

香港交易及結算所有限公司是《證券及期貨條例》所述的認可控制人，亦為香港聯合交易所有限公司、香港期貨交易所有限公司、香港中央結算有限公司、香港聯合交易所期權結算所有限公司、香港期貨結算有限公司及香港場外結算有限公司的控制人。

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.

Severe Weather Trading – Readiness Declaration Form

Notes:

- Please read the circulars of The Stock Exchange of Hong Kong Limited (“SEHK”), Hong Kong Futures Exchange Limited (“HKFE”), Hong Kong Securities Clearing Company Limited (“HKSCC”), HKFE Clearing Corporation Limited (“HKCC”) and The SEHK Options Clearing House Limited (“SEOH”) dated 15 July 2024 (Ref: [CT/104/24](#), [MO/DT/159/24](#), [MO/DT/160/24](#), [CD/OES/CCASS/030/2024](#), [CD/OEC/HKCC/198/2024](#), [CD/OEC/SEOH/199/2024](#)) (the “Circulars”) before completing this Declaration Form.
- Each respondent shall submit one Severe Weather Trading (“SWT”) - Declaration Form only in each identity specified in Part II.
- Submission of this Declaration Form shall be made through the SEHK EP ECP user account or HKFE EP ECP user account of the Electronic Communication Platform (“ECP”) (<https://ecp2.hkex.com.hk/>), unless otherwise allowed as referred to in Note 5, as appropriate in accordance with the following requirements:

Participant	Submission channel	User Role/ Business Function in ECP	Submission File Name
An Exchange Participant (“EP”) of SEHK that is also a Direct Clearing Participant (“DCP”) or General Clearing Participant (“GCP”) of HKSCC	SEHK EP ECP user account	EU_ECPTO	SWTDF_NNNNN.pdf (where NNNNN being the SEHK EP Participant ID with a leading zero)
An Options Trading Exchange Participant (“OTEP”) of SEHK that is also a DCP or GCP of SEOH			
An EP and/ or OTEP of SEHK that has appointed a GCP of HKSCC and/ or SEOH, as the case may be, to provide third-party clearing service			
An EP of HKFE that is also a Clearing Participant or GCP of HKCC	Please use (i) SEHK EP ECP user account if available; or	For (i) EU_ECPTO	For (i) SWTDF_NNNNN.pdf (where NNNNN being the SEHK EP Participant ID with a leading zero)
An EP of HKFE that has appointed a GCP of HKCC to provide third-party clearing service	(ii) HKFE EP ECP user account if (i) is not available	For (ii) EU_ECPDO	For (ii) SWTDF_NNNNN.pdf (where NNNNN being the HKATS code with two leading zeros)

4. Please save the completed declaration form in pdf format and submit it through the Electronic Communication Platform (ECP) (<https://ecp2.hkex.com.hk/>) **on or before 30 August 2024**. The declaration form can be submitted via
- SEHK EP ECP user account: Save the completed declaration form with file name as SWTDF_NNNNN.pdf (where NNNNN being the Participant ID with a leading zero), login ECP via HKEX Access Management Portal with user function "EU_ECPTO", navigate to the left navigation menu to select the "Submission" function, then click the hyperlink of "SWTDFM - Readiness Declaration for Severe Weather Trading (for SEHK EP)" on the submission list page to submit.
 - HKFE EP ECP user account: Save the completed declaration form with file name as SWTDF_NNNNN.pdf (where NNNNN being the HKATS Code with two leading zeros), login ECP via HKEX Access Management Portal with user function "EU_ECPDO", navigate to the left navigation menu to select the "Submission" function, then click the hyperlink of "SWTDFF - Readiness Declaration for Severe Weather Trading (for HKFE EP)" on the submission list page to submit.
5. For a Clearing Participant of HKSCC, HKCC and/or SEOCH that is neither an Exchange Participant of SEHK nor HKFE and does not have an ECP account, please submit the declaration form in pdf format via email to SWT_Declaration@hkex.com.hk **on or before 30 August 2024**.
6. For enquiry of this declaration form, please contact the following HKEX Hotlines:
- CCASS Hotline for HKSCC Clearing Participants at (+852) 2979-7111, or
 - DCASS Hotline for HKCC and SEOCH Clearing Participants at (+852) 2979-7222, or
 - HKATS Hotline for HKFE Participants and SEHK Options Trading Exchange Participants at (+852) 2211- 6360, or
 - Participant General Enquiry Hotline for SEHK Participants at (+852) 2840-3626.

Part I – Participant and Contact Person Information			
Full Name of Exchange Participant / Clearing Participant			
Primary Contact Person Name	Title	Business Email Address	Business Phone No.
Secondary Contact Person Name	Title	Business Email Address	Business Phone No.

Part II – Applicable Participantship	
We hereby fill in the declaration form in each of our identities as follows (<i>please tick the appropriate box(es)</i>):	
<input type="checkbox"/>	SEHK EP (Participant ID:) and HKSCC Participant (Participant ID: B0)
<input type="checkbox"/>	HKFE EP (HKATS Customer Code:) and HKCC Participant (DCASS Customer Code: C)
<input type="checkbox"/>	OTEP (HKATS Customer Code:) and SEOCH Participant (DCASS Customer Code: C)
<input type="checkbox"/>	SEHK EP (Participant ID:) only
<input type="checkbox"/>	HKFE EP (HKATS Customer Code:) only
<input type="checkbox"/>	OTEP (HKATS Customer Code:) only
<input type="checkbox"/>	HKSCC, HKCC and/or SEOCH Clearing Participant only: HKSCC Participant (Participant ID:); HKCC Participant (DCASS Customer Code:); and/or SEOCH Participant (DCASS Customer Code:).

