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通告 CIRCULAR

Subject: Enhancement to Operational Form Submission Arrangement

Enquiry: DCASS Hotline +852 2979 7222 / Email clearingpsd@hkex.com.hk

To provide greater convenience to the Participants of HKCC and SEOCH in the submission of operational related forms or documents, the following arrangement will take effect from **6 April 2017**:

(1) Company chop requirement

A company chop will **not** need to be affixed to any forms or documents submitted to HKCC or SEOCH unless a Participant notifies the clearing house(s) that a company chop is required.

If a Participant requires a company chop to be affixed to execute a document, please re-submit the "Change of Authorised Signatories Form" as set out in the [Attachment](#), specifying that a company chop must be affixed in addition to authorised signature(s). To facilitate a smooth transition to the new arrangement, no new board resolution is required as a supporting document to the "Change of Authorised Signatories Form", if, (i) it is submitted to clearing house(s) on or before 5 April 2017, and (ii) the change is solely for the purpose of specifying that company chop is required. In that case, your current board resolutions submitted to the clearing house(s) will remain in effect. From 6 April 2017 onwards, board resolutions will be required as a supporting document should you wish to notify clearing houses(s) that company chop is required.

If we have not received a new “Change of Authorised Signatories Form” from you specifying that company chop is required, your current Authorised Signatories List will remain in effect and a company chop will be deemed unnecessary with effect from 6 April 2017; and

(2) Form submission channel

In addition to submitting operational forms / documents in original or by fax, certain forms duly signed by the authorised signatories can also be submitted by email. The eligible submission channels (email / fax / original) of all forms will be set out in the following HKEX webpages from **end of March 2017**:

https://www.hkex.com.hk/eng/market/clr/dvclr/forms_hkcc_seoch/dcass_forms.htm.

Should you have any questions, please contact us through our hotline or email.

Hector Lau
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Cash and Derivatives Clearing Operations