

## Operational Trading Procedures for Options Trading Exchange Participants

### Chapter 2 : Access to HKATS

#### 2.1 Means of Access

An Options Trading Exchange Participant can access HKATS for trading in stock options through its connection to HKATS. Options Trading Exchange Participants should complete and return the **CLICK Workstation Installation/Termination Request Form** and the HKATS Usernames for Access to HKATS Form where installation or termination of HKATS workstations is intended.

#### 2.3 [Repealed]

#### 2.4 Passwords

A password must be entered with a HKATS Username in order to access HKATS.

The Exchange will distribute HKATS Username(s) and password(s) to the Options Trading Exchange Participant and its Authorized Person for gaining access to HKATS. Upon logging on for the first time, an Authorized Person should change the password to one he chooses and keep it strictly confidential.

An Options Trading Exchange Participant may request the Exchange to reset the password or to reissue the password notification letter subject to the payment of a fee specified by the Exchange. Such request shall be made by completing the **Request For Resetting Password Form** or the **Request For Re-issuing Password Notification Letter** whichever is appropriate.

#### 2.5 Application For HKATS Username

An Options Trading Exchange Participant must apply through **Form CA** for assignment of HKATS Username(s) and password(s) for accessing HKATS.

The Options Trading Exchange Participant shall notify the Exchange on any change in the information provided on **Form CA**, including any deletion of HKATS Username(s). For deletion of HKATS Username(s), the Exchange will endeavor to terminate the access of the HKATS username(s) to HKATS on the effective date as indicated on **Form CA**.

### Chapter 7 : Contingency Procedures

#### 7.2 Exchange Back-Up Facility

An Options Trading Exchange Participant can apply to the Exchange to rent an HKATS terminal temporarily in case of lost connectivity, on a first-come first-served basis and subject to availability. A charge will be levied for this service (see Appendix A).

The process works as follows:

1. When an Options Trading Exchange Participant loses connectivity to HKATS, the Options Trading Exchange Participant should fax a completed **Form OP302 (Request for Rental of CLICK Workstation in SOS Centre)** to the Exchange requesting to rent from the Exchange a backup terminal in the SOS Centre.

Please refer to the HKATS User's Guide for the location of the SOS Centre.

2. The Exchange will call back the Options Trading Exchange Participant to confirm whether a spare terminal is available. The Exchange will ask for personal particulars of the representatives (at most two per terminal) who will come to the SOS Centre. Only Responsible Officers and Authorized Persons will be allowed entry to the SOS Centre.
3. The representatives of the Options Trading Exchange Participant should bring along the original **Form OP302** and their own Hong Kong ID cards or passports to the SOS Centre and check in. They can then start using the backup terminals with their respective HKATS Usernames and passwords.
4. No back office functionalities will be provided in the SOS Centre.
5. The Exchange will subsequently investigate the reported system disconnection.

#### 7.4 Inter-Exchange Participant Back-Up Facilities

Options Trading Exchange Participants can have agreement to back up one another in case of lost connectivity with HKATS on client business. If Options Trading Exchange Participants P and Q share the same client, and when this client requests P to input an options order while P lost temporarily access to HKATS, P can request Q to input the order and, when the order is matched, give up the trade back to P via DCASS.

## APPENDIX A: FEES & COSTS PAYABLE TO THE EXCHANGE

### A2 Training Fees

Training Fees	Amount
Course fee (Part I) - Exchange Participant	\$300
Course fee (Part II) - Exchange Participant	\$300
Course fee (Part I) - non-Exchange Participant	\$300
Course fee (Part II) - non-Exchange Participant	\$300

To: **THE STOCK EXCHANGE OF HONG KONG LIMITED**  
(a wholly owned subsidiary of Hong Kong Exchanges and Clearing Ltd)

**DERIVATIVES MARKET**

10/F One International Finance Centre  
1 Harbour View Street  
Central, Hong Kong  
(Ref: DMDO)

Hotline: 2211 6360  
Fax: 2509 0724 / 2877 0017

**REQUEST FOR RENTAL OF CLICK WORKSTATION IN SOS CENTRE**

**Particulars of Exchange Participant**

Mnemonic / Firm ID	Participant Name
--------------------	------------------

**Contact Person**

Name	Tel	Fax
Position	E-mail	Mobile

**Details**

Authorized Person(s) working at the SOS Centre

Name	HKID No.

Reason for rental of CLICK workstation in SOS Centre	
No. of workstations requested	
Date	Time

**Fee**

\$1,000 per workstation per day

\_\_\_\_\_  
Authorized Signature  
with company chop

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Signatory

**To: THE STOCK EXCHANGE OF HONG KONG LIMITED**  
 (a wholly owned subsidiary of Hong Kong Exchanges and Clearing Ltd)

**DERIVATIVES MARKET**

10/F One International Finance Centre  
 1 Harbour View Street  
 Central, Hong Kong

Hotline: 2211 6360  
 Fax : 2509 0724 / 28770017  
 Hotline: 2211 6360

**REQUEST FOR RESETTING PASSWORD**

**Particulars of Exchange Participant**

Mnemonic / Firm ID	Participant Name
--------------------	------------------

**HKATS User Information**

Name of Authorized Person		
HKATS Username	Tel	Fax

**Details**

Reason for resetting password	
-------------------------------	--

We hereby request for the resetting of password for the Authorized Person stated above and agree to pay the required charges stipulated in the SEHK Rules, Regulations and Procedures.

Authorized Signature(s) of  
 Exchange Participant \_\_\_\_\_ Date \_\_\_\_\_  
 (with company chop)

For Official Use Only		
Signature Verified	User Verified	Form NU Prepared
	User Informed	Fees Charged

To: **THE STOCK EXCHANGE OF HONG KONG LIMITED**  
(a wholly owned subsidiary of Hong Kong Exchanges and Clearing Ltd)

**DERIVATIVES MARKET**

10/F One International Finance Centre  
1 Harbour View Street  
Central, Hong Kong

Hotline: 2211 6360  
Fax : 2509 0724 / 2877 0017

**REQUEST FOR RE-ISSUING PASSWORD NOTIFICATION LETTER**

**Particulars of Exchange Participant**

Mnemonic / Firm ID	Participant Name
--------------------	------------------

**HKATS User Information**

Name of Authorized Person		
HKATS Username	Tel	Fax

**Details**

Reason for re-issuing password notification letter	
--	--

We hereby request for the reissuing of the password notification letter for the Authorized Person stated above and agree to pay the required charges stipulated in the SEHK Rules, Regulations and Procedures.

Authorized Signature(s) of  
Exchange Participant \_\_\_\_\_ Date \_\_\_\_\_  
(with company chop)

For Official User Only		
Signature Verified	User Verified	Form NU Prepared
Password Reset	User Informed	Fees Charged

TO: **THE STOCK EXCHANGE OF HONG KONG LIMITED**  
(a wholly owned subsidiary of Hong Kong Exchanges and Clearing Ltd)

**DERIVATIVES MARKET**

10/F, One International Finance Centre  
1 Harbour View Street  
Central, Hong Kong

Hotline: 2211 6360  
Fax : 2509 0724 / 2877 0017

**REQUEST FOR ON-BEHALF-OF PROCESSING**

**Particulars of Exchange Participant**

Mnemonic / Firm ID	Participant Name
--------------------	------------------

**Contact Person**

Name	Tel	Fax
Position	E-mail	

**Details**

Type of Transaction Processed	Number of Orders

**Fee**

Bulk deletions involving more than 20 orders: \$1,000 per bulk deletion  
Transactions other than bulk deletions: \$50 per transaction

Total Fee: \$ \_\_\_\_\_

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Signatory



To: **THE STOCK EXCHANGE OF HONG KONG LIMITED**  
 (a wholly owned subsidiary of Hong Kong Exchanges and Clearing Ltd)

10/F One International Finance Centre  
 1 Harbour View Street  
 Central  
 Hong Kong  
 (Ref: DM)

Fax: 2877 0017  
 Hotline: 2211 6360

**CLICK WORKSTATION INSTALLATION/TERMINATION REQUEST FORM**

Particulars of Exchange Participant	
Exchange Participant	_____
Contact Person	_____ Email _____
Phone No.	_____ Fax No. _____

Services Required (Please tick the box for the appropriate service(s) required.)	
<input type="checkbox"/> Installation of CLICK	Intended Installation Date _____
<input type="checkbox"/> Termination of CLICK	Intended Termination Date _____
<input type="checkbox"/> Re-installation of CLICK	Intended Re-installation Date _____
Number of CLICK	_____
Address of Service Required	_____ _____

PC Configuration	
Host Name (e.g. ABCWA1)	_____
Type of CPU (e.g. Pentium 4)	_____
Speed of CPU	_____ GHz
Memory	_____ GB RAM
Hard Disk	_____ GB
Display Card	_____ MB RAM

We hereby request for the installation/termination of CLICK workstation(s) and agree to pay the required charges stipulated in the SEHK Rules, Regulations and Procedures.

Authorized Signature \_\_\_\_\_ Date \_\_\_\_\_  
 Printed Name/Title ( \_\_\_\_\_ )

For Official Use	
Setup Guide Sent On	<input type="text"/> <input type="text"/>
Click Installed On	<input type="text"/> <input type="text"/>
Remarks <input type="text"/>	