

## **Electronic Communication Platform (ECP)**

### Arrangements for Exceptional Cases

#### *A. Submission of Stamp Duty Daily Return (Form SD-1)*

For certain exceptional cases (e.g. half trading day), the submission window for SD-1 may be extended and the table below acts as a guideline for the submission cut-off time for these cases:

Scenarios (on T+2 day)	ECP submission cut off time for T days stamp duty
Normal Cases	11 am on T+2 day
Half trading day	Next trading day (i.e. 11 am on T+3 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate
Major interruption	
If ECP is recovered between 9 am and 11 am	3 pm on T+2 day
If ECP is recovered at or before 9 am	No change to normal operations (i.e. 11 am on T+2 day)
All other cases	<p>Switch to manual mode until ECP service fully resumes (i.e. the means of submission will be changed from electronic to manual)</p> <p>EPs must submit a completed Form SD-1 to HKEX via email and deposit the relevant stamp duty payment into HKEX's designated bank account for the amount of actual stamp duty paid for T day as reported in Form SD-1, no later than 4:00 pm on T+2 day.</p> <p>The format of the Form SD-1 should be the same as the softcopy Form SD-1 (Excel template) except that authorized signature(s) and a company chop must be provided at the bottom of the Form.</p> <p>The Form SD-1 with authorized signature(s) and the proof of payment (e.g. payment slip) shall then be sent to HKEX email address: <a href="mailto:sd1@hkex.com.hk">sd1@hkex.com.hk</a>.</p>

**Note:** The above arrangement is subject to change without prior notice. EPs are reminded to keep track of the latest announcements made by the Exchange.

*B. Submission of Options Market Maker Jobbing Transaction Composite Reporting Form (Form SD-4)*

For certain exceptional cases (e.g. half trading day), the submission window for SD-4 may be extended and the table below acts as a guideline for the submission cut-off time for these cases:

Scenarios (on T+1 day)	ECP submission cut off time for Options Market Maker Jobbing Transaction concluded on T day
<b>Normal Cases</b>	10:15 am on T+1 day
<b>Half trading day</b>	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
<b>ECP failure</b>	
<b>Minor interruption (few minutes interruption)</b>	HKEX may extend the cut-off time if appropriate
<b>Major interruption</b>	
If ECP is recovered between 8:15 am and 10:15 am	3 pm on T+1 day
If ECP is recovered at or before 8:15am	No change to normal operations (i.e. 10:15 am on T+1 day)
All other cases	<p>Switch to manual mode until ECP service fully resumes (i.e. the means of submission will be changed from electronic to alternative delivery method)</p> <p>Instead of submitting the completed softcopy of Form SD-4 through the ECP, EPs should send the Form SD-4 to <a href="mailto:ecp_contingency@hkex.com.hk">ecp_contingency@hkex.com.hk</a> not later than 10:15 am on T+1 day unless otherwise stated in the announcement made by the Exchange. Upon the resumption of ECP, EPs are requested to submit the same emailed SD-4 files through ECP. In case there are any differences between the SD-4 files submitted through email and ECP, the file in ECP prevails. EPs are requested to carry out necessary follow up action if there is any shortfall on stamp duty payment of the relevant trade day.</p>

**Note:** The above arrangement is subject to change without prior notice. Relevant market Makers are reminded to keep track of the latest announcements made by the Exchange.

*C. Submission of ETF Market Makers Underlying Stock Transactions Reporting Form (Form SD-6)*

For certain exceptional cases (e.g. half trading day), the submission window for SD-6 may be extended and the table below acts as a guideline for the submission cut-off time for these cases:

Scenarios (on T+1 day)	ECP submission cut off time for ETF Market Makers Underlying Stock Transactions concluded on T day
<b>Normal Cases</b>	10:15 am on T+1 day
<b>Half trading day</b>	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
<b>ECP failure</b>	
<b>Minor interruption (few minutes interruption)</b>	HKEX may extend the cut-off time if appropriate
<b>Major interruption</b>	
If ECP is recovered between 8:15 am and 10:15 am	3 pm on T+1 day
If ECP is recovered at or before 8:15am	No change to normal operations (i.e. 10:15 am on T+1 day)
All other cases	<p>Switch to manual mode until ECP service fully resumes (i.e. the means of submission will be changed from electronic to alternative delivery method)</p> <p>Instead of submitting the completed softcopy of Form SD-6 through the ECP, EPs should send the Form SD-6 to <a href="mailto:ecp_contingency@hkex.com.hk">ecp_contingency@hkex.com.hk</a> not later than 10:15 am on T+1 day unless otherwise stated in the announcement made by the Exchange. Upon the resumption of ECP, EPs are requested to submit the same emailed SD-6 files through ECP. In case there are any differences between the SD-6 files submitted through email and ECP, the file in ECP prevails. EPs are requested to carry out necessary follow up action if there is any shortfall on stamp duty payment of the relevant trade day.</p>

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*D. Submission of ETF Market Makers Underlying Stock Transactions Reporting Form (Supplemental) (Form SD-6A)*

For certain exceptional cases (e.g. half trading day), the submission window for SD-6A may be extended and the table below acts as a guideline for the submission cut-off time for these cases:

Scenarios (on T+3 day)	ECP submission cut off time for supplemental form for ETF Market Makers Underlying Stock Transactions concluded on T day
Normal Cases	10:15 am on T+3 day
Half trading day	10:15 am on next trading day (i.e. 10:15 am on T+4 day)
ECP failure	
Minor interruption (few minutes interruption)	HKEX may extend the cut-off time if appropriate
Major interruption	
If ECP is recovered between 8:15 am and 10:15 am	3 pm on T+3 day
If ECP is recovered at or before 8:15am	No change to normal operations (i.e. 10:15 am on T+3 day)
All other cases	<p>Switch to manual mode until ECP service fully resumes (i.e. the means of submission will be changed from electronic to alternative delivery method)</p> <p>Instead of submitting the completed softcopy of Form SD-6A through the ECP, EPs should send the Form SD-6A to <a href="mailto:ecp_contingency@hkex.com.hk">ecp_contingency@hkex.com.hk</a> not later than 10:15 am on T+3 day unless otherwise stated in the announcement made by the Exchange. Upon the resumption of ECP. EPs are requested to submit the same emailed SD-6A files through ECP. In case there are any differences between the SD-6A files submitted through email and ECP, the file in ECP prevails. EPs are requested to carry out necessary follow up action if there is any shortfall on stamp duty payment of the relevant trade day.</p>

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