

Highlight of Fallback Arrangement

The fallback procedures are only applicable during the stabilization period, i.e., the first two weeks after the launch of Genium INET Platform between **15 October 2013 and 25 October 2013**. Release 19.1 will act as the standby fallback environment during the stabilization period. In the event of encountering issues, HKEx will investigate the cause and try to rectify the situation by all available means. In case that it is necessary to declare fallback, HKEx would switch HKATS back to the Release 19.1 environment internally and inform Exchange Participants (EPs) upon the completion of the switching process. The fallback exercise is estimated to take about 3 hours to complete before Release 19.1 can be resumed.

1. Communication channels in case of fallback

Exchange Participants will be informed once the fallback decision is made and upon completion of the switching process. The fallback schedule, estimated time of service resumption of Release 19.1 and the opening schedules of all markets will be communicated through the Market Messages window.

2. Participants' arrangement

In order to continue their trading operations in Release 19.1 under the fallback arrangement, Exchange Participants are required to maintain their Release 19.1 trading facilities throughout the 2 week stabilization period after Genium INET Platform rollout.

Existing CLICK users

All existing CLICK users should retain the shortcuts of Release 19.1 CLICK XT (v.1.9.2.27) until after the Stabilization Period. This allows them to reconnect to HKATS easily after the host environment has completed its fallback to Release 19.1.

Existing OAPI users

Exchange Participants are recommended to retain all OAPI programs, as well as the corresponding workstations for Release 19.1 during the stabilization period. This allows OAPI users to reconnect to HKATS Release 19.1 after the fallback.

3. Actions to be taken after fallback

Establishment of connections to Release 19.1

Once fallback has been completed and Release 19.1 version is made available, HKEx will immediately notify all Exchange Participants. All Exchange Participants should login HKATS with Release 19.1 CLICK XT (v.1.9.2.27) by using the passwords as at the

end of day on **11 October 2013**, and verify if all the fields under the “Status” column in the Information Feed Status window are “ON”.

After logging on to HKATS, Exchange Participants should check information through the Market Messages window to retrieve the following information from HKEx:

- Schedule of opening hours of all markets;
- Notice of any special arrangement for trading on HKATS; and
- Other important market information.

Validation of trade executed

In order to ensure the accuracy of trade information of trades that were executed prior to and after the fallback, Exchange Participants should verify whether the trades shown in Clearing Trades Window are correct upon fallback completion.

Order Information

Exchange Participants should note that all outstanding orders on HKATS in Genium INET Platform will not be available after the fallback. EPs are required to examine the in-house orderbook and re-enter all relevant orders into HKATS after the respective markets are opened. Alternatively, EPs may consider entering all relevant orders as new “inactivated orders” in the Orderbook window, and activating those orders once the markets resume after fallback.

4. Enquiries

For any enquiries about the fallback procedures, Exchange Participants can contact the HKATS hotline at 2211 6360. Also, please refer to the following link for detailed fallback procedures:

http://www.hkex.com.hk/eng/market/dv_tradinfra/Documents/Genium%20Fallback%20Plan-Genium%20Upgrade_FINAL.pdf

5. Checklist for Fallback

Items to be checked		√
1.	<u>For CLICK users:</u> Retain the Release 19.1 CLICK Workstations and also the shortcut of Release 19.1 CLICK XT (v.1.9.2.27)	
2.	<u>For OAPI users:</u> Retain your OAPI programs and corresponding workstations for Release 19.1	
3.	Remember the username and password as at 11 October 2013 for login to HKATS upon fallback	
4.	Turn on the HKATS CLICK Workstations (v.1.14.4.43 for Genium and v.1.9.2.27 for Release 19.1) before and after the fallback to view the fallback announcements from HKEx through Market Messages window	