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通告 CIRCULAR

Subject: REMINDER - 2018 Annual Attestation and Inspection Programme – Self-attestation of Compliance Questionnaire

Enquiry: 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 Participants¹ and Clearing Participants² 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

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¹ Exchange Participants of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited

² (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