

REGISTRATION FOR
LARGE OPEN POSITION (“LOP”) REPORT SUBMISSION

MARKET SURVEILLANCE AND MONITORING

21/F One Exchange Square
8 Connaught Place
Central, Hong Kong

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Section I Submission of LOP report

(a) LOP report of		(b) LOP report submission through	
<input type="checkbox"/>	Index futures/options contracts or other futures contracts	<input type="checkbox"/>	Web-based Electronic Communication Platform (ECP)
<input type="checkbox"/>	Stock options contract	<input type="checkbox"/>	Electronic Communication Platform (ECP) Secure File Transfer Protocol Service (“SFTP”) *

* Applicable for Clearing Participants only

Section II Particulars of registrant

Company name

Mailing address

Contact for daily LOP report follow up

Primary contact

Person Name:

Job Title:

E-mail Address:

Telephone No.:

Secondary contact

Person Name:

Job Title:

E-mail Address:

Telephone No.:

* contact information of at least two persons who are able to answer queries from the Exchange in relation to the future reporting of LOP of the registrant is required

By signing below, we represent and warrant that, to the extent that we provide or submit any personal data, we have a lawful basis, and where required under applicable data protection legislation, we have provided requisite notices to and/or obtained valid written consent from individuals to share their personal data with HKEX, its affiliates and any third parties processing as set out in the [General Privacy Notice](#) (as updated from time to time).

Responsible Officer Signature

Date

Name of Signatory

Title