

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

### Notes:

- 1) Please read the Explanatory Notes posted before completing this Form. Terms and expressions used in this Form shall have the same meanings as ascribed to them in the Explanatory Notes.
- 2) Please save the completed form in pdf format with file name as DSMPCST\_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.
- 3) Please read through the definition of HKATS Customer Code in the Explanatory Notes.
- 4) **Please always download the form and fill it out using the latest version of Adobe Acrobat to facilitate preliminary checking on the form.**
- 5) For enquiry on this Application Form, please contact HKATS Hotline at (852) 2211 6360 or email to [HKATSSupport@hkex.com.hk](mailto:HKATSSupport@hkex.com.hk).

### Section I – Participant Information

Name of Exchange Participant (EP)		HKATS Customer Code <sup>[Note 3]</sup> (e.g. ABC or ABCAA)
Contact Person Name	Business Email Address	Business Phone No.

### Section II – Application *[please fill in the required information]*

We hereby apply for the use of the following SMP ID, please note that same HKATS Customer Code can either choose HKATS Username-based SMP or ID-based SMP, by creating SMP ID to the HKATS Customer Code mentioned in Section I, HKATS Username-based SMP under such HKATS Customer will be terminated

SMP ID:	
HKATS Customer Code <sup>[Note 3]</sup> of the Primary EP:	

### Section III – Declaration and Undertaking

By submitting this form via ECP, we hereby

1. **undertake** that we shall comply with all applicable rules, regulation and procedures of Hong Kong Futures Exchange Limited ("HKFE")<sup>1</sup> and/or The Stock Exchange of Hong Kong Limited ("SEHK")<sup>2</sup> (HKFE and SEHK are collectively referred to "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;

<sup>1</sup> For derivatives listed in HKFE.

<sup>2</sup> For stock options listed in SEHK.

2. **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);
3. **consent** that the Exchanges may disclose our HKATS Customer Code with, if any, other EP(s) use the same SMP ID;
4. **acknowledge and agree** that the Exchange and its 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
5. **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”