

Selection of Money Settlement Currency Questionnaire
To be Completed by Applicant for Becoming a CCASS Designated Bank

Full Name of Applicant: _____

1. Hong Kong Dollar (“HKD”) CCASS Payment Services

1.1 Your Bank will provide HKD money settlement services for CCASS transactions to:

- Only CCASS Non-Investor Participants, namely Clearing, Custodian, Stock Pledgee and Clearing Agency Participants
- Only CCASS Investor Participants, namely Individual, Joint Individual and Corporate Investor Participants
- Both CCASS Non-Investor and Investor Participants
- Only your bank and/or other related companies as CCASS Participant(s)
(Participant ID _____)

1.2 Will your Bank also provide HKD money settlement service for Settlement Instruction (“SI”) and Investor Settlement Instruction (“ISI”) Transactions on Real-time Delivery versus Payment (“RDP”) basis to CCASS Participants?

- No
- Yes, only to CCASS Non-Investor Participants
- Yes, only to CCASS Investor Participants
- Yes, to both CCASS Non-Investor and Investor Participants
- Yes, only to our bank and/or other related companies as CCASS Participant(s)
(Participant ID _____)

1.3 Your Bank will allow CCASS Participants to use the following type(s) of HKD bank account maintained with you for effecting CCASS money settlement:

	<u>Non-Investor Participants</u>	<u>Investor Participants</u>
a. HKD Current Account	<input type="checkbox"/>	<input type="checkbox"/>
b. HKD Passbook Savings Account	<input type="checkbox"/>	<input type="checkbox"/>
c. HKD Statement Savings Account	<input type="checkbox"/>	<input type="checkbox"/>
d. Others, please specify _____		

1.4 With reference to item 1.1 above, if your Bank will provide HKD money settlement services for CCASS transactions to only CCASS Non-Investor Participants, will your Bank support Non-Investor Participants with ISI that the counterparty is an Investor Participant?

** Note: If your Bank will provide HKD money settlement services for CCASS transactions to CCASS Investor Participants, please tick “No” in the following box (which indicates your Bank will support both CCASS Non-Investor Participants and Investor Participants for ISI Transactions)*

- No
- Yes

Remarks: Please note that EIPO service will be mandatorily set to “Yes” by Hong Kong Securities Clearing Company Limited (“HKSCC”) which means that your Bank is obligated to support EIPO EPI settlement to CCASS Participants and EIPO service for Issuer.

2. United States Dollar (“USD”) CCASS Payment Services

2.1 Will your Bank offer USD money settlement services for CCASS transactions?

- No (please go to the signing clause)
- Yes, only to CCASS Non-Investor Participants
- Yes, only to CCASS Investor Participants
- Yes, to both CCASS Non-Investor and Investor Participants
- Yes, only to our bank and/or other related companies as CCASS Participant(s)
(Participant ID _____)

2.2 Will your Bank also provide USD money settlement service for SI and ISI Transactions on RDP basis to CCASS Participants?

- No
- Yes, only to CCASS Non-Investor Participants
- Yes, only to CCASS Investor Participants
- Yes, to both CCASS Non-Investor and Investor Participants
- Yes, only to our bank and/or other related companies as CCASS Participant(s)
(Participant ID _____)

2.3 Your Bank will allow CCASS Participants to use the following type(s) of USD bank account maintained with you for effecting CCASS money settlement:

	<u>Non-Investor Participants</u>	<u>Investor Participants</u>
a. USD Current Account	<input type="checkbox"/>	<input type="checkbox"/>
b. USD Passbook Savings Account	<input type="checkbox"/>	<input type="checkbox"/>
c. USD Statement Savings Account	<input type="checkbox"/>	<input type="checkbox"/>
d. Others, please specify _____		

3. Renminbi (“RMB”) CCASS Payment Services

3.1 Will your Bank offer RMB money settlement services for CCASS transactions?

- No (please go to the signing clause)
- Yes, only to CCASS Non-Investor Participants
- Yes, only to CCASS Investor Participants
- Yes, to both CCASS Non-Investor and Investor Participants
- Yes, only to our bank and/or other related companies as CCASS Participant(s)
(Participant ID _____)

3.2 Will your Bank also provide RMB money settlement service for SI and ISI Transactions on RDP basis to CCASS Participants?

- No
- Yes, only to CCASS Non-Investor Participants
- Yes, only to CCASS Investor Participants
- Yes, to both CCASS Non-Investor and Investor Participants
- Yes, only to our bank and/or other related companies as CCASS Participant(s)
(Participant ID _____)

3.3 Your Bank will allow CCASS Participants to use the following type(s) of RMB bank account maintained with you for effecting CCASS money settlement:

	<u>Non-Investor Participants</u>	<u>Investor Participants</u>
a. RMB Current Account	<input type="checkbox"/>	<input type="checkbox"/>
b. RMB Passbook Savings Account	<input type="checkbox"/>	<input type="checkbox"/>
c. RMB Statement Savings Account	<input type="checkbox"/>	<input type="checkbox"/>
d. Others, please specify _____		

Signed by the Applicant:

Authorised Signature(s) and Company Chop (Date signed)

Name of Signatory(ies): _____

Position(s) : _____

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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.

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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.

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.

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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.

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Corporate reorganisation

As we continue to develop our business, we may reorganise 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 reorganisation.

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

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8 Connaught Place
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By Email:
DataPrivacy@HKEX.COM.HK