**Service Application Form for Market Data Vendor Licence Agreement** (Form A3)

**This Form A3 must be completed and approved by HKEX Information Services Limited (HKEX-IS) prior to using and/or disseminating real-time/delayed HKEX-IS market data (for both internal use and external redistribution).**

**In addition, HKEX-IS may require:**

1. **Where applicable, detailed description of the service(s) demonstrating the use of HKEX-IS market data**
2. **Where applicable, screen dumps demonstrating the display of HKEX-IS market data**
3. **Where applicable, sample subscriber contracts corresponding to your dissemination of HKEX-IS market data to your subscribers**
4. **A network diagram overview**

**Please note that this Form A3 will not be processed until all information requested is duly completed in your submission. In addition, Applicants are only required to include NEW information when submitting this Form A3.**

(Please check all boxes that apply and provide further information when require.)

**Submission Date:­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

| **Name of the Applicant** |  |
| --- | --- |

**IMPORTANT NOTE:**

* **Applicants are required to read and comply with the details of guiding notes on the following categories which are applicable to your selection in Section A**
* **Reporting**
* **Use and Source of Market Data**
* **Service Arrangements**
* **Marketing Programmes**

**Please refer to** (<http://www.hkex.com.hk/eng/prod/dataprod/la/licagt/gn/GuidingNotes_MDVLA.htm>) **for the details of HKEX-IS’ guiding notes.**

* **Services refer to different types of data content. See** [**Note 1**](#Note1) **for details.**
* **Subsisting Contracts are required for all services except Basic Market Prices Service, Delayed Data, Index Data, Issuer News and TV Service.**

**SECTION A: Details of services**

1. **Continuous, Per Quote and Per Unit Time Access**

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| **Securities Market Data** |
| **Continuous Access** | **Start Date** | **Per Quote Access** | **Start Date** | **Per Unit Time** | **Start Date** |
| [ ]  L1 ($120 per Subscriber Unit per month)[ ]  L2 ($200 per Subscriber Unit per month)[ ]  L2+One ($240 per Subscriber Unit per month)[ ]  Full Book ($400 per Subscriber Unit per month)[ ]  Pager (L2) (with transmission speed below 6250 bps) ($120 per Subscriber Unit per month)[ ]  Pager (L2+One) (with transmission speed below 6250 bps) ($140 per Subscriber Unit per month)[ ]  *Check here if you apply for the* ***Mainland Discount Programme*** *and to confirm you have implemented both business (by obtaining and making available, if requested by HKEX-IS, documentary evidence such as passport, Mainland China ID etc. for retail subscribers and business registration certificates for corporate subscribers, in proving they are residing/located in Mainland China) and technical controls (by ensuring the IP address for each login is originated from Mainland China).* [ ]  *Check here if you apply for the* ***Marketing Programme for Mobile Application Service – applicable to Mainland China subscribers only*** *to confirm:* *- your understanding of and agreement to comply with the Guiding Note on Mobile Application Service* *- you have completed and submitted the Checklist for Mobile Application Service, where appropriate.* |  | [ ]  L1 ($0.05 per quote)[ ]  L2 ($0.07 per quote)[ ]  L3 ($0.10 per quote)[ ]  L4 ($0.14 per quote)[ ]  With capping ($250 per Subscriber Unit per month for L1, L2 & L3; $450 per Subscriber Unit per month for L4) |  | [ ]  Up to 10 price levels with broker queue ($0.10 per minute (Min/Max: $50 / $250 per month))[ ]  Above 10 price levels with broker queue ($0.14 per minute (Min/Max: $70 / $450 per month)) |  |

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| **Derivatives Market Data** |
| **Continuous Access** | **Start Date** | **Per Quote Access** | **Start Date** | **Per Unit Time** | **Start Date** |
| [ ]  5 Level Order Depth *(for OMD Derivatives Lite only)*[ ]  L1 ($25 per Subscriber Unit per month)[ ]  L2 ($75 per Subscriber Unit per month)[ ]  L2+One ($90 per Subscriber Unit per month)[ ]  Full Book ($300 per Subscriber Unit per month)[ ]  Pager (L2) (with transmission speed below 6250 bps) ($5 per Subscriber Unit per month)[ ]  Pager (L2+One) (with transmission speed below 6250 bps) ($6 per Subscriber Unit per month)[ ]  *Check here if you apply for the* ***Marketing Programme for New Derivatives Products*** *to confirm:* *- your understanding of and agreement to comply with the Guiding Note on Marketing Programme for New Derivatives Products* *- you have implemented both business (by displaying market data as requested by HKEX-IS; by obtaining and making available, documentary evidence in proving the subscribers are residing/located in the approved Regions) and technical controls (by ensuring the IP address for each login is originated from the approved Regions).*[ ]  *Check here if you apply for the* ***Mainland Discount Programme*** *and to confirm you have implemented both business (by obtaining and making available, if requested by HKEX-IS, documentary evidence such as passport, Mainland China ID etc. for retail subscribers and business registration certificates for corporate subscribers, in proving they are residing/located in Mainland China) and technical controls (by ensuring the IP address for each login is originated from Mainland China).*  |  | [ ]  L1 ($0.01 per quote)[ ]  L2 ($0.03 per quote)[ ]  L3 ($0.05 per quote)[ ]  With capping ($95 per Subscriber Unit per month for L1&L2; $380 per Subscriber Unit per month for L3) |  | [ ]  Up to 10 price levels ($0.03 per minute (Min/Max: $15 / $95 per month))[ ]  Above 10 price levels ($0.05 per minute (Min/Max: $25 / $380 per month)) |  |

1. **Basic Market Prices (BMP) Service, Non-Display Usage and Fixed Monthly Fee Service (for Securities Market only)**

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| **Securities Market Data** |
| **Basic Market Prices (BMP) Service** | **Start Date** | **Non-Display Usage** | **Start Date** | **Fixed Monthly Fee Service** | **Start Date** |
| [ ]  For Licensee only ($80,000 per month)[ ]  For Licensee and its Related Companies ($160,000 per month)[ ]  *Check here to indicate your understanding of and agreement to comply with the* ***Guiding Note on Basic Market Prices Service*** |  | [ ]  Automated Trading Application ($20,000 per firm per month)[ ]  Derived Data (with Tradable Products) ($20,000 per firm per month)[ ]  Others ($400 per firm per month)[ ]  *Complete the enclosed Information Sheet*[ ]  *Check here to indicate your understanding of and agreement to comply with the* ***Guiding Note on Non-Display Usage*** |  | [ ]  Up to 5 level order depth of Eligible Stocks ($125,000 per month)[ ]  *Check here to confirm that you have implemented technical controls (by ensuring the IP address for each login is originated from Mainland China) under the* ***Fixed Fee Programme for Southbound Brokers*** |  |

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| **Derivatives Market Data** |
| **Basic Market Prices (BMP) Service** | **Start Date** | **Non-Display Usage** | **Start Date** |
| [ ]  For Licensee only ($27,000 per month)[ ]  For Licensee and its Related Companies ($54,000 per month)[ ]  *Check here to indicate your understanding of and agreement to comply with the* ***Guiding Note on Basic Market Prices Service*** |  | [ ]  Automated Trading Application ($10,000 per firm per month)[ ]  Derived Data (with Tradable Products) ($10,000 per firm per month)[ ]  Others ($150 per firm per month)[ ]  *Complete the enclosed Information Sheet*[ ]  *Check here to indicate your understanding of and agreement to comply with the* ***Guiding Note on Non-Display Usage*** |  |

1. **TV Services and Delayed Data**

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| **Securities Market Data** |
| **TV Service** | **Start Date** | **Delayed Data** | **Start Date** |
| [ ]  See HKEX website for fee schedule[ ]  *Check here if you apply for the* ***Mainland TV Programme*** |  | [ ]  L1 plus last 4 transactions[ ]  *Check here to confirm that you have displayed conspicuously to the effect that and/or inserted phrases such as “Prices delayed by at least 15 minutes” on all screens displaying delayed data.* |  |

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| **Derivatives Market Data** |
| **TV Service** | **Start Date** | **Delayed Data** | **Start Date** |
| [ ]  See HKEX website for fee schedule[ ]  *Check here if you apply for the* ***Mainland TV Programme*** |  | [ ]  L1 plus last 4 transactions[ ]  *Check here to confirm that you have displayed conspicuously to the effect that and/or inserted phrases such as “Prices delayed by at least 15 minutes” on all screens displaying delayed data.*  |  |

1. **Issuer News and Index Data**

|  |  |  |  |
| --- | --- | --- | --- |
| **Issuer News** | **Start Date** | **Index Data** | **Start Date** |
| [ ]  |  | [ ]  |  |

1. **Third Party Services**

[ ]  *See* HKEX website for fee schedule

[ ]  *Check here to indicate your understanding of and agreement to comply with the* ***Guiding Note on******Third Party Service*** *if you are applying for Third Party Service* ***(Please refer to separate Guiding Note on Basic Market Prices Service for BMP 3rd party website and BMP 3rd party mobile application services)***

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| **Securities Market Data** |
| **Continuous Access** | **Start Date** | **Per Quote Access** | **Start Date** | **Per Unit Time** | **Start Date** | **Daily Charge Service** | **Start Date** | **Basic Market Prices (BMP) Service** | **Start Date** | **Delayed Data** | **Start Date** |
| [ ]  L1 ($120 per Subscriber Unit per month)[ ]  L2 ($200 per Subscriber Unit per month)[ ]  L2+One ($240 per Subscriber Unit per month)[ ]  Full Book ($400 per Subscriber Unit per month) |  | [ ]  L1 ($0.05 per quote)[ ]  L2 ($0.07 per quote)[ ]  L3 ($0.10 per quote)[ ]  L4 ($0.14 per quote)[ ]  With capping ($250 per Subscriber Unit per month for L1, L2 & L3; $450 per Subscriber Unit per month for L4) |  | [ ]  Up to 10 price levels with broker queue ($0.10 per minute (Min/Max: $50 / $250 per month))[ ]  Above 10 price levels with broker queue ($0.14 per minute (Min/Max: $70 / $450 per month)) |  | [ ]  L2 ($3.5 per Subscriber Unit per day); Minimum subscription of 2,000 days per month per Third Party Client during the programme period.[ ]  *Check here to confirm that you have implemented both business (by obtaining and making available, if requested by HKEX-IS, documentary evidence such as passport, Mainland China ID etc., in proving that they are retail subscribers residing/located in Mainland China) and technical controls (by ensuring the IP address for each login is originated from Mainland China) under the Daily Charge Service Programme.* |  | [ ]  Third Party Website/Mobile Application ($68,000 per month per website/mobile application)[ ]  Listed Company Website ($5,000 per month per website)[ ]  *Check here to indicate your understanding of and agreement to comply with the* ***Guiding Note on Basic Market Prices Service*** |  | [ ]  L1 plus last 4 transactions[ ]  *Check here to confirm that you have displayed conspicuously to the effect that and/or inserted phrases such as “Prices delayed by at least 15 minutes” on all screens displaying delayed data.* |  |

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|  | **Third Party Client** | **Third Party Website / Mobile Application** | **Start Date** | **Continuous** | **Per Quote** | **BMP** | **Delayed** |
|  |  |  |  | [ ]  | [ ]  | [ ]  | [ ]  |
|  |  |  |  | [ ]  | [ ]  | [ ]  | [ ]  |
|  |  |  |  | [ ]  | [ ]  | [ ]  | [ ]  |
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|  | **Third Party Client** | **Third Party Non-Interactive Media Broadcast Service Name and Platform** | **Start Date** |
| **1.** |  |  |  |
| **2.** |  |  |  |

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| **Derivatives Market Data** |
| **Continuous Access** | **Start Date** | **Per Quote Access** | **Start Date** | **Per Unit Time** | **Start Date** | **Basic Market Prices (BMP) Service** | **Start Date** | **Delayed Data** | **Start Date** |
| [ ]  L1 ($25 per Subscriber Unit per month)[ ]  L2 ($75 per Subscriber Unit per month)[ ]  L2+One ($90 per Subscriber Unit per month)[ ]  Full Book ($300 per Subscriber Unit per month) |  | [ ]  L1 ($0.01 per quote)[ ]  L2 ($0.03 per quote)[ ]  L3 ($0.05 per quote)[ ]  With capping ($95 per Subscriber Unit per month for L1&L2; $380 per Subscriber Unit per month for L3) |  | [ ]  Up to 10 price levels ($0.03 per minute (Min/Max: $15 / $95 per month))[ ]  Above 10 price levels ($0.05 per minute (Min/Max: $25 / $380 per month)) |  | [ ]  Third Party Website/Mobile Application ($23,000 per month per website/mobile application)[ ]  *Check here to indicate your understanding of and agreement to comply with the* ***Guiding Note on Basic Market Prices Service*** |  | [ ]  L1 plus last 4 transactions[ ]  *Check here to confirm that you have displayed conspicuously to the effect that and/or inserted phrases such as “Prices delayed by at least 15 minutes” on all screens displaying delayed data.* |  |

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|  | **Third Party Client** | **Third Party Website / Mobile Application** | **Start Date** | **Continuous** | **Per Quote** | **BMP** | **Delayed** |
|  |  |  |  | [ ]  | [ ]  | [ ]  | [ ]  |
|  |  |  |  | [ ]  | [ ]  | [ ]  | [ ]  |
|  |  |  |  | [ ]  | [ ]  | [ ]  | [ ]  |
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|  | **Third Party Client** | **Third Party Non-Interactive Media Broadcast Service Name and Platform** | **Start Date** |
| **1.** |  |  |  |
| **2.** |  |  |  |

**SECTION B: Subscriber Device(s)**

Check the subscriber device(s) associated with the below service(s) for Securities Market Data (SMD) and / or Derivatives Market Data (DMD) - *Applicable for real-time service(s) only*

|  |  |
| --- | --- |
| **Types of service** | **Types of Subscriber Device** |
| **Terminal** | **Mobile Application** | **Website** | **Datafeed with entitlement control** | **Others:**[ ]  Pager[ ]  Wallboard/Public Display Board[ ]  Interactive Voice Response Service (IVRS) |
| **Continuous Access L1** | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  |
| **Continuous Access L2** | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  |
| **Continuous Access L2+One** | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  |
| **Continuous Access Full Book** | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  |
| **Per Quote Access** | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  |  | ☐SMD ☐DMD  |
| **Basic Market Prices (BMP)** | ☐SMD ☐DMD  | ☐SMD ☐DMD  | ☐SMD ☐DMD  |  | ☐SMD ☐DMD  |

**SECTION C: Service Facilitator(s)**

Please provide the name and address of each service facilitator that you wish to identify. Describe the functions performed on your behalf by each service facilitator in the processing of market data. (A service facilitator is a person or organization that assists the vendor in processing market data **but does not have to the right to disseminate the market data on its behalf**. For details, please refer to the **Guiding Note on Appointment of Service Facilitator** <http://www.hkex.com.hk/eng/prod/dataprod/la/licagt/gn/GuidingNotes_MDVLA.htm>). Please also note that Service Facilitators may not be exempted from HKEX-IS monthly subscriber fees for the access of market data.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Service Facilitator(s)**(include full name, address and company website address) | **Function****(Marketing Agent / Technical Agent)** | **Start Date** |
| 1. |  |  |  |
| 2. |  |  |  |
| 3. |  |  |  |

**SECTION D: Data Content**

[ ]  Check here to confirm that the data content you plan to include in each service is restricted to the permitted content (see [Note 1](#Note1)).

**SECTION E: Dissemination of Market Data**

***Disclaimer***

[ ]  Check here to confirm that you have incorporated disclaimer notice into all subscriber contracts pursuant to clause 2.4 and 2.5 of the Market Data Vendor Licence Agreement.

***HKEX Hosting Service***

[ ]  Check here to indicate your understanding of and agreement to comply with the **Guiding Note for the Use of HKEX Market Data at HKEX Hosting Data Centre** if you are receiving HKEX real-time market data directly or indirectly via HKEX Service Network (HSN) within the HKEX Hosting Data Centre (HDC). (<http://www.hkex.com.hk/eng/prod/dataprod/la/licagt/gn/GuidingNotes_MDVLA.htm>).

**SECTION F: Reporting and Payment Requirements for Real-time Data Services**

To ensure the number of subscribers with access to HKEX-IS real-time market data being reported each month is accurate, vendors must ensure that proper entitlement and reporting systems are in place.

[ ]  Check here to indicate you understand and agree to comply with the **Guiding Note on Reporting and Payment Requirements for Real-time Data Services**  (<http://www.hkex.com.hk/eng/prod/dataprod/la/licagt/gn/GuidingNotes_MDVLA.htm>).

[ ]  Check here to indicate you understand and agree to comply with the **Guiding Note on Service Update** (<http://www.hkex.com.hk/eng/prod/dataprod/la/licagt/gn/GuidingNotes_MDVLA.htm>)**.**

**SECTION G: Per Quote/Usage Based Services and Quote Meter Requirements for Real-time Data Services**

Vendors who want to redistribute real-time data on per quote/per unit time basis must have proper quote meter to correctly identify and count real-time quote requests. Details of the quote meter annual certification and relevant reporting requirements are listed under **Guiding Note for Audit Metering System** and **Guiding Note on Reporting and Payment Requirements for Real-time Data Services** respectively (<http://www.hkex.com.hk/eng/prod/dataprod/la/licagt/gn/GuidingNotes_MDVLA.htm>).

[ ]  Check here to indicate you understand and agree to comply with both the **Guiding Notes for Audit Metering System** and **on Reporting and Payment Requirements** for Real-time Data Services.

**Note 1: Permitted Content**

| **Securities Market Data** | **Data Content** | **Derivatives Market Data** | **Data Content** |
| --- | --- | --- | --- |
| Continuous Access Level 1 (L1) | Bid/ask price and volume, high/low, last traded price, nominal, cumulative turnover/volume, opening/closing, IEV & IEP from auction trading session | Continuous Access Level 1 (L1) | Bid/ask price and volume, high/low, traded price, calculated opening price (COP) if any, trade volume, cumulative volume |
|  |  | Continuous Access 5 Level Order Depth *(for OMD Derivatives Lite only)* | L1 above plus order depth (aggregated no. and volume (shares) of orders in the best 5 bid/ask queues), last 4 transactions, freetext |
| Continuous Access Level 2 (L2) | L1 above plus order depth (aggregated no. and volume (shares) of orders in the best 10 bid/ask queues); broker queue, last 4 transactions, freetext | Continuous Access Level 2 (L2) | L1 above plus order depth (aggregated no. and volume (shares) of orders in the best 10 bid/ask queues), last 4 transactions, freetext |
| Continuous Access Level 2+One (L2+One) | L2 above plus aggregated no. and volume (shares) of all orders beyond10 level order depth  | Continuous Access Level 2+One (L2+One) | L2 above plus aggregated no. and volume (shares) of all orders beyond10 level order depth  |
| Continuous Access Full Book (Full Book) | L2 above plus all order information | Continuous Access Full Book (Full Book) | L2 above plus all order information |
| Pager (L2) (with transmission speed below 6250 bps) | Same as Continuous Access Level 2 (L2) | Pager (L2) (with transmission speed below 6250 bps) | Same as Continuous Access Level 2 (L2) |
| Pager (L2+One) (with transmission speed below 6250 bps) | Same as Continuous Access Level 2+One (L2+One) | Pager (L2+One) (with transmission speed below 6250 bps) | Same as Continuous Access Level 2+One (L2+One) |
| Per Quote Access Level 1 | Bid/ask price and volume, high/low, last traded price, nominal, cumulative turnover/volume, opening/closing, IEV & IEP from auction trading session | Per Quote Access Level 1 | Bid/ask price and volume, high/low, traded price, calculated opening price (COP) if any, trade volume, cumulative volume |
| Per Quote Access Level 2 | L1 plus order depth (aggregated no. and volume (shares) of orders in the best 10 bid/ask queues) | Per Quote Access Level 2 | L1 plus order depth (aggregated no. and volume (shares) of orders in the best 10 bid/ask queues) |
| Per Quote Access Level 3 | L2 plus broker queues, last 4 transactions and freetext | Per Quote Access Level 3 | L2 above plus aggregated no. and volume (shares) of all orders beyond10 level order depth  |
| Per Quote Access Level 4 | L3 above plus aggregated no. and volume (shares) of all orders beyond10 level order depth |  |  |
| Per Unit Time (Up to 10 level order depth with broker queue) | Same as Per Quote Access Level 3 | Per Unit Time (Up to 10 level order depth) | Same as Per Quote Access Level 2 |
| Per Unit Time (Above 10 level order depth with broker queue) | Same as Per Quote Access Level 4 | Per Unit Time (Above 10 level order depth) | Same as Per Quote Access Level 3 |
| TV Service | Same as Continuous Access Level 1 (L1) subject to following limitations:* Information transmitted shall not exceed 150 securities at any one time
* The information shall be made available by a “play-list” of screens which shall have a scrolling time (from start to finish of each cycle) of not less than 90 seconds

