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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: 2024 Annual Attestation and Inspection Programme – Self-attestation of Compliance Questionnaire

Enquiry: surveillance@hkex.com.hk

Reference is made to the circular (Ref. No.: MSM/002/2024) dated 5 April 2024 regarding the Annual Attestation and Inspection Programme 2024 (the “Programme”).

Under the Programme, all Participants¹ are required to submit a duly completed Self-attestation of Compliance Questionnaire (the “Questionnaire”) via the Electronic Communication Platform (the “ECP”) at <https://ecp2.hkex.com.hk/>.

The Questionnaire covers the three priority areas of the Programme i.e. (1) China Connect Rules, (2) Hong Kong Investor Identification Regime and (3) Risk Management, and Prescribed Risk Controls. All Participants are required to complete and return the Questionnaire by **7 August 2024**.

Participants are reminded of their obligations under the relevant rules² to complete and return the Questionnaire to the Exchange by the specified deadline. Any late or incomplete submission will be taken seriously and may result in disciplinary actions in accordance with the relevant rules and regulations.

¹ Including, (i) Exchange Participants of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited; (ii)(a) Clearing Participants and General Clearing Participants of HKFE Clearing Corporation Limited; (ii)(b) Direct Clearing Participants, General Clearing Participants and Custodian Participants of Hong Kong Securities Clearing Company Limited; and (ii)(c) Direct Clearing Participants and General Clearing Participants of The SEHK Options Clearing House.

² The relevant rules are SEHK Rule 569(3)(b), HKFE Rule 535, HKCC Rule 214A(a)(iv), HKSCC Rule 1703 and SEOCH Rule 403F(4).

The Questionnaire and the ECP User Guide are available at [HKEX Rule Enforcement webpage](#).

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