

## 表格 11A - 簽訂結算協議書通知

(只適用於屬於註冊機構的聯交所期權結算所全面結算參與者與與其委任的中央結算所全面結算參與者簽訂的結算協議書)

### Form 11A - Notification of Execution of Clearing Agreement

(Only applicable to the execution of Clearing Agreement between a Registered Institution registered as General Clearing Participant of SEOCH and its appointed General Clearing Participant of HKSCC)

表格11A只適用於根據《證券及期貨條例》(香港法例第571章)成功登記進行第1類受規管活動的註冊機構，而該機構於香港聯合交易所期權結算所有限公司(「聯交所期權結算所」)註冊為全面結算參與者並作為香港中央結算有限公司(「中央結算所」)的非結算參與者，與其委任的中央結算所全面結算參與者簽訂結算協議。

Form 11A is only applicable where a Non-Clearing Participant of Hong Kong Securities Clearing Company Limited (“**HKSCC**”), being a General Clearing Participant of the SEHK Options Clearing House Limited (“**SEOCH**”) which is a Registered Institution registered to carry on a Type 1 regulated activity under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong, has executed a Clearing Agreement with its appointed General Clearing Participant of HKSCC.

中央結算所全面結算參與者名稱:	中文 (in Chinese)
Name of General Clearing Participant of HKSCC:	英文 (in English)
(此後稱為「全面結算參與者」)(hereinafter referred to as the “ <b>GCP</b> ”)	

屬於註冊機構的聯交所期權結算所全面結算參與者名稱:	中文 (in Chinese)
Name of Registered Institution registered as General Clearing Participant of SEOCH:	英文 (in English)
(此後稱為「非結算參與者」)(hereinafter referred to as the Non-Clearing Participant, “ <b>NCP</b> ”)	

#### 注意事項： Notes：

- 除非文義另有所指，否則本表格內的詞語含義與中央結算所/聯交所期權結算所(「相關的結算所」)的相關規則、規例及程序相同。  
Unless otherwise defined or the context otherwise requires, terms used in this Form shall have the same meanings ascribed to them in the relevant rules, regulations and procedures of HKSCC / SEOCH (the “**relevant Clearing House**”).
- 本表格必須由已簽訂結算協議書(「結算協議書」)的雙方(即非結算參與者及全面結算參與者)一同簽署。非結算參與者或全面結算參與者其中一方應通知證券及期貨事務監察委員會(「證監會」)的中介團體監察科部其已簽訂結算協議書。  
This Form must be signed by both the NCP and the GCP which are parties to the clearing agreement entered into between them (the “**Clearing Agreement**”). Either the NCP or GCP should notify the Intermediaries Supervision Department of the Securities and Futures Commission (“**SFC**”) of the execution of the Clearing Agreement.
- 當遞交此表格時，無須提交已簽妥的結算協議書之副本。在有需要的情况下，相關的結算所會要求非結算參與者或全面結算參與者提交經核證的結算協議書副本。  
It is not necessary to provide a copy of the Clearing Agreement when submitting this Form. The NCP or the GCP shall nevertheless be required to supply the relevant Clearing House with a certified copy of any executed Clearing Agreement to which it is or has been a party at any time requested by the relevant Clearing House to do so.

4. 請完成表格內的所有問題及不要留有空格·如有任何問題是不適用·請填寫「不適用」。  
Please answer all the questions stated in this Form and do not leave any questions blank. If any question is not applicable, please state "N.A.".
5. 請將此表格連同申請成為聯交所期權結算的註冊機構的文件遞交至香港交易及結算所有限公司交易營運·並致電 2840-3626 確認已遞交。  
Please submit this Form, together with the application form and documents in support of the application by the Registered Institution to become a General Clearing Participant of SECH, to Trading Operations of Hong Kong Exchanges and Clearing Limited by hand, followed by telephone call at 2840-3626 to confirm submission.

通知事項 (請填妥下列適當部份)

Notification item (please fill the appropriate section below)

**A. 擬委任全面結算參與者日期 (Intended Date of Appointment of GCP of HKSCC)**

中央結算所： 擬委任生效日期  
HKSCC: Intended Effective Date of Appointment: \_\_\_\_\_

**B. 全面結算參與者資料  
Particulars of the GCP**

全面結算參與者名稱 Name of GCP :			
聯絡人名稱： Name of Contact Person :		職銜： Position :	
電話號碼： Telephone Number :		傳真號碼： Fax Number :	
電郵地址： Email Address :			

**C. 非結算參與者資料  
Particulars of NCP**

非結算參與者名稱： Name of NCP:			
聯絡人名稱： Name of Contact Person :		職銜： Position :	
電話號碼： Telephone Number :		傳真號碼： Fax Number :	
電郵地址： Email Address :			

#### D. 全面結算參與者聲明 Declaration by the GCP

本公司，

We,

全面結算參與者名稱  
(Name of GCP)

