



Guideline on Submission of Large Open Position Report (“LOPR”) Account information in Electronic Communication Platform (“ECP”)

OPERATIONS
MARKET SURVEILLANCE & MONITORING

HKEX
香港交易所

Introduction

This guideline is to facilitate the Large Open Position Report (“LOPR”) submitters to better understand how to download and submit LOP account form in Electronic Communication Platform (“ECP”).

Page 3 | Download LOP account form in ECP

Page 4 – 5 | Submit LOP account form in ECP

Page 6 | Enhanced LOP account form

Page 7 | Frequently Asked Questions on LOP account form submission



Download LOP account form in ECP

- LOPR submitter can download the LOP account form, consists a complete list of LOPR accounts requiring follow-up actions, in “**Download Corner**” in ECP

HKEX
香港交易所

Electronic Communication Platform

EN

Download Corner

Submission

Activity Enquiry

SFTP Key Management

Information

Download Corner

Filter
LOP account information

From (HK Time)
2024-10-14

To (HK Time)
2024-10-17

All time range

Search

Time	Subject	Last Available Date
2024-10-16 17:30	Large Open Position Report Account Information	2024-10-23

Rows per page 10 1 of 1

1. After successful login of ECP, click “**Download Corner**” on the left navigation menu
2. Apply filter on the list of files displayed by selecting “**LOP account information**”
3. Download the LOP account form by clicking the corresponding search result here

Submission of LOP account form in ECP (BI Report)

- Upon completion of the required information in LOP account form, LOPR submitter can submit the LOP account form in “**Submission**” section in ECP

1. After successful login of ECP, click “**Submission**” on the left navigation menu and select submission box of “**Large Open Position Report Account Information: BI Report**”

2. Browse to attach the file of the completed LOP account form

3. Click “**Submit**” button to submit the file

Remark: Filename must be followed by the rule of “**LOP Account_BI_[Identity Code¹].[YYYYMMDD]**”

¹ Identity Code is a five-digit characters assigned by the Exchange, which is the same code as the one used for LOPR submission



Submission of LOP account form in ECP (TO Report)

- Upon completion of the required information in LOP account form, LOPR submitter can submit the LOP account form in “**Submission**” section in ECP

1. After successful login of ECP, click “**Submission**” on the left navigation menu and select submission box of “**Large Open Position Report Account Information: TO Report**”

2. Browse to attach the file of the completed LOP account form

3. Click “**Submit**” button to submit the file

Remark: Filename must be followed by the rule of “**LOP Account_TO_[Identity Code¹].[YYYYMMDD]**”

¹ Identity Code is a five-digit characters assigned by the Exchange, which is the same code as the one used for LOPR submission

Enhanced LOP account form

- The enhanced LOP account form covered two areas, which are:
 - New** LOPR account; and
 - Existing** LOPR account with updates on the previous reported BI/TO Name

4. Instruction and/or follow up questions

LOP Account - New Account		Please fill in the relevant column									
Since Trade Date	Account No.	Full Name of Beneficial Identity (if different from LOP report)	Full Name of Transaction Originator (if different from LOP report)	Is it an Omnibus / Pending Allocation / Suspense Account? (Y/N)*	Is BI an individual / company / fund? (Please select if N in Column E)	BI/TO requested to report all positions regardless of the reporting level?	Remark	Instruction	Date of last submission	Market	
20241001	LOP Account 001							Please fill in the relevant columns (Column C to H) [follow up questions from HKEX (if any)]		HKFE	
20241001	LOP Account 002							Please fill in the relevant columns (Column C to H)		HKFE	
20241002	LOP Account 003							Please fill in the relevant columns (Column C to H)		SEHK	
20241003	LOP Account 004							Please fill in the relevant columns (Column C to H)		SEHK	
* Mandatory field											
LOP Account - Change of Name		Please fill in the relevant column									
Since Trade Date	Account No.	Correct Name of Beneficial Identity	Correct Name of Transaction Originator	Reason of the change of BI/TO Name*		Remark	Instruction	Date of last submission	Market		
20241001	LOP Account 005						Please confirm the correct BI Name (Column C) and advise the reason of change of BI Name (Column E). [follow up questions from HKEX (if any)]		HKFE		
20241001	LOP Account 006						Please confirm the correct BI & TO Name (Column C & D) and advise the reason of change of BI & TO Name (Column E).		HKFE		
20241002	LOP Account 007						Please confirm the correct TO Name (Column D) and advise the reason of change of TO Name (Column E).		SEHK		
20241003	LOP Account 008						Please confirm the correct TO Name (Column D) and advise the reason of change of TO Name (Column E).		SEHK		
* Mandatory field											

1. All LOP accounts with outstanding information will be listed out
2. Only LOP Account No. will be display in the enhanced form

- A. Individual
- B. Company (related to EP group)
- C. Company (investment bank)
- D. Company (not items B and C)
- E. Fund (hedge fund)
- F. Fund (not item E)

3. Dropdown menu to select the client type

5. Field to input the reason of change of name(s)



Frequently Asked Questions on LOP account form submission

Questions	Answer
1. What should I do if only part of the outstanding LOPR account information is completed in the LOP account form, while other accounts are still in progress?	<ul style="list-style-type: none">• LOPR submitters can still submit the LOP account form for accounts with completed information. For accounts which are still in progress, you may leave the information fields blank for the submission.
2. Can I submit the LOP account form in advance before downloading it in ECP (i.e. the LOP account does not exist in the latest LOP account form downloaded in ECP)?	<ul style="list-style-type: none">• LOPR submitters can submit for LOPR accounts that not exists in the latest LOP account form, such as the new LOPR accounts reported today.
3. What should I do if the account information of any LOPR account has changed?	<ul style="list-style-type: none">• LOPR submitters can add the relevant accounts to the LOP account form and submit it via ECP to notify the Exchange of the change. The LOP account form template is available on the HKEX website.
4. How should I submit the LOP account form if my ECP account is not ready?	<ul style="list-style-type: none">• For new LOPR submitters, as ECP account setup may take few days, please submit the LOP account form to lophkfe@hkex.com.hk as a temporary approach before the ECP account is setup



Thank you

Please contact the Market Surveillance and Monitoring Department (email: lophkfe@hkex.com.hk) should there be any questions regarding LOPR account information submission

