HKEX
香港交易所

表格 13
Form 13

指定指數套戥賣空參與者註冊申請
Application for Registration as Designated Index Arbitrage Short Selling Participant

申請公司名稱 Name of Applicant (聯交所參與者) (SEHK Participant)	中文 (in Chinese)
	英文 (in English)

注意事項 :
Notes :

1. 倘若指定指數套戥的交易是其聯號的交易，申請公司須附上附有股權百分率的組織結構圖，以顯示申請公司與其聯號的關係及 / 或倘若指定指數套戥的交易是香港期貨交易所有限公司(「期交所」)參與者的聯號的交易，申請人需呈交附有股權百分率的組織結構圖，以顯示期交所參與者與其聯號的關係。
   Please attach an organization chart with percentage shareholdings shown to depict the relationship between the Applicant and its affiliate(s) if the Designated Index Arbitrage Transactions are the trades of its affiliate(s) and/or an organization chart with percentage shareholdings shown to depict the relationship between an Exchange Participant of Hong Kong Futures Exchange Limited ("HKFE") and its affiliate(s) if the Designated Index Arbitrage Transactions are the trades of the HKFE Participant's affiliate(s).

2. 在期交所指定一位以上的指定指數套戥參與者進行指定指數套戥交易的申請人需就每一位指定指數套戥參與者填報一份申請表，並註明每位指定指數套戥參與者用以進行指數套戥交易的編號。
   The Applicant who has designated more than one Designated Index Arbitrage Participant ("DIAP") in the HKFE to conduct Designated Index Arbitrage Transaction ("DIAT"), shall complete separate application Form for each DIAP and indicate the sequential numbers to be used by each DIAP for conducting DIATs.

3. 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.

4. 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.

5. 請將此表格傳真至2521-7899 或郵遞至香港交易及結算所有限公司(「香港交易所」) 客戶服務部，地址為香港中環康樂廣場八號交易廣場一期四十五樓。
   Please submit this Form to Client Services Department of Hong Kong Exchanges and Clearing Limited (" HKEX") by fax to 2521-7899 or mail to 45/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong.

A. 指定指數套戥賣空資料
Particulars of the Designated Index Arbitrage Short Selling

1.1 請在下列方格劃上 '✓' 號以顯示為何人進行指定指數套戥賣空(所需呈交的文件，請參閱本表格首頁第 1 項):-
Please indicate on whose behalf the Designated Index Arbitrage Short Selling is conducted by ticking the box(es) below (Please see note 1 on the front page of this application form for the required documents to be submitted):-

☐ 為閣下的賬戶
For your own account

☐ 為閣下的聯號賬戶，該聯號已指定閣下代其進行指定指數套戥賣空
For the account of your affiliate(s) which has/have designated you to conduct Designated Index Arbitrage Short Selling on its/their behalf

聯號名稱： Name of your affiliate(s)	1	
	2	
	3	

☐ 為期交所參與者的賬戶，該參與者已指定閣下代其進行指定指數套戥賣空
For the account of an HKFE Participant(s) which has/have designated you to conduct Designated Index Arbitrage Short Selling on its/their behalf

期交所參與者 Name of HKFE Participant(s)	1	
	2	
	3	

☐ 為期交所參與者的聯號賬戶，該期交所參與者的聯號已指定閣下代其進行指定指數套戥賣空
For the account of an HKFE Participant's affiliate(s) which has/have designated you to conduct Designated Index Arbitrage Short Selling on its / their behalf.

期交所參與者的聯號名稱 Name of HKFE Participant's affiliate(s)	1	
	2	
	3	

1.2 請列出代閣下在期交所進行指定指數套戥交易的指定期交所參與者名稱，該參與者需根據期交所規則在期交所註冊為指定指數套戥參與者。
Please state the name of the designated HKFE Participant which is registered with HKFE as a Designated Index Arbitrage Participant under Rules of HKFE to conduct on your behalf such parts of the Designated Index Arbitrage Transaction that need to be conducted on HKFE.

指定指數套戥參與者名稱 Name of Designated Index Arbitrage Participant	

1.3 倘若指定超過一位指定指數套戥參與者進行指定指數套戥交易，請列出每位指定指數套戥參與者在進行指定指數套戥交易的編號（請參閱本表格首頁第 2 項）。
If more than one Designated Index Arbitrage Participant ("DIAP") have been designated to conduct Designated Index Arbitrage Transactions, please indicate below the sequential numbers to be used by the abovenamed DIAP for conducting the Designated Index Arbitrage Transactions (Please see note 2 on the front page of this application form).

起始編號[1] Sequential number start range[1]	終止編號 Sequential number end range

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

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

C. 聯交所參與者聲明
Declaration by the SEHK Participant

本公司,
We, _____

聯交所參與者名稱
Name of SEHK Participant

1. **申請**註冊為指定指數套戥賣空參與者及同時**申請**註冊列於上述第 A 段的人士，本公司將代其賬戶進行指定指數套戥賣空；
apply for registration as a Designated Index Arbitrage Short Selling Participant and also **apply** for registering the person(s) stated in paragraph A above for whose account we will be conducting Designated Index Arbitrage Short Selling;

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**載於此申請的資料（包括載於申請文件的資料）全屬完整、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確或誤導的成份；
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 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，本公司當立刻通知香港聯合交易所有限公司（「聯交所」）；
undertake that we shall notify The Stock Exchange of Hong Kong Limited ("SEHK") immediately of any changes in the information given in this application;

[1] 任何列於上述第 1.3 段的資料若有變更，必須立刻通知香港交易所之市場監察。通知可傳至電郵地址「iasfmm@hkex.com.hk」。
Any change in the information given under paragraph 1.3 shall be notified immediately to Market Surveillance & Monitoring of HKEX. The notification can be made to email address "iasfmm@hkex.com.hk."

5. **明白**聯交所會對有關申請作出虛假或錯誤引導聲明之交易所參與者採取紀律處分；
understand that SEHK may take disciplinary proceedings against a Participant which has made a false or misleading representation in relation to its application;

6. **承諾**本公司會遵守所有適用於聯交所不時生效之規則、規例及程序，及符合聯交所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, regulation and procedures of SEHK from time to time in force, the conditions stated in the letter of approval and any other directives from time to time made by SEHK; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and

7. **同意**聯交所及作為聯交所控制人的認可控制人又或任何作為聯交所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 SEHK and any recognized exchange controller which is the controller of SEHK or any company of which a recognized exchange controller which is controller of SEHK is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

聯交所參與者簽署[2]
Signature of the SEHK Participant[2] _____ 日期 Date _____

連同公司印章
(with Company Chop)

簽署人姓名 Name of Signatory _____ 職銜 Position _____

D. 期交所指定指數套戥參與者聲明 Declaration by the Designated Index Arbitrage Participant of HKFE

本公司,
We, _____

期交所參與者名稱
Name of HKFE Participant

1. **同意**代上述聯交所參與者在期交所進行指定指數套戥交易；及
agree to conduct on behalf of the aforesaid SEHK Participant such parts of the Designated Index Arbitrage Transactions that need to be conducted on HKFE; and

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.

期交所參與者簽署 [2]
Signature of the HKFE Participant[2] _____ 日期 Date _____

連同公司印章
(with Company Chop)

簽署人姓名 Name of Signatory _____ 職銜 Position _____

[2] 必須由交易所參與者之負責人員或經由董事會授權之人士簽署。
The signatory shall be a Responsible Officer or a person duly authorized by the board of directors of the Exchange Participant.

私隱政策聲明

香港交易及結算所有限公司以及其不時的附屬公司(統稱「**本集團**」)(在本私隱政策聲明中,各自稱為「**香港交易所**」、「**我們**」或「**本集團成員公司**」,視適用情況而定)明白根據香港法例第486章《個人資料(私隱)條例》(該「**《條例》**」)其在收集、持有、處理、使用及/或轉移個人資料方面的責任。個人資料的收集只限作合法且相關的用途,並會採取一切實際可行方法去確保我們持有的個人資料準確無誤。我們將會根據本私隱政策聲明使用我們不時所收集閣下的個人資料。

我們定期檢討這項私隱政策聲明,並可能不時加以修訂或加入具體指示、政策及條款。本私隱政策聲明如有任何重要修訂,我們會通過 閣下提供給我們的聯絡方式通知 閣下,也會按該《條例》的規定,讓 閣下可以透過屆時通知 閣下的途徑選擇拒絕接收此類修訂通知。否則,關於通過香港交易所網站或其他方式而提供給我們的個人資料,閣下繼續使用香港交易所網站或繼續維持與我們的關係即被視為同意並接受此項私隱政策聲明(不時修訂)。

如對這項私隱政策聲明或我們如何使用 閣下的個人資料有任何疑問,請通過下文「聯繫我們」所載的任何一個通訊渠道與我們聯繫。

我們會採取一切實際可行方法確保個人資料的安全,以及避免個人資料在未經授權或意外的情況下被取用、刪除或作其他用途。這包括在實物具體上、技術上及程序上的適當安全措施,確保只有經授權人士才能取用個人資料。

請注意:如 閣下沒有向我們提供個人資料(或有關 閣下代理人的個人資料),我們可能無法提供 閣下要求的資訊、產品或服務又或無法處理 閣下的要求、申請、訂購或登記,亦可能無法執行或履行監管職能(定義見下文)。

目的

我們或會為了以下目的而不時收集 閣下的個人資料(包括但不限於 閣下的姓名、郵寄地址、電話號碼、電郵地址、出生日期和登入名稱):

1. 處理 閣下的申請、訂購及登記使用我們的產品及服務;
2. 執行或履行香港交易所以及任何由其作為認可控制人的公司(定義見香港法例第571章《證券及期貨條例》)的職能(「監管職能」);
3. 向 閣下提供我們的產品和服務,以及與此相關的賬戶管理;
4. 進行研究和統計分析;
5. 處理 閣下應聘香港交易所職位或工作的申請,以評估閣下是否為適合人選,並向 閣下的前僱主進行相關的背景查證;及
6. 與上列任何一項有直接關聯的其他目的。

直接營銷

如 閣下已經給予同意而其後並無撤回,我們也可能會使用閣下的姓名、郵寄地址、電話號碼和電郵地址,用以寄送宣傳資料,就香港交易所以及本集團其他成員公司的金融和資訊服務進行直接營銷活動。

如不希望收到我們的宣傳和直接營銷資料,或不希望收到某類宣傳和直接營銷資料,又或不希望在某種途徑收到此類材料,請通過下文「聯繫我們」所載的其中一種通訊渠道聯絡我們。為確保可以迅速處理 閣下的要求,請提供 閣下的全名、電郵地址、登入名稱及所訂閱產品及/或服務的詳情。

身份證號碼

我們也可能會根據適用法律或規例又或任何對我們有管轄權限的監管者的要求而收集並處理 閣下的身份證號碼,另外亦可能因為需要識別 閣下的身份而(在不抵觸該《條例》的前提下)收集並處理 閣下的身份證號碼。

轉移 閣下的個人資料作直接營銷

除非 閣下已經拒絕,否則我們可能會將 閣下的姓名、郵寄地址、電話號碼和電郵地址轉交本集團其他成員公司,使其可向 閣下寄送宣傳資料,就其金融和資訊服務進行直接營銷活動。

其他轉移個人資料的情況

為了以上一個或多於一個目的,閣下的個人資料可能會被:

1. 轉交予本集團其他成員公司,而使本集團(在香港或其他地方)的相關人員獲得 閣下的個人資料;就此,閣下同意將 閣下的個人資料轉離香港;
2. 提供予任何向香港交易所及/或本集團在香港或其他地方的其他成員提供行政、電訊、電腦、付款、追收欠款、資料處理或其他服務的代理、承判商或第三方;及
3. 轉交予其他人士(收集資料時會通知 閣下)。

我們如何使用 cookies

閣下通過香港交易所網站查閱我們的資訊或服務時,應當留意到網站有使用 cookies。Cookies是指儲存在 閣下瀏覽器內的資料檔。閣下進入香港交易所網站時,網站即在 閣下瀏覽器內自動安裝並使用 cookies。香港交易所網站使用兩種 cookies。

Session Cookies:一種只在 閣下瀏覽香港交易所網站期間留存於瀏覽器內的短暫性質 cookies,用處在於取得並儲存配置資訊及管理網站,包括「攜帶」資訊以隨 閣下瀏覽網站的不同版頁,譬如以免 閣下每到一個版頁也要重新輸入資訊。Session cookies也會用來編備關於香港交易所網站使用的匿名統計資料。

Persistent Cookies:一種留存於瀏覽器內較長時間的cookies,用以編備關於香港交易所網站使用的匿名統計資料,或追蹤和記錄使用者的習慣偏好。

香港交易所網站所用的 cookies 不包含個人資料。閣下可以更改瀏覽器或網路安全軟件中的設定,拒絕接受瀏覽器內的cookies。不過,這樣或會令 閣下不能使用或啟動香港交易所網站中的某些功能。

法律與法規的遵守

香港交易所及本集團其他成員公司或要為了遵守適用法律及規例,或遵守法院指令、傳票或其他法定程序(無論於香港或其他地方),或遵從政府機關、執法機構或類似機構(無論位於香港或其他地方)提出的要求,又或執行或履行監管職能,而必須保留、處理及/或披露 閣下的個人資料。香港交易所及本集團其他成員公司或須披露 閣下的個人資料,以履行與 閣下的協議,或保護我們或我們僱員的權利、財產或安全,又或執行或履行監管職能。

公司重組

隨著我們持續發展業務,我們可能會重組集團架構或出現控制權易手或業務合併。在這些情況下,閣下的個人資料或會按這份私隱政策聲明或另一份將會通知 閣下的私隱政策聲明而移交繼續運營我們業務或類似服務的第三方。此等第三方或在香港以外的地方,就此等收購或重組而使用 閣下個人資料的地點也可能不在香港。

查閱及更正個人資料

根據該《條例》,閣下有權查明我們是否持有 閣下的個人資料、取得資料的備份及更正任何不準確資料,也可以要求我們通知 閣下其持有資料的種類。如欲查閱有關資料,須使用個人資料私隱專員(「**私隱專員**」)指定的表格(可於私隱專員公署的官方網站下載)或經此連接 https://www.pcpd.org.hk/english/publications/files/Dforme.pdf 提出。

如欲查閱和更正個人資料,或查閱有關政策與常規以及我們所持有資料種類,應以書面及郵遞形式提出要求(見以下「聯繫我們」)。

我們或會因應 閣下查閱資料要求而產生的行政及實際成本而收取合理的費用。

終止或取消

任何時候如果 閣下在我們的賬戶或與我們的關係被取消或終止,我們會隨即在合理情況下盡快終止處理 閣下的個人資料,但也可按合理需要而保留有關資料,合理的需要包括:資料歸檔;解決實際或潛在的爭議;遵守適用法律及規例;履行與 閣下的任何協議;保障我們及我們僱員的權利、財產或安全;以及執行或履行我們的職能、義務及責任等。

一般資料

本私隱政策聲明的中英文本如有差異,概以英文版為準。

聯繫我們

郵寄:
香港中環康樂廣場8號
交易廣場二期8樓
香港交易及結算所有限公司
個人資料隱私主任

電郵:DataPrivacy@HKEX.COM.HK

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