

香港交易及結算所有限公司是《證券及期貨條例》所述的認可控制人，亦為香港聯合交易所有限公司、香港期貨交易所有限公司、香港中央結算有限公司、香港聯合交易所期權結算所有限公司、香港期貨結算有限公司及香港場外結算有限公司的控制人。

Hong Kong Exchanges and Clearing Limited is a recognized exchange controller under the Securities and Futures Ordinance which is controller of The Stock Exchange of Hong Kong Limited, Hong Kong Futures Exchange Limited, Hong Kong Securities Clearing Company Limited, The SEHK Options Clearing House Limited, HKFE Clearing Corporation Limited and OTC Clearing Hong Kong Limited.

通告 CIRCULAR

Subject: **REMINDER – 2020 Annual Attestation and Inspection Programme – Self-attestation of Compliance Questionnaire**

Enquiry: surveillance@hkex.com.hk

Reference is made to the circular (Ref. No.: MSM/004/2020) dated 29 April 2020 regarding Part 1 of the Self-attestation of Compliance Questionnaire (the “Questionnaire”) and the circular (Ref. No.: MSM/005/2020) dated 15 May 2020 regarding Part 2 of the Questionnaire.

- Part 1 covers China Connect Rules and Client Margin Requirements. Exchange Participants¹ are required to complete and return Part 1 of the Questionnaire by 12 June 2020.
- Part 2 covers Risk Management and is applicable to Clearing Participants² only. Clearing Participants are required to complete and return Part 2 of the Questionnaire by 26 June 2020.

All Participants are required to submit a duly completed Questionnaire via the Electronic Communication Platform³ (the “ECP”) at <https://www.ecp.hkex.com.hk/>.

¹ Including Exchange Participants of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited.

² 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.

³ For Participants who do not have an ECP account, please contact us at ecpadmin@hkex.com.hk or 2840 3933 for setup arrangements.

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

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