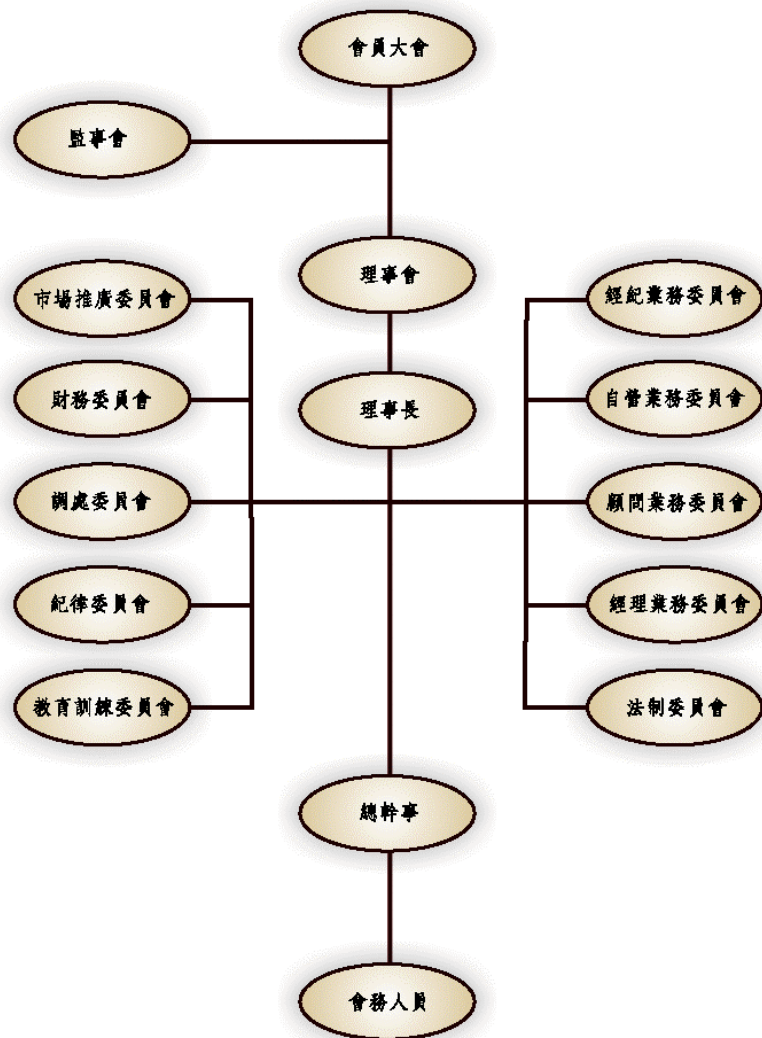




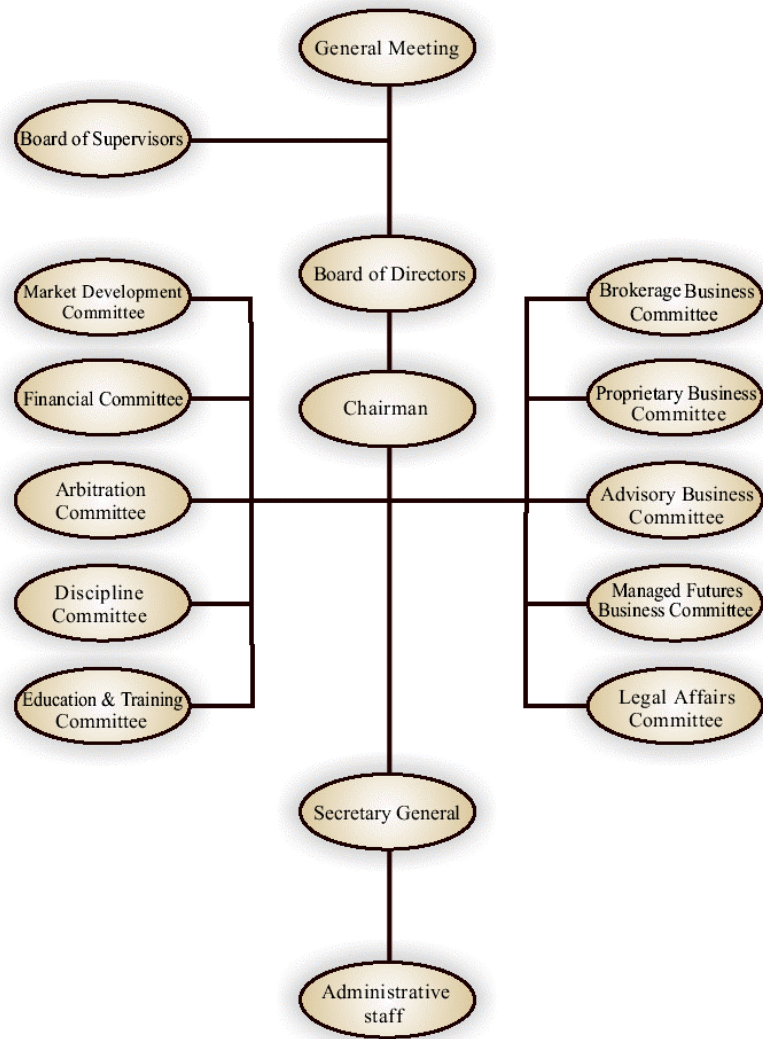
●、公會組織系統

一、組織系統圖



C. Structure of TFA

I. Organization Chart





二、理、監事及顧問名錄

理事名錄

職別	姓名	任職公司	職稱
理事長	王中愷	復華期貨股份有限公司	總經理
理事	朱士廷	中信期貨經紀股份有限公司	董事長
理事	李文柱	統一期貨股份有限公司	總經理
理事	李文興	元大京華期貨股份有限公司	總經理
理事	李敬明	金鼎期貨經紀股份有限公司	總經理
理事	鄭元忠	大華期貨經紀股份有限公司	副董事長
理事	柳健昌	元富期貨股份有限公司	副總經理
理事	韋月桂	聯邦期貨股份有限公司	總經理
理事	孫天山	群益期貨股份有限公司	董事長
理事	徐志文	寶來瑞富期貨股份有限公司	總經理
理事	張恆夫	福邦期貨股份有限公司	董事
理事	張雅斐	合証期貨經紀股份有限公司	總經理
理事	莊遵嚴	富邦期貨股份有限公司	總經理
理事	許人祥	華南期貨經紀股份有限公司	副總經理
理事	許瑞立	安泰證券股份有限公司	總經理
理事	許瑞茂	台灣工銀證券股份有限公司	總經理
理事	黃正雄	日盛期貨股份有限公司	副董事長
理事	黃重文	建華期貨股份有限公司	董事長
理事	黃 睿	新竹期貨經紀股份有限公司	總經理
理事	楊金源	合育期貨經紀股份有限公司	董事長
理事	楊惠倫	一銀證券股份有限公司	協理
理事	詹益育	世華期貨股份有限公司	經理
理事	鄧序鵬	康和期貨股份有限公司	董事長
理事	蔡銘源	華南永昌證券股份有限公司	主任秘書
理事	鄭文憲	大和國泰證券股份有限公司	副總經理
理事	鄭質榮	新加坡商華大期貨經紀股份有限公司	總經理
理事	龐以雍	中信證券股份有限公司	顧問

II. Directors, Supervisors and Consultants

Directors

Position	Name	Company	Title
Chairman	Steve Wang	Fuh-Hwa Futures Co., Ltd.	President
Director	Stanley Chu	KGI Futures Co., Ltd.	Chairman
Director	Lee Wen Chu	President Futures Corp.	President
Director	Wen-Shing Lee	Yuanta Core Pacific Futures Co., Ltd.	President
Director	Jimmy Lee	Taiwan International Futures Corp.	President
Director	Michael Hsieh	Grand Cathay Futures Corp.	Vice Chairman
Director	Liu Chien Chang	Master Link Futures Corp.	Vice President
Director	Jennifer Wei	Unionbank Futures Corp.	President
Director	Tim Sun	Capital Futures Corp.	Chairman
Director	James Hsu	Polaris Refco Futures Co., Ltd.	President
Director	Chang Hung Fu	Gradg Fortune Futures Co., Ltd.	Director
Director	Phoebe Chang	Taiwan Futures Co., Ltd.	President
Director	Frank Juang	Fubon Futures Co., Ltd.	President
Director	Mark Hsu	Huanan Futures Co., Ltd.	Vice President
Director	Jui Li Hsu	Antay Securities Co., Ltd.	President
Director	Morris J. Hsu	IBT Securities Co., Ltd.	President
Director	Thomas Huang	Jih Sun Futures Co., Ltd.	Vice Chairman
Director	Chung-Wen Huang	SinoPac Futures Corp.	Chairman
Director	Ray R. Hwang	Hsinchu Futures Corp.	President
Director	Charles Yang	Tai Yu Futures Corporation	Chairman
Director	Hui Lun Yang	First Taisec Securities	Assistant Vice President
Director	Ian Chan	Seaward Futures Corp.	Manager
Director	Paul Teng	Concord Futures Co., Ltd.	Chairman
Director	Ming Yuan Tsai	HuaNan Securities Co., Ltd.	Secretary to Acc Manager
Director	Wen-Hsien Cheng	Daiwa Securities Smbc-catay Co., Ltd.	Vice President
Director	Vincent Cheng	UOB Bullion&Futures Ltd., Taiwan Branch	President
Director	I-Yung Mi	KGI Securities Co., Ltd.	Consultant



監事名錄

職別	姓名	任職公司	職稱
監事會召集人	盧立正	建華期貨股份有限公司	總經理
監事	王沖青	美商愛德曼期貨經紀股份有限公司	總經理
監事	任俊行	大華期貨經紀股份有限公司	總經理
監事	江璧松	國票證券股份有限公司	副總經理
監事	李資鎔	如意期貨經紀股份有限公司	總經理
監事	陳添富	永全證券股份有限公司	副董事長
監事	謝志忠	日商聯貿期貨經紀股份有限公司	副總經理
監事	葉一豐	新加坡南豐氏期貨經紀股份有限公司	總經理
監事	蔡榮村	群益證券股份有限公司	資深副總

顧問名錄

職別	姓名	任職公司	職稱
顧問	張永京	德華國際資產管理公司	總經理
顧問	謝世義	金鼎證券股份有限公司	執行董事

以上資料至九十二年十二月三十一日止，依姓名筆畫排序。



Supervisors

Position	Name	Company	Title
Convener	Maurice Lu	SinoPac Futures Corp.	President
Supervisor	Philip K.C. Wang	A.D.M. Investor Service, Inc. Taiwan Branch	President
Supervisor	Eric Jen	Grand Cathay Futures Corp.	President
Supervisor	Yun Shung Chiang	IBU, Securities Co., Ltd.	Vice President
Supervisor	Celia Lee	Fortune Futures Co., Ltd.	President
Supervisor	Tien Fu Chen	Yung Chuan Securities Co., Ltd.	Vice Chairman
Supervisor	Ricky Hsieh	Nihon Unicom Corp. Taipei Branch	Vice President
Supervisor	Eric Yeh	Man Financial Inc. Taiwan Branch	President
Supervisor	James Tsai	Capital Securities Corp.	Senior Vice President

Consultants

Position	Name	Company	Title
Consultant	Eugene Y. Cheng	CHINA IAM Corporation	President
Consultant	Henry Hsieh	Taiwan International Securities Corp.	Executive Director

Note: The above information is as of Dec. 31, 2003.





三、組織與執掌

(一)、會員大會：一九四位會員代表(統計至92.12.31止)

★成員：由本會會員公司指派代表組成，其中席次分配如下：

類別	席次	備註
專營期貨經紀業務之公司	5	同一會員所派之會員代表，最多以七人為限。
兼營期貨經紀業務之公司	2	
經營期貨交易輔助業務之公司	2	
經營期貨自營業務之公司	2	
經營期貨經理業務之公司	2	
經營期貨顧問業務之公司	1	

會員公司計有一三二家：

會員公司	家數
專營期貨商	24
兼營期貨商	17
期貨交易輔助人	84
國外複委託商	5
期貨自營業務	1
期貨經理業務	1

★執掌：為本會最高決策機關。

★職權：

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

III. Organization & Responsibilities

(a) General Meeting : A total of 194 representatives as of Dec. 31, 2003.

- ★ Consists of representatives appointed by member companies, where seats are allocated as follows:

Business Category	Seats	Notes
Futures Brokerage Merchants	5	A member company can only appoint a maximum of 7 representatives.
Concurrent FCMs	2	
Futures Trading Assistants	2	
Futures Proprietary Merchants	2	
Managed Futures Enterprise	2	
Futures Advisory Enterprise	1	

There are a total of 132 member companies :

Member Company	Number
Futures Brokerage Merchants	24
Concurrent FCMs	17
Futures Trading Assistants	84
Re-consigning FCMs	5
Futures Proprietary Merchants	1
Managed Futures Enterprise	1

- ★ Position : The highest policy-making authority in TFA.

- ★ Duties :

1. To elect or dismiss directors and supervisors.
2. To establish and revise the Charter of TFA.
3. To approve the annual working schedule, budget of expenditures, actual expenditures, and other major business plans.
4. To review issues proposed by the Board of Directors, supervisors and member companies.
5. To discipline member companies and their representatives.
6. To dispose of properties of TFA.
7. To make decisions regarding liquidation of member company's properties, the appointment of liquidators, and other matters related to liquidation.
8. To review and approve the dismissal of directors and supervisors.
9. To approve the collection of membership, annual and business fees from member companies as well as donations to TFA.
10. To review other issues concerning the rights and interests of member companies



(二)、理事會

★成員：廿七人，由會員代表選舉之。

★執掌：理事會為常設機構，亦是本會決策最高執行單位。並由理事互選其中一人為理事長，對外代表本會。

★職權：

1. 召開會員代表大會，並執行其決議。
2. 選舉、罷免理事長。
3. 通過會員入會、退會及註銷會員代表、會員會籍。
4. 編擬年度工作計畫綱要、經費預算/決算及事業計畫。
5. 會務工作人員及顧問之遴聘、升遷、獎懲及解聘。
6. 辦理監事移送執行之案件。
7. 議決理事、理事長之辭職。
8. 執行拒繳會費之處分。
9. 執行法令及章程所規定事項。
10. 其他依職責應辦之事項。

(三)、監事會

★成員：九人，由會員代表選舉之。

★執掌：為本會監察單位，並由監事互選其中一人為監事會召集人。

★職權：

1. 監察理事會執行會員大會決議案。
2. 監察理事會會務業務執行狀況。
3. 監察理事會財務收支情形。
4. 審核年度預算/決算，向理事會提出書面審核意見，提報大會通過或追認。
5. 向會員大會提出年度監察報告。
6. 決議監事、常務監事之辭職。

(四)、委員會：設有期貨經紀業務、自營業務、顧問業務、經理業務、法制、市場推廣、紀律、教育訓練、財務、調處等十個委員會。

★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。

(b) Board of Directors

- ★ Consists of 27 directors, elected from representatives of the General Meeting.
- ★ Holds the highest executive power in TFA. The Chairman, elected from the 27 directors, represents TFA to all external parties.
- ★ Duties :
 1. To call for the General Meeting and execute resolutions passed by General Meeting.
 2. To elect or dismiss the Chairman.
 3. To approve the application and cancellation of registration for member companies, and the discharge of representatives.
 4. To define the annual working schedule, budget of expenditures, actual expenditures, and other major business plans.
 5. To appoint, relieve, promote, reward, or punish administrative staff and consultants.
 6. To implement decisions made by the supervisors.
 7. To review and approve the resignation of directors and Chairman.
 8. To apply penalties where member companies fail to pay membership fees.
 9. To carry out other tasks as specified in the legislation and the Charter of TFA.
 10. To perform other obligations/tasks as required/assigned.

(c) Board of Supervisors

- ★ Consists of 9 supervisors, elected from representatives of the General Meeting.
- ★ Oversees the operations of TFA, with 1 convener elected from the 9 supervisors.
- ★ Duties :
 1. To ensure that Board of Directors execute resolutions passed by General Meeting.
 2. To ensure the timely execution of administrative tasks by the Board of Directors.
 3. To oversee the financial situation of the Board of Directors.
 4. To audit and approve TFA's annual budget of expenditures and actual expenditures, report in writing to the Board of Directors the audit results, and report to the General Meeting for final approval.
 5. To present an annual report on its operations to the General Meeting.
 6. To review and approve the resignation of supervisors and standby supervisors.
 7. To ensure member companies fulfill their obligations.
 8. To perform other obligations/tasks as required/assigned.

(d) Committees

- ★ There are 10 committees with each committee responsible for a specific area of business; including brokerage, proprietary, advisory, managed futures, legal affairs, market development, discipline, education & training, financial and arbitration.
- ★ The convener of each committee is appointed by the Chairman who can be professionals from the industry, academics or government agency, depending on the situation.
- ★ Each of the 10 committees is responsible for meeting the particular needs of the correspondent market segment, and should actively push for business



茲就各委員會之職掌分述如下：

1. 經紀業務委員會

★職 掌：

- (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) 編擬年度工作計畫。
- (4) 其他有關期貨經紀業務之處理事項。

2. 自營業務委員會

★職 掌：

- (1) 有關期貨自營業務之發展、聯繫、協調、改進事項。
- (2) 編擬年度工作計畫。
- (3) 其他有關期貨自營業務之處理事項。

3. 顧問業務委員會

★職 掌：

- (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) 編擬年度工作計畫。
- (4) 其他有關期貨顧問業務之處理事項。

4. 經理業務委員會

★職 掌：

- (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) 編擬年度工作計畫。
- (4) 其他有關期貨經理業務之處理事項。

5. 法制委員會

★職 掌：

- (1) 有關各項業務之相關法令、規章之蒐集與整理事項。
- (2) 有關新種業務之相關法令、規章之研究與分析事項。
- (3) 有關會員及投資人相關規章、契約之諮詢與協助事項。
- (4) 有關國內外相關行業之法令、規章、契約之蒐集與比較事項。
- (5) 協助其他各委員會有關法制事宜與專案事項之研究。

Duties of each committee are as follows :

1. Brokerage Business Committee

★Duties :

- (1) To develop, coordinate, and improve brokerage-related businesses.
- (2) To provide relevant services to futures brokerage customers.
- (3) To define the committee's annual working schedule.
- (4) To carry out other brokerage related tasks.

2. Proprietary Business Committee

★Duties :

- (1) To develop, coordinate, and improve proprietary-related businesses.
- (2) To define the committee's annual working schedule.
- (3) To complete other proprietary related tasks.

3. Advisory Business Committee

★Duties :

- (1) To develop, coordinate, and improve advisory-related businesses.
- (2) To provide relevant services to futures advisory clients.
- (3) To define the committee's annual working schedule.
- (4) To carry out other advisory-related businesses.

4. Managed Futures Committee

★Duties :

- (1) To develop, coordinate, and improve managed futures-related businesses.
- (2) To provide relevant services to managed futures clients.
- (3) To define the committee's annual working schedule.
- (4) To handle other managed futures-related issues.

5. Legal Affairs Committee

★Duties :

- (1) To gather and organize futures-related regulations and policies.
- (2) To conduct research and analysis on the development of regulations and policies for new futures businesses.
- (3) To assist members or customers with contractual or legal matters.
- (4) To make comparisons between different countries with respect to futures regulations and contract design.
- (5) To assist other committees in the research of legal affairs and special projects.



6. 市場推廣委員會

★職掌：

- (1) 有關市場推廣方案之研議、擬訂及執行。
- (2) 有關國內外活動聯繫、協調及交流事項。
- (3) 其他有關市場推廣及公共關係之處理事項。

7. 紀律委員會

★職掌：

- (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。

8. 教育訓練委員會

★職掌：

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

9. 財務委員會

★職掌：

- (1) 有關會費、事業費、經費籌措、管理與運用事項。
- (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。

10. 調處委員會

★職掌：

- (1) 調處會員間因期貨交易所生之爭議。
- (2) 調處會員與投資人，因期貨交易所生之爭議。
- (3) 調處會員、期貨交易所、期貨結算機構，因期貨交易或結算所生之爭議。

6. Market Development Committee

★Duties :

- (1) To create and implement market development proposals.
- (2) To arrange promotional activities, establish connection, and communicate with both domestic and overseas institutions.
- (3) To carry out other duties associated with market development and public relation.

7. Discipline Committee

★Duties :

- (1) To formulate and implement disciplinary guidelines for member companies, and ensure full compliance of these rules.
- (2) To define work ethics and moral for member companies.
- (3) To deal with other discipline related issues.

8. Education & Training Committee

★Duties :

- (1) To provide job training for employees at member companies.
- (2) To organize visits, seminars, speeches as well as entertainment and sports activities.
- (3) To produce a variety of futures publications.
- (4) To boost the public awareness of futures market via intensive advertising and promotion.
- (5) To provide other education and training services including futures assessments and the issuance of certificate.

9. Financial Committee

★Duties :

- (1) To draw plans on the collection, management and allocation of annual fees & venture capital.
- (2) To perform financial auditing related tasks.
- (3) To prepare budgets of expenditures and actual expenditures.
- (4) To deal with other financial issues.

10. Arbitration Committee

★Duties :

- (1) To mitigate conflicts between member companies regarding futures trading.
- (2) To resolve disputes on futures trading between member companies and customers.
- (3) To resolve arguments regarding futures trading between member companies, futures exchange, and the clearing house.