

Service Checklist for Basic Market Prices (BMP) Service

(FOR REAL-TIME LICENSEES WHO ARE BMP SERVICE PROVIDERS)

- The purpose of this checklist is to facilitate HKEX Information Services Limited (“HKEX-IS”) to assess the compliance status in relation to the Guiding Notes on Basic Market Prices Service (“Guiding Notes”) as published on http://www.hkex.com.hk/eng/prod/dataprod/la/licagt/gn/GuidingNotes_MDVLA.htm.
- Completed checklist should be submitted to the Data Client Audit Team (DataClientAudit@hkex.com.hk) of the Market Data Department.
- All BMP Service Providers are encouraged to take this opportunity to review their BMP Services and to rectify any unauthorized or improper features and display of their BMP Services. We reserve the right to seek compensation and damages if it comes to our attention that there are subsequent violations.**

Part I: General Information

Name of the Licensee: (Full Name)		Date of submission:	
Contact Person:	Name & Title:		
	Email & Phone No.		

Part II: Compliance Status

(Please confirm "Yes" or "No" to each item. If any item is non-compliant (i.e. NO), please state the outstanding issues.)

	<u>Items</u>	<u>Guiding Notes Reference</u>	<u>Compliance Status (If “No”, please explain :)</u>
1	Have all BMP Services (with proper URL) and Third Party BMP Services (if applicable) been approved and included in Schedule 4 - Memorandum of Permitted Purpose of the License Agreement with HKEX-IS?	Para. 1	Yes / No
2.	Is the BMP Service (i.e. a single security or a futures/options contract upon each user request) provided as follows: a. Only authorized data content of BMP is provided (together with display of real-time indication upon user request). b. Each BMP is updated on snapshot basis upon user request. c. BMP is not updated by auto-refresh. d. No automatic update of the BMP on flash chart. e. Display of derived data that can easily be reverse-engineered to the original BMP by the user is provided only under approved BMP Services. f. User registration is required for the provision of portfolio valuation service. g. Only one BMP is displayed per each user request except for portfolio valuation and Top 20 lists services.	Para. 7.1 Para. 7.2 Para. 7.2 Para. 7.2 Para. 7.2 Para. 7.3 Para. 7.4	Yes / No Yes / No Yes / No Yes / No Yes / No Yes / No
3.	Does the provision of Top 20 lists with BMP comply with the following restrictions: a. Only restricted to top 20 lists by % gainers, % losers, trading volume or turnover value, which can be classified by: - Securities Market Data: (i) all securities; (ii) all equities; (iii) all equities on the Main Board; (iv) all equities on the GEM Board; (v) all warrants; (vi) all CBBC; and (vii) all eligible stocks for Shanghai-Hong Kong Stock Connect Southbound trading; - Derivatives Market Data: (i) all futures contracts; and (ii) all options	Para. 7.4.1	Yes / No

	<u>Items</u>	<u>Guiding Notes Reference</u>	<u>Compliance Status (If "No", please explain :)</u>	
	contracts b. Only restricted to a maximum of 5 securities or 5 futures/options contracts for charting comparison c. Only restricted to a maximum of 20 securities or 20 futures/options contracts to the registered users for portfolio valuation d. Only restricted to a maximum of 20 securities or 20 futures/options contracts for the most recently visited list	Para. 7.4.2 Para. 7.4.3 Para. 7.4.4	Yes / No Yes / No Yes / No	
4.	Appropriate advisory message is being displayed to indicate to the users that the BMP is for reference purpose only.	Para. 7.5	Yes / No	
5.	Has technical mechanism been implemented to ensure that any search, inquiry box or command leading to the request for real-time BMP is placed within the Licensee's own website(s)?	Para. 7.6	Yes / No	
6.	Has technical mechanism been implemented to disallow direct access to specific BMP result page via bookmarks or other hyperlinks outside the Licensee's website(s)?	Para. 7.6	Yes / No	
7.	Is there a hyperlink policy that allows the Licensee to block any third party websites to directly hyperlink to a web page of the Licensee with real-time BMP?	Para. 7.7	Yes / No	
8.	Is the standard disclaimer being displayed on the BMP pages?	Para. 7.8	Yes / No	
9.	Do you provide Odd Lot information on your BMP services? If Yes, please confirm the following: a. Data content of Odd Lot information includes (1) Odd lot traded price and volume and (2) bid/ask price, volume and broker ID of odd lot orders and special lot orders b. Each update is on snapshot basis (i.e. upon user request) c. The Odd Lot information is displayed in a separate page from BMP data content of individual securities for board lots to avoid confusion	Para. 8.1 Para. 8.2 Para. 8.3	Yes / No Yes / No Yes / No	N/A
10.	Do you provide BMP Third Party Services to your clients? If Yes, please confirm the following (if applicable): a. For BMP Third Party "Listed Company Service", the display of BMP is restricted to the listed company's share price, the equity warrants/instruments/bonds/debt b. All BMP Third Party Services also comply with the Guiding Note on Third Party Service	Para. 10.2.2	Yes / No Yes / No	N/A

For and on behalf of the Licensee by:

Full name with Title: