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1.59

1. <http://lsc.isc.com.cn>
2. <https://www.investor.org.cn>
3. <http://gdism.gdcm.org.cn>

1. 400-666-0717
2. 020-37853815
- 3.

1. tjzx@gdcm.org.cn
 2. 3
- 21 B3



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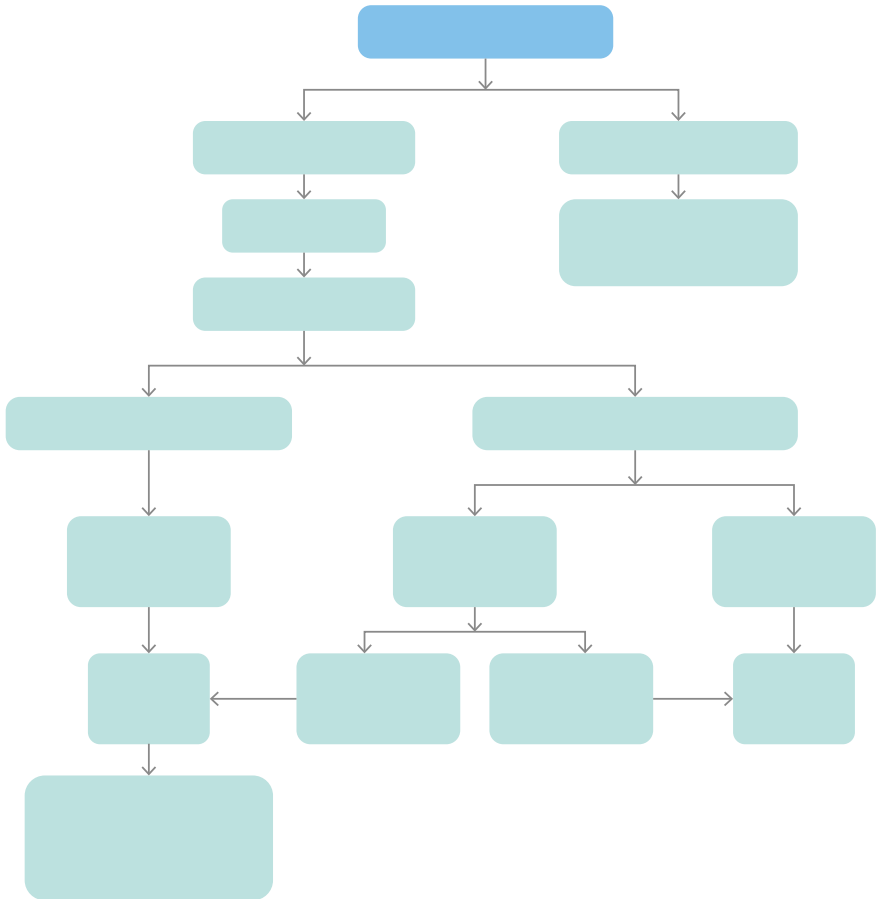
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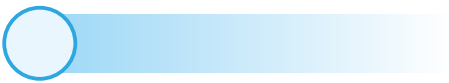
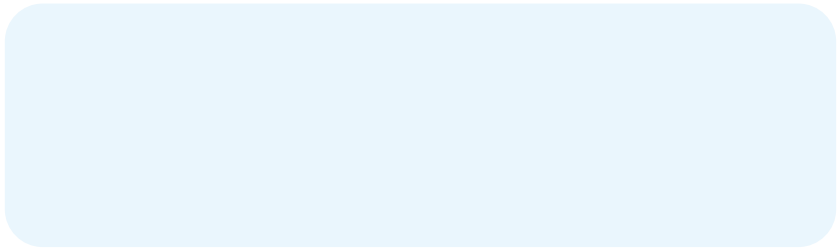
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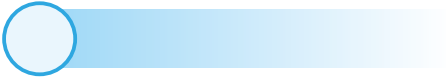
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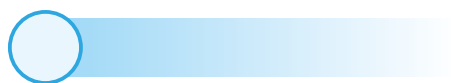
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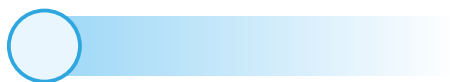
1



一是关注合同条款与规则变动。

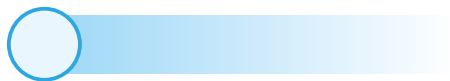
二是合理控制持仓集中度。

三是理解证券公司的风险管理权限。



160%

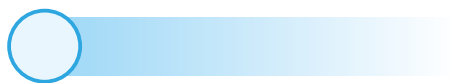
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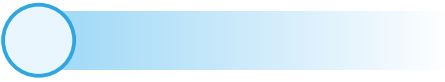
160%



一是深入了解规则。

二是主动获取信息。

三是重视合同细节。



B

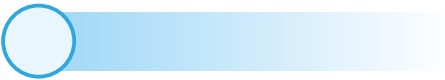
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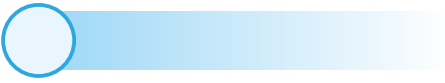
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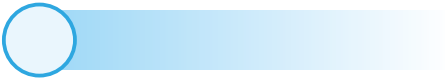
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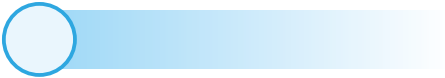
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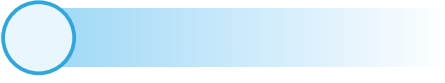
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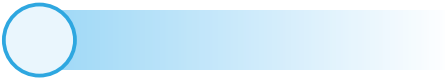
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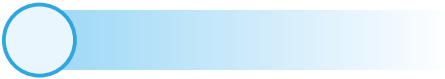
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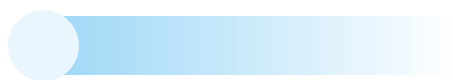
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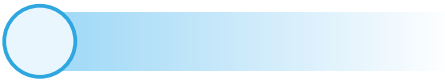
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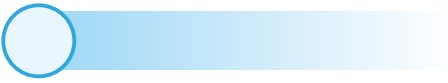
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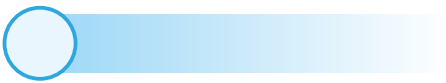
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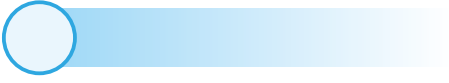
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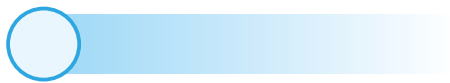
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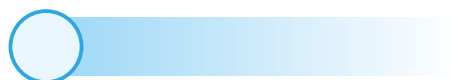
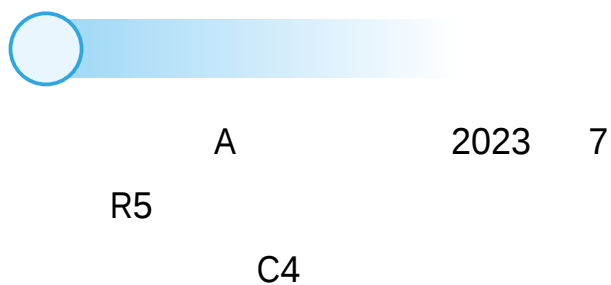
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一是主动向投资者 A 推介风险等级高于其风险

承受能力的产品。

A

C4

R5

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二是存在不当协助投资者 A 进行风险测评的情形。

A

C4

R5

A

A

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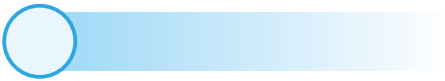
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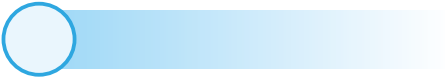
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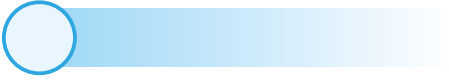
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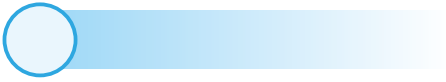
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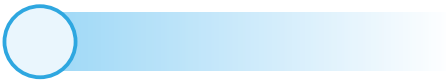
B

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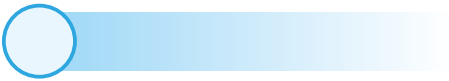
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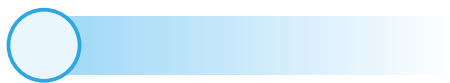
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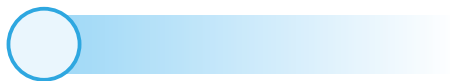




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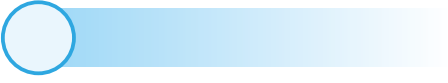
$-5250-330=-5580$

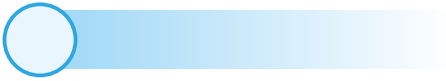
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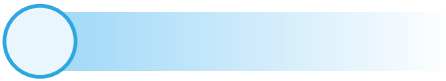
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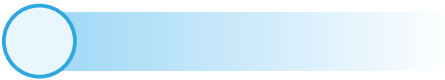
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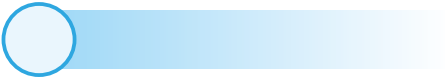
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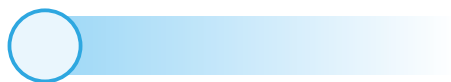


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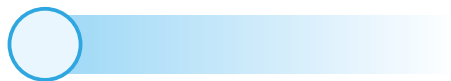
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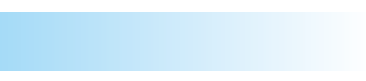
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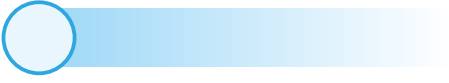
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600



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A

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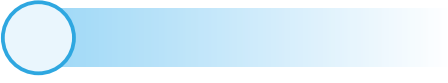
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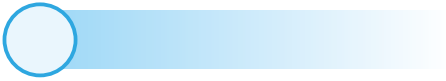
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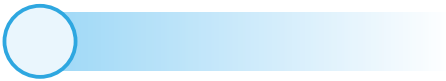


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5 22 A
7 20 2600
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78



A
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10 ”
2600 780 2600

20%

780

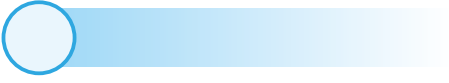
78

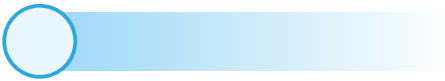
$780 * 20\% * 50\% = 78$

2600

260

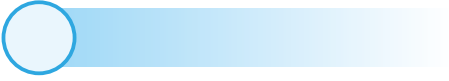
$2600 * 20\% * 50\% = 260$



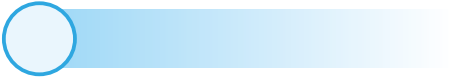


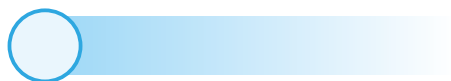
1.22

2022 7 5 9:20
A 17

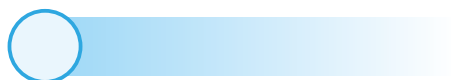


2022 7 5 9:20
1.22 A 9:25
9:40
1.17 9:40 1.22





2022	11	1	9:17
	A		9:23



3.3.1

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	9:15	9:25	9:30	11:30	13:00
15:00		9:20	9:25	14:57	15:00

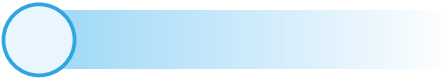
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9:23

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200 A 2020 2 17
4.088 4.06



4.06 “
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5 5

4.088



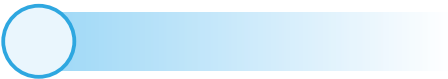
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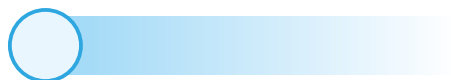
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T+1		2024	7	11	
					2024 7
15			7	12	
T+1	7	12			

T+1



T+1

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T+1

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9:15

15:00

15:00

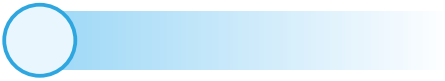
7 11

15:40

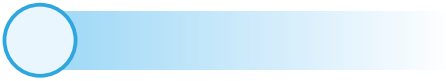
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7 15

T+1



15:00



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APP

2025

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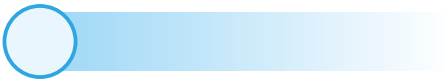
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C

2025

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168

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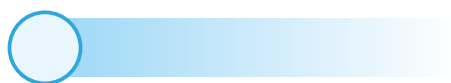
C

B



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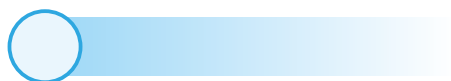
2022 9 30

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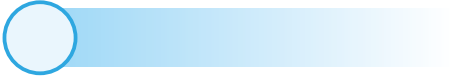
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APP

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B



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T

T+1

15:00

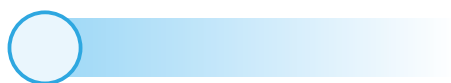
T+1

T+1

T+2

15:00



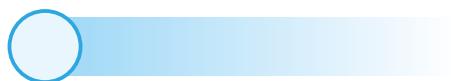


2021 10 11

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2022 10 11

9 ”



2021 10 11

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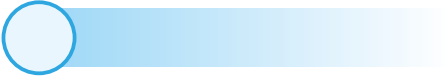
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31 2022 9 6
 2022 9 16

2022 10 11



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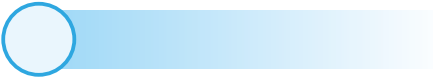
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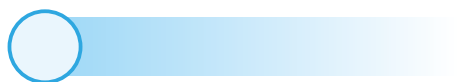
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24



	2022	11	
QDII	2023	3	16
QDII			



QDII 3 16
QDII

QDII T+2

3 16

3 14

3 18

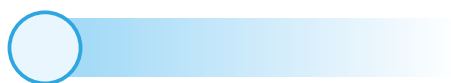
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QDII

QDII

QDII

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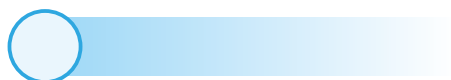
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A 7 22

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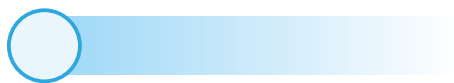
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A 7 22

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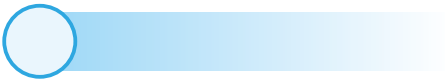
2025 6

30

2025 6 30



26



2024 9

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A B

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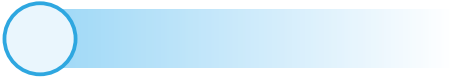
A

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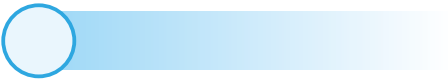
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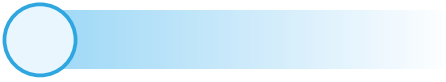
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A	B	10	9
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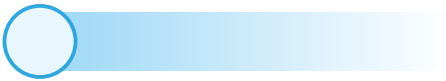




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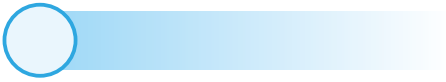
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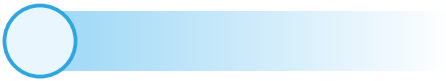
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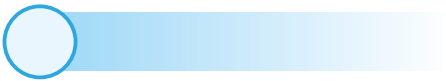
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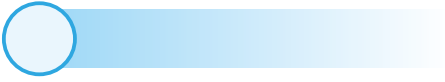


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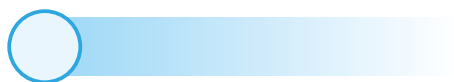
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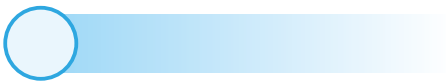
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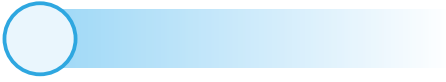
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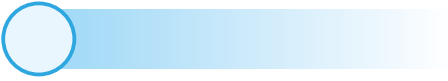
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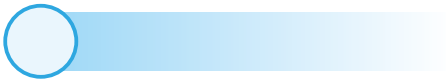
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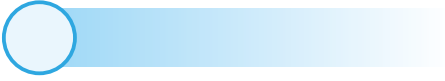
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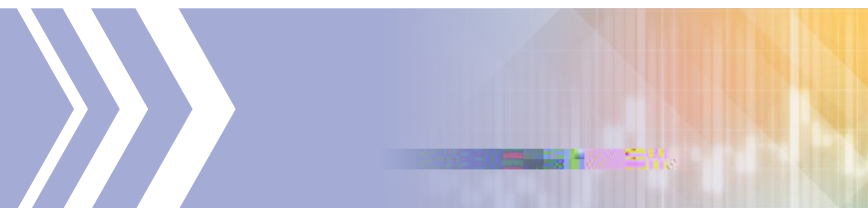
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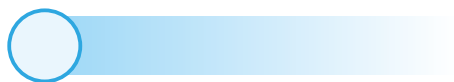
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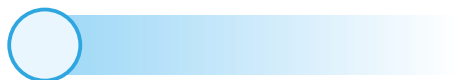


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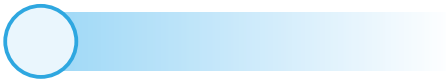
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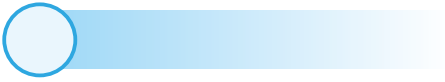


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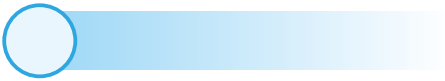
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