HKATS Trading Procedures

CHAPTER 3 DEALING FUNCTIONALITY

This chapter sets out primary dealing functionality available in HKATS. Detailed input procedures in relation to these functions are more thoroughly described in the HKATS User's Guide and the HKATS Risk Functions User's Guide.

3.0   *HKATS Risk Controls and Functions*

Exchange Participants shall have arrangements in place to ensure that all orders transmitted to HKATS are subject to Prescribed Risk Controls and other appropriate risk controls and functions.

Appendix II - Forms

Form CA

Part II – Details of Authorized Persons (for addition of HKATS Usernames and change of contact person)

We hereby notify the Exchange that in addition to our Responsible Officers, the Exchange may contact the Authorized Persons listed in the tables below in relation to our access to HKATS.

Existing username / No. of new usernames requested	CLICK / OAPI / HKATS Risk Functions user (only for any request of a new username)	Name of Authorized Person	First 4 digits of HKID card / passport no.	Office tel no.	Mobile phone no.