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 |  | | | |
| 申请日期：  Application Date: | | | | |
| 盖章/负责人签字: Official Seal/Signature | | | | |

**备注：**

**Note：**

**本表格为中英文双语。如有歧义以中文为准。**

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