**Activity Rundown – Simulation Test for Trading of RMB Products
to be held on 19 March 2011 (Saturday)**

| Time | Tasks to be Performed by Users of On-floor & Off-floor Trading Terminals, OG/MWS, OG/BSS and ORS |
|---|---|
| **18 March 2011 (Friday) – After Market Close** ||
| After 5:00pm | ❑ Ensure all on-floor and off-floor trading terminals, OG/MWS and OG/BSS components (including network routers, OG servers, MWS servers and workstations) are powered on after trading hours <br><br> ❑ Ensure the BSS production database are properly backed-up before the simulation test <br><br> ❑ Disconnect the BSS from the OG if not participating in the simulation test in order to avoid receiving the testing data <br><br> _Notes :_ <br> • _The Trading Hall will be opened during the simulation test on 19 March 2011 (Saturday)_ <br> • _For BSS, please save/cancel all ORS next day requests, if applicable_ <br> • _For MWS, please cancel all ORS next day requests, if applicable_ <br> • _For both MWS and BSS, please do not input any next day requests (i.e. requests intended for submission to host on the following Monday, 21 March 2011) after trading hours on Friday, 18 March 2011 since next day requests will be submitted to AMS/3 host during the simulation test and will not be available on the following trading day_ <br> • _After the simulation test, 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_ |
| **19 March 2011 (Saturday)** ||
| Before 8:30am | ❑ Ensure the production database of in-house / back-office systems are properly backed-up |
| 8:30am – 9:00am <br><br> (Before Pre-opening Session commence) | ❑ Log on to AMS/3 host <br><br> **For On-floor Trading Terminal** : <br> - Perform trader sign on by using production trader ID, however, please note that the password has been reset as 123456 for simulation test purpose <br><br> **For Off-floor Trading Terminal :** <br> - Perform smart card log on for off-floor trading terminal by using the production smart card and PIN number <br> - Perform trader sign on by using production trader ID, however, please note that the password has been reset as 123456 for simulation test purpose <br><br> **For MWS :** <br> - Perform smart card log on for OG – enter the production PIN of the smart card <br> - Perform Administrator log on to workstation by using default administrator User ID 9999, Password 9999 <br> - Perform MWS start-of-trading procedures <br> - Perform Supervisor log on to workstation by using default supervisor User ID 001, Password 1 or User ID 002, Password 2 <br> - Perform supervisor trading system log-on by using production trader ID, however, please note that the password has been reset as 123456 for simulation test purpose <br> - Create user profile (if required) |

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|---|---|
| | - Perform trader sign on<br><br>*Note :*<br><br>*The user accounts (e.g. Trader and Supervisor) created by EPs in MWS during previous test session(s) can be re-used again and EPs can also use the default user accounts specified above to log on the MWS. Should EPs wish to create additional user accounts (e.g. Trader and Supervisor), please follow the procedures set out in the MWS User's Guide at HKEx website http://www.hkex.com.hk/eng/market/sec_tradinfra/mws.htm. The MWS user accounts created during the simulation test will __not__ be carried over to the production environment*<br><br>**For BSS :**<br>- Perform smart card log on for OG – enter the production PIN of the smart card<br>- Perform trading system log on to Host by using production trader ID, however, please note that the password has been reset as 123456 for simulation test purpose<br>- Perform trader sign on (if applicable) |
| Pre-opening Session | |
| 9:00am - 9:30am | ❑ Use all types of RMB products (see Attachment III) created for the simulation test to simulate real-life trading activities (e.g. input/ cancel/ modify order, input pre-opening trade, etc) during the pre-opening session |
| Morning Session (Continuous Trading) | |
| 9:30am – 12:00 noon | ❑ **Input at least 2 buy orders and 2 sell orders (excluding odd lot/ special lot orders) on each of RMB equity securities (i.e. Stock code 83890 – 83894 in Main Board and 83895 – 83899 in GEM) respectively (i.e. at least a total of 40 orders inputted) and ensure a total of 5 or more automatched trades (direct or non-direct) are executed from these orders**<br><br>❑ In addition to the above, use all types of RMB products (see Attachment III) created for the simulation test to simulate real-life trading activities (e.g. input/ cancel/ modify order or odd lot/ special lot order, input trade or odd lot/ special lot trade, etc) during the continuous trading session<br><br>*Note :*<br>*Orders to be input should be at prices within +/-30 spreads from nominal price* |
| Exchange Intervention from 12 noon to 12:05pm | |
| Day Close at 12:05pm | |
| 12:05pm – 1:30pm | ❑ Log off from host and perform end-of-day procedures<br><br>**For On-floor Trading Terminal** :<br>- Perform trader permanent sign off<br><br>**For Off-floor Trading Terminal :**<br>- Perform trader permanent sign off<br>- Remove smart card<br><br>**For MWS :**<br>- Perform trader permanent sign off<br>- Perform MWS end-of-trading procedures<br>- Perform data import / export, if required (e.g. central trade feed export)<br>- Maintain MWS local database such as client / user profile, if required<br>- Rollback in house/back office system to the AMS/3 production version, including restoration of relevant production database for next trading day, if required<br><br>**For BSS :**<br>- Perform any day-end processes to ensure database integrity |

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|---|---|
| | - Clean up the transaction data (e.g. orders and trades) entered during the simulation test from BSS (if applicable)<br><br>- Perform closing price export, if required (available at around 12:20pm - 1:30pm)<br><br>- Restore the data for trading on following Monday, 21 March 2011, if necessary<br><br>- Perform system log off, and trader log off<br><br>❑ **Leave all on-floor and off-floor trading terminals, OG/MWS and OG/BSS components powered-on throughout the weekend** |
| Download Day-end Trade File Session | |
| 12:30pm -1:30pm | ❑ **For File Transfer System ("FTS") subscribers only**<br><br>- Check the day-end trade file is successfully downloaded from FTS by using **production Participant ID and the temporary password 123456**<br><br>❑ **For both File Transfer System ("FTS") subscribers and Central Trade Feed ("CTF") Users**<br><br>- Check the day-end trade file is successfully downloaded from FTS by using **production Participant ID and the temporary password 123456**<br><br>- Check that same number of trade records are received from both FTS and CTF |
| Submission of Stamp Duty - Daily Return (Form SD-1) & Confirmation of Readiness to HKEx | |
| 21 March 2011<br><br>By 12:00 noon | ❑ Submit Form SD-1 for the simulation test to HKEx. EPs should follow the procedures in item (i) of Guidelines for conducting simulation test (Attachment I) to calculate the stamp duty payable and complete the Form SD-1 based on the transactions concluded during the simulation test and submit the completed Form SD-1 to HKEx via email to RMBtestSD1@hkex.com.hk **before 12:00 noon on 21 March 2011** |
| 21 March 2011<br><br>Before 6:00pm | ❑ Complete and return the "Confirmation of Completion of RMB Readiness Test and Readiness for Dealing in RMB Securities" (Attachment IV) to HKEx – Trading Division by fax (Fax Nos. 2521-7899 or 2868-5223) **before 6:00 pm on 21 March 2011** |

Participant Support Hotlines :

Should Exchange Participants have any query or identify any irregularities during the simulation test, please contact the following Participant Support Hotlines:

- For general enquiry    :    2840-3626
- For technical enquiry  :    2840-3351

You may also forward your enquiry to :

- Fax No.    :    2521-7899 or 2868-5223
- Email      :    AMS3INFO@hkex.com.hk