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Hong Kong Exchanges and Clearing Limited is a recognized exchange controller under the Securities and Futures Ordinance which is the 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: 2022 Annual Attestation and Inspection Programme – Self-attestation of Compliance Questionnaire

Enquiry: surveillance@hkex.com.hk

Reference is made to the circular (Ref. No.: MSM/005/2022) dated 26 April 2022 regarding the Annual Attestation and Inspection Programme 2022 (the “Programme”).

Under the Programme, all Participants¹ are required to submit a duly completed Self-attestation of Compliance Questionnaire (the “Questionnaire”) via the Electronic Communication Platform² (the “ECP”) at <https://www.ecp.hkex.com.hk/>.

The Questionnaire is divided into two parts:

- Part 1 covers the three priority areas of the Programme i.e. (1) China Connect Rules, (2) Risk Management, and (3) Clearing Rules Obligations, and Prescribed Risk Controls. All Participants are required to complete and return the Questionnaire by **30 June 2022**.
- Part 2 specifically covers Next Generation Post Trade Platform - Risk Management (NGRM) and is applicable to HKSCC Clearing Participants only. A separate circular will be published in due course.

Participants are reminded of their obligations under the relevant rules³ to complete and return the Questionnaire to the Exchange by the specified deadline.

¹ Including, (i) Exchange Participants of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited; (ii)(a) Clearing Participants and General Clearing Participants of HKFE Clearing Corporation Limited, (ii)(b) Direct Clearing Participants, General Clearing Participants and Custodian Participants of Hong Kong Securities Clearing Company Limited, and (ii)(c) Direct Clearing Participants and General Clearing Participants of The SEHK Options Clearing House.

² For Participants who currently do not have an account on ECP, please contact us at ecpadmin@hkex.com.hk or 2840 3933 for setup arrangements.

³ The relevant rules are SEHK Rule 569(3)(b), HKFE Rule 535, HKCC Rule 214A(a)(iv), CCASS Rule 1703 and SEOCH Rule 403F(4).

The Questionnaire and the User Guide for the ECP⁴ are available at [HKEX Rule Enforcement webpage](#).

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⁴ The Exchange has announced the plan to introduce a new communication platform ("ECP 2.0") in early Q2 2022. The rollout of ECP 2.0 will NOT impact the questionnaire submission for the 2022 Annual Programme. Participants should submit the questionnaire via ECP 1.0.