Attachment 1

Introduce Settlement Services on Half-Day Trading ("HDT") Days in Hong Kong Securities Market – Readiness Form			
Part I – Participant and Contact Person Information			
Full Name of Exchange Participant / Clearing Participant			
Primary Contact Person Name	Title	Business Email Address	Business Phone No.
Secondary Contact Person Name	Title	Business Email Address	Business Phone No.

Part II – Assessment Confirmation	
Q1. **International Alignment** In light of the widespread adoption of settlement on HDT days in major international markets, do you foresee any material concern or implementation obstacle to support similar arrangements in Hong Kong?	☐ No ☐ Yes, please specify ____________________
Q2. **System Readiness** Do you foresee any difficulties in completing the necessary system changes in additional to calendar configuration?	☐ No ☐ Yes, please specify ____________________
Q3. **Funding Arrangement** Given that banking services will operate as normal on HDT days, do you foresee any material funding issues in meeting payment obligations (e.g. money obligations, marks, margin, exercised options trades, stamp duty and levies) by the applicable deadlines set out in the relevant HKEX circulars and/or Rules/Procedures?	☐ No ☐ Yes, please specify ____________________
Q4. **Staffing Arrangement** Do you foresee any material staffing difficulties in supporting settlement and reporting activities (e.g. Form SD-1, SD-4, SD-6, SD-6A and DCMMAF) on HDT days?	☐ No ☐ Yes, please specify ____________________

Q5. **Overall Readiness** Please indicate your firm's expected readiness timeline to support settlement services on HDT days:	☐ Ready by January 2027 ☐ Ready by July 2027

Part III – Checklist of Operational and System Readiness for Clearing and Settlement on a HDT Day[1]

For an Exchange Participant[2] ("EP") of The Stock Exchange of Hong Kong Limited ("SEHK") and/or an Options Trading Exchange Participants ("OTEP") of SEHK

1. Confirm with all relevant stakeholders, including the team or department responsible for compliance and regulatory functions, as well as internal IT and/or system vendor(s) and any external service provider, to ensure the readiness of all relevant systems and remote access in supporting the surveillance, monitoring and submission of regulatory reporting and any payment arrangements (i.e. Stamp Duty Daily Return (Form SD-1) and Stamp Duty payments on HDT days).
2. Confirm internally the contact list registered with SEHK is up to date and applicable for HDT days communications.
3. (Only applicable to an EP and/or OTEP of SEHK that is not a Direct Clearing Participant ("DCP") of HKSCC, as the case may be) Confirm with (i) your clearing services provider appointed to provide third-party clearing service is HDT settlement ready and has separately submitted the HDT Market Readiness Form (the "Form"), and/or (ii) system vendor(s) (if applicable) that access to the CCASS/CCMS is available on HDT days.

For a Clearing Participant[3] ("CP") of HKSCC and/or The SEHK Options Clearing House Limited ("SEOCH")

1. Confirm with your internal IT and/or system vendor(s) (if applicable) to ensure access to CCASS/DCASS/CCMS is available on HDT days.
2. (if applicable) Confirm with your settlement/designated banks that all settlement accounts operate as usual to fulfil the required payment obligations on a trading day as set forth in the rules and procedures of HKSCC on HDT days.
3. Confirm your operational team and funding team are fully aware of the payment deadline to fulfil the required payment obligation (e.g. marks, margin, settlement obligation, stamp duty) during HDT days.
4. Confirm your firm has well communicated to your clients for normal settlement arrangement on HDT days.
5. (if applicable) Confirm your firm has already coordinated and reviewed the settlement arrangement under HDT days of exercised options trades resulting from exercise and assignment of stock options in stock options market.

[1] HKSCC circular on CCASS Services on the Eves of Christmas, New Year and Lunar New Year | https://www.hkex.com.hk/-/media/HKEX-Market/Services/Circulars-and-Notices/Participant-and-Members-Circulars/HKSCC/2025/ce_HKSCC_SET_048_2025.pdf
[2] Has the same meaning as in the Exchange Rules
[3] Conclusively means a Participant admitted to participate in CCASS as a Direct Clearing Participant or a General Clearing Participant, SEOCH Participant registered as a Direct Clearing Participant or a SEOCH Participant registered as a General Clearing Participant.

Part IV – Readiness Confirmation

We, ______________________________, in each of the following capacities to

☐	SEHK EP (Participant ID:)
☐	SEHK OTEP (HKATS Customer Code:)
☐	HKSCC Participant (Participant ID:)
☐	SEOCH Participant (DCASS Customer Code:)

- confirm that the information provided in this Form is complete, true and correct; and
- have read, understood and checked the items listed in Part III and confirm that our firm is operationally and system ready to support settlement services on HDT days, as indicated in Question 5 of Part II.

	Full Name	Date
Name of Responsible Officer of SEHK EP		
Name of Responsible Officer of SEHK OTEP		
Name of Authorized Person of HKSCC Participant		
Name of Authorized Person of SEOCH Participant		

Guidance Notes:

1. Please read the circulars of SEHK, HKSCC and SEOCH dated 27 Aug 2026 (Ref: CT/129/26, PT/SCS/CCASS/027/2026, PT/CLR/SEOCH/063/2026) before completing this Form.

2. Each firm shall submit one Form for each identity specified in Part III.

3. Please submit the completed Form in PDF format on or before 26 Sep 2026:

   (i) HKSCC and/or SEOCH CPs that are not SEHK EPs should email it to clearingps@hkex.com.hk (HKSCC) or clearingpsd@hkex.com.hk (SEOCH);

   (ii) SEHK EPs, SEHK OTEPs, and HKSCC/SEOCH CPs with an ECP user account should submit it via the Electronic Communication Platform (ECP) at https://ecp2.hkex.com.hk/ in accordance with the specified requirements.

Submission channel	SEHK EP ECP user account (https://ecp2.hkex.com.hk/)
User with Business Function in ECP	EU_ECPTO
Submission File Name	HDT_NNNNN.pdf (where NNNNN being the SEHK EP Participant ID with a leading zero)
Submission	navigate to the left navigation menu to select the "Submission" function, then click the hyperlink of "Market Readiness Form for Half-Day Trading (for SEHK EP)" on the submission list page to submit.

4. For enquiry about this Form, please contact the following HKEX Hotlines[4]:

- CCASS Hotline for HKSCC Clearing Participants at (+852) 2979-7111, or
- DCASS Hotline for SEOCH Clearing Participants at (+852) 2979-7222, or
- HKATS Hotline for SEHK Options Trading Exchange Participants at (+852) 2211-6360, or
- For form submission via ECP, Participant General Enquiry Hotline for SEHK Participants at (+852) 2840-3626.

[4] All calls to and from the Enquiry Hotline may be recorded. HKEX Privacy Policy Statement is available here.