

中央結算系統運作程序規則

定義

(b) 除非內文另有所指，否則下列詞語運用於本運作程序規則時具有下列含義：

「莊家證券」 指 與交易所規則中所指的含義相同；

「證券莊家」 指 與交易所規則中所指的含義相同；

「指定交易所買賣基金」、「交易所買賣基金莊家」、「試驗計劃」及「試驗計劃莊家」之定義已刪除。

第十節

聯交所買賣 — 持續淨額交收制度

10.8.3 豁免補購

- (xii) 申請豁免的參與者是結算公司不時指定的莊家證券的證券莊家，已適當地執行跨境轉移指示，將足夠合資格證券轉移至結算公司在獲委任存管處的戶口內，用作於T+2日交付以證券莊家身份進行的莊家活動所產生的待交付數額，但因參與者或獲委任存管處的人為錯誤而未能於T+2日交付有關的待交付數額；
- (xiii) 申請豁免的參與者是結算公司不時指定的莊家證券的證券莊家，在T+2日擁有足夠合資格證券交付以證券莊家身份進行的莊家活動所產生的待交收數額，但因美國假期而未能利用跨境轉移指示將足夠合資格證券轉移至結算公司在獲委任存管處的戶口內以交付有關的交付數額；

To: Hong Kong Securities Clearing Company Limited
(Fax no. 2579 0111 / 2579 0033)

Date:

APPLICATION FORM FOR EXEMPTION OF BUY-IN

I. Participant's Particulars

Participant ID : _____ Participant Name : _____
 Contact Persons : 1. _____ 2. _____
 Tel. No. : _____

II. Failed Delivery Position

Stock Code : _____ Stock Name : _____
 Settlement Pos No. : _____ Settlement Date : _____
 Outstanding Share Quantity : _____ Share Quantity Applied for Exemption: _____

III. Basis of Application

We wish to make application for exemption from Buy-in pursuant to the grounds stipulated in Section 10.8.3 of the CCASS Operational Procedures as follows:-

- Sufficient Eligible Securities are deposited with the CCASS Depository but not credited to our Stock Clearing Account or that of the delivering Participant as stated in Section 10.8.3(i)
- Defects in the instrument of transfer as stated in Section 10.8.3(ii)
- Contingencies such as fire & flood, etc as stated in Section 10.8.3(iv)
- Oversold trades due to clerical or calculation errors and the shortfall covered by purchase transactions on T+1 as stated in Section 10.8.3(v)
- Short positions result from exercise of call options and the shortfall covered by purchase transactions on T+1 as stated in Section 10.8.3(vi)
- Same day trades executed through different Exchange Participants or the delivering Participant has not been allocated with sufficient Eligible Securities which is due to be received from HKSCC as stated in Section 10.8.3(vii)
- Sufficient Eligible Securities are due from a delivering Participant via SI on T+2 and such Eligible Securities are credited to the delivering Participant's Stock Account in CCASS in the last Batch-settlement-run on T+2 as stated in Section 10.8.3(viii)
- Sufficient Eligible Securities are available from a creation or redemption of Units on T+2 as stated in Section 10.8.3(ix)
- Sufficient Eligible Securities in our Stock Account or that of the delivering Participant on T+2 but failed delivery due to clerical error as stated in Section 10.8.3(x)
- Sufficient Eligible Securities in our Stock Account or that of the delivering Participant on T+2 but failed delivery as a result of a systems limitation as stated in Section 10.8.3(x)
- Long positions or holdings in Eligible Securities in our Stock Account or in that of the delivering Participant which if converted in CCASS, are sufficient to settle the relevant short positions on T+2 as stated in Section 10.8.3(xi)
- Due execution of Cross-Border Transfer Instructions by us as a Securities Market Maker but unable to cover the short position on T+2 due to clerical error as stated in Section 10.8.3(xii)
- Transfer of Eligible Securities to cover the short position resulting from our market making activities as a Securities Market Maker cannot be effected as a result of a holiday in the United States as stated in Section 10.8.3 (xiii)
- Relevant quantity of Eligible Securities had been lent by an approved lending agent as defined in the Securities and Futures (Disclosure of Interest – Securities Borrowing and Lending) Rules and a notice of recall has been duly executed as stated in Section 10.8.3(xiv)

IV. Remarks by Participant

 Authorized Signature of CCASS Participant
 (with Company Chop)

- Note*
- (i) Supporting documents as stipulated in Section 10.8.4 of CCASS Operational Procedures are required on or before T+6 unless otherwise notified by Hong Kong Securities Clearing Company Limited ("HKSCC").
 - (ii) Any provision to HKSCC of false, misleading or inaccurate information or documents or a failure to deliver Sufficient Eligible Securities on T+3 in respect of an exemption from a Buy-in are acts of misconduct in respect of which HKSCC may take disciplinary action against the Participant.
 - (iii) Application will be rejected if insufficient or inaccurate information is provided on the Application Form.

V. For HKSCC Use

Action	Reviewer	Remarks
Checked		
Rejected		