



**Information Package on
Batch-2 Rollout Test 1**

China Connect Central Gateway

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1. Introduction

HKEX China Connect Central Gateway (“CCCG”) is a new market access gateway which is implemented based on Orion Central Gateway (“OCG”) model for HK Securities Market to provide a consistent interface to China Connect Exchange Participants (“CCEPs”). CCCG is used for connection between Broker Supplied System (“BSS”) and China Stock Connect System (“CSC”), and order routing to mainland stock exchange(s). Through a phased migration, CCCG aims to replace the existing China Connect Open Gateway (“CCOG”). CCCG has been launched on 17 July 2017 successfully.

To support the migration from CCOG to CCCG, HKEX started Batch-2 enrollment in May 2017. Simulator test and End-to-End test were subsequently organized for enrolled CCEPs using their BSS to verify that they have successfully implemented the interface protocol requirements and other system changes for using the CCCG. This document provides details on the final set of on-boarding activities in which Batch-2 CCCG users who have successfully completed the preparatory and conformance tests are required to participate should they wish to join CCCG Batch-2 production launch.

2. Objective and Scope

These on-boarding activities in focus here comprise Rollout Test 1 (RT1) and Rollout Test 2 (RT2) to be conducted during designated week-ends of August 2017 as listed below:

Test	Date	Time	Objectives
RT1	12 th August 2017	09:15 – 11:30	<ol style="list-style-type: none">1. To enable CCEPs to test and ensure the setup from their side for connecting to CCCG production infrastructure at HKEX primary site via SDNet/2 and/or HSN circuits is in proper order.2. To enable CCEPs to verify their interface from BSS to CCCG functions normally by performing normal trading activities3. To enable CCEPs to verify their BSS throughput capacity and performance using the CCCG sessions for trading
RT2 (optional for CCEPs participated in RT1 with positive feedback result)	19 th August 2017	To be announced later	Same as RT1

Batch-2 CCCG users are required to participate either RT1 or RT2 and satisfactorily complete the RT and return positive test result are then arranged to rollout of CCCG in production.

This information package is for RT1. Separate information package for RT2 will be issued in due course.

3. Guidelines for CCCG Batch-2 Rollout Test 1

All Batch-2 enrolled CCEPs are requested to make note of the following important points when they take part in RT1 :

Before RT1

- a. CCEPs must complete the CCCG offline simulator test and end-to-end test to verify the readiness of their BSS software with positive result prior to participation in RT1.
- b. CCEPs should download the latest information package from the [Technical Documents](#) section at [HKEX mutual market](#) website prior to conducting RT1.

Testing Securities and Shareholdings

- c. Security Database to be used in the RT1 and shareholdings in SSE and SZSE eligible securities assigned to CCEPs for testing purpose are detailed in **Appendix C**.
- d. CCEPs who rely on market data vendors for providing price updates should liaise with their respective market data vendors for providing the services during RT1. It should be noted that HKEX Orion Market Data Platform – China Connect (Securities) (OMD-CC) will also operate during the RT1.
- e. Real-time price data of Northbound (“NB”) test securities will be available from the Market Data Portal after market open till market close during RT1. URL of the portal is: <http://203.78.5.160/MDP>

During / After RT1

- f. **ALL** the applied CCCG and China Connect Drop-Copy sessions will be turned on in the RT1. CCOGs will also be turned on if EPs still have throttle and broker number assigned to CCOGs after transferring throttle to CCCG sessions. CCEPs should disconnect their BSS from CCOG if such BSS will not participate in RT1.
- g. CCEPs must ensure that the correct version of BSS software be activated before connecting to CSC. After the RT1, CCEPs must ensure that fallback of BSS software and/or back-office systems(s), where applicable, to current production version is successfully completed so that there is no interruption to their trading activities on the following trading day. CCEPs are reminded to back up their BSS production databases before the RT1 so that the database can be restored after the test to safeguard data integrity for the following trading day.
- h. CCEPs must sign on **ALL** subscribed CCCG session(s) and China Connect Drop-Copy session(s) by using the assigned Comp ID and testing password “Ab123456”.
- i. CCEPs participating in Shenzhen-Hong Kong and Shanghai-Hong Kong Stock Connect are required to input orders for SZSE & SSE securities via their applied CCCG session(s).
- j. CCEPs implementing/supporting short selling function must input at least 1 short selling order for each of Shenzhen and Shanghai market.
- k. CCEPs implementing/supporting pre-trade checking function for institutional investor ID (II ID) must input at least 1 II ID sell order for each of Shenzhen and Shanghai market. Buy order is optional.

CCEPs already rolled out pre-trade checking function for II ID, please use the II ID opened at or before **10 August 2017**.

CCEPs supported but not yet rolled out pre-trade checking function for II ID, dummy II ID will be separately issued to the relevant CCEPs.

- l. After completion of RT, CCEPs must return the feedback forms for each of the RT to HKEX on or before the specified dates.
- m. Two 5-minute Volume Test sessions are scheduled in RT1 to assist CCEPs using CCGG session in verifying their system throughput capacity and performance.
- n. CCEPs trading through CCGG sessions should monitor the performance of their systems during the volume test sessions to see whether there is any issue with their BSS, especially in handling maximum entitled throughput capacity.
- o. Check orders and / or trades received from the China Connect Drop-Copy session applied.
- p. Trade and other files applicable for NB trading will be available for download from the nominated folder, specially designated for testing, through the [Electronic Communication Platform](#) (ECP).

4. Rollout Test 1 on 12 August 2017

It is mandatory for participation. Below is the timetable for reference:

Time	Session
09:10 ^{Note1} – 09:25	Opening Call Auction
09:25 ^{Note1} – 10:31	Morning Continuous Auction (including one 5-minute Volume Test session starting from 10:00)
10:34 ^{Note1} – 11:31	Afternoon Continuous Auction (including one 5-minute Volume Test session starting from 11:00)
11:35	Day Close

Note 1

CSC will start to accept China Connect orders few minute(s) before the commencement of trading session(s) of SSE and SZSE. However, the CSC, SSE and SZSE will only process China Connect orders input when the Opening Call Auction Session commences at 9:15 or Morning Continuous Auction Session commences at 9:30 or when the Afternoon Continuous Auction Session commences at 10:35 according to SSE/SZSE timetable.

5. Typhoon and /or Rainstorm Arrangements

CCEPs are requested to note the following arrangement should typhoon or rainstorm be encountered on the day of RT1.

- a. In case Typhoon Signal No. 8 or above and / or Black Rainstorm Warning is issued or continues to be issued anytime from 7:00am to 9:00am, the activity of the day will be cancelled and will not be resumed for the rest of the day.
- b. In case Typhoon Signal No. 8 or above is issued after 9:00am, the activity of the day will be terminated 15 minutes thereafter.
- c. In case Black Rainstorm Warning is issued after 9:00am, the activity of the day will continue until completion.

In any case, all participating CCEPs should complete the appropriate day-end works including file/database backup and restoration, system restoration/fallback and so on to ensure there will be no interruption on the next trading day.

6. Enquires

For queries and/or further clarification on the CCCG RT1, please contact us by e-mail to ams3info@hkex.com.hk.

Alternately, you may contact HKEX by phone at the following numbers:

- Participant General Enquiry Hotline at 2840-3626 for general issue
- BSS Support Team at 2840-3351 for technical enquiry
- HKEX-IS Team at 2211-6558 for OMD-CC enquiry

