

Self-Match Prevention (SMP) ID Information Update Form – 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 fill in a separate Form for each client / EP (proprietary trading) which has existing SMP IDs.
- 3) Please save the completed form in pdf format with file name as DSMPINFO_NNN_YYYYMMDD.pdf (where NNN is HKATS Participant Code 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 – SMP ID Information Update” on the submission list page.
- 4) Please read through the definition of HKATS Customer Code in the Explanatory Notes.
- 5) For enquiry regarding this form, please contact HKEX Market Surveillance & Monitoring Department by email to mms_smp@hkex.com.hk.

Section I – Exchange Participant Information

The fields marked with (*) are mandatory.

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

Basic information of EP’s client / EP¹

*Name ²	
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¹ Please fill in the information of EP if the existing SMP ID(s) is for EP’s proprietary orders.

² Please fill in the name provided in the SMP ID creation application form.

Section II – Change in Information regarding Existing SMP IDs

Notes:

1. Please tick the appropriate box(es) for the changes required.
2. Please only fill in the part of information which requires change(s) and leave blank for information which has no change.

I. Change in Basic Information and Contact Person Information

Applicable SMP ID(s)	
	<i>Use “;” to separate multiple SMP IDs.</i>
Effective date (DD-MM-YYYY)	
Basic information of EP’s client / EP³	
Name	
Office address	
Relationship with Primary EP	<i>Please choose only one of the options below.</i> <input type="radio"/> EP’s associate ⁴ <input type="radio"/> Direct client [#] <input type="radio"/> Indirect client – client of EP’s associate ⁴ <input type="radio"/> Indirect client – client of EP’s direct client [#] <i>#other than EP’s associates</i>
Contact person information	
Contact person	
Position	
Email address	

II. Change in Independency and Co-use of SMP ID(s)

Notes:

3. For change(s) for EP itself or its client other than asset management company / fund, please fill in **Part A (Attachment 1)**.
4. For change(s) for asset management company / fund, please fill in **Part B (Attachment 2)**.

III. Others – for any other change(s) which are not covered by I and II, please fill in **Part C (Attachment 3)**.

³ Please fill in the information of EP if the existing SMP ID(s) is for EP’s proprietary orders.

⁴ 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.

Section III – Declaration and Undertaking

By submitting this form via ECP, we hereby

1. **declare** that the information provided in this form (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”)⁵ and/or The Stock Exchange of Hong Kong Limited (“SEHK”)⁶ (HKFE and SEHK are collectively referred to “the Exchanges”) within 30 calendar days of any changes in the information given 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 this form;
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 ID-Based Self-Match Prevention Service in Derivatives Market”.

⁵ For derivatives listed in HKFE.

⁶ For stock options listed in SEHK.

A. For EP itself or its client other than asset management company/fund**Change in independency status**

Applicable SMP ID(s)	
	<i>Use “;” to separate multiple SMP IDs.</i>
Effective date (DD-MM-YYYY)	
Change in independency	<input type="checkbox"/> The independent trading units which use the applicable SMP ID(s) are no longer independent. 1. <i>Each independent trading unit can only use one SMP ID. Please refer to Part II of Explanatory Note for relevant requirements.</i> 2. <i>Please fill in the “SMP ID Maintenance Form” for the termination request of any SMP ID as necessary.</i>
Reason(s) for change	

Change in companies which co-use SMP ID(s)

Applicable SMP ID(s)	
	<i>Use “;” to separate multiple SMP IDs.</i>
Effective date (DD-MM-YYYY)	
<input type="checkbox"/> Addition of companies to co-use the applicable SMP ID(s) <i>Please refer to Part II of Explanatory Note for relevant requirements of co-use of SMP ID.</i>	
Name(s) of companies	
	<i>Use “;” to separate multiple companies.</i>
Reason(s) for co-using the SMP ID	<i>Please choose the appropriate box(es) below</i> <input type="checkbox"/> Coordinated trading strategies or trading decision making <input type="checkbox"/> Shared trading personnel <input type="checkbox"/> Shared trading technology <input type="checkbox"/> Others: _____
<input type="checkbox"/> Removal of companies which co-use the applicable SMP ID(s)	
Name(s) of companies	
	<i>Use “;” to separate multiple companies.</i>

Reason(s) for removal of co-using	
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B. For asset management company/fund**Change in independency status**

Applicable SMP ID(s)	
	<i>Use “;” to separate multiple SMP IDs.</i>
Effective date (DD-MM-YYYY)	
Change in independency	<input type="checkbox"/> The operations of fund manager(s) or trading decision maker(s) who use the applicable SMP ID(s) are no longer independent. <ol style="list-style-type: none"> 1. <i>Each independent fund manager or trading decision maker can only use one SMP ID. Please refer to Part II of Explanatory Note for relevant requirements.</i> 2. <i>Please fill in Section II of the “SMP ID Maintenance Form” for the termination request of a SMP ID as necessary.</i>
Reason(s) for change	

Change in funds / accounts which co-use SMP ID(s)

Applicable SMP ID(s)	
	<i>Use “;” to separate multiple SMP IDs.</i>
Effective date (DD-MM-YYYY)	
<input type="checkbox"/> Addition of funds / accounts to co-use the applicable SMP ID(s) <i>Please refer to Part II of Explanatory Note for relevant requirements of co-use of SMP ID.</i>	
Name(s) of companies	
	<i>Use “;” to separate multiple companies.</i>
Reason(s) for co-using the SMP ID	<i>Please choose the appropriate box(es) below.</i> <input type="checkbox"/> Restrictions in investment mandates <input type="checkbox"/> Restrictions in internal policy <input type="checkbox"/> Others: _____
<input type="checkbox"/> Removal of funds / accounts which co-use the applicable SMP ID(s)	
Name(s) of companies	

	<i>Use “;” to separate multiple companies.</i>
Reason(s) for removal of co-using	

C. For any other change(s)

Description of change(s)	
Reason(s) for change(s)	