

## Search Guide for Listing Rules Guidance Search

The Listing Rules and Guidance Search facilities help users to locate information published on the HKEX corporate website.

Font Size A A A About HKEX Related Sites: LME Search Website 繁 简 中

MARKET DATA PRODUCTS SERVICES LISTING NEWS MUTUAL MARKET

Listing \ Rules and Guidance

### SEARCH BY LISTING RULES

Why List in Hong Kong

Getting Started ▶

How We Regulate ▶

Rules and Guidance ▶

#### Listing Rules Guidance Search

[Search Guide](#)

Listing Rule(s)

Board Chapter Rules

All All All (All) (All) (All)

ADD

ADD

Guidance Category(ies)

All

Search also Archive

Search also by Document Date

No  Yes

All To All

(mmyyyy) (mmyyyy)

SEARCH CLEAR

All

FAQs

Listing Decisions

Interpretative Letters

Guidance Letters

Checklists and Forms - New Applicants

Checklists and Forms - Main Board

Checklists and Forms - GEM

Other Resources

Letters to Issuers

Disciplinary & Enforcement

e-Submission System (ESS)

You can search for information by one or more of the following attributes:

- (i) Listing Rule(s)
- (ii) Guidance Category(ies)
- (iii) Search also Archive
- (iv) Search also by Document Date

### Listing Rules

The Listing Rule(s) field is divided into six segments. Default is "All".

Listing Rule(s)

Board Chapter Rules

All All All (All) (All) (All)

ADD

- **Board:** select "M" for Main Board Listing Rules or "G" for GEM Listing Rules.
- **Chapter:** select chapters of the Listing Rules. For example, C14 stands for Chapter 14.
- **Rule:** input the rule reference.

The table below sets out examples of the input convention.

Listing Rules	Corresponding Input
Main Board Rule 14A.13(1)(b)(i)	[M][C14A][13][1][b][i]
GEM Rule 20.59(3)(a)	[G][C20][59][3][a][All]
Paragraph 7(a) of Appendix 10 of Main Board Rule	[M][A10][7][a][All][All]
Paragraph 3(c) of Practice Note 15 of Main Board Rule	[M][PN15][3][c][All][All]
Guidance Note 7 of Main Board Rule	[M][GN7][All][All][All][All]

The input must be in a sequential order. For example, [M][C14A][All][1][b][i] is an invalid input.

The search facilities support wildcard searches. For example, if you input search by choosing [M][C14][All][All][All][All], the search results will display all records related to Chapter 14 of the Main Board Listing Rules.

You can add multiple Listing Rules as the search criteria (maximum five Listing Rules per search), and choose either “OR” or “AND” (default is “OR”). For example:

Case 1: Search for guidance materials relating to Main Board Rules 14.04(1)(g) **or** 14.20. You should:

- (i) Input Listing Rule – [M][C14][04][1][g][All]
- (ii) Add another Listing Rule – [M][C14][20][All][All][All] (iii) Select “OR”
- (iv) Click the search button

Case 2: Search for guidance materials relating to Main Board Rules 14.22 **and** 14.23. You should:

- (i) Input Listing Rule – [M][C14][22][All][All][All]
- (ii) Add another Listing Rule – [M][C14][23][All][All][All] (iii) Select “AND”
- (iv) Click the search button

#### Guidance Category(ies)

Choose from a list of guidance categories. Default is “All”.

You can add multiple guidance categories as the search criteria (maximum five guidance categories per search), and the search facilities will automatically use “OR” as the logic operator.

#### Search also Archive

Indicate whether you want archived documents included in the search results. Default is “No”.

#### Search also by Document Date

Input the search period (last update date) in “mmyyyy” format. Default is “All”.

## Search Results

Search results for guidance materials and FAQs are displayed in different tables.

### Guidance Table

Why List in Hong Kong

Getting Started

How We Regulate

Rules and Guidance

Listing Rules Guidance Search  
Updated: 21 September 2017

Guidance FAQs

Sorting button

Last update date	Guidance Category	Particulars	Listing Rules
09/2017	Other Resources	<a href="#">List of Depositary Receipts</a>	M.C19B
08/2017	Guidance Letters	<a href="#">Guidance on (i) disclosure requirements for substantially complete Application Proofs; and (ii) publication of Application Proofs and Post Hearing Information Packs on the Exchange's website (Updated in September 2013, February, March, June, September 2014 and August 2015, May and November 2016 and August 2017)</a>	G.C12.09, G.C14.08(7), G.C17.56(2), G.PN5.3, M.C11.07, M.C2.13(2), M.C9.03(3), M.PN22.4

Click to retrieve the document

### FAQ Table

Why List in Hong Kong

Getting Started

How We Regulate

Rules and Guidance

Listing Rules Guidance Search  
Updated: 21 September 2017

Guidance **FAQs**

Last update date	Guidance Category	FAQ Series No.	FAQ No.	Main Board Rules	GEM Rules	Query
11/2016	FAQs	1	16	M.C8.05(1)(c), M.C8.05(2)(c), M.C8.05(3)(c)	G.C11.12A(2)	Please clarify the meaning of continuity and control" under 8.05 and GEM Rule 11.12A(2)
11/2016	FAQs	24	23A	M.PN22.5	G.PN5.4	For the purpose of publication on Exchange's website, can an applicant provide more information in an Application Pack than that set out in Table GL56-13?

Click to switch between the tables