

香港交易及結算有限公司是《證券及期貨條例》所述的認可控制人，亦為香港聯合交易所有限公司、香港期貨交易所有限公司、香港中央結算有限公司、香港聯合交易所期權結算有限公司、香港期貨結算有限公司及香港場外結算有限公司的控制人。

Hong Kong Exchanges and Clearing Limited is a recognized exchange controller under the Securities and Futures Ordinance which is the controller of The Stock Exchange of Hong Kong Limited, Hong Kong Futures Exchange Limited, Hong Kong Securities Clearing Company Limited, The SEHK Options Clearing House Limited, HKFE Clearing Corporation Limited and OTC Clearing Hong Kong Limited.

通告 CIRCULAR

Subject: Rollout of HKATS and DCASS Upgrade

Enquiry: HKATS Hotline ¹ 2211-6360

Reference is made to the circular dated 1 February 2019 (Ref: [MO/DT/025/19](#)). Following the successful completion of the market rehearsal (“MR”), Hong Kong Exchanges and Clearing Limited (“HKEX”) is pleased to announce that HKATS and DCASS Upgrade (“Upgrade”) will be rolled out on **6 May 2019, Monday**.

Exchange Participants (“EPs”) are requested to note the following matters in relation to the rollout of the Upgrade:

1. Rollout Schedule and Activities

Date	Brief Activities
4 May 2019, Saturday	Cutover day - from Genium INET Platform to the Upgrade
5 May 2019, Sunday (9:00 a.m. to 12:00 noon)	Post-release verification session <i>ALL EPs MUST</i> participate to verify their HKATS connection via HKATS Online and upgraded OAPI programs (if applicable)
6 May 2019, Monday	Rollout of the Upgrade

In order to assist EPs to get ready for the rollout of the Upgrade, the “**Rollout Information Package for Exchange Participants**” ([Rollout Information Package](#)) has been posted on the HKEX website. EPs are strongly advised to pass this Rollout Information Package to their IT team and/or system vendors as soon as possible for necessary arrangement.

¹ All calls to the HKATS hotline would be recorded. Please refer to the following link for HKEX privacy policy statement: http://www.hkex.com.hk/eng/global/privacy_policy.htm

2. Preparation for the Rollout (now till 4 May 2019, Saturday)

EPs please pay attention to the followings:

- a) the to-be-upgraded infrastructures, including the HKATS Online, certified and tested HKATS OAPI programs which have been verified in the MR should not be changed or modified until HKEX has announced the completion of Stabilization Period; and
- b) all existing login IDs and passwords for OAPI programs connecting to Central Gateway and CLICK trade workstations as of day end on 3 May 2019 **WILL BE** carried forward to production use on 6 May 2019.

3. Post-release Verification Session (5 May 2019, Sunday)

It is **mandatory** for EPs to participate in the Post-release Verification Session on 5 May 2019 to confirm their readiness for the rollout. EPs should test **ALL** login IDs and passwords as of day end on 3 May 2019 for HKATS Online and Central Gateway OAPI connection.

4. Rollout Day (6 May 2019, Monday)

For HKATS Online Users

The HKATS Online login IDs and passwords shall be the same as that for CLICK trade workstations as of day end on 3 May 2019. CLICK trade workstations will be blocked from accessing HKATS with an error message “***Logon fail. Could not connect to gateway service. Check host and port number***”.

For HKATS OAPI Users

Please be reminded that only OAPI programs certified for the Upgrade can be used on and after the Rollout Day. EPs should ensure their OAPI programs are configured for the Upgrade in accordance with chapter 2 of the [Rollout Information Package](#).

5. Fallback Arrangement

After the rollout of the Upgrade, there will be a two-week stabilisation period **from start of T Session on 6 May 2019 to close of T Session on 17 May 2019** (Stabilisation Period).

During the Stabilisation Period, EPs are required to maintain their HKATS trade workstations,

Network Gateway (“NG”), HKATS OAPI programs (certified on Genium INET platform), Market Data Sources and other systems in standby mode in case of fallback.

EPs should keep records of their passwords for accessing HKATS until the completion of the Stabilisation Period. In case of fallback, EPs should use the passwords as of day end on 3 May 2019 to access HKATS.

EPs are requested to keep power up the NGs during the stabilization period for HKEX to perform necessary checkings and operations for fallback.

HKEX has developed a [Fallback Plan](#) to cater for the unlikely situation where the Upgrade may encounter irreparable incidents at the initial roll out. The Fallback Plan will be applicable during the Stabilisation Period.

A circular will be issued upon the completion of the Stabilisation Period.

EPs are highly recommended to coordinate with their IT teams and/or system vendors for necessary preparation. For any enquiries, please contact the HKATS Hotline at 2211 6360.

Sanly Ho
Head
Derivatives Trading
Markets Division

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.