

2019 CFTC 衍生性商品監理新趨勢研討會

The New Trend Supervisions of Derivative Markets 2019

指導單位：

金融監督管理委員會證券期貨局

主辦單位：

臺灣期貨交易所股份有限公司

中華民國期貨業商業同業公會

財團法人中華民國證券暨期貨市場發展基金會

執行單位：

財團法人中華民國證券暨期貨市場發展基金會

一、前言

依據金融監督管理委員會 108 年度重點施政計畫：極力推動金融體制與國際接軌、在臺舉辦國際會議以深化與各國金融監理機關之交流合作，進而提升我國金融業之國際能見度，並藉由參考國際金融監理組織作法接軌國際金融監理潮流，臺灣期貨交易所、中華民國期貨業商業同業公會與證券暨期貨市場發展基金會配合主管機關政策，擬邀請美國商品期貨交易委員會 (CFTC) 官員來台舉辦專題研討會。

證券暨期貨市場發展基金會自 102 年起邀請 CFTC 官員來臺舉辦專題研討，針對最新國際金融議題進行分享，並進一步探討監理機構如何在國際化之金融體制中，扮演保護市場參與者及防止不法交易行為，同時建立有效之監督管理機制確保交易安全，以打造更安全、更透明開放之衍生性商品市場交易環境。

鑑於此研討會歷年來皆獲得主管機關與期貨業的重視及熱列參與，今 (108) 年度擬擴大邀請新南向國家監理機關代表與會，有助於各國專業人才互動交流、分享其最新監理實務作法，亦可增進我國在國際之曝光度與影響力。

二、辦理時間

108 年 7 月 18 日(四)，9:30-12:30、14:00-17:30。

三、辦理地點

臺灣期貨交易所大會堂 (臺北市羅斯福路二段 100 號 6 樓)。

四、參加對象：

- 新南向國家之監理機關代表
- 證券期貨主管機關人員
- 自律組織監理人
- 金融機構從業人員
- 對本研討活動演講有興趣者

五、語言：英文

六、主講人：

Mr. Kevin C. Piccoli

Deputy Director

Division of Swap Dealers and Intermediaries Oversight

Commodities Futures Trading Commission

In this role, Kevin is responsible for overseeing all commodities, futures and derivative trading institutions throughout the United States, help to establish the rules and regulations that govern the financial institutions conducting business in these markets, overseeing the financial exchanges that provide markets for these products and implementing the recently legislated Dodd-Frank Act on swap dealers and swap market participants. With offices in Washington DC, New York City, Chicago and Kansas City, Kevin's teams provide the necessary oversight and monitoring of the Nation's commodities and derivative markets.

Mr. Jason A. Mahoney

Special Counsel

Office of International Affairs

Commodities Futures Trading Commission

Jason A. Mahoney is Special Counsel in the U.S. Commodity Futures Trading Commission's (CFTC) Office of International Affairs where he advises the Commission on international financial regulatory matters, including matters focused on fintech, cyber security and crypto assets. Mr. Mahoney represents the Commission in various multilateral fora including the International Organization of Securities Commissions (IOSCO), the Financial Stability Board, and the Financial Stability Oversight Council. Additionally, Mr. Mahoney leads an IOSCO working group on cyber security.

Mr. Mahoney joined the CFTC in August 2009 as a Trial Attorney in the CFTC's Enforcement Division where he served as lead counsel on numerous cases involving fraud, manipulation, and other conduct in violation of the Commodity Exchange Act. Prior to joining the CFTC, Mr. Mahoney worked for corporate defense firms including Hunton & Williams, LLP.

Mr. Mahoney received his Juris Doctor degree from the University of Pittsburgh and his Bachelor of Arts from Colby College.

七、研討流程：

時間	主題	主講人*
9:00 9:30	Registration 報到	
9:30 9:40	Opening Remarks 主管機關或主辦單位致詞	主管機關或 主辦單位代表
9:40 10:40	<p><u>CFTC overview and the trends of the futures market and supervision</u> (CFTC 監理理念及其對全球期貨市場之看法及監理趨勢)</p> <ul style="list-style-type: none"> - CFTC Mission, Responsibilities and Organizational Structure - Dodd-Frank Act : Dodd-Frank Wall Street Reform, Consumer Protection Act - Impact of Dodd-Frank - The trends of futures market in global and asia-pacific region 	CFTC 講師
10:40 11:00	Refreshment Break 休息時間	
11:00 12:30	<p>專題研討(I)： <u>The trend of Fintech and its implications on the supervision</u> (全球金融科技新潮流下之金融監理趨勢)</p> <ul style="list-style-type: none"> - The impact of Fintech in the futures market and regulatory mechanism (Regulatory sandbox, Blockchain, Smart Contract, Algorithmic trading, High-Frequency trading) - Data collect and application in supervision - The challenge to Financial supervisory agency 	CFTC 講師
12:30 14:00	Lunch Time 中午提供餐盒用餐	

時間	主題	主講人*
14:00 15:30	專題研討(II)： <u>The development of central clearing mechanism of OTC derivative products</u> (店頭衍生性商品集中結算新制度) - CFTC regulations - Case study	CFTC 講師
15:30 15:50	Tea Break 休息時間	
15:50 17:00	專題研討(III)： <u>Anti-Money Laundering and Countering Terrorism Financing of Futures Industry</u> (洗錢防制及打擊資恐實務及案例) - Risk identification, evaluation and management - Status of supervision and control measures - The development of international financial crime and its type - Case study analysis	CFTC 講師
17:00 17:30	Questions and Answers	CFTC 講師

*本活動議程主題與主講人將配合 CFTC 建議保留調整之彈性。

八、研討會報名：

➤ 報名費用：

本研討會為**免費參加**，由於座位有限，請務必提早報名以便確保名額。

➤ 報名日期：

即日起至 7月11日(週四)截止，逾期不受理報名。

➤ 報名方式：

本研討會**限網路報名**，請至(財)證券暨期貨市場發展基金會網站 (<http://www.sfi.org.tw>) 報名。

➤ 服務專線：

(財)證券暨期貨市場發展基金會 人才培訓中心

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