

轉變參與者類別申請之解釋說明
Explanatory Notes for Application for Change of Participantship Category

一般資料

General Information

1. 申請人須注意，若所呈交之申請未有附上解釋說明內所列明的所須表格及文件，香港交易及結算所有限公司（「香港交易所」）將不作處理，有關的申請將退回申請人。
Applicants should note that Hong Kong Exchanges and Clearing Limited ("HKEX") will not process applications that are not accompanied by all the required forms and documents stated in these notes and will return the applications to the applicants.
2. 申請表格可於香港交易所網址www.hkex.com.hk下載。
Application forms are available at the web-site of HKEX at www.hkex.com.hk.

轉換參與者類別申請之所須文件

Documents Required for Application for Change of Participantship Category

申請人須提交：

Applicant shall provide:-

1. 表格1G (Application for Change of Participantship Category) ;
Form 1G (Application for Change of Participantship Category);
2. 運作及風險控制計劃書。請參閱刊載於 EN1 「參與者及交易權申請之解釋說明」 - 附件2之內容準則；
An Operations and Risk Control Plan. Please refer to Attachment 2 of EN1 - Explanatory Notes for Application for Participantship and Trading Right;
http://www.hkex.com.hk/eng/market/hkex_part/criteria/partapp/documents/EN1.pdf.
3. 已提交予證監會的最近期之財務報表之經核證為真實的副本及最近期之管理賬目，其結算日期須與財務報表之結算日期相同，並截至申請日期前一個月內。
a certified true copy of the Financial Return submitted to the Securities and Futures Commission together with the management accounts which should be made up to a date within one month from the date of application.