

Rules on Management of Non-Ferrous Metal Products for Futures Delivery of the Shanghai Futures Exchange

(Amended August 2022)

Chapter 1: General Provisions

1. Subject to the *Trading Rules of Shanghai Futures Exchange*, the rules herein are made to enhance the management of futures products for delivery and protect the legitimate rights of the parties involved in futures transactions.
2. The Exchange, members, clients, registered producers and designated quality inspection agencies shall be bound by the rules herein.
3. In these Rules, “products for futures delivery” refer to registered products and other futures deliverables recognized by the Exchange.

Chapter 2: Registration

4. Registration application requirements
 - 4.1 Applicants shall be the domestic and foreign producers for relevant products with fairly good reputation and credibility on the market.
 - 4.2 The applicant should be able to meet the annual production capacity (for any single brand) at or above the following (tentative) levels: Copper, 50,000 metric tons; Aluminum, 100,000 metric tons; Zinc, 50,000 metric tons; Lead, 50,000 metric tons; Nickel (full plate), 5,000 metric tons; Nickel (briquette), 10,000 metric tons; Tin, 4,000 metric tons, with product quality meeting current national or international quality standards, production technologies in compliance with China’s current industrial policies and environmental protection requirements, and continuous, stable production output for at least one year.
 - 4.3 The products applied for registration shall come from legitimate resources and account for a substantial share of the physical market.

4.4 Other requirements prescribed by the Exchange.

5. Preliminary review on registration requirements

An applicant shall submit to the Exchange materials for preliminary review in accordance with the requirements specified in Article 4 of these Rules. Such materials will be checked against each of the requirements under Article 4. An applicant may proceed to the formal registration process only after the application passes the preliminary review. If necessary, the Exchange may conduct on-site inspections to verify the qualifications of the applicant.

6. Written application materials required for the registration application:

6.1 Product Registration Application Report;

6.2 Letter of Commitment (Appendix 1);

6.3 *SHFE Registration Form: Copper Cathode*, or *SHFE Registration Form: Unalloyed Aluminum Ingots for Re-melting (Al99.70)*, or *SHFE Registration Form: Zinc Ingots (ZN99.995)*, or *SHFE Registration Form: Lead Ingots (PB99.994)*, or *SHFE Registration Form: Electrolytic Nickel*, or *SHFE Registration Form: Tin Ingots*. (Please see Appendix 2, 3, 4, 5, 6 and 7);

6.4 Photocopies of the Business License, the Tax Registration Certificate, and the Enterprise Credit Information Publicity Report from the National Enterprise Credit Information Publicity System;

6.5 Trademark Registration Certificate or similar certificates proving and identifying the origin of the applying product;

6.6 Statements of Company Shareholders and Company Equity or Shareholding Structure;

6.7 Project Approval, Project Filing Registration, *Government acceptance on Environmental Protection Assessment Report*, etc.;

6.8 Product Quality Management documents;

6.8.1 The detailed tables of contents of key quality management documents, e.g. *Quality Manual*, *Quality Procedures*, *Standard Operation Procedures (SOPs)*;

6.8.2 Internal Control Standards;

6.8.3 Inspection items for major raw materials and auxiliary materials (incl. testing capability and methods);

6.8.4 Quality Inspection Items of Finished Products (incl. testing capability and methods);

6.8.5 Key Inspection Equipment (Name, Model, Quantity, Purposes);

6.9 The latest product quality inspection report from a third-party quality inspection agency;

6.10 The applicant's *Internal Product Quality Analysis Report* over the latest three months;

6.11 The applicant's Process Flow Diagrams (presented respectively if there are more than one process involved);

6.12 Descriptions of production equipment (specifications, parameters, quantity, etc.);

6.13 Color photographs showing the appearance, labels and packaging of the product, with captions providing following information:

6.13.1 The shape, size and weight of a single piece of the product;

6.13.2 The shape, size and weight of a product bundle/bag/barrel;

6.13.3 Packaging method, materials and specifications (incl. packaging clips), the position of trademark or label (including mark);

6.14 Color photographs showing the applicant's key production equipment, facilities and workshops (presented respectively if there are more than one production locations involved);

6.15 Samples of label stickers and marks and samples of Product Quality Certificates (with data noted);

6.16 Photocopies of various management system certificates;

6.17 Applicant's *Financial Accounting Statement* of the most recent fiscal year, audited (photocopies should bear the seal of the applicant);

6.18 Information about product registration at other Exchanges;

6.19 Other materials that the Exchange deems necessary;

All application materials must be presented in Chinese and the Chinese version shall prevail. The English version as an appendix is only for reference.

7. Registration procedures

An applicant that has passed the preliminary review shall complete the following registration procedures before registration approval. Unless otherwise specified, the applicant may negotiate with the Exchange on the timetables for each of the steps.

7.1 Written application materials

An applicant shall submit to the Exchange a complete set of written application materials and pass the review of the Exchange.

7.2 Product trial use

7.2.1 The product to be registered (copper, aluminum, zinc, lead) shall be sent to three domestic users designated by the applicant and recognized by the Exchange for trial use. Nickel and tin products are temporarily exempted from trial use.

7.2.2 The applicant should provide each trial user with two batches of products (produced at an interval of at least one month) for the trial use. The minimum quantity of each batch of copper, aluminum, zinc and lead products for trial use shall be 50 metric tons. The applicant shall track the trial use process and ensure that the products for trial use are not mixed with or contaminated by other products during the entire process. The trial users shall keep proper record of trial use and complete the trial use within three months after each batch arrives at their facilities.

7.2.3 The Exchange may at its sole discretion extend product trial use.

7.2.4 After the product passes the trial use, the trial user shall submit a trial use report to the Exchange.

The *Trial Use Report* should contain following information:

7.2.4.1 Initial product evaluation and testing before the trial use begins, including appearance quality, intrinsic quality, packaging, labeling, etc.

7.2.4.2 The name of end product to be tested, process description, quality analysis report, standards adopted (company standards, industrial standards or national standards), as well as problems identified during the trial use.

7.2.4.3 Trial use conclusion

7.2.5 Types of products for trial use

The products for trial use should comply with following requirements:

- 1) Copper: Copper electrical wires (diameter $\leq 0.1\text{mm}$) that can be processed by two or more types of processes;
- 2) Aluminum: Two or more types of materials for processing
- 3) Zinc: Two or more types of materials for processing
- 4) Lead: Two or more types of materials for processing

The Exchange may adjust the above requirements based on market conditions.

7.3 On-site inspection

7.3.1 Domestic products

7.3.1.1 The designated quality inspection agencies, together with the Exchange, shall conduct the on-site inspection at the applicant's location pursuant to the *Outlines of On-site Inspection on Products for Futures Delivery of the Shanghai Futures Exchange* (Appendix 8). Where an on-site inspection is ruled out due to special circumstances, the inspection shall be conducted in another form approved by the Exchange, with an on-site review arranged in the subsequent year;

7.3.1.2 The scope of on-site inspection includes: the operation of quality management systems, inspection on product quality (including intrinsic quality and appearance), packaging, measuring, processes, equipment operations, etc. For the quality inspection, the applicant should deposit two batches of products, produced at an interval of one month or longer, in its warehouse for finished goods or another location approved by the Exchange. Each batch of copper, aluminum, zinc, or lead products should be 200 metric tons; each batch of nickel or tin products should be of a quantity determined by the Exchange based on the circumstances. A designated quality inspection agency will inspect and verify the appearance, packaging, weight, chemical composition, and other pertinent aspects of the products. If an applicant

has failed in the initial inspection, it should provide products produced at least three months after that inspection while applying for a second quality inspection.

7.3.1.3 The designated quality inspection agency shall keep detailed records of the inspection and provide the Exchange with a complete quality inspection report. The applicant should participate into the inspection in a cooperative and effective way;

7.3.1.4 The Exchange may, based on the circumstances, conduct a trial survey on the trial users based on their feedbacks;

7.3.1.5 Where rectification is necessary, the applicant should rectify the problems identified during the on-site inspection and timely submit a rectification report to the Exchange;

7.3.2 Foreign products

7.3.2.1 Product quality inspection: the applicant should deposit two batches of products, produced at an interval of one month or longer, in a certified delivery warehouse or any other location designated by the Exchange for the quality inspection. The quantity of each batch of the copper, aluminum, zinc or lead product should be 200 metric tons, and the quantity of a nickel and tin product batch shall be determined by the Exchange according to evaluation need. A designated quality inspection agency will inspect and verify the appearance, packaging, weight, chemical composition, and other pertinent aspects of the products. If an applicant has failed in the initial inspection, it should provide products produced at least three months after that inspection while applying for a second quality inspection.

The quality inspection should be conducted against the quality standards specified in the contracts of the corresponding product. The designated quality inspection agency shall provide a *Quality Inspection Report*.

7.3.2.2 The trial use shall be carried out according to the current state product trial use requirements.

7.3.2.3 The Exchange shall decide at its sole discretion whether an on-site inspection shall be conducted at the applicant's location. The requirements of on-site inspection for foreign products are as same as those for domestic products.

7.4 Approval by the Exchange

The Exchange determines whether to approve a registration application based on the results of the preliminary review, the application materials for the registration, and

the results of trial use, on-site inspection and subsequent rectification. If an approval is granted, the Exchange shall notify the applicant, all members and certified delivery warehouses of the decision in writing.

8. Fees and charges

8.1 Product registration fee (for a single brand)

Domestic products: RMB 100,000;

Foreign products: RMB 250,000;

8.2 Inspection fee (for a single brand)

Domestic products: RMB 30,000 (copper, aluminum and zinc); RMB 40,000 (lead, nickel and tin)

Foreign products: RMB 40,000;

The Exchange may adjust the above charges and fees based on actual circumstances.

Chapter 3: Regular and Annual Random Inspection

9. To ensure the quality of the products for futures delivery, the Exchange may conduct regular and annual random inspections on the products when it deems such inspections necessary.

9.1 Regular random inspection: the Exchange may coordinate with a designated quality inspection agency to conduct a regular random inspection on the quality of the products for futures delivery that are stored in a warehouse of registered producers for finished products or in a certified delivery warehouse and that are covered by a standard warrant.

9.2 Annual random inspection: the Exchange may coordinate with a designated quality inspection agency to conduct an annual random inspection on the quality of the products for futures delivery. The products to be inspected shall be chosen at random based on the inventory and delivery situation of the certified delivery warehouses concerned.

9.3 Inspection fees for regular random inspections shall be borne by the registered producers; those for the annual random inspections shall be borne by the Exchange.

9.4 The Exchange shall issue a Rectification Notice to the producers whose products for futures delivery are found to have conspicuous quality issues during a regular or annual random inspection. The results of the producers' rectification activities shall be deemed as one of the essential factors in adjusting the list of products for futures delivery.

Chapter 4: Qualification Suspension, Cancellation and Others

10. In any of the following circumstances, the Exchange may issue a warning, issue a circular of criticism, suspend or cancel a product from futures delivery, or take other measures if:

10.1 The producer is dissolved or bankrupt;

10.2 The trademark of the product has been transferred. Or, there is a dispute over the ownership of the product's trademark;

10.3 The product has failed the regular or annual quality inspection and the special quality inspection carried out after rectification;

10.4 The Exchange has received too many complaints on the product quality and the product has failed the Exchange's quality inspection (in appearance, intrinsic quality, or another aspect) conducted in response to these complaints;

10.5 The producer fails to meet any applicable environmental protection requirements;

10.6 The producer fails to report significant changes in its production or operation (such as relocation or change in its controlling shareholder) to the Exchange;

10.7 The producer is listed as a dishonest enterprise by a competent authority or has received an administrative penalty; or

10.8 Other situations in which the Exchange deems such an action necessary.

Where production of a product for futures delivery has been suspended for an extended duration (three years or more) and the producer fails to offer an explanation to the Exchange, or where it fails to cooperate with the Exchange in providing the materials necessary for the management of the product as required, and, upon service of the supervisory notice by the Exchange, still fails to do so by the deadline set forth in the supervisory notice, the producer shall be deemed to have

surrendered the qualification of the product for futures delivery.

11. In any of the following circumstances, the registered producer shall apply to the Exchange for change of information of its product for futures delivery, without providing trial use report or undergoing on-site inspection on its quality management system:

11.1 The producer was split or merged, or has changed its name or its organizational form;

11.2 There is any change in the product's appearance, dimensions, shape, packaging, or stacking arrangement;

11.3 There is any conspicuous change in the product labels; or

11.4 There is any change or replacement in the registered trademarks of the producer group and such change or replacement has been approved by the Exchange.

In the case of 11.2, the product must first pass the inspection of the Exchange before being registered as a deliverable commodity.

12. The producer may apply to the Exchange to cancel a product registration, but shall cooperate with the Exchange in completing the transition process and any post-cancellation arrangements.

13. When a dispute over the quality of the product for futures delivery should arise during the delivery, the producer should cooperate with the Exchange to handle the matters involved in a proper way. If it's awarded that the producer is accountable for the loss caused by the product quality problem, the producer should bear the compensation responsibility.

Chapter 5: Supplementary Provisions

14. Based on business needs, the Exchange may exempt certain copper cathode products that have already been registered with the Shanghai International Energy Exchange from the registration procedures and automatically approve them as products for futures delivery.

15. Based on business needs, the Exchange may exempt certain products from the registration procedures and automatically approve them as products for futures delivery.

16. The Exchange reserves the right of final interpretation of the above articles.

17. These Rules shall take effect on MM DD, 2022.

Appendixes:

Appendix 1: Letter of Commitment

Appendix 2: SHFE Registration Form: Copper Cathode

Appendix 3: SHFE Registration Form: Unalloyed Aluminum Ingots for Re-melting (Al99.70)

Appendix 4: SHFE Registration Form: Zinc Ingots (Zn99.995)

Appendix 5: SHFE Registration Form: Lead Ingots (Pb99.994)

Appendix 6: SHFE Registration Form: Primary Nickel Cathode

Appendix 7: SHFE Registration Form: Tin Ingots

Appendix 8: Outlines of On-site Inspection on Products for Futures Delivery of the Shanghai Futures Exchange

Appendix 1:

Letter of Commitment

To ensure our product under the brand _____[®] is or remains a qualified product for futures delivery of the Shanghai Futures Exchange, we hereby make the following commitments:

1. Adhere to the *Rules on Management of Non-Ferrous Metal Products for Futures Delivery of the Shanghai Futures Exchange*;
2. Take the full responsibility with respect to the legitimacy, validity, truthfulness and integrity of all materials submitted to the Exchange;
3. Accept any inspection resulting from a quality dispute at any time and assume any due responsibility that may incur;
4. Make timely, precise and complete reports to the Exchange about the significant changes in production or operation, including production capacity, technical standards in application, trademark, the appearance and size of product, company restructuring, or organization adjustment, and assume any due responsibility for the loss might result from the failure of providing such reports as required; and,
5. Paying to the Exchange and the designated quality inspector the fees that may incur, as prescribed in the *Rules on Management of Non-Ferrous Metal Products for Futures Delivery of the Shanghai Futures Exchange*;

Producer: (signature and seal)

Date:

Appendix 2:

SHFE Registration Form: Copper Cathode

General Information of the Producer

Product	Copper cathode		
Technical Standards in application			
Applicant			
Country			
Registered Address (postal code)			
Plant Address (postal code)			
E-mail		Fax:	
Contact Dept.		Contact:	
Contact Phone/WeChat/QQ			

Applicant: (signature and seal)

Date of application: YY MM DD

Producer Profile

Note:

The profile shall include but not limited to following information: geographic location, corporate history, corporate institution and rules, shareholders, employees and managements, key products, output, product quality, status in the industry, corporate management system, sources of raw materials, energy supply, business advantages, development planning, etc.

If the product is produced in SX-EW process or permanent cathode electrolytic processes, please specify the exact process adopted in the Producer Profile.

Product Profile

Product Name		Registered trademark	
Technical standards in application		Inception date of production	
Capacity (metric tons/year)		Last year output (metric tons) (from MM to MM)	
Current year output (metric tons) (from MM to MM)		In which	Cu-CATH-1 output (metric tons)
			Cu-CATH-2 output (metric tons)
Sales volume (metric tons)		Self use (metric tons)	
Size (mm) (L*W*H)	Ingot Weight (kg)	Bundle weight (kg)	Ingot/bundle (approx.)
			Bundle/lot (25 metric tons/ lot)
Bundle stacking:			
Packaging (method, materials and specifications):			
Labels and descriptions:			
Packaging clips and descriptions:			
Difference in the packages of spot product and futures product:			

Trademark Registration No.:

Expiry date:

Logo:

Note: when more than one trademark is used, please specify the logos, packages and production plants of different trademarks for distinguishing.

Key Economic and Technical Indicators

Indicators	Last year	Planned for current year	Year-to-date From MM to MM
1. Output (metric ton)			
2. Output value (in RMB 100 mil):			
3. Profit (in RMB 10,000):			
4. Current efficiency (%)			
5. Unit DC consumption (kilowatt-hours/metric ton)			
6. Unit AC consumption (kilowatt-hours/metric ton)			
7. Average Current Intensity (amps)			
8. Overall recycling rate (%)			
9. Unit direct production cost (RMB/metric ton)			

Appendix 3:

**SHFE Registration Form: Unalloyed Aluminum Ingots for Re-melting
(A199.70)**

General Information of the Producer

Product	Unalloyed Aluminum Ingots for Re-melting (A199.70)		
Technical Standards in application			
Applicant			
Country			
Registered Address (postal code)			
Plant Address (postal code)			
E-mail		Fax:	
Contact Dept.		Contact:	
Contact Phone/WeChat/QQ			

Applicant: (signature and seal)

Date of application: YY MM DD

Producer Profile

Note:

The profile shall include but not limited to following information: geographic location, corporate history, corporate institution and rules, shareholders, employees and managements, key products, output, product quality, status in the industry, corporate management system, sources of raw materials, energy supply, business advantages, development planning, etc.

If more than one production processes are involved, please specify in the Producer Profile.

Product Profile

Product Name		Registered trademark	
Technical standards in		Inception date of	

application		production	
Capacity (metric tons/year)		Last year output (metric tons) (from MM to MM)	
Current year output (metric tons) (from MM to MM)		In which AI99.70 Output	
Sales volume (metric tons)		Self use (metric tons)	
Size (mm) (L*W*H)	Ingot Weight (kg)	Bundle weight (kg)	Ingot/Bundle (approx.) Bundle/lot (25 metric tons/ lot)
Big face (bottom surface):			
Small face (with marks):			
<p>Bundle stacking:</p> <p>1. _____layers/bundle, in which, _____layers in the upper half, _____ingots per layer; _____layers in the lower half, _____ingots per layer;</p> <p>2. Stacking pattern of every layer:</p>			
Packaging (method, materials and specifications):			
Labels and descriptions:			
Packaging clips and descriptions:			
Difference in the packages of spot product and futures product:			

Trademark Registration No.:

Expiry date:

Logo:

Note: when more than one trademark are used, please specify the logos, packages and production plants of different trademarks for distinguishing.

Key Economic and Technical Indicators

Indicators	Last year	Planned for current year	Year-to-date From MM to MM
1. Output (metric ton)			
2. Output value (in RMB 100 mil):			
3. Profit (in RMB 10,000):			
4. Unit AC consumption of primary aluminum (kilowatt-hours/metric ton)			
5. Current efficiency (%)			
6. Average Current Intensity (amps)			
7. Unit DC consumption of primary aluminum (kilowatt-hours/metric ton)			
8. Average cell voltage (Volt)			
9. Unit consumption of aluminum oxide (kg/metric ton)			
10. Unit consumption of fluorite salt (kg/metric ton)			
11. Unit consumption of anode carbon block (kg/metric ton)			
12. Unit direct production cost (RMB/metric ton)			

Appendix 4

SHFE Registration Form: Zinc Ingots (Zn99.995)

General Information of the Producer

Product	Zinc ingot (Zn99.995)		
Technical Standards in application			
Applicant			
Country			
Registered Address (postal code)			
Plant Address (postal code)			
E-mail		Fax:	
Contact Dept.		Contact:	
Contact Phone/WeChat/QQ			

Applicant: (signature and seal)

Date of application: YY MM DD

Producer Profile

Note:

The profile shall include but not limited to following information: geographic location, corporate history, corporate institution and rules, shareholders, employees and managements, key products, output, product quality, status in the industry, corporate management system, sources of raw materials, energy supply, business advantages, development planning, etc.

