

中央結算系統託管商參與者 / 全面結算參與者申請 Application for CCASS Custodian / General Clearing Participantship

注意事項：

Notes :

1. 此表格只適用於託管商參與者及不會申請成為交易所參與者的全面結算參與者的申請。有意申請成為全面結算參與者及交易所參與者的申請人應提交表格 1。
This form is only applicable to applicant who intends to be a Custodian Participant or General Clearing Participant who does **not** intend to be an Exchange Participant. General Clearing Participant who also intends to become an Exchange Participant should complete Form 1.
2. 請附上所有載於「中央結算系統託管商參與者 / 全面結算參與者申請之解釋說明」內的文件。
Please attach all the documents as stated in the "Explanatory Notes for Application for CCASS Custodian / General Clearing Participantship".
3. 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.
4. 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.
5. 請將此申請遞交予香港交易及結算所有限公司交易營運，地址為香港中環康樂廣場八號交易廣場二期六樓。
Please submit the application to the Trading Operations of Hong Kong Exchanges and Clearing Limited at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

A. 申請參與者類別 - (請選擇其中一項)

Participantship Applications - (Please select one category)

- 託管商參與者
Custodian Participant
- 全面結算參與者
General Clearing Participant

B. 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 No. :		傳真機號碼： Fax No. :	
電郵地址： Email Address :			

申請人資料
Particulars of Applicant

1. 公司名稱:
Company Name in Full :
英文名稱:
In English: _____
中文名稱 (如適用)
In Chinese (if applicable) _____
2. 主要業務性質: 是 否
Nature of Main Business: Yes No
- | | | |
|---|--------------------------|--------------------------|
| 香港持牌銀行
Licensed bank in Hong Kong | <input type="checkbox"/> | <input type="checkbox"/> |
| 香港有限制持牌銀行
Restricted licence bank in Hong Kong | <input type="checkbox"/> | <input type="checkbox"/> |
| 香港接受存款公司
Deposit-taking company in Hong Kong | <input type="checkbox"/> | <input type="checkbox"/> |
| 香港註冊信託公司
Registered trust company in Hong Kong | <input type="checkbox"/> | <input type="checkbox"/> |
| 根據《證券及期貨條例》獲發牌進行第一類受規管活動的持牌法團，而其本身並非交易所參與者
Licensed corporation which is licensed to carry on Type 1 regulated activity under the Securities and Futures Ordinance and which is not an Exchange Participant of The Stock Exchange of Hong Kong Limited | <input type="checkbox"/> | <input type="checkbox"/> |
| 根據《證券及期貨條例》成功登記進行第 1 類受規管活動的註冊機構
Registered Institution which is registered to carry on Type 1 regulated activity under the Securities and Futures Ordinance | <input type="checkbox"/> | <input type="checkbox"/> |
| 《外匯基金條例》的金融管理專員
Monetary Authority under the Exchange Fund Ordinance | <input type="checkbox"/> | <input type="checkbox"/> |
| 其他，請註明
Others, please specify | | |
-
3. 法律身份:
Legal Status:
- L 根據香港《公司條例》組成及註冊的機構
a company formed and registered under the Companies Ordinance of Hong Kong
- O 香港以外成立的公司，並已根據香港《公司條例》註冊為非香港公司的機構
a company incorporated outside Hong Kong and registered as a non-Hong Kong company under the Companies Ordinance of Hong Kong
4. 成立為法團的所在國家:
Country of Incorporation: _____
5. 成立為法團的日期: |_|_| / |_|_| / |_|_|_|_|
Date of Incorporation: dd日 mm月 yyyy年
6. 商業登記證書號碼:
Business Registration Certificate No.: _____

14. 董事資料:
Particulars of Directors:

英文姓名 (及中文, 如適用) Name in English (& Chinese, if applicable)	委任日期 Date of Appointment
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

C. 申請人的最終控股公司資料
Particulars of Applicant's Ultimate Holding Company

- a. 英文名稱:
Full Name in English: _____
- b. 中文名稱 (如適用):
Name in Chinese (if applicable): _____
- c. 業務性質:
Nature of Business: _____
- d. 成立為法團的所在國家:
Country of Incorporation: _____
- e. 註冊辦事處地址:
Registered Office Address: _____
- f. 對申請人的實益控制權百分率:
Percentage of Beneficial Control in Applicant: _____

E. 申請人聲明
Declaration by the Applicant

本公司,
We,

申請人姓名
(Name of applicant)

1. 聲明本公司的董事會已通過動議, 同意作出此申請及, 若此申請獲批准, 同意受香港中央結算有限公司「結算公司」的規則、規例及程序約束;
declare that our board of directors has passed resolution(s) approving this application and agreeing to be bound by the rules, regulations and procedures of Hong Kong Securities Clearing Company Limited ("HKSCC") upon this application being approved;

2. **聲明**載於此申請的資料 (包括其他所有文件的資料) 全屬完整、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實或誤導的成份；
declare that the information provided in this application (including all other supporting documents) is complete, true and correct and that we have not made or omitted to make any statements or omissions which would render such information untrue or misleading;
3. **承諾**若此申請 (包括其他所有文件的資料) 所提供之資料有任何變更，本公司當立刻通知結算公司；
undertake that we shall notify HKSCC immediately of any changes in the information given in this application (including all other supporting documents);
4. **明白**結算公司有權對有關在參與者申請作出虛假或錯誤引導聲明的參與者採取紀律處分；
understand that HKSCC may take disciplinary proceedings against a Participant which has made a false or misleading representation in relation to its application for participantship;
5. **承諾**本公司會遵守所有結算公司不時生效之適用規則、規例及程序，符合結算公司有關申請批核信件內所載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, regulations and procedures of HKSCC from time to time in force, the conditions stated in the letter of approval and any other directives from time to time made by HKSCC and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
6. **同意**結算公司及作為結算公司控制人的認可控制人又或任何作為結算公司控制人的認可控制人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 HKSCC and any recognized exchange controller which is the controller of HKSCC or any company of which a recognized exchange controller which is controller of HKSCC is a controller may disclose information relating to us to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

申請人簽署¹

Signature of the
Applicant¹

日期

Date

連同公司印章
(with Company Chop)

簽署人姓名
Name of Signatory

職銜
Position

¹ 必須經由申請人的董事會授權之人士簽署。

The signatory shall be a person duly authorized by the board of directors of the applicant.