香港交易所資訊服務有限公司

(香港交易及結算所有限公司全資附屬公司)

HKEX INFORMATION SERVICES LIMITED

(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

**Checklist for Mobile Application Service** **(Mainland)**  
(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 on HKEX [website.](https://www.hkex.com.hk/Services/Market-Data-Services/Real-Time-Data-Services/Market-Data-Promotions/HKEX-IS/Marketing-Programmes-relating-to-Stock-Connect/Marketing-Programme-for-Mobile-Application-Service?sc_lang=en) The purpose of this checklist is to facilitate HKEX-IS to assess the compliance status of this Mobile Application Service of the Information Vendor (“IV”). IV should also submit screenshots of the Mobile Application Service alongside this checklist.
2. HKEX-IS will review the information submitted by the IV and provide feedback 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.
3. Completed checklist should be returned to the Data Licensing & Policy Team of the Market Data Department at MarketData@hkex.com.hk.

**Part I: General Information**

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| --- | --- | --- | --- | --- | --- |
| Name of the Information Vendor: (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 incompliant (i.e. No), please state the outstanding issues.)

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| --- | --- | --- | --- |
|  | **Items** | **Compliance Status and Remarks**  **(If “No”, please explain)** | |
|  | Are technical methods applied to ensure the following:   1. The display device is a mobile device which runs on a mobile operating system.   Please provide the name of the mobile application and the corresponding mobile operating system:  Click or tap here to enter text.   1. If the Mobile Application Service is downloaded from a major mobile application distribution platform (e.g. App Store, Google Play), the service is exclusive to the Mainland region of the platform. 2. If the Mobile Application Service is downloaded from the IV’s website, the service is exclusively obtainable within Mainland China. Please provide website address:   Click or tap here to enter text. | 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 Part III (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):   Click or tap here to enter text. | 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.
2. Please provide a list of IP database(s) used to check the location of a subscriber’s IP address.

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