

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: 2024 Annual Attestation and Inspection Programme

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As part of our continuing efforts to promote the compliance culture of our marketplace, we will commence the 2024 Annual Attestation and Inspection Programme (the “**Programme**”) shortly. The Programme, which focuses on participants’ compliance with the relevant rules and regulations, comprises two core components: (1) self-attestation of compliance by participants and (2) on-site inspection of selected participants. Details of the Programme can be found on the [HKEX Rule Enforcement webpage](#).

### PROGRAMME’S PRIORITY AREAS

The 2024 Programme will put priority on the following areas:

- China Connect Rules:** Compliance with China Connect Rules in relation to Northbound trading (*applicable to China Connect Exchange Participants and Trade-through Exchange Participants of SEHK*);
- Hong Kong Investor Identification Regime (“HKIDR”):** Compliance with Investor Identification Requirements in relation to Hong Kong securities trading (*applicable to SEHK Participants*); and
- Risk Management:** Practices in place to identify, assess, monitor and mitigate various areas of risk such as credit, liquidity, operational, market and financial (*applicable to Clearing Participants*<sup>1</sup>).

In addition, the self-attestation compliance questionnaire will cover Prescribed Risk Controls for Trading System (*applicable to HKFE Participants and SEHK Stock Options Exchange Participants only*).

<sup>1</sup> (i) Clearing Participants and General Clearing Participants of HKFE Clearing Corporation Limited, (ii) Direct Clearing Participants and General Clearing Participants of Hong Kong Securities Clearing Company Limited and The SEHK Options Clearing House Limited

## **INFORMATION SESSIONS ON THE 2024 PROGRAMME**

Participants are cordially invited to attend one of our two information sessions on the 2024 Programme. For this year, the information sessions will be hosted in a live webinar format, while the webinar recording and presentation materials will be made available on [HKEX Rule Enforcement webpage](#) subsequent to the information sessions. The registration deadline for the information sessions is Tuesday, 16 April 2024.

Each information session will qualify for 1.5 CPT hours. Enrolment details can be found in the attached Appendix or [HKEX Rule Enforcement webpage](#).

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*This circular has been issued in English with a separate Chinese translation of the same. If there is any discrepancy between the Chinese version and the English version, the English version shall prevail.*