

## **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 stamp duty reported for transactions concluded on T day
<b>Normal Cases</b>	11 am on T+2 day
<b>Typhoon Signal No. 8 or above hoisted</b>	
Case 1: hoisted before 7 am and lowered after 12 noon	11 am on the following trading 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 before 12 noon	3 pm on T+2 day
Case 4: hoisted between 7 am and 11 am and lowered after 12 noon	11 am on the following trading day
Case 5: hoisted after 11 am	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 discontinued after 12 noon	11 am on the following trading day
Case 2: issued before 7 am and discontinued before 12 noon	3 pm on T+2 day
Case 3: issued between 7 am and 9 am and discontinued before 12 noon	3 pm on T+2 day
Case 4: issued between 7 am and 9 am and discontinued after 12 noon	11 am on the following trading day
Case 5: issued after 9 am	No change to normal operations (i.e. 11 am on T+2 day)
<b>Half trading day</b>	11 am on the following trading 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	Switch to manual mode until ECP service fully resumes (i.e. the means of submission will be changed from electronic to hand delivery)  EPs must submit to HKEx latest by 2:30 pm on T+2 day a

	<p>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 authorized signature(s) 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 transactions concluded on T day
<b>Normal Cases</b>	10:15 am on T+1 day
<b>Typhoon Signal No. 8 or above hoisted</b>	
Case 1: hoisted before 7 am and lowered after 12 noon	10:15 am on the following trading 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 10:15 am and lowered before 12 noon	3 pm on T+1 day
Case 4: hoisted between 7 am and 10:15 am and lowered after 12 noon	10:15 am on the following trading day
Case 5: hoisted after 10:15 am	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 discontinued after 12 noon	10:15 am on the following trading day
Case 2: issued before 7 am and discontinued before 12 noon	3 pm on T+1 day
Case 3: issued between 7 am and 9 am and discontinued before 12 noon	3 pm on T+1 day
Case 4: issued between 7 am and 9 am and discontinued after 12 noon	10:15 am on the following trading day
Case 5: issued after 9 am	No change to normal operations (i.e. 10:15 am on T+1 day)
<b>Half trading day</b>	10:15 am on the following trading 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-4 through the ECP, EPs should print out the completed Form

	<p>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 Cash Market, Trading 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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**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.