



中国期货业协会
China Futures Association

2016 年度报告

2016 Annual Report



From Futures to Future



中国期货业协会年报**2016**
2016 Annual Report of China Futures Association

会长致辞

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新年伊始，万象更新。值此辞旧迎新之际，我谨代表中国期货业协会向所有关心和支持中国期货业健康发展、关心支持中国期货业协会工作的各界朋友及同仁表示衷心的感谢，并致以诚挚的节日问候和祝福！

2016 年，是期货行业夯实基础、蓄势待发的一年。在全面推进供给侧改革的大背景下，中国期货行业不断深化服务实体经济的认识，牢固树立诚信合规经营理念，坚守不发生系统性风险的底线，稳中求进，扎实创新，不断增强自身竞争实力，行业整体已经从过去单一经纪业务模式为主，走向了风险管理、资产管理等多业务模式并举的专业化、差异化道路。

雄鸡唱韵，万户桃符新气象；大地回春，群山霞彩富神州！2017 年，是希望之年。商品期权的推出将使期货市场跨入崭新的时代。新的一年，我们将积极贯彻落实党的十八届六中全会和中央经济工作会议精神，落实依法从严全面监管理念，立足自律、服务和传导的基本定位，坚持服务实体经济的根本宗旨，不断提升行业专业化服务水平，为期货市场健康发展做出新的贡献。

最后，祝广大会员和投资者新年快乐，万事如意！

A handwritten signature in black ink, reading '朱月伟' (Zhu Yuewei).

| 中国期货业协会会长 |

Chairman Speech in 2017

At the beginning of the new year, everything takes on a completely fresh look. On behalf of the China Futures Association (CFA), I would like to express my heartfelt thanks to all the friends and colleagues who care about and support the healthy development of China's futures industry and support the work of the CFA, and extend my sincere greetings and blessings!

It is in 2016 that the futures industry has laid a solid foundation and been ready to make great progress. In the context of comprehensively promoting the reform of the supply side, the Chinese futures industry has continuously deepened the understanding of serving the real economy, firmly established the management concept of integrity and compliance, adhered to the bottom line of no systemic risk, and made steady progress and solid innovation, to continuously enhance its competitive edge. The industry, as a whole, has become professional and differentiated in the multi-business model such as risk management and asset management, from the single brokerage business model in the past.

With the rooster singing, we expect a renewed and thriving China! 2017 is the year of hope and the introduction of commodity options will mark a new era of the futures market. In this year, we will actively implement the spirit of the 6th Plenary Session of the 18th CPC Central Committee and the Central Economic Work Conference, follow the basic concept of strict and overall regulation in accordance with the law, focus on the orientation of self-discipline, service and transmission, adhere to the fundamental purpose of serving the real economy, and constantly upgrade the level of professional services in the industry, so as to make new contributions to the sound development of the futures market.

Finally, I wish every member and investor a happy New Year and all the best!

Mingwei Wang

| Chairman of CFA |

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

第一部分

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。

会员大会是协会的最高权力机构。理事会是会员大会闭会期间协会的常设权力机构，对会员大会负责。理事会下设经纪业务、资产管理、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、互联网金融、人才培养专项基金管理委员会和投资者教育专项基金管理委员会 14 个专业委员会。协会设会长一名，专职副会长若干名，兼职副会长若干名，秘书长一名，实行会长负责制。协会常设办公室（党委办公室）、纪检监察办公室、会员一部、会员二部、创新支持部、自律监察部、考试认证部、培训部、研究部、投资者教育部和信息技术部 11 个办事机构。

截至 2016 年底，期货业协会共有会员 362 家，其中，普通会员 285 家，特别会员 5 家，联系会员 72 家。

Pursuant to the Regulation for the Administration of Registration of Association and the Regulations for the Administration of Futures Trading, the China Futures Association (referred to as "CFA"), which is a non-profit association, was established on December 29, 2000 as a national self-regulatory organization of futures industry subject to the guidance and supervision of the China Securities Regulatory Commission(CSRC) and the Ministry of Civil Affairs of China.

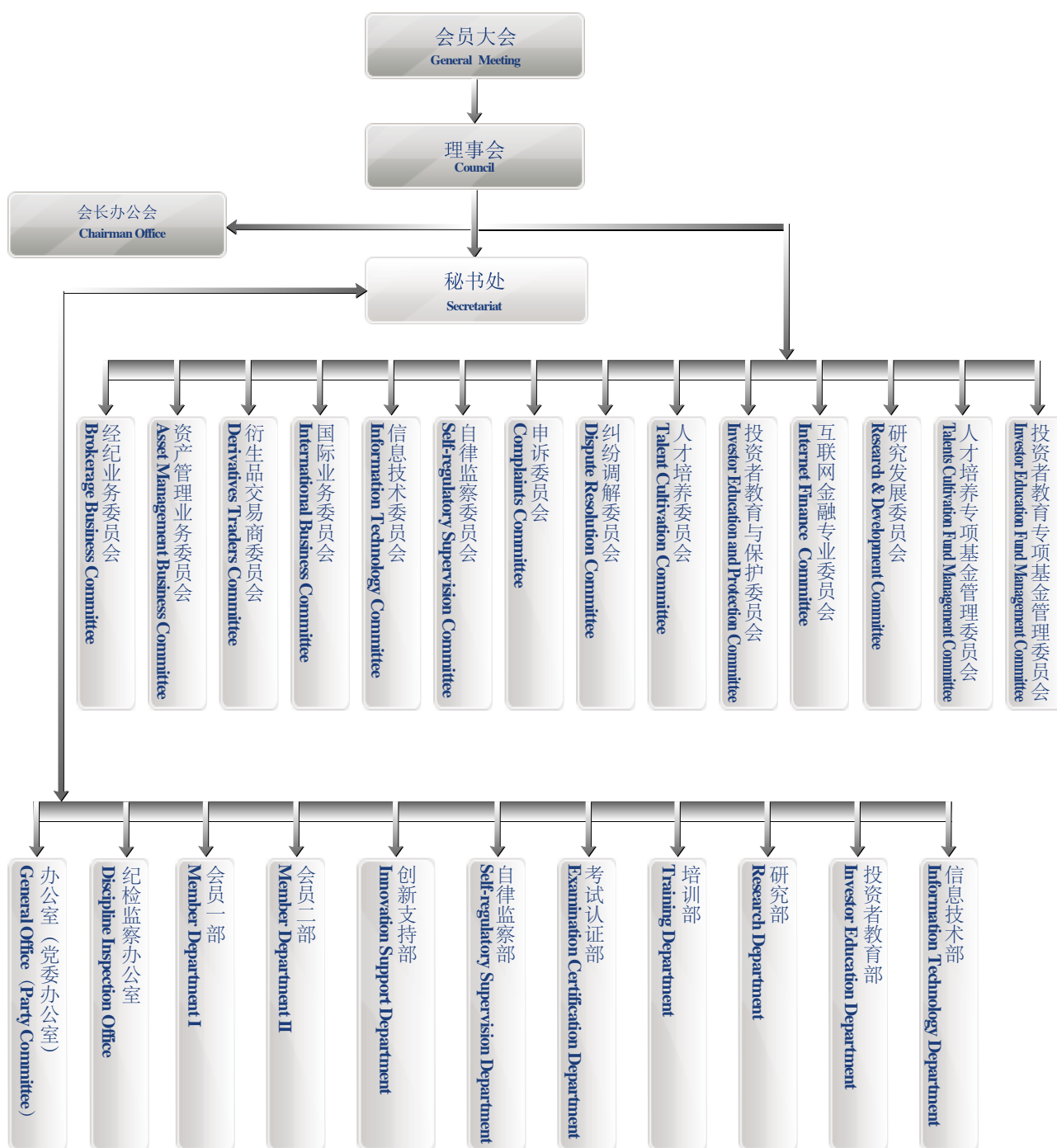
General Meeting is the highest authority of CFA, while the Council refers to the standing authority of CFA during intersession of General Meeting, which is responsible for General Meeting. The Council is currently composed of 14 professional committees, namely Brokerage Business, Asset Management, Derivatives Traders, International Business, Information Technology, Self-regulatory Supervision, Complaints, Dispute Resolution, Investor Education and Protection, Research & Development, Internet Finance, Talents Cultivation Fund Management Committee and Investor Education Fund Management Committee.

CFA has one chairman, several vice chairmen, and one vice secretary general. There are 11 departments including General Office(CPC Committee), Discipline Inspection Office, Membership I, Membership II, Innovation Support, Compliance Investigation, Qualification Exam and Authentication, Training, Research and Development, Investor Education and Information Technology.

As of the end of 2016, CFA had 362 members, including 285 regular members, five special members and 72 affiliate members.

组织结构图

Organizational Structure Chart



协会宗旨

Our Mission

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

With the mission of “Self-regulation, Service, Conduct”, the CFA have the following functions: conducting self-regulation over the futures industry under the centralized supervision and administration of the central government; bridging the government and the futures industry, to serve the members and safeguard their interest; promoting transparency, equitableness and justice of the futures market, maintaining fair competition of the futures industry and protecting the legitimate interests of investors to facilitate the orderly and steady development of China's futures market.



中国期货业协会
China Futures Association

自律 服务 传导
Self-regulation Service Conduction

协会职能

Functions of CFA

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

- ☐ 设立专项基金，为期货业人才培养、投资者教育或其他特定事业提供资金支持。
- ☐ 负责行业信息安全保障工作的自律性组织协调，提高行业信息安全保障和信息技术水平。
- ☐ 收集、整理期货信息，开展会员间的业务交流，推动会员按现代金融企业要求完善法人治理结构和内控机制，促进业务创新，为会员创造更大市场空间和发展机会。
- ☐ 组织会员对期货业的发展进行研究，参与有关期货业规范、发展的政策论证，对相关方针政策、法律法规提出建议。
- ☐ 加强与新闻媒体的沟通与联系，广泛开展期货市场宣传和投资者教育，为行业发展创造良好的环境。
- ☐ 表彰、奖励行业内有突出贡献的会员和个人，组织开展业务竞赛和文化活动，加强会员间沟通与交流，培育健康向上的行业文化。
- ☐ 开展期货业的国际交流与合作，代表中国期货业加入国际组织，推动相关资质互认，对期货涉外业务进行自律性规范与管理。
- ☐ 法律、行政法规规定以及中国证监会赋予的其他职责。

continuous education and business training on futures employees and improve their vocational skills and occupational ethics level.

- ☐ Establish special fund and provide financial support for talent training, investor education or other special careers of futures industry.
- ☐ Be responsible for self-regulation organization and coordination of industrial information safety control and improving industrial information safety control and information technology level.
- ☐ Collect and manage futures information, carry out business exchange among members, promote members to perfect corporate governance structure and internal control mechanism as required by modern financial enterprises and encourage business innovation, thus creating larger market space and development opportunity for members.
- ☐ Organize members to study the development of futures industry, join in policy demonstration concerning standards and development of futures industry and put forward suggestions for relevant policies, laws and regulations.
- ☐ Strengthen the communication and contact with news media, hold futures market publicity and investor education in large scale and create favorable environment for industry development.
- ☐ Honor and award the members and individuals with outstanding contributions in the industry, organize business competition and cultural activity, strengthen the communication and exchange among members and cultivate healthy and progressive industrial culture.
- ☐ Carry out international exchange and cooperation of futures industry, join in international organization in name of China's futures industry, promote relevant qualification authentication, and perform self-regulation normalization and management on foreign futures business.
- ☐ Other responsibilities provided by laws and administrative regulations and those granted by CSRC.

协会领导简介

Profiles of CFA Leaders



王明伟 会长

Wang Mingwei Chairman

硕士。高级经济师，全国人大代表。曾任中国工商银行国际业务部副处长、处长，中国证券监督管理委员会外事部副主任、国际合作部副主任、规划发展委员会委员、研究中心研究员，中国证监会河南局副局长、局长，中国证监会江苏局党委书记、局长。现任中国期货业协会党委书记、会长。

Master. Deputy to the National People's Congress. Served as International Business Division Director of the Industrial and Commercial Bank of China. After joining the CSRC, he served as Deputy Director-General of Foreign Affairs Department, Deputy Director-General of International Affairs Department, Commissioner of Development and Reform Committee, Researcher at the Research Center, Director-General of Henan Bureau and Director-General of Jiangsu Bureau. Currently serves as Chairman of China Futures Association.



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.



陈东升 纪委书记

— **Chen Dongsheng** Secretary of Discipline Inspection Committee

硕士。曾任全国中小企业股份转让系统公司人力资源部总监等职务，现任中国期货业协会纪委书记。

Master. Served as Director of HR Department of National Equities Exchange and Quotations. Currently serves as the Secretary of Discipline Inspection Committee of China Futures Association.



党 剑 副会长

— **Dang Jian** Vice Chairman

博士。曾任海南海信期货经纪有限公司总经理，中国国际期货经纪有限公司副总裁，上海中期期货经纪有限公司总经理，东方证券股份有限公司金融期货部总经理，上海东证期货有限公司董事、总经理，上海期货交易所总经理助理，现任中国期货业协会专职副会长。

Doctor. Served as General Manager of Hainan Haixin Futures Brokerage Co., Ltd., Vice President of China International Futures Co., Ltd., General Manager of Shanghai CIFCO Futures Co., Ltd., General Manager of Financial Futures Department in Orient Securities Co., Ltd., Director and General Manager of Shanghai Orient Securities Futures Co., Ltd. as well as General Manager Assistant of Shanghai Futures Exchange; Currently serves as Vice Chairman of China Futures Association.



范 辉 非会员理事

— **Fan Hui** Nonmember Director

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

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 Vice Chairman of China Futures Association. Currently serves as Director of Administrative Service Center of CSRC.

领导简介

Profiles of Leaders



刘志超 非会员理事

— Liu Zhichao Nonmember Director

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

Master of Finance and Senior Economist. 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) and Chairman of China Futures Association.



侯苏庆 非会员理事

— Hou Suqing Nonmember Director

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、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, Director of CSRC Henan Supervision Bureau and Vice Chairman of China Futures Association.



孙明福 非会员理事

■ Sun Mingfu Nonmember Director ■

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办公室（党办、纪检办）主任、副秘书长、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; Also served as Vice Chairman, Deputy Secretary General and Director of CPC Office (and Discipline Inspection Office) of China Futures Association.



张宜生 非会员理事

■ Zhang Yisheng Nonmember Director ■

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

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.

领导简介

Profiles of Leaders



李 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）董事长兼总经理等职务，曾担任中国期货业协会专职副会长兼秘书长。

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. 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; Currently serves as member of CPC Committee and Vice-general Manager of Shanghai Futures Exchange.



张 静 兼职副会长

Zhang Jing Vice Chairman

硕士。历任郑州商品交易所市场监察法规部部长、期货交易部部长、市场开发部部长、总经理业务助理、未来物业公司、未来大酒店公司董事长，现任郑州商品交易所党委委员、副总经理。

Master Degree. Served successively as Director of Market Surveillance Department and Director of Futures Trading Department and Director of Market Development Department and Business Assistant to General Manager of Zhengzhou Commodity Exchange, Board Chairman of WeiLai Properties Co. Ltd and WeiLai Hotel; Currently serves as member of CPC Committee and Vice-general Manager of Zhengzhou Commodity Exchange.



魏振祥 兼职副会长

— Wei Zhenxiang Vice Chairman

博士。1995 年加入郑州商品交易所，从事品种研发、期权、交易、交割等工作，历任总监、高级总监、总经理业务助理。2015 年 4 月加入大连商品交易所，现任大连商品交易所党委委员、副总经理。

Doctor. He joined Zhengzhou Commodity Exchange for the R&D, options, transaction and settlement in 1995, and served as the Director, Senior Director and Business Assistant of General Manager. He worked in Dalian Commodity Exchange in April 2015, and serves as Member of the Party Committee and Deputy General Manager.



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，曾任稽查部负责人，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 successively 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.



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

Senior Economist. Currently serves as General Manager of Zhejiang Yong'an Futures 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 Zhejiang, Director of Exchange Commission of Dalian Commodity Exchange, Director of Financial Committee of Commodity Exchange and MBA graduate mentor of Zhejiang University.



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、山东期货协会会长，大连商品交易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.



吴亚军 副秘书长

Wu Yajun Deputy Secretary General

研究生学历。历任湘正期货经纪有限责任公司总经理；曾任中国期货业协会办公室主任、培训部主任、考试认证部主任等职务；现任中国期货业协会副秘书长兼办公室（党委办公室）及会员二部主任。

Master. He was the General Manager of Hunan Xiangzheng Futures Brokerage Co., Ltd., as well as the Director of General Office of China Futures Association (CFA), Director of Training Department and Director of Examination Certification Department, etc.; currently serves as the CFA Deputy Secretary General, Director of General Office and Director of Member Department II

中国期货业协会第四届理事会成员 (共计 43 名)

Members of The Fourth Session of Board of China Futures Association (43 members)

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	王明伟	会 长
中国期货业协会	郑小国	副会长
中国期货业协会	党 剑	副会长
中国证监会	范 辉	行政中心主任
中国期货业协会	刘志超	非会员理事
中国期货业协会	侯苏庆	非会员理事
中国期货业协会	孙明福	非会员理事
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	张 静	副总经理
大连商品交易所	魏振祥	副总经理
中国金融期货交易所	鲁东升	副总经理
中国期货市场监控中心	酆 强	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
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
中粮期货有限公司	吴浩军	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	王桂芳	总经理
银河期货有限公司	杨 青	总经理
中国国际期货有限公司	王 兵	总经理
海通期货有限公司	吴红松	总经理
光大期货有限公司	田亚林	董事长
国投中谷期货有限公司	高 杰	董事长
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	陈太康	总经理
弘业期货股份有限公司	周剑秋	总经理
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
华信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	徐炜中	总经理
中信期货有限公司	张 皓	董事长
五矿期货有限公司	张必珍	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

Organization	Name	Title
China Futures Association	Wang Mingwei	Chairman
China Futures Association	Zheng Xiaoguo	Vice Chairman
China Futures Association	Dang Jian	Vice Chairman
China Securities Regulatory Commission	Fan Hui	Director of Administrative Service Center
China Futures Association	Liu Zhichao	Non-Member Director
China Futures Association	Hou Suqing	Non-Member Director
China Futures Association	Sun Mingfu	Non-Member Director
China Futures Association	Zhang Yisheng	Non-Member Director
China Futures Association	Li Qiang	Non-Member Director

II. Special Member Directors

Shanghai Futures Exchange	Ye Chunhe	Deputy General Manager
Zhengzhou Commodity Exchange	Zhang Jing	Deputy General Manager
Dalian Commodity Exchange	Wei zhenxiang	Deputy General Manager
China Financial Futures Exchange	Lu Dongsheng	Deputy General Manager
China Futures Market Monitoring Center	Feng Qiang	Deputy General Manager

III. Company Member Directors

Yong'an Futures Co., Ltd.	Shi Jianjun	General Manager
Xinhu Futures Co., Ltd.	Ma Wensheng	Chairman
Luzheng Futures Co., Ltd.	Chen Fang	Chairman
Founder CIFCO Futures Co., Ltd.	Xu Danliang	General Manager
COFCO Futures Co., Ltd.	Wu Haojun	General Manager
Hongyuan Futures Co., Ltd.	Wang Huadong	General Manager
Guotai Jun'an Futures	Wang Guifang	General Manager
Galaxy Futures Co., Ltd.	Yang Qing	General Manager
China International Futures Co., Ltd.	Wang Bing	General Manager
Haitong Futures Co., Ltd.	Wu Hongsong	General Manager
Everbright Futures Co., Ltd.	Tian Yalin	Chairman
SDIC CGOG Futures Co., Ltd.	Gao Jie	Chairman
Shanghai CIFCO Futures Co., Ltd.	Xu Yifeng	General Manager
Donghai Futures Co., Ltd.	Chen Taikang	General Manager
Holly Futures Co., Ltd.	Zhou Jianqiu	General Manager
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
CEFC 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.	Xu Weizhong	General Manager
CITICS Futures Co., Ltd.	Zhang Hao	Chairman
Minmetals Futures Co., Ltd.	Zhang Bizhen	General Manager
Shenyin & Wanguo Futures Co., Ltd.	Li Jianzhong	General Manager
Industrial Securities Co., Ltd.	Liu Zhihui	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

1. 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；
2. 研究草拟期货经纪业务相关自律规则，促进行业规范发展；
3. 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。

organizations, actively reflect industry demands, maintain the order of fair competition, and strive for a favorable development environment;

5. 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;
6. Enhance the standardized management over futures brokers, and assist in conducting personnel training and examination;
7. Other duties authorized or entrusted by the council.

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

1. Implement, promote and complete the laws, regulations and policies of the state and regulators on development of futures brokerage business;
2. Study and draft the self-regulatory rules on futures brokerage business, to promote the standardized development of the industry;
3. 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

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.

专业委员会

Professional Committees

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；
2. 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。

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

1. Implement, promote and complete the laws, regulations and policies of the state and regulators on development of futures asset management business;
2. Study and draft the self-regulatory rules on futures asset management business, to promote the standardized development of the industry;
3. 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;

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
张 皓	主任委员	中信期货有限公司

Name	Title	Company
Zhang Hao	Director of the Committee	CITIC 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；
2. 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。

3. 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;
4. Research and boost the model innovation of risk management service and OTC derivatives business, and improve the product design and risk control capabilities;
5. Establish communication and cooperation platforms and mechanisms, to promote the exchange and cooperation between futures and derivatives traders;
6. Assist in propelling the talent cultivation of OTC market, derivatives and other relevant fields, to improve the quality of personnel;
7. 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

1. Cultivate and promote the development of dealers, market makers, traders, etc. of various futures and derivatives;
2. 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;

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.

专业委员会

Professional Committees

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；
2. 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。

1. Implement, promote and complete the laws, regulations and policies of the state and regulators on the opening-up of futures and derivatives businesses;
2. Study and draft the self-regulatory rules on cross-border business of futures and derivatives industries, to promote industrial standardized development;
3. 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;
4. 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；
2. 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。

4. 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;
6. 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;
8. 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
许 强	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
Xu Qiang	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

专业委员会

Professional Committees

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；
2. 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；
6. 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。

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

1. Research and draft the procedures and rules on self-regulatory supervision and disciplinary punishment;
2. Research and develop the code of conduct, internal control, compliance, risk control and other self-regulatory rules for members and employees;
3. Assist in conducting self-regulatory inspection for members and employees, and supervise and guide such inspection work;
4. Decide, supervise and execute the disciplinary punishments for members' and employees' violations of self-regulatory rules of the association;

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;
2. 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;
5. 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
许丹良	主任委员	方正中期期货有限公司
张必珍	副主任委员	五矿经易期货有限公司

Name	Title	Company
Xu Danliang	Director of the Committee	Founder CIFCO Futures Co., Ltd.
Zhang Bizhen	Deputy Director of the Committee	Minmetals and Jingyi Futures Co.,Ltd

专业委员会

Professional Committees

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;
2. Organize and guide the pre-job and on-job trainings and experience exchange of coordinators;
3. 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
高 杰	主任委员	国投中谷期货有限公司
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
Gao Jie	Director of the Committee	SDIC CGOG 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

9. 人才培养委员会 Talent Cultivation Committee

1. 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；
2. 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养基地，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。

1. 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;
2. Coordinate and facilitate the cultivation of talents in futures industry, and put forward specific measures and suggestions on implementation of talent cultivation;
3. 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;

5. 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
赵桂萍	副主任委员	广发期货有限公司

Name	Title	Company
Li Qiang	Director of the Committee	China Futures Association
Zhao Guiping	Deputy Director of the Committee	GF Futures Co., Ltd.

专业委员会

Professional Committees

10. 投资者教育与保护委员会
Investor Education and Protection Committee

1. 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；
2. 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；
3. 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；
4. 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。

4. 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;
5. 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
王桂芳	主任委员	国泰君安期货有限公司
丛龙云	副主任委员	万达期货有限公司

1. 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;
2. 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;
3. Boost member units to strengthen the investor education work, establish and complete investor service, education and protection mechanisms;

Name	Title	Company
Wang Guifang	Director of the Committee	Guotai Jun'an Futures
Cong Longyun	Deputy Director of the Committee	Wanda Futures Co., Ltd.

专业委员会

Professional Committees

11 研究发展委员会 Research & Development Committee

1. 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；
2. 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。

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;
6. Guide and participate in comparison and appraisal work related to researches in the futures industry;
7. 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.

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;
3. Research the function positioning of self-regulatory organizations of the industry, and put forward opinions and suggestions on the development strategy, functioning, work plan,

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.

专业委员会

Professional Committees

12. 互联网金融专业委员会 Internet Finance Committee

1. 贯彻落实国家“互联网+行动计划”，促进期货行业互联网金融业务的创新发展，就有关法律法规政策和监管提出意见和建议；
2. 研究互联网金融发展趋势，在风险可控的前提下，探索期货行业互联网金融创新发展模式，引导期货经营机构树立互联网的经营理念，推进基于互联网的商业模式、组织模式、技术架构的创新；
3. 研究制订期货经营机构互联网金融业务的自律规则，促进相关业务规范发展；
4. 促进期货经营机构与互联网企业的交流，研究探索互利合作的模式，打造新型业态；
5. 反映期货行业互联网金融创新诉求，争取有利的发展环境和政策支持。
6. 理事会授权或委托的其他工作。

1. Implement the plan of “Internet + Action”, promote the innovative development of the futures industry in Internet financial business and put forward their opinions and suggestions in accordance with relevant laws and regulations;
2. Research the development trend of Internet finance, explore the model of futures industry in Internet financial business and help futures operation agency to create the operation principle of internet, so as to grow the innovation of business model, organization

model and technical architecture based on internet;

3. Research and draw up the self-regulation rules for futures operation agency in Internet financial business to promote the development of related business;
4. Promote the communication between futures operation agency and internet enterprises, and find out mutual beneficial cooperation for new forms of business;
5. Report the innovation demands in futures operation agency of Internet financial business to higher level to strive for favorable development environment and policy support;
6. Other matters authorized or entrusted by the board of directors.

互联网金融专业委员会成员名单 Members of Internet Finance Committee

姓 名	职 务	单 位
张 涛	主任委员	华泰期货有限公司

Name	Title	Company
Zhang Tao	Director of the Committee	Huatai Futures Co., Ltd.

专业委员会

Professional Committees

13. 人才培养专项基金管理委员会

Talents Cultivation Fund Management Committee

人才培养专项基金管理委员会成员名单

Members of Talents Cultivation 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.

姓 名	职 务	单 位
郑小国	主任委员	中国期货业协会
孙明福	副主任委员	中国期货业协会

Name	Title	Company
Zheng Xiaoguo	Director of the Committee	China Futures Association
Sun Mingfu	Deputy Director of the Committee	China Futures Association

专业委员会

Professional Committees

14. 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
郑小国	主任委员	中国期货业协会
孙明福	副主任委员	中国期货业协会

Name	Title	Company
Zheng Xiaoguo	Director of the Committee	China Futures Association
Sun Mingfu	Deputy Director of the Committee	China Futures Association

机构设置及主要职责

Departments and Key Responsibilities

1. 办公室（党委办公室） General Office (Party Committee)

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；负责协会党委日常工作，协调工会、群团工作；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。

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; be responsible for the daily work of the Party 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; supervise, coordinate and direct the work of grassroots Party branches and Youth League; 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.

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2. 纪检监察办公室 Discipline Inspection Office

主要职责：负责协会纪委日常工作，承担纪委工作计划及相关文件的起草、修改；监督检查协会及工作人员贯彻执行国家法律、法规、政策及内部制度的情况；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 Discipline Inspection Office; draw up and modify the work plans and other relevant documents of the Discipline Inspection Office; 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.

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机构设置及主要职责

Departments and Key Responsibilities

3. 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 self-regulatory 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 part-time chairmen, and make an overall arrangement of the establishment of professional committees of the Association.

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4. 会员二部 Member Department II

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 and 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.

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机构设置及主要职责

Departments and Key Responsibilities

5. 创新支持部 Innovation Support Department

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.

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6. 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.

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机构设置及主要职责

Departments and Key Responsibilities

7. 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。

Key responsibilities: be responsible for the formulation of futures practitioners' qualification categories and standards, and relevant self-regulatory 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.

8. 培训部 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.

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机构设置及主要职责

Departments and Key Responsibilities

9. 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.

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10. 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 self-regulatory rules for related businesses; and assume the communication, coordination and service work with or for the Investor Education and Protection Committee.

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机构设置及主要职责

Departments and Key Responsibilities

11. 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 self-regulatory 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 guidelines 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.

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中国期货业协会
China Futures Association

自律 服务 传导
Self-regulation Service Conduction

国际交流与合作

International Cooperation

扩大对外交流与合作，为中国期货行业搭建境内外合作平台是协会的重要职能之一。近年来，协会积极探索与境外机构建立多种形式的合作关系。截至2016年12月，已与美国、德国、瑞士、新加坡、香港等国家和地区的13个境外机构签署了合作谅解备忘录，并在备忘录框架下开展一系列信息交流、管理层定期沟通会晤、人员交流和培训、举办行业会议加强行业教育等合作。合作备忘录的签署，不仅对促进机构之间的交流合作具有重要意义，而且有利于搭建行业交流平台，为推进中国期货行业在国际上开展更广领域、更深层次的合作交流探索新的途径。

It is one of the important functions of the China's futures industry to expand foreign exchanges and cooperation and build a platform for domestic and overseas cooperation. In recent years, the Association actively explores to establish various forms of cooperation with foreign institutions. As of December 2016, we have signed the Memorandum of Understanding on Cooperation with 13 overseas institutions in the United States, Germany, Switzerland, Singapore, Hong Kong and other countries and regions, and developed a series of cooperation on information exchange, of regular communication and meetings among management, personnel exchanges and training, and holding the industry conference to strengthen the industry education under the framework thereof. The signing of the memorandum of cooperation, not only has important significance in promoting exchanges and cooperation between institutions, but also helps to build a platform for the industry exchange, to identify new ways for promoting the international cooperation and exchange in broader fields and at deeper levels of China's futures industry.

合作机构名录

Directory of Cooperative Organizations

芝加哥商业交易所 (CME)

Chicago Mercantile Exchange Holdings Inc.

欧洲期货交易所 (Eurex)

Eurex Exchange

美国全国期货业协会 (NFA)

National Futures Association

香港交易及结算所有限公司 (HKEx)

Hong Kong Exchanges and Clearing Limited

新加坡交易所 (SGX)

Singapore Exchange

芝加哥期权交易所 (CBOE)

Chicago Board Options Exchange

全球期货业协会 (FIA Global)

Futures Industry Association (Global)

美国期权业协会 (OIC)

The Options Industry Council

澳大利亚证券交易所 (ASX)

Australian Securities Exchange

迪拜黄金和商品交易所 (DGCX)

Dubai Gold & Commodities Exchange

国际掉期与衍生品协会 (ISDA)

International Swaps and Derivatives Association

东京商品交易所 (TOCOM)

TOKYO Commodity Exchange

国际商品与衍生品协会 (原瑞士期货与期权协会) (ICDA)

International Commodities & Derivatives Association

会员构成

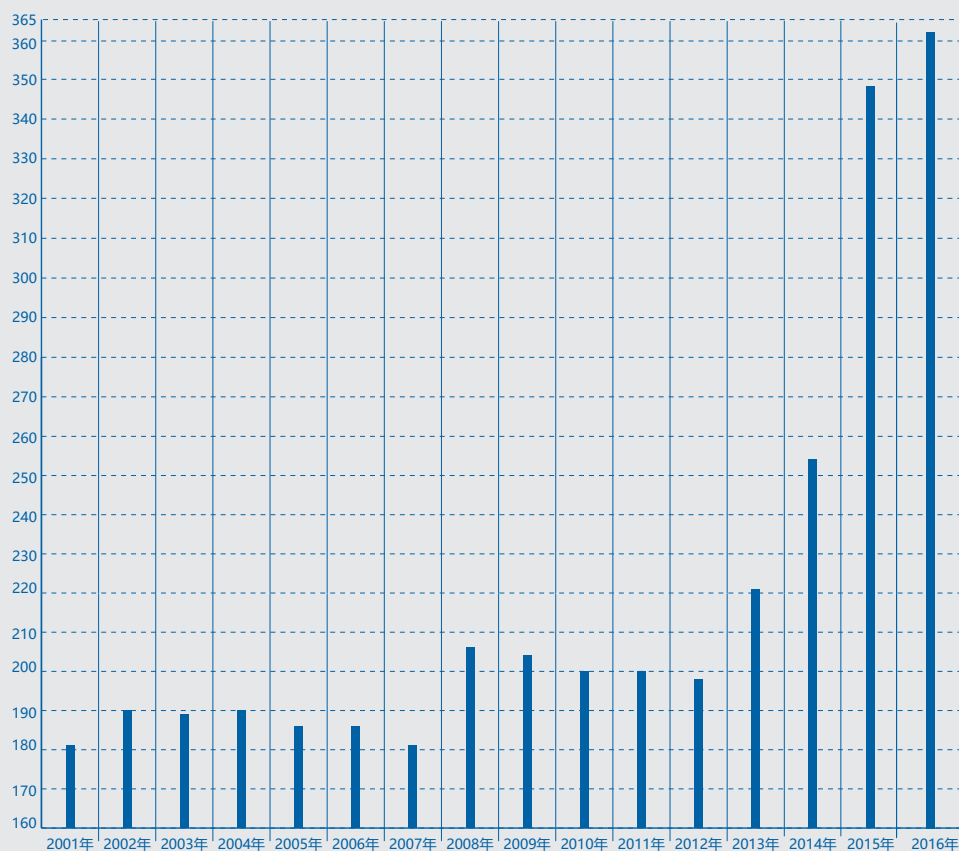
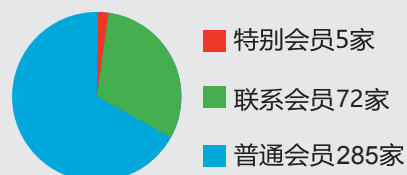
Members Structure

1 会员结构

Members Structure

截至2016年底，协会共有会员362家，普通会员285家，包括期货公司，证券公司，资产管理公司，风险管理公司，私募期货基金。特别会员5家，包括期货交易所，期货市场监管中心。联系会员72家，包括地方协会，服务机构，期货保证金存管银行，软件开发商、行情商、其他信息技术服务提供商。

As of the end of 2016, CFA had 362 members, including 285 regular members, five special members and 72 affiliate members. Regular members include futures companies, securities companies, assets management firms, risk management firms, and private equity funds etc. Special members include futures exchanges and the China Futures Market Monitoring Center. Affiliated members include local associations, banks, software developers and other information technology service providers etc.



2001-2016 年会员总数柱状图

Attached Pie Chart I. Histogram of Total Members during 2001-2016

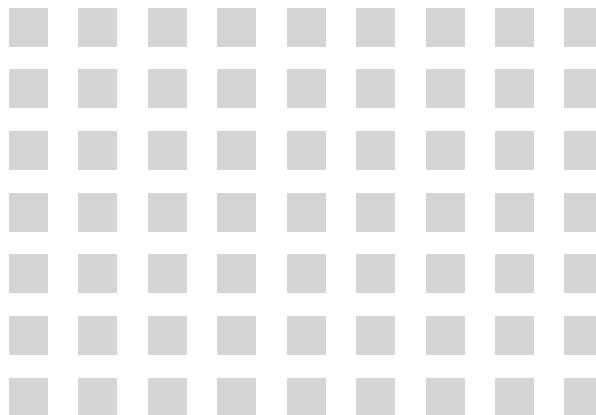
会员情况

Members Information

2. 期货公司会员情况 FCM Members Information

截至2016年底，全国共有149家期货公司，分布于30个省市，公司数目超过10家的省市包括：上海（33家）、北京（19家）、深圳（13家）、浙江（11家）、江苏（10家），占全部公司数的57.72%。

As of the end of 2016, there are 149 futures companies in total, which are distributed in 30 provinces and cities. Those with over 10 companies include: Shanghai (33), Beijing (19), Shenzhen (13), Zhejiang (11) and Jiangsu (10), occupying 57.72% of the total.



上海	33	57.72%
北京	19	
深圳	13	
浙江	11	
江苏	10	
其他	63	42.28%

会员情况

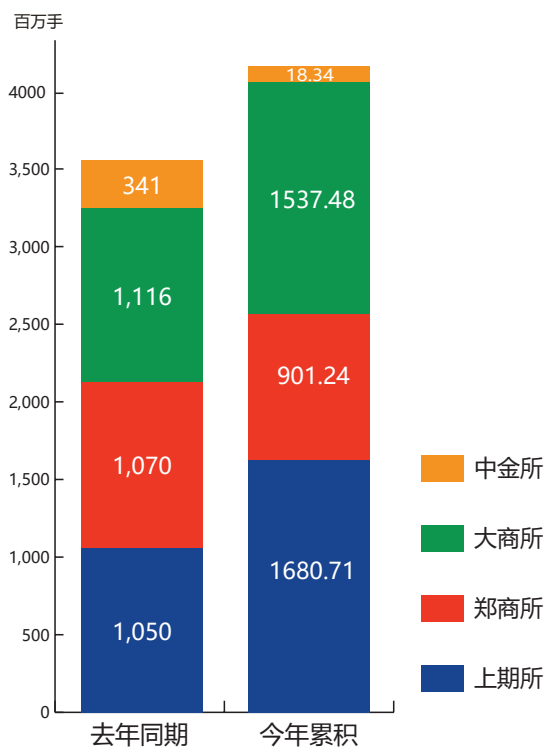
Members Information

3 2016 年期货市场交易情况

Transactions in the Futures Market in 2016

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 2016



数据来源：中国期货业协会

1-12月全国期货市场累计成交量为4,137.77百万手，同比增长15.65%。

From January to December, the accumulative transaction volume of national futures market was 4,137.77 million deals, a year-on-year increase of 15.65%.

上期所累计成交量为1,680.71百万手，占全国市场的40.62%，同比增长59.99%。

The accumulative transaction volume of Shanghai Futures Exchange was 1680.71 million deals, accounting for 40.62% of total of national market, a year-on-year increase of 59.99%.

郑商所累计成交量为901.24百万手，占全国市场的21.78%，同比下降15.79%。

The accumulative transaction volume of Zhengzhou Commodity Exchange was 901.24 million deals, accounting for 21.78% of total of national market, a year-on-year decrease of 15.79%.

大商所累计成交量为1,537.48百万手，占全国市场的37.16%，同比增长37.73%。

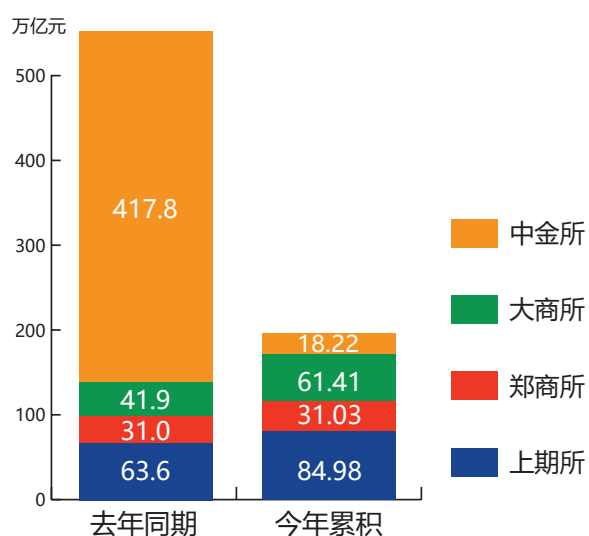
The accumulative transaction volume of Dalian Commodity Exchange was 1537.48 million deals, accounting for 37.16% of total of national market, a year-on-year increase of 37.73%.

中金所累计成交量为18.34百万手，占全国市场的0.44%，同比下降94.62%。

The accumulative transaction volume of China Financial Futures Exchange was 18.34 million deals, accounting for 0.44% of total of national market, a year-on-year decrease of 94.62%.

1-12月全国期货市场累计成交额同比下降

A Year-on-Year Decrease in Accumulative Transaction Value of National Futures Market from January to December 2016



数据来源：中国期货业协会

1-12月全国期货市场累计成交额为195.63万亿元, 同比下降64.70%。

From January to December, the accumulative transaction value of national futures market was 195.63 trillion, a year-on-year decrease of 64.70%.

上期所累计成交额为84.98万亿元, 占全国市场的43.44%, 同比增长33.71%。

The accumulative transaction value of Shanghai Futures Exchange was 84.98 trillion, accounting for 43.44% of total of national market, a year-on-year increase of 33.71%.

郑商所累计成交额为31.03万亿元, 占全国市场的15.86%, 同比增长0.16%。

The accumulative transaction value of Zhengzhou Commodity Exchange was 31.03 trillion, accounting for 15.86% of total of national market, a year-on-year increase of 0.16%.

大商所累计成交额为61.41万亿元, 占全国市场的31.39%, 同比增长46.43%。

The accumulative transaction value of Dalian Commodity Exchange was 61.41 trillion, accounting for 31.39% of total of national market, a year-on-year increase of 46.43%.

中金所累计成交额为18.22万亿元, 占全国市场的9.31%, 同比下降95.64%。

The accumulative transaction value of China Financial Futures Exchange was 18.22 trillion, accounting for 9.31% of total of national market, a year-on-year decrease of 95.64%.

会员情况

Members Information

4 2016 年期货公司经营情况

The Operation of Futures Companies

代理交易情况

Agency Transaction

2016年全国期货公司代理交易额以单边计算为195.63万亿元，同比下降64.70%；代理交易量为41.38亿手，同比增长15.65%。

The agency transaction turnover of Chinese futures companies in 2016 is RMB 195.63 trillion Yuan (unilateral), with a year-on-year decrease rate of 64.70%; trading volume is 4.138 billion contracts, with a year-on-year growth rate of 15.65%.

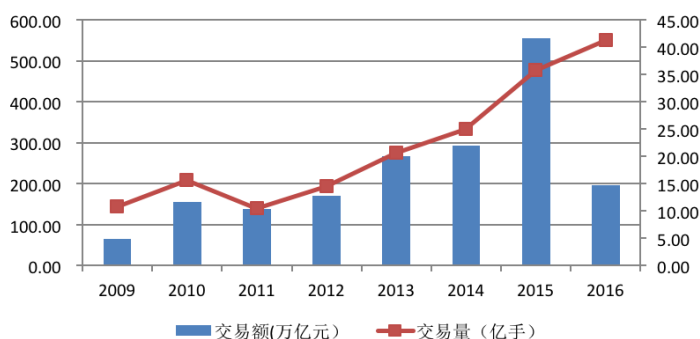
2016年金融期货代理交易额为18.22万亿元，交易量为0.18亿手，同比分别下降95.64%和94.63%，分别占全部份额的9.31%和0.43%。

In 2016, the financial futures agency turnover is RMB 18.22 trillion Yuan, in volume of 18 million contracts, with year-on-year decrease rates of 95.64% and 94.63%, representing 9.31% and 0.43% of the market respectively;

2016年商品期货代理交易额为177.41万亿元，代理交易量为41.20亿手，同比分别增长30.00%和27.27%，分别占全部份额的90.69%和99.57%。

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 contracts)

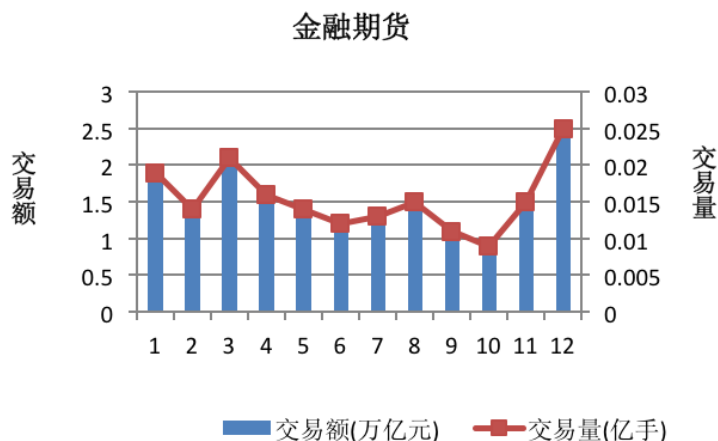


注：2011年以前的交易数据均按单边可比口径调整后得出

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

图2-1 期货公司金融期货代理交易额及交易量情况

Fig. 2-1: Statistics of Agency Turnover of Financial Futures in 2016
(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 contracts)



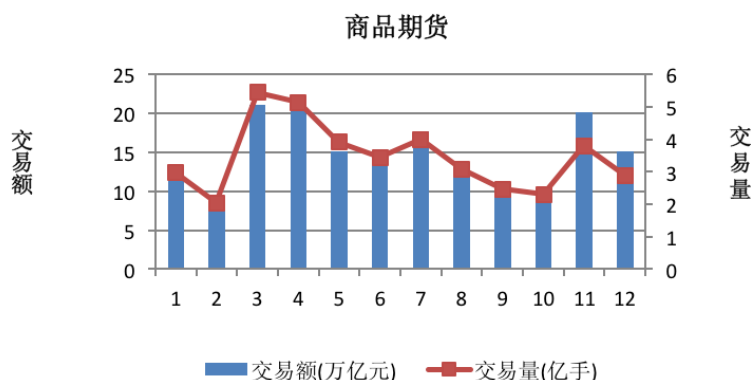
In 2016, the commodity futures agency turnover is RMB 177.41 trillion Yuan, in trading volume of 4.12 billion contracts, with year-on-year growth rates of 30.00% and 27.27%, representing 90.69% and 99.57% of the market respectively.

图2-2期货公司商品期货代理交易额及交易量情况

Fig. 2-2: Statistics of Agency Turnover of Commodity Futures in 2016

(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 contracts)



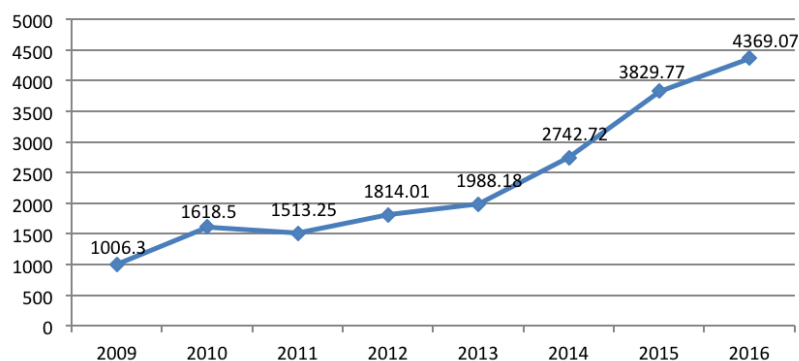
客户权益 Client equity

截止2016年12月末全国期货公司客户权益总额为4369.07亿元, 同比增加14.08%。

As of December 31, 2016, the client equity of Chinese futures companies has achieved RMB 436.907 billion Yuan, with a year-on-year growth rate of 14.08%.

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)



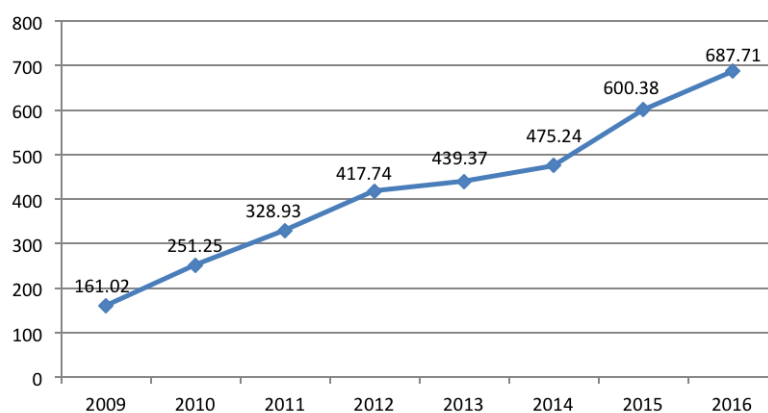
净资本 Net capital

2016年末, 期货公司净资本合计为687.71亿元, 同比增长14.55%。

The total net capital of futures companies at the end of 2016 reached RMB 68.771 billion Yuan, with a year-on-year growth rate of 14.55%.

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)



2016 年度期货公司风险管理公司经营情况

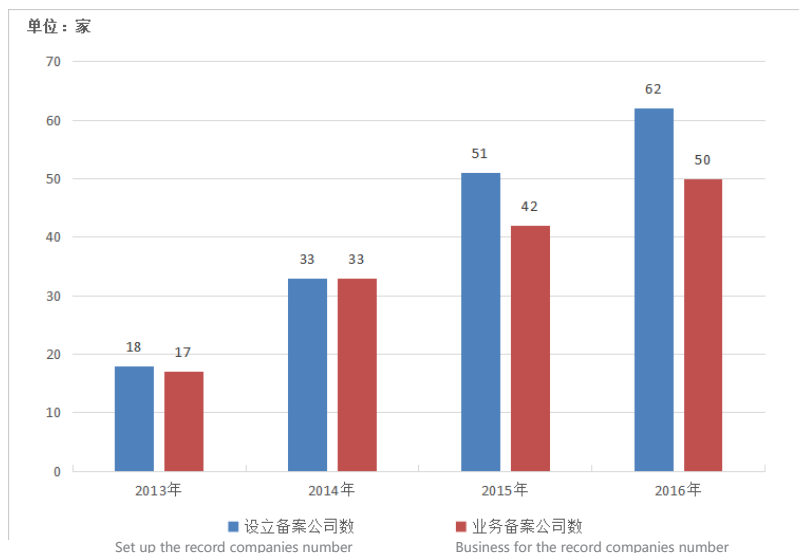
2016 Futures Companies' Business Condition of Risk Management Companies

截至 2016 年底，共计 61 家期货公司完成了风险管理公司业务试点的备案，共设立风险管理公司 62 家^①，同比增长 22%；50 家风险管理公司备案了试点业务，同比增长 19%。其中，2016 年新增 11 家风险管理公司完成设立备案，新增 8 家公司备案了试点业务。

61 futures companies in total have completed the record of pilot business of the risk management companies and established a total of 62^② risk management companies by the end of 2016, with a year-on-year growth of 22%; 50 risk management companies have put on record the pilot business, with a year-on-year growth of 19%. Among them, 11 newly added risk management companies in 2016 have completed the establishment of the record, and another 8 companies have put on record the pilot business.

截至 2016 年底，62 家风险管理公司总资产总额达 222.24 亿元，同比增长 96%；净资产总额达 86.49 亿元，同比增长 68%；注册资本总额 98.95 亿元，同比增长 48%；实收资本总额 86.36 亿元，平均资产负债率为 61%，总体财务指标正常，公司经营较稳健。

The total amount of total assets of 62 risk management companies has reached 22.224 billion yuan by the end of 2016, with a year-on-year growth of 96%; the total amount of net assets reached 8.649 billion yuan, with a year-on-year growth of 68%; the total amount of registered capital was 9.895 billion yuan, with a year-on-year growth of 48%; the total amount of paid-in capital was 8.636 billion yuan, with an average asset-liability ratio of 61%, the overall financial indicators were normal, and the companies were in rather stable operation.



①中粮期货有限公司分别于 2013 年 8 月、2016 年 10 月先后在协会备案中粮祈德丰投资服务有限公司、北京祈德丰商贸有限公司两家风险管理公司。

② COFCO Futures Co., Ltd. put on record in the association two risk management companies, namely COFCO Qidefeng Investment Services Co., Ltd. and Beijing Qidefeng Trading Co., Ltd. in August 2013 and October 2016 respectively.

2013-2016年度风险管理公司财务情况

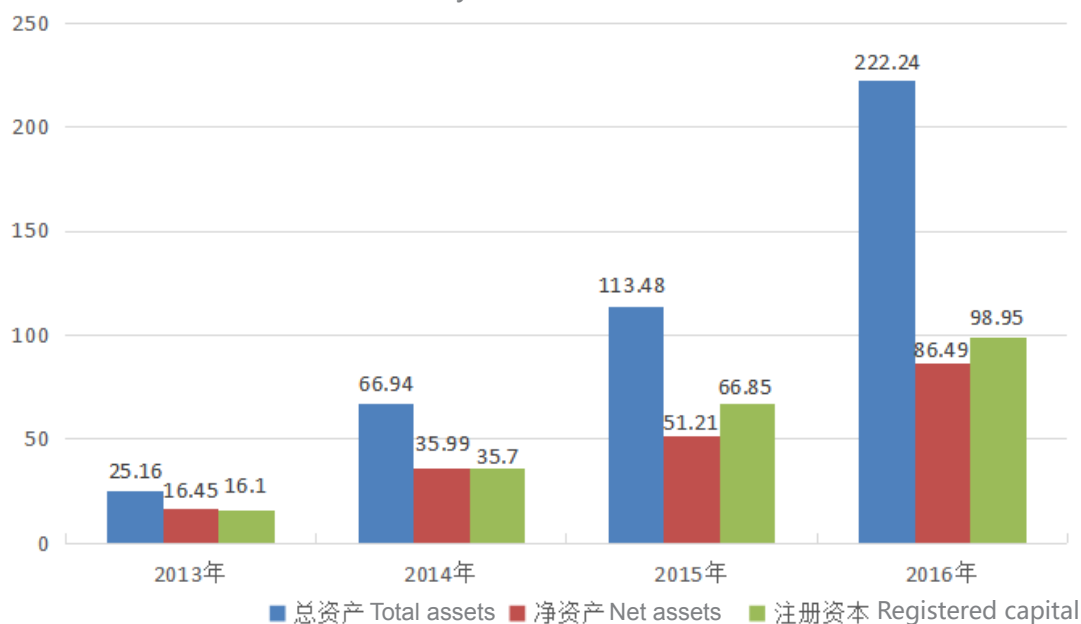
指标 (亿元)	2013 年	2014 年	2015 年	2016 年	同比增长 (%)
总资产	25.16	66.94	113.48	222.24	96%
净资产	16.45	35.99	51.21	86.49	69%
注册资本	16.10	35.70	66.85	98.95	48%
实收资本	-	-	52.17	86.36	66%
业务收入	34.48	197.99	374.66	486.19	30%
净利润	0.33	0.08	0.49	1.16	137%

2013-2016 Risk Management Companies' Pecuniary Condition

Indicator (billion yuan)	2013	2014	2015	2016	Year-on-year growth (%)
Total assets	25.16	66.94	113.48	222.24	96%
Net assets	16.45	35.99	51.21	86.49	69%
Registered capital	16.10	35.70	66.85	98.95	48%
Paid-in capital	-	-	52.17	86.36	66%
Business income	34.48	197.99	374.66	486.19	30%
Net profits	0.33	0.08	0.49	1.16	137%

2013年-2016年度风险管理公司资产变化情况
2013-2016 Risk Management Companies' Asset Changing Condition

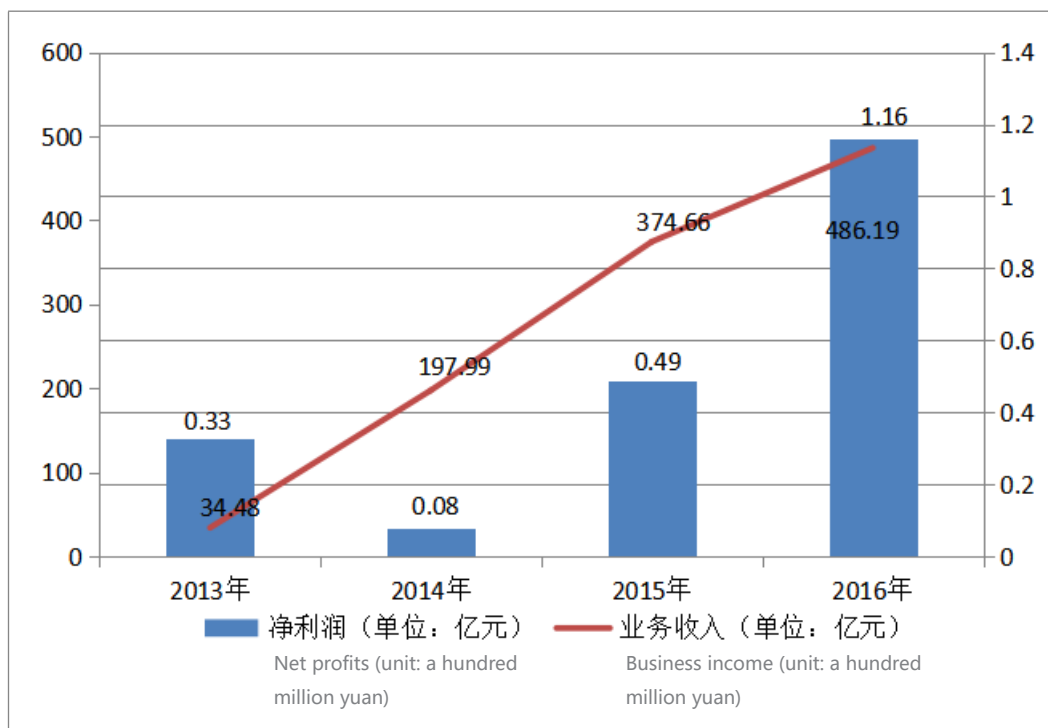
单位: 亿元 Unit: (a hundred million yuan)



截至 2016 年底，共有 48 家风险管理公司开展了业务，全年业务收入总额 486.19 亿元，同比增长 30%；全年净利润总额 1.16 亿元，同比增长 137%。

A total of 48 futures companies had developed business by the end of 2016, the total annual revenue was 486.19 billion yuan, the year-on-year growth was 30%, and the total annual net profits was 116 million yuan, the year-on-year growth was 137%.2016 respectively.

2016 年度风险管理公司总体收入及利润变化
2016 Risk Management Companies' Overall Revenue and Profits Changing Condition



2016 年期货公司资产管理业务总体状况

2016 Overall Condition for Assets Management Business of Futures Company

截至 2016 年末，全行业公司中的 129 家已可开展资产管理业务，其中证监会批设 39 家，协会完成备案 90 家。11 家以子公司形式开展业务。

As of the end of 2016, 129 companies in the industry had carried out assets management business. CSRC approved 39 companies and CFA filed 90 companies. 11 companies carry out business in the form of subsidiary.

