

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: 2018 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/003/2018) dated 28 February 2018 regarding the Annual Attestation and Inspection Programme (the “Programme”) 2018.

Under the Programme, all Exchange Participants<sup>1</sup> and Clearing Participants<sup>2</sup> are required to submit a duly completed Self-attestation of Compliance Questionnaire (the “Questionnaire”) via the Electronic Communication Platform (the “ECP”) at <https://www.ecp.hkex.com.hk/> by 30 April 2018.

The Questionnaire and the User Guide for the ECP are available on the HKEX website at <http://www.hkex.com.hk/eng/rulesreg/tradingruleenforcement/ruleenforcement.htm>.

**Garbo Cheung**

**Head**

**Market Surveillance and Monitoring**

**Markets Division**

<sup>1</sup> Exchange Participants of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited

<sup>2</sup> (i) Clearing Participants and General Clearing Participants of HKFE Clearing Corporation Limited, and (ii) Direct Clearing Participants and General Clearing Participants of Hong Kong Securities Clearing Company Limited and The SEHK Options Clearing House Limited