



香港交易所

香港聯合交易所有限公司

(香港交易及結算所有限公司全資附屬公司)

THE STOCK EXCHANGE OF HONG KONG LIMITED

(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

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

Notes:

- 1) Please read the Explanatory Notes posted on HKEX website before completing this Use of Existing SMP ID Form. Terms and expressions used in this Form shall have the same meanings as ascribed to them in the Explanatory Notes.
- 2) Please save the completed form in pdf format with file name as CSMPCST_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.
- 3) Name of Exchange Participant (EP) and Participant ID are available at https://www.hkex.com.hk/eng/plw/plw_search.asp on HKEX website.
- 4) **Please always download the form and fill it out using the latest version of Adobe Acrobat to facilitate preliminary checking on the form.**
- 5) For enquiry on this Application Form, please contact HKEX – Participant General Enquiry Hotline at 2840-3626.

Section I – SEHK Participant Information

Name of Exchange Participant (EP) ^[Note 3]		Participant ID ^[Note 3] (e.g. 01234)
Contact Person Name	Business Email Address	Business Phone No.

Section II – Application *[please fill in the required information]*

We hereby apply for the use of the following SMP ID:

SMP ID:	
Participant ID ^[Note 3] of the Primary EP:	

Section III – Declaration and Undertaking

By submitting this form via ECP, we hereby

1. **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;
2. **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);
3. **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
4. **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"