

附件 1:  
Appendix1:

**境外中介机构委托代理业务备案说明**  
**Statement of Filing of Futures Firm Member's or**  
**Overseas Special Brokerage Participant's**  
**Carrying-Brokerage Business for Overseas Intermediary**

上海国际能源交易中心:

Shanghai International Energy Exchange (the Exchange),

本公司\_\_\_\_\_（期货公司名称/境外特殊经纪参与者名称）已根据上海国际能源交易中心（以下简称“能源中心”）业务规则对境外中介机构的要求，选择了\_\_\_\_\_（境外中介机构名称），并与其签订了委托代理业务协议。\_\_\_\_\_（境外中介机构名称）将其客户参与能源中心特定品种期货交易业务委托给本公司执行。

In accordance with the criteria on Overseas Intermediaries as prescribed by the Shanghai International Energy Exchange (hereinafter referred to as the “the Exchange”), \_\_\_\_\_ (Futures Firm Member's Name/OSBP's Name) has entered into a written carrying-brokerage agreement with \_\_\_\_\_ (Overseas Intermediary's Name), under which \_\_\_\_\_ (Overseas Intermediary's Name) authorizes its Clients' trading orders of the specified futures contracts listed on the Exchange to our company for execution.

本公司现就接受\_\_\_\_\_（境外中介机构名称）的委托代理业务向能源中心进行备案。

We are now filing the carrying-brokerage service for \_\_\_\_\_ (Overseas Intermediary's Name) to the Exchange.

本公司已根据章程要求，完成本次备案所需的内部程序（ 年 月 日通过董事会决议/股东会）。本公司承诺我公司处于正常运营状态，具有良好的运营能力、诚信状况和社会声誉。我公司承认并遵守法律、行政法规、规章和能源中心业务规则及各项规定和决定。保证公司经营和经纪业务持续符合能源中心交易规则要求的交易业务资格条件。申请材料真实、准确、完整、合规，不包含虚假或者误导性陈述，并将按照规定办理相关手续。

On \_\_\_\_\_(yyyy/mm/dd), our filing business has been passed by the shareholders' general meeting/the meeting of the Board of Directors in accordance with the Articles of Association. We hereby certify that we are in normal operating conditions, with sound operational capacity, and are of good credit stand and reputation. We hereby acknowledge and covenant to abide by the laws, administrative regulations and ministerial rules, business rules and each of the provisions and decisions of the Exchange, and guarantee that the operation and brokerage business will satisfy the requirements as prescribed by the General Exchange Rules of the Exchange. All application materials are true, accurate, complete and valid, without any fraud and misleading statements.

公司: \_\_\_\_\_

Company: \_\_\_\_\_

法定代表人或授权代表人（签章）：

Legal Representative or Authorized Representative (signature/seal):

年月日

(YYYY/MM/DD)

附件 2:  
Appendix 2:

**境外中介机构委托代理业务备案表**  
**Filing Form of Futures Firm Member's or**  
**Overseas Special Brokerage Participant's**  
**Carrying-Brokerage Business for Overseas Intermediary**

一、基本信息 Basic Information

<b>期货公司会员 Futures Firm Member</b>	
中文名称 Chinese Name	
中文简称 (最多 4 字) Chinese abbreviation (Max 4 characters)	
会员号 Membership No.	
<b>或境外特殊经纪参与者 or Overseas Special Brokerage Participant</b>	
中文名称 Chinese Name	
英文名称 English name	如适用/If applicable
英文简称 (最多 8 位) English abbreviation (Max 8 letters)	
中文简称 (最多 4 字) Chinese abbreviation (Max 4 characters)	如适用/If applicable
参与者代码 OSBP No.	
<b>境外中介机构 Overseas Intermediary</b>	
英文名称 English name	
中文名称 Chinese name	如适用/If applicable
英文简称 (最多 8 位) English abbreviation (Max 8 letters)	
中文简称 (最多 4 字) Chinese abbreviation (Max 4 characters)	如适用/If applicable

公司注册证 Certificate of Incorporation/ 或者商业登记证 Business Registration Certificate	名称 Name		
	编号 Number		
纳税号(如有) Tax ID number (if applicable)			
注册资本 Registered capital		注册资本币种 Currency of registered capital	
注册生效日期 Date of commencement	YYYY/MM/DD	注册到期日期 Date of expiry	YYYY/MM/DD
英文注册地址 English Registration address			
中文注册地址 Chinese registration address	如适用/If applicable		
英文联系地址 English Mailing address			
中文联系地址 Chinese mailing address	如适用/If applicable		
联系电话 Tel.	(+country code)-area code-XXXXXXX		
期货经纪业务 资格名称 Name of futures brokerage business license	请以中文为主。若无有效中文名称，请提供英文信息 Chinese is preferred. If legal Chinese name is not available, please provide information in English		
发证国家 Issuing country	请以中文为主 Chinese preferred	发证日期 Date of issue	

发证机构 Issuing authority	请以中文为主 Chinese preferred	编号 License number	
发证国期货监管机构是否已与中国证监会签订监管合作谅解备忘录? <sup>1</sup> Has the financial regulatory authority of the issuing country signed a memorandum of understanding on supervisory cooperation with the China Securities Regulatory Commission? <sup>2</sup>			<input type="checkbox"/> 是/Yes <input type="checkbox"/> 否/No
<b>委托代理业务协议 Carrying-brokerage Agreement</b>			
协议签订日 Date of execution			
最低保证金标准 Minimum margin requirement			
手续费标准 Fee schedule			
境外中介机构是否在委托代理业务协议中承诺从事境内期货相关业务活动时遵守中国法律、行政法规、行政规章和能源中心业务规则及各项规定和决定，且不损害客户和市场其他参与者的合法权益？ Has the Overseas Intermediary undertaken in the carrying-brokerage agreement that it will comply with the PRC laws, administrative regulations and ministerial rules, business rules and each of the provisions and decisions of the Exchange, and it will not infringe any lawful rights and interests of its Clients and other participants in the market, when it carries out futures related business in the PRC?			<input type="checkbox"/> 是/Yes <input type="checkbox"/> 否/No

<sup>1</sup>中国证监会与境外监管机构签署的备忘录一览表

<http://www.csrc.gov.cn/pub/newsite/gjb/jghz/>

MOUs signed between CSRC and overseas financial regulatory authorities:

[http://www.csrc.gov.cn/pub/csrc\\_en/affairs/Cooperation/](http://www.csrc.gov.cn/pub/csrc_en/affairs/Cooperation/)

二、境外中介机构公司简介，可包括公司规模、经营范围、行业经验等

Introduction of the Overseas Intermediary, which may include company scale, business scope, industry experience, etc.

