

USER GUIDE

Electronic Communication Platform

Version 2.9

DATE: 15 September 2026

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1. Document Control

1.1 Change History

Version Number	Issue Date	Author	Abstract
1.0	21/03/2022	HKEX	First Release
1.1	23/04/2022	HKEX	Minor changes for identities
1.2	03/05/2022	HKEX	Added the 1 st batch of Submission Files
1.3	02/06/2022	HKEX	Added submission for multiple companies and Appendix 7.4 - List of User Roles Mapping by Type of Users and Folders
1.4	15/08/2022	HKEX	Updated for HKIDR
1.5	25/10/2022	HKEX	Added new batch of Submission Files and ECP SFTP Facilities IP address
1.6	30/01/2023	HKEX	Renamed user management of Client Connect to HKEX Access Management Portal
1.7	13/03/2023	HKEX	Renamed document to "ECP User Guide" Updated for Northbound Investor ID Model interface file submission and download via ECP
1.8	29/05/2023	HKEX	Updated for Dual Counter Market Maker
1.9	26/09/2023	HKEX	Minor change for "Handling of exceptional scenarios" sections
2.0	28/03/2024	HKEX	Updated for SMP Service (Cash Market)
2.1	11/06/2024	HKEX	- Addition of "Handling of duplicated submissions" for submission forms / documents. - Mark "REMOVED" to submission box "Submission of SFTP User Account Registration / Update for Northbound Investor ID Model" - Addition of section "Contingency Arrangement on Failure of HKEX Access Management Portal user database"
2.2	20/07/2024	HKEX	Updated for SMP Service (Derivatives Market)
2.3	29/07/2024	HKEX	Further update for SMP Service (Derivatives Market): addition of submission box DSMPINFOF & DSMPINFOS
2.4	20/09/2024	HKEX	Updated for Severe Weather Trading
2.5	28/11/2025	HKEX	Updated for Additional Day-end Trade Files with Supplementary Information
2.6	09/01/2026	HKEX	Updated for Northbound Program Trading Reporting
2.7	08/05/2026	HKEX	Updated the information globally for housekeeping purpose, especially section 7. Appendix
2.8	05/09/2026	HKEX	Updated for Northbound Proprietary Trading Order Mapping
2.9	15/09/2026	HKEX	Addition of submission information of 1. Stamp Duty Monthly Return (Form SD-2) and 2. Return of Trading Fee, Transaction Levies and Investor Compensation Levy (TFTL Return)

1.2 Documents Cross-referenced

#	Document
1	HKEX Access Management Portal - Access Management User Guide

2. Overview of ECP

Electronic Communication Platform (ECP) is designed to provide file transport services for participants and other stakeholders of Hong Kong Exchanges and Clearing Limited (HKEX) and its subsidiaries.

There are two channels to access ECP:

- Web interface via Internet; or
- Secure File Transfer Protocol (SFTP) service via Securities and Derivatives Network (SDNet) or HKEX Service Network (HSN) for automation of the submission and download processes

To access ECP, user authentication and access rights maintenance are performed in HKEX Access Management Portal. For the details, please refer to [Access Management User Guide](#).

2.1 Functions of Web Interface

The following functions are available in Web Interface:

- File Download
- File Submission
- Activity Enquiry
- Self-Service SFTP Key Management¹
 - Initial setup of Public Key
 - Renewal of Public Key
 - Registration of Remote IP Addresses
- Acceptance of BCAN-CID Mapping File Client Consent²
- Acceptance of Northbound Program Trading Reporting Client Consent³
- Acceptance of Northbound Proprietary Trading Order Mapping Terms of Use
- Registration for Submission Encryption Setup⁴

2.2 Functions of SFTP Service

The following functions are available in SFTP Service:

- File Download
- File Submission
- Renewal of Public Key

In order to access the SFTP Service, user should follow Section 4.5.1 to register their initial public key and remote IP addresses via Web Interface. Renewal of public key can be performed either via Web interface or SFTP Service. For the details of connecting to SFTP via SDNet or HSN, please refer to Section 5.

2.3 Service Window

¹Self-Service SFTP Key Management is not available when logging on ECP via the SFC WINGS platform. It is only available when logging on ECP via HKEX Access Management Portal.

² Only available for users having Business Function EU_ECPHKIDR.

³ Only available for users having Business Function EU_ECPNBCAN.

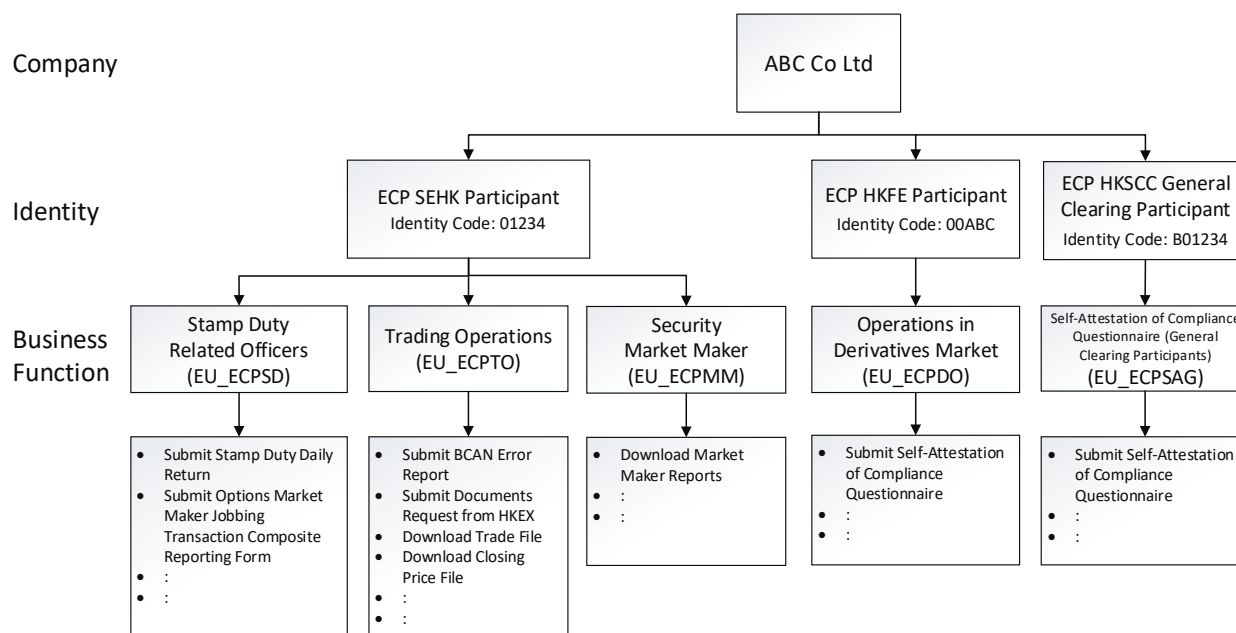
⁴ Only available for users having Business Function EU_ECPHKIDR or EU_ECPNBCAN.

Monday 03:00 – Saturday 18:00 or service hours of HKEX Access Management Portal on Saturday whichever is shorter. ECP provides access for users during Severe Weather Arrangement, however, the request may not be processed until next business day.

3. Access Control via HKEX Access Management Portal

For the access control of ECP under HKEX Access Management Portal, each company may have multiple identities. Each identity is associated with certain business functions. Delegated Administrators (DAs) of each company with assigned identities can further grant the corresponding business functions to their users. For the details of user management in HKEX Access Management Portal, please refer to the [Access Management User Guide](#).

Below is a diagram of illustrating the access control in HKEX Access Management Portal.



In the above example, the following three identities are assigned to company ABC Co Ltd:

- ECP SEHK Participant with Identity Code **01234**
- ECP HKFE Participant with Identity Code **00ABC**
- ECP HKSCC General Clearing Participant with Identity Code **B01234**

DA of ABC Co Ltd could assign the business functions such as “Trading Operations (EU_ECPTO)” and “Operations in Derivatives Market (EU_ECPDO)” to other business users in ABC Co Ltd according to their business need. The users will then be able to perform the functions such as the following in ECP:

- Submit BCAN Error Report for SEHK Participant 01234
- Download Trade File and Closing Price File for SEHK Participant 01234
- Submit Self-Attestation of Compliance Questionnaire for HKFE Participant 00ABC

For the details of identities and the business functions under each identity, please refer to Section 3.1 and 3.2.

3.1 List of Identity

The identities of ECP are listed as bellow. Users should apply for the corresponding identities according to the functions that they wish to perform in ECP for their business need. For the on-boarding information, please refer to [Access Management User Guide](#).

#	Identity
1.	ECP SEHK Participant
2.	ECP HKFE Participant
3.	ECP Options Exchange Participant of SEHK
4.	ECP HKSCC General Clearing Participant
5.	ECP Transaction Originator in Large Open Position reporting
6.	ECP Beneficial Identity in Large Open Position reporting
7.	ECP HKSCC Custodian Participant
8.	ECP Designated Specialist
9.	ECP ETP Issuer
10.	ECP Relevant Regulated Intermediaries
11.	ECP China Connect EP (CCEP) or Trade-through EP (TTEP)

3.2 List of Business Functions Assigned to Identity

The business functions of each identity are listed as below.

3.2.1 ECP SEHK Participant

#	Business Function	Description
1.	EU_ECPSD	For stamp duty relevant officers to submit SD-1, SD-2, SD-4, SD-6, SD-6A, DCMMAF & TFTL to the respective folders
2.	EU_ECPTO	For Trading Operations to 1) download Files/Notice and 2) submit Reports and Questionnaire
3.	EU_ECPMM	For Securities Market Maker to receive Market Making Obligation (MMO) reports
4.	EU_ECPSTFTP	For users to use ECP SFTP Service

3.2.2 ECP HKFE Participant

#	Business Function	Description
1.	EU_ECPDO	For operations in Derivatives Market (HKFE products)
2.	EU_ECPSTFTP	For users to use ECP SFTP Service

3.2.3 ECP Options Exchange Participant of SEHK

#	Business Function	Description
1.	EU_ECPSTO	For operations in Derivatives Market (stock options)
2.	EU_ECPSTFTP	For users to use ECP SFTP Service

3.2.4 ECP HKSCC General Clearing Participant

#	Business Function	Description
1.	EU_ECPSI	For users to receive Morning SI Message for Northbound Trading
2.	EU_ECPSAG	For users to submit Self-Attestation of Compliance Questionnaire (General Clearing Participants)
3.	EU_ECPSTFTP	For users to use ECP SFTP Service

3.2.5 ECP Transaction Originator in Large Open Position reporting

#	Business Function	Description
1.	EU_ECPLT	For users to submit LOP reporting for Transaction Originator
2.	EU_ECPST	For users to submit LOP reporting for Transaction Originator for Stock Options
3.	EU_ECPSTFTP	For users to use ECP SFTP Service

3.2.6 ECP Beneficial Identity in Large Open Position reporting

#	Business Function	Description
1.	EU_ECPLB	For users to submit LOP reporting for Beneficial Identity
2.	EU_ECPSB	For users to submit LOP reporting for Beneficial Identity for Stock Options
3.	EU_ECPSTFTP	For users to use ECP SFTP Service

3.2.7 ECP HKSCC Custodian Participant

#	Business Function	Description
1.	EU_ECPSAC	For users to submit Self-Attestation of Compliance Questionnaire (Custodian Participants)
2.	EU_ECPSFTP	For users to use ECP SFTP Service

3.2.8 ECP Designated Specialist

#	Business Function	Description
1.	EU_ECPDS	For Designated Specialist to receive MMO reports
2.	EU_ECPSFTP	For users to use ECP SFTP Service

3.2.9 ECP ETP Issuer

#	Business Function	Description
1.	EU_ECPPF	For ETP Issuer to receive MMO reports
2.	EU_ECPSFTP	For users to use ECP SFTP Service

3.2.10 ECP Relevant Regulated Intermediaries

#	Business Function	Description
1.	EU_ECPHKIDR	For operations in Hong Kong Investor ID Regime (HKIDR)
2.	EU_ECPSFTP	For users to use ECP SFTP Service

3.2.11 ECP China Connect EP (CCEP) or Trade-through EP (TTEP)

#	Business Function	Description
1.	EU_ECPNBCAN	For operations in Northbound Investor ID Model, Northbound Program Trading Reporting and Northbound Proprietary Trading Order Mapping
2.	EU_ECPSFTP	For users to use ECP SFTP Service

For the details of file download and submission under each business function, please refer to Appendix 7.2 and 7.3.

4. ECP Web Interface

4.1 Accessing ECP Web Interface

The following browsers are supported to access ECP:

#	Browsers	Version
1.	Chrome	88 +
2.	Edge	88 +

Remark: Mobile device is not supported, e.g. iPhone, iPad, etc.

The ECP web interface is available in three languages: English, Traditional Chinese and Simplified Chinese. To access ECP Web, go to <https://ecp2.hkex.com.hk>.

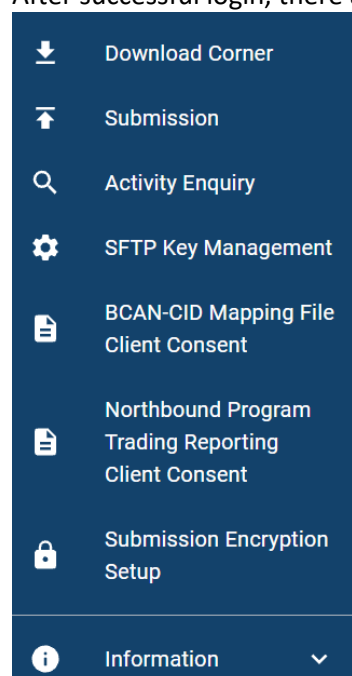
4.1.1 Login with HKEX Access Management Portal

This is applicable only for EPs or non-EP Relevant Regulated Intermediaries who have registered a HKEX Access Management Portal account. Click “HKEX Access Management Portal” button to go to HKEX Access Management Portal login page.

HKEX Access Management Portal has employed 2-Factor Authentication to enhance password security. Therefore, it is required to enter: (1) the Login Password, and (2) One Time Password (OTP) received from email or mobile application “ForgeRock Authenticator”. For the setup of login accounts, please refer to [Access Management User Guide](#).

Concurrent login by the same login account is not allowed.

After successful login, there are seven main functions (if entitled) shown on the left navigation menu:



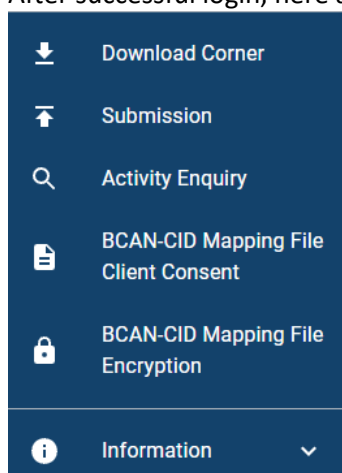
4.1.2 Login with SFC WINGS

EPs/non-EP Relevant Regulated Intermediaries can access Web Interface through SFC WINGS authentication. Click “SFC WINGS” button to go to SFC WINGS login page and login with SFC WINGS’ username and password.

Concurrent login by the same login account is not allowed.

Please note that EPs cannot submit BCAN Change for LP Quote Report, BCAN Error Report and Off-exchange Trade BCAN (Buy-side) Report to HKEX if they authenticate through the SFC WINGS platform. HKEX Access Management Portal account with business function EU_ECPTO is necessary for these submissions.

After successful login, here are five main functions shown on the left navigation menu:



4.2 Download

Download Corner is the default page upon logging into ECP and user can download files published by HKEX. By default, the page lists all available files according to the specific date range. User can apply filter on the list of files displayed and date range.

Download Corner

Filter
All

From (HK Time)
2023-03-04

To (HK Time)
2023-03-10

☐ All time range

Search

Time	Subject	Last Available Date
2023-03-10 16:29	Closing Price File for SSE	2023-03-10
2023-03-10 16:28	Closing Price File for SZSE	2023-03-10
2023-03-10 12:15	CTF Morning Trade File	2023-03-10
2023-03-10 08:55	Update of Sellable Positions for SZSE	2023-03-10
2023-03-10 08:21	Stock Code Mapping File for China Connect Securities	2023-03-10

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Validations on date range:

- Dates of From (HK Time) and To (HK Time) must be a valid date and not later than today
- Date of To (HK Time) must be equal or later than From Date
- The date range between From (HK Time) and To (HK Time) should not exceed 7 calendar days
- If “All time range” is selected, date range checking will be disabled and all files will be shown.

4.3 Submission

The Submission function allows user to submit files to HKEX and/or its subsidiaries. Only file submission types entitled to the user (i.e. according to business functions as mentioned in section 7.3) will be shown for selection.

File Submission

[Shanghai-Hong Kong Stock Connect Quarterly Return on Trading Composition](#)

[Shenzhen-Hong Kong Stock Connect Quarterly Return on Trading Composition](#)

[Short Selling Weekly Report for China Connect Securities](#)

[Short Selling Weekly Report for China Connect Securities \(Shenzhen-Hong Kong Stock Connect\)](#)

[Stock Borrowing and Lending Monthly Report for Shanghai-Hong Kong Stock Connect](#)

[Stock Borrowing and Lending Monthly Report for Shenzhen-Hong Kong Stock Connect](#)

After the submission type is selected:

- User can choose to submit for the identity he/she is authorized to. If User is authorized to submit for more than one identity, can select the corresponding identity in the Identity Code field.
- Input Date, if required, will be shown for input. Default is set as today
- User can then select the file for submission

File Submission

SD-1: Stamp Duty Daily Return

Identity SEHK Participant	Identity Code 11066
Input Date 2022-05-27	
File	
Submit	Cancel

Select
Identity
Code

Validation:

- The **input Date**, if required, must be a valid business date not later than today, and **must be the same as embedded in the file name**
- File name, extension and file submission time must conform to rules defined for the submission type
- Identity Code embedded in the filename must be the same as the selected Identity Code
- Must not exceed the file size limit, i.e. 100MB, if not specified
- Must not be a zero byte file

- Support compression method (STOR and DELFAT) when encryption is used (and “LZMA” is not supported)
- If file with the same name is re-submitted, system will overwrite the previous one **without warning or confirmation**.

For details of each submission type, please refer to Appendix 7.3.

4.4 Activity Enquiry

This function allows user to query user activities performed in last 30 calendar days on ECP. By default, the page lists all activities of current day. User can apply filter on activity types, activity status and date range.

The query result can also be exported in CSV format with file name in the format of:
ECP_Activity_<YYYYMMDDHHMMSS>.csv.

Activity Enquiry

Activity
All

Status
All

From (HK Time)
2022-02-24 00:00

To (HK Time)
2022-02-24 23:59

Search

Export

Time	Endpoint	Activity	Description	Status
2022-02-24 18:34	Web	Login		Successful
2022-02-24 17:12	Web	Login		Successful
2022-02-24 14:42	Web	Login		Successful
2022-02-24 14:07	Web	Login		Successful
2022-02-24 13:01	Web	Login		Successful

Rows per page 10

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Validations on date range:

- Dates of From (HK Time) and To (HK Time) must be a valid date and not later than today
- Date of To (HK Time) must be equal or later than From Date
- The date range between From (HK Time) and To (HK Time) should not exceed 30 calendar days

4.5 SFTP Key Management

This function allows users to manage their Public Key and IP Address for accessing ECP SFTP service via SDNet or HSN. The current user SFTP Key / IP Address settings, if any, will be displayed and user can choose to perform the following actions:

- Current Public Key Registration
- Renew Public Key Registration
- Set Remote IP Address

SFTP Key Management

Public Key	Creation Date	Expiration Date	Fingerprint
Current Public Key	2022-01-11	2024-01-11	c6:06:31:c1:e4:8f:ee:35:8d:33:30:48:d7:58:4d:3a

IP Address

10.168.3.4

Current Public Key Registration

Renew Public Key Registration

Set Remote IP Address

4.5.1 Current Public Key Registration

This function allows users to register the initial public key. After the successful registration, the “Current Public Key” will be set up for accessing ECP SFTP service. User can select the public key file to be uploaded. The expiration date of the “Current Public Key” will be automatically set as 2 years from current date.

SFTP Key Management

Current Public Key Registration

File



Submit

Cancel

Validations:

- File extension must be “.pub”
- Filename must not exceed 128 characters and only contains alphanumeric character plus five other characters, which are ‘.’ (dot), ‘-’ (dash), ‘_’ (underscore), ‘ ’ (blank) and ‘@’ (ampersand)
- The file must be in SSH2 Public Key File Format
- Key length must be between 2048 bits and 4096 bits
- Each public key should be saved in a separate file

4.5.2 Renew Public Key Registration

This function is available only when there is a current public key set up. User can upload another public key for renewal. If upload is successful, the uploaded key will be named as “Renewed Public Key”, where:

- “Renewed Public Key” expiration date = 2 years from current date
- “Current Public Key” expiration date = its original expiration date or 2 weeks from current date, whichever is earlier

After “Current Public Key” has expired, it will be removed and “Renewed Public Key” will become the new “Current Public Key”.

“Renewed Public Key” cannot be deleted. However, a user can upload another one to overwrite the existing “Renewed Public Key”, and the expiration dates will be renewed.

User can login using either “Current Public Key” or “Renewed Public Key” as long as they are not expired.

SFTP Key Management

Renew Public Key Registration



Validations:

- File extension must be “.pub”
- Filename must not exceed 128 characters and only contains alphanumeric character plus five other characters, which are ‘.’ (dot), ‘-’ (dash), ‘_’ (underscore), ‘ ’ (blank) and ‘@’ (ampersand)
- The file must be in SSH2 Public Key File Format
- Key length must be between 2048 bits and 4096 bits
- The key must be different from the existing public keys
- Each public key should be saved in a separate file

4.5.3 Set Remote IP Address

User can register up to a maximum of four IP Addresses for SFTP access. User's SFTP Client must connect from one of the registered IP Addresses. Currently, removal of IP addresses is not an available service in ECP.

The screenshot shows a web form titled "SFTP Key Management" with a sub-header "Set Remote IP Address". There are four input fields, each labeled "IP Address 1", "IP Address 2", "IP Address 3", and "IP Address 4". At the bottom of the form, there are two buttons: a blue "Submit" button and a grey "Cancel" button.

Validations:

- All input IP addresses must be in valid IPv4 Dotted-Decimal format without leading zero, such as 10.163.3.44.
- No duplicate found within the inputted IP Addresses
- At least one IP Address must be inputted
- IP addresses must be within the same subnet (first 3 octets) of SDNet or HSN which trading system connects to OCG-C/CCCG/HKATS

4.6 BCAN-CID Mapping File Client Consent (Applicable to HKIDR only)

Prior to the first-time submission of the BCAN-CID Mapping File under HKIDR, EPs/non-EP Relevant Regulated Intermediaries must make a one-off representation to HKEX via ECP to confirm that consent from all clients have been obtained for the transfer of clients' personal data to HKEX and the SFC. Otherwise, the submission of the file will be rejected. Please note that the representation, once made (by clicking "Accept"), cannot be reverted.

Please note that the consent is applicable to HKIDR only.

BCAN-CID Mapping File Client Consent

PLEASE READ THE FOLLOWING TERMS CAREFULLY. YOU MUST ACCEPT THE TERMS BEFORE UPLOADING BCAN-CID MAPPING FILE.

Capitalized terms not defined herein shall bear the meanings as defined in the Rules of the Exchange of The Stock Exchange of Hong Kong Limited (the "Rules of the Exchange").

By clicking on the "Accept" icon below to access the ECP, you, acting with the authority of or on behalf of the Relevant Regulated Intermediary, represent and warrant that:

(a) you are duly authorized by the Relevant Regulated Intermediary to make the representations and warranties stated in paragraphs (b)-(c) below;

(b) the Relevant Regulated Intermediary has complied with all applicable laws, including the Personal Data (Privacy) Ordinance (as amended or updated from time to time) and all rules, requirements, guidelines and codes of practice issued by Hong Kong's Privacy Commissioner for Personal Data relating thereto, with respect to the collection of the personal data relating to each relevant individual client; and

(c) all of the necessary authorizations and written or other express consents have been obtained by the Relevant Regulated Intermediary from each existing and new individual client regarding the collection, storage, use, disclosure, processing and transfer of personal data in relation to such client's BCANs and CID, including authorizations and consents to:

(i) allow the Relevant Regulated Intermediary to disclose and transfer the personal data (including CID, BCANs and BCAN-CID Mapping Files) to the Exchange and/or the Commission in accordance with the Rules of the Exchange and the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission in effect from time to time;

CE Number

☐ ZZZ999

Accept

4.7 Northbound Program Trading Reporting Client Consent (Applicable to NBCAN only)

Prior to the first-time submission of any Program Trading Reporting Files, High Frequency Trading Reporting Files, High Frequency Trading Exemption Checklist and supporting documents or any files related to Northbound Program Trading Reporting, CCEP/TTEP is required to make a one-off representation via ECP to confirm that all necessary authorizations and written consents from its client(s) have been obtained to allow (i) the CCEP/TTEP to transfer any personal data in relation to each client's files to The Stock Exchange of Hong Kong Limited (SEHK) and the relevant SEHK subsidiary; and (ii) each of SEHK and the relevant SEHK subsidiary to further transfer any such personal data to SSE and/or SZSE (as the case may be). Failing to do so, the submission will not be accepted.

Please note that the representation, once made (by clicking "Accept"), cannot be reverted.

Please note that the consent is applicable to NBCAN user group only.

Northbound Program Trading Reporting Client Consent

PLEASE READ THE FOLLOWING TERMS CAREFULLY. YOU MUST ACCEPT THE TERMS BEFORE UPLOADING NORTHBOUND PROGRAM TRADING REPORTING.

Capitalized terms not defined herein shall bear the meanings as defined in the Rules of the Exchange of The Stock Exchange of Hong Kong Limited (the "Rules of the Exchange").

By clicking on the "Accept" icon below, you, acting with the authority of or on behalf of the China Connect Exchange Participant (the "CCEP") or the Exchange Participant trading through China Connect Exchange Participant (the "TTEP") as applicable, represent and warrant that:

(1) you are duly authorized by the CCEP or TTEP (as applicable) to (i) make the representations and warranties stated herein, and (ii) process and submit the relevant data, information, records, forms, files, documents and/or materials (as the case may be) on or through the ECP in accordance with the relevant requirements of the Northbound program trading reporting regime;

(2) the CCEP or TTEP (as applicable) has fully complied with all applicable laws, including but not limited to the Personal Data (Privacy) Ordinance (as amended or updated from time to time) and all applicable rules, requirements, guidelines, guidance notes and codes of practice issued by the Hong Kong Privacy Commissioner (as amended or updated from time to time), with respect to the collection, storage, processing, use, disclosure and transfer of personal data of or relating to each relevant individual client;

(3) prior to your access to and use of the ECP (including but not limited to your submission of any data, information, records, forms, files, documents or materials on or through the ECP under the relevant requirements of the Northbound program trading reporting regime), all necessary authorizations and written consents have been obtained by the CCEP or TTEP (as applicable) from each relevant individual client regarding the collection, storage, processing, use, disclosure and transfer of their personal data (the "Personal Data"), including authorizations and consents which:

Participant ID

☒ 06204

Accept

4.8 Northbound Proprietary Trading Order Mapping Terms of Use (Applicable to NBCAN only)

Prior to the first-time submission of any Northbound Proprietary Trading Order Mapping Files, CCEP/TTEP is required to make a one-off representation via ECP to confirm the Terms of Use. Failing to do so, the submission will not be accepted.

Please note that the representation, once made (by clicking “Accept”), cannot be reverted.

Please note that the consent is applicable to NBCAN user group only.

Terms of Use for the Submission of Proprietary Trading Order Mapping Files in relation to Northbound Trading under Stock Connect

By clicking on the "Accept" icon below, you, acting with the authority of or on behalf of the China Connect Exchange Participant (the "CCEP") or the Exchange Participant trading through China Connect Exchange Participant (the "TTEP") (as applicable), agree to be bound by these Terms of Use.

Last Updated: August 2026

1. General

1.1. Unless otherwise defined in these terms of use for the submission of Proprietary Trading Order Mapping files (as defined in the Interface Specifications published by SEHK from time to time) in relation to Northbound Trading under Stock Connect (the "Terms of Use"), Capitalized terms not defined herein shall bear the meanings as defined in the Terms and Conditions of the Electronic Communication Platform (the "ECP Terms and Conditions").

1.2. These Terms of Use are supplemental to, and shall be read together with, the ECP Terms and Conditions governing the use of the Electronic Communication Platform (the "ECP") for submission to and retrieval of information from HKEX and/or its subsidiaries. In the event of any inconsistency between these Terms of Use and the ECP Terms and Conditions solely in relation to the Proprietary Trading-related Submission, these Terms of Use shall prevail to the extent of such inconsistency.

1.3. You represent and warrant that you are duly authorised by the CCEP or the TTEP (as applicable) to:

- (i) agree to and accept these Terms of Use on its behalf; and
- (ii) submit the Proprietary Trading Order Mapping Files through the ECP (the "Proprietary Trading-related Submission").

2. Nature of the Proprietary Trading-related Submission

2.1 The CCEP or the TTEP (as applicable) acknowledges and agrees that:

- (i) the Proprietary Trading-related Submission is not required by SEHK, HKEX or any of the Relevant Parties, nor under the Rules of the Exchange of The Stock Exchange of Hong Kong Limited; and
- (ii) participation in, and submission of Proprietary Trading-related Submission is entirely voluntary.

2.2 Nothing in these Terms of Use shall be construed as imposing any obligation on any CCEP or TTEP

Participant ID

☒ 06101

Accept

4.9 BCAN-CID Mapping File Encryption Password / Submission Encryption Setup

By default without additional setup, EPs/non-EP Relevant Regulated Intermediaries/CCEPs/TTEPs can submit the ZIP files without password encryption for:

- BCAN-CID Mapping File for HKIDR
- BCAN-CID Mapping File and Authorised TTEP Firm List for Northbound Trading
- Northbound Program Trading Reporting Files (i.e., Program Trading Reporting File, High Frequency Trading Reporting File, High Frequency Trading Reporting Exemption Application Checklist and supporting documents)
- Northbound Proprietary Trading Order Mapping Files

Optionally, all above files can be encrypted with a password. Prior to the submission of a password-encrypted zip files, EPs/Non-EP Relevant Regulated Intermediaries/CCEPs/TTEPs are required to register the password with HKEX for decryption later.

File Encryption is setup per account. If file encryption is enabled, all above files must be submitted in AES 256-bit password-encrypted zip format using the same password set in here.

Page for login with SFC WINGS:

BCAN-CID Mapping File Encryption

If Encryption enable, BCAN-CID Mapping File MUST BE submitted in AES 256-bit encrypted zip using the same password set in here.

Enable File Encryption Yes
Password Status Assigned
Password
Confirm Password
Submit

Page for login with HKEX Access Management Portal:

Submission Encryption Setup

If Encryption enable, BCAN-CID Mapping File and Northbound Program Trading Reporting MUST BE submitted in AES 256-bit encrypted zip using the same password set in here.

Enable File Encryption	▼
No	
Password Status	▼
Not Assigned	
Password	
Confirm Password	
Submit	

Password Requirement:

- Minimum password length: 10 characters
- Maximum password length: 128 characters
- Password complexity: The password must contain a minimum of 1 uppercase letter, 1 lowercase letter, 1 number, and 1 symbol. All printable characters, except space, are accepted (i.e. ASCII code 0x21 to 0x7E). That includes upper & lower case letters, numbers (0-9), and symbols (@#\$%^&* etc.).
- Password history: 5 generations

EPs/Non-EP Relevant Regulated Intermediaries/CCEPs/TTEPs are also advised to change the encryption password on a regular basis (e.g. every 3 months).

5. ECP SFTP Service

To connect to SFTP service via SDNet or HSN, users must:

- register their account in HKEX Access Management Portal
- register their public key (Please refer to Section 4.5.1 for details)
- register their remote IP Addresses (Please refer to Section 4.5.3 for details)

User can then use standard SFTP Client to connect to SFTP Service by using the registered public key from one of the remote IP Addresses.

Concurrent login by the same login account is not allowed.

5.1 SFTP Standard

The following SFTP protocols are supported:

#	Protocol	RFC	Remarks
1.	SFTP	RFC 4251 – 4254	Secure Shell File Transfer Protocol
2.	SSH Public Key File Format	RFC 4716	SSH2 Public Key File Format Fingerprint : MD5 message digest

5.2 Primary and Backup SFTP Facilities

There are two sets of SFTP facilities setup at HKEX's primary and secondary data centers respectively. Under normal condition, only SFTP facilities in the primary data center are in active mode. If a failure occurs in the primary data center, SFTP facilities in the secondary data center will be switched into active mode.

5.3 User Accounts

Users must set up their login account in HKEX Access Management Portal with SFTP access right granted, i.e. to assign Identity Function "EU_ECPSFTP" to the account.

Users use the same account of HKEX Access Management Portal together with the respective private key to login to SFTP facility.

5.4 Secure Shell (SSH) Keys

The SFTP facility adopts Secure Shell (SSH) public-key authentication. Users need to generate a pair of SSH private and public keys, and register the said public keys for each of the SFTP user accounts. (Please refer to section 4.5.1 for details)

HKEX accepts RSA between 2048 bits and 4096 bits public keys in SSH2 format.

For example:

```
----- BEGIN SSH2 PUBLIC KEY -----
Comment: SSH KEY
AAAAB3NzaC1kc3MAAACBAPY8ZOHY2yFSJA6XYC9HRwNHxaehvx5wOJ0rzZdzoSOXxbET
W6ToHv8D1UJ/z+zHo9Fiko5XybZnDIABDHtblQ+Yp7StxyltHnXF1YLfKD1G4T6JYrdH
YI14Omleg9e4NnCRleaQoZPF3UGfZia6bXrGTQf3gJq2e7Yisk/gF+1VAAAAFQDb8D5c
vwHWTZDPfX0D2s9Rd7NBvQAAAIEA1N92+Bb7D4KLYk3IwRbXblwXdkPggA4pfdtW9vGf
J0/RHd+NjB4eo1D+Odix6tXwYGN7PKS5R/FXPNwxHPapcj9uL1Jn2AWQ2dsknf+i/FAA
vioUPkmdMc0zuWoSOEsSNhVDTX3WdvVcGcBq9cetzrtOKWOocJmJ80qadxTRHtUAAACB
AN7CY+KKvlgHpRzFwdQm7HK9bb1LAo2KwaoXnadFgeptNBQeSXGlvo+JsvphVMBJc9HS
n24VYtYtsMu74qXviYjziVucWKjjKEb11juqnF0GD1B3VVmxHLMxnAz643WK42Z7dLM5
sY29ouezv4Xz2PuMch5VGPP+CDqzCM41oWgV
----- END SSH2 PUBLIC KEY -----
```

Each public key should be saved in a separate file with the file extension as “.pub”.

5.5 IP address of ECP SFTP Facilities

Connection through OCG-C network interface:

SFTP Facility at primary data center	SFTP Facility at secondary data center
10.1.93.131 Port 18801	10.2.93.131 Port 18801
10.1.93.132 Port 18801	10.2.93.132 Port 18801

Connection through CCCG network interface:

SFTP Facility at primary data center	SFTP Facility at secondary data center
10.1.145.131 Port 18801	10.2.145.131 Port 18801
10.1.145.132 Port 18801	10.2.145.132 Port 18801

Connection through HKATS network interface:

SFTP Facility at primary data center	SFTP Facility at secondary data center
10.151.14.131 Port 18801	10.152.14.131 Port 18801
10.151.14.132 Port 18801	10.152.14.132 Port 18801

5.6 Recommendation of SDNet bandwidth

User should determine the bandwidth of the SDNet required for SFTP file upload/download by referring to the anticipated data volume, such as the number of trades in OTPC trade file. For 10 MB file, it will take approx. 1.5 minutes to upload to ECP over a 1 Mb SDNet link.

5.7 Folder Structure

After connecting to the SFTP service, there are three folders in the root level:

#	Folder	Remarks
1.	download	Folder contains sub-folders, which the user is entitled to download Within each sub-folder, only the user entitled files are listed and available to download (according to business function).
2.	submission	Folder contains sub-folders, which the user is entitled to submit (according to business function). User can upload their submission file into corresponding sub-folder
3.	key_management	User can upload their SFTP public key into publickey sub-folder for Public Key Renewal

Users are not allowed to perform any other file / directory operations other than those described above, including:

- Rename or delete any files
- Create, rename or delete any folders

5.8 File Download

User can download files published by HKEX and its subsidiaries in **/download/<sub-folder>**. Only sub-folders / files that are granted access to the user will be available for download.

5.9 File Submission

To submit a file, user uploads it into **/submission/<sub-folder>** using their SFTP Client.

The submitted file is processed in background and not shown in the **/submission/<sub-folder>**. After the processing has completed, an Acknowledgement File (.rcvd) or Rejection File (.rej) is generated.

Validation:

- File name, extension and file submission time must conform to rules defined for the submission folder
- Identity Code embedded in the filename must be one of the identity codes entitled to the user
- Must not exceed the file size limit, i.e. 100MB, if not specified
- Must not be a zero byte file

Note:

- Acknowledgement File and Rejection File are per SFTP user based
- Acknowledgement File and Rejection File are retained for maximum 24 hours or removed by end of day housekeeping job
- If the filename is longer than the system limit, i.e. 128 characters, the file will be rejected in SFTP level and no .rej file will be generated.

5.9.1 Submission Acknowledgement File

Acknowledgement File (.rcvd) is a positive acknowledgement file to indicate the submitted file is accepted.

The filename is formatted as **<original file name>.<timestamp – HHMMSS>.<seq>.rcvd** in folder **/submission/<sub-folder>** where “.<seq>” is optional and appears only when file of same name are uploaded within same second and is accepted.

For example, if 3 files with same file name are uploaded within same second and accepted, then the .rcvd file will be named as:

1st file: **<original file name>.<timestamp – HHMMSS>.rcvd**

2nd file: **<original file name>.<timestamp – HHMMSS>.1.rcvd**

3rd file: **<original file name>.<timestamp – HHMMSS>.2.rcvd**

The .rcvd file is a fixed width text file in window text file format (line ends with CR+LF) in format:

#	Field	Type	Size	Remarks
1.	Checksum	Alphanumeric	66	SHA-256 checksum of the uploaded file
2.	File name	Alphanumeric	128	File name of the uploaded file

For example, after the successful submission of the file SD1_01234_20220217.csv, the acknowledgement file, SD1_01234_20220217.csv.154436.rcvd, will be generated:

65470e560be05e8c59a9c2ce236fd63dbf7f8b35d1168d0f71353ea234d6ef71 SD1_01234_20220217.csv

5.9.2 Submission Rejection File

Rejection File (.rej) is a negative acknowledgement file to indicate the submitted file is rejected.

The filename is formatted as **<original file name>.<timestamp – HHMMSS>.<seq>.rej** in folder **/submission/<sub-folder>** where “.<seq>” is optional and appears only when file of same name are uploaded within same second and is accepted.

For example, if 3 files with same file name are uploaded within same second and rejected, then the .rej file will be named as:

1st file: <original file name>.<timestamp – HHMMSS>.rej
2nd file: <original file name>.<timestamp – HHMMSS>.1.rej
3rd file: <original file name>.<timestamp – HHMMSS>.2.rej

The .rej file is a fixed width text file in window text file format (line ends with CR+LF) in format:

#	Field	Type	Size	Remarks
1.	Reject Code	Numeric	5	Reject code
2.	Reject Message	Alphanumeric	255	Reject Message in English

For example, if submitted file SD1_01234_20220217.zip is rejected, the rejection file, SD1_01234_20220217.zip.154533.rej, will be generated and file content will be as below:

3100 Invalid File Extension

5.10 SFTP Key Renewal

User can renew their SFTP's public key by uploading it into sub-folder **/key_management/publickey**. After the upload has completed, an Acknowledgement File (.rcvd) or Rejection File (.rej) is generated.

Note:

- Acknowledgement File and Rejection File are per SFTP user based
- Acknowledgement File and Rejection File are retained for a maximum of 24 hours and will be subsequently removed by end of day housekeeping job
- If filename is longer than the system limit, i.e. 128 characters, the file will be rejected in SFTP level and no .rej file will be generated
- SFTP public keys submitted through SFTP and web interface will be registered in the same way and the expiration date is the same

Please refer to section 4.5.2 Renew Public Key Registration for the details of public key renewal processing.

5.10.1 Public Key Acknowledgement File

Acknowledgement File is a positive acknowledgement file to indicate the uploaded public key file is accepted.

The filename is formatted as **<original file name>.<timestamp – HHMMSS>.<seq>.rcvd** in sub-folder **/key_management/publickey** where “.<seq>” is optional and appears only when file of same name are uploaded within same second and is accepted.

The Acknowledgement File only contains one line, which is the uploaded public key fingerprint (MD5 hash digits of public key) in format of 16 octets printed as hexadecimal with lowercase letters and separated by colons, for example:

12:f8:7e:78:61:b4:bf:e2:de:24:15:96:4e:d4:72:53

5.10.2 Public Key Rejection File

Rejection File is a negative acknowledgement file to indicate the uploaded public key file is rejected.

The filename is formatted as **<original file name>.<timestamp – HHMMSS>.<seq>.rej** in sub-folder **/key_management/publickey** where “.<seq>” is optional and appears only when file of same name are uploaded within same second and is accepted.

The .rej file is a text file in window text file format (line ends with CR+LF) in the following format:

#	Field	Type	Size	Remarks
1.	Reject Code	Numeric	5	Reject code
2.	Reject Message	Alphanumeric	255	Reject Message in English

5.10.3 Public Key Expiry Warning File

Public Key Expiry Warning File (“SSHKeyExpireWarning.txt”) will be shown in sub-folder **/key_management/publickey** if the public key is going to expire within 14 days (based on the time user login).

The warning file is a fixed width text file in window text file format (line ends with CR+LF) which includes the current key and renewed key (if available). For example:

Public Key	Creation Date	Expiration Date	Fingerprint
Current Public Key	2021-02-01	2021-07-15	90:4e:0d:c7:00:37:51:8d:56:5a:a2:d1:93:27:51:2c
Renewed Public Key	2021-07-01	2023-07-01	a2:d1:93:27:51:2c:4e:0d:c7:00:37:51:8d:56:5a:51

After the current public key has expired and has been removed from the system by housekeeping job, the warning file will not be shown in the folder in the next SFTP login.

5.11 Logout

User can use standard Logout command to logout from SFTP service.

6. Housekeeping

ECP will perform certain housekeeping tasks on a daily basis including the following:

- Files in the Download Corner are automatically deleted from the ECP after the date specified under “Last Available Date”.
- Records of activities (e.g. login, submission, download, change password) will be kept for 30 days, after which the records are automatically deleted from the ECP.
- Expired SFTP Public Keys are deleted and the Renewed Public Key becomes the new Current Public Key. Public Key Expiry Warning Files are also cleaned up.

7. Appendix

7.1 Rejection Codes used in Submission Rejection File

#	Rejection Code	Synopsis
1.	2007	Fail to decrypt uploaded file
2.	4003	Rejected by virus scan
3.	4004	Exceed file size limit
4.	4005	Zero file size
5.	4006	File name too long ⁵
6.	4007	File name contains invalid characters
7.	4008	File Submission without client consensus is not accepted
8.	4505	Invalid file name
9.	4506	Invalid file name extension
10.	4507	Beyond submission hour
11.	4508	Submission for input date is closed

⁵ 4006 is not applicable for SFTP, operation rejected in SFTP level and there is no .rej file

7.2 List of Download Granted to Business Function

Download Folder ID = ALLCOMMON applies to all Business Functions. The list of download files available to each Business Function are listed below.

7.2.1 EU_ECPSD

#	Download	Download Folder ID
1.	Hong Kong Securities Market Files (Morning) - CTF morning trade file	HKAM
2.	Hong Kong Securities Market Files (Day End) - CTF closing price file - CTF day-end trade file - CTF day-end trade file with supplementary information for HK Securities	HKEOD
3.	Hong Kong Securities Market Files (Ad-Hoc) - CTF ad-hoc trade file	HKX
4.	For Testing - Hong Kong Securities Market Files (Morning) - CTF morning trade file	TESTHKAM
5.	For Testing - Hong Kong Securities Market Files (Day End) - CTF closing price file - CTF day-end trade file - CTF day-end trade file with supplementary information for HK Securities	TESTHKEOD
6.	For Testing - Hong Kong Securities Market Files (Ad-Hoc) - CTF ad-hoc trade file	TESTHKX
7.	China Connect Service Files (Morning) - CSC stock code mapping file - CSC settlement instruction update file to Exchange Participants	CSCAM
8.	China Connect Service Files (Day End) - CSC closing price file	CSCEOD
9.	China Connect Service Files (Ad-Hoc) - CSC ad-hoc trade file	CSCX
10.	For Testing - China Connect Service Files (Morning) - CSC stock code mapping file - CSC settlement instruction update file to Exchange Participants	TESTCSCAM
11.	For Testing - China Connect Service Files (Day End) - CSC closing price file	TESTCSCEOD
12.	For Testing - China Connect Service Files (Ad-Hoc) - CSC ad-hoc trade file	TESTCSCX
13.	DCMM Activity Form Result File	DCMMAFRF
14.	DCMM Trade Volume Summary Report	DCMMTVSR

7.2.2 EU_ECPTO

#	Download	Download Folder ID
1.	Hong Kong Securities Market Files (Morning) - CTF morning trade file	HKAM
2.	Hong Kong Securities Market Files (Day End) - CTF closing price file - CTF day-end trade file	HKEOD

#	Download	Download Folder ID
	- CTF day-end trade file with supplementary information for HK Securities	
3.	Hong Kong Securities Market Files (Ad-Hoc) - CTF ad-hoc trade file	HKX
4.	For Testing - Hong Kong Securities Market Files (Morning) - CTF morning trade file	TESTHKAM
5.	For Testing - Hong Kong Securities Market Files (Day End) - CTF closing price file - CTF day-end trade file - CTF day-end trade file with supplementary information for HK Securities	TESTHKEOD
6.	For Testing - Hong Kong Securities Market Files (Ad-Hoc) - CTF ad-hoc trade file	TESTHKX
7.	China Connect Service Files (Morning) - CSC stock code mapping file - CSC settlement instruction update file to Exchange Participants - CSC morning trade file	CSCAM
8.	China Connect Service Files (Day End) - CSC closing price file - Day-end trade file for China Connect Securities - Day-end trade file with supplementary information for China Connect Securities	CSCEOD
9.	China Connect Service Files (Ad-Hoc) - CSC ad-hoc trade file	CSCX
10.	For Testing - China Connect Service Files (Morning) - CSC stock code mapping file - CSC settlement instruction update file to Exchange Participants - CSC morning trade file	TESTCSCAM
11.	For Testing - China Connect Service Files (Day End) - CSC closing price file - Day-end trade file for China Connect Securities - Day-end trade file with supplementary information for China Connect Securities	TESTCSCEOD
12.	For Testing - China Connect Service Files (Ad-Hoc) - CSC ad-hoc trade file	TESTCSCX
13.	BCAN Related Files - BCAN Change for LP Quote Report Response File (HBCNLQRP) - BCAN Error Report Response File (HBCNERRP) - Off-Exchange Trade BCAN (Buy-side) Report Response File (HBCNOTRP) - BCAN Change for LP Quote Report Result File (HBCNLQRSLT) - BCAN Error Report Result File (HBCNERRSLT) - Off-Exchange Trade BCAN (Buy-side) Report Result File (HBCNOTRSLT)	HBCNRFPR
14.	For Testing - BCAN Related Files - BCAN Change for LP Quote Report Response File (HBCNLQRP) - BCAN Error Report Response File (HBCNERRP) - Off-Exchange Trade BCAN (Buy-side) Report Response File (HBCNOTRP)	THBCNRFPR

#	Download	Download Folder ID
	- BCAN Change for LP Quote Report Result File (HBCNLQRSLT) - BCAN Error Report Result File (HBCNERRSLT) - Off-Exchange Trade BCAN (Buy-side) Report Result File (HBCNOTRSLT)	
15.	Cash Market-SMP Related Files - SMP File Submission Status Report (CSMPSTS) - SMP ID Full Image Report (CSMPFIM) - SMP ID Delta Change Report (CSMPDLT)	CSMP

7.2.3 EU_ECPMM

#	Download	Download Folder ID
1.	Exchange Traded Products Performance and Other Information Files - Daily Price Exception Report - Daily SMM Performance Report - Monthly Price Exception Report - Monthly SMM Performance Report	ETP
2.	DCMM Performance and Exception Reports - Daily DCMM Performance Report - Daily DCMM Exception Report - Monthly DCMM Performance Report	DCMMPFRP
3.	Hong Kong Securities Market Files (Morning) - CTF morning trade file	HKAM
4.	Hong Kong Securities Market Files (Day End) - CTF closing price file - CTF day-end trade file CTF day-end trade file with supplementary information for HK Securities	HKEOD
5.	Hong Kong Securities Market Files (Ad-Hoc) - CTF ad-hoc trade file	HKX
6.	For Testing - Hong Kong Securities Market Files (Morning) - CTF morning trade file	TESTHKAM
7.	For Testing - Hong Kong Securities Market Files (Day End) - CTF closing price file - CTF day-end trade file - CTF day-end trade file with supplementary information for HK Securities	TESTHKEOD
8.	For Testing - Hong Kong Securities Market Files (Ad-Hoc) - CTF ad-hoc trade file	TESTHKX
9.	China Connect Service Files (Morning) - CSC stock code mapping file - CSC settlement instruction update file to Exchange Participants	CSCAM
10.	China Connect Service Files (Day End) - CSC closing price file	CSCEOD
11.	China Connect Service Files (Ad-Hoc) - CSC ad-hoc trade file	CSCX
12.	For Testing - China Connect Service Files (Morning) - CSC stock code mapping file - CSC settlement instruction update file to Exchange Participants	TESTCSCAM
13.	For Testing - China Connect Service Files (Day End) - CSC closing price file	TESTCSCEOD

#	Download	Download Folder ID
14.	For Testing - China Connect Service Files (Ad-Hoc) - CSC ad-hoc trade file	TESTCSCX

7.2.4 EU_ECPDO

#	Download	Download Folder ID
1.	Derivatives Market-SMP Related Files for HKFE Participants - SMP File Submission Status Report (DSMPSTS) - SMP ID Full Image Report (DSMPFIMM) - SMP ID Delta Change Report (DSMPDLTM)	DSMPF

7.2.5 EU_ECPSO

#	Download	Download Folder ID
1.	Derivatives Market-SMP Related Files for Options Trading Exchange Participants - SMP File Submission Status Report (DSMPSTS) - SMP ID Full Image Report (DSMPFIMM) - SMP ID Delta Change Report (DSMPDLTM)	DSMPs

7.2.6 EU_ECPDS

#	Download	Download Folder ID
1.	Exchange Traded Products Performance and Other Information Files - Daily Price Exception Report - Daily SMM Performance Report - Monthly Price Exception Report - Monthly SMM Performance Report	ETP

7.2.7 EU_ECPPF

#	Download	Download Folder ID
1.	Exchange Traded Products Performance and Other Information Files - Daily Price Exception Report - Daily SMM Performance Report - Monthly Price Exception Report - Monthly SMM Performance Report	ETP

7.2.8 EU_ECPLT

#	Download	Download Folder ID
1.	Large Open Position Report Account Information (LOP reporting for Transaction Originator)	LOPAC

7.2.9 EU_ECPST

#	Download	Download Folder ID
1.	Large Open Position Report Account Information (LOP reporting for Transaction Originator for Stock Options)	LOPAC

7.2.10 EU_ECPLB

#	Download	Download Folder ID
1.	Large Open Position Report Account Information (LOP reporting for Beneficial Identity)	LOPAC

7.2.11 EU_ECPSB

#	Download	Download Folder ID
1.	Large Open Position Report Account Information (LOP reporting for Beneficial Identity for Stock Options)	LOPAC

7.2.12 EU_ECPSI

#	Download	Download Folder ID
1.	China Connect Service Files (Morning) - CSC settlement instruction update file to Exchange Participants	CSCAM
2.	For Testing - China Connect Service Files (Morning) - CSC settlement instruction update file to Exchange Participants	TESTCSCAM

7.2.13 EU_ECPSAG

N/A

7.2.14 EU_ECPSAC

N/A

7.2.15 EU_ECPHKIDR

#	Download	Download Folder ID
1.	BCAN-CID Response File, Process Result File and Full Image Files for HKIDR - BCAN-CID Response File (HBCNMPPR) - BCAN Process Result File (HBCNRSLT) - BCAN Full Image File as recorded in HKEX (HBCNFIMG)	HBCNMAPP
2.	Other BCAN Related Files - Aggregated Transaction Report Response File (HBCNATRP) - BCAN Change Report Response File (HBCNBCRP) - Aggregated Transaction Report Result File (HBCNATRSLT) - BCAN Change Report Result File (HBCNBCRSLT)	HBCNRFPR
3.	For Testing - BCAN-CID Response File, Process Result File and Full Image Files for HKIDR - BCAN-CID Response File (HBCNMPPR) - BCAN Process Result File (HBCNRSLT) - BCAN Full Image File as recorded in HKEX (HBCNFIMG)	THBCNMAPP
4.	For Testing - Other BCAN Related Files - Aggregated Transaction Report Response File (HBCNATRP) - BCAN Change Report Response File (HBCNBCRP) - Aggregated Transaction Report Result File (HBCNATRSLT) - BCAN Change Report Result File (HBCNBCRSLT)	THBCNRFPR

7.2.16 EU_ECPNBCAN

#	Download	Download Folder ID
1.	BCAN-CID Response File, Authorised TTEP Firm List Response File, Validation Result File and Full Image Files for Northbound Investor ID Model - BCAN-CID Response File (BCANRESP) - Authorised TTEP Firm List Response File (BCANAURP) - BCAN-CID Validation Result File (BCANRSLT) - BCAN Full Image File (BCANFIMG)	BCANMAPP
2.	Northbound Program Trading Reporting Result File, Full Image File, High Frequency Trading Reporting Result File for Shanghai Stock Connect - Program Trading Reporting Result File (SH_PGTDRSLT) - Program Trading Reporting Full Image File (SH_PGTFIMG) - High Frequency Program Trading Reporting Result File (SH_HFTRSLT)	PTRFSH
3.	Northbound Program Trading Reporting Result File, Full Image File, High Frequency Trading Reporting Result File for Shenzhen Stock Connect - Program Trading Reporting Result File (SZ_PGTDRSLT) - Program Trading Reporting Full Image File (SZ_PGTFIMG) - High Frequency Program Trading Reporting Result File (SZ_HFTRSLT)	PTRFSZ
4.	Northbound Proprietary Trading Order Mapping Response File and Validation Result File for Shanghai Stock Connect - Proprietary Trading Order Mapping Response File (SH_SWPRPORD) - Proprietary Trading Order Mapping Validation Result File (SH_SWPVRORD)	SWPMPSH
5.	Northbound Proprietary Trading Order Mapping Response File and Validation Result File for Shenzhen Stock Connect - Proprietary Trading Order Mapping Response File (SZ_SWPRPORD) - Proprietary Trading Order Mapping Validation Result File (SZ_SWPVRORD)	SWPMPSZ

7.3 List of Submission Granted to Business Function

The list of submission files available to each Business Function are listed below.

7.3.1 EU_ECPSD

#	Submission	Submission Folder ID
1.	SD-1: Stamp Duty Daily Return	SD1
2.	SD-6: ETF Market Makers Underlying Stock Transactions Reporting Form	SD6
3.	SD-6A: ETF Market Makers Underlying Stock Transactions Reporting Form (Supplemental)	SD6A
4.	SD-4: Options Market Maker Jobbing Transaction Composite Reporting Form	SD4
5.	DCMM Activity Form	DCMMAF
6.	SD-2: Stamp Duty Monthly Return	SD2
7.	TFTL: Return of Trading Fee, Transaction Levies and Investor Compensation Levy (if applicable)	TFTL

7.3.2 EU_ECPTO

#	Submission	Submission Folder ID
1.	Stock Borrowing and Lending Monthly Report for Shanghai-Hong Kong Stock Connect	SBL
2.	Stock Borrowing and Lending Monthly Report for Shenzhen-Hong Kong Stock Connect	SZSBL
3.	SSH:Short Selling Weekly Report & Large Open Short Position Report(Shanghai-Hong Kong Stock Connect)	SSH
4.	SZSSH:Short Selling Weekly Report & Large Open Short Position Report(Shenzhen-Hong Kong Stock Connect)	SZSSH
5.	Shanghai-Hong Kong Stock Connect Quarterly Return on Trading Composition	TCS
6.	Shenzhen-Hong Kong Stock Connect Quarterly Return on Trading Composition	SZTCS
7.	BCAN Change for LP Quote, BCAN Error and Off-exchange Trade BCAN (Buy-Side) Reports	HBCNRFEO
8.	Self-Attestation of Compliance Questionnaire (For SEHK, HKSCC and SEOCH Participants)	MSM01M
9.	Stock Options Market Making Affiliate Financial Statement	MSM02M
10.	Excess Position Limit Usage Reporting for ETF Market Makers	MSM03M
11.	MSM05M - Documents Request from HKEX (SEHK Participants)	MSM05M
12.	BCAN Error Report for Shanghai Connect	SHBNR
13.	BCAN Error Report for Shenzhen Connect	SZBNR
14.	Securities Market - Application for the Use and Maintenance of Self-Match Prevention (SMP) ID	CSMP
15.	Securities Market - Self-Match Prevention (SMP) ID Information Update	CSMPINFO

7.3.3 EU_ECPMM

N/A

7.3.4 EU_ECPDO

#	Submission	Submission Folder ID
1.	MSM05F - Documents Request from HKEX (HKFE Participants)	MSM05F
2.	Self-Attestation of Compliance Questionnaire (HKFE and HKCC Participants)	MSM04F
3.	HKATS Trading Service File for HKFE Participants	HKATSHKFE
4.	Derivatives Market-Application for the Use and Maintenance of Self-Match Prevention (SMP) ID (HKFE)	DSMPF
5.	Derivatives Market - Self-Match Prevention (SMP) ID Information Update (HKFE)	DSMPINFOF

7.3.5 EU_ECPSO

#	Submission	Submission Folder ID
1.	Self-Attestation of Compliance Questionnaire (HKCC Participants)	MSM04S
2.	HKATS Trading Service File for Options Trading Exchange Participant	HKATSOTEP
3.	Derivatives Market-Application for the Use and Maintenance of Self-Match Prevention (SMP) ID (SEHK)	DSMPs
4.	Derivatives Market - Self-Match Prevention (SMP) ID Information Update (SEHK)	DSMPINFOS

7.3.6 EU_ECPDS

N/A

7.3.7 EU_ECPPF

N/A

7.3.8 EU_ECPLT

#	Submission	Submission Folder ID
1.	Large Open Position Report of Transaction Originator:Index futures/options or other futures contract	LOPTO
2.	Large Open Position Report of Transaction Originator:Stock options contract	SOLTO
3.	Large Open Position Report Account Information: TO Report	LOPACTO

7.3.9 EU_ECPST

#	Submission	Submission Folder ID
1.	Large Open Position Report of Transaction Originator:Stock options contract	SOLTO
2.	Large Open Position Report Account Information: TO Report	LOPACTO

7.3.10 EU_ECPLB

#	Submission	Submission Folder ID
1.	Large Open Position Report of Beneficial Identity:Index futures/options or other futures contract	LOPBI
2.	Large Open Position Report of Beneficial Identity:Stock options contract	SOLBI
3.	Large Open Position Report Account Information: BI Report	LOPACBI

7.3.11 EU_ECPSB

#	Submission	Submission Folder ID
1.	Large Open Position Report of Beneficial Identity: Stock options contract	SOLBI
2.	Large Open Position Report Account Information: BI Report	LOPACBI

7.3.12 EU_ECPSI

N/A

7.3.13 EU_ECPSAG

#	Submission	Submission Folder ID
1.	Self-Attestation of Compliance Questionnaire	MSM01G

7.3.14 EU_ECPSAC

#	Submission	Submission Folder ID
1.	Self-Attestation of Compliance Questionnaire	MSM01C

7.3.15 EU_ECPHKIDR

#	Submission	Submission Folder ID
1.	BCAN-CID Mapping File for HKIDR	HBCNMAPP
2.	Aggregated Transaction and BCAN Change Reports	HBCNRFELR
3.	NSDC: Notification of SDNet/2 circuit (for non-EP Relevant Regulated Intermediaries)	NSDC

7.3.16 EU_ECPNBCAN

#	Submission	Submission Folder ID
1.	BCAN-CID Mapping File and Authorised TTEP Firm List for Northbound Trading - BCAN-CID Mapping File for Northbound Trading (BCANMAPP) - Authorised TTEP Firm List (BCANAUFM)	BCANMAPP
2.	Northbound Program Trading Reporting File, High Frequency Trading Reporting File, High Frequency Trading Reporting Exemption Application Checklist and supporting documents for Shanghai Stock Connect - Program Trading Reporting File (SH_PGTDRPT) - High Frequency Trading Reporting File (SH_HFTRP) - High Frequency Trading Exemption Application File (SH_HFTEX)	PTRFSH
3.	Northbound Program Trading Reporting File, High Frequency Trading Reporting File, High Frequency Trading Reporting Exemption Application Checklist and supporting documents for Shenzhen Stock Connect - Program Trading Reporting File (SZ_PGTDRPT) - High Frequency Trading Reporting File (SZ_HFTRP) - High Frequency Trading Exemption Application File (SZ_HFTEX)	PTRFSZ
4.	Northbound Proprietary Trading Order Mapping File for Shanghai Connect	SWPMPSH
5.	Northbound Proprietary Trading Order Mapping File for Shenzhen Connect	SWPMPSZ

7.4 List of User Roles Mapping by Type of Users and Folders

User Type	Identity	ECP DA Function ID	Managing Business Function ID	Folders
SEHK Participant	ECP SEHK Participant	EA_ECPM	EU_ECPSD	7.2.1 7.3.1
			EU_ECPTO	7.2.2 7.3.2
			EU_ECPMM	7.2.3 7.3.3
			EU_ECPSFTP	SFTP Services
HKFE Participant	ECP HKFE Participant	EA_ECPF	EU_ECPDO	7.2.4 7.3.4
			EU_ECPSFTP	SFTP Services
Options Exchange Participant of SEHK	ECP Options Exchange Participant of SEHK	EA_ECPS	EU_ECPSO	7.2.5 7.3.5
			EU_ECPSFTP	SFTP Services
Exchange Traded Products related user (ETP Issuer, Designated Specialist or Securities Market Maker)	ECP Designated Specialist	EA_ECPD	EU_ECPDS	7.2.6 7.3.6
			EU_ECPSFTP	SFTP Services
	ECP ETP Issuer	EA_ECPE	EU_ECPPF	7.2.7 7.3.7
			EU_ECPSFTP	SFTP Services
Large Open Position Reporting User	ECP Transaction Originator in Large Open Position Reporting	EA_ECPT	EU_ECPLT	7.2.8 7.3.8
			EU_ECPST	7.2.9 7.3.9
			EU_ECPSFTP	SFTP Services
	ECP Beneficial Identity in Large Open Position Reporting	EA_ECPB	EU_ECPLB	7.2.10 7.3.10
			EU_ECPSB	7.2.11 7.3.11
			EU_ECPSFTP	SFTP Services
HKSCC General Clearing Participant	ECP HKSCC General Clearing Participant	EA_ECPG	EU_ECPSI	7.2.12 7.3.12
			EU_ECPSAG	7.2.13 7.3.13
			EU_ECPSFTP	SFTP Services
HKSCC Custodian Participant	ECP HKSCC Custodian Participant	EA_ECPC	EU_ECPSAC	7.2.14 7.3.14
			EU_ECPSFTP	SFTP Services
Relevant Regulated Intermediaries	ECP Relevant Regulated Intermediaries	EA_ECPCE	EU_ECPHKIDR	7.2.15 7.3.15
			EU_ECPSFTP	SFTP Services
China Connect EP (CCEP) or Trade-through EP (TTEP)	ECP China Connect EP (CCEP) or Trade-through EP (TTEP)	EA_ECPCSC	EU_ECPNBCAN	7.2.16 7.3.16
			EU_ECPSFTP	SFTP Services

7.5 Submission of Stamp Duty Daily Return (Form SD-1)

Submission Folder ID	SD1
Input Date	Required (i.e. a valid trade date no later than today)
Filename Convention	SD1_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of the Form SD-1 and matches with the input date
File Extension Allowed	csv
Submission Cut Off Time	T+2 Day 11:00am
Handling of duplicated submissions	Overwritten by the newly submitted form

7.5.1 Late submission handling of the Form SD-1

The submission cut off time for the Form SD-1 is 11:00 am on T+2 day. The ECP automatically rejects any late submissions with an error message. You should follow the steps below for any late submission:

1. Contact HKEX based on the contact details shown on the SD-1 submission page
2. Deposit the relevant stamp duty payment into the HKEX's designated bank account
3. Email Form SD-1 with authorized signature together with the proof of payment (e.g. payment slip) to HKEX email address: sd1@hkex.com.hk.

7.5.2 Arrangements for Exceptional Cases

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	Switch to manual mode until ECP service fully resumes (i.e. the means of submission will be changed from electronic to manual) 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.

	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. 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: sd1@hkex.com.hk.
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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.

7.6 Submission of ETF Market Makers Underlying Stock Transactions Reporting Form (Form SD-6)

Submission Folder ID	SD6
Input Date	Required
Filename Convention	SD6_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of the Form SD-6 and matches with the input date
File Extension Allowed	zip
Submission Cut Off Time	T+1 10:15am
Handling of duplicated submissions	Overwritten by the newly submitted form
Remarks	File Name of Form SD-6: SD6_<Identity Code>_<YYYYMMDD>.csv File Name of the Attachment: ATTACHMENT_<Identity Code>_<YYYYMMDD>_<nnn>.pdf where nnn is the attachment sequence number with leading zero (e.g. ATTACHMENT_01234_20200801_001.pdf)

7.6.1 Late submission handling of the Form SD-6

The submission cut off time for the Form SD-6 is 10:15am T+1 day. The ECP automatically rejects any late submissions with an error message. Follow the steps below for any late submission:

1. Contact HKEX based on the contact details shown on the SD-6 submission page
2. Complete the request to resubmit Form SD-6 with authorised signature to HKEX

7.6.2 Arrangements for Exceptional Cases

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
Normal Cases	10:15 am on T+1 day
Half trading day	10:15 am on next trading day (i.e. 10:15 am on T+2 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+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 alternative delivery method) Instead of submitting the completed softcopy of Form SD-6 through the ECP, EPs should send the Form SD-6 to ecp_contingency@hkex.com.hk 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.

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.

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

Submission Folder ID	SD6A
Input Date	Required
Filename Convention	SD6A_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of the Form SD-6A and matches with the input date
File Extension Allowed	zip
Submission Cut Off Time	T+3 Day 10:15am
Handling of duplicated submissions	Overwritten by the newly submitted form
Remarks	File Name of Form SD-6A: SD6A_<Identity Code>_<YYYYMMDD>.csv File Name of the Attachment: ATTACHMENT_<Identity Code>_<YYYYMMDD>_<nnn>.pdf where nnn is the attachment sequence number with leading zero (e.g. ATTACHMENT_01234_20200801_001.pdf)

7.7.1 Late submission handling of the Form SD-6A

The submission cut off time for the Form SD-6A is 10:15am T+3 day. The ECP automatically rejects any late submissions with an error message. Follow the steps below for any late submission:

1. Contact HKEX based on the contact details shown on the SD-6A submission page
2. Complete the request to resubmit Form SD-6A with authorised signature to HKEX

7.7.2 Arrangements for Exceptional Cases

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	Switch to manual mode until ECP service fully resumes (i.e. the means of submission will be changed from electronic to alternative delivery method) Instead of submitting the completed softcopy of Form SD-6A through the ECP, EPs should send the Form SD-6A to ecp_contingency@hkex.com.hk 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.
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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.

7.8 Submission of SFTP User Account Registration / Update for Northbound Investor ID Model (REMOVED)

Submission Folder ID	BN
Input Date	N/A
Filename Convention	BN<Identity Code>
File Extension Allowed	zip

7.9 Submission of Stock Borrowing and Lending Monthly Report for China Connect Securities (Shanghai-Hong Kong Stock Connect) (Form SBL)

Submission Folder ID	SBL
Input Date	N/A
Filename Convention	SBL_<Identity Code>_<YYYYMM> where YYYYMM is the year and month of the Form SBL
File Extension Allowed	xls
Submission Cut Off Time	The 7 th day of the following calendar month
Handling of duplicated submissions	Overwritten by the newly submitted form

7.10 Submission of Stock Borrowing and Lending Monthly Report for China Connect Securities (Shenzhen-Hong Kong Stock Connect) (Form SZSBL)

Submission Folder ID	SZSBL
Input Date	N/A
Filename Convention	SZSBL_<Identity Code>_<YYYYMM> where YYYYMM is the year and month of the Form SZSBL
File Extension Allowed	xls
Submission Cut Off Time	The 7 th day of the following calendar month
Handling of duplicated submissions	Overwritten by the newly submitted form

7.11 Submission of Short Selling Weekly Report & Large Open Short Position Report(Shanghai-Hong Kong Stock Connect) (Form SSH)

Submission Folder ID	SSH
Input Date	N/A
Filename Convention	SSH_<Identity Code>_<YYYYWnn> where YYYY is the year of the reporting week and nn is the reporting week of the Form SSH
File Extension Allowed	xls orxlsx
Submission Cut Off Time	The 1 st working day of the following week
Handling of duplicated submissions	Overwritten by the newly submitted form

7.12 Submission of Short Selling Weekly Report & Large Open Short Position Report(Shenzhen-Hong Kong Stock Connect) (Form SZSSH)

Submission Folder ID	SZSSH
Input Date	N/A
Filename Convention	SZSSH_<Identity Code>_<YYYYWnn> where YYYY is the year of the reporting week and nn is the reporting week of the Form SZSSH
File Extension Allowed	xls or xlsx
Submission Cut Off Time	The 1 st working day of the following week
Handling of duplicated submissions	Overwritten by the newly submitted form

7.13 Submission of Shanghai-Hong Kong Stock Connect Quarterly Return on Trading Composition (Form TCS)

Submission Folder ID	TCS
Input Date	N/A
Filename Convention	TCS_<Identity Code>_<YYYYQn> where YYYY is the year of the reporting quarter and n is the single digit representing the reporting quarter (1, 2, 3 or 4)
File Extension Allowed	csv
Submission Cut Off Time	within the month immediately following the end of the quarter
Handling of duplicated submissions	Overwritten by the newly submitted form

7.14 Submission of Shenzhen-Hong Kong Stock Connect Quarterly Return on Trading Composition (Form SZTCS)

Submission Folder ID	SZTCS
Input Date	N/A
Filename Convention	SZTCS_<Identity Code>_<YYYYQn> where YYYY is the year of the reporting quarter and n is the single digit representing the reporting quarter (1, 2, 3 or 4)
File Extension Allowed	csv
Submission Cut Off Time	within the month immediately following the end of the quarter
Handling of duplicated submissions	Overwritten by the newly submitted form

7.15 Submission of Documents Request from HKEX (SEHK Participants)

Submission Folder ID	MSM05M
Input Date	N/A
Filename Convention	MSM05M_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
Multiple files submission	If submission of multiple files is necessary, please zip the files and upload as one file using the “.zip” format (suggested tool WinZip).

7.16 Submission of Documents Request from HKEX (HKFE Participants)

Submission Folder ID	MSM05F
Input Date	N/A
Filename Convention	MSM05F_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
Multiple files submission	If submission of multiple files is necessary, please zip the files and upload as one file using the “.zip” format (suggested tool WinZip).

7.17 Submission of BCAN-CID Mapping File for HKIDR

Submission Folder ID	HBCNMAPP
Input Date	N/A
Filename Convention	HBCNMAPP_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
File Size Limit	700MB
Submission Cut Off Time	4:30pm

7.18 Submission of Aggregated Transaction and BCAN Change Reports for HKIDR

Submission Folder ID	HBCNRFELR
Input Date	N/A
Filename Convention	HBCNATBN_<Identity Code>_<YYYYMMDD> HBCNBCBN_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
Submission Cut Off Time	6:00pm

7.19 Submission of BCAN Change for LP Quote, BCAN Error and Off-exchange Trade BCAN (Buy-Side) Reports

Submission Folder ID	HBCNRFEO
Input Date	N/A
Filename Convention	HBCNLQBN_<Identity Code>_<YYYYMMDD> HBCNERBN_<Identity Code>_<YYYYMMDD> HBCNOTBN_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
Submission Cut Off Time	6:00pm

7.20 Submission of Options Market Maker Jobbing Transaction Composite Reporting Form (Form SD-4)

Submission Folder ID	SD4
Input Date	Required
Filename Convention	SD4_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of the Form SD-4 and matches with the input date
File Extension Allowed	txt,zip
Submission Cut Off Time	T+1 Day 10:15am

7.20.1 Late submission handling of the Form SD-4

The submission cut off time for the Form SD-4 is 10:15am T+1 day. The ECP automatically rejects any late submissions with an error message. Follow the steps below for any late submission:

1. Contact HKEX based on the contact details shown on the SD-4 submission page
2. Fax a hardcopy Form SD-4 with authorised signature to HKEX

7.20.2 Arrangements for Exceptional Cases

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
Normal Cases	10:15 am on T+1 day
Half trading day	10:15 am on next trading day (i.e. 10:15 am on T+2 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+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 alternative delivery method) Instead of submitting the completed softcopy of Form SD-4 through the ECP, EPs should send the Form SD-4 to ecp_contingency@hkex.com.hk 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.

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.

7.21 Submission of BCAN Error Report for Shanghai Connect

Submission Folder ID	SHBNR
Input Date	Required
Filename Convention	SHBNR_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	xlsx
Submission Cut Off Time	T day 5:00pm
Handling of duplicated submissions	Overwritten by the newly submitted form

7.22 Submission of BCAN Error Report for Shenzhen Connect

Submission Folder ID	SZBNR
Input Date	Required
Filename Convention	SZBNR_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	xlsx
Submission Cut Off Time	T day 5:00pm
Handling of duplicated submissions	Overwritten by the newly submitted form

7.23 Submission of Large Open Position Report of Beneficial Identity for Index futures/options contract or other futures contract (Form LOPBI)

Submission Folder ID	LOPBI
Input Date	Required
Filename Convention	LOPBI_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of the Form LOPBI and matches with the input date
File Extension Allowed	xls,xlsx
Submission Cut Off Time	T+1 day 12:00 noon

7.23.1 Late submission handling of the Form LOPBI

The submission cut off time for the Form LOPBI is 12:00 noon T+1 day. The ECP automatically rejects any late submissions with an error message. You should contact Exchange based on the contact details shown on the LOPBI submission page.

7.23.2 Arrangements for Exceptional Cases

For certain exceptional cases (e.g. half trading day), the submission window for LOPBI 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 T day's Large Open Positions
Normal Cases	12 noon on T+1 day
Half trading day	No change to normal operations (i.e. 12 noon on T+1 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 12 noon	3 hours after system recovery
All other cases	Send to lophkfe@hkex.com.hk until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification. You are reminded to regularly pay attention to announcements from the Exchange.

7.24 Submission of Large Open Position Report of Transaction Originator for Index futures/options contract or other futures contract (Form LOPTO)

Submission Folder ID	LOPTO
Input Date	Required
Filename Convention	LOPTO_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of the Form LOPTO and matches with the input date
File Extension Allowed	xls,xlsx
Submission Cut Off Time	T+1 day 12:00 noon

7.24.1 Late submission handling of the Form LOPTO

The submission cut off time for the Form LOPTO is 12:00 noon T+1 day. The ECP automatically rejects any late submissions with an error message. You should contact Exchange based on the contact details shown on the LOPTO submission page.

7.24.2 Arrangements for Exceptional Cases

For certain exceptional cases (e.g. half trading day), the submission window for LOPTO 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 T day's Large Open Positions
Normal Cases	12 noon on T+1 day
Half trading day	No change to normal operations (i.e. 12 noon on T+1 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 12 noon	3 hours after system recovery
All other cases	Send to lophkfe@hkex.com.hk until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification. You are reminded to regularly pay attention to announcements from the Exchange.

7.25 Submission of Large Open Position Report of Beneficial Identity on Stock options contract (Form SOLBI)

Submission Folder ID	SOLBI
Input Date	Required
Filename Convention	SOLBI_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of the Form SOLBI and matches with the input date
File Extension Allowed	xls,xlsx
Submission Cut Off Time	T+1 day 12:00 noon

7.25.1 Late submission handling of the Form SOLBI

The submission cut off time for the Form SOLBI is 12:00 noon T+1 day. The ECP automatically rejects any late submissions with an error message. You should contact Exchange based on the contact details shown on the SOLBI submission page.

7.25.2 Arrangements for Exceptional Cases

For certain exceptional cases (e.g. half trading day), the submission window for SOLBI 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 T day's Large Open Positions
Normal Cases	12 noon on T+1 day
Half trading day	No change to normal operations (i.e. 12 noon on T+1 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 12 noon	3 hours after system recovery
All other cases	Send to lophkfe@hkex.com.hk until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification. You are reminded to regularly pay attention to announcements from the Exchange.

7.26 Submission of Large Open Position Report of Transaction Originator on Stock options contract (Form SOLTO)

Submission Folder ID	SOLTO
Input Date	Required
Filename Convention	SOLTO_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of the Form SOLTO and matches with the input date
File Extension Allowed	xls,xlsx
Submission Cut Off Time	T+1 day 12:00 noon

7.26.1 Late submission handling of the Form SOLTO

The submission cut off time for the Form SOLTO is 12:00 noon T+1 day. The ECP automatically rejects any late submissions with an error message. You should contact Exchange based on the contact details shown on the SOLTO submission page.

7.26.2 Arrangements for Exceptional Cases

For certain exceptional cases (e.g. half trading day), the submission window for SOLTO 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 T day's Large Open Positions
Normal Cases	12 noon on T+1 day
Half trading day	No change to normal operations (i.e. 12 noon on T+1 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 12 noon	3 hours after system recovery
All other cases	Send to lophkfe@hkex.com.hk until ECP service fully resumes

Note: The above arrangement may be subject to change without advance notification. You are reminded to regularly pay attention to announcements from the Exchange.

7.27 Submission of Self-Attestation of Compliance Questionnaire (For SEHK, HKSCC and SEOCH Participants)

Submission Folder ID	MSM01M
Input Date	N/A
Filename Convention	MSM01M_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip

7.28 Submission of Self-Attestation of Compliance Questionnaire (General Clearing Participants)

Submission Folder ID	MSM01G
Input Date	N/A
Filename Convention	MSM01G_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip

7.29 Submission of Self-Attestation of Compliance Questionnaire (Custodian Participants)

Submission Folder ID	MSM01C
Input Date	N/A
Filename Convention	MSM01C_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip

7.30 Submission of Stock Options Market Making Affiliate Financial Statement

Submission Folder ID	MSM02M
Input Date	N/A
Filename Convention	MSM02M_<Identity Code>_<YYYYMM> where YYYY is the year and MM is the month of the reporting date
File Extension Allowed	zip

7.31 Submission of Excess Position Limit Usage Reporting for ETF Market Makers

Submission Folder ID	MSM03M
Input Date	N/A
Filename Convention	MSM03M_<Identity Code>_<YYYYMM> where YYYY is the year and MM is the month of the reporting date
File Extension Allowed	xls,xlsx

7.32 Submission of Self-Attestation of Compliance Questionnaire (HKFE and HKCC Participants)

Submission Folder ID	MSM04F
Input Date	N/A
Filename Convention	MSM04F_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip

7.33 Submission of BCAN-CID Mapping File and Authorised TTEP Firm List for Northbound Trading

Submission Folder ID	BCANMAPP
Input Date	N/A
Filename Convention	BCANMAPP_<Identity Code>_<YYYYMMDD> BCANAUFM_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
File Size Limit	700MB
Submission Cut Off Time	3:00pm

7.34 Submission of DCMM Activity Form

Submission Folder ID	DCMMAF
Input Date	Required
Filename Convention	DCMMAF_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the trade date of DCMM activities
File Extension Allowed	zip
Submission Cut Off Time	T+1 10:15am

7.35 Submission of Securities Market - Application for the Use and Maintenance of Self-Match Prevention (SMP) ID

Submission Folder ID	CSMP
Input Date	N/A
Filename Convention	CSMPREQ_<Identity Code>_<YYYYMMDD> CSMPCST_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	pdf
Submission Cut Off Time	Only accept submission during 7:00am - 4:00pm on Hong Kong Securities Market trading days

7.36 Submission of Securities Market - Self-Match Prevention (SMP) ID Information Update

Submission Folder ID	CSMPINFO
Input Date	N/A
Filename Convention	CSMPINFO_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	pdf

7.37 Submission of Derivatives Market - Application for the Use and Maintenance of Self-Match Prevention (SMP) ID (HKFE)

Submission Folder ID	DSMPF
Input Date	N/A
Filename Convention	DSMPREQ_<Identity Code>_<YYYYMMDD> DSMPDST_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	pdf
Submission Cut Off Time	Only accept submission during 7:00am - 4:00pm on Hong Kong Derivatives Market trading days except Holiday Trading Days

7.38 Submission of Derivatives Market - Application for the Use and Maintenance of Self-Match Prevention (SMP) ID (SEHK)

Submission Folder ID	DSMPD
Input Date	N/A
Filename Convention	DSMPREQ_<Identity Code>_<YYYYMMDD> DSMPDST_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	pdf
Submission Cut Off Time	Only accept submission during 7:00am - 4:00pm on Hong Kong Derivatives Market trading days except Holiday Trading Days

7.39 Submission of Derivatives Market - Self-Match Prevention (SMP) ID Information Update (HKFE)

Submission Folder ID	DSMPINFOF
Input Date	N/A
Filename Convention	DSMPINFO_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	pdf

7.40 Submission of Derivatives Market - Self-Match Prevention (SMP) ID Information Update (SEHK)

Submission Folder ID	DSMPINFOS
Input Date	N/A
Filename Convention	DSMPINFO_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	pdf

7.41 Submission of Northbound Program Trading Reporting File, High Frequency Trading Reporting File and High Frequency Trading Reporting Exemption Application Checklist and supporting documents under Shanghai Stock Connect

Submission Folder ID	PTRFSH
Input Date	N/A
Filename Convention	SH_PGTRPT_<Identity Code>_<YYYYMMDD> SH_HFTRP_<Identity Code>_<YYYYMMDD> SH_HFTEX_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
File Size Limit	100MB
Submission Cut Off Time	Only accept submission during 7:00am - 3:00pm on Northbound Program Trading Day

7.42 Submission of Northbound Program Trading Reporting File, High Frequency Trading Reporting File and High Frequency Trading Reporting Exemption Application Checklist and supporting documents under Shenzhen Stock Connect

Submission Folder ID	PTRFSZ
Input Date	N/A
Filename Convention	SZ_PGTRPT_<Identity Code>_<YYYYMMDD> SZ_HFTRP_<Identity Code>_<YYYYMMDD> SZ_HFTEX_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
File Size Limit	100MB
Submission Cut Off Time	Only accept submission during 7:00am - 3:00pm on Northbound Program Trading Day

7.43 Submission of Northbound Proprietary Trading Order Mapping File under Shanghai Stock Connect

Submission Folder ID	SWPMPSH
Input Date	N/A
Filename Convention	SH_SWPMPORD_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	zip
File Size Limit	100MB

Submission Cut Off Time	Only accept submission during 7:00am - 6:00pm on Northbound Trading Day
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7.44 Submission of Northbound Proprietary Trading Order Mapping File under Shenzhen Stock Connect

Submission Folder ID	SWPMPSZ
Input Date	N/A
Filename Convention	SZ_SWPMPORD_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	Zip
File Size Limit	100MB
Submission Cut Off Time	Only accept submission during 7:00am - 6:00pm on Northbound Trading Day

7.45 Submission of Large Open Position Report Account Information: TO Report (Form LOPACTO)

Submission Folder ID	LOPACTO
Input Date	N/A
Filename Convention	LOP Account_TO_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	xls,xlsx

7.46 Submission of Large Open Position Report Account Information: BI Report (Form LOPACBI)

Submission Folder ID	LOPACBI
Input Date	N/A
Filename Convention	LOP Account_BI_<Identity Code>_<YYYYMMDD> where YYYYMMDD is the submission date
File Extension Allowed	xls,xlsx

7.47 Submission of NSDC: Notification of SDNet/2 circuit (for non-EP Relevant Regulated Intermediaries)

Submission Folder ID	NSDC
Input Date	N/A
Filename Convention	NSDC_<Identity Code>
File Extension Allowed	pdf

7.48 Submission of Stamp Duty Monthly Return (Form SD-2)

Submission Folder ID	SD2
Input Date	N/A
Filename Convention	SD2_<Identity Code>_<YYYYMM> where YYYYMM is the year and month of the Form SD-2
File Extension Allowed	pdf
Submission Cut Off Time	Within 5 days from the beginning of the following month
Handling of duplicated submissions	Overwritten by the newly submitted form

7.49 Submission of Return of Trading Fee, Transaction Levies and Investor Compensation Levy (TFTL Return)

Submission Folder ID	TFTL
Input Date	N/A
Filename Convention	TFTL_<Identity Code>_<YYYYMM> where YYYYMM is the year and month of the TFTL Return
File Extension Allowed	pdf
Submission Cut Off Time	Within 7 days from the beginning of the following month
Handling of duplicated submissions	Overwritten by the newly submitted form

8. Contingency Arrangement on Failure of HKEX Access Management Portal (Direct Login Method)

As described in Section 4.1, under normal conditions ECP users are authenticated through HKEX's Access Management Portal. In order to ensure fully resiliency, a "Direct Login" method is offered should Access Management Portal fails. This is illustrated in this section.

Please note that "Direct Login" method is only available when HKEX Access Management Portal fails and is not accessible under normal circumstances. HKEX will announce to the market should this situation arises.

8.1 External Web

Should the Access Management Portal fails, ECP will be switched to "Direct Login" mode. Under this mode, ECP users will need the following information to log into ECP:

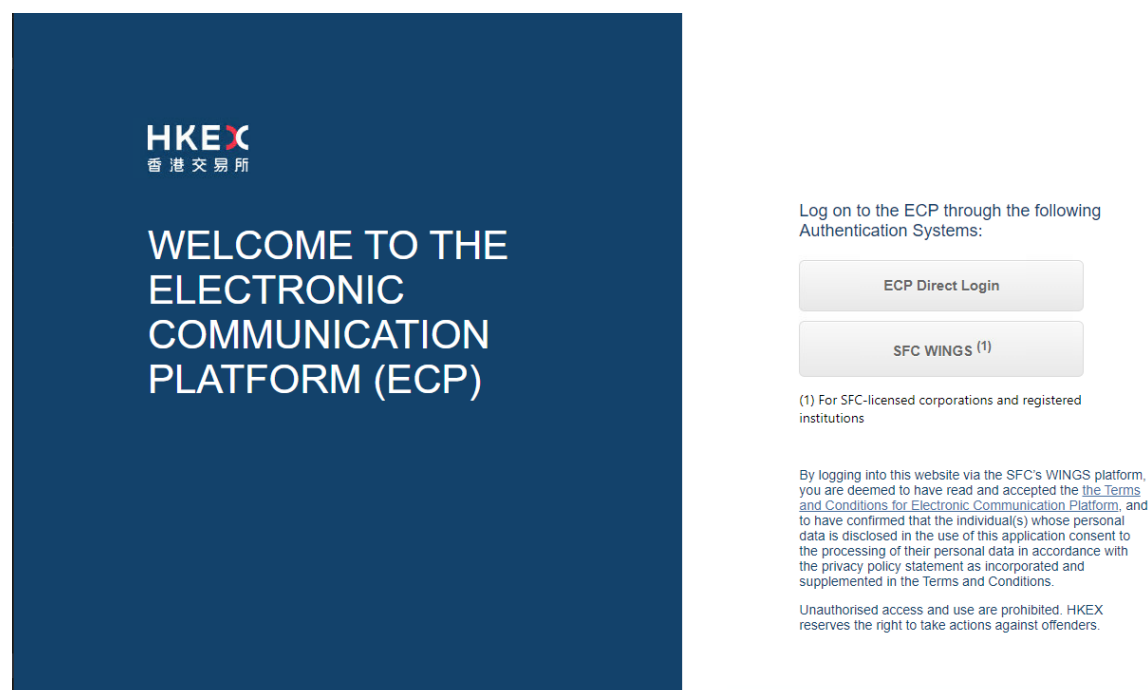
- Email address as previously registered in Access Management Portal;
- Phone number as previously registered in Access Management Portal; and
- An one-time verification code generated by ECP in real time.

The first step of authentication requires an ECP user to log into ECP with his/her email address and phone number as registered previously in Access Management Portal. If this step is passed, a verification code will be sent to the email address of that ECP user. User will then need to provide this code to ECP in order to complete the login process.

Users should note that all three pieces are info required to log into ECP under Direct Login mode.

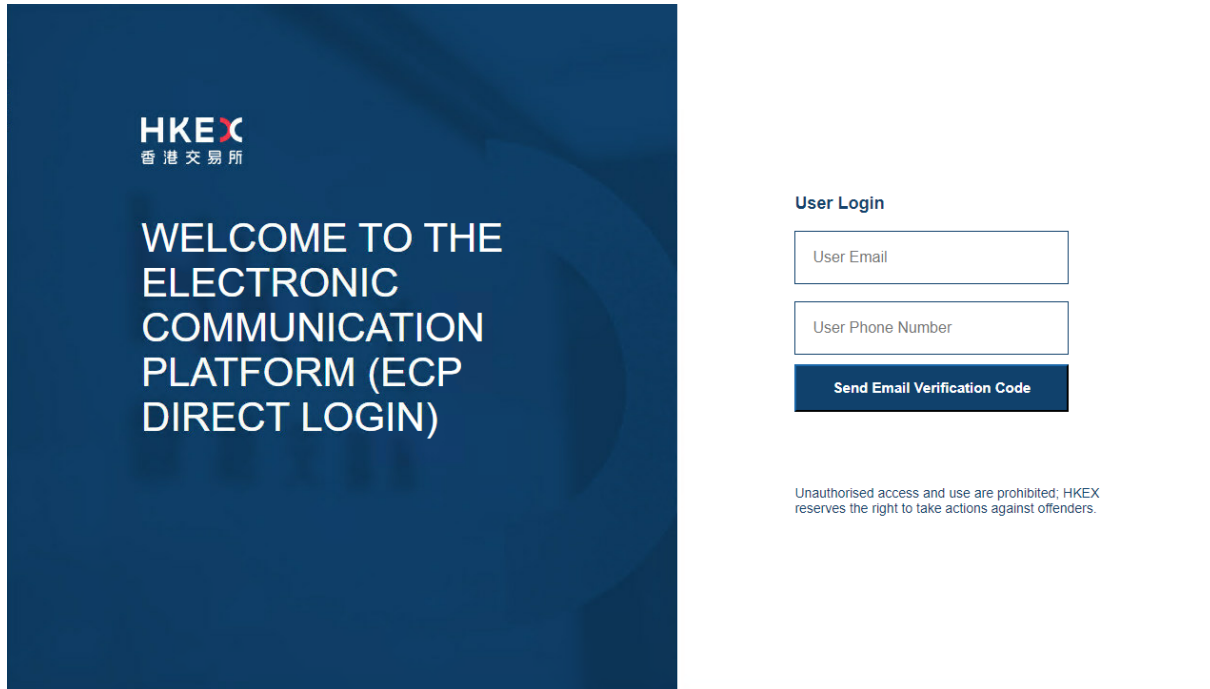
8.1.1 Landing Page of Direct Login Mode

The URL of ECP Landing Page of Direct Login Mode remain the same (<https://ecp2.hkex.com.hk>). Users will find a "ECP Direct Login" button for logging into ECP directly.



8.1.2 Direct Login Process

In the page of ECP Direct Email Login, user needs to enter registered email and phone number to obtain verification code through email.



HKEX
香港交易所

WELCOME TO THE
ELECTRONIC
COMMUNICATION
PLATFORM (ECP
DIRECT LOGIN)

User Login

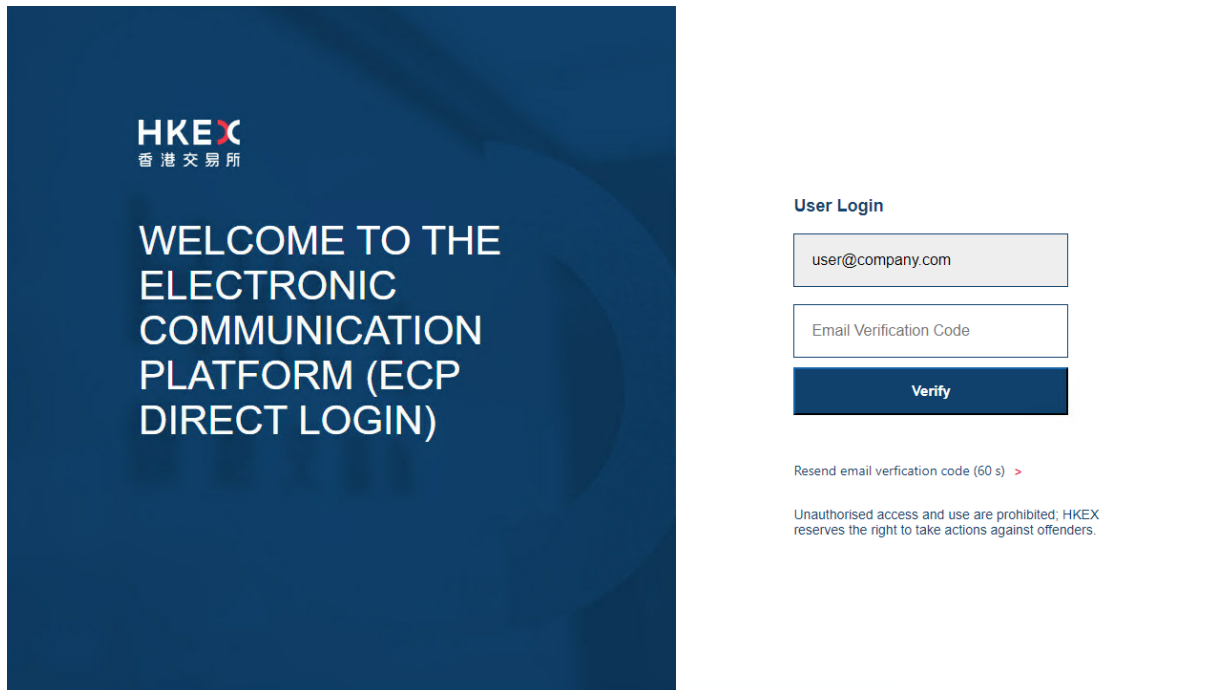
User Email

User Phone Number

Send Email Verification Code

Unauthorised access and use are prohibited; HKEX reserves the right to take actions against offenders.

User will receive a verification code by email shortly. Enter this code to complete the login process.



HKEX
香港交易所

WELCOME TO THE
ELECTRONIC
COMMUNICATION
PLATFORM (ECP
DIRECT LOGIN)

User Login

user@company.com

Email Verification Code

Verify

[Resend email verification code \(60 s\) >](#)

Unauthorised access and use are prohibited; HKEX reserves the right to take actions against offenders.

Upon successful logon, user will be redirected to “ECP External Web Application” (<https://connect-ecp.hkex.com,hk>). If user did not provide valid information such as invalid email, invalid phone number or invalid verification code, an error message will be shown, as follows:

