

Application for the Use and Maintenance of Self-Match Prevention (SMP) ID in Securities Market

Notes:

- 1) Please read the Explanatory Notes before completing this Form. Terms and expressions used in this Form shall have the same meanings as ascribed to them in Explanatory Notes.
- 2) Please complete a separate Form for each application. For example, one form can only create one SMP ID.
- 3) Please save the completed form in pdf format with file name as CSMPREQ_NNNNN_YYYYMMDD.pdf (where NNNNN is Participant ID with a leading zero and YYYYMMDD is date of submission). Then log in to Electronic Communication Platform (ECP) (<https://ecp2.hkex.com.hk/>) via ECP business user with the function ID "EU_ECPTO" to submit the completed form by clicking the hyperlink of "Securities Market - Application for the Use and Maintenance of Self-Match Prevention (SMP) ID" on the submission list page.
- 4) Name of Exchange Participant (EP) and Participant ID are available at https://www.hkex.com.hk/eng/plw/plw_search.asp on HKEX website.
- 5) A **unique** Creation Ref. No. should be assigned for the Creation of an SMP ID request on the same submission day. The range is from 1 to 9,999. This Creation Ref. No. will be used for tracing the SMP ID creation status in SMP Submission Status Report.
- 6) **Please always download the form and fill it out using the latest version of Adobe Acrobat to facilitate preliminary checking on the form.**
- 7) For general enquiry, please contact HKEX – Participant General Enquiry Hotline at 2840-3626.

Section I – SEHK Participant Information

Name of Exchange Participant (EP) ^[Note 4]		Participant ID ^[Note 4] (e.g. 01234)
Contact Person Name	Business Email Address	Business Phone No.

Section II – Application *[please choose one of the requests and fill in the required information]*

We hereby apply for:

<input type="radio"/>	Creation of an SMP ID ^[please also complete Section III, IV and Attachment]		Creation Ref. No. ^[Note 5]	
	SMP Instruction	<input type="radio"/> Cancel Aggressive (CA)	<input type="radio"/> Cancel Passive (CP)	
<input type="radio"/>	Termination of an SMP ID			
	SMP ID			
<input type="radio"/>	Change of SMP Instruction			
	SMP ID			
	Change SMP Instruction to	<input type="radio"/> Cancel Aggressive (CA)	<input type="radio"/> Cancel Passive (CP)	
<input type="radio"/>	Sharing of SMP ID with another EP			
	SMP ID		Additional EP Participant ID ^[Note 4]	
<input type="radio"/>	Removal of SMP ID Sharing from another EP			
	SMP ID		Additional EP Participant ID ^[Note 4]	

Section III – Information of the Application of New SMP ID

Please select either one of the below purposes of the new SMP ID and fill in the required information accordingly.

<input type="radio"/>	For EP itself or its client other than asset management company/fund, please fill in Part A (Attachment 1) and below table.
<input type="radio"/>	For asset management company/fund, please fill in Part B (Attachment 2) and below table.

The fields marked with (*) are mandatory.

Information of EP’s client / EP¹	
Basic information	
*Name	
*Office address	
Contact person information	
*Contact person	
*Position	
*Email address	

¹ Please fill in the information of EP if the new SMP ID is for EP’s proprietary orders.

Section IV – Declaration and Undertaking

By submitting this form via ECP, we hereby

1. **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 any statements or omissions which would render such information untrue or misleading;
2. **undertake** that we shall notify The Stock Exchange of Hong Kong Limited ("SEHK") within 30 calendar days of any changes in the information given in this application, e.g. co-use the SMP ID with companies not specified in this form;
3. **understand** that SEHK may take disciplinary proceedings against an Exchange Participant which has made a false or misleading representation in relation to its application;
4. **undertake** that we shall comply with all applicable rules, regulation and procedures of SEHK from time to time in force, the conditions stated in the explanatory note and any other directives and requirements from time to time made or prescribed by SEHK; and **agree** that any non-compliance shall render us liable to SEHK's enforcement actions, including prohibition or restriction on the use of SMP Service or/and disciplinary proceedings;
5. **consent** that SEHK and any recognized exchange controller which is the controller of SEHK or any company of which a recognized exchange controller which is controller of SEHK is a controller may disclose our information to the Securities and Futures Commission, any exchange and regulatory authority (whether within or outside Hong Kong);
6. **consent** that SEHK may disclose our Participant ID with, if any, other Additional EP(s) of the same SMP ID;
7. **acknowledge and agree** that the Exchange and its affiliates may utilize data we provide in connection with usage of the SMP Service for business analytics and other purposes subject to any applicable laws; and
8. **declare** that I have read and accepted the terms and conditions set out in the "Explanatory Notes relating to Self-Match Prevention Service in Securities Market".

A. New SMP ID for EP itself or its client other than asset management company/fund

The fields marked with (*) are mandatory.

Basic information of EP's client / EP ²		
A1	*New SMP ID is applied for	<p>Please choose either one of the boxes below.</p> <input type="checkbox"/> EP itself for its proprietary orders <input type="checkbox"/> EP's client (<i>Please choose only one of the options below</i>) <ul style="list-style-type: none"> <input type="radio"/> EP's associate³ <input type="radio"/> Direct client[#] <input type="radio"/> Indirect client - client of EP's associate³ <input type="radio"/> Indirect client - client of EP's direct client[#] <p><i>#other than EP's associates³</i></p>
A2	*Business type	<p>Please choose the appropriate box(es) below.</p> <input type="checkbox"/> Client facilitation <input type="checkbox"/> Market making <input type="checkbox"/> Proprietary trading <input type="checkbox"/> Others:
A3	*Will multiple SMP ID(s) be used?	<input type="radio"/> Yes, please fill in A4 and A5. <input type="radio"/> No, only use one SMP ID.
A4	Existing SMP ID(s) in securities market	<p>Please choose either one of the options below.</p> <input type="radio"/> With below existing SMP ID(s): <p style="text-align: center;"><i>Use “,” to separate multiple SMP IDs.</i></p> <input type="radio"/> There is other SMP ID application(s) in progress but no SMP ID(s) has been created yet.
A5	Please confirm that this new SMP ID is applied for trading unit(s) independently operated from those are using or will use other SMP ID(s) within EP's client / EP	<input type="radio"/> Yes.

Co-use of the new SMP ID with associates of EP's client / EP ²		
A6	*Will the new SMP ID be co-used with other companies?	<input type="radio"/> Yes, please fill in A7 to A9. <input type="radio"/> No.
A7	Name(s) of companies which will co-use the new SMP ID	<p style="text-align: center;"><i>Use “,” to separate multiple companies.</i></p>
A8	Please confirm the companies listed in A7 are associates of EP's client / EP	<input type="radio"/> Yes.

² Please fill in the information of EP if the new SMP ID is for EP's proprietary orders.

³ Associates of a company means any of its holding companies, subsidiaries, or fellow subsidiaries, or any associated companies of them. Please refer to section 2, 13 and 15 of the Companies Ordinance for the meaning of associated companies, holding companies, and subsidiaries respectively.

B. New SMP ID for asset management company/fund

The fields marked with (*) are mandatory.

Basic information of EP's client / EP⁵		
B1	*New SMP ID is applied for	<p>Please choose one of the appropriate boxes below.</p> <input type="checkbox"/> EP itself for its proprietary orders <input type="checkbox"/> EP's client (Please choose only one of the options below). <input type="radio"/> EP's associate ⁶ <input type="radio"/> Direct client# <input type="radio"/> Indirect client - client of EP's associate ⁶ <input type="radio"/> Indirect client - client of EP's direct client# #other than EP's associates ⁶
B2	*Business type	<p>Please choose either one of the options below.</p> <input type="radio"/> Asset management company (Please choose the appropriate box(es) below.) <input type="checkbox"/> Hedge fund <input type="checkbox"/> Long only <input type="checkbox"/> Mutual fund <input type="checkbox"/> Quantitative fund <input type="checkbox"/> Others: <p>→ Please go to B3.</p> <input type="radio"/> Fund Name of asset management company <p>Please choose only one of the options below.</p> <input type="radio"/> Hedge Fund <input type="radio"/> Long only <input type="radio"/> Mutual fund <input type="radio"/> Quantitative fund <input type="radio"/> Others: <p>→ Please go to B6.</p>

For Asset Management Company only		
B3	Will multiple SMP ID(s) be used?	<input type="radio"/> Yes, please fill in B4 and B5. <input type="radio"/> No.
B4	Existing SMP ID(s) in securities market	<p>Please choose either one of the options below.</p> <input type="radio"/> With below existing SMP ID(s): <p>Use “;” to separate multiple SMP IDs.</p> <input type="radio"/> There is other SMP ID application(s) in progress but no SMP ID(s) has been created yet.
B5	Please confirm that this new SMP ID is applied for fund manager(s) or trading decision maker(s) whose operations are independent	<input type="radio"/> Yes.

⁵ Please fill in the information of EP if the new SMP ID is for EP's proprietary orders.

⁶ Associates of a company means any of its holding companies, subsidiaries, or fellow subsidiaries, or any associated companies of them. Please refer to section 2, 13 and 15 of the Companies Ordinance for the meaning of associated companies, holding companies and subsidiaries respectively.

		<p><input type="radio"/> There is other SMP ID application(s) in progress but no SMP ID(s) has been created yet.</p>
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