

香港聯合交易所有限公司
(香港交易及結算所有限公司全資附屬公司)

THE STOCK EXCHANGE OF HONG KONG LIMITED
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

Subject: **HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) – REPORTING FORM SUBMISSION DURING END-TO-END (E2E) TEST**

Enquiry: **Participant General Enquiry Hotline¹ (Tel: 2840 3626 E-mail: trd@hkex.com.hk)**

With reference to the Exchange circulars (Ref. No.: [CT/021/22](#), [CT/026/22](#) and [CT/030/22](#)), all Relevant Regulated Intermediaries (RRIs)² are reminded that the E2E Test Session for HKIDR (including two new features of the Orion Central Gateway – Securities Market) will be held from **16 May 2022 to 15 July 2022**. All RRIs are required to participate in the E2E Test Session and are reminded to refer to the published test packages and connectivity guide to get ready for the mandatory testing.

Submission of Reporting Forms during E2E Test Session

Given that RRIs may encounter difficulties in linking up testing trading data to the relevant reporting forms³ during the E2E Test, RRIs should note that they simply need to ensure that at least one record have passed the 2nd level validation (i.e. format validation) and that they are able to receive a returned response file of the relevant reporting form in order to be considered as having successfully completed testing on the submission of that reporting form. For the avoidance of doubt, the subsequently processed result of the records contained in the result file will not be used for determining the test result. RRIs are also reminded that they can refer to the HKIDR [web corner](#) for templates of the reporting forms that they can use or refer to Section 3 of the [File Interface Specifications](#) when preparing the reporting forms.

Chan Wai Hung
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¹ All calls to and from the Participant General Enquiry Hotline may be recorded. HKEX Privacy Policy Statement is available [here](#).

² Relevant Regulated Intermediaries refer to SFC-licensed corporations and registered institutions subject to the HKIDR pursuant to the proposed paragraph 5.6 of the SFC's Code of Conduct for Persons Licensed by or Registered with the SFC as set out in the Appendix C in the SFC's consultation conclusions paper.

³ Reporting forms refer to Aggregated Transaction Report, BCAN Change Report, BCAN Change for LP Quote Report, BCAN Error Report, and Off-Exchange Trade BCAN (Buy-side) Report.