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**Information Package**  
**on**  
**Connectivity Session and Market Rehearsal**  
**for**  
**Northbound Investor ID Model**

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Version 1.0

July 2018

## Version History

Version No.	Issue Date	Particulars
1.0	11 July, 2018	First version released

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## 1 Introduction

### 1.1 Overview

Under the Northbound (NB) Investor ID model, China Connect Exchange Participants (CCEPs) and Trade-through Exchange Participants (TTEPs) are required to assign a unique number to each of their NB trading clients (i.e. a Broker-to-Client Assigned Number, or BCAN). Each BCAN should be mapped to the Client Identification Data (CID) of that particular client which includes the client's name, identity document issuing country, ID type and ID number. CCEPs and TTEPs are required to submit the BCAN-CID mappings of all their NB trading clients (i.e. "BCAN-CID Mapping File") to HKEX. If the BCAN-CID mapping of a client has not been received by HKEX at or before the prescribed cut-off time, or such mapping information has failed the relevant validation check on T-1 day, the corresponding client shall not be allowed to place NB orders on T day. "T day" and "T-1 day" refer to NB trading days under the current NB trading calendar.

CCEPs and TTEPs only need to submit BCAN-CID Mapping File when there are changes on the BCAN-CID Mapping File. However, a full list of all mappings is always required to be submitted even if only part of those have been changed.

On T day, CCEPs are required to tag the relevant BCAN to every NB order on a real-time basis, which will then be routed to Mainland exchanges.

Following the successful completion of the End-to-End Test (E2E Test), CCEPs and TTEPs are invited to participate in the following connectivity session and market rehearsal to ensure they can submit BCAN-CID Mapping File and tag BCAN to NB orders after the implementation of NB Investor ID Model.

Date	Time	Test	Objective
21 July 2018	09:00 – 14:00	Connectivity Session (CS)	CCEPs/TTEPs to test and ensure the setup from their side for connecting to secure file transfer protocol (SFTP) for BCAN-CID Mapping File and Authorised TTEP Firm List submission. Order tagging for BCAN will not be covered in this CS.
28 July 2018	09:00 – 17:00	Market Rehearsal (MR)	Validate CCEPs/TTEPs in production configuration to perform BCAN-CID Mapping File and Authorised TTEP Firm List submission, NB orders BCAN tagging and normal business transactions.

CS is optional for participation. **MR is mandatory for participation.** CCEPs/TTEPs must satisfactorily complete the MR to ensure they can submit BCAN-CID Mapping File, Authorised TTEP Firm List and tag BCAN to NB orders. CCEPs and TTEPs must pass the E2E test and MR to demonstrate their readiness to comply with the new arrangements in relation to the NB Investor ID model under the Rules of the Exchange. Failing which they will not be able to properly conduct NB trading activities in compliance with the Rules of the Exchange upon implementation of the NB Investor ID model. Those CCEPs and TTEPs who cannot pass the E2E test and MR before the implementation of the NB Investor ID model should make adequate disclosure with their clients and make all necessary arrangements with their clients as early as possible in order to ensure that

they act honestly, fairly, and in the best interests of their clients and the integrity of the market.

Data used for BCAN-CID Mapping File and Authorised TTEP Firm List submission are for testing purposes only. All data will be removed after the testing.

Subject to successful completion of the MR, CCEPs/TTEPs readiness and necessary regulatory approvals, HKEX will launch NB Investor ID Model in due course.

## **1.2 Market Data Arrangement for NB Investor ID Model MR**

CCEPs who have subscribed to any datafeed product on HKEX Orion Market Data Platform-China Connect (Securities) (OMD-CC) can have access to their subscribed OMD-CC feed during MR.

Some Information Vendors (IVs) and Application Service Providers (ASPs) may be able to redistribute OMD-CC data to their CCEP customers conducting MR in the same environment. CCEPs should check with their IVs and/or ASPs immediately for the required logistics or other necessary arrangement for if they plan to receive market data from them during the MR.

Real-time price data of NB test securities will also be available from the Market Data Portal after market open till market close during MR. URL of the portal is: <http://203.78.5.160/MDP>.

