

**Notification of Execution of Delivery Agreement for  
Physically Settled Metal Futures Contract pursuant to  
Section 2A.3.1.1 (b) of the Clearing House Procedures**

To: Clearing Participant Admin. & Services  
Cash & Derivatives Clearing Operations  
30/F, One Exchange Square,  
8 Connaught Place, Central,  
Hong Kong

From: \_\_\_\_\_  
(Full Name of Participant)

Fax: 2590 7000  
Email: CDCO\_CAS@hkex.com.hk

DCASS Customer Code:

Contact Person: \_\_\_\_\_

Tel: \_\_\_\_\_ Fax: \_\_\_\_\_

.....  
**Name of the HKCC Participant :** \_\_\_\_\_

**DCASS Customer Code of the HKCC Participant :**

**Name of the Delivery Agent :** \_\_\_\_\_

**DCASS Customer Code of the Delivery Agent :**

**Notes:**

1. Unless otherwise defined or the context otherwise requires, terms used in this Form shall have the same meanings ascribed to them in the relevant rules, regulations and procedures of the Exchange and HKCC.
2. This Form must be signed by both the HKCC Participant and the Delivery Agent which are parties to the Delivery Agreement entered into between them for Physically Settled Metal Futures Contracts.
3. It is not necessary to provide a copy of the Delivery Agreement when submitting this Form. The HKCC Participant and the Delivery Agent shall, at the request of HKCC, supply it with a certified copy of the executed Delivery Agreement.
4. The HKCC Participant and Delivery Agent should meet the requirements as stated in the Clearing House Rules and Procedures.
5. The Delivery Agent shall maintain depository accounts, and understand its obligations in accepting the delivery obligations of Deliverable Metal.

## Notification of Execution of Delivery Agreement for Physically Settled Metal Futures Contract pursuant to Section 2A.3.1.1 (b) of the Clearing House Procedures

**A. Details of the appointment of Delivery Agent of HKCC:**

Effective Date of Appointment: \_\_\_\_\_

**B. Particulars of the HKCC Participant**

Name of HKCC Participant:			
Name of Contact Person:		Position:	
Telephone Number:		Fax Number:	
Email Address:			

**C. Particulars of the Delivery Agent**

Name of Delivery Agent:			
Name of Contact Person:		Position:	
Telephone Number:		Fax Number:	
Email Address:			

**D. Declaration by the HKCC Participant**

We, \_\_\_\_\_  
(Name of HKCC Participant)

**To: HKFE Clearing Corporation Limited**

**Declaration:**

1. **confirm** that we have executed a Delivery Agreement with the abovementioned Delivery Agent pursuant to Section 2A.3.1.1 of the Clearing House Procedures;
2. **undertake** to give no less than 14 Business Days' prior written notice to HKCC if we intend to terminate the Delivery Agreement; and **understand** that when HKCC receives the termination notice from us, HKCC will issue a confirmation of termination to the party who lodges the termination notice (with a copy to the other party to the Delivery Agreement) in writing and unless and until written acknowledgement has been issued to the party who lodges the termination notice, the Delivery Agreement shall be treated as valid, binding and effective by HKCC and we shall continue to be bound by the Delivery Agreement; and **acknowledge** that we will be restricted from opening new positions and be required to close out or transfer open positions of the Physically Settled Metal Futures Contract;
3. **acknowledge and agree** the Exchange shall have the right to forthwith terminate or suspend our access to its trading system(s) for the Physically Settled Metal Futures Contract without giving us any prior notice unless we have in place a Delivery Agreement or we have entered into an Approved Depository Account Agreement with an Approved Depository and have maintained a depository account with such Approved Depository;

Signature of the HKCC  
Participant

(with company chop, ONLY  
applicable if it forms part of  
your signing instruction)

Date \_\_\_\_\_

Name of Signatory

Position \_\_\_\_\_

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**E. Declaration by the Delivery Agent**

We, \_\_\_\_\_  
(Name of Delivery Agent)

**To: HKFE Clearing Corporation Limited**

**Declaration:**

1. **confirm** that we have executed a Delivery Agreement with the abovementioned HKCC Participant pursuant to Section 2A.3.1.1 of the Clearing House Procedures;
2. **undertake** to provide details of any sub-account(s), where applicable, maintained for the HKCC Participant to HKCC;
3. **confirm** that the Delivery Agreement does not contain any provision which is inconsistent with the Clearing House Rules and Procedures, but contains provisions which facilitate and ensure the performance by us of our obligations as a Delivery Agent under the Clearing House Rules and Procedures;
4. **undertake** to give at least 14 Business Days' prior written notice to HKCC if we intend to terminate the Delivery Agreement; and **understand** that when HKCC receives the Termination Notice from us, HKCC will issue a confirmation of termination to the party who lodges the Termination Notice (with a copy to the other party to the Delivery Agreement) in writing and unless and until written confirmation has been issued to the party who lodges the Termination Notice, the Delivery Agreement shall be treated as valid, binding and effective by HKCC and we shall continue to be bound by the Delivery Agreement;
5. **declare** that the information provided in this Form relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
6. **undertake** to notify HKCC immediately of any changes in the information given in this Form and any changes in the details of the sub-account(s), where applicable, maintained for the HKCC Participant in the Approved Depositories;
7. **understand** that HKCC may take disciplinary proceedings against us for making any false or misleading representation in relation to our notification under this Form;
8. **undertake** to comply with the Clearing House Rules and Procedures from time to time in force, and any other directives from time to time issued by HKCC relating to delivering Deliverable Metal by Delivery Agent; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
9. **consent** that HKCC and any recognized exchange controller which is the controller of HKCC or any company of which a recognized exchange controller which is the controller of HKCC is a controller disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

Signature of the  
Delivery Agent of HKCC \_\_\_\_\_  
(with company chop, ONLY  
applicable if it forms part of  
your signing instruction)

Date \_\_\_\_\_

Name of Signatory \_\_\_\_\_ Position \_\_\_\_\_