



*Reporting and disclosure requirements*

5. CFETS must inform the SFC of the following as soon as practicable after becoming aware of the same –

(1) any material change to information provided in connection with its ATS application,

(2) any material change to the status or access rights of any Access Platform providing

services to Hong Kong Residents under CIBM Direct

(3) any failures or defects arising in connection with the provision of trading services or facilities under CIBM Direct, and remedial steps taken, and

(4) any breach or potential breach of any of the conditions of CFETS's authorisation to