

4.2 Participation Management

PAM 1 REGISTRATION AS AN EXCHANGE PARTICIPANT REGISTERED TO USE THE TRADING LINK TO TRADE IN CHINA CONNECT SECURITIES

WHEN TO USE:

- When an Exchange Participant of the Stock Exchange Hong Kong Limited (“SEHK”) wish to apply for the registration to use the Trading Link to trade in China Connect Securities.
- This eService is available at any time.

ABOUT THIS eSERVICE:

- This eService is available to business users granted with the access rights EU_Participation under the identity of SEHK Participant.
- The eService is equivalent to “Registration for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect” (From 20), “Confirmation of Readiness for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect”, “Undertaking for the Use of Shanghai-Hong Kong Stock Connect”, and “Undertaking for the Use of Shenzhen-Hong Kong Stock Connect” should the SEHK Participant wish to apply for the registration to use the Trading Link to trade in China Connect Securities.
- Email and Dashboard notifications will be sent to user when there is change related to eService status.
- PDF report the related eService will be available to SEHK Participant after the workflow is ended.

Section 4.2 (PAM 1)

Partnership Management –

Registration as an Exchange Participant registered to use the Trading Link to trade in China Connect Securities

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEEX user interface for PAM 1 registration. The left sidebar contains navigation options: Services, Post Trade, Clearing, Settlement & Depository, Partnership Management, Technical Setup, Support, Services Reporting, and Submission and Download. The main content area displays the registration form with a title bar: "PAM 1 REGISTRATION AS AN EXCHANGE PARTICIPANT REGISTERED TO USE THE TRADING LINK TO TRADE IN CHINA CONNECT SECURITIES". Below the title bar, there is a "Reference Number:" field with an "Expand" icon. The form is divided into several expandable sections, each with a "+" icon: COMPANY INFORMATION, INFORMATION, REGISTRATION CATEGORY, CONFIRMATION AND AUTHORIZATION BY PARTICIPANT, UNDERTAKING FOR THE USE OF SHANGHAI-HONG KONG STOCK CONNECT, UNDERTAKING FOR THE USE OF SHENZHEN-HONG KONG STOCK CONNECT, and CONTACT INFORMATION. At the top right of the form area, there are "SAVE" and "PREVIEW" buttons.

There is built-in validation on the data input.

The screenshot shows the "CONFIRMATION AND AUTHORIZATION BY PARTICIPANT" section of the registration form. The section is titled "CONFIRMATION AND AUTHORIZATION BY PARTICIPANT" and is highlighted in light blue. Below the title bar, there is a red-bordered box containing the following text:

致: 聯交所
To: SEHK

本公司, 盈透證券香港有限公司
We, Interactive Brokers Hong Kong Limited

1. 確認本公司明白為要符合資格登記及保持登記使用中華交易通, 本公司必須:
confirm our understanding that to be eligible for registration and to remain registered for the use of the Trading Link, we will be required to:

i. 提供已載於解釋說明文件有關本公司系統及運營準備的確認及適當的承諾予聯交所、相關聯交所子公司(其責任乃傳遞中華通證券的買賣盤至相關中華通市場系統進行交易); 及
provide confirmations regarding our system and operational readiness as explained in the Explanatory Notes and appropriate undertakings to SEHK and the relevant SEHK Subsidiary (which will be responsible for routing orders on China Connect Securities for execution on the relevant China Connect Market System); and

ii. 遵守聯交所有關規則及程序、相關聯交所子公司有關對「滬港通」或「深港通」(視乎情況而定)之使用及運營的要求(如有)及所有適用與買賣及持有中華通證券不時生效的法律; 及
comply with the relevant rules and procedures of SEHK, the requirements of the relevant SEHK Subsidiary (if any) relating to the use and operation of Shanghai-Hong Kong Stock Connect or Shenzhen-Hong Kong Stock Connect (as the case may be) and all applicable laws in relation to the trading and holding of China Connect Securities, as in force from time to time; and

2. 確認本公司明白本公司只會在聯交所批准此登記後才被允許使用中華交易通; 及
confirm our understanding that we will only be permitted to use the Trading Link after our application for registration have been approved by SEHK; and

3. 確認本公司明白此登記申請的批准需視乎本公司系統及運作是否已準備就緒, 包括已成功完成由聯交所不時指定的系統測試及已符合由聯交所不時訂明的登記準則; 及
confirm our understanding that approval of our application for registration is subject to our system and operational readiness including the successful completion of system test(s) that SEHK may require from time to time, and our meeting the registration criteria as prescribed by SEHK from time to time; and

4. 同意並授權聯交所及/或香港交易所透過香港交易所網站或其他途徑向公眾披露本公司登記使用「滬港通」及「深港通」的申請。
agree and authorise SEHK and/or HKEX to publish our name on the HKEX website or via other channels to inform the public of our application for registration to use Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect.

提交申請後, 即代表本公司同意按此表格所述的私隱政策聲明處理個人資料。
By submitting the application, we consent to the processing of personal data in accordance with the Privacy Policy Statement ([click here to view](#)).

You must check this before you can proceed.

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant
CONFIRMATION AND AUTHORIZATION BY PARTICIPANT		
3	Declaration Checkbox	- Mandatory Checkbox
UNDERTAKING FOR THE USE OF SHANGHAI-HONG KONG STOCK CONNECT		
4	Declaration Checkbox	- Mandatory Checkbox
UNDERTAKING FOR THE USE OF SHENZHEN-HONG KONG STOCK CONNECT		
5	Declaration Checkbox	- Mandatory Checkbox
CONFIRMATION OF TRADING READINESS		
6	Confirmation Checkbox 1	- Mandatory Checkbox
7	Confirmation Checkbox 2	
8	Confirmation Checkbox 3	- Applicable to Non-Clearing Participant only.
DECLARATION AND UNDERTAKING BY PARTICIPANT		
9	Declaration Checkbox	- Mandatory Checkbox
CONFIRMATION TO PARTICIPANT (<i>This section is shown when eService is 'Approved'</i>)		
10	Confirmed Effective Date	- To be provided by HKEX upon approval
CONTACT INFORMATION		
11	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
12	Email Address	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
13	Telephone Number	- Field format: Numeric - Auto-filled based on maker's profile and content is editable.
14	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.