HKEX
香港交易所

HKEX FINI Delegated Administrator Maintenance Form

G-Form – 15

To: Client Portal Support Team
Hong Kong Exchanges and Clearing Limited ("HKEX")
45/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong

Notes:

1) This form should be used for addition, change and/ or removal of one company's Delegated Administrator(s) ("DAs"). (I.e. If a DA manages the user profiles of multiple companies, a separate DA maintenance form needs to be submitted for each managed company.)

2) Read carefully the Explanatory Notes and FINI Privacy Notice on our FINI website (https://www.hkex.com.hk/fini) before completion.

3) The form may be typewritten or legibly handwritten. Upon completion, please sign and date the form.

4) Please submit the completed form by email to cs_cps_cc@hkex.com.hk.

5) In general, HKSCC will process the duly completed form within 5 working days. Your company's new DA or existing DA will receive an email upon completion of the process for account creation or change of details. A new DA has to setup his / her own password following the instructions in the email.

6) For enquiry, please contact us at cs_cps_cc@hkex.com.hk.

Part 1 – Applicant's details

Company Name (English)			
Contact Person Name			
Contact Person Email Address		Contact Person Telephone No.	

Part 2 – Details of Request

Notes:

1) Please ensure your company has appointed at least two DAs, at all times, 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 your company's user profile. An applicant may, at the maximum, appoint 4 individuals to act simultaneously as makers and checkers.

2) Please select below the role you would like to grant to your appointed DAs:
"Maker" (for creating and maintaining users' profile);
"Checker" (for approving any user's profile created or changed by a maker); or
"Both" (for the functions of both Maker and Checker).

3) 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; or at least one Maker and one Checker.

4) Please ensure that all contact details are entered correctly. The email address will serve as the DA's FINI log in username, and system notifications will be sent to this email address. **For security reasons, please provide the DA's corporate email address**. The contact telephone number may be used for authentication purposes.

Add Request(s):

- *Please provide the details specified below.*
- *Please select the User Types you would like your appointed DAs to manage. Note that you can only select the User Type(s) that your company is already registered under.*

Add Request #1:			
Last Name		**First Name**	
Email Address		**Contact Number**	
User Type(s)	☐ Sponsor ☐ Legal Counsel ☐ Intermediary ☐ HKSCC Participant ☐ Bank ☐ Share Registrar	**User role** (the role will be applied to all the selected user type(s))	☐ Maker ☐ Checker ☐ Both Maker & Checker

Add Request #2:			
Last Name		**First Name**	
Email Address		**Contact Number**	
User Type(s)	☐ Sponsor ☐ Legal Counsel ☐ Intermediary ☐ HKSCC Participant ☐ Bank ☐ Share Registrar	**User role** (the role will be applied to all the selected user type(s))	☐ Maker ☐ Checker ☐ Both Maker & Checker

Add Request #3:			
Last Name		**First Name**	
Email Address		**Contact Number**	
User Type(s)	☐ Sponsor ☐ Legal Counsel ☐ Intermediary ☐ HKSCC Participant ☐ Bank ☐ Share Registrar	**User role** (the role will be applied to all the selected user type(s))	☐ Maker ☐ Checker ☐ Both Maker & Checker

Add Request #4:			
Last Name		**First Name**	
Email Address		**Contact Number**	
User Type(s)	☐ Sponsor ☐ Legal Counsel ☐ Intermediary ☐ HKSCC Participant ☐ Bank ☐ Share Registrar	**User role** (the role will be applied to all the selected user type(s))	☐ Maker ☐ Checker ☐ Both Maker & Checker

Change Request(s):

- *Please provide the DA's current user login ID (i.e. the DA's email address for FINI log in).*
- *You may modify the DA's Last Name, First Name, Email Address (which will become the DA's new User Login ID), Contact Number, and User Role(s).*
- *To change the DA's role, please specify the role(s) to be added and/or removed.*
- *For the information that is not changed, please leave the field(s) blank.*

Change Request #1:			
Current User Login ID			
New Last Name		**New First Name**	
New Email Address		**New Contact Number**	
Role Change			
Action (please take tick one)	**User Type(s) (multiple selection allowed)**		**User Role (please tick one)**
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker

Change Request #2:			
Current User Login ID			
New Last Name		**New First Name**	
New Email Address		**New Contact Number**	
Role Change			

Action (please take tick one)	**User Type(s) (multiple selection allowed)**		**User Role (please tick one)**
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker

Change Request #3:			
Current User Login ID			
New Last Name		**New First Name**	
New Email Address		**New Contact Number**	
Role Change			

Action (please take tick one)	**User Type(s) (multiple selection allowed)**		**User Role (please tick one)**
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker

Change Request #4:			
Current User Login ID			
New Last Name		**New First Name**	
New Email Address		**New Contact Number**	
Role Change			

Action (please take tick one)	**User Type(s) (multiple selection allowed)**		**User Role (please tick one)**
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker
☐ Add role ☐ Delete role	☐ Sponsor ☐ Legal Counsel ☐ Intermediary	☐ HKSCC Participant ☐ Bank ☐ Share Registrar	☐ Maker ☐ Checker ☐ Both Maker & Checker

Delete Request(s):

- *Please provide the DA's FINI login ID (i.e. the DA's email address for FINI log in).*

Delete Request #1:	
User Login ID	
Delete Request #2:	
User Login ID	
Delete Request #3:	
User Login ID	
Delete Request #4:	
User Login ID	

Remarks (optional)

Part 3 – Declaration

To: Hong Kong Securities Clearing Limited ("HKSCC"),

We, _____("Company"),
Name of Applicant (Company Name)

1. acknowledge and agree that (i) we are acting on behalf of the Company, (ii) we have the authority to act on its behalf (including submission of this form), and that (ii) acts by us are legally binding on and attributable to the Company.

2. confirm that the information provided in this form is accurate, correct and free from errors and that we have not made or omitted to make any statements or omissions which would render such information untrue or misleading.

3. we understand that the personal data submitted to HKEX and HKSCC under this HKEX FINI Delegated Administrator Maintenance Form (**"Maintenance Form"**) will be processed in accordance with the FINI Privacy Notice (https://www.hkex.com.hk/-/media/HKEX-Market/Services/Next-Generation-Post-Trade-Programme/Fini/FINI-Privacy-Notice-EN.pdf) as updated from time to time. Failure to provide the correct/sufficient personal data may result in HKEX and HKSCC being unable to process the requests made under this Maintenance Form, which may thereafter affect the relevant Delegated Administrator(s)'s access to FINI.

4. (if applicable) by ticking here ☐, we confirm that one or more of the proposed Delegated Administrators of the FINI User (as specified in this Maintenance Form) are located in Mainland China.

   Specifically, we hereby confirm that the individuals(s) located in Mainland China (or, if we are those individuals located in Mainland China, we hereby give our separate consent) to the necessary collection and processing of personal data by HKEX and HKSCC, in each case in accordance with the FINI Privacy Notice:

   ☐ consent to the collection and further processing of Sensitive Personal Data (as defined in the FINI Privacy Notice)
   ☐ consent to the provision of personal data to relevant recipients outside of the jurisdiction from which personal data is collected; and
   ☐ consent to the provision of personal data to relevant recipients within the jurisdiction from which personal data is collected.

Sponsor

Authorised Signature(s)*	Name of Signatory(ies)	Date

Legal Counsel

Authorised Signature(s)*	Name of Signatory(ies)	Date

Intermediary

Authorised Signature(s)*	Name of Signatory(ies)	Date

Bank

Authorised Signature(s)*	Name of Signatory(ies)	Date

HKSCC Participant

Authorised Signature(s)*	Name of Signatory(ies)	Date

Share Registrar

Authorised Signature(s)*	Name of Signatory(ies)	Date

* Note: A company chop is required ONLY if the company is required to affix a company chop to execute a document under the laws of the jurisdiction of its incorporation, its articles of association or its company policy.