附件3 (Annex 3)：

**“债券通”境外投资者业务申请表**

**Bond Connect Investors Business Application Form**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 法人机构或资产管理人全称（中文）  Legal Entity/Asset Manager Full Name (Chinese) | | ***与备案通知书中“投资者名称”一致; 若为产品请填写投资管理人信息*** | | |
| 法人机构或资产管理人全称（英文）  Legal Entity/Asset Manager Full Name (English) | |  | | |
| 债券账户全称（中文）  Full Name of Bond Account (Chinese) | | ***最大长度：90个中文字符/300个英文字符（包括空格和标点）***  ***90 Chinese characters/300 English characters at max, including spaces and punctuations***  ***如不适用，请填写 “不适用”***  ***Fill in N/A if inapplicable.*** | | |
| 债券账户全称（英文）  Full Name of Bond Account (English) | | ***最大长度：300个英文字符（包括空格和标点）***  ***300 English characters at max, including spaces and punctuations*** | | |
| 债券账户系统显示名称（如有）  Display Name of Bond Account (if applicable) | | ***最大长度：90个英文字符（包括空格和标点）***  ***90 English characters at max, including spaces and punctuations*** | | |
| 产品类型 （未备案产品必填）  Type of Product（Required field for non-registered product） | | * 银行产品 Product of Bank * 保险公司产品 Product of Insurance Company * 证券公司产品 Product of Securities Company * 基金管理公司产品 Product of Fund Management Company * 其他资产管理机构产品 Other Products of Fund Management Company * 其他中长期机构投资产品   Product of Other Mid and Long-Term Institution   * 其他 Others | | |
| 募集方式（未备案产品必填）  Means of Fundraising （Required field for non-registered product） | | * 公募Public □ 私募Private □ 投顾产品Mandate/SMA * 其他 Others | | |
| 资金来源  Source of Funds | | 单一资金来源：投资者名称  Single Source of Fund: Name of Investor  非单一资金来源：主要包括  Non-Single Source of Fund: Including | | |
| 产品成立日（未备案产品必填）  Product Foundation Date（Required field for non-registered product） | ***YYYY-MM-DD*** | | 产品到期日（未备案产品必填）  Product Maturity Date（Required field for non-registered product） | ***YYYY-MM-DD*** |
| 产品规模（未备案产品必填）  Product Assets（Required field for non-registered product） | | ***Currency Notional Million*** | | |
| 产品注册地  Product Issuance Place | |  | | |
| 境外托管路径  Overseas Custody Structure | | ***第一级***  ***Tier 1*** | | |
| ***第二级（如有）***  ***Tier 2 (if applicable)*** | | |
| ***……*** | | |
| ***最终级* 香港金管局债务工具中央结算系统**  ***Final* Central Moneymarkets Unit （CMU）** | | |
| 投资顾问机构（如有）  Investment Advisory Institution (if applicable) | |  | | |
| 产品追踪指数信息  Index tracker information for product | | * 是（Yes）   € 主动Active € 被动Passive  请说明（Please specify）:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   * 否（No） | | |
| 产品审批机构（如适用,未备案产品必填）  Licensing Authority of the Product  (Required field for non-registered product if applicable） | |  | | |
| 该产品是否是双渠道入市  Whether the product is already registered via CIBM Direct Model | | * 是（Yes） * 否（No） | | |
| **交易平台账户信息Information of Trading Account** | | | | |
| 交易平台名称  Name of Trading Platform | |  | | |
| 机构登录ID  Login ID at Entity level | |  | | |
| ID持有机构是否为申请人或申请人的投资管理人  Whether the owner of the Login ID is consistent with applicant entity or applicant’s Asset Manager | | * 是(YES) 注明ID持有机构名称   Fill in the entity’s full name   * 否(NO) 申请人确认（交易执行机构全称）   为实际交易执行机构，并向交易中心申请进行  相应系统设置。  we confirm (Entity’s full name)  is the Trading Execution Entity and requests  CFETS to conduct relevant settings. | | |
| 交易执行机构全称（中英文）  Full Name of Trading Execution Entity (Chinese & English) | | ***最大长度：90个中文字符/300个英文字符（包括空格和标点）***  ***90 Chinese characters/300 English characters at max, including spaces and punctuations*** | | |
| 交易执行机构注册国家或地区  Place of Registration (Country and/or Region) of Trading Execution Entity | | ***如不适用，请填写 “不适用’***  ***Fill in N/A if inapplicable.*** | | |
| 交易执行机构的机构类型  Type of Entity of Trading Execution Entity | | ***如不适用，请填写 “不适用’***  ***Fill in N/A if inapplicable.*** | | |
| …若有多个交易执行机构请继续添加 Add more information if there are multiple trading execution entities… | | | | |
| **CMU账户信息Information of CMU sub-account** | | | | |
| CMU会员名称  Name of Participating CMU Member | |  | | |
| CMU账户号码（如BANK123）  CMU sub-account number (e.g. BANK123) | |  | | |
| 是否授权该CMU会员（托管行）直接从CFETS接收该债券账户下的本方交易数据以用于结算与托管服务。  Whether the CMU member (the custodian bank) is authorized to directly receive the principal trade data of the Bond Account-bc from CFETS for use in the settlement and custodian services. | | * 是(YES) * 否(NO) | | |
| **资金账户信息Information of Cash Account** | | | | |
| 资金账户开户行  Name of Account-opening Bank | |  | | |
| 资金账户号码  Cash Account Number | |  | | |
| **交易员信息 Trader information** | | | | |
| 姓名  Name |  | | 国籍  Nationality |  |
| 办公电话  Office Telephone Number |  | | 电子邮箱  Email Address |  |
| 交易平台用户ID  Trader’s Login ID of Trading Platform(s) | ***如申请在多个平台交易，需注明不同平台对应的ID***  List all the relevant IDs if applying for multiple trading platforms | | | |
| **联系人 Contact Information** | | | | |
| 姓名  Name |  | | | |
| 联系电话  Contact Number |  | | | |
| 邮箱地址  Email Address |  | | | |
| （机构全称）已阅读、理解并同意遵守本表所附《关于投资中国银行间债券市场的合规承诺函》。  （Institution Name）have read and understood, and agree to be bound by the Compliance Commitment Statement for Investing in China Interbank Bond Market attached below. | | | | |
| 申请日期：  Application Date: | | | | |
| 盖章/负责人签字: Official Seal/Signature | | | | |

**备注：**

**Note：**

**本表格和承诺函为中英文双语。如有歧义以中文为准。**

This Business Application Form and Compliance Commitment Statement are facilitated with Chinese and English. If there is any discrepancy, Chinese should prevail.

**关于投资中国银行间债券市场的**

**合规承诺函**

**Compliance Commitment Statement for Investing in China Interbank Bond Market**

1. 本机构已阅读、理解并同意遵守中国相关法律法规、中国银行间债券市场相关政策法规和债券通规则；

We/I have read and understood, and agree to be bound by the applicable laws and regulations in China, relevant laws and regulations for the China Interbank Bond Market and Bond Connect Rules；

2. 签署本合规承诺函之日前的三年内，我司未曾因债券投资业务受到中国有关监管部门及所在司法辖区相关监管机构的重大处罚；

We/I hereby declare that it has not been subject to any major disciplinary action in relation to bond investment by relevant regulatory authorities of the People’s Republic of China and the jurisdiction(s) within three years prior to signing of this Compliance Commitment Statement.

3. 本机构具有与开展债券通交易相适应的健全的治理结构、完善的内控制度和经营行为规范；

We/I have in place a sound governance structure, effective internal controls and business conduct code for operating bond investment under Bond Connect；

4. 本机构开展债券通交易的资金来源合法合规，符合反洗钱、反恐怖融资、反逃税等国际国内相关规定；

The source of funding for bond investment under Bond Connect is legitimate. We/I are agreed to be bound by relevant laws and regulations of anti-money laundering, anti-terrorist financing and anti-tax evasion in China and foreign countries；

5. 本机构司具备相应的风险识别和承担能力，知悉并自行承担所有债券投资风险；

We/I are capable of identifying and tolerating relevant risks, and we are aware of and will accept all risks arising from bond investment。

6．本机构承诺对入市提交材料的真实性、准确性、完整性负责，无虚假记载、误导性陈述或重大遗漏。

We/I accept responsibility for the truthfulness, accuracy and completeness of the submission and declare that there is no false or misleading statement or material omission.

7. 本机构明示同意承担由于违反本承诺函引起的所有行政和法律责任。

We/I agree to accept all administrative and legal responsibilities that may arise from breaching this undertaking。

本承诺函受中华人民共和国（为本承诺函之目的，不包括香港特别行政区、澳门特别行政区及台湾省）的法律排他性管辖并据其进行解释。

This commitment is governed exclusively by the laws of the People’s Republic of China (for the purpose of this commitment, excluding Hong Kong Special Administrative Region, Macau Special Administrative Region and Taiwan) and shall be interpreted accordingly.