

Confirmation Form for Rollout/ Termination/ Re-assignment under Orion Central Gateway – Securities Market (OCG-C) and/ or Drop-Copy Session

Explanatory Notes:

- 1) Please read carefully all the information provided in this document before completion of the Confirmation Form.
- 2) The completed Confirmation Form should be sent to OTPC@hkex.com.hk by email and followed by a telephone call at 2840-3626 to confirm submission.
- 3) To rollout new OCG-C/ Market Making (MM) OCG-C/ Kill Switch/ Drop-Copy session(s), Exchange Participants (EPs) should give at least 1 week’s advance notice before the effective date. To terminate OCG-C/ MM OCG-C/ Kill Switch/ Drop-Copy session, if EPs have been using the aforementioned session(s) less than one month, EPs should give at least 1 month’s advance notice before the effective date; otherwise, 1 week’s advance notice is acceptable. For other case(s), EPs should give at least 3 trading days’ advance notice before the effective date.
- 4) This Confirmation Form only covers change requests specified in Part III to Part V. For other change requests not mentioned, EP needs to submit a letter to HKEX at least 3 trading days before the effective date.
- 5) HKEX reserves the right to accept or reject any application without further explanation.
- 6) “Existing Position” refers to the broker number(s)/ throttle rate(s) assigned and connected to the related OCG-C/ MM OCG-C/ Kill Switch/ Drop-Copy session before the effective date of change.
- 7) “Revised Position” refers to the broker number(s)/ throttle rate(s) to be assigned and connected to the related OCG-C/ MM OCG-C/ Kill Switch/ Drop-Copy session on the effective date of change and onward.
- 8) Please note if no broker number(s) and throttle rate(s) are assigned to production OCG-C session(s) or such broker number(s) will be deleted after the Revised Position, the production OCG-C session(s) and broker number(s) will be deleted from HKEX record. EP should not use the deleted broker number(s) for any purpose.
- 9) For enquiry of this Confirmation Form, please contact HKEX – Participant General Enquiry Hotline at 2840-3626.

Part I - Participant Information

Name of Exchange Participant (EP)		Participant ID
Contact Person Name	Business Email Address	Business Phone No.

Change Notification Details

Part II – Effective Date of the Change(s)

We hereby request HKEX to make the change(s) as specified under Part III to Part V on the below selected effective date.

Effective Date of the Revised Position: _____

Part III – Type of Changes on OCG-C/ MM OCG-C Session(s) *[please tick the appropriate box(es) and fill in the information below]*

We hereby request HKEX to make the following change(s) under OCG-C/ MM OCG-C Session:

- Rollout new/ Terminate to use OCG-C/ MM OCG-C Session(s)
- Assign new/ pending Trading Right (TR) and/ or Relinquished Throttle (RT) to OCG-C Session(s)
- Re-assign TR and/ or RT under OCG-C Session(s)
- Rollout new/ Re-assign Additional Throttle (AT) and/ or Monthly Throttle (MT) and/ or Throttle-On-Demand (TOD) under OCG-C Session(s)
- Rollout new/ Re-assign Market Making Throttle (MMT¹) under MM OCG-C Session(s)
- Rollout new broker number to OCG-C/ MM OCG-C Session(s)
- Re-assign/ Delete broker number² under OCG-C/ MM OCG-C Session(s)
- De-assign TR and/ or RT from existing OCG-C Session(s) and such TR and/ or RT will not be assigned to other trading device until further notice
- De-assign RT from existing OCG-C Session(s)
- Relinquish TR and/ or AT³ under existing OCG-C Session(s) to HKEX
- Terminate MT⁴ under OCG-C Session(s)
- Terminate MMT⁵ under MM OCG-C Session(s)

¹ Please note that the MMT assigned to a MM OCG-C session will not be withdrawn upon delisting of the eligible securities (i.e. the number of throttles assigned to a MM OCG-C session will be increased but not decreased, unless the MMT is re-assigned to other MM OCG-C session(s) under the same EP).

² We note that we shall not use the deleted broker number for any purpose (e.g. Manual Trade Input, Initial Public Offering Application etc).

³ In future, if EP needs to increase of AT rate(s), EP needs to submit the related application form and pay the one-time charge and monthly user fee to HKEX.

⁴ Only applicable to the related OCG-C session that will be terminated or there is change of throttle rate(s) and/or broker no. assignment under the same OCG-C session on the same effective date. Please also submit the completed Application for Subscription or Termination of Monthly Throttle Rates (CT005) via [Client Connect](#).

⁵ Only applicable to the related MM OCG-C session that will be terminated on the same effective date.

Existing & Revised Position of OCG-C/ MM OCG-C Session(s) [please tick the appropriate box(es) and fill in the information below]

Comp ID (Order Flow)	Existing Position of OCG-C/ MM OCG-C Session(s) [Before Rollout / Termination / Re-assignment]							Revised Position of OCG-C/ MM OCG-C Session(s) [After Rollout / Termination / Re-assignment]						
	Broker No. Assigned <i>(Please separate broker numbers with ";")</i>	No. of Throttle Rates Assigned						Broker No. Assigned <i>(Please separate broker numbers with ";")</i>	No. of Throttle Rates Assigned					
		TR	RT	AT	MT	MMT	Others: SFMT / PMM / TOD <i>(*Please specific the no. of each type of throttle: e.g. 2PMM, 4SFMT)</i>		TR	RT	AT	MT	MMT	Others: SFMT / PMM / TOD <i>(*Please specific the no. of each type of throttle: e.g. 2PMM, 4SFMT)</i>
	<input type="checkbox"/> Not Applicable Position on _____ <i>(Please fill in the date if the position is NOT current position)</i>							<input type="checkbox"/> Not Applicable						
CO0														
CO0														
CO0														
CO0														

Comp ID (Order Flow)	Existing Position of OCG-C/ MM OCG-C Session(s) [Before Rollout / Termination / Re-assignment]							Revised Position of OCG-C/ MM OCG-C Session(s) [After Rollout / Termination / Re-assignment]						
	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	No. of Throttle Rates Assigned *TR – Trading Right; RT – Relinquished Throttle; AT – Additional Throttle; MT – Monthly Throttle; MMT – Market Making Throttle; SFMT - Stock Futures Market Maker Throttle; PMM - Primary Market Maker Throttle; TOD – Throttle-On-Demand						Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	No. of Throttle Rates Assigned *TR – Trading Right; RT – Relinquished Throttle; AT – Additional Throttle; MT – Monthly Throttle; MMT – Market Making Throttle; SFMT - Stock Futures Market Maker Throttle; PMM - Primary Market Maker Throttle; TOD – Throttle-On-Demand					
		TR	RT	AT	MT	MMT	Others: SFMT / PMM / TOD <i>(*Please specific the no. of each type of throttle: e.g. 2PMM, 4SFMT)</i>		TR	RT	AT	MT	MMT	Others: SFMT / PMM / TOD <i>(*Please specific the no. of each type of throttle: e.g. 2PMM, 4SFMT)</i>
COO														
COO														
COO														
COO														

Comp ID (Order Flow)	Existing Position of OCG-C/ MM OCG-C Session(s) [Before Rollout / Termination / Re-assignment]							Revised Position of OCG-C/ MM OCG-C Session(s) [After Rollout / Termination / Re-assignment]						
	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	No. of Throttle Rates Assigned						Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	No. of Throttle Rates Assigned					
		TR	RT	AT	MT	MMT	Others: SFMT / PMM / TOD <i>(*Please specific the no. of each type of throttle: e.g. 2PMM, 4SFMT)</i>		TR	RT	AT	MT	MMT	Others: SFMT / PMM / TOD <i>(*Please specific the no. of each type of throttle: e.g. 2PMM, 4SFMT)</i>
COO														
COO														
COO														
COO														

Part IV – Type of Changes on Kill Switch Session(s) *[please tick the appropriate box(es) and fill in the information below]*

We hereby request HKEX to make the following change(s) under Kill Switch Session:

- Rollout new/ Terminate to use Kill Switch Session(s)
- Rollout new broker number under new/ existing Kill Switch Session(s)
- Re-assign broker number from existing OCG-C/ Kill Switch Session to new/ existing OCG-C/ Kill Switch Session(s)
- Delete broker number under existing Kill Switch Session(s)

Existing & Revised Position of Kill Switch Session(s)

Comp ID (Kill Switch)	Existing Position of OCG-C/ Kill Switch Session(s) [Before Rollout / Termination / Re-assignment]	Revised Position of OCG-C/ Kill Switch Session(s) [After Rollout / Termination / Re-assignment]
	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>
	<input type="checkbox"/> Not Applicable Position on _____ <i>(Please fill in the date if the position is NOT current position)</i>	<input type="checkbox"/> Not Applicable
CO0		
CO0		
CO0		
CO0		

Part V – Type of Changes on Drop-Copy Session(s) *[please tick the appropriate box(es) and fill in the information below]*

We hereby request HKEX to make the following change(s) under Drop-Copy Session(s):

- Rollout new/ Terminate to use Drop-Copy Session(s)
- Add existing^{6/} new broker number record under existing Drop-Copy Session(s)
- ⁷Remove broker number record under existing Drop-Copy Session(s)

Existing & Revised Position of Drop-Copy Session(s)

Comp ID (Drop-Copy)	Existing Position of Drop-Copy Session(s) [Before Rollout / Termination]		Revised Position of Drop-Copy Session(s) [After Rollout / Termination]	
	Type of Drop-Copy Service	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	Type of Drop-Copy Service	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>
	<input type="checkbox"/> Not Applicable	Position on _____ <i>(Please fill in the date if the position is NOT current position)</i>	<input type="checkbox"/> Not Applicable	
CC0	<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only		<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only	

⁶Only applicable when new broker number record will be added under the same Drop-Copy session on the same effective date.

⁷Only applicable to the related OCG-C/ MM OCG-C session that will be terminated on the same effective date.

Comp ID (Drop-Copy)	Existing Position of Drop-Copy Session(s) [Before Rollout / Termination]		Revised Position of Drop-Copy Session(s) [After Rollout / Termination]	
	Type of Drop-Copy Service	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	Type of Drop-Copy Service	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>
CC0	<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only		<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only	
CC0	<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only		<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only	

Comp ID (Drop-Copy)	Existing Position of Drop-Copy Session(s) [Before Rollout / Termination]		Revised Position of Drop-Copy Session(s) [After Rollout / Termination]	
	Type of Drop-Copy Service	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	Type of Drop-Copy Service	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>
CC0	<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only		<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only	
CC0	<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only		<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only	

Comp ID (Drop-Copy)	Existing Position of Drop-Copy Session(s) [Before Rollout / Termination]		Revised Position of Drop-Copy Session(s) [After Rollout / Termination]	
	Type of Drop-Copy Service	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>	Type of Drop-Copy Service	Broker No. Assigned <i>(Please separate broker numbers with ",")</i>
CC0	<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only		<input type="checkbox"/> Orders & Trades <input type="checkbox"/> Trades Only	

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

Signature of Responsible Officer
with Company Chop : _____ Date : _____

Name of Responsible Officer : _____

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.

(Updated in October 2024)

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