

Master SPSA Holder Application/ Change of Details Form

To: Clearing Administration & Services
Hong Kong Securities Clearing Company Limited
30/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong

CCASS-Form 101

Email: CDCO_CAS@hkex.com.hk
Fax: (852) 2590-7000
China Connect Hotline: (852) 2979-7123

FOR OFFICE USE ONLY Confirmed Effective Date:
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NOTES

- Capitalized terms used in this form shall have the following meaning:
“BCAN” means Broker-to-Client Assigned Number;
“CCEP” means China Connect Exchange Participant;
“HKEX” means Hong Kong Exchanges and Clearing Limited;
“HKSCC” means Hong Kong Securities Clearing Company Limited;
“SEHK” means The Stock Exchange of Hong Kong Limited; and
“Terms and Conditions” means the Terms and Conditions of the Services for Master SPSA Holder.
- Please read carefully all the information and notes provided in this form before completion. After completing this form, please remember to sign and date it.
- By submitting this form, the Applicant agrees to comply with the applicable Terms and Conditions as amended and supplemented from time to time. Click [here](#) for the current version of the Terms and Conditions.
- To be eligible for applying a Master SPSA ID, the Applicant must have maintained 2 or more SPSAs¹.
- To facilitate the use of the services for Master SPSA through Internet Report Access Platform (iRAP) to receive the Day-begin Sellable Balance Report, the Applicant may also apply for an access right to the iRAP.
- The Applicant shall complete and submit this form together with (i) an application fee of HK\$50,000 per Master SPSA ID, by direct bank in or other electronic payment methods as mentioned below., (ii) a certified true copy of the Applicant’s business registration (or its equivalent), (iii) a board resolution of the Applicant to authorize the operation of the Master SPSA ID by its authorized personnel together with their specimen signatories. Detail of the supporting document requirements can be found on the website of HKEX (click [here](#)). The Applicant will receive confirmation from HKSCC when its application is approved. Normally, HKSCC will take 5 business days to complete the process for an application.

The details for direct bank in or electronic payment methods are as follows:

Bank : The HK and Shanghai Banking Corporation Limited
Name : Hong Kong Securities Clearing Company Limited
Account no. 600-398168-004
For Faster Payment System (FPS): input FPS email address scdn@hkex.com.hk

¹ In respect of any SPSAs to be mapped to a Master SPSA ID, a Master SPSA Holder shall ensure that it is authorised to manage such SPSAs and to submit the mapping requests to HKSCC.

7. For applying for additional or deletion of Master SPSA ID(s), the Applicant will receive confirmation from HKSCC when its application is approved. Normally, HKSCC will take 5 business days to complete the process for an application.
8. The Applicant shall notify HKSCC of any update to the information provided under this form.

Part I – REQUEST DETAILS

Please select if applicable,

- New Applicant (Please fill in Part II and VI *Part V if applicable)**
- Existing Master SPSA Holder applying for additional Master SPSA ID (Please fill in Part III and VI)
* Part V if applicable**
- Existing Master SPSA Holder applying for deletion of Master SPSA ID (Please fill in Part III and VI)**
- Existing Master SPSA Holder changing existing details (Please fill in Part IV and VI *Part V if applicable)**

Part II – NEW APPLICANT (NEW APPLICATION)

Name of Applicant (Company Name)	(in English)	
	(in Chinese)	
	Short Name (English)	
Fax No.		
Office Address		
Legal Entity Identifier		
No. of SPSAs Maintained at the Time of Application		■
No. of Master SPSA ID applied for		■ * Please also fill the information below
Will any of the CCEPs to be mapped to the Master SPSA ID(s) applied for assign BCAN to funds or discretionary accounts managed by the Applicant or its affiliated asset management company?		■ NO – No. of Master SPSA ID(s) applied: ■ ■ YES – No. of Master SPSA ID(s) applied: ■ *Please complete Part V (i)

Information of the Contact Person(s) for the Application			
Contact Person			
Name			
Position			
Contact No.		Email Address	
Alternate Contact Person			
Name			
Position			
Contact No.		Email Address	

Part III – EXISTING MASTER SPSA HOLDER (APPLYING FOR ADDITIONAL OR DELETION OF MASTER SPSA ID)

Name of Master SPSA Holder

Master SPSA Holder ID F

No. of Additional Master SPSA ID(s) applied for * Please also fill the information below

Will any of the CCEPs to be mapped to the Master SPSA ID(s) applied for assign BCAN to funds or discretionary accounts managed by the Applicant or its affiliated asset management company? NO – No. of Master SPSA ID(s) applied:

