

17. SUPPORT SERVICES IN THE EVENT OF LOSS OF ACCESS TO DCASS AND/OR CCMS

If, for technical or other reasons, a SEOCH Participant cannot access DCASS and/or CCMS for clearing services, an affected SEOCH Participant may (i) request SEOCH to perform the clearing functions on its behalf; or (ii) request the use of the backup centre provided by SEOCH.

SEOCH cannot guarantee a particular level of service in these situations but will use its best endeavours to assist SEOCH Participants where necessary. SEOCH will assign priorities in whichever way it feels best protects its interests in the event of the demand on its resources exceeding its capacity to service all requests within a particular time.

17.1 Repealed

17.2 On-Behalf-Of Processing

In case SEOCH Participants cannot perform post-trade adjustment functions via DCASS due to technical or other reasons, they may request SEOCH to input post-trade adjustment requests into DCASS on their behalf by completing and submitting to SEOCH the relevant request forms available from the HKEX website or such other channels as SEOCH may from time to time notify SEOCH Participants, where applicable, and deliver the request pursuant to the procedure described in 17.3.

The requesting SEOCH Participant shall ensure that its request is received by SEOCH no later than the relevant cut-off time if the request is for same day processing. However, services of On-Behalf-Of processing provided by SEOCH to SEOCH Participants are subject to availability of resources at the time of the request and on a best effort basis.

17.3 Delivery of Instructions to SEOCH

The following procedure will apply to a SEOCH Participant for delivering instructions to SEOCH requesting On-Behalf-Of processing or clearing functions to be performed by SEOCH:

- i. No verbal instructions will be accepted by SEOCH. All written instructions through a specified form or otherwise must be submitted to SEOCH by such means as SEOCH considers appropriate.
- ii. Where signature is required on the written instruction, it must be properly authorised in accordance with the signing mandate and specimen signatories filed with SEOCH by the SEOCH Participant.
- iii. Fax instructions can only be accepted if a properly executed Fax Indemnity is accepted by SEOCH. The standard Fax Indemnity form can be obtained from SEOCH.
- iv. All instructions must be received by SEOCH before the relevant cut off time prescribed by SEOCH in order to be assured of same day processing.
- v. SEOCH will decide whether the instruction can be accepted and notify the SEOCH Participant immediately if the request is denied or if the instruction cannot be completed in the normal prescribed time of SEOCH on the day the instruction is received.

17.4 Service Fees for SEOCH Input

For every transaction processed by SEOCH on behalf of SEOCH Participants, SEOCH will charge a processing fee as specified in Appendix G to these Procedures and where applicable, as determined by SEOCH from time to time.

17.5 Backup Centre for CCMS

In case SEOCH Participants cannot perform collateral management functions via CCMS due to technical or other reasons, they can request the use of the backup centre provided by SEOCH to perform such functions. For the service hours of the backup centre and other details, please refer to the *CCMS Terminal User Guide*.

17.6 Backup Centre for DCASS

In case SEOCH Participants cannot perform post-trade adjustment functions via DCASS due to technical or other reasons, they can request the use of the backup centre provided by SEOCH to perform such functions. For the service hours of the backup centre and other details, please refer to the *DCASS User Guide*.

17.7 Repealed

