人民币跨境支付系统直接参与者申请表

Application Form for CIPS Direct Participant

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| 1. **机构信息**   **Ⅰ. Applicant Information** | | | | | | | | | | |
| 申请机构全称  （中英文）  Full Name  (in Chinese and English) | | |  | | | | | | | |
| 机构类型  Institution Genre | | | □银行类金融机构Banking Institution  □金融市场基础设施 Financial Market Infrastructure  □其他，请说明Other. Please specify： | | | | | | | |
| 境内外标识  Chinese Mainland or Overseas | | | □境内  Chinese Mainland  □境外，所在国家（地区）：  Overseas Country/District： | | | | | | | |
| 注册文件编号  Registered File NO. | | |  | | | | | | | |
| 注册地址  Registered Address | | |  | | | | | | | |
| 注册资本  Registered Assets | | |  | | | | | | | |
| 是否为法人机构  Legal Entity or not? | | | □是Yes  □否No | | 法定代表人  Legal Representative |  | | | | |
| 机构代码  Organization Code | | | CIPS ID  □如有If any：  □无，同步申请  None. (You will get one after the successful application. ) | | | BIC  □如有If any：  □无None | | | | |
| LEI  □如有If any：  □无None | | | HVPS行号  □如有If any：  □无None | | | | |
| 信用评级  Credit Rating | | | 评级机构Rating Agency： | | | | | | | |
| 评级情况（最近一年）Rating Results： | | | | | | | |
| 联系人信息  Contact Information | | | | | | | | | | |
| 联系人  Contacts | 姓名  Name | 职务/职责  Position | | 身份证件类型及号码  ID Type and No. | | | 电话  Tel | 传真  Fax | | 电子邮件  Email |
| 填表经办人  Person Who Fills Out the Form |  |  | |  | | |  |  | |  |
| 业务  联系人  Business Contact |  |  | |  | | |  |  | |  |
|  |  | |  | | |  |  | |  |
| 技术  联系人  Technical  Contact |  |  | |  | | |  |  | |  |
|  |  | |  | | |  |  | |  |
| 风险  与合规  联系人  Risk and Compliance  Contact |  |  | |  | | |  |  | |  |
|  |  | |  | | |  |  | |  |
| 1. **申请信息**   **Ⅱ. Application Information** | | | | | | | | | | |
| 跨境人民币结算  业务情况  Cross-border RMB settlement | | | 20\_\_年末  Year 20\_\_  (Whole Year) | | 20\_\_年末  Year 20\_\_  (Whole Year) | | | 20\_\_年末  Year 20\_\_  (Whole Year) | | |
| 跨境人民币结算业务量(亿元/人民币)  Cross-border RMB Settlement Volume  (100mn RMB) | | |  | |  | | |  | | |
| 国际结算业务量 （亿元/美元）  International Settlement Volume (100mn USD) | | |  | |  | | |  | | |
| 具有办理跨境人民币业务资格的分支机构数量  Number of Branches qualified for Cross-border RMB business | | | 境内Chinese Mainland： | | | 境外Overseas： | | | | |
| 代理跨境人民币业务代理机构数量  The Number of Institutions with Agency Relationship in Cross-border RMB Business | | | 境内Chinese Mainland： | | | 境外Overseas： | | | | |
| 跨境人民币结算或国际结算业务特色  Features on Cross-border RMB Settlement and International Settlement | | | *简要说明（如有）：**本机构具有的便利人民币国际使用和跨境结算或国际结算的业务特色。*  *Please simply point out the business features that could facilitate RMB international usage and cross-border/international settlement of your institution (if any).* | | | | | | | |
| 业务拓展规划  Business Expansion Plan | | | *简要说明：加入CIPS的发起理由，前期准备工作情况，今后业务的发展目标。重点包括：*  *（1）接入CIPS的必要性；*  *（2）加入CIPS后的短中长期业务目标（业务量等指标）；*  *（3）计划发展的间接参与者及代理行数量及在全球的分布；*  *（4）计划拓展的人民币账户开户数量。*  *Please simply explain the initial reasons for participating into CIPS, the preparation work you have done and business* *target in the future. You are supposed to emphasize on: (1)the necessity of accessing CIPS;(2)short and medium term business targets (indicated by business volume and other indicators) after joining CIPS;(3)the number and global distribution of indirect participants and agent banks in the development of the project;(4)the number of RMB accounts planned to open.* | | | | | | | |
| 系统建设计划  System Development Plan | | | *简要说明：接入CIPS的实施准备，技术设计与软硬件准备，联调测试，**验收，生产准备等环节计划和实施安排。*  *Please simply explain preparation for getting access to CIPS, including technical design, hardware and software preparation, plans and implementation arrangement for joint test, acceptance, production preparation and so on.* | | | | | | | |
| 制度建设情况  Mechanism Development | | | *简要说明：开展CIPS业务相关的制度建设情况，包括但不限于人民币账户管理、代理结算业务管理、代理行管理制度（包括对间参的动态风险管理要求、准入退出机制等内容）、反洗钱及制裁合规管理制度、内控管理及全面风险管理制度、合规风险应急管理预案、信息安全、业务连续性管理等。本栏提及的制度应体现于第三部分其他申请文件中。*  *Please simply explain systems related to CIPS business, including but not limited to RMB account management, agent settlement business management, agent bank management system (including dynamic risk management requirements for indirect participants, access and exit mechanism, etc.), internal control management and comprehensive risk management system, compliance risk emergency plan, information security, business continuity management, etc. The systems mentioned in this column shall be reflected in the other application documents in Part III.* | | | | | | | |
| 合规和风险情况  Compliance and Risks | | | *简要说明：*  *（1）贵行对CIPS业务的风险管理政策及流程。包括但不限于贵行对于CIPS业务合规风险、流动性风险及其他风险的事前评估、事中监测和事后处置机制；*  *（2）贵行对间参及代理行业务的风险管理政策及流程。包括但不限于贵行对间参及代理行进行准入审核、业务筛查、风险提示、定期报告及风险隔离处置等方面的工作机制。*  *Please simply explain the applicant’s (1) risk management policies and procedures for CIPS business, including but not limited to prior assessment, in-process monitoring and post-event disposal mechanism for compliance risks, liquidity risks and other risks of CIPS business;(2) risk management policies and procedures for indirect participants and correspondent bank, including but not limited to the working mechanism in terms of access review, business screening, risk warning, periodic report and risk isolation and disposal.* | | | | | | | |
| 是否存在所适用国家或地区法律法规禁止或限制申请机构遵守CIPS 相关业务规则的情形  Is there any ban or limit in local laws or regulations for the applicant to its compliance with CIPS business rules? | | | | | | □是，请说明:  Yes. Please specify:  □否  No | |
| 是否存在自身（包括其股东、实际控制人或受益人）或代理结算客户及业务涉及洗钱和恐怖融资、国内或国际制裁及其他可能给CIPS 或其他参与者带来重大风险隐患的情形  Is there any circumstance in which the applicant (including its shareholders, actual controllers or beneficiaries) or its clearing clients and business are involved in money laundering and terrorist financing, domestic or international sanctions and other circumstances that could pose a material risk to CIPS or other participants? | | | | | | □是, 请说明:  Yes. Please specify:  □否  No | |
| 补充信息（仅境外申请机构填写）  Supplementary Information (overseas applicants only) | | | | | | | | | | |
| 是否人民币清算行  RMB Clearing Bank or Not? | | | □是Yes  □否No | | | | | | | |
| 中华人民共和国境内是否有商业存在  Is There Any Commercial Existence within People’s Republic of China? | | | □如有，请说明Yes. Please specify：  □无No | | | | | | | |
| 中央银行或货币当局名称  Name of the Central Bank or Monetary Authorities | | |  | | | | | | | |
| 本次申请是否需要事先获得所在国家（地区）相关监管机构的许可  Does the Application Need any Prior Permission from Regulatory Authorities in the Country (District) where the Applicant is Located? | | | □是，请说明Yes. Please specify：  □否No | | | | | | | |
| 是否与现有CIPS直接参与者属于同一金融机构集团  Does the Applicant Belong to the Same Financial Institution Group as an Existing CIPS Direct Participant? | | | □是，请说Yes. Please specify：  □否No | | | | | | | |
| 是否加入所在国家（地区）大额支付系统、跨区域的支付系统或其他金融市场基础设施并正常开办业务  Have the applicant attended local large-value payment system, regional payment system or other FMI and processed business normally? | | | □是，请说明：  □否 | | | | | | | |
| 意向的资金托管行  Prospective Custodian Bank | | |  | | | | | | | |
| 资金托管安排  Fund Custodian arrangements | | | *主要说明申请机构资金托管安排，具体包括：*  *（1）拟委托资金托管行以及资金托管服务协议签署计划；*  *（2）申请机构与资金托管行之间的业务交互流程，包括CIPS账户注资（预注资）、调增（预注资调增）、调减、清零等；*  *（3）申请机构CIPS账户出现流动性不足时的应急预案，包括资金托管行是否提供流动性支持、申请机构筹措流动性的手段等。*  *Please explain your fund custodian arrangements, including (1)the fund custodian bank to entrust and plans of fund custodian service agreement signing; (2) the business interaction process between the applicant and the fund custodian bank, including CIPS account initial prefunding (reserved prefunding), supplemental funding, fund withdrawal, zero clearance, etc.;(3)the applicant’s emergency plan in case of liquidity shortage in the CIPS account, including whether the fund custodian bank provides liquidity support and the means for the applicant institution to raise liquidity.* | | | | | | | |
| **第三部分 申请机构提交的其他文件清单**  （除免于提交或补充提交的文件外，其余均为必备项）  **Part 3 List of additional documents to be submitted by the applicant organization**  (Except for documents exempted from or supplemented by submission, the rest are required items) | | | | | | | | | | |
| 经营资质证明材料  *（与现有直接参与者属于同一金融机构集团的申请机构免于提交1-4项材料）*  *Documents proving business qualifications*  *(Applicants belonging to the same financial institution group as the existing direct participants are exempted from submitting documents 1-4)* | | | | | □营业执照复印件（加盖机构公章）  □金融许可证复印件（加盖机构公章）  □（境外申请机构）所在地监管机构颁发的本地注册文件复印件及中文翻译件（加盖机构公章或法定代表人/授权签字人签字）  □（境外申请机构）在中华人民共和国境内有商业存在的，商业存在证明（加盖机构公章或法定代表人/授权签字人签字）  □（非法人申请机构）法人机构的授权书原件（加盖机构公章或法定代表人/授权签字人签字）  □ Copy of business licence (stamped with the official seal of the institution)  □ Copy of financial licence (stamped with the official seal of the institution)  □ Copy of local registration document issued by the regulatory authority in the place where (the overseas applicant) is located and Chinese translation (stamped with the official seal of the institution or signed by the legal representative/authorized signatory)  □ (Overseas applicant institution) If there is commercial presence in the People's Republic of China, proof of commercial presence (stamped with the official seal of the institution or signed by the legal representative/authorized signatory)  □ (For unincorporated applicant organizations) Original power of attorney from the legal entity (stamped with the official seal of the organization or signed by the legal representative/authorized signatory) | | | | | |
| 财务及信用情况证明材料  *（与现有直接参与者属于同一金融机构集团的申请机构免于提交）*  Documentary proof of financial and credit standing  *(Exempted for applicant organization belonging to the same financial institution group as the existing direct participant)* | | | | | □最近三年经会计师事务所审计的财务报告  □最近一年所在地监管机构信用评级报告或评级机构出具的信用评级报告  □ Financial reports audited by an accounting firm for the latest three years  □ Credit rating report of the local supervisory authority or credit rating report issued by the rating agency in the most recent year | | | | | |
| 开展CIPS业务相关的业务管理制度  *（应写明相关制度名称）*  Business management system related to carrying out CIPS business  *(The name of the relevant system should be written)* | | | | | □业务管理制度：  □合规管理制度：  □风险管理制度：  □内部控制制度：  □信息安全制度：  □业务连续性管理制度：  □ Business management system:  □ Compliance management system:  □ Risk management system:  □ Internal control system:  □ Information security system:  □ Business continuity management system | | | | | |
| 开展CIPS业务相关的应急预案  *（应写明相关制度名称）*  Contingency plan related to the conduct of CIPS business  *(The name of the relevant system should be stated.)* | | | | | □流动性风险管理应急预案：  □合规风险管理应急预案：  □故障处理和突发事件应急处置预案：  □Liquidity risk management contingency plan:  □Compliance risk management contingency plan:  □Troubleshooting and emergency response plan: | | | | | |
| 补充材料  *（根据跨境清算公司通知要求提交；未收到通知的，无需提交）*  *Supplementary materials*  *(to be submitted in accordance with the notification requirements of the cross-border clearing company; if no notification has been received, no submission is required)* | | | | | □律师事务所出具的法律意见书  □合规承诺函或改进承诺函  □有关风险情况的澄清、说明材料  □跨境清算公司要求的其他材料：  □ Legal opinion letter issued by law firms  □ Compliance commitment letter or improvement commitment letter  □ Clarification and explanation materials of the relevant risk situation  □ Other materials required by the cross-border clearing company: | | | | | |
| **申请机构承诺事项：**  *本机构承诺所提供的全部申请材料真实、准确、完整，此次申请行为符合本机构注册地、业务行为发生地及其他任何所适用地区的法律法规及监管要求。本机构承诺遵守中国人民银行、跨境清算公司不时制定和发布的相关制度、规则和文件，包括但不限于参与者管理办法、业务规则、业务操作指引、收费方案等。因违反上述承诺所造成的一切经济或法律责任均由本机构独立承担。*    **Commitment by the applicant:**  *We commit that all application materials provided are true, accurate and complete, and that the conduct of this application complies with the laws, regulations and regulatory requirements of the place of registration of the Institution, the place where the business conduct takes place and any other applicable regions. We commit to comply with the relevant systems, rules and documents formulated and issued by the People's Bank of China or the CIPS Company,* *Including, but not limited to, Interim Measures for Administration of CIPS Participants, business rules, Cross-border Interbank Payment System(CIPS) Operational Guidelines, fee programs, etc. All economic or legal liabilities caused by the violation of the above commitments shall be borne by the institution independently.*  机构公章：  Official seal of the Institution:  法定代表人签章：  Signature of legal representative:  申请日期：  Date of application: | | | | | | | | | | |
| 填表说明：   1. 境内申请机构请填写电子版后签字并盖章，境外申请机构请填写电子版后签字或盖章。 2. 带□的选项填请打“√”选择。 3. 填写中如空格不够，可增加行数或另外加页。 4. “注册文件编号”栏，境内机构填写统一社会信用代码，境外机构填写当地注册号。 5. “注册资本”栏，法人机构应填写本机构注册资本，法人指定的本法人的分支机构应填写法人机构的注册资本。 6. “机构代码”栏，有相应机构代码的,请填写具体代码。CIPS ID：跨境支付清算识别符，编码规则和应用参考CIPS公司企业标准《跨境支付清算识别符》（Q/CIPS 0001—2021）；LEI：全球法人识别编码（Legal Entity Identifier），是按照国际标准化组织ISO 17442标准为法人分配的唯一识别编码；HVPS行号是指中国大额支付系统直接参与者行号。特别说明：申请机构暂无CIPS ID 将依据本次填表信息为申请机构同步申请CIPS ID，并通知申请机构。 7. “信用评级情况”栏，应填写最近一年所在地监管机构或评级机构出具的信用评级情况。境内机构填写中国人民银行宏观审慎评估体系最近四期评估结果；境外机构填写最近一年信用机构出具的信用评级情况。 8. “联系人”栏，应填写表格填制经办人以及业务、技术、风险与合规各两名联系人信息。 9. 在境内有商业存在的，请简要列明商业存在形式。   *Instructions for filling in the form:*  *1. For domestic applicant organizations, please fill in the electronic version and sign and stamp; for overseas applicant organizations, please fill in the electronic version and sign or stamp.*  *2. Please tick to select the option with □.*  *3. If there are not enough spaces in the form, please add more lines or pages.*  *4. "Registration Document Number" column, domestic institutions fill in the unified social credit code, foreign institutions fill in the local registration number.*  *5. "Registered capital" column, the legal entity should fill in the registered capital of the agency, the legal entity designated by the legal entity's branch should fill in the registered capital of the legal entity.*  *6. "Agency Code" column, there are corresponding agency code, please fill in the specific code.* *CIPS ID: Cross-border Interbank Payment System Identifier, refer to CIPS corporate standard "Cross-border Payment Clearing Identifier" (Q/CIPS 0001-2021) for coding rules and application. LEI: Legal Entity Identifier (LEI), a unique identification code assigned to legal entities in accordance with International Standard ISO 17442. HVPS line number refers to China's large-value payment system direct participants line number. Special Note: If the applicant organization does not have a CIPS ID, it will apply for a CIPS ID for the applicant organization based on the information in this form and notify the applicant organization.*  *7. "Credit Rating" should be filled in with the credit rating issued by the supervisory authority or rating agency of the location in the recent year. Domestic institutions should fill in the results of the last four phases of the People's Bank of China's macro-prudential assessment system; foreign institutions should fill in the credit rating issued by credit institutions in the last year.*  *8. The "Contact Person" column should be filled in with the information of the person responsible for filling in the form and two contact persons for each of business, technology, risk and compliance.*  *9. If there is commercial presence in the country, please briefly list the form of commercial presence.* | | | | | | | | | | |