

表格 23 – (1)委任 / 終止全面結算參與者結算及交收結算機構的交易; 及(2) 指定 / 取消指定
全面結算參與者為交易所買賣結算及交收之附加的經紀代號

(適用於委任 / 終止多名全面結算參與者)

Form 23 – Application Form for (1) the appointment / termination of a GCP for the clearing and settlement of Clearing Agency Transactions; and (2) the designation / removal of designation of the set(s) of broker numbers to be attached to Exchange Trades to be cleared and settled by a GCP
(Applicable to the Appointment / Termination of Multiple Clearers)

參與者類別

Type of Participant

| | | | | |
|--------------------------|--|---|-----------------------------|--|
| <input type="checkbox"/> | 香港結算全面結算參與者名稱: Name of General Clearing Participant of Hong Kong Securities Clearing Company Limited (“HKSCC”): | 中文 (in Chinese) 英文 (in English) (此後稱為「全面結算參與者」) (hereinafter referred to as the “GCP”) | | |
| | 參與者代號 (如適用): Participant ID (if applicable) : | | | |
| | 聯絡人名稱: Name of Contact Person : | | 職銜: Position : | |
| | 電郵地址: Email Address : | | 電話號碼: Telephone Number : | |
| <input type="checkbox"/> | 交易所參與者 / 非結算參與者名稱: Name of Exchange Participant / Non-Clearing Participant : | 中文 (in Chinese) 英文 (in English) (此後稱為「非結算參與者」) (hereinafter referred to as the Non-Clearing Participant “NCP”) | | |
| | 參與者代號 (如適用): Participant ID (if applicable) : | | | |
| | 聯絡人名稱: Name of Contact Person : | | 職銜: Position : | |
| | 電郵地址: Email Address : | | 電話號碼: Telephone Number : | |

(請在適當之方格內加上“✓”號) (please tick the appropriate box)

注意事項：
Notes：

1. 除非另有定義或本文另有要求，本表格中使用的術語應具有與聯交所和香港結算相關規則、規定和程序中所賦予的相同含義。

Unless otherwise defined or the context otherwise requires, terms used in this Form shall have the same meanings ascribed to them in the relevant rules, regulations and procedures of SEHK and HKSCC.

2. 此表格應由非結算參與者及與其簽訂結算協議的全面結算參與者共同提交，以尋求聯交所及香港結算批准(1) 委任 / 終止全面結算參與者結算及交收結算機構的交易；及(2) 指定 / 取消指定全面結算參與者為交易所買賣結算及交收之附加的經紀代號。

This Form should be jointly submitted by an NCP and a GCP with which the NCP has entered into a Clearing Agreement, to seek the approval of the SEHK and HKSCC of (1) the appointment or termination of the GCP for the clearing and settlement of Clearing Agency Transactions of the NCP, or (2) the designation or removal of designation of the set(s) of broker numbers to be attached to Exchange Trades to be cleared and settled by the GCP.

3. 當聯交所及香港結算批准取消由全面結算參與者對指定經紀代號的交易所買賣進行結算及結算後，該組經紀代號將暫停使用，直至經紀代號被指定予另一非結算參與者簽訂結算協議的全面結算參與者為止。非結算參與者不應使用被暫停的經紀代號來進行交易所買賣。

Upon the approval by SEHK and HKSCC of the removal of designation of a set of broker numbers to be attached to Exchange Trades to be cleared and settled by a GCP, the set of broker numbers will be suspended until it is designated to another GCP with which the NCP has entered into a Clearing Agreement. The NCP should not use the set of suspended broker numbers to execute Exchange Trades.

4. 請完成表格內的所有問題及不要留有空格，如有任何問題是不適用，請填寫「不適用」。

Please answer all the questions stated in this Form and do not leave any questions blank. If any question is not applicable, please state "N.A.".

5. 請將此表格於擬生效日期前至少五個工作天電郵或傳真至香港交易及結算所有限公司交易部(電郵地址：OTPC@hkex.com.hk / 傳真號碼：2521-7899)，然後致電 2840-3626 確認已遞交。

Please submit this Form to the Trading Department of Hong Kong Exchanges and Clearing Limited by email to OTPC@hkex.com.hk or by fax at 2521-7899 followed by telephone call at 2840-3626 to confirm submission at least five business days before the intended effective date.

A. 申請事項 (請在下列適當之方格內加上‘✓’號及填妥相關部份，以註明所需通知) Application details
(please tick the appropriate box and fill the relevant section below)

1. 委任 / 終止香港結算全面結算參與者為結算機構的交易進行結算及交收

Appointment / Termination of the GCP of HKSCC to clear and settle Clearing Agency Transactions of the NCP

☐ 委任 – 擬生效日期:

Appointment – Intended Effective Date: _____

☐ 終止 – 擬生效日期:

Termination – Intended Effective Date: _____

2. 指定 / 取消指定全面結算參與者為交易所買賣結算及交收之附加的經紀代號

Designation / removal of designation of the set(s) of broker numbers to be attached to Exchange Trades to be cleared and settled by the GCP of HKSCC

☐ 指定經紀代號

Designation of broker number(s)

| 經紀代號 Broker Number(s) | | | | | | | | 擬生效日期 Intended Effective Date |
|-----------------------|--|--|--|--|--|--|--|-------------------------------------|
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☐ 取消指定經紀代號

Removal of designation of the set(s) of broker numbers

| 經紀代號 Broker Number(s) | | | | | | | | 擬生效日期 Intended Effective Date |
|-----------------------|--|--|--|--|--|--|--|-------------------------------------|
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B. 全面結算參與者聲明

Declaration by the GCP

本公司，

We,

全面結算參與者名稱
(Name of GCP)

致： 香港中央結算有限公司

To: Hong Kong Securities Clearing Company Limited

聲明 : Declaration:

1. **聲明**在此表格內所提供的資料，全屬完整、真實及正確，同時，本公司並沒有因任何陳述或遺漏而導致該等資料有任何不真實或誤導的成分；
declare that the information provided in this Form relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
2. **承諾**若此表格內所提供之資料有任何變更，本公司當立刻通知香港結算；
undertake to notify HKSCC immediately of any changes in the information given in this Form;
3. **明白**如本公司在此表格內作出任何虛假或錯誤引導之通知，香港結算會對本公司採取紀律處分；
understand that HKSCC may take disciplinary proceedings against us for making any false or misleading representation in relation to our notification under this Form;
4. **承諾**本公司會遵守所有適用於香港結算不時生效之規則、規例及程序，及香港結算對全面結算參與者就有關結算不時作出的其他指令，並**同意**在任何不遵守之情況下接受紀律處分；及
undertake to comply with the rules, regulations and procedures of HKSCC from time to time in force, and any other directives from time to time issued by HKSCC relating to clearing by general clearing participants; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
5. **同意**香港結算及作為香港結算控制人的認可控制人又或任何作為香港結算控制人的認可控制人為其控制人的公司，可將本公司的有關資料透露予證監會、其他交易所及監管機構（不論於香港境內或境外）。
consent that HKSCC and any recognized exchange controller which is the controller of HKSCC or any company of which a recognized exchange controller which is the controller of HKSCC is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

香港結算全面結算參與
者簽署¹

Signature of
the General Clearing
Participant of HKSCC¹

日期
Date

(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)

(with company chop, ONLY applicable if it forms part of your signing instruction)

簽署人姓名

Name of Signatory

職銜

Position

¹ 必須由全面結算參與者的授權簽署人仕簽署。

The signatory shall be Authorised Signatories of the GCP.

C. 交易所參與者 / 非結算參與者聲明

Declaration by the Exchange Participant/ NCP

本公司，

We,

交易所參與者 / 非結算參與者名稱
(Name of Exchange Participant/ NCP)

致： 香港聯合交易所有限公司及/或香港中央結算有限公司

To: *The Stock Exchange of Hong Kong Limited and/or Hong Kong Securities Clearing Company Limited*

聲明 : Declaration:

1. **聲明**在此表格內所提供的資料，全屬完整、真實及正確，同時，本公司並沒有因任何陳述或遺漏而導致該等資料有任何不真確或誤導的成份；
declare that the information provided in this Form relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
2. **承諾**若此表格內所提供之資料有任何變更，本公司當立刻通知聯交所；
undertake to notify SEHK immediately of any changes in the information given in this Form;
3. **明白**如本公司在此表格內作出任何虛假或錯誤引導之通知，聯交所會對本公司採取紀律處分；
understand that SEHK may take disciplinary proceedings against us for making any false or misleading representation in relation to our notification under this Form;
4. **同意**聯交所、香港結算及作為聯交所、香港結算控制人的認可控制人又或任何作為聯交所、香港結算控制人的認可控制人為其控制人的公司，可將本公司的有關資料透露予證監會、其他交易所及監管機構（不論於香港境內或境外）。
consent that SEHK, HKSCC and any recognized exchange controller which is the controller of SEHK, HKSCC or any company of which a recognized exchange controller which is the controller of SEHK, HKSCC is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

聯交所參與者簽署²

Signature of
the Exchange
Participant of
SEHK²

日期
Date

(連同公司簽署印章 with Company Chop)

簽署人姓名
Name of Signatory

職銜
Position

負責人員
Responsible
Officer

² 必須由交易所參與者之負責人員簽署。

The signatory shall be a Responsible Officer of the Exchange Participant.