

評估就通過 CCEP 買賣中華通證券的交易所參與者準備狀況之檢查清單

Checklist for assessing readiness for trading in China Connect Securities through China Connect Exchange Participant (“CCEP”) by Exchange Participant

交易所參與者請參閱所有刊載於香港交易所網站，網址: www.hkex.com.hk/mutualmarket_c 之文件、香港聯合交易所有限公司規則（「交易所規則」）及香港中央結算有限公司之中央結算系統一般規則（「中央結算系統規則」）。除非另有規定，在交易所規則及/或中央結算系統規則的詞彙，當用於此檢查清單時具有相同意義。

Exchange Participants are referred to all documents posted on the HKEX website at www.hkex.com.hk/mutualmarket, the Rules of The Stock Exchange of Hong Kong Limited (“Rules of the Exchange”) and General Rules CCASS of Hong Kong Securities Clearing Company Limited (“CCASS Rules”). Unless otherwise stated, capitalised terms defined in the Rules of the Exchange and/or CCASS Rules shall have the same meanings when used in this Checklist.

- 確保所有相關系統及程序（包括以下所列）就通過 CCEP 使用中華交易通買賣中華通證券已準備就緒：

Ensure that all relevant systems and procedures (including the following) are ready for the trading of China Connect Securities through the use of the Trading Link through CCEP:

- 後勤辦公室系統（例如會計及收費系統）能處理中華通證券的交易；
back office systems (e.g. accounting and billing systems) are capable of handling transactions involving China Connect Securities;
- 禁止部分客戶買賣特定證券列表；
restriction on the trading of certain China Connect Securities by certain clients;
- 禁止即日回轉交易及裸賣空中華通證券；
prohibition of day trading and naked short selling of China Connect Securities;
- 中華通證券之信貸及風險檢查系統；及
credit and risk checking system for China Connect Securities; and
- 為客戶編派券商客戶編碼，提交券商客戶編碼與客戶識別信息的配對文件為客戶登記券
商客戶編碼。
Assignment of Broker-to-Client Assigned Numbers (“BCANs”) to clients and submission of
BCANs and client identification data (“CID”) in the form of BCAN-CID Mapping File for
registration of BCAN.

- 有制定通過 CCEP 使用中華交易通買賣中華通證券的程序。
Have procedures in place to trade China Connect Securities through the use of the Trading Link through CCEP.

- 確保職員（例如客戶主任）已充分瞭解由聯交所及相關中華通市場營運者訂明有關通過 CCEP 使用中華交易通買賣中華通證券的相關規則（包括當需要時以中文提供客戶資料）。
Ensure employees (e.g. account executives) fully understand the relevant rules prescribed by SEHK

and the relevant China Connect Market Operator in relation to the trading of China Connect Securities through the use of the Trading Link through CCEP (including the need to provide information such as client information in Chinese when required).

- ❑ 審閱及更新通過 CCEP 使用中華交易通買賣中華通證券發出的客戶文件（包括成交單據、交易確認及月結單）。

Review and update procedures on issuing client documents (e.g. contract notes, trade confirmations and monthly statements) for trading China Connect Securities through the use of the Trading Link through CCEP.

- ❑ 修改有關通過 CCEP 使用中華交易通買賣中華通證券的客戶協議（如需要）。

Amend client agreements in relation to the trading of China Connect Securities through the use of the Trading Link through CCEP, if necessary.

- ❑ 通知客戶有關通過 CCEP 使用中華交易通買賣中華通證券的政策、程序、風險管理措施及限制，尤其是不允許即日回轉交易及裸賣空中華通證券、適用於境外投資者的持股比例限制及中華通證券發行人只以簡體中文發布公司文件。

Inform clients of relevant policies, procedures, risk management measures and restrictions in trading China Connect Securities through the use of the Trading Link through CCEP, in particular, prohibition of day trading and naked short selling of China Connect Securities, shareholding restrictions applicable to foreign investors and the fact that issuers of the China Connect Securities publish corporate documents in Simplified Chinese only.

- ❑ 需要時向聯交所提供適當的承諾及確認。

Provide appropriate declarations and further confirmations as may be required by SEHK.

- ❑ 遵守不時具有效力、由聯交所就「滬港通」及「深港通」訂立的相關規則、監管規定及程序，以及所有適用的法律。

Comply with relevant rules, regulations and procedures of SEHK relating to Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect and all applicable laws, as in force from time to time.

- ❑ 遵守有關監管機構所規定的要求。

Comply with such requirements as may be required by relevant regulators.

- ❑ 審視有意買賣中華通證券的客戶，是否已開立人民幣銀行賬戶以便交收及收取人民幣權益（如現金股息）。倘若他們沒有開立人民幣銀行賬戶，貴公司應訂立程序為他們兌換人民幣。

Check your clients who wish to trade China Connect Securities that they have RMB bank accounts for settlement and for receiving RMB entitlements (e.g. cash dividend) and if they do not have any RMB bank accounts, have procedures in place to handle the RMB conversion for them.

- ❑ 審視及與託管人（如適用）達成處理轉讓中華通證券的程序。

Check and agree with your custodians (if relevant) the procedures to handle the transfer of China Connect Securities.