HKEX
香港交易所

**EN6**

# 開業/復業申請之解釋說明
# Explanatory Notes for Application for Commencement / Re-commencement of Trading

## *一般資料*
## *General Information*

1. 申請表格可於香港交易所網址 www.hkex.com.hk 下載。申請人應確保申請附上解釋說明內所列明的所須表格及文件。
   Application forms are available at the website of HKEX at www.hkex.com.hk. Applicants are advised to ensure that the applications are accompanied by the required forms and documents stated in these notes.

2. 所有款項須以劃線及抬頭為「香港交易及結算所有限公司」的支票繳付。
   All payments shall be made by cheques, to be crossed and made payable to "Hong Kong Exchanges and Clearing Limited".

3. 申請人須：

   Applicants shall:-

   (a) 向香港交易所 - 交易部（電話號碼：2840-3626）申請安裝交易設施。
   apply to HKEX, Trading Department (telephone number : 2840-3626) for the installation of trading device(s).

   (b) 確保每名授權人士是有能力及有相關技能和知識執行其職務，如有能力操作香港聯合交易所有限公司的交易系統；及
   ensure that each of the Authorized Persons is competent and has acquired the necessary skills and knowledge to carry out his/her responsibilities, such as capable to operate the trading system of The Stock Exchange of Hong Kong Limited; and

   (c) 辦理下列有關申報及繳付印花稅之安排：

   conduct the following stamp duty reporting and payment arrangement:

   (i) 開設一個指定的銀行賬戶進行印花稅款項之交收。 此銀行賬戶必須為香港中央結算有限公司 不時發出的《中央結算系統非投資者參與者之指定銀行名單》旗下銀行之港幣往來賬戶。
   open a designated bank account for effecting settlement of stamp duty payment. The bank account must be a HK$ current account with any bank in the “List of Designated Banks for CCASS Non-Investor Participants” issued by Hong Kong Securities Clearing Company Limited from time to time.

   (ii) 準備向香港聯合交易所有限公司申報及繳付印花稅（包括系統設定以便電子申報印花稅，籌備/研發電子印花稅申報表）。
   prepare for stamp duty reporting and payment to The Stock Exchange of Hong Kong Limited (including system setup for electronic stamp duty reporting, preparation/development of electronic stamp duty returns).
   有關資訊， 請參閱下列香港交易所網址:
   Please refer to below HKEX website for detailed information:
   http://www.hkex.com.hk/chi/ECP & Documentation
   http://www.hkex.com.hk/eng/ECP & Documentation

   (iii) 向稅務局印花稅辦事處申請繳付印花稅的有關安排。
   apply to the Stamp Duty Office of the Inland Revenue Department for the necessary arrangement in relation to the payment of stamp duty.

4. 所有成功申請成為聯交所之參與者，若有提供及/或從港交所資訊服務有限公司授權的其他資訊供應商訂購現貨市場數據顯示終端機以供其內部員工使用者，均可申請最多每月 20 台免費現貨市場數據顯示終端機。如需了解詳細資訊，請參閱刊載於香港交易所網站之有關表格。
All successfully admitted SEHK Participants who provide and/or subscribe securities market data display terminals from other HKEX-IS licensed information vendors for their own internal usage purposes are eligible to claim for 20 free securities market data display units in total for each month. For details, please refer to the Declaration Form as posted on the HKEX website.

## *申請在香港聯合交易所有限公司開業／復業之所須文件*
## ***Documents Required for Application for Commencement / Re-commencement of Trading on The Stock Exchange of Hong Kong Limited***

**申請開業/復業，申請人須提交以下文件：**
**In respect of the application for commencement / re-commencement of trading, the applicant shall provide the following:-**

1. 表格 6（開業/復業申請）;
Form 6 (Application for Commencement/Re-commencement of Trading);

2. 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或表格 1E（ 財政狀況表 )及最近期之管理賬目，其結算日期須與財務報表或財政狀況表之結算日期相同，並截至申請日期前一個月內；
A certified true copy of the latest Financial Return submitted to the Securities and Futures Commission or a Form 1E (Financial Statement) together with the latest management accounts which should be made up to a date within one month from the date of application;

3. 繳付印花稅之電子付款指示扣賬及資料申報授權書〔扣賬授權書〕。為確保銀行賬戶可進行印花稅款項交收，申請人須預先獲得其銀行在授權書上加簽，才把授權書交回交易所處理。
Debit Authorisation for Electronic Payment Instruction and Authorisation to Disclose Information Form (DA Form) for stamp duty payment. To ensure that the bank account is acceptable by the designated bank for effecting settlement of stamp duty payment, please be reminded to obtain the bank's countersignature on the DA Form before returning it to HKEX for further processing;

4. 以下的按金：
The following deposits:-

   (i) 每個聯交所交易權港幣五萬元之互保基金按金；及
   HK$50,000 for the Fidelity Fund deposit in respect of each of the Stock Exchange Trading Right held in SEHK; and

   (ii) 港幣五千元之印花稅按金。
   HK$5,000 for the stamp duty deposit.