YES – No. of Master SPSA ID(s) applied:
*Please complete Part V (i)

No of Master SPSA ID(s) to be Deleted

Master SPSA ID(s) (only applicable to deletion of Master SPSA ID)

Proposed Effective Date for Deletion [DD / MM / YYYY]
(only applicable to deletion of Master SPSA ID)

Part IV – EXISTING MASTER SPSA HOLDER (CHANGE OF EXISTING DETAILS)

Name of Master SPSA Holder

Master SPSA Holder ID F

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)	<input style="width: 100%;" type="text"/>
		(in Chinese)	<input style="width: 100%;" type="text"/>
		Short Name (English)	<input style="width: 100%;" type="text"/>
<input type="checkbox"/>	Fax No.		<input style="width: 100%;" type="text"/>
<input type="checkbox"/>	Office Address		<input style="width: 100%;" type="text"/>
<input type="checkbox"/>	Legal Entity Identifier		<input style="width: 100%;" type="text"/>
<input type="checkbox"/>	Contact Person		<input style="width: 100%;" type="text"/>

	Name			
	Position			
	Contact No		Email Address	
<input type="checkbox"/>	Alternate Contact Person			
	Name			
	Position			
	Contact No		Email Address	
<input type="checkbox"/>	Fund Name Assigned to Designated Master SPSA ID(s)	*Please state changes in Part V (ii)		

Part V – DECLARATION ON USAGE OF MASTER SPSA ID¹

If any CCEP to be designated to a Master SPSA ID has assigned BCAN to an individual fund or a discretionary account (generally referred to as “fund”) managed by the Master SPSA Holder or its affiliated asset management company, each Master SPSA ID shall be used exclusively for a particular fund designated by the Master SPSA Holder. Please note that only those SPSAs which exclusively maintain holdings of China Connect Securities of the designated fund can be mapped to the relevant Master SPSA ID.

i) For New Master SPSA ID(s) applications, please declare the fund name(s).

Master SPSA 1 *ID: _____	Fund Name: _____
Master SPSA 2 *ID: _____	Fund Name: _____
Master SPSA 3 *ID: _____	Fund Name: _____
Master SPSA 4 *ID: _____	Fund Name: _____
Master SPSA 5 *ID: _____	Fund Name: _____

* Master SPSA ID(s) will be marked by HKEX

¹ Complete this Part V only if any of the CCEP to be mapped to the Master SPSA ID(s) applied for has assigned BCAN to funds or discretionary accounts managed by the Applicant or its affiliated asset management company.

ii) For Change of Fund Name(s) assigned to designated Master SPSA ID(s) (only applicable for those Master SPSA ID(s) for exclusive use by the relevant funds)

Master SPSA ID	Fund Name
	Old Name: _____ New Name: _____
	Old Name: _____ New Name: _____
	Old Name: _____ New Name: _____
	Old Name: _____ New Name: _____
	Old Name: _____ New Name: _____

Part VI – DECLARATION

To: **Hong Kong Securities Clearing Company Limited**
The Stock Exchange of Hong Kong Limited
Hong Kong Exchanges and Clearing Limited

We, _____
Name of Applicant (Company Name)

1. **understand** that a Master SPSA ID will be provided subject to certain requirements as set out in the Terms and Conditions, as amended, modified and supplemented from time to time;
2. **agree** that our use of the Master SPSA ID shall be regarded as our acceptance of, and agreement to be bound by, the Terms and Conditions;
3. **consent** that HKSCC, SEHK and HKEX, any recognized exchange controller which is the controller of HKSCC, SEHK and HKEX, and any company of which a recognized exchange controller which is controller of HKSCC, SEHK and HKEX, is a controller may disclose information relating to us to the Securities and Futures Commission, any exchange, clearing house and regulatory authority (whether within or outside Hong Kong);
4. **consent** that HKSCC, SEHK and HKEX as the case may be, may use and rely on any requests, instructions or information provided by our contact person(s), authorized signatories or users of the Master SPSA ID from time to time;
5. **confirm** that the information provided in this form is accurate, correct and free from errors; and
6. **consent** to the processing of personal data in accordance with the Privacy Policy Statement appended to this form.

Applicant for the Master SPSA ID/ Existing Master SPSA Holder

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

For Official Use Only

Signature Verified by:	Prepared / Checked by:	Reviewed by:	Updated by:
Date:	Date:	Date:	Date:
Master SPSA Holder ID Assigned:			
Master SPSA ID(s) Assigned:			

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) recognize 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 unauthorized 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 authorized 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 recognized 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 reorganization

As we continue to develop our business, we may reorganize 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 reorganization.

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