

To: Synapse Operations Team
Hong Kong Securities Clearing Company Limited ("HKSCC")
30/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong

Email: Synapse_Support@hkex.com.hk
Hotline: (852) 2840-3048

NOTES

- Please read carefully all the information provided in this form and the [Guidelines for Synapse New Application](#) before completion.
- Unless the context otherwise requires, capitalized terms used in this form shall have the meanings as ascribed to them in the Synapse Terms and Conditions (as defined in Part VII).
- This form shall be used for applying to register your company for the following types of Synapse Users and Synapse designated service providers ("DSP") or to provide change of details after onboarding onto Synapse.

Synapse Users:

- "AM" means Asset Manager
- "GC" means Global Custodian
- "LC" means Local Custodian
- "EP" means Exchange Participant
- "CP" means Clearing Participant

Synapse DSPs:

- "AMOO" means Asset Manager's Middle Office Outsourcing Operator
- "EPOO" means Exchange Participant's Middle Office Outsourcing Operator
- "AO" means Clearing Participant's Account Operator

- If the same applicant is applying for more than one user type and / or DSP type as referred to in Part I, please tick the appropriate boxes to select the applicable user type and / or DSP type and fill in the required information using the same form.
- After completing this form, please remember to sign and date it in Part VII (in the case of Synapse Users) or Part VIII (in the case of Synapse DSPs).
- Please follow the table below on which parts of this form are to be completed by each type of applicant. Where an applicant applying to be a Synapse User has appointed another entity to be its DSP, such applicant and its appointed entity are each required to submit a separate form to HKSCC respectively to complete the onboarding process.

Action	User Types / DSP Types	Part I	Part II	Part III	Part IV	Part V	Part VI	Part VII	Part VIII
New application	AM, GC, LC, EP, CP	✓	✓	✓				✓	
	AM / EP / CP who will appoint AMOO / EPOO / AO	✓	✓	✓	✓			✓	
	AMOO / EPOO / AO	✓	✓	✓		✓			✓
Changing details	AM, GC, LC, EP, CP	✓		✓*	✓*		✓*#	✓	
	AMOO / EPOO / AO	✓		✓*		✓*	✓*		✓

* Fill in only if there are changes related to that part

For an AM or EP who wishes to make subsequent changes to the entity which will initiate instructions into Synapse, please contact HKSCC for more information before filling in and submitting Part VI of this Form.

7. For new applications, the applicant shall complete and submit this form together with (i) a certified true copy of the applicant's business registration (or its equivalent), (ii) a certified true copy of the applicant's certificate of incorporation (or its equivalent) or, where applicable, satisfactory documentary proof of re-domiciliation, (iii) a board resolution of the applicant to authorize its signatories to sign this form and other forms related to the operation of Synapse together with the specimen signatures of such authorised signatories.
8. Please submit the completed form by email to Synapse_Support@hkex.com.hk, followed by post to Synapse Operations Team, Hong Kong Securities Clearing Company Limited at 30/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong and indicate "Synapse Form" on the envelope, within one month of the email, failing which HKSCC shall, at its absolute discretion, deactivate your company's and its Authorised Users' access to Synapse.
9. In general, HKSCC will take 10 business days to process a new application and 7 business days to process change of details of existing Synapse Users / DSPs, except where the application involves connectivity via ISO or API which may take a longer processing time. HKSCC will notify the new applicants or existing Synapse Users / DSPs via email upon completion of the process for new registration or change of details.

Part I – USER TYPES / DSP TYPES

(a) Please select your usage of this form and indicate the proposed effective date (where applicable):

New Applicant

Existing Synapse User changing details, proposed effective date: _____

Existing Synapse DSP changing details, proposed effective date: _____

(b) Please select all applicable user types / DSP types and fill in the corresponding ID / code:

List of Synapse User Types / DSP Types			
<input type="checkbox"/>	1	Asset Manager	Existing Master SPSA ID (if applicable): <input type="text"/>
<input type="checkbox"/>	2	Global Custodian	n/a
<input type="checkbox"/>	3	Local Custodian	Existing HKSCC Participant ID: <input type="text"/>
<input type="checkbox"/>	4	Exchange Participant	Existing SEHK Participant ID: <input type="text"/>
<input type="checkbox"/>	5	Clearing Participant	Existing HKSCC Participant ID: <input type="text"/>
<input type="checkbox"/>	6	Asset Manager's Middle Office Outsourcing Operator	n/a
<input type="checkbox"/>	7	Exchange Participant's Middle Office Outsourcing Operator	n/a
<input type="checkbox"/>	8	Clearing Participant's Account Operator	n/a

Part II – APPLICANT (NEW APPLICATION)

Company Name	in English		
	in Chinese		
Office Address			
Place of Incorporation		Domicile*	
Legal Entity Identifier (LEI) (If applicable)			
Entity initiating instructions into Synapse (Applicable to AM and EP only)	<input type="checkbox"/> The AM / EP** will initiate instructions into Synapse; or <input type="checkbox"/> The AM / EP** will appoint the agent(s) specified below to initiate instructions into Synapse on its behalf Name of the agent(s):		
For HKSCC's reference only: SPSA ID(s)*** of the fund(s) in relation to which AM plans to provide instructions when using Synapse (Applicable to AM only)	SPSA ID(s):		
Business Contact Person	Name:		Position:
Tel. No. of Business Contact Person		Email Address of Business Contact Person	
Technical Contact Person	Name:		Position:
Tel. No. of Technical Contact Person		Email Address of Technical Contact Person	

* Please fill in only if your company has undergone corporate re-domiciliation to another country different from the place of incorporation

** Please cross out whichever is inapplicable

*** SPSA ID, as defined in the General Rules of CCASS, in relation to a Special Segregated Account (SPSA) designated pursuant to Rule 4104A of the General Rules of CCASS

Part III – TECHNICAL SETUP DETAIL

(a) Delegated Administrator (“DA”) Setup

An applicant shall appoint at least 2 DAs to act respectively as a maker (who will be responsible for creating and maintaining users’ profile) and a checker (who will be responsible for approving any user’s profile created or changed by a maker) to maintain applicant’s user profile. An applicant may, at a maximum, appoint 4 individuals to act simultaneously as makers and checkers. Under exceptional circumstances, HKSCC may, at its discretion, allow an applicant to appoint more than 4 individuals to act as DAs.

DA Application / Maintenance							
Request Type ¹	User Type(s) / DSP Type(s) ²	Surname	First Name	Corporate Email Address ³	Telephone Number ⁴	Role ⁵	DA ⁶
<input type="checkbox"/> Add <input type="checkbox"/> Change <input type="checkbox"/> Delete	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8 <input type="checkbox"/> 3 <input type="checkbox"/> 6					<input type="checkbox"/> M <input type="checkbox"/> C <input type="checkbox"/> B	<input type="checkbox"/>
<input type="checkbox"/> Add <input type="checkbox"/> Change <input type="checkbox"/> Delete	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8 <input type="checkbox"/> 3 <input type="checkbox"/> 6					<input type="checkbox"/> M <input type="checkbox"/> C <input type="checkbox"/> B	<input type="checkbox"/>
<input type="checkbox"/> Add <input type="checkbox"/> Change <input type="checkbox"/> Delete	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8 <input type="checkbox"/> 3 <input type="checkbox"/> 6					<input type="checkbox"/> M <input type="checkbox"/> C <input type="checkbox"/> B	<input type="checkbox"/>
<input type="checkbox"/> Add <input type="checkbox"/> Change <input type="checkbox"/> Delete	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8 <input type="checkbox"/> 3 <input type="checkbox"/> 6					<input type="checkbox"/> M <input type="checkbox"/> C <input type="checkbox"/> B	<input type="checkbox"/>
<input type="checkbox"/> Add <input type="checkbox"/> Change <input type="checkbox"/> Delete	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8 <input type="checkbox"/> 3 <input type="checkbox"/> 6					<input type="checkbox"/> M <input type="checkbox"/> C <input type="checkbox"/> B	<input type="checkbox"/>

Remarks:

- ¹ Please select request type:
 - ‘Add’ – add an individual to act as a DA
 - ‘Change’ – change the DA’s profile
 - ‘Delete’ – delete the DA
- ² Please choose from the list of User Types / DSP Types per Part I of this form.
- ³ Please ensure the email address is entered correctly as the email address will become a Synapse login username, and service notifications will be sent to this email address. **For security reasons, please only corporate email addresses are permitted.**
- ⁴ Please note that the telephone number is required as authentication for password reset.
- ⁵ Please select role :
 - ‘M’ – Maker
 - ‘C’ – Checker
 - ‘B’ – both maker and checker

Please note that an individual who acts as both maker and checker cannot approve actions initiated by himself / herself. If only 2 individuals are appointed to act as DAs, please ensure that they are both makers and checkers (B); or at least one maker (M) and one checker (C).
- ⁶ Please tick the box if the individual is an existing DA.

(b) Connectivity Detail

1. It is mandatory for your company to apply Business Identifier Code (BIC11) via SWIFT in order to participate in Synapse. Please provide the unique BIC11 for each User Type / DSP Type applied for, e.g. 2 separate BIC11 are required if your company is acting as both Local Custodian and Clearing Participant in Synapse.
2. HKSCC will further provide technical specification and may request additional information from the applicant in order to complete the connectivity setup for ISO / API, via the technical contact provided by the applicant.
3. Please select the connectivity channel(s) for the user type(s) and / or DSP type(s) applied for. Note that only one connectivity option can be chosen for each user type / DSP type (i.e. only tick one of the boxes in the “Connectivity” column for each user type / DSP type).

Please indicate your action:

- New application Existing Synapse User changing details - please indicate the connectivity channel(s) to be updated and cross out whichever is inapplicable:
- Add / Remove ISO Messaging over SWIFTNet
 - Add / Remove API over SDNet
 - Change BIC11 / DN

User Type(s) / DSP Type(s)	Connectivity	Company Identifier	
<input type="checkbox"/> 1 Asset Manager	<input type="checkbox"/> GUI only <input type="checkbox"/> GUI + ISO Messaging over SWIFTNet	Business Identifier Code: _____	Distinguished Name (optional): _____
<input type="checkbox"/> 2 Global Custodian	<input type="checkbox"/> GUI only <input type="checkbox"/> GUI + ISO Messaging over SWIFTNet <input type="checkbox"/> GUI + API over SDNet	Business Identifier Code: _____	Distinguished Name (optional): _____
<input type="checkbox"/> 3 Local Custodian	<input type="checkbox"/> GUI only <input type="checkbox"/> GUI + ISO Messaging over SWIFTNet <input type="checkbox"/> GUI + API over SDNet	Business Identifier Code: _____	Distinguished Name (optional): _____
<input type="checkbox"/> 4 Exchange Participant	<input type="checkbox"/> GUI only	Business Identifier Code: _____	Distinguished Name (optional): _____
<input type="checkbox"/> 5 Clearing Participant	<input type="checkbox"/> GUI only <input type="checkbox"/> GUI + ISO Messaging over SWIFTNet <input type="checkbox"/> GUI + API over SDNet	Business Identifier Code: _____	Distinguished Name (optional): _____
<input type="checkbox"/> 6 Asset Manager’s Middle Office Outsourcing Operator	<input type="checkbox"/> GUI only <input type="checkbox"/> GUI + ISO Messaging over SWIFTNet	Business Identifier Code: _____	Distinguished Name (optional): _____
<input type="checkbox"/> 7 Exchange Participant’s Middle Office Outsourcing Operator	<input type="checkbox"/> GUI only	Business Identifier Code: _____	Distinguished Name (optional): _____
<input type="checkbox"/> 8 Clearing Participant’s Account Operator	<input type="checkbox"/> GUI only <input type="checkbox"/> GUI + ISO Messaging over SWIFTNet <input type="checkbox"/> GUI + API over SDNet	Business Identifier Code: _____	Distinguished Name (optional): _____

Part IV – DSP’S DETAILS (APPOINTMENT / REMOVAL)

Please indicate your action:

- New Appointment of DSP
- Removal of DSP by existing Synapse User

We hereby (please cross out whichever is inapplicable) appoint / remove _____ (DSP’s company name in English) as our:

Asset Manager’s Middle Office Outsourcing Operator	<input type="checkbox"/>	Contact Person: Email Address: Telephone Number:
Exchange Participant’s Middle Office Outsourcing Operator	<input type="checkbox"/>	Contact Person: Email Address: Telephone Number:
Clearing Participant’s Account Operator	<input type="checkbox"/>	Contact Person: Email Address: Telephone Number:

Part V – LIST OF AM / EP / CP SERVED BY THE DSP

Notes:

1. DSPs are required to fill in this part to provide the details of AM / EP / CP served by them. If HKSCC receives notice from the AM / EP / CP about the termination of outsourcing relationship with its DSP through Part IV of this form in the future, such DSP will not be able to access Synapse if there is no other outsourcing relationship maintained between such DSP and any other AM / EP / CP.
2. If any DSP wishes to terminate the provision of outsourcing service to its AM / EP / CP, such DSP is required to request its AM / EP / CP to notify HKSCC about the removal of DSP through Part IV of this form. Upon receiving notification from the AM / EP / CP, HKSCC will disable the outsourcing relationship between the AM / EP / CP and its DSP in Synapse. Synapse access will be removed for such DSP if there is no other outsourcing relationship maintained between such DSP and any other AM / EP / CP.

1) Name of Designated Service Provider:

2) Type of Designated Service Provider:

Asset Manager's Middle Office Outsourcing Operator	<input type="checkbox"/>
Exchange Participant's Middle Office Outsourcing Operator	<input type="checkbox"/>
Clearing Participant's Account Operator	<input type="checkbox"/>

3) Details of AM / EP / CP served by the Designated Service Provider*:

Synapse User Type(s)	Company Name of the AM / EP / CP
<input type="checkbox"/> AM <input type="checkbox"/> EP <input type="checkbox"/> CP	
<input type="checkbox"/> AM <input type="checkbox"/> EP <input type="checkbox"/> CP	
<input type="checkbox"/> AM <input type="checkbox"/> EP <input type="checkbox"/> CP	
<input type="checkbox"/> AM <input type="checkbox"/> EP <input type="checkbox"/> CP	
<input type="checkbox"/> AM <input type="checkbox"/> EP <input type="checkbox"/> CP	

* Please only provide the newly added Synapse User(s) for subsequent updates

Part VI – CHANGE OF DETAILS OF EXISTING SYNAPSE USERS / DSP

1) Company Name in English (please fill in original company name if you are requesting to update the company name in this section):

2) Please select the details to be updated if applicable and information provided below will replace those on previous record(s):

<input type="checkbox"/>	Company Name	in English		
		in Chinese		
<input type="checkbox"/>	Office Address			
<input type="checkbox"/>	Domicile*			
<input type="checkbox"/>	Legal Entity Identifier (LEI)			
<input type="checkbox"/>	Entity initiating instructions into Synapse (Applicable to AM and EP only)	<input type="checkbox"/> The AM / EP** will initiate instructions into Synapse; or <input type="checkbox"/> The AM / EP** will appoint / add / remove** below agent(s) to initiate instructions into Synapse on its behalf Name of the agent(s):		
<input type="checkbox"/>	Business Contact Person	Name:		Position:
	Tel. No. of Business Contact Person		Email Address of Business Contact Person	
<input type="checkbox"/>	Technical Contact Person	Name:		Position:
	Tel. No. of Technical Contact Person		Email Address of Technical Contact Person	

* It is only applicable to company which has undergone corporate re-domiciliation, and if so, please submit satisfactory documentary proof of re-domiciliation to HKSCC together with this form.

** Please cross out whichever is inapplicable

Part VII – DECLARATION BY SYNAPSE USER APPLICANT

To: **Hong Kong Securities Clearing Company Limited**
Hong Kong Exchanges and Clearing Limited

We, _____
Company Name of Synapse Applicant / Existing Synapse User

- 1. **understand** that Synapse will be provided subject to certain terms and conditions as published at [Synapse Term & Conditions](#), which may be changed and supplemented from time to time ("Synapse Terms and Conditions");
- 2. **undertake** to review the Synapse Terms and Conditions and **agree** that our use of Synapse shall be regarded as our acceptance of, and agreement to be bound by, the Synapse Terms and Conditions;
- 3. **confirm** that the information provided in this form is accurate, correct and free from errors;
- 4. **understand and agree** that the personal data submitted for the purpose of processing applications for access to and use of Synapse will be processed in accordance with the Privacy Notice (as updated from time to time) made available on the HKEX website at https://www.hkex.com.hk/Global/Exchange/Privacy-Notice?sc_lang=en, which is also deemed to apply to any physical submission of this form, additional information, and supporting documentation, and that failure to provide sufficient personal data may result in HKSCC being unable to process this application;
- 5. **confirm** (by ticking where applicable) **if any** of the proposed individuals of the Synapse Applicant / Existing Synapse User as listed below are in **Mainland China**:
 - Business Contact Person
 - Technical Contact Person
 - Delegated Administrator
 - AMOO Contact Person
 - EPOO Contact Person
 - AO Contact Person
 - Authorised Signatory
- 6. **specifically acknowledge** that through the submission of this form and any additional information and supporting documentation, confirm the separate consent (by ticking below) of the individual(s) identified in paragraph 5 above, to the necessary processing of the personal data for the application including:
 - consent to the provision of personal data to relevant recipients outside of the jurisdiction; **and**
 - consent to the provision of personal data to relevant recipients within the jurisdiction.

(1) Asset Manager:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)	Name of Signatory(ies)	Date

(2) Global Custodian:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)	Name of Signatory(ies)	Date

(3) Local Custodian:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)	Name of Signatory(ies)	Date

_____ Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)	_____ Name of Signatory(ies)	_____ Date
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(4) Exchange Participant:

_____ Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)	_____ Name of Signatory(ies)	_____ Date
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(5) Clearing Participant:

_____ Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)	_____ Name of Signatory(ies)	_____ Date
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For Office Use Only			
Signature Verified by	Prepared / Checked by	Reviewed by	Updated by
Date	Date	Date	Date

Part VIII – DECLARATION BY SYNAPSE DESIGNATED SERVICE PROVIDER APPLICANT

To: **Hong Kong Securities Clearing Company Limited**
Hong Kong Exchanges and Clearing Limited

We,

Company Name of the Synapse DSP Applicant / Existing Synapse DSP

1. **represent, warrant and undertake** on this day and on each date that we (or our Authorised Users) access and / or use Synapse that:
- (i) we are duly incorporated or established and validly existing and in good standing under the laws of our jurisdiction of incorporation or establishment;
 - (ii) our registration for use of Synapse and the acceptance and performance of our functions and roles on Synapse has been duly authorised with all necessary corporate or third party approvals obtained and do not violate our constitutive documents or any law, regulation or other agreement binding on us;
 - (iii) the terms in this form constitute a legally binding and enforceable contract;
 - (iv) we have full power, authorisation and authority (including from the authorising Synapse User) to execute, deliver and perform our obligations under, and provide Submissions or cause Submissions to be provided to or through Synapse, including by way of provision of confirmation or acceptance on Synapse, which at the respective stages of an information or instruction transmission process shall, to the extent applicable, constitute agreement by such Synapse User to proceed with the instruction and be irrevocably bound by such instruction;
 - (v) the use of Synapse by us and any information provided by us in relation to our registration for the use of Synapse will not subject HKSCC or Relevant Parties to the laws or regulations of any place outside of Hong Kong;
 - (vi) all information provided by us in relation to our registration for the use of Synapse (including information contained in this form and other onboarding materials and information regarding place of incorporation and domicile) and any subsequent information or Submission which may be provided for the maintenance of our status as a Synapse designated service provider from time to time, is and shall be true, complete and accurate. We shall inform HKSCC promptly if any previous information submitted or Submissions made regarding account registration and maintenance become incomplete, inaccurate, or not up to date for any reason and shall provide relevant supporting documents at the request of HKSCC;
 - (vii) all information provided by us in relation to our registration for the use of Synapse will not infringe any third party's copyrights, patents, trademarks, trade secrets or other intellectual property rights;
 - (viii) all Submissions will be provided to or through Synapse in a virus-free electronic format according to applicable regulatory requirements or such timing and procedures specified by HKSCC or in any other manner as may be determined by HKSCC. In addition, we will use our best efforts to ensure that any system or means that we use to access Synapse is free from all viruses, trojan horses, worms, logic bombs or other software routine or hardware components designed to permit unauthorised access, to disable, erase or otherwise harm software, hardware, or data or to perform any such actions;
 - (ix) for the purposes of our participation on Synapse, making any Submissions and performing any of our obligations including acting on information received from Synapse, we have and will maintain the requisite licenses, qualifications, and approvals in Hong Kong and / or, as applicable, our home jurisdictions;
 - (x) there are no actions, suits, proceedings, or regulatory investigations pending or threatened against us or any of our affiliates that might adversely affect our ability to meet and carry out our functions on Synapse;
 - (xi) no Insolvency Event has occurred;
 - (xii) we have complied with all applicable laws and regulations in connection with our use of Synapse including, without limitation, Data Protection Legislation and all rules, regulations, procedures, and directions of HKSCC and Relevant Parties as may be prescribed and notified to it from time to time.; and
 - (xiii) we shall, where applicable, be responsible for:

- a. subscribing for relevant services that interface with Synapse;
 - b. arranging relevant system setup or system enhancements for the purpose of using different interfaces or systems in connection with Synapse;
 - c. establishing relevant arrangements or agreements with any other Synapse Users relating to the transmission and receipt of information through Synapse;
 - d. having in place contingency measures to ensure the timely settlement of trades in CCASS in case there is any unavailability, disruption, suspension, or delay in the operation of Synapse, which HKSCC and Relevant Parties disclaim all liability for in accordance with Clause 11 of the Synapse Terms and Conditions;
 - e. checking and confirming if any instructions transmitted to CCASS through Synapse have been effected or cancelled and making arrangements to re-enter or amend any such instructions if necessary, through CCASS or by any other means, generally and, in particular, during or immediately after any Typhoon Signal No. 8 or above is hoisted and lowered, any Black Rainstorm Warning is issued and cancelled, or any extreme conditions are announced and cancelled by any government authority of Hong Kong, any system interruptions or failure or any other extraordinary situations; and
- (xiv) we have obtained valid written consent from each data subject regarding the collection, storage, use, disclosure, and transfer of Personal Data in relation to such use for the Specified Purposes and in accordance with the requirements of Data Privacy Legislation. To the maximum extent permissible under Data Privacy Legislation, we undertake to ensure that the consent shall enable HKSCC and the Relevant Parties to continue to store, use, disclose and transfer Personal Data for the Specified Purposes if there is a withdrawal of the data subject's consent;

2. **understand and agree** that the personal data submitted for the purpose of processing applications for access to and use of Synapse will be processed in accordance with the Privacy Notice (as updated from time to time) made available on the HKEX website at https://www.hkex.com.hk/Global/Exchange/Privacy-Notice?sc_lang=en, which is also deemed to apply to any physical submission of this form, additional information, and supporting documentation, and that failure to provide sufficient personal data may result in HKSCC being unable to process this application;

3. **confirm** (by ticking where applicable) **if any** of the proposed individuals of the Synapse DSP Applicant / Existing Synapse DSP as listed below are in **Mainland China**:

- Business Contact Person
- Technical Contact Person
- Authorised Signatory

4. **specifically acknowledge** that through the submission of this form and any additional information and supporting documentation, confirm the separate consent (by ticking below) of the individual(s) identified in paragraph 3 above, to the necessary processing of the personal data for the application including:

- consent to the provision of personal data to relevant recipients outside of the jurisdiction; **and**
- consent to the provision of personal data to relevant recipients within the jurisdiction.

(6) Asset Manager's Middle Office Outsourcing Operator:

 Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

 Name of Signatory(ies)

 Date

(7) Exchange Participant's Middle Office Outsourcing Operator:

_____ Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)	_____ Name of Signatory(ies)	_____ Date
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(8) Clearing Participant's Account Operator:

_____ Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)	_____ Name of Signatory(ies)	_____ Date
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For Office Use Only			
Signature Verified by	Prepared / Checked by	Reviewed by	Updated by
Date	Date	Date	Date