

# 中国期货业协会 2012 年報

Annual Report of China Futures Association 2012

自律 服务 传导



中国期货业协会  
China Futures Association



# 中国期货业协会年报2012

*Annual Report of China Futures Association 2012*

□  
会长  
致辞  
□

**Chairman  
Address**

P A G E

**0 4**

壹

| 中国期货业协会简介 |  
Introduction to China Futures  
Association

P A G E

**0 6**

贰

| 2012 年协会重点工作 |  
Key Tasks of China Futures  
Association in 2012

P A G E

**3 4**



# 目 录

# CONTENTS

叁

| 中国期货业协会现行自律规则目录 |

Directory of Current Self-regulatory Rules of China Futures Association

P A G E

5 4

肆

| 2012 年协会大事记 |

Chronicle of events of China Futures Association (CFA) in 2012

P A G E

5 8

伍

| 会员名录 |

Membership Directory

P A G E

9 2

# 会长致辞

---



2012 年，在中国证监会的正确领导下，中国期货市场整体运行平稳，产品和业务创新有序推进，法规制度体系进一步完善，服务实体经济的能力显著提升，改革发展取得了新的突破。展望 2013 年，我国期货市场仍处于大有可为的重要战略机遇期，创新发展的空间、潜力非常广阔。

作为行业自律组织，协会将深入贯彻落实党的十八大精神，紧紧围绕我国实体经济发展的内在需求，切实依靠和凝聚行业智慧，积极提升自律、服务和传导水平，以推进期货市场改革创新为目标，着力完善创新发展的内在机制，着力夯实创新发展的基础保障，着力优化创新发展的外部环境，在建设多层次衍生品市场体系进程中做出更加积极的贡献。

二〇一三年三月

---

A stylized handwritten signature in black ink, consisting of two main parts that read '胡志强' (Hu Zhiqiang).

| 中国期货业协会会长 |

# Chairman Address

---

In 2012, owing to the correct leadership of China Securities Regulatory Commission, China's futures market witnessed a stable operation on the whole, innovation of products and services advanced in an orderly manner, laws and regulations system was improved further, the ability to serve the real economy was improved greatly, and new breakthroughs were made in the reform and development. Looking forward to 2013, China's futures market is still in a promising period of important strategic opportunities and there is vast scope and enormous potential for innovative development.

China Futures Association, as a self-regulatory

futures organization, will thoroughly implement the guiding principles generated in the 18<sup>th</sup> National Congress of the Communist Party of China, closely link to the internal demand of Chinese real economy development, rely on and condense industrial wisdom effectively to improve the level of self-regulation, service and guiding, aim to promote reform and innovation of futures market and concentrate our efforts on improving internal mechanism for innovative development, enhancing fundamental security for innovative development, and optimizing external environment for innovative development, to make more active contributions to the establishment of multi-level derivatives market system.

March 3, 2013

---

*Zhichao Liu*

| Signed by CFA Chairman |



# 中国期货业协会简介

Introduction to China Futures  
Association

---



**中国期货业协会（以下简称协会）**成立于2000年12月29日，是根据《社会团体登记管理条例》和《期货交易管理条例》成立的全国期货业自律性组织，是非营利性社会团体法人，接受业务主管单位中国证监会和社团登记管理机关国家民政部的业务指导和监督管理。协会注册地为北京。

会员大会是协会的最高权力机构。理事会是会员大会闭会期间协会的常设权力机构，对会员大会负责。理事会下设纪律、申诉、信息技术、研究发展、期货分析师5个专业委员会。协会设会长一名，专职副会长若干名，兼职副会长若干名，秘书长一名，实行会长负责制。协会常设会员部、培训部、研究部、合规调查部、资格考试与认证部、信息技术部、投资者教育部、党委办公室（纪检办）、办公室9个办事机构。

截至2012年底，协会共有会员198家，其中期货公司会员160家，期货交易所特别会员4家，地方协会联系会员34家。

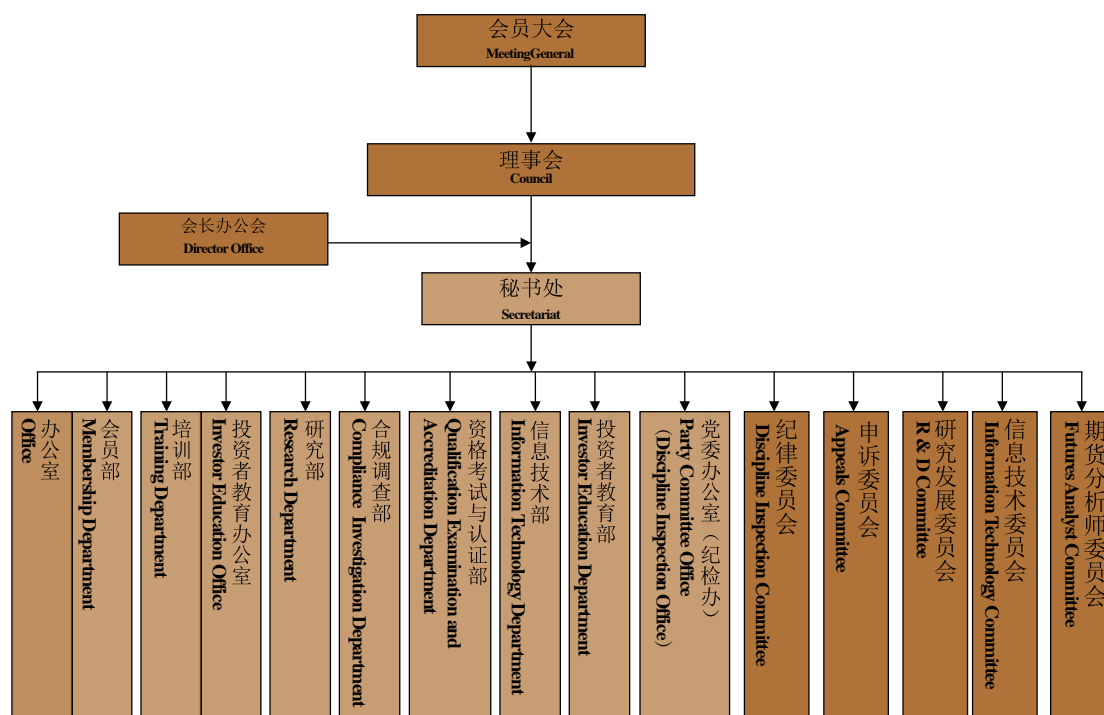
**China Futures Association** (hereinafter referred to as “CFA”), a national self-disciplinary organization of futures industry founded on December 29, 2000 according to Regulations for Registration and Management of Social Organizations and Regulation on the Administration of Futures Trading, is a nonprofit social entity organization under the supervision and management of China Securities Regulatory Commission (CSRC), the business supervision unit, and Ministry of Civil Affairs, the administrative authority of organization registration, with the registration place in Beijing.

General Meeting is the highest authority of CFA, while the Council refers to the standing authority of CFA during intersession of General Meeting, which is responsible for General Meeting. The Council is composed of 5 professional committees, namely discipline, declaration, information technology, research & development and futures analyst. CFA has one president, several full-time and part-time vice-presidents, and one general secretary, with the system of president responsible adopted. CFA has 9 standing working bodies, listed as Membership Department, Training Department, Research Department, Compliance Investigation Department, Qualification Exam and Authentication Department, Information Technology Department, Investor Education Department, CPC Committee (Discipline Inspection Office) and Office.

By the end of 2012, CFA owns 198 members, including 160 members of futures companies, 4 special members of futures exchanges and 34 affiliate members of local associations.

## 组织结构图

### Organizational Structure Chart



## 协会宗旨

### Missions of CFA

在国家对期货业实行集中统一监督管理的前提下，进行期货业自律管理；发挥政府与期货业间的桥梁和纽带作用，为会员服务，维护会员的合法权益；坚持期货市场的公开、公平、公正，维护期货业的正当竞争秩序，保护投资者利益，推动期货市场的规范发展。

Under the premise of centralized and unified supervision and management on futures industry by the country, CFA aims at realizing self-regulation management on futures industry; exerting the bridge and link roles between government and futures industry, to serve the members and safeguard the legitimate interest of them; sticking to the openness, fairness and justice of futures market, to keep just competition order of futures industry, protect investor's interests and promote the standardized development of futures market.

## 协会职能

### Functions of CFA

- 教育和组织会员及期货从业人员遵守期货法律法规和政策，制定行业自律性规则，建立健全期货业诚信评价制度，进行诚信监督。
- 负责期货从业人员资格的认定、管理以及撤销工作，负责组织期货从业资格考试、期货公司高级管理人员资质测试及行政法规、中国证监会规范性文件授权的其他专业资格胜任能力考试。
- 监督、检查会员和期货从业人员的执业行为，受理对会员和期货从业人员的举报、投诉并进行调查处理，对违反本章程及自律规则的会员和期货从业人员给予纪律惩戒；向中国证监会反映和报告会员和期货从业人员执业状况，为期货监管工作提供意见和建议。
- 制定期货业行为准则、业务规范，参与开展行业资信评级，参与拟订与期货相关的行业和技术标准。
- 受理客户与期货业务有关的投诉，对会员之间、会员与客户之间发生的纠纷进行调解。
- 为会员服务，依法维护会员的合法权益，积极向中国证监会及国家有关部门反映会员在经营活动中的问题、建议和要求。
- 制定并实施期货业人才发展战略，加强期货业人才队伍建设，对期货从业人员进行持续教育和业务培训，提高期货从业人员的业务技能和职业道德水平。
- 设立专项基金，为期货业人才培养、投资者教育或其他特定事业提供资金支持。
- 负责行业信息安全保障工作的自律性组织协调，提高行业信息安全保障和信息技术水平。
- 收集、整理期货信息，开展会员间的业务交流，推动会员按现代金融企业要求完善法人治理结构和内控机制，促进业务创新，为会员创造更大市场空间和发展机会。
- 组织会员对期货业的发展进行研究，参与有关期货业规范、发展的政策论证，对相关方针政策、法律法规提出建议。
- 加强与新闻媒体的沟通与联系，广泛开展期货市场宣传和投资者教育，为行业发展创造良好的环境。
- 表彰、奖励行业内有突出贡献的会员和个人，组织开展业务竞赛和文化活动，加强会员间沟通与交流，培育健康向上的行业文化。
- 开展期货业的国际交流与合作，代表中国期货业加入国际组织，推动相关资质互认，对期货涉外业务进行自律性规范与管理。
- 法律、行政法规规定以及中国证监会赋予的其他职责。
- Educate and organize members and futures employees to abide by laws, regulations and policies of futures industry, formulate self-regulation rules for the industry, establish and perfect honesty evaluation system of futures industry and carry out honesty supervision.
- Be responsible for accrediting, managing and revoking the qualification of futures employees, organizing futures qualification exam and senior manager qualification exam of futures companies, authorizing regulatory documents of CSRC and organizing competence exam of other professional qualifications.
- Supervise and inspect the practices of members and futures employees, accept and deal with the report and complaint of members and futures employees through investigation, and perform disciplinary punishment on those violating the regulations and self-regulation rules; reflect and report the practices of members and futures employees to CSRC and offer opinions and suggestions for futures supervision and management.
- Formulate code of conduct and standard of practice for futures industry, participate in credit rating of the industry and join in the preparation of industrial and technical standards concerning futures.
- Accept the complaints of customers regarding futures business and mediate the disputes between members or member and customers.
- Serve the members, safeguard the legitimate interest of members, and actively reflect the problems, suggestions and requirements of members during business activities to CSRC and national department concerned.
- Formulate and implement talent development strategy of futures industry, strengthen talent team construction of futures industry, perform continuous education and business training on futures employees and improve their vocational skills and occupational ethics level.
- Establish special fund and provide financial support for talent training, investor education or other special careers of futures industry.
- Be responsible for self-regulation organization and coordination of industrial information safety control and improving industrial information safety control and information technology level.
- Collect and manage futures information, carry out business exchange among members, promote members to perfect corporate governance structure and internal control mechanism as required by modern financial enterprises and encourage business innovation, thus creating larger market space and development opportunity for members.
- Organize members to study the development of futures industry, join in policy demonstration concerning standards and development of futures industry and put forward suggestions for relevant policies, laws and regulations.
- Strengthen the communication and contact with news media, hold futures market publicity and investor education in large scale and create favorable environment for industry development.
- Honor and award the members and individuals with outstanding contributions in the industry, organize business competition and cultural activity, strengthen the communication and exchange among members and cultivate healthy and progressive industrial culture.
- Carry out international exchange and cooperation of futures industry, join in international organization in name of China's futures industry, promote relevant qualification authentication, and perform self-regulation normalization and management on foreign futures business.
- Other responsibilities provided by laws and administrative regulations and those granted by CSRC.

## 协会领导简介 Profiles of leaders



### 刘志超 会长 —Liu Zhichao President

金融学硕士，高级经济师。曾在国务院证券委员会办公室、中国证监会办公室工作，历任中国证监会人事局副局长（主持工作）、中国证监会天津证管办副主任、中国证监会期货部副主任（正局级）等职务，现任中国期货业协会会长。

Master of finance and senior economist. Once worked in office of Securities Commission of the State Council and office of CSRC; have served successively as Vice-director of CSRC Personnel Department (in charge of presiding over), Vice-director of CSRC Tianjin Securities Management Office, Vice-director of CSRC Futures Department (bureau-level cadre), etc.; and now served as the President of China Futures Association.



### 侯苏庆 副会长 —Hou Suqing Vice-president

经济学博士，高级经济师。历任河南省新乡市制药厂厂长，新乡开发区管委会常务副主任，河南省经济体制改革委员会副主任，中国证监会河南监管局局长，现任中国期货业协会专职副会长。

Ph.D. Economics and senior economist. Have served successively as the Manager of Henan Xinxiang Pharmaceutical Factory, Deputy Managing Director of Xinxiang Development Zone Management Committee, Vice-director of Henan Provincial Commission of Restructuring the Economic System, and Director of CSRC Henan Supervision Bureau; and now served as full-time vice-president of China Futures Association.





## 彭 刚 副会长

### — Peng Gang Vice-president

经济学硕士，高级经济师。历任深圳有色金属期货联合交易所总裁助理，深圳金牛投资（集团）有限公司副总裁（期间兼任投资部总经理、多年证券公司董事、金牛期货公司副董事长及金牛投资咨询公司董事长兼总经理）、常务副总裁，中国期货业协会副会长兼秘书长等职务，现任中国期货业协会专职副会长。

Master of economics and senior economist. Have served successively as Assistant President of Shenzhen Stock Exchange of Nonferrous Metals Futures, Vice-president and Executive Vice President of Shenzhen Gold Bull Investment (Group) Co., Ltd. (part-time General Manager of Investment Department, director of security company for many years, vice-president of Shenzhen Gold Bull Futures Co., Ltd., President and General Manager of Gold Bull Investment and Consultation Co., Ltd.), Vice-president and General secretary of China Futures Association; and now served as full-time vice-president of China Futures Association.



## 李 强 副会长兼秘书长

### — Li Qiang Vice-president and General Secretary

经济学博士。历任东北财经大学贸易经济教研室主任、东北财经大学教务处处长、深圳中国国际期货公司总经理、东北财经大学校长助理、中国国际期货集团公司执行总裁、亿城集团股份有限公司（深交所上市公司）董事长兼总经理等职务，现任中国期货业协会专职副会长兼秘书长。

Ph.D. Economics. Have served successively as the Head of the Teaching and Research Section and Chief of Educational Administration Division of Dongbei University of Finance and Economics, General Manager of China International Futures Co., Ltd., Shenzhen Branch, Assistant to the President of Dongbei University of Finance and Economics, CEO of China International Futures Co., Ltd., President and General Manager of Yeland Group Co., Ltd. (listed company of Shenzhen Stock Exchange), etc.; and now served as full-time Vice-president and General Secretary of China Futures Association.



## 张宜生 非会员理事

### — Zhang Yisheng Nonmember Director

高级经济师。曾兼任中国有色金属工业总公司期货业务管理办公室主任、再生资源管理办公室主任，新华财经信息咨询公司董事长，深圳有色金属交易所秘书长，深圳实达期货公司、上海东方期货公司、上海金鹏期货公司、天津鑫国联期货公司董事长，现为有色金属进出口总公司法人代表、中国期货业协会理事、研究发展委员会主任委员，上海期货交易所理事。

Senior economist. Have served as part-time Director of Futures Business Management Office and Director of Renewable Resources Management Office of China Nonferrous Metals Industry Headoffice, President of Xinhua Finance Information Consultant Co., Ltd., General Secretary of Shenzhen Nonferrous Metals Exchange, and President of Shenzhen Star Futures Co., Ltd., Shanghai Dongfang Futures Co., Ltd., Shanghai Jinpeng Futures Co., Ltd. and Tianjin Xingluolian Futures Co., Ltd.; and now served as legal representative of China Nonferrous Import and Export Company (CNIEC), Director of China Futures Association, Chairman of Commission on Research and Development and Director of Shanghai Futures Exchange.

## 协会领导简介 Profiles of leaders



### 叶春和 兼职副会长 Ye Chunhe Part-time Vice-president

博士。历任中国证监会江苏监管局党委委员、副局长，重庆监管局党委委员、局长，现任上海期货交易所党委委员、副总经理。

Doctor. Have served successively as member of CPC Committee and Deputy Director General of CSRC Jiangsu Supervision Bureau, and member of CPC Committee and Director General of Chongqing Supervision Bureau; and now served as member of CPC Committee and Vice-general Manager of Shanghai Futures Exchange.



### 张邦辉 兼职副会长 Zhang Banghui Part-time Vice-president

经济学博士。历任中国证监会期货部副处长、处长、副主任，现任郑州商品交易所党委委员、副总经理，中国期货业协会兼职副会长。

Ph.D. Economics. Have served successively as Deputy Director General, Director General and Vice-director of CSRC Futures Department; and now served as member of CPC Committee and Vice-general Manager of Zhengzhou Commodity Exchange, and part-time Vice-president of China Futures Association.



## 朱丽红 兼职副会长 — Zhu Lihong Part-time Vice-president

博士。历任大连商品交易所研究部副部长、总监、高级总监，规划研究部部长，会员服务部 / 期货学院总监，现任大连商品交易所党委委员、副总经理，经济师。

Doctor. Have served successively as Vice minister, Director and Senior Director of Research Department, Minister of planning and Research Department and Director of Membership Department / Futures Institute; and now served as member of CPC Committee, Vice-general Manager and Economist of Dalian Commodity Exchange.



## 胡 政 兼职副会长 — Hu Zheng Part-time Vice-president

博士。历任上海石油交易所总经理助理，上海商品交易所副总经理，上海期货交易所副总经理。现任中国金融期货交易所副总经理，中国期货业协会兼职副会长、信息技术委员会主任委员。

Doctor. Have served successively as General Manager Assistant of Shanghai Petroleum Exchange Ltd., and Vice-general Manager of Shanghai Commodity Exchange and Shanghai Futures Exchange; and now served as Vice-general Manager of China Financial Futures Exchange, part-time Vice-president of China Futures Association and chairman of IT Committee.



## 施建军 兼职副会长 — Shi Jianjun Part-time Vice-president

高级经济师。现任永安期货股份有限公司总经理、中国期货业协会兼职副会长、浙江期货行业协会会长、大商所理事、上期所交易委员会主任、郑商所交割委员会主任委员。

Senior economist. Now served as General Manager of Yong'an Futures Co., Ltd., part-time Vice-president of China Futures Association, President of The Futures Association of Zhejiang, Director of Dalian Commodity Exchange, Director of Exchange Commission of Shanghai Futures Exchange and Chairman of Delivery Committee of Zhengzhou Commodity Exchange.

## 协会领导简介 Profiles of leaders



### 肖 成 兼职副会长 — Xiao Cheng Part-time Vice-president

经济学博士。现任广发期货公司法定代表人兼总经理，中国期货业协会兼职副会长、广东证券期货业协会副会长、广东省政协第十届委员会委员、上海财经大学等高校兼职教授。

Ph.D. Economics. Now served as legal representative and General Manager of GF Futures Co., Ltd., part-time Vice-president of China Futures Association, Vice-president of Guangdong Securities and Futures Association, member of CPPCC Guangdong the Tenth Committee and part-time professor of Shanghai University of Finance and Economics and other universities.



### 马文胜 兼职副会长 — Ma Wensheng Part-time Vice-president

本科学历。现任新湖期货董事长、中国期货业协会兼职副会长、上期所理事、浙江期货业协会副会长、大商所交易委员会主任、郑商所财务委员会主任、浙江大学 MBA 研究生企业导师。

Undergraduate. Now served as President of New Lake Futures Co., Ltd., part-time Vice-president of China Futures Association, director of Shanghai Futures Exchange, Vice-president of The Futures Association of Zhejiang, Director of Exchange Commission of Dalian Commodity Exchange, Director of Financial Committee of Commodity Exchange and MBA graduate mentor of Zhejiang University.



## 黄 辉 兼职副会长 — Huang Hui Part-time Vice-president

经济学硕士。历任中粮期货郑州营业部经理、运作部经理、副总经理，现任中粮期货总经理、中国期货业协会兼职副会长。

Master of economics. Have served successively as Manager of Zhengzhou Sales Department, and Manager and Vice-general Manager of Operation Department of COFCO Futures Co., Ltd.; and now served as General Manager of COFCO Futures Co., Ltd. and part-time Vice-president of China Futures Association.



## 李晓燕 党委委员、纪委书记 — Li Xiaoyan Member of CPC committee and Secretary of Discipline Inspection Commission

研究生学历。历任国家体改委办公厅副主任科员和主任科员、中国证监会办公室副处长、中国证监会期货监管部综合处副处长、处长等职务，现任中国期货业协会党委委员、纪委书记。

Graduate. Have served successively as Senior Staff Member and Principal Staff Member of State Commission for Restructuring the Economic System, Deputy Director General of CSRC, Deputy Director General and Director General of CSRC Futures Supervision Department and General Office, etc.; and now served as member of CPC committee and Secretary of Discipline Inspection Commission of China Futures Association.



## 孙明福 副秘书长兼办公室、党办（纪检办）主任 — Sun Mingfu Deputy Secretary General and Director of CPC Office (and Discipline Inspection Office)

本科学历。历任农业部管理干部学院人事处副处长、财务处长、人事处长、办公室主任等职务；现任中国期货业协会副秘书长兼办公室、党办（纪检办）主任。

Undergraduate. Have served successively as Deputy Director General of Personnel Department, Director General of Financial Department, Director General of Personnel Department and Office Director of Agricultural Management Institute of Ministry of Agriculture; and now served as Deputy Secretary General and Director of CPC Office ( and Discipline Inspection Office) of China Futures Association.

共计 35 名 35 in total

## 中国期货业协会第三届理事会成员

### Members of 3rd-Session CFA Board of Directors

#### 一、非会员理事

姓 名	单 位	协会职务	单位职务
刘志超	中国期货业协会	会长	
侯苏庆	中国期货业协会	副会长 ( 专职 )	
彭 刚	中国期货业协会	副会长 ( 专职 )	
李 强	中国期货业协会	副会长 ( 专职 )	
张宜生	中国有色金属进出口公司	非会员理事	

#### 二、特别会员理事

叶春和	上海期货交易所	副会长 ( 兼职 )	副总经理
张邦辉	郑州商品交易所	副会长 ( 兼职 )	理事长
朱丽红	大连商品交易所	副会长 ( 兼职 )	副总经理
胡 政	中国金融期货交易所	副会长 ( 兼职 )	副总经理

#### 三、期货公司理事 ( 按姓名笔画为序 )

施建军	永安期货股份有限公司	副会长 ( 兼职 )	总经理
肖 成	广发期货有限公司	副会长 ( 兼职 )	总经理
马文胜	新湖期货有限公司	副会长 ( 兼职 )	董事长
黄 辉	中粮期货有限公司	副会长 ( 兼职 )	总经理
许丹良	北京中期期货有限公司	理 事	总经理
喻猛国	金鹏期货经纪有限公司	理 事	总经理
王化栋	宏源期货有限公司	理 事	总经理
曹 胜	经易期货经纪有限公司	理 事	总经理
何晓斌	国泰君安期货有限公司	理 事	总裁
姚 广	银河期货有限公司	理 事	总经理
陈冬华	中国国际期货有限公司	理 事	总经理
徐 凌	海通期货有限公司	理 事	总经理
胡世明	光大期货有限公司	理 事	董事长
高 杰	国投中谷期货有限公司	理 事	总经理
卢大印	上海东证期货有限公司	理 事	总经理
王一军	东海期货有限责任公司	理 事	总经理
周 勇	弘业期货股份有限公司	理 事	董事长
林 皓	浙江中大期货有限公司	理 事	董事长
胡 军	浙商期货有限公司	理 事	总经理
罗旭峰	南华期货股份有限公司	理 事	总经理
陈 方	鲁证期货股份有限公司	理 事	董事长
赵广钰	格林期货有限公司	理 事	董事长
吴建党	华泰长城期货有限公司	理 事	董事长
严金明	中证期货有限公司	理 事	总经理
姜昌武	五矿期货有限公司	理 事	总经理
李建中	申银万国期货有限公司	理 事	总经理



**I. Non-member director**

Name	Company	Title in association	Title in the company
Liu Zhichao	China Futures Association	Chairman	
Hou Suqing	China Futures Association	Vice Chairman (full-time)	
Peng Gang	China Futures Association	Vice Chairman (full-time)	
Li Qiang	China Futures Association	Vice Chairman (full-time)	
Zhang Yisheng	China Nonferrous Metals Import and Export Corporation	Non-member director	

**II. Special member directors**

Ye Chunhe	Shanghai Futures Exchange	Vice Chairman (part-time)	Deputy General Manager
Zhang Banghui	Zhengzhou Commodity Exchange	Vice Chairman (part-time)	Board Chairman
Zhu Lihong	Dalian Commodity Exchange	Vice Chairman (part-time)	Deputy General Manager
Hu Zheng	China Financial Futures Exchange	Vice Chairman (part-time)	Deputy General Manager

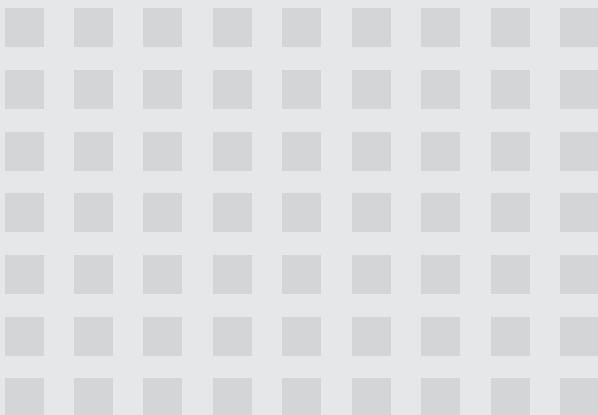
**III. Directors from futures firms (in the surnames strokes order)**

Shi Jianjun	Yong'an Futures	Vice Chairman of the Association (part-time)	General Manager
Xiao Cheng	GF Futures	Vice Chairman of the Association (part-time)	General Manager
Ma Wensheng	Xinhu Futures	Vice Chairman of the Association (part-time)	Chairman
Huang Hui	COFCO Futures Co., Ltd.	Vice Chairman of the Association (part-time)	General Manager
Xu Danliang	Beijing CIFCO Futures Co., Ltd.	Director of the Council	General Manager
Yu Mengguo	Jinpeng International Futures Co., Ltd. (JIFCO)	Director of the Council	General Manager
Wang Huadong	Hongyuan Futures	Director of the Council	General Manager
Cao Sheng	Jingyi Futures Co., Ltd.	Director of the Council	General Manager
He Xiaobin	Guotai Jun'an Futures	Director of the Council	President
Yao Guang	Galaxy Futures	Director of the Council	General Manager
Chen Donghua	China International Futures Co., Ltd.	Director of the Council	General Manager
Xu Ling	Haitong Futures Co., Ltd.	Director of the Council	General Manager
Hu Shiming	Everbright Futures Co., Ltd.	Director of the Council	Chairman
Gao Jie	SDIC CGOG Futures Co., Ltd.	Director of the Council	General Manager
Lu Dayin	Orient Futures	Director of the Council	General Manager
Wang Yijun	Donghai Futures	Director of the Council	General Manager
Zhou Yong	Jiangsu Holly Futures Co., Ltd.	Director of the Council	Chairman
Lin Hao	Zhongda Futures	Director of the Council	Chairman
Hu Jun	Zheshang Futures	Director of the Council	General Manager
Luo Xufeng	Nanhua Futures	Director of the Council	General Manager
Chen Fang	Luzheng Futures	Director of the Council	Chairman
Zhao Guangyu	Green Futures	Director of the Council	Chairman
Wu Jiandang	Huatai Great Wall Futures Co., Ltd.	Director of the Council	Chairman
Yan Jinming	CITICS Futures Co., Ltd.	Director of the Council	General Manager
Jiang Changwu	Minerals Futures Co., Ltd.	Director of the Council	General Manager
Li Jianzhong	Shenyin & Wanguo Futures	Director of the Council	General Manager

## 专业委员会 Professional Committee

### 1. 纪律委员会

- ☐ 研究草拟有关纪律惩戒、听证程序的规则；
- ☐ 根据案情进展及处理结果制作纪律惩戒决定书、撤销案件决定书以及不予纪律惩戒决定书等文书；
- ☐ 对会员和从业人员违反协会自律规则的行为做出纪律惩戒决定并监督执行；
- ☐ 按照《中国期货业协会纪律惩戒程序》等自律规则的规定，组织听证会；
- ☐ 向理事会提出有关协会纪律惩戒工作的意见和建议；
- ☐ 理事会授权或委托的其他工作。



### 1. Disciplinary Committee

- ☐ Research and draft the rules regarding disciplinary punishment and hearing procedure;
- ☐ Prepare disciplinary punishment decision based on case progress and processing result, revoke case decision, non disciplinary punishment decision and other documents;
- ☐ Perform disciplinary punishment on members and employees violating self-regulation rule of CFA and supervise the implementation;
- ☐ Organize public hearing as provided in self-regulation rules of Disciplinary Punishment Procedure of China Futures Association;
- ☐ Put forward opinions and suggestions concerning disciplinary punishment of CFA to the Council;
- ☐ Other works authorized or entrusted by the Council.



## 纪律委员会成员名单

## Discipline Inspection Committee

共计 13 名 13 in total

委员、观察员按姓氏笔画为序

姓 名	职 务	单 位
陈 方	主任委员	鲁证期货
陈冬华	副主任委员	中国国际
于学会	委 员	中期协法律顾问
王中伟	委 员	永安期货
刘国强	委 员	成都倍特
吴素萍	委 员	上海中期
余晓丽	委 员	协会投资者教育部
姚 广	委 员	银河期货
赵伟雄	委 员	江苏弘业
姜 萍	委 员	协会合规部
葛 昶	委 员	瑞达期货
张 洁	观察员	期货一部市场法规处
刘庆斌	观察员	期货二部审核处

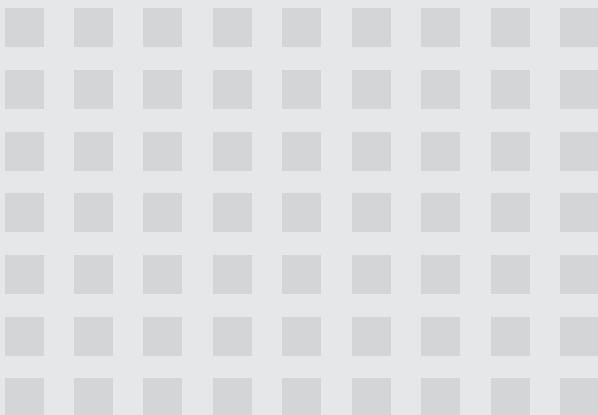
Committee Members and Observers are Arrange in Surname Order

Name	Title	Company
Chen Fang	Director of the Committee	Luzheng Futures
Chen Donghua	Deputy Director of the Committee	China International Futures Co., Ltd.
Yu Xuehui	Committee Member	Legal Consultant of China Futures Association
Wang Zhongwei	Committee Member	Yong'an Futures
Liu Guoqiang	Committee Member	BRILLIANT
Wu Suping	Committee Member	Shanghai CIFCO Futures
Yu Xiaoli	Committee Member	Association Duties of Investor Education Department
Yao Guang	Committee Member	Galaxy Futures
Zhao Weixiong	Committee Member	Jiangsu Holly Futures Co., Ltd.
Jiang Ping	Committee Member	Association Compliance Department
Ge Chang	Committee Member	Radar Futures Brokerageing
Zhang Jie	Observer	Market Regulations Division of Futures Department 1
Liu Qingbin	Observer	Audit Division of Futures Department 2

## 专业委员会 Professional Committee

## 2. 申诉委员会

- ☐ 起草委员会工作办法报理事会通过后执行；
- ☐ 根据需要草拟有关申诉程序的规则；
- ☐ 对当事人不服纪律委员会惩戒决定提出的申诉进行审查，并做出审议决定；
- ☐ 督促审议决定的执行；
- ☐ 向理事会提出有关协会纪律惩戒工作的意见和建议；
- ☐ 理事会授权或委托的其他工作。

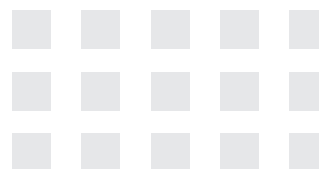


## 2. Appeals Board

- ☐ Draft working method and implement after submitting to the Council for approval;
- ☐ Draft the rules concerning appealing procedure as needed;
- ☐ Review the appeals of the party refusing to obey the punishment of Disciplinary Committee and make decisions;
- ☐ Supervise the implementation of decisions;
- ☐ Put forward opinions and suggestions concerning disciplinary punishment of CFA to the Council;
- ☐ Other works authorized or entrusted by the Council.