Information shall be made available to Subscribers on a pre-programmed transmission-only basis, and shall not be used in relation to the provision of any interactive services | TV Service | Same as Continuous Access Without Order Depth (L1) subject to following limitation:* Information shall be made available to Subscribers on a pre-programmed transmission-only basis, and shall not be used in relation to the provision of any interactive services
 |
| Delayed Data | Bid/ask price and volume, high/low, last traded price, nominal, cumulative turnover/volume, opening/closing, IEV & IEP from auction trading session, last 4 transactions | Delayed Data | Bid/ask, high/low, last traded price, nominal, cumulative turnover/volume, opening/closing, IEV & IEP from auction trading session, last 4 transactions |
| Basic Market Prices (BMP)  | Nominal/last traded price, closing price, high/low prices, trading volume, turnover value, IEV & IEP from auction trading session.  | Basic Market Prices (BMP) | Last trade price, closing price, high/low price, trading volume & turnover of individual futures and options contract series |
| Non-Display Usage | For all Data Content.Non-display usage is defined as follows:1. Automated Trading Application - Any application that accesses HKEX real-time market data for automatic calculation, processing and analysis, and that process will determine the quantity, price and timing of order execution.
2. Derived Data (with Tradable Products) - Any work created using HKEX real-time market data to partly or wholly derive (i) the price of a tradable product, or (ii) the value of an underlying instrument of a tradable product.
3. Others - Any other non-display data usage that does not fall under Category (i) & (ii).
 | Non-Display Usage | For all Data Content.Non-display usage is defined as follows:1. Automated Trading Application - Any application that accesses HKEX real-time market data for automatic calculation, processing and analysis, and that process will determine the quantity, price and timing of order execution.
2. Derived Data (with Tradable Products) - Any work created using HKEX real-time market data to partly or wholly derive (i) the price of a tradable product, or (ii) the value of an underlying instrument of a tradable product.
3. Others - Any other non-display data usage that does not fall under Category (i) & (ii).
 |
| Fixed Monthly Fee Service  | L1 above plus order depth (aggregated no. and volume (shares) of orders in the best 5 bid/ask queues); last 4 transactions, freetext of the Eligible Stocks. Eligible Stocks refers to the Ordinary Shares and Preference Shares under SEHK equities. |  |  |

**Information Sheet (Related to Non-Display Usage)**

All companies that access and use HKEX real-time market data via datafeed services for display and/or non-display usage are required to complete this Information Sheet#. (#Not applicable for 15-minutes delayed datafeed services)

If you are a Subscriber of Information Vendor’s (IV) datafeed services, please submit this Information Sheet through the IV that provides datafeed services to you.

If you access and use datafeed services from more than one IVs, you are required to submit this Information Sheet to each of your IVs. You are also required to indicate on this Information Sheet the designated IV for payment of the non-display usage Subscriber Fees (the Fees).

Please note that this is a one-off declaration but companies should submit an updated Information Sheet to each of the IVs should there be any subsequent changes.

For more details of the non-display usage, please refer to the Guiding Note on Non-Display Usage published on HKEX website

(link: <http://www.hkex.com.hk/eng/prod/dataprod/la/licagt/gn/GuidingNotes_MDVLA.htm> ).

|  |  |  |
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| (Please tick all relevant checkboxes & provide details where required.) | **Submission Date** |  |

**Part I: General Information**

This Information Sheet is completed by:

| Name of the Company (Full Name) |  |
| --- | --- |

|  |  |  |
| --- | --- | --- |
| Correspondence Address and Contact Person: | Name & Title: |  |
| Email & Phone  |  |
| Correspondence Address: |  |
| Type of the Company: | (Can check more than one boxes if appropriate)* Licensed Information Vendor (IV)
* Licensed End-User (EU)
* Exchange Participant (EP)
* SEHK EP (🞏 With BSS connection): ID:
* HKFE EP: ID:
* Subscriber of IV’s datafeed services
 |

This Information Sheet is submitted through the following IV:

|  |  |
| --- | --- |
| Name of IV |  |

**Part II: Datafeed Usage**

(Please tick all relevant check boxes)

|  |  |
| --- | --- |
| **Type of Market Data**  | **Datafeed Usage** |
| * Securities Market Data
 | * Display usage
* Non-display usage *(Note below)*
* i) Automated Trading Application
* ii) Derived Data (with Tradable Products)
* iii) Others
 |
| * Derivatives Market Data
 | * Display usage
* Non-display usage *(Note below)*
* i) Automated Trading Application
* ii) Derived Data (with Tradable Products)
* iii) Others
 |

**Part III: Non-Display Usage Information**

**Applicable to companies that have non-display usage. Companies with display usage only do not need to fill in Part III.**

|  |  |  |
| --- | --- | --- |
| **Datafeed Source / Datafeed Service Provider (Name of IV)** | **Non-Display Usage Category\*** | **Designated IV\*\* for Non-Display Usage Subscriber Fees Payment** |
| **Securities Market Data** |
| * Direct from HKEX
 | (i) / (ii) / (iii) | If you have direct connection with HKEX, the Fees has to be paid directly to HKEX-IS  |
| * Datafeed Service from

 (name of IV) | (i) / (ii) / (iii) | 🞏 |
| * Datafeed Service from
 | (i) / (ii) / (iii) | 🞏 |
| * Datafeed Service from
 | (i) / (ii) / (iii) | 🞏 |
| **Derivatives Market Data** |
| * Direct from HKEX
 | (i) / (ii) / (iii) | If you have direct connection with HKEX, the Fees has to be paid directly to HKEX-IS |
| * Datafeed Service from
 | (i) / (ii) / (iii) | 🞏 |
| * Datafeed Service from
 | (i) / (ii) / (iii) | 🞏 |
| * Datafeed Service from
 | (i) / (ii) / (iii) | 🞏 |

* Please check this box if you do not wish to disclose that you may have other data sources.

\* Please circle the non-display usage categories (Note below for details):

1. Automated Trading Application
2. Derived Data (with Tradable Products)
3. Others

\*\* Companies can use multiple sources of datafeed services subscribed from HKEX or from different IVs and they only need to pay for the respective Fees once. As such, you should indicate on this Information Sheet which IV you intend to pay the Fees to (i.e. the designated IV). Companies that have direct contract with HKEX-IS, i.e. IV, EU or EP (with BSS connection), should pay the respective Fees directly to HKEX-IS.

(Note to IV: If your client indicates that you are the designated IV for the Fees payment, you should collect the Fees on behalf of HKEX-IS.)

(Note to IV / EU: The Fees shall be charged from 1 January 2013. If the services start after January 2013, please indicate the service start date as (date).)

**Note:**

Non-Display Usage includes:

1. Automated Trading Application - Any application that accesses HKEX real-time market data for automatic calculation, processing and analysis, and that application will determine the quantity, price and timing of order execution, will be regarded as the Automated Trading Application. The fee is HK$20,000 and HK$10,000 per firm per month for cash market and derivatives market respectively.
2. Derived Data (with Tradable Products) - Any work created using HKEX real-time market data to partly or wholly derive the price of a tradable product or value of the underlying instrument of a tradable product. The fee is HK$20,000 and HK$10,000 per firm per month for cash market and derivatives market respectively.
3. Others - Any other non-display data usage that does not fall under Category (i) & (ii) which is HK$400 and HK$150 per firm per month for cash market and derivatives market respectively. EPs are exempted from this “Others” fee category.

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