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|  | 附件1：  新疆维吾尔自治区\*\*\*融资担保公司  年审报告书  **（2021年度）**  公司名称（盖章）：  许 可 证 编 码 ：    机 构 编 码：  营 业 地 址 ：  法 定 代 表 人 ：  联 系 人 ：  联 系 电 话 ：  报 告 日 期 ：   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | 新疆维吾尔自治区融资担保公司年审登记表  （2021年度）  单位：万元、笔、人 | | | | | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | |  | | | **经 营 许 可 证 记 载 事 项** | | | | | | | | | | | | | | | | | | | | | | 事 项 | | | 许可证记载情况 | | | | | | 年审时情况 | | | 批准文号及日期 | | | | | | | | | | 机构名称 | | |  | | | | | |  | | |  | | | | | | | | | | 注册资本 | | |  | | | | | |  | | |  | | | | | | | | | | 营业地址 | | |  | | | | | |  | | |  | | | | | | | | | | 业务范围 | | |  | | | | | |  | | |  | | | | | | | | | | **股 东 及 其 出 资 情 况** | | | | | | | | | | | | | | | | | | | | | | 年初时情况 | | | | | | | | | 年审时情况 | | | 变更批准文号及日期 | | | | | | | | | | 股东及其出资额 | | | | | | | | | 股东及其出资额 | | | |  | | | | | | | | |  | | |  | | | | | | | | | | **董事、监事及高级管理人员情况** | | | | | | | | | | | | | | | | | | | | | | 年初时情况 | | | | | | | | | 年审时情况 | | | 变更批准文号及日期 | | | | | | | | | |  | | | | | | | | |  | | |  | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | |  | | | | |  | | |  | | |  | | | | | |  | | | | |  | | | | |  | | |  | | |  | | | | | |  | | | | |  | | | | |  | | |  | | |  | | | | | |  | | | | |  | | | | |  | | |  | | |  | | | | | |  | | | | | **协 作 银 行** | | | | | | | | | | | | | | | | | | | | | | 银行名称 | | | | | | | 合作规模（202１年度累计） | | | | | | 风险分担比例(担保机构：银行） | | | | | | | | |  | | | | | | |  | | | | | |  | | | | | | | | |  | | | | | | |  | | | | | |  | | | | | | | | |  | | | | | | |  | | | | | |  | | | | | | | | |  | | | | | | |  | | | | | |  | | | | | | | | | **资 产 负 债 情 况** | | | | | | | | | | | | | | | | | | | | | | 1 | | 资产总额 | | | | | | | | | |  | | | | | | | | | | 1.1 | | 其中：货币资金 | | | | | | | | | |  | | | | | | | | | | 1.2 | | 存出保证金 | | | | | | | | | |  | | | | | | | | | | 1.3 | | 对外投资金额 | | | | | | | | | |  | | | | | | | | | | 1.3.1 | | 其中：短期投资 | | | | | | | | | |  | | | | | | | | | | 1.3.2 | | 委托贷款 | | | | | | | | | |  | | | | | | | | | | 1.3.3 | | 长期投资 | | | | | | | | | |  | | | | | | | | | | 1.4 | | 固定资产净额 | | | | | | | | | |  | | | | | | | | | | 1.5 | | 抵债资产 | | | | | | | | | |  | | | | | | |  | | | 1.6 | | 应收账款 | | | | | | | | | |  | | | | | | |  | | | 1.6.1 | | 其中：期限在2年以上（含）的应收代偿款 | | | | | | | | | |  | | | | | | | | | | 2 | | 负债总额 | | | | | | | | | |  | | | | | | |  | | | 2.1 | | 其中：借款 | | | | | | | | | |  | | | |  | | | | | | | 2.2 | | 存入保证金 | | | | | | | | | |  | | | |  | | | | | | | 2.3 | | 预计负债 | | | | | | | | | |  | | | |  | | | | | | | 2.4 | | 未到期责任准备 | | | | | | | | | |  | | | |  | | | | | | | 2.5 | | 担保赔偿准备 | | | | | | | | | |  | | | |  | | | | | | | 3 | | 净资产 | | | | | | | | | |  | | | | | | | | | | 3.1 | | 其中：实收资本 | | | | | | | | | |  | | | | | | | | | | 3.2 | | 一般风险准备 | | | | | | | | | |  | | | | | | | | | | **收 益 情 况** | | | | | | | | | | | | | | | | | | | | | | 1 | 担保业务收入 | | | | | | | | | | | | | |  | | | | | | | 1.1 | 其中：融资担保业务收入 | | | | | | | | | | | | | |  | | | | | | | 2 | 担保业务成本 | | | | | | | | | | | | | |  | | | | | | | 2.1 | 其中：融资担保赔偿支出 | | | | | | | | | | | | | |  | | | | | | | 2.2 | 融资分担保费支出 | | | | | | | | | | | | | |  | | | | | | | 3 | 担保业务利润 | | | | | | | | | | | | | |  | | | | | | | 4 | 其他业务收入 | | | | | | | | | | | | | |  | | | | | | | 5 | 其他业务利润 | | | | | | | | | | | | | |  | | | | | | | 6 | 净利润 | | | | | | | | | | | | | |  | | | | | | | **担 保 业 务 情 况** | | | | | | | | | | | | | | | | | | | | | | 项 目 | | | | | | | | | | 融资担保 | | | | | 非融资担保 | | | | | | | 1 | 年度累计担保企业户（笔）数 | | | | | | | | |  | | | | |  | | | | | | | 2 | 年度累计企业贷款担保金额 | | | | | | | | |  | | | | |  | | | | | | | 3 | 年度累计担保人次 | | | | | | | | |  | | | | |  | | | | | | | 4 | 年度累计个人贷款担保金额 | | | | | | | | |  | | | | |  | | | | | | | 5 | 年度累计担保金额 | | | | | | | | |  | | | | |  | | | | | | | 6 | 在保余额 | | | | | | | | |  | | | | |  | | | | | | | **风 险 控 制 情 况** | | | | | | | | | | | | | | | | | | | | | | 1 | 流动性比例（%） | | | | | | | | | | | | | |  | | | | | | | 2 | 融资担保放大倍数（倍） | | | | | | | | | | | | | |  | | | | | | | 3 | 担保代偿率（%） | | | | | | | | | | | | | |  | | | | | | | 3.1 | 其中：融资担保代偿率（%） | | | | | | | | | | | | | |  | | | | | | | 4 | 担保损失率（%） | | | | | | | | | | | | | |  | | | | | | | 4.1 | 其中：融资担保损失率（%） | | | | | | | | | | | | | |  | | | | | | | 5 | 累计提取一般风险准备金总额 | | | | | | | | | | | | | |  | | | | | | | 6 | 当年对单个被担保人提供的担保责任余额最大值 | | | | | | | | | | | | | |  | | | | | | | 7 | 当年对单个被担保人及其关联方提供的担保责任余额最大值 | | | | | | | | | | | | | |  | | | | | | | 8 | 当年对单个被担保人债券发行提供的担保责任余额最大值 | | | | | | | | | | | | | |  | | | | | | | **自 查 情 况** | | | | | | | | | | | | | | | | | | | | | | 自查项目 | | | | | | 自查情况 | | | | | | | | 特别事项说明 | | | | | | | | 有无抽逃资本金 | | | | | |  | | | | | | | |  | | | | | | | | 有无直接发放贷款 | | | | | |  | | | | | | | |  | | | | | | | | 有无进行账外经营 | | | | | |  | | | | | | | |  | | | | | | | | 有无合伙其他企业骗取银行贷款 | | | | | |  | | | | | | | |  | | | | | | | | 有无参与非法集资活动 | | | | | |  | | | | | | | |  | | | | | | | | 有无其他违法违规活动 | | | | | |  | | | | | | | |  | | | | | | | | 有无为股东及其关联企业提供融资担保 | | | | | |  | | | | | | | |  | | | | | | | | 我公司保证：提交的本年度年审报告书及相关材料内容真实，不含虚假成分。如有虚假或隐瞒,承担相应法律责任。    法定代表人签字： （公章）  年 月 日 | | | | | | | | | | | | | | | | | | | | | | **县（市、区）监 管 部 门 意 见** | | | | | | | | | | | | | | | | | | | | | | 审核意见 | | | | （公章）  年 月 日 | | | | | | | | | | | | | | | | | |  | | | | **地（州、市）监 管 部 门 意 见** | | | | | | | | | | | | | | | | | | 审核意见 | | | | （公章）  年 月 日 | | | | | | | | | | | | | | | | | | 填表人： | | | | | | | | | | | | 填表日期： | | | | | | | | |   **新疆维吾尔自治区地方金融监督管理局制** |

填报说明：

1.表格项目应填写齐全，不得有遗漏空缺项。

2.“许可证记载情况”按许可证上载明的事项填写；发生变更审批而未换证的，按已审批结果填写。

3.“年初时情况”按上一次颁证时的审批结果填写。

4.“年审时情况”按年审年度年底实际情况填写，如与左栏内容相同，填写“同左”。

5.“批准文号及日期”指经自治区金融办(自治区地方金融监督管理局)批复的文号和日期。

6.“分支机构情况”指融资担保公司设立的分公司2021年末的实际情况。

7.融资担保额指融资性担保业务发生额。融资担保业务参考《融资担保公司监督管理条例》规定。

8.报表填列的金额按四舍五入保留整数，百分比保留两位小数。

9.风险控制情况第1条流动性比例=流动性资产/流动性负债×100。

10.风险控制情况第2条融资担保放大倍数=融资性担保责任余额/净资产。

11.风险控制情况第3条担保代偿率=累计担保代偿额/累计解除的担保额×100；融资性担保代偿率=累计融资性担保代偿额/累计解除的融资性担保额×100。

12.风险控制情况第4条担保损失率=累计担保损失额/累计解除的担保额×100，融资性担保损失率=累计担保损失额/累计解除的担保额×100，其中累计（融资性）担保损失额是指担保机构有确凿证据（指有诉讼判决书或仲裁书和强制执行书证明）表明已无法收回的（融资性）担保代偿的损失净额。

13.风险控制情况第6、7、8条指在2021年发生的业务中取最大值记录。

14.表格中部分科目如填写不下可附表列示。

附件2：

融资担保公司年审规范

一、申报材料

融资担保公司的年审材料，包括但不限于以下内容：

（一）新疆维吾尔自治区融资担保公司年审报告书（附件1）。

（二）融资担保业务经营许可证副本原件、营业执照复印件，以及全国企业信用信息公示系统中的相关查询信息（包括登记信息和备案信息）。

（三）融资担保公司年度经营报告：

1.公司概况。包括公司治理、内部控制、风险管理制度建设、公司股东和董事、监事、高级管理人员基本情况，以及年度变更或重大事项说明。

2.年度经营情况。包括当年新增融资担保业务情况、在保情况、新增代偿、准备金提取情况，融资担保业务放大倍数，担保代偿率、代偿回收率、担保损失率等情况。

3.资金使用情况。包括融资担保公司全部账户（列明托管户、保证金户等）及账号清单、货币资金余额汇总表、12月货币资金银行流水对账单（加盖银行公章）和资金运用情况明细等，托管资金、担保赔偿准备金、客户保证金等制度落实情况。

以上三项内容需采用表格或单独说明形式的，可作为年度经营报告的附件附后。

（四）年审申报材料真实、完整的承诺书。

（五）年审的各项数据起止日期为：年审年度1月1日—12月31日。

（六）会计师事务所出具的年度专项审计报告（扫描版，带防伪码），年度专项审计报告包括但不限于以下内容：

1.货币资金使用情况。托管账户情况，并说明是否按规定足额托管；客户保证金是否专户专存、存出担保保证金情况（存出担保保证金金额，存出保证金按存出银行分别列出明细）；分析短期借款、长期借款构成，列出主要明细，说明是否存在股东借款情况；注册资本金在位情况，说明有无抽逃注册资本金情况。

2.担保代偿情况。包括发生的代偿款项金额、已收回的代偿款项、期末尚未收回的代偿余额、代偿率，以及代偿金额占流动资产、总资产和注册资本金的比例。

3.准备金提取情况。担保赔偿准备金、未到期责任准备金和一般风险准备金的拨备提取情况，并说明是否按规定足额提取。

4.应收款项及对外投资等情况。列明应收账款（应收账款的构成，包括应收账款单位明细，文字说明款项性质）、其他应收款（按照其性质列明，重点区分投资类）、委托贷款、短期投资、长期投资（股权投资、债权投资）等各类涉及对外投资的金额和期间发生额，按年末金额大小列明前5户，按期间发生额大小列明前5户，以及固定资产明细，并说明是否存在超比例投资。

出具融资担保公司年度专项审计报告的会计师事务所，应对审计报告的真实性、合法性、合规性承担相关的法律责任。审计中，如发现融资担保公司有违法违规行为，应当在出具的报告中提出。对于年度专项审计报告中意见为“无法发表意见”或“有保留意见”等含糊不确定的报告，属地监管部门组织专项检查。

（七）担保业务开展情况。包括对同一被担保人提供的融资担保责任余额有无超过净资产的10%;对同一被担保人及其关联方提供的融资担保责任余额有无超过净资产的15%，并列明前五名最大的被担保人；对同一被担保人债券发行提供的担保责任余额有无超过净资产的30%；为其母公司或子公司提供融资担保的情况；担保保费收取金额及担保费费率；前10名担保余额客户明细及融资担保放大倍数。

（八）利息收入、利息支出应分别按存款利息收入、委贷利息收入等说明。

（九）关联方交易情况。

（十）实收资本列出全部股东名称、出资额、占总股本的比例，股份公司中股东数量较多的可列出主要股东。

（十一）自治区地方金融监督管理局认为需要提交的其他材料。

二、年审标准

（一）融资担保业务经营许可证与营业执照信息一致。

（二）对同一被担保人的担保责任余额与融资担保公司净资产的比例不超过10%。

（三）对同一被担保人及其关联方的担保责任余额与融资担保公司净资产的比例不超过15%。

（四）对同一被担保人债券发行提供的担保责任余额不超过其净资产的30%。

（五）融资担保责任余额不超过其净资产的10倍。对主要为小微企业和农业、农村、农民服务的融资担保公司，倍数不超过15倍。

（六）融资担保公司按当年保费收入的50%提取未到期责任准备金。

（七）融资担保公司按不低于当年末担保责任余额1%的比例提取担保赔偿准备金。

（八）融资担保公司不得为其控股股东、实际控制人提供融资担保，为其他关联方提供融资担保的条件不得优于为非关联方提供同类担保的条件。

（九）融资担保公司资产比例要符合《关于印发<融资担保公司监督管理条例>四项配套制度的通知》（银保监发〔2018〕1号）关于《融资担保公司资产比例管理办法》的规定。

三、年审重点

年审重点内容包括资金使用情况、依法合规经营情况、法人治理、重大信息报告、是否参与非法集资或为非法集资提供担保等方面。

（一）证照情况。营业执照与经营许可证中的内容是否一致，工商登记信息与监管部门批复信息是否一致，是否存在未经自治区地方金融监督管理局批准擅自变更的情况（未备案的情况）。

（二）资本状况。是否存在挪用或抽逃注册资本金的情况；是否足额托管或违规使用托管资金等情况；自有资金是使用情况是否符合国家有关融资担保公司资产安全性、流动性的规定。

（三）经营情况。业务开展是否有超出经营许可证规定的业务范围及区域经营情况；担保费率、对外投资和关联担保等是否符合相关规定要求；准备金提取列支、风险集中度、客户集中度是否符合相关规定要求；是否存在“涉黑涉恶”事项、吸收存款或变相吸收存款、自营贷款或者受托贷款、受托投资等违法违规经营行为。

（四）客户保证金管理情况。是否落实客户保证金专户管理要求，开设客户保证金专户，明确保证金收取、退还及代偿的标准、条件和程序；是否存在将客户保证金用于除违约代偿以外的委托贷款、投资等其他用途。

（五）公司治理和内部控制情况。公司股东基本情况及变动情况，公司重大事项变动情况，公司内部控制制度建设和执行情况等。

（六）报表报送情况。是否按照相关规定和要求，按时、真实地向自治区地方金融监督管理局填报公司业务信息、经营情况和财务数据。

（七）重大风险事件报告情况。是否按照银监会《融资性担保公司重大风险事件报告制度》（银监发〔2010〕75号）规定，及时向自治区地方金融监督管理局报告重大风险事件情况。

（八）自治区地方金融监督管理局认为需要审核的其他情况。

四、年审结果

融资担保公司的年审结果分别为“合格”（整改合格）、“不合格” 、“继续整改”。

（一）法人结构治理完善、制度健全、依法合规经营，且按时参加年审、年审事项符合规定，年审结果为“合格”。

（二）存在以下情形之一，年审结果为“不合格”（撤销融资担保经营许可）：

1.不参加年审的。

2.隐瞒有关情况、提供虚假材料或者拒绝提供反映其活动情况的真实材料的，或者以虚假材料、虚假出资等方式骗取审批的。

3.被处置非法集资工作领导小组办公室或“扫黑除恶”事项检查认定从事违法经营活动的：

（1）以故意伤害、非法拘禁、侮辱、恐吓、威胁、骚扰等非法手段催收代偿的；

（2）利用黑恶势力开展或协助开展业务的；

4.发放贷款，受托投资的；

5.存在非法吸收存款、抽逃注册资本金以及从事非法集资活动的。

6.拒不配合自治区地方金融监督管理局日常监管或不按监管要求进行整改的。

7.有涉嫌违法经营的投诉举报，经属地融资担保公司监督管理部门查证属实而拒不纠正，造成恶劣影响的。

8.按照《融资担保机构重大风险事件报告制度》等有关规定应报告的重大风险事件情形，未按规定报告或有效处置，造成恶劣影响的；发生重大风险状况，被列为高风险企业的。

9.自治区地方金融监督管理局规定的其他情形。

（三）存在下列情形的，地（州、市）融资担保公司监督管理部门应指出存在问题、提出整改要求、明确整改期限、监督整改落实。在地（州、市）上报年审情况报告之前，整改完成并符合规定的，年审结果可为“合格”，但年审报告中须注明为“整改后合格”。

1.未经自治区地方金融监督管理局批准，变更有关事项情节较轻的。

2.经营许可证载明内容与营业执照不一致；

3.未按规定报送有关统计报表或监管信息的，其中月报超过3次，季报超过1次（整改可提交由公司法人代表和地州市融担监管部门共同签署的完整、及时、准确报送报表等监管资料的保证书）。

4.未按规定提取各项准备金的，准备金及客户存入保证金未按规定管理的。

5.融资担保责任余额超过净资产10倍的，对同一被担保人的融资担保责任余额超过净资产10%的，对同一被担保人及其关联方的融资担保责任余额超过净资产15%的，对同一被担保人债券发行提供的融资担保责任余额超过净资产30%的。

6.融资担保公司发生应报告的重大风险事件，未按规定及时报告或有效处置，但尚未造成恶劣影响的。

7.自治区地方金融监督管理局规定的其他情形。