

Claim Form - Claims Against the Fidelity Fund
索償表格 - 向互保基金索償

To: The Compensation Committee
The Stock Exchange of Hong Kong Limited
致: 香港聯合交易所有限公司賠償委員會

Re:
關於:

(Please fill in the name of the defaulting Exchange Participant or former Exchange Participant)
(請填寫違約交易所參與者或前交易所參與者名稱)

WE hereby claim HK\$ _____ as compensation for a pecuniary loss as a result of or in connection with the default or defaults of the above named Exchange Participant or former Exchange Participant.
本公司謹此要求港幣 _____ 元作為賠償本公司因上述交易所參與者或前交易所參與者違約而招致金錢上之損失。

Part I: Particulars of Claim
第一部份: 索償詳情

- A. Dishonoured cheques issued by the defaulting Exchange Participant or former Exchange Participant.
由違約交易所參與者或前交易所參與者發出不兌現支票。

不兌現支票資料 Particulars of Dishonoured Cheque(s)				有關交易資料 Particulars of Relevant Transaction(s)			
日期 Date	支票號碼 Cheque No.	發出銀行 Paying Bank	金額 Amount	成交日期 Date	股份名稱 Stock Name	成交股數 No. of Shares	成交價 Price
Documentary Evidence: (Please specify) 書面證據: (請列明)				Documentary Evidence: (Please specify) 書面證據: (請列明)			

Total Claimed Amount of Dishonoured Cheque(s):
不兌現支票之索償金額: _____

B. Outstanding balance resulting from 'buy-back' or 're-sell' transaction(s) on behalf of the defaulting Exchange Participant or former Exchange Participant.

代違約交易所參與者或前交易所參與者完成「補購」或「重沽」交易後之未了款項。

Stock Name 股份名稱	No. of Shares 股數	Original Trade(s) 原有交易				Buy-back/Re-sell Trade(s) 補購/重沽交易			Outstanding Balance (Dr/Cr) 未了款項 (正/負)
		Buy/Sell 買/賣	Date 日期	Price 成交價	Amount 金額	Date 日期	Price 成交價	Amount 金額	

Amount:
金額: _____

C. Others (Please provide details)
其他 (請詳細列明)

Relevant Transaction(s) 有關交易資料					Details/Reason for Claim(s) 索償事由	Claimed Amount 索償金額
Date 日期	Stock Name 股份名稱	No. of Shares 股數	Price 成交價	Amount 金額		

Amount:
金額: _____

Total Amount Claimed (A±B±C):
要求賠償總額 (A±B±C): _____

D. Other Relevant Particulars
其他有關事項之詳情

- (i) The date and circumstances which the loss first came to the knowledge of the claimant.
索償人如何及於何時首次發覺該等損失。

- (ii) Particulars of any documents or other evidence of the claim. (Originals or certified true copies should be attached to this Claim Form).

任何與此索償有關之文件或證據的詳情。(正本或檢定副本必須連同索償表格一併呈遞)

- (iii) Particulars of any civil or criminal proceedings in relation to the claim.

任何與此索償有關之民事或刑事訴訟的詳情。

- (iv) Any other relevant particulars.

任何其他有關事項之詳情。

Part II: Declaration by the Claimant

第二部份：索償人聲明

We:
本公司:

Name of Exchange Participant (Claimant)
交易所參與者名稱 (索償人)

1. **consent** to the processing of personal data in accordance with the Privacy Policy Statement included in this form;
同意按此表格所述的私隱政策聲明處理個人資料；
2. **declare** that such loss was suffered in consequence of transaction(s) with the stockbroking business with or through the above named Exchange Participant or former Exchange Participant;
聲明此項損失乃因與上述交易所參與者或前交易所參與者在進行或辦理證券買賣業務所致；
3. **declare** that the facts set out in the Particulars of Claim of this Claim Form are true to the best of our knowledge and belief;
聲明此索償表格第一部份索償詳情內所列之事實乃誠如本公司所知及深信者；
4. agree that if there is any change in the information we provided in this Claim Form or in our further submission, we must notify the Exchange in writing immediately;
同意本公司在本索償表格內所填報的資料及日後所提供的資料有任何變更，本公司必須立刻書面通知 貴交易所；

5. agree that on the request of the Exchange, we shall provide the original or certified true copies of the evidence or documents to support our claim;
同意在 貴交易所提出要求時立即提供支持索償證據或文件之正本或檢定副本；
6. authorize the Exchange to release all particulars of our claim to such parties as the Exchange deems appropriate;
授權 貴交易所將本公司的索償之資料提供予 貴交易所認為適合之有關機構；
7. understand that upon payment being made out of the Fidelity Fund in respect of a claim under the Rules of the Exchange, the Fidelity Fund will be subrogated to the extent of that payment to all our rights and remedies in relation to the loss sustained by us by reason of the default or defaults on which the claim is based and we agree to execute such deed of assignment or other document in relation thereto as requested by the Exchange.
明白本公司因交易所參與者違約蒙受損失而有之權利與補償，得按照付予本公司之金額，根據交易所規則由互保基金取代之；本公司同意在 貴交易所要求下，簽署有關將追討權與互保基金之契據或法律文件。

Signature of Exchange

Participant: (Claimant)

交易所參與者簽署:

(索償人)

Date:

日期:

(連同公司簽署印章 with Company Chop)

Name of Signatory:

簽署人姓名:

Position:

職銜:

Responsible Officer

負責人員

Name of Contact

Person:

聯絡人姓名:

Contact

Telephone No:

聯絡電話號碼:

NOTES:

附註:

1. Please use two or more Claim Forms if claims are lodged in respect of more than one Exchange Participant.
如索償個案涉及一個以上的交易所參與者，請分別以兩份索償表格填寫。
2. If there is insufficient space, particulars should be set out on a separate sheet to be attached hereto and signed for identification.
假如所提供之空位不敷應用，有關詳情可以附紙書寫，但每頁必須簽署以資鑑別。

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