

**Submitted via Qualtrics**

**Company / Entity View**

**Market Represent(s): Derivatives Market**

**Question 1**

**Do you have any comments or concerns on the proposed arrangements for the Hong Kong securities market?**

Yes

**If the answer is "Yes", please specify your comments or concern:**

We are SFC licensed Type 1&2 with the following 2 conditions:

- the Company does not manage client monies,
- the Company only deals with PI

The Company Agency business on HKEX is cleared by a bank. The risk related to trading during Severe Weather is intrinsic to our clients and clearer to be able to clear and accept the trades.

The Company is capable of providing the necessary operations during Severe Weather.

**Question 2**

**Do you have any comments or concerns on the proposed arrangements for Northbound Trading under Stock Connect?**

No

**If the answer is "Yes", please specify your comments or concern:**

N/A

**Question 3**

**Do you have any comments or concerns on the proposed arrangements for Hong**

**Kong derivatives market?**

Yes

**If the answer is "Yes", please specify your comments or concern:**

Same comment as question 1.

The Company can accomodate the proposed arrangements as long as our clients and our clearer can.

**Question 4**

**Do you have any comments or concerns on the proposed arrangements for new listings and new products?**

No

**If the answer is "Yes", please specify your comments or concern:**

N/A

**Question 5a**

**Do you have any comments or concerns on the proposed money transfer arrangements in relation to Cheque Clearing?**

No

**If the answer is "Yes", please specify your comments or concern:**

N/A

**Question 5b**

**Do you have any comments or concerns on the proposed money transfer arrangements in relation to Banking Services?**

No

**If the answer is "Yes", please specify your comments or concern:**

N/A

**Question 6**

**Do you agree with the proposed arrangements for listing applicants and listed issuers as set out in paragraphs 90 – 91?**

Yes

**If the answer is "No", please specify your comments or concern:**

N/A

**Question 7**

**Do you agree with the proposed arrangements for listing applicants and listed issuers as set out in paragraphs 92 – 94?**

Yes

**If the answer is "No", please specify your comments or concern:**

N/A

**Question 8**

**Do you envisage there being any material practical difficulty in complying with any particular Listing Rule requirements?**

No

**If the answer is "Yes", please specify your comments or concern:**

N/A

**Question 9**

**Do you agree that consequential amendments to the Listing Rules should be made?**

Yes

**If the answer is "No", please specify your comments or concern:**

N/A

**Question 10**

**Under the proposed model, do you foresee any insurmountable difficulties for implementing SWT?**

No

**If the answer is "Yes", please specify your comments or concern:**

N/A

**Question 11**

**Would there be adequate time to prepare for SWT to come effective in July 2024 under the proposed model?**

Yes

**If the answer is "No", please specify the reasonable length and reason(s):**

N/A