**HKEX Orion Market Data Platform – China Connect (Securities) FEED ENROLMENT FORM**

**(for Application Software Providers only)**

**Email To:** HKEX-IS HKEX-IS@hkex.com.hk

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| **Companies who submit this enrolment form are deemed to have read and understand the Important Notes below:**1. **Application Software Providers (“ASPs”) who would like to directly connect to HKEX Orion Market Data Platform – China Connect (OMD-CC) to provide 1 price-depth market data of the securities eligible for Northbound trading under the Shanghai-Hong Kong Stock Connect and/or Shenzhen-Hong Kong Stock Connect (collectively “China Connect”) or OMD-CC with HKEX Orion Market Data Platform – Securities Market Data Stock Connect Market Feed (OMD-C SCM) to provide data on Stock Connect Turnover and Northbound Daily Quota Balance to their registered China Connect Exchange Participant (“CCEP”) clients** should complete and return this Enrolment Form by email (one signed pdf version and one editable Word version) to HKEX-IS.
2. CCEPs who would like to receive the 1-price depth market data via OMD-CC or OMD-CC with OMD-C SCM data via ASPs are first required to submit the “OMD-CC Feed Enrolment Form for CCEPs” and sign the Standard Terms and Conditions for Use of China Connect Market Data (“T&C”). ASPs are responsible for ensuring that their CCEP clients have signed the T&C prior to receiving the OMD-CC or OMD-CC with OMD-C SCM data. Furthermore, ASPs should only disseminate to their CCEP clients the OMD-CC data that the clients have the rights to receive. For example, ASPs are not allowed to disseminate the OMD-CC data relayed from the Shenzhen Stock Exchange to a CCEP who is not eligible for Northbound trading under Shenzhen-Hong Kong Stock Connect.
3. ASPs are responsible to collect their CCEP clients’ OMD-CC Feed Enrollment Form and T&Cs and submit to HKEX-IS@hkex.com.hk.
4. ASPs can only receive the 1 price-depth market data via OMD-CC for the market that its CCEP clients are eligible to obtain through China Connect. For example, an ASP who does not have a CCEP client eligible for Northbound trading under Shenzhen-Hong Kong Stock Connect will not be allowed to receive the OMD-CC data relayed from the Shenzhen Stock Exchange.
5. This form is for datafeed enrolment only. ASPs are also required to complete the followings in order to be allowed access to OMD-CC or OMD-CC with OMD-C SCM:
6. complete all technical tests (where applicable) as required and declare for system readiness;
	* ASPs who are currently direct connection OMD-C licensees or certified Independent Software Vendor (“ISVs”) for OMD-C and will use an existing OMD-C application which has passed the OMD-C Readiness Test according to the record of HKEX-IS to gain access to and process the OMD-CC or OMD-CC with OMD-C SCM data will need to complete the Offline Simulator Test for verifying their decoding capability of the new content
	* Other ASPs will need to complete the Readiness Test

Applicable forms and Onboarding Tools with canned data for performing the Offline Simulator Test will be sent to the ASPs after they have completed this Enrolment Form.Please refer to **Attachment I** for the process flow.1. sign the **China Connect Application Service Provider Licence Agreement** (agreement will be available later)
2. One set of OMD-CC connection will be offered free of charge to an approved ASP under the arrangement. The use of market data sourced from OMD-CC should follow the terms as stipulated in the relevant agreement.
3. Apart from completing the technical tests(where applicable), ASPs are also required to submit the One-Off Connection Fee of HK$10,000 prior to production launch.
4. ASPs for OMD-CC are required to inform us via email on any changes in relation to the details provided in this form.
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**Part I: Company Particulars**

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| **Name of Company****(both English and Chinese)** |       |
| **Existing HKEX-IS Licensee for Securities Market with direct connection** | [ ]  **Yes** [ ]  **No** |
| **Existing ISV with certified OMD-C software registered with HKEX-IS** | [ ]  **Yes** [ ]  **No** |

**Part II: Contact Information (to be inserted into the agreement)**

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| **Attention** |       |
| **Job title** |       |
| **Registered Address** |       |
| **Business Address** |       |
| **Direct line**  |      (country code) area code – phone no. |
| **Mobile** |      (country code) area code – phone no. |
| **Email** |       |
| **Fax number** |      (country code) area code - fax no. |

**Part III: OMD-CC and OMD-C SCM Feeds Enrolment and Software Development Details**

Please select the OMD-CC and OMD-C SCM Datafeed(s) to be subscribed and connection method by checking the appropriate box (es) below:

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| **OMD-CC Datafeed Subscription** | [ ]  Shanghai Stock Exchange (OMD-CC SSE)[ ]  Shenzhen Stock Exchange (OMD-CC SZSE) |
| **OMD-C SCM Datafeed Subscription (Complimentary Feed)** | [ ]  HKEX-IS (OMD-C SCM) |
| **Connection Method** | [ ]  Hosting Service Network[ ]  SDNet/2 |
| **Software Development**  | [ ]  New application[ ]  Tested existing OMD-C application |

**Part IV: List of CCEPs under the ASP licence**

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|  | **Full Name of CCEP** | **Type of Information****(OMD-CC SSE and/or OMD-CC SZSE and/ or OMD-C SCM)** | **Effective Date** |
|  |       |       | Initial launch of OMD-CC |
|  |       |       | Initial launch of OMD-CC |
|  |       |       | Initial launch of OMD-CC |
|  |       |       | Initial launch of OMD-CC |

**By signing below, I also consent to the processing of my personal data in accordance with the** **Privacy Policy Statement****.**

**Submitted by the Company:**

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| **Contact Person:**       | **Sign for and on behalf of the Company:**      |
| **Job Title:**       |
| **Contact No.:**       |
| **Date:**       |

**Attachment 1 – Process Flow for OMD-CC Clients’ On-boarding Testing**

**ASPs who have direct connections with OMD-C or are certified ISVs for OMD-C and use the existing OMD-C application to gain access to and process OMD-CC and OMD-C SCM data**

**Other ASPs**

**OMD-CC and OMD-C SCM Offline Simulator Test**

* **Download Offline Simulator Test Pack from ECP**

**OMD-CC and OMD-C SCM ReadinessTest**

* **Submit OMD-CC and OMD-C SCM Connection Notification Form for Testing**

**Submit OMD-CC and OMD-C SCM Connection Notification Form for Production**

**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
8th Floor, Two Exchange Square

8 Connaught Place
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK