

**Options Clearing Rules**

**CHAPTER 4**

**SEOCH PARTICIPANTS' OBLIGATIONS**

**Confidentiality**

428. All information in the possession of SEOCH relating to a SEOCH Participant will be kept confidential by the directors and other staff or officers of SEOCH having access to the same in accordance with procedures made by SEOCH. SEOCH, however, may disclose any information at any time:-

- (11) to the chief executive or the chief operating officer of HKEx for the time being appointed or deemed to have been appointed in accordance with the Securities and Futures Ordinance or, as the context may require, their designees;
- (12) if so required pursuant to any requirement or request of any governmental, regulatory or other competent authority whether within or outside Hong Kong (including, but not limited to, the Commission, Hong Kong Monetary Authority and the Inland Revenue Department of the Hong Kong government) or by or in accordance with the Tax Information Exchange Framework; or
- (13) to specified persons or to the public if required for SEOCH to comply with any local or international regulatory standards applicable to it,

provided that, in any such case other than under sub-paragraphs (7), (8), (12) and (13) above, the confidentiality of the information is made known to the recipient (it being understood that, if a case is described in multiple sub-paragraphs of this sentence that include sub-paragraphs (7), (8), (12) or (13) above, then the confidentiality of the information need not be made known to the recipient) and provided that, in case of disclosure of information concerning or in connection with a SEOCH Participant under sub-paragraph (13), it shall be on an aggregated and/or anonymised basis.