

# 北京铁矿石交易中心 会员管理办法（2022.01）

## Administrational Measures for Membership Management of Beijing Iron Ore Trading Center (2022.01)

### 第一章 总则

#### Chapter I General Provisions

**第一条** 为了保障铁矿石现货业务会员的合法权益，规范会员在北京铁矿石交易中心股份有限公司（以下简称“北铁中心”）中国铁矿石现货交易平台（以下简称“平台”）的业务活动，根据国家有关法律、法规、政策制定本办法。

**Article 1.** In accordance with relevant national laws, the measures are formulated with a view to securing the legitimate rights and interests of all Beijing Iron Ore Trading Center Corporation (hereinafter referred to as the “COREX”) members and regulating all members’ activities on the China Iron Ore Spot Trading Platform of COREX (hereinafter referred to as “Platform”).

**第二条** 会员是指根据相关法律、法规、政策及北铁中心的相关规定，与北铁中心签署相关协议后在平台进行业务活动的企业法人。会员可以是境内注册的企业法人，也可以是境外注册的企业法人。

会员分为交易会员和资讯会员。交易会员为从事铁矿石现货贸易的企业法人，资讯会员为从事资讯等服务的企业法人。

**Article 2.** A member refers to a corporate legal entity engaging in the activities at the Platform, after signing the agreement with COREX, in accordance with relevant laws, regulations and policies as well as pertinent regulations of COREX. Members can be either domestically registered legal entity or legal entity registered in a foreign country (region).

Member types include trading member and information member. Trading members are corporate legal entities which undertake iron ore spot trading activities and information members are corporate legal entities which undertake information or other service.

**第三条** 会员应按《北京铁矿石交易中心铁矿石现货交易收费管理办法》交纳相关费

用并获得会员号与初始密码。会员号是识别、认证会员身份并用于通过电脑端和/或移动端登录北铁中心铁矿石现货电子交易系统（以下简称“交易系统”）的唯一编码，一个会员只能拥有一个会员号，即同一申请人不能同时拥有两个或两个以上会员号。

**Article 3.** Each member shall receive a membership number and an initial password upon payment of fees stipulated in the *Administrative Measures for Fees on Iron Ore Spot Trading of Beijing Iron Ore Trading Center*. The membership number is the unique code used to identify and authenticate the membership and log in to the iron ore spot electronic trading system of COREX (hereinafter referred to as the “System”) through the computer and/or mobile terminal. Each member shall have only one membership number, namely, one applicant is not allowed to have more than one membership number.

**第四条** 本办法适用于北铁中心会员。

**Article 4.** The Measures shall apply to members of COREX.

## 第二章 会员资格

### Chapter II Member Qualifications

**第五条** 申请成为北铁中心铁矿石现货业务会员必须具备下列条件：

**Article 5.** Anyone applying for the membership of iron ore business of COREX shall meet the following conditions:

（一）合法登记注册的企业法人；

I. Being a legally registered corporate entity;

（二）承诺遵守本办法、《北京铁矿石交易中心铁矿石现货交易交易规则》及其他相关规定（以下简称“《交易规则》”，详见《北京铁矿石交易中心铁矿石现货交易规则清单》），并遵守《北京铁矿石交易中心铁矿石现货交易标的说明书》。

II. Committing to comply with the Measures, *Regulations on Iron Ore Spot Trading of Beijing Iron Ore Trading Center* and other relevant regulations (hereinafter referred to as the “Trading Regulations”, detailed see List of Iron Ore Spot Trading Regulation Document of Beijing Iron Ore Trading Center) and comply with *Specifications of Trading Brands for Iron Ore Spot Trading of Beijing Iron Ore Trading Center*.

（三）具有良好的信誉和经营历史；

III. Having a good reputation and operation history;

（四）有健全的组织机构和财务管理制度及完善的交易业务管理制度；

IV. Having a sound organization and financial management system, and a well-developed trade administration system;

(五) 具有固定的、一定规模的经营场所和必要办公、交易设施。

V. Having fixed premises reaching a certain scale for operation and necessary office and trading facilities.

**第六条** 符合上述条件的企业法人均可向北铁中心自愿申请，经北铁中心审核通过后成为会员。

**Article 6.** The corporate legal entity meeting the above conditions could apply for the membership to COREX voluntarily. When COREX approves, the corporate legal entity becomes the member of COREX.

**第七条** 申请成为交易会员须向北铁中心提交下列文件和资料：

**Article 7.** Applicants should submit the following documents and materials to COREX before becoming entitled trading members:

(一) 境内企业法人

I. Domestic corporate legal entity

1、入市协议；

(A) The Market Access Agreement.

2、营业执照复印件；

(B) A photocopy of Business License.

3、北铁中心认为需要提供的其它材料。

(C) And any other relevant documents required by COREX.

以上所有资料均须加盖公章。

All of the above materials shall be affixed with the official seal.

(二) 境外企业法人

II. Overseas corporate legal entity

1、入市协议；

(A) The Market Access Agreement.

2、商业登记证复印件；

(B) A photocopy of business registration certificate.

3、北铁中心认为需要提供的其它材料。

(C) And any other relevant documents required by COREX.

以上所有资料均须有权签字人签字。

All of the above materials shall be signed by authorized representative.

**第八条** 申请成为资讯会员须与北铁中心签署相关协议，并提供营业执照（复印件并加盖公章）或商业登记证（复印件并由有权签字人签字）。

**Article 8.** Applicants for information membership should enter into relevant agreement with COREX and provide business license (photocopy with official seal) or business registration certificate (photocopy signed by authorized representative).

**第九条** 申请单位提交的证件和资料须真实、完整、合法、有效。

**Article 9.** The applicants shall ensure all the documents and materials authenticity, integrity, legitimacy and validity.

**第十条** 北铁中心收到符合要求的入会申请材料后，应于五个工作日内向申请单位反馈意见。

**Article 10.** COREX shall make the decision within five working days upon receipt of the qualified application materials, and response to applicant.

**第十一条** 申请单位自收到北铁中心同意入会的确认之日起五个工作日（或者北铁中心认可的更长时间）内交纳相关费用。

**Article 11.** The applicants shall pay relevant fees within five working days (or within a longer period of time agreed by COREX) upon receipt of the confirmation of being members from COREX.

**第十二条** 申请会员资格需交纳年费，年费标准见《北京铁矿石交易中心铁矿石现货交易收费管理办法》。

**Article 12.** For membership application, an annual membership fee shall be charged. Please refer to *Administrative Measures for Fees on Iron Ore Spot Trading of Beijing Iron Ore Trading Center*.

**第十三条** 申请单位办理完成入会手续并交纳相关费用后，即正式取得会员资格。

**Article 13.** The applicants shall officially become members of COREX and shall be awarded the certificate of membership by COREX upon completion of all application procedures and payment of relevant fees.

**第十四条** 为确保电子交易的便捷和安全，北铁中心对会员实行席位管理。

**Article 14.** In order to ensure the convenience and safety of electronic trading, COREX implements the seat management system for members.

（一）会员资格经核准后，北铁中心为其分配会员号、开立席位，分配初始密码，会员应及时修改自己的初始密码，自行保护其会员号及密码（以下合称“账户”）的安全；

I. COREX shall assign the membership number, open seats and assign initial passwords to members with approved qualifications. Members shall modify the initial passwords promptly and protect the security of their membership number and passwords (hereinafter collectively referred to as "Account").

(二) 北铁中心给每位交易会员开立两个交易席位和三个观察席位，为每位资讯会员开立三个观察席位。若会员申请额外的交易席位和/或观察席位，则应交纳席位费。

**II. COREX shall offer each trading member two trading seats and three observing seats and each information member three observing seats. For additional trading seat and/or observing seat, a fee shall be charged.**

(三) 会员应妥善保管用于身份认证的密码并定期进行修改。如发生密码遗失、泄露、被窃或其他影响会员安全交易的情况，应于交易系统自行修改密码或与北铁中心联系重置密码。因密码使用、挂失或重置等所引起全部责任均由会员自行承担。

**III. Members shall safely keep password and modify it regularly. In case that the password is lost, leaked, stolen or other circumstances threaten the trading security, Members shall modify password in the System by their own, or contact COREX to reset the password. All liabilities, arising from use, loss, leak, modification, resetting or other operations of password, shall be borne by members.**

### 第三章 权利与义务

#### Chapter III Rights and Obligations

**第十五条** 会员及其从业人员必须遵守中国有关法律、行政法规和政策，遵守《交易规则》。《交易规则》提供中文和英文版本，两种语言文本具有同等效力。如果两种语言文本之间存在任何不一致，应以中文文本为准。

**Article 15.** Members and their employees shall comply with the relevant Chinese laws, administrative regulations and policies as well as the Trading Regulations. The regulations have Chinese and English versions, both two versions are equally authentic. If there is any discrepancy between the two versions, the Chinese version shall prevail.

**第十六条** 会员享有下列权利：

**Article 16.** Members are entitled to have the following rights:

(一) 根据《交易规则》在北铁中心进行规定品种的交易，并自行决定交易数量；

**I. Member can trade the specified products and decide the own quantity in accordance with the Trading Regulations.**

(二) 使用北铁中心提供的交易设施，获得有关交易的信息和服务；

**II. Using trading facilities offered by COREX and obtaining trading-related information and services;**

(三) 北铁中心协助获得合作银行提供的融资服务；

**III. Obtaining financing services from cooperating banks under the assistance of COREX;**

(四) 对北铁中心的工作提出意见和建议;

**IV. Providing advices and suggestions to COREX;**

(五) 参加北铁中心组织的会员活动;

**V. Joining in member activities organized by COREX;**

(六) 有选择退会的权利;

**VI. Members have the right to give up the membership; and**

(七) 其他依法应享有的权利。

**VII. Other rights entitled by law.**

**第十七条** 会员应履行下列义务:

**Article 17. Members shall fulfill the following obligations:**

(一) 会员应守法、履约、公平买卖;

**I. Members shall abide by laws, honor contracts and trade fairly;**

(二) 会员应保证提供材料的真实性, 并承担相应责任;

**II. Members shall ensure the authenticity of all materials provided and take corresponding responsibilities;**

(三) 会员应妥善管理、使用、保护自己的账户, 并对其账户登录交易系统、于交易系统签署或确认协议或声明、发出交易指令及其他指令、接收通知等一切行为所产生的后果全权负责;

**III. Members shall safely keep, use and protect their Accounts and shall be solely responsible for the consequences of all actions under their Accounts, such as logging in the System, signing or confirming agreements or statements in the System, issuing trading orders and other orders in the System, receiving notices in the System, etc.**

(四) 会员应按本办法及《北京铁矿石交易中心铁矿石现货交易收费管理办法》等相关规定交纳各项费用;

**IV. Members shall pay fees according to the Measures and Administrative Measures for Fees on Iron Ore Spot Trading of Beijing Iron Ore Trading Center;**

(五) 其他依法应履行的义务。

**V. Other obligations stipulated by law.**

#### 第四章 会员资格的取消和注销

#### **Chapter IV Withdrawal and Cancellation of Membership**

**第十八条** 会员存在下列情况之一的, 经北铁中心核准, 视情节轻重给予警告、严重警告、暂停会员资格或取消会员资格等处罚:

**Article 18. In any of the following cases, the members shall receive such penalties**

as warning, serious warning, membership suspension and membership cancellation in consideration of seriousness of the circumstances as approved by COREX:

(一) 不遵守《交易规则》及其他各项规定;

I. Violation of Trading Regulations and other provisions;

(二) 不能履行会员义务;

II. Failure to perform the member's obligations; and

(三) 违反国家有关法律、法规、规章。

III. Violation of relevant state laws, regulations and rules.

**第十九条** 会员因故被取消会员资格的, 按有关规定办理手续。

**Article 19.** In case the membership is cancelled with cause, the member shall follow the relevant procedures.

**第二十条** 凡自动放弃、注销会员资格以及按照规则被北铁中心取消会员资格的, 已缴纳的会员年费和席位费不予清退。

**Article 20.** The previous paid membership and seat fees will not be refundable when a member voluntarily gives up or withdraw its membership, or the membership was automatically canceled by COREX according to regulations.

**第二十一条** 兼并会员的法人或与会员合并后新设立的法人需要承继会员资格的, 必须向北铁中心提出申请, 经北铁中心审查批准后, 方可承继会员资格。

**Article 21.** Any legal person acquiring any members or any legal person newly established upon merging or acquisition with any members shall submit applications to COREX before succeeding to the membership upon approval by COREX.

**第二十二条** 会员选择退会的, 应申请办理资格注销手续。未办理注销手续的会员, 应对由于其账户发生的所有行为全权负责。会员在提出注销申请时, 应当已办理完毕如下事项:

**Article 22.** Members shall apply for membership withdrawal in case of giving up membership at COREX. Members having not gone through membership withdrawal procedures shall be solely responsible for all actions that occur as a result of their Accounts. Members shall have completed the following items at the time of applying for membership withdrawal:

(一) 清算与北铁中心及/或其他相关专业服务机构的全部债权与债务;

I. Clearing all claims and debts with COREX and/or other relevant servicing entities;

(二) 退还北铁中心发放的各种证件、设备。

II. Returning all certificates issued and facilities provided by COREX.

北铁中心收到会员的注销申请后，确认会员已完成全部注销事项并符合注销条件的，于三个工作日内为会员办理注销手续。

COREX shall go through the membership withdrawal procedures within three working days upon receipt of the withdrawal application for members approved to have finished all withdrawal items and met the withdrawal requirement.

## 第五章 监督管理

### Chapter V Supervision and Management

**第二十三条** 会员有下列情况之一的，应在十个工作日内向北铁中心书面报告：

**Article 23.** In any of the following cases, the members shall submit written reports to COREX within ten working days:

(一) 法定代表人发生变更；

I. Changes of the legal representative;

(二) 注册资本、实收资本发生变更；

II. Changes of the registered capital or paid-in capital;

(三) 名称、住所、经营范围及联系方式发生变更；

III. Changes of the name, residence, business scope and/or contact information;

(四) 其他影响会员资质及履约能力的事项

IV. Other cases that might affect the qualification and credit of the members.

上述情况涉及提交给北铁中心的有关资料发生变更的，会员应在书面报告的同时将变更后的资料提交给北铁中心，否则由此造成的全部损失由会员自行承担。

Where any of the above cases involve a change of the relevant documents submitted to COREX, the members shall submit modified documents along with the written report to COREX, or shall otherwise shoulder all losses resulted there from.

北铁中心对于任何会员提交的资料应严格保密。

COREX shall keep strict confidential of any documents submitted by members.

**第二十四条** 北铁中心在法律允许的范围内，每年可对会员资质、会员执行交易规则的情况进行抽样或全面检查，北铁中心应提前五个工作日通知检查的内容及方式，会员应当根据北铁中心的安排积极配合。

**Article 24.** Within the legal permission, the COREX could conduct the sample inspection or full inspection to member's qualification and performance in Iron Ore Spot Trading in COREX. COREX will inform the scope and procedure of inspection detail five working days in advance, and members shall cooperate with COREX actively.

**第二十五条** 会员应当维护北铁中心的声誉，协助北铁中心处理各种突发或者异常事

件。

**Article 25.** Members shall safeguard COREX's reputation and assist COREX in dealing with various emergencies or abnormal events.

## 第六章 附则

### **Chapter VI Supplementary Provisions**

**第二十六条** 本办法由北铁中心负责解释和修订。任何对本办法的重大修订应至少提前十个工作日公告。

**Article 26.** The interpretation and revise of these Measures shall be subject to COREX. Any significant modification to these Measures shall be announced at least ten working days in advance.