

表格 11 - 委任 / 停止委任全面結算參與者
Form 11 - Notification of Appointment / Termination of
General Clearing Participant

| | |
|---|--------------------|
| 期權交易所參與者： Name of Options Trading Exchange Participant : | 中文 (in Chinese) |
| | 英文 (in English) |

注意事項：

Notes :

- 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.
- 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.
- 請將此表格遞交予香港交易及結算有限公司現貨市場參與者服務，地址為香港中環港景街 1 號國際金融中心 1 期 10 樓。
Please submit this Form to Participant Services, Cash Market of Hong Kong Exchanges and Clearing Limited at 10/F, One International Finance Centre, 1 Harbour View Street, Central, Hong Kong.

A. 全面結算參與者資料
Particulars of the General Clearing Participant

| | | | |
|--|--------------------|--|--|
| <input type="checkbox"/> 委任 Appointment | | <input type="checkbox"/> 停止委任 Termination | |
| 全面結算參與者名稱 Name of the General Clearing Participant | 中文 (in Chinese) | | |
| | 英文 (in English) | | |
| 聯絡人名稱 Name of Contact Person | | 職銜 Position | |
| 電郵地址 E-mail Address | | 電話號碼 Telephone Number | |

B. 新/現有協意資料
Particulars of the New / Existing Agreement

| | | |
|------------------------|--------------------|----------------------------------|
| 生效日期 Effective Date | 到期日 Expiry Date | 提前停止日期 Early Termination Date |
| | | |

C. 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 Number： | | 傳真號碼： Fax Number： | |
| 電郵地址： Email Address： | | | |

D. 參與者聲明

Declaration by the Participant

本公司，
We,

參與者名稱
(Name of Participant)

1. 確定委任/停止委任¹ 上述全面結算參與者結算本公司於香港聯合交易所有限公司（「聯交所」）內達成之期權合約。本公司聲明在表格內所提供的資料，全屬真實及正確，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；
confirm that we appoint/terminate to appoint¹ the abovenamed General Clearing Participant in clearing our Exchange Traded Options Business transacted in The Stock Exchange of Hong Kong Limited ("SEHK") and **declare** that the information provided in this form is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
2. 承諾若此申請所提供之資料有任何變更，本公司當立刻通知聯交所及香港交易所期權結算所有限公司（「聯交所期權結算所」）；
undertake that we shall notify SEHK and The SEHK Options Clearing House Limited ("SEOCH") immediately of any changes in the information given in this application;
3. 明白聯交所會對有關申請作出虛假或錯誤引導聲明之交易所參與者採取紀律處分；
understand that SEHK and SEOCH may take disciplinary proceedings against a Participant which has made a false or misleading representation in relation to its application;
4. 承諾本公司會遵守所有適用於聯交所及聯交所期權結算所不時生效之規則、規例及程序，及符合聯交所及聯交所期權結算所有關申請批核信件內之條件及其他不時作出的指令，並同意在任何不遵守之情況下接受紀律處分；及
undertake that we shall comply with all applicable rules, regulation and procedures of SEHK and SEOCH from time to time in force, the conditions stated in the letter of approval and any other directives from time to time made by SEHK and SEOCH; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
5. 同意聯交所及聯交所期權結算所及作為聯交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聯交所及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 SEHK and SEOCH and any recognized exchange controller which is the controller of SEHK and SEOCH or any company of which a recognized exchange controller which is the controller of SEHK and SEOCH is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

參與者簽署²

Signature of the
Participant²

日期

Date

連同公司印章
(with Company Chop)

簽署人姓名
Name of Signatory

職銜
Position

¹ 請將不適用者刪去。
Please delete where inappropriate.

² 必須由交易所參與者之負責人員或經由董事會授權之人士簽署。
The signatory shall be a Responsible Officer of the Participant or a person duly authorized by the board of directors of the Participant.

E. 全面結算參與者聲明
Declaration of the General Clearing Participant

本公司，
We,

全面結算參與者名稱
(Name of General Clearing Participant)

1. 確定接受被委任/停止委任¹替上述期權交易所參與者結算其於聯交所內達成之期權合約。本公司聲明在表格內所提供的資料，全屬真實及正確，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分；及
confirm that we accept the appointment/termination¹ of the General Clearing Participant of the abovementioned Options Trading Exchange Participant in the clearing of Exchange Traded Options Business transacted in SEHK and **declare** that the information provided in this form is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading; and
2. 承諾若此申請所提供之資料，有任何變更，本公司當立刻通知聯交所及聯交所期權結算所。
undertake that we shall notify SEHK and SEOCH, immediately of any changes in the information given in this application.

全面結算參與者簽署²
Signature of the General
Clearing Participant²

日期
Date

連同公司印章
(with Company Chop)

簽署人姓名
Name of Signatory

職銜
Position