致： 香港中央結算有限公司

To: Hong Kong Securities Clearing Company Limited

#### 聲明 : Declaration:

1. 證明已按中央結算系統一般規則第4001條與上述非結算參與者簽定結算協議書，為其買賣 / 合約於中央結算系統進行結算；  
**certify** that we have executed a Clearing Agreement with the abovementioned NCP pursuant to Rule 4001 of the General Rules of CCASS for clearing its trades / contracts in CCASS;
2. 承諾會因應相關的結算所要求，向相關的結算所提交經核證的結算協議書副本；  
**undertake** to supply a certified copy of the Clearing Agreement to the relevant Clearing House upon request to do so;
3. 確定結算協議書並沒有包含任何與相關的結算所的規則、規例及程序抵觸的條文，並確保結算協議書內全面結算參與者所需履行的責任與相關的結算所的規則、規例及程序所述之責任一致；  
**confirm** that the Clearing Agreement does not contain any provision which is inconsistent with the rules, regulations and procedures of the relevant Clearing House, but contains provisions which facilitate and ensure the performance by us of our obligations as a general clearing participant under the rules, regulations and procedures of the relevant Clearing House;
4. 承諾本公司如有意終止結算協議書，便會預早提交書面通知予相關的結算所；  
**undertake** to give prior written notice to the relevant Clearing House if we intend to terminate the Clearing Agreement;
5. 聲明在此表格內所提供的資料，全屬完整、真實及正確，同時，本公司並沒有因任何陳述或遺漏而導致該等資料有任何不真實或誤導的成份；  
**declare** that the information provided in this Form relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
6. 承諾若此表格內所提供之資料有任何變更，本公司當立刻通知相關的結算所；  
**undertake** to notify the relevant Clearing House immediately of any changes in the information given in this Form;
7. 明白如本公司在此表格內作出任何虛假或錯誤引導之通知，相關的結算所會對本公司採取紀律處分；  
**understand** that the relevant Clearing House may take disciplinary proceedings against us for making any false or misleading representation in relation to our notification under this Form;
8. 承諾本公司會遵守所有適用於相關的結算所不時生效之規則、規例及程序，及相關的結算所對全面結算參與者就有關結算不時作出的其他指令，並同意在任何不遵守之情況下接受紀律處分；及  
**undertake** to comply with the rules, regulations and procedures of the relevant Clearing House from time to time in force, and any other directives from time to time issued by the relevant Clearing House relating to clearing by general clearing participants; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
9. 同意中央結算所、聯交所期權結算所及作為中央結算所或聯交所期權結算所控制人的認可控制人又或任何作為中央結算所或聯交所期權結算所控制人的認可控制人為其控制人的公司，可將本公司的有關資料透露予證監會、其他交易所及監管機構（不論於香港境內或境外）。  
**consent** that HKSCC, SEOCH and any recognized exchange controller which is the controller of HKSCC or SEOCH or any company of which a recognized exchange controller which is the controller of HKSCC or SEOCH is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

全面結算參與者簽署<sup>1</sup>

Signature of  
the GCP<sup>1</sup>

日期  
Date

(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)  
(with company chop, ONLY applicable if it forms part of your signing instruction)

簽署人姓名

Name of Signatory

職銜  
Position

**E. 非結算參與者聲明 Declaration by the NCP**

本公司，

We,

非結算參與者名稱  
(Name of NCP)

致：香港聯合交易所期權結算所有限公司

To: SEHK Options Clearing House Limited

**聲明：Declaration:**

1. **證明**已按聯交所期權結算所規則第403條與上述全面結算參與者簽定結算協議書，以履行我們與上述全面結算參與者的交付責任；  
**certify** that we have executed a Clearing Agreement with the abovementioned GCP pursuant to Rule 403 of the Options Clearing Rules of SECH to settle our delivery obligations through the abovementioned GCP;
2. **承諾**本公司如有意終止結算協議書，便會預早提交書面通知予期權結算所；  
**undertake** to give prior written notice to SECH if we intend to terminate the Clearing Agreement;
3. **同意**中央結算所、聯交所期權結算所及作為中央結算所或聯交所期權結算所控制人的認可控制人又或任何作為中央結算所或聯交所期權結算所控制人的認可控制人為其控制人的公司，可將本公司的有關資料透露予證監會、其他交易所及監管機構（不論於香港境內或境外）。  
**consent** that HKSCC, SECH and any recognized exchange controller which is the controller of HKSCC or SECH or any company of which a recognized exchange controller which is the controller of HKSCC or SECH is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

全面結算參與者簽署<sup>2</sup>

Signature of  
the NCP<sup>2</sup>

日期  
Date

(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)  
(with company chop, ONLY applicable if it forms part of your signing instruction)

簽署人姓名

Name of Signatory

職銜  
Position

<sup>1</sup> 須由全面結算參與者的授權簽署人仕簽署。

The signatory shall be Authorised Signatories of the GCP.

<sup>2</sup> 須由非結算參與者的授權簽署人仕簽署。

The signatory shall be Authorised Signatories of the NCP.