

Operational Trading Procedures for Options Trading Exchange Participants

Chapter 1

The Options System: Operational and Service Schedule

1.12 Special Events

Special events which may affect trading will be handled by the Exchange in a manner similar to those described in relation to Typhoon Signals or Black Rainstorm Warnings.

Options Exchange Participants will be notified of the exact arrangements and procedures in relation to any suspension of services or facilities via DCASS, HKATS, email or HKEx website, or if this is not possible, by other means deemed appropriate by the Exchange.

The guiding principle in each case is to:

- keep the options market running in line with the underlying market
- allow 30 minutes of Pre-Trading at resumption.

Chapter 3 : Trading Functionalities

3.3 Class Codes

Unlike AMS, which uses numbers to denote a stock, each option class will be allocated a unique 3-letter class code by the Exchange. The same class code will be adopted by HKATS and DCASS for the same underlying stock.

In the event that the contract specifications of an option class need to be adjusted as a result of capital adjustment, HKATS will assign a new class code for the adjusted option class unless otherwise determined by the Exchange. New options classes generated after the capital adjustment may carry a different class code. Exchange Participants will be notified from time to time of any class codes or new class codes that are allocated by HKATS and DCASS for an option class via DCASS, the Market Messages Window of HKATS, e-mail, HKEx website or such other means deemed appropriate by the Exchange.