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Hong Kong Exchanges and Clearing Limited is a recognized exchange controller under the Securities and Futures Ordinance which is the controller of The Stock Exchange of Hong Kong Limited, Hong Kong Futures Exchange Limited, Hong Kong Securities Clearing Company Limited, The SEHK Options Clearing House Limited, HKFE Clearing Corporation Limited and OTC Clearing Hong Kong Limited.

通告 CIRCULAR

Subject: 2021 Annual Attestation and Inspection Programme

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As part of our continuing efforts to promote the compliance culture of our marketplace, we will commence the 2021 Annual Attestation and Inspection Programme (the "Programme") shortly. The Programme, which focuses on participants' compliance with the relevant rules and regulations, comprises two core components: (1) self-attestation of compliance by participants and (2) on-site inspection of selected participants. Details of the Programme can be found in the [HKEX Rule Enforcement's webpage](#).

PROGRAMME'S PRIORITY AREAS

The 2021 Programme will put priority on the following areas:

- Manual Trade:** Compliance with rules and requirements relevant to manual trade reporting (*applicable to SEHK Participants only*);
- Risk Management:** Measures in place to mitigate various areas of risk such as credit, liquidity, operational, market and financial (*applicable to Clearing Participants¹*); and
- China Connect Rules:** Compliance with China Connect Rules in relation to Northbound trading (*applicable to China Connect Exchange Participants and Trade-through Exchange Participants of SEHK*).

In addition, the self-attestation compliance questionnaire will cover (i) Prescribed Risk Controls for Trading System (*applicable to HKFE Participants and SEHK Stock Options Exchange Participants only*) and (ii) Clearing Rules Obligations (*applicable to Clearing Participants¹ and Custodian Participants² only*).

We will be inviting participants to our 2021 Programme information sessions. Details of the enrolment will be announced in due course.

Felix Wang
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¹ (i) Clearing Participants and General Clearing Participants of HKFE Clearing Corporation Limited, (ii) Direct Clearing Participants and General Clearing Participants of Hong Kong Securities Clearing Company Limited and The SEHK Options Clearing House Limited

² Custodian Participants of Hong Kong Securities Clearing Company Limited