Hong Kong Investor Identification Regime (HKIDR) End-to-End Test User Guide

For Non-Exchange Participant (Non-EP) Relevant Regulated Intermediaries

Version 1.0

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Version History

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Table of Contents

1 Introduction 4
1.1 Overview 4
1.2 Accessing ECP via Web Interface 4
1.3 Accessing ECP via SFTP Interface 5
1.4 Operation Timetable in Test Env 6
1.5 Technical Support Hotline 7
2 End-to-End Test Package for non-EP RRI 8
3 E2E Test Coverage 9
3.1 BCAN-CID Mapping Files (Optional) 9
3.2 Reporting Forms (Optional) 9
3.3 E2E Test Result 9

1 Introduction

1.1 Overview

Non-Exchange Participant Relevant Regulated Intermediaries (Non-EP RRI) may make use of the End-to-End (E2E) Test environment (Test Env) of the Hong Kong Investor Identification Regime (HKIDR) for testing the submission of following files via the Electronic Communication Platform (ECP).

- BCAN-CID Mapping File
- Reporting Form - BCAN Change Report
- Reporting Form - Aggregated Transaction Report

Please refer to the "HKIDR File Transfer Connectivity Guide" available in the HKIDR project corner for technical details for interface files exchange through the ECP, which cover:

- Operation of HKIDR Interface Files Exchange
- Access to ECP (Web Interface or SFTP)
- Registration of ECP SFTP User Account (for SFTP only)
- Renewal of Public Keys (for SFTP only)
- Network configuration (for SFTP only)

Please note that the data used in E2E Test should be for testing purposes only. Non-EP RRI should not use their clients' data during testing.

1.2 Accessing ECP via Web Interface

Non-EP RRI can access ECP in the Test Env via the following link by logging in with the production SFC WINGS account:

https://ecp2.e2etest.hkex.com.hk

1.3 Accessing ECP via SFTP Interface

(i) Network Connection for SFTP Interface

To test the file submission via SFTP interface, SDNet/2 testing circuit is required. Non-EP RRI need to contact the SDNet/2 network provider (any of the SDNet/2 Accredited Vendors) directly to install a new testing circuit and submit a Notification of Testing Line Form (attachment 2) to HKEX. Technical details of testing circuit installation can be found in the Notification of Testing Line Form.

Non-EP RRI are reminded that there is a lead-time required by the network provider to install new testing circuit. Please ensure that the testing circuit has been installed successfully before starting the E2E test.

ECP SFTP can be accessed via following SDNet/2 testing networks:

Orion Central Gateway – Securities Market (OCG-C) Network Interface (for E2E test)

SFTP Facility
10.1.93.228 Port 18801

China Connect Central Gateway (CCCG) Network Interface (for E2E test)

SFTP Facility
10.1.145.228 Port 18801

(ii) Registration of SFTP User Account

Non-EP RRI are required to submit the SFTP public key files together with IP addresses of their applications via ECP web interface by using an OTP-C Test Portal account (Test Portal Account) that to be provided by HKEX.

HKEX – BSS Support (BSSSupport@hkex.com.hk) will provide the Test Portal Account to the relevant Non-EP RRI within approximate one week, after HKEX completes the verification of the Notification of Testing Line Form (as stated in 1.3 (i)) submitted by the relevant non-EP RRI. The Test Portal Account details will be distributed to Non-EP RRI's business email address according to the information provided in the Notification of Testing Line Form. Please ensure business email address is provided in the form. Personal email address such as Gmail, Yahoo Mail, Hotmail and etc. will not be accepted.

To avoid any doubt, SFC WINGS account cannot be used for the registration of SFTP user account.

1.4 Operation Timetable in Test Env

BCAN-CID Mapping File

No.	BCAN-CID Mapping File		
	Time	Party	Activity
1	7:00am - 4:30pm	EPs / Non-EP RRI	a) Submission of BCAN-CID Mapping File (HBCNMAPP).
2	7:00am - 4:30pm	HKEX	a) Distribution of BCAN-CID Response File (HBCNMPRP).
3	6:00pm - 11:59pm	HKEX	a) Distribution of BCAN-CID Process Result File (HBCNRSLT). b) Distribution of BCAN Full Image File as recorded in HKEX (HBCNFIMG).
4	12:00am next calendar day	HKEX	a) System cleanup – all files will be removed from E2E Test ECP.

Reporting Forms

No.	Reporting Forms		
	Time	Party	Activity
1	7:00am - 6:00pm	EPs / Non-EP RRI	a) Submission of Aggregated Transaction Report (HBCNATBN). b) Submission of BCAN Change Report (HBCNBCBN).
2	7:00am - 6:00pm	HKEX	a) Distribution of Aggregated Transaction Report Response File (HBCNATRP). b) Distribution of BCAN Change Report Response File (HBCNBCRP).
3	By 8:00am on next weekday	HKEX	a) Distribution of Aggregated Transaction Report Result File (HBCNATRSLT). b) Distribution of BCAN Change Report Result File (HBCNBCRSLT).
4	12:00am next calendar day	HKEX	a) System cleanup – all files will be removed from the submission folder. b) System cleanup – Response and result files older than 7 calendar days will be removed from the distribution folder.

1.5 Technical Support Hotline

- For technical questions about the HKIDR E2E Test, non-EP RRI can contact following hotline which is available from Monday to Friday (except public holidays):

Support	Telephone Number	Email Address	Service Hours (HKT)
Technical support	2840 3351	BSSSupport@hkex.com.hk	9:00am to 6:00pm

- For questions on the HKIDR, please address questions to HKIDR_faq@sfc.hk.

- For questions about the technical guidance for systems and related materials for submitting information to SEHK under the HKIDR, please address to otpc@hkex.com.hk.

2 End-to-End Test Package for non-EP RRI

The HKIDR E2E Test package includes the following items:

General:

1. This User Guide

2a. Notification of Testing Line

2b. Explanatory Note for Testing Line

3 E2E Test Coverage

3.1 BCAN-CID Mapping Files (Optional)

Non-EP RRI may prepare a **BCAN-CID Mapping File** that complies with the format specified in the HKIDR File Interface Specification and ensure that the file submission is completed successfully, including receiving the relevant response, process result and full image files. Non-EP RRI are recommended to conduct testing on BCAN deletion, BCAN addition and update of CID information and that such updates are correctly reflected in the BCAN Full Image File.

3.2 Reporting Forms (Optional)

Non-EP RRI may also conduct testing on the submission of the **BCAN Change Report** and **Aggregated Transaction Report**, if applicable that comply with the format specified in the HKIDR File Interface Specification. Non-EP RRI need to ensure the submission is completed successfully, including receiving the relevant response and result files and that information is correctly reflected in the report result files.

Reporting Form Templates are available in the HKIDR project corner.

3.3 E2E Test Result

Non-EP RRI are not required to submit their test results to the SFC or HKEX.