

Rules, Regulations and Procedures of Hong Kong Futures Exchange Limited

CHAPTER III

**EXCHANGE PARTICIPANTSHIP AND
FUTURES EXCHANGE TRADING RIGHTS**

Certificates

311. (a) As soon as practicable after the later of the date on which a person becomes an Exchange Participant and the date on which an Exchange Participant (other than an Exchange Participant to whom Rule 309(b) applies) becomes duly registered, licensed or authorised by any regulatory body in accordance with Rule 309(a), the Secretary shall register such person as an Exchange Participant under the relevant category issue to each applicant a Certificate of Exchange Participantship signed by any one Director or the Secretary or any one or more persons authorised for this purpose by the Board. The certificate shall be conclusive as to the date of admission as an Exchange Participant, the date on which it is entitled to commence trading and as to the category of Exchange Participantship to which a person is admitted. Registration of an Exchange Participant on the register of Exchange Participants shall be proof of its Exchange Participantship and the Register of Exchange Participants shall be conclusive as to the information registered thereon.
- (b) The Exchange will no longer issue any certificate of Exchange Participantship to a new Exchange Participant or re-issue any ~~Where it is proven to the satisfaction of the Exchange that a certificate of Exchange Participantship issued to an Exchange Participant prior to 1 January 2021 is that has been defaced, lost or destroyed, a new certificate may be issued on such terms as to evidence and indemnity as the Board thinks fit and on payment of any expenses incurred by the Exchange in enquiring into the circumstances of the defacing, loss or destruction.~~

Publication of a list of Exchange Participants

- 316A. The Exchange shall maintain and keep up to date at regular intervals a list of Exchange Participants in each category in existence at the time. The Exchange shall publish such lists on the HKEX website or by such other means as it considers appropriate.

APPENDIX B – FEES

Description	Amount ¹
<i>Other fees</i>	
Sale of HKFE Rule book—Exchange Participant	500
Sale of HKFE Rule book—non-Exchange Participant	1,000
Subscription to HKFE Rule updates—Exchange Participant	250/annum
Subscription to HKFE Rule updates—non-Exchange Participant	500/annum

¹ Unless otherwise specified, the amounts listed in this appendix are in HK dollars