7. Appendices

Appendix A Activity Rundown for Batch-2 CCCG Rollout Test 1

Appendix B Feedback Form

Appendix C Testing Stocks and Stock Balances

Appendix D Notes on Order Input

Appendix E Privacy Policy Statement

Activity Rundown for Batch-2 CCCG Rollout Test 1 on 12 August 2017

Time	Activities of CSC (Northbound Trading)
Friday (11 August 2017)	
After 17:00	<ul style="list-style-type: none"> <input type="checkbox"/> For all CCCG/BSS sessions, ensure change, if any, to network configuration is properly completed <input type="checkbox"/> Ensure all CCCG/BSS components and CCOG/BSS components (including network routers & CCOG servers) are powered on after trading hours <input type="checkbox"/> Ensure the production database of in-house / back-office systems are properly backed-up <input type="checkbox"/> For those BSS which are not going to participate in the test, ensure that each of these BSS is not connected to the CCOG, to avoid receiving the testing data. <input type="checkbox"/> For all existing production BSS, please do not input any next day requests after trading hours on Friday (i.e., requests intended for submission to CSC on the following trading day, since next day requests will be submitted to CSC during the RT1 and will not be available on the following trading day).
Saturday (12 August 2017)	
Before 09:00	<p><u>Logon to CSC Host</u></p> <p>For CCCG and China Connect Drop-Copy Sessions :</p> <ul style="list-style-type: none"> <input type="checkbox"/> Connect to ALL applied CCCG and China Connect Drop-Copy Sessions, logon ALL the applied sessions by using the assigned Comp ID and testing password "Ab123456". <p>For CCOG/BSS :</p> <ul style="list-style-type: none"> <input type="checkbox"/> Perform trading system logon by using production trader ID and testing password "123456".
Opening Call Auction	
09:10 -	<ul style="list-style-type: none"> <input type="checkbox"/> The opening call auction session of SSE/SZSE will run from 09:15 – 09:25 <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) and refer to Appendix D for Notes on Order Input <input type="checkbox"/> Take note of the saleable quantities of eligible stocks on hand with reference to Appendix C <p>Note: CSC will start to accept China Connect orders from 9:10. However, these orders will only be processed according to the timetable of SSE/SZSE.</p>
Morning Continuous Auction Session	
09:30 -	<ul style="list-style-type: none"> <input type="checkbox"/> The continuous auction session of SSE/SZSE will run from 09:30 – 10:30 <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) and refer to Appendix D for Notes on Order Input <input type="checkbox"/> Take note the saleable quantities of eligible stock on hand <p>CCEPs implement/support short selling function</p> <ul style="list-style-type: none"> <input type="checkbox"/> Input at least 1 short selling order for SZSE security and 1 short selling order for SSE security

	<p>CCEPs implement/support Pre-trade checking for institutional investor function</p> <ul style="list-style-type: none"> <input type="checkbox"/> Input at least 1 sell order for SZSE security and 1 sell order for SSE security with II ID. For buy order, input of IIID is optional. <p>Note:</p> <ul style="list-style-type: none"> <input type="checkbox"/> CSC will accept China Connect orders from 9:25 to 10:31. However, these orders will only be processed according to the timetable of SSE/ SZSE
First Volume Test Session	
10:00 – 10:05	<ul style="list-style-type: none"> <input type="checkbox"/> Input orders using all the throttles available for the CCCG session and CCOG for the entire 5 minutes. <input type="checkbox"/> CCEPs should report immediately any irregularities identified during the Volume Test Session to HKEX.
Exchange Intervention	10:31
Close	10:32
Afternoon Continuous Auction Session	
10:35 –	<p><u>SSE:</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> The continuous auction session of SSE will run from 10:35 – 11:30 <p><u>SZSE:</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> The continuous auction session of SZSE will run from 10:35 – 11:27 <input type="checkbox"/> Closing Call Auction will run from 11:27 – 11:30 <p><u>SSE/SZSE:</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) and refer to Appendix D for Notes on Order Input <input type="checkbox"/> Take note the saleable quantities of eligible stock on hand <p>Note:</p> <ul style="list-style-type: none"> <input type="checkbox"/> CSC will start accept China Connect orders from 10:34 to 11:31. However, these orders will only be processed according to the timetable of SSE/ SZSE.
Second Volume Test Session	
11:00 – 11:05	<ul style="list-style-type: none"> <input type="checkbox"/> Same as First Volume Test Session.
Exchange Intervention	11:31
Day Close	11:35
11:35 -	<p>For CCCG and China Connect Drop-Copy Sessions :</p> <ul style="list-style-type: none"> <input type="checkbox"/> Logout and terminate CCCG and China Connect Drop-Copy sessions <input type="checkbox"/> Perform end-of-trading procedures, if any, to ensure database integrity <input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable) <p>For CCOG/BSS :</p> <ul style="list-style-type: none"> <input type="checkbox"/> Perform any day-end processes to ensure database integrity <input type="checkbox"/> Perform trader permanent sign off <input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable) <input type="checkbox"/> After the RT1, CCEPs are also reminded to clean up the next day requests, if any, to ensure that these testing orders will not be carried forward to the

	<p>production on the following trading day</p> <p><input type="checkbox"/> Leave all CCOG/BSS and CCCG/BSS components powered-on throughout the weekend.</p>
Download Day-end Trade File and Closing Price File	
12:00 – 23:59	<p>Download the following files by using production user ID with “TO” user group (i.e. user ID of MXXXXXTXXXX) and production password through Electronic Communication Platform (ECP)</p> <p><input type="checkbox"/> Trade file for SSE/SZSE (from 12:00) and check the accuracy of trade details</p> <p><input type="checkbox"/> Closing price file for SSE/SZSE securities (from 13:00)</p>
Complete and Return Feedback Form	
Before 18:00, 14 August 2017	<p>Complete and return the Feedback Form (Appendix B) to HKEX by fax (Fax No.: 2521-7899 or 2868-5223) or by email to ams3info@hkex.com.hk .</p>

Note: CCEPs who do not follow the testing guidelines or conduct frivolous activities during the Rollout Test will be suspended from further participation in the Rollout Test without prior notice.

Feedback Form for CCG Batch-2 Rollout Test on 12 August 2017 (RT1)

Notes :

1. Please complete both Sections I and II of this form.
2. **Upon completion, please return the form to HKEX by Fax (fax nos.: 2521-7899 or 2868-5223) or by Email to ams3info@hkex.com.hk on or before 14 August 2017**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626

Section I Exchange Participant Information

Participant Name	Participant ID
Contact Person	Contact No.

Section II Exchange Participant Feedback *(please tick the appropriate boxes)*

1. Did your CCG trading session(s) encounter any unresolved connectivity or logon issues during the Rollout Test?
 - No
 - Yes, please specify : _____

2. Did your trading session(s)/device(s) experience any system failure or interruption during the Rollout Test?
 - No
 - Yes, please specify : _____

3. Did your trading session(s)/device(s) experience any issue in receiving response for any order transactions (especially during the Volume Test)?
 - No
 - Yes, please provide relevant details of the transactions (e.g. transaction time, stock code, order price etc.) for analysis by HKEX : _____

4. Did your China Connect Drop-Copy session(s) encounter any unresolved connectivity or logon issues during the Rollout Test?
 - Not applicable
 - No
 - Yes, please specify : _____

5. Did your China Connect Drop-Copy session(s) experience any system failure or interruption during the Rollout Test?

- Not applicable
- No
- Yes, please specify :

6. **For HKEX Orion Market Data Platform – China Connect (Securities) (OMD-CC) subscribers:** Did you experience any issue in receiving OMD-CC data during the Rollout Test?

- No
- Yes, please specify : _____

7. If you have further comments about the Rollout Test, please specify below:

By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in Appendix E of this Information Package.

Signature of Responsible Officer with Company Chop : _____ Date : _____

Name of Responsible Officer : _____

Testing Stocks and Stock Balances

Security Database for the RT1

CSC : SSE Security database as at market open on **14 August 2017**.

SZSE Security database as at market open on **14 August 2017**.

For details, please refer to [Eligible stocks](#) page on HKEX website at [HKEX mutual market](#) web corner.

Pre-set Stock Balances for Northbound Trading

For each CCEP and each Institutional Investor (II) ID allocated to CCEP will have the maximum sellable quantity 5,000 for the following stocks during the RT1.

For each Short Selling Security in the RT1, the maximum number of shares available for short selling is 5,000.

SSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
600009	90009	SHANGHAI INTERNATIONAL AIRPORT	Yes	5,000
600019	90019	BAOSHAN IRON & STEEL	Yes	5,000
600028	90028	CHINA PETROLEUM AND CHEMICAL	Yes	5,000
600036	90036	CHINA MERCHANTS BANK	Yes	5,000
600066	90066	ZHENGZHOU YUTONG BUS	Yes	5,000
600276	90276	JIANGSU HENGRUI MEDICINE	Yes	5,000
600282	90282	NANJING IRON AND STEEL	No	5,000
600690	90690	QINGDAO HAIER	Yes	5,000
600887	90887	INNER MONGOLIA YILI INDUSTRIAL	Yes	5,000
600900	90900	CHINA YANGTZE POWER	Yes	5,000
601006	91006	DAQIN RAILWAY	Yes	5,000
601288	91288	AGRICULTURAL BANK OF CHINA	Yes	5,000
601318	91318	PING AN INSURANCE	Yes	5,000
601328	91328	BANK OF COMMUNICATIONS	Yes	5,000
601398	91398	INDUSTRIAL AND COMMERCIAL BANK OF CHINA	Yes	5,000
601901	91901	FOUNDER SECURITIES	Yes	5,000
601939	91939	CHINA CONSTRUCTION BANK	Yes	5,000
601988	91988	BANK OF CHINA	Yes	5,000
600567	90567	ANHUI SHANYING PAPER INDUSTRY	No	5,000
603288	93288	FOSHAN HAITIAN FLAVOURING AND FOOD	No	5,000
SZSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
000001	70001	PING AN BANK	Yes	5,000
000333	70333	MIDEA GROUP	Yes	5,000
000651	70651	GREE ELECTRIC APPLIANCES INC OF ZHUHAI	Yes	5,000
000725	70725	BOE TECHNOLOGY GROUP	Yes	5,000
000858	70858	WULIANGYE YIBIN	Yes	5,000
002027	72027	FOCUS MEDIA INFORMATION TECHNOLOGY	Yes	5,000
002415	72415	HANGZHOU HIKVISION DIGITAL TECHNOLOGY	Yes	5,000
002589	72589	REALCAN PHARMACEUTICAL	No	5,000
300124	77124	SHENZHEN INOVANCE TECHNOLOGY	Yes	5,000
300433	77433	LENS TECHNOLOGY	No	5,000

Notes on Order Input for Rollout Test 1

The following notes on order input are applicable for Opening Call Auction and Continuous Auction Sessions of Northbound Trading

General

1. Orders to be input should be at prices within +/- 10% from previous closing price.
2. Buy orders should not be below the current best bid price/ the latest trade price / the previous closing price (as the case may be) by more than 3%.
3. Cancel outstanding orders as far as possible.

Short Selling Order

4. A Short Selling order for a Short Selling Security shall not be input into the CSC at a price lower than the most recent execution price for that Short Selling Security or, if there have been no executed trades for that Short Selling Security on the relevant CSC trading day, the previous closing price for that Short Selling Security.
5. Short Selling order must be in multiples of 100 shares.
6. Any Short Selling order of a Short Selling Security that, if executed, will cause the 1% daily limit to be exceeded during the course of a CSC trading day will be rejected by the CSC.

Sell Order and Buy Order for Pre-Trade Checking Function for Institutional Investors

7. For those supporting pre-trade checking function for institutional investors, input Institutional Investor ID (IIID) for sell orders and, if applicable, buy orders.

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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 unauthorised 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 authorised 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 recognised 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.

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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.

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For one or more of the purposes specified above, your personal data may be:

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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

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3. other parties as notified to you at the time of collection.

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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
12/F., One International Finance Centre
1 Harbour View Street
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK