

更改結算公司參與者類別申請之解釋說明

Explanatory Notes for Application for Change of Participantship Category of HKSCC

一般資料

General Information

1. 一般只可更改成為其中一類參與者。參與者欲更改其參與者類別，香港交易及結算所有限公司（「香港交易所」）會按有關的申請資格進行獨立審批。表格 1H 不適用於託管商參與者欲更改成為附有交易所參與者資格的直接結算參與者或全面結算參與者。
Application may only be made for re-registration under one Participantship category. With request to a change in participant's status, it should be noted that HKEX will conduct a separate review according to the admission criteria of the participantship under application. Form 1H is not applicable to a Custodian Participant who wishes to become a Direct Clearing Participant or a General Clearing Participant with Exchange Participantship.
2. 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，香港交易所將不作處理，有關的申請將退回申請人。
Applicants should note that 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.
3. 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1H(更改結算公司參與者類別申請)；
Form 1H (Application for Change of Participantship Category of HKSCC);
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(只適用於申請更改成為直接結算參與者或全面結算參與者)；
An Operations and Risk Control Plan. Please refer to Attachment 2 of EN1 - Explanatory Notes for Application for Participantship and Trading Right (applicable to change of participantship category to Direct Clearing Participant or General Clearing Participant only);
[https://www.hkex.com.hk/-/media/HKEX-Market/Services/Rules-and-Forms-and-Fees/Forms/Securities-\(Hong-Kong\)/Trading/Participantship/Participantship---Admission/EN1.pdf?la=en](https://www.hkex.com.hk/-/media/HKEX-Market/Services/Rules-and-Forms-and-Fees/Forms/Securities-(Hong-Kong)/Trading/Participantship/Participantship---Admission/EN1.pdf?la=en)
3. 申請更改為直接結算參與者或全面結算參與者，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；
For application to change participant category to Direct Clearing Participant or General Clearing Participant, 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;
4. 如由託管商參與者更改成為全面結算參與者，“Authorisation to HKSCC on causing endorsements to be made on Instrument of Transfer as selling broker's agent”。
The “Authorisation to HKSCC on causing endorsements to be made on Instrument of Transfer as selling broker's agent” when changing the Participantship from Custodian Participant to General Clearing Participant.