

# 郑州商品交易所标准仓单管理办法

## Rules for Standard Warrants of Zhengzhou Commodity Exchange

（郑州商品交易所第五届理事会2014年6月16日审议通过，自2014年7月8日施行。）

（Approved by the 5th Council of Zhengzhou Commodity Exchange on June 16, 2014 and put in force since July 8, 2014.）

## 第一章 总则

### Chapter 1 General Provisions

第一条 为保障郑州商品交易所（以下简称交易所）商品期货交割业务的正常进行，规范标准仓单的管理，根据《郑州商品交易所交易规则》，制定本办法。

Article 1 According to “Trading Rules of Zhengzhou Commodity Exchange”, the guidelines herein are stipulated to ensure the normal operation of futures delivery and to enhance the management of standard warrants in Zhengzhou Commodity Exchange ((hereinafter referred to as ZCE in short).

第二条 标准仓单的注册、流通和注销等业务，按本办法执行。

Article 2 The formation, circulation and cancellation of standard warrants in ZCE shall comply with the guideline herein.

第三条 交易所、会员、客户、指定商品交割仓库（以下简称仓库）、指定商品交割厂库（以下简称厂库）及指定质检机构（以下简称质检机构）办理与标准仓单有关的各项业务，应当遵守本办法。

Article 3 ZCE, members, clients, the designated warehouses (hereinafter referred to as the warehouse in short), the designated delivery factory (hereinafter referred to as the factory in short) and designated inspection institution (hereinafter referred to as the inspection institution in short) should conform to the guidelines herein to conduct business concerning standard warrants.

## 第二章 标准仓单

### Chapter 2 Standard Warrants

第四条 标准仓单是指仓库或厂库按照交易所规定的程序提交仓单注册申请后，经交易所注册，可用于证明货主拥有实物或者可予提货的财产凭证。

Article 4 The standard warrant is a unified physical delivery certificate, which is registered in ZCE to certify that the owner has goods or could take delivery of goods after submitting the application of registration by warehouses or factories according to the process prescribed by ZCE.

根据申请注册的主体不同，标准仓单分为仓库标准仓单（以下简称仓库仓单）和厂库标准仓单（以下简称厂库仓单）两种。

According to different subjects who apply for registration, standard warrants can be classified into standard warrants of warehouse (hereinafter referred to as warehouse warrants in short), standard warrants of factory (hereinafter referred to as factory warrants in short)

第五条 交易所通过计算机系统办理标准仓单的注册、交割、转让、充抵保证金和注销等业务。

Article 5 ZCE handles the registration, delivery, circulation, offsetting margin, and cancellation of standard warrants through its exchange terminal.

会员或客户使用标准仓单向商业银行等第三方提供担保的，须向交易所办理标准仓单质权登记手续。未经交易所办理质权登记的，不得约束其他会员或客户等第三人。

In case that brokerage members or clients use standard warrants to provide guarantee to commercial banks or other third parties, they are required to go through the registration procedure

of the pledge rights of standard warrants in ZCE. Otherwise, they shall not restrict other brokerage members, clients or other third parties.

会员或客户在开通质权登记及质权行使通道的商业银行将标准仓单质押后,经交易所批准,可在该银行的质权登记及质权行使通道下,建立不超过质押标准仓单数量的空头头寸。该头寸只能进行实物交割,不得平仓,但因交易所监管需要专项批准的除外。

Once the members and clients pledge the standard warrants in the commercial banks, where they open registration and exercising channels of the pledge rights, they can establish short positions not beyond the amount of the pledged standard warrants after the approval of the ZCE. The established short positions can not be liquidated and can only be kept for physical delivery except that the ZCE needs to specially approve because of supervision.

在交易所开通标准仓单质权登记及质权行使通道的商业银行,出现会员或客户到期未归还仓单质押贷款时,可通过转让仓单或建立对应期货空头头寸以交割等方式处置质押仓单;增值税专用发票的流转按照《郑州商品交易所期货交割细则》第五章规定处理。

For commercial banks which open registration and exercising channels of the pledge rights of standard warrants in ZCE, they can dispose pledged warrants by circulation, or open corresponding short positions for delivery if brokerage members or clients do not repay the pledged loan before the deadline; the flow of VAT invoices shall be handled according to the relevant regulations in ZCE.

第六条 仓库标准仓单的生成包括交割预报、入库验收、质量检验、仓库申请注册及交易所办理注册等环节。

Article 6 The formation of warehouse standard warrants includes the procedures of delivery forecast, checking and inspection for entering into the warehouse, submitting the application of registration by warehouses and registration in ZCE.

厂库标准仓单的生成包括厂库申请注册及交易所办理注册等环节。

The formation of factory standard warrants includes application to the factory, registration in ZCE and other procedures.

经交易所注册的标准仓单,方可适用于与期货相关的业务。

The standard warrants registered by ZCE are applicable to the business related to futures.

第七条 标准仓单根据流通性质不同,分为通用标准仓单和非通用标准仓单两种。

Article 7 According to the different circulation natures of standard warrants, it can be classified into common standard warrants and uncommon standard warrants.

仓库或厂库向标准仓单持有人承担质量及数量责任。标准仓单流通转让的,其载明货物的权利及风险相应转移。

Warehouse or factory shall take responsibilities for quality and quantity of designated commodities of the owner of standard warrants. The rights and risk of commodities mentioned in the standard warrants shall be transferred accordingly once they have been circulated.

第八条 通用标准仓单是指标准仓单持有人按照交易所的规定和程序可以到仓单载明品种所在的任一仓库或厂库选择提货的财产凭证。

Article 8 Common standard warrant is defined as the property certificate which grant rights of holders to pick up goods at any warehouses in accordance with the rules and procedures of ZCE.

适用通用标准仓单的品种包括小麦、PTA、菜油、菜粕、早籼稻、晚籼稻、甲醇、玻璃、白糖<sup>1</sup>。

The products which apply to the common standard warrants include: wheat, PTA, rapeseed oil, rapeseed meal, early rice, late indica rice, methanol, glass and white sugar<sup>1</sup>.

通用标准仓单载明的内容包括：会员号、会员名称、客户交易编码、品种、标准仓单数量、冻结数量、充抵数量等。

The content of common standard warrant shall include: member's number and member's name, client's trading code, product, the quantity of standard warrant, frozen quantity and offset quantity of standard warrant.

第九条 非通用标准仓单是指标准仓单持有人按照交易所的规定和程序只能到仓单载明品种所在的仓库或厂库提取所对应货物的财产凭证。

Article 9 Uncommon standard warrant is defined as the property certificate with which holders could only pick up goods at designated warehouses or factories stated on the standard warrants conform to the rules and procedures of ZCE.

适用非通用标准仓单的品种为棉花、菜籽、动力煤、粳稻、甲醇、玻璃、白糖<sup>2</sup>。

The products which apply to the uncommon standard warrants include: cotton, rapeseed, thermal coal, japonica rice, methanol, glass and white sugar<sup>2</sup>.

非通用标准仓单载明的内容包括：会员号、会员名称、客户交易编码、品种、标准仓单数量、仓库或厂库、检验时间、标准仓单编号、冻结数量、充抵数量等。

The content of uncommon standard warrant shall include: member's number, member's name, client's trading code, product, quantity of standard warrants, warehouse or factory, inspection time, the serial number of standard warrant, frozen quantity, and collateral quantity etc.

### 第三章 仓库仓单的交割预报

#### Chapter 3 Delivery Forecast of Warehouse Warrants

第十条 客户或者非期货公司会员向仓库发货前，应当由会员填写《交割预报单》，并以书面形式或者交易所认可的其他形式向仓库预报。

Article 10 Brokerage members shall fill in "Delivery Forecast Form" and forecast to the warehouse in written form or other forms approved by ZCE for clients or non-brokerage members before they dispatched goods to the warehouses.

预报数量较大的，交易所可以要求货主提供拥有商品的相关证明。特殊情况下，交易所可以要求仓库优先批准有近期月份持仓的交割预报。

In case of large volume of delivery forecast, ZCE could request the owner to provide related supporting documents about the commodities. Under special circumstances, ZCE could require the warehouse to approve the delivery forecast with recent months' positions in priority.

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<sup>1</sup> 甲醇、玻璃品种适用通用标准仓单至 505 合约，白糖品种适用通用标准仓单至 511 合约。

Methanol and glass apply to common standard warrants until contract 505 and white sugar applies to common standard warrants until contract 511.

<sup>2</sup> 甲醇、玻璃品种自 506 合约开始适用非通用标准仓单；白糖品种自 601 合约开始适用非通用标准仓单。

Methanol and glass apply to noncommon standard warrants since contract 506 and white sugar applies to noncommon standard warrants since contract 601.

第十一条 自接到会员《交割预报单》之日起 2 个工作日内，仓库应当以书面形式或者交易所认可的其他形式回复会员能够接收的商品数量。自接到仓库同意入库的回复之日起 2 个工作日之内，会员应当向仓库缴纳 30 元/吨的交割预报定金。仓库在收到交割预报定金的当日（工作日），开具《入库通知单》。

Article 11 Within 2 business days after receiving the Delivery Forecast from member, warehouses shall confirm the acceptable quantity of commodities to the member in written or in other forms approved by ZCE. Then within 2 business days after receiving the confirmation of warehouses for entry approval, the member shall pay an entry deposit to warehouses of RMB 30 Yuan/ton. On the same day (business day) of receiving the deposit, warehouses shall issue the Entry Notice.

对已存放在仓库的商品申请期货交割的，仍应提交交割预报，无须交付交割预报定金。

For applying delivery of commodities which have already been stored in the warehouses, the delivery forecast shall also be required to submit, but the entry deposit shall be exempted.

《入库通知单》自开具之日起生效。

Entry Notice shall be effective from the issuing date onwards.

第十二条 《入库通知单》有效期（公历日）分别为：

Article 12 The validity period of Entry Notice (calendar days) is as follows:

（一）仓单普通小麦（以下简称仓单普麦）、优质强筋小麦（以下简称强麦）、一号棉、菜籽菜油、菜粕、早籼稻、晚籼稻、粳稻和甲醇为 40 天。

(1) 40 days for warrants common wheat, high-quality strong-gluten wheat (hereinafter referred to as strong-gluten wheat in short), cotton No. 1, rapeseed, rapeseed oil, rapeseed meal, early long-grain Non-glutinous rice, late indica rice, japonica rice and Methanol.

（二）白糖每年 11 月 1 日至次年 4 月 30 日，广东、广西及云南三省（区）等交易所认可的白糖主产区仓库为 15 天（公历日）；其他时间和其他地区仓库为 40 天。

(2) From November 1st of each year to April 30th of the next year, 15 days (calendar days) for white sugar in warehouses of regions approved by ZCE (Guangdong, Guangxi and Yunnan), and 40 days for the rest of time and other regions of warehouses.

（三）精对苯二甲酸（以下统称 PTA）为 15 天。

(3) 15 days for Pure Terephthalic Acid (hereinafter collectively referred to as PTA in short).

交易所可视情况，调整《入库通知单》的有效期。

ZCE may adjust the validity period of Entry Notice due to different conditions.

第十三条 《入库通知单》有效期内相对应数量的商品全部到库的，自商品入库完毕之日起 2 个工作日内，交割预报定金予以返还；部分到库的，按实际到货量返还；未到库部分，交割预报定金不予返还。

Article 13 If the entry process of commodities has been completed within the validity period of Entry Notice, the deposit shall be refunded within 2 business days after the completion of entry; if only part of commodities completed the process, the deposit shall be refunded as to the actual entry quantity; the deposit for the part that is not stocked in shall not be refunded.

第十四条 交易所公告暂停仓库入库业务的，自公告之日（含该日）下午闭市起，该仓库发生的交割预报视为无效预报，交易所不再受理相关商品的仓库仓单注册申请。

Article 14 If ZCE suspends the entry business of any warehouse with announcement, the delivery forecast notice made to this warehouse shall be deemed invalid from the market close of the announcing day (included), and ZCE will not accept any application for the registration of warehouse warrants of relevant commodities.

第十五条 货主应当按交易所有关规定向仓库交纳各项费用。

Article 15 The owners of commodities shall pay all relevant fees to warehouses in accordance with related rules of ZCE.

第十六条 办理完交割预报的货主发货前，须将运输方式、车（船）号、数量、到货时间等通知仓库。

Article 16 Before the consignment, the owners of commodities who have completed the delivery forecast process shall notify the way of transport, vehicle (boat) number, quantity and arrival time to warehouses.

## 第四章 仓库仓单的商品入库

### Chapter 4 Entry of Warehouse Warrants

第十七条 交割商品入库时，商品的重量、包装相关单证等的验收及扦（采）样由仓库按照本办法的规定实施，货主应到场监督，验收结果须经双方认可。仓库、货主应对验收结果签章确认，并共同对入库商品的真实性负责。入库商品未经仓库、货主签章确认的，不得用于期货交割。

Article 17 When the delivery commodities enter the warehouse, the checking and acceptance of the weight of commodities, documents related for package and the sampling shall be executed by warehouse according to rules of this guideline. The owner shall supervise at the scene, and the result of checking and acceptance shall be recognized with agreement by both parties. Warehouse and the owner shall confirm the result of the checking and acceptance with sign-off and both are responsible for the authenticity of commodities warehoused. For the commodities that are not confirmed by warehouse and the owner's sign-off, the commodities shall not be used for futures delivery.

棉花样品的扦取由承检机构实施，仓库应当予以协助配合。仓库及货主有权对样品扦取进行监督。

The sampling of cotton shall be carried out by inspection institutions. Warehouses shall grant their assistance and cooperation during inspection. Warehouses and owners of commodities shall have the right to supervise the sampling.

第十八条 入库商品质量指标由质检机构检验的，自接到检验结果之日起1个工作日内，仓库应当对检验结果进行确认并通知客户。

Article 18 If the qualities of commodities are inspected by inspection institutions, warehouses shall confirm the inspection results and notify clients within 1 business day after receiving the results.

第十九条 交易所认可的免检商品和适用非通用标准仓单的商品入库后，仓库应当对货主的名称、联系人及联系方式、商品数量、生产厂家、存放库房及垛位等事项登记造册，并由货主签字确认。

Article 19 After the commodities that are exempted from inspection by ZCE and are applying uncommon standard warrants enter the warehouse, warehouses shall register related information such as the name of owner, contact persons and information, quantity of commodities, manufacturers, occupied storehouses and stacks. All information shall be confirmed by the owners

of commodities with signatures.

第二十条 入库商品质量检验结束后，检验单位将检验报告以数字认证方式上传至交易所仓单注册注销系统。由质检机构检验的，质检机构应当及时将检验报告寄送仓库或由仓库领取。货主或者仓库业务急需的，质检机构可先行告知检验结果。

Article 20 After completing the inspection for commodities warehoused, inspection institution will upload the inspection report to ZCE E-warrant System via digital authentication. If commodities are inspected by inspection institutions, inspection institutions shall send the inspection report to the warehouse timely or notify the warehouse to draw. If they are urgently needed by the owner or the operation of warehouse, inspection institutions can notify the inspection result beforehand.

## 第一节小麦入库

### Section 1 Entry of Wheat

第二十一条 仓单普麦、强麦重量验收应当在库内整车过地磅，强麦不同品种须分开储存，不得混存。

Article 21 The weight inspection of common wheat and strong-gluten wheat shall adopt the method of passing the weighbridge in the warehouse with the whole truck. Different kinds of strong-gluten wheat shall be reserved separately and shall not be mixed.

第二十二条 强麦入库质量检验由交易所组织实施。强麦降落数值、稳定时间、拉伸面积和湿面筋指标由质检机构检验；其他质量指标由交割仓库或质检机构检验。

Article 24 The inspection of strong-gluten wheat shall be organized and carried out by ZCE. The hagberg, stability time, extension area and wet gluten index of strong-gluten wheat shall be inspected by inspection institutions; other quality indexes shall be inspected by delivery warehouses or inspection institutions.

仓单普麦入库质量检验由交割仓库组织实施，入库检验样品由交割仓库在卸车前抽取，检验结果不符合交割质量标准的不允许注册。入库过程中发现不符合交割质量标准的部分不允许注册。

The entry quality inspection of common wheat shall be organized and implemented by delivery warehouse. Samples of entry inspection shall be collected before unloading. Goods which cannot meet delivery quality standards are not allowed to be registered. The portion failing to meet the delivery quality standards in the process of entry shall not be registered.

需由质检机构检验的强麦质量指标，样品由交割仓库扦取，交易所、客户到场监督。客户未到场监督的，视为对扦样无异议。样品扦取后由交易所进行封样，并寄（送）质检机构。

As for the quality indexes of the strong wheat that need to be inspected by inspection institutions, the sampling shall be done by delivery warehouses, and ZCE and clients shall be present for supervision. If clients are not present, such case shall be deemed that they agree with the sampling. After the sampling, ZCE shall seal the samples and mail (send) them to inspection institutions.

质检机构作出的检验结论为强麦入库质量检验的最终结果，不予复检。

The inspection conclusions made by inspection institutions are the final results for the inspection of strong wheat's entry, and re-inspection is not allowed.

强麦样品的检验时间由交易所公告。

The inspection time for sampling of strong-gluten wheat shall be announced by ZCE.

## 第二节 棉花入库

### Section 2 Entry of Cotton

第二十三条 自新年度（每年九月一日）起，交易所开始接受新年度一号棉的报验申请。

Article 23 Starting from every new production year (since September 1st in every year), ZCE begins to accept checking and examination applications of No.1 Cotton of a new year.

第二十四条 棉花入库时，仓库按《入库通知单》、原验证证书和码单接收棉花。

Article 24 When cotton enters the warehouse, warehouse shall accept the commodities in accordance with Entry Notice, original validation report and weight note.

第二十五条 棉花重量和质量检验实行公证检验制度。按照棉花国家标准（GB1103-2007）和《期货交割棉公证检验实施办法（试行）》执行。

Article 25 The quantity and inspection of cotton shall adopt the notary inspection regulation and shall be carried out in accordance with the national standards on cotton (GB1103-2007) and Rules on Implementation of Notary Inspection on Delivery of Cotton Futures (Trial).

第二十六条 入库棉花为符合《中华人民共和国国家标准 棉花包装》（GB6975-2007）规定的 I 型号棉包（ $227\pm 10$  公斤），且须附有检验证书及原码单。

Article 26 Cotton warehoused shall be the Type I Cotton Bag ( $227\pm 10$  kilograms) conforming to “National Standard of the People’s Republic of China Cotton Packing” (GB6975-2007) and shall be attached with certificate of inspection and list of original code.

第二十七条 一号棉入库过程中和仓单注册前发现有下列情况之一的，交割仓库应当拒绝转存为期货交割商品，并及时通知会员或者货主：

Article 27 Any one of following conditions happen in the Entry of cotton No. 1 or before the registration of warehouse warrants, delivery warehouse should refuse to store it as delivery commodities, and timely notify members or the owners of commodities:

（一）掺杂使假的；

(1) There are fakes and adulteration;

（二）不符合 GB1103.1-2012 组批规则的；

(2) The cotton fails to conform to the regulations of GB1103.1-2012 combined lots;

（三）棉包出现严重污染、水渍，发现火烧、霉变等，或者有异味的以及包装不完整的；

(3) Cotton bags are seriously polluted, wet stains, burned, mildewed, peculiar smells, and incomplete package;

（四）未经检验，棉包标志不符合国家标准规定的；

(4) Cotton is not inspected, or the mark on the cotton bag doesn't conform to rules of national standards;

（五）崩包率大于 5%的；

(5) The breakage rate of bags is more than 5%;



(六) 非本棉花年度生产的;

(6) The cotton is not produced in the same year;

(七) 单包回潮率大于 10%的; 采用塑料套包法包装的, 一批棉花中单包回潮率超过 9%, 或者按批计算的平均回潮率超过 8.5%的;

(7) The moisture regain of single bag is more than 10%; the moisture regain of single bag in a batch of cotton adopting plastic packages is more than 9%, or the average moisture regain of all batches is more than 8.5%;

(八) 经检验发现颜色级有 51、32、13、23、33、14、24, 长度有小于 27 毫米, 长度整齐度有 U5 档, 马克隆值有 C 级 C1 档, 断裂比强度有 S5 档的棉花;

(8) The cotton has such characteristics below after inspection: the color level has 51、32、13、23、33、14、24, the length is less than 27mm, the length uniformity has U5 file, the Micronaire value has C grade C1 file and Fracture strength has S5 file;

(九) 其他不符合交割规定的。

(9) Other conditions do not conform to delivery rules.

### 第三节 白糖入库

#### Section 3 Entry of White Sugar

第二十八条 白糖包装应当符合《郑州商品交易所期货交割细则》规定。

Article 28 The packaging of white sugar shall conform to the rules of the “Detailed Delivery Rules of Zhengzhou Commodity Exchange”.

第二十九条 白糖入库的, 应当按以下要求提供单证:

Article 29 Certificates shall be provided in accordance with the following requirements for the Entry of white sugar:

(一) 国产白糖: 《全国工业产品生产许可证》、《产品合格证》、生产厂家营业执照(复印件)等。

(1) Domestic white sugar: National industrial products production license, Certificate of Quality, Business License of manufacturer (duplicate).

(二) 进口白糖: 允许该批白糖在中国境内销售(贸易方式为“一般贸易”)的《中华人民共和国海关进口货物报关单》(复印件); 该批商品报关口岸当地的中华人民共和国出入境检验检疫局对该批商品出具的《卫生证书》; 生产厂商或者该批商品出口商出具的《产品质量证明书》、《产地证明书》, 并签署《进口白砂糖单证合法、真实、有效保证书》。

(2) Imported white sugar: Customs Declaration for Goods Imported to the People's Republic of China (duplicate) allowing the sale of the batch of white sugar within the territory of China (way of trade is “general trade”); Sanitary License issued for the batch of commodities by the local administration bureau for entry-exit inspection and quarantine; Certificate of Quality and Certificate of Origin issued by the manufacturer or exporter of the batch of commodities, the Warranty on Lawfulness, Authentication and Validity of Certificates for Imported White Granulated Sugar (refer to the Appendix).

第三十条 重量验收: 可采用过地磅同时抽包检斤方式, 或者单独抽包检斤方式。

Article 30 Weight checking and acceptance: the method of random inspection may be used independently or together with the method of weighing the whole vehicle with weighbridge.

第三十一条 质量检验：一个垛位扦取一个样品，样品一式两份，封样后寄（送）质检机构。货主也可委托经国家质量技术监督部门认证的第三方扦样，仓库配合并监督扦样，由此产生的费用（不包括仓库配合扦样费）由货主承担。

Article 31 Inspection: one sample for duplicated shall be taken from each stack and be mailed (sent) to inspection institutions after being sealed. The owners of commodities may also consign third parties approved by the department for quality and technology supervision of the State to make the sampling. Warehouses shall cooperate with and supervise the sampling, and relevant fees (excluding the fee for the cooperation of warehouses) shall be paid by owners.

第三十二条 自收到每批白糖样品起 5 个工作日内，质检机构应当出具检验结果并通知仓库。

Article 32 After receiving the samples for each batch of white sugar, inspection institutions shall issue the inspection results and notify warehouses within 5 business days.

#### 第四节 PTA 入库

#### Section 4 Entry of PTA

第三十三条 生产日期超过 90 天的境内生产的 PTA 和自境外发运之日起超过 60 天的进口 PTA，仓库不得接收入库。

Article 33 Warehouses shall not accept the Entry of domestic PTA whose production date is more than 90 days or the imported PTA whose consignment date is more than 60 days.

境内生产的 PTA 申请入库的，应当向仓库提交本批 PTA 生产厂家出具的符合交割标准的《产品质量证明书》。《产品质量证明书》须载有生产厂家、生产日期、适用的质量标准 and 该批产品的质量检验结果等信息。

The domestic PTA requires submitting Certificate of Quality issued by the manufacturer of the batch of PTA complying with the delivery standards to warehouses. Certificate of Quality shall state such information as manufacturer, manufacture date, applicable quality standards and inspection result of the batch.

境外生产的 PTA 申请入库的，应当向仓库提交本批商品的船运证明、《中华人民共和国海关进口货物报关单》，《海关进口关税专用缴款书》、《海关代征增值税专用缴款书》，生产厂家出具的《产品质量证明书》、《产地证明书》等材料的复印件，并加盖申请入库单位公章。商品所有人应当对所提供的单证签署《进口 PTA 单证合法、真实、有效保证书》。

The imported PTA requires to submit the copies of shipping documents, the Customs Declaration for Goods Imported to the People's Republic of China, Special Bill of Payment of Import Tariff for Customs, Special Bill of Payment of Import VAT for Customs, Certificate of Quality and Certificate of Origin issued by the manufacturer to warehouses, and also sealed by applicant for entry to the warehouse. The owners of Commodities shall also sign the Warranty on Lawfulness, Authentication and Validity of Certificates for Imported PTA for the certificates they provided.

不同生产厂家生产的 PTA 应当分开预报。

PTA produced by different manufacturers shall be applied separately.

第三十四条 重量验收：PTA 单包净重为 1 吨或者 1.1 吨。重量验收可采用过地磅同时抽包检斤或单独抽包检斤的方式进行。

Article 34 Weight checking and acceptances: the net weight of each bag of PTA shall be 1 ton or 1.1 ton. The method of random inspection may be used independently or together with the method of weighing the whole vehicle with weighbridge.

第三十五条 PTA 质量检验按每 550 吨一个样品抽取；不足 550 吨的按 550 吨计。样品一式三份，双方封样后寄（送）质检机构两份。自收到每批样品之日起 5 个工作日内，质检机构应当出具检验结果并通知仓库。

Article 35 One sample for each 550 tons of PTA shall be taken for inspection; those samples which are less than 550 tons shall be counted as 550 tons. Samples shall be taken in triplicate and two of them shall be mailed (sent) to inspection institutions after being sealed by both parties. After receiving the samples for each batch, inspection institutions shall issue the inspection results and notify warehouses within 5 business days.

免检交割品牌生产厂家直接申请入库的，入库 PTA 质量可以免检；货主向交易所和仓库提交指定生产厂家出具符合交易所要求的产品质量责任承诺书及相关材料的，入库 PTA 质量可以免检。

Exemption delivery brand manufacturers directly apply for entry to the warehouse, the quality of PTA can be given an exemption from the inspection. If the owners of commodities submit to ZCE and warehouses the guarantee of quality responsibility issued by the designated manufactory which conforms to the relevant requirements of ZCE and other relevant documents, the inspection of PTA could be exempted.

## 第五节 菜籽入库

### Section 5 Entry of Rapeseed

第三十六条 菜籽重量验收采取在仓库内整车过地磅方式进行。

Article 36 The weight inspection of the rapeseed adopts the method of weighing the whole vehicle with weighbridge in the warehouse.

第三十七条 入库质量检验由仓库负责。

Article 37 The warehouse is responsible for entry inspection.

仓库可全部或部分委托质检机构进行检验，检验费用由仓库承担。

The warehouse can consign inspection institute with all or part of the inspection. The warehouse shall bear the inspection fee.

第三十八条 入库菜籽采用仓房内堆放方式储存。不同客户入库的菜籽不允许混存。

Article 38 The storage rapeseed is stored by stacking in the warehouse. The storage rapeseed belongs to different clients can not be mixed.

第三十九条 入库检验样品由仓库在卸货前抽取，检验结果不符合交割质量标准的不允许注册。

Article 39 The sample for entry warehouse inspection shall be taken by the warehouse before unloading. The rapeseed is not allowed to be entered if the inspection results do not reach the deliverable quality standards.

每次抽取样品就库分为二份，每份 1 公斤。仓库任选一份用于检验；另一份由货主和仓库签

字封样，由仓库妥善保存。

Two samples shall be taken at one time; the weight of each sample shall be 1 kg. Warehouses may choose either one for inspection and the other sample shall be sealed and signed off by both the owners of commodities and warehouses and well kept by warehouses.

第四十条 货物入库时，达不到交割质量标准的商品，经双方协商，仓库可提供整理等服务。

Article 40 When the commodity is being entered, as for rapeseed which does not reach deliverable quality standards, the warehouse could provide services like arrangement according to the agreement by both parties.

第四十一条 自每批货物样品抽取结束时起，仓库应于 24 小时内做出检验结果，并及时通知货主。

Article 41 From the time when each batch of commodity samples is taken, the warehouse shall complete the inspection within 24 hours and notify the owner of inspection results in time.

## 第六节 菜油入库

### Section 6 Entry of Rapeseed Oil

第四十二条 菜油运输必须符合国家卫生标准规定。

Article 42 The transport of rapeseed oil must conform to the rules of the national sanitation standards.

第四十三条 入库菜油应当提供加盖生产厂家公章的《产品生产许可证》（复印件）和《食品卫生许可证》（复印件）以及随货同行的产品化验单。

Article 43 For the entry of rapeseed oil, the Production License (duplicated), Food Sanitation License (duplicated) sealed by manufacturer and the corresponding laboratory test bill of products shall be provided.

产品化验单中须载明产品名称、产地（包括原产国）、压榨或者浸出、产品执行标准、等级、是否转基因产品及编号等。

Such items as name and origin (including country of origin) of product, squeezing or leaching, implemented standards applied to the product, the grade of product, whether it is transgenic and serial number of the product must be stated in the laboratory test bill.

第四十四条 采用汽车运输的，菜油重量验收以地磅计量为准；采用火车运输的以火车罐打尺或者储油罐打尺计量为准；采用船舶运输的，以过磅或者储油罐打尺计量为准。

Article 44 If rapeseed oil is transported by trucks, its weight check and acceptance shall take weighbridge as the criterion; if transported by trains, the criterion shall be the measure of the tank container or oil tank; if transported by vessels, the criterion shall be the weighbridge or the measure of oil tank.

经交易所批准，菜油重量验收可以使用质量技术监督部门认可的其他先进衡器计量。

With the approval of ZCE, the weight check and acceptance of rapeseed oil can use other advanced weighing measures admitted by the department of quality and technology supervision.

第四十五条 菜油运达仓库时，质量检验样品由仓库在卸货前扦取。每次扦取的样品分为两份，每份不低于 1 公斤。仓库任选一份用于检验，另一份由货主和仓库签字封样，由仓库妥善保存。

Article 45 Upon the arrival of rapeseed oil at warehouses, the samples for inspection shall be taken by warehouses before unloading. Two samples shall be taken at one time; the weight of each sample shall not be less than 1 kg. Warehouses may choose either one for inspection and the other sample shall be sealed and signed off by both the owners of commodities and warehouses and well kept by warehouses.

入库菜油的质量检验和掺伪检验由仓库负责。仓库可全部或者部分委托经国家质量技术监督部门认证的质检机构进行检验，检验费用由仓库承担。

Warehouses shall be responsible for the inspection and fake/mixture inspection of stocked rapeseed oil. Warehouses may consign all or part of the inspections to inspection institutions authenticated by the department for quality and technology supervision of the State, the inspection fee shall be paid by warehouses.

自每批商品样品扦取结束时起，仓库应当于 48 小时内提供检验结果，并及时通知货主。

Once each batch of sampling is completed, warehouses shall provide the inspection results and notify owners timely within 48 hours.

第四十六条 对检验合格的菜油，仓库应当按商品到库先后安排储油罐，并于检验报告出具之日起 5 个工作日内入库完毕。

Article 46 For rapeseed oil that have passed inspection, warehouses shall arrange oil tanks in accordance with the order of arrival and shall complete the entry process within 5 business days after the inspection report issued.

转基因菜油应当与非转基因菜油分罐储存。入库客户未在交割预报单中注明菜油是否转基因产品，导致转基因菜油和非转基因菜油混罐储存的，由此引起的法律责任由该客户承担。责任主体以入库时仓库保留的样品确定。

Transgenic rapeseed oil and non-transgenic rapeseed oil shall be stored in oil tanks separately. If any client fails to state whether rapeseed oil is transgenic product or not in the delivery forecast, which leads to the mixture storage of transgenic rapeseed oil and non-transgenic rapeseed oil, the legal liability for any impact shall be borne by the clients. The subject of liabilities shall be ascertained by the sample kept by warehouses upon the entry.

菜油储油罐必须符合国家卫生标准规定。

Oil tanks of rapeseed oil for stored-in must conform to the national sanitation standards.

第四十七条 货主应当保证入库菜油符合国家卫生标准。混罐储存的菜油不符合国家卫生标准的，根据入库时仓库保留的样品确定责任主体。

Article 47 The owners of commodities shall ensure that the stocked rapeseed oil conform to national sanitation standards. If mixed rapeseed oil does not conform to national sanitation standards, the subject of liabilities shall be ascertained by the sample kept by warehouses upon the entry.

第四十八条 入库过程中和标准仓单注册前发现有下列情况之一的，仓库应当拒绝转存为期货交割商品，并及时通知会员或者货主：

Article 48 If warehouses discover one of the following conditions for the entry of rapeseed oil or before the registration of warehouse warrants, they shall refuse to store as commodities for futures delivery, and shall timely notify members or the owners of commodities:

(一) 掺伪的菜油；

(1) Rapeseed oil adulteration

(二) 菜籽油运输工具不符合国家规定;

(2) The transport vehicles do not conform to national rules;

(三) 入库菜油不符合交易所其他交割规定的。

(3) The stocked rapeseed oil does not conform to other delivery rules of ZCE.

## 第七节 菜粕入库

### Section 7 Entry of Rapeseed Meal

第四十九条 菜粕重量验收采取在仓库内整车过地磅方式进行。

The weight inspection of the rapeseed meal adopts the method of weighing the whole vehicle with weighbridge in the warehouse.

第五十条 入库质量检验由仓库负责。检验结果不符合交割质量标准的不允许注册。入库过程中发现不符合交割质量标准的部分不允许注册。

Article 50 The warehouse is responsible for entry inspection. The rapeseed oil is not allowed to be entered if the inspection results do not reach the deliverable quality standards. The portion failing to meet the delivery quality standards in the process of entry shall not be registered.

第五十一条 检验原则上以垛为单位进行抽样,对同一厂家生产的同一批次的商品,以不超过 200 吨为单位进行抽样。

Article 51 As for the same batch of commodity produced by the same factory, sampling should be conducted with a stack not beyond 200 tons as a unit in principle.

每次抽取样品就库分为二份,每份 1 公斤。仓库任选一份用于检验;另一份由货主和仓库签字封样,由仓库妥善保存。

Two samples shall be taken at one time; the weight of each sample shall be 1 kg. Warehouses may choose either one for inspection and the other sample shall be sealed and signed off by both the owners of commodities and warehouses and well kept by warehouses.

第五十二条 自每批货物样品抽取结束时起,仓库应于 24 小时内做出检验结果,并及时通知货主。

Article 52 From the time when each batch of commodity samples is taken, the warehouse shall complete the inspection within 24 hours and notify the owner of inspection results in time.

## 第八节 早籼稻、晚籼稻、粳稻入库

### Section 6 Entry of Early Long-Grain Non-glutinous Rice, Late Indica Rice and Japonica Rice

第五十三条 货物重量验收采取在仓库内整车过地磅方式进行。

Article 53 The method of weight checking and acceptance of Early Long-Grain Non-glutinous Rice is to weigh the carload with a weighbridge in the warehouse.

第五十四条 入库质量检验由仓库负责。

Article 54 The warehouse is responsible for entry inspection.

仓库可全部或部分委托质检机构进行检验，检验费用由仓库承担。

The warehouse can consign inspection institute with all or part of the inspection. The warehouse shall bear the inspection fee.

第五十五条 卫生检验按国家有关标准和规定执行，检验费用由货主承担。

Sanitary inspection should comply with the standard and regulations of the state, the inspection costs are borne by the owner.

第五十六条 入库检验样品由仓库在卸货前抽取，检验结果不符合交割质量标准的不允许入库。

Article 56 The sample for entry warehouse inspection shall be taken by the warehouse before unloading. The Early Long-Grain Non-glutinous Rice or japonica rice is not allowed to be entered if the inspection results do not reach the deliverable quality standards.

第五十七条 货物入库时，达不到交割质量标准的商品，经双方协商，仓库可提供整理等服务。

Article 57 When the commodity is being entered, as for Early Long-Grain Non-glutinous Rice or japonica rice which does not reach deliverable quality standards, the warehouse could provide services like arrangement according to the agreement by both parties.

第五十八条 自每批货物样品抽取结束时起，仓库应于 24 小时内做出质量检验结果，并及时通知货主。

Article 58 From the time when each batch of commodity samples is taken, the warehouse shall complete the quality inspection within 24 hours and notify the owner of inspection results in time.

## 第九节 甲醇入库

### Section 7 Entry of Methanol

第五十九条 甲醇运输必须符合国家关于危险化学品运输的规定。

Article 59 The transportation of Methanol must conform to relevant regulations for the transportation of dangerous chemicals.

第六十条 入库货物单证及货主危险化学品经营资质由仓库负责审验。

Article 60 The warehouse is responsible for verifying the bill of entry of commodity and the owner's business qualification of dangerous chemicals

境内生产的甲醇申请入库的，应当向仓库提交本批甲醇生产厂家出具的符合交割标准的《产品质量证明书》。《产品质量证明书》须载有生产厂家、生产日期、适用的质量标准和该批产品的质量检验结果等信息。

For the domestics produced Methanol applying for entry, the "Product Quality Certificate" provided by the manufacturer of the batch of Methanol shall be submitted to the warehouse to certify that the commodity has met the delivery standards. "Product Quality Certificate" shall include the information such as the manufacturer, production date, applicable quality standards, and the inspection results of the batch of products.

境外生产的甲醇申请入库的，应当向仓库提交本批商品的船运证明、进口货物报关单、生产厂家出具的《产品质量证明书》等材料的复印件、海关放行单原件。商品所有人应当对所提供的单证签署《进口甲醇单证合法、真实、有效保证书》。

For the imported Methanol applying for entry, the shipping certificate, declaration of imported goods, copies of the documents provided by manufacturer like "Product Quality Certificate" and the original of customs clearance papers shall be submitted to the warehouse. The owner of commodities shall sign on the "Guarantee of the Legal, Authentic and Valid Documents of Imported Methanol" for the documents provided by it.

第六十一条 重量验收：采用汽车运输的，以地磅计量为准，由仓库负责验重；采用火车、船舶运输的，以仓库储罐打尺计量为准。货主可以委托质检机构或者仓库验重，由质检机构验重时，仓库应予以配合，由此产生的费用由货主承担。

Article 61 Weight checking and acceptance: The Methanol transported by truck is subject to the measure of weighbridge, and the warehouse is responsible for the checking and acceptance of weight; the Methanol transported by train or ship is subject to the measure of the ruler of the storage tank of the warehouse. The owner can consign the inspection institute or the warehouse with the weight checking and acceptance. If it is conducted by the inspection institute, the warehouse shall cooperate and the owner shall bear the expenses incurred thereby.

经交易所批准，甲醇重量验收可以使用国家质量技术监督部门认可的其他先进衡器计量。

The weight checking and acceptance of the Methanol can use other advanced weighing apparatus approved by the national administration of quality and technology supervision if it is approved by ZCE.

第六十二条 质量验收：入库甲醇的采样、质检由质检机构负责，仓库应予协助，由此产生的费用（不含仓库配合费用）由货主承担。

Article 62 Quality checking and acceptance: Inspection institute is responsible for the sampling and inspection of the entry of Methanol, and the warehouse shall give assistance. The owner shall bear the costs and expenses (excluding the expenses incurred by the cooperation of the warehouse).

已经入库的甲醇，货主能够提供质检机构出具的该货物符合期货交割标准的检验报告，经仓库认可，可以申请注册仓单。

For the Methanol which has been warehoused, if the owner can provide the inspection report issued by the inspection institution to certify that the commodities have been complied with the delivery standards, the owner can apply for the registration of the standard warrants after getting approval by the warehouse.

对期货、现货混罐存储的甲醇，仓库必须确保整罐货物符合期货交割标准的规定，不符合规定的，不允许混罐存储或申请注册仓单。

For the Methanol which is stored in the mixed tanks for physicals and futures, the warehouse must ensure the entire tank of commodity conform to the regulations of delivery standards. Those don't conform to the regulations are not allowed to store in mixed tanks or to apply for the registration of the standard warrants.

第六十三条 自完成采样之日起 3 个工作日内，质检机构应当出具检验结果，并及时通知仓库。

Article 63 After the completion of sampling, the inspection shall issue the inspection results and notify the warehouse within 3 business days.

## 第五章 标准仓单注册

### Chapter 5 Standard Warrants Registration



## 第一节 仓库仓单注册

### Section 1 Warehouse warrants Registration

第六十四条 自出具或者接到质检机构的检验结果之日起 1 个工作日内，仓库对检验结果进行确认并通知货主。对于质量符合交割规定的货物，货主无异议的，自通知货主之日起 2 个工作日内，仓库应当向交易所申请注册仓库仓单。

Article 64 Once the inspection results have been issued or received from inspection institute, the warehouse shall confirm the results and notify the owner within 1 business day. As for the commodities whose quality complies with the delivery regulations without any disagreement from owners, the warehouse shall apply the registration of the standard warrants to ZCE within 2 business days since the owners are notified.

每年的 8 月 1 日之前不得申报注册二级白糖仓单。

It is not allowed to apply for the registration of the standard warrants of secondary grade of White Sugar before August 1st every year.

第六十五条 交易所可在自仓库提出仓单注册申请之日起 7 个工作日内予以注册。

Article 65 ZCE can approve the registration within 7 business days after the warehouses submit the application for the registration of standard warrants.

第六十六条 自交割月最后交易日（白糖、菜油为第 5 个交易日）下午 3 时起，交易所不再受理仓库提出的用于当月交割的仓库仓单注册申请。该日下午 3 时以后的注册申请所形成的标准仓单可以参与当月标准仓单的征购及后续月份交割。

Article 66 Starting from 3 p.m. of the last trading day (the fifth trading day in the case of White Sugar and Rapeseed Oil) of the delivery month, ZCE will not accept any registration application for warehouse warrants used in the same month's delivery. The standard warrants registration after 3 p.m. of the day can participate in the bid of the standard warrants of the same month and the delivery of the following months.

交易所规定的可予质量免检的商品用于期货交割的，最迟应当在合约最后交易日前一日申请注册。

According to ZCE's regulations, the commodity which can be given an exemption from the inspection and used for futures delivery shall be applied for registration no later than the day before last trading day.

第六十七条 3 月、7 月、11 月第 12 个交易日之后（含该日）注册的菜粕标准仓单，货物生产日期须分别为 3 月 1 日、7 月 1 日、11 月 1 日之后（含该日）。注销后，符合规定的菜粕可以重新注册。

Article 67 The standardized warrants of rapeseed registered after the 12th trading day in March, July and November (with the day), the production date of the goods must be after March 1, July 1, November 1 (with the day) respectively. After cancelling the standard warrants, the rapeseed meal conforming to the regulations can be registered again.

## 第二节 厂库仓单注册

### Section 2 Factory Standard Warrants Registration

第六十八条 非期货公司会员或客户与厂库结清货款等费用后，厂库通过交易所仓单注册注销系统提交仓单注册申请。动力煤厂库仓单注册时，厂家应提交收到基低位发热量等货物信息，交易所以此信息作为仓单注册标准的依据和货款计算的参考。

Article 68 After the non-brokerage members or clients have settled the relevant expenses with the factory, the factory shall submit the registration application of warrants through ZCE E-warrants system. When the thermal coal factory warrants are registered, goods information about medium low heat should be provided by the factory, the information will be used by the exchange as the basis for warrants registration standard and references for calculating the payment on goods.

第六十九条 厂库申请仓单注册时，必须提供交易所认可的银行履约保函、现金或交易所认可的其他支付保证方式。

厂库提交的保证金数额按照最近交割月合约前一交易日结算价计算。

Article 69 When the factory is applying for warrants registration, it must provide the bank guarantee letter, cash or other payment guarantees recognized by ZCE.

The value of margin paid by the factory should be calculated according to the settlement price of the previous trading day of the nearest contract month.

第七十条 厂库最迟应当在合约交割月最后交易日前三个交易日下午 3 时前提交仓单注册申请。厂库提交的支付保证方式符合规定的，交易所可在自厂库提出仓单注册申请之日起 3 个工作日予以注册。

Article 70 The factory shall submit the registration application of standard warrants no later than 3 p.m. of 3 trading days before last trading day of the delivery month. If the payment guarantee submitted by the factory complies with regulations, ZCE shall approve the registration within 3 business days once factory submitted applications.

第七十一条 单个厂库允许注册仓单的最大数量，由交易所确定和调整。

Article 71 The maximum amount for each factory allowed to apply for the registered warrants is subject to ZCE's determination and adjustment.

第七十二条 当商品市值发生较大波动时，交易所可根据市场变化情况要求厂库调整银行履约保函、现金或交易所认可的其他支付保证方式的数额。

Article 72 When the market value of the commodity fluctuates greatly, ZCE may require the factory to adjust the amount of bank guarantee letter, cash or other payment guarantees recognized by ZCE according to the situation of futures market.

## 第六章 标准仓单有效期

### Chapter 6 Validity Period of Standard Warrants

第七十三条 各品种标准仓单有效期分别如下：

仓单普麦、强麦：每年 9 月的最后一个工作日。

Article 73 The validity periods of standard warrants for all products are as follows:

Warrants of common wheat, strong wheat: the last business day of September for each year.

一号棉：N 年生产的棉花注册的标准仓单，有效期至 N+2 年 3 月的最后一个工作日。

No.1 Cotton: The registered standard warrants of the cotton produced in year N will expire on the last business day of March in year N+2.

白糖：N 制糖年度（每年的 10 月 1 日至次年的 9 月 30 日）生产的白糖所注册的标准仓单有效期为该制糖年度结束后当年 11 月份的最后一个工作日（含该日）。

White sugar: The validity period of the registered standard warrants of white sugar produced in year N (from October 1st to September 30th of next year) is till the last business day (including last business day) of the first November after year N.

菜籽: N 年 6 月 1 日起接受菜籽标准仓单注册, 仓单有效期至 N 年 11 月份最后一个工作日 (含该日)。

Rapeseed: The rapeseed standard warrants can be registered starting from June 1 of Year N, the registered standard warrants is valid until the last business day of November of Year N (including last business day).

菜粕: 每年 3 月、7 月、11 月第 12 个交易日 (不含该日) 之前注册的标准仓单, 应在当月的第 15 个交易日 (含该日) 之前全部注销。

Rapeseed meal: The standard warrants registered before the twelfth trading day (excluding the twelfth trading day) of March, July and November each year should be totally cancelled before the fifteenth trading day (including the fifteenth trading day) of the same month i.e. March, July and November respectively.

菜油: N 年 6 月 1 日起注册的菜油标准仓单有效期至 N+1 年 5 月份最后一个工作日 (含该日)。

Rapeseed oil: The standard warrants registered from June 1 of Year N will expire on the last business day (including last business day) of May of Year N+1.

PTA: 每年 9 月第 12 个交易日 (不含该日) 之前注册的 PTA 标准仓单, 在该月第 15 个交易日 (含该日) 之前全部注销; 该月第 16 个交易日 (含该日) 之后开始受理新仓单的注册申请。

PTA: The standard warrants registered before the 12th trading day (not included) of each September shall be cancelled before the 15th trading day (included) of same month i.e. September; Starting from the 16th trading day (included) of the month, new applications for standard warrants registration will be accepted.

早籼稻: N 年 8 月 1 日起注册的标准仓单, 有效期至 N+1 年 7 月份最后一个工作日 (含该日)。

Early Long-grain Non-glutinous Rice: Standard warrants registered starting from August 1 in year N will expire on the last business day (included) of July in year N+1.

晚籼稻、粳稻: N 年 10 月 1 日起注册的标准仓单有效期至 N+1 年 9 月份最后一个工作日 (含该日)。

Late Indica Rice, Japonica Rice: Standard warrants registered starting from October 1 in year N will expire on the last business day (included) of September in year N+1.

甲醇、玻璃: 每年 5 月、11 月第 12 个交易日 (不含该日) 之前注册的标准仓单, 应在当月的第 15 个交易日 (含该日) 之前全部注销。

Methanol, Glass: The standard warrants registered before the 12th trading day (excluded) of May and November every calendar year shall be cancelled before the 15th trading day (included) of the same month i.e. May and November respectively.

动力煤: 每年 5 月、11 月第 7 个交易日 (不含该日) 之前注册的标准仓单, 应在当月的第 10 个交易日 (含该日) 之前全部注销。

Thermal Coal: The standard warrants registered before the 7th trading day (excluded) of May and

November every calendar year shall be cancelled before the 10th trading day (included) of the same month i.e. May and November respectively.

第七十四条 标准仓单到期日前未办理注销手续的，交易所可在到期日将其注销，由此造成的一切损失，由标准仓单持有人承担，交易所不保证全部交割商品质量符合规定标准。

Article 74 If the cancellation procedures of standard warrants are not completed before the due date, ZCE may cancel them on the due date. All losses caused shall be borne by the holders of standard warrants, and ZCE does not guarantee that the quality of delivered commodities complies with stipulated standards.

## 第七章 标准仓单的流通

### Chapter 7 Circulation of Standard Warrants

第七十五条 标准仓单的流通是指标准仓单的交割和转让。

Article 75 The circulation of standard warrants refers to the delivery and transfer of standard warrants.

处于冻结状态和充抵保证金状态的标准仓单不能流通。

Standard warrants that are frozen or used to pledge for the margin may not be circulated.

客户的标准仓单的流通应当委托会员办理，以会员名义在交易所进行，流通结果由客户承担。

The circulation of standard warrants shall be handled by members, and carried out in ZCE in name of members, and circulation results shall be undertaken by clients.

第七十六条 标准仓单交割按《郑州商品交易所期货交割细则》的有关规定办理。

Article 76 The delivery of standard warrants shall be handled in accordance with relevant rules of Detailed Delivery Rules of ZCE.

第七十七条 标准仓单的转让是指会员自行协商买卖标准仓单的行为。交易所受理标准仓单转让的时间为每个工作日交易时间的下午 2 时 30 分之前。最后交易日，交易所不办理普麦及适用非通用标准仓单品种标准仓单转让业务。

Article 77 Transfer of standard warrants refers to the buying and selling of standard warrants by members with negotiation. The time for ZCE to accept the transfer of standard warrants shall be before 2:30 pm of each business day. ZCE will not accept any transfer of standard warrants of common wheat and any products which apply to noncommon standard warrants on the last trading day.

第七十八条 转让标准仓单应当符合以下规定：

Article 78 Transfer of standard warrants shall conform to the following rules:

(一) 客户的标准仓单转让须委托会员办理；

(1) Transfer of clients' standard warrants must be consigned to members;

(二) 达成转让意向的买卖双方会员应当向交易所提交标准仓单转让申请；

(2) Buying and selling members who reach the intention of transfer shall submit the application for the transfer of standard warrants to ZCE;

(三)交易所对标准仓单转让申请审核后,为买卖双方会员办理标准仓单过户和货款结算划转等手续;

(3) ZCE shall handle the procedures for the ownership transfer and payment settlement once it verifies the transfer of standard warrants;

(四)标准仓单转让的货款划转及增值税专用发票的开具、传递参照《郑州商品交易所期货交割细则》执行。

(4) The payment settlement for the transfer of standard warrants and the issuing of VAT invoices shall be carried out in accordance with Detailed Delivery Rules of Zhengzhou Commodity Exchange.

(五)标准仓单转让手续费标准由交易所公告。

(4) The transfer fee of standard warrants shall be promulgated by ZCE.

## 第八章 标准仓单注销

### Chapter 8 Cancellation of Standard Warrants

第七十九条 标准仓单注销是指标准仓单持有人直接或者委托会员到交易所办理标准仓单提货手续的过程。

Article 79 Cancellation of standard warrants refers to the procedure of applying to ZCE for picking up goods by holders of standard warrants or by consigned brokerage members.

客户注销标准仓单应当通过会员向交易所提交标准仓单注销申请。

The application for cancellation of standard warrants shall be submitted to ZCE through brokerage members.

对于已经注销的 PTA 标准仓单,货物尚未出库但仍符合入库条件的,可重新申请注册。

If standard warrants for PTA have been cancelled by the owners, and the commodities are still stocked in the warehouse and conforming to the relevant entry standards, they can be re-applied for the registration.

第八十条 动力煤标准仓单注销时,提货人应提前与厂库沟通所提货物质量、重量情况。双方协商一致的,按协商结果提货,涉及升贴水的,由双方自行结算;协商不一致的,提货人按厂库仓单注册时提供的货物信息提取货物,涉及升贴水的,由交易所在货物发运完毕后统一结算。

Article 80 Upon the cancellation of thermal coal standard warrants, the consignee should communicate with the factory warehouse in relation to the quality and the weight of the goods in advance. Goods can be picked up by mutual agreement, premium and discount can be settled by both parties after discussion. If both parties can not reach an agreement, the consignee can take delivery of the goods according to the goods information of the factory warehouse warrants provided when the warrants are registered. The exchange is responsible for the unifying settlement of the premium and discount after dispatching.

动力煤提货人和厂库协商不一致的,提货人在指定港口提货时的质量认定、重量溢短按照《郑州商品交易所期货交割细则》“车(船)板交割”相关规定处理,结算价格按最近的交割结算价计价。

If the thermal coal consignee and the factory warehouse can not reach an agreement when the consignee takes delivery of goods in the designated port, the quality identification and weight or

less will be dealt with according to the relevant provisions of the vehicle (ship) board delivery of “ Zhengzhou Commodity Exchange Futures Delivery Rules”, and the settlement price will be calculated on the basis of the nearest delivery settlement price.

动力煤提货人和厂库确认提货事项并提交交易所后,交易所交割部门开具《提货通知单》。

After the thermal coal consignee and the factory warehouse confirm the delivery matters and submit them to the exchange, the delivery department of ZCE shall issue Bill of Lading.

动力煤买卖双方协商在交易所公布的指定交割地点以外的其他地点交货的,相关事项按双方约定办理。

If the buyer and the seller decide to deliver in the location which is not the designated delivery point through consultations, related matters will be dealt with as agreed by both parties.

动力煤之外的其他品种标准仓单注销时,交易所结算部门办理仓单升贴水结算,交易所交割部门开具《提货通知单》。

Upon the cancellation of standard warrants of the products other than thermal coal, the clearing department of ZCE shall handle the premium/discount settlement of warrants, and the delivery department of ZCE shall issue Bill Of Lading.

客户办理提货手续时,会员或客户应及时编制《提货通知单》验证密码,《提货通知单》验证密码为提货必备条件。

When the clients goes through procedures to pick-up goods, the brokerage members or clients shall set a verification password of Bill of Lading which is the essential requirement for picking up goods.

第八十一条 适用通用标准仓单的商品需要提货的,交易所根据会员申请及仓库或厂库的具体情况,确定《提货通知单》对应的商品。

Article 81 If the commodity that needs to be picked up is applicable to the common standard warrants, ZCE will confirm the commodity corresponding to the Bill Of Lading in accordance with the brokerage member's application and the specific circumstance of warehouse or factory.

第八十二条 自交易所开出《提货通知单》之日起 10 个工作日内,《提货通知单》持有人应当凭《提货通知单》验证密码、提货人身份证、提货人所在单位证明到仓库或厂库办理提货手续、确认商品质量、确定运输方式、预交各项费用。

Article 82 Within 10 business days when ZCE issues Bill Of Lading, the legal holders of Bill Of Lading shall go through procedures to pick up goods by providing the verification password of Bill Of Lading, the ID card of the consignee and the employee certification of consignee to the warehouse or factory, verifying the quality of the commodity, determining the mode of transportation and paying various items of fees accordingly.

玻璃《提货通知单》持有人可根据玻璃厂库公告信息选择相应的规格、品级等,不涉及升贴水的,厂库应予以满足;涉及升贴水的,由双方协商,自行结算。

According to the bulletins and information issued by the glass factory warehouse, the holder of the Bill of Lading of glass can choose the appropriate specification, grade and so on. The factory warehouse should meet the needs of holder if there isn't premium or discount; if there's premium or discount, the settlement shall be agreed to proceed by both parties.

《提货通知单》持有人在提货期内向交易所提出商品质量复检申请的,自交易所收到申请之日起,《提货通知单》持有人的提货期间停止计算,待复检结果通知《提货通知单》持有人之日起重新计算。

If the holder of Bill Of Lading applies for re-inspection of commodity's quality to ZCE during the pick-up period, the pick-up period of the holder will be suspended since ZCE receives the application. The pick-up period will be resumed from the release of the re-inspection result to the Bill Of Lading holder.

逾期未办理相关手续的,按现货提货单处理,仓库不再保证全部商品质量符合规定标准;厂库不再保证按期货规定承担日发货速度等责任,具体提货事宜由货主与厂库自行协商。

If the holder does not go through the relevant procedures before the deadline, the bill of lading will be dealt with the one for spot. In this case, the warehouse will not guarantee the quality of all the commodities conforming to the delivery standard, and the factories will not guarantee the delivery speed accordingly. The specific issues regarding picking up goods shall be negotiated by both the owner and factory.

## 第九章 仓库交割商品出库

### Chapter 9 Departure of Commodities Delivered in Warehouse

第八十三条 期货交割商品出库的重量检验由货主与仓库共同实施,具体办法参照入库规定。

Article 83 The weight inspection for departure of commodities for futures delivery shall be carried out by both cargo owners and warehouses. The specific measures shall refer to the rules on Entry of commodities.

第八十四条 货主提供运输工具的,自货主凭《提货通知单》与仓库联系出库事宜、运输工具到达仓库之日起,仓库开始发货,并停止收取已装运货物的仓储费;货主委托仓库代办运输的,自客户凭《提货通知单》与仓库联系出库事宜、指定运达地点并预交各种费用(包括铁路代办费、港杂费等)之日起,仓库不能在规定时间内(汽车、船舶 10 日,火车 20 日)发出商品的,不得再收取其后的仓储费。

Article 84 If the owners of commodities provide transport vehicles, warehouses shall begin the consignment and stop charging the storage fee of loaded cargo, once cargo owners ask warehouses to arrange the commodities Departure with Bill of Lading and transport vehicles arrived; if cargo owners consign warehouses to handle the transport, since the day the client asks warehouses to arrange the commodities Departure with Bill of Lading, designate the arrival spot and prepays relevant fees (including the agent fee for railway transport and port charge fee), the designated delivery warehouse shall complete consignment within the stipulated time (10 days for trucks and boats and 20 days for trains), otherwise the storage fee for days after the date shall not be charged.

由于货主变更发货方式、提货手续不全、费用未按时交纳、特殊要求等原因,致使商品装运推迟的,不受前款限制。

If the loading and consignment of commodities are delayed for such reasons as cargo owners change the way of consignment, the pick-up procedures are not completed, the fees are not paid in time and special requirements for taking delivery of goods, the proceeding paragraph shall not be applied.

#### 第一节 小麦出库

#### Section 1 Departure of Wheat

第八十五条 仓单普麦、强麦出库时,数量发生损耗(水分除外)造成短少的,仓库按实际出库数量补足。不能补足的,交割仓库按《提货通知单》开具之日前(含当日)普麦、强麦期货最近交割月最高交割结算价核算短少商品价款,赔偿买方货主。

Article 85 If there's loss in quantity (except water) in the departure process of Common Wheat and strong wheat, the delivery warehouse shall complement the loss. If the loss cannot be

complemented, the delivery warehouse shall calculate the value of the loss based on the highest delivery settlement price of Common Wheat and strong wheat in latest delivery month before the issuing date of Bill of Landing (including the issuing date), and compensate the buyer.

第八十六条 强麦出库时,客户与交割仓库发生质量争议的,由入库时或交易所指定的质检机构按入库时规定的检验法检验。复检结果确定的等级高于(包括等于)初检结果确定的等级,或复检结果在初检结果允许误差范围内(以初检结果为基准,湿面筋允许绝对误差为-1.5%,稳定时间允许相对误差为-15%,拉伸面积允许相对误差为-10%,降落数值允许相对误差-10%),以入库检验结果确定的等级为准,由此产生的化验费和差旅费等由提出争议者负担;复检结果在入库检验结果允许误差范围外,且低于初检结果确定的等级,以复检结果确定的等级为准,由此产生的一切费用和责任由交割仓库负担。

Article 86 If there are quality disputes between clients and delivery warehouse during the departure process of strong wheat, inspections can be carried out by the designated quality inspection agency or agency used in the entry process according to the stipulated methods for entry inspection. If the grade determined by re-inspection is higher than (or equal to) the grade determined by initial inspection; or the result of re-inspection is within the range of allowable error (taking the initial inspection result as benchmark, the absolute allowable error for wet gluten is -1.5%, the relative allowable error for stabilization time is -15%, the relative allowable error of extension area is -10%, and the relative allowable error of hagberg is -10%), the grade shall be based on the result of entry inspection, and laboratory tests fee and travel expenses incurred in this process shall be borne by the party who raised the dispute. If the result confirmed by re-inspection is out of the allowable error range, and it is lower than the grade of initial result, the grade will be based on the re-inspection result. And all expenses and responsibility aroused shall be borne by the delivery warehouse.

## 第二节 棉花出库

### Section 2 Departure of Cotton

第八十七条 仓库应将所提棉花相对应的《公证检验证书》随货同行联一份交货主。货主可在商品发运前逐批核对棉花的产地、包装、批次和件数等项目,验收结果应当经货主、仓库双方认可。

Article 87 Warehouses shall submit the Notary Inspection Certificate corresponding to the cotton for pick-up to cargo owners. Cargo owners may check the origin, package, and batch number and pieces commodities before the consignment one batch after another; the checking and acceptance result shall be recognized by both cargo owners and warehouses.

第八十八条 因自然变异导致标准仓单颜色级与注册时相比出现下降的,仍可正常办理出库手续,客户不得拒绝接货。

Article 88 If the commodities' color grade in standard warrants reduce caused by natural variation in contrast with it for standard warrants registration, the warehouse can still proceed the departure and the clients cannot refuse to receive the commodity.

在《公证检验证书》有效期内,因自然变异造成颜色级下降未超过一个类型的,或在《公证检验证书》有效期外,因自然变异造成颜色级下降未超过两个类型的,由货主承担。交割仓库承担变异超过前述规定部分的颜色级差价,差价的计算根据交易所公告的颜色级之间升贴水标准执行。

If the color grade reduces not beyond one class caused by natural variation within the valid period of "Notary Inspection Certificate" or the color grade reduces not beyond two classes caused by natural variation outside the valid period of "Notary Inspection Certificate", the loss shall be borne by owners. Designated warehouse will assume the price difference of those out of range of the above. The calculation of the price difference is implemented on the basis of the standard of color grade premium and discount announced by ZCE.



《公证检验证书》超过有效期的仓单注销时需要重新检验的，由提出重新检验方支付公检及相关费用。

Once "Notary Inspection Certificate" of the standard warrants expires, and needs re-inspection, the party who proposes this re-inspection shall pay for the rotary inspection and relevant fees.

第八十九条 出库过程中，发现棉花崩包的，仓库应当免费回包。

Article 89 If broken bags of cotton are discovered during the departure process, warehouses shall repair the bags without any charge.

### 第三节 白糖出库

#### Section 3 Departure of White Sugar

第九十条 因自然变异导致白糖色值变化在规定范围内的，仍可正常出库，货主不能拒绝接货。

Article 90 If the color change of white sugar caused by natural variations is within the stipulated scope and the departure procedures could be handled as usual, cargo owners shall not refuse to accept the cargo.

一级白糖的色值小于等于 190IU 的，由货主承担；大于 190IU 小于等于 240IU 的，色值每增加 10IU（不足 10IU 按 10IU 计），仓库给提货方每吨 10 元的补偿。白糖色值大于 240IU 时，仓库承担赔偿责任。

If the color of Grade I white sugar is less than or equal to 190IU, cargo owners shall bear the loss; if it is more than 190IU but less than or equal to 240IU, warehouses shall pay a compensation of RMB 10 Yuan per ton to consignees by each 10IU (those less than 10IU shall be considered as 10IU) increase. If the color of white sugar is more than 240IU, warehouses shall bear the compensation responsibility.

第九十一条 白糖出库时，出现包装霉变、严重污染，潮包、流包、真结块、异味的，仓库应当承担赔偿责任。

Article 91 If there are such incidents as moldy package, serious pollution, wet package, leaking package, real sugar cakes and peculiar smell upon departure of white sugar, warehouses shall bear the compensation responsibility.

### 第四节 PTA 出库

#### Section 4 Departure of PTA

第九十二条 仓库正常保管情况下，PTA 水分指标变化不影响使用的，货主不得拒绝接收。

Article 92 If the delivery warehouse kept the commodities in normal situations, the cargo owners could not refuse to receive the commodities if there is any change of moisture index of PTA and the change does not impact the normal usage of PTA.

第九十三条 出库时按照先进先出的原则出库。

Article 93 The principle of PTA departure complies with the measure of First in First Out (FIFO).

### 第五节 菜籽出库

#### Section 5 Departure of Rapeseed

第九十四条 菜籽出库时，数量发生损耗（水分除外）造成短少的，交割仓库按照实际出库数量补足。不能补足的，交割仓库按照《提货通知单》开具之日前（含当日）菜籽期货最近交割月最高交割结算价核算短少商品价款，赔偿买方货主。

Article 94 If the quantity of commodity in rapeseed departure process has a loss that caused a shortage (excluding moisture), the warehouse shall complement the loss. If the loss cannot be complemented, the delivery warehouse shall calculate the value of the loss based on the highest delivery settlement price of rapeseed in latest delivery month before the issuing date of Bill of Lading (including the issuing date), and compensate the buyer.

第九十五条 菜籽出库时，含油量指标低于入库质量指标 0.5 个百分点以内的，视作合格。

Article 95 Oil content index which is 0.5 percentage points lower than the entry quality index will be regarded as qualified in the departure process.

## 第六节 菜油出库

### Section 6 Departure of Rapeseed Oil

第九十六条 出库数量发生损耗造成短少的，仓库应及时补足。不能及时补足的，仓库按《提货通知单》开具日（含当日）之前菜油期货最近交割月最高交割结算价核算短少商品价款，赔偿货主。

Article 96 If the quantity of commodity in departure process has a loss that caused a shortage, the warehouse shall complement the loss promptly. If the shortage cannot be supplied in time, the warehouse shall calculate the amount of commodities in shortage according to the highest delivery settlement price of Rapeseed Oil futures contract in the latest delivery month before the date of issuing Bill Of Lading (the same day is included), and compensate to the owner.

## 第七节 菜粕出库

### Section 7 Departure of Rapeseed Meal

第九十七条 交割仓库菜粕出库水分溢短数量由货主承担,非水分减量的货款按照《提货通知单》开具之日前（含当日）菜粕期货最近交割月最高交割结算价核算短少商品价款，由仓库赔偿买方货主。出库水分检验费用由仓库承担。

Article 97 The overweight or underweight of moisture for departure rapeseed meal shall be borne by cargo owners. The payment for non-moisture reduce shall be calculated at the highest delivery settlement price of rapeseed meal futures contract in the nearest delivery month before the date of issuing Bill Of Lading( including the day), and warehouses shall bear the payment and make it to cargo owners. Also warehouses shall bear the inspection fee for moisture.

菜粕出库水分溢短数量的计算方法：商品水分溢短数量＝提货数量×（入库时的实际水分指标－提货时的实际水分指标）÷（1－提货时的实际水分指标）。

The calculation method for overweight or underweight of moisture upon departure is as follow:  
Overweight or underweight of moisture＝pick-up quantity×(actual moisture index upon entry－actual moisture index upon pick-up) ÷(1－actual moisture index upon pick-up) .

菜粕出库应同时符合入库时包装物件数计算的重量。

The weight of departure shall be equal to the weight of entry calculated according to the pieces of the packages.

交割厂库菜粕应足量出库。

The weight of the rapeseed meal of the factory warehouses shall be sufficient when leaving the warehouse.

菜粕出库时，粗蛋白质低于入库质量指标 0.5 个百分点以内的，视作合格。

The crude protein which is lower than the quality index of entry within 0.5% will be regarded as qualified for rapeseed meal's departure.

## 第八节 早籼稻、晚籼稻、粳稻出库

### Section 8 Departure of Early Long-grain Non-glutinous Rice, Late Indica Rice and Japonica Rice

第九十八条 出库时，水分溢短数量由货主承担；非水分减量部分，仓库应及时补足。不能及时补足的，仓库按《提货通知单》开具日之前（含当日）该品种期货最近交割月最高交割结算价核算短少商品价款，赔偿货主。

Article 98 The overweight or underweight of moisture for departure shall be borne by cargo owners; As for non-moisture reduce, the warehouse shall complement the loss promptly. If the shortage cannot be supplied in time, the warehouse shall calculate the amount of commodities in shortage according to the highest delivery settlement price of the related futures contract in the closest delivery month before the date of issuing Bill Of Lading (the same day is included), and compensate to the owner.

第九十九条 晚籼稻、粳稻出库时，垩白粒率不高于入库检验结果所在等级 5 个百分点（含）的，视同合格。

Article 99 The chalky grain rate no more 5% (including 5%) than its grade for entry inspection will be regarded as qualified when the late indica rice and japonica rice depart.

## 第九节 甲醇出库

### Section 7 Departure of Methanol

第一百条 出库时甲醇不符合交割质量标准的，仓库承担赔偿责任。

Article 100 If the Methanol cannot conform to the delivering quality standard in the departure process, the warehouse shall bear the responsibility of compensation.

第一百零一条 出库数量发生损耗造成短少的，仓库应及时补足。不能及时补足的，仓库按《提货通知单》开具日（含当日）之前甲醇期货最近交割月最高交割结算价核算短少商品价款，赔偿货主。

Article 101 If the quantity of commodity in the departure process has a loss that caused a shortage, the warehouse shall complement promptly. If the shortage cannot be supplied in time, the warehouse shall calculate the amount of commodities in shortage according to the highest delivery settlement price of methanol futures contract in the latest delivery month before the date of issuing Bill Of Lading (the same day is included), and compensate to the owner.

## 第十章 厂库交割商品交收

### Chapter 10 Delivery of Commodities Delivered in Factory

第一百零二条 厂库出库时的日发货速度是指厂库在 24 小时内安排期货商品发货的最低数量。厂库日发货速度由交易所确定和调整。

Article 102 The daily delivery speed of commodity when leaving the factory refers to the minimum quantity of commodities arranged to deliver within 24 hours. Daily delivery speed of factory will be confirmed and adjusted by ZCE.

第一百零三条 货主与厂库办妥提货手续之日起，3个日历日内开始发货，货主与厂库自行协商的除外。货主可自行到库提货或委托厂库代为发运。

Article 103 The factory shall start the delivery within 3 calendar days after completing the procedure of goods' pick-up with the cargo owner, except self-negotiation between the factory and the owner. The owners may go to the factory directly to pick up the goods by themselves or consign the factory to deliver and transport the commodity for them.

由于货主变更发货方式、发货时间、提货手续不全、费用未按时交纳、其他特殊要求等原因，致使发货推迟的，不受前款限制。

In the case that the delivery is deferred due to the owner's reasons such as the change of delivery method and time, incompleteness of the pick-up procedure, failing to pay expenses on time, and other special requirements, the above rules do not apply.

动力煤厂库仓单在港口提货时，按照《郑州商品交易所期货交割细则》“车（船）板交割”规定流程办理。

The pick-up in port for the thermal coal factory warrants will be conducted according to the Zhengzhou Commodity Exchange Futures Delivery Rules on Vehicle (Ship) Board Regulations.

第一百零四条 厂库交割商品重量验收按照以下规定执行：

Article 104 The weight inspection of factory delivery commodity during departure shall be implemented according to the following rules:

玻璃出库重量按标准厚度折算。

The weight of glass will be converted according to the standard thickness during departure.

动力煤交收时，重量溢短范围适用《郑州商品交易所期货交割细则》“车（船）板交割”相关规定。

The scope of the underweight and overweight applies to the related regulations of Zhengzhou Commodity Exchange Futures Delivery Rules on Vehicle (Ship) Board during the departure of the thermal coal.

玻璃、动力煤之外的其他品种重量验收由提货人与厂库共同实施，以厂库检重为准，足量出库。

The weight inspection of products other than glass and thermal coal shall be implemented by both the owner and the factory. Checking and acceptance of weight shall be subject to the weight checked by the factory; the weight shall be sufficient when leaving the factory.

玻璃每次提货(指一张提货单)的溢短不超过一个包装单位(架),由买方决定,溢短部分由双方自行结算,结算价格参考最近交割月交割结算价。

The overweight and underweight of glass shall not exceed one package unit (shelf) for each delivery (refers to one piece of bill of lading), which is decided by the buyer. The amount of overweight and underweight shall be settled by both parties themselves. The settlement price refers to the delivery settlement price of the nearest delivery month.

玻璃、动力煤之外的其他品种出库数量发生短少的，厂库应及时补足。不能补足的，厂库按

《提货通知单》开具日（含当日）之前该品种期货最近交割月最高交割结算价核算短少商品价款，赔偿货主。

If the quantity of products other than glass and thermal coal has a loss that caused a shortage for departure, the factory shall complement promptly. If the shortage cannot be supplied in time, the factory shall calculate the amount of commodities in shortage according to the highest delivery settlement price of the futures contract in the latest delivery month before the date of issuing Bill Of Lading (the same day is included), and compensate to the owner.

提货人在货物交收时应到交收地点监发,未到场监发的,视为对货物重量没有异议。

The handling person shall present in the factory to supervise the whole process of departure. If he/she is not present, it can be deemed as that he/she has no objection about the weight of commodities.

第一百零五条 厂库交割商品质量验收按照以下规定执行：

Article 105 The quality inspection of factory delivery commodity shall be implemented according to the following rules:

玻璃出库时厂库向货主提供《质量合格证书》。

The factory shall provide the quality certificate to the owners during the departure of glass.

动力煤交收时，质量检验适用《郑州商品交易所期货交割细则》“车（船）板交割”相关规定。

Quality inspection applies to the related regulations of Zhengzhou Commodity Exchange Futures Delivery Rules on Vehicle (Ship) Board during the departure of the thermal coal.

晚籼稻、粳稻出库时，厂库应与货主共同抽取样品，货主对检验结果无异议的，厂库方予发货。货物实际质量指标与仓单标示质量指标不一致但在交易所规定的质量差异允许范围内的，客户应当接受，质量差异升贴水由厂库与客户按照交易所规定的标准自行结算。

The samples shall be taken by the factory and owner together during the departure of the late indica rice and japonica rice. If there is no disagreement from the owner on the result of examinations, the factory will dispatch the goods. If the actual quality index of the goods is not consistent with the quality index labeled on the warrants, but it is within the allowed range of quality difference stipulated by ZCE, the clients should accept the goods. The premium and discount of quality difference should be settled by the factory and clients themselves according to the regulation of ZCE.

玻璃、动力煤、晚籼稻、粳稻之外的其他品种出库时，厂库应在提货人监督下在货物装运到买方运输工具前进行抽样，经双方确认后共同封样。样品一式三份，一份由货主保存，两份由厂库保存，厂库应将样品保留至发货后 30 个日历日，作为发生质量争议时的处理依据。

As for the departure of products other than glass, thermal coal, late indica rice and japonica rice, the factory shall sample the commodity under the supervision of the person who picks up commodities before the commodity is shipped to the buyer's transport vehicles; then the sample can be sealed by the confirmation of both parties. The sample shall be prepared in triplicate; one shall be kept by the owner, and the other two copies shall be kept by the factory. To be a disposing basis when quality disputes occur, the factory shall keep it for 30 calendar days once the commodities have been sent out.

厂库须保证期货商品的质量符合交易所规定的交割标准，双方协商一致的除外。

The factory shall guarantee that the quality of commodity conforms to the delivery standard of ZCE except that the agreement is reached between both parties.

第一百零六条 货主办理提货手续时，应就发货速度及最后完成出库时间与厂库协商一致，协商不成的，厂库应按照交易所批准的日发货速度发货。

Article 106 In Pick-Up process, the owner shall make agreement with the factory on delivery speed and final completion time of departure. If both parties fail to reach an agreement, the factory shall deliver the commodity according to the daily delivery speed approved by ZCE.

第一百零七条 多个货主同时提货时，厂库可按货主预约时间及办理提货手续的先后顺序等合理安排发货。

Article 107 When several owners pick up goods at the same time, the factory can arrange the delivery order according to the priority of appointments by owners and the process of order for pick-up.

第一百零八条 厂库或货主因故不能按照约定的发货计划发货或提货的，双方应及时协商并妥善调整发货速度或发货计划，并且过错方应付滞纳金。动力煤滞纳金由买卖双方协商解决。动力煤之外的其他品种滞纳金 = 5 元/吨 × 按日发货计划应发未发或应提未提的商品数量 × 该批商品的滞留天数。

Article 108 If the factory or the owner fails to deliver or take commodities in time according to the original delivery plan for some reasons, both parties shall consult with each other in time and adjust the delivery speed as well; and the default party shall pay the overdue fine accordingly. The overdue fine will be negotiated between the buyer's and the seller's. The formula for the calculation of overdue fine is as follows other than thermal coal: 5 Yuan/ Ton \* Quantity of undelivered or untaken × delayed days of these commodities.

因厂库原因在约定的最后发货日起 5 个日历日内仍不能完成所有商品发货的，货主可要求厂库终止发货并支付赔偿金，赔偿金额 = 该品种期货最近交割月最高交割结算价 × 按商品总量应发而未发的商品数量 × 120%。

If the factory still fails to deliver all the commodities in 5 calendar days after the last day of shipping according to delivery plan, the owner may request to terminate the delivery and ask for the indemnification. The amount of indemnification is as follows: the highest delivery settlement price of the contract in the latest delivery month × Quantity of undelivered commodities × 120%.

当厂库发生违约行为时，首先由厂库向货主支付赔偿金。厂库未支付或支付数额不足的，交易所可动用厂库交存的银行履约保函、现金或交易所认可的其他支付保证方式予以清偿。

When the default behavior is conducted by factory, the factory shall pay the indemnification to the owner first. If the factory fails to pay the indemnification or the payment is insufficient, ZCE can pay off by using the bank guarantee letter deposited by factory, cash or other payment guarantees approved by ZCE.

第一百零九条 因天气原因及其他不可抗力因素导致无法发货或提货时，厂库和货主不需支付赔偿金。

Article 109 If the delivery or pick-up cannot be performed due to the weather or other force majeure, there's no need for factory and owner to pay for indemnification.

厂库和货主应妥善保管商品发货计划书、协商确认书、发货和提货单据，作为解决纠纷的依据。

The factory and the owner shall well keep the Commodity Delivery Plan, Consultation Confirmation, and Bill of Lading in order as the basis of the settlement of the disputes.

## 第十一章 入库和出库复检

## Chapter 11 Entry and Departure Re-inspection

### 第一节 仓库商品入库复检

#### Section 1 warehouse entry Re-inspection

第一百一十条 货主或者交割仓库对入库检验结果（强麦除外）有异议的，应当自收到检验结果之日起 3 个工作日内向交易所书面提出复检申请，并预交复检费用。

Article 110 If any cargo owners or delivery warehouse have any dissent as to the inspection result in the entry process(excluding strong wheat), they shall submit an application for re-inspection in written format to ZCE within 3 business days once receiving the inspection result, and prepay the re-inspection fee.

复检仅限于复检申请方提出的有异议的项目。

The re-inspection shall only be limited to the items put forward by the applicant of re-inspection.

未在规定时间内提出复检申请的，视为同意检验结果。

If any party fails to submit re-inspection application within the stipulated period, it shall be deemed as the acceptance of the inspection result.

第一百一十一条 白糖、PTA 和甲醇复检机构为原质检机构，交易所可调换或增加质检人员。

Article 111 The re-inspection institution of White Sugar, PTA and Methanol is the original inspection institution; ZCE can replace or add inspection staff to re-inspect quality accordingly.

交易所同意由交割仓库检验的仓单普麦、强麦质量指标，复检机构由交易所指定；

ZCE approves that the quality index of the warrants common wheat and strong-gluten wheat shall be inspected by the delivery warehouse, and the quality institution for re-inspection shall be appointed by ZCE.

菜籽、菜油、菜粕、早籼稻、晚籼稻、粳稻复检机构由货主和仓库协商确定，协商不成的，由交易所指定。

The quality re-inspection institution for rapeseed, rapeseed oil, rapeseed meal, early long-grain non-glutinous rice, late indica rice and japonica rice shall be negotiated and determined by the warehouse and the owner; if the negotiation is not successful, the re-inspection institute shall be appointed by ZCE.

第一百一十二条 由交易所指定复检机构的品种，复检样品由复检机构重新扦（采）取，仓库应予以配合。复检机构应当自扦（采）样完毕次日起 3 个工作日内作出复检结果（如样品量较大，可适当延迟），并将复检结果书面通知交易所，交易所通知异议方。

Article 112 As for the products which re-inspection is carried out by institutions appointed by Exchange, the samples for re-inspection shall be re-taken by the designated inspection institution and the warehouse shall assist and cooperate in the process. Re-inspection institutions shall issue the re-inspection result within 3 business days from the day after the completion of sampling (the period may be appropriately delayed if the amount of samples is large) and notify ZCE in written form. Then ZCE shall notify the initiating party accordingly.

复检机构为原质检机构的品种，复检机构只对其保留的样品进行复检，不再重新扦（采）样。复检机构自收到交易所复检通知之日起 4 个工作日内，应当作出复检结果，并将复检结果书面通知交易所，交易所通知异议方。

As for the product re-inspected by the same institution as the original institution, the re-inspection institutions shall only re-inspect the samples they have kept. Re-inspection institutions shall issue the re-inspection result within 4 business days and notify ZCE in written form, and then ZCE shall notify the initiating party.

复检结果为解决争议的依据。

The re-inspection result shall be deemed as the basis for the settlement of disputes.

第一百一十三条 由交易所指定复检机构的品种，复检结果与仓库原检验结论一致的，由货主承担相关费用（检验费、抽样费、差旅费、交通费等。下同）；复检结果与仓库原检验结论不一致的，相关费用由仓库承担。

Article 113 As for the products which re-inspection is carried out by re-inspection institutions appointed by ZCE, if the re-inspection result is consistent with the original inspection result of warehouses, cargo owners shall pay for the relevant fees (including inspection fee, sampling fee, travel expense, traffic fare, the same below); otherwise, warehouses shall pay relevant fees instead of owners.

复检机构为原质检机构的品种，复检结果与原检验结论一致的，由复检申请方承担相关费用；复检结果与原检验结论不一致的，相关费用由质检机构承担。

As for the product re-inspected by the same institution as the original institution, if the re-inspection result is consistent with the original inspection result, the applying party of re-inspection shall pay for the relevant fees. Inspection institutions shall pay relevant fees for re-inspection if otherwise.

第一百一十四条 一号棉入库复检按《期货交割棉公证检验实施办法（试行）》执行。

Article 114 The re-inspection for Cotton No. 1 shall be implemented in accordance with Measures of Notary Inspection For the Delivery of cotton (Trial).

