

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: 2022 Annual Attestation and Inspection Programme – Self-attestation of Compliance Questionnaire (Part 2)

Enquiry: surveillance@hkex.com.hk

Reference is made to the circular (Ref. No.: MSM/006/2022) dated 20 May 2022 regarding the 2022 Annual Attestation and Inspection Programme (the “Programme”) – Self-attestation of Compliance Questionnaire.

Under the Programme, all Participants¹ are required to submit a duly completed Self-attestation of Compliance Questionnaire (the “Questionnaire”) via the Electronic Communication Platform² (the “ECP”) at <https://www.ecp.hkex.com.hk/> by **30 June 2022**.

Part 2 of the Questionnaire, which specifically covers Next Generation Post Trade Platform - Risk Management (NGRM), is now available for completion. Applicable HKSCC Clearing Participants³ are required to complete and return the Questionnaire, both Part 1 and Part 2, via the ECP by **30 June 2022**.

Participants are reminded of their obligations under the relevant rules⁴ to complete and return the Questionnaire to the Exchange by the specified deadline.

¹ 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.

² For Participants who currently do not have an account on ECP, please contact us at ecpadmin@hkex.com.hk or 2840 3933 for setup arrangements.

³ Applicable HKSCC Clearing Participants refer to Direct Clearing Participants and General Clearing Participants of Hong Kong Securities Clearing Company Limited.

⁴ The relevant rules are SEHK Rule 569(3)(b), HKFE Rule 535, HKCC Rule 214A(a)(iv), CCASS Rule 1703 and SEOCH Rule 403F(4).

The Questionnaire and the User Guide for the ECP⁵ are available at [HKEX Rule Enforcement webpage](#).

Felix Wang
Head
Market Surveillance and Monitoring
Operations Division

⁵ The Exchange has announced the plan to introduce a new communication platform ("ECP 2.0") in early Q2 2022. The rollout of ECP 2.0 will NOT impact the questionnaire submission for the 2022 Annual Programme. Participants should submit the questionnaire via ECP 1.0.