

自律
服务
传导

中国期货业协会

Annual Report of China Futures Association 2013

2013 年报



中国期货业协会
China Futures Association

中国期货业协会年报**2013**

Annual Report of China Futures Association 2013

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会长
致辞
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**Chairman
Speech**

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会长致辞



2013 年，中国在全面深化改革的征程上迈出新的步伐，期货市场创新发展也取得了一系列新的突破：加快推进了《期货法》立法进程，正式设立了国际能源交易中心，顺利推出了动力煤、铁矿石等大宗商品期货，成功上市了国债期货，积极推进了期货公司资产管理、风险管理服务子公司等创新业务，市场规模稳步增长，质量和结构日益优化，市场化、法治化、国际化的发展方向进一步明确。

一年来，围绕服务实体经济和市场创新发展，中期协认真履行“自律、服务、传导”职责，在行业自律、推动创新、服务会员、人才培养、投资者教育、信息技术建设等方面开展了富有成效的工作。2014 年是期货市场改革转型的关键时期，也是协会机遇与挑战并存的关键年。我们将深入贯彻落实十八大精神和《中共中央关于全面深化改革若干重大问题的决定》，进一步强化改革意识、市场意识、创新意识和危机意识，切实围绕市场创新、监管转型和会员需求，扎扎实实开展工作，为我国期货和金融衍生品市场的改革发展做出新的贡献。

A stylized handwritten signature in black ink, consisting of two main parts that appear to be '胡' (Hu) and '志强' (Zhiqiang).

| 中国期货业协会会长 |

二〇一四年一月

Chairman Speech

In 2013, China has taken new steps in the comprehensively deepening reform. Keeping abreast of this change, the futures market has also made breakthroughs in its creative development: the legislation of Futures Laws accelerated, International Energy Trading Center launched, bulk commodity futures released e.g. steam coal and iron ore, treasury bond futures marketed, creative businesses positively advanced e.g. assets management of futures entities and risk management service subsidiary, market size growing steadily, quality& structure increasingly optimized, and the development direction of marketization, legalization and internationalization further specified.

Throughout the year, CFA has been committed to the practice of "self-regulation& service, communication& guiding" centering on service for real economy and the market innovative

development and has undertaken work in terms of industry self-regulation, innovation promotion, membership service, talent cultivation, education for investors, IT construction, etc., which prove good efficiency. The year of 2014 is significant for the reform and transition of the futures market and also a key year bringing both opportunities and challenges for CFA. We will thoroughly apply the spirits of 18th CPC Central Committee and The Decision on Major Issues Concerning Comprehensively Deepening Reforms, further strengthen the awareness concerning reform, market, innovation and crisis, and center on market innovation, supervision transition and members' demands to do our work in a down-to-earth way and make new contributions to the development of market reform of Chinese futures and financial derivatives.

Zhichao Liu

| Signed by CFA Chairman |

January, 2014



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。协会常设办公室、党委办公室（纪检办）、考试认证部、合规调查部、会员部、培训部、研究部、投资者教育部、创新业务部（筹）、信息技术部10个办事机构。

协会现有会员220家，其中公司会员（期货公司）156家，特别会员（期货交易所、期货保证金监控中心）5家，联系会员（地方行业协会）34家，介绍经纪商（证券公司IB）会员25家。

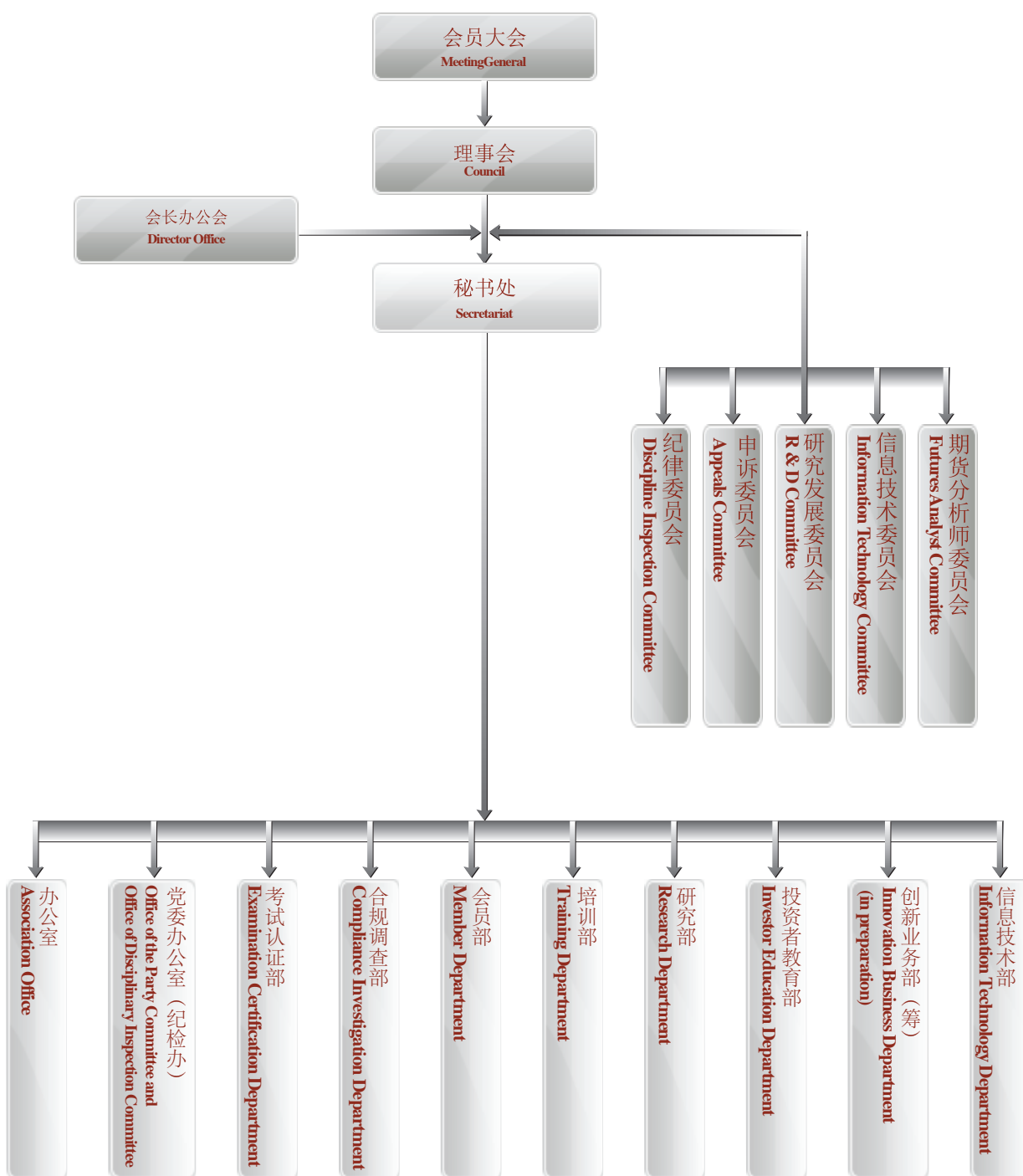
China Futures Association (hereinafter referred to as “CFA”), a national self-disciplinary organization of futures industry founded on December 29, 2000 according to Regulations for Registration and Management of Social Organizations and Regulation on the Administration of Futures Trading, is a nonprofit 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 10 standing working bodies, listed as CPC Committee (Discipline Inspection Office) and Office, Qualification Exam and Authentication Department, Compliance Investigation Department, Membership Department, Training Department, Research Department, Investor Education Department, Innovation Business Department, Information Technology Department,

By the end of 2013, CFA owns 220 members, including 156 members of futures companies, 5 special members of futures exchanges and China Futures Margin Monitoring Center, 34 affiliate members of local associations, and 25 Introducing Brokers companies.

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.



中国期货业协会
China Futures Association

自律 服务 传导
Self-regulation Service Conduction

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
- 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

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。

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部主任（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 serves 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 serves as full-time vice-president of China Futures Association.



范 辉 副会长 — Fan Hui Vice-president

工商管理硕士，统计师。历任共青团太原市委组织部部长，中农信公司山西办事处副主任，中国证监会昆明特派员办事处副主任，中国证监会云南监管局局长，中国上市公司协会副会长等职务，现任中国期货业协会专职副会长。

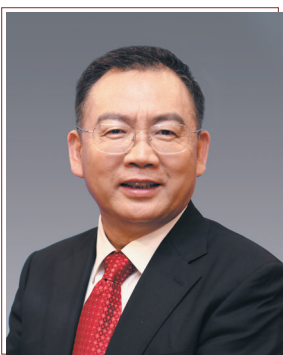
MBA, Statistician. Have served successively as Minister of Municipal Organization Department of the Communist Youth League in Taiyuan, Vice-director of the Shanxi Office of CADTIC, Vice-director of the Special Commissioner of the China Securities Regulatory Commission in Kunming, Director of CSRC Yunnan Supervision Bureau, vice president of China Association for Public Companies, and now serves 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 serves 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 serves as full-time Vice-president and General Secretary of China Futures Association.

协会领导简介

Profiles of leaders



李晓燕 纪委书记、工会主席
Li Xiaoyan Secretary of Discipline Inspection
Commission Chairman of the Union

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纪委书记、工会主席。

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 serves as Secretary of Discipline Inspection Commission and chairmen of the union 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 serves as Deputy Secretary General and Director of CPC Office (and Discipline Inspection Office) 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，现为中国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，上海期货交易所以理事。

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 Xinguolian Futures Co., Ltd.; and now serves 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.

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 serves 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 serves as member of CPC Committee and Vice-general Manager of Zhengzhou Commodity Exchange, and part-time Vice-president of China Futures Association.

协会领导简介

Profiles of leaders



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 serves 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（主持工作），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 serves 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。现任浙江永安期货经纪有限公司总经理、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 serves as General Manager of Zhejiang Yong'an Futures Brokerage 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.



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 serves 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 serves 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 serves as General Manager of COFCO Futures Co., Ltd. and part-time Vice-president of China Futures Association.

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)	
范 辉	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总公司	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
李 杰	华泰长城期货有限公司	理 事	总经理
张 磊	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)	
Fan Hui	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 Import and Export Company	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
Chenfang	Luzheng Futures	Director of the Council	Chairman
Zhao Guangyu	Green Futures	Director of the Council	Chairman
Li Jie	Huatai Great Wall Futures Co., Ltd.	Director of the Council	General Manager
Zhang Lei	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
Disciplinary Committee

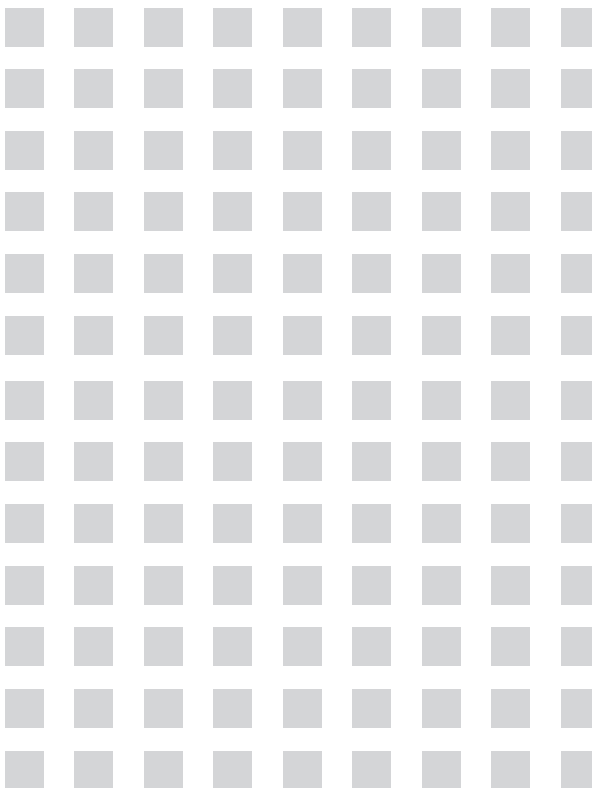
- ☐ 研究草拟有关纪律惩戒、听证程序的规则；
- ☐ 根据案情进展及处理结果制作纪律惩戒决定书、撤销案件决定书以及不予纪律惩戒决定书等文书；
- ☐ 对会员和从业人员违反协会自律规则的行为做出纪律惩戒决定并监督执行；
- ☐ 按照《中国期货业协会纪律惩戒程序》等自律规则的规定，组织听证会；
- ☐ 向理事会提出有关协会纪律惩戒工作的意见和建议；
- ☐ 理事会授权或委托的其他工作。

- ☐ 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

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

Name	Title	Company
Chen Fang	Director of the Committee	Luzheng Futures
Chen Donghua	Deputy Director of the Committee	China International Futures Co., Ltd.



2. 申诉委员会 Appeals Board

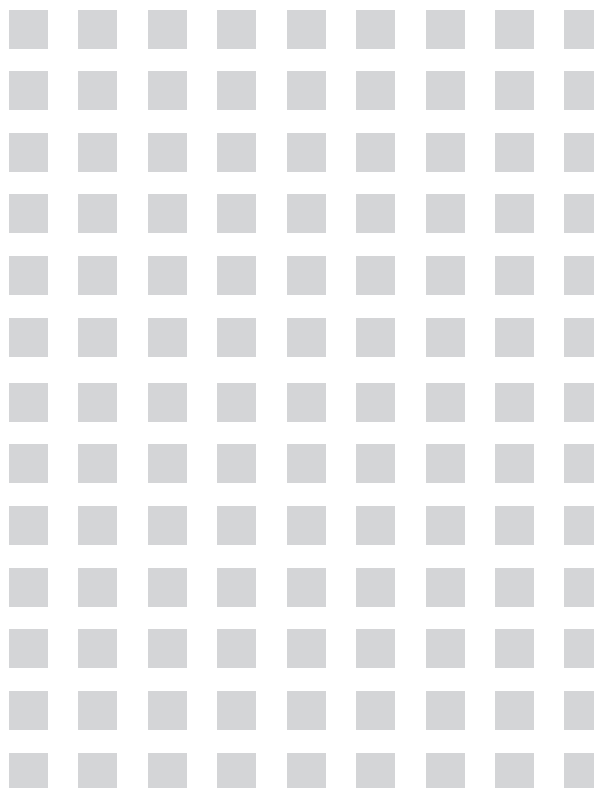
- ☐ 起草委员会工作办法报理事会通过后执行；
- ☐ 根据需要草拟有关申诉程序的规则；
- ☐ 对当事人不服纪律委员会惩戒决定提出的申诉进行审查，并做出审议决定；
- ☐ 督促审议决定的执行；
- ☐ 向理事会提出有关协会纪律惩戒工作的意见和建议；
- ☐ 理事会授权或委托的其他工作。

- ☐ 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

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

Name	Title	Company
Wang Huadong	Director of the Committee	Hongyuan Futures
Yan Jinming	Deputy Director of the Committee	CITICS Futures Co., Ltd.



专业委员会

Professional committee

3. 信息技术委员会 Information Technology Committee

- ☐ 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。

- ☐ 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

姓 名	职 务	单 位
胡 政	主任委员	中国金融期货交易所

Name	Title	Company
Hu Zheng	Director of the Committee	China Financial Futures Exchange

4. 研究发展委员会 Research & Development Committee

- ☐ 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。

- ☐ 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

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	上海期货交易所

Name	Title	Company
Zhang Yisheng	Director of the Committee	China Futures Association
Dang Jian	Deputy Director of the Committee	Shanghai Futures Exchange

专业委员会

Professional committee

5. 期货分析师委员会
Futures Analyst Committee

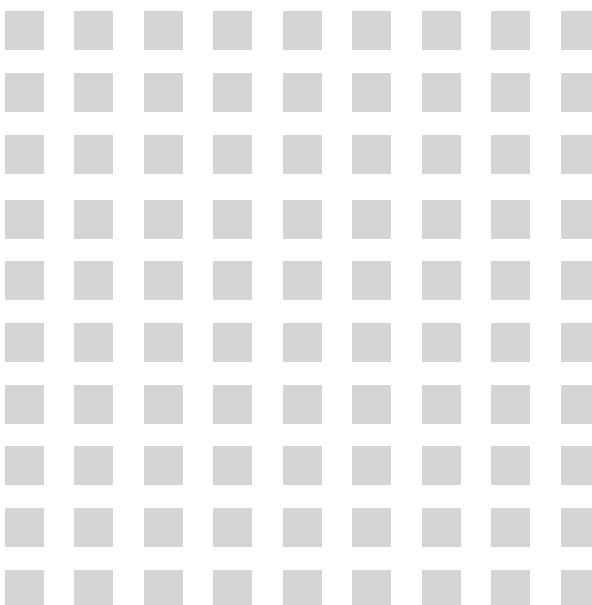
- ☐ 草拟或审议分析师执业标准、行为准则和职业道德，规范分析师执业行为；
- ☐ 指导分析师资格考试及资格评定工作，指导分析师后续职业教育及培训工作；
- ☐ 调查、收集、反映行业开展投资咨询业务的有关意见和建议，研究、论证投资咨询业务的相关政策与方案；
- ☐ 组织推动业内投资咨询业务的创新活动，总结推广业内经验；
- ☐ 协会授权或委托的其他事项。

- ☐ 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

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

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.



职能部门

Functional Department

1. 办公室 Association Office

1. 拟定协会日常规章制度，并组织实施；
2. 负责协会年度总结、工作动态、大事记、年报等综合材料的组织编写和报送工作；
3. 组织召开会长办公会、总结表彰会等内部会议；
4. 负责协会内外综合协调工作，以及协会重要工作和领导交办事项的督办与落实；
5. 负责协会公文、机要、档案、保密等管理工作；
6. 负责协会年检、证书、印章、办公场所、车辆、安保、清洁等日常行政和后勤管理；
7. 组织拟定协会内设机构、编制、职责任务、岗位设置等方案，并组织实施；
8. 负责协会人力资源管理，组织开展员工招聘、考核、任免、辞退、奖惩、交流、退休、劳资管理等工作；
9. 负责协会财务管理、出纳和税收工作；
10. 负责固定资产管理，定期开展固定资产盘点、清查、登记工作；
11. 负责协会专项基金的财务管理工作；
12. 负责组织实施协会重大项目、工程建设的招投标工作；
13. 负责外事管理工作，推动协会开展国际交流与合作。

1. Develop and implement daily regulations and systems of the Association;
2. Responsible for preparing and submitting comprehensive materials including annual summary, working status, major events and annual report, etc.;
3. Organize internal meetings such as Association president work meetings, summing-up and commendation meetings, etc.;
4. Responsible for comprehensive coordination of

- internal and external work of the Association and supervise and implement important tasks and matters assigned by the leaders;
5. Responsible for secret guarding and management of official documents, confidentiality and files of the Association;
6. Responsible for daily administration and logistics management including annual survey, certificates, seal, office space, vehicles, security, cleaning, etc.;
7. Organize drafting and implementing of plans of internal department setting, document preparation, responsibility and post setting;
8. Responsible for human resources management of the Association and organize recruitment, assessment, appointment and removal, dismissal, exchange, retirement and labor management of the staff;
9. Responsible for financial management, cashier work and taxation;
10. Responsible for fixed assets management and regularly carry out inventory, checking and registration of fixed assets;
11. Responsible for financial management of special funds of the Association;
12. Organize and implement bidding of major projects and engineering construction of the Association;
13. Responsible for foreign affairs management and promote international exchange and cooperation of the Association.

孙明福 | Sun Mingfu

010-88086239

sunmingfu@cfachina.org

职能部门

Functional Department

2. 党委办公室（纪检办） Office of the Party Committee and Office of Disciplinary Inspection Committee

- | | |
|-------------------------------------|---|
| 1. 负责协会党委、纪委、工会、团委日常工作； | Disciplinary Inspection Committee and Labor Union; |
| 2. 协助做好党的组织建设、党风廉政建设及反腐败、员工思想政治等工作； | 4. Coordinate and supervise the work of grassroots Party branch; |
| 3. 承担党委、纪委、工会工作计划及相关文件的起草工作； | 5. Participate in and supervise major personnel and finance work including cadre assessment, selection and appointment and bidding; |
| 4. 协调督促基层党支部工作； | 6. Supervise and inspect performance of internal regulations and systems by each department of the Association; |
| 5. 参与和监督协会干部考核、选拔任用及招投标等重大人事、财务工作； | 7. Organize compiling of internal publication Hand in Hand; |
| 6. 监督检查协会部门执行内部规章制度的情况； | 8. Carry out other work assigned by the Office of the Party Committee, Office of Disciplinary Inspection Committee, Labor Union and Youth League committee. |
| 7. 组织编写协会内部刊物《携手》； | |
| 8. 党委、纪委、工会、团委交办的其他工作。 | |

1. Responsible for daily work of the Office of the Party Committee, Office of Disciplinary Inspection Committee, Labor Union and Youth League committee;
2. Assist in organizational construction, clean administration construction, anti-corruption, ideological and political education, etc.;
3. Draw up work plan and relevant documents of the Office of the Party Committee, Office of

孙明福 | Sun Mingfu

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sunmingfu@cfachina.org

3. 考试认证部 Examination Certification Department

1. 负责会员发展工作；
2. 负责会员注册、会籍管理及会费收缴工作；
3. 拟定期货从业人员资格类别及标准；
4. 组织开展从业人员资格考试、投资分析考试、高管资质测试等准入性考试和执业水平考试；
5. 开展从业人员资格注册、变更及撤销等工作；
6. 负责会员、从业人员相关数据库的管理维护；
7. 统计分析会员和从业人员相关信息；
8. 督促会员和从业人员履行信息披露义务；
9. 拟定本部门业务领域的自律规则或业务规范；
10. 协助自律监察部对会员和从业人员违反自律规则的行为进行调查；
11. 负责期货分析师委员会的日常联络和服务工作。
5. Organize qualification registration, alteration and cancellation for practitioners;
6. Responsible for the management and maintenance of databases related to members and practitioners;
7. Collect and analyze relevant information of members and practitioners;
8. Supervise members and practitioners' performance of information disclosure obligation;
9. Prepare business self-regulatory rules and business scope for itself;
10. Cooperate with Self-regulatory Supervision Department to deal with violations of self-regulatory rules by members and practitioners;
11. Responsible for regular contacting and services for Futures Analyst Association.

1. Responsible for membership development;
2. Responsible for member registration, membership management and membership fees collection;
3. Prepare categories and standards for qualifications of futures practitioners;
4. Organize admittance/proficiency tests of qualification, investment analysis, executive qualification assessment, etc. for futures practitioners;

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职能部门

Functional Department

4. 合规调查部 Compliance Investigation Department

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| 1. 统筹制定协会自律规则； | regulatory rules by members and practitioners; |
| 2. 对会员、从业人员执行自律规则的情况进行监督、检查； | 4. Review and record the members' futures brokerage contracts; |
| 3. 对会员和从业人员违反协会章程、自律规则的行为进行调查并提出处理建议； | 5. Provide legal consultancy for members and practitioners; |
| 4. 对会员期货经纪合同进行审查备案； | 6. Organize legal publicity and education in the industry; |
| 5. 为会员、从业人员提供法律咨询服务； | 7. Responsible for database management of futures investors' credit risk information; |
| 6. 组织开展行业法制宣传教育工作； | 8. Promote the building of integrity in the industry and organize integrity evaluation, supervision and inspection; |
| 7. 负责期货投资者信用风险信息数据库管理工作； | 9. Promote the anti-money laundering work in the industry; |
| 8. 推动行业诚信建设，组织开展诚信评估和监督检查； | 10. Organize industrial or other experts to mediate the disputes of futures business between members, members and customers, practitioners and customers; |
| 9. 推动行业反洗钱工作； | 11. Responsible for internal legal issues of the CFA, audit internal regulations and rules, and provide legal consultancy for all departments; |
| 10. 组织业内外专家，对会员之间、会员与客户、从业人员与客户之间发生的期货业务纠纷进行调解； | 12. Responsible for regular contacting and services for specialized committees including Disciplinary Committee and Complaints Committee. |
| 11. 负责协会内部的法律事务，审核协会内部规章制度，为各部门提供法律咨询； | |
| 12. 负责纪律委员会、申诉委员会等专业委员会的日常联络和服务工作。 | |
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| 1. Arrange and compile the self-regulatory rules of the CFA; | |
| 2. Monitor and examine the compliance of members and practitioners with self-regulatory rules; | |
| 3. Investigate and propose handling advises for any violation of articles of association and self- | |

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5. 会员部 Member Department

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| <ol style="list-style-type: none"> 1. 反映会员在经营活动中的问题、建议和要求，推动解决会员经营发展中的热点、难点问题，维护会员合法权益； 2. 引导会员服务社会和实体经济发展，承担行业社会责任； 3. 促进会员间的沟通交流，组织召开中国国际期货大会、中国期货分析师论坛等各类行业会议； 4. 负责推动协会、会员与政府、监管机构以及相关现货行业协会的交流与合作； 5. 表彰、奖励行业内有突出贡献的会员和个人，引导会员树立行业正面形象，培育健康的行业文化； 6. 负责理事会、会长工作会等会议组织及日常工作； 7. 负责会员财务分析与改革工作，组织编写行业财务报告； 8. 拟定本部门业务领域的自律规则或业务规范； 9. 负责相关专业委员会的日常联系和服务工作。 | <p>and organize/hold industrial conferences including China International Futures Conference, China Futures Analyst Forum, etc.;</p> <ol style="list-style-type: none"> 4. Responsible for promoting the communication and cooperation between CAF, members and governments, regulatory authorities and relevant industrial associations of cash commodities; 5. Honor and award the members and individuals having made outstanding contributions, guide members in building for the industry positive images, and cultivate robust industrial culture; 6. Responsible for organizing and other regular work concerning meetings including the council meeting, the chairman meeting, etc. 7. Responsible for members' financial analysis and reformation, and organize the compilation of industrial financial reports; 8. Prepare business self-regulatory rules and business scope for itself; 9. Responsible for regular contacting and service for relevant specialized committees. |
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| <ol style="list-style-type: none"> 1. Reflect problems, advices and requirements of members in operating activities, promote the solution to members' hot/difficult issues, and maintain the legal rights and interests of members; 2. Guide members in serving the society, developing real economy and undertaking social responsibilities; 3. Facilitate the communication between members | <p>刘 涛 Liu Tao</p> <p>010-88087080</p> <p>liutao@cfachina.org</p> |
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职能部门

Functional Department

6. 培训部 Training Department

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| <ol style="list-style-type: none"> 1. 制定行业人才培养规划并组织实施； 2. 建立从业人员培训体系，拟定行业培训计划； 3. 负责期货高管人员培训及相关工作； 4. 组织实施期货从业人员后续职业培训与各类专业培训； 5. 负责境内外期货人才培训基地建设； 6. 负责培训师队伍建设； 7. 开展行业后备人才培养； 8. 开展境内外以及行业间的培训交流与合作； 9. 拟定本部门业务领域的自律规则或业务规范； 10. 负责期货行业人才培养基金管理委员会办公室的日常工作。 | <ol style="list-style-type: none"> 6. Responsible for the organization of teams of training teachers; 7. Organize the cultivation of industrial reserve talents; 8. Organize training communication and cooperation between home and abroad and between industries; 9. Prepare business self-regulatory rules and business scope for itself; 10. Responsible for regular work of Management Committee Office of futures industrial talents cultivation funds. |
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1. Compile training schemes for industrial talents and organize their implementation;
2. Establish training system for practitioners and prepare industrial training plans;
3. Responsible for trainings of futures executives and the relevant work;
4. Organize the implementation of follow-up occupational training and various professional trainings for futures practitioners;
5. Responsible for the construction of training bases for futures talents home and abroad;

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7 研究部 Research Department

1. 研究和参与拟订期货行业中长期发展规划、期货法律法规以及规章制度；
 2. 开展专项课题研究，为政府、监管部门和协会领导提供政策建议；
 3. 研究境内外行业自律组织发展的相关理论和实践问题，为协会发展定位、职能作用发挥以及自律规则制定等提供咨询意见和建议；
 4. 组织实施“中期协联合研究计划”，负责推动业内研究机构间的交流，促进期货行业整体研究水平的提升；
 5. 负责协会设立的期货行业研究奖项的组织管理和评选工作；
 6. 组织编写中国期货业年度发展报告；
 7. 负责编写和报送关于市场、行业动态以及重大问题的研究简报和信息专报；
 8. 负责《中国期货》的选题、组稿、编辑、印刷、发行等工作；
 9. 负责或参与协会专项报告、领导讲话稿等综合材料的起草工作；
 10. 负责研究发展委员会的日常联系和服务工作。
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1. Study and participate in drafting long-term development plan, laws and regulations of futures and regulatory framework for futures industry;
 2. Carry out special subject study and provide policy suggestions for government, regulators and Association leaders;
 3. Study relevant theories and practice of industrial self-regulatory organizations home and abroad and provide consultation opinions and advices in terms of development orientation, performance of functions and stipulation of self-regulatory rules of the Association;
 4. Organize and implement "CFA Joint Research Program" for promoting communication of industrial research institutions and improving overall research level of the futures industry;
 5. Responsible for organizing, managing and selecting awards for research of futures industry set by the Association;
 6. Organizing preparation of Report of Annual Development in China's Futures Industry;
 7. Responsible for writing and sending research reports and information report concerning market, industrial trends and major issues;
 8. Responsible for topic selection, contributions solicitation, editing, printing, issuing, etc. of China Futures;
 9. Responsible for or participate in drafting of comprehensive materials including special report of Association and speech of the leaders;
 10. Responsible for studying daily contact and service of the Development Committee.

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职能部门

Functional Department

8. 投资者教育部 Investor Education Department

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| <ol style="list-style-type: none"> 1. 引导和推动会员开展投资者教育工作，监督检查会员投教工作开展情况； 2. 组织开展行业投资者教育工作经验交流、调查研究及宣传工作； 3. 组织制作投资者教育产品和资料； 4. 组织开展投资者教育专项活动； 5. 建设投资者教育课程体系，为投资者提供培训和咨询服务； 6. 开展与境内外相关投资者教育机构的交流与合作； 7. 受理投资者与会员、从业人员之间的信访、投诉，以及证监会12360热线转发的问題，为投资者提供法律咨询； 8. 负责协会新闻宣传和媒体联系工作，审核发布协会新闻稿和宣传材料； 9. 负责协会网站内容的规划、建设和维护工作； 10. 拟定本部门业务领域的自律规则或业务规范； 11. 负责期货投资者教育专项基金管委会办公室的日常工作。 | <ol style="list-style-type: none"> 3. Organize the preparation of products and materials about investor education; 4. Organize special activities of investor education; 5. Build curriculum system of investor education and provide training and consultation service for the investors; 6. Exchange and cooperate with relevant investor education institution home and abroad; 7. Handle petitions and complaints between the investors and members and those between practitioners as well as problems transferred from Hotline 12360 of CSRC and provide legal consultation for the investors; 8. Responsible for news publicity and media contact and review and publicize news release and publicity materials of the Association; 9. Responsible for planning, construction and maintenance of Association network; 10. Prepare business self-regulatory rules and business scope for itself; 11. Responsible for daily work of Office of Special Fund Management Committee of Futures Investor Education. |
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| <ol style="list-style-type: none"> 1. Guide and promote the member to carry out investor education and supervise and inspect situation of such work by the members; 2. Organize exchange of experience, survey research and publication of industrial investor education work; | |
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9. 创新业务部（筹） Innovation Business Department (in preparation)

1. 组织开展会员期货创新业务研究，参与制订会员期货创新业务的政策法规；
2. 研究制订会员期货创新业务的自律规则、行业标准、内部规程及相关规范性文件；
3. 开展对会员期货创新业务、产品的备案审核和注册工作；
4. 对会员期货创新业务进行监督检查；
5. 总结分析会员期货创新业务开展情况，推广创新经验和成果；
6. 加强沟通协调，为会员期货创新业务开展提供支持保障；
7. 配合自律监察部对违反自律规则的行为进行处理；
8. 研究推动场外衍生品市场的建设。
5. Summarize and analyze situation of the innovative business and promote experience and achievements;
6. Enhance communication and coordination and provide guarantees for conducting the innovative business;
7. Cooperate with Self-regulatory Supervision Department to deal with violations of self-regulatory rules;
8. Study and promote construction of OTC derivatives market.

1. Organize study of innovative business of member futures and participate in stipulating policies and regulations;
2. Study and stipulate self-regulatory rules, industrial standards, internal procedures and relevant normative documents for the innovative business;
3. File, review and register innovative business and product of member futures;
4. Supervise and check the innovative business;

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职能部门

Functional Department

10. 信息技术部 IT Department

1. 组织制定期货及相关行业信息技术标准及相关自律规则；
2. 负责组织协调行业信息安全保障和统计报送工作；
3. 组织行业信息技术、系统安全的交流与研究；
4. 负责定期组织期货行业信息技术人员技术能力评定工作；
5. 负责定期组织证券期货行业科学技术奖励工作；
6. 接受委托负责组织对会员单位信息技术系统的检查工作；
7. 参与组织行业信息安全风险评估及重大事故调查和鉴定；
8. 负责与行业软件开发商、行情提供商和系统服务商的沟通、协调工作；
9. 组织协会信息系统和数据库管理系统的开发、管理、维护、升级、备份等工作，拟定相关管理制度；
10. 负责协会网站、中心机房、OA系统、邮件系统、局域网等自动化办公设备的建设、管理及维护工作；
11. 拟定协会信息管理制度和工作程序指引，为其他部门日常办公提供技术支持；
12. 参与协会办公场所的弱电改造、计算机等电子化办公设备的采购工作，负责协会电子化办公设施的维护和保养；
13. 负责协会灾备系统建设及日常管理工作；
14. 配合保密办制订协会涉密网络系统管理制度，并按制度定期对涉密网络系统进行相关安全检查；
15. 负责信息技术委员会的日常联系和服务工作。
5. Responsible for regularly organizing scientific and technological awards of securities and futures industry;
6. Accept the entrustment of inspecting IT systems of member units;
7. Participate and organize industrial information safety risk assessment and investigation and identification of major accidents;
8. Responsible for communication and coordination with software developers, market information providers and system service providers of the industry;
9. Organize development, management, maintenance, upgrading, backup, etc. of information system and database management system of the Association and establish relevant management system;
10. Responsible for construction, management and maintenance of office automation equipment of the Association including website, central apparatus room, OA system, mail system and local area network;
11. Draw up guidelines for information management system and working procedures of the Association and provide technical support for daily office work of other departments;
12. Participate in weak current transformation in office space, purchase of electronic office equipment and repair and maintenance of electronic office facilities of the Association;
13. Responsible for construction and daily management of disaster recovery system of the Association;
14. Cooperate with Confidentiality Office in drawing up management system of secret-related network system of the Association and conduct relevant safety inspection regularly of the above network system according to the management system;
15. Responsible for studying daily contact and service of the IT Committee.
1. Organize and stipulate IT standards and self-regulatory rules of futures and relevant industries;
2. Responsible for organizing and coordinating of industrial information safety assurance and statistics report;
3. Organize exchange and research of industrial IT and system safety;
4. Responsible for organizing regular assessment of technical skills of IT professionals in futures industry;

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会员情况

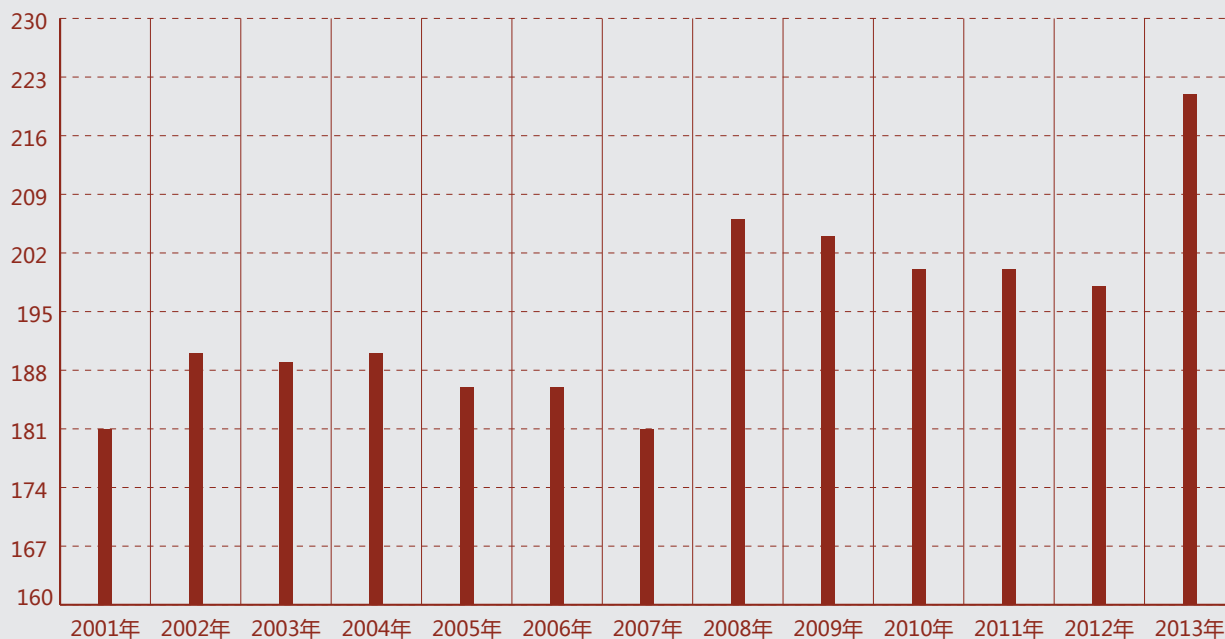
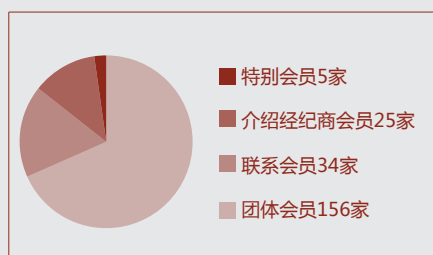
Conditions of Members

1 会员结构

Member structure

中国期货业协会现有会员220家，其中公司会员（期货公司）156家，特别会员（期货交易所、期货保证金监控中心）5家，联系会员（地方行业协会）34家，介绍经纪商（证券公司IB）会员25家。

China Futures Association currently has 220 members, i.e. 156 corporate members (futures companies), 5 special members (Futures Exchange, Futures Margin Monitoring Center), 34 associated members (local industrial associations) and 25 introducing brokers (securities agency IB).



2001-2013 年会员总数柱状图
Attached Pie Chart I. Histogram of Total Members during 2001-2013

会员情况

Conditions of Members

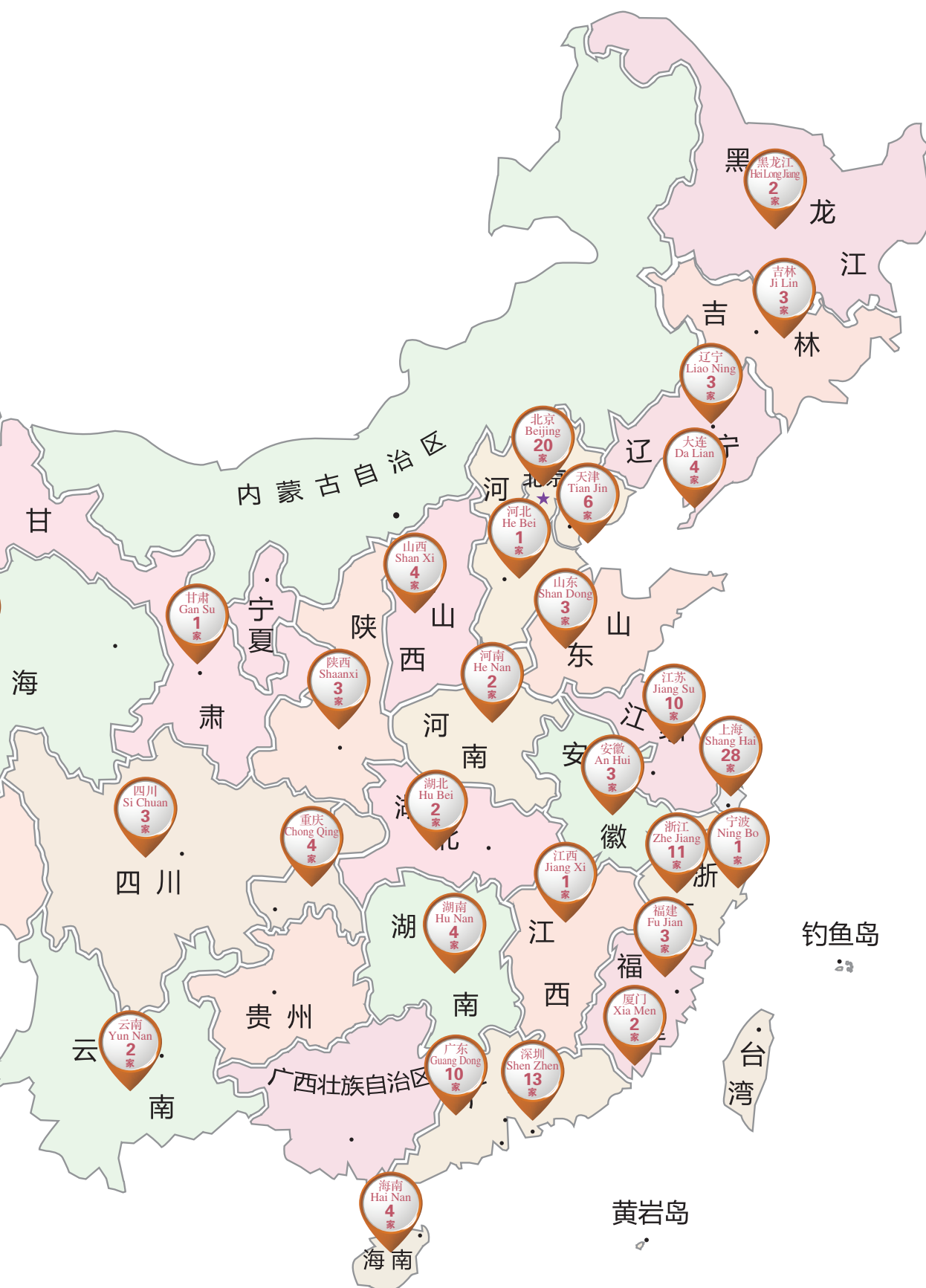
2 期货公司会员情况 Members of Futures Companies

截至2013年底，全国共有156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（28家）、北京（20家）、深圳（13家）、浙江（11家）、广东（10家）、江苏（10家），占全部公司数的58.97%。

By the end of 2013, there are 156 futures companies in total, which are distributed in 31 provinces and cities. Those with over 10 companies include: Shanghai (28), Beijing (20), Shenzhen (13), Zhejiang (11), Guangdong (10) and Jiangsu (10), occupying 58.97% of the total.



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



会员情况

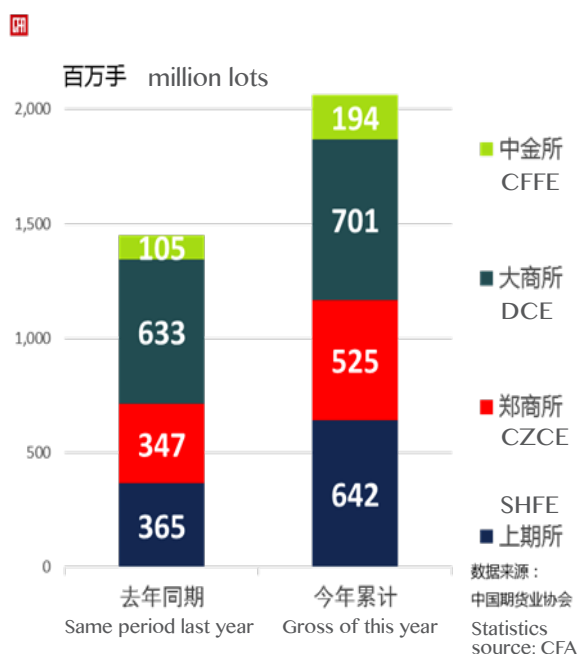
Conditions of Members

3 期货市场交易情况

Transactions of Futures Market

1-12月全国期货市场累计成交量同比增长

Year-on-Year Increase of Total Trading Volume in China Futures Market from January to December



1-12月全国期货市场累计成交量为2062百万手，同比增长42.15%；

The total trading volume of China futures market (from January to December) reaches 2062 m lots, a year-on-year increase of 42.15%;

上期所累计成交量为642百万手，占全国市场的31.16%，同比增长75.86%；

SHFE has traded 642 m lots, i.e. 31.16% of the total market, increased by 75.86% year on year;

郑商所累计成交量为525百万手，占全国市场的25.48%，同比增长51.36%；

CZCE has traded 525 m lots, i.e. 25.48% of the total market, increased by 51.36% year on year;

大商所累计成交量为701百万手，占全国市场的33.98%，同比增长10.66%；

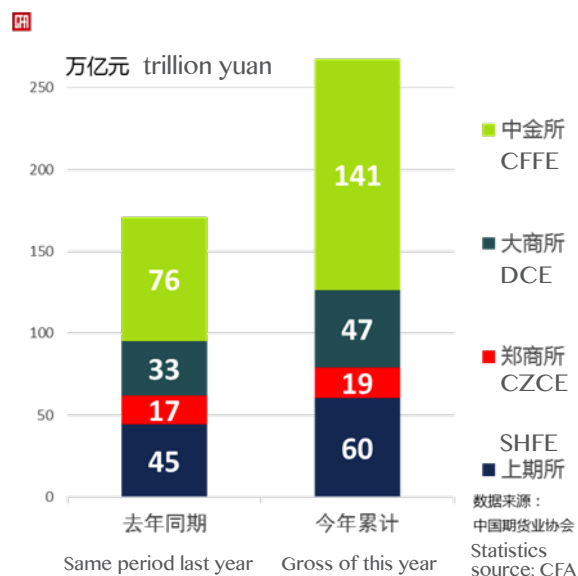
DCE has traded 701 m lots, i.e. 33.98% of the total market, increased by 10.66% year on year;

中金所累计成交量为194百万手，占全国市场的9.39%，同比增长84.22%。

CFFE has traded 194 m lots, i.e. 9.39% of the total market, increased by 84.22% year on year.

1-12月全国期货市场累计成交额同比增长

Year-on-Year Increase of Total Turnover in China Futures Market from January to December



1-12 月全国期货市场累计成交额为 267 万亿元，同比增长 56.3%；

The total turnover of China futures market (from January to December) reaches RMB 267 trillion, a year-on-year increase of 56.3%;

上期所累计成交额为 60 万亿元，占全国市场的 22.59%，同比增长 35.47%；

SHFE has traded RMB 60 trillion, i.e. 22.59% of the total market, increased by 35.47% year on year;

郑商所累计成交额为 19 万亿元，占全国市场的 7.07%，同比增长 8.84%；

CZCE has traded RMB 19 trillion, i.e. 7.07% of the total market, increased by 8.84% year on year;

大商所累计成交额为 47 万亿元，占全国市场的 17.63%，同比增长 41.51%；

DCE has traded RMB 47 trillion, i.e. 17.63% of the total market, increased by 41.51% year on year;

中金所累计成交额为 141 万亿元，占全国市场的 52.72%，同比增长 85.92%。

CFFE has traded RMB 141 trillion, i.e. 52.72% of the total market, increased by 85.92% year on year.

会员情况

Conditions of Members

4. 期货公司经营情况 The Operation of Futures Companies

代理交易情况 Agency transaction

2013年全国期货公司代理交易额以单边计算为267.47万亿元，同比增长56.31%；代理交易量为20.62亿手，同比增长42.21%。

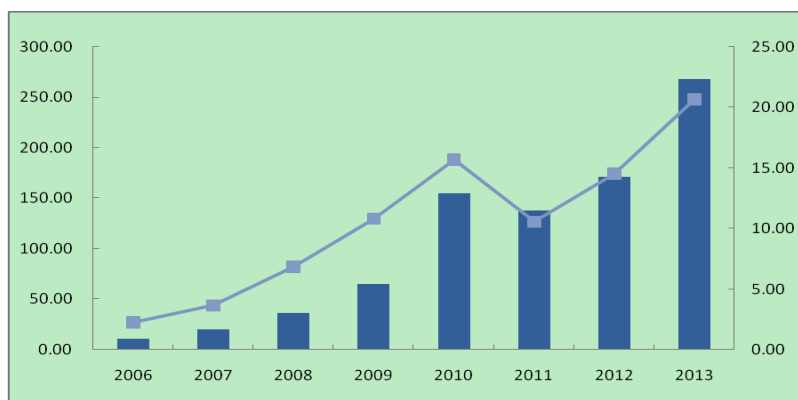
In 2013, the agency transaction of Chinese futures companies is RMB 267.47 trillion (unilateral), a year-on-year increase of 56.31%; agency trading volume is 2.062 b lots, a year-on-year increase of 42.21%.

2013年期货公司金融期货交易代理规模继续保持较快增长，所占份额进一步扩大。2013年金融期货代理额为141.01万亿元，代理量为1.94亿手，同比分别增长85.92%和84.22%，分别占全市场的52.72%和9.39%。

In 2013, the agency traction amount of financial futures of futures companies keep boosting with further growing shares. In 2013, the financial futures agency turnover is RMB 141.01 trillion, in volume of 194 m lots, with year-on-year increases of 85.92% and 84.22%, taking up 52.72% and 9.39% of the market respectively.

图1：历年全国期货公司代理交易额及代理交易量情况

Fig. 1: Historical Statistics of Agency Transactions of Chinese Futures Companies
(代理交易额单位：万亿元，代理交易量单位：亿手)
(Turnover: trillion yuan; trading volume: 100 million lots)

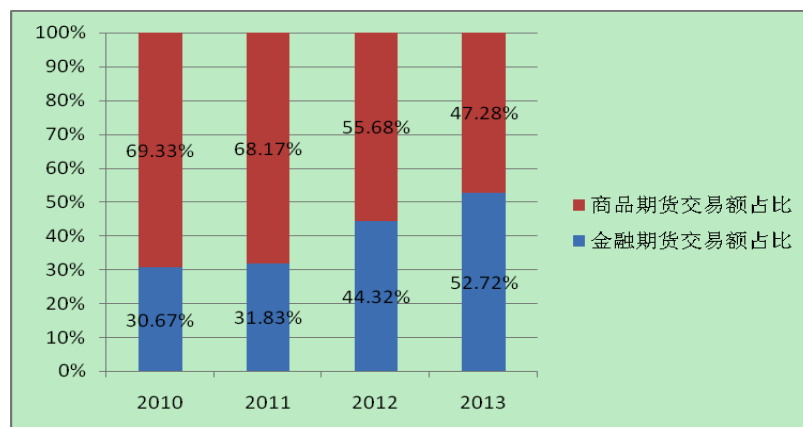


注：2011年以前的交易数据均按单边可比口径调整后得出（柱形为交易额，折线为交易量）

Note: Transaction statistics before 2011 have all been adjusted on unilateral comparable basis (histogram for turnover, lines for trading volume)

图2：期货公司金融期货与商品期货代理交易额占比情况图

Fig. 2: Proportions of Agency Turnover of Financial Futures and Commodity Futures



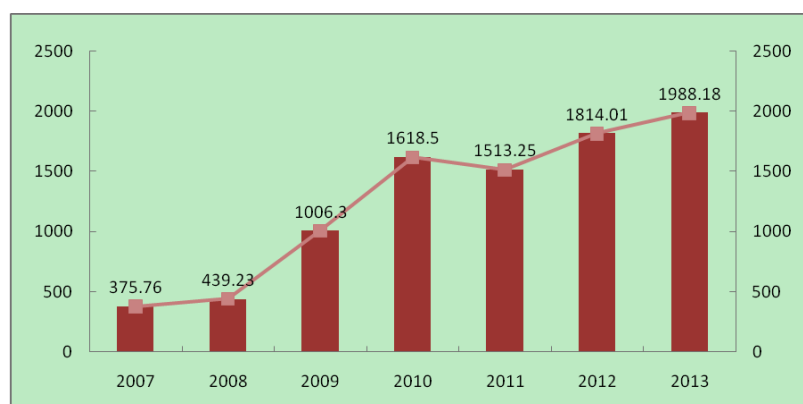
客户权益 Client equity

截止2013年12月31日，全国期货公司客户权益为1988.18亿元，同比增长9.72%。

By December 31, 2013, the equity of Chinese futures companies' clients has reached RMB 198.818 b, a year-on-year increase of 9.72%.

图3：历年年末期货公司客户权益总额变化情况（单位：亿元）

Fig. 3: Client Equity Gross Changes of Previous Year Ends (Unit: 100 million yuan)



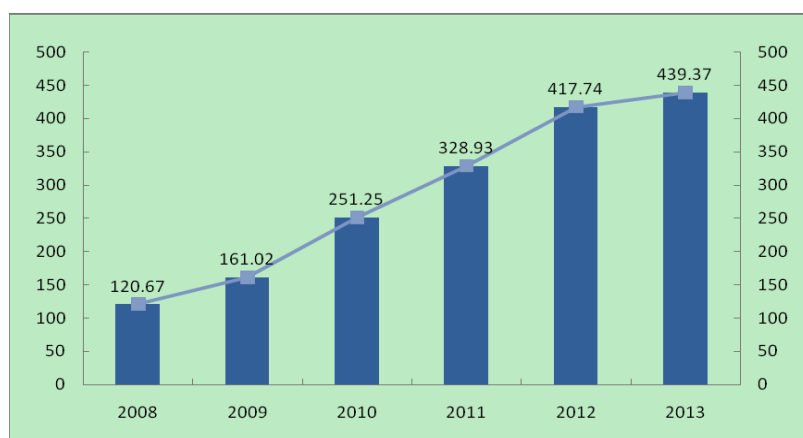
净资本 Net capital

2013年末期货公司净资本合计为439.37亿元，同比增长了5.18%。

The total net capitals of futures companies in the end of 2013 reaches RMB 43.937 b, a year-on-year increase of 5.18%.

图4：期货公司净资本情况图（单位：亿元）

Fig. 4: Net Capitals of Futures Companies (Unit: 100 million yuan)





中国期货业协会 2013 年工作总结

CFA Work Summary of 2013

2013 年，在中国证监会的指导支持和全体会员的积极参与下，中国期货业协会（以下简称协会）围绕期货市场改革发展大局，立足“自律、服务、传导”职能，从行业创新、会员服务、自律管理、人才培养、投资者教育、信息技术等方面，开展了富有成效的工作。

In 2013, under the guidance and support of CSRC and with the active participation of all staff members, productive and effective works were made by the China Futures Association ("CFA" for short) in terms of industry innovation, member service, self-regulation management, talent cultivation, investor education and information technology following the functions of "Self-regulation, Service and Conduction" based on the overall reform and development situation of futures market.



一、以引导会员服务实体经济为重点，积极推动了期货业创新发展

I. Focusing on guidance of membership service for real economy and active promotion of innovation development of futures industry

一是积极审慎开展期货公司风险管理服务子公司试点评估备案工作，制定了 20 余项内部制度和流程，组织开展了 2 次评估会议，受理和审核了 32 家公司提交的备案申请；目前共有 20 家公司完成了备案，18 家完成了工商注册，14 家开立了期货交易账户。

I) Active and careful pilot assessment and filing were made for the risk management service subsidiaries of futures companies, including formulation of over 20 internal systems and procedures, convening of 2 assessment meetings, acceptance and inspection of filing applications from 32 companies, among which, 20 companies have finished filing, 18 completed business registration and 14 opened the futures transaction accounts.

二是积极引导子公司试点业务开展，组织召开了专题业务培训暨研讨会、座谈会，对北京、上海、浙江、深圳等地区试点业务开展情况进行了实地调研，及时总结、推广子公司在仓单服务、合作套保、基差交易等业务上取得的成效和经验。

II) The pilot business was actively carried out under the guidance of the CFA through special business training and seminar & forum, site investigation of business in Beijing, Shanghai, Zhejiang, Shenzhen, as well as timely summary and promotion of achievements and experience in warehouse service, cooperation hedging, basis trading and the like among subsidiaries.

三是研究开发子公司综合信息管理系统，在需求分析和深入研究的基础上，提出了以管理、报表、查询和发布展示四大功能为核心的系统框架及其配套技术解决方案，为未来拓展子公司业务及其自律管理奠定了基础。

III) The comprehensive information management system was studied and developed among subsidiaries. Based on demand analysis and deep study, the system frame and support technical solutions centering on four main functions of management, report, inquiry and publishing were put forward, which laid a solid foundation for the future exploration of subsidiary business and self-regulation management.

四是初步完成了境外 OTC 交易平台、产品标准化、做市商、报价机构运作模式等十多篇报告，对 ISDA 主协议、银行间市场和证券市场金融衍生品交易主协议进行了深入研究，起草了《中期协场外（商品）衍生品交易协议》。

IV) Over ten reports on overseas OTC trading platform, product standardization, market-maker, operating mode of pricing institutions were basically completed to give deep study for the ISDA Master Agreement, NAFMII Master Agreement and Securities Market, Financial

Derivatives Master Agreement. The Medium-term OTC (Commercial) Derivatives Trading Agreement was drafted.

五是与期货二部共同起草了《中国期货业十年发展规划纲要（2013-2022年）》，对未来十年期货业的发展进行顶层设计。

V) The Planning Outline of Ten-year (2013-2022) Development in China Futures Industry was jointly drafted together with Department of Futures Supervision II to give top-level design for the development of China futures industry in the future ten years.

六是积极参与《期货法》立法研究，从立法框架、原则、中介机构定位、协会定位等方面提出了意见建议。

VI) Active legislative study was made to the Futures Act with opinions and suggestions given to such aspects as legislative framework, principle, positioning of intermediary and positioning of CFA.

七是与期货二部共同完成了《期货资产管理业务发展暨监管问题研究》，为推动资产管理业务的深入开展建言献策。

VII) The Study of Business Development & Supervisory Problem of Futures Asset Management was jointly drafted with Department of Futures Supervision II to give suggestions for improving deep development of capital management business.

八是开展了期货公司兼并重组情况调研，全面深入分析了期货行业兼并重组的现状、问题及政策建议。

VIII) Investigation was made to the merger and reorganization of futures companies with deep analysis of status, problems and policy suggestions.

九是以“中期协联合研究计划”为平台，组织开展了跨境期货交易中的投资者保护、金融交叉持牌对期货业的影响、期货公司线上营销等8个前沿性课题研究，为行业创新发展提供理论支持。

IX) Based on the platform of "CFA Joint Study Plan", a total of 8 pioneering researches were made on topics like investor protection among cross-border trading, impact from financial cross licensing on futures industry and online marketing of futures companies, which provided theoretical supports for the innovative development of the industry.

二、以强化监督检查为重点， 深入开展了期货业自律管理

II. Concerning on supervision & inspection and deepening of self- regulation management

一是开展了自律规则的废改并立，修改了《期货经纪合同指引》等 8 件，废止了 2 件；配合资产管理、子公司试点、连续交易、国债期货等新业务和新品种，制定发布了 4 项新规则。

I) The self-regulation rules were abandoned, revised, combined and established to some extent, among which, 8 pieces of rules including Contract Guidance of Futures Broker were revised, 2 abandoned and 4 newly built (for coordination of new businesses and varieties in terms of asset management, subsidiary pilot, continuous trading and treasury bond futures).

二是开展了居间人管理调研，形成了《期货居间人自律管理思路汇报材料》，组织证监会相关部门召开了协调会议，推动居间人规范管理。

II) Broker management was investigated with Reporting Material of Self-regulation Management Ideas of Broker being made. Related departments from CSRC were invited in the coordination meetings to promote the broker regulation and management.

三是进一步规范了从业人员管理，开展了从业人员分类管理研究，对 3 万多名从业人员的资格注册、后续培训、执业行为等进行了全面检查，受理审核了 1.8 万人次的申请和变更信息。

III) Practitioner management was regulated and management study was carried out by classification for the practitioners, including overall inspection of the qualification registration, later training and practice of over 30,000 practitioners as well as acceptance and approval of application and information change of 18,000 person-times.

四是强化自律惩戒，针对从业人员检查、日常投诉以及监管部门移交的违法违规案件，对 51 名从业人员和 5 家期货公司给予了纪律惩戒，对 22 家公司进行了约见高管谈话，向 4 家公司发出了警示函。

IV) Self-regulation disciplines were strengthened focusing on the inspection of practitioner, daily complaints and illegal cases delivered from the supervisor departments. Discipline punishment was made to 51 practitioners and 5 futures companies. Besides, we conversed with executives from 22 companies and sent warning letters to 4 companies.

五是对诚信征文比赛中的获奖论文进行了整理和推广，开展了诚信调研活动，积极提升行业诚信水平。

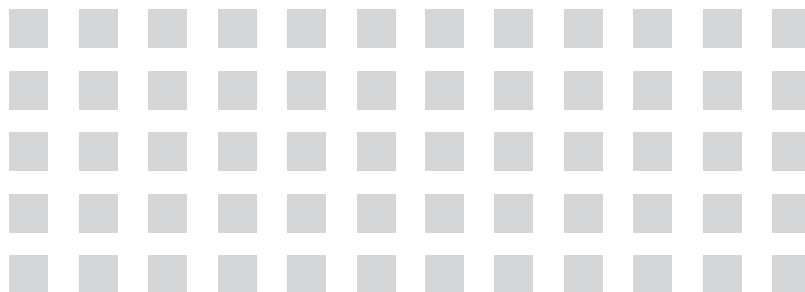
V) The industry integrity level was actively promoted through collection and promotion of award-winning papers in the essay competitions with the topic of "Integrity" and integrity investigation activities.

六是推动建立行业纠纷调解机制，起草了调解规则、委员会工作办法、调解员守则等，通过书面、电话、投诉平台等接受和处理投资者投诉 30 余件。

VI) The industry dispute and intermediation mechanism was established and promoted with dispute rules, working methods of commitment and mediator rules being drafted. Over 30 investor complaints were accepted and handled through written form, by phone and via complaint platform.

七是完成了《关于行业仲裁工作有关情况的报告》，与西城法院签署了《诉讼与非诉讼对接合作协议书》，并与北京仲裁委等 15 家单位发起成立了“北京调解论坛”，探索建立行业性仲裁机构的可行性。

VII) The Report on Arbitrations of Features Industry was completed. Besides, we have signed the Cooperation Agreement of Litigation and Non-litigation Docking with the Xicheng Court and launched the "Mediation Forum in Beijing" together with 15 units including Beijing Arbitration Commission to explore the feasibility of establishing mediation institutions in the futures industry.



三、以培养市场急需的专业人才为重点，大力开展了分层次分类别的境内外培训

III. Focusing on cultivating professional talent in demand and development of domestic and foreign training by level and classification

一是与美国、加拿大和德国相关机构建立了长期合作机制，完成了期货公司高管研修班、首席风险官研修班和利率及衍生品专业人才研修班等五期境外培训，累计 200 多名高管、首风和专业人才接受了培训。

I) A long-term cooperation mechanism was established with related institutions in America, Canada and Germany. Five sessions of overseas trainings participated by more than 200 executives, CROs and professional talents were carried out, including training class for executives in futures companies, training class for CROs and training class for professional talents in interest rate and derivative.



二是在厦门大学建立了金融衍生品高端人才培训基地，重点培养金融衍生品研究分析、产品设计及基金经理类等高端专业人才，目前已开展了 3 期培训，培训学员 235 名。

II) The training base of high-end financial derivative talent was established in Xiamen University with the focus on cultivation of high-end professional talent in such fields as financial derivative study & analysis, product design and fund manager. Now, 3 trainings were made with a total of 235 participants.



三是积极培养后备人才,举办了“全国高校期货教学与人才培养研讨会”和“高校期货论坛大奖赛”,与北京、上海等8家地方协会合作举办了“期货后备人才培训班”,形成了产学研结合培养期货人才的良性机制。

III) Actively trained the reserve talents and held "Seminar on Futures Education and Talent Cultivation in Universities Nationwide" and "Grand Prix of Futures Forum in Universities" as well as "Training Class of Futures Reserve Talents" in together with 8 local associations in Beijing, Shanghai and other places to form good mechanism for cultivation of futures talent in combination with production, teaching and research.



四是完成了 2 期期货公司高管人员任职资质测试培训；分别举办了 2 期信息技术培训和 2 期子公司专项业务培训；完善了网络培训平台，录制了 10 多门金融衍生品系列课程，已有 33096 人次进行了在线注册，累计完成了 34 万学时的培训。

IV) Two sessions of job qualification test trainings were made for the executives of futures companies; two sessions of information technology trainings and two sessions of special business trainings for subsidiaries were made; the network training platform was perfected and 10 serial courses covering topics like financial derivative instruments were recorded; a total of 33,096 person-times were registered on line and 340,000 periods of training were finished accumulatively.



五是举办了 5 次全国范围的期货从业人员资格考试和 2 次投资咨询考试，累计报名科次 19 万。

V) Five qualification examinations of futures practitioners were made and two investor consultancy examinations were carried out with accumulative registration person-times of 190,000.

