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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：

Subject:

CONFIRMATION OF READINESS AND RELATED UNDERTAKINGS FOR THE USE OF SHANGHAI-HONG KONG STOCK CONNECT BY AN EXCHANGE PARTICIPANT INTENDING TO BECOME A TRADE-THROUGH EXCHANGE PARTICIPANT

查詢：

Enquiry:

Participant General Enquiry Hotline (Tel : 2840 3626 E-mail : trd@hkex.com.hk)

Pursuant to Rules 590 of the Rules of the Exchange (“Rules”), Exchange Participants (“EPs”) who are not registered as China Connect EPs (“CCEPs”) but who intend to conduct trading in China Connect Securities through Shanghai-Hong Kong Stock Connect for the account of its clients through a CCEP should submit the “Confirmation of Readiness and Related Undertakings for the Use of Shanghai-Hong Kong Stock Connect by an Exchange Participant Intending to Become a Trade-through Exchange Participant” (“Confirmation and Undertaking”) to the Exchange.

Before completing the Confirmation and Undertaking, interested EPs should read all the documents posted on the HKEx website including the “Checklist for assessing readiness for trading in SSE Securities through China Connect Exchange Participant by Exchange Participant” and the Rules, in particular Rule 590, carefully. These documents and the Confirmation and Undertaking can be downloaded from the HKEx website at <http://www.hkex.com.hk/chinaconnect>.

A list of EPs who have submitted the Confirmation and Undertaking (i.e. Trade-through EPs) will be published on the HKEx website before the launch of Shanghai-Hong Kong Stock Connect and the list will be updated from time to time.

David Lo
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Global Markets Division

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