

Rules of the Exchange

CHAPTER 2

ADMINISTRATION

Publication of a list of Exchange Participants and Special Participants

- 238A. The Exchange shall maintain and keep up to date at regular intervals a list of Exchange Participants and Special Participants in existence at the time. The Exchange shall publish such list on the HKEX website or by such other means as it considers appropriate.

CHAPTER 3

EXCHANGE PARTICIPANTSHIP

Notice of admission

305. On the admission of an Exchange Participant the fact shall forthwith be notified to it in writing by the Secretary, ~~and a copy of the Rules shall be sent to it together with the current contract levies in force,~~ and a request for payment for the Stock Exchange Trading Right to be issued to it (if appropriate) and its current subscription shall be sent to it. It shall become an Exchange Participant upon its name being registered in the Register of Exchange Participants.

Exchange Participants Certificates

- 351A. (1) ~~Every Exchange Participant which carries on the business of dealing in securities will be issued with an Exchange Participant Certificate which shall be displayed by it at the registered business address of the Exchange Participant. If an Exchange Participant has more than one registered business addresses, the Exchange Participant Certificate shall be displayed at its principal business address and a certified copy of the Exchange Participant Certificate shall be displayed at each of its other registered business addresses. The Exchange will no longer issue any Exchange Participant Certificate to a new Exchange Participant or re-issue any Exchange Participant Certificate issued to an Exchange Participant prior to 1 January 2021 that has been defaced, lost or destroyed. 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.~~
- (2) - (5) ~~[Repealed] An Exchange Participant which ceases to carry on the business of dealing in securities shall immediately return to the Exchange the Exchange Participant Certificate issued to it.~~

- ~~(3) An Exchange Participant which ceases to be an Exchange Participant shall immediately return the Exchange Participant Certificate to the Exchange issued to it upon cessation of Exchange Participantship.~~
- ~~(4) An Exchange Participant suspended from trading or suspended or expelled from Exchange Participantship shall immediately surrender to the Exchange the Exchange Participant Certificate issued to it. An Exchange Participant suspended from trading or suspended from Exchange Participantship will be issued with a certificate upon recommencement of trading or re-instatement of Exchange Participantship.~~
- ~~(5) An Exchange Participant which fails to return or surrender its Exchange Participant Certificate shall be liable to a charge as determined by the Board from time to time.~~

352B. [Repealed]

- ~~(4) An Exchange Participant shall report to the Exchange loss of an Exchange Participant Certificate and apply for issue of a duplicate certificate. A notice advertising the loss will be published in an English language newspaper and a Chinese language newspaper and the costs of such advertisement shall be borne by the Exchange Participant. After the publication of the notice, a duplicate Exchange Participant Certificate will be issued to it. The duplicate Exchange Participant Certificate shall then be displayed at the Exchange Participant's principal business address.~~
- ~~(5) An Exchange Participant whose Exchange Participant Certificate is defaced may apply to the Board for a replacement certificate, and attach with such application any defaced certificate for cancellation. A replacement Exchange Participant Certificate will be issued to the applicant in due course. The replacement Exchange Participant Certificate shall then be displayed at the Exchange Participant's principal business address.~~

CHAPTER 7

DISCIPLINARY

Situations Calling for Disciplinary Action

- 723. (2) Without prejudice to the generality of the foregoing, the Board and the Chief Executive may exercise their disciplinary powers against a Participant in the following instances, in such manner as they think fit, if the Participant:-
 - (x) ~~[Repealed](in the case of an Exchange Participant) has failed to display the Exchange Participant Certificate, duplicate Exchange~~

~~Participant Certificate, replacement Exchange Participant Certificate and/or certified copy of the Exchange Participant Certificate in accordance with these Rules;~~

CHAPTER 8

PAYMENT OF FEES AND CHARGES

802. Without limitation to the generality of Rule 801 above, the Board may impose fees and charges in respect of: -

<u>Fee Type</u>	<u>Amount (HK\$)</u>
(29) [Repealed] Rules:	
(a) Disciplinary Procedures	75
(b) Operational Clearing Procedures for Options Trading Exchange Participants	300
(c) Operational Trading Procedures for Options Trading Exchange Participants	250
(d) Options Clearing Rules (English Version)	250
(e) Update(s) to the Options Clearing Rules (English Version)	100/annum
(f) Options Clearing Rules (Chinese Version)	250
(g) Update(s) to the Options Clearing Rules (Chinese Version)	100/annum
(h) Options Trading Rules (English Version)	250
(i) Update(s) to the Options Trading Rules (English Version)	100/annum
(j) Options Trading Rules (Chinese Version)	250
(k) Update(s) to the Options Trading Rules (Chinese Version)	100/annum
(l) Rules Governing the Listing of Securities – Vol. 1 & 2 (English Version)	400
(m) Updating service fee in relation to the Rules Governing the Listing of Securities (English Version)	100/annum
(n) Rules Governing the Listing of Securities – Vol. 1 & 2 (Chinese Version)	400
(o) Updating service fee in relation to the Rules Governing the Listing of Securities (Chinese Version)	100/annum
(p) Rules Governing the Listing of Securities on GEM (English Version)	380
(q) Updating service fee in relation to the Rules Governing the Listing of Securities on GEM (English Version)	100/annum
(r) Rules Governing the Listing of Securities on GEM (Chinese Version)	380
(s) Updating service fee in relation to the Rules Governing the Listing of Securities on GEM (Chinese Version)	100/annum
(t) Rules of the Exchange (English Version)	420
(u) Update(s) to the Rules of the Exchange (English Version)	100/annum
(v) Rules of the Exchange (Chinese Version)	420

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| (w) | Update(s) to the Rules of the Exchange
(Chinese Version) | 100/annum |
| (x) | [Repealed] | |
| (y) | [Repealed] | |
| (z) | [Repealed] | |