

## 表格 11 - 簽訂結算協議書及更改結算關係通知

### Form 11 - Notification of Execution of Clearing Agreement and Change of Clearing Relationship

全面結算參與者名稱:	中文 (in Chinese)
Name of General Clearing Participant :	英文 (in English)
(請在適當之方格內加上“✓”號) (please tick the appropriate box)	
<input type="checkbox"/>	香港中央結算有限公司 (「中央結算所」) 的全面結算參與者 General Clearing Participant of Hong Kong Securities Clearing Company Limited (“HKSCC”)
<input type="checkbox"/>	香港期貨結算有限公司 (「期貨結算所」) 的全面結算參與者 General Clearing Participant of HKFE Clearing Corporation Limited (“HKCC”)
<input type="checkbox"/>	香港聯合交易所期權結算所有限公司 (「聯交所期權結算所」) 的全面結算參與者 General Clearing Participant of The SEHK Options Clearing House Limited (“SEOCH”)
(此後稱為「全面結算參與者」) (hereinafter referred to as the “GCP”)	

交易所參與者 / 非結算參與者 / 非中華通結算參與者名稱:	中文 (in Chinese)
Name of Exchange Participant:	英文 (in English)
(請在適當之方格內加上“✓”號) (please tick the appropriate box)	
<input type="checkbox"/>	香港聯合交易所有限公司 (「聯交所」) 的交易所參與者及中央結算所的非結算參與者或非中華通結算參與者 Exchange Participant of The Stock Exchange of Hong Kong Limited (“SEHK”) and Non-Clearing Participant or Non-China Connect Clearing Participant of HKSCC
<input type="checkbox"/>	香港期貨交易所有限公司 (「期交所」) 的交易所參與者及期貨結算所的非結算參與者 Exchange Participant of Hong Kong Futures Exchange Limited (“HKFE”) and Non-Clearing Participant of HKCC
<input type="checkbox"/>	聯交所的期權交易參與者及聯交所期權結算所非結算參與者 Options Trading Exchange Participant of SEHK and Non-Clearing Participant of SEOCH
(此後稱為「非結算參與者」或「非中華通結算參與者」) (hereinafter referred to as the Non-Clearing Participant “NCP”)	

#### 注意事項:

#### Notes:

- 除非文義另有所指，否則本表格內的詞語含義與聯交所/期交所(「**相關的交易所**」); 中央結算所/期貨結算所/聯交所期權結算所(「**相關的結算所**」)的相關規則、規例及程序相同。  
Unless otherwise defined or the context otherwise requires, terms used in this Form shall have the same meanings ascribed to them in the relevant rules, regulations and procedures of SEHK/ HKFE (the “**relevant Exchange**”); HKSCC/ HKCC/ SEOCH (the “**relevant Clearing House**”).
- 本表格必須由已簽訂結算協議書(「**結算協議書**」)的雙方(即非結算參與者或非中華通結算參與者及全面結算參與者)一同簽署。非結算參與者或非中華通結算參與者和全面結算參與者的其中一方應通知證券及期貨事務監察委員會(「**證監會**」)的中介團體監察科部其已簽訂結算協議書。而將會於聯交所進行買賣的交易所參

與者亦須提交收取新股發行經紀佣金的銀行戶口資料通知(「表格 1K」), 但只進行期貨買賣的交易所參與者則無須提交表格 1K。

This Form must be signed by both the NCP and the GCP which are parties to the clearing agreement entered into between them (the “**Clearing Agreement**”). Either the NCP or GCP should notify the Intermediaries Supervision Department of the Securities and Futures Commission (“**SFC**”) of the execution of the Clearing Agreement. The Exchange Participant who will trade on SEHK shall also submit a Notification of Bank Account Information for Receiving IPO Brokerage Form (“Form 1K”). The Exchange Participant who will trade on HKFE only is **NOT** required to submit Form 1K.

3. 作為中央結算所結算參與者的聯交所交易所參與者, 一旦委任另一位全面結算參與者為其中華通證券交易進行結算及交收, 該交易所參與者**不可以在**中央結算所註冊成為中華通結算參與者, 換言之該交易所參與者無法為其中華通證券交易或其他任何非中華通結算參與者的中華通證券交易進行結算及交收。  
If a China Connect Exchange Participant registered with SEHK which is also a Clearing Participant of HKSCC chooses to appoint a general clearing participant for the clearing of its China Connect Securities Trades, it is **NOT** allowed to register as a China Connect Clearing Participant with HKSCC and thus cannot clear any China Connect Securities Trades executed by itself or any other non-Clearing Participant(s) or Non-China Connect Clearing Participant(s).
4. 當遞交此表格時, 無須提交已簽妥的結算協議書之副本。在有需要的情況下, 相關的結算所(視乎情況而定)會要求全面結算參與者提交經核證的結算協議書副本。  
It is not necessary to provide a copy of the Clearing Agreement when submitting this Form. The GCP shall nevertheless be required to supply the relevant Clearing House (as the case may be) with a certified copy of any executed Clearing Agreement to which it is or has been a party at any time requested by the relevant Clearing House to do so.
5. 請完成表格內的所有問題及不要留有空格, 如有任何問題是不適用, 請填寫「不適用」。  
Please answer all the questions stated in this Form and do not leave any questions blank. If any question is not applicable, please state "N.A.".
6. 請將此表格傳真至香港交易及結算所有限公司交易營運(傳真號碼: 2522-1707), 並致電 2840-3626 確認已遞交。  
Please submit this Form to Trading Operations of Hong Kong Exchanges and Clearing Limited by fax at 2522-1707, followed by telephone call at 2840-3626 to confirm submission.

**A. 通知事項 (請填妥下列適當部份)**  
**Notification item (please fill the appropriate section below)**

**1. 委任相關結算所全面結算參與者資料:**  
**Details of the appointment of GCP of the respective clearing house(s):**

請在下列適當之方格內加上‘✓’號，以註明所需通知

**Please tick the appropriate box below for the notification**

中央結算所： 擬委任生效日期  
HKSCC: Intended Effective Date of Appointment: \_\_\_\_\_

全面結算參與者按結算協議進行結算及交收的交易

Transactions to be cleared and settled by the GCP under the Clearing Agreement:

- Exchange Trades (交易所買賣)  
 China Connect Securities Trades<sup>1</sup> (中華通證券交易<sup>1</sup>)

期貨結算所： 擬委任生效日期  
HKCC: Intended Effective Date of Appointment: \_\_\_\_\_

聯交所期權結算所： 擬委任生效日期  
SEOCH: Intended Effective Date of Appointment: \_\_\_\_\_

**2. 擬更改結算關係資料 (只限中央結算所)**  
**Details of the intended change of clearing relationship (for HKSCC only)**

擬更改結算關係生效日期

Intended Effective Date of the Change of Clearing Relationship: \_\_\_\_\_

擬更改之全面結算參與者將進行結算及交收的交易(請在下列適當之方格內加上‘✓’號)

Intended change in transactions to be cleared and settled by the GCP (Please tick the appropriate box below)

由 From	更改為 Change To
<input type="checkbox"/> Exchange Trades (交易所買賣)	<input type="checkbox"/> Exchange Trades (交易所買賣)
<input type="checkbox"/> China Connect Securities Trades (中華通證券交易)	<input type="checkbox"/> China Connect Securities Trades (中華通證券交易)

<sup>1</sup>如參與者轉為非結算參與者或非中華通結算參與者或委任新的全面結算參與者結算及交收其中華通證券交易，請參與者把所有存放於其中央結算系統賬戶內或原先的全面結算參與者之中央結算系統賬戶內的中華通證券轉往其新委任的全面結算參與者的中央結算系統賬戶作為前端監控之用（如適用）。否則，存放於其中央結算系統賬戶或原先的全面結算參與者之中央結算系統賬戶內的中華通證券將不能賣出。

Where applicable, participant is reminded to transfer all its China Connect Securities from its own CCASS account or the original GCP's CCASS account to the new GCP's CCASS account for pre-trade checking purpose. Otherwise, the stock balance of China Connect Securities kept in its own CCASS account or the original GCP's CCASS account will not be eligible for selling when the new GCP appointment comes into effect.

**B. 全面結算參與者資料****Particulars of the GCP**

全面結算參與者名稱： Name of GCP :			
聯絡人名稱： Name of Contact Person :		職銜： Position :	
電話號碼： Telephone Number :		傳真號碼： Fax Number :	
電郵地址： Email Address :			

**C. 交易所參與者 / 非結算參與者資料 / 非中華通結算參與者****Particulars of the Exchange Participant/ NCP**

交易所參與者 / 非結算參與者 / 非中華通結算參與者名稱： Name of Exchange Participant/ NCP:			
聯絡人名稱： Name of Contact Person :		職銜： Position :	
電話號碼： Telephone Number :		傳真號碼： Fax Number :	
電郵地址： Email Address :			

**D. 全面結算參與者聲明 Declaration by the GCP**

本公司，

We,

全面結算參與者名稱  
(Name of GCP)

致： (請在適當之方格內加上‘✓’號)

To: (please tick the appropriate box)

- |  |
|--|
| <input type="checkbox"/> 香港中央結算有限公司<br>Hong Kong Securities Clearing Company Limited |
| <input type="checkbox"/> 香港期貨結算有限公司<br>HKFE Clearing Corporation Limited             |
| <input type="checkbox"/> 香港聯合交易所期權結算有限公司<br>The SEHK Options Clearing House Limited  |

**聲明 : Declaration:**

1. 證明已按中央結算系統一般規則第4001條 / 期貨結算規則及程序第314(a)條 / 聯交所期權結算所期權結算規則第429條 (視乎情況而定) 與上述非結算參與者或非中華通結算參與者簽定結算協議書，為該非結算參與者或非中華通結算參與者於相關的交易所已成交之買賣 / 合約進行結算；  
**certify** that we have executed a Clearing Agreement with the abovementioned NCP pursuant to Rule 4001 of the General Rules of CCASS/ Rule 314(a) of the Clearing Rules and Procedures of HKCC/ Rule 429 of the Options Clearing Rules of SEOCH (as the case may be) for clearing the trades/ contracts performed by the NCP on the relevant Exchange;
2. 承諾會因應相關的結算所要求，向相關的結算所提交經核證的結算協議書副本；  
**undertake** to supply a certified copy of the Clearing Agreement to the relevant Clearing House upon request to do so;
3. 確定結算協議書並沒有包含任何與相關的結算所的規則、規例及程序抵觸的條文，並確保結算協議書內全面結算參與者所需履行的責任與相關的結算所的規則、規例及程序所述之責任一致；  
**confirm** that the Clearing Agreement does not contain any provision which is inconsistent with the rules, regulations and procedures of the relevant Clearing House, but contains provisions which facilitate and ensure the performance by us of our obligations as a general clearing participant under the rules, regulations and procedures of the relevant Clearing House;
4. 承諾本公司如有意終止結算協議書，便會預早提交書面通知予相關的結算所；  
**undertake** to give prior written notice to the relevant Clearing House if we intend to terminate the Clearing Agreement;
5. 聲明在此表格內所提供的資料，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確或誤導的成份；  
**declare** that the information provided in this Form relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
6. 承諾若此表格內所提供之資料有任何變更，本公司當立刻通知相關的結算所；  
**undertake** to notify the relevant Clearing House immediately of any changes in the information given in this Form;
7. 明白如本公司在此表格內作出任何虛假或錯誤引導之通知，相關的結算所會對本公司採取紀律處分；  
**understand** that the relevant Clearing House may take disciplinary proceedings against us for making any false or misleading representation in relation to our notification under this Form;
8. 承諾本公司會遵守所有適用於相關的結算所不時生效之規則、規例及程序，及相關的結算所對全面結算參與者就有關結算不時作出的其他指令，並同意在任何不遵守之情況下接受紀律處分；及  
**undertake** to comply with the rules, regulations and procedures of the relevant Clearing House from time to time in force, and any other directives from time to time issued by the relevant Clearing House relating to clearing by general clearing participants; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
9. 同意中央結算所、期貨結算所、聯交所期權結算所及作為中央結算所、期貨結算所或聯交所期權結算所控制人的認可控制人又或任何作為中央結算所、期貨結算所或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，可將本公司的有關資料透露予證監會、其他交易所及監管機構 (不論於香港境內或境外)。

**consent** that HKSCC, HKCC, SEOCH and any recognized exchange controller which is the controller of HKSCC, HKCC or SEOCH or any company of which a recognized exchange controller which is the controller of HKSCC, HKCC or SEOCH is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

中央結算所全面結算參與者簽署<sup>1</sup>

Signature of  
the General Clearing  
Participant of HKSCC<sup>1</sup>

日期

Date

\_\_\_\_\_  
(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)  
(with company chop, ONLY applicable if it forms part of your signing instruction)

簽署人姓名

Name of Signatory

職銜

Position

期貨結算所全面結算參與者簽署<sup>1</sup>

Signature of  
the General Clearing  
Participant of HKCC<sup>1</sup>

日期

Date

\_\_\_\_\_  
(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)  
(with company chop, ONLY applicable if it forms part of your signing instruction)

簽署人姓名

Name of Signatory

職銜

Position

聯交所期權結算所全面結算參與者簽署<sup>1</sup>

Signature of  
the General Clearing  
Participant of SEOCH<sup>1</sup>

日期

Date

\_\_\_\_\_  
(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)  
(with company chop, ONLY applicable if it forms part of your signing instruction)

簽署人姓名

Name of Signatory

職銜

Position

<sup>1</sup> 必須由全面結算參與者的授權簽署人仕簽署。

The signatory shall be Authorised Signatories of the GCP.

**E. 交易所參與者 / 非結算參與者 / 非中華通結算參與者聲明 Declaration by the Exchange Participant/ NCP**

本公司，

We,

交易所參與者 / 非結算參與者 / 非中華通結算參與者名稱  
(Name of Exchange Participant/ NCP)

致： (請在下列適當之方格內加上‘✓’號)

To: (please tick the appropriate box)

<input type="checkbox"/> 香港聯合交易所有限公司及/或香港中央結算有限公司 The Stock Exchange of Hong Kong Limited and/or Hong Kong Securities Clearing Company Limited
<input type="checkbox"/> 香港期貨結算有限公司 Hong Kong Futures Exchange Limited

**聲明 : Declaration:**

1. 證明已按聯交所規則第358(1)(b)條 / 期交所規則、規例及程序第530(b)條 / 期權交易規則 – 聯交所第302(4)(b)條 (視乎情況而定) 與上述的全面結算參與者簽定結算協議書，委任該全面結算參與者為本公司於相關的交易所有成交之買賣 / 合約進行結算；  
**certify** that we have executed a Clearing Agreement with the abovementioned GCP pursuant to Rule 358(1)(b) of the Rules of the Exchange / Rule 530(b) of the Rules, Regulations and Procedures of the Futures Exchange / Rule 302(4)(b) of the Options Trading Rules of the Stock Exchange (as the case may be) appointing the GCP to clear trades/ contracts performed by us on the relevant Exchange;
2. 承諾本公司如有意終止結算協議書，便會預早提交書面通知予相關的交易所；  
**undertake** to give prior written notice to the relevant Exchange if we intend to terminate the Clearing Agreement;
3. 確認及同意除非或直至本公司成為相關的結算所結算參與者或在中央結算所註冊成為中華通結算參與者或與上述相關的結算所的全面結算參與者或與另一全面結算參與者訂下具效力、具約束力及有效的結算協議書之前，本公司不允許在相關的交易所進行買賣；並同時明白及同意如結算協議書已終止及沒有與另一全面結算參與者訂下具效力、具約束力及有效的結算協議書，相關的交易所有權在沒有預早通知的情況下，終止或停止本公司連接相關的交易所的交易系統。  
**acknowledge and agree** that unless or until we become a clearing participant of the relevant Clearing House or, as the case may be, are registered with HKSCC as a China Connect Clearing Participant, or have a valid, binding and effective clearing agreement with the abovementioned GCP or another general clearing participant of the relevant Clearing House, we shall not be allowed to trade on the relevant Exchange and in this connection, we understand and agree that the relevant Exchange shall have the right to forthwith terminate or suspend our access to its trading system(s) without giving us any prior notice if the Clearing Agreement is terminated and there is no other valid, binding and effective clearing agreement between us and another general clearing participant of the relevant Clearing House;
4. 同意聯交所、期交所及聯交所、期交所控制人的認可控制人又或任何作為聯交所、期交所控制人的認可控制人為其控制人的公司，可將本公司的有關資料透露予證監會、其他交易所及監管機構 (不論於香港境內或境外)；及  
**consent** that SEHK, HKFE and any recognized exchange controller which is the controller of SEHK or HKFE or any company of which a recognized exchange controller which is the controller of SEHK or HKFE is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong); and
5. 同意中央結算所可將本公司未能按結算協議向全面結算參與者履行責任的資料透露予任何其他本公司委任的全面結算參與者。  
(where applicable) **acknowledge and consent** that HKSCC may disclose the information provided by the GCP in relation to any of our failure to meet our obligations under the Clearing Agreement to any other general clearing participant appointed by us.

聯交所參與者簽署<sup>2</sup>  
Signature of  
the Exchange  
Participant of  
SEHK<sup>2</sup>

日期  
Date

(連同公司簽署印章 with Company Chop)

簽署人姓名  
Name of Signatory

職銜  
Position

負責人員  
Responsible Officer

期交所參與者簽署<sup>2</sup>  
Signature of  
the Exchange  
Participant of  
HKFE<sup>2</sup>

日期  
Date

(連同公司簽署印章 with Company Chop)

簽署人姓名  
Name of Signatory

職銜  
Position

負責人員  
Responsible Officer

聯交所期權交易所參  
與者簽署<sup>2</sup>  
Signature of  
the OTEP<sup>2</sup>

日期  
Date

(連同公司簽署印章 with Company Chop)

簽署人姓名  
Name of Signatory

職銜  
Position

負責人員  
Responsible Officer

<sup>2</sup> 必須由交易所參與者之負責人員簽署。

The signatory shall be a Responsible Officer of the Exchange Participant.