

# 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)

**CN001 (CIS)**

**COMPANY CASE NUMBER REQUEST FORM**

**LISTING APPLICATIONS FOR COLLECTIVE INVESTMENT SCHEME (“CIS”)**

|  |  |
| --- | --- |
| **Date of Request\*** | DD MM YYYY |
| **I. Subject Matter\***  **For initial listing application**  **For renewal of application**  **Filing date of the latest application:** DD MM YYYY | |
| **II. New Listing Applicant information\*** | |
| Name of applicant (in English): | Input the English name of the applicant |
| Name of applicant (in Chinese)1: | Input the Chinese name of the applicant |
| Where applicable: |  |
| 1. Name of sub-fund (in English): | Input the English name of the sub-fund |
| Name of sub-fund (in Chinese)1: | Input the Chinese name of the sub-fund |
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| Name of sub-fund (in Chinese)1: | Input the Chinese name of the sub-fund |
| Please insert additional rows for more sub-fund(s) |  |
| Types of CIS: | Exchange Traded Funds (“ETF”)  Real Estate Investments Trusts (“REITS”)  Other unit trusts / mutual funds, please specify:  **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |
| Expected submission date of listing application: | DD MM YYYY |
| Date / Expected date of SFC’s no comment confirmation on CIS Disclosure Document: | DD MM YYYY |
| **III. Listing agent information\*** | |
| Name of listing agent: | Input the name of listing agent |
| Contact email(s)2: | Input the email address |
| Contact person and telephone3: | Input the name and phone number of the contact person |
| **IV. Other Listing agent’s information (where applicable)** | |
| Name of listing agent(s): | Input the name of listing agent |
| Contact email(s)2: | Input the email address |
| Contact person and telephone3: | Input the name and phone number of the contact person |

Notes:

\* All fields under this section are mandatory.

1. Input N/A if the applicant does not have a Chinese name.
2. Input the project emails if any.
3. This is use for communication with IPO Administrative Team on case number and document submission matters only.