

申請參加 HKATS 運作、交易程序及規則訓練課程和考試
APPLICATION FOR ENROLMENT IN
HKATS OPERATIONS, TRADING PROCEDURES & RULES
COURSE AND EXAMINATION

注意事項
 - NOTES -

- 如閣下對填報本表格有任何疑問，應聯絡香港交易及結算所有限公司（「交易所」）衍生產品市場部或 HKATS 熱線電話 22116360。
 If you are in doubt as to how to complete this Form, you should contact Derivatives Market of Hong Kong Exchanges and Clearing Limited ("HKEx") or the HKATS hotline (2211-6360).
- 此表格須用正楷填寫或機印。
 Please complete this Form in block letters or by typing.
- 若在舉行 HKATS 運作、交易程序及規則課程及 / 或考試當天的午市時段因懸掛或以上颱風訊號、或黑色暴雨警告訊號而被取消，當日的訓練課程和考試將被自動取消，交易所將會另行安排補課或補考。若該等訊號在當天正午十二時前已經除下，訓練課程及 / 或考試將如期舉行。
 The HKATS Operations, Trading Procedures & Rules course and/or examination will be automatically cancelled if on the day the course and/or examination is held, the afternoon trading session is cancelled due to the hoisting of typhoon signal No. 8 or above or the issuance of the black rainstorm warning signal. The make-up class or examination will be conducted in due course. The course and/or examination will be held as usual if the signal(s) is (are) lowered before 12:00 noon.
- 所有申請將按報名先後次序處理，但交易所參與者將獲優先處理。
 All applications will be entertained on a first-come-first-served basis. However, priority will be given to Exchange Participants.
- 交易所將於舉行訓練課程及 / 或考試前一星期以電郵或電話通知成功的申請者。
 Successful applicants will be **confirmed by email/telephone one week prior** to the date of the training course and/or examination.
- 倘申請報讀的 HKATS 運作、交易程序及規則訓練課程及 / 或報考的考試經已滿額或取消，交易所可全權安排申請人出席下次開辦的訓練課程及 / 或考試。
 HKEx has the full discretion to arrange for the applicants to attend the next HKATS Operations, Trading Procedures and Rules course and/or examination if the enrolled HKATS Operations, Trading Procedures and Rules course and/or examination is full or is cancelled.
- 以下申請費用由 2003 年 8 月 25 日起生效，並同時適用於交易所參與者及非交易所參與者：
 With effect from 25 August 2003, the following application fee will apply to Exchange Participants and non-Exchange Participants:

申請類別 Type of Application	金額 (港幣) Amount (HK\$)
HKATS 交易運作及實習(第一部分)課程和考試 HKATS Trading Operations & Practice (Part I) course and examination	每位 300 元 300 per person
HKATS 交易程序及規則(第二部分)課程和考試 HKATS Trading Procedures & Rules (Part II) course and examination	每位 300 元 300 per person
HKATS 訓練考試(每部分) HKATS Training examination (per session)	每位 300 元 300 per person
HKATS 訓練考試(重考) HKATS Training examination (resit)	重考每位 300 元 300 per person per re-sitting
特別安排考試的附加費 Specially arranged examination fee surcharge	每位 300 元 300 per person

8. 填妥的申請表格必須連同申請費用送交：
Completed application forms, together with the application fee, should be sent to:

香港中環港景街一號
國際金融中心一期 10 樓
香港交易及結算所有限公司
衍生產品市場部收
Derivatives Market Department
Hong Kong Exchanges and Clearing Limited
10/F, One International Finance Centre
1 Harbour View Street
Central, Hong Kong

9. 繳費方式
Payment Method

申請者須在遞交申請時繳付申請費，請隨申請表附上劃線支票乙張，抬頭為「香港交易及結算所有限公司」，申請費用不可轉讓及退回。

Applicants should make payment at the time of the application by enclosing a crossed cheque made payable to “Hong Kong Exchanges and Clearing Limited”. Application fee is non-transferable and non-refundable.

- 收集個人資料的解釋說明 -
- EXPLANATORY NOTES ON PERSONAL INFORMATION COLLECTION -

香港交易及結算所有限公司(「香港交易所」)擬定此解釋說明以協助閣下瞭解在提供個人資料予香港交易所及其或其附屬公司(「香港交易所集團」)時的權利及責任,及香港交易所集團將會如何使用或處理該等資料的方式,懇請閣下細讀此解釋說明。

These Notes are prepared to assist you in understanding your rights and obligations in relation to the supply of personal data by you to Hong Kong Exchanges and Clearing Limited (“HKEx”) and/or its subsidiaries (together referred to as the “HKEx group”) and the manner in which the HKEx group may use or deal with such data. You are strongly advised to read these Notes carefully.

1. 閣下在提交 HKATS 運作、交易程序及規則訓練課程和考試的申請時,需向香港交易所集團提供有關閣下的個人資料。倘若閣下未能提供所需的個人資料會影響有關申請將可能被延誤或拒絕。
It is necessary for you to provide the HKEx group with your personal data in connection with your application for enrolment in any one or more parts of the HKATS Operations, Trading Procedures & Rules course and examination. Failure to supply the requested personal data may result in delay or in rejection of the application.
2. 倘若閣下的個人資料有任何變更,亦需即時通知香港交易所集團。
It is also necessary for you to keep the HKEx group informed of any changes in your personal data.
3. 香港交易所集團將於香港證券及期貨市場使用閣下所提供的個人資料以執行他們的職能。
The personal data supplied by you shall be used by the HKEx group for the purposes of performing its functions as the operator of the securities and futures markets of Hong Kong.
4. 香港交易所集團在執行其職能時,在法律許可的情況下,可能將閣下所提供的資料與他們所持有的資料進行核對、比較、轉移、交換或其他用途。
In the course of performing its functions, the HKEx group may, as permitted by law, match, compare, transfer or exchange the data provided by you with data held, or hereafter obtained, for these or any other purposes.
5. 香港交易所將閣下所提供的個人資料予以保密,但可能將該等資料透露予香港交易所集團的僱員、董事、代理人及顧問,他們具有如本交易所的保密責任。但香港交易所集團可全權決定透露閣下的個人資料予其他監管機構或交易所。
Personal data supplied to HKEx will be kept confidential but may be disclosed to employees, directors, agents and consultants of any member of the HKEx group who shall also be under an obligation of confidentiality, provided that the HKEx group may disclose, at their absolute discretion, personal data to other regulatory bodies or exchanges.
6. 根據個人資料(私穩)條例,閣下可根據該條例的方式及規定,要求查閱或更正閣下所提供的資料。有關要求請與香港交易所衍生產品市場部交易及市場運作,地址為香港中環港景街1號國際金融中心一期10樓。
You may be entitled under the Personal Data (Privacy) Ordinance to request access to or to request the correction of any data supplied by you, in the manner of and subject to the limitations prescribed therein. Any such request shall be directed to Trading & Market Operations, Derivatives Market of HKEx at 10/F, One International Finance Centre, 1 Harbour View Street, Central, Hong Kong.



申請參加 HKATS 運作、交易程序及規則訓練課程和考試
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COURSE AND EXAMINATION**

1. 申請人資料 Personal Particulars of Applicant

英文姓名

Name (in English)

Surname 姓

First/Other Names 名

中文姓名

Name (in Chinese)

香港身分證 / 護照號碼

性別

HKID/Passport No.

Sex

聯絡電話

電郵地址

Contact Phone No.

Email Address

公司名稱

Company Name

通訊地址

Correspondence Address

請提供聯絡人資料 (如適用)

Please provide details of contact person below if applicable

姓名

Name

聯絡電話

Contact Phone No.

電郵地址

Email Address

本人謹此申請參加以下課程及考試(請在適當方格內加入剔號):

I hereby apply to attend the course and examination below (Please tick the appropriate box):

- HKATS 交易運作及實習 (第一部分) 和考試
HKATS Trading Operations & Practice (Part I) and Examination
- HKATS 交易程序及規則 (第二部分) 和考試
HKATS Trading Procedures & Rules (Part II) and Examination
- HKATS 訓練考試 (只供重考*)
HKATS Training Examination (for re-examination only*)
第一部分 及/或 第二部分 (請選擇適當部分)
Part I and/or Part II (please indicate)

(請參閱香港交易所網頁的HKATS課程時間表, 網址為<http://www.hkex.com.hk>)

(Please refer to HKATS Training Schedule posted on HKEx's website <http://www.hkex.com.hk>)

* 只適用於曾經參加 HKATS 訓練考試的申請者

* only applicable to applicants who have taken the examination previously

2. 費用 Payment

現隨申請表附上一張抬頭為「香港交易及結算所有限公司」的劃線支票 (支票號碼: _____), 金額為港幣 _____ 元。

A cheque in the amount of HK\$ _____ (No. _____) payable to "Hong Kong Exchanges and Clearing Limited" is enclosed.

申請人聲明

Declaration of the Applicant

致：香港交易及結算所有限公司
To: Hong Kong Exchanges and Clearing Limited

本人謹此聲明本人已閱讀及明白 HKATS 運作、交易程序及規則訓練課程和考試申請表格內的注意事項，並同意遵守有關規定。本人謹此承諾倘若本人的行為導致舉行訓練課程及考試的場地內的設備、裝置或其他財物有任何損失，負責賠償香港交易所有關的損失。本人在提供本人的個人資料前，已閱讀及明白《收集個人資料的解釋說明》。本人同意香港交易所或香港交易所的任何附屬公司運用該等資料及所有以前提供予香港交易所集團的資料以履行他們在解釋說明所述的全部或任何職能，及其他與該等職能有直接關係的職能。

I hereby declare that I have read and understood the notes for application for enrolment in HKATS Operations, Trading Procedures & Rules course and examination and agree to abide by them. I hereby undertake to compensate HKEx for the full cost if my conduct has caused any damage or loss to the equipment, fixtures or any other property of HKEx inside the venues where the training course and examination are held. I have also read the Explanatory Notes on Personal Information Collection before furnishing to HKEx personal data relating to myself. I consent to the use of such data and all personal data previously supplied, if any, by HKEx or any member of the HKEx group for the purposes of discharging all or any of its functions described in the said Notes and for any other purpose directly related to those purposes.

申請人簽署
Signature of Applicant

申請人姓名
Name of Applicant

日期
Date
