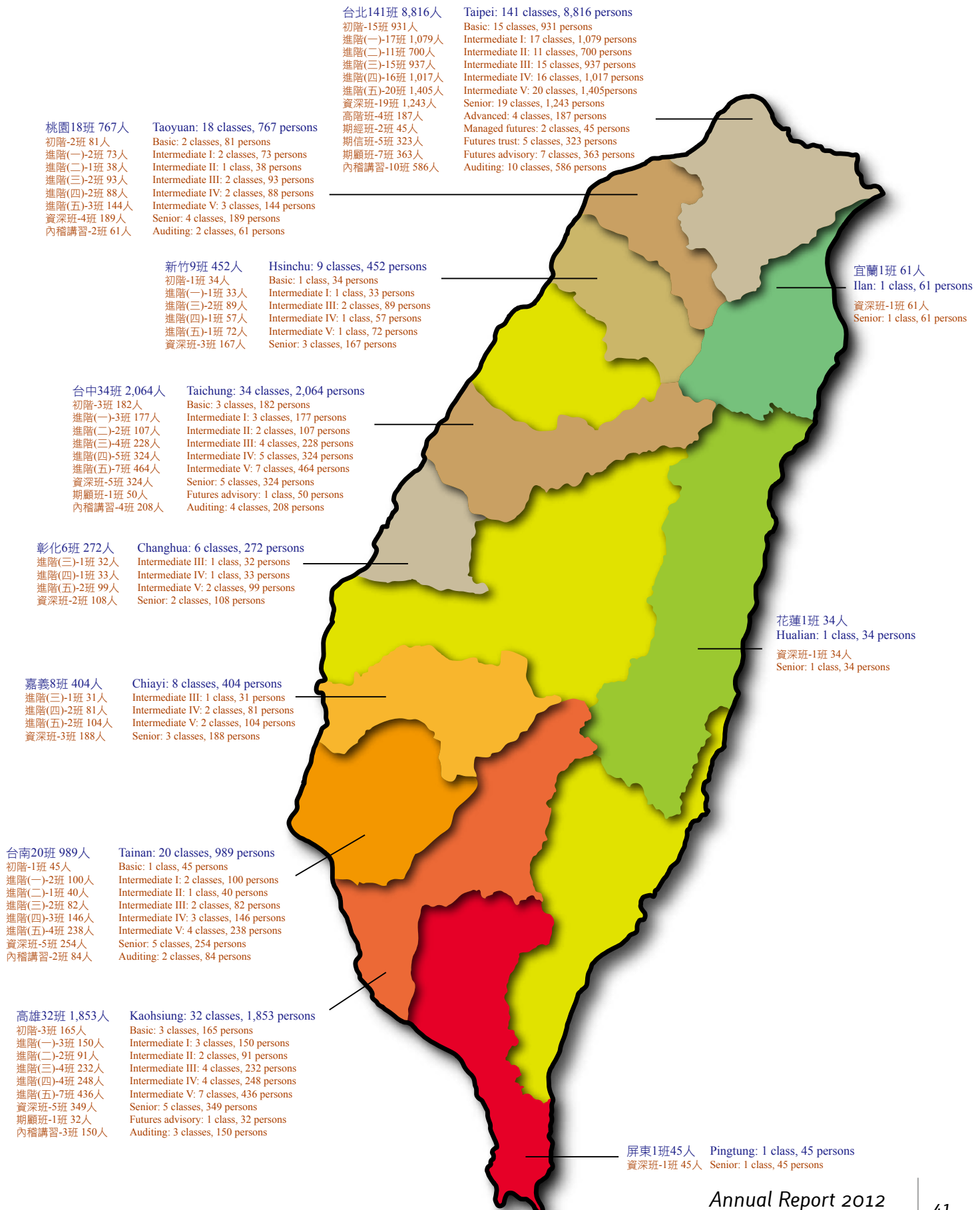


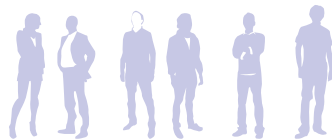
## 五、在職訓練

## E. On-job training

101年度舉辦之地區別、班別及人數詳如下圖：

CNFA-arranged Training Courses in 2012





## 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

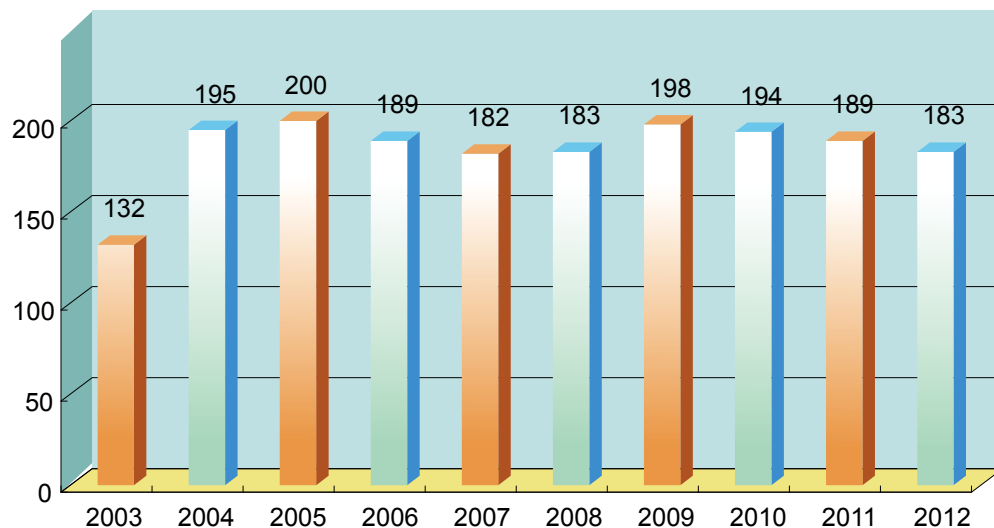
##### Registration of member companies and their business representatives

- 會員家數：共計183家，其中經營期貨經紀業務為39家(22%)；期貨業務輔助人54家(30%)；期貨自營業務35家(19%)；期貨經理業務8家(4%)；期貨顧問業務37家(20%)；期貨信託業務10家(5%)。

There were 183 member companies registered with the CNFA at the end of 2012: 39 (22%) futures brokerage companies, 54 (30%) futures introducing brokers, 35 (19%) proprietary futures commission merchants, 8 (4%) managed futures enterprises, 37 (20%) futures advisory enterprises, and 10 (5%) futures trust enterprises.

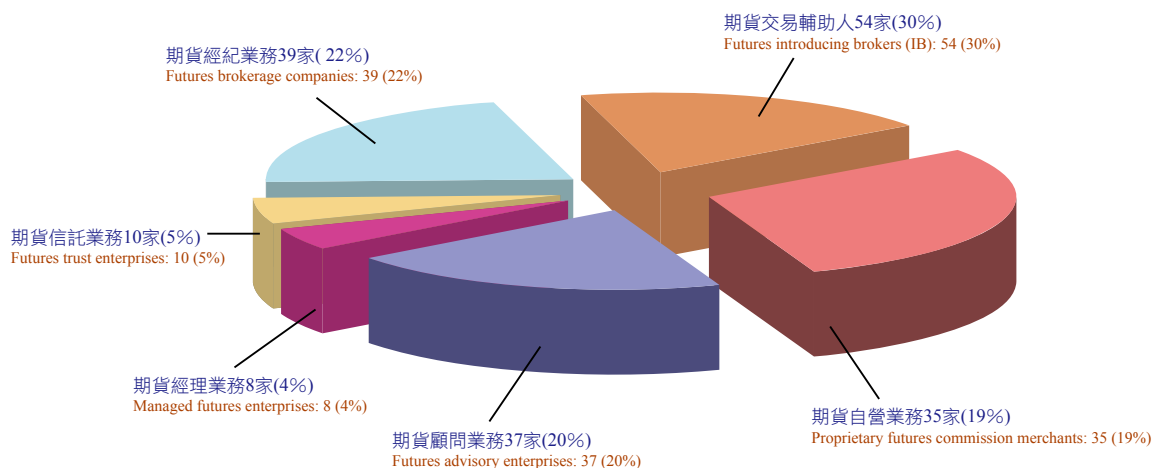
近10年會員家數統計圖

Statistics of CNFA Member Companies over Past 10 Years



101年度會員類別統計圖

Statistics of CNFA Member Companies in 2012, by Business Category

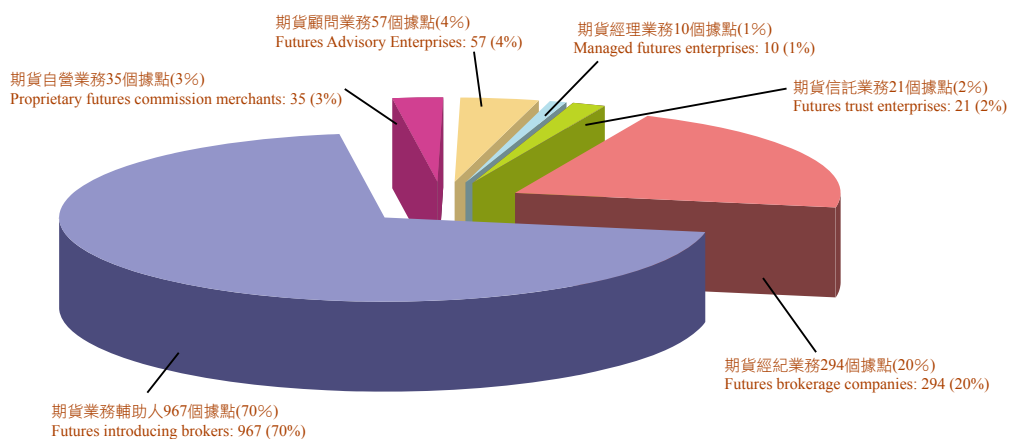


- 會員總分公司分支機構數：共計1,384家，其中經營期貨經紀業務為294個營業據點(20%)；期貨業務輔助人967個營業據點(70%)；期貨自營業務35個營業據點(3%)；期貨經理業務10個營業據點(1%)；期貨顧問業務57個營業據點(4%)；期貨信託業務21個營業據點(2%)。

CNFA Member Companies were operated with a total of 1,384 headquarters offices and branch offices as of the end of 2012: 294 used by futures brokers (20%), 967 used by introducing brokers (70%), 35 used by proprietary futures commission merchants (3%), 10 used by managed futures enterprises (1%), 57 used by futures advisory enterprises (4%), and 21 used by futures trust enterprises (2%)

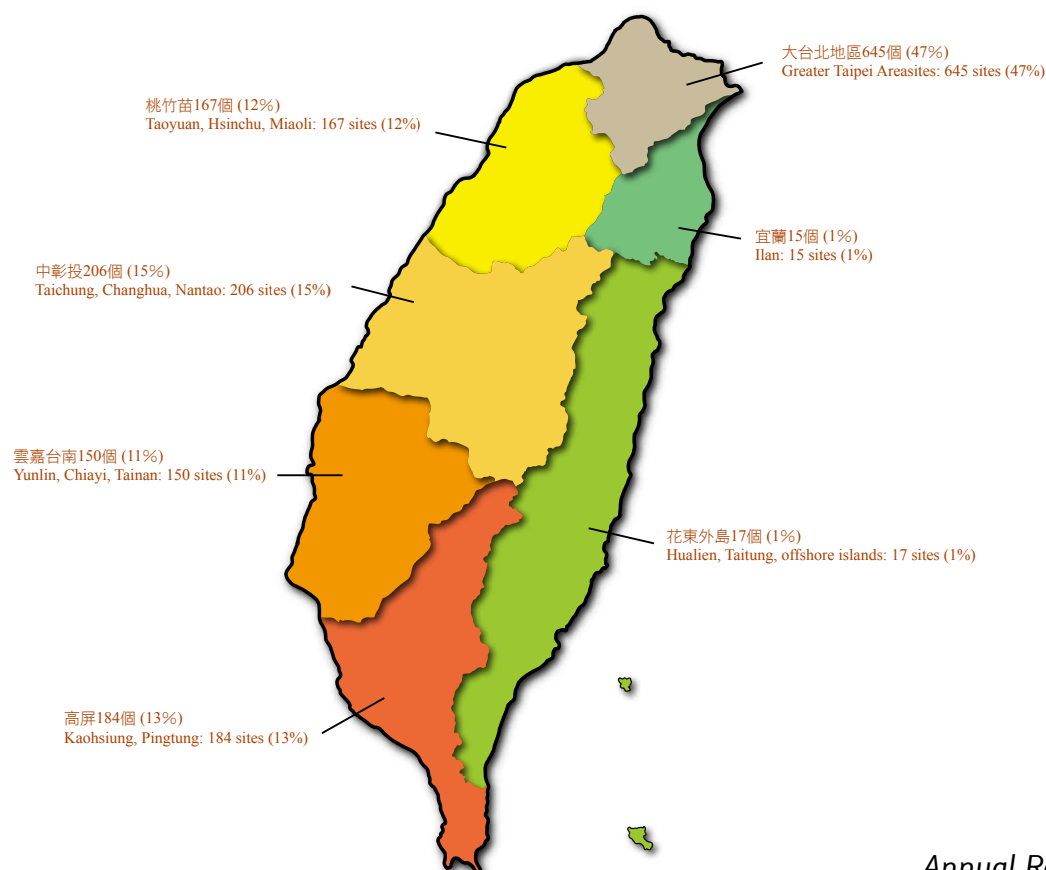
### 會員營業據點統計圖

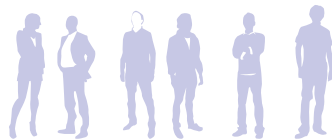
Business Sites of CNFA Member Companies in 2012



### 101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 2012





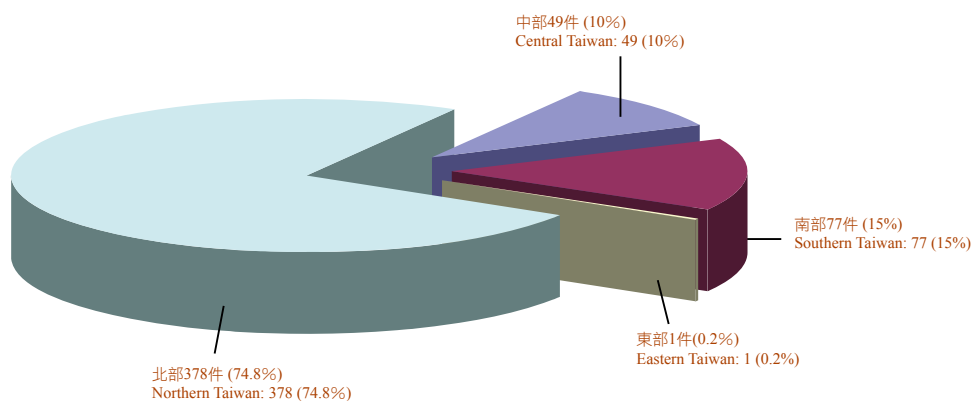
### ● 會員場地勘察 Business site inspection

101年度共計505件場勘案(北部地區378件、中部地區49件、南部地區77件、東部地區1件、外島0件)，就其場勘案件分析，新設營業處所67件(13%)、遷移營業處所39件(8%)、縮減營業處所21件(4%)、擴增營業處所3件(0.7%)、互調營業處所1件(0.3%)、營業處所內部配置變動374件(74%)。

The Association conducted a total of 505 business site inspection projects in 2012 (378 in northern Taiwan, 49 in central Taiwan, 77 in southern Taiwan, 1 in eastern Taiwan). Among these inspected sites, 67 (13%) were newly established, 39 (8%) were relocated, 21 (4%) were downsized, 3 (0.7%) were expanded, 1 (0.3%) was transferred, and 374 (74%) were remodeled.

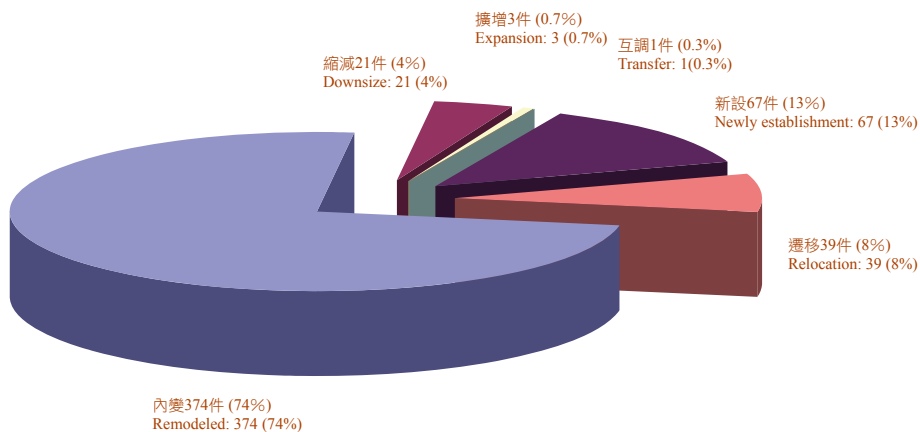
### 101年度場地勘察區域分布統計圖

Geographical Areas of Inspected Business Sites in 2012



### 101年度場地勘察類別統計圖

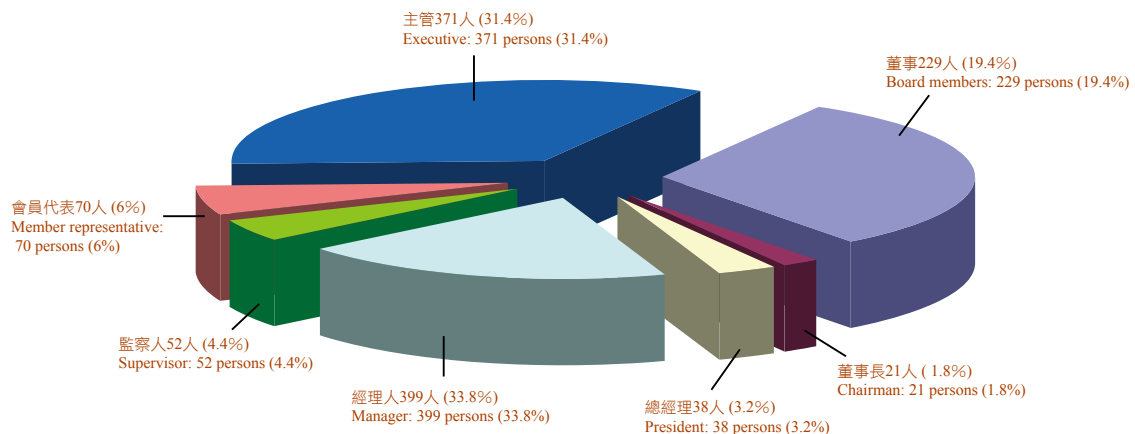
Statistics of Business Site Inspection Projects in 2012



## 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

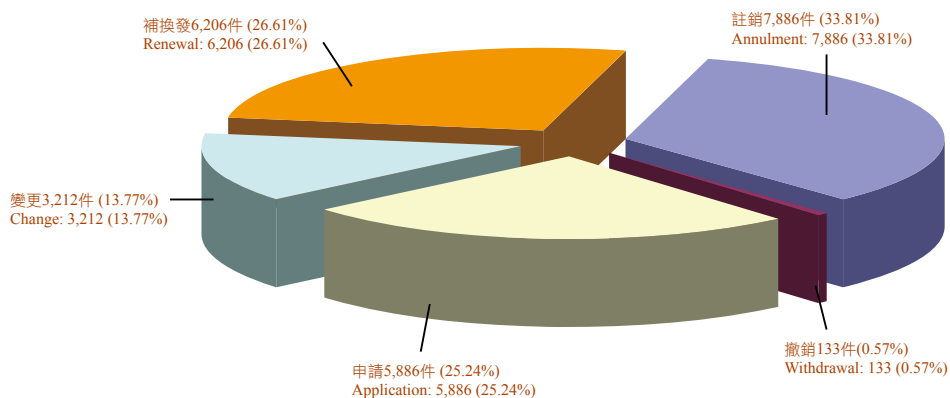
- 會員代表、會員負責人101年度於本公會異動登錄共計1,180人次，細分如下：  
In 2012, the Association handled a total of 1,180 certificate renewal and change cases for high-ranking executives, board members, and supervisors of member companies

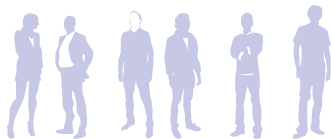
101年度身分類異動統計圖  
Position Change Statistics for 2012



- 業務員、輸單員101年度於本公會異動登錄共計23,323件，每月平均1,944件  
In 2012, the Association handled a total of 23,323 business representative and key-in worker enrollment cases, with an average of 1,944 cases per month

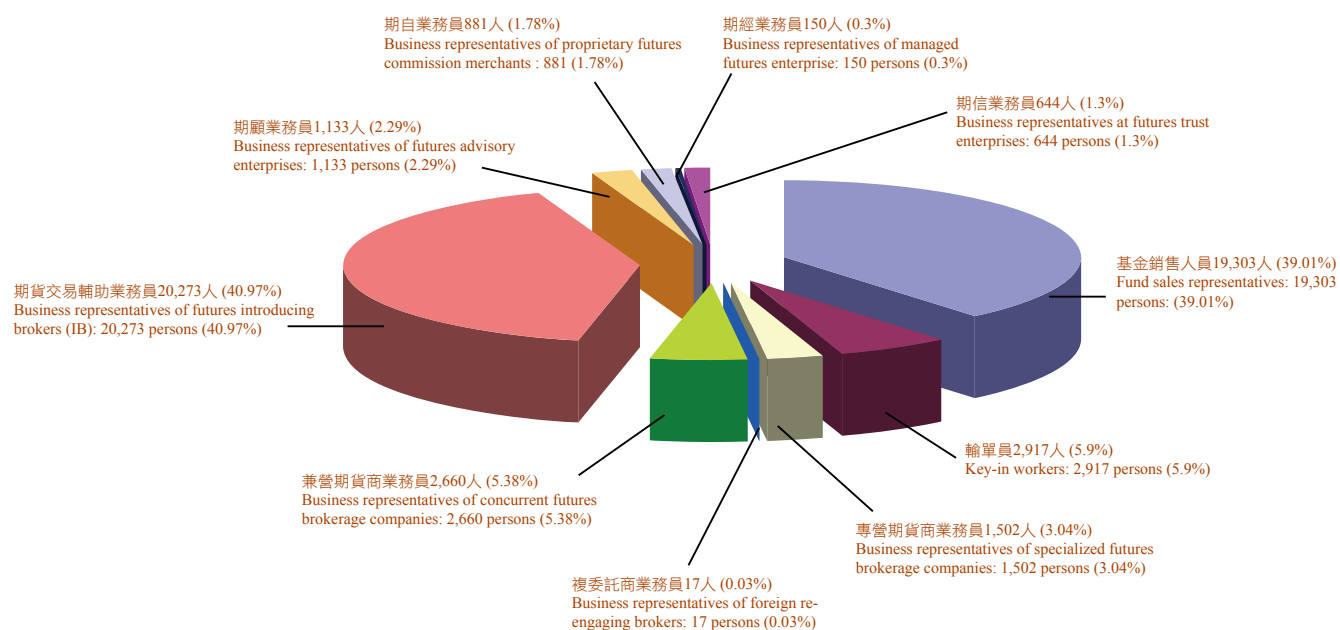
101年度業務異動類別統計圖  
Job Change Registrations in 2012





## 101年度從業人員登記統計圖

Business Category Change of Staff at CNFA Member Companies in 2012



## 七、本公會出版品 G. Publications

### 1. 會訊 Newsletter



### 2. 期貨人季刊 Futures Journal



### 3. 政令宣導

製作手提袋、保溫瓶、拭鏡布及掛鉤分送在職訓練學員，以推廣「合法期貨」標章。

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



# 伍

## 財務報告



### 會計師查核報告

(102)財審報字第 12003150 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 101 年及 100 年 12 月 31 日之資產負債表及財產目錄，暨民國 101 年及 100 年 1 月 1 日至 12 月 31 日之收支決算表、現金出納表及基金收支表，業經本會計師查核竣事。上開會計報告之編製係管理階層之責任，本會計師之責任則為根據查核結果對上開會計報告表示意見。

本會計師係依照一般公認審計準則規劃並執行查核工作，以合理確信會計報告有無重大不實表達。此項查核工作包括以抽查方式獲取會計報告所列金額及所揭露事項之查核證據、評估管理階層編製會計報告所採用之會計原則及所作之重大會計估計，暨評估會計報告整體之表達。本會計師相信此項查核工作可對所表示之意見提供合理之依據。

依本會計師之意見，第一段所述會計報告在所有重大方面係依照內政部頒布之「工商團體財務處理辦法」及中華民國一般公認會計原則編製，足以允當表達中華民國期貨業商業同業公會民國 101 年及 100 年 12 月 31 日之資產負債狀況，暨民國 101 年及 100 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

賴宇義



中 華 民 國 1 0 2 年 2 月 5 日

# Financial Report

## *Independent Auditor's Report*

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To: Chinese National Futures Association

Feb. 5, 2013

We have audited the balance sheet and assets list of the Chinese National Futures Association (CNFA) as of the end of 2012 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, 2012 and the results of its operations and cash flows for the year then ended in conformity with the "Rules Governing Financial Management of Industrial and Commercial Associations" and generally accepted accounting principles in the Republic of China.

PricewaterhouseCoopers

Taipei, Taiwan, ROC



中華民國商業同業公會  
中華民國商業同業公會  
中華民國商業同業公會

民國101年12月31日

資 產	101 年 12 月 31 日		100 年 12 月 31 日		101 年 12 月 31 日		100 年 12 月 31 日		單 位：新 台 幣 元	
	金 額	%	金 額	%	金 額	%	金 額	%	金 額	%
流動資產										
現金及銀行存款(附註三(一))	\$ 24,796,355	5	\$ 35,084,705	7	\$ 15,488,154	3	\$ 23,850,636	5		
有價證券(附註三(二))	57,014,579	11	57,194,579	12	276,639	-	211,038	-		
應收帳款(附註三(三))	5,096,197	-	1,837,796	-	79,905	-	133,874	-		
預付款項	292,734	-	259,085	-	-	-	-	-		
流動資產合計	87,199,865	16	94,376,165	19	15,824,698	3	24,195,548	5		
基 金										
會務發展準備基金—專戶存款(附註三(四))	82,512,347	16	77,391,708	15	-	-	-	-		
退撫準備基金—專戶存款(附註三(五))	14,936,039	3	12,376,544	2	64,620,000	13	66,960,000	13		
基金合計	97,448,386	19	89,768,252	18	80,444,698	16	91,155,548	18		
固定資產(附註三(六))										
土地	133,989,345	26	133,989,345	28	-	-	-	-		
房屋及建築	107,770,320	21	91,281,927	18	-	-	-	-		
事務設備	13,249,615	3	12,162,429	2	87,232,347	17	81,453,768	16		
運輸設備	-	-	652,381	-	17,426,887	3	14,966,222	3		
雜項設備	3,194,690	1	990,654	-	259,795,960	51	254,537,428	50		
辦公設備	1,591,990	-	1,339,590	-	364,455,194	71	350,957,418	69		
未完工程	-	-	14,121,102	3	-	-	-	-		
固定資產合計	259,795,960	51	254,537,428	50	-	-	-	-		
其他資產										
存出保證金	58,300	-	58,300	-	63,587,179	13	62,976,688	13		
自律基金—專戶存款	64,620,000	13	66,960,000	13	635,440	-	610,491	-		
其他資產合計	64,678,300	13	67,018,300	13	64,222,619	13	63,587,179	13		
資產總計	\$ 509,122,511	100	\$ 505,700,145	100	\$ 509,122,511	100	\$ 505,700,145	100		
負債、基金及餘絀										
流動負債										
應付款項(附註三(七))	-	-	-	-	-	-	-	-		
代收款	-	-	-	-	-	-	-	-		
暫收款	-	-	-	-	-	-	-	-		
流動負債合計	-	-	-	-	-	-	-	-		
其他負債										
存入保證金—自律基金	-	-	-	-	-	-	-	-		
負債總額	-	-	-	-	-	-	-	-		
基金及餘絀										
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	58,300	-	58,300	-	63,587,179	13	62,976,688	13		
餘絀合計	64,620,000	13	66,960,000	13	635,440	-	610,491	-		
基金及餘絀合計	64,678,300	13	67,018,300	13	64,222,619	13	63,587,179	13		
負債、基金及餘絀總計	\$ 509,122,511	100	\$ 505,700,145	100	\$ 509,122,511	100	\$ 505,700,145	100		

後附會計報告附註為本報告之一部分，請併同參閱

秘書長：



會計主管：



製表：



理事長：



**Chinese National Futures Association  
Balance Sheet**

Dec. 31, 2012 & Dec. 31, 2011

Unit: NT\$

	Dec. 31, 2012		Dec. 31, 2011		Liabilities, funds, and surplus	Dec. 31, 2012		Dec. 31, 2011	
	Amount	%	Amount	%		Amount	%	Amount	%
<b>Assets</b>					<b>Current liabilities</b>				
Current assets					Payables (Note 3-7)	\$ 15,468,154	3	\$ 23,850,636	5
Cash & bank deposit (Note 3-1)	\$ 24,796,355	5	\$ 35,084,705	7	Receipts under custody	276,639	-	211,038	-
Securities (Note 3-2)	57,014,579	11	57,194,579	12	Temporary receipts	79,905	-	133,874	-
Accounts receivable (Note 3-3)	5,096,197	-	1,837,796	-					
Pre-payments	292,734	-	259,085	-					
Sub-total of current assets	87,199,865	16	94,376,165	19	Sub-total of current liabilities	15,824,698	3	24,195,548	5
<b>Funds</b>									
Development fund at special bank account (Note 3-4)	82,512,347	16	77,391,708	15	Other liabilities				
Pension fund at special bank account (Note 3-5)	14,936,039	3	12,376,544	2	Doposits received Fund	64,620,000	13	66,960,000	13
Sub-total of funds	97,448,386	19	89,768,252	18	Total of liabilities	80,444,698	16	91,155,548	18
<b>Fixed assets (Note 3-6)</b>									
Land	133,989,345	26	133,989,345	28	Funds and surplus				
Buildings	107,770,320	21	91,281,927	18	Funds				
OA equipment	13,249,615	3	12,162,429	2	Development fund	87,232,347	17	81,453,768	16
Transportation equipment	-	-	652,381	-	Pension fund	17,426,887	3	14,966,222	3
Other facilities	3,194,690	1	990,654	-	Assets fund	259,795,960	51	254,537,428	50
Office facilities	1,591,990	-	1,339,590	-	Sub-total of funds	364,455,194	71	350,957,418	69
Unfinished construction	-	-	14,121,102	3					
Sub-total of fixed assets	259,795,960	51	254,537,428	50	Surplus				
<b>Other assets</b>					Accumulated balance (Note 3-9)				
Refundable deposits	58,300	-	58,300	-	Balance for this period	63,587,179	13	62,976,688	13
Self-discipline fund at special bank account	64,620,000	13	66,960,000	13	Sub-total of surplus	64,222,619	13	63,587,179	13
Sub-total of other assets	64,678,300	13	67,018,300	13	Total of funds and surplus	428,677,813	84	414,544,597	82
<b>Total assets</b>	\$ 509,122,511	100	\$ 505,700,145	100	Total liabilities, funds and surplus	\$ 509,122,511	100	\$ 505,700,145	100

Please refer to the following notes as part of the statement

中華民國期貨商業同業公會

收據存查

民國101年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	\$ 19,200	\$ 4,800	\$ 14,400	\$ -	
常年會費收入	1,927,600	1,886,400	41,200	-	
業務費收入(附註三(十))	74,873,473	93,735,000	-	( 18,861,527)	註1
利息收入	1,721,442	1,663,600	57,842	-	
委託收入	21,438,254	20,710,200	728,054	-	
其他收入	208,670	-	208,670	-	
收入合計	100,188,639	118,000,000	1,050,166	( 18,861,527)	
經費支出					
人事費	32,577,395	33,331,000	-	( 753,605)	
辦公費	9,334,069	10,916,700	-	( 1,582,631)	註2
業務費	38,943,090	48,302,300	-	( 9,359,210)	註3
購置費	8,683,235	12,300,000	-	( 3,616,765)	註4
團體會費	1,070,000	1,070,000	-	-	
什項支出	657,930	1,400,000	-	( 742,070)	
預備金	-	2,310,000	-	( 2,310,000)	註5
基金提存(附註三(十一))	8,287,480	8,370,000	-	( 82,520)	
支出合計	99,553,199	118,000,000	-	( 18,446,801)	
本期餘絀(稅前)	635,440	-	635,440	-	
所得稅費用(附註三(八))	-	-	-	-	
本期餘絀(稅後)	\$ 635,440	\$ -	\$ 635,440	\$ -	

後附會計報告附註為本報告之一部分，請併同參閱

註1：業務費收入減少，主係經理監事會決議，自本期8月起視結餘情況調整折扣數所致。

註2：辦公費減少，主係因與會員之交際費減少所致。

註3：業務費減少，主係因預估之研究專案未全數執行所致。

註4：購置費減少，主係預計購置之公會電子會務系統並未購置所致。

註5：預備金減少，主係本期無特殊狀況動支。

理事長：



秘書長：



會計主管：



製表：張佩瑜

Chinese National Futures Association  
Income Statement  
Jan. 1-Dec. 31, 2012

Unit: NT\$

Item	Difference between actual and estimated amounts				Remarks
	Actual Amount	Estimated Amount	Increase	Decrease	
Revenue					
Entry fees	\$ 19,200	\$ 4,800	\$ 14,400	\$ -	
Annual membership fees	1,927,600	1,886,400	41,200	-	
Business promotion fees (Note 3-10)	74,873,473	93,735,000	-	( 18,861,527)	Note 1
Interest income	1,721,442	1,663,600	57,842		
Income from entrusted projects	21,438,254	20,710,200	728,054		
Miscellaneous income	<u>208,670</u>	<u>-</u>	<u>208,670</u>	<u>-</u>	
Total revenue	<u>100,188,639</u>	<u>118,000,000</u>	<u>1,050,166</u>	<u>( 18,861,527)</u>	
Expenses					
Personnel expense	32,577,395	33,331,000	-	( 753,605)	
Administration expense	9,334,069	10,916,700	-	( 1,582,631)	Note 2
Business expense	38,943,090	48,302,300	-	( 9,359,210)	Note 3
Procurement expense	8,683,235	12,300,000	-	( 3,616,765)	Note 4
Association activity fee	1,070,000	1,070,000	-	-	
Miscellaneous items	657,930	1,400,000	-	( 742,070)	
Advance cash	-	2,310,000	-	( 2,310,000)	Note5
Fund deposit (Note 3-11)	<u>8,287,480</u>	<u>8,370,000</u>	<u>-</u>	<u>( 82,520)</u>	
Total expense	<u>99,553,199</u>	<u>118,000,000</u>	<u>-</u>	<u>( 18,446,801)</u>	
Pre-tax balance	635,440	-	635,440	-	
Income tax (Note 3-8)	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	
After-tax balance	\$ 635,440	-	\$ 635,440	\$ -	

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

1. The decrease in business promotion fees was resulted from the decision made at the joint meeting of board directors and supervisors that the discount rate would be adjusted along with changes in surplus, starting from August 2012.
2. The decrease in administration expense was resulted from the decrease in social activities that the Association arranged for members.
3. The business expense decreased because not all entrusted projects have been fully completed.
4. The procurement expense decreased because the proposed project for installing online association affairs management system hasn't been implemented.
5. Advance cash decreased because there was no special need for using advanced cash in 2012.

# 陸

## 大事紀要

日期 (Date)	活動名稱 (Event)
100/08/15- 101/01/13	全民股票期貨王競賽活動(工商時報主辦、本公會與期交所協辦) “National Stock Futures King” Contest (organized by Commercial Times, co-sponsored by CNFA, TFE)
02/17	第3屆理監事第10次聯席會議 The 10th joint meeting of board members and supervisors of the 3 <sup>rd</sup> installment
03/07	NYSE LIFFE交易所來訪 NYSE LIFFE visited CNFA
03/08-05/23	校園巡迴宣導講座-共計36場 Lecture series of “Futures Talents Recruitment on Campus”—36 instances in total
03/13-03/16	派員參加第37屆美國期貨業協會年會 Participation at the 37th annual meeting of American Futures Industry Association (FIA)
03/27	期貨交易人保護機制座談會 “Futures Trader Protection Mechanism” symposium
04/03	CME交易所來訪 CME visited CNFA
04/12	香港交易所來訪 HKeX visited CNFA
04/12	山西省銀行業協會來訪 Shanxi Banking Association visited CNFA
04/19	歐洲期貨交易所新加坡行銷主管來訪 Marketing Manager of Eurex Exchange's Singapore office visited CNFA
04/25	國泰君安期貨來訪 Guotai Junan Futures visited CNFA
04/27	第3屆理監事第11次聯席會議 The 11th joint meeting of board members and supervisors of the 3 <sup>rd</sup> installment
05/10	舉行2013台北國際期貨論壇-期貨信託基金之國際發展趨勢 Taipei International Futures Forum 2012—International Development Trends of Futures Trust Funds
05/30	舉行期貨業兩岸事務座談會與交流餐敘 Cross-straits futures workshop and lunch gathering
06/01	MAN AHL行銷主管來訪 Marketing Executives of MAN AHL visited CNFA
06/07	第3屆理監事第12次聯席會議 The 12th joint meeting of board members and supervisors of the 3 <sup>rd</sup> installment
06/10	合法期貨電視宣導座談會 Tv talk show on “legitimate futures” logo
06/27	第3屆第3次會員大會 The 3 <sup>rd</sup> general assembly of CNFA members of the 3 <sup>rd</sup> installment
07/19	洗錢防制研討會-高雄場 Money laundering Control Seminar — Kaohsiung
07/20	期貨業國際會計準則IFRSs宣導說明會-第1場 “IFRS Rules for Futures Companies” presentation—the 1 <sup>st</sup> instance
07/24	洗錢防制研討會-台中場 Money laundering Control Seminar — Taichung
07/25	洗錢防制研討會-台北場 Money laundering Control Seminar — Taipei
08/17	第3屆理監事第13次聯席會議 The 13th joint meeting of board members and supervisors of the 3 <sup>rd</sup> installment
09/04-09/06	參加2012年大連瀋陽金融交流團 Joining Dalian-Shenyang Financial Exchange Tour
09/09	Man AHL執行董事Timothy Peach與董事Verrine Hsu來訪 Man AHL's Executive Director Timothy Peach and Director Verrine Hsu visited CNFA

# Chronicle

日期 (Date)	活動名稱 (Event)
09/18-09/19	參加2012海峽兩岸企業家紫金山峰會暨南京金融交流團 Participation of Zijin Shan Summit of enterprises in Greater China and Nanjing financial exchange tour for 2012
09/19	參加發展具兩岸特色之金融業務計劃說明及業務研討會 “Development Plan of Financial Business with Cross-straits Characteristics” business briefing and seminar
09/21	期貨業國際會計準則IFRSs宣導說明會-第2場 “IFRS Rules for Futures Companies” presentation—the 2 <sup>nd</sup> instance
09/21	中小企業如何利用期貨規避風險、提昇經營績效說明會 “How Small and Medium-sized Enterprises Use Futures to Avoid Risk and Improve Business Performance” presentation
09/21	溫哥華商會會長杜麗娟來訪 Tu Li-chuan, chairman of Taiwan Chamber of Commerce in British Columbia (TCCBC) visited CNFA
09/21-09/30	理監事拜會溫哥華商會-第1團 Visit of CNFA board members and supervisors at Taiwan Chamber of Commerce in Vancouver-the first group
10/05-10/14	理監事拜會溫哥華商會-第2團 Visit of CNFA board members and supervisors at Taiwan Chamber of Commerce in Vancouver-the second group
10/15	大連商品交易所來訪 Dalian Commodity Exchange visited CNFA
10/17	鄭州商品交易所及中國金融期貨交易所參訪本公會 Zhenzhou Commodity Exchange and China Financial Futures Exchange visited CNFA
10/26	期貨業國際會計準則IFRSs宣導說明會-第3場 “IFRS Rules for Futures Companies” presentation—the 3 <sup>rd</sup> instance
10/26	第3屆理監事第14次聯席會議 The 14th joint meeting of board members and supervisors of the 3 <sup>rd</sup> installment
11/10	指南宮登山健行活動 Hiking activity to Chinan Temple
11/19	CME新加坡亞太區執行總監來訪 Executive Diorector of CME’s Singapore office visited CNFA
11/26	協辦2012京台金融合作論壇 Beijing-Taiwan Financial Cooperation Forum 2012
11/27	派員出席高雄港申請為「倫敦金屬交易所遞交港」及「推動高雄港自由經濟示範區發展LME倉儲轉運中心」公聽會 Attendance at the public hearings on “Kaohsiung’s application for being delivery port of LME (London Metal Exchange)” and “Development of free economic zone to support warehousing services of Kaohsiung as an LME delivery port”
12/02-12/03	理監事參加2012第8屆中國（深圳）國際期貨大會 Participation of CNFA directors and supervisors at the 8 <sup>th</sup> Annual China International Derivatives Forum (CIDF) in Shenzhen
12/13	個人資料保護法宣導說明會 “Personal Information Protection” presentation
12/14	第3屆理監事第15次聯席會議 The 15th joint meeting of board members and supervisors of the 3 <sup>rd</sup> installment
12/19	魯證期貨、上海期貨業考察拜訪團來訪 Delegations of Luzheng Futures and Shanghai futures industry visited CNFA
12/21	個人資料保護法實務作業講習 “Personal Information Protection” practice presentation
12/24	安徽省金融參訪團參訪本公會 Anhui financial delegation visited CNFA
101/12/20-102/01/18	第24期及第25期期貨人才養成班甄選活動 The 24th and 25th Futures Talents Training Courses



會員名錄

# 中華民國期貨業商業同業公會會員名錄

## Chinese National Futures Association Directory of members

代號	公司名稱 (Company)	公司地址 (Address)	電話 (Tel)	傳真 (Fax)	公司網址 (Website)
F001	國泰期貨股份有限公司 Cathay Futures Corp.	106 台北市敦化南路二段333號19樓部份 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei 106, Taiwan	02-23269899	02-27087967	<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 Corp.	100 台北市重慶南路1段2號8樓 8F, 2, Sec.1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23811799	02-23894228	<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 台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 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 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>
F008	統一期貨股份有限公司 President Futures Corp.	105 台北市東興路8號B1 B1, 8, Tong Shin Rd., Taipei 105, Taiwan	02-27488338	02-27488335	<a href="http://www.pfcf.com.tw">http://www.pfcf.com.tw</a>
F013	大華期貨股份有限公司 Grand Cathay Futures Corp.	100 台北市忠孝西路1段100號13樓 13F, 100, Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	<a href="http://www.gcfc.com.tw">http://www.gcfc.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 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>
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	02-87800099	02-87893782	<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 Polaris MF Global 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 Futures Co., Ltd.	100 台北市襄陽路9號3樓及3樓之1 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<a href="http://www.fubon.com/">http://www.fubon.com/</a>
F029	康和期貨股份有限公司 Concord Futures Co., Ltd.	105 台北市復興北路143號5樓、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 台北市忠孝東路4段563號4樓 4F, 563, Sec.4, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-87878080	02-27642513	<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 Taiwan Futures Co., Ltd.	100 台北市杭州南路1段19號12樓 12F, 19 Sec. 1, Hangzhou S. Rd., Taipei 100, Taiwan	02-23570777	02-23578392	建置中
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	新加坡華商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>
R219	新加坡商明富環球期貨股份有限公司台灣分公司 MF Global Singapore Pte. Taiwan Branch	105 台北市敦化南路1段1號6樓A室 6F, 1, Sec.1, Tunhwa S. Rd., Taipei 105, Taiwan	02-25798118	02-25704868	<a href="http://www.mfglobal.com/Pages/default.aspx">http://www.mfglobal.com/Pages/default.aspx</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, Tiding Blvd, Taipei 114, Taiwan	02-26561111	02-26561212	<a href="http://www.ibts.com.tw/">http://www.ibts.com.tw/</a>
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>

# Directory of Members

代號	公 司 名 稱 (Company)	公 司 地 址 (Address)	電 話 (Tel)	傳 真 (Fax)	公 司 網 址 ( Website )
S153	香港商德意志證券亞洲有限公司台北分公司 Deutsche Securities Asia Limites, Taipei Branch	106台北市仁愛路4段296號13樓 13F, 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-21922888	02-37078473	建置中
S159	花旗環球證券股份有限公司 Citigroup Global Markets Taiwan Securities Company Limited	110台北市松智路1號14樓 14F, 1, Songzhi Rd., Taipei 110, Taiwan	02-87269000	02-87254755	<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	台北市大安區安和路一段27號6樓、29號7樓 6F., No.27, Sec. 1, Anhe Rd., Da'an Dist., Taipei 106, 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.	110台北市松壽路3號10樓 10F, 3, Sung Shou Rd., Taipei 110, Taiwan	02-87808867	02-27224555	<a href="http://www.chinatrustsec.com.tw/">http://www.chinatrustsec.com.tw/</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	建置中
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3段10號 10, Sec.3, Shi Men Rd., Tainan 704, Taiwan	06-2219777	06-2286324	<a href="http://www.wintan.com.tw/">http://www.wintan.com.tw/</a>
S838	安泰證券股份有限公司 Antay Securities Co., Ltd.	830高雄縣鳳山市五福二路36號 36, Wu Fu 2 Rd., Fong Shan, Kaohsiung 830, Taiwan	07- 8122789	07-8315419	建置中
S844	摩根大通證券股份有限公司 J.P. Morgan Securities Co., Ltd.	110台北市信義路5段106號3樓 3F, 106, Sec.5, Hsin Yi Rd., Taipei 110, Taiwan	02-87862288	02-27253183	<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 Corp.	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://etrade.kgi.com.tw/">http://etrade.kgi.com.tw/</a>
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 Securities Co., Ltd.	106台北市敦化南路1段108號B1 B1, 108, Sec.1, Tunhwa S. Rd., Taipei 106, Taiwan	02-87716888	02-87716795	<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 Securities 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	合作金庫商業銀行股份有限公司 Taiwan Cooperative Bank Co., Ltd.	106台北市忠孝東路4段325號2樓 2F, 325, Sec.4, Chung Hsiao E. Rd., Taipei 106, Taiwan	02-27319987	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 Of Taiwan Co., Ltd.	100台北市延平南路81號 81, Yen Ping S.Rd., Taipei 100, Taiwan	02-23483974	02-23891864	<a href="http://www.landbank.com.tw">http://www.landbank.com.tw</a>

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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>
B126	宏遠證券股份有限公司 Horizon Securities Co., Ltd.	106台北市信義路4段236號3樓 3F, 236, Sec. 4 Hsin Yi Rd., Taipei 106, Taiwan	02-27008899	02-27006088	<a href="http://www.honsec.com.tw/">http://www.honsec.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.	360苗栗市中正路426號4樓 4F, 426, Chung Cheng Rd., Miaoli 360, Taiwan	037-332266	037-335228	建置中
B569	豐興證券股份有限公司 Fong Shing Securities Co., Ltd.	420台中縣豐原市中正路220號3樓 3F, 220, Chung Cheng Rd., Fengyuan, Taichung 420, Taiwan	04-25277150	04-25261151	<a href="http://www.fstk.com.tw">http://www.fstk.com.tw</a>
B572	大華證券股份有限公司 Grand Cathay Securities Corp.	100台北市許昌街17號3樓 3F, 17, Hsuehchang ST., Taipei 100, Taiwan	02-23148800	02-23819565	<a href="http://www.gcsc.com.tw">http://www.gcsc.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, Chihshien 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, Fuhshing 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	台中商業銀行股份有限公司 Taichung Commercial Bank Co., Ltd.	台中市西區民權路87號 No.87, Minquan Rd., West Dist., Taichung 403, Taiwan	04-22236021	04-22208175	<a href="http://www.tcbbank.com.tw/">http://www.tcbbank.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	建置中
B638	光和證券股份有限公司 Kuanzho Securities Corp.	521彰化縣北斗鎮光復路166號3樓 3F, 166, Kwangfu Rd., Pie-Tou Cheng, Changhwa 521, Taiwan	04-8886500	04-8886626	<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 台北板橋市東門街30之2號9樓 2F, 30 Tung-men St., Panchiao, Taipei 220, Taiwan	02-29689685	02-29676069	<a href="http://www.dcn.com.tw">http://www.dcn.com.tw</a>
B648	福邦證券股份有限公司 Grand Fortune Securities Co., Ltd.	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
B664	渣打國際商業銀行股份有限公司 Standard Chartered Bank (Taiwan)	330桃園市中正路465號3樓 3F, 465, Chung Cheng Rd., Taoyuan 330, Taiwan	03-3347111	03-3347107	<a href="http://www.standardchartered.com.tw/">http://www.standardchartered.com.tw/</a>
B666	和興證券股份有限公司 Hosin Securities Co., Ltd.	234台北縣永和市中正路455號3樓 3F, 455, Chung Cheng Rd., Yung-ho, Taipei 234, Taiwan	02-29229797	02-29225700	建置中
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>

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B695	福勝證券股份有限公司 Fushan Securities Co., Ltd.	251台北縣淡水鎮中正路63號5樓 5F, 63, Chung Chen Rd., Tanshui, Taipei 251, Taiwan	02-26251818	02-26251705	建置中
B700	兆豐證券股份有限公司 Mega Securities Co., Ltd.	106台北市忠孝東路2段95號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., Fengyuan, Taichung 420, Taiwan	04-25281000	04-25253100	建置中
B767	金港證券股份有限公司 Goldport Stock Corp.	802高雄市三多二路93號2樓 2F, 93, Sando 2 Rd., Kaohsiung 802, Taiwan	07-7129399	07-7133579	建置中
B769	金興證券股份有限公司 Ching Shing Securities Co., Ltd.	360苗栗市北苗里義民街51號 51, Yimin St., Pei-miao LI, Miaoli 360, Taiwan	037-266666	037-266060	建置中
B775	北城證券股份有限公司 Pei Cheng Securities Co., Ltd.	234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://web.wls.com.tw/">http://web.wls.com.tw/</a>
B790	金豐證券股份有限公司 King Fong Securities Co., Ltd.	420台中縣豐原市中山路481號 481, Chung Shan Rd., Feng-Yuan, Taichung 420, Taiwan	04-25282800	04-25282306	<a href="http://kingfong142.myweb.hinet.net/">http://kingfong142.myweb.hinet.net/</a>
B815	台新綜合證券股份有限公司 Taishin Securities Co., Ltd.	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>
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.6016.com">http://www.6016.com</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	建置中
B858	聯邦商業銀行股份有限公司 Union Bank of Taiwan Co., Ltd.	104台北市南京東路2段137號2樓 2F, 137, Sec.2, Nanking E. Rd., Taipei 104, Taiwan	02-25040066	02-25171241	<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.	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.	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台北市仁愛路4段296號17樓 17F, 296, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-23269888	02-27003670	<a href="http://www.cathaysec.com.tw">http://www.cathaysec.com.tw</a>
P001	永豐期貨股份有限公司 SinoPac Futures Corp.	100台北市重慶南路1段2號8樓 8F, 2, Sec.1, Chung Ching S.Rd., Taipei 100, Taiwan	02-23811799	02-23894228	<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4樓部分、5樓部分及10樓部分 4F, 95, Sec.2, Chung Hsiao E. Rd., Taipei 100, Taiwan	02-33227073	02-33933052	<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 Polaris MF Global 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>

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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 Securities Co., Ltd.	106台北市仁愛路4段169號4樓 4F, 169, Sec. 4, Ren-ai Rd., Taipei 106, Taiwan	02-27767819	02-27210783	<a href="http://www.fubon.com/">http://www.fubon.com/</a>
P023	大華證券股份有限公司 Grand Cathay Securities Corp.	100台北市重慶南路1段2號14樓 14F, 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23148800	02-23819565	<a href="http://www.gcsc.com.tw">http://www.gcsc.com.tw</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 3F, 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 Yuantas Securities 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.yuantas.com.tw">http://www.yuantas.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>
P031	康和綜合證券股份有限公司 Concord Securities Corp.	110台北市基隆路1段176號B1 B1, 176, Sec.1, Keelung Rd., Taipei 110, Taiwan	02-87871888	02-27697562	<a href="http://www.6016.com">http://www.6016.com</a>
P032	凱基期貨股份有限公司 KGI Futures Co., Ltd.	104台北市建國北路1段96號11樓 11F, 96, Sec.1, Jianguo N. Rd., Taipei 104, Taiwan	02-25169009	02-25082351	<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台北市仁愛路4段296號17樓 17F, 296, Sec.4, Ren-ai Rd., Taipei 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3段109號7樓 7 F, 109, Sec.3, Ming Sheng 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台北市復興南路1段2號10樓 10F, 2, Sec.1, Fushing S Rd., 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>
P039	第一金證券股份有限公司 First Securities Inc.	106台北市安和路1段27號6樓 6F, 27, Sec.1, Anho Rd., Taipei 106, Taiwan	02-25636262	02-25635713	<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	110台北市松壽路3號5樓 5F, 3, Sung Shou Rd., Taipei 110, Taiwan	02-27222002	02-87808867	<a href="http://hrbank.chinatrust.com.tw">http://hrbank.chinatrust.com.tw</a>
P043	台北富邦商業銀行股份有限公司 Taipei Fubon Bank Co. Ltd.	106台北市仁愛路4段169號16樓 16F, 169, Sec.4, Ren-ai Rd., Taipei 106, Taiwan	02-66027309	02-66003808	<a href="http://www.fubon.com/">http://www.fubon.com/</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.	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>
P049	大眾期貨股份有限公司 Ta Chong Futures Co., Ltd.	100台北市忠孝東路2段88號15樓 15F, 88, Sec.2., Chung Hsiao E.Rd., Taipei 100, Taiwan	02-23973456	02-23973232	建置中

代號	公 司 名 稱 (Company)	公 司 地 址 (Address)	電 話 (Tel)	傳 真 (Fax)	公 司 網 址 (Website)
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>
P051	大華期貨股份有限公司 Grand Cathay Futures Corp.	100 台北市忠孝西路 1段100號13樓及14樓 13F, 100 Sec.1, ChungHsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	<a href="http://www.gcfc.com.tw">http://www.gcfc.com.tw</a>
P052	中國信託綜合證券股份有限公司 Chinatrust Securities Co., Ltd.	110 台北市信義區松高路11號16樓 16F., No.11, Songgao Rd., Xinyi Dist., Taipei 110, Taiwan	02-27223699	02-27221768	<a href="http://www.chinatrustsec.com.tw/">http://www.chinatrustsec.com.tw/</a>
P09A	永豐金證券股份有限公司 SinoPac Securities Corp.	100 台北市中正重慶南路一段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 Corp.	100台北市重慶南路1段2號8樓 8F, 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894228	<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 Polaris MF Global 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 Futures Corp.	106 台北市敦化南路二段333號19樓部分 19F., No.333, Sec. 2, Dunhua S. Rd., Da'an Dist., Taipei City 106, Taiwan	02-23269899	02-27087967	<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 Futures Co., Ltd.	100台北市襄陽路9號3樓及3樓之1 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<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台北市忠孝東路4段563號4樓 4F,563, Sec.4, Chung Hsiao E. Rd., Taipei 110, Taiwan	02-87878080	02-27642513	<a href="http://www.megafutures.com.tw/">http://www.megafutures.com.tw/</a>
A021	凱基期貨股份有限公司 KGI Futures Co., Ltd.	100台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 100, Taiwan	02-23619889	02-23713146	<a href="http://www.kgifutures.com.tw/">http://www.kgifutures.com.tw/</a>
A022	大華期貨股份有限公司 Grand Cathay Futures Corp.	100台北市忠孝西路1段100號13樓 13F, 100, Sec.1, Chung Hsiao W. Rd., Taipei 100, Taiwan	02-23891888	02-23885300	<a href="http://www.gcfc.com.tw">http://www.gcfc.com.tw</a>
A024	國際大通證券投資顧問股份 有限公司 International Da-tong Securities Investment Consultant	104台北市中山北路1段145號9樓、10樓 9F, 145, Sec.1, Jhongshan N. Rd., Taipei 104, Taiwan	02-25678502	02-25679794	建置中
A025	永豐金證券股份有限公司 SinoPac Securities Corp.	100台北市重慶南路1段2號22樓 22F, 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23123866	02-23165233	<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	02-55825187	建置中
A027	萬寶證券投資顧問股份有限公司 Marbo Securities Consultant Co., Ltd.	104台北市松江路87號4樓 4F, 87, Songjiang. Rd., Taipei 104, Taiwan	02-66083998	02-66088833	<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樓及100號26樓之1 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>

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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 台北市八德路2段232號9樓 9F, 232, Sec.2, Bade Rd., Taipei, Taiwan,	02-27315444	02-27318155	建置中
A032	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, Qingdao 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	建置中
A036	永誠國際證券投資顧問股份有限公司 Yong Cheng Securities Investment Consultant	104 台北市中山北路1段145號6樓 6F, 145, Sec.1, Zhongshan N. Rd., Taipei 104, Taiwan	02-25611115	02-25611084	<a href="http://www.88598.com.tw/">http://www.88598.com.tw/</a>
A038	新加坡商明富環球期貨股份有限公司台灣分公司 MF Global Singapore Pte. Taiwan Branch	105 台北市敦化南路1段1號6樓A室 6F, 1, Sec.1, Tunhwa S. Rd., Taipei 105, Taiwan	02-25798118	02-25704868	<a href="http://www.mfglobal.com/Pages/default.aspx">http://www.mfglobal.com/Pages/default.aspx</a>
A039	君安證券投資顧問股份有限公司 Richers securities investment consulting co.Ltd.	104 臺北市松江路318號11樓之3 11F-3, No.318, Songjiang Rd., Zhongshan Dist., Taipei 104, Taiwan	02-25115878	02-25116167	<a href="http://www.richers.com.tw/">http://www.richers.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.30-2 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 Invesment 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	02-23948282	02-23413451	建置中
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	106 台北市大安區安和路一段27號6樓、29號7樓部分 6F., No.27, Sec. 1, Anhe Rd., Da'an Dist., Taipei 106, Taiwan	02-25379722	02-25635713	<a href="http://www.ftsi.com.tw/">http://www.ftsi.com.tw/</a>
A048	台灣工銀證券投資顧問股份有限公司 IBT Securities Co., Ltd.	114 臺北市內湖區堤頂大道二段99號6樓 6F., No.99, Sec. 2, Tiding Blvd., Neihu Dist., Taipei 114, Taiwan	02-26560780	02-26561114	<a href="http://www.ibts.com.tw">http://www.ibts.com.tw</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 Polaris MF Global 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 台北市博愛路35號8樓 8F, 35, Boai Rd., Taipei 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 Corp.	100 台北市重慶南路1段2號8樓 8F, 2, Sec.1, Chung Ching S. Rd., Taipei 100, Taiwan	02-23811799	02-23894228	<a href="http://www.spf.com.tw">http://www.spf.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 )
M022	富邦期貨股份有限公司 Fubon Futures Co., Ltd.	100台北市襄陽路9號3樓 3F, 9, Hsiang Yang Rd., Taipei 100, Taiwan	02-23882626	02-23718064	<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>
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台北市仁愛路4段296號18樓 18F, 296, Sec.4, Jen-ai Rd., Taipei, Taiwan	02-27008399	02-23269633	<a href="http://www.cathaysite.com.tw/">http://www.cathaysite.com.tw/</a>
T004	元大實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.yuantafunds.com/">http://www.yuantafunds.com/</a>
T006	寶富期貨信託股份有限公司 MF Global Futures Trust Co., Ltd.	106台北市敦化南路2段65號12樓 12F, 65, Sec.2, Tunhwa S.Rd., Taipei 106, Taiwan	02-27080101	02-27845959	<a href="http://www.mfte.com.tw">http://www.mfte.com.tw</a>
T007	富邦證券投資信託股份有限公司 Fubon Asset Management Co., Ltd.	106台北市敦化南路1段108號8樓 8F, 108, Sec.1, Tunhwa S.Rd., Taipei 106, Taiwan	02-87716688	02-66000130	<a href="http://www.fubon.com/">http://www.fubon.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	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>
T012	華頓證券投資信託股份有限公司 Paradigm Asset Management Co., Ltd.	104 台北市民權東路3段6號17樓及4號17樓 17F., No.6, Sec. 3, Minquan E. Rd., Zhongshan Dist., Taipei 104, Taiwan	02-21756969	02-21756866	<a href="http://www.paradigm-fund.com/">http://www.paradigm-fund.com/</a>

註：以上資料截止日為101.12.31

Note: The above information is as of Dec. 31, 2012



# 101 年報

## Annual Report 2012

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中華民國期貨業商業同業公會 2012 年年報

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