**Service Application Form for Shenzhen Market Data License Agreement**

V2020

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| Name of the applicant in English and in Chinese if any |  |

1. **License Application**

Please check the type of license which you would like to apply for.

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| License Applied | □Vendor License *(with external redistribution)* | □ Distribution of Real time Level 1 and/or Level 2 Market Data of Shenzhen Stock Exchange (SZSE)  □Continuous access □L1 □L2  □Per quote service □L1 □L2  □Third Party Website/Mobile Application (Framing) Service  □ Basic Market Price (BMP) Service |
| □ Distribution of real time Options Data |
| * Distribution of Delayed Market Data   □L1/L2 data □Options data |
| * Distribution of End-of-day Market Data |
| □End User License *(internal usage only, without any external redistribution)* | □ Non-Display Usage (NDU) □L1 □L2 □Options |
| * Display Usage ONLY □L1 □L2 |
| Connection | □Direct connection via | □ co-location at SSCC DongGuan center, mainland China  □ 6M leased line connection to SSCC L1 node at WTT Chaiwan HK  □ 50M leased line connection with SSCC L2 node at SkyExchange@IAC in HK |
| □Indirect connection via | *(1) (please provide the name of the third party from whom you connect the data)*  *(2) (please provide the name of the third party from whom you connect the data)* |
| Estimated Effective Date | *The estimated date that you would like to make the license effective.* | |
| Submission Date | *The date your company submits this Service Application Form and related documents to SSIC.* | |

Note:

* Please check the latest Fee Schedule before completing this application form.
* For applicants of Vendor License--Redistribution of Real time data, please complete all the following sections.
* For applicants of End User License, please complete the “*Datafeed Usage Form*” further, and the following **C, D, E, F** ofsection **II Service Application** for Non-Display Usage.
* Subsisting agreements are required for all services.

1. **Service Application**
2. **Type of services and subscriber devices**
3. Continuous/streaming service

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| --- | --- | --- | --- | --- |
| Name of the service | Type of subscriber device | | User ID & password control | Target launch date |
|  | □Terminal  □Mobile  □Website | □Datafeed  □Wallboard  □Others | □Yes  □No |  |

1. Per quote service

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| --- | --- | --- | --- | --- |
| Name of the service | Type of subscriber device | | User ID & password control | Target launch date |
|  | □Terminal  □Mobile  □Website | □Datafeed  □Wallboard  □Others | □Yes  □No |  |

1. Third Party Website/Mobile Application (Framing) Service

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| --- | --- | --- | --- | --- |
| Client name | URL of the third party website/mobile application | User ID & password control | Type of services | Target launch date |
|  |  | □Yes  □No | □Continuous access  □Per quote  □BMP |  |

1. Basic Market Price (BMP) Service

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| Basic Market Price (BMP) | Target launch date |
| □For the applicant itself  □For the applicant and its affiliates |  |

1. **Content of securities information distributed**

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| 1. the range of securities to be included | *Provide the range of securities (i.e. range of securities codes) allowed for dissemination.* |
| 1. information content for each security | Detailed information item pertaining to each security that will disseminate on the service. |
| 1. maximum number of securities could be displayed at any one time | *Provide the maximum number of stocks that could be accessed by the end-user at any one time.* |
| * Update Frequency | Provide the update frequency of the Exchange data. □ *Real-time streaming*  □ *Real-time snapshot*  □ *Delayed data* |
| 1. Other information | *Provide details of other data that will also be made available on the service.* |
| 1. Screen layout and screen flows | *Provide layout of screens that will display the Exchange data.* |

1. **System Architecture**

Please provide a network diagram that gives an overview of the entire system with proper annotation on

1. location of the major processing sites;
2. description of each system component and its function, their relationship and the data flow diagram.
3. types of communication facility used (e.g. dedicated land line, satellite, switched network, Internet, etc.);
4. speed of data transmission;
5. redundant and backup system for communication facility and computer sites;
6. describe how the delay data will be controlled, the place where the delay will take place;
7. **Data security**

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| **Description on data delivery method** | |
| Describe the data delivery method in details. | □We confirm that we have implemented technical measures to avoid subscribers from re-disseminating the data. |
| **Measures against spoofing & hacking** | |
| *Describe measures taken to satisfy this requirement*. | □We confirm that we have implemented sufficient measures to protect the data against spoofing & hacking. |
| **Controls to ensure data accuracy** | |
| *Describe measures taken to satisfy this requirement.* | □We confirm that we have implemented sufficient measures to ensure data accuracy in content and during transmission. |
| **Controls on data security and privacy** | |
| *Describe measures taken to satisfy this requirement.* | □We confirm that we have implemented sufficient measures to protect the privacy of the data. |
| **Controls on unusual activities of end users** | |
| *Describe measures taken to satisfy this requirement.* | □We confirm that we have the mechanism in place to monitor and detect unusual activities of end users such as cycling of all information, identify the abuser, alert the operator and stop the service immediately when appropriate. |

1. **Audit mechanism**

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| **Audit Trail and Accounting System** | *Describe the administrative procedure and verification process you have in place to:*  *(i) add, change or delete users (or no. of allowable accesses / displays) and their data entitlements;*  *(ii) the linkage between your entitlement system, your billing system, and your reporting to SSIC.* | □We confirm that the monthly reporting and payment to SSIC will be correct. |
| **Audit trails on logged-on users and authorized users** | *Please describe the mechanism employed to keep audit trail on the logged-on users and authorized users.* | □We confirm that we have the validation and permission system so that only authorized subscribers can access/log in the service. Technical mechanism is implemented to prohibit unauthorized access. |
| **Ability to inquire logged-on at any given time** | *Please describe the mechanism employed to enable you to monitor the number of logged-on users at any one time.* | □We confirm that our audit trail mechanism makes us to keep trail on logged-on users at any time. |
| **Record keeping** | *Confirm what type of audit trail records will be available and whether the records will be kept for 5 years.* | □We will remain records of all reporting information including the subscriber ID, name, address, country, product/service name, number of subscriber units, total subscriber fees payable, . Such records shall be kept for at least 5 years.  □We have one electronic database storing updated records of the current/valid Subscribers. |

1. **Entitlement control**

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| **Measures to prohibit unauthorized access** | *Describe the control system(s) employed to ensure that only authorized end-users/ subscribers (or allowed displays or accesses) could have access to Exchange Data. Describe the process and mechanism by which control is accomplished* | □We confirm thateach user will have a separate and unique user ID/password with access right controlled by the Licensee. The user ID/password is not shared between users. |
| **Measures to control delay period** | *If apply for acting as delayed information vendor, describe the control system(s) employed to ensure distribution market data on 15 minutes delayed basis.* | □We confirm that we have the mechanism in place to delay the data for delayed data service. |
| **Controls against multiple logon** | *If passwords are used, describe how simultaneous use of a password, or sharing of a password is inhibited.* | □We have implemented technical measures to prohibit usage of a Subscriber’s password and ID by multiple users at the same time. The system has mechanism to prohibit concurrent access to data by the same user ID/password. |
| **Controls against re-dissemination** | *Describe the mechanism and process employed to prohibit end-users and subscribers re-disseminate the Exchange Data* | □We confirm that we have implemented technical measures to avoid subscribers from re-disseminating the data. |

1. **Others**

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| **Provision of monthly Subscriber Report according to requirements of SSIC.** | *Confirm that you would provide monthly reports to SSIC in written or in electronic format with name of subscribers, number of subscriber units, addresses (for corporate clients) by country and by service types.* |
| **Provision of demonstration unit & user account to SSIC.** | *Confirm that you will provide the Exchange the access to your service. Please advise details on the access mechanism, user ID and passwords when available* |