

註冊機構申請成為期貨結算所/聯交所期權結算所全面結算參與者之解釋說明

Explanatory Notes for Application by Registered Institution for HKCC / SEOCH

General Clearing Participants

注意事項： Notes:

- i. 申請人在遞交申請時，須連同所有在解釋說明內所列明的所須費用（如適用）、表格及文件，否則此申請將退回給申請人。
Applicants are requested to submit the application together with all the required fee(s) (if applicable), form(s) and document(s) stated in the Explanatory Notes, otherwise the application will be returned to the applicants.
- ii. 所有款項須以劃線及抬頭為「香港交易及結算所有限公司」的支票繳付。
All payments shall be made by cheques, to be crossed and made payable to "Hong Kong Exchanges and Clearing Limited".

1. 註冊機構申請成為期貨結算所全面結算參與者的申請資格

Admission Criteria for Registered Institution registered as HKCC General Clearing Participant

如註冊機構欲申請成為期貨結算所全面結算參與者，申請人必須符合下述申請資格：

To be registered as a General Clearing Participant ("GCP") of HKFE Clearing Corporation Limited ("HKCC") which is a registered institution, the applicant must fulfill the following admission criteria, namely:

- a. 須為根據《證券及期貨條例》（香港法律第 571 章）進行該條例所述第二類受規管活動註冊的註冊機構。
be a registered institution which is registered to carry on Type 2 regulated activity under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong).
- b. 須為在《銀行業（資本）規則》（香港法律第155L章）的一級資本不少於390,000,000港元（或期貨結算所不時規定的其他水平）。
have Tier 1 capital under the Banking (Capital) Rules (Chapter 155L of the Laws of Hong Kong) of not less than HK\$390,000,000 or such other level as prescribed by HKCC from time to time.
- c. 向《期貨結算公司規則》第 7 章所述的儲備基金提供 7,500,000 港元為其期貨結算公司參與者按金。期貨結算所或不時規定其他金額為參與者最低按金。
contribute HK\$7,500,000 as its HKCC Participant's Deposit to the Reserve Fund referred to in Chapter VII of the HKCC Rules. HKCC may from time to time specify such other amount as the minimum amount of contribution by each applicant.

2. 註冊機構申請成為聯交所期權結算所全面結算參與者的申請資格

Admission Criteria for Registered Institution registered as SEOCH General Clearing Participant

如註冊機構欲申請成為聯交所期權結算所全面結算參與者，申請人必須符合下述申請資格：

To be registered as a GCP of The SEHK Options Clearing House Limited ("SEOCH") which is a registered institution, the applicant must fulfill the following admission criteria, namely:

- a. 須為根據《證券及期貨條例》（香港法律第 571 章）進行該條例所述第一類受規管活動註冊的註冊機構。
be a registered institution which is registered to carry on Type 1 regulated activity under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong).
- b. 設有適合其聯交所期權結算所參與者類別的辦公室後勤系統及電腦設備。
have in place procedures and a back office computer system appropriate for the type of SEOCH Participants applied for.
- c. 須為在《銀行業（資本）規則》（香港法律第 155L 章）的一級資本不少於 390,000,000 港元（或聯交所期權結算所不時規定的其他水平）。
have Tier 1 capital under the Banking (Capital) Rules (Chapter 155L of the laws of Hong Kong) of not less than HK\$390,000,000 or such other level as prescribed by SEOCH from time to time.

- d. 向《聯交所期權結算公司規則》第 3 章及第 4 章所述的儲備基金提供 5,000,000 港元的首次供款，並由第四個與其訂有結算協議書的期權買賣交易所參與者提供額外每份 1,500,000 港元的供款。期權買賣交易所或不時規定其他金額為參與者最低按金。
contribute HK\$5,000,000 as its Initial Contribution to the Reserve Fund, with an additional HK\$1,500,000 for every Clearing Agreement entered into by that GCP with Options Trading Exchange Participants from the fourth such agreement onwards referred to in Chapters 3 and 4 of the SEOCH Rules. SEOCH may from time to time specify such other amount as the minimum amount of contribution by each applicant.

3. 遞交申請地點

Where to Submit Application

申請人須填妥申請文件（參閱下述第 4 及 5 段），並郵寄或由專人送交位於香港中環康樂廣場八號交易廣場二期六樓的香港交易及結算有限公司（「香港交易所」）交易營運。

Applicant should complete and submit by post or by hand the prescribed application documents (see Notes 4 and 5 below) to Trading Operations of Hong Kong Exchanges and Clearing Limited ("HKEX") at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

4. 須遞交的申請文件

Application Documents to be Submitted

申請人必須填妥及遞交下列文件：

Applicant must complete and submit the following documents:

- a. 註冊機構申請成為期貨結算所 / 聯交所期權結算所全面結算參與者（請參閱附件 1）；
Application by Registered Institution for HKCC / SEOCH General Clearing Participantship (Attachment 1);
- b. 申請人之董事會議決案之經核證為真實的副本，議決授權申請人的一名行政人員執行並簽署所有關於期貨結算所 / 聯交所期權結算所全面結算參與者申請之相關文件（請參閱附件 2）；
Certified true copy of board resolution of the applicant authorising an officer(s) of the applicant to execute and sign all the relevant documents in relation to its admission as a HKCC / SEOCH General Clearing Participant ("GCP") (please refer to Attachment 2);
- c. 自動轉帳直接付款授權書（請參閱附件 7） – 只適用於期貨結算所全面結算參與者申請人；
Autopay Direct Debit Authorisation Form (Attachment 7) – applicable to HKCC GCP applicants only;
- d. 聯交所期權結算所參與者協議，一式兩份 – 只適用於聯交所期權結算所全面結算參與者申請人；
SEOCH Participantship Agreement, in duplicate – applicable to SEOCH GCP applicants only;
- e. 表格 11A – 簽訂結算協議書通知（請參閱附件 8） – 適用於執行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的結算協議；
Form 11A – Notification of Execution of Clearing Agreement (Attachment 8) – applicable to the execution of Clearing Agreement between a Registered Institution registered as SEOCH GCP and its appointed HKSCC GCP;
- f. 運作及風險控制計劃書（請參閱參與者及交易權申請之解釋說明附件 2） – 適用於全面結算參與者申請人；
An Operations and Risk Control Plan (please refer to Attachment 2 of Explanatory Notes for Application for Participantship and Trading Right (EN1) – applicable to General Clearing Participant applicants);
[https://www.hkex.com.hk/-/media/HKEX-Market/Services/Rules-and-Forms-and-Fees/Forms/Securities-\(Hong-Kong\)/Trading/Participantship/Participantship---Admission/EN1.pdf?la=en](https://www.hkex.com.hk/-/media/HKEX-Market/Services/Rules-and-Forms-and-Fees/Forms/Securities-(Hong-Kong)/Trading/Participantship/Participantship---Admission/EN1.pdf?la=en)

5. 其他所需文件

Other Documents Required

- a. 請遞交下列有關申請人法律身份的文件，須經由申請人的一位董事、公司秘書或公證人、律師或專業會計師核證為真實的文件副本：
A copy of each of the following documents relating to applicant's legal status, duly certified as true by any one of the applicant's directors, company secretary or a notary public, a solicitor or professional accountant:
 - i. 根據香港《公司條例》成立及受其監管的申請人 -
For applicant formed and registered under the Companies Ordinance of Hong Kong -

- (a) 商業登記證；
Business Registration Certificate;
- (b) 呈交予其相關監管機構的最近期載有一級資本資料之財務報表之經核證為真實的副本及最近期之管理賬目，其結算日期須與財務報表或財政狀況表之結算日期相同，並截至提交日期前一個月內；
The latest financial returns containing Tier 1 Capital information submitted to relevant financial regulators **together** with the latest management accounts which should be made up to a date within one month from the date of submission;
- (c) 最近3年之已審核年度賬目(如申請人成立少於3年須提供所有已審核年度賬目)及最近12個月之每月管理賬目(已被最近3年之已審核年度賬目涵蓋的月份除外)；
Audited annual financial statements for the last 3 years (or all audited annual financial statements if the applicant was established within the last 3 years) and monthly management accounts for the previous 12 months (excluding months that are already covered in the audited annual financial statements for the last 3 years);
- (d) 若申請人為公司集團的一部份，請提供集團的結構圖表，以顯示集團旗下每間公司的持股百分率、主要業務及其成立為法團的所在國家；
If the applicant is a part of a group of companies, please provide a chart of the group structure to indicate the percentage of equity held, the principal business and country of incorporation of each group company;
- (e) 根據《證券及期貨條例》第119(1)條經營第1類或第2類規管活動(視乎情況而定)的註冊機構的註冊證明書。
Certificate of Registration as a registered institution under section 119(1) of the Securities and Futures Ordinance to carry on Type 1 regulated activity or Type 2 regulated activity, as the case may be.
- ii. 根據其他國家的規例或法律成立及受其監管，並已根據香港《公司條例》註冊為非香港公司的申請人 -
For applicant incorporated outside Hong Kong and registered as a non-Hong Kong company under the Companies Ordinance of Hong Kong -
- (a) 根據香港《公司條例》發出的非香港公司註冊證書；
Certificate of Registration of Non-Hong Kong Company issued under the Companies Ordinance of Hong Kong;
- (b) 在香港發出的商業登記證；
Business Registration Certificate issued in Hong Kong;
- (c) 呈交予其相關監管機構的最近期載有一級資本資料之財務報表之經核證為真實的副本及最近期之管理賬目，其結算日期須與財務報表或財政狀況表之結算日期相同，並截至提交日期前一個月內；
The latest financial returns containing Tier 1 Capital information submitted to relevant financial regulators **together** with the latest management accounts which should be made up to a date within one month from the date of submission;
- (d) 最近3年之已審核年度賬目(如申請人成立少於3年須提供所有已審核年度賬目)及最近12個月之每月管理賬目(已被最近3年之已審核年度賬目涵蓋的月份除外)；
Audited annual financial statements for the last 3 years (or all audited annual financial statements if the applicant was established within the last 3 years) and monthly management accounts for the previous 12 months (excluding months that are already covered in the audited annual financial statements for the last 3 years);
- (e) 若申請人為公司集團的一部份，請提供集團的結構圖表，以顯示集團旗下每間公司的持股百分率、主要業務及其成立為法團的所在國家；
if the applicant is a part of a group of companies, please provide a chart of the group structure to indicate the percentage of equity held, the principal business and country of incorporation of each group company;
- (f) 根據《證券及期貨條例》第119(1)條經營第1類或第2類規管活動(視乎情況而定)的註冊機構的註冊證明書。
Certificate of Registration as a registered institution under section 119(1) of the Securities and Futures Ordinance to carry on Type 1 regulated activity or Type 2 regulated activity, as the case may be.

(同時，申請人須為其衍生產品結算及交收系統及共同抵押品管理系統之參與及運作向期貨結算所/聯交所期權結算所(視乎情況而定)呈交各項文件及表格，有關之文件及表格，請參閱附件3(適用於期貨結算所全面結算參與者)或附件4(適用於聯交所期權結算所全面結算參與者)。)

(Applicant should also complete and return various documents and forms to HKCC or SEOCH, as the case may be, in relation to its participation and operations in the Derivatives Clearing and Settlement System (“DCASS”) and the Common Collateral Management System (“CCMS”). Please refer to Attachment 3 (applicable to HKCC GCP) or Attachment 4 (applicable to SEOCH GCP) for the list of the relevant documents and forms.)

註冊機構申請成為期貨結算所 / 聯交所期權結算所全面結算參與者
**Application by Registered Institution for HKCC / SEOCH General Clearing
Participantship**

注意事項：

Notes：

1. 此表格只適用於註冊機構申請成為期貨結算所 / 聯交所期權結算所全面結算參與者，並不適用於有意申請成為交易所參與者。欲申請成為全面結算參與者及交易所參與者的申請人應提交表格 1。
This form is only applicable to a Registered Institution applicant who intends to be registered as a General Clearing Participant of HKCC / SEOCH and who does **not** intend to be an Exchange Participant. A General Clearing Participant who also intends to become an Exchange Participant should complete Form 1.
2. 請附上所有載於「註冊機構申請成為期貨結算所 / 聯交所期權結算所全面結算參與者之解釋說明」內的文件。
Please attach all the documents as stated in the "Explanatory Notes for Application by Registered Institution for HKCC / SEOCH General Clearing Participantship".
3. 請回答所有表格內的問題及不要留空問題的答案部份。如問題不適用，請填寫「不適用」。填妥申請表後，請填上申請日期，並加以簽署。此表格可用機印或正楷填寫。
Please answer all the questions stated in the Form and do not leave any questions blank. If any question is not applicable, please state "N.A.". Upon completion, please sign and date the Form. The Form may be typewritten or legibly handwritten.
4. 在回答問題時，如空位不敷應用，可另紙作答，請在紙上註明問題之編號，並在旁簽署。
If there is insufficient space to answer, please continue on a separate sheet, specify the question to which the sheet relates and sign on it.
5. 請將此申請遞交予香港交易及結算所有限公司交易營運，地址為香港中環康樂廣場八號交易廣場二期六樓。
Please submit the application to the Trading Operations of Hong Kong Exchanges and Clearing Limited at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

A. 申請參與者類別 - (請選擇其中一項)
Participation Applications - (Please select one category)

- 期貨結算所全面結算參與者
General Clearing Participant of HKCC
- 聯交所期權結算所全面結算參與者
General Clearing Participant of SEOCH

B. 此申請之聯絡人資料
Information of the Contact Person for the Application*

姓名： Name：			
電話號碼： Telephone No.：		傳真機號碼： Fax No.：	
電郵地址： Email Address：			

C. 申請人資料
Particulars of Applicant

1. 公司名稱：
Company Name in Full:
英文名稱：
In English: _____
中文名稱 (如適用)
In Chinese (if applicable) _____
2. 主要業務性質:
- | | 是
Yes | 否
No |
|---|--------------------------|--------------------------|
| 香港持牌銀行
Licensed bank in Hong Kong | <input type="checkbox"/> | <input type="checkbox"/> |
| 香港有限制持牌銀行
Restricted licence bank in Hong Kong | <input type="checkbox"/> | <input type="checkbox"/> |
| 香港接受存款公司
Deposit-taking company in Hong Kong | <input type="checkbox"/> | <input type="checkbox"/> |
| 根據《證券及期貨條例》成功登記進行第 1 類受規管活動的註冊機構
Registered Institution which is registered to carry on Type 1 regulated activity under the Securities and Futures Ordinance | <input type="checkbox"/> | <input type="checkbox"/> |
| 根據《證券及期貨條例》成功登記進行第 2 類受規管活動的註冊機構
Registered Institution which is registered to carry on Type 2 regulated activity under the Securities and Futures Ordinance | <input type="checkbox"/> | <input type="checkbox"/> |
- 其他，請註明
Others, please specify

3. 法律身份:

Legal Status:

- L 根據香港《公司條例》組成及註冊的機構
a company formed and registered under the Companies Ordinance of Hong Kong
- O 香港以外成立的公司，並已根據香港《公司條例》註冊為非香港公司的機構
a company incorporated outside Hong Kong and registered as a non-Hong Kong company under the Companies Ordinance of Hong Kong

4. 成立為法團的所在國家:

Country of Incorporation: _____

5. 成立為法團的日期:

Date of Incorporation: |_|_| / |_|_| / |_|_|_|_|
dd 日 mm 月 yyyy 年

6. 商業登記證書號碼:

Business Registration Certificate No.: _____

7. 香港營業地址:

Business Address in Hong Kong:

8. 營業電話號碼:

Business Telephone Number: _____

9. 營業圖文傳真號碼:

Business Facsimile Number: _____

10. 香港通訊地址 (如與上述營業地址不同):

Correspondence Address (if different from business address above):

11. 財務年結日期:

Financial Year End Date: |_|_| / |_|_|
日 D 月 M

12. 股本資料:

Particulars of Share Capital:

Class of shares	Par Value**
<input type="checkbox"/> Ordinary	Number of authorized shares**
<input type="checkbox"/> Preference	Issued share capital
<input type="checkbox"/> Others (please specify)	Premium paid**
_____	Paid-up share capital

** Only applicable to a corporation incorporated outside Hong Kong

13. 註冊股東資料*:
Particulars of Registered Shareholders*:

英文姓名(及中文,如適用) Name in English (and Chinese, if applicable)	受益人姓名 (如註冊股東為信託人或代理人) Name of the Beneficiary (if the registered shareholder is a trustee or nominee)	持有股數(佔已發行股本的百份率) No. of Shares Held (Percentage of Issued Share Capital Held)
_____	_____	(_____ %)
_____	_____	(_____ %)
_____	_____	(_____ %)
_____	_____	(_____ %)
_____	_____	(_____ %)
_____	_____	(_____ %)
_____	_____	(_____ %)

14. 董事資料:
Particulars of Directors:

英文姓名 (及中文, 如適用) Name in English (& Chinese, if applicable)*	委任日期 Date of Appointment
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

D. 申請人的最終控股公司資料
Particulars of Applicant's Ultimate Holding Company

- 英文名稱:
Full Name in English: _____
- 中文名稱 (如適用) :
Name in Chinese (if applicable): _____
- 業務性質:
Nature of Business: _____
- 成立為法團的所在國家:
Country of Incorporation: _____
- 註冊辦事處地址:
Registered Office Address: _____
- 對申請人的實益控制權百分率:
Percentage of Beneficial Control in Applicant: _____

E. 申請人聲明
Declaration by the Applicant

本公司，
We,

申請人姓名
(Name of applicant)

1. **聲明**本公司的董事會已通過動議，同意作出此申請及，若此申請獲批准，同意受期貨結算所或聯交所期權結算所（視乎情況而定）的規則、規例及程序約束；
declare that our board of directors has passed resolution(s) approving this application and agreeing to be bound by the rules, regulations and procedures of HKFE Clearing Corporation Limited (HKCC") or The SEHK Options Clearing House Limited ("SEOCH"), as the case may be, upon this application being approved;
2. **聲明**我們已知會所有就此申請而曾經或可能會被我們或我們的代理將其個人資料交予期貨結算公司或聯交所期權結算所（視情況而定）的自然人並取得其同意，可按此表格隨附的私隱政策聲明處理該等個人資料；
declare that we have notified and obtained consent from all natural persons in respect of whom personal data may have been provided or may be provided by us or our agent to HKCC or SEOCH, as the case may be, in connection with this application to the processing of such data in accordance with the Privacy Policy Statement appended to this form;
3. **聲明**在此申請上所提供的資料（包括所有相關的其他文件）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 application (including all other supporting documents) is complete, true and correct and that we have not made or omitted to make any statements or omissions which would render such information untrue or misleading;
4. **承諾**若此申請（包括其他所有文件的資料）所提供之資料有任何變更，本公司當立刻通知結算公司；
undertake that we shall notify HKCC or SEOCH, as the case may be, immediately of any changes in the information given in this application (including all other supporting documents);
5. **明白**期貨結算所或聯交所期權結算所（視乎情況而定）有權對有關在參與者申請作出虛假或錯誤引導聲明的參與者採取紀律處分；
understand that HKCC or SEOCH, as the case may be, may take disciplinary proceedings against a Participant which has made a false or misleading representation in relation to its application for participantship;
6. **承諾**本公司會遵守所有適用於期貨結算所或聯交所期權結算所（視乎情況而定）不時生效之適用規則、規例及程序，及遵守期貨結算所或聯交所期權結算所（視乎情況而定）有關申請的認可信件內所載條件及其他不時作出的條件，並同意在任何不遵守之情況下接受紀律處分；
undertake that we shall comply with all applicable rules, regulations and procedures of HKCC or SEOCH, as the case may be, from time to time in force, the conditions stated in the letter of approval and any other directives from time to time made by HKCC or SEOCH, as the case may be, and **agree** that any non-compliance shall render us liable to disciplinary proceedings;
7. **同意**期貨結算所及聯交所期權結算所及作為期貨結算所及聯交所期權結算所控制人的認可控制人又或任何作為期貨結算所及聯交所期權結算所控制人的認可控制人可透露有關本公司的資料予證監會、其他交易所及監管機構（不論於香港境內或境外）；
consent that HKCC or SEOCH, as the case may be, any recognized exchange controller which is the controller of HKCC or SEOCH, and any company of which a recognized exchange controller which is controller of HKCC or SEOCH is a controller, may disclose information relating to us to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong);

8. 同意此表格的中英文本如有差異，概以英文版為準；及
agree that should there be any conflicts between the English and Chinese languages of this form, the English language shall prevail; and
9. 承諾每位由本公司提供結算服務的非結算參與者均與本公司訂有有效、具約束力且仍然生效的結算協議，萬一該參與者出現交易所規則或期權交易規則(視乎情況而定)下的違約事件，本公司可將該參與者的交易平倉。
undertake that, for each non-clearing participant to which we provide clearing services, we have a valid, binding and effective clearing agreement with such participant which permits us to close out positions of such participant if there is an event of default by such participant under the exchange rules or options trading rules, as the case may be.

申請人簽署¹

Signature of the
Applicant¹

日期

Date

(連同公司印章，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

¹ 必須經由申請人的董事會授權之人士簽署。

The signatory shall be a person duly authorized by the board of directors of the applicant.

私隱政策聲明

本私隱政策聲明解釋香港交易及結算所有限公司及其不時的附屬公司（統稱「本集團」）（在本私隱政策聲明中，各自稱為「香港交易所」、「我們」或「本集團成員公司」）如何處理閣下的個人資料，亦描述閣下保障資料的權利，包括有權反對香港交易所根據香港法例第486章《個人資料（私隱）條例》（該「《條例》」）對部分資料的處理。

如對這項私隱政策聲明或我們如何使用閣下的個人資料有任何疑問，請通過下文「聯繫我們」所載的任何一個通訊渠道與我們聯繫。

請注意：如閣下沒有向我們提供註明(*)號的個人資料（或有關閣下代理人的個人資料），我們可能無法提供閣下要求的資訊、產品或服務又或無法處理閣下的要求、申請、訂購或登記，亦可能無法執行或履行監管職能（定義見下文）。

甲. 處理的目的

我們或會為了以下目的而不時收集閣下的個人資料（包括但不限於閣下的姓名、郵寄地址、身份證明文件、電話號碼、電郵地址、出生日期和登入名稱）：

1. 處理閣下的申請、訂購及登記使用我們的產品及服務；
2. 核實閣下的身份。例如，我們可能會收集閣下的身份證號碼（例如閣下的香港身份證），另外亦可能因為需要識別閣下的身份而收集閣下的身份證號碼。
3. 執行或履行香港交易所以及任何由其作為認可控制人的公司（定義見香港法例第571章《證券及期貨條例》）的職能（「監管職能」）；
4. 向閣下提供我們的產品和服務，以及與此相關的賬戶管理；
5. 進行研究和統計分析；
6. 與上列任何一項有直接關聯的其他目的。

直接營銷

如適用法律容許，我們也可能會使用閣下的姓名、郵寄地址、電話號碼和電郵地址，用以寄送宣傳資料，就香港交易所以及本集團其他成員公司的金融和資訊服務進行直接營銷活動。

除非閣下已經拒絕，否則我們可能會將閣下的姓名、郵寄地址、電話號碼和電郵地址轉交本集團其他成員公司，使其可向閣下寄送宣傳資料，就其金融和資訊服務進行直接營銷活動。

如不希望收到我們的宣傳和直接營銷資料，或不希望收到此類宣傳和直接營銷資料，又或是不希望在某種途徑收到此類材料，請通過下文「聯繫我們」所載的其中一種通訊渠道聯絡我們。為確保可以迅速處理閣下的要求，請提供閣下的全名、電郵地址、登入名稱及所訂閱產品及/或服務的詳情。

第三方收集資料

我們會對成員及潛在成員進行商業及法律盡職審查，當中牽涉到由提供背景審查服務的第三方索取員工、董事及股東的個人資料。在某些個案中，我們可能會索取有關個別人士刑事罪行或定罪紀錄的資料。審查詳情載於我們的成員資料集。

乙. 我們可與何人共用資料

為了以上一個或多於一個目的，閣下的個人資料可能會轉交下列人士。

集團內部轉移：個人資料可能會轉交予本集團其他成員公司，而使本集團（在香港或其他地方）的相關人員獲得閣下的個人資料；就此，閣下同意將閣下的個人資料轉離香港；

服務供應商：個人資料可能會提供予任何向香港交易所及/或本集團在香港或其他地方的其他成員提供行政、電訊、電腦、付款、追收欠款、資料處理或其他服務的代理、承判商或第三方；及

除上述人士外，個人資料還可能會與其他人士共用（收集資料時會通知閣下）。

法律與法規的遵守

香港交易所及本集團其他成員公司或要為了遵守適用法律及規例，或遵守法院指令、傳票或其他法定程序（無論於香港或其他地方），或遵從政府機關、執法機構或類似機

構（無論位於香港或其他地方）提出的要求，又或執行或履行監管職能，而必須保留、處理及/或披露閣下的個人資料。香港交易所及本集團其他成員公司或須披露閣下的個人資料，以履行與閣下的協議，或保護我們或我們僱員的權利、財產或安全，又或執行或履行監管職能。

公司重組

隨著我們持續發展業務，我們可能會重組集團架構或出現控制權易手或業務合併。在這些情況下，閣下的個人資料或會按這份私隱政策聲明或另一份將會通知閣下的私隱政策聲明而移交繼續運營我們業務或類似服務的第三方。此等第三方或在香港以外的地方，就此等收購或重組而使用閣下個人資料的地點也可能不在香港。

丙. 我們如何使用 cookies

閣下通過香港交易所網站查閱我們的資訊或服務時，應當留意到網站有使用 cookies。Cookies 是指儲存在閣下瀏覽器內的資料檔。閣下進入香港交易所網站時，網站即在閣下瀏覽器內自動安裝並使用 cookies。香港交易所網站使用兩種 cookies。

Session Cookies：一種只在閣下瀏覽香港交易所網站期間留存於瀏覽器內的短暫性質 cookies，用處在於取得並儲存配置資訊及管理網站，包括「攜帶」資訊以隨閣下瀏覽網站的不同版頁，譬如以免閣下每到一個版頁也要重新輸入資訊。Session cookies 也會用來編備關於香港交易所網站使用的匿名統計資料。

Persistent Cookies：一種留存於瀏覽器內較長時間的 cookies，用以編備關於香港交易所網站使用的匿名統計資料，或追蹤和記錄使用者的習慣偏好。

香港交易所網站所用的 cookies 不包含個人資料。閣下可以更改瀏覽器或網路安全軟件中的設定，拒絕接受瀏覽器內的 cookies。不過，這樣或會令閣下不能使用或啟動香港交易所網站中的某些功能。

丁. 查閱及更正個人資料

根據該《條例》，閣下有權查明我們是否持有閣下的個人資料、取得資料的備份及更正任何不準確資料，也可以要求我們通知閣下其持有資料的種類。如欲查閱有關資料，須使用個人資料私隱專員（「私隱專員」）指定的表格（可於私隱專員公署的官方網站下載）或經此連接 <https://www.pcpd.org.hk/english/publications/files/Dforme.pdf> 提出。

如欲查閱和更正個人資料，或查閱有關政策與常規以及我們所持有資料種類，應以書面及郵遞形式提出要求（見以下「聯繫我們」）。

我們或會因應閣下查閱資料要求而產生的行政及實際成本而收取合理的費用。

戊. 終止或取消

任何時候如果閣下在我們的賬戶或與我們的關係被取消或終止，我們會隨即在合理情況下盡快終止處理閣下的個人資料，但也可按合理需要而保留有關資料，合理的需要包括：資料歸檔；解決實際或潛在的爭議；遵守適用法律及規例；履行與閣下的任何協議；保障我們及我們僱員的權利、財產或安全；以及執行或履行我們的職能、義務及責任等。

己. 變更

我們定期檢討這項私隱政策聲明，並可能不時加以修訂或加入具體指示、政策及條款。本私隱政策聲明如有任何重要修訂，我們會通過閣下提供給我們的聯絡方式通知閣下，也會按該《條例》的規定，讓閣下可以透過屆時通知閣下的途徑選擇拒絕接收此類修訂通知。否則，關於通過香港交易所網站或其他方式而提供給我們的個人資料，閣下繼續使用香港交易所網站或繼續維持與我們的關係即被視為同意並接受此項私隱政策聲明（不時修訂）。

庚. 一般資料

本私隱政策聲明中英文本如有差異，概以英文版為準。

辛. 聯繫我們

郵寄：
香港中環康樂廣場8號
交易廣場二期8樓
香港交易及結算所有限公司
個人資料隱私主任

電郵：DataPrivacy@HKEX.COM.HK

Privacy Policy Statement

This Privacy Policy Statement explains how Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group") process your personal data. It also describes your data protection rights, including a right to object to some of the processing that HKEX carries out Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO").

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) marked with asterisks we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

A. Purposes of Processing

From time to time we may collect your personal data including but not limited to your name, mailing address, identity documents, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to verify your identity. For example, we may collect your identity card number (such as your Hong Kong ID) for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose;
3. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
4. to provide you with our products and services and administer your account in relation to such products and services;
5. to conduct research and statistical analysis; and
6. other purposes directly relating to any of the above.

Direct marketing

We may also, where permitted under applicable law, use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

Except to the extent you have already opted out, we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

Information collected from third parties

We undertake commercial and legal due diligence checks on our members and prospective members, which involves obtaining personal data on staff, directors and shareholders from third parties which provide background checking services. The data we obtain may in limited cases include information about criminal offences or convictions of individuals. Further information about these checks is included in our membership information pack.

B. Who we may share data with

For one or more of the purposes specified above, your personal data may be transferred to the recipients below.

Group Transfer: Personal data may be transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;

Service Providers: Personal data may be supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and

In addition to the above, personal data may be shared with other parties as notified to you at the time of collection.

Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety,

or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

C. How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

Session Cookies: temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

Persistent Cookies: cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

D. Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("Privacy Commissioner") which may be found on the official website of the Office of the Privacy Commissioner or via this link <https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

E. Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

F. Changes

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

G. General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

H. Contact us

By Post:
Personal Data Privacy Officer
Hong Kong Exchanges and Clearing Limited
8/F, Two Exchange Square
8 Connaught Place
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK

(SAMPLE RESOLUTION)

CERTIFIED TRUE EXTRACT of Minutes of the Meeting of the Board of Directors of (name of Applicant) (the "Company") held on (date) at (Place) at (time) .

APPLICATION FOR ADMISSION AS A GENERAL CLEARING PARTICIPANT OF *THE HKFE CLEARING CORPORATION LIMITED ("HKCC") / THE SEHK OPTIONS CLEARING HOUSE LIMITED ("SEOCH")

IT WAS RESOLVED THAT (name of Authorised Person) be authorised to execute and sign on behalf of the Company all relevant documents and agreement in relation to its admission as a General Clearing Participant of *HKCC / SEOCH.

* Please delete where inappropriate

Dated this day of , (Year).

I / We hereby certify that this is a true and correct extract of this original Minutes of the Meeting of Directors of the Company.

Director/Company Secretary

[This sample resolution is published by Hong Kong Exchanges and Clearing Limited ("HKEX") for reference only. HKEX and its subsidiaries accept no liability (whether in tort or contract or otherwise) for any loss or damage arising from any omission, inaccuracy or errors.]

申請期貨結算所參與者適用之文件及表格

Documents and Forms applicable to Applications for Participantship of HKCC

注意事項：

Notes：

1. 申請人須為其衍生產品結算及交收系統及共同抵押品管理系統之參與及運作向期貨結算所呈交下列文件及表格。期貨結算所在接獲申請後，將會提供有關之文件及表格予申請人填寫。
Applicant should complete and return the following documents and forms to HKCC in relation to its participation and operations in the Derivatives Clearing and Settlement System ("DCASS") and the Common Collateral Management System ("CCMS"). HKCC will provide the relevant documents and forms to the applicant upon receipt of the application.
2. 申請人須呈交予期貨結算所董事會議決案之經核證為真實的副本，議決委任授權簽署人簽署及/或給予期貨結算所有關申請人在其衍生產品結算及交收系統及共同抵押品管理系統之運作之所有事宜的書面指示（請參閱附件 5）；
Applicant should provide to HKCC a certified true copy of the board resolution to appoint the Authorised Signatories of the applicant for signing various prescribed forms and/or giving written instructions to HKCC in connection with any matters arising from the Company's participation and operations in DCASS and CCMS (please refer to Attachment 5);
3. 申請人在填寫有關文件或表格時，如有疑問或需要協助，請聯絡DCASS熱線（電話：2979-7222）。
Should the applicant have any question or require assistance when completing the documents or forms, please contact DCASS Hotline at 2979-7222.

文件及表格：

Documents and Forms：

*(期貨結算所在接獲申請後，將會提供下列文件及表格予申請人填寫)
(The following documents and forms will be provided by HKCC to the applicant upon receipt of the application.)*

1. 每個交收貨幣兩份直接扣款授權書；
Two Direct Debit Mandates for each settlement currency;
2. 「獲授權簽署人仕」名單及簽署式樣；
List of Authorised Signatories with Specimen Signatures;
3. 聯絡人名單；
Contact Persons List;
4. Form W-8BEN-E, Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities) or any relevant form as applicable
5. 衍生產品結算及交收系統申請及特許使用的合約，一式兩份；
DCASS Subscription and Licence Agreement, in duplicate;
6. DCASS 使用者維護設定申請表；
DCASS User Account Maintenance Form;

7. CCASS/CCMS SDNet Line Service 通知書 ;
CCASS/CCMS SDNet Line Service Notification Form;
8. DCASS Production/Testing Line Application and/or Change of SDNet Bandwidth Notification 申請表 ;
DCASS Production/Testing Line Application and/or Change of SDNet Bandwidth Notification Form;
9. 新參與者的聰明卡申請表 ;
Smart Card Request Form for New Participant;
10. 新參與者的管理人士的使用組別資料 ;
User Profile for Delegated Administrator for New Participant;
11. Sharing of CCASS3/CCMS Terminal to Access CCMS/CCASS 申請表
Sharing of CCASS3/CCMS Terminal to Access CCMS/CCASS Form
12. SFTP User IDs for Report Retrieval Solution For Listed Derivatives Market 申請表
Application Form for SFTP User IDs for Report Retrieval Solution For Listed Derivatives Market
13. Client Connect 管理人士權限申請 / 維護表格
Client Connect Delegated Administrator Rights Application / Maintenance Form Market

申請聯交所期權結算所參與者適用之文件及表格

Documents and Forms applicable to Applications for Participants of SEOCH

注意事項：

Notes:

1. 聯交所期權結算所參與者申請人須為其衍生產品結算及交收系統之參與及運作向聯交所期權結算所呈交下列文件及表格。聯交所期權結算所在接獲申請後，將會提供有關之文件及表格予申請人填寫。
SEOCH Participantship applicant should complete and return the following documents and forms to SEOCH in relation to its participation and operations in the Derivatives Clearing and Settlement System ("DCASS") and the Common Collateral Management System ("CCMS"). SEOCH will provide the relevant documents and forms to the applicant upon receipt of the application.
2. 申請人須呈交予聯交所期權結算所董事會議決案之經核證為真實的副本，議決以下（請參閱附件6）：
Applicant should provide to SEOCH the certified true copy of board resolution(s) of the applicant resolving the following (please refer to Attachment 6) :
 - 授權申請人的一名行政人員簽署、衍生產品結算及交收系統許可使用協議、及傳真保證書；
to authorise an officer(s) of the applicant to sign the DCASS Subscription and Licence Agreement and Facsimile Indemnity;
 - 批准聯交所期權結算所可轉移申請人存放的抵押品及交收款項指令及授權一名申請人的行政人員代申請人簽署指令；
to approve the Mandate authorising SEOCH to transfer collateral and settlement amount deposited by the applicant and to authorise an officer(s) of the applicant to sign the Mandate on behalf of the applicant;
 - 批准聯交所期權結算所抵押品之抵押契約，並授權一名行政人員代申請人簽署及執行該抵押契約及蓋申請人的印章於該契約；
to approve the Deed of Charge Relating to SEOCH Collateral and to authorise an officer(s) to sign and execute the Deed of Charge on behalf of the applicant and to affix the common seal of the applicant thereto;
 - 委任授權簽署人處理所有有關其參與為聯交所期權結算所參與者之所有事宜；
to appoint Authorised signatories for all matters relating to its participation as an SEOCH Participant; and
 - 批准授權簽署人代表申請人進行的職能；
to approve the functions to be carried out by the authorised signatories on behalf of the applicant;
3. 申請人在填寫有關文件或表格時，如有疑問或需要協助，請聯絡DCASS熱線（電話：2979-7222）。
Should the applicant have any question or require assistance when completing the documents or forms, please contact DCASS Hotline at 2979-7222.

文件及表格：

Documents and Forms :

(聯交所期權結算所在接獲申請後，將會提供下列文件及表格予申請人填寫。)
(The following documents and forms will be provided by SEOCH to the applicant upon receipt of the application.)

1. 每個交收貨幣兩份直接扣款授權書；
Two Direct Debit Mandates for each settlement currency;
2. 聯絡人名單；
Contact Persons List;

3. Form W-8BEN-E, Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities) or any relevant form as applicable
4. 授權聯交所期權結算所轉移抵押品及交收款項予香港中央結算所有限公司之指令 ;
Mandate authorising SEOCH to transfer collateral and settlement amount to Hong Kong Securities Clearing Company Limited;
5. 「獲授權簽署人士」名單及簽署式樣 ;
List of Authorised Signatories with Specimen Signatures;
6. 傳真保證書 ;
Facsimile Indemnity;
7. 抵押契約，一式兩份 ;
Deed of charge, in duplicate;
8. 衍生產品結算及交收系統申請及特許使用的合約，一式兩份 ;
DCASS Subscription and Licence Agreement, in duplicate;
9. DCASS 使用者維護設定申請表 ;
DCASS User Account Maintenance Form;
10. CCASS/ CCMS SDNet Line Service 通知書 ;
CCASS/ CCMS SDNet Line Service Notification Form;
11. DCASS Production/Testing Line Application and/or Change of SDNet Bandwidth Notification 申請表 ;
DCASS Production/Testing Line Application and/or Change of SDNet Bandwidth Notification Form;
12. 新參與者的聰明卡申請表 ;
SmartCard Request Form for New Participant;
13. 新參與者的管理人士的使用組別資料 ;
Use Profile for Delegated Administrator for New Participant;
14. Sharing of CCASS3/CCMS Terminal to Access CCMS/CCASS 申請表
Sharing of CCASS3/CCMS Terminal to Access CCMS/CCASS Form
15. SFTP User IDs for Report Retrieval Solution For Listed Derivatives Market 申請表
Application Form for SFTP User IDs for Report Retrieval Solution For Listed Derivatives Market
16. Client Connect 管理人士權限申請 / 維護表格
Client Connect Delegated Administrator Rights Application / Maintenance Form Market

(SAMPLE RESOLUTION)

Certified True Extract of Minutes of the Meeting of the Board of Directors of
 _____(Company Name)

held on _____(Date) at _____(Time) at which a quorum was present.

Please tick “✓” in appropriate boxes below

“IT WAS RESOLVED:

1. **THAT** with effect from _____, the list of Authorised Signatories of the Company for signing various prescribed forms of, and/or giving written instructions to The HKFE Clearing Corporation Limited (“HKCC”) in connection with any matters arising from the Company’s participation and operations in the Derivatives Clearing and Settlement System (“DCASS”) and the Common Collateral Management System (“CCMS”) be changed to the following and that

- any one of the Authorised Signatories signing alone shall be valid/
- any two of the Authorised Signatories signing jointly shall be valid/
- any two of Group A or any one Group A and any one of Group B of the Authorised Signatories signing jointly shall be valid/
- company chop must be affixed in addition to signature(s):
- company chop is not required to be affixed in addition to signature(s):
- others: _____

No.	Full Name in English	Signing Group (if applicable)

- 2. **THAT** the aforesaid changes be communicated to HKCC in accordance with such requirements as it may prescribe for updating its records;
- 3. **THAT** the Company shall hold HKCC harmless against any and all claims that may arise by reason of HKCC acting on such written instructions of the Authorised Signatories and HKCC shall incur no liability for or in respect of any such action; and
- 4. **THAT** these resolutions supersede all previous authorisations and be communicated to HKCC and shall as between the Company and HKCC be conclusive evidence of the passing of such resolutions and remain in force until amending resolutions to supersede them have been passed by the Company’s Board of Directors and communicated to HKCC.”

Certified By:

 (Signature)

 (Date Signed)

Name of Signatory:

Position: Director / Company Secretary

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(SAMPLE RESOLUTION)

CERTIFIED TRUE EXTRACT of Minutes of the Meeting of the Board of Directors of
(Company Name) held on _____
(Date) at _____ **(Place) at** _____ **(Time).**

APPLICATION FOR ADMISSION AS AN SEOCH PARTICIPANT IN THE SEHK OPTIONS CLEARING HOUSE LIMITED ("SEOCH")

IT WAS RESOLVED THAT _____ (name of Authorised Person) be authorised to execute and sign on behalf of the Company all relevant documents, including DCASS Subscription and Licence Agreement and Facsimile Indemnity, in relation to the application for admission as an SEOCH Participant.

IT WAS FURTHER RESOLVED THAT the Mandate authorising SEOCH to transfer collateral and settlement amount to Hong Kong Securities Clearing Company Limited be approved by the Company and that _____ (name of Authorised Person) be authorised to sign the Mandate on behalf of the Company.

IT WAS FURTHER RESOLVED THAT the Deed of Charge relating to SEOCH Collateral be approved and that (any one of the Directors of the Company or any two of the Directors of the Company) be authorised to sign and execute the Deed of Charge on behalf of the Company and that the common seal of the Company be affixed to the Deed of Charge wherever necessary.

IT WAS FURTHER RESOLVED THAT the following persons be appointed as authorised signatories of the Company ("Authorised Signatories") to give written instructions to SEOCH for all matters relating to its participation as an SEOCH Participant of SEOCH with signing mandate listed below:

No.	Full Name in English	Signing Group (if applicable)

Signing Mandate for the instructions listed under a, b and c below:

Please tick "✓" in appropriate boxes below

- any one of the Authorised Signatories signing alone shall be valid/
- any two of the Authorised Signatories signing jointly shall be valid/
- any two of Group A or any one Group A and any one of Group B of the Authorised Signatories signing jointly shall be valid/
- company chop must be affixed in addition to signature(s):
- company chop is not required to be affixed in addition to signature(s):
- others: _____

- a) for signing various prescribed forms of, and/or giving written instructions to SEOCH in connection with any matters arising from the Company's participation and operations in the Derivatives Clearing and Settlement System ("DCASS") and the Common Collateral Management System ("CCMS") and that
- b) to give notice of all subsequent changes in any of the information previously provided to SEOCH relating to the Company's application for SEOCH Participantship; and
- c) to give any other formal written instructions to SEOCH.

IT WAS FURTHER RESOLVED THAT the Company shall hold SEOCH harmless against any and all claims that may arise by reason of SEOCH acting on the written instructions of the Authorised Signatories.

Certified By:

 (Signature)

 (Date Signed)

Name of Signatory: _____ Position: Director / Company Secretary

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DIRECT DEBIT AUTHORISATION (Generic Set-up) 直接付款授權書

Date 日期	day 日 / month 月 / year 年

- Note 注意:**
1. Please tick where applicable. 請在適當的地方加上劃號。
 2. For HSBC customers, please return the completed form to the Bank or mail to Automatic Payments Centre, Payment Services at P O Box 72677, Kowloon Central Post Office, Kowloon, Hong Kong. You may also set up the direct debit authorisation through HSBC Internet Banking. For non-HSBC customers, please complete and return this form to your banker. 如屬滙豐客戶，請將已填妥的表格交回本行或寄回九龍中央郵政局郵政信箱 72677 號匯款服務自動轉賬中心。您亦可透過滙豐網上理財設立直接付款授權。如非滙豐客戶，請依次填寫並將此授權書交給貴戶的往來銀行。
 3. Your Direct Debit Authorisation set up request will normally be processed within 4 working days (excluding Saturday, Sunday and public holiday) upon receipt of your form. 在一般情況下，本行將在收到您的直接付款授權的設立申請表後四个工作日内（不包括星期六、日及公眾假期）處理您的申請。

Name of Party to be Credited (<i>The Beneficiary</i>) 收款的一方 (收款人) HKFE CLEARING CORPORATION LIMITED		Bank No. 銀行號碼 0 0 4	Branch No. 分行號碼 5 6 7	Account No. 戶口號碼 8 3 4 2 4 7 0 0 3
My/Our Bank Name and Branch 本人(等)的銀行及分行的名稱		Bank No. 銀行號碼	Branch No. 分行號碼	My/Our Account No. 本人(等)的戶口號碼
My/Our Name(s) as recorded on Statement/Passbook (<i>in Block Letters</i>) 本人(等)在結單/存摺上所紀錄的名稱 (請以英文正體填寫)				
Contact Telephone No. 聯絡電話號碼	Maximum Limit for 最高付款限額 Note 注意: If blank, the debtor's bank will set as "unlimited". 如無填寫，付款銀行會將轉賬限額設定為「不設上限」。 <input type="checkbox"/> Each Payment 每次 <input type="checkbox"/> Each Month 每月		Expiry Date (<i>day/month/year</i>) 到期日 (日/月/年) Note 注意: If blank, this authorisation shall have effect until further notice and Expiry Date should be greater than 3 months. 如無填寫，此直接付款授權書將無限期限有效直至另行通知及到期日必須大於三個月。	
My/Our Address as recorded on Statement/Passbook 本人(等)在結單/存摺上所紀錄的地址				
Debtor Name (<i>in Block Letters</i>) 付款人名稱 (請以英文正體填寫) Note 注意: Please specify if other than Account Holder. 如非戶口持有人，請填寫。		Debtor Reference (<i>Compulsory Field</i>) 付款人編號 (必填之欄) (Reference between yourself and the party to be credited) 貴賬戶與收款一方的編號		
Declaration (<i>For HSBC Customer Only</i>) 聲明 (只適用於滙豐客戶)				
<p>1. I/We hereby authorise my/our above named Bank to effect transfers from my/our account to that of the above named beneficiary in accordance with such instructions as my/our Bank may receive from the beneficiary and/or its banker and/or its banker's correspondent from time to time provided always that the amount of any one such transfer shall not exceed the limit indicated above. 本人(等)現授權本人(等)的上述銀行，(根據收款人或其往來銀行及/或代理行不時給予本人(等)銀行的指示)自本人(等)的戶口內轉賬予上述收款人。惟每次轉賬金額不得超過以上指定的限額。</p> <p>2. I/We agree that my/our Bank shall not be obliged to ascertain whether or not notice of any such transfer or reversal notice has been given to me/us. 本人(等)同意本人(等)的銀行毋須證實該等轉賬通知或沖銷通知是否已交予本人(等)。</p> <p>3. I/We jointly and severally accept full responsibility for any overdraft (or increase in existing overdraft) on my/our account which may arise as a result of any such transfer(s). 如因該等轉賬而令本人(等)的戶口出現透支(或令現時的透支增加)，本人(等)願共同及個別承擔全部責任。</p> <p>4. I/We understand that I/we must maintain sufficient funds in the account one business day (before the close of branch banking hours) before the transfer date (as specified in the instructions received by my/our Bank from the beneficiary and/or its banker and/or its banker's correspondent from time to time) for the transfer authorised herein. I/We agree that should there be insufficient funds in my/our account to meet any transfer authorised herein, my/our Bank will be entitled, at its absolute discretion, not to effect such a transfer in which event the Bank may levy its usual charges and may cancel this authorisation at any time without notification to me/us. For the avoidance of doubt, the Bank may cancel this authorisation at its sole discretion at any time without prior notice. 本人(等)明白本人(等)須在指定的轉賬日期(即根據本人(等)的銀行從收款人或其往來銀行及/或代理行不時收到的指示)前一個營業日(分行辦公時間內)，在戶口內備有足夠款項以便支付該等授權轉賬。本人(等)並同意如本人(等)的戶口並無足夠款項支付該等授權轉賬，本人(等)的銀行有絕對酌情權不予轉賬，且本人(等)的銀行可收取慣常的收費，並可隨時取消該等授權轉賬且毋須通知本人(等)。為避免疑問，本人(等)的銀行可隨時自行決定取消該等授權轉賬且毋須通知本人(等)。</p> <p>5. This direct debit authorisation shall have effect until further notice or until the expiry date written above (whichever shall first occur). I/We agree that if no transaction is performed on my/our account under such authorisation for a continuous period of 30 months, my/our Bank reserves the right to cancel the direct debit arrangement without prior notice to me/us, even though the authorisation has not expired or there is no expiry date for the authorisation. 本直接付款授權書將繼續生效直至另行通知為止或直至上列到期日為止(以兩者中最早的日期為準)。本人(等)同意如本人(等)已設立直接付款授權的戶口連續三十個月內未有根據本授權而作出過賬的紀錄，本人(等)的銀行保留權利取消本直接付款安排而毋須另行通知本人(等)，即使本授權書並未到期或未有註明授權到期日。</p> <p>6. I/We agree that any notice of cancellation or variation of this authorisation which I/we may give to my/our Bank shall be given at least two working days prior to the date on which such cancellation/variation is to take effect. 本人(等)同意，本人(等)取消或更改本授權書的任何通知，須於取消/更改生效日最少兩個工作天前交予本人(等)的銀行。</p>				
My/Our Bank Account Signature(s) 本人(等)銀行戶口的簽署				
For Bank Use Only 銀行專用	Remarks	Branch Chop		

APC126R18-m (170817) FW

>> APC-NSC

Staff ID

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 “ 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/ 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.

3. 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 SEOCH, 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確或誤導的成份；
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, SEOC and any recognized exchange controller which is the controller of HKSCC or SEOC or any company of which a recognized exchange controller which is the controller of HKSCC or SEOC is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

全面結算參與者簽署¹

Signature of
the GCP¹

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²

Signature of
the NCP²

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

¹ 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.

² 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.