USER GUIDE

THE ELECTRONIC COMMUNICATION PLATFORM

Version 2.9

August 2017

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Appendices

Overview of the Electronic Communication Platform (ECP)

This user guide explains the operations of using the Electronic Communication Platform System (ECP) for participants and other stakeholders of Hong Kong Exchanges and Clearing Limited (HKEX) and its subsidiaries. The ECP users can use this platform to download files distributed to them and submit files to HKEX and its subsidiaries.

1.1. The ECP Homepage

The various functions of the ECP homepage are highlighted as per the figure below.

Figure 1: The ECP homepage

1.1.1 Global Header

Global Header appears at the top of the page throughout most pages in the ECP.

Figure 2: Global Header

1a) HKEX Logo – The logo appears at the top left corner of the global header. When you click the logo, it will link you to the homepage of the HKEX corporate website of the same language version in which you are using.

1b) ECP Menu Bar – The menu bar is the blue bar at the bottom of the global header. Once you log into the ECP, links to the 3 key functions will appear on the menu bar throughout the ECP. (Refer to Section 1.2 for details)

1c) Language Buttons – The ECP interface is available in three languages: English, Traditional Chinese and Simplified Chinese. You can choose your preferred language by clicking the language bar[1] at the top right hand corner of the ECP homepage.

1.1.2 Breadcrumb

Breadcrumb appears under the menu bar throughout most pages in the ECP. The static breadcrumb shows the page title of the current page you are on.

Figure 3: Breadcrumb

1.1.3 Links

Links appear on the left hand side of most pages in the ECP. These links will bring you to more information resources related to the ECP.
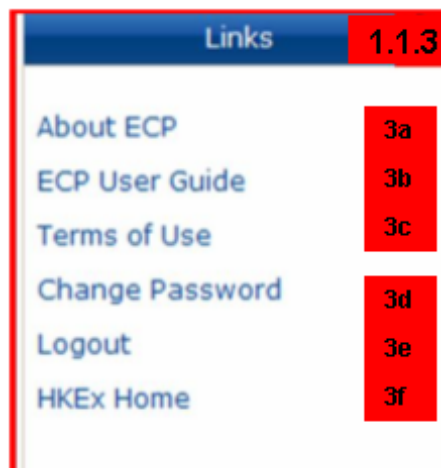
Figure 4: Links

3a) About ECP – Link to a brief overview of the ECP.

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[1] Your current login session will end if you switch from your preferred language to Simplified Chinese or from Simplified Chinese to another language after you have logged into the ECP. You will then be diverted to the login page again in order to continue your use of the ECP.

3b) ECP User Guide – Link to download the ECP User Guide.

3c) Terms of Use – Link to the Terms and Conditions of using the ECP. You are deemed to have accepted the Terms of Use once you log in the ECP.

3d) Change Password – Link to the Change Password page. (This link will only appear after you log in the ECP. This link is not being shown on the ECP homepage.)

3e) Logout – Link to log out of the ECP. (This link will only appear after you log in the ECP. This link is not being shown on the ECP homepage.)

3f) HKEX Home – Link to the homepage of HKEX corporate website.

1.1.4 Global Footer

Global Footer appears at the bottom of most pages in the ECP.

You can access the Disclaimer, Hyperlink Policy and Privacy Policy by clicking the hyperlinks.
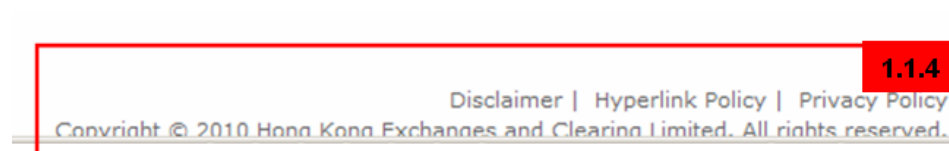
Figure 5: Global Footer

1.1.5 Login Box

Enter your registered login information into the "User ID" and "Password" fields to access the ECP. (Refer to Section 1.3.1 for details)

Figure 6: Login Box

1.2. The ECP Menu Bar

The ECP contains 3 key sections. These sections can be accessed via the links on the blue ECP menu bar at the bottom of the global header. You can swap between these 3 sections by clicking the links on the menu bar.

The 3 key sections are:

1) Download Corner (Refer to Section 1.4 for details on its function)
2) Submission (Refer to Section 1.5 for details on its function)
3) Activity Enquiry (Refer to Section 1.6 for details on its function)
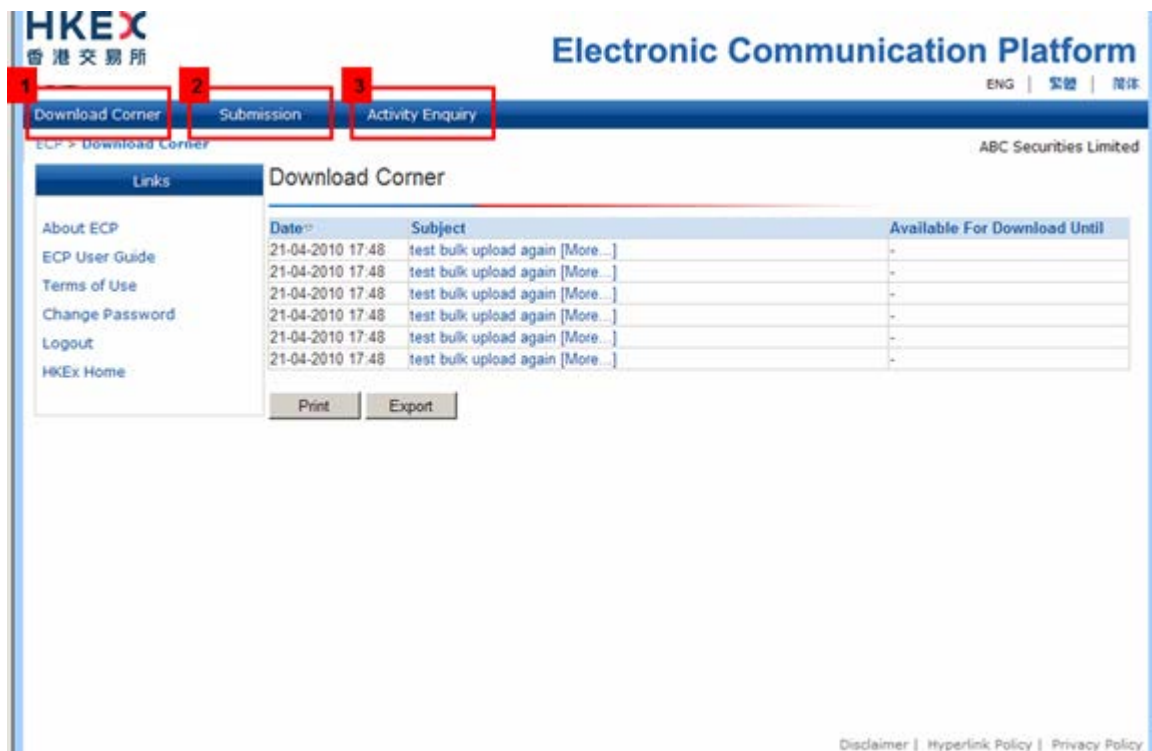
Figure 7: The ECP Menu Bar

1.3. Accessing the ECP

To access the ECP, first configure your Internet Explorer (IE) browser's setting. The IE versions shown below for illustration are IE 8 and IE11. For other IE versions, please consult your IT support or vendor on the settings required. Please follow the steps as illustrated below:

1) Open an Internet Explorer browser. Select Internet Options under the Tools menu.

IE 8 :	IE 11 :
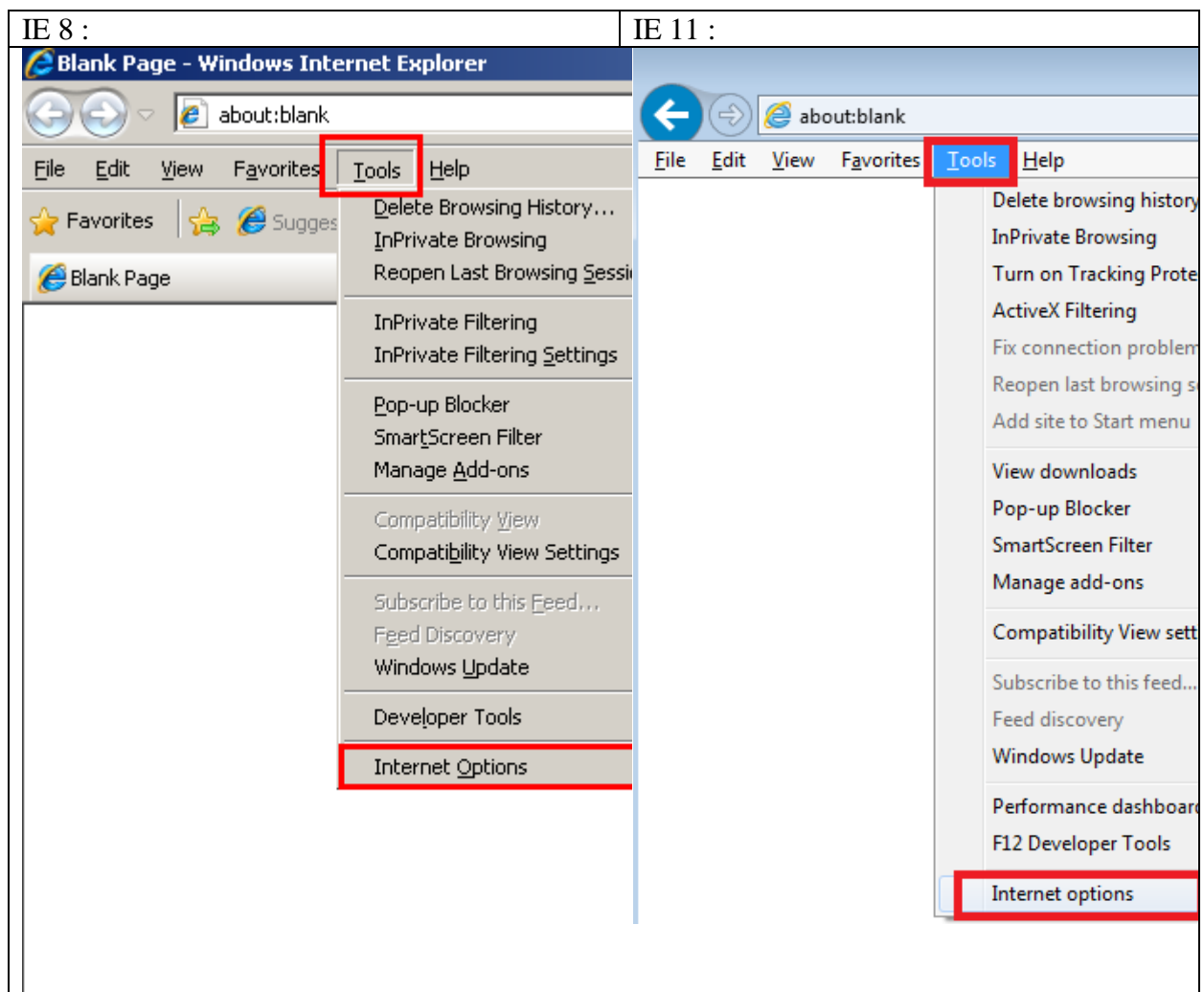
Figure 8: Select Internet Options under Tools menu

2) Select the "Security" tab in the Internet Options window.

IE 8:	IE 11:
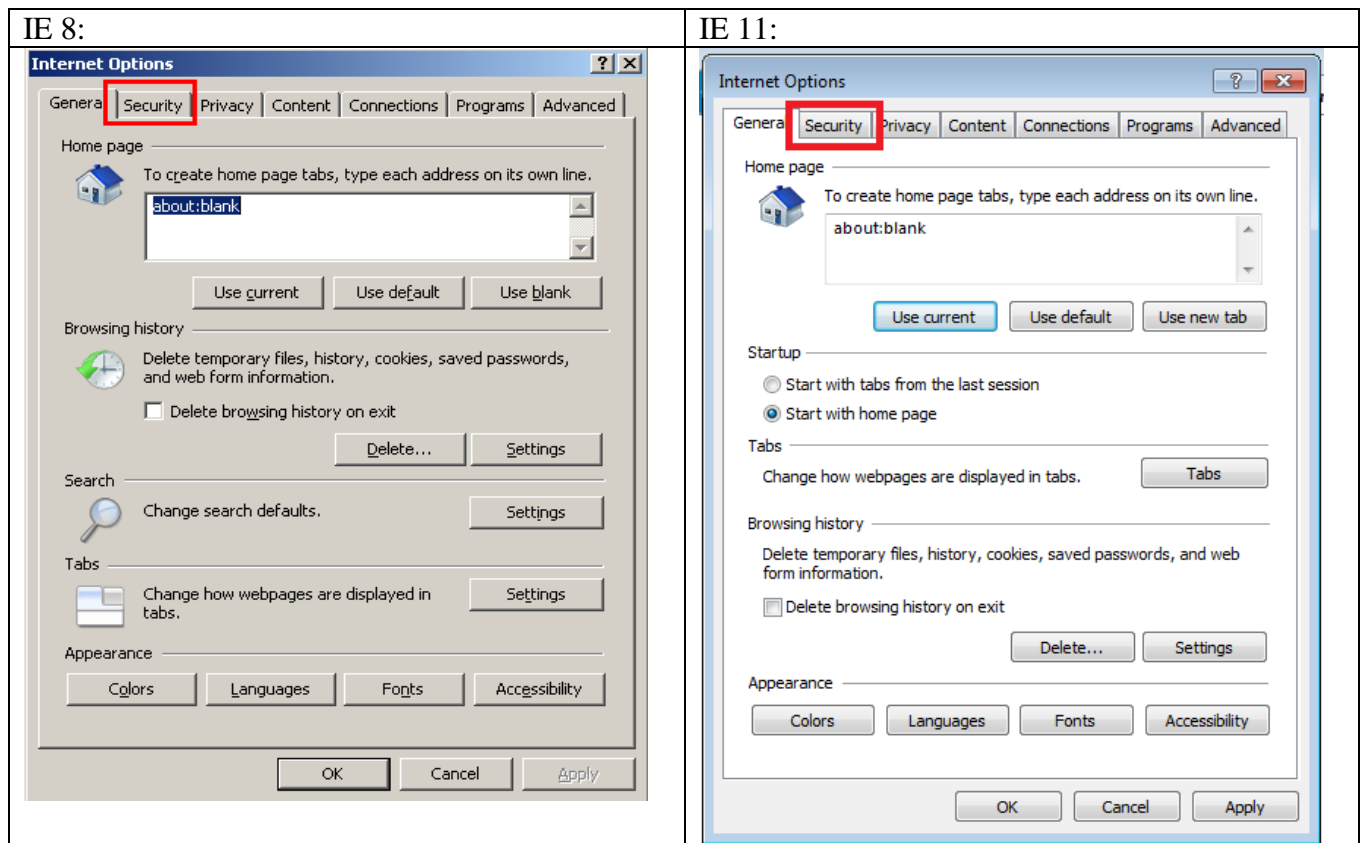
Figure 9: Select "Security" tab

3) Select "Trusted Sites" on the "Security" tab page and then click the "Sites…" button.

IE 8:	IE 11:
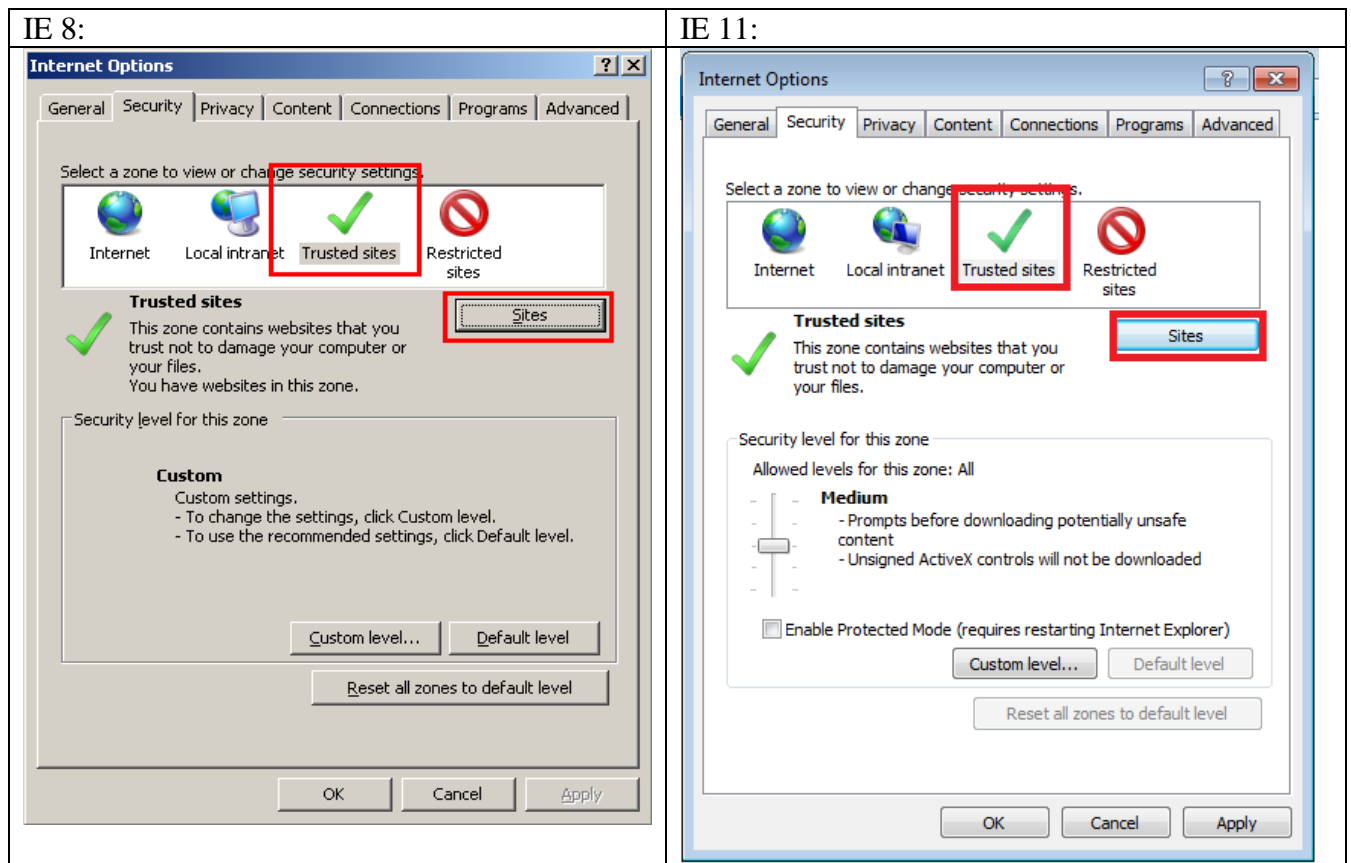
Figure 10: Select "Trusted Sites"

4) Enter "https://www.ecp.hkex.com.hk" in the text field under "Add this Web site to the zone." Click the "Add" button, and then click the "Close" button. The ECP URL will then be added to your browser as one of the trusted sites.

IE 8:	IE 11:
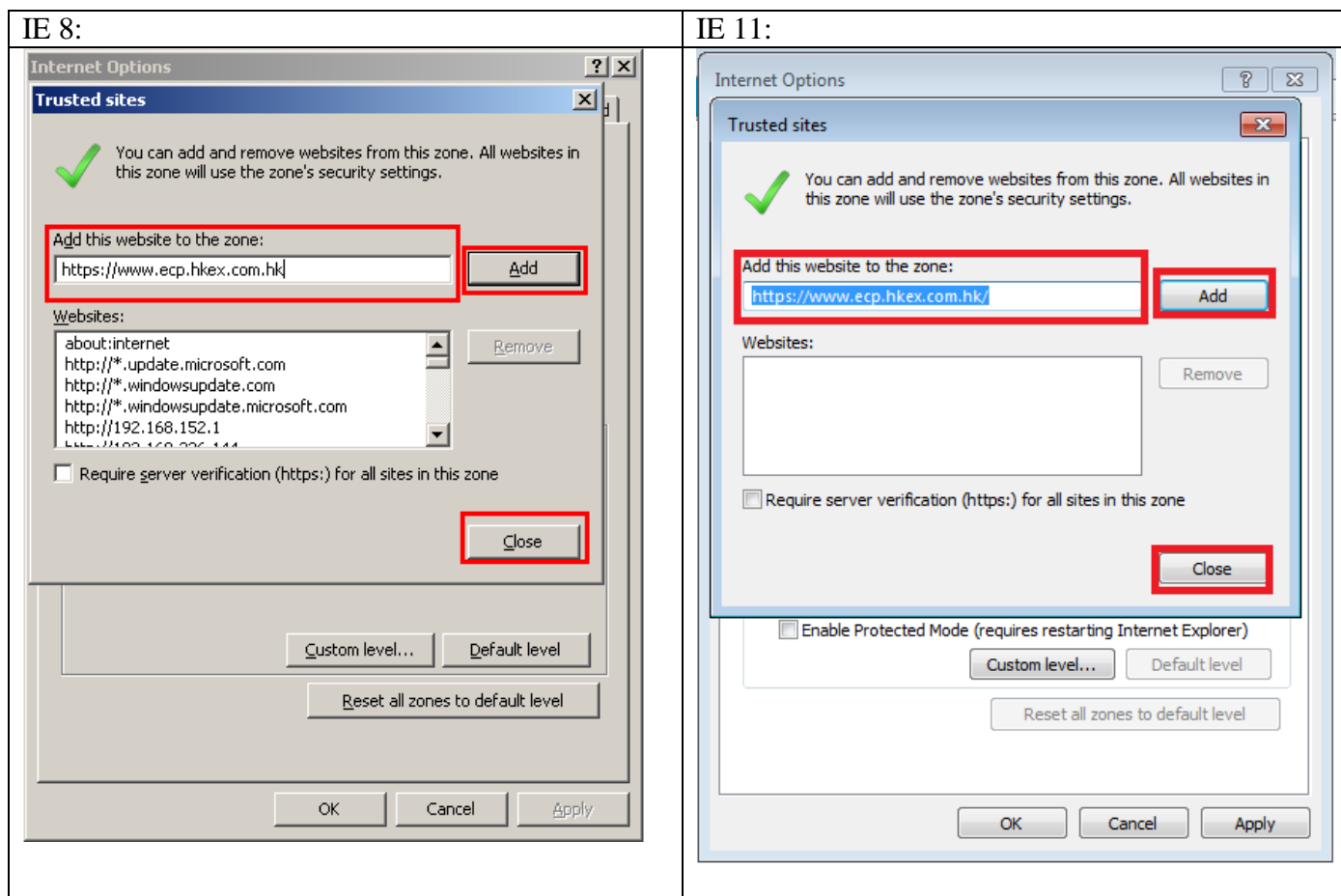
Figure 11: Add ECP web site address as trusted site

5) Select "Trusted Sites" on the "Security" tab page again and then click the "Custom Level"… button.

IE 8:	IE 11:
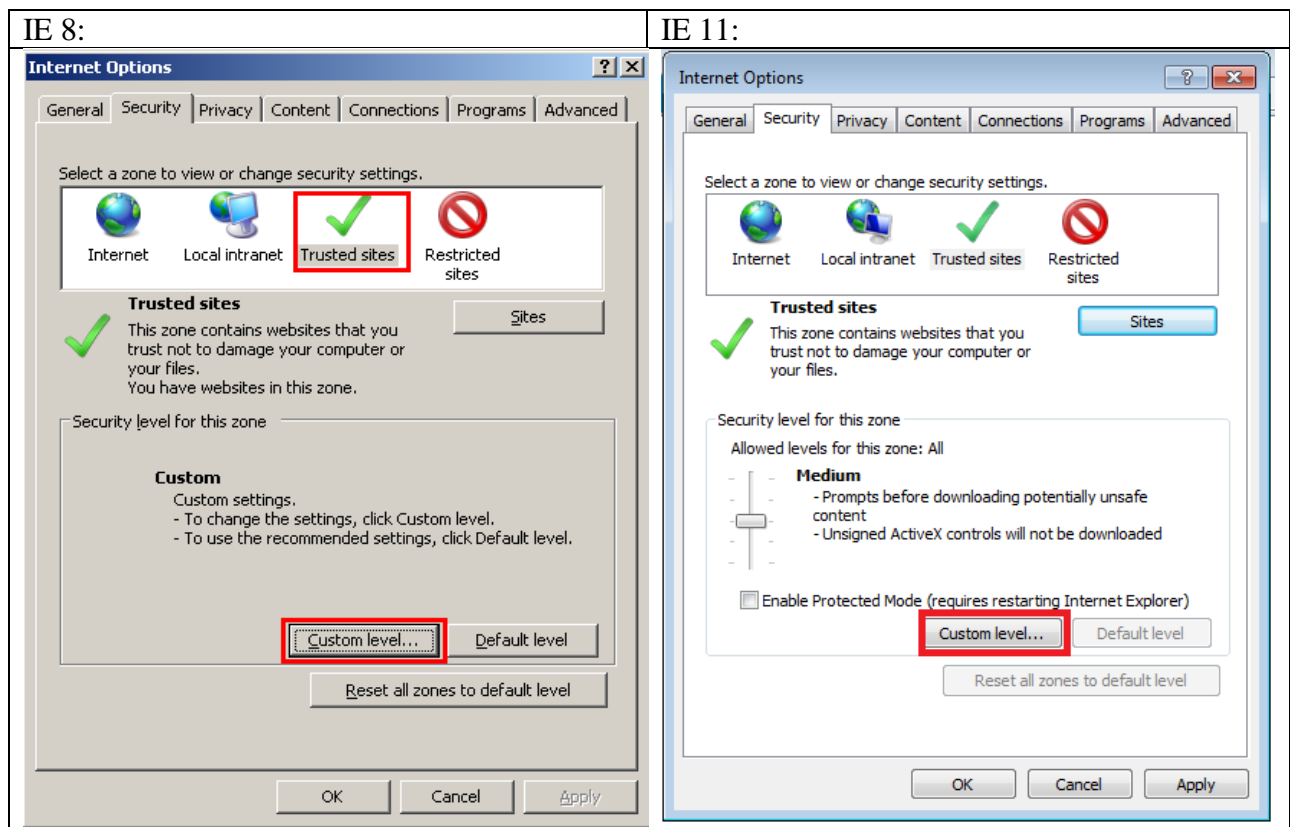
Figure 12: Modify Custom Level of trusted site

6) For IE 8, select "Enable" under both "Automatic prompting for file downloads" and "File download" under the "Downloads" setting and click the "OK" button. For IE 11, select "Enable" under "File download" and the "Downloads" setting and click the "OK" button.

