

**指定指數套戩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：**

- 倘若指定指數套戩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 / 或倘若指定指數套戩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).
- 在期交所指定一位以上的指定指數套戩參與者進行指定指數套戩交易的申請人需就每一位指定指數套戩參與者填報一份申請表，並註明每位指定指數套戩參與者用以進行指數套戩交易的編號。  
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.
- 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」)交易營運，地址為香港中環康樂廣場八號交易廣場二期六樓。  
Please submit this Form to Trading Operations of Hong Kong Exchanges and Clearing Limited ("HKEX") by fax to 2521-7899 or mail to 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

**A. 指定指數套戩賣空資料**  
**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戩賣空(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戩賣空  
 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戩賣空  
 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戩賣空  
 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戩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戩參與者。  
 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.

指定指數套戩參與者名稱 Name of Designated Index Arbitrage Participant	
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- 1.3 倘若指定超過一位指定指數套戩參與者進行指定指數套戩交易，請列出每位指定指數套戩參與者在進行指定指數套戩交易的編號（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 <sup>1</sup> Sequential number start range <sup>1</sup>	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戩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戩賣空；  
**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;

<sup>1</sup> 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](mailto: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](mailto: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<sup>2</sup>

Signature of the  
SEHK Participant<sup>2</sup>

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<sup>2</sup>

Signature of the  
HKFE Participant<sup>2</sup>

日期

Date

連同公司印章  
(with Company Chop)

簽署人姓名  
Name of Signatory

職銜

Position

<sup>2</sup> 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.



## 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](mailto:DataPrivacy@HKEX.COM.HK)