

香港交易及結算有限公司是《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: Information Sessions on

1. Annual Attestation and Inspection Programme 2018, and
2. Northbound Investor ID and Northbound Trading Rules against Market Misconduct

Enquiry: surveillance@hkex.com.hk

With a view to enhancing Exchange and Clearing Participants' awareness and compliance with HKEX rules and regulations, we will conduct information session on:

1. Annual Attestation and Inspection Programme 2018, as announced in our circular (ref: MSM/003/2018), covering:
 - a. Client margin requirements
 - b. Risk management
 - c. China Connect Rules
2. Northbound Investor ID Model and the Information Pack on Northbound Trading Rules against Market Misconduct, that was published by way of circular (ref: MSM/001/2018)

Each information session will qualify for 1.5 CPT hours. Enrolment details can be found in the attached Appendix or our [dedicated website](#) at www.hkex.com.hk.

Garbo Cheung

Head

Market Surveillance and Monitoring

Markets Division