

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.