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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)

通告 CIRCULAR

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 for the purpose of enabling the replacement of AMS terminals and the Multi-workstation System with New Securities Trading Devices for trading purposes.

The amendments, as set out in the Appendix, will come into effect on 10 November 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》中有關由新證券交易設施代替自動對盤系統終端機及多工作站系統進行交易之修訂。

載於附件之修訂由 2014年11月10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。

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CHAPTER 1

INTERPRETATION

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

“AMS terminal/MWS transitional period”	means a period, as may be notified by the Exchange to Exchange Participants by means of circular, during which the AMS terminal, MWS, BSS and NSTD could be used for trading purposes but after which only BSS and NSTD could be used;
“Central Gateway”	means a hardware and software component operated by the Exchange, which provides the communications interface between the System and BSS, NSTD or any other devices;
“Central Gateway message”	means a single instance of order or trade-related communication between a BSS or an NSTD and the Central Gateway;
“Central Gateway session”	means a connection to the Central Gateway for communication between a BSS or an NSTD and the Central Gateway;
“Central Gateway transitional period”	means a period which may be notified by the Exchange to Exchange Participants during which both the Open Gateway and the Central Gateway session could be used as a communications interface with the System but after which only the Central Gateway session could be used;
“Dealing Desk”	means a desk at the Trading Hall assigned, re-assigned, allocated or re-allocated from time to time by the Exchange to an Exchange Participant for trading purpose;
“NSTD”	means the New Securities Trading Device developed by a vendor appointed by the Exchange and operated by the Exchange Participant for trading purposes, and includes any server, terminal and other device connected to it;
“Open Gateway”	means a hardware and software component operated by the Exchange Participant, which provides the communications interface between the System and MWS, BSS or any other devices;
“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;

CHAPTER 3

EXCHANGE PARTICIPANTSHIP

Standby Terminal and Backup Open Gateway

- 364A. (1) (a) Subject to Rule 364A(2), an Exchange Participant which has connected an Open Gateway, as entitled under Rule 365(1) or applied for under Rule 364B or Rule 365B to its BSS or to a MWS provided by the Exchange for access to the System may, in respect of each Stock Exchange Trading Right or each standard throttle rate under Rule 364B or Rule 365B assigned to that Open Gateway, apply to the Exchange for a (i) a Backup Open Gateway assigned with a single Stock Exchange Trading Right or a single standard throttle rate (as the case may be) to be installed for backup of such Open Gateway unless otherwise determined by the Exchange, or (ii) if application is made prior to the commencement of the AMS terminal/MWS transitional period, a Standby Terminal. The number of Backup Open Gateways applied for by the Exchange Participant must not exceed the number of its Open Gateways connected to the System. For an Exchange Participant which has assigned multiple Stock Exchange Trading Rights and/or multiple standard throttle rates under Rule 364B and/or Rule 365B to its Open Gateway, the Exchange Participant may assign multiple Stock Exchange Trading Rights and/or multiple standard throttle rates to a Backup Open Gateway provided that the total number of Stock Exchange Trading Rights and standard throttle rates assigned to its Backup Open Gateway together with the number of Standby Terminals installed for backup of the Open Gateway must not exceed the total number of Stock Exchange Trading Rights and standard throttle rates under Rule 364B and Rule 365B assigned to that Open Gateway.
- (b) Subject to Rule 364A(2), an Exchange Participant which has connected a Market Making Open Gateway to its BSS or to an MWS provided by the Exchange for access to the System may, prior to the commencement of the AMS terminal/MWS transitional period, in respect of each standard throttle rate assigned to that Market Making Open Gateway, apply to the Exchange for a Standby Terminal to be installed for backup of such Market Making Open Gateway unless otherwise determined by the Exchange. Alternatively, the Exchange Participant may, subject to Rule 364A(2), apply to the Exchange for a Backup Open Gateway to be installed for backup of such a Market Making Open Gateway. For the avoidance of doubt, the Exchange Participant may only apply for one Backup Open Gateway in respect of a Market Making Open Gateway irrespective of the number of standard throttle rates assigned to that Market Making Open Gateway.
- (c) Subject to Rule 364A(2), an Exchange Participant which has installed an additional AMS terminal or Market Making AMS Terminal for access to the System may, prior to the commencement of the AMS terminal/MWS transitional period, apply to the Exchange for a Standby Terminal to be installed for backup of such additional AMS terminal or Market Making AMS Terminal (as the case may be).

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 or NSTD to a Central Gateway session, as 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 a Backup Central Gateway session for the backup of such 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 or NSTD to a Market Making Central Gateway session for access to the System 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 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) [Repealed]
- (4) [Repealed]
- (5) [Repealed]
- (6) [Repealed]
- (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. (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, provided that the application is made prior to the commencement of the AMS terminal/MWS transitional period;
- (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, provided that the application is made prior to the commencement of the AMS terminal/MWS transitional period;
- (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, provided that the application is made prior to commencement of the AMS terminal/MWS transitional period;
- (2A) (a) An Exchange Participant which has elected for an additional AMS terminal in the form of a second terminal under Rule 364B but terminates the use of the second terminal for any reason within 3 years from the date of installation shall be liable to pay to the Exchange an early termination charge determined by the Exchange, which shall be subject to a maximum of HK\$420 for each month or part thereof remaining in the 3-year period or, if the AMS terminal/MWS transitional period expires before the end of the 3-year period, in the AMS terminal/MWS transitional period.
- (5) Subject to payment of an early termination charge under Rule 364B(2A)(a) where applicable, an Exchange Participant may, prior to the expiry of the AMS terminal/MWS transitional period, 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, provided that the application for installation is made prior to the commencement of the AMS terminal/MWS transitional period;
- (1A) In the event that an Exchange Participant has installed an additional AMS terminal in the form of a second terminal but terminates its use for any reason within 3 years from the date of installation under Rule 365(1) or, if the additional AMS terminal is replaced from time to time, within 3 years from the date of any such replacement, it shall, unless the Exchange determines otherwise, be liable to pay to the Exchange an early termination charge determined by the Exchange, which shall be subject to a maximum of HK\$420 for each month or part thereof remaining in the 3-year period, or, if the AMS terminal/MWS transitional period expires before the end of the 3-year period, in the AMS terminal/MWS transitional period.
- (4) (a) An Exchange Participant may connect an Open Gateway to its BSS or, at any time prior to the expiry of the AMS terminal/MWS transitional period and 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 prior to the expiry of AMS terminal/MWS transitional period, 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 or NSTD to a Central Gateway session designated to it and, for backup purpose, a Backup Central Gateway session.
- (5) An Exchange Participant seeking to locate its Open Gateway, Backup Open Gateway, BSS, NSTD, MWS, Standby Terminal and additional AMS terminal in any address must:
- (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, NSTD, MWS, Standby Terminal and additional AMS terminal and any Central Gateway session or Backup Central Gateway session designated to it.
- (9) An Exchange Participant shall ensure its BSS or NSTD is operated in such a way as not to affect the proper functioning of the System.
- (11) An Exchange Participant using the MWS or NSTD shall submit a declaration to the Exchange in a form prescribed by the Exchange from time to time in relation to its MWS or NSTD prior to the connection or re-connection of its MWS or NSTD to the System.

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 provided that connection is to take place prior to the expiry of AMS terminal/MWS transitional period, to an 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 or NSTD 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.

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, provided that connection is to take place prior to the expiry of the AMS terminal/MWS transitional period, to an 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 or NSTD 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.

交易所規則

第一章

釋義

101. 在本規則中，除文意另有所指外：—

「自動對盤終端機/多工作站系統過渡期」	指	交易所透過通告通知交易所參與者的一段時期，在此期間，自動對盤終端機、多工作站系統、經紀自設系統及新證券交易設施可用作交易用途。在此期間之後，只可使用經紀自設系統及新證券交易設施；
「中央交易網關」	指	由交易所操作，提供系統與經紀自設系統、新證券交易設施或任何其它設備之通訊界面的硬件及軟件；
「中央交易網關訊息」	指	經紀自設系統或新證券交易設施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或新證券交易設施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均可用作與系統之間的通訊聯繫。在此期間之後，只可使用中央交易網關會話；
「證券交易臺」	指	由交易所不時分派、重新分派、分配或重新分配給交易所參與者作交易用途的櫃檯；
「新證券交易設施」	指	由交易所指定的供應商開發供交易用途及由交易所參與者操作的新證券交易設施，包括所有連接該系統的伺服器、終端機及其它設備；
「開放式網間連接器」	指	由交易所參與者操作，提供系統與多工作站系統、經紀自設系統或其它設備之通訊界面的硬件及軟件；
「備用終端機」	指	本交易所根據規則第 364A 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

備用終端機及後備開放式網間連接器

- 364A. (1) (a) 在規則第 364A(2)條的規限下，交易所參與者在其經紀自設系統或交易所提供的多工作站系統根據規則第 365(1)條所享有或根據規則第 364B 條或規則第 365B 條所申請之已連接開放式網間連接器以進入系統之後，就每一份聯交所交易權或根據規則第 364B 條或規則第 365B 條分配到開放式網間連接器的每一個標準節流率而言，除本交易所另有決定外，可向交易所申請安裝(i)獲分配單一聯交所交易權或單一標準節流率（視屬何種情況而定）的後備開放式網間連接器而作為該開放式網間連接器的後備，或(ii)備用終端機，若申請是在自動對盤終端機/多工作站系統過渡期生效前提交。交易所參與者申請後備開放式網間連接器的數目一定不可超過其開放式網間連接器連接系統的數目。而根據規則第 364B 條及/或規則第 365B 條將多份聯交所交易權及/或多個標準節流率分配至其開放式網間連接器的交易所參與者可分配多份聯交所交易權及/或多個標準節流率至其後備開放式網間連接器，但分配至其後備開放式網間連接器的聯交所交易權及標準節流率的總數及安裝備用終端機以作為開放式網間連接器後備之用的數目，一定不可超過根據規則第 364B 條及規則第 365B 條分配至其開放式網間連接器的聯交所交易權及標準節流率的總數。
- (b) 在規則第 364A(2)條的規限下，交易所參與者在其經紀自設系統或交易所提供的多工作站系統已連接莊家專用開放式網間連接器以進入系統之後，在自動對盤終端機/多工作站系統過渡期生效前，就每一個標準節流率分配至莊家專用開放式網間連接器而言，可向交易所申請安裝備用終端機作為該莊家專用開放式網間連接器的後備，除本交易所另有決定外。交易所參與者亦可根據規則第 364A(2)條，向交易所申請安裝後備開放式網間連接器作為該莊家專用開放式網間連接器的後備。為免生疑問，不論分配至莊家專用開放式網間連接器的標準節流率的數目，交易所參與者只可申請安裝一部後備開放式網間連接器作為該莊家專用開放式網間連接器的後備。
- (c) 根據規則第 364A(2)條，交易所參與者假若已安裝一部附加自動對盤終端機或莊家專用自動對盤終端機以進入系統，在自動對盤終端機/多工作站系統過渡期生效前，可向交易所申請安裝一部備用終端機作為該部附加自動對盤終端機或莊家專用自動對盤終端機的後備（視屬何種情況而定）。

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或新證券交易設施根據規則第 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可向交易所申請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或新證券交易設施已連接莊家專用中央交易網關會話以進入系統之後，交易所參與者可根據規則第 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) [已刪除]
- (4) [已刪除]
- (5) [已刪除]
- (6) [已刪除]

交易設施

- 364B. (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，惟有關申請是在自動對盤終端機/多工作站系統過渡期生效前提交；
- (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，惟有關申請是在自動對盤終端機/多工作站系統過渡期生效前提交；
- (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，惟有關申請是在自動對盤終端機/多工作站系統過渡期生效前提交；
- (2A) (a) 根據規則第 364B 條選擇以第二終端機形式增加自動對盤終端機的交易所參與者，若於裝置日期起計三年內不論因為任何原因而終止使用該第二終端機，該交易所參與者須負責繳付由交易所決定之提前終止費用；費用上限為該三年期內剩餘的每一個月(或不足一個月)港幣 420 元或剩餘的自動對盤終端機/多工作站系統過渡期，若自動對盤終端機/多工作站系統過渡期在三年期結束前到期。
- (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)，交易所參與者可在自動對盤終端機/多工作站系統過渡期結束前向交易所申請，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，惟有關申請是在自動對盤終端機/多工作站系統過渡期生效前提交；
- (1A) 倘若交易所參與者裝置了附加自動對盤終端機作為第二終端機，但是在規則第 365(1)條下之裝置日期起計三年內，或(假如該附加自動對盤終端機曾不時更換)於更換的日期起計三年內，不論因為任何原因而終止使用，除交易所另有規定外，該交易所參與者須負責繳付提前終止費用，金額由交易所決定，最高為該三年期內剩餘的每一個月(不足一個月亦作一個月計)港幣 420 元或剩餘的自動對盤終端機/多工作站系統過渡期，若自動對盤終端機/多工作站系統過渡期在三年期結束前到期。
- (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，或在自動對盤終端機/多工作站系統過渡期結束前的任何時間及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，或在自動對盤終端機/多工作站系統過渡期結束前及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或新證券交易設施連接及連接後備中央交易網關會話用作後備之用。
- (5) 交易所參與者申請在任何地址安裝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、新證券交易設施、多工作站系統、備用終端機及附加自動對盤終端機的時候必須：
- (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、新證券交易設施、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。
- (9) 交易所參與者須確保其經紀自設系統或新證券交易設施之運作不會影響系統的正常運作。
- (11) 採用多工作站系統或新證券交易設施的交易所參與者須在其多工作站系統或新證券交易設施連接或重新連接至系統之前，就其多工作站系統或新證券交易設施向交易所呈交聲明，其格式由本交易所不時予以指定。

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（惟有關連接須在自動對盤終端機/多工作站系統過渡期結束前建立）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或新證券交易設施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。

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（惟有關連接須在自動對盤終端機/多工作站系統過渡期結束前建立）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，可享有連接本身經紀自設系統或新證券交易設施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。