## 2 Schedule and Activities for NB Investor ID Model CS and MR

### 2.1 Tasks for CCEPs/TTEPs on CS and MR

CCEPs/TTEPs are required to complete the following tasks for the CS and MR:

Task	CCEPs/TTEPs Concerned	Deadline / Execution Date	Reference Documents
<b>SFTP Service Registration</b>			
1. Submit SFTP Service Registration Form, public key files and fingerprint files in zip format to HKEX	CCEPs/TTEPs	On or before 13 July 2018 (Friday)	<a href="#">SFTP Service Registration Form</a>
<b>Notification Form for SFTP Connectivity Session (CS) and Market Rehearsal (MR)</b>			
1. Submit notification form for (i). designation of contact person for the CS and MR (ii). (optional) participation of Post Test Verification Session after MR	CCEPs/TTEPs	On or before 16 July 2018 (Monday)	<a href="#">Appendix A – Notification Form</a>
<b>SFTP Connectivity Session (CS) (optional<sup>[1]</sup>)</b>			
1. Submit BCAN-CID Mapping File and/or Authorised TTEP Firm List	CCEPs/TTEPs	21 July 2018 (Saturday) 9:00am – 11:00am	<a href="#">Appendix B – Activity Rundown</a>
2. Verify BCAN-CID Validation Result File and BCAN Full Image File	Relevant CCEPs/TTEPs	21 July 2018 (Saturday) 1:30pm – 2:00pm	<a href="#">Appendix B – Activity Rundown</a>
<b>Market Rehearsal (MR) (mandatory)</b>			
1. Submit BCAN-CID Mapping File and/or Authorised TTEP Firm List	CCEPs/TTEPs	28 July 2018 (Saturday) 9:00am – 10:30am	<a href="#">Appendix C – Activity Rundown</a>
2. Verify BCAN-CID Validation Result File and BCAN Full Image File	CCEPs/TTEPs	28 July 2018 (Saturday) 1:00pm – 2:00pm	<a href="#">Appendix C – Activity Rundown</a>
3. Conduct tagging of BCAN for NB trading orders	CCEPs	28 July 2018 (Saturday) 4:00pm – 5:00pm	<a href="#">Appendix C – Activity Rundown</a>
4. Conduct Post Test Verification Session after MR (optional) <sup>[2]</sup>	CCEPs	28 July 2018 (Saturday) 8:00pm to 9:00pm	N/A
5. Return feedback form for MR	All CCEPs/TTEPs	On or before 30 July 2018 (Monday)	<a href="#">Appendix D – Feedback Form</a>

Note:

1. The “SFTP Connectivity Session” is offered for CCEPs/TTEPs to validate that their internal systems have properly setup and connected to SFTP for submission of BCAN files and order tagging for BCAN will not be covered in this connectivity session. Participation is optional and prior registration would NOT be required.
2. The “Post Test Verification Session after MR” is offered for CCEPs to validate their BSS have already reinstated for trading with CSC/CCCG properly on the following trading day. Participation is optional and prior registration would be required.

CCEPs/TTEPs must return the feedback form for the MR to HKEX on or before the following Monday after the MR.

## 2.2 CS Timetable

CCEPs/TTEPs are encouraged to take this opportunity to verify the readiness of their systems connectivity to SFTP to ensure that they could participate in subsequent MR smoothly. All BCANs that are successfully registered during CS will be carried forward to the MR on 28 July 2018.

CS Date: 21 July 2018

Time	Session	CCEPs/ TTEPs participation
9:00am – 11:00am	<ul style="list-style-type: none"> <li>• Submission of BCAN-CID Mapping File and Authorised TTEP Firm List</li> <li>• Retrieval of BCAN-CID Response File and Authorised TTEP Firm List Response File</li> </ul>	<ul style="list-style-type: none"> <li>• CCEPs and TTEPs</li> </ul>
1:30pm – 2:00pm	<ul style="list-style-type: none"> <li>• Retrieval of BCAN-CID Validation Result File and BCAN Full Image File</li> </ul>	<ul style="list-style-type: none"> <li>• CCEPs and TTEPs</li> </ul>

## 2.3 MR Timetable

MR aims to provide an opportunity to CCEPs/TTEPs to simulate their BCAN-CID Mapping File and Authorised TTEP Firm List submission via SFTP and tagging of BCAN for NB trading orders in trading environment. 9:00am - 2:00pm will simulate “T-1” day for BCAN-CID Mapping File and Authorised TTEP Firm List submission and retrieval of BCAN-CID Validation Result File and BCAN Full Image File. 4:00pm – 5:00pm will simulate “T” day for BCAN tagging. Details as below:

MR Date: 28 July 2018

Time	Session	CCEPs/ TTEPs participation
9:00am –	<ul style="list-style-type: none"> <li>• Submission of BCAN-CID Mapping File and</li> </ul>	<ul style="list-style-type: none"> <li>• CCEPs and</li> </ul>

10:30am	<p>Authorised TTEP Firm List</p> <ul style="list-style-type: none"> <li>Retrieval of BCAN-CID Response File and Authorised TTEP Firm List Response File</li> </ul>	TTEPs
1:00pm – 2:00pm	<ul style="list-style-type: none"> <li>Retrieval of BCAN-CID Validation Result File and BCAN Full Image File</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs and TTEPs</li> </ul>
4:00pm – 4:15pm	<ul style="list-style-type: none"> <li>Opening Call Auction (tagging BCAN to every Northbound orders)</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs</li> </ul>
4:15pm – 4:20pm	<ul style="list-style-type: none"> <li>5 minutes break before start of Morning Continuous Auction Session</li> </ul>	<ul style="list-style-type: none"> <li>Nil</li> </ul>
4:20pm – 4:30pm	<ul style="list-style-type: none"> <li>Morning Continuous Auction Session (tagging BCAN to every Northbound orders)</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs</li> </ul>
4:30pm – 4:35pm	<ul style="list-style-type: none"> <li>Mid-day Close</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs</li> </ul>
4:35pm – 4:57pm	<ul style="list-style-type: none"> <li>Afternoon Continuous Auction Session (tagging BCAN to every Northbound orders)</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs</li> </ul>
4:57pm – 5:00pm	<ul style="list-style-type: none"> <li>Afternoon Continuous Auction Session for Shanghai Market (tagging BCAN to every Northbound orders)</li> <li>Closing Auction Session for Shenzhen Market (tagging BCAN to every Northbound orders)</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs</li> </ul>
5:02pm	<ul style="list-style-type: none"> <li>Day Close</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs</li> </ul>
5:30pm – 6:00pm	<ul style="list-style-type: none"> <li>Download trade file via Electronic Communication Platform (ECP)</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs</li> </ul>
8:00pm – 9:00pm	<ul style="list-style-type: none"> <li>Post Test Verification Session after MR (optional and applicable for CCEP's participation with prior registrations)</li> </ul>	<ul style="list-style-type: none"> <li>CCEPs</li> </ul>



### 3 Guidelines for NB Investor ID Model CS and MR

CCEPs/TTEPs are requested to make note of the following important points when they take part in the CS and MR:

#### **Before CS and MR:**

- CCEPs/TTEPs should have successfully completed the E2E Test prior to their participation in the CS and MR.
- CCEPs/TTEPs are required to return the completed [SFTP Service Registration Form](#) to HKEX via ECP on or before **13 July 2018** for setting up a maximum of two SFTP user accounts.
  - To apply for SFTP user accounts, kindly submit a file using the file name BNnnnnn.zip and contain the below items:
    - (i). The completed “SFTP Service Registration Form”
    - (ii). Two Public Key Files namely “BNnnnnn001.pub” and “BNnnnnn002.pub” for respective SFTP user accounts; and
    - (iii). Two Public Key Fingerprint Files namely “BNnnnnn001.fpt” and “BNnnnnn002.fpt” for respective SFTP user accounts

Please do not attach Private Keys in BNnnnnn.zip to HKEX for registration. CCEPs/TTEPs shall keep Private Keys confidential to prevent unauthorized usage.

“nnnnn” is the Participant ID of the CCEP/TTEP.
  - The BNnnnnn.zip should be sent to HKEX for registration via ECP on or before 13 July 2018
- CCEPs and TTEPs are required to complete **Appendix A – Notification Form and return it to HKEX on or before 16 July 2018** to provide the designated contact person for CS and MR and confirm whether they will join Post Test Verification Sessions after MR.
- For participation of CS and MR, no prior registration is required.
- CCEPs must ensure that the correct configuration of BSS software (if needed) supporting BCAN is activated before connecting to CSC/CCCG for MR. In this case, after conducting MR, CCEPs must also ensure that appropriate BSS software (without BCAN) is reinstated in order to ensure no interruption to their trading activities on the following trading day.
- CCEPs are reminded to back up their BSS production database before the MR so that the database can be restored after the test to safeguard data integrity for the following trading day.

