HKEX INFORMATION SERVICES LIMITED   
(A wholly-owned member of the Hong Kong Exchanges and Clearing Limited Group)

**Checklist for Mobile Application Service**   
(FOR INFORMATION VENDORS WHO ENROLL IN THE MARKETING PROGRAMME FOR MOBILE APPLICATION SERVICE)

1. HKEX Information Services Limited (“HKEX-IS”) launched a Marketing Programme for Mobile Application Service in June 2017 and the details of this program can be found at the following website:

<http://www.hkex.com.hk/eng/prod/dataprod/MarketingProgrammeforMobileApplicationService.htm>; The purpose of this checklist is to facilitate HKEX-IS to assess the compliance status of this newly launched Mobile Application Service.

1. HKEX-IS will review the information submitted by the applicant and provide feedback to the applicant in the application process where applicable. Completion of this checklist does not represent that HKEX-IS has endorsed the applicant’s compliance status nor approved the Mobile Application Service application.
2. Completed checklist should be returned to the Data Licensing and Marketing Team of the Market Data Department (marketdata@hkex.com.hk).

**Part I: General Information**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of the Information Vendor: (Full name) |  | | Date of submission: |  |
| Contact Person: | Name and Title: |  | | |
| Email & Phone No. |  | | |

**Part II: Compliance Status**(Please confirm “Yes” or “No” to each item. If any item is incompliant (i.e. NO), please state the outstanding issues.)

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Items** | **Compliance Status and Remarks**  **(If “No”, please explain)** | |
|  | Have technical methods been applied to ensure that the following:   1. The display device is a mobile device. If yes, please specify the identification methods.   Method(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   1. If the Mobile Application Service is acquirable via a major mobile application distribution platform (e.g. App Store, Google Play etc.), the service is exclusive to the Mainland region of the platform. 2. If the Mobile Application Service is acquirable via the Licensee’s website, the service is exclusively obtainable within Mainland China. | Yes / No  Yes / No     Yes / No |  |
|  | Does the Mobile Application Service registration process comply with the following restrictions:   1. A subscriber must register with an IP address located within Mainland China **or** GPS coordinates located within Mainland China. 2. A subscriber must register with a Mainland phone number. | Yes / No See appx. 1  Yes / No |  |
|  | Has one of the following methods been implemented to ensure that the Mobile Application Service cannot be accessed if the subscriber is outside of Mainland China:   1. IP address geolocation tracker; **or** 2. GPS coordinate location tracker. | Yes / No |  |
|  | Does the Mobile Application Service display the information authorized under the Marketing Programme for Mobile Application Service of HKEX-IS in the following regions:   1. Within Mainland China? 2. Outside of Mainland China?   If yes, please specify which of the following alternatives will be used for non-Mainland subscribers\*:   1. Data access to mobile application service is blocked outside of Mainland China. 2. Real-time data is switched to delayed data (prices delayed by at least 15 minutes). 3. Others (please specify):   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  *\*Applicants should also confirm the control measures by adding a service description in the "Service Application Form for Market Data Vendor Licence Agreement” (Form A3)* | Yes / No  Yes / No  i / ii / iii |  |

**Part III: Appendices**

1. Please describe the process that is used to check the location of a subscriber’s IP address/GPS Location.
3. Please provide a list of IP database(s) used to check the location of a subscriber’s IP address.

|  |  |
| --- | --- |
| **IP Database Name** | **Remarks**  (If a third party database is used, please provide references, otherwise please clarify how the database is maintained) |
|  |  |
|  |  |