

中華通證券大額未平倉淡倉報表(「滬港通」)

Large Open Short Position Report for China Connect Securities (Shanghai-Hong Kong Stock Connect)

**注意事項:**

**Notes:**

根據香港聯合交易所有限公司規則(「交易所規則」)第 14A17(18)及(19)條，當中華通交易所參與者或於交易所規則第 590(1)條所提及的交易所參與為自身或其客戶所持有的中華通交易證券於每個星期最後的 CSC 交易日的未平倉淡倉淨值如等於或高於下述限額之一的，便須遞交本報表於交易所：

Pursuant to Rules 14A17(18) and (19) of the Rules of The Stock Exchange Hong Kong Limited (“Rules of the Exchange”), a China Connect Exchange Participant (including an Exchange Participant referred to in Rule 590(1)) shall submit this report to the Exchange if the open short position of any China Connect Security it has executed for its own account or for the account of any of its clients at the end of the last CSC trading day of a calendar week equals or exceeds one of the following reporting thresholds:

- 2,500 萬人民幣 (用每個星期最後的 CSC 交易日收市價來計算) ;  
RMB 25 million (based on the closing price on the last CSC trading day of the week);
- 該證券總股本萬分之二，總股本數目按 [上交所網頁](#) 公佈的數目為準  
0.02% of the total issued shares/ units of the China Connect Security published on [SSE website](#)

交易所可視乎市場情況就本報表規定其他申報限額或頻次。

The Exchange may stipulate other reporting thresholds or frequency of this report taking into account market conditions.

請將填妥之報表於有需申報大額未平倉淡倉的該星期最後的 CSC 交易日後的兩個工作天內交回現貨交易 (傳真: 2523 6804)。如有查詢，請聯絡熱線: 2840 3933。

China Connect Exchange Participants with reportable open short position as mentioned above shall complete and return this report to Cash Trading (fax no. 2523 6804) within 2 working days after the last CSC trading day of the week. For enquiries, please contact our hotline on 2840 3933.

致：香港聯合交易所有限公司

To: The Stock Exchange of Hong Kong Limited

申報日期: Reporting Date:		未平倉淡倉記錄日期: Open Short Position Recording Date:	
交易所參與者名稱: Name of Exchange Participant (“EP”):			
交易所參與者公司代號: Firm ID:		投資者帳戶號碼: Investor Account No.:	
投資者名稱: Name of Investor:			
中華通證券名稱: Name of China Connect Security:		證券代碼: Stock Code:	
未平倉淡倉股數: Quantity of Open Short Position:			

交易所參與者簽署<sup>1</sup> 連同公司印章<sup>1</sup>  
Signature of Exchange Participant  
with Company Chop

: \_\_\_\_\_

日期  
Date

: \_\_\_\_\_

簽署人姓名  
Name of Signatory

: \_\_\_\_\_

職銜  
Position

負責人員

: Responsible Officer

<sup>1</sup> 必須由交易所參與者之負責人員簽署。

The signatory shall be a Responsible Officer of the EP.