HKEx香港交易所

Operational Clearing Procedures for Options Trading Exchange Participants

I. INTRODUCTION TO OPERATIONAL CLEARING PROCEDURES

1. INTRODUCTION

1.2 Office of SEOCH

The office of SEOCH is located at the following address: 7/F, Viewood Infinitus Plaza 199 Des Voeux Road Central Hong Kong

Telephone : <u>2211-69322840-3581</u> Facsimile : <u>2868-01342581-2586</u>

This address should be used for all communications, unless otherwise stated.

APPENDIX A1. ON-BEHALF TRADE ADJUSTMENT REQUEST FORM

THE SEHK OPTIONS CLEARING HOUSE LIMITED

 7/F, Viewood Infinitus
 Plaza
 Fax:
 2581 25862868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 35812211 6932

Hong Kong

ON-BEHALF TRADE ADJUSTMENT REQUEST FORM

Particu	lars of SE	СОСН Ра	rticipan	t							
SEOCH Pa	rticipant's Nar	me:	DCASS	Custome	er Code :			Broker	Firm ID :		
	rson for This l	Request Forn	1:				·	1			
Name:								Tel. N			
Position:								Fax N	lo. :		
Details of	f Trade Adj	justment									
		Original	Trade De	tail				De	etail of Tr	ade Rec	tified
Trade		011g	Trade	Buy					02 22	O/C/	Free
Date	Account	Series	No.	/Sell	Price	Quantity	Acc	Count	Quantity		text*
Date	recount	Berres	110.	7,5011	THEC	Quantit	7100	Count	Quartity	11/2	text
The "Free	text" field o	only allows	a maximur	n of 15	characte	rs includi	ing an	y spac	es.		
	Signature(s) of gnatory(ies) : _						_		Date		
FOR SEOC	CH USE	ADDROVED	ATE	DAIDLE		1.	NIDI IT D	TE/TE	r 1	CHECKER	V/DATE
VERIFIED/ D.	AIE	APPROVED/ I	DATE	INPUT			NPUT DA	ATE/ TIM	E	CHECKED B	Y/DATE

APPENDIX A2. ON-BEHALF TRADE GIVE-UP/TAKE-UP REQUEST FORM

THE SEHK OPTIONS CLEARING HOUSE LIMITED

 7/F, Viewood Infinitus
 Plaza
 Fax:
 2581 25862868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 3581 2211 6932

 Hong Kong
 Hotline:
 2840 3581 2211 6932

Hong Kong		

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Part	ticulars	s of SEC	OCH P	artic	cipan	nt										
SEO	CH Particip	oant's Name	:		DCAS	S Custom	er Code :			Brok	er Fir	m ID :				
Conta Name		for This Re	quest For	m :							,	Геl. No.	•			
Posit												Fax No.				
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	Date	Accoun	nt Se	ries	Trac	de No.	/ Sell	Price	Qı	antit	у	/ Acc		Qu	antity	text*
1.																
2.																
3.					<u> </u>									<u> </u>		
On 1	Behalf	Take-u	p Deta	ils												
			Ι	Detail	of Ori	ginal Tra	ade					Detai	l of Ta	ke U	p Trad	e
	Trade Date	Account	Series		rade No.	GiveUp No.	Buy / Sell	Price	Quan			cipant count	Quai	atity	O/C	Free text*
1.	Date	Account	Scries	1	10.	110.	/ SCII	Titee	Quan	iity	/ Ac	Count	Quai	itity	0/0	text
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Autho	rised Signs	ature(s) of G	ive-un SF(ОСН	_	Authoris	ed Signatu	re(s) of Ta	ke-un SF	ОСН	_	— Dat				
		company ch		Jen				ompany cho		ocn		Dat	C			
Name	of Signato	ry(ies):				Name of	Signatory	(ies):								
					_											
FOR	SEOCH U	SE														
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APPENDIX A3. ON-BEHALF AVERAGE PRICE TRADE (APT) REQUEST FORM

THE SEHK OPTIONS CLEARING HOUSE LIMITED

 7/F; Viewood-Infinitus Plaza
 Fax:
 2581 2586 2868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 3581 2211 6932

Hong Kong

ON-BEHALF AVERAGE PRICE TRADE (APT) REQUEST FORM

Partic	ulars of SEO	CH Participan	t				
SEOCH I	Participant's Name	: DCASS	Customer Coo	le :	Broker	Firm ID :	
Contact D	angan fan Thia Dae	wy oot Forms					
Name :	erson for This Rec	juest Form :				Tel. No.	:
Position :						Fax No.	:
Details	of Average	Price Order (A	PO) Trac	les			
Series :							
Buy / Se	11:						
Resulted	APT will be al	located to :					
Client A	ccount No. (for	reference only):					
·	<u> </u>						
	Trade Num	ber	Price	Qua	ntity		
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
		Tota	1 Quantity				
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ul. A	D : 751		+ D.T. :				
	he respective qu	average price of the antity executed at the					of the execution prices tity under the APO
Authorised	l Signature(s) of SE	OCH Participant [with o	ompany chop]			Date	
Name of S	ionatory(ies):						
01 0	-6						
FOR SEC	OCH USE						
VERIFIED/		APPROVED/ DATE	INPUT		INPUT DATE/ TIME	Ξ	CHECKED/ DATE

APPENDIX A4. ON-BEHALF INTERNAL POSITION ADJUSTMENT REQUEST FORM

THE SEHK OPTIONS CLEARING HOUSE LIMITED

 7/F, Viewood Infinitus Plaza
 Fax:
 2581 25862868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 35812211 6932

Hong Kong

ON-BEHALF INTERNAL POSITION ADJUSTMENT REQUEST FORM

SEOCH Participant's Name : DCASS Customer Code : Broker Firm ID :		iculars of SE(_			
Name For Secotion Tel. No. For Secotion Tel. No.	SEOC	H Participant's Name	DC	ASS Custor	ner Code :		Broker Fir	m ID :		_
Position Fax No. :			equest Form :				1.	- 1 N		
Internal Position Account Transfer										
New Account New Account Series Long Transfer Short Transfer O/C/N/D	Positio	on:			_			Fax No). :	
Old Account New Account Series Long Transfer Short Transfer O/C/N/D	Deta	ils of Position	Adjustment							
Old Account New Account Series Long Transfer Short Transfer O/C/N/D			-							
1.	HILLIA				Series	Long	Transfer	Sh	ort Transfer	O/C/N/D
2.	1.					+ -	,	+		
3.								1		
Position Netting Account Series Net Down By 1.						†				
Authorised Signature(s) of SEOCH Participant [with company chop] Date Name of Signatory(ies): FOR SEOCH USE	Justif	ication:		1		1				
Authorised Signature(s) of SEOCH Participant [with company chop] Date Name of Signatory(ies): FOR SEOCH USE										
Authorised Signature(s) of SEOCH Participant [with company chop] Date Name of Signatory(ies): FOR SEOCH USE	- ·.·	5.T*								
1.	Positio		ecount	1	Seri				Net Do	own Rv
2. 3. Justification: Authorised Signature(s) of SEOCH Participant [with company chop] Date Name of Signatory(ies):	1.	2 37	Zount		DCII:	28			1101 100	- WII Dy
Justification: Authorised Signature(s) of SEOCH Participant [with company chop] Date Name of Signatory(ies): FOR SEOCH USE										
Justification: Authorised Signature(s) of SEOCH Participant [with company chop] Date Name of Signatory(ies): FOR SEOCH USE										
Authorised Signature(s) of SEOCH Participant [with company chop] Date Name of Signatory(ies): FOR SEOCH USE		ication:								
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Name of Signatory(ies): FOR SEOCH USE										
Name of Signatory(ies): FOR SEOCH USE						-				
FOR SEOCH USE	Author	ised Signature(s) of S	EOCH Participant [w	ith compan	y chop]			Date	e	
FOR SEOCH USE										
FOR SEOCH USE										
FOR SEOCH USE VERIFIED/ DATE APPROVED/ DATE INPUT INPUT DATE/ TIME CHECKED/ DATE	Name o	of Signatory(ies) :								
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7/F, Viewood-<u>Infinitus</u> Plaza 2581 25862868 0134 Fax: 199 Des Voeux Road Central 2840 3581 <u>2211 6932</u> Hotline:

Hong Kong

SEOC	CH Participant's Name	:	DCASS	Customer Code :		Broker Fi	rm ID :	
	•							
			I			l		
Deta	ils of Position	to be tran	sferr	ed				
	Old Account	New Acco	ount	Series	Long	Transfer	Short Transfer	O/C/N/D
1.								
2.								
3.								
Justif	ication:							
C	Circum a 4i a m. Creare	. Dantisin	~~ 4 ~ : -	arralma d				
COU	firmation fron	n Parucipa	ants II	avoivea				
	T 1 1			Г				
Party	Involved			Authorised Signature with	Compai	ny Chop	Contact Person for	the transfe
Trans	sferor Participant			Authorised Signature with	Compai	ny Chop	Contact Person for	the transfe
Trans		:		Authorised Signature with	Compai	ny Chop	Name :	the transfe
Trans	sferor Participant	:		Authorised Signature with	Compai	ny Chop		the transfer
Trans	sferor Participant	:		Authorised Signature with Name of Signatory(ies):	Compai	ny Chop		the transfer
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Trans SEOC DCAS Broke Trans SEOC DCAS	sferor Participant CH Participant's Name SS Customer Code: r Firm ID: sferee Participant CH Participant's Name			Name of Signatory(ies):	Compai	ny Chop	Name : Name :	the transf

APPENDIX A6. ANNULMENT OF POSITION NETTING REQUEST FORM

THE SEHK OPTIONS CLEARING HOUSE LIMITED

 7/F, Viewood Infinitus Plaza
 Fax:
 2581 25862868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 3581211 6932

Hong Kong

ANNULMENT OF POSITION NETTING REQUEST FORM

		icipant					
EOCH Participant's Nam	ne:	DCASS Custome	er Code :		Broker Firm	ID:	
ontact Person for This R	Request Form :						
lame :					Tel. No.:		
osition:					Fax No.:		
	. N T . 44° 4	. 1 11 .	,				
etails of Position	n Netting t	o be annulle	a				
Date of Netting	Account	Series	Trade No.	Buy/S		nal Quantity Net Down*	Quantity to b Reopened
1.							
2.							
3.							
4. 5.							
ustification:							
The ''Original Quantit quantity will NOT be al ote: Any request to a ntertained.	llowed.			_			
quantity will NOT be also of the second of t	Mowed. nnul a position SEOCH Particip	ant [with company o	en netted down fo	_		E Business L	
quantity will NOT be all of the second of th	Mowed. nnul a position SEOCH Particip	ant [with company o	chop]	_	T Dat	E Business L	

 7/F, Viewood Infinitus
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 2581 25862868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 35812211 6932

Hong Kong

ON-BEHALF COVER / DECOVER REQUEST FORM

OCH Participant's Name:	DCASS Customer Code :		Broker Firm ID:	
act Person for This Request	Form:			
ne:			Tel. No.	:
ition:			Fax No.	:
ase tick the appropria	te box and complete relevant de	ails belo	ow:	
Please perfo	rm covering of position with do	etails as	follows:	
Account	Series	Co	over Request in no. o	f Remark
	To	tal:		
Please perfo	rm decovering of position with	details	as follows : over Request in no. o	of Remark
	rm decovering of position with	details	over Request in no. (of Remark
	rm decovering of position with	details	over Request in no. (of Remark
	rm decovering of position with Series	details	over Request in no. (of Remark

 7/F, Viewood-Infinitus
 Plaza
 Fax:
 2581 25862868 0134

 199 Des Voeux Road Central
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 2840 35812211 6932

 Hong Kong
 4840 35812211 6932

ON-BEHALF EXERCISE/EXERCISE ADJUSTMENT REQUEST FORM

Particul	lars of SEOCH	I Participan	t					
SEOCH I	Participant's Name	:	DCASS Customer Cod	e :		Broker F	irm ID :	
Contact Pe	erson for This Requ	uest Form :						
Name:	•						Tel. No.:	
Position :							Fax No.:	
Please I	nput the follov	ving Exercis	e Reauest					
rouse 1	The the lone is	, ing Enercis	e request				1	
	A	ccount		Se	eries		No. of C	Contracts to Exercise
1								
2								
3								
4								
Please F	Reject the follo	wing Pendin	g Exercise Reques	st				
	Account		Series		No. of Con	tracts Ex	xercised	Exercise req nbr
1								
2								
3								
4								
								1
Please L	Deny the follow	ving from Go	eneral Exercise					
	A	ccount		Se	eries		Nev	w deny quantity
							(i.e. TOT	AL no. of Contracts to from general exercise
1								
2								
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			·					
A41	16:	EOCH P · · ·	and Facility and the Control of the		<u> </u>	_	1-4-	
Autnorisec	1 Signature(s) of Si	EOCH Participa	nt [with company chop]			D	ate	
Name of S	ignatory(ies):							
EOD CEC	OCH USE				•			
LOK PEC	CU OSE							

 7/F, Viewood Infinitus
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 199 Des Voeux Road Central
 Hotline:
 2840 3581 2211 6932

 Hong Kong
 Plaza
 Hotline:

	DCASS.	Account Main	ntenance Form		
Particulars of SEO	CH Participant				
SEOCH Participant's Na	ame:	DCASS	Customer Code:	Broker Firm ID	:
Contact Person for This	Form:	<u>'</u>	Tel. No. :	<u> </u>	
Position :			Fax No. :		
1 ostion .			Tux 110.		
Please tick the follo	wing as appropriate	:			
☐ Opening of	of DCASS Account*				
☐ Termination	on of Existing DCAS	S Account			
	C				
Account Details					
DCASS Account C	Code (if applicable):				
Name of Client (ap Client Account onl	pplicable to Individual y)				
Account Type:		☐ Client (ual Client Accour Offset Claim Acco Account Type (<i>ple</i>	ount	
	e accept all the general H from time to time.	al terms and co	nditions for the k	eeping of the abo	ve account as
Authorised Signature(s)	of SEOCH Participant with	Company chop		Date	
Name of Signatory(ies):					
FOR SEOCH USE					
VERIFIED/ DATE	APPROVED/ DATE	INPUT	INPUT DA	TE/ TIME CH	IECKED BY/DATE

APPENDIX A10. OPENING / MAINTENANCE OF MARKET MAKER ACCOUNT FOR DESIGNATED TRADER FORM

THE SEHK OPTIONS CLEARING HOUSE LIMITED

 7/F, Viewood Infinitus Plaza
 Fax:
 2581 25862868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 35812211 6932

Hong Kong

Particulars of SEOCH Participant

Opening / Maintenance of Market Maker Account for Designated Trader Form

SEOCH Participant's Name :	DCASS Cust	comer Code :		Broker Firm ID:	
Contact Person for This Form :					
Name :			Tel. No.:		
Position:			Fax No.:		
Part I : Designated Trader	r Particulars				
Name of Designated Trader:					
ID Card / Passport Number :					
Designated Trader Account Co Date of Registration as Author HKATS for stock options:					
Please tick and complete the foll					
Opening of Market M	aker Account for	Designated Trade	er (Please co	omplete Part II b	pelow)
☐ Termination of Marke	t Maker Account	for Designated T	`rader		
☐ Addition / Deletion of	Class(es) (Please	e complete Part II	below)		
Part II : Class(es) to be add	led and / or delet	eed:			
Class(es) to be added:					
Class(es) to be deleted:					
We declare that we accept all the opening and maintenance of sepa					ring Procedures for the
Authorised Signature(s) of SEOCH Pa	urticipant			Date	
Name of Signatory(ies) :					
FOR SEOCH USE VERIFIED/ DATE APPROV	ED/ DATE	INPUT	INPUT D	ATE/ TIME	CHECKED BY/DATE

7/F, Viewood <u>Infinitus</u> Plaza Fax: 2581 2586<u>2868 0134</u> 2840 35812211 6932 199 Des Voeux Road Central Hotline:

Hong Kong

	Maintenance of OBEP	Individual Client Acc	ount Forn	1
Partic	ulars of Carrying SEOCH Participant			
SEOCI	H Participant's Name:	DCASS Customer Code :		Broker Firm ID :
Contact	t Person for This Form :			
Name			Tel. No.:	
Positio	on:		Fax No.:	
Please	tick the following as appropriate :			
	Opening of OBEP Individual Client A	Account*		
	Termination of Existing OBEP Indivi	dual Client Account		
OBE	P Particular			
Name	e of OBEP:			
Exch	ange Participant Firm ID of OBEP:	·		
	P Individual Client DCASS Account (for termination only):			
Busin	ness Address of OBEP :			
Date	of Clearing Agreement with OBEP:			
Date	of Registration as OBEP of Exchange:			
Name	e of OBEP Contact Person:	Tel:		Fax:
*We o	declare that we accept all the general ter named above as prescribed by the SEOC	rms and conditions for th H Board from time to tim	e keeping o	of individual client account for the
Authori	sed Signature(s) of SEOCH Participant with Compa	any chop		Date
Name of	f Signatory(ies) :			
	EOCH USE			
VERIFIE	D/ DATE APPROVED/ DATE INI	PUT INPUT I	DATE/ TIME	CHECKED BY/DATE

 7/F, Viewood Infinitus
 Plaza
 Fax:
 2581 25862868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 35812211 6932

 Hong Kong
 Plaza
 40 35812211 6932

RESERVE FUND CONTRIBUTION NOTICE

Particulars of SEOCH Participant				
Face of				
Attention:				
Broker Firm ID :	SEOCH Participant's Name :			
Results of the Reserve Fund Recalcula	ntion			
For the Mo	nth			
		HK\$		
Current Month Total Variable Contribut	ion			
Your Share of Current Month Total Vari	table Contribution			
Your Share of Previous Month Total Va	riable Contribution			
Top up (+) /Reimbursement (-) Amount	for this Month			
		-		
Amount due will be collected on				
For and On Behalf of The SEHK Options Clearing House Ltd				
A.d. : 16: ()		<u></u>		
Authorised Signature(s)		Date		

APPENDIX C5. SPECIAL BLOCK TRADE MARGIN CALL NOTICE

THE SEHK OPTIONS CLEARING HOUSE LIMITED

 7/F, Viewood Infinitus Plaza
 Fax:
 2581 2586 2868 0134

 199 Des Voeux Road Central
 Hotline:
 2840 3581 2211 6932

Hong Kong

SPECIAL BLOCK TRADE MARGIN CALL

URGENT

Broker Firm ID	SEOCH Participant's Name	For the Attention of	Telephone Number	Fax Number	Margin Call
XXXX	XXXXXXXXXX	XXXXXXX	XXXX XXXX	XXXX XXXX	XXX,XXX

The above amount will be debited from your designated bank's account in an hour's time.

Authorised Signature(s)	Date
The SEHK Ontions Clearing House Limited	