Explanatory Notes of BCAN Error Report for Shanghai Connect

General guidelines

1. The BCAN Error Report for Shanghai Connect should be completed by CCEPs/TTEPs who found the executed trades have been tagged with wrong BCANs. Errors for Shenzhen Connect should be filed separately.

2. The report should be submitted by 5 pm on every scheduled Northbound trading day. For the file submitted on T day, it should report errors for trades executed on or before T day.

3. Multiple submission of the same file is allowed for the same day but only the last submission before 5 pm will be processed. If additional errors are found on the same day, they should be appended to the same file for submission.

Completion of the template

1. The MS Excel template of this report can be downloaded from HKEX mutual market web corner under "FORMS, CHECKLISTS & PROCEDURES" – "BCAN Error Report".

2. The file name of the completed report must be in the following format:

   SHBNR_NNNNN_YYYYMMDD.xlsx where:

   a. NNNNN represents the 4-digit Firm ID with a leading zero (e.g. 09999)

   b. YYYYMMDD represents the submission date (e.g. 20181207)

   As such, the file name for a CCEP with Firm ID 9999 for the BCAN error report submitted on 7 December 2018 will be SHBNR_09999_20181207.xlsx.

3. The completed report should be submitted to the Exchange via Electronic Communication Platform (ECP). To submit the report, CCEPs/TTEPs should use the User ID belonging to the TO group (i.e. the same one used for downloading CBBC MCE trade file) to log into ECP.