IE 8:	IE 11:
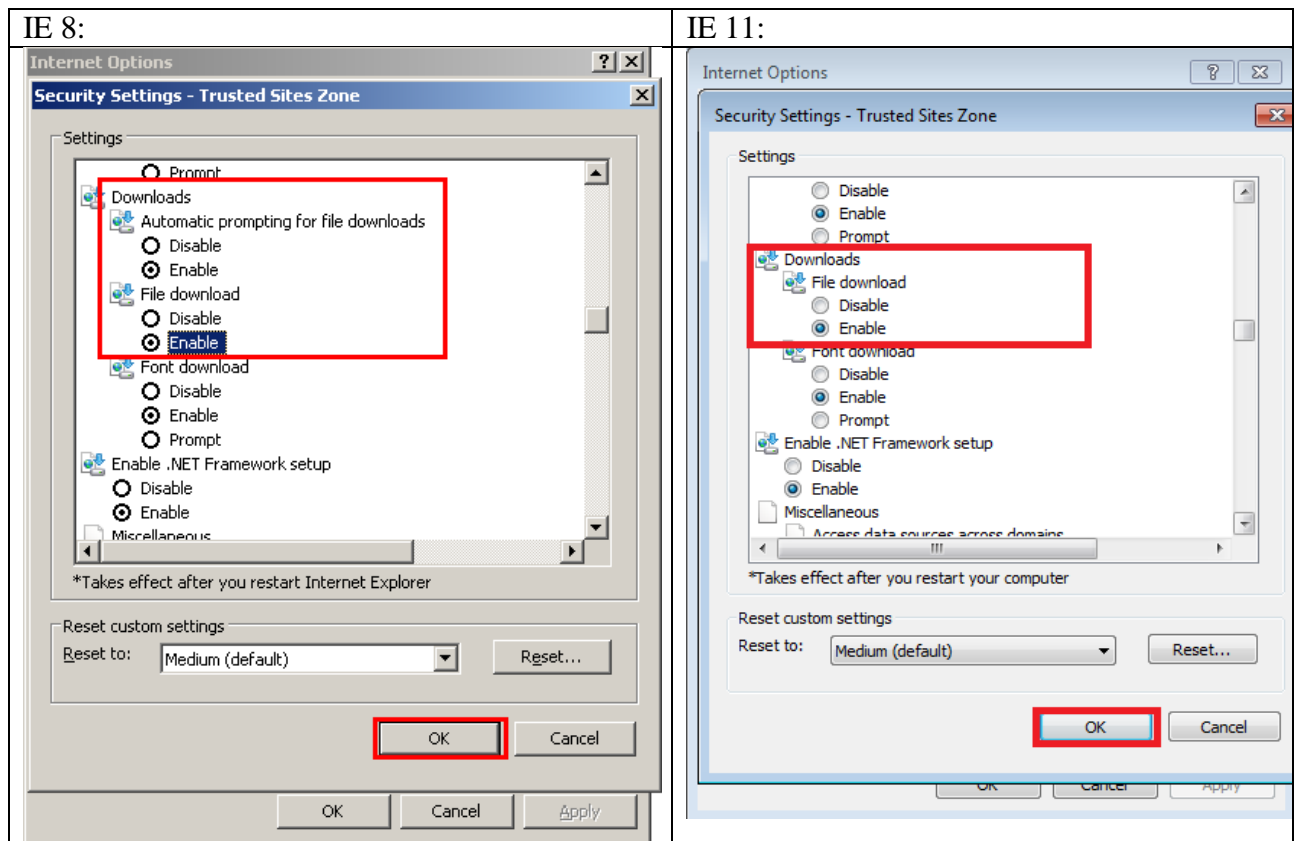
Figure 13: Enable File download in Downloads option

7) Click the "OK" button at the bottom of the "Security" page to complete the process.

IE 8:	IE 11:
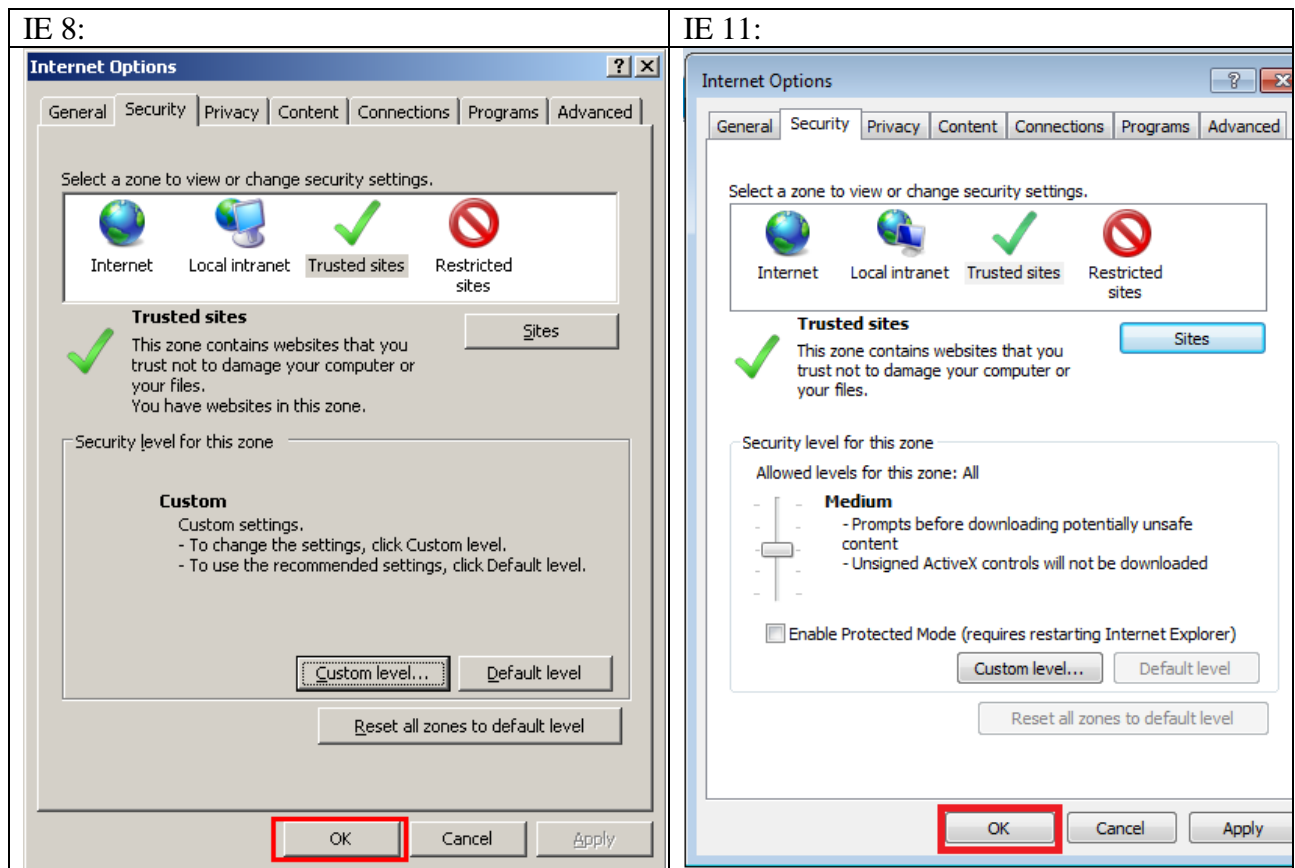
Figure 14: Click "OK" button to complete

You can now connect to the Internet through an Internet Explorer browser.[2] To access the ECP, input **https://www.ecp.hkex.com.hk** as the website destination, and the ECP homepage (the login page) will appear in a new window[3] (see Figure 1: The ECP Homepage).

1.3.1 Login the ECP

Input your User ID and Password in the corresponding fields on the ECP homepage. After filling in all information, click the "Login" button to log in to the ECP system or click the "Cancel" button to clear the fields and re-enter the login information.

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[2] The ECP website is compatible with Microsoft IE8, IE9, IE10 & IE11.
[3] If you are using IE8, IE9, IE10 or IE11, you must ensure that the pop up blocker of the IE is disabled.

Figure 15: Login Box

If you input an invalid user ID and/or password, the system will display an error message. In such case, please enter the correct login information and try again. Your user account will be suspended after a total of nine invalid login attempts. In such case, follow the instructions shown in the "Forget your ID/Password?" link at the login page to apply to HKEX for a password reset. The process of applying for a new password is the same as if you have forgotten your user ID.

Once you log in successfully, the "Submission" page or the "Download" page will appear as the landing page. Should there be download materials available from HKEX, the "Download" page will appear as the landing page by default.

1.3.2 Forget Password

If you forget your user ID and/or password, click "Forget your ID/Password?" in the login box and follow the instructions provided.

1.3.3 Change Password

To change your password, click "Change Password" under the "Links" section on the left hand side of the page after you log on to the ECP.

Input your old password into the "Old Password" field and new password into both the "New Password" and "Re-type New Password" fields. The password must be composed of 6 to 20 alphanumeric characters. You can click the "Clear" button for re-input or the "Back" button to return to the landing page (Download Corner / Submission) of ECP.

Once all fields are filled in, click the "Submit" button to save. If the operation is successful, the new password will be effective at your next login.

Figure 16: Change Password

Note: For security reasons, the system will prompt you to change your password for the following occasions:
1) After your first login
2) After your password has been reset by the administrator
3) After your password has expired (The password is set to expire after every 90 days)

1.3.4 Logout

You are required to log out of the system once you have completed your tasks on the ECP. To log out from the ECP system, click "Logout," which is under "Links" on the left hand side of the page.

Key functions of the ECP

There are 3 key functions within the ECP – Download, Submission, and Activity Enquiry.

1.4. Download

The "Download Corner" page displays a list of files which is available for you to download.

1.4.1 The "Download Corner" page

Click "Download Corner" on the ECP menu bar and a list of downloadable files will appear.

Figure 17: "Download Corner" page

The list of downloadable files appears in a table with 3 columns:

1) The first column, "Date," displays the date and time of the file being distributed to your user account.
2) The second column, "Subject," displays the subject of the files in hyperlink.
3) The third column, "Available for Download Until," displays the last available date to download the document.

By default, the list of downloadable files is sorted in reverse chronological order. You can re-arrange the files in chronological order by clicking the triangle icon besides "Date" in the header. The list can also be sorted by "Subject" or "Available for Download Until" by clicking the column header.

1.4.2 Download a file

To download a file, click the hyperlink of the file under "Subject".

Figure 18: Download a file on "Download Corner" page

The system may prompt a security alert of "To help protect y…" in a separate window. Click on the alert message and select "Download file…"
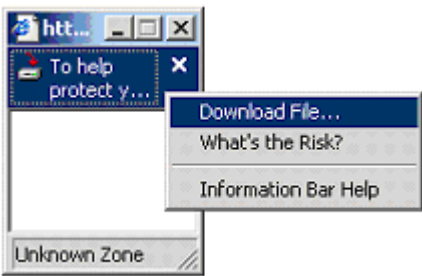
The system will then prompt a file download message for you to open or save the file. Click the "Open" button to open the file immediately, or click the "Save" button to save the file to your local drive. Otherwise, click the "Cancel" button to cancel the action and return to the "Download Corner" page.
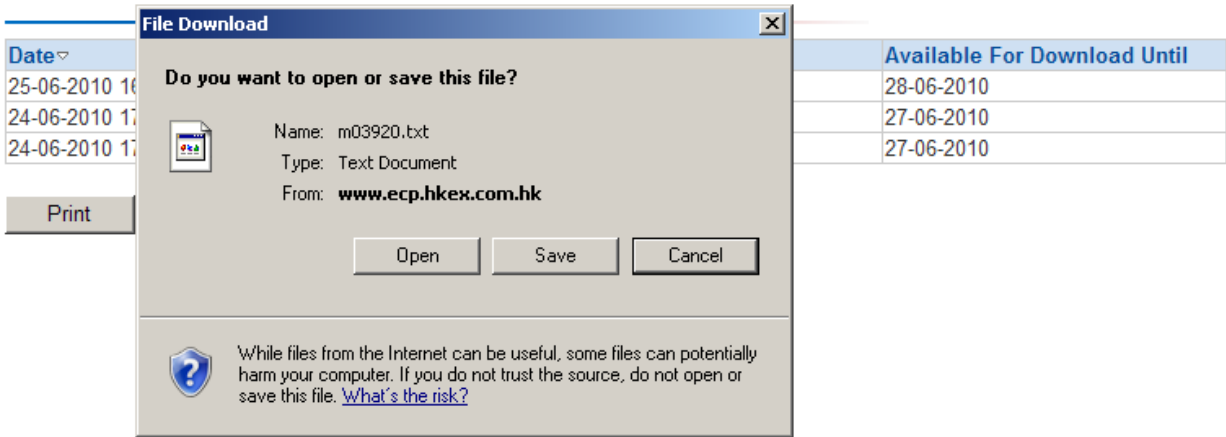
Figure 19: Download a file on "Download Corner" page

Note: If a detailed description is available, a [More…] link next to the subject will appear. Click the [More…] link to expand the description and click the [-] link to hide the description again.

Figure 20: [More…] description on "Download Corner" page

1.4.3 Print the "Download Corner" page

To print the "Download Corner" page, click the "Print" button below the list of files for download. The system will then prompt a message for you to select a printer in the print window. After selecting the printer, click the "Print" button to start printing.
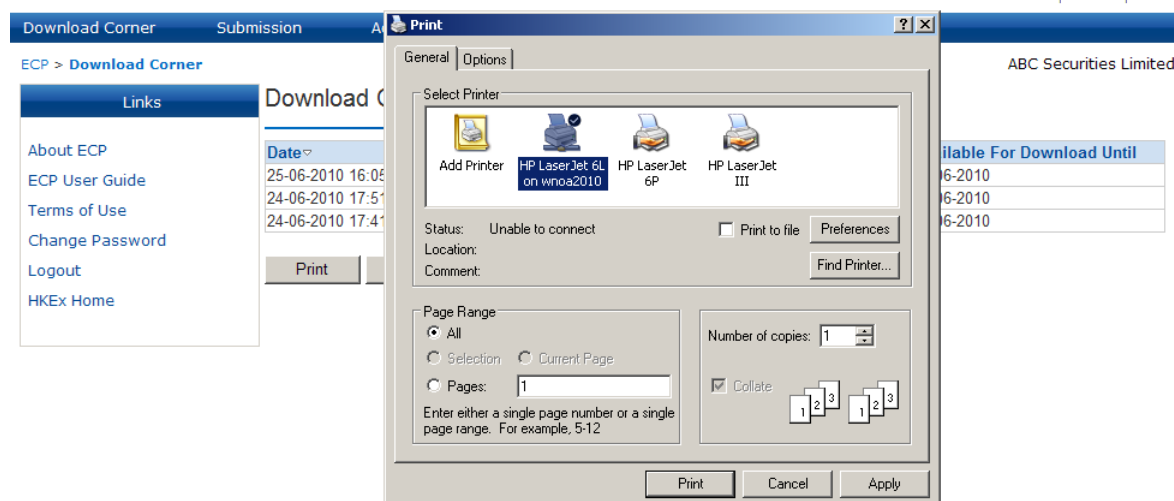
Figure 21: Print the "Download Corner" page

1.4.4 Export the list of files for download

To export the list of downloadable files on the "Download Corner" page, click the "Export" button located underneath the list for download. The system will then prompt a file download message for you to open or save the file. Click the "Open" button to open the file or the "Save" button to save the file to your local drive. Otherwise, click the "Cancel" button to cancel the action and return to the "Download Corner" page.
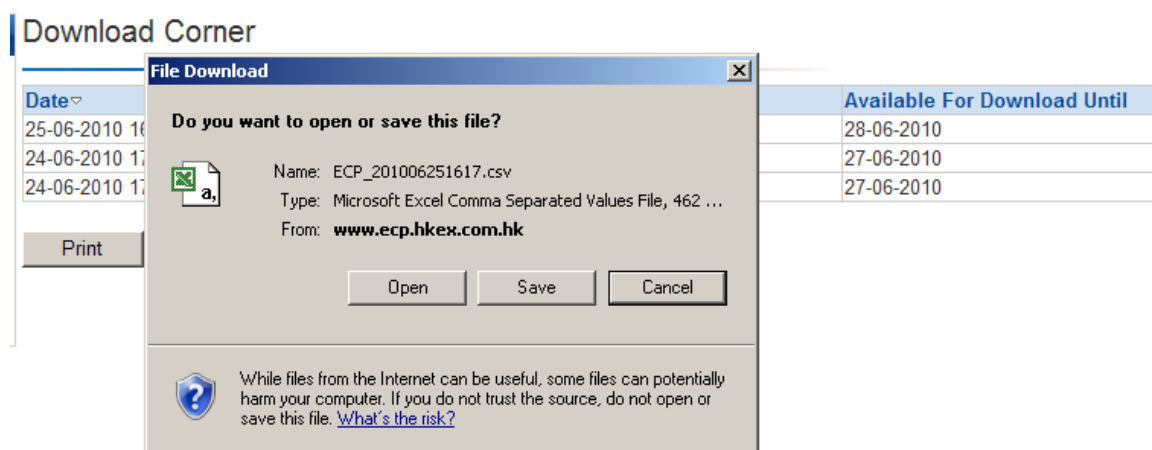
**Figure 22: Save the list for download on "Download Corner" page**

Note: The list will be exported to a comma separated value (CSV) file.

Figure 23: Sample CSV file

1.5. Submission

You can submit files to HKEX and/or its subsidiaries by using the submission function on the "Submission" page. This section lays out the guidelines for using the submission function. Please refer to the Appendix for further guidelines in submitting specific types of reports.

1.5.1 The "Submission" page

Click "Submission" on the ECP menu bar and a list of submission types will appear.

Figure 24: List of Submission type on "Submission" page

The submission types appear as hyperlinks. Select the appropriate submission type by clicking the hyperlink.

Figure 25: Select Submission type on "Submission" page

1.5.2 Print the "Submission" page

To print the list of submission types, click the "Print" button below the list. The system will then prompt a message for you to select a printer in the print window. After selecting a printer, click the "Print" button to start printing.
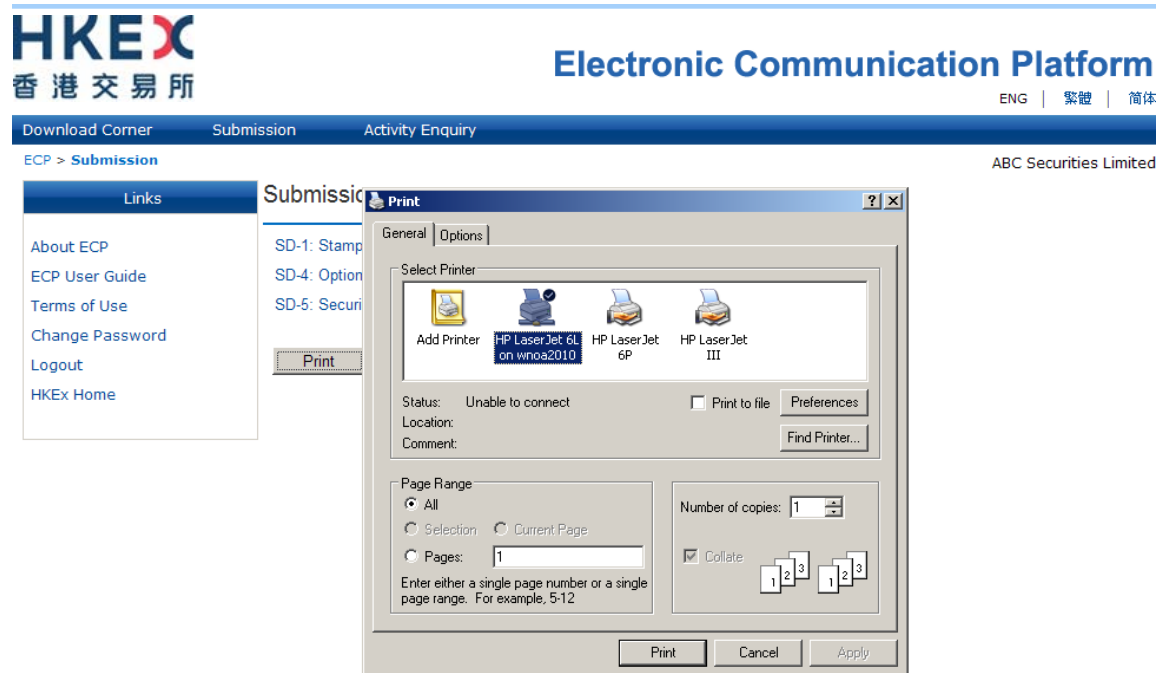

Figure 26: Print the "Submission" page

1.5.3 Submit a File

After selecting the submission type, you will be linked to the landing page of the selected submission type.

Figure 27: Landing page of selected Submission type

Depending on the setup of the submission type, you may be required to enter the Trade Date or Settlement Date. Submission requires input of date if either the "Trade Date" or "Settlement Date" field appears on the page.

You can either type in the date in DD-MM-YYYY format directly in the field or click the calendar icon 🗓 to select the date.

Figure 28: Select Trade / Settlement date

After selecting the date, click the "Browse" button in the "File Name" field to select the file from your local drive. Attach the file, and click the "Submit" button to upload the file to ECP. Otherwise, you can click the "Clear" button for re-input or the "Back" button to return to the list of submission types.

Figure 29: Upload a file

Clicking the "Submit" button will prompt a confirmation message asking you to re-confirm the submission to the designated submission type. Click the "OK" button to confirm the submission or the "Cancel" button to cancel the submission and return to the previous screen.
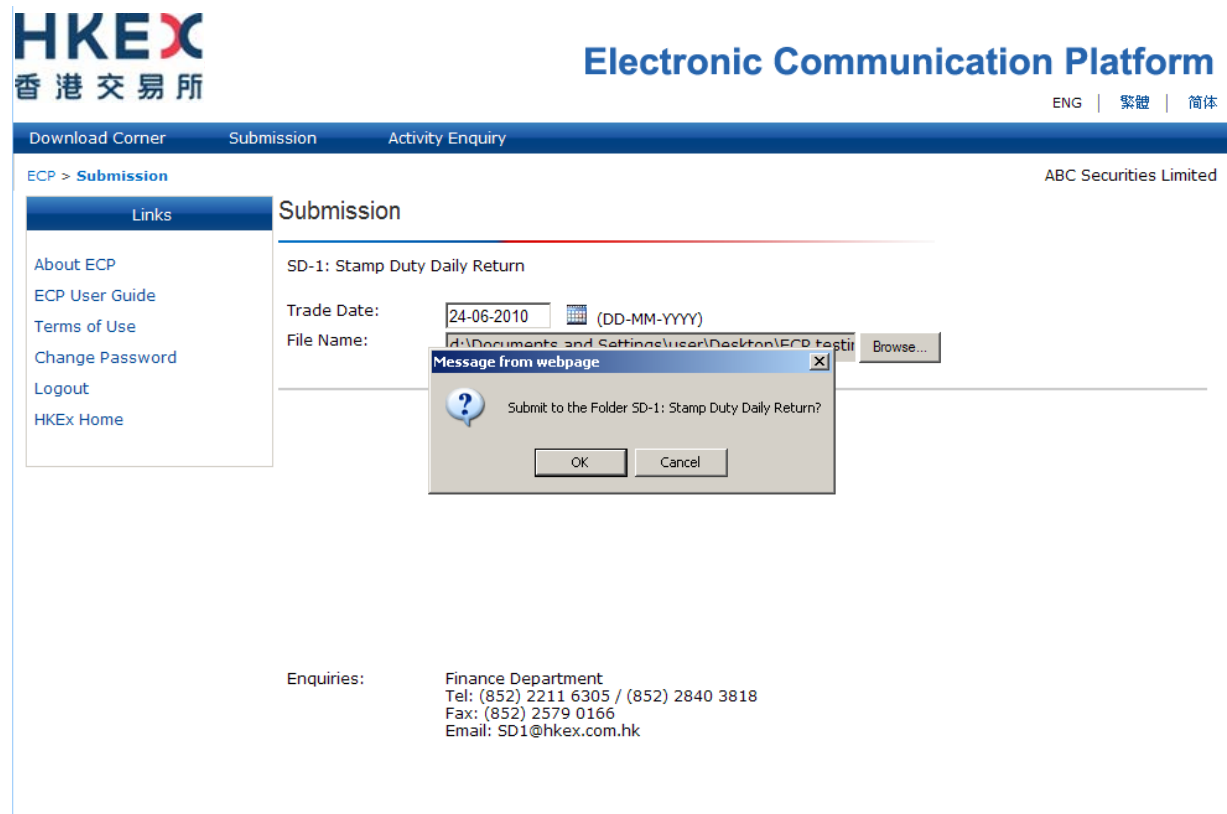
Figure 30: Submit a file

If the file is submitted successfully, a confirmation message will appear stating that the submission process is successfully completed. Click the "OK" button on the confirmation message.

Figure 31: Confirm a file submission

After clicking the "OK" button, you will see the same confirmation message in text appearing on the submission page underneath the "File Name" field. This message confirms that your submission has been completed successfully.

Figure 32: File submission completed successfully

Note: An error message will appear if the submitted file does not fulfill the file requirements predefined by HKEX (See Appendices for details). In these cases, re-check the file to ensure that requirements are met. Should the problem persist, contact HKEX for assistance by using the enquiries information shown at the bottom of the submission page.
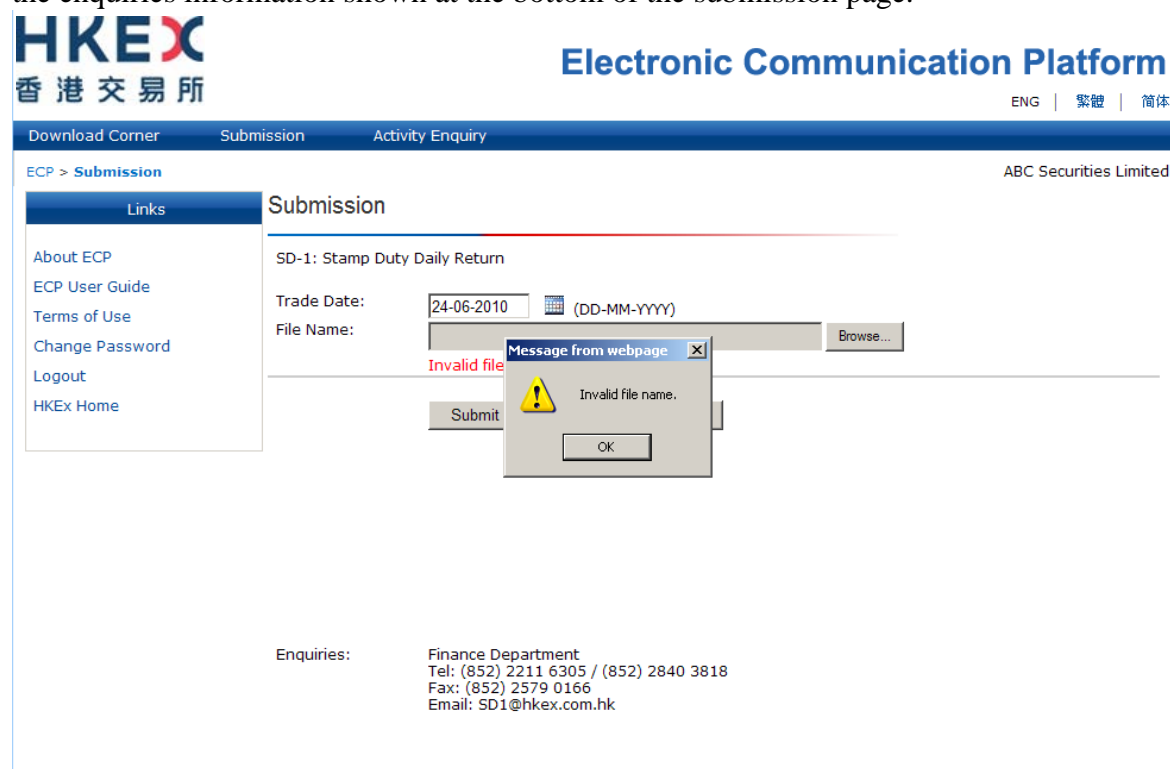
Figure 33: Example of error message during file submission process

1.6. Activity Enquiry

You can view the activities performed by your own user ID or those of other users in your firm by using the activity enquiry function on the "Activity Enquiry" page.

1.6.1 The "Activity Enquiry" page

Click "Activity Enquiry" on the ECP menu bar and an enquiry menu will appear.

Figure 34: "Activity Enquiry" page

1.6.2 Generate Activity Enquiry Report

Define the following criteria on the "Activity Enquiry" page:

Activity Type: Select the type of activity to record on the activity enquiry report.

Click on the arrow to trigger the predefined drop down menu of "Activity Type". You can select "All" activities performed or any one of the specific activity listed in the drop down menu. The activity type is set as "All" by default.

Figure 35: Select Activity Type

From: / To: Set the date and time range of the activity enquiry report.

You can choose the date and time range of the activity enquiry report by selecting the date in the "From" and "To" field. Both fields are set as current day by default. You can either type the date in DD-MM-YYYY format directly into the field or click the calendar icon to select the date.

Note: The ECP allows enquiry of activities for a range of no more than one month. If you would like to retrieve activities for more than the preset range of one month, you will need to perform the Activity Enquiry several times.

Figure 36: Select date and time range

<u>Enquire Activity Of:</u> Select whose activities to display on the activity enquiry report.

You can choose to review the activities performed by your own user ID, your own user group or all users within your firm. Click the arrow in the "Enquire Activity Of:" field and make the selection via the predefined drop down menu.

Figure 37: Select "Enquiry Activity Of"

After defining all criteria, click the "Submit" button to generate the Activity Enquiry Report. Otherwise, you can click the "Clear" button for re-input or the "Back" button to return to the landing page ("Download Corner" page / "Submission" page) of ECP.

1.6.3 Activity Enquiry Report

The Activity Enquiry Report will be shown in a new window after clicking the "Submit" button. The report provides the activity information in a table format and shows 20 activity log records per page. To read information on other pages, select the page number located underneath the table.

Activity Enquiry Report
Print date   28-06-2010
Activity From: 25-06-2010 00:00
To: 28-06-2010 23:59

Date and Time	User ID	User Group	Function Name	Description	File Name	Status
28-06-2010 10:37	M03920SDHYK	SD	Activity Enquiry	-	-	Successful
28-06-2010 10:37	M03920SDHYK	SD	Activity Enquiry	-	-	Successful
28-06-2010 10:37	M03920SDHYK	SD	Login	-	-	Successful
25-06-2010 16:34	M03920SDHYK	SD	Logout	-	-	Successful
25-06-2010 16:28	M03920SDHYK	SD	Activity Enquiry	-	-	Successful
25-06-2010 16:25	M03920SDHYK	SD	Submission	SD-1: 印花税－日報表	SD1_03920_20100625.csv	Successful
25-06-2010 16:18	M03920SDHYK	SD	Download Corner	-	m03920.txt	Successful
25-06-2010 16:14	M03920SDHYK	SD	Login	-	-	Successful
25-06-2010 16:14	M03920SDHYK	SD	Logout	-	-	Successful
25-06-2010 16:08	M03920SDHYK	SD	Download Corner	-	m03920.txt	Successful
25-06-2010 16:08	M03920SDHYK	SD	Download Corner	-	m03920.txt	Successful
25-06-2010 16:03	M03920SDHYK	SD	Download Corner	-	m03920.txt	Successful
25-06-2010 16:03	M03920SDHYK	SD	Login	-	-	Successful

Total number of record(s): 13

Print   Save

Figure 38: The Activity Enquiry Report

The activity information displayed in the Activity Enquiry Report include the following:

- Date and Time: Date and time of which the activity is performed.
- User ID: The user ID which performed the activity.
- User group: The user group to which the user ID belongs.
- Function name: The activity performed.
- Description: The submission type. (Applicable to submission activity only.)
- File name: The name of the file which the user submitted. (Applicable to submission activity only)
- Status: The status of the activity performed. (Suspended (Applicable to login activity only) / Successful / Failed)

1.6.4 Download files submitted to a Submission Type which you are allowed to access

Files submitted to an accessible Submission Type will appear as hyperlinks under the "File Name" column in the Activity Enquiry Report. Files submitted by other ECP users in different user groups will appear as plain text only.

To download the submitted file, click the hyperlink.

Activity Enquiry Report
Print date   28-06-2010
Activity From: 25-06-2010 00:00
To: 28-06-2010 23:59

Date and Time	User ID	User Group	Function Name	Description	File Name	Status
28-06-2010 10:37	M03920SDHYK	SD	Activity Enquiry	-	-	Successful
28-06-2010 10:37	M03920SDHYK	SD	Activity Enquiry	-	-	Successful
28-06-2010 10:37	M03920SDHYK	SD	Login	-	-	Successful
25-06-2010 16:34	M03920SDHYK	SD	Logout	-	-	Successful
25-06-2010 16:28	M03920SDHYK	SD	Activity Enquiry	-	-	Successful
25-06-2010 16:25	M03920SDHYK	SD	Submission	SD-1: 印花税－日報表	SD1_03920_20100625.csv	Successful
25-06-2010 16:18	M03920SDHYK	SD	Download Corner	-	m03920.txt	Successful
25-06-2010 16:14	M03920SDHYK	SD	Login	-	-	Successful
25-06-2010 16:14	M03920SDHYK	SD	Logout	-	-	Successful
25-06-2010 16:08	M03920SDHYK	SD	Download Corner	-	m03920.txt	Successful
25-06-2010 16:08	M03920SDHYK	SD	Download Corner	-	m03920.txt	Successful
25-06-2010 16:03	M03920SDHYK	SD	Download Corner	-	m03920.txt	Successful
25-06-2010 16:03	M03920SDHYK	SD	Login	-	-	Successful

Total number of record(s): 13

Print   Save

Figure 39: Download submitted file

The system will then prompt a file download message for you to open or save the file. Click the "Open" button to view the file, or the "Save" button to save the file to your local drive. Otherwise, click the "Cancel" button to cancel the action and return to the Activity Enquiry Report.

Activity Enquiry Report
Print date   28-06-2010
Activity From: 25-06-2010 00:00
To: 28-06-2010 23:59

Date and Time	User ID	User Group	Function Name	Description	File Name	Status
28-06-2010 10:37	M03920SDHYK					Successful
28-06-2010 10:37	M03920SDHYK					Successful
28-06-2010 10:37	M03920SDHYK					Successful
25-06-2010 16:34	M03920SDHYK					Successful
25-06-2010 16:28	M03920SDHYK					Successful
25-06-2010 16:25	M03920SDHYK				3920_20100625.csv	Successful
25-06-2010 16:18	M03920SDHYK				0.txt	Successful
25-06-2010 16:14	M03920SDHYK					Successful
25-06-2010 16:14	M03920SDHYK					Successful
25-06-2010 16:08	M03920SDHYK				0.txt	Successful
25-06-2010 16:08	M03920SDHYK				0.txt	Successful
25-06-2010 16:03	M03920SDHYK				0.txt	Successful
25-06-2010 16:03	M03920SDHYK					Successful

File Download

Do you want to open or save this file?

Name: SD1_03920_20100625.csv
Type: Microsoft Excel Comma Separated Values File
From: ecp.hkex.com.hk

[Open]   [Save]   [Cancel]

While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. What's the risk?

Total number of record(s): 13

[Print]   [Save]

Figure 40: Save submitted file

1.6.5 Print the Activity Enquiry Report

To print the Activity Enquiry Report, click the "Print" button located at the bottom of the page. The system will then prompt a message for you to select a printer in the print window. After selecting the printer, click the "Print" button to start printing.

Figure 41: Print the Activity Enquiry Report

1.6.6 Save the Activity Enquiry Report

To save the Activity Enquiry Report, click the "Save" button located at the bottom of the page. The system will then prompt a message for you to save the file. Select HTML in the "Save as Type" field and then click the "Save" button to save the file to your local drive. Otherwise, click the "Cancel" button to cancel the action and return to the Activity Enquiry Report.
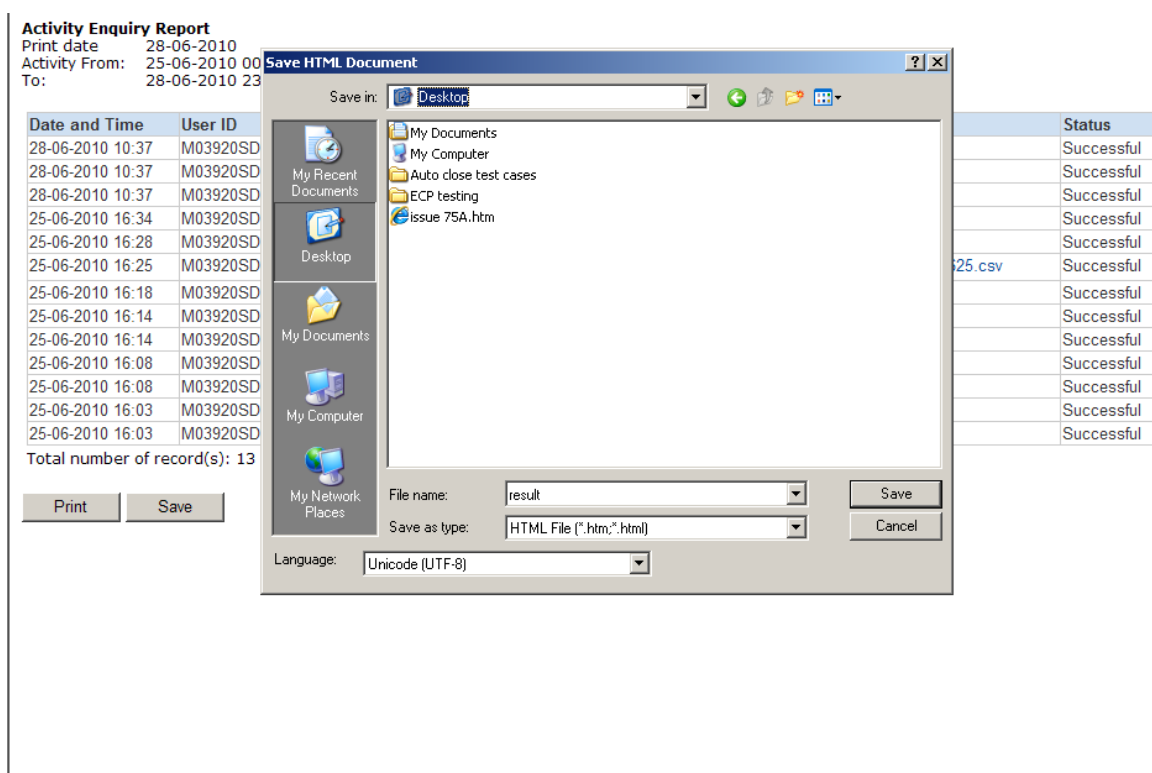
Figure 42: Saving the Activity Enquiry Report

Regular housekeeping tasks

The ECP will perform certain housekeeping tasks on a daily basis including the following:

Download Corner:
Files in the Download Corner are kept for 3 calendar months, after which they are automatically deleted from the ECP unless date is specified under "Available for Download Until".

Submission:
Files will be kept for download for 3 calendar months*, after which they are automatically deleted from the ECP. The names of deleted files will appear as plain text instead of hyperlink under the "File Name" column in the Activity Enquiry Reports. You should generate Activity Enquiry Reports and relevant files (associated with the hyperlinks) periodically.

Activity Enquiry Report:
Records of activities (e.g. login, submission, download, change password) will be kept for 3 calendar months, after which the records are automatically deleted from the ECP.

* For Large Open Position Report of Beneficial Identity and Transaction Originator for Index futures/options contract or other futures contract and for Stock Options contract, the files will be kept for download for 1 week.

Appendix A: Submission of Stamp Duty Daily Return (Form SD-1)

Appendix A.1: Form SD-1 submission process and validations

Clicking the hyperlink of the Form SD-1 on the submission list page will direct you to the submission page of the form as shown below:

Figure 43: Landing page of Submission type SD-1

Input a valid trade date of the Form SD-1 and attach a valid Form SD-1 and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SD-1 is accepted. These validations include (but are not limited to) the following:

- The input date is a valid business date no later than today; and
- The trade date embedded in the file name matches with the input date; and
- The submission is not overdue (i.e. submission period is between 4 pm on T day and 11:00 am on T+2 day); and
- The file name is valid (i.e. it complies with the requirement of SD1_xxxxx_yyyymmdd.csv where xxxxx is the Firm ID with a leading zero and yyyymmdd is the trade date of the Form SD-1); and
- The file extension is CSV; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix A.2: Handling of duplicated submissions of the Form SD-1

Each EP firm should only submit one Form SD-1 for each trade date to the ECP. In the case that a Form SD-1 for the same date is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix A.3: Late submission handling of the Form SD-1

The submission cut off time for the Form SD-1 is 11:00 am on T+2 day. The ECP automatically rejects any late submissions with an error message. You should follow the steps below for any late submission:

1. Contact HKEX based on the contact details shown on the SD-1 submission page
2. Deposit the relevant stamp duty payment into the HKEX's designated bank account
3. Fax a hardcopy Form SD-1 with authorized signature together with the proof of payment (e.g. payment slip) to HKEX

Appendix A.4: Handling of exceptional scenarios

For certain exceptional cases (e.g. half trading day and typhoon scenarios), the submission window for SD-1 may be extended and the table below acts as a guideline for the submission cut off time for these cases:

Scenarios (on T+2 day)	ECP submission cut off time for T days stamp duty
Normal Cases	11 am on T+2 day
Typhoon no. 8 or above hoisted	
Case 1: hoisted before 7 am and lowered after 12 pm	11 am on next trading day (i.e. 11 am on T+3 day)
Case 2: hoisted before 7 am and lowered before 12 pm	3 pm on T+2 day
Case 3: hoisted between 7 am and 11 am and lowered after 12 pm	11 am on next trading day (i.e. 11 am on T+3 day)
Case 4: hoisted between 11 am and 3 pm	No change to normal operations (i.e. 11 am on T+2 day)
Case 5: hoisted after 3 pm	No change to normal operations (i.e. 11 am on T+2 day)
Black-rainstorm warning issued	
Case 1: issued before 7 am and lowered after 12 pm	11 am on next trading day (i.e. 11 am on T+3 day)
Case 2: issued before 7 am and lowered before 12 pm	3 pm on T+2 day
Case 3: issued between 7 am and 9 am and lowered before 12 pm	3 pm on T+2 day
Case 4: issued between 7 am and 9 am and lowered after 12 pm	11 am on next trading day (i.e. 11 am on T+3 day)
Half trading day	Next trading day (i.e. 11 am on T+3 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate

Major interruption	
If ECP is recovered between 9 am and 11 am	3 pm on T+2 day
If ECP is recovered 2 hours before 11 am	No change to normal operations (i.e. 11 am on T+2 day)
All other cases	Switch to manual mode until ECP service fully resumes EPs must submit HKEX latest by 14:30 T+2 day a completed hardcopy Form SD-1 and at the same time submit a properly authorized cheque drawn in favour of <u>The Stock Exchange of Hong Kong Limited</u> for the amount of actual stamp duty paid for T day as reported in Form SD-1. The format of the Form SD-1 should be the same as the softcopy Form SD-1 except that authorised signature(s) and a company chop must be provided at the bottom of the hardcopy Form. The hardcopy Form SD-1 and the cheque shall then be returned to the entrance of the Trading Hall or at such other places as designated by the Exchange from time to time.

Note: The above arrangement may be subject to change without advance notification to EPs. You are reminded to regularly pay attention to announcements from the Exchange.

Appendix B: Submission of Options Market Maker Jobbing Transaction Composite Reporting Form (Form SD-4)

Appendix B.1: Form SD-4 submission process and validations

Clicking the hyperlink of the Form SD-4 on the submission list page will direct you to the submission page of the form as shown below:

Figure 44: Landing page of Submission type SD-4

Input a valid trade date of the Form SD-4 and attach the Form SD-4 in form of a trade file and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SD-4 is accepted. These validations include (but are not limited to) the following:

- The input date is a valid business date not later than today; and
- The trade date embedded in the file name matches with the input date; and
- The submission is not overdue (i.e. submission period is between 4 pm on T day and 10:15 am on T+1 day); and
- The file name is valid (i.e. it complies with the requirement of SD4_xxxxx_yyyymmdd.txt where xxxxx is the Firm ID with a leading zero and yyyymmdd is the trade date of the Form SD-4); and
- The file extension is TXT; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix B.2: Handling of duplicated submissions of the Form SD-4

Each firm should only submit one Form SD-4 for each trade date to the ECP. In the case that a Form SD-4 for the same date is re-submitted by you or another ECP user of the same firm, the ECP will prompt a message for you to confirm that the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix B.3: Late submission handling of the Form SD-4

The submission cut off time for the Form SD-4 is 10:15am T+1 day. The ECP automatically rejects any late submissions with an error message. Follow the steps below for any late submission:

1. Contact HKEX based on the contact details shown on the SD-4 submission page
2. Fax a hardcopy Form SD-4 with authorised signature to HKEX

Appendix B.4: Handling of exceptional scenarios

For certain exceptional cases (e.g. half trading day and typhoon scenarios), the submission window for SD-4 may be extended and the table below acts as a guideline for the submission cut off time for these cases:

Scenarios (on T+1 day)	ECP submission cut off time for Options Market Maker Jobbing Transaction concluded on T day
Normal Cases	10:15 am on T+1 day
Typhoon no. 8 or above hoisted	
Case 1: hoisted before 7 am and lowered after 12 pm	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 2: hoisted before 7 am and lowered before 12 pm	3 pm on T+1 day
Case 3: hoisted between 7 am and 11 am and lowered after 12 pm	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 4: hoisted between 11 am and 3 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
Case 5: hoisted after 3 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
Black-rainstorm warning issued	
Case 1: issued before 7 am and lowered after 12 pm	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 2: issued before 7 am and lowered before 12 pm	3 pm on T+1 day
Case 3: issued between 7 am and 9 am and lowered before 12 pm	3 pm on T+1 day
Case 4: issued between 7 am and 9 am and lowered after 12 pm	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Half trading day	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate
Major interruption	
If ECP is recovered between 9 am and 11 am	3 pm on T+1 day

If ECP is recovered 2 hours before 10:15am (i.e. at 8:15 am)	No change to normal operations (i.e. 10:15 am on T+1 day)
All other cases	Switch to manual mode until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification to the market makers. Market makers are reminded to regularly pay attention to announcements from the Exchange.

Appendix C: Submission of Securities Market Maker Transaction Reporting Form (Form SD-5)

Appendix C.1: Form SD-5 submission process and validations

Clicking the hyperlink of the Form SD-5 on the submission list page will direct you to the submission page of the form as shown below:

Figure 45: Landing page of Submission type SD-5

Input a valid trade date of the Form SD-5 and attach a valid Form SD-5 and then the "Submit" button. After this, the ECP will perform certain validations before accepting the Form SD-5. These validations include (but are not limited to) the following:

- The input date is a valid business date no later than today; and
- The trade date embedded in the file name matches with the input date; and
- The submission is not overdue (i.e. submission period is between 4 pm on T day and 10:15 am on T+1 day); and
- The file name is valid (i.e. it complies with the requirement of SD5_xxxxx_yyyymmdd.txt where xxxxx is the Firm ID with a leading zero and yyyymmdd is the trade date of the Form SD-5); and
- The file extension is TXT; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix C.2: Handling of duplicated submissions of the Form SD-5

Each EP firm should only submit one Form SD-5 for each trade date to the ECP. In the case that a Form SD-5 for the same date is re-submitted by you or another ECP user of the same firm, the ECP will prompt a message for you to confirm that the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix C.3: Late submission handling of the Form SD-5

The submission cut off time for the Form SD-5 is 10:15 am T+1 day. The ECP automatically rejects any late submissions with an error message. You should follow the steps below for any late submission:

1. Contact HKEX based on the contact details shown on the SD-5 submission page.
2. Fax a hardcopy Form SD-5 with authorised signature to HKEX.

Appendix C.4: Handling of exceptional scenarios

For certain exceptional cases (e.g. half trading day and typhoon scenarios), the submission window for SD-5 may be extended and the table below acts as a guideline for the submission cut off time for these cases:

Scenarios (on T+1 day)	ECP submission cut off time for Securities Market Maker Jobbing Transaction concluded on T day
Normal Cases	10: 15 am T+1 day
Typhoon no. 8 or above hoisted	
Case 1: hoisted before 7 am and lowered after 12 pm	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 2: hoisted before 7 am and lowered before 12 pm	3 pm on T+1 day
Case 3: hoisted between 7 am and 11 am and lowered after 12 pm	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 4: hoisted between 11 am and 3 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
Case 5: hoisted after 3 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
Black-rainstorm warning issued	
Case 1: issued before 7 am and lowered after 12 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
Case 2: issued before 7 am and lowered before 12 pm	3 pm on T+1 day
Case 3: issued between 7 am and 9 am and lowered before 12 pm	3 pm on T+1 day
Case 4: issued between 7 am and 9 am and lowered after 12 pm	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Half trading day	10:15 am on next trading day (i.e. 10: 15 am on T+2 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate

Major interruption	
If ECP is recovered between 9 am and 11 am	3 pm on T+1 day
If ECP is recovered 2 hours before 10:15 am (i.e. at 8:15 am)	No change to normal operations (i.e. 10:15 am on T+1 day)
All other cases	Switch to manual mode until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification to the market makers. You are reminded to regularly pay attention to announcements from the Exchange.

Appendix D: Submission of Stock Borrowing and Lending Monthly Report for China Connect Securities (Form SBL)

Appendix D.1: Form SBL submission process and validations

Clicking the hyperlink of the Form SBL on the submission list page will direct you to the submission page of the form as shown below:
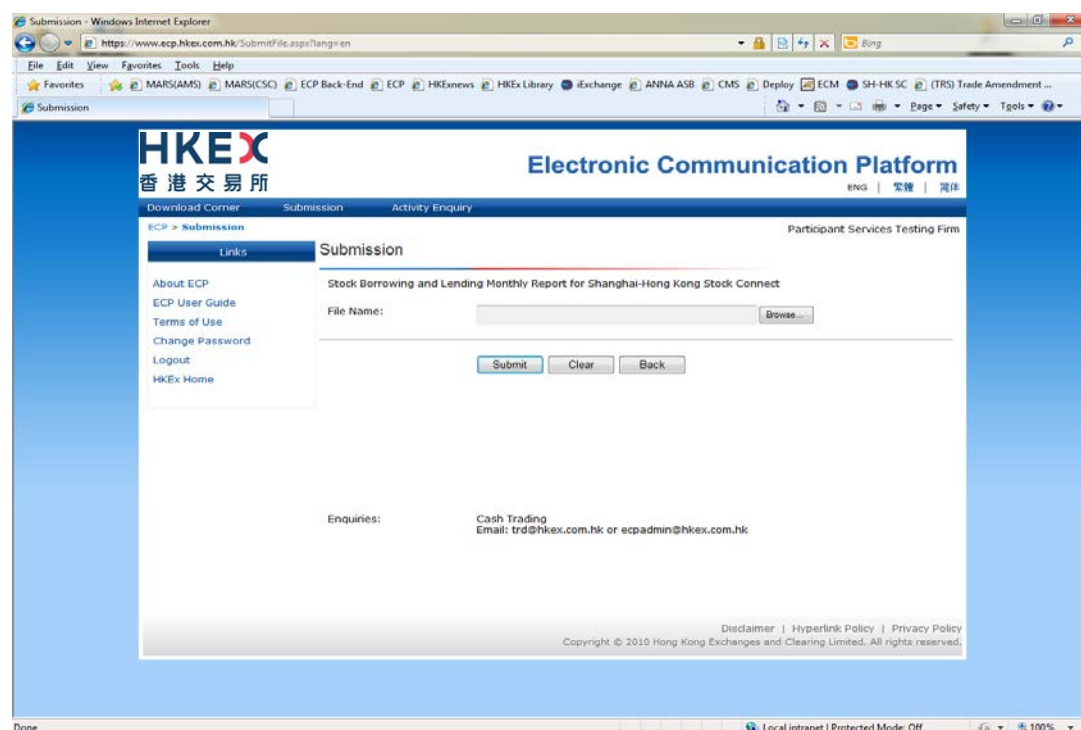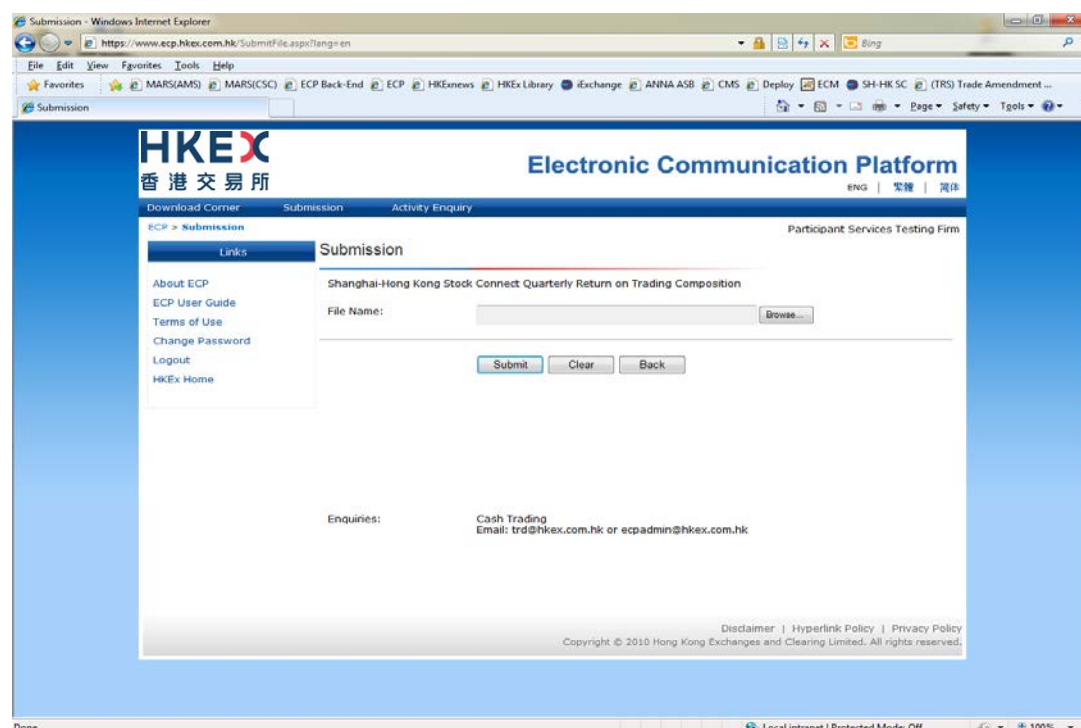

Figure 46: Landing page of Submission type SBL

Attach a valid Form SBL and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SBL is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue (i.e. the submission must be made on or before the 7th day of the following calendar month); and
- The file name is valid (i.e. it complies with the requirement of SBL_NNNNN_YYYYMM.xls where NNNNN is the Firm ID with a leading zero and YYYYMM is the year and month of the Form SBL); and
- The file extension is XLS; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix D.2: Handling of duplicated submissions of the Form SBL

Each EP firm should only submit one Form SBL for each trade month to the ECP. In the case that a Form SBL for the same month is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix E: Submission of Shanghai-Hong Kong Stock Connect Quarterly Return on Trading Composition (Form TCS)

Appendix E.1: Form TCS submission process and validations

Clicking the hyperlink of the Form TCS on the submission list page will direct you to the submission page of the form as shown below:

Figure 47: Landing page of Submission type TCS

Attach a valid Form TCS and then click the "Submit" button. After this, the ECP will perform certain validations before the Form TCS is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue (i.e. the submission must be made within the month immediately following the end of the quarter);
- The file name is valid (i.e. it complies with the requirement of TCS_XXXXX_YYYYQn.csv where XXXXX is the Firm ID with a leading zero, YYYY is the year of the reporting quarter and n is the single digit representing the reporting quarter (1, 2, 3 or 4));
- The file extension is CSV; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix E.2: Handling of duplicated submissions of the Form TCS

Each EP firm should only submit one Form TCS for each reporting quarter to the ECP. In the case that a Form TCS for the same quarter is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix F: Submission of Large Open Position Report of Beneficial Identity for Index futures/options contract or other futures contract (Form LOPBI)

Appendix F.1: Form LOPBI submission process and validations

Clicking the hyperlink of the Form LOPBI on the submission list page will direct you to the submission page of the form as shown below:

Figure 48: Landing page of Submission type LOPBI

Input a valid trade date of the Form LOPBI and attach a valid Form LOPBI and then click the "Submit" button. After this, the ECP will perform certain validations before the Form LOPBI is accepted. These validations include (but are not limited to) the following:

- The input date is a valid business date not later than today; and
- The trade date embedded in the file name matches with the input date; and
- The submission is not overdue (i.e. the submission must be made before 12:00 noon on T+1 day); and
- The file name is valid (i.e. it complies with the requirement of LOPBI_xxxxx_yyyymmdd.xlsm where xxxxx is the firm code to be assigned by the Exchange and yyyymmdd is the trade date of the Form LOPBI); and
- The file extension is XLSM.

Appendix F.2: Handling of duplicated submissions of the Form LOPBI

Each firm should only submit one Form LOPBI for each trade date to the ECP. In the case that a Form LOPBI for the same date is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm that the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix F.3: Late submission handling of the Form LOPBI

The submission cut off time for the Form LOPBI is 12:00 noon T+1 day. The ECP automatically rejects any late submissions with an error message. You should contact Exchange based on the contact details shown on the LOPBI submission page.

Appendix F.4: Handling of exceptional scenarios

For certain exceptional cases (e.g. half trading day and typhoon scenarios), the submission window for LOPBI may be extended and the table below acts as a guideline for the submission cut off time for these cases:

Scenarios (on T+1 day)	ECP submission cut off time for T day's Large Open Positions
Normal Cases	12 noon on T+1 day
Typhoon no. 8 or above hoisted	
Case 1: hoisted before 9 am and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 2: hoisted before 9 am and lowered before 12 noon	4 hours after the signal is lowered on T+1 day
Case 3: hoisted between 9 am and 12 noon and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 4: hoisted after 12 noon	No change to normal operations (i.e. 12 noon on T+1 day)
Black-rainstorm warning issued	
Case 1: issued before 9 am and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 2: issued before 9 am and lowered before 12 noon	4 hours after the warning is lowered on T+1 day
Case 3: issued between 9 am and 12 noon	No change to normal operations (i.e. 12 noon on T+1 day)
Half trading day	No change to normal operations (i.e. 12 noon on T+1 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate
Major interruption	
If ECP is recovered between 9 am and 12 noon	3 hours after system recovery
All other cases	Send to lophkfe@hkex.com.hk until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification. You are reminded to regularly pay attention to announcements from the Exchange.

Appendix G: Submission of Large Open Position Report of Transaction Originator for Index futures/options contract or other futures contract (Form LOPTO)

Appendix G.1: Form LOPTO submission process and validations

Clicking the hyperlink of the Form LOPTO on the submission list page will direct you to the submission page of the form as shown below:

Figure 49: Landing page of Submission type LOPTO

Input a valid trade date of the Form LOPTO and attach a valid Form LOPTO and then click the "Submit" button. After this, the ECP will perform certain validations before the Form LOPTO is accepted. These validations include (but are not limited to) the following:

- The input date is a valid business date not later than today; and
- The trade date embedded in the file name matches with the input date; and
- The submission is not overdue (i.e. the submission must be made before 12:00 noon on T+1 day); and
- The file name is valid (i.e. it complies with the requirement of LOPTO_xxxxx_yyyymmdd.xlsm where xxxxx is the firm code to be assigned by the Exchange and yyyymmdd is the trade date of the Form LOPTO); and
- The file extension is XLSM.

Appendix G.2: Handling of duplicated submissions of the Form LOPTO

Each firm should only submit one Form LOPTO for each trade date to the ECP. In the case that a Form LOPTO for the same date is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm that the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix G.3: Late submission handling of the Form LOPTO

The submission cut off time for the Form LOPTO is 12:00 noon T+1 day. The ECP automatically rejects any late submissions with an error message. You should contact the Exchange based on the contact details shown on the LOPTO submission page.

Appendix G.4: Handling of exceptional scenarios

For certain exceptional cases (e.g. half trading day and typhoon scenarios), the submission window for LOPTO may be extended and the table below acts as a guideline for the submission cut off time for these cases:

Scenarios (on T+1 day)	ECP submission cut off time for T day's Large Open Positions
Normal Cases	12 noon on T+1 day
Typhoon no. 8 or above hoisted	
Case 1: hoisted before 9 am and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 2: hoisted before 9 am and lowered before 12 noon	4 hours after the signal is lowered on T+1 day
Case 3: hoisted between 9 am and 12 noon and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 4: hoisted after 12 noon	No change to normal operations (i.e. 12 noon on T+1 day)
Black-rainstorm warning issued	
Case 1: issued before 9 am and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 2: issued before 9 am and lowered before 12 noon	4 hours after the warning is lowered on T+1 day
Case 3: issued between 9 am and 12 noon	No change to normal operations (i.e. 12 noon on T+1 day)
Half trading day	No change to normal operations (i.e. 12 noon on T+1 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate
Major interruption	
If ECP is recovered between 9 am and 12 noon	3 hours after system recovery
All other cases	Send to lophkfe@hkex.com.hk until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification. You are reminded to regularly pay attention to announcements from the Exchange.

Appendix H: Submission of Large Open Position Report of Beneficial Identity on Stock options contract (Form SOLBI)

Appendix H.1: Form SOLBI submission process and validations

Clicking the hyperlink of the Form SOLBI on the submission list page will direct you to the submission page of the form as shown below:

Figure 50: Landing page of Submission type SOLBI

Input a valid trade date of the Form SOLBI and attach a valid Form SOLBI and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SOLBI is accepted. These validations include (but are not limited to) the following:

- The input date is a valid business date not later than today; and
- The trade date embedded in the file name matches with the input date; and
- The submission is not overdue (i.e. the submission must be made before 12:00 noon on T+1 day); and
- The file name is valid (i.e. it complies with the requirement of SOLBI_xxxxx_yyyymmdd.xlsm where xxxxx is the firm code to be assigned by the Exchange and yyyymmdd is the trade date of the Form SOLBI); and
- The file extension is XLSM.

Appendix H.2: Handling of duplicated submissions of the Form SOLBI

Each firm should only submit one Form SOLBI for each trade date to the ECP. In the case that a Form SOLBI for the same date is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm that the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix H.3: Late submission handling of the Form SOLBI

The submission cut off time for the Form SOLBI is 12:00 noon T+1 day. The ECP automatically rejects any late submissions with an error message. You should contact Exchange based on the contact details shown on the SOLBI submission page.

Appendix H.4: Handling of exceptional scenarios

For certain exceptional cases (e.g. half trading day and typhoon scenarios), the submission window for SOLBI may be extended and the table below acts as a guideline for the submission cut off time for these cases:

Scenarios (on T+1 day)	ECP submission cut off time for T day's Large Open Positions
Normal Cases	12 noon on T+1 day
Typhoon no. 8 or above hoisted	
Case 1: hoisted before 9 am and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 2: hoisted before 9 am and lowered before 12 noon	4 hours after the signal is lowered on T+1 day
Case 3: hoisted between 9 am and 12 noon and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 4: hoisted after 12 noon	No change to normal operations (i.e. 12 noon on T+1 day)
Black-rainstorm warning issued	
Case 1: issued before 9 am and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 2: issued before 9 am and lowered before 12 noon	4 hours after the warning is lowered on T+1 day
Case 3: issued between 9 am and 12 noon	No change to normal operations (i.e. 12 noon on T+1 day)
Half trading day	No change to normal operations (i.e. 12 noon on T+1 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate
Major interruption	
If ECP is recovered between 9 am and 12 noon	3 hours after system recovery
All other cases	Send to lopso@hkex.com.hk until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification. You are reminded to regularly pay attention to announcements from the Exchange.

Appendix I: Submission of Large Open Position Report of Transaction Originator on Stock options contract (Form SOLTO)

Appendix I.1: Form SOLTO submission process and validations

Clicking the hyperlink of the Form SOLTO on the submission list page will direct you to the submission page of the form as shown below:

Figure 51: Landing page of Submission type SOLTO

Input a valid trade date of the Form SOLTO and attach a valid Form SOLTO and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SOLTO is accepted. These validations include (but are not limited to) the following:

- The input date is a valid business date not later than today; and
- The trade date embedded in the file name matches with the input date; and
- The submission is not overdue (i.e. the submission must be made before 12:00 noon on T+1 day); and
- The file name is valid (i.e. it complies with the requirement of SOLTO_xxxxx_yyyymmdd.xlsm where xxxxx is the firm code to be assigned by the Exchange and yyyymmdd is the trade date of the Form SOLTO); and
- The file extension is XLSM.

Appendix I.2: Handling of duplicated submissions of the Form SOLTO

Each firm should only submit one Form SOLTO for each trade date to the ECP. In the case that a Form SOLTO for the same date is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm that the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix I.3: Late submission handling of the Form SOLTO

The submission cut off time for the Form SOLTO is 12:00 noon T+1 day. The ECP automatically rejects any late submissions with an error message. You should contact the Exchange based on the contact details shown on the SOLTO submission page.

Appendix I.4: Handling of exceptional scenarios

For certain exceptional cases (e.g. half trading day and typhoon scenarios), the submission window for SOLTO may be extended and the table below acts as a guideline for the submission cut off time for these cases:

Scenarios (on T+1 day)	ECP submission cut off time for T day's Large Open Positions
Normal Cases	12 noon on T+1 day
Typhoon no. 8 or above hoisted	
Case 1: hoisted before 9 am and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 2: hoisted before 9 am and lowered before 12 noon	4 hours after the signal is lowered on T+1 day
Case 3: hoisted between 9 am and 12 noon and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 4: hoisted after 12 noon	No change to normal operations (i.e. 12 noon on T+1 day)
Black-rainstorm warning issued	
Case 1: issued before 9 am and lowered after 12 noon	12 noon on next trading day (i.e. 12 noon on T+2 day)
Case 2: issued before 9 am and lowered before 12 noon	4 hours after the warning is lowered on T+1 day
Case 3: issued between 9 am and 12 noon	No change to normal operations (i.e. 12 noon on T+1 day)
Half trading day	No change to normal operations (i.e. 12 noon on T+1 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate
Major interruption	
If ECP is recovered between 9 am and 12 noon	3 hours after system recovery
All other cases	Send to lopso@hkex.com.hk until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification. You are reminded to regularly pay attention to announcements from the Exchange.

Appendix J: Submission of Short Selling Weekly Report for China Connect Securities (Form SSH)

Appendix J.1: Form SSH submission process and validations

Clicking the hyperlink of the Form SSH on the submission list page will direct you to the submission page of the form as shown below:

Figure 52: Landing page of Submission type SSH

Attach a valid Form SSH and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SSH is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue (i.e. the submission must be made on or before the 1st working day of the following week); and
- The file name is valid (i.e. it complies with the requirement of SSH_NNNNN_YYYYWXX.xls where NNNNN is the Firm ID with a leading zero, YYYY is the year and XX is the reporting week of the Form SSH); and
- The file extension is XLS; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix J.2: Handling of duplicated submissions of the Form SSH

Each EP firm should submit only one Form SSH for each trade month to the ECP. In the case that a Form SSH for the same month is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix K: Submission of Stock Borrowing and Lending Monthly Report for China Connect Securities (Shenzhen-Hong Kong Stock Connect) (Form SZSBL)

Appendix K.1: Form SZSBL submission process and validations

Clicking the hyperlink of the Form SZSBL on the submission list page will direct you to the submission page of the form as shown below:

Figure 53: Landing page of Submission type SZSBL

Attach a valid Form SZSBL and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SZSBL is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue (i.e. the submission must be made on or before the 7th day of the following calendar month); and
- The file name is valid (i.e. it complies with the requirement of SZSBL_NNNNN_YYYYMM.xls where NNNNN is the Firm ID with a leading zero and YYYYMM is the year and month of the Form SZSBL); and
- The file extension is XLS; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix K.2: Handling of duplicated submissions of the Form SZSBL

Each EP firm should only submit one Form SZSBL for each trade month to the ECP. In the case that a Form SZSBL for the same month is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix L: Submission of Shenzhen-Hong Kong Stock Connect Quarterly Return on Trading Composition (Form SZTCS)

Appendix L.1: Form SZTCS submission process and validations

Clicking the hyperlink of the Form SZTCS on the submission list page will direct you to the submission page of the form as shown below:

Figure 54: Landing page of Submission type SZTCS

Attach a valid Form SZTCS and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SZTCS is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue (i.e. the submission must be made within the month immediately following the end of the quarter);
- The file name is valid (i.e. it complies with the requirement of SZTCS_XXXXX_YYYYQn.csv where XXXXX is the Firm ID with a leading zero, YYYY is the year of the reporting quarter and n is the single digit representing the reporting quarter (1, 2, 3 or 4));
- The file extension is CSV; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix L.2: Handling of duplicated submissions of the Form SZTCS

Each EP firm should only submit one Form SZTCS for each reporting quarter to the ECP. In the case that a Form SZTCS for the same quarter is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix M: Submission of Short Selling Weekly Report for China Connect Securities (Shenzhen-Hong Kong Stock Connect) (Form SZSSH)

Appendix M.1: Form SZSSH submission process and validations

Clicking the hyperlink of the Form SZSSH on the submission list page will direct you to the submission page of the form as shown below:

Figure 55: Landing page of Submission type SZSSH

Attach a valid Form SZSSH and then click the "Submit" button. After this, the ECP will perform certain validations before the Form SZSSH is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue (i.e. the submission must be made on or before the 1st working day of the following week); and
- The file name is valid (i.e. it complies with the requirement of SZSSH_NNNNN_YYYYWXX.xls where NNNNN is the Firm ID with a leading zero, YYYY is the year and XX is the reporting week of the Form SZSSH); and
- The file extension is XLS; and
- The Firm ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix M.2: Handling of duplicated submissions of the Form SZSSH

Each EP firm should submit only one Form SZSSH for each trade month to the ECP. In the case that a Form SZSSH for the same month is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the form submitted before should be overwritten by the newly submitted form. After confirmation, the ECP will overwrite the previous form submitted with the new form received.

Appendix N: Submission of Self-Attestation Questionnaire

Appendix N.1: Self-Attestation Questionnaire submission process and validations

Clicking the hyperlink of the Self-Attestation Questionnaire on the submission list page will direct you to the submission page of the form as shown below:

Figure 56: Landing page of Submission type Self-Attestation Questionnaire

Attach a valid Self-Attestation Questionnaire or a zip file and then click the "Submit" button. After this, the ECP will perform certain validations before the file is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue; and
- The file name is valid (i.e. it complies with the requirement of MSM01_XXXXX_YYYYMM.xls or MSM01_XXXXX_YYYYMM.zip where XXXXX is the Exchange Participant ID with a leading zero and YYYY, MM are year and month respectively.) ; and
- The file extension is XLS or ZIP; and
- The Exchange Participant ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix N.2: File uploading and Handling of duplicated submissions of Self-Attestation Questionnaire and/or supplementary files

- Please upload only 1 file. If you need to submit supplementary information as supporting documents, please zip the files along with this questionnaire, and submit as one zip file.; and
- If there are additional/revised files to be uploaded, please group all the existing and new files together into a zip file with the file name as MSM01_XXXXX_YYYYMM.zip and re-upload it to overwrite the previous uploaded file.

Appendix O: Submission of Stock Options Market Maker Affiliate Financial Statement

Appendix O.1: Stock Options Market Maker Affiliate Financial Statement submission process and validations

Clicking the hyperlink of the Stock Options Market Maker Affiliate Financial Statement and Working Capital Report on the submission list page will direct you to the submission page as shown below:

Figure 57: Landing page of Submission type Stock Options Market Maker Affiliate Financial Statement

Attach a zip file containing both the Stock Options Market Maker affiliate financial statement (File name: MSM02_XXXXX_YYYYMM.pdf) and working capital report (MSM02_XXXXX_YYYYMM. xlsm) and then click the "Submit" button. After this, the ECP will perform certain validations before the file is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue; and
- The file name is valid (i.e. it complies with the requirement of MSM02_XXXXX_YYYYMM.zip where XXXXX is the Exchange Participant ID with a leading zero and YYYY, MM are year and month respectively.) ; and
- The file extension is ZIP; and

- The Exchange Participant ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix O.2: File uploading and Handling of duplicated submissions of Stock Options Market Maker Affiliate Financial Statement

Each firm should only submit one file for each trade month to the ECP. In the case that a file for the same month is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the file submitted before should be overwritten by the newly submitted file. After confirmation, the ECP will overwrite the previous file submitted with the new file received.

Appendix P: Submission of Excess Position Limit Usage Reporting for ETF Market Makers

Appendix P.1: Excess Position Limit Usage Reporting for ETF Market Makers submission process and validations

Clicking the hyperlink of the Excess Position Limit Usage Reporting for ETF Market Makers on the submission list page will direct you to the submission page as shown below:

Figure 58: Landing page of Submission type Excess Position Limit Usage Reporting for ETF Market Makers

Attach the Excess Position Limit Usage Reporting for ETF Market Makers (File name: MSM03_XXXXX_YYYYMM.xls) and then click the "Submit" button. After this, the ECP will perform certain validations before the file is accepted. These validations include (but are not limited to) the following:

- The submission is not overdue; and
- The file name is valid (i.e. it complies with the requirement of MSM03_XXXXX_YYYYMM.xls where XXXXX is the Exchange Participant ID with a leading zero and YYYY, MM are year and month respectively.) ; and
- The file extension is xls; and
- The Exchange Participant ID embedded in the file name matches with that of the ECP user ID used for the submission.

Appendix P.2: File uploading and Handling of duplicated submissions of Excess Position Limit Usage Reporting for ETF Market Makers

Each firm should only submit one file for each quarter to the ECP. In the case that a file for the same quarter is re-submitted by you or another ECP user of your firm, the ECP will prompt a message for you to confirm if the file submitted before should be overwritten by the newly submitted file. After confirmation, the ECP will overwrite the previous file submitted with the new file received.