

Rules and Procedures of HKFE Clearing Corporation Limited

CHAPTER II

HKCC PARTICIPANTSHIP

Register of HKCC Participants

202A. The Secretary shall maintain a register of HKCC Participants containing the full names and addresses of all HKCC Participants, particulars of the category of HKCC Participantship under which each HKCC Participant is registered and the date of admission of each HKCC Participant.

Publication of a list of HKCC Participants

202B. The Clearing House shall maintain and keep up to date at regular intervals a list of HKCC Participants in each category in existence at the time. The Clearing House shall publish such lists on the HKEX website or by such other means as it considers appropriate.

Procedure on application

212. ~~Forthwith upon the later of the issue of a notice of approval or the satisfaction of the conditions in Rule 210, the Secretary will register the applicant as an HKCC Participant under the relevant category and will issue to that applicant a certificate of Participantship signed by any one Director of the Clearing House, the Secretary or any one or more persons authorised for this purpose by the Board. The certificate shall be conclusive as to the date on which a person is registered as an HKCC Participant and as to the category under which such person is registered.~~ Registration of an HKCC Participant on the register of HKCC Participants shall be proof of its participantship and the register of HKCC Participants shall be conclusive as to the information registered thereon.
213. ~~The Clearing House will no longer issue any certificate of Participantship to a new HKCC Participant or re-issue any~~ Where it is proven to the satisfaction of the Clearing House that a certificate of Participantship issued to an HKCC Participant prior to 1 January 2021 is that has been defaced, lost or destroyed, a new certificate may be issued on such terms as to evidence and indemnity as the Board thinks fit and on payment of any expenses incurred by the Clearing House in enquiring into the circumstances of the defacing, loss or destruction.

APPENDIX A

Fees

Description	Amount ¹
<i>HKCC-Participation-Related Fees</i>	
Sale of HKCC Rule book—Exchange Participant	500
Sale of HKCC Rule book—non-Exchange Participant	1,000
Subscription to HKCC Rule updates—Exchange Participant	250/annum
Subscription to HKCC Rule updates—non-Exchange Participant	500/annum

¹ Unless otherwise specified, the amounts listed in this appendix are in HK dollars