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PEOPLE'S REPUBLIC OF CHINA**

JR/T 0176.1-2019

**Securities and futures industry data model - Part 1: Abstract
model design method
(English Translation)**

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Foreword

JR/T 0176 "Data Model of Securities and Futures Industry" is divided into 8 parts.

- Part 1. Abstract model design method;
- Part 2. Industry model of the public part of the logical model;
- Part 3. Logical model of securities companies;
- Part 4. Fund company logic model;
- Part 5. Futures company logical model;
- Part 6. Stock exchange logical model;
- Part 7. The logical model of the futures exchange;
- Part 8. The logical model of the regulatory body.

This part is the first part of JR/T 0176.

This section is drafted in accordance with the rules given in GB/T 1.1-2009.

This section is proposed by the Securities Technical Committee of the National Financial Standardization Technical Committee (SAC/TC180/SC4).

This section is under the jurisdiction of the National Financial Standardization Technical Committee (SAC/TC180).

Introduction

The data level of the securities and futures industry is relatively high, with many institutions, wide types, and various trading methods.

The business is developing rapidly. In order to improve the efficiency of data exchange, standardize the construction of data application systems of industry institutions, and improve the standardization of industry data, the securities and futures industry

organization has carried out industry data model construction work, which aims to clearly describe the data flow, data name, and data definition of the entire market.

Definitions, structure types, code values, and associations, etc., to provide guidance for the construction of internal systems and data exchange between institutions. This section is the first part of a series of standards for the data model of the securities and futures industry. an abstract model design method based on which a set of regulatory regulations can be formed Fan's model framework, and a set of industry data dictionaries based on regulatory rules. Related results are an important part of the industry data model.

It is an industry standard data review basis and a mapping basis for the industry logic model. It regulates the language of industry data, promotes industry data governance, it is of great significance to assist the industry to supervise the construction of science and technology.

Securities and Futures Industry Data Model Part 1. Abstract model design methodology

1 Scope

This section specifies the design method of the abstract model of the securities and futures industry, including the overall design architecture, the overall design method, the design method of the public part Law, transaction part design method, supervision part design method, information disclosure part design method, meta-language definition and output description.

This section applies to the construction of abstract models for the securities and futures industry.

2 Normative references

The following documents are essential for the application of this document. For dated references, only the version corresponding to the date indicated applies in this document. For undated references, the latest version (including all amendments) applies to this document.

Accounting Standards for Business Enterprises

3 Terms and definitions

The following terms and definitions apply to this document.

3.1 Business

3.1.1

Abstract model

Based on relevant laws and regulations, departmental regulations, business rules, and guidance documents of the securities and futures industry, a top-down combing Method, traversing various types of business activities in the capital market, identifying key business processes and data elements Usability, stability and scalability data collection.

3.1.2

Subject identity

The main object of participation in the capital market business.

Note: Includes institutions, individuals and products.

3.1.3

Variety

Various financial instruments and services involved in capital market business.

3.1.4

Finance

Funding activities and capital relations involved in the participation of various institutions in the capital market business process.

3.1.5

Trading

All types of entities involved in the transfer of capital market business.

3.1.6

Regulation

The competent authorities shall, in accordance with laws and regulations, uniformly supervise and manage the securities and futures markets nationwide, maintain market order, and ensure their legal operation.

3.1.7

Information disclosure the disclosure entity reports its own financial changes, operating conditions and other information and information to the regulatory authorities and exchanges, and makes it public or Announced behavior.

3.1.8

Behavior

A series of actions by various market entities in the process of trading, supervision, and information disclosure.