SEOCH_Quantitative Disclosure

PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
4.1	4.1.1	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Prefunded - Own Capital Before; Reported as at quarter end	2023-12-31	HKD291,738,175.00	4.1 - SEOCH retains a single Reserve Fund for its different products. 4.1.1 - The amount of own capital is equivalent to DFCCP (as defined in BCBS 282) as the CCP's prefunded own resources which are contributed to the default waterfall, where these are junior or pari passu to prefunded member contributions. The reported amount included SEOCH own capital (of HKD164,856,175.00) and accumulated interest income earned on Reserve Fund Contributions. While interest income does not represent SEOCH's prefunded own resources, interest income are junior to member contributions in the default waterfall, hence this amount is reported in this component. The value of DFCCP is consistent with that used in the calculation of KCCP reported in 4.2.1.	2023-09-30	HKD288,128,745.00	4.1 - SEOCH retains a single Reserve Fund for its different products. 4.1.1 - The amount of own capital is equivalent to DFCCP (as defined in BCBS 282) as the CCP's prefunded own resources which are contributed to the default waterfall, where these are junior or pari passu to prefunded member contributions. The reported amount included SEOCH own capital (of HKD163,770,745.00) and accumulated interest income earned on Reserve Fund Contributions. While interest income does not represent SEOCH's prefunded own resources, interest income are junior to member contributions in the default waterfall, hence this amount is reported in this component. The value of DFCCP is consistent with that used in the calculation of KCCP reported in 4.2.1.
4.1	4.1.2	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Prefunded - Own Capital Alongside; Reported as at quarter end	2023-12-31	HKD0.00		2023-09-30	HKD0.00	
4.1	4.1.3	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Prefunded - Own Capital After; Reported as at quarter end	2023-12-31	HKD0.00		2023-09-30	HKD0.00	
4.1	4.1.4	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Prefunded - Aggregate Participant Contributions - Required; Reported as at quarter end	2023-12-31	HKD1,356,823,578.00		2023-09-30	HKD1,349,578,699.00	
4.1	4.1.5	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Prefunded - Aggregate Participant Contributions - Post-Haircut Posted; Reported as at quarter end	2023-12-31	HKD1,356,823,578.00		2023-09-30	HKD1,349,578,699.00	
4.1	4.1.6	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Prefunded - Other; Reported as at quarter end	2023-12-31	N/A	4.1.6 - Hong Kong Exchanges and Clearing Limited (HKEX) has committed HKD4 billion from its shareholders' funds as HKEX Risk Management Capital to use only for the strengthening the risk management framework of the three clearing houses as central counterparties. Effective from 1 Jun 2018, the HKSCC Margin Credit, HKSCC Dynamic Contribution Credit, HKCC Participant Additional Deposit Credit and the three clearing houses' appropriations are supported by the HKD4 billion.	2023-09-30	N/A	4.1.6 - Hong Kong Exchanges and Clearing Limited (HKEX) has committed HKD4 billion from its shareholders' funds as HKEX Risk Management Capital to use only for the strengthening the risk management framework of the three clearing houses as central counterparties. Effective from 1 Jun 2018, the HKSCC Margin Credit, HKSCC Dynamic Contribution Credit, HKCC Participant Additional Deposit Credit and the three clearing houses' appropriations are supported by the HKD4 billion.
4.1	4.1.7	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Committed - Own/parent funds that are committed to address a participant default (or round of participant defaults); Reported as at quarter end	2023-12-31	N/A		2023-09-30	N/A	
4.1	4.1.8	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Committed - Aggregate participant commitments to address an initial participant default (or initial round of participant defaults); Reported as at quarter end	2023-12-31	HKD2,713,647,156.00	4.1.8 - SEOCH Rules stipulate that in respect of one or more events of default occurring during the period beginning from the date on which SEOCH declares a SEOCH Participant to be a Defaulter for an event of default and ending on the 5th Business Day following such declaration (referred to as the "Capped Liability Period"), the aggregate liability of a SEOCH Participant to provide Assessments during a Capped Liability Period shall be limited to an amount which is equal to a SEOCH Participant's Reserve Fund Requirement on the Business Day immediately preceding the start of the Capped Liability Period, plus one time such amount. Assessments shall not be required from SEOCH Participants which have been declared as a Defaulter on the day such Assessment are demanded or whose SEOCH Participantships have been effectively terminated by SEOCH at or prior to the start of the Capped Liability Period. Reference: Options Clearing Rules, Chapter 4, Rule 413C-413E; Operational Clearing Procedures for Options Trading Exchange Participants of SEOCH, Chapter 11, Section 11.6	2023-09-30	HKD2,699,157,398.00	4.1.8 - SEOCH Rules stipulate that in respect of one or more events of default occurring during the period beginning from the date on which SEOCH declares a SEOCH Participant to be a Defaulter for an event of default and ending on the 5th Business Day following such declaration (referred to as the "Capped Liability Period"), the aggregate liability of a SEOCH Participant to provide Assessments during a Capped Liability Period shall be limited to an amount which is equal to a SEOCH Participant's Reserve Fund Requirement on the Business Day immediately preceding the start of the Capped Liability Period, plus one time such amount. Assessments shall not be required from SEOCH Participants which have been declared as a Defaulter on the day such Assessment are demanded or whose SEOCH Participantships have been effectively terminated by SEOCH at or prior to the start of the Capped Liability Period. Reference: Options Clearing Rules, Chapter 4, Rule 413C-413E; Operational Clearing Procedures for Options Trading Exchange Participants of SEOCH, Chapter 11, Section 11.6

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4.1	4.1.9	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Committed - Aggregate participant commitments to replenish the default fund to deal with a subsequent participant default (or round of participant defaults) after the initial participant default (or round of participant defaults) has been addressed; Reported as at quarter end	2023-12-31	N/A	4.1.9 - SEOCH Rules stipulate that "Upon the expiry of the relevant Capped Liability Period, SEOCH shall assess the adequacy of the Reserve Fund and recalculate the Reserve Fund Requirement of each SEOCH Participant in accordance with Chapter 11 of the Operational Clearing Procedures. Subject to Clearing Rule 413J, SEOCH will notify the SEOCH Participant of any replenishment amount required as Reserve Fund Contributions as a result of the recalculation. The SEOCH Participant shall make such Reserve Fund Contributions no later than the first Business Day after the date of the notice, or within such other time period as may be specified by SEOCH. Any such Reserve Fund Contributions made by a SEOCH Participant following the expiry of such Capped Liability Period shall only be applied in respect of the events of default which occur after the expiry of the relevant Capped Liability Period and shall not be applied in respect of any event of default that occurred prior to the expiry of such Capped Liability Period." There shall be no limit to the Reserve Fund Requirement to be demanded from a SEOCH Participant. Reference: Options Clearing Rules, Chapter 4, Rule 413F, 413J; Operational Clearing Procedures for Options Trading Exchange Participants of SEOCH, Chapter 11, Section 11.6	2023-09-30	N/A	4.1.9 - SEOCH Rules stipulate that "Upon the expiry of the relevant Capped Liability Period, SEOCH shall assess the adequacy of the Reserve Fund and recalculate the Reserve Fund Requirement of each SEOCH Participant in accordance with Chapter 11 of the Operational Clearing Procedures. Subject to Clearing Rule 413J, SEOCH will notify the SEOCH Participant of any replenishment amount required as Reserve Fund Contributions as a result of the recalculation. The SEOCH Participant shall make such Reserve Fund Contributions no later than the first Business Day after the date of the notice, or within such other time period as may be specified by SEOCH. Any such Reserve Fund Contributions made by a SEOCH Participant following the expiry of such Capped Liability Period shall only be applied in respect of the events of default which occur after the expiry of the relevant Capped Liability Period and shall not be applied in respect of any event of default that occurred prior to the expiry of such Capped Liability Period." There shall be no limit to the Reserve Fund Requirement to be demanded from a SEOCH Participant. Reference: Options Clearing Rules, Chapter 4, Rule 413F, 413J; Operational Clearing Procedures for Options Trading Exchange Participants of SEOCH, Chapter 11, Section 11.6
4.1	4.1.10	Total value of default resources (excluding initial and retained variation margin), split by clearing service if default funds are segregated by clearing service	Committed - Other; Reported as at quarter end	2023-12-31	N/A		2023-09-30	N/A	
4.2	4.2.1	Kccp	Kccp - Kccp need only be reported by those CCPs which are, or seek to be a "qualifying CCP" under relevant law	2023-12-31	HKD2,000,729.87	4.2 - Kccp is reported based on the definition of BCBS 282 which comes in effect in Jan 2017.	2023-09-30	HKD1,716,644.44	4.2 - Kccp is reported based on the definition of BCBS 282 which comes in effect in Jan 2017.
4.3	4.3.1	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Cash deposited at a central bank of issue of the currency concerned; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.2	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Cash deposited at other central banks; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.3	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Secured cash deposited at commercial banks (including reverse repo); Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.4	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Unsecured cash deposited at commercial banks; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD1,487,000,000.00 PostHaircut : HKD1,487,000,000.00		2023-09-30	PreHaircut : HKD1,476,000,000.00 PostHaircut : HKD1,476,000,000.00	
4.3	4.3.5	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Sovereign Government Bonds - Domestic; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.6	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Sovereign Government Bonds - Other; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.7	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Agency Bonds; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.8	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash State/municipal bonds; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.9	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Corporate bonds; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.10	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Equities; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	

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4.3	4.3.11	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Commodities - Gold; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.12	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Commodities - Other; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.13	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Commodities - Mutual Funds / UCITs; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.14	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total and split by	Non-Cash Commodities - Other; Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD0.00 PostHaircut : HKD0.00		2023-09-30	PreHaircut : HKD0.00 PostHaircut : HKD0.00	
4.3	4.3.15	Value of pre-funded default resources (excluding initial and retained variation margin) held for each clearing service, in total	In total. Reported as at quarter end; Pre-Haircut and Post-Haircut	2023-12-31	PreHaircut : HKD1,487,000,000.00 PostHaircut : HKD1,487,000,000.00		2023-09-30	PreHaircut : HKD1,476,000,000.00 PostHaircut : HKD1,476,000,000.00	
4.4	4.4.1	Credit Risk Disclosures	State whether the CCP is subject to a minimum "Cover 1" or "Cover 2" requirement in relation to total pre-funded default resources.	2023-12-31	The largest and 5th largest CPs	4.4 - The estimated largest aggregate stress loss and actual largest aggregate credit exposure are reported in excess of collateral (which includes surplus collateral), instead of initial margin requirement.	2023-09-30	The largest and 5th largest CPs	4.4 - The estimated largest aggregate stress loss and actual largest aggregate credit exposure are reported in excess of collateral (which includes surplus collateral), instead of initial margin requirement.
4.4	4.4.2	Credit Risk Disclosures	For each clearing service, state the number of business days within which the CCP assumes it will close out the default when calculating credit exposures that would potentially need to be covered by the default fund.	2023-12-31	1		2023-09-30	1	
4.4	4.4.3	Credit Risk Disclosures	For each clearing service, the estimated largest aggregate stress loss (in excess of initial margin) that would be caused by the default of any single participant and its affiliates (including transactions cleared for indirect participants) in extreme but plausible market conditions; Peak day amount in the previous 12 months and mean average over the previous 12 months	2023-12-31	PeakDayAmountInPast12Months : HKD1,034,297,149.00 MeanAverageOverPrevious12Months : HKD629,793,838.19	4.4.3 - In consensus with the local regulator, SEOCH is subject to a "Cover" requirement of the largest and 5th largest Clearing Participant, i.e. Cover 1+5. Estimated largest aggregate stress loss (in excess of initial margin) under Cover 1+5: - Peak day amount in the previous 12 months = HKD1,433,531,958.06 - Mean average over the previous 12 months = HKD874,683,821.72	2023-09-30	PeakDayAmountInPast12Months : HKD973,847,654.00 MeanAverageOverPrevious12Months : HKD489,692,090.60	4.4.3 - In consensus with the local regulator, SEOCH is subject to a "Cover" requirement of the largest and 5th largest Clearing Participant, i.e. Cover 1+5. Estimated largest aggregate stress loss (in excess of initial margin) under Cover 1+5: - Peak day amount in the previous 12 months = HKD1,433,531,958.06 - Mean average over the previous 12 months = HKD666,967,214.68
4.4	4.4.4	Credit Risk Disclosures	Report the number of business days, if any, on which the above amount (4.4.3) exceeded actual pre-funded default resources (in excess of initial margin).	2023-12-31	0	4.4.4 - Actual pre-funded default resources include the HKEX Risk Management Capital which is shared amongst the 3 on-exchange clearing houses, namely HKSCC, HKCC and SEOCH. Hence, the number of days on which the amount exceeded actual pre-funded default resources (in excess of collateral) is calculated on an aggregated basis for these 3 on-exchange clearing houses. Number of days on which the amount under Cover 1+5 in 4.4.3 exceeded actual pre-funded default resources represented in 4.1.1 to 4.1.6 (in excess of collateral) = 0	2023-09-30	0	4.4.4 - Actual pre-funded default resources include the HKEX Risk Management Capital which is shared amongst the 3 on-exchange clearing houses, namely HKSCC, HKCC and SEOCH. Hence, the number of days on which the amount exceeded actual pre-funded default resources (in excess of collateral) is calculated on an aggregated basis for these 3 on-exchange clearing houses. Number of days on which the amount under Cover 1+5 in 4.4.3 exceeded actual pre-funded default resources represented in 4.1.1 to 4.1.6 (in excess of collateral) = 0
4.4	4.4.5	Credit Risk Disclosures	The amount in 4.4.3 which exceeded actual pre-funded default resources (in excess of initial margin)	2023-12-31	AmountExceeded1 : HKD0.00	4.4.5 - The amounts under Cover 1+5 in 4.4.3 which exceeded actual pre-funded default resources represented in 4.1.1 to 4.1.6 (in excess of collateral) = 0	2023-09-30	AmountExceeded1 : HKD0.00	4.4.5 - The amounts under Cover 1+5 in 4.4.3 which exceeded actual pre-funded default resources represented in 4.1.1 to 4.1.6 (in excess of collateral) = 0
4.4	4.4.6	Credit Risk Disclosures	For each clearing service, the actual largest aggregate credit exposure (in excess of initial margin) to any single participant and its affiliates (including transactions cleared for indirect participants); Peak day amount in the previous 12 months and mean average over the previous 12 months	2023-12-31	PeakDayAmountInPast12Months : HKD110,031,815.00 MeanAverageOverPrevious12Months : HKD3,058,690.76	4.4.6 - Actual largest aggregate credit exposure (in excess of collateral) under Cover 1+5 (including transactions cleared for indirect participants): - Peak day amount in the previous 12 months = HKD110,031,815.00 - Mean average over the previous 12 months = HKD3,058,690.76	2023-09-30	PeakDayAmountInPast12Months : HKD110,031,815.00 MeanAverageOverPrevious12Months : HKD2,909,218.74	4.4.6 - Actual largest aggregate credit exposure (in excess of collateral) under Cover 1+5 (including transactions cleared for indirect participants): - Peak day amount in the previous 12 months = HKD110,031,815.00 - Mean average over the previous 12 months = HKD2,909,218.74
4.4	4.4.7	Credit Risk Disclosures	For each clearing service, the estimated largest aggregate stress loss (in excess of initial margin) that would be caused by the default of any two participants and their affiliates (including transactions cleared for indirect participants) in extreme but plausible market conditions; Peak day amount in the previous 12 months and mean average over the previous 12 months	2023-12-31	PeakDayAmountInPast12Months : HKD1,669,066,553.00 MeanAverageOverPrevious12Months : HKD1,071,822,913.82		2023-09-30	PeakDayAmountInPast12Months : HKD1,647,376,380.00 MeanAverageOverPrevious12Months : HKD839,931,136.40	
4.4	4.4.8	Credit Risk Disclosures	Number of business days, if any, on which the above amount (4.4.7) exceeded actual pre-funded default resources (in excess of initial margin) and by how much.	2023-12-31	0	4.4.8 - Actual pre-funded default resources include the HKEX Risk Management Capital which is shared amongst the 3 on-exchange clearing houses, namely HKSCC, HKCC and SEOCH. Hence, the number of days on which the amount exceeded actual pre-funded default resources (in excess of collateral) is calculated on an aggregated basis for these 3 on-exchange clearing houses.	2023-09-30	0	4.4.8 - Actual pre-funded default resources include the HKEX Risk Management Capital which is shared amongst the 3 on-exchange clearing houses, namely HKSCC, HKCC and SEOCH. Hence, the number of days on which the amount exceeded actual pre-funded default resources (in excess of collateral) is calculated on an aggregated basis for these 3 on-exchange clearing houses.

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4.4	4.4.9	Credit Risk Disclosures	The amount in 4.4.7 which exceeded actual pre-funded default resources (in excess of initial margin)	2023-12-31	AmountExceeded1 : HKD0.00		2023-09-30	AmountExceeded1 : HKD0.00	
4.4	4.4.10	Credit Risk Disclosures	For each clearing service, what was the actual largest aggregate credit exposure (in excess of initial margin) to any two participants and their affiliates (including transactions cleared for indirect participants)? Description: PeakDayAmountInPrevious12Months; MeanAverageOverPrevious12Months	2023-12-31	PeakDayAmountInPast12Months : HKD110,031,815.00 MeanAverageOverPrevious12Months : HKD3,082,508.43		2023-09-30	PeakDayAmountInPast12Months : HKD110,031,815.00 MeanAverageOverPrevious12Months : HKD2,932,958.98	
5.1	5.1.1	Assets eligible as initial margin, and the respective haircuts applied	Assets eligible as initial margin and the respective haircuts applied	2023-12-31	http://www.hkex.com.hk/services/clearing/listed-derivatives/overview/collateral-management?sc_lang=en		2023-09-30	http://www.hkex.com.hk/services/clearing/listed-derivatives/overview/collateral-management?sc_lang=en	
5.2	5.2.1	Assets Eligible for pre-funded participant contributions to the default resources, and the respective haircuts applied (if different from 5.1)	Assets Eligible for pre-funded participant contributions to the default resources, and the respective haircuts applied (if different from 5.1)	2023-12-31	http://www.hkex.com.hk/services/clearing/listed-derivatives/overview/collateral-management?sc_lang=en		2023-09-30	http://www.hkex.com.hk/services/clearing/listed-derivatives/overview/collateral-management?sc_lang=en	
5.3	5.3.1	Results of testing of haircuts	Confidence interval targeted through the calculation of haircuts	2023-12-31	99.00%		2023-09-30	99.00%	
5.3	5.3.2	Results of testing of haircuts	Assumed holding/liquidation period for the assets accepted	2023-12-31	1 day		2023-09-30	1 day	
5.3	5.3.3	Results of testing of haircuts	Look-back period used for testing the haircuts	2023-12-31	1250 days		2023-09-30	1250 days	
5.3	5.3.4	Results of testing of haircuts	Number of days during the look-back period on which the fall in value during the assumed holding/liquidation period exceeded the haircut on an asset.	2023-12-31	1	5.3.4 - One HSI constituent stock experienced 1 day in which the fall in value exceeded the haircut on an asset during the look-back period. Review has been conducted on the adequacy of haircut rate subsequently. All other cash and non-cash collaterals (such as USD, EUR, JPY, RMB, Exchange Funds Bills & Notes) did not experience any exceedances during the look-back period.	2023-09-30	1	5.3.4 - One HSI constituent stock experienced 1 day in which the fall in value exceeded the haircut on an asset during the look-back period. Review has been conducted on the adequacy of haircut rate subsequently. All other cash and non-cash collaterals (such as USD, EUR, JPY, RMB, Exchange Funds Bills & Notes) did not experience any exceedances during the look-back period.
6.1	6.1.1	For each clearing service, total initial margin required, split by house and client (or combined total if not segregated)	Total initial margin required split by house, client gross, client net and total(if not segregated);	2023-12-31	House_Net : HKD2,424,103,804.00 Client_Gross : HKD2,711,581,405.00 Client_Net : HKD3,621,600,753.00 Total : HKD8,757,285,962.00	6.1 - SEOCH Clearing Participants may be registered under one of two Participantship categories: (i) General Clearing Participants, which are allowed to register and clear trades both on their own account and on behalf of Non-Clearing Participants; and (ii) Clearing Participants, which are only allowed to register and clear trades on their own behalf. The initial margin for the positions of SEOCH Non-Clearing Participants, i.e. indirect participants, is calculated on a net basis. 6.1.1 - The calculation of concentration risk margin requirement for the client account of a SEOCH Clearing Participant is calculated based on the aggregated exposure, net of collateral, of all client nature accounts. Due to the calculation method which determines concentration risk margin and Block Trade margin requirement for all client nature accounts on an aggregated basis for settlement, these figures are consolidated under "IM_Client (Net)" for reporting purpose.	2023-09-30	House_Net : HKD2,575,546,573.00 Client_Gross : HKD2,710,797,017.00 Client_Net : HKD4,047,704,429.00 Total : HKD9,334,048,019.00	6.1 - SEOCH Clearing Participants may be registered under one of two Participantship categories: (i) General Clearing Participants, which are allowed to register and clear trades both on their own account and on behalf of Non-Clearing Participants; and (ii) Clearing Participants, which are only allowed to register and clear trades on their own behalf. The initial margin for the positions of SEOCH Non-Clearing Participants, i.e. indirect participants, is calculated on a net basis. 6.1.1 - The calculation of concentration risk margin requirement for the client account of a SEOCH Clearing Participant is calculated based on the aggregated exposure, net of collateral, of all client nature accounts. Due to the calculation method which determines concentration risk margin and Block Trade margin requirement for all client nature accounts on an aggregated basis for settlement, these figures are consolidated under "IM_Client (Net)" for reporting purpose.

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PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
6.2	6.2.1	For each clearing service, total initial margin held, split by house and client	Cash deposited at a central bank of issue of the currency concerned; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	6.2.1 to 6.2.15 - SEOCH maintains cash collateral of its Clearing Participants in house and client accounts in Common Collateral Management System (CCMS). For purpose of holding cash collateral with the various custodians, SEOCH holds initial margin of house and client accounts in aggregate and hence, breakdown by house and client is not available. Since SEOCH does not reinvest non-cash collateral pledged by its Clearing Participants, breakdown by house and client accounts is reported as held in its collateral accounts.	2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	6.2.1 to 6.2.15 - SEOCH maintains cash collateral of its Clearing Participants in house and client accounts in Common Collateral Management System (CCMS). For purpose of holding cash collateral with the various custodians, SEOCH holds initial margin of house and client accounts in aggregate and hence, breakdown by house and client is not available. Since SEOCH does not reinvest non-cash collateral pledged by its Clearing Participants, breakdown by house and client accounts is reported as held in its collateral accounts.
6.2	6.2.2	For each clearing service, total initial margin held, split by house and client	Cash deposited at other central banks; Total split by House and Client; Pre-Haircut and Post-Haircut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.3	For each clearing service, total initial margin held, split by house and client	Secured cash deposited at commercial banks (including reverse repo); Total split by House and Client; Pre-Haircut and Post-Haircut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	

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PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
6.2	6.2.4	For each clearing service, total initial margin held, split by house and client	Unsecured cash deposited at commercial banks; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD12,369,000,000.00 TotalIM_PostHaircut : HKD12,369,000,000.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD13,148,000,000.00 TotalIM_PostHaircut : HKD13,148,000,000.00	
6.2	6.2.5	For each clearing service, total initial margin held, split by house and client	Non-Cash Sovereign Government Bonds - Domestic; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : HKD0.00 HouseIM_PostHaircut : HKD0.00 ClientIM_PreHaircut : HKD0.00 ClientIM_PostHaircut : HKD0.00 TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : HKD0.00 HouseIM_PostHaircut : HKD0.00 ClientIM_PreHaircut : HKD0.00 ClientIM_PostHaircut : HKD0.00 TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.6	For each clearing service, total initial margin held, split by house and client	Non-Cash Sovereign Government Bonds - Other; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.7	For each clearing service, total initial margin held, split by house and client	Non-Cash Agency Bonds; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.8	For each clearing service, total initial margin held, split by house and client	Non-Cash State/municipal bonds; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.9	For each clearing service, total initial margin held, split by house and client	Non-Cash Corporate bonds; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.10	For each clearing service, total initial margin held, split by house and client	Non-Cash Equities; Description: HouseIM_PreHaircut, HouseIM_PostHaircut, ClientIM_PreHaircut, ClientIM_PostHaircut, TotalIM_PreHaircut, TotalIM_PostHaircut	2023-12-31	HouseIM_PreHaircut : HKD120,957,990.00 HouseIM_PostHaircut : HKD83,900,103.00 ClientIM_PreHaircut : HKD3,275,392,073.46 ClientIM_PostHaircut : HKD0.00 TotalIM_PreHaircut : HKD3,396,350,063.46 TotalIM_PostHaircut : HKD83,900,103.00		2023-09-30	HouseIM_PreHaircut : HKD93,214,118.00 HouseIM_PostHaircut : HKD64,535,987.60 ClientIM_PreHaircut : HKD3,235,419,678.19 ClientIM_PostHaircut : HKD0.00 TotalIM_PreHaircut : HKD3,328,633,796.19 TotalIM_PostHaircut : HKD64,535,987.60	
6.2	6.2.11	For each clearing service, total initial margin held, split by house and client	Non-Cash Commodities - Gold; Description: HouseIM_PreHaircut, HouseIM_PostHaircut, ClientIM_PreHaircut, ClientIM_PostHaircut, TotalIM_PreHaircut, TotalIM_PostHaircut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.12	For each clearing service, total initial margin held, split by house and client	Non-Cash Commodities - Other; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.13	For each clearing service, total initial margin held, split by house and client	Non-Cash - Mutual Funds / UCITs; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : HKD0.00 HouseIM_PostHaircut : HKD0.00 ClientIM_PreHaircut : HKD99,696,902.38 ClientIM_PostHaircut : HKD0.00 TotalIM_PreHaircut : HKD99,696,902.38 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : HKD0.00 HouseIM_PostHaircut : HKD0.00 ClientIM_PreHaircut : HKD113,525,880.88 ClientIM_PostHaircut : HKD0.00 TotalIM_PreHaircut : HKD113,525,880.88 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.14	For each clearing service, total initial margin held, split by house and client	Non-Cash - Other; Total split by House and Client; Pre-Haircut and Post Hair-cut	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A TotalIM_PreHaircut : HKD0.00 TotalIM_PostHaircut : HKD0.00	
6.2	6.2.15	For each clearing service, total initial margin held, split by house and client	For each clearing service, total initial margin held, split by house and client (if segregated).	2023-12-31	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A		2023-09-30	HouseIM_PreHaircut : N/A HouseIM_PostHaircut : N/A ClientIM_PreHaircut : N/A ClientIM_PostHaircut : N/A	
6.3	6.3.1	Initial Margin rates on individual contracts, where the CCP sets such rates	Initial Margin rates on individual contracts where the CCP sets such rates	2023-12-31	http://www.hkex.com.hk/Services/Clearing/Listed-Derivatives/Risk-Management/Margin/Margin-Tables/SEOCH?sc_lang=en		2023-09-30	http://www.hkex.com.hk/Services/Clearing/Listed-Derivatives/Risk-Management/Margin/Margin-Tables/SEOCH?sc_lang=en	
6.4	6.4.1	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Type of IM Model	2023-12-31	VaR based on historical volatility		2023-09-30	VaR based on historical volatility	

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PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
6.4	6.4.2	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Type of IM Model Change Effective Date	2023-12-31	2000-01-25		2023-09-30	2000-01-25	
6.4	6.4.3	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	IM Model Name	2023-12-31	SPAN		2023-09-30	SPAN	
6.4	6.4.4	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	IM Model Name Change Effective Date	2023-12-31	2000-01-25		2023-09-30	2000-01-25	
6.4	6.4.5	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Single Tailed Confidence Level	2023-12-31	99.87%	6.4.5 - SEOCH determines the Benchmark Rates for each product with reference to the projected volatility at a two-tailed confidence interval of 99.73%.	2023-09-30	99.87%	6.4.5 - SEOCH determines the Benchmark Rates for each product with reference to the projected volatility at a two-tailed confidence interval of 99.73%.
6.4	6.4.6	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Single Tailed Confidence Level Change Effective Date	2023-12-31	2000-01-25		2023-09-30	2000-01-25	
6.4	6.4.7	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Look Back Period	2023-12-31	90 days		2023-09-30	90 days	
6.4	6.4.8	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Look Back Period Change Effective Date	2023-12-31	2000-01-25		2023-09-30	2000-01-25	
6.4	6.4.9	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Adjustments	2023-12-31	lambda = 0.96		2023-09-30	lambda = 0.96	
6.4	6.4.10	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Adjustments Change Effective Date	2023-12-31	2000-01-25		2023-09-30	2000-01-25	
6.4	6.4.11	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Close Out Period (days)	2023-12-31	1		2023-09-30	1	
6.4	6.4.12	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Close out period change Effective Date	2023-12-31	2000-01-25		2023-09-30	2000-01-25	
6.4	6.4.13	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	IM Rates Link	2023-12-31	http://www.hkex.com.hk/eng/market/rm/rm_dcrm/riskdata/margin_seoch/somargin.htm		2023-09-30	http://www.hkex.com.hk/eng/market/rm/rm_dcrm/riskdata/margin_seoch/somargin.htm	
6.4	6.4.14	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Frequency of Parameter Review	2023-12-31	Daily		2023-09-30	Daily	
6.4	6.4.15	Type of initial margin model used (e.g. portfolio simulation or risk aggregation) for each clearing service and the key model design parameters for each initial margin model applied to that clearing service	Frequency of Parameter Review Change Effective Date	2023-12-31	2000-01-25		2023-09-30	2000-01-25	

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6.5	6.5.1.1	Results of back-testing of initial margin. At a minimum, this should include, for each clearing service and each initial margin model applied to that clearing service	Number of times over the past twelve months that margin coverage held against any account fell below the actual marked-to-market exposure of that member account	2023-12-31	33		2023-09-30	69	
6.5	6.5.1.2	Specify if measured intraday/continuously or only once a day. If once a day, specify at what time of day.	Frequency of daily back-testing result measurements.	2023-12-31	Dayend		2023-09-30	Dayend	
6.5	6.5.1.3	Specify if measured intraday/continuously or only once a day. If once a day, specify at what time of day.	Time of daily back-testing result if measured once a day.	2023-12-31	End of Business		2023-09-30	End of Business	
6.5	6.5.2	Results of back-testing of initial margin. At a minimum, this should include, for each clearing service and each initial margin model applied to that clearing service	Number of observations	2023-12-31	92,228		2023-09-30	90,382	
6.5	6.5.3	Results of back-testing of initial margin. At a minimum, this should include, for each clearing service and each initial margin model applied to that clearing service	Achieved coverage level	2023-12-31	99.96%		2023-09-30	99.92%	
6.5	6.5.4	Results of back-testing of initial margin. At a minimum, this should include, for each clearing service and each initial margin model applied to that clearing service	Where breaches of initial margin coverage (as defined in 6.5(a)) have occurred, report on size of uncovered exposure; Peak size	2023-12-31	HKD258,830.00		2023-09-30	HKD8,676,085.00	
6.5	6.5.5	Results of back-testing of initial margin. At a minimum, this should include, for each clearing service and each initial margin model applied to that clearing service	Where breaches of initial margin coverage (as defined in 6.5(a)) have occurred, report on size of uncovered exposure; Average Size	2023-12-31	HKD37,888.21		2023-09-30	HKD174,018.06	
6.6	6.6.1	Average Total Variation Margin Paid to the CCP by participants each business	Average Total Variation Margin Paid to the CCP by participants each business	2023-12-31	HKD4,571,116.89		2023-09-30	HKD16,274,230.28	
6.7	6.7.1	Maximum total variation margin paid to the CCP on any given business day over the period	Maximum total variation margin paid to the CCP on any given business day over the period	2023-12-31	HKD24,698,401.65		2023-09-30	HKD84,753,430.70	
6.8	6.8.1	Maximum aggregate initial margin call on any given business day over the period	Maximum aggregate initial margin call on any given business day over the period	2023-12-31	HKD696,471,886.56		2023-09-30	HKD374,312,790.88	
7.1	7.1.1	Liquidity Risk	State whether the clearing service maintains sufficient liquid resources to 'Cover 1' or 'Cover 2'.	2023-12-31	Cover 1 across HKSCC, HKCC and SEOCH	7.1.1 - HKEX maintains sufficient liquid resources for the "Cover 1" across HKSCC, HKCC and SEOCH.	2023-09-30	Cover 1 across HKSCC, HKCC and SEOCH	7.1.1 - HKEX maintains sufficient liquid resources for the "Cover 1" across HKSCC, HKCC and SEOCH.
7.1	7.1.2	Liquidity Risk	Size and composition of qualifying liquid resources for each clearing service; (a) Cash deposited at a central bank of issue of the currency concerned	2023-12-31	In using qualifying liquid resources, HKEX would apply the liquid resources to meet the most urgent payment obligations of its subsidiaries (i.e. its 3 on-exchange clearing houses). In the event that the timing of the payment obligations occur concurrently, HKEX would apply the liquid resources on a pro-rata basis to meet the payment obligations.		2023-09-30	In using qualifying liquid resources, HKEX would apply the liquid resources to meet the most urgent payment obligations of its subsidiaries (i.e. its 3 on-exchange clearing houses). In the event that the timing of the payment obligations occur concurrently, HKEX would apply the liquid resources on a pro-rata basis to meet the payment obligations.	
7.1	7.1.3	Liquidity Risk	Size and composition of qualifying liquid resources for each clearing service; (b) Cash deposited at other central banks	2023-12-31	N/A		2023-09-30	N/A	
7.1	7.1.4	Liquidity Risk	Size and composition of qualifying liquid resources for each clearing service; (c) Secured cash deposited at commercial banks (including reverse repo)	2023-12-31	N/A		2023-09-30	N/A	
7.1	7.1.5	Liquidity Risk	Size and composition of qualifying liquid resources for each clearing service; (d) Unsecured cash deposited at commercial banks	2023-12-31	SizeAndCompositionOfQualifyingLiquidResources : HKD1,492,000,000.00	7.1.5 - Separately, HKEX Group Corporate Funds of HKD3,275 million in liquid resources is used to provide liquidity support to HKSCC, HKCC and SEOCH.	2023-09-30	SizeAndCompositionOfQualifyingLiquidResources : HKD1,486,000,000.00	7.1.5 - Separately, HKEX Group Corporate Funds of HKD11,859 million in liquid resources is used to provide liquidity support to HKSCC, HKCC and SEOCH.
7.1	7.1.6	Liquidity Risk	Size and composition of qualifying liquid resources for each clearing service; (e) secured committed lines of credit (ie those for which collateral/security will be provided by the CCP if drawn) including committed foreign exchange swaps and committed repos	2023-12-31	N/A	7.1.7 - HKEX has arranged a total of HK$10 billion unsecured committed credit facilities with options to draw down on the same day in different currencies, namely HKD, USD and CNY from selected liquidity providers, for HKSCC, HKCC, SEOCH, OTCC and HKEX.	2023-09-30	N/A	7.1.7 - HKEX has arranged a total of HK$10 billion unsecured committed credit facilities with options to draw down on the same day in different currencies, namely HKD, USD and CNY from selected liquidity providers, for HKSCC, HKCC, SEOCH, OTCC and HKEX.
7.1	7.1.7	Liquidity Risk	Size and composition of qualifying liquid resources for each clearing service; (f) unsecured committed lines of credit (ie which the CCP may draw without providing collateral/security)	2023-12-31	Please refer to "Notes"		2023-09-30	Please refer to "Notes"	

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7.1	7.1.8	Liquidity Risk	Size and composition of qualifying liquid resources for each clearing service; (g) highly marketable collateral held in custody and investments that are readily available and convertible into cash with prearranged and highly reliable funding arrangements even in extreme but plausible market conditions	2023-12-31	N/A		2023-09-30	N/A	
7.1	7.1.9	Liquidity Risk	Size and composition of qualifying liquid resources for each clearing service; (h) other	2023-12-31	N/A		2023-09-30	N/A	
7.1	7.1.10	Liquidity Risk	State whether the CCP has routine access to central bank liquidity or facilities.	2023-12-31	No		2023-09-30	No	
7.1	7.1.11	Liquidity Risk	Details regarding the schedule of payments or priority for allocating payments, if such exists, and any applicable rule, policy, procedure, and governance arrangement around such decision making.	2023-12-31	In using qualifying liquid resources, HKEX would apply the liquid resources to meet the most urgent payment obligations of its subsidiaries (i.e. its 3 on-exchange clearing houses). In the event that the timing of the payment obligations occur concurrently, HKEX would apply the liquid resources on a pro-rata basis to meet the payment obligations.		2023-09-30	In using qualifying liquid resources, HKEX would apply the liquid resources to meet the most urgent payment obligations of its subsidiaries (i.e. its 3 on-exchange clearing houses). In the event that the timing of the payment obligations occur concurrently, HKEX would apply the liquid resources on a pro-rata basis to meet the payment obligations.	
7.2	7.2.1	Size and composition of any supplementary liquidity risk resources for each clearing service above those qualifying liquid resources above.	Size and composition of any supplementary liquidity risk resources for each clearing service above those qualifying liquid resources in 7.1	2023-12-31	0.00		2023-09-30	0.00	
7.3	7.3.1	Liquidity Risk	Estimated largest same-day and, where relevant, intraday and multiday payment obligation in total that would be caused by the default of any single participant and its affiliates (including transactions cleared for indirect participants) in extreme but plausible market conditions; Forward looking measure reported quarterly	2023-12-31	SameDayPayment_Total : HKD 13,049,727,193.43 MultiDayPayment_Total : HKD 16,348,451,713.88	7.3 - Figures are calculated on an aggregated basis of 3 on-exchange clearing houses, HKSCC, HKCC and SEOCH. 7.3.1 - Only same-day and multiday scenarios are applicable to HKSCC, HKCC and SEOCH.	2023-09-30	SameDayPayment_Total : HKD 13,678,123,473.86 MultiDayPayment_Total : HKD 17,754,587,485.35	7.3 - Figures are calculated on an aggregated basis of 3 on-exchange clearing houses, HKSCC, HKCC and SEOCH. 7.3.1 - Only same-day and multiday scenarios are applicable to HKSCC, HKCC and SEOCH.
7.3	7.3.2	Liquidity Risk	Report the number of business days, if any, on which the above amount exceeded its qualifying liquid resources (identified as in 7.1, and available at the point the breach occurred), and by how much.; No. of days in quarter	2023-12-31	0		2023-09-30	0	
7.3	7.3.3	Liquidity Risk	Number of business days, if any, on which the above amount exceeded its qualifying liquid resources (identified as in 7.1, and available at the point the breach occurred), and by how much; Amount of excess on each day	2023-12-31	AmountExceeded1 : 0.00	7.3.3 - No business day with amount exceeded its qualifying liquid resources.	2023-09-30	AmountExceeded1 : 0.00	7.3.3 - No business day with amount exceeded its qualifying liquid resources.
7.3	7.3.4	Liquidity Risk	Actual largest intraday and multiday payment obligation of a single participant and its affiliates (including transactions cleared for indirect participants) over the past twelve months; Peak day amount in previous twelve months	2023-12-31	SameDayPayment_Total : HKD 13,678,123,473.86 MultiDayPayment_Total : HKD 17,754,587,485.35		2023-09-30	SameDayPayment_Total : HKD 13,678,123,473.86 MultiDayPayment_Total : HKD 17,754,587,485.35	
7.3	7.3.5	Liquidity Risk	Estimated largest same-day and, where relevant, intraday and multiday payment obligation in each relevant currency that would be caused by the default of any single participant and its affiliates (including transactions cleared for indirect participants) in extreme but plausible market conditions; Forward looking measure reported quarterly	2023-12-31	SameDayPayment_Total : N/A MultiDayPayment_Total : N/A	7.3.5 - Only same-day and multiday scenarios are applicable to HKSCC, HKCC and SEOCH. 7.3.5 to 7.3.7 - Products cleared by HKSCC, HKCC and SEOCH are denominated in 4 different currencies (HKD, CNY, USD and SGD). Since the major financial resource, committed bank facilities in an amount of 10 billion in HKD equivalent, can be drawn in HKD, CNY, USD and SGD on the same day to cover liquidity requirement of respective currency, calculation of days with exceedances by currency is not available.	2023-09-30	SameDayPayment_Total : N/A MultiDayPayment_Total : N/A	7.3.5 - Only same-day and multiday scenarios are applicable to HKSCC, HKCC and SEOCH. 7.3.5 to 7.3.7 - Products cleared by HKSCC, HKCC and SEOCH are denominated in 4 different currencies (HKD, CNY, USD and SGD). Since the major financial resource, committed bank facilities in an amount of 10 billion in HKD equivalent, can be drawn in HKD, CNY, USD and SGD on the same day to cover liquidity requirement of respective currency, calculation of days with exceedances by currency is not available.
7.3	7.3.6	Liquidity Risk	Number of business days, if any, on which the above amounts exceeded its qualifying liquid resources in each relevant currency (as identified in 7.1 and available at the point the breach occurred), and by how much	2023-12-31	NumberOfDays_HKD : N/A		2023-09-30	NumberOfDays_HKD : N/A	
7.3	7.3.7	Liquidity Risk	Report the number of business days, if any, on which the above amounts exceeded its qualifying liquid resources in each relevant currency (as identified in 7.1 and available at the point the breach occurred), and by how much; Amount of excess on each day	2023-12-31	AmountExceeded1 : N/A		2023-09-30	AmountExceeded1 : N/A	