#### **Access to CS, MR and Post Test Verification Session:**

##### **SFTP Facility**

- CCEPs/TTEPs are required to logon to SFTP via the registered Public Keys for submission of BCAN-CID Mapping File and Authorised TTEP Firm List.

##### **CCCG**

- CCEPs are required to logon all CCCG (including Trading and Drop Copy sessions) by using the assigned Comp ID(s) and password “Ab123456” or production password as specified below or in respective activity rundown:

Test Sessions	Password
Market Rehearsal (MR)	"Ab123456"
Post Test Verification Session after MR	Production password

#### **During CS:**

- CCEPs and TTEPs are required to simulate real-life files submission activities by submitting BCAN-CID Mapping File and Authorised TTEP Firm List and also to verify the relevant response files, the BCAN Full Image File and BCAN-CID Validation Result File so as to ensure BCAN registration is successfully completed.
- Please note that BCAN-CID Mapping File/Authorized TTEP Firm List that have been submitted onto the SFTP facility cannot be renamed and only BCAN-CID Mapping File and Authorized TTEP Firm List that have been packaged with the zip utility, and have "zip" file extension will be accepted by SFTP.
- CCEPs should first submit Authorized TTEP Firm List files to facilitate their TTEPs to submit BCAN-CID Mapping File.
- **The total number of records in BCAN-CID Mapping File to be submitted by CCEPs/TTEPs must less than 200 records.**
- Order tagging for BCAN will not be covered in this connectivity session.

#### **After CS:**

- All BCANs that are successfully registered during CS will be carried forward to the MR on 28 July 2018. However, CCEPs/TTEPs are still required to submit Authorised TTEP Firm List and BCAN-CID Mapping File in MR for registration of new BCAN which is not submitted in CS.

#### **During MR:**

- All CCCG sessions and Drop-Copy sessions will be turned on by HKEX during MR.
- During morning session in MR, CCEPs and TTEPs are required to simulate real-life files submission activities by submitting BCAN-CID Mapping File and Authorised TTEP Firm List and also to verify the relevant response files, the BCAN Full Image File and BCAN-CID Validation Result File so as to ensure BCAN registration is successfully completed.
- Please note that BCAN-CID Mapping/Authorized Firm List files that have been submitted onto the SFTP facility cannot be renamed and only BCAN-CID Mapping and Authorized firm list files that have been packaged with the zip utility, and have "zip" file extension will be accepted by SFTP.
- **The total number of records in BCAN-CID Mapping File to be submitted by CCEPs/TTEPs must less than 200 records.**
- The stock database as at the market open on **30 July 2018** will be used for MR.
- During afternoon session in MR, CCEPs are required to simulate real-life life trading activities by inputting orders tagged with BCANs which are successfully registered in the morning session.
- CCEPs already rolled out pre-trade checking function for institutional investor ID (IIID), please use IIID that opened at or before 23 July 2018.

- CCEPs supported but not yet rolled out pre-trade checking function for IIID, dummy IIID will be separately issued to the relevant CCEPs.

**After CS and MR:**

- Upon completion of MR, CCEPs are reminded to log off and terminate all CCG sessions, then perform end-of-day procedures and clean up the transaction data (e.g. orders and trades) entered during the test from BSS (if applicable).
- After the MR, CCEPs are also reminded to clean up the next day requests for testing, if any, to ensure that these testing orders will not be carried forward to the production on the following trading day.
- **SFTP user accounts and public keys submitted for CS and MR will be carried forward to the production environment when the BCAN-CID file submission service launches later. Should CCEPs and TTEPs wish to renew their public keys, please repeat the key registration process.**

## 4 Typhoon and/ or Rainstorm Arrangements

When Tropical Storm Warning Signal No. 8 (or above) or the Black Rainstorm Warning Signal is hoisted, the following arrangements will apply:

Condition	Arrangement
If either of the warnings is hoisted or to be in force <b>anytime from 7:00am to 9:00am</b>	The scheduled activity of the day will be cancelled and will not be resumed for the rest of the day.
If Tropical Storm Warning Signal No. 8 or above is hoisted <b>after 9:00am</b>	The scheduled activity of the day will be terminated 15 minutes thereafter.
If Black Rainstorm Warning is issued after 9:00am	All scheduled activity will continue until completion.

**Note:**

In any case, all participating CCEPs/TTEPs should complete the appropriate day-end work including file/ database backup and restoration, system restoration/ fallback and so on to ensure there will be no interruption on the next trading day.

## 5 Support Hotline

Should CCEPs/TTEPs have any questions about NB Investor ID Model, CS and MR, please contact the following Support Hotlines:

	Telephone Number	Email Address
For BSS Support	2840 3351	<a href="mailto:bsssupport@hkex.com.hk">bsssupport@hkex.com.hk</a>
For General Enquiry	2840 3626	<a href="mailto:trd@hkex.com.hk">trd@hkex.com.hk</a>
For OMD-CC Enquiry	2211 6558	<a href="mailto:IVSupport@hkex.com.hk">IVSupport@hkex.com.hk</a>

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## Appendices

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## Appendix A – Notification Form for Northbound Investor ID Model Connectivity Session (CS) and Market Rehearsal (MR)

<p><b>Explanatory Notes :</b></p> <ol style="list-style-type: none"> <li>1. Please complete this Form and return to HKEX – Cash Trading by fax at 2521-7899 or by email to <a href="mailto:OTPC@hkex.com.hk">OTPC@hkex.com.hk</a> on or before <b>16 July 2018</b>.</li> <li>2. Upon receipt of the Form, HKEX will send an email confirmation to the email address of the contact person provided below prior to MR.</li> <li>3. In case unexpected emergency situation happen during CS and/or MR, HKEX's announcement will be sent to the below designated contact person's email address.</li> </ol>
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<b>Exchange Participant Information</b> (Applicable to both CCEP and TTEP)			
Name of Exchange Participant		Participant ID	Registration Category <input type="checkbox"/> CCEP <input type="checkbox"/> TTEP
Primary Contact Person	Office Phone No.	Mobile Phone No.	Email Address
Secondary Contact Person	Office Phone No.	Mobile Phone No.	Email Address

<b>China Connect Exchange Participant Confirmation for Participation</b> (Applicable to CCEP only)	
<b>Participation in Northbound Investor ID Model MR Post Test Verification Session on 28 July 2018 (from 8:00pm to 9:00pm)</b> (Applicable to CCEP only)	
<input type="checkbox"/>	We confirm to participate in Post Test Verification Session and make use of this session to ensure proper fallback of our system for CSC/CCCG production trading on the following Monday and request HKEX to turn on all our CCCG/BSS and Drop-Copy session (production only)
<input type="checkbox"/>	We confirm NOT to participate in Post Test Verification Session.

**By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in Appendix F of this Information Package.**

Signature of Responsible Officer with Company Chop : \_\_\_\_\_ Date : \_\_\_\_\_

Name of Responsible Officer : \_\_\_\_\_

## Appendix B – Activity Rundown for NB Investor ID Model CS on 21 July 2018

Time	Activities
<b>By 13 July 2018 (Friday)</b>	
Before 6:00pm	<input type="checkbox"/> Submit SFTP Service Registration Form, public key files and fingerprint files in zip format to HKEX for creation of a maximum of two SFTP accounts.
<b>21 July 2018 (Saturday)</b>	
<b>Submission of BCAN-CID Mapping File and Authorised TTEP Firm List</b>	
9:00am – 11:00am	<p><b><u>Logon to SFTP Facility</u></b></p> <input type="checkbox"/> Connect to the SFTP Facility by using the SFTP user accounts setup previously with HKEX <input type="checkbox"/> The private key which its corresponding public key has been registered with HKEX should be used to logon the SFTP facility
	<p><b><u>For CCEPs/TTEPs</u></b></p> <input type="checkbox"/> Submit BCAN-CID Mapping File, a corresponding BCAN-CID Response File will be returned in a few minutes after submission <input type="checkbox"/> The total number of records in BCAN-CID Mapping File to be submitted by CCEPs/TTEPs must less than 200 records <input type="checkbox"/> Check the BCAN-CID Response File to ensure the accuracy of the submitted BCAN-CID Mapping File
	<p><b><u>For CCEPs who have TTEPs</u></b></p> <input type="checkbox"/> Submit Authorised TTEP Firm List, a corresponding Authorised TTEP Firm List Response File will be returned in a few minutes after submission <input type="checkbox"/> Check the Authorised TTEP Firm List Response File to ensure the accuracy of the submitted Authorised TTEP Firm List <input type="checkbox"/> CCEPs are advised to submit the Authorised TTEP Firm List as soon as possible, i.e. before 9:30am, so that their TTEPs can submit BCAN-CID Mapping File.
<b>Retrieval of BCAN-CID Validation Result File and BCAN Full Image File</b>	
1:30pm – 2:00pm	<p><b><u>For CCEPs/TTEPs</u></b></p> <input type="checkbox"/> Retrieve and verify the BCAN-CID Validation Result File and BCAN Full Image File



