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## 通告 CIRCULAR

Subject: **2020 Annual Attestation and Inspection Programme**  
**(i) Self-attestation of Compliance Questionnaire Part 2**  
**(ii) Information Session Presentation Materials**

Enquiry: [surveillance@hkex.com.hk](mailto:surveillance@hkex.com.hk)

Reference is made to the circular (Ref. No.: MSM/004/2020) dated 29 April 2020 regarding Part 1 of Self-attestation of Compliance Questionnaire (the "Questionnaire") and the circular (Ref. No.: MSM/003/2020) dated 13 March 2020 regarding Information Sessions on Annual Attestation and Inspection Programme 2020 ("the Programme").

Part 2 of the Questionnaire, which covers Risk Management matters, is now available for completion. All Clearing Participants<sup>1</sup> are required to complete and return the Questionnaire via the Electronic Communication Platform<sup>2</sup> by 26 June 2020. As a reminder, Clearing Participants who are also Exchange Participants should complete and return Part 1 of the Questionnaire by 12 June 2020.

The Questionnaire and User Guide for ECP are available at [HKEX Rule Enforcement's webpage](#).

Separately, the information sessions on the Programme were conducted successfully in April. The presentation materials are now available on [HKEX Rule Enforcement's webpage](#).

**Garbo Cheung**

**Head**

**Market Surveillance and Monitoring**

**Post Trade Division**

<sup>1</sup> Including (a) Clearing Participants and General Clearing Participants of HKFE Clearing Corporation Limited, (b) Direct Clearing Participants, General Clearing Participants and Custodian Participants of Hong Kong Securities Clearing Company Limited, and (c) Direct Clearing Participants and General Clearing Participants of The SEHK Options Clearing House

<sup>2</sup> For Participants who do not have an ECP account, please contact us at [ecpadmin@hkex.com.hk](mailto:ecpadmin@hkex.com.hk) or 2840 3933 for setup arrangements.