

汉英词汇（简体）

(汉语拼音排序)

2025 年 6 月

目 录

| | |
|-------------------------|-----|
| A | 1 |
| B | 3 |
| C | 9 |
| D | 17 |
| E | 26 |
| F | 27 |
| G | 34 |
| H | 47 |
| J | 58 |
| K | 72 |
| L | 77 |
| M | 83 |
| N | 87 |
| O | 89 |
| P | 90 |
| Q | 93 |
| R | 99 |
| S | 102 |
| T | 113 |
| W | 118 |
| X | 122 |
| Y | 133 |
| Z | 141 |
| 其他 | 163 |
| LME (金属及商品市场词汇) | 167 |

A

| | |
|------------------------|---|
| 安置费 ; 融通收费 | Accommodation charge |
| 暗池交易* ; 黑池交易 | dark pool |
| 暗盘价 | grey market price |
| 按价格排序的传送专线 | market-by-price feed |
| 按揭贷款发放者 | mortgage loan originator |
| 按揭证券 | mortgage-backed securities |
| 按金 | margin ; deposit |
| 按金比例 | margin ratio |
| 按金贷记 | margin credit |
| 按金对销 | margin offset |
| 按金豁免额 | margin credit |
| 按金间距 | margin interval |
| 按金减免 | margin relief |
| 按金交易 | margin trading |
| 按金损耗 | margin erosion |
| 按买卖盘排序的传送专线 | market-by-order feed |
| 按盘价 | nominal price |
| 按市价计值/按市值计价 | mark to market / mark-to-market |
| 按使用天数收费服务计划 | Daily Charge Service |
| 澳洲证券及投资监察委员会 (澳洲证监会) | Australian Securities and Investments Commission (ASIC) |
| 澳洲证券交易所 | Australian Stock Exchange (ASX) |

* Terms commonly used in the Mainland

内地用语

B

| | |
|-------------------------------|--|
| 巴塞尔协定 | Basel Concordat |
| 巴塞尔协议 | Basel Agreement |
| 巴西证券期货交易所 | BM&FBovespa |
| 版本二《跨政府协议》下有报告义务的金融 机构【美国】 | Reporting Financial Institution under a Model 2 Intergovernmental Agreement【US】 |
| 包销承担净值 | net underwriting commitment |
| 包销商 | underwriter |
| 包销银团 | underwriting syndicate |
| 保本产品 | capital preservation product |
| 保本信托基金 | guaranteed unit trust |
| 保本证 | Capital Protected Instrument (CPI) |
| 保管人 | custodian |
| 「保护偿付」规则【期权】 | Payout-Protection Rule【options】 |
| 保荐经纪 | sponsoring broker |
| 保荐人 | sponsor |
| 《保荐人标准守则》 | Model Code for Sponsors |
| 《保荐人及独立财务顾问的操守准则》 | Code of Conduct for Sponsors and Independent Financial Advisers |
| 保荐人兼整体协调人 | sponsor-overall coordinator |
| 《保荐人声明》 | Sponsor's Declaration |
| 保留意见 | qualified opinion |
| 保留盈利；留存盈利 | retained earnings |
| 保险业监理处 | Office of the Commissioner of Insurance |
| 保险业监理专员 | Commissioner of Insurance |
| 保障安排 | security arrangement |

| | |
|---------------------|---|
| 保证金基金【香港结算】 | Guarantee Fund 【HKSCC】 |
| 保证金 | margin; Margin Funds; deposit |
| 保证金保险范围比率 | margin coverage ratio |
| 保证金贷款 | margin loan |
| 保证金价值 | margin value |
| 保证金借贷活动 | margin financing |
| 保证金客户 | margin client |
| 保证金模拟计算器 | OASIS Margin Simulator |
| 保证金融资 | margin financing |
| 保证人 | guarantor |
| 保值公债【内地】 | Public Debt (Inflation-Linked Subsidy) Treasury 【Mainland】 |
| 报表检索平台注册和维护表格 | Report Access Platform Registration and Maintenance Form |
| 报价 | quote |
| 报价撮合* | order matching |
| 报价规则 | quotation rules |
| 报价券商* | quotation broker |
| 报价委托* | quotation order |
| 报价系统【期货及期权】 | Price Reporting System (PRS) 【futures & options】 |
| 报价要求；询价交易 | quote request; request for quote (RFQ) |
| 北京产权交易所 | China Beijing Equity Exchange |
| 北京国际矿业权交易所有限公司（北矿所） | China Beijing International Mining Exchange (CBMX) |
| 北京金融资产交易所 | Beijing Financial Assets Exchange |
| 北京绿色交易所 | China Beijing Green Exchange (CBGEX) |
| 北京证券交易所（北交所） | Beijing Stock Exchange (BSE) |

| | |
|-------------|--|
| 北向交易 | Northbound trading |
| 备抵【会计】 | allowance【accounting】 |
| 备兑期权 | covered option |
| 备兑权证 | covered warrant |
| 备兑认购期权 | covered call |
| 备考报表 | pro forma statement |
| 备考全面摊薄市盈率 | pro forma fully diluted price/earnings ratio |
| 备用数据中心 | secondary data centre |
| 被动受托人 | bare trustee |
| 被动型基金 | passive fund |
| 被实施风险警示【内地】 | under “risk alert”【Mainland】 |
| 被视为截止过户日期 | deemed book close date |
| 被转移的交易 | given-up trade |
| 本地生产总值 | gross domestic product (GDP) |
| 本益比*；市盈率 | price/earnings ratio (P/E) |
| 比例综合法 | proportionate consolidation method |
| 闭端式基金 | closed-end fund |
| 闭环系统；全程封闭 | closed loop |
| 避税 | tax avoidance |
| 边远值 | outliers |
| 贬值 | depreciation |
| 变换交易【期权】 | conversion【options】 |
| 便利收益率 | convenience yield |
| 变价调整 | variation adjustment |
| 变现 | realization |
| 标的证券*；指定证券 | designated securities |

| | |
|--------------------|---|
| 标价 | posted price |
| 标准按金制度 | standard margin system |
| 标准差 | standard deviation |
| 标准登记服务 | standard registration service |
| 标准合约 | standard contract |
| 标准会计准则 | standard accounting practice |
| 标准普尔 500 综合指数预托证券 | Standard & Poor's Depository Receipt (SPDR) |
| 标准普尔评级 | Standard & Poor's Rating |
| 标准普尔/香港交易所 GEM 指数 | S&P/HKEX GEM |
| 标准普尔/香港交易所大型股指数 | S&P/HKEX LargeCap |
| 标准授权书 | Model Authorisation Letter |
| 标准证券数据【数据传送专线】 | Securities Standard【datafeed】 |
| 标准组合风险分析 | Standard Portfolio Analysis of Risk (SPAN) |
| 标准组合交易功能 | standard combination trading function |
| 标准组合买卖盘挂盘纪录 | Standard Combination Order Book |
| 并购活动 | mergers and acquisitions |
| 并行买卖 | parallel trading |
| 拨备 | provision |
| 波幅；波动性* | volatility |
| 波幅校验范围 | Volatility Scan Range (VSR) |
| 波幅指数 | volatility index |
| 波罗的海干散货指数；波罗的海综合指数 | Baltic Dry Index (BDI) |
| 渤海商品交易所(渤海所) | Bohai Commodity Exchange (BOCE) |
| 播送量【市场数据】 | throughput【market data】 |
| 驳脚经纪 | runner |

| | |
|----------------------|---|
| 「柏力克 - 舒尔斯」期权定价模式 | Black-Scholes option pricing model |
| 补仓按金【期货】 | maintenance margin 【futures】 |
| 补仓通知 | margin call |
| 补充/增补上市文件 | supplemental/supplementary listing document |
| 补发证书服务 | certificate replacement service |
| 补购 | buy in |
| 补购交易 | buy-in transaction |
| 补购通知书 | Buy-in Notification Report |
| 不当行为 | misconduct |
| 不抵押保证；不抵押担保 | negative pledge |
| 不定额供款 | variable contribution |
| 不动户口费 | dormant account fee |
| 不动盘 | inactive order |
| 不公平竞争 | uneven playing field 【cf level playing field】 |
| 「不公平损害」补救 | "unfair prejudice" remedy |
| 不活跃公司 | dormant company |
| 不记名式国库券【内地】 | Bearer Treasury 【Mainland】 |
| 不记名证券 | bearer securities |
| 不交收利率掉期 | non-deliverable IRS (NDIRS) |
| 不交收远期外汇合约；不交割远期外汇合约* | non-deliverable forward contract (NDF) |
| 不可抗力 | force majeure |
| 不可取消时段 | No-Cancellation Period |
| 不能配对买卖盘 | order imbalance |
| 不良债务 | distressed debt |
| 不停电电源装置；不间断电源装置 | uninterrupted power supply (UPS) |
| 不同投票权架构 | weighted voting rights structure |

| | |
|----------------------|--------------------------|
| 不限量发行 | tap issue |
| 不遵守就解释 | comply or explain |
| 部分区域网络 | Local Area Network (LAN) |
| 部分完成的买卖指示 | partially filled order |
| 簿记建档* ; 累计投标制 ; 询价制* | book building |

* *Terms commonly used in the Mainland*

内地用语

C

| | |
|-----------|---|
| 财务报表审阅计划 | Financial Statements Review Programme |
| 财务风险 | financial risk; financial exposure |
| 财务顾问 | financial adviser |
| 财务汇报；财务申报 | financial reporting |
| 财务汇报检讨委员会 | Financial Reporting Review Committee (FRRC) |
| 财务汇报检讨委员团 | Financial Reporting Review Panel (FRRP) |
| 财务通融 | financial accommodation |
| 财务行动特别组织 | Financial Action Task Force (FATF) |
| 财务业绩 | financial results |
| 财务摘要报告 | summary financial report |
| 财务租赁 | financial lease |
| 财政股东 | financial shareholder |
| 财政健全 | financial integrity |
| 财政年度 | financial year |
| 财政资源规则 | financial resources rules |
| 财资企业集团 | financial conglomerate |
| 财资市场公会 | Treasury Markets Association (TMA) |
| 参考草拟本 | indicative draft |
| 参考发行价 | indicated issue price |
| 参考价定价时段 | Reference Price fixing period |
| 参考平衡成交量 | Indicative Equilibrium Volume (IEV) |
| 参考平衡价格 | Indicative Equilibrium Price (IEP) |

| | |
|------------------------|---|
| 参与人远程操作平台 | Participant Remote Operating Platform (PROP) |
| 参与者财务资源监察系统 | Participant Financial Resources Surveillance System |
| 参与者持股纪录报表 | Participant Shareholding Report |
| 参与者电子通讯系统 | Participant Email System |
| 参与者风险排序方法 | counterparty risk ranking methodology |
| 《参与者适用的中央结算系统终端机使用者指引》 | CCASS Terminal User Guide for Participants |
| 参与者网间连接器 | Participant Gateway (PG) |
| 参与者准入上诉委员会 | Participant Admission Appeals Committee |
| 参与者资料提取系统【期货】 | Participant Access Services 【futures】 |
| 参与者资讯系统 | Participants Information System (PIS) |
| 参与者自设系统 | Participant Supplied System (PSS) |
| 参与证券商 | Participating Dealer |
| 残值 | salvage value |
| 仓 | position |
| 仓位持有人 | position holder |
| 《操守准则》 | Code of Conduct |
| 操纵价格 | price manipulation |
| 策略投资者 | strategic investor; tactical investor |
| 差额缴款 | marks / marks payment |
| 差价 | spread |
| 差价合约 | contract for differences (CFD) |
| 「查询报失股票资料」功能【中央结算系统】 | Enquire Reported Lost Certificate 【CCASS】 |
| 查询公布资料【中央结算系统】 | Enquire Announcement Information 【CCASS】 |

| | |
|------------------------------|---|
| 查询交收指示未获配对原因【中央结算系统】 | Enquire Unmatched SI Reason 【CCASS】 |
| 拆卖资产 | asset stripping |
| 产品资料概要 | Product Key Fact Statement |
| 产品咨询委员会【证监会】 | Products Advisory Committee 【SFC】 |
| 产权负担 | encumbrances |
| 长仓 | long position; bull position |
| 长期指数期权 / 远期指数期权 | long-dated index options |
| 长时间停牌公司 | long suspended company |
| 常务委员会 | Executive Committee |
| 偿债基金 | sinking fund |
| 偿债能力风险 | insolvency risk |
| 场内规则 | on-market rules |
| 场内交易 | pit trading |
| 场内交易产品；交易所买卖产品 | exchange traded product (ETP) |
| 场内买卖盘 | on-floor order |
| 场内买卖期权 | exchange traded option |
| 场内终端机 | on-floor terminal |
| 场外购回股份 | off-market share repurchase |
| 场外规则 | off-market rules |
| 场外交易 | off-floor trading; over-the-counter trading; off-board trading |
| 场外交易报价市场；粉单市场；「粉红价单」 【美国】 | Pink Sheets 【US】 |
| 场外交易议价板【美国】 | OTC Bulletin Board 【US】 |
| 场外交易结算及交收系统 | OTC Clearing and Settlement System (OCASS) |
| 场外结算追溯汇报 | OTC backloading |

| | |
|------------|--|
| 场外平均交易 | over-the-counter averaging business |
| 场外期权 | over-the-counter option |
| 场外市场；柜台市场 | over-the-counter (OTC) market |
| 场外衍生工具 | over-the-counter derivative |
| 场外现汇 | OTC FX spot |
| 场外终端机 | off-floor terminal |
| 唱高散货 | ramp-and-dump |
| 超短期融资券【内地】 | super & short-term commercial paper (SCP)【Mainland】 |
| 超额配发/配股权 | over-allotment option |
| 超额配发机制 | over-allotment option scheme |
| 超额配售选择权* | over-allotment option |
| 超额认购 | oversubscribed; overbooked |
| 超额任职独董 | Overboarding INED |
| 超国家机构 | supranational entity |
| 超级连系人 | super-connector |
| 超买 | overbought |
| 超卖 | oversold |
| 超前交易 | front running |
| 超越价值链减缓措施 | beyond value chain mitigation measures |
| 炒高价格 | ramping; price ramping |
| 承办银行 | administering bank |
| 承兑 | acceptance |
| 承兑票据 | promissory notes |
| 承价者 | price taker |
| 承诺通融额 | committed facilities |

| | |
|----------------|--|
| 承配人 | placee |
| 承前【会计】 | brought forward 【accounting】 |
| 承让人 | assignee; transferee |
| 承销商* | underwriter |
| 成本效益 | cost effectiveness |
| 成份股；样本股* | constituents |
| 成交单/成交单据/买卖单据 | contract note |
| 成交量加权平均价 | volume weighted average price (VWAP) |
| 成交量加权平均市值测试 | volume weighted average market capitalisation test |
| 成交额比率 | turnover ratio |
| 成交及取消【限价盘】 | Fill and Kill 【limit orders】 |
| 成交纪录 | trading record |
| 成交确认委托* | transaction confirmation order |
| 成交调整 | trade amendment |
| 成员大会；股东大会 | general meeting |
| 成员登记册 | register of members |
| 程式买卖/交易；程式演算交易 | algorithmic trading; algo trade; programme trading; black box trading |
| 程序覆检委员会【证监会】 | Process Review Panel 【SFC】 |
| 诚信责任 | fiduciary duties |
| 迟报交易 | late reported sales |
| 持仓 | position |
| 持仓比例 | position ratio |
| 持仓对冲值 | position delta |
| 持仓风险调整 | position risk adjustment |
| 持仓净额 | net position |

| | |
|-----------------------------------|---|
| 持仓类别【期权】 | tier【options】 |
| 持仓上限 / 限额 | position limit |
| 持仓限额比率 | position limit ratio |
| 持份者 ; 权益人 ; 利益相关者 ; 干系人* ; 利益攸关者* | stakeholder |
| 持股编号 | shareholder Reference Number (SRN) |
| 持股人的分布情况 | spread of holders |
| 持牌法团 | licensed corporation |
| 持牌人及注册机构的公众纪录册 | Public Register of Licensed Persons and Registered Institutions |
| 持权成本【期权】 | cost of carry |
| 持续报价 | Continuous Quotes |
| 持续报价庄家 | continuous quote market maker |
| 持续发售机制 | tap facility |
| 持续交易时段 | continuous trading session |
| 持续关联交易 | continuing connected transaction |
| 持续经营【会计】 | going concern【accounting】 |
| 持续经营之业务 | continuing operation |
| 持续净额交收 | continuous net settlement (CNS) |
| 持续披露及资料传递政策 | Continuous Disclosure and Communication Policy |
| 持续责任 | continuing obligation; on-going obligation |
| 持续专业培训课程 | Continuous Professional Training (CPT) |
| 持有成本 | cost of carry |
| 重复认购 | multiple applications |
| 重复申请 | double-dipping |
| 重估 | revaluation |

| | |
|-------------|--------------------------------|
| 重新实物化 | rematerialisation |
| 重置成本 | replacement cost |
| 重组 | reorganisation |
| 筹备董事会 | Preparatory Board |
| 初始保证金 | initial margin |
| 出市代表/出市员 | floor trader; authorised clerk |
| 除净日 | ex-date |
| 除净日未经调整之收市价 | ex unadjusted close |
| 除牌 | delisting |
| 除权 | ex-rights |
| 除权日* | ex-date |
| 除权交易 | ex-entitlement trading |
| 除息基准 | ex-dividend basis |
| 储备 | reserve |
| 储备基金 | reserve fund |
| 储备基金；失责基金 | default fund |
| 储存区域网络 | storage area network (SAN) |
| 储架发行* | shelf offering |
| 储架式注册* | shelf registration facility |
| 处理时延 | order processing latency |
| 穿价交易 | trade through |
| 传统基金会【美国】 | The Heritage Foundation 【US】 |
| 传统债券 | plain vanilla bond |
| 串换* | swap |
| 串流数据 | streaming data |
| 创投基金/创业基金 | venture capital |

| | |
|---------------|--|
| 创效投资债券 | impact investment bond |
| 创新产业公司 | innovative company |
| 创新实验室 | Innovation Lab |
| 创业板【深交所】 | ChiNext【SZSE】 |
| 窗口定价权证 | Window Barrier Warrant |
| 纯交易板 | trading-only board |
| 次级投票权股份 | subordinate voting share |
| 次级债券*；次顺位债券* | subordinated bond |
| 慈善伙伴计划 | Charity Partnership Programme |
| 次要控制人 | minority controller |
| 从价印花税 | ad valorem stamp duty |
| 促进股票市场流动性专责小组 | Task Force on Enhancing Stock Market Liquidity |
| 存管处及共用代理人系统 | Depository and Common Nominee System (DNS) |
| 存管代理人 | depository nominee |
| 存货 | inventory |
| 存款公司公会 | The DTC Association (DTCA) |
| 存款准备金率 | reserve requirement ratio (RRR) |
| 存留利息 | retention interest |
| 存托凭证* | depositary receipt |
| 错价交易 | error trade |
| 错误包容 | fault tolerance |
| 错误陈述 | misstatement |
| 错误交易 | erroneous trade |
| 错误交易合约 | mistraded contract |
| 错向风险 | wrong way risk |

D

| | |
|---------------|---|
| 打和点 | breakeven point |
| 大额持仓汇报协议 | Large Exposure Report Agreement |
| 大额股票【中央结算系统】 | jumbo certificate【CCASS】 |
| 大額交易* | block trade |
| 大额买卖盘 | block order |
| 大额未平仓合约 | large open position |
| 大额未平仓合约报告 | Large Open Position Report |
| 大股东 | substantial shareholder; major shareholder |
| 大利市 | Teletext |
| 大连商品交易所(大商所) | Dalian Commodity Exchange (DCE) |
| 大量报价设施 | Mass Quotation Facility |
| 大量户口转移指示 | Mass Account Transfer Instruction (Mass ATI) |
| 大量开盘 | mass quote |
| 大批登记服务 | bulk registration service |
| 大批交收程序 | bulk settlement run |
| 大手交易 | block trade |
| 大手交易机制；大手交易设施 | Block Trade Facility; Block Trading Facility (BTF) |
| 大手交易特别按金 | Special Block Trade Margin |
| 大型股 | large cap stock |
| 大宗交易* | block trade |
| 代办股份转让系统【内地】 | Agency Share Transfer System; Share Transfer Agent System【Mainland】 |

| | |
|-------------------|--|
| 代表委任表格 | proxy form |
| 代处理服务；代表处理服务 | on-behalf-of processing |
| 代价 | consideration |
| 代价发行 | consideration issue |
| 代价股份 | consideration share |
| 代客买卖 | agency trade |
| 代客买卖户口 | agency account |
| 代理户口 | agency account |
| 代理人 | agent; nominee |
| 代履行权责服务费 | corporate actions service fee |
| 代理人户口 | nominee account |
| 代名人 | nominee |
| 代收股息/债券利息服务费 | dividend and debt securities interest collection service fee |
| 代托管人 | sub-custodian |
| 代息股份 | scrip entitlement |
| 贷出费 | lending fee |
| 贷股人 | stock lender |
| 贷股人参与者【中央结算系统参与者】 | Stock Lender Participant 【CCASS】 |
| 贷款抵押证券 | collateralised loan obligation (CLO) |
| 贷款股/贷款债券 | loan stock |
| 贷款融通 | loan facility |
| 贷款银团 | loan syndicate |
| 待收取的经纪参与者【中央结算系统】 | Long Broker Participant 【CCASS】 |
| 待支付的经纪参与者【中央结算系统】 | Short Broker Participant 【CCASS】 |
| 待转名股份 | “street name” share certificate |

| | |
|---------------------------|---|
| 戴维森报告书（即1988年证券业检讨委员会报告书） | Ian Hay Davison Report (<i>ie</i> Report of the Securities Review Committee in 1988) |
| 担保计划【联交所】 | Guarantee Scheme 【SEHK】 |
| 担保交易 | guarantee transaction |
| 担保权益 | security interest |
| 担保人 | guarantor |
| 担保物* | collateral; security |
| 单币单股 | Single Tranche, Single Counter (STSC) |
| 单播数据传送专线 | unicast datafeed |
| 单股多柜台安排 | single tranche multiple counter (STMC) arrangement |
| 单价配对【期权】 | netting 【options】 |
| 单类别股份架构 | single class share structure |
| 单日货币市场 | intra-day money market |
| 单位信托基金 | unit trust |
| 单一董事会制 | unitary board system |
| 单一价格竞价市场 | single price auction system |
| 单一类股份结构性产品的正股 | Single Scheduled Stock |
| 单一牌照制度 | Single Licence Regime |
| 单一种股份的衍生认股权证 | single share derivative warrant |
| 淡仓 | short position |
| 淡仓申报服务【证监会】 | Short Position Reporting Service 【SFC】 |
| 当日有效盘；即日买卖盘；即日盘 | day order |
| 当日有效盘【限价盘】 | Rest of Day 【limit orders】 |
| 档案传送协定 | file transfer protocol |
| 档案转换 | file transfer |

| | |
|-----------------|---|
| 《到境外上市公司章程必备条款》 | Mandatory Provisions for Companies Listing Overseas |
| 道琼斯工业平均指数 | Dow Jones Industrial Average |
| 道琼斯工业平均指数期权 | Dow Jones Industrial Average Options |
| 道琼斯可持续发展指数 | Dow Jones Sustainability Index |
| 到期界内证 | end-inline warrant |
| 到期/到期日 | maturity; expiry date |
| 到期前有效买卖盘 | good-till-date order (GTD) |
| 到期收益率 | yield to maturity |
| 到期月份 | expiry month |
| 德国期货及期权交易所 | Deutsche Terminbörse (DTB) |
| 德意志交易所集团 | Deutsche Börse Group |
| 登记持有人 | registered owner |
| 登记股东 | registered shareholder |
| 登记过户费 | scrip fee |
| 等价期权 | at-the-money option |
| 等值合约张数 | contract-equivalent number |
| 低收费经纪 | discount broker |
| 低于面值 | below par |
| 低于最佳卖盘价/低于最好沽盘价 | downtick; minus tick |
| 抵销 | set off |
| 抵押 | charge; pledge |
| 抵押安排 | security arrangement |
| 抵押补充贷款 | pledged supplementary lending (PSL) |
| 抵押股份统制户口 | Stock Collateral Control Account |
| 抵押品 | collateral; security |
| 抵押品资格 | collateral eligibility |

| | |
|-----------------|--|
| 抵押权益 | security interest |
| 抵押债券 | mortgage bond |
| 抵押债项 | secured debts |
| 地方政府融资平台 | local government financing vehicle (LGFV) |
| 第二板 / 第二板市场 | second board; second market |
| 第二上市 | secondary listing |
| 第三方网站基本报价服务 | Third Party Website Basic Market Prices Service |
| 第三者结算 | Third Party Clearing (TPC) |
| 《第三者网站服务指引》 | Guideline on Third Party Website Service |
| 第一板 | main board |
| 第一上市 | primary listing |
| 递耗资产 | decaying asset |
| 递延股 | deferred share |
| 递延税项 | deferred tax |
| 点击成交机制 | click-to-trade mechanism |
| 点心债 | dim-sum bond |
| 点子 | basis point |
| 垫款 | advance; monies advanced |
| 电源使用效率 | Power Usage Efficiency (PUE) |
| 电子呈交系统 | Electronic Submission System (ESS) |
| 电子传递证券资讯服务 | Electronic Mailing Stock Information Service (EMSIS) |
| 电子登载系统 | Electronic Publication System (EPS) |
| 《电子公开发售指引》【证监会】 | Guidelines for Electronic Public Offerings 【SFC】 |
| 电子化财政资源规则报表系统 | e-FRRR system |

| | |
|----------------------|--|
| 电子交易 | electronic trading |
| 电子款项交收费 | electronic money settlement fee |
| 电子款项交收服务 | Electronic Money Settlement Services |
| 电子认购首次公开招股服务 | Electronic Initial Public Offering service (EIPO) |
| 电子认购新股指示 | Electronic Application Instruction for New Issue Shares |
| 电子收付款指示 | Electronic Payment Instruction (EPI) |
| 「电子数据收集、分析及检索」系统【美国】 | Electronic Data Gathering, Analysis and Retrieval (EDGAR) 【US】 |
| 电子通讯平台 (e 通讯) | Electronic Communications Platform (ECP) |
| 电子通讯网络 | electronic communications network (ECN) |
| 电子证券申报及批核系统 | e-Securities Declaration and Approval System |
| 电子直达市场安排；非参与者直接落盘 | direct market access |
| 掉期 | swap |
| 调期息率；利率掉期/利率调期* | interest rate swap (IRS) |
| 吊销资格令 | disqualification order |
| 蝶式买卖 | butterfly spread |
| 订单路由 | order routing |
| 订单路由安排 | order-routing connectivity |
| 订明证券 | prescribed securities |
| 定点权证 | digital warrant |
| 定点市场 | call market |
| 定格；「定镜」处理 | snapshot |
| 定价模式 | pricing model |
| 定界期权 | barrier option |
| 定界认股证/定界权证 | barrier warrant |

| | |
|------------------|---|
| 定期债券 | term bond |
| 定息按揭 | fixed-rate mortgage |
| 定息及货币产品 | fixed income and currency (FIC) |
| 定息及货币咨询小组 | FIC Advisory Panel |
| 定息优先票据 | fixed rate senior note |
| 定息组合股；定息交易所买卖基金 | Fixed Income ETF |
| 定向增发*；私人配售 | private placement / private placing |
| 东南亚国家联盟（东盟） | Association of Southeast Asian Nations (ASEAN) |
| 东亚及大洋洲证券交易所联会 | East Asian and Oceanian Stock Exchanges Federation (EAOSEF) |
| 董事酬金 | directors' remuneration |
| 《董事的声明及承诺》 | Declaration and Undertaking with regard to Directors |
| 董事会 | board of directors |
| 董事会多元化数据库 | Board Diversity Repository |
| 董事会报告 | directors' report |
| 董事会多元汇 | Board Diversity Hub |
| 董事袍金 | directors' fee |
| 冻结 | locked up |
| 冻结股份机制 | securities-on-hold mechanism |
| 动态对冲 | dynamic hedging |
| 动态价格检查 | dynamic price checking |
| 动态价格限制 / 动态价格带机制 | Dynamic Price Banding |
| 兜售证券 | hawking of securities |
| 独立财务顾问 | independent financial adviser |
| 独立非执行董事 | independent non-executive director (INED) |
| 独立顾问 | independent adviser |

| | |
|-----------|-----------------------------|
| 独立客户交易 | segregated client trades |
| 独立上市 | separate listing |
| 独立信托户口 | segregated trust account |
| 独资经营者 | sole proprietor |
| 渎职行为 | misconduct |
| 短仓 | short position |
| 短期同业拆放市场 | call market |
| 短期证券 | short-dated securities |
| 短期资金借贷市场 | money market |
| 短讯提示服务 | Alert Message Service |
| 短暂停牌；中途停牌 | trading halt |
| 断路器* | circuit breaker |
| 「对仓盘」交易 | “matched” trade |
| 对冲 | hedging |
| 对冲比率 | hedging ratio |
| 对冲豁免机制 | hedging exemption regime |
| 对冲基金 | hedge fund |
| 对冲基金的基金 | fund of hedge funds |
| 对冲值【期权】 | delta【options】 |
| 对冲值敏感度 | gamma |
| 对角买卖 | diagonal spread |
| 对口联络机制 | dedicated liaison mechanism |
| 对盘 | order matching |
| 对盘前时段 | pre-order matching period |
| 对盘时段 | order matching period |
| 对盘系统 | matching engine |

| | |
|-----------------------------|-------------------------------------|
| 对敲 | bucketing |
| 对手方 | counterparty |
| 对手风险 | counterparty risk |
| 对手经纪 | contra broker |
| 对手失责假设 | counterparty default assumption |
| 对外持仓转移 | external position transfer |
| 对销；净额结算 | netting |
| 对账 | reconciliation |
| 兑付* | redemption |
| 多边交易设施 | multilateral trading facility (MTF) |
| 多边开发银行 | Multilateral Development Banks |
| 多伦多创业板 | TSX Venture |
| 多重投票权股份 | multiple voting share |
| 多方安全计算技术 | multi-party computation technology |
| 多方数据分析 | collaborative data analysis |
| 多工作站 | multiple-workstations |
| 多工作站系统 | Multi-workstation System (MWS) |
| 多价位表模式 | multiple spread table model |
| 多批交收处理程序【中央结算系统】 | batch settlement run 【CCASS】 |
| 多头仓位* | long position; bull position |
| 多元网络 | Diversity Network |
| 多种币值股票转换指示；多柜台合资格证券 转换指示 | multi-counter transfer instruction |
| 多种货币买卖 | multi-currency trading |

* Terms commonly used in the Mainland

内地用语

E

| | |
|---------------|--|
| 额外按金 | additional margin |
| 额外节流率 | additional throttle |
| 饵盘 | bait order |
| 二板市场* | second board |
| 二级市场 | secondary market; after market / aftermarket |
| 24个价位规则 | 24-spread rule |
| 「二态」期权模式 | “two-state” option valuation model |
| 二线股 | second liner; second line stock |
| 「二项式」期权定价模式 | binomial option pricing model |
| 恶劣天气交易日 | Severe Weather Trading Day (SWT Day) |
| 恶劣天气下维持交易专责小组 | Severe Weather Trading Task Force |
| 恶意抢占额度 | quota hogging |

* Terms commonly used in the Mainland

内地用语

F

| | |
|---------------------|--|
| 发钞局制度 | currency board system |
| 发牌资料册【证监会】 | Licensing Information Booklet【SFC】 |
| 发盘价 | offer price |
| 发起人 | promoter |
| 发起人奖励 | promote【SPAC】 |
| 发行红股 | scrip issue |
| 发行机构 | issuer |
| 发行价 | issue price |
| 发行人 | issuer |
| 发行人保荐户口 | Issuer Sponsored Account |
| 发行人登记册 | Issuer Register |
| 发行人电子存盘系统 | issuer electronic filing system |
| 发行人公告专线 | Issuer Information Feed |
| 发行人平台 | Issuer Platform |
| 发行人资料传送专线 | Issuer Information Feed |
| 发行审核委员会(发审委)【中国证监会】 | Public Offering Review Committee 【CSRC】 |
| 《发行条款表资料档案规格》 | Term Sheet Data File Specifications |
| 发行新股 | new issue |
| 发行章程 | prospectus |
| 发行资料摘要【权证】 | indicative terms sheet【warrants】 |
| 法定储备 | statutory reserve |
| 法定公积金【内地】 | statutory surplus reserve【Mainland】 |
| 法定公益金【内地】 | statutory public welfare fund【Mainland】 |

| | |
|----------------|---|
| 法定股本 | authorized capital |
| 法律风险 | legal risk |
| 法律实体 | legal entity |
| 法律实体识别编码 | legal entity identifier (LEI) |
| 法人股【内地】 | legal person share; institutional share 【Mainland】 |
| 法团不同投票权比例上限 | Corporate WVR Maximum Ratio |
| 法团不同投票权转换 | Corporate WVR Conversion |
| 法团大股东具报书 | Corporate Substantial Shareholders Notification |
| 法团内幕人士 | corporate insider |
| 法团身份不同投票权受益人 | corporate WVR beneficiary |
| 法团形式的集体投资计划 | corporate form collective investment scheme (corporate form CIS) |
| 反驳交易 | rejected sales |
| 返程投资 | round-tripping |
| 反馈测试模式 | beta test mode |
| 反收购；反向并购 | reverse takeover; reverse merger |
| 反收购文件 | defence document |
| 反弹 | rally |
| 反向可转换产品；反向兑换票据 | reverse convertible |
| 反向 / 淡仓交易所买卖基金 | inverse / short exchange-traded fund |
| 反向回购投资 | reverse purchase investment |
| 反向询价 | reverse enquiry |
| 房产评估清洁能源 | property assessed clean energy (PACE) |
| 房地产投资基金 | real estate investment trust (REIT) |
| 《房地产投资基金守则》 | Code on Real Estate Investment Trusts |
| 防违约措施 | default protection |

| | |
|------------------------------|--|
| 放宽管制 | deregulation |
| 放宽利率管制 | deregulation of interest rates |
| 非 H 股内地民营企业 | non-H-share Mainland private enterprise (NHMPE) |
| 非标准型权证；非标准型认股证；特种认股证 | exotic warrants |
| 非参与者直接落盘；电子直达市场安排 | direct market access |
| 非常重大的出售事项 | very substantial disposal |
| 非常重大的收购事项 | very substantial acquisition |
| 非成立为有限公司的注册人士 | unincorporated registered person |
| 非登记持有人 | non-registered holder |
| 非独立客户交易 | non-segregated client trades |
| 非法团上市实体 | non-corporate listed entities |
| 非即日平仓交易 | overnight trade |
| 非即时数据 | delayed data |
| 非交割远期外汇合约* | non-deliverable forward contract (NDF) |
| 非交易股票过户 | non-trade share transfer |
| 非交易过户 | non-trade transfer |
| 非结算的期权买卖参与者/非结算参与者 【期权买卖】 | Non-Clearing Options Trading Participant; Non-Clearing Participant (NCP) 【options trading】 |
| 非金钱利益 | soft-dollar benefits |
| 非金钱佣金 | soft commission |
| 非经常项目 | extraordinary item |
| 非流通股【内地】 | non-tradable share 【Mainland】 |
| 非认可负债 | non-ranking liabilities |
| 「非上市可交易」股份 | “trading only” stock |

| | |
|-----------|---|
| 非市场庄家的交易 | non-market-making transaction |
| 非诉讼宽免 | no-action relief |
| 非受监管发行人 | unregulated issuer |
| 非所有者权益变动表 | statement of “non-owner movement in equity” |
| 非同质化代币 | non-fungible token (NFT) |
| 非无保留意见 | modified opinion |
| 非优先认购股份发行 | non-pre-emptive share issuance |
| 非展示用途政策 | Non-display Usage Policy |
| 非整手买卖盘 | round-lot-plus order |
| 非正常项目 | abnormal item |
| 非执行董事 | non-executive director |
| 非中介化 | disintermediation |
| 非自动对盘的交易 | manual trade |
| 分包销商 | sub-underwriter |
| 分布式分类账 | distributed ledger |
| 分布式分类账技术 | distributed ledger technology (DLT) |
| 分拆 / 分拆上市 | spin-off |
| 分级基金 | structured fund |
| 分类表决制度 | classified voting system |
| 分类账 | sub-ledger |
| 分类指数 | sub-index |
| 分离债* | detachable convertible bond |
| 分立* | spin-off |
| 分列登记册 | Split Register |
| 分托管 | sub-custody |
| 分派 | distribution |

| | |
|--------------------------|--------------------------------------|
| 分销 | distribution |
| 粉单市场；「粉红价单」；场外交易报价市 场 | Pink Sheets 【US】 |
| 封闭式基金 | closed-end fund |
| 封顶红利票据 | capped bonus certificate |
| 疯狂抛售 | bear raid |
| 风险参数 | risk parameter |
| 风险管理 | risk management; exposure management |
| 风险管理数据储存库 | risk management data repository |
| 风险管理委员会 | Risk Management Committee |
| 风险管理宪章 | Risk Management Charter |
| 风险鉴别 | risk identification |
| 风险警示板【上交所】 | risk alert board 【SSE】 |
| 风险控制 | risk control |
| 风险价值平台 | Value-at-Risk (VaR) Platform |
| 风险逆转系数 | risk reversal |
| 风险排列按金制度 | risk array margining system |
| 风险排列方法 | risk array method |
| 风险排列算式 | risk array algorithm |
| 风险披露 | risk disclosure |
| 风险披露声明书【GEM】 | Risk Disclosure Statement 【GEM】 |
| 风险评估 | risk evaluation |
| 风险容限 | risk tolerance |
| 风险头寸 | risk position |
| 风险投资基金 | venture capital |
| 风险系数档案 | Risk Parameter File (RPF) |

| | |
|-----------------------|---|
| 否定声明 | negative statement; disclaimer |
| 否定意见 | adverse opinion |
| 浮动保证金基金 | Dynamic Guarantee Fund |
| 浮动保证金 | variation margin |
| 浮动储备基金 | Dynamic Reserve Fund |
| 浮动供款豁免额 | Dynamic Contribution Credit |
| 浮动价格换股票据；不确定性可换股票据 | toxic convertible |
| 浮动应计费用 | variable accrual |
| 浮息按揭 | variable-rate mortgage |
| 浮息存款证 | floating rate certificate of deposit (FRCD) |
| 浮息票据 | floating rate note (FRN) |
| 副保荐人【GEM】 | co-sponsor 【GEM】 |
| 附寄结单服务的股份独立户口【中央结算系统】 | Stock Segregated Account with Statement Service (SSA) [CCASS] |
| 附权交易 | cum-trading |
| 附属贷款 | subordinated loan |
| 附属抵押品 | collateral security |
| 附属公司 | subsidiary |
| 附属企业 | subsidiary undertaking |
| 复牌 | resumption of trading |
| 富时全球公债指数 | FTSE World Government Bond Index (WGBI) |
| 富时指数集团 | FTSE Group |
| 复式按金 | spread margin |
| 复式盘 | spread order |
| 复式期权 | spread option |
| 付方参与者 | delivering Participant |

| | |
|------------------|--|
| 付款参与者 | paying Participant |
| 付运中货品 | goods-in-transit |
| 负债 | liabilities |
| 负债比率 | debt-to-equity ratio |
| 负债日 | indebtedness date |
| 负责任采购要求 | responsible sourcing requirement |
| 《负责任的拥有权原则》【证监会】 | Principles of Responsible Ownership 【SFC】 |
| 负责任投资原则 | Principles for Responsible Investment |

* *Terms commonly used in the Mainland*

内地用语

G

| | |
|---------------------------|---|
| 改良特别股份交易方法 | Enhanced Special Stock Trading Method |
| 概念股 | concept stock |
| 干系人*；利益相关者；持份者；权益人；利益攸关者* | stakeholder |
| 港币-人民币双柜台模式 | HKD-RMB Dual Counter Model |
| 港股结算通 | Southbound Clearing Link |
| 港股交易通 / 港股通 | Southbound Trading Link |
| 港股通投资者 | Southbound Investors |
| 港辉金融信息服务（上海）有限公司（港辉金融） | Ganghui Financial Information Services (Shanghai) Limited |
| 港汇指数/港元实际汇兑指数 | Effective Exchange Rate Index for the Hong Kong Dollar (EERI) |
| 港荣贸易服务（深圳）有限公司 | Gangrong Trading Services (Shenzhen) Limited |
| 港盛信息服务（上海）有限公司 | Gangsheng Information Services (Shanghai) Limited |
| 港胜技术服务（深圳）有限公司 | Gangsheng Technology Services (Shenzhen) Limited |
| 港裕信息服务（深圳）有限公司 | Gangyu Information Services (Shenzhen) Limited |
| 港元隔夜平均指数 | Hong Kong Dollar Overnight Index Average (HONIA) |
| 港元利率迭期 | HIBOR strip |
| 港元利率期货迭期 | HIBOR Futures Strip |
| 港元同业拆息 | Hong Kong Interbank Offered Rate (HIBOR) |
| 杠杆比率 | leverage ratio; gearing ratio |
| 杠杆及反向产品 | Leveraged and Inverse Products (L&I Products) |
| 杠杆市场 | leveraged market |

| | |
|---------------|--|
| 杠杆式外汇交易/买卖 | leveraged foreign exchange trading |
| 杠杆式外汇买卖介绍代理人 | leveraged foreign exchange introducing agent |
| 杠杆式外汇买卖商 | leveraged foreign exchange trader |
| 杠杆收购 | leveraged buy-out (LBO) |
| 杠杆效应 | leverage |
| 高持股量股东【GEM】 | significant shareholder【GEM】 |
| 高杠杆效应的投资 | high leveraged investment |
| 高频交易 | high frequency trading |
| 高水【期货】 | premium【futures】 |
| 高息票据 | equity linked note (ELN) |
| 高于面值 | above par |
| 高于前成交价 | plus tick; uptick |
| 告密政策 | whistleblowing policy |
| 格恩西金融服务业监察委员会 | Guernsey Financial Services Commission |
| 格拉斯哥净零金融联盟 | Glasgow Financial Alliance for Net Zero (GFANZ) |
| 隔夜大批结算 | overnight bulk clearing |
| 隔夜流动资金【银行】 | overnight liquidity【banking】 |
| 隔夜指数掉期 | overnight index swap (OIS) |
| 个别地区指南 | Country Guide |
| 个人不同投票权比例上限 | Individual WVR Maximum Ratio |
| 个人不同投票权失效 | Individual WVR Fallaway |
| 个人大股东具报书 | Individual Substantial Shareholders Notification |
| 个人对个人借贷 | peer-to-peer lending |
| 个人交易所参与者 | Individual Exchange Participant |
| 个人客户 | individual client |

| | |
|-----------------|---|
| 个人投资者；散户；散户投资者 | retail investor |
| 个人投资者户口 | Individual Investor Account |
| 更改财政年度结算日期 | change of year end |
| 更正交易 | trade amendment |
| 更紧密经贸关系安排 | Closer Economic Partnership Arrangement (CEPA) |
| 公布系统；广播系统 | public address system |
| 公吨二氧化碳当量 | tonne CO2e |
| 公告板 | bulletin board |
| 公积金计划 | Provident Fund Scheme |
| 公开发售 | offer for sale; open offer |
| 公开喊价/叫价【= 口头竞价】 | open outcry 【= auction】 |
| 公开叫价交易 | open outcry trading |
| 公开谴责 | public censure |
| 公开权益 | disclosure of interests |
| 公开认购 | offer for subscription |
| 公开市场活动 | open market operations |
| 公开市场账户【美联储】 | System Open Market Account 【US Federal Reserve】 |
| 公开售股 | open offer |
| 公开招股 | offer to the public |
| 公募基金* | mutual fund |
| 公平竞争 | level playing field 【cf uneven playing field】 |
| 公平市值 | fair market value |
| 《公认会计原则》 | Generally Accepted Accounting Principles(GAAP) |
| 公司仓 | house position; firm position |

| | |
|---------------------------------|---|
| 公司法改革常务委员会 | Standing Committee on Company Law Reform |
| 《公司购回本身股份守则》(现为《公司股份回购守则》)【证监会】 | Code on Share Repurchases (Share Repurchase Code) (currently Code on Share Buy-backs) 【SFC】 |
| 《公司股份回购守则》 | Code on Share Buy-backs |
| 公司户口 | house account; principal account |
| 公司交易板【英国】 | Company Bulletin Board 【UK】 |
| 公司交易所参与者 | Corporate Exchange Participant |
| 公司盈 | firm order; proprietary trading |
| 《公司收购、合并及股份回购守则》 | The Codes on Takeovers and Mergers and Share Buy-backs |
| 《公司收购及合并守则》 | Code on Takeovers and Mergers (Takeovers Code) |
| 公司通讯 | corporate communication |
| 公司投资者户口 | Corporate Investor Account |
| 公司债* | corporate bond |
| 公司治理* | corporate governance |
| 公司注册处 | Companies Registry |
| 公司注册处处长 | Registrar of Companies |
| 公司注册处营运基金 | Companies Registry Trading Fund |
| 公司注册证书 | certificate of incorporation |
| 公司专用分户口 | proprietary sub-account |
| 公司专用户口 | proprietary account |
| 公司资金 | Corporate Funds |
| 公司资料报表 | Company Information Sheet |
| 工业和信息化部 | Ministry of Industry and Information Technology |
| 公众持股量 | public float; free float |
| 公众持股市值 | public float capitalisation |

| | |
|------------------|--|
| 公众股东权益小组【证监会】 | Public Shareholders Group 【SFC】 |
| 公众利益 | public interest |
| 公众利益董事 | Public Interest Director |
| 公众利益监察局 | Public Interest Oversight Board (PIOB) |
| 公众阅览室 | Public Viewing Room |
| 供股 | rights issue |
| 供款 | contribution |
| 共同抵押品管理系统 | Common Collateral Management System (CCMS) |
| 共同抵押品管理系统抵押品公司户口 | House CCMS Collateral Account |
| 共同抵押品管理系统抵押品客户户口 | Client CCMS Collateral Account |
| 共同抵押品管理系统抵押品庄家户口 | Market Maker CCMS Collateral Account |
| 共同风险管理系統 | Common Risk Management System |
| 共同基金* | mutual fund |
| 共同市场 | Mutual Market |
| 共用代理人【中央结算系统】 | common nominee 【CCASS】 |
| 「共用代理人」股票 | “common nominee” share certificate |
| 共用软件 | shareware |
| 购股权 | share option |
| 购回 / 购回股份 | repurchase; share repurchase |
| 购买力平价 | purchasing power parity (PPP) |
| 沽出备兑期权 | covered writing |
| 沽出未抵押期权 | naked option writing |
| 沽空 | short selling / short sale |
| 沽盘 | sell order |
| 沽盘价 | ask price; asked price |
| 估计使用年期 | estimated useful life |

| | |
|---------------------|--|
| 估值报告 | valuation report |
| 估值师 | valuer |
| 股本 | share capital |
| 股本负债比率 | debt-to-equity ratio |
| 股本基数 | equity base |
| 股本价值 | value of equity capital |
| 股本权证 | equity warrant; subscription warrant (vs derivative warrant) |
| 股本说明 | statement of capital |
| 股本衍生工具 | equity derivatives |
| 股本证券 | equity securities |
| 股东大会 ; 成员大会 | general meeting |
| 股东贷款 | shareholder loan |
| 股东会议说明书 | proxy statement |
| 股东名册 | register of members; share register |
| 股东权益 | equity interest |
| 股东权益小组【证监会】 | Shareholders Group 【SFC】 |
| 股东特别大会 | extraordinary general meeting (EGM) |
| 股东应占溢利 | profits attributable to shareholders |
| 股东周年大会 | annual general meeting (AGM) |
| 股份拆细 ; 股份分拆 | split; stock split; share subdivision |
| 股份承押人 | stock pledgee |
| 股份承押人参与者【中央结算系统参与者】 | Stock Pledgee Participant 【CCASS Participants】 |
| 股份存入表格 | Stock Deposit Form |
| 股份存入费 | stock deposit fee |
| 股份代号 | stock code |

| | |
|-------------------|--|
| 股份代号慈善抽签安排计划 | Stock Code Balloting for Charity Scheme |
| 股份代号慈善计划 | Stock Code for Charity Scheme |
| 《股份登记机构操守准则》【证监会】 | Code of Conduct for Share Registrars 【SFC】 |
| 股份登记机构纪律委员会【证监会】 | Share Registrars' Disciplinary Committee 【SFC】 |
| 股份分拆；股份拆细 | split; stock split; share subdivision |
| 股份购回 | share repurchase |
| 股份购回报告 | Share Buyback Report |
| 《股份购回守则》 | Code on Share Repurchases (Share Repurchase Code) |
| 股份过户登记处 | share registrar |
| 股份合并 | share consolidation |
| 股份合订单位 | share stapled unit |
| 股份化 | demutualisation |
| 股份计划 | share scheme |
| 股份交收费 | stock settlement fee |
| 股份结算费 | stock clearing fee |
| 股份禁售期；暂止期 | moratorium |
| 股份配发报表 | Share Allotment Report |
| 股份权益 | share entitlements |
| 股份认购权 | share option |
| 股份收纳【转板】 | stock conversion 【board switching】 |
| 股份提取费 | stock withdrawal fee |
| 股份托管费 | stock custody fee |
| 股份页【大利市机】 | stock page 【Teletext】 |
| 股份页播送讯息速率 | stock page broadcast rate |

| | |
|-----------------|---|
| 股份溢价 | share premium |
| 股份拥有权参与 | share ownership engagement |
| 股份有限公司 | joint stock company |
| 股份整批上市 | block listing |
| 股份制 | demutualisation |
| 股份转移报告【中央结算系统】 | Statement of Stock Movement【CCASS】 |
| 股份转移日结单【中央结算系统】 | Daily Movement Statement【CCASS】 |
| 股价不动时回报 | standstill return |
| 股价敏感资料；股价敏感性信息* | price-sensitive information |
| 《股价敏感资料披露指引》 | Guide on disclosure of price-sensitive information |
| 股票按贷财务活动 | share margin financing |
| 股票承押人 | stock pledgee |
| 股票出借人 | stock lender |
| 股票贷出户口 | Stock Lending Account |
| 股票登记费 | scrip fee |
| 股票非流动化 | immobilisation of share certificate |
| 股票共同市场 | mutual stock market |
| 股票挂钩存款 | equity linked deposit |
| 股票挂钩票据；息股证 | equity linked instrument (ELI) |
| 股票挂钩票据；高息票据 | equity linked note (ELN) |
| 股票挂钩投资工具 | equity linked investment |
| 股票归还 | stock return |
| 股票借贷 | stock borrowing and lending |
| 股票借贷数额资料页【大利市】 | stock borrowing and lending position information page【Teletext】 |
| 股票期货 | stock futures |

| | |
|------------|---|
| 股票期权 | stock option; equity option |
| 股票期权持仓限额 | stock option position limit (SOPL) |
| 股票认购权发行* | rights issue |
| 股票增值权 | stock appreciation right |
| 股票指数期货 | stock index futures |
| 股权 | equity interest; shareholding |
| 股权登记日；记录日期 | record date |
| 股权分置【内地】 | equity division 【Mainland】 |
| 股权分置改革【内地】 | equity division reform 【Mainland】 |
| 股权激励机制 | share incentive mechanism |
| 股权收益 | return on equity |
| 股权众筹 | equity crowdfunding |
| 股市指数期货 | equity index futures |
| 股市指数期权 | equity index option |
| 股市资料捐赠计划 | Stock Market Information Donation Programme |
| 股息；股利* | dividend |
| 股息单 | dividend warrant |
| 股息点指数系列 | Dividend Point Index Series |
| 股息率 | dividend yield |
| 股息期货 | dividend futures |
| 雇员注册庄家 | Employee Registered Trader |
| 故障包容 | fault tolerance |
| 固定月费服务计划 | Fixed Fee Monthly Fee Service |
| 挂钩汇率制 | pegged rate system |
| 挂牌买卖 | flotation |
| 挂盘册 | order book |

| | |
|-------------------------|--|
| 挂盘册深度 | order book depth |
| 关键绩效指标 | key performance indicator (KPI) |
| 关联方 | related party |
| 关联方交易；与关联者的交易 | related party transaction |
| 关联附属公司 | connected subsidiary |
| 关联公司 | associated company; related company |
| 关联交易 | connected transaction |
| 关联人士 | connected person |
| 关联交易* | connected transaction |
| 关联者 | related party |
| 《关于内地与香港基金互认安排的监管合作备忘录》 | Memorandum of Regulatory Cooperation on Mainland-Hong Kong mutual recognition of funds |
| 管理层股东 | management shareholder |
| 管理层收购 | management buy-out (MBO) |
| 管理层叙述式季度报告 | quarterly narrative management statement |
| 管理费用 | management fee |
| 管理资产总值；资产管理规模 | assets under management (AUM) |
| 广播系统；公布系统 | public address system |
| 广东金融学会绿色金融专业委员会 | Green Finance Committee of Guangdong Society for Finance and Banking (GDGFC) |
| 广域网络 | Wide Area Network |
| 广州期货交易所 | Guangzhou Futures Exchange |
| 广州碳排放权交易中心有限公司（广州碳交所） | China Emissions Exchange (CEEX) |
| 规范声明 | normative statement |
| 柜台市场；场外市场 | over-the-counter (OTC) market |

| | |
|-----------------|--|
| 国际标准化组织 | International Organisation for Standardisation (ISO) |
| 《国际财务报告准则》 | International Financial Reporting Standards (IFRS) |
| 国际财务报告准则基金会 | International Financial Reporting Standards Foundation |
| 国际掉期业务及衍生投资工具协会 | International Swaps and Derivatives Association (ISDA) |
| 国际货币基金组织 | International Monetary Fund (IMF) |
| 国际集资市场协会 | International Primary Markets Association (IPMA) |
| 国际结算银行；国际清算银行* | Bank for International Settlements (BIS) |
| 国际金融公司 | International Finance Corporation (IFC) |
| 国际金融行动专责小组 | International Financial Action Task Force |
| 国际可持续发展准则理事会 | International Sustainability Standards Board (ISSB) |
| 国际可持续金融平台 | International Platform on Sustainable Finance (IPSF) |
| 国际会计师公会 | The Association of International Accountants |
| 国际会计师联合会 | International Federation of Accountants (IFAC) |
| 国际会计准则 | International Accounting Standards (IAS) |
| 国际会计准则委员会 | International Accounting Standards Board (IASB) |
| 国际期权市场协会 | International Options Markets Association (IOMA) |
| 国际审计及保证标准委员会 | The International Auditing and Assurance Standards Board (IAASB) |
| 《国际审阅准则》 | International Standard on Review Engagements |
| 国际收支平衡/国际收支差额 | balance of payments |
| 国际碳市场峰会 | International Carbon Markets Summit |
| 国际资本市场协会 | International Capital Market Association |

| | |
|------------------------|--|
| 国际证监会组织亚太区委员会 | Asia Pacific Regional Committee (APRC) of IOSCO |
| 国际证券服务业联会 | International Securities Services Association (ISSA) |
| 国际证券号码 | International Securities Identification Number (ISIN) |
| 国际证券号码编制系统 | International Securities Numbering System |
| 国际证券交易所联会 | World Federation of Exchanges (WFE) |
| 国际证券市场协会 | International Securities Markets Association (ISMA) |
| 国际证券事务监察委员会组织（国际证监会组织） | International Organisation of Securities Commissions (IOSCO) |
| 国际综合报告委员会 | International Integrated Reporting Council (IIRC) |
| 国际咨询委员会 | International Advisory Council |
| 国际自然保护联盟 | International Union for Conservation of Nature (IUCN) |
| 国家发展和改革委员会（国家发改委）【内地】 | National Development and Reform Commission (NDRC) 【Mainland】 |
| 国家工商行政管理总局【内地】 | State Administration for Industry and Commerce 【Mainland】 |
| 国家股/国有股【内地】 | state share 【Mainland】 |
| 国家建设债券【内地】 | National Construction Treasury 【Mainland】 |
| 国家金融监督管理总局【内地】 | National Financial Regulatory Administration (NFRA) 【Mainland】 |
| 国家科技风险开发事业中心 | National Science and Technology Venture Capital Development Center |
| 国家能源局 | National Energy Administration |
| 国家税务总局【内地】 | State Administration of Taxation 【Mainland】 |
| 国家统计局【内地】 | National Bureau of Statistics 【Mainland】 |

| | |
|-----------------------|--|
| 国家外汇管理局【内地】 | State Administration of Foreign Exchange (SAFE) 【Mainland】 |
| 国家重点建设债券【内地】 | Priority Construction Treasury 【Mainland】 |
| 国库券 | treasuries |
| 国民生产总值 | gross national product (GNP) |
| 国内生产总值 | gross domestic product (GDP) |
| 《国务院关于废止部分行政法规和文件的决定》 | Decision of the State Council to Repeal Certain Administrative Regulations and Documents |
| 国营企业【内地】 | state-owned enterprise 【Mainland】 |
| 国有企业【内地】 | state-owned enterprise 【Mainland】 |
| 国有资产监督管理委员会【内地】 | State-owned Assets Supervision and Administration Commission (SASAC) 【Mainland】 |
| 国债* | government bond |
| 国债期货* | treasury bond futures |
| 过渡期受托经纪 | bridging broker; bridging dealer |
| 过渡性贷款 | bridging loan |
| 过户 | transfer |
| 过户【期权】 | give-up 【options】 |
| 过户处/过户登记处 | registrar; share registrar |
| 过户处参与者户口 | Registrar Participant Account |
| 过户代理 | transfer agent |
| 过户费 | transfer fee |
| 过户文件 | instrument of transfer |
| 过户纸(转让)印花税 | transfer deed stamp duty |
| 过量交易 | overtrading |

* Terms commonly used in the Mainland
内地用语

H

| | |
|-------------------|--|
| HSN 虚拟端口 | HSN Virtual Port (HSNVP) |
| 海外发行人 | overseas issuer |
| 《海外账户税收合规法案》【美国】 | Foreign Account Tax Compliance Act (FATCA) 【US】 |
| 海湾阿拉伯国家合作委员会（海合会） | Gulf Cooperation Council (GCC) |
| 行仓 | firm position |
| 行业覆盖层面 | spread of sector |
| 行业计划【强积金】 | industry scheme 【MPF】 |
| 好仓 | long position |
| 和解及相互解除协议 | settlement agreement and mutual release |
| 合规评核及现场视察之年度计划 | Annual Attestation and Inspection Programme |
| 合并 | amalgamation; consolidation; merger; reverse split |
| 合并有形资产净值 | combined net tangible assets |
| 合并与收购 | mergers and acquisitions |
| 合成 ETF；合成交易所买卖基金 | synthetic ETF |
| 合成工具 | synthetics |
| 合成模拟策略；综合复制策略 | synthetic replication strategy |
| 合成期货 | synthetic futures |
| 合成期权 | synthetic option |
| 合成认购期权长仓 | synthetic long call |
| 合订证券 | stapled securities |
| 合格交付 | good for delivery |
| 合格境内机构投资者 | Qualified Domestic Institutional Investor (QDII) |
| 合格境内个人投资者 | Qualified Domestic Individual Investor (QDII2) |

| | |
|----------------|---|
| 合格境内投资者境外投资 | Qualified Domestic Investment Enterprise (QDIE) |
| 合格境内有限合伙人 | Qualified Domestic Limited Partner (QDLP) |
| 合格境外机构投资者 | Qualified Foreign Institutional Investor (QFII) |
| 合格境外有限合伙人 | Qualified Foreign Limited Partner (QFLP) |
| 合规顾问 | compliance adviser |
| 合约乘数 | contract multiplier |
| 合约单位 | contract unit |
| 合约股数 | contract size |
| 合约互惠基金 | contractual mutual fund |
| 合约金额 | contract size |
| 合约细则 | contract specifications |
| 合约压缩服务 | solo compression service |
| 合约转月 | calendar rolling |
| 合资格飞机出租商 | Qualified Aircraft Lessor |
| 合资格飞机租赁活动 | Qualified Aircraft Leasing Activities |
| 合资格估算师 | Competent Evaluator |
| 合资格股份列表 | Stock Eligibility Schedule |
| 合资格人士报告 | Competent Person's Report |
| 合资格证券 | eligible securities |
| 合资格主管 | Eligible Supervisor |
| 合资合同 | joint venture contract |
| 合资企业；合资公司；合营企业 | joint venture |
| 合作备忘录 | memorandum of understanding (MOU) |
| 《合作行为指引说明》 | Guidance Note on Cooperation |
| 核数师 | auditor |
| 核数师报告 | auditors' report |

| | |
|-----------------|---|
| 核数委员会 | Audit Committee |
| 核心股东保障水平 | core shareholder protection standard |
| 核心关联人士 | core connected person |
| 核心盈利 | core earnings |
| 核心职能主管制度【证监会】 | Manager-In-Charge regime 【SFC】 |
| 核证附注 | verification notes |
| 核证减排量 | Verified Carbon Unit (VCU); Certified Emissions Reduction (CER) |
| 核证减排标准 | Verified Carbon Standard (VCS) |
| 核准借出代理人 | approved lending agent |
| 核准可赎回股份 | approved redeemable share |
| 核准证券登记机构 | Approved Securities Registrar |
| 黑池交易；暗池交易* | dark pool |
| 黑字还流【日本】 | Capital Recycling Programme 【Japan】 |
| 恒生 AH 股精明指数 | Hang Seng China AH Smart Index |
| 恒生 AH 股溢价指数 | Hang Seng China AH Premium Index |
| 恒生等权重指數 | Hang Seng Equal Weighted Index (HSEWI) |
| 恒生低波幅指数 | Hang Seng Low Volatility Index (HSLVI) |
| 恒生短仓及杠杆指数系列 | Hang Seng Short and Leveraged Index Series |
| 恒生房地产基金指数 | Hang Seng REIT Index |
| 恒生风险调控指数系列 | Hang Seng Risk Adjusted Index Series |
| 恒生港股通中国内地医疗保健指数 | Hang Seng SCHK Mainland China Healthcare Index (HSSCHI) |
| 恒生高股息率指数 | Hang Seng High Dividend Yield Index |
| 恒生股息点指数系列 | Hang Seng Dividend Point Index Series |
| 恒生股息累计指数系列 | Hang Seng Total Return Index Series |
| 恒生广义消费指数 | Hang Seng Broad Consumption Index (HSBCI) |

| | |
|---------------------------------------|--|
| 恒生国企股息点指数 | HSCEI Dividend Point Index |
| 恒生国企股息点指数期货 (恒生国企股息期货) | HSCEI Dividend Point Index Futures (HSCEI Dividend Futures) |
| 恒生国指波幅指数 | HSCEI Volatility Index (VHSCEI) |
| 恒生行业分类系统 | Hang Seng Industry Classification System |
| 恒生沪深港通大湾区综合指数 | Hang Seng Stock Connect Big Bay Area Index |
| 恒生环球综合指数 | Hang Seng Global Composite Index |
| 恒生基础建设指数 | Hang Seng Infrastructure Index (HSII) |
| 恒生科技指数 | Hang Seng TECH Index |
| 恒生科技指数期货 | Hang Seng TECH Index Futures |
| 恒生科技指数期货期权 | Hang Seng TECH Index Futures Options |
| 恒生可持续发展企业基准指数 | Hang Seng Corporate Sustainability Benchmark Index |
| 恒生可持续发展企业指数 | Hang Seng Corporate Sustainability Index |
| 恒生流通综合指数 | Hang Seng Freefloat Composite Index (HSFCI) |
| 恒生麦凯德 iBoxx 离岸人民币债券指数系列 (HSM iBoxx) | Hang Seng Markit iBoxx Offshore RMB Bond Index family (HSM iBoxx) |
| 恒生软件服务指数 (软件指数) | Hang Seng Software & Services Index (HSSI) |
| 恒生软件服务指数期货 (软件期货) | Hang Seng Software & Services Index Futures |
| 恒生神州 50 指数 | Hang Seng China 50 Index |
| 恒生天然资源指数 | Hang Seng Natural Resources Index (HSNRI) |
| 恒生外国公司综合指数 | Hang Seng Foreign Companies Composite Index |
| 恒生香港 35 | Hang Seng HK 35 |
| 恒生香港交易所沪深港通中国企业指数 (沪深港通中国企业指数) | Hang Seng HKEX Stock Connect China Enterprises Index (SCCEA Index) |
| 恒生香港流通指数 | Hang Seng HK Freefloat Index (HSHKFI) |
| 恒生香港上市生物科技指数 | Hang Seng Hong Kong-Listed Biotech Index |

| | |
|-------------------------------------|--|
| 恒生香港中资企业指数 (中资企业指数) | Hang Seng China-Affiliated Corporations Index (HSCCI) |
| 恒生增幅指数 | Hang Seng High Beta Index (HSHBI) |
| 恒生资讯科技器材指数 (IT 器材指数) | Hang Seng IT Hardware Index (HSITHI) |
| 恒生资讯科技器材指数期货 (IT 器材期货) | Hang Seng IT Hardware Index Futures |
| 恒生指数 | Hang Seng Index (HSI) |
| 恒生指数 (净股息累计指数) 期货 (恒指净股息累计指数期货) | Hang Seng Index (Net Total Return Index) Futures (HSINTRI Futures) |
| 恒生指数期货 | Hang Seng Index Futures |
| 恒生指数期权 | Hang Seng Index Options |
| 恒生指数上市基金 | Hang Seng Index ETF |
| 恒生指数有限公司 (恒生指数公司) | Hang Seng Indexes Company Limited (Hang Seng Indexes) |
| 恒生指数 (总股息累计指数) 期货 (恒指总股息累计指数期货) | Hang Seng Index (Gross Total Return Index) Futures (HSIGTRI Futures) |
| 恒生中国 H 股金融行业指数 (H 股金融行业指数) | Hang Seng China H-Financials Index (H-Fin) |
| 恒生中国内地 25 | Hang Seng Mainland 25 (HSML25) |
| 恒生中国内地 100 | Hang Seng Mainland 100 (HSML100) |
| 恒生中国内地地产指数 (内房指数) | Hang Seng Mainland Properties Index (HSMPI) |
| 恒生中国内地地产指数期货 (内房期货) | Hang Seng Mainland Properties Index Futures |
| 恒生中国内地流通指数 | Hang Seng Mainland Freefloat Index (HSMLFI) |
| 恒生中国内地石油及天然气指数 (内油指数) | Hang Seng Mainland Oil & Gas Index (HSMOGI) |
| 恒生中国内地石油及天然气指数期货 (内油期货) | Hang Seng Mainland Oil & Gas Index Futures |

| | |
|--|--|
| 恒生中国内地消费品制造业指数 | Hang Seng Mainland Consumer Goods Index (HSMCGI) |
| 恒生中国内地医疗保健指数 (药业指 数) | Hang Seng Mainland Healthcare (HSMHI) |
| 恒生中国内地医疗保健指数期货 (药业期货) | Hang Seng Mainland Healthcare Index Futures |
| 恒生中国内地银行指数 (内银指数) | Hang Seng Mainland Banks Index (HSMBI) |
| 恒生中国内地银行指数期货 (内银期 货) | Hang Seng Mainland Banks Index Futures |
| 恒生中国内地综合指数 | Hang Seng Mainland Composite Index (HSMLCI) |
| 恒生中国企业等权重指数 | Hang Seng China Enterprises Equal Weighted Index (HSCEEWI) |
| 恒生中国企业指数 (恒生国企指数) | Hang Seng China Enterprises Index (HSCEI) |
| 恒生中国企业指数 (净股息累计指数) 期货 (恒生国企净股息累计指数期 货) | Hang Seng China Enterprises Index (Net Total Return Index) Futures (HSCEINTRI Futures) |
| 恒生中国企业指数期货 (H 股指数期 货) | Hang Seng China Enterprises Index Futures (H- shares Index Futures) |
| 恒生中国企业指数上市基金 | Hang Seng China Enterprises Index ETF |
| 恒生中国企业指数 (总股息累计指数) 期货 (恒生国企总股息累计指数期 货) | Hang Seng China Enterprises Index (Gross Total Return Index) Futures (HSCEIGTRI Futures) |
| 恒生综合大型股指数 | Hang Seng Composite LargeCap Index (HSLI) |
| 恒生综合行业指数 | Hang Seng Composite Industry Indexes |
| 恒生综合小型股指数 | Hang Seng Composite SmallCap Index (HSHKSI) |
| 恒生综合指数 | Hang Seng Composite Index (HSCI) |
| 恒生综合中型股指数 | Hang Seng Composite MidCap Index (HSHKMI) |
| 恒指波幅指数 | HSI Volatility Index (VHSI) |

| | |
|----------------------|---|
| 恒指波幅指数期货 | HSI Volatility Index Futures |
| 恒指股息点指数 | HSI Dividend Point Index |
| 恒指股息点指数期货 (恒指股息期货) | HSI Dividend Point Index Futures (HSI Dividend Futures) |
| 宏观审慎政策 | macro-prudential policy |
| 红筹股 | red chip |
| 红股 | bonus share |
| 红股发行 | bonus issue |
| 红利* | dividend |
| 红利税* | dividend tax |
| 红利票据 | bonus certificate |
| 红利权证 | bonus warrant |
| 后备联线通讯线路 | backup interactive line |
| 后备资料复原软件 | file backup-restore macro |
| 后偿贷款 | subordinated loan |
| 后偿债券 | subordinated bond |
| 后交易指令 | post-trade transaction |
| 后阶段负担 | backloading |
| 后进先出 | last in, first out (LIFO) |
| 后期执法【证监会】 | backend enforcement 【SFC】 |
| 后勤办公室 | back office |
| 后勤办公室系统 | back-office system |
| 后台技术系统 | back-end system |
| 后续发行；上市后发行；增发；再融资 | follow-on offering |
| 互保基金【联交所】 | Fidelity Fund 【SEHK】 |
| 互动易【深交所】 | EasyIR 【SZSE】 |
| 互动语音电话系统 | Interactive Voice Response System (IVRS) |

| | |
|---------------------------------|--|
| 互挂 ; 互挂上市 | cross listing |
| 互换交易* | swap |
| 互换通 | Swap Connect |
| 互惠基金 | mutual fund |
| 户口仓盘 | account position |
| 户口结单 | statement of account |
| 户口结余月结单【中央结算系统】 | Monthly Balance Statement 【CCASS】 |
| 户口转移指示 | Account Transfer Instruction (ATI) |
| 户口转移指示整批档案传送 | ATI Batch File Transfer |
| 沪港股票市场交易互联互通机制（沪港通） | Shanghai-Hong Kong Stock Connect |
| 《沪港股票市场交易互联互通机制试点登记、存管结算业务实施细则》 | Implementing Rules for Registration, Depository and Clearing Services under the Shanghai-Hong Kong Stock Connect Pilot Programme |
| 沪股结算通 | Northbound Clearing Link |
| 沪股交易通 / 沪股通 | Northbound Trading Link |
| 沪股通投资者 | Northbound Investors |
| 沪深港通 | Stock Connect |
| 沪深 300 指数 | CSI 300 Index |
| 滑价成本 | slippage cost |
| 华夏恒生香港生物科技指数 ETF | China AMC Hang Seng Hong Kong Biotech Index ETF |
| 坏账 | bad debt |
| 坏账及呆账拨备/备抵 | provision for bad and doubtful debts; allowance for bad and doubtful debts |
| 还本付息* | redemption |
| 还盘 | counter order |
| 《环境、社会及管治报告指引》 | Environmental, Social and Governance Reporting Guide |

| | |
|--|--|
| 环境、社会及管治委员会 | Environmental, Social and Governance Committee |
| 环球银行同业金融电讯协会 | Society for Worldwide Interbank Financial Telecommunications (SWIFT) |
| 缓行注册 | shelf registration facility |
| 换股比率 | conversion ratio; entitlement ratio |
| 换手率* / 交易流通速度 / 流通比率 / 周转率 / 转手率 / 流转率 | turnover rate; velocity |
| 黄金标准 | Gold Standard (GS) |
| 黄金标准核证减排量 | Gold Standard's Verified Emission Reductions (GS-VERs) |
| 黄金股 | golden share |
| 黄金期货 | gold futures |
| 黄金现货 | spot gold |
| 黄金用户委员会 | Gold User Committee |
| 恢复买卖 | resumption of trading |
| 会籍互惠安排 | Reciprocal Membership Arrangement (RMA) |
| 回报 | return; payoff |
| 回报率 | rate of return |
| 回本期 | payoff period |
| 回补机制；回拨机制 | claw back mechanism |
| 回抽佣金 | sub-commission |
| 回购 | buy-back 【cf repurchase agreement】 |
| 回购备用贷款额 | repurchase facilities |
| 回购权证 | warrant; call warrant |
| 回购协议 | repurchase agreement (repo) |
| 回扣/回佣 | rebate; commission rebate; sub-commission |
| 回升 | rally |

| | |
|----------------------------|---|
| 回收期 | payoff period |
| 回溯测试 | back test |
| 回应时间 | response time |
| 回转交易* | day trading; intra-day trade; turnaround trading |
| 汇报期末段 | stub period |
| 汇兑损失 | exchange loss |
| 汇兑限额 | exchange quota |
| 汇款同步交收【银行】 | payment vs payment (PvP) 【banking】 |
| 混合媒介要约；混合媒介公开发售； 混合媒介招股 | mixed media offer |
| 混合式股东大会 | hybrid general meeting |
| 活跃业务纪录【GEM】 | active business pursuits 【GEM】 |
| 活跃交易者计划 | Active Trader Programme |
| 货币发行局制度 | currency board system |
| 货币供应 | money supply |
| 货币基础 | monetary base |
| 货币交叉盘买卖 | cross currency trade |
| 货币经纪 | money broker |
| 货币期货 | currency futures |
| 货币权证 | currency warrant |
| 货币市场 | money market |
| 货币政策委员会【中国人民银行】 | Monetary Policy Committee 【PBC】 |
| 货币资产 | monetary assets |
| 获分配人士 | assignee |
| 获豁免的大中华发行人 | Grandfathered Greater China Issuers |
| 获豁免的法团不同投票权发行人 | Grandfathered Corporate WVR Issuers |

| | |
|----------------|-----------------------------------|
| 获配发人 | allottee |
| 获配售人 | placee |
| 获提名董事 | proposed director |
| 豁免/豁免规定 | waiver |
| 豁免基金经理 | Exempt Fund Manager |
| 豁免交易商 | exempt trader |
| 豁免上市地位 | exempt listing status |
| 豁免自营买卖商 | exempt principal trader |
| 或然垫款资金【期货结算公司】 | Contingent Advance Capital【HKCC】 |
| 或然负债 | contingent liabilities |
| 或有保费 | contingent premium |
| 或有可转换证券 | contingent convertible securities |
| 货银对付 | cash on delivery (COD) |
| 货银对付方式交收 | delivery vs payment (DvP) |
| 货银两讫 | delivery vs payment (DvP) |
| 货银同步交收 | delivery vs payment (DvP) |

* Terms commonly used in the Mainland
内地用语

J

| | |
|----------------|--|
| 基本按金 | initial margin |
| 基本报价服务 | Basic Market Prices Service |
| 基础货币；基准货币 | base currency |
| 基础上市文件 | base listing document |
| 基础投资者 | cornerstone investor |
| 基础证券*；相关/指定证券 | underlying securities |
| 基点 | basis point |
| 基建工程/项目 | infrastructure project |
| 基建融资促进办公室【金管局】 | Infrastructure Financing Facilitation Office (IFFO) 【HKMA】 |
| 基金份额持有人* | fund unit holder |
| 基金互认安排 | mutual recognition of funds |
| 基金经理 | fund manager |
| 基金资料库 | Fund Repository |
| 基准风险；基本风险 | basis risk |
| 基准股市指数 | benchmark equity index |
| 基准掉期 | basis swap |
| 基准货币；基础货币 | base currency |
| 基准价格 | notation price |
| 基准日 | base day |
| 基准收益率曲线 | benchmark yield curve |
| 基准线排放 | baseline emissions |
| 机构风险 | institutional risk |

机构交易员组合系统【澳洲】

| | |
|----------|-------------------------------------|
| 机构客户 | institutional client |
| 机构联动 | Institute-Connect |
| 机构投资者 | institutional investor |
| 机械理财顾问 | robo-advisor |
| 机械理财建议 | robo-advice |
| 稽核测试 | audit test |
| 稽核委员会 | Audit Committee |
| 积欠款项 | arrears |
| 极端波动乘数 | extreme move multiplier |
| 极端波动覆盖分数 | extreme move covered fraction |
| 极端交易 | extreme transaction |
| 极价内期权 | deep-in-the-money option |
| 极价外期权 | deep-out-of-the-money option; tails |
| 集合报价 | mass quote |
| 集合竞价 | aggregate auction; call auction |
| 集体宽免 | class relief |
| 集体投资基金 | collective investment fund |
| 集体投资计划 | collective investment scheme (CIS) |
| 集团会计 | corporate accounting |
| 集团亏损税务宽免 | group tax loss relief |
| 集团内部交易 | intra-group transaction |
| 集中持仓量 | concentrated position |
| 集中风险 | concentration risk |
| 集中风险调整 | concentration risk adjustment |

| | |
|------------------|--|
| 集资 | capital formation |
| 集资净额 | net proceeds |
| 集资市场 | primary market |
| 集资退休基金 | Pooled Retirement Fund |
| 即年合约 | front year contract |
| 即期定盘价 | spot pricing |
| 即日报价 | intraday quotation |
| 即日差额缴款报告【中央结算系统】 | Intra-day Marks Collection Report 【CCASS】 |
| 即日拆借市场 | intra-day money market |
| 即日额外按金 | intra-day margin |
| 即日回购协议【银行】 | intraday repurchase agreement 【banking】 |
| 即日流动资金 | intraday liquidity |
| 即日买卖 | day trade |
| 即日盘/即日买卖盘；当日有效盘 | day order |
| 即日平仓交易 | day trade |
| 「即日鲜」 | day trade |
| 即日有效买卖盘 | good-for-day order |
| 即日追补按金；即日追收按金 | intra-day margin call |
| 即日追收变动保证金 | intra-day variation margin call |
| 即时汇款同时交收【银行】 | payment vs payment (PvP) 【banking】 |
| 「即时或取消」买卖盘 | Immediate-or-Cancel order (IOC) |
| 即时数码数据服务 | Realtime Digital Data Service (RDDS) |
| 即时数码资料传送专线 | realtime digital datafeed |
| 即时支付结算系统【金管局】 | Real Time Gross Settlement system (RTGS) 【HKMA】 |

| | |
|--------------------|---|
| 即时资讯 | real time information |
| 即夜传送报告资料服务【中央结算系统】 | Overnight Report Distribution 【CCASS】 |
| 即月 | front-month |
| 继承公司 | successor company |
| 《纪律案例》 | Disciplinary Casebook |
| 纪律程序 | disciplinary procedures |
| 《纪律处分程序手册》 | Handbook on Disciplinary Proceedings |
| 纪律处分行动声明【证监会】 | Statement of Disciplinary Action 【SFC】 |
| 纪律处分权力 | disciplinary power |
| 纪律复核小组 | Disciplinary Review Panel (DRP) |
| 纪律管辖权 | disciplinary jurisdiction |
| 纪律上诉委员会 | Disciplinary Appeals Committee |
| 纪律委员会 | Disciplinary Committee |
| 纪律研讯主席委员会【证监会】 | Disciplinary Chair Committee 【SFC】 |
| 记录日期；股权登记日 | record date |
| 记名证券 | registered securities |
| 记名证书 | registered certificate |
| 技术性验证测试 | Proof of Concept |
| 计算按金程序 | margining process |
| 夹仓 | squeeze; short squeeze; cornering |
| 加速累计投标 | accelerated bookbuild |
| 加速折旧 | accelerated depreciation |
| 假期交易 | holiday trading |
| 假市 | false market |
| 价差* | spread |

| | |
|--------------------------------|---|
| 价差优化计划 | Spread Enhancement Programme |
| 价格变动保证金 | variation margin |
| 价格带 | price band |
| 价格动力 | price momentum |
| 价格发现 | price discovery |
| 价格幅度限制 | permissible price range |
| 价格校验范围 | Price Scan Range |
| 价格校正利息 | price alignment interest (PAI) |
| 价格趋同 | price convergence |
| 价内；实值* | in-the-money |
| 价内期权 | in-the-money option |
| 价外；虚价；虚值 | out-of-the-money |
| 价外期权 | out-of-the-money option |
| 价位 | spread |
| 价位表 | Spread Table |
| 价位价格比率 | tick-to-price ratio |
| 价位值 | tick value |
| 价值稳定的货币 | hard currency |
| 价值状况 | moneyness |
| 基差交易 | basis trading |
| 坚定承诺【包销】 | firm commitment 【underwriting】 |
| 监察主任 | compliance officer |
| 监督及监控金融市场基建的技术规则 【国际货币基金组织】 | Technical Note on Oversight and Supervision of Financial Market Infrastructures 【IMF】 |
| 监管 | regulation |

| | |
|--------------|---|
| 《监管合作备忘录》 | Memorandum of Regulatory Cooperation (MORC) |
| 监管豁免 | no-action relief; regulatory action exemption |
| 监管机构 | regulatory body |
| 监管监察 | regulatory oversight |
| 监管科技 | Regtech |
| 监管套戥 | regulatory arbitrage |
| 监管制度 | regulatory regime |
| 监事【内地】 | supervisor【Mainland】 |
| 监事会【内地】 | supervisory committee【Mainland】 |
| 简易资讯整合服务 | RSS service |
| 减价拍卖 | Dutch auction |
| 减佣经纪 | discount broker |
| 建议最佳常规 | recommended best practice |
| 将股票化零为整 | jumbomize |
| 交叉货币掉期 | cross currency swap (CCS) |
| 交叉连接 | Cross Connects (XCN) |
| 交叉买卖；交叉盘买卖 | crossed trade; cross trade; crossing |
| 交叉盘时段 | crossing session |
| 交叉盘网络 | crossing network |
| 交叉盘系统 | crossing system |
| 交错到期组合 | staggering maturities |
| 交付；交割* | delivery |
| 交割结算价* | final settlement price |
| 交收 | settlement |
| 交收报告【中央结算系统】 | Settlement Report【CCASS】 |

| | |
|------------------|--|
| 交收风险 | settlement risk |
| 交收积压 | settlement backlog |
| 交收期 | settlement period |
| 交收日 | settlement date |
| 交收上限 | settlement cap |
| 交收银行 | settlement bank |
| 交收指示 | settlement instruction (SI) |
| 交收指示的交易 | SI transaction |
| 交收指示活动报告【中央结算系统】 | SI Activity Report 【CCASS】 |
| 「交收指示」交易 | settlement instruction transaction |
| 交收指示整批传送【中央结算系统】 | Settlement Instruction Batch Upload 【CCASS】 |
| 交收指示状况报告【中央结算系统】 | SI Status Report 【CCASS】 |
| 交投畅旺 | heavy trading |
| 交投淡静 | quiet trading |
| 交投疏落 | light trading |
| 交易参数 | trading parameter |
| 交易查讯 | trading inquiry |
| 交易大堂 | trading floor; trading hall |
| 交易单位 | trading unit |
| 交易对手 | counterparty |
| 交易分仓 | trade allocation |
| 交易费 | Trading Fee |
| 交易工作站 | trading workstation |
| 交易柜位；交易席位*；交易单元* | trading booth |
| 交易及结算综合系统 | integrated trading and clearing system |

| | |
|---|--|
| 交易纪录价值 | ticker value |
| 交易量 | trading capacity |
| 交易流通速度 / 流通比率 / 周转率 / 转手率 / 流转率 / 换手率* | turnover rate; velocity |
| 交易能力 | trading capacity |
| 交易前检查 | pre-trade checking |
| 交易前时段 | Pre-Trading Period |
| 交易圈 / 交易场 | pit; trading pit |
| 交易权 | Trading Right |
| 交易日 | trading day |
| 交易日表 | trading calendar |
| 交易商 | dealer |
| 交易商承约报告 | Commitments of Traders (COT) report |
| 交易设施 | trading facilities |
| 交易市场 | secondary market; after market / aftermarket |
| 交易所参与者 | Exchange Participant |
| 交易所参与者及联交所交易权持有人名录 | List of Exchange Participants & Holders of Stock Exchange Trading Rights |
| 交易所参与者证明书 | Exchange Participant Certificate |
| 《交易所规则》 | Rules of the Exchange |
| 交易所会议厅 | Exchange Auditorium |
| 交易所交易权证明书 | Exchange Trading Right Certificate |
| 交易所买卖产品 ; 场内交易产品 | exchange traded product (ETP) |
| 交易所买卖基金 ; 交易所交易基金* | exchange traded fund (ETF) |
| 交易所买卖票据 | exchange traded certificate (ETC); exchange traded note (ETN) |
| 交易所买卖商品 | exchange traded commodity |

| | |
|----------------------------------|---|
| 交易所买卖之期权 | exchange traded option |
| 交易所展览馆 | Exchange Exhibition Hall |
| 交易通 (人证港币交易通) | TSF (RMB Equity Trading Support Facility) |
| 交易通参与者 | TSF Participant |
| 交易系统使用费 | trading tariff |
| 交易型开放式指数证券投资基金* ; 交易型开放式指数基金* | exchange traded fund (ETF) |
| 交易议价板 | Bulletin Board |
| 交易征费 | Transaction Levy |
| 交易转移【期权】 | trade give-ups 【options】 |
| 交易资料储存库 | trade repository |
| 缴入股本 | paid-up capital; paid-in capital |
| 缴足股本 | fully paid-up capital |
| 接驳站收费 | port connection fee |
| 接管收购* | takeover |
| 接价盘 | accept order |
| 接口费 | port connection fee |
| 接收【期权】 | take-up 【options】 |
| 接受存款公司 | deposit-taking company (DTC) |
| 「街名」股票 | “street name” share certificate |
| 结构化布线系统 | structured cabling system |
| 结构型基金 | structured fund |
| 结构性产品综合处理系统 | Structured Products Integrated Transaction System (SPRINTS) |
| 结清 | close out |
| 结算 | clearing |

| | |
|-----------------|--|
| 结算保证金；结算担保金 | Settlement Guarantee Fund |
| 结算备付金；结算准备金 | Settlement Reserve Fund |
| 结算备付金比率 | Settlement Deposit Rate |
| 结算参与者 | clearing participant |
| 结算参与人* | clearing participant |
| 结算风险委员会 | Clearing Risk Committee |
| 结算服务热线中心 | Clearing Service Call Centre |
| 结算会籍 / 结算会员资格 | clearing membership |
| 结算机构参与者 | Clearing Agency Participant |
| 结算价 | clearing price |
| 结算门户网站【场外结算公司】 | OTC Account Services Information System (OASIS) 【OTC Clear】 |
| 结算所 | clearing house |
| 结算所参与者 | Clearing House Participant |
| 结算所电子附属登记系统【澳洲】 | Clearing House Electronic Subregister System (CHESS) 【Australia】 |
| 结算所基金 | Clearing House Funds |
| 「结算通」电话系统 | CCASS Phone System |
| 结算协议书 | clearing agreement |
| 结算咨询小组 | Clearing Consultative Panel |
| 结转【会计】 | carried forward 【accounting】 |
| 节流率 | throttle rate |
| 截止过户期间 | book closure period |
| 截止过户日期 | book close date |
| 借贷资本 | loan capital |
| 借额 | debit |
| 借方结余 | debit balance |

| | |
|--------------------------|---|
| 借款股 | loan stock |
| 借壳上市 | backdoor listing |
| 界面联系 | interfacing |
| 界内证 | inline warrant |
| 介绍代理人 | introducing agent |
| 介绍经纪人* | introducing broker |
| 介绍形式上市 | listing by introduction |
| 金边证券 | gilt-edged securities |
| 金衡制盎司 | fine troy ounce |
| 金融大改革【英国】 | Big Bang【UK】 |
| 金融发展局（金发局） | Financial Services Development Council (FSDC) |
| 《金融服务法》【英国】 | Financial Services Act【UK】 |
| 金融服务网络 | FinNet |
| 金融工具 | financial instrument |
| 《金融工具市场指令 II》(MiFID II) | Markets in Financial Instruments Directives II (MiFID II) |
| 金融科技督导小组 | Steering Group on Financial Technologies |
| 金融科技联络办事处 | Fintech Contact Point |
| 金融科技咨询小组 | Fintech Advisory Group |
| 金融基础设施督导委员会 | The Steering Committee on the Enhancement of Financial Infrastructure (SCEFI) |
| 金融机构 | financial institution |
| 金融监督管理委员会（金管会）【台湾】 | Financial Supervisory Commission【Taiwan】 |
| 金融业评估计划；金融体系评估计划；金融界评估计划 | Financial Sector Assessment Program |
| 金融纠纷调解中心有限公司（调解中心） | Financial Dispute Resolution Centre Ltd (FDRC) |

| | |
|------------------------|--|
| 金融期货 | financial futures |
| 金融市场 | financial market |
| 《金融市场基建的原则》 | Principles for Financial Market Infrastructures (PFMI) |
| 金融市场基准原则【国际证监会组织】 | Principles for Financial Benchmarks【IOSCO】 |
| 金融数据交换平台 | Financial Data Exchange Platform (FDEP) |
| 金融衍生产品 | financial derivatives |
| 金融债* | financial bond |
| 金融中介机构/团体 | financial intermediary |
| 金融中介现象 | financial intermediation |
| 金融租赁* | financial lease |
| 金银业贸易场 | The Chinese Gold and Silver Exchange Society (CGSE) |
| 金银证券交易所(1971 年-1986 年) | The Kam Ngan Stock Exchange (1971-1986) |
| 金砖联盟市场 | BRICSMART |
| 紧急贷款者 | lender of last resort |
| 紧密联系人 | close associate |
| 紧缩措施 | austerity measures |
| 近价盘 | about order |
| 近价期权 | near-the-money option |
| 进项增值税 | input VAT |
| 尽职审查 | due diligence |
| 禁止买卖期；限制买卖期 | “black out” period |
| 经办人 | manager |
| 经办银行 | administering bank |
| 经常账 | current account |

| | |
|------------------|---|
| 经纪参与者【中央结算系统参与者】 | Broker Participant【CCASS Participants】 |
| 经纪行 | brokerage |
| 经纪后勤办公室支援服务 | Brokers' Electronic Support Services (BESS) |
| 经纪交易 | agency trade |
| 经纪交易商 | broker-dealer |
| 经纪佣金 | brokerage |
| 经纪忠诚保险计划 | Brokers' Fidelity Insurance Scheme (BFI) |
| 经纪忠诚保险计划委员会 | Brokers' Fidelity Insurance Committee |
| 经纪自设系统 | Broker Supplied System (BSS) |
| 经济合作与发展组织 | Organisation for Economic Co-operation and Development (OECD) |
| 经济自由指数 | Index of Economic Freedom |
| 经扩大股本 | enlarged share capital |
| 经审核账目 | audited accounts |
| 经营租赁 | operating lease |
| 净额按金计算 | net margining |
| 净额结算；对销 | netting |
| 净零金融服务提供者联盟 | Net Zero Financial Service Providers Alliance (NZFSPA) |
| 《净零碳排放建筑承诺》 | Net Zero Carbon Building Commitment |
| 净逆差额缴款 | net unfavourable marks |
| 竞价对盘交易 | Auction Matching Trade |
| 竞价盘 | at-auction order |
| 竞价市场 | auction market |
| 竞价投标 | auction |
| 竞价限价盘 | at-auction limit order |

| | |
|-------------------------------|--|
| 《境内企业境外发行证券和上市管理试行办法》 | Trial Administrative Measures of Overseas Securities Offering and Listing by Domestic Companies domestic securities |
| 境内证券 | |
| 《关于进一步加强在境外发行股票和上市管理的通知》【国务院】 | Notice of the State Council on Further Strengthening Management of Issuance and Listing of Shares Overseas【State Council】 |
| 境外上市外资股【内地】 | overseas listed foreign share 【Mainland】 |
| 静态资讯 | static information |
| 精选层【新三板】 | SELECT>Select Layer【NEEQ】 |
| 净值比率 | net worth ratio |
| 九倍限制规则 | 9-times Restriction Rule |
| 九龙证券交易所(1972年-1986年) | The Kowloon Stock Exchange (1972-1986) |
| 救市贷款 | Lifeboat Loan |
| 救市特别交易征费 | “Lifeboat” levy |
| 狙击手【收购】 | predator【takeover】 |
| 举报政策 | whistleblowing policy |
| 拒纳信 | Rejection Letter |
| 巨灾债券 | catastrophe bond (cat bond) |
| 均衡价格 | equilibrium price |

* Terms commonly used in the Mainland
内地用语

K

| | |
|------------------------|--|
| 开仓合约 | opening contract |
| 开仓交易 | opening transaction |
| 开放式基金 | open-end fund |
| 开放式基金型公司制度 | open-ended fund company (OFC) regime |
| 开价盘 | quote |
| 开价盘要求 | quote request |
| 开盘集合竞价；开市集合竞价 | opening call auction |
| 开盘价 | opening price |
| 开盘状况报告 | quote maintenance report |
| 开市报价规则 | opening quotations rules |
| 开市分配时段【HKATS】 | open allocation session 【HKATS】 |
| 开市价 | opening price |
| 开市集合竞价；开盘集合竞价 | opening call auction |
| 开市集合竞价时段 | opening call auction session |
| 开市盘 | open order; at-the-opening order |
| 开市前分配时段【HKATS】 | pre-open allocation session 【HKATS】 |
| 开市前时段；开市前议价时段 | pre-market opening session |
| 开市前议价机制【期货】 | Pre-market Opening Mechanism 【futures】 |
| 《开展境内个人直接投资境外证券市场试点方案》 | Pilot Program for Direct Foreign Portfolio Investments by Domestic Individuals |
| 凯伯里报告书【英国】 | Cadbury Report 【UK】 |
| 凯伯里委员会【英国】 | Cadbury Committee 【UK】 |
| 凯利板 | Catalist |
| 「看跌」股票挂钩票据 | Bear Equity Linked Instrument (Bear ELI) |

| | |
|------------------------|---|
| 看跌期权 | put option |
| 「看涨」股票挂钩票据 | Bull Equity Linked Instrument (Bull ELI) |
| 看涨期权 | call option |
| 刊发后始审阅 | post-vetting |
| 科创板【上交所】 | STAR Market 【SSE】 |
| 科学基础减碳目标倡议组织 | Science Based Targets initiative (SBTi) |
| 可变利益实体；协议控制* | Variable Interest Entity (VIE) |
| 可变名义掉期 | variable notional swap |
| 可变投票权股份 | variable voting share |
| 《可持续发展报告指南》第三版 | G3 Sustainability Reporting Guidelines |
| 可持续发展核证影响标准 | Sustainable Development Verified Impact Standard (SD VISta) |
| 可持续发展目标 | Sustainable Development Goal (SDG) |
| 可持续核算准则委员会；永续会计准则委员会 | Sustainability Accounting Standards Board (SASB) |
| 可持续及绿色交易所 (STAGE) 平台 | Sustainable and Green Exchange (STAGE) |
| 可分派溢利 | distributable profit |
| 可交换债券 | exchangeable bond |
| 可见流动性 | visible liquidity |
| 可交收外汇合约 | foreign exchange deliverables |
| 可进行保证金交易的合资格上交所证券名单 | List of Eligible SSE Securities for Margin Trading |
| 可进行保证金交易的合资格深交所证券名单 | List of Eligible SZSE Securities for Margin Trading |
| 可扩展标记语言 | Extensible Markup Language |
| 可扩展商业报告语言 | eXtensible Business Reporting Language (XBRL) |
| 可卖空的合资格沪股通证券名单 | List of Eligible SSE Securities for Short Selling |

| | |
|----------------|---|
| 可卖空的合资格深股通证券名单 | List of Eligible SZSE Securities for Short Selling |
| 可赎回股份 | redeemable share |
| 可行性研究 | feasibility study |
| 可以互换或对销 | fungible |
| 可用年限 | useful life |
| 可转换/可换股可赎回票据 | convertible redeemable note |
| 可转换/可换股票据 | convertible note |
| 可转换/可换股债券 | convertible bond |
| 可转换/可换股证券 | convertible securities |
| 可转让定期存单；同业存单 | negotiable certificate of deposit (NCD) |
| 可转让票据 | negotiable instrument |
| 可转让证券集体投资计划 | Undertakings in Collective Investments in Transferable Securities (UCITS) |
| 客场中央结算所 | Participant Clearing House |
| 客户按金 | client margin |
| 客户按金对销账户 | Client Offset Claim Account |
| 客户户口 | client account |
| 《客户身分规则的政策》 | Client Identity Rule Policy |
| 客户识别信息 | Client Identification Data (CID) |
| 客户通告 | client notice |
| 客户协议书/合约 | client's agreement |
| 客户注册庄家 | Client Registered Trader |
| 空仓/空头* | bear position; short position |
| 控股公司 | holding company |
| 控股股东 | controlling shareholder |
| 控股权益 | controlling interest |

| | |
|-------------------|---|
| 控权公司 | holding company |
| 控权股东 | controlling shareholder |
| 控权人 | controller |
| 口头竞价/口头唱价*【=公开喊价】 | auction【= open outcry】 |
| 扣减(率) | haircut; discount rate |
| 库存股份/股票 | treasury share; treasury stock |
| 跨产品按金 | cross margin |
| 跨柜台转换 | inter-counter transfer |
| 跨国多重上市 | mutual cross-listing |
| 跨货币掉期 | cross currency swap |
| 跨价；跨期式组合 | spread |
| 跨价买卖 | price spread; vertical spread; spread trading |
| 跨价权证 | spread warrant |
| 跨价衍生权证 | call spread derivative warrant |
| 跨境上市 | cross-border listing; cross listing |
| 跨境网关入口 | cross-border access portal |
| 跨期按金 | spread rate |
| 跨期买卖 | spread trading |
| 跨期买卖 | calendar spread; time spread; horizontal spread |
| 跨期组合 | calendar spread |
| 跨日净额交收 | cross-day netting |
| 跨商品组合 | inter-commodity spread |
| 跨市场按金制度 | cross margining |
| 跨市场抵押品 | cross collateral; cross-collateralisation |
| 跨式套利*【期权】 | straddle【options】 |

| | |
|---------------|---|
| 跨司法区招股活动 | multi-jurisdictional equity offering |
| 会计处理方式 | accounting treatment |
| 会计惯例/实务 | accounting practice |
| 会计及财务汇报局（会财局） | Accounting and Financial Reporting Council (AFRC) |
| 会计期间 | accounting period |
| 会计师报告 | accountants' report |
| 《会计实务准则》 | Statement of Standard Accounting Practice (SSAP) |
| 会计准则/标准 | accounting standard |
| 会员制转为股份制 | demutualisation |
| 快闪盘 | flash order |
| 宽跨式套利* | long strangle |
| 宽限期 | grace period |
| 款项过户系统 | money transfer system |
| 款项记账户口 | money ledger account |
| 款项交收费 | money settlement fee |
| 款项净额结算每日平均效率 | daily average funds netting efficiency |
| 款项预缴服务 | cash prepayment service |

* Terms commonly used in the Mainland
内地用语

L

| | |
|---------------------|--|
| 「来回」期权交易 | "round trip" option transaction |
| 蓝筹股 | blue chip |
| 老鼠仓活动 | rat trading; scalping |
| 「勒束式」股票挂钩票据 | Range Equity Linked Instrument (Range ELI) |
| 勒束式组合【期权】 | strangle 【options】 |
| 《类别豁免公告》 | Class Exemption Notice |
| 累积认购期权合约/累计期权 | accumulator |
| 累积认沽期权合约/累计期权 | decumulator |
| 累积投票制* | cumulative voting |
| 累计/累积垫款 | cumulative advance |
| 累计/累积利润 | accumulated profits |
| 累计/累积利息 | accumulated interest |
| 累计/累积折旧 | accumulated depreciation |
| 累计投标制；簿记建档*；询价制* | book building |
| 冷淡对待令 | cold shoulder order |
| 离岸调期 | offshore swap |
| 离岸基金 | offshore fund |
| 离岸盈利重组 | offshore profit regrouping |
| 离场价；平仓位 | exit price |
| 离场交易 | off-floor trading; off-board trading |
| 离场买卖盘 | off-floor order |
| 理论性参考价格系统【期货】 | Theoretical Indicative Pricing System (TIPS) 【futures】 |
| 利差交易；套利交易；套息交易；调期交易 | carry trade / carry trading |

| | |
|-------------------------------|--|
| 利率掉期/利率调期；调期息率* | interest rate swap (IRS) |
| 利率掉期期货 | Interest Rate Swap Futures |
| 利率期货 | interest rate futures |
| 利率上限 | interest rate ceiling |
| 利率衔接 | interest collar; interest rate collar |
| 利润 | profit |
| 利润警告* | profit warning |
| 利息补贴【内地】 | interest rate subsidy 【Mainland】 |
| 利息资本化 | capitalisation of interest |
| 利益冲突事宜委员会 | Conflict Committee |
| 利益相关者；持份者；权益人；干系人*； 利益攸关者* | stakeholder |
| 历史波幅 | historical volatility |
| 历史成本 | historical cost |
| 历史起息交易 | backdated trade |
| 立约成价 | contracted price |
| 立约价值 | contracted value |
| 联邦基金 | Federal funds |
| 联邦基金利率 | Federal funds rate |
| 《联合国可持续发展目标》 | United Nations Sustainable Development Goals (UNSDGs) |
| 联合国可持续发展证券交易所计划 | United Nations Sustainable Stock Exchanges |
| 《联合国气候变化框架公约》 | United Nations Framework Convention on Climate Change (UNFCCC) |
| 《联合国责任投资原则》 | United Nations Principles for Responsible Investment (UNPRI) |
| 联合交易所赔偿基金 | Unified Exchange Compensation Fund |
| 联合受托人 | co-trustee |

| | |
|-----------------|--|
| 联机界面联系 | on-line interface |
| 《联交所参与者市场占有率报告》 | Stock Exchange Participants' Market Share Report |
| 联交所交易权 | Stock Exchange Trading Right |
| 联交所期权结算所参与者 | SEOCH Participant |
| 联交所期权结算所抵押品 | SEOCH collateral |
| 联接基金 | feeder fund |
| 联接架构 | master-feeder structure |
| 联名个人投资者户口 | Joint Individual Investor Account |
| 联属公司 | affiliated company; affiliate |
| 联网 | networking |
| 联席保荐人 | co-sponsor |
| 联席经办人 | co-manager |
| 联席临时清盘人 | joint provisional liquidators |
| 联系汇率 | pegged exchange rate |
| 联系汇率制 | pegged rate system |
| 联系人 | associate |
| 联系设施【电脑】 | gateway 【computer】 |
| 联系证明书/信心保证书 | comfort letter |
| 联线投资服务 | on-line investment service |
| 联营公司 | associated company; associate company; associate |
| 连任多年独董 | Long Serving INED |
| 连锁关系原则 | chain principle |
| 连锁关系原则要约 | chain principle offer |
| 连续竞价 | continuous auction |
| 两边开盘 | two-way quote |

| | |
|--------------------|---|
| 两边客成交；两边客交易 | direct business; direct business transaction |
| 两边客交易；两边客成交 | direct business; direct business transaction |
| 两边客买卖 | crossed Exchange Trade |
| 两边客买卖盘 | two-sided order |
| 临时公告 | holding announcement |
| 临时结算表 | Provisional Clearing Statement (PCS) |
| 临时清盘人 | provisional liquidator |
| 零对冲值避险 | delta hedge |
| 零股* | odd lot |
| 零行使价衍生权证 | zero strike derivative warrant |
| 零和游戏 | Zero-sum game |
| 零交易日 | zero-trading day |
| 零售资讯服务 | retail information service |
| 零息债券 | zero coupon bond |
| 聆讯后资料集 | Post Hearing Information Pack (PHIP) |
| 领航星交易平台 | Orion Trading Platform (OTP) |
| 领航星衍生产品平台 | Orion Derivatives Platform (ODP) |
| 領航星中央交易网关 — 证券市场 | Orion Central Gateway – Securities Market (OCG-C) |
| 领航资深独立投资者 | pathfinder sophisticated independent investor |
| 另类交易平台 | alternative liquidity pool (ALP) |
| 另类投资 | alternative investment |
| 《另类投资基金经理指令》【欧洲联盟】 | Alternative Investment Fund Managers Directive (AIFMD) 【European Union】 |
| 另项投资市场；另类投资市场【英国】 | Alternative Investment Market (AIM) 【UK】 |
| 另选登记服务 | optional registration service |
| 留成资金/保留资金 | retained capital |

| | |
|---|---|
| 留存股票 | treasury share; treasury stock |
| 留存溢利/盈利 | retained profits |
| 留存收益 | retained income |
| 留存盈利；保留盈利 | retained earnings |
| 流动数据 | streaming data |
| 流动性不足/流通性不足 | illiquidity |
| 流动性管理中心 | liquidity hub |
| 流动资产 | liquid asset |
| 流动资金 | liquid capital |
| 流动资金比率/幅度 | liquidity ratio; liquidity margin |
| 流动资金调节窗 | Liquidity Adjustment Window (LAW) |
| 流动资金调节机制【金管局】 | Liquidity Adjustment Facility (LAF) 【HKMA】 |
| 流通比率 / 交易流通速度 / 周转率 / 转手率 / 流转率 / 换手率* | turnover rate; velocity |
| 流通风险 | liquidity risk |
| 流通股【内地】 | tradable share; negotiable share 【Mainland】 |
| 流通量提供者 | liquidity provider |
| 流通市值【内地】 | negotiable market capitalisation 【Mainland】 |
| 流动性；流动性* | liquidity |
| 流转率 / 流通比率 / 交易流通速度 / 周转率 / 转手率 / 换手率* | turnover rate; velocity |
| 路演；巡回推介 | roadshow |
| 《绿色产业指导目录》 | Green Industry Catalogue |
| 绿色和可持续金融跨机构督导小组 | Green and Sustainable Finance Cross-Agency Steering Group |

| | |
|--------------|--|
| 绿色和可持续金融中心 | The Centre for Green and Sustainable Finance |
| 绿色金融认证计划 | Green Finance Certification Scheme |
| 《绿色债券支持项目目录》 | Green Bond Endorsed Project Catalogue |
| 绿色债券资助计划 | Green Bond Grant Scheme |
| 绿鞋期权* | greenshoe option |
| 伦敦国际金融期货交易所 | NYSE Liffe |
| 伦敦期权市场 | London Traded Options Market (LTOM) |
| 伦敦证券交易所 | London Stock Exchange (LSE) |
| 落盘 | placing an order |

* *Terms commonly used in the Mainland*
内地用语

M

| | |
|------------|---|
| 孖展 | margin |
| 孖展覆盖率 | margin coverage ratio |
| 孖展客户 | margin client |
| 孖展买卖 | margin trading |
| 孖展融资 | margin financing |
| 马鞍式组合【期权】 | straddle 【options】 |
| 买断式回购* | buyout repo |
| 买家 | bidder |
| 买价/买盘价 | bid price |
| 买卖差价 | bid-asked spread |
| 买卖单据 | contract note |
| 买卖单位 | board lot |
| 买卖惯例 | dealing practice |
| 买卖盘 | order |
| 买卖盘变动 | order book changes (OBC) |
| 买卖盘差额 | order imbalance |
| 买卖盘处理量 | order throughput rate |
| 买卖盘传递 | order routing |
| 买卖盘传递系统 | Order Routing System (ORS); router system |
| 买卖盘管理系统 | Order Management System (OMS) |
| 买卖盘及交易纪录服务 | Order and Trade File Services |
| 买卖盘纪录 | order book |
| 买卖盘价值限制 | order consideration limit |

| | |
|----------------------------|--|
| 买卖盘输入 | order entry |
| 买卖盘通过量 | order throughput rate ; throughput rate; transaction throughput |
| 买卖盘纸 | deal ticket |
| 买卖因公众持股量不足而停牌证券的申报表 | Form for Reporting Dealings in Securities Suspended due to Insufficient Public Float |
| 买卖指示 | order |
| 买盘 | buy order |
| 买盘成交 | buy trade value |
| 买壳 | acquisition of shells |
| 买入期权 | call option |
| 「买者自负」原则 | “let the buyer beware” principle; “Caveat Emptor” (let the buyer beware) |
| 卖家【期权】 | writer 【options】 |
| 卖价 | offer price |
| 卖空 | short selling / short sale |
| 卖空股份总额 | short interest |
| 卖空价规则 | tick rule |
| 卖空空仓 | open short position |
| 卖空卖方 | short seller |
| 卖空证券 | Short Selling Securities |
| 卖盘 | sell order |
| 卖盘成交 | sell trade value |
| 卖盘价 | ask price; asked price |
| 锚定投资者* | anchor investor |
| 没有利益关系的股东 | disinterested shareholder |
| 没有预先借货的卖空活动；无担保卖空；无 货沽空 | naked short selling |

| | |
|-----------------|--|
| 每股盈利 | earnings per share (EPS) |
| 每股有形资产净值 | net tangible assets per share |
| 每股市值净值 | net asset value per share |
| 每日按金 | daily margin |
| 每日按金要求 | daily margin call |
| 每日回报标准差 | standard deviation of daily return |
| 每日额度余额 | daily quota balance |
| 每日价格波动限幅 | daily price swing limit |
| 每日价格上限 | daily trading limit |
| 每日交易活动及持仓报告【期货】 | Daily Trading Activity and Open Positions Summary Report 【futures】 |
| 每日结算价 | daily settlement price |
| 每日平均交收效率 | daily average settlement efficiency |
| 每周恒生科技指数期权 | Weekly Hang Seng TECH Index Options |
| 每周恒生指数期权 | Weekly Hang Seng Index Options |
| 每周恒生中国企业指数期权 | Weekly Hang Seng China Enterprises Index Options |
| 美国本土债券 | Yankee bond |
| 美国存管信托公司 | Depository Trust Company (DTC) 【US】 |
| 美国存管信托及结算公司 | Depository Trust & Clearing Corporation (DTCC) 【US】 |
| 美国国家标准技术研究所 | National Institute of Standards and Technology 【US】 |
| 美国国家经济研究局 | National Bureau of Economic Research 【US】 |
| 美国联邦储备系统 | Federal Reserve System 【US】 |
| 美国联邦结算系统 | Fed wire; Fedwire; FedWire 【US】 |
| 美国联邦公开市场委员会 | Federal Open Market Committee (FOMC) 【US】 |

| | |
|----------------------------------|--|
| 美国联邦国家房屋贷款协会 (房利美) | Federal National Mortgage Association (Fannie Mae) 【 US 】 |
| 美国联邦住宅贷款抵押公司 (房贷美) | Federal Home Loan Mortgage Corporation (Freddie Mac) 【 US 】 |
| 美国全国证券交易商协会自动报价系统/美国 纳斯达克证券市场 | National Association of Securities Dealers Automated Quotations (NASDAQ) |
| 美国商会 | American Chamber of Commerce (AMCHAM) |
| 美国预托证券 ; 美国存托凭证* | American depositary receipt (ADR) |
| 美国证券交易所 | American Stock Exchange (AMEX) |
| 美式期权 | American style option |
| 迷你债券 | mini-bond |
| 免费实时基本报价网站服务 (免费网站报价 服务) | Free Real-time Basic Market Prices Website Service (Free Prices Website Service) |
| 免责声明 | disclaimer |
| 面值 | face value; nominal value |
| 民企股 (香港上市) | P chip |
| 敏感度分析 | sensitivity analysis |
| 名义持有人 | nominee; nominee holder |
| 名义汇率 | nominal exchange rate |
| 名义价格* | nominal price |
| 名义价值 | notional value |
| 摩根大通国债指数—新兴市场环球多元化指 数 | JP Morgan Government Bond Index- Emerging Markets Global Diversified Index |
| 模拟交易 | mock trading |
| 模拟系统 | simulation system |
| 母公司 | parent company; holding company |
| 木兰债 | Mulan Bond (SDR Bond) |

目标可赎回远期合约

target redemption forward contract

穆迪投资评级

Moody's Investment Grade

* *Terms commonly used in the Mainland*

内地用语

N

南向交易

Southbound trading

内部核数师

internal auditor

内部稽核

internal audit

内部监控

internal control

内部谴责

internal censure

内部碳价格

internal carbon price

内地技术中心

Mainland Technology Centre

内地结算备付金

Mainland Settlement Deposit

内地市场行情合作协议计划

Mainland Market Data Collaboration
Programme

内地市场数据发布伙伴计划

Mainland Market Data Distribution
Partnership Programme

内地市场数据枢纽

Mainland Market Data Hub (MMDH)

内地银行间债券市场

China interbank bond market (CIBM)

内地与香港基金互认安排

Mainland-Hong Kong mutual recognition
of funds

《内地与香港关于建立更紧密经贸关系的安排
— 与证券及期货人员资格有关的安排》

Mainland/Hong Kong Closer Economic
Partnership Arrangement –
Arrangements relating to Qualifications
of Securities and Futures Industry
Practitioners

内地证券结算保证金

Mainland Security Deposit

内地证券结算风险基金

Mainland Clearing Risk Fund

内联网

intranet

内幕交易

insider dealing

| | |
|-----------------|--|
| 内幕交易审裁处 | Insider Dealing Tribunal |
| 内幕交易者 | insider dealer |
| 内幕消息 | inside information |
| 《内幕消息披露指引》【证监会】 | Guidelines on Disclosure of Inside Information 【SFC】 |
| 内在衍生工具 | embedded derivative |
| 内在值 | intrinsic value |
| 内资股【内地】 | domestic share【Mainland】 |
| 拟定开市价 | Calculated Opening Price (COP) |
| 逆差额【中央结算系统】 | unfavourable marks【CCASS】 |
| 逆向投资者 | contrarian |
| 逆周期因子 | counter-cyclical factor |
| 逆转交易【期权】 | trade reversals【options】 |
| 逆转交易合约【期权】 | reversal contract【options】 |
| 匿名交易；隐名交易 | anonymous trading |
| 年报 | annual report |
| 年度股东大会* | annual general meeting (AGM) |
| 年度账目 | annual accounts |
| 年结日 | balance sheet date |
| 年金* | pension fund |
| 牛市 | bull market |
| 牛熊证 | Callable Bull/Bear Contract |
| 纽约泛欧交易所集团 | NYSE Euronext (NYX) |

* Terms commonly used in the Mainland
内地用语

O

| | |
|---------------------|--|
| 欧式期权 | European style option |
| 欧洲复兴及开发银行 (即世界银行) | European Bank of Reconstruction and Development (EBRD) (<i>ie</i> World Bank) |
| 欧洲货币债券 | Eurobond |
| 欧洲清算系统 | Euroclear |
| 欧洲清算银行 | Euroclear Bank |
| 欧洲经济及货币联盟 | European Economic and Monetary Union (EMU) |
| 欧洲可换股担保债券 | Euro-convertible guaranteed bond |
| 欧洲市场基础设施监管规则 | European Market Infrastructure Regulation (EMIR) |
| 欧洲债券 | Eurobond |
| 欧洲证券及市场管理局 | European Securities and Markets Authority |

P

| | |
|----------------|-----------------------------------|
| 扒头交易 | front running |
| 排媒现象 | disintermediation |
| 排期申请表格 | advance booking form |
| 牌照 | licence |
| 派送股份/红股 | bonus issue |
| 盘 | order; position |
| 盘存 | inventory |
| 盘房 | dealing room |
| 盘后* | after-hour |
| 盘后交易；收市后交易 | after-hours trading |
| 盘纸 | order form |
| 盘中* | intra day |
| 盘中竞价时段 | mid-session auction |
| 盘中临时停牌*/ 盘中停牌* | trading suspension |
| 抛空 | short selling / short sale |
| 赔偿基金储备账 | Compensation Fund Reserve Account |
| 赔偿委员会 | Compensation Committee |
| 配对交易 | pairs trade; pair trading |
| 配发 | allotment |
| 配售 | placing |
| 配售代理 | placing agent |
| 配售经办人；账簿管理人 | book runner |
| 配售新股 | rights issue |
| 披露/披露事项 | disclosure |

| | |
|-----------------|--|
| 披露权益 | disclosure of interests |
| 「披露易」网站 | HKEXnews website |
| 「啤打」系数 | beta coefficient |
| 偏离值 | stray value |
| 票据交换所自动转账系统 | Clearing House Automated Transfer System (CHATS) |
| 票据交换所自动转账系统付款指示 | CHATS Payment Instruction |
| 票据密集交收 | paper intensive settlement |
| 票面利率 | coupon; coupon rate |
| 票面息率 | coupon; coupon rate |
| 票面值 | par value |
| 撇销 | write off |
| 平仓 | close out; cover; position squaring |
| 平仓重开 | position reopening |
| 平仓合约 | closing contract |
| 平仓位；离场价 | exit price |
| 平仓交易 | closing transaction |
| 平衡价格 | equilibrium price |
| 平衡价值 | parity value |
| 平衡项目 | balancing item |
| 平价【期权】 | parity【options】 |
| 平价期权 | at-the-money option |
| 平均价盘 | average value order |
| 平均结算权证 | Average Return Warrant |
| 平均每日成交额 / 日均成交量 | average daily turnover (ADT) |
| 平买入仓【期权】 | closing buy【options】 |
| 平卖出仓【期权】 | closing sale【options】 |

| | |
|-------------|---|
| 平台接入协议 | platform access agreement |
| 凭证式附属登记册 | certificated sub-register |
| 凭证式股东 | certificated shareholder |
| 凭证式国库券【内地】 | Certificate Treasury【Mainland】 |
| 彭博巴克莱全球综合指数 | Bloomberg Barclays Global Aggregate Index |
| 普氏全球金属奖 | Platts Global Metals Awards |
| 普通股 | ordinary share |
| 普通债券 | straight bond |

* Terms commonly used in the Mainland

内地用语

Q

| | |
|----------------|--|
| 期初存货 | opening stock |
| 期货低水；期货贴水；贴水 | backwardation |
| 期货高水；期货升水；升水 | contango |
| 期货经纪商【台湾】 | Futures Commission Merchant【Taiwan】 |
| 期货赔偿基金委员会【证监会】 | Futures Compensation Fund Committee 【SFC】 |
| 期末存货 | closing stock |
| 期权 | option |
| 期权长仓合约 | long options contract |
| 期权持仓 | option position |
| 期权持有人 | option holder |
| 期权定价 | option valuation |
| 期权定价模式 | option pricing model |
| 期权短仓 | short option |
| 期权短仓合约 | short options contract |
| 期权费用 | options tariff |
| 期权合约 | option contract |
| 期权合约净持仓 | net open options contract; net options position |
| 期权交付指令 | options delivery instruction |
| 期权交易代表 | Options Trading Representative |
| 《期权交易规则》 | Options Trading Rules |
| 期权交易确认书 | options trade confirmation |
| 期权交易主任 | Options Trading Officer |
| 期权交易主任及代表考试 | Options Trading Officer and Representative Examinations |

| | |
|--------------------|---|
| 《期权结算规则》 | Options Clearing Rules |
| 期权结算主任 | Options Clearing Officer |
| 期权结算主任考试 | Options Clearing Officer Examination |
| 期权金 | premium |
| 期权金成交额 | premium turnover |
| 期权经纪交易所参与者 | Options Broker Exchange Participant (OBEP) |
| 期权客户协议书 | Options Client's Agreement |
| 期权类别 | option class |
| 期权买方 | option buyer |
| 期权买卖交易所参与者 | Options Trading Exchange Participant (OTEP) |
| 《期权买卖交易所参与者交易运作程序》 | Operational Trading Procedures for Options Trading Exchange Participants |
| 《期权买卖交易所参与者结算运作程序》 | Operational Clearing Procedures for Options Trading Exchange Participants |
| 期权卖方 | option seller; option writer |
| 期权数码资料传送专线 | options digital datafeed |
| 期权系列 | option series |
| 期权资讯服务 | Options Information Service |
| 企业风险管理架构 | Enterprise Risk Management Framework |
| 企业管治 | corporate governance |
| 《企业管治守则》 | Corporate Governance Code |
| 《企业规管通讯》【证监会】 | Corporate Regulation Newsletter 【SFC】 |
| 企业净零排放实用指引 | Practical Net-Zero Guide for Business |
| 企业狙击手 | corporate raider |
| 企业内容管理系统 | Enterprise Content Management system |
| 企业融资协会 | The Corporate Finance Association (corpfina) |

| | |
|-------------------|---|
| 企业社会责任 | corporate social responsibility (CSR) |
| 企业债* | enterprise bond |
| 企业资讯资料库 | Enterprise Information Database |
| 《企业融资顾问操守准则》【证监会】 | Corporate Finance Adviser Code of Conduct 【SFC】 |
| 气候价值链 | climate value chain |
| 气候、社区及生物多样性标准 | Climate, Community and Biodiversity Standards (CCBS) |
| 气候相关财务披露小组 | Task Force on Climate-related Financial Disclosures (TCFD) |
| 《气候信息披露指引》 | Guidance on Climate Disclosures |
| 气候债券倡议组织 | Climate Bonds Initiative |
| 迁册 | change of domicile |
| 牵头包销商 | lead underwriter |
| 牵头经办人；主要经办人 | lead manager |
| 前端监控 | pre-trade checking |
| 前端监控风险管理 | Pre-Trade Risk Management (PTRM) |
| 前端监控风险管理系统 | Pre-Trade Risk Management System |
| 前海联合交易中心有限公司 | Qianhai Mercantile Exchange Company Limited (QME) |
| 前海深港现代服务业合作区 | Qianhai Shenzhen-Hong Kong Modern Service Industry |
| 前收市价 | previous closing price |
| 前线办公室系统 | front-office system |
| 前置式监管 | front-loaded regulation |
| 浅白语言计划【证监会】 | Project on the Use of Plain Language 【SFC】 |
| 谴责 | reprimand; censure |
| 欠款 | arrears |
| 嵌入式衍生工具 | embedded derivative |

| | |
|-------------------|--|
| 强行平仓 | forced closing-out |
| 强制补购 | compulsory buy-in; forced buy-in |
| 强制出售通知 | Forced-Sale Notice |
| 强制可换股证券 | mandatory convertible securities (MCS) |
| 强制收回事件；强制赎回事件 | Mandatory Call Event |
| 强制性公积金 | mandatory provident fund (MPF) |
| 强制性公积金计划管理局（公积金局） | Mandatory Provident Fund Schemes Authority (MPFA) |
| 强制性收购建议 | mandatory bid; mandatory offer |
| 清盘 | liquidation |
| 清算 | clearing |
| 清算价 | clearing price |
| 清算交收 | settlement |
| 清洗交易 | whitewash transaction; wash sale; wash trade |
| 轻微违纪事件/行为 | summary offence |
| 轻装版衍生产品数据专线 | Derivatives Lite (D-Lite) |
| 区块链技术 | blockchain |
| 区域网络 | Local Area Network (LAN) |
| 区域全面经济伙伴关系协定 | Regional Comprehensive Economic Partnership (RCEP) |
| 取方参与者 | receiving Participant |
| 取消 / 收回【牛熊证】 | knockout 【CBBC】 |
| 取消登记 | decleared |
| 取消交易【期权】 | trade reversals 【options】 |
| 取消交易合约【期权】 | reversal contract 【options】 |
| 取消较旧盘 | Cancel Passive |
| 取消较新盘 | Cancel Aggressive |

| | |
|-------------------------------|--|
| 取消前有效买卖盘 | good-till-cancelled order (GTC) |
| 去实物化 | dematerialise / dematerialisation |
| 全部完成或放弃买卖盘 | all-or-none order |
| 全程封闭 ; 闭环系统 | closed loop |
| 全额或取消【限价盘】 | Fill or Kill 【limit orders】 |
| 全国电子交易系统【内地】 | National Electronic Trading System (NETS) 【Mainland】 |
| 全国社会保障基金 (社保) | National Social Security Fund (NSSF) |
| 全国社会保障基金理事会【内地】 | National Council for Social Security Fund 【Mainland】 |
| 全国银行间同业拆借中心【内地】 | National Interbank Funding Centre 【Mainland】 |
| 全国中小企业股份转让系统 (新三 板) 【内地】 | National Equities Exchange and Quotations (NEEQ, or New Third Board) 【Mainland】 |
| 全面豁免 | blanket waiver; general waiver |
| 全面结算参与者 | General Clearing Participant (GCP) |
| 全面披露 | full disclosure |
| 全面收购建议 | general offer |
| 全面收益 | comprehensive income |
| 全面摊薄每股盈利 | fully diluted earnings per share |
| 全盘证券数据【数据传送专线】 | Securities FullTick 【datafeed】 |
| 全球报告倡议组织 | Global Reporting Initiative (GRI) |
| 全球法人机构识别编码体系 | Global Legal Entity Identifier System (GLEIS) |
| 全球暖化潜势值 | global warming potential (GWP) |
| 全球期货交易系统 | Globex |
| 全球预托证券 ; 全球存托凭证* | global depositary receipt (GDR) |
| 全权代客买卖账户 | discretionary account |
| 全权管理人 | discretionary manager |

| | |
|---------------------------|--|
| 全权委托户口 | discretionary account |
| 全权委托客户 | discretionary client |
| 全权委托盘 | discretionary order; no-forcing order; order at discretion |
| 全权信托 | discretionary trust |
| 全收益指数 | total return index |
| 全资附属公司 | wholly-owned subsidiary |
| 权利金*【期权】 | premium |
| 权益报表【中央结算系统】 | Entitlement Statement【CCASS】 |
| 权益法【会计】 | equity method【accounting】 |
| 权益股本 | equity capital; equity share capital |
| 权益会计法 | equity method of accounting |
| 权益列表 | entitlement table |
| 权益人；持份者；利益相关者；干系人*；利益攸关者* | stakeholder |
| 权责发生制*【会计】 | accrual basis【accounting】 |
| 权证 | warrant |
| 券款对付【债券通】 | delivery vs payment (DvP) |
| 券面利率 | coupon; coupon rate |
| 券商* | brokerage |
| 券商客户编码 | Broker-to-Client Assigned Number (BCAN) |
| 群集式伺服器 | cluster server |

* Terms commonly used in the Mainland

内地用语

R

| | |
|-------------------------|---|
| 人均国民生产总值 | per capita gross national product |
| 人均国内生产总值 | per capita gross domestic product |
| 人民币定息及货币论坛 | RMB Fixed Income and Currency Conference |
| 人民币合格境外机构投资者 | RMB Qualified Foreign Institutional Investor (RQFII) |
| 人民币合格境内机构投资者 | RMB Qualified Domestic Institutional Investor (RQDII) |
| 人民币货币期货 | RMB Currency Futures |
| 人民币货币期权 | RMB Currency Option |
| 人民币货币指数期货 | RMB Currency Index Futures |
| 人民币即时支付结算系统 (人民币 RTGS) | RMB Real Time Gross Settlement (RTGS) system |
| 人民币跨境支付系统 | RMB Cross-border Inter-bank Payment System (CIPS) |
| 人手操作的逾时交易 | manual late trading |
| 人证港币交易通 (交易通) | RMB Equity Trading Support Facility (TSF) |
| 认购 | subscription |
| 认购不足 | undersubscribed; underbooked |
| 认购短仓 | short call |
| 认购期权 | call option |
| 认购期权沽出者 | call writer |
| 认购期权空仓 | short call |
| 认购权证 | call warrant |
| 认沽短仓 | short put |
| 认沽期权 | put option |
| 认沽期权长仓 | long put |

| | |
|------------------|--|
| 认沽期权沽出者 | put writer |
| 认沽期权空仓 | short put |
| 认沽权证 | put warrant |
| 认沽认购等价关系 | relationship of put-call parity |
| 认股期权 | share option |
| 认股权证/认购权证 | warrant |
| 认可存款基金 | approved deposit fund |
| 认可负债 | ranking liabilities |
| 认可行业资格 | Recognised Industry Qualifications (RIQ) |
| 认可基金 | authorised fund |
| 认可交易登记系统【场外结算公司】 | Approved Trade Registration System (ATRS) 【OTC Clear】 |
| 认可投资交易所 | Recognised Investment Exchange |
| 认可用户 | authorised user |
| 认可值 | admitted value |
| 认可资产净值 | net admissible assets |
| 日报表 | daily quotations sheet |
| 日间回购交易机制【银行】 | intraday Repo facility 【banking】 |
| 日经平均指数 | Nikkei Stock Average |
| 日均成交量 / 平均每日成交额 | average daily turnover (ADT) |
| 日落条款 | sunset clause |
| 日终批量处理程序 | day-end batch processing |
| 日终交收 | day-end settlement |
| 日转期汇 | Rolling Forex |
| 熔断机制* | circuit breaker |
| 融通票据 | accommodation bill |

| | |
|-----------------|---------------------------------------|
| 融通收费 ; 安置费 | accommodation charge |
| 融资监控指标【内地】 | margin trading indicator【Mainland】 |
| 融资券* | financing bill |
| 融资人 | financier |
| 融资融券* ; 证券信用交易* | margin trading and securities lending |
| 融资租赁承担 | finance lease commitment |
| 入侵防护系统 | Intrusion Protection System |
| 软货币 | soft currency |
| 软佣金 | soft commission |
| 软着陆 | soft landing |
| 弱势货币 | soft currency |

* Terms commonly used in the Mainland

内地用语

S

| | |
|----------------|---|
| 三个月拆息利率期货 | Serial Month Hibor Futures |
| 三角债 | triangular debt |
| 三天初检核对表 | Initial 3-day Checklist |
| 三线股 | third liner |
| 散户；散户投资者；个人投资者 | retail investor |
| 散户经纪 | retail broker |
| 伞子基金 | umbrella fund |
| 森林管理委员会 | Forest Stewardship Council |
| 森林认证体系认可计划 | Programme for the Endorsement of Forest Certification |
| 「闪电崩盘」；闪崩 | flash crash |
| 商品存货征费 | commodities stock levies |
| 商品交易商 | commodities dealer |
| 商品期货交易委员会【美国】 | Commodity Futures Trading Commission (CFTC) 【US】 |
| 商人银行 | merchant bank |
| 商业承兑汇票 | trade acceptance |
| 商业登记证 | business registration certificate |
| 商业化收益门槛 | commercialisation revenue threshold |
| 商业票据 | commercial paper |
| 商业信托 | business trust |
| 商议佣金 | negotiated commission |
| 商誉 | goodwill |
| 商誉减值 | goodwill impairment |
| 上海股权托管交易中心 | Shanghai Equity Exchange (SEE) |

| | |
|--------------------------|---|
| 上海国际能源交易中心 | Shanghai International Energy Exchange |
| 上海黄金交易所 | Shanghai Gold Exchange |
| 上海联合产权交易所 | Shanghai United Assets and Equity Exchange (SUAEE) |
| 上海期货交易所 | Shanghai Futures Exchange (SHFE) |
| 上海清算所 (银行间市场清算所股份有限公司) | Shanghai Clearing House (SHCH) |
| 上海石油交易所 | Shanghai Petroleum Exchange |
| 上海市期货同业公会 | Shanghai Municipal Futures Industry Association |
| 上海证券交易所 (上交所) | Shanghai Stock Exchange (SSE) |
| 《上海证券交易所沪港通业务实施办法》 | Measures of the Shanghai Stock Exchange for the Implementation of the Shanghai-Hong Kong Stock Connect Business |
| 上海证券中央登记结算公司 | Shanghai Securities Central Clearing and Registration Corporation |
| 上交所技术有限责任公司 | Shanghai Stock Exchange Technology Co., Ltd. |
| 上市 | listing; flotation |
| 上市发行人 | listed issuer |
| 《上市公司董事进行证券交易的标准守则》 | Model Code for Securities Transactions by Directors of Listed Issuers |
| 上市法团 | listed corporation |
| 上市 (复核) 委员会 | Listing (Review) Committee |
| 上市复核小组 | Listing Review Panel |
| 《上市公司董事指引》 | Guide for Directors of Listed Companies |
| 上市公司资料库 | Primary Market Database |
| 《上市规则》 | Listing Rules |
| 上市后的收购活动 | post-listing acquisition |
| 上市后发行 ; 增发 ; 再融资 ; 后续发行 | follow-on offering |
| 上市后私募投资 | private investments in public equity (PIPE) |

| | |
|-----------------|---|
| 上市 (纪律复核) 委员会 | Listing (Disciplinary Review) Committee |
| 上市 (纪律) 委员会 | Listing (Disciplinary) Committee |
| 上市决策小组 | Listing Decisions Panel |
| 上市开放式基金 | listed open-end fund (LOF) |
| 上市上诉委员会 | Listing Appeals Committee |
| 上市事宜联络小组会议 | Listing Liaison Forum |
| 上市委员会 | Listing Committee |
| 上市协议 | Listing Agreement |
| 上市营运管治委员会 | Listing Operation Governance Committee |
| 上市政策委员会 | Listing Policy Committee |
| 上市证券 | listed securities |
| 上市证券变动之月报 | Monthly Return on Movement of Listed Securities |
| 上市资讯支援应用项目 | Listing Information Support Application (LISA) |
| 上诉委员会【证监会】 | Appeals Panel【SFC】 |
| 上下限协议 | ceiling-floor agreement |
| 上证超级大盘指数 | SSE Mega-cap Index |
| 上证公司治理板块 | SSE Corporate Governance Sector |
| 上证公司治理指数 | SSE Corporate Governance Index |
| 上证所信息网络有限公司 | SSE Infonet Ltd |
| 上证综合指数 | Shanghai Composite Index |
| 少数股东 | minority shareholder |
| 少数股东权益 | minority interest |
| 设备代管及租用服务 | co-location and hosting services |
| 设备共置服务 | co-location |
| 设备托管服务 | Hosting Services |

| | |
|---------------------|--|
| 设备托管服务创始成员计划 | Hosting Services Founding Members Programme |
| 设备托管及寄存服务 | co-location and hosting services |
| 设定收市价 | mark the close |
| 设定增值税 | deemed VAT |
| 社会公众股【内地】 | public share【Mainland】 |
| 社商创效峰会【香港交易所】 | Impact Summit【HKEX】 |
| 申报会计师 | reporting accountant |
| 申报期 | reporting period |
| 申请版本 | Application Proof |
| 深港股票市场交易互联互通机制(深港通) | Shenzhen-Hong Kong Stock Connect |
| 深圳经济特区金融学会绿色金融专业委员会 | Green Finance Committee of Financial Society of Shenzhen Special Economic Zone (SZGFC) |
| 深圳排放权交易所(深圳排交所) | China Emissions Exchange Shenzhen (CEEX Shenzhen) |
| 深圳市前海金融控股有限公司 | Shenzhen Qianhai Financial Holdings Company Limited |
| 深圳证券登记有限公司 | Shenzhen Securities Registration Company Limited |
| 深圳证券交易所(深交所) | Shenzhen Stock Exchange (SZSE) |
| 深圳证券结算有限公司 | Shenzhen Securities Clearing Company Limited |
| 深证成份指数【深交所】 | SZSE Component Index【SZSE】 |
| 深证综合指数【深交所】 | SZSE Composite Index【SZSE】 |
| 审核保留意见 | audit qualifications |
| 审核委员会 | Audit Committee |
| 审核线索 | audit trail |
| 审核修订意见 | audit modifications |
| 审计调查委员会 | Audit Investigation Board (AIB) |
| 审计工作底稿 | audit working paper |

| | |
|--------------|-------------------------------------|
| 审计师* | auditor |
| 审阅 | vetting |
| 升水；期货高水；期货升水 | contango |
| 生态环境部 | Ministry of Ecology and Environment |
| 生态系统网络 | Ecosystem Network (ESN) |
| 生物科技咨询小组 | Biotech Advisory Panel |
| 失实陈述 | misrepresentation |
| 失责 | default |
| 失责基金；储备基金 | default fund |
| 失责基金附加缴款 | Default Fund Add-on |
| 失责人士 | defaulter |
| 失责追收供款 | default recovery contribution |
| 失职行为 | misconduct |
| 实地盘存 | physical inventory |
| 实际可用年期 | actual useful life |
| 实缴股本 | paid-up capital; paid-in capital |
| 实盘 | firm order |
| 实时资讯 | real time information |
| 实物分派 | distribution in specie |
| 实物股票 | physical scrip |
| 实物交收 | physical delivery |
| 实物利益 | benefits-in-kind |
| 实物资产 ETF | physical ETF |
| 实益持有人 | beneficial holder |
| 实益权益 | beneficial interests |
| 实际权益拥有人 | beneficial owner |

| | |
|--------------------|---|
| 实益拥有人 | beneficial owner |
| 实值*；价内 | in-the-money |
| 食价 | price cheating; scalping |
| 时间递耗值 | theta |
| 时间加权平均价 | time weighted average price (TWAP) |
| 时间值 | time value; time premium |
| 时延 | latency |
| 市场波幅 | market volatility |
| 市场波动调节机制（市调机制） | volatility control mechanism (VCM) |
| 市场参与者 | market participant |
| 市场操纵；市场操纵行为 | market manipulation |
| 市场从业者 | market practitioner |
| 市场定价 | price discovery |
| 市场分割 | market fragmentation |
| 市场风险 | market risk |
| 市场互联互通 | mutual market access |
| 市场价格厘定 | price discovery |
| 市场架构改革统筹委员会（1999年） | Co-ordinating Committee on Market Structure Reform (1999) |
| 市场敏感资料 | market-sensitive information |
| 市场气氛 | market sentiment |
| 市场深度 | market depth |
| 市场失当行为审裁处 | Market Misconduct Tribunal |
| 市场数据传送专线 | Market Datafeed |
| 市场数据播送讯息量 | market data broadcast rate |
| 市场数据系统 | Market Data System (MDS) |
| 市场延拓产品 | Market Access Product (MAP) |

| | |
|---------------|---|
| 市场占有率 | market share |
| 市场识别编码 | market identifier code (MIC) |
| 市场微结构 | market microstructure |
| 市场资本总额* | market capitalisation |
| 市场总值 | market capitalisation |
| 市价计值按金 | mark-to-market margin |
| 市价盘 | market order |
| 市价总值 | market capitalisation |
| 市净率* ; 市账率 | price-to-book ratio |
| 市盈率 ; 本益比* | price/earnings ratio (P/E) |
| 市账率 ; 市净率* | price-to-book ratio |
| 市值 | market value |
| 市值租金 | market rental |
| 事后审阅 | post-vetting |
| 世界黄金协会 | World Gold Council |
| 世界银行 | World Bank |
| 试算表 | trial balance |
| 收费 | charge |
| 收费结构 | charging structure |
| 收购 | acquisition; takeover; buy-out / buyout |
| 收购及合并委员会【证监会】 | Takeovers & Mergers Panel【SFC】 |
| 收购建议 | offer |
| 收购上诉委员会【证监会】 | Takeovers Appeal Committee【SFC】 |
| 《收购守则》 | Code on Takeovers and Mergers (Takeovers Code) |
| 收回价【牛熊证】 | call price【CBBC】 |
| 收回 / 取消【牛熊证】 | knockout【CBBC】 |

| | |
|--------------|---|
| 收紧信贷 | credit squeeze |
| 收款代理 | receiving agent |
| 收款银行 | receiving bank |
| 收盘集合竞价 | closing call auction |
| 收盘价 | closing price |
| 收取即日差额缴款机制 | intra-day marks collection mechanism |
| 收取内幕消息人士 | tipper |
| 收市差额缴款 | day-end marks |
| 收市后交易时段；盘后交易 | after-hours trading (AHT) |
| 收市后期货交易 | After-Hours Futures Trading (AHFT) |
| 收市后资料传送服务 | End-of-day Trade Data File Transfer Service |
| 收市价 | closing price |
| 收市竞价交易时段 | closing auction session (CAS) |
| 收市盘 | at-the-close order |
| 收市指数 | end of day index |
| 收益 | revenue; income; gain |
| 收益率 | yield |
| 收益率曲线 | yield curve |
| 收益图 | payoff diagram |
| 手 | board lot; round lot |
| 首次代币发行 | initial coin offering (ICO) |
| 首次公开发行* | initial public offering (IPO) |
| 首次公开招股 | initial public offering (IPO) |
| 首次公开招股之进度报告 | Initial Public Offerings Progress Report |
| 首次认购费 | front-end load |
| 首次上市费 | initial listing fee |

| | |
|---------------------|-----------------------------------|
| 首席交易员 | chief dealer |
| 受监管之股份卖空活动 | regulated short selling |
| 受让人 | assignee; transferee |
| 受托人 | trustee; fiduciary |
| 受限制投票权股份 | restricted voting share |
| 受信人 | fiduciary |
| 受信责任 | fiduciary duty |
| 受益人 | beneficiary |
| 授权代表 | authorised representative |
| 授权书 | power of attorney |
| 授信交易* | credit trading |
| 输入买卖盘时段 | order input period |
| 「输入与核对分工」功能【中央结算系统】 | maker-checker facility 【CCASS】 |
| 赎回 | redemption |
| 赎回溢价【债券】 | call premium 【bonds】 |
| 数据传送专线 | data feed |
| 数据大堂 | Data Hall |
| 数据确权 | data ownership |
| 数据中心控制室 | Operation Control Centre |
| 数码资料传送专线 | Digital Data Feed (DDF) |
| 数码资讯服务 | digital information service |
| 双币双股 | Dual Tranche, Dual Counter (DTDC) |
| 双边价 | two-way quote |
| 双边净额结算 | bilateral netting |
| 双重存档制度；双重呈报规定 | dual filing |
| 双重上市/双边上市 | dual listing |

| | |
|-----------------|--|
| 双重审核 | dual vetting |
| 双柜台 | dual counter |
| 双柜台庄家机制 | Dual Counter Market Making Programme |
| 双类别股权架构 | dual-class share structure |
| 双类别资本结构 | dual class capitalisation |
| 税后盈利/利润/溢利 | after-tax profits |
| 税务优惠 | tax relief |
| 税项减免 | tax break ; tax concession |
| 顺差额 | favourable marks |
| 瞬像/瞬态；定格 | snapshot |
| 说明函件 | explanatory statement |
| 说明指引 | interpretive guidelines |
| 司法权区；司法管辖区；司法地区 | jurisdiction |
| 私募基金/私募股权基金* | privately-offered fund / private equity fund |
| 私人密码 | personal identification number (PIN) |
| 私人配售；定向增发* | private placing / private placement |
| 私有化/私营化 | privatisation |
| 送股 | bonus issue |
| 速动比率；酸性测试比率 | acid-test ratio |
| 速动市场 | fast market |
| 速动资产 | liquid asset |
| 速动资金 | liquid capital |
| 算法交易 | algorithmic trading; algo trade |
| 酸性测试比率；速动比率 | acid-test ratio |
| 随机收市时段 | Random Closing Period |
| 碎股 | odd lot |

| | |
|--------|--------------------------|
| 碎股交易 | Odd Lot Trade |
| 损害权益声明 | prejudice statement |
| 损益平衡点 | breakeven point |
| 损益账 | profit and loss account |
| 锁仓 | locked position |
| 索偿通知 | claim notice |
| 锁定回报权证 | Locked-In Return Warrant |
| 所需回报率 | required rate of return |

* *Terms commonly used in the Mainland*
内地用语

T

| | |
|---------------------------|---|
| 《台风及暴雨情况下工作守则》 | Code of Practice in Times of Typhoons and Rainstorms |
| 台湾集中保管结算所股份有限公司 (台湾集保结算所) | Taiwan Depository & Clearing Corporation (TDCC) |
| 台湾期货交易所 | Taiwan Futures Exchange (TAIFEX) |
| 台湾证券交易所 | Taiwan Stock Exchange Corporation (TWSE) |
| 台湾证券交易所发行量加权股价指数(台湾加权指数) | Taiwan Stock Exchange Capitalisation Weighted Stock Index (TAIEX) |
| 泰国证券及交易事务监察委员会 | Thailand Securities and Exchange Commission |
| 摊薄 | dilution |
| 摊销 | amortisation |
| 碳避免 | carbon avoidance |
| 碳市场专责团队 | Carbon Market Work Stream (CMWS) |
| 碳市通 | Carbon Connect |
| 碳消除 | carbon removal |
| 碳信用 | carbon credit |
| 「碳足迹」 | carbon footprint |
| 逃税 | tax evasion |
| 套封 | wrapper |
| 套戥/套汇*/套利* | arbitrage |
| 套戥者 | arbitrageur |
| 套利交易；套息交易；利差交易；调期交易 | carry trade / carry trading |
| 套期保值*；套利 | hedging |
| 汤森路透 / 香港交易所人民币货币指数 | Thomson Reuters/HKEX RMB Currency Indices (RXY) |

| | |
|---------------------|---|
| 特别处理股【内地】 | Special Treatment 【Mainland】 |
| 特别独立户口 | Special Segregated Account (SPSA) |
| 特别买卖单位交易 | Special Lot Trade |
| 特别提款权 | special drawing right (SDR) |
| 特别提款权计价债券 | SDR Bond (Mulan Bond) |
| 特别限价盘 | special limit order |
| 特别优先投票权股份 | special preferred voting share |
| 特别征费 | Special Levy |
| 特别转让股【内地】 | Particular Transfer (PT) 【Mainland】 |
| 特定目的投资机构 | special purpose vehicle (SPV) |
| 特定时间【限价盘】 | Specified Time 【limit orders】 |
| 特快登记/过户登记服务 | expedited registration service |
| 特殊目的收购公司 | special purpose acquisition company (SPAC) |
| 特殊目的载体* | special purpose vehicle (SPV) |
| 特殊项目 | exceptional item |
| 特许公认会计师公会 | The Association of Chartered Certified Accountants (ACCA) |
| 特许管理会计师公会 | Chartered Institute of Management Accountants (CIMA) |
| 特许金融分析师 | chartered financial analyst |
| 特许使用者 | privileged user |
| 特许证券商 | Designated Specialist |
| 特种国债【内地】 | Special Treasury 【Mainland】 |
| 特种认股证/非标准型认股证 | exotic warrant |
| 特专科技公司 | specialist technology company |
| 提呈发售 | offer for sale |
| 《提供实物交收服务的期交所参与者名录》 | List of HKFE EPs Offering Physical Delivery Services for Gold Futures |

| | |
|----------------|--|
| 提名及管治委员会 | Nomination and Governance Committee |
| 提升数码资料输送专线 | enhanced digital datafeed |
| 提早补购 | early buy-in |
| 替任人 | alternate |
| 调息日 | coupon-reset date |
| 调整表/调整声明 | statement of adjustments |
| 调整持仓 | position adjustment |
| 贴水；期货低水；期货贴水 | backwardation |
| 贴现 | discount |
| 贴现率 | discount rate |
| 停牌 | suspended trading; suspension |
| 停市措施 | speed bump |
| 停止过户期间 | book closure period |
| 通报共享机制 | referral and information exchange mechanisms |
| 通货紧缩/通缩 | deflation |
| 通讯线路现况显示行 | communication status message line |
| 通胀挂钩债券 | inflation-linked retail bond (iBond) |
| 通胀指标货币政策 | inflation indexed monetary policy |
| 同股同权股东 | non-WVR shareholder |
| 同系附属公司/同集团附属公司 | fellow subsidiary |
| 同业存单；可转让定期存单 | negotiable certificate of deposit (NCD) |
| 统一保证金客户协议书 | Uniform Margin Client's Agreement |
| 统一结算所 | universal clearing house |
| 统一现金客户协议书 | Uniform Cash Client's Agreement |
| 统制账户 | control account |
| 投标程序 | tender procedure |

| | |
|----------------------|---|
| 投后估值 | post-money valuation |
| 投前估值 | pre-money valuation |
| 投入品价格 | input price |
| 投资对象 | investee |
| 投资分析员 | investment analyst |
| 投资服务通 | IR Connect |
| 投资服务指令【欧洲联盟】 | Investment Services Directive (ISD) 【European Union】 |
| 投资顾问 | investment adviser |
| 投资管理研究联会（现称「CFA 协会」） | Association for Investment Management and Research (AIMR) (now CFA Institute) |
| 投资条款清单；投资意向书 | term sheet |
| 投资者保护局【中国证监会】 | Investor Protection Bureau 【CSRC】 |
| 投资者户口操作简介 | Operating Guide for Investor Participants |
| 投资者户口持有人 | Investor Participant (IP) |
| 《投资者户口持有人规则》 | Terms and Conditions for Investor Participants |
| 投资者户口服务 | Investor Account Service |
| 投资者交收指示 | Investor Settlement Instruction (ISI) |
| 投资者教育中心【证监会】 | Investor Education Centre (IEC) 【SFC】 |
| 投资者教育咨询委员会【证监会】 | Investor Education Advisory Committee 【SFC】 |
| 投资者赔偿基金委员会【证监会】 | Investor Compensation Fund Committee 【SFC】 |
| 投资者赔偿有限公司 | Investor Compensation Company Limited |
| 投资者识别码制度 | investor identification regime |
| 投资组合 | portfolio |
| 投资组合经理 | portfolio manager |
| 头寸 | position |

| | |
|-------------------|--|
| 头盘 | at-the-opening order |
| 透视价 | “see-through” price |
| 推广香港新优势专责小组 | Task Force on Promoting and Branding Hong Kong |
| 退市 | delisting |
| 退市整理期【内地】 | delisting arrangement period 【Mainland】 |
| 退税 | tax rebate; tax refund |
| 退休金 | pension fund |
| 固仓策略 | buy and hold strategy |
| 托宾税 | Tobin tax |
| 托管人 | custodian |
| 托管商参与者【中央结算系统参与者】 | Custodian Participant【CCASS Participants】 |
| 托管余额【债券】 | depository balance【bonds】 |
| 脱媒现象 | disintermediation |

* Terms commonly used in the Mainland

内地用语

W

| | |
|------------|---|
| 外币折算风险 | currency translation exposure |
| 外部核数师 | external auditor |
| 外汇掉期 | forex swap |
| 外汇风险 | foreign exchange exposure |
| 外汇管制 | exchange control |
| 外汇基金票据 | Exchange Fund Bill |
| 外汇基金投资有限公司 | Exchange Fund Investment Limited (EFIL) |
| 外汇基金债券 | Exchange Fund Note (EFN) |
| 外汇交易税 | Tobin tax |
| 外汇交易同步交收 | payment vs payment (PvP) |
| 外汇期权 | forex option |
| 外聘核数师 | external auditor |
| 外围市场 | fringe market |
| 外溢效应 | spill-over effect |
| 外债 | sovereign debt |
| 外资股【内地】 | foreign share 【Mainland】 |
| 往返时延 | round-trip latency |
| 网间连接器 | gateway; Network Gateway |
| 网上交易 | online trading |
| 网上交易工作小组 | On-line Trading Working Group |
| 网上预览资料集 | Web Proof Information Pack (WPIP) |
| 网页寄存站 | web-hosting site |
| 网页新讯速递 | News Alert Service |

| | |
|-----------------|---|
| 网站事故复原计划 | Website Disaster Recovery Project |
| 往来账 | current account |
| 微值交易【期权】 | cabinet trade; cabinet bid |
| 微值入价 | cabinet bid |
| 维持按金【期货】 | maintenance margin 【futures】 |
| 维持前成交价但低于上一个差异价 | zero-minus tick |
| 维持前成交价但高于上一个差异价 | zero-plus tick |
| 违约 | default |
| 伪冒电子邮件 | phishing |
| 委派代表书 | proxy form |
| 委托存款* | designated deposit |
| 委托账户 | discretionary account |
| 尾盘 | at-the-close order |
| 未偿还借款 | outstanding loan |
| 未偿或然负债 | outstanding contingent liabilities |
| 未分派溢利/利润 | undistributed profits |
| 未分配溢利/利润 | unappropriated profits |
| 未缴股款股权 | nil-paid rights |
| 未缴款供股权 | nil-paid rights |
| 未缴足股份 | partly-paid share |
| 未能履行责任 | default |
| 未能提供意见；无法表示意见 | disclaimer of opinion |
| 未平仓淡仓 | open short position |
| 未平仓合约 | open contract; open position; open interest |
| 为上市公司而设的服务 | Issuer Services |
| 未完成买卖盘 | outstanding order |

| | |
|------------------------|--|
| 未有收入的生物科技公司 | pre-revenue biotech company |
| 温室气体核算体系 | GHG Protocol |
| 文件风险 | documentation risk |
| 蚊型股 | penny stock |
| 问题证券 | defective securities |
| 无备兑期权 | uncovered option |
| 无备兑认购期权 | uncovered call |
| 无本金交割远期外汇* | non-deliverable forward contract (NDF) |
| 无偿债能力 | insolvency |
| 「无超额亏蚀」规则【证监会】 | No-Over-Loss Rules 【SFC】 |
| 无担保卖空；无货沽空；没有预先借货的卖空活动 | naked short selling |
| 无担保卖空活动 | uncovered short selling |
| 无抵押贷款 | unsecured loan |
| 无抵押卖空活动 | naked short selling |
| 无抵押权证 | non-collateralised warrant |
| 无法表示意见；未能提供意见 | disclaimer of opinion |
| 无风险对冲 | delta hedge |
| 无风险利率 | risk-free interest rate |
| 无货沽空；没有预先借货的卖空活动；无担保卖空 | naked short selling |
| 无价期权形式 | tails 【options】 |
| 无力偿债 | insolvency |
| 无凭证式附属登记册 | uncertificated sub-register |
| 无凭证式股东 | uncertificated shareholder |
| 无人申领之经纪佣金 | unclaimed brokerage |

| | |
|--------------|--|
| 无时限盘 | good-till-cancelled order (GTC) |
| 无条件现金收购建议/要约 | unconditional cash offer |
| 无投票权股份 | non-voting share |
| 无投票权优先股 | non-voting preference share |
| 无形资产 | intangible asset |
| 无异议确认书 | no objection confirmation |
| 无责任声明 | disclaimer |
| 《无障碍网页内容指引》 | Web Content Accessibility Guidelines |
| 无证书合资格证券 | Uncertificated Eligible Security |
| 无纸股份 | uncertificated shares |
| 无纸化交易 | paperless trading; scripless trading |
| 无纸化认购 | paperless subscription |
| 无纸化上市文件 | paperless listing document |
| 无纸化证券市场工作小组 | Scripless Securities Market Working Group |
| 无纸证券登记及转让系统 | Uncertificated Securities Registration and Transfer (UNSRT) system |
| 无纸证券市场 | Uncertificated Securities Market (USM) |
| 午市 | afternoon session |
| 物业估值师 | property valuer |
| 物业增值税 | property gains tax |

* Terms commonly used in the Mainland
内地用语

X

| | |
|------------------------|--|
| 息股证 | equity linked instrument (ELI) |
| 稀释* | dilution |
| 吸收合并 | merger by absorption |
| 洗黑钱 | money laundering |
| 细额先到先得 | Small Order First-In-First-Out |
| 细价股 | small cap stock; penny stock |
| 细盘撮合系统【美国】 | Small Order Entry System; Small Order Execution System (SOES) 【US】 |
| 系列按金价值 | series margin value |
| 系统参数 | system parameter |
| 系统处理量 | system capacity |
| 系统固定价格竞价 | Systematic Fixed Price Auction |
| 系统联通权 | system access right |
| 系统联通权收费【期权】 | System Access Right Fee【options】 |
| 系统性风险 | systematic risk |
| 系统整合商 | system integrator |
| 系统终止 | system closure |
| 下单方式 | booking model |
| 下一交收日到期/逾期数额报告【中央结算系统】 | Next Settlement Day Due / Overdue Position Report【CCASS】 |
| 夏普比率 | ca |
| 先进先出 | first in, first out (FIFO) |
| 先刊发后审阅 | post-vetting |

| | |
|----------------|---|
| 现货价 | spot price; cash price; physical price; actual price |
| 现货市场 | spot market; cash market; physical market; actual market |
| 现货市场咨询小组 | Cash Market Consultative Panel |
| 现货月 | spot month |
| 现货月按金 | Spot Month Charge |
| 现价 | nominal price |
| 现金差额缴款 | cash marks |
| 现金股票化 | cash equitisation |
| 现金回佣 | cash commission rebate; cash rebate |
| 现金交收 | cash settlement; cash on delivery (COD) |
| 现金结算* | cash settlement |
| 现金客户 | cash client |
| 现金流动表 | cash flow statement |
| 现金流量折现/贴现 | discounted cash flow |
| 现金流向/现金流*/现金周转 | cash flow |
| 现金壳股公司 | cash shell |
| 现金收益净值 | net present value |
| 现金选择 | cash alternative |
| 现金资产公司 | cash company |
| 「限额与交易」碳市场 | cap-and-trade carbon market |
| 限价卖空规则 | tick rule; uptick rule |
| 限价盘；限价委托* | limit order |
| 限制买卖期；禁止买卖期 | “black out” period |
| 限制通知书 | restriction notice |
| 线路费 | circuit fee |

| | |
|--------------------------|---|
| 线上交易 | online trading |
| 线上权益披露系统 | Disclosure of Interests Online System (DION System) |
| 线上项目 | above the line |
| 线下项目 | below the line |
| 相抵持仓 | offsetting position |
| 相对回报率 | relative return |
| 相对强弱指数 | Relative Strength Index (RSI) |
| 相联公司 | associate; associate company; associated company |
| 香港按揭证券有限公司 | The Hong Kong Mortgage Corporation Limited |
| 香港财务策划师学会 | The Institute of Financial Planners of Hong Kong |
| 香港财务顾问学会 | Hong Kong Association of Financial Advisors |
| 《香港财务报告准则》 | Hong Kong Financial Reporting Standards (HKFRS) |
| 香港场外结算有限公司 (场外结算公司) | OTC Clearing Hong Kong Limited (OTC Clear) |
| 香港创业及私募投资协会 | Hong Kong Venture Capital and Private Equity Association |
| 香港董事学会 | The Hong Kong Institute of Directors |
| 香港独立非执行董事协会 | The Hong Kong Independent Non- Executive Director Association (HKiNEDA) |
| 《香港公司收购、合并及股份购回守则》 | Hong Kong Codes on Takeovers and Mergers and Share Repurchases |
| 香港公司治理公会 | The Hong Kong Chartered Governance Institute |
| 香港股份商会 (1921 年-1947 年) | Hong Kong Stockbrokers' Association (1921-1947) |
| 香港股票经纪会 (1891 年) | Stockbrokers' Association of Hong Kong (1891) |
| 香港管理专业协会 | Hong Kong Management Association |

| | |
|-------------------------------|--|
| 香港贵金属验证中心 | Hong Kong Precious Metals Assay Centre |
| 香港国际碳市场委员会 | Hong Kong International Carbon Market Council |
| 香港国际仲裁中心 | Hong Kong International Arbitration Centre |
| 香港交易及结算所有限公司 (香港交易所) | Hong Kong Exchanges and Clearing Limited (HKEX) |
| 香港交易及结算所有限公司北京代表处 | Hong Kong Exchanges and Clearing Limited Beijing Representative Office |
| 香港交易所慈善基金有限公司 | HKEX Foundation Limited |
| 香港交易所电子登载系统 | HKEX Electronic Publication System |
| 香港交易所服务网络 | HKEX Service Network (HSN) |
| 香港交易所举报咨询小组 | HKEX Whistleblowing Advisory Panel |
| 香港交易所联讯通 | HKEX Issuer Access Platform |
| 香港交易所领航星技术计划 | HKEX Orion |
| 香港交易所领航星市场数据平台 | HKEX Orion Market Data Platform (OMD) |
| 香港交易所领航星中央交易网关 | HKEX Orion Central Gateway (OCG) |
| 香港交易所美元黄金期货 — 超额回报指数 | HKEX USD Gold Futures – Excess Return Index |
| 香港交易所美元黄金期货 — 现货指数 | HKEX USD Gold Futures – Spot Price Index |
| 香港交易所美元黄金期货 — 总回报指数 | HKEX USD Gold Futures – Total Return Index |
| 香港交易所人民币 (香港) 黄金期货 — 超额回报指数 | HKEX CNH Gold Futures – Excess Return Index |
| 香港交易所人民币 (香港) 黄金期货 — 现货指数 | HKEX CNH Gold Futures – Spot Price Index |
| 香港交易所人民币 (香港) 黄金期货 — 总回报指数 | HKEX CNH Gold Futures – Total Return Index |
| 香港交易所设备托管服务有限公司 | HKEX Hosting Services Limited |
| 香港交易所数据平台 | HKEX Data Marketplace |

| | |
|--|---|
| 香港交易所社区项目资助计划 | HKEX Impact Funding Scheme |
| 香港交易所生物科技峰会 | HKEX Biotech Summit |
| 香港交易所投资（香港）有限公司 | HKEX Investment (Hong Kong) Limited |
| 香港交易所数据产品 | HKEX Data Products |
| 香港交易所网站手机版 | HKEX Mobile |
| 香港交易所（中国）有限公司 | HKEX (China) Limited |
| 香港交易所虚拟资产指数系列 | HKEX Virtual Asset Index Series |
| 香港交易所资讯服务（中国）有限公司 | HKEX Information Services (China) Limited |
| 香港交易所资讯服务有限公司（香港交易所 资讯服务） | HKEX Information Services Limited (HKEX-IS) |
| 香港交易所资讯屏障程序 | HKEX Information Barrier Procedure |
| 香港交易所组合风险按金系统 | Portfolio Risk Margining System of HKEX (PriME) |
| 香港金融大会堂 | HKEX Connect Hall |
| 香港金融管理局（金管局） | Hong Kong Monetary Authority (HKMA) |
| 香港金融研究中心 | Hong Kong Institute for Monetary Research (HKIMR) |
| 香港经纪商会（1914年-1947年） | The Hong Kong Stock Exchange |
| 香港经纪协会（1891年） | Association of Stockbrokers in Hong Kong (1891) |
| 香港会计师公会 | Hong Kong Institute of Certified Public Accountants (HKICPA) |
| 香港联合交易所期权结算所有限公司 （联交所期权结算所） | The SEHK Options Clearing House Limited (SEOCH) |
| 香港联合交易所有限公司（联交所） | The Stock Exchange of Hong Kong Limited (SEHK) |
| 《香港联合交易所有限公司 GEM 证券上市 规则》（《GEM 上市规则》） | Rules Governing the Listing of Securities on the GEM of the Stock Exchange of Hong Kong Limited (GEM Listing Rules) |

| | |
|-----------------------------------|--|
| 《香港联合交易所有限公司证券上市规则》 (《主板上市规则》) | Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited (Main Board Listing Rules) |
| 香港联合交易所资讯服务有限公司 | Stock Exchange Information Services Limited (SEIS) |
| 香港绿色金融协会 | Hong Kong Green Finance Association |
| 香港律师会 | The Law Society of Hong Kong |
| 香港期货交易所有限公司(期交所) | Hong Kong Futures Exchange Limited (HKFE) |
| 香港期货结算有限公司(期货结算公司) | HKFE Clearing Corporation Limited (HKCC) |
| 《香港气候行动蓝图 2030+》 | Hong Kong's Climate Action Plan 2030+ |
| 香港商品交易所 | Hong Kong Mercantile Exchange (HKMEx) |
| 香港上市公司商会 | Chamber of Hong Kong Listed Companies |
| 香港上市台资企业指数 | T-share Index |
| 《香港审阅准则》 | Hong Kong Standard on Review Engagements |
| 香港投资分析员公会 | Hong Kong Institute of Investment Analysts |
| 香港投资基金公会 | Hong Kong Investment Funds Association (HKIFA) |
| 香港投资通函呈报准则 | Hong Kong Standards on Investment Circular Reporting Engagements (HKSIR) |
| 香港投资者关系协会 | The Hong Kong Investor Relations Association (HKIRA) |
| 香港投资者识别码制度 | Hong Kong Investor Identification Regime (HKIDR) |
| 香港投资者学会 | Hong Kong Institute of Investors (HKII) |
| 香港网上经纪协会有限公司 | The Hong Kong Association of Online Brokers Limited (HKAOB) |
| 香港银行公会 | Hong Kong Association of Banks (HKAB) |
| 香港银行同业拆息 | Hong Kong Interbank Offered Rate (HIBOR) |

| | |
|-------------------------------|--|
| 香港银行同业结算有限公司 | Hong Kong Interbank Clearing Limited |
| 香港银行学会 | Hong Kong Institute of Bankers |
| 香港与内地交易所买卖基金互挂计划 | Hong Kong-Mainland ETF Cross-listing Scheme |
| 香港预托证券；香港存托凭证* | Hong Kong Depository Receipt (HDR) |
| 香港证券兑换代理服务有限公司 | HK Conversion Agency Services Limited |
| 香港证券及期货从业员工会 | Hong Kong Securities & Futures Employees Union |
| 香港证券及期货专业总会 | Hong Kong Securities and Futures Professional Association |
| 香港证券及投资学会 | Hong Kong Securities and Investment Institute (HKSI) |
| 香港证券交易所（1947年-1986年） | The Hong Kong Stock Exchange |
| 香港证券经纪业协会（1978年）（现称「香港证券业协会」） | Hong Kong Stockbrokers Association (1978) (now Hong Kong Securities Association) |
| 香港证券市场文献及文物征集计划 | Hong Kong Securities Market Archives and Artifacts Collection Campaign |
| 香港证券学会 | Hong Kong Securities Professionals Association |
| 香港证券业同学会 | Hong Kong Securities Professionals Alumni Association |
| 香港证券业协会 | Hong Kong Securities Association |
| 香港中国企协会 | Hong Kong Chinese Enterprises Association |
| 香港中小型企业商会 | Hong Kong Chamber of Small and Medium Business |
| 香港中央结算（代理人）有限公司 | HKSCC Nominees Limited |
| 香港中央结算有限公司（香港结算） | Hong Kong Securities Clearing Company Limited (HKSCC) |
| 香港中央证券登记有限公司 | Computershare Hong Kong Investor Services Limited (CHIS) |
| 香港中资证券业协会 | Chinese Securities Association of Hong Kong |
| 香港专业财经分析及评论家协会 | The Hong Kong Institute of Financial Analysts and Professional Commentators |

| | |
|--------------------------|--|
| 香港资本市场公会 | Hong Kong Capital Markets Association |
| 香港资本市场从业者协会 | Hong Kong Capital Market Practitioners Association |
| 香港总商会 | The Hong Kong General Chamber of Commerce |
| 相关/指定证券；基础证券* | underlying securities |
| 相关/指定资产 | underlying asset |
| 相互上市 | cross listing; dual listing |
| 相联者 | associated person |
| 乡镇企业 | township and village enterprises |
| 项目监察委员会 | Project Oversight Committee |
| 项目融资 | project finance |
| 消费者主导价 | consumer-driven price |
| 消耗性资产【期权】 | wasting asset 【options】 |
| 销售收入 | sales revenue |
| 销项增值税 | output VAT |
| 小盘股* | small cap stock |
| 小型恒生指数期货 | Mini-Hang Seng Index Futures |
| 小型恒生指数期权 | Mini-Hang Seng Index Options |
| 小型恒生中国企业指数期货(小型 H 股指数期货) | Mini-Hang Seng China Enterprises Index Futures (Mini H-shares Index Futures) |
| 小型美元兑人民币(香港)期货 | Mini USD/CNH Futures |
| 协议安排/协议计划 | scheme of arrangement |
| 协议控制*；可变利益实体 | Variable Interest Entity (VIE) |
| 薪酬利益 | remuneration package |
| 新股发行 | new issue |
| 新股通 | Primary Equity Connect / Primary Connect |

| | |
|------------------------------|---|
| 新华富时中国 25 指数 | FTSE/Xinhua China 25 Index (FXI China 25) |
| 新加坡交易所 | Singapore Exchange (SGX) |
| 新加坡交易所自动报价与交易系统（新交所 二板市场） | Stock Exchange of Singapore Dealing and Automated Quotation System (SESDAQ) |
| 新上市申请人指南 | Guide for New Listing Applicants |
| 新兴及创新产业 | emerging and innovative sector |
| 新兴市场 | emerging market |
| 新一代中央结算系统 | CCASS/3 |
| 新债信息通；一级市场信息平台【债券通公 司】 | Primary Market Information Platform (PMIP) |
| 「新债易」系统 | ePrime system |
| 新证券交易设施 | New Securities Trading Device (NSTD) |
| 信贷 | credit |
| 信贷额度 | credit limit |
| 信贷风险 | credit risk |
| 信贷挂钩票据 | credit-linked note (CLN) |
| 信贷管制 | credit control |
| 信贷紧缩 | credit squeeze |
| 信贷评级 | credit rating |
| 信贷违约掉期 | credit default swap (CDS) |
| 信托人 | trustee |
| 信息商*；信息供应商*；资讯供应商 | information vendor |
| 信心保证书 | comfort letter |
| 信用担保附约 | Credit Support Annex (CSA) |
| 信用风险缓释合约* | Credit Risk Mitigation Agreement (CRMA) |

| | |
|------------|--|
| 信用风险缓释凭证* | Credit Risk Mitigation Warrant (CRMW) |
| 信用评级 | credit rating |
| 信用违约互换* | credit default swap (CDS) |
| 信用支持附件 | Credit Support Annex (CSA) |
| 行权期* | exercise schedule |
| 行使 | exercise |
| 行使方式 | exercise style |
| 行使后按金 | margin-after-exercise |
| 行使价/行权价格* | strike price 【options】 ; exercise price |
| 行使价间距；行使间距 | strike interval |
| 行使期/行使时限 | exercise period |
| 行使日 | exercise day (E day) |
| 行头盘 | front running |
| 熊市 | bear market |
| 熊猫债 | panda bond |
| 虚报 | misrepresentation |
| 虚假声明 | misstatement |
| 虚假市场 | false market |
| 虚价；虚值；价外 | out-of-the-money |
| 虚拟上市仪式 | virtual listing ceremony |
| 虚拟市场 | virtual market |
| 虚拟资产现货 ETF | Spot Virtual Asset ETF |
| 虚售交易；虚卖 | wash sale; wash trade |
| 须予公布的交易 | notifiable transaction |
| 须予披露的交易 | discloseable transaction |
| 许可 | licence |

| | |
|------------------|---|
| 选时交易 | market timing |
| 选择性销售 | selective marketing |
| 学术评审咨询委员会【证监会】 | Academic and Accreditation Advisory Committee 【AAAC】【SFC】 |
| 巡回推介；路演 | roadshow |
| 询价交易；报价要求 | request for quote |
| 询价制*；簿记建档*；累计投标制 | book building |
| 讯框传送交易网络 | frame relay trading network |
| 讯息代码【资讯供应商】 | access code 【information vendors】 |
| 讯息提示 | alert message; news alert |

* *Terms commonly used in the Mainland*
内地用语

Y

| | |
|------------------|---|
| 押记 | pledge |
| 押金* | deposit |
| 亚太经济合作组织 | Asia Pacific Economic Cooperation (APEC) |
| 亚太区中央证券存管处组织 | Asia-Pacific Central Securities Depository Group (ACG) |
| 亚洲公司治理协会 | Asian Corporate Governance Association (ACGA) |
| 亚洲基础设施投资银行 (亚投行) | Asian Infrastructure Investment Bank (AIIB) |
| 亚洲及大洋洲证券交易所联会 | Asian and Oceanian Stock Exchange Federation (AOSEF) |
| 亚洲开发银行 | Asian Development Bank (ADB) |
| 亚洲证券业与金融市场协会 | Asia Securities Industry & Financial Markets Association (ASIFMA) |
| 延时资讯 | delayed data |
| 延续交易证券 | Extended Trading Securities |
| 延续早市 | Extended Morning Session |
| 掩盖资料宽免待遇【证监会】 | masking relief 【SFC】 |
| 衍生产品；衍生工具；衍生品* | derivatives |
| 衍生产品结算及交收系统 | Derivatives Clearing and Settlement System (DCASS) |
| 衍生产品市场/衍生工具市场 | derivatives market |
| 衍生产品市场咨询小组 | Derivatives Market Consultative Panel |
| 衍生品通 | Derivatives Connect |
| 「衍生有道」网页 | Using Derivatives section |
| 衍生权证 | derivative warrant |
| 央行数码货币 | central bank digital currency (CBDC) |
| 扬基债券 | Yankee bond |

| | |
|-------------------------|---|
| 样本股* ; 成份股 | constituents |
| 遥距交易设施 | remote trading access |
| 遥距交易所参与者 | Remote Exchange Participant |
| 要求协助公告 | Request for Assistance Announcement (RFA Announcement) |
| 要约 | offer |
| 业绩公布 | results announcement |
| 业务持续性计划 | Business Continuity Plan |
| 业务划分 | delineation of activities |
| 业务纪录 | track record |
| 业务纪录期 | track record period |
| 伊斯兰债券 | sukuk |
| 一般豁免 | general waiver; blanket waiver |
| 一般权证 | plain vanilla warrant |
| 一般性授权 | general mandate |
| 一带一路指数 | Belt and Road Index |
| 一级市场 | primary market |
| 一级市场信息平台 ; 新债信息通【债券通公司】 | Primary Market Information Platform (PMIP) |
| 一篮子备兑证 | basket warrant |
| 一篮子结构性产品的正股 | Basket Scheduled Stock |
| 一篮子权证 | basket warrant |
| 一篮子指数买卖盘 | index basket order |
| 一线多机 | multiple-workstations |
| 一致行动 | acting in concert |
| 移仓 | transfer |
| 移动平均值 | rolling average |

| | |
|--------------------|--|
| 移动平均值背驰指标 | Moving Average Convergence-Divergence (MACD) |
| 移动装置市场数据订阅服务 | mobile market data subscription service |
| 遗留资产 | legacy asset |
| 移植【结算】 | porting【clearing】 |
| 以按金形式缴付的期权金 | margined premium |
| 以报价/开盘带动 | quote-driven |
| 以股代息 | dividend in specie; scrip dividend |
| 以股换股 | share exchange |
| 以监管机构评审为本 | merit-based |
| 以买卖盘带动 | order-driven |
| 以披露为本 | disclosure-based |
| 「以他人名义代持股份」安排 | “warehousing” arrangement |
| 以物易物的虚晃交易 | banner barter transaction |
| 以先旧后新方式配售 | placing and top-up; top up placing |
| 以现金折算的息股证 | cash settled ELI |
| 以信息披露为重 | disclosure-based |
| 以责务变更的方式进行净额结算 | netting by novation |
| 以最佳价格/条件执行交易的原则 | principle of best execution |
| 已发行股份/股本/股票 | issued shares; outstanding stock |
| 已划分的买卖；已划分成交 | isolated trade |
| 「已划分的买卖」制度【中央结算系统】 | isolated trades system【CCASS】 |
| 已交收数额报告【中央结算系统】 | Settled Position Report【CCASS】 |
| 已停业公司 | dormant company |
| 易变性* | volatility |
| 溢价 | premium |
| 溢利 | profit |

| | |
|-----------------------|---|
| 溢利预测 | profit forecast |
| 议价交易 | negotiated transaction |
| 翌日净额结算系统 | next day net settlement system |
| 逸散性排放 | fugitive emissions |
| 阴阳烛图 | candlestick chart |
| 银行承兑汇票 | banker's acceptance |
| 银行对账表 | bank reconciliation statement |
| 银行间市场清算所股份有限公司（上海清算所） | Shanghai Clearing House (SHCH) |
| 银行结汇体系 | exchange surrender system |
| 银行确认书 | bank confirmation |
| 银行融通额/融资额 | banking facility |
| 银行同业拆借市场 | interbank market |
| 银行证明文件 | bank confirmation |
| 银团成员 | syndicate member |
| 银团贷款 | syndicated loan |
| 银团资本市场中介人 | syndicate capital market intermediary |
| 隐藏交易额买卖盘 | hidden-size order |
| 隐名交易；匿名交易 | anonymous trading |
| 引申波幅 | implied volatility |
| 引申波幅敏感度 | vega |
| 印度卢比兑美元期货 | Indian Rupee vs US Dollar Futures (INR/USD Futures) |
| 印度卢比兑人民币（香港）期货 | Indian Rupee vs Renminbi (Hong Kong) Futures (INR/CNH Futures) |
| 印度卢比货币期货合约 | Indian Rupee Currency Futures |
| 印花税 | stamp duty |

| | |
|----------------|---|
| 英格兰及威尔斯特许会计师公会 | Institute of Chartered Accountants in England and Wales (ICA England & Wales) |
| 英国金融市场行为监管局 | Financial Conduct Authority (FCA) 【UK】 |
| 英国金融业管理局 | Financial Services Authority (FSA) 【UK】 |
| 英国投资管理监管组织 | Investment Management Regulatory Organisation (IMRO) |
| 盈富基金 | Tracker Fund of Hong Kong (TraHK) |
| 盈利 | earnings; profit |
| 盈利对利息倍数 | interest cover; interest coverage |
| 盈利警告 ; 盈警 | profit warning |
| 盈息权证 | dividend accumulator warrant |
| 盈余储备 | surplus reserve |
| 营业日 | business day |
| 营运 / 营业租赁 | operating lease |
| 营运资金 | working capital |
| 荧光屏广播讯息服务 | Broadcast Message Service |
| 影响股价资料 | price-sensitive information |
| 影响市场资料 | market-sensitive information |
| 影子董事 | shadow director |
| 应付即日差额缴款 | intra-day marks payment obligations |
| 应付内地结算备付金报告 | Mainland Settlement Deposit Payable Report |
| 应付内地证券结算保证金报告 | Mainland Security Deposit Payable Report |
| 应付账款 | accounts payable |
| 应急可转债 | contingent convertible bond (CoCo bond) |
| 应计费用 | accrued expenses |
| 应计利息 | accrued interest |

| | |
|----------------------|--|
| 应计收入 | accrued revenue |
| 应计制【会计】 | accrual basis【accounting】 |
| 应纳税所得额* | taxable income |
| 应收账款 | accounts receivable |
| 应用程式界面 | Application Programming Interface (API) |
| 应用服务供应商 | Application Service Provider (ASP) |
| 应用指引【《上市规则》】 | Practice Note【Listing Rules】 |
| 应占股权 | attributable equity interest |
| 硬包销 | hard underwriting |
| 硬货币 | hard currency |
| 永久优先股 | perpetual preference share |
| 永久增长率 | terminal growth rate |
| 永久债券 / 永续债券 | perpetual bond |
| 永续会计准则委员会；可持续核算准则委员会 | Sustainability Accounting Standards Board (SASB) |
| 用户代号 | User ID |
| 用户接纳测试/用户接收测试 | user acceptance test (UAT) |
| 用户终端设施 | user access |
| 「用者自付」原则 | “user pay” principle |
| 佣金回扣 | commission rebate |
| 优化前端监控模式 | Enhanced Pre-Trade Checking Model |
| 优先股 | preference share; preferred share |
| 优先普通股 | preferred ordinary share |
| 优先认购权；优先购买权 | pre-emptive right |
| 优先债券* | senior debt securities |
| 优质证券 | seasoned securities |
| 有担保的卖空交易 | covered short selling |

| | |
|-----------------------|---|
| 有担保隔夜融资利率 | Secured Overnight Financing Rate (SOFR) |
| 有抵押权证 | collateralized warrant |
| 《有关发行人分派股息及其他权益的指引》 | Guide on Distribution of Dividends and Other Entitlements |
| 《有关公告须由交易所预先审阅的规定的指引》 | Guide on pre-vetting requirements for announcements |
| 有关暂时停牌公司之报告 | Temporary Suspension Status Report |
| 有条件现金收购/要约 | conditional cash offer |
| 有条件协议 | conditional agreement |
| 有限合伙基金制度 | limited partnership fund (LPF) regime |
| 有限投票权股份 | limited voting share |
| 有限责任公司 | limited liability company |
| 有限制牌照银行 | restricted licence bank (RLB) |
| 有形资产净值 | net tangible assets |
| 有纸股份 | certificated shares |
| 逾时交易 | late trading |
| 与关联者的交易；关联方交易 | related party transaction |
| 预计平均结算价 | estimated average settlement price (EAS price) |
| 预计资本值 | estimated capital value |
| 预设期货跨期合约 | Predefined Futures Calendar Spreads |
| 预托证券 | depositary receipt |
| 预先审批 | pre-clearance |
| 预先审阅 | pre-vetting |
| 员工多元化政策 | workforce diversity policy |
| 原油期货 | crude oil futures |
| 源指令码 | source code |

| | |
|-----------------------|---|
| 远程联通客户 | Remote Access Client |
| 远东交易所 (1969 年-1986 年) | The Far East Exchange (1969-1986) |
| 远期货币合约 | currency forward |
| 远期利率合约 | Forward Rate Agreement (FRA) |
| 远期权利 | forward entitlement |
| 远期月份 | distant month; back month |
| 远期指数期权/长期指数期权 | long-dated index options |
| 约价* | consideration |
| 约务更替 | novation |
| 粤港澳大湾区跨境理财通计划 | Cross-boundary Wealth Management Connect Scheme in the Guangdong-Hong Kong-Macao Greater Bay Area |
| 粤港澳大湾区绿色金融联盟 | Greater Bay Area Green Finance Alliance (GBA-GFA) |
| 云端运算技术 | cloud computing technologies |

* *Terms commonly used in the Mainland*
内地用语

Z

| | |
|-------------------|---------------------------------------|
| 轧空头* | squeeze |
| 在交易所买卖的期权 | traded option |
| 再融资；后续发行；上市后发行；增发 | follow-on offering |
| 再贴现 | rediscount |
| 再许可 | sub-licence |
| 暂不采取行动豁免 | no-action relief |
| 暂定配额通知书 | provisional letter of allotment |
| 暂搁注册 | shelf registration facility |
| 暂缓还款协议 | standstill agreement |
| 暂缓执行配对交收指示 | hold matched SI |
| 暂记账 | suspense account |
| 暂收款 | temporary receipts |
| 暂停办理过户登记手续 | closure of books; closure of register |
| 暂停时段 | blocking period |
| 暂用节流率 | temporary throttle rate |
| 暂用节流率计划 | Throttle-On-Demand Scheme |
| 暂止期；股份禁售期 | moratorium |
| 早市 | morning session |
| 造价 | price manipulation |
| 造壳活动 | shell manufacturing |
| 造市 | market manipulation |
| 责任承诺书 | responsibility letter |
| 责任声明书 | responsibility statement |
| 责务变更 | novation |

| | |
|--------------------------------|---|
| 责务变更合约 | novated contract |
| 增补/补充上市文件 | supplementary/supplemental listing document |
| 增发权 | upsizing option |
| 增发；再融资；后续发行；上市后发行 | follow-on offering |
| 增强限价盘 | enhanced limit order |
| 增售条款【包销】 | greenshoe【underwriting】 |
| 增值 | accretion |
| 增值服务 | value-added service |
| 增值税 | value added tax (VAT) |
| 摘牌* | delisting |
| 债权股额 | loan stock |
| 债权人 | creditor |
| 债权证 | debenture |
| 债券 | bond; debenture; debt securities; loan stock |
| 债券抵押证券 | Collateralised Bond Obligation (CBO) |
| 债券发行承分销系统 (iDeal) 【中国外汇交易中心】 | Bond Issuance, Underwriting and Distribution system (iDeal) 【CFETS】 |
| 债券通 | Bond Connect |
| 债券通有限公司 (债券通公司) | Bond Connect Company Limited (BCCL) |
| 债务 | indebtedness |
| 债务/股本金比率* | debt-to-equity ratio |
| 债务报表 | indebtedness statement |
| 债务偿还 | debt repayment |
| 债务抵押债券 | Collateralised Debt Obligation (CDO) |
| 债务工具中央结算系统【金管局】 | Central Moneymarkets Unit (CMU) 【HKMA】 |

| | |
|---------------------|---|
| 债务链 | debt chain |
| 债务人 | debtor |
| 债务市场 | debt market |
| 债务证券 | debt securities; loan stock |
| 债转股 | debt-for-equity swap |
| 展期 ; 转仓 | roll-over |
| 斩仓 | margin cut; liquidation; forced liquidation |
| 战略投资者 | strategic investor |
| 战略新兴产业板【内地】 | Strategic Emerging Industries Board 【Mainland】 |
| 涨跌幅限制* | trading limits |
| 漲跌停板措施 | circuit breaker |
| 账簿管理人 ; 配售经办人 | book runner |
| 账龄分析 | aging analysis of accounts |
| 账面净值 | net book value |
| 账面值 | book value |
| 账目调整表 | statement of adjustments |
| 招标发售 | offer by tender |
| 招股机制 | offering mechanism |
| 招股价 | issue price |
| 招股书 ; 招股章程 ; 招股说明书* | prospectus |
| 招股文件网上预览版 | Web Proof Prospectus |
| 折旧 | depreciation |
| 折扣 | discount; haircut |
| 折扣经纪 | discount broker |
| 折让 ; 折价* | discount |

| | |
|-----------------------|--|
| 折让经纪 | discount broker |
| 折现率 | discount rate |
| 帧中继交易网 | frame relay trading network |
| 震仓；震盘* | squeeze |
| 争夺式收购 | contested takeover |
| 征求意见书 | request for proposal |
| 征求意见稿 | exposure draft |
| 征收印花税运作程序 | Operation Procedures for Stamp Duty Collection |
| 整合 | consolidation; integration |
| 整合统筹小组 | Integration Management Office |
| 整批输入核对程序【中央结算系统】 | batch validation run【CCASS】 |
| 整批输入交收指示【中央结算系统】 | SI Batch File Service【CCASS】 |
| 整体持仓 | overall position |
| 整体协调人 | overall coordinator |
| 整体协调人公告 | overall coordinator announcement |
| 政策性金融债 | Policy Bank Bond |
| 正常买卖盘差额 | normal order imbalance |
| 正常运行比率 | uptime |
| 正股 | underlying stock |
| 政府和社会资本合作项目；政府和社会资本合作 | Public Private Partnership (PPP) |
| 政府间气候变化专门委员会 | Intergovernmental Panel on Climate Change (IPCC) |
| 政府债券 | government bond |
| 证监会电子服务网站 | SFC Online Portal |
| 《证监会合规通讯：中介人》 | SFC Compliance Bulletin: Intermediaries |

| | |
|---------------------------|--|
| 证监会论坛 | SFC Regulatory Forum |
| 证监会双重存档事宜顾问小组 | SFC Dual Filing Advisory Group |
| 证券按贷财务提供者 | share margin finance provider (SMFP) |
| 证券保证金融资 | share margin financing |
| 证券保证金融资人 | securities margin financier |
| 证券代号 | stock code |
| 证券的认可价值 | admissible securities value |
| 证券登记公司总会有限公司 | Federation of Shares Registrars Limited |
| 证券抵押品 | securities collateral |
| 证券隔分 | segregation of securities |
| 证券柜台买卖中心（柜买中心）【台湾】 | Taipei Exchange (TPEx) |
| 证券合伙商号 | dealing partnership |
| 证券化 | securitisation |
| 证券化率* | securitisation ratio |
| 证券汇集转按 | margin pooling |
| 《证券及期货（淡仓申报）规则》 | Securities and Futures (Short Position Reporting) Rules |
| 证券及期货事务监察委员会（证监会） | The Securities and Futures Commission (SFC) |
| 证券及期货事务上诉审裁处 | Securities and Futures Appeals Tribunal (SFAT) |
| 证券及期货事务上诉委员会 | Securities and Futures Appeals Panel |
| 《证券及期货事务监察委员会持牌人或注册人操守准则》 | Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission |
| 《证券及期货(在证券市场上市)规则》 | Securities and Futures (Stock Market Listing) Rules |
| 证券及投资管理局【英国】 | Securities and Investment Board (SIB) 【UK】 |
| 证券及衍生产品市场综合网络 | SDNet/2 (Securities and Derivatives Network) |

| | |
|-------------------------------|---|
| 证券交易法【台湾】 | Securities and Exchange Act 【Taiwan】 |
| 证券交易委员会【美国】 | Securities and Exchange Commission (SEC) 【US】 |
| 证券交易自动报价系统【内地】 | Securities Trading Automated Quotation System(STAQS) 【Mainland】 |
| 证券借出人 | securities lender |
| 证券借贷协议书 | securities borrowing and lending agreement (SBLA) |
| 证券经销经纪 | jobber |
| 证券经销经纪印花税 | jobber stamp duty |
| 证券赔偿基金委员会【证监会】 | Securities Compensation Fund Committee 【SFC】 |
| 《证券(披露权益)具报纪录》 | Securities (Disclosure of Interests) Notification History Reports |
| 《证券(披露权益)具报摘要》【刊物】 | Securities (Disclosure of Interests) Notification Summaries 【publication】 |
| 证券批销经纪 | jobber |
| 证券期货局【台湾】 | Securities and Futures Bureau 【Taiwan】 |
| 证券商 | dealer |
| 证券商代表 | dealer's representative |
| 证券商董事 | dealing director |
| 证券商协会有限公司 | The Institute of Securities Dealers Ltd |
| 《证券上市规则》(《香港联合交易所有限公司证券上市规则》) | Exchange Listing Rules (Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited) |
| 证券市场历史研究计划 | Stock Market History Project |
| 证券市场自动化监察及交易分析系统 | Securities Markets Automated Research Training & Surveillance (SMARTS) |
| 证券投资基金 | securities investment fund |
| 证券型代币发行 | security token offering (STO) |
| 证券信用交易* ; 融资融券* | margin trading and securities lending |

| | |
|------------------------------------|---|
| 证券业培训课程 | securities training programme |
| 郑州商品交易所 (郑商所) | Zhengzhou Commodity Exchange (ZCE) |
| 支付和市场基础设施委员会 | Committee on Payments and Market Infrastructures (CPMI) |
| 支付及结算系统委员会(2014 年易名「支付和市场基础设施委员会」) | Committee on Payment and Settlement Systems(CPSS) |
| 芝加哥期货交易所 | Chicago Board of Trade (CBOT) |
| 芝加哥期权交易所 | Chicago Board Options Exchange (CBOE) |
| 芝加哥商品交易所 | Chicago Mercantile Exchange (CME) |
| 芝加哥选择权交易所 | Chicago Board Options Exchange (CBOE) |
| 芝商所 | CME Group |
| 直驳光纤 | dark fibre |
| 直接记存指示 ; 直接存款/存账指示 | Direct Credit Instruction (DCI) |
| 直接结算 | direct clearing |
| 直接结算参与者 | Direct Clearing Participant (DCP) |
| 直接记除指示 ; 直接扣款/扣账指示 | Direct Debit Instruction (DDI) |
| 直接扣除按金系统 | Direct Margin Debiting System (DMDS) |
| 直接纳入中央结算系统的新股 | direct stock admission 【CCASS】 |
| 直线折旧法 | straightline method of depreciation |
| 直通式交易处理运作 ; 直通式交易程序 | straight-through processing |
| 直至到期盘【限价盘】 | Until Expiry 【limit orders】 |
| 执业审核制度 | practice review system |
| 职工股【内地】 | employee share 【Mainland】 |
| 职能划分制度/职能分管制度 | Chinese Wall |
| 职权范围 | terms of reference |
| 《执法通讯》【证监会】 | Enforcement Reporter 【SFC】 |
| 执行报告服务 | drop copy service |

| | |
|---------------|---|
| 执行董事 | executive director |
| 执行风险委员会 | Executive Risk Committee (ERiC) |
| 执业会计师公会【美国】 | Institute of Certified Public Accountants (ICPA) 【US】 |
| 指定分配【期权】 | assignment【options】 |
| 指定顾问【伦敦证券交易所】 | Nominated Adviser (Nomad) 【London Stock Exchange】 |
| 指定银行 | designated bank |
| 指定证券；标的证券* | designated securities |
| 纸黄金 | paper gold |
| 止蚀盘；止损委托* | stop order; stop-loss order |
| 止蚀限价盘 | stop limit order |
| 指示价格 | indicative price |
| 指数变数；指数变体 | index variant |
| 指数参与单位 | index participation unit |
| 指数掉期 | index swap |
| 指数挂钩及低收费产品 | indexing and low cost product |
| 指数加权移动平均方法 | exponentially-weighted moving average |
| 指数牌照费 | index license fees |
| 指数期货 | index futures |
| 指数权证 | index warrant |
| 指数认购权证 | index call warrant |
| 指数套戥 | index arbitrage |
| 指数预托证券 | index depositary receipt; index share |
| 指数债券 | index bond |
| 指引信 | guidance letter |

| | |
|---------------------------|---|
| 指引摘要【《上市规则》】 | Guidance Note 【 Listing Rules 】 |
| 「只限长仓」期权经纪 | Long Only Brokers for Options (LOBO) |
| 制订系统规模 | system sizing |
| 智慧型投资策略 ETF | smart beta ETF |
| 制造业采购经理指数 | Purchasing Managers' Index (PMI) |
| 质押式回购* | collateralised repo |
| 滞胀 | stagflation |
| 忠诚保险计划 | fidelity insurance scheme |
| 中国 A 股连接产品 | China A-Share Access Products (CAAP) |
| 中国保险监督管理委员会 (中国保监会) | China Insurance Regulatory Commission (CIRC) |
| 中国存托凭证* | Chinese depositary receipt (CDR) |
| 中国国际金融有限公司 | China International Capital Corporation Ltd (CICC) |
| 中国国际经济贸易仲裁委员会 | China International Economic and Trade Arbitration Commission |
| 中国国家现代化支付系统 | China National Advanced Payment System (CNAPS) |
| 中国结算参与人 | ChinaClear Participant |
| 中国金融期货交易所 (中金所) | China Financial Futures Exchange (CFFEX) |
| 中国会计学会 | Accounting Society of China (ASC) |
| 中国会计准则委员会 | China Accounting Standards Committee |
| 中国内地地区折扣优惠计划 | Mainland China Discount Programme |
| 中国期货市场监控中心有限责任公司 (中国期监) | China Futures Margin Monitoring Center Co., Ltd (CFMMC) |
| 中国期货业协会 | China Futures Association |
| 中国企业改革与发展研究会 (中企研) | China Enterprise Reform and Development Society (CERDS) |
| 《中国企业会计准则》 | China Accounting Standards for Business Enterprises (CASBE) |

| | |
|-------------------------------|---|
| 中国人民银行 | People's Bank of China (PBC) |
| 中国上市公司协会 | China Association for Public Companies |
| 中国审计准则委员会 | Chinese Auditing Standards Board |
| 中国投资发展促进会 | China Association for the Promotion of Investment (CAPI) |
| 中国投资信息有限公司 | China Investment Information Services Limited (CIIS) |
| 中国投资有限责任公司 | China Investment Corporation Ltd (CIC) |
| 中国外汇交易中心 | China Foreign Exchange Trade System (CFETS) |
| 中国银行保险监督管理委员会（中国银保监会） | China Banking and Insurance Regulatory Commission (CBIRC) |
| 中国银行间市场交易商协会（交易商协会） 【内地】 | National Association of Financial Market Institutional Investors (NAFMII) 【Mainland】 |
| 中国银行业监督管理委员会（中国银监会） | China Banking Regulatory Commission (CBRC) |
| 中国预托证券 | Chinese depositary receipt (CDR) |
| 中国证券登记结算有限责任公司（中国证券登记结算或中国结算） | China Securities Depository and Clearing Corporation Limited (CSDC or China Clear) |
| 中国证券监督管理委员会（中国证监会） | China Securities Regulatory Commission (CSRC) |
| 《中国证券监督管理委员会公告》 | China Securities Regulatory Commission Official Bulletin 【publication】 |
| 中国证券金融股份有限公司 | China Securities Finance Corporation Limited (CSF) |
| 中国证券市场网页 | China Stock Markets Web |
| 中国证券投资基金业协会（中国基金业协会） | Asset Management Association of China (AMAC) |
| 中国证券投资者保护基金有限责任公司【内地】 | China Securities Investor Protection Fund Corporation Limited 【Mainland】 |
| 中国证券业协会 | The Securities Association of China (SAC) |

| | |
|------------------------------------|---|
| 中国证券业协会基金公会 | The Chinese Association of Securities Investment Funds(CASIF) |
| 中国证券业协会证券分析师专业委员会 | Securities Analysts Association of China (SAAC) |
| 《中国注册会计师审阅准则》 | China Standards on Review Engagements |
| 中国注册会计师协会 | The Chinese Institute of Certified Public Accountants (CICPA) |
| 中华港股通优选 50 指数 (中华港股通优选 50) | CES Stock Connect Hong Kong Premier 50 Index (CES SCHK50) |
| 中华交易服务 A 股外资优先配置指数 | CES Foreign A-Shares Choice Index |
| 中华交易服务半导体行业指数 | CES China Semiconductor Index |
| 中华交易服务博彩业指数 (中华博彩指数) | CES Gaming Top 10 Index (CES G10) |
| 中华交易服务博彩业指数期货 (博彩业期货) | CES Gaming Top 10 Index Futures |
| 中华交易服务创新生物科技指数 | CES Innovative Biotech Index |
| 中华交易服务房地产投资信托基金指数 (中华房地产信托基金指数) | CES REIT Index (CES REIT) |
| 中华交易服务港股通成长指数 | CES SCHK Growth Index |
| 中华交易服务港股通泛休闲娱乐指数 (中华港股通泛休闲娱乐指数) | CES SCHK Pan-Entertainment and Leisure Index (CES SCHK E&L) |
| 中华交易服务港股通高股息低波动指数 (中华港股通高息低波指数) | CES SCHK High Yield Low Volatility Index (CES SCHK HYLV) |
| 中华交易服务港股通护城河指数 | CES SCHK Moat Index |
| 中华交易服务港股通价值指数 | CES SCHK Value Index |
| 中华交易服务港股通精选 100 指数 (中华港股通精选 100) | CES Stock Connect Hong Kong Select 100 Index (CES SCHK100) |
| 中华交易服务 (沪深港) 互联互通指数系列 | CES Stock Connect Index Series |
| 中华交易服务沪深港 300 指数 (中华沪深港 300) | CES Stock Connect 300 Index (CES 300) |

| | |
|-----------------------------|--|
| 中华交易服务陆股通行业龙头指数 | CES SCA Industry Top Index |
| 中华交易服务香港生物科技指数 | CES HK Biotechnology Index |
| 中华交易服务一带一路指数 (中华一带一路指数) | CES Belt and Road Index (CES OBOR) |
| 中华交易服务预期高股息指数 | CES Forecast High Dividend Yield Index (CES FHY) |
| 中华交易服务粤港澳大湾区指数 | CES Greater Bay Area Index |
| 中华交易服务粤港澳大湾区优势产业指数 | CES Greater Bay Area Industries Select Index |
| 中华交易服务中国 A80 指数 (中华 A80) | CES China A80 Index (CES A80) |
| 中华交易服务中国 120 指数 (中华 120) | CES China 120 Index (CES 120) |
| 中华交易服务中国 280 指数 (中华 280) | CES China 280 Index (CES 280) |
| 中华交易服务中国海外民企指数 (中华民企指数) | CES China Private Elite Index (CES P Elite) |
| 中华交易服务中国跨境指数系列 | CES China Cross Border Index Series |
| 中华交易服务中国香港内地指数 (中华香港内地指数) | CES China HK Mainland Index (CES HKMI) |
| 中华通服务特别规则 | China Connect Service Special Rules |
| 中华通特别证券 | Special China Connect Securities |
| 中华通中央交易网关 | China Connect Central Gateway (CCCG) |
| 中华证券交易服务有限公司 (中华交易服务) | China Exchanges Services Company Limited (CESC) |
| 中华证券通 (中证通) | China Stock Connect (CSC) |
| 中间行使价 | middle exercise price |
| 中介机构/团体 | intermediary |
| 中介控股公司 | intermediate holding company |
| 中介现象 | intermediation |
| 中欧国际交易所 (中欧所) | China Europe International Exchange (CEINEX) |

| | |
|-------------------------------|---|
| 中期报告 | interim report |
| 中期借贷便利操作【内地】 | medium-term lending facility (MLF) 【Mainland】 |
| 中途停牌；短暂停牌 | trading halt |
| 中外合资企业 | Sino-foreign equity joint venture |
| 中位价期权 | middle-priced option |
| 中午资料传送服务 | Mid-day Data File Transfer Service |
| 中小企业板【深交所】 | Small and Medium Enterprise Board (SME Board) 【SZSE】 |
| 中小创新指数【深交所】 | SZSE Small/Mid Cap Innovation Index 【SZSE】 |
| 中型股 | mid-cap stock |
| 中央存管处 | central depository |
| 中央代理人 | central nominee |
| 中央股份借贷系统 | centralised borrowing and lending system |
| 中央挂盘册 | central order book |
| 中央国债登记结算有限责任公司（中债登） | China Central Depository & Clearing Company Limited (CCDC) |
| 中央汇金投资有限责任公司 | Central Huijin Investment Ltd |
| 中央交易纪录 | central transaction log |
| 中央结算对手；中央交易对手；中央交易对手结算所；中央对手方 | central counterparty (CCP) |
| 中央结算及交收系统(中央结算系统) | Central Clearing and Settlement System (CCASS) |
| 中央结算系统保证基金 | CCASS Guarantee Fund |
| 中央结算系统参与者保荐户口 | CCASS Participant Sponsored Account |
| 中央结算系统参与者及指定银行名录 | CCASS Participant & Designated Bank List |
| 中央结算系统登记册 | CCASS Register |
| 中央结算系统互联网系统 | CCASS Internet System |

| | |
|---|--|
| 中央结算系统强制证券借贷服务 | Compulsory Stock Borrowing and Lending Service in CCASS |
| 《中央结算系统一般规则》 | General Rules of HKSCC |
| 《中央结算系统运作程序规则》 | HKSCC Operational Procedures |
| 中央结算系统证券存管处 | CCASS Depository |
| 中央控制工作站 | controller workstation |
| 中央买卖盘纪录 | central order book |
| 中央交易网关 | Central Gateway |
| 中央证券存管处国际会议 | Conference of Central Securities Depositories (CCSD) |
| 中债估值中心 | Chinabond Pricing Center |
| 中证恒生沪港通 AH 股精明指数 (沪港通 AH 股精明指数) | Hang Seng CSI Shanghai-Hong Kong AH Smart Index (SHHCSI) |
| 中证流通指数 | China Securities Free Floating Index |
| 中证指数有限公司 (中证指数公司) | China Securities Index Company Limited (CSI) |
| 中资企业控股公司 (红筹股) | China-controlled company (Red Chip) |
| 「终止及停止」令 | "cease and desist" order |
| 众筹活动 | crowd-funding activity |
| 洲际交易所 | Intercontinental Exchange (ICE) |
| 周转率 / 交易流通速度 / 流通比率 / 转手率 / 流转率 / 换手率* | turnover rate; velocity |
| 逐日盯市* | mark to market / mark-to-market |
| 逐项交收 | trade-for-trade settlement |
| 烛柱图 | candlestick chart |
| 主板 | main board |
| 主办券商* | chief agency broker |
| 主场中央结算所 | Host Clearing House |

| | |
|-------------|---|
| 主承销商* | lead underwriter |
| 主权风险 | sovereign risk |
| 主题稽核 | theme inspection |
| 主要保荐人 | primary sponsor |
| 主要股东 | major shareholder; substantial shareholder |
| 主要交易 | major transaction |
| 主要经办人；牵头经办人 | lead manager |
| 主要经济指标 | leading economic indicator |
| 主要上市 | primary listing |
| 主要主管【GEM】 | principal supervisor【GEM】 |
| 主要庄家 | primary market maker |
| 注册融资人 | registered financier |
| 注册商号 | registered firm |
| 注册证券商 | registered dealer |
| 注册中介团体 | registered intermediary |
| 注册庄家 | Registered Trader |
| 住房和城乡建设部 | Ministry of Housing and Urban-Rural Development |
| 注释备忘录 | explanatory memorandum |
| 注销股份 | cancelled share |
| 助理主管【GEM】 | assistant supervisor【GEM】 |
| 专家咨询小组 | advisory specialist group |
| 专题深度研讨会 | deep-dive workshop |
| 专线网络系统 | Proprietary Network System (PNS) |
| 专业银行* | specialised bank |
| 专用交易系统 | proprietary trading system |
| 专用线路 | dedicated line |

| | |
|---|--|
| 专责监察主任 | Designated Compliance Officer |
| 转按 | re-pledging |
| 转拨 | transfer |
| 转仓；展期 | roll-over |
| 转换代理人 | conversion agent |
| 转配股【内地】 | individually held state and legal-person share; transfer right share【Mainland】 |
| 转让 | assignment; transfer |
| 转让差价所得税* | capital gains tax (CGT) |
| 转让人 | assignor; transferor |
| 转融通* | refinance / refinancing |
| 转手率 / 流转率 / 交易流通速度 / 流通比率 / 周转率 / 换手率* | turnover rate; velocity |
| 转手纸 | transfer deed; transfer form |
| 转数快【金管局】 | Faster Payments System (FPS) 【HKMA】 |
| 转托管* | designation transfer |
| 转型债券 | transition bond |
| 转移【期权】 | give-up【options】 |
| 庄家 | market maker |
| 庄家活动 | market making |
| 庄家之经销交易 | jobbing transaction |
| 装置机柜 | equipment rack |
| 追补按金；追加保证金通知* | margin call |
| 准备【会计】 | provision【accounting】 |
| 卓越证券数据【数据传送专线】 | Securities Premium【datafeed】 |
| 酌情权 | discretionary power |

| | |
|-------------|-------------------------------------|
| 酌情支付的花红 | discretionary bonus payment |
| 资本充裕程度 | capital adequacy |
| 资本充裕 / 充足比率 | capital adequacy ratio |
| 资本重整 | recapitalisation |
| 资本筹集 | capital formation |
| 资本储备 | capital reserve |
| 资本额厘定的持仓限额 | capital-based position limit (CBPL) |
| 资本负债比率 | gearing ratio |
| 资本化 | capitalisation |
| 资本化发行 | capitalisation issue |
| 资本亏损 | capital loss |
| 资本市场 | capital market |
| 资本市场中介人 | capital market intermediary |
| 资本调整 | capital adjustment |
| 资本项目* | capital account |
| 资本增益 | capital gain |
| 资本增益/增值税 | capital gains tax (CGT) |
| 资本利得税* | capital gains tax (CGT) |
| 资本增值 | capital appreciation; capital gain |
| 资本增值权证 | capital plus warrant |
| 资本账 | capital account |
| 资本支出 | capital expenditure |
| 资本值 | capital value |
| 资不抵债 | insolvency |
| 资产 | asset |
| 资产保证 | asset coverage |

| | |
|--------------------------------|--|
| 资产拆卖 | asset stripping |
| 资产担保证券* ; 资产抵押证券 ; 资产支持 证券* | asset-backed securities (ABS) |
| 资产调换 | asset swap |
| 资产调配/调度 | asset allocation |
| 资产覆盖率 | asset coverage |
| 资产负债表 | balance sheet |
| 资产负债表外金融工具 | off-balance sheet (financial) instrument |
| 资产负债表以外之承担/项目 | off-balance sheet exposure |
| 资产管理规模 ; 管理资产总值 | assets under management (AUM) |
| 资产净值 | net asset value |
| 资方信托人 | employer trustee |
| 资格股 | qualification share |
| 资金表 | fund statement |
| 资金股本化 | capitalisation issue |
| 资金会计法 | fund accounting approach |
| 资金流向 | fund flow |
| 资金平衡 | fund balancing |
| 资金运用 | fund utilisation |
| 资料备忘录 | information memorandum |
| 资料集 | information pack |
| 资料披露 | disclosure |
| 资料印证工作函 | Comfort Letter |
| 资讯档案 | news file |
| 资讯发布/发放 | information dissemination; news dissemination |
| 资讯服务 | information service |

| | |
|-------------------|--|
| 资讯供货商；信息供应商*；信息商* | information vendor |
| 资讯披露公告板 | Bulletin Board for Information Disclosure |
| 孳息 | yield |
| 咨询委员会【证监会】 | Advisory Committee 【SFC】 |
| 咨询小组遴选委员会 | Panel Member Selection Committee (PMSC) |
| 仔细审查/审核 | due diligence |
| 自订条款指数期权 | Flexible Index Options |
| 自动对盘交易 | Automatch Trade |
| 自动对盘股份 | automatch stock |
| 自动化交易服务 | automated trading services (ATS) |
| 自动化交易服务提供者 | ATS provider |
| 自动荧幕交易系统 | automated screen trading system (AST system) |
| 自动暂缓交易机制 | circuit breaker |
| 自发性收购 | management buy-out (MBO) |
| 自律监管机构 | self-regulatory organisation; self-regulating organisation |
| 自然资源部 | Ministry of Natural Resources |
| 自行成交防范 | self-match prevention (SMP) |
| 自行结算 | self-clearing |
| 自行结算参与者 | Self Clearing Participant (SCP) |
| 自选组合功能 | Tailor-Made Combination (TMC) |
| 自选组合买卖盘 | tailor-made combo order |
| 自营交易簿 | proprietary trading book |
| 自营交易员；自营交易公司 | proprietary trader |
| 自营结算 | self-clearing |
| 自营买卖 | proprietary trading |

| | |
|-----------------|---|
| 自营商* | dealer |
| 自由兑换 | free convertibility |
| 自由增购率 | “trading only” stocks |
| 自愿认证减排量 | Verified Emission Reduction (VER) |
| 自置光纤线路 | private fibre optical circuit |
| 自主评级【银行】 | Individual rating 【banking】 |
| 综合表 | composite table |
| 综合财务报表 | consolidated financial statement |
| 综合分户口 | omnibus client sub-account |
| 综合风险 | composite risk |
| 综合复制策略；合成模拟策略 | synthetic replication strategy |
| 综合户口 | omnibus account / omnibus client account |
| 综合基金平台 | Integrated Fund Platform (IFP) |
| 综合买卖 | composite trades |
| 综合盘/组合盘 | combination order; combo order; composite order |
| 总按金价值 | total margin value |
| 总持仓限额 | gross limit |
| 总额按金计算 | gross margining |
| 总额度余额 | aggregate quota balance |
| 总市值 | total market capitalisation; aggregate market value |
| 总停按钮会话 | Kill Switch session |
| 「走出去买」和「走进来建」战略 | buy-and-build strategy |
| 组播数据传送专线 | multicast datafeed |
| 组合分析仪【期权】 | Portfolio Analyser 【options】 |
| 「组合股」 | Exchange Traded Fund (ETF) |

| | |
|---------------|---|
| 组合盘/综合盘 | combination order; combo order; composite order |
| 组合式流通量提供者优惠计划 | Bundled Liquidity Providing Incentive Program |
| 组合折抵率 | spread credit rate |
| 组织章程大纲；组织大纲 | memorandum of association |
| 《组织章程大纲及章程细则》 | Memorandum and Articles of Association |
| 组织章程 | constitution |
| 组织章程细则；章程细则 | articles of association |
| 最初发起人 | ultimate originator |
| 最大差价限额 | maximum spread |
| 最低豁免规定 | de minimus waiver provision |
| 最低价格变动 | minimum price fluctuation; tick (size) |
| 最低交易数额 | minimum transaction size |
| 最低上落价位 | minimum price fluctuation; tick (size); minimum spread |
| 最短回复开价时间 | minimum response time |
| 最后成交价 | last trade price; last traded price; last recorded price |
| 最后贷款人 | lender of last resort |
| 最后复核聆讯 | final review hearing |
| 最后交易日 | Last Trading Day |
| 最后结算表 | Final Clearing Statement |
| 最后结算价；最终结算价 | Final Settlement Price |
| 最后结算价 | Final Settlement Value |
| 最后结算日 | Final Settlement Day |
| 最后完成日期 | longstop date |
| 最后行使日 | last exercise day |
| 最后一轮交收处理程序 | Final Settlement Run |

| | |
|----------------|---|
| 最佳成交价 | best execution price |
| 最佳价格 | best price |
| 最佳价格盘 | at-best order |
| 最佳企业管治资料披露大奖 | Best Corporate Governance Disclosure Awards |
| 《最佳应用守则》 | Code of Best Practice |
| 最少开价数量 | minimum quote quantity |
| 最终接收使用体【资讯供应商】 | End User Receptor 【information vendors】 |
| 最终实益持有人 | ultimate beneficial holder |
| 最终受益人 | ultimate beneficiary |
| 最终用户/使用者 | end user |
| 最终用户授权 | End-user Licence |
| 做价 | kiting |
| 做空* | short selling / short sale |
| 做市商* | market maker |
| 作价买卖 | market making |
| 作实买卖价 | firm quote |
| 坐盘 | proprietary trading |

* Terms commonly used in the Mainland
内地用语

其他

| | |
|--------------------------------------|--|
| 24 个价位规则 | 24-spread rule |
| alpha 系数 | alpha coefficient |
| BRICS 交易所联盟 | BRICS Exchanges Alliance |
| CCASS 网上股权披露服务 | Online CCASS Shareholding Disclosure Service |
| CFA 协会 | CFA Institute |
| CFETS 人民币汇率指数 | CFETS RMB exchange rate index |
| delta 零值 | delta neutral |
| delta 式对冲 | delta hedge |
| ELI 计算机 | ELI Calculator |
| 《GEM 上市规则》(《香港联合交易所有限公司 GEM 证券上市规则》) | GEM Listing Rules(Rules Governing the Listing of Securities on the GEM of the Stock Exchange of Hong Kong Limited) |
| GEM 上市委员会 | GEM Listing Committee |
| 《GEM 投资者指南》 | GEM Investor Guide |
| H 股「全流通」计划 | H share full circulation scheme |
| H 股指数期货 | H-shares Index Futures |
| H 股指数期权 | H-shares Index Options |
| HKATS 错价交易复核小组 | HKATS Error Trade Review Panel |
| HKATS 电子交易系统 | Hong Kong Futures Automated Trading System |
| KLD 精选社会指数 | KLD Select Social Index |
| KLD 宽基可持续发展指数 | KLD Broad Market Sustainability Index |
| MSCI 澳洲净总收益 (美元) 指数期货 | MSCI Australia Net Total Return (USD) Index Futures |
| MSCI 菲律宾 (美元) 指数期货 | MSCI Philippines (USD) Index Futures |

| | |
|-------------------------------------|--|
| MSCI 菲律宾净总收益 (美元) 指数期货 | MSCI Philippines Net Total Return (USD) Index Futures |
| MSCI 马来西亚 (美元) 指数期货 | MSCI Malaysia (USD) Index Futures |
| MSCI 马来西亚净总收益 (美元) 指数期货 | MSCI Malaysia Net Total Return (USD) Index Futures |
| MSCI 纽西兰净总收益 (美元) 指数期货 | MSCI New Zealand Net Total Return (USD) Index Futures |
| MSCI 日本 (日元) 指数期货 | MSCI Japan (JPY) Index Futures |
| MSCI 日本净总收益 (美元) 指数期货 | MSCI Japan Net Total Return (USD) Index Futures |
| MSCI 日本净总收益 (日元) 指数期货 | MSCI Japan Net Total Return (JPY) Index Futures |
| MSCI 泰国 (美元) 指数期货 | MSCI Thailand (USD) Index Futures |
| MSCI 泰国净总收益 (美元) 指数期货 | MSCI Thailand Net Total Return (USD) Index Futures |
| MSCI 太平洋 (日本除外) 净总收益 (美元) 指数期货 | MSCI Pacific ex Japan Net Total Return (USD) Index Futures |
| MSCI 太平洋净总收益 (美元) 指数期货 | MSCI Pacific Net Total Return (USD) Index Futures |
| MSCI 台湾 (美元) 指数期货 | MSCI Taiwan (USD) Index Futures |
| MSCI 台湾 (美元) 指数期权 | MSCI Taiwan (USD) Index Options |
| MSCI 台湾净总收益 (美元) 指数期货 | MSCI Taiwan Net Total Return (USD) Index Futures |
| MSCI 新加坡净总收益 (美元) 指数期货 | MSCI Singapore Net Total Return (USD) Index Futures |
| MSCI 新加坡自由 (新加坡元) 指数期货 | MSCI Singapore Free (SGD) Index Futures |
| MSCI 新加坡自由净总收益 (美元) 指数期货 | MSCI Singapore Free Net Total Return (USD) Index Futures |
| MSCI 香港净总收益 (美元) 指数期货 | MSCI Hong Kong Net Total Return (USD) Index Futures |
| MSCI 新兴市场 (韩国除外) 净总收益 (美元) 指数期货 | MSCI EM ex Korea Net Total Return (USD) Index Futures |
| MSCI 新兴市场净总收益 (美元) 指数期货 | MSCI Emerging Markets Net Total Return (USD) Index Futures |

| | |
|---------------------------------------|--|
| MSCI 新兴市场拉丁美洲净总收益 (美元) 指数期货 | MSCI EM LatAm Net Total Return (USD) Index Futures |
| MSCI 新兴市场 (美元) 指数期货 | MSCI Emerging Markets (USD) Index Futures |
| MSCI 新兴市场欧非中东净总收益 (美元) 指数期货 | MSCI EM EMEA Net Total Return (USD) Index Futures |
| MSCI 新兴市场亚洲 (韩国除外) 净总收益 (美元) 指数期货 | MSCI EM Asia ex Korea Net Total Return (USD) Index Futures |
| MSCI 新兴市场亚洲净总收益 (美元) 指数期货 | MSCI EM Asia Net Total Return (USD) Index Futures |
| MSCI 新兴市场亚洲 (中国除外) 净总收益 (美元) 指数期货 | MSCI EM Asia ex China Net Total Return (USD) Index Futures |
| MSCI 新兴市场 (中国除外) 净总收益 (美元) 指数期货 | MSCI EM ex China Net Total Return (USD) Index Futures |
| MSCI 印度 (美元) 指数期货 | MSCI India (USD) Index Futures |
| MSCI 印度净总收益 (美元) 指数期货 | MSCI India Net Total Return (USD) Index Futures |
| MSCI 印尼 (美元) 指数期货 | MSCI Indonesia (USD) Index Futures |
| MSCI 印尼净总收益 (美元) 指数期货 | MSCI Indonesia Net Total Return (USD) Index Futures |
| MSCI 越南 (美元) 指数期货 | MSCI Vietnam (USD) Index Futures |
| MSCI 越南净总收益 (美元) 指数期货 | MSCI Vietnam Net Total Return (USD) Index Futures |
| MSCI 亚洲除日本净总回报指数期货 | MSCI AC Asia ex Japan Net Total Return Index Futures |
| MSCI 中国 A50 互联互通指数 | MSCI China A 50 Connect Index |
| MSCI 中国自由净总收益 (美元) 指数期货 | MSCI China Free Net Total Return (USD) Index Futures |
| OMnet 应用程式界面 | OMnet Application Programming Interface (OAPI) |
| SDR 计价债券 | SDR Bond (Mulan Bond) |
| SMARTS 衍生产品监察系统 | SMARTS Derivatives Surveillance Systems |

| | |
|-----------------------|---|
| SPAC 并购公告 | de-SPAC announcement |
| SPAC 并购交易 | de-SPAC transaction |
| SPAC 并购目标 | de-SPAC target |
| SPSA 集中管理服务 | Master SPSA Service |
| SPSA 集中管理账号 | Master SPSA ID |
| SPSA 集中管理账号持有人 | Master SPSA Holder |
| T + 2 交收制度 | T + 2 settlement system |
| T + 2 日完成款项交收 | T + 2 Finality |
| TOPIC 系统【英国】 | Teletext Output of Price Information by Computer (TOPIC) 【UK】 |
| TSI CFR 中国铁矿石 62%铁粉期货 | TSI Iron Ore Finess 62 per cent Fe CFR China Futures |
| VaR 平台预习计划 | VaR Platform Familiarisation Programme |

LME (金属及商品市场词汇)

| | |
|------------------|--|
| 阿格斯 / 麦氏煤炭价格指数报告 | Argus/McCloskey's Coal Price Index Report |
| 按毛额计算的客户综合户口 | gross client omnibus account (GROSA) |
| 按星期交割日 | weekly prompt dates |
| 按月交割日 | monthly prompt dates |
| 钯 ; 钯金 | palladium |
| 白银 | silver |
| 半加工铝制品 | semi-fabricated aluminium |
| 半制成品 | semis |
| 北美特种铝合金合约 | North American Special Aluminium Alloy Contract (NASAAC) |
| 焙烧钼精矿 | roasted molybdenum concentrate (RMC) |
| 本地伦敦白银 | Loco London Silver |
| 本地伦敦黄金 | Loco London Gold |
| 变现浮动保证金 | Realised Variation Margin (RVM) |
| 标准铅 | standard lead |
| 铂金 | platinum |
| 不锈钢 | stainless steel |
| 采矿 | mining |
| 仓单 | warrant |
| 仓单掉期合约 | warrant swaps |
| 仓单互换交易 | warrant swap trading |
| 仓库 | warehouse |
| 仓库仓单 | warehouse receipt |
| 仓库代理人 | warehouse agent |

| | |
|--------------------|--|
| 仓库核准使用费 | warehouse listing fee |
| 仓盘转移工具 | position transfer tool |
| 场内电话经纪助理 | telephone clerk |
| 场内交易衍生产品 | exchange traded derivatives (ETD) |
| 场内经纪助理 | clerk |
| 场外的办公室电话市场 | inter-office telephone market |
| 出仓率 | load out rate |
| 出货率 | delivery out rate |
| 次日交割 | cash today |
| 次要金属；小金属 | minor metal |
| 存货分销商 | stockist |
| 大宗商品期货合约 | bulk commodities futures contract |
| 单边平仓 | lifting a leg |
| 抵销保值；抵销套期保值；套期平仓 | offset hedge |
| 第二轮特定商品交易【第一节】 | second Ring 【First session】 |
| 第三轮特定商品交易【第二节】 | third Ring 【Second session】 |
| 第四轮商品交易（混合交易）【第二节】 | fourth Ring (kerb) 【Second session】 |
| 第一轮特定商品交易【第一节】 | first Ring 【First session】 |
| 递交港；发货港 | delivery port |
| 电话交易 | telephone trading; telephone (inter-office market) |
| 电解铜 | copper cathode |
| 调仓 | switch |
| 调查定价 | survey pricing |
| 调期 | carry |
| 地区「全包」价格 | regional “all-in” price |
| 锭；铸块 | ingot |

| | |
|----------------|--------------------------------------|
| 动量策略 | momentum strategies |
| 短期调期交易 | short-dated carries |
| 对冲溢价 | premium hedging |
| 发单过程 | warranting process |
| 发货港；递交港 | delivery port |
| 放弃；弃权 | abandon |
| 非净额持仓综合账户 | gross aggregated account |
| 非正式牌价 | unofficial price |
| 非注册仓单库存 | off-warrant stocks |
| 废钢 | steel scrap |
| 风险值；蒙受风险的价值 | value-at-risk (VaR) |
| 复合金属 | composite metal |
| 钢坯 | billet / steel billet |
| 隔日调期 | TOM/NEXT carry trade |
| 隔月移仓 | monthly roll trade |
| 公开喊价 | open outcry |
| 公开喊价圈；交易圈；交易场地 | Ring |
| 公平下单费 | fair booking fee |
| 钴 | cobalt |
| 硅 | silicon |
| 滚动日交割机制 | rolling prompt date mechanism |
| 核准采样及检测商 | Listed Sampler and Assayer (LSA) |
| 核准仓库 | approved warehouse; listed warehouse |
| 核准品牌 | listed brand |
| 黑色金属；铁类金属 | ferrous metal |
| 混合交易；综合交易 | Kerb trading |

| | |
|----------------|------------------------------------|
| 基本价格 | basis price |
| 基本金属；基础金属 | base metal |
| 基差风险 | basis risk |
| 加工厂 | converter |
| 加工冶炼商 | custom smelter |
| 价格阻力位 | resistance level |
| 检测；检验分析 | assaying |
| 交割 | delivery |
| 交割等级 | deliverable grade |
| 交割地点 | delivery point |
| 交割日；交割日期；交收日期 | prompt date |
| 交割日前滚 / 转动 | rolling prompt date |
| 焦煤 | coking coal |
| 交收日期；交割日；交割日期 | prompt date |
| 校验范围 | scanning range |
| 交易回合 | round turn |
| 交易平均价期权 | Traded Average Price Option (TAPO) |
| 交易圈；交易场地；公开喊价圈 | Ring |
| 交易圈交易商；交易场地交易商 | Ring dealer |
| 交易所持仓量 | exchange open interest |
| 交易所合约 | exchange contract |
| 交易所用户费 | Exchange User Fee |
| 交易压缩费 | charges for trade compression |
| 交易压缩服务 | trade-compression service |
| 交易资料储存库汇报服务 | trade repository reporting service |
| 结算 | settle |

| | |
|--------------|---|
| 金属半制成品加工商 | semi-fabricator |
| 金属加工商 | fabricator |
| 金融机构场外下单费 | financial OTC booking fee |
| 精炼 | refinery |
| 开票保证金 | invoice deposit |
| 利润系数 | profit factor |
| 炼铜商 | copper converter |
| 铝 | aluminium |
| 铝棒 | aluminum rod |
| 铝锭 | aluminum billet |
| 铝合金 | aluminium alloy |
| 铝加工厂 | aluminium converter |
| 铝卷 | aluminium coil |
| 流通量路线图 | Liquidity Roadmap |
| 轮候队伍租金上限 | queue-based rent capping |
| 伦敦铂金及钯金市场 | London Platinum and Palladium Market (LPPM) |
| 伦敦代理 | London agent |
| 伦敦黄金市场定盘有限公司 | The London Gold Market Fixing Ltd |
| 伦敦金属交易所 | London Metal Exchange (LME) |
| 伦敦金银市场协会 | The London Bullion Market Association |
| 伦敦铝期货小型合约 | London Aluminium Mini Futures |
| 伦敦镍期货小型合约 | London Nickel Mini Futures |
| 伦敦锡期货小型合约 | London Tin Mini Futures |
| 伦敦锌期货小型合约 | London Zinc Mini Futures |
| 伦敦铅期货小型合约 | London Lead Mini Futures |
| 伦敦铜期货小型合约 | London Copper Mini Futures |

| | |
|--------------------------------|--|
| 伦港通 | London-Hong Kong Connect |
| 螺纹钢* | steel rebar |
| 卖出套期保值 | short hedge |
| 每日仓位报告系统 | daily position reporting system (DPRS) |
| 每日交割的结构 | daily (prompt) date structure |
| 每月平均结算价格 | monthly average settlement price (MASP) |
| 镁 | magnesium |
| 锰 | manganese |
| 钼 | molybdenum |
| 镍 | nickel |
| 屏幕交易 | screen trading |
| 期货佣金商 | Futures Commission Merchant (FCM) |
| 期货转现货 | exchange for physical (EFP) |
| 期货转现货组合 | EFP spread |
| 弃权；放弃 | abandon |
| 铅 | lead |
| 千克金条标准 | kilo-bar standards |
| 前滚 | roll |
| 清算 | clearing |
| 清算所 | clearing house |
| 青铜 | bronze |
| 热轧卷板 | hot rolled coil |
| 《认可交收仓库、认可精炼厂、认可运输公司及认可检测机构名单》 | List of Recognised Depositories, Refiners, Forwarders and Assayers |
| 圈内交易会员 | Ring Dealing Member |
| 软性商品 | soft commodities |

| | |
|------------------|---|
| 入库及出库量挂钩的提存规则 | linked load-in load-out (LIFO) rule |
| 商品基金经理 | Commodity Pool Operator (CPO) |
| 商品交易顾问 | Commodity Trade Adviser (CTA) |
| 生产商套期保值 | producer's hedge |
| 生产商支配价 | producer-dictated price |
| 实物商品市场；终端市场 | terminal market |
| 市场交易仓位 | market position |
| 双重身份交易 | dual capacity trading |
| 水平价差初始保证金计演算法 | inter-prompt spread methodology |
| 锁价保值 | price-fix hedge / price-fixing hedge |
| 套利交易 | arbitrage |
| 套期保值 | hedging |
| 套期保值者 | hedger |
| 套期平仓；抵消保值；抵消套期保值 | offset hedge |
| 特种钢条 | special bar / special steel bar |
| 提取、存放机制；提存制度 | load-in load-out mechanism |
| 铁矿；铁矿石 | iron ore |
| 铁类金属；黑色金属 | ferrous metal |
| 铁类金属合约 | ferrous contract |
| 铜 | copper |
| 铜矿厂 | copper miner |
| 头寸交接 | pass the book |
| 委托人直接交易市场架构 | principal to principal market structure |
| 钨 | tungsten |
| 锡 | tin |
| 锡镴 | pewter |

| | |
|----------|----------------------------|
| 下单费 | booking fee |
| 现货 | actuals |
| 现货价格 | cash price |
| 现货实物价格 | spot physical price |
| 「限制溢利」模式 | “profit-constrained” model |
| 小金属；次要金属 | minor metal |
| 锌 | zinc |
| 宣告 | declaration |
| 宣告日 | declaration date |
| 压缩设施 | compression facility |
| 压铸合金 | die-casting alloy |
| 亚洲基准定价机制 | Asian Benchmark pricing |
| 亚洲区服务台 | Asian Helpdesk |
| 冶炼 | smelting |
| 冶炼厂；冶炼商 | smelter |
| 移仓 | transfer; carry |
| 溢价合约 | premium contract |
| 阴极片；阴极 | cathode |
| 引申定价 | implied pricing |
| 用户委员会 | user committee |
| 有色金属 | non-ferrous metal |
| 有效仓单 | live warrant |
| 有效交割地点 | good delivery point |
| 原镍 | primary nickel |
| 原铝 | primary aluminium |
| 再生金属 | secondary metal |

| | |
|---------------|---|
| 涨跌停板 | limit up/down |
| 折现或然浮动保证金 | Discounted Contingent Variation Margin (DCVM) |
| 正式价格；正式牌价 | official price |
| 终端市场；实物商品市场 | terminal market |
| 终止费 | break fee |
| 终止权 | termination right |
| 综合交易；混合交易 | kerb trading |
| 铸块；锭 | ingot |
| 注册仓库 | registered warehouse |
| 注册中介经纪 | registered intermediary broker (RIB) |
| 注销仓单 | cancelled warrant |
| 装运地卡车交货 | free-on-truck (FOT) |
| 转让书 | assignment |
| 准交易会员 | Associate Trade Member |
| 准交易清算会员 | Associate Trade Clearing Member |
| 准经纪会员 | Associate Broker Member |
| 准经纪清算会员 | Associate Broker Clearing Member |
| 最后收盘价 | evening evaluations |
| 作价期 | quotational period |
| A 级铜 | Grade A copper |
| API 8 动力煤期货合约 | API 8 Thermal Coal Futures |
| LME 报价委员会 | LME Quotations Committee |
| LME 仓单 | LME warrant |
| LME 均价掉期 | LMEswaps |
| LME 废钢 | LME Steel Scrap |
| LME 贵金属 | LMEprecious |

| | |
|------------|------------------------------------|
| LME 铝溢价 | LME Aluminium Premium |
| LME 螺纹钢 | LME Steel Rebar |
| LME 小型期货合约 | LMEminis |
| LME 用户委员会 | LME User Committee |
| LME 指数 | London Metal Exchange Index (LMEX) |

* *Terms commonly used in the Mainland*
内地用语