HKEX
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香港期貨交易所有限公司/香港聯合交易所有限公司
(香港交易及結算所有限公司全資附屬公司)

HONG KONG FUTURES EXCHANGE LIMITED / THE STOCK EXCHANGE OF HONG KONG LIMITED
(Wholly-owned subsidiaries of Hong Kong Exchanges and Clearing Limited)

Application for the Use and Maintenance of Self-Match Prevention ID (SMP ID) in Derivatives Market

Notes:

1) Please read the Explanatory Notes before completing this Form. Terms and expressions used in this Form shall have the same meanings as ascribed to them in Explanatory Notes.
2) Please complete a separate Form for each application. For example, one form can only create one SMP ID for each HKATS Customer Code.
3) Please save the completed form in pdf format with file name as DSMPREQ_NNNNN_YYYYMMDD.pdf (where NNNNN is HKATS Participant Code with a leading double zero and YYYYMMDD is date of submission). Then login to Electronic Communication Platform (ECP) (https://ecp2.hkex.com.hk/) via ECP business user with the function ID "EU_ECPDO" or "EU_ECPSO" to submit the completed form by clicking the hyperlink of "Derivatives Market – Application for the Use and Maintenance of Self-Match Prevention (SMP) ID" on the submission list page.
4) Please read through the definition of HKATS Customer Code in the Explanatory Notes.
5) An **unique** Creation Ref. No. should be assigned for the Creation of an SMP ID request on the same submission day. The range from 1 to 9,999. This creation Ref No. will be used for tracing the SMP ID creation status in SMP Submission Status Report.
6) **Please always download the form and fill it out using the latest version of Adobe Acrobat to facilitate preliminary checking on the form.**
7) For general enquiry, please contact HKATS Hotline at (852) 2211 6360 or email to HKATSSupport@hkex.com.hk.

Section I –Exchange Participant Information

Name of Exchange Participant (EP)		HKATS Customer Code [Note 4] (e.g. ABC or ABCAA)
Contact Person Name	Business Email Address	Business Phone No.

Section II – Application *[please choose one of the requests and fill in the required information]*

We hereby apply for:

◯	**Creation of an SMP ID for the HKATS Customer Code**[1][please also complete Section III, IV and Attachment]			
	Creation Ref. No. [Note 5]			
	SMP Instruction:	◯ Cancel Aggressive (CA)	◯ Cancel Passive (CP)	
◯	**Termination of an SMP ID**			
	SMP ID			
◯	**Change of SMP Instruction**			
	SMP ID			
	Change SMP Instruction to:	◯ Cancel Aggressive (CA)	◯ Cancel Passive (CP)	
◯	**Sharing of SMP ID with another HKATS Customer Code**			
	SMP ID		The HKATS Customer Code which will use the SMP ID	
◯	**Removal of SMP ID Sharing with another HKATS Customer Code**			
	SMP ID		The HKATS Customer Code which will be removed from using the SMP ID	

[1] Same HKATS Customer Code can either choose Self Trade Prevention (HKATS Username-based) or Self Match Prevention (ID-based), by creating SMP ID to the HKATS Customer Code mentioned in Section I, Self Trade Prevention (HKATS Username-based) under such HKATS Customer Code will be terminated

Section III – Information of the Application of New SMP ID

Please select either one of the below purposes of the new SMP ID and fill in the required information accordingly.

☐	For EP itself or its client other than asset management company/fund, please fill in **Part A (Attachment 1)** and below table.
☐	For asset management company/fund, please fill in **Part B (Attachment 2)** and below table.

The fields marked with (*) are mandatory.

Information of EP's client / EP[2]	
Basic information	
*Name	
*Office address	
Contact person information	
*Contact person	
*Position	
*Email address	

[2] Please fill in the information of EP if the new SMP ID is for EP's proprietary orders.

Section IV – Declaration and Undertaking

By submitting this form via ECP, we hereby

1. **declare** that the information provided in this application (including the information stated in the supporting documents) is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading*;*

2. **undertake** that we shall notify Hong Kong Futures Exchange Limited ("HKFE")[3] and/or The Stock Exchange of Hong Kong Limited ("SEHK")[4] (HKFE and SEHK are collectively referred to "the Exchanges") within 30 calendar days of any changes in the information given in this application, e.g. co-use the SMP ID with companies not specified in this form;

3. **understand** that the Exchanges may take disciplinary proceedings against an Exchange Participant which has made a false or misleading representation in relation to its application;

4. **undertake** that we shall comply with all applicable rules, regulation and procedures of the Exchanges from time to time in force, the conditions stated in the explanatory note and any other directives and requirements from time to time made or prescribed by the Exchanges; and **agree** that any non-compliance shall render us liable to the Exchanges' enforcement actions, including prohibition or restriction on the use of SMP Service or/and disciplinary proceedings;

5. **consent** that the Exchanges and any recognized exchange controller which is the controller of the Exchanges or any company of which a recognized exchange controller which is controller of the Exchanges is a controller may disclose our information to the Securities and Futures Commission, any exchange and regulatory authority (whether within or outside Hong Kong);

6. **consent** that the Exchanges may disclose our HKATS Customer Code with, if any, other EP(s) use the same SMP ID;

7. **acknowledge and agree** that the Exchanges and their affiliates may utilize data we provide in connection with usage of the SMP Service for business analytics and other purposes subject to any applicable laws; and

8. **declare** that I have read and accepted the terms and conditions set out in the "Explanatory Notes relating to Self-Match Prevention (ID-based) Service in Derivatives Market".

[3] For derivatives listed in HKFE.
[4] For stock options listed in SEHK.

A. New SMP ID for EP itself or its client other than asset management company/fund

The fields marked with (*) are mandatory.

Basic information of EP's client / EP[5]		
A1	*New SMP ID is applied for	*Please choose either one of the boxes below.* ☐ EP itself for its proprietary orders ☐ EP's client (*Please choose only one of the options below.)* ☐ EP's associate[6] ☐ Direct client[#] ☐ Indirect client – client of EP's associate[6] ☐ Indirect client – client of EP's direct client[#] *[#]other than EP's associates[6]*
A2	*Business type	*Please choose the appropriate box(es) below.* ☐ Client facilitation ☐ Market making ☐ Proprietary trading ☐ Inter-dealer Broker (IDB) ☐ Others:
A3	*Will multiple SMP ID(s) be used?	☐ Yes, ***please fill in A4 and A5.*** ☐ No, only use one SMP ID.
A4	Existing SMP ID(s) in Derivatives Market	*Please choose either one of the options below.* ☐ With below existing SMP ID(s): *Use ";" to separate multiple SMP IDs.* ☐ There is other SMP ID application(s) in progress but no SMP ID(s) has been created yet.
A5	Please confirm that this new SMP ID is applied for trading unit(s) independently operated from those are using or will use other SMP ID(s) within EP's client / EP	☐ Yes.

Co-use of the new SMP ID with associates of EP's client / EP[2]		
A6	*Will the new SMP ID be co-used with other companies?	☐ Yes, ***please fill in A7 to A9.*** ☐ No.
A7	Name(s) of companies which will co-use the new SMP ID	*Use ";" to separate multiple companies*

[5] Please fill in the information of EP if the new SMP ID is for EP's proprietary orders.

[6] Associates of a company means any of its holding companies, subsidiaries, or fellow subsidiaries, or any associated companies of them. Please refer to section 2, 13 and 15 of the Companies Ordinance for the meaning of associated companies, holding companies, and subsidiaries respectively.

A8	Please confirm the companies listed in A7 are associates of EP's client / EP	☐ Yes.
A9	Reason(s) for co-using the new SMP ID	*Please choose the appropriate box(es) below.* ☐ Coordinated trading strategies or trading decision making ☐ Shared trading personnel ☐ Shared trading technology ☐ Others:

SMP ID(s) of EP's client / EP[7] in Securities Market		
A10	*Is EP's client / EP holding any SMP ID(s) in Securities Market?	☐ Yes, ***please fill in A11.*** ☐ No.
A11	SMP ID(s) in Securities Market	*Please choose either one of the options below.* ☐ With below SMP ID(s): *Use ";" to separate multiple SMP IDs* ☐ There is other SMP ID application(s) in progress but no SMP ID(s) has been created yet.

[7] Please fill in the information of EP if the new SMP ID is for EP's proprietary orders.

B. New SMP ID for asset management company/fund

The fields marked with (*) are mandatory.

Basic information of EP's client / EP[8]		
B1	*New SMP ID is applied for	*Please choose one of the appropriate boxes below.* ☐ EP itself for its proprietary orders ☐ EP's client (*Please choose only one of the options below.)* ☐ EP's associate[9] ☐ Direct client[#] ☐ Indirect client - client of EP's associate[9] ☐ Indirect client - client of EP's direct client[#] [#]*other than EP's associates*[9]
B2	*Business type	*Please choose either one of the options below.* ☐Asset management company (*Please choose the appropriate box(es) below.)* ☐Hedge fund ☐Long only ☐Mutual fund ☐Quantitative fund ☐Others: ➔ ***Please go to B3.*** ☐ Fund Name of asset management company *Please choose only one of the options below.* ☐ Hedge Fund ☐ Long only ☐ Mutual fund ☐ Quantitative fund ☐ Others: ➔ ***Please go to B6.***

For Asset Management Company only		
B3	Will multiple SMP ID(s) be used?	☐ Yes, ***please fill in B4 and B5.*** ☐ No.
B4	SMP ID(s) in Derivatives Market	*Please choose either one of the options below.* ☐ With below existing SMP ID(s): *Use ";" to separate multiple SMP IDs.* ☐ There is other SMP ID application(s) in progress but no SMP ID(s) has been created yet.

[8] Please fill in the information of EP if the new SMP ID is for EP's proprietary orders.

[9] Associates of a company means any of its holding companies, subsidiaries, or fellow subsidiaries, or any associated companies of them. Please refer to section 2, 13 and 15 of the Companies Ordinance for the meaning of associated companies, holding companies and subsidiaries respectively.

B5	Please confirm that this new SMP ID is applied for fund manager(s) or trading decision maker(s) whose operations are independent from those who are using / will use other SMP ID(s) within EP's client / EP	☐ Yes.

For Fund only		
B6	Will the new SMP ID be co-used with other funds / accounts managed by the same asset management company?	☐ Yes, ***please fill in B7 to B9.*** ☐ No.
B7	Name(s) of funds / accounts which will co-use the new SMP ID	*Use ";" to separate multiple companies*
B8	Please confirm the funds / accounts listed in B7 are managed / controlled by the same fund manager / trading decision maker	☐ Yes.
B9	Reason(s) for co-using the new SMP ID to prevent matching of orders from different funds / accounts	*Please choose the appropriate box(es) below.* ☐ Restrictions in investment mandates ☐ Restrictions in internal policy ☐ Others:

SMP ID(s) of EP's client / EP[10] in Securities Market		
B10	*Is EP's client / EP holding any SMP ID(s) in Securities Market?	☐ Yes, ***please fill in B11.*** ☐ No.
B11	SMP ID(s) in Securities Market	*Please choose either one of the options below.* ☐ With below SMP ID(s): *Use ";" to separate multiple SMP IDs* ☐ There is other SMP ID application(s) in progress but no SMP ID(s) has been created yet.

[10] Please fill in the information of EP if the new SMP ID is for EP's proprietary orders.