

香港聯合交易所有限公司

(香港交易及結算所有限公司全資附屬公司)

THE STOCK EXCHANGE OF HONG KONG LIMITED

(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

Subject: **CLAIM NOTICE FOR THE FIDELITY FUND AND GUARANTEE SCHEME**

事項：

Enquiry: **Participant General Enquiry Hotline (Tel : 2840 3626 E-mail : trd@hkex.com.hk)**

查詢：

Pursuant to Rule 910A of the Rules of the Exchange, a notice calling for claims for compensation against the Fidelity Fund and Guarantee Scheme will be issued whenever there is a cessation of trading or Exchange Participantship.

Take notice that **SMBC Nikko Securities (Hong Kong) Limited** has ceased trading with effect from 1 December 2017.

Pursuant to Rule 910A, Exchange Participants are hereby invited to lodge with the Compensation Committee all valid claims which they may have against the above corporation before 5:00 pm on Thursday, 14 December 2017.

For avoidance of doubt, the following circumstances shall not be entertained and shall not entitle to compensation under the Fidelity Fund and Guarantee Scheme:-

1. if such loss arises not out of a default in the course of carrying on the business of dealing in securities listed or admitted to trading on the Exchange and transacted in a manner recognised by the Exchange
2. if such loss arises out of a default relating to securities borrowing and lending transaction effected pursuant to the Regulations in the Sixth Schedule of the Rules of the Exchange or the CCASS Rules (as the case may be)
3. if such loss arises out of a default relating to a transaction settled under the CNS System
4. if such loss arises out of a default directly relating to the Exchange Traded Options Business

Exchange Participant claimants are required to complete the claim form ([Attachment 1](#)) and produce to the Compensation Committee all documents and statements of evidence which can substantiate the claims. Under the said Rule 910A, the Compensation Committee shall have absolute discretion to refuse entertaining any claims lodged after the aforementioned date.

Olivia Mak
Secretary
Compensation Committee