

更改結算公司參與者類別申請  
Application for Change of Participantship Category of HKSCC

中央結算參與者 Name of CCASS Participant	中文 (in Chinese)
	英文 (in English)

**注意事項：**

**Notes :**

- 提交此表格的申請人應通知證券及期貨事務監察委員會(“證監會”)的中介團體及投資產品部將其更改參與者類別的意向。  
The applicant should notify the Intermediaries & Investment Products Division of the Securities and Futures Commission (“SFC”) of its intention to change its participantship category.
- 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，請填上申請日期，並加以簽署。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 questions blank. If any question is not applicable, please state "N.A". Upon completion, please sign and date the Form. The Form may be typewritten or legibly handwritten.
- 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.
- 請將此表格遞交予香港交易及結算所有限公司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 the Form to Participant Services, Cash Trading of Hong Kong Exchanges and Clearing Limited at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

**A. 申請更改參與者類別**  
**Application for Change of Participantship Category**

請於下列適當的方格內加上“✓”號，以註明所需

Please tick the appropriate box below for the type of Category<sup>1</sup> of Participantship you wish to apply for:-

- |                          |  |
|--------------------------|--|
| <input type="checkbox"/> | 全面結算參與者<br>General Clearing Participant <sup>2</sup> |
| <input type="checkbox"/> | 直接結算參與者<br>Direct Clearing Participant <sup>2</sup>  |
| <input type="checkbox"/> | 託管商參與者<br>Custodian Participant                      |

<sup>1</sup> 只可更改成為其中一類參與者。  
Application may only be made for re-registration under one Participantship category.

<sup>2</sup> 如由託管商參與者更改成為直接結算參與者或全面結算參與者，申請人需提交“Authorisation to HKSCC on causing endorsements to be made on Instrument of Transfer as selling broker's agent”。  
Applicant is also required to submit the “Authorisation to HKSCC on causing endorsements to be made on Instrument of Transfer as selling broker's agent” when changing the Participantship from Custodian Participant to General Clearing Participant.

**B. 此申請之聯絡人資料**  
**Information of the Contact Person for this Application**

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

**C. 參與者聲明**  
**Declaration by the CCASS Participant**

本公司  
We,

\_\_\_\_\_  
中央結算參與者名稱  
(Name of CCASS Participant)

1. 聲明當此申請獲批核，本公司董事會已通過此申請及同意受制於香港中央結算有限公司(「結算公司」)的中央結算系統一般規則及中央結算系統運作程序規則的議案；  
**declare** that our board of directors has passed resolution(s) approving this application and agreeing to be bound by the General Rules of CCASS and CCASS Operational Procedures of Hong Kong Securities Clearing Company Limited (“HKSCC”) upon this application being approved;
2. 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;
3. 聲明在表格內所提供的資料，全屬真實及正確，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份；  
**declare** that the information provided in this application (including the information stated in the supporting documents) 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;
4. 承諾若此申請所提供之資料有任何變更，本公司當立刻通知結算公司；  
**undertake** that we shall notify HKSCC immediately of any changes in the information given in this application (including the information stated in the supporting documents);
5. 明白結算公司會對有關申請作出虛假或錯誤引導聲明之參與者採取紀律處分；  
**understand** that HKSCC may take disciplinary proceedings against a Participant which has made a false or misleading representation in relation to its application for participantship;
6. 承諾本公司會遵守所有適用於結算公司不時生效之規則、規例及程序，及符合結算公司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；及  
**undertake** that we shall comply with all applicable rules, regulations and procedures of HKSCC from time to time in force, the conditions stated in the letter of approval and any other directives from time to time made by HKSCC; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
7. 同意結算公司及作為結算公司控制人的認可控制人又或任何作為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 HKSCC and any recognized exchange controller which is the controller of HKSCC or any company of which a recognized exchange controller which is controller of HKSCC is a controller may disclose information relating to us to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

中央結算參與者簽署  
Signature of the  
CCASS Participant

日期  
Date

\_\_\_\_\_  
獲授權簽署人仕 (連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)  
Authorised Signatories (with company chop, ONLY applicable if it forms part of your signing instruction)

簽署人姓名  
Name of Signatory

職銜  
Position

## 私隱政策聲明

香港交易及結算所有限公司及其不時附屬公司（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《條例》（或「第486章」）的各項規定，包括其收集、持有、處理、使用及／或轉移個人資料的目的，並無誤的個人資料。

我們定期檢討這項私隱政策聲明，並可能不時加以修訂或更改。我們可能會通過閣下提供的聯絡方式通知閣下有關修訂或更改。我們亦會通過閣下提供的聯絡方式通知閣下有關修訂或更改。我們亦會通過閣下提供的聯絡方式通知閣下有關修訂或更改。我們亦會通過閣下提供的聯絡方式通知閣下有關修訂或更改。

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，以及避免其被他人未經授權而取用。我們亦會採取一切實際可行方法確保個人資料的安全，以及避免其被他人未經授權而取用。

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

我們可能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，又或不希望在某種途徑收到此類資料，請通過下文「聯繫我們」所載的其中一種通訊渠道聯絡我們。為確保我們可以迅速處理閣下的要求，請提供閣下的姓名、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

我們可能會根據適用法律或規例又或任何對我們有管轄權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）。

(Updated in Apr 2017)

### 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，這樣可能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（或其他地方）或其他政府機關、執法機構或類似機構（無論其位於香港或香港以外的地方）提出的要求，又或執行或履行職能，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移交或業務合併。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及／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》，閣下有權查明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/Dform\\_e.pdf](https://www.pcpd.org.hk/english/publications/files/Dform_e.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」）。

我們可能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)