截至 2013 年 12 月底，全国期货从业人员共计 49268 人，其中，期货公司从业人员 32149 人，证券 IB 机构期货从业人员为 17119 人；全国新增期货从业人员 12009 人，较 2012 年底增长了 32.23%。

By the end of December 2013, the total number of futures practitioners in China was 49,268, including 32,149 in futures companies and 17,119 in security IB institutions, with an increasing rate of 32.23% in comparison with the end of 2012 (12,009 persons).

四、以促进期货市场功能发挥为重点，着力开展了投资者教育和保护

IV. Education and protection of investors with focusing on functioning promotion of futures market



一是成立了“培育产业客户和机构投资者工作组”，与期货一部、交易所就交易制度、规则等进行了深入沟通，推动解决制约产业客户进入期货市场的制度障碍。

I) The "Work Group for Industrial Client and Institutional Investor Cultivation" was established, which made deep communications with the Department of Futures Supervision 1 and exchanges on trading system and rule to promote the removal of institutional obstacle that restricts the industrial clients from entering the futures market.

二是开展了“期货牵手产企报告会”，分别在贵州、安徽、广西、天津等地，联合当地政府、金融办、交易所、大型国企等进行了巡讲，促进企业对期货市场的了解。

II) The "Seminar for Futures' Cooperation with Production Industries" was held in Guizhou, Anhui, Guangxi, Tianjin and other places in combination with local governments, financial offices, exchanges and large state-owned enterprises to promote enterprises' understanding of futures market.

三是与中央农广校合作推出视频公开课，并通过该校卫星和网络两种平台进行播出，重点面向农业企业宣讲期货知识。

III) Video public courses were introduced with the cooperation of China Central Agricultural Broadcasting and Television School and broadcasted via satellite and network platforms of the school, focusing on teaching futures knowledge for the agriculture enterprises.



四是制定了“培育产业客户与机构投资者优秀期货公司”评选表彰方案，启动了经典案例征集活动，先后在上海、广东等地进行了调研，引导会员积极服务实体经济。

IV) The Appraisal and Election Plan on the topics of "Excellent Futures Company on Cultivating Industrial Customers and Institutional Investors" was formulated to initialize the collection activities of classic cases. Investigations were made in successive in places like Shanghai and Guangdong to guide the members for active service for the real economy.

五是组织编写了金融衍生品系列丛书及视频课程，已出版国债、外汇、金融期权、场外衍生品市场、结构化衍生品和配套习题集“5+1”共六册丛书，完成20门同步视频课程。

V) Organized the compiling and making of serial books and video courses covering the topics like financial derivative. Six series of books were published and 20 synchronous video classes were finished involving national debt, foreign exchange, financial option, OTC derivative product market, structured derivative and supporting workbooks "5+1".



六是加强了投资者保护工作，与投保局等单位联合举办了“投资者保护研讨会暨专题培训班”，举办了投教展览。

VI) Enhanced the investor protection by holding "Seminar (Training Course) of Futures Investors Protection" together with units like Investor Protection Bureau and teaching exhibition.

七是关注行业舆情，及时回复证监会“12386”投资者服务热线，切实保护投资者合法权益。

VII) Paid attention to the industrial public opinions and timely replied the investor hot line "12386" of CSRC to protect the legal interests of the investors.



五、以安全稳定运行为重点， 扎实推进了期货业信息技术 建设

V. Focusing on stable and reliable operation to promote the information technology construction of futures industry

一是对《期货公司信息技术管理指引》进行了修改完善，组织编写了《期货公司运维管理实践案例》，为会员运维管理提供指引和参考。

I) The Guideline of Information Technology Management of Futures Companies (the Guideline) was revised and improved and the Practice Case of Operation and Management of Futures Company was compiled under our organization to provide guidance and reference for the operation and management of members.

二是受期货二部委托，组织开展了对 50 家期货公司的信息技术升级检查和抽查工作；目前达到《指引》3 类及以上要求的共计 60 家，较 2012 年增加了 27.7%。

II) Entrusted by Department of Futures Supervision II, inspection and spot inspection were carried out for the information technology update of 50 futures companies; by now, a total of 60 companies has met the requirements of Class 3 and above in the Guideline, with an increase rate of 27.7% in comparison with 2012.

三是受证监会委托，完成了《证券期货科学技术奖励管理办法》的修订工作，协助中国证券业协会开展了 2013 年科技奖评选工作。

III) Entrusted by CSRC, the Management Measures for the Science and Technology Award of Securities and Futures were revised to assist the CSRC in evaluating the science and technology awards of 2013.

四是起草了《2012 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。

IV) The Analysis Report on Information Security Accidents of Futures Industry in 2012 was drafted to give comprehensive and deep analysis for the information security accident of the industry.

五是发挥专业委员会作用，组织行业专家对银期一线通转账平台方案、行情服务商安全隐患及应对策略等热点问题进行了研究探讨。

V) Gave full play of the special committees to organize the study and discussion from industrial experts on such hot spots as Silver Phase Transfer ISDN, potential risks of market service providers and coping strategy.

六是改版行业信息管理平台，解决了证监会 FISS 系统与信息平台公示信息推送及审核处理问题，保证了行业核心数据运行和传输的安全。

VI) The industry information management platform was revised, which solved the public information push and examination problem in CSRC FISS system and information platform to guarantee safety of industrial core data operation and transmission.

六、以促进对外开放为重点，全面推动期货业的交流合作

VI. Focusing on promotion of opening-up and comprehensive communication and cooperation of futures industry

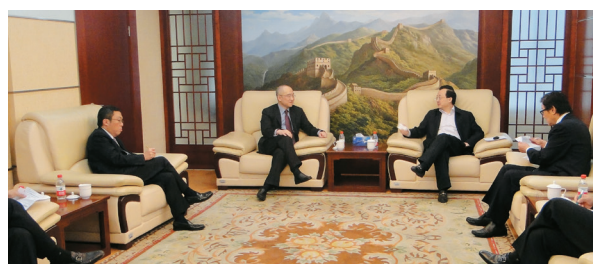
一是成功举办了“第九届中国（深圳）国际期货大会”和“第七届中国（杭州）期货分析师论坛”，积极促进境内外、业内外进行深入交流。

1) The "9th China (Shenzhen) International Derivatives Forum" and the "7th China Futures Analyst Forum" were successfully convened to actively promote deep communication both at home and abroad and inside and outside the industry.



二是加强了与境外同行的合作，在 MOU 协议框架下，积极与芝加哥商业交易所、欧洲期货交易所和美国期货业协会展开了培训、信息交流、高层互访等合作项目，并与瑞士期货期权协会、新加坡交易所、香港交易所 3 家机构签署了合作备忘录。

II) Cooperation with the foreign peer was enhanced. Under the MOU Agreement framework, cooperation projects were made with the CME Group, Eurex Exchange and Futures Industry Association in US, with regards to training, information communication and high-level reciprocal visits. Besides, we have signed Memorandum of Understanding with 3 institutions including Swiss Futures and Options Association (SFOA), Singapore Exchange and Hong Kong Exchanges and Clearing Limited.



三是组织召开了联系会员、中小期货公司、期货公司财务分析、期货女高管等座谈会和行业会议，积极搭建会员之间沟通交流的平台。

III) The forums and industrial meetings involving membership contact, medium and small-sized futures companies, financial analysis of futures companies and female futures executives were organized to establish communication platform with the members.

四是编辑出版了6期《中国期货》杂志并开通了微信公众号，完成了2013年《中国期货业发展报告》，开展了协会网站改版工作，启动了与央视等财经媒体的合作事宜，多渠道宣传行业形象。

IV) Multi-channel industry image publicity was available through editing and publishing of six sessions of China Futures, opening of Public WeChat ID, compiling of Development Report of China Futures Industry in 2013, revision of CFA website and cooperation with financial media like CCTV.



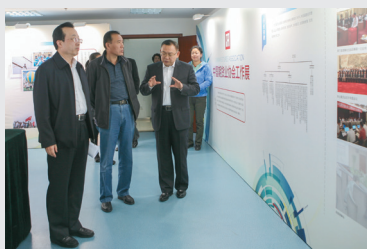
五是完成了期货公司2012年经营情况分析，组织编写了《期货公司2012年财务年报》，在协会网站公布了期货公司六项财务指标排名，加强了公司信息披露。

V) The operation situation of futures companies in 2012 was analyzed and Annual Financial Report of Futures Company in 2012 was compiled under CFA's organization. The website published the ranking of six financial indices of futures companies to enhance the company information disclosure.



七、以明确定位和改进作风为重点，切实加强了协会自身建设

VII. Focusing on definite positioning and style improvement to enhance self-construction



一是成立了协会改革发展课题组，深入研究分析了美国 NFA、中证协等相关行业协会发展的经验，起草了协会五年发展规划，进一步明确了协会改革发展的方向。

I) The Reform and Development Research Group of CFA was established to give deep analysis of the development experience of related industrial associations like NFA and SAC. The Five-year Development Plan of CFA was drafted to further specify the reform and development direction of CFA.

二是完成了会员发展的调研报告，形成了短中长期会员结构调整的意见，稳步推进了会员发展工作，目前保证金监控中心和 42 家证券公司已提交了入会申请。

II) Investigation reports on member development were finished and member structure (of short-term, medium-term and long-term) adjustment opinions were made to stably promote the membership development. By now, China Futures Margin Monitoring Center Co., Ltd. and another 42 security companies have submitted their applications for membership.

三是参加了民政部社团组织评估，全面梳理评估了协会过去 10 多年的工作成绩和不足，据此开展了制度梳理、档案整理、文件规范等工作。

III) Participated in the social organization assessment organized by Ministry of Civil Affairs of the People's Republic of China to comprehensively assess and summarize the work achievements and shortcomings for the past 10+ years, based on which, system collection, archival arrangement and document regulation were made.

四是梳理优化了部门和岗位职责，调整了领导班子成员分工和人员岗位，公开招聘了 13 名新员工，进一步强化了内部管理和队伍建设。

IV) Department and post responsibilities were examined and optimized, including adjustment of division of labor and post of leadership and introduction of new 13 employees through open recruitment to further strengthen the internal management and team construction.

五是深入开展了党的群众路线教育实践活动，在认真学习中央精神和文件的基础上，班子成员分别到 15 个地区进行了专题调研，共征集意见建议 81 条；党委班子和成员分别撰写了对照检查材料，在民主生活会上开展了深刻的批评和自我批评，并制定了切实可行的整改措施。

V) Education and practice activities adhering to the CCP's Mass Line were carried out. Based on serious study of central spirits and documents, the leadership made special investigations to 15 regions and collected 81 pieces of opinions and suggestions; and leadership and members from the Party Committee wrote examination materials. Deep criticism and self criticism were carried out in the Meeting of Democratic Life and feasible rectification measures were prepared.

六是加强了党建和廉政工作，发展了 3 名预备党员，组织开展了拓展训练、主题党日活动以及捐助革命老区等社会公益活动；开展了部门职权和工作流程的梳理工作，进一步完善了廉政风险防控机制。

VI) Party building and incorrupt leading were enhanced and 3 probationary party members were recruited. Besides, social public benefit activities including outward training, thematic party day activity and donation to old revolutionary base areas were carried out; and department responsibilities and work processes were optimized to further improve the incorrupt risk control mechanism.



中国期货业协会现行自律 规则

Current Self-regulatory Rules of
China Futures Association

1. 中国期货业协会章程 (2012 年 3 月 9 日)

1. Charter of the China Futures Association (9 March, 2012)

(2014 年 1 月 15 日, 共 35 件)
(15 January, 2014, 35 items in total)

会员和从业人员管理类

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 (Trial)

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 (Trial)

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 (Trial)

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 (Trial)

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)

业务规范类

Business code

14. 《期货经纪合同》指引（修订）

Guidelines of Futures Brokerage Contract (Revised)

15. 期货经纪合同备案审查办法

Measures for the Record Review of Futures Brokerage Contract

16. 期货投资咨询服务合同指引

Guidelines for the Futures Investment Consultation Service Contract

17. 期货公司资产管理合同指引

Guidelines for the Assets Management Contract of Futures Company

18. 关于《期货公司资产管理合同指引》的补充规定

Supplemental Provisions concerning the Guidelines for the Assets Management Contract of Futures Company

19. 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 (Trial)

20. 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)

21. 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

22. 期货公司执行金融期货投资者适当性制度管理规则（修订）

Administrative Rules for the Eligibility System of the Investors Implementing Financial Futures (Trial)

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

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
(Trial)

信息技术类

Information technology

29. 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)

30. 证券期货科学技术奖励管理办法 (试行)

Administrative Measures for Awards of Science and
Technology of Security and Futures (Trial)

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 (Trial)

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. 期货公司核心应用软件产品与技术服务 合同指引

Guidelines for Product and Technical Service
Contract of Core Applications of Futures Company



2013 年协会大事记

CFA Chronicle of Events 2013

1

一月

January

- 1月4日,张育军主席助理听取协会关于2012年工作总结和2013年工作要点的汇报,协会全体班子成员参加了会议。
- On 4 January, Zhang Yujun, Assistant of Chairman, listened to the CFA work summary of 2012 and work key point report of 2013 and all membership attended the meeting.
- 1月7日,协会召开2012年度领导班子民主生活会暨述职会议,班子成员分别进行了述职述廉,坦诚开展了批评和自我批评,并按照证监会统一要求进行了民主测评。
- On 7 January, the Leadership Democratic Meeting & Debriefing Session of 2012 was held, where honest and clean report was made and criticism and self-criticism were carried out by all leadership. Moreover, democratic appraisal was taken in accordance with the uniform requirements of CSRC.
- 1月8日,协会召开了2013年重点工作研究会,各部门在认真学习郭树清主席和张育军主席助理近期讲话精神的基础上,研究提出了2013年工作思路和重点。班子成员逐个部门进行了点评,并要求大家要更新观念,大胆探索,明确方向,突出重点,措施清晰,责任到人,进一步对工作计划进行修订完善。
- On 8 January, the Key Work Seminar of 2013 was convened, where all departments thoroughly studied the guiding principles of latest speeches by Guo Shuqing, the Chairman and Zhang Yujun, the Assistant of Chairman. The Seminar also put forward the thinking of work and work focus of 2013. The leadership remarked on all departments one by one and required everyone to renew ideas and highlight the key points with definite direction, distinct measures and clear responsibility. At the Seminar, the working plan was further revised and improved.
- 1月上旬,协会开展期货居间人管理相关问题研究工作,走访了证券业协会,收集重点地区居间人相关数据,梳理并提出了相关政策建议。1月16日,协会与期货二部召开座谈会,就居间人管理问题进行了沟通。
- In early January, study and research were made for futures broker management. The CFA visited the Securities Association of China and collected related broker data in key areas. Besides, related policy suggestions were put forward and collected. On 16 January, a forum was made between the CFA and Futures Department II to communicate the broker management issue.
- 1月10日,由协会组织的期货公司运维管理参考案例起草工作第三次会议在北京召开,证监会信息中心、期货交易所的相关同志和参考案例编写组成员参加了会议,会议主要对参考案例初稿进行了审核,并对《期货公司核心应用软件产品与技术服务合同要素指引》进行了修订,研究了关于文华财经有关问题的具体解决办法。
- On 10 January, the Third Meeting on Reference Case Drafting of Operation and Maintenance of Futures Company organized by the CFA was held in Beijing, presented by related person of CSRC Information Center and Futures Exchange as well as members from Reference Case Compiling Group. In the Meeting, the drafts of reference cases were audited and the Guidance of Core Application Software and Technical Service Contract Elements for Futures Company was revised. Moreover, specific solutions were studied on the Webstock.
- 1月10-11日,协会创新业务工作小组赴杭州对浙江地区期货公司筹备风险管理子公司试点的情况进行了调研。调研小组听取了永安期货、大地期货、南华期货和浙商期货关于风险管理子公司筹备情况的介绍,并召集了浙江地区7家公司就试点业务进行了讨论。
- On 10-11 January, the CFA Innovation Business Working Group visited Hangzhou to investigate and survey the preparation of risk management subsidiary pilot of futures company in Zhejiang Province. The Working Group listened to the preparation introduction of risk management subsidiaries like Yong An Futures, Dadi Futures,

Nanhua Futures and Zheshang Futures. 7 companies in Zhejiang jointly discussed the pilot businesses.

- 1月12日, 由协会主办、中国证监会贵州监管局、贵州省证券期货业协会承办的“期货市场牵手产企”宣讲报告会在贵阳举办。此次活动主要围绕培育和发展机构投资者, 引导产业企业客户参与、利用期货市场进行风险管理这一主题开展, 来自钢铁、粮食、化纤、塑料等领域的几十家产业企业、100多名听众汇聚一堂聆听了报告会。
- On 12 January, the regular "Futures Market Cooperated with Production Enterprises" Seminar, sponsored by CFA and jointly held by CSRC Guizhou Supervision Bureau and Guizhou Securities and Futures Association, was held in Guiyang. Centering on cultivation and development of institutional investors, guidance of customer engagement from industrial enterprises and risk management by futures market, this Seminar was attended by more than 100 audiences from dozens of industrial enterprises covering such fields as steel, food, chemical fiber and plastic.
- 1月17日, 协会第三届理事会第十二次会议在北京召开。会议通过了《关于中国期货业协会2012年工作总结暨2013年工作重点的报告(草案)》和《关于〈期货公司资产管理合同指引〉的补充规定》, 审议通过了上海期货交易所、大连商品交易所及上海东证期货有限公司提出的更换理事代表申请, 并改选了两位兼职副会长。
- On 17 January, the 12th Meeting of Third Council was convened in Beijing. The Meeting passed the CFA Work Summary of 2012 and Work Key Point Report of 2013 (Draft) and Supplemental Provisions of Guidance on Asset Management Contract of Futures Company. Besides, the Meeting deliberated and passed the applications on change of council representatives from Shanghai Futures Exchange, Dalian Commodity Exchange and Shanghai Topix Futures Co., Ltd. and re-elected two part-time vice chairmen.
- 1月18-19日, 2012年度期货从业人员资格考试工作总结会议在北京召开。来自高校、行业以及考试机构的29名人员参加了会议, 与会人员对考试工作进行了总结, 对2013年工作计划进行了讨论。
- On 18-19 January, the Work Summary Conference of Futures Practitioners Qualification Examination of 2012 was held in Beijing. 29 participants from colleges and universities, industries and examination institutions were present to give summary on the examination work and to discuss the work plan of 2013.
- 1月23日, 协会召开全体员工大会, 传达学习2013年全国证券期货监管工作会议和纪检监察会议精神, 要求全体员工认真学习郭树清主席等领导同志的讲话, 深刻领会证监会关于资本市场发展的统一部署, 并结合协会实际, 进一步修订完善2013年工作思路和要点。
- On 23 January, the CFA Staff Meeting was held to deliver the spirits of 2013 National Work Conference on Securities and Futures Regulation and Discipline Inspection Meeting. All staff learned the speeches of leadership including Guo Shuqing Chairman and thoroughly understood the CSRC uniform deployment on capital market development. Moreover, the 2013 work ideas and key points were further revised and perfected in combination with the actual conditions of CFA.
- 1月23日, 期货公司从业人员执业行为评价机制研讨会在北京召开, 会议交流了国内外期货及金融行业从业人员管理的经验, 并就建立期货公司从业人员执业行为评价机制等议题展开了热烈讨论, 提出了相应的意见及建议。
- On 23 January, the Seminar on Practice Evaluation Mechanism of Futures Company Practitioners was held in Beijing, where, the practitioners in futures and finance industries at home and abroad shared their management experience, discussed on the practice evaluation mechanism of futures company practitioners and came up with corresponding opinions and suggestions.
- 1月24-25日, 协会于北京举办了期货公司风险管理子公司业务培训研讨班, 来自49家期货公司的150多名学员参加了培训。协会邀请监管机构、大型银行、国企以及国际投行的资深专家, 从政策解读、国外场外衍生品市场、业务模式和风险管理等角度对风险管理子公司业务进行了详细梳理, 并通过小组讨论和大会交流等形式进行了充分讨论。
- On 24-25 January, the Business Training Seminar of Risk Management Subsidiaries of Futures Company was opened up in Beijing, participated by over 150 members from 49 futures companies. The senior specialists from supervision organizations, large banks, state-owned enterprises and international investment banks gave detailed presentations on the policy interpretation, foreign OTC derivatives market, business mode and risk management and related discussion was made via panel discussion and meeting communication.

2

二月

February

- 2月1日,协会组织召开了2012年度总结表彰大会。会议简要回顾了2012年的主要工作,充分肯定了大家所取得的成绩,表彰了获得优秀、良好以及各类集体荣誉的员工,并勉励大家认真学习、抓住机遇、迎接挑战、开拓进取,为我国期货市场的创新发展做出新的贡献。协会非会员理事张宜生、法律顾问于学会等同志受邀参加了会议。
- On 1 February, the 2012 Annual Summary and Commendation Congress was grandly held. In the meeting, the main work in 2012 was briefly reviewed and achievements were appreciated. The staff of excellent and good performances as well as those awarding with collective honors were commended. Furthermore, all staff was encouraged for earnest study and continuous improvement to grasp the opportunity and meet the challenge, so as to make new concentration for the creative development of futures market in China. The outside director Zhang Yisheng and legal counsel Yu Xuehui were presented.
- 2月1日,协会发布了《期货公司风险管理服务子公司业务试点备案工作规程(试行)》及相关文件,开始接受拟申请试点公司的咨询,并组织开展第一批申请试点公司方案业务评估的准备工作。
- On 1 February, the Filing Regulation on Business Pilots of Futures Company Risk Management Service Subsidiaries (on trail) and related documents were issued for the consultancy from applying pilot companies. The preparatory work of plan business evaluation for the first batch of applying pilot subsidiaries was organized.
- 2月1日,协会发布《期货公司春节长假风险防范通知》,要求期货公司对投资者提示长假风险,关注持仓变化,对风险进行预估预判,落实各项长假风险预案和应急处理措施,保障期货市场春节前后的稳定运行。
- On 1 February, in order to guarantee the stable operation of futures market before and after the Spring Festival, the Notice on Risk Prevention of Futures Company during Spring Festival was issued, in accordance with which, the futures companies were required to prompt the investors about the holiday risk, to focus on the position change, to pre-evaluate and pre-judge the risk and to practice the holiday risk pre-arranged plan and emergency treatment measure.
- 2月上旬,协会会刊-《中国期货》刊发了“诚信从我做起”主题征文活动获奖作品。此次征文活动对开展诚信宣传教育,树立、践行诚信理念,提升公司和从业人员的执业操守,维护公平诚信的市场环境起到了积极作用。
- In early February, the CFA journal - China Futures published the award-winning works of "Good Faith- Me First" solicit articles activity. This activity played effective role for good faith publicity and education, establishment and practice of good faith ideas, promotion of practice integrity of company and practitioner and maintenance of fair and integrate market environment.
- 2月20日,协会参加了有关“两会”资本市场宣传座谈会,并根据会议“提前释放、主动发声、凝聚共识、营造氛围”的指示精神,在进行媒体调研的基础上,开展了有关协会“两会”期间的新闻采访准备工作。
- On 20 February, the CFA attended the "NPC & CPPCC" Capital Market Promotion Symposium and carried out the new gathering preparation during the "NPC & CPPCC" period adhering to guidance spirits of "Early Release, Active Voicing, Consensus Building, Atmosphere Construction" based on the media investigation.
- 2月21日,根据证监会主席郭树清和纪委书记黎晓宏在全国证券期货监管系统纪检监察工作会议讲话精神,以及贯彻落实中央政治局、证监会关于改进工作作风的有关要求,协会研究制定了《关于贯彻落实证

监会二十五条规定的实施细则》以及专项检查活动方案，并在深入学习的基础上修改了 2013 年纪检工作要点。

- On 21 February, in line with the speech spirits of CSRC Chairman Guo Shuqing and Discipline Inspection Commission Secretary Li Xiaohong in the National Work Discipline Inspection Meeting on Securities and Futures Regulation, the CFA formulated the Rules for the Implementation of CSRC Article 25 Regulation and carried out special examination and inspection plans in accordance with the related requirements of improvement of work style from the Political Bureau of the CPC Central Committee and CSRC. Furthermore, the CFA revised the key points of 2013 discipline examination work on the basis of deep study.
- 2 月 25 日，《证券期货科学技术奖励管理办法》专家论证会在协会召开，证监会信息中心、国家奖励办、中国电机工程学会以及部分在京证券、期货、基金公司的专家参加了会议。会议对《奖励办法》进行了论证，形成了修订稿。
- On 25 February, the Expert Discussion Meeting of Management Measures for the Science and Technology Award of Securities and Futures (the Award Measures) was held with experts from

CSRC Information Center, National Office for Science & Technology Awards, Chinese Society of Electrical Engineering (CSEE) and experts from securities, futures and fund companies in Beijing presented. The Meeting demonstrated the Award Measures and completed the revised draft.

- 2 月 27 日，协会参加了西城法院组织召开的诉调对接工作座谈会，探讨建立诉讼与非诉讼渠道相互衔接的矛盾解决方式。西城法院介绍了诉调对接的具体形式，与我会以及证券、上市公司、银行业、保险业、国债等多家协会就诉调对接涉及的法律问题和具体合作方式进行了探讨。
- On 27 February, the CFA attended the Work Discussion Meeting on Docking Litigation and Conciliation organized by the Xicheng District People's Court of Beijing (Xicheng Court) to discuss on the contradiction settlement of mutual joint of lawsuit and non-lawsuit channels. The Xicheng Court also introduced the specific type of docking litigation and conciliation and discussed on the related law problems and specific cooperation methods with us and many associations from securities, listed companies, banking, insurance and national debt.

3

三月

March

- 3 月 2-3 日，期货公司风险管理服务子公司业务试点方案第一次评估会在北京召开。专家组对参评的八家期货公司的试点方案进行了评估，同意宏源期货、大地期货、广发期货、鲁证期货、浙商期货、万达期货和永安期货等 8 家公司关于设立子公司及拟申请开展的业务方案。
- On 2-3 March, the First Evaluation Meeting for

Business Pilots Plans of Futures Company Risk Management Service Subsidiaries was held in Beijing. The expert group evaluated the pilot plans from eight futures companies and agreed the establishment of subsidiaries and the business plans applied from these eight companies, including Hongyuan Futures, Dadi Futures, Guangfa Futures, Luzheng Futures, Zheshang

Futures, Wanda Futures and Yong An Futures.

- 3月3-17日,根据证监会《关于做好2013年“两会”期间证券期货业信息安全保障工作的通知》要求,协会及时向全体期货公司会员转发了通知,并启动了敏感时期报告制度。根据统计,“两会”期间,协会160家期货公司会员信息安全日报报告率为79.2%。
- On 3-17 March, in accordance with the Notice on Security Assurance of Securities and Futures Information during the 2013 "NPC & CPPCC" Period of CSRC, the CFA transmitted the notice for all securities company members in time and launched the reporting system in this sensitive period. In accordance with statistics, during the "NPC & CPPCC" period, the daily reporting rate of information security from 160 securities company members was 79.2%.
- 3月4-5日,“中国期货行业改革发展与实现路径研究”课题小组第一次会议在北京召开,课题小组对课题研究的目的、主要内容和研究方法进行了详细的讨论。
- On 4-5 March, the First Meeting of Research Team of "Reform and Development & Implementation Path Study of China Futures Industry" was held in Beijing, where, detailed discussions were made to the topic study objectives, main contents and study methods.
- 3月8日,协会在郑州召开了“2013年期货行业女高管‘三八’节座谈会”。此次座谈会旨在为期货市场女性高管提供交流平台,关注期货市场女性职业发展及作用发挥,促进期货市场创新发展。
- On 8 March, the "2013 'Women's Day' Forum among Female Executives in Futures Industry" was held in Zhengzhou. This Forum aimed at providing communication platform for the female executives in the futures market and focusing on the career development and role of females in the futures market to promote the innovative development of this market.
- 3月中旬,协会召集八家承办单位在杭州举行“第七届中国期货分析师论坛”第二次筹备工作会议,就论坛嘉宾邀请、议题安排、会务工作进行了研究和布置。
- In mid March, the Second Preparatory Work Session of "7th China Futures Analyst Forum" was jointly held with eight organizers in Hangzhou to study and arrange the forum guest invitation, topic arrangement, conference affairs, etc.
- 3月19日,协会与西城区法院签署了诉调对接合作协议。按照协议,西城区法院将邀请协会进入其特邀调解组织名册,并对协会做出的调解协议进行司法确认。诉调对接即诉讼与调解对接,能够起到化解社会矛盾,减轻法院收案压力的效果。
- On 19 March, the Cooperation Agreement of Docking Litigation and Conciliation was signed with the Xicheng District People's Court of Beijing (Xicheng Court). In accordance with the agreement, the Xicheng Court will invite the CFA to be listed in the register of special mediation organization and make judicial confirmation for the reconciliation agreement of the CFA. The docking litigation and conciliation means docking litigation and mediation, which is effective in resolving the social contradictions and releasing the court cognizance pressure.
- 3月19-23日,第22期期货公司高管人员任职资质测试在北京举行,参加此次测试的人员共计85人,其中拟任董监事层16人、经理层57人、首风12人。根据笔试及面试成绩,最终通过68人,其中拟任董监事层15人、经理层44人、首风9人,总通过率80%。
- On 19-23 March, the 22nd Session of Job Qualification Test of Executives of Futures Company was held in Beijing, attended by a total of 85 participants, including 16 director and supervisor candidates, 57 manager candidates and 12 CRO candidates. Based on the written and interview examination results, 68 persons pass the examination, including 15 directors and supervisors, 44 managers and 9 CROs with a total passing rate of 80%.
- 3月25日,协会发布了《关于期货公司风险管理服务子公司业务试点第一批备案结果的公告》,完成第一批八家公司的备案工作。
- On 25 March, the Announcement of First Filing Results for the Business Pilots of Risk Management Service Subsidiaries of Futures Company was announced for the filing of first batch of eight companies.
- 3月27日,协会召开了“培育产业客户与机构投资者优秀期货公司”评选工作座谈会,就在全行业开展“培育产业客户与机构投资者优秀期货公司”评选活动征求与会人员意见和建议,以进一步引导期货公司服务实体经济,加快培育产业客户和机构投资者。
- On 27 March, Appraisal and Election Forum on

the topics of "Excellent Futures Company on Cultivating Industrial Customers and Institutional Investors" was held and the Appraisal and Election activities on this topic were made. In the Forum, the suggestions and opinions of participants were collected to further guide the futures company to serve the real economy and quicken the cultivation of industrial customers and institutional investors.

- 3月27-28日，期货公司风险管理服务子公司试点方案第二次评估会议在北京召开，专家组对参评的中粮期货等15家期货公司的试点方案进行了专业评估。
- On 27-28 March, the Second Evaluation Meeting for Business Pilots Plans of Futures Company Risk Management Service Subsidiaries was held in Beijing. The expert group made professional evaluation for the pilot plans for 15 futures companies, including COFCO Futures.
- 3月28日，协会组织召开了期货从业资格考试考务工作会议，对考试组织过程中发现的问题及改进措施进行了沟通和探讨，要求考务机构进一步加强考试安全，严格防范考试风险，加大执行工作效果的检查力度，切实将各项制度和流程落到实处。此次会议建立了协会与考务机构公司之间的定期交流机制，对进一步提高考务工作水平起到了积极作用。
- On 28 March, the Examination Work Session on the Futures Practitioner Qualification was held to communicate and discuss on the problems and improvement measures for the examination

organization, which required the examination institutions to further enhance the examination safety, to strictly prevent the examination risks, to enhance the examination potency during the working effect execution and to practically put the various systems and processes into practice. This Session established regular communication system between the CFA and the examination institutions and played effective role for improving the examination levels.

- 3月下旬，协会完成了关于中国期货业协会会员发展工作的有关报告和建议，并上报张育军主席助理，征求协会理事意见。
- In late March, the CFA finished the reports and suggestions of the membership development work and reported to Zhang Yujun, the Assistant of Chairman, to request the suggestions from the CFA members.
- 3月30日，2013年第一次期货从业人员资格考试在全国35个城市举行，共计报名26944人、41452科次；其中，期货基础知识通过率为36.02%，法律法规通过率为32.47%，两门科目均通过的比率为34.11%。
- On 30 March, the First Futures Practitioners Qualification Examination of 2013 was held in 35 cities around China with 26,944 applicants and 41,452 numbers of subjects; pass rates of futures basic knowledge and futures laws and regulations were 36.02 % and 32.47% respectively and around 34.11% of applicants passed these two subjects.

4

四月

April

- 4月2日，中国期货业协会专项基金管理委员会2013年第一次会议在北京召开。会议通过了期货人才培养和期货投资者教育两个专项基金2012年收支情况及2013年预算情况报告，并围绕基金的筹集和使用进行了研究讨论。
- On 2 April, the First Conference of Special Fund Management Committee of CFA was held in Beijing. The Conference passed the income and expenditure of 2012 and budget of 2013 for two special funds, including futures talent training and futures investor education, and made discussions

on the fund collection and usage.

- 4月2日, 协会在北京召开第三届理事会第六次会长工作会。与会同志听取了协会2013年第一季度工作通报, 并围绕培育产业客户与机构投资者优秀公司评选方案、协会会员发展工作和行业发展现状展开了讨论, 提出了意见和建议。
- On 2 April, the Sixth President Work Conference of Third Council was held in Beijing. The participants listened to the work report of Q1 2013 and discussed on such topics as industry client raining, appraisal and selection plan of institutional investors, development of members and industry development state with suggestions and opinions being put forward.
- 4月12 - 13日, 第七届中国期货分析师论坛在杭州顺利举办, 本届论坛以“新平台·新机遇——期货分析师的转型”为主题, 吸引了政府、交易所、境内外期货公司、基金公司、证券公司、商业银行等金融机构的高管和研究人员。论坛还举办了“期货投资顾问与基金经理论坛”、“场外商品衍生品设计与定价管理论坛”、“期货及衍生品研发机构峰会”、“海峡两岸期货分析师交流研讨会”等四个分论坛和“期货行业创新业务展览”与“创新产品推介会”。
- On 12-13 April, with the theme of "New Platform and New Opportunities - Transformation of Futures Analyst", the Seventh Chinese Futures Analyst Forum was successfully held in Hangzhou, which attracted large numbers of senior executives and researchers from governments and financial institutions like exchange, domestic and foreign futures company, fund company, security company and commercial bank. Among the forum had four sub-forums including "Forum of Futures Investment Advisers and Fund Managers", "Management Forum of Design and Pricing Management of OTC Derivatives", "Summit for R&D Institutions of Futures and Derivatives" and "Cross-strait Exchange Seminar of Futures Analyst". In addition, "Exhibition of Innovative Business in Futures Industry" and "Introduction and Marketing Event of Innovative Products" were carried out together with such forum.
- 4月12日, 协会第三届理事会第十三次会议在杭州召开。会议审议通过了由华泰长城期货有限公司和中证期货有限公司提出的更换理事代表的申请、《关于中国期货业协会专项基金委员会委员调整的报告》、《期货公司核心应用软件产品与技术服务合同指引》, 原则通过了《关于中国期货业协会2012年财务决算及2013年财务预算的报告》及《关于2012年期货投资者教育基金和期货人才培养基金收支情况及2013年预算情况报告》。
- On 12 April, the 13th Meeting of Third Council was convened in Hangzhou. The meeting deliberated and passed the application for change of council member from Huatai Great Wall Futures Co., Ltd. and CITICS Futures Co., Ltd. and two documents including Report on Member Adjustment of Special Fund Committee of CFA and Guidance of Core Application Software Products and Technical Service Contract. In principle, it also passed the Report on Financial Statement of 2012 and Financial Budget of 2013 of CFA and Reports on Educational Fund for Futures Investors of 2012, Income and Expenditures of Futures Talent Training Fund and Budget of 2013.
- 4月11-18日, 受证监会期货二部委托, 协会组织开展了对海南金海岸、天津金谷两家期货公司的信息技术现场检查工作。
- On 11-18 April, entrusted by Futures Department II of CSRC, the CFA organized and carried out the site inspection for information technology of Hainan Golden Coast Futures Brokerage Co., Ltd. and Tianjin Jinggu Futures Broking Co., Ltd.
- 4月15日, 第二期期货公司高管人员赴美研修班在芝加哥大学布斯商学院开班。来自国内40家期货公司及交易所等单位的46名高管参加了培训。研修班将在芝加哥大学布斯商学院进行为期三周的金融与管理课程学习, 随后, 学员们将参访美国各大交易所和期货公司。
- On 15 April, the Second Training Class in US for the Top Management of Futures Company was opened in Booth School of Business, University of Chicago. Overall, 46 executives from 40 futures companies and exchanges in China participated. After three-week study on finance and management courses, the participants will visit various big exchanges and futures companies in US.
- 4月18日, 根据证监会《关于做好取消证券公司为期货公司提供中间介绍业务资格行政许可项目后续管理和衔接工作有关事项的函》相关要求, 协会及发布了

《关于调整证券公司从事中间介绍业务的人员取得期货从业资格申请条件的通知》，从事介绍业务的人员通过期货从业资格考试且符合《期货从业人员管理办法》相关规定即可申请从业资格，不再另行举办 IB 业务专项测试。

- On 18 April, in accordance with the related requirements of Letter of Post Management and Joining Work of Administrative Licensing Project about Cancellation of Security Company's Professional Qualification for Introducing Intermediate Business to the Futures Company of CSRC, the CFA issued the Notice of Adjustment of Application Conditions for Occupational Requirements of Personnel Engaging in Introducing Intermediate Business in Security Company, based on which, such personnel may apply for practice qualification after passing the futures practitioner qualification examination and meeting the related regulations of Administrative Methods of Futures Practitioners. The special IB business tests will no longer be held.

- 4月18日，协会发布了《2013年自律规则制定和修改计划》，明确2013年将制定自律规则5件，修改8件，内容涉及纠纷调解、合同指引、从业人员管理、信息技术等。该《计划》的发布有利于增强会员参与协会工作的积极性和主动性，进一步提升行业自律水平。

- On 18 April, the Formulating and Revising Plan of Self-Regulation Rules in 2013 was issued to specify 5 pieces of self-regulation rules to be formulated and 8 pieces of rules to be revised in 2013, involving dispute resolution, contract guidance, personnel management of practitioner, information technology, etc. The issuance of this Plan will improve the enthusiasm and initiative of members to participate in the CFA work and enhance the self-regulation level of the industry.

- 4月20日，四川雅安地震后，协会积极了解地震核心地区期货经营机构情况，通过电话等方式慰问灾区期货公司，维护灾区期货经营机构的安全稳定运行。

- On 20 April, after Ya'an Earthquake (Ya'an, a city in Sichuan Province), the CFA took active measures to understand the operation situations of the futures institutions in earthquake core regions and consoled the other futures institutions in the disaster area by phone to maintain their stable and safe operations.

- 4月22-24日，协会于北京举办第二期期货公司风险

管理子公司业务培训研讨班，来自56家期货公司的110多名学员参加了培训。此次培训重点邀请了来自大型国企、国际投行以及律师事务所等在衍生品实务操作方面的资深专家，围绕子公司试点业务中的法律、财务、仓储物流、风险控制、合作套保、点价均价交易等专题进行了深入培训。

- On 22-24 April, the Second Business Training Seminar for Risk Management Subsidiaries of Futures Company was held in Beijing, with over 110 participants from 56 futures companies joined. Senior specialists in derivative practice operation from large state-owned enterprises, international investment banks and law firms were invited to give deep training for such topics as law, finance, storage & logistics, risk control, cooperation hedging, pricing & averaging for the pilot businesses of subsidiaries.

- 4月24日，协会发布了《关于开展2013年度期货从业人员资格定期检查工作的通知》，全面启动了从业人员资格定期检查工作。本次检查人员范围为2012年12月31日前取得期货从业资格的期货公司从业人员，检查重点为各期货公司高管人员合规执业情况；检查方式将采取公司自查和协会现场检查相结合的方式。

- On 24 April, the Notice on Regular Inspection of Futures Practitioner Qualification of 2013 was issued, indicating a comprehensive initialization of regular inspection of practitioner qualification. This inspection, comprising inspection by companies themselves and site inspection by the CFA, mainly targeted at practitioners in the futures companies who obtained their qualifications before 31 December, 2012, with the focus on the executives.

- 4月24-26日，协会组织开展了2013年新员工入职培训，协会领导以及各部门负责人分别为新员工讲解了期货市场功能作用、协会历史、职能定位、部门职责和重点工作、内部规章制度等相关内容，帮助新员工尽快熟悉和适应协会工作环境。

- On 24-26 April, the Induction Training for New Staff of 2013 was organized and carried out, on which, the CFA leadership and principals of departments introduced the functions of futures market, CFA history, functional positions, department responsibilities, key work and internal rules to the new staff to help them get familiar and adapt to the work environment as soon as possible.

- 4月26-27日,协会工会组织开展了2013年拓展训练,通过真人CS、高空断桥、穿越电网、管理高尔夫等拓展项目,进一步增强了员工的团队精神和凝聚力。
- On 26-27 April, the CFA Labor Union organized the Outdoor Training of 2013 to enhance the teamwork spirit and cohesion of the employees through such activities as CS game, broken bridge, grid crossing, golf management, etc.
- 4月27日,协会与安徽证监局、安徽省农委在合肥举办了“资本市场对接现代农业”报告会。协会相关领导及安徽省农委、安徽证监局相关领导、全省近300余名农委农业产业化工作分管负责人、各类农企管理

人员参加了报告会。

- On 27 April, the Seminar with the topic of "Cooperation of Capital Market and Modern Agriculture" was jointly held by the CFA, Anhui Bureau of Securities Regulatory Commission and Anhui Agriculture Committee in Hefei. The Seminar was joined by leadership from the CFA, Anhui Bureau of Securities Regulatory Commission and Anhui Agricultural Committee, approximate 300 persons in charge of agriculture industrialization in the Agricultural Committee and the management from agricultural enterprises.

5

五月

May

- 5月初,根据《民政部关于开展2013年度社会组织评估工作的通知》要求,协会启动了社团组织评估的准备工作,成立了评估工作小组,召开了两次工作会议,重点开展了资料收集、梳理以及网上填报等工作。
- In the beginning of May, based on the Notice on Assessment of Social Organizations in 2013 by Ministry of Civil Affairs of the People's Republic of China, the assessment preparation of clubs and organizations was initialized by establishment of assessment work group and two work meetings, focusing on data collection, arrangement and online completing.
- 5月7-15日,协会创新工作小组成员赴新加坡及香港进行考察,分别与新加坡交易所、香港交易所、国际掉期与衍生品交易商协会(ISDA)亚太分部以及高盛期货、杰润期货、大华银行等机构进行了充分交流,对场外衍生品市场,特别是商品场外衍生品市场的参与者结构、交易模式、流程、风险控制等情况进行了深入研究。
- On 7-15 May, members of the CFA Innovation Work Group visited Singapore and Hong Kong for investigation and made good communications with Singapore Exchange, Hong Kong Exchanges and Clearing Limited, Asia-Pacific Branch of International Swaps and Derivatives Association (ISDA), Goldman Sachs, JieRun Futures and United Overseas Bank. Deep study was made in particular on the participant structure, trade mode, process and risk control in OTC derivative market.
- 5月9日,针对2013年度期货从业人员资格定期检查工作中会员单位普遍关心的问题,协会发布了《期货从业人员资格定期检查常见问题答疑》,并就从业人员开户及交易查询事宜加强了与保证金监控中心的沟通,开通了行业信息管理平台参检人员信息提交通道。截止5月31日,各会员单位已提交参检人员信息4613条。
- On 9 May, the FAQ for Regular Inspection of Futures Practitioner Qualification was issued based on the commonly-concerned problems from

membership units with regards to the regular inspection of futures practitioner qualification in 2013. The communication with the China Futures Margin Monitoring Center Co., Ltd. was enhanced on such issues of account opening of practitioners and transaction inquiry. Information submitting channel for inspection personnel of industry information management platform was opened. By 31 May, a total of 4,613 pieces of information of inspection personnel information was submitted from various membership units.

- 5月13日,协会与中央农业广播电视学校合作的期货课程录制完成。该课程由协会负责提供讲师资源、课件制作,内容包括“认识期货——你不可不知的期货常识”、“说说价格这回事儿——从期货市场的价格发现功能说起”、“期货市场可以这么用——规避价格波动风险的工具之选”等。上述课程于2013年6月通过中央农业广播电视学校的卫星和网络两种平台进行播出。

- On 13 May, the futures courses jointly made by the CFA and China Central Agricultural Broadcasting and Television School was recorded. In these courses, the CFA was responsible for provision of lecturer and course ware making with such topics as "A Touch of Futures- Common Senses You Need to Know about Futures", "Those Happenings of Price - Speaking from Price Discovery Function of Futures Market", "How to Play Futures Market - Selection of Tools for Avoiding Risk Fluctuation Risks", etc. Now, The courses under post-production were presented via satellite and network of China Central Agricultural Broadcasting and Television School in June 2013.

- 5月16日,协会领导与来访的上海期货交易所、上海综合保税区管委会、浦东新区金融服务局、上海综合保税区联合发展有限公司等单位的领导进行了充分交流,就风险管理服务子公司相关政策、业务发展情况等进行了沟通,双方表示将加强合作,更好服务在当地注册的风险管理服务子公司。

- On 16 May, the CFA leadership made good communication with the visiting leaders from Shanghai Futures Exchange, Administration Committee of Shanghai Comprehensive Free Trade Area, Financial Services Bureau Shanghai of Pudong New Area and Shanghai Comprehensive Free Trade Area Joint Development Limited on

related policy and business development of risk management service subsidiaries. Both parties expressed their willing for further cooperation to give better service for the local registered subsidiaries.

- 5月18日,2013年第二次期货从业人员资格考试在全国35个城市举行,共计报名32252人、45280科次;其中,期货基础知识通过率为39.47%,期货法律法规通过率为42.73%,期货投资分析通过率为16.19%。

- On 18 May, the Second Futures Practitioners Qualification Examination of 2013 was held in 35 cities around China with 32,252 applicants and 45,280 numbers of subjects; pass rates of futures basic knowledge and futures laws and regulations were 39.47% and 42.73% respectively and around 16.19% of applicants passed these two subjects.

- 5月21日,协会召开2012-2013年度期货后备人才培养工作总结视频会议。北京、上海、大连、山东、湖南等五家地方协会提交了期货后备人才培养工作总结报告和财务决算报告,并详细汇报了工作开展情况及取得的成效。

- On 21 May, the Video Session for Work Summary of Reserve Futures Talent Cultivation of 2012-2013 was held. Five local associations from Beijing, Shanghai, Dalian, Shandong and Hunan submitted their work summary reports of reserve futures talent cultivation and financial account reports and made detailed reports on work progress and achievements.

- 5月22日,协会召开了“培育产业客户专题视频会议暨研究推进小组第一次工作会议”,讨论了工作小组的主要任务、人员分工和进度安排。日前,为有效推进培育产业客户和机构投资者工作,协会成立了培育产业客户与机构投资者工作组,下设研究推动、评选表彰和服务支持三个小组。

- On 22 May, the "Special Video Meeting of Industrial Client Cultivation & First Session of Study Promotion Group" was held to discuss the main tasks, division of labor and schedules of the work group. Currently, to effectively promote the industrial client and institutional investor cultivation, the CFA established Work Group of Industrial Client and Institutional Investor Cultivation, subordinated with three groups of

study promotion, appraisal and commend and service support.

- 5月28日, 协会网站改版评审会在北京召开, 为保证网站改版项目的科学、合理、公正、公开, 会议邀请监管部门及行业信息技术有关专家参与了评审工作, 并通过邀标方式确定了协会网站改版技术方案及软件开发商。

- On 28 May, Review Meeting of CFA Website Revision was held in Beijing, where supervision department and relevant IT experts of the industry were invited to review, and technical proposal of website revision and software developers were determined through bid invitation to ensure a scientific, reasonable, fair and open website revision project.

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六月

June

- 6月5日, 协会第三届理事会信息技术委员会第五次会议在上海举行, 信息技术委员会委员参加了会议, 会议主要就《期货公司信息技术管理指引》及《期货公司网上期货信息系统技术指引》修改方案等四个议题进行了讨论, 并对相关议题提出具体建议, 会后成立工作小组继续完善相关内容。
- On 5 June, the Fifth Information Technology Commission Meeting of the Third Council of CFA was held in Shanghai with attendance of members of Information Technology Commission, where four topics such as revision proposal of Guideline of Information Technology Management of Futures Companies and Guideline of Information System Technology of Online Futures of Futures Companies were discussed, and detail suggestions to relevant topics were put forward. And a task group was set up to further improve relevant issues.
- 6月6-7日、25-26日, 协会分别于上海和长沙组织开展了期货公司信息化与信息安全培训班, 围绕证券期货业信息化与信息安全总体战略、保障管理办法及行业信息技术法规体系、信息安全事件报告与调查处理办法、信息技术监管工作、信息安全等级保护工作等内容, 对300名学员进行了培训和解读。
- On 6-7 & 25-26 June, CFA organized training

class of informatization of futures companies and information security in Shanghai and Changsha respectively, where informatization of securities and futures industries & overall strategy of information security, safeguard & management methods & legal system of industry information technology, report of information security events and investigation & handle methods, supervision of information technology, protection of information security level, etc. were explained to 300 trainees.

- 6月7日, 协会组织开展了“第八期中期协联合研究计划立项评审会议”, 经课题申请人现场陈述和专家小组评审, 最终确定八个课题的承担单位。
- On 7 June, CFA organized and held "The Eighth Review Meeting of Approval of CFA Joint Research Program", where undertaking units for eight subjects were finally determined after presentation of applicants and review of expert panel.
- 6月上旬, 协会经调研形成了《关于我国期货公司兼并重组有关情况的报告》, 并将调研成果上报证监会。
- In early June, CFA prepared Report on Merger and Reconstruction of China's Futures Companies through investigation and research, and reported results to CSRC.

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- 6月19 - 20日, 协会领导及相关部门参加了由证监会举办的“证券、期货、基金行业十年发展规划座谈会”, 就《中国期货业十年发展规划》提出了修改意见和建议。
 - On 19-20 June, leaderships of CFA and relevant departments attended "Forum of Decade Development Plan of Securities, Futures and Funds Industries" held by CSRC, where revision opinions and suggestions on Decade Development Plan of China's Futures Industry were put forward.
 - 6月22-23日, 协会与证监会党委宣传部联合开展了“七一”主题党日活动, 组织党员和积极分子赴湖南韶山和平江接受革命传统教育, 开展了重温入党誓词、向革命烈士敬献花圈等主题教育活动, 并组织全体党员向平江伍市小学50名贫困生捐献了书包等学习用品; 同时, 协会还以集体名义向该校捐资15万元, 用于校舍扩建以及危房改造项目。
 - On 22-23 June, the CFA and the publicity department of the Party committee of the CSRC organized "7.1" Party Activity. Party members as well as enthusiasts went to Shaoshan and Pingjiang in Hunan Province to learn from the past revolution, to review the CCP's Oath, to lay wreaths at the tomb of martyrs, etc. Meanwhile, all Party members donated bags and other school supplies to the 50 students of Wushi Primary School in Pingjiang and the CFA donated RMB 150,000 to the school for the expansion and reconstruction of the school building and dangerous building.
 - 6月26日, 协会召开金融衍生品视频课程第一次讲师选拔和课件统筹会议, 共有16位来自期货公司的人员参与了试讲工作。
 - On 26 June, the first selection of teachers and the meeting of courseware of the financial derivatives video courses were held with 16 people from futures companies taking part.
 - 6月27日, 协会与天津证监局、天津市期货业协会举办了“期货市场牵手产企”天津站宣讲活动。通过讲师授课、播放宣传片、互动讨论等环节, 吸引了来自天津及周边地区的80余家企业的150多名经营决策层负责人参加了本次活动。
 - On 27 June, the CFA, together with Tianjin Securities Regulatory Bureau and Tianjin Securities Regulatory Commission, organized the promotion activity of "Futures Market Cooperated with Production Enterprises" in Tianjin. Over 80 enterprises and more than 150 people in charge with operation decision from Tianjin and neighboring areas were attracted by the courses, promotion video, interactive discussion, etc.
 - 截止6月27日, 根据2013年度期货从业人员资格定期检查工作部署, 期货公司第一阶段自查工作已基本结束, 共向协会行业信息管理平台提交参检人员信息26127条。经对157家期货公司提交的自查报告进行审核, 协会对照期货保证金监控中心提供的期货公司工作人员违规开户交易进行了汇总分析, 并据此制定了现场检查阶段的工作重点。
 - By 27 June, following the work deployment of futures practitioners qualification regular inspection of 2013, futures companies had basically finished its self-inspection in the first stage with 26,127 pieces of information uploaded to the industrial information management platform of the CFA. The focuses of the field inspection were made according to the summary and analysis of the data of illegal accounts opening and transaction of futures practitioners provided by China Futures Margin Monitoring Center. The summary and analysis were based on the audit of the self-inspection reports from 157 futures companies.
 - 6月28日, 协会第三届理事会第十四次会议以视频形式召开, 会议选举范辉同志担任协会专职副会长, 审议通过了《关于连续交易的补充协议》。
 - On 28 June, at the 14th Meeting of the Third Council (Video Conference), Fan Hui was elected as the full-time vice chairman of the CFA and Supplemental Agreement of Continuous Trading passed the deliberation.
 - 6月份, 针对上海期货交易所推出黄金、白银连续交易制度, 协会制定了《关于连续交易的补充协议》, 用于规范和指导期货公司制定有关连续交易的合同文本。
 - In June, the CFA issued Supplemental Agreement of Continuous Trading to regularize and guide the continuous trading contract because of the continuous trading mechanism of gold and silver of Shanghai Futures Exchange.
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七月

July

- 7月1日,由协会主办的“第二届‘期望杯’高校期货论文大奖赛”正式启动。大奖赛的参赛对象为高等院校硕士研究生、博士研究生以及论文成绩特别优秀的本科生。截至7月底,共搜集相关论文900余篇,论文初选工作已接近尾声,下一阶段将组织进行论文复审和答辩。
- On 1 July, the CFA officially launched second 'Expectation Cup' College Futures Papers Award. Participants included postgraduate students and doctor students of institutions of higher learning and undergraduates who have made good marks in their papers. By the end of July, around 900 papers were collected and some of them were selected for further paper review and oral defense.
- 7月2日,协会与期货二部共同讨论修改了《中国期货业十年发展规划纲要(2013年-2022年)》(讨论稿)。
- On 2 July, the Decade Development Plan Summary of China's Futures Industry (2013-2022) (draft) was discussed and modified by the CFA and Future Department II.
- 7月3日,协会承办了期货会计核算修订工作会议。会议讨论了与期货会计制度和准则相关的15类问题,明确了任务分工和工作进度,为下一步期货会计核算修订工作打下了坚实基础。
- On 3 July, the CFA convened the futures accounting and revision meeting. Participants discussed 15 questions related to futures accounting system and standard and specified task division and work schedule so as to lay a solid foundation for further futures accounting and revision works.
- 7月6日,2013年第三次期货从业人员资格考试在全国35个城市举行,此次考试共计报名26962科次;期货基础知识通过率为40.30%,期货法律法规通过率为41.46%,两门科目都通过的比率为22.88%。
- On 6 July, 2013 third futures practitioners qualification examination was held in 35 cities around the country with subjects registration times of 26,962; pass rates of futures basic knowledge and futures laws and regulations were 40.30 % and 41.46% and around 22.88% of applicants passed these two subjects.
- 7月9日,协会地区培训学院建设暨2013年培训项目研讨会在北京举行,协会相关领导和11家地方协会的负责人参加了会议。会议主要就地区培训学院的组织形式与管理模式、近期重点培训项目以及各方权利义务等内容进行了讨论。
- On 9 July, related leaders of the CFA and principals of 11 local associations attended the CFA Regional Training College Construction and 2013 Training Projects Research Symposium in Beijing. Participants mainly discussed the organization types and management model of regional training colleges and recent key training projects as well as rights and obligations of all parties.
- 7月9日,协会召开了群众路线教育实践活动动员会议,就开展教育实践活动的重要意义、协会在作风方面存在的突出问题以及活动的总体安排进行了动员。
- On 9 July, the CFA convened the mobilization meeting for mass line educational practices to specify significance of education practices, prominent problems in work style of CFA and overall arrangements.
- 7月9日,协会召开党委中心组学习(扩大)会议,班子成员围绕中央以及证监会领导关于群众路线的有关讲话精神进行了学习讨论,并重点就协会存在的“四风”问题进行了交流。
- On 9 July, the Central Groups of Party Committees Enlarged Meeting was convened by the CFA to discuss and study the problem of "four styles" in operation of the CFA under the speech spirits related to mass line of CSRC leaders.

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- 7月15日,协会组织召开全体员工大会,在证监会第三督导组的指导下,完成了对协会党委班子以及成员的民主测评工作,并按照督导组要求,分别安排了班子成员与督导组的谈话。
 - On 15 July, the CFA Staff Meeting was held under instruction of CSRC third supervision group to complete democratic appraisal to CFA party committee and its members and to arrange communications among the members and supervision group under the requests of supervision group.
 - 7月16日,协会全体班子成员参加了张育军主席助理召开的半年工作汇报会,会后进一步修改完善了下半年工作计划。
 - On 16 July, all members of the CFA attended the half-year work report meeting presided by assistant of chairman, Zhang Yujun, and further modified and completed the work plan of next half year.
 - 7月17日,中期协第二期境外培训专题汇报会在北京举行,张育军主席助理出席会议并讲话。证监会期货一部、期货二部、国际部、人教部、保证金监控中心及协会有关领导和赴美、赴加、赴德研修班学员代表参加了会议。
 - On 17 July, Zhang Yujun attended the CFA second report meeting of overseas training in Beijing and made a speech. Attendees included leaders of the CFA and CSRC Future Department I, Future Department II, International Department, Personnel Education Department and Margin Monitoring Center as well as student representatives from American, Canadian and Germany training classes.
 - 7月19日,协会召开了“期货公司风险管理子公司综合信息管理系统”项目组第一次会议,正式启动项目研究工作。
 - On 19 July, first meeting was convened by the project group of the Comprehensive Information Management System of Risk Management Service Subsidiaries of Futures Companies to officially initiate project research work.
 - 7月24日,协会召开“境外场外商品衍生品研究”课题组第一次会议,启动课题研究工作。
 - On 24 July, the CFA convened the first meeting of "Foreign Products and Derivatives" research group to launch subject research work.
 - 7月31日,协会在北京召开2013年联系会员座谈会,会议就当前期货市场形势进行了分析,同时传达了监管部门的工作思路,讨论了今年下半年的重点工作。会议对加强协会联系会员之间的沟通交流、推动期货行业创新发展起到了积极作用。
 - On 31 July, the 2013 Associate Member Forum was held by the CFA in Beijing and participants analyzed current futures market and communicated work ideas of supervision departments as well as discussed key works of next half year. The meeting strengthened communication and exchange among associate members of the CFA and pushed forward innovation progress of futures industry.
 - 7月30日,协会发布了《关于做好2013年度期货从业人员资格现场检查相关准备事项的通知》,正式启动第二阶段的工作,拟对74家公司进行现场检查。
 - On 30 July, the Notice on Preparations of On-site Inspection for Futures Practitioners Qualification was issued by the CFA to initiate second-stage work to conduct on-site inspection to 74 companies.
 - 7月下旬,协会在网站上披露了2012年度期货公司财务信息,包括注册资本、净资本、净资产、客户权益、手续费收入和净利润六项指标。期货公司财务信息披露有利于有进一步提升行业信息的透明度,促使期货公司做优做强,增进投资者对行业的了解和监督,保护投资者的合法权益。
 - In late July, the CFA disclosed the 2012 financial information of future companies on its website with six indexes of registered capital, net capital, net asset, customer benefit, income from commission charge and net profit. The disclosure will further promote the transparency of the industry, which urges the companies to improve their performance, increases investors' understanding and supervision of the industry and protects investors' legal interests.
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八月

August

- 8月1日,由协会组织编写的《金融衍生品丛书》首发式在京举行。本次推出的金融衍生品丛书有《国债期货》、《外汇期货》、《场外衍生品》、《金融期权》和《结构化产品》和《金融衍生品习题集》6册书。张育军主席助理为本书作序。
- On 1 August, the debut of series books Derivatives that was compiled by the CFA was made in Beijing. Derivatives consist of 6 books, Treasury Bond Futures, Foreign Exchange Futures, OTC Derivatives, Financial Options, Structured Products and Workbook of Derivatives. Zhang Yujun, the Assistant of Chairman, wrote the foreword.
- 8月1-2日,协会与中国证监会投资者保护局、期货二部共同举办的“期货投资者保护研讨会暨专题培训班”在北京举行,吴利军主席助理出席会议并讲话。会议安排了研讨和培训两个环节,并组织了期货行业投资者保护与教育服务产品和活动展览。参会人员包括来自投保局、期货二部、证监局、期货保证金监控中心、期货交易所、香港投资者教育中心、地方协会和期货公司的代表共计200余人。
- On 1-2 August, Seminar (Training Course) of Futures Investors Protection was held in Beijing by the CFA, Investor Protection Bureau and Futures Department II of CSRC. Wu Lijun, the Assistant of Chairman, attended the seminar and made his speech. The seminar provided not only opportunities for the discussion and training but also for the exhibition of products and activities of the protection and education service of futures investors. Over 200 people in total took part in the seminar with representatives from Investor Protection Bureau, Futures Department II, securities regulatory bureaus, China Futures Margin Monitoring Center Co., Ltd., futures exchanges, Hong Kong Investor Education Center, local commissions and future companies.
- 8月5-9日,协会召开2013年期货从业资格考试年中工作总结会议,20余名命题专家、考务人员以及协会相关人员参加了会议。会议总结了2013年上半年期货从业资格考试工作,对2013年下半年命题计划、2014年考试计划以及考务安全保障等工作进行了探讨。
- On 5-9 August, the Midterm Work Summary Conference of Futures Practitioners Qualification Examination 2013 was held with participants of over 20 question setters, examination staff and relevant staff of the CFA. The work in the first six months of 2013 was summarized and the question setting plan in the last six month of 2013, the examination plan of 2014, examination safety and other affairs were discussed.
- 8月9-15日,“期货公司风险管理服务子公司综合信息管理系统建设”课题组举行第二次会议,就期货公司风险管理服务子公司业务分类定义、数据报送、业务审核等内容开展讨论研究。
- On 9-15 August, the research group of the Construction of Comprehensive Information Management System of Risk Management Service Subsidiaries of Futures Companies held its second conference with the topics related to the subsidiaries including the category and definition of the business, data delivery, business audit, etc.
- 8月9-15日,“境外场外(商品)衍生品市场运作模式及发展经验与借鉴”课题组举行第二次会议,就境外场外衍生品市场的运作模式、参与主体、合规风控以监管等相关内容开展研究。
- On 9-15 August, the research group of Borrowing the Development Experience and Operating Patterns of Foreign Derivatives (Products) OTC Market held its second conference with the topics of operating patterns, participants, compliance, risk control, monitoring, etc.
- 8月12日,协会召开了第三届理事会第十五次会议(视频会议),会议审议通过了《关于开展会员发展工作的报告》、《〈期货经纪合同〉指引(修改草案)》、

《期货公司执行金融期货投资者适当性制度管理规则（草案）》、废止《期货经纪公司电子化交易指引》、《股指期货交易特别风险揭示》和《关于连续交易的补充协议》等议题。

- On 12 August, the 15th Meeting of the Third Council (Video Conference) was convened. In the meeting, Report on the Development of Membership, Guidance of Futures Brokerage Contract (Draft Amendment) and Provisions on the Implementation of the Investor Suitability System of Financial Futures by the Future Companies (Draft) passed the deliberation while Guideline of Electronic Transaction of Futures Brokerage Companies, Disclosure of Special Risk of Stock Index Futures, Supplemental Agreement of Continuous Trading, etc. lost efficacy.
- 8月16日, 协会培育产业客户与机构投资者工作组—研究推进小组在大连召开第二次工作会议, 会议分析了重点品种相关规则的改进建议, 并对下一步工作进行了安排。
- On 16 August, task group / research promotion group of Nurturing Industrial Customers and Institutional Investors held its second meeting with the research topic of improvement suggestions of regulations related to major categories and the arrangement of the following work.
- 8月上旬, 为配合国债期货上市, 协会完成了《<期货经纪合同>指引》和《期货公司执行股指期货投资者适当性制度管理规则（试行）》的修订工作, 并经协会经第三届理事会第十五次会议审议通过后报中国证监会备案。《指引》是行业性的合同示范文本, 按照《期货公司管理办法》规定, 各期货公司应当根据自身经营管理的实际需要, 参考《指引》更新本公司期货经纪合同的格式文本, 并报协会备案审查。
- In early August, to support the marketing of treasury bond futures, the CFA completed the amendment of Guidance of Futures Brokerage Contract and Provisions on the Implementation of the Investor Suitability System of Stock Index Futures by the Future Companies (Trail) which passed the deliberation at the 15th Meeting of the Third Council and were put on record in China Securities Regulatory Commission. The Guidance is the model text of contract which shall be followed by the futures companies while renewing and updating the contracts according to the companies' needs of operation and

management under the requirement of Measures for the Administration of Futures Companies. The renewed or updated contract shall be put on record in the CSAC for investigation.

- 8月中上旬, 根据协会群众路线教育实践活动的统一部署, 协会领导班子成员分别组成了7个调研工作小组, 赴北京、上海、浙江、深圳等15个地区开展了实地调研活动, 重点围绕“四风”问题, 向证监局、期货公司、地方协会等单位广泛征求意见建议, 共收到反馈意见80余条, 为查摆问题奠定了扎实基础。
- In early August, following the deployment of the mass line educational practices, the leadership of the CFA formed 7 research groups heading towards Beijing, Shanghai, Zhejiang, Shenzhen and other 11 regions for field survey with the focus on the problems of "four styles". They collected more than 80 pieces of feedback from securities regulatory bureaus, futures companies, local commissions and other organizations, laying a solid foundation for the investigation of the problems and self-discipline.
- 8月中下旬, 协会开展了2013年期货从业人员现场检查, 工作人员组成了6个小组, 分别检查了全国11个省市、21个城市的73家期货公司, 检查重点主要是从业人员资格管理、培训以及合规执业行为情况。
- During the mid and late August, the CFA launched the field investigation of futures practitioners of 2013. 6 task groups investigated 73 futures companies in 21 cities of 11 provinces, focusing on qualification management, training and business compliance of futures practitioners.
- 8月份, 协会启动了纪律惩戒程序, 对在期货从业人员资格定期检查中发现的违规开户交易的期货从业人员进行立案处理, 并已向涉嫌违规人员和期货公司发送了《立案通知书》。下一步, 协会将按照《中国期货业协会纪律惩戒程序（修订）》的规定, 召开纪律委员会, 做出纪律惩戒决定。
- In August, the CFA launched the disciplinary procedure against futures practitioners who were found opened accounts or conducted transactions illegally in the regular investigation of their qualifications. Notices of Case-filing were sent to relevant practitioners and companies. In the following period, the CFA was going to follow the provisions stipulated in Disciplinary Procedure

of China Futures Association (Amendment) and convene disciplinary committee to make punishment decision.

- 8 月份, 根据证监会要求, 经认真研究, 协会完成了“关于《期货法》立法需求意见的报告”并上报证监会。
- In August, under the requirement of the CSRC and with careful research, the CFA completed the Report on the Advice of Legislative Demands about Futures Law and sent it to the CSRC.
- 8 月份, 为落实证监会党委关于群众路线教育实践活动的有关要求, 协会分别针对学习教育、听取意见和查摆问题、批评和自我批评等环节制定了具体实施方案, 先后组织开展了 2 次党委中心组学习扩大会议和 2 次专题党委会会议, 向证监会相关部门、系统相关单位以及 158 家期货公司会员和 34 家地方协会会员发布了征求意见函, 组织召开了 19 次调研、座谈会, 并在协会内部开展了充分的谈心交流活动。在梳理讨论反馈意见的基础上, 协会重点分析了协会班子在“四风”方面存在的突出问题。
- In August, in order to implement the relevant requirements of the Party Committee of the CSRC regarding to mass line educational practices, the

CFA made specific implementation plans of study and education, advice collection, investigation and self-discipline, criticism and self-criticism, etc., organizing 2 enlarged conformances and 2 Party Committee conferences, mailing letters of assumption to departments related to the CSRC, relevant organizations in the system, 158 futures companies as well as 34 local member commissions, holding 19 investigations, surveys and seminars, and carrying out sufficient communication activities. On the bases of the sorting out of and the discussion about feedback, prominent problems of the CFA in terms of "four styles" were put on the spot.

- 截至 8 月底, 由协会主办的“第二届‘期望杯’高校期货论文大奖赛”共收集论文 854 篇, 经评审委员会专家初审, 共有 169 篇入围复审, 60 篇优秀论文进入答辩环节。
- By the end of August, at the Second "Expectation Cup" Futures Papers Competition of Colleges and Universities, 854 pieces of essays were collected with 169 of them passing the preliminary evaluation of the review committee and 60 students entering the thesis defense procedure with their excellent works.

9

九月

September

- 9 月 1-10 日, 协会在厦门举办了第一期金融衍生品高级研修班。研修班借助厦门大学在金融衍生品学术研究与人才培养领域的领先优势, 对学员进行了金融衍生品专业培训和实务培训。
- On 1-10 September, the First Phase of Senior Training Class of Financial Derivatives was convened in Xiamen. Taking the advantages of the cutting-edge research of financial derivatives and personal training of Xiamen University, the class offered professional and practical trainings of financial derivatives.
- 9 月 6 日, 由证监会会计部和期货二部主办, 协会承办的 2013 年“期货公司年报分析和财务管理工作座谈会”在北京召开。证监会会计部和协会有关负责同志出席会议并讲话, 参会人员包括期货公司的财务负责人、部分证监局和地方协会的代表共计 160 余人。
- On 6 September, the Forum of the Analysis of Annual Report and Financial Management of Futures Companies 2013, sponsored by the accounting department of the CSRC and Futures Department II and undertook by the CFA,

was convened in Beijing. Staff in responsible positions in the accounting department of the CSRC and the CFA delivered their speeches. The participants totaled more than 160 including financial administrators of futures companies and representatives of local securities regulatory bureaus and local commissions.

- 9月7日，受证监会会计部和期货二部的委托，协会在北京召开了“期货会计核算办法修订第二次会议”。会议由会计部李军副主任主持，证监会会计部、期货二部、协会和部分地方证监局、期货交易所、期货公司及会计师事务所等单位出席了会议，并围绕会计核算办法相关主题逐一进行了讨论。

- On 7 September, entrusted by the two organizations above mentioned, the CFA hosted the Second Conference of the Revision of the Futures Accounting Methods in Beijing. Hosted by Li Jun, the deputy director of the accounting department, the meeting embraced participants from the accounting department and Futures Department II of CSRC, the CFA, some local securities regulatory bureaus, futures exchanges, futures companies, accounting firms, etc. and topics related to accounting methods were discussed one by one.

- 9月7日，2013年第四次期货从业人员资格考试在全国35个城市举行，共计报名28552人、报考40110科次；其中，期货基础知识科目通过率为36.53%，法律法规科目通过率为27.00%，两科均通过的比率为15.56%；参加期货投资分析科目考试的有6902人，通过率为4.46%。

- On 7 September, the Forth Futures Practitioners Qualification Examination of 2013 was held in 35 cities around the country with 28,552 applicants and subjects registration times of 40,110; pass rates of futures basic knowledge and futures laws and regulations were 36.53% and 27.00% respectively with 15.56% of applicants passed both subjects; 6,902 applicants attended the examination of investment analysis of futures with a pass rate of 4.46%.

- 9月9-10日，协会组织召开了2013年《期货公司信息技术管理指引》检查及抽查审核会议，证监会、交易所、保证监控中心和协会的相关同志参加了会议；审核会共分2个小组，分别对7个检查组共计50家期货公司进行技术等级审核，并提出了审核结果及建

议。

- On 9-10 September, Examination and Random Inspection Conference of the Guideline of Information Technology Management of Futures Companies 2013 was organized and hosted by the CFA and embraced participants from the CSRC, exchanges, Futures Margin Monitoring Center and the CFA; there were two groups in the audit committee that specialized in the technology level audit against 7 groups of companies with a total number of 50. The committee would also offer suggestion for improvement.

- 9月10-11日，协会“期货公司风险管理服务子公司综合信息管理系统方案专项课题组”举行第三次工作会议，就子公司数据报送格式、统计分析、风险监测等问题进行了讨论，并形成了初步研究成果。

- On 10-11 September, the special research group of the Project of Comprehensive Information Management System of Risk Management Service Subsidiaries of Futures Companies held its third working conference to discuss problems such as data delivery format, analysis of statistics and risk monitoring of subsidiaries and reached some initial results.

- 9月11-13日，协会举办了金融衍生品视频课程试讲会议。20多位来自各期货公司的专业人士就国债期货、外汇期货、金融期权、场外衍生品、结构化产品共20门课程进行了试讲。

- On 11-13 September, the Conference of Trial Lecture of Financial Derivatives Video Courses was convened by the CFA. Over 20 specialists from various futures companies taught about 20 courses including treasury bond futures, foreign exchange futures, financial options, OTC derivatives and structured products.

- 9月11-14日，第23期期货公司高管人员任职资质测试在北京友谊宾馆举行。参加此次测试人员共计104人，最终通过86人，总通过率82.69%；其中拟任董监事层通过率为100%，经理层通过率为79.41%，首席风险官通过率为71.43%。

- On 11-14 September, the 23rd Session of Job Qualification Test of Executives of Futures Company was held at the Friendship Hotel in Beijing. Among 104 participants, 86 passed the test with a pass rate of 82.69%; directors to be appointed boasted a pass rate of 100% while

managers followed with a pass rate of 79.41% and CRO, 71.43%.

□ 9月16-18日，协会组织召开《期货公司信息技术管理指引》及细则修订会议，部分行业专家和参与2013年现场检查的检查组组长参加了会议；会议结合近年来期货行业信息技术发展情况及指引检查过程中发现的问题，对《指引》及细则中的部分条款提出了修订意见。

□ On 16-18 September, the CFA hosted the revision conference of the Guideline of Information Technology Management of Futures Companies and its detailed rules and regulations with some specialists and the team leader of the inspection team 2013 attending the conference; in the conference, the participants offered their advice on the revision based on the development of information technology in futures industry in recent years and problems probed in the inspection.

□ 9月25日，协会召开“境外场外（商品）衍生品市场运作模式及发展经验与借鉴研究专项课题组”第三次工作会议（视频），就第二阶段研究内容和分工进行了讨论和安排。

□ On 25 September, the special research group of Borrowing the Development Experience and Operating Patterns of Foreign Derivatives (Products) OTC Market held its third (Video) conference to discuss and arrange the research content and work division in the second stage.

□ 9月27日，协会商请中国期货保证金监控中心召开了建立期货公司从业人员违规开户交易查询机制研讨会，围绕从业人员违规开户交易查询机制等议题进行了探讨。

□ On 27 September, China Futures Margin Monitoring Center Co., Ltd. was invited by the CFA to host the seminar of establishing searching mechanism of illegal accounts opening and transaction of practitioners of futures companies with the main topic of this mechanism.

□ 9月30日，协会宣传片制作完成。宣传片主要立足于协会自律、服务、传导三大功能，用视频语言概括了协会的主要工作。

□ On 30 September, the promotion video of the CFA was completed. With the cores of three functions, i.e. self-discipline, service and convey, the video portrayed the major work of the CFA,

□ 9月，协会基本完成了2013年度期货从业人员资格检查工作，共计对74家期货公司进行了现场检查，检查了20707名员工信息平台录入信息及19982名从业人员的合规执业情况，完成了对行业信息管理平台25805名参检人员的初审，并对2013年度期货从业人员资格定期检查工作进行了总结。

□ By September, the CFA conducted field inspection at 74 futures companies, checked the online data of 20,707 staff on the information platform, investigated the compliance of 19,982 practitioners, completed the preliminary audit of 25,805 participants of industrial information management platform and summarized the regular inspection of futures practitioners qualification of 2013, completing most of its work related to the futures practitioners qualification in 2013.

□ 9月，根据证监会《期货法》立法工作组关于立法工作的任务安排，协会经与期货保证金监控中心协调后起草了《期货市场及行业整体情况综述》，对国内及国际期货市场及行业的总体状况进行了全面、细致的收集整理，为《期货法》立法提供了详实的背景资料。

□ In September, according to the arrangement of legislative work of the CSRC legislative task group of Futures Law, the CFA, after the consultation with China Futures Margin Monitoring Center Co., Ltd., drew the General Summary of the Overall Situation of Futures Market and Industry which provided a thoroughly and deliberately collected and organized information of the overall situation of domestic and foreign futures market and industry, offering full and accurate data for the establishment of Futures Law.

10

十月

October

- 10月12日, 协会联合大连市期货业协会举办了2013—2014年度大连地区期货后备人才培训活动启动仪式。协会相关负责领导出席活动并作专题讲课。
- On 12 October, CFA cooperated with Futures Association of Dalian to convene opening ceremony of 2013-2014 training of Dalian futures reserve talents. Relevant responsible leaderships were present and gave special lectures.
- 10月16日, 民政部民间组织服务中心贾卫处长带领7名专家到协会进行现场考察, 对协会近年来在基础设施建设、内部治理、行业自律、会员服务等方面取得的成果给予了充分肯定, 对协会在人才培养、诚信建设、投资者教育、信息技术建设等方面开展的特色工作给予了高度评价, 并希望协会今后继续加大宣传力度, 力争成为引领行业协会发展的标杆。此次考察是民政部社团组织评估的重要环节之一, 也是协会根据民政部和证监会要求参加社团组织评估的阶段性总结。通过参加评估, 协会切实达到了加强自身建设、提高能力水平、规范内部管理、促进科学发展的目的。
- On 16 October, Jia Wei, department head of service center of non-governmental organization of Ministry of Civil Affairs of the People's Republic of China led 7 experts for site inspection. Achievements on infrastructures, internal governance, self-regulation, member service, etc. in recent years were fully approved, and special work on talent cultivation, construction of honesty and faithfulness, investor education, IT construction, etc. was highly evaluated. Also it is hoped that CFA would continue to strengthen publicity, and strive to become an example to development of association. The inspection was one of the important links of evaluation of association and organization by Ministry of Civil Affairs, and was also the stage summary of evaluation of association and organization by CFA required by Ministry of Civil Affairs and CSRC. CFA exactly achieved the aim of strengthening self-construction, improving level of capacity, standardizing inner management and promoting scientific development through the evaluation.
- 10月17日, 协会派员参加期货一部在大连举行的“期权推进工作座谈会”, 并在会上提出了加快推进期权筹备工作的建议。
- On 17 October, CFA appointed staff to attend "Forum of Option Promotion" held by Futures Department I in Dalian, and proposed ways to accelerate option preparation.
- 10月17-25日, 第二期金融衍生品高级研修班在厦门举行。培训班邀请金融工程教学和研究方面的权威专家郑振龙及陈蓉教授、长江商学院金融学教授欧阳辉进行授课, 授课内容主要包括金融衍生产品定价、固定收益证券、期权交易策略及应用、风险管理与金融计量等。本次培训有来自74家期货公司的84名学员参加, 在第一期的基础上对授课内容进行了补充和完善, 加大了实务层面的培训, 同时增加了分组进行产品设计并交流点评的环节, 以进一步提高学员的实际应用能力。
- On 17-25 October, The Second Senior Training Class of Financial Derivatives was convened in Xiamen. Zheng Zhenlong and Chen Rong, leading experts on financial engineering teaching and research, and Ou Yanghui, finance professor of CKGSB, were invited to give lectures which mainly include pricing of financial derivatives, fixed-income securities, strategy and application of option transaction, risk management, financial econometrics, etc. 84 trainees from 74 futures companies were present. Supplement and improvement were made to lectures on the basis of the first phase. Training on practice was strengthened, and groups were added for product design and communication & review, thus further enhancing application capabilities of trainees.
- 10月24日, 协会与证监会期货一部联合召开期货公司座谈会。会议分别听取了中国国际、中粮期货等6家期货公司代表发言, 就监管转型、市场运行、交易所规则等议题进行了较为深入的沟通交流。

- On 24 October, Forum of Futures Companies was held by CFA and Futures Department I of CSRC. On the forum, participants listened to statements made by representatives from 6 futures companies such as CIFCO, COFCO, etc. respectively, in which in-depth communication was carried out on supervision transition, market operation, rules of exchanges, etc.
- 10月27日,由协会主办、北京物资学院承办的“2013年全国高校期货教学与人才培养研讨会”在北京物资学院举行,协会和北京物资学院的有关领导出席会议并致辞。来自国内50余所高校的领导和教师,四家期货交易所、30余家期货公司、以及数十家地方协会的有关负责人共计130余位嘉宾参加了会议。研讨会围绕高校期货学科建设与教学工作经验交流、期货“产学研”一体化、期货后备人才培养等主题展开。
- On 27 October, "2013 Seminar on Futures Education and Talent Cultivation in Nationwide Universities" sponsored by CFA and undertaken by Beijing Wuzi University was held in Beijing Wuzi University, where relevant leaderships of CFA and Beijing Wuzi University were present and addressed. Over 130 distinguished guests, including leaderships and teachers from over 50 universities in China, relevant principals from 4 futures exchange, over 30 futures companies and dozens of local associations, attended the seminar. The seminar centered on experience exchange of construction of futures discipline and teaching in universities, integration of "industry-university-research cooperation" of futures, cultivation of futures reserve talents, etc.
- 10月27日,由协会主办的第二届“期望杯”高校期货论文大奖赛颁奖仪式在“2013年全国高校期货教学与人才培养研讨会”期间举行。本次大奖赛一共收到来自近200所院校及研究院的800多篇参赛论文,经过初审、复审、答辩三个环节,最终评选出45篇获奖论文。
- On 27 October, Award Ceremony of the Second "Expectation Cup" Futures Papers Competition of Colleges and Universities sponsored by CFA was held during "2013 Seminar on Futures Education and Talent Cultivation in Universities Nationwide". In the competition, 45 papers were finally chosen from over 800 participating papers from approximately 200 colleges and universities after preliminary examination, review and defense.
- 10月31日,湖南金融机构国债期货培训会在长沙成功举办,协会作为支持单位为此次培训提供课程设计和师资支持,分别从知识、市场、机构等不同角度全方位介绍了国债期货,在国债期货短训方面做出了有益探索。来自湖南省银行、证券、期货、基金、信托、保险机构的分管领导、相关业务部门负责人、相关业务专业人员和营业部负责人等400人参加了培训。此次培训会由湖南证监局、湖南省金融办、湖南银监局、中金所联合主办。
- On 31 October, Training Session on National Debts and Futures of Hunan Financing Institutions was successfully held in Changsha, which was supported by CFA with curriculum design and teachers. In the session, national debts and futures were comprehensively introduced from different perspectives of knowledge, market, organization, etc. respectively, making useful exploration in short training of national debts and futures. 400 trainees, including branched leaderships, principals of relevant business departments, professionals of relevant business and business principals from banks, securities, futures, funds, trust and insurance institutions, participated in the training. The training was jointly sponsored by China Securities Regulatory Commission (Hunan Office), Financial Affairs Office of Hunan Provincial People's Government, China Banking Regulatory Commission (Hunan Office) and China Financial Futures Exchange.
- 截至10月底,针对期货从业人员检查工作中发现的违规开户交易行为的48名从业人员,协会纪律委员会根据情节轻重分别给予暂停从业资格12个月或撤销从业资格并在3年内拒绝受理从业资格申请的纪律惩戒;对允许员工在本公司开户交易的2家期货公司及员工持有本公司账户并在2011年因同样问题被处理的3家期货公司给予训诫的纪律惩戒。
- As of October, disciplinary committee of CFA has taken disciplinary action against 48 practitioners involved in illegal account transactions detected in futures practitioners' inspection with 12-month suspension of the qualification or cancel of qualification and refusal of qualification application within 3 years according to seriousness of the case, and against 2 futures companies that allowed staff with account transactions in the company and 3 futures companies that allowed staff to hold company's account and were punished for the same reason in 2011 with admonish.

11

十一月

November

- 11月5日,协会发布《关于邀请加入期货业协会的函》,启动新会员发展工作。截止12月6日,期货保证金监控中心及34家证券公司向协会提出了入会申请。
- On 5 November, CFA issued Letter on Invitation to Join Futures Association, and launched development of new members. As of 6 December, China Futures Margin Monitoring Center Co., Ltd. and 34 securities companies have applied to CFA for membership.
- 11月6日,协会在南京召开江苏辖区中小期货公司座谈会。会议分别听取了江苏辖区中小期货公司代表的发言,就行业热点问题、中小期货公司角色定位、发展路径以及对协会工作的意见建议等内容进行了深入的沟通交流。
- On 6 November, CFA hold Forum of Jiangsu Small and Medium Futures Companies in Nanjing. On the forum, participants listened to statements made by representatives from Jiangsu small and medium futures companies respectively, in which in-depth communication was carried out on hot industry issues, role definition of small and medium futures companies, development path, suggestions to CFA's work, etc.
- 11月6日,协会在北京组织召开2013年信息技术指引检查及抽查评审会议。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最终评审。
- On 6 November, CFA held 2013 Review Meeting of IT Guide Examination and Spot Examination in Beijing. On the meeting, participants listened to audit opinions and improvement suggestions to each futures company by audit committee, and carried out a final review of audit results.
- 11月9-17日,第三期金融衍生品高级研修班在厦门举行。本次培训有来自61家期货公司的90名学员参加。至此,三期研修班共培养学员235名,其中205人通过了考试,合格率达到87.2%,为行业培养了一批金融衍生品领域,特别是期货公司资产管理和风险管理产品设计方面的高端专业人才。
- On 9-17 November, The Third Senior Training Class of Financial Derivatives was convened in Xiamen. 90 trainees from 61 futures companies participated in the training. Up to now, 235 trainees have participated in three phases of training classes altogether, among which 205 have passed exams (87.2 % of pass), cultivating a group of high-end professional talents for financial derivatives, especially for assets management & risk management and product design of futures companies.
- 11月15日,由中期协主办、湖南省期货业协会承办的2013-2014年度“湖南地区期货后备人才培训班”在湖南长沙开班。协会、湖南证监局和当地高校的有关领导出席开班仪式。
- On 15 November, 2013-2014 "Training Class of Hunan Futures Reserve Talents" sponsored by CFA and undertaken by Hunan Futures Association was held in Changsha City, Hunan Province. Relevant leaderships of CFA, China Securities Regulatory Commission (Hunan Office) and local universities were present at the opening ceremony.
- 11月16日,2013年第五次期货从业人员资格考试在全国35个城市举行,共计报名23591人、报考36243科次。其中,参加期货基础知识科目考试的有12252人,参加期货法律法规科目考试的有13035人,两门科目均通过的比率为29.10%。
- On 16 November, the fifth qualification test of futures practitioners was conducted in 35 cities nationwide in 2013, where 23,591 personnel signed up with subjects registration times of 36,243. In the test, those took part in test of futures basic knowledge and test of futures laws and regulations were 12,252 and 13,035 respectively with 29.10% of pass rate of both subjects.

- 11月21日,协会与期货保证金监控中心就建立期货公司员工开户查询机制召开了第二次工作会议,双方就建立开户查询机制及后续具体工作的落实达成了一致意见。
- On 21 November, CFA joint with China Futures Margin Monitoring Center Co., Ltd. held the second meeting on establishment of query mechanism of account opening by staff in futures companies, and both parties made an agreement on establishment of query mechanism of account opening and implement of subsequent specific work.
- 11月25日,根据中国证监会党委和第三督导组的要求,协会组织召开了以“牢记宗旨,改进作风,将协会真正建成‘会员之家’”为主题的党的群众路线教育实践活动专题民主生活会。协会班子全体成员以及证监会第三督导组组长韩燕、成员雍旭同志参加了会议,协会部门副主任以上人员列席了会议。会上,协会班子成员分别就党委班子以及个人的对照检查材料进行了简要说明,并逐一开展了深刻的批评和自我批评,会议质量和成果得到了督导组的高度评价。
- On 25 November, CFA held special democratic life meeting of educational practice of Party's mass line with the topic of "remember well aims and improve style to build CFA as 'home of members'" required by Party committee of CSRC and the third supervise group. All members of CFA, Han Yan, group leader of the third supervise group of CSRC, and Yong Xu, member of the third supervise group of CSRC, attended the meeting, and department deputy directors of CFA and above attended as a nonvoting delegate. On the meeting, members of CFA briefly described contrast check materials between Party committee and individual respectively, and carried out profound criticism and self-criticism one by one, whose quality and results were highly evaluated by supervise group.
- 11月26日,协会召开全体员工大会,通报了党委班子专题民主生活会的情况。
- On 26 November, the CFA Staff Meeting was held to report special democratic life meeting of Party committee.

12

十二月

December

- 12月3-4日,由中期协和深圳市人民政府联合主办的“第九届中国(深圳)国际期货大会”在深圳圆满召开。本届大会以“开放创新·合作共赢”为主题,围绕我国期货市场改革开放、创新发展、全球衍生品市场改革发展趋势等议题进行了深入交流和讨论,共吸引了来自政府机构、期货公司、境内外交易所、银行券商、高等院校等境内外参会者1000余人。本届大会充分发挥了专业化、高端化、国际化、市场化的国际衍生品行业交流平台的功能,受到了海内外媒体的高度关注,品牌效应和国际影响力进一步得到提升。
- On 3-4 December, "The Ninth China (Shenzhen) International Derivatives Forum" jointly sponsored by CFA and Shenzhen People's Government was successfully held in Shenzhen. With the topic of "Openness Innovation · Win-Win Cooperation", the convention was centered on reform and opening up of China's futures market, innovative development, reform and development trend of worldwide derivatives market, etc., and had a in-depth communication and discussion, which attracted over 1000 participants home and abroad

from governmental agencies, futures companies, domestic or foreign exchanges, bank securities, colleges and universities, etc. The convention gave full play to professional, high-end, international and market-oriented functions of communication platform of international derivatives industry, achieving high attention from media home and abroad with further improved brand effects and international influence.

- 12月4日, 协会在深圳召开期货公司风险管理服务子公司座谈会。永安期货、中粮期货、万达期货等八家期货公司的主要负责人参加了会议。会议围绕期货公司风险管理服务子公司服务实体经济, 特别是服务中小微企业和“三农”方面的经验、模式进行了探讨, 并就子公司当前在经营管理和业务发展方面所遇到的问题提出了意见建议。
- On 4 December, CFA held Forum of Risk Management Service Subsidiaries of Futures Companies in Shenzhen. Major principals from 8 futures companies such as Yongan Futures, COFCO, Wanda Futures, etc. attended the forum. The forum centered on service real economy of risk management service subsidiaries of futures companies, especially on experience and pattern of service SMMs and "issues of agriculture, farmer and rural area", and had a discussion. Also opinions and suggestions to problems in operation management and business development of subsidiaries were put forward.
- 12月12日, 协会组织召开了《期货公司信息技术管理指引》及细则第三次修订(视频)会议, 行业专家和部分参与2013年现场检查的检查组组长参加了会议。
- On 12 December, CFA held (Video) Meeting of the Third Revision of Guideline of Information Technology Management of Futures Companies and Detailed Rules and Regulations with the attendance of industry experts and part of group leaders of 2013 on-site inspection.
- 12月16-18日, 协会组织召开第四次《证券期货业信息系统托管基本要求》制定会议, 会议就信息系统托管的基本要求内容进行了讨论与修订。
- On 16-18 December, CFA held the Fourth Meeting of Preparation of Basic Requirements of Information System Trusteeship of Securities & Futures Industry, where basic requirements of

information system trusteeship were discussed and revised.

- 12月19-20日, 协会与证券业协会、基金业协会共同组织召开了第四届科技奖复审和终审会议, 相关领导和专家参加了会议。会议评选出拟授奖项目45项(一等奖1项、二等奖4项、三等奖12项、优秀奖28项), 其中, 期货公司拟获二等奖和三等奖各1项, 优秀奖7项。
- On 19-20 December, the Fourth Meeting of Review and Final Review of Science and Technology Award was organized and held by CFA, Securities Association of China and Asset Management Association of China with attendance of relevant leaderships and experts. On the meeting, 45 proposed awards (1 first award, 4 second awards, 12 third awards and 28 excellence awards) were chosen, in which 1 second award, 1 third award and 7 excellence awards were planned for securities companies.
- 12月20日, 由协会组织的“第三期境外培训情况专题汇报会”在证监会召开。中国证监会副主席姜洋、期货一部、期货二部及保证金监控中心的相关领导出席了会议, 认真听取了部分高管学员的境外培训成果和学习体会, 并就有关问题同汇报学员及相关部门互动探讨。
- On 20 December, "The Third Special Report Meeting of Overseas Training" organized by CFA was convened by CSRC. Jiang Yang, vice chairman of CSRC, and relevant leaderships of Futures Department I, Futures Department II and margin monitoring center present carefully listened to overseas training results and experience of study of part of senior executives, and interactively discussed related problems with reporting trainees and related departments.
- 12月23日, 协会第三届理事会第十六次会议在北京举行, 会议审议并原则通过《中国期货业协会2013年工作总结和2014年工作要点》(草案)、《中国期货业协会调解规则(草案)》、《中国期货业协会调解委员会工作办法(草案)》、《中国期货业协会调解员聘任管理办法(草案)》以及《中国期货业协会调解员守则(草案)》。会议还通报了协会近期与三家境外机构签署合作备忘录以及会员发展的有关情况。
- On 23 December, the 16th Meeting of the

Third Council of CFA was held in Beijing, where CFA Work Summary of 2013 and Work Key Point Report of 2014 (Draft), CFA Mediation Rules (Draft), Work Methods of CFA Mediation Committee (Draft), Employment and Management of CFA Mediators (Draft) and Rules of CFA Mediators (Draft) were deliberated and passed in principle. On the meeting, relevant conditions of Memorandum of Cooperation recently signed by CFA and three overseas organizations and development of members were reported.

- 12月26日,协会召开了“2013年度班子成员述职暨考核会议”,协会全体员工以及证监会人教部的有关同志参加了会议。为切实贯彻中央改进会风的精神,协会在会前向全体员工公示了班子成员的述职述廉报告,会上班子成员分别发言,并于会后开展了考核测评工作。
- On 26 December, CFA held "2013 Meeting of Members' Work Report and Assessment" with attendance of all members of CFA and relevant personnel of CSRC Personnel Education Department. To exactly implement the improvement of associations' ethos, CFA publicized work & integrity report of members to all staff before the meeting, where members made statements respectively, and assessment and evaluation were carried out after the meeting.
- 12月份,按照证监会关于2013年“12.4”全国法制宣传日系列宣传活动的要求,协会围绕“大力维护投资者权益,共建法制资本市场”主题,组织开展了内

容丰富、重点突出、形式多样的宣传活动,编写了违法违规案件通报,以教育和警示期货公司和从业人员合规守法。

- In December, required by series of propaganda activities under 2013 "12.4" China's Law Propaganda Day of CSRC, with the topic of "energetically safeguard investors' rights and interests, jointly build legal capital market", CFA organized propaganda activities with plentiful contents, highlighted key points and various forms, and prepared illegal case reports to educate and warn futures companies and practitioners to observe the law.
- 12月份,为落实群众路线教育实践活动的整改要求,协会本着立行立改的原则,分别成立了制度建设、责任追究和出版印刷品管理三个专项工作小组,研究制定和修订了责任追究、出版印刷品管理、网站管理、外事管理以及会议费、差旅费等九项内部制度。
- In December, to implement rectification requirements of educational practice of mass line, CFA established three special groups of system construction, responsibility investigation and published presswork management respectively with the principle of immediate action and correction, and prepared and revised nine internal systems of responsibility investigation, published presswork management, website management, external management and meeting expenses, business trip expenses, etc.



会员名录

Membership Directory



会员名录

Membership Directory

机构编号 Organization Name	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.	北京市朝阳区东三环北路 38 号院 1 号楼泰康金融大厦 22 层 2201 (100026) 2201 22F Taikang Financial Building, Block 1, Courtyard 38, North of East Third Ring Road, Chaoyang District, Beijing, 100026	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	国元期货有限公司 Guoyuan Futures Co., Ltd.	北京市东城区东直门外大街 46 号 1 号楼 19 层 1901 (电梯层 21 楼) 1901, 19/F (21/F for elevators), Building 1, No.46, Dongzhimenwai Avenue, Dongcheng District, Beijing	100027
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、28 层、31 层及 6F 室、10A 室、10F 室 26/F, 28/F, 31/F and Rm. 6F, 10A, 10F, 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 GDLDEN 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 FUTURESCO., 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	兴证期货有限公司 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	上海市虹口区东大名路 1080 号 21 层 01、02、03 室 Rm. 01, 02, 03, 21/F, No.1080, Dongdaming Road, Hongkou District, 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 3 楼 01、04 区、13 楼 E1-E3 区、E4-1 Zone 01, 04, Floor 3, Zone E1-E3 Floor 13, E4-1, Investment Building, No. 4009 Shennan Ave., 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	天风期货有限公司 TF Futures Co., Ltd.	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、3 楼) Floor 1, 2, 3, No.273, Yuanshen Road, Pudong District, Shanghai	200135
055G	恒泰期货有限公司 Hengtai Futures	上海浦东新区峨山路 91 弄 120 号 2 层 201 单元 Unit 201, Floor 2, No.120, Lane 91, Eshan Road, Pudong District, Shanghai	200127
056G	国投中谷期货有限公司 SDIC CGOG Futures Co., Ltd.	上海市虹口区东大名路 638 号五层 (200080) 5/F, No.638, Dongdaming Road, Hongkou District, Shanghai, 200080	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 201103 Floor 16, Building D, No.3, 686th Lane, Wuzhong Road, Shanghai, 201103	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 Zheshe 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	上海中期期货有限公司 Shanghai CIFCO Futures Co., Ltd.	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 No.1085, Pudong Ave., 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
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.	江苏省南通市青年东路 15 号锦峰大厦 301 室 Room 301, Jinfeng Building, No.15, Qingnian East 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	浙江省杭州市中山北路 310 号 3 层 12 层东 (310003) East, 3/F, 12/F, No.310, Zhongshan North Road, Hangzhou, Zhejiang, 310003	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, Tiyyuchang 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, Qishi Road, Hangzhou	310013
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

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
090G	大越期货有限公司 Dayue Futures Co., Ltd.	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 Futures	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 邮编: 310005 3/F, 6-10/F, Zhejiang Collaboration Building, No.208, Chaowang Road, Hangzhou, 310005	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	安徽省合肥市芜湖路 258 号 3 号楼 6-7 层、6 号楼 1-2 层 (230061) 6-7/F, Building 3, 1-2/F, Building 6, No.258, Wuhu Road, Hefei, Anhui, 230061	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	格林大华期货有限公司 Gelin Dahua Futures Co., Ltd.	北京市西城区金融大街 35 号 1 号楼 803-812 803-812, Building 1, No.35, Jinrong St, Xicheng District, Beijing	100032
111G	万达期货股份有限公司 Wanda Futures Co., Ltd.	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	上海市虹口区广纪路 738 号 1 幢 118 室 Room 118, Building 1, No.738, Guangji Road, Hongkou District, Shanghai	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
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

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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
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 Hoohey 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 Futures Co., Ltd.	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
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	厦门市湖滨南路国贸大厦 11 层、2 层 A1 单元、5 层 B1 单元、27 层 B 单元 Floor 11, Unit A1 Floor 2, Unit B1 Floor 5, Unit B Floor 27, Int'L Trade Building, Hubin South Road, Xiamen	361004
148G	中航期货经纪有限公司 China Aviation Futures Co., Ltd.	深圳市南山区粤兴二道 6 号武汉大学大厦深圳产学研大楼 B815 房 Room B815, Shenzhen Production and Research Building, Wuhan University Plaza, No.6, Yuexing Second Drive, Nanshan District, Shenzhen	518026
149G	中信期货有限公司 CITIC 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

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
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, Fuhuay Road, Futian District, Shenzhen	518048
152G	深圳金汇期货经纪有限公司 Nonfermet Commodities & Futures Agent Co., Ltd.	深圳市福田区深南大道 6013 号中国有色大厦 18 楼 18/F, China Non-ferrous Building, No.6013, Shennan Boulevard, 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 2 楼 01 区 (邮编: 518048) Zone 01, Building 2, Investment Building, No. 4009, Shennan Ave., Futian District, Shenzhen, Guangdong, 518048	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	广东省深圳市福田区彩田路东方新天地广场 A 座 3101-3106、3201-3202, 3101-3106, 3201-3202, Building A, Dongfang Xintiandi Plaza, Caitian Road, Futian District, Shenzhen, Guangdong	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
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 13th Floor, No.169, Tapu East Road, Siming District, Xiamen City, Fujian Province	361000
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	成都市高新区锦城大道 539 号盈创动力大厦 A 座四楼 406 号 610041 No.406, 4/F, Block A, Yingchuang Dongli Building, No.539, Jincheng Boulevard, Hi-Tech Zone, Chengdu, 610041	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, Zhongshansan Road, Yuzhong District, Chongqing	400015
173G	中信建投期货有限公司 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, Zhongshansan Road, Yuzhong District	400014

机构编号	机构名称 Organization Name	通信地址 Address	邮编 Zip Code
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.	黑龙江省哈尔滨市中山路 93 号保利大厦 401 室 邮编 150036 Room 401, Baoli Building, No.93, Zhongshan Road, Harbin, Heilongjiang, 150036	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, Zhongshansan 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
191G	盛达期货有限公司 Shengda Futures Co., Ltd.	杭州市萧山区宁围镇宁泰路 27 号江宁大厦 2 幢第 8-9 层 Floor 8-9, Block 2, Jiangning Building, No.27, Ningtai Road, Ningwei Town, Xiaoshan District, Hangzhou	310000
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.	青海省西宁市城中区西大街 18 号 12 层 12/F, No.18, West Avenue, Chengzhong District, Xining, Qinghai	810000
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

特别会员名录

Special Members

编号 Number	机构名称 Name	联系地址 Address	邮编 Zip Code
1	上海期货交易所 Shanghai Futures Exchange	上海市浦东新区浦电路 500 号 No.500, Pudian Road, Shanghai	200122
2	大连商品交易所 Dalian Commodity Exchange	大连市会展路 129 号 No.129, Huizhan Road, Dalian	116023
3	郑州商品交易所 Zhengzhou Commodity Exchange	郑州市未来路 69 号 No.69, Weilai road, Zhengzhou	450008
4	中国金融期货交易所 China Financial Futures Exchange	浦东世纪大道 1600 号陆家嘴商务广场 6 楼 6/F, LJZ Plaza, No.1600 Century Avenue, Pudong New Area	200122
5	中国期货保证金监控中心有限公司 China Futures Margin Monitoring Center Co.,Ltd	北京西城区金融街 5 号新盛大厦 B 座 17 层 17th Floor Tower B, Xinsheng Mansion, No.5 Jinrong Street, Beijing	100034

联系会员名录

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	北京市海淀区紫竹院路 31 号华澳中心嘉慧苑 1216 室 Room 1216, Jiahuiyuan Area, Hua'ao Center, No.31, Zizhuyuan Road, Haidian District, Beijing	100089
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	辽宁期货业协会 The Futures Association of Liaoning	辽宁省沈阳市和平区十一纬路 12 号 No.12, Shiyiwei Road, Heping District, Shenyang, Liaoning	110003
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

会员号 Membership No.	名称 Name	联系地址 Address	邮编 Zip code
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	重庆市渝中区临江支路 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
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

介绍经纪商会员名录

IB Members

编号 Number	机构名称 Name	联系地址 Address	邮编 Zip Code
1	财达证券有限责任公司 Caida Securities	石家庄市桥西区自强路 35 号庄家金融大厦 24 层 F24, Zhuangjiajinrong Building, No.35 Ziqiang Road, Shijiazhuang	50000
2	新时代证券有限责任公司 New Times Securities	北京市海淀区北三环西路 99 号院 1 号楼 15 层 1501 1501, 1st Building, No.99 BeiSanhuan west Road, Beijing	100086
3	大通证券股份有限公司 Daton Securities	大连市沙河口区会展路 129 号 No.129 Huizhan Road, Dalian	116021
4	渤海证券股份有限公司 Bohai Securities	天津市南开区宾水西道 8 号 No.8 Binshui West Street, Tianjin	300381
5	上海证券有限责任公司 Shanghai Securities	上海市西藏中路 336 号 No.336 Middle Xizang Road, Shanghai	200001
6	众成证券经纪有限公司 ZHONG CHENG SECURITIES	深圳市福田区华强北圣廷苑酒店 B 座 26 楼 F26, B Tower, Century Tower Hotel, North Huaqiang Road, Shenzhen	518028
7	华宝证券有限责任公司 HwaBao Securities	浦东新区世纪大道 100 号上海环球金融中心 57 楼 F57 Shanghai World Financial Center, No. 100 Century Avenue, Shanghai	200120
8	世纪证券有限责任公司 Century Securities	广东省深圳市深南中路 7088 号招商银行大厦 41 层 F41, China Merchants Bank Tower, No.7088, Shennan Boulevard, Shenzhen	518040
9	华创证券有限责任公司 HuaChuang Securities	贵州省贵阳市云岩区中华北路 216 号华创大厦 Huachuang Building, No.216 North Zhonghua Road, Guiyang	550004
10	联讯证券有限责任公司 LIANXUN SECURITIES	广东省惠州市惠城区江北东江三路 55 号惠州广播电视新闻中心西面一层大堂和三、四层。 3-4 F, Radio and Television News Center, NO.55 DongJiaon 3 Road, HuiZhou, GuanDong	516003
11	中天证券有限责任公司 Zhongtian Securities	沈阳市和平区光荣街 23 甲 No.23A Guangrong Street, Shenyang	110003
12	东方证券股份有限公司 Orient Securities	上海市中山南路 318 号东方国际金融广场 21-29 层 F21, Orient International Finance Plaza, No.318 South Zhongshan Road	200010

编号 Number	机构名称 Name	联系地址 Address	邮编 Zip Code
13	民生证券股份有限公司 Minsheng Securities	北京市建国门内大街 28 号民生金融中心 A 座 18 层 F18, A Tower, Minsheng Financial Center, No.28 Jian Guo Men Nei Street, Beijing	100005
14	中国民族证券有限责任公司 China Minzu Securities	北京市朝阳区北四环中路 27 号盘古大观 A 座 40F - 43F Beisihuanzhong Road 27 Pangu Plaza Block A 40F - 43F, Chaoyang District, Beijing	100101
15	广州证券有限责任公司 Guangzhou Securities	广州市珠江西路 5 号广州国际金融中心主塔 19 层、20 层 Zhujiangxi Road 5 Guangzhou International Financial Center Main Tower 19F, 20F, Guangzhou	510623
16	兴业证券股份有限公司 Industrial Securities	福州市湖东路 268 号 Hudong Road 268, Fuzhou	350003
17	南京证券股份有限公司 Nanjing Securities	南京市玄武区大钟亭 8 号 Dazhongting 8, Xuanwu District, Nanjing	210008
18	东北证券股份有限公司 Northeast Securities	长春市自由大路 1138 号 Ziyoudalu Road 1138, Changchun	130021
19	光大证券股份有限公司 Everbright Securities	上海市新闸路 1508 号 Xinzha Road 1508, Shanghai	200336
20	大同证券经纪有限责任公司 Datong Securities	太原市长治路 111 号山西世贸中心 A 座 F12 Changzhi Road 111 Shanxi World Trade Center Block A F12, Taiyuan	030012
21	万和证券有限责任公司 Vanho Securities	深圳市福田区深南大道 7028 号时代科技大厦西厅 20 层 Shennan Boulevard 7028 Time Technology Plaza west block 20F, Futian District, Shenzhen	518040
22	厦门证券有限公司 Xiamen Securities	厦门市莲前西路 2 号莲富大厦 17 楼 Lianqian West Road 2 Lianfu Plaza 17F, Xiamen	361009
23	西南证券股份有限公司 Southwest Securities	重庆市江北区北苑 8 号西南证券大厦 Beiyuan 8 Southwest Securities Plaza, Jiangbei District, Chongqing	400023
24	天风证券股份有限公司 Tianfeng Securities	武汉市江汉区唐家墩路 32 号国资大厦 B 座四楼 Tangjiadun Road 32 Guozi Plaza Block B 4F, Jiangnan District, Wuhan	430024
25	财通证券股份有限公司 Caitong Securities	杭州市杭大路 15 号嘉华国际商务中心 Jiahua International Business Center, No. 15 Hangda Road, Hangzhou	310007



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