SEOCH_Quantitative Disclosure

PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
12.1	12.1.1	Percentage of settlements by value effected using a DvP, DvD or PvP settlement mechanism	Percentage of settlements by value effected using a DvP settlement mechanism	2023-12-31	N/A		2023-09-30	N/A	
12.1	12.1.2	Percentage of settlements by value effected using a DvP, DvD or PvP settlement mechanism	Percentage of settlements by value effected using a DvD settlement mechanism	2023-12-31	N/A		2023-09-30	N/A	
12.1	12.1.3	Percentage of settlements by value effected using a DvP, DvD or PvP settlement mechanism	Percentage of settlements by value effected using a PvP settlement mechanism	2023-12-31	N/A		2023-09-30	N/A	
12.2	12.2.1	Percentage of settlements by volume effected using a DvP, DvD or PvP settlement mechanism	Percentage of settlements by volume effected using a DvP settlement mechanism	2023-12-31	N/A		2023-09-30	N/A	
12.2	12.2.2	Percentage of settlements by volume effected using a DvP, DvD or PvP settlement mechanism	Percentage of settlements by volume effected using a DvD settlement mechanism	2023-12-31	N/A		2023-09-30	N/A	
12.2	12.2.3	Percentage of settlements by volume effected using a DvP, DvD or PvP settlement mechanism	Percentage of settlements by volume effected using a PvP settlement mechanism	2023-12-31	N/A		2023-09-30	N/A	
13.1	13.1.1	quantitative information related to defaults	Quantitative information related to defaults; Amount of loss versus amount of initial margin	2023-12-31	N/A	13.1 - No Clearing Participant default occurred in Q4 of 2023. References to default cases occurring before 2023 can be found in the HKEX Annual Report.	2023-09-30	N/A	13.1 - No Clearing Participant default occurred in Q3 of 2023. References to default cases occurring before 2023 can be found in the HKEX Annual Report.
13.1	13.1.2	quantitative information related to defaults	Quantitative information related to defaults; Amount of other financial resources used to cover losses	2023-12-31	N/A		2023-09-30	N/A	
13.1	13.1.3.1	quantitative information related to defaults	Quantitative information related to defaults; Proportion of client positions closed-out	2023-12-31	N/A		2023-09-30	N/A	
13.1	13.1.3.2	quantitative information related to defaults	Quantitative information related to defaults; Proportion of client positions ported	2023-12-31	N/A		2023-09-30	N/A	
13.1	13.1.4	quantitative information related to defaults	Quantitative information related to defaults; Appropriate references to other published material related to the defaults	2023-12-31	N/A		2023-09-30	N/A	
14.1	14.1.1	Total Client Positions held as a share of notional values cleared or of the settlement value of securities transactions	Total Client Positions held in individually segregated accounts	2023-12-31	60.81%	14.1.1 & 14.1.2 - The shares are calculated based on the total market notional values (which also includes the notional values of non-client accounts).	2023-09-30	62.78%	14.1.1 & 14.1.2 - The shares are calculated based on the total market notional values (which also includes the notional values of non-client accounts).
14.1	14.1.2	Total Client Positions held as a share of notional values cleared or of the settlement value of securities transactions	Total Client Positions held in omnibus client-only accounts, other than LSOC accounts	2023-12-31	14.92%		2023-09-30	13.97%	
14.1	14.1.3	Total Client Positions held as a share of notional values cleared or of the settlement value of securities transactions	Total Client Positions held in legally segregated but operationally comingled (LSOC) accounts	2023-12-31	N/A	14.1.3 & 14.1.4 - The account structure of SEOCH does not offer legally segregated but operationally comingled (LSOC) accounts nor comingled house and client accounts.	2023-09-30	N/A	14.1.3 & 14.1.4 - The account structure of SEOCH does not offer legally segregated but operationally comingled (LSOC) accounts nor comingled house and client accounts.
14.1	14.1.4	Total Client Positions held as a share of notional values cleared or of the settlement value of securities transactions	Total Client Positions held in comingled house and client accounts	2023-12-31	N/A		2023-09-30	N/A	
15.1	15.1.1	General business risk	Value of liquid net assets funded by equity	2023-12-31	HKD243,000,000.00		2022-12-31	HKD276,000,000.00	
15.1	15.1.2	General business risk	Six months of current operating expenses	2023-12-31	HKD42,000,000.00		2022-12-31	HKD24,000,000.00	
15.2	15.2.1	General business risk; Financial Disclosures	Total Revenue	2023-12-31	HKD129,000,000.00		2022-12-31	HKD123,000,000.00	
15.2	15.2.2	General business risk; Financial Disclosures	Total Expenditure	2023-12-31	HKD76,000,000.00		2022-12-31	HKD49,000,000.00	
15.2	15.2.3	General business risk; Financial Disclosures	Profits	2023-12-31	HKD524,000,000.00		2022-12-31	HKD235,000,000.00	
15.2	15.2.4	General business risk; Financial Disclosures	Total Assets	2023-12-31	HKD14,553,000,000.00		2022-12-31	HKD16,610,000,000.00	
15.2	15.2.5	General business risk; Financial Disclosures	Total Liabilities	2023-12-31	HKD13,735,000,000.00		2022-12-31	HKD15,960,000,000.00	
15.2	15.2.6	General business risk; Financial Disclosures	Explain if collateral posted by clearing participants is held on or off the CCP's balance sheet	2023-12-31	Cash collateral is held on the balance sheet. Non-cash collateral is held off the balance sheet.		2022-12-31	Cash collateral is held on the balance sheet. Non-cash collateral is held off the balance sheet.	
15.2	15.2.7	General business risk; Financial Disclosures	Additional items as necessary	2023-12-31	Not applicable		2022-12-31	Not applicable	
15.3	15.3.1	General business risk; Income breakdown	Percentage of total income that comes from fees related to provision of clearing services	2023-12-31	20.74%		2022-12-31	41.44%	

SEOCH_Quantitative Disclosure

PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
15.3	15.3.2	General business risk; Income breakdown	Percentage of total income that comes from the reinvestment (or rehypothecation) of assets provided by clearing participants	2023-12-31	73.40%		2022-12-31	56.23%	
16.1	16.1.1	Total cash (but not securities) received from participants, regardless of the form in which it is held, deposited or invested, split by whether it was received as initial margin or default fund contribution	Total cash (but not securities) received from participants, regardless of the form in which it is held, deposited or invested, received as initial margin	2023-12-31	HKD12,369,000,000.00		2023-09-30	HKD13,148,000,000.00	
16.1	16.1.2	Total cash (but not securities) received from participants, regardless of the form in which it is held, deposited or invested, split by whether it was received as initial margin or default fund contribution	Total cash (but not securities) received from participants, regardless of the form in which it is held, deposited or invested, received as default fund contribution	2023-12-31	HKD1,361,000,000.00		2023-09-30	HKD1,356,000,000.00	
16.2	16.2.1	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo)	2023-12-31	100.00%		2023-09-30	100.00%	
16.2	16.2.2	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo); as cash deposits at central banks of issue of the currency deposited	2023-12-31	Not applicable		2023-09-30	Not applicable	
16.2	16.2.3	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo); as cash deposits at other central banks	2023-12-31	Not applicable		2023-09-30	Not applicable	
16.2	16.2.4	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo); as cash deposits at commercial banks (Secured, including through reverse repo)	2023-12-31	0.00%		2023-09-30	0.00%	
16.2	16.2.5	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo); as cash deposits at commercial banks (Unsecured)	2023-12-31	100.00%		2023-09-30	100.00%	
16.2	16.2.6	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo); in money market funds	2023-12-31	0.00%		2023-09-30	0.00%	
16.2	16.2.7	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo); in other forms	2023-12-31	0.00%		2023-09-30	0.00%	
16.2	16.2.8	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo); percentage split by currency of these cash deposits (including reverse repo) and money market funds by CCY; Specify local currency in comments	2023-12-31	Percentage_HKD : 95.29% Percentage_USD : 0% Percentage_JPY : 1.52% Percentage_EUR : 0% Percentage_CNY : 3.19%		2023-09-30	Percentage_HKD : 98.32% Percentage_USD : 0% Percentage_JPY : 1.68% Percentage_EUR : 0%	
16.2	16.2.9	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as cash deposits (including through reverse repo); weighted average maturity of these cash deposits (including reverse repo) and money market funds	2023-12-31	0.45 year		2023-09-30	0.35 year	
16.2	16.2.10	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash invested in securities; Domestic sovereign government bonds	2023-12-31	0.00%		2023-09-30	0.00%	
16.2	16.2.11	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash invested in securities; Other sovereign government bonds	2023-12-31	0.00%		2023-09-30	0.00%	
16.2	16.2.12	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash invested in securities; Agency Bonds	2023-12-31	0.00%		2023-09-30	0.00%	
16.2	16.2.13	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash invested in securities; State/municipal bonds	2023-12-31	0.00%		2023-09-30	0.00%	
16.2	16.2.14	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash invested in securities; Other instruments	2023-12-31	0.00%		2023-09-30	0.00%	
16.2	16.2.15	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash invested in securities; percentage split by currency of these securities; Specify local currency in comments;	2023-12-31	Percentage_HKD : 0.00% Percentage_USD : 0.00%		2023-09-30	Percentage_HKD : 0.00% Percentage_USD : 0.00%	

PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
16.2	16.2.16	How total cash received from participants (16.1) is held/deposited/invested, including;	Weighted average maturity of securities	2023-12-31	0.00 year		2023-09-30	0.00 year	
16.2	16.2.17	How total cash received from participants (16.1) is held/deposited/invested, including;	Provide an estimate of the risk on the investment portfolio (excluding central bank and commercial bank deposits) (interest rates sensitivity analysis on P/L impact assuming a 25 bps change)	2023-12-31	0		2023-09-30	0	
16.2	16.2.18	How total cash received from participants (16.1) is held/deposited/invested, including;	State if the CCP investment policy sets a limit on the proportion of the investment portfolio that may be allocated to a single counterparty, and the size of that limit.	2023-12-31	A cap is set on the total amount of margin funds, default funds and corporate funds of HKEx Group that can be deposited with any one of its counterparties. Under the new Credit Limit Framework for Settlement and Investment (Credit Limit Framework), investment exposure in HSBC & BOCHK, the concentration limit is 50% of last year-end audited HKEX shareholders' equity. Investment exposure in all other single name counterparty limit using credit rating based laddered approach, ranges from 5% to 37.5% of last year-end audited HKEX shareholders' equity.		2023-09-30	A cap is set on the total amount of margin funds, default funds and corporate funds of HKEx Group that can be deposited with any one of its counterparties. Under the new Credit Limit Framework for Settlement and Investment (Credit Limit Framework), investment exposure in HSBC & BOCHK, the concentration limit is 50% of last year-end audited HKEX shareholders' equity. Investment exposure in all other single name counterparty limit using credit rating based laddered approach, ranges from 5% to 37.5% of last year-end audited HKEX shareholders' equity.	
16.2	16.2.19	How total cash received from participants (16.1) is held/deposited/invested, including;	State the number of times over the previous quarter in which this limit has been exceeded.	2023-12-31	0		2023-09-30	0	
16.2	16.2.20	How total cash received from participants (16.1) is held/deposited/invested, including;	Percentage of total participant cash held as securities.	2023-12-31	0.00%		2023-09-30	0.00%	
16.3	16.3.1	Rehypothecation of participant assets (ie non-cash)	Total value of participant non-cash rehypothecated (Initial margin)	2023-12-31	N/A	16.3.1 to 16.3.4 - SEOCH does not permit rehypothecation of non-cash collateral per its internal risk policy.	2023-09-30	N/A	16.3.1 to 16.3.4 - SEOCH does not permit rehypothecation of non-cash collateral per its internal risk policy.
16.3	16.3.2	Rehypothecation of participant assets (ie non-cash)	Total value of participant non-cash rehypothecated (Default fund)	2023-12-31	N/A		2023-09-30	N/A	
16.3	16.3.3	Rehypothecation of participant assets (ie non-cash)	Rehypothecation of participant assets (ie non-cash) by the CCP where allowed; initial margin; over the following maturities: Overnight/one day; one day and up to one week; One week and up to one month; One month and up to one year; One year and up to two years; Over two years	2023-12-31	N/A		2023-09-30	N/A	
16.3	16.3.4	Rehypothecation of participant assets (ie non-cash)	Rehypothecation of participant assets (ie non-cash); default fund; over the following maturities: Overnight/one day; one day and up to one week; One week and up to one month; One month and up to one year; One year and up to two years; Over two years	2023-12-31	N/A		2023-09-30	N/A	
17.1	17.1.1	Operational availability target for the core system(s) involved in clearing (whether or not outsourced) over specified period for the system (e.g. 99.99% over a twelve-month period)	Operational availability target for the core system(s) involved in clearing (whether or not outsourced) over specified period for the system (e.g. 99.99% over a twelve-month period)	2023-12-31	99.95%		2023-09-30	99.95%	
17.2	17.2.1	Actual availability of the core system(s) over the previous twelve month period	Actual availability of the core system(s) over the previous twelve month period	2023-12-31	100.00%		2023-09-30	100.00%	
17.3	17.3.1	Total number of failures	Total number of failures and duration affecting the core system(s) involved in clearing over the previous twelve month period	2023-12-31	0		2023-09-30	0	
17.4	17.4.1	Recovery time objective(s)	Recovery time objective(s) (e.g. within two hours)	2023-12-31	within 2 hours		2023-09-30	within 2 hours	
18.1	18.1.1.1	Number of clearing members, by clearing service	Number of general clearing members	2023-12-31	10		2023-09-30	10	
18.1	18.1.1.2	Number of clearing members, by clearing service	Number of direct clearing members	2023-12-31	61		2023-09-30	61	
18.1	18.1.1.3	Number of clearing members, by clearing service	Number of others category (Describe in comments)	2023-12-31	N/A	18.1.1.3 to 18.1.2.3 - SEOCH does not offer these Clearing Participantship categories.	2023-09-30	N/A	18.1.1.3 to 18.1.2.3 - SEOCH does not offer these Clearing Participantship categories.
18.1	18.1.2.1	Number of clearing members, by clearing service	Number of central bank participants	2023-12-31	N/A		2023-09-30	N/A	
18.1	18.1.2.2	Number of clearing members, by clearing service	Number of CCP participants	2023-12-31	N/A		2023-09-30	N/A	
18.1	18.1.2.3	Number of clearing members, by clearing service	Number of bank participants	2023-12-31	N/A		2023-09-30	N/A	
18.1	18.1.2.4	Number of clearing members, by clearing service	Number of other participants (Describe in comments)	2023-12-31	71	18.1.2.4 - All SEOCH Clearing Participants are required to be licensed as licensed corporations by SEOCH's local regulator, the Securities and Futures Commission.	2023-09-30	71	18.1.2.4 - All SEOCH Clearing Participants are required to be licensed as licensed corporations by SEOCH's local regulator, the Securities and Futures Commission.

SEOCH_Quantitative Disclosure

PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
18.1	18.1.3.1	Number of clearing members, by clearing service	Number of domestic participants	2023-12-31	71	18.1.3.1 - All SEOCH Clearing Participants are required to be domestically incorporated. The sum of the number of general clearing members and direct clearing members should reconcile with the total number of domestically incorporated Clearing Participants.	2023-09-30	71	18.1.3.1 - All SEOCH Clearing Participants are required to be domestically incorporated. The sum of the number of general clearing members and direct clearing members should reconcile with the total number of domestically incorporated Clearing Participants.
18.1	18.1.3.2	Number of clearing members, by clearing service	Number of foreign participants	2023-12-31	N/A	18.1.3.2 - SEOCH does not offer this category of SEOCH Clearing Participantship because all SEOCH Clearing Participants are required to be domestically incorporated.	2023-09-30	N/A	18.1.3.2 - SEOCH does not offer this category of SEOCH Clearing Participantship because all SEOCH Clearing Participants are required to be domestically incorporated.
18.2	18.2.1	Open Position Concentration	For each clearing service with ten or more members, but fewer than 25 members; Percentage of open positions held by the largest five clearing members, including both house and client, in aggregate; Average and Peak over the quarter	2023-12-31	AverageInQuarter : N/A PeakInQuarter : N/A	18.2.1 - Not applicable to SEOCH which has more than 25 members onboard.	2023-09-30	AverageInQuarter : N/A PeakInQuarter : N/A	18.2.1 - Not applicable to SEOCH which has more than 25 members onboard.
18.2	18.2.2	Open Position Concentration	For each clearing service with 25 or more members; Percentage of open positions held by the largest five clearing members, including both house and client, in aggregate; Average and Peak over the quarter	2023-12-31	AverageInQuarter :66.89% PeakInQuarter : 67.7%		2023-09-30	AverageInQuarter :69.77% PeakInQuarter 71.31%	
18.2	18.2.3	Open Position Concentration	For each clearing service with 25 or more members; Percentage of open positions held by the largest ten clearing members, including both house and client, in aggregate; Average and Peak over the quarter	2023-12-31	AverageInQuarter : 86.99% PeakInQuarter : 87.48%		2023-09-30	AverageInQuarter : 87.14% PeakInQuarter : 87.65%	
18.3	18.3.1	Initial Margin Concentration	For each clearing service with ten or more members, but fewer than 25 members; Percentage of initial margin posted by the largest five clearing members, including both house and client, in aggregate; Average and Peak over the quarter	2023-12-31	N/A		2023-09-30	N/A	
18.3	18.3.2	Initial Margin Concentration	For each clearing service with 25 or more members; Percentage of initial margin posted by the largest five clearing members, including both house and client, in aggregate; Average and Peak over the quarter	2023-12-31	AverageInQuarter : 50.59% PeakInQuarter : 54.83%		2023-09-30	AverageInQuarter : 51.08% PeakInQuarter : 56.25%	
18.3	18.3.3	Initial Margin Concentration	For each clearing service with 25 or more members; Percentage of initial margin posted by the largest ten clearing members, including both house and client, in aggregate; Average and Peak over the quarter	2023-12-31	AverageInQuarter : 77.44% PeakInQuarter : 79.49%		2023-09-30	AverageInQuarter : 77.01% PeakInQuarter : 79.18%	
18.4	18.4.1	Segregated Default Fund Concentration	For each segregated default fund with ten or more members, but fewer than 25 members; Percentage of participant contributions to the default fund contributed by largest five clearing members in aggregate	2023-12-31	N/A		2023-09-30	N/A	
18.4	18.4.2	Segregated Default Fund Concentration	For each segregated default fund with 25 or more members; Percentage of participant contributions to the default fund contributed by largest five clearing members in aggregate	2023-12-31	36.51%		2023-09-30	36.69%	
18.4	18.4.3	Segregated Default Fund Concentration	For each segregated default fund with 25 or more members; Percentage of participant contributions to the default fund contributed by largest ten clearing members in aggregate	2023-12-31	58.10%		2023-09-30	57.96%	
19.1	19.1.1	Tiered participation arrangements, measures of concentration of client clearing	Number of clients (if known)	2023-12-31	N/A	19.1.1 - SEOCH deals with its Clearing Participants as principal and not agent, it has no contractual relationship with the clients of its Clearing Participant. Hence SEOCH does not have information on the number of retail clients of its Clearing Participants.	2023-09-30	N/A	19.1.1 - SEOCH deals with its Clearing Participants as principal and not agent, it has no contractual relationship with the clients of its Clearing Participant. Hence SEOCH does not have information on the number of retail clients of its Clearing Participants.
19.1	19.1.2	Tiered participation arrangements, measures of concentration of client clearing	Number of direct members that clear for clients	2023-12-31	71		2023-09-30	71	
19.1	19.1.3.1	Tiered participation arrangements, measures of concentration of client clearing	Percent of client transactions attributable to the top five clearing members (if CCP has 10+ clearing members) - Peak	2023-12-31	55.68%		2023-09-30	56.83%	
19.1	19.1.3.2	Tiered participation arrangements, measures of concentration of client clearing	Percent of client transactions attributable to the top five clearing members (if CCP has 10+ clearing members) - Average	2023-12-31	19.12%		2023-09-30	19.17%	
19.1	19.1.4.1	Tiered participation arrangements, measures of concentration of client clearing	Percent of client transactions attributable to the top ten clearing members (if CCP has 25+ clearing members) - Peak	2023-12-31	51.57%		2023-09-30	49.80%	

SEOCH_Quantitative Disclosure

PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
19.1	19.1.4.2	Tiered participation arrangements, measures of concentration of client clearing	Percent of client transactions attributable to the top ten clearing members (if CCP has 25+ clearing members) - Average	2023-12-31	9.25%		2023-09-30	9.26%	
20.1	20.1.1	FMI Links, Value of Trades	Value of trades cleared through each link – as a share of total trade values/total notional values cleared	2023-12-31	N/A	20.1.1 to 20.7.2 - FMI Links are not applicable to SEOCH.	2023-09-30	N/A	20.1.1 to 20.7.2 - FMI Links are not applicable to SEOCH.
20.2	20.2.1	FMI Links, Initial Margin or equivalent financial resources provided	Initial margin or equivalent financial resources provided to each linked CCP by the CCP to cover the potential future exposure of the linked CCP on contracts cleared across link	2023-12-31	N/A		2023-09-30	N/A	
20.3	20.3.1	FMI Links, Initial Margin or equivalent financial resources collected	Initial margin or equivalent financial resources collected from each linked CCP to cover potential future exposure to the linked CCP on contracts cleared across link (at market value and post haircut)	2023-12-31	N/A		2023-09-30	N/A	
20.4	20.4.1.1	FMI Links, Results of Back-testing coverage	Number of times over the past twelve months that coverage provided by margin and equivalent financial resources held against each linked CCP fell below the actual marked-to-market exposure to that linked CCP – based on daily back testing results; Intraday or Continuous or Once-a-day	2023-12-31	N/A		2023-09-30	N/A	
20.4	20.4.1.2	FMI Links, Results of Back-testing coverage	Back-testing results frequency - state if measured intraday/continuously/once a day	2023-12-31	N/A		2023-09-30	N/A	
20.4	20.4.1.3	FMI Links, Results of Back-testing coverage	If 20.4.1.2 is 'once a day' then the time of day measure is taken, otherwise blank	2023-12-31	N/A		2023-09-30	N/A	
20.4	20.4.2	FMI Links, Results of Back-testing coverage	Number of observations (i.e. number of accounts multiplied by number of days covered in the back test); Intraday or Continuous or Once-a-day	2023-12-31	N/A		2023-09-30	N/A	
20.4	20.4.3	FMI Links, Results of Back-testing coverage	Achieved coverage level	2023-12-31	N/A		2023-09-30	N/A	
20.5	20.5.1.1	FMI Links, Additional pre-funded financial resources provided to	Additional pre-funded financial resources (if any) beyond initial margin and equivalent financial resources provided to each linked CCP, that are available to the linked CCP to cover exposures to the CCP	2023-12-31	N/A		2023-09-30	N/A	
20.5	20.5.1.2	FMI Links, Additional pre-funded financial resources provided to	Whether part of, additional to, or separate from the standard default fund	2023-12-31	N/A		2023-09-30	N/A	
20.6	20.6.1.1	FMI Links, Additional pre-funded financial resources collected from	Additional pre-funded financial resources (if any) beyond initial margin and equivalent financial resources collected from each linked CCP, that are available to the linked CCP to cover exposures to the CCP	2023-12-31	N/A		2023-09-30	N/A	
20.6	20.6.1.2	FMI Links, Additional pre-funded financial resources collected from	Whether part of, additional to, or separate from the standard default fund	2023-12-31	N/A		2023-09-30	N/A	
20.7	20.7.1	FMI Links, Cross Margining	Value of trades subject to cross margining, by clearing service, as a percentage of total trade values/total notional values cleared	2023-12-31	N/A		2023-09-30	N/A	
20.7	20.7.2	FMI Links, Cross Margining	Reduction in total initial margin held by the CCP as a result of cross margining, as a percentage of total initial margin that would otherwise have been held.	2023-12-31	N/A		2023-09-30	N/A	
23.1	23.1.1	Disclosure of rules, key procedures, and market data; Average Daily Volumes	Average Daily Volumes by Asset Class, Instrument, CCY and Over-the-Counter(OTC) or Exchange Traded (ETD)	2023-12-31	Please refer to supplementary table below		2023-09-30	Please refer to supplementary table below	
23.1	23.1.2	Disclosure of rules, key procedures, and market data; Average Daily Volumes	Average Notional Value of trades cleared by Asset Class, CCY and Over-the-Counter(OTC) or Exchange Traded (ETD)	2023-12-31	Please refer to supplementary table below		2023-09-30	Please refer to supplementary table below	
23.2	23.2.1	Disclosure of rules, key procedures, and market data; Non-Yet-Settled	Gross notional outstanding/total settlement value of novated but not-yet settled securities transactions by Asset Class, Instrument, CCY and Over-the-Counter(OTC) or Exchange Traded (ETD)	2023-12-31	N/A	23.2.1 - SEOCH does not clear cash market securities.	2023-09-30	N/A	23.2.1 - SEOCH does not clear cash market securities.

PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
23.2	23.2.2	Disclosure of rules, key procedures, and market data; Average Daily Volumes	Defines the Asset Class for volumes reported in Disclosure References 23.1.1, 23.1.2 and 23.2.1	2023-12-31	Please refer to supplementary table below		2023-09-30	Please refer to supplementary table below	
23.2	23.2.3	Disclosure of rules, key procedures, and market data; Average Daily Volumes	Defines the Product Type for volumes reported in Disclosure References 23.1.1, 23.1.2 and 23.2.1	2023-12-31	Please refer to supplementary table below		2023-09-30	Please refer to supplementary table below	
23.2	23.2.4	Disclosure of rules, key procedures, and market data; Average Daily Volumes	Defines the Product Code for volumes reported in Disclosure References 23.1.1, 23.1.2 and 23.2.1	2023-12-31	Please refer to supplementary table below		2023-09-30	Please refer to supplementary table below	
23.3	23.3.1	Disclosure of rules, key procedures, and market data; Execution Facility	Average daily volumes submitted by Execution facility or matching/confirmation venue	2023-12-31	1187282.37		2023-09-30	1181964.76	
23.3	23.3.2	Disclosure of rules, key procedures, and market data; Execution Facility	Notional contract values submitted by Execution facility or matching/confirmation venue	2023-12-31	HK$32,797,896,508.94	23.3.2 - Notional values are denoted in HKD equivalent.	2023-09-30	HK$35,922,297,051.48	23.3.2 - Notional values are denoted in HKD equivalent.

Supplementary Table

Disclosures 23.1 & 23.2

Product Types 23.2.3	Asset Class 23.2.2	Product Code 23.2.4	Currency	Current Quarter - Report Dates	Current Quarter - Average Daily Volumes	Current Quarter - Average Notional Value of trades	Previous Quarter - Report Date	Previous Quarter - Average Daily Volumes	Previous Quarter - Average Notional Value of trades
					Please refer to supplementary table below	23.1.2		Please refer to supplementary table below	23.1.2
Equity Products	Stock Options	A50O	HKD		701	42,777,295	2023-09-30	1,011	67,637,984
Equity Products	Stock Options	AACO	HKD		5,369	102,916,230	2023-09-30	3,765	60,520,887
Equity Products	Stock Options	ACCO	HKD		2,097	20,167,311	2023-09-30	2,861	31,826,185
Equity Products	Stock Options	AIAO	HKD		14,886	1,038,966,213	2023-09-30	12,406	896,599,468
Equity Products	Stock Options	AIRO	HKD		3,165	33,139,226	2023-09-30	2,469	29,731,658
Equity Products	Stock Options	ALBO	HKD		98,703	3,909,919,303	2023-09-30	117,327	5,347,355,919
Equity Products	Stock Options	ALCO	HKD		627	5,095,446	2023-09-30	903	6,922,026
Equity Products	Stock Options	AMCO	HKD		1,238	97,531,016	2023-09-30	1,089	93,964,484
Equity Products	Stock Options	ANAO	HKD		11,663	196,023,902	2023-09-30	10,636	185,438,361
Equity Products	Stock Options	BCMO	HKD		843	3,851,674	2023-09-30	911	4,151,113
Equity Products	Stock Options	BEAO	HKD		389	755,243	2023-09-30	1,660	3,110,910
Equity Products	Stock Options	BOCO	HKD		2,881	30,130,566	2023-09-30	4,094	46,046,403
Equity Products	Stock Options	BUDO	HKD		887	13,241,164	2023-09-30	902	16,023,145
Equity Products	Stock Options	BYDO	HKD		20,316	2,352,213,197	2023-09-30	17,947	2,234,722,419
Equity Products	Stock Options	CCCO	HKD		707	2,492,443	2023-09-30	1,207	5,115,792
Equity Products	Stock Options	CCEO	HKD		2,766	17,672,823	2023-09-30	1,934	11,232,674
Equity Products	Stock Options	CDAO	HKD		149	577,828	2023-09-30	74	318,274
Equity Products	Stock Options	CGNO	HKD		142	2,921,115	2023-09-30	126	2,538,242
Equity Products	Stock Options	CHTO	HKD		14,897	474,248,533	2023-09-30	24,028	792,260,500
Equity Products	Stock Options	CHUO	HKD		2,317	23,987,948	2023-09-30	5,159	57,977,335
Equity Products	Stock Options	CITO	HKD		1,105	7,988,820	2023-09-30	1,077	8,834,008
Equity Products	Stock Options	CKHO	HKD		2,513	50,515,303	2023-09-30	2,500	55,251,024
Equity Products	Stock Options	CKPO	HKD		1,152	45,321,836	2023-09-30	1,251	52,949,500
Equity Products	Stock Options	CLIO	HKD		10,583	118,246,820	2023-09-30	13,275	171,321,258
Equity Products	Stock Options	CLPO	HKD		1,398	41,671,951	2023-09-30	1,439	43,321,306
Equity Products	Stock Options	CMBO	HKD		11,216	164,489,951	2023-09-30	11,830	201,228,266
Equity Products	Stock Options	CNCO	HKD		18,438	238,271,344	2023-09-30	26,135	334,669,331
Equity Products	Stock Options	COGO	HKD		3,285	15,887,082	2023-09-30	10,931	75,286,298
Equity Products	Stock Options	COLO	HKD		2,116	64,363,557	2023-09-30	3,652	125,585,645
Equity Products	Stock Options	CPAO	HKD		195	1,561,467	2023-09-30	278	2,316,944
Equity Products	Stock Options	CPCO	HKD		8,474	70,039,203	2023-09-30	8,619	76,700,571
Equity Products	Stock Options	CPIO	HKD		1,611	28,047,885	2023-09-30	2,302	45,681,694
Equity Products	Stock Options	CRCO	HKD		594	1,439,169	2023-09-30	977	2,711,475
Equity Products	Stock Options	CRGO	HKD		614	2,277,597	2023-09-30	900	4,292,990
Equity Products	Stock Options	CRLO	HKD		1,662	101,797,279	2023-09-30	1,469	100,483,290
Equity Products	Stock Options	CSAO	HKD		954	56,209,590	2023-09-30	972	63,791,169
Equity Products	Stock Options	CSEO	HKD		4,503	56,247,516	2023-09-30	5,274	63,074,806
Equity Products	Stock Options	CSPO	HKD		6,153	82,462,134	2023-09-30	4,417	54,741,442
Equity Products	Stock Options	CTBO	HKD		496	1,723,485	2023-09-30	761	2,678,813
Equity Products	Stock Options	CTCO	HKD		2,950	21,146,361	2023-09-30	4,817	38,325,055
Equity Products	Stock Options	CTSO	HKD		1,758	29,559,508	2023-09-30	4,113	66,792,226
Equity Products	Stock Options	DFMO	HKD		462	3,290,413	2023-09-30	424	2,830,710
Equity Products	Stock Options	EVGO	HKD		646	524,793	2023-09-30	933	1,189,303
Equity Products	Stock Options	GACO	HKD		111	1,713,279	2023-09-30	256	4,712,271
Equity Products	Stock Options	GAHO	HKD		4,935	221,453,934	2023-09-30	4,549	232,426,290
Equity Products	Stock Options	GLXO	HKD		7,568	334,986,574	2023-09-30	5,589	293,304,032
Equity Products	Stock Options	GWMO	HKD		9,943	52,378,295	2023-09-30	9,234	46,536,657
Equity Products	Stock Options	HAIO	HKD		865	8,142,407	2023-09-30	1,220	13,205,481
Equity Products	Stock Options	HCFO	HKD		2,680	164,052,967	2023-09-30	2,011	135,664,145
Equity Products	Stock Options	HEHO	HKD		1,278	25,699,984	2023-09-30	1,024	20,413,097
Equity Products	Stock Options	HEXO	HKD		49,968	1,423,400,475	2023-09-30	53,281	1,637,339,565
Equity Products	Stock Options	HGNO	HKD		409	5,487,820	2023-09-30	767	11,399,081
Equity Products	Stock Options	HKBO	HKD		45,501	1,073,430,125	2023-09-30	49,684	1,209,161,903
Equity Products	Stock Options	HKGO	HKD		2,206	12,229,711	2023-09-30	2,187	13,251,374
Equity Products	Stock Options	HLDO	HKD		1,033	22,502,279	2023-09-30	974	21,042,855
Equity Products	Stock Options	HNPO	HKD		2,237	17,521,957	2023-09-30	2,553	22,347,439
Equity Products	Stock Options	HSBO	HKD		8,085	73,393,885	2023-09-30	6,499	67,847,040
Equity Products	Stock Options	JDCO	HKD		27,336	1,512,942,172	2023-09-30	25,775	1,758,760,403
Equity Products	Stock Options	JXCO	HKD		684	7,813,402	2023-09-30	801	10,509,556
Equity Products	Stock Options	KLEO	HKD		202	2,768,311	2023-09-30	243	3,008,348
Equity Products	Stock Options	KSOO	HKD		1,308	36,073,328	2023-09-30	1,859	59,819,871

PFMI Principle Reference	Disclosure Reference	Disclosure Title	Disclosure Description	Current Quarter - Report Date	Current Quarter - Data	Current Quarter - Notes	Previous Quarter - Report Date	Previous Quarter - Data	Previous Quarter - Notes
Equity Products	Stock Options	LENO	HKD		3,863	73,427,744	2023-09-30	2,753	46,202,132
Equity Products	Stock Options	LNKO	HKD		7,544	296,276,967	2023-09-30	4,453	180,692,339
Equity Products	Stock Options	MENO	HKD		1,306	31,344,279	2023-09-30	1,151	30,298,903
Equity Products	Stock Options	METO	HKD		81,766	4,247,112,582	2023-09-30	66,361	4,349,675,847
Equity Products	Stock Options	MGMO	HKD		226	875,348	2023-09-30	324	1,325,739
Equity Products	Stock Options	MIUO	HKD		47,637	728,359,582	2023-09-30	20,421	250,544,500
Equity Products	Stock Options	MSBO	HKD		786	4,970,500	2023-09-30	350	2,352,960
Equity Products	Stock Options	MTRO	HKD		1,188	17,530,582	2023-09-30	1,680	28,662,903
Equity Products	Stock Options	NBMO	HKD		1,312	9,693,410	2023-09-30	1,506	13,709,584
Equity Products	Stock Options	NCLO	HKD		596	10,247,803	2023-09-30	783	16,154,274
Equity Products	Stock Options	NTEO	HKD		6,759	552,859,426	2023-09-30	4,719	381,433,427
Equity Products	Stock Options	NWDO	HKD		2,696	38,142,934	2023-09-30	3,799	64,124,177
Equity Products	Stock Options	PAIO	HKD		52,303	1,075,737,008	2023-09-30	61,232	1,553,018,105
Equity Products	Stock Options	PECO	HKD		15,005	157,545,039	2023-09-30	16,105	183,560,452
Equity Products	Stock Options	PICO	HKD		918	16,926,164	2023-09-30	985	17,722,226
Equity Products	Stock Options	PINO	HKD		182	2,343,877	2023-09-30	242	3,389,089
Equity Products	Stock Options	SANO	HKD		12,311	108,418,498	2023-09-30	9,120	100,101,039
Equity Products	Stock Options	SBOO	HKD		1,053	17,525,721	2023-09-30	719	11,555,210
Equity Products	Stock Options	SHKO	HKD		4,369	355,615,246	2023-09-30	4,756	421,472,016
Equity Products	Stock Options	SHZO	HKD		1,692	68,323,221	2023-09-30	1,284	49,066,984
Equity Products	Stock Options	SNOO	HKD		7,654	527,031,148	2023-09-30	5,963	402,629,758
Equity Products	Stock Options	SNPO	HKD		349	5,589,482	2023-09-30	299	5,348,310
Equity Products	Stock Options	SUNO	HKD		4,284	17,916,872	2023-09-30	3,423	14,933,074
Equity Products	Stock Options	SWAO	HKD		633	17,835,598	2023-09-30	574	17,332,589
Equity Products	Stock Options	TCHO	HKD		189,585	5,949,050,689	2023-09-30	193,079	6,556,992,169
Equity Products	Stock Options	TICO	HKD		3,325	133,426,762	2023-09-30	2,524	104,451,452
Equity Products	Stock Options	TRFO	HKD		3,666	32,230,885	2023-09-30	3,627	34,507,097
Equity Products	Stock Options	VNKO	HKD		2,951	23,412,802	2023-09-30	3,679	36,986,169
Equity Products	Stock Options	WHGO	HKD		440	4,922,902	2023-09-30	351	3,526,089
Equity Products	Stock Options	WHLO	HKD		398	8,276,639	2023-09-30	255	4,749,984
Equity Products	Stock Options	WWCO	HKD		351	1,622,389	2023-09-30	238	1,242,116
Equity Products	Stock Options	XABO	HKD		2,050	58,528,951	2023-09-30	2,313	63,005,194
Equity Products	Stock Options	XBCO	HKD		38,429	108,065,689	2023-09-30	36,004	100,772,487
Equity Products	Stock Options	XCCO	HKD		64,421	293,359,662	2023-09-30	63,983	283,311,498
Equity Products	Stock Options	XICO	HKD		42,107	157,167,561	2023-09-30	29,646	109,029,742
Equity Products	Stock Options	XPBO	HKD		793	14,296,541	2023-09-30	1,107	23,082,863
Equity Products	Stock Options	XTWO	HKD		2,077	16,236,000	2023-09-30	1,176	9,894,742
Equity Products	Stock Options	YZCO	HKD		1,076	30,670,311	2023-09-30	1,340	37,145,452
Equity Products	Stock Options	ZJMO	HKD		2,916	73,394,951	2023-09-30	2,331	59,321,403
Equity Products	Stock Options	ALHO	HKD		2,022	18,911,026	2023-09-30	2,377	23,808,616
Equity Products	Stock Options	KDSO	HKD		365	8,282,098	2023-09-30	534	13,360,145
Equity Products	Stock Options	PHTO	HKD		2,226	20,433,238	2023-09-30	2,063	20,039,202
Equity Products	Stock Options	SMCO	HKD		3,047	171,962,500	2023-09-30	3,863	202,441,895
Equity Products	Stock Options	JDHO	HKD		1,825	34,932,754	2023-09-30	2,228	53,960,218
Equity Products	Stock Options	WXBO	HKD		18,103	372,487,926	2023-09-30	13,378	289,238,565
Equity Products	Stock Options	KSTO	HKD		23,329	690,822,738	2023-09-30	26,994	880,454,008
Equity Products	Stock Options	BIUO	HKD		33,587	577,427,828	2023-09-30	26,600	562,167,774
Equity Products	Stock Options	BLIO	HKD		13,908	90,508,156	2023-09-30	14,391	115,506,518
Equity Products	Stock Options	BYEO	HKD		934	33,778,852	2023-09-30	989	31,335,710
Equity Products	Stock Options	HDOO	HKD		1,020	17,100,721	2023-09-30	1,289	26,473,645
Equity Products	Stock Options	LAUO	HKD		9,246	270,755,738	2023-09-30	10,766	330,934,400
Equity Products	Stock Options	NFUO	HKD		1,778	80,037,672	2023-09-30	1,796	78,977,242
Equity Products	Stock Options	TRPO	HKD		3,911	159,521,828	2023-09-30	3,486	159,398,613
Equity Products	Stock Options	PENO	HKD		10,997	141,091,528	2023-09-30	16,290	219,446,674
Equity Products	Stock Options	ZAOO	HKD		314	6,520,262	2023-09-30	281	6,790,419
Equity Products	Stock Options	WEBO	HKD		40	355,148	2023-09-30	29	282,056
Equity Products	Stock Options	COSO	HKD		218	4,096,762	2023-09-30	329	6,517,702
Equity Products	Stock Options	GHLO	HKD		328	5,976,656	2023-09-30	361	8,475,258
Equity Products	Stock Options	GLIO	HKD		1,497	9,126,672	2023-09-30	1,433	13,721,303
Equity Products	Stock Options	LNIO	HKD		9,302	116,004,238	2023-09-30	6,380	133,249,984
Equity Products	Stock Options	MOLO	HKD		38	1,835,366	2023-09-30	41	1,867,195
Equity Products	Stock Options	SHLO	HKD		782	7,634,354	2023-09-30	791	11,999,403
Equity Products	Stock Options	BEBO	HKD		NA	NA	2023-09-30	6	15,974
Equity Products	Stock Options	HDBO	HKD		9	135,800	2023-09-30	5	101,887
Equity Products	Stock Options	INBO	HKD		482	21,166,492	2023-09-30	355	12,149,613
Equity Products	Stock Options	LNAO	HKD		11	488,300	2023-09-30	43	1,846,677
Equity Products	Stock Options	SETO	HKD		272	7,619,967	2023-09-30	300	11,222,935
Equity Products	Stock Options	TCBO	HKD		1,855	60,382,692	2023-09-30	2,159	72,832,186
Equity Products	Stock Options	ZSHO	HKD		311	5,671,557	2023-09-30	270	7,087,387
Equity Products	Stock Options	WEAO	HKD		0	0	2023-09-30	0	2,161
Equity Products	Stock Options	SWBO	HKD		5	137,459	2023-09-30	33	1,104,079
Equity Products	Stock Options	YZAO	HKD		35	1,634,131	2023-09-30	88	3,863,200
Equity Products	Stock Options	NWAO	HKD		502	7,041,840	2023-09-30	NA	NA