HKEx香港交易所

Rules and Procedures of HKFE Clearing Corporation Limited

Appendix I-1

HKFE CLEARING CORPORATION LIMITED

7/F; Viewood-Infinitus Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

	FORM 1	:	O	N-BEH	ALF T	RADE	ADJUST	TMENT I	REQUES	T FO	RM
Part	iculars of	f HKCC I	Participa:	nt							
			- w- v-v-pw					DCASS C	stomer Code		
нксс	C Participant's	Name :						DCASS Cu	stomer Code	:	
~ .											
Sontae Name	ct Person for t	this Request I	form :					Tel. No. :			
Positi	on:							Fax No.:			
Deta	ils of Tra	de Adjus	stment								
			Original Trad	e Detail					Detail of T	rade Re	ctified
	Trade			Trade	Buy					O/C/	Free
	Date	Account	Series	No.	/Sell	Price	Quantity	Account	Quantity	N/D	text*
1.											
2.											
3.											
4.											
5.											
6. 7.											
8.											
9.											
10.											
								1			
'The	"Free text"	' field only d	allows a ma.	ximum of	15 ch	ıracters	including	any spaces	•		
uthor	ised Signature	(s) of HKCC I	Participant	, <u> </u>			<u>-</u>	Date	· ·		
Vame o	of Signatory(ie	es):									
EOD 1	HKCC USE										
	FIED/ DATE	APPR	OVED/ DATE	INP	UT		INPUT	DATE/ TIME	E CHEC	CKED/ D	DATE

7/F₇ Infinitus Viewood Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

	FORM	2:		ON-B	EHALF	TRAD	E GIVI	E-UP/TA	KE-U	P RE	EQUE	ST	FOR	M
Part	ticulars	s of HKC	CC Par	ticipa	nt									
НКС	C Participa	ant's Name :						I	OCASS C	Custome	er Code	:		
		for this Requ	uest Form	:										
Name Positi									Fax No. :					
On 1	Behalf	Give-up	Details		of Original	T J.					D-4-\$1	- . C	• T T 7	P J.
1.	Trade Date	Account	Seri		Frade No.	Buy / Sell	Price	Quan	tity					Free text*
2.														
On 1	Behalf	Take-up	Detail	S										
			De	etail of C	riginal Tra	ade				De	etail of	Take	Up Tra	de
1.	Trade Date	Account	Series	Trade No.	GiveUp No.	Buy / Sell	Price	Quantity		cipant count	Quan	itity	O/C	Free text*
2.														
* The	e "Free to	ext" field o	nly allow	vs a ma.	ximum of	30 charc	acters inc	luding an	y space	es.	,			
Author Partici		nture(s) of Giv	ve-up HKC	C		Authorised Signature(s) of Take-up HKCC Participant					e			
Name	Name of Signatory(ies): Name of Signatory(ies):													
	HKCC US		APPROVEI	D/ DATF	E INP	UT		INPUT DA	ATE/ TIN	ME	СНЕС	KED	/ DATE	

7/F₇ Infinitus Viewood Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

F	ORM 3:	ON-B	EHALF A	VERAGE	PRICE TRADE (APT) FORM
					,	,
Paru	cuiars of fir	KCC Participant				
HKCC	Participant's Name	:			DCASS Custome	er Code :
Contact	Person for this Re	const Form •				
Name :		equest rorm.			Tel. No. :	
Position	n:				Fax No.:	
Detail	ls of Averag	e Price Order (Al	PO) Trad	les		
Series :	•					
Buy / S						
-	ing APT shall be	e allocated to :				
Client A	Account No. (fa	or reference only):				
	T. 1 M			0		
1	Trade Nu	imber	Price	Quai	itity	
1. 2.						
3.						
4.						
5.						
6.						
7.						
8.						
9. 10.						
10.		Total	l Quantity			
			· ·			
* Ave	erage Price - Th	e average price of the	APT is con	nputed by su	mming up the produc	t of the execution prices and
the	respective quar	ntity executed at those	prices, divi	ding such su	m by the total quantit	y under the APT trades.
Authorise	sed Signature(s) of l	HKCC Participant			Date	
Name of	Signatory(ies) :					
FOR HI	KCC USE					
	IED/ DATE	APPROVED/ DATE	INPUT		INPUT DATE/ TIME	CHECKED/ DATE

7/F, Infinitus Viewood Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

Hong Kong

FORM 4: ON-BEHALF INTERNAL POSITION ADJUSTMENT REQUEST FORM

Partic	culars of HK	CC Participant									
HKCC I	Participant's Name	:					DCASS C	ustom	er Code :		
Contact	Person for this Re	quest Form :					I				
Name:		_					Tel. No. :				
Position	1:						Fax No.:				
Detail	la of Dogition	Adingtment									
Detail	is of Position	Adjustment									
Interna	l Account Position	on Transfer									
	Old Account	New Account		Series		Long	Transfer	Sh	ort Transfer		O/C/N/D
1.											
2.											
3.											
4.											
5.											
Justifica	ation:										
Position	Netting for the	Same Series									
	Ac	ccount			Serie	es			Net	Dow	n By
1.											
2.											
3.											
4.											
5.											
Position	Netting between	n Different Series (e.g	g. HSI Fut	ures vs	Min-HS	I Futur	es, HSI Or	tions	s vs HSI Flex	ible	Options)
				Long	Shor				Long		Short
	Account	Series A*	Net I	Down By	Net Dow	n By	Series 1	В*	Net Down	n By	Net Down By
1.											
2.											
3.											
4.											
5.											
		s "Series A" and "Series I positions at a ratio as st						comi	nodity, contrac	et moi	nth, strike price
Authorise	ed Signature(s) of H	IKCC Participant						Date	.		
Name of	Signatory(ies):										
FOR H	KCC USE										
VERIFI	ED/ DATE	APPROVED/ DATE	INPUT			INPUT	DATE/ TIM	ΙE	CHECKED/	DAT	ГЕ

7/F, Infinitus Viewood Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

F	FORM 5:	EXT	ERNAL POSITION	TRAN	SFER I	REQUEST FO	RM				
Particulars of HKCC Participant											
НКСС	Participant's Name :				DCASS C	Customer Code:					
Detai	ils of Position	to be transferro	ed								
	Old Account	New Account	Series	Long 7	Transfer	Short Transfer	O/C/N/D				
1.											
2.											
3.				<u> </u>							
Justifi	cation:										
Conf	irmation from	HKCC Partic	ipants involved								
Partie	s Involved		Authorised Signatures			Contact Persons for	the transfer				
	ferring Participant										
HKCC	Participant's Name:					Name :					
DCAS	S Customer Code:		Name of Signatory(ies):			Phone No.:					
Receiv	ing Participant										
HKCC	Participant's Name:					Name:					
DCAS	S Customer Code:		Name of Signatory(ies):			Phone No.:					
			1		l l						

FOR HKCC USE				
VERIFIED/ DATE	APPROVED/ DATE	INPUT	INPUT DATE/ TIME	CHECKED/ DATE

7/F, Infinitus Viewood Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

		Hong I	Kong						
	FORM 6:		AN	NULME	NT OF F	POSITION N	ETTING R	EQUEST FOI	RM
Parti	culars of l	HKCC Part	ticipa	ınt					
НКСС	Participant's N	lame :					DCASS Custo	omer Code :	
Contact		is Request Form	1				Tel. No. :		
Positio	n :						Fax No. :		
						has been done fo	or more than 1	FIVE business da	ys will NOT
Reques	t for: position	ons in the same	series					Original Quantity	Quantity to be
1.	Netting	Account		Serie	Series Trade N		Buy/Sell	of Net Down*	Reopened
2.									
3. Justific	··								
Justific	ation.								
Reques	t for: positi	ons between diff	ferent s	series (e.g. H	SI Futures	vs Min-HSI Futu	ıres, HSI Optio	ns vs HSI Flexible	e Options)
1	Trade Date	Account	Se	eries A**	Original Long Net Down	Short	Series B**	Original Long Net Down*	Original Short Net Down*
1. 2.									
3. Justifica	ation:								
Authoris	sed Signature(s)	of HKCC Partici	pant				D	ate	
Name of	Signatory(ies)	:							
	evious position	net down.				-		be of the same quan	

^{**} The series under the fields "Series A" and "Series B" in the same row should have the same underlying commodity, contract month, strike price, option type but with opposite positions at a ratio as stipulated in the Clearing House Procedures 1.5.1.

FOR HKCC USE				
VERIFIED/ DATE	APPROVED/ DATE	INPUT	INPUT DATE/ TIME	CHECKED/ DATE

7/F, Infinitus Viewood Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

FORM AC:	DCASS ACC	COUNT MAINTENANCE	E FORM
Particulars of HKCC Parti	cipant		
HKCC Participant's Name :		DCASS Custon	ner Code :
Contact Person for this Request Form :			
Name :		Tel. No. :	
Position:		Fax No.:	
Please tick the following as	annronriate ·		
Opening of DCASS Account	*		
Termination of Existing DCA	SS Account		
Account Details			
DCASS Account Code (if applicable):			
Name of Client (applicable to Individual Account only)	Client		
Account Type :	☐ Individual Clier☐ Other Account	nt Account Type (<i>please state</i>)	
* We declare that we accept all the generatime.	al terms and conditions for the l	keeping of the above account as pre	scribed by HKCC from time to
Authorised Signature(s) of HKCC Particip	vant	D	rate
Name of Signatory(ies) :			
FOR HKCC USE			
VERIFIED BY/ DATE	CHECKED BY/ DATE	APPROVED BY/ DATE	REJECTED BY/ DATE

7/F, Viewood Infinitus Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

Hong Kong

EOP3 C	NI 1000				1 10 7.º
FORM 9:	Notific	ation of Designa	ated Agent / Accept	able EFNs to be o	lelivered*
articulars	of HKCC Partic	cipant			
HKCC Participan	ıt's Name :			DCASS Customer Code	:
ontact Person fo	or this Request Form :		1	Tel. No. :	
Position :				Fax No. :	
. Partic	culars of Designated	l Agent**			
Name of Desig	nated Agent:		CMU M	ember Code:	
Contact Person	of Designated Age	nt:	Tel:		
Delete as ap	propriate				
			of any change in the parti		
	of that EFN Futures Co		nder an EFN Futures Co	intract at least 14 bush	ness Days prior to the
I. Partic	culars of EFNs to b	e delivered			
We hereby con	ifirm that the follow:	ing EFNs will be d	elivered in settlement	of our open position	s in the spot month
EFN Futures C					•
EFN issue	Quantity (Lots	Nominal value	Short Position	A/C	Remarks
number	of HK\$50,000)	(HK\$'000)	(No. of contracts)	C, H, or MM	
Authorised Signat	ture(s) of HKCC Participa	ant (with Company Cho	op)	Date	
Tame of Signatory	y(ies):				
218	(· · · / ·				

FOR HKCC USE

VERIFIED BY/ DATE

CHECKED BY/ DATE

APPROVED BY/ DATE

REJECTED BY/ DATE

7/F, Viewood Infinitus Plaza Fax: 2868 0134 199 Des Voeux Road Central Tel: 2211 6932

Hong Kong

FORM 10: NOTIFICATION OF SETTLEMENT FAILURE IN RESPECT OF OPEN CONTRACTS IN EXCHANGE FUND NOTES

Particulars	of HKCC	Participant					
HKCC Participa	nt's Name :			Γ	OCASS Customer (Code:	
Contact Person f	for this Dogwood	Form •					
Name :	or this Request	roim.		5	Геl. No. :		
Position:				1	Fax No. :		
				Fund Note Futur use have been se			
Transaction reference	EFN issue number	D = Deliver R = Receive	Nominal value (HK\$'000)	Settlement amount (HK\$)	C = Client H = House M = MM	Counterparty CMU code	Reason ¹ A or B
	l n of settlement fai Counterparty faile		l by deadline; B = C	Ounterparty failed to a	l deliver Exchange I	Fund Notes by deadli	ine
Authorised Signa	uture(s) of HKCC	Participant (with Co	ompany Chop)		Date		
Name of Signator	y(ies) :						
FOR HKCC US							
VERIFIED BY/	DATE	CHECKE	D BY/ DATE	APPROVED BY	Y/ DATE	REJECTED BY/ D	ATE