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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: 2023 Annual Attestation and Inspection Programme – Self-attestation of Compliance Questionnaire

Enquiry: surveillance@hkex.com.hk

Reference is made to the circular (Ref. No.: MSM/002/2023) dated 28 February 2023 regarding the Annual Attestation and Inspection Programme 2023 (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://ecp2.hkex.com.hk/>.

The Questionnaire covers the two priority areas of the Programme i.e. (1) China Connect Rules, and (2) Risk Management, and Prescribed Risk Controls. All Participants are required to complete and return the Questionnaire by **21 July 2023**.

Participants are reminded of their obligations under the relevant rules³ to complete and return the Questionnaire to the Exchange by the specified deadline. Any late or incomplete submission will be taken seriously and may result in disciplinary actions in accordance with the relevant rules and regulations.

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 The ECP has been migrated to an enhanced version since April 2022. For Participant applying for the first time to be an ECP user, please contact us at ecpadmin@hkex.com.hk or 2840 3933 for setup arrangements. For Participant who already has an ECP account, the account creation for its individual business users shall be handled by the Participant’s designated Delegated Administrator.

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 ECP User Guide are available at [HKEX Rule Enforcement webpage](#).

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