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# Yinbaojianfa [2021] No. 43 "Notice of the China Banking and Insurance Regulatory Commission on Printing and Distributing the Supervision Measures for Major Shareholders of Banking and Insurance Institutions (Trial Implementation)"

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# **Notice of the China Banking and Insurance Regulatory Commission on Issuing the Measures for the Supervision of the Major Shareholders of Banking and Insurance Institutions (Trial)**

## **Yin Bao Jian Fa [2021] No. 43**

The "Measures for the Supervision of Major Shareholders' Behavior of Banking and Insurance Institutions (Trial)" was adopted at the 7th Executive Meeting of the China Banking and Insurance Regulatory Commission in 2021 on June 8, 2021, and is hereby issued to you for your compliance and implementation.

China Banking and Insurance Regulatory Commission

September 30, 2021

# Measures for the Supervision of the Conduct of Major Shareholders of Banking and Insurance Institutions (for Trial Implementation)

## Chapter 1 General Provisions

**Article 1** In order to strengthen the corporate governance supervision of banking and insurance institutions, standardize the behavior of major shareholders, and protect the legitimate rights and interests of banking and insurance institutions and stakeholders, in accordance with the "Company Law of the People's Republic of China", "Banking Supervision and Administration Law of the People's Republic of China " and " People 's Republic of China Banking Supervision Law" These Measures are formulated in accordance with the Commercial Bank Law , the Insurance Law of the People's Republic of China and other relevant laws and regulations.

**Article 2** These Measures are applicable to state-controlled large commercial banks, national joint-stock commercial banks, urban commercial banks, rural commercial banks, foreign-funded corporate banks, private banks, insurance group (holding) companies, insurance Companies, insurance asset management companies, trust companies, financial asset management companies, financial leasing companies,

consumer finance companies and auto finance companies (hereinafter collectively referred to as banking and insurance institutions).

**Article 3** The major shareholder of a bancassurance institution as mentioned in these Measures refers to a shareholder of a bancassurance institution that meets one of the following conditions

: Insurance institutions, financial asset management companies, financial leasing companies, consumer finance companies, auto finance companies and other institutions with more than 15% equity; (2

) Those who hold more than 10% equity of urban commercial banks, rural commercial banks and other institutions

; Those who actually hold the most equity in bancassurance institutions, and the shareholding ratio is not less than 5% (including shareholders with the same number of shares); (4)

Nominate two or more directors

;

(6) Other circumstances determined by the China Banking and Insurance Regulatory Commission (hereinafter referred to as the "CBIRC" ) or its dispatched offices .

Shareholding ratios of shareholders, their affiliates, and persons acting in concert are calculated on a consolidated basis. If the total shareholding ratio meets the above requirements, the relevant shareholders are regarded as major shareholders for management.

**Article 4** The China Banking and Insurance Regulatory Commission and its dispatched offices shall supervise the behavior of major shareholders of banking and insurance

institutions in accordance with the law.

## Chapter II Shareholding Behavior

**Article 5** Major shareholders of banking and insurance institutions shall fully understand the industry attributes, risk characteristics, prudent operation rules of the banking or insurance industry, as well as the rights and obligations of major shareholders, actively maintain the stable operation of banking and insurance institutions and the stability of the financial market, and protect consumers rights and interests, and support banking and insurance institutions to better serve the real economy and prevent and control financial risks.

**Article 6** Major shareholders of bancassurance institutions shall strengthen capital constraints, maintain an appropriate level of leverage, make scientific arrangements for investment in bancassurance institutions, ensure that investment behavior is compatible with their own capital scale, continuous capital contribution capability, and operating management level, and invest in bancassurance institutions The quantity should comply with the relevant regulatory requirements.

**Article 7** A major shareholder of a bancassurance institution shall use its own funds from legitimate sources to buy shares in a bancassurance institution, and shall not use entrusted funds, debt funds, or other non-own funds to buy shares, unless otherwise prescribed by laws and regulations.

When a major shareholder of a bancassurance institution acquires equity and reports it to the China Banking and Insurance Regulatory Commission and its dispatched

institutions for approval and filing, it shall specify the source of funds in detail, and actively cooperate with the China Banking and Insurance Regulatory Commission, its dispatched institutions, and bancassurance institutions in reviewing the source of funds.

**Article 8** Major shareholders of banking and insurance institutions shall explain their equity structure layer by layer up to the actual controller, ultimate beneficiary, and the associated relationship or concerted action relationship with other shareholders to ensure the authenticity and transparency of the equity relationship, and it is strictly forbidden to hide the actual controller and conceal Affiliated relationship, equity holding, private agreement and other violations of laws and regulations.

**Article 9** Major shareholders of bancassurance institutions and bancassurance institutions shall not directly or indirectly cross shareholdings, unless otherwise stipulated by the State Council.

**Article 10** When the number of equity pledged by a major shareholder of a bancassurance institution exceeds 50% of the equity held by it, the major shareholder and its nominated directors shall not exercise voting rights at the general meeting of shareholders and the board of directors. If there are other provisions for trust companies and specific types of financial institutions, those provisions shall prevail.

Major shareholders of bancassurance institutions shall not use their equity in bancassurance institutions to provide guarantees for debts of shareholders other than themselves and their affiliates, and shall not use equity pledges to hold equity in bancassurance institutions, hold shares in violation of related regulations, or transfer equity in disguise.

A major shareholder of a bancassurance institution shall promptly, accurately and completely inform the bancassurance institution of the pledge and reconciliation pledge information of the equity held by it, and the bancassurance institution shall disclose it in the company's annual report.

**Article 11** Major shareholders of bancassurance institutions shall pay attention to long-term investment and value investment, and shall not aim at cashing out speculatively; they shall maintain the relative stability of the equity structure of bancassurance institutions, and shall not transfer or transfer their holdings in a disguised form within the equity transfer restriction period. Equities in banking and insurance institutions, except for transfers ordered by judicial rulings, administrative transfers, or by the China Banking and Insurance Regulatory Commission and its dispatched agencies.

### Chapter III Governance Behavior

**Article 12** Major shareholders of banking and insurance institutions shall perform their duties in accordance with laws, regulations, regulatory provisions, and the company's articles of association, legally and effectively participate in corporate governance, and strictly prohibit the abuse of shareholder rights.

**Article 13** Major shareholders of bancassurance institutions shall support bancassurance institutions in establishing an independent, sound corporate governance structure with effective checks and balances, and encourage and support bancassurance institutions to organically integrate party leadership with corporate governance.

**Article 14** Major shareholders of bancassurance institutions shall properly exercise shareholder rights through corporate governance procedures, maintain the independent operation of bancassurance institutions, and illegally interfere with or restrict bancassurance institutions in the following ways in violation of regulations.

Except for the circumstances approved by the China

Banking and Insurance Regulatory Commission: (1) Setting up pre-approval procedures for the resolutions

of the shareholders (general meeting) and the board of directors; (3) Interfering with the performance evaluation of directors, supervisors and other staff of banking and insurance institutions;

(4) Interfering with the normal operation and decision-making procedures

of banking and insurance institutions; (5) Interfering with the financial accounting, capital transfer, and asset management of banking and insurance institutions

(6) Issue business plans or instructions to banking and insurance institutions; ( 7

) Require banking institutions to grant loans or provide guarantees;

(8) Require insurance institutions to carry out specific insurance business or use of funds;

(9) ) interfere with the independent operation of banking and insurance institutions in other forms.

**Article 15** Major shareholders of banking and insurance institutions may entrust proxies to attend the general meeting of shareholders, but the proxies shall not be persons other than the shareholders themselves and their affiliates, persons acting in concert, and nominated directors and supervisors. Major shareholders of banking and insurance institutions shall not accept the entrustment of non-affiliated parties or persons acting in concert to participate in the general meeting of shareholders.



**Article 16** If the major shareholder of a bancassurance institution is an institutional investor such as an equity investment fund, it shall disclose its corporate governance and voting policies for the bancassurance institution to the ultimate beneficiary of the equity held and the bancassurance institution, including the relevant procedures for deciding to use voting rights.

**Article 17** Major shareholders of bancassurance institutions shall prudently exercise their right to nominate directors of bancassurance institutions to ensure that nominees comply with relevant regulatory provisions. Major shareholders are encouraged to select candidates to be nominated for directors in a market-based manner, and continuously improve the professional level of directors.

**Article 18** Directors nominated by major shareholders of bancassurance institutions shall perform their duties independently based on professional judgment, treat all shareholders fairly, make independent, professional, and objective decisions based on the principle of maximizing the overall interests of the bancassurance institution, and make decisions in accordance with the law. Assuming responsibility shall not damage the legitimate rights and interests of banking insurance institutions and other stakeholders.

**Article 19** Major shareholders of bancassurance institutions and staff members of the enterprise groups to which they belong shall not, in principle, concurrently serve as senior managers of bancassurance institutions. Except for wholly-owned bancassurance institutions, bancassurance institutions that are in the risk disposal and recovery period as determined by the regulatory authorities, and major shareholders who are centrally managed financial enterprises.

**Article 20** Major shareholders of bancassurance institutions shall strengthen supervision over the performance of their nominated directors and supervisors in accordance with the law, and timely adjust those who cannot effectively perform their duties in accordance with laws and regulations, the provisions of the articles of association of bancassurance institutions, and regulatory requirements.

## Chapter Four Trading Behavior

**Article 21** Major shareholders of bancassurance institutions shall abide by laws and regulations and the relevant provisions of the China Banking and Insurance Regulatory Commission on affiliated transactions to ensure the transparency and fairness of transactions with bancassurance institutions.

**Article 22** Major shareholders of bancassurance institutions are strictly prohibited from conducting inappropriate related party transactions with bancassurance institutions in the following ways, or using their influence on bancassurance institutions to obtain illegitimate benefits

: obtain bank credit such as loans, bill acceptance and discount, bond investment, and special-purpose vehicle investment

;

illegally occupying or disposing of the funds or other rights and interests of the bancassurance institution

through borrowing, guarantee, etc

.; Purchasing or leasing the assets of bancassurance institutions, or selling or leasing inferior assets to bancassurance institutions under the conditions of

similar transactions with unrelated parties; assets, or charge excessive fees for the use of intangible assets from bancassurance institutions;

(7) take advantage of the status of major shareholders to seek business opportunities belonging to bancassurance institutions;

(8) use undisclosed information or business secrets of bancassurance institutions to seek benefits;

(9) Carrying out inappropriate related party transactions or obtaining illegitimate benefits in other ways.

**Article 23** Major shareholders of bancassurance institutions shall fully assess the necessity and rationality of conducting related party transactions with bancassurance institutions, and it is strictly forbidden to evade the review of related party transactions by covering up related party relationships, splitting transactions, and prolonging financing chains through nested transactions. . Encourage large shareholders to reduce the number and scale of related transactions with bancassurance institutions, enhance the independence of bancassurance institutions, and improve their market competitiveness.

**Article 24** When major shareholders of bancassurance institutions and their affiliates conduct major related party transactions with bancassurance institutions, they shall cooperate in providing relevant materials in accordance with relevant regulations and regulatory requirements, and the bancassurance institutions shall report and disclose them in accordance with regulations.

**Article 25** Major shareholders of bancassurance institutions shall cooperate with bancassurance institutions in the dynamic management of related party transactions, make timely statistics of the cumulative amount of related party transactions, monitor whether they comply with the relevant regulations on the concentration of related party transactions, and regularly provide bancassurance institutions with information

on how to conduct related party transactions with them The overall situation of the bank and insurance institutions, and take corresponding measures in a timely manner according to the early warning reminders of the banking and insurance institutions.

**Article 26** Where a major shareholder of a bancassurance institution issues bonds in a non-public manner, the bancassurance institution shall not provide guarantees for them, and shall not purchase them directly or through financial products.

## Chapter V Responsibilities and Obligations

**Article 27** Major shareholders of banking and insurance institutions shall conscientiously study and implement the relevant regulations and policies of the China Banking and Insurance Regulatory Commission, strictly self-discipline, practice the principle of good faith, exercise the rights of major shareholders in good faith, and shall not use their status as major shareholders to damage the interests of banking and insurance institutions and other interests The legitimate rights and interests of relevant parties.

**Article 28** In the event of major risk events or major violations of laws and regulations by banking and insurance institutions, and the China Banking and Insurance Regulatory Commission or its dispatched offices take measures such as risk disposal or takeover, the major shareholders of the bancassurance institution shall actively cooperate in risk disposal and strictly implement relevant regulations. Measures and requirements, actively maintain the stability of banking and insurance institutions, and assume shareholder responsibilities and obligations in accordance with the law.

**Article 29** Where the China Banking and Insurance Regulatory Commission and its dispatched offices conduct on-site inspections and investigations of banking and insurance institutions in accordance with the law, the major shareholders of the banking and insurance institutions shall actively cooperate with the relevant measures taken by the regulatory authorities and strictly implement the relevant regulatory requirements.

**Article 30** Major shareholders of banking and insurance institutions shall perform information submission obligations in strict accordance with regulatory provisions, formulate and improve internal work procedures, clarify the scope, content, review procedures, responsible departments, etc. of information submissions, and ensure timely and authentic information submissions, accurate and complete, without false records, misleading statements or major omissions.

**Article 31** Major shareholders of bancassurance institutions shall actively cooperate with bancassurance institutions in managing reputational risks, guide positive public opinion, and maintain the brand image of bancassurance institutions.

When a major shareholder of a bancassurance institution detects reports or rumors related to it that may have a significant impact on the bancassurance institution, it shall promptly notify the bancassurance institution of the relevant matters.

**Article 32** Major shareholders of bancassurance institutions shall strengthen the risk isolation between the bancassurance institutions they hold shares and other non-licensed financial institutions such as small loan companies and guarantee companies, and shall not use the name of bancassurance institutions for improper publicity, It is strictly forbidden to confuse the products and services between licensed and unlicensed financial institutions, or to enlarge the credit of unlicensed financial institutions to seek improper benefits.

**Article 33** Major shareholders of bancassurance institutions should support bancassurance institutions in formulating and implementing medium- and long-term

capital plans based on the development strategies, business plans, and risk conditions of bancassurance institutions, promote the matching of capital needs and capital replenishment capabilities of bancassurance institutions, and ensure the sustainable capital of bancassurance institutions. Meet regulatory requirements.

**Article 34** Major shareholders of bancassurance institutions shall support bancassurance institutions to supplement capital sustainably through multiple channels, optimize capital structure, and enhance the ability to serve the real economy and resist risks.

When the China Banking Regulatory Commission and its dispatched offices order the bancassurance institution to replenish capital according to law, if the bancassurance institution cannot replenish capital through means other than capital increase, the major shareholder shall perform the capital replenishment obligation, and those who do not have the capital replenishment capacity or do not participate in the capital increase shall not hinder other Shareholders or investors adopt reasonable plans to increase capital.

**Article 35** Major shareholders of bancassurance institutions shall support bancassurance institutions in adjusting profit distribution policies based on their own operating conditions, risk conditions, capital planning, and market environment, and balance the relationship between cash dividends and capital replenishment. In any of the following situations, the major shareholders of a banking and insurance institution shall support it in reducing or not paying cash dividends:

(1) The capital adequacy ratio does not meet the regulatory requirements or the solvency does not meet the standard;

(2) The corporate governance assessment result is lower than C-level ( 3

) Loan loss reserves are lower than regulatory requirements or the non-performing loan ratio is significantly higher than the industry average; (

4) There are major risk events and major violations of laws and regulations in banking and insurance institutions;

(5) ) Other circumstances where the China Banking Regulatory Commission and its dispatched agencies deem that dividends should not be distributed.

**Article 36** Major shareholders of banking and insurance institutions shall, in accordance with regulatory provisions, issue written commitments on relevant responsibilities and obligations, and actively fulfill the commitments. If major shareholders make false promises or fail to fulfill their commitments, the China Banking and Insurance Regulatory Commission may interview banking and insurance institutions, major shareholders and other relevant personnel, and record them in the poor equity management records of commercial banks and insurance companies.

**Article 37** Major shareholders of banking and insurance institutions should encourage and support all shareholders, especially small and medium shareholders, to carry out legitimate communication and consultation on matters related to exercising shareholder rights, and coordinate and cooperate with small and medium shareholders to exercise statutory rights such as the right to know or the right to inquire in accordance with the law.

**Article 38** Major shareholders of banking and insurance institutions shall support small and medium-sized shareholders in obtaining opportunities to effectively participate in and vote at shareholders' (general) meetings, and shall not obstruct or instigate banking and insurance institutions to obstruct small and medium shareholders from participating in shareholders' (general) meetings, or to (big) will put up other obstacles.

**Article 39** Major shareholders of bancassurance institutions shall pay attention to other shareholders' exercise of shareholder rights and fulfillment of shareholder obligations, and shall notify the bancassurance institution in a timely manner if they

find any damage to the interests of the bancassurance institution or the legitimate rights and interests of other stakeholders. Banking and insurance institutions shall take corresponding measures in a timely manner in accordance with the provisions of laws, regulations and the company's articles of association, and report to the China Banking and Insurance Regulatory Commission or its dispatched offices.

## Chapter VI Responsibilities of Bancassurance Institutions

**Article 40** The board of directors of a banking and insurance institution shall perform its duties diligently and assume the ultimate responsibility for equity management.

The chairman of the bancassurance institution is the first person responsible for handling the equity affairs of the bancassurance institution. The secretary of the board of directors assists the chairman in his work and is the person directly responsible for handling equity affairs.

**Article 41** Bancassurance institutions shall strengthen the management of shareholder equity and related party transactions, focus on the behavior of major shareholders, and take timely measures to prevent the aggravation of violations when they discover that major shareholders and their actual controllers have violations involving the bancassurance institution , and report to the China Banking and Insurance Regulatory Commission or its dispatched agency in a timely manner.

**Article 42** Banking and insurance institutions shall insist on independent operation, establish an effective risk isolation mechanism, and take prudent measures to isolate equity, assets, debts, management, finance, business, and personnel, so as to realize



independent accounting and risk-taking with major shareholders. , to effectively prevent conflicts of interest and risk contagion. If the China Banking and Insurance Regulatory Commission has other provisions on the supervision and administration of banking and insurance institutions, such provisions shall prevail.

**Article 43** Encourage banking and insurance institutions to formulate a list of major shareholders' rights and obligations and a list of negative behaviors.

The list of rights and obligations shall specify the shareholder rights enjoyed by major shareholders according to the law and the responsibilities and obligations that shall be fulfilled; the list of negative behaviors shall specify the violations that major shareholders shall not take advantage of as shareholders, as well as the legal responsibilities and possible penalties that major shareholders will bear when there are violations. regulatory penalties.

Bancassurance institutions should update the list of rights and obligations and the list of negative behaviors in a timely manner in accordance with laws, regulations and regulatory policies, make full use of the company's articles of association, urge and guide major shareholders to strictly exercise shareholder rights in accordance with laws and regulations, and actively perform their responsibilities and obligations.

**Article 44** Banking and insurance institutions shall establish large shareholder information files, record and manage relevant information of large shareholders, and verify the control status of large shareholders, and contact If there is any change in the related relationship and concerted action among other shareholders of the banking and insurance institution, as well as the freezing of pledged equity held by it, relevant information shall be reported and disclosed in a timely, accurate and complete manner in accordance with relevant regulations.

**Article 45**The board of directors of a bancassurance institution shall, at least once a year, review the qualifications of major shareholders, financial status, equity holdings, related party transactions in the previous year, exercise of shareholder rights,

performance of responsibilities and commitments, implementation of the company's articles of association and terms of agreements, compliance with The laws, regulations and regulatory requirements shall be evaluated, and notified at the general meeting of shareholders or through written documents, and a copy shall be submitted to the China Banking and Insurance Regulatory Commission or its dispatched agencies.

When a banking and insurance institution evaluates a major shareholder, it may, in accordance with the relevant regulatory provisions, conduct simultaneous evaluations on other shareholders that need to be evaluated, and the relevant evaluation reports may be submitted to the China Banking Regulatory Commission or its dispatched offices in a consolidated manner.

**Article 46** On the premise that no commercial secrets are involved, banking and insurance institutions may regularly report the institution's governance, business operations, and related risks to better protect minority shareholders, independent directors, external supervisors, ordinary employees, and financial consumers. The relevant rights such as the right to know and the right to inquire, and encourage the above-mentioned stakeholders to supervise the improper intervention of major shareholders.

**Article 47 Where** a major shareholder of a bancassurance institution abuses shareholder rights and causes losses to the bancassurance institution, the bancassurance institution shall, in accordance with Article 20 of the Company Law of the People's Republic of China, require the major shareholder to bear the liability for compensation. If the major shareholder refuses to cooperate in assuming the liability for compensation, the banking and insurance institution shall actively take relevant measures to protect its own rights and interests, and report the relevant situation to the China Banking and Insurance Regulatory Commission or its dispatched institution.

## Chapter VII Supervision and Management

**Article 48** The China Banking and Insurance Regulatory Commission and its dispatched offices shall, in accordance with the principle of substance over form, strengthen penetrating supervision and review of major shareholders of banking and insurance institutions, and take regulatory measures in accordance with the law for violations of laws and regulations involving banking and insurance institutions.

**Article 49 Where** a major shareholder of a banking and insurance institution violates the provisions of these Measures, the China Banking and Insurance Regulatory Commission and its dispatched offices may order corrections within a time limit, and take interviews with major shareholders and relevant personnel, public inquiries, public reprimands, and reporting to their superior competent units as appropriate. Notification and other measures.

**Article 50 Where** major shareholders of banking and insurance institutions or their controlling shareholders or actual controllers violate the provisions of Articles 7, 8, and 14 of these Measures, the China Banking and Insurance Regulatory Commission and its local offices may restrict its shareholders (general meeting) according to law. Relevant shareholder rights such as the right to convene, the right to vote, the right to nominate, the right to propose, and the right to dispose.

**Article 51** Where the major shareholder of a bancassurance institution and its affiliates use affiliated transactions to seriously damage the interests of the bancassurance institution and endanger the capital adequacy ratio or solvency, the China Banking Regulatory Commission or its dispatched offices shall immediately take measures to restrict or prohibit the bancassurance institution Carry out connected transactions with offending shareholders and their related parties to prevent further damage to the interests of bancassurance institutions.

**Article 52** Where a bancassurance institution violates the provisions of these Measures, the China Banking and Insurance Regulatory Commission and its dispatched offices may order it to make corrections within a time limit, and adjust the corporate governance assessment results, supervisory ratings, or take other supervisory measures of the bancassurance institution according to the violation.

**Article 53** For employees of banking and insurance institutions who are directly responsible for violations of regulations by the banking and insurance institutions or their major shareholders or who fail to perform their duties, the China Banking and Insurance Regulatory Commission and its dispatched offices may take the following measures and hold the relevant personnel accountable according to law:

- ( 1) Supervisory interviews or orders for rectification;
- (2) Industry warning notifications or public reprimands;
- (3) Banking and insurance institutions are ordered to impose disciplinary actions, warnings, fines or adjust positions in accordance with company regulations;
- (4) Notify their organizational departments and Disciplinary inspection and supervision department.

**Article 54** Where major shareholders of banking and insurance institutions, their controlling shareholders, and actual controllers violate the provisions of these Measures, the China Banking and Insurance Regulatory Commission and its dispatched offices shall take timely measures in accordance with relevant laws and regulations, and promptly, accurately, Fully documented. For major shareholders who have serious violations of laws and regulations and have particularly bad social impacts, the China Banking and Insurance Regulatory Commission will punish them in accordance with the law and publicly notify the public as appropriate.

## Chapter VIII Supplementary Provisions

**Article 55** These Measures shall apply by reference to other financial institutions established with the approval of the China Banking and Insurance Regulatory Commission. Where laws, regulations and regulatory systems provide otherwise, those provisions shall prevail.

Laws, regulations, regulatory systems, and equity management of state-owned financial enterprises are of great importance to the national financial department, investment institutions authorized by the State Council, other departments and institutions entrusted by the financial department to manage state-owned financial capital, commercial banks, insurance group (holding) companies, insurance companies, and foreign-funded legal persons Institutions and financial holding companies established with the approval of regulatory authorities as shareholders of bancassurance institutions have other provisions, such provisions shall prevail.

**Article 56** The term "above" mentioned in these Measures includes the original number, and "exceeds" and "below" does not include the original number.

**Article 57** These Measures shall be interpreted by the China Banking and Insurance Regulatory Commission.

**Article 58** These Measures shall come into force on the date of promulgation.

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