**CFFEX Hedging and Arbitrage Quotas Application Form**

**(Equity Index Futures)**

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| --- | --- | --- | --- | --- | --- |
| **I. Applicant Information** | | | | | |
| Name of Applicant (corresponding to the trading code) |  | Date of Application | |  | |
| Hedging Client No. |  | Arbitrage Trading Client No. | |  | |
| Carrying Member Name (abbreviation) |  | Carrying Member No. | |  | |
| Member Contact |  | Member Contact Tel. | |  | |
| Custodian Bank Contact | *(required for QFII and RQFII)* | Custodian Bank Contact Tel. | | *(required for QFII and RQFII)* | |
| Applicant Contact |  | Applicant Contact Tel. | |  | |
| Investment Manager | *(**required for special institutional clients)* | Investment Manager Tel. | | *(required for special institutional clients)* | |
| **II. Application for Hedging and Arbitrage Quotas** | | | | | |
| Name of Product | | \*\*\*\*\*\*Equity Index Futures (e.g. *CSI 300)* | | | |
| **1. Application for Hedging Quotas** | | | | | |
|  | Long/Short | | Applied Size (lots) | |
| Product Quotas | Long | |  | |
| Short | |  | |
| **2. Spot Market Account Number for Hedging**  *(Not required if the latest account information has been submitted to the Exchange and there is no change thereof)* | | | | | |
| Shanghai Stock Exchange |  | | | | |
| Shenzhen Stock Exchange |  | | | | |
| Fund Account Number |  | | | | |
| Others |  | | | | |
| **3. Application for Arbitrage Quotas** | | | | | |
|  | Long/Short | | Applied Size (lots) | |
| Product Quotas | Long | |  | |
| Short | |  | |
| **4. Spot Market Account Number for Arbitrage**  *(Not required if the latest information has been submitted to the Exchange and there is no change thereof)* | | | | | |
| Shanghai Stock Exchange |  | | | | |
| Shenzhen Stock Exchange |  | | | | |
| Others |  | | | | |
| **III. Applicant’s Statement** | | | | | |
| 1. All submissions are true and complete;  2. I hereby confirm that the hedging and arbitrage trading will follow internal audit and control processes;  3. I hereby confirm that my hedging and arbitrage transactions will comply with laws and regulations applicable to futures trading and will never use improper measures to disturb the futures and the underlying spot markets. I understand that the Exchange, as a self-regulatory organization, has every right to take appropriate measures in accordance with its *Trading Rules* and relevant detailed rules against any unusual activities to maintain market order;  4. I hereby agree to provide written statements or supplementary materials on specific matters during prescribed time limit that the Exchange may, in accordance with applicable regulations, require during my hedging and arbitrage transactions, and will not evade or refuse to do so. | | | | |
| Signature or seal of the applicant: | | | | |
| **IV. Statement of Member on the Truthfulness of Applicant’s Submissions** | | | | | |
| We guarantee that all materials the applicant provided to the Exchange are true. We agree to the submission of this application to the Exchange and will perform all due responsibilities in accordance with applicable regulations of the Exchange. | | | | | |

**CFFEX Hedging and Arbitrage Quotas Application Form**

**(China Government Bond Futures)**

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| **I. Applicant Information** | | | | | | |
| Name of Applicant (corresponding to the trading code) |  | | Date of Application | | |  |
| Hedging Client No. |  | | Arbitrage Trading Client No. | | |  |
| Carrying Member Name (abbreviation) |  | | Carrying Member No. | | |  |
| Member Contact |  | | Member Contact Tel. | | |  |
| Custodian Bank Contact | *(required for QFII and RQFII)* | | Custodian Bank Contact Tel. | | | *(required for QFII and RQFII)* |
| Applicant Contact |  | | Applicant Contact Tel. | | |  |
| Investment Manager | *(required for special institutional clients)* | | Investment Manager Tel. | | | *(required for special institutional clients)* |
| **II. Application for Hedging and Arbitrage Quotas** | | | | | | |
| Name of Product | | | \*\*\*\*\*\*CGB Futures *(e.g. 5-year CGB futures)* | | | |
| **1. Application for Hedging Quotas** | | | | | | |
|  | | | Long/short | Applied Size (lots) | | |
| Product Quotas | | | Long |  | | |
| Short |  | | |
| Contract Quotas for the Delivery Month | Contract No. |  | Long |  | | |
| Short |  | | |
| **2. Bond Account Number for Hedging**  *(Not required if the latest information has been submitted to the Exchange and there is no change thereof)* | | | | | | |
| Shanghai Stock Exchange |  | | | | | |
| Shenzhen Stock Exchange |  | | | | | |
| China Central Depository & Clearing Company |  | | | | | |
| Shanghai Clearing House |  | | | | | |
| Others |  | | | | | |
| **3. Application for Arbitrage Quotas** | | | | | | |
|  | | | Long/short | | Applied Size (lots) | |
| Product Quotas | | | Long | |  | |
| Short | |  | |
| Contract Quotas for the Delivery Month | Contract No. |  | Long | |  | |
| Short | |  | |
| **4. Bond Account Number for Arbitrage**  *(Not required if the latest information has been submitted to the Exchange and there is no change thereof)* | | | | | | |
| Shanghai Stock Exchange |  | | | | | |
| Shenzhen Stock Exchange |  | | | | | |
| China Central Depository & Clearing Company |  | | | | | |
| Shanghai Clearing House |  | | | | | |
| Others |  | | | | | |
| **III. Applicant’s Statement** | | | | | | |
| 1. All submissions are true and complete;  2. I hereby confirm that the hedging and arbitrage trading will follow internal audit and control processes;  3. I hereby confirm that my hedging and arbitrage transactions will comply with laws and regulations applicable to futures trading and will never use improper measures to disturb the futures and the underlying spot markets. I understand that the Exchange, as a self-regulatory organization, has every right to take appropriate measures in accordance with its *Trading Rules* and relevant detailed rules against any unusual activities to maintain market order;  4. I hereby agree to provide written statements or supplementary materials on specific matters during prescribed time limit that the Exchange may, in accordance with applicable regulations, require during my hedging and arbitrage transactions, and will not evade or refuse to do so. | | | | | | |
| Signature or seal of the applicant: | | | | | | |
| **IV. Member’s Statement of the Truthfulness of Applicant’s Submissions** | | | | | | |
| We guarantee that all materials the applicant provided to the Exchange are true. We agree to the submission of this application to the Exchange and will perform all due responsibilities in accordance with applicable regulations of the Exchange. | | | | | | |

**CFFEX Hedging and Arbitrage Quotas Application Form**

**(Equity Index Options)**

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| --- | --- | --- | --- | --- | --- |
| **I. Applicant Information** | | | | | |
| Name of Applicant (corresponding to the trading code) |  | Date of Application | |  | |
| Hedging Client No. |  | Arbitrage Trading Client No. | |  | |
| Carrying Member Name (abbreviation) |  | Carrying Member No. | |  | |
| Member Contact |  | Member Contact Tel. | |  | |
| Custodian Bank Contact | *(required for QFII and RQFII)* | Custodian Bank Contact Tel. | | *(required for QFII and RQFII)* | |
| Applicant Contact |  | Applicant Contact Tel. | |  | |
| Investment Manager | *(required for special institutional clients)* | Investment Manager Tel. | | *(required for special institutional clients)* | |
| **II. Application for Hedging and Arbitrage Quotas** | | | | | |
| Name of Product | | \*\*\*\*\*\*Equity Index Options (e.g. *CSI 300)* | | | |
| **1. Application for Hedging Quotas** | | | | | |
|  | Long/Short | | Applied Size (lots) | |
| Product Quotas | Long | |  | |
| Short | |  | |
| **2. Spot Market Account Number for Hedging**  *(Not required if the latest information has been submitted to the Exchange and there is no change thereof)* | | | | | |
| Shanghai Stock Exchange |  | | | | |
| Shenzhen Stock Exchange |  | | | | |
| Fund Account Number |  | | | | |
| Others |  | | | | |
| **3. Application for Arbitrage Quotas** | | | | | |
|  | Long/Short | | Applied Size (lots) | |
| Product Quotas | Long | |  | |
| Short | |  | |
| **4. Spot Market Account Number for Arbitrage**  *(Not required if the latest information has been submitted to the Exchange and there is no change thereof)* | | | | | |
| Shanghai Stock Exchange |  | | | | |
| Shenzhen Stock Exchange |  | | | | |
| Others |  | | | | |
| **III. Applicant’s Statement** | | | | | |
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