

附件 (Annex):

(参考模板)

“北向通”境外投资者债券回购业务申请表

Repo Business Application Form for Offshore

Investor under Northbound Bond Connect

重要声明： 本机构在此向中国外汇交易中心提交本表，保证在本申请表中所填写的内容不存在任何虚假记载、误导性陈述或者重大遗漏，并承诺对其真实性、准确性、完整性和有效性承担完全的法律 responsibility。

Important Declaration: By submitting this form to the China Foreign Exchange Trade System, we, the Legal Entity/Asset Manager, guarantee that the information provided in this Application Form is free from any false records, misleading statements, or material omissions and undertake to assume full legal liability for the authenticity, accuracy, completeness, and validity of the information provided.

机构基本信息 Basic information	
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 <i>The content shall be consistent with the “Name of the Investor” in the Filing Notice. Fill in the information of asset manager in the case of products.</i>
法人机构或资产管理人全称（英文） Legal Entity/Asset Manager Full Name (English)	
交易账户全称（中文） Full Name of Trading Account (Chinese)	The content shall be consistent with the Trading Account Name: Legal Entity Name or Legal full name of IM-ABCD (Legal full name of underlying account) 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
交易账户全称（英文） Full Name of Trading Account (English)	
业务权限类型申请 Type of Business Permission	☐ 债券回购请求报价 Repo Connect Quote Request
已签署主协议 Master Agreement Signed	☐ NAFMII ☐ GMRA
资金账户信息 Information of Cash Account	
支付系统行号 Payment System Bank Identifier	Pls refer to the List of BICs of Members from HKICL, the RMB-CHATS operator in HK.

	https://www.hkicl.com.hk/chi/information_centre/list_of_live_and_t&t_bics_of_members.php
资金账号 Cash Account Number	- Mandatory information - Fill in the Cash Account No (Funding Account) - The cash account used by offshore investors to receive cash from the first-tier custodian for NB Bond Connect
资金账户户名 Cash Account Name	Please specify the Name of Account Holder
资金开户行名称 Clearing Bank	Please specify the Name of Account-Opening Bank
交易平台账户信息 Information of Trading Account	
是否复用北向债券通平台信息 Whether the information is consistent with Northbound Bond Connect Trading Platform	☐ 是(YES) <u>(复用平台名称)</u> 若选择是, 请填写复用平台名称 If you choose YES, please fill in the name of the Northbound Bond Connect Trading Platform ☐ 否(NO) 若选择否, 请填写带*的平台信息 If you choose NO, please fill in the trading platform information as following with *. Please tick applicable option
*交易平台名称 Name of Trading Platform	* If you choose NO in the first column of this section, then this part is mandatory information
*机构登录 ID Login ID at Entity level	* If you choose NO in the first column of this section, then this part is mandatory information. Please tick applicable option and obtain from trading platform. This is an entity level ID (not trader ID).
*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) <u>注明 ID 持有机构名称</u> <u>Fill in the entity's full name</u> ☐ 否(NO) <u>申请人确认 (交易执行机构全称)</u> 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 <u>(Entity's full name)</u> is the Trading Execution Entity and requests CFETS to conduct relevant settings. * If you choose NO in the first column of this section, then this part is mandatory information. Please tick applicable option
*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 * If you choose NO in the first column of this section, then this part is mandatory information
*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. * If you choose NO in the first column of this section, then this part is mandatory information. Please state the country in which the trading execution entity is registered

*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” <i>Fill in N/A if inapplicable.</i> * If you choose NO in the first column of this section, then this part is mandatory information. Please state the country in which the trading execution entity is registered		
...若有多个交易平台请继续添加 Add more information if there are multiple Trading Platforms...			
交易员信息 Trader information			
是否复用北向债券通交易员信息 Whether the information is consistent with Northbound Bond Connect Trader	☐ 是(YES) <u>复用第三方交易员 ID</u> 若选择是, 请填写第三方平台交易员 ID, 可填写多个, 用逗号隔开 If you choose Yes, please fill in the Northbound Bond Connect Trader's Login ID, multiple IDs should be separated by commas ☐ 否(NO) 若选择否, 请填写带*的交易员信息 If you choose NO, please fill in the trader information as following with *. Please tick applicable option		
新增交易员信息: Add Trader information * If you choose NO in the first column of this section, then this part is mandatory 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		
...若有多个交易员请继续添加 Add more information if there are multiple Traders...			
联系人 Contact Information Mandatory information			
姓名 Name			
联系电话 Contact Number			
邮箱地址 Email Address			
(机构全称) 已阅读、理解并持续遵守《关于投资中国银行间债券市场的合规承诺函》所包含的全部承诺内容, 与中国人民银行及交易中心就境外机构投资者债券回购发布的相关规定、规则、细则及指南等业务文件, 及不时做出的补充或修订。 (Institution Name) have read and understood, and agree to be bound by the Compliance Commitment Statement for Investing in China Interbank Bond Market, as well as the relevant regulations, rules, provisions, and guidelines issued by the People's Bank of China and the China Foreign Exchange Trade			

System regarding Northbound Repo Connect, including any supplementary or amended documents made from time to time.

中国外汇交易中心同意 (机构全称) (无论是否使用计算机) 仅出于履行本申请表相关业务的目的记录、保留、自动处理和使用自身报价和交易数据, 前提是这些行为不会损害交易中心的声誉或利益。
China Foreign Exchange Trade System agrees (Institution Name) to record, retain, automatically process and use its own quotation and transaction data (whether or not using a computer) solely for the purpose of carrying out the business to which this application relates, provided that such actions do not damage the reputation or interests of CFETS.

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 bilingual in Chinese and English. If there is any discrepancy, the Chinese version shall prevail.