



**Form 13A - Application for Registration as Designated Index Arbitrage Participant**

Name of Applicant: (HKFE Participant)	(in Chinese)
	(in English)

**Notes :**

- Please attach an organization chart with percentage shareholdings shown to depict the relationship between the Applicant and its affiliate(s) if the Designated Index Arbitrage Transactions are the trades of its affiliate(s) and/or an organization chart with percentage shareholdings shown to depict the relationship between an Exchange Participant of The Stock Exchange of Hong Kong Limited ("SEHK") and its affiliate(s) if the Designated Index Arbitrage Transactions are the trades of the SEHK Participant's affiliate(s).
- The Applicant who has designated more than one Designated Index Arbitrage Short Selling Participant ("DIASSP") in the SEHK to conduct Designated Index Arbitrage Transactions ("DIATs"), shall complete separate application Form for each DIASSP and indicate the sequential numbers to be used by each DIASSP for conducting DIATs.
- Please answer all the questions stated in the Form and do not leave any questions blank. If any question is not applicable, please state "N.A.". Upon completion, please sign and date the Form. The Form may be typewritten or legibly handwritten.
- If there is insufficient space to answer, please continue on a separate sheet, specify the question to which the sheet relates and sign on it.
- Please submit this Form to Participant Services, Cash Trading of Hong Kong Exchanges and Clearing Limited ("HKEx") by fax to 2521-7899 or mail to 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

**A. Particulars of the Designated Index Arbitrage Transactions**

1.1 Please indicate on whose behalf the Designated Index Arbitrage Transactions are conducted by ticking the box(es) below (Please see note 1 above for the required documents to be submitted) :-

- For your own account
- For the account(s) of your affiliate(s) which has/have designated you to conduct Designated Index Arbitrage Transactions on its/their behalf

Name of your affiliate(s)	1.	
	2.	
	3.	

- For the account(s) of an SEHK Participant(s) which has/have designated you to conduct Designated Index Arbitrage Short Selling on its / their behalf.

Name of SEHK Participant(s)	1.	
	2.	
	3.	

- For the account(s) of an SEHK Participant's affiliate(s) which has/have designated you to conduct Designated Index Arbitrage Transactions on its / their behalf.

Name of SEHK Participant's affiliate(s)	1.	
	2.	
	3.	

- 1.2 Please state the name of the designated SEHK Participant which is registered with SEHK as a Designated Index Arbitrage Short Selling Participant under the Rules of SEHK to conduct on your behalf such parts of the Designated Index Arbitrage Transactions that need to be conducted on SEHK.

Name of Designated Index Arbitrage Short Selling Participant	
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- 1.3 If more than one Designated Index Arbitrage Short Selling Participant ("DIASSP") have been designated to conduct Designated Index Arbitrage Transactions, please indicate below the sequential numbers to be used by the abovenamed DIASSP for conducting the Designated Index Arbitrage Transactions (Please see note 2 on the front page of this application form):

Sequential number start range <sup>1</sup>	Sequential number end range

## B. Information of the Contact Person for the Application

Name :			
Telephone Number :		Fax Number :	
Email Address :			

<sup>1</sup> Any change in the information given under paragraph 1.3 shall be notified immediately to Market Surveillance & Enforcement of Risk Management of HKEX. The notification can be made to email address "iasfmm@hkex.com.hk"

**C. Declaration by the HKFE Participant**

We, \_\_\_\_\_  
(Name of HKFE Participant)

1. **apply** for registration as a Designated Index Arbitrage Participant and also **apply** for registering the person(s) stated in paragraph A above for whose account(s) we will be conducting Designated Index Arbitrage Transactions;
2. **undertake** that the information provided in this application (including the information stated in the supporting document) is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading;
3. **undertake** that we shall notify HKFE immediately of any changes in the information given in this application;
4. **understand** that HKFE may take disciplinary proceedings against a Participant which has made a false or misleading representation in relation to its application;
5. **undertake** that we shall comply with all applicable rules, regulation and procedures of HKFE from time to time in force, the conditions stated in the letter of approval and any other directives from time to time made by HKFE; and **agree** that any non-compliance shall render us liable to disciplinary proceedings; and
6. **consent** that HKFE and any recognized exchange controller which is the controller of HKFE or any company of which a recognized exchange controller which is controller of HKFE is a controller may disclose our information to the SFC, any exchange and regulatory authority (whether within or outside Hong Kong).

Signature of the  
HKFE Participant<sup>2</sup> \_\_\_\_\_ Date \_\_\_\_\_  
(with Company Chop)

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

**D. Declaration by the Designated Index Arbitrage Short Selling Participant of SEHK**

We, \_\_\_\_\_  
(Name of SEHK Participant)

**agree** to conduct on behalf of the aforesaid HKFE Participant such parts of the Designated Index Arbitrage Transactions that need to be conducted on SEHK.

Signature of the  
SEHK Participant<sup>2</sup> \_\_\_\_\_ Date \_\_\_\_\_  
(with Company Chop)

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

\_\_\_\_\_

<sup>2</sup> The signatory shall be a Responsible Officer or a person duly authorized by the board of directors of the Exchange Participant.