

Member Business Guidance

Documents required for new member application

- Document of CSRC to approve the establishment of the company
- Document of CSRC to approve the establishment of business office
- Application for membership (affixed with the company's seal)
- Membership application form (Form 1, 2, 3)
- Company's business permit and license (duplicate, affixed with company's seal)
- Business office's business permit and license(duplicate, affixed with the company's seal)
- CV of legal person and major responsible person
- Company's constitution and rules and regulations
- Audited financial statement in the last two years

Documents required for registration of new business office

- Document of CSRC to approve the establishment of new business office
- Application for registration of new business office (affixed with the company's seal)
- Business office's securities business permit and business license (duplicate, affixed with the company's seal)
- Tonfirmation letter for business office's basic information
- Application for seat linkage(change)
- Application for debt clearing seat change
- Application form for business office's seat change (registration)

Documents required for new seat application

- Document of CSRC to approve the establishment of new business office
- Application for new seat
- Business office's securities business permit and business license
- Confirmation letter for business office's basic information
- Application form for seat linkage (change)
- Application form for debt clearing seat change
- Application form for business office's seat change (registration)

Documents required for seat resumption

- Application for seat resumption
- Registration form for seat resumption
- Registration form for seat linkage (change)
- Confirmation letter for business office's basic information

Documents required for application for special seat of equity mortgage

- Document of PBOC to approve the equity mortgage business
- Authorized letter of PBOC to deal in equity mortgage business
- Application for special seat
- Business license
- Documents of internal control system and unified credit system
- Profile of related department and executives
- Overview of business management information system
- Confirmation letter for business office's basic information
- Application form for seat linkage (change)
- Application form for debt clearing seat change
- Registration form for business office's seat change (registration)

Documents required for member's name change application

- Document of PBOC to approve the equity mortgage business
- Authorized letter of PBOC to deal in equity mortgage business
- Document of CSRC to approve company's name change
- Application for company's name change
- Application (name change) form for SSE member
- Company's securities business permit and business license after name change
- Business office's securities business permit and business license after name change
- CV of legal person and major responsible person
- Company's constitution and rules and regulations

Documents required for business office's name change

- Document of authorized department of CSRC to approve business office's name change
- Company's application
- Business offices' securities business permit and business license after name change

- Application form for seat linkage (change)
- Confirmation letter for business office's basic information
- (change) Registration form for business office's seat

Documents required for seat transfer application

- Application for seat transfer (sealed by both parties)
- Business offices' securities business permit and business license
- Seat transfer agreement
- Application form for seat linkage (change)
- Confirmation letter for business office's basic information
- (change) Registration form for business office's seat
- Application form for debt clearing seat change (between different members)

Note:

a. seat transfer is available to either transfer within a member or between members;

b. The documents mentioned above are referred to seat transfer between members;

In case of seat transfer within a member, seat transfer agreement and application form for debt clearing seat change stated above are not required.

Documents required for application of member seat rented by fund management company

- Member's application
- Fund management company's application
- Member company's securities business permit and business license
- Application for seat transfer (sealed by both parties)
- Fund management company's business permit and license
- Seat rent agreement between fund management company and securities firm
- Registration form for seat specially used by fund management company
- Seat linkage (change) form (completed by both parties)
- Confirmation form for fund clearing
- Confirmation form for debt clearing change

Documents required for membership cancellation

- Document of PBOC/CSRC to cancel the company
- Application for membership cancellation
- Registration form for business office's seat (change) registration

Documents required for cancellation of business office

- Member's application for cancellation of business office
- Application form for seat linkage (change)
- Business office' seat change (registration) form

Documents required for seat cancellation

- Member's application for seat cancellation
- Application form for seat linkage (change)
- Business office' seat change (registration) form

Documents required for seat suspension

- Member's application for seat suspension
- Registration form for member seat suspension
- Application form for seat linkage (change)