

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

### Handling of exceptional scenarios

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

For certain exceptional cases (e.g. half trading day and typhoon scenarios), 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
<b>Normal Cases</b>	11 am on T+2 day
<b>Typhoon no. 8 or above hoisted</b>	
Case 1: hoisted before 7 am and lowered after 12 noon	11 am on next trading day (i.e. 11 am on T+3 day)
Case 2: hoisted before 7 am and lowered before 12 noon	3 pm on T+2 day
Case 3: hoisted between 7 am and 11 am and lowered after 12 noon	11 am on next trading day (i.e. 11 am on T+3 day)
Case 4: hoisted between 11 am and 3 pm	No change to normal operations (i.e. 11 am on T+2 day)
Case 5: hoisted after 3 pm	No change to normal operations (i.e. 11 am on T+2 day)
<b>Black-rainstorm warning issued</b>	
Case 1: issued before 7 am and lowered after 12 noon	11 am on next trading day (i.e. 11 am on T+3 day)
Case 2: issued before 7 am and lowered before 12 noon	3 pm on T+2 day
Case 3: issued between 7 am and 9 am and lowered before 12 noon	3 pm on T+2 day
Case 4: issued between 7 am and 9 am and lowered after 12 noon	11 am on next trading day (i.e. 11 am on T+3 day)
<b>Half trading day</b>	Next trading day (i.e. 11 am on T+3 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 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 hand delivery)</p> <p>EPs must submit HKEX latest by 2:30 pm T+2 day a completed hardcopy Form SD-1 and at the same time submit a properly authorized cheque drawn in favour of <u>The Stock Exchange of Hong Kong Limited</u> for the amount of actual stamp duty paid for T day as reported in Form SD-1.</p> <p>The format of the Form SD-1 should be the same as the softcopy Form SD-1 (Excel template) except that authorised signature(s)</p>

	<p>and a company chop must be provided at the bottom of the hardcopy Form.</p> <p>The hardcopy Form SD-1 and the cheque shall then be returned to the entrance of the Trading Hall or at such other places as designated by the Exchange from time to time.</p>
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**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 and typhoon scenarios), 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>Typhoon no. 8 or above hoisted</b>	
Case 1: hoisted before 7 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 2: hoisted before 7 am and lowered before 12 noon	3 pm on T+1 day
Case 3: hoisted between 7 am and 11 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 4: hoisted between 11 am and 3 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
Case 5: hoisted after 3 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
<b>Black-rainstorm warning issued</b>	
Case 1: issued before 7 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 2: issued before 7 am and lowered before 12 noon	3 pm on T+1 day
Case 3: issued between 7 am and 9 am and lowered before 12 noon	3 pm on T+1 day
Case 4: issued between 7 am and 9 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+2 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 hand delivery)</p> <p>Instead of submitting the completed softcopy of Form SD-4 through the ECP, EPs should print out the completed Form SD-4 and get it signed by the authorized person and stamped with the company chop. At the same time, EPs should also save a copy of the Form SD-4 in a diskette or CD-ROM for submission to HKEx. The signed print-out and diskette or CD-ROM mentioned above should be delivered to Trading Operations Department, Markets Division of HKEx not later than 10:15 am on T+1 day unless otherwise stated in the announcement made by the Exchange.</p>

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

For certain exceptional cases (e.g. half trading day and typhoon scenarios), 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>Typhoon no. 8 or above hoisted</b>	
Case 1: hoisted before 7 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 2: hoisted before 7 am and lowered before 12 noon	3 pm on T+1 day
Case 3: hoisted between 7 am and 11 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 4: hoisted between 11 am and 3 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
Case 5: hoisted after 3 pm	No change to normal operations (i.e. 10:15 am on T+1 day)
<b>Black-rainstorm warning issued</b>	
Case 1: issued before 7 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+2 day)
Case 2: issued before 7 am and lowered before 12 noon	3 pm on T+1 day
Case 3: issued between 7 am and 9 am and lowered before 12 noon	3 pm on T+1 day
Case 4: issued between 7 am and 9 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+2 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	Switch to manual mode until ECP service fully resumes (i.e. the means of submission will be changed from electronic to hand delivery)  Instead of submitting the completed softcopy of Form SD-6 through the ECP, EPs should print out the completed Form SD-6 and get it signed by the authorized person and stamped with the company chop. At the same time, EPs should also save a copy of the Form SD-6 in a diskette or CD-ROM for submission to HKEx. The signed print-out and diskette or CD-ROM mentioned above should be delivered to Trading Operations Department, Markets Division of HKEx not later than 10:15 am on T+1 day unless otherwise stated in the announcement made by the Exchange.

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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 and typhoon scenarios), 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
<b>Normal Cases</b>	10:15 am on T+3 day
<b>Typhoon no. 8 or above hoisted</b>	
Case 1: hoisted before 7 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+4 day)
Case 2: hoisted before 7 am and lowered before 12 noon	3 pm on T+3 day
Case 3: hoisted between 7 am and 11 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+4 day)
Case 4: hoisted between 11 am and 3 pm	No change to normal operations (i.e. 10:15 am on T+3 day)
Case 5: hoisted after 3 pm	No change to normal operations (i.e. 10:15 am on T+3 day)
<b>Black-rainstorm warning issued</b>	
Case 1: issued before 7 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+4 day)
Case 2: issued before 7 am and lowered before 12 noon	3 pm on T+3 day
Case 3: issued between 7 am and 9 am and lowered before 12 noon	3 pm on T+3 day
Case 4: issued between 7 am and 9 am and lowered after 12 noon	10:15 am on next trading day (i.e. 10:15 am on T+4 day)
<b>Half trading day</b>	10:15 am on next trading day (i.e. 10:15 am on T+4 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+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	Switch to manual mode until ECP service fully resumes  (i.e. the means of submission will be changed from electronic to hand delivery)  Instead of submitting the completed softcopy of Form SD-6A through the ECP, EPs should print out the completed Form SD-6A and get it signed by the authorized person and stamped with the company chop. At the same time, EPs should also save a copy of the Form SD-6A in a diskette or CD-ROM for submission to HKEx. The signed print-out and diskette or CD-ROM mentioned above should be delivered to Trading Operations Department, Markets Division of HKEx not later than 10:15 am on T+3 day unless otherwise stated in the announcement made by the Exchange.

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