Part III – Target Operating Model for SWT

Q1. What is your SWT operation setup during SW condition?

- Full Remote
 Full On-site
 Hybrid Model
 Others, please specify
- _____

Q2. If on-site support is needed during SWT, what is the expected number of staff required to report duty at office premises¹?

Part IV – Checklist of Operational and System Readiness for Trading and Clearing on a SWT Day²

For an EP of SEHK and/or HKFE and/or an OTEP of SEHK

1. Confirm with your internal IT and/or system vendor(s) to ensure access to the SEHK/HKFE's trading system(s) (OTP-C / OTP-CSC / HKATS) (if applicable) is available on SWT Days.
2. Confirm with your internal IT and/or system vendor(s) to ensure your firm's system(s) for trading operations, including but not limited to submitting orders to SEHK/HKFE's trading system(s), communications with clients, connections to HKEX (e.g. access to Electronic Communication Platform, Client Connect, etc.) and risk management system (if applicable) are available on SWT Days.
3. Confirm with your internal IT and/or remote service provider(s) (if applicable) to ensure remote access is available on SWT Days.
4. Confirm with your Broker Supplied System ("BSS") vendor and/or system vendor(s) to ensure relevant BSS or HKATS OAPI (if applicable) are available on SWT Days.
5. Confirm with all relevant stakeholders, including the team or department responsible for compliance and regulatory functions, as well as internal IT and/or system vendor(s) and any external service provider, to ensure the readiness of all relevant systems and remote access in supporting the surveillance, monitoring and regulatory reporting on SWT Days.
6. Confirm internally the contact list registered with HKEX remains applicable on SWT Days.
7. *(Only applicable to an EP of SEHK and/or HKFE and/or an OTEP of SEHK that is not a DCP of HKSCC, HKCC or SEOCH, as the case may be)* Confirm the Clearing Participant appointed to provide third-party clearing service is SWT ready and has separately submitted the SWT – Readiness Declaration Form.

¹ Exchange Participants and Clearing Participants should minimise the number of staff required to report duty at office premises during SWT and discuss with such relevant staff and obtain their prior consent on such work arrangements. Exchange Participants and Clearing Participants are reminded to follow the guidelines in the Code of Practice in Times of Adverse Weather and "Extreme Conditions" and observe statutory obligations and the relevant requirements under the Employment Ordinance, the Occupational Safety and Health Ordinance, the Factories and Industrial Undertakings Ordinance, the Employees' Compensation Ordinance and the Minimum Wage Ordinance.

² A trading day under severe weather condition, i.e. Typhoon Signal No. 8 or above or Black Rainstorms Warning issue by the Hong Kong Observatory or Extreme Condition announced by HKSAR Government

For a Clearing Participant of HKSCC, HKCC and/or SEOCH

1. Confirm with your internal IT and/or system vendor(s) (if applicable) to ensure access to CCASS / DCASS / CCMS is available on SWT Days.
2. Confirm with your internal IT and/or system vendor(s) (if applicable) to ensure your firm's system(s) for clearing operations is available on SWT Days.
3. Confirm with your internal IT and/or remote service provider(s) (if applicable) to ensure remote access is available on SWT Days.
4. Confirm internally the contact list registered with the Clearing houses is applicable on SWT Days.
5. (if applicable) Confirm with your system vendor(s) to ensure clearing DCASS OAPI and back office systems are available on SWT Days
6. (if applicable) Confirm with your settlement/designated banks that all settlement accounts operate as usual to fulfil the required payment obligations on a trading day as set forth in the rules and procedures of HKSCC, HKCC and SEOCH on SWT Days
7. (if applicable) Confirm with your contact point of settlement/designated bank of the escalation protocol in case of any settlement and/or funding issue on SWT Days.

Part V – Declaration

We, _____, in each of the following capacities to

(Full name of Participant)

<input type="checkbox"/>	SEHK EP
<input type="checkbox"/>	HKFE EP
<input type="checkbox"/>	SEHK OTEP
<input type="checkbox"/>	HKSCC Participant
<input type="checkbox"/>	HKCC Participant
<input type="checkbox"/>	SEOCH Participant

- declare that the information provided in this application form is complete, true and correct;
- communicate with clients clearly and in advance about our company's SWT policies and arrangements; and
- have read, understood and checked the items listed in Part IV and our company is ready to make the following declaration for SWT.

<input type="checkbox"/>	We declare we are fully ready for SWT.
<input type="checkbox"/>	We declare we are NOT fully ready for SWT ³ .

³ Name of Participants who declared not fully ready will be published on HKEX website in light of market transparency

	Full Name	Date
Name of Responsible Officer of SEHK EP		
Name of Responsible Officer of HKFE EP		
Name of Responsible Officer of OTEP		
Name of Authorized Signer of HKSCC Participant		
Name of Authorized Signer of HKCC Participant		
Name of Authorized Signer of SEOCH Participant		