## 申诉委员会成员名单 Appeals Committee

共计 11 名 11 in total



委员、观察员按姓氏笔画为序

姓 名	职 务	单 位
王化栋	主任委员	宏源期货
严金明	副主任委员	中证期货
王一军	委 员	东海期货
邓 强	委 员	信达期货
丛龙云	委 员	万达期货
许丹良	委 员	北京中期
红 妹	委 员	协会合规部
沈 杰	委 员	上海大陆
胡 军	委 员	浙商期货
罗满生	委 员	广发期货
张育斌	观察员	期货一部综合处

Committee Members and Observers are Arrange in Surname Order

Name	Title	Company
Wang Huadong	Director of the Committee	Hongyuan Futures
Yan Jinming	Deputy Director of the Committee	CITICS Futures Co., Ltd.
Wang Yijun	Committee Member	Donghai Futures
Deng Qiang	Committee Member	CINDA
Cong Longyun	Committee Member	Wonder Futures
Xu Danliang	Committee Member	Beijing CIFCO Futures Co., Ltd.
Hong Mei	Committee Member	Association Members Department
Shen Jie	Committee Member	Shanghai Dalu Futures Co., Ltd.
Hu Jun	Committee Member	Zheshang Futures
Luo Mansheng	Committee Member	GF Futures
Zhang Yubin	Observer	General Affairs Division of Futures Department 1

## 专业委员会 Professional Committee

### 3. 信息技术委员会

- ☐ 调查、收集、分析、反映业内关于委员会职责范围内的意见和建议，负责组织编写行业信息技术情况发展报告；
- ☐ 根据证监会的统一部署，配合做好有关行业信息技术发展方面的相关工作；
- ☐ 对期货公司贯彻落实规划、法规和技术指引（标准）的情况进行评估，为监管部门提供审核依据；
- ☐ 对向行业提供设备、技术和服务的IT公司进行资质和诚信管理；
- ☐ 制订期货公司信息技术相关指引和行业技术人员执业标准与工作指引；
- ☐ 强化行业信息技术风险自我控制机制，确保期货信息系统安全；
- ☐ 协助开展信息技术应用研究和培训，协助开展对期货公司的技术检查工作；
- ☐ 协调会员技术资源，在发生技术事故，进行应急处置时提供必要的支援；
- ☐ 促进期货信息技术的行业交流、国际合作，举行期货行业信息技术交流活动和会议；
- ☐ 证监会或协会授权或委托的其他事项。

### 3. Information Technology Committee

- ☐ Investigate, collect, analyze and reflect the opinions and suggestions concerning committee responsibilities in the industry, then organize and compile industrial IT development report;
- ☐ Coordinate to well perform the works regarding industrial IT development according to unified deployment of CSRC;
- ☐ Evaluate the condition of implementing plans, laws and technical guide (standard) by futures companies and provide review basis for supervision department;
- ☐ Perform qualification and honesty management on IT companies providing equipment, technology and service for the industry;
- ☐ Formulate relevant IT guide for futures companies and professional standard and work instructions for industrial technician;
- ☐ Strengthen industrial IT risk and self-control mechanism to ensure the security of futures information system;
- ☐ Assist in developing IT application research and training, and carrying out technical inspection on futures companies;
- ☐ Assist technical resources of members and provide necessary support in case of technical accidents and emergency disposal;
- ☐ Promote industrial exchange and international cooperation of futures IT, and hold IT exchange and meeting of futures industry;
- ☐ Other works authorized or entrusted by CSRC or CFA.

## 信息技术委员会成员名单

## Membership List of Information Technology Committee

共计 21 名 21 in total

委员按姓氏笔画为序

姓 名	职 务	单 位
胡 政	主任委员	中国金融期货交易所
严少辉	副主任委员	上海期货交易所技术部
于三禄	委 员	郑州商品交易所技术一部
万晓鹰	委 员	国泰君安期货
马 晨	委 员	中国证监会信息中心
王习平	委 员	上海期货信息技术有限公司
邢向飞	委 员	郑州易盛信息技术有限公司
刘忠会	委 员	广发期货
刘铁斌	委 员	中国期货业协会
李 欣	委 员	中证期货
张国元	委 员	中国金融期货交易所
吴松华	委 员	中粮期货
邵剑秋	委 员	中信建投期货
李俊章	委 员	大连商品交易所技术部
杨胜利	委 员	浙商期货
胡卫宁	委 员	华泰长城期货
姜学红	委 员	摩根大通期货
胥海涛	委 员	大连飞创信息技术有限公司
龚琳喜	委 员	五矿期货
谢 晨	委 员	中国期货保证金监控中心技术部
许 强	观察员	中国证监会期货一部

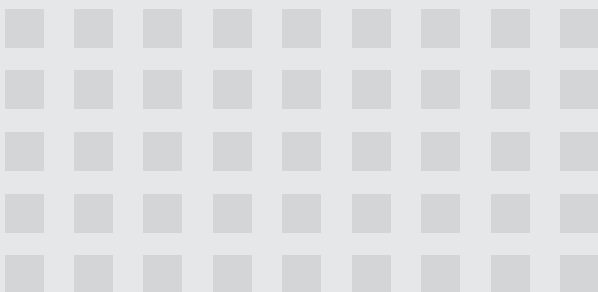
Committee Members are Arranged in Surname Strokes Order

Name	Title	Company
Hu Zheng	Director of the Committee	China Financial Futures Exchange
Yan Shaohui	Deputy Director of the Committee	Technical Department of Shanghai Futures Exchange
Yu Sanlu	Committee Member	Technical Department 1 of Zhengzhou Commodity Exchange
Wan Xiaoying	Committee Member	Guotai Jun'an Futures
Ma Chen	Committee Member	Information Center of China Securities Regulatory Commission
Wang Xiping	Committee Member	Shanghai Futures Information Technology Co., Ltd.
Xing Xiangfei	Committee Member	Zhengzhou Esunny Information Technology Co., Ltd.
Liu Zhonghui	Committee Member	GF Futures
Liu Tiebin	Committee Member	China Futures Association
Li Xin	Committee Member	CITICS Futures Co., Ltd.
Zhang Guoyuan	Committee Member	China Financial Futures Exchange
Wu Songhua	Committee Member	COFCO Futures
Shao Jianqiu	Committee Member	China Futures Co., Ltd.
Li Junzhang	Committee Member	Technical Department of Dalian Commodity Exchange
Yang Shengli	Committee Member	Zheshang Futures
Hu Weining	Committee Member	Huatai Great Wall Futures Co., Ltd.
Jiang Xuehong	Committee Member	J.P. Morgan
Xu Haitao	Committee Member	Dalian Futures Information Technology Co., Ltd.
Gong Linxi	Committee Member	Minmetals Futures Co., Ltd.
Xie Chen	Committee Member	Technical Department of China Futures Margin Monitoring Center Co., Ltd.
Xu Qiang	Observer	Futures Department 1 of China Securities Regulatory Commission

## 专业委员会 Professional Committee

### 4. 研究发展委员会

- ☐ 对期货市场发展中的热点问题开展应急项目研究，并提出意见和建议；
- ☐ 研究、论证业内相关政策与方案，并代表协会向立法机关、司法机关、监管部门等提出政策建议和意见；
- ☐ 对行业自律组织的职能定位进行研究，并对协会发展战略、作用发挥和工作规划等提出意见和建议；
- ☐ 指导和参与“中期协联合研究计划”，开展期货市场重大理论和实践问题研究，促进期货市场理论和实践发展；
- ☐ 指导和参与编写《中国期货业发展报告》、《中国期货》等协会研究类书籍和刊物；
- ☐ 指导和参与期货行业研究奖、期货高校论文大赛的评奖工作；
- ☐ 组织开展期货行业研究与交流活动，促进协会与国内外学术机构及同类机构的交流与合作；
- ☐ 理事会授权或委托的其他工作。



### 4. Research & Development Committee

- ☐ Perform emergency project research on hot issues of futures market development, with opinions and suggestions proposed;
- ☐ Research and demonstrate relevant policies and schemes in the industry and put forward policy suggestions and opinions to legislative body, judicial authority, supervision department, etc. on behalf of CFA;
- ☐ Research the functional positioning of self-regulation organization of the industry and raise opinions and suggestions for development strategy, role, work planning, etc. of CFA;
- ☐ Guide and participate in “Joint Research Program of China Futures Association”, carry out research on major theoretical and practical problems of futures market and promote the theoretical and practical development of futures market;
- ☐ Guide and join in the preparation of books and journals concerning association study such as Development Report of China's Future Industry and China's Futures;
- ☐ Guide and join in award evaluation of futures industry research award and thesis competition of universities concerning futures industry;
- ☐ Organize the carry out research and exchange activities of futures industry and promote the exchange and cooperation between CFA and domestic or foreign academic institutions or similar organizations;
- ☐ Other works authorized or entrusted by the Council.

## 研究发展委员会委员成员名单

## Membership List of R & D Committee

共计 14 名 14 in total

委员按姓氏笔画为序

姓 名	职 务	单 位
张宜生	主任委员	中国期货业协会
党 剑	副主任委员	东证期货
马险峰	委 员	中国证监会研究中心
王玉飞	委 员	大连商品交易所战略发展规划办公室
王栓红	委 员	格林期货
冉 华	委 员	中国证监会期货一部
卢赣平	委 员	金瑞期货
祁国中	委 员	上海期货交易所发展研究中心
刘 涛	委 员	中国期货业协会
李建中	委 员	申银万国期货
张晓刚	委 员	中国金融期货交易所研发部
林 皓	委 员	中大期货
谭显荣	委 员	长江期货
魏振祥	委 员	郑州商品交易所研发部

Committee Members are Arranged in Surname Strokes Order

Name	Title	Company
Zhang Yisheng	Director of the Committee	China Futures Association
Dang Jian	Deputy Director of the Committee	Orient Futures
Ma Xianfeng	Committee Member	Research Center of China Securities Regulatory Commission
Wang Yufei	Committee Member	Strategic Development Planning Office of Dalian Commodity Exchange
Wang Shuanhong	Committee Member	Green Futures
Ran Hua	Committee Member	Futures Department 1 of China Securities Regulatory Commission Futures
Lu Ganping	Committee Member	Jinrui Futures
Qi Guozhong	Committee Member	Development Research Center of Shanghai Futures Exchange
Liu Tao	Committee Member	China Futures Association
Li Jianzhong	Committee Member	Shenyin & Wanguo Futures
Zhang Xiaogang	Committee Member	R & D Department of China Financial Futures Exchange
Lin Hao	Committee Member	Zhongda Futures
Tan Xianrong	Committee Member	Changjiang Futures
Wei Zhenxiang	Committee Member	R & D Department of Zhengzhou Commodity Exchange

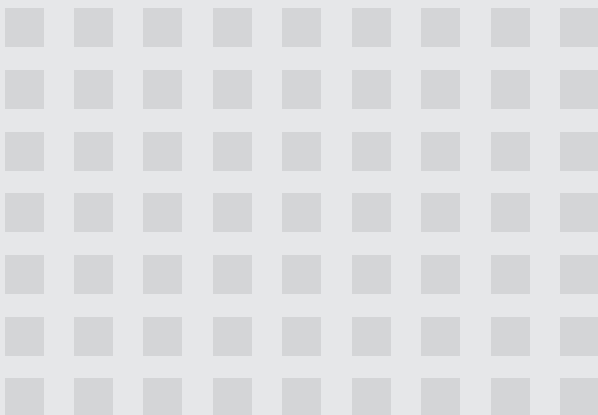
## 专业委员会 Professional Committee

### 5. 期货分析师委员会

- ☐ 草拟或审议分析师执业标准、行为准则和职业道德，规范分析师执业行为；
- ☐ 指导分析师资格考试及资格评定工作，指导分析师后续职业教育及培训工作；
- ☐ 调查、收集、反映行业开展投资咨询业务的有关意见和建议，研究、论证投资咨询业务的相关政策与方案；
- ☐ 组织推动业内投资咨询业务的创新活动，总结推广业内经验；
- ☐ 协会授权或委托的其他事项。

### 5. Futures Analyst Committee

- ☐ Draft or review professional standard, code of conduct and professional ethics of analyst, and normalize the practice of analyst;
- ☐ Guide qualification exam and qualification evaluation, as well as follow-up vocational education and training of analyst;
- ☐ Investigate, collect and reflect the opinions and suggestions of the industry concerning investment consultation business; research and demonstrate relevant policies and schemes of investment consultation business;
- ☐ Organize the innovations promoting investment consultation business in the industry; summarize and popularize industrial experiences;
- ☐ Other works authorized or entrusted by CFA.





# 期货分析师委员会成员名单

## Membership List of Futures Analyst Committee

共计 20 名 20 in total

委员、观察员按姓氏笔画排序

姓 名	职 务	单 位
罗旭峰	主任委员	南华期货
姜昌武	副主任委员	五矿期货
曹 胜	副主任委员	经易期货
王春卿	委 员	中国期货业协会
左宏亮	委 员	郑州商品交易所市场二部
刘仲元	委 员	湘财期货
朱丽红	委 员	大连商品交易所
李北新	委 员	新湖期货
严若中	委 员	方正期货
何晓斌	委 员	国泰君安
屈正哲	委 员	珠江期货
俞培斌	委 员	永安期货
钱 华	委 员	上海期货交易所会员
高 杰	委 员	国投中谷
徐 凌	委 员	海通期货
高 辉	委 员	中大期货
韩奇志	委 员	中粮期货
惠 湄	委 员	中国金融期货交易所
杨 光	观察员	中国证监会期货一部
吴运浩	观察员	中国证监会期货二部

Committee Members and Observers are Arranged in Surname Strokes Order

Name	Title	Company
Luo Xufeng	Director of the Committee	Nanhua Futures
Jiang Changwu	Deputy Director of the Committee	Minmetals Futures Co.,Ltd.
Cao Sheng	Deputy Director of the Committee	Jingyi Futures Co.,Ltd.
Wang Chunqing	Committee Member	China Futures Association
Zuo Hongliang	Committee Member	Marketing Department 2 of Zhengzhou Commodity Exchange
Liu Zhongyuan	Committee Member	BENE DICTUS Futures Company Limited
Zhu Lihong	Committee Member	Dalian Commodity Exchange
Li Beixin	Committee Member	Xinhu Futures
Yan Ruozhong	Committee Member	Founder Futures
He Xiaobin	Committee Member	Guotai Jun'an Futures
Qu Zhengzhe	Committee Member	Zhujiang Futures
Yu Peibin	Committee Member	Yong'an Futures
Qian Hua	Committee Member	Member of Shanghai Futures Exchange
Gao Jie	Committee Member	SDIC CGOG Futures Co.,Ltd.
Xu Ling	Committee Member	Haitong Futures Co.,Ltd.
Gao Hui	Committee Member	Zhongda Futures
Han Qizhi	Committee Member	COFCO Futures
Hui Mei	Committee Member	China Financial Futures Exchange
Yang Guang	Observer	Futures Department 1 of China Securities Regulatory Commission
Wu Yunhao	Observer	Futures Department 2 of China Securities Regulatory Commission

## 职能部门

### Functional Department

## 1. 会员部职责

### Responsibilities of Membership Department

参与制订和会员管理相关的行业标准与业务规范；协助调查会员违反自律规则的行为；组织开展行业诚信建设；维护会员合法利益，收集、整理会员在经营活动中的问题、建议和要求；组织会员业务交流，促进会员业务创新和提升服务实体经济的能力；组织开展行业表彰、业务竞赛等文化活动；负责会员入会、会籍管理及会费收取；管理会员基本信息；开展会员财务信息汇总、统计分析；负责理事会的日常联络及秘书工作；负责会员数据库管理和会员信息变更等。

Participate in preparing industrial standard and standard of practice concerning membership management; assist in investigating the behaviors of members violating self-regulation rules; organize and carry out industrial honesty construction; safeguard legitimate interests of members, collect and manage the problems, suggestions and requirements of members during operation; organize business exchange of members, encourage business innovation of members and promote the capacity of serving real economy; organize and carry out industrial commendation, business competition and other cultural activities; be responsible for member enrollment, membership management and membership fees charging; manage basic information of members; carry out financial information summary and statistical analysis of members; be responsible for daily contact and secretary work of the Council; take charge of member database management and member information alteration, etc.

红妹 | Hong Mei

010-88087009

hongmei@cfachina.org



## 2. 培训部职责

### Responsibilities of Training Department

负责制定行业人才培养规划并负责实施；组织实施期货公司高管人员培训；实施期货从业人员后续职业培训与各类专业培训；开展境内外期货人才培训基地建设；培训师资队伍建设；推动高校期货人才培养、教学和研究等后备人才培养工作；与国内科研教育机构及境外培训机构建立培训联系与合作；承担期货人才培养基金管理委员会办公室的日常工作。

Formulate industrial talent training plan and implement it; organize and implement top manager training of futures companies; implement follow-up training and various professional trainings on futures employees; construct domestic and foreign futures talent training base; construct training teachers; promote trainings on futures talent, teaching and research reserves of universities; establish training relations and cooperation with domestic scientific research educational institution and foreign training institutions; undertake daily works of Futures Talent Training Fund Management Committee Office.

吴亚军 | Wu Yajun

010-88086369

wuyajun@cfachina.org



### 3. 研究部职责 Responsibilities of Research Department

收集整理境内外期货行业信息，围绕期货市场发展中的重要性、基础性问题进行研究，为监管部门和协会领导提供政策建议；组织实施“中期协联合研究计划”，促进行业研究机构的交流；开展自律组织理论和实践研究，为协会定位和职能发挥提供咨询建议；负责协会主办的期货行业研究奖项的组织管理和评选工作；编辑出版《中国期货》、《中国期货业年度发展报告》以及研究类简报、专报；负责组织实施“中国国际期货大会”、“期货分析师论坛”等协会主办的行业重大会议等。

Collect and manage domestic and foreign information of futures industry, research the problems of great importance and fundamentality in futures market development and provide policy suggestions for supervision department and leaders of CFA; organize to implement “Joint Research Program of China Futures Association” and promote the exchange of industrial research institution; carry out theoretical and practical research of self-regulation organization and provide advices and suggestions for positioning and function display of CFA; be responsible for organization, management and evaluation of futures industry research award sponsored by CFA; edit and publish China Futures, China Future Industry Annual Report and research-based brief report and special report; take charge of organizing and implementing “China International Derivatives Forum”, “Derivatives Analyst Forum” and other important industrial meetings sponsored by CFA.

刘涛 | Liu Tao

010-88087080

liutao@cfachina.org



### 4. 合规调查部职责 Responsibilities of Compliance Investigation Department

组织制订期货业行为准则、业务规范及其他自律性规则；受理客户与期货业务有关的投诉并提出处理建议；调解会员之间、会员与客户、从业人员与客户的期货业务纠纷；对会员和从业人员违反自律规则的行为提出处理建议；推动期货行业反洗钱工作；对会员期货经纪合同进行审查备案、提供期货行业法律咨询服务；管理期货投资者信用风险信息数据库。

Organize and formulate code of conduct, standards of practice and other self-regulation rules of futures industry; accept the complaints of customers regarding futures business and offer handling suggestions; mediate the disputes between members, member and customers or employees and customers; put forward handling suggestions for actions of members and employees violating self-regulation rules; promote anti-money laundering of futures industry; review and file futures brokerage contract of members and offer legal consultation of futures industry; manage futures investor credit risk information database.

姜萍 | Jiang Ping

010-88087010

jiangping@cfachina.org



## 职能部门 Functional Department

### 5. 资格考试与认证部职责 Responsibilities of Qualification Exam and Authentication Department

负责拟定行业从业人员资格类别及标准、资格管理相关规则及实施细则；建立从业人员资格管理系统、执业能力、诚信状况的动态评价体系；负责从业人员职业道德及执业行为准则的贯彻落实；负责期货从业人员资格考试教材编写、命题、考务、评估等工作；开展期货公司高管人员资格测试及认证工作。

Work out qualification categories and standards of industrial employees, and prepare relevant rules and implementation details; establish employee qualification management system and dynamic evaluation system of practice ability and credit conditions; be responsible for implementing professional ethics and practice standards of employees; be responsible for teaching material compilation, proposition, examination and evaluation of qualification exam of employees; carry out qualification test and authentication of top manager of futures companies.

王春卿 | Wang Chunqing

010-88087299

wangchunqing@cfachina.org

### 6. 信息技术部职责 Responsibilities of IT Department

参与拟定期货及相关行业信息技术标准，组织制定期货行业信息技术相关指引；组织协调行业信息安全保障工作；组织行业信息技术、系统安全的交流与研究；组织信息技术系统检查工作；参与组织行业信息安全风险评估及重大事故调查和鉴定；协会数据库系统的建设、技术管理以及数据库文件的保密保管、备份工作；协会网站、邮件系统、中心机房、局域网等网络互联系统及办公电子设施的建设、管理及维护。

Join in preparing IT standards of futures industry and relevant industries, and organize to formulate relevant IT guide of futures industry; organize and coordinate industrial information safety control; organize the exchange and research of industrial information technology and system security; organize IT system inspection; participate in organization of industrial information security risk assessment and major accident survey and identification; conduct database system construction, technical management and confidentiality, safekeeping and back-up of database files for CFA; construct, manage and maintain email system, central computer room, LAN and other internetworking systems as well as electronic office devices.

刘铁斌 | Liu Tiebin

010-88087078

liutiebin@cfachina.org

## 7 投资者教育部职责 Responsibilities of Investor Education Department

组织实施期货投资者教育专项工作，举办投资者教育活动，编制投资者教育书籍及出版物；建设期货投资者远程教育学院，建立投资者教育长效机制，提供有关咨询服务；引导、督促和检查会员开展投资者教育工作的情况；组织开展会员投资者教育经验交流与宣传；具体组织实施期货投资者教育专项基金管理委员会部署的各项工作任务；开展与相关媒体的交流与合作，进行期货市场功能作用的宣传；负责协会新闻宣传和网站建设等工作；承担期货投资者教育基金管理委员会办公室的日常工作。

Organize and implement special works of futures investor education, hold investor education activities and prepare books and publications for investor education; construct distance education college for futures investor, establish permanent mechanism of investor education and provide relevant consultation services; guide, supervise and inspect the conditions of implementing investor education by members; organize and carry out investor education experience exchange and publicity; organize and implement all works and tasks allocated by Special Fund Management Committee for Futures Investor Education; carry out exchange and cooperation with relevant media and publicize the functions and roles of futures market; be responsible for news propaganda and network construction of CFA; undertake daily works of Fund Management Committee for Futures Investor Education.

余晓丽 | Yu Xiaoli

010-88087218

yuxiaoli@cfachina.org

## 8 党委办公室（纪检办）职责 Responsibilities of CPC Committee (Discipline Inspection Office)

贯彻落实协会党委、纪委关于党建工作、党风廉政建设的有关要求，起草相关工作计划、总结、报告及有关材料；负责党委会、党委纪委专题会议、领导班子民主生活会、党委中心组学习等相关会议的组织协调；传达和贯彻落实上级党委与协会党委的工作部署；组织开展协会内部思想政治工作；指导、督促和检查开展支部工作；负责组织实施协会内设机构、岗位调整、人员聘用、绩效考核、工资福利等人事工作。

Implement relevant requirements of CPC Committee and Discipline Inspection Commission on CPC construction and construction of honest administration, and draft relevant work plan, summary, report and relevant materials; be responsible for organizing and coordinating CPC committee conference, meeting of democratic life of leading group, study of CPC committee center group, etc.; deliver and implement the work arrangement of superior CPC Committee and CPC Committee of CFA; organize and carry out internal ideological and political work of CFA; guide, supervise and inspect the implementation of branch work; be responsible for organizing and implementing internal department, post adjustment, employment, performance assessment, wages and welfare and other personnel work of CFA.

孙明福 | Sun Mingfu

010-88086239

sunmingfu@cfachina.org

## 9 办公室职责 Responsibilities of Office

组织拟定和监督实施协会内部制度；起草协会工作计划、总结以及综合性材料；管理协会机要保密、公文运转及档案；负责协会内外综合协调工作及重要事项督办；负责协会外事、国际合作与交流工作；编制协会年度预决算，监督检查财务收支和财经纪律执行情况；负责协会资金收付、税款缴纳、财务核算、固定资产管理等工作；负责协会安全保卫、车辆管理等行政后勤工作。

Organize the preparation and supervise the implementation of internal system of CFA; draft work plan, summary and comprehensive materials of CFA; manage the confidentiality, document operation and files of CFA; be responsible for internal and external comprehensive coordination and important matters supervision; take charge of foreign affairs, international cooperation and exchange of CFA; prepare annual budget settlement of CFA, and supervise and inspect financial revenue & expenditure and the implementation of financial & economic disciplines; be responsible for fund receipt & payment, tax payment, financial accounting and fixed-assets management of CFA; take charge of security, vehicle management and administrative logistics works of CFA.

孙明福 | Sun Mingfu

010-88086239

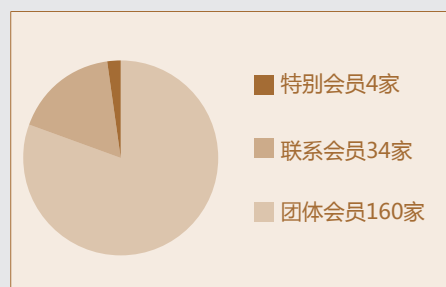
sunmingfu@cfachina.org

## 会员情况 Conditions of Members

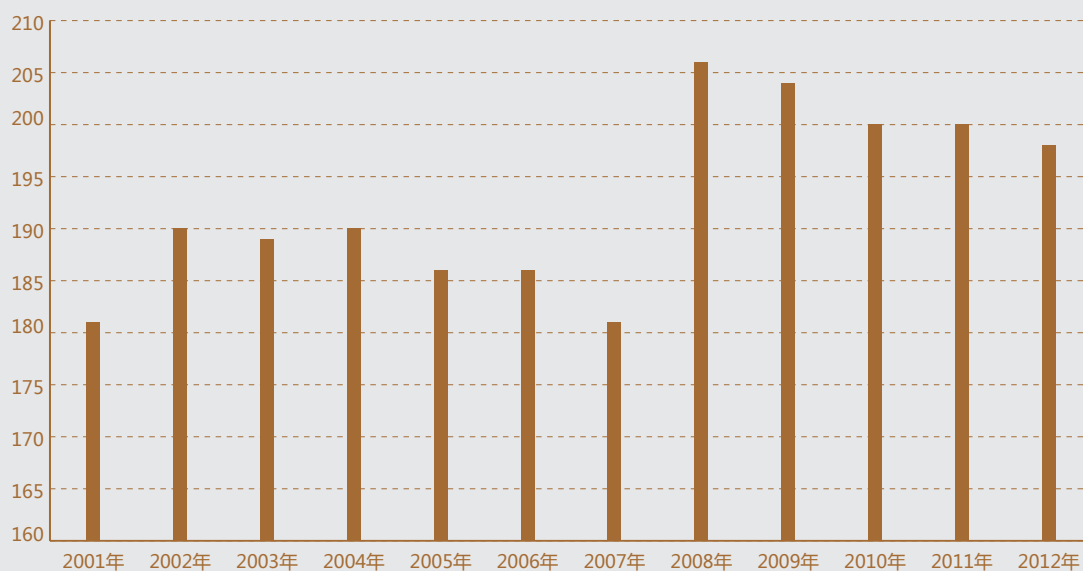
### 1. 会员结构 Member structure

截至2012年底，中期协共有会员198家，其中期货公司会员160家，期货交易所特别会员4家，地方协会联系会员34家。

By the end of 2012, CFA owns 198 members, including 160 members of futures companies, 4 special members of futures exchanges and 34 affiliate members of local associations.



2012 年协会会员类别分布

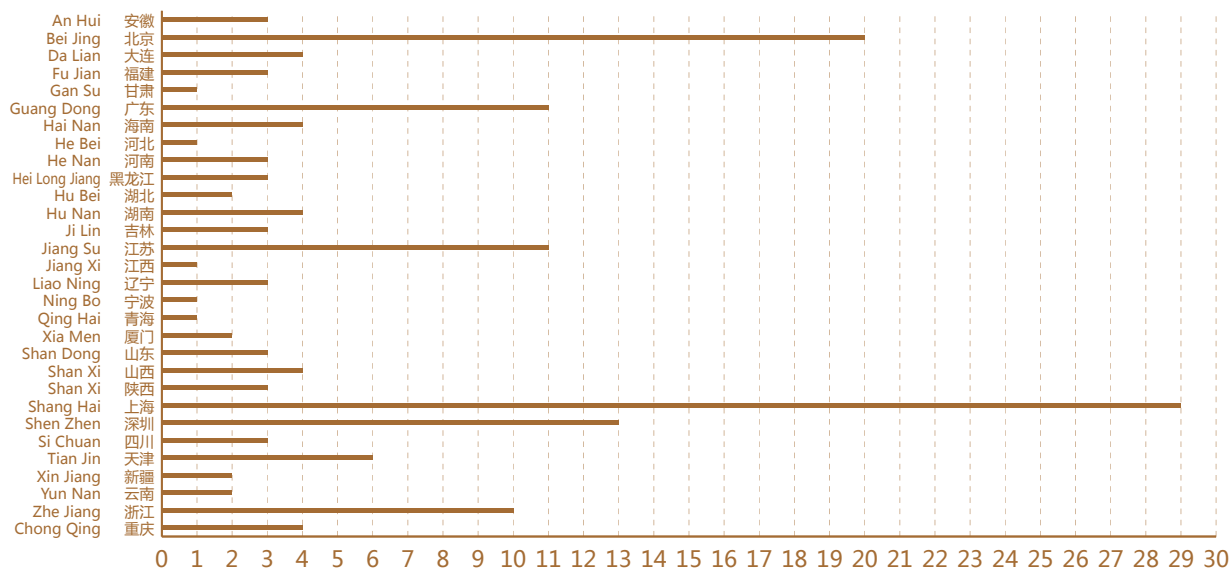


2001-2012 年会员总数柱状图  
Attached Pie Chart I. Histogram of Total Members during 2001-2012

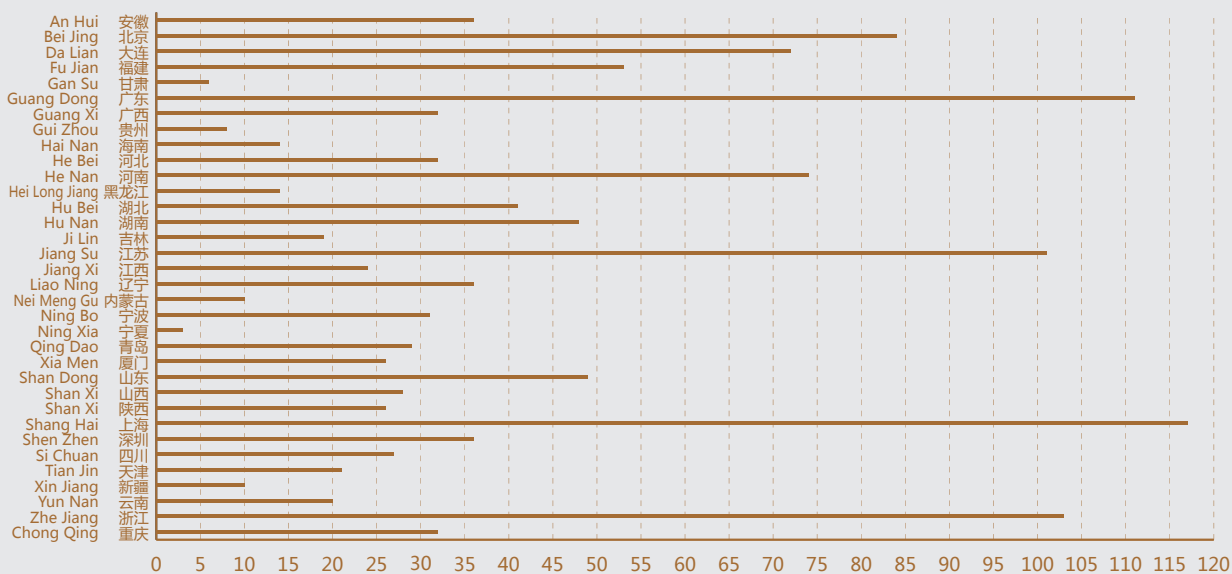
## 2 期货公司地域分布情况 Geographical distribution of futures companies

截至2012年底，全国共有160家期货公司，分布于31省市，公司数目超过10家的省市包括：上海（29家）、北京（20家）、深圳（13家）、广东（11家）、浙江（10家）、江苏（11家），占全部公司数的58.75%。

By the end of 2012, there are 160 futures companies in total, which are distributed in 31 provinces and cities. Those with over 10 companies include: Shanghai (29), Beijing (20), Shenzhen (13), Guangdong (11), Zhejiang (10) and Jiangsu (11), occupying 58.75% of the total.



## 3 期货公司营业部分布情况 Distribution of sales department of futures companies





# 2012 年协会重点工作

Key Tasks of China Futures  
Association in 2012

---





2012 年,在中国证监会和第三届理事会的领导下,中国期货业协会(以下简称协会)重点围绕行业诚信建设、服务实体经济和人才培养开展了卓有成效的工作,并扎实推进了信息技术、投资者教育、行业交流、自身建设等日常工作,职能作用进一步得到了深化和显现。

In 2012, under the leadership of China Securities Regulatory Commission (hereinafter referred to as CSRC) and 3rd-Session CFA Board of Directors, China Futures Association (hereinafter referred to as CFA) carried out many productive works centering on the integrity construction, the services to the real economy and personnel training, and also made steady headway in information technology, investors' education, industrial exchange, self-construction and other ordinary works, thus further enhancing and showing its functional role.



(一) 统筹规划行业诚信建设工作, 探索建立诚信评价约束机制, 强化自律监督和惩戒, 进一步提升了行业自律管理水平。

(I) CFA made an overall planning on industrial integrity construction, explored and established an integrity evaluation and constraint mechanism and strengthened self-regulation, supervision and punishment, thus further improving self-regulation administration level.



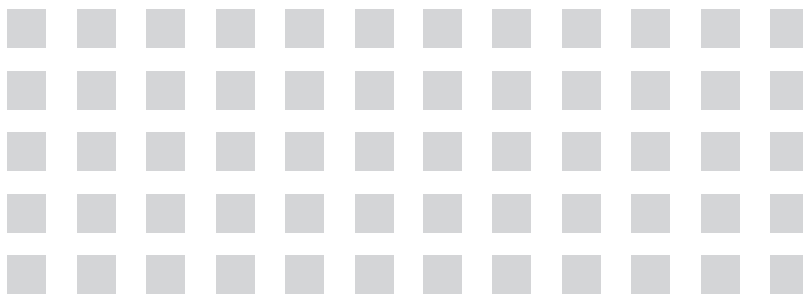
一是加强统筹规划, 大力引导行业树立和践行诚信理念。在去年全行业签署“诚信宣言”的基础上, 协会发布了《期货行业诚信建设 2012 年重点工作计划》, 明确了行业诚信建设工作的年度总体目标、工作内容和步骤分工。组织撰写了“诚信三论”等系列文章发表在主流媒体上, 引导全行业深刻认识诚信建设的重要意义。开展了“诚信从我做起”征文活动, 共收到会员单位投稿 1640 篇, 掀起了弘扬诚信文化的高潮。完成了《期货行业警示录》的编印和发放工作, 警示会员践行诚信理念。通过上述工作, 全行业上下联动的诚信工作机制进一步得到了完善, “守信为荣、失信为耻”的行业文化氛围进一步得到了增强。

Firstly, CFA strengthened the overall planning and provided vigorous guidance in establishment and fulfillment of integrity concept in the industry. Based on “Integrity Declaration” signed in the whole industry last year, CFA issued the Plan for Key Tasks of Integrity Construction in Futures Industry in 2012 and specified the annual overall objectives, contents, steps and division of the industrial integrity construction. Besides, it also organized to compile a series of articles like “Three Essays on Integrity” and issue them on the mainstream media and led the whole industry to deeply understand the significance of integrity construction. It developed the essays soliciting activity called “Integrity, Me First” and received totally 1,640 articles from membership units, thus the popularization of integrity culture reached a climax. Besides, it also finished the preparation, printing and release of Warnings from Futures Industry to warn the members to fulfill integrity concept. Through the above works, an integrity mechanism of linkage from top to bottom in the whole industry was improved greatly and the cultural atmosphere of “being proud of keeping faith and ashamed of breaking faith” was further strengthened in the industry.



二是创新工作思路，积极探索诚信评价约束及表彰机制。为推动解决手续费恶性竞争等制约行业发展的突出问题，协会制定发布了《关于提升行业服务能力，规范手续费竞争秩序的实施意见》，要求会员建立以成本核算为基础的手续费承诺机制，并依托各地方协会的力量对会员履约情况进行诚信检查和监督；截至日前，已有 28 家地方协会制定了具体的实施方案，绝大多数期货公司和营业部报送了承诺的平均手续费率，切实引导会员将手续费为主的单一竞争转向提升服务质量的综合竞争。同时，经过深入调研，初步探索形成了以期货公司社会责任评价为核心的行业诚信表彰机制。通过一手抓诚信约束，一手抓诚信表彰，期货行业诚信评价体系初步建立。

Secondly, CFA innovated the working thoughts and actively explored integrity evaluation & constraint and commendation mechanism. To promote the settlement of prominent problems like the restraints on the industry development due to vicious competition in commission charge, CFA formulated and issued the Suggestions on the Implementation of Measures for Improving Industrial Service Capability and Standardizing Commission Charge Competition Order to require its members to set up a commission charge commitment mechanism based on cost accounting and checked and supervised the commitment fulfillment by the members relying on the force of local associations. Up to now, 28 local associations have formulated the specific implementation scheme and most of futures companies and business offices submitted the committed average charge rate, thus the members transformed from the single competition subject to commission charge into the comprehensive competition subject to improving service quality under the guidance of CFA. Meanwhile, upon thorough investigation and research, CFA preliminarily set up an industrial integrity commendation mechanism centering on evaluation of social responsibility of futures companies. By strengthening both integrity constraint and integrity commendation at the same, an integrity evaluation system was preliminarily established in the futures industry.



三是开展监督检查，不断加强自律惩戒力度。为督促会员严格执行交易所的手续费减免政策，协会发布了《关于进一步做好交易所减收手续费相关工作的通知》，对期货公司相关业务和财务管理提出了规范要求，并对北京、上海等四家期货公司进行了现场检查，对违反规定的公司采取了约见高管谈话的自律管理措施，在行业内形成了较好的警示作用。对 2011 年从业人员现场检查中发现的涉嫌接受本公司员工开户交易的 22 家期货公司采取了约见高管谈话措施，对 11 名违规从事期货交易的高管人员，分别给予了“暂停从业资格 6 个月、12 个月和撤销从业资格并在 3 年内拒绝受理从业资格申请”的纪律惩戒决定，是协会有史以来集中处理人数最多且处理结果最为严重的一次。

Thirdly, CFA carried out supervision and inspection to constantly strengthen the efforts in self-regulation and punishment. To urge the members to strictly implement the exchanges' policies for reduction and exemption of commission charge, CFA issued the Notice on Further Implementation of Commission Charge Reduction in the Exchanges to put forward standard requirements on relevant services and financial management of futures companies, conducted onsite inspection on four futures companies in Beijing and Shanghai, and took self-regulation administration measures like summoning and having a conversation with senior executives of the companies breaking the rules, thus giving a good warning in the industry. It also took such measures for 22 futures companies involving in receiving account opening transactions of the company found in 2011 onsite inspection of practitioners, and took disciplinary actions "suspension the qualification for 6 months and 12 months and revoking the qualification and also rejecting the application for qualification in 3 years" against 11 senior executives engaging in illegal futures trading respectively. This punishment involved the most people and the most severe consequences since the foundation of CFA.

四是完善自律规则，积极推进期货公司信息披露。配合资产管理等创新业务的推出，协会研究制定了《资产管理合同指引》、《资产管理业务投资者适当性评估程序》，《境外期货合同指引》等配套规则。根据多年的工作实践，制定了《批评警示工作程序》，增加了“约见高管谈话”等自律管理措施。对期货公司诚信数据库进行了全面梳理，完善了期货公司信息公示系统和年度财务信息披露系统，定期在协会网站披露期货公司基本情况及主要经营指标，大大提高了行业透明度。

Fourthly, CFA improved self-regulation rules and actively promoted information disclosure by futures companies. In coordination with the launching of assets management and other innovative services, CFA formulated Assets Management Contract Guidelines, Procedures for Evaluation on Eligibility of Assets Management Investors, Overseas Futures Contract Guidelines and other supporting rules upon study. Based on the practice for many years, it also formulated Criticism and Warning Procedures to add the self-regulation administration measures like "summoning and having conversation with senior executives". It sorted the integrity databases of futures companies on the whole, improve information announcement system and annual financial information disclosure system of futures companies and periodically disclosed basic situation and main operational indicators of futures companies on the website of CFA to greatly improve the industry transparency.

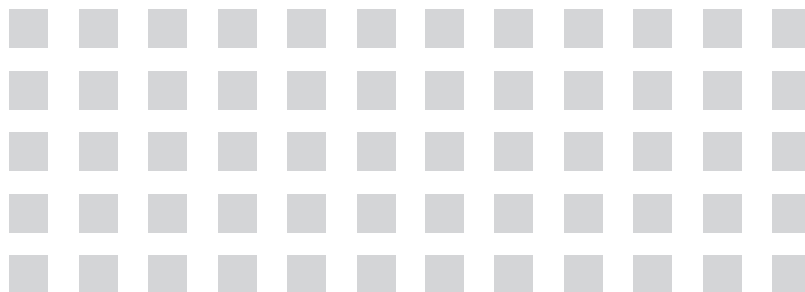


(二) 立足服务实体经济，深入实际调查研究，积极推进会员创新发展，进一步提升了期货业服务国民经济发展的水平。

(II) Based on serving the real economy, CFA conducted deep investigation and research and actively promoted innovative development of the members, thus further improving the level of the futures industry in serving national economic development.

一是深入调研，推动提升会员服务“三农”和产业客户的水平。根据证监会“领导干部下基层”活动精神，将“期货服务“三农”和产业客户”作为一项重点调研课题，深入期货公司、营业部以及现货企业等 60 多家机构进行调研和座谈，全面了解期货公司服务“三农”和产业客户的实际状况，积极推动解决相关政策性、制度性问题。同时，组织开展了“期货公司服务‘三农’和产业客户经验交流会”，收集推广 24 家期货公司的典型做法、成功经验以及建议，在媒体上开展了系列宣传，并编印成册，引导会员为不同类型、不同规模和发展阶段的客户提供专业化、差异化服务。

Firstly, CFA conducted a deep investigation and research and promoted the members' level of serving "agriculture, rural areas and farmers" and industrial customers. According to CSRC's guiding principles of "leaders and managers going to grassroots units", CFA took "futures serving g "agriculture, rural areas and farmers" and industrial customers" as a key research topic, conducted investigation and panel discussion in more than 60 institutes, including futures companies, business offices and stock companies to get an overall understanding of the actual condition of serving "agriculture, rural areas and farmers" and industrial customers by futures companies and actively promote the settlement of relevant of relevant policy and institutional problems. Meanwhile, CFA organized the "Meeting of Exchanging Experience of Futures Companies in Serving 'Agriculture, Rural Areas and Farmers' and Industrial Customers", collected and spread typical methods, successful experience and suggestions of 24 futures companies, carried out a series of propagandas on the media and compiled and printed them in volumes to guide the members to provide professional and differentiated services for customers of different types and different scales and in different development stages.



---

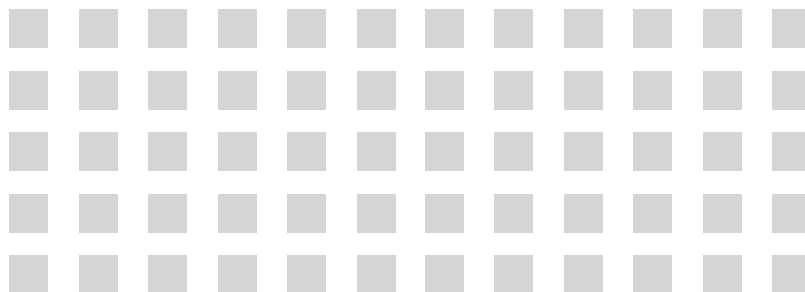
二是加强研究，积极推进期货公司创新发展。参与了原油期货上市筹备工作，完成了“原油期货境外期货中介机构代理模式可行性研究”，就境外投资者和中介机构参与我国原油期货的方式，以及期货行业对外开放的路径等问题进行了深入研究。推出了《关于期货公司设立子公司开展以风险管理为主的业务试点工作指引》，组织召开了“期货公司创新发展座谈会”，努力推动形成行业创新发展的平台。围绕期现货结合问题，组织开展了专题讨论，初步形成了《关于进一步促进期现货市场有效结合的思路和建议》。开展了对期货投资咨询业务情况的调查研究，全面深入分析了该业务的现状和存在的主要问题。通过上述工作，协会紧紧跟随市场创新步伐，注重听取会员及行业各方意见和建议，深入参与行业创新研究与政策制定，有效发挥了服务和传导作用。

Secondly, CFA strengthened the study and actively promoted innovative development of futures companies. It participated in preparation for launching of crude oil futures in the market, completed the “Study on Feasibility of Agency Mode of Overseas Futures Intermediary for Crude Oil Futures” and conducted a deep study on the mode of overseas investors and intermediaries for participating in China’s crude oil futures and the problems like the path for opening-up of the futures industry. Moreover, CFA issued the Guidelines for Futures Companies to Establish Subsidiary for Developing Risk Management-oriented Service Pilots, organized and held “Innovative Development Symposium of Futures Companies” and made efforts to promote the establishment of a platform for innovative development of the industry. Aiming at stock-futures combination, CFA organized seminars and preliminarily formulated Ideas and Proposals for Further Promoting Effective Combination of Futures Market and Stock Market. It also conducted investigation and research on futures investment consultancy and performed an overall and deep analysis on current situation and existing problems of this service. Through the above works, CFA followed steadily the pace of market innovation, focused on taking ideas and suggestions from the members and the parties concerned and get deeply involved in industrial innovation study and policy formulation, thus giving an effective play to its service and guiding role.

---

三是加强引导，促进期货公司做优做强。为引导会员单位进一步明确发展定位，协会先后组织开展了“期货公司发展定位和路径大讨论征文活动”和“期货公司发展定位和路径座谈会”，对新形势下期货公司发展定位中的相关问题进行了探讨和交流。以“中期协联合研究计划”为平台，完成了期货公司上市、员工绩效考核与激励机制、服务产业客户模式、营销与客户服务体系、信息技术创新发展等课题的研究工作。受监管部门委托，完成了一流境外期货公司发展研究、期货公司治理研究、场外商品衍生品市场体系建设研究等专项课题研究，为期货公司做优做强提供理论支撑和政策建议。

Thirdly, CFA strengthened the guidance and promoted the improvement and enhancement of futures companies. To guide the membership units to further ascertaining the development orientation, CFA organized “Soliciting of Essays on Development Orientation and Path of Futures Companies” and “Symposium on Development Orientation and Path of Futures Companies” to develop discussion and exchange on relevant issues concerning development orientation of futures companies under the new situation. Taking “CFA Joint Research Program” as a platform, CFA completed the research on listing of futures companies, employee performance appraisal and incentive mechanism, mode of serving industrial customers, marketing and customer service system, information technology innovative development, etc. Commissioned by regulatory authorities, CFA accomplished the study on development of first-class overseas futures companies, on governance of futures companies, on establishment of off-site commodity derivatives market system, etc., thus providing theoretical foundation and policies and suggestions for improvement and enhancement of futures companies.



(三) 有序开展分层次分类别的行业培训, 切实加强后备和急需人才培养, 进一步落实了期货行业人才发展战略规划。

(III) CFA developed industrial trainings by different hierarchies and categories in an orderly manner and effectively strengthened the cultivation of back-up and urgently needed talents, thus further fulfilling the strategic planning for talent development in the futures industry.

一是顺利举办了境外高管培训。顺利举办了首届期货业高管人员赴美研修班和首席风险官赴加研修班, 共有来自 41 家期货公司的董事长、总经理和副总经理以及 33 家期货公司的首席风险官参加了培训, 数量和规格均居行业首位。通过学习考察, 学员们系统学习了衍生品市场前沿理论, 全面了解了美国和加拿大衍生品市场发展状况及运作经验, 深入思考了我国期货市场创新发展的方向和路径, 切实加强了与国际同行的沟通与合作, 取得了实实在在的丰硕成果。9 月下旬, 协会组织召开了境外研修班总结座谈会, 学员代表分别从不同角度交流了学习成果和体会, 培训方式和效果得到了市场各方面的充分肯定。

Firstly, CFA successfully conducted the training for overseas senior executives. It successfully developed the first training class in the United States for senior executives of the futures industry and the training class in Canada for chief risk officers. Presidents, general managers and deputy general managers from 41 futures companies and chief risk officers from 33 futures companies participated in the trainings, which ranked first in the industry in both quantity and scale. Through learning and investigation, the trainees systematically learned the frontier theory of derivatives market, got an overall understanding of the development condition and operating experience of derivatives markets in US and Canada and thoroughly considered the direction and path of innovative development of the futures market in China, thus effectively strengthening the communication and cooperation with international counterparts and gaining abundant tangible results. In late September, CFA organized a symposium for overseas training classes, in which the representatives of trainees exchanged learning outcomes and experience in different aspects and the training mode and effects were highly appreciated by all parties concerned.





二是有序开展了分层次分类别的后续职业培训。通过问卷调查，搜集了 133 家公司、数百名高管和近千名从业人员对协会培训工作的意见、建议，进一步增强培训的针对性。2012 年全年累计现场培训场次为 12 场，培训人员共计 2100 名，包括 2 期高管人员资质测试（356 人），3 期期货公司董监事培训（297 人），3 期信息技术人员培训（496 人），2 期资产管理培训（367 人），以及与欧洲期货交易所合作开展的期权、利率培训（584 人），并分别筛选了成绩优秀的学员赴欧洲进行了深度培训。同时，继续稳步推进后续职业网络培训，先后录制了客户服务、风险管理、法律纠纷与诉讼等 18 门课件以及信息技术培训课程；截至年底，共有 24240 人报名参加网络后续培训，累计完成了 357556 学时的课程学习。

Secondly, CFA developed the follow-up vocational trainings by different hierarchies and categories orderly. Upon questionnaire survey, CFA collected comments and suggestions on CFA's trainings from hundreds of senior executives and nearly 1,000 practitioners of 133 companies to further improving the pertinence of the trainings. In 2012, the on-the-job trainings amounted to 12, totally 2,100 personnel were trained, including two sessions of senior executives qualification test (356 persons), three sessions for directors and supervisors of futures companies (297 persons), three sessions for information technology personnel (496 persons), two sessions for assets management (367 persons) and the training on option and interest rate (584 persons) conducted together with Eurex Deutschland (EUREX). It also chose the excellent trainees to participate in an in-depth training conducted in Europe. Meanwhile, CFA continued to steadily promote the follow-up vocational e-trainings and recorded courseware for 18 subjects like customer service, risk management, legal disputes and litigation, etc. as well as information technology training courses. Up to the end of 2012, totally 24,240 persons entered for follow-up e-trainings and accomplished the courses as long as 357,556 class hours.



三是切实加强了后备人才的培养。针对会员单位普遍反映的招人难问题，协会在总结去年试点工作经验的基础上，分别在北京、上海、大连、山东、湖南等 5 个城市开展了后备人才专项培训班，共有 246 名高校学生参加了培训，架起了高校和公司人才交流的桥梁。2012 年，协会共举办了 5 次全国期货从业人员资格考试和 2 次期货投资咨询考试，报名科次分别累计达到了 220807 万科次和 20572 科次。截至年底，全国期货从业人员共计 37293 人，其中，期货公司从业人员 30185 人，证券 IB 机构期货从业人员为 7108 人。

Thirdly, CFA effectively strengthened the cultivation of back-up talents. Aiming at the difficulty in recruitment fed back by membership units, CFA developed special training classes for back-up talents in Beijing, Shanghai, Dalian, Shangdong, and Hunan successively based on summarizing pilot experience in the previous year, and totally 246 students from institutions of higher education participated in the trainings, thus establishing a bridge for talents exchange between institutions of higher education and the companies. In 2012, CFA organized 5 qualification examinations for futures practitioners nationwide and 2 futures investment consultation examinations, and the registration number reached 220,807 and 20,572 respectively. Up to the end of 2012, futures practitioners nationwide amounted to 37,293, including 30,185 in futures companies and 7,108 in securities IB institutes.

四是有效规范了从业人员管理。2012 年，协会累计审核从业人员资格申请 7561 余人、投资咨询资格申请 696 余人，为 206 人提交平台内修改信息资料。同时，进一步完善了期货从业人员资格考试制度，制定了包括命题场所、考试流程、巡考、考务会议等管理办法，对各项保密制度进行了梳理，逐一排查了考试流程中的涉密风险点，对涉密设备进行维护，建立健全了用“制度”和“技术”手段控制涉密风险的新思路。

Fourthly, CFA effectively standardized the administration of practitioners. In 2012, CFA reviewed the qualification application of more than 7,561 practitioners and investment consultation qualification application of more than 696 persons accumulatively, and provided 206 persons with the service of modifying information and data in the platform. Meanwhile, it further improved qualification examination system of futures practitioners, formulated management measures for topic assignment place, examination process, examination inspection, examination meeting, etc., sorted various confidential systems, checked the confidentiality-related risk points one by one, maintained confidentiality-related equipment, and established and improved the new thought of controlling confidentiality-related risk by means of “system” and “technology”.



（四）加强会员投教工作的交流引导，加大对产业客户的投教力度，不断创新投教新模式，投资者教育工作的针对性进一步得到了强化。

(IV) CFA strengthened exchange and guidance in members' investor education, intensified the efforts on investor education of industrial customers and made continuous innovation in new mode of investor education, thus further improving the pertinence of investor education.

一是加强对会员投教工作的交流引导。开展了投资者调研工作，收到了 160 家期货公司、27 家地方协会和 2175 份投资者的问卷反馈，并据此撰写了《期货行业 2011 年投资者教育工作调查报告》。联合证监会投资者保护局等相关单位组织召开了“期货市场投资者教育服务创新交流会”，对期货行业的投教工作进行了深入交流和广泛宣传，全面展示了投资者教育工作及产品，为进一步开展投教工作奠定了良好的基础。

Firstly, CFA strengthened exchange and guidance in members' investor education. It conducted investigation and research for investors, received questionnaire feedback from 160 futures companies, 27 local associations and 2,175 investors and accordingly compiled the Report on Investigation of Investor Education in Futures Industry in 2011. Besides, it also organized "Exchange Meeting of Service Innovation of Investor Education in Futures Market" together with CSRC Department of Investor Protection and other related units to develop in-depth exchange and wide popularization of investor education in the futures industry and give a comprehensive display of works and products relating to investor education, thus laying a sound foundation for further development of such works.

二是制作了针对产业客户的投教产品。制作了 8 门“服务产企”和 6 门“服务三农”视频课程，直观形象地展示了期货市场服务产企和“三农”的各个环节，突出了现阶段期货市场与实体经济相结合的时代特色，受到了会员和投资者的广泛好评。组织开展了“服务产企三农培训班”，并联合地方协会开展了“走进产企三农巡讲”，帮助会员不断提升投资者教育水平。

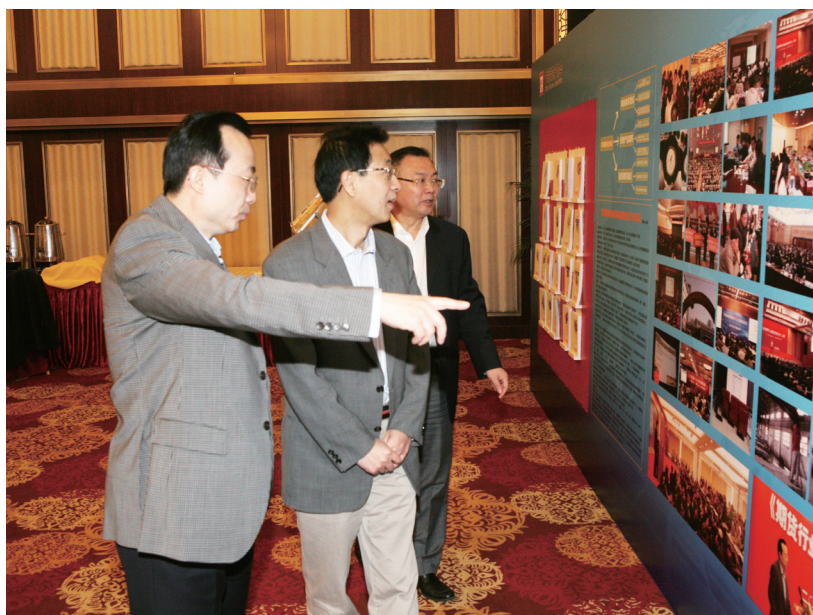
Secondly, CFA produced investor education products dedicated to industrial customers. It made video courses for "serving industrial customers" in 8 subjects and for "serving agriculture, rural areas and farmers" in 6 subjects to straightforwardly and visually show all links in serving industrial customers and "agriculture, rural areas and farmers" in the futures market and highlight the time feature that the futures market was combined with real economy at the present stage, thus being widely acclaimed by the members and investors. It also organized "Training Class of Serving Industrial Customers and Agriculture, Rural Areas and Farmers" and developed "Lecture Tour in Industrial Customers concerning Serving Agriculture, Rural Areas and Farmers" together with local associations to help the members constantly improve the level of investor education.





三是不断创新投教工作方式。为加强对期货公司及从业人员违规行为的社会监督，建立了投资者网上投诉平台，为投资者提供了方便快捷的投诉渠道。继续组织《期货投资者教育丛书》三册新品种的编写，制作完成了《给你一个工具》和《践行之路》两个宣传片，使投资者通过多种形式和渠道接受更有针对性的基础教育和风险教育。对协会网站“投资者教育园地”进行了改版，强化了信息交流、投资者学习、投教专题展示三大功能。

Thirdly, CFA made continuous innovation in new mode of investor education. To strengthen social supervision on illegal behavior of futures companies and the practitioners, CFA established an online investor complaints platform to provide investors with a convenient and efficient complaint channel. It also organized the compilation of three volumes of Futures Investor Education Series and completed propaganda films “Give You an Approach” and “The Way of Practice” to enable investors to receive more targeted fundamental education and risk education through multiple forms and channels. Moreover, CFA also updated “Investor Education” on its website and strengthened three functions, namely, information exchange, investor learning and investor education focus.



(五) 强化信息安全建设，提升信息技术水平，为行业创新发展提供了有效的技术保障。

(V) CFA strengthened information security construction and improved information technology level, thus providing effective technical support for innovative development of the industry.

一是切实做好期货行业信息安全保障。总结起草了《2011 年度期货行业信息安全事故分析报告》，对行业信息安全事故进行全面深入分析。组织编写了《期货公司信息安全事故案例汇编》，启动了《期货公司运维管理最佳实践案例》的编写工作，帮助会员提升信息技术安全保障和运维管理水平。组织召开了北京地区部分期货公司等保护交流会，积极推进行业信息安全等级保护建设整改工作。在“两会”及“十八大”期间，组织开展行业信息安全保障维稳工作。

Firstly, CFA enhanced information security assurance of the futures industry. It drafted 2011 Analysis Report of Information Security Accidents in the Futures Industry through summarization and conducted a comprehensive and in-depth analysis on information security accidents. It organized the preparation of Collection of Information Security Accident Cases of the Futures Companies and started the compilation of The Best Cases of Operation and Maintenance Management of the Futures Companies to help the members improve information technology security and the level of operation and maintenance. Besides, it organized classified protection exchange meetings for some futures companies in Beijing to actively promote the construction and reformation of classified protection of industrial information security. In the period of “two Conferences (i.e. the National People's Congress and the Chinese Political Consultative Conference)”, CFA organized the stability preservation of industrial information security.



二是积极提升行业信息技术水平。组织制定了《期货公司核心应用软件产品与技术服务合同要素指引》和《证券期货业信息系统托管服务技术管理指南》，引导会员提升技术水平。开展了期货公司申请更高类别技术检查，对 30 家公司进行现场检查；截至年底，共有 1 家期货公司达到了四类标准，46 家公司达到了三类标准。根据证信办要求，举办了 3 场期货公司技术人员培训，承办了 2 场行业信息技术顾问培训，对期货公司、技术服务商、证监局以及核心机构的相关人员进行了培训。召开了期货行业“三商”座谈会，集中讨论了期货公司使用交易、行情软件和技术服务过程中普遍反映的问题，促使“三商”提高服务水平。

Secondly, CFA actively improved the level of industrial information technology. It organized to formulate Guidelines of Core Application Software Products and Technical Service Contract Elements of the Futures Companies and Guidelines for Management of Information System Hosting Service Technology of Securities and Futures Industries to guide the members to improve the technology level. CFA carried out higher-level technical inspection applied by the futures companies and conducted onsite inspection on 30 companies; up to the end of 2012, 1 futures company came up to the four-category standard and 46 companies reached the three-category standard. According to the requirements of CSRC Agency, CFA held three trainings for technician of the futures companies, undertook 2 trainings for information technology consultants, and developed trainings for relevant personnel of the futures companies, technical service providers, CSRC and core institutions. It also held the symposium of “three-level distributors” in the futures industry and focused on discussing the issues reflected by the futures companies during application of the transactions, situation software and technical service to urge “three-level distributors” to improve service level.





(六) 积极组织行业交流活动，加强和政府等相关部门的沟通协作，促进国际交流与合作，不断优化行业发展环境。

(VI) CFA actively organized industrial exchange activities, strengthened the communication and cooperation with the government sectors and other related departments and promoted international exchange and cooperation to optimize the industrial development environment constantly.

一是积极促进行业内的沟通交流。成功举办了第六届中国期货分析师论坛、第八届中国（深圳）国际期货大会、期货公司服务“三农”和产业客户经验交流会等各类行业会议，充分利用 QQ 群，促进联系会员、首席风险官以及会员间的沟通交流。编辑发行了 7 期《中国期货》，组织撰写了《中国期货业发展报告（2012）》、《期货公司财务分析报告（2011）》等刊物，全面系统地总结、展示行业发展成果。

Firstly, CFA actively promoted communication and exchange in the industry. It successfully held the 6th China Derivatives Analyst Forum, the 8th China (Shenzhen) International Derivatives Forum, Meeting of Exchanging Experience of Futures Companies in Serving ‘Agriculture, Rural Areas and Farmers’ and Industrial Customers” and many other industrial meetings and took full advantage of QQ groups to promote the communication and exchange among affiliated members, chief risk officers and the members. Furthermore, it edited and released China Futures in seven installments, organized the compilation of China Futures Industry Annual Report (2012), Financial Analysis Report of Futures Companies (2011) and other publications, which summarized and presented industrial development outcomes comprehensively and systematically.



二是不断密切与相关机构的联系合作。探索建立了与期货一部、期货二部等“五位一体”相关部门的定期交流机制，加强了与上述单位的沟通协作。通过情况反映、调研简报和工作动态等方式，及时将行业热点、焦点问题反映给相关部门。更加注重和政府相关决策机构的联系，积极邀请发改委、农业部等相关领导参加行业会议，促进政府部门对期货市场功能作用的认识。

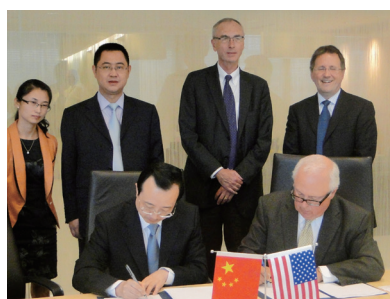
Secondly, CFA always kept close contact and cooperation with related institutions. It established a mechanism for periodic exchange with Department I of Futures, Department II of Futures and other related departments based on "five-in-one" principle and strengthened the communication and cooperation with the above units. Through situation reflection, brief report on investigation and research, major events and other modes, CFA timely fed back hot issues and focuses in the industry to related departments. It paid more attention to the contact with related decision-making bodies and actively invited relevant leaders of National Development and Reform Commission, the Ministry of Agriculture, etc. to attend the industrial meetings to promote their understanding of the function of the futures market.





三是加大了国际交流与合作的力度。组织参加了 4 个国际性会议和论坛，并利用在美国、加拿大举办研修班的机会，拜访了美、加等衍生品市场的监管部门、金融机构以及行业协会。接待了来自欧洲、美国、加拿大、澳大利亚、巴西、台湾等 30 余家境外机构的来访。先后与全美期货业协会（NFA）、欧洲期货交易所（EUREX）和芝加哥商业交易所（CME）签署了合作备忘录，从高层互访、人员培训、合作研究等方面建立了更加紧密的联系机制，为促进境内外机构的交流合作，提升中国期货行业的国际影响力奠定了良好基础。

Thirdly, CFA intensified the efforts in international exchange and cooperation. It organized to participate in 4 international meetings and forums and visited regulatory authorities, financial institutions and industry associations of derivatives markets in the United States and Canada by taking the opportunity of holding training classes in US and Canada. It received more than 30 overseas institutions from Europe, US, Canada, Australia, Brazil, Taiwan, etc. and successively signed the memorandum of understanding (MoU) on cooperation with National Futures Association (NFA), EUREX and Chicago Mercantile Exchange (CME), thus establishing a higher contact mechanism in terms of high-level reciprocal visits, personnel training, cooperation and research, etc. and laying a solid foundation for promoting exchange and cooperation between overseas and domestic institutions and improving the international influence of China's futures industry.



(七) 加强队伍建设, 规范内部管理, 积极探索新形势下自律组织的改革发展问题, 为协会职能作用的有效发挥奠定扎实基础。

(VII) CFA strengthened team construction, regulated the internal management and actively explored the reform and development of self-regulatory organizations in the new situation to lay a solid foundation for effectively giving full play to the function of CFA.

一是进一步加强了员工队伍建设。以“领导干部下基层”和“创先争优”活动为契机, 深入加强员工作风建设, 切实增强服务意识。认真贯彻落实民主集中制和党风廉政责任制, 加强沟通交流, 重大问题集体研究决定, 定期开展党委中心组学习、每月一课、每季一查、半年一评等党的各项活动, 建立健全学习和民主监督制度; 积极发挥支部战斗堡垒作用, 发展了 1 名预备党员和 1 名正式党员, 增强了员工队伍的大局意识; 通过公开招聘录用了 8 名新员工, 组织开展了拓展训练、主题党日活动等集体活动, 成立了五个兴趣小组, 组织了 10 多期业务培训, 全面提升员工队伍的战斗力和凝聚力。2012 年, 协会及 3 名员工分别荣获了全国金融系统思想政治工作先进单位、先进个人、证券期货监管系统五一劳动奖章以及全国金融系统企业文化建设先进工作者等荣誉。

Firstly, CFA further strengthened the construction of employees' team. By taking the opportunity of “leaders and managers going to grassroots units” and “creating excellence”, CFA deeply enhanced the working style construction of employees to effectively improve their service awareness. It seriously carried out democratic centralism and the responsibility system for construction of the Party conduct and of an honest and clean government, enhanced communication and exchange, discussed the major issues and made decisions collectively, periodically developed various Party's activities like Party Committee center group learning, one lesson every month, quarterly inspection and semiannual assessment and established and improved learning and democratic supervision system; actively gave full play to the effect of CPC's branch as a fort, cultivated 1 probationary party member and 1 full member of the party, and enhanced the overall consciousness of employees' team; employed 8 new staffs through open recruitment, organized outward bound, theme activities on the set days and other collective activities, set up five hobby groups, and organized more than ten business trainings, to enhance combat effectiveness and cohesive force of employees' team. In 2012, CFA and three employees were awarded as “Advanced Unit in Ideological and Political Work of National Financial System”, “Advanced Individual”, “May 1st Labor Medal of Securities and Futures Regulatory System” and “Advanced Worker in Enterprise Culture Construction of National Financial System” respectively.



二是进一步规范了内部管理。完善修订了涉及部门职责、考勤管理、职务聘任、财务、招聘、外事、党务纪检等 14 项内部制度，制定了财务报销、费用申请、公文格式等工作流程和模板，特别是坚持了重大问题集体研究决策的原则，管理的规范性、制度化水平得到进一步提高。严格遵守财务纪律，开展了考试经费使用情况的专项审计。加强协会网站改版和信息技术系统灾备建设，开展了软件正版化工作，规范了协会文件流转和涉密信息管理。同时，组织开展了“绿色办公行动”，开展了清理办公桌、绿箱子、内网改版等专项活动，制定了《绿色行动指南》，强化了员工的环保意识和社会责任感。

Secondly, CFA further regulated the internal management. It improved and revised 14 internal systems relating to department responsibilities, attendance management, appointment of position, finance, recruitment, foreign affairs, Party affairs and discipline inspection, etc., formulated work processes and templates for financial reimbursement, charges application, documentary form, etc., and particularly adhered to the principle of collectively researching solutions for major issues, thus further improving the normalization and systematization level of the management. It conducted special audit on the use of examination funds in strict compliance with financial disciplines, enhanced website revision of CFA and disaster recovery construction of information technology system, developed software legalization and standardized the management of document circulation and secret-related information. Meanwhile, CFA also organized “Green Office Action”, developed desk cleaning, green boxes, intranet revision and other special activities and formulated Guidelines for Green Action to strengthen the employees’ environmental consciousness and social responsibility sense.

三是开展了协会改革发展的研究探索。为落实郭树清主席批示精神，协会对美国期货业协会的组织架构和发展运作进行了深入研究；认真学习讨论了张育军主席助理在协会工作汇报会上的讲话精神，深入讨论了行政监管与自律管理的关系以及新形势下自律、服务、传导新内涵等问题；成立了协会发展定位专项工作小组，积极研究探讨下一步协会改革发展的相关问题，为协会今后工作的有效奠定理论基础。

Thirdly, CFA developed research and exploration on its reform and development. To implement the guiding principles with written instructions from CSRC President Guo Shuqing, CFA conducted an in-depth research on organizational structure, development and operation of Futures Industry Association, developed serious learning and discussion on the talks delivered by the President Assistant Zhang Yujun at the report-back meeting of CFA, discussed in depth the relation between administrative supervision and self-regulation management as well as issues like new connotation of self-regulation, service and guiding, set up a special team of development orientation and actively researched and discussed the issues concerning the subsequent reform and development of CFA to lay a theoretical basis for the effective works in the future.



# 中国期货业协会现行自律 规则目录

Directory of Current  
Self-regulatory Rules of China  
Futures Association

---



# 1. 中国期货业协会章程

## 1. Charter of the China Futures Association

### 一、会员和从业人员管理类

#### I. Administration of member and practicing personnel

2. 中国期货业协会会员管理办法  
Administrative Measures for the Member of China  
Futures Association

3. 中国期货业协会联系会员管理办法（试行）  
Administrative Measures for the Contact Member of  
China Futures Association (Trail)

4. 中国期货业协会会费收取办法  
Association Dues Collection Measures of China  
Futures Association

5. 中国期货业协会会员自律公约  
Member Self-regulatory Convention of China Futures  
Association

6. 中国期货行业反商业贿赂诚信公约  
Anti-commercial Bribery Integrity Convention of  
China Futures Association

7. 期货从业人员资格考试管理规则（试行）  
Measures for the Administration of the Qualification Test of the  
Practicing Personnel Engaging in the Futures Business (Trail)

8. 期货从业人员资格管理规则（试行）  
Measures for the Administration of the Qualifications of the  
Practicing Personnel Engaging in the Futures Business (Trail)

9. 期货从业人员执业行为准则（修订）  
The Standards of Conduct for the Practicing Personnel  
Engaging in the Business of Futures (Revised)

10. 期货从业人员后续职业培训规则（试行）  
Rules for Follow-up Professional Training of the Practicing  
Personnel Engaging in the Futures Business (Trail)

11. 中国期货业协会纪律惩戒程序（修订）  
Disciplinary Punishment Program of China Futures  
Association (Revised)

12. 中国期货业协会批评警示工作程序  
Working Procedures for Criticism and Warning of  
China Futures Association

13. 中国期货业协会行业信息管理平台管理规则（修订）  
Administrative Rules for Information Management  
Platform of China Futures Association (Revised)



## 二、业务规范类

### II . Business code

#### 14. 《期货经纪合同》指引

Guidelines of Futures Brokerage Contract

#### 15. 期货经纪合同备案审查办法

Measures for the Record Review of Futures Brokerage Contract

#### 16. 股指期货交易特别风险揭示

Special Risk Alert of Stock Index Futures Trading

#### 17. 期货公司执行股指期货投资者适当性制度管理规则（试行）

Administrative Rules for the Eligibility System of the Investors Implementing Stock Index Futures (Trail)

#### 18. 证券公司为期货公司提供中间介绍业务协议指引（修订）

Guidelines for the Security Company Providing Intermediate Introduction Service Agreement to Futures Company (Revised)

#### 19. 期货投资咨询服务合同指引（中期协字〔2011〕77号）

Guidelines for the Futures Investment Consultation Service Contract (ZQXZ [2011] No. 77)

#### 20. 期货公司资产管理合同指引

Guidelines for the Assets Management Contract of Futures Company

#### 21. 期货公司资产管理业务投资者适当性评估程序（试行）

Appraisal Procedure for Investor Eligibility of Assets Management Business of Futures Company (Trail)

#### 22. 期货公司设立子公司开展以风险管理服务为主的试点工作指引

Guidelines for Developing Pilot Work Giving Priority to Risk Management Service by Futures Company by Establishing Subsidiaries

#### 23. 期货投资者教育工作指引

Guidelines for the Education of Futures Investor

#### 24. 中国期货业协会会员单位反洗钱工作指引

Guidelines for AML of the Member Units of China Futures Association

#### 25. 期货公司反洗钱客户风险等级划分标准指引

Guidelines for the Classification Standard of Risk Grade of AML Customer of Futures Company

#### 26. 期货公司会计科目设置及核算指引

Guidelines for the Setting and Computation of Accounting Subject of Futures Company

## 27. 期货投资者信用风险共享管理办法 (试行)

Administrative Measures for Credit Risk Share of  
Futures Investors (Trail)

## 28. 期货投资者信用风险共享管理办法 实施细则(试行)

Rules for the Implementation of the Administrative  
Measures for Credit Risk Share of Futures Investors

## 29. 期货公司设立子公司开展以风险管 理服务为主的业务试点工作指引

Guidelines for Developing Business Pilot Work  
Giving Priority to Risk Management Service by  
Futures Company by Establishing Subsidiaries

## 三、信息技术类

### III . Information technology

## 30. 期货公司信息技术管理指引(修订)

Guidelines for the Administration of Information  
Technology of Futures Company (Revised)

## 31. 证券期货经营机构信息技术治理工 作指引(试行)

Guidelines for the Information Technology  
Governance of Security and Futures Institute (Trail)

## 32. 期货公司网上期货信息系统技术指引

Technological Guidelines for the Online Futures  
Information System of Futures Company

## 33. 股指期货风险监控系統功能要求指引

Guidelines for the Functional Requirements of  
Stock Index Futures Risk Monitoring System

## 34. 股指期货交易会员端系統接口开放指引

Guidelines for the System Interface at Member End  
of Stock Index Futures Trade

## 35. 期货经纪公司电子化交易指引

Guidelines for the Electronic Futures Trade of  
Futures Commission Merchant



# 2012 年协会大事记

Chronicle of events of China  
Futures Association (CFA)  
in 2012

---





# 一月 January

- 1月10日，中期协召开全体员工大会，传达和学习2012年全国金融工作会议、全国证券期货监管工作会议以及全国证券期货监管系统纪检工作会议的重要精神。党委书记、会长刘志超同志主持会议，协会班子成员及全体员工参加了会议。会议传达了温家宝总理、王岐山副总理、郭树清主席等国务院和证监会领导的讲话精神，并要求继续通过党委中心组学习等多种形式，深入学习上述三个重要会议的精神，组织班子成员和全体员工开展讨论交流，以进一步深化认识，领会精神，统一思想，明确方向；同时，在学习讨论的基础上，紧密结合协会工作实际，将会议精神贯彻落实到协会2012年的具体工作中，对已经制定的工作计划进行相应调整，确保协会工作紧密围绕证监会党委的中心工作开展。
- On January 10, CFA held staff meeting to deliver and study the important spirit of 2012 national financial work conference, national securities & futures supervision work conference and discipline inspection work conference of national securities and futures supervision system. Liu Zhichao, CPC Party Secretary and the President held the meeting while the members of CFA and all staff attended the meeting. The meeting delivered the spirit of speeches of Premier Wen Jiabao, Vice-premier Wang Qishan, Chairman Guo Shuqing and other leaders of the State Council and CSRC, and put forward requirement of studying more on the spirits of the above three important conferences through study of CPC central group and other forms, and organizing the members and all staff to carry out discussion and exchange for further deepening recognition, understanding the spirit, unifying the thought and making sure the direction. Meanwhile, on the basis of study and discussion, implement the meeting spirit into specific work of 2012 by closely combining the actual work of CFA and adjust the existing work plan correspondingly, thus ensuring work of CFA is carried out by centering on the central work of CPC Committee of CSRC.
- 1月12日，协会组织召开了2011年度总结表彰大会，协会领导分别点评了分管部门的工作，并宣布和表彰了2011年度优秀、良好员工以及在证监会和协会举办的各项集体活动中获得奖项的人员。会议充分肯定了各部门2011年取得的工作成绩，提出了存在的主要问题，指出了今后的努力方向。会议要求，全体员工要认真学习全国金融工作会议和证券期货监管工作会议的相关精神，深刻理解新形势下协会“自律、服务、传导”职能的新内涵，进一步改进工作作风，牢固树立宗旨意识和公仆意识，全心全意为会员和投资者服务。
- On January 12, CFA organized and convened annual summary and commendatory meeting of 2011. At the meeting, the leaders commented on works of each department respectively, then announce and commend excellent and good employees of 2011 and those winning awards in all group activities held by CSRC and CFA. The meeting fully confirmed the work performance achieved by all departments in 2011, raised the major existing problems and pointed out the future striving direction. It requires all staff to carefully study relevant spirits of national financial work conference and securities & futures supervision work conference, deeply understand the new meanings of “self-regulation, service and conduction” functions of CFA under new situations, further improve working style and firmly establish the consciousness of purpose and public servant, thus whole-heartedly serving the members and investors.
- 1月16日，完成了结算手续费问题的调研，形成了《关于尽快实施期货结算手续费制度的建议》上报证监会。
- On January 16, it finished investigation into settlement commission charge, formed Suggestions on Implementing the System of Futures Settlement Commission Charge ASAP and reported it to CSRC.

- 1月18日, 2012年期货从业人员资格考试公告(2012年考试第1号)通过协会网站向社会发布。2012年共举办五次期货从业人员资格考试和两次“期货投资分析”考试。考试分别在3月、5月、6月、9月和11月举行。
- On January 18, notice of futures qualification exam in 2012 (2012 KS No.1) was issued to the public through network of CFA. In 2012, totally five futures qualification exams and two “futures investment analysis” exams were held. These exams are held in March, May, June, September and November respectively.
- 1月, 编写完成了《2011年期货公司经营情况分析》, 对期货公司2011年财务状况和经营成果进行了详尽分析, 并以《情况反映》形式报送证监会。
- In January, it compiled Business Conditions Analysis of Futures Companies in 2011 to perform detailed analysis on financial situation and operating results of futures companies in 2011 and report to CSRC in form of Conditions Reflection.

## 二月 February

- 2月7日, 协会起草完成了《2011年期货公司信息安全事故分析报告》。该报告全面分析和总结了2011年期货公司发生的信息安全事故情况, 并对其中的普遍性问题提出了建议。
- On February 7, CFA drafted and finished Analysis Report on Information Safety Accident of Futures Companies in 2011, which comprehensively analyzed and summarized the information safety accidents of futures companies in 2011, with suggestions raised for common problems therein.
- 2月9日, 协会领导会见了来访的CME集团全球客户发展与销售部董事总经理贺艾莉、亚太区董事总经理诺贝尔、市场部董事总经理米德等一行。双方就期货公司高管人员境外培训的相关课程安排及考察事宜, 进行了深入的沟通与交流。
- On February 9, the leaders met the visiting party of CME Group, including Managing Director of Global Customer Development and Sales Department, He Aili, General Director of APAC, Nobel, Managing Director of Marketing Department, etc. Both parties performed deep communication and exchange on relevant course arrangement and investigation of overseas training for top managers of futures companies.
- 2月14日和17日, 协会分别在上海、深圳举办了原油期货上市问题座谈会, 来自上海、江浙、广东、深圳地区的19家会员单位参加了会议。会议主要就原油期货上市后境外中介机构的准入模式、风险管理、行业自律等相关问题进行了深入讨论。
- On February 14 and 17, CFA held symposium on crude oil futures marketing in Shanghai and

Shenzhen, with 19 member companies from Shanghai, Zhejiang, Guangdong and Shenzhen attended. The forum mainly deeply discussed the admission mode, risk management, industrial self-regulation and relevant issues of overseas intermediary organ after crude oil futures are marketed.

- 2月中旬,为贯彻落实证监会党委《关于坚持为民服务导向,切实改进工作作风,进一步深入开展为民服务创先争优活动的通知》精神,协会党委经认真研究,分别制定了《领导干部深入基层调研实施方案》和《创先争优民主评议实施方案》,并开展了具体调研计划的制定和创先争优民主评议材料的相关准备工作。
- In midmonth of February, for implementing the spirit of Notice on Sticking to the Orientation of Serving People, Practically Improving Working Style and Further Carrying out the Campaign of Serving People and Contending for Excellence by CPC Committee of CSRC, CPC Committee of CFA respectively formulated Implementation Scheme of Leading Cadres Going to Grassroots and Implementation Scheme of Democratic Appraisal of Contending for Excellence through careful study, then formulated specific research plan and prepared democratic appraisal materials of contending for excellence.
- 2月17日-18日,《期货经纪合同要素标准》制定工作第三次会议在深圳召开,参与标准制定工作的5家期货公司及协会相关部门人员对标准初稿进行了统稿,并基本完成了标准起草说明的编制工作。
- From February 17 to February 18, the third meeting of preparing Standard for Elements of Futures Brokerage Contract was held in Shenzhen. Relevant department personnel of the five futures companies and CFA taking part in standard preparation compiled the first draft of standard and basically formed drafting instructions of standard.
- 2月20日,协会向全体会员发布了《期货行业诚信建设2012年重点工作计划》。根据该计划,2012年协会引导行业开展了诚信建设教育活动、组织主题征文活动、建立完备的自律规则体系、建立健全诚信监督管理和失信惩戒机制、整合诚信建设各方力量等五方面推动期货行业诚信建设。
- On February 20, CFA issued Major Work Plan for Honesty Construction of Futures Industry in 2012 to all members. According to such plan, CFA will lead the industry to carry out honesty construction and education activities, organize topic essay writing competition, establish sound self-regulation rule system, establish and perfect honesty supervision management and dishonesty punishment mechanism and integrate all powers of honesty construction, so as to push forward honesty construction of futures industry.
- 2月20日,协会向全体会员发布了《关于组织开展期货公司发展定位大讨论的通知》,组织各会员单位在认真学习思考郭树清主席提出的“三个如何”讲话精神的基础上,围绕期货公司的典型业务是什么、什么是国际一流的期货公司、期货行业应如何更好地服务于实体经济尤其是“三农”和中小企业等问题开展研究讨论。
- On February 20, CFA issued Notice on Organizing and Carrying out Development and Positioning Discussion of Futures Companies to all members, and organize all members to research and discuss the problems such as what is the typical business of futures companies? What is international first-rate futures company? And how should futures industry better serve entity enterprise, esp. “Three Agricultures” and medium-sized and small enterprises based on carefully studying and thinking the spirit of “Three how” by Chairman Guo Shuqing.
- 2月20日,协会完成了《期货市场教程(第七版)》、《期货法律法规(第四版)》教材和《期货投资分析》教材第二版的修订改版工作,同时启动了《期货投资分析》教材第三版的改版工作。
- On February 20, CFA revised the teaching materials of Futures Market Course (7th edition), Futures Laws and Regulations (4th edition) and Futures Investment Analysis (2nd edition), and launched the revision of Futures Investment Analysis (3rd edition).
- 2月21日,协会在期货日报、中国证券报、上海证券报等三家报纸同时刊登了《诚信建设是百年大计也是当务之急》,2月28日刊登了《浅论期货行业诚信建设》,3月6日刊登了《探究中外诚信文化促进诚信体系建设》,大力宣传和贯彻《期货业诚信建设实施指导意见》精神,进一步推动期货行业诚信建设。

- CFA published Honesty Construction Refers to a Long-range Program and Urgent Priority on Futures Daily, China Securities Journal and Shanghai Securities News on February 21, published Brief Discussion on Honesty Construction of Futures Industry on February 28 and Research on Honesty Culture in China and Foreign Countries and Improve Honesty System Construction on March 6, to propaganda and implement the spirit of Implementation Guidance on Honesty Construction of Futures Industry, thus further promoting honesty construction of futures industry.
- 2月28日至3月7日, 针对2011年期货从业资格检查中发现的违规问题, 协会对18家存在员工在本公司开户交易行为的期货公司采取了约见高管谈话的自律管理措施, 对公司存在的违规行为进行了批评警示, 并对期货公司加强合规管理及内控制度建设提出了具体要求。通过约见谈话, 各公司高管人员进一步强化了合规诚信意识, 期货从业人员违规交易行为得到有效治理。
- From February 28 to March 7, aiming at the violations discovered in futures qualification inspection of 2011, CFA adopted self-regulation management measures by chatting with top managers on the 18 futures companies with staff opening account and trading transactions in their own companies, criticize and warn the violations existing in companies and strengthen the compliance management and raise specific requirements on internal control system construction of futures companies. Through appointment and chatting, top managers of all companies further strengthened the consciousness of compliance and honesty, which effectively controlled illegal trading of futures employees.
- 2月, 为进一步规范和强化制度建设, 不断提升内部管理水平, 协会先后起草修订并发布实施了《中国期货业协会工作人员考勤管理办法》、《中国期货业协会会议费管理办法》、《中国期货业协会差旅费管理办法》以及《中国期货业协会财务报销办法和流程》、《中国期货业协会部门设置及职责任务》以及《中国期货业协会工作人员职务聘任管理办法(试行)》等内部制度。
- In February, for the purposes of further normalize and strengthen system construction and continuously improving internal management level, CFA successively drafted, revised, issued and implemented Management Method on
- Staff Attendance of China Futures Association, Management Method on Conference Expenses of China Futures Association, Management Method on Travel Expenses of China Futures Association, and Method and Procedure for Financial Reimbursement of China Futures Association, Department Setting and Duties & Responsibilities of China Futures Association, Management Method on Appointment of Staff Position of China Futures Association (Trial) and other internal systems.
- 2月, 以服务产业客户和实体经济, 服务普通投资者为宗旨的《期货投资者教育丛书》陆续发放到各地向行业赠阅。该套丛书目前已出版19册, 涉及23个上市品种。丛书经各地方协会发放到各期货公司和营业部, 展放在经营场所免费供投资者取阅。
- In February, Futures Investor Education Series aiming at serving industrial customer and real economy as well as common investors were successively issued around China and given free by publisher. The series had 19 volumes published, involving 23 marketed varieties. They were distributed to each futures company and sales department by local association, and exhibited in operation field for borrowing by investors freely.
- 2月, 为落实推进原油期货上市工作, 协会成立了原油期货上市问题研究课题组, 全面开展课题研究工作。为了做好相关研究工作, 协会充分了解和征求了市场各方意见和建议, 先后在上海、深圳和北京等地多次召开座谈会, 与交易所和期货公司展开深入沟通和讨论, 并专门与ICE、RBS等境外机构进行了交流, 在此基础上撰写了阶段性研究报告——《原油期货境外中介代理模式可行性研究》。
- In February, for implementing and promoting the marketing of crude oil futures, CFA established research group of crude oil futures marketing to comprehensively carry out research work. In order to well perform relevant researches, CFA held several symposiums in Shanghai, Shenzhen, Beijing and other cities successively by fully understanding and seeking the opinions and suggestions of all parties, then conducted deep communication and discussion with exchanges and futures companies, specially exchanged with ICE, RBS and other overseas institutions, and compiled phased research report - Feasibility Study on Overseas Intermediary Agent Mode of Crude Oil Futures on such basis.



# 三月 March

- 3月1日,为配合行业信息管理平台升级工作,协会向各期货公司下发了《关于对行业信息管理平台从业人员基本信息进行核查的有关工作的通知》及《补充通知》,对从业人员基本信息进行核查,保证从业人员平台基础信息的真实、准确、完整。
- On March 1, in order to coordinate with the upgrade of industrial information management platform, CFA issued Notice on Relevant Works of Checking Basic Information of Employees Involving in Industrial Information Management Platform and Additional Notice to check the basic information of employees, thus ensuring authentic, accurate and integrate basic information of employees.
- 3月6-9日,协会召开了《期货公司信息安全事故案例手册》编写工作第一次会议,成立了编写组,确定了编写大纲和案例模板,集中开展起草工作。
- From March 6 to March 9, CFA convened the first meeting of preparing Manual of Information Safety Accident Cases of Futures Companies, established compilation group and determined outline and case template for intensively launching the drafting work.
- 3月13-21日,协会就《<期货经纪合同>必备要素(征求意见稿)》向行业各单位征求了意见,共收到包括监管部门、期货交易所、保证金监控中心及期货公司在内的90余家单位的反馈意见近300条。3月28-29日,协会在上海召开了《<期货经纪合同>必备要素》制定工作第四次会议,对各方反馈意见进行了认真讨论和适当吸收,形成了《<期货经纪合同>必备要素(草案)》。
- From March 13 to March 21, CFA collected opinions for Essential Element of <Futures Brokerage Contract> (Exposure Draft) from all units of the industry, with nearly 300 feedback opinions from more than 90 units including supervision department, futures exchanges, futures margin monitoring center and futures companies. During March 28-29, CFA held the fourth meeting of preparing Essential Element of <Futures Brokerage Contract> (Exposure Draft) to carefully discuss and properly absorb all feedback opinions, with Essential Element of <Futures Brokerage Contract> (Exposure Draft) compiled.
- 3月17日,2012年第一次期货从业人员资格考试在全国35个城市举行。此次考试共报名48619科次。参加期货基础知识科目考试的有24456人,参考率为66.14%,通过率为36.70%;参加期货法律法规科目考试的有24163人,参考率67.95%,通过率为43.31%;基础和法规两门科目都通过的比率为27.04%。
- On March 17, the first futures qualification exam of 2012 was held in 35 cities all over the country, with totally 48619 subjects/times applied. Therein, 24456 people took the exam of basic knowledge on futures, with attendance rate of 66.14% and passing rate of 36.70%; 24163 people took the exam of futures laws and regulations, with attendance rate of 67.95% and passing rate of 43.31%; the passing rate of both basic knowledge and laws and regulations is 27.04%.
- 3月20日,以加强期货公司及从业人员合规诚信建设为宗旨的《期货行业警示录》陆续发放到各地向行业赠阅。该书收录了近年来发生的期货交易纠纷案例32个,系统全面地梳理了期货法律法规及公司经营中的涉诉风险,对于提升期货公司风险控制与合规管理水平具有重要作用。
- On March 20, Warnings for Futures Industries aiming at strengthening compliance and honesty construction of futures companies and employees was successively issued around China and given free by publisher. Collecting 32 futures trade dispute cases in recent years, it systematically and comprehensively reviewed the litigation-related risk in futures laws and regulation and company operation, thus playing an important role in improving risk control and compliance management level of futures companies.
- 3月20日,为配合证监会期货行业诚信档案数据库建设工作,协会向各期货公司下发《关于严格执行诚信

信息填报要求的通知》，要求各期货公司在期货行业信息管理平台上及时、准确、完整填报本公司及所属从业人员诚信信息。

- On March 20, for coordinating with credit archive database construction of futures industry of CSRC, CFA issued Notice on Strictly Carrying out Requirements of Credit Information Filling to all futures companies, which requires all futures companies to timely, accurately and completely fill and submit the credit information of their own and employees in information management platform of futures industry.

- 3月20日，协会第三届理事会第八次会议在北京召开。会议审议通过了《关于中国期货业协会2011年财务决算及2012年财务预算的报告》、《关于期货投资者教育基金和期货人才培养基金2011年财务决算及2012年财务预算的报告》、《期货人才培养专项基金管理办法（修订）》、《关于提高协会注册资本的建议》、《关于开展期货公司信息披露工作的报告》等5项议题。

- On March 20, The Eighth Meeting of the Third Council of CFA were held in Beijing, which reviewed and passed five issues, listed as Report on 2011 Financial Settlement and 2012 Financial Budget of China Futures Association, Report on 2011 Financial Settlement and 2012 Financial Budget of Futures Investor Education Fund and Futures Talent Training Fund, Management Method on Special Fund of Futures Talent Training (Revised), Suggestions on Improving Registered Capital of CFA, and Report on Carrying out Information Disclosure of Futures Companies.

- 3月21日，“期货公司中介定位和发展路径”座谈会在北京召开，协会全体理事及部分会员单位参加了会议，中国证监会主席助理姜洋、期货一部副主任冉华、期货二部副主任冯博、期货保证金监控中心总经理张晋生、总经理助理鄞强等同志应邀出席了会议。与会同志围绕着期货公司的中介定位和发展路径问题进行了深入交流。

- On March 21, symposium on “Intermediary Positioning and Development Path of Futures Companies” was held in Beijing. All directors of CFA and some member units attended the forum, and Jiang Yang, Assistant to the Chairman of CSRC, Ran Hua, Vice-director of Futures Department I, Feng Bo, Vice-director of Futures Department II, Zhang Jinsheng, General Manager of Futures Margin Monitoring Center, Feng Qiang, General Manager Assistant, etc. were invited to

the meeting. All participants deeply discussed the issues concerning intermediary positioning and development path of futures companies.

- 3月22日，协会发布了《关于进一步做好交易所减收手续费相关工作的通知》，针对中金所出台的手续费减收措施，对期货公司相关业务行为提出了规范要求。随后，协会对北京、上海等地的4家期货公司执行手续费减收措施的相关工作进行了现场检查，对规范期货公司财务管理制度、维护行业正常经营秩序起到了积极作用。

- On March 22, CFA issued Notice on Further Carrying out Relevant Works of Reducing Handling Charge of Exchanges, and put forward code requirements on relevant business activities of futures companies based on handling charge reduction measures issued by China Financial Futures Exchange. Later, CFA performed site inspection on relevant works of carrying out handling charge reduction measures by four futures companies in Beijing, Shanghai and other cities, which played an active role in normalizing financial management system of futures companies and maintaining normal operation order of the industry.

- 3月23日，协会在京召开北京地区部分期货公司等级保护交流会，邀请证监会证信办、北京市公安局西城分局以及中国信息安全测评中心的有关专家就信息安全等级保护工作政策和测评要求等进行了介绍。

- On March 23, CFA held grade protection exchange meeting of some futures companies of Beijing area in Beijing, and invited relevant experts of CSRC Agency of CSRC, West Branch of Beijing Municipal Public Security Bureau and CNITSEC to introduce the policy and evaluation requirements of information security class protection.

- 3月26日，协会在网站发布2012年度期货从业人员资格考试公告（2012年考试第3号），启动了5月第二次期货从业人员资格考试及第一次投资分析考试的考务组织工作。本次考试全国共计报名46560人、65779科次，其中期货基础知识28762科次，期货法律法规26372科次，投资分析10645科次。

- On March 26, CFA released the notice of futures qualification exam in 2012 (2012 KS No.3), and launched the organization of the second futures qualification exam of May and the first investment analysis exam. Totally 46560 people and 65779 subjects/times took the exam, with 28762 subjects/times of basic knowledge, 26372 subjects/times of

futures laws and regulations, and 10645 subjects/times of investment analysis.

- 3月26日, 为了加强从业人员日常管理, 协会以电子邮件的形式向会员再次下发《关于对行业信息管理平台从业人员基本信息进核查的有关工作的补充说明》, 针对各公司信息未更新情况进行了说明。
- On March 26, in order to strengthen daily management on employees, CFA issued Additional Notice on Relevant Works of Checking Basic Information of Employees Involved in Industrial Information Management Platform to members again by email, to explain the not updated information of all companies.
- 3月29日, 协会发出了《关于吸收山西省期货业协会成为协会联系会员的公告》, 吸收山西省期货业协会为中国期货业协会联系会员。至此, 协会联系会员已达34家。
- On March 29, CFA issued Notice of Absorbing Shanxi Futures Association as Affiliate Member to absorb it as the affiliate member of China Futures Association. Till then, CFA has had 34 affiliate members.
- 3月29日, 协会在上海召开了期货行业“三商”座谈会, 会议主要对期货公司普遍反映的交易、行情软件和技术服务等问题进行了交流, 对《期货公司核心应用软件产品与技术服务合同要素指引(草案)》进行了讨论, 并就建立期货行业“三商”备案和联席会议工作机制征求了与会单位意见。
- On March 29, CFA convened “Three-commerce” symposium of futures industry in Shanghai, mainly exchanging the issues concerning transaction, market software and technical services reflected by futures companies, discussing Guide to Core Application Software Product and Technical Service Contract Element of Futures Companies (Draft), and sought the opinions of participating units on establishing “Three-commerce” filing and joint work conference mechanism of futures industry.
- 3月30日, 为贯彻落实证监会党委《关于开展学雷锋活动的通知》精神, 协会发起组织了“春暖人间”爱心捐物活动, 倡议协会会员员工为贫困地区的老人和儿童捐献衣物和书籍, 两周内共向青海贫困地区捐赠干净衣物件290余件。
- On March 30, for implementing the spirit of Notice on Carrying out Learn-from-Lei Feng Activities of CSRC CPC Committee, CFA initiated and organized “Spring Fills the Air with Warmth”

love donation activity to advocate staff thereof to donate clothes and books to the old and children in poverty-stricken areas, with over 290 clean clothes donated to Qinghai poverty-stricken areas within two weeks.

- 3月31日, 协会组织全体员工开展了主题为“关爱人类环境, 倡导绿色文明”的春季植树踏青活动, 同时也揭开了协会开展“绿色行动”的序幕。该项活动倡议大家从自身做起, 从日常办公、生活中的点点滴滴做起, 不断提高环保意识, 践行环保精神, 为绿色北京贡献自己的力量。
- On March 31, CFA organized all staff to carry out spring planting and outing activities themed as “Caring human environment and advocating green civilization”, which lifted the curtain of “Green Actions”. It advocated beginning from oneself and trifles in daily work and life to continuously improve environmental awareness and practice the spirit of environmental protection, thus contributing efforts for Green Beijing.
- 3月, 按照证监会关于开展“领导干部下基层”工作的部署, 协会紧密结合2012年的重点工作, 制定了切实可行的调研方案, 成立了四个调研小组, 由领导班子成员带队, 分别围绕“期货公司如何更好地服务实体经济”、“期货行业诚信建设”、“对外开放背景下期货行业如何维护自身合法权益”、“期货公司中介定位与发展路径”等四个题目完成了北京、上海、广州、深圳、山东、重庆、西安、成都、安徽、湖南等11个地区的调研工作, 与数十家期货公司和现货企业进行了面对面交流。
- In March, according to the arrangement of CSRC on carrying out the work of “Leading cadres going to grassroots”, CFA formulated practical and feasible investigation scheme and founded four research groups by closely combining the key works of 2012, then finished investigations in 11 regions including Beijing, Shanghai, Guangzhou, Shenzhen, Shandong, Chongqing, Xi'an, Chengdu, Anhui and Hunan centering on four topics listed as “how should futures industry better serve entity enterprise”, “honesty construction of futures industry”, “how does futures industry safeguard its own legitimate interest under opening-door policy” and “intermediary positioning and development path of futures companies” under the leadership of leading group members, and performed face-to-face communication with dozens of futures companies and prompt goods industries.

# 四月 April

- 4月11-14日，第20期期货公司高管人员资质测试在京举行，共有193名现任或拟任高管参加了测试，其中159人通过，通过率82.38%。
- From April 11 to April 14, the 20<sup>th</sup> qualification test on top managers of futures companies was held in Beijing and totally 193 top managers currently holding the post or to be appointed took the test. Therein, 159 passed, with a passing rate of 82.38%.
- 4月11日，协会李强副会长接待了雷丁大学国际资本市场协会中心（ICMA CENTRE）代表EVANS先生，双方就金融期货学术研究、产品研发、投资者教育等议题进行了交流。
- On April 11, Li Qiang, Vice-president of CFA received Mr. EVANS, the representative of ICMA CENTRE of University of Reading. Both parties exchanged opinions on issues such as academic research on financial futures, product research and development, investor education, etc.
- 4月12-13日，中期协2012年第一次联系会员座谈会在苏州召开。会议围绕中期协今年的重点工作，对服务实体经济、加强行业自律、探索诚信制度建设等内容进行了广泛深入的讨论，听取了各地方协会的意见和建议，加强了联系会员之间的沟通和交流，为进一步形成自律管理合力奠定了基础。
- From April 12 to April 13, the first affiliate member forum in 2012 of China Futures Association was held in Suzhou. Centering on the major tasks of China Futures Association in the current year, it deeply and intensively discussed the contents such as serving real economy, strengthening self-regulation, exploring credibility system construction, etc., and took the opinions and suggestions of all local associations, thus strengthening the communication and exchange among affiliate members and laying foundation for further forming self-regulation force.
- 4月13 - 15日，《期货市场对大豆产业发展的影响作用》课题讨论会在京召开，中国期货业协会彭刚副会长、李强副会长兼秘书长、中粮期货黄辉总经理、大连商品交易所农产品事业部王玉飞总监等参加了会议。会议对课题内容进行了深入的讨论，并重新梳理了课题的框架，明确了课题修改的方向。
- From April 13 to April 15, topic discussion of Influences of Futures Market on Development of Soybean Industry was held in Beijing. Peng Gang, Vice-president of China Futures Association, Li Qiang, Vice-president and General Secretary, Huang Hui, General Manager of COFCO Futures Co., Ltd., Wang Yufei, Director of Agricultural Products Business Division of Dalian Commodity Exchange, etc. attended the meeting. It deeply discussed the contents, re-sorted the topic frame and made sure the direction of topic modification.
- 4月16日始，协会持续开展“期货投资咨询业务开展情况”调研活动，分别在上海、杭州两地重点调研了新湖期货、上海中期、东证期货、浙商期货以及中大期货等在开展咨询业务方面有特点的公司，与公司业务负责人进行了深入的交流讨论，取得了良好的效果。同时还向63家获得咨询业务资格的公司发放了问卷调查，全面了解该业务的开展情况。
- From April 16, CFA continued to carry out investigation into “Development of Futures Investment Consultation Business”, focused on investigating the companies featuring in consultation in Shanghai and Hangzhou respectively, including New Lake Futures Co., Ltd., CIFCO Futures, Orient Securities Futures, Zheshang Futures and Zhejiang Zhongda Futures Co., Ltd., and conducted deep exchange and discussion with business leaders of the companies, with favorable results obtained. Meanwhile, CFA also handed out questionnaires to 63 companies with consultation qualification to comprehensively understand the progress of consultation.



- 4月17日，“期货市场投资者教育服务创新交流会”在京举办，中国证监会主席助理姜洋出席会议并发表重要讲话。该次会议由中国证监会期货二部和中国期货业协会共同举办，证监会投资者保护局、部分证监局、各期货交易所、期货保证金监控中心、部分地方协会以及期货公司的代表共70余人参加了此次会议。会上，各有关方面的代表介绍了有关投教创新的经验，并围绕如何有效开展投教工作，使期货市场服务实体经济、服务‘三农’、服务国民经济的功能进一步提升等议题进行了讨论。
- On April 17, “Service Innovation Exchange Meeting of Futures Market Investor Education” was held in Beijing, and Jiang Yang, Assistant to Chairman of CSRC made an important speech. This meeting was jointly held by Futures Department II of CSRC and China Futures Association, and attended by more than 70 people, including Investor Protection Bureau, some securities regulatory commission, all futures exchanges, Futures Margin Monitoring Center and some local associations as well as representatives of futures companies. At the meeting, representatives of all relevant parties introduced the experiences of investor education and innovation, and discussed the issues such as how to further improve the function of futures market of better serving real economy, “Three-agriculture” and national economy centered on effectively carrying out investor education.
- 4月19-20日，“期货行业诚信建设”专题调研小组根据协会“领导干部下基层”工作部署，赴杭州开展调研活动。调研小组通过召开座谈会、走访会员公司等方式，对建立行业表彰机制和期货公司服务实体经济情况等问题进行了深入调研。
- From April 19 to April 20, special investigation group for “honesty construction of futures industry” went to Hangzhou for investigation according to work arrangement of “Leading cadres going to grassroots” of CFA. By means of convening symposium and visiting member companies, the group deeply investigated such issues as establishing industrial commendation mechanism and conditions of futures companies serving real economy.
- 4月20日，协会在杭州召开座谈会，南华、永安、中大、浙商、信达、大地等期货公司分管投资咨询业务和研发分析工作的人员以及期货投资分析教材编写组的有关专家参加了会议。会议围绕《期货投资分析》教材改版、期货分析师分级分类管理、期货投资咨询业务等主题进行了讨论，广泛听取了业界意见。
- On April 20, CFA held symposium in Hangzhou, which was attended by personnel responsible for investment consultation and R&D analysis of Nanhua Futures, Yong'an Futures, Zhongda Futures, Zheshang Futures, Cinda Futures, Dadi Futures and other futures companies, and relevant experts from Teaching Materials Writing Group of Futures Investment Analysis. At the meeting, the participants mainly discussed the topics such as revision of Futures Investment Analysis, hierarchical classification management of futures analyst, futures investment consultation, etc., and widely took the opinions of the industry.
- 4月21-22日，由协会主办，四家期货交易所和浙江期货行业协会协办，南华、浙江永安、中国国际、浙商、海通、广发、中大等期货公司共同承办的“第六届中国期货分析师论坛”在杭州成功举行，来自境内外政府机构、交易所、金融机构、现货企业的600余名专家和分析师参加了会议。本届论坛以“创新、服务、提升——与企业共同成长”为主题，除大会主会场外，还特设了“期货投资咨询业务研讨会”、“境外衍生品应用与分析研讨会”、“金融机构风险管理产品研讨会”、“机构与衍生品分论坛”、“商品期货分论坛”、“金融期货分论坛”、“”等六个分论坛，为与会人员提供了更加多样化、专业化的交流平台。
- From April 21 to April 22, “The Sixth China Futures Analyst Forum” sponsored by CFA, co-organized by the four futures exchanges and The Futures Association of Zhejiang, and jointly undertaken by Nanhua Futures, Zhejiang Yong'an Futures, China International Futures, Zheshang Futures, Haitong Futures, GF Futures, Zhongda Futures and other futures companies was held in Hangzhou, with over 600 experts and analysts from domestic and overseas governmental agencies, exchanges, financial institutions and spot goods enterprises attended. Themed as “Innovation, Service and Promotion – Grow with the Enterprise”, it specially set six sub-forums apart from the main venue to provide more diversified and professional exchange platform for the participants, namely, “Seminar for Futures Investment Consultation”, “Seminar for Overseas Derivatives Application and Analysis”, “Seminar for Risk Management Product of Financial Institution”, “Sub-forum for Institution

and Derivatives”, “Sub-forum for Commodity Futures” and “Sub-forum for Financial Futures”.

□ 4月24日, 协会召开纪律委员会案件处理工作会议, 在对有关当事人违规情况进行听证的基础上, 对2011年检查中发现的11名违规从事期货交易的高管人员, 分别给予“暂停从业资格6个月”、“暂停从业资格12个月”和“撤销从业资格并在3年内拒绝受理从业资格申请”的纪律惩戒决定。

□ On April 24, CFA held work conference on case disposition of Disciplinary Committee, and gave disciplinary punishment decisions of “Suspending occupational qualification for 6 months”, “Suspending occupational qualification for 12 months” and “Revoking occupational qualification and refusing such application within 3 years” on 11 top managers engaged in futures trading in violation of laws in 2011 inspection.

□ 4月25日, 协会刘志超会长接待了美国罗杰欧期货公司 (R.J. O’ Brien & Associates, LLC) 首席执行官 Gerald F. Corcoran先生, 双方就中美期货市场发

展等议题交换了意见。

□ On April 25, Liu Zhichao, the President of CFA accepted Mr. Gerald F. Corcoran, CEO of R.J. O’Brien & Associates, LLC, and both parties exchanged opinions on issues such as futures market development of the United States and China.

□ 4月24-26日, 协会在京举办期货公司信息安全等级保护、备份能力建设和网上交易强身份认证培训班, 160名期货公司总部技术人员和27家地方证监局期货处的相关负责同志参加了本期培训。在证信办的大力支持下, 协会邀请公安部第十一局、国家版权局、证监会有关部门、国家信息技术安全研究中心、中国信息安全测评中心、上期所、中金所、深证通以及部分证券公司和期货公司的有关专家, 从政策要求、实践方法、工作经验等不同层面, 围绕信息安全等级保护、备份能力建设和网上交易强身份认证三项专题开展了有针对性的培训。

□ From April 24 to April 26, CFA held training courses on information security class protection of futures companies, backup capability construction and strong ID authentication of online trading in Beijing, with 160 technicians of futures companies headquarters and relevant personnel from Futures Department of 27 local securities regulatory commissions attended. With the strong support of

CSRC Agency, CFA invited relevant experts from the 11th Bureau of Ministry of Public Security, National Copyright Administration of the People's Republic of China, relevant departments of CSRC, National Research Center for Information Technology Security, CNITSEC, Shanghai Futures Exchange, China Financial Futures Exchange, Shenzhen Securities Communication Co., Ltd., as well as some securities companies and futures companies to carry out targeted training from various levels such as policy requirements, practice method and work experience by centering on information security class protection, backup capability construction and strong ID authentication of online trading.

□ 4月24 - 27日, 《中国期货业发展报告 (2012)》统稿会在苏州举行, 协会有关领导以及部分报告编写组成员参加了会议, 对报告初稿进行了修改。

□ From April 24 to April 27, compiling meeting for Development Report of China Futures Industry (2012) was held in Suzhou. Relevant leaders of CFA and some members of report compiling group attended the meeting to modify the preliminary draft of the report.

□ 4月, 根据证监会党委关于做好证监会系统出席十八大党代表会议代表选举工作的通知要求, 协会经认真研究, 制定了代表评选工作方案, 组织召开了支部会议, 按照差额选举、匿名选举等原则, 选举产生了出席证监会系统十八大选举会议的参会代表; 同时, 按照《党的地方和基层组织选举工作流程》的有关规定和要求, 采取自下而上、上下结合、反复酝酿、逐级遴选方式, 开展了两个支部的分类定级工作。

□ In April, according to requirements of CSRC CPC Committee on notice of well performing representative selection of CSRC system attending The Eighteenth National Congress of the Communist Party of China. Through careful research, CFA formulate scheme of selecting representatives, organized and held branch meeting, and elected the representatives attending the election of meeting of The Eighteenth National Congress of CSRC system according to the principle of competitive election, anonymous election, etc. Meanwhile, it also adopted the mode of bottom up, combination of top and bottom, repeated deliberation and level-by-level selection according to related regulations and requirements of Election Workflow of Local and Primary Party Organizations, and carried out classified grading of two branches.

- 4月,根据证监会党委“关于印发《中国证监会党风廉政建设责任书》和《中国证监会处以下工作人员廉洁自律承诺书》的通知”精神,为进一步加强协会领导干部的党风廉政建设责任以及工作人员廉洁自律要求,按照《中国证监会党风廉政建设责任书》和《中国证监会处以下工作人员廉洁自律承诺书》样本,协会全体员工签署了廉政责任书、自律承诺书。
- In April, according to the spirit of “Notice on Issuing Letters of Responsibility for Party Construction and Corruption Restriction of CSRC and Letter of Commitment for Honesty and Self-discipline of Personnel from Divisions under Bureau Level of CSRC” of CSRC CPC Committee, and for the purpose of further strengthening the responsibility of party construction and corruption restriction of leaders and requirements on honesty and self-discipline of personnel of CFA, all staff thereof signed letter of responsibility for incorrupt government and letter of commitment for self-discipline according to the samples of Letters of Responsibility for Party Construction and Corruption Restriction of CSRC and Letter of Commitment for Honesty and Self-discipline of Personnel from Divisions under Bureau Level of CSRC.
- 4月,根据编写组要求,协会完成了《中国资本市场投资词典》中有关规章制度部分的词条试编工作,并提交编写组审核。
- In April, according to requirements of compiling group, CFA finished trail compilation of entry concerning relevant rules and regulations in Dictionary of China Capital Market Investment and submitted to compiling group for review.
- 4月,为增强员工节能环保意识,积极承担社会责任,协会启动了“绿色办公行动”,拟通过发布倡议书、征集志愿者、设置绿箱子、清理办公桌、午间关灯一小时、推广无纸化办公等丰富多彩的活动,倡导员工树立绿色环保意识,促进协会节能减排,降低日常办公消耗,提高工作效率。该项活动得到了协会全体员工的积极支持和热情参与。
- In April, for the purpose of strengthening staff's consciousness of energy-saving and environmental protection, and actively undertaking social responsibility, CFA launched “Greenpeace Office Action”, which planned to advocate staff to set up the awareness of green and environmental protection, promote energy-saving and emission-reduction of CFA, reduce daily office consumption and improve work efficiency by handing out initial written proposal, collecting volunteer, setting green box, clean office table, turning off light for one hour during the noon, popularizing paperless office and other diversified activities. As a result, it gained active support and enthusiastic participation from all staff of CFA.

## 五月 May

- 5月2-11日,李强副会长兼秘书长带队考察了美国、加拿大14家与协会境外培训项目有关的机构和单位。通过与以上机构和单位面对面沟通,进一步明确了培训项目的各关键问题,逐项落实了境外培训的相关细节,为后续工作的开展做了充分的准备。
- From May 2 to May 11, Li Qiang, Vice-president and General Secretary of CFA, led a team to inspect 14 organizations and units relating to overseas training programs of CFA in America and Canada. By the face-to-face communications with the above organizations and units, all key issues of

the programs were further specified and relevant details thereof were implemented one by one, thus making full preparations for the development of the follow-up work.

- 5月2日,协会党委中心组2012年第5次学习(扩大)会议召开,协会党委成员及部门副主任级以上人员参加了会议。会议传达了证监会纪委书记黎晓宏同志在新任纪委书记座谈会上的讲话精神;各党委成员结合《关于认真学习贯彻胡锦涛同志在十七届中央纪委第七次全会上的重要讲话的通知》和《中国证监会廉洁从政八项要求》的学习情况,畅谈了感想和体会,并结合协会工作实际,从落实改进工作作风,服务实体经济,加强工作的前瞻性和有效性等方面对下一步工作提出了要求。
- On May 2, the central team of CFA's Party Committee held the 5th study (enlarged) meeting in 2012, and members thereof and the personnel above Vice-director level of relevant departments attended it. At the meeting, the spirit of the speech by comrade Li Xiaohong, the secretary of Discipline Inspection Commission under CFA at the symposium for the new secretary of Discipline Inspection Commission was conveyed. Meanwhile, members of the Party Committee talked about their feelings and understandings by combining the study on the Notice of Seriously Studying and Implementing an Important Speech from Comrade Hu Jintao at the 7th Plenary Session of the 17th CPC Central Commission for Discipline Inspection and Eight Requirements of China Securities Regulatory Commission (CSRC) on Political Integrity, and put forward requirements for the future work in terms of implementing and improving work styles, serving the real economy and strengthening work forward looking and effectiveness based on the realities of CFA's work.
- 5月4-5日,协会组织开展了2012年春季拓展训练,通过趣味运动会、“先入咸阳者王”等活动项目,展现了大家积极进取、互助友爱的良好精神风貌,增强了员工的大局意识和组织协调能力,树立了勇于挑战自我的信心和战胜困难的勇气,也使大家进一步体会到了团队合作的重要性。
- From May 4 to May 5, CFA organized and developed the outward development in the spring of 2012. Through fun games, “A Winner Who Enters Xianyang First” and other activities, employees' aggressive and brotherly mental outlooks was reflected as well as overall awareness and organization & coordination skills were strengthened, thus making them establish the confidence to challenge themselves bravely and the courage to overcome difficulties, and further understand the significance of teamwork.
- 5月4日,协会在京召开行业信息管理平台数据库选型论证会,邀请5名业内信息技术专家从技术发展、应用范围、具体项目、数据集中存储和容灾备份等方面论证并确定了信息平台数据库选型方案。
- On May 4, CFA held a meeting on demonstrating the database selection of the industry information management platform in Beijing. 5 IT experts in this filed were invited to demonstrate in terms of technological development, application range, specific items, centralized data storage and disaster-tolerant backup and determine a program for the selection of information platform databases.
- 5月7-10日,根据中央保密局下发的《关于组织开展国家考试保密检查的通知》要求,按照证监会保密委员会办公室部署,协会认真组织完成了期货从业人员资格考试保密自查工作,并向证监会保密办上报了自查报告。
- From May 7 to May 10, according to the requirements of the Notice on Organizing and Developing the Confidential Inspection of National Examinations issued by the State Secrets Bureau and the Secrets Office of CSRC, CFA seriously organized and finished the self-inspection for confidentiality of futures practitioners' qualification examinations and submitted a self-inspection report to the Office.
- 5月8-15日,针对在交易所减收手续费相关工作现场检查中发现的违反协会自律规则和财务处理不规范等问题,协会对6家期货公司采取了约见高管谈话的自律管理措施,对公司存在的违规行为进行了批评警示。约见高管谈话在一定程度上起到了促进期货公司内控制度建设、维护行业公平竞争的作用。
- From May 8 to May 15, in regard to violations of CFA's self-regulatory rules, unstandardized financial transactions and other problems during site inspection relating to handling fee reduction of the securities exchange, CFA took a self-discipline management measure of talking with the senior executive of 6 futures companies, and criticized and gave warnings to the companies' violations. Talking with the senior executive played a role in promoting instruction building control in the companies and maintaining a fair competition in the industry to a certain extent.
- 5月9-11日,协会在京召开《期货公司信息安全事故案例手册》编写组第二次会议。会议主要对“案例手



- 册”章节结构进行了进一步调整,对信息技术委员会委员反馈意见进行了讨论和吸收,并分组开展了修改工作,形成了“案例手册”第二稿。
- From May 9 to May 11, CFA held the second conference for the preparation team of the Manual for Information Security Accident Cases of Futures Companies in Beijing. At the conference, the structure of chapters of the Manual was further adjusted, feedback opinions from members of the IT Committee were discussed, absorbed and modified by different teams, and the second draft of the Manual was made.
  - 5月10日,《期货公司财务分析报告》起草工作会议在北京召开,证监会会计部、期货二部和协会会员部相关同志参加了会议。会议确定了起草工作的内容要求和时间进度,正式启动了《2011年期货公司财务分析报告》的撰写工作。
  - On May 10, a meeting on drafting the Financial Analysis Report of Futures Companies was held in Beijing, and members of the Accounting Department and No.2 Futures Department of CSRC as well as CFA attended it. At the meeting, content requirements and schedule for drafting were determined, and the preparation of the Financial Analysis Report of Futures Companies in 2011 was started formally.
  - 5月11日,协会发布了《关于中期协联合研究计划(第七期)公开招标课题结项评审结果的公告》,完成了本期五个公开招标课题的研究和结项工作。
  - On May 11, CFA published the Announcement on Appraisal Results for Opening Bidding Topic Conclusion of Joint Research Program (the seventh) of China Futures Association (CFA), and finished the research and conclusion of 5 open bidding topics at this time.
  - 5月15日,根据证信办要求,协会在京组织召开《证券期货业信息系统托管机房技术管理标准》制定工作第一次会议。会上成立了标准制定工作组,对开展标准制定工作的思路和方法进行了深入讨论,并明确了制定工作计划和具体分工。
  - On May 15, according to the requirements of CSRC Agency, CFA organized and held the first meeting on the formulation of Management Standards for Computer Room Technology of Information System Trusteeship of Securities and Futures Industries in Beijing. At the meeting, a standard formulation team was established, ideas and methods for standard formulation were discussed thoroughly, and a work plan and specific division of labor were made.
  - 5月16日,协会召开行业信息管理平台从业人员数据库升级工作研讨会,就前期根据日常工作实际和各期货公司提出的平台修改意见形成的《行业信息管理平台从业人员数据库升级意见汇总表》及具体实施的可行性进行了探讨。
  - On May 16, CFA held a seminar on practitioner database upgrade of industry information management platform. At the seminar, A Summary Sheet on Practitioner Database Upgrade of Industry Information Management Platform based on daily realities of work and platform amendments proposed by futures companies and the feasibility of its implementation were discussed.
  - 5月中旬,协会完成了《2012年第一季度期货公司财务分析报告》,该报告从市场规模、营收利润、经营管理能力、合规抗风险能力等四大方面对期货公司经营情况进行了统计分析。从分析结果看,第一季度期货市场成交规模持续下降,但由于四家期货交易手续费减收措施的实施,期货公司总体经营情况保持了稳定增长,尤其是收入利润类指标增幅较大。
  - In mid-May, CFA finished the Financial Analysis Report of Futures Companies in the First Quarter of 2012, in which, a statistical analysis on the operation of futures companies in terms of market scale, revenue profits, business management capability and compliance risk resistance capacity was carried out. According to analysis results, the transactions of futures markets in the first quarter continued to decline. However, due to the implementation of handling fee reduction of four futures exchanges, the overall operation of futures companies maintained a steady growth, especially revenue profit indicators were on a great increase.
  - 5月18日,为加强对期货公司及从业人员违规行为的社会监督,有效保护投资者合法权益,中国期货业协会网上投诉平台在协会网站正式上线。投诉平台界面简洁,功能全面,操作简便,为投资者提供了方便快捷的投诉渠道。
  - On May 18, an online compliant platform was launched officially on CFA's website to strengthen social supervision of violations of futures companies and practitioners. The platform has a simple interface with comprehensive functions and easy operation, which provides a convenient channel for complaints from investors.
  - 5月19日,2012年第二次期货从业人员资格考试及第一次投资分析考试在全国35个城市顺利完成。此次考试全国共设79个考点,606个考场,共计报名65787科

次，参考44161科次，其中合格率分别为期货基础知识47.84%，期货法律法规36.77%，投资分析4.97%。

- On May 19, the first investment analysis exam for the second qualification exam of futures practitioners in 2012 came to a perfect end in China's 35 cities. In the exam, there were totally 79 exam places and 606 exam rooms in China with 65,787 entrants and 44,161 actual examinees. The percent of pass of the basic knowledge on futures, futures laws & regulations and investment analysis was 47.84%, 36.77% and 4.97% respectively.

- 5月24日，协会在北京组织召开了“期货公司服务‘三农’和产业客户经验交流会”，24家期货公司高管人员以及证监会期货一部、期货二部、四家期货交易所、保证金监控中心和协会的有关领导参加了会议，证监会主席助理姜洋出席会议并发表了重要讲话。会议对期货公司服务“三农”和产业客户的典型模式、主要经验、创新思路等进行了总结交流，并围绕如何进一步提升期货行业服务实体经济的水平进行了深入讨论，提出了有价值的政策建议。

- On May 24, CFA organized and held the "Communication Meeting on the Experiences from Futures Companies Serving Agriculture, Rural areas and Farmers and Industrial Customers" in Beijing, senior executives from 24 futures companies, leaders of No.1 and No.2 Futures Departments of CSRC, four futures exchanges, China Futures Margin Monitoring Center Co., Ltd. and CFA attended it, and Jiang Yang, Chairman Assistant of CSRC attended it and delivered an important speech. At the meeting, the typical module, main experience and innovative ideas of futures companies serving agriculture, rural areas & farmers and industrial customers were summarized and exchanged, how to further

improve the level of futures industry serving the real economy was discussed thoroughly, and valuable policies and recommendations were proposed.

- 5月25日，证监会保密办检查组对协会考试保密工作进行了现场检查。按照中央保密委《关于组织开展国家考试保密检查的通知》要求，检查组对检查目录所涉及的保密制度建设、涉密载体管理等6大项、32小项进行了认真核查，检查结果基本符合相关制度要求。

- On May 25, the inspection team of the Secrets Office of CSRC inspected CFA's exam confidentiality at the site. According to the requirements of the Notice of the Secrets Office of CPC Central Committee on Organizing and Developing the Confidentiality Inspection of State Exams, the inspection team carefully inspected 6 items and 32 subitems in terms of confidentiality system building, secret vector management, etc. involved in the inspection inventory and inspection results complied with relevant system requirements basically.

- 5月30日-6月1日，协会在京召开《期货公司信息安全事故案例手册》编写工作第三次会议。为确保手册内容严谨、翔实，编写工作小组对收录案例逐一进行了讨论、推敲和筛选，该《手册》第三稿基本形成。

- From May 30 to June 1, CFA held the third conference on the preparation of the Manual for Information Security Accident Cases of Futures Companies in Beijing. To ensure a strict and detailed content of the Manual, the preparation team discussed, refined and selected the cases one by one. At the conference, the third draft of the Manual was made basically.

## 六月 June

- 6月6日-8日，协会在成都举办期货公司信息技术人员运维培训班，培训内容覆盖运维管理体系构建、机房建设管理、日常运行维护和系统安全等多个方面，共有155名期货公司总部技术人员参加了培训。

- On June 6 to June 8, CFA held a training course on operation and maintenance for IT personnel of futures companies in Chengdu City. The training covered the building of operation & maintenance management systems, computer room

construction management, routine operation & maintenance, system security and other aspects. Totally 155 technicians of futures company headquarters attended the training.

□ 6月7日, 协会就《关于提升服务能力 规范行业竞争秩序的实施意见》(以下简称《实施意见》)开始征求会员意见。《实施意见》旨在提升期货公司服务能力, 规范竞争秩序, 推动行业诚信建设。

□ On June 7, CFA began to seek the views of members on Implementation Advice on Improving Service Capabilities and Standardizing the Order of Competition in the Industry (hereinafter referred to as the Implementation Advice), which aims to improve futures companies' service capabilities, standardize the order of competition and promote the integrity building in the industry.

□ 6月12日, 根据保密制度要求, 协会统一清理了2007年6月-2012年3月从业资格考试、高管资质测试等各种培训及测试的相关资料, 交付中央国家机关指定保密文件销毁中心完成了销毁工作。

□ On June 12, according to the requirements of the confidentiality system, CFA uniformly sorted out the materials relating to qualification exams, executive qualification tests and other trainings and tests from June, 2007 to March, 2012, and delivered them to the confidential document destruction center specified by central authorities for destruction.

□ 6月12-14日, 期货从业人员考试命题专家交流会在北京召开, 来自证监会、高校、期货公司等行业各方的24名专家参加了会议。与会人员重点围绕中国期货市场法规体系、交易规则、创新业务、保证金安全监控、期货市场创新与中国经济战略转型、期货公司经营管理、行业案例分析等内容进行了专题讲座和热烈交流, 加深了命题专家对期货市场监管规则、具体业务流程的了解, 加强了理论与市场实际的联系, 也为今后的教材改编工作奠定了良好的基础。

□ From June 12 to June 14, a communication meeting for proposition experts of futures practitioner exams was held in Beijing, and 24 experts from CSRC, colleges & universities, futures companies and other industries attended it. Participants had seminars and warm exchange in terms of the legal system of China's futures market, transaction rules, innovative business, margin security monitoring, innovation in futures market, strategic

transformation of China's economy, operation & management of futures companies, industrial case study, etc., which made the experts have a better understanding on regulatory rules and specific business processes of futures market, strengthened the contact between the theory and the actual market, and laid a good foundation for teaching material adaptation and modification in the future.

□ 6月16-17日, 协会组织全体员工开展了主题为“重温革命历史, 坚定理想信念”的主题党日活动, 先后参观了孟良崮战役遗址、孟良崮战役纪念馆, 瞻仰了英烈纪念碑, 为革命先烈敬献了花篮。通过活动, 大家重温了六十五年前那场大规模运动战和阵地战相结合的重大战役, 感受了华东野战军“百万军中取上将首级”的伟大气魄, 激发了大家爱国敬业、创先争优、奋发图强的豪情壮志, 员工团队凝聚力和战斗力也进一步得到了增强。

□ From June 16 to June 17, CFA organized all employees to develop activities of Reviewing the History of Revolution and Insisting on Ideals and Faiths on the Theme Party Day, visit the Site of Menglianggu Battle and the Commemorative Museum of Menglianggu Battle, look at the Monument to the Heroic Martyrs with reverence, and offer flower baskets to revolutionary martyrs respectfully. Through the activities, they reviewed the major battle combining large-scale mobile warfare and positional warfare, and experienced the courage of East China Field Army to kill the general among millions of soldiers, which aroused their lofty sentiments and high aspirations of patriotic dedication, being an excellent party member and hard working, and further strengthened team cohesion and fighting capacity.

□ 6月19日, 协会在网站上披露了期货公司2011年6项年度财务指标, 包括注册资本、净资本、净资产、客户权益总额、手续费收入和净利润。同时, 期货公司可以通过协会行业信息管理平台查询本公司其他财务经营指标排名。

□ On June 19, CFA disclosed on its website 6 annual financial indicators of futures companies in 2011 including registered capital, net capital, net assets, gross customer equity, commission income and net profits. Meanwhile, futures companies can search the ranking of other financial operating indicators on CFA's industry information management platform.



- 6月27日, 中国期货业协会第三届理事会第九次会议(视频)召开。会议通过了《关于提升服务能力 规范行业竞争秩序的实施意见》和《批评警示工作办法》等2项议题。
- On June 27, the ninth meeting (video) of CFA's third council was held. At the meeting, 2 topics, namely the Implementation Advice and Criticism Warning Approaches were passed.
- 6月30日, 2012年第三次期货从业人员资格考试在全国35个城市顺利完成。此次考试全国共设67个考点, 400个考场, 共计报名36100科次, 参考24611科次, 其中合格率分别为期货基础知识40.21%, 期货法律法规29.43%。
- On June 30, the third qualification exam of futures practitioners in 2012 came to a perfect end in China's 35 cities. In the exam, there were totally 67 exam places and 400 exam rooms in China with 36,100 entrants and 24,611 actual examinees. The percent of pass of the basic knowledge on futures and futures laws & regulations was 40.21% and 29.43% respectively.
- 6月, 根据“领导干部下基层”活动安排, 协会四个调研小组对前期调研情况进行了认真总结, 分别完成了关于期货公司服务“三农”和产业客户、期货公司定位转型发展以及对外开放过程中期货行业合法利益保护问题等四个调研报告, 全面总结分析期货公司发展定位以及服务实体经济中存在的主要问题, 提出了相关的政策建议, 积极推动解决行业普遍关心的重要问题。
- In June, according to the arrangement for an activity of leading cadres visiting the grassroots level, CFA's four investigation teams carefully summed up the prophase investigation, finished four investigation reports on futures companies serving agriculture, rural areas & farmers and industrial customers, positioning and restructuring development of futures companies and the protection of futures industry's legitimate interests during opening up, comprehensively concluded and analyzed major problems of futures companies' positioning development and serving real economy service, made relevant policies and recommendations, and actively solved significant problems concerned generally in the industry.

## 七月 July

- 7月初, 由协会主持编撰的《中国期货业发展报告(2012)》出版, 并向行业内外赠送2000余册。此次编撰工作2月23日正式启动, 4月底召开统稿会, 经多次校对形成终稿。自2008年首本年度行业发展报告出版发行至今已经出版5册, 为行业内外人士了解我国期货行业发展情况提供了第一手材料。
- At the beginning of July, A Report on the Development of China's Futures Industry (2012) compiled by CFA was published and more than 2,000 copies were given to the industry. The compilation was launched formally on February 23, a meeting on the drafting was held at the end of April and a final draft was made after several

corrections. There had been 5 volumes since the first report was published in 2008, which provides the first-hand material for personnel in and out of the industry to understand the development of China's futures industry.

□ 7月5日, 协会在网站发布了“2011年度期货从业人员资格定期检查结果公告”, 并同时报送期货监管二部(中期协函字[2012] 233号)、抄送各地证监局。至此, 2011年度期货从业人员资格定期检查工作全部结束。2011年度期货从业人员资格定期检查工作于2011年7月15日至2011年10月31日开展, 检查范围为2010年12月31日前取得期货从业资格的期货公司从业人员, 共计18131人。

□ On July 5, CFA released the Announcement on the Results of Regular Inspection for the Qualification of Futures Practitioners in 2011 on its website, reported it to No.2 Futures Regulation Department (ZQIHZ [2012] No.233) and sent a duplicate to SRC in various places. By then, the regular inspection for the qualification of futures practitioners was all over, which was carried out from July 15, 2011 to October 31, 2011 with the inspection range of 18,131 futures practitioners' qualifications obtained before December 31, 2010.

□ 7月5日, 协会发布实施了《关于提升服务能力 规范行业竞争秩序的实施意见》。《实施意见》的发布, 旨在提升期货公司服务能力, 规范竞争秩序, 推动行业诚信建设。

□ On July 5, CFA published and implemented the Implementation Advice, which aims to improve futures companies' service capabilities, standardize the order of competition and promote the integrity building in the industry.

□ 7月9日-24日, 协会“服务产企”和“服务三农”两个系列视频课在北京录制完成。该系列课程以服务产业客户和三农(涉农企业)等为主要授课对象, 突出期货市场为产业和三农服务的工作思路, 重点就产企在产品销售、原料采购等环节如何利用期货市场、如何进行内控和风险管理、如何提升企业竞争力及农产品销售及加工、涉农企业如何利用期货市场等方面进行讲解。本次课程汇集了来自现货知名企业、专业咨询公司和业内期货公司的20余名知名讲师及嘉宾, 课程采用演播室、观众互动、嘉宾访谈多角度场景切换进行录制, 并通过后期制作丰富了视觉效果。

□ From July 9 to July 24, two series of video courses

on “service to enterprises” and “service to agriculture”, rural areas & farmers of CFA were recorded in Beijing. The courses took the service to industry customers and agriculture, rural areas & farmers as the major teaching object, highlighted a work idea of futures market serving customers and agriculture, rural areas & farmers, and mainly explained how enterprises took advantage of the futures market in such links as product sales and raw material procurement, carried out internal control and risk management, and improved their competitiveness as well as sales and processing of agricultural products, and how agriculture-related enterprises took advantage of the futures market. More than 20 famous lecturers and distinguished guests from well-known futures enterprises, professional consulting firms and futures enterprises in the industry were involved in the courses. The courses were recorded by switching several sites from recording in the studio, audience interaction to interviews with the guests from multiple perspectives, and visual effects were enriched through post production.

□ 7月10日, 协会在上海召开了2012年期货公司信息技术检查工作动员会暨检查人员培训会, 证监会期货二部熊军副主任、中期协刘志超会长及彭刚副会长出席了会议。会上, 与会领导对即将开展的技术检查工作进行了动员和部署。随后全体检查人员接受了《期货公司信息技术管理指引》(修订稿)、检查工作要点及注意事项等内容的培训, 并签署了保密承诺书。7月11日, 现场检查工作全面启动。

□ On July 10, CFA held a meeting for mobilizing IT inspection of futures companies and training the inspectors in 2012 in Shanghai, and Xiong Jun, the Vice-director of No.2 Futures Department of CSRC, Liu Zhichao, the president of CFA and Peng Gang, Vice-president of CFA attended it. At the meeting, leaders mobilized and deployed the IT inspection to be performed. Later all inspectors received a training on the Guidance for IT Management of Futures Companies (Amendment), major inspection points and precautions, and signed a letter of confidential commitment. On July 11, site inspection was launched formally.

□ 7月11日-13日, 协会在上海举办期货公司信息技术人员运维培训班, 培训内容覆盖运维管理体系构建、机房建设管理、日常运行维护和系统安全等多个方面, 共181名期货公司总部技术人员参加了本期培训。

- 
- On July 11 to July 13, CFA held a training course on operation and maintenance for IT personnel of futures companies in Shanghai. The training covered the building of operation & maintenance management systems, computer room construction management, routine operation & maintenance, system security and other aspects. Totally 181 technicians of futures company headquarters attended the training.
  - 7月12日, 协会为每位党员购买了《领导干部廉洁从政教育读本》, 组织全体党员认真学习《领导干部廉洁从政教育读本》, 推进反腐倡廉建设, 提高领导干部抵御风险能力。
  - On July 12, CFA bought A Book on Political Integrity of Leading Cadres for every party member and organized all party members to study the Book, so as to combat the corruption, build a clean government and improve leading cadres' capabilities to withstand risks.
  - 7月12-13日, 协会派员深入浙江省永安期货经纪有限公司, 针对期现结合问题展开了专题调研。通过本次调研, 撰写了题为《关于加快促进期现有效结合, 更好地为实体经济服务的一些思考》的调研报告, 反映行业问题, 并为政策制定提供参考。
  - From July 12 to July 13, CFA assigned relevant personnel to perform a special investigation on the combination of futures and spots in Zhejiang Province Yongan Futures Broker Co., Ltd. Through the investigation, an investigation report named Some Thoughts on Accelerating the Combination of Futures and Spots and Better Serving the Real Economy was made, which reflected problems in the industry and provided a reference for making policies.
  - 7月12-14日, 协会于北京举办期货公司资产管理业务培训班, 来自73家期货公司的160多名学员参加了本次培训。培训班邀请了监管部门相关负责人、业内专家、台湾期货业界资深专家等进行授课, 从政策解读、合同条款、产品设计、交易策略、运营实务、产品销售和风险管理等角度对资产管理业务进行了解读和梳理。
  - From July 12 to July 14, CFA held a training course on assets management business of futures companies in Beijing and more than 160 trainees from 73 futures companies attended it. Relevant leaders of regulatory authorities, experts in the industry and senior experts in Taiwan's futures industry were invited to give lessons, and interpret and sort out in terms of policy interpretation, contract terms, product design, trading strategy, operation practice, product sales, risk management and other aspects.
  - 7月19日, 协会邀请格林、银河、金鹏、首创及宏源5家期货公司信息平台资格管理员再次就数据库升级工作召开讨论会。本次会议就信息平台中“业务类别”划分、“职务”分类等涉及到期货公司业务的具体填报事项征询了公司意见, 根据公司业务实际, 进一步明确改进需求。同时, 就从业人员管理需求、《期货从业人员资格管理规则》修订等方面与参会公司进行了沟通与交流。
  - On July 19, CFA invited information platform qualification managers from Green Futures, Galaxy Futures, JIFCO, Capital Futures and Hongyuan Futures to hold a seminar on database upgrading once more. At the seminar, they expressed their views on service type division, duty classification, etc. on the information platform relating to specific reporting matters thereof and further specified the improvement requirements according to their actual operation. Meanwhile, they communicated and exchanged in terms of practitioner management requirements, the revision of Management Rules for the Qualification of Futures Practitioners and other aspects.
  - 7月20日, 协会在北京召开首期赴美、赴加高管研修班欢送暨动员会, 中国证监会主席助理姜洋出席会议并发表重要讲话。会议讨论了培训班的管理和有关安排, 进一步明确了协会境外培训的各项要求及外事纪律。经过前期的认真筹备, 协会首期赴美、赴加高管研修班的各项工作均已完成, 学员于7月底分赴两地进行培训。
  - On July 20, CFA held the first meeting for sending off and mobilizing senior executives to receive advanced study and trainings in America and Canada, and Jiang Yang, Chairman Assistant of CSRC attended it and delivered an important speech. At the meeting, the management and arrangement of the training courses were discussed, and various requirements and disciplines for foreign affairs of CFA's overseas trainings were further specified. Through thorough preparations at early stage, all the work relating to the trainings was finished and trainees would receive the trainings by the end of July in America and Canada.
-

- 
- 7月20日, 协会在北京召开“2012年第三届理事会分析师委员会暨研究发展委员会联席会议”。各位委员就期货分析师及从业人员分类标准、分级管理条件、分级分类管理的具体操作等问题展开了充分的讨论, 提出了许多建设性意见和建议, 对于未来从业人员管理具有积极意义。
  - On July 20, CFA held a Joint Conference of the Analysts Committee of the Third Council and The Research and Development Committee in 2012. All members thoroughly discussed the standards for classifying futures analysts and practitioners, grading management conditions, specific implementation of grading and classification management, etc., and proposed many constructive comments and suggestions, which had a positive significance for practitioner management in the future.
  - 7月23-28日, 协会与欧洲期货交易所合作在北京举办了期权交易实务培训班。这是协会第一次与境外交易所合作举办培训, 邀请了来自台湾、韩国以及国内著名高校和期货交易所的期权方面知名专家进行授课。授课内容包括期权基础知识、产品设计、交易策略、操盘经验、风险控制和具体应用等多个方面, 共有来自120家期货公司的300多名学员参加, 以各公司的研究人员为主。
  - From July 23 to July 28, CFA held a training course on options trading practices jointly with EUREX in Beijing and it was the first time for CFA to do so with an overseas exchange. Well-know options experts from Taiwan, Korea, domestic famous colleges & universities and futures exchanges were invited to give lessons. The course covered the basic knowledge on options, product design, trading strategy, trading experience, risk control, specific applications and other aspects. Totally more than 300 trainees from 120 futures companies attended it and researchers of the companies took up the vast majority.
  - 7月26日-27日, 为落实证券期货业信息化工作领导小组第七次会议精神, 协会在厦门承办了证监会证信办“证券期货业信息技术顾问培训会议”。按照要求, 本次培训分两场开展, 来自期货公司、期货技术服务商的108名技术顾问以及来自各地方证监局、市场核心机构的55名技术顾问分别于26日、27日参加了培训会。
  - From July 26 to July 27, CFA undertook a Meeting on Training IT consultants in Securities and Futures Industries in Xiamen City so as to fulfill the spirit of the seventh meeting of the leading group for the informationization of securities and futures industries. According to the requirements, the training was performed in two times, and 108 technical advisors from futures companies & futures technical service providers and 55 technical advisors from SRC in various places & core market institutions received the training on July 26 and July 27 respectively.
  - 7月28日, 协会组织的首期赴美高管研修班正式成立, 48名学员将在美国进行为期一个半月的课程学习与机构考察, 包括在芝加哥大学布斯商学院的金融与管理课程学习以及在芝加哥商业交易所集团(CME)的期货实务课程学习及对美国十几家最主要的期货金融机构进行考察。
  - On July 28, the senior executives began to receive the training in America formally and 48 trainees would study the training courses and investigate the institutions for one and a half months there, including studying financial and management courses in University of Chicago Booth School of Business and futures practice courses in CME, and investigating dozens of leading futures financial institutions in the country.
  - 7月29日-8月7日, 协会刘志超会长、彭刚副会长应邀赴美国、加拿大出席“首期期货高管研修班”及“首期中加期货公司首席风险官研修班”开学典礼。
  - From July 29 to August 7, Liu Zhichao, the president of CFA and Peng Gang, Vice-president of CFA were invited to attend the opening ceremony of the First Training Course for Senior Futures Executives and the First Sino-Canada Training Course for Chief Risk Officer of Futures Companies in America and Canada.
  - 7月30日, 协会与全美期货业协会(NFA)在美国签署了合作谅解备忘录, 双方将在信息共享、建立高层定期交流机制、人员培训等领域开展合作。
  - On July 30, CFA and NFA signed a memorandum of cooperative understanding. The two parties will cooperate in terms of information sharing, the establishment of high-level regular exchange mechanism, personnel training and other fields.
-



# 八月 August

- 8月4日-9月4日，协会在加拿大证券学会（CSI）举办了“首期赴加首席风险官研修班”，旨在提高期货公司风险管理水平，营造合规守信的行业合规文化。
- From August 4 to September 4, CFA held “The First chief risk officer training class in Canada” in Canadian Securities Institute (CSI), aiming at improving risk management level of futures companies and creating an industry culture of compliance and integrity.
- 8月7日，协会组织召开了“期货行业贯彻落实《诚信监管办法》座谈会”，证监会法律部程合红副主任、陈竹华副处长，八家期货公司和四家地方协会的负责人参会。会议围绕《诚信监管办法》的重要性、重要意义以及如何贯彻落实文件精神等问题展开了热烈讨论。会后拟定了《关于“期货行业贯彻落实<诚信监管办法>座谈会”情况的函》上报证监会，《期货日报》及三大证券报对此次座谈会进行了宣传报道。
- On August 7, CFA organized “Symposium about the implementation of Measures to Supervise Integrity in futures industry”. Vice-director Cheng Hehong and Vice-Commissioner Chen Zhuhua from Legal Department of CSRC, and directors of eight futures companies and four local associations attended the meeting. The meeting launched fierce discussions on the importance and significance of Measures to Supervise Integrity and how to implement the spirit of the document. After the meeting, the Letter Concerning the Symposium about the Implementation of Measures to Supervise Integrity in Futures Industry, was drawn up and submitted to CSRC; Futures Daily, China Securities Journal, Shanghai Securities News, and Securities Times reported this meeting.
- 8月9日，根据年初制定的诚信建设重点工作计划安排，协会研究制定了“诚信从我做起”主题征文活动实施方案，并向全行业发布《关于开展“诚信从我做起”主题征文活动的通知》，组织安排了相关动员工作。
- On August 9, CFA formulated implementation plan for essay activities with the theme of “Honesty starts from me” based on integrity construction priority plans made earlier this year, released Notice about Essay Activities with the Theme of “Honesty Starts from Me” to the industry and organized related mobilization.
- 8月15日，2012年期货公司信息技术检查工作审核委员会会议在成都召开，会议对本年度申请技术检查的30家期货公司进行了审核，并提出了审核意见和改进建议。8月17日，检查工作评审委员会会议在成都召开，会议听取了审核委员会对各期货公司审核意见和改进建议的汇报，并对审核结果进行了评审。经评审，共有24家公司达到相应类别技术等级要求。
- On August 15, 2012 review board meeting about information and technology work inspection on futures companies was held in Chengdu. The meeting reviewed 30 futures companies applying for technical inspection this year and offered its review opinions and suggestions for the improvement. On August 17, review board meeting about inspection work was held in Chengdu. The meeting listened to the report concerning review opinions and suggestions for the improvement of futures companies from the review board and evaluated the review results. After evaluation, a total of 24 companies met the requirements of the technical grade of corresponding category.
- 8月16-18日，协会在上海举办第二期期货公司资产管理业务培训班，有来自77家期货公司的200多名学员参加了本次培训。培训班邀请了监管部门有关负责人、业内及台湾期货业界专家、国际顶级投行和国内知名基金公司资产管理部门有关负责人进行授课，从政策解读、合同条款、产品设计、交易策略、运营实务和风险管理等角度对资产管理业务进行了详细讲解。
- From August 16 to August 18, CFA held the second futures company asset management

business training course in Shanghai. More than 200 trainees from 77 futures companies attended this training. The training course invited officials from regulatory authorities, industry experts, Taiwan's futures industry experts, relevant directors of top international investment banks and asset management department of well-known fund company in China to give lessons, detailing asset management business from the perspective of policy interpretation, terms of contract, product design, trading strategy, operational practices, risk management, etc.

□ 8月16日，协会第三届理事会信息技术委员会第四次会议在成都召开。中国证监会信息中心张野主任、期货一部彭俊衡副主任、信息中心罗凯总工程师、中国期货业协会彭刚副会长和中国金融期货交易所胡政副总经理出席了会议。会议重点对《期货公司信息安全事故案例手册》、期货行业信息技术人才发展战略、《期货公司核心应用软件产品与技术服务合同要素指引》、异构系统互为备份课题、《期货公司信息技术创新发展研究》和期货公司信息技术人员境外培训六个议题进行了研究和讨论。

□ On August 16, the fourth meeting of information technology association of the Third Council was held in Chengdu. Director Zhang Ye of CSRC Information Center, Vice-director Peng Junheng of Futures Department I, Chief Engineer Luo Kai of Information Center, Vice-president Peng Gang of China Futures Association, and Deputy General Manager Hu Zheng of China Financial Futures Exchange (CFFEX) attended the meeting. The meeting focused on the study and discussion of 6 issues, Futures Company Information Safety Accident Cases Handbook, information technology talent development strategy for futures industry, Future Companies' Core Application Software Products and Technical Service Contract Elements Guide, heterogeneous systems backup each other, Research on Innovation and Development of Information Technology in Futures Companies, and overseas training on information technology personnel of futures companies.

□ 8月16-17日，“期货从业人员资格考试巡考工作会议”在银川召开。14家地方协会代表、ATA公司共22人参会，协会侯苏庆副会长出席并讲话。会议议题围绕考务组织工作流程、从业人员资格考试巡考工作开展，增强了各地方协会之间巡考工作的经验交流，也促进了各地方协会巡考工作能力的提高。

□ From August 16 to August 17, “Patrol inspection work conference for futures practitioner qualification exam” was held in Yinchuan. Representatives of 14 local associations and a total of 22 participants from ATA attended the meeting; Hou Suqing, Vice-president of CFA, attended and addressed the meeting. The meeting involved the issues about examination organization workflow and patrol inspection for practitioner qualification exam, which enhanced exchanges of experience in patrol inspection among local associations, but also improved the capability of local associations in patrol inspection.

□ 8月17日，协会李强副会长会见了美国RTS首席执行官Steffen Gemuenden先生，双方就中国期货市场发展等议题交换了意见。

□ On August 17, Li Qiang, Vice-president of CFA, met Mr. Steffen Gemuenden, CEO of RTS. Both sides exchanged views on the development of China Futures Market and other issues.

□ 8月18日，根据当前期货公司在交易所手续费返还和减免暂停以后的经营情况，协会经过认真研究分析，撰写了题为《我国期货公司当前经营情况的分析》的《情况反映》上报证监会。

□ On August 18, based on current futures companies' commission return at exchanges and business after suspending deduction, upon careful study and analysis, CFA wrote Commission Report entitled Analysis on Current Business of Futures Companies in China and submitted to CSRC.

□ 8月21-24日，“期货从业人员资格考试命题及教材建设中总结工作会”在安徽召开。基础组、法规组、投资咨询组命题专家、ATA公司、财经出版社和协会有关工作人员参加了会议。会议对2012年上半年考试整体工作进行了总结，对上半年三次命题进行了分析，对《期货投资分析》第三版初稿和《期货基础知识》第八版改版工作进行了分组讨论。

□ From August 21 to August 24, “Mid-year summary meeting about the proposition and teaching material construction of futures practitioner qualification exam” was held in Anhui. Proposition experts of the group involved in foundation knowledge, the group involved in regulation knowledge and the group in investment consultation, ATA, China Financial & Economic Publishing House and relevant staffs of CFA attended the meeting. The

meeting summarized overall examination work in the first half of 2012, analyzed three propositions in the first half of the year and conducted group discussion on the first draft of third edition of Analysis on Futures Investment and the revision on the eighth edition of Basic Knowledge of Futures.

□ 8月23日，协会在北京召开了2012年后备人才培养工作会。来自北京、上海、大连、山东、湖南等五家地方协会的有关负责人参加了会议。会议介绍了2011年期货后备人才培养情况，并重点讨论了2012年期货后备人才培养的方案和准备工作情况。

□ On August 23, CFA held conference about 2012 back-up personnel training in Beijing. Relevant directors of five local associations in Beijing, Shanghai, Dalian, Shandong and Hunan attended the meeting. The meeting introduced the training on futures back-up personnel in 2011 and focused on the training program for futures back-up personnel in 2012 and preparations thereof.

□ 8月29日，协会第三届理事会第十次会议以书面通讯形式召开，审议通过了《期货公司资产管理合同指引》和《期货公司资产管理业务投资者适当性评估程序（试行）》草案。这两项自律规则是证监会《期货公司资产管理业务试点办法》的配套文件，旨在指导期货公司制定资产管理合同，开展投资者适当性评估。在起草过程中，协会严格按照《试点办法》的规定和要求，参考了证券投资基金行业经验，并多次征求了监管部门、交易所、期货公司、业内专家意见。

□ On August 29, the tenth meeting of the Third Council of CFA was held in the form of written communications. The meeting approved the drafts of Asset Management Contract Guide for Futures Companies and Appropriateness Assessment Procedures for Asset Management Business Investors in Futures Company (for Trial). These two self-regulatory rules are supporting documents of CSRC Pilot measures for asset management business of futures companies,

aiming at guiding futures companies to formulate asset management contract and carrying out appropriateness assessment of the investor. During the drafting process, CFA, in strict accordance with the provisions and requirements specified in Pilot Measures, referenced securities funds industry experience and repeatedly sought advices from regulatory authorities, exchanges, futures companies and industry experts.

□ 8月29日，协会党委书记刘志超主持召开了2012年第8次党委中心组学习（扩大）会议。纪委书记李晓燕同志传达了证监会纪委半年工作会议精神，与会同志联系实际工作畅谈了学习《领导干部廉洁从政教育读本》的体会，并共同学习观看了“保持党的纯洁性”廉政教育光盘。

□ On August 29, Liu Zhichao, Party Secretary of CFA, chaired the eighth study (enlarged) meeting of the party committee central group in 2012. Disciplinary Official Li Xiaoyan conveyed the spirit of semi-annual work conference of CSRC discipline committee; the participants talked about the experience in learning Education on Leading Cadres to Perform Official Duties Honestly in combination with practice and learned together to watch “Keep the purity of the party”, an anti-corruption education CD-ROM.

□ 8月底，协会通过与美国国家期货协会（NFA）交流，并在网上收集了大量材料，经过翻译和深入的研究，撰写了题为《美国国家期货协会自律监管情况及启示》的报告上报证监会相关领导。

□ At the end of August, CFA wrote a report entitled Self-Regulation and Revelation of National Futures Association (NFA) through the exchanges with NFA and lots of materials collected from the internet after translation and deep research and submitted to relevant leaders of CSRC.



# 九月 September

- 9月3日，协会在网站上公布了2012年期货公司分类评价结果。中国国际、浙江永安、中证、中粮4家期货公司被评为AA类，广发、国泰君安等18家期货公司被评为A类，其余51家期货公司被评为B类(含BBB、BB、B)，80家期货公司被评为C类(含CCC、CC、C)，8家期货公司被评为D类。
- On September 3, CFA announced the results of classified evaluation on futures companies in 2012 in the Web. Four futures companies, China International Trust and Investment Corporation (CITIC), Zhejiang Yongan Futures, CITIC Securities Futures and COFCO, were rated as Class AA; 18 futures companies like GF Futures, Guotai Junan Securities, etc., were named as Class A; other 51 futures companies were rated as Class B (including BBB, BB, B); 80 futures companies were voted Class C (including CCC, CC, C); and 8 futures companies were voted Class D.
- 9月13-14日，由证监会会计部、期货二部主办，协会承办的财务报告分析及财务管理工作会议在昆明召开。会议总结了上一年度期货公司财务年报分析工作，集中分析和反馈了期货公司在市场新形势下财务方面的困惑和疑难问题，为期货公司搭建了一个学习、交流的平台，取得了良好的效果。
- September 13 to 14, financial report analysis and financial management work conference sponsored by CSRC Accounting Department and Futures Department II and hosted by CFA was held in Kunming. The meeting summed up annual financial reports analysis of futures companies last year, focused on the analysis and feedback of financial confusion and problems those futures companies encountered under the new situation of the market, building a learning and exchange platform for futures companies, with good results achieved.
- 9月14日，协会在北京组织召开“套期保值课题讨论会”，来自财政部、大连商品交易所、中粮期货和中国期货业协会的课题组成员参加了会议。与会人员就课题报告初稿进行了讨论，并提出修改意见，明确了下一步的修改方向和时间安排。
- On September 14, CFA organized “Hedging discussion” in Beijing. Members of the research group from Ministry of Finance, Dalian Commodity Exchange, COFCO and China Futures Association attended the meeting. The participants discussed the first draft of research report and proposed amendments, and specified modification and schedule in the next step.
- 9月15日，2012年第四次期货从业人员资格考试在全国35个城市举行。此次考试共设61个考点、401个考场，共计报名24435人、36793科次。其中，参加期货基础知识科目考试12596人，参考率69.97%，通过率42.97%；参加期货法律法规科目考试13723人，参考率73.03%，通过率33.10%；基础和法规两门科目全部通过比率为22.06%。
- On September 15, the fourth futures qualification exam in 2012 was held in 35 cities in China. The exam covered a total of 61 test sites, 401 examination rooms, a total enrollment of 24,435 and 36,793 subject entries. 12,596 people took an exam for basic knowledge of futures, with 69.97% attendance rate and 42.97% passing rate; 13,723 people took part in the exam for laws and regulations on futures with 73.03% attendance rate and 33.10% passing rate; total passing rate of these two subjects, basic knowledge, laws and regulations, was 22.06%.
- 9月17日，协会接待了“台湾金融研习考察团”，双方就海峡证券期货市场发展及合作议题交换了意见。
- On September 17, CFA received “Taiwan financial studies delegation” ; both sides exchanged views on the development and cooperation issues of strait securities and futures market.

- 9月19-22日，第21期期货公司高管人员任职资质测试在北京举行。参加此次测试人员共计 163 人，其中董监事层27人、经理层107人、首风29人。根据笔试及面试成绩，最终通过 116 人，其中董监事层23人、经理层69人、首风24人，总通过率71.17%，全年共有 275人通过高管测试。
- From September 19 to September 22, the 21st qualification test for senior executives in futures companies was held in Beijing. A total of 163 people participated in this test, 27 involving test for directors and supervisors, 107 for managers and 29 for chief risk officers. According to the written test and interview results, 116 people passed the test finally, including 23 for test on directors and supervisors, 69 for managers and 24 for chief risk officers, with total passing rate of 71.17%. Annual total of 275 people passed this test.
- 9月20日，协会联合山东省期货业协会、山东大学在山东大学中心校区举办了“期货市场发展与人才需求报告会暨山东辖区期货后备人才培训”活动启动仪式。山东证监局副局长陈家琰、协会副会长兼秘书长李强、副秘书长孙明福、山东大学党委常委曹升元等领导出席活动。李强副会长兼秘书长作了题为“期货市场发展与人才需求”的专题报告。
- On September 20, CFA jointly held the launch ceremony of “Reports on the development of futures market and demands for talents and futures backup personnel training in Shanghai” with Shandong Futures Association and Shandong University in central campus of Shandong University. Vice-director of Shandong Securities Regulatory Bureau Chen Jiayan, Vice-president and General Secretary of CFA Li Qiang, Deputy General Secretary Su Mingfu, Member of the Standing Committee of Shandong University Cao Shengyuan and other leaders were present at the event. Vice-president and General Secretary of CFA Li Qiang made a special report entitled “The development of futures market and demands for talents”.
- 9月24日，证监会张育军主席助理以及期货二部季向宇主任到协会听取工作汇报，并亲切接见了协会全体员工。会长刘志超全面介绍了协会基本情况、工作思路及近期工作重点，其他班子成员分别汇报了分管的重点工作。张育军主席助理对协会工作给予了充分肯定，并要求协会继续保持工作的连续性、稳定性和紧迫性，正确认识新形势下协会的定位、价值及重要作用，充分发挥自律组织较强的专业性、工作开展的弹性和广泛的协调性等特点，更多地介入期货行业的业务创新和规则制定中，成为行业监管的重要基础以及资本市场有力的推进工具和武器。
- On September 24, Zhang Yujun, Chairman Assistant of CSRC, Ji Xiangyu, Director of Futures Department II came to CFA to listen to work reports and graciously received all staffs of CFA. President Liu Zhizhao gave a comprehensive introduction to the basic situation of CFA, working thoughts and recent focuses. Other team members respectively reported the priorities assigned. Chairman Assistant Zhang Yujun fully affirmed the work in CFA and requested CFA to keep up the continuity, stability and urgency of the work, have a correct understanding of location, value and important role of CFA under new situation, give full play to professionalism of strong self-regulatory organization, flexibility in work implementation, extensive coordination and other characteristics, get more involved in business innovation and rule making in futures industry, so as to become an important foundation for industry regulation as well as tools and weapons to effectively promote capital market.
- 9月25日，中期协赴美、赴加高管研修班座谈会在北京民族饭店召开。部分赴美、赴加高管学员代表汇报了学习的成果和体会；中国证监会张育军主席助理出席会议并发表重要讲话，证监会期货一部、期货二部、国际部及协会有关领导参加了会议。
- On September 25, medium term senior executive training course forum in United States and Canada was held in Beijing Minzu Hotel. Some trainee representatives receiving United States and Canada training course reported on the results and experience of learning. Zhang Yujun, Chairman Assistant of CSRC, attended and addressed the meeting. Relevant leaders of CSRC Futures Department I, Futures Department II, International Department and CFA attended the meeting.
- 9月27日，为配合资产管理业务的顺利推出，《期货公司资产管理合同指引》和《期货公司资产管理业务投资者适当性评估程序（试行）》经中国证监会备案后，在协会网站正式发布实施。上述两项自律规则旨在指导期货公司制定资产管理合同，以及开展投资者适当性评估。

- 
- On September 27, in order to coincide with successful initiation of asset management business, Asset Contract Guide to Futures Companies and Appropriateness Assessment Procedures to Asset Management Business Investors in Futures Companies (for Trial) were officially promulgated on CFA's web upon the filing of CSRC. Above two self-regulatory rules aimed to guide futures companies to formulate asset management contract and carry out appropriateness assessment of the investor.
- 9月27日,《期货公司运维管理最佳实践案例》编写工作第一次会议在宁波召开。中国证监会信息中心罗凯副主任和中国期货业协会彭刚副会长出席了会议,期货二部、信息中心、各期货交易所的相关同志和案例编写组成员参加了会议。会议重点对期货公司运维管理最佳实践案例的编写体例、具体分工以及期货公司技术人员境外培训课程安排两项议题进行了讨论。
- On September 27, the first meeting about the preparation of Best Practical Case in Operation and Maintenance Management of Futures Companies was held in Ningbo. Vice-director Luo Kai of CSRC Information Center, Vice-president Peng Gang of CFA, relevant comrades from Futures Department II, Information Center, Futures Exchanges and members of cases preparation attended the meeting. The meeting focused on two issues, compilation style and specific work division on best practical cases in operation and maintenance management of futures companies and overseas training courses arrangement for technical personnel in futures companies.
- 截至9月底,期货市场服务“产企”和服务“三农”视频课程(14门)项目摄制工作全面完工。本课程以产业客户和三农(涉农企业)相关单位为主要授课对象,邀请了20多位国内外期、现货专家精心准备课件,突出实用性和可操作性,重点就产企在产品销售、原料采购等环节如何利用期货市场、如何进行内控和风险管理、如何提升企业竞争力及农产品销售及加工、涉农企业如何利用期货市场等方面进行了讲解,是业内第一部面向产企和涉农企业、系统介绍期货市场功能作用、操作方法、风险管理的实用课程,内容生动详实,可视性强。
- By the end of September, the production of video courses (14 videos) for futures market to serve "Production enterprises" and serve "Agriculture, farmers and rural areas" was fully completed. This course targeted industry customers and the units relating to agriculture, farmers and rural areas and invited more than 20 domestic and foreign futures and spot experts to carefully prepare courseware with practicality and operability highlighted. The course focused on how does production enterprise utilize the futures market, how to carry out internal control and risk management, how to improve enterprise's competitiveness and agricultural products marketing and processing during the marketing and raw materials procurement of products and how does agriculture-related enterprise use futures market, etc. and was regarded as practical courses oriented towards production enterprises and agriculture-related enterprises to systemically introduce the functions, operation methods and risk management of futures market, featuring lively and informative content and strong visibility.
-

# 十月 October

□ 10月中旬，协会通过公开招聘形式最终录用了七名员工，并组织开展了为期一周的新员工入职培训。为使新员工尽快适应新环境，协会重点从期货市场功能、当前行业形势、协会职能定位、发展历史、部门职责、重点工作、内部制度、公文写作等方面，系统全面地介绍了期货市场和协会的基本情况，并组织开展了性格测试、管理能力测试以及参观考察期货公司等项目。通过培训，新员工进一步深化了对协会工作的认识，增强了投身期货行业的使命感、责任感和紧迫感。

□ In middle October, CFA eventually hired seven employees through open recruitment and embarked on a weeklong new employee orientation. In order to make new employees adapt to the new environment as soon as possible, CFA attached great importance to systemic and comprehensive introduction to futures market and basic information of CFA in terms of the function of futures markets, current situation in the industry, function orientation of CFA, history of development, department responsibilities, priorities, inner system, document writing, etc. and organized personality test, management capability test and tours to visit futures companies and other programs. The training on new employees further deepened their understanding of the work of CFA and enhanced their sense of mission, sense of responsibility and sense of urgency in joining futures industry.

□ 10月16日，协会信息技术人员网上培训平台正式上线运行，2012年度期货公司信息技术人员网上后续培训工作全面启动。首批共制作、上传了18课时的培训课程，以满足期货公司总部信息技术人员每两年参加协会组织的信息技术培训满18学时的培训需求。

□ On October 16, online training platform to information technology personnel of CFA was officially launched. Follow-up online training on information technology personnel in futures companies in 2012 started. First batch of training courses including 18 lessons were produced and

uploaded to satisfy the training demands of at least 18 lessons of information technology training on information technology personnel from futures company headquarters every two years.

□ 10月16日-17日，协会在北京友谊宾馆组织召开“期货公司创新发展工作会议”，来自期货二部和部分期货公司的代表出席会议。会上，各位代表针对《关于进一步推进期货行业改革开放和创新发展的若干指导意见（内部讨论稿）》和《期货公司设立子公司开展期现结合为主的期货市场配套服务业务试点工作指引（内部讨论稿）》等两个文件进行了深入研究和探讨，并提出了具体修改意见。

□ From October 16 to October 17, CFA organized “Innovation and development work conference in futures companies” in Beijing Friendship Hotel. Representatives from Futures Department II and some futures companies attended the meeting. At the meeting, representatives conducted an in-depth study and discussion on two files, Opinions for Further Improving the Reform and Openness and Innovation and Development of the Futures Industry (Internal Discussion Paper), Guidelines to Futures Companies to Set up Subsidiaries to Develop Futures Market Supporting Service Business Pilots by Combining Futures and Spot Primarily.

□ 10月21 - 31日，协会与欧洲期货交易所德国联合举办了期权培训，该培训是由国内期权培训班选拔的部分优秀学员赴欧开展的深度培训，学员的学费及食宿费用均由欧洲期货交易所负责。培训课程包括期权程序化及算法交易、期权产品设计与风险管理实务等，突出实务应用。来自期货一部、期货二部、保证金监控中心、协会及期货公司的25名学员参加了培训。

□ From October 21 to October 31, CFA jointly held options training with EUREX in Germany. The training referred to in-depth training on some outstanding trainees selected from domestic option training courses in Europe; trainees'



tuition and board and lodging expenses would be borne by EUREX. The training courses covered option procedural and algorithmic trading, option products design and risk management practices, etc., highlighting practical application. 25 trainees from Futures Department I, Futures Department II, China Futures Margin Monitoring Center, CFA and futures companies participated in the training.

- 10月23日,《证券期货业信息系统托管机房技术管理标准》制定工作第二次会议在北京召开,中国证监会证信办罗凯副主任出席了会议,证信办、机构部、基金部、期货一部相关负责同志和标准制定工作组成员单位的代表参加了会议。会议讨论确定了标准的框架结构,分工完成初稿起草工作,并在工作组内进行了首轮集中讨论和修改。
- On October 23, the second meeting about the formulation of Standards for technical management of computer room hosted by securities and futures industry information system was held in Beijing. Vice-director Luo Kai of CSRC Agency, relevant leading comrades from CSRC Agency, Institution, Fund Department, Futures Department I and representatives of group member units for standard formulation attended the meeting. The meeting discussed and determined the frame structure of standard, completed the first draft through work division and carried out first round of concentrated discussion and modification within the group.
- 10月24日,协会刘志超会长会见了来访的美国期权协会(OIC)主席Gina McFadden女士,双方就相关合作议题进行了深入交流。
- On October 24, President Li Zhichao met Ms. Gina McFadden, President of Options Industry Council (OIC). Both sides conducted in-depth exchanges on relevant cooperation issues.
- 10月25日,协会投资者教育专栏上线试运行,改版后的投教栏目增强了行业信息交流功能,进一步充实了原有的投资者教育信息,并有针对性的对当前行业投教重点工作进行了专题展示。在试运行期间将广泛征求行业意见,随时调整、改进栏目内容。
- On October 25, CFA's column on investor education was launched for trial run. The revised investor education program enhanced exchange of industry information, further enriched the original

investor education information, and carried out special demonstrations for targeted education focus in current industry. During the trial run, CFA would extensively take industry advices, adjust and improve the program content at any time.

- 10月25-27日,协会在海口举办2012年第一期期货公司董事长、监事长和独立董事培训班。该培训是根据高管管理办法的有关规定,为进一步提升期货公司的治理水平而举办的。培训内容包括期货公司创新发展、境内外期货公司的比较研究与发展战略、期货公司治理结构与内部控制、期货行业文化与诚信建设、以及原油和国债上市准备情况等。期货二部、协会的领导及有关专家进行了授课,共有75名学员参加了培训。
- From October 25 to October 27, CFA organized the first training course for presidents, chief supervisor and independent directors of futures companies in 2012 in Haikou. The training course aimed to further improve the level of governance of futures companies based on relevant regulations on executive management approach. It included the innovation and development of futures companies, comparative research on domestic and foreign futures companies and development strategy, governance structure and internal control of futures companies, futures industry cultures and integrity construction, preparations for crude oil and treasury launch, etc. Leaders of Futures Department II, CFA and relevant experts gave lessons with a total of 75 trainees participated.
- 10月29日,协会分别向各期货公司及各地方证监局、期货协会寄送了《期货公司信息安全事故案例汇编》。该书是为了进一步提升期货公司防范和应对信息安全事故能力,持续做好行业信息安全保障工作而编写的,以促进期货公司不断加强信息系统管理,防范系统风险,保障交易系统平稳运行。
- On October 29, CFA sent Information Security Incidents Casebook for Futures Companies to futures companies, local securities regulatory bureaus and Futures Association respectively. The book came out to further improve the capability of futures companies in preventing and copying information security incidents and keep doing good industry information security work, so as to encourage futures companies to continuously strengthen the management on their information systems, thus preventing system risk and enabling the trading system to run smoothly.

□ 10月30日，协会完成了《2011年期货公司财务分析报告》的撰写工作。该报告以各地证监局报送的辖区内期货公司的财务报告、审计报告和内部控制评价报告为基础，经会计部会同期货二部、协会进行系统整理，对2011年全国期货公司整体的财务状况、经营成果和内部控制状况做了较为客观全面的分析评价，及时反映期货行业的发展状况，为行业监管提供信息和依据。

□ On October 30, CFA completed the preparation of 2011 Financial Analysis Report on Futures Companies. The report made a more objective and comprehensive analysis and evaluation on overall financial condition, business performance and internal control of the futures companies nationwide in 2011 based on financial reports, audit reports and internal control evaluation reports of futures companies those local securities regulatory bureaus submitted in their jurisdictions and systemic collation of these reports by Accounting Department in conjunction with Futures Department II and CFA, timely reflecting the development of futures industry and providing information and basis for the regulation of the industry.

□ 10月，协会完成了《中国期货业协会自律规则汇编（第二版）》编印工作。近年来，随着行业自律的不断扩展和深化，协会逐步形成了较为完善的自律规则体系，现行自律规则总数达到33件，内容包括会员和从业人员管理、业务规范、信息技术三类，涵盖会员管理、从业人员管理、纪律惩戒、信息技术、合同指引、投资者教育、反洗钱等。

□ In October, CFA completed The Compilation of Self-Regulatory Rules of China Futures Association (2nd edition). In recent years, with continuous expansion and deepening of industry self-regulation, CFA gradually developed a relatively perfect system of self-regulatory rules, including a total of 33 terms, involving management on members and practitioners, business standardization and information technology, and covering membership management, practitioners management, disciplines, information technology, contract guideline, investor education, anti-money laundering, etc.

□ 10月，协会开展了对《期货公司从业人员调查问卷》的收集整理工作，并按照从业人员资格管理、资格定期检查、资格考试、培训、信息平台改进等不同方面对各项数据、反馈意见进行了归纳总结和分类统计。该问卷于9月27日向各公司发放，旨在更深入地了解从业人员需求，从而提高从业人员管理工作水平，提升协会服务职能。

□ In October, CFA also carried out collection and collation of the Questionnaire to Practitioners in Futures Companies, summarized and statistically classified the data and feedback in different aspects of practitioner qualification management, regular inspection on qualification, qualification exam, training, information platform, etc. The questionnaire was issued to companies on September 27, aiming at having a deeper understanding of practitioners' needs so as to improve the management level thereof and enhance service functions of CFA.

# 十一月 November

□ 11月6日，《期货服务产企》和《期货服务三农》系列视频课程光盘在山东泰山期货论坛举行首发式，并向现场上市公司及产业企业赠送了光盘。为增强推广力度，协会随后又分别在上海机构投资者年会、中国证券市场年会、湖北金博会上进行了集中展示和发放。

□ On November 6, the ceremony of the Futures Serving Production Enterprises and the Futures Serving Agriculture, Farmers and Rural Areas series of CD-ROMs was launched in Shandong Taishan Futures Forum; CFA gave away CD-ROMs

to the listed companies and production enterprises presented. In order to strengthen the propaganda, CFA intensively showed and handed out the CD-ROMs at the annual meeting of Shanghai futures investors, the annual meeting of China Securities Market and Hubei Finance Expo.

□ 11月6日, 协会召开信息系统容灾项目建设方案评审会, 邀请监管部门及行业信息技术专家, 对4家入围厂商提供的建设方案进行了评审。

□ On November 6, CFA convened review meeting about the scheme to construct disaster recovery of information systems and invited regulatory authorities and industry information technology experts to review the construction programs offered by four shortlisted companies.

□ 11月8-14日, 根据证监会办公厅《关于做好十八大期间资本市场信息安全保障工作的通知》要求, 为做好十八大期间期货行业信息安全保障工作, 协会及时启动了敏感时期报告制度, 安排专门人员加强了非工作时间对协会机房、网站和行业信息管理平台等重要信息系统的监控工作; 同时要求期货公司会员每日按时上报网络与信息安全日报, 并统计上报征信办。

□ From November 8 to November 14, in line with requirements of Notice Regarding Information Security Work in Capital Market during the Eighteenth National Congress of the Communist Party of China issued by CSRC General Office, CFA timely initiated the reporting system during sensitive period, appointed special personnel to strengthen the monitoring of important information systems like CFA's computer room, website and industry information management platform, etc., during nonworking hours, and requested the members of futures companies to report to Network and Information Security Daily on time every day and statistically submitted to CSRC Agency.

□ 11月12日, 彭刚副会长会见了来访的洲际交易所 (ICE) 欧洲部主席Robert Reid先生, 双方就原油期货相关议题进行了深入交流。

□ On November 12, Vice-president Peng Gang met with visiting Mr. Robert Reid, President of European Department of Intercontinental Exchange (ICE). Both sides conducted deep exchanges on crude

oil and futures issues.

□ 11月15日, 协会于北京召开专项基金委员会会议, 审议了期货人才培养专项基金和期货投资者教育专项基金2012年使用情况和2013年使用计划, 并对《期货人才培养专项基金五年使用规划》进行了讨论。

□ On November 15, CFA held special fund committee meeting in Beijing. The meeting reviewed the use of special funds on futures personnel training and on futures investor education in 2012 and use plan in 2013 and discussed Five-year plan for the use of special funds on futures personnel training.

□ 11月15日, 协会在北京召开了第三届理事会第五次会长工作会。会议由刘志超会长主持, 协会专、兼职副会长及各专业委员会主任委员参加了会议。与会同志高度评价了协会2012年的工作, 并围绕推进行业创新发展、提升行业自律水平、加强行业人才培养、培育机构投资者和强化信息系统建设等方面, 对2013年协会重点工作提出了意见和建议。

□ On November 15, CFA held the Fifth president work conference of the Third Council in Beijing. President Liu Zhichao chaired the meeting; full-time, part-time Vice-presidents of CFA and chairmen of specialties committees attended the meeting. The participants spoke highly of the work of CFA in 2012 and put forward comments and suggestions on the priorities in 2013 around the efforts to promote the innovation and development of the industry, improve the level of industry self-regulation, enhance industry personnel training, cultivate futures investors and strengthen the construction of information systems, etc.

□ 11月16日, 中国期货业协会第三届理事会第十一次会议以视频会议形式召开。会议按照计划顺利完成了议程, 并形成了相关决议, 原则通过了《期货公司设立子公司开展以风险管理服务为主的业务试点工作指引(草案)》。

□ On November 16, the 11th meeting of the Third Council of China Futures Association was held by virtue of video. The meeting successfully completed the agenda, formed relevant resolutions, and passed Guidelines to Futures Companies to Set up Subsidiaries to Develop Business Pilots Focusing on Risk Management Services (Draft) in principle.

□ 11月20-22日, 《证券期货业信息系统托管基本要求》制定工作第三次会议在京召开, 证监会证信办相关负责人员和标准制定工作组成员出席了会议。会议对标准初稿进行了结构性调整, 并分工完成了征求意见



### 见稿的起草工作。

- November 20 to 22, the third meeting about the formulation of Basic Requirements on Securities and Futures Information System Hosting was held in Beijing. Relevant responsible officers from CSRC Agency and group members engaged in standard formulation attended the meeting. The meeting made a structural adjustment on the first draft and completed the preparation of exposure draft by division work.
- 11月20-22日,《期货公司运维管理参考案例》起草工作第二次会议在京召开,证监会证信办相关负责人员、案例起草工作组成员以及部分《证券期货业信息系统运维管理指南》的起草人员出席了会议。会议主要对案例编写过程中的问题进行了讨论,确定了编写体例,并分组开展了初稿的编写工作。
- From November 20 to November 22, the second meeting about the draft of Reference Case in Operation and Maintenance Management of Futures Companies was held in Beijing. Relevant responsible officers from CSRC Agency, group members involved in cases draft and some personnel to draft Guidelines on Operation and Maintenance Management of Securities and Futures Information System attended the meeting. The meeting focused on the problems encountered during writing process, determined the compilation style and commenced the preparation of the first draft in groups.
- 11月22-24日,协会于桂林举办第二期期货公司董事长、监事长和独立董事培训,来自70家公司的111名高管参加了培训。此次培训邀请监管机构的领导和相关专家针对期货公司创新发展、期货新品种的市场建设情况、境内外期货公司的比较研究与发展战略、期货公司治理结构与内部控制、期货行业文化与诚信建设、东海和南海形势等内容进行了讲解。
- From November 22 to November 24, CFA organized the second training course for presidents, chief supervisor and independent directors of futures companies in Guilin. 111 senior executives from 70 companies participated in this training. The training course invited the leaders of regulatory authorities and relevant experts to detail the innovation and development of futures companies, market construction for new futures varieties, comparative research on domestic and foreign futures companies and development strategy, governance structure and internal control of futures companies, futures industry cultures and integrity construction, and the situation in East China Sea and South China Sea.
- 11月24日,2012年第五次期货从业人员资格考试及第二次投资分析考试在全国35个城市举行。此次共计54080人次报名,其中参加期货基础知识科目考试的有15608人次,参考率72.09%,通过率50.04%;参加期货法律法规科目考试的有16625人次,参考率73.86%,通过率20.97%;基础和法规两门科目均通过的比率为15.86%。参加期货投资分析科目考试的有7168人次,参考率72.27%,通过率为3.82%。
- On November 24, the fifth futures qualification exam and the second investment analysis exam in 2012 were held in 35 cities in China. A total of 54,080 people registered for these exams. 15,608 people took an exam for basic knowledge of futures, with 72.09% attendance rate and 50.04% passing rate; 16,625 people took part in the exam for laws and regulations on futures with 73.86% attendance rate and 20.97% passing rate; the rate passing both subjects was 15.86%. 7,168 people took part in exam for futures investment analysis with 72.27% attendance rate and 3.82% passing rate.
- 11月,根据期货二部的《期货公司单一客户委托资产管理业务工作指引》,协会草拟了《关于<期货公司资产管理合同指引>的补充规定》,并征求了期货二部、18家试点公司、6家托管银行的意见。
- In November, CFA drafted Supplemental Provisions on Asset Contract Guide to Futures Companies according to Instructions to Single Customer Entrusted Asset Management Business in Futures Companies from Futures Department II, and sought for opinions from Futures Department II, 18 pilot companies and 6 custodian banks.
- 11月,协会继续推进期货公司设立子公司开展以风险管理服务为主的业务试点的筹备工作。11月8日,向张育军主席助理汇报了筹备情况;11月9日上报了《关于由期货公司设立子公司开展以风险管理为主的业务试点的请示》,并与期货二部、期货一部、法律部进行沟通会签,11月28日获得批准。同时,为有序推进该项创新活动,协会于11月19日成立了创新业务工作组,着手开展起草包括备案工作流程、工作底稿等相关文件。
- In November, CFA continued the preparations

about futures companies setting up subsidiaries to develop service pilot focusing on risk management service, reported to Chairman Assistant Zhang Yujun on the preparations on November 8, and submitted Applications about Approval to Develop Business Pilot Focusing on Risk Management by Setting up Subsidiaries through Futures Companies, and communicated with Futures Department II, Futures Department I, and Legal Department to countersign, which was approved on November 28. In the meantime, in order to move forward with this innovation activity in an orderly manner, CFA established an innovative business working group on November 19 to embark on the drafting of relevant documents including filing workflow and

working paper, etc.

- 11月底，协会组织编写的期货投资者教育系列丛书之《焦炭》、《甲醇》、《铅》正式出版发行。该套丛书已先后出版了22册，涵盖了期货市场上市一年以上的27个上市品种。
- At the end of November, futures investor education book series, Coke, Methanol and Lead prepared by CFA were officially published. 22 volumes were successively published for this book series, covering 27 listed products running in the futures market more than one year.

## 十二月 December

- 12月2-3日，由中国期货业协会、深圳市人民政府共同主办的“第八届中国(深圳)国际期货大会”在深圳举行。本届大会以“期货市场的变革与创新”为主题，围绕我国期货市场改革开放与创新发展的趋势，以及全球衍生品市场改革发展趋势等议题进行深入交流和讨论，参会嘉宾规模达到八百余人。中国证监会姜洋副主席、张育军主席助理等领导出席，姜洋副主席代表中国证监会致辞。来自芝加哥商业交易所与欧洲期货交易所等全球各大交易所与国内6家证券、期货交易所高层在大会上进行了精彩发言。来自海内外的近150家境内外期货公司、商业银行、证券公司、基金公司、保险公司等金融机构和现货企业的代表，对期货业未来发展进行了深入讨论。同时，大会还组织了7个分论坛，分别针对国债期货与利率风险管理、国

际原油市场与中国原油期货、OTC市场发展、金融机构财富管理、期货市场的国际化与中外期货行业合作等多项议题进行了深入交流。

- From December 2 to December 3, "The eighth China (Shenzhen) International Futures Conference" jointly sponsored by CFA and Shenzhen Municipal People's Government was held in Shenzhen. The meeting was themed by "Reform and innovation of futures market" to conduct a deep exchange and discussion around issues such as reform and openness, innovation and development of China futures market, and the trends in reform and development of global derivative markets, with guests presented up to 800. Jiang Yang, Vice-Chairman of CSRC, and Zhang Yujun, Chairman Assistant, etc. attended the meeting. Vice-Chairman Jiang Yang addressed

the meeting on behalf of CSRC. Top leaders from global exchanges, like Chicago Mercantile Exchange and EUREX, etc., 6 securities and futures exchanges in China, made wonderful speeches at the meeting. The representatives from nearly 150 financial institutions and spot enterprises such as domestic and overseas futures companies, commercial banks, securities companies, fund companies, insurance companies had in-depth discussions on the future development of futures industry. Meanwhile, the conference also organized seven sub-forums to respectively conduct deep exchanges on issues such as treasury bond futures and interest rate risk management, international crude oil market and Chinese crude oil futures, OTC market development, wealth management in financial institutions, internationalization of futures market and cooperation between Chinese and foreign futures.

□ 12月2日，协会承办了由期货二部组织的“期货公司资产管理境外专家研讨会”，来自监管部门和25家期货公司的100余人参加了本次会议。此次研讨会邀请了元盛资产管理公司的5名境外专家就境外CTA的业务概况、机构运作模式、交易策略、产品设计和风险管理等方面进行了精彩演讲。

□ On December 2, CFA sponsored “Overseas experts seminar about asset management of futures companies” organized by Futures Department II. More than 100 people from regulatory authorities and 25 futures companies attended the meeting. The seminar invited 5 foreign experts from Winton Capital Management to make brilliant speeches in terms of overseas CTA's business profiles, operation mode of the organizations, trading strategies, product design and risk management, etc.

□ 12月2日，协会分别与芝加哥商业交易所集团（CME）、欧洲期货交易所（Eurex）在深圳签署了合作谅解备忘录，双方将在业务合作、建立高层定期交流机制、培训教育、业务研究等领域开展合作。

□ On December 2, CFA signed a memorandum of understanding on cooperation with Chicago Mercantile Exchange (CME) and EUREX respectively in Shenzhen. Both sides would conduct cooperation in the field of business cooperation, establishment of regular high-level exchange mechanism, training and education, business research, etc.

□ 12月5日，协会召开信息系统容灾项目招标预审会，对应标厂商的投标资格进行了预审。随后召开了项目开标评审会，邀请5位行业技术专家对3家应标厂商进行了评审，按照建设方案进行后续容灾建设工作。

□ On December 5, CFA organized the prequalification of the tender about information system disaster recovery project to pre-review the qualification of prospective bidders, and then held review meeting for bid opening of the project, with five industry technical experts invited to review the three tenderers. The follow-up disaster recovery construction would be carried out as per construction program.

□ 12月7日，协会李强副会长会见的来访的亚达盟（ADMIS）期货公司CEO TomKadlec，双方就中外期货行业发展等议题进行了深入交流。

□ On December 7, Li Qiang, Vice-president of CFA, met TomKadlec, CEO of ADMIS. Both sides conducted in-depth exchanges on the development of Chinese and foreign futures industry, etc.

□ 12月13-15日，协会于厦门举办第三期期货公司董事长、监事长及独立董事培训，来自73家公司的104名高管参加了本次培训。

□ From December 13 to December 15, CFA held the third training course for presidents, chief supervisor and independent directors of futures companies in Xiamen. 104 senior executives from 73 companies participated in this training.

□ 12月13-17号，协会组织考试教材命题专家召开《期货市场教程》（第八版）、《期货投资分析》（第三版）统稿会。改版后的教材在结构和知识体系上将更加贴近市场，更符合行业发展对人才知识体系的更新要求。

□ From December 13 to December 17, CFA organized exam materials proposition experts to convene the meeting about the Course for Futures Market (8th edition) and Futures Investment Analysis (3rd edition). The revised textbooks were more market-oriented in the structure and knowledge system and more in line with the updated requirements on qualified personnel and knowledge system for the industry development.

□ 12月17日下午，协会召集赴德培训的部分学员组成《金融衍生品》投资者教育丛书的撰写班子并召开第一次讨论会议。

□ On the afternoon of December 17, CFA organized a group consisting of some trainees those went to Germany for training, to write investor education book series, Financial Derivatives, and held the first discussion.

- 12月19-20日, 由协会主办的“期货市场牵手产企”(2012-2013)宣讲活动在长沙举行, 共有300多人参加了金属专场和粮食专场宣讲报告。此次宣讲活动旨在通过与产业客户面对面交流, 将期货市场为实体经济服务的理念广泛传播, 将投教工作服务产企和三农落到实处。
- From December 19 to December 20, propaganda activity, “Futures market to combine with production enterprises” (2012-2013), sponsored by CFA, was held in Changsha. A total of 300 people participated in special preach reports on metal and food. The activity aimed to widely disseminate the concept that futures market would serve real economy through face-to-face communications with production customers and enable the investor education to serve production enterprises and agriculture, farmers and rural areas.
- 12月22日, 协会发布了《期货公司设立子公司开展以风险管理服务为主的业务试点工作指引》, 自2013年2月1日起正式实施。此项业务的推出旨在推动期货行业创新发展, 提高期货公司的核心竞争力和服务实体经济, 特别是服务中小企业、服务“三农”的能力, 促进期现结合, 进一步发挥期货市场功能。
- On December 22, CFA issued Guideline to Futures Companies to Set up Subsidiaries to Develop Business Pilot Focusing on Risk Management Service which was officially implemented since February 1, 2013. The business aimed to promote the innovation and development of futures industry, improve core competitiveness of futures companies and capability of serving real economy, especially the capability of serving medium-sized and small enterprises and agriculture, farmers and rural areas, facilitate the combination of futures and spot, thus further exerting the function of futures market.
- 12月27日, “诚信从我做起”征文活动颁奖大会在北京召开。证监会期货二部、法律部、党委宣传部、北京证监局、各地方协会代表和“诚信从我做起”征文的获奖者、北京地区期货经营机构从业人员代表等参加了此次颁奖大会, 部分获奖人员进行了演讲。“诚信从我做起”征文活动自2012年8月开始至11月评选结束历时3个多月, 得到了证监会、各期货经营机构、期货行业从业人员的大力支持和积极参与, 共收到来自全国各地的参评征文1640篇, 最终评出一、二、三等奖及优秀奖共36名, 对于提升全行业的自觉守信意识具有重要意义。
- On December 27, “Honesty starts from me” essay activity award ceremony was held in Beijing. CSRC Futures Department II, Legal Department, Propaganda Department of Party Committee, Beijing Securities Regulatory Bureau, representatives of local associations, winners of essay “Honesty starts from me”, practitioners representatives of futures business institutions in Beijing, etc., attended the ceremony. And some award winners delivered speeches. The essay activity started from August to November, 2012, lasting more than three months, got plenty of supports from CSRC, local futures business institutions, practitioners in futures industry as well as their active participation, received a total of 1,640 essays from all over the country, with a total of 36 winners in first, second, third prizes and excellence awards finally selected, which has great significance for enhancing the awareness of conscious trustworthiness in the whole industry.
- 12月27日, 协会2012年第二次联系会员座谈会在北京举行。会议围绕中期协明年重点工作, 对服务实体经济、加强行业自律、诚信建设、规范行业竞争等内容进行了广泛细致的讨论。
- On December 27, CFA held the second associate member symposium in Beijing in 2012. The symposium conducted extensive and detailed discussions on the tasks to serve real economy, strengthen self-discipline, build integrity, and regulate the industry competition, etc. around the priorities of CFA.
- 12月下旬, 协会完成并上报了《2012年诚信建设工作总结》, 从开展诚信文化宣传工作、规范行业竞争秩序、加强诚信信息的采集、整理与录入等方面对协会落实《证券期货市场诚信监督管理暂行办法》, 积极开展诚信建设工作进行了总结。
- In late December, CFA completed and submitted 2012 Integrity Construction Work Summary to summarize the efforts those Association made in implementing Interim Procedures to Supervise and Manage the Integrity In Securities And Futures Market and actively developing integrity construction in terms of carrying out integrity culture propaganda work, standardizing the order of completion in the industry, strengthening the collection, collation and entry of integrity information.



# 会员名录

Membership Directory





## 会员名录

### Membership Directory

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
001G	北京中期期货有限公司 Beijing CIFCO Futures Co., Ltd.	北京朝阳区东三环北路 38 号院 1 号楼泰康金融大厦 22 层 2201 Room 2201, 22th Floor, Taikang Financial Mansion, Building 1, No.38, North Road, East Third Ring Road, Chaoyang District, Beijing	100026
002G	金鹏期货经纪有限公司 Jinpeng International Futures Co., Ltd. (JIFCO)	北京市西城区金融大街 27 号投资广场 B 座九层 9th Floor, Block B, Investment Plaza, No.27, Jinrong Street, Xicheng District, Beijing	100033
003G	国都期货有限公司 Guodu Futures Co., Ltd.	北京市东城区东直门南大街 3 号国华投资大厦 8 层、10 层 8th Floor and 10th Floor, Guohua Investment Building, No.3, Dongzhimen South Street, Dongcheng District, Beijing	100007
004G	中粮期货有限公司 COFCO Futures Co., Ltd.	北京市东城区东直门南大街 5 号中青旅大厦 15 层、3 层 311-313 室 Rooms 311-313, 3th Floor and 15th Floor, CYTS Plaza, No.5, Dongzhimen South Street, Dongcheng District, Beijing	100007
005G	北京首创期货有限责任公司 Capital Futures	北京市西城区闹市口大街 1 号院长安兴融中心 4 号楼 11 层 11th Floor, Building 4, Changan Xingrong Center, No. 1, Naoshikou Street, Xicheng District, Beijing	100031
006G	一德期货有限公司 First Futures	天津市和平区解放北路 188 号信达广场 14 层 (标识: 16 整层) 14th Floor, Xinda Plaza, No.188, Jiefang North Road, Heping District, Tianjin (mark: the whole 16th Floor)	300042
007G	宏源期货有限公司 Hongyuan Futures	北京市西城区太平桥大街 19 号 4 层 4B Room 4B, 4th Floor, No.19, Taipingqiao Street, Xicheng District, Beijing	100033
011G	第一创业期货有限责任公司 First Capital	北京市西城区平安里西大街 26 号新时代大厦四层南侧 South Side of 4th Floor, Xinshidai Building, No.26, Ping'anli West Street, Xicheng District, Beijing	100034
012G	冠通期货有限公司 Guan Tong Futures Brokerage Co., Ltd.	北京市朝阳区朝阳门外大街甲 6 号万通中心 4 座 18 层 18th Floor, Block 4, Van tong Centre, A No 6, Chaoyangmenwai Street, Chaoyang District, Beijing	100020
014G	国元海勤期货有限公司 Guoyuan Futures Co., Ltd.	北京市海淀区西三环北路 89 号中国外文大厦 A 座 907、908、909 室 Room 907 & Room 908 & Room 909, Block A, Chinese Foreign Languages Building, No.89, North Road, West Third Ring Road, Haidian District, Beijing	100089
015G	经易期货经纪有限公司 Jingyi Futures Co., Ltd.	北京市西城区百万庄北街 6 号 No.6, Baiwanzhuang North Street, Xicheng District, Beijing	100037
016G	京都期货有限公司 Jingdu Futures	北京市西城区德胜门外大街 115 号 1 层 A 区 A Section, 1st Floor, No.115, Deshengmenwai Street, Xicheng District, Beijing	100088
017G	中衍期货有限公司 China - Derivatives Futures Co., Ltd.	北京市朝阳区光华路 15 号院泰达时代中心 1 号楼 1804-1807 Room 1804-1807, Building 1, Taida Shidai Center, No.15, Guanghua Road, Chaoyang District, Beijing	100026
018G	中钢期货有限公司 Sinosteel Futures Co., Ltd.	北京市海淀区海淀大街 8 号 A 座 19 层 19th Floor, Block A, No.8, Haidian Street, Haidian District, Beijing	100080
019G	金谷期货有限公司 Jingu Futures Corporation	天津市和平区荣业大街 80 号 2 层、3 层 2nd Floor & 3rd Floor, No.80, Rongye Avenue, Heping District, Tianjin	300021
020G	财达期货有限公司 Caida Futures Co., Ltd.	天津市和平区君隆广场 1, 2 号楼西安道 2 号 501-503 Room 501-503, Building 1 & Building 2, No.2, Xi'an Avenue, Junlong Plaza, Heping District, Tianjin	300000



机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
021G	国泰君安期货有限公司 Guotai Jun'an Futures	上海市静安区延平路 121 号 26 层 26th Floor, No.121, Yanping Road, Jing'an District, Shanghai	200042
022G	象屿期货有限责任公司 Xiangyu Futures	天津开发区广场东路 20 号 E4—C—5 层西侧 West Side, E4—C—5th Floor, No.20, Guangchang East Road, Development District, Tianjin	300457
023G	和融期货经纪有限责任公司 Herong Futures Brokerage Co., Ltd.	天津市和平区郑州道 18 号港澳大厦 103,201-1,201-2,302-1,302-2 Room 103 & Room 201-1 & Room 201-2 & Room 302-1 & Room 302-2, Gang'ao Mansion, No.18, Zhengzhou Dao, Heping District, Tianjin City	300050
024G	河北恒银期货经纪有限公司 Hengyin Futures	石家庄市槐安东路 90 号国富大厦三层 3rd Floor, Guofu Building, No.90, Huai'an East Road, Shijiazhuang	050020
025G	山西三立期货经纪有限公司 Sanli Futures Co., Ltd.	山西省太原市府西街 69 号 1 幢东塔楼 16 层 16th Floor, Block 1, Dongta Building, No.69, Fuxi Street, Taiyuan City, Shanxi Province	030002
026G	民生期货有限公司 Minsheng Futures	北京市东城区建国门内大街 28 号民生金融中心 A 座 16 层 16th Floor, Block A, Minsheng Jinrong Center, No.28, Jianguomennei Street, Dongcheng District, Beijing	100005
027G	和合期货经纪有限公司 Hehe Futures Brokerage Co., Ltd.	山西省太原市菜园东街 2 号 No.2, Caiyuan East Street, Taiyuan City, Shanxi Province	030012
028G	鑫鼎盛期货有限公司 Xingdingsheng Futures Co., Ltd.	福州市鼓楼区福新路 239 号吉翔双子星大厦 1#-2# 楼连体 5 层 01 商场 Shopping Mall 01, Connected 5th Floor, Building 1#-2#, Jixiang Shuangzixing Building, No.239, Fuxin Road, Gulou District, Fuzhou	350001
029G	深圳瑞龙期货有限公司 LUCKYLOONG FUTURES	深圳市福田区福中三路诺德金融中心主楼 33D Main Building 33D, NuodeJinrong Center, Fuzhongsan Road, Futian District, Shenzhen	518026
030G	华海期货有限公司 Huahai Futures	沈阳市沈河区团结路 9 号 (1-9-1) No.9 (1-9-1), Tuanjie Road, Shenhe District, Shenyang	110013
032G	江海汇鑫期货有限公司 Jianghaihuixin Futures	辽宁省沈阳市沈河区青年大街 51-2 号 12 层 12th Floor, No. 51-2, Qingnian Street, Shenhe District, Shenyang City, Liaoning Province	110014
033G	江信国盛期货有限责任公司 JITIC GDLLEN SUN FUTURES	辽宁省鞍山市铁东区新华街 35 栋 -4 号 2 层、3 层 2nd Floor & 3rd Floor, No.4, Block 35, Xinhua Street, Tiedong District, Anshan City, Liaoning Province	114003
034G	天富期货有限公司 Tianfu Futures	长春市长春大街 500 号吉信大厦 Jixin Building, No.500, Changchun Street, Changchun	130041
035G	中融汇信期货有限公司 ZHONG RONG HUI XIN FUTURES CO., LTD	长春市人民大街 4848 号华贸国际 2604-2605 室 Room 2604-2605, Huamao Guoji Building, No.4848, Renmin Street, Changchun	130022
036G	大连良运期货经纪有限公司 Dalian Fortune Futures Co., Ltd.	大连市沙河口区会展路 129 号大连期货大厦 37 层 3701-3706 室 Room 3701-3706, 37th Floor, Dalian Futures Tower, No.129, Huizhan Road, Shahekou District, Dalian	116023
037G	兴业期货有限公司 Industrial Futures Co., Ltd.	福州市鼓楼区温泉街道湖东路 268 号 6 层 (兴业证券大厦) 6th Floor, No.268, Hudong Road, Wenquan Street, Gulou District, Fuzhou (Industrial Securities Building)	350001
038G	晟鑫期货经纪有限公司 Shengxin Futures Co., Ltd.	山西省阳泉市德胜东街 23 号 No.23, Desheng East Street, Yangquan City, Shanxi Province	045000
040G	天鸿期货经纪有限公司 Tianhong Futures	上海市东大名路 1080 号 21 层 01、02、03 室 Room 01 & Room 02 & Room 03, 21st Floor, No.1080, Dongdaming Road, Shanghai	200082
042G	黑龙江三力期货经纪有限责 任公司 Heilongjiang Sanli Futures Co., Ltd.	黑龙江省哈尔滨市道里区中央大街 185 号金谷大厦 Jingu Building, No.185, Zhongyang Street, Daoli District, Harbin City, Heilongjiang Province	150010

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
043G	大通期货经纪有限公司 Datong Futures	黑龙江省哈尔滨市南岗区西大直街 118 号 1 号楼 6 层 6th Floor, Building 1, No.118, Xidazhi Street, Nangang District, Harbin City, Heilongjiang Province	150001
044G	中投天琪期货有限公司 Tianqi Futures Co., Ltd.	深圳市福田区深南大道 4009 号投资大厦 Investment Building, No.4009, Shennan Avenue, Futian District, Shenzhen	518048
046G	银河期货有限公司 Galaxy Futures	北京西城区复兴门外大街 A2 号中化大厦 8 层、306 室 Room 306, 8th Floor, Zhonghua Building, No.A2, Fuxingmenwai Street, Xicheng District, Beijing	100045
047G	北方期货经纪有限责任公司 Northern Futures	大连市沙河口区中山路 478-1-3 478-1-3, Zhongshan Road, Shahekou District, Dalian	116021
048G	中国国际期货有限公司 China International Futures Co., Ltd.	北京市朝阳区建国门外光华路 14 号 1 幢 1 层、2 层、9 层、11 层、12 层 1st Floor & 2nd Floor & 9th Floor & 11th Floor & 12th Floor, Block 1, No.14, Guanghua Road, Jianguomenwai, Chaoyang District, Beijing	100020
049G	渤海期货有限公司 Bohai Futures Co., Ltd.	大连市中山区玉光街 11 号远洋大厦 B 座写字间 1 单元 9 层 9th Floor, Unit 1, Block B, Yuanyang Building, No.11, Yuguang Street, Zhongshan District, Dalian	116001
050G	国富期货有限公司 Guofu Futures	大连市沙河口区会展路 129 号大连国际金融中心 A 座 - 大连期货大厦 2808 室 Room 2808, Dalian Futures Tower, Block A, Dalian International Financial Center, No.129, Huizhan Road, Shahekou District, Dalian	116023
051G	海通期货有限公司 Haitong Futures Co., Ltd.	上海市浦东新区世纪大道 1589 号 17 楼、6 楼 01-04 单元、25 楼 17th Floor, 01-04 Unit of 6th Floor, 25th Floor, No.1589, Century Avenue, Pudong New Area, Shanghai	200122
052G	华鑫期货有限公司 China Fortune Futures Co., Ltd.	上海市黄浦区宁海东路 200 号申鑫大厦 27、28 楼 27th Floor & 28th Floor, Shenxin Building, No.200, Ninghai East Road, Huangpu District, Shanghai	200021
053G	光大期货有限公司 Everbright Futures Co., Ltd.	上海市福山路 458 号 303、601-602、1104-1106、1301-1303、1311-1312 室 Room 303 & Room 601-602 & Room1104-1106 & Room1301-1303 & Room 1311-1312, Fushan Road, Shanghai	200040
054G	上海金源期货有限公司 Shanghai Jinyuan Futures Co., Ltd.	上海市浦东新区源深路 273 号 (1、2 楼) No.273, Yuanshen Road, Pudong New Area, Shanghai (1st Floor and 2nd Floor)	200135
055G	恒泰期货有限公司 Hengtai Futures	上海浦东新区松林路 357 号 19 层、21 层 E、F 座 Block E & Block F, 19th Floor & 21st Floor, No.357, Songlin Road, Pudong New Area, Shanghai	200122
056G	国投中谷期货有限公司 SDIC CGOG Futures Co., Ltd.	上海市东大名路 638 号五层 5th Floor, No.638, Dongdaming Road, Shanghai	200080
057G	上海良茂期货经纪有限公司 Shanghai Liangmao Futures Co., Ltd.	上海市打浦路 198 号 No.198, Dapu Road, Shanghai	200023
058G	上海东亚期货有限公司 Shanghai East Asia Futures Co., Ltd.	上海市松林路 300 号 2202-2205 室 Room 2202-2205, No.300, Songlin Road, Shanghai	200122
059G	上海东方期货经纪有限责任公司 Shanghai Dongfang Futures Brokerage Co., Ltd.	上海市浦东松林路 300 号 1603 室 Room 1603, No.300, Songlin Road, Pudong New Area, Shanghai	200122
060G	上海大陆期货有限公司 Shanghai Dalu Futures Co., Ltd.	上海市凯旋路 3131 号明申中心大厦 25、26 楼 25th Floor & 26th Floor, Mingshen Center, No.3131, Kaixuan Road, Shanghai	200030
061G	东航期货有限责任公司 CES Futures	上海市吴中路 686 弄 3 号 D 幢 16 楼 16th Floor, Block D, Lane No.3, No.686, Wuzhong Road, Shanghai	201103
062G	上海中财期货有限公司 Zhongcai Futures	上海市浦东新区陆家嘴环路 958 号 23 楼、2402 室 Room 2402, 23th Floor, No.958, Lujiazui Ring Road, Pudong New Area, Shanghai	200120

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
063G	上海浙石期货经纪有限公司 Shanghai Zheshi Futures Co., Ltd.	上海市浦东新区浦电路 438 号 No.438, Pudian Road, Pudong New Area, Shanghai	200122
064G	上海普民期货经纪有限公司 Shanghai Pumin Futures Brokerage Co., Ltd.	上海市中山北路 2550 号 8 楼 C 座 Block C, 8th Floor, No.2550, Zhongshan North Road, Shanghai	200063
066G	上海通联期货有限公司 Shanghai Tonglian Futures Co., Ltd.	上海市浦东陆家嘴环路 958 号 7 楼 7th Floor, No.958, Lujiazui Ring Road, Pudong New Area, Shanghai	200120
067G	上海东证期货有限公司 Orient Futures	上海市浦东新区浦电路 500 号上海期货大厦 14 层 14th Floor, Shanghai Futures Building, No.500, Pudian Road, Pudong New Area, Shanghai	200122
068G	海证期货有限公司 Hicend Futures Co., Ltd.	上海市临平北路 19 号 3 楼 3rd Floor, No.19, Linping North Road, Shanghai	200086
070G	上海中期期货经纪有限公司 Shanghai CIFCO Futures	上海市浦东新区浦电路 500 号 11 楼 11th Floor, No.500, Pudian Road, Pudong New Area, Shanghai	200122
072G	中信新际期货有限公司 CITIC Newedge	上海市浦东大道 1085 号 C 座 401 室 Room 401, Block C, No.1085, Pudong Avenue, Shanghai	200135
073G	同信久恒期货有限责任公司 Shanghai Jiuheheng Futures Brokerage Co., Ltd.	上海市浦东新区世纪大道 1500 号 12 楼北座 North Section of Building 12, No.1500, Century Avenue, Pudong New Area, Shanghai	200122
074G	江苏东华期货有限公司 Donghua Futures	江苏省南京市王府大街 63 号 5 层 5th Floor, No.63, Wangfu Street, Nanjing City, Jiangsu Province	210004
075G	国联期货有限责任公司 Guolian Futures	无锡市金融一街 8 号 No.8, Jinrongyi Street, Wuxi	214121
077G	创元期货经纪有限公司 Chuang Yuan Futures Co., Ltd.	苏州市三香路 120 号万盛大厦 2 楼、3 楼 2nd Floor & 3rd Floor, Wansheng Building, No.120, Sanxiang Road, Suzhou	215004
078G	东海期货有限责任公司 Donghai Futures	江苏省常州市延陵西路 23、25、27、29 号 No. 23 & No. 25 & No. 27 & No. 29, Yanling West Road, Changzhou City, Jiangsu Province	213003
079G	新纪元期货有限公司 New Era Futures	江苏省徐州市淮海东路 153 号 No.153, Huaihai East Road, Xuzhou City, Jiangsu Province	221005
080G	华证期货有限公司 Huazheng Futures	江苏省宜兴市人民中路 135 号华证大厦 Huazheng Building, No.135, Renmin Middle Road, Yixing City, Jiangsu Province	214206
081G	弘业期货股份有限公司 Holly Futures Co., Ltd.	南京市中华路 50 号弘业大厦 Hongye Building, No.50, Zhonghua Road, Nanjing	210001
082G	文峰期货有限公司 Wenfeng Futures Co., Ltd.	同注册地址 3rd Floor, Feima Building, No.128, Huancheng South Road, Nantong City, Jiangsu Province	226007
083G	锦泰期货有限公司 Jintai Futures Co., Ltd.	江苏省南京市中央路 258-28 号锦盈大厦 Jinying Building, No.258-28, Zhongyang Road, Nanjing City, Jiangsu Province	210009
084G	浙江中大期货有限公司 Zhongda Futures	浙江省杭州市中大广场五矿大厦 2 层 3 层 18 层 2nd Floor & 3rd Floor & 18th Floor, Wukuang Building, Zhongda Plaza, Hangzhou City, Zhejiang Province	310003
085G	浙江新世纪期货有限公司 Zhejiang New Century Futures Co., Ltd.	浙江省杭州市体育场路 335 号 No.335, Tiyuchang Road, Hangzhou City, Zhejiang Province	310006
086G	宝城期货有限责任公司 Baocheng Futures Co., Ltd.	杭州市求是路 8 号公元大厦南裙 1-301、1-501 室, 北楼 301、302、303 室 Room 301 & Room 302 & Room 303 of North Building and Room 1-301 & Room 1-501 of South Wing of Gongyuan Building, No.8, Qiushi Road, Hangzhou	310013

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
088G	大地期货有限公司 Dadi Futures	浙江省杭州市延安路 511 号元通大厦 12 楼 12th Floor, Yuantong Building, No.511, Yan ' an Road, Hangzhou City, Zhejiang Province	310006
089G	浙商期货有限公司 Zheshang Futures	杭州市庆春路 173 号 8-10 层 8th Floor - 10th Floor, No.173, Qingchun Road, Hangzhou	310006
090G	浙江大越期货经纪有限责任公司 Dayue Futures	浙江省绍兴市解放北路 186 号 No.186, Jiefang North Road, Shaoxing City, Zhejiang Province	312000
091G	信达期货有限公司 CINDA	杭州市文晖路 108 号浙江出版物资大楼 12、16 层 12th Floor & 16th Floor, Zhejiang Publishing Material Building, No.108, Wenhui Road, Hangzhou	310004
092G	新湖期货有限公司 Xinhu Futures	上海市裕通路 100 号 36 层 36th Floor, No.100, Yutong Road, Shanghai	200070
093G	南华期货股份有限公司 Nanhua Futures Co., Ltd.	杭州市西湖大道 193 号二层、三层 2nd Floor & 3rd Floor, No.193, Xihu Avenue, Hangzhou	310002
094G	国海良时期货有限公司 Guohai Liangshi Futures	杭州市河东路 91 号 No.91, Hedong Road, Hangzhou	310014
095G	永安期货股份有限公司 Yong ' an Futures Co., Ltd.	杭州市潮王路 208 号浙江协作大厦 3、6-10 楼 3rd Floor & 6th Floor - 10th Floor, Zhejiang Cooperation Building, No.208, Chaowang Road, Hangzhou	310005
096G	宁波杉立期货经纪有限公司 Shanli Futures	宁波市中山东路 796 号东航大厦 11 楼 11th Floor, Donghang Building, No.796, Zhongshan East Road, Ningbo	315040
098G	鲁证期货股份有限公司 Luzheng Futures Co., Ltd.	济南市市中区经七路 86 号 15、16 层 15th Floor & 16th Floor, No.86, Jingqi Road, Shizhong District, Jinan	250001
099G	招金期货有限公司 ZHAO JIN FUTURES	山东省淄博市张店区柳泉路 45 号甲 3 号 5 层 5th Floor, A No.3, No.45, Liuquan Road, Zhangdian District, Zibo City, Shandong Province	255000
101G	中州期货有限公司 Zhongzhou Futures	山东省烟台市莱山区迎春大街 133-1 科技创业大厦 Technology Venture Building, No.133-1, Yingchun Street, Laishan District, Yantai City, Shandong Province	264003
102G	英大期货有限公司 Yingda Futures	北京市朝阳区呼家楼京广中心 3 层 301 室 Room 301, 3rd Floor, Jingguang Center, Hujianglou, Chaoyang District, Beijing	100005
104G	徽商期货有限责任公司 Huishang Futures	合肥市芜湖路 258 号 3 号楼 6-7 层、6 号楼 2 层 6th Floor & 7th Floor of Building 3 and 2nd Floor of Building 6, No.258, Wuhu Road, Hefei	230061
105G	华安期货有限责任公司 Hua ' an Futures	安徽省合肥市长江中路 419 号 No.419, Changjiang Middle Road, Hefei City, Anhui Province	230061
107G	安粮期货有限公司 AHCOF Futures Co., Ltd.	安徽省合肥市芜湖路 168 号同济大厦 10-11 层 10th Floor & 11th Floor, Tongji Building, No.168, Wuhu Road, Hefei City, Anhui Province	230001
109G	格林期货有限公司 Green Futures	北京市西城区金融大街 27 号投资广场 B5 层 B1004 室 B2003 室 B2005-2008 室 B5th Floor & B1004 & B2003 & B2005-2008, Investment Plaza, No.27, Jinrong Street, Xicheng District, Beijing	100033
111G	万达期货有限公司 Wonder Futures	郑州市郑东新区商务内环路 27 号楼 1 单元 3 层 01 号、2 单元 3 层 02 号 01 - 3rd Floor - Unit 1 and 02 - 3rd Floor - Unit 2, Building 27, Business Inner Ring Road, Zhengdong New District, Zhengzhou	450016
112G	国信期货有限责任公司 GUOSEN FUTURES	郑州市郑东新区商务外环路 13 号 5 层 502、503 室 Room 502 & Room 503, 5th Floor, No.13, Business Outer Ring Road, Zhengdong New District, Zhengzhou	450008
113G	中原期货有限公司 Central China Futures Co., Ltd.	河南省郑州市郑东新区商务外环路 10 号中原广发金融大厦四楼 4th Floor, Zhongyuan Guangfa Jinrong Building, No.10, Business Outer Ring Road, Zhengdong New District, Zhengzhou City, Henan Province	450046

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
115G	金友期货经纪有限责任公司 Jinyou Futures	福州市鼓楼区华林路 93 号 6 层 6th Floor, No.93, Hualin Road, Gulou District, Fuzhou	350003
117G	方正期货有限公司 Founder Futures	长沙市开福区芙蓉中路一段 372 号证券大厦四楼 4th Floor, Securities Building, No.372, Section 1, Furong Middle Road, Kaifu District, Changsha	410008
120G	金信期货有限公司 GOLDTRUST FUTURES	长沙市车站北路 459 号证券大厦 5 楼 5th Floor, Securities Building, No.459, Railway North Road, Changsha	410001
121G	美尔雅期货经纪有限公司 MAILYARD Futures	湖北省武汉市江汉区新华路 218 号 (浦发银行大厦) 9 层 1 室、10 层 1 室 Room 1 of 9th Floor and Room 1 of 10th Floor, No.218 (Pudong Development Bank Mansion), Xinhua Road, Jiangnan District, Wuhan City, Hubei Province	430022
122G	新疆天利期货经纪有限公司 Xinjiang Tianli Futures Co., Ltd.	乌鲁木齐市人民路 33 号瑞达国际大厦七楼 7th Floor, Ruida Guoji Building, No.33, Renmin Road, Urumqi	830002
123G	华闻期货经纪有限公司 Huawen Futures	上海市浦东新区浦东大道 720 号国际航运金融大厦 22 楼 ABCDMNI 室 Room A-B-C-D-M-N-I, 22th Floor, International Shipping and Financing Building, No. 720, Pudong Avenue, Pudong New Area, Shanghai	200120
125G	长江期货有限公司 Changjiang Futures	湖北省武汉市汉口新华路特 8 号长江证券大厦 8 楼 8th Floor, Changjiang Securities Building, No.8, Xinhua Road, Hankou, Wuhan City, Hubei Province	430015
126G	南证期货有限责任公司 Nanzheng Futures Co., Ltd.	南京市秦淮区长乐路 226 号长乐花园 01 幢 1 号 -4,1 号 -7,1 号 -8 No.1-4, No.1-7, No.1-8, Block 01, Changle Park, No.226, Changle Road, Qinhuai District, Nanjing	210006
127G	湘财祈年期货经纪有限公司 BENE DICTUS Futures Company Limited	上海市虹口区四川北路 859 号 1006 室 Room 1006, No.859, Sichuan North Road, Hongkou District, Shanghai	200085
129G	江南期货经纪有限公司 AVIC Jiangnan Futures	广东省东莞市南城区体育路 2 号鸿禧中心六层 B11、B12 室 Room B11-B12, 6th Floor, Hongxi Center, No.2, Tiyu Road, Nancheng District, Dongguan City, Guangdong Province	523009
131G	华联期货有限公司 Dongguan Hualian Futures Co., Ltd.	东莞市城区可园南路 1 号金源中心 16 层 16th Floor, Jinyuan Center, No.1, Keyuan South Road, City District, Dongguan	523000
132G	华龙期货有限公司 Hualong Futures Co., Ltd.	甘肃省兰州市静宁路 308 号 4 楼 4th Floor, No.308, Jingning Road, Lanzhou City, Gansu Province	730000
133G	广发期货有限公司 GF Futures	广东省广州市天河区体育西路 57 号红盾大厦 9 楼、14 楼、15 楼 9th Floor & 14th Floor & 15th Floor, Hongdun Building, No.57, Tiyu West Road, Tianhe District, Guangzhou City, Guangdong Province	510620
134G	华南期货经纪有限公司 Huanan Futures Co., Ltd.	广东省广州市天河区体育西路 111 号建和中心大厦 15 楼 15th Floor, Jianhe Zhongxin Building, No.111, Tiyu West Road, Tianhe District, Guangzhou City, Guangdong Province	510620
135G	广东鸿海期货有限公司 Guangdong Hoohy Futures Co., Ltd.	深圳市福田区深南大道与金田路交界西南深圳国际交易广场 2612-2616 2612-2616, Shenzhen International Exchange Plaza, Southwest of Intersection of Shennan Avenue and Jintian Road, Futian District, Shenzhen	518038
137G	新晟期货有限公司 Xinsheng Futures Co., Ltd.	广州市海珠区新港东路 1000 号 801、802、813、814、902、913 房 Room 801、802、813、814、902、913, No.1000, Xingang East Road, Haizhu District, Guangzhou	510308
139G	集成期货有限公司 SUCCESS FUTURES	广东省广州市天河区珠江新城华夏路 10 号富力中心 11 层 03.04 单元 Unit 03-04, 11th Floor, Fuli Center, No.10, Huaxia Road, Zhujiang Xincheng, Tianhe District, Guangzhou City, Guangdong Province	510623
140G	摩根大通期货有限公司 J.P.Morgan	广东省中山市东区中山四路盛景园三期 A2 幢 8 层 6 卡 Room 6, 8th Floor, Block A2, Shengjingyuan Phase III, Zhongshansi Road, East District, Zhongshan City, Guangdong Province	528403



机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
141G	华泰长城期货有限公司 Huatai Great Wall Futures Co., Ltd.	广州市先烈中路 65 号东山广场东楼 5 层、11、12 层 5th Floor & 11th Floor & 12th Floor, East Section of Dongshan Plaza, No.65, Xianlie Middle Road, Guangzhou	510095
143G	金石期货有限公司 Jinshi Futures	新疆乌鲁木齐市解放北路 90 号天际大厦三楼 3rd Floor, Tianjin Building, No.90, Jiefang North Road, Urumqi, Xinjiang	830002
145G	银建期货经纪有限责任公司 Yinjian Futures	北京市丰台区方庄芳古园一区 29 号楼 3 层 3rd Floor, No.29, Fangguyuan Area 1, Fangzhuang, Fengtai District, Beijing	100078
147G	国贸期货经纪有限公司 ITG Futures	福建省厦门市湖滨南路国贸大厦 11 层、2 层 A1 单元、5 层 B1 单元 11th Floor & A1 of 2nd Floor & B1 of 5th Floor, Guomao Building, Hubin South Road, Xiamen City, Fujian Province	361004
148G	中航期货经纪有限公司 China Aviation Futures Co., Ltd.	深圳市福田区深南大道 2008 号中国凤凰大厦 2 栋 5 层 512、513、501 室 Room 512 & Room 513 & Room 501, 5th Floor, Block 2, China Fenghuang Building, No. 2008, Shennan Avenue, Futian District, Shenzhen	518026
149G	中证期货有限公司 CITICS Futures Co., Ltd.	深圳福田中心三路 8 号卓越时代广场（二期）北座 13 层 1303-1305 室、14 层 Room 1303-1305 of 13th Floor & 14th Floor, North Section of Zhuoyue Shidai Plaza (Phase II), No.8, Zhongxinsan Road, Futian District, Shenzhen	518048
150G	五矿期货有限公司 Minmetal Futures Co., Ltd.	深圳市福田区益田路西福中路北新世界商务中心 48 层 48th Floor, Beixin World Business Center, Xifu Middle Road, Yitian Road, Futian District, Shenzhen	518026
151G	招商期货有限公司 China Merchants Futures	深圳福田区福华一路免税商务大厦 9 层 9-15 单元、7 层 1-8、22-26 号单元 Unit 9-15 of 9th Floor and Unit 1-8 & 22-26 of 7th Floor, Duty-Free Business Building, Fuhuai Road, Futian District, Shenzhen	518048
152G	深圳金汇期货经纪有限公司 Nonfemet Commodities & Futures Agent Co., Ltd.	深圳市福田区深南大道 6013 号有色大厦 18 楼 18th Floor, Nonfemet Building, No.6013, Shennan Avenue, Futian District, Shenzhen	518040
154G	乾坤期货有限公司 QK Futures	广东省深圳市福田区深南大道 4009 号投资大厦二楼 01 区 03A 区 01 Section and 03A Section, 2nd Floor, Investment Building, No.4009, Shennan Avenue, Futian District, Shenzhen City, Guangdong Province	518048
155G	海航东银期货有限公司 HNA FUTURES	深圳市福田区深南中路华能大厦中区 18 层 18th Floor, Middle Area of Huaneng Building, Shennan Middle Road, Futian District, Shenzhen	518031
156G	神华期货经纪有限公司 Miracle China Futures Futures Co., Ltd.	广东省深圳市福田区深南大道 6008 号特区报业大厦西区 29F 29th Floor, West Area of Baoye Building, Special Area, No.6008, Shennan Avenue, Futian District, Shenzhen City, Guangdong Province	518009
157G	金瑞期货有限公司 Jinrui Futures	深圳市福田区福虹路 9 号世贸广场 A 座 2302-2304 室、2401-2408 室、38 楼 Room 2302-2304 & Room 2401-2408 & 38th Floor, Block A, World Trade Plaza, No.9, Fuhong Road, Futian District, Shenzhen	518033
158G	平安期货有限公司 Ping ' an Futures Co., Ltd.	深圳市福田区中心区东南部时代财富大厦 26B、26C、26D、26E、26F 房 Room 26B、26C、26D、26E、26F, Times Fortune Building, Southeast Section, Zhongxin District, Futian District, Shenzhen	518026
159G	金元期货经纪有限公司 GOLDSTATE FUTURES CO., LTD.	海南省海口市南宝路 36 号证券大厦一楼、五楼 1st Floor & 5th Floor, Securities Building, No.36, Nanbao Road, Haikou City, Hainan Province	570206
160G	华融期货有限责任公司 Huarong Futures	海南省海口市龙昆北路 53-1 号三楼 3rd Floor, No. 53-1, Longkun North Road, Haikou City, Hainan Province	570105
162G	道通期货经纪有限公司 DOTO Futures	江苏省南京市鼓楼区广州路 188 号苏宁环球大厦 5 层 02 座 5th Floor, Block 02, Suning Global Mansion, No.188, Guangzhou Road, Gulou District, Nanjing City, Jiangsu Province	210024
164G	海南金海岸期货经纪有限公司 Golden Coast Futures	海口市国贸大道 45 号银通中心 20 层 20th Floor, Yintong Center, No.45, Guomao Avenue, Haikou	570125
166G	申银万国期货有限公司 Shenyin & Wanguo Futures	上海市东方路 800 号 7、8、10 楼 7th Floor & 8th Floor & 10th Floor, No.800, Dongfang Road, Shanghai	200122

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
167G	华西期货有限责任公司 Huaxi Futures	成都市青羊区通惠门路3号 No.3, Tonghuimen Road, Qingyang District, Chengdu	610015
168G	瑞达期货股份有限公司 Ruida Futures Co., Ltd.	福建省厦门市思明区塔埔东路169号13层	
170G	国金期货有限责任公司 SINOLINK FUTURES	成都市锦江区东大街芷泉段229号1栋2单元28层 28th Floor, Unit 2, Block 1, No.229, Zhiquan Section, East Street, Jingjiang District, Chengdu	610061
171G	成都倍特期货经纪有限公司 BRILLIANT	成都市青羊区青龙街51号倍特康派大厦第1幢9层1-11号及13层6号 No.1-11 of 9th Floor and No.6 of 13th Floor, Block 1, Beite Kangpai Building, No.51, Qinglong Street, Qingyang District, Chengdu	610031
172G	西南期货经纪有限公司 Xinan Futures Co., Ltd.	重庆市渝中区中山三路168号中安大厦9楼 9th Floor, Zhong'an Building, No.168, Zhongshanshan Road, Yuzhong District, Chongqing	400015
173G	中信建投期货经纪有限公司 China Futures Co., Ltd.	渝中区中山三路107号上站大楼平街11—B, 名义层11-A, 8-B4, 9-B、C 11-A, 8-B4, 9-B & C, Mingyi Level, Ping Street 11-B, Shangzhan Building, No.107, Zhongshanshan Road, Yuzhong District	400014
174G	大华期货有限公司 Dahua Futures Co., Ltd.	上海市浦东新区源深路1088号7楼 7th Floor, No.1088, Yuanshen Road, Pudong New Area, Shanghai	200122
175G	中电投先融期货有限公司 Xianrong Futures	重庆市渝中区邹容路邹容广场A座14楼 14th Floor, Block A, Zourong Plaza, Yuzhong District, Chongqing	400010
176G	红塔期货有限责任公司 Hongta Futures	昆明市北辰财富中心商住楼A幢28楼(0801-ABCD) 0801-ABCD, 28th Floor, Block A, Business Building, Beichen Fortune Center, Kunming	650224
178G	西部期货有限公司 Western Futures	西安市东新街232号陕西信托大厦三层、九层 3rd Floor & 9th Floor, Shannxi Trust Building, No.232, Dongxin Street, Xi'an	710004
179G	长安期货有限公司 Changan Futures Co., Ltd.	西安市和平路99号金鑫国际大厦七层707 Room 707, 7th Floor, Jinxin International Building, No.99, Heping Road, Xi'an	710001
180G	东兴期货有限责任公司 Dongxing Futures	上海市杨树浦路248号22层 22th Floor, No.248, Yangshupu Road, Shanghai	200082
182G	江西瑞奇期货经纪有限公司 Jiangxi Ruiqi Futures Co., Ltd.	江西省南昌市广场南路333号恒茂国际中心16号楼A座6楼 6th Floor, Block A, No.16, Hengmao International Center, No.333, Guangchang South Road, Nanchang City, Jiangxi Province	330003
183G	迈科期货经纪有限公司 Maikē Futures	陕西省西安市高新区唐延路33号迈科国际大厦22层 22th Floor, Maikē International Building, No.33, Tangyan Road, Gaoxin District, Xi'an City, Shaanxi Province	710075
184G	黑龙江时代期货经纪有限公司 Heilongjiang Shidai Futures Co., Ltd.	哈尔滨市香坊区中山路172号哈高新区富阳创业中心(常青大厦)15层 15th Floor, Changqing Building, Fuyang Innovation Center, Hagao New District, No.172, Zhongshan Road, Xiangfang District, Harbin	150036
185G	中辉期货经纪有限公司 Zhonghui Futures	山西省太原市新建路39号乡海大厦16层 16th Floor, Xianghai Building, No.39, Xinjian Road, Taiyuan City, Shanxi Province	030002
186G	大有期货有限公司 Dayou Futures	长沙市开福区芙蓉中路一段478号运达国际广场写字楼21楼 21th Floor, Office Building, Yunda International Plaza, No.478, Section 1, Furong Middle Road, Kaifu District, Changsha	410011
187G	华创期货有限责任公司 Huachuang Futures Co., Ltd.	重庆市渝中区中山三路131号希尔顿商务大厦13楼 13th Floor, No.131, Hilton Business Mansion, Zhongshanshan Road, Yuzhong District, Chongqing	400015
188G	云晨期货有限责任公司 Yunchen Futures Co., Ltd.	云南省昆明市人民东路111号 No.111, Renmin East Road, Kunming City, Yunnan Province	650051
189G	东吴期货有限公司 SOOCHOW FUTURES	上海市西藏南路1208号6楼、10楼EFGH EFGH, 6th Floor & 10th Floor, No.1208, Tibet South Road, Shanghai	200011
190G	广永期货有限公司 Guang Yong Futures	广州市天河区体育西路57号第10层、12层 10th Floor & 12th Floor, No.57, Tiyu West Road, Tianhe District, Guangzhou	510620

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
191G	盛达期货有限公司 Shengda Futures Co., Ltd.	广州市解放南路 123 号金汇大厦 6 楼 601 Room 601, 6th Floor, Jinhui Building, No.123, Jiefang South Road, Guangzhou	510120
192G	安信期货有限责任公司 ESSENCE FUTURES	北京市东城区北三环东路 36 号 A26 A26, No.36, East Road, North Third Ring Road, Dongcheng District, Beijing	100013
193G	广州期货有限公司 Guangzhou Futures Co., Ltd.	广州市天河区临江大道 5 号第 20 层 06 单元、第 21 层 04、05、06 单元 Unit 06 of 20th Floor and Unit 04-05-06 of 21th Floor, No.5, Linjiang Avenue, Tianhe District, Guangzhou	510623
194G	津投期货经纪有限公司 Jintou Futures Co., Ltd.	天津市河西区马场道 59 号国际经济贸易中心 A 座 9 层 9th Floor, Block A, International Economic and Trade Center, No.59, Machang Road, Hexi District, Tianjin	300203
195G	财富期货有限公司 Fortune Futures Corporation Ltd.	北京市朝阳区建外大街甲 6 号 SK 大厦 204 室 Room 204, SK Mansion, A No.6, Chaoyangmenwai Street, Chaoyang District, Beijing	100022
196G	东方汇金期货有限公司 Oriental Huijin Futures Co., Ltd.	长春市朝阳区西安大路 2128 号绿地·蓝海 5A 第二十层 20th Floor, Block 5A, Blue Ocean Building, No.2128, Xi'an Road, Chaoyang District, Changchun	130061
197G	德盛期货有限公司 Triumph Futures Co., Ltd.	湖南省长沙市五一西路 2 号第一大道 14 楼 14th Floor, First Avenue, No.2, Wuyi West Road, Changsha City, Hunan Province	410005
198G	中银国际期货有限责任公司 BOC International Futures Limited	海南省海口市美兰区蓝天路 33 号京航大厦 17 楼 17th Floor, Jinghang Hotel, No.33, Blue Sky Road, Meilan District, Haikou City, Hainan Province	200122

## 联系会员 Associate Members

会员号 Membership No.	名称 Name	联系地址 Address	邮编 Zip code
501C	北京期货商会 Beijing Futures Association	北京市朝阳区光华路 16 号中期大厦 A 座 403 Room 403, Block A, Zhongqi Building, No.16, Guanghua Road, Chaoyang District, Beijing	100020
502C	天津市期货协会 Tianjin Futures Association	天津市河东区十一经路 61 号人保大厦 310 室 Room 310, PICC Building, No.61, Shiyijing Road, Hedong District, Tianjin	300171
503C	黑龙江省期货业协会 Heilongjiang Futures Association	哈尔滨市南岗区西大直街 118 号一号楼六层 6th Floor, Building 1, No.118, Xidazhi Street, Nangang District, Harbin	150001
504C	上海市期货同业公会 Shanghai Futures Association	上海浦东新区浦电路 500 号上海期货大厦 2201A Shanghai Futures Tower 2201A, No.500, Pudian Road, Pudong New Area, Shanghai	200122
505C	江苏省期货业协会 Jiangsu Futures Association	中山东路 90 号华泰证券大厦 17 层 17th Floor, Huatai Securities Building, No.90, Zhongshan East Road	210002

会员号 Membership No.	名称 Name	联系地址 Address	邮编 Zip code
506C	深圳市期货同业协会 Shenzhen Futures Association	深圳市福田区中心三路 8 号卓越时代广场二期 1306 室 Room 1306, Time Square Excellence II, No.8, 3rd Central Road, Futian District, Shenzhen City	518048
507C	河北省期货业协会 Hebei Futures Association	河北省石家庄市友谊北大街 71 号 No.71, Youyi North Street, Shijiazhuang City, Hebei Province	518048
508C	大连市证券期货业协会 The Securities & Futures Association of Dalian	大连市中山区中山路 136 号希望大厦 1505 室 Room 1505, Xiwang Building, No.136, Zhongshan Road, Zhongshan District, Dalian	116001
509C	辽宁证券期货业协会 The Securities Futures Association of Liaoning	辽宁省沈阳市沈河区惠工街 56 号 7 楼 7th Floor, No.56, Huigong Street, Shenhe District, Shenyang City, Liaoning Province	110013
510c	浙江期货行业协会 The Futures Association of Zhejiang	杭州市湖墅南路 395 号广通大厦 8 楼 8th Floor, Guangtong Building, No.395, Hushu South Road, Hangzhou	310005
511C	宁波市证券期货业协会 The Securities & Futures Association of Ningbo	宁波市海曙区中山西路 2 号恒隆中心 24 楼 -E Unit E, 24th Floor, Henglong Center, No.2, Zhongshan West Road, Haishu District, Ningbo	315000
512c	安徽省证券期货业协会 The Securities & Futures Association of Anhui	安徽省合肥市蒙城路 109 号地税大厦 17 楼 17th Floor, Dishui Building, No.109, Mengcheng Road, Hefei City, Anhui Province	230061
513C	山东省期货业协会 Shandong Futures Association	济南市市中区经七路 86 号证券大厦 11 楼 1103 室 Room 1103, 11th Floor, Securities Building, No.86, Jingqi Road, Shizhong District, Jinan	250001
514c	河南省证券期货业协会 The Securities & Futures Association of Henan	河南省郑州市郑东新区商务外环路 7 号 (商务外环路与西三街交叉口) 立基上东国际大厦 8 层 808 室 Room 808, 8th Floor, Liji Shangdong International Mansion, (intersection between Business Outer Ring Road and West 3rd Street), No.7, Business Outer Ring Road, Zhengdong New Area, Zhengzhou City, Henan Province	450008
515C	江西省证券期货业协会 The Securities & Futures Association of Jiangxi	江西省南昌市东湖区紫金城紫金大厦 4 楼邮编: 330006 4th Floor, Zijin Building, Zijincheng Business Area, Nanchang City, Jiangxi Province	330077
516C	广东证券期货业协会 The Securities & Futures Association of Guangdong	广州市天河区临江大道 3 号发展中心 17 楼 C 单元 Unit C, 17th Floor, Development Center, Linjiang Avenue, Tianhe District, Guangzhou	510623
517C	广西证券期货业协会 The Securities & Futures Association of Guangxi	南宁市金湖北路 52-1 号东方曼哈顿大厦 20 楼 2011 Room 2011, 20th Floor, Orient Manhattan Mansion, No.52-1, Jinhu Road, Nanning	530028
518C	福建省证券期货业协会 The Securities & Futures Association of Fujian	福州市铜盘路软件大道 89 号福州软件园 10 号楼华兴创业中心 201 室 Room 201, Huaxing Innovation Center, Building 10, Fuzhou Software Park, No. 89, Ruanjian Avenue, Tongpan Road, Fuzhou	350003
519C	厦门证券期货业协会 The Securities & Futures Association of Xiamen	厦门市湖滨南路 388 号国贸大厦 6 楼 602 室 Room 602, 6th Floor, International Trade Building, No.388, Hubin South Road, Xiamen	361004
520c	四川省证券期货业协会 The Securities & Futures Association of Sichuan	成都市洗面桥街 39 号十楼 10th Floor, No.39, Ximianqiao Street, Chengdu	610000
521c	重庆市证券期货业协会 The Securities & Futures Association of Chongqing	重庆市渝中区临江路 2 号合景大厦 15 楼 15th Floor, Hejing Building, No.2, Linjiang Zhi Road, Yuzhong District, Chongqing	400010
522c	甘肃证券期货业协会 The Securities & Futures Association of Gansu	甘肃省兰州市张掖路延寿巷 8 号基隆大厦 9 层 001 室 Room 001, 9th Floor, Jilong Building, No.8 Yanshou Lane, Zhangye Road, Lanzhou City, Gansu Province	730000

会员号 Membership No.	名称 Name	联系地址 Address	邮编 Zip code
523c	新疆证券期货业协会 Xinjiang Securities & Futures Association	新疆乌鲁木齐金银路 53 号金融大厦 1806 室 Room 1806, Finance Building, No.53, Jinyin Road, Urumqi, Xinjiang	830001
524C	海南证券期货业协会 Hainan Securities Association	海南省海口市南宝路 36 号证券大厦 7 楼 7th Floor, Securities Building, No.36, Nanbao Road, Haikou City, Hainan Province	570206
525C	云南省证券业协会 Yunnan Securities Association	昆明市北京路 577 号 210 室 Room 210, No.577, Beijing Road, Kunming	650051
526C	陕西证券期货业协会 Shaanxi Securities & Futures Association	陕西西安高新四路高科广场 A 座 2309 室 Room 2309, Block A, Gaoke Plaza, Gaoxinsi Road, Xi'an City, Shaanxi Province	710075
527C	青岛证券期货业协会 Qingdao Securities & Futures Association	青岛市市南区东海西路 28 号龙翔广场一号楼一楼 1st Floor, Building 1, Longxiang Plaza, No. 28, Donghai West Road, Shinan District, Qingdao	266071
528C	吉林省证券业协会 Jilin Securities Association	长春市西安大路 699 号中银大厦 B 座 702 室 Room 702, Block B, Zhongyin Building, No.699, Xi'an Avenue, Changchun	130061
529C	宁夏证券期货业协会 The Securities & Futures Association of Ningxia	宁夏银川市北京东路 379 号金源大厦 11 楼 1110 室 Room 1110, 11th Floor, Jinyuan Building, No.379, Beijing East Road, Yinchuan City, Ningxia	750004
530c	贵州证券业协会 Securities Association of Guizhou	贵阳市中华北路 18 号银海大厦北楼 4 层 4th Floor, North Block of Yinhai Building, No.18, Zhonghua North Road, Guiyang	550001
531C	湖南省期货业协会 Hunan Futures Association	长沙市车站北路 459 号证券大厦 1202 Room 1202, Securities Building, No.459, Railway Station North Road, Changsha	410001
532c	湖北省期货业协会 Hubei Futures Association	湖北省武汉市洪山区珞瑜路 540 号 No.540, Luoyu Road, Hongshan District, Wuhan City, Hubei Province	430079
533C	内蒙古证券期货业协会 Inner Mongolia Securities & Futures Association	呼和浩特市赛罕区新华东街 78 号华门世家大厦 1 单元 20 楼 2001 Room 2001, 20th Floor, Unit 1, Huamen Shijia Building, No.78, Xinhua East Street, Saihan District, Hohhot City	10010
534c	山西省期货业协会 Shanxi Futures Association	山西省太原市平阳路 101 号国瑞大厦 13 层 13th Floor, Guorui Building, No.101, Pingyang Road, Taiyuan City, Shanxi Province	030006









中国期货业协会  
China Futures Association