

Guidelines for the Migration of Submission Folders in ECP 2.0

A. Cutover Time

The folders listed in Section B will be enabled in ECP 2.0 at around 10 pm on 3 June 2022 (Friday), same folders will be disabled and hidden in the existing ECP at the same time.

B. List of Folders in the First Migration Batch

User Type	ECP 2.0 Functions	Folder Name
SEHK Participant	EU_ECPSD	<ul style="list-style-type: none"> ➤ SD-1: Stamp Duty Daily Return ➤ SD-6: ETF Market Makers Underlying Stock Transactions Reporting Form ➤ SD-6A: ETF Market Makers Underlying Stock Transactions Reporting Form (Supplemental)
	EU_ECPTO	<ul style="list-style-type: none"> ➤ Submission of SFTP User Account Registration / Update for Northbound Investor ID Model ➤ Stock Borrowing and Lending Monthly Report for Shanghai-Hong Kong Stock Connect ➤ Short Selling Weekly Report for China Connect Securities ➤ Stock Borrowing and Lending Monthly Report for Shenzhen-Hong Kong Stock Connect ➤ Short Selling Weekly Report for China Connect Securities (Shenzhen-Hong Kong Stock Connect) ➤ Shenzhen-Hong Kong Stock Connect Quarterly Return on Trading Composition ➤ Shanghai-Hong Kong Stock Connect Quarterly Return on Trading Composition ➤ MSM05M - Documents Request from HKEX
HKFE Participant	EU_ECPDO	<ul style="list-style-type: none"> ➤ MSM05F - Documents Request from HKEX

For the details of the folders, please refer to the Appendix 7.3 of [ECP 2.0 User Guide](#).

C. Late Submission Handling

1. Stamp Duty Daily Return (Form SD-1)

- The submission cut off time for the Form SD-1 is 11:00 am on T+2 day, i.e. file submission for stamp duty payable for trading date of 1 June 2022 is cut off at 11:00am on 6 June 2022. To avoid leaving your deadlines to the last minute, **EPs are recommended to submit the files of 1 June 2022 via the existing ECP by 2 June 2022 (Thursday)**.
- The ECP automatically rejects any late submissions with an error message. You should follow the steps below for any late submission.

- 1) Contact HKEX based on the contact details below.

Finance Department

Tel: (852) 2211 6305 / (852) 2840 3818

Email: SD1@hkex.com.hk

- 2) Deposit the relevant stamp duty payment into the HKEX's designated bank account.
- 3) Email Form SD-1 with authorized signature and company chop together with the proof of payment (e.g. payment slip) to: SD1@hkex.com.hk.

2. ETF Market Makers Underlying Stock Transactions Reporting Form (Form SD-6)

- The submission cut off time for the Form SD-6 is 10:15am T+1 day, i.e. file submission for trading date of 2 June 2022 is cut off at 10:15am on 6 June 2022. To avoid leaving your deadlines to the last minute, **EPs are reminded to submit the file of 2 June 2022 via the existing ECP by 2 June 2022 (Thursday)**.
- The ECP automatically rejects any late submissions with an error message. You should contact HKEX based on the contact details below for any late submission.

Trading Department

Tel: (852) 2840 3933

Fax: (852) 2523 6804

Email: ecpadmin@hkex.com.hk

3. ETF Market Makers Underlying Stock Transactions Reporting Form (Supplemental) (Form SD-6A)

- The submission cut off time for the Form SD-6A is 10:15am T+3 day, i.e. file submission for trading date of 31 May 2022 is cut off at 10:15am on 6 June 2022. To avoid leaving your deadlines to the last minute, **EPs are reminded to submit the file of 31 May 2022 via the existing ECP by 2 June 2022 (Thursday).**
- The ECP automatically rejects any late submissions with an error message. You should contact HKEX based on the contact details below for any late submission.

Trading Department

Tel: (852) 2840 3933

Fax: (852) 2523 6804

Email: ecpadmin@hkex.com.hk

For the detailed specifications of the relevant forms, please refer to the corresponding Appendices of [ECP 2.0 User Guide](#).