

香港聯合交易所有限公司  
(香港交易及結算所有限公司全資附屬公司)  
**The Stock Exchange of Hong Kong Limited**  
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

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**通告 CIRCULAR**

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事項 交易所規則之修訂  
Subject: Amendments to the Rules of the Exchange

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Holders of Stock Exchange Trading Rights and Exchange Participants are requested to note that the Securities and Futures Commission has approved amendments to the Rules of the Exchange to:

- (i) introduce the central gateway for providing the communications interface between the Automatic Order Matching and Execution System of the Exchange and the Broker Supplied System and other devices; and
- (ii) set out the fees and charges to be imposed by the Exchange upon introduction of the central gateway.

The amendments, as set out in the Appendix, will come into effect on 9 June 2014.

The marked-up version of the amendments can be downloaded from the "Rule Update - Rules of the Exchange" section of the HKEX website.

Christine Wong  
Chief Counsel & Head  
Legal Services Department

請各位香港聯合交易所有限公司交易權持有人及交易所參與者注意，證券及期貨事務監察委員會已批准《交易所規則》之修訂，有關：

- (i) 推出中央交易網關，為交易所的自動對盤及成交系統與經紀自設系統及其他裝置之間提供通訊界面；及
- (ii) 載列推出中央交易網關後實施的費用及收費。

載於附件之修訂由 2014年6月9日起生效。

有關規則的標明修訂本可在香港交易所網站之"規則修訂 - 交易所規則"中下載。

法律服務部  
首席法律顧問及主管  
黃凱明 謹啟

香港交易及結算所有限公司  
Hong Kong Exchanges and Clearing Limited

CHAPTER 1

INTERPRETATION

101. In these Rules, unless the context otherwise requires:-

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| “Backup Central Gateway session”         | means a Central Gateway session designated for backup purpose pursuant to Rule 364AA;  |
| “Backup Drop-Copy session”               | means a backup connection to the Drop-Copy Service;  |
| “Central Gateway”                        | means a hardware and software component operated by the Exchange, which provides the communications interface between the System, BSS and other devices;   |
| “Central Gateway message”                | means a single instance of order or trade-related communication between a BSS and the Central Gateway;   |
| “Central Gateway session”                | means a connection to the Central Gateway for communication between a BSS and the Central Gateway;   |
| “Central Gateway transitional period”    | means a period which may be notified by the Exchange to Exchange Participants during which the Open Gateway and the Central Gateway session could be used as communications interface between the System, MWS or BSS and other devices (as the case may be) but after which only the Central Gateway session could be used;  |
| “Drop-Copy Service”                      | means the Exchange’s real-time reporting service in respect of orders and trades of an Exchange Participant that have been inputted into or recorded by the System;  |
| “Drop-Copy session”                      | means a connection to the Drop-Copy Service;   |
| “Market Making Central Gateway session”  | means a Central Gateway session for any one or more of the following purposes (as the case may be):-<br><br><ul style="list-style-type: none"> <li>(a) for carrying out market making activities in a Market Making Security or Market Making Securities by such Exchange Participant in its capacity as a Securities Market Maker;</li> <li>(b) for carrying out the activities of providing liquidity to a Structured Product by such Exchange Participant in its capacity as a Structured Product Liquidity Provider</li> </ul> in accordance with these Rules; |
| “standard Central Gateway throttle rate” | means the standard throughput rate of a Central Gateway message into the System through a Central Gateway session assigned with a single Stock Exchange Trading Right, as determined by the Board from time to time;   |
| “Standby Terminal”                       | means an AMS terminal installed by the Exchange at the business continuity centre or the registered business address of an Exchange Participant for backup purpose pursuant to Rule 364A or 364AA;   |

CHAPTER 3

EXCHANGE PARTICIPANTSHIP

**Standby Terminal and Backup Central Gateway session**

- 364AA (1) (a) Subject to Rule 364AA(2) and unless otherwise determined by the Exchange, an Exchange Participant which has connected its BSS to a Central Gateway session entitled under Rule 365(1) or applied for under Rule 364B or Rule 365C for access to the System may apply to the Exchange for the backup of such Central Gateway session (i) a Standby Terminal in respect of each Stock Exchange Trading Right assigned to that Central Gateway under Rule 365(1) or each standard Central Gateway throttle rate assigned under Rule 364B or Rule 365C or (ii) a Backup Central Gateway session provided that the Backup Central Gateway session must be in respect of the same number of Stock Exchange Trading Rights and for the same number of standard Central Gateway throttle rates assigned to that Central Gateway session and the Exchange Participant may only apply for one Backup Central Gateway session irrespective of the number of Stock Exchange Trading Rights or standard Central Gateway throttle rates assigned to that Central Gateway session.
- (b) Subject to Rule 364AA(2), an Exchange Participant which has connected its BSS to a Market Making Central Gateway session for access to the System may, in respect of each standard Central Gateway throttle rate assigned to that Market Making Central Gateway session, apply to the Exchange for a Standby Terminal to be installed for the backup of such Market Making Central Gateway session unless otherwise determined by the Exchange. Alternatively, the Exchange Participant may, subject to Rule 364AA(2), apply to the Exchange for a Backup Central Gateway session to be designated for the backup of such Market Making Central Gateway session unless otherwise determined by the Exchange provided that the Backup Central Gateway session must be in respect of the same number of standard Central Gateway throttle rates assigned to that Market Making Central Gateway session and the Exchange Participant may only apply for one Backup Central Gateway session irrespective of the number of standard Central Gateway throttle rates assigned to that Market Making Central Gateway session.
- (2) An Exchange Participant which has installed a Standby Terminal or connected to a Backup Central Gateway session shall comply with such terms and conditions as the Exchange shall from time to time prescribe and pay such fees and charges as shall be determined by the Board from time to time.
- (3) A Standby Terminal provided pursuant to Rule 364AA(1) shall be kept at a "non-trading" mode until such time as it is activated by the Exchange upon a request from an Exchange Participant concerned under Rule 364AA(4).
- (4) (a) An Exchange Participant wishing to activate its Standby Terminal in case of failure of its connection to the Central Gateway session designated to it under Rule 365(1), Rule 364B, Rule 365C or Rule 364AA (as the case may be) must submit a request to the Exchange in a form and in such manner as prescribed by the Exchange from time to time to disconnect such Central Gateway session from the System and to activate the corresponding Standby Terminal to "trading" mode.
- (b) An Exchange Participant wishing to activate its Standby Terminal in case of failure of its connection to the Market Making Central Gateway session designated to it must submit a request to the Exchange in a form and in such manner as prescribed by the Exchange from time to time to disconnect such Market Making Central Gateway session from the System and to activate the corresponding Standby Terminal to "trading" mode.

- (5) Notwithstanding anything to the contrary herein contained, upon activation of a Standby Terminal by the Exchange, a Standby Terminal shall for the purposes of these Rules be deemed an additional AMS terminal or Market Making AMS Terminal (as the case may be) and be used as such by the Exchange Participant concerned in accordance with these Rules relating to additional AMS terminal or Market Making AMS Terminal (as the case may be) until such time as it is returned by the Exchange to a “non-trading” mode.
- (5A) Notwithstanding anything to the contrary herein contained, upon activation of a Backup Central Gateway session by the Exchange Participant, a Backup Central Gateway session shall for the purposes of these Rules be deemed a Central Gateway session entitled under Rule 365(1) or a Market Making Central Gateway session (as the case may be) and be used as such by the Exchange Participant concerned in accordance with these Rules relating to a Central Gateway session entitled under Rule 365(1) or a Market Making Central Gateway session (as the case may be) until such time as it is returned by the Exchange Participant to a "non-trading" mode.
- (6) An Exchange Participant wishing to de-activate its activated Standby Terminal and reconnect the corresponding Central Gateway session or Central Gateway Market Making session (as the case may be) to the System must submit to the Exchange:-
  - (a) a request in a form and in such manner as prescribed by the Exchange from time to time to return its activated Standby Terminal to a "non-trading" mode and reconnect the corresponding Central Gateway session or Market Making Central Gateway session (as the case may be) to the System; and
  - (b) in respect of the reconnection of a Central Gateway session or a Market Making Central Gateway session, a declaration or a declaration and return in accordance with Rule 365(10).
- (7) For the avoidance of doubt, references to “Central Gateway session entitled under Rule 365(1)” in this Rule 364AA shall include a new Central Gateway session under Rule 364B(3)(c) and a new Central Gateway session under Rule 365C(2).

### **Trading Facilities**

- 364B. (1) [Repealed]
- (1A) Where the entitlement to the benefit of a Seat for any Stock Exchange Trading Right held by an Exchange Participant has ceased and extinguished with effect from the Cessation Date pursuant to Rule 305A and the Exchange Participant had not made any successful application to relinquish it for a Dealing Desk or any one of the following prior to the Cessation Date, the Exchange Participant may, in respect of such Stock Exchange Trading Right, still apply to the Exchange for any one of the following, but not a Dealing Desk, on or after the Cessation Date:
    - (a) installation of an additional AMS terminal;
    - (b) an increase in the throughput rate of an order into the System through an Open Gateway of the Exchange Participant; or
    - (c) an increase in the throughput rate of a Central Gateway message into the System through a Central Gateway session designated to the Exchange Participant.

- (1B) Without prejudice to the entitlement under Rule 365(1), an Exchange Participant may, in respect of each Stock Exchange Trading Right conferred on or issued to it by the Exchange on or after the Cessation Date, apply to the Exchange for any one of the following before such date as may be notified by the Exchange to Exchange Participants under this Rule 364B(1B):
- (a) installation of an additional AMS terminal;
  - (b) an increase in the throughput rate of an order into the System through an Open Gateway of the Exchange Participant; or
  - (c) an increase in the throughput rate of a Central Gateway message into the System through a Central Gateway session designated to the Exchange Participant.
- (1C) (b) At any time prior to the expiry of any prevailing Binding Period, the Exchange may by notice to Exchange Participants renew the Binding Period for such period and on such terms as it may specify. In the event that an Exchange Participant does not wish to renew its use of a Dealing Desk, it may, prior to such date as may be specified, apply to the Exchange for any one of the following:
- (i) installation of an additional AMS terminal;
  - (ii) an increase in the throughput rate of an order into the System through an Open Gateway of the Exchange Participant; or
  - (iii) an increase in the throughput rate of a Central Gateway message into the System through a Central Gateway session designated to the Exchange Participant.
- (3) (a) (i) The increase in the throughput rate of an order into the System through an Open Gateway pursuant to Rule 364B shall unless otherwise determined by the Board be equivalent to one quarter of a standard throttle rate.
- (ii) The increase in the throughput rate of a Central Gateway message into the System through a Central Gateway session pursuant to Rule 364B shall unless otherwise determined by the Board be equivalent to a standard Central Gateway throttle rate.
- (b) Any increase in the throughput rate of an order into the System through an Open Gateway pursuant to Rule 364B shall be to an existing Open Gateway of an Exchange Participant provided that if the aggregate increase in the throughput rate is up to or above the standard throttle rate or such other rate as determined by the Board from time to time, the Exchange Participant may apply to the Exchange for a new Open Gateway and the aggregate increase in the throughput rate shall unless otherwise specified by the Exchange be to the new Open Gateway. For the avoidance of doubt, a new Open Gateway, if approved, shall in all respects be subject to the Rules applicable to "Open Gateway" referred to in Rule 365(1) unless otherwise determined by the Board.
- (c) Any increase in the throughput rate of a Central Gateway message into the System through a Central Gateway session pursuant to Rule 364B shall be to an existing Central Gateway session designated to an Exchange Participant, or if the Exchange Participant applies to the Exchange for a new Central Gateway session, the increase in the throughput rate shall unless otherwise specified by the Exchange be to the new Central Gateway session. For the avoidance of doubt, a new Central Gateway session, if approved, shall in all respects be subject to the Rules applicable to "Central Gateway session" referred to in Rule 365(1) unless otherwise determined by the Board.

- (5) Subject to payment of an early termination charge under Rule 364B(2A)(a) where applicable, an Exchange Participant may apply to the Exchange to change its additional AMS terminal applied for or entitled under Rule 364B to an increase in the throughput rate of an order into the System through its Open Gateway or a Central Gateway message into the System through a Central Gateway session designated to it and vice versa. No Exchange Participant shall have any right to apply for reinstatement of any Seats.
365. (1) An Exchange Participant upon payment of a fee to be determined by the Board from time to time shall in respect of each Stock Exchange Trading Right held be entitled to:
- (i) an additional AMS Terminal;
  - (ii) an Open Gateway, if its Exchange Participantship is approved prior to the Central Gateway transitional period; or
  - (iii) a Central Gateway session.
- (4) (a) An Exchange Participant may connect an Open Gateway to its BSS or, upon payment of a fee to be determined by the Board from time to time, to the MWS provided by the Exchange. An Exchange Participant may connect a Backup Open Gateway to its BSS for backup purpose, or upon payment of a fee to be determined by the Board from time to time, to the MWS provided by the Exchange for backup purpose.
- (b) An Exchange Participant may connect its BSS to a Central Gateway session designated to it and, for backup purpose, a Backup Central Gateway session.
- (6) An Exchange Participant shall be solely responsible and liable for the granting, monitoring and supervision of access to its Open Gateway, Backup Open Gateway, BSS, MWS, Standby Terminal and additional AMS terminal and any Central Gateway session or Backup Central Gateway session designated to it.
- (7) An Exchange Participant shall ensure that only the Exchange Participant and its Authorised Persons, as the case may be, can have access to and operate its Open Gateway, Backup Open Gateway, MWS and additional AMS terminal (including the Standby Terminal when activated) and any Central Gateway session or Backup Central Gateway session designated to it.
- (9) An Exchange Participant shall ensure that its BSS is operated in such a way as not to affect the proper functioning of the System.
- (11) An Exchange Participant using the MWS shall submit a declaration to the Exchange in a form prescribed by the Exchange from time to time in relation to its MWS prior to the connection or re-connection of its MWS to the System.

**Increase of Open Gateway Throughput Rate**

- 365B. (1) An Exchange Participant with an Open Gateway may apply to the Exchange for an increase in the throughput rate of an order into the System through the Open Gateway and such application shall be subject to the approval of the Exchange. Any increase in the throughput rate shall be for a standard throttle rate or multiples of a standard throttle rate.

**Increase of Central Gateway Session Throughput Rate**

- 365C. (1) An Exchange Participant with a Central Gateway session may apply to the Exchange for an increase in the throughput rate of a Central Gateway message into the System through the Central Gateway session and such application shall be subject to the approval of the Exchange. Any increase in the throughput rate shall be for a standard Central Gateway throttle rate or multiples of a standard Central Gateway throttle rate.

- (2) An Exchange Participant which has applied for or which has acquired an increase in throughput rate entitlement under Rule 365C(1) or Rule 365C(5) may apply for a new Central Gateway session. The application for a new Central Gateway session shall be subject to the approval of the Exchange and such approval may be given subject to any conditions and payment of such fees and charges as the Board thinks fit. Without prejudice to the aforesaid, a new Central Gateway session, if approved, shall in all respects be subject to the Rules applicable to “Central Gateway session” referred to in Rule 365(1) unless otherwise determined by the Board.
- (3) An Exchange Participant shall, if its application under Rule 365C(1) is approved by the Exchange, and an Exchange Participant which has acquired an increase in throughput rate entitlement under Rule 365C(5) also shall comply with such terms and conditions as the Board shall from time to time prescribe and pay such fees and charges as shall be determined by the Board from time to time. Without prejudice to the aforesaid, any increase in the throughput rate under Rule 365C(1) or pursuant to a transfer under Rule 365C(5) shall be to an existing Central Gateway session or a new Central Gateway session under Rule 365C(2), if any, provided that at least a standard Central Gateway throttle rate shall, unless otherwise specified by the Exchange, be to the new Central Gateway session, if any.
- (4) For the avoidance of doubt, references to Central Gateway session in this Rule 365C shall mean a Central Gateway session entitled under Rule 365(1) or a new Central Gateway session under Rule 364B(3)(c).
- (5) An increase in throughput rate entitlement granted under Rule 365C(1) or acquired under this Rule 365C(5) may be transferred by an Exchange Participant upon such terms and subject to such conditions as may from time to time be prescribed by the Exchange including but not limited to the condition that the Exchange Participant to which the throughput rate increase entitlement is to be transferred must be a company within the same group of companies as the Exchange Participant. An Exchange Participant wishing to transfer an increase in throughput rate entitlement shall apply to the Exchange for the transfer and such application shall be subject to the approval of the Exchange.

## **CHAPTER 5**

### **TRADING**

#### **Operational Trading Rules**

##### **Quotations**

505. Rules 506, 506A, 507 and 507A do not apply to auction orders and such orders can only be input into the System during the Pre-opening Session subject to Rule 501G. Limit orders, enhanced limit orders and special limit orders can only be input into the System during the trading hours prescribed in Rule 501(1) provided that such orders in respect of the Extended Trading Securities can also be input into the System during the Extended Morning Session. For the avoidance of doubt, if an order is input into the System through the Open Gateway of an Exchange Participant or the Central Gateway session designated to an Exchange Participant, the order is taken for all purposes under these Rules to have been input into the System by and with the knowledge of the Exchange Participant.

**CHAPTER 7**

**DISCIPLINARY**

- 702 (14) to suspend, withdraw or revoke a Securities Market Maker's and/or a Structured Product Liquidity Provider's access to the System through a Market Making Open Gateway, Market Making Central Gateway session and/or Market Making AMS Terminal on such terms and for such period as the Board shall think fit.

**CHAPTER 8**

**PAYMENT OF FEES AND CHARGES**

- 802A Without limitation to the generality of Rule 801 above, the Board may impose fees and charges in relation to the Central Gateway as follows:-

<u>Fee Type</u>	<u>Amount (HK\$)</u>
(1) administration fee for each Central Gateway session, Market Making Central Gateway session or Backup Central Gateway session applied for under Rule 365(1), 364B(3)(c), 365C(2), 364AA(1)(a), 364AA(1)(b), Rule 15(b) of the Fourteenth Schedule or Rule 5(b) of the Eighteenth Schedule	20,000 for each session
(2) an increase in the Central Gateway throughput rate applied for under Rule 365C(1)	50,000 for each standard Central Gateway throttle rate
(3) in addition to any one-time fee specified above, a monthly fee for:	
(a) the use of a Central Gateway session, Market Making Central Gateway session or Backup Central Gateway session as follows depending on the number of standard Central Gateway throttle rates assigned:	
(i) low capacity	Central Gateway session: 2,000 for the first session for trading or backup, 7,500 for each additional session
- 1 to 20 standard Central Gateway throttle rates	
(ii) standard capacity	Market Making Central Gateway session: 7,500 for each session for trading or backup
- 21 to 60 standard Central Gateway throttle rates	10,000



(iii)	high capacity	
	- 61 to 100 standard Central Gateway throttle rates	15,000
	- 101 to 150 standard Central Gateway throttle rates	20,000
	- 151 to 200 standard Central Gateway throttle rates	25,000
	- 201 to 250 standard Central Gateway throttle rates	30,000
(b)	Stock Exchange Trading Right(s) assigned to a Central Gateway session	480 for each Stock Exchange Trading Right assigned
(c)	an increase in the throughput rate of a message into the System through an existing Central Gateway session under Rule 364B;	480 for each standard Central Gateway throttle rate
(d)	an increase in the throughput rate of a message into the System through a new Central Gateway session under Rule 364B(3)(c);	480 for each standard Central Gateway throttle rate
(e)	an increase in the throughput rate of a message into the System through an existing Central Gateway session under Rule 365C;	960 for each standard Central Gateway throttle rate
(f)	an increase in the throughput rate of a message into the System through a new Central Gateway session under Rule 365C;	960 for each standard Central Gateway throttle rate
(g)	each standard Central Gateway throttle rate assigned to a Market Making Central Gateway session;	480 for each standard Central Gateway throttle rate
(h)	Drop-Copy session or Backup Drop-Copy session	4,500 for each session, except that there shall be no charge for the first session

**FOURTEENTH SCHEDULE**

**SECURITIES MARKET MAKER REGULATIONS  
("REGULATIONS")**

**MARKET MAKING OPEN GATEWAY, MARKET MAKING AMS TERMINAL AND MARKET MAKING CENTRAL GATEWAY SESSION**

- (15) (a) A Securities Market Maker upon payment of a fee to be determined by the Board from time to time shall be entitled to have a Market Making Open Gateway to connect to its BSS or to a MWS provided by the Exchange, and/or a Market Making AMS Terminal for access to the System. The number of Market Making Open Gateway and/or Market Making AMS Terminal that a Securities Market Maker may install at any one time shall be determined by the Board from time to time. Unless otherwise determined by the Board, the Market Making Open Gateway and the Market Making AMS Terminal shall be subject to the Rules relating to "Open Gateway" and "additional AMS terminal" referred to in Rule 365(1) respectively insofar as they are applicable.

- (b) A Securities Market Maker upon payment of a fee to be determined by the Board from time to time shall be entitled to have its BSS connected to a Market Making Central Gateway session for access to the System. The number of Market Making Central Gateway sessions that a Securities Market Maker may be designated at any one time shall be determined by the Board from time to time. Unless otherwise determined by the Board, the Market Making Central Gateway session shall be subject to the Rules relating to "Central Gateway session" referred to in Rule 365(1) insofar as they are applicable.
- (16A) A Securities Market Maker shall be responsible and liable for the granting, monitoring and supervision of access to its Market Making Open Gateways and Market Making AMS Terminals and any Market Making Central Gateway sessions designated to it.
- (17) A Securities Market Maker or any of its employees or persons acting on its behalf shall not modify or attempt to modify any Market Making Open Gateway or Market Making AMS Terminal.
- (17A) A Market Making Open Gateway or a Market Making Central Gateway session shall be assigned with a standard throttle rate, multiples of a standard throttle rate, a standard Central Gateway throttle or multiples of a standard Central Gateway throttle (as the case may be) as determined by the Board from time to time for use by the Securities Market Maker for entering market making orders and/or other orders as the Board may from time to time determine into the System.
- (17B) A Securities Market Maker shall use a Market Making Open Gateway, Market Making AMS Terminal or Market Making Central Gateway session for entering market making orders into the System in such manner as the Board may from time to time determine. The Board may from time to time determine orders or activities a Securities Market Maker may enter or carry out using a Market Making Open Gateway, Market Making AMS Terminal or Market Making Central Gateway session subject to such conditions and in such manner as the Board may from time to time determine.
- (19A) Upon suspension, withdrawal, revocation or surrender of the Securities Market Maker permit of a Securities Market Maker, the Exchange shall terminate the access of its Market Making Open Gateways and Market Making AMS Terminals and any Market Making Central Gateway sessions designated to it to the System.
- (19B) The Exchange has absolute discretion at any time to suspend, withdraw or revoke a Securities Market Maker's access to the System through any Market Making Open Gateway, Market Making AMS Terminal or Market Making Central Gateway session on such terms and for such period as the Board shall think fit without giving any reason or notice and the decision of the Board shall be final and conclusive. Without prejudice to the aforesaid general power, the Exchange shall have the right to suspend, withdraw or revoke a Securities Market Maker's access in such capacity of any Market Making Open Gateway, Market Making AMS Terminal or Market Making Central Gateway session to the System on such terms and for such period as the Board shall think fit if he or it fails to comply with these Regulations or if it has been suspended, expelled or for any reason ceases to be an Exchange Participant. The decision of the Board shall be final and conclusive. For the avoidance of doubt, the Exchange Participant shall remain liable for his or its failure to comply with these Regulations and for any monies due and payable under these Regulations as if his or its access in the capacity as a Securities Market Maker has not been suspended, withdrawn or revoked.

**EIGHTEENTH SCHEDULE**

**STRUCTURED PRODUCT LIQUIDITY PROVIDER REGULATIONS  
("REGULATIONS")**

**TRADING DEVICES FOR STRUCTURED PRODUCT LIQUIDITY PROVIDER**

- (5) (a) A Structured Product Liquidity Provider upon payment of a fee to be determined by the Board from time to time shall be entitled to a Market Making Open Gateway to connect to its BSS or to a MWS provided by the Exchange and/or a Market Making AMS Terminal for access to the System. The number of Market Making Open Gateways and/or Market Making AMS Terminals that a Structured Product Liquidity Provider may install at any one time shall be determined by the Board from time to time. Unless otherwise determined by the Board, every Market Making Open Gateway and Market Making AMS Terminal shall be subject to the Rules relating to "Open Gateway" and "additional AMS terminal" referred to in Rule 365(1) respectively insofar as they are applicable.
- (b) A Structured Product Liquidity Provider upon payment of a fee to be determined by the Board from time to time shall be entitled to have its BSS connected to a Market Making Central Gateway session for access to the System. The number of Market Making Central Gateway sessions that a Structured Product Liquidity Provider may be designated at any one time shall be determined by the Board from time to time. Unless otherwise determined by the Board, every Market Making Central Gateway session shall be subject to the Rules relating to "Central Gateway session" referred to in Rule 365(1) insofar as they are applicable.
- (6) A Structured Product Liquidity Provider shall use a Market Making Open Gateway, Market Making AMS Terminal or Market Making Central Gateway session to input Structured Product liquidity orders in accordance with the issuer's listing document relating to the relevant Structured Product and to report all transactions other than those concluded by automatic order matching with respect to the Structured Product concluded in its capacity as a Structured Product Liquidity Provider for the account of the issuer or its associates in such manner as the Board may from time to time determine. The Board may from time to time determine orders and/or activities a Structured Product Liquidity Provider may enter and/or carry out using a Market Making Open Gateway, Market Making AMS Terminal or Market Making Central Gateway session subject to such conditions and in such manner as the Board may from time to time determine.
- (8) A Structured Product Liquidity Provider shall be responsible and liable for the granting, monitoring and supervision of access to its Market Making Open Gateways and Market Making AMS Terminals and any Market Making Central Gateway sessions designated to it.
- (9) A Market Making Open Gateway or a Market Making Central Gateway session shall be assigned with a standard throttle rate, multiples of a standard throttle rate, a standard Central Gateway throttle or multiples of a standard Central Gateway throttle (as the case may be) as determined by the Board from time to time for use by the Structured Product Liquidity Provider for inputting Structured Product liquidity orders and reporting transactions in accordance with Regulation (6) of this Schedule, and/or for inputting other orders into the System and carrying out other activities as the Board may from time to time determine.

**SUSPENSION AND TERMINATION**

- (12) The Exchange has absolute discretion at any time to prohibit any Exchange Participant from being appointed or acting as a Structured Product Liquidity Provider and/or to suspend, withdraw or revoke a Structured Product Liquidity Provider's access to the System through any Market Making Open Gateway, Market Making AMS Terminal or Market Making Central Gateway session, on such terms and for such period as the Board shall think fit without giving any reason or notice and the decision of the Board shall be final and conclusive. Without prejudice to the aforesaid general power, the Exchange shall have the right to prohibit any Exchange Participant from being appointed and/or acting as a Structured Product Liquidity Provider and shall have the right to suspend, withdraw or revoke its access in the capacity as a Structured Product Liquidity Provider of any Market Making Open Gateway, Market Making AMS Terminal or Market Making Central Gateway session, to the System on such terms and for such period as the Board shall think fit if it fails to comply with these Regulations or if it has been suspended, expelled or for any reason ceases to be an Exchange Participant. The decision of the Board shall be final and conclusive. For the avoidance of doubt, the Exchange Participant shall remain liable for its failure to comply with these Regulations and for any monies due and payable under these Regulations as if its access in the capacity as a Structured Product Liquidity Provider has not been suspended, withdrawn or revoked.
- (13) Upon termination of the appointment of a Structured Product Liquidity Provider, the Exchange shall terminate the access to the System of all Market Making Open Gateways, Market Making AMS Terminals and Market Making Central Gateway sessions provided or designated to it in that capacity.

交易所規則

第一章

釋義

101. 在本規則中，除文意另有所指外：—

- 「後備中央交易網關會話」 指 按規則第 364AA 條，指定作為後備之用的中央交易網關會話；
- 「後備執行報告會話」 指 執行報告服務的後備連接；
- 「中央交易網關」 指 由交易所操作，提供系統與經紀自設系統，以及其它設備之通訊界面的硬件及軟件；
- 「中央交易網關訊息」 指 經紀自設系統及中央交易網關之間買賣盤或交易相關通訊的單一事例；
- 「中央交易網關會話」 指 一個中央交易網關的連接以作經紀自設系統和中央交易網關之間的通訊聯繫；
- 「中央交易網關過渡期」 指 交易所通知交易所參與者的一段時期；在此期間，開放式網間連接器及中央交易網關會話可用作系統與多工作站系統或經紀自設系統及其它設備(視乎情況而定)之間的通訊聯繫。在此期間之後，只可使用中央交易網關會話；
- 「執行報告服務」 指 交易所就交易所參與者已輸入記錄在系統的買賣盤及交易的實時報告服務；
- 「執行報告會話」 指 執行報告服務的通訊聯繫；
- 「莊家專用中央交易網關會話」 指 根據本規則，供下列一種或多種用途（視屬何種情況而定）的中央交易網關會話：
- (a) 作為證券莊家，該交易所參與者為一隻或多隻莊家證券進行莊家活動；
  - (b) 作為結構性產品流通量提供者，該交易所參與者為結構性產品進行提供流通量活動；
- 「標準中央交易網關節流率」 指 由董事會不時訂定，經配有一份聯交所交易權的中央交易網關會話傳輸往系統的劃一中央交易網關訊息通過量；
- 「備用終端機」 指 本交易所根據規則第 364A 或 364AA 條，於交易所參與者的後備業務中心或註冊營業地址裝置後備之用的自動對盤終端機；

### 第三章

#### 交易所參與者資格

##### 備用終端機及後備中央交易網關會話

- 364AA. (1) (a) 除交易所另行決定外，在規則第 364AA(2)條的規限下，交易所參與者在其經紀自設系統根據規則第 365(1)條所享有或根據規則第 364B 條或規則第 365C 條所申請之已連接中央交易網關會話以進入系統之後 (i) 就根據規則第 365(1)條每一份聯交所交易權分配到中央交易網關會話或規則第 364B 條或規則第 365C 條分配到中央交易網關的每一個標準中央交易網關節流率而言，可向交易所申請安裝備用終端機或 (ii) 後備中央交易網關會話作為該中央交易網關會話的後備，分配至其後備中央交易網關會話的聯交所交易權及標準中央交易網關節流率的數目必須等同分配至相關中央交易網關會話的數目。交易所參與者只可就每一個中央交易網關會話申請一個後備中央交易網關會話，不論分配至該中央交易網關會話的聯交所交易權及標準中央交易網關節流率的數目。
- (b) 在規則第 364AA(2)條的規限下，交易所參與者在其經紀自設系統已連接莊家專用中央交易網關會話以進入系統之後，就每一個標準中央交易網關節流率分配至莊家專用中央交易網關會話而言，可向交易所申請安裝備用終端機作為該莊家專用中央交易網關會話的後備，除本交易所另有決定外。交易所參與者亦可根據規則第 364AA(2)條，向交易所申請後備中央交易網關會話作為該莊家專用中央交易網關會話的後備。分配至其後備莊家專用中央交易網關會話的標準中央交易網關節流率的數目必須等同分配至相關莊家專用中央交易網關會話的數目。不論分配至莊家專用中央交易網關會話的標準中央交易網關節流率的數目，交易所參與者只可申請一個後備中央交易網關會話作為該莊家專用中央交易網關會話的後備。
- (2) 已安裝備用終端機或已連接後備中央交易網關會話的交易所參與者須遵從交易所不時的條款或條件，以及繳付由董事會不時訂定的費用。
- (3) 根據交易所規則第 364AA(1)條，安裝的備用終端機會處於「非交易」狀態，直至規則第 364AA(4)條的情況下，相關的交易所參與者要求交易所將其轉為「交易」狀態為止。
- (4) (a) 交易所參與者如欲在其根據規則第 365(1)條所享有或根據規則第 364B 條、第 365C 條或規則第 364AA 條（視屬何種情況而定）所申請之中央交易網關會話連接失靈時轉用其備用終端機，必須以交易所不時規定的形式及方式要求交易所截斷系統與該中央交易網關會話的連接，並把相應的備用終端機轉為「交易」狀態。
- (b) 交易所參與者如欲在其莊家專用中央交易網關會話連接失靈時轉用其備用終端機，必須以交易所不時規定的形式及方式要求交易所截斷系統與其莊家專用中央交易網關會話的連接，並把相應的備用終端機轉為「交易」狀態。
- (5) 儘管本文中另有相反規定，在交易所轉換一部備用終端機為「交易」狀態後，就本規則而言，已把該備用終端機當作附加自動對盤終端機或莊家專用自動對盤終端機（視屬何種情況而定），而相關的交易所參與者須根據本規則對附加自動對盤終端機或莊家專用自動對盤終端機（視屬何種情況而定）的規定來操作該備用終端機，直至交易所把它轉回「非交易」狀態。

- (5A) 儘管本文中另有相反規定，在交易所參與者轉換後備中央交易網關會話為「交易」狀態後，就本規則而言，已把該後備中央交易網關會話當作根據規則第 365(1)條所享有之中央交易網關會話或莊家專用中央交易網關會話（視屬何種情況而定），而相關的交易所參與者須根據本規則對根據規則第 365(1)條所享有之中央交易網關會話或莊家專用中央交易網關會話（視屬何種情況而定）的規定來操作該中央交易網關會話，直至交易所參與者把它轉回「非交易」狀態。
- (6) 交易所參與者如欲把其「交易」備用終端機轉回「非交易」狀態，及把相應之中央交易網關會話或莊家專用中央交易網關會話（視屬何種情況而定）與系統重新連接，必須：
- (a) 以交易所不時規定的形式及方式向交易所提出要求，把其「交易」備用終端機轉回「非交易」狀態，及把相應之中央交易網關會話或莊家專用中央交易網關會話（視屬何種情況而定）與系統重新連接；及
  - (b) 有關重新連接中央交易網關會話或莊家專用中央交易網關會話，按照規則第 365(10)向交易所提交聲明或聲明連報表。
- (7) 為免生疑問，在此規則第 364AA 條提及的「根據規則第 365(1)條所享有之中央交易網關會話」應包括根據規則第 364B(3)(c)條之新的中央交易網關會話及根據規則第 365C(2)條之新的中央交易網關會話。

## 交易設施

- 364B. (1) [已刪除]
- (1A) 若交易所參與者就其持有的任何聯交所交易權而獲得的席位享用權已按照規則第 305A 條自終止日期起終止及消失，而交易所參與者又沒有就其交出享用權在終止日期前成功申請證券交易臺或任何以下其中一項，交易所參與者仍可於終止日期或之後就該聯交所交易權向交易所申請下列任何一項但不包括證券交易臺：
- (a) 安裝附加自動對盤終端機；
  - (b) 遞加經該交易所參與者之開放式網間連接器傳輸往系統的買賣盤通過量；  
或
  - (c) 遞加經指定給該交易所參與者之中央交易網關會話傳輸往系統的中央交易網關訊息通過量。
- (1B) 在不損害規則第 365(1)條的權利下，交易所參與者可就每份由交易所在終止日期或之後向其賦予或發出的聯交所交易權，根據本規則第 364B(1B)條，在交易所通知交易所參與者的日期之前，向交易所申請下列任何一項：
- (a) 安裝附加自動對盤終端機；
  - (b) 遞加經該交易所參與者之開放式網間連接器傳輸往系統的買賣盤通過量；  
或
  - (c) 遞加經指定給該交易所參與者之中央交易網關會話傳輸往系統的中央交易網關訊息通過量。

- (1C) (b) 交易所可隨時於現行承諾使用期到期前向交易所參與者發出通告按指定時期及條款為承諾使用期續期。若交易所參與者未擬為其證券交易臺使用權續期，可於指定日期前向交易所申請下列任何一項：
- (i) 安裝附加自動對盤終端機；
  - (ii) 遞加經該交易所參與者之開放式網間連接器傳輸往系統的買賣盤通過量；或
  - (iii) 遞加經指定給該交易所參與者之中央交易網關會話傳輸往系統的中央交易網關訊息通過量。
- (3) (a) (i) 除董事會另有規定外，根據規則第 364B 條遞加經開放式網間連接器傳輸往系統的買賣盤通過量須等同標準節流率的四分之一。
- (ii) 除董事會另有規定外，根據規則第 364B 條遞加經中央交易網關會話傳輸往系統的中央交易網關訊息通過量須等同一個標準中央交易網關節流率。
- (c) 任何根據規則第 364B 條遞加的中央交易網關訊息通過量，須經交易所參與者現有的中央交易網關會話傳輸往系統。要是交易所參與者向交易所申請新的中央交易網關會話，除交易所另有規定外，遞加的通過量可應用於該新的中央交易網關會話。為免生疑問，除董事會另有規定外，新的中央交易網關會話申請若獲批准，便須完全符合所有適用於規則第 365(1)條所述「中央交易網關會話」的規定。
- (5) 在符合規則第 364B(2A)(a)條要求繳交提前終止費用的情況下(若適用)，交易所參與者可向交易所申請，將其根據規則第 364B 條所申請或獲得的附加自動對盤終端機改為遞加經其開放式網間連接器傳輸往系統的買賣盤通過量或經指定其中央交易網關會話傳輸往系統的中央交易網關訊息通過量，反之亦然。交易所參與者一概無權申請恢復任何席位。
365. (1) 交易所參與者在繳付由董事會不時訂定的費用後，可就其持有的每一份聯交所交易權，享有：
- (i) 一部附加自動對盤終端機；
  - (ii) 一部開放式網間連接器，若是在中央交易網關過渡期之前已取得交易所參與者資格；或
  - (iii) 一個中央交易網關會話。
- (4) (a) 交易所參與者可把一部開放式網間連接器與其經紀自設系統連接，或在繳付由董事會不時訂定的費用後，與交易所提供的多工作站系統連接。交易所參與者可把一部後備開放式網間連接器與其經紀自設系統連接作為後備之用，或在繳付由董事會不時訂定的費用後，與交易所提供的多工作站系統連接作為後備之用。
- (b) 交易所參與者可把一個指定其中央交易網關會話與其經紀自設系統連接及連接後備中央交易網關會話用作後備之用。



- (6) 交易所參與者須為授權、監察及管理有關接觸其開放式網間連接器、後備開放式網間連接器、經紀自設系統、多工作站系統、備用終端機、附加自動對盤終端機及任何指定其中央交易網關會話或後備中央交易網關會話單獨負上責任。
- (7) 交易所參與者必須確保只有交易所參與者及其授權人士（視乎情況而定）才可接觸及操作其開放式網間連接器、後備開放式網間連接器、多工作站系統、附加自動對盤終端機（包括已轉作「交易」狀態的備用終端機）及任何指定其中央交易網關會話或後備中央交易網關會話。

## 遞加中央交易網關會話通過量

- 365C.
- (1) 交易所參與者擁有中央交易網關會話，可向交易所申請遞加經中央交易網關會話傳輸往系統的中央交易網關訊息通過量。該申請須獲交易所批准。任何遞加的訊息通過量須為一個標準中央交易網關節流率或其倍數。
  - (2) 交易所參與者已經根據規則第 365C(1)或 365C(5)條申請或取得遞加訊息通過量使用權，可申請新的中央交易網關會話。至於新的中央交易網關會話的申請須獲交易所批准，而獲批准的申請須受董事會認為適當的條件及須繳付的費用所規限。在不損害上述原則下，除董事會另有規定外，新的中央交易網關會話申請若獲批准，便須完全符合所有適用於規則第 365(1)條所述「中央交易網關會話」的規定。
  - (3) 若交易所參與者根據規則第 365C(1)條提出的申請獲交易所批准，以及若交易所參與者根據規則第 365C(5)條取得遞加訊息通過量使用權，均須同樣遵守董事會不時訂明的條款及細則，以及繳付董事會不時釐定的費用。在不損害上述原則下，任何根據規則第 365C(1)條或根據規則第 365C(5) 條的轉移而遞加的訊息通過量，須經現有的中央交易網關會話或經根據規則第 365C(2)條之新的中央交易網關會話。除交易所另有規定外，必須有不少於一個標準中央交易網關節流率經（如有）新的中央交易網關會話。
  - (4) 為免生疑問，在此規則第 365C 條提及的中央交易網關會話將等同根據規則第 365(1)條所享有之中央交易網關會話或根據規則第 364B(3)(c)條之新的中央交易網關會話之定義。
  - (5) 交易所參與者根據規則第 365C(1)條獲批准之遞加訊息通過量使用權或根據規則第 365C(5)條取得的遞加訊息通過量使用權可作轉移，但須遵守交易所不時訂明的條款及細則，包括(但不限於)接受該轉移的交易所參與者公司必須是與有關交易所參與者屬同一公司集團的公司。交易所參與者若擬轉移遞加訊息通過量使用權，須向交易所申請；有關申請須經交易所批准，方可作實轉移。

## 第五章

### 交易

#### 交易運作規則

##### 報價

505. 規則第 506、506A、507 及 507A 條不適用於一般競價盤。或一般競價盤只可按規則第 501G 條在開市前時段輸入系統。限價盤、增強限價盤及特別限價盤只可在規則第 501(1)條規定的交易時間內輸入系統中，但延續交易證券的該類買賣盤亦可在延續早市輸入系統。為免生疑問，如買賣盤是透過交易所參與者的開放式網間連接器或交易所參與者的指定中央交易網關會話輸入系統，則在任何情況下根據本交易所規則，該買賣盤將被視為是在有關交易所參與者知悉的情況下，由交易所參與者輸入系統。

## 第七章

### 紀律

- 702 (14) 按董事會酌情認為適宜的該等條款及期間暫停、收回或撤銷證券莊家及/或結構性產品流通量提供者經莊家專用開放式網間連接器、莊家專用中央交易網關會話及/或莊家專用自動對盤終端機登入系統的權利。

## 第八章

### 繳付費用

- 802A. 在不限制上述規則第 801 條的一般性的情況下，董事會可就中央交易網關徵收以下費用：—

<u>收費類別</u>	<u>金額（港幣）</u>
(1) 根據規則第 365(1)、364B(3)(c)、365C(2)、364AA(1)(a)、364AA(1)(b) 條、附表十四規則第 15(b)條或附表十八規則第 5(b)條申請的每一個中央交易網關會話、莊家專用中央交易網關會話或後備中央交易網關會話行政費；	每個會話 20,000 元
(2) 依照規則第 365C(1)條申請遞加的中央交易網關的訊息通過量；	每個標準中央交易網關節流率 50,000 元
(3) 除了以上列明的任何一次性費用外，每月費用為：	

- (a) 根據分配的標準中央交易網關節流率數目而使用中央交易網關會話、莊家專用中央交易網關會話或後備中央交易網關會話，如下：
- |  |  |
|--|--|
| <p>(i) 低用量</p> <ul style="list-style-type: none"> <li>- 1 至 20 個標準中央交易網關節流率</li> </ul>   | <p>中央交易網關會話：第一個交易或後備會話為 2,000 元，之後每個額外會話為 7,500 元</p> <p>莊家專用中央交易網關會話：每個交易或後備會話為 7,500 元</p> |
| <p>(ii) 標準用量</p> <ul style="list-style-type: none"> <li>- 21 至 60 個標準中央交易網關節流率</li> </ul>  | <p>10,000 元</p>  |
| <p>(iii) 高用量</p> <ul style="list-style-type: none"> <li>- 61 至 100 個標準中央交易網關節流率</li> <li>- 101 至 150 個標準中央交易網關節流率</li> <li>- 151 至 200 個標準中央交易網關節流率</li> <li>- 201 至 250 個標準中央交易網關節流率</li> </ul> | <p>15,000 元</p> <p>20,000 元</p> <p>25,000 元</p> <p>30,000 元</p>                              |
| <p>(b) 分配到中央交易網關會話的聯交所交易權；</p>   | <p>每份分配的聯交所交易權 480 元</p>   |
| <p>(c) 根據規則第 364B 條遞加經現有中央交易網關會話傳輸往系統的訊息通過量；</p>   | <p>每個標準中央交易網關節流率 480 元</p>   |
| <p>(d) 根據規則第 364B(3)(c)條遞加新的中央交易網關會話遞加傳輸往系統的訊息通過量；</p>   | <p>每個標準中央交易網關節流率 480 元</p>   |
| <p>(e) 根據規則第 365C 條遞加經現有中央交易網關會話傳輸往系統的訊息通過量；</p>   | <p>每個標準中央交易網關節流率 960 元</p>   |
| <p>(f) 根據規則第 365C 條遞加新的中央交易網關會話傳輸往系統的訊息通過量；</p>  | <p>每個標準中央交易網關節流率 960 元</p>   |
| <p>(g) 分配到莊家專用後備中央交易網關會話的每個標準中央交易網關節流率；</p>  | <p>每個標準中央交易網關節流率 480 元</p>   |
| <p>(h) 執行報告會話或後備執行報告會話；</p>  | <p>除了第一個會話不收費外，每個會話 4,500 元</p>  |

