

注意事項：

Notes :

- 於填寫此表格時，請細閱在此文件上提供的所有資料。
Please read carefully all the information provided in this document before completion of the application.
- 請將此表格傳真至 2521-7899 或郵遞至香港交易及結算所有限公司（「香港交易所」）現貨交易參與者服務，地址為香港中環康樂廣場八號交易廣場二期六樓。
Please submit this Form to Participant Services, Cash Trading of Hong Kong Exchanges and Clearing Limited ("HKEX") by fax to 2521-7899 or mail to 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.
- 如有任何查詢，請致電 2840-3626 與香港交易所 – 參與者服務聯絡。
For enquiry, please contact HKEX – Participant Services at 2840-3626.

申請 / 通知類別【請於下列適當之方格內加上 '✓' 號】

Type of Application / Notification (Please tick the appropriate box(es) below)

- 申請補發 / 補替參與者證明書 (請填妥第一、第二及第五部份)
Application for Replacement / Duplicate Participant Certificate (Please complete Parts I, II and V)
- 交易所參與者暫停 / 停止營業通知 (請填妥第一、第三及第五部份)
Notification of Suspension / Cessation of Trading of Exchange Participant (Please complete Parts I, III and V)
- 交易權持有人資料更改通知 (請填妥第一、第四及第五部份)
Notification of Change of Particulars of Trading Right Holder (Please complete Parts I, IV and V)

第一部份 – 交易所參與者 / 交易權持有人資料

Part I – Exchange Participant / Trading Right Holder Information

交易權持有人 / 交易所參與者名稱 Name of Exchange Participant / Trading Right Holder	中文 (in Chinese)		
	英文 (in English)		
此申請 / 通知之聯絡人資料 Information of the Contact Person for the Application / Notification			
姓名 Name		電話號碼 Telephone Number	
電郵地址 Email Address		傳真號碼 Fax Number	

第二部份 – 申請補發 / 補替證明書 【請於下列適當之方格內加上 '✓' 號】

Part II – Application for Replacement / Duplicate Certificate(s) (Please tick the appropriate box(es) below)

所須申請的補發 / 補替證明書 Replacement / Duplicate Certificate(s) applying for		
<input type="checkbox"/> 聯交所參與者證明書 SEHK Participant Certificate	<input type="checkbox"/> 期交所參與者證明書 HKFE Participant Certificate	<input type="checkbox"/> 期貨結算所參與者證明書 HKCC Participant Certificate
申請原因 Reason(s) for application		
<input type="checkbox"/> 更改交易所參與者名稱 Change of name of Exchange Participant 中文 (In Chinese) _____ 英文 (In English) _____		
<input type="checkbox"/> 遺失證明書 Loss of Certificate ¹	證明書號碼 Certificate Number : _____	
<input type="checkbox"/> 損毀證明書 Defacement of Certificate ²	證明書號碼 Certificate Number : _____	
注意 ¹ 聯交所參與者若無法退回有關證明書，須繳付在報章上所刊登遺失啟事的費用。 Notes SEHK Participant is responsible for the cost of publishing a Loss Notice in newspaper. ² 申請人須將損毀證明書退回香港交易所予以註銷。 The applicant must return the defaced Certificate to HKEX for cancellation.		

第三部份 – 交易所參與者暫停 / 停止營業通知

Part III – Notification of Suspension / Cessation of Trading of Exchange Participant

通知詳情 (請於適當之方格內加上 '✓' 號，並填寫下列部份) Notification Details (Please tick and complete the appropriate box below)			
<input type="checkbox"/> 暫停營業 Suspension of Trading and the use of China Connect Service, if applicable		<input type="checkbox"/> 停止營業 Cessation of Trading	
生效日期 Effective Date		原因 Reason	

第四部份 – 通知更改交易權持有人的地址及聯絡資料

Part IV – Notification of Change of Address and Contact Details of Trading Right Holder

新通訊地址 New Correspondence Address	中文 (in Chinese)		
	英文 (in English)		
新電話號碼 New Telephone		新流動電話 New Mobile Phone	
新傳真號碼 New Fax Number		新電郵地址 New Email Address	

第五部份 – 交易所參與者 / 交易權持有人聲明

Part V – Declaration by the Exchange Participant / Trading Right Holder

本人 / 本公司,
I / We,

交易所參與者 / 交易權持有人名稱
Name of Exchange Participant / Trading Right Holder

1. **同意**按此表格所述的私隱政策聲明處理個人資料；
consent to the processing of personal data in accordance with the Privacy Policy Statement included in this form;
2. **聲明**本公司已審閱載於此表格之資料，並相信所載之資料是完整、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 is complete, true and correct and that we have not made or omitted to make any statements or omissions which would render such information untrue or misleading;
3. **承諾**本公司所提供於通知 / 申請的資料（包括載於申請文件的資料）有任何變更，本公司當立刻通知期交所、聯交所或期貨結算公司（視屬何情況而定）；
undertake that we shall notify HKFE, SEHK or HKCC, as the case may be, immediately of any changes in the information given in this notification / application (including all the supporting documents);
4. **同意**期交所、聯交所、期貨結算公司及作為期交所、聯交所及期貨結算公司控制人的認可控制人又或任何作為期交所、聯交所及期貨結算公司控制人的認可控制人為其控制人的公司可透露有關本公司的資料予證監會、其他交易所及監管機構（不論於香港境內或境外）；
consent that HKFE, SEHK, HKCC and any recognized exchange controller which is the controller of HKFE, SEHK and HKCC or any company of which a recognized exchange controller which is controller of HKFE, SEHK and HKCC is a controller may disclose information relating to us to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong);
5. **承諾**本公司若無法退回有關聯交所參與者證明書，本公司會繳付在報章上所刊登遺失啟事之相關費用（如適用）；
undertake that we shall pay the relevant cost for publishing a Loss Notice in newspaper in respect of the Loss of Exchange Participant Certificate of SEHK, if applicable; and
6. **承諾**本公司若日後尋回遺失之參與者證明書，將退回予香港交易所。
undertake that we shall return the lost Participant Certificate to HKEX once the same is found.

交易所參與者 /
交易權持有人簽署*
Signature of the
Exchange Participant /
Trading Right Holder*

日期
Date

連同公司印章
with Company Chop

簽署人姓名
Name of Signatory

職銜
Position

* 必須經由交易所參與者之負責人員或經由董事會授權之人士簽署。

The signatory shall be a Responsible Officer or a person duly authorized by the board of the Exchange Participant.

Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

Session Cookies: temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

Persistent Cookies: cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link

<https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

Contact us

By Post:
Personal Data Privacy Officer
Hong Kong Exchanges and Clearing Limited
8/F, Two Exchange Square
8 Connaught Place
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK