

本次办理事项

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- 5. 证券账户开立 ☒
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基本情况 I Basic information I		
机构信息 Institutional Information	机构中英文名称 Name of Applicant (in Chinese and English)	
	机构类别 Category of institution	☐ 基金管理公司 (Fund Management Company) ☐ 证券公司/投资银行 (Securities Company/Investment Bank) ☐ 主权机构 (Sovereign Institution) ☐ 国际组织 (International Organization) ☐ 其他机构 (请列明具体类型) (Other Institution)
	注册国家或地区* Domicile of incorporation*	
	机构注册地址 Registered Address	
	邮编 Post Code	
	集团总部所在地 (如有) * Domicile of the headquarter(if applicable)*	
	主要业务所在地 (如有) * Domicile of main business(if applicable)*	
	成立时间 Date of incorporation	
	LEI编码 (如有) LEI code (if applicable)	

	注册资本* Registered capital*	
	所在国或地区监管机构名称* Name of regulatory authority at home jurisdiction*	
	金融业务牌照类型（如有） Type of financial business license (if applicable)	
	金融业务牌照类型（如有） Type of financial business license (if applicable)	
	金融业务牌照类型（如有） Type of financial business license (if applicable)	
	金融业务牌照类型（如有） Type of financial business license (if applicable)	
	法定代表人（ ） Legal Representative 授权签字人（ ） Authorized Signatory	

联系方式 Contact Info	证件种类 ID Certificate Type	
	证件号码 ID Certificate Number	
	联系人姓名 Contact Person's Name	
	职务 Title	
	电话 Tel Number	
托管人信息 Information of Custodian	托管人名称 Name of Custodian	
	联系Email地址 Email Address	
	托管行联系人 Contact Person of Custodian Bank	
	电话 Tel Number	

ny) ☐ 保险公司 (Insurance Company) ☐ 证券公司/投资银 k) ☐ 商业银行 (Commercial Bank) ☐ 主权类机构 International orgnization) ☐ 养老金 (Pension Fund) titution, please specify)

基本情况 II Basic information II						
基本情况 Basic information	1. 证券期货投资经验 1. Securities and futures investment experience	开始从事证券期货投资时间 Start date of investing in securities and futures				
		从事证券期货投资年数 Number of years of investing in securities and futures				
	2. 股权结构 (填写10%以上股东) 2.Shareholding Structure (Fill in information of shareholders who owns over 10%)		名称 Name	注册地或国籍 Domicile or Nationality	占比 Shareholding percentage	身份识别编码 Identification code
		股东1 Shareholder 1				
		股东2 Shareholder 2				
		股东3 Shareholder 3				
		股东4 Shareholder 4				
		股东5 Shareholder 5				
		股东6 Shareholder 6				
		...				
	3. 最终实际控制人（自然人、多个 一致行动关系的自然人、政府机构或 其他组织） 3. Ultimate actual controller (Individual, individuals acting in concert, state-owned enterprise or other organizations)	名称 Name				
		身份识别编码 Identification code				
		注册地或国籍 Domicile or Nationality				
	4. 财务和资信状况* 4. Financial and credit status*	净资产 Net asset				
		实收资本 Paid-in capital				
		或有负债（如有） Contingent liabilities(if				
		是否存在不能清偿到期债务的情形 Any debt that cannot be paid off				
		最近三年累计净利润 Accumulated net profits over last				
		主体评级情况（如有） Credit rating of entity (if				
		财务数据和资信状况时点 As of date of financial data and				
			规模 Scale	占比 Percentage		

		股票 Stocks				
		债券 Bonds				
		金融衍生品 Financial derivatives				
	5. 投资规模* 5. Investment Scale*	基金产品 Funds				
		现金 Cash				
		其他 Others				
		合计 Total				
		统计时点 As of date				
合规及关联机构情况 Compliance and concert parties	6. 诚信记录 7. Integrity record	最近三年受到全球各地监管机构或者行政、司法机关的重大处罚情况 Penalties imposed by regulatory agencies, administrative or judicial authorities globally over past three years				
		因涉嫌重大违法违规，目前正受到有关机关调查的情况 The situation that currently under investigation by relevant authorities due to suspected major violations of laws and regulations				
		关于治理结构、内部控制和合规管理制度健全有效的说明 Please illustrate that the applicant has sound and effective governance structure, internal control system, and compliance management regime				
	8. 同一控制下从事境内证券期货投资的境内外机构 8. Domestic or foreign institutions under the same control that have been engaged in securities and futures investment in mainland China	名称 Name	所在国家和地区 Domicile of incorporation	机构类型 Category of Institution	QFII、RQFII编码（如有） QFII, RQFII license number (if applicable)	LEI编码（如有） LEI code (if applicable)
...						
人员情况 Team members information	9. QFII/RQFII 业务负责人 9. Person in charge of QFII/RQFII business	姓名 Name				
		职务 Title				
		工作经历 Working experience				
		教育经历（从大学开始） Education Background (Starting from college)				
		符合申请人所在境外国家或者地区有关从业资格要求的情况（如有） Qualifications that fulfill the requirements of the applicant's domicile (if applicable)				
	10. QFII/RQFII 督察员 10. Compliance Officer of QFII/RQFII business	姓名 Name				
		职务 Title				
		工作经历 Working experience				
		教育经历（从大学开始） Education Background (Starting from college)				
		资格及培训情况 Qualifications and Training Records				
投资计划 Investment plan	11. QFII/RQFII 投资运作合规安排 11. Compliance arrangement for QFII/RQFII business					
	12. 计划投资总额 12. Estimated Overall Investment Amount					

填表说明：

1. 国际组织、主权基金、养老金豁免填写标*的内容。

2. 身份识别编码项，境外机构填写LEI编码，境外个人填写护照号码，境内机构填写组织机构代码，境内个人填写身份证号。

3. 第5项，投资规模计算标准为不短于1年的报告期内年初、年末平均值。

4. 第8项投资境内的机构包括：境内机构，QFII/RQFII，参与股票市场互联互通、基金互认、债券市场直接投资、债券通、特定货品种直接投资、券商跨境衍生品等投资的机构。

5. 第8项中的机构类型栏目，如为境外机构，请填写该机构投资境内的渠道，如QFII/RQFII、沪深股通、券商收益互换等

6. 如未特殊注明，金额单位均为亿元人民币。

Instructions for filling in the form:

1. International organizations, sovereign funds, and pension funds are exempt from filling in the content of highlighted with *.

2. For the identification code item, foreign institutions fill in the LEI code, foreign individuals fill in the passport number; domestic institutions fill in the organization code; and domestic individuals fill in the ID number.

3. For the investment scale section (item 5), fill in the average scale, which is calculated by both the amount at beginning of year and the end of year, for not less than one year.

4. Item 8: Institutions investing domestically include: domestic institutions, QFII/RQFII, and institutions participating in investments such as the Stock Connect fund mutual recognition, direct investment in the bond market, Bond Connect, direct investment in futures and options, and cross-border derivatives of securities firms, etc.

5. Item 8: Category of Institution column: if the institution is a foreign institution, please fill in the channel(s) through which it invests in the Chinese mainland, such as QFII/RQFII, Stock Connect, etc.

6. Unless otherwise specified, the financial unit is RMB 100 million.

投资计划（仅提供给证监会） Investment Plan (Only provided to CSRC)							
		账户一 Account 1	账户二 Account 2	账户三 Account 3	...	...	
账户情况 Account Information	账户名称 Account Name						
	账户类型 Account Category						
	账户资金性质 Fund source						
	投资顾问 Investment Advisor						
	投资顾问身份识别编码（如有） Investment Advisor Identification code (if any)						
投资策略 Investment Strategy	该账户在QFII/RQFII下的投资策略 Investment Strategy of this account under QFII/RQFII Scheme						
	股票策略Stock						
	债券策略Bond						
	市场中性Market Neutral Strategy						
	期货期权策略 Futures and Options						
	宏观策略 Macro Strategy						
	事件驱动策略Event-Driven Strategy						
	FOF						
	其他（请具体说明）Others（Please specify）						
公司全球投资风格和策略 Global Investment Style and Strategy of applicant							

	证券交易所融资融券、转融通证券出借交易计划 Plan for Margin Trading, Securities Financing and Securities Lending under Exchange												
资产配置计划（填写比例范围） Asset Allocation Plans (Fill in percentage)		账户一 Account 1		账户二 Account 2		账户三 Account 3		...		...		总体 Total	
		最小值 Min	最大值 Max	最小值 Min	最大值 Max	最小值 Min	最大值 Max	最小值 Min	最大值 Max	最小值 Min	最大值 Max	最小值 Min	最大值 Max
	股票 Stocks												
	股票类公募基金 Stock Public Offering of Funds												
	新三板股票 Stocks listed on NEEQ												
	投资级债券 Investment-grade Bonds												
	高收益债券 High-yield Bonds												
	债券类公募基金 Bond Public Offering of Funds												
	其他固定收益类产品 Other Fixed-Income Instruments												
	私募投资基金 Private Investment Funds												
	商品期货 Commodity Futures												
	股指期货 Stock Index Futures												
	国债期货 CGB Futures												
	股指期权 Index Options												
	ETF期权 ETF Options												
	商品期权 Commodity Options												
	其他衍生品 Other Derivatives												
	债券回购 Bond Repos												
	货币市场基金 Money Market Funds												
	外汇衍生品 FX Derivatives												
	其他 Others												

对冲基金申请人问卷（对冲基金申请人填写） Questionnaire for Hedge Fund Applicants（Hedge Fund Applicants Only）	请简述对中国市场的长期看法 Please briefly explain your long-term view of the China's	
	请简述境内投资的合规和风险管理安排 Please briefly describe the compliance and risk management arrangements for QFII\RQFII investment.	
	境内投资是否包含空头策略、量化策略，如有请详细介绍 Does the QFII\RQFII investment include short-term strategies and quantitative strategies? If any, please describe in	
	境内投资是否包含程序化交易？如有请详细介绍并承诺将持续关注交易所关于程序化交易的规定，并及时配合调整合规安排 Does QFII\RQFII investment include programmatic trading? If any, please describe in detail and commit to constantly pay attention to the change of regulations announced by Exchanges regarding programmatic trading, and commit to adjust the compliance arrangement in time.	
	请介绍该基金的产品结构，是否有分层、分级等安排 Please introduce the product structure of the fund and is there any hierarchy or classification arrangements?	
	请列举目前持有该基金份额超过 10%的全部主体 Please list all entities that currently hold more than 10% of the fund.	

证券期货账户开立申请表

Securities/Futures Account Opening Application Form

Disclaimer: To avoid ambiguity, the Chinese version of this Application Form shall prevail, while the English translation is for reference only.

身份信息 ID Information					
投资者名称Investor Name	按命名规则填写 Conform to Naming Requirements		国籍或地区Nationality/Region		(由托管人填写 Filled in by the Custodian Bank)
许可证号 QFI Liscence ID	(由托管人填写 Filled in by the Custodian Bank)				
基本信息 General Information					
简称 Abbreviation of Name		到期日期 Maturity Date	☐ 年/Y 月/M 日/D		
投资者类别 Investor Type	☐ 合格境外机构投资者QFII ☐ 人民币合格境外机构投资者RQFII				
结算模式 Settlement Mode	☐ 证券公司结算模式Settled via a Securities/Futures Company				
	☐ 托管行结算模式Settled via a Custodian Bank				
		托管行Custodian Bank		委托交易证券期货经营机构Securities/Futures Company	
		名称Name	清算编号/托管单元号Clearing Number/Custodian Unit Number	名称Name	交易单元号Trading Unit Number
	上海市场Shanghai Market				-----
	深圳市场Shenzhen Market				
主托管行 Primary Custodian Bank	名称Name	(由托管人填写 Filled in by the Custodian Bank)			
	身份证明文件类别ID Type	(由托管人填写 Filled in by the Custodian Bank)			
	身份证明文件号码ID No.	(由托管人填写 Filled in by the Custodian Bank)			
证券账户开立Securities Account Opening					
☐ 一码通账户Unified Account Platform (UAP) Account ☐ A股账户A-share Account ☐ 衍生品合约账户 Derivatives Contracts Account ☐ 其他Others ()					
备注Remarks: 注明不同市场开户数量 Please specify the number of accounts to be opened in different markets.					

期货人员信息Information of Designated person for Futures Trading			
期货经纪商 Name of Appointed Futures Broker		期货交易指定下单人 Designated Order Placer for Furures Trading	姓名 Name: 证件号 ID No. : 联系电话 Tel: 地址 Address:
期货交易资金调拨人 Designated Fund Allocator for Futures Trading	姓名 Name: 证件号 ID No. : 联系电话 Tel: 地址 Address:	期货交易结算单确认人 Designated Futures Settlement Statement Confirmer	姓名 Name: 证件号 ID No. : 联系电话 Tel: 地址 Address:

证券账户业务办理须知

Securities Account Business Instructions

1. 中国证券登记结算有限责任公司（以下简称中国结算）及其委托的开户代理机构，负责为投资者开立证券账户，用于记录证券账户持有人的证券（含证券衍生品）持有及其变动情况，并提供证券账户查询、变更、注销以及关联关系确认等账户业务服务。China Securities Depository and Clearing Corporation Limited (hereinafter referred to as CSDC) and its authorized account-opening agencies (hereinafter referred to as Authorized Agencies) are responsible for opening securities accounts for investors, with the purpose of recording investors’ holdings of securities (including securities derivatives) and their changes, and providing related account services such as securities account inquiry, info amendment, closing, confirming the association between the Unified Account Platform (UAP) account and corresponding sub-accounts (hereinafter referred to as Association) .
2. 投资者开立和使用证券账户应当遵守国家有关法律法规、行政规章以及中国结算《证券账户管理规则》及相关自律规则等有关规定。投资者在申请开立证券账户前，应当仔细阅读本须知及业务申请表。投资者签署业务申请表后，表示其已经认真阅读并同意接受本须知条款。对于拒绝签署申请表的投资者，中国结算或其委托的开户代理机构拒绝为其开立证券账户。Investors shall comply with the applicable laws and regulations, administrative regulations, the Securities Account Management Rules of CSDC and other relevant rules when opening and using securities accounts. Before applying for opening securities accounts, investors shall carefully read the Securities Account Business Instructions (hereinafter referred to as the Instructions) and the Application Form. By signing the Application Form, investors acknowledge that they have carefully read and agreed to the terms and conditions of the Instructions. For investors who refuse to sign the Application Form, CSDC or its Authorized Agencies will decline to open securities accounts for them.
3. **投资者应当依法依规实名开立证券账户。**投资者提交开户申请时，应当提供真实、准确、完整、有效的开户信息及申请材料，并对材料的真实性、准确性、完整性、有效性负责。投资者应对中国结算或开户代理机构录入的证券账户信息予以确认并对确认结果负责。**投资者因违规开立证券账户导致的相应经济损失和法律责任由其本人承担。Investors shall open securities accounts under their real name in accordance with laws and regulations.** When submitting an account-opening application, investors shall provide authentic, accurate, complete and valid account-opening information and other application materials, and be responsible for their authenticity, accuracy, completeness and validity. **Investors shall confirm the information recorded by CSDC or its authorized Agencies and be responsible for the confirmations made by the investors themselves. Investors shall be held liable for relevant financial losses and legal liabilities due to opening or using securities accounts against the applicable regulations.**
4. 中国结算及其委托的开户代理机构对投资者所提供的开户申请材料进行形式审核，可通过身份证阅读器或公安部身份证核查系统、机构信息核查系统、电信运营商等核验投资者提供的各项信息。前述审核行为并不表明对投资者所提供的业务申请材料作出真实性判断或者保证。CSDC and its Authorized Agencies only make formality examination on the application materials submitted by investors, and may verify the information received from investors through ID Card readers, the ID Card Authentication System provided by the Ministry of Public Security of PRC, the Institution Information Authentication System, telecommunications operators and other channels. The aforementioned examination does not constitute a judgment or guarantee by CSDC regarding the authenticity of the application materials provided by investors.
5. 投资者办理证券账户开立时，统一账户平台将根据开户代理机构的申报建立新开证券账户与一码通账户之间的关联关系。When investors apply for opening a securities account, the Association will be established between the newly-opened securities account and the Unified Account Platform (UAP) account on the UAP platform according to the application made by the Authorized Agencies.

6. 投资者应当使用实名开立的账户进行交易，不得违反规定出借自己的证券账户或者借用他人的证券账户从事证券交易。中国结算及其委托交易的证券公司有权通过调查、回访等方式了解投资者账户使用情况，投资者应积极配合，提供核实账户使用情况的必要资料。为确保账户安全，对于发现或有合理怀疑存在投资者非实名使用账户并涉及违法违规行为的，中国结算及其委托交易证券公司有权暂停为其提供相关账户服务，直至核查完成。投资者因不配合调查回访、违规使用证券账户导致的相应经济损失和法律责任由其本人承担。 Investors shall conduct transactions through securities accounts opened under their real names, and shall not, in violation of regulations, lend their securities accounts or use others' securities accounts to engage in securities trading. CSDC and its Authorized Agencies have the right to investigate the use of securities accounts through surveys, follow-up interviews, etc., whereby investors shall cooperate and provide the necessary materials for verifying account usage.. CSDC and its authorized Agencies have the right to investigate the use of securities accounts through surveys, follow-up interviews, etc. Investors shall cooperate and provide the necessary materials for verifying account usage. To ensure account security, for any investors found or reasonably suspected of using an account that is not under their real names, or being involved in any activities that violate applicable laws and regulations, CSDC and its Authorized Agencies have the right to suspend account services until the investigation is completed. Investors who refuse to cooperate with the investigation, or use securities accounts against relevant regulations will be held liable for relevant financial losses and legal liabilities incurred thereof.
7. 中国结算及其委托的开户代理机构有权依据《证券账户管理规则》等有关规定认定为不合格账户；对满足休眠条件的证券账户进行休眠处理。CSDC and its Authorized Agencies are entitled to classify certain securities accounts into unqualified accounts according to the Securities Account Management Rules and other relevant rules, and place securities accounts which meet dormancy criteria into dormant status.
8. 发生以下情形时，中国结算及其委托的开户代理机构可以对投资者相关证券账户采取限制新开户、限制证券买入或卖出、限制转托管或转指定、不予办理新业务等限制使用措施，由此产生的相应经济损失和法律责任由投资者本人承担：（1）投资者未按要求进行关联关系确认；（2）投资者未及时按照有关规定变更或补充证券账户信息；（3）因投资者身份由境内居民变更为境外居民等情形而不再符合有关开户条件；（4）投资者相关证券账户被认定为不合格账户；（5）投资者存在出借或借用证券账户行为的；（6）法律法规、行政规章、中国证监会及中国结算规定的其他情形。In any of the following cases, CSDC and its Authorized Agencies are entitled to take measures for restricted use of securities accounts such as restrictions on new securities account opening, securities sell and buy trade, and change of custodians or designated brokers, and to refuse to handle new applications: (1) an investor fails to confirm his/her securities account Association as required; (2) an investor fails to timely update or supplement securities account information according to relevant provisions; (3) an investor no longer satisfies the requirements for account opening due to changes in nationality; (4) an investor's securities accounts are classified as unqualified accounts; (5) an investor engages in lending of his/her own securities accounts or borrowing of others' securities accounts; and (6) any other circumstances as specified in laws and administrative regulations or as stipulated by the China Securities Regulatory Commission and CSDC. In these cases, relevant financial losses and legal liabilities shall be born by the investors.
9. 投资者申请注销证券账户时，应当确保满足注销条件，并不得使用注销账户申报交易。证券账户注销后不可恢复使用。对投资者违反注销规定而因此产生的相应经济损失和法律责任由投资者本人承担。When applying for closing securities accounts, investors shall make sure that their accounts meet the account-closing conditions and shall not use the closed accounts to submit any trade orders. Once an account is closed, it shall not be reinstated. Investors shall be held liable for relevant financial losses and legal liabilities due to closing securities accounts against applicable rules.
10. 发生以下情形时，投资者、证券资产合法继承人或继承人等相关当事人应当按要求及时注销证券账户，未按要求注销的，中国结算及其委托的开户代理机构可以对投资者相关证券账户予以注销，由此产生的相应经济损失和法律责任由投资者、证券资产合法继承人或继承人等承担：（1）自然人投资者死亡、机构投资者主体资格丧失、产品到期或被终止的；（2）不合格账户无法规范为合格账户的；（3）因投资者身份由境内居民变更为境外居民等情形而不再符合开户条件的；（4）连续 10 年（含）以上未使用的；（5）法律法规、行政规章、中国证监会及中国结算规定的其他情形。In any of the following cases, investors, legitimate inheritors or successors of investors' securities assets and other relevant parties shall promptly close their securities accounts according to relevant regulations: (1) death of natural persons, disqualification of institutional investors, maturity or termination of financial products; (2) failure of disqualified accounts to be reclassified as qualified accounts; (3) failure to meet the account opening conditions due to changes in investors' nationality; (4) accounts not used for 10 consecutive years or more; (5) any other circumstances as specified in laws and administrative regulations or as stipulated by the China Securities Regulatory Commission and CSDC. If not properly closed, CSDC and its Authorized Agencies are entitled to close such accounts and relevant financial losses and legal liabilities shall be born by investors, legitimate inheritors or successors of investors' securities assets, etc.
11. 中国结算及其委托的开户代理机构对投资者开户及实名制核查材料负有保密责任，不得违规对外提供。CSDC and its Authorized Agencies owe the duty of confidentiality to investors in respect of the securities account opening application and real-name verification materials, and shall not provide such materials to others against regulations.
12. 因不可抗力而引起的业务办理错误，中国结算及其委托的开户代理机构不承担任何责任。CSDC and its Authorized Agencies shall not be held liable for errors caused by force majeure.
13. 中国结算修订账户业务规则及本须知时，应当公告提示，无须知会申请人和证券账户持有人。申请人和证券账户持有人应当按照修订后的业务规则及须知执行。In case of amendment to the Securities Accounts Management Rules and the Instructions by CSDC, an announcement shall be made publicly without the need to individually notify any applicant or securities account holder. Applicants and securities account holders shall abide by the amended Securities Accounts Management Rules and the Instructions.

14. 中国结算是根据《中华人民共和国证券法》《证券登记结算管理办法》履行证券登记、存管与结算等法定职能的证券登记结算机构。为履行法定职责、开展证券登记结算业务之需要，中国结算将根据相关法律法规、业务规则和监管部门的要求，处理申请人和证券账户持有人在证券登记结算业务过程中提供和产生的个人信息。中国结算在如下情形向其他主体提供的相关信息中可能包含个人信息：（1）向中国证监会或其授权单位提供证券登记结算信息；（2）向证券发行人提供证券持有人名册信息；（3）根据司法机关、监察机关等有权机关要求向其提供投资者证券账户信息。中国结算将在为实现上述处理目的所必要的最小范围内收集和使用个人信息。在业务开展过程中，中国结算将严格遵循《中华人民共和国网络安全法》《中华人民共和国数据安全法》《中华人民共和国个人信息保护法》等数据保护相关的法律法规和标准指引，采取合理可行的措施保护个人信息安全。相关个人信息主体对于中国结算处理个人信息有任何问题、意见或建议，请拨打业务咨询电话：4008-058-058。CSDC is a securities registration and clearing institution that performs legal functions such as securities registration, custody, and settlement in accordance with the Securities Law of the People's Republic of China and the Measures for the Administration of Securities Registration and Settlement. To fulfill its legal responsibilities and carry out securities registration and clearing business, CSDC will handle personal information provided and generated by applicants and securities account holders during the securities registration and clearing business process in accordance with relevant laws, administrative regulations, business rules, and regulatory requirements. The relevant information provided by CSDC to other entities in the following situations may contain personal information: (1) providing securities depository and clearing information to the China Securities Regulatory Commission or its authorized organizations; (2) providing the list of securities holders to securities issuers; (3) providing investors' securities account information as required by judicial authorities, supervisory authorities, and other authorities. CSDC will collect and use personal information within the minimum scope necessary to achieve the above purposes. When conducting its businesses, CSDC will strictly follow the relevant laws, legislations, administrative regulations, standards, and guidelines for data protection, such as the Cybersecurity Law of the People's Republic of China, the Data Security Law of the People's Republic of China, and the Personal Information Protection Law of the People's Republic of China, and take reasonable and feasible measures to protect the security of personal information. For any questions, comments, or suggestions regarding the handling of personal information by CSDC, please call the business inquiry hotline: 4008 - 058 - 058.

本申请人及董事会，法定代表人或授权人员承诺： 1. 本申请所载材料不存在任何虚假记载、误导性陈述或者重大遗漏，我们对内容的真实性、准确性和完整性承担法律责任。 2. 申请人获得QFII/RQFII资格后，财务、资信状况，合规情况发生重大变化的，投资计划发生重大变更的，将及时更新有关信息。 3. 申请人承诺对同一控制下所有投资境内的主体依法实施合并持股监控。 4. 申请人承诺遵守境外投资者持股比例限制有关规定。 5. 申请人承诺遵守QFII/RQFII制度下所有适用的税收法规和规则。 6. 申请人及其关联机构未在境内开展过任何非法证券投资或经营活动。 7. 根据监管要求，报告在境外开展的与境内证券期货投资相关的对冲交易头寸等信息。 8. 在市场出现极端情况时，根据监管要求报送投资于境内的基金的在岸和离岸持仓信息。 9. 投资行为与投资计划书保持一致，如有变化事前向中国证监会更新投资计划。 10. 申请人已阅读并承诺严格遵守《证券账户业务办理须知》，不通过证券账户下设子账户、分账户、虚拟账户等方式违规进行证券交易。 The applicant and the board of directors, the legal representative or authorized signatory commit: 1. The application materials do not contain any false records, misleading statements or major omissions, and we take legal responsibility for the authenticity, accuracy and completeness of the content. 2. After the applicant obtains the QFII/RQFII qualification, if there are any major changes in the financial and credit status, compliance status, or major changes in the investment plan, the relevant information will be updated timely. 3. The applicant commits to monitor the aggregated shareholdings collectively for concerted parties under the same control. 4. The applicant commits to comply with the shareholding restriction requirements for foreign investors. 5. The applicant commits to comply with all the applicable tax regulations and rules under the QFII/RQFII regime. 6. The applicant and concert parties do not conduct any illegal securities investments or operating activities in mainland China. 7. According to regulatory requirements, to report information on hedging trading positions related to domestic securities and futures investments carried out overseas. 8. In the extreme market conditions, to report both onshore and offshore positions for the funds investing in China in accordance with regulatory requirements. 9. To keep the investment activities consistent with the investment plan, and update the investment plan with the China Securities Regulatory Commission in advance if there is any change. 10. The applicant has read and hereby undertake to strictly abide by the Securities Account Business Instructions, and shall not to engage in securities trading in violation of regulations through setting sub-accounts, branch accounts, virtual accounts, or other means under the applicant's securities accounts.	法定代表人或授权人员签字： Legal Representative / Authorized Signer's Signature:
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