

To: FINI On-boarding Team
Hong Kong Exchanges and Clearing Limited (“HKEX”)
30/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 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 projectfini@hkex.com.hk, followed by post to FINI On-boarding Team, Hong Kong Stock Exchanges and Clearing Limited at 30/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong and indicate “FINI DA Form” on the envelope within one month of the email, failing which HKSCC shall, at its absolute discretion, deactivate your company’s and its authorized users’ access to FINI.
- 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 projectfini@hkex.com.hk or (+852) 2211 5888.

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)	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary <input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	User role (the role will be applied to all the selected user type(s))	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker

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

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

Add Request #4:			
Last Name		First Name	
Email Address		Contact Number	
User Type(s)	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary <input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	User role (the role will be applied to all the selected user type(s))	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> 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)
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> 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)
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> 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)
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> 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)
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> Both Maker & Checker
<input type="checkbox"/> Add role <input type="checkbox"/> Delete role	<input type="checkbox"/> Sponsor <input type="checkbox"/> Legal Counsel <input type="checkbox"/> Intermediary	<input type="checkbox"/> HKSCC Participant <input type="checkbox"/> Bank <input type="checkbox"/> Share Registrar	<input type="checkbox"/> Maker <input type="checkbox"/> Checker <input type="checkbox"/> 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 2 – 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. We consent to the collection and processing of personal data in accordance with the Privacy Policy Statement on the HKEX Website (https://www.hkex.com.hk/Global/Exchange/Privacy-Policy?sc_lang=en)

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

HKSCC Participant		
_____	_____	_____
Authorised Signature(s)*	Name of Signatory(ies)	Date

Bank		
_____	_____	_____
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.