

(上接B097版)

《环球金融》评为中国内地唯一一家“最佳托管银行”。

- 内部控制系统
作为基金托管人,中国建设银行严格遵守国家有关托管业务的法律法规,行业监管规则和行业内有关管理规则,守法经营,规范运作,严格监督,确保业务的安全运行,保证基金财产的安全完整,确保有关信息的真实、准确、完整、及时,保护基金份额持有人的合法权益。
- 内部风险控制工作
中国建设银行设有风险与内部控制委员会,负责全行风险管理与内部控制工作,对托管业务风险控制工作进行检查指导,资产托管业务独立设置了专门的内控合规人员负责托管业务的内控合规工作,具有独立行使内控合规工作职权能力。
- 内部控制制度及措施
资产托管业务部具备系统、完善的制度控制体系,建立了管理制度、控制制度、岗位职责、业务操作流程,可以保证托管业务的规范操作和顺利进行,业务人员具备从业资格;业务管理实行复核、审核、检查制度,授权工作实行双人控制;业务印章及重要凭证的保管、存放、使用,账户资料严格保管,制约机制严格有效;业务操作区与设置、封闭管理,实施音像监控;业务信息由专职信息披露人员负责,防止泄密;业务实现自动化操作,防止人为事故的发生;技术系统完整、独立。

- 基金托管人对基金管理人运作基金进行监督的方法和程序
(一)监督方式
依照《基金法》及其配套法规和基金合同的约定,监督所托管基金的投资运作,利用自行开发的“新一代托管应用监督子系统”,严格按照现行法律法规以及基金合同规定,对基金管理人运作基金的投资比例、投资范围、投资组合等情况进行监督,在日常基金投资运作所提供的基金净值和核算服务环节中,对基金管理人运作的合法合规性和投资独立等方面进行评价,报送中国证监会。
- 监督内容
1.通过技术手段和技术手段发现基金涉嫌违规交易,电话或书面要求基金管理人进行解释并纠正,并向中国证监会报告。
- 相关服务机构
(一)基金份额发售机构
1.直销机构
名称:信诚基金管理有限公司
住所:中国(上海)自由贸易试验区世纪大道8号上海国金中心汇丰银行大楼9层
办公地址:中国(上海)自由贸易试验区世纪大道8号上海国金中心汇丰银行大楼9层
法定代表人:张瑞燕
客服电话:400-6660606
联系人:杨德慧
电话:021-68497888
投资人可以通过基金管理人网上交易系统办理基金开户、认购、申购及赎回等业务,具体交易细则请参阅基金管理人网站公告。网上交易网址:http://www.xcfund.com.cn/
- 2.销售机构
(1)中国建设银行股份有限公司
住所:北京市西城区金融大街25号
办公地址:北京市西城区闹市口大街1号院1号楼
法定代表人:王洪章
联系人:张静
电话:010-67596219
传真:010-66276654
客服电话:95533
网址:www.ccb.com
(2)中国银行股份有限公司
注册地址:北京西城区复兴门内大街1号
办公地址:北京西城区复兴门内大街1号
法定代表人:田国立
联系人:刘丽云
客服电话:95566
传真:010-66064946
电话:010-66094977
网址:www.boc.cn
(3)中国银行股份有限公司
注册地址:北京市东城区朝门内大街8号富华大厦C座
法定代表人:李庆萍
客服电话:95588
网址:http://bank.chinabank.com.cn/
(4)招商银行股份有限公司
注册地址:深圳市福山区深南大道7088号
办公地址:深圳市福山区深南大道7088号
法定代表人:李建强
联系人:邓朝晖
电话:0755-83077278
传真:0755-83150635
客户服务电话:95555
网址:www.cmbchina.com
(5)交通银行股份有限公司
住所:上海市浦东新区银城中路188号
法定代表人:牛锡明
电话:(021)58781234
传真:(021)58400483
联系人:张宏革
客户服务电话:95559
网址:www.bankcomm.com
(6)天银国际股份有限公司
注册地址:天津市河西区友谊道15号
办公地址:天津市河西区友谊道15号
法定代表人:袁福海
联系人:李洪岩
电话:022-60345684
客服电话:4006-96226
网址:http://www.tcb.com.cn/
(7)中信证券股份有限公司
注册地址:广东省深圳市福田区中心三路8号卓越时代广场(二期)北座(邮编:518006)
法定代表人:王东明
联系人:侯晓红
电话:010-60838966
传真:0755-23835861,010-60836029
公司网站:www.cs.citic.com
(8)中信期货有限公司
注册地址:深圳市福田区中心三路8号卓越时代广场(二期)北座13层
办公地址:深圳市福田区中心三路8号卓越时代广场(二期)北座13层
法定代表人:张皓
联系人:洪业强
电话:0755-82963913
传真:0755-82943636
网址:http://www.citicsf.com/
(9)中汇(山东)证券有限责任公司
注册地址:青岛市烟台路29号莱阳大厦15层(1507-1510室)
办公地址:山东省青岛城阳区长城路222号青岛国际金融中心广场2号楼20层
法定代表人:杨松岩
联系人:吴昊超
联系电话:0632-85022236
客服电话:95648
网址:www.zxwz.com.cn
(10)中信建投证券股份有限公司
注册地址:北京市朝阳区安立路66号4号楼
办公地址:北京市朝阳区安立路188号
法定代表人:王常青
联系人:魏明
联系电话:010-608130679
客户-服务电话:4008881018
公司网站:www.csc108.com
(11)招商证券股份有限公司
注册地址:深圳市福田区益田路江苏大厦A座38-45层
法定代表人:宫少林
联系人:黄莉
电话:0755-82960167
传真:(0755)82943636
网址:www.newone.com.cn
(12)南银理财股份有限公司
地址:上海打浦路859号海通证券大厦
法定代表人:王开国
客户服务电话:95653或拨打各城市营业网点咨询电话
联系人:李笑明
电话:021-23219276
传真:021-23219100
网址:www.htsec.com
(13)中国银河证券股份有限公司
注册地址:北京市西城区金融大街35号国际金融中心C座
办公地址:北京市西城区金融大街35号国际金融中心C座
法定代表人:陈有安
联系人:陈耀
联系电话:010-66568292
客户服务电话:4008-888-888
网站:www.chinastock.com.cn
(14)国泰君安证券股份有限公司
注册地址:中国(上海)自由贸易试验区商城路618号
办公地址:上海市浦东新区银城中路168号上海银行大厦29楼
法定代表人:杨德红
联系人:朱薇璐
电话:021-38676767
服务热线:400-686-066 / 95521
公司网站:www.gtja.com
(15)平安证券股份有限公司
注册地址:深圳市福田区金田路4182号平安国际交易广场8楼
办公地址:深圳市福田区金田路4182号平安国际交易广场8楼(518048)
法定代表人:杨宇翔
联系人:周一
电话:021-38637436
全国免费业务咨询电话:95511-8
开放式基金业务咨询电话:0755-82400862
全国统一总机:95511-8
地址:stock.pingan.com
(16)长城证券股份有限公司
注册地址:深圳市福田区深南大道6008号特区报业大厦14、16、17层
办公地址:深圳市福田区深南大道6008号特区报业大厦14、16、17层
法定代表人:黄巍华
联系人:刘萍
联系电话:0755-83616289
客服电话:400-6666-888
公司网站:www.cgws.com
(17)中国中投证券有限责任公司
注册地址:深圳市福田区益田路与福中路交界处荣超商务中心A栋第18层至21层及第04层01.02.03.05.11.12.13.15.16.18.19.20.21.22.23.24.25.26.27.28.30.31.32.33.34.35.36.37.38.39.40.41.42.43.44.45.46.47.48.49.50.51.52.53.54.55.56.57.58.59.60.61.62.63.64.65.66.67.68.69.70.71.72.73.74.75.76.77.78.79.80.81.82.83.84.85.86.87.88.89.90.91.92.93.94.95.96.97.98.99.100.101.102.103.104.105.106.107.108.109.110.111.112.113.114.115.116.117.118.119.120.121.122.123.124.125.126.127.128.129.130.131.132.133.134.135.136.137.138.139.140.141.142.143.144.145.146.147.148.149.150.151.152.153.154.155.156.157.158.159.160.161.162.163.164.165.166.167.168.169.170.171.172.173.174.175.176.177.178.179.180.181.182.183.184.185.186.187.188.189.190.191.192.193.194.195.196.197.198.199.200.201.202.203.204.205.206.207.208.209.210.211.212.213.214.215.216.217.218.219.220.221.222.223.224.225.226.227.228.229.230.231.232.233.234.235.236.237.238.239.240.241.242.243.244.245.246.247.248.249.250.251.252.253.254.255.256.257.258.259.260.261.262.263.264.265.266.267.268.269.270.271.272.273.274.275.276.277.278.279.280.281.282.283.284.285.286.287.288.289.290.291.292.293.294.295.296.297.298.299.300.301.302.303.304.305.306.307.308.309.310.311.312.313.314.315.316.317.318.319.320.321.322.323.324.325.326.327.328.329.330.331.332.333.334.335.336.337.338.339.340.341.342.343.344.345.346.347.348.349.350.351.352.353.354.355.356.357.358.359.360.361.362.363.364.365.366.367.368.369.370.371.372.373.374.375.376.377.378.379.380.381.382.383.384.385.386.387.388.389.390.391.392.393.394.395.396.397.398.399.400.401.402.403.404.405.406.407.408.409.410.411.412.413.414.415.416.417.418.419.420.421.422.423.424.425.426.427.428.429.430.431.432.433.434.435.436.437.438.439.440.441.442.443.444.445.446.447.448.449.450.451.452.453.454.455.456.457.458.459.460.461.462.463.464.465.466.467.468.469.470.471.472.473.474.475.476.477.478.479.480.481.482.483.484.485.486.487.488.489.490.491.492.493.494.495.496.497.498.499.500.501.502.503.504.505.506.507.508.509.510.511.512.513.514.515.516.517.518.519.520.521.522.523.524.525.526.527.528.529.530.531.532.533.534.535.536.537.538.539.540.541.542.543.544.545.546.547.548.549.550.551.552.553.554.555.556.557.558.559.560.561.562.563.564.565.566.567.568.569.570.571.572.573.574.575.576.577.578.579.580.581.582.583.584.585.586.587.588.589.590.591.592.593.594.595.596.597.598.599.600.601.602.603.604.605.606.607.608.609.610.611.612.613.614.615.616.617.618.619.620.621.622.623.624.625.626.627.628.629.630.631.632.633.634.635.636.637.638.639.640.641.642.643.644.645.646.647.648.649.650.651.652.653.654.655.656.657.658.659.660.661.662.663.664.665.666.667.668.669.670.671.672.673.674.675.676.677.678.679.680.681.682.683.684.685.686.687.688.689.690.691.692.693.694.695.696.697.698.699.700.701.702.703.704.705.706.707.708.709.710.711.712.713.714.715.716.717.718.719.720.721.722.723.724.725.726.727.728.729.730.731.732.733.734.735.736.737.738.739.740.741.742.743.744.745.746.747.748.749.750.751.752.753.754.755.756.757.758.759.760.761.762.763.764.765.766.767.768.769.770.771.772.773.774.775.776.777.778.779.780.781.782.783.784.785.786.787.788.789.790.791.792.793.794.795.796.797.798.799.800.801.802.803.804.805.806.807.808.809.810.811.812.813.814.815.816.817.818.819.820.821.822.823.824.825.826.827.828.829.830.831.832.833.834.835.836.837.838.839.840.841.842.843.844.845.846.847.848.849.850.851.852.853.854.855.856.857.858.859.860.861.862.863.864.865.866.867.868.869.870.871.872.873.874.875.876.877.878.879.880.881.882.883.884.885.886.887.888.889.890.891.892.893.894.895.896.897.898.899.900.901.902.903.904.905.906.907.908.909.910.911.912.913.914.915.916.917.918.919.920.921.922.923.924.925.926.927.928.929.930.931.932.933.934.935.936.937.938.939.940.941.942.943.944.945.946.947.948.949.950.951.952.953.954.955.956.957.958.959.960.961.962.963.964.965.966.967.968.969.970.971.972.973.974.975.976.977.978.979.980.981.982.983.984.985.986.987.988.989.990.991.992.993.994.995.996.997.998.999.1000.1001.1002.1003.1004.1005.1006.1007.1008.1009.1010.1011.1012.1013.1014.1015.1016.1017.1018.1019.1020.1021.1022.1023.1024.1025.1026.1027.1028.1029.1030.1031.1032.1033.1034.1035.1036.1037.1038.1039.1040.1041.1042.1043.1044.1045.1046.1047.1048.1049.1050.1051.1052.1053.1054.1055.1056.1057.1058.1059.1060.1061.1062.1063.1064.1065.1066.1067.1068.1069.1070.1071.1072.1073.1074.1075.1076.1077.1078.1079.1080.1081.1082.1083.1084.1085.1086.1087.1088.1089.1090.1091.1092.1093.1094.1095.1096.1097.1098.1099.1100.1101.1102.1103.1104.1105.1106.1107.1108.1109.1110.1111.1112.1113.1114.1115.1116.1117.1118.1119.1120.1121.1122.1123.1124.1125.1126.1127.1128.1129.1130.1131.1132.1133.1134.1135.1136.1137.1138.1139.1140.1141.1142.1143.1144.1145.1146.1147.1148.1149.1150.1151.1152.1153.1154.1155.1156.1157.1158.1159.1160.1161.1162.1163.1164.1165.1166.1167.1168.1169.1170.1171.1172.1173.1174.1175.1176.1177.1178.1179.1180.1181.1182.1183.1184.1185.1186.1187.1188.1189.1190.1191.1192.1193.1194.1195.1196.1197.1198.1199.1200.1201.1202.1203.1204.1205.1206.1207.1208.1209.1210.1211.1212.1213.1214.1215.1216.121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7.2218.2219.2220.2221.2222.2223.2224.2225.2226.2227.2228.2229.2230.2231.2232.22