

To : Hong Kong Securities and Clearing Company Limited (“HKSCC”)
 HKFE Clearing Corporation Limited (“HKCC”)
 The SEHK Options Clearing House Limited (“SEOCH”)
 (Fax no. 2579 0111 /2579 0033)

Date : _____

Application ^{Note 1}/Change Request for Liquid Capital Apportionment

1. Particulars of Participant

Participant Name			
	HKSCC	HKCC	SEOCH
Participant ID			
Contact Person Name	1.		2.
Contact Telephone Number			
Fax Number			

2. Apportionment of Liquid Capital (either in percentage or amount ^{Note 2})

Apportionment of Liquid Capital		HKSCC	HKCC	SEOCH
<input type="checkbox"/>	in percentage ^{Note 3}			
<input type="checkbox"/>	in amount ^{Note 4}	HK\$	HK\$	HK\$

 Authorised Signature(s) of HKSCC Participant
 with company chop

 Authorised Signature(s) of HKCC Participant
 with company chop

 Authorised Signature(s) of SEOCH Participant
 with company chop

Note 1 For an applicant applying to become a participant of any Recognized Clearing House, the applicant is required to provide its Liquid Capital apportionment (or any change thereof in case the applicant is already a participant of at least one Recognized Clearing House) to the relevant Recognized Clearing House at least three Business Days before commencement of its new clearing participants.

Note 2 For Recognized Clearing House with no Liquid Capital to be apportioned, mark the corresponding box with “N/A”

Note 3 Total percentage must be less than or equal to 100%

Note 4 Total amount of Liquid Capital apportionment to be used for the purposes of the Recognized Clearing Houses must be less than or equal to the Liquid Capital as per the latest monthly return filed with the Commission under the Financial Resources Rules and received by the relevant Recognized Clearing House from the Commission

For HKSCC / HKCC / SEOCH Use

Action	<u>Reviewer</u>	<u>Remarks</u>
Accepted		
Rejected		
Apportionment effective on		