
Shenzhen Securities Information Co. Ltd.,

(A wholly-owned subsidiary of Shenzhen Stock Exchange granted exclusive authorization for proprietary information license)

Guideline on Service Facilitator Appointment

(for real time data vendors only)

PURPOSE

We understand that some of the data vendors may appoint Service Facilitators to assist in selling and promotion of its services. Considering the business activities relative to Service Facilitators, this Guideline aims to set out the related policy for data vendors to appoint Service Facilitators to facilitate the dissemination of Shenzhen market data to the data vendor's Subscribers.

DETAILS

A Service Facilitator is a third-party company approved by SSIC, that has a contractual relationship with the data vendor and whose sole intention is to assist the data vendor in processing or disseminating the market data, such as software developer or sales agent.

Data vendors are required to enter into an Agreement with SSIC to obtain prior approval from SSIC to introduce the business of Service Facilitator appointment. Furthermore, the data vendor is required to report to SSIC the basic information of any service facilitator in the *Service Facilitator Application Form* before the service starts. Basic information includes name, address, website of the service facilitator, as well as its job responsibilities of helping the data vendor to facilitate its products and services. When the data vendor terminates the agreement relationship with the service facilitator, the data vendor is required to notify SSIC in written notice and further terminate the data delivery to the Service Facilitator.

Data vendors are obliged to ensure that

1. The licensed data allows for Service Facilitator appointment covers only Level 1 data.
2. The Service Facilitator shall only use the data within its job responsibilities as a Service Facilitator, and shall not apply the data into its own branded products and/or services.
3. The data provided via Service Facilitator can only be provided to the data vendor's end users. Service Facilitators are not allowed to distribute the data to any other third party.
4. Any service provided by the data vendor through a Service Facilitator must be prominently branded so it clearly identifies the data vendor as the data source and the service provider.

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5. The Service Facilitator shall not state that it obtains the Shenzhen market data license by any means in anywhere.
 6. It is the data vendor instead of the Service Facilitator who contracts directly to provide the data to the end users (Subscribers of the data vendor). Further, the data entitlement must be allocated and controlled by the data vendor rather than the Service Facilitator.
 7. Data vendors shall include all end users who connect the data via its appointed Service Facilitator in the Monthly Subscriber Report to SSIC. Details shall be in compliance with SSIC's reporting requirements like the subscriber's name, type, number of Subscriber Units, and subscriber fees etc. If the Service Facilitator is required to access the data, it's also obliged to report its own usage of the data in the data vendor's Monthly Subscriber Report and pay the related subscriber fees.
 8. SSIC or its authorized agent reserves the right to conduct a regular or irregular audit on the Service Facilitator to ensure that the Service Facilitator is in comply with the arrangements listed in this Guideline. Any breach by the Service Facilitator could be treated as a breach of the data vendor, so that SSIC reserves the right to require the data vendor to take joint responsibilities with the Service Facilitator accordingly.

SSIC reserves the right to change any information as above at any time upon prior written notice.