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香港聯合交易所有限公司

(香港交易及結算所有限公司全資附屬公司)

The Stock Exchange of Hong Kong Limited*(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)*

通告 CIRCULAR

事項 期權交易規則之修訂
Subject: Amendments to the Options Trading Rules of The Stock Exchange of Hong Kong Limited ("SEHK")

查詢
Enquiry: Mr Calvin Ip 葉柏彥先生 2211 6152

Holders of SEHK Trading Rights and Exchange Participants of SEHK are requested to note that the Securities and Futures Commission has approved amendments to the Options Trading Rules enabling SEHK to enter into arrangements with overseas regulators where the board of SEHK considers that the arrangements are conducive to the object of the market and to prescribe relevant conditions for the use of such arrangements by Options Exchange Participants.

An example of the type of arrangement covered by the rule amendments is the extension of the class no-action relief granted by the Securities and Exchange Commission of the United States ("US") covering certain activities of SEHK Participants and other persons to familiarize US registered broker-dealers and large US financial institutions with SEHK's options market and traded options as announced in SEHK's circular of today's date.

The amendments, as set out in the Appendix, will take immediate effect.

The marked-up version of the amendments can be downloaded from the "Rule Update - Options Trading Rules of the Stock Exchange" section of the HKEx website.

Christine Wong
Chief Counsel & Head
Legal Services Department

請各位香港聯合交易所有限公司交易權持有人及交易所參與者注意，證券及期貨事務監察委員會已批准期權交易所規則之修訂，使聯交所可與海外監管機構訂立聯交所董事會認為有助實現市場宗旨的安排，並就期權交易所參與者使用該等安排訂明有關條件。

規則修訂所涵蓋的其中一類安排，是將美國證券交易委員會給予的集體非訴訟寬免的範圍延展，令聯交所參與者及其他人士為讓美國註冊經紀交易商及大型美國金融機構熟悉聯交所的期權市場及期權產品而進行的若干活動也包括在內，詳情見聯交所今天發布的通告。

載於附件之修訂由即日起生效。

有關規則的標明修訂本可在香港交易所網站之"規則修訂 - 期權交易規則 - 聯交所"中下載。

法律服務部
首席法律顧問及主管
黃凱明 謹啟

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期權交易規則
Options Trading Rules

CHAPTER 3
OPTIONS EXCHANGE PARTICIPANTS' OBLIGATIONS

- 302C. The Exchange may enter into an arrangement, provided that the Board considers the arrangement to be conducive to the object of the market, with any person or body which, in the opinion of the Board, exercises a regulatory function under Hong Kong or under foreign law. Where the Exchange has entered into such an arrangement, the Board may from time to time prescribe, in the context of such arrangement, the characteristics of a person an Options Exchange Participant is or is not entitled to treat as a client, the types of orders that an Options Exchange Participant may accept from a client and the procedures that an Options Exchange Participant must follow in accepting and handling orders from a client, including the documentation which must be provided to the client and the documentation and any representations that must be obtained from the client and maintained by the Options Exchange Participant, and such other criteria as the Board may consider appropriate with reference to particular Options Contracts specified by the Board.

第三章
期權交易所參與者的責任

- 302C. 本交易所可與董事會認為屬根據香港或外國法例行使監管職能的任何人士或機構訂立一項安排，前提為董事會認為該安排有利於市場目標。若本交易所訂立此安排，董事會可不時訂明在有關安排中，期權交易所參與者有權或無權視作客戶的人士之特徵、期權交易所參與者可接納的客戶指令類別、期權交易所參與者接納及處理客戶指令時必須遵從的程序（包括必須提供予客戶的文件，以及必須向客戶取得並由期權交易所參與者保存的文件及聲明），以及董事會就其所指定期權合約認為合適的其他標準。