



Annual Report





中国期货业协会年报2014

2014 Annual Report of China Futures Association

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### 会长致辞



2014年,是中国期货行业创新发展的元年,是值得铭记的一年。这一年,国务院《关于进一步促进资本市场健康发展的若干意见》正式出台,证监会《关于进一步推进期货经营机构创新发展的意见》、《期货公司监督管理办法》相继发布实施,期货风险管理公司和资产管理等创新业务试点进一步扩大,期货及衍生品行业迎来前所未有的发展机遇,改革创新引领行业迈入了新的发展阶段。

2015年已经崭新开启。作为行业自律组织,中国期货业协会将深入贯彻落实国务院新"国九条"精神,立足自律、服务和传导基本定位,以增强行业竞争能力、提升服务实体经济能力为主线,切实转变自律工作理念,进一步优化自律管理制度体系和工作机制,充分依靠和调动会员力量,全力以赴促进《创新意见》各项任务的落实,拓展期货市场服务实体经济的广度和深度,促进期货市场价格发现、资源配置和风险管理功能的发挥,推动行业创新发展服务实体经济取得较为显著的成效。

多人

|中国期货业协会会长| 二零一五年一月

### Chairman's Address

The year 2014 was memorable since it is the first year for innovative development of the futures industry. In that year, the Several Opinions of the State Council on Further Promoting the Healthy Development of the Capital Market was officially issued. China Securities Regulatory Commission also successively issued and implemented the Opinions on Further Promoting the Innovative Development of Futures Operating Institutions and the Measures for the Supervision and Administration of Futures Companies. Subsequently, futures risk management, asset management and other innovative business pilots have experienced further expansion. Futures and derivatives industries have seen unprecedented development opportunities and stepped into a new development stage led by reform and innovation.

2015 is a brand-new year. As a self-regulatory organization in the industry, China Futures

Association will thoroughly implement the spirit of "New National Nine Positive Stimuli" of the State Council, and adhere to the basic positioning of selfregulation, service and communication. We will focus on improving the industrial competitiveness and ability to serve real economy. We will practically change the self-regulatory work ideas, further optimize the self-regulatory management system and work mechanism, and fully rely on and mobilize members, to promote the fulfillment of various tasks stipulated in the Opinions on Further Promoting the Innovative Development of Futures Operating Institutions with all efforts. In addition, we will expand the futures market to make it better serve the real economy, and promote the price discovery, resource allocation and risk management of the futures market, so as to make significant achievements in promoting industrial innovation and development and serving the real economy.

### Zhichao Liu

Chairman of CFA
January 2015

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利机构。理事会是会员大会闭会期间协会的常设权 利机构,对会员大会负责。理事会下设经纪业务、资产管理业务、衍生品交 易商、国际业务、信息技术、自律监察、申诉、纠纷调解、人才培养、投资 者教育与保护、研究发展、人才培养专项基金和投资者教育专项基金等13 个专业委员会。

截至 2014 年底,协会共有会员 256 家,其中期货公司会员 153 家,期货交 易所、保证金监控中心特别会员 5 家,证券 IB 会员 64 家,地方协会联系会 员 34 家。

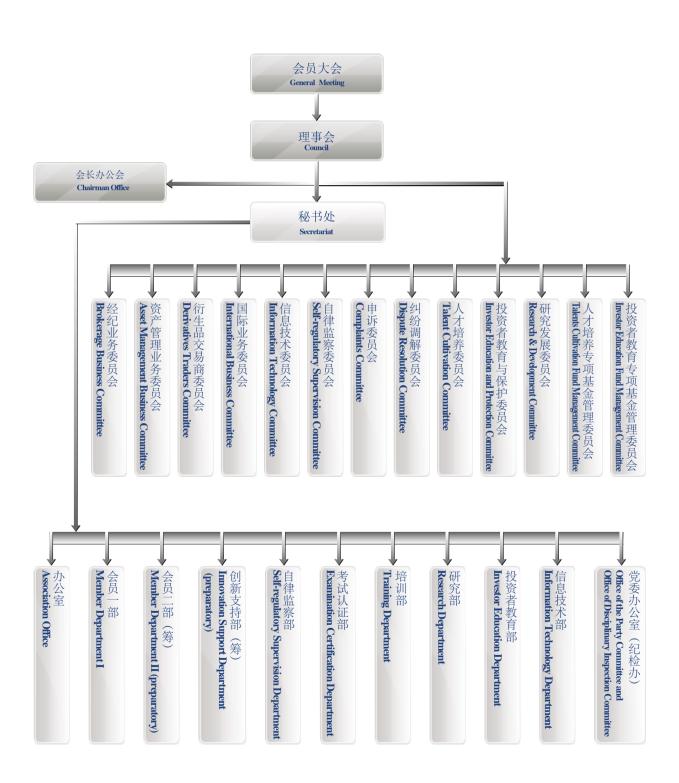
China Futures Association (hereinafter referred to as "CFA"), a national self-disciplinary organization of futures industry founded on December 29, 2000 according to Regulations for Registration and Management of Social Organizations and Regulation on the Administration of Futures Trading, is a nonprofit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

General Meeting is the highest authority of CFA, while the Council refers to the standing authority of CFA during intersession of General Meeting, which is responsible for General Meeting. The Council is currently composed of 13 professional committees, namely Brokerage Business, Asset Management, Derivatives Traders, International Business, Information Technology, Self-regulatory Supervision, Complaints, Dispute Resolution, Investor Education and Protection, Talent Cultivation, Research & Development Committees, Talents Cultivation Fund Management Committee and Investor Education Fund Management Committee. CFA has one chairman, several vice chairmen, and one secretary general. CFA has 11 departments including General Office, Membership I, Membership II, Innovation Business, Self-regulatory Supervision, Examination and Certification, Training, Research, Investor Education, Information Technology and Party Committee Office (Discipline Inspection Office).

By the end of 2014, CFA has 256 members, including 153members of futures companies, 64 members of introducing brokers companies, 5 special members of futures exchanges and China Futures Margin Monitoring Center and 34 affiliate members of local associations.

### 组织结构图

#### **Organizational Structure Chart**



### 协会宗旨

#### **Our Mission**

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,推动期货市场的健康稳定发展。

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

### **Our Functions**

教育和组织会员及期货从业人员遵守期货法律法规	Educate and organize members and futures
和政策,制定行业自律性规则,建立健全期货业诚	employees to abide by laws, regulations and policies of futures industry, formulate self-
信评价制度,进行诚信监督。	regulation rules for the industry, establish and perfect honesty evaluation system of futures
负责期货从业人员资格的认定、管理以及撤销工	industry and carry out honesty supervision.  Be responsible for accrediting, managing and
作,负责组织期货从业资格考试、期货公司高级管	revoking the qualification of futures employees,
理人员资质测试及行政法规、中国证监会规范性文	organizing futures qualification exam and senior manager qualification exam of futures
件授权的其他专业资格胜任能力考试。	companies, authorizing regulatory documents of CSRC and organizing competence exam of other
监督、检查会员和期货从业人员的执业行为,受理	professional qualifications.
对会员和期货从业人员的举报、投诉并进行调查处	Supervise and inspect the practices of members and futures employees, accept and deal with the
理,对违反本章程及自律规则的会员和期货从业人	report and compliant of members and futures employees through investigation, and perform
员给予纪律惩戒;向中国证监会反映和报告会员和	disciplinary punishment on those violating the
期货从业人员执业状况,为期货监管工作提供意见	regulations and self-regulation rules; reflect and report the practices of members and
和建议。	futures employees to CSRC and offer opinions and suggestions for futures supervision and
制定期货业行为准则、业务规范,参与开展行业资	management.  Formulate code of conduct and standard of
信评级,参与拟订与期货相关的行业和技术标准。	practice for futures industry, participate in credit rating of the industry and join in the preparation
受理客户与期货业务有关的投诉,对会员之间、会	of industrial and technical standards concerning futures.
员与客户之间发生的纠纷进行调解。	Accept the complaints of customers regarding futures business and mediate the disputes
为会员服务,依法维护会员的合法权益,积极向中	between members or member and customers. Serve the members, safeguard the legitimate
国证监会及国家有关部门反映会员在经营活动中的	interest of members, and actively reflect the
问题、建议和要求。	problems, suggestions and requirements of members during business activities to CSRC and national department concerned.
制定并实施期货业人才发展战略,加强期货业人才	Formulate and implement talent development
队伍建设,对期货从业人员进行持续教育和业务	strategy of futures industry, strengthen talent team construction of futures industry, perform

培训,提高期货从业人员的业务技能和职业道德水平。	continuous education and business training on futures employees and improve their vocational skills and occupational ethics level.
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。	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
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。	and coordination of industrial information safety control and improving industrial information safety control and information technology level.  Collect and manage futures information, carry
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。	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.
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。	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.
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。	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.
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。	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.
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。	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.
法律、行政法规规定以及中国证监会赋予的其他职 责。	Other responsibilities provided by laws and administrative regulations and those granted by CSRC.

### 领导简介

#### **Profiles of Leaders**



### 刘志超 会长 \_\_\_\_\_\_Liu Zhichao Chairman

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副主任(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; 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 currently serves as the Chairman of China Futures Association.



# 侯苏庆 副会长 Hou Suqing Vice Chairman

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. in Economics and Senior Economist. 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 currently serves as a full-time Vice Chairman of China Futures Association.



### 范辉 引会长 Fan Hui Vice Chairman

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

MBA, Statistician. 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 Chairman of China Association for Public Companies, and now served as full-time Vice Chairman of China Futures Association.



### 副会长兼秘书长■

公司协会副会长等职务,现任中国期货业协会专职副会长。

### Peng Gang Vice Chairman and Secretary General

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,现任中国期货业 协会专职副会长、秘书长。

Master of Economics and Senior Economist. 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 several years, Vice President of Shenzhen Gold Bull Futures Co., Ltd., President and General Manager of Gold Bull Investment and Consultation Co., Ltd.); and currently serves as full-time Vice Chairman and Secretary General of China Futures Association.



### 孙明福 副会长 **Sun Mingfu** Vice Chairman

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;曾任中国期货业协会副秘书长兼办公室(党办、纪检办)主任,现任中国 期货业协会专职副会长。

Undergraduate. 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; Deputy Secretary General and Director of CPC Office (and Discipline Inspection Office) of China Futures Association; currently serve as full-time Vice Chairman of China Futures Association.

### 领导简介

#### **Profiles of Leaders**

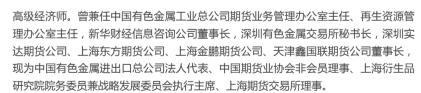


# 郑小国 副会长 Zheng Xiaoguo Vice Chairman

硕士。曾任中国证券业协会会员部主任、华西证券有限公司北京营业部总经理兼北京办事处主任,上海期货交易所新闻联络部高级总监、北京联络处高级总监兼新闻联络部高级总监、人力资源部高级总监等职务。现任中国期货业协会专职副会长。

Master. Served as Director of Membership Department of Securities Association of China, General Manager of Beijing Business Department and Director of Beijing Office of Huaxi Securities Co., Ltd., Senior Director of Information Liaison Department of Shanghai Futures Exchange, Senior Director of Beijing Liaison Office and Information Liaison Department, and Senior Director of HR Department, etc. Currently serves as full-time Vice Chairman of China Futures Association.

# 张宜生 非会员理事 Zhang Yisheng Nonmember Director



Senior Economist. Served as part-time Director of Futures Business Management Office and Director of Renewable Resources Management Office of China Nonferrous Metals Industry Company. 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 served as legal representative of China Nonferrous Import and Export Company (CNIEC), Director of China Futures Association, Executive Chairman of Shanghai Institute of Derivatives Committee and Strategy Development Committee, Chairman of Commission on Research and Development and Director of Shanghai Futures Exchange.





### 强 非会员理事 ■

### Li Qiang Nonmember Director

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,中国期货业协会专职副 会长兼秘书长等职务,现任中国期货业协会非会员理事。

Ph.D. in Economics. 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.; full-time Vice Chairman and Secretary General of China Futures Association.



### 叶春和 兼职副会长 — Ye Chunhe Vice Chairman

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。

Ph.D. 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 new served as member of CPC Committee and Vice-general Manager of Shanghai Futures Exchange.



### 郭晓利 兼职副会长 \_\_\_\_\_ -Guo Xiaoli Vice Chairman

经济学博士。历任中国国际期货公司总裁助理、副总裁,大连商品交易所党委委员、 副总经理,郑州商品交易所党委副书记、副总经理,现任郑州商品交易所党委副书记、 总经理。

Ph.D. in Economics. Successfully served as Assistant President and Vice President, member of CPC Committee and Vice General Manager of Dalian Commodity Exchange, and Deputy Secretary of Party Committee and Vice General Manager of Zhengzhou Commodity Exchange. Currently serves as Deputy Secretary of Party Committee and General Manager of Zhengzhou Commodity Exchange and part-time Vice Chairman of China Futures Association.

### 领导简介

#### **Profiles of Leaders**



### 高小真 兼职副会长 Gao Xiaozhen Vice Chairman

博士。历任中国证监会规划发展委员会处长、委员,证监会研究中心副主任,北京证券期货研究院副院长,现任大连商品交易所党委委员、副总经理。

Ph.D. Successfully served as Director General and Committee Member of the China Securities Regulatory Commission (CSRC) Planning and Development Committee, Vice Director of Research Center of CSRC and Vice President of Beijing Institute of Securities and Futures. Currently serves as member of CPC Committee and Vice-general Manager of Dalian Commodity Exchange.



# 鲁东升 兼职副会长 Lu Dongsheng Vice Chairman

硕士。曾在民政部工作;加入中国证监会后,从事期货监管等方面工作,历任主任科员、副处长、处长。2007年6月加入中国金融期货交易所,曾任监查部负责人,现任副总经理。

Master. Worked in Ministry of Civil Affairs. After joining the CSRC, engaged in work related to futures regulation and successfully served as Senior Staff, Deputy Director General, and Director General. Joined China Financial Futures Exchange in June 2007 as person in charge of Ministry of Supervision. Currently serves as Vice-general Manager.



## 野 强 兼职副会长 Feng Qiang Vice Chairman

经济学硕士。历任期货监管部副处长、期货保证金监控中心总经理助理,现任中国期货保证金监控中心党委委员、副总经理。

Master of Economics. Successfully served as Deputy Director General of Futures Supervision Department and General Manager Assistant of Futures Margin Monitoring Center. Currently serves as member of CPC Committee and Vice General Manager of China Futures Margin Monitoring Center.







### 施建军 兼职副会长 • **Shi Jianjun** Vice Chairman

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. Currently serves as General Manager of Zhejiang Yong'an Futures Brokerage Co., Ltd., part-time Vice Chairman of China Futures Association, Chairman 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.

### 马文胜 兼职副会长 ■ Ma Wensheng Vice Chairman

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. Serves as President of New Lake Futures Co., Ltd., part-time Vice Chairman of China Futures Association, Director of Shanghai Futures Exchange, Vice Chairman of The Futures Association of Zheijang, Director of Exchange Commission of Dalian Commodity Exchange, Director of Financial Committee of Commodity Exchange and MBA graduate mentor of Zhejiang University.

### **辉** 兼职副会长 Huang Hui Vice Chairman

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. Served successively as Manager of Zhengzhou Sales Department, and Manager and Vice General Manager of Operation Department of COFCO Futures Co., Ltd.; currently serves as General Manager of COFCO Futures Co., Ltd. and part-time Vice Chairman of China Futures Association.

### 陈 方 兼职副会长 ■ **— Chen Fang** Vice Chairman

管理经济学硕士。现任鲁证期货董事长、齐鲁证券副总裁,中国期货业协会兼职副会长、 山东期货业协会会长,大商所工业品种委员会主任委员。

Master of Management Economics. Currently serves as President of Luzheng Futures Co.,Ltd., Vice General Manager of Qilu Securities Co.,Ltd., part-time Vice Chairman of China Futures Association, President of Shandong Futures Association, and Chairman of Industrial Products Committee of Dalian Commodity Exchange.

### 中国期货业协会第四届理事会成员 -

Members of The Fourth Session of Board of China Futures Association

一、非会员理事				
理事单位	理事	所在单位职务		
中国期货业协会	刘志超	会长		
———————————————————— 中国期货业协会		  副会长		
中国期货业协会	范 辉	副会长		
中国期货业协会	彭 刚	副会长兼秘书长		
中国期货业协会	孙明福	副会长		
中国期货业协会	郑小国	副会长		
中国期货业协会	张宜生	非会员理事		
中国期货业协会	李 强	非会员理事		
	二、特别会员理事			
上海期货交易所	叶春和	副总经理		
郑州商品交易所	郭晓利	总经理		
大连商品交易所	高小真	副总经理		
中国金融期货交易所	鲁东升	副总经理		
期货保证金监控中心	-	副总经理		
	三、公司会员理事			
永安期货股份有限公司	施建军	总经理		
新湖期货有限公司	马文胜	董事长		
中粮期货有限公司	黄辉	总经理		
鲁证期货股份有限公司	陈方	董事长		
方正中期期货有限公司	许丹良	总经理		
宏源期货有限公司	王化栋	总经理		
国泰君安期货有限公司	何晓斌	总经理		
银河期货有限公司 中国国际期货有限公司	姚 广	总经理 总经理		
海通期货有限公司		点		
光大期货有限公司	胡世明	董事长		
国投中谷期货有限公司	高杰	単字 K		
上海中期期货有限公司	许一峰	总经理		
东海期货有限责任公司	王一军	总经理		
弘业期货股份有限公司	周勇	董事长		
浙商期货有限公司	胡 军	总经理		
信达期货有限公司	陈冬华	总经理		
南华期货股份有限公司	罗旭峰	总经理		
格林大华期货有限公司	乔俊峰	董事长		
万达期货股份有限公司	张 岩	董事长		
国信期货有限责任公司	余晓东	总经理		
长江期货有限公司	谭显荣	总经理		
广发期货有限公司	罗满生	总经理		
华泰长城期货有限公司	张涛	董事长		
中证期货有限公司	张磊	总经理		
五矿期货有限公司	姜昌武	总经理		
申银万国期货有限公司	李建中	总经理		
兴业证券股份有限公司	刘志辉	总裁		
安信证券股份有限公司	王连志	总裁		

I. Non-member Directors				
Director Organization	Name	Title		
China Futures Association	Liu Zhichao	Chairman		
China Futures Association	Hou Suqing	Vice Chairman		
China Futures Association	Fan Hui	Vice Chairman		
China Futures Association	Peng Gang	Vice Chairman and Secretary General		
China Futures Association	Sun Mingfu	Vice Chairman		
China Futures Association	Zheng Xiaoguo	Vice Chairman		
China Futures Association	Zhang Yisheng	Non-Member Director		
China Futures Association	Li Qiang	Non-Member Director		
II. Special I	Member Direct	ors		
Shanghai Futures Exchange	Ye Chunhe	Deputy General Manager		
Zhengzhou Commodity Exchange	Guo Xiaoli	General Manager		
Dalian Commodity Exchange	Gao Xiaozhen	Deputy General Manager		
China Financial Futures Exchange	Lu Dongsheng	Deputy General Manager		
Futures Margin Monitoring Center	Feng Qiang	Deputy General Manager		
III. Company	Member Direc	ctors		
Yong'an Futures Co., Ltd.	Shi Jianjun	General Manager		
Xinhu Futures Co., Ltd.	Ma Wensheng	Chairman		
COFCO Futures Co., Ltd.	Huang Hui	General Manager		
Luzheng Futures Co., Ltd.	Chen Fang	Chairman		
Founder CIFCO Futures Co., Ltd.	Xu Danliang	General Manager		
Hongyuan Futures Co., Ltd.	Wang Huadong	General Manager		
Guotai Jun'an Futures	He Xiaobin	General Manager		
Galaxy Futures Co., Ltd.	Yao Guang	General Manager		
China International Futures Co., Ltd.	Wang Bing	General Manager		
Haitong Futures Co., Ltd	Xu Ling	General Manager		
Everbright Futures Co., Ltd.	Hu Shiming	Chairman		
SDIC CGOG Futures Co., Ltd.	Gao Jie	General Manager		
Shanghai CIFCO Futures Co., Ltd.	Xu Yifeng	General Manager		
Donghai Futures Co., Ltd.	Wang Yijun	General Manager		
Holly Futures Co., Ltd.	Zhou Yong	Chairman		
Zheshang Futures Co., Ltd.	Hu Jun	General Manager		
CINDA Futures Co., Ltd.	Chen Donghua	General Manager		
Nanhua Futures Co., Ltd.	Luo Xufeng	General Manager		
Gelin Dahua Futures Co., Ltd.	Qiao Junfeng	Chairman		
Wanda Futures Co., Ltd.	Zhang Yan	Chairman		
GUOSEN FUTURES CO., LTD.	Yu Xiaodong	General Manager		
Changjiang Futures Co., Ltd.	Tan Xianrong	General Manager		
GF Futures Co., Ltd.	Luo Mansheng	General Manager		
Huatai Great Wall Futures Co., Ltd.	Zhang Tao	Chairman		
CITICS Futures Co., Ltd.	Zhang Lei	General Manager		
Minmetals Futures Co., Ltd.	Jiang Changwu	General Manager		
Shenyin & Wanguo Futures Co., Ltd.  Industrial Securities Co., Ltd.	Li Jianzhong Liu Zhihui	General Manager President		
Essence Securities Co., Ltd.	Wang Lianzhi	President		

### 专业委员会

#### **Professional Committees**

# **1** 经纪业务委员会 Brokerage Business Committee

- 贯彻落实和推动完善国家和监管部门关于期货经纪业务发展的法律法规及方针政策;
- 研究草拟期货经纪业务相关自律规则,促进行业规范发展;
- 开展对经纪业务创新模式、机制等重要问题的研究,提出促进经纪业务创新发展的解决方案和意见 建议;
- 4. 加强与相关机构的沟通联系,积极反映行业诉求, 维护公平竞争秩序,争取有利的发展环境;
- 5. 加强会员单位在期货经纪业务方面的沟通、协作, 建立业务交流的平台,促进期货经纪业务发展;
- 6. 加强对期货经纪人的规范化管理,协助开展人员培训和检查;
- 7. 理事会授权或委托的其他工作。
- Implement, promote and complete the laws, regulations and policies of the state and regulators on development of futures brokerage business;
- Study and draft the self-regulatory rules on futures brokerage business, to promote the standardized development of the industry;
- Study important issues including those on brokerage innovation model and mechanism, and put forward solutions, opinions and suggestions on promoting innovative development of brokerage business;
- 4. Strengthen communications with relevant

- organizations, actively reflect industry demands, maintain the order of fair competition, and strive for a favorable development environment;
- Strengthen the communication and cooperation with member units about futures brokerage business and establish a business exchange platform, to promote the development of futures brokerage business;
- Enhance the standardized management over futures brokers, and assist in conducting personnel training and examination;
- Other duties authorized or entrusted by the council.

### 经纪业务委员会成员名单 Members of Brokerage Business Committee

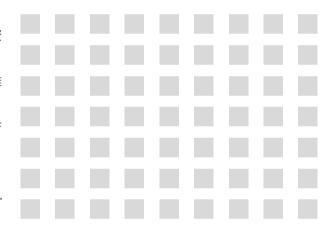
姓 名	职务	单位
马文胜	主任委员	新湖期货有限公司
刘志辉	副主任委员	兴业证券股份有限公司

Name	Title	Company
Ma Wensheng	Director of the Committee	Xinhu Futures Co., Ltd.
Liu Zhihui	Deputy Director of the Committee	Industrial Futures Co., Ltd.

# 2 资产管理业务委员会 Asset Management Business Committee

- 1. 贯彻落实和推动完善国家和监管部门关于期货资产 管理业务发展的法律法规及方针政策;
- 研究草拟期货资产管理业务相关自律规则,促进行业规范发展;
- 3. 开展对期货资产管理业务发展的研究,提出促进资产管理业务发展的意见和建议;
- 4.维护期货资产管理机构合法权益,反映行业诉求,维护公平竞争秩序,争取有利的发展环境;
- 5. 开展期货资产管理业务的交流与合作,促进期货资产管理业务发展;
- 6. 理事会授权或委托的其他工作。
- Implement, promote and complete the laws, regulations and policies of the state and regulators on development of futures asset management business;
- Study and draft the self-regulatory rules on futures asset management business, to promote the standardized development of the industry;
- Research the development of futures asset management business, and put forward opinions and suggestions on promoting development of asset management business;
- 4. Protect legal rights and interests of futures asset management organizations, reflect industrial demands, maintain the order of fair competition, and strive for a favorable development environment;

- Conduct exchange and cooperation about futures asset management business, to promote the development of such business;
- Other duties authorized or entrusted by the council.



### 资产管理业务委员会成员名单 Members of Asset Management Business Committee

姓 名	职务	单 位
徐凌	主任委员	海通期货有限公司

Name	Title	Company
Xu Ling	Director of the Committee	Haitong Futures Co., Ltd.

### 专业委员会 -

#### **Professional Committees**

# 3 衍生品交易商委员会 Derivatives Traders Committee

- 1. 培育和推动自营商、做市商、交易商等各类期货及 衍生品专业交易商的发展;
- 开展风险管理服务和场外衍生品业务的前瞻性研究,推进相关重大问题的立项和讨论,提出具体解决方案和意见建议;
- 3. 研究制订风险管理服务、场外衍生品业务的行业标准和自律规则,促进该项业务的规范发展;
- 4. 研究推进风险管理服务、场外衍生品业务模式创新,提升产品设计、风险控制能力;
- 5. 建立沟通协作的平台和机制,推进期货及衍生品交易商之间的交流合作;
- 6. 协助推进场外市场、衍生品等相关领域的人才培养,提升人员素质;
- 7. 推动期货经营机构柜台业务发展,发展机构间场外 衍生品交易;
- 8. 理事会授权或委托的其他工作。
- 1. Cultivate and promote the development of dealers, market makers, traders, etc. of various futures and derivatives;
- Conduct prospective study on risk management service and OTC derivatives business, promote the project approval of and discussion about relevant major issues, and put forward specific solutions, opinions and suggestions;

- Research and develop industrial standards and self-regulatory rules on risk management service and OTC derivatives business, to promote the standardized development of this business;
- Research and boost the model innovation of risk management service and OTC derivatives business, and improve the product design and risk control capabilities;
- Establish communication and cooperation platforms and mechanisms, to promote the exchange and cooperation between futures and derivatives traders;
- Assist in propelling the talent cultivation of OTC market, derivatives and other relevant fields, to improve the quality of personnel;
- Boost the development of counter operations of futures operating institutions and develop OTC derivatives transactions among the institutions;
- 8. Other duties authorized or entrusted by the council.

### 衍生品交易商委员会成员名单 Members of Derivatives Traders Committee

姓名	职务	单位
施建军	主任委员	永安期货股份有限公司

Name	Title	Company
Shi Jianjun	Director of the Committee	Yong'an Futures Co., Ltd.

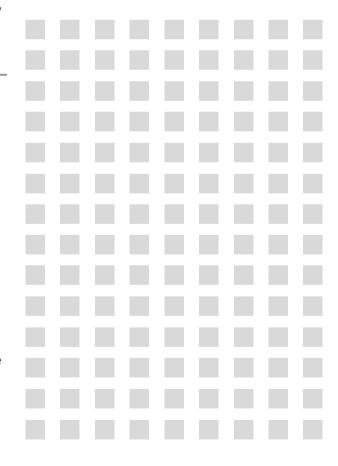
# 4 国际业务委员会 International Business Committee

- 1. 贯彻落实和推动完善国家和监管部门关于期货及衍生品业务对外开放的法律法规及方针政策;
- 研究草拟期货及衍生品行业跨境业务的相关自律规则,促进行业规范发展;
- 3. 开展对期货及衍生品行业对外开放重要问题的研究,提出加快推进期货"走出去"和"引进来"的解决方案和意见建议;
- 4. 研究推动跨境创新型业务,加强国际交流与合作, 形成开放、公平的发展环境;
- 5. 理事会授权或委托的其他工作。
- Implement, promote and complete the laws, regulations and policies of the state and regulators on the opening-up of futures and derivatives businesses;
- Study and draft the self-regulatory rules on cross-border business of futures and derivatives industries, to promote industrial standardized development;
- Study important issues on the opening-up of futures and derivatives industries, and put forward solutions, opinions and suggestions on accelerating the "going global" and "introduction" of futures;
- Research and promote cross-border innovative business and enhance international exchange and cooperation, to form an open and fair development environment;
- 5. Other duties authorized or entrusted by the council.

### 国际业务委员会成员名单 Members of International Business Committee

姓名	职务	单 位
罗旭峰	主任委员	南华期货股份有限公司

Name	Title	Company
Luo Xufeng	Director of the Committee	Nanhua Futures Co., Ltd.



### 专业委员会。

#### **Professional Committees**

# **5** 信息技术委员会 Information Technology Committee

- 1. 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;
- 3. 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,为监管部门开展技术监管工作提供咨询和依据;
- 4. 研究草拟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,研究草拟行业相关统计数据标准:
- 5. 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;
- 6. 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;
- 7. 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;
- 8. 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;
- 9. 理事会授权或委托的其他工作。
- Survey, collect, analyze and feed back the industry opinions and suggestions within the scope of responsibility of the Committee, and organize the preparation of industry IT development report;
- Support relevant work on industry IT development according to the deployment of China Securities Regulatory Commission;
- Assess the implementation of plans, laws and regulations and technical guidance (standards) by the futures companies, and provide consultations and basis for regulators' implementation of technical regulation work;

- Research and draft relevant IT guidance of futures companies, the practice standards and work instructions for industry technicians, and relevant statistics standards in the industry;
- 5. Reinforce the industry IT risk self-control mechanism, to ensure the safety of futures information system;
- Assist in conducting IT application research and trainings, as well as technical inspection for futures companies;
- 7. Coordinate members' technology resources, to provide necessary assistance for emergency disposal in case of any technical accident;
- Promote the industrial exchange and international cooperation about futures IT and carry out exchange activities and meetings concerning IT of the futures industry;
- 9. Other duties authorized or entrusted by the council.

### 信息技术委员会成员名单 Members of Information Technology Committee

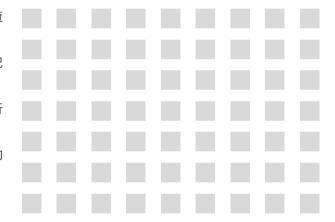
姓名	职务	单 位
王凤海	主任委员	大连商品交易所
史光伟	副主任委员	上海金融期货信息技术 有限公司
万晓鹰	副主任委员	国泰君安期货有限公司

Name	Title	Company
Wang Fenghai	Director of the Committee	Dalian Commodity Exchange
Shi Guangwei	Deputy Director of the Committee	Shanghai Financial Futures Information Technology Co.,Ltd.
Wan Xiaoying	Deputy Director of the Committee	Guotai Jun'an Futures

# 6 自律监察委员会 Self-regulatory Supervision Committee

- 1. 研究草拟有关自律监察和纪律惩戒的程序与规则;
- 研究制订会员及从业人员业务行为规范、内部控制、合规风控等自律规则;
- 3. 协助开展对会员及从业人员的自律检查,并对检查工作进行监督指导;
- 4. 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;
- 5. 按照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自律监察和纪律惩戒工作的 意见和建议;
- 7. 理事会授权或委托的其他工作。
- Research and draft the procedures and rules on self-regulatory supervision and disciplinary punishment;
- Research and develop the code of conduct, internal control, compliance, risk control and other self-regulatory rules for members and employees;
- Assist in conducting self-regulatory inspection for members and employees, and supervise and guide such inspection work;
- Decide, supervise and execute the disciplinary punishments for members' and employees' violations of self-regulatory rules of the association;

- 5. Organize hearings according to provisions of disciplinary punishment procedures and other self-regulatory rules of the association;
- Propose opinions and suggestions on selfregulatory supervision and disciplinary punishment of the association to the council;
- 7. Other duties authorized or entrusted by the council.



### 自律监察委员会成员名单 Members of Self-regulatory Supervision Committee

姓 名	职务	单 位
陈方	主任委员	鲁证期货股份有限公司
陈冬华	副主任委员	信达期货有限公司

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

### 专业委员会:

#### **Professional Committees**

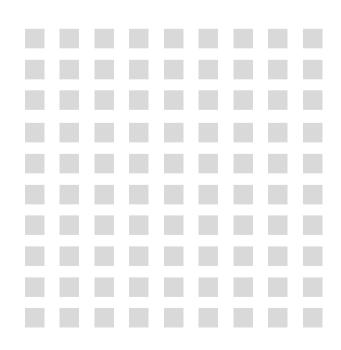
### **7** 申诉委员会 Complaints Committee

- 1. 研究草拟有关申诉的程序和规则;
- 2. 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;
- 3. 督促审议决定的执行;
- 4. 向理事会提出有关协会纪律惩戒工作的意见和建 议;
- 5. 协助自律监察委员会研究制订会员及从业人员业务 行为规范、内部控制、合规风控等自律规则;
- 6. 理事会授权或委托的其他工作。
- 1. Research and draft the procedures and rules on complaints;
- Review the complaints raised by the party due to its non-acceptance of the punishment decision of Disciplinary Committee, and make review decisions:
- 3. Supervise and urge the execution of review decisions;
- 4. Propose opinions and suggestions on disciplinary punishment of the association to the council;
- Assist Self-regulatory Supervision Committee in researching and developing the code of conduct, internal control, compliance, risk control and other self-regulatory rules for members and employees;
- 6. Other duties authorized or entrusted by the council.

### 申诉委员会成员名单 Members of Complaints Committee

姓名	职务	单 位
袁小文	主任委员	中信期货有限公司
许丹良	副主任委员	方正中期期货有限公司

Name	Title	Company
Yuan Xiaowen	Director of the Committee	CITIC Futures Co., Ltd.
Xu Danliang	Deputy Director of the Committee	Founder CIFCO Futures Co., Ltd.



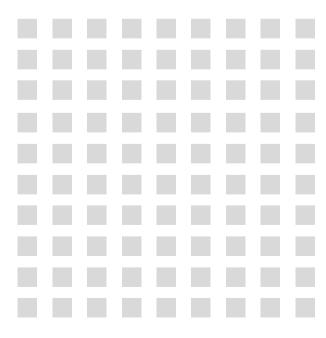
# **8** 纠纷调解委员会 ■ Dispute Resolution Committee

- 1. 指导期货纠纷调解工作;
- 2. 组织指导调解员任前、在职培训和经验交流;
- 3. 研究处理与期货纠纷调解工作相关的专业问题;
- 4. 决定调解员的聘任和解聘;
- 5. 对调解工作总体质量、社会影响等进行评估;
- 6. 向理事会提出纠纷调解工作的意见和建议;
- 7. 理事会授权或委托的其他工作。
- 1. Guide the futures dispute resolution work;
- Organize and guide the pre-job and onjob trainings and experience exchange of coordinators;
- Research and deal with professional questions about the futures dispute resolution work;
- 4. Decide the coordinators' employment and dismissal;
- 5. Assess the overall quality and social influence of dispute resolution work;
- 6. Give opinions and suggestions on dispute resolution to the council;
- 7. Other duties authorized or entrusted by the council.

### 调解委员会成员名单 Members of Dispute Resolution Committee

姓 名	职务	单 位
黄辉	主任委员	中粮期货有限公司
钱荣金	副主任委员	上海期货同业公会
黄 禧	副主任委员	深圳市期货同业协会

Name	Title	Company
Huang Hui	Director of the Committee	COFCO Futures Co., Ltd.
Qian Rongjin	Deputy Director of the Committee	Shanghai Futures Association
Huang Xi	Deputy Director of the Committee	Shenzhen Futures Association



### 专业委员会。

#### **Professional Committees**

### ● 人才培养委员会 Talent Cultivation Committee

- 组织开展期货行业人力资源开发与管理的理论研究 和交流,研究行业发展的人才需求,制定和推进落 实期货行业人才发展战略;
- 协调推进期货行业人才培养工作,提出落实人才培养的具体措施建议;
- 3. 研究推进期货行业专业人才队伍建设和分类分级认证制度,规范期货从业人员执业行为;
- 4. 组织开展境内外培训合作、人才交流,推进建立境内外专业人才培训基地,并进行持续评估;
- 5.推动高等院校、社会培训机构加强期货专业或职业教育,建立健全期货行业后备人才教育体系;
- 6. 理事会授权或委托的其他工作。
- Organize theoretical research and exchange for the development and management of human resources in the futures industry, research the talent demands for industrial development, develop, promote and implement the futures industry talent development strategies;
- Coordinate and facilitate the cultivation of talents in futures industry, and put forward specific measures and suggestions on implementation of talent cultivation;
- Research and boost the team construction and classification and grading certification systems for professionals in the futures industry, to standardize the practices of futures practitioners;
- 4. Organize and conduct the training, cooperation and talent exchange activities at home and

- abroad, accelerate the establishment of foreign and domestic professionals training bases, and continue assessing those;
- Promote higher education institutions and social training agencies to strengthen professional or occupational futures education, and establish complete education systems for reserve talents of futures industry;
- 6. Other duties authorized or entrusted by the council.

### 人才培养委员会成员名单 Members of Talent Cultivation Committee

姓 名	职务	单 位
李 强	主任委员	中国期货业协会
姜昌武	副主任委员	五矿期货有限公司

Name	Title	Company
Li Qiang	Director of the Committee	China Futures Association
Jiang Changwu	Deputy Director of the Committee	Minmetal Futures Co., Ltd.

# 1 ● 投资者教育与保护委员会 Investor Education and Protection Committee

- 研究起草期货行业投资者保护、投资者教育方面的 自律规则,就投资者保护、投资者教育提出政策建 议;
- 建立协作平台,促进各类市场主体在投资者保护、 教育方面的分工协作和互动交流;
- 推动会员单位加强投资者教育工作,建立完善投资 者服务、教育和保护机制;
- 加强行业宣传,帮助公众了解期货及衍生品行业, 帮助投资者树立风险防范和理性投资意识,营造期 货行业发展的良好氛围;
- 5. 关注期货投资者诉求,维护投资者合法权益;
- 6. 研究投资者咨询及投诉受理制度,推动完善处理流程和运行机制,协调有关部门处理相关事宜;
- 7. 理事会授权或委托的其他工作。
- Research and draft self-regulatory rules on the investor protection and education in the futures industry, and put forward policies and suggestions on investor protection and education;
- Establish a cooperation platform, to promote the labor of division, teamwork, interaction and exchange of main market players in terms of investor protection and education;
- Boost member units to strengthen the investor education work, establish and complete investor service, education and protection mechanisms;

- Strengthen industry publicity, help the public know the futures and derivatives industries, assist investors in setting up an awareness of risk prevention and rational investment, and create a good environment for the development of futures industry;
- Pay attention to the demands and complaints of futures investors, and protect the investors' legal rights and interests;
- 6. Research investors' consultation and complaint acceptance systems, promote and complete the disposal process and the operating mechanism, and coordinate relevant departments to deal with relevant matters;
- 7. Other duties authorized or entrusted by the council.

### 投资者保护与教育委员会成员名单 Members of Investor Education and Protection Committee

姓 名	职务	单 位
姚广	主任委员	银河期货有限公司
丛龙云	副主任委员	万达期货有限公司

Name	Title	Company
Yao Guang	Director of the Committee	Galaxy Futures Co., Ltd.
Cong Longyun	Deputy Director of the Committee	Wanda Futures Co., Ltd.

### 专业委员会 •

#### **Professional Committees**

# 1 1 研究发展委员会 Research & Development Committee

- 对期货市场发展中的热点问题和重大问题开展研究,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;
- 3. 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;
- 4. 指导和参与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;
- 5. 指导和参与编写协会研究类书籍和刊物;
- 6. 指导和参与期货行业研究相关的评比工作;
- 7. 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;
- 8. 理事会授权或委托的其他工作。
- 1. Study hot and major issues occurring in the development of futures market, and give opinions and suggestions;
- 2. Research and demonstrate relevant policies and schemes in the industry, and propose suggestions and opinions on policies to legislative authority, judicial authority, regulators, etc. on behalf of the association;
- Research the function positioning of selfregulatory organizations of the industry, and put forward opinions and suggestions on the development strategy, functioning, work plan,

etc. of the association;

- 4. Guide and participate in the research on major theoretical and practical issues of the futures market, to promote theoretical and practical development of this market;
- 5. Guide and participate in the compilation of research books and publications of the association;
- Guide and participate in comparison and appraisal work related to researches in the futures industry;
- Carry out research and exchange activities in the futures industry, to promote the exchange and cooperation between the association and domestic and foreign academic institutions and organizations of the same kind;
- 8. Other duties authorized or entrusted by the council.

### 研究发展委员会成员名单 Members of Research & Development Committee

姓 名	职务	单 位
王化栋	主任委员	宏源期货有限公司

Name	Title	Company
Wang Huadong	Director of the Committee	Hongyuan Futures Co., Ltd.

### Talents Cultivation Fund **Management Committee**

- 制定各类专项基金的使用管理规则;
- 2. 决定专项基金的筹集和使用方向;
- 3. 审议和批准专项基金的年度预算和资助计划;
- 安排对专项基金进行年度财务审计; 4.
- 其它理事会授权或需要管委会决定的事项。
- To develop rules governing the use of the fund; 1.
- To decide fund raising and use of the fund;
- Plan and approve annual budget of the fund;
- Arrange annual financial audit;
- Other duties authorized or entrusted by the council.

# 12. 人才培养专项基金管理委人才培养专项基金管理委员会成员名单

### Members of Talents Cultivation **Fund Management Committee**

姓 名	职务	单 位
彭刚	主任委员	中国期货业协会

Name	Title	Company
Peng Gang	Director of the Committee	China Futures Association



### 专业委员会。

#### **Professional Committees**

### 13. 投资者教育专项基金管理委员会

### Investor Education Fund Management Committee

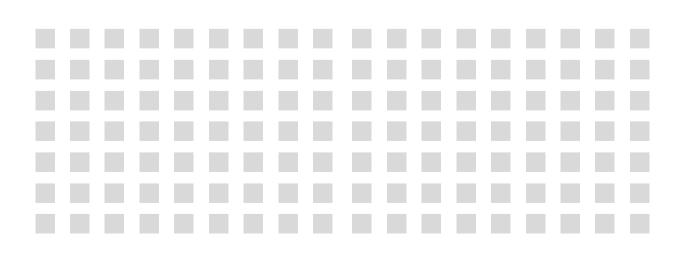
- 1. 制定各类专项基金的使用管理规则;
- 2. 决定专项基金的筹集和使用方向;
- 3. 审议和批准专项基金的年度预算和资助计划;
- 4. 安排对专项基金进行年度财务审计;
- 5. 其它理事会授权或需要管委会决定的事项。
- 1. To develop rules governing the use of the fund;
- 2. To decide fund raising and use of the fund;
- 3. Plan and approve annual budget of the fund;
- 4. Arrange annual financial audit;
- 5. Other duties authorized or entrusted by the council.

### 投资者教育专项基金管理委员 会成员名单

### Members of Investor Education Fund Management Committee

姓 名	职务	单 位
彭刚	主任委员	中国期货业协会

Name	Title	Company
Peng Gang	Director of the Committee	China Futures Association



### 机构设置及主要职责

#### Departments of China Futures Association and Key Responsibilities

### 1 办公室 General Office

**主要职责:**综合协调;党委会、会长办公会秘书;组织起草、修改综合材料;人力资源管理;财务管理;固定资产管理;外事管理;公文运转、核稿、印章、档案、机要保密工作;行政服务与后勤保障;期货人才培养专项基金和投资者教育专项基金管理委员会的沟通、协调和服务。

Key responsibilities: be responsible for comprehensive coordination in and out of the Association, be responsible for the secretarial work of the Party Committee and Chairmen's Conference, organize the drafting and amendment of comprehensive materials, be responsible for HR management, financial management, fixed asset management and foreign affairs management, manage circular operation, review, seal, record filing and confidential documents, be responsible for administrative services and logistics support, and be responsible for communication, coordination and services of the management committees of the Special Fund for Fostering Futures Talents and the Special Fund for Futures Investor Education.

### 2 会员一部 Member Department I

**主要职责**:组织推动期货经纪业务、跨境业务;负责经纪业务委员会、国际业务委员会的沟通、协调和服务工作;组织制订相关业务领域的自律规则;组织检查相关业务领域自律规则落实情况;负责协会与地方协会、交易所的自律协调;组织召开中国国际期货大会;开展行业评选、表彰与奖励工作;会员财务统计分析;理事会、专兼职会长工作会会务工作;统筹协会专业委员会建设。

Key responsibilities: organize and promote futures brokerage business and cross-border operations, be responsible for communication, coordination and services of the brokerage service committee and the international service committee, organize the formulation of the self-regulatory rules concerning relevant business areas, organize the inspection of implementation of self-regulatory rules concerning relevant business areas, be responsible for selfregulatory coordination with local associations and exchanges, organize the convening of China International Futures Conference, organize industrial appraisal, praise and award, carry out statistical analysis of financial information of members, be responsible for meeting affairs of the Board of Directors and work conference of full-time and parttime chairmen, and make an overall arrangement of the establishment of professional committees of the Association.

孙明福|Sun Mingfu

刘 涛|Liu Tao

27. 2014 中国期货业协会年报 Annual Report of China Futures Association 2014

#### Departments of China Futures Association and Key Responsibilities

### **3** 会员二部(筹) ■ Member Department II (preparatory)

**主要职责**:组织推动期货经营机构资产管理业务、投资咨询业务;负责期货资产管理业务委员会的沟通、协调与服务工作;组织制订相关业务领域的自律规则;组织检查相关业务领域自律规则落实情况;组织召开中国期货分析师论坛;负责会员发展、注册、会籍管理、会费收缴工作;负责会员信息平台和数据库管理,统计发布会员信息。

Key responsibilities: organize and promote the asset management business and investment consulting services of futures business institutions, be responsible for communication, coordination and services of the futures asset management business committee, organize the formulation of the self-regulatory rules concerning relevant business areas, organize the inspection of implementation of self-regulatory rules concerning relevant business areas, organize the convening of Chinese Futures Analyst Forum, be responsible for member development, registration, membership management and fees collection, be responsible for membership information platform and database, and take statistics on and release members' information.

### 4 创新支持部 (筹) Innovation Support Department (preparatory)

**主要职责**:参与制订行业创新发展规划与政策法规;协调落实协会关于推进行业创新的工作部署;组织推动期货公司风险管理公司试点业务;负责衍生品交易商委员会的沟通、协调和服务工作,推动培育衍生品交易商和场外衍生品业务开展;组织制订相关业务领域的自律规则;组织检查相关业务领域自律规则落实情况。

Key responsibilities: participate in the formulation of the industrial innovative development plan and policies and regulations, coordinate in implementation of the work deployment of the Association on promoting industrial innovation, organize and promote the pilot of risk management companies of futures companies, be responsible for communication, coordination and services of the derivative traders committee, promote the fostering of derivative traders and OTC derivative business, organize the formulation of the self-regulatory rules concerning relevant business areas, and organize the inspection of implementation of self-regulatory rules concerning relevant business areas.

# 自律监察部 Self-regulatory Supervision Department

主要职责:统筹制订协会自律规则,审核其他部门制订 的业务类自律规则;统筹协调对会员、从业人员的自律 检查,配合其他部门开展的业务类专项检查;对会员、 从业人员违反自律规则的行为进行调查处理;推动行业 诚信建设,负责投资者信用风险信息管理;组织开展纠 纷调解;推动反洗钱工作;负责协会内部法务;负责自 律监察委员会、申诉委员会、纠纷调解委员会的沟通、 协调和服务工作。

Key responsibilities: make an overall arrangement of the formulation of self-regulatory rules of the Association, review self-regulatory rules on business developed by other departments, make overall plans and coordinate self-regulatory inspection of members and practitioners, cooperate with other departments in special business inspections, investigate and handle members' and practitioners' violations of self-regulatory rules, promote industrial good faith construction, manage investors' credit risk information, organize dispute resolution, promote the anti-money laundering work, be responsible for internal legal affairs of the Association, and be responsible of communication, coordination and services of the self-regulatory supervision committee, the appeals committee and the dispute resolution committee.

# 考试认证部 Examination and Certification Department

主要职责: 拟定期货从业人员资格类别、标准及相关自 律规则;组织开展从业人员资格考试、期货投资分析考试、 高管资质测试;开展从业人员资格注册、变更、撤销工作; 管理维护从业人员数据库;统计分析从业人员信息。

Kev responsibilities: be responsible for the formulation of futures practitioners' qualification categories and standards, and relevant selfregulatory rules, organize practitioners' qualification tests, futures investment analysis tests and senior officers' qualification tests, carry out practitioners' qualification registration, modification and cancellation, management and maintain practitioner database and make statistical analysis of practitioners' information.

3.6 2014 中国期货业协会年报 Annual Report of China Futures Association 2014

#### Departments of China Futures Association and Key Responsibilities

# Training Department

主要职责:制定并组织实施行业人才培养规划;建立从 业人员培训体系;开展高管人员培训;组织实施从业人 员后续职业培训、专业培训;建设境内外期货人才培训 基地;开展行业后备人才培养;开展培训交流与合作; 负责期货人才培养委员会的沟通、协调与服务工作。

Key responsibilities: develop and implement talent training plan for the futures industry; establish practitioner training system; carry out trainings for executives; organize and implement follow-up vocational and professional trainings for practitioners; build domestic and foreign futures personnel training bases; promote back-up personnel training work; conduct training communication and cooperation; and assume the communication, coordination and service work with or for the Futures Talent Training Committee.

# 研究部 Research Department

主要职责:研究和参与拟订期货行业中长期发展规划、 法律法规及规章制度;开展专项研究,为政府、监管部 门和协会发展提供政策建议;组织实施"中期协联合研 究计划";组织编写中国期货业年度发展报告;组织编 写研究简报、信息专报;组织编写《中国期货》;研究 起草协会专项报告、领导讲话稿等综合材料;负责研究 发展委员会的沟通、协调与服务工作。

Key responsibilities: study and participate in drafting long-term development plan, laws and regulations and regulatory framework for futures industry; carry out special subject study and provide policy suggestions for government, regulators and the Association; organize and implement "CFA Joint Research Program"; organize the preparation of Annual Development Report of China's Futures Industry; prepare research reports and special information reports; organize the preparation of China Futures; study and participate in drafting comprehensive materials including special report of the Association and speech of the leaders; and assume the communication. coordination and service work with or for the R&D Committee.

# **分** 投资者教育部 Investor Education Department

**主要职责**:推动行业开展投资者教育工作、督促落实有关投资者教育自律规则;推动行业开展投资者适当性管理和投资者保护;组织开展投资者教育工作经验交流与检查;组织开展投资者教育活动,制作投资者教育产品;组织开展投资者教育和保护相关调查和研究;受理投资者的信访、投诉;负责协会新闻宣传、网站规划与管理;拟定相关工作领域的自律规则;负责投资者教育与保护委员会的沟通、协调与服务工作。

Key responsibilities: promote the implementation of investor education and supervise and implement self-regulatory rules concerning investors; promote the implementation of investor suitability management and investor protection; organize and implement experience exchange and inspection concerning investor education work; organize and implement investor education activities and prepare investor education products; organize and implement surveys and researches on investor education and protection; accept petition letters and complaints from investors; be responsible for the news publicity and network planning and maintenance of the Association; prepare selfregulatory rules for related businesses; and assume the communication, coordination and service work with or for the Investor Education and Protection Committee.

#### 余晓丽 | Yu Xiaoli

010-88087218

yuxiaoli@cfachina.org

# 10 信息技术部 Information Technology Department

**主要职责**:组织制定期货及相关行业信息技术标准及相关自律规则;组织检查相关工作领域自律规则落实情况;组织协调行业信息安全保障、交流与研究;组织开展证券期货行业科学技术奖励;参与组织行业信息安全风险评估及重大事故调查和鉴定;负责与行业三商的沟通协调;负责拟定协会信息系统建设规划、信息管理制度和工作指引;组织开发、管理协会信息系统、数据库系统、机房、视频会议系统、内部办公系统等自动化办公设施;负责协会灾备系统建设;为协会日常办公提供技术支持;负责信息技术委员会的沟通、协调与服务工作。

Key responsibilities: organize the preparation of IT standards and self-regulatory rules of futures and related industries; organize the inspection of relevant businesses or the carrying out of selfregulatory rules; organize and coordinate the safety guarantee, exchange and research of industrial information; organize science and technology awards of securities and futures industry; participate in and organize the information security risk assessment and the investigation and survey of major accidents in the industry; be responsible for the communication and coordination with software developers, market information providers and system service providers of the industry; draw up information system construction plan, information management system and work quidelines of the Association; organize the development and management of the information system, database system, computer room, video meeting system, internal office system and other automatic office facilities of the Association; be responsible for construction of the disaster recovery system of the Association; provide technical support for the daily office work of the Association; and assume the communication, coordination and service work with or for the IT Committee.

马文杰 | Ma Wenjie

010-88087078

mawenjie@cfachina.org

## 机构设置及主要职责

#### Departments of China Futures Association and Key Responsibilities

### 1 1 党委办公室(纪检办) Party Committee Office (Discipline Inspection Office)

**主要职责**:负责协会党委、纪委日常工作,协调工会、群团工作;协助做好党的组织建设、党风廉政建设、员工思想政治教育以及各类宣传活动;承担党委、纪委工作计划及相关文件的起草、修改;督促、协调、指导基层党支部和青年团工作;监督检查协会及工作人员贯彻执行国家法律、法规、政策以及内部制度的情况;受理对协会党员及工作人员的信访、投诉,依法依规开展调查处理。

Key responsibilities: be responsible for the daily work of the Party Committee and Discipline Inspection Committee and assist in the work of the Labor Union and other unions within the Association; assist in organizational construction. clean administration construction, ideological and political education and all kinds of publicity activities of the Association; draw up and modify the work plans and other relevant documents of the Party Committee and Discipline Inspection Committee; supervise, coordinate and direct the work of grassroots Party branches and Youth League; supervise and inspect the compliance with national laws, regulations, policies and internal systems by the Association and its staff; and accept petition letters and complaints from Party members and staff of the Association and conduct investigation and handling according to laws.



#### 中国期货业协会 China Futures Association

自律服务传导 Self-regulation Service Conduction

孙明福 | Sun Mingfu

010-88086239

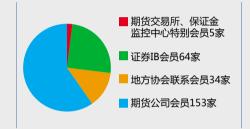
sunmingfu@cfachina.org

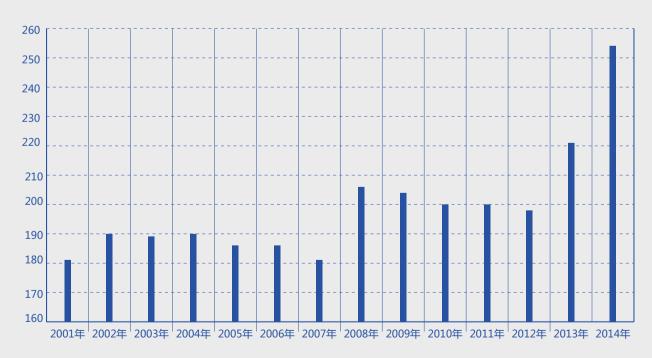
#### **Members Information**

## 1 会员结构 Members Structure

截至2014年底,协会共有会员256家,其中期货公司会员153家,期货交易所、保证金监控中心特别会员5家,证券IB会员64家,地方协会联系会员34家。

By the end of 2014, CFA has 256 members, including 153 members of futures companies, 5 special members of futures exchanges and China Futures Margin Monitoring Center, 64 members of introducing brokers companies and 34 affiliate members of local associations.





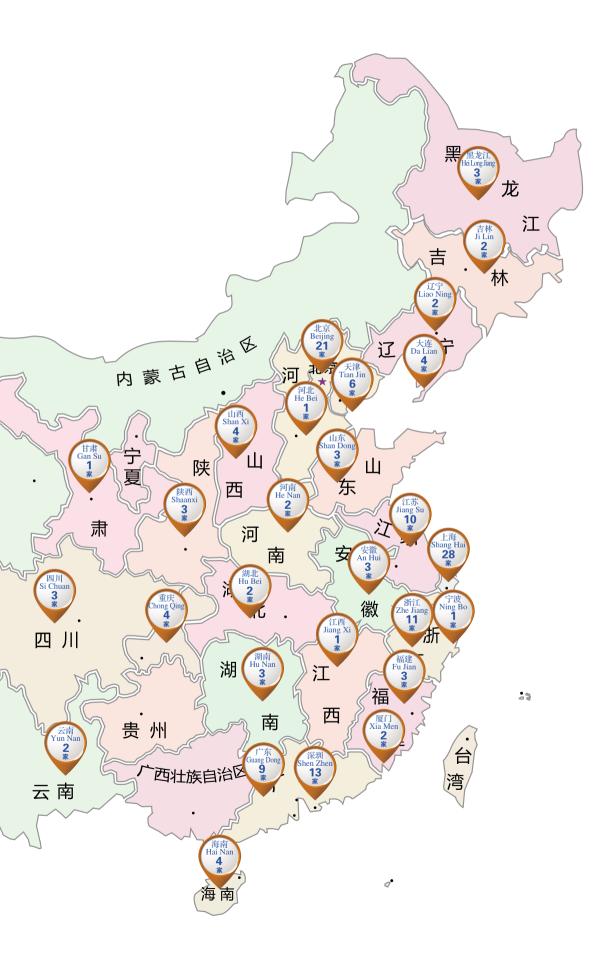
#### **Members Information**

# 2 期货公司会员情况 FCM Members Information

截至2014年底,全国共有153家期货公司,分布于30省市,公司数目超过10家的省市包括:上海(28家)、北京(21家)、深圳(13家)、浙江(11家)、江苏(10家),占公司总数的54.3%。

By the end of 2014, there are 153 futures companies in total, which are distributed in 30 provinces and cities. Those with over 10 companies include: Shanghai (28), Beijing (21), Shenzhen (13), Zhejiang (11) and Jiangsu (11), occupying 54.3% of the total.



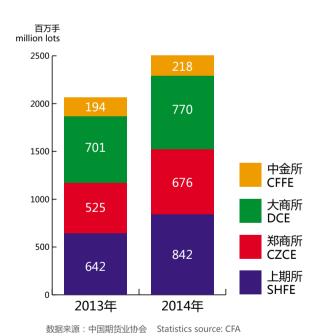


#### **Members Information**

# 3 2014 年期货市场交易情况 Transactions in the Futures Market in 2014

#### 1-12月全国期货市场累计成交量同比增长

A Year-on-Year Increase in Accumulative Transaction Volume of National Futures Market from January to December 2014



1-12月全国期货市场累计成交量为2505百万手同比增长21.54%;

From January to December, the accumulative transaction volume of national futures market was 2,505 million deals, a year-on-year increase of 21.54%;

上期所累计成交量为842百万手,占全国市场的33.61%,同比增长31.10%;

The accumulative transaction volume of Shanghai Futures Exchange was 842 million deals, accounting for 33.61% of total of national market, a year-on-year increase of 31.10%;

郑商所累计成交量为676百万手,占全国市场的26.99%,同比增长28.76%;

The accumulative transaction volume of Zhengzhou Commodity Exchange was 676 million deals, accounting for 26.99% of total of national market, a year-on-year increase of 28.76%:

大商所累计成交量为770百万手,占全国市场的30.71%,同比增长9.87%;

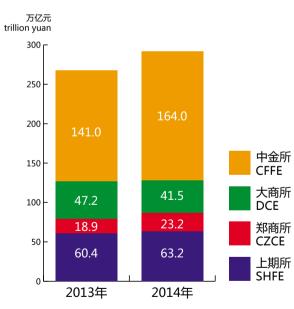
The accumulative transaction volume of Dalian Commodity Exchange was 770 million deals, accounting for 30.71% of total of national market, a year-on-year increase of 9.87%;

中金所累计成交量为218百万手,占全国市场的8.68%,同比增长12.42%。

The accumulative transaction volume of China Financial Futures Exchange was 218 million deals, accounting for 8.68% of total of national market, a year-on-year increase of 12.42%.

#### 1-12月全国期货市场累计成交额同比增长

#### A Year-on-Year Increase in Accumulative Transaction Value of National Futures Market from January to December 2014



数据来源:中国期货业协会 Statistics source: CFA

1-12 月全国期货市场累计成交额为 291 万亿同比 增长 9.16%;

From January to December, the accumulative transaction value of national futures market was RMB291 trillion, a year-on-year increase of 9.16%.

上期所累计成交额为 63.2 万亿元 , 占全国市场的 21.66%, 同比增长 4.67%;

The accumulative transaction value of Shanghai Futures Exchange was RMB63.2 trillion, accounting for 21.66% of total of national market, a year-on-year increase of 4.67%. 郑商所累计成交额为 23.2 万亿元 , 占全国市场的 7.96%, 同比增长 22.98%;

The accumulative transaction value of Zhengzhou Commodity Exchange was RMB23.2 trillion, accounting for 7.96% of total of national market, a year-on-year increase of 22.98%.

大商所累计成交额为 41.5 万亿元 , 占全国市场的 14.21%, 同比下降 12.00%;

The accumulative transaction volume of Dalian Commodity Exchange was RMB41.5 trillion, accounting for 14.21% of total of national market, a year-on-year increase of 12.00%.

中金所累计成交额为 164 万亿元 , 占全国市场的 56.17%, 同比增长 16.32%。

The accumulative transaction volume of China Financial Futures Exchange was RMB164 trillion, accounting for 56.17% of total of national market, a year-on-year increase of 16.32%.

#### 会员情况:

#### **Members Information**

# 4 2014 年期货公司经营情况 The Operation of Futures Companies

#### 代理交易情况 Agency transaction

2014年全国期货公司代理交易额以单边计算为291.99万亿元,同比增长9.17%;代理交易量为25.06亿手,同比增长21.53%。

The agency transaction of Chinese futures companies in 2014 is RMB 291.99 trillion (unilateral), a year-on-year increase of 9.17%; agency trading volume is 2.506 b lots, a year-on-year increase of 21.53%.

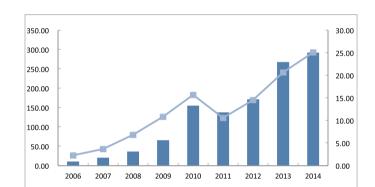
2014年金融期货代理交易额为164.02万亿元,交易量为2.18亿手,同比分别增长16.32%和12.42%,分别占全部份额的56.17%和8.68%。

In 2014, the financial futures agency turnover is RMB 164.02 trillion, in volume of 218 m lots, with year-on-year increases of 16.32% and 12.42%, taking up 56.17% and 8.68% of the market respectively;

2014年商品期货代理交易额为 127.97万亿元,代理交易量为 22.88亿手,同比分别增长1.19% 和22.48%,分别占全部份额的 43.83%和91.32%。

In 2014, the commodity futures agency turnover is RMB 127.97 trillion, in volume of 2.288 b lots, with year-on-year increases of 1.19% and 22.48%, taking up 43.83% and 91.32% 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2-1 期货公司金融期货与商品期货代理交易额占比情况

Fig. 2-1: Proportions of Agency Turnover of Financial Futures and Commodity Futures

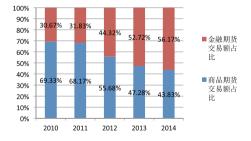
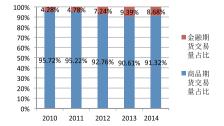


图2-2期货公司金融期货与商品期货代理交易量占比情况 Fig. 2-2: Proportions of Agency Volumn of Financial Futures and Commodity Futures

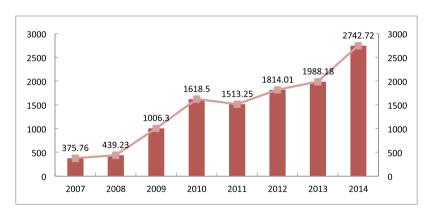


#### 客户权益 Client equity

截至2014年12月末,全国期货公司 客户权益总额为2742.72亿元,同比 增加37.95%,平均每家公司客户权 益为18.16亿元,同比增加42.54%。

As of December 31, 2014, the client equity of Chinese futures companies has reached RMB 274.27 b, a year-on-year increase of 37.95%.

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 Years (Unit: 100 Million Yuan)

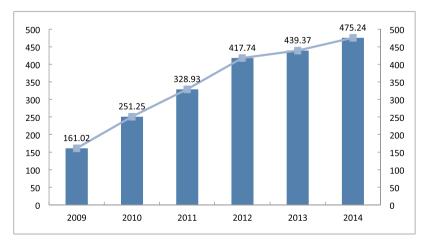


#### 净资本 Net capital

2014年末,期货公司净资本合计为 475.24亿元,同比增长8.16%。

The total net capital of futures companies at the end of 2014 reaches RMB 47.524 b, a year-onyear increase of 8.16%.

图4 期货公司净资本情况(单位:亿元) Fig. 4: Net Capital of Futures Companies (Unit: 100 Million Yuan)



#### **Members Information**

**与** 期货风险管理公司工商登记信息及开户情况(截至2014年12月31日)
■ Information on Industrial and Commercial Registration and the Opening of Accounts of Futures Companies and Risk Management Companies (as of December 31, 2014)

		风险管理公司相关信息		
序号	期货公司名称	公司名称	住所地	注册资本 (万元)
1	永安期货股份有限公司	浙江永安资本管理有限公司	杭州市西湖区教工路 199 号 5 楼 511 室	15000
2	浙商期货有限公司	浙江浙期实业有限公司	淳安千岛湖镇新安大街 75 号 502 室	20000
3	万达期货股份有限公司	百安赛贸易有限公司	中国(上海)自由贸易试验区芬辛路 20 号 2 号楼 101C 室	10000
4	广发期货有限公司	广发商贸有限公司	上海市洋山保税港区业盛路 188 号洋山保税 港区国贸大厦 A-1088H 室	20000
5	鲁证期货股份有限公司	鲁证经贸有限公司	深圳市前海深港合作区前湾一路鲤鱼门街一号前海深港合作区管理局综合办公楼 A 栋201室(入驻深圳市前海商务秘书有限公司)	15000
6	大地期货有限公司	浙江济海贸易发展有限公司	杭州市延安路 511 号元通大厦 1252、1258 室	4000
7	新湖期货有限公司	上海新湖瑞丰金融服务有限公司	上海市黄浦区南苏州路 381 号 410C07 室	5000
8	南华期货股份有限公司	浙江南华资本管理有限公司	杭州市上城区海潮路 53 号 108 室	20000
9	锦泰期货有限公司	江苏锦盈资本管理有限公司	南京市建邺区江东中路 359 号国睿大厦一号 楼 A 区 802 室	10000
10	方正中期期货有限公司	湖南际丰投资管理有限责任公司	长沙市高新区麓泉路与麓松路交汇处延农综合大楼 14 楼 E-008 房	3000
11	弘业期货股份有限公司	弘业资本管理有限公司	深圳市南山区粵兴二道 6 号武汉大学深圳产学研大楼 B815 房(入驻深圳市前海商务秘书有限公司)	10000
12	中信期货有限公司	中证资本管理(深圳)有限公司	深圳市南山区粤兴二道 6 号武汉大学深圳产学研大楼 B815 房	20000
13	宏源期货有限公司	宏源恒利(上海)实业有限公司	上海市洋山保税港区业盛路 188 号洋山保税 港区国贸大厦 A-1235 室	5000
14	中粮期货有限公司	中粮祈德丰投资服务有限公司	深圳市前海深港合作区前湾一路 1 号 A 栋 201 室(入驻深圳市前海商务秘书有限公司)	10000
15	金瑞期货有限公司	金瑞前海资本管理(深圳)有限公司	深圳市前海深港合作区前湾一路鲤鱼门街一号 A 栋 201 室(入驻深圳市前海商务秘书有限公司)	13000
16	海通期货有限公司	上海海通资源管理有限公司	上海市洋山保税港区业盛路 188 号洋山保税 港区国贸大厦 A-1088A 室	10000

	期货公司名称	风险管理公司相关信息			
序号		公司名称	住所地	注册资本 (万元)	
17	瑞达期货股份有限公司	瑞达新控资本管理有限公司	深圳市前海深港合作区前湾一路鲤鱼门街一号前海深港合作区管理局综合办公楼 A 栋 201 室(入驻深圳市前海商务秘书有限公司)	5000	
18	申银万国期货有限公司	申银万国智富投资有限公司	中国(上海)自由贸易试验区华京路 8 号三 联大厦 8 楼 837 室	5000	
19	华泰长城期货有限公司	华泰长城资本管理有限公司	深圳市前海深港合作区前湾一路鲤鱼门街一号前海深港合作区管理局综合办公楼 A 栋 201 室(入驻深圳市前海商务秘书有限公司)	20000	
20	银河期货有限公司	银河德睿资本管理有限公司	上海市虹口区四平路 421 弄 107 号 P302 室	20000	
21	光大期货有限公司	光大光子投资管理有限公司	中国(上海)自由贸易试验区富特北路 277 号三层 344 室	12000	
22	格林大华期货有限公司	格林大华资本管理有限公司	中国(上海)自由贸易试验区富特西一路 99 号四层 401-D1 室	10000	
23	中国国际期货有限公司	中期国际风险管理有限公司	北京市朝阳区建国门外光华路 14 号 1 幢 1008A 号	5008	
24	长江期货有限公司	武汉长江产业金融服务有限公司	湖北省武汉市东湖新技术开发区光谷三路 777 号	5000	
25	国投中谷期货有限公司	国投中谷(上海)投资有限公司	中国(上海)自由贸易试验区业盛路 188 号 国贸大厦 A-878A 室	5000	
26	五矿期货有限公司	五矿产业金融服务(深圳)有限 公司	深圳市福田区益田路西福中路北新世界商务中心 4801-B	10000	
27	上海东证期货有限公司	东证润和资本管理有限公司	中国(上海)自由贸易试验区业盛路 188 号 A-1433 室	20000	
28	海航东银期货有限公司	睦盛投资管理(上海)有限公司	中国(上海)自由贸易试验区	10000	
29	迈科期货经纪有限公司	迈科资产管理(上海)有限公司 	浦东新区南汇新城镇环湖西一路 333 号 C 座 F194 室	10000	
30	国贸期货经纪有限公司	国贸启润资本管理有限公司	中国 (上海)自由贸易试验区奥纳路 79 号 2幢 1106室	10000	
31	上海中期期货有限公司	上期资本管理有限公司	中国(上海)自由贸易实验区富特北路 181 号一层 132 室	10000	
32	国海良时期货有限公司	国海良时资本管理有限公司	杭州市河东路 91 号 207 室	5000	
33	东海期货有限责任公司	东海资本管理有限公司	中国(上海)自由贸易试验区外高桥保税区 富特北路 277 号 5 层 528 室	5000	

## 会员情况•

#### **Members Information**

期货风险管理公司工商登记信息及开户情况(截至2014年12月31日)
 ■ Information on Industrial and Commercial Registration and the Opening of Accounts of Futures Companies and Risk Management Companies (as of December 31, 2014)

		Relevant Information About Risk Management Company			
No.	Name of Futures Company	Company Name	Domicile	Registered Capital (ten thousand)	
1	Yong'an Futures Co., Ltd.	Zhejiang Yong'an Capital Management Co., Ltd	Room 511, 5/F, No. 199, Jiaogong Road, Xihu District, Hangzhou	15000	
2	Zheshang Futures Co., Ltd.	Zhejiang Zheshagn Futures Industrial Co., Ltd.	Room 502, No. 75, Xin'an Avenue, Qiandaohu Town, Chun'an	20000	
3	Wanda Futures Co., Ltd.	Baiansai Trading Co., Ltd.	Room 101C, Building No. 2, No. 20, Fenxin Road, Shanghai pilot free trade zone, China	10000	
4	GF Futures Co., Ltd.	GF Trading Co.,Ltd	Room A-1088H, Guomao Mansion, Yangshan Bonded Port Area, No. 188, Yesheng Road, Yangshan Bonded Port Area, Shanghai	20000	
5	Luzheng Futures Co., Ltd.	Luzheng Trading Co., Ltd.	Room 201, Comprehensive Off ice Building A, Authority of Qianhai Shenzhen-Hongkong Modern Service Industry Cooperation Zone, No. 1, Liyumen Street, Qianwanyi Road, Qianhai Shenzhen-Hongkong Modern Service Industry Cooperation Zone, Shenzhen (Settled in Shenzhen Qianhai Commercial Secretary Co., Ltd.)	15000	
6	Dadi Futures Co., Ltd.	Zhejiang Jihai Trade Development Co., Ltd.	Room 1252 & Room 1258, Yuantong Tower, No. 511, Yan'an Road, Hangzhou	4000	
7	Xinhu Futures Co., Ltd.	Shanghai Xinhu Ruifeng Financial Services Co., Ltd.	Room 410C07, No. 381, Suzhou Road, Huangpu District, Shanghai	5000	
8	Nanhua Futures Co., Ltd.	Zhejiang Nanhua Capital Management Co., Ltd.	Room 108, No. 53, Haichao Road, Shangcheng District, Hangzhou	20000	
9	Jintai Futures Co., Ltd.	Jiangsu Jinying Capital Management Co., Ltd	Room 802, District A, Building No. 1, Guirui Tower, No. 359, Middle Jiangdong Road, Jianye District, Nanjing	10000	
10	Founder CIFCO Futures Co., Ltd.	Hunan Jifeng Investment Management Co., Ltd.	Room E-008, 14/F, Yannong Comprehensive Tower, intersection between Luquan Road and Lusong Road, High-tech Zone, Changsha	3000	
11	Holly Futures Co., Ltd.	Holly Capital Management Co., Ltd.	Room B815, Shenzhen IER Building of Wuhan University, No. 6, Yuexing'er Road, Nanshan District, Shenzhen (Settled in Shenzhen Qianhai Commercial Secretary Co., Ltd.)	10000	
12	CITIC Futures Co., Ltd.	CITIC Capital Management (Shenzhen) Co., Ltd.	Room B815, Shenzhen IER Building of Wuhan University, No. 6, Yuexing'er Road, Nanshan District, Shenzhen	20000	
13	Hongyuan Futures Co., Ltd.	Hongyuan Hengli (Shanghai) Industrial Co., Ltd.	Room A-1235, Guomao Mansion, Yangshan Bonded Port Area, No. 188, Yesheng Road, Yangshan Bonded Port Area, Shanghai	5000	
14	COFCO Futures Co., Ltd.	COFCO Qidefeng Investment Services Co., Ltd.	Room 201, Building A, No. 1, Qianwanyi Road, Qianhai Shenzhen-Hongkong Modern Service Industry Cooperation Zone, Shenzhen (Settled in Shenzhen Qianhai Commercial Secretary Co., Ltd.)	10000	
15	Jinrui Futures Co., Ltd.	Jinrui Qianhai Capital Management (Shenzhen) Co., Ltd.	Room 201, Building A, No. 1, Liyumen Street, Qianwanyi Road, Qianhai Shenzhen-Hongkong Modern Service Industry Cooperation Zone, Shenzhen (Settled in Shenzhen Qianhai Commercial Secretary Co., Ltd.)	13000	

	Relevant Information About Risk Management Company				
No.	Name of Futures Company	Company Name	Domicile	Registered Capital (ten thousand)	
16	Haitong Futures Co., Ltd.	Shanghai Haitong Capital Management Co., Ltd.	Room A-1088A, Guomao Tower, Yangshan Bonded Port Area, No. 188, Yesheng Road, Yangshan Bonded Port Area, Shanghai	10000	
17	Ruida Futures Co., Ltd.	Ruida Xinkong Capital Management Co., Ltd.	Room 201, Comprehensive Office Building A, Authority of Qianhai Shenzhen-Hongkong Modern Service Industry Cooperation Zone, No. 1, Liyumen Street, Qianwanyi Road, Qianhai Shenzhen-Hongkong Modern Service Industry Cooperation Zone, Shenzhen (Settled in Shenzhen Qianhai Commercial Secretary Co., Ltd.)	5000	
18	Shenyin & Wanguo Futures Co., Ltd.	Shenyin & Wanguo Zhifu Investment Co., Ltd.	Room 837, 8/F, Sanlian Tower, No. 8, Huajing Road, China (Shanghai) Pilot Free Trade Zone	5000	
19	Huatai Great Wall Futures Co., Ltd.	Huatai Great Wall Capital Management Co., Ltd.	Room 201, Building A, No. 1, Liyumen Street, Qianwanyi Road, Qianhai Shenzhen-Hongkong Modern Service Industry Cooperation Zone, Shenzhen (Settled in Shenzhen Qianhai Commercial Secretary Co., Ltd.)	20000	
20	Galaxy Futures Co., Ltd.	Galaxy Derui Capital Management Co., Ltd.	Room P302, No. 107, Lane No. 421, Siping Road, Hongkou District, Shanghai	20000	
21	Everbright Futures Co., Ltd.	Everbright Guangzi Investment Management Co., Ltd.	Room 344, 3/F, No. 277, North Fute Road, China (Shanghai) Pilot Free Trade Zone	12000	
22	Gelin Dahua Futures Co., Ltd.	Gelin Dahua Capital Management Co., Ltd.	Room 401-D1, 4/F, No. 99, West Fute Road 1, China (Shanghai) Pilot Free Trade Zone	10000	
23	China International Futures Co., Ltd.	CIFCO International Risk Management Co., Ltd.	No. 1008A, Building 1, No. 14, Jianguomenwai Guanghua Road, Chaoyang District, Beijing	5008	
24	Changjiang Futures Co., Ltd.	Wuhan Yangtze Financial Services Co., Ltd.	No. 777, Guanggu Road 3, Donghu New Technology Development Zone, Wuhan, Hubei	5000	
25	SDIC CGOG Futures Co., Ltd.	SDIC CGOG (Shanghai) Investment Co., Ltd.	Room A-878A, Guomao Tower, No. 188, Yesheng Road, China (Shanghai) Pilot Free Trade Zone	5000	
26	Minmetal Futures Co., Ltd.	Minmetal Financial Services (Shenzhen) Co., Ltd.	New World Business Center 4801-B, North Fuzhong Road, West Yitian Road, Futian District, Shenzhen	10000	
27	Orient Futures Co., Ltd.	Orient Runhe Capital Management Co., Ltd.	Room A-1433, No. 188, Yesheng Road, China (Shanghai) Pilot Free Trade Zone	20000	
28	HNA FUTURES Co., Ltd.	Musheng Capital Management (Shanghai) Co., Ltd.	China (Shanghai) Pilot Free Trade Zone	10000	
29	Maike Futures Co., Ltd.	Maike Asset Management (Shanghai) Co., Ltd.	Room F194, Tower C, No. 333, Huanghuxi Road 1, Nanhuixincheng Town, Pudong New Area	10000	
30	ITG Futures Co., Ltd.	ITG Qirun Capital Management Co., Ltd.	Room 1106, Building No. 2, No. 79, Aona Road, China (Shanghai) Pilot Free Trade Zone	10000	
31	Shanghai CIFCO Futures Co., Ltd.	Shanghai Futures Capital Management Co., Ltd.	Room 132, 1/F, No. 181, North Fute Road, China (Shanghai) Pilot Free Trade Zone	10000	
32	Guohai Liangshi Futures	Guohai Liangshi Capital Management Co., Ltd.	Room 207, No. 91, Hedong Road, Hangzhou	5000	
33	Donghai Futures Co., Ltd.	Donghai Capital Management Co., Ltd.	Room 528, 5/F, No. 277, North Fute Road, Waigaoqiao Free Trade Zone, China (Shanghai) Pilot Free Trade Zone	5000	



2014年是我国期货及衍生品市场改革创新、继往开来的一年。 一年来,《国务院关于进一步促进资本市场健康发展的若干意 见》(以下简称"新国九条")正式出台,《关于进一步推进 期货经营机构创新发展的意见》(以下简称《创新意见》)、《期 货公司监督管理办法》(以下简称《公司办法》)相继发布实施, 全行业正迎来前所未有的重要机遇,改革创新蓄势待发。与此 同时,政府职能加快转变,行政体制改革进一步深化,在中国 证监会大力推进监管转型的总体思路下,中国期货业协会(以 下简称协会)作为行业自律组织,需要充分尊重市场规律,进 一步激发市场主体活力,面临着新的机遇和挑战。在此背景下, 协会以创新发展为工作主线,切实做好风险防范,加快自身转 型发展,紧紧围绕《创新意见》的起草和落实,开展了大量卓 有成效的工作。

The year of 2014 was a period when China futures and derivatives market reformed, innovated and forged ahead into the future. During the year, the Some Opinions of the State Council on Promoting Healthy Development of Capital Market ("New National Ninth Positive Stimuli" in short), the Opinions on Further Advancing Innovative Development of Futures Operation Institutions ("Innovative Opinion" in short), the Futures Companies Supervision and Administration Measures ("Company Measures" in short) were officially issued, and the industry was provided with unprecedented opportunities and was ready for reform and innovation. China Futures Association (CFA in short), as the industrial selfregulatory organization, took the innovative development as the outline, vigorously carried out the risk prevention work, speeded up the transformation and development of itself, and made many major achievements in drafting and performing the Innovative Opinion. It won the Grade 5A (the highest) in the evaluation of Chinese social organizations of the Ministry of Civil Affairs.





#### 一、以创新发展为工作主线, 参与起草和落实《创新意见》

Took the innovative development as the framework and participated in drafting and performing the Innovative Opinion

(一)配合证监会推出行业《创新意见》。在证监会的统筹安排下,与机构部共同完成《创新意见》的起草工作,明确了今后一段时期推进期货经营机构创新发展的总体原则和具体举措。《创新意见》的出台历经两年多的酝酿,在2012年《关于进一步推进期货行业改革开放和创新发展的若干指导意见》和《中国期货业十年发展规划纲要》的基础上,提出了八个方面的具体措施,为我国期货及衍生品行业未来发展指明了方向。在起草过程中,协会广泛征求和吸收来自监管部门、相关会管单位和会员单位的意见,在北京、上海、广州、重庆、西安、长沙等地召开了十余次座谈会,吸收和凝聚了全行业的智慧。9月16日,证监会正式发布《创新意见》,9月17日,协会组织召开首届"期货经营机构创新发展研讨会",来自立法机关、监管部门、学术机构、自律组织、现货企业、期货经营机构、境外对冲基金以及相关新闻媒体共400余名代表出席,围绕"新国九条"和《创新意见》进行了深入探讨和交流,正式开启了期货及衍生品行业创新发展的新纪元。

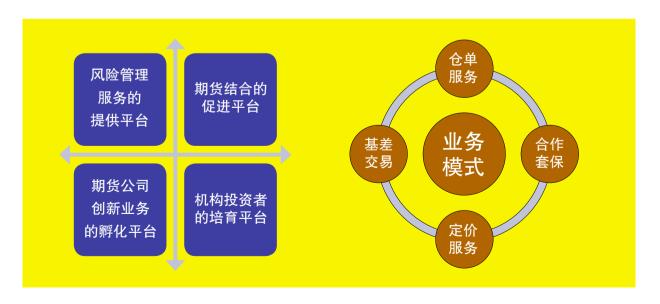
**Supported the CSRC to issue the Innovative Opinion**. CFA coworked with the Financial Institution Department in drafting the Innovative Opinion, and specified the overall principle and measures for advancing the futures operation innovative development. On September 16, the CSRC officially issued the Innovative Opinion, and on September 17, it convened the first "seminar of innovative development of futures operation institutions".





(二)积极稳妥推进风险管理公司业务试点工作。修订并发布实施《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(修订)》及配 套文件,取消事前评估,加强事中事后监管。启动新一批试点报备工作,进 一步扩大试点范围,目前已有33家期货公司开展风险管理公司业务,注册 资本总额 35.7 亿元, 共与实体企业签订 1048 笔服务合同, 期货交易成交总 金额 459.05 亿元, 业务总收入 22.05 亿元, 净利润总和 3431.12 万元。在 推动试点过程中,协会注重及时总结并推广风险管理公司服务实体经济的好 经验、好做法,已形成了"订单农业"模式(证监会已专报国务院)、 现结合"服务煤电企业、"基差贸易+点价交易"定价服务等典型案例,提 升了期货行业服务实体经济的能力和水平。同时,针对棉花、大豆等品种取 消收储,进行目标价格改革后的新情况、新问题,在部分风险管理公司组织 开展调查研究,探索了期货市场服务农产品目标价格的路径与模式。

Actively and steadily advanced the business pilot of the risk management companies. CFA revised, issued and performed the Guidelines for Carrying out the Pilot Program for Futures Companies to Establish Subsidiaries Mainly Engaging in the Provision of Risk Management Services (Revised), canceled the advance evaluation, strengthened the supervision during procedure and post-supervision, launched the new batch of pilot filing work, and further enlarged the scope of the pilot work. Presently, there are 33 futures companies engaged in risk management company business, with registered capital totalizing RMB3.57 billion. Contracts signed with entity enterprises reached 1,048, involving value of RMB45.905 billion, total revenue of RMB2.205 billion, and total net profit of RMB34.3112 million.



(三)积极推进期货公司资产管理业务。根据证监会《私募投资基金监督管理暂行办法》和《公司办法》,协会在机构部的支持下,制定发布了《期货公司资产管理业务管理规则(试行)》(以下简称《资管规则》),降低了期货资产管理业务的准入门槛,扩大了业务和投资范围,明确了自律管理机制,特别是放开了"一对多"业务,对于进一步做大做强期货资产管理业务、引导期货公司围绕财富管理进行转型升级提供了制度支持。截至12月31日,协会已受理24家期货公司的资管业务登记备案申请,7家已完成登记,152个资产管理计划申领了产品编码,13只资管产品(其中一对多3只)向基金业协会进行了备案,初始募集规模共计1.17亿元。

Actively advanced the assets management business of futures companies. CFA made and issued the Management Rules of Asset Management Business of Futures Companies (Trial). As of December 31, CFA had accepted the registration application of 24 futures companies, finished 7, and obtained the product code for 152 asset management plans, registered 13 asset management products (including 3 one-account-for-multiple-client products) with the Asset Management Association of China, with RMB117 million raised initially.

(四)研究推动了场外市场建设和交易商试点。与证券业协会、基金业协会成立联合工作小组,制订并发布《中国证券期货市场场外衍生品交易主协议(2014年版)》及补充协议、《中国证券期货市场场外衍生品交易权益类衍生品定义文件(2014年版)》。起草了场外衍生品商品定义文件、交易确认书,以及商品场外衍生品柜台业务试点方案。成立了衍生品交易商委员会,研究制订了衍生品交易商试点的相关自律规则、协议等文件。积极与期货经营机构、交易所、监管部门协商出台支持衍生品交易商试点的配套政策,特别是支持有条件的风险管理公司开展期权等衍生品做市业务的具体措施。

Made research and promoted the OTC market establishment and trader pilot. CFA, Securities Association of China and the Asset Management Association of China set up a joint work team and made and issued the Master Agreement of OTC Derivatives Trading on China Securities and Futures Market (2014 Edition) and the supplemental agreement and File of Definition of Equity Derivatives in OTC Derivatives Trading on China Securities and Futures Market (2014 Edition).

(五)积极参与了新品种上市筹备工作。配合原油期货上市,起草《境外投资者参与境内期货经纪合同》、《期货公司为境外经纪机构提供代理业务协议》

等4个协议文本。配合商品期权上市筹备,研究修订《期货经纪合同指引》、 投资者适当性制度、子公司参与期权做市等规则或方案,建立期权投资者测 试题库,研究起草证券期货经营机构参与股票期权交易试点的工作指引,以 及期货公司为证券公司提供中间介绍业务的有关办法。

Actively prepared for the new product's going to the market. CFA drafted 4 agreements, including Brokerage Contract of Overseas Investors Investing in Domestic Futures and Agreement of Futures Companies Offering Overseas Brokers Agent Service, to support the crude oil futures to come into the market.





(六)分层次分类别培养行业急需人才。起草了《中国期货业人才培训战略 规划(初稿)》,加大了对于创新型、国际化和后备人才等三类紧缺人才的 培养力度,建立健全了多层次、分类别、专业化的人才培养体系。2014年, 协会共组织开展现场培训 10 多期,包括 2 期期货公司高管人员培训、2 期 高管资质测试、2期信息技术人员培训、1期风险管理公司业务培训、2期金 融衍生品高级研修班、2期期权交易培训、1期场外衍生品交易主协议培训等, 累计培训高管和专业人员近 2000 余人。针对期货投资咨询、研究分析人员 以及金融衍生品人才的培养,分别推出了涵盖29个品种、78个学时的期货 品种分析系列课程,以及涵盖国债、期权、结构化产品、场外衍生品等在内 的 16 讲、24 个学时的金融衍生品网络系列课程,为行业培养了一批急需专 业人才。



Trained talents urgently needed in this industry at different levels and by different types. CFA organized more than 10 trainings, including 2 futures company senior executives trainings, 2 senior executive qualification tests, 2 information technological personnel trainings, 1 risk management company business training, 2 advanced classes of financial derivatives, and 2 option trading trainings, 1 training of master agreement of OTC derivatives trading. Total number of senior executive and professional learners got 2,000. It launched the futures variety analysis class covering 29 varieties and composed of 78 credit hours, and online financial derivative class composed of 16 subjects and 24 credit hours and covering national debt, option, structured products and OTC derivatives.

(七)为行业创新发展储备了一批后备人才。协会在北京、河南、浙江等7个地区举办期货后备人才培训班,累计培训500余人。与中金所联合举办了两届"全国高校大学生金融期货及衍生品知识竞赛"及"金融衍生品人才培养交流会",吸引了来自700多所高校的6万余名学生参赛,是迄今为止期货行业在高校层面覆盖面最广、参与学校和学生数量最多、社会反响最大的活动,促进了高校在金融衍生品方面的教学和学科建设。

Reserved a number of talents for the innovative development of this industry. CFA ran the futures reserve talents in seven places in China, with accumulative learners reaching 500. CFA teamed up with China Financial Futures Exchange and had held two "Knowledge Contest of Chinese College Student Financial Futures and Derivatives" and the "Financial Derivatives Talent Training Forum", which attracted more than 60,000 students from over 700 colleges and universities, being the most influential activity covering the largest number of colleges and students in futures industry.









(八)研究推动解决制约行业发展的若干热点问题。针对业内普遍关注的互联网开户问题,研究起草《期货公司网上开户规范》、《网上开户流程》及相关配套文件。就行业普遍关注的财税问题进行专项调研,起草《交易所返还对期货公司利润情况的影响》等5个研究报告。与保证金监控中心、交易所协商,推动解决风险管理公司设立特殊法人账户问题,形成《关于风险管理子公司开立二级账户有关问题的报告》。联合陕西证监局及有关会员单位,梳理制约期货市场发展的外部政策问题,围绕推动清理取消产业客户尤其国有企业运用风险管理工具的限制规定,初步形成研究报告及相关政策建议。配合机构部开展QFII、QDII相关制度调研。开展了对银行间市场、机构间市场准入条件的调研,了解限制市场准入的政策制度障碍。研究支持期货公司多种形式补充净资本的具体措施,初步拟定了《期货公司资本补充指引》。组织会员单位共同开展证券公司、基金管理公司等机构参与期货交易的现状和需求调研。围绕期货市场创新发展,组织开展第9期中期协联合研究计划,目前8个重点课题已完成结项评审。

Made research which contributed to the several hot issues restricting the development of this industry. CFA drafted the Specification on Futures Companies Opening Account Online, the Flow of Opening Account Online, the Influence of Exchange Return on Profitability of Futures Companies, the Report on Questions of Risk Management Subsidiaries Opening Secondary Accounts, etc. CFA organized the 9th CFA Joint Research Program, and the completion examination and approval for 8 key projects done.

## 二、以投资者保护为工作重点,切实强化了自律和服务

Emphasized investor protection and strengthened self-discipline and service

(一)积极推动了法规制度建设。积极参与《期货法》的立法进程,开展期货经营机构、行业自律组织、期货纠纷处理等专题研究工作,组织会员单位就相关内容提供立法建议。积极参加人大财经委、证监会组织的《期货法》立法座谈会,参与证监会《期货法立法资料汇编》的编写工作。配合证监会法律部完成有关《期货法》征求意见回复,特别是重点围绕期货经营机构发展定位、业务类型,场外市场建设,行业协会定位及职责等内容进行了深入的研究,提出了相关建议。配合证监会行政审批制度改革,对协会的审核、备案等四类共计31项工作进行流程梳理,取消备案报告事项10项。起草了《期货公司董事、监事和高级管理人员任职备案工作指引》(初稿),拟定了《注册期货分析师分级分类管理办法》。

#### Vigorously promoted the establishment of laws and regulations.

CFA took initiative to participate in the legislative process of the Futures Law and compilation of the Compilation of Legislation Data of Futures Law by CSRC. CFA organized the 31 tasks of the association, including review and filing, canceled 10 filing report procedures, drafted the Guidelines of Office Holding Filing of Directors, Supervisors and Senior Executives of Futures Companies (initial draft), and drew up the Registered Futures Analyst Classified Management Measures.



(二)大力加强了投资者教育和保护。编写一套 2 册投资者保护丛书(《期 货导航——基础知识》、《期海护航——保护与维权》)、9册投教品种丛 书。与上市公司协会合作制订《上市公司利用期货及衍生品市场专项活动策 划方案》,联合地方政府、证监局在太原、济南、沈阳等地开展6期"期货 市场牵手产企"系列服务活动,在河南、湖南、山东、陕西等地开展6期"期 货服务上市公司"联合培训,参加培训的上市公司逾500家,企业高管达 1400多人。与上市公司协会联合举办"2014中国上市公司风险管理论坛", 就上市公司如何参与和利用期货市场进行深入探讨。发布《2013年期货市 场投资者保护与教育服务工作报告》,启动"2014年期货投资者保护宣传 计划",组织开展"3·15"期货投资者保护宣传统一行动,与中国证券报合 作开展"创新背景下的投资者保护"专题活动,在全行业开展以防范非法期 货为主题的"12.4" 法制宣传等活动。参与起草证券期货投资者适当性标准。 组织"期货市场投资者的自律保护"研究,研讨新形势下投资者保护的工作 思路。制订《中国期货业协会调解规则》等4个办法,成立期货行业调解委 员会,建立调解员队伍,开展调解员培训工作。畅通投资者投诉渠道,制订 协会投资者投诉处理办法。今年以来共接受并处理 43 起咨询和投诉,书面 答复 32 个 "12386" 投资者热线问题。

Vigorously strengthened investor education and protection. CFA compiled a set of two investor protection books-Futures Navigation-Basic Knowledge and Futures Sea Escort-Protection and Rights Safeguarding, and a set of 9 investment education books. Six "futures market co-working with enterprises" activities and six "futures serve public companies" trainings were held, with 500 public companies and 1,400 senior executives attending. The "Publicity Program of Futures Investor Protection 2014", the "3.15" futures investor protection promotion, and the "12.4" legal publicity for preventing illegal futures were carried out. In addition the China Futures Association Mediation Rules and other three measures were launched, and the futures association mediation committee and mediation work team were set up for training the mediators. In 2014, there were a total of 43 consultation and complaint cases accepted and 32 written replies for "12386" investor hot line questions.







(三)调整优化了从业人员管理。根据证监会关于证券期货经营机构董事、监事、高级管理人员及从业人员的制度安排,及时调整、简化高管资质测试的方式方法,编写了《高管人员资质测试大纲》,完善了测试题库,启动了机考准备工作。协商期货保证金监控中心,开通了从业人员开户查询系统。组织开展了5次全国从业人员考试和3次投资咨询考试,加强了从业人员数据库管理,截至2014年12月31日,在协会注册的期货从业人员共计50895人,较去年同期增长了3.5%,其中期货公司从业人员30662人;证券IB机构介绍业务人员20233人。强化自律惩戒,共对9名违反自律规则的从业人员给予了纪律惩戒。

Adjusted and optimized management of practitioners. CFA compiled the Outline of Senior Executive Qualification Test, improved the test question library, and started the computer-based testing. CFA organized 5 national practitioner tests and 3 investment consultation tests, which strengthened the practitioner database management. As of December 31, 2014, futures practitioners registered with CFA totaled 50,895, 3.5% up over a year before. Among them, practitioners in futures companies were 30,662, and introducing salesmen in securities IB institutions 20,233. In addition, CFA intensified the punishment on discipline violation, with 9 practitioners punished.

(四)推进了期货市场信息系统建设。与证券业协会、基金业协会共同制订《证券期货业信息技术人员技术能力评定管理办法》。完成《期货公司信息技术管理指引》及其实施细则的修订工作。开展 2014 年期货公司信息技术检查评级工作,53 家期货公司通过了升级检查和抽查,达到了相应类别技术等级要求。起草了《关于行业软件开发商引导和监管的初步思路》,初步探讨将"三商"纳入自律管理的可行性。

Advanced information system establishment of the futures market. CFA, Securities Association of China and Asset Management Association of China co-worked on developing the Administrative Measures for Competence Evaluation of Information Technological Personnel in Securities and Futures Industries, and the Guidelines of Information Technology Management for Futures Companies. CFA conducted the information technology review and rating on futures companies for 2014, with 53 companies passing the upgrading review and the sample examination.

























(五)促进了行业宣传交流。围绕落实"新国九条",组织开展"多层次资 本市场框架下的期货市场发展创新"征文宣传活动,向全行业征集文章303 篇。以"重装上阵·定制未来"为主题,顺利召开"第八届中国期货分析师论 坛";以"改革与创新·竞争与融合"为主题,成功举办第十届中国国际期货 大会;其中,作为全球规模最大的国际期货行业盛会,后者已经成为推进中 外期货业界交流、合作发展的重要平台。与芝加哥期权交易所(CBOE)、 全球期货业协会(FIA Global)、美国期权行业协会(OIC)等3家机构签 署了合作备忘录(MOU),接待了10多家境外机构来访。全年出版6期《中 国期货》杂志,组织编撰《中国期货业发展报告(2013年度)》,开通"中 期协发布"官方微信,对协会官网进行全面升级改版。通过上述工作,营造 了行业创新交流氛围,促进了行业内外的沟通合作。

Promoted publication and communication of the industry. CFA organized the "Innovative Development of Futures Market in the Multilevel Capital Market Framework" calling for paper activity, receiving 303 papers. CFA successfully held the "8th China Derivative Futures Analyst Forum", and the 10th China International Futures Conference. Besides, CFA, CBOE (Chicago Board Options Exchange), FIA Global and Options Industry Council (American) signed the MOU. In this year, CFA published 6 China Futures periodicals, organized the compilation of China Futures Industry Development Report (2013), and opened the official WeChat "China Futures Association Publication".



三、以落实监管转型为核心理念,全面加强协会自身建设

Took Supervision
Transformation as the
Core Concept and
Strengthened the selfestablishment of CFA

(一)顺利完成了协会换届工作。经过半年时间的认真筹备,协会第四次会员大会于9月17日至18日在京召开,会议表决通过了《中国期货业协会第四次会员大会工作报告》、《中国期货业协会章程(修订草案)》以及《中国期货业协会财务工作报告》,选举产生了第四届协会理事会,产生了新一届协会领导班子。此次大会进一步明确了协会的功能定位,优化了会员结构,完善了组织机构;为进一步发挥协会的自律、服务、传导作用奠定了坚实基础。截至12月31日,协会共有会员256家,其中期货公司会员153家,证券公司会员64家;特别会员5家(期货交易所会员、保证金监控中心),联系会员(地方协会)34家。

Successfully changed the term of office. On September 17-18, CFA held the 4th general meeting in Beijing and selected the Fourth Council of CFA. As of December 31, members of CFA reached 256, including 153 futures companies and 64 securities companies; 5 special members (futures exchange and margin monitoring center) and 34 associate members (local associations).



(二)进一步优化了协会工作机制。贯彻落实"新国九条"精神和证监会工 作部署,按期参加期货监管联席会议;围绕《创新意见》落实,与机构部、 期货部、创新部、监控中心等有关部门建立定期沟通机制,加强对有关问题 的协商沟通。修订《理事会工作办法》,推动理事尽职履职;制定《专业委 员会管理办法》,成立经纪、资管等13个专业委员会,充分发挥行业智慧 和参与热情,推动形成会员自我管理、自我约束的工作机制。撰写并报送《情 况反映》13期,及时反映行业在创新发展过程中的问题和成果,促进了行政 监管与自律管理的良性互动。

Furthered improved work mechanism of CFA. CFA revised the Council Work Measures, developed the Professional Committee Administrative Measures, founded 13 professional committees including brokerage and asset management committees, wrote and submitted 13 articles to the Information Reporting, having reported the issues and achievements during the innovative development in a timely manner, and promoted the sound interaction between administrative supervision and self-discipline management.

(三)进一步改进了工作作风。严格落实教育实践活动整改方案、专项整治 方案、制度建设计划,每月进行一次"回头看",每季度汇总梳理一次书面报 告。目前完成整改事项65项,占比79.3%;正在推进(需长期坚持)12项, 占比 14.6%。其中,推动解决会员关心关注的热点问题 9 项,建立了会员定 期走访和中小会员诉求反映机制,拓展了联系会员的广度和深度;清理优化 内部公文审批 48 项,削减出访团组 5 个。围绕"三重一大"决策机制,制 定修订内部制度20项、特别是认真研究制定了创新业务登记备案的工作规则、 流程和工作底稿,坚持依法合规开展自律管理工作;贯彻落实民主集中制, 修订了《中国期货业协会党委会议规则》和《中国期货业协会会长办公会议 规则》,进一步规范党委班子和行政班子议事规则,坚持重大问题事前充分 酝酿、广泛征求行业意见、集体决策的工作机制。通过上述措施,协会文风、 会风、作风建设得到了进一步改进和加强。

Further improved working style. CFA conducted a "looking back" activity every month and made a written summary report every quarter, having rectified 65 tasks, about 79.3% of the total. Among them 12 tasks are underway (needing to be continued for long), accounting for 14.6%. And 9 tasks were about promoting solving the hot issues concerned by the members, 48 were internal official documents approval cleared and optimized, and 5 were delegations canceled. CFA, surrounding the "Three Important and One Major" decision making mechanism, made and revised 20 internal systems.



## 中国期货业协会章程(2014年9月18日)

■ Articles of the China Futures Association (18 September, 2014)

(截至 2015 年 1 月 8 日, 共 42 件) (As of January 8, 2015, there are 42 items in total)

#### 会员和从业人员管理类

Administration of Members and Practicing Personnel

2. 中国期货业协会会员管理办法

Administrative Measures for the Members of China Futures Association

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)

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)

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)

4.中国期货业协会会费收取办法

Association Dues Collection Measures of China Futures Association

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)

5. 中国期货业协会会员自律公约

Member Self-regulatory Convention of China Futures Association

Disciplinary Punishment Program 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

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

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)

13.中国期货业协会行业信息管理平台管理规则

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(修订)

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

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 (Revised)

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 (Trial)

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)

29.《中国证券期货市场场外衍生品交易主协议(2014年版)》、《中国证券期货市场场外衍生品交易权益类衍生品定义文件(2014年版)》

Master Agreement for Over-the-Counter Derivatives Trading of China's Securities and Futures Markets (2014 edition), Definition File on Equity Derivatives of Over-the-Counter Derivatives Trading of China's Securities and Futures Market(2014 edition) Administrative Rules for Asset Management Business of the Futures Company (Trial)

## 37.股指期货交易会员端系统接口开放指引

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

## 38.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

#### 信息技术类

**Information Technology** 

31 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)

## 32.期货公司信息技术管理指引检查细则(修订)

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

## 33.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 Securities and Futures (Trial)

## 34.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 Securities and Futures Institute (Trial)

#### 35. 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

#### 36。股指期货风险监控系统功能要求指引 Guidelines for the Functional Requirements of Stock Index Futures Risk Monitoring System

#### 调解规则

**Mediation Rules** 

39.中国期货业协会调解规则

Mediation Rules of the China Futures Association

## 40\_中国期货业协会调解员守则

Rules for Mediators of the China Future Association

## 41 中国期货业协会调解员聘任管理办法 Administrative Measures for Appointment of

Administrative Measures for Appointment of Mediators of the China Future Association

## 42.中国期货业协会调解委员会工作办法

Working Measures for Mediation Committee of the China Futures Association



# □ 1月 10日,中国证监会主席助理张育军同志听取了中国证监会期货二部与协会的工作汇报,并对协会2014年工作思路进行了指导。

On January 10, Zhang Yujun, Assistant of Chairman of China Securities Regulatory Commission (CSRC) listened to the report of the Futures Department II of CSRC and gave instructions for work plan for 2014.

□ 1月 10 日,协会在郑州召开期货分析师委员会 2014 年第一次工作会议,会议讨论了期货分析师分级分类 管理办法,商定了 2014 年分析师委员会工作计划。

On January 10, China Futures Association (CFA) convened the first meeting of 2014 of the Futures Analyst Committee in Zhengzhou, at which the grade management measures of futures analysts were discussed and work plan for the committee for 2014 made.

□ 1月14日,协会组织召开2013-2014年度期货后备

人才培养工作视频会议。

On January 14, CFA convened the video meeting of futures reserve talents training work for the period of 2013-2014.

□ 1月 15-17 日,协会领导赴浙江、江苏就期货公司风险管理服务公司试点业务开展了走访调研,分别听取了 5 家风险管理公司业务开展情况的汇报,并与中国神华、伊泰集团等能源企业和国信集团及旗下多个发电企业进行了座谈。

On January 15-17, CFA leaders went to Zhejiang and Jiangsu for inspection and survey for the pilot business of the futures companies and risk management service companies. They listened to report of business operation from five risk management companies and had meeting with China Shenhua, Inner Mongolia Yitai Group and other energy companies, and CGIG power generation companies.

# 二月 - February

□ 2 月 17 日,协会领导与中国证券业协会就场外衍生品 交易主协议的制订发布工作进行了沟通交流,双方就 建立工作小组、联合发布统一的主协议及配套文件达 成了共识。

On February 17, CFA leaders and the Securities Association of China exchanged ideas in regard to preparation and issuance of the master agreement of OTC derivatives trading. They reached an agreement of setting up a working team and issuing the unified master agreement and supporting documents.

□ 2月26日,协会在北京召开《期货法》立法工作会议,研究讨论《期货法》建议稿。

On February 26, CFA convened the legislative

work meeting of Futures Law and discussed the proposal of the law.

□ 2 月下旬,协会召开纪律委员会视频会议,对从业人员违反自律规则的两个案件作出处理决定。

In late February, CFA conducted video meeting of the disciplinary committee, making decisions for two cases violating disciplines.

□ 2月,协会启动以"买者自慎、卖者有责"为主题的 期货投资者保护宣传计划。

In February, CFA launched the plan of publication of protection of futures investors themed at "Buyers should be prudent and sellers responsible".

# 3

## 三月

#### March

- □ 3月11日,协会召开纪律委员会第十一次案件处理会议,对从业人员违规代客理财案件做出纪律惩戒决定。 On March 11, CFA convened the treatment meeting for the 11th case of the disciplinary committee, deciding to give punishment to the practitioners violating the regulations of managing money for clients.
- □ 3月12日,协会在北京召开期货行业研究工作座谈会。 On March 12, CFA held forum on futures industry research in Beijing.
- □ 3 月 20 日,中国期货保证金监控中心和 64 家证券公司加入协会,分别成为协会特别会员和介绍经纪商会员。
  - On March 20, China Futures Margin Monitoring Center Co., Ltd. and 64 securities companies joined CFA, becoming the special member and the introducing broker member respectively.
- □ 3 月 20 日,协会召开期货人才培养专项基金管理委员会及期货投资者教育专项基金管理委员会工作会议,原则通过了关于期货人才培养专项基金和期货投资者教育专项基金 2013 年收支情况及 2014 年预算情况的报告。

On March 20, CFA held the meeting of Special Fund Management Committee for Futures Talents Training and Special Management Committee for Futures Investors Education. In principle, the special fund for futures talents training and reports on educational fund for futures investors of 2013, income and expenditures of futures talent training fund and budget of 2014 were approved.

□ 3月21日,协会在北京召开第三届理事会第十七次会议。会议通报了特别会员理事代表变更情况,根据会长提名,选举郭晓利同志和鲁东升同志为协会兼职副会长。会议审议并原则通过《关于中国期货业协会专项基金委员会委员调整的报告》、《关于中国期货业协会2013年度财务决算和2014年预算情况的报告》、《关于中国期货业协会专项基金2013年度财务决算和2014年预算情况的报告》、《注册期货分析师分级分类管理办法》和《证券期货业信息技术人员技术能力评定管理办法》。

On March 21, CFA convened the 17th Meeting of the Third Council in Beijing. The meeting reported the change in special council representatives, and elected Guo Xiaoli and Lu Dongsheng as the parttime Vice Chairman according to nomination of the Chairman. In principle, documents including Report on Member Adjustment of Special Fund Committee of CFA, Report on Financial Statement of 2013 and Financial Budget of 2014 of CFA, Reports on Educational Fund for Futures Investors of 2013, Income and Expenditures of Futures Talent Training Fund and Budget of 2014, Registered Futures Analyst Classified Management Measures, and Administrative Measures for Technique Skills Evaluation of IT Personnel in Securities and Futures Industries were passed.

□ 3 月 , 协会官方微信 "中期协发布"完成认证 , 并正式上线。

In March, the official WeChat the CFA Publication was authenticated and went online.



#### April

- □ 4月1日,中国证监会主席肖钢同志到协会调研,听 取了协会工作汇报,并对当前市场发展以及行业普遍 关注的问题进行了指导。
  - On April 1, CSRC Chairman Xiao Gang inspected in CFA, listened to reports and gave instructions on current market development and issues of this industry widely concerned.
- □ 4月2-3日,协会召开诚信评价工作组第一次工作会议, 就期货行业诚信评价原则、范围、方法、体系框架和 指标体系进行了深入研究。
  - On April 2-3, CFA convened the first meeting of the good faith evaluation team, making deep research on principles, scope, methods, system frame and indicator system of the good faith evaluation of the futures industry.
- □ 4月9日, 协会在杭州举办 2014 年第一期期货公司 风险管理公司业务培训班。来自国内期货公司及其风 险管理公司的 159 名学员参加了培训。
  - On April 9, CFA ran the first training course of the futures companies and risk management company business for 2014 in Hangzhou. 159 learners from domestic futures companies and risk management companies attended the class.
- □4月9日,协会在杭州召开期货公司风险管理公司业 务试点情况座谈会,中国证监会主席助理张育军同志 出席会议并作总结讲话。
  - On April 9, CFA held the forum of pilot business of futures companies and risk management companies. Assistant of Chairman of CRSC Zhang Yujun presented and gave summary speech.
- □ 4月10日,协会起草完成《2013年期货市场投资者 保护与教育服务工作总结报告》。
  - On April 10, the Summary Report of Investor Protection and Education on Futures Market for 2013 was drafted.
- □ 4月11日,协会召开期货行业纠纷调解工作组第一次

- 会议,就纠纷调解工作与工作组成员进行沟通交流。 On April 11, CFA held the first meeting of Team of Dispute Resolution for Futures Industry, having exchanged opinions on the dispute resolution with members of the team.
- □ 4月11日,协会在杭州召开第三届理事会信息技术委 员会第六次会议,会议对信息技术委员会 2014 年度 重点工作计划、"三商"工作机制和行业安全问题、《期 货公司信息技术管理指引(修订)》等议题进行了讨论。 On April 11, Sixth Information Technology Commission Meeting of the Third Council of CFA was held, at which the plan of key work of the Information Technology Commission for 2014, the
  - "three merchants (i.e.: manufacturer, distributor and service provider)" work mechanism, industrial safety issues, and the Guideline of Information Technology Management of Futures Companies (Revision) were discussed.
- □ 4月11日,协会在杭州召开分析师委员会 2014年第 二次工作会议,会议研究讨论了高级注册期货分析师 申请和评审细则等相关问题。
  - On April 11, CFA convened the second meeting of 2014 of the Futures Analyst Committee in Hangzhou, at which topics of senior registered futures analyst application and detailed evaluation details were discussed.
- □ 4月11日,协会在杭州召开2014年联系会员座谈会。 On April 11, the 2014 Associate Member Forum was held by the CFA in Hangzhou.
- □ 4月11-12日,协会在杭州举办第八届中国期货分析 师论坛,本届论坛以"重装上阵·定制未来"为主题。 On April 11-12, CFA held the "8th China Futures Analyst Forum" in Hangzhou, which was themed at "Solemn on Stage • Customize the Future".
- □ 4月15日,协会正式启动中期协联合研究计划(第九 期)申报工作。

On April 15, CFA officially launched the application of the 9th CFA Joint Research Program.

□ 4月 17日,民政部民间组织管理局副局长廖鸿同志莅临协会指导工作,听取了协会关于基本情况、内部治理及工作业绩等方面的汇报。

On April 17, Liao Hong, Deputy Director General of the Non-governmental Organization Administration of Ministry of Civil Affairs, visited CFA for giving instructions, and listened to the report of basic information, internal governance and performance of CFA.

□ 4月18日,协会新版网站正式上线。

On April 18, the new website of CFA went online.

□ 4月 24日,协会组织召开期货行业研究工作第一次联席会议,建立了《期货行业研究工作联席会议制度》。 On April 24, CFA organized the first joint conference of futures industry research and established the Joint Conference System of Futures Industry Research.

## 5

### 五月 ·

#### May

□ 5月7-11日,由协会和中国金融期货交易所联合主办的全国高校大学生金融期货及衍生品知识竞赛-网上竞赛阶段圆满结束,共有730所高校的30744名学生报名参赛,其中3416名学生入围集中竞赛阶段。

On May 7-11, the online competition of the knowledge contest of national college student financial futures and derivatives co-hosted by CFA and China Financial Futures Exchange came to a happy termination. There were a total of 30,744 students from 730 colleges and universities attending, among which 3,416 entered the conceptualized competition.

□ 5月16-17日,协会在北京举办第二十四期期货公司 高管人员任职资质测试,128名拟任高管参加测试, 122人通过了测试。

On May 16-17, the 24th Session of Qualification Test of Futures Company Senior Executives was held by CFA in Beijing. 128 senior executives took the test and 122 of them passed it.

□ 5月21和24日,协会分别在上海和杭州举办期货后备人才培训班,共有220名高校应届毕业生参加培训。

On May 21 and 24, CFA provided the futures reserve talents training class in Shanghai and Hangzhou respectively, with 220 college graduating students taking the class.

□ 5月22日,民政部发布了2013年度全国社会组织等级评估结果公告,协会等14家社会组织被授予民政部最高评估等级--5A级荣誉。

On May 22, the Ministry of Civil Affairs issued the evaluation result of the grade of social organizations of China for 2103. CFA and other 14 social organizations were rated as the Grade 5A.

□ 5 月中下旬,协会积极响应"新国九条"的发布,组织会员围绕"新国九条"精神对期货市场发展的影响进行了深入解读和阐释。

In mid-to-end of May, CFA, responding actively to the "New National Ninth Positive Stimuli", organized its members to do deep explanation and interpretation of the influence of the "New National Ninth Positive Stimuli" on development of futures market.

## 6

### 六月

#### June

□ 6月13日,协会组织开展多层次资本市场框架下的期货市场发展创新宣传征文活动,引导会员单位深入贯彻落实"新国九条"精神。

On June 13, CFA organized the publication activity of futures market development and innovation in the multi-level capital market framework, leading the member organization to carry out the spirit of the "New National Ninth Positive Stimuli".

□ 6月 18-19 日,协会召开中期协联合研究计划(第九期) 课题招标评审会,对来自期货公司、高等院校及其它研究机构的57份申请书进行了评审。

On June 18-19, CFA held the project tender review of the 9th CFA Joint Research Program, reviewing 57 applications from futures companies, colleges and other research institutes.

□ 6月 19日,协会召开第三届理事会信息技术委员会第七次会议,重点对《期货公司信息技术管理指引》及细则修订稿、期货公司互联网开户等议题进行了讨论。On June 19, the 7th Information Technology Commission Meeting of the Third Council of CFA was held, which revised the detailed regulations of the Guideline of Information Technology

Management of Futures Companies and discussed topics such as internet account opening of futures companies.

□ 6 月 19 日,协会组织召开期货行业"三商"座谈会,信息技术委员会委员和部分期货交易软件开发商、行情商、技术服务提供商代表参加了会议。

On June 19, CFA organized the "three practitioners" forum, with representatives of the Information Technology Commission, futures trading software developers, market quotation providers, and technological service providers presenting.

□ 6月,协会有序推进第四次会员大会筹备工作,对《中国期货业协会章程》等文件进行了起草修订,并向中国证监会相关部门、民政部、会员单位广泛征求了意见。

In June, CFA orderly prepared the 4th general meeting, initially revised the Articles of China Futures Industry Association and other documents, and asked for opinions from concerning departments of CSRC, the Ministry of Civil Affairs, and the member organizations.

## 七月 -July

□ 7月 10 日,协会第三届理事会第十八次会议在北京召 开。会议通报了协会第四次会员大会筹备工作有关情况,审议并原则通过了《期货公司信息技术管理指引 (修订)》及检查细则(草案)、《第四届理事会候选会员理事及候选理事代表产生办法》(草案)以及第三届理事会信息技术委员会委员变更和增补名单等

#### 事项。

On July 10, CFA convened the 18th Meeting of the Third Council in Beijing. The meeting reported the preparation progress of the 4th general meeting and passed the Guideline of Information Technology Management of Futures Companies (Revision) and checked the detailed regulations (draft), passed the Electing Measures of Candidate Members and Candidate Member Representatives of the Fourth Council of CFA (draft), and the list of members changed and supplemented of the Information Technology Commission of the Third Council.

- □ 7月 15 日,"多层次资本市场框架下的期货市场发展创新"征文宣传活动顺利结束,共征集文章 303 篇。 On July 15, the calling for paper activity for futures market development and innovation in the multi-level capital market framework came to an end. A total of 303 papers were received.
- □ 7月 28 日,协会与中国金融期货交易所在北京联合举办了"金融衍生品人才培养交流会",会议探讨了金融衍生品学科建设与行业人才培养等有关问题,并举行了"第一届全国高校大学生金融期货及衍生品知识竞赛"颁奖仪式,表彰了 465 名获奖学生。全国人大

常委会原副委员长成思危、中金所董事长张慎峰、协会会长刘志超等出席会议并讲话。

On July 28, CFA and China Financial Futures Exchange co-hosted the "financial derivatives talent training forum, at which topics like development of the financial derivatives discipline and talent training in this industry. And the prize-awarding ceremony of the 1st Knowledge Contest of Chinese College Student Financial Futures and Derivatives was held, at which 465 students were commended. Former Vice Chairman of the Standing Committee of the National People' s Congress Cheng Siwei, President of China Financial Futures Exchange Zhang Shenfeng, Chairman of CFA Liu Zhichao and other leaders presented the meeting and delivered a speech.

□ 7 月中旬和 8 月上旬,协会先后举办了两期信息化与信息安全现场培训班,共 287 名期货公司技术负责人及技术人员参加了培训。

From middle July to early August, CFA ran two field training classes of informatization and information safety, covering 287 technical responsible persons and technical staff of futures companies.

## 八月 - August

□8月6日,协会第三届理事会第十九次会议在北京召 开。会议通报了李强同志退休有关情况,同意理事单 位格林大华期货有限公司提出的由乔俊峰接替赵广钰 作为协会理事的申请,审议通过了《期货公司设立子 公司开展以风险管理服务为主的业务试点工作指引 (修订)》(草案)、《中国证券期货市场场外衍生品交易主协议(2014年版)》(修订草案)、《<中国证券期货市场场外衍生品交易主协议(2014年版)>补充协议》(修订草案)、《中国证券期货市场场外衍生品交易权益类衍生品定义文件》(草案)和《中

国期货业协会第四届理事会候选会员理事及理事代表 资格审查委员会成员名单》(草案),同意将《中国 期货业协会第四次会员大会议程》(草案)、《中国 期货业协会第四次会员大会财务报告》(草案)、《中 国期货业协会第四届理事会会员理事选举办法》(草 案)提交第四次会员大会审议,原则同意《中国期货 业协会第四次会员大会工作报告》(草案)、《中国 期货业协会章程》(修订草案)经修改后提交第四次 会员大会审议,会议通过投票产生了33家由理事会 提名的中国期货业协会第四届理事会候选会员理事。

On August 6, CFA convened the 19th Meeting of the Third Council in Beijing. The meeting reported the retirement of Li Qiang, approved the member unit Gelin Dahua Futures Co., Ltd.' s proposal of Qiao Junfeng replacing Zhao Guangyu as the council member, and passed documents including the Guidelines for Carrying out the Pilot Program for Futures Companies to Establish Subsidiaries Mainly Engaging in the Provision of Risk Management Services (Revised) (draft), the Master Agreement of OTC Derivatives Trading on China Securities and Futures Market (2014 Edition) (revised draft), the Supplemental Agreement to Master Agreement of OTC Derivatives Trading on China Securities and Futures Market (2014 Edition) (revised draft), File of Definition of Equity Derivatives in OTC Derivatives Trading on China Securities and Futures Market (2014 Edition) (draft), and the List of Members of Review Committee of Qualification of Candidate Member and Candidate Member Representative of the 4th Council of CFA. The meeting agreed to submit the Agenda of the 4th General Meeting of CFA (draft), Financial Report of the 4th General Meeting of CFA (draft), and the Member Electing Measures of the 4th Council of CFA (draft) to the 4th general meeting for deliberation, and submit the revised Work Report of the 4th General Meeting

of CFA (draft) and Articles of China Futures Association (revised draft) in principle to the general meeting for deliberation. At the meeting, 33 candidate member of the 4th council of CFA were nominated via voting.

□ 8月22日,协会联合中国证券业协会、中国证券投资 基金业协会共同发布了《中国证券期货市场场外衍生 品交易主协议(2014年版)》和《中国证券期货市 场场外衍生品交易权益类衍生品定义文件 (2014年 版)》。

On August 22, CFA joined hands with Securities Association of China and Asset Management Association of China and issued the Master Agreement of OTC Derivatives Trading on China Securities and Futures Market (2014 Edition) and File of Definition of Equity Derivatives in OTC Derivatives Trading on China Securities and Futures Market (2014 Edition).

- □ 8月25-30日,协会与欧洲期货交易所在上海合作举 办了第一期期权交易实务培训班,共有98名学员参加。 On August 25-30, CFA and Eurex Exchange coworked in running the first option trading practice training class, covering 98 learners.
- □ 8月26日,协会发布《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(修订)》及配 套文件。

On August 26, CFA issued the Guidelines for Carrying out the Pilot Program for Futures Companies to Establish Subsidiaries Mainly Engaging in the Provision of Risk Management Services (Revised) and the supportive documents.

□ 8月27日,协会发布了《期货公司信息技术管理指引》 及相关检查细则修订版。

On August 27, CFA issued the Guideline of Information Technology Management of Futures Companies (Revision) and related detailed review rules.

# 九月 - September

□ 9月11日,协会召开第三届理事会第二十次会议。会议审议通过了《第三届理事会资格审查委员会关于第四届理事会候选会员理事及候选理事代表资格审查情况的报告》,同意将第四届理事会候选会员理事及候选理事代表名单提交第四次会员大会进行选举,同意将《第四次会员大会会员理事选举总监票人、监票人提名名单》(草案)提交第四次会员大会主席团会议审议,同意将《第四次会员大会主席团进行授权的决定》(草案)提交第四次会员大会审议。

On September 11, the CFA held the 20th Meeting of the Third Council. The Meeting reviewed and passed the Report of Credentials Committee of the Third Council on Reviewing Qualifications of Candidate Members and Candidate Council Representatives of the Fourth Council, and approved to submit the list of candidate members and candidate council representatives of the Fourth Council to the 4th CFA Staff Meeting for election, the Nomination List of Chief Scrutineer and Scrutineer of Member Election of the 4th CFA Staff Meeting (Draft) to the Presidium Meeting of the 4th CFA Staff Meeting for review, and the List of Presidium of the 4th CFA Staff Meeting (Draft) and the Decision on Authorization of Presidium of the 4th CFA Staff Meeting (Draft) to the 4th CFA Staff Meeting for review.

□ 9 月 11-12 日,协会与中国证券业协会、基金业协会 在北京联合举办场外衍生品交易主协议培训班,介绍 国内外金融衍生品交易主协议及相关定义文件内容, 570 多名学员参加培训。

On September 11-12, CFA, Securities Association of China (SAC) and Asset Management Association of China jointly held training class for master agreement OTC derivatives trading, introducing master agreement and relevant

definition document contents on foreign and domestic derivatives trading. More than 570 trainees attended this class.

□9月17日,协会联合上海期货交易所、郑州商品交易 所、大连商品交易所、中国金融期货交易所、中国期 货保证金监控中心在北京召开期货经营机构创新发展 研讨会。中国证监会副主席姜洋、主席助理张育军出 席会议并做重要讲话,全国人大财政经济委员会副主 任委员、《期货法》起草小组组长尹中卿、中国社会 科学院副院长李扬做主题演讲,来自行政机关、学术 机构、自律组织、实体企业、期货经营机构、境外对 冲基金以及相关新闻媒体的代表参加了本次研讨会。 On September 17, the Seminar on Innovative Development of Futures Institutions was held in Beijing by CFA, Shanghai Futures Exchange, Zhengzhou Commodity Exchange, Dalian Commodity Exchange, China Financial Futures Exchange and China Futures Margin Monitoring Center Co., Ltd. Jiang Yang, Vice Chairman of CRSC, and Zhang Yujun, Assistant of Chairman, attended the Seminar and delivered important speeches, while Yin Zhongqing, Vice-Chairman of the Financial and Economic Affairs Committee of the NPC and Leader of Drafting Group of the Futures Law, and Li Yang, Vice President of Chinese Academy of Social Sciences (CASS), gave keynote speeches. In addition, representatives from administrative bodies, academic institutions, self-regulatory organizations, real enterprises, futures institutions, overseas hedge funds and relevant news media participated in this Seminar.

□ 9月 18日,中国期货业协会第四次会员大会在京举行,中国证监会副主席姜洋、主席助理张育军以及民政部民间组织管理局副局长廖鸿等出席会议并讲话。会议表决通过了《中国期货业协会第四次会员大会工作报告》、《中国期货业协会章程(修订)》以及《中国期

货业协会财务工作报告》,选举产生了第四届协会理 事会。

On September 18, the 4th CFA Staff Meeting of CFA was held in Beijing, at which Jiang Yang, Vice Chairman of CRSC, Zhang Yujun, Assistant of Chairman, and Liao Hong, Deputy Director General of Bureau for Management of Nongovernmental Organizations under Ministry of Civil Affairs were present and gave speeches. The Meeting passed the Work Report of the 4th CFA Staff Meeting of China Futures Association, the Articles of Association of China Futures Association (Revised) and the Financial Work Report of China Futures Association by voting, and determined the Fourth Council of CFA by election.

□9月18日,中国期货业协会第四届理事会第一次会议 在北京举行,选举产生了协会新一届会长和专兼职副

On September 18, the 1st Meeting of the Fourth

Council of CFA was held in Beijing, electing new chairman, full-time vice chairman and part-time vice chairman.

□ 9月19日,2014年期货公司信息技术现场检查工作 顺利结束,协会此次共派出8个检查小组,完成了对 本年度 54 家期货公司的检查工作。

On September 19, 2014 On-site Inspection for Information Technology of Futures Companies was smoothly completed. To this end, the CFA assigned 8 inspection teams to inspect 54 futures companies in the year.

□ 9月22-23日,协会在北京召开第九期联合研究计划 课题中期评审和结项评审会议,有3项课题被评为优 秀, 4 项被评为良好, 11 项中期评审课题全部获得良 好评级。

On September 22-23, the CFA held the Ninth Topic Interim Review and Project Completion Review Meeting of CFA Joint Research Program in Beijing. Wherein, 3 topics were rated as excellent, 4 as good, and 11 topics under interim review as good.

## October

□ 10 月中下旬,协会分别与期货保证金监控中心、大连 商品交易所、上海期货交易所、中国金融期货交易所 进行沟通,共同研究推进期货公司风险管理公司设立 二级账户的相关工作。

In mid-to-end of October, the CFA separately communicated and discussed with China Futures Margin Monitoring Center Co., Ltd., Dalian Commodity Exchange, Shanghai Futures Exchange and China Financial Futures Exchange about promotion of the opening of secondary accounts of futures companies and risk management companies.

□ 10月16日,协会召开会长办公会专题会议,研究落 实《关于进一步推进期货机构创新发展的意见》,逐 项进行了任务分解,进一步明确了工作目标、责任人 以及时间进度,并确立了协调配合、发挥专业委员会 作用和每周督办的工作机制。

On October 16, the CFA held the Special Session of Chairman Office Meeting, researching and implementing the Opinions on Further Promoting Innovative Development of Futures Institutions (hereinafter referred to as "Innovation Opinions"), distributing tasks one by one, further making sure work objectives, persons in-charge and time schedule, and establishing this working mechanism for coordination, giving play to functions of specialized committee, and weekly supervision.

□ 10月17-18日,协会在北京举办第二十五期期货公司 高管人员任职资质测试,97拟任高管参加测试,90 人通过了测试。

On October 17-18, the 25th Session of Qualification Test of Futures Company Senior Executives was held by CFA in Beijing. 97 senior executives took the test and 90 of them passed it.

□ 10月29日,中国期货业协会第四届理事会第二次会议以视频会议形式召开。会议审议通过了《中国期货业协会理事会工作办法》(修订草案)、《中国期货业协会专业委员会管理办法》(草案)、《中国期货

业协会第四届理事会专业委员会和基金管理委员会设置方案》(草案)和《中国期货业协会第四届理事会专业委员会和基金管理委员会主任委员、副主任委员提名名单》(草案)。

On October 29, the 2nd Meeting of the Fourth Council of CFA was held in the form of video conference. The Meeting reviewed and passed the Work Methods of CFA Council (Draft Amendment), the Administrative Measures for CFA Specialized Committee (Draft), the Plan on Setting the Specialized Committee and Fund Management Committee of the Fourth Council of CFA (Draft), and the Nomination List of Chairman and Vice Chairman of Specialized Committee and Fund Management Committee of the Fourth Council of CFA (Draft).

## 11

### 十一月.

#### November

□ 11月5日,由协会牵头组织、郑州商品交易所承办的"期货研究联席会议第二次会议"在郑州召开。证监会相关部门、四家期货交易所、期货保证金监控中心、部分风险管理子公司等单位相关负责人以及部分高校专家参加了本次会议。

On November 5, "The 2nd Meeting of Futures Research Joint Meeting" sponsored by the CFA and organized by Zhengzhou Commodity Exchange was held in Zhengzhou, with the attendance of concerned persons in-charge of relevant departments of CRSC, four Futures Exchanges, China Futures Margin Monitoring Center Co., Ltd. and some risk management subsidiaries and experts from some colleges and universities.

□ 11月27日,协会调解委员会召开第一次会议,通过 了在全国范围内聘任133名调解员的决议,初步建立 了期货行业纠纷调解机制。 On November 27, CFA Mediation Committee held the 1st Meeting, passing the resolution of employing 133 mediators nationwide, and initially establishing an intermediation mechanism for disputes in futures industry.

- □ 11月28日,协会开展了"防非"、"打非"活动,在各地发放《远离非法期货保护自身权益》宣传页。
  On November 28, the CFA carried out activities about "preventing illegal futures" and "cracking down on illegal futures", and gave out leaflets of Keep Away from Illegal Futures and Protect Own Rights and Interests around China.
- □ 11 月下旬,协会先后组织召开了经纪业务、资产管理业务等专业委员会工作会议,研究拟定各委员会工作计划,围绕推动落实《创新意见》积极开展工作。
  In the last ten-day of November, the CFA successively organized and held brokerage business, asset management business and other

specialized committees' working conferences, studying out work plans of various committees and focusing on promoting and implementing the Innovation Opinions to work actively.

□ 11月,协会发布了《中国期货业协会调解规则》等四

个纠纷调解相关自律规则。

In November, the CFA issued four dispute intermediation self-regulatory rules including CFA Mediation Rules.

# December

- □ 12月2日,经中国证监会审查同意并报民政部核准, 《中国期货业协会章程》(修订)自即日起正式生效。 On December 2, after the examination and approval of CSRC and Ministry of Civil Affairs, the Articles of Association of China Futures Association (Revised) formally went into effect from this date.
- □ 12月2日,中国期货业协会第四届理事会第三次会议 以视频会议形式召开。会议根据中国证监会提名,选 举孙明福、郑小国同志为专职副会长、审议通过《期 货公司资产管理业务管理规则(试行)》(草案)。 On December 2, the 3rd Meeting of the Fourth Council of CFA was held in the form of video meeting. The Meeting elected Sun Mingfu and Zheng Xiaoguo as full-time vice chairman according to the nomination of CSRC, and reviewed and passed the Administrative Rules on Asset Management Business of Futures Companies (Trial) (Draft).
- □ 12月4日,协会发布了《期货公司资产管理业务管理 规则(试行)》。
  - On December 4, the CFA issued the Administrative Rules on Asset Management Business of Futures Companies (Trial).
- □ 12月4-6日,由中国期货业协会和深圳市人民政府联 合主办的"第十届中国(深圳)国际期货大会"在深 圳举行。本届大会以"改革与创新·竞争与融合"为

主题,中国证监会主席肖钢、深圳市市长许勤出席大 会并致辞,证监会副主席姜洋、主席助理张育军出席 会议,原主席周正庆、原主席周道炯、原副主席范福 春出席大会并作了书面发言。大会形式多样、内容丰 富,不仅设有主论坛和5个分论坛,还开展了2014 中国上市公司风险管理论坛、境内外交易所专场等活 动, 多方面为参会嘉宾提供交流与合作平台。

On December 4-6, the "10th China (Shenzhen) International Derivatives Forum" was coorganized by the CFA and Shenzhen Municipal People's Government in Shenzhen, with the theme of "Reform & Innovation and Competition & Integration" . Xiao Gang, Chairman of CSRC, and Xu Qin, Mayor of Shenzhen Municipality, attended the Forum and gave their speeches; Jiang Yang, Vice Chairman of CSRC, and Zhang Yujun, Assistant of Chairman, attended the Forum; and Zhou Zhengqing, former Chairman, Zhou Daojiong, former Chairman, and Fan Fuchun, former Vice Chairman, attended the Forum and made written statements. The Forum was rich in form and content. There were not only the main forum and 5 sub-forums, but also 2014 China Listed Companies' Risk Management Forum, special activities for foreign and domestic Exchanges, etc., providing communication and cooperation platforms for participating guests in

many ways.

□ 12月4日,协会第四届理事会信息技术委员会工作会议在深圳召开。会议重点对2014年信息技术委员会的工作进行了全面总结,研究并基本确定了2015年工作计划,并对行业"三商"自律管理、行业技术标准指引制修订、行业技术系统自主可控、举办行业IT论坛等多项议题进行了深入讨论。

On December 4, the Work Conference of IT Committee of the Fourth Council of CFA was held in Shenzhen. The Conference focused on comprehensive summary of the work of IT Committee in 2014, studied and basically determined the 2015 work plan, and further discussed multiple topics including industrial "three merchants" self-regulatory management, modification of the guide system for industrial technical standards, autonomous control of industrial technical system, and the holding of industrial IT forum.

□ 12 月 16 日,协会第四届理事会人才培养委员会召开 工作会议,研究讨论了《中国期货业协会人才培养战 略规划(征求意见稿)》。

On December 16, the Talent Cultivation Committee of the Fourth Council of CFA held a working conference to study and discuss the Strategic Planning on Talent Cultivation of China Futures Association (Draft for Comments).

□ 12 月 19 日,协会第四届理事会国际业务委员会召开会议。会议研究并基本确定了 2015 年工作计划,并围绕落实《创新意见》、推动期货行业对外开放等议题进行了深入讨论。

On December 19, the International Business Committee of the Fourth Council of CFA convened a meeting, studying and basically determining its 2015 work plan and focusing on the implementation of Innovation Opinions, the promotion of opening-up of futures industry and other topics to discuss further.

□ 12 月 23 日,协会组织优秀师资力量对百余名调解员和地方协会人员进行了首轮培训,并为调解员代表颁发了聘书。

On December 23, the CFA organized excellent faculty to carry out the first round of trainings for over 100 mediators and local association staff, and issued the Letter of Employment to representatives of the mediators.

□ 12 月 25 日,协会第四届理事会申诉委员会召开工作会议。会议对如何落实申诉委员会的职责进行了讨论, 重点研究并确定了 2015 年工作计划,明确了各委员的职责分工。

On December 25, the Complaints Committee of the Fourth Council of CFA held a working conference to discuss how to fulfill the responsibilities of Complaints Committee, focus on studying and determining 2015 work plan, and make clear the division of responsibilities among various committees.

□ 12 月 29 日,协会第四届理事会衍生品交易商委员会召开 2014 年工作会议,会议就《中国证券期货市场场外衍生品交易商品衍生品定义文件》进行了审议,对场外衍生品业务组织统筹、风险管理子公司业务经验总结、期权做市商业务研究、2015 年委员会重点工作计划及专项工作小组分工进行了讨论和商议,并对发展场外衍生品市场建设方案展开了深入讨论。

On December 29, the Derivatives Traders Committee of the Fourth Committee of CFA held 2014 Working Conference. The Conference reviewed the Definitions Document of Commodity-related Derivatives of Derivatives Trading outside of the China Securities Futures Market, discussed and negotiated the OTC derivatives business organization planning, summary of business experience of risk management subsidiaries, option writers' business research, the key work plan of the Committee in 2015, and division of labor of special work team, and deeply discussed the development scheme for OTC derivatives market.

□ 12月31日,协会与中国证券投资基金业协会召开视频培训会议,为广大会员解读《期货公司资产管理业务管理规则(试行)》及相关配套业务规则,进一步明确了期货公司资产管理业务自律管理的有关要求,150多家期货公司参加了培训。

On December 31, the CFA and Asset Management Association of China held a video training meeting, interpreting the Administrative Rules on Asset Management Business of Futures Companies (Trial) and relevant supporting business rules for various members and further identifying relevant requirements on the self-regulatory management of asset management business of futures companies. More than 150 futures companies

participated in this training.

□ 11 月下旬和 12 月中旬,协会分别在北京、上海举行 了两期期货公司高管人员培训班,中国证监会主席助 理张育军出席第一期培训并讲话。两期培训班共培训 了来自 150 家期货公司的 267 位董事长、总经理,对 于凝聚创新共识、激发创新活力起到了良好效果。

In the last ten-day of November and middle of December, the CFA carried out two sessions of Training Class for Executives of Futures Companies respectively in Beijing and Shanghai. Zhang Yujun, Assistant of Chairman of CSRC, attended the 1st session of training and delivered a speech. The two sessions of training class had trained 267 directors and general managers from 150 futures companies, achieving a good effect on agglomerating innovation consensus and stimulating innovation vitality.

□ 12月,为了规范发展期货公司资产管理业务,中国期 货业协会、中国证券投资基金业协会和中国期货保证 金监控中心分别发布了《期货公司资产管理业务申报 材料规范》、《关于期货公司资产管理计划备案有关 事项的通知》和《关于修订 < 期货公司资产管理业务 统一开户操作指引 > 暨做好资产管理业务开户工作的 函》等三项具体实施的配套规则。

In December, the CFA, Asset Management Association of China and China Futures Margin Monitoring Center Co., Ltd. respectively issued three supporting rules to be specifically implemented, that is, Criteria on Application Materials of Asset Management Business of Futures Companies, Notice on Matters Related to Recording of Asset Management Plans of Futures Companies and the Letter of Modifying the Guideline to Uniformly Opening Accounts for Asset Management Businesses of Futures Companies and Successfully Opening an Account for Asset Management Business, in order to standardize and develop asset management business of futures companies.

□ 12月,协会通过网络后续培训平台推出商品期货品种 系列课程,共计80学时,涵盖金属、农产品、能源 化工等 29 个商品期货品种。

In December, the CFA pushed out courses about commodity futures variety series on the network follow-up training platform. The courses would last for 80 hours and cover 29 varieties of commodity futures including metal, agricultural products, and energy and chemical.

□ 截止 12 月 31 日,协会新版网站总点击数超过 460 万人次, 日均访问量近3万人次; 官方微信"中期协 发布"粉丝数突破6000人。

As of December 31, the new website of CFA reached total hits over 4.6 million person-times, achieved average daily page view of nearly 30,000 person-times, and had more than 6,000 fans of official WeChat "CFA Information Release".

□ 2014年,协会先后在太原、济南、湘潭、昆明和沈 阳举办了6次"期货牵手产企"专题活动。

In 2014, the CFA successively carried out special event "Futures' Cooperation with Production Industries" for six times in Taiyuan, Jinan, Xiangtan, Kunming and Shenyang.

□ 2014年,协会先后与河南、湖北、湖南、山东、山西、 陕西、安徽等证监局合作,举办了6期"期货服务上 市公司"系列活动,共有600多家上市公司的1700 余高管参加了培训。

In 2014, the CFA successively cooperated with securities regulatory bureaus in Henan, Hubei, Hunan, Shandong, Shanxi, Shaanxi, Anhui, etc. to hold 6 sessions of "Futures Serving Listed Companies" series activities. More than 1,700 executives from more than 600 listed companies had participated in the trainings.

□ 2014年,协会共计举办2期金融衍生品高级研修班, 重点对从业人员进行金融衍生品专业和实务培训,共 培训了 181 名金融衍生品方面的专业人才。

In 2014, the CFA totally held two sessions of Senior Training Class of Financial Derivatives, focusing on implementing professional and practical financial derivatives trainings for practitioners and cultivating a total of 181 professionals on financial derivatives.

□ 2014年,协会先后组织5次全国期货从业人员资格考 试和 3 次期货投资分析考试, 共计报考 167,863 科次。 In 2014, the CFA successively organized Qualification Test of Futures Practitioners in China for 5 times and the Futures Investment Analysis Test for 3 times, with total subjects registration times of 167,863.

Membership Directory

华元二部分分

### 期货公司会员名录。

#### FCM Members

会员代码 Member Code	单位名称 Organization Name	地址 Mailing Address	邮编 Zip Code
001G	方正中期期货有限公司 Founder 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 Room 2201, 22/F, TaiKang Financial Tower, Building 1, No. 38 Yard, North Road of East Third Ring Road, Chaoyang District, Beijing	100026
002G	金鹏期货经纪有限公司 Jinpeng International Futures Co., Ltd. (JIFCO)	北京市西城区金融大街 27 号投资广场 BZ 座 9 层 9th Floor, Block BZ, 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 1501-1506;1509-1518;3 层 311-313 室 Rooms 311-313, 3th Floor and Room 1501-1506, 1509-1518, 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 Co., Ltd.	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 Co., Ltd.	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 Co., Ltd.	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 Co., Ltd.	北京市西城区新街口北大街 3 号 6 层 603、604 室 Room 602 & Room 604, 6/F, No. 3, North Xinjiekou Avenue, Xicheng District, Beijing	100035
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 室 1901, 19/F, Building 1, No.46, Dongzhimenwai Avenue, Dongcheng District, Beijing	100027
016G	首创京都期货有限公司 Capital Jingdu Futures Co., Ltd.	北京市西城区德胜门外大街 115 号 1 层 A 区 District A, 1/F, No. 115, Deshengmenwai Avenue, Xicheng District, Chaoyang	100088
017G	中衍期货有限公司 China-Derivatives Futures Co., Ltd.	北京市朝阳区东四环中路 82 号 2 座 2-1 座、2-2 座 7 层、B2 座一层 108 单元 Unit 108, 1/F of Tower B2, 7/F of Tower 2, Tower 2-1, Tower 2-2, No. 82, Middle Road of East Fourth Ring 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	300041

会员代码 Member Code	单位名称 Organization Name	地址 Mailing 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	山金期货有限公司 Shangdong Gold Futures Co., Ltd.	天津开发区广场东路 20 号 E4-C-5 层西侧 West of Floor E4-C-5, No. 20, East Guangchang Road, TEDA	300457
023G	和融期货有限责任公司 Herong Futures Co., Ltd.	天津市和平区郑州道 18 号港澳大厦 103,201-1,201-2,302-1,302-2 103,201-1,201-2,302-1,302-2 Gang'ao Tower, No. 18, Zhengzhou Road, Heping District, Tianjin	300050
024G	河北恒银期货经纪有限公司 Hengyin Futures Co., Ltd.	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, Shijiangzhuang	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 16/F, East Tower, Building 1, No. 69, Fuxi Street, Taiyuan, Shanxi	030002
026G	民生期货有限公司 Minsheng Futures Co., Ltd.	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.	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 Xindingsheng Futures Co., Ltd.	福州市鼓楼区水部街道福新路 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 Shenzhen LuckyLoong Futures Co.,Ltd.	深圳市福田区福中三路诺德金融中心 33D Main Building 33D, NuodeJinrong Center, Fuzhongsan Road, Futian District, Shenzhen	518026
030G	华海期货有限公司 Huahai Futures Co., Ltd.	北京市海淀区西直门北大街甲 43 号 1 号楼 1-26-1418 号 No. 1-26-1418, Building 1, No. A 43, North Xizhimen Avenue, Haidian District, Beijing	100044
032G	江海汇鑫期货有限公司 Jianghaihuixin Futures Co., Ltd.	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 Golden Sun Futures Co.,Ltd.	辽宁省鞍山市铁东区园林路 162 号 -80 No.162-80, Yuanlin Road, Tiedong District, Anshan City, Liaoning Province	114003
034G	天富期货有限公司 Tianfu Futures Co., Ltd.	长春市长春大街 500 号吉信大厦写字楼东侧 1-3 层 1st-3th Floor, East Office Building Jixin Tower, No.500, Changchun Street, Changchun	130041
035G	中融汇信期货有限公司 Zhong Rong Hui Xin Futures Co.,Ltd.	上海市浦东新区源深路 1088 号 18 层 03 单元、25 层 01、02、03、06 单元 Unit 01,02,03,06 of 25/F, Unit 03 of 18/F, No. 1088, Yuanshen Road, Pudong New Area, Shanghai	200122
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 号大连国际金融中心 A 座大连期货大厦 37 层 3701-3706 室 Room 3701-3706, 37th Floor, Dalian Futures Tower,Block A, International Fiance Center, 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 Co., Ltd.	上海市东大名路 1080 号 21 层 01、02、03 室 Room. 01, 02, 03, 21/F, No.1080, Dongdaming Road, Shanghai	200082

会员代码 Member Code	单位名称 Organization Name	地址 Mailing Address	邮编 Zip Code
043G	大通期货经纪有限公司 Datong Futures Co., Ltd.	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 区 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 Co., Ltd.	北京市西城区复兴门外大街 A2 号中化大厦 8 层 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 号华邦上都 A 座三楼 3/F, Hua Bang Shang Du Tower A, No. 478, 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 Co., Ltd.	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 2801,2807-2810 室 Room 2801,2807-2810, 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、2 楼 05 单元 17th Floor, 01-04 Unit of 6th Floor, 25th Floor, 05 Unit of 2nd 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、1309A、1311- 1312 室 Room 303 & Room 601-602 & Room1104-1106 & Room1301- 1303 & Room 1309A & Room 1311-1312, Fushan Road, Shanghai	200122
054G	铜冠金源期货有限公司 Tongguan Jinyuan Futures Co., Ltd.	上海市浦东新区源深路 273 号(1、2、3 楼) (Building 1,2,3) No.273 Yuanshen Road, Pudong New Area, Shanghai	200135
055G	恒泰期货有限公司 Hengtai Futures Co., Ltd.	上海市浦东新区峨山路 91 弄 120 号 2 层 201 单元 Unit 201, Floor 2, No.120, Lane 91, Eshan Road, Pudong New Area, 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 5/F, No.638, Dongdaming Road, Hongkou District, Shanghai	200080
057G	建信期货有限责任公司 CCB Futures Co., Ltd.	上海市卢湾区打浦路 198 号 No.198, Dapu Road, Luwan District, Shanghai	200023
058G	上海东亚期货有限公司 Shanghai East Asia Futures Co., Ltd.	上海市浦东新区松林路 300 号 2202-2205 室 Room 2202-2205, No.300, Songlin Road, Pudong New Area, Shanghai	200122
059G	上海东方期货经纪有限责任公司 Shanghai Dongfang Futures Brokerage Co., Ltd.	上海市浦东新区松林路 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 25、26 楼 25th Floor & 26th Floor,No.3131, Kaixuan Road, Shanghai	200030
061G	东航期货有限责任公司 CES Futures Co., Ltd.	上海市吴中路 686 弄 3 号 D 幢 16 楼 Floor 16, Building D, No.3, 686th Lane, Wuzhong Road, Shanghai	201103

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062G	上海中财期货有限公司 Zhongcai Futures Co., Ltd.	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
063G	上海浙石期货经纪有限公司 Shanghai Zheshi Futures Co., Ltd.	上海市浦东新区浦电路 438 号 No.438, Pudian Road, Pudong New Area, Shanghai	200122
064G	瑞银期货有限责任公司 UBS Futures Co., Ltd.	上海市浦东新区花园石桥路 33 号 1608 室 Room 1608, No.33 Huayuan Shiqiao Road, Pudong New Area, Shanghai	200120
066G	上海通联期货有限公司 Shanghai Tonglian Futures Co., Ltd.	上海市陆家嘴西路 99 号 7 楼 7th Floor, No.99, West Road, Lujiazui, Shanghai	200120
067G	上海东证期货有限公司 Orient Futures Co., Ltd.	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 号三楼 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.	上海市浦东新区世纪大道 1701 号 1301 单元 Unit 1301, No.1701, Century Avenue, Pudong New Area, Shanghai	200122
073G	同信久恒期货有限责任公司 Shanghai Jiuheng 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 Co., Ltd.	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 Co., Ltd.	无锡市金融一街 8 号 No.8, Jinrongyi Street, Wuxi	214121
077G	创元期货股份有限公司 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 Co., Ltd.	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 Co., Ltd.	徐州市淮海东路 153 号 No.153, Huaihai East Road, Xuzhou	221005
081G	弘业期货股份有限公司 Holly Futures Co., Ltd.	南京市中华路 50 号 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 Tower, No. 15, East Qingnian Road, Nantong, Jiangsu	226007
083G	锦泰期货有限公司 Jintai Futures Co., Ltd.	南京市建邺区江东中路 359 号国睿大厦 Guorui Tower, No. 359, Middle Jiangdong Road, Jianye District, Nanjing	210019
084G	浙江中大期货有限公司 Zhongda Futures Co., Ltd.	浙江省杭州市中山北路 310 号 3 层 12 层东 East, 3/F, 12/F, No.310, Zhongshan North Road, Hangzhou, Zhejiang Province	310003
085G	浙江新世纪期货有限公司 Zhejiang New Century Futures Co., Ltd.	杭州市体育场路 335 号 No.335, Tiyuchang Road, Hangzhou	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 1-101、1-201、1-301、1-501 室,北楼 302 室 Room 1-101 & Room 1-201 & Room 1-301 & Room 1-501,Room 302 of North Building of South Wing of Gongyuan Building, No.8, Qiushi Road, Hangzhou	310013
088G	大地期货有限公司 Dadi Futures Co., Ltd.	杭州市延安路 511 号 No.511, Yan'an Road, Hangzhou	310006
089G	浙商期货有限公司 Zheshang Futures Co., Ltd.	杭州市庆春路 173 号 8-10 层 Floor 8-10, No. 173, Qingchun Road, Hangzhou	310006
090G	大越期货有限公司 Dayue Futures Co., Ltd.	绍兴市解放北路 186 号 No.186, Jiefang North Road, Shaoxing	312000

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091G	信达期货有限公司 CINDA Futures Co., Ltd.	杭州市文晖路 108 号浙江出版物资大厦 1125 室、1127 室、12 楼、16 楼 16th Floor & 12th Floor,Room 1125 & Room 1127, Zhejiang Publishing Material Building, No.108, Wenhui Road, Hangzhou	310004
092G	新湖期货有限公司 Xinhu Futures Co., Ltd.	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 Co., Ltd.	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、5-10、22 楼 3nd Floor & 5th-10th Floor & 22 Floor, Zhejiang Collaboration Building, No.208, Chaowang Road, Hangzhou	310005
096G	兴业期货有限公司 Industrial Futures Co., Ltd.	浙江省宁波市中山东路 796 号 11 层 1 至 8 室 Room 1-8, Floor 11, No. 796, East Zhongshan Road, Ningbo, Zhejiang	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 Co.,Ltd.	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 Co., Ltd.	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 Co., Ltd.	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	100020
104G	徽商期货有限责任公司 Huishang Futures Co., Ltd.	安徽省合肥市芜湖路 258 号 3 号楼 6-7 层、6 号楼 1-2 层 6-7/F, Building 3, 1-2/F, Building 6, No.258, Wuhu Road, Hefei, Anhui,	230061
105G	华安期货有限责任公司 Hua'an Futures Co., Ltd.	合肥市庐阳区长江中路 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	100033
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 Co.,Ltd.	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	200434
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 Co., Ltd.	福建省福州市鼓楼区华林路 93 号 1 座 5、6 层 Floor 5 & Floor 6, Tower 1, No. 93, Hualin Road, Gulou District, Fuzhou, Fujian	350003
120G	金信期货有限公司 GOLDTRUST Futures Co.,Ltd.	中国湖南长沙市车站北路 459 号证券大厦 5 楼 5th Floor, Securities Building, No.459, Railway North Road, Changsha, China	410001
121G	美尔雅期货经纪有限公司 MAILYARD Futures Co.,Ltd.	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, Jianghan District, Wuhan City, Hubei Province	430022
122G	新疆天利期货经纪有限公司 Xinjiang Tianli Futures Co., Ltd.	乌鲁木齐市天山区西河坝后街 137 号瑞达国际大厦七楼 7th Floor, Ruida Guoji Building, No.137, Xiheba Backstreet, Tianshan Street, Urumqi	830002

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123G	华闻期货经纪有限公司 Huawen Futures Co., Ltd.	上海市浦东新区浦东大道 720 号国际航运金融大厦 22 楼 A、B、C、D、M、N、I 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 Co., Ltd.	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
131G	华联期货有限公司 Dongguan Hualian Futures Co., Ltd.	广东省东莞市城区可园南路 1 号金源中心 16 层、17 层 16th Floor & 17th Floor, Jinyuan Center, No.1, South Keyuan Road, City District, Dongguan, Guangdong	523009
132G	华龙期货有限公司 Hualong Futures Co., Ltd.	甘肃省兰州市城关区静宁路 308 号 4 楼 4th Floor, No.308, Jingning Road, Chengguan District, Lanzhou City, Gansu Province	730030
133G	广发期货有限公司 GF Futures Co., Ltd.	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 & 15th Floor, Hongdun Building, No.57, Tiyu West Road, Tianhe District, Guangzhou City, Guangdong Province	510620
135G	混沌天成期货有限公司 Chaos Ternary Futures Co., Ltd.	广东省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、 2613、2614、2615、2616 2612-2616, Shenzhen International Exchange Plaza, Southwest of Intersection of Shennan Avenue and Jintian Road, Futian District, Shenzhen, Guangdong	518034
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(保利世界贸易中心)801、802、813、 814、902、913 房 Room 801、802、813、814、902、913, No.1000, East Xingang Road(Poly World Trade Center), Haizhu District, Guangzhou	510308
139G	集成期货有限公司 Success Futures Co.,Ltd.	广东省广州市天河区珠江西路 17 号广晟国际大厦 15 层 1501-B 房 Room 1501-B, 15/F, Grand International Mansion, No. 17, West Zhujiang Road, 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.	广州市越秀区先烈中路 65 号东山广场东楼 5 层、11 层、12 层 Floor 5, Floor 11 and Floor 12, East Building, Dongshan Square, No. 65, Middle Xianlie Road, Yuexiu District, Guangzhou	510095
143G	金石期货有限公司 Jinshi Futures Co., Ltd.	乌鲁木齐市解放北路 90 号 No.90, North Jiefang Road, Urumqi	830002
145G	银建期货经纪有限责任公司 Yinjian Futures Co., Ltd.	北京市丰台区方庄芳古园 1 区 29 号楼 No.29, Fangguyuan Area 1, Fangzhuang, Fengtai District, Beijing	100078
147G	国贸期货经纪有限公司 ITG Futures Co., Ltd.	福建省厦门市湖滨南路国贸大厦 11 层、2 层 A1 单元、5 层 B1 单元、27 层 B 单元、3 层 A2 单元 Unit A2 of Floor 3, Unit B of Floor 27, Unit B1 of Floor 5, Unit A1 of Floor 2 and Floor 11, Guomao Mansion, South Hubin Road, Xiamen, Fujian	361004
148G	中航期货有限公司 AVIC Futures Co., Ltd.	深圳市前海深港合作区前湾一路 1 号 A 栋 201 室 Room 201, Building A, No.1 Qianwan Road, Qianhai Shenzhen-Hong Kong Cooperation Zone	518057
149G	中信期货有限公司 CITIC Futures Co., Ltd.	深圳市福田区中心三路 8 号卓越时代广场(二期)北座 13 层 1303-1305 室、14 层 Room 1303-1305 of 13th Floor & 14th Floor, North Section of Zhuoyue Shidai Plaza (Phase II), No.8, Zhongxinsan Road, Futian District, Shenzhen	518048
150G	五矿经易期货有限公司 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 4801-A、4802-B、4803、4804 4801-A、4802-B、4803、4804, New World Business Center, Middle Xifu Road, Yitian Road, Futian District, Shenzhen	518026

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151G	招商期货有限公司 China Merchants Futures	深圳市福田区福华一路 6 号免税商务大厦 9 层 9-15 单元、7 层 1-8 单元、7 层 22-26 号单元 Unit 9-15 of 9th Floor and Unit 1-8 & 22-26 of 7th Floor,No.6, Duty-Free Business Building, Fuhuayi Road, Futian District, Shenzhen	518048
152G	深圳金汇期货经纪有限公司 Nonfemet Commodities & Futures Agent Co., Ltd.	深圳市深南大道 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 Co., Ltd.	广东省深圳市福田区中心四路 1 号嘉里建设广场第一座 16 层 02B、03A2 室 Room 03A2 & Room 02B, Floor 16, Tower 1, Kerry Plaza, No. 1, Zhongxinsi Road, Futian District, Shenzhen, Guangdong	518048
155G	海航东银期货有限公司 HNA Futures Co.,Ltd.	深圳市福田区深南中路 2068 号华能大厦 18 层 18th Floor, Huaneng Tower, No.2068 Middle Shennan Road, Futian District, Shenzhen	518031
156G	神华期货有限公司 Miracle China 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 Co., Ltd.	广东省深圳市福田区彩田路东方新天地广场 A 座 3101、3102、3103、3104、 3105、3106、3201、3202 3101-3106, 3201-3202, Building A, Dongfang Xintiandi Plaza, Caitian Road, Futian District, Shenzhen, Guangdong Province	518040
158G	平安期货有限公司 Ping'an Futures Co., Ltd.	广东省深圳市福田中心区金田路 4036 号荣超大厦 14 层 01 单元 Unit 01, 14/F, Rongchao Tower, No. 4036, Jintian Road, Futian Center District, Shenzhen, Guangdong	518026
159G	金元期货有限公司 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 Co., Ltd.	海南省海口市龙昆北路 53-1 号 3 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 Co., Ltd.	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 Co., Ltd.	海口市国贸路 45 号银通国际中心 20 层 20th Floor, Yintong Center, No.45, Guomao Road, Haikou	570125
166G	申银万国期货有限公司 Shenyin & Wanguo Futures Co., Ltd.	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 Co., Ltd.	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.	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 Co.,Ltd.	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	倍特期货有限公司 Brilliant Futures Co., Ltd.	成都市高新区锦城大道 539 号盈创动力大厦 A 座四楼 406 号 No. 406, 4/F, Yingchuang Dongli Tower A, No. 539, Jincheng Road, High-tech Zone, Chengdu	610041
172G	西南期货有限公司 Southwest Futures Co., Ltd.	重庆市江北区东升门路 61 号 29-2、29-3 29-2, 29-3, No. 61, Dongshengmen Road, Jiangbei District, Chongqing	400023
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 Mingyi Floor 11-A,8-B4,9-B、C, Ping Street 11-B, Shangzhan Building, No. 107, Third Zhongshan Road, Yuzhong District	400014
175G	中电投先融期货有限公司 Xianrong Futures Co., Ltd.	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

会员代码 Member Code	单位名称 Organization Name	地址 Mailing Address	邮编 Zip Code
176G	红塔期货有限责任公司 Hongta Futures Co., Ltd.	云南省昆明市北辰财富中心商住楼 A 座 28 楼(2801-ABCD) 2801-ABCD, 28th Floor, Block A, Business Building, Beichen Fortune Center, Kunming, Yuannan Province	650224
178G	西部期货有限公司 Western Futures Co., Ltd.	西安市新城区东新街 232 号陝西信托大厦三层、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.	西安市浐灞大道 1 号商务中心二期四楼 408、409、410 室 Room 408, Room 409, and Room 410, Phase 2, Business Center, No.1, Chanba Road, Xi'an	710001
180G	东兴期货有限责任公司 Dongxing Futures Co., Ltd.	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 205 号恒茂国际华城 16 号楼 A 座 6 楼 6th Floor, Block A, No.16, Hengmao International Center, No.205, Guangchang South Road, Nanchang City, Jiangxi Province	330002
183G	迈科期货经纪有限公司 Maike Futures	西安市高新开发区唐延路 33 号迈科国际大厦 22 层,6 层 604 室,24 层 2402、2406、2407、2408 室 Room 2402 & Room 2406-2408 of 24th Floor, Room 604 of 6th Floor, 22th Floor, Maike International Building, No.33, Tangyan Road, Gaoxin District, Xi'an	710065
184G	黑龙江时代期货经纪有限公司 Heilongjiang Shidai Futures Co., Ltd.	黑龙江省哈尔滨市香坊区中山路 93 号保利大厦 401 室 Room 401, Baoli Building, No.93, Zhongshan Road, Harbin, Heilongjiang Province	150036
185G	中辉期货经纪有限公司 Zhonghui Futures Co., Ltd.	山西省太原市新建路 39 号 No.39, Xinjiang Road, Taiyuan, Shanxi	030002
186G	大有期货有限公司 Dayou Futures Co., Ltd.	湖南省长沙市天心区芙蓉南路二段 128 号现代广场三、四楼 Floor 3 and Floor 4, Modern Square, No. 128, Section 2, South Furong Road, Tianxin District, Changsha, Hunan	410002
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, Thire Zhongshan 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 Co.,Ltd.	上海市西藏南路 1208 号 6 楼 6th Floor, No.1208, Tibet South Road, Shanghai	200011
190G	广永期货有限公司 Guang Yong Futures Co., Ltd.	广东省广州市天河区体育西路 103 号维多利广场 A 塔 1901-06 单元 Unit 1901-06, Tower A, Victory Plaza, No. 103, Wesst Tiyu Road, Tianhe District, Guangzhou, Guangdong	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 Co.,Ltd.	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 ,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 A 座九层 9/F, Tower A, 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

会员代码 Member Code	甲1/2 形	地址 Mailing Address	邮编 Zip Code
197G	德盛期货有限公司 Triumph Futures Co., Ltd.	长沙市五一西路 2 号第一大道 14 楼 14th Floor, First Avenue, No.2, West Wuyi Road, Changsha City	410005
198G	中银国际期货有限责任公司 BOC International Futures Limited	海南省海口市蓝天路 33 号京航大厦 17 楼 17th Floor, Jinghang Hotel, No.33, Blue Sky Road, Haikou City, Hainan Province	570203

## 证券 IB 会员名录。

#### IB Members

会员代码 Member Code	单位名称 Organization Name	地址 Mailing Address	邮编 Zip Code
001B	平安证券有限责任公司 Ping'an Securities Co., Ltd.	深圳市福田区金田路大中华国际交易广场 8 层 8/F, Great China International Exchange Square, Futian District, Shenzhen	518048
002B	中国银河证券股份有限公司 China Galaxy Securities Co.,Ltd	北京市西城区金融大街 35 号国际企业大厦 C 座 Tower C, Corporate Square, 35 Finance Street, Xicheng District, Beijing	100033
003B	齐鲁证券有限公司 Qilu Securities Co., Ltd.	济南市市中区经七路 86 号 23 层 Jingqi Road 86, Jinan City, Shandong province	250001
004B	华泰证券股份有限公司 Huatai Securities Co., Ltd.	江苏省南京市中山东路 90 号 No. 90, East Zhongshan Road, Nanjing, Jiangsu	210002
005B	东海证券股份有限公司 Donghai Securities Co., Ltd.	上海市浦东新区东方路 1928 号东海证券大厦 Donghai Securities Tower, No. 1928, Dongfang Road, Pudong New Area, Shanghai	200125
006B	光大证券股份有限公司 Everbright Securities Co., Ltd.	上海市新闸路 1508 号 No. 1508, Xinzha Road, Shanghai	200336
007B	兴业证券股份有限公司 Industrial Securities Co., Ltd.	福州市湖东路 268 号证券大厦 17、18 层 / 上海浦东新区民生路 1199 弄证大 五道口广场 1 号楼 22 层 17/F & 18/F Securities Tower, No. 268, Hudong Road, Fuzhou / 22/F, Building 1, Zhengda Wudaokou Square, Lane 1199, Minsheng Road, Pudong New Area, Shanghai	350003 200135
008B	海通证券股份有限公司 Haitong Securities Co., Ltd.	上海市广东路 689 号海通证券大厦 689 Guangdong Road, Shanghai	200001
012B	广发证券股份有限公司 GF Securities Co., Ltd.	广州市天河区天河北路 183-187 号大都会广场 43 楼(4301-4316 房) (Room 4301-4316) 43/F, Metropolitan Plaza, No. 183-187, North Tianhe Road, Tianhe District, Guangzhou	510075
014B	长城证券有限责任公司 Great Wall Securities Co., Ltd.	深圳市福田区深南大道 6008 号特区报业大厦 16-17 层 Floor 16-17, Shenzhen Special Zone Press Tower, No. 6008, Shennan Boulevard, Futian District, Shenzhen	518034
016B	国信证券股份有限公司 Guosen Securities Co., Ltd.	深圳市红岭中路 1012 号国信证券大厦 26 层 2607 室 Room 2607, 26/F, Guosen Securities Tower, No. 1012, Middle Hongling Road, Shenzhen	518001

会员代码 Member	单位名称	地址 Mailing Address	邮编 Zip Code
Code	Organization Name	Mailing Address	Zip Code
017B	中信证券(山东)有限责任公司 CITIC Securities (Shandong) Co., Ltd.	山东省青岛市崂山区深圳路 222 号国际金融广场 21 层 21/F, International Financial Square, No. 222, Shenzhen Road, Laoshan District, Qingdao, Shandong	266061
018B	华福证券有限责任公司 Huafu Securities Co., Ltd.	福州市鼓楼区温泉街道五四路 157 号 8 层 8/F, No. 157, Wusi Road, Wenquan Street, Gulou District, Fuzhou	350003
022B	山西证券股份有限公司 Shanxi Securities Co., Ltd.	山西省太原市府西街 69 号山西国际贸易中心东塔楼 East Tower, Shanxi International Trade Center, No. 69, Fuxi Street, Taiyuan, Shanxi	030002
023B	东方证券股份有限公司 Orient Securities Co., Ltd.	上海市中山南路 318 号 2 号楼 22 层 22/F, Building 2, South Zhongshan Road, Shanghai	200010
025B	中信建投证券股份有限公司 China Securities Co., Ltd.	北京市东城区朝阳门内大街 188 号 No. 188, Chaoyangmennei Avenue, Dongcheng District, Beijing	100010
026B	渤海证券股份有限公司 Bohai Securities Co., Ltd.	天津市南开区宾水西道 8 号 No. 8, West Binshui Road, Nankai District, Tianjin	300381
027B	安信证券股份有限公司 Essence Securities Co., Ltd.	深圳市福田区金田路 4018 号安联大厦 35 层 35/F, Anlian Mansion, No. 4018, Jintian Road, Futian District, Shenzhen	518026
030B	国联证券股份有限公司 Guolian Securities Co., Ltd.	无锡市金融一街 8 号国联金融大厦 8 楼 8/F, Guolian Financial Tower, No. 8, First Financial Street, Wuxi	214121
031B	西部证券股份有限公司 Western Securities Co., Ltd.	西安市东新街 232 号陕西信托大厦 Shaanxi Trust Tower, No. 232, Dongxin Street, Xi' an	710004
032B	南京证券股份有限公司 Nanjing Securities Co., Ltd.	南京市玄武区大钟亭 8 号 No. 8, Nanjing Bell Tower, Xuanwu District, Nanjing	210008
034B	中银国际证券有限责任公司 BOC International (China) Limited	上海市浦东新区银城中路 200 号中银大厦 40 层 40/F, Bank of China Tower, No. 200, Middle Yincheng Road, Pudong New Area, Shanghai	200120
036B	中原证券股份有限公司 Central China Securities Co., Ltd.	郑州市郑东新区商务外环路 10 号 No.10 Shangwuwaihuan Road, Zhengzhou, Henan Province	450018
038B	浙商证券股份有限公司 Zheshang Securities Co., Ltd.	浙江省杭州市杭大路 1 号 No. 1, Hangda Road, Hangzhou, Zhejiang	310007
039B	财通证券股份有限公司 Caitong Securities Co., Ltd.	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
040B	中信证券(浙江)有限责任公司 CITIC Securities (Zhejiang) Co., Ltd.	浙江省杭州市江南大道 588 号恒鑫大厦 19、20 层 19/F &20/F, Hengxin Tower, No. 588, Jiangnan Road, Hangzhou, Zhejiang	310052
041B	大通证券股份有限公司 Daton Securities Co., Ltd.	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 38、39 层 38/F & 39/F, Dalian Futures Tower-Tower A, Dalian International Finance Conference Center, No. 129, Huizhan Road, Shahekou District, Dalian	116023
045B	方正证券股份有限公司 Founder Securities Co., Ltd.	长沙市芙蓉中路二段华侨国际大厦 22-24 层 Floor 22-24, Overseas Chinese International Tower, Section 2, Middle Furong Road, Changsha	410015
047B	第一创业证券股份有限公司 First Capital Securities Co., Ltd.	深圳市福田区福华一路 115 号投行大厦 20 楼 20/F, Investment Bank Building, No. 115, First Fuhua Road, Futian District, Shenzhen	197000
048B	国元证券股份有限公司 Guoyuan Securities Co., Ltd.	安徽省合肥市寿春路 179 号 No. 179, Shouchun Road, Hefei, Anhui	230001
050B	民生证券股份有限公司 Minsheng Securities Co., Ltd.	北京市东城区建国门内大街 28 号民生金融中心 A 座 16 层 -20 层 Floor 16-20, Tower A, Minsheng Financial Center, No. 28, Jianguomennei Avenue, Dongcheng District, Beijing	100005
052B	中山证券有限责任公司 Zhongshan Securities Co., Ltd.	深圳市福田区益田路 6009 号新世界中心 29 层 29/F, New World Centre, No. 6009, Yitian Road, Futian District, Shenzhen	518026
053B	华创证券有限责任公司 Huachuang Securities Co., Ltd.	贵州省贵阳市中华北路 216 号华创大厦 Huachuang Tower, No. 216, North Zhonghua Road, Guiyang, Guizhou	550004

会员代码 Member Code	单位名称 Organization Name	地址 Mailing Address	邮编 Zip Code
054B	中航证券有限公司 AVIC Securities Co., Ltd.	江西省南昌市红谷滩新区红谷中大道 1619 号国际金融大厦 A 栋 41 层 41/F, Block A, International Financial Tower, No. 1619, Hongguzhong Road, Honggutan New District, Nanchang, Jiangxi	330038
055B	万联证券有限责任公司 Wanlian Securities Co., Ltd.	广州市天河珠江东路 11 号 18、19 楼 Floor 18 & Floor 19, No. 11, East Zhujiang Road, Tianhe District, Guangzhou	510623
056B	江海证券有限公司 Jianghai Securities Co., Ltd.	哈尔滨市香坊区赣水路 56 号 No. 56, Ganshui Road, Xiangfang District, Harbin	150036
057B	东兴证券股份有限公司 Dongxing Securities Co., Ltd.	北京市西城区金融大街 5 号新盛大厦 B 座 12 层 12/F, Xinsheng Tower B, No. 5, Financial Avenue, Xicheng District, Beijing	100033
059B	恒泰证券股份有限公司 Hengtai Securities Co., Ltd.	内蒙古呼和浩特市新华东街 111 号 No. 111, East Xinhua Street, Hohhot, Inner Mongolia	010010
060B	红塔证券股份有限公司 Hongta Securities Co., Ltd.	云南省昆明市北京路 155 号附 1 号红塔大厦 9 楼 9/F, Hongta Tower, No. 155-1, Beijing Road, Kunming, Yunnan	650011
061B	国盛证券有限责任公司 Golden Sun Securities Co., Ltd.	江西省南昌市北京西路 88 号 No. 88, West Beijing Road, Nanchang, Jiangxi	330046
062B	华融证券股份有限公司 Huarong Securities Co., Ltd.	北京市西城区金融大街 8 号 A 座 Tower A, No. 8, Financial Avenue, Xicheng District, Beijing	100033
063B	德邦证券有限责任公司 Tebon Securities Co., Ltd.	上海市浦东新区福山路 500 号 26 楼 26/F, No. 500, Fushan Road, Pudong New Area, Shanghai	200122
064B	华龙证券有限责任公司 China Dragon Securities Co., Ltd.	兰州市城关区东岗西路 638 号兰州财富中心 21 楼 21/F, Lanzhou Fortune Center, No. 638, West Donggang Road, Chengguan District, Lanzhou	730000
065B	中天证券有限责任公司 Zhongtian Securities Co., Ltd.	辽宁省沈阳市和平区光荣街 23 甲 23 A, Guangrong Street, Heping District, Shenyang, Liaoning	110003
066B	财达证券有限责任公司 Caida Securities Co., Ltd.	河北省石家庄市自强路 35 号庄家金融大厦 24 层 24/F, Zhuangjia Financial Tower, No. 35, Ziqiang Road, Shijiazhuang, Hebei	050000
067B	上海证券有限责任公司 Shanghai Securities Co., Ltd.	上海市西藏中路 336 号华旭国际大厦 6 楼 6/F, Huaxu International Building, No. 336, Middle Tibet Road, Shanghai	200001
068B	东北证券股份有限公司 Northeast Securities Co., Ltd.	长春市自由大路 1138 号 No. 1138, Ziyou Road, Changchun	130021
069B	开源证券有限责任公司 Kaiyuan Securities Co., Ltd.	陝西省西安市锦业路 1 号都市之门 B 座 5 层 5/F, the Gate of Metropolis B, No. 1, Jinye Road, Xi'an, Shaanxi	710065
070B	天风证券股份有限公司 TF Securities Co., Ltd.	湖北省武汉市江汉区唐家墩路 32 号国资大厦 B 座四楼 4/F, Guozi Tower B, No. 32, Tangjiadun Road, Jianghan District, Wuhan, Hubei	430024
072B	广州证券有限责任公司 Guangzhou Securities Co., Ltd.	广州市珠江西路 5 号 19 层、20 层 Floor 19 & Floor 20, No. 5, West Zhujiang Road, Guangzhou	510623
073B	中国民族证券有限责任公司 China Minzu Securities Co., Ltd.	北京市朝阳区北四环中路 27 号盘古大观 A 座 42F A11 A11, 42/F, Pangu Daguan Tower A, No. 27, Middle Road of North Fourth Ring Road, Chaoyang District, Beijing	100101
074B	新时代证券有限责任公司 New Times Securities Co., Ltd.	北京市海淀区北三环西路 99 号院 1 号楼 15 层 1501 Room 1501, 15/F, Building 1, No. 99 Yard, West Road of North Third Ring Road, Haidian District, Beijing	100086
075B	西南证券股份有限公司 Southwest Securities Co., Ltd.	重庆市江北区桥北苑 8 号西南证券大厦 Southwest Securities Tower, No. 8, Qiaobeiyuan, Jiangbei District, Chongqing	400023
076B	万和证券有限责任公司 Vanho Securities Co., Ltd.	深圳市福田区深南大道 7028 号时代科技大厦西厅 20 层 20/F, West Hall, Times Technology Building, No. 7028,	518040
077B	首创证券有限责任公司 Capital Securities Co., Ltd.	北京市西城区德胜门外大街 115 号 No. 115, Deshengmenwai Avenue, Xicheng District, Beijing	100088
078B	华宝证券有限责任公司 Hwabao Securities Co., Ltd.	上海市浦东新区世纪大道 100 号 57 层 57/F, No. 100, Century Boulevard, Pudong New Area, Shanghai	200120

会员代码 Member Code	单位名称 Organization Name	地址 Mailing Address	
080B	众成证券经纪有限公司 Zhong Cheng Securities Brokerage Co., Ltd.	深圳市福田区华强北圣廷苑酒店 B 座 26 楼 26/F, Huaqiangbei The Pavilion, Futian District, Shenzhen	518028
081B	世纪证券有限责任公司 Century Securities Co., Ltd.	深圳市福田区深南大道招商银行大厦 40-42 层 Floor 40-42, CMB Tower, Shennan Boulevard, Futian District, Shenzhen	
082B	联讯证券股份有限公司 Lianxun Securities Co., Ltd.	广东省惠州市江北东江三路 55 号广播电视新闻中心西面一层大堂和三、四层 Floor 3, Floor 4, Floor 1 Lobby, West Broadcasting and Television News Center No. 55, Jiangbei Dongjiang Third Road, Huizhou, Guangdong	516003
083B	大同证券经纪有限责任公司 Datong Securities Brokerage Co., Ltd.	山西省太原市长治路 111 号山西世贸中心 A 座 F12 12/F, Tower A, Shanxi World Trade Center, No. 111, Changye Road, Taiyuan, Shanxi	030012
084B	厦门证券有限公司 Xiamen Securities Co., Ltd.	福建省厦门市莲前西路 2 号莲富大厦 17 楼 17/F, Lianfu Tower, No. 2, West Lianqian Road, Xiamen, Fujian	361009
085B	西藏同信证券股份有限公司 Tongxin Securities Co., Ltd.	上海市永和路 118 弄 24 号楼 Building 24, Lane 118, Yonghe Road, Shanghai	200072
086B	宏信证券有限责任公司 Hongxin Securities Co., Ltd.	四川省成都市人民南路二段 18 号川信大厦 10 楼 10/F, Chuanxin Mansion, No.18, Section 2, South Renmin Road, Chengdu, Sichuan	610016
087B	银泰证券有限责任公司 Yintai Securities Co., Ltd.	深圳市福田区竹子林四路紫竹七道 18 号光大银行 18 楼 18/F, CEB, No. 18, Zizhu Qi Road, Zhuzilin Si Road, Futian District, Shenzhen	518040

### 特别会员名录。

#### Special Members

会员代码 Member Code	单位名称 Organization Name	地址 Mailing Address	邮编 Zip Code
001S	大连商品交易所 Dalian Commodity Exchange	大连市会展路 129 号 No.129 Huizhan Road, Dalian	116023
002S	郑州商品交易所 Zhengzhou Commodity Exchange	郑州市未来路 69 号 No.69 Weilai Road, Zhengzhou	450008
003S	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
004S	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, 1600 Century Avenue, Pudong New Area	200122
005S	中国期货保证金监控中心有 限责任公司 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 17/F, Xinsheng Tower B, No. 5, Financial Street, Xicheng District, Beijing	100034

### 联系会员名录。

### **Associate Members**

会员代码 Member Code	单位名称 Organization Name	地址 Mailing 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, Hua'ao Center, No. 31, Zizhuyuan Road, Haidian District, Beijing	
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 Tower, No. 61, Shiyijing Road, Hedong District, Tianjin	
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 6/F, Building 1, No. 118, Xida Straight Street, Nangang District, Harbin	
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 Room 2210A, Shanghai Futures Tower, No. 500, Pudian Road, Pudong New Area, Shanghai	
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 F/17, Huatai Securities Plaza, No. 90, East Zhongshan Road	
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, Times Square Excellence Phase II, No. 8, Three Center Road, Futian District, Shenzhen	518048
507C	河北省期货业联席会 Hubei Futures Association	河北省石家庄市友谊北大街 71 号 No. 71, North Youyi Avenue, Shijiazhuang City, Hebei	518048
508C	大连市证券期货业协会 Dalian Securities and Futures Association	大连市中山区中山路 136 号希望大厦 1505 室 Room 1505, Hope Mansion, No. 136, Zhongshan Road, Zhongshan District, Dalian	116001
509C	辽宁期货业协会 Liaoning Futures Association	辽宁省沈阳市和平区十一纬路 12 号 No. 12, Shiyiwei Road, Heping District, Shenyang, Liaoning	
510C	浙江期货行业协会 Zhejiang Futures Association	杭州市湖墅南路 395 号广通大厦 8 楼 8/F, Guangtong Tower, No. 395, South Hushu Road, Hangzhou	310005
511C	宁波市证券期货业协会 Ningbo Securities and Futures Association	宁波市海曙区中山西路 2 号恒隆中心 24 楼 24/F, Hang Lung Centre, No. 2, West Zhongshan Road, Haishu District, Ningbo	315000
512C	安徽省证券期货业协会 Anhui Securities and Futures Association	安徽省合肥市蒙城路 109 号地税大厦 17 楼 17/F, Land Tax Tower, No. 109, Mengcheng Road, Hefei, Anhui	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 1103,11/F, Securities Tower, No. 86, Jingqi Road, Shizhong District, Ji'nan	250001
514C	河南证券期货业协会 Henan Securities and Futures Association	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, 8/F, Liji Shangdong International Tower, No. 7, Commercial Outer Ring Road (intersection of Commericial Outer Ring Road and Xisan Street), Zhengdong New District, Zhengzhou, Henan	450008
515C	江西省证券期货业协会 Jiangxi Securities and Futures Association	江西省南昌市东湖区紫金城紫金大厦 4 楼邮编: 330006 4/F, Zijin Tower, Zijincheng, Donghu District, Nanchang, Jiangxi 330006	330077
516C	广东证券期货业协会 Guangdong Securities and Futures Association	广州市天河区临江大道 3 号发展中心 17 楼 C 单元 Unit C, 17/F, Development Center, No. 3, Linjiang Avenue, Tianhe District, Guangzhou	510623
517C	广西证券期货业协会 Guangxi Securities and Futures Association	南宁市金湖北路 52-1 号东方曼哈顿大厦 20 楼 2011 Room 2011, 20/F, Oriental Manhattan Tower, No. 52-1, North Jinhu Road, Nanning	530028

会员代码 Member Code	单位名称 Organization Name	地址 Mailing Address	邮编 Zip Code
518C	福建省证券期货业协会 Fujian Securities and Futures Association	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 Chuangye Center, Building 10, Fuzhou Software Park, No. 89, Software Avenue, Tongpan Road, Fuzhou	350003
519C	厦门证券期货业协会 Xiamen Securities and Futures Association	厦门市湖滨南路 388 号国贸大厦 6 楼 602 室 Room 602, 6/F, Guomao Mansion, No. 388, South Hubin Road, Xiamen	361004
520C	四川省证券期货业协会 Sichuan Securities and Futures Association	成都市洗面桥街 39 号十楼 10/F, No. 39, Ximianqiao Street, Chengdu	610000
521C	重庆市证券期货业协会 Chongqing Securities and Futures Association	重庆市渝中区临江支路 2 号合景大厦 15 楼 15/F, Hejing Tower, No. 2, Linjiang Subbranch, Yuzhong District, Chongqing	400010
522C	甘肃证券期货业协会 Gansu Securities and Futures Association	甘肃省兰州市张掖路延寿巷 8 号基隆大厦 9 层 001 室 Room 001, 9/F, Keelung Tower, No. 8, Yanshou Lane, Zhangye Road, Lanzhou, Gansu	730000
523C	新疆证券期货业协会 Xinjiang Securities and Futures Association	新疆乌鲁木齐金银路 53 号金融大厦 1806 室 Room 1806, Financial Tower, No. 53, Jinyin Road, Urumuqi, Xinjiang	830001
524C	海南证券期货业协会 Hainan Securities and Futures Association	海南省海口市南宝路 36 号证券大厦 7 楼 7/F, Securities Tower, No. 36, Nanbao Road, Haikou, Hainan	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, Kunmin	650051
526C	陝西证券期货业协会 Shaanxi Securities and Futures Association	陝西西安高新四路高科广场 A 座 2309 室 Room 2309, Tower A, Gaoke Square, Gaoxin Si Road, Xi'an, Shaanxi	710075
527C	青岛证券期货业协会 Qingdao Securities and Futures Association	青岛市市南区东海西路 28 号龙翔广场一号楼一楼 1/F, Building 1, Longxiang Square, No. 28, West Donghai 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, Bank Of China Tower B, No. 699, Xi'an Avenue, Changchun	130061
529C	宁夏证券期货业协会 Ningxia Securities and Futures Association	宁夏银川市北京东路 379 号金源大厦 11 楼 1110 室 Room 1110, 11/F, Jinyuan Tower, No. 379, East Beijing Road, Yinchuan, Ningxia	750004
530C	贵州证券业业协会 Guizhou Securities Association	贵阳市中华北路 18 号银海大厦北楼 4 层 4/F, North Building, Yinhai Tower, No.18, North Zhonghua 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 Tower, No. 459, North Station 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, Hubei	430079
533C	内蒙古证券期货业协会 Neimenggu Securities and 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, Building 20, Unit 1, Huamen Shijia Tower, No., 78, East Xinhua Street, Saihan District, Hohhot	010010
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 13/F, Guorui Tower, No. 101, Pingyang Road, Taiyuan, Shanxi	030006



#### 中国期货业协会

地 址:北京市西城区金融大街 33 号通泰大厦 C 座八层 100140 联系电话:86-10-88087239 传真电话:86-10-88087060 网址:www.cfachina.org 电子邮箱:cfa@cfachina.org

#### **China Futures Association**

8F Tower C, Tongtai Building, 33 Financial Street, Xicheng District, Beijing P.R. China 100140 Phone: 86-10-88086780 Fax: 86-10-88087060 Website: www.cfachina.org Email: cfa@cfachina.org