

## 表格 12A - 終止結算協議書通知

(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其委任的中央結算所全面結算參與者終止結算的協議書)

### Form 12A - Notification of Termination of Clearing Agreement

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

表格12A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終止雙方所簽訂的結算協議。

Form 12A is only applicable to the termination of a Clearing Agreement entered into between a Non-Clearing Participant of Hong Kong Securities Clearing Company Limited ("HKSCC"), being also 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), and 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 "GCP")	

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, "NCP")	

#### 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.
- 本表格由全面結算參與者遞交予中央結算所，通知與非結算參與者終止雙方所簽訂的結算協議書的建議。而全面結算參與者亦同時需要通知證券及期貨事務監察委員會(「證監會」)的中介團體監察科其終止結算協議書的意向。  
This Form is to be submitted by a GCP to notify HKSCC of the proposed termination of the Clearing Agreement entered into with its NCP. The GCP submitting this Form should also notify the Intermediaries Supervision Department of the Securities and Futures Commission ("SFC") of its intention to terminate the Clearing Agreement.
- 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.".
- 請將此表格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 to Trading Operations of Hong Kong Exchanges and Clearing Limited 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. 擬終止結算協議書日期  
Intended Date of Termination of Clearing Agreement

中央結算所結算協議書： 擬終止的生效日期  
HKSCC Clearing Agreement: Intended Effective Date of Termination: \_\_\_\_\_

B. 此通知之聯絡人資料  
Information of the Contact Person for this notification

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. 全面結算參與者聲明  
Declaration by General Clearing Participant

本公司，  
We,

\_\_\_\_\_ 公司名稱 (Name of the Company)

1. 已按中央結算系統一般規則第4004條在此發出通知，欲與上述非結算參與者 終止結算協議書，並確認已通知結算協議書的另一方（即上述非結算參與者）。本公司明白當中央結算所收到終止協議通知後，中央結算所將會就該通知以書面形式發出確認書予本公司（副本予有關的非結算參與者）；除非直至中央結算所發出書面確認書予本公司為止，否則有關的結算協議書仍具效力、具約束力及有效，而協議雙方仍繼續受制於有關的結算協議書；  
hereby give you notice pursuant to Rule 4004 of the General Rules of CCASS that we intend to terminate the Clearing Agreement with the abovementioned NCP and we confirm that we have notified the other party to the Clearing Agreement i.e. the NCP of the submission of this Form and have given termination notice to that party. We understand that when HKSCC receives this Form from us, it will issue a confirmation of termination to us (with a copy to the concerned NCP) in writing and unless and until written confirmation has been issued to us, the Clearing Agreement shall be treated as valid, binding and effective by HKSCC and we shall continue to be bound by the Clearing Agreement;
2. 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確或誤導的成份；  
**declare** that the information provided in this Form is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
3. 承諾若此表格內所提供之資料有任何變更，本公司當立刻通知中央結算所；  
**undertake** that we shall notify HKSCC immediately of any changes in the information given in this notification;
4. 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，中央結算所會對本公司採取紀律處分；  
**understand** that HKSCC may take disciplinary proceedings against us for making any false or misleading representation in relation to our notification under this Form;

5. **承諾**本公司會遵守所有適用於中央結算所不時生效之規則、規例及程序，及其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** that we shall comply with the relevant rules, regulations and procedures HKSCC from time to time in force, and any other directives from time to time issued by it; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
6. **同意**中央結算所、聯交所期權結算所及中央結算所、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、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, SEOC and any recognized exchange controller which is the controller of HKSCC and SEOC or any company of which a recognized exchange controller which is the controller of HKSCC, and SEOC 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

Signature of  
GCP

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, applicable if it forms part of signing instruction)

簽署人姓名

Name of Signatory

職銜

Position