**Application for Addition / Termination of HKATS Connection**

To: Derivatives Trading Email: HKATSSupport@hkex.com.hk

 Hong Kong Exchanges and Clearing Limited Fax No : 2509-0724 / 2877-0017

 HKATS Hotline : 2211-6360

# Particulars of Exchange Participant

|  |  |
| --- | --- |
| Mnemonic      | Participant Name      |
| [ ]  HKFE Participant [ ]  Options Trading Exchange Participant (Please choose one only)(To be charged by Hong Kong Futures Exchange Limited / The Stock Exchange of Hong Kong Limited) |

# Contact Person

|  |  |
| --- | --- |
| Name      | Phone Number      |
| Position      | E-mail      |

# Application for Addition / Termination of HKATS Online Connections

We hereby request for the addition/termination of HKATS Online(s) and agree to pay the required charges stipulated in the HKFE / SEHK Rules, Regulations and Procedures.

|  |  |
| --- | --- |
| Addition / Termination | [ ]  Addition[ ]  Termination |
| Number of HKATS Online Connections |       connection(s) |
| HKATS Site(s) (to be) connected: Site(s) |         (e.g. site 01) |
| Intended Effective Date |        |

Fee: HKD2,600 per HKATS Online connection per month

# Application for Addition / Termination of OAPI connection(s)

We hereby request for the addition/termination of HKATS OAPI connection(s) and agree to pay the required charges stipulated in the HKFE / SEHK Rules, Regulations and Procedures.

|  |  |
| --- | --- |
| Addition / Termination | [ ]  Addition (Please fill in Appendix 1 for trading connection)[ ]  Termination |
| Gateway and Usage | [ ]  Central Gateway – Market Making[ ]  Central Gateway – Trading[ ]  Central Gateway – View only |
| Number of OAPI Connections |       connection(s) |

|  |  |
| --- | --- |
| Mnemonic / Participant Name |       |

|  |  |
| --- | --- |
| Throughput of Connection(e.g. 5, 10 transactions per second) |       transactions per second |
| OAPI Developer | [ ]  In-house developed[ ]         (company name of developer) |
| Program name ("identity" in OAPI) |        |
| Version |        |
| HKATS Site(s) (to be) connected: Site(s) |         (e.g. site 01) |
| The OAPI can identify the trades of the company by both “Deals in the Market” (BO5 and BD70) and “Dedicated Trade Information Transaction” (BD6). | [ ]  Yes [ ]  No[ ]  Not applicable |
| “Query Total Order Book Transaction” (MQ7) to be sent by the OAPI will be less than 1 per second. | [ ]  Yes [ ]  No[ ]  Not applicable |
| For OAPI connection(s) for market making purpose ONLYQuote request to be sent by the OAPI will be less than 1 per second per underlying | [ ]  Yes [ ]  No[ ]  Not applicable (for non-market making program) |
| Polling interval for any transactions which involve Read Events (i.e. omniapi\_read\_event\_ext\_ex) |       milliseconds(recommended to be 250 milliseconds) |
| Source of Market Data – HKFE Products(e.g OMD, information vendor) | [ ]  OMD [ ]  n/a[ ]   \_\_\_\_\_     (Name of Information Vendor) |
| Source of Market Data – Stock Options(e.g OMD, information vendor) | [ ]  OMD [ ]  n/a[ ]     \_\_\_\_\_   (Name of Information Vendor) |
| Intended Effective Date |       |

Fee: HKD2,600 per OAPI connection per month at 5 TPS or HKD5,200 per OAPI connection per month at 10 TPS

*(HKEX will free the HKATS CG connection fees for the first 2 connections with throughput rate at 5 transactions per second or the first connection with throughput rate at 10 transactions per second for each EP.)*

|  |  |
| --- | --- |
| Mnemonic / Participant Name |       |

# Application for Addition / Termination of HKATS Risk Functions (“PTRM”) Connection

We hereby request for the addition/termination of HKATS Risk Functions (“PTRM”) Connection(s) and agree to pay the required charges stipulated in the HKFE / SEHK Rules, Regulations and Procedures.

|  |  |
| --- | --- |
| Addition / Termination | [ ]  Addition[ ]  Termination |
| Number of connection for Risk Limit Managers : |       connections*(for Participants who clear trades by themselves)* |
| Number of connection for Trading Units : |       connections *(for trading group :*       *e.g. XYZ, XYZAA)*   |
| HKATS Site(s) (to be) connected: Site(s) |       (e.g. site 01) |
| Intended Effective Date |       |

Fee: HKD1,000 per PTRM connection per month

*(HKEX will free the HKATS Risk Functions connection fees for the first 3 connections for each Exchange Participant)*

