**Service Application Form**

**for Shenzhen Market Data Vendor License Agreement**

V202402

Submission date: YYYY/MM/DD

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

1. **License(s)**

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

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| Vendor License to Apply for | □ Distribution of Real time Level 1 and/or Level 2 Market Data of Shenzhen Stock Exchange (SZSE) externally  □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 externally | |
| * Distribution of Delayed Market Data externally or internal use of delayed market datafeed   □L1/L2 data □Options data | |
| * Distribution of End-of-day Market Data externally | |
| Connection | □Direct connection | □ co-location at SSCC DongGuan center, mainland China  □ 6M or 10M 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 | *(1) (please provide the name of the third party data provider)*  *(2) (please provide the name of the third party data provider)* |
| Estimated Effective Date | *Please set it at least 3 weeks after the submission date of this form to allow approval procedures on SSIC’s side.* | |

Notes:

* Please check the latest Fee Schedule before completing this application form.
* For applicants of Real time Market Data license, please complete all of the following sections.
* For applicants of Delayed/EOD Market Data license, please complete **A, B, C** of Section II **Service Application**.
* Subsisting agreements are required for all services.
* For existing clients adding new services, please fill in the form with the related information of new services only.

1. **Service(s)**
2. **Type of Services and Subscriber Devices**
3. Continuous service

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

1. Per quote service

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

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

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

1. Basic Market Price (BMP) Service

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| Basic Market Price (BMP) | Target launch date |
| □For the applicant only  □For the applicant and its Related Companies |  |

1. **Content of Securities Information to be 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 distribution.* |
| 1. information content for each security | Detailed information item pertaining to each security that will be distributed 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 SZSE data. □ *Real-time*  □ *Delayed for minutes* |
| 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 SZSE data.* |

1. **System Diagram**

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

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

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| 1. **Measures against spoofing & hacking** | |
| *Describe the policies and measures that are established and taken to protect the data from spoofing & hacking*. | □We confirm that we have implemented sufficient measures to protect the data against spoofing & hacking. |
| 1. **Controls to ensure data accuracy** | |
| *Describe measures taken to ensure data accuracy.* | □We confirm that we have implemented sufficient measures to ensure data accuracy in content and during transmission. |
| 1. **Controls on data security and privacy** | |
| *Describe measures taken to protect the privacy of the data.* | □We confirm that we have implemented sufficient measures to protect the privacy of the data. |
| 1. **Controls against redistribution** | |
| *Describe the mechanism and process employed to prohibit end-users and subscribers to redistribute the SZSE data.* | □We confirm that we have implemented technical measures to prevent *end-users and* subscribers from redistributing the data. |
| 1. **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. **Measures to control delay period** | |
| *If apply for acting as a delayed market data 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. |

1. **Entitlement Control**

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| 1. *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. |
| 1. *Describe the control system(s) employed to ensure that only authorized end-users / subscribers (or allowed displays or accesses) could have access to the SZSE data. Describe the process and mechanism by which control is accomplished.* | Please list the name of the entitlement system that will be used.    □ 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. |
| 1. *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. |
| 1. *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. |
| 1. *Please describe the mechanism employed to generate entitlement reports.* | □We confirm that the system has the ability to detect and generate entitlement reports to show those users who are entitled and those who are not entitled to receive data. |
| 1. *If you provide the datafeed service without entitlement control, please request your Datafeed Subscriber to provide the “Honesty Statement of Reporting” on a monthly basis.* | □ We provide the datafeed service without entitlement control but we confirm to request the Datafeed Subscribers to submit the honesty statement on a monthly basis. |

1. **Reporting and Payment Mechanism**

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| 1. *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. |
| 1. *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 only one electronic database storing updated records of the current/valid Subscribers. |

1. **Others**

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| **Provision of monthly subscriber report according to requirements of SSIC.** | □ We confirm that we will 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.** | □We confirm that we will provide SSIC the user ID and password to access to our service upon receiving a request from SSIC. |

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| **Name** |  | **Signature** |
| **Title** |  |
| **Date** |  |