



編號

LSD/48/2010

Ref. No.:

日期

Date: 18/11/2010

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 Subject: 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  
Amendments to General Rules of CCASS and CCASS Operational Procedures

查詢 Enquiry : 查詢熱線 Hotline 2979 7111

CCASS participants are requested to note that the Securities and Futures Commission has approved amendments to the General Rules of CCASS and the CCASS Operational Procedures to:

- (i) improve the third party clearing arrangements by removing the one-day prior written notice period requirement for the termination of a Clearing Agreement;
- (ii) simplify the requirement for the submission of Clearing Agreements by GCPs; and
- (iii) effect minor housekeeping amendments.

The amendments, as set out in the Appendices 1 and 2, will come into effect on 22 November 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，有關規則之修訂為：

- (i) 提升第三者結算安排，而刪除了為期一天的事先書面通知終止為一個結算協議書；
- (ii) 簡化全面結算參與者提交結算協議書的要求；及
- (iii) 其他次要規則之修訂。

載於附件一及二之修訂由 2010年11月22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

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

**GENERAL RULES OF CCASS****CHAPTER 40****CLEARING BY GENERAL CLEARING PARTICIPANTS****4001. Execution of Clearing Agreement**

Every GCP which intends to clear and settle Exchange Trades and Clearing Agency Transactions for NCPs shall enter into a Clearing Agreement in such form or containing such provisions as may from time to time be required by HKSCC with each NCP the Exchange Trades and Clearing Agency Transactions of which it clears and settles. Except as otherwise approved by HKSCC and subject to such terms and conditions as HKSCC may from time to time specify, a GCP shall not accept for clearing and settlement of any Exchange Trades and Clearing Agency Transactions of a NCP unless and until there is in place a valid, binding and effective Clearing Agreement between it and the NCP.

**4002. Notification of execution of Clearing Agreement**

A GCP shall notify HKSCC of each Clearing Agreement it entered into with a NCP forthwith upon its execution. Such notification shall be in such form as HKSCC may from time to time specify. The GCP shall, at the request of HKSCC, supply it with a certified copy of the executed Clearing Agreement.

**4004. Termination of Clearing Agreement**

A GCP shall give prior written notice to HKSCC if it or an NCP intends to terminate the Clearing Agreement between them, unless the NCP has already given notice to terminate the Clearing Agreement to the Exchange in accordance with the Exchange Rules.

When HKSCC receives a termination notice from a GCP or when HKSCC receives notification from the Exchange that notice to terminate the Clearing Agreement had been given by an NCP, HKSCC will issue a confirmation of termination to the GCP (with a copy to the NCP concerned) in writing and unless and until written confirmation has been issued to the GCP, the Clearing Agreement shall be treated as valid, binding and effective by HKSCC for the purposes of these Rules notwithstanding any provision to the contrary in the Clearing Agreement and/or the termination notice from the GCP or the NCP and the GCP shall continue to be bound by the Clearing Agreement and responsible for all the Exchange Trades and Clearing Agency Transactions concluded by such NCP.

中央結算系統一般規則

## 第四十章

## 由全面結算參與者負責結算

**4001. 簽立結算協議**

每名全面結算參與者如擬為非結算參與者結算及交收聯交所買賣及「結算機構的交易」，應就其代為結算及交收的聯交所買賣及「結算機構的交易」，並根據結算公司可能不時規定的形式或載有結算公司可能不時規定的該等條文的形式，而與各有關非結算參與者訂立結算協議。除非已獲結算公司批准，否則，在結算公司可能不時訂明的條款及條件的規限下，全面結算參與者不得在沒有與非結算參與者訂有具效力、具約束力及有效的結算協議下，答應代為結算及交收非結算參與者的任何聯交所買賣及「結算機構的交易」。

**4002. 簽立結算合約的通知**

全面結算參與者每與非結算參與者訂立一份結算協議，應在簽立協議後立即通知結算公司。該通知應以結算公司可能不時訂明的方式發出。在結算公司要求下，全面結算參與者須附上簽妥的結算協議經核證為真實的副本。

**4004. 終止結算協議**

全面結算參與者或其非結算參與者如擬終止彼此之間的結算協議，除非該名非結算參與者已按交易所規則提交終止結算協議的通知，否則，全面結算參與者須預先向結算公司發出書面通知。

結算公司接獲全面結算參與者的終止通知，或接獲交易所由非結算參與者提交的終止通知後，結算公司將以書面形式向全面結算參與者發出終止確認通知(並有副本送交有關的非結算參與者)。就一般規則而言，在全面結算參與者已獲發書面確認前，結算公司仍會視結算協議為具有效力、具約束力及有效(即使結算協議及/或全面結算參與者或非結算參與者所提交的終止通知載有相反條文)，而全面結算參與者須繼續受結算協議約束，以及就該非結算參與者成交的所有聯交所買賣及「結算機構的交易」承擔責任。

**CCASS OPERATIONAL PROCEDURES****Section 2  
Participants****2.2 ADMISSION FEE****2.2.4 HKSCC may refund admission fee**

HKSCC may refund the admission fee paid by a Clearing Participant calculated as HK\$50,000 in respect of each Stock Exchange Trading Right being relinquished by it.

**Section 3****CCASS Terminals/CCASS Phone System/CCASS Internet System/  
Participant Gateways****3.3 DELEGATED ADMINISTRATORS****3.3.1 Establishing and Cancelling Delegated Administrators**

To appoint and cancel the appointment of a Delegated Administrator, a Participant must apply in the prescribed manner to HKSCC.

Upon approval of an application of a Participant to appoint a Delegated Administrator, HKSCC will provide to the Participant concerned a unique User ID and smartcard, in respect of that Delegated Administrator for access control purposes. The Participant must ensure that its Delegated Administrator creates or changes his initial Smartcard Password (where applicable) immediately upon receipt of the smartcard. If a Delegated Administrator forgets his Smartcard Password, the Participant will need to apply in the prescribed manner to HKSCC to establish a new Smartcard Password.

**3.5 ACCESS CONTROL****3.5.1 Logging on to CCASS**

In the event that a Delegated Administrator of a Participant is unsuccessful in logging on to CCASS via a CCASS Terminal after three attempts, the Participant concerned will need to re-establish that person as a Delegated Administrator by applying in the prescribed manner to HKSCC.

### **3.5.2 Administration Rights of a Delegated Administrator**

At the time of establishing a Delegated Administrator, a Participant will need to determine the Administration Rights for that Delegated Administrator. A Participant may alter the Administration Rights of its Delegated Administrator at any time by applying in the prescribed manner to HKSCC.

## **3.10 CCASS PHONE SYSTEM AND CCASS INTERNET SYSTEM**

### **3.10.3 Input Transaction Limit of an Authorized User of a Corporate Investor Participant**

The extent to which a particular Authorised User of a Corporate Investor Participant can input or affirm an ISI in CCASS will be determined by the Input Transaction Limit specified by the Corporate Investor Participant for that Authorised User. ISI input or affirmed in CCASS by an Authorised User of a Corporate Investor Participant which exceeded his Input Transaction Limit will remain pending for authorisation by another Authorized User of the Corporate Investor Participant with the necessary Input Transaction Limit. In general the value of the Eligible Securities which are subject to instructions input into CCASS by an Authorised User will be compared with the Input Transaction Limit applicable to him. A Corporate Investor Participant may alter the Input Transaction Limit of its Authorised Users at any time by applying in the prescribed manner to HKSCC.

## **Section 15**

### **Enquiry Services**

#### **15.2 USE OF VARIOUS ENQUIRY FUNCTIONS AVAILABLE**

The various enquiry functions that are available for access and the purpose of accessing each such function are set out below:

**(i) Available to Participants other than Investor Participants:**

- (au) “Enquire Issuer Announcement” function: to enquire the information about announcements of listed issuers published on HKEx website;
- (av) “Enquire GCP/NCP Mapping” function: to enquire about the details of the GCP designated by the NCPs as set up in CCASS with reference to the Clearing Agreements between the parties; and
- (aw) “Enquire Deleted SI” function: to enquire about the details of current day deleted SIs.

## Section 16

### Statements and Reports

#### 16.6 REPORTS AND STATEMENTS FOR PARTICIPANTS

##### 16.6.1 Reports and Statements for Participants other than Investor Participants

Report ID	Report name	Frequency	Time available
CSESP01	Settled Position Report	Daily	shortly after 6:00 p.m. (for accumulated settlement results as of current day)
CSEAT02	STI Activity Report	Five times a day	shortly after completion of each STI batch transfer run at around 10:00 a.m., 12:45 p.m., 3:30 p.m., 5:00 p.m. and 8:00 p.m. (for accumulated STI activities as of the report generation time)

## Section 18

### Guarantee Fund

#### 18.2 CALCULATION OF CONTRIBUTIONS

##### 18.2.3 Acquisition of additional Stock Exchange Trading Rights and/or increase in number of NCPs

Any additional amount so required from a Clearing Participant as Contribution (as a result of its acquisition of additional Stock Exchange Trading Rights and/or entering into Clearing Agreements with additional NCPs) must be made in cash within seven Business Days from the date on which notice of approval of the Exchange (in respect of the issue of such Stock Exchange Trading Right to that Exchange Participant) is given and in relation to entering into Clearing Agreements with additional NCPs, no later than seven Business Days from the date on which notice of the execution of each Clearing Agreements is given to HKSCC.

**DIVIDEND / BONUS CLAIM LETTER**  
**股息 / 紅股申請書**

Date :  
日期  
Claims ref :  
申索編號

HKSCC NOMINEES LIMITED  
2/F VICWOOD PLAZA  
199 DES VOEUX ROAD CENTRAL  
HONG KONG  
香港中環德輔道中 199 號  
維德廣場 2 樓  
香港中央結算（代理人）有限公司

Dear Sir :  
執事先生

In respect of the Dividend / Bonus Claim on \_\_\_\_\_ shares of \_\_\_\_\_ under certificate Nos. \_\_\_\_\_ registered in your name,  
就以 貴公司名義登記的 \_\_\_\_\_ 股 \_\_\_\_\_ (股份號碼： \_\_\_\_\_ )，本人特此來函申索有關的股息 / 紅股。  
(股份名稱)

I / We write on behalf of our client, \_\_\_\_\_, who through an oversight, neglected to have the above shares transferred before the closing of the Company's book on \_\_\_\_\_.  
本人代表客戶 \_\_\_\_\_ 來函提出申索。由於該客戶一時疏忽，沒有在截止過戶日期（即 年 月 日）之前辦妥股份過戶手續，因此未能獲派有關的股息 / 紅股。

For your easy reference, we enclose herewith the under-mentioned documents (Items 1-2 in original and Items 3-6 in certified true copies) in respect of the said for your perusal:-  
隨函附上下列有關該等股份的文件（第 1、2 項為正本，第 3 至 6 項為認證副本），以供 貴公司參考：-

1. Letter of Indemnity  
保證書
2. Original Claim Letter from beneficiary with the participant's endorsement  
連同參與者簽署的受益人申索書正本
3. Purchase Contract Note  
買賣合約
4. Stock Withdrawal Receipt  
股份提取收據
5. Share Certificates and Transfer Deeds  
股票及過戶契據
6. Transfer Receipt  
過戶收據

As the shares were registered in your Nominee's name, we should be grateful if you would arrange for refund of the followings:-  
由於該等股份是以 貴公司名義登記，懇請 貴公司安排發還：

\_\_\_\_\_ Interim/Final Dividend of \_\_\_\_\_ per share totalling \_\_\_\_\_  
每股獲派的中期/年終股息 \$ \_\_\_\_\_，合共 \$ \_\_\_\_\_  
(年度)

\_\_\_\_\_ Bonus Issue of \_\_\_\_\_ totalling \_\_\_\_\_ share of \_\_\_\_\_  
的紅股 (每 \_\_\_\_\_ 股送 \_\_\_\_\_ 股)，合共 \_\_\_\_\_ 股  
(年度) (股份名稱)

Kindly contact our \_\_\_\_\_ on Tel: \_\_\_\_\_ if you have any queries on this matter.  
如有任何疑問，請電 \_\_\_\_\_ 與 \_\_\_\_\_ 聯絡。

\_\_\_\_\_  
Authorised Signature of CCASS Participant  
(With Company Chop)

中央結算系統參與者之認可簽署  
(連同公司印章)

Participant ID : \_\_\_\_\_

參與者編號

Name (in block letter): \_\_\_\_\_

參與者名稱

**Note :** Activities under CCASS are subject to the General Rules of CCASS and Operational Procedures in effect.

**註：** 所有在中央結算系統內進行的活動均受現行的香港中央結算有限公司不時發出的《中央結算系統一般規則》及《中央結算系統運作程序規則》所約束。

中央結算系統運作程序規則

**第二節**

**參與者**

**2.2 參與費**

**2.2.4 結算公司可退回參與費或按金**

結算公司可將結算參與者已付的參與費退回，其計算方法為結算參與者每放棄一個聯交所交易權可獲退回港幣五萬元。

**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**

**3.3 管理人仕**

**3.3.1 委任及撤銷管理人仕**

無論委任或撤銷使用人仕，參與者均須以指定方式向結算公司提出申請。

當收到參與者申請委任管理人仕時，結算公司會提供一獨有的使用者編號及聰明咭予管理人仕以作為控制使用組別之用。參與者應確保其管理人仕在收到聰明咭後立刻建立或更改聰明咭密碼（如適用）。若管理人仕忘記其聰明咭密碼，參與者須以指定方式向結算公司提出建立一新的聰明咭密碼。

**3.5 使用管制**

**3.5.1 與中央結算系統聯繫**

在管理人仕經過三次嘗試後仍不能透過中央結算系統終端機啓用中央結算系統的情形下，有關的參與者將須以指定的方式向結算公司申請重新確立該人士為該參與者的管理人仕。



### 3.5.2 管理人仕的管理權利

委任管理人仕時，參與者可決定該管理人仕的有關管理權利，參與者可以指定方式向結算公司提出更改管理人仕的管理權利。

## 3.10 「結算通」及中央結算系統互聯網系統

### 3.10.3 公司投資者戶口持有人的認可使用者的輸入交易限額

公司投資者戶口持有人的認可使用者可在中央結算系統輸入或確認投資者交收指示的程度，將視乎公司投資者戶口持有人就該認可使用者所指定的輸入交易限額而定。公司投資者戶口持有人的認可使用者輸入或確認中央結算系統的投資者交收指示如超出其輸入交易限額，該項投資者交收指示將維持至有待該公司投資者參與者另一位擁有所需輸入交易限額的認可使用者的批核。一般而言，認可使用者輸入中央結算系統的指示所涉及的合資格證券的價值，將與其適用的輸入交易限額比較。公司投資者戶口持有人可隨時以指定的方式，向結算公司申請更改其認可使用者的輸入交易限額。

## 第十五節

### 查詢服務

## 15.2 多種查詢功能的運用

下列為可提供使用的各種查詢功能以及使用這些功能的目的：

- (i) 為非投資者戶口持有人的參與者提供的查詢功能：
  - (au) 「查詢發行人公告」功能：查詢在香港交易所網站上登載的上市發行人公告的有關資料；
  - (av) 「查詢全面結算參與者/非結算參與者配對」功能：查詢非結算參與者所指定的全面結算參與者的詳情(按中央結算系統內根據雙方之間的結算協議所設定)；及
  - (aw) 「查詢已取消的交收指示」功能：查詢即日取消的交收指示資料。

## 第十六節

### 報表及報告

#### 16.6 為參與者提供的報告及報表

##### 16.6.1 為非投資者戶口持有人的參與者提供的報告及報表

報告編號	報告名稱	發出頻次	提供時間
CSESP01	已交收數額報告	每日	下午六時後（當日的累積交收結果）
CSEAT02	STI活動報告	每日五次	每次STI整批轉移處理程序完成後，約上午十時、中午十二時四十五分、下午三時三十分、下午五時正及下午八時正（截至報告產生時的即日STI指示而言）

## 第十八節

### 保證基金

#### 18.2 供款的計算

##### 18.2.3 購得額外聯交所交易權及/或增加非結算參與者的數目

結算參與者因上述原因所須繳納作為供款的任何額外之數（由於其購得額外的聯交所交易權及/或與其他非結算參與者訂立結算協議），須於聯交所發出批准通知（就有關將該聯交所交易權發給該交易所參與者）的日期起七個辦公日內與其他非結算參與者訂立結算協議而言，則於簽訂各有關結算協議的通知送呈結算公司的日期起計七個辦公日內以現金支付。

**DIVIDEND / BONUS CLAIM LETTER**  
**股息 / 紅股申請書**

Date :  
日期  
Claims ref :  
申索編號

HKSCC NOMINEES LIMITED  
2/F VICWOOD PLAZA  
199 DES VOEUX ROAD CENTRAL  
HONG KONG  
香港中環德輔道中 199 號  
維德廣場 2 樓  
香港中央結算（代理人）有限公司

Dear Sir :  
執事先生

In respect of the Dividend / Bonus Claim on \_\_\_\_\_ shares of \_\_\_\_\_ under certificate Nos. \_\_\_\_\_ registered in your name,  
就以 貴公司名義登記的 \_\_\_\_\_ 股 \_\_\_\_\_ (股份號碼： \_\_\_\_\_) (股份名稱) \_\_\_\_\_), 本人特此來函申索有關的股息 / 紅股。

I / We write on behalf of our client, \_\_\_\_\_, who through an oversight, neglected to have the above shares transferred before the closing of the Company's book on \_\_\_\_\_.  
本人代表客戶 \_\_\_\_\_ 來函提出申索。由於該客戶一時疏忽，沒有在截止過戶日期（即 年 月 日）之前辦妥股份過戶手續，因此未能獲派有關的股息 / 紅股。

For your easy reference, we enclose herewith the under-mentioned documents (Items 1-2 in original and Items 3-6 in certified true copies) in respect of the said for your perusal:-  
隨函附上下列有關該等股份的文件（第 1、2 項為正本，第 3 至 6 項為認證副本），以供 貴公司參考：-

1. Letter of Indemnity  
保證書
2. Original Claim Letter from beneficiary with the participant's endorsement  
連同參與者簽署的受益人申索書正本
3. Purchase Contract Note  
買賣合約
4. Stock Withdrawal Receipt  
股份提取收據
5. Share Certificates and Transfer Deeds  
股票及過戶契據
6. Transfer Receipt  
過戶收據

As the shares were registered in your Nominee's name, we should be grateful if you would arrange for refund of the followings:-  
由於該等股份是以 貴公司名義登記，懇請 貴公司安排發還：

Interim/Final Dividend of \_\_\_\_\_ per share totalling \_\_\_\_\_  
每股獲派的中期/年終股息 \$ \_\_\_\_\_，合共 \$ \_\_\_\_\_  
(年度)

Bonus Issue of \_\_\_\_\_ totalling \_\_\_\_\_ share of \_\_\_\_\_  
的紅股 (每 \_\_\_\_\_ 股送 \_\_\_\_\_ 股)，合共 \_\_\_\_\_ 股  
(年度) (股份名稱)

Kindly contact our \_\_\_\_\_ on Tel: \_\_\_\_\_ if you have any queries on this matter.  
如有任何疑問，請電 \_\_\_\_\_ 與 \_\_\_\_\_ 聯絡。

\_\_\_\_\_  
Authorised Signature of CCASS Participant  
(With Company Chop)

中央結算系統參與者之認可簽署  
(連同公司印章)

Participant ID : \_\_\_\_\_

參與者編號

Name (in block letter): \_\_\_\_\_

參與者名稱

**Note :** Activities under CCASS are subject to the General Rules of CCASS and Operational Procedures in effect.

**註：** 所有在中央結算系統內進行的活動均受現行的香港中央結算有限公司不時發出的《中央結算系統一般規則》及《中央結算系統運作程序規則》所約束。