

Submission deadline: on or before  
17 February 2023



## Notification Form for Participation in Post Test Verification Session after completion of HKIDR Practice Session on 25 February 2023

### Explanatory Notes :

1. Please save the completed notification form in pdf format with file name as NF\_XXXXXX.pdf (where XXXXXX is CE No.). Then login to [Electronic Communication Platform 2.0 \(ECP 2.0\)](#) via HKEX Access Management Portal by using user with function "EU\_ECPHKIDR" or via SFC WINGS, navigate to the left navigate menu to select "Submission" function, then click the hyperlink of "**HKIDR Practice Session - Notification Form for participation in Post Test Verification Session**" on the submission list page to submit. The completed notification form should be submitted to HKEX on or before 17 February 2023.
2. For EPs who will participate in the Post Test Verification Session, HKEX will send an email confirmation to the email address of the contact person provided below prior to the Practice Session.

### Exchange Participant (EP) Information

Name of EP			Participant ID
Contact Person	Office Phone No.	Mobile Phone No.	Email Address

### Participation in HKIDR Practice Session Post Test Verification Sessions (from 7:00pm to 8:00pm)

<input checked="" type="checkbox"/>	We confirm to participate in Post Test Verification Session on 25 February 2023.  We will make use of this session to ensure proper fallback of our system for OTP-C/OCG-C production trading on the following Monday and request HKEX to turn on all our OCG-C/BSS and Drop-Copy session (production only).
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***We consent to the processing of personal data in accordance with the Privacy Notice included in this form.***

## Privacy Notice for the Hong Kong Investor Identification Regime (“HKIDR”)

The Privacy Notice for the Hong Kong Investor Identification Regime (“**Notice**”) applies to (i) individuals who submit their Personal Data to HKEX through a RRI or EP (each as defined below), for the purposes of submitting an Order (as defined below) to HKEX (“**you**”, “**your**”) and (ii) representatives of RRIs and EPs submitting their Personal Data under HKIDR.

Hong Kong Exchanges and Clearing Limited and its [affiliated companies](#) (together “**HKEX**”, “**we**”, “**our**” or “**us**”) are committed to protecting your Personal Data. “**Personal Data**” is any information that relates to an identifiable individual or can be used to identify an individual – sometimes the individual is referred to as a “Data Subject”.

HKEX is Hong Kong based and therefore, when you submit any Personal Data to HKEX through a RRI or EP, such Personal Data collected will be transferred to Hong Kong.

If we provide links to the websites of independent third parties, we encourage you to read the privacy policies made available on these other websites as we cannot control nor are we responsible for how they handle your Personal Data.

We will revise this Notice from time to time to reflect relevant developments to HKIDR, or changes in the applicable laws and regulations. To the extent required under applicable data protection laws, we will notify you of the material changes and, where required, seek consent.

If the correct Personal Data is not submitted to HKEX then we may be unable to process your requests relating to your rights under applicable data protection laws. HKEX is also required to perform certain regulatory functions which may not be possible if we are not provided with the requested Personal Data.

For the purposes of this Notice:

- “**RRI**” means a licensed corporation licensed by, or an authorised financial institution registered with, the Securities and Futures Commission (“**SFC**”) to carry out proprietary trading, or provide securities brokerage services for another person in respect of Orders placed through an account opened and maintained for that person.
- “**EP**” generally means a person who is registered to trade on HKEX as an Exchange Participant under the Rules of the Stock Exchange of Hong Kong.
- “**Order**” means either (i) an on-exchange or off-exchange order to buy or sell a listed security which is to be executed on the automatic order matching system operated by HKEX; or (ii) a trade of a listed security which takes place outside HKEX’s automatic order matching system (i.e. an off-exchange order) but which is reportable by EP to HKEX pursuant to its rules.

### What Personal Data do we collect, why do we need it and how do we collect it?

If you are an **individual investor, an individual joint account holder, or an individual fund manager**, we shall collect the following Personal Data about you when you submit an Order through a RRI or EP. This enables us to enhance our market surveillance on all Orders which are submitted to us, and comply with regulatory requirements under the HKIDR regime and other applicable laws:

- Your full name;
- Type of client (i.e. whether you are an “individual account holder”, a “joint account holder” or “fund manager”);
- Your identification document number;
- Type of identification document;
- Issuing authority of the identification document;
- Number of account holders;
- Central Entity (“**CE**”) number of the RRI or EP; and
- Broker-to-Client Assigned Number (BCAN).

We may also collect your contact data such as phone number, email address, and contact preferences, so that we may contact you and administer your Order.

We may also use your Personal Data to undertake necessary market rehearsals, practice sessions or testing relating to the implementation, launch and ongoing operation of HKIDR alongside RRIs and EPs. **If you are a representative of an RRI**, in respect of HKIDR market rehearsals and practice sessions, we may collect and process your Personal Data (such as your name, office phone number, mobile phone number and email address).

If you are an individual investor, individual joint account holder or individual fund manager located in **Mainland China**, we shall only collect and process such Personal Data where we have your consent.

If you are an individual investor, individual joint account holder or individual fund manager located in the **European Union or the United Kingdom**, we shall only collect and process

such Personal Data if we have a legitimate interest or a legal or regulatory obligation to do so.

If you are submitting an Order **on behalf of an institution (or if you are submitting an Order on behalf of a RRI or EP for the proprietary trading purposes)**, it may not be necessary for us to collect your Personal Data. However, we may collect the following data about your institution for the same purposes which we disclosed above:

- Name of the legal entity which you represent;
- Type of client;
- Type of identification document (e.g. certificate of incorporation, business registration certificate);
- Issuing authority of the identity document;
- Number of account holders;
- CE number of the RRI or EP;
- Broker-to-Client Assigned Number (BCAN); and
- Your business contact data such as phone number, email address, and contact preferences (solely for the purposes of administering your Order).

**If you are an authorised representative of a RRI or EP**, we may collect and process your Personal Data (such as your name, job title, e-mail address, phone number) and log-in credentials (including log-in user name and passwords which we assign to you, or the user name or passwords for the Web Integrated Service (WINGS) platform), solely to enable you to submit Personal Data of your clients (as identified above) to us through our electronic communications platform (“**ECP**”) web interface or our SFTP facility over the SDNet or hosting network.

### Sensitive Personal Data

Some Personal Data is classified as “**Sensitive Personal Data**” under applicable data protection laws. Our processing of Sensitive Personal Data in certain jurisdictions, for the purposes of the HKIDR, requires specific disclosure:

Mainland China	We shall collect your identification document number (such as your Mainland Chinese identity card number or passport number) to enhance our market surveillance of Orders which are submitted to us, and to enable us to comply with regulatory requirements under the HKIDR regime or other applicable laws. We shall only process such Sensitive Personal Data where we have your separate consent.
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### Direct marketing

**We do not intend to process Personal Data collected under this Notice to send direct marketing, promotional and informational content relating to our financial products and services.**

### Do we disclose Personal Data to third parties or transfer it to another jurisdiction?

HKEX shall disclose and transfer your Personal Data to the SFC, so that they may perform their statutory functions under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong, “**SFO**”). Furthermore, to fulfil our legal and regulatory obligations (e.g. to discharge our statutory functions, to comply with court order, subpoena or other legal process), we may also share your Personal Data with courts, regulatory authorities, government and law enforcement agencies, and other public authorities.

HKEX may also disclose your Personal Data to its affiliated companies to assist HKEX in performing its market surveillance functions under the HKIDR regime, process your Orders, and discharge its own statutory and regulatory functions relating to the Hong Kong financial markets. You may request from us further information on those affiliated companies.

Where required under applicable data protection laws, HKEX will only disclose Personal Data to third parties with your prior consent. In certain jurisdictions, HKEX may also be required under applicable laws to take additional measures prior to giving effect to such transfers. In such case, HKEX shall endeavour to take such additional measures as required under data protection laws (e.g. carrying out privacy impact assessments prior to the transfer).

Where HKEX processes Personal Data outside of Hong Kong, reasonable endeavours shall be applied to ensure that the laws and regulations of the destination jurisdiction shall offer the same or comparable level of protection for Personal Data. Where the laws and regulations of the other jurisdiction do not offer the same or comparable level of protection for the Personal Data, then we shall ensure appropriate safeguards are in place at the time of the transfer by implementing standard contractual clauses (or such other data transfer mechanism required by law and/or approved by the relevant regulatory authorities). Where required under applicable data protection laws, we shall also carry out additional measures (e.g. conduct a privacy impact assessment) prior to the transfer of the data to ensure that it is carried out in accordance with applicable laws.

Further details on the processing locations and our measures for safeguarding international transfers (including adequacy decisions) may be obtained from us upon request (Please see “Contact Us” section below).

**How long do we keep the Personal Data?**

Personal Data is retained in accordance with our legal obligations and our internal policies including our Group Record Retention Policy.

Your Personal Data will be retained by us for as long as is necessary to fulfil the purposes required for the processing under the HKIDR regime. HKEX will also refer to the following factors when determining or confirming the appropriate retention period of Personal Data:

- the original purpose of collection
- the termination of any contract involving your Personal Data
- the limitation period as defined in the applicable law
- the existence of any legal or regulatory investigations or legal proceedings
- specific laws or regulations setting out functions, obligations, and responsibilities
- retention period set out in non-statutory guidelines issued by our regulators or international bodies
- the sensitivity of the Personal Data and the degree of risk from the associated processing activity

If you are located in Mainland China, we usually retain your BCAN-CID raw data files for not more than 7 years from the last activity or interaction with us. However, your BCAN may be kept indefinitely to ensure that it will not be re-used by any other person. If you require details of our Personal Data retention period, please contact us (at our contact information below).

Where any Personal Data is no longer necessary for the purposes for which it is collected, we shall cease the processing of that Personal Data as soon as reasonably practicable and take reasonable measures to securely destroy the relevant Personal Data (although copies may be retained as necessary for archival purposes, for use in any actual or potential dispute, or for compliance with applicable laws).

**How do we keep your Personal Data secure?**

We will take all practicable and reasonable steps to promote the security of the Personal Data we process in a manner consistent with applicable data protection laws and established international security standards. This includes physical, technical and administrative safeguards, to help prevent unauthorised access, collection, use, disclosure, copying, modification, disposal or similar risks, and to maintain the general security of the data.

**Rights over the Personal Data**

You may be afforded the following data subjects rights, to the extent available under applicable data protection law:

- confirm whether we hold your Personal Data and the type of Personal Data we hold
- access a copy of your Personal Data
- delete your Personal Data
- correct or supplement your Personal Data where it is found to be inaccurate
- restrict the processing performed on your Personal Data
- withdraw consent to the processing of your Personal Data in certain situations (e.g. processing carried out on the basis of our legitimate interests)
- transfer the Personal Data to another party in a machine readable format

In certain jurisdictions, you may also be provided with additional rights:

Mainland China	<ul style="list-style-type: none"> <li>▪ Explanation on the rules of processing the Personal Data</li> <li>▪ Conferral of Data Subject rights to a surviving next-of-kin</li> <li>▪ Transfer of your Personal Data to your designated party</li> <li>▪ Cancellation of any platform account provided by us</li> </ul>
United Kingdom and European Union	<ul style="list-style-type: none"> <li>▪ Right to object to processing.</li> </ul>

Where these rights apply, we shall use reasonable endeavours to fulfil the request or provide an explanation.

We endeavour to respond as soon as possible and, in any event, within the timeframe stipulated under the applicable data protection law. In the event of a potential delay, we will provide an explanation and the expected timeframe for delivery. Please note that we may seek confirmation of identity or clarification in order to fulfil the request. We may also charge a reasonable fee for the cost of processing the request as permitted under the applicable law.

If you would like to exercise your Data Subject rights, please contact the HKEX Group Data Protection Office at the address below.

**Minors**

We do not process Personal Data of minors. If we discover that processing has taken place in any other circumstances, then we shall ensure it is based on a lawful basis or otherwise cease the processing and make reasonable efforts to dispose of the Personal Data in accordance with our internal policies.

The age of minors in respect of Personal Data consent differs across jurisdictions:

United Kingdom EU	▪ under the age of 16 years old.
Hong Kong	▪ under the age of 18 years old.
Mainland China	▪ under the age of 14 years old.

**Contact Us**

If you have any questions or comments relating to the content of this Notice or if you would like to exercise your Data Subject Rights, please contact us through the channels below:

Group Data Protection Officer  
 GDPO Office  
 Hong Kong Exchanges and Clearing Limited  
 8/F., Two Exchange Square  
 8 Connaught Place  
 Central  
 Hong Kong  
[DataPrivacy@hkex.com.hk](mailto:DataPrivacy@hkex.com.hk)

**UK Representative:**

Address: 10 Finsbury Square, London, EC2A 1AJ, United Kingdom

**EU Representative:**

Address: De Cuserstraat 91, 1081 CN Amsterdam, Postbus/PO Box 7902, 1008 AC Amsterdam, Netherlands

Any Data Subject who has contacted us to express concerns about the way we manage their Personal Data and is of the view that we have not addressed the matter satisfactorily, may contact the relevant privacy regulator to resolve the matter or seek assistance.

The privacy regulator in the United Kingdom is the Information Commissioner, who may be contacted at <https://ico.org.uk/make-a-complaint/> or by post to: Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF, United Kingdom.

If you live outside of the UK, you may contact the relevant data privacy regulator in your country of residence.

*Last Updated: September 2022*

**Annex**

This Notice relates to privacy practice of the following HKEX group entities. For contact details of the following entities, please see “Contact Us” section above:

- Hong Kong Exchanges and Clearing Limited
- The Stock Exchange of Hong Kong Limited
- Hong Kong Futures Exchange Limited
- Hong Kong Securities Clearing Company Limited
- HKFE Clearing Corporation Limited
- The SEHK Options Clearing House Limited
- OTC Clearing Hong Kong Limited
- HKEX Information Services Limited
- HKEX Information Services (China) Limited
- HKEX (China) Limited, HKEX Investment (China) Limited
- HKEX Investment (Hong Kong) Limited