附表十四  
證券莊家規例（下稱「本規例」）

莊家專用開放式網間連接器、莊家專用自動對盤終端機及莊家專用中央交易網關會話

- (15) (a) 證券莊家在繳付董事會不時訂定的費用後，可享有連接本身經紀自設系統或交易所提供的多工作站系統的莊家專用開放式網間連接器及/或莊家專用自動對盤終端機以登入系統。董事會可不時規定證券莊家在任何時候可安裝莊家專用開放式網間連接器及/或莊家專用自動對盤終端機的數目。除董事會另有規定外，否則在合適情況下，有關規則第 365(1)條所指的「開放式網間連接器」及「附加自動對盤終端機」的規則將同時適用於莊家專用開放式網間連接器及莊家專用自動對盤終端機；
- (b) 證券莊家在繳付董事會不時訂定的費用後，可享有連接本身經紀自設系統的莊家專用中央交易網關會話以登入系統。董事會可不時規定證券莊家在任何時候指定的莊家專用中央交易網關會話的數目。除董事會另有規定外，否則在合適情況下，有關規則第 365(1)條所指的「中央交易網關會話」的規則將同時適用於莊家專用中央交易網關會話。
- (16A) 證券莊家須為授權、監察及管理有關接觸其莊家專用開放式網間連接器、莊家專用自動對盤終端機及任何指定其莊家專用中央交易網關會話之事宜負上責任。
- (17) 證券莊家或任何其僱員或其代表人士均不可修改或嘗試修改任何莊家專用開放式網間連接器或莊家專用自動對盤終端機。
- (17A) 莊家專用開放式網間連接器或莊家專用中央交易網關會話會按董事會不時規定而獲分配一個標準節流率或其倍數、標準中央交易網關節流率或其倍數（視情況而定），供證券莊家把莊家盤及/或董事會不時指定的其它買賣盤輸入系統。
- (17B) 證券莊家須按董事會不時訂定的方式透過莊家專用開放式網間連接器、莊家專用自動對盤終端機或莊家專用中央交易網關會話把莊家盤輸入系統。董事會可不時規定證券莊家按照董事會不時指明的條件及方式，透過莊家專用網間連接器、莊家專用自動對盤終端機或莊家專用中央交易網關會話可輸入的買賣盤或進行的活動。
- (19A) 當證券莊家的證券莊家執照被暫停、收回、撤銷或交回，交易所須終止它經其莊家專用網間連接器及莊家專用自動對盤終端機及任何指定其莊家專用中央交易網關會話登入系統。
- (19B) 交易所有絕對酌情權按董事會認為適宜的條款及期間隨時暫停、收回或撤銷證券莊家透過任何莊家專用開放式網間連接器、莊家專用自動對盤終端機或莊家專用中央交易網關會話與系統聯通，而毋須給予任何理由或通知。董事會作出的決定為最終及具決定性的決定。在不影響此一般性權力下，倘證券莊家未能遵守本規例或它被暫停、開除，或由於任何其它原因，不再是交易所參與者，交易所有權按董事會認為適宜的條款及期間暫停、收回或撤銷它以證券莊家透過任何莊家專用開放式網間連接器、莊家專用自動對盤終端機或莊家專用中央交易網關會話與系統聯通。董事會作出的決定為最終及具決定性的決定。為免生疑問，交易所參與者仍須為未能遵守本規則負責，及仍須如其作為證券莊家的登入權並未被暫停、收回或撤銷般而根據本規則繳交到期應付的款項。

附表十八

結構性產品流通量提供者規例（下稱「本規例」）

結構性產品流通量提供者的交易設施

- (5) (a) 結構性產品流通量提供者在繳付董事會不時訂定的費用後，可享有一部連接本身經紀自設系統或交易所提供的多工作站系統的莊家專用開放式網間連接器及/或一部莊家專用自動對盤終端機以登入系統。董事會可不時規定結構性產品流通量提供者在任何時候可安裝莊家專用開放式網間連接器及/或莊家專用自動對盤終端機的數目。除董事會另有規定外，否則在合適情況下，有關規則第 365(1)條所指的「開放式網間連接器」及「附加自動對盤終端機」的規則將同時適用於莊家專用開放式網間連接器及莊家專用自動對盤終端機；
- (b) 結構性產品流通量提供者在繳付董事會不時訂定的費用後，可享有一部連接本身經紀自設系統的莊家專用中央交易網關會話以登入系統。董事會可不時規定結構性產品流通量提供者在任何時候指定的莊家專用中央交易網關會話的數目。除董事會另有規定外，否則在合適情況下，有關規則第 365(1)條所指的「中央交易網關會話」的規則將同時適用於莊家專用中央交易網關會話。
- (6) 結構性產品流通量提供者應使用莊家專用開放式網間連接器、莊家專用自動對盤終端機或莊家專用中央交易網關會話，按發行人在相關結構性產品的上市文件所述輸入結構性產品流通量買賣盤，及按董事會不時指定之方式申報所有以結構性產品流通量提供者身份為發行人的帳戶或它的聯號的帳戶達成的非自動對盤交易。董事會可不時規定結構性產品流通量提供者按照董事會不時指明的條件及方式，透過莊家專用開放式網間連接器、莊家專用自動對盤終端機或莊家專用中央交易網關會話可輸入的買賣盤及/或進行的活動。
- (8) 結構性產品流通量提供者須為授權、監察及管理有關接觸其莊家專用開放式網間連接器、莊家專用自動對盤終端機及任何指定其莊家專用中央交易網關會話之事宜負上責任。
- (9) 莊家專用開放式網間連接器或莊家專用中央交易網關會話會按董事會不時規定而獲分配一個標準節流率或其倍數、標準中央交易網關節流率或其倍數（視情況而定），供結構性產品流通量提供者根據本附表規例第(6)條輸入結構性產品流通量買賣盤及申報交易，及/或供輸入董事會不時指定的其它買賣盤及進行董事會不時指定的活動。

暫停及終止

- (12) 交易所所有絕對酌情權按董事會認為適宜的條款及期間隨時禁止任何交易所參與者被委聘為或擔任結構性產品流通量提供者及/或暫停、收回或撤銷結構性產品流通量提供者透過任何莊家專用開放式網間連接器、莊家專用自動對盤終端機或莊家專用中央交易網關會話與系統聯通，而毋須給予任何理由或通知。董事會作出的決定為最終及具決定性的決定。在不影響此一般性的權力下，倘交易所參與者未能遵守本規例或它被暫停、開除，或由於任何其他原因，不再是交易所參與者，交易所所有權禁止它被委聘為或擔任結構性產品流通量提供者及有權按董事會認為適宜的條款及期間暫停、收回或撤銷它以結構性產品流通量提供者身份透過莊家專用開放式網間連接器、莊家專用自動對盤終端機或莊家專用中央交易網關會話與系統聯通。董事會作出的決定為最終及具決定性的決定。為免生疑問，交易所參與者仍須為未能遵守本規則負責，及仍須如並未暫停、收回或撤銷其作為結構性產品流通量提供者的登入權般根據本規則繳交到期應付的款項。
- (13) 當結構性產品流通量提供者的委聘終止，交易所將終止其所有莊家專用開放式網間連接器、莊家專用自動對盤終端機及指定其莊家專用中央交易網關會話與系統的聯通。