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Hong Kong Exchanges and Clearing Limited is the recognised controller of The Stock Exchange of Hong Kong Limited, Hong Kong Futures Exchange Limited and Hong Kong Securities Clearing Company Limited

通告 CIRCULAR

事項
Subject: **Rollout of HKATS and DCASS Upgrade to Genium INET Platform**

查詢
Enquiry: **HKATS Hotline   2211 6360**

Reference is made to the circular (ref: DMD/134/13) dated 21 August 2013. Following the successful completion of Market Rehearsal conducted on 31 August 2013, Hong Kong Exchanges and Clearing Limited (HKEx) is pleased to announce that the HKATS and DCASS will be upgraded to Genium INET Platform on **15 October 2013.**

The rollout schedule and activities are summarized as below:

Date	Time	Activities
5 October 2013 (Saturday)	9:00 a.m. – 12:00 noon	**Exchange Participants** Password Verification Session – **Optional**
12 October 2013 (Saturday)		**HKEX** System Cutover from Release 19.1 to Genium INET Platform **Exchange Participants** Back up the existing 19.1 trading infrastructure and migrate to the version for Genium INET Platform
13 October 2013 (Sunday)	9:00 a.m. – 12:00 noon	**Exchange Participants** Post Release Test for Genium INET Platform- **Mandatory**
15 October 2013 (Tuesday)		Rollout Day
15 - 25 October 2013	2 weeks	Stabilization Period

Password Verification Session (5 October 2013)

Reference is made to the circular DMD/122/13 dated 30 July 2013, that Exchange Participants ("EPs") are required to maintain the password as at day end of 8 August 2013 for the rollout of Genium INET Platform. In order to facilitate EPs to verify the long-kept password for Network Gateways ("NG") connections as well as the newly issued password for Central Gateways ("CG") connections, HKEx will arrange a password verification session on 5 October 2013. EPs are highly

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recommended to participate the session to make clear the Login ID and Password to be used for Genium INET Platform, specifically, for those passwords expired or changed in between 9 August and 11 October 2013, both days inclusive.

System Cutover from Release 19.1 to Genium INET Platform (12 October 2013)

HKEx will migrate HKATS and DCASS from Release 19.1 to the Genium INET Platform on 12 October 2013. The switching of the HKEx servers and EP NGs from Release 19.1 to Genium INET Platform will be performed by HKEx. EPs are requested to power up the NGs for both Release 19.1 and Genium INET Platform prior to and during that weekend. Else, EPs may not be able to receive market data information through NGs upon the launch of Genium INET Platform on 15 October 2013.

Post Release Test for Genium INET Platform (13 October 2013)

EPs are required to participate the Post Release Test ("PRT") to confirm their readiness for the system rollout on 15 October 2013. EPs should test **ALL** the Login ID and Passwords for:

1. CLICK Trade (v.1.14.4.43)
2. Network Gateway connection (OAPI)
3. Central Gateway connection (OAPI)

The default password for CLICK Trade user and NG connection should be the same as at the end of day on 8 August 2013 in production Release 19.1, or the password that was changed during the Password Verification Session on 5 October 2013).

In addition, EPs are advised to setup the user profiles for CLICK Trade (in the "Preferences" window) in the PRT, specifically for the market data subscription in the Price Information Window. CLICK Trade users will not able to see any market information before the manual subscription has been done.

Rollout Day (15 October 2013)

1. For CLICK Users

With the HKATS central host production software upgraded to Genium INET Platform, all CLICK users should login with CLICK Trade v.1.14.4.43. If a CLICK user attempts to login with the old version (CLICK Trade XT v.1.9.2.27), the error message "This installation of CLICK Trade is incompatible with version 2.0 of the backend system" will appear.

2. For OAPI Users

Please be reminded that only OAPI programs certified for Genium INET Platform can be used on and after the Rollout Day. EPs should ensure their OAPI programs are configured for Genium INET Platform rollout with appropriate parameters such as network/central gateway IP addresses, port number, OAPI login ID and password.

Both CLICK and OAPI users are reminded to use the passwords verified in the PRT on 13 October 2013. Otherwise the login will be rejected.

EPs are reminded that all "Until Expiry" orders and "Specified Date" orders that remain outstanding in HKATS Release 19.1 after market close on 11 October 2013 will **NOT** be carried forward to HKATS Genium INET Platform. EPs are reminded to make necessary arrangement to re-enter these orders via the new CLICK Trade or an OAPI application on or after the Rollout Day.

Stabilization Period (15 to 25 October 2013)

Following the rollout of Genium INET Platform, there will be a two-week stabilization period spanning from 15 October 2013 to 25 October 2013. During this stabilization period, in the unlikely situation that the upgraded Genium INET Platform encounters irreparable incidents, HKEx may, as a last resort, trigger the fallback procedure to revert to Release 19.1 for the resumption of trading and clearing services for the derivatives market. All emergency announcements will be made through the Market Messages window of the CLICK Trade (v.1.14.4.43 in Genium) or the CLICK Trade XT (v.1.9.2.27 after the fallback) and to the registered EP contacts.

Please note that the arrangement for fallback to Release 19.1 will only apply during the stabilization period. Accordingly, EPs are required to maintain the current Release 19.1 version of CLICK Trade XT (v.1.9.2.27), OAPI software and Network Gateway throughout the stabilization period. Please refer to the "Highlights of the Fallback Arrangement" in Appendix 1 for details. A circular will be issued to inform EPs about the completion of the stabilization period at the appropriate time.

To provide a quick reference for EPs to validate their readiness for the Genium INET Platform rollout, a checklist is set out in Appendix 2. EPs are highly encouraged to distribute the checklist to every HKATS users as preparation for the rollout.

OAPI Testing Environment

The testing environment for Release 19.1 will be supported until 11 October 2013.
The testing environment for Genium will continue to be available as usual. Access fee to the Exchange's testing environment will be charged for entries starting from 15 October 2013.

For any enquiries, please contact the HKATS Hotline at 2211 6360.

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This circular has been issued in the English language with a separate Chinese language translation. If there is any conflict in the circulars between the meaning of Chinese words or terms in the Chinese language version and English words in the English language version, the meaning of the English words shall prevail.