

香港中央結算有限公司
(香港交易及結算所有限公司全資附屬公司)

HONG KONG SECURITIES CLEARING COMPANY LIMITED
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

Subject: Invitation to apply for approval as Authorized Brokers of Hong Kong Securities Clearing Company Limited – Reminder

Enquiry: Hotline: 2979 7111 / E-mail: clearingps@hkex.com.hk

1. Reference is made to the Stock Exchange circular (Ref. No.: [CD/CDCO/CAS/002/2019](#)) issued on 12 July 2019, Hong Kong Securities Clearing Company Limited (“HKSCC”) invites participants of The Stock Exchange of Hong Kong Limited (“Participants”) to apply for approval as HKSCC’s Authorized Brokers (“ABs”). Participants can refer to the above circular for information on the selection criteria and conditions of services required from ABs.
2. Participants who are interested to apply are reminded to complete the attached AB application form for submission in a sealed envelope marked as “Application to become Authorized Broker for HKSCC” for the attention of the Clearing Operations, Hong Kong Exchanges and Clearing Limited. An existing AB who is interested may apply for reappointment. All submissions must be deposited into the collection box located at 8/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong no later than 12:00 noon on 12 August 2019. Late submissions will not be accepted.

Hector Lau
Managing Director
Clearing Operations

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Application to become Authorized Broker for HKSCC

1. Participant's particulars

Participant ID : _____ Central Entity No.: _____
Participant Name : _____
Contact Persons : I. _____ II. _____
Title : I. _____ II. _____
Tel. No. : I. _____ II. _____

2. Preferred Services for Buy-in Transactions (please tick as appropriate)

- ☐ Ability to execute Buy-in Transactions for Eligible Securities including China Connect Securities;
- ☐ Ability to provide electronic order placement and confirmation;
- ☐ Ability to execute Buy-in Transactions by volume weighted average price ("VWAP") strategy

3. Commission

Our commission rate is _____ % for Exchange Trades and China Connect Securities Trades, if applicable

Minimum commission inclusive of all charges and in absolute amount, if any:
HK\$ _____ (Minimum commission for China Connect Securities Trades, if applicable, will be converted into RMB at an exchange rate stipulated by HKSCC)

4. Supporting documents to be provided by HKSCC to open stock trading account

5. Contact persons to accept orders from HKSCC

Contact Persons:	I. _____	II. _____
Title :	I. _____	II. _____
Tel. No. :	I. _____	II. _____
Fax. No. :	I. _____	II. _____
Email :	I. _____	II. _____

6. We confirm that the information provided in this application related to us is complete, true and correct. We also understand and will meet HKSCC standard terms and conditions of services including those set out in Appendix 1 if we are appointed as the Authorized Broker for HKSCC.

Authorized Signature
(with Company Chop ONLY applicable if it forms part of your signing instruction)

Date Signed