

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 acting as Authorized Brokers of Hong Kong Securities Clearing Company Limited – Reminder

Enquiry: Hotline: 2979 7111 / E-mail: [clearingps@hkex.com.hk](mailto:clearingps@hkex.com.hk)

1. Reference is made to the HKEX circular (Ref. No.: [CD/CDCO/CAS/001/2022](#)) issued on 30 September 2022, Hong Kong Securities Clearing Company Limited (“HKSCC”) invites participants of The Stock Exchange of Hong Kong Limited (“Participants”) to apply for 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 Clearing & Depository, 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 03 November 2022. Late submissions will not be accepted.

Hector Lau  
Head of Clearing & Depository  
Operations Division

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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:

HKD \_\_\_\_\_ for Exchange Trades

RMB \_\_\_\_\_ for China Connect Securities Trades

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

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5. Contact persons to accept orders from HKSCC

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| 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