
**Information Package
for
Northbound Investor ID Model Market Rehearsal
on 25 August 2018**

Version 1.0

Aug 2018

Version History

Version No.	Issue Date	Particulars
1.0	17 August, 2018	First version released

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1 Introduction

1.1 Overview

Following the second Market Rehearsal (MR2) conducted on 11 August 2018, a third Market Rehearsal (MR3) will be arranged on **25 August 2018** which is also mandatory for CCEPs and TTEPs who did not successfully complete the previous MR2. They are required to participate in MR3 in order to ensure they can submit BCAN-CID Mapping File and tag BCAN to NB orders after the implementation of NB Investor ID Model. CCEPs/TTEPs who have confirmed their readiness are also recommended to participate in MR3 which includes Closing Call Auction session of Shanghai Stock Exchange. TTEPs who failed in MR2 should liaise with their respective executing CCEPs for submitting orders during MR3.

Date	Time	Test	Objective
25 August 2018	09:00 – 17:00	MR3	Validate CCEPs/TTEPs in production configuration to perform BCAN-CID Mapping File and Authorised TTEP Firm List submission, NB orders BCAN tagging and normal business transactions.

CCEPs/TTEPs must satisfactorily complete MR3 to ensure they can submit BCAN-CID Mapping File, Authorised TTEP Firm List and tag BCAN to NB orders. CCEPs and TTEPs must pass the E2E test and market rehearsal to demonstrate their readiness to comply with the new arrangements in relation to the NB Investor ID model under the Rules of the Exchange. Failing which they will not be able to properly conduct NB trading activities in compliance with the Rules of the Exchange upon implementation of the NB Investor ID model. Those CCEPs and TTEPs who cannot pass the E2E test and market rehearsal before the implementation of the NB Investor ID model should make adequate disclosure with their clients and make all necessary arrangements with their clients as early as possible in order to ensure that they act honestly, fairly, and in the best interests of their clients and the integrity of the market.

During MR3, the data used for BCAN-CID Mapping File and Authorised TTEP Firm List submission are for testing purposes only. All data will be removed after the testing.

1.2 Market Data Arrangement for NB Investor ID Model MR3

CCEPs who have subscribed to any datafeed product on HKEX Orion Market Data Platform-China Connect (Securities) (OMD-CC) can have access to their subscribed OMD-CC feed during MR3.

Some Information Vendors (IVs) and Application Service Providers (ASPs) may be able to redistribute OMD-CC data to their CCEP customers conducting MR3 in the same environment. CCEPs should check with their IVs and/or ASPs immediately for the required logistics or other necessary arrangement for if they plan to receive market data from them during MR3.

Real-time price data of NB test securities will also be available from the Market Data Portal after market open till market close during MR3. URL of the portal is: <http://203.78.5.160/MDP>.

2 MR3 Schedule and Activities for NB Investor ID Model

2.1 Tasks for CCEPs/TTEPs who will participate in MR3

CCEPs/TTEPs are required to complete the following tasks for MR3:

Task	CCEPs/TTEPs Concerned	Deadline / Execution Date	Reference Documents
Notification Form for MR3			
1. Submit notification form for (i). update designation of new contact person for MR3, if required (ii). Participation of MR3 (iii). (optional) participation of Post Test Verification Session after MR3	CCEPs/TTEPs	On or before 22 August 2018 (Wednesday)	Appendix A – Notification Form
MR3			
1. Submit BCAN-CID Mapping File and/or Authorised TTEP Firm List	CCEPs/TTEPs	25 August 2018 (Saturday) 9:00am – 10:30am	Appendix B – Activity Rundown
2. Verify BCAN-CID Validation Result File and BCAN Full Image File	CCEPs/TTEPs	25 August 2018 (Saturday) 1:00pm – 2:00pm	Appendix B – Activity Rundown
3. Conduct tagging of BCAN for NB trading orders	CCEPs	25 August 2018 (Saturday) 4:00pm – 5:00pm	Appendix B – Activity Rundown
4. Conduct Post Test Verification Session after MR3 (optional) ^[Note]	CCEPs	25 August 2018 (Saturday) 8:00pm to 9:00pm	Appendix B – Activity Rundown
5. Return feedback form for MR3 by CCEPs/TTEPs who did not successfully complete MR2	Relevant CCEPs/TTEPs	On or before 27 August 2018 (Monday)	Appendix C – Feedback Form

Note:

The “Post Test Verification Session after MR3” is offered for CCEPs to validate their BSS have already reinstated for trading with CSC/CCCG properly on the following trading day. Participation is optional and prior registration would be required.

CCEPs/TTEPs who did not successfully complete the previous MR2 are required to return the feedback form for MR3 to HKEX on or before the following Monday after MR3.

2.2 MR3 Timetable

MR3 aims to provide an opportunity to CCEPs/TTEPs to simulate their BCAN-CID Mapping File and Authorised TTEP Firm List submission via SFTP and tagging of BCAN for NB trading orders in trading environment. 9:00am - 2:00pm will simulate "T-1" day for BCAN-CID Mapping File and Authorised TTEP Firm List submission and retrieval of BCAN-CID Validation Result File and BCAN Full Image File. 4:00pm – 5:00pm will simulate "T" day for BCAN tagging. Details as below:

MR3 Date: 25 August 2018

Time	Session	CCEPs/ TTEPs participation
9:00am – 10:30am	<ul style="list-style-type: none"> Submission of BCAN-CID Mapping File with newly added BCANs and Authorised TTEP Firm List Retrieval of BCAN-CID Response File and Authorised TTEP Firm List Response File 	<ul style="list-style-type: none"> CCEPs and TTEPs
1:00pm – 2:00pm	<ul style="list-style-type: none"> Retrieval of BCAN-CID Validation Result File and BCAN Full Image File 	<ul style="list-style-type: none"> CCEPs and TTEPs
4:00pm – 4:15pm	<ul style="list-style-type: none"> Opening Call Auction (tagging BCAN to every Northbound orders) 	<ul style="list-style-type: none"> CCEPs
4:15pm – 4:20pm	<ul style="list-style-type: none"> 5 minutes break before start of Morning Continuous Auction Session 	<ul style="list-style-type: none"> Nil
4:20pm – 4:30pm	<ul style="list-style-type: none"> Morning Continuous Auction Session (tagging BCAN to every Northbound orders) 	<ul style="list-style-type: none"> CCEPs
4:30pm – 4:35pm	<ul style="list-style-type: none"> Mid-day Close 	<ul style="list-style-type: none"> CCEPs
4:35pm – 4:57pm	<ul style="list-style-type: none"> Afternoon Continuous Auction Session (tagging BCAN to every Northbound orders) 	<ul style="list-style-type: none"> CCEPs
4:57pm – 5:00pm	<ul style="list-style-type: none"> Closing Call Auction Session (tagging BCAN to every Northbound orders) 	<ul style="list-style-type: none"> CCEPs
5:02pm	<ul style="list-style-type: none"> Day Close 	<ul style="list-style-type: none"> CCEPs
5:30pm – 6:00pm	<ul style="list-style-type: none"> Download trade file via Electronic Communication Platform (ECP) 	<ul style="list-style-type: none"> CCEPs
8:00pm – 9:00pm	<ul style="list-style-type: none"> Post Test Verification Session after MR3 (optional and applicable for CCEP's participation with prior registrations) 	<ul style="list-style-type: none"> CCEPs

3 Guidelines for NB Investor ID Model MR3

CCEPs/TTEPs are requested to make note of the following important points when they take part in MR3:

Before MR3:

- In case there is any update of designated contact person, CCEPs and TTEPs are required to complete Appendix A – Notification Form and return it to HKEX on or before 22 August 2018 to provide the new designated contact person for MR3. For CCEPs who will join the Post Test Verification Sessions after MR3, they are also required to complete the Appendix A.
- For CCEPs/TTEPs who have already confirmed their readiness and would like to participate in MR3 are required to complete and return the notification form (Appendix A of the Information Package for MR3) to HKEX on or before 22 August 2018 (Wednesday) to confirm their participation in MR3.
- CCEPs must ensure that the correct configuration of BSS software (if needed) supporting BCAN is activated before connecting to CSC/CCCG for MR3. In this case, after conducting MR3, CCEPs must also ensure that appropriate BSS software (without BCAN) is reinstated in order to ensure no interruption to their trading activities on the following trading day.
- CCEPs are reminded to back up their BSS production database before MR3 so that the database can be restored after the test to safeguard data integrity for the following trading day.

Access to MR3 and Post Test Verification Session:

SFTP Facility

- CCEPs/TTEPs are required to logon to SFTP via the registered Public Keys for submission of BCAN-CID Mapping File and Authorised TTEP Firm List.

CCCG

- CCEPs are required to logon all CCCG (including Trading and Drop Copy sessions) by using the assigned Comp ID(s) and password “Ab123456” or production password as specified below or in respective activity rundown:

Test Sessions	Password
MR3	“Ab123456”
Post Test Verification Session after MR3	Production password

During MR3:

- All CCCG sessions and Drop-Copy sessions of participating CCEPs will be turned on by HKEX during MR3.
- During morning session in MR3, CCEPs and TTEPs are required to simulate real-life files submission activities (e.g. add, delete or amend BