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香港期貨交易所有限公司

(香港交易及結算所有限公司全資附屬公司)

Hong Kong Futures Exchange Limited

(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

事項

Subject: Introduction of London Nickel/ Tin/ Lead Mini Futures

查詢

Enquiry: HKATS Hotline 2211 6360

The Exchange is pleased to announce that the Securities and Futures Commission (SFC) has approved the introduction of London Nickel Mini Futures, London Tin Mini Futures and London Lead Mini Futures. The trading of the London Nickel/Tin/Lead Mini Futures will commence on <u>Monday, 14 December 2015</u>.

Trading Arrangements

Pre-Launch Arrangements

The following pre-launch arrangements for London Nickel/ Tin/ Lead Mini Futures contracts will be implemented on Friday 11 December 2015:

- a. Trading codes of London Nickel/ Tin/ Lead Mini Futures will be displayed on HKATS, but not yet tradable on that day; and
- b. Information relating to London Nickel/ Tin/ Lead Mini Futures will be generated in the risk parameter files, clearing and open interest reports.

Trading Month Arrangement at Launch

Contract Month at launch will be the 12 months from January 2016 till December 2016, with the January 2016 contract as Spot Month contract.

Maximium Order Size

Please note that the London Nickel/ Tin/ Lead Mini Futures will have a maximum order size limit on HKATS of 1,000 contracts. Participants are required to submit their request to HKEx for setting up their own order size limits based on their business needs and risk management requirements.

Block Trade Volume Threshold

The block trade volume threshold for each of the London Metal Mini Futures will be 50 contracts.

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Error Trade Price Parameters and Procedures

The price parameter for the London Nickel/ Tin/ Lead Mini Futures for the purpose of the error trade rules under HKFE Rule 819B is 3% from the notation price. The error trade procedures are set forth in Attachment II for reference.

Application for Erroneous Trade (Form 7)

Application for erroneous trade (Form 7) will not be applicable to the London Nickel/ Tin/ Lead Mini Futures.

Liquidity Providers Program

The Exchange invites applications of liquidity providers for the London Nickel/ Tin/ Lead Mini Futures. Obligations and incentives of liquidity providers will be negotiated bilaterally. For details, please contact Ms. Zhang Yongxin by e-mail to zhangyongxin@hkex.com.hk.

Waiver of Exchange Fees

The exchange fees of the London Nickel/ Tin/ Lead Mini Futures shall be waived for all HKFE Exchange Participants and its clients during the period from 14 December 2015 to 30 June 2016, both dates inclusive, excluding the after-hours trading session commencing from 5:00p.m. on 30 June 2016. Participants are advised to inform their clients of the waiver of Exchange Fees.

Information Vendors' Access Codes

For access to real-time trading information of the London Nickel/ Tin/ Lead Mini Futures, please refer to the list of information vendors' access codes in Attachment III. This list is also available on HKEx's website and may be updated from time to time.

Clearing Arrangements

To be eligible for trading/clearing the London Nickel/ Tin/ Lead Mini Futures, Exchange Participants need to set up their house and client bank accounts in RMB with any one of the <u>Settlement Banks appointed by HKCC</u> and to maintain relevant <u>mandates</u> in such form as prescribed by HKCC. Exchange Participants are reminded to ensure that the bank accounts maintained must be **in active status** and are ready for money settlement. Non-clearing Participants should contact their General Clearing Participants to ascertain their eligibility of clearing the London Nickel/Tin/ Lead Mini Futures.

Risk Management Arrangements

Margin levels and update of PC-SPAN Organization Master File for the London Nickel/ Tin/ Lead Mini Futures will be announced in due course.

Inform Your Staff and Clients

Participants are required to notify their staff and all interested clients about the upcoming introduction of new futures contracts and ensure that your front-to-back office systems are ready to support their trading. In addition, all your staff should be fully aware of the trading and clearing arrangements; and should exercise caution when dealing with the new contracts and when advising your clients.

Contract Specifications

Key features of the London Nickel/ Tin/ Lead Mini Futures are as follows:

Contract	London Nickel Mini Futures	London Tin Mini Futures	London Lead Mini Futures	
Underlying Commodity	Primary Nickel as defined in the rules and regulations of The London Metal Exchange from time to time	Tin as defined in the rules and regulations of The London Metal Exchange from time to time	Standard Lead as defined in the rules and regulations of The London Metal Exchange from time to time	
Trading Symbol	LRN	LRS	LRP	
Contract Size	1 tonne	1 tonne	5 tonnes	
Trading Currency		RMB		
Contract Months	Spot month	Spot month and the next eleven calendar months		
Minimum Fluctuation	RMB10	RMB5 per tonne		
Trading Hours (excluding Last Trading Day)	9:00 a.m. to 4:15 p.m. (day trading session) and 5:00 p.m. to 1:00 a.m. the next morning (after-hours trading session)			
Trading Hours on the Last Trading Day	 9:00 a.m 4:15 p.m. (day trading session) and 5:00 p.m 8:05 p.m. (after-hours trading session during British Summer Time) 5:00 p.m 9:05 p.m. (after-hours trading session outside British Summer Time) 	 9:00 a.m. – 4:15 p.m. (day trading session) and 5:00 p.m. – 7:45 p.m. (after-hours trading session during British Summer Time) 5:00 p.m. – 8:45 p.m. (after-hours trading session outside British Summer Time) 	 9:00 a.m. – 4:15 p.m. (day trading session) and 5:00 p.m. – 7:50 p.m. after-hours trading session during British Summer Time) 5:00 p.m. – 8:50 p.m. (after-hours trading session outside British Summer Time) 	
Position Limit	50,000 net long or short in all Contract months combined, per Exchange Participant for the Exchange Participant's own behalf; and 50,000 net long or	15,000 net long or short in all Contract months combined, per Exchange Participant for the Exchange Participant's own behalf; and 15,000 net long or	25,000 net long or short in all Contract months combined, per Exchange Participant for the Exchange Participant's own behalf; and 25,000 net long or	

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	short in all Contract	short in all Contract	short in all Contract	
	months combined, per	months combined, per	months combined, per	
	Client	Client	Client	
	×	ny one Contract Month, p	ber Exchange Participant	
Large Open	for the Exchange Participant's own behalf; and			
Position				
	500 open contracts, in any one Contract Month, per Client			
	The LTD determined b	by The London Metal E	Exchange (LME) for its	
Lost Trading	Nickel/ Tin/ Lead Futures Contracts (i.e. Usually two business days			
Last Trading	before the third Wednesday of the spot month). If it is not a Hong Kong			
Day (LTD)	Business Day, the LTD shall be the immediately preceding Hong Kong			
	Business Day			
Final Settlement	The second Hong Kong Business Day after the Last Trading Day			
Day	The second Hong Kong Business Day after the Last Trading Day			
	Shall be a whole number, determined by the Clearing House, and shall be			
	the Official Settlement Price determined and published by the LME for			
Final Settlement	its Nickel/ Tin/ Lead Futures Contracts^, and converted to RMB			
Price (FSP)	equivalent using the spot USD/RMB pricing published by the Treasury			
	Markets Association (TMA) in Hong Kong at 11:15 a.m. HKT on the			
	LTD#. It is rounded up if the figure in the first decimal place is 5 or			
	above and rounded down if it is below 5			
Exchange Fee				
(per contract per	RMB 3.00			
side)				
Commission		RMB 0.44* per contract		
Levy		Rivid 0.44 per collutaci		

^ The Official Settlement Price for Nickel Futures Contracts determined and published by the LME is available from http://www.lme.com/metals/non-ferrous/nickel/

^ The Official Settlement Price for Tin Futures Contracts determined and published by the LME is available from http://www.lme.com/metals/non-ferrous/tin/

^ The Official Settlement Price for Lead Futures Contracts determined and published by the LME is available from http://www.lme.com/metals/non-ferrous/lead/

TMA CNH pricing is available from <u>https://www.tma.org.hk/en_market_info.aspx</u>

* The RMB equivalent of HK\$ 0.54 per contract at the exchange rate determined by the Exchange from time to time

Details of the contract specifications of London Nickel/ Tin/ Lead Mini Futures are set forth in Attachment I for reference. Relevant rule amendments relating to the London Nickel/ Tin/ Lead Mini Futures will be announced via a separate circular.

Li Gang Co-Head Mainland Division

This circular has been issued in the English language with a separate Chinese language translation. If there is any conflict in the circulars between the meaning of Chinese words or terms in the Chinese language version and English words in the English language version, the meaning of the English words shall prevail.

Attachment I

Contract Specifications For London Nickel Mini Futures

The following Contract Specifications shall apply to the London Nickel Mini Futures Contract:-

Underlying	Primary Nickel as defined in the rules and regulations of The London Metal Exchange from time to time	
Contract Size	1 tonne	
Trading Currency	RMB	
Contract Months	Spot Month and the next eleven calendar months. The Chief Executive may, in consultation with the Commission, introduce additional Contract Months for trading from time to time as he considers appropriate	
Price Quotation	RMB per tonne	
Minimum Fluctuation	RMB10 per tonne	
Maximum Fluctuation	As prescribed by the Exchange from time to time	
Contracted Price	The price at which a London Nickel Mini Futures Contract is registered by the Clearing House	
Contracted Value	Contracted Price multiplied by the Contract Size	
Position Limits	50,000 net long or short in all Contract Months combined, p Exchange Participant for the Exchange Participant's own beha and	
	50,000 net long or short in all Contract Months combined, per Client	
Large Open Positions	500 open contracts, in any one Contract Month, per Exchange Participant for the Exchange Participant's own behalf; and	
	500 open contracts, in any one Contract Month, per Client	
Pre-Market Opening Period	Nil	
Trading Hours (Hong Kong time)	9:00 a.m. – 4:15 p.m. (day trading session) and 5:00 p.m. – 1:00 a.m. (after-hours trading session)	

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	There is no trading after 12:00 noon on the eves of Christmas, New Year and Lunar New Year. The trading hours on those three days shall be $9:00 \text{ a.m.} - 12:00 \text{ noon}$
	There is no after-hours trading session if it is a bank holiday in the United Kingdom, the United States and the People's Republic of China
Trading Hours on Last Trading Day (Hong Kong time)	9:00 a.m. – 4:15 p.m. (day trading session) and 5:00 p.m. – 8:05 p.m. (after-hours trading session during British Summer Time) 5:00 p.m. – 9:05 p.m. (after-hours trading session outside British Summer Time)
	There shall be no trading after 12:00 noon on the eves of Christmas, New Year and Lunar New Year. The trading hours on those three days shall be 9:00 a.m. $-$ 12:00 noon
Trading Method	The Exchange's Automated Trading System (HKATS)
Last Trading Day	The Last Trading Day determined by The London Metal Exchange for its Nickel Futures Contract (i.e. usually two business days before the third Wednesday of the Spot Month)
	If it is not a Hong Kong Business Day, the Last Trading Day shall be the immediately preceding Hong Kong Business Day
Final Settlement Day	The second Hong Kong Business Day after the Last Trading Day
Settlement Method	Cash settled contract of difference
Settlement Currency	RMB
Final Settlement Price	The Final Settlement Price of London Nickel Mini Futures Contracts shall be a whole number, determined by the Clearing House, and shall be the Official Settlement Price determined and published by The London Metal Exchange for its Nickel Futures Contract, and converted to RMB equivalent using the spot USD/RMB fixing published by the Treasury Markets Association in Hong Kong at 11:15 a.m. Hong Kong time on the Last Trading Day. It is rounded up if the figure in the first decimal place is 5 or above and rounded down if it is below 5
Cash Settlement Value	The Final Settlement Price multiplied by the Contract Size
Trading Fee (per contract per side)	Exchange Fee RMB3.00 The amount indicated above is subject to change from time to time
Levies	Commission Levy and Investor Compensation Levy are payable at

the rate or of the amount prescribed from time to time pursuant to the Ordinance

Exchange Participants shall pay the prescribed amount of Commission Levy in RMB equivalent (at the conversion rate determined by the Exchange, rounded to the nearest RMB Cent)

Commission Rate

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Negotiable

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Contract Specifications For London Tin Mini Futures

The following Contract Specifications shall apply to the London Tin Mini Futures Contract:-

Underlying	Tin as defined in the rules and regulations of The London Metal Exchange from time to time		
Contract Size	1 tonne		
Trading Currency	RMB		
Contract Months	Spot Month and the next eleven calendar months. The Chief Executive may, in consultation with the Commission, introduce additional Contract Months for trading from time to time as he considers appropriate		
Price Quotation	RMB per tonne		
Minimum Fluctuation	RMB10 per tonne		
Maximum Fluctuation	As prescribed by the Exchange from time to time		
Contracted Price	The price at which a London Tin Mini Futures Contract is registered by the Clearing House		
Contracted Value	Contracted Price multiplied by the Contract Size		
Position Limits	15,000 net long or short in all Contract Months combined, per Exchange Participant for the Exchange Participant's own behalf; and		
	15,000 net long or short in all Contract Months combined, per Client		
Large Open Positions	500 open contracts, in any one Contract Month, per Exchange Participant for the Exchange Participant's own behalf; and		
	500 open contracts, in any one Contract Month, per Client		
Pre-Market Opening Period	Nil		
Trading Hours (Hong Kong time)	9:00 a.m. – 4:15 p.m. (day trading session) and 5:00 p.m. – 1:00 a.m. (after-hours trading session)		
	There is no trading after 12:00 noon on the eves of Christmas, New Year and Lunar New Year. The trading hours on those three days		

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	shall be 9:00 a.m. – 12:00 noon	
	There is no after-hours trading session if it is a bank holiday in the United Kingdom, the United States and the People's Republic of China	
Trading Hours on Last Trading Day (Hong Kong time)	9:00 a.m. – 4:15 p.m. (day trading session) and 5:00 p.m. – 7:45 p.m. (after-hours trading session during British Summer Time) 5:00 p.m. – 8:45 p.m. (after-hours trading session outside British Summer Time)	
	There shall be no trading after 12:00 noon on the eves of Christmas, New Year and Lunar New Year. The trading hours on those three days shall be $9:00 \text{ a.m.} - 12:00 \text{ noon}$	
Trading Method	The Exchange's Automated Trading System (HKATS)	
Last Trading Day	The Last Trading Day determined by The London Metal Exchange for its Tin Futures Contract (i.e. usually two business days before the third Wednesday of the Spot Month)	
	If it is not a Hong Kong Business Day, the Last Trading Day shall be the immediately preceding Hong Kong Business Day	
Final Settlement Day	The second Hong Kong Business Day after the Last Trading Day	
Settlement Method	Cash settled contract of difference	
Settlement Currency	RMB	
Final Settlement Price	The Final Settlement Price of London Tin Mini Futures Contracts shall be a whole number, determined by the Clearing House, and shall be the Official Settlement Price determined and published by The London Metal Exchange for its Tin Futures Contract, and converted to RMB equivalent using the spot USD/RMB fixing published by the Treasury Markets Association in Hong Kong at 11:15 a.m. Hong Kong time on the Last Trading Day. It is rounded up if the figure in the first decimal place is 5 or above and rounded down if it is below 5	
Cash Settlement Value	The Final Settlement Price multiplied by the Contract Size	
Trading Fee (per contract per side)	Exchange Fee RMB3.00 The amount indicated above is subject to change from time to time	
Levies	Commission Levy and Investor Compensation Levy are payable at the rate or of the amount prescribed from time to time pursuant to the Ordinance	

Exchange Participants shall pay the prescribed amount of Commission Levy in RMB equivalent (at the conversion rate determined by the Exchange, rounded to the nearest RMB Cent)

Commission Rate

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Contract Specifications For London Lead Mini Futures

The following Contract Specifications shall apply to the London Lead Mini Futures Contract:-

Underlying	Standard Lead as defined in the rules and regulations of The London Metal Exchange from time to time	
Contract Size	5 tonnes	
Trading Currency	RMB	
Contract Months	Spot Month and the next eleven calendar months. The Chief Executive may, in consultation with the Commission, introduce additional Contract Months for trading from time to time as he considers appropriate	
Price Quotation	RMB per tonne	
Minimum Fluctuation	RMB5 per tonne	
Maximum Fluctuation	As prescribed by the Exchange from time to time	
Contracted Price	The price at which a London Lead Mini Futures Contract is registered by the Clearing House	
Contracted Value	Contracted Price multiplied by the Contract Size	
Position Limits	25,000 net long or short in all Contract Months combined, per Exchange Participant for the Exchange Participant's own behalf; and	
	25,000 net long or short in all Contract Months combined, per Client	
Large Open Positions	500 open contracts, in any one Contract Month, per Exchange Participant for the Exchange Participant's own behalf; and	
	500 open contracts, in any one Contract Month, per Client	
Pre-Market Opening Period	Nil	
Trading Hours (Hong Kong time)	9:00 a.m. – 4:15 p.m. (day trading session) and 5:00 p.m. – 1:00 a.m. (after-hours trading session)	
	There is no trading after 12:00 noon on the eves of Christmas, New Year and Lunar New Year. The trading hours on those three days	

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	shall be 9:00 a.m. – 12:00 noon	
	There is no after-hours trading session if it is a bank holiday in the United Kingdom, the United States and the People's Republic of China	
Trading Hours on Last Trading Day (Hong Kong time)	9:00 a.m. – 4:15 p.m. (day trading session) and 5:00 p.m. – 7:50 p.m. (after-hours trading session during British Summer Time) 5:00 p.m. – 8:50 p.m. (after-hours trading session outside British Summer Time)	
	There shall be no trading after 12:00 noon on the eves of Christmas, New Year and Lunar New Year. The trading hours on those three days shall be $9:00 \text{ a.m.} - 12:00 \text{ noon}$	
Trading Method	The Exchange's Automated Trading System (HKATS)	
Last Trading Day	The Last Trading Day determined by The London Metal Exchange for its Lead Futures Contract (i.e. usually two business days before the third Wednesday of the Spot Month)	
	If it is not a Hong Kong Business Day, the Last Trading Day shall be the immediately preceding Hong Kong Business Day	
Final Settlement Day	The second Hong Kong Business Day after the Last Trading Day	
Settlement Method	Cash settled contract of difference	
Settlement Currency	RMB	
Final Settlement Price	The Final Settlement Price of London Lead Mini Futures Contracts shall be a whole number, determined by the Clearing House, and shall be the Official Settlement Price determined and published by The London Metal Exchange for its Lead Futures Contract, and converted to RMB equivalent using the spot USD/RMB fixing published by the Treasury Markets Association in Hong Kong at 11:15 a.m. Hong Kong time on the Last Trading Day. It is rounded up if the figure in the first decimal place is 5 or above and rounded down if it is below 5	
Cash Settlement Value	The Final Settlement Price multiplied by the Contract Size	
Trading Fee (per contract per side)	Exchange Fee RMB3.00 The amount indicated above is subject to change from time to time	
Levies	Commission Levy and Investor Compensation Levy are payable at the rate or of the amount prescribed from time to time pursuant to the Ordinance	

Exchange Participants shall pay the prescribed amount of Commission Levy in RMB equivalent (at the conversion rate determined by the Exchange, rounded to the nearest RMB Cent)

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Attachment II

Error Trade Price Parameter and Procedures for the London Nickel/ Tin/ Lead Mini Futures

The price parameters for the London Nickel/Tin/Lead Mini Futures for the purpose of the error trade rule under HKFE Rule 819B are as follows:

Futures contract	from notation price
London Nickel Mini Futures London Tin Mini Futures	3% 3%
London Lead Mini Futures	3%

Note:

- 1. The notation price for futures contracts shall be obtained in the following order:
 - i. last traded price within 5 minutes prior to the Error Trade;
 - ii. the mid-point of the best bid/ask price immediately prior to the Error Trade;
 - iii. last settlement price; or
 - iv. the difference of notation prices between the related outright contracts (calendar spread only).

Notwithstanding the foregoing, the Exchange shall have absolute discretion in determining the notation price.

Attachment III

Information Vendor Access Code

	Access Code		
Company Name	London Nickel Mini Futures	London Tin Mini Futures	London Lead Mini Futures
AASTOCKS.com Limited	221410	221400	221405
AFE Solutions Limited	870804	870805	870806
Bloomberg Finance L.P.	RPLA Comdty	RFLA Comdty	RVCA Comdty
Fidessa plc	LRN_Osmy.HF	LRS_Osmy.HF	LRP_Osmy.HF
Infocast Limited	Menu (Derivatives -> Futures) Select "LRN" code	Menu (Derivatives -> Futures) Select "LRS" code	Menu (Derivatives - > Futures) Select "LRP" code
Quam (HK) Ltd	LRN	LRS	LRP
Telequote Data Int. Ltd	LRNmy	LRSmy	LRPmy
Tele-Trend Ltd	ZNmyy	ZSmyy	ZPmyy
Reuters Ltd, a Thomson Reuters Company	0#HLRN:	0#HLRS:	0#HLRP: