

**The Stock Exchange of Hong Kong Limited**  
*(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)*

**Confirmation of Completion of RMB Readiness Test  
and Readiness for Dealing in RMB Securities**

All Exchange Participants (EPs) are required to complete and return this Confirmation to the Trading Division of HKE<sub>x</sub> **before 6:00pm on 21 March 2011 (Monday)** by fax to 2521-7899 or 2868-5223. Inquiries regarding this form may be directed to our hotline at 2840-3626.

Participant Information (fill in the spaces as required)		
Participant Name	Firm ID	
Contact Person for Trading	Phone No.	Email Address
Contact Person for Clearing	Phone No.	Email Address

A. Completion of RMB Readiness Test (check appropriate boxes below)
1. <input type="checkbox"/> We have participated in and successfully completed the RMB Readiness Test <i><b>which covered (i) the trading simulation test, (ii) clearing simulation test (including EIPO subscription and clearing activities in CCASS), and (iii) the Payment Pilot Run</b></i>
2. <input type="checkbox"/> We did <b><u>NOT</u></b> complete the RMB Readiness Test due to the following reason(s): <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <p style="color: blue; margin-top: 10px;"><i>Notes - EPs who fail to complete the RMB Readiness Test should refrain from dealing in RMB securities to be listed on the SEHK or clearing transactions in such securities</i></p>
3. <input type="checkbox"/> We have <b><u>NOT</u></b> participated in the RMB Readiness Test <div style="margin-left: 40px;"> <input type="checkbox"/> as we do not intend to trade RMB securities  <input type="checkbox"/> for other reason(s) (please specify: _____)         </div> <p style="color: blue; margin-top: 10px;"><i>Notes - EPs who do not participate in the RMB Readiness Test should refrain from dealing in RMB securities to be listed on the SEHK or clearing transactions in such securities</i></p>

Participant Name : \_\_\_\_\_ Firm ID : \_\_\_\_\_

**B. Readiness for Dealing in RMB Securities** (check appropriate boxes below)

1. ☐ We confirm that all of our relevant front office systems, back office systems, and operational procedures (including internal processes, control procedures and documentation) are ready for dealing in RMB securities

*Notes - EPs must ensure due and proper preparation in respect of all requirements set out in SEHK circulars (Ref: CMD/TMO/007/11 and CMD/TMO/008/11) and HKSCC circular (Ref: CD/CCO/CCASS/033/2011), including setup of RMB Designated Bank account in CCASS, have been achieved before confirming they are being ready for dealing in RMB securities*

2. ☐ Our systems and/or operational procedures are **NOT** ready for dealing in RMB

☐ as we do not intend to trade RMB securities

☐ for other reason(s) (please specify: \_\_\_\_\_)

*Notes - EPs who fail to ensure their readiness should refrain from dealing in RMB securities to be listed on the SEHK or clearing transactions in such securities*

**C. Setup of RMB Designated Bank Account in CCASS** (check either one of the two boxes below)

1. ☐ We have set up our RMB Designated Bank account in CCASS, or appointed a General Clearing Participant to handle the clearing and settlement activities of our trades

2. ☐ We have **NOT** set up any RMB Designated Bank account in CCASS, **NOR** appointed any General Clearing Participant to handle the clearing and settlement activities of our trades

(please specify reason(s): \_\_\_\_\_)

*Notes - EPs with no RMB Designated Bank account in CCASS nor appointed any General Clearing Participant to handle the clearing and settlement activities of their trades would be considered as not ready for dealing in RMB securities.*

**D. Authorization for Disclosure of Information** (check the box below where applicable)

- ☐ We authorize HKEx and its subsidiaries to publish our confirmation information as indicated in Section A.1, B.1 and C.1 above on its website or via other channels for public information.

Signature of Responsible Officer with Company Chop : \_\_\_\_\_ Date : \_\_\_\_\_

Name of Responsible Officer : \_\_\_\_\_