

交易所買賣基金莊家  
超逾持倉限額申請表

**Excess Position Limit Application for ETF Market Makers**

聯交所參與者 Name of SEHK Exchange Participant	中文 (in Chinese)
	英文 (in English)

**注意事項：**

**Notes：**

1. 追蹤恒生指數（「恒指」）及恒生中國企業指數（「H 股指數」）的交易所買賣基金（「ETF」），其莊家可就追蹤相關指數的聯交所或期交所產品持倉申請超逾限額。  
ETF Market Makers of ETFs tracking Hang Seng Index (“HSI”) and Hang Seng China Enterprises Index (“HHI”) may apply for excess position limit of SEHK or HKFE products with corresponding underlying.
2. 請回答所有表格內的問題及不要留空問題的答案部份。如問題不適用，請填寫「不適用」。填妥申請表後，請加以簽署。此表格可用機印或正楷填寫。  
Please answer all the questions stated in the Form and do not leave any answers blank. If any question is not applicable, please state "N.A.". Upon completion, please sign on the Form. The Form may be typewritten or legibly handwritten.
3. 在回答問題時，如空位不敷應用，可另紙作答，請在紙上註明問題之編號，並在旁簽署。  
If there is insufficient space to answer, please continue on a separate sheet, specify the question to which the sheet relates and sign on it.
4. 請將此申請遞交予香港交易及結算所有限公司衍生產品交易部，郵遞至香港中環康樂廣場八號交易廣場二期六樓或電郵至 [clicksupport@hkex.com.hk](mailto:clicksupport@hkex.com.hk)。如有任何疑問，請電郵至 [clicksupport@hkex.com.hk](mailto:clicksupport@hkex.com.hk) 或致電 HKATS 熱線 2211-6360。  
Please submit the application to Derivatives Trading of Hong Kong Exchanges and Clearing Limited at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong or [clicksupport@hkex.com.hk](mailto:clicksupport@hkex.com.hk). Should you have any enquiries, please email [clicksupport@hkex.com.hk](mailto:clicksupport@hkex.com.hk) or contact HKATS Hotline at 2211-6360.

**A. 申請資料**  
**Particulars of the Application**

第一部分：申請超逾持倉限額  
 Section 1：Application for excess position limit

本公司謹此就以下產品持倉申請超逾限額：-  
 We hereby apply for excess position limit for the following product(s):-

ETF 莊家執照相關的 ETF 名稱 Name of ETF for the relevant ETF Market Maker Permit	AMS 股票代號 AMS Stock Code	ETF 相關指數 Underlying of ETF	申請超逾持倉限額 產品名稱 Name of Products Applying for Excess Position Limit	HKATS 代號 HKATS Code	所申請超逾限額 (合約張數/ 持倉對沖值) Excess Position Limit Requested (No. of contracts / position delta)	新設/增設/重續 限額 (屆滿日期) <sup>1</sup> New / Additional Increase / Renewal (Expiry Date) <sup>1</sup>

**1.1 詳述申請上列超逾持倉限額的理由：**

**Describe the rationale for applying the excess position limit requested:**

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**1.2 詳述內部監控措施及監察程序，以確保超逾限額僅為對沖交易所買賣基金莊家活動之用，及防止並偵測任何可能不恰當使用甚至濫用超逾限額的情況：**

**Describe the internal control measures and monitoring process to ensure the excess positions are solely for hedging the ETF market making activities and to prevent and detect potential misuse or abuse of the excess positions:**

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<sup>1</sup> 如要增設或重續限額，請列明原訂的屆滿日期。

For additional increase and renewal, please state the original expiry date.

**1.3 詳述風險管理政策及程序，以監察及解決有關超逾限額的主要風險：**

**Describe the risk management policies and procedures to monitor and address the key risks connected with the excess position:**

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**1.4 買賣超額持倉的香港期貨交易所（「期交所」）／香港聯合交易所（「聯交所」）期權買賣交易所參與者：  
Hong Kong Futures Exchange (“HKFE”) / Stock Exchange of Hong Kong (“SEHK”) Options Trading Exchange Participant facilitating transactions of the excess positions:**

名稱 Name			
HKATS 代號 HKATS Customer Code			
聯絡人 Contact Person		電話號碼 Telephone Number	
電郵地址 Email Address			

**1.5 代為持有超額持倉的期貨結算公司／聯交所期權結算所結算參與者：**

**HKFE Clearing Corporation (“HKCC”) / SEHK Options Clearing House (“SEOCH”) Clearing Participant(s) where the excess positions will be maintained:**

名稱 Name			
DCASS 用戶編號 DCASS Customer Code			
聯絡人 Contact Person		電話號碼 Telephone Number	
電郵地址 Email Address			

**1.6 超額持倉的持倉實體：**

**Booking entity of the excess positions requested:**

名稱 Name			
	交易所參與者 <input type="checkbox"/> Exchange Participant	莊家聯屬公司 <input type="checkbox"/> Market Maker Affiliate	特許證券商 <input type="checkbox"/> Designated Specialist

第二部分：其他資料（所申請的超逾限額（不包括股票期權）達到規定上限（包括此前授出的超逾限額）50%以上的申請人適用）

Section 2: Additional information (to be completed by applicants with excess position limit (excluding stock options) request over 50% of the prescribed limit, previously granted excess position limit inclusive)

**2.1 就所申請的超逾限額，詳述所對沖的相關風險（證券類別／數量、持股目的）：**

*（請提供佐證。如有需要，可另紙作答）*

**In respect of the excess position limit currently requested, describe the underlying exposure being hedged (type / quantity of securities, purpose of holding):**

*(Please attach supporting evidence. Use additional pages if necessary)*

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**2.2 就所申請的超逾限額，所對沖的相關風險總值：**

*（請註明計價貨幣的名義價值及其港元等值）*

**In respect of the excess position limit currently requested, specify the total value of the underlying exposure being hedged: \_\_\_\_\_**

*(Please specify notional amount in currency of denomination and in HKD equivalent)*

**2.3 就所申請的超逾限額，註明相關風險任何既有對沖狀況：**

*（請提供佐證）*

**In respect of the excess position limit currently requested, specify any existing hedging positions in respect of the underlying exposure:**

*(Please attach supporting evidence)*

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**2.4 詳述實施所申請超逾限額的計劃：**

**Describe the execution plan for the excess position limit requested:**

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市場影響評估：    輕微    中等    嚴重  
 Assessment of market impact:                     Minimal                                     Moderate                                     Severe

*\* 要釐定實施計劃對市場的影響，須考慮以下各項：a. 相關期貨及期權的市場平均每日成交量；b. 計劃的每日使用量；及 c. 實施渠道。*

*\* In determining the market impact of execution plan, considerations should be given to: a. market average daily volume (“ADV”) of the futures and options in question; b. daily planned execution volume; and c. the execution channel.*

評估理據：

Rationale for assessment: \_\_\_\_\_

**2.5 詳述所申請的超逾限額的平倉計劃：**

**Describe the unwinding plan for the excess position limit requested:**

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市場影響評估：    輕微    中等    嚴重  
 Assessment of market impact:                     Minimal                                     Moderate                                     Severe

*\* 要釐定平倉計劃對市場的影響，須考慮以下各項：a. 相關期貨及期權的市場平均每日成交量；b. 計劃的每日使用量；及 c. 實施渠道。*

*\* In determining the market impact of unwinding plan, considerations should be given to: a. market average daily volume (“ADV”) of the futures and options in question; b. daily planned execution volume; and c. the execution channel.*

評估理據：

Rationale for assessment: \_\_\_\_\_

**B. 此申請之聯絡人資料**

**Information of the Contact Person for the Application**

姓名 Name	
電話號碼 Telephone Number	
電郵地址 Email Address	

## C. 申報責任 Reporting Obligation

第一部分：一般申報責任（所有獲准超逾限額的申請人適用）

Section 1: General reporting obligation (for all applicants who are granted excess position limit)

- 申請人應在相關季度結束後兩星期內提交季度報告，確定超逾限額及法定使用量以及期貨及期權持倉與ETF莊家組合的百分比，以證明其超逾限額的使用量。

The applicants to evidence the use of their excess position limit by submitting quarterly reports within two weeks after the end of the relevant quarter confirming the amount of position limit used (both excess and statutory) and the futures and options positions as a percentage relative to the ETF market making portfolio established.

- 如所申報的限額超出相關風險，申請人或須在指定時限內作出調整。如未能在指定時限內作出調整又或調整後仍未達到規定，本所或會採取措施，例如口頭警告、書面警告、限制增設新持倉、命令申請人在指定時限內平倉、斬倉、調整甚至取消已批准的超逾限額。

In the case that the reported positions of an applicant exceed the corresponding underlying exposures, the applicants may be required to adjust within a specified time limit. If the applicant fails to adjust within the specified time limit or still does not meet the requirement after the adjustment, measures such as cautionary conversations, written warnings, restriction of opening new positions, ordering close-out of positions within a specified time limit, forced liquidation, adjustment or cancellation of the granted excess position limit may be taken.

第二部分：額外申報責任（所申請的超逾限額（不包括股票期權）達到既定上限（包括此前授出的超逾限額）50%以上的申請人適用）

Section 2: Additional reporting obligation (for applicants with excess position limit (excluding stock options) request over 50% of the prescribed limit, previously granted excess position limit inclusive)

- 獲准超逾限額的申請人須提供以下資料：

Applicants with excess position limit granted shall provide the following information:

*日報表：*

*Daily returns:*

- 所獲准超逾及法定限額的使用量及所對沖風險的名義金額；  
Usage of granted excess and statutory position limit and notional amount of exposures being hedged;

*月報表：*

*Monthly returns:*

- 所對沖風險的詳情（例如：若有需要，詳述所對沖風險組合的分布詳情）；  
Details of exposures being hedged. (e.g. detailed breakdown of aggregate portfolio of exposures being hedged, if deemed necessary);

*特別要求時提供：*

*Ad hoc on request:*

- 有關所對沖風險的最新佐證（如有需要）；及  
Updated supporting documents relating to the exposures being hedged, if deemed necessary; and
  - 任何其他視為必要者。  
Anything else deemed necessary.
- 如所申報的限額超出相關風險，申請人或須在指定時限內作出調整。如未能在指定時限內作出調整又或調整後仍未達到規定，本所或會採取措施，例如口頭警告、書面警告、限制增設新持倉、命令申請人在指定時限內平倉、斬倉、調整甚至取消已批准的超逾限額。

In the case that the reported positions of an applicant exceed the corresponding underlying exposures, the applicants may be required to adjust within a specified time limit. If the applicant fails to adjust within the specified time limit or still does not meet the requirement after the adjustment, measures such as cautionary conversations, written warnings, restriction of opening new positions, ordering close-out of

positions within a specified time limit, forced liquidation, adjustment or cancellation of the granted excess position limit may be taken.

- 申請人如在建立倉位/平倉的過程中偏離原定計劃而未能提供合理理由，其獲批准的超逾限額或被取消。行動會被視作違反持倉限額處理，有關申請人或面臨紀律行動。本所或會命令申請人將有關持倉平倉。

Deviation from the plan in building/ unwinding positions without reasonable cause would be subject to cancellation of the excess position limit granted. Such action could be seen as a breach of the position limit and applicant might be subject to disciplinary action. Applicants may be ordered to unwind the position in consideration.

#### D. 獲批准超逾限額續期 Renewal of Granted Excess Position Limit

- 申請人如有意在獲批准的超逾限額屆滿後繼續進行對沖，應在有關超逾限額屆滿前最少十個營業日申請續期。

Applicants shall apply for renewal of the excess position limit at least ten business days before the expiry of the granted excess position limit, should they wish to continue their hedging activities after the expiry of the granted excess position limit.

#### E. 聯交所參與者聲明 Declaration by the SEHK Exchange Participant

本公司,  
We,

\_\_\_\_\_  
聯交所參與者名稱  
Name of SEHK Exchange Participant

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. 聲明載於此申請的資料（包括載於申請文件的資料）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 application (including all the information stated in the supporting documents) is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
3. 承諾若此申請所提供之資料有任何變更，本公司當立刻通知聯交所；  
**undertake** that we shall notify SEHK immediately of any changes in the information given in this application;
4. 明白聯交所會對有關申請作出虛假或錯誤引導聲明之交易所參與者採取紀律處分；  
**understand** that SEHK may take disciplinary proceedings against an Exchange Participant which has made a false or misleading representation in relation to its application;
5. 承諾本公司會遵守所有適用於聯交所及/或期交所不時生效之規則、規例及程序，及符合聯交所及/或期交所有關申請批核信件內之條件及其他不時作出的指令，並同意在任何不遵守之情況下接受紀律處分；  
**undertake** that we shall comply with all applicable rules, regulation and procedures of SEHK and/or HKFE from time to time in force, the conditions stated in the letter of approval and any other directives from time to time made by SEHK and/or HKFE; and **agree** that any non-compliance shall render us liable to disciplinary proceedings;
6. 同意聯交所及/或期交所及作為聯交所及/或期交所控制人的認可控制人又或任何作為聯交所及/或期交所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 SEHK and/or HKFE and any recognized exchange controller which is the controller of SEHK and/or HKFE or any company of which a recognized exchange controller which is controller of SEHK and/or HKFE is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong);
7. 同意聯交所及/或期交所可隨時修訂或取消已批准的超逾限額；  
**consent** that SEHK and/or HKFE may modify or revoke the excess position limit granted at any time;

8. 同意有秩序地建立倉位及平倉；  
**agree** to initiate and liquidate positions in an orderly manner;
9. 聲明超額的持倉就既定限額及相關期貨合約或股票期權的流通量而言，均不會影響投資大眾的利益；  
**declare** that the excess positions would not be prejudicial to the interest of the investing public having regard to the prescribed limit and the liquidity of the futures contract or stock options contract in question;
10. 聲明本公司的財政能力足以應付任何經批准的超額持倉引起的潛在風險；  
**declare** that we have adequate financial capability to cover the potential risks arising from any authorized excess position;
11. 聲明本公司設有有效的內部監控程序及風險管理系統管理該等風險；及  
**declare** that we have effective internal control procedures and risk management systems to manage such risks; and
12. 同意如申請人在此表格蓄意提供錯誤資料，已獲批准的超逾限額即告失效，甚至可能構成違反相關的交易所規則及《證券及期貨條例》（包括潛在的刑事法律責任）。  
**consent** that knowingly misrepresentative information provided in this form would void any excess position limit granted and may constitute a breach of relevant Exchange rules and the SFO including potential criminal liability.

聯交所參與者簽署<sup>2</sup>

Signature of the SEHK  
Exchange Participant<sup>2</sup>

日期

Date

\_\_\_\_\_  
 連同公司印章  
 (with Company Chop)

簽署人姓名  
Name of Signatory

職銜  
Position

<sup>2</sup> 必須經由交易所參與者之負責人員或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 directors of the Exchange Participant.



## 私隱政策聲明

香港交易及結算所有限公司及其不時的附屬公司（統稱「本集團」）（在本私隱政策聲明中，各自稱為「香港交易所」、「我們」或「本集團成員公司」，視適用情況而定）明白根據香港法例第486章《個人資料（私隱）條例》（該「《條例》」）其在收集、持有、處理、使用及/或轉移個人資料方面的責任。個人資料的收集只限作合法且相關的用途，並會採取一切實際可行方法去確保我們持有的個人資料準確無誤。我們將根據本私隱政策聲明使用我們不時所收集閣下的個人資料。

我們定期檢討這項私隱政策聲明，並可能不時加以修訂或加入具體指示、政策及條款。本私隱政策聲明如有任何重要修訂，我們會通過閣下提供給我們的聯絡方式通知閣下，也會按該《條例》的規定，讓閣下可以透過屆時通知閣下的途徑選擇拒絕接收此類修訂通知。否則，關於通過香港交易所網站或其他方式而提供給我們的個人資料，閣下繼續使用香港交易所網站或繼續維持與我們的關係即被視為同意並接受此項私隱政策聲明（不時修訂）。

如對這項私隱政策聲明或我們如何使用閣下的個人資料有任何疑問，請通過下文「聯繫我們」所載的任何一個通訊渠道與我們聯繫。

我們會採取一切實際可行方法確保個人資料的安全，以及避免個人資料在未經授權或意外的情況下被取用、刪除或作其他用途。這包括在實物具體上、技術上及程序上的適當安全措施，確保只有經授權人士才能取用個人資料。

請注意：如閣下沒有向我們提供個人資料（或有關閣下代理人的個人資料），我們可能無法提供閣下要求的資訊、產品或服務，或無法處理閣下的要求、申請、訂購或登記，亦可能無法執行或履行監管職能（定義見下文）。

### 目的

我們或會為了以下目的而不時收集閣下的個人資料（包括但不限於閣下的姓名、郵寄地址、電話號碼、電郵地址、出生日期和登入名稱）：

1. 處理閣下的申請、訂購及登記使用我們的產品及服務；
2. 執行或履行香港交易所以及任何由其作為認可控制人的公司（定義見香港法例第571章《證券及期貨條例》）的職能（「監管職能」）；
3. 向閣下提供我們的產品和服務，以及與此相關的賬戶管理；
4. 進行研究和統計分析；
5. 處理閣下應聘香港交易所職位或工作的申請，以評估閣下是否為適合人選，並向閣下的前僱主進行相關的背景查證；及
6. 與上列任何一項有直接關聯的其他目的。

### 直接營銷

如閣下已經給予同意而其後並無撤回，我們也可能會使用閣下的姓名、郵寄地址、電話號碼和電郵地址，用以寄送宣傳資料，就香港交易所以及本集團其他成員公司的金融和資訊服務進行直接營銷活動。

如不希望收到我們的宣傳和直接營銷資料，或不希望收到某類宣傳和直接營銷資料，又或不在某種途徑收到此類材料，請通過下文「聯繫我們」所載的其中一種通訊渠道聯絡我們。為確保可以迅速處理閣下的要求，請提供閣下的全名、電郵地址、登入名稱及所訂閱產品及/或服務的詳情。

### 身份證號碼

我們也可能會根據適用法律或規例又或任何對我們有管轄權限的監管者的要求而收集並處理閣下的身份證號碼，另外亦可能因為需要識別閣下的身份而（在不抵觸該《條例》的前提下）收集並處理閣下的身份證號碼。

### 轉移 閣下的個人資料作直接營銷

除非閣下已經拒絕，否則我們可能會將閣下的姓名、郵寄地址、電話號碼和電郵地址轉交本集團其他成員公司，使其可向閣下寄送宣傳資料，就其金融和資訊服務進行直接營銷活動。

### 其他轉移個人資料的情況

為了以上一個或多於一個目的，閣下的個人資料可能會被：

1. 轉交予本集團其他成員公司，而使本集團（在香港或其他地方）的相關人員獲得閣下的個人資料；就此，閣下同意將閣下的個人資料轉離香港；
2. 提供予任何向香港交易所及/或本集團在香港或其他地方的其他成員提供行政、電訊、電腦、付款、追收欠款、資料處理或其他服務的代理、承辦商或第三方；及
3. 轉交予其他人士（收集資料時會通知閣下）。

我們如何使用 cookies

閣下通過香港交易所網站查閱我們的資訊或服務時，應當留意到網站有使用 cookies。Cookies 是指儲存在閣下瀏覽器內的資料檔。閣下進入香港交易所網站時，網站即在閣下瀏覽器內自動安裝並使用 cookies。香港交易所網站使用兩種 cookies。

**Session Cookies**：一種只在閣下瀏覽香港交易所網站期間留存於瀏覽器內的短暫性質 cookies，用處在於取得並儲存配置資訊及管理網站，包括「攜帶」資訊以隨閣下瀏覽網站的不同版頁，譬如以免閣下每到一個版頁也要重新輸入資訊。Session cookies 也會用來編備關於香港交易所網站使用的匿名統計資料。

**Persistent Cookies**：一種留存於瀏覽器內較長時間的 cookies，用以編備關於香港交易所網站使用的匿名統計資料，或追蹤和記錄使用者的習慣偏好。

香港交易所網站所用的 cookies 不包含個人資料。閣下可以更改瀏覽器或網路安全軟件中的設定，拒絕接受瀏覽器內的 cookies。不過，這樣或會令閣下不能使用或啟動香港交易所網站中的某些功能。

### 法律與法規的遵守

香港交易所及本集團其他成員公司或要為了遵守適用法律及規例，或遵守法院指令、傳票或其他法定程序（無論於香港或其他地方），或遵從政府機關、執法機構或類似機構（無論位於香港或其他地方）提出的要求，又或執行或履行監管職能，而必須保留、處理及/或披露閣下的個人資料。香港交易所及本集團其他成員公司或須披露閣下的個人資料，以履行與閣下的協議，或保護我們或我們僱員的權利、財產或安全，又或執行或履行監管職能。

### 公司重組

隨著我們持續發展業務，我們可能會重組集團架構或出現控制權易手或業務合併。在這些情況下，閣下的個人資料或會按這份私隱政策聲明或另一份將會通知閣下的私隱政策聲明而移交繼續運營我們業務或類似服務的第三方。此等第三方或在香港以外的地方，就此等收購或重組而使用閣下個人資料的地點也可能不在香港。

### 查閱及更正個人資料

根據該《條例》，閣下有權查閱我們是否持有閣下的個人資料，取得資料的備份及更正任何不準確資料，也可以要求我們通知閣下其持有資料的種類。如欲查閱有關資料，須使用個人資料私隱專員（「私隱專員」）指定的表格（可於私隱專員公署的官方網站下載）或經此連接

<https://www.pcpd.org.hk/english/publications/files/Diforme.pdf> 提出。

如欲查閱和更正個人資料，或查閱有關政策與常規以及我們所持有資料種類，應以書面及郵遞形式提出要求（見以下「聯繫我們」）。

我們或會因應閣下查閱資料要求而產生的行政及實際成本而收取合理的費用。

### 終止或取消

任何時候如果閣下在我們的賬戶或與我們的關係被取消或終止，我們會隨即在合理情況下盡快終止處理閣下的個人資料，但也可按合理需要而保留有關資料，合理的需要包括：資料歸檔；解決實際或潛在的爭議；遵守適用法律及規例；履行與閣下的任何協議；保障我們及我們僱員的權利、財產或安全；以及執行或履行我們的職能、義務及責任等。

### 一般資料

本私隱政策聲明中英文本如有差異，概以英文版為準。

### 聯繫我們

郵寄：  
香港中環港景街 1 號  
國際金融中心一期 12 樓  
香港交易及結算所有限公司  
個人資料隱私主任

電郵：[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)

## 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  
12/F., One International Finance Centre  
1 Harbour View Street  
Central  
Hong Kong

By Email:  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)