附件4（Annex 4）:

**债券通境外投资者信息变更表**

**Bond Connect Registration Update Form**

**债券账户全称: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Full name of Bond Account: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **内容 Content** | | | **变更前Original** | | | **变更后Updated** | | |
| “债券账户全称-bc”（中英文）  Full name of Bond Account-bc” (Chinese & English) | | |  | | |  | | |
| “债券账户简称-bc”（中英文）  Short name of Bond Account-bc”  (Chinese & English) | | |  | | |  | | |
| 投资者类型  Type of Entity | | |  | | |  | | |
| 资产管理人名称  Asset Management Name | | |  | | |  | | |
| 产品到期日变更  Fund Maturity Date | | | YYYYMMDD | | | YYYYMMDD | | |
| 境外托管路径  Overseas Custody Structure | 第一级  Tier 1 | |  | | |  | | |
| 第二级（如有）  Tier 2  (if applicable) | |  | | |  | | |
| …… | |  | | |  | | |
| 第 级  Final | |  | | |  | | |
| 托管人名称（Global）  Overseas Custodian Name | | |  | | |  | | |
| CMU会员名称  Name of Participating CMU Member | | |  | | |  | | |
| CMU会员代码  Member Code of Participating CMU Member | | |  | | |  | | |
| CMU账户号码  CMU sub-account number | | |  | | |  | | |
| 资金账户开户行  Name of Account-opening Bank | | |  | | |  | | |
| 资金账户号码  Cash Account Number | | |  | | |  | | |
| **现有交易平台信息更新Information update for Existing Platform**  请根据需要添加更多交易执行机构信息。Add more information if there are multiply trading execution entities | | | | | | | | |
| 交易平台名称  Name of Trading Platform | | |  | | |  | | |
| 机构登录ID  Login ID at Entity level | | |  | | |  | | |
| 变更后的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 updated 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) 因（原因）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。  Due to (reason), 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) | | |  | | |  | | |
| 交易执行机构简称（中英文）  Short Name of Trading Execution Entity (Chinese & English) | | |  | | |  | | |
| 第三方交易执行机构盖章/负责人签字: Official Seal/Signature of External Third-party Trading Execution Entity： | | | | | | | | |
| **交易平台信息 Access Platform Information**  *请选择 Please Select*  □ 变更交易平台 Access Platform Switch (请填写第一部分 Please fill in Part 1)  □ 新增交易平台Add New Access Platform (请填写第二部分 Please fill in Part 2)  □ 删减交易平台 Delete Access Platform (请填写第三部分 Please fill in Part 3) | | | | | | | | |
| **第一部分 Part 1—变更交易平台 Access Platform Switch** | | | | | | | | |
| **变更交易平台**  **Switch Trading Platform**  **由 From:**  **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **变为To:**  **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  ***备注：交易员在现有交易平台上的信息将会在债券通项下被停用。同时，交易员在新的交易平台上的注册信息会被激活。请填写所有相应的信息以便于系统对接。***  ***Note: Traders registered under existing/old access platform for Bond Connect will be deactivated. Traders to be registered under new platform will be activated. Please fill in all fields for successful mapping.*** | | | | | | | | |
|  | | | **现有平台 Existing Platform** | | | **新平台 New Platform** | | |
| 交易平台名称  Name of Trading Platform | | |  | | |  | | |
| 机构登录ID  Login ID at Entity level | | |  | | |  | | |
| ID持有机构名称  Entity owner of Login ID | | |  | | |  | | |
| **交易员信息 Trader Information**  本部分允许投资者添加、删除或迁移交易员。请根据需要添加更多交易员信息。  This section allows investors to add, delete or migrate traders. Please add additional sections if extra traders’ information is required. | | | | | | | | |
| **交易员—迁移（在新平台上新增，在现有平台上删除）**  **Trader— Migration (To be activated on New Platform & deactivated from Existing Platform)** | | | | | | | | |
| 交易员1 姓名  Full Name of Trader 1 | |  | | 国籍  Nationality | | |  | |
| 办公电话  Office Telephone | |  | | 电子邮箱  Email | | |  | |
| 交易平台用户ID  Trader’s Login ID of Trading Platform(s) | | 变更前 Before Amendment  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (*现有平台Existing Platform*) ID:  变更后 After Amendment  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (*新平台New Platform*) ID: | | | | | | |
| **交易员— 新增（现有平台上未设置该用户，现在新平台上新增）**  **Trader— Addition (No prior registrations. To be activated on New Platform)** | | | | | | | | |
| 交易员1 姓名  Full Name of Trader 1 | |  | | | 国籍  Nationality | | |  |
| 办公电话  Office Telephone | |  | | | 电子邮箱  Email | | |  |
| 交易平台用户ID  Trader’s Login ID of Trading Platform(s) | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (*新平台New Platform*) ID: | | | | | | |
| **交易员— 删除（现有平台上解激活该用户，新平台上不新增）**  **Trader— Deletion (Deactivate on Existing Platform & will not be activated on New Platform)** | | | | | | | | |
| 交易员1 姓名  Full Name of Trader 1 | |  | | | 国籍  Nationality | |  | |
| 办公电话  Office Telephone | |  | | | 电子邮箱  Email | |  | |
| 交易平台用户ID  Trader’s Login ID of Trading Platform(s) | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (*现有平台解激活Deactivate on Existing Platform*) ID: | | | | | | |
| **第二部分 Part 2— 新增交易平台Add New Access Platform** | | | | | | | | |
| **新增交易平台**  **Add Trading Platform(s)：**  **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  ***备注：适用于投资者新增交易平台信息。请填写所有相应的信息以便于系统对接。***  ***Note: Applicable for investors registering for an additional access platform. Please fill in all fields for successful mapping.*** | | | | | | | | |
|  | | | **现有平台 Existing Platform** | | | **新增平台 New Platform** | | |
| 交易平台名称  Name of Trading Platform | | |  | | |  | | |
| 机构登录ID  Login ID at Entity level | | |  | | |  | | |
| ID持有机构名称  Entity owner of Login ID | | |  | | |  | | |
| **交易员信息 Trader Information**  本部分允许投资者添加新平台上的交易员信息。请根据需要添加更多交易员信息。  This section allows investors to activate all traders registered at new access platform for Bond Connect. Please add additional sections if extra traders’ information is required. | | | | | | | | |
| **交易员—新增（在新平台上新增, 现有平台上的账户仍处于激活状态）**  **Trader— Addition (To be activated on New Platform. Account remains activated for Existing Platform.)** | | | | | | | | |
| 交易员1 姓名  Full Name of Trader 1 | |  | | 国籍  Nationality | | |  | |
| 办公电话  Office Telephone | |  | | 电子邮箱  Email | | |  | |
| 交易平台用户ID  Trader’s Login ID of Trading Platform(s) | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (*现有平台Existing Platform*) ID:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (*新增平台New Platform*) ID: | | | | | | |
| **第三部分 Part 3— 删减交易平台 Delete Access Platform** | | | | | | | | |
| **删减交易平台**  **Delete Trading Platform(s)：**  **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  ***备注：适用于投资者停止使用该平台。但非退市。***  ***Note: Applicable for investors terminating the use of a specific Access Platform only. This is not for exiting Bond Connect.*** | | | | | | | | |
|  | | | **现有平台 Existing Platform** | | | | | |
| 交易平台名称  Name of Trading Platform | | |  | | | | | |
| 机构登录ID  Login ID at Entity level | | |  | | | | | |
| ID持有机构名称  Entity owner of Login ID | | |  | | | | | |
| **交易员信息 Trader Information**  本部分允许投资者列出所有停止使用的交易员信息。请根据需要添加更多交易员信息。  This section allows investors to list all traders in the access platform to be deactivated. Please add additional sections if extra traders’ information is required. | | | | | | | | |
| **交易员— 删除（现有平台上解激活该用户）**  **Trader— Deletion (Deactivate on Existing Platform)** | | | | | | | | |
| 交易员1 姓名  Full Name of Trader 1 | |  | | 国籍  Nationality | | |  | |
| 办公电话  Office Telephone | |  | | 电子邮箱  Email | | |  | |
| 交易平台用户ID  Trader’s Login ID of Trading Platform(s) | |  | | | | | | |
| …若有更多交易员请继续添加相关信息 Please insert additional sections for more Traders’ information updates… | | | | | | | | |
| 备注事项 Others | | |  | | | | | |
| 拟变更日期（选填）  Date for update (optional) | | |  | | | | | |
| **联系方式 （必填）**  **Contact Information**  **(Compulsory)** | | | 申请人Applicant/电话Phone/地址Address/电邮Email | | | | | |

提交信息变更表时，请提供**PDF和Word**两个版本至债券通公司

Please submit the Registration Update Form in both **PDF and Word** versions to BCCL

<[info@chinabondconnect.com](mailto:info@chinabondconnect.com)>

**（申请单位盖章 Seal）**

**年Y月M日D**