

## **Vendor Application Form for Market Data Vendor Licence Agreement (Form A1)**

An application is deemed to have been formally lodged with HKEX Information Services Limited (HKEX-IS) when the applicant formally submitted and duly completed this Form A1, Form A2 and Form A3 (Datafeed and Service Application Form for Market Data Vendor Licence Agreement (“the Agreement”).

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

Submission date: \_\_\_\_\_

<b>Contact Information</b>	<b>Name</b> 输入公司联系人姓名	<b>Tel No.</b> 输入公司联系电话	<b>E-mail Address</b> 输入联系人邮箱地址
<b>Company website</b>	申请机构网站地址		
<b>SEHK/HKFE Exchange Participants or affiliates?</b>	If EP, Participant ID: 港交所会员机构填写 asdadsdad	If affiliate, name of Exchange Participant and ID: _____	

### **Part 1: General Information (information to be inserted under Schedule 1 of the Agreement)**

#### **a. Company registration**

Please submit the following documents and complete the table below:

- ✓ Copy of Certificate of Incorporation
- ✓ Copy of Business Registration Certificate (issued by authority of the country where the applicant company incorporates)

<b><u>Name of Applicant</u></b> (Name as appears on certificate of incorporation, latest certificate of incorporation on change of name or their equivalent)	<b><u>Place of Incorporation</u></b>
上架展示行情的应用名称	注册地址
<b><u>Registered office (or equivalent) in place of incorporation or, if registered under Part XI of the Companies Ordinance (Cap. 32) as in force from time to time before 3 March 2014 (“Former Companies Ordinance”) or Part 16 of the Companies Ordinance (Cap.622), principal place of business in Hong Kong</u></b> (Note: HK incorporated company: registered office registered with HK Companies Registry; overseas company registered under Part XI of Former Companies Ordinance or Part 16 of the Companies Ordinance (Cap.622): principal place of business in Hong Kong registered with HK Companies Registry; overseas company not registered under Part XI of Former Companies Ordinance or Part 16 of the Companies Ordinance (Cap.622): registered office (or equivalent) registered with relevant Government authority in place of incorporation)	<b><u>Address, fax number and e-mail for notices under clause 9 of the Agreement</u></b>  Complete the enclosed Contact Update Form

**b. Details of process agent in Hong Kong**

(for applicants that are NOT registered under Part 16 of the Companies Ordinance (Cap.622))

Name of process agent:	代理人 (需驻香港地区人员)
Attention:	
Address:	代理人地址
Fax Number and email address:	代理人邮箱

**Part 2: Financial Information**

(for applicants of real-time market data only)

Please submit the following documents and complete the table below:

- ✓ Latest two years of audited financial statements/annual reports
- ✓ Official document showing the paid-up capital. Note that Applicant company should have paid-up capital (fully paid in cash) of no less than HK\$ 7.5Mn. Capital in share premium is not acceptable.

Note: HKEX-IS may request additional information if appropriate.

<b><u>Currency:</u></b>	<b><u>MM/YY</u></b>	<b><u>MM/YY</u></b>	<b><u>Reference page in financial documents</u></b>
Paid-up Capital			
Cash and Cash Equivalents			
Operating Revenue			
Net Profit (Loss)			

**Part 3: Authorized Signatory (information to be inserted under Page 15 of the Agreement)**Please provide the **full name and job title** of the authorized signatory and witness for the agreement.Authorized signatory: (Name) 手写签名章或公章, (Title) \_\_\_\_\_

Witness: (Name) \_\_\_\_\_, (Title) \_\_\_\_\_

**Part 4: Related Company Sub-Licensee (information to be inserted under Schedule 2 of the Agreement)**

(for applicants of real-time market data only and would sub-license the redistribution right to related companies pursuant to clause 4.7.1 of the Agreement). A Related Company shall mean in relation to any company, any other company which is for the time being a holding company of such company or a subsidiary company of such company or a subsidiary of a holding company of such company, as described in the Companies Ordinance (Cap. 622).

Note that Redistribution Fee for Extension of redistribution rights to Related Companies may apply for Licensees with indirect connection.

Please submit the following document and complete the table below:

- ✓ Official document showing the applicant company's holding companies and subsidiaries with % of ownership.

**List of Sub-Licensees that are Related Companies of the Licensee:**

<b><u>Company Name</u></b>	<b><u>Address</u></b>	<b><u>Relationship with the Applicant (with percentage stake)</u></b> e.g. Related company (100%)
关联公司名称	关联公司注册地址	股权关系，持股比例必须大于50%

**Applicant will be responsible for reporting and payment for any Related Companies.**

阿里云计算有限公司

## LICENSEE CONTACT UPDATE FORM

**TO:** Markets Division, Market Data – Data Licensing & Marketing  
**HKEX Information Services Limited**  
 Email: [MarketData@hkex.com.hk](mailto:MarketData@hkex.com.hk)

**Notes:**

Market Data Vendor Licence Agreement: Please provide contacts **1) to 8)**

Market Data End-User Licence Agreement: Please provide contacts **1) to 6)**

Market Data Application Service Provider Licence Agreement: Please provide contacts **1) to 5), 7) & 8)**

Standard Terms and Conditions For Use of China Connect Market Data: Please provide contacts **1) to 4)**

Market Data China Connect Application Service Provider Licence Agreement: Please provide contacts **1) to 4)**

	<b>1) PRIMARY CONTACT</b> -pursuant to clause 9 of the relevant license agreement as indicated below: <input checked="" type="checkbox"/> <b>Market Data Vendor Licence Agreement</b> ("Vendor Agreement")  <input type="checkbox"/> <b>Market Data End-User Licence Agreement</b> ("End-User Agreement")  <input type="checkbox"/> <b>Market Data Application Service Provider Licence Agreement</b> ("ASP Agreement") -pursuant to clause 8 of the relevant OMD-CC T&C or OMD-CC ASP Agreement as indicated below: <input type="checkbox"/> <b>Standard Terms and Conditions For Use of China Connect Market Data</b> ("OMD-CC T&C") <input type="checkbox"/> <b>Market Data China Connect Application Service Provider Licence Agreement</b> ("OMD-CC ASP Agreement")	<b>2) Technical Issues Contact</b>  on technical matters related to datafeed connection	<b>System Emergency Contact</b>  on system emergency & contingency issues	<b>5) Payment Contact</b>  on Licence Fees payment matters	<b>6) Reporting Contact</b>  on monthly reporting matters
			<b>3) Office Hour* Support</b>  *HKEX Trading Day 9am to 4pm Hong Kong time	<b>4) Non-Office Hour Support</b>	
<b>Contact Person</b>	项目负责人	技术负责人	紧急联系人	付款联系人	申报联系人
<b>Title</b>					
<b>Address</b>			/	/	
<b>Direct Line</b>	(country code) area code – phone no.				
<b>Mobile No.</b>	(country code) area code – phone no.				
<b>Email/ Group Email</b>	企业邮箱和aliclouds*****@alibabacloud.com			aliclouds*****@alibabacloud.com	

**7) Contact for Receipt of Supplementary Information [Applicable to Vendor Agreement and ASP Agreement with real-time securities market data]**

<b>Email</b>	企业邮箱和aliclouds*****@alibabacloud.com
<small>Note: HKEX-IS will send the "Changes to Stock Information" notification to the Contact for Receipt of Supplementary Information by email. Please note that this is only a supplementary service ("the Service") provided on best effort basis applicable only to Vendors and ASPs with real-time securities market data. HKEX-IS has the right to change the conditions of provision of the Service including suspension of the Service at any time.</small>	

**8) Contact Information to be Published on HKEX website [Applicable to Vendor Agreement and ASP Agreement]**

<b>Phone enquiry</b> (Customer Service Hotline)	(country code) area code - phone number	<b>Email</b>	申请项目负责人邮箱
<b>Website</b>	企业网址		

Note: Under clause 6.8 of the Vendor Agreement or clause 7.9 of the ASP Agreement, HKEX-IS shall have the right to publish the above information on the website of Hong Kong Exchanges and Clearing Limited under "Market Data Services > Real Time Data Services > Data Licensing" ([https://www.hkex.com.hk/Services/Market-Data-Services/Real-Time-Data-Services/Data-Licensing?sc\\_lang=en](https://www.hkex.com.hk/Services/Market-Data-Services/Real-Time-Data-Services/Data-Licensing?sc_lang=en)) for public reference.

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

**SUBMITTED BY THE LICENSEE:**

**Company Name** : \_\_\_\_\_  
**Name and Title** : \_\_\_\_\_  
**Date** : \_\_\_\_\_

Sign for and on Behalf of the Licensee  
*(only applicable if there is changes to primary contact information)*

**电子手签章或公章**

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## 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](mailto:DataPrivacy@HKEX.COM.HK)