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|  | 兴业银行添利5号净值型理财产品2021年第三季度报告 | | | | | | | | | | | | | | | | |  |
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|  | **兴业银行添利5号净值型理财产品 2021年第三季度报告** | | | | | | | | | | | | | | | | |  |
|  |  | | | | | |  |  | | |  | |  | |  | | |  |
|  |  | | | | | | 理财产品管理人：兴银理财有限责任公司 | | | | | | | |  | | |  |
|  |  | | | | | | 理财产品托管人：兴业银行股份有限公司 | | | | | | | |  | | |  |
|  |  | | | | | | 报告送出日期：2021年10月27日 | | | | | | | |  | | |  |
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|  |  | | |  | | | |  | | **目 录** | |  |  | | |  | |  |
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|  | **§ 一. 重要提示** | | | | | | | | | | | | | | | | |  |
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|  | 1. 温馨提醒：理财非存款，产品有风险，投资需谨慎！  2. 理财信息可供参考，详情请咨询理财经理，或在“中国理财网（www.chinawealth.com.cn）”查询该产品相关信息。  3. 兴银理财有限责任公司保留对所有文字说明的最终解释权。  4. 投资组合情况（期末资产组合情况、杠杆比例、资产前十持仓等）详情请理财持有人登录网银后进行查询。 | | | | | | | | | | | | | | | | |  |
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|  | **§ 二. 产品基本情况** | | | | | | | | | | | | | | | | |  |
|  |  | | | | | | |  |  | |  | |  | | | | |  |
|  | 产品名称 | | | | | | | | 兴业银行添利5号净值型理财产品 | | | | | | | | |  |
|  | 产品代码 | | | | | | | | 9B319021 | | | | | | | | |  |
|  | 全国银行业理财信息登记系统登记编码 | | | | | | | | Z7002020000004 | | | | | | | | |  |
|  | 产品运作方式 | | | | | | | | 开放式 | | | | | | | | |  |
|  | 产品募集方式 | | | | | | | | 公募 | | | | | | | | |  |
|  | 报告期末产品份额总额 | | | | | | | | 19,001,943,563.00份 | | | | | | | | |  |
|  | 业绩比较基准 | | | | | | | | 通知存款七天+浮动基数0% | | | | | | | | |  |
|  | 投资币种 | | | | | | | | 人民币 | | | | | | | | |  |
|  | 风险等级 | | | | | | | | R1 | | | | | | | | |  |
|  | 产品管理人 | | | | | | | | 兴银理财有限责任公司 | | | | | | | | |  |
|  | 产品托管人 | | | | | | | | 兴业银行股份有限公司 | | | | | | | | |  |
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|  | 兴业银行添利5号净值型理财产品2021年第三季度报告 | | | | | | | | | | | | | | | | |  |
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|  | **§ 三. 产品收益表现** | | | | | | | | | | | | | | | | |  |
|  |  | | | | |  | |  | | |  | |  |  | | |  |  |
|  | 报告期内，9B319021七日年化收益率均值2.9132%。同期业绩比较基准如下： | | | | | | | | | | | | | | | | |  |
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|  | |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | |  |  | | --- | --- | | **产品代码** |  | | |  | | --- | | **适用期间** | | |  | | --- | | **业绩比较基准** | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 2021-07-01至2021-09-30 | | |  | | --- | | 通知存款七天+浮动基数0% | | | | | | | | | | | | | | | | | |  |  |
|  | 报告期末，产品收益具体如下： | | | | | | | | | | | | | | | |  |  |
|  | **估值日期** | | | | | **万份收益** | | | | | **七日年化收益率** | | | **产品资产净值** | | |  |  |
|  | 2021年9月30日 | | | | | 0.7672 | | | | | 2.8330% | | | 19,001,943,563.00 | | |  |  |
|  |  | | | | |  | |  | | |  | |  |  | | |  |  |
|  | **§ 四. 产品投资经理简介** | | | | | | | | | | | | | | | | |  |
|  |  | | | | |  | |  | | |  | |  |  | | |  |  |
|  | 汪锦女士，上海财经大学经济学硕士，国际金融理财师（CFP），中级经济师职称。银行理财产品创设、投资从业11年。 2005年历任上海银行金融市场部代客资产管理处固定收益投资经理、任同业“利多系列”产品经理；2013年加入兴业银行资产管理部产品研发处，任同业“稳增1号”、“稳增2号”产品的投资经理。2016年起，负责总行资产管理部流动性管理，总规模逾万亿，擅长大资金的资产配置和流动性管理，尤其善于管理同业理财产品。2019年5月起担任“兴业银行添利五号净值型理财产品”投资经理。 | | | | | | | | | | | | | | | | |  |
|  |  | | | | |  | |  | | |  | |  |  | | |  |  |
|  | **§ 五. 报告期内产品的投资策略和运作分析** | | | | | | | | | | | | | | | | |  |
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|  | 1、宏观经济及市场情况  三季度国内经济增长动能放缓，数据整体偏弱，国内基本面继续向“类滞胀”演绎。受能耗“双控”、缺煤缺电、大宗涨价等因素制约，制造业中下游成本压力增大，需求端社融持续下行，结构性问题凸显，受部分地产企业负面事件冲击和隐债监管的影响房地产和基建增速均出现明显回落，供需两弱。外部因素上，7月中旬以来Delta病毒输入性疫情扩散，对经济基本面尤其消费服务造成一定影响。央行7月实施全面降准，三季度银行间流动性整体充裕，临近季末资金面有所收敛，以稳为主。经济放缓压力增大，疫情尾部风险仍存，叠加资金面和机构“欠配”行为等诸多因素影响，三季度市场收益率整体下行，10Y国债到期收益率下行30bp至最低2.8%后，因信用收缩及季末资金面短暂失衡的影响，短期震荡回调后在2.8%-2.9%区间波动。债市整体收益率水平较低的背景下，银行永续债、私募债等品种受监管规定的影响利差有所走阔。  展望四季度，央行三季度例会强调“外部环境更趋严峻复杂”，经济仍面临下行压力，四季度货币政策基调维持稳健中性为基本面托底，维持经济增速运行在合理区间。但我们认为四季度货币政策以结构性宽松为主，结合财政政策发力，降息概率不大。海外方面，美联储QE退出和美债收益率上行等外部风险对国内债市可能造成一定冲击。 2、前期运作回顾  报告期内（2021.7.1-2021.9.30），添利5号受监管对于同业专属理财“只减不增”要求的影响，三季度日均规模239亿元，较一季度继续下降26亿。产品日均七日年化收益率为2.91%，较二季度2.70%上升21bp，收益甚至高于部分零售现金管理类产品，继续领跑市场；日均杠杆率为109%，低于二季度4个百分点。 | | | | | | | | | | | | | | | | |  |
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|  | 兴业银行添利5号净值型理财产品2021年第三季度报告 | | | | | | | | | | | | | | | | |  | |  |
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|  | 三季度建仓总体偏保守，资产到期合计73亿，新增资产起息60亿元。其中，存放同业15亿元，同业存单16亿元，信用债29亿元。 新增资产加权期限为298天，加权收益率2.8%。9月中旬开始，为主动应付产品赎回，择机卖出部分长期限信用债，释放浮盈，同时保证产品杠杆比例及流动性安全。 3、后期投资策略  添利5号预计将于四季度开放零售渠道，届时会择机恢复产品申购。海外，经济增速放缓，美欧日9月PMI数据大多下滑。但受制于通胀预期，联储将在11月宣布Taper。鲍威尔9月30日表示“如果有证据表明物价上涨推高了通胀预期，美联储将加息”。国内，部分省份按揭利率有所下调、投放有所加快，地方债发行提速，专项债11月前发完，预计四季度社融将触底反弹。随着宽信用的推进，加之年关将近、资管新规过渡期结束，预计后续利率也将震荡上行。四季度，建仓品种上将向存放同业、中证金倾斜，债券选择短久期、高评级为主，减少浮亏，并适当关注市场调整时的波段建仓机会，大跌大买小跌小买。 | | | | | | | | | | | | | | | | |  | |  |
|  |  |  | | | | | |  | | |  | |  | | | | |  | |  |
|  | **§ 六. 投资组合情况** | | | | | | | | | | | | | | | | |  | |  |
|  |  |  | | | | | |  | | |  | |  | | | | |  | |  |
|  |  | **1.报告期末产品资产组合情况** | | | | | | | | | | | | | | | | | |  |
|  |  |  | | | | | |  | | |  | |  | | | | |  | |  |
|  |  | |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | |  | | --- | | **序号** | | |  | | --- | | **资产类型** | | |  | | --- | | **直接投资占比（%）** | | |  | | --- | | **间接投资占比（%）** | | | |  | | --- | | 1 | | |  | | --- | | 现金及存款 | | |  | | --- | | 16.50 | | |  | | --- | | -- | | | |  | | --- | | 2 | | |  | | --- | | 债券投资 | | |  | | --- | | 83.50 | | |  | | --- | | -- | | | |  | | --- | |  | | |  | | --- | | 总计 | | |  | | --- | | 100.00 | | |  | | --- | | -- | | | | | | | | | | | | | | | | | | | |  |
|  |  |  | | | | | |  | | |  | |  | | | | |  | |  |
|  | **2.报告期末杠杆融资情况** | | | | | | | | | | | | | | | | |  | |  |
|  | 报告期末本产品总资产未超过该产品净资产规模的140%，符合产品协议对本产品杠杆比例的要求。 | | | | | | | | | | | | | | | | |  | |  |
|  | **3.投资组合的流动性风险分析** | | | | | | | | | | | | | | | | |  | |  |
|  | 流动性风险是指产品在履行与金融负债有关的义务时遇到资金短缺的风险。本产品的流动性风险一方面来自理财份额持有人可在约定的开放日提出赎回其持有的理财份额，另一方面来自于若投资品种所处的交易市场不活跃，可能带来资产变现困难或产品持仓资产在市场出现剧烈波动的情况下难以以合理价格变现的风险。  为防范无法支付赎回款而产生的流动性风险，本理财产品管理人将合理安排所投资产期限，持续根据市场变化情况做好投资安排，尽可能降低产品流动性风险，有效保障理财持有人利益。  报告期内，本理财产品管理人严格遵守相关法律法规以及产品销售协议，对理财产品组合资产的流动性风险进行管理，报告期内未发生流动性风险。 | | | | | | | | | | | | | | | | |  | |  |
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|  | **4.报告期末资产持仓前十基本信息** | | | | | | | | | | | | | | | | |  |
|  | |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | |  | | --- | | **序号** | | |  | | --- | | **资产名称** | | |  | | --- | | **资产面额** | | |  | | --- | | **占产品资产净值的比例（%）** | | | |  | | --- | | 1 | | |  | | --- | | Z存放同业20201028001（不可转让） | | |  | | --- | | 2,000,000,000.00 | | |  | | --- | | 10.53 | | | |  | | --- | | 2 | | |  | | --- | | Z存放同业（线上）20210917001 | | |  | | --- | | 500,000,000.00 | | |  | | --- | | 2.63 | | | |  | | --- | | 3 | | |  | | --- | | Z存放同业20210817002 | | |  | | --- | | 500,000,000.00 | | |  | | --- | | 2.63 | | | |  | | --- | | 4 | | |  | | --- | | Z存放同业（线上）20210805003 | | |  | | --- | | 500,000,000.00 | | |  | | --- | | 2.63 | | | |  | | --- | | 5 | | |  | | --- | | 20厦门国际银行CD171 | | |  | | --- | | 500,000,000.00 | | |  | | --- | | 2.62 | | | |  | | --- | | 6 | | |  | | --- | | 21招商银行CD038 | | |  | | --- | | 500,000,000.00 | | |  | | --- | | 2.62 | | | |  | | --- | | 7 | | |  | | --- | | 20进出12 | | |  | | --- | | 410,000,000.00 | | |  | | --- | | 2.15 | | | |  | | --- | | 8 | | |  | | --- | | 20江苏银行CD192 | | |  | | --- | | 400,000,000.00 | | |  | | --- | | 2.10 | | | |  | | --- | | 9 | | |  | | --- | | 20江苏银行CD222 | | |  | | --- | | 400,000,000.00 | | |  | | --- | | 2.09 | | | |  | | --- | | 10 | | |  | | --- | | 21富邦华一银行CD050 | | |  | | --- | | 350,000,000.00 | | |  | | --- | | 1.84 | | | | | | | | | | | | | | | | | | |  |
|  |  | | | |  | | |  | | |  | |  | | | | |  |
|  | **5.报告期间关联交易情况** | | | | | | | | | | | | | | | | |  |
|  |  | | | | 5.1 理财产品在报告期末投资关联方发行、承销的证券的情况 | | | | | | | | | | | | |  |
|  | |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | |  |  | | --- | --- | | **产品代码** |  | | |  | | --- | | **资产名称** | | |  | | --- | | **资产面额（元）** | | |  | | --- | | **承销商/发行人** | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 19宜城F1 | | |  | | --- | | 50,000,000.00 | | |  | | --- | | 宜兴市城市发展投资有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 19联发PPN003 | | |  | | --- | | 10,000,000.00 | | |  | | --- | | 兴业银行股份有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 19金川MTN001 | | |  | | --- | | 20,000,000.00 | | |  | | --- | | 兴业银行股份有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 18海峡银行01 | | |  | | --- | | 50,000,000.00 | | |  | | --- | | 兴业银行股份有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 19华夏租赁01 | | |  | | --- | | 50,000,000.00 | | |  | | --- | | 兴业银行股份有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 21乌经开CP001 | | |  | | --- | | 20,000,000.00 | | |  | | --- | | 兴业银行股份有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 18九龙江MTN002 | | |  | | --- | | 30,000,000.00 | | |  | | --- | | 兴业银行股份有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 18赣国资MTN002 | | |  | | --- | | 100,000,000.00 | | |  | | --- | | 兴业银行股份有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 19晋焦煤MTN004 | | |  | | --- | | 40,000,000.00 | | |  | | --- | | 兴业银行股份有限公司 | | | | | | | | | | | | | | | | | | |  |
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|  |  | |  | |  | | |  | | |  | |  | | | | |  | | | |  |
|  |  | |  | | 5.2 理财产品在报告期内其他关联交易 | | | | | | | | | | | | |  | | | |  |
|  | |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | |  |  | | --- | --- | | **产品代码** |  | | |  | | --- | | **资产名称** | | |  | | --- | | **资产面额（元）** | | |  | | --- | | **交易类型** | | |  | | --- | | **关联方名称** | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 20恒泰G1 | | |  | | --- | | 20,000,000.00 | | |  | | --- | | 卖出 | | |  | | --- | | 中证信用增进股份有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 21兴业资产MTN001 | | |  | | --- | | 40,000,000.00 | | |  | | --- | | 买入 | | |  | | --- | | 兴业资产管理有限公司 | | | |  |  | | --- | --- | | 9B319021 |  | | |  | | --- | | 21兴业资产MTN001 | | |  | | --- | | 40,000,000.00 | | |  | | --- | | 卖出 | | |  | | --- | | 兴业资产管理有限公司 | | | | | | | | | | | | | | | | | | |  | | | |  |
|  |  | |  | |  | | |  | | |  | |  | | | | |  | | | |  |
|  |  | |  | | 5.3 理财产品在报告期内中的重大关联交易 | | | | | | | | | | | | |  | | | |  |
|  | |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | |  |  | | --- | --- | | **产品代码** |  | | |  | | --- | | **资产名称** | | |  | | --- | | **资产面额（元）** | | |  | | --- | | **交易类型** | | |  | | --- | | **关联方名称** | | | | | | | | | | | | | | | | | | |  | | | |  |
|  | |  |  |  | | --- | --- | --- | | |  |  | | --- | --- | | 无 |  | | | | | | | | | | | | | | | | | | |  | | | |  |
|  |  | |  | |  | | |  | | |  | |  | | | | |  | | | |  |
|  |  | | **6.投资账户信息** | | | | | | | | | | | | | | | | | | |  |
|  |  | | |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | |  | | --- | | **序号** | | |  | | --- | | **账户类型** | | |  | | --- | | **账户编号** | | |  | | --- | | **账户名称** | | | |  | | --- | | 1 | | |  | | --- | | 托管账户 | | |  | | --- | | 051010100100810699 | | |  | | --- | | 兴业理财托管专户添利5号净值型理财产品 | | | | | | | | | | | | | | | | | | | | |  |
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|  | 兴银理财有限责任公司 | | | | | | | | | | | | | | | | |  |
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