## Appendix C – Activity Rundown for NB Investor ID Model MR on 28 July 2018

Time	Activities
<b>By 13 July 2018 (Friday)</b>	
Before 6:00pm	<input type="checkbox"/> Submit SFTP Service Registration Form, public key files and fingerprint files in zip format to HKEX for creation of a maximum of two SFTP accounts.
<b>27 July 2018 (Friday) – After Market Close</b>	
After 5:00pm	<input type="checkbox"/> For all CCCG/BSS sessions, ensure change, if any, to network configuration is properly completed <input type="checkbox"/> Ensure all CCCG/BSS components are powered on after trading hours <input type="checkbox"/> Ensure the production database of in-house / back-office systems are properly backed-up For all existing production BSS, please do not input any next day requests after trading hours on Friday (i.e., requests intended for submission to CSC/CCCG on the following trading day, since next day requests will be submitted to CSC/CCCG during the MR and will not be available on the following trading day).
<b>28 July 2018 (Saturday)</b>	
<b>Submission of BCAN-CID Mapping File and Authorised TTEP Firm List</b>	
9:00am – 10:30am	<p><b><u>Logon to SFTP Facility</u></b></p> <input type="checkbox"/> Connect to the SFTP Facility by using the SFTP user accounts setup previously with HKEX <input type="checkbox"/> The private key which its corresponding public key has been registered with HKEX should be used to logon the SFTP facility
	<p><b><u>For CCEPs/TTEPs</u></b></p> <input type="checkbox"/> Submit BCAN-CID Mapping File, a corresponding BCAN-CID Response File will be returned within a few minutes after submission <input type="checkbox"/> The total number of records in BCAN-CID Mapping File to be submitted by CCEPs/TTEPs must less than 200 records <input type="checkbox"/> Check the BCAN-CID Response File to ensure the accuracy of the submitted BCAN-CID Mapping File
	<p><b><u>For CCEPs who have TTEPs</u></b></p> <input type="checkbox"/> Submit Authorised TTEP Firm List, a corresponding Authorised TTEP Firm List Response File will be returned within a few minutes after submission <input type="checkbox"/> Check the Authorised TTEP Firm List Response File to ensure the accuracy of the submitted Authorised TTEP Firm List <input type="checkbox"/> CCEPs are advised to submit the Authorised TTEP Firm List as soon as possible, e.g. before 9:30am, so that their TTEPs can submit BCAN-CID Mapping File.
<b>Retrieval of BCAN-CID Validation Result File and BCAN Full Image File</b>	
1:00pm – 2:00pm	<p><b><u>For CCEPs/TTEPs</u></b></p> <input type="checkbox"/> Retrieve and verify the BCAN-CID Validation Result File and BCAN Full Image File

