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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: REMINDER – 2021 Annual Attestation and Inspection Programme – Self-attestation of Compliance Questionnaire**

**Enquiry: [surveillance@hkex.com.hk](mailto:surveillance@hkex.com.hk)**

Reference is made to the circular (Ref. No.: MSM/006/2021) dated 28 April 2021 regarding the Self-attestation of Compliance Questionnaire (the “Questionnaire”).

The Exchange would like to remind all Participants<sup>1</sup> that the deadline to submit the Self-attestation of Compliance Questionnaire (the “Questionnaire”) via the Electronic Communication Platform<sup>2</sup> (the “ECP”) at <https://www.ecp.hkex.com.hk/> is 18 June 2021.

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

Participants should ensure a timely, complete and accurate submission of the Questionnaire. 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**  
**Markets Division**

<sup>1</sup> 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.

<sup>2</sup> For Participants who currently do not have an account on ECP, please contact us at [ecpadmin@hkex.com.hk](mailto:ecpadmin@hkex.com.hk) or 2840 3933 for setup arrangements.