

合格境外机构投资者境内证券投资申请表

编号(No):

合格境外机构投资者境内证券投资申请表

APPLICATION FORM FOR QUALIFIED FOREIGN INSTITUTIONAL INVESTORS (QFIIs)

致: _____

To: _____

申请人: _____

Applicant: _____

重要声明: 本申请人董事会保证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, 并对内容的真实性、准确性和完整性承担法律责任。

ACKNOWLEDGEMENT: The applicant's Board of Directors hereby guarantees that this Application contains no falsehoods, misleading statements or material omissions, and shall be liable for the truthfulness, accuracy and completeness of the contents.

填表日期(Date): _____

(说明: 除非另有标明, 请用中文填写本表。)

(Please fill out this Form in Chinese, unless otherwise stated.)

机构名称 Name of the Applicant	中文: English:
托管人名称 Name of the Custodian Bank	中文: English:
申请额度 Intended investment quota	

机构类别 Institution category	基金管理机构 Fund management institution	
	保险公司 Insurance company	
	证券公司 Securities company	
	商业银行 Commercial bank	
	其他机构(请说明) Other institution (please specify)	
成立时间 Time of establishment		
注册地址 Domicile of incorporation	中文: English:	
所在国家或地区注册证书号 Business License No. at home jurisdiction		所在国家或地区资产管理业务许可证号 Asset Management Certificate No. at home jurisdiction
所在国家或地区经核准的业务范围 Approved business scope at home jurisdiction		
开始经营金融业务的时间、地点和业务类型 Commencing date, location and category for financial business		
上一会计年度实收资本 Paid-in capital in the latest accounting year		
最近一个会计年度管理的证券资产规模 Assets under management in the latest accounting year		
所在国家或地区监管机构名称 Name of the home regulatory authority	中文: English:	

<p>近三年内是否受到所在国家或地区监管机构的处罚。如有，请说明</p> <p>Any penalty from the home regulator in recent 3 years, if any, please specify.</p>	
<p>从业人员符合所在国家或地区从业资格要求的情况</p> <p>Professional qualifications status of the Applicant's employees</p>	
<p>主要股东名称、注册地、股权比例（可用英文）</p> <p>Names, domicile and percentage of major shareholders (in English if necessary)</p>	
<p>主要关联机构的名称、注册地</p> <p>Names and domiciles of major affiliates</p>	<p>中文：</p> <p>English:</p>
<p>申请人法定代表人或其授权代表姓名及其签名(可用英文)</p> <p>Name and signature of legal representative or his/her authorized representative of the Applicant (in English if necessary)</p>	
<p>托管人代表及其签名(可用英文)</p> <p>Name and signature of the Custodian representative (in English if necessary)</p>	
<p>合格投资者联系人（可用英文）： QFII's contact person (in English if necessary): 电话： Tel: 传真： Fax: 电子邮件： E-mail:</p>	

托管人联系人（可用英文）：

Custodian' s contact person (in English if necessary):

电话：

Tel:

传真：

Fax:

电子邮件：

E-mail:

<p>附件 Attachments</p>	<p>1、合格投资者申请书 Letter of Application for QFII</p> <p>2、申请人授权托管人办理申请事宜的授权委托书 The Applicant's Letter of Authorization to the Custodian for the application of QFII</p> <p>3、托管人对申请人是否符合《暂行办法》规定的资格条件的说明 Custodian's statement on the applicant's qualification according to Provisional Measures on Administration of Domestic Securities Investments of Qualified Foreign Institutional Investors</p> <p>4、与托管人签订的托管协议草案 Draft Custody Agreement signed with the Applicant's Custodian</p> <p>5、申请人所在国家或者地区相关主管部门核发的营业执照和金融业务许可证 Business License and Financial Business License by relevant authorities at the applicant's home jurisdiction</p> <p>6、申请人的公司章程和内部控制制度 Articles of Association and internal control system of the applicant</p> <p>7、申请人主要从业人员的从业资格及其最近3年是否受到执业所在国家或者地区监管机构处罚的情况说明 Statements on the key staff's professional qualification and substantial penalties (if any) imposed by the competent regulator at operation venue over the recent three years.</p> <p>8、申请人最近3年是否受到所在国家或地区监管机构处罚的说明 Statement on any substantial penalties imposed on the applicant by its home regulator over the recent three years</p> <p>9、资金来源说明书及批准时间内不撤资承诺函 Statement on sources of the funds and Letter of Undertaking promising not to withdraw funds during the approved period</p> <p>10、最近三年经审计的财务报表和其他证明申请人符合《暂行办法》第七条规定的文件 Audited financial reports for the most recent 3 years and other supporting documents on the applicant's compliance with Article 7 of Provisional Measures</p> <p>11、申请人或其关联方如在申请前已在中国境内设有分支机构、独资或合资企业，直接或者间接开展银行、证券及保险业务活动的，应当说明有关情况 If applicable, documents to specify that the applicant or its affiliates have established branches, wholly-owned enterprises and joint ventures, or are engaged in banking, securities and insurance in P.R.C. directly or indirectly prior to the application</p> <p>12、中国证监会根据审慎监管原则要求的其他文件 Other documents as required by CSRC based on prudent regulatory principles</p>
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