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**CERTIFICATION AND ACCREDITATION INDUSTRY STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

RB/T 305-2017

**Requirements for online securities trading service certification
(English Translation)**

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Table of Contents

Foreword

Introduction

1 Scope

2 Normative references

3 Terms and definitions

Foreword

This standard was drafted in accordance with the rules given in GB/T 1.1-2009.

This standard is proposed and managed by the National Certification and Accreditation Administration.

This standard was drafted. Shanghai Institute of Quality Management Science, Shanghai Quality System Audit Center, Shanghai Beiheng Testing Technology Co., Ltd.

Guangfa Securities Co., Ltd., Guotai Junan Securities Co., Ltd., China Galaxy Securities Co., Ltd. Shanghai Caobao Road Securities Camp Industry department.

Introduction

According to the data released by the Shanghai and Shenzhen Stock Exchanges, the A-share market realized the transformation of Xiong Tu to the bull market in 2014, and the total number of investors opened accounts.

243 million households, the number of newly opened accounts reached 949.18 million, an increase of 93.21% over the previous year, and with the further rise of the stock market, in the first half of 2015, the number of monthly securities accounts was almost always at a record high. Behind the hot market, look at online securities trading services in the industry, the relevant regulations from the competent authorities such as the China Securities Regulatory Commission basically cover the entire process of transaction services. However, these regulations are mostly based on the need for supervision by the industry supervision department, providing guidance or principle requirements for the service provision of securities firms, and a small number of guidelines from the perspective of avoiding security risks, it provides guidance on the specific operations of brokers. A large number of related standards are also from infrastructure, data, information security, etc.

Angle of specification, and another important component affecting online securities trading services - customer perception of service, but very few it is mentioned and further

regulated.

The conformity assessment system, as a common international trade rules and practices, has passed the management system certification and product certification in China for more than 30 years.

Practice testing has proven that it can effectively enhance corporate management capabilities and market competitiveness, effectively improve corporate management, and thus enhance products and services.

Quality of service. By certifying this conformity assessment activity, it is able to convey information on quality, competence and credit to consumers and guide consumption choices.

Guide the upgrading of consumption structure and stimulate market vitality.

This standard aims to establish and implement online securities trading service requirements through means of service certification to improve the quality of China's securities service industry.

Quantity and level to promote social harmony. This standard breaks through the traditional way of specifying service requirements by management indicators, according to online securities trading services.

The characteristics of the contact, from the account opening, trading, account maintenance, account cancellation, information services, investor education and appropriate services, etc.

The transaction service certification requirements, as well as the certification requirements for its service management.

Online Securities Trading Service Certification Requirements

1 Scope

This standard specifies the account opening, trading, account maintenance, account cancellation, information service, investor education and appropriate sex service of online securities trading services.

And the certification requirements for service management.

This standard applies to securities companies engaged in online securities trading services, branches of securities companies and other organizations.

- a) conduct self-evaluation and self-declaration;
- b) seek confirmation from the relevant parties (such as industry associations) of the organization for their compliance;

c) Seek external organizations to certify their service capabilities.

2 Normative references

The following documents are indispensable for the application of this document. For dated references, only dated versions apply to this article.

Pieces. For undated references, the latest edition (including all amendments) applies to this document.

GB/T 19001 quality management system requirements GB/T 19012 Quality Management Customer Satisfaction Organization Handling Complaint Guide GB/T 19038 Customer Satisfaction Measurement Model and Method Guide GB/T 27910 Financial Services Information Security Guide

3 Terms and definitions

The following terms and definitions apply to this document.

Witness the account of accountsitcounts the account agent staff sees the investor outside the business premises, verifies the investor's identity and witnesses the investor's signing of the account opening application form.

After that, open the securities account for investors.

Online account onlinecialcounts the account opening agency verifies the identity of the investor through a digital certificate and opens the securities account for the investor through the Internet.

Online securities information system Relevant network equipment, computer equipment, software and special communication lines used by securities companies to conduct securities business activities online Information systems, including online securities servers, clients and portals.

Online commission onlineservice A securities company provides an investor who opens an account with the institution through an online securities trading system based on the Internet or a mobile communication network.

A service method for issuing securities trading orders and obtaining the result of a transaction, including client-side commissioning of the software to be downloaded and no need to download software, straight the client of the website of the securities company is commissioned.

Note: Internet terminals commissioned online include electronic computers, mobile phones and other equipment.