Time	Activities
	<input type="checkbox"/> Only the successfully registered BCANs shown in the BCAN Full Image File can be used for tagging in the afternoon session
<b>Ready for Market Open</b>	
Before 4:00pm	<p><b><u>Logon to CSC Host</u></b></p> <p>For <b>CCCG and China Connect Drop-Copy Sessions</b> :</p> <input type="checkbox"/> Connect to ALL applied CCCG and China Connect Drop-Copy Sessions, logon ALL the applied sessions by using the assigned Comp ID and testing password " <b>Ab123456</b> ".
<b>Opening Call Auction</b>	
4:00pm – 4:15pm	<input type="checkbox"/> The opening call auction session of SSE/SZSE will run from 4:05pm – 4:15pm <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) <input type="checkbox"/> Tag BCAN to each of the orders <input type="checkbox"/> Take note of the saleable quantities of eligible stocks on hand with reference to <b>Appendix E</b>  Note: CSC will start to accept China Connect orders from 4:00pm. However, these orders will only be processed according to the timetable of SSE/SZSE.
<b>Morning Continuous Auction Session</b>	
4:20pm – 4:30pm	<input type="checkbox"/> The continuous auction session of SSE/SZSE will run from 4:20pm – 4:30pm <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) <input type="checkbox"/> Tag BCAN to each of the orders <input type="checkbox"/> Take note the saleable quantities of eligible stock on hand
<b>Exchange Intervention</b>	<b>4:30pm – 4:31pm</b>
<b>Close</b>	<b>4:32pm</b>
<b>Afternoon Continuous Auction Session</b>	
4:35pm – 5:00pm	<p><b><u>SSE:</u></b></p> <input type="checkbox"/> The continuous auction session of SSE will run from 4:35pm – 5:00pm  <p><b><u>SZSE:</u></b></p> <input type="checkbox"/> The continuous auction session of SZSE will run from 4:35pm – 4:57pm <input type="checkbox"/> Closing Call Auction will run from 4:57pm – 5:00pm  <p><b><u>SSE/SZSE:</u></b></p> <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) <input type="checkbox"/> Tag BCAN to each of the orders <input type="checkbox"/> Take note the saleable quantities of eligible stock on hand

Time	Activities
	Note: CSC will start accept China Connect orders from 4:34pm to 5:00pm. However, these orders will only be processed according to the timetable of SSE/ SZSE.
<b>Exchange Intervention</b>	<b>5:01pm</b>
<b>Day Close</b>	<b>5:02pm</b>
5:02pm – 5:30pm	For CCCG and China Connect Drop-Copy Sessions : <input type="checkbox"/> Logout and terminate CCCG and China Connect Drop-Copy sessions <input type="checkbox"/> Perform end-of-trading procedures, if any, to ensure database integrity <input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable)
<b>Download Day-end Trade File</b>	
5:30pm – 6:00pm	Download the following file by using production user ID with “TO” user group (i.e. user ID of MXXXXXTOXXX) and production password through ECP <input type="checkbox"/> Trade file for SSE/SZSE (from 5:30pm) and check the accuracy of trade details
<b>Post Test Verification Session after MR – fallback to CSC/CCCG without BCAN (optional and applicable to CCEPs with prior registration)</b>	
8:00pm – 9:00pm	<b>Note :</b> <b><i>Only CCEPs who have indicated their participation in the notification form given in Appendix A will have ALL of their enrolled production CCCG sessions enabled to participate in the Post Test Verification Session.</i></b>  <b><u>Logon to CSC Host</u></b> <input type="checkbox"/> Connect to CCCG for all CCCG sessions (including Trading and Drop Copy sessions).  <b><u>After completion of post-test verification</u></b> <input type="checkbox"/> Logout and terminate CCCG and China Connect Drop-Copy sessions <input type="checkbox"/> Perform end-of-trading procedures, if any, to ensure database integrity <input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable).  Note: 1. Logon using the assigned Comp ID(s) and <b>Production password</b> for all CCCG sessions (including Trading and Drop Copy sessions). 2. CSC will start accept China Connect orders from 8:00pm to 9:00pm.
<b>Complete and Return Feedback Form</b>	
Before 6:00pm, 30 July 2018	<input type="checkbox"/> Complete and return the Feedback Form ( <b>Appendix D</b> ) to HKEX by fax (Fax No.: 2521-7899 or 2868-5223) or by email to <a href="mailto:OTPC@hkex.com.hk">OTPC@hkex.com.hk</a> .

**Appendix D – Feedback Form for Northbound Investor ID Model MR on 28 July 2018**

**Notes :**

1. Please complete Sections I to III of this form.
2. **Upon completion, please return the form to HKEX by Fax (fax nos.: 2521-7899 or 2868-5223) or by Email to [OTPC@hkex.com.hk](mailto:OTPC@hkex.com.hk) on or before 30 July 2018**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626

**Section I Participant Information**

Name of Exchange Participant		Participant ID	Registration Category <input type="checkbox"/> CCEP / <input type="checkbox"/> TTEP
Contact Person	Phone No.	Email Address	

**Section II Participant Feedback** (please tick the appropriate boxes)

**Applicable to both CCEP and TTEP**

1. Did your SFTP connection encounter any unresolved connectivity or log on issues during the market rehearsal?  
 No  
 Yes, please specify : \_\_\_\_\_
2. Did you experience any issue in submitting and receiving BCAN files via SFTP during market rehearsal?  
 No  
 Yes, please provide relevant details for analysis by HKEX : \_\_\_\_\_

**Applicable to CCEP only**

3. Did your CCCG trading session(s) encounter any unresolved connectivity or log on issues during the market rehearsal?  
 No  
 Yes, please specify : \_\_\_\_\_
4. Did your trading session(s) experience any issue in relation to tagging northbound trading orders with the corresponding BCANs during the market rehearsal?  
 No  
 Yes, please specify : \_\_\_\_\_
5. Did your China Connect Drop-Copy session(s) encounter any unresolved connectivity or logon issues during the market rehearsal?  
 Not applicable  
 No  
 Yes, please specify : \_\_\_\_\_
6. If you have further comments about the market rehearsal, please specify below:  
 \_\_\_\_\_  
 \_\_\_\_\_

**Section III Participant Confirmation** *(Applicable to both CCEP and TTEP, please tick the appropriate boxes)*

We have successfully completed the market rehearsal on \_\_\_\_\_ (date) in accordance with the activity rundown. We hereby confirm that we are ready for the implementation of Northbound Investor ID Model.

We have encountered the problem(s) below during the market rehearsal(s). (Please specify the system(s) involved and rectification work to fix the problem(s) below.)

\_\_\_\_\_  
\_\_\_\_\_

***By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in Appendix F of this Information Package.***

Signature of Responsible Officer  
with Company Chop : \_\_\_\_\_ Date : \_\_\_\_\_

Name of Responsible Officer : \_\_\_\_\_

## Appendix E – Stock Balances on MR

### Pre-set Stock Balances for Northbound Trading

For each CCEP and each Institutional Investor (II) ID allocated to CCEP will have the maximum sellable quantity 5,000 for the following stocks during the MR.

For each Short Selling Security in the MR, the maximum number of shares available for short selling is 5,000.

SSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
600019	90019	BAOSHAN IRON & STEEL	Yes	5,000
600028	90028	CHINA PETROLEUM AND CHEMICAL	Yes	5,000
600276	90276	JIANGSU HENGRUI MEDICINE	Yes	5,000
600887	90887	INNER MONGOLIA YILI INDUSTRIAL	Yes	5,000
600900	90900	CHINA YANGTZE POWER	Yes	5,000
601288	91288	AGRICULTURAL BANK OF CHINA	Yes	5,000
601318	91318	PING AN INSURANCE	Yes	5,000
601398	91398	INDUSTRIAL AND COMMERCIAL BANK OF CHINA	Yes	5,000
603077	93077	SICHUAN HEBANG BIOTECHNOLOGY	No	5,000
603288	93288	FOSHAN HAITIAN FLAVOURING AND FOOD	No	5,000
SZSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
000001	70001	PING AN BANK	Yes	5,000
000333	70333	MIDEA GROUP	Yes	5,000
000425	70425	XCMG CONSTRUCTION MACHINERY	Yes	5,000
000651	70651	GREE ELECTRIC APPLIANCES INC OF ZHUHAI	Yes	5,000
000725	70725	BOE TECHNOLOGY GROUP	Yes	5,000
000858	70858	WULIANGYE YIBIN	Yes	5,000
000898	70898	ANGANG STEEL	Yes	5,000
002027	72027	FOCUS MEDIA INFORMATION TECHNOLOGY	Yes	5,000
002670	72670	GUOSHENG FINANCIAL HOLDING	No	5,000
300136	77136	SHENZHEN SUNWAY COMMUNICATION	No	5,000

## Appendix F – Privacy Policy Statement

### Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

#### Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

#### Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

#### Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

#### Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

#### Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

### How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

**Session Cookies:** temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

**Persistent Cookies:** cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

#### Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

#### Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

#### Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("Privacy Commissioner") which may be found on the official website of the Office of the Privacy Commissioner or via this link

<https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

#### Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

#### General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

#### Contact us

By Post:  
Personal Data Privacy Officer  
Hong Kong Exchanges and Clearing Limited  
12/F., One International Finance Centre  
1 Harbour View Street  
Central  
Hong Kong

By Email:  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)