

Membership External Guide

會員准入申請操作指南

Section 1: Account registration

第一項：賬號註冊

To register as a member, member needs to sign up an account through the MCEX official website, click “Become a member”. To become an eligible member, all the application must be reviewed and approved by MCEX Member Service Team. At the current stage, MCEX only opens to Regulated Financial Institutions membership application, all the documents provided must be certified true copies.

申請人須在滴灌通澳交所（MCEX）網站申請成為會員，經滴灌通澳交所（MCEX）團隊審批後才能通過申請及獲取會員資格。目前的階段滴灌通澳交所（MCEX）會員准入要求必須是受監管金融機構，所有提供的 KYC 文件都必須是經認證的真實副本的。

1st Step: To register for an account, click “Become a member” on the MCEX official website landing page <https://mcex.mo/>

步驟 1: 從 MCEX 網站 <https://mcex.mo/>，點擊 “Become a Member” 進行賬號註冊。



2nd Step: Applicant needs to click the “快速注册” button on bottom right to register for an account.

步驟 2: 申請人在右下方點擊 “快速註冊” 註冊賬號。



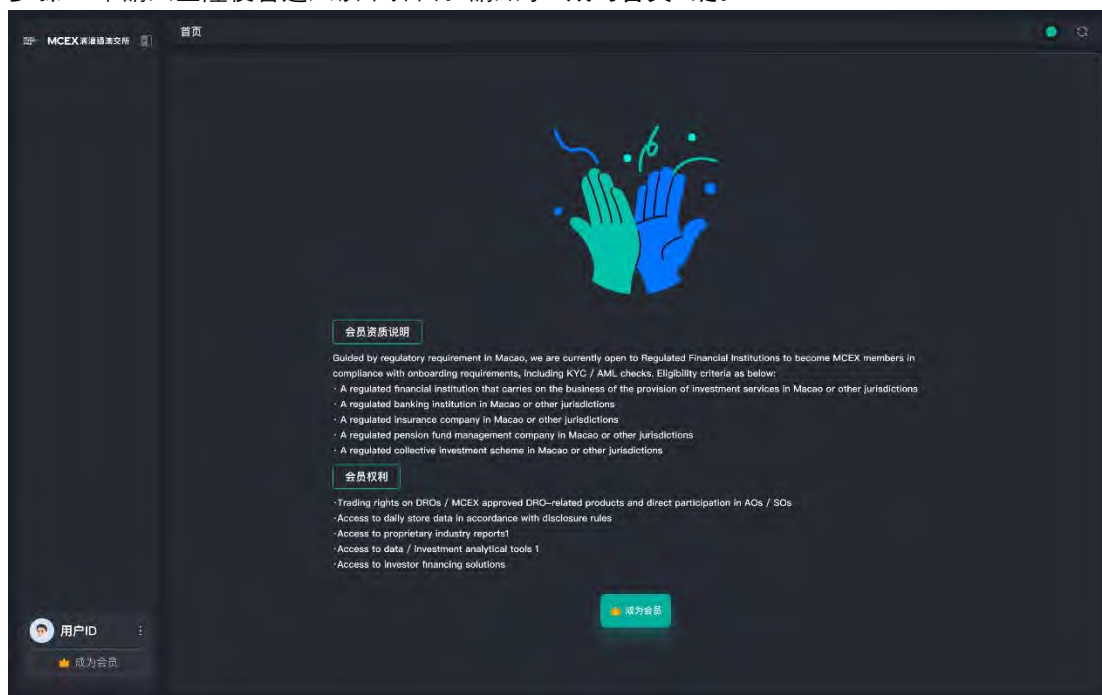
3rd Step: Please be reminded to sign up using applicant's active email address, click “获取验证码” to obtain the 6 digits verification code that will be sent to the applicant's email address. **Note: The password format must be a combination of 6-20 digits with alphabetical characters, numbers and symbol included.**

步驟 3: 請申請人用有效郵箱註冊賬號，點擊“獲取驗證碼”，6 位驗證碼將發送到申請人註冊郵箱。請注意密碼格式為“6-20 位字母/數字/符號任意兩種組合密碼”。



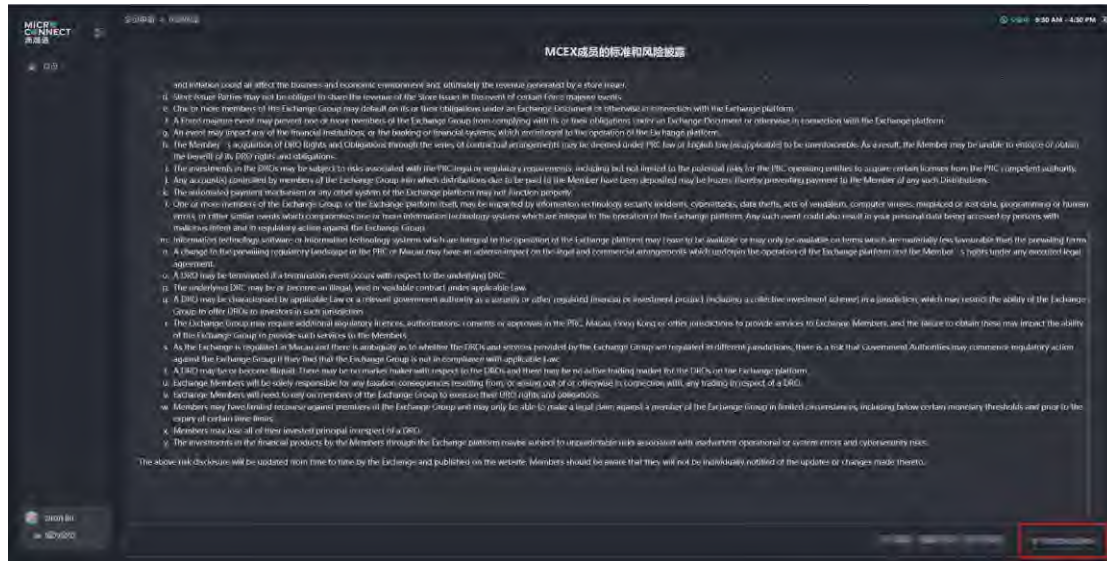
4th Step: Once the applicant has successfully login, please click the “成为会员” button.

步驟 4: 申請人登陸後會進入以下界面。請點擊“成為會員”鍵。



5th Step: Applicant needs to read the Risk Disclosures, after that scroll to the bottom and click “Confirm” button on the bottom right.

步驟 5: 請申請人閱讀風險披露告知書，並下滑到底部，右下角點擊確認按鈕。



Risk Disclosure

The Exchange provides a platform for the dealing of the recognized financial products, including but not limited to the Daily Revenue Obligations (the “DROs”). The Members should be aware that investment involves risk. As a general rule, you should only trade in the financial products that you understand the risk associated with them. The risk warning described below is not exhaustive, and you should carefully consider your investment experience, financial situation, investment objective, risk tolerance level and consult your independent financial advisers as to the suitability of your situation before making any investment.

As a Member, you acknowledge and accept that

- i. the DROs are subject to investment considerations which could affect the performance of the DROs, including loss of investment and income;
- ii. such investment considerations may include (but are not limited to) those set out below; and
- iii. each of the investment considerations set out below is a contingency which may or may not occur and no member of the Exchange and its subsidiaries (the “Exchange Group”) is in a position to express a view on the likelihood of any such contingency occurring.

You declare that you have the capacity (financial and otherwise) to deal with and withstand, the investment considerations set out below:

- a. One or more store issuer or other signing parties to the DRC other than any member of the Exchange Group (“Store Issuer Parties”) may default on its or their obligations under a DRC.
- b. One or more Store Issuer Parties may engage in fraudulent or other deceptive conduct to conceal its actual revenue figures or for any other purpose which may deprive the Member of its actual economic entitlement in respect of a DRO.
- c. Macroeconomic factors such as unemployment, underemployment, interest rates, lack of income growth, the amount of consumer spending, business investment, government

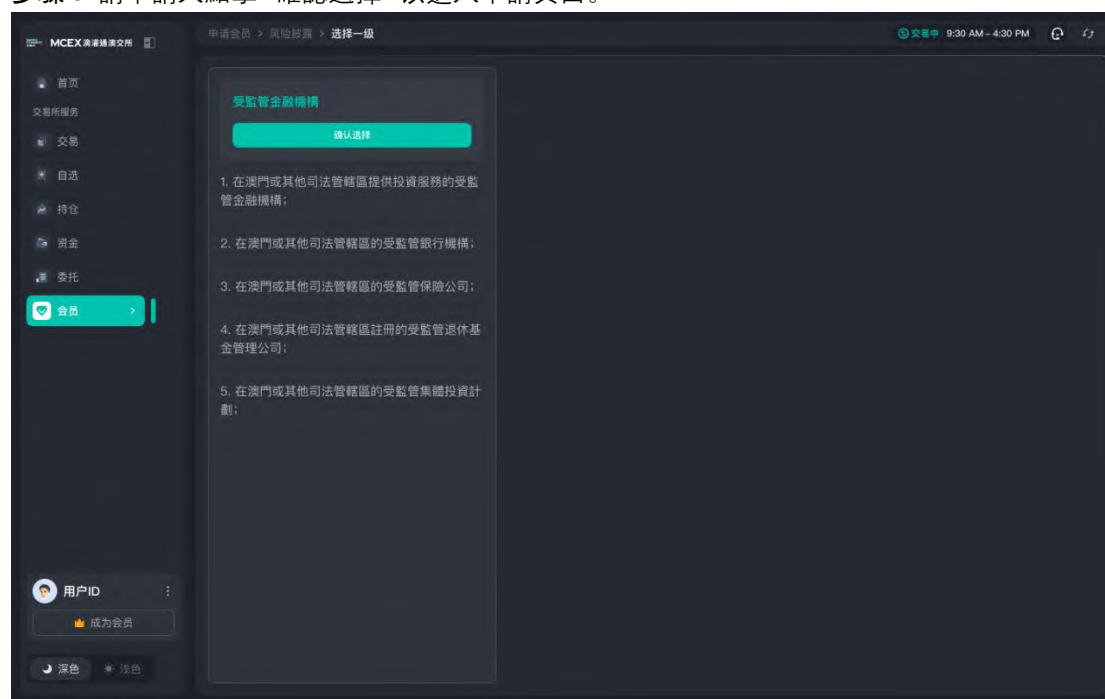
- spending, government policy, the volatility and strength of the PRC economy and inflation could all affect the business and economic environment and, ultimately the revenue generated by a store issuer.
- d. Store Issuer Parties may not be obliged to share the revenue of the Store Issuer in the event of certain Force majeure events.
 - e. One or more members of the Exchange Group may default on its or their obligations under an Exchange Document or otherwise in connection with the Exchange platform.
 - f. A Force majeure event may prevent one or more members of the Exchange Group from complying with its or their obligations under an Exchange Document or otherwise in connection with the Exchange platform.
 - g. An event may impact any of the financial institutions, or the banking or financial systems, which are integral to the operation of the Exchange platform.
 - h. The Member's acquisition of DRO Rights and Obligations through the series of contractual arrangements may be deemed under PRC law or English law (as applicable) to be unenforceable. As a result, the Member may be unable to enforce or obtain the benefit of its DRO rights and obligations.
 - i. The investments in the DROs may be subject to risks associated with the PRC legal or regulatory requirements, including but not limited to the potential risks for the PRC operating entities to acquire certain licenses from the PRC competent authority.
 - j. Any account(s) controlled by members of the Exchange Group into which distributions due to be paid to the Member have been deposited may be frozen, thereby preventing payment to the Member of any such Distributions.
 - k. The automated payment mechanism or any other system of the Exchange platform may not function properly.
 - l. One or more members of the Exchange Group, or the Exchange platform itself, may be impacted by information technology security incidents, cyberattacks, data thefts, acts of vandalism, computer viruses, misplaced or lost data, programming or human errors, or other similar events which compromises one or more information technology systems which are integral to the operation of the Exchange platform. Any such event could also result in your personal data being accessed by persons with malicious intent and in regulatory action against the Exchange Group.
 - m. Information technology software or information technology systems which are integral to the operation of the Exchange platform may cease to be available or may only be available on terms which are materially less favourable than the prevailing terms.
 - n. A change to the prevailing regulatory landscape in the PRC or Macau may have an adverse impact on the legal and commercial arrangements which underpin the operation of the Exchange platform and the Member's rights under any executed legal agreement.
 - o. A DRO may be terminated if a termination event occurs with respect to the underlying DRC.
 - p. The underlying DRC may be or become an illegal, void or voidable contract under applicable Law.
 - q. A DRO may be characterised by applicable Law or a relevant government authority as a security or other regulated financial or investment product (including a collective investment scheme) in a jurisdiction, which may restrict the ability of the Exchange Group to offer DROs to investors in such jurisdiction.
 - r. The Exchange Group may require additional regulatory licences, authorizations, consents or approvals in the PRC, Macau, Hong Kong or other jurisdictions to provide services to Exchange Members, and the failure to obtain these may impact the ability of the Exchange Group to provide such services to the Members.
 - s. As the Exchange is regulated in Macau and there is ambiguity as to whether the DROs and services provided by the Exchange Group are regulated in different jurisdictions, there is a risk that Government Authorities may commence regulatory action against the Exchange Group if they find that the Exchange Group is not in compliance with applicable Law.
 - t. A DRO may be or become illiquid. There may be no market maker with respect to the DROs and there may be no active trading market for the DROs on the Exchange platform.

- u. Exchange Members will be solely responsible for any taxation consequences resulting from, or arising out of or otherwise in connection with, any trading in respect of a DRO.
- v. Exchange Members will need to rely on members of the Exchange Group to exercise their DRO rights and obligations.
- w. Members may have limited recourse against members of the Exchange Group and may only be able to make a legal claim against a member of the Exchange Group in limited circumstances, including below certain monetary thresholds and prior to the expiry of certain time limits.
- x. Members may lose all of their invested principal in respect of a DRO.
- y. The investments in the financial products by the Members through the Exchange platform maybe subject to unpredictable risks associated with inadvertent operational or system errors and cybersecurity risks.

The above risk disclosure will be updated from time to time by the Exchange and published on the website. Members should be aware that they will not be individually notified of the updates or changes made thereto.

6th Step: Applicant needs to click “确认选择” in order to access the application form.

步驟 6: 請申請人點擊“確認選擇”以進入申請頁面。



滴灌通澳交所的會員必須是 (1) 受監管金融機構; 或 (2) 受監管金融機構全資持有或具控制權的附屬公司

受監管金融機構的定義如下:

- a) 在澳門或其他司法管轄區提供投資服務的受監管金融機構;
- b) 在澳門或其他司法管轄區的受監管銀行機構;
- c) 在澳門或其他司法管轄區的受監管保險公司;

- d) 在澳門或其他司法管轄區註冊的受監管退休基金管理公司；
- e) 在澳門或其他司法管轄區的受監管集體投資計劃；

The member of MCEX must be a (1) Regulated Financial Institution or (2) Regulated Financial Institution’s wholly owned and controlled subsidiaries.

Definition of Regulated Financial Institution as below:

- a) a regulated financial institution that carries on the business of the provision of investment services in Macao or other jurisdictions;
- b) a regulated banking institution in Macao or other jurisdictions;
- c) a regulated insurance company in Macao or other jurisdictions;
- d) a regulated pension fund management company in Macao or other jurisdictions;
- e) a regulated collective investment scheme in Macao or other jurisdictions;

Section 2: Membership Application Form

第二項：會員申請材料填寫

Regulated Financial Institution

受監管機構投資者

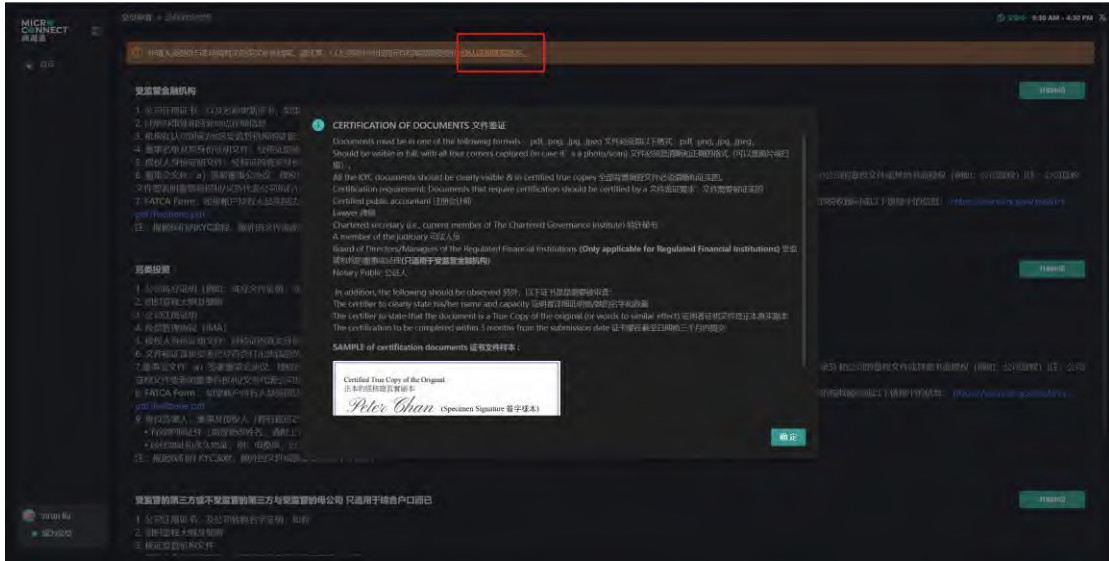
1st Step: Kindly select the entity membership type.

步驟 1: 請選擇您的機構類別。



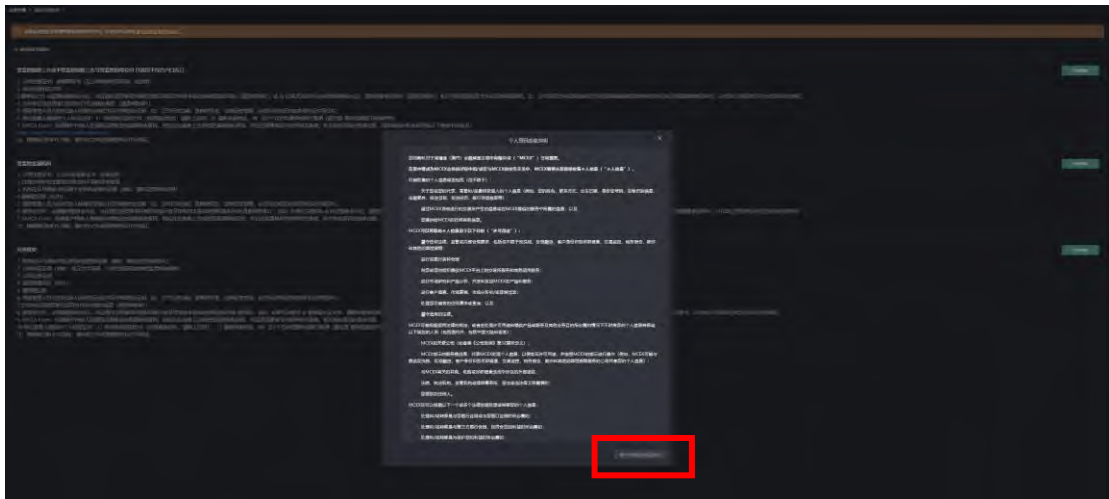
2nd Step: All the documents provided by the applicant must be certified true copies. You may click “**经认证的真正副本**” for reference.

步驟 2: 申請人提供的所有 KYC 檔案都需要提供經認證的真實副本。您可點擊“**經認證的真實副本**”查閱相關要求。



3rd Step: Click “开始申请”, applicant will access the 个人资料收集声明 (Personal Information Collection Statement). Click the “确认” button on bottom right to confirm and proceed.

步驟 3: 請點擊“開始申請”，申請人進入個人資料收集聲明。請點擊右下方的“確認”按鍵以確定和繼續。



4th Step: After confirmed the PICS, applicant will enter the first part of the form “实体资讯”, please fill up all the information and areas marked with * are mandatory fields. **Note: If applicant wishes to pause in the midst of filling up the application form, please click “保存” to save the form, all the changes will be saved in the system.**

步驟 4: 確定了個人資料收集聲明後，申請人進入第一部分“實體資訊”，請準確填寫所有信息，並檢查帶 * 號的必填項。注：如果申請人在填寫過程中需要暫停，可以點擊“保存”鍵暫存表格，您所作的更改將會被保留。

会员申请 > 滴灌通金融牌照

实体资讯 实体税务居民自我证明 董事会文件 文件上传

授权人/企业法人代表人士
请勾选一下是否从下列3种类别中选择符合您的文件 (请填写) 作为重要补充信息。

职称
先生 太太 小姐 女士 其他

姓氏 全名
请输入

出生日期 身份证号/护照号码
请输入

电话号码 联系地址
请输入

国籍 职位
请输入

居住地址
请输入

企业资料

公司公司名称 企业类型
请输入

业务类型 公司注册编号/企业编号
请输入

取消 保存 提交申请

5th Step: If you select “Yes” for the questions below, please also fill up the relevant information.
步驟 5: 若您在下列三個問題中勾選“是”，請填寫相關補充信息。

会员申请 > 滴灌通金融牌照

实体资讯 实体税务居民自我证明 董事会文件 文件上传

登记地址 (如不提供则默认)
请输入

公司注册地址 (如不提供则默认)
请输入

企业登记号码
请输入

请问您的企业是否政府机构?
 是 否

请问您的企业是否监管机构?
 是 否

注册名称
请输入

注册地区
请输入

请问您的企业是否上市公司?
 是 否

交易所名称
请输入

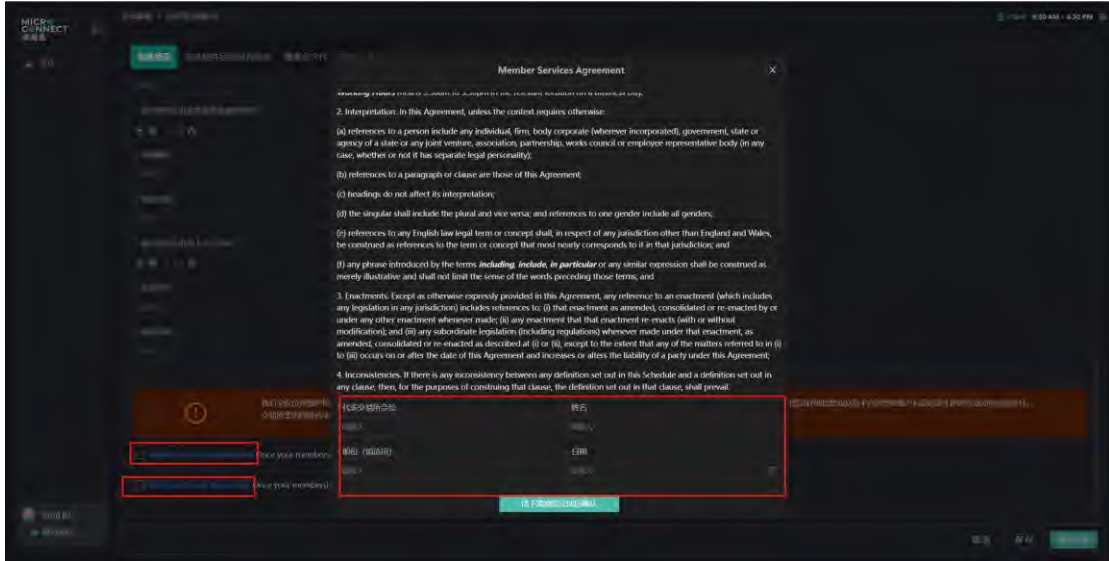
注册地区
请输入

取消 保存 提交申请

6th Step: When applicant scrolls down to the bottom, there'll be 2 agreements: <Member Service Agreement> and <DRO Investment Agreement>. Please click the agreements, read it and scroll down to the bottom of the agreement and fill up the relevant information. **Note: These 2 agreements are mandatory.**

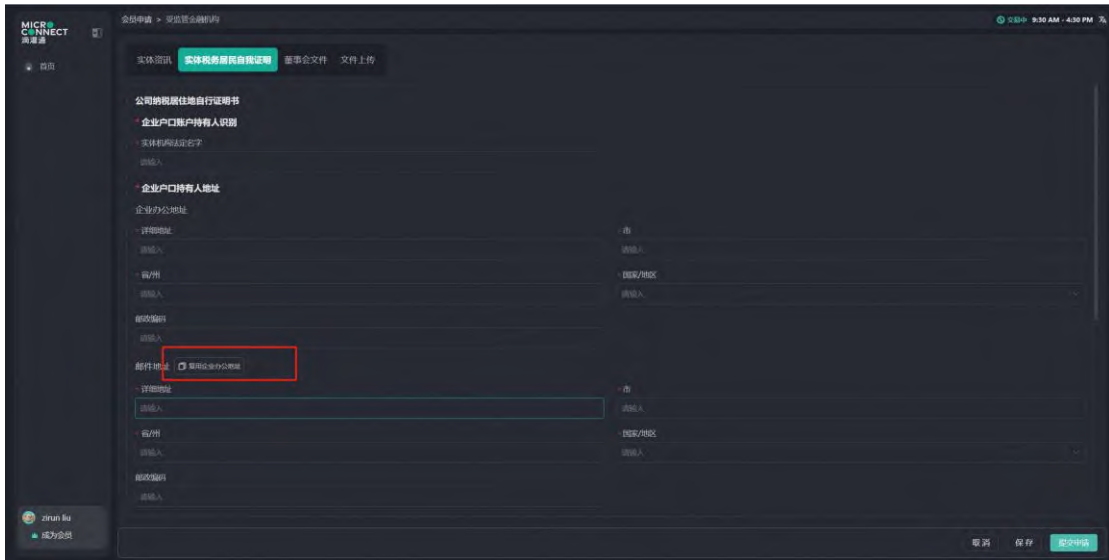
步驟 6: 下滑頁面，您將看到兩份協議，分別為《Member Service Agreement》及《DRO Investment Agreement》，請點擊協議，閱讀並滑動到底部，填寫您的信息並點擊確認鍵。

注：兩份協議均為必填。



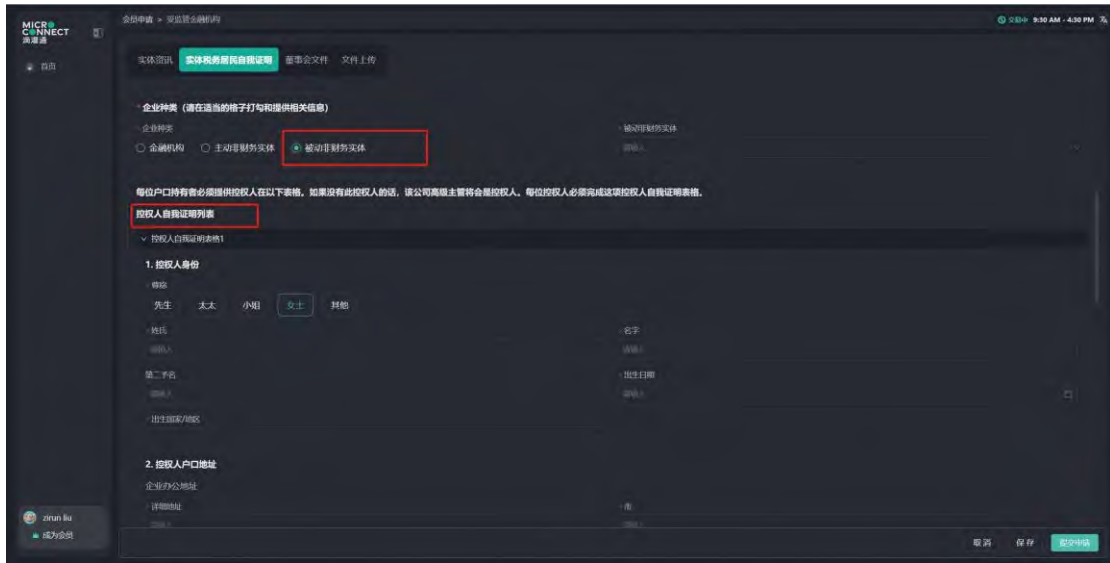
7th Step: After the first part of the form is completed, click “保存” to save it. On the second part of the form, applicant needs to fill up entity relevant information. **If your mailing address is the same as residence address, click “复用现居住地址” and the system will automatically copy and paste the info, applicant does not have to repeat filling up the same address.**

步驟 7: “实体资讯”表格填寫完畢，請點擊“保存”。進入第二部分“实体税务居民自我证明”，請申請人準確填寫所有企業信息。若您的郵寄地址與現居住地址一致，可直接點擊“复用现居住地址”按鈕，無需重複填寫。



8th Step: Please select your entity type: **Note: If your entity is a Passive NFE (被动非财务实体), please fill up the relevant info at the pop-up box below.**

步驟 8: 請勾選企業種類。注：若您的企業為“被動非財務實體”，您需要在下方彈出窗口填寫控權人自我證明表格。



9th Step: Please fill up the relevant entity tax information. Note: If you choose “理由 B”, please fill up the reason on why the tax information is unable to provide. You can click the appendix on top for reference.

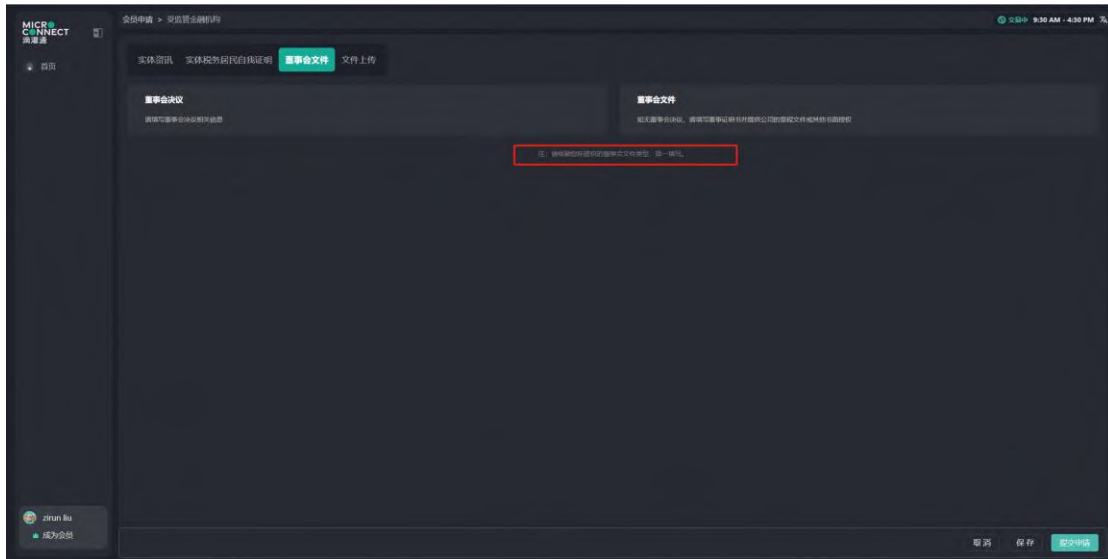
步驟 9: 請下滑填寫企業稅務信息。注：若您選擇“理由 B”，請在後方填寫無法獲得稅務編號的原因。您可在頁面上方下載參考附錄。



10th Step: Once the second part is completed, click “保存” to save the form. After that, applicant will enter the third part which is the Directors Documents. Please select the correct/appropriate documents that you’ll be providing – (**Board Resolution Document** or **Director Certificate**), select either one. Click “新增” to add more authorised persons if there’s more than one authorised person.

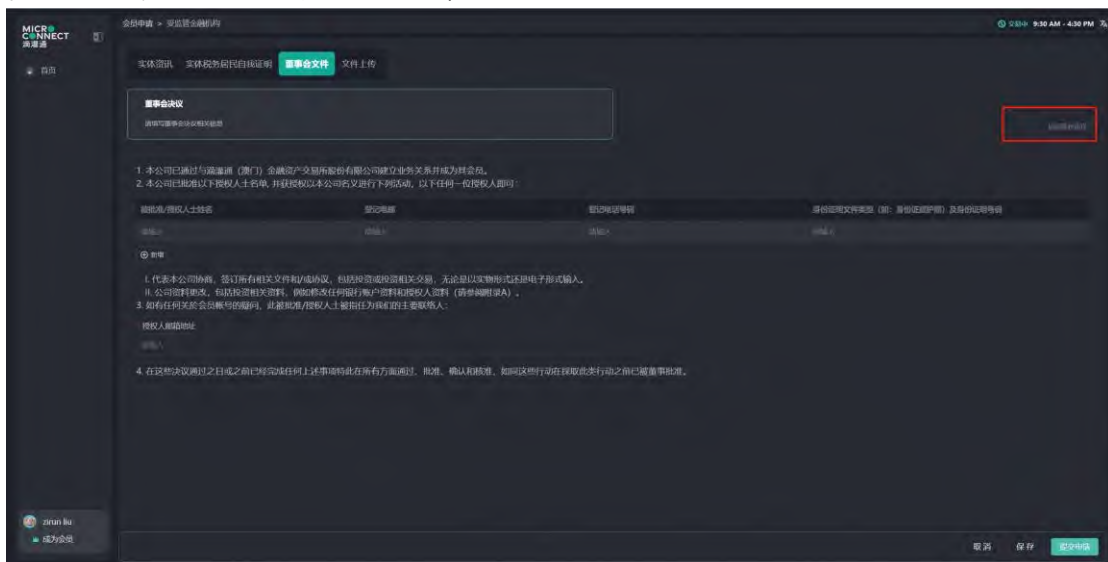
Note: The form that you fill up in the third part must be the same document that you upload in the fourth part. If you select Director Certificate, please also provide company’s constitutional documents or other written authorization.

步驟 10: 完成後請點擊“保存”，進入第三部分“董事會文件”，請您根據您所提供的文件類型（**董事會決議或董事證明書**），擇一填寫。請點擊“新增”添加多位授權人。注：您選擇的文件類型應與您在第四部分“文件上傳”中上傳的文件一致，如您填寫的文件是《董事證明書》，請您一併提供公司的章程文件或其他書面授權。



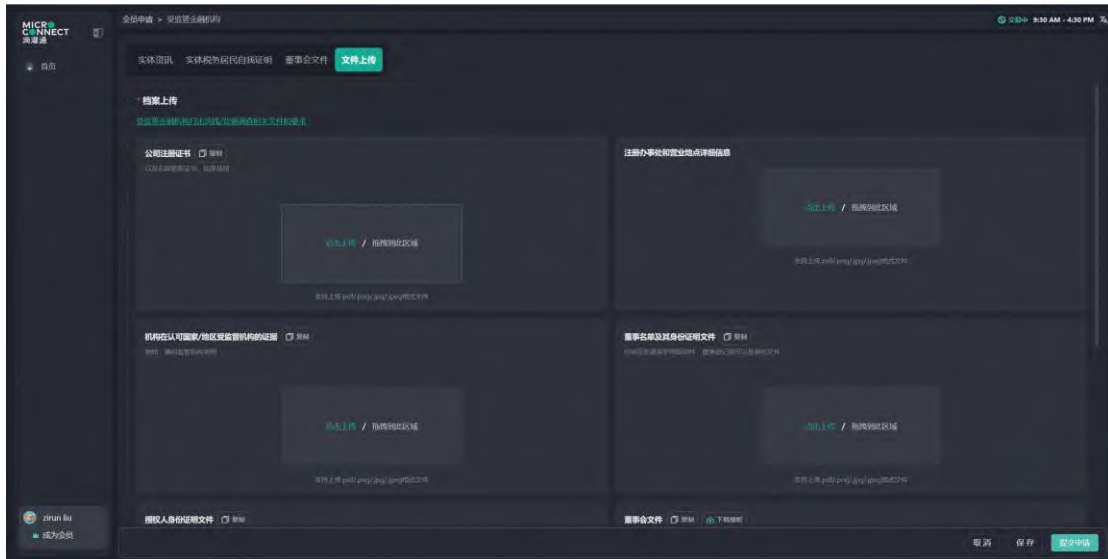
Applicant needs to check the required documents and fill in relevant information in detail. If you accidentally select the wrong file type, you can click the back button on the right to go back to the previous page and choose again.

請申請人核對需要填寫的文件，並詳細填寫相關信息。如果您不小心選錯文件類型，可點擊右側返回按鈕，回到上一級頁面重新選擇。



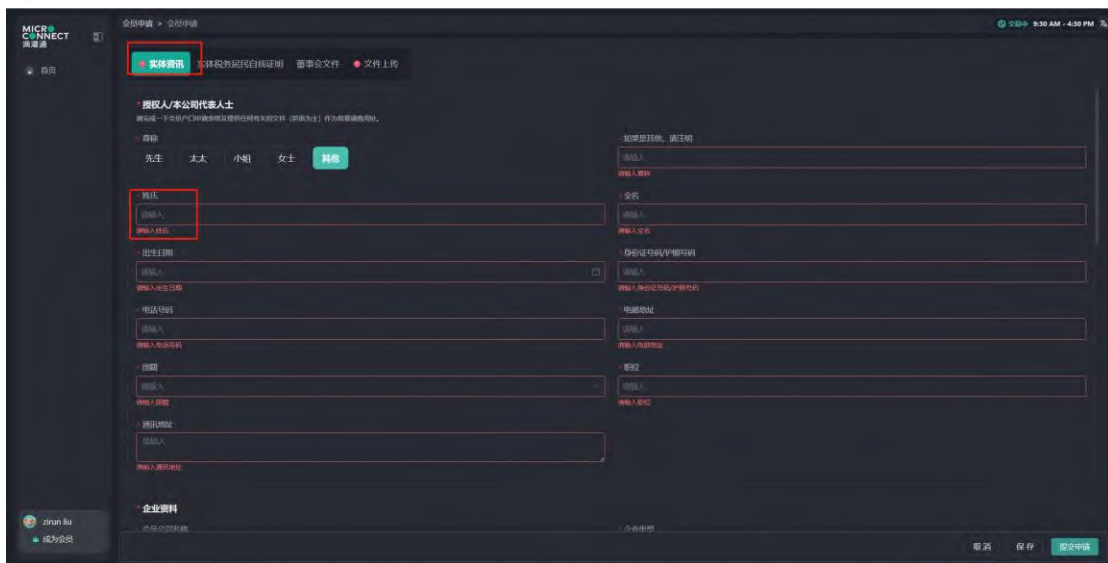
11th Step: Click “保存” to save the document. After that, applicant will enter the fourth part. Please follow the instructions to upload the document, all boxes are allowed to upload more than 1 files. Alternatively, you can drag the file to the respective box. **Note: Please upload the document in the correct box, do not upload all documents in one box.**

步驟 11: 請點擊“保存”，進入第四部分“文件上傳”，請您按照提示上傳所有文件，每個上傳區域均支持上傳多個文件，您可直接將文件拖拽到對應區域。注：請將文件上傳到正確的位置，請勿將所有文件上傳到同一區域內。



12th Step: Please click “保存” and then “提交申请” to submit your application. If you are unable to submit, please recheck if all the mandatory fields are filled up completely and all the documents are uploaded. We will prompt you in the navigation pane and required fields. After you have filled up the form, please click “提交申请” to submit.

步驟 12: 請您點擊“保存”並“提交申請”，若無法提交，請您檢查必填項是否填寫完畢，以及文件是否已全部上傳。我們會在導航窗格及必填區域提示您。請您在填寫完畢後再次點擊“提交申請”。



13th Step: You've submitted the form successfully, please wait patiently for our reply!

步驟 13: 您已成功提交申請，請耐心等待我們的回復！

