

更改結算公司參與者類別申請
Application for Change of Participantship Category of HKSCC

中央結算參與者 Name of CCASS Participant	中文 (in Chinese)
	英文 (in English)

注意事項：

Notes:

- 提交此表格的申請人應通知證券及期貨事務監察委員會(“證監會”)的中介團體及投資產品部將其更改參與者類別的意向。
The applicant should notify the Intermediaries & Investment Products Division of the Securities and Futures Commission (“SFC”) of its intention to change its participantship category.
- 請回答所有表格內的問題及不要留空問題的答案部份。如問題不適用，請填寫「不適用」。填妥申請表後，請填上申請日期，並加以簽署。此表格可用機印或正楷填寫。
Please answer all the questions stated in the Form and do not leave any questions blank. If any question is not applicable, please state "N.A". Upon completion, please sign and date the Form. The Form may be typewritten or legibly handwritten.
- 在回答問題時，如空位不敷應用，可另紙作答，請在紙上註明問題之編號，並在旁簽署。
If there is insufficient space to answer, please continue on a separate sheet, specify the question to which the sheet relates and sign on it.
- 請將此表格遞交予香港交易及結算所有限公司現貨交易參與者服務，地址為香港中環康樂廣場八號交易廣場二期六樓。
Please submit the Form to Participant Services, Cash Trading of Hong Kong Exchanges and Clearing Limited at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

A. 申請更改參與者類別
Application for Change of Participantship Category

請於下列適當的方格內加上“✓”號，以註明所需

Please tick the appropriate box below for the type of Category¹ of Participantship you wish to apply for:-

- | | |
|--------------------------|--|
| <input type="checkbox"/> | 全面結算參與者
General Clearing Participant ² |
| <input type="checkbox"/> | 直接結算參與者
Direct Clearing Participant ² |
| <input type="checkbox"/> | 託管商參與者
Custodian Participant |

¹ 只可更改成為其中一類參與者。
Application may only be made for re-registration under one Participantship category.

² 如由託管商參與者更改成為直接結算參與者或全面結算參與者，申請人需提交“Authorisation to HKSCC on causing endorsements to be made on Instrument of Transfer as selling broker's agent”。
Applicant is also required to submit the “Authorisation to HKSCC on causing endorsements to be made on Instrument of Transfer as selling broker's agent” when changing the Participantship from Custodian Participant to General Clearing Participant.

B. 此申請之聯絡人資料
Information of the Contact Person for this Application

姓名 Name			
電話號碼 Telephone Number		傳真號碼 Fax Number	
電郵地址 Email Address			

C. 參與者聲明
Declaration by the CCASS Participant

本公司
We,

中央結算參與者名稱
(Name of CCASS Participant)

1. 聲明當此申請獲批核，本公司董事會已通過此申請及同意受制於香港中央結算有限公司(「結算公司」)的中央結算系統一般規則及中央結算系統運作程序規則的議案；
declare that our board of directors has passed resolution(s) approving this application and agreeing to be bound by the General Rules of CCASS and CCASS Operational Procedures of Hong Kong Securities Clearing Company Limited (“HKSCC”) upon this application being approved;
2. 同意按此表格所述的私隱政策聲明處理個人資料；
consent to the processing of personal data in accordance with the Privacy Policy Statement included in this form;
3. 聲明在表格內所提供的資料，全屬真實及正確，同時，本公司並沒有因任何陳述或遺漏而導致該等資料有任何不真實或誤導的成份；
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 or omitted to make any statements or omissions which would render such information untrue or misleading;
4. 承諾若此申請所提供之資料有任何變更，本公司當立刻通知結算公司；
undertake that we shall notify HKSCC immediately of any changes in the information given in this application (including the information stated in the supporting documents);
5. 明白結算公司會對有關申請作出虛假或錯誤引導聲明之參與者採取紀律處分；
understand that HKSCC may take disciplinary proceedings against a Participant which has made a false or misleading representation in relation to its application for participantship;
6. 承諾本公司會遵守所有適用於結算公司不時生效之規則、規例及程序，及符合結算公司有關申請批核信件內之條件及其他不時作出的指令，並同意在任何不遵守之情況下接受紀律處分；及
undertake that we shall comply with all applicable rules, regulations and procedures of HKSCC from time to time in force, the conditions stated in the letter of approval and any other directives from time to time made by HKSCC; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
7. 同意結算公司及作為結算公司控制人的認可控制人又或任何作為結算公司控制人的認可控制人為其控制人的公司可透露有關本公司的資料予證監會、其他交易所及監管機構（不論於香港境內或境外）。
consent that HKSCC and any recognized exchange controller which is the controller of HKSCC or any company of which a recognized exchange controller which is controller of HKSCC is a controller may disclose information relating to us to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

中央結算參與者簽署
Signature of the
CCASS Participant

日期
Date

獲授權簽署人仕 (連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)
Authorised Signatories (with company chop, ONLY applicable if it forms part of your signing instruction)

簽署人姓名
Name of Signatory

職銜
Position

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.

How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

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.

Persistent Cookies: cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

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 may 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

By Post:
Personal Data Privacy Officer
Hong Kong Exchanges and Clearing Limited
8/F, Two Exchange Square
8 Connaught Place
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK