

Rules of the Exchange

CHAPTER 1

INTERPRETATION

101. In these Rules, unless the context otherwise requires:-

“registered business address” means the business address of an Exchange Participant at which it carries on its business of dealing in securities;

109C. [Repealed]

The definitions of “Branch Office Manager” has been repealed.

CHAPTER 3

EXCHANGE PARTICIPANTSHIP

313C. [Repealed]

317A. An Exchange Participant shall promptly upon the request of the Exchange provide the Exchange with information as the Exchange may from time to time require for the purposes of these Rules or for the performance of its functions under the Ordinance. An Exchange Participant shall notify the Exchange in writing:-

(1) promptly upon the request of the Exchange of any change in any information supplied to the Exchange for its Exchange Participantship, whether at the time of application or any time thereafter.

(2) [Repealed]

351. The business name of an Exchange Participant must be the same as that registered by such Exchange Participant under the Business Registration Ordinance. The Board shall have the power to prohibit any Exchange Participant from using any business name without prescribing any reason therefor.

351A. (1) Every Exchange Participant which carries on the business of dealing in securities will be issued with an Exchange Participant Certificate which shall be displayed by it at the registered business address of the Exchange Participant. If an Exchange Participant has more than one registered business addresses, the Exchange Participant Certificate shall be displayed at its principal business address and a certified copy of the Exchange Participant Certificate shall be displayed at each of its other registered business addresses.

352. (1) [Repealed]

(4) [Repealed]