**Filing Procedures for Overseas Intermediaries of Shanghai International Energy Exchange**

Overseas Intermediary Full Name:

Applicant (FF Member or OSBP) ID (4-digit):

Applicant Full Name:

Overseas Intermediary has completed filing process before: □ Yes □ No

**Note: If this is the first time that the Overseas Intermediary undergoes the filing process, all items in the table below should be completed, including in particular those items denoted as “first-time filing only;” for other Overseas Intermediaries, items denoted as “first-time filing only” may be skipped.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Step** | **Department** | **Action** | **Handling Person’s Signature and Date** | **Department Person-in-Charge’s Signature and Date** | **Note** |
| 1 | Member Services & Investor Education(22/F Guohua Life Financial Tower) | 1. Obtain a 5-digit ID number for the Overseas Intermediary (first-time filing only);

ID assignment rules: For new Overseas Intermediaries, ID number will be assigned in sequence of receipt of filing form.1. Enter information on the Overseas Intermediary into the Participant & Client Management System (first-time filing only);
2. Link the Overseas Intermediary to the FF Member / OSBP in the Participant & Client Management System;
3. (Member Services & Investor Education) Notify China Futures Market Monitoring Center the addition and linkage relations (by email).
 |  |  |  |
| 2 | Clearing Department(3/F Shanghai Futures Building) | 1. FF Member[[1]](#footnote-2) is to meet the new, higher minimum requirement on clearing deposit;
2. (Clearing Department) Notify China Futures Market Monitoring Center that the clearing deposit requirement in authorized clearing has been adjusted.
 |  |  |  |
| 3 | IT Department(5/F Shanghai Futures Building) | 1. Apply for access to the Member Service System (first-time filing only).
 |  |  |  |
| 4 | Trading Department(5/F Shanghai Futures Building) | 1. Apply for hedging and arbitrage operator accounts of the Member Service System (first-time filing only).

(See Annex 1 for related forms) |  |  |  |
| Delivery Department(21/F Guohua Life Financial Tower) | 1. Apply for account of the Warrant Management System and pick-up the USB security key (first-time filing only).
 |  |  |  |
| Information Department(23/F Guohua Life Financial Tower) | 1. Provide information relating to the market data system used (first-time filing only).
 |  |  |  |
| Market Compliance(9/F Shanghai Futures Building) | 1. Apply for operator accounts of Monitoring Platform in the Member Service System (first-time filing only).

(Provide information on 2 platform administrators) |  |  |  |
| 5 | Member Services & Investor Education(23/F Guohua Life Financial Tower) | 1. Submit this form.
 |  |  |  |

**Special notes:**

1. The filing procedures should only be initiated after receipt of the INE pre-approval notice for filing.
2. The applicant is advised to complete the sub-items in **Step 4** in parallel.
3. The table below lists the address and contact persons of relevant INE departments.

|  |  |  |
| --- | --- | --- |
| **Department** | **Address** | **Contact and Telephone** |
| Member Services & Investor Education | 22/F Guohua Life Financial Tower | LI Xiaoxuan 20767580WANG Qiong 20767929 |
| Clearing Department | 3/F Shanghai Futures Building | LIU Rong 68401775ZONG Wen 68401782, 0662 |
| IT Department | 5/F Shanghai Futures Building | YAN Hongbiao 68400537KE Lizhen 68400865 |
| Trading Department | 5/F Shanghai Futures Building | SUN Jing 68400337 |
| Delivery Department | 21/F Guohua Life Financial Tower | PENG Bo 20767562CHENG Yao 20767557 |
| Market Compliance | 9/F Shanghai Futures Building | YE Yong 68401853HE Wenting 68400053 |
| Information Department | 23/F Guohua Life Financial Tower | XU Fumin 20767508DING Yan 20767930 |

Annex 1:

**Authorization for Operator Account in Hedging Position Management System of Shanghai International Energy Exchange**

**(Overseas Intermediary)**

Overseas Intermediary: Overseas Intermediary ID:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Operators(2 persons or more) | Name |  | Position |  | Telephone |  |
| Name |  | Position |  | Telephone |  |
| Name |  | Position |  | Telephone |  |
| Letter of Authorization from Legal Representative | This letter is to authorize the above-named individuals as our operators for the hedging position management system, in which capacity they will handle electronic applications for hedging positions on our behalf. We will be responsible for their actions before a written change of personnel notice we submit to INE takes effect.This Authorization shall be effective as of the date of signature and issuance.Signature/Seal of Legal Representative of Overseas Intermediary:Official Seal of Overseas Intermediary:Date: |
| *To be Completed by Trading Department* | Received By |  | Checked By |  |
| Date of Receipt | (YYYYMMDD) |

**Authorization for Operator Account in Arbitrage Position Management System of Shanghai International Energy Exchange**

**(Overseas Intermediary)**

Overseas Intermediary: Overseas Intermediary ID:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Operators(2 persons or more) | Name |  | Position |  | Telephone |  |
| Name |  | Position |  | Telephone |  |
| Name |  | Position |  | Telephone |  |
| Letter of Authorization from Legal Representative | This letter is to authorize the above-named individuals as our operators for the arbitrage position management system, in which capacity they will handle electronic applications for arbitrage positions on our behalf. We will be responsible for their actions before a written change of personnel notice we submit to INE takes effect.This Authorization shall be effective as of the date of signature and issuance.Signature/Seal of Legal Representative of Overseas Intermediary:Official Seal of Overseas Intermediary:Date: |
| *To be Completed by Trading Department* | Received By |  | Checked By |  |
| Date of Receipt | (YYYYMMDD) |

1. The FF Member itself or the clearing Member (FF Member) of the OSBP. [↑](#footnote-ref-2)