

Rules, Regulations and Procedures of Hong Kong Futures Exchange Limited

CHAPTER I

**INTERPRETATION ADMINISTRATION
AND AMENDMENT OF THE RULES**

Definitions and Interpretation

101. In these Rules, unless the context otherwise requires, the following expressions shall bear the following meanings:-

“HKEx website” means the official website of HKEx at <http://www.hkex.com.hk> or at such other website address specified by HKEx from time to time;

Notices to Exchange Participants and holders of Futures Exchange Trading Rights

- 112 (b) Unless otherwise provided in these Rules, all notices, requests, demands or other communications from the Exchange to holders of Futures Exchange Trading Rights and the Exchange Participants may be given orally or in writing, in person or by post, by electronic or wire transmission, by telephone or facsimile, by posting on the HKEx website or by any means of computer data transmission including, but in no way limited to broadcast messages via HKATS or e-mail.
- (c) A notice delivered by hand shall be deemed to have been served at the time of delivery; a notice sent by prepaid letter shall be deemed to have been served on the day following its posting; a notice sent by facsimile or electronic message shall be deemed to have been served on the day of despatch of the facsimile or electronic message; in the case of a notice sent by prepaid letter, in proving service thereof it shall be sufficient to prove that the envelope or wrapper containing the notice was properly addressed and stamped and was deposited in a post box or at the post office; a notice sent or delivered as aforesaid shall be deemed to have been served as aforesaid notwithstanding its being subsequently returned to the Exchange as undelivered, unaccepted or otherwise. In the case of communications made by the Exchange to a holder of Futures Exchange Trading Right and an Exchange Participant by posting on the HKEx website, the communications shall be deemed to have been received by the holder of the Futures Exchange Trading Right and the Exchange Participant immediately.

CHAPTER VII

DISCIPLINARY MATTERS

Notice of Decisions

- 731 (b) Where the Exchange Participantship, right to access HKATS or any other rights of an Exchange Participant are suspended, where any rights of a Responsible Officer are suspended or where the Exchange Participantship of an Exchange Participant or registration of a Responsible Officer is revoked, in addition to any other notice given by the Secretary pursuant to this Rule, notice thereof may be sent by the Secretary to all Exchange Participants in the manner specified by the Chief Executive from time to time, including by circulars or via electronic or computer data transmission to Exchange Participants. An Exchange Participant shall have no cause of action against the Chief Executive, the Secretary, a recognized exchange controller which is the controller of the Exchange, the Exchange or any other person associated with the Exchange in respect of any such notification.

CHAPTER IX

EMERGENCY AND EXTRAORDINARY SITUATIONS

- 902 Notice of suspension of trading shall be given to Exchange Participants, the Clearing House and HKEx, and prior notice shall be given to the Commission or other appropriate regulatory body. The Exchange shall, if possible, give notice of suspension by means of facsimile, electronic message or via HKATS or DCASS or HKEx website or by such other means as the circumstances permit. Unless otherwise decided by the Exchange or otherwise provided in the Procedures applicable to trading in the respective Markets, the trading arrangements upon approach and retreat of typhoons and/or issuance and discontinuation of black rainstorm warnings shall be as follows:-

TRADING PROCEDURES FOR STOCK FUTURES AND OPTIONS ON STOCK FUTURES TRADED ON THE AUTOMATED TRADING SYSTEM OF THE EXCHANGE (“HKATS”)

CHAPTER 5

CONTINGENCY PROCEDURES

5.2 Special Events

Special events which may affect trading will be handled by the Exchange in a manner similar to those described in relation to typhoon signals or black rainstorm warnings. Exchange Participants will be notified of the exact arrangements and procedures in relation to any suspension of services or facilities via the Market Messages Window of HKATS, DCASS, email, HKEx website or such other means deemed appropriate by the Exchange.