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香港聯合交易所有限公司

(香港交易及結算所有限公司全資附屬公司)

The Stock Exchange of Hong Kong Limited

(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

事項 交易所規則之修訂
Subject: Amendments to the Rules of the Exchange

查詢 參與者一般查詢熱線 電話: 2840 3626 電子郵箱: trd@hkex.com.hk
Enquiry: Participant General Enquiry Hotline Tel: 2840 3626 E-mail: trd@hkex.com.hk

Holders of Stock Exchange Trading Rights and Exchange Participants are requested to note that the Securities and Futures Commission has approved amendments to the Rules of the Exchange to align them with the new Companies Ordinance (Chapter 622 of the Laws of Hong Kong).

The amendments, as set out in the Appendix, will take immediate effect.

The marked-up version of the amendments can be downloaded from the "Rule Update - Rules of the Exchange" section of the HKEx website.

Christine Wong
Chief Counsel & Head
Legal Services Department

請各位聯交所交易權持有人及交易所參與者注意，證券及期貨事務監察委員會已批准交易所規則，有關與新《公司條例》（香港法例第 622 章）貫徹一致之修訂。

載於附件之修訂由即日起生效。

有關規則的標明修訂本可在香港交易所網站之"規則修訂 - 交易所規則"中下載。

法律服務部
首席法律顧問及主管
黃凱明 謹啟

香港交易及結算所有限公司
Hong Kong Exchanges and Clearing Limited

香港中環港景街一號國際金融中心一期12樓
12/F, One International Finance Centre, 1 Harbour View Street, Central, Hong Kong

電話 Tel: +852 2522 1122 傳真 Fax: +852 2295 3106 網址 Website: www.hkex.com.hk 電郵 E-mail: info@hkex.com.hk

Rules of the Exchange

CHAPTER 1
INTERPRETATION

101. In these Rules, unless the context otherwise requires:-

“company” means a company as defined in section 2 of the Companies Ordinance, a company to which Part 16 of that Ordinance applies, and any body corporate incorporated in Hong Kong having a share capital;

The definition of “Memorandum” has been repealed.

CHAPTER 5
TRADING

563I. HKSCC may establish and maintain a list of TSF Stocks designated as eligible to be traded on the Exchange with the support of the TSF. The list of TSF Stocks may be amended by HKSCC from time to time in its absolute discretion. HKSCC may publish the list of TSF Stocks on the HKEx website or by such other means as it considers appropriate.

Unless HKSCC otherwise determines, the TSF shall only be available for supporting the trading of Eligible Securities in the form of shares (which may be denominated in any currency) which are accepted for trading on the Exchange in RMB and which are included in the list of TSF Stocks.

CHAPTER 7
DISCIPLINARY

702D. The exercise of powers by the Board or the Chief Executive, as the case may be, in connection with Rules 204(8), 226(5), 431(3)(f), 569A(f), 601, 723(1)(c) and 723(2)(h) and (i) shall be dealt with in the Disciplinary Procedures .

FOURTEENTH SCHEDULE
SECURITIES MARKET MAKER REGULATIONS
(“REGULATIONS”)

(5B) (a) Before approving the application to register a Designated Specialist, the Exchange may give regard to such matters as the Exchange may, in its absolute discretion, consider to be appropriate and shall require the applying Securities Market Maker to demonstrate to the satisfaction of the Exchange that its corporate client which it is applying for registration as a Designated Specialist has satisfied the following conditions:

(i) it is a body corporate incorporated or formed outside Hong Kong which is not a registered non-Hong Kong company as defined in the Companies Ordinance;

交易所規則

第一章

釋義

101. 在本規則中，除文意另有所指外：—

「公司」 《公司條例》第 2 條所界定的公司，該條例第 16 部所適用的公司，
以及在香港成立為法團並擁有股本的任何法人團體；

「大綱」之定義已刪除。

第五章

交易

563I. 中央結算公司可設立和維持一份交易通股份名單，該名單列出了合資格在交易通支援下在交易所進行買賣的交易通股份。中央結算公司可不時全權行使其酌情權修改該交易通股份名單。中央結算公司可於香港交易所網站或以其他被認為適當的途徑公佈該交易通股份名單。

除非中央結算公司另有決定，否則交易通僅適用於支援以股份形式買賣的合資格證券（可
以任何貨幣計價），而這些合資格證券已被接納以人民幣在交易所進行買賣並已被納入交
易通股份名單。

第七章

紀律

702D. 由董事會或行政總裁（視情況而定）行使與規則第 204(8)條、226(5)條、431(3)(f)條、
569A(f)條、601 條、723(1)(c)條及 723(2)(h)及(i)條有關的權力必須根據紀律程序處理。

附表十四

證券莊家規例（下稱「本規例」）

莊家專用開放式網間連接器、莊家專用自動對盤終端機及莊家專用中央交易網關會話

(5B) (a) 在批准註冊特許證券商之前，交易所所有絕對酌情決定權考慮交易所認為適用的事項，以及
要求證券莊家在交易所信納的情況下，證明它擬申請註冊成為特許證券商的公司客戶符合
下列條件：

(i) 在香港以外任何地方成立或組成，以及根據《公司條例》不屬註冊非香港公司；