If more than one production processes are involved, please specify in the Producer Profile.

Product Profile

Product Name		Registered trademark	
Technical standards in application		Inception date of production	
Capacity (metric tons/year)		Last year output (metric tons) (from MM to MM)	
Current year output (metric tons) (from MM to MM)		In which, Zn99.995 Output	
Sales volume (metric tons)		Self use (metric tons)	
Size (mm) (L*W*H)	Ingot Weight (kg)	Bundle weight (kg)	Ingot/Bundle (approx.) Bundle/lot (25 metric tons/ lot)
Big face (bottom surface):			
Small face (with marks):			
<p>Bundle stacking:</p> <p>1. ____layers/bundle, in which, ____layers in the upper half, ____ingots per layer; ____layers in the lower half, ____ingots per layer;</p> <p>2. Stacking pattern of every layer:</p>			
Packaging (method, materials and specifications):			
Labels and descriptions:			
Packaging clips and descriptions:			
Difference in the packages of spot product and futures product:			

Trademark Registration No.:

Expiry date:

Logo:

Note: when more than one trademark are used, please specify the logos, packages and production plants of different trademarks for distinguishing.

Key Economic and Technical Indicators

Indicators	Last year	Planned for current year	Year-to-date From MM to MM
1. Output (metric ton)			
2. Output value (in RMB 100 mil):			
3. Profit (in RMB 10,000):			
4. Total recycling rate in zinc distillation (%)			
5. Total recycling rate in refined zinc smelting (%)			
6. Total recycling rate in electrolytic zinc smelting (%)			
7. General energy consumption in zinc distillation (kg standard coal/metric ton)			
8. DC consumption of zinc precipitating (kilowatt-hours/metric ton)			
9. General energy consumption in refined zinc smelting (kg standard coal/metric ton)			
10. General energy consumption in electrolytic zinc smelting (kg/metric ton)			
11. Unit direct production cost (RMB/metric ton)			

Appendix 5

SHFE Registration Form: Lead Ingots (Pb99.994)

General Information of the Producer

Product	Lead Ingot (Pb99.994)		
Technical Standards in application			
Applicant			
Country			
Registered Address (postal code)			
Plant Address (postal code)			
E-mail		Fax:	
Contact Dept.		Contact:	
Contact Phone/WeChat/QQ			

Applicant: (signature and seal)

Date of application: YY MM DD

Producer Profile

Note:

The profile shall include but not limited to following information: geographic location, corporate history, corporate institution and rules, shareholders, employees and managements, key products, output, product quality, status in the industry, corporate management system, sources of raw materials, energy supply, business advantages, development planning, etc.

If more than one production processes are involved, please specify in the Producer Profile.

Product Profile

Product Name		Registered trademark		
Technical standards in application		Inception date of production		
Capacity (metric tons/year)		Last year output (metric tons) (from MM to MM)		
Current year output (metric tons) (from MM to MM)		In which Pb99.994 Output		
Sales volume (metric tons)		Self use (metric tons)		
Size (mm) (L*W*H)	Ingot Weight (kg)	Bundle weight (kg)	Ingot/bundle (approx.)	Bundle/lot (25 metric tons/ lot)
Big face (bottom surface):				
Small face (with marks):				
Bundle stacking: 1. ____ layers/bundle, in which, ____ layers in the upper half, ____ ingots per layer; ____ layers in the lower half, ____ ingots per layer; 2. Stacking pattern of every layer:				
Packaging (method, materials and specifications):				
Labels and descriptions:				
Packaging clips and descriptions:				
Difference in the packages of spot product and futures product:				

Trademark Registration No.:

Expiry date:

Logo:

Note: when more than one trademark are used, please specify the logos, packages and production plants of different trademarks for distinguishing.

Key Economic and Technical Indicators

Indicators	Last year	Planned for current year	Year-to-date From MM to MM
1. Output (metric ton)			
2. Output value (in RMB 100 mil):			
3. Profit (in RMB 10,000):			
4. Total recycling rate of lead (%) (crude lead smelting)			
5. Total recycling rate of lead (%) (electrolytic refining)			
6. Total sulfur recycling rate (%)			
7. General energy consumption per unit product in crude lead smelting (kg standard coal/metric			
8. DC consumption in electrolytic refining per unit product (kilowatt-hours/metric ton)			
9. Unit direct production cost (RMB/metric ton)			

Appendix 6

SHFE Registration Form: Primary Nickel Cathode

General Information of the Producer

Product	Primary Nickel Cathode (Ni99.8/Ni9996/Ni9999) (Full Plate/Briquette)		
Technical Standards in application			
Applicant			
Country			
Registered Address (postal code)			
Plant Address (postal code)			
E-mail		Fax:	
Contact Dept.		Contact:	
Contact Phone/WeChat/QQ			

Applicant: (signature and seal)

Date of application: YY MM DD

Producer Profile

Note:

The profile shall include but not limited to following information: geographic location, corporate history, corporate institution and rules, shareholders, employees and managements, key products, output, product quality, status in the industry, corporate management system, sources of raw materials, energy supply, business advantages, development planning, etc.

If more than one production processes are involved, please specify in the Producer Profile.

Product Profile

Product Name		Registered trademark		
Technical standards in application		Inception date of production		
Capacity (metric tons/year)		Last year output (metric tons) (from MM to MM)		
Current year output (metric tons) (from MM to MM)		In which	Ni99.8 Output (metric tons)	
			Ni9996 Output (metric tons)	
Sales volume (metric tons)		Self use (metric tons)		
Size (mm) (L*W*H)	Ingot Weight (kg)	Bundle/bag /barrel weight (kg)	Ingot/(bundle /bag/barrel) (approx.)	(Bundle/bag/barrel)/lot (6 metric tons/lot)
Bundle stacking:				
Packaging (method, materials and specifications):				
Labels/Marks and descriptions:				
Packaging clips and descriptions:				
Difference in the packages of spot product and futures product:				

Trademark Registration No.:

Expiry date:

Logo:

Note: when more than one trademark are used, please specify the logos, packages and production plants of different trademarks for distinguishing.

Key Economic and Technical Indicators

Indicators	Last year	Planned for current year	Year-to-date From MM to MM
1. Output (metric ton)			
2. Output value (in RMB 100 mil):			
3. Profit (in RMB 10,000):			
4. Current efficiency (%)			
5. Unit AC consumption (kilowatt-hours/metric ton)			
6. Overall recycling rate (%)			
7. Average Current Intensity (amps)			
8. General energy consumption per unit product (kg standard coal/metric ton)			
9. Unit direct production cost (RMB/metric ton)			

Appendix 7

SHFE Registration Form: Tin Ingots

General Information of the Producer

Product	Tin ingot (SN 99.90A / SN 99.90AA / SN 99.95AA)		
Technical Standards in application			
Applicant			
Country			
Registered Address (postal code)			
Plant Address (postal code)			
E-mail		Fax:	
Contact Dept.		Contact:	
Contact Phone/WeChat/QQ			

Applicant: (signature and seal)

Date of application: YY MM DD

Producer Profile

Note:

The profile shall include but not limited to following information: geographic location, corporate history, corporate institution and rules, shareholders, employees and managements, key products, output, product quality, status in the industry, corporate management system, sources of raw materials, energy supply, business advantages, development planning, etc.

If more than one production processes are involved, please specify in the Producer Profile.

Product Profile

Product Name		Registered trademark		
Technical standards in application		Inception date of production		
Capacity (metric tons/year)		Last year output (metric tons) (from MM to MM)		
Current year output (metric tons) (from MM to MM)		In which	Product 1 output (metric tons)	
			Product 2 output (metric tons)	
Sales volume (metric tons)		Self use (metric tons)		
Size (mm) (L*W*H)	Ingot Weight (kg)	Bundle weight (kg)	Ingot/bundle (approx.)	Bundle/lot (2 metric tons/ lot)
Big face (bottom surface):				
Small Face (with marks):				
Bundle stacking: 1. ____layers/bundle, in which, ____layers in the upper half, ____ingots per layer; layers in the lower half, ___ingots per layer; 2. Stacking pattern of every layer:				
Packaging (method, materials and specifications):				
Labels and descriptions:				
Packaging clips and descriptions:				
Difference in the packages of spot product and futures product:				

Trademark Registration No.:

Expiry date:

Logo:

Note: when more than one trademark are used, please specify the logos, packages and production plants of different trademarks for distinguishing.

Key Economic and Technical Indicators

Indicators	Last year	Planned for current year	Year-to-date From MM to MM
1. Output (metric ton)			
2. Output value (in RMB 100 mil):			
3. Profit (in RMB 10,000):			
4. Overall recycling rate of tin metals (%)			
5. Unit AC consumption (kilowatt-hours/metric ton)			
6. General energy consumption per unit product (kg standard coal/metric ton)			
7. Unit direct production cost (RMB/metric ton)			

Appendix 8

Outlines of On-site Inspection on Products for Futures Delivery of the Shanghai Futures Exchange

1. Auditing on the producer's quality management system

1.1 Briefing by the producer on its corporate profile and operation of quality management system; and

1.2 The producer shall provide the following technical documents and materials:

1.2.1 Workflow chart of production techniques;

1.2.2 Guiding manuals of key operations and control requirements;

1.2.3 Records of process monitoring and product clearance for the recent 3 months;

1.2.4 Records of the maintenance plan and records of maintenance for major equipment of production for the recent 3 months;

1.2.5 Records of internal verification of quality management system for the recent 2 years;

1.2.6 Standards and methods of inspection on raw materials, semi-finished products and finished products;

1.2.7 Records of inspection on raw materials, semi-finished products and finished products for the recent 3 months;

1.2.8 Latest accounts of inspection and experiment and measuring records;

For internal calibration, methods, internal records, qualifications of calibration staff or proof of qualification training shall be provided.

1.2.9 List of qualified suppliers of raw materials, evaluations and annual inspection record for the recent 1 year;

1.2.10 Customer complaints and records of reject, and records of surveys on customer satisfaction for the recent 1 year;

1.2.11 Requirements on staff of production and inspection posts, and plans, records and certificates of trainings for the recent 2 years; and

1.2.12 Photocopies of quality guarantee certificates, which have been issued, of the finished products.

By the time the registration inspection takes place, the documents and materials as prescribed in 1.2 here above shall be ready for review, and the personnel of departments accountable shall make introductions to the information related to the documents and materials.

2. Quality inspection (for single batch)

2.1 Copper cathode

2.1.1 Surface (exterior) quality inspection

2.1.1.1 All the requirements on surface quality in GB/T 467 – *Copper Cathode* (refer, here and hereinafter, to the current contract that is applicable);

2.1.1.2 For surface quality inspection, marks and symbols that indicate product name, applicable standards, brand, lot number, lot weight, date of production, name of producer, place of production shall be clear on each bundle of copper cathode; and

2.1.1.3 Amounts for surface quality inspection shall be any 100 pieces out of any lot number of products.

2.1.2 Intrinsic quality inspection

Refer to the requirements of GB/T 467 – *Copper Cathode*, with inspection carried out in accordance with GB/T 5121 – *Methods for Chemical Analysis of Copper and Copper Alloys*, or SN/T 2259 – *Determination of Chemical Components in High Purity Copper Cathode—Inductively Coupled Plasma Atomic Emission Spectrometry (ICP-AES)*, or SN/T2260 – *Determination Chemical Compounds of Copper Cathode—Photoelectric Emission Spectroscopic Method*.

2.1.3 Inspection on product packaging and measuring

2.1.3.1 Packaging materials

2.1.3.2 Bundling tightness and sturdiness

2.1.3.3 Pieces of ingots per bundle

2.1.3.4 Erroneous bundle weight discrepancy

2.1.3.4.1 Weight difference between bundles

2.1.3.4.2 Weight difference between the bundle delivered into the warehouse and the bundle for inspection

2.1.4 Verification of quality certificate

2.2 Unalloyed aluminum ingot for re-melting

2.2.1 Surface (exterior) quality inspection

2.2.1.1 All the requirements on surface quality in GB/T 1196 – *Unalloyed Aluminium Ingots for Remelting* (refer, here and hereinafter, to the current contract that is applicable);

2.2.1.2 For surface quality inspection,

2.2.1.2.1 Symbol of production plant, smelting number and check stamp shall be clear on each aluminum ingot; and

2.2.1.2.2 Marks and symbols that indicate product name, applicable standards, smelting number, bundle number, net weight, number of pieces, brand, date of production, name of producer, place of production shall be clear on each bundle of aluminum ingots.

2.2.1.3 Amounts for surface quality inspection

2.2.1.3.1 Any 1 to 2 smelting numbers of products; and

2.2.1.3.2 Any 100 pieces approximately out of any 1 to 2 bundles out of the 1 to 2 smelting numbers as prescribed in 2.2.1.3.1 here above.

2.2.2 Intrinsic quality inspection

Refer to the requirements of GB/T 1196 – *Unalloyed Aluminium Ingots for Remelting*, with inspection carried out in accordance with GB/T 20975 – *Methods for Chemical Analysis of Aluminium and Aluminium Alloys* or SN/T 1112 – *The Determination of Chemical Components in Aluminum Ingots—Inductively Coupled Plasma Atomic*

Emission Spectrometric Method.

2.2.3 Inspection on product packaging and measuring

2.2.3.1 Packaging materials;

2.2.3.2 Packaging tightness and sturdiness;

2.2.3.3 Pieces of ingots per bundle; and

2.2.3.4 Erroneous bundle weight discrepancy

2.2.3.4.1 Weight difference between bundles

2.2.3.4.2 Weight difference between the bundle delivered into the warehouse and the bundle for inspection

2.2.4 Verification of quality certificate

2.3 Zinc

2.3.1 Surface (exterior) quality inspection

2.3.1.1 All the requirements on surface quality in GB/T 470 – *Zinc Ingots* (refer, here and hereinafter, to the current contract that is applicable);

2.3.1.2 For surface quality inspection,

2.3.1.2.1 Colored marks shall be on each bundle or each zinc ingot; and

2.3.1.2.2 Marks and symbols that indicate product name, trademark, brand, lot number, applicable standards, net weight, number of pieces, date of production, name of producer, place of production shall be clear on each bundle of zinc ingots.

2.3.1.3 Amounts for surface quality inspection

2.3.1.3.1 Any 1 to 2 lot number of products; and

2.3.1.3.2 Any 100 pieces approximately out of any 1 to 2 bundles out of the 1 to 2 lot numbers as prescribed in 2.3.1.3.1 here above.

2.3.2 Intrinsic quality inspection

Refer to the requirements of GB/T 470 – *Zinc Ingots*, with inspection carried out in accordance with GB/T 12689 – *The Methods for Chemical Analysis of Zinc and Zinc Alloys*.

2.3.3 Inspection on product packaging and measuring

2.3.3.1 Packaging materials;

2.3.3.2 Packaging tightness and sturdiness;

2.3.3.3 Pieces of ingots per bundle; and

2.3.3.4 Erroneous bundle weight discrepancy

2.3.3.4.1 Weight difference between bundles

2.3.3.4.2 Weight difference between the bundle delivered into the warehouse and the bundle for inspection

2.3.4 Verification of quality certificate

2.4 Lead

2.4.1 Surface (exterior) quality inspection

2.4.1.1 All the requirements on surface quality in GB/T 469 – *Lead Ingots* (refer, here and hereinafter, to the current contract that is applicable);

2.4.1.2 For surface quality inspection,

2.4.1.2.1 Colored marks shall be on each bundle or each lead ingot; and

2.4.1.2.2 Marks and symbols that indicate product name, trademark, brand, lot number, applicable standards, net weight, number of pieces, date of production, name of producer, place of production shall be clear on each bundle of lead ingots.

2.4.1.3 Amounts for surface quality inspection

2.4.1.3.1 Any 1 to 2 lot number of products; and

2.4.1.3.2 Any 100 pieces approximately out of any 1 to 2 bundles out of the 1 to 2 lot numbers as prescribed in 2.4.1.3.1 here above.

2.4.2 Intrinsic quality inspection

Refer to the requirements of GB/T 469 – *Lead Ingots*, with inspection carried out in accordance with GB/T 4103 – *Methods for Chemical Analysis of Lead and Lead Alloys*.

2.4.3 Inspection on product packaging and measuring

2.4.3.1 Packaging materials;

2.4.3.2 Packaging tightness and sturdiness;

2.4.3.3 Pieces of ingots per bundle; and

2.4.3.4 Erroneous bundle weight discrepancy

2.4.3.4.1 Weight difference between bundles

2.4.3.4.2 Weight difference between the bundle delivered into the warehouse and the bundle for inspection

2.4.4 Verification of quality certificate

2.5 Primary Nickel cathode

2.5.1 Surface (exterior) quality inspection

2.5.1.1 All the requirements on surface quality in GB/T 6516 – *Electrolytic Nickel* (refer, here and hereinafter, to the current contract that is applicable);

2.5.1.2 For surface quality inspection, marks and symbols that indicate product name, trademark, brand, lot number, applicable standards, net weight, number of pieces, date of production, name of producer, place of production shall be clear on each bundle of nickel plate or each bag or barrel of nickel briquette; and

2.5.1.3 Amounts for surface quality inspection.

2.5.1.3.1 Randomly select one or two lot numbers;

2.5.1.3.2 Nickel Full Plate: Randomly select one or two bundles from each of the lot numbers chosen, with every piece being inspected;

Nickel Briquette: Randomly select three to five bags (barrels) from each of the lot

numbers chosen, open the bags (barrels) to take samples, and inspect every sample briquette.

2.5.2 Intrinsic quality inspection

Nickel Full Plate: For domestic product, refer to the requirements of GB/T 6516 – *Electrolytic Nickel*, with inspection carried out in accordance with GB/T 8647 – *The Methods for Chemical Analysis of Nickel*. For foreign product, refer to the requirements of ASTM B39-79.

Nickel Briquette: Refer to the requirements for Ni99.80 in the latest ASTM B39-79 – *Standard Specification for Nickel*, with inspection carried out in accordance with the latest ASTM-E39 – *Methods for Chemical Analysis of Nickel* and GB/T 8647 – *The Methods for Chemical Analysis of Nickel* or other approved methods.

2.5.3 Inspection on product packaging and measuring

2.5.3.1 Packaging materials

2.5.3.2 Bundling tightness and sturdiness or the integrity of the bags (barrels)

2.5.3.3 Pieces of ingots per bundle or bag (barrel)

2.5.3.4 Erroneous bundle (bag/barrel) weight discrepancy

2.5.3.4.1 Weight difference between bundles (bags/barrels)

2.5.3.4.2 Weight difference between the bundle (bag/barrel) delivered into the warehouse and the bundle (bag/barrel) for inspection

2.5.4 Verification of quality certificate

2.6 Tin

2.6.1 Surface (exterior) quality inspection

2.6.1.1 All the requirements on surface quality in GB/T 728 – *Tin Ingots* (refer, here and hereinafter, to the current contract for the year version of the standard that is applicable);

2.6.1.2 For surface quality inspection:

Marks and symbols that indicate product name, trademark, brand, grade, lot number, applicable standards, net weight, number of pieces, date of production, name of producer, and place of production shall be clear on each bundle of tin ingots.

2.6.1.3 Amounts for surface quality inspection

2.6.1.3.1 Randomly select one or two lot numbers;

2.6.1.3.2 Randomly select one or two sets from the lot numbers chosen, with every ingot/piece being inspected;

2.6.2 Intrinsic quality inspection

Refer to the requirements of GB/T 728 – *Tin Ingots*, with inspection carried out in accordance with GB/T 3260 – *Methods for Chemical Analysis of Tin* or YS/T 36 – *Methods for Chemical Analysis of High-purity Tin*.

2.6.3 Inspection on product packaging and measuring

2.6.3.1 Packaging materials;

2.6.3.2 Packaging tightness and sturdiness;

2.6.3.3 Pieces of ingots per bundle; and

2.6.3.4 Erroneous bundle weight discrepancy

2.6.3.4.1 Weight difference between bundles

2.6.3.4.2 Weight difference between the bundle delivered into the warehouse and the bundle for inspection

2.6.4 Verification of quality certificate

