

Guidelines for the Migration of Additional Submission and Download Folders in ECP 2.0

A. Cutover Time

- Non LOPR Folders

The folders listed in Section B (except LOP folders) will be enabled in ECP 2.0 at around 10pm on 2 December 2022 (Friday).

Same folders will be disabled and hidden in the existing ECP at around 10pm on 2 December 2022 (Friday).

- LOPR Folders

LOPR folders will be enabled in ECP 2.0 at around 10pm on 2 December 2022 (Friday). Same folders will still be available in the existing ECP and DCASS RAP during the period from 10pm on 2 December (Friday) to 10pm on 9 December 2022 (Friday) (“transition period”). LOPR submitters can submit files through any one of the platforms during the transition period for LOPR for trade dates from 2 December 2022 to 8 December 2022.

From 10pm on 9 December (Friday) onwards, all LOPR submission shall be submitted through ECP 2.0.

B. List of Folders in the last Migration Batch

User Type	ECP 2.0 Function	Folder Name
SEHK Participant	EU_ECPSD	➤ SD-4: Options Market Maker Jobbing Transaction Composite Reporting Form
	EU_ECPTO	<ul style="list-style-type: none"> ➤ BCAN Error Report for Shanghai Connect ➤ BCAN Error Report for Shenzhen Connect ➤ Stock Options Market Making Affiliate Financial Statement ➤ Excess Position Limit Usage Reporting for ETF Market Makers ➤ Self-Attestation of Compliance Questionnaire (For SEHK, HKSCC and SEOCH Participants)¹
	EU_ECPMM	➤ Exchange Traded Products Performance and Other Information Files ²
HKFE Participant	EU_ECPDO	➤ Self-Attestation of Compliance Questionnaire (HKFE and HKCC Participants) ¹
Options Exchange Participant of SEHK	EU_ECPSO	➤ Self-Attestation of Compliance Questionnaire (HKFE and HKCC Participants) ¹

User Type	ECP 2.0 Function	Folder Name
Exchange Traded Products related user (ETP issuer, Designated Specialist or Securities Market Maker)	EU_ECPDS	➤ Exchange Traded Products Performance and Other Information Files ²
	EU_ECPPF	➤ Exchange Traded Products Performance and Other Information Files ²
Large Open Position Reporting user	EU_ECPLT	<ul style="list-style-type: none"> ➤ Large Open Position Report of Transaction Originator:Index futures/options or other futures contract ➤ Large Open Position Report of Transaction Originator:Stock options contract
	EU_ECPST	➤ Large Open Position Report of Transaction Originator:Stock options contract
	EU_ECPLB	<ul style="list-style-type: none"> ➤ Large Open Position Report of Beneficial Identity:Index futures/options or other futures contract ➤ Large Open Position Report of Beneficial Identity:Stock options contract
	EU_ECPSB	➤ Large Open Position Report of Beneficial Identity:Stock options contract
HKSCC General Clearing Participant	EU_ECPSAG	➤ Self-Attestation of Compliance Questionnaire ¹
HKSCC Custodian Participant	EU_ECPSAC	➤ Self-Attestation of Compliance Questionnaire ¹

¹Submission of the Self-Attestation of Compliance Questionnaire will be enabled in ECP 2.0 later for 2023 Annual Attestation and Inspection Programme and onwards.

²Download of the Exchange Traded Products Performance and Other Information Files will be available in both the existing ECP and ECP 2.0.

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

C. Late Submission Handling

1. Options Market Maker Jobbing Transaction Composite Reporting Form (Form SD-4)

- The submission cut off time for Form SD-4 is 10:15am on day T+1. 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

2. Large Open Position Reports (LOPR)

- The submission cut off time for the LOPR forms is 12:00noon on day T+1. 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.

Market Surveillance & Monitoring

Tel: (852) 2211 6339/ 2840 3739

Fax: (852) 2581 1413

Email: lophkfe@hkex.com.hk

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