

新參與者獨立股份戶口表格

STOCK SEGREGATED ACCOUNT MAINTENANCE FORM FOR NEW PARTICIPANT

TO : Clearing Participant Admin. & Services
 Clearing Operations
 Hong Kong Securities Clearing Company Limited
 30/F, One Exchange Square,
 8 Connaught Place, Central, Hong Kong
 (CCASS Hotline: 2979-7111)

Date : _____

Effective Date : ___/___/___
 生效日期 [DD 日/ MM 月/ YY 年]

Participant Short Name 參與者簡名:

Participant ID : _____
 參與者編號

STOCK A/C NO. 股份戶口編號

ACCOUNT NAME 戶口名稱

01

C L E A R I N G A / C

結算戶口

02

E N T I T L E M E N T A / C

權益戶口

Signed by the New Participant 新參與者簽署

 Authorised Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

Date Signed

獲授權之簽名 (連同公司印鑑, 只適用於該印鑑為貴戶簽署指示的一部分) 簽署日期

Name of Signatory(ies): _____

簽署人姓名

FOR OFFICE USE ONLY

Signature Verified by : _____ Date : _____

Input by : _____ Date : _____

Approved by : _____ Date : _____

Checked by : _____ Date : _____

Rpt checked by: _____ Date : _____

Guidance Notes on Completing Stock Segregated Account Maintenance Form For Participant 填寫參與者獨立股份戶口表格指引

1. There are five types of stock accounts in CCASS: (i) Stock Clearing Account, (ii) Stock Segregated Account, (iii) Stock Lending Account, (iv) Stock Collateral Control Account and (v) TSF Accounts. Each Participant has one *Stock Clearing Account* (Account Number 1), and up to fifteen *Stock Segregated Accounts* without statements (Account Number 2 to 16).
中央結算系統共有五種股份戶口，計有：(i) 股份結算戶口；(ii) 股份獨立戶口；(iii) 股份貸出戶口；(iv) 抵押股份統制戶口；及 (v) 交易通戶口。每位參與者均擁有一個股份結算戶口（戶口編號01）及最多十五個獨立股份戶口（戶口編號02至16）。
2. *Stock Clearing Accounts* (A/C 1) are used primarily to settle transactions in CCASS. Securities, if available and subject to the money settlement method elected, are debited from the *Stock Clearing Account* of the delivering Participant and a corresponding quantity of securities will be credited to the *Stock Clearing Account* of the receiving Participant.
「股份結算戶口」（戶口編號 01）主要用作交收中央結算系統內之交易。在證券可供運用的情形下及按照所選擇的款項交收方式，自付方參與者的股份結算戶口扣除，並將相等數量之證券記存於取方參與者的股份結算戶口。
3. *Stock Lending Accounts* (A/C 19) are used by Participants who apply as lenders for stock lending purpose. All securities credited to the *Stock Lending Accounts* will be used by HKSCC for lending purpose in accordance with CCASS rules.
「股份貸出戶口」（戶口編號 19）是給申請成為貸出人的參與者用作股份貸出用途。結算公司將按照中央結算系統規則，使用所有記存於股份貸出戶口的證券作股份貸出用途。
4. *Stock Collateral Control Accounts* (A/C 20) are used by Clearing Participants as a memorandum account and reflect the collateral balances of the Participant under the Common Collateral Management System (CCMS).
「抵押股份統制戶口」（戶口編號 20）是給結算參與者用作備忘戶口及反映參與者在共同抵押品管理系下的抵押股份結餘
5. *Stock Segregated Accounts* are provided to facilitate Participants' internal record keeping. *Stock Account 2* is named the *Entitlement Account* which is used by HKSCC for distributing benefit entitlements to Participants and for effecting adjustments in benefit entitlements. Participants can choose to assign names for the remaining segregated accounts at their will. Some possible names may include "Dealing A/C", "Investment A/C", "Client A/C"...etc. The name of every *Stock Segregated Account* should not be more than fifteen alphanumeric characters inclusive of space.
「獨立股份戶口」乃為方便參與者保存內部記錄而設。戶口編號 02 指定為「股份權益戶口」，作為結算公司分派股份權益予參與者及進行權益調整之用途。參與者可自由決定其餘戶口之名稱。其中可以包括「買賣股份戶口」、「投資股份戶口」、「客戶股份戶口」等等。每個獨立股份戶口的名稱均不可超過 15 個字母或數字（包括空格）。
6. Applicant is not required to open all the other fifteen accounts on application for admission. After admission, participant may add, change or delete any such accounts by completing and returning the prescribed form to Clearing Administration & Services, Clearing Operations of Hong Kong Securities Clearing Company Limited.
申請人毋需於申請時即時開設所有十五個戶口。於申請被接納後，參與者如須增加、更改或取消此類戶口，他們只需填妥指定表格交回香港結算的現貨及衍生產品結算業務，結算行政及服務。