

中華通交易所參與者借入中華通證券確認書(「滬港通」)
**Confirmation by China Connect Exchange Participant Borrowing
China Connect Securities (Shanghai-Hong Kong Stock Connect)**

注意事項:

Notes:

1. 本中華通交易所參與者借入中華通證券確認書(「滬港通」)(「確認書」)為根據香港聯合交易所有限公司規則(「交易所規則」)第14A16(11)條指定的確認書。
This Confirmation by China Connect Exchange Participant Borrowing China Connect Securities (Shanghai-Hong Kong Stock Connect) (“Confirmation”) is prescribed pursuant to Rules 14A16(11) of the Rules of The Stock Exchange of Hong Kong Limited (“Rules of the Exchange”).
2. 除非另有規定，在交易所規則的詞彙，當用於本確認書時具有相同意義。本確認書中所提及的「中華通交易所參與者」包括於交易所規則第590(1)條所提及的交易所參與者；此外，本確認書中所提及的「證券借出方」包括任何其他中華通交易所參與者、非登記交易所參與者及合資格機構(作為證券借出方)。
Unless otherwise stated, capitalised terms used in this Confirmation shall have the same meanings as defined in the Rules of the Exchange. References in this Confirmation to “China Connect Exchange Participant” include an Exchange Participant referred to in Rule 590(1) of the Rules of the Exchange; and references to “Securities Lender” include any other China Connect Exchange Participant, a Non-registered Exchange Participant and a Qualified Institution.
3. 中華通交易所參與者應在借入中華通證券或訂立證券借貸安排前遞交予交易所本確認書。在填寫本確認書前，請細閱交易所規則第14A16及14A17條及其他有關中華通證券借貸的條款。
This Confirmation should be submitted by a China Connect Exchange Participant to the Exchange before it borrows or enters into a Securities Borrowing and Lending Arrangement to borrow China Connect Securities. Please read Rules 14A16 and 14A17 of the Rules of the Exchange and the related provisions on the securities borrowing and lending of China Connect Securities carefully before completing this Confirmation.
4. 根據交易所規則第14A16(12)條，已遞交本確認書予交易所的中華通交易所參與者須按訂明表格向交易所遞交一份中華通證券的證券借貸每月報告(滬港通)。該表格可於香港交易所網站下載，網址：www.hkex.com.hk/mutualmarket_c。
A China Connect Exchange Participant who has submitted this Confirmation to the Exchange is required to submit a Securities Borrowing and Lending Monthly Report for China Connect Securities (Shanghai-Hong Kong Stock Connect) in the prescribed form to the Exchange pursuant to Rule 14A16(12) of the Rules of the Exchange. The form of the report can be downloaded from the HKEX website at www.hkex.com.hk/mutualmarket.
5. 請將填妥及由中華通交易所參與者之負責人員簽署的確認書以郵遞方式交予香港交易所現貨交易參與者服務，地址為香港中環康樂廣場8號交易廣場2期6樓。
The completed Confirmation should be duly signed by a Responsible Officer of the China Connect Exchange Participant and returned by mail to Participant Services, Cash Trading of HKEX at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.
6. 如有查詢，請聯絡香港交易所參與者一般查詢熱線：2840-3626。

For enquiries, please contact HKEX – Participant General Enquiry Hotline at 2840-3626.

第一部分 – 中華通交易所參與者資料

Part I – China Connect Exchange Participant Information

中華通交易所參與者名稱： Name of China Connect Exchange Participant：	(中文) (in Chinese)		
	(英文) (in English)		
中華通交易所參與者代號： China Connect Exchange Participant ID：			
聯絡人名稱： Name of Contact Person：		職銜： Position：	
電話號碼： Telephone Number：		電郵地址： Email Address：	

第二部分 – 中華通交易所參與者之確認書

Part II – Confirmation by China Connect Exchange Participant

致： 香港聯合交易所有限公司

To: The Stock Exchange of Hong Kong Limited

根據交易所規則第14A16(11)條，
Pursuant to Rule 14A16(11) of the Rules of the Exchange,

本公司，
we,

確認本公司在從任何證券借出方借入任何中華通證券前，本公司會確保該證券借出方提供以下承諾：

confirm that before we borrow any China Connect Securities from any Securities Lender, we shall ensure that the Securities Lender will provide us with an undertaking in respect of the following:

- 本公司借入中華通證券時，概不存在任何妨礙或約束證券借出方從事貸券活動的限制；
that no restriction exists that prevents or restricts the Securities Lender from engaging in securities lending activities at the time the China Connect Securities are lent to us;
- 倘相關監管當局暫停或限制證券借出方從事貸券活動，股票借出方會即時知會本公司，及停止進一步向本公司貸出中華通證券；
that the Securities Lender will promptly inform us and stop lending further China Connect Securities to us if it is suspended or restricted by a relevant regulator from engaging in securities lending activities;
- 倘證券借出方是非登記交易所參與者或合資格機構，所貸出中華通證券乃由其以主事人身份持有或擁有；及
where the Securities Lender is a Non-registered Exchange Participant or a Qualified Institution, the China Connect Securities being lent to us are held or owned by it as principal; and

- 於接獲本公司的通知後，證券借出方當就借出中華通證券遵守交易所認為合適的限制（包括上海證券交易所施加的任何限制），否則，證券借出方同意本公司按交易所的指示終止有關的證券借貸安排。
that the Securities Lender shall, upon notification by us, comply with such restrictions with respect to the lending of China Connect Securities as the Exchange may consider appropriate, including any restrictions imposed by the Shanghai Stock Exchange, failing which the Securities Lender agrees that the relevant Securities Borrowing and Lending Arrangement may be terminated by us if so directs by the Exchange.

中華通交易所參與者簽署^{*}
連同公司印章

Signature of China Connect
Exchange Participant* with
Company Chop

: _____ Date : _____

簽署人姓名
Name of Signatory

: _____ Position : _____

職銜
負責人員
Responsible Officer

* 必須經由中華通交易所參與者之負責人員簽署。

The signatory shall be a Responsible Officer of the China Connect Exchange Participant.