

USER PROFILE FOR DELEGATED ADMINISTRATOR FOR NEW HKCC/SEOCH PARTICIPANT
期貨/期權結算新參與者的管理人士的使用組別資料

DCASS-Form 14

To: Clearing Operations – Operations Support & Security Administration
Hong Kong Exchanges and Clearing Limited
30/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong

Date _____
日期：_____

| Participant Full Name 參與者全名 : _____ | For Office Use Only 公司專用 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|---|---------------------------------|---------------------------------|--------------------------------|------|--------------|--------------------|------------|------|-------|-------|-------|----|-------|-------|-------|----|-------|-------|-------|----|-------|-------|-------|----|-------|-------|-------|----|-------|-------|-------|--|----------------|--------------------------------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|
| User Profile for Delegated Administrator (See Guidance Notes) 管理人士的使用組別資料(請參閱填報指引) | Ref. No. : NP/ / Part ID : _____ Effective Date : _____ (DD/MM/YY) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:15%;"></th> <th style="width:30%; text-align: center;">User Name 使用者姓名</th> <th style="width:20%; text-align: center;">Administration Rights* 管理權利*</th> <th style="width:35%; text-align: center;">Maker / Checker# 輸入者 / 核對者#</th> </tr> <tr> <th></th> <th style="text-align: center;">Surname 姓</th> <th style="text-align: center;">Other Name(s) 名</th> <th></th> </tr> </thead> <tbody> <tr><td>1.</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>2.</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>3.</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>4.</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>5.</td><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>6.</td><td>_____</td><td>_____</td><td>_____</td></tr> </tbody> </table> | | User Name 使用者姓名 | Administration Rights* 管理權利* | Maker / Checker# 輸入者 / 核對者# | | Surname 姓 | Other Name(s) 名 | | 1. | _____ | _____ | _____ | 2. | _____ | _____ | _____ | 3. | _____ | _____ | _____ | 4. | _____ | _____ | _____ | 5. | _____ | _____ | _____ | 6. | _____ | _____ | _____ | <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:50%; text-align: center;"><u>User ID</u></th> <th style="width:50%; text-align: center;"><u>Smartcard Serial Number</u></th> </tr> </thead> <tbody> <tr><td>1.</td><td>_____</td></tr> <tr><td>2.</td><td>_____</td></tr> <tr><td>3.</td><td>_____</td></tr> <tr><td>4.</td><td>_____</td></tr> <tr><td>5.</td><td>_____</td></tr> <tr><td>6.</td><td>_____</td></tr> </tbody> </table> | <u>User ID</u> | <u>Smartcard Serial Number</u> | 1. | _____ | 2. | _____ | 3. | _____ | 4. | _____ | 5. | _____ | 6. | _____ |
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| | Surname 姓 | Other Name(s) 名 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1. | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3. | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4. | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5. | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6. | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 1. | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 3. | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 6. | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| * Administration Rights : Please fill in '1' for user profile only, '2' for reset smartcard password only or '3' for both. * 管理權利：請填寫'1'為只處理使用者的使用組別資料, '2'為只更新聰明卡的密碼或'3'為全部管理權利。 # Maker / Checker : Please fill in 'M' for maker or 'C' for checker. # 輸入者 / 核對者：請填寫'M'為輸入者或'C'為核對者。 | <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:70%; height: 40px;">Signature Verified by</td> <td style="width:30%;">Date</td> </tr> <tr> <td style="height: 40px;">Prepared/Checked by</td> <td>Date</td> </tr> <tr> <td style="height: 40px;">Reviewed by</td> <td>Date</td> </tr> <tr> <td style="height: 40px;">Updated by</td> <td>Date</td> </tr> </table> | Signature Verified by | Date | Prepared/Checked by | Date | Reviewed by | Date | Updated by | Date | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Prepared/Checked by | Date | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Reviewed by | Date | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Updated by | Date | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SIGNED BY THE NEW HKCC/SEOCH PARTICIPANT:- 期貨/期權結算新參與者簽署 _____ Authorised Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction) 新參與者獲授權的簽名 (連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |