



編號

LSD/23/2010

Ref. No.:

日期

Date: 10/09/2010

香港中央結算有限公司

(香港交易及結算所有限公司全資附屬公司)

Hong Kong Securities Clearing Company Limited

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

通告 CIRCULAR

事項 中央結算系統一般規則及中央結算系統運作程序規則之修訂
Subject: Amendments to General Rules of CCASS and CCASS Operational Procedures

查詢 查詢熱線 2979 7111
Enquiry : Hotline

CCASS participants are requested to note that the Securities and Futures Commission has approved amendments to the General Rules of CCASS and CCASS Operational Procedures to include the publication or posting of notices, directions and other information on the HKEx website as a means of communication between HKSCC and its participants.

The amendments, as set out in Appendices 1 and 2, will come into effect on 20 September 2010.

The marked-up version of the amendments can be downloaded from the following sections of the HKEx website:
"Rule Update - General Rules of CCASS"
"Rule Update - CCASS Operational Procedures"

Christine Wong
Chief Counsel & Head
Legal Services Department

請各位中央結算系統參與者注意，證券及期貨事務監察委員會已批准中央結算系統一般規則及中央結算系統運作程序規則，有關香港中央結算有限公司與其參與者透過香港交易所網站之刊物、佈告、指南及其他資訊傳達通訊之修訂。

載於附件一及二之修訂由 2010年9月20日 起生效。

有關規則的標明修訂本可在香港交易所網站中下載：
"規則修訂 - 中央結算系統一般規則"
"規則修訂 - 中央結算系統運作程序規則"

法律服務部
首席法律顧問及主管
黃凱明 謹啓

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GENERAL RULES OF CCASS**CHAPTER 1****INTERPRETATION****101. Definitions**

When used herein, the following expressions shall, unless the context otherwise requires, bear the following meanings:

“HKEx website” means the official website of HKEx at <http://www.hkex.com.hk> or at such other website address specified by HKEx from time to time;

CHAPTER 28**DISCLOSURE**

2805. HKSCC may make available to the public, via the HKEx website or such other means or person as it considers appropriate, details of Participants’ holdings of Eligible Securities in CCASS or any Appointed Depositary (other than those of Investor Participants unless their consent is obtained). Details of Participants’ holdings of Eligible Securities in CCASS or any Appointed Depositary that were or could have been disclosed or made available to the public as aforesaid will remain viewable and accessible by the public after the termination of their participation in CCASS for whatever reason.

CHAPTER 29**AMENDMENTS****2902. Notification of amendments**

HKSCC shall notify Participants in the event of any amendment, extension or deletion to be made to the Rules or to the Operational Procedures and the effective date thereof. A copy of such amendment, extension or deletion shall be available for perusal by Participants on the HKEx website.

CHAPTER 30**NOTICES****3001. Notice by HKSCC**

Unless otherwise provided in the Rules, all notices, requests, demands or other communications from HKSCC to Participants other than Investor Participants may be given orally or in writing, in person or by post, by electronic or wire transmission, by telephone or facsimile, by posting on the HKEx website, or by any means of computer data transmission. Investor Participants will be notified in writing by post, by posting on the HKEx website or such other means as HKSCC considers appropriate and, for Investor Participants using the CCASS Internet System, through the CCASS Internet System.

In the case of communications sent by post to the address last specified by a Participant as its address, the communications from HKSCC shall be deemed to have been received by the Participant on the following Business Day if the address is in Hong Kong and, if the address is outside Hong Kong, on such day as HKSCC may from time to time specify with reference to the time the communications would be delivered to such address in the ordinary course of post. If the communications are delivered in person to such address, the communications will be deemed to have been received by the Participant at the time of delivery made to such address.

In the case of communications made by HKSCC to a Participant by electronic or wire transmission, by telephone or facsimile, by posting on the HKEx website or any other instantaneous means, the communications shall be deemed to have been received by the Participant immediately.

中央結算系統一般規則

第一章 釋義

101. 定義

在本文件內，除非文義另有所指，下列詞語具有下列意義：

「香港交易所網站」 指 香港交易所設於<http://www.hkex.com.hk>或其他香港交易所不時指定網址的官方網站；

第二十八章 資料的披露

2805. 結算公司可透過香港交易所網站或其認為合適的其他途徑或人士向公眾提供參與者在中央結算系統或任何有關的獲委任存管處所持有的相關合資格證券數量（投資者戶口持有人的持倉除外，除非有關人士同意）。該前述向公眾提供參與者在中央結算系統或任何有關的獲委任存管處所持有的相關合資格證券數量於結算參與者，基於任何理由下終止其參與資格後將仍繼續供公眾查閱。

第二十九章 修訂

2902. 修訂通知

一般規則或運作程序規則若有任何修訂、伸延或刪除，結算公司須通知參與者，該通知亦須包括有關的生效日期。結算公司會在香港交易所網站發佈有關該等修訂、伸延或刪除的規則條文，供參與者查閱。

第三十章 通知

3001. 結算公司發出的通知

除非一般規則另有規定，否則結算公司給予非投資者戶口持有人的參與者的一切通知、請求、要求或其他通訊，可透過口頭或書面、以專人遞送或郵遞寄發，透過電子或傳輸線、電話、圖文傳真方式發出、於香港交易所網站發佈或以任何電腦數據傳送方式發出。結算公司會以書面郵遞方式、於香港交易所網站發佈或以任何結算公司認為合適的途徑通知投資者戶口持有人任何有關的事宜，而使用中央結算系統互聯網系統的投資者戶口持有人可透過中央結算系統互聯網系統得知任何有關的事宜。

就以郵遞方式寄往參與者最後註明的地址的通訊而言，該等由結算公司發出到本港地址的通訊將視作於下一個辦公日被參與者收到；如屬境外地址，結算公司將參考一般郵遞服務所需的時間釐定的一個通訊收件日。如該等通訊由專人送往該地址，則將視作於其送達該地址時被參與者收到。

就結算公司以電子或傳輸線傳送、電話或圖文傳真、於香港交易所網站發佈或任何其他即時送達的方式向一位參與者發出通訊而言，該等通訊將視作被參與者立即收到。

CCASS OPERATIONAL PROCEDURES

Definitions

(a) For the convenience of readers, the definitions contained in the Rules are repeated below.

“HKEx website” means the official website of HKEx at <http://www.hkex.com.hk> or at such other website address specified by HKEx from time to time;

Section 3

**CCASS Terminals/CCASS Phone System/CCASS Internet System/
Participant Gateways**

3.10 CCASS PHONE SYSTEM AND CCASS INTERNET SYSTEM

3.10.1 CCASS Phone System and CCASS Internet System available for Investor Participants and SSA Statement Recipients

Once a stock account is opened, an Investor Participant can operate its Stock Account, give instructions on corporate activities, give Electronic Application Instructions for New Issue Shares, Tender Instructions, input ISIs, affirm ISIs, enquire stock balance and input activities via the CCASS Phone System by using a touch-tone phone or at the Customer Service Centre. In addition, an Investor Participant using services available via the CCASS Internet System can give on-line instructions on corporate activities, give Electronic Application Instructions for New Issue Shares, Tender Instructions, input ISIs, affirm ISIs, enquire stock balance and input activities, receive notices and statements. Transfer Instructions must be submitted by the Investor Participant to the Customer Service Centre using the Transfer Instruction Form.

中央結算系統運作程序規則

定義

(a) 為便利讀者，規則內的定義茲重覆載列如下：

「香港交易所網站」 指 香港交易所設於<http://www.hkex.com.hk>或其他香港交易所不時指定網址的官方網站；

第三節

中央結算系統終端機 / 「結算通」 / 中央結算系統互聯網系統 /
參與者網間連接器

3.10 「結算通」及中央結算系統互聯網系統

3.10.1 可供投資者戶口持有人及股份獨立戶口結單收件人使用的「結算通」及中央結算系統
互聯網系統

投資者戶口持有人開立股份戶口後，便可使用音頻電話接通「結算通」或前往客戶服務中心，操控其股份戶口，發出有關公司活動的指示、電子認購新股指示、投標指示、輸入投資者交收指示、確認投資者交收指示、查詢股份結餘及輸入活動。此外，利用中央結算系統互聯網系統服務的投資者戶口持有人，可發出有關公司活動的即時聯線指示、電子認購新股指示、投標指示、輸入投資者交收指示、確認投資者交收指示、查詢股份結餘及輸入活動以及收取通知及結單。投資者戶口持有人須將「轉移指示表格」交回客戶服務中心，才可發出轉移指示。