

附件 1:

Appendix1:

境外经纪机构委托业务备案说明

Statement of Filing of Futures Firm Member's or Overseas Special Brokerage Participant's Carrying-Brokerage Business for Overseas Intermediary

大连商品交易所:

Dalian Commodity Exchange (the Exchange),

本公司_____（期货公司名称）已根据大连商品交易所（以下简称“大商所”）业务规则对境外经纪机构的要求，选择了_____（境外经纪机构名称），并与其签订了委托业务协议。_____（境外经纪机构名称）将其客户参与大商所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 Dalian Commodity Exchange (hereinafter referred to as the "the Exchange"), _____ (Futures Firm Member's Name) has entered into a written carrying-brokerage agreement with _____(Overseas Brokerage Firm's Name), under which _____(Overseas Brokerage Firm'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_____（境外经纪机构名称）的委托业务向大商所进行备案。

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

本公司声明，该境外经纪机构已经在 _____ 完成相关委托业务备案，备案号 _____，本公司保证所提交的备案材料复印件真实、完整——适用于已在境内其他期货交易所或者其他交易场所（交易中心）完成委托业务备案的情形

For the situation that the Overseas Brokerage Firm have already completed the filing for carrying brokerage business at other futures exchange(s) in China's mainland: We hereby certify that this Overseas Brokerage Firm has already completed the filing for the relevant carrying brokerage business at _____, the filing number is _____, we hereby certify that the submitted photocopy of the filing materials are true and complete.

本公司已根据章程要求，完成本次备案所需的内部程序。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、规章和大商所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大商所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。

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):

月 日

年

/DD)

(YYYY/MM

附件 2:

Appendix 2:

境外经纪机构委托业务备案表

Filing Form of Futures Firm Member's

Carrying-Brokerage Business for Overseas Brokerage Firm

一、业务备案基本信息 Basic Information

| 期货公司会员 Futures Firm Member | | |
|---|------------|--|
| 中文名称 Chinese Name | | |
| 中文简称 (最多 4 字) Chinese abbreviation (Max 4 characters) | | |
| 会员号 Membership No. | | |
| 境外经纪机构 Overseas Brokerage Firm | | |
| 英文名称 English name | | |
| 中文名称 Chinese name | | |
| 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) | | |
| 公司注册证或者商业 登记证 Certificate of Incorporation/ Business Registration | 名称 Name | |
| | 编号 | |

| | | | |
|---|---------------------------|---|--|
| Certificate | Certificate 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 | | 注册到期日期 Date of expiry | |
| 英文注册地址 English Registration address | | | |
| 中文注册地址 Chinese registration address | | | |
| 英文联系地址 English Mailing address | | | |
| 中文联系地址 Chinese mailing address | | | |
| 联系电话 Tel. | | | |
| 期货经纪业务 资格名称 Name of futures brokerage business license | | | |
| 发牌国家(地区) Issuing country | | 发牌日期 | |

| | | | |
|--|-------|----------------------|---|
| (region) | | Date of issue | |
| 发牌机构 Issuing authority | | 编号 License number | |
| 所在国(地区)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? ¹ Has the financial regulatory authority of the issuing country (region) signed a memorandum of understanding on supervisory cooperation with the China Securities Regulatory Commission? ² | | | <input type="checkbox"/> 是/Yes <input type="checkbox"/> 否/No |
| 委托业务协议 Carrying-brokerage Agreement | | | |
| 协议签订日 Date of Signing | 年 月 日 | | |
| 最低保证金标准 Minimum margin requirement | | | |
| 手续费标准 Fee schedule | | | |
| 境外经纪机构是否在委托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、行政规章和大商所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 Brokerage Firm 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 |

¹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/

二、境外经纪机构公司简介，可包括公司规模、经营范围、行业经验等

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

