

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

Enquiry: surveillance@hkex.com.hk

Reference is made to the circular dated 9 June 2023 (Ref. No.: MSM/006/2023) regarding the 2023 Self-attestation of Compliance Questionnaire (the “Questionnaire”).

The Exchange would like to remind all Participants¹ that the deadline to submit the Questionnaire, via the Electronic Communication Platform² (the “ECP”) at <https://ecp2.hkex.com.hk/>, is **21 July 2023**.

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

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.

Felix Wang
Head, Market Surveillance and Monitoring
Operations Division

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 Limited.

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).