

Glossary
(English to Chinese)

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A

abnormal situation	异常事件
abnormal trading	异常交易
abnormal trading activities	异常交易行为
abnormality in funds	资金异常
abnormality in positions	持仓异常
account books	账册
account opening materials	开户资料
account reconciliation	对账
accounting firm qualified to provide services in the securities and futures industry	具有证券、期货相关业务资格的会计师事务所
accrued interest	应计利息
acquired	收购
actual available margin paid with securities	有价证券作为保证金的实际可用金额
actual control	实际控制
Actual Control Account	实际控制关系账户；实际控制账户
adjustment or revocation of membership	调整或者取消会员资格
administration of industry and	工商行政管理部门

commerce	
administrative penalty	行政处罚
administrative regulations	行政法规
affix with	加盖
afternoon session	第二节交易
alert by telephone	电话提醒
Ancillary Provisions	附则
application	申请报告
application for mediation	调解申请书
application for reconsideration	复议申请书
application form	资格申请表
application software	应用软件
arbitrage positions	套利持仓
arbitrage quota	套利额度
arbitrage trading code	套利交易编码
arbitration institution	仲裁机构
articles of association	公司章程
ask quantity	申卖量
asset management scheme of securities company	证券公司资产管理计划
asset-liability ratio	资产负债比例
audio and video materials	视听资料
authorized trader	指定下单人
automatically offset	自动对冲平仓

available fund	可用资金
available funds	可动用资金

B

bank	银行业金融机构
bank transfer	银行扣划
bar from the market; market bar	市场禁止进入措施
base contribution amount (of the Guarantee Fund)	结算担保金基数
Basic Guarantee Fund	基础结算担保金
basis point value	基点价值绝对值
benchmark contract	基准合约
benchmark index	基准指数
benchmark value	基准计算价值
best ask price	最低卖价
best bid price	最高买价
bid price	买入价
bid quantity	申买量
book-entry fixed-coupon China government bonds	记账式付息式国债
branch office	营业部
branches	分支机构
brokerage or proprietary business	经纪或者自营业务

business days	工作日
business liaison	业务联络员
business license	业务许可
Business License	营业执照
business plan	业务计划书
business protocols	业务制度
business representative	业务代表

C

calendar spread arbitrage	跨期套利
call auction	集合竞价
capital adequacy ratio	资本充足率
cash and related markets	现货等市场
cash market	现货市场
Cash Multiplier	配比乘数
cash settlement	现金交割
cash-futures arbitrage	期现套利
cautionary interview	约见谈话
centralized trading	集中交易
channeling (funds)	套用
check	支票
China Central Depository & Clearing Co., Ltd.	中央国债登记结算有限责任公司

China Futures Association	中国期货业协会
China Futures Market Monitoring Center; China Futures Market Monitoring Center Co., Ltd.	中国期货保证金监控中心
China government bond	国债
China government bond code	国债代码
China government bond depository	国债托管机构
China government bond futures contract	国债期货合约
China government bond transfer fees	国债过户费
China Securities Depository and Clearing Co., Ltd.	中国证券登记结算有限责任公司
China Securities Index Co., Ltd.	中证指数有限公司
China Securities Regulatory Commission	中国证券监督管理委员会
Chinese Mainland	中国境内
circuit breakers	熔断制度
clearing	结算
clearing (business/activities)	结算业务
clearing agreement	结算协议
Clearing and Delivery Personnel	结算交割员
Clearing and Delivery Personnel training certificate	结算交割员培训合格证书

clearing and settlement statements	结算账表
clearing authorization	委托结算关系
clearing documents	结算资料
clearing institutions	结算机构
Clearing Member	结算会员
clearing relationship	结算关系
clearing reserve	结算准备金
clearing results	结算结果
clearing risk	结算风险
clearing risk management framework	结算风险管理制度
client	客户
client number	客户号
client record	客户资料
close-out orders	平仓报单
closing price	收盘价
common guarantee fund	共同担保资金
common seal	单位公章
communication link	通信链路
compensation	补偿金
compensatory payment	差额补偿
compliance supervision	合法合规性管理
computer system	计算机系统

confidential information	商业秘密
contact person for technical emergencies	技术应急联系人
continuous quote	持续报价
continuous trading	连续竞价
contract	合约
contract code	合约代码
contract months	合约月份
contract multiplier	合约乘数
contract name	合约名称
contract quota for nearby delivery month	临近交割月份合约额度
contract value	合约价值
conversion factor	转换因子
cornering (a security)	囤积
credit standing	资信状况
credit voucher	贷记凭证
cross-product arbitrage	跨品种套利
CSDC Shanghai Branch	中国结算上海分公司
CSDC Shenzhen Branch	中国结算深圳分公司
CSI 500 Index	中证 500 股指
current cash balance	实有货币资金

D

daily clearing	每日结算
daily clearing	日常结算
daily delivery tenders	每日交割意向申报
daily information	每日信息
daily mark-to-market	当日无负债结算制度
daily settlement	当日结算
data links	数据链路
data security rules	数据安全管理制度
dedicated futures settlement counter	结算专柜
Dedicated Guarantee Fund Account	结算担保金专用账户
dedicated line	专线
Dedicated Margin Account	专用资金账户
Dedicated Settlement Account	专用结算账户
dedicated staff	专人
deliverable China government bond	可交割国债
delivery amount	交割金额
delivery date	交割日期
delivery fee	交割手续费
delivery payment	货款

delivery payment	交割货款
delivery tender; delivery intention	交割意向; 交割意愿
delivery unit	交割单位
delivery-versus-payment (mode)	券款对付模式
depository	托管机构
Depository Account	托管账户
Depository Bank	存管银行
Depository Bank	期货保证金存管银行
deregistered	撤销
designated Depository Bank	指定存管银行
Designated Outlet	指定网点
detailed implementation rules	实施细则
Detailed Trading Rules of China	
Financial Futures Exchange for 2- Year China Government Bond	中国金融期货交易所 2 年期国债期货合约 交易细则
Futures Contract	
development of value-added services	增值开发
Dial-up Access	拨号接入
differential compensation	差额补偿金
directors	董事
disciplinary actions; disciplinary sanctions	纪律处分

disclose	披露
Discount Rate	折扣比率
Discounted Value	折后金额
distribution	传播
divert	挪用
documentary evidence	书证
documentations	凭证
documents	文件
domicile	住所

E

electronic data	电子数据
emergency	突发事件
emergency action	紧急措施
emergency drill	应急演练
emergency floor trader	应急交易人员
Emergency Response Outlet	应急网点
Emergency Trading Floor	应急交易厅
emergency trading seat	应急交易席位
emergency trading terminal	应急交易终端
employment terminated	离职
end user	终端用户
enter into	签订

enterprise legal person	企业法人
entity	单位
entry pass	出入证明
equity index	股票指数
equity index futures	股指期货
exchange of futures for physicals	期转现
exchange of futures for physicals	期转现交易
Exchange's system	交易所系统
Exchange's trading system	交易所交易系统
execution confirmation	成交回报
execution data	成交数据
execution price of buy order	买入成交价
execution price of sell order	卖出成交价
execution result	成交结果
Executive Committee of the Board of Directors of the Exchange	董事会执行委员会
exercise style	执行方式
expert	鉴定人
expert opinions	鉴定意见
expiry month	到期月份
extraordinary situation	异常情况

F

face value	面值
FAK at the best price	最优一档即时成交剩余撤销指令
FAK at the five best prices	最优五档即时成交剩余撤销指令
feasibility analysis	可行性论证
feasibility report	可行性报告
fees	费用
fees; transaction fees; service fees	手续费
fill-and-kill	即时成交剩余撤销指令属性
fill-or-kill	即时全部成交或撤销指令属性
final settlement price	交割结算价
financial conditions	财务状况
financial disputes	账款纠纷
financial futures brokerage permit	金融期货经纪业务资格许可证明文件
financial product	金融产品
financial statements	财务报表
fiscal year	会计年度
fixed coupon rate; fixed-coupon	固定利率
force liquidation; force-liquidate	强行平仓
forced liquidation	强行平仓制度
forced position reduction	强制减仓制度
formal investigation	立案调查
frequently submits and cancels orders	频繁报撤单行为
full inspection	全面检查

fund management company	基金管理公司
Funds Deposits	入金
funds transfer	资金划拨
Funds Withdrawals	出金
futures company	期货公司
Futures Margin Account	期货保证金账户
futures margin depository business	期货保证金存管业务
futures margin management framework	期货保证金存管制度
futures margin safe deposit monitoring agency	期货保证金安全存管监控机构
Futures Settlement Account	期货结算账户
futures trading information	期货交易信息

G

gateway	前置机
General Clearing Member	全面结算会员
General Institutional Client	一般单位客户
General Provisions	总则
Guarantee Fund	结算担保金
Guarantee Fund	结算担保金制度

H

have (the rights)	享有权利
hedging and arbitrage activities	套期保值与套利交易
hedging and arbitrage management system	套期保值和套利管理制度
hedging plan	套期保值方案
hedging positions	套期保值持仓
hedging quota	套期保值额度
hedging trading code	套期保值交易编码
hierarchical risk management framework	分级负责
high price	最高价
Hosted Access	托管集中接入
I	
identification; identity document	身份证明（文件/材料）
illegal transfer of benefits	利益输送
immediately	立即
improper means	不正当手段
in a daily and chronological order	按日序时
in a separate account and segregated from all other funds	分账管理
in an open, fair, and impartial manner and with integrity	公开、公平、公正和诚实信用的原则

in good faith	诚实信用；诚实守信
index points	指数点
index product	指数产品
individuals qualified to engage in futures business	期货从业人员
individuals who handle application filing	经办人
information distribution service	信息传播服务业务
information licensing agreement	交易信息经营许可协议
information licensing agreement	信息经营协议
information security emergencies	突发信息安全事件
information service provider	信息服务机构
information services	信息服务业务
insider information	内幕信息
instrument	票据
instrument-based payment	票据支付
inter-city funds transfer system	异地资金划拨系统
Inter-Exchange Link Access	三所间接接入
internal compliance inspection	内部合规检查
internal measures	规章制度
investigation of violations	违规调查
investigator	调查人员

investor suitability regime	投资者适当性制度
IT Department	技术中心

J

joint testing	联合测试
judicial authorities	司法机关
judicial investigation	司法调查

L

LAN Access	局域网接入
large orders	大笔申报
large position reporting regime	大户持仓报告制度
larger-side positions	单向大边持仓
last price	最新价
last trading day	最后交易日
latest execution price	最新成交价
legal representative	法定代表人
licensed to engage in financial futures brokerage activities	金融期货经纪业务资格
limit order	限价指令
limit up/limit down	价格波动限制
limit up/limit down	每日价格最大波动限制；涨跌停板制度；

	涨跌停板幅度
limit up/limit down price	涨跌停板价格
list of major shareholders	主要股东名册
listing benchmark price	挂盘基准价
listing exchange	上市交易所
long and short positions in the same product or across specific different products	同品种、跨品种双向持仓
long public holiday	国家法定长假
lot	手
low price	最低价

M

major violations	重大违法违规
malfuction	发生故障
manage entrusted assets in a separate account	分户管理
margin account	保证金账户
margin call	追加保证金
margin call	追加保证金通知
margin requirement	保证金制度
margin standard	保证金标准
market data	行情

market data	交易行情
market data	市场行情
market maker	做市商
market maker agreement	做市商协议
market making (business)	做市交易
market making for mock trading	仿真交易做市
market making implementation plan	做市交易实施方案
market opening and closing times	开市收市时间
market order	市价指令
market risk conditions	市场风险情况
market risk conditions	市场风险状况
Market to Limit at the best price	最优一档即时成交剩余转限价指令
Market to Limit at the five best prices	最优五档即时成交剩余转限价指令
market-oriented information display system	以市场为导向的显示应用系统
market-to-limit	即时成交剩余转限价
materials	资料
materials for preliminary review	预审材料
materials for technical preparation	技术准备材料
maturity date	到期日
medium-short-term	中短期

member	会员
member contact person system	会员联系人制度
member number	会员号
Member Service System	会员服务系统
membership	会员资格
membership registration form	会员入会登记表
membership registration form	会员入会信息登记表
merged	兼并
minimum execution quantity	最小成交数量
minimum trading margin	最低交易保证金
ministry-level rules	规章
misappropriate	占用
misconduct	不良行为
mock trade	仿真交易
monitoring center	监控中心
monitoring the safe deposit of futures margin	期货保证金安全存管监控
monthly information	每月信息
monthly risk-based regulatory statement	月度风险监管报表
morning session	第一节
morning session	第一节交易
Multiplier-Based Cap	最大配比金额

N

nationwide centralized bank-futures transfer system	全国集中式银期转账系统
negative credibility record	不良诚信记录
net price	净价
new carrying member	移入会员
nominal coupon rate	票面利率
non-corporate Special Institutional Client	非法人客户
non-delivery penalty	惩罚性违约金 (交割)
non-futures-company	非期货公司
non-futures-company member	非期货公司成员
non-statutory disclosures	非法定披露信息
Notification of Forced Liquidation	强行平仓通知书
notional trading value	交易金额
notional value	成交金额; 成交额
notional value of positions	持仓合约价值

O

offer price	卖出价
officer	高级管理人员
One-Sided Market	单边市

One-Sided Market	同方向连续涨跌停板单边无连续报价
open interest	持仓量
open interest	市场单边总持仓
open position in contract; open contract	未平仓合约
opening price	开盘价
order	委托指令
order	指令
order confirmation	委托回报
order matching period	指令撮合时间
order submission period	指令申报时间
organization	机构
Organization Code Certificate	组织机构代码证
original member	移出会员
originally registered location	原登记备案地
other economic organization	其他经济组织
outlet	营业网点
over-the-counter trading	场外交易
own funds	自有资金

P

payables and receivables	资金收付
Pending Liquidation Quantity	申报平仓数量

perform (the obligations)	履行义务
personnel engaging in futures business	期货业务人员
physical delivery	实物交割
physical evidence	物证
placement of orders in quick succession	密集申报
pledge registration	质押登记
position limit	持仓限额
position limit	持仓限额制度
positions in cash	现金差价
positions in excess	超仓头寸
positions with level one profitability	第一级盈利持仓
positions with level three profitability	第三级盈利持仓
positions with level two profitability	第二级盈利持仓
powers	职权
pre-arranged trade	对敲
premises	场地
prevail	为准
previous execution price	前一成交价
price changes	涨跌
price limits	价格限制制度
price limits	交易价格限制

price-time priority	价格优先、时间优先的原则
principal	负责人
principle of "substance over form"	实质重于形式的原则
private investment fund registered with the Asset Management Association of China	经基金业协会备案的私募投资基金
Private Network for Members; Private Network	会员专网
processed results of value-adding development	增值开发成果
product	交易品种
product code	交易代码
product quota	产品额度
professional personnel; employee	从业人员
profits and losses	盈亏
promissory note	本票
properly preserve	妥善保管 (纸质文件)
proprietary-trading member	自营会员
protocols	工作制度
provisional	试行
provisional measures	临时处置措施
public censure	公开谴责
public holidays	国家法定假日

public interest	公众利益
punitive damages	惩罚性违约金 (违规)

Q

qualification to engage in futures business	期货从业人员资格
Qualified Foreign Institutional Investors	合格境外机构投资者
quarterly month	季月
quotation mode	报价方式
quotation unit	报价单位

R

random inspection	抽样检查
real-time execution confirmation system	即时成交回报系统
real-time intra-bank transfer system	行内实时汇划系统
real-time market data	即时行情
real-time market data	实时行情
real-time market data system	同步报价系统
re-assigned	离岗

receipt slip	进账单
receive	接受 (交易所管理)
reconciliation statement	对账单
reconsideration	复议
reconsideration decision	复议决定
recuse	回避
redundancy requirements	冗余要求
registration application	备案申请书
regular mode	一般模式
regulatory authority	监管部门
regulatory cooperation mechanism	监管协作机制
regulatory measures	监管措施 (监管机构)
regulatory watch list	监管关注名单
relay	转接
release (securities) from margin pledge	解除质押
relevant agency	相关单位
Remote Direct Access	远程直接接入
rename	更名
reporting threshold	持仓报告标准
reprimand	通报批评
require an explanatory statement within a time period	限期说明情况

requiring the close-out of positions within a prescribed time period	限期平仓
requiring to report on a situation	报告情况
residual maturity	剩余期限
responsive quote	回应报价
right of recourse	追偿权
risk alert	风险提示
risk control records	风控记录
risk incident	风险事件
Risk Reserve	风险准备金
risk warning announcement	风险警示公告
risk warnings	风险警示制度
risk-based regulatory indicator	风险监管指标
risk-based regulatory statement	风险控制指标监管报表
risk-based regulatory statements	风险监管报表
risk-isolation mechanism	风险隔离机制
routine inspection	日常检查
rules of the Exchange	交易所规定
rules of the Exchange	交易所规则

S

safeguarding market order	维护市场正常交易秩序
seat; trading seat	席位

securities	有价证券
securities registration and clearing agency	证券登记结算机构
self-regulation	自律监督管理
self-regulatory measures	监管措施（交易所）
self-regulatory measures	自律处罚
self-trade	自买自卖
seller trading margin	卖方交易保证金
serious violation	情节严重的
settlement and delivery	交割结算
settlement documents	结算单据
settlement method	交割方式
settlement price	结算价
settlement price	结算价格
settlement price on the preceding trading day	上一交易日结算价
settlement seal	结算专用章
settlement statements	资金结算报表
Shareholder Meeting	股东大会
single-counted	单边
social security fund	社会保障类公司
software developer	软件开发公司
Special Clearing Member	特别结算会员

Special Institutional Client	特殊单位客户
specific notice	专用通知书
splitting of positions	分仓
SSE 50 Index	上证 50 股指
State organs and public institutions	国家机关和事业单位
statement of payments and receipts	收付款明细清单
statement on preparedness	准备情况说明书
statements of the parties involved	当事人陈述
static routing	静态路由
statistical documents	统计资料
statutory disclosures	法定披露信息
strike price intervals	执行价格间距
sub-contracting	转包
sub-leasing	转租
subsidiary account	明细账户
successive orders	连续申报
suitability regime for financial futures investors	金融期货投资者适当性制度
supervise	督促
supervision	监督管理
supervision and inspection	监督检查
supervisors	监事
Supervisory Board	监事会

suspend the opening of new positions	暂停开仓
suspend trading; interrupted	暂停交易
suspension or restriction of business activities	暂停或者限制业务
system software	系统软件

T

technical failure	技术故障
technical system	技术系统
telecommunications lines	通讯线路
telecommunications system	通讯系统
test report	测试成绩单
testimony of witnesses	证人证言
the amount available for withdrawal	可出金额
the current deposit rate	同期银行活期存款利率
the Exchange's staff	交易所工作人员
the matching ratio between futures and underlying positions	资产配比要求
threshold for the circuit breaker	熔断幅度
tick size	最小变动价位
tiered clearing system	分级结算制度
timely	及时

title defect	权利瑕疵
total face value	券面总额
total quarter-end client equity information form	每季度末客户权益总额情况表
track record	经营历史
trading abnormality	交易异常
trading and clearing data	交易结算数据
Trading Clearing Member	交易结算会员
trading code	交易编码
trading code system	交易编码制度
trading day	交易日
trading direction (buy or sell)	买卖方向
trading hours	交易时间
trading information	交易信息
trading margin	交易保证金
Trading Member	交易会员
Trading Membership application form	交易会员资格申请书
trading order	交易指令
trading price	交易价格
trading results	交易结果

Trading Rules (of the Exchange)	交易规则
trading unit	交易单位
trading volume	成交量
trading-related measures	交易管理办法
trading-related rules	交易管理规定
trading-volume-weighted average execution price	按照成交量的加权平均价
transaction date	成交日期
transaction fees	交易手续费
transaction number	成交编号
transaction receipt	业务凭证
transaction record	成交记录
transcript	笔录
transfer of custody	转托管
transfer of positions	移仓
transmission	传输
trust company	信托公司
two-sided quote	双边报价

U

underlying	合约标的
underlying instrument	标的物
underlying securities	现货

unit loss	单位净持仓亏损
unit profit	单位净持仓盈利
unjustifiable delay	无故逾期

V

value-added information service	信息增值服务业务
Variation Guarantee Fund	变动结算担保金
verbal reminder	谈话提醒
violate the position limit	违规超仓
violation	违规案件
violation (of rules and regulations) and breach (of contract)	违规违约行为
violation of laws and regulations; violation	违法违规

W

wash trades	自买自卖
watch list	重点监控名单
whistleblowing tip	举报
witness	见证人
written admonishment	书面警示
written decision	处理决定书