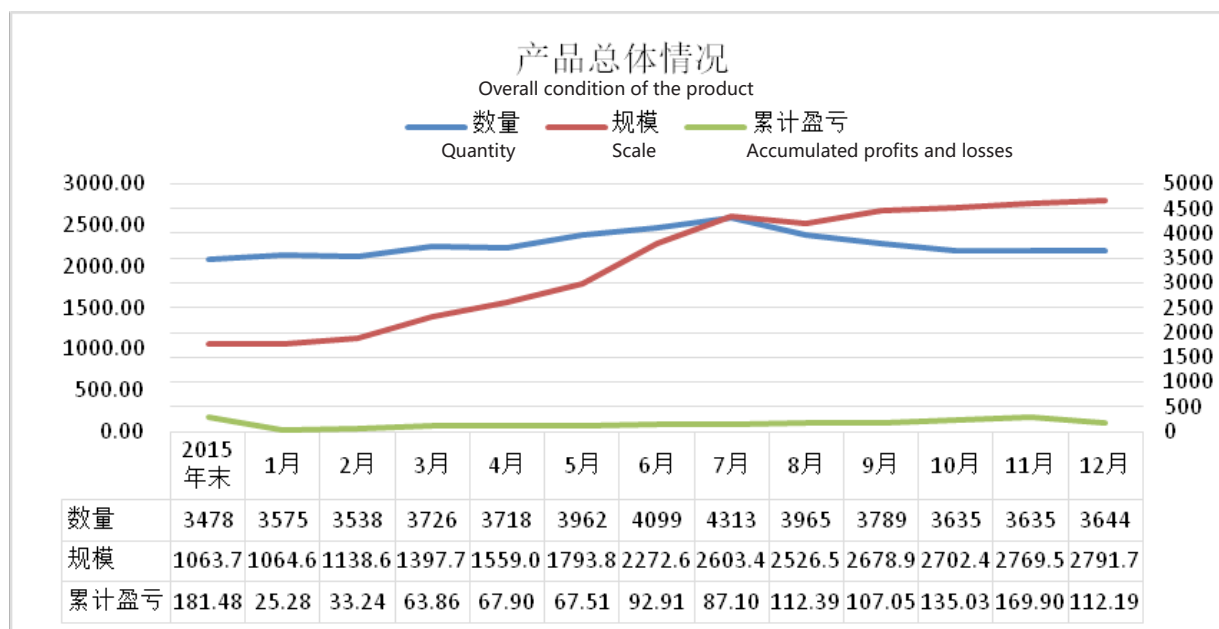
期货公司资产管理业务 2016 年发展逐步平缓，上半年规模增长较快，自 7 月份《暂行规定》发布后，增速逐步放缓。全年资管业务规模增长 1727.97 亿元，较 2015 年末的规模增长 1.62 倍。

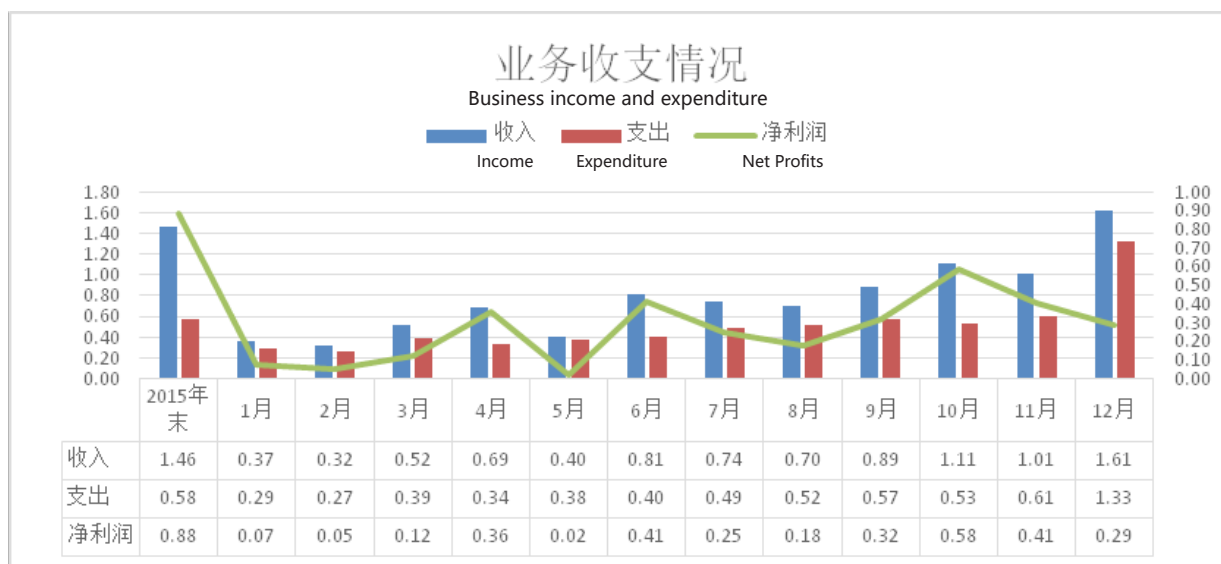
Asset management business of futures company developed gently in 2016 with quick increasing scale in the first half year. The increase speed slows down

gradually since issue of Interim Provisions in July. In the whole year, assets management business scale increases by 172.797 billion yuan, 1.62 times larger than that at the end of 2015.

全年产品数量在 7 月末达到峰值（4313 只产品），随后数量小幅下降，截至 2016 年末，共报备产品 3644 只。截至 2016 年末产品累计盈利额共有 112.19 亿元，同比减少 79.29 亿元。

Product quantity in the whole year reaches peak at the end of July (4313 pieces of products) and then such quantity decreased slightly. As of the end of 2016, 3644 pieces of products were reported and filed. As of the end of 2016, accumulated profit amount of the product was 11.219 billion yuan, reduced by 7.929 billion yuan on year-on-year basis.





2016年期货行业资管业务实现累计业务收入9.16亿元，同比(5.45亿元)增长68.07%；业务收入累计净利润3.06亿元，同比(1.31亿元)增长1.34倍。

Accumulated incomes of assets management business in futures industry is 916 million yuan in 2016 with year-on-year (545 million yuan) growth of 68.07%; accumulated net profit of business income is 306 million yuan, 1.34 times larger on year-on-year basis (131 million yuan).

在全年累计业务收入构成中，管理费占比为82.73%。业绩报酬占比10.72%，较去年全年业绩报酬占比减少38.31%，说明在主要投向为股票且缺乏对冲工具的情况下，2016年股票市场的表现对于期货公司资管业务的业绩造成了一定影响。

In the composition of annual accumulated business income, management cost accounts for 82.73%. Performance-based compensation accounts for 10.72%, decreased by 38.31% compared with the performance-based compensation proportion of whole last year. It means that shares market performance in 2016 has certain impact on the assets management business performance of futures companies under condition that main investment direction is shares and there is no hedge tool.

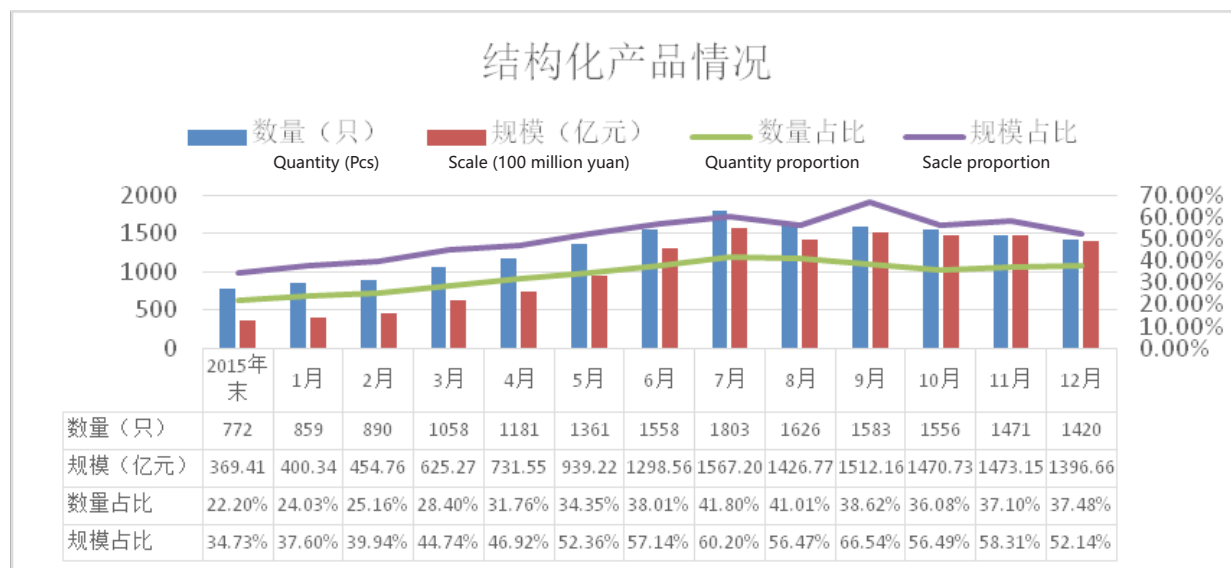
全年业务累计总支出6.10亿元，其中59.31%为人员薪资福利支出，较去年增加8.36%。投顾、托管等费用支出占比6.59%，较去年全年减少6.20%。支出结构的变化显示期货公司资管业务的模式正在发生调整，即逐步减小对外部投顾的依赖，转而加大自身团队建设力度。

Accumulated total expenditures of annual business are 610 million yuan, 59.31% of which is personnel remuneration and welfare expenditure, which is 8.36% larger than last year. Investment adviser and custody fees account for 6.59%, which is 6.20% lesser than whole last year. Changes of expenditure structure show that assets management business model of futures company is being adjusted, namely reliance on external investment adviser reduces gradually and emphasis is laid on team building strength.

结构化产品增速在《暂行规定》发布后逐步放缓，自8月份起，从规模和数量占比可见其占比有所回落，但同比规模仍增长近1千亿元，数量也增长近1倍。截至2016年末，结构化产品共有1420只，合计规模1396.67亿元。

Increase speed of structured products slows down after Interim Provisions is issued. Since August, the scale and quantity proportion shows decrease of the proportion. However, the year-on-year scale increases by nearly 100 billion yuan and the quantity is nearly doubled. As of the end of 2016, total quantity of structured product was 1420 with total scale of 139.667 billion yuan.

结构化产品情况图
Condition of Structured Products



按照现行统计口径，产品投向主要包括期货、股票、固定收益类、公募基金和其他资管计划等。截至2016年末，投向股票的资金占比最多，达到1037.85亿元。从产品数量上看，投向期货的产品数量最多，其中投向商品期货的产品共有914只，投向金融期货的共有645只。

According to the existing statistical caliber, product investment direction includes futures, shares, fixed income, publicly offered funds and other assets management plans. As of the end of 2016, capital invested in shares had the maximum proportion, reaching 103.785 billion yuan. In terms of product quantity, quantity of products invested in futures is maximum, including 914 pieces of products invested in commodity futures and 645 pieces of products invested in financial futures.

期货资管产品投向商品期货的产品数量较去年年底基本持平，全年占比波动较大，本年度10月末达到峰值（32.19%），随后回落至年底的25.08%。投向金融期货的产品数量占比较去年年底增长3.96%，而规模占比则小幅减少。截至2016年末，在期货投向共有资金68.84亿元^①，较去年年底增长48.01亿元。

Quantity of futures assets management product invested in commodity futures keeps unchanged basically compared with that at the end of last year. Annual proportion fluctuates greatly and reaches the peak (32.19%) at the end of October and then fall to 25.08% at the end of 2016. Quantity of products invested in financial futures increases by 3.96% compared with that at the end of last year. However, the sale proportion decreases slightly. As of the end of 2016, capital of futures investment was 6.884 billion yuan ^①, which increased by 4.801 billion yuan compared with that at the end of last year.

截至2016年末，共有1824只产品累计实现盈利，占正常运作产品总量的58.57%，同比减少10.83%。行业产品累计共盈利112.19亿，同比减少69.29亿元。全年的整体盈利水平基本保持平稳。

As of the end of 2016, 1824 pieces of products gained profits accumulatively, which accounted for 58.57% of quantity of products operating normally with year-on-year decrease of 10.83%. Accumulated profits of industry product are 11.219 billion yuan with year-on-year decrease of 6.929 billion yuan. Overall profit level in the whole year keeps stable basically.

^① 期货持仓占用资金

^① Futures position capita

China Futures Association (CFA) Work Summary of 2016

中国期货业协会2016年工作总结

第一部分

2016 年主要工作及完成情况

Main missions and achievements in 2016

2016 年，协会领导班子认真落实证监会党委关于全面从严治党和资本市场发展的决策部署，认真落实“两个责任”，扎实推进“两学一做”学习教育，加强班子和员工队伍建设，围绕服务实体经济和供给侧结构性改革引导推进行业稳步发展，取得了一定成果。

In 2016, CFA leading group implemented decision-making deployment of CSRC Party Committee on “comprehensively strengthen Party discipline” and capital market development as well as “two responsibilities” carefully and carried forward “studies on the theoretical and practical issues of party building” study and education firmly to strengthen group and staff construction. They focused on serving the real economy and supply-side structural reform which leads stable development of industry and has got certain achievements.



(一) 认真学习贯彻党的十八届六中全会精神，深刻认识全会明确习近平总书记核心地位的重大意义。

Learnt and implemented the spirit of the Sixth Plenary Session of the 18th CPC Central Committee carefully and understood significance for the Plenary Session to confirm core position of General Secretary Xi Jinping.

协会制定了《关于学习贯彻落实党的十八届六中全会精神的实施方案》，通过党委书记讲党课、班子成员集中研讨、全体员工学习原文等方式，认真学习习近平总书记在全会上的重要讲话、《中国共产党十八届六中全会公报》、《关于新形势下党内政治生活的若干准则》和修订后的《中国共产党党内监督条例》。积极在协会内网、微信群等内部交流平台推送学习辅导材料，增强干部职工的“四个意识”特别是核心意识和看齐意识。

CFA formulated Schemes on Learning and Implementing the Spirit of the Sixth Plenary Session of the 18th CPC Central Committee. Secretary of Party Committee gave Party lecture, group members made intensive discussion and whole staff learnt original text. CFA learnt important addresses of General Secretary Xi Jinping in the Plenary Session, Bulletin of the Sixth Plenary Session of the 18th CPC Central Committee, the Code of Conduct for Intraparty Political Life under New Circumstances and revised Regulations of the Communist Party of China on Internal Oversight. CFA pushed learning and guidance materials actively in internal communication platforms such as internal network and Wechat group to strengthen cadre and staff's "four consciousness" especially core consciousness and alignment consciousness.



（二）深入开展“两学一做”学习教育，进一步坚定理想信念。

Implemented “studies on the theoretical and practical issues of party building” learning education in depth and corroborated the ideal and belief further

一是班子成员以身作则，抓好学习部署。制定了《中国期货业协会开展“学党章党规、学系列讲话，做合格党员”学习教育工作方案》。班子成员以身作则，在深入学习党章党规和习近平总书记系列重要讲话精神的基础上，认真学习毛泽东同志《党委会的工作方法》、习近平总书记“七一”重要讲话、《中国共产党问责条例》等重要内容。二是发挥党支部作用，抓好党员学习全覆盖。鼓励各支部开展形式多样的学习教育活动。截至12月底，三个支部共开展集中学习29次，其中党员干部分享学习心得17人次。

Firstly, group members set examples to other people and conducted learning deployment. They formulated Learning Education Schemes for CFA to Carry out “Learn Party Constitution and Regulations, Learn Series of Speeches, and be Qualified Party Members”. Group members set examples to other people and learnt Mao Zedong’s Methods of Work of Party Committees, General Secretary Xi Jinping’s “July 1” important speeches, Accountability Regulations of the Communist Party of China and other important contents on the basis of in-depth learning of Party constitution and regulations and the spirit of General Secretary Xi Jinping’s series of important speeches. Secondly, CFA exerted functions of Party branches to ensure learning of all Party members. CFA encouraged each Party branch to implement various forms of learning and education activities. By the end of December, 3 Party branches implemented 29 intensive studies in total, including 17 person-times of learning experience sharing by Party members and cadres.



（三）落实党委主体责任和纪委监督责任，扎扎实实抓好党风廉政建设和反腐败工作。

Implemented entity responsibility of Party Committee and supervision responsibility of discipline inspection commission; implemented construction of the Party style and honest administration and anti-corruption work.

一是党委从严落实责任，层层传导压力。成立全面从严治党领导工作小组，组织中层以上干部签署党风廉政建设责任书；深入学习《中国证监会派出机构和会管单位党风廉政工作评价办法》，成立评价工作领导小组。班子成员以身作则，落实“一岗双责”要求，坚持开展“每月一课”。

Firstly, Party Committee implemented responsibilities strictly to convey pressure layer upon layer. CFA established “comprehensively strengthen Party discipline” leadership work group and organized cadres above middle-level to sign liability statement of the construction of the Party style and honest administration; CFA learnt Evaluation Method for the Party style and honest administration of CSRC Agency and Subordinate Organization and established evaluation leading group. Group members set examples to other people and implemented “two duties for one post” requirement and carried out “one lecture per month” insistently.

二是纪委聚焦监督执纪问责主业。9月，协会单独设立纪检监察办公室，配备3名专职纪检干部，围绕内幕信息、任职回避、投诉处理、廉政监督等制度制定了相关实施细则。围绕“四风”问题、干部监督管理问题、期货账户问题、廉政责任书和承诺书落实情况等四个专题开展了自查和检查工作。加强外部监督，认真落实廉政评议和廉政监督卡要求。加强对采购招标、提拔使用干部等重点岗位和关键环节的监督，在新员工入职、干部提拔任用、交流轮岗等关键节点，加强廉政谈话和提醒。

Secondly, discipline inspection commission focused on Supervision, discipline enforcement and accountability. In September, CFA established Disciplinary Inspection and Supervision Office and designated 3 full-time disciplinary inspection cadres. It also formulated enforcement regulations related to inside information, assignment evasion, complaint handling and honest administration supervision system. CFA implemented self-inspection and review in terms of 4 topics: undesirable work styles such as formalism, bureaucracy, hedonism and extravagance; cadre supervision management problem; futures account problem; implementation condition for liability statement and commitment letter of the honest administration. CFA strengthened external supervision and implemented honest administration appraisal and honest administration supervision card

requirement carefully. CFA strengthened supervision of key posts and key links such as procurement bidding and cadre's promotion and use. It reinforced honest administration talk and prompts in key nodes such as new employee entry, cadre's promotion and assignment, exchange and work shift.

三是加强基层党组织建设。协会班子重点加强基层党组织建设，在制度建设层面，修订《中国期货业协会党支部工作细则》。在组织建设方面，党支部由三个增至五个，缩小了支部规模，基层组织的结构更加趋于合理。在组织生活方面，各支部严格按照“三会一课”的制度要求，班子成员按计划要求在支部范围讲党课，并以普通党员身份参加组织学习；支部每月开展一次集中学习，每季度召开一次全体党员会议进行专题研讨。

Thirdly, CFA strengthened construction of primary party organization. CFA leading group members emphasized construction of primary party organization. In terms of institutional construction, it revised Working Instructions for CFA Party Branches. In terms of organizational construction, number of the Party branch increased from 3 to 5 and its scale decreased. Structure of the primary-level organization tended to be more reasonable. In terms of organizational life, each branch followed “three meetings and one class” requirement strictly. Group members gave Party classes in the branch according to the plan and they also participated in learning in the name of ordinary party members; the branch carried out one intensive learning per month and held one plenary meeting quarterly for special topics.

（四）落实依法从严全面监管理念，进一步加强行业自律管理。

Implement comprehensive regulatory concept strictly in accordance with the law, and further strengthen self-discipline management of the industry.

一是加强行业风险监测监控。建设风险管理公司风险监测指标体系，初步完成风险管理公司监控监测指标设计、数据报送表格及填报指引。对风险管理公司业务状况及可能存在的风险点进行调研和梳理，联合中国期货市场监控中心组织开展期货经营机构压力测试。参与资产管理业务专项检查工作。对6家风险管理公司进行现场检查，督促风险管理公司提高合规经营理念，提升内部控制及风险防范水平。

First, strengthen industry risk monitoring and controlling. Establishing

risk monitoring index system of risk management companies, and accomplishing the preliminary supervisory and monitoring index design, data transmit form and filling instructions of risk management companies. Investigating and clearing up the situation of risk management companies and possible risks, and cooperating with China Futures Market Monitoring Center to organize the pressure test of futures management agency. Participate in special inspection of asset management businesses. Conduct site inspection of six risk management companies, urge risk management companies to improve the concept of compliant operation and enhance the level of internal control and risk prevention.

二是促进行业诚信合规经营。发布实施《中国期货业协会自律规则制定办法》、《期货公司诚信评估方案》，修订了《中国期货业协会会员管理办法》。研究起草《期货公司全面风险管理指引》，重点关注期现货跨市场联动、机构跨市场、跨行业经营可能产生的风险和合规问题。对 5 名从业人员、2 家公司进行了纪律惩戒，向 13 家公司发出了书面警示函。编写《期货行业纠纷案例精选与评析》，完成行业首例诉调对接案件，就投资者与宏源期货及其营业部期货交易纠纷案件组织调解。截至 12 月底，协会共计收到调解申请 51 件，接受最高人民法院委托诉调对接调解案件 1 件，成功调解 16 件，投资者获得合理赔偿 2 万余元，调解案件涉及纠纷类型包括强行平仓、从业人员代客理财、配资、手续费和保证金等，充分发挥了调解队伍定纷止争、多元化解纠纷的优势，为构建和谐期货市场贡献力量。

Second, promote honest and compliant operation of industries. Self-discipline Rules of China Futures Association (CFA) and Futures Companies Credit Evaluation Program were released and implemented, and Measures for the Administration of Members of China Futures Association (CFA) was revised. Study and draft Comprehensive Risk Management Guidelines of Futures Companies, and focus on risks and compliance problems might be occurred in futures and spot cross-market linkage, cross-market and cross-industry operation of agencies. Discipline punishment was made to 5 practitioners and 2 companies, and warning letters were sent to 13 companies. Compile Case Selection and Evaluation of Futures Industry Disputes, and complete the first case of lawsuit mediation docking in the industry, mediating trade disputes between investors and Hongyuan futures and its business department futures. By the end of December, the Association received 51 cases of mediation applications, and 1 case of lawsuit mediation docking entrusted by the supreme people's court, among which 16 cases were successfully settled. Investors were able to get a reasonable compensation of more than RMB 20,000. Types of mediation case disputes include mandatory liquidation, practitioners manage finance,

allocate resources, handling charges and security deposit for customers, etc, making full use of the advantages of mediation team to settle disputes and resolve disputes diversely and contributing to the construction of a harmonious futures market.

三是加强信息技术系统和人员队伍建设。积极配合中央监管信息平台建设，与 FISS 系统商定对接数据结构与数据项，探讨对接方式以及技术细节问题；提供相关数据协助 FISS 系统测试运行环境，丰富 FISS 系统数据库；搭建仿真测试环境与测试数据库，做好与 FISS 系统对接功能的改造开发。研究建立协会事中事后自律管理工作平台的可行性。加强对程序化交易、互联网开户情况的研究分析，对期货公司信息系统外部接入情况进行调研座谈，开展了期货公司互联网开户现场调研。举办 2 场期货公司信息技术人员现场培训班，与证券业协会联合举办了 1 期经营机构信息技术高管人员培训班，共 400 余人参加了上述培训。一年来，协会机房和各类信息系统运行稳定，未发生泄密事件以及人为责任造成的运行事故。



Third, reinforce the construction of information technology system and staff members. Actively cooperate with the construction of central regulatory information platform, negotiate with FISS system to determine docking data structure and data items, and discuss docking method and technical details. Provide relevant data to assist FISS system test the running environment, and enrich FISS system database. Build simulation test environment and test database to prepare for the transformation and development of FISS system docking. Probe the feasibility of establishing association of during and after self-discipline management platform. Strengthen the research and analysis of programming trading and opening Internet accounts. Conduct research discussion on external access to the information system of futures companies, and carry out a site investigation of opening Internet accounts of futures companies. We have held two terms of on-

site training classes for information technology personnel of futures companies, and jointly held 1 term of operating agency information and technology training class for senior executives with securities industry association, a total of more than 400 people attended the training. Over the past year, the computer room and all kinds of information systems of the association operated stably, without any leakage of confidential information and operation fault held responsible by personals.



四是保护投资者合法权益。自 11 月起与央广“经济之声”合作，每周推出一期《期货打假在行动》广播节目。就证监会发布的《证券期货投资者适当性管理办法》（征求意见稿）在行业内征集意见 98 份，配套开展《期货经营机构执行适当性管理规则指引》的起草工作。开展期货公司投资者保护状况评价机制及应用研究工作。组织策划期货行业 3.15 合法期货宣传活动，开展“你是合格期货投资者吗”微信答题活动。创新合作形式，整合行业资源，组织编写《“讲故事、学期货”金融国民教育丛书》（1 套 10 册）。截至 12 月 25 日，共处理投资者咨询投诉 88 起，12386 热线转交问题 8 个。5 月，协会的期货投教网获首批授牌“国家级互联网证券期货投资者教育基地”。

Fourth, protect the legal rights and interests of investors. From Nov., it will cooperate with Central Broadcasting Station “China Business Radio” to broadcast the program Anti-Illegal Futures in Action weekly. Based on 98 pieces of advice from the industry on the Appropriate Management Measures for Securities and Futures Investors (draft seeking for opinions) released by CSRC (China Securities Regulatory Commission), we took the drafting work of Rule of Instructions for Futures Management Agencies to Perform Appropriate Management accordingly. Carry out evaluation mechanism of protection of futures

company investors and application research. Organize and plan the 3.15 legitimate futures promotion in futures industry and launch the WeChat question answer activity of “Are you a qualified futures investor”. Innovate the forms of cooperation, integrate industry resources, and organize to write the “Tell Stories, Learn Futures” Financial National Education Series (10 copies for 1 set). As of Dec. 25, we have dealt with 88 consultants and complaints, and 8 problems transferred from hotline 12386. In May, the Futures Teaching Network was first given the license of “National Internet Education Base for Securities and Futures Investors”.



（五）坚持服务实体经济发展，引导期货经营机构围绕供给侧结构性改革和服务实体经济的主线提高竞争力。

Stick to the development of service entity economy, guide futures management agencies to advance competitiveness focusing on the main line of supply-side structural reform and service entity economy.

一是推动行业服务国家扶贫攻坚战略。组织召开“推动期货行业开展扶贫工作”座谈会，上报并实施《期货业协会关于组织行业开展扶贫工作的方案》。召开“推动期货行业服务国家扶贫攻坚战略动员会”，向全行业发布《期货行业服务国家脱贫攻坚战略行动倡议书》。开展期货公司扶贫考评指标体系设计，保障扶贫工作取得实效。与农业部合作，在农垦系统干部培训班中嵌入期货知识课程，宣传期货市场功能作用。举办针对农业“保险+期货”试点地区，特别是国家级贫困地区的专题培训班，邀请业内外专家介绍期货市场功能和“保险+期货”的操作方法，为贫困地区利用期货工具突破农产品销售瓶颈，应对农业市场风险提供了解决方案。

First, promote industry service national strategy for poverty alleviation. Hold the symposium of “Promoting Futures Industry to Develop Poverty Alleviation”, report and implement Futures Industry Association on Organizing the Industry to Develop Measures for Poverty Alleviation. Hold “Mobilization Meeting to Promote Futures Industry Service National Poverty Alleviation Strategy”, and release Action Proposal of Futures Industry Service National Poverty Alleviation Strategy to the whole industry. Design evaluation index system for poverty alleviation in futures companies and ensure the effectiveness of poverty alleviation work. Cooperate with agricultural department to embed futures knowledge into cadre training class of agricultural reclamation system and promote the functions of futures market. Hold special training course targeted for agricultural “insurance + futures” pilot areas, especially for national poverty areas. Invite inside and outside experts to introduce the function of futures market and the operation method of “insurance + futures”, helping poor areas make breakthroughs in selling agricultural products using futures instruments and providing them with solutions for dealing with agricultural market risk.

二是研究制定《期货经营机构服务实体经济行动纲要》。研究起草《期货经营机构服务实体经济行动纲要（2017-2020）》，向全行业和社会各方三次公开征求意见。《纲要》内容共十六条，旨在充分发挥期货经营机构作为期货及衍生品服务供应商的专业能力，推动实体企业使用期货及衍生工具管理风险，引导期货经营机构通过服务实体经济实现创新转型和核心竞争力的提升。协会已与中国钢铁工业协会签署合作备忘录，双方将围绕人才培养与交

流、业务交流与合作、课题研究等方面开展合作。

Second, probe into and formulate the Action Framework of Futures Management Agency Service Entity Economy. Probe into and draft the Action Framework of Futures Management Agency Service Entity Economy (2017-2020), seek for opinions openly from the whole industry and society for three times. The Framework contains 16 articles, aimed to give full play to the professional ability of futures management agencies served as the supplier of futures and derivatives, stimulate entity enterprise to manage risk with futures and derivative instruments, and guide futures management agencies to achieve innovative transformation and core competitiveness via service entity economy. The Association has signed the Memorandum of Understanding with China Iron and Steel Association (CISA). The two sides will cooperate around talent training and exchanges, business exchanges and cooperation, research project, etc.

三是推动风险管理公司服务实体经济发展。对《关于进一步推进期货经营机构创新发展的意见》发布以来，期货经营机构创新发展的情况进行了分析评估，撰写《期货经营机构创新业务评估报告》。总结过去三年风险管理业务试点工作中的经验和不足，组织修订《期货公司风险管理子公司业务试点办法》，制订《风险管理公司业务行为规范》。组织开展 2016 年度风险管理公司现场检查工作，对 6 家风险管理公司进行了现场检查，撰写并报送《2016 年风险管理现场检查情况报告》。从目前业务开展情况看，风险管理公司在仓单服务、基差报价、合作套保、场外衍生品等方面逐步形成了相对成熟的商业模式，有效地解决了实体产业链客户的突出需求，业务规模保持良好的增长势头：2016 年风险管理公司仓单购销总额达到 1340.3 亿，较去年同期增长 3%；仓单约定购回买入卖出总额 35.8 亿元，同比增长 27%；合作套



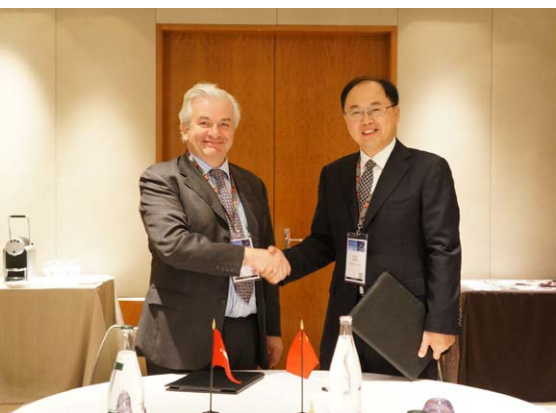
保新增业务合同笔数 284 笔，同比增长 125%；商品场外期权新增名义本金 139.2 亿元，同比增长 237%；商品场外掉期新增名义本金 146.7 亿元，同比增长 540%；上证 50ETF 期权交易量（双边）639.4 万张，同比增长 8460%。

Third, boost service entity economy development of risk management companies. Upon the release of Opinions on Further Promoting the Innovative Development of Futures Management Agencies, we have analyzed and evaluated the condition of innovative development of futures management agencies, and have written Assessment Report on Innovation Businesses of Futures Management Agencies. To draw experience and shortcomings of pilot work of risk management businesses in the last three years, we organized to revise Measures for Subsidiary Business Pilot of Futures Company Risk Management, and formulate Risk Management Company Business Conduct Norm. To carry out the site inspection work of risk management companies in 2016, we conducted site inspection on 6 risk management companies, and wrote and submitted Risk Management On-site Inspection Report in 2016. Seen from the current business situation, risk management companies formed a relatively mature business model gradually in warehouse service, basis offer, cooperation insurance and over-the-counter derivatives, solved the prominent needs of customers of entity industry chain effectively, and maintained a good momentum of growth in business scale: Risk management company warehouse receipt sales totaled RMB 134.03 billion in 2016, up 3% from a year earlier; warehouse receipt repurchase agreement buy and sell totaled RMB 3.58 billion, up 27% from a year earlier; cooperation insurance new business contracts increased 284, up 125% from a year earlier; newly increased notional principal of goods over-the-counter options was RMB 13.92 billion, up 237% from a year earlier; newly increased notional principal of goods over-the-counter swaps was RMB 14.67 billion, up 540% from a year earlier; Shanghai Stock Exchange 50ETF options volume (bilateral) was 6.394 million pieces, up 8460% from a year earlier.

四是推动期货资产管理业务规范有序发展。配合起草《证券期货经营机构私募资产管理业务运作管理暂行规定》。起草《期货公司资产管理子公司管理规则（征求意见稿）》。对期货公司及其资管子公司业务开展情况进行评估，撰写《期货公司资产管理业务评估报告》。研究分析业务发展中面临的问题，

起草《关于进一步完善期货公司子公司监管工作的建议》和《关于规范期货行业资产管理业务的细则》。组织会员单位对资产管理产品投向范围及投向问题进行研究，上报《关于允许期货资管产品投向标准仓单的请示》。研究梳理期货资管通道业务的情况，梳理风险点并研提防范措施，起草相关报告。抽调 6 名工作人员配合期货部对期货资产管理业务进行现场检查。截至 12 月 31 日，已有 129 家期货公司具备开展资产管理业务的资格，其中证监会批设 39 家，协会完成备案 90 家，11 家以子公司形式开展业务。资管业务已成为期货公司一项基础业务。期货公司正式运作的资管产品数量由 2015 年年底的 3478 只增长到了 3644 只，产品规模从 2015 年年底的 1063.75 亿元增长到 2791.72 亿元。同时，主动管理规模由 2015 年年末 420.54 亿元增长至 966.93 亿元，1-12 月业务实现累计收入 9.16 亿元，较去年同期 5.45 亿元增长 68.07%。

Fourth, promote the development of futures and asset management in a standard and orderly way. Cooperate with drafting The Temporary Provisions on Operational Management of Private Asset Management Businesses of Securities and Futures Operating Agencies. Draft The Managerial Rules (Exposure Draft) for Asset Management Subsidiaries of Futures Companies. Evaluate business progress of futures companies and subsidiaries under their asset management and prepare The Evaluation Report on Asset Management Businesses of Futures Companies. Study and analyze the problems facing in the business development, and draft Suggestions on Further Improved Supervision for Subsidiaries of Futures Companies and Detailed Rules on Standardizing Asset Management Business in Futures Industry. Organize members and institutions to conduct researches on investment scope and relevant problems of asset management products, and report to the superior Requesting Instructions on Allowing Warehouse Receipt of Investment Standards of Futures Asset management Products. Study and tease channel business conditions of futures asset management, settle risk points, study and put forward precautionary measures, and draft relevant reports. Transfer 6 staff cooperated with the Department of Futures to conduct spot inspection for futures asset management businesses. By December 31th, there have been 129 futures companies which are qualified to carry out asset management businesses, of which 39 have been approved and established by China Securities Regulatory Commission



(CSRC), 90 have been put on records by the association and 11 have done businesses in the form of subsidiaries. Asset management business has become a basic operation for futures companies. The number of asset management products formally operated by futures companies has increased from 3478 at the end of 2015 to 3644, and its product scale has grown from 106.375 billion yuan in late 2015 to 279.172 billion yuan. Meanwhile, active managerial scale has risen from 42.054 billion yuan in late 2015 to 96.693 billion yuan. The business has achieved accumulated income of 916 million yuan from January to December, registering an increase of 68.07% from 545 million yuan in the same period of last year.

(六)积极推动行业交流与宣传,夯实行业发展基础,改善期货行业发展环境。

Positively Promote Industrial Exchanges and Propagandas, Tamp Developmental Foundation of the Industry, and Improve Developmental Environment of Futures Industry.

一是促进行业国际交流与合作。举办第10届期货分析师暨场外衍生品论坛和第12届中国(深圳)国际期货大会,推动境内外、业内外机构围绕大宗商品、期权与场外衍生品、“期货+保险”三农服务新模式、资产管理与风险管理和金融科技等热点开展研讨交流。方星海副主席莅临第12届中国(深圳)国际期货大会并发表了重要讲话。组织召开首届“中德衍生品论坛”。与国际商品和衍生品协会(ICDA)续签合作备忘录,与东京商品交易所新签署合作备忘录。截至12月底,协会已和13个国际组织签署了合作备忘录。组织会员参加中德衍生品市场研讨会、港交所举办的“走进LME”活动,向国际同行介绍行业及协会情况。受邀作为期货期权世界杂志(FOW)、国际商品和衍生品协会(ICDA)在香港和瑞士年度会议的支持单位,进一步扩大协会国际影响力。

First, promote international exchanges and cooperation for futures industry. Held the 10th Futures Analysts and OTC Derivatives Forum and the 12th China (Shenzhen) International Futures Conference, promote institutions inside or outside the industry at home and abroad to conduct researches, discussions and exchanges on hotspots focusing on staple commodities, options and off-side derivatives, new pattern of “Futures + Insurance” serving farming, agriculture, and farmers, assets and risks management, finance, and science and technology. Vice President Fang Xinghai visited the 12th

China (Shenzhen) International Futures Conference and delivered important speech. Organize and convene the First “Sino-Germany Derivatives Forum”. Renew and sign cooperative memorandums with International Commodities and Derivatives Association (ICDA), and sign cooperative memorandums with Tokyo Commodity Exchange for the first time. This association has signed cooperative memorandums with 13 international organizations by the end of December. Organize members to participate in the Sino-Germany Derivatives Market Seminar, the activity “Walking into LME” held by Hong Kong Exchange, and introduce the conditions of the industry and association to international counterparts. The Association has been invited as the support unit of Futures and Options of World (FOW) and International Commodities and Derivatives Association (ICDA) at annual meetings in Hong Kong and Switzerland to further expand the international influence of the association.

二是加强行业研究，积极宣传期货市场功能作用。组织行业开展第 11 期中期协联合研究计划，围绕期货行业服务三农和实体经济、加强行业合规经营和投资者保护，以及行业未来科技发展等议题，设立了风险管理公司如何为小微、涉农客户提供多样化风险管理服务、基于“保险 + 期货”的农产品目标价格管理实务研究等 6 项联合研究课题。出版发行《中国期货业发展创新与风险管理研究（8）》。为总结行业服务实体经济经验，主动加强宣传、积极改善期货业发展环境，向全行业征集期货经营机构服务实体经济正面案例，共收到 90 家期货公司反馈 165 个案例，已筛选编写 15 个典型案例。围绕程序化交易、风险管理公司经营情况、资产管理业务情况等监管部门和市场关注的热点问题，共向证监会报送 12 期《情况反映》。与中国证监会共同完成 46 万字的《中国期货市场年鉴（2015 年）》撰写工作，全面反映中国期货市场改革、发展和监管概况。完成 6 期《中国期货》杂志的采编与发行工作。

Second, strengthen industrial studies and vigorously promote functions and roles of futures markets. Organize the industry to hold the 11th Mid-Term Association-Jointed Research Project. Focusing on issues under discussion such as futures industry serving farming, agriculture, and farmers as well as entity economy, strengthening industrial operation in accordance with regulations and protection for investors, and sci-tech development for industry in the future, set up 6 joint research subjects, involving how do risk management

companies provide diversified risk management services for small- or micro-sized enterprises and agricultural consumers, and practical research on target price management of agricultural products based on "Insurance + Futures". Publish and issue Development, Innovation, and Risk Management Research of China's Futures Industry (8). In order to conclude experience in real economy served by the industry, actively strengthen propaganda, and positively improve developmental environment for the futures industry, collect positive cases of real economy served by futures operating agencies from the whole industry. It has received 165 cases responded by 90 futures companies, of which 15 typical cases have been screened and compiled. Embracing hotspots such as programming trade, business conditions of risk management companies and service conditions of asset management concerned by supervision departments and markets, submit the 12th Situation Reflects to CSRC. Complete composing 460,000-word The Yearbook of Chinese Futures Markets (2015) with the cooperation of CSRC of P.R.C., which fully reflects overviews on reform, development, supervision and management of futures market in China. Complete collection, editing and issuing of the 6th China Futures.

三是分层次培养专业化人才。截至 12 月底，协会共举办 31 期人才培养与培训班。其中，围绕场外衍生品业务及期货公司风险管理业务，举办 2 期视频培训、1 期现场培训，培训人员 1390 人；围绕期权业务，举办 3 期现场培训、8 期视频培训，培训人员 1760 人；围绕法律法规与政策解读，举办 4 次视频培训，培训人员 2400 人；举办 2 期金融衍生品高端培训班，培训人员 175 人；围绕资产管理业务及其他业务，举办 6 期视频培训、6 期现场培训，培训人员 2655 人。其中第八期金融衍生品高级研修班入选国家人力资源和社会保障部“2016 年专业技术人员知识更新工程”；与美国期权业协会合作的第二期期权交易实务培训，被外专局中国国际人才交流基金会列为国际人才培养重点项目并给予一定费用支持。与中金所联合举办“第四届全国高校金融与衍生品知识竞赛”，共有来自 192 所高校的 924 名学生获奖。组织行业开展“CFA2017—期货名企联合校园招聘”，73 家期货公司提供了 468 个岗位，拟招聘 1840 名毕业生。开展“期货考试走进高校活动”，走访了 11 所高校，联系 4 所高校设立期货从业资格考试相关课程并建立考点，推进了高校金融衍生品专业学科建设和金融国民教育体系建设。在网络培训方面，继续丰富网络培训平台，新上线 14 门课程，累计课程总量达到 154 门，

培训 33612 人，599350 学时。

Third, train professional talents hierarchically The association has held 31 talents training and training courses in total by the end of December. Among them, focusing on businesses of off-site derivatives and risk management of futures companies, 2 video trainings and 1 site training have been held, involving 1,390 trainees; embracing options businesses, 3 site trainings and 8 video trainings held, including 1,760 trainees; emphasizing on laws and regulations, and policy elucidation, 4 video trainings held, with 2,400 trainees; 2 high-end training courses for financial derivatives held, with 175 trainees; concerning on asset management businesses and other businesses, 6 video trainings and 6 site trainings held, which 2,655 trainees are involved. The 8th Financial Derivatives Advanced Class was listed among “2016 Knowledge Updating Project for Professional and Technical Personnel” of the Ministry of Human Resources and Social Security of P.R.C.; the 2nd Practical Training on Options and Trading, with cooperation with the U.S. Options Industry Association, was listed as the major project for international talents training and was funded by International Talents Exchange Foundation of State Administration of Foreign Experts Affairs (SAFEA) of P.R.C.. “The 4th Knowledge Contest on Finance and Derivatives from Institutions of Higher Learning of China” was held with China Financial Futures Exchange, and 924 students from 192 colleges and universities won prizes. Organize the industry to carry out “CFA2017 - Recruitment from Famous Futures Enterprises and Universities”, which 73 futures companies provide 468 posts and plan to recruit 1,840 graduates. Carry out “The Activity of Futures Examinations Entering Institutions of Higher Learning”, visit 11 higher institutions, contact 4 universities to set up relevant courses for examinations on futures occupational qualification and establish testing spots, and promote the establishment of professional disciplines of financial derivatives and national educational systems for finance among higher institutions. In terms of network training, continue to enrich network training platforms, newly provide 14 courses on the internet, and the total number of accumulated courses is 154, training 33,612 people with 599,350 learning hours.



四是加强会员管理和服。吸收广发银行、国泰君安证券等 15 家公司成为协会会员；为吸收大型实体企业入会，与三家商品期货交易所部分自营会员建立了初步联系；对吸收境外机构入会机制开展了前期研究。启动协会会员在线管理功能完善工作，致力优化会员注册流程，加强会员信息管理。加强知识、期货法律法规和期货投资分析三科考试样卷；正在对考试成绩查询和考生信息管理系统进行升级改造。全年共组织 6 次从业资格考试及 2 次投资分析考试，首次成功进行预约式机考。从业资格考试共报名 228943 科次，比去年同期增长 39.53%。截至 2016 年 12 月 28 日，在协会行业信息管理平台登记注册的期货从业人员 51759 人，其中，期货公司从业人员 28556 人，从事中间介绍业务人员 23203 人。

Fourth, strengthen management and services for members. Take 15 enterprises such as China Guangfa Bank (CGB) and Guotai Jun' an Securities as the members of the association; establish initial contact with part of proprietary members from three commodities and futures exchanges in order to assimilate large-scale real enterprises into the association; conduct studies on the mechanism of introducing overseas institutions to the association at the earlier stage. Start the improvement work for online management functions of associational members, devote to optimizing registration procedures of members and strengthen members' information management. Strengthen examination samples of three disciplines such as futures knowledge, laws and regulations of futures, and analysis on futures investment; systems of score inquiries and information management of examinees are being upgraded and transformed. Organize 6 examinations on occupational qualification and 2 investment analysis throughout the year, and succeed in appointment-type computer-based testing for the first time. 228,943 people apply for occupational qualification examinations, showing an increase of 39.53% compared to the same period last year. By December 28th, 2016, the number of futures practitioners registered on the industrial information management platform of the association has reached 51,759, of which 28,556 are practitioners for futures companies and 23,203 are playing intermediary roles.



(七) 以巡视整改为契机，全面加强和改进从严治会工作。

Grasp the opportunity of patrol and rectification, and fully strengthen and improve management work in a strict way.

一是按照证监会党委部署开展中央专项巡视意见整改工作。根据要求，认真开展自查和整改工作。对期货资产管理和风险管理业务进行全面评估梳理，修订 1 项自律规则，起草 2 项自律规则，梳理并进一步规范内部工作流程，制（修）订 9 项制度规范，从制度层面防范可能存在的“小官巨贪”的廉政风险。二是按照证监会党委巡视反馈意见认真部署整改工作。针对证监会党委第一巡视组对中国期货业协会党委班子及其成员的巡视意见，协会高度重视，成立巡视整改工作领导小组，切实做好各项安排。截至 12 月底，完成具体整改任务 39 项，制（修）订制度（含流程）20 项，需长期坚持 4 条的整改措施正在持续推进。

First, carry out rectification work on patrol opinions of special projects of central government comply with the deploy by the party committee of CSRC. In accordance with the requirements, earnestly carry out the work of self-inspection and rectification. Fully evaluate and tease businesses of futures asset management and risk management, revise 1 rule of self-discipline, draft 2 rules of self-discipline, sort and further standardize inner working procedures, formulate (revise) 9 institutional norms, and take precautions against possibly existing incorrupt risk from institutional aspect. Second, earnestly deploy and rectify work in accordance with patrol feedbacks by the party committee of CSRC. Aiming at patrol opinions on party committee and its members of China Futures Association (CFA) from the first patrol team of party committee of CSRC, the association gives a high priority to establishing work group for patrol and rectification so as to practically do a good job for all the arrangements. By the end of December, 39 specific rectification tasks have been completed, 20 systems (including procedures) have been formulated (revised), and 4 rectification measures that need long-term implementation are being continuously promoted.

（八）贯彻中央关于选人用人的工作精神，加强员工队伍建设。

Implement the work ethos of talents selection of the central government, and strengthen the construction of staff team.

一是落实民主集中制，加强班子建设。认真落实民主集中制，完善重大事项的集体决策机制和集体领导下的分工负责制。通过党委会研究决定“三重一大”相关事项，通过会长办公会研究决定执行理事会决议和协会日常工作事项。二是强化组织纪律意识，完善组织人事制度。修订《中国期货业协会工作人员行为准则》、《中国期货业协会因私出国（境）管理办法（修订）》等12项内部制度。制定了包括《中国期货业协会工作人员任职回避和履职回避实施办法》在内的6项内部制度。三是严把选人用人关，加强员工队伍建设。2016年9月开展社会人员招聘工作，重点招录信息技术、财务会计等专业技术人才，充实协会信息技术人才队伍和自律管理类人才。

First, implement democratic centralism and consolidate team construction. Earnestly implement democratic centralism, and improve collective decision-making mechanism of major events and accountability of work distribution under the collective leadership. Through the research of the party committee, decide relevant events related to “Three Majors and One Big”, which refer to decision-making on major problems, appointment and dismissal of important cadres, decision-making on major project investment, and the use of massive funds. Through the research of chairman administration meeting, decide to execute decisions of the council and daily work affairs of the association. Second, intensify the awareness of organizational disciplines, and improve and organize personnel systems. Revise 12 inner systems such as Behavior Rules of Staff of China Futures Association (CFA), Regulations (Revised) on Going Abroad out of Private Reasons from China Futures Association (CFA). Formulate 6 inner systems, including Measures for Implementation of assignment and duty evasion of staff of China Futures Association (CFA). Third, strictly select personnel and strengthen staff team construction. In September 2016, carry out recruitment work facing social members, with a high priority to professional and technical talents with majors such as information technology, financial accounting, and enrich talent teams of information technology and talents of self-discipline and management for the association.

Current Self-regulatory Rules of China Futures Association

中国期货业协会现行自律规则

第二部分

协会组织运作类

Operation of Association

1. 中国期货业协会章程

Articles of the China Futures Association

2. 中国期货业协会理事会工作办法

Measures for the Work of Council of the China Futures Association

3. 中国期货业协会专业委员会管理办法

Administrative Measures for the Professional Committee of the China Futures Association

4. 中国期货业协会自律规则制定办法

Measures for the Self-regulatory Rules of the China Futures Association

会员管理类

Membership Administration

5. 中国期货业协会会员管理办法

Administrative Measures for the Members of China Futures Association

6. 中国期货业协会会费收取办法

Association Dues Collection Measures of China Futures Association

7. 中国期货业协会会员自律公约

Member Self-regulatory Convention of China Futures Association

8. 中国期货行业反商业贿赂诚信公约

Anti-commercial Bribery Integrity Convention of China Futures Association

从业人员管理类

Practicing Personnel Administration

9. 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)

10. 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)

11. 期货从业人员执业行为准则

The Standards of Conduct for the Practicing Personnel Engaging in the Business of Futures (Revised)

12. 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)

13. 中国期货业协会行业信息管理平台管理规则

Management Platform and Plan for Industrial Information of the China Futures Association

业务规范类

Service Specification

(一) 期货经纪业务

Futures brokerage

14. 《期货经纪合同》指引

Guidelines of Futures Brokerage Contract (Revised)

15. 证券公司为期货公司提供中间介绍业务协议指引

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

(二) 期货投资咨询业务

Futures investment consultation

16. 期货投资咨询服务合同指引

Guidelines for the Futures Investment Consultation Service Contract

(三) 资产管理业务

Assets management

17. 期货公司资产管理业务管理规则(试行)

Administrative Rules for Asset Management Business of the Futures Company (Trial)

18. 期货公司资产管理合同指引

Guidelines for the Assets Management Contract of Futures Company

19. 关于《期货公司资产管理合同指引》的补充规定

Supplementary Provisions of Guidelines for the Assets Management Contract of Futures Company

(三) 风险管理业务

Risk management

20. 期货公司设立子公司开展以风险管理服务为主的业务试点工作指引

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

(五) 场外衍生品业务

Over-the-counter derivatives

21. 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

Master Agreement for Over-the-Counter Derivatives Trading of China's Securities and Futures Markets (2014 edition)

22. 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)

Definition File on Equity Derivatives of Over-the-Counter Derivatives Trading of China's Securities and Futures Market (2014 edition)

23. 中国证券期货市场场外衍生品交易商品衍生品定义文件(2015年版)

Definition File on Commodity Derivatives of Over-the-Counter Derivatives Trading of China's Securities and Futures Market (2015 edition)

24. 中国证券期货市场场外商品远期交易确认书(2015年版)

Forward Transaction Confirmation of Over-the-Counter Derivatives Trading of China's Securities and Futures Market (2015 edition)

25. 中国证券期货市场场外商品互换交易确认书(2015年版)

Swap Transaction Confirmation of Over-the-Counter Derivatives Trading of China's Securities and Futures Market (2015 edition)

26. 中国证券期货市场场外商品期权交易确认书(2015年版)

Option Transaction Confirmation of Over-the-Counter Derivatives Trading of China's Securities and Futures Market (2015 edition)

(六) 互联网开户

Internet account opening

27. 期货公司互联网开户规则

Rules for the Internet Account Opening by Futures Company

28. 期货公司互联网开户操作指南

Operational Guidelines for the Internet Account Opening by Futures Company

(七) 风险控制与合规管理

Risk control and compliance management

29. 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

30. 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

31. 期货行业协助打击非法期货活动工作指引

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

32. 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

33. 期货公司资本补充指引

Guidelines for Capital Replenishment by Futures Company

34. 期货公司次级债管理规则

Rules for Subordinated Debts Management of Futures Company

(八) 投资者教育与适当性管理

Management of investor education and suitability

35. 期货投资者教育工作指引

Guidelines for the Education of Futures Investor

36. 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)

37. 期货公司执行金融期货投资者适当性制度管理规则

Rules for the Management of Investor Suitability System of Financial Futures by Futures Company

38. 期货投资者信用风险信息共享管理办法（试行）

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

39. 期货投资者信用风险信息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)

（九）信息技术类

Information Technology

40. 期货公司信息技术管理指引

Guidelines for the Administration of Information Technology of Futures Company

41. 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

42. 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)

43. 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

44. 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)

自律监察类

Self-regulation and Supervision

45. 中国期货业协会纪律惩戒程序

Disciplinary Punishment Program of China Futures Association

46. 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

纠纷调解类

Dispute Resolution

47. 中国期货业协会调解规则

Mediation Rules of the China Futures Association

48. 中国期货业协会调解员守则

Rules for Mediators of the China Future Association

49. 中国期货业协会调解员聘任管理办法

Administrative Measures for Appointment of Mediators of the China Future Association

50. 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

其他类

Others

51. 关于建立全国期货行业自律协作机制的若干意见

Some Opinions on Establishing a Self-regulatory and Cooperative Mechanism of the National Futures Industry

52. 关于集中取消一批备案报告事项的通知

Notice on Collectively Cancelling a Set of Filing and Reporting Matters

China Futures Association Chronicle of Events 2016

中国期货业协会2016年大事记

第四部分

1

一月

January

- 1月11日至12日，证券期货业科学技术奖励工作办公室组织召开了第五届证券期货科技奖复审和终审会议，选出一等奖拟授奖项目1项，二等奖拟授奖项目1项，三等奖拟授奖项目4项。

On January 11 and 12, Science and Technology Reward Work Office of Securities and Futures Industry organized and held the review and final meeting of the fifth securities and futures technology award during which 1 proposed first prize project, 1 proposed second prize project and 4 proposed third prize projects were awarded.

- 1月26日，协会发布《中国期货业协会会员管理办法（修订）》、《中国期货业协会自律规则制定办法》、《期货行业协助打击非法期货活动工作指引》、《期

货公司诚信评估方案》四件自律规则。

On January 26, CFA issued four self-discipline rules: Measures for the Administration (amendment) of Members of China Futures, Self-discipline Rules of China Futures Association, Work Instructions of Futures Industry on Helping Combating the Illegal Futures Activities and Futures Companies Integrity Assessment Program.

- 1月28日，中国证监会会计部与协会联合举办了《商品期货套期业务会计处理暂行规定》专题视频培训。On January 28, Accounting Department of CSRC and CFA co-held special video training on the Interim Provisions on the Accounting Treatment of Commodity Futures Hedging Business.

2

二月

February

- 2月19日，中国期货业协会期货投教网纳入中国证监会首批拟命名（互联网）国家级证券期货投资者教育基地名单。

On February 19, futures investor education network of CFA was listed into the list of first batch of proposed (Network) national level security futures investor education base of CSRC.

- 2月22日，协会召开党委会（扩大）会议，传达中国证监会全面从严治党工作会议精神，要求协会各级领导干部深入学习领会，切实提高“四个意识”，认真落实主体责任，围绕“两学一做”抓好相关学习活动。On February 22, CFA held (enlarged) party committee meeting, conveying “comprehensively strengthen Party discipline” meeting spirit of CSRC and requiring leading cadres of all levels to learn and comprehend in depth and solidly improve “four consciousness” and implement entity responsibility and carry on related learning activities of “studies on the theoretical and

practical issues of party building” ..

- 2月23日，美国存管信托和结算公司（DTCC）欧洲/亚太区政府关系董事总经理 Andrew Douglas 先生一行三人来访协会，双方深入探讨了全球衍生品交易信息数据仓库（Trade Reporting）的状况及境外最新法规变化。

On February 23, Mr. Andrew Douglas, Government Relations Director and General Manager in Europe/Asia Pacific of Depository Trust & Clearing Corporation (DTCC) and another two people visited CFA. Both parties discussed situation of global derivative trading information data warehouse (Trade Reporting) and changes of the latest overall laws and regulations.

- 2月，协会完成《期货公司资产管理子公司管理规则（征求意见稿）》及相关起草说明的制定工作。《规则（征求意见稿）》全文分为六章，共四十条，包含总则、登记备案、公司治理与风险控制、业务规范、自律管理、附则等内容。

In February, CFA formulated Management Rules for Asset Management Subsidiary of Futures Company (Exposure Draft) and related draft descriptions. Rules (Exposure Draft) consists of 6 chapters and 40 articles, covering general rules,

registration, company governance and risk control, business specification, self-discipline management, supplementary provisions and other content.

3

三月

March

- 3月7日,协会国际业务委员会向证监会报送了《关于建议扩大开放 QFII、RQFII 参与境内期货交易的报告》。

On March 7, CFA International Business Committee submitted Report on Suggesting Expanding and Opening QFII, RQFII to Participate in Domestic Futures Trading to CSRC.

- 3月15日,期货行业在“315 消费者保护日”开展了内容丰富、形式多样、重点突出的投资者权益保护宣传活动。

On March 15, futures industry carried out investor interest protection publicity activities on “315

Consumer Protection Day” with rich content, various forms and outstanding emphasis.

- 3月中旬,协会与中国期货市场监控中心共同组织完成了期货行业压力测试工作,并分别完成了期货公司、资产管理和风险管理压力测试报告。

In the middle of March, CFA and China Futures Market Monitoring Center organized and completed stress test of futures industry and completed stress test report of futures company, assets management service and risk management company respectively.

4

四月

April

- 4月15日，为帮助风险管理公司更好地掌握现货合同的签订与风险，协会邀请京翰律师事务所的周厚兴律师做了《现货合同的签订技巧与风险防范》专题视频培训。

On April 15, in order to help risk management company to control signing and risk of spot contract in a better way, CFA invited lawyer Zhou Houxing of Jinghan Law Firm to give a special video training Signing Skills and Risk Prevention of Spot Contract.

- 4月18-22日，由协会与欧洲期货交易所合办、横华国际协办的第四期权交易实务培训班在杭州召开。共有来自交易所、期保监控中心、证券公司、期货公司的35名学员参加了培训。

On April 18-22, the fourth options trading practice classes was co-held by CFA and Eurex and co-organized by HGNH International in Hangzhou. 35 trainees from exchange, China Futures Market Monitoring Center, securities company and futures company participated in the training.

- 4月20-27日，协会对期货公司互联网开户实名制、适当性制度方面落实情况开展现场调研。调研共选取6个地区15家期货公司作为调研对象，其中，北京公司4家，深圳4家，上海、浙江各1家，四川3家，重庆3家。

On April 20-27, CFA surveyed implementation of Internet account-opening real-name system and adequacy system of futures company by scene researching. 15 futures companies in 6 areas were selected as survey targets, including 4 Beijing companies, 4 Shenzhen companies, 1 Shanghai company, 1 Zhejiang company, 3 Sichuan companies and 3 Chongqing companies.

- 4月21日，协会在杭州召开2016年风险管理公司业务发展研讨会，会议以深化风险管理公司服务实体经济理念为目标，围绕风险管理业务的发展与合规风控

进行了充分的沟通交流。

On April 21, CFA held 2016 Business Development Seminar of Risk Management Company in Hangzhou aiming at the objective of strengthening risk management company serving the real economy during which sufficient communication was made on development of risk management service and compliant risk control.

- 4月22-23日，第十届中国期货分析师暨场外衍生品论坛在杭州召开。会议以“新动力·新平台·新服务——全面提升服务实体经济能力”为主题，吸引了来自政府部门、各类金融机构、现货企业、咨询服务机构及媒体的近千位代表出席。

On April 22-23, the 10th China Derivatives Analyst Forum & OTC Derivatives Forum was held in Hangzhou. With “New Power · new platform · new service - promote capacities to serve real economy comprehensively” theme, the meeting attracted nearly one thousand representatives from government department, various financing institutions, spot goods enterprises, consulting service organizations and media.

- 4月23日，分析师论坛“保险+期货”分论坛在杭州顺利召开。国务院发展研究中心市场经济研究所所长任兴洲、中国农业科学院信息所研究员张峭等嘉宾围绕“保险+期货 服务三农”进行了主论坛的精彩演讲。

On April 23, Analyst Forum “Insurance + Futures” Sub-forum was held successfully in Hangzhou. Honored guests such as Ren Xingzhou, Market Economy Research Institute Head of Development Research Center of the State Council and Zhang Qiao, researcher of Agricultural Information Institute of CAAS gave wonderful speeches on “Insurance+ futures serve agriculture, rural areas and farmers”.

- 4月25日,由协会主办的“期货服务实体经济媒体交流会”在杭州举行。会议邀请了投教委委员单位和新华社、中证报、上证报、证券日报、期货日报、和讯网等二十多家媒体共五十余人参加。

On April 25, CFA held “Media Communication Meeting of Futures Serving Real Economy” in Hangzhou. More than 50 people from Investment Education Commission organizations and more than 20 media such as Xinhua News Agency, China Securities Journal, Shanghai Securities News, Securities Daily, Futures Daily and Hexun were invited to the meeting.

- 4月27日,协会发布《关于加强风险防范和投资者教育工作的通知》,针对近期市场波动较大、投资者开

户数量增长较快的情况,明确提出了期货经营机构要切实履行中介机构的责任和义务,从维护期货行业长期健康发展的大局出发,切实做好风险防范工作,维护投资者合法权益,维护期货市场平稳运行。

On April 27, with large market fluctuation and rapid increase of investor accounts recently, CFA issued Notice on Strengthening Risk Prevention and Investor Education Work, requiring futures operation institutions to perform responsibilities and obligations of intermediary agency, prepare for risk prevention, maintain investors' legal interests and maintain stable operation of futures market so as to maintain long-term healthy development of futures industry.

5

五月

May

- 5月5日、12日,证监会会计部与协会联合举办两期期货公司“营改增”专题视频培训,邀请财政部及德勤税务咨询机构专家从“营改增”实施背景、政策解读、对行业的影响及具体实施运用等方面进行讲解。

On May 5 and May 12, Accounting Department of CSRC and CFA co-held two special video trainings on futures company “replacing the business tax with a value-added tax” and they invited experts from Ministry of Finance and Deloitte tax consultation organization to explain implementation background of “replacing the business tax with a value-added tax”, policy interpretation, the impact on the industry and specific implementation application.

- 5月6日,中期协“期货投教网”(edu.cfachina.org)正式挂牌为中国证监会首批全国证券期货投资者教育基地,证监会主席助理黄炜出席授牌仪式并发表讲话。此次证监会在全国范围内命名了首批共13家投教基地,包括7家实体基地和6家互联网基地,中期协是期货行业挂牌的仅有的两家投教基地之一。

On May 6, CFA “futures investor education

network” (edu.cfachina.org) was listed as the first batch of national security futures investor education base of CSRC officially. CSRC Chairman Assistant Huang Wei attended the award ceremony and delivered a speech. CSRC appointed first batch of 13 investor education bases in the whole nation this time, including 7 entity bases and 6 Internet bases. CFA is one of the only two investor education bases listed in futures industry.

- 5月10日,纽约金融学院院长 Lee Arthur 先生一行来访协会,双方表示将继续做好现有项目的顺利运营,同时积极探索未来进一步的合作机会。

On May 10, New York Institute of Finance President Mr. Lee Arthur visited CFA. Both parties showed they would carry on the successful operation of the existing projects and would explore actively for further cooperation in the future.

- 5月上旬,协会三个党支部召开全体党员大会,重点围绕党章组织开展了集中学习。同时,支部与团委密

切配合，组织青年职工观看了以纪念“五四运动”为主题的纪录片和展览活动。

In early May, 3 Party Branches of CFA held the meeting of all Party members, concentrating on learning of Party constitution. At the same time, branches cooperated with Youth League Committee closely to organize youth staff to watch documentary and exhibition in memory of "the May 4th Movement".

□ 5月25日，中期协与欧交所通过“GoToWebinar”网络平台举办了以“如何利用期货及衍生品进行有效风险管理”为主题的网络研讨会。

On May 25, CFA and Eurex held network seminar themed "how to use futures and derivatives for effective risk management" through "GoToWebinar" network platform.

6

六月

June

□ 6月7日，中国期货业协会第四届自律监察委员会召开第八次案件处理工作会议，会议就从业人员违规代客理财案、违规兼职案进行了讨论，并对当事人分别作出“撤销从业资格并在3年内拒绝受理其从业资格申请”、“公开谴责”的纪律惩戒。

On June 7, the 4th Self-discipline Supervisory Committee of CFA held the 8th Case Processing Working Conference, discussing cases of employees managing money matters for customers illegally and illegal part-time job cases and offering "the cancel of qualification and refusal of qualification application within 3 years" and "public censure" discipline punishment for parties involved respectively.

□ 6月14日，中国钢铁工业协会副秘书长杨尊庆一行3人来访协会，双方介绍了各自协会的情况，同时就如何推动两个行业的会员开展合作，以更好地服务实体经济等事宜进行了会谈。

On June 14, Deputy Secretary General of China Iron and Steel Industry Association Yang Zunqing and another 2 people visited CFA. Both parties introduced their own conditions and discussed matters such as how to promote members of these two industries to cooperate so as to serve the real economy in a better way.

□ 6月14日，国际掉期与衍生工具协会执行总裁 Scott O'Malia 一行3人来访协会，双方各自介绍了本地区

最新的行业发展状况，同时就如何开展更多形式的合作事宜进行了交流。

On June 14, Executive President of International Swaps and Derivatives Association Scott O' Malia and another 2 people visited CFA. Both parties introduced the latest industry development condition in their own areas and exchanged opinions on how to develop more forms of cooperation.

□ 6月14-17日，“2016年LME亚洲金属周”活动在香港举办。来自国内近20家期货公司的高级管理人员参加了金属周活动，协会时任副秘书长刘涛和研究部主任王春卿参加了本次活动，并在香港期间召开了期货公司香港子公司座谈会。

On June 14-17, "2016 LME Asia Metal Week" activity was held in Hong Kong. Senior management of nearly 20 domestic futures companies participated in metal week activity. CFA Deputy Secretary General Liu Tao and Research Department Director Wang Chunqing participated in the activity and held Hong Kong subsidiary forum of futures company in Hong Kong period.

□ 6月18日，为纪念建党95周年，缅怀革命先烈的英雄业绩，对员工进行传统教育，协会开展了以“缅怀革命先烈，做合格党员”为主题的七一主题党日活动，组织全体员工赴顺义焦庄户参观了地道战遗址纪念馆。

On June 18, in order to memorize the 95th anniversary of the founding of the CPC, recall heroic achievements of revolutionary martyrs and provide staff with traditional education, CFA carried out July 1 CPC Founding Day activity themed “recall revolutionary martyrs and become a qualified Party member” and organized staff to visit the Memorial of Tunnel Warfare Site in Jiaozhuanghu, Shunyi.

- 6月16日,中国期货业协会召开第四届理事会第十次会议。会议审议并表决了《关于中国期货业协会2015年财务收支情况和2016年预算的报告》、《关于期货投资者教育基金和期货人才培养基金2015年收支情况及2016年度预算的报告》、理事变更事项等。On June 16, CFA held the 10th Meeting of the 4th Council. The meeting deliberated and voted Report on 2015 Financial Revenue and Expenditure and 2016 Budget of CFA, Reports on 2015 Income and Expenditures of Futures Investors Education Fund and Futures Talent Training Fund and 2016 Annual Budget, and council member change matters.
- 6月22日,中期协投教部组织召开了“‘讲故事、学期货’国民教育丛书第一次编写工作会议”,中国财政经济出版社等12人参加了会议。On June 22, Investor Education Department of CFA organized and held the First Compiling Work Meeting of “Tell Stories and Learn Futures” National Education Book Series. Chinese Financial

and Economic Publishing House and 12 people attended the meeting.

- 6月27-28日,由中国期货业协会和欧洲期货交易所共同主办的“2016中德衍生品论坛”在北京举行。本次论坛以“一带一路战略背景下的中欧衍生品市场发展与合作”为主题,亚洲基础设施投资银行副行长Joachim von Amsberg、证监会期货部巡视员张晋生、协会时任副会长侯苏庆、欧洲期货交易所亚太区总裁施罗伦等嘉宾出席了论坛。

On June 27-28, “2016 China-Germany Derivatives Workshop” jointly sponsored by CFA and Eurex Exchange was held in Beijing. Theme of the workshop is “China-Europe Derivatives Market Development and Cooperation under The Belt and Road Strategy Background”. Vice President of Asian Infrastructure Investment Bank Joachim von Amsberg, CSRC Futures Department Inspector Zhang Jinsheng, Vice Chairman of CFA Hou Suqing and Asia-Pacific President of Eurex Exchange Roland Schwinn attended the workshop.

- 6月18-27日,为培养金融衍生品研究分析、产品设计及基金经理类高端人才,中期协与厦门大学金融工程研究中心联合举办第九期金融衍生品高级研修班。On June 18-27, in order to cultivate high-end talents related to financial derivatives research and analysis, product design and fund manager, CFA and Research Center of Financial Engineering of Xiamen University jointly held the 9th senior training class of financial derivatives.
- 6月下旬,协会办理了安信期货有限责任公司会员资格注销手续。In late June, CFA handled membership cancellation formalities of ESSENCE FUTURES Co., Ltd.



七月

July

- 7月5日,为庆祝中国共产党建党95周年,表彰先进,弘扬正气,协会组织召开了优秀党员表彰大会暨“七一”主题党课活动,由班子成员带领全体党员重

温了入党誓词,对荣获证监会系统优秀党员、先进基层党组织和“五一”劳动奖章的个人、支部以及由协会评选出的10名优秀党员进行了表彰。

On July 5, in order to celebrate the 95th anniversary of the founding of the Communist Party of China, CFA held the national commendation rally for excellent party members and the party lecture under the theme of "July 1st", commending the advanced and promoting righteousness. The members of leading group led all party members to review the oath for joining the CPC, and then rewarded the excellent party members, Model Grassroots Party Organizations and the people and branches with Labor Day Medals honored by China Securities Regulatory Commission and 10 excellent party members selected by CFA.

- 7月8日,协会向洪涝重灾区湖北、安徽两地的会员单位致慰问电了解受灾情况。

On July 8, CFA sent a telegraph of condolences to the member units in severely flood-hit Hubei and Anhui and inquired about the suffering condition.

- 7月13日,协会参加了最高人民法院与中国证监会联合召开的全国证券期货纠纷多元化解机制试点工作推进会,并被宣布为试点调解组织之一。

On July 13, CFA attended the Pilot Project Initiative of Alternative Dispute Resolution of National Securities and Futures jointly held by the Supreme People's Court and CSRC, and was appointed to one of the Pilot Mediation Organizations.

- 7月14日,高盛证券亚太地区政府关系主管 Jenny Cosco 女士及高盛高华证券副总经理姚嘉仁先生来访协会,介绍了高盛在衍生品方面的最新动态,双方就

今后进一步加强合作进行了交流。

On July 14, Ms. Jenny Cosco, the Head of Government Relations in Asia-Pacific Region of Goldman Sachs, and Mr. Yao Jiaren, the Vice General Manager of Goldman Sachs Gao Hua Securities visited CFA, and introduced the latest trends of GS-US' derivatives. The two parties had further discussion on our future cooperation.

- 7月20日,协会召开打非防非业务讨论会,就防非打非工作思路、监测结果的认定及打非监测月报的撰写方式等问题进行了讨论。

On July 20, CFA held the Seminar about the Elimination and Avoidance of Illegality, discussing the issues of the vision for its work, the confirmation of monitoring results, the writing pattern of its monitoring monthly report, and the like.

- 7月21日,协会召开风险管理公司合作套保业务及风险监控项目研讨会,邀请部分风险管理公司共同研究讨论自律规则制订中存在的重难点问题,参与风险监控监测指标体系项目建设。

On July 21, CFA convoked the Risk Management Companies' Cooperation Hedging Business and Risk Monitoring Projects Seminar, invited some risk management companies to jointly deliberate the important and difficult problems occurred during the formulation of the rules of self-regulation, and participated in the construction of risk monitoring and testing index system.

8

八月

August

- 8月4日,协会通过与人民网合作的“期货涉非监测系统”监测到涉非信息61条,内容涉及外盘期货营销网站、现货电子盘交易及非法直播平台。

On August 4, through the Illegality-involved Futures Monitoring System collaborated with Peoples Network, CFA observed 61 illegality-involved messages, including foreign and futures marketing websites, spot electronics deals and illegal live-broadcasting platforms.

- 8月11日,协会召开领导干部会议,中国证监会方星海副主席、人社部罗红生巡视员受证监会党委委托,正式宣布王明伟同志的任职通知,委派王明伟同志担任协会党委书记、非会员理事,提名为会长候选人。

On August 11, CFA held a leadership caucus. Commissioned by the party committee of CSRC, Fang Xinghai, the Vice Chairman of CSRC, and Luo Hongsheng, the inspector of the Ministry of People's Education, appointed Wang Mingwei as CFA's Party Secretary and Nonmember Director, with the nomination for Chairman.

- 8月11日,中国证监会方星海副主席莅临期货业协会调研,期货部李海超副主任、严绍明副主任和有关处室同志,协会新任党委书记王明伟以及全体班子成员、各部门负责人参加了会议。

On August 11, Fang Xinghai, the Vice Chairman of CSRC, was presented in the Futures Industry Association to make investigation, with participants including the Vice Directors of the Department of Futures Li Haichao and Yan Shaoming, members

of related offices, the new CFA's Party Secretary Wang Mingwei, all members of the leading group, and directors of all divisions.

- 8月11-12日,协会在青岛中信证券培训中心举办2016年期货公司信息化与信息安全培训班(青岛),共108家期货公司、144人参加了本次培训。

On August 11-12, CFA held 2016 futures companies informatization and information safety training classes (Qingdao) in Qingdao Citic Securities Training Center, with 108 futures companies and 144 people attending this training in total.

- 8月24日,协会第四届理事会第十一次会议在京召开,证监会方星海副主席出席会议并作了重要讲话。会议选举王明伟同志为协会新任会长。

On August 24, the 11th Meeting of Fourth Council was convened in Beijing. Fang Xinghai, the Vice Chairman of CSRC, attended the meeting and delivered an important speech. Wang Mingwei was appointed as the new Chairman of CFA in this meeting.

- 8月30日,2016期货公司年报分析与财务工作会议在成都召开,160余名期货公司财务人员参加了会议。

On August 30, the Forum of the Analysis of Annual Report and Financial Affairs of Futures Companies 2016 was convened in Chengdu, with more than 160 financial staffs of futures companies attending this meeting.

9

九月

September

- 9月1日, 德意志交易所集团董事会成员 Jeffrey Tessler 先生一行四人来访协会, 向协会介绍了德交所与伦交所合并的最新状况以及集团的最新资讯, 双方就今后如何进一步加强合作进行了交流。

On September 1, Mr. Jeffrey Tessler, the board member of Deutsche Borse Group, and the other three visited CFA, and shared the latest status about the merger between Deutsche Borse and London Stock Exchange and the latest group information. The two parties had a discussion on how to further and strengthen our future cooperation.

- 9月6日, 协会启动“开展期货名企联合校园招聘”活动, 征集期货公司岗位需求, 共有 73 家期货公司申请参加联合招聘活动, 提供了 468 个岗位, 拟招聘 1840 名毕业生。

On September 6, CFA launched the “Carry out Famous Enterprises of Futures Cooperate with Campus Recruitment” activity and collected job requirements form futures companies, attracting 73 futures companies to apply for it and offering 468 positions for around 1840 graduates.

- 9月19日, 美国商品期货交易委员会 (CFTC) 委员之一 Sharon Bowen 女士一行三人来访协会, 向协会介绍了其自动化交易监管制度的设计思路及背后的考量, 市场主体对自动化交易监管的态度, 以及规则征求意见后的监管思路调整。双方就期货市场如何更好地开展投资者保护工作, 以及两个地区监管要求的差异进行了探讨。

On September 19, Ms. Sharon Bowen, one of the CFTC members, with the other two, visited CFA and introduced the design ideas and considerations about the regulatory system of automated trading, market's attitudes toward the system and the adjustment on supervision after soliciting opinions. The two parties carried on a discussion over how to protect investors in futures market preferably and the differences

between the supervision requirements of two regions.

- 9月20、21日, 协会进行了“期货走进校园”山东地区高校调研活动, 与山东师范大学、山东财经大学、山东理工大学、山东青年政治学院等高校老师沟通学生及青年教师培养需求。

On September 20-21, CFA carried out the “Futures Go Into College” research activity in universities of Shandong and discussed over the training needs of students and young teachers with teachers from Shandong Normal University, Shandong University of Finance and Economics, Shandong University of Technology and Shandong Youth University of Political Science.

- 9月26日, 协会就期货行业履行社会责任、服务国家扶贫攻坚战略专项工作, 组织地处我国东部沿海发达及西部欠发达地区的部分期货公司召开了“推动期货行业开展扶贫工作”视频座谈会。

On September 26, in terms of futures industry's special works of fulfilling the social responsibility and serving the national poverty alleviation strategy, CFA organized some futures companies located in developed coastal regions of eastern China and underdeveloped area of the western, to convene the video conference entitled “Motivating Futures Industry and Carrying Out Poverty-relief Project”.

- 9月下旬, 根据第四届自律监察委员会第九次案件处理工作会议决议, 协会向任用无从业资格人员从事期货业务案件当事人送达“公开谴责”纪律惩戒决定书, 向参与配资交易案件当事人送达“撤销从业资格并在3年内拒绝受理其从业资格申请”的纪律惩戒意见告知书。

In late September, according to the resolutions of the 9th Case Processing Working Conference of the 4th Self-discipline Supervisory Committee, CFA delivered the disciplinary punishment decision letter of “public censure” to the party

who employed the personnel without practice qualification to engage in the futures business, and the disciplinary punishment notification of “the

cancel of qualification and refusal of qualification application within 3 years” to the party who participated in financing cases.

10

十月

October

- 10 月初,为了解营改增试点实施 5 个月以来期货行业总体税负情况及存在的问题,协会向期货公司会员单位收集了相关数据并汇总统计,撰写完成《期货公司营改增税负变化情况分析报告》。

In early October, in order to know the overall situation and problems of futures industry's tax bearing after 5 months of replacing sales tax with value-added tax pilot, CFA collected related data from the futures company member units, tabulated statistics, and wrote the Analysis Report on Futures Companies' Tax Bearing Change After Replacing Sales Tax with Value-added Tax.

- 10 月 18 日,协会党委书记王明伟同志带领全体党员干部赴国家博物馆参观“信念 精神 传承——纪念红军长征胜利 80 周年大型馆藏文物展”。重温长征路,是协会开展“两学一做”学习教育、社会主义核心价值观教育的重要实践活动,是助力全体党员理想信念体系建设的具体措施。

On October 18, Wang Mingwei, the Party Secretary of CFA, led all party members and cadres to the National Museum to visit the “Faith Spirit Heritage—the Large Exhibition of Collected Relics, Commemorating the 80th Anniversary of the Victory of the Long March”. Reviewing the Long March is an important practice activity for CFA to promote the education of “studies on the

theoretical and practical issues of party building” and core values of socialism, as well as a specific measure for all party members to construct their ideals and beliefs.

- 10 月 22 日,“CFA2017—期货名企联合校园招聘”活动正式启动。本次活动得到了期货行业知名企业的高度关注和热情参与,共有 73 家期货公司提供了 1800 余个招聘名额。

On October 22, “CFA 2017 - Famous Enterprises of Futures Cooperate with Campus Recruitment” activity was officially launched. This activity has attracted intense attention and enthusiastic participation from the famous enterprises of futures industry, with more than 1,800 recruitment quotas from 73 futures companies.

- 10 月 30-11 月 3 日,应香港交易所集团旗下伦敦金属交易所(LME)邀请,协会郑小国副会长率团赴英国伦敦参加了“2016 年伦敦金属周”活动,并拜访了英国金融监管局(FCA)、英国国际贸易总署(DIT)、元盛资本等机构。

From October 30 to November 3, at the invitation of LME of Hong Kong Stock Exchange Group, Zheng Xiaoguo, the Vice Chairman of CFA, led a delegation to London to attend the 2016 London Metal Week, and visit FCA, DIT, Winton Capital, and so on.

11

十一月

November

- 11月1日，为支持贫困地区产业发展，更好地履行扶贫社会责任，协会组织召开了“推动期货行业服务国家扶贫攻坚战略动员会”。中国证监会方星海副主席、期货部冉华主任出席大会并讲话，协会王明伟会长主持了大会。方星海副主席做了题为“精准扶贫 谋取实效”的讲话。

On November 1, to support the less-developed areas and better fulfill social responsibility for poverty alleviation, CFA organized a meeting named "Promote the futures industry to serve the country poverty alleviation mobilization strategy." Mr. Fang Xinghai, Vice Chairman of China Securities Regulatory Commission and Mr. Ran Hua, Director of Futures Supervision attended the meeting. Mr. Wang Mingwei, Chairman of the Association moderated the meeting. Mr. Fang Xinghai delivered a keynote speech on the topic of "Targeted Poverty Alleviation, Achieve Effective Results".

- 11月3日，吴亚军副秘书长会见了到访的新加坡交易所 (SGX) 中国区主席兼执行副总裁黄良颖先生一行。SGX 向协会介绍了交易所当前的业务状况、最新产品类别及未来战略发展方向。

On November 3, Wu Yajun, the Deputy Secretary General, visited Mr. Huang Liangying, the Chairman and Vice Executive President of SGX China, and his delegation. SGX introduced the business status, the latest product categories and the future strategic orientation of the exchange to CFA.

- 11月4日，期货公司纠纷多元化解机制专题视频培训在协会举办，邀请证监会投保局、最高人民法院、北京市高级人民法院、中国人民大学法学院多元化纠纷

解决机制研究中心的相关专家对行业内人员进行讲解。共有 170 多个分会场在线参加了培训。

On November 4, CFA conducted a video training under the theme of Initiative of Alternative Dispute Resolution of Futures Company, and invited relevant experts from the Investor Protection Bureau of CSRC, the Supreme People's Court, Beijing High People's Court and the Research Center of Initiative of Alternative Dispute Resolution of College of Law of Renmin University of China, to explain to industry insiders. More than 170 affiliated venues attended the training on line.

- 11月6日，中国期货业协会与中央人民广播电台经济之声合作推出的系列期货防非专题节目——《期货打假在行动》正式开播。该节目作为央广经济之声明星栏目《天天315》(FM96.6)的特别版块，突显了打击非法期货交易、保护投资者合法权益的主题，也是国内首个以打击和防范非法期货为主题的系列广播节目。

On November 6, the Anti-counterfeit of Futures is Taking Action, a series feature program of avoidance of futures' illegality jointly launched by CFA and China Business Radio of CNR, was officially broadcasted. As a special section of Daily 315 (FM96.6), a star column of China Business Radio of CNR, this program emphasizes on combating the illegal futures exchanges and protecting the legal interests of the investors. It is also the first domestic broadcast program with the theme of combat and avoidance of illegal futures.

- 11月14-18日,协会王明伟会长应邀率团赴瑞士参加了由国际商品和衍生品协会(ICDA)举办的第37届国际金融衍生品市场年会,并代表协会与ICDA续签了合作备忘录,同时邀请美国商品期货交易委员会国际事务办公室主任Eric J.Pan参加第12届中国(深圳)国际期货大会并进行主题演讲。

In November 14-18, Wang Mingwei, the Chairman of CFA, attended the 37th International Financial Derivatives Market Annual Meeting in Switzerland held by ICDA with a delegation on invitation. On behalf of CFA, he renewed the cooperation

memorandum with ICDA, invited Eric J.Pan, the Director of International Affairs Office of the CFTC, to attend the 12th China (Shenzhen) International Derivatives Forum, and made a keynote speech.

- 11月18日,由中金所和协会共同举办的“中金所杯”全国大学生金融及衍生品知识竞赛颁奖会在上海举行。

On November 18, cosponsored by CFA and CFFEX, the award ceremony of “China Financial Futures Exchange (CFFEX) Cup” college students financial futures and derivatives knowledge contest was held in Shanghai.

12

十二月

December

- 12月2日-4日,由中国期货业协会和深圳市人民政府联合主办的第十二届中国(深圳)国际期货大会在深圳召开。本届大会以“产融结合、金融科技—供给侧改革背景下的衍生品市场机遇与挑战”为主题,中国证监会方星海副主席出席了大会主论坛并致辞,美国商品期货交易委员会国际事务部主任Eric J.Pan先生发表了主题演讲。中国期货业协会王明伟会长主持了本次大会。

On December 2-4, “the 12th China (Shenzhen) International Derivatives Forum” jointly sponsored by CFA and Shenzhen People's Government was held in Shenzhen. This forum is in the theme of “combining industry and financing, financial technology—opportunities and challenges for derivatives market in the context of supply-side reform”. Fang Xinghai, the Vice Chairman of CSRC, attended the conference's main forum and made a speech. Eric J. Pan, the Director of International Affairs Office of the CFTC, made a keynote speech. Mr. Wang Mingwei, Chairman

of the China Futures Association, moderated the forum.

- 12月4日,中国期货业协会与东京商品交易所(TOCOM)在深圳签署合作谅解备忘录。中期协会长王明伟和东京商品交易所执行董事兼总经理滨田隆道先生分别代表双方机构签署了文本。

On December 4, CFA signed a memorandum of understanding on cooperation with TOCOM in Shenzhen. On behalf of each organization, Mr. Wang Mingwei, Chairman of the China Futures Association and Mr. Takamichi Hamada, President & CEO of Tokyo Commodity Exchange, co-signed the paper.

- 12月20-22日,协会联合上海期货交易所,合作举办期现结合(铅锌)培训班。

On December 20-22, CFA and Shanghai Futures Exchange coordinated to establish the combining futures and spot business (lead and zinc) training classes.

Membership Directory

会员名录

第五部分

普通会员（期货公司）

机构全称
方正中期期货有限公司
金鹏期货经纪有限公司
国都期货有限公司
中粮期货有限公司
北京首创期货有限责任公司
一德期货有限公司
宏源期货有限公司
第一创业期货有限责任公司
冠通期货有限公司
国元期货有限公司
首创京都期货有限公司
中衍期货有限公司
中钢期货有限公司
华金期货有限公司
财达期货有限公司
国泰君安期货有限公司
山金期货有限公司
和融期货有限责任公司
河北恒银期货经纪有限公司
山西三立期货经纪有限公司
民生期货有限公司
和合期货经纪有限公司
鑫鼎盛期货有限公司
深圳瑞龙期货有限公司
九州期货有限公司
江海汇鑫期货有限公司
江信国盛期货有限责任公司
天富期货有限公司
中融汇信期货有限公司
大连良运期货经纪有限公司
兴证期货有限公司
晟鑫期货经纪有限公司
天鸿期货经纪有限公司
大通期货经纪有限公司
中投天琪期货有限公司

机构全称
银河期货有限公司
天风期货股份有限公司
中国国际期货有限公司
渤海期货股份有限公司
国富期货有限公司
海通期货股份有限公司
华鑫期货有限公司
光大期货有限公司
铜冠金源期货有限公司
恒泰期货股份有限公司
国投安信期货有限公司
建信期货有限责任公司
上海东亚期货有限公司
上海东方期货经纪有限责任公司
上海大陆期货有限公司
东航期货有限责任公司
上海中财期货有限公司
上海浙石期货经纪有限公司
瑞银期货有限责任公司
通惠期货有限公司
上海东证期货有限公司
海证期货有限公司
上海中期期货股份有限公司
同信久恒期货有限责任公司
江苏东华期货有限公司
国联期货股份有限公司
创元期货股份有限公司
东海期货有限责任公司
新纪元期货股份有限公司
弘业期货股份有限公司
文峰期货有限公司
锦泰期货有限公司
中大期货有限公司
浙江新世纪期货有限公司
宝城期货有限责任公司

机构全称
大地期货有限公司
浙商期货有限公司
大越期货股份有限公司
信达期货有限公司
新湖期货有限公司
南华期货股份有限公司
国海良时期货有限公司
永安期货股份有限公司
兴业期货有限公司
鲁证期货股份有限公司
招金期货有限公司
中州期货有限公司
英大期货有限公司
徽商期货有限责任公司
华安期货有限责任公司
安粮期货股份有限公司
格林大华期货有限公司
华信万达期货股份有限公司
国信期货有限责任公司
中原期货股份有限公司
福能期货股份有限公司
金信期货有限公司
美尔雅期货有限公司
新疆天利期货经纪有限公司
华闻期货有限公司
长江期货有限公司
南证期货有限责任公司
华联期货有限公司
华龙期货股份有限公司
广发期货有限公司
混沌天成期货股份有限公司
新晟期货有限公司
集成期货股份有限公司
摩根大通期货有限公司
华泰期货有限公司
金石期货有限公司
中天期货有限责任公司
国贸期货有限公司
中航期货有限公司

机构全称
中信期货有限公司
五矿经易期货有限公司
招商期货有限公司
海航期货股份有限公司
神华期货有限公司
金瑞期货股份有限公司
平安期货有限公司
金元期货有限公司
华融期货有限责任公司
道通期货经纪有限公司
申银万国期货有限公司
华西期货有限责任公司
瑞达期货股份有限公司
国金期货有限责任公司
倍特期货有限公司
西南期货有限公司
中信建投期货有限公司
中电投先融期货股份有限公司
红塔期货有限责任公司
西部期货有限公司
长安期货有限公司
东兴期货有限责任公司
江西瑞奇期货经纪有限公司
迈科期货股份有限公司
黑龙江时代期货经纪有限公司
中辉期货有限公司
大有期货有限公司
华创期货有限责任公司
云晨期货有限责任公司
东吴期货有限公司
广州金控期货有限公司
盛达期货有限公司
广州期货股份有限公司
津投期货经纪有限公司
中金期货有限公司
东方汇金期货有限公司
德盛期货有限公司
中银国际期货有限责任公司

普通会员（证券公司）

机构全称
平安证券股份有限公司
中国银河证券股份有限公司
中泰证券股份有限公司
华泰证券股份有限公司
东海证券股份有限公司
光大证券股份有限公司
兴业证券股份有限公司
海通证券股份有限公司
申万宏源证券有限公司
长江证券股份有限公司
广发证券股份有限公司
国都证券股份有限公司
长城证券股份有限公司
中信证券股份有限公司
国信证券股份有限公司
中信证券（山东）有限责任公司
华福证券有限责任公司
国泰君安证券股份有限公司
华安证券股份有限公司
山西证券股份有限公司
东方证券股份有限公司
中信建投证券股份有限公司
渤海证券股份有限公司
安信证券股份有限公司
东莞证券股份有限公司
信达证券股份有限公司
国联证券股份有限公司
西部证券股份有限公司
南京证券股份有限公司
东吴证券股份有限公司
中银国际证券有限责任公司
中国国际金融股份有限公司
浙商证券股份有限公司
财通证券股份有限公司
大通证券股份有限公司
金元证券股份有限公司
方正证券股份有限公司

机构全称
华西证券股份有限公司
第一创业证券股份有限公司
国元证券股份有限公司
湘财证券股份有限公司
民生证券股份有限公司
国海证券股份有限公司
中山证券有限责任公司
华创证券有限责任公司
中航证券有限公司
万联证券有限责任公司
江海证券有限公司
东兴证券股份有限公司
恒泰证券股份有限公司
红塔证券股份有限公司
国盛证券有限责任公司
华融证券股份有限公司
德邦证券股份有限公司
华龙证券股份有限公司
中天证券股份有限公司
财达证券有限责任公司
上海证券有限责任公司
东北证券股份有限公司
开源证券股份有限公司
天风证券股份有限公司
广州证券股份有限公司
中国民族证券有限责任公司
新时代证券股份有限公司
西南证券股份有限公司
万和证券有限责任公司
首创证券有限责任公司
华宝证券有限责任公司
太平洋证券股份有限公司
华林证券股份有限公司
联储证券有限责任公司
世纪证券有限责任公司
联讯证券股份有限公司
大同证券有限责任公司

机构全称
长城国瑞证券有限公司
西藏同信证券股份有限公司
宏信证券有限责任公司

机构全称
银泰证券有限责任公司
九州证券股份有限公司

普通会员（资产管理公司）

机构全称
华期梧桐成都资产管理有限公司
深圳天风天成资产管理有限公司
深圳中金岭南金汇资本管理有限公司
四川倍特资产管理有限公司
混沌天成投资管理（深圳）有限公司

机构全称
上海杰询资产管理有限公司
中信盈时资产管理有限公司
厦门国贸资产管理有限公司
中电投先融（上海）资产管理有限公司
和合资产管理（上海）有限公司

普通会员（风险管理公司）

机构全称
浙江永安资本管理有限公司
浙江浙期实业有限公司
华信物产有限公司
广发商贸有限公司
鲁证经贸有限公司
浙江济海贸易发展有限公司
上海新湖瑞丰金融服务有限公司
浙江南华资本管理有限公司
江苏锦盈资本管理有限公司
上海际丰投资管理有限责任公司
弘业资本管理有限公司
中证资本管理（深圳）有限公司
宏源恒利（上海）实业有限公司
中粮祈德丰投资服务有限公司

机构全称
金瑞前海资本管理（深圳）有限公司
上海海通资源管理有限公司
瑞达新控资本管理有限公司
申银万国智富投资有限公司
华泰长城资本管理有限公司
银河德睿资本管理有限公司
光大光子投资管理有限公司
格林大华资本管理有限公司
武汉长江产业金融服务有限公司
五矿产业金融服务（深圳）有限公司
东证润和资本管理有限公司
睦盛投资管理（上海）有限公司
迈科资产管理（上海）有限公司
国贸启润资本管理有限公司

机构全称
上期资本管理有限公司
国海良时资本管理有限公司
东海资本管理有限公司
平安商贸有限公司
国泰君安风险管理有限公司
东兴财富资产管理有限公司
上海东吴玖盈投资管理有限公司

机构全称
汇信融植资本管理有限公司
上海华闻金融信息服务有限公司
上海方顿投资管理有限公司
华期创一成都投资有限公司
国联汇富资本管理有限公司
中衍期（天津）投资管理有限公司
金财汇顶投资有限公司

普通会员（私募期货基金）

机构全称
深圳市凯丰投资管理有限公司
白石资产管理（上海）有限公司

机构全称
华风投资咨询有限公司
敦和资产管理有限公司

特别会员

机构全称
大连商品交易所
郑州商品交易所
上海期货交易所

机构全称
中国金融期货交易所
中国期货市场监控中心有限责任公司

联系会员(地方协会)

机构全称
北京期货商会
天津市期货协会
黑龙江省期货业协会
上海市期货同业公会
江苏省期货业协会
深圳市期货同业协会
河北省证券期货业协会
大连市期货业协会
辽宁省期货业协会
浙江期货行业协会
宁波市证券期货业协会
安徽省证券期货业协会
山东省期货业协会
河南省证券期货业协会
江西省证券期货业协会
广东证券期货业协会
广西证券期货业协会
福建省证券期货业协会

机构全称
厦门证券期货业协会
四川省证券期货业协会
重庆市证券期货业协会
甘肃证券期货业协会
新疆维吾尔自治区证券期货业协会
海南证券期货业协会
云南省证券业协会
陕西证券期货业协会
青岛证券期货业协会
吉林省证券业协会
宁夏证券期货基金业协会
贵州证券业协会
湖南省期货业协会
湖北省期货业协会
内蒙古证券期货业协会
山西省期货业协会
西藏自治区证券业协会

联系会员 (保证金存管银行)

机构全称
兴业银行股份有限公司
中国光大银行股份有限公司
上海浦东发展银行股份有限公司
交通银行股份有限公司
中国银行股份有限公司
招商银行股份有限公司

机构全称
中国民生银行股份有限公司
中国工商银行股份有限公司
汇丰银行（中国）有限公司
平安银行股份有限公司
中信银行股份有限公司
广发银行股份有限公司

联系会员（三商）

机构全称
上海期货信息技术有限公司
郑州易盛信息技术有限公司
大连飞创信息技术有限公司
上海金融期货信息技术有限公司
恒生电子股份有限公司
上海文华财经资讯股份有限公司
胜科金仕达数据系统（中国）有限公司
福建顶点软件股份有限公司
上海富远软件技术有限公司
上海信易信息科技股份有限公司
上海数讯信息技术有限公司

机构全称
北京普华路通科技发展有限公司
上海彭博财经资讯有限公司
深圳开拓者科技有限公司
上海科视数码频道制作有限公司
上海览逸信息科技有限公司
盛立金融软件开发（杭州）有限公司
艾扬软件（上海）有限公司
上海融航信息技术股份有限公司
上海亦冉软件科技有限公司
上海飞鼠软件科技有限公司

联系会员（其他期货服务机构）

机构全称
上海万得信息技术股份有限公司
和讯信息科技有限公司
证信息技术服务有限责任公司
证通股份有限公司



中国期货业协会

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