## 第二节 仓库商品出库复检

### Section 2 warehouse Departure Re-inspection

第一百一十五条 自《提货通知单》开具之日起 10 个工作日内，仓单持有人对商品质量有异议的，可向交易所申请一次复检，并预交复检费用。

Article 115 If any holder of standard warrants has any objection regarding the quality of commodities, he/she may apply for re-inspection to ZCE once and prepay the re-inspection fee within 10 business days after the Bill Of Lading is issued.

未在规定时间内提出异议的，视为确认出库商品质量。

If any party fails to submit any objection to ZCE within the stipulated period, it shall be deemed as the acceptance of the quality of commodities.

第一百一十六条 复检仅限于复检申请方提出的有异议的项目。

Article 116 The re-inspection shall only be limited to the items raising disputes.

由仓库检验的项目，参照入库复检进行；由质检机构检验的项目，由交易所指定的质检机构进行复检。

For the items inspected by warehouses, please refer to the instruction of re-inspection in the entry process; for the items inspected by inspection institutions, the re-inspection process shall be



carried out by inspection institutions appointed by ZCE.

复检结果为解决争议的依据。

The re-inspection result shall be deemed as the basis for the settlement of disputes.

第一百一十七条 交易所不受理超出规定时间或者已经出库的交割商品的质量和数量复检，不承担由此产生的一切责任。

Article 117 ZCE shall not accept the quantity/quality re-inspection application if it is beyond the stipulated period or if the delivered commodities have been already dispatched, and ZCE shall not assume any responsibility so caused.

第一百一十八条 自收到书面异议之日起 2 个工作日内，交易所通知仓库。复检机构在仓库协助下重新扦（采）样，样品经三方共同认可后封样。复检结果由交易所通知会员与仓库。

Article 118 Within 2 business days after receiving written objection, ZCE shall notify warehouses. Re-inspection institutions shall re-sample with the assistance of warehouses, the samples shall be sealed after being recognized by three parties. ZCE shall notify the members and warehouses the re-inspection result.

复检结果符合交易所出库规定的，复检及相关费用由复检申请方承担。复检结果不符合出库规定的，复检及相关费用由过错方承担。

If the re-inspection result complies with the rules of ZCE for departure, relevant re-inspection fee shall be borne by the applicant. Otherwise, the relevant re-inspection fee shall be borne by the parties for liability.

第一百一十九条 复检结果不符合出库规定的，在双方约定或者规定的出库时间内，仓库或者标准仓单转让人可以用符合出库规定的商品调换，提货方不得拒收。商品调换不得影响商品及时出库，调换增加的运输、检验等费用由仓库或者标准仓单转让人承担。调换后商品的出库按交割商品的有关规定执行。

Article 119 If the re-inspection result fails to conform to the rules concerning departure, warehouses or assignors of standard warrants may replace them with commodities that conform to the departure rules within the stipulated period agreed by both parties, consignees shall not refuse to accept these commodities. The replacement of commodities shall not affect the timeline of commodities departure. Transport and inspection fees caused by the replacement shall be borne by warehouses or assignors of standard warrants. Departure after replacement should be in accordance to related rules of delivery products.

第一百二十条 仓库或者标准仓单转让人未能用符合出库规定的其他商品调换，仓库或者标准仓单转让人可以与客户（提货方）协商处理。

Article 120 If warehouses or assignors of standard warrants fail to replace with other commodities that conform to the departure rules, warehouses or assignors of standard warehouse warrants may negotiate with clients (consignees).

协商无法达成一致的，按以下规定执行：

If the agreement cannot be reached through negotiation, the following rules shall be implemented:

（一）仓库或者标准仓单转让人须及时对不合格的交割商品加工处理以达到出库规定，并承担补偿责任。补偿金额按照该品种期货最近交割月最高交割结算价的 3% 计算。加工处理且补偿后，客户（提货方）不得拒绝接受商品。

(1) Warehouses or assignors of standard warrants must timely process the unqualified

commodities to meet the rules of departure and shall bear the compensation responsibility. The compensation amount shall be calculated as per 3% of the highest delivery settlement price in the latest delivery month. After the processing and compensation, clients (consignees) shall not refuse to accept the commodities.

(二) 无法加工处理或者加工处理后仍不能达到出库规定的，仓库或者标准仓单转让人承担赔偿责任，赔偿金额按照该品种期货最近交割月最高交割结算价的 120% 计算，货物归仓库或标准仓单转让人所有。

(2) If the commodities cannot be processed or still cannot meet the rules of departure after processing, warehouses or assignors of standard warrants shall take the compensation responsibility. The amount of the compensation shall be calculated as 120% of the highest delivery settlement price for the corresponding product in the latest delivery month, and the commodities shall belong to warehouses or assignors of standard warrants.

第一百二十一条 一号棉复检按照棉花国家标准（GB1103-2007）和《期货交割棉公证检验实施办法（试行）》执行。

Article 121 The re-inspection of cotton No. 1 shall be carried out in accordance with the national standards of Cotton (GB1103-2007) and Measures of Notary Inspection for Cotton Delivery (Trial).

### 第三节 厂库商品出库复检

#### Section 3 Factory Departure Re-inspection

第一百二十二条 货主对交割商品重量、质量有异议的，首先与厂库协商解决。协商不成的，可向交易所申请一次复检，并预交复检及相关费用。

Article 122 If the owner has disagreements with the weight and quality of commodities, the owner shall negotiate with the factory first to solve the problem. If the negotiation doesn't work, the owner may apply for re-inspection to ZCE once and pay the related fees in advance.

重量异议，应在货物出库前提出。

Disagreement with weight shall be raised before the departure process.

质量异议，玻璃、晚籼稻、粳稻应在货物出库前提出；动力煤应在收到质检报告之日起 5 个工作日内提出；玻璃、动力煤、晚籼稻、粳稻之外的其他品种应在货物出库之日起 5 个工作日内提出。

Disagreement with quality of glass, late indica rice and japonica rice shall be raised before the departure of the goods; thermal coal disagreement should be raised from receiving the report on quality inspection within 5 business days. The products other than glass, thermal coal, late indica rice and japonica rice shall be raised within 5 business days from the departure date.

未在规定时间内提出异议的，视为确认出库商品的重量或质量。

If no disagreements are raised within stipulated time, it can be deemed as the confirmation of weight or quality of commodities in the departure process.

第一百二十三条 动力煤复检项目适用《郑州商品交易所期货交割细则“车（船）板交割”相关规定。动力煤之外的其他品种复检仅限于复检申请方提出的有异议的项目。

Article 123 Thermal coal re-inspection applies to the related regulations of Vehicles (Ship) Board Delivery of Detailed Rules for Futures Delivery of Zhengzhou Commodity Exchange. The products re-inspection other than thermal coal is only limited to items raising disputes.

复检由质检机构进行。复检机构由交易所指定并公告。

Re-inspection shall be carried out by the inspection institution. The inspection institution will be appointed and announced by ZCE.

甲醇、动力煤复检样品仅限于保留样品。

Sample of methanol and thermal coal for re-inspection is only limited to the preserved samples.

玻璃、晚籼稻、粳稻复检对象为申请方提出质量异议的对应货物。

The re-inspection objects of glass, late indica rice and japonica rice are the corresponding goods against which the applicant argues.

复检结果为解决争议的依据。

Result of re-inspection is the basis for solving disputes.

第一百二十四条 交易所不受理超出规定时间的交割商品的质量复检,不承担由此产生的一切责任。

Article 124 ZCE will not accept any quality re-inspection application for delivery commodities that is beyond the stipulated time, and will not bear any responsibility so caused.

复检结果符合交割规定的,复检及相关费用由复检申请方承担。

If the results of re-inspection conform to the delivery rules, the relevant fees of re-inspection shall be borne by the applicant of re-inspection.

复检结果不符合交割规定的,复检及相关费用由厂库承担。由此造成的损失由厂库与货主协商处理,双方协商无法达成一致的,厂库应承担赔偿责任,赔偿金额=该品种期货最近交割月最高交割结算价×复检不符合交割规定的商品数量×120%,对应的货物归厂库所有。

If the results of re-inspection fail to conform to the delivery rules, the relevant fees of re-inspection shall be borne by the factory. The loss incurred shall be solved through the negotiation between the factory and the owner. If both parties fail to reach an agreement, the factory shall bear the liability for compensation; compensation amount= the highest delivery settlement price of the futures contract in the latest delivery month × quantity of commodities which fail to conform to the delivery rules after re-inspection × 120%; the corresponding commodities will be owned by the factory.

## 第十二章 监督、争议和处理

### Chapter 12 Supervision, Disputes and Settlement

第一百二十五条 交易所所有权对用于期货交割的商品进行抽查。

Article 125 ZCE shall have the authority to carry out the spot check on commodities used for futures delivery.

对期货交割商品抽查不合格的不予注册。

Commodities failing to pass the check shall not be allowed to register.

对已经注册成仓单的商品质量和数量抽查中发现质量不合格或者数量有差额的,责成仓库、厂库或仓单持有人采取限期提供足量、合格商品等补救措施,由此发生的一切费用和损失由仓库或者仓单持有人承担。出现违规行为的,交易所按规定对违规者进行处罚。

If any commodities that have been registered as warrants successfully are found of unqualified quality or insufficient quantity by spot-check, warehouses, factory or holders of standard warrants shall take remedies by providing sufficient and qualified commodities within a limited period. All fees and losses incurred shall be borne by warehouses or the holders of standard warrants. If there is any violation of rules, ZCE shall punish the violators in accordance with its rules.

第一百二十六条 标准仓单转让人与受让人（提货方）之间、客户与仓库或厂库及仓单质量免检承诺人之间产生交割纠纷的，双方可先行协商解决；协商无法达成一致意见的，应当在纠纷发生之日起 5 个工作日内以书面形式向交易所申请调解。调解不成的，依法向人民法院起诉或者依约向仲裁机构申请仲裁。

Article 126 If there is any dispute between assignors and assignees (consignees) of standard warrants or any dispute between clients and warehouses or factories, both parties shall settle the dispute by negotiation first; if no agreement through negotiation, the intermediation application in written form should be submitted to ZCE within 5 business days after the occurrence of the dispute. If the dispute still cannot be settled through intermediation, the parties may bring a lawsuit at the people's court in accordance with law or apply to arbitration institutions for arbitration as agreed.

第一百二十七条 交割商品出库时，对交割商品的质量和数量发生争议的，交易所按本办法规定对责任归属进行确认，最终责任由责任方承担。

Article 127 If there is any dispute on the quality and quantity of delivery commodities in the departure process, ZCE shall determine which party shall be responsible in accordance with guidelines herein and the final responsibility shall be assumed by the responsible party.

第一百二十八条 仓库、厂库或标准仓单转让人不能向客户（提货方）交付符合合约出库规定标准的商品，造成客户（提货方）损失的，应当承担赔偿责任。仓库或厂库不能履行其债务时，交易所仅对交割商品的重量和质量承担相应补充赔偿责任。

Article 128 If warehouses, factories or assignors of standard warrants fail to deliver to clients (consignees) the commodities conforming to the standards stipulated in the contract in the departure process and cause losses for clients (consignees), they shall take the responsibility of compensation. If warehouses or factories fail to perform their liabilities, ZCE shall only take the responsibility for supplementary compensation of delivery commodities' weight and quality.

第一百二十九条 厂库发货完毕，经交易所书面确认无数量、质量责任，经厂库申请，交易所退还现金或交易所认可的其他支付保证方式。

Article 129 After the factory completes the delivery and has no liability on quantity and quality confirmed by ZCE in written, ZCE shall return the cash or other recognized payment guarantees to the factory accordingly after receiving factory's application.

## 附则

### Supplementary Rules

第一百三十条 本办法解释权属于郑州商品交易所。

Article 130 The right to interpret these guidelines belongs to ZCE.

第一百三十一条 本办法自 2014 年 7 月 8 日起施行。

Article 131 These Guidelines take effective since July 8th, 2014