

Stock Account Mapping Maintenance Form for the Use of Shanghai and Shenzhen Stock Connect

To: Clearing Participant Admin. & Services
Hong Kong Securities Clearing Company Limited ("HKSCC")
30/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong
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From: _____ CCASS
(Full Name of General Clearing Participant) Participant ID _____

Notes:

1. In addition to the **Form for Registration for the Use of Shanghai and Shenzhen Stock Connect** (the "Application Form"), any General Clearing Participant (GCP) applying for registration to use the Shanghai and Shenzhen Stock Connect for the purpose of clearing and settling China Connect Securities Trades for its own account or on behalf of an Exchange Participant which is a Non-Clearing Participant (NCP) shall complete and file the **Stock Account Mapping Maintenance Form for the Use of Shanghai and Shenzhen Stock Connect** ("Maintenance Form") with HKSCC.
2. For pre-trade checking purpose, only the Stock Accounts designated by a GCP in which China Connect Securities are held for itself or for each NCP it serves can be captured as sellable shares prior to trading. GCP can assign up to a maximum of 40 Stock Accounts (except Accounts 01, 02, 17, 18, 19 and 20) for each of its NCPs.
3. If a GCP clears and settles the China Connect Securities Trades for itself or for one NCP only, the GCP may opt to designate all of its Stock Accounts (except Account 20 which is for collateral recording and management) to hold China Connect Securities.
4. GCP may update the Stock Account Mapping by giving prior notice of not less than 3 business days to HKSCC. **This Maintenance Form will supersede all previous account mapping instructions filed with HKSCC for the GCP itself or for the NCP it serves.**
5. For the avoidance of doubt, Direct Clearing Participants (DCPs) are not required to complete this Maintenance Form as ALL their Stock Accounts (except Account 20 which is for collateral recording and management) will be captured automatically.

I. PARTICULARS

Effective Date: []/[]/[] [DD / MM / YY]

Name of Exchange Participant /NCP : _____

Exchange Participant ID: [] [] [] [] [] [] [] []

Type of Stock Account Mapping (Please tick the appropriate box below):

All except Account 20*

Account(s) specified in Part II

Cancel All Accounts

*** This option is only available for GCP who only clears and settles China Connect Securities Trades for itself or for one NCP.**

II. STOCK A/C NO.

Please specify the Stock Account(s) designated to hold China Connect Securities on behalf of the Exchange Participant / NCP specified in Part I of this form:

 Authorized Signature(s) of General Clearing Participant
 (with company chop, ONLY applicable if it forms part of your signing instruction)

 Acknowledged by Exchange Participant / NCP #
 (with Company Chop)

Not applicable if the Clearing Agreement between the Exchange Participant and the General Clearing Participant has been terminated by either the Exchange Participant or the General Clearing Participant.

FOR OFFICE USE ONLY

Signature verified and checked by:	Reviewed by:	Notify CT-PS by:	System Input by CT-PS:	Checked by CT-PS:
Date:	Date:	Date:	Date:	Date: