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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: 2020 Annual Attestation and Inspection Programme – Self-attestation of Compliance Questionnaire

Enquiry: surveillance@hkex.com.hk

Reference is made to the circular (Ref. No.: MSM/002/2020) dated 28 February 2020 regarding the Annual Attestation and Inspection Programme 2020 (the “Programme”). Under the Programme, all Participants are required to submit a duly completed Self-attestation of Compliance Questionnaire (the “Questionnaire”) via the Electronic Communication Platform¹ (the “ECP”) at <https://www.ecp.hkex.com.hk/>.

The Questionnaire is divided into two parts. Participants are required to complete and return the relevant parts to the Exchange by the submission deadline, which has been extended this year in view of the COVID-19 outbreak.

- Part 1 covers China Connect Rules and Client Margin Requirements. Exchange Participants² are required to complete and return the Questionnaire by 12 June 2020.
- Part 2 covers Risk Management and is applicable to Clearing Participants only³. A separate circular will be published in due course.

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

Garbo Cheung

Head

Market Surveillance and Monitoring

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¹ For Participants who do not have an ECP account, please contact us at ecpadmin@hkex.com.hk or 2840 3933 for setup arrangements.

² Including Exchange Participants of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited

³ Including (a) Clearing Participants and General Clearing Participants of HKFE Clearing Corporation Limited, (b) Direct Clearing Participants, General Clearing Participants and Custodian Participants of Hong Kong Securities Clearing Company Limited, and (c) Direct Clearing Participants and General Clearing Participants of The SEHK Options Clearing House