# Application for HKATS Username for Access to HKATS

**Part I – Request for additional HKATS usernames**

We hereby request the Exchange to issue new HKATS Username(s) to the following Authorized Person(s) to access HKATS.  We acknowledge that such HKATS Username(s) is/are issued by the Exchange at its absolute discretion and may be revoked or suspended by the Exchange.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| No. of new usernames requested | HKATS Online / OAPI /HKATS Risk Functions user  | Products | Name of Authorized Person | First 4 digits of HKID / passport no. | Phone number | Mobile number |
|       | [ ] HKATS Online[ ] OAPI[ ] HKATS Risk Functions  | [ ]  HKFE products[ ]  Stock Options |       |       |       |       |
|       | [ ] HKATS Online[ ] OAPI[ ] HKATS Risk Functions | [ ]  HKFE products[ ]  Stock Options |       |       |       |       |
|       | [ ] HKATS Online[ ] OAPI[ ] HKATS Risk Functions | [ ]  HKFE products[ ]  Stock Options |       |       |       |       |
|       | [ ] HKATS Online[ ] OAPI[ ] HKATS Risk Functions | [ ]  HKFE products[ ]  Stock Options |       |       |       |       |

We request for

[ ]  Disabling the “Mandatory Change of User Password Function on HKATS” (for OAPI only)

[ ]  Enabling the function of self-trade prevention

(for the new HKATS usernames assigned for this application)

|  |  |
| --- | --- |
| Mnemonic / Participant Name |       |

Password(s) is / are requested to be sent to the following Responsible Officer:

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Responsible Officer | Phone number | Mobile number | E-mail Address |
|       |       |       |       |

**Part II – Request for Changing HKATS Authorized Person**

We hereby request the Exchange to update the authorized person of the following HKATS Username(s) to access HKATS effective       .

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Current HKATS Username | Current Authorized Person | New Authorized Person | First 4 digits of HKID card / passport no. | Phone number | Mobile number |
|       |       |       |       |       |       |
|       |       |       |       |       |       |

**Part III – Deletion of HKATS Usernames**

We hereby request for the deletion of the HKATS Username(s) set forth in the table below with effect from the date(s) specified. The Authorized Person(s) of such HKATS Usernames are also listed for the Exchange’s information.

|  |  |  |
| --- | --- | --- |
| HKATS Username | Current Authorized Person  | Intended Effective date |
|       |       |       |
|       |       |       |

*By returning this form, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in this form.*

Signature(s) of Responsible Officer(s)

 Date

\_      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name(s) of Responsible Officer(s)

[ ]  HKFE Participant [ ]  Options Trading Exchange Participant

For HKEX Use:

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Signature Verified | HKFE |  | Connection |  | HKATS Online |  | OAPI |  | PTRM |  |
| SEHK |  | User |  |

Appendix 1

**Information on OAPI Program**

|  |  |
| --- | --- |
| Name of Exchange Participant |        |
| Program name ("identity" in OAPI) |        |
| Company Name of OAPI Developer | [ ]  In-house developed[ ]         (company name of developer) |
| Date |        |

1. How many client(s) will make use of the additional trading OAPI connection(s)?
2. Will order be generated by the OAPI program automatically?

[ ]  Yes

* 1. Under what situation will orders be generated?

* 1. The estimated input rate per second is        order transactions per second.
	2. The estimated input rate per day is        to        order transactions per day.
	3. The OAPI program will make use of the following measure(s) to control the rate of input:

[ ]  No

1. The following measures are adopted by the OAPI to prevent price and quantity input error:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Will this OAPI program be used for internet trading?

[ ]  Yes **\***

1. Are warning and restriction on price and quantity set at user or Exchange Participant level?

 [ ]  Exchange Participant [ ]  User

1. If an user inputs an order and triggers the warning or restriction signal, will the Exchange Participant be notified?

 [ ]  Yes [ ]  No

1. Are warning and restriction on price and quantity mandatory for all users to set?

 [ ]  Yes [ ]  No

[ ]  No #

**\* Please note that 2 quote requests per second per underling are allowed for OAPI programs used for order routing from internet clients.**

**# Please note that 1 quote request per second per underlying is allowed.**

**Privacy Policy Statement**

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "**Group**") (and each being "**HKEX**", "**we**", "**us**" or "**member of the Group**" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("**PDPO**"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

**Purpose**
From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

**Direct marketing**
Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

**Identity Card Number**
We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

**Transfers of personal data for direct marketing purposes**
Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

**Other transfers of your personal data**
For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

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***Session Cookies:*** temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

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**Corporate reorganisation**
As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

**Access and correction of personal data**
Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You 0may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link
<https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

**Termination or cancellation**
Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

**General**
If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

**Contact us**
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