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**Information Package  
on  
The Third Market Rehearsal (MR3)  
for  
Orion Trading Platform – Securities Market  
(OTP-C)**

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Version 1.0

November 2017

## Version History

Version No.	Issue Date	Particulars
1.0	29 <sup>th</sup> November , 2017	First version of OTP-C Information Package on the Third Market Rehearsal

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# 1 Introduction

## 1.1 Overview

Following the successful completion of the Connectivity Session and the two mandatory Market Rehearsals (MRs), to ensure a smooth rollout of OTP-C for replacement of the current Automatic Order Matching and Execution System (AMS/3.8), an additional third Market Rehearsal (MR3) will be arranged. **MR3 is mandatory for the few Exchange Participants (EPs) who did not successfully complete the previous MRs** while it is optional for other EPs.

## 1.2 Market Data Arrangement for OTP-C MR3

EPs who have subscribed to any datafeed product on HKEX Orion Market Data Platform for Securities Market (OMD-C) can have access to their subscribed OMD-C feed during MR3.

Some Information Vendors (IVs) and Application Service Providers (ASPs) may be able to redistribute OMD-C data to their EP customers conducting MR3 in the same environment. EPs can check with their IVs and/or ASPs for such capability, and if so the EP should arrange with their IV or ASP immediately for the logistics and other necessary arrangement if they plan to receive market data from them during MR3.

In addition, EPs are reminded that the multicast channels for the real-time dissemination and refresh snapshot service of the OMD-C message Security Status (21) will be changed upon the launch of OTP-C. Direct connection OMD-C clients ("Clients") will experience this change during MR3. Although it is expected that this change would be transparent to most Clients, they should nonetheless ensure their OMD-C applications can still function normally during MR3. Please refer to the updated [OMD-C Connectivity Guide version 2.0](#) for the change details.

Should there be any system changes due to the above change of multicast channel assignment, Clients should reverse the change after MR3 to ensure their OMD-C application will function normally on the following trading day.

## 2 Schedule for OTP-C MR3

A compressed full-day trading session will be arranged for the MR3 as below:

Time	Session
11:00am – 11:30am	<ul style="list-style-type: none"> <li>Pre-opening Session</li> </ul>
11:30am – 12:15pm	<ul style="list-style-type: none"> <li>Morning Continuous Trading Session (including a 5-minute Volume Test session for EPs to input order at their maximum speed starting from 12:00pm and HKEX will generate a high number of orders on HKEX reserved range stocks 6400-6499 during this session. Market data on these reserved stocks will not be disseminated through OMD-C in all perspectives.)</li> <li>VCM will be enabled from 11:45am to 12:15pm for VCM stocks</li> </ul>
12:15pm – 12:30pm	<ul style="list-style-type: none"> <li>Mid-Day Close / Extended Morning Session</li> </ul>
12:25pm – 12:30pm	<ul style="list-style-type: none"> <li>Order Cancellation Period</li> </ul>
12:30pm – 1:20pm	<ul style="list-style-type: none"> <li>Afternoon Continuous Trading Session (including a 5-minute Volume Test session for EPs to input order at their maximum speed starting from 1:00pm and HKEX will generate a high number of orders on HKEX reserved stocks 6400-6499 during this session. Market data on these reserved stocks will not be disseminated through OMD-C in all perspectives.)</li> <li>VCM will be enabled from 12:45pm to 1:00pm for VCM stocks</li> </ul>
1:20pm – 1:30pm	<ul style="list-style-type: none"> <li>Closing Auction Session</li> </ul>
Upon completion of CAS Matching	<ul style="list-style-type: none"> <li>Day Close</li> </ul>
1:50pm – 2:15pm	<ul style="list-style-type: none"> <li>Download closing price file (include reserved stocks 6400 – 6499) and trade file via ECP</li> </ul>
9:00pm – 10:00pm	<ul style="list-style-type: none"> <li>Post Test Verification Session after MR3 (optional and applicable for EP's participation with prior registrations)</li> <li>Only Continuous Trading Session will be available and VCM will NOT be enabled</li> </ul>

Note:

The "Post Test Verification Session after MR3" is offered for EPs to validate that their Broker Supplied System (BSS)/ New Securities Trading Device (NSTD) have already reinstated for trading with AMS/3.8 properly on the following trading day. Participation is optional and prior registration would be required.

### 3 Guidelines for OTP-C MR3

EPs are requested to make note of the following important points when they take part in MR3:

#### Before MR3:

- EPs who have successfully completed the previous MRs and who would like to participate in MR3, they are required to complete **Appendix A – Enrollment Form and return it to HKEX on or before 4 December 2017.**
- EPs who did not successfully complete the previous MRs are not required to submit enrollment form to HKEX as they are mandatory to participate in MR3. However, EPs who would like to participate in Post Test Verification Session are required to complete **Appendix A – Enrollment Form and return it to HKEX on or before 4 December 2017.**
- If EPs wish to turn on OCG/NSTD during MR3 and Post Test Verification Session, they are required to separately inform ET Trade Limited at 2880-8601 to make pre-arrangement and a fee will be chargeable by ET Trade Limited.
- BSS EPs must ensure that the correct configuration (if needed) of BSS software supporting OTP-C is activated before connecting to OTP-C. In this case, after conducting MR3, BSS EPs must also ensure that BSS software is reinstated for AMS/3.8 to ensure no interruption to their trading activities on the following trading day.
- BSS EPs are reminded to back up their BSS production database before MR3 so that the database can be restored after the test to safeguard data integrity for the following trading day. If the BSS will not participate in MR3, it should be disconnected from OCG and OMD-C before MR3.

#### Access to MR3 and Post Test Verification Session:

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

Test Sessions	Password
3 <sup>rd</sup> Market Rehearsal (MR3)	“Ab123456”
Post Test Verification Session after MR3	Production password

#### During MR3:

- The stock database as at the market open on **6 November 2017** plus test securities and HKEX reserved range of stocks will be used during MR3. Such information has been available on HKEX website under OTP-C Web Corner at <https://www.hkex.com.hk/otpc> before MR3.
- EPs are required to submit orders/ trades to simulate real-life trading activities. In the Volume Test sessions, EPs should base on their maximum entitled throughput capacity of each OCG session to submit orders aside from the HKEX reserved stocks 6400-6499 to check if they would encounter any performance issue or response time issue.
- Market data on the HKEX reserved stocks will not be disseminated through OMD-C in all perspectives.

After MR3:

- Upon completion of test, EPs are reminded to log off and terminate all OCG 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 testing, EPs 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.
- **EPs who are mandatory to participate in MR3 are required to return the completed feedback form (Appendix C) on or before 11 December 2017.**

## 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 11:00am</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 11:00am</b>	The scheduled activity of the day will be terminated 15 minutes thereafter.
If Black Rainstorm Warning is issued after 11:00am	All scheduled activity will continue until completion.

Note:

In any case, all participating EPs 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 EPs have any questions about OTP-C MR3, please contact the following Support Hotlines:

	Telephone Number	Email Address
<b>For BSS Support</b>	2840 3351	<a href="mailto:bsssupport@hkex.com.hk">bsssupport@hkex.com.hk</a>
<b>For General Enquiry</b>	2840 3626	<a href="mailto:otpc@hkex.com.hk">otpc@hkex.com.hk</a>
<b>For OMD-C Enquiry</b>	2211 6558	<a href="mailto:IVSupport@hkex.com.hk">IVSupport@hkex.com.hk</a>
<b>For ET Trade Support/NSTD Enquiry</b>	2880 8601	<a href="mailto:cs@etnet.com.hk">cs@etnet.com.hk</a>

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## Appendices

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## Appendix A – Enrollment Form for OTP-C Market Rehearsal on 9 December 2017 (MR3)

### Explanatory Notes :

1. Please complete this Form and return to HKEX – Cash Trading by fax at 2521-7899 or by email to [OTPC@hkex.com.hk](mailto:OTPC@hkex.com.hk) on or before **4 December 2017**.
2. Upon receipt of the Form, HKEX will send an email confirmation to the email address of the contact person provided below prior to MR3. If the contact person(s) do not receive an email confirmation from HKEX by 7 December 2017, please contact our Participant General Enquiry Hotline at 2840-3626.
3. In case unexpected emergency situation happen during MR3, HKEX's announcement will be sent to the below designated contact person's email address.

### Exchange Participant Information

Name of Exchange Participant			Participant ID
Primary Contact Person	Office Phone No.	Mobile Phone No.	Email Address
Secondary Contact Person	Office Phone No.	Mobile Phone No.	Email Address

### Exchange Participant Confirmation (please tick the appropriate box(es) below)

#### I. Participation in OTP-C MR3 on 9 December 2017 (from 11:00am to 1:30pm)

<input type="checkbox"/>	We confirm to participate in OTP-C MR3 and request HKEX to
<input type="checkbox"/>	turn on all our OCG/BSS and Drop-Copy session (including production and non-production <sup>NB1</sup> ).
<input type="checkbox"/>	turn on all our OCG/NSTD <sup>NB2 &amp; 3</sup> and Drop-Copy session (including production and non-production <sup>NB1</sup> ).

#### II. Participation in OTP-C MR3 Post Test Verification Session on 9 December 2017 (from 9:00pm to 10:00pm)

<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 AMS/3.8 production trading on the following Monday and request HKEX to
<input type="checkbox"/>	turn on all our OCG/BSS and Drop-Copy session (production only).
<input type="checkbox"/>	turn on all our OCG/NSTD <sup>NB2 &amp; 3</sup> and Drop-Copy session (production only).
<input type="checkbox"/>	We confirm NOT to participate in Post Test Verification Session.

NB1 : please submit separate [weekend testing booking form](#) to turn on non-production session, if applicable.

NB2 : please separately contact ET Trade Ltd at 2880-8601 to make pre-arrangement to turn on NSTD server.

NB3 : ET Trade Ltd may charge EP to turn on NSTD server.

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

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

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

## Appendix B – Activity Rundown for OTP-C MR3 on 9 December 2017

Time	Activities
<b>8 December 2017 (Friday) – After Market Close</b>	
After 5:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure the production database of in-house / back-office systems are properly backed-up before the MR3.</li> <li><input type="checkbox"/> Ensure the BSS system version used for the MR3 is OTP-C compatible; otherwise the BSS system may not be able to connect to OTP-C when OTP-C is brought up.</li> </ul> <p><b>Notes :</b></p> <ul style="list-style-type: none"> <li>• <i>For BSS, please do not input any next day requests after trading hours on Friday (i.e. requests intended for submission to host on the following trading day, since next day requests will be submitted to OTP-C host during MR3 and will not be available on the following trading day).</i></li> <li>• <i>After MR3 and Post Test Verification Session (if applicable), EPs are also reminded to clean up the next day requests (if any) to ensure that these testing orders will not be carried forward to the production on the following trading day.</i></li> </ul>
<b>9 December 2017 (Saturday)</b>	
Before 10:30am	<p><b><u>Logon to OTP-C Host</u></b></p> <p>For <b>OCG/NSTD</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Perform Administrator Logon to ET Trade Speed Station.</li> <li><input type="checkbox"/> Perform logon for OCG sessions by using the password “<b>Ab123456</b>” (including Trading and Drop Copy sessions).</li> <li><input type="checkbox"/> Perform ET Trade Speed Station Start-of-Trading procedure.</li> <li><input type="checkbox"/> Perform Trader logon.</li> <li><input type="checkbox"/> Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to <a href="mailto:cs@etnet.com.hk">cs@etnet.com.hk</a>.</li> </ul> <p>For <b>OCG/BSS</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Connect to OCG for all OCG sessions (including Trading and Drop Copy sessions).</li> <li><input type="checkbox"/> Logon using the assigned Comp ID(s) and the password “<b>Ab123456</b>” for all OCG sessions (including Trading and Drop Copy sessions).</li> </ul>
<b>Pre-opening Session</b>	
11:00am – 11:30am	<ul style="list-style-type: none"> <li><input type="checkbox"/> The pre-opening session consists of <ul style="list-style-type: none"> <li>- Order Input period (11:00am - 11:15am)</li> <li>- Pre-order Matching period (11:15am - 11:20am)</li> <li>- Order Matching period (11:20am - 11:28am)</li> <li>- Blocking period (11:28am - 11:30am)</li> </ul> </li> <li><input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the pre-opening session.</li> </ul>
<b>Morning Trading Session (Continuous Trading)</b>	
11:30am – 12:15pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> The morning trading session consists of <ul style="list-style-type: none"> <li>- Without VCM monitoring (11:30am - 11:45am)</li> <li>- With VCM monitoring (11:45am - 12:15pm)</li> </ul> </li> </ul>

Time	Activities
	<p><input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the Continuous Trading session.</p> <p>For Liquidity Provider and Market Maker:</p> <ul style="list-style-type: none"> <li>- Submit market making orders or quotes on all their assigned products.</li> </ul> <p><b>Note :</b> EPs are required to strictly adhere to following order input requirement during the MR3 :</p> <ul style="list-style-type: none"> <li>• Order quantity MUST NOT be greater than 20 board lots.</li> <li>• Order price MUST NOT be more than +/- 20 spreads deviated from the opening price except for VCM stocks.</li> </ul> <p>Please note that EPs who do not follow the testing guidelines or conduct frivolous activities during the market rehearsal may be suspended from further participation in the market rehearsal without prior warning.</p>
<b>First Volume Test Session (Continuous Trading)</b>	
12:00pm – 12:05pm	<p><input type="checkbox"/> EPs should base on their maximum entitled throughput capacity of each OCG session to submit orders and HKEX will generate a high number of orders on HKEX reserved stocks 6400-6499. EPs should verify that their trading facilities are able to support smooth order input operation during simulation of high volume market activities.</p> <p><input type="checkbox"/> EPs should report immediately any irregularities identified during the Volume Test Session to HKEX.</p>
<b>Morning Trading Session (Continuous Trading)</b>	
12:05pm – 12:15pm	<p><input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the continuous trading session.</p>
<b>Mid-Day Close Session / Extended Morning Trading Session</b>	
12:15pm – 12:30pm	<p><input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the extended morning trading session for Extended Trading Securities.</p>
<b>Order Cancellation Period</b>	
12:25pm – 12:30pm	<p><input type="checkbox"/> Simulate real-life conducting cancel outstanding orders.</p>
<b>Afternoon Trading Session (Continuous Trading)</b>	
12:30pm – 1:20pm	<p><input type="checkbox"/> The afternoon trading session consists of</p> <ul style="list-style-type: none"> <li>- Without VCM monitoring (12:30pm - 12:45pm)</li> <li>- With VCM monitoring (12:45pm - 1:00pm)</li> <li>- Without VCM monitoring (1:00pm - 1:20pm)</li> </ul> <p><input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the Continuous Trading session.</p> <p>For Liquidity Provider and Market Maker:</p> <ul style="list-style-type: none"> <li>- Submit market making orders or quotes on all their assigned products.</li> </ul> <p><b>Note :</b> EPs are required to strictly adhere to following order input requirement during the MR3 :</p> <ul style="list-style-type: none"> <li>• Order quantity MUST NOT be greater than 20 board lots.</li> </ul>

Time	Activities
	<ul style="list-style-type: none"> <li>Order price MUST NOT be more than +/- 20 spreads deviated from the opening price except for VCM stocks.</li> </ul> <p>Please note that EPs who do not follow the testing guidelines or conduct frivolous activities during the market rehearsal may be suspended from further participation in the market rehearsal without prior warning.</p>
<b>Second Volume Test Session (Continuous Trading)</b>	
1:00pm – 1:05pm	<input type="checkbox"/> Same as First Volume Test Session.
<b>Afternoon Trading Session (Continuous Trading)</b>	
1:05pm – 1:20pm	<input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the continuous trading session.
<b>Closing Auction Session at 1:20pm</b>	
1:20pm -1:30pm	<input type="checkbox"/> The closing auction session consists of <ul style="list-style-type: none"> <li>Reference Price Fixing Period (1:20pm - 1:21pm)</li> <li>Order Input Period (1:21pm - 1:26pm)</li> <li>No Cancellation Period (1:26pm - 1:28pm)</li> <li>Random Closing Period (1:28pm - 1:30pm) [random close time]</li> <li>Order Matching Period (1:28pm - completion of matching) [variable end time]</li> <li>Day Close upon completion of matching</li> </ul> <input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the closing auction session. <p>For Market Makers choosing not to carry forward quotes to the CAS:</p> <ul style="list-style-type: none"> <li>Verify the BSS has the ability to withdraw large number of outstanding orders for market making securities in an efficient and effective manner.</li> </ul>
<b>Day Close – upon completion of matching</b>	
1:30pm	<p>For <b>OCG/NSTD</b>:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Perform trader logout.</li> <li><input type="checkbox"/> Perform ET Trade Speed Station End-of-Trading procedure.</li> <li><input type="checkbox"/> Logout and terminate OCG session.</li> <li><input type="checkbox"/> Logout all ET Trade Speed Station.</li> </ul> <p>For <b>OCG/BSS</b>:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Logout and terminate OCG session.</li> <li><input type="checkbox"/> Perform end-of-trading procedures, if any, to ensure database integrity.</li> <li><input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during the MR3 from BSS, if applicable.</li> <li><input type="checkbox"/> Restore the data and proper BSS production configuration for following Monday, if necessary.</li> </ul>
<b>Download Day-end Trade File and Closing Price File</b>	
1:50pm – 2:15pm	<input type="checkbox"/> Day-end closing price file (include reserved stocks 6400-6499) and trade

Time	Activities
	file in Central Trade Feed (CTF) format will be available from 1:50pm onwards. EPs are required to login Electronic Communication Platform (ECP) ( <a href="https://www.ecp.hkex.com.hk/">https://www.ecp.hkex.com.hk/</a> ) by inputting the production user ID with the "TO" user group (i.e. user ID of MXXXXXTOXXX) and production password.
After 2:15pm	<input type="checkbox"/> EPs who did not successfully complete MR1 and MR2 should complete and return the Feedback Form ( <b>Appendix C</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> .
<b>Software fallback for BSS</b>	
After 2:15pm	For <b>BSS</b> : <input type="checkbox"/> Fallback the BSS software to AMS/3.8 compatible version.
<b>Post Test Verification Session after MR - fallback to AMS/3.8 (optional and applicable to EPs with prior registration)</b>	
Before 9:00pm	<p><b>Note :</b> <i>Only EPs who have submitted enrollment form given in Appendix A, will have ALL of their enrolled production OCG sessions enabled to participate in the Post Test verification session.</i></p> <p><b><u>Logon to AMS/3.8 Host</u></b> For <b>OCG/NSTD</b>  <input type="checkbox"/> Perform Administrator Logon to ET Trade Speed Station.  <input type="checkbox"/> Perform logon for OCG sessions by using the <b>Production password</b> (including Trading and Drop Copy sessions).  <input type="checkbox"/> Perform ET Trade Speed Station Start-of-Trading procedure.  <input type="checkbox"/> Perform Trader logon.  <input type="checkbox"/> Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to <a href="mailto:cs@etnet.com.hk">cs@etnet.com.hk</a>.</p> <p>For <b>OCG/BSS</b>  <input type="checkbox"/> Connect to OCG for all OCG sessions (including Trading and Drop Copy sessions).  <input type="checkbox"/> Logon using the assigned Comp ID(s) and <b>Production password</b> for all OCG sessions (including Trading and Drop Copy sessions).</p>
<b>Afternoon Trading Session (Continuous Trading)</b>	
9:00pm – 10:00pm	<input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the afternoon session.
<b>Day Close at 10:10pm</b>	
10:10pm	<p>For <b>OCG/NSTD</b>:  <input type="checkbox"/> Perform trader logout.  <input type="checkbox"/> Perform ET Trade Speed Station End-of-Trading procedure.  <input type="checkbox"/> Logout and terminate OCG session.  <input type="checkbox"/> Logout all ET Trade Speed Station.</p> <p>For <b>OCG/BSS</b>:  <input type="checkbox"/> Logout and terminate OCG session.  <input type="checkbox"/> Perform end-of-trading procedures, if any, to ensure database integrity.</p>

Time	Activities
	<input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during the MR3 from BSS, if applicable. <input type="checkbox"/> Restore the data and proper BSS production configuration for following Monday, if necessary.
<b>11 December 2017 (Monday)</b>	
Before 8:30am	<p><b><u>Logon to AMS/3.8 Host</u></b></p> <p>For <b>OCG/NSTD</b></p> <input type="checkbox"/> Perform Administrator Logon to ET Trade Speed Station. <input type="checkbox"/> Perform logon for OCG sessions (including Trading and Drop Copy sessions) by using the production password. <input type="checkbox"/> Perform ET Trade Speed Station Start-of-Trading procedure. <input type="checkbox"/> Perform Trader logon. <input type="checkbox"/> Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to <a href="mailto:cs@etnet.com.hk">cs@etnet.com.hk</a> . <p>For <b>OCG/BSS</b></p> <input type="checkbox"/> Perform logon for OCG sessions (including Trading and Drop Copy sessions) by using production password.

## Appendix C – Feedback Form for OTP-C Market Rehearsal on 9 December 2017 (MR3)

**Notes :**

1. EPs who are mandatory to participate in MR3 are required to complete both Sections I and II 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 11 December 2017.**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626.

### Section I Participant Information

Name of Exchange Participant		Participant ID
Contact Person	Phone No.	Email Address

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

1. Did your **BSS/NSTD** encounter any unresolved connectivity or log on issues during the market rehearsal?
   
☐ No
   
☐ Yes, please specify : \_\_\_\_\_
2. Did your **BSS/NSTD** experience any system failure or interruption during the market rehearsal?
   
☐ No
   
☐ Yes, please specify : \_\_\_\_\_
3. Did your **BSS/NSTD** experience any exceptional response time for order input during the market rehearsal (especially during the Volume Test Session)? *(Note : Response time means the time taken by OTP-C to provide the order confirmation reply after the order input.)*
  
☐ No
   
☐ Yes, please provide relevant details of the transactions (e.g. transaction time, stock code, order price and the response time observed) for analysis by HKEX : \_\_\_\_\_
4. Did your **BSS/NSTD** experience difficulties in handling the market data?
   
☐ No
   
☐ Yes, please provide relevant details (e.g. time, stock code, and the response time observed) for analysis by HKEX: \_\_\_\_\_
5. If you have further comments about the market rehearsal, please specify below:
   
\_\_\_\_\_

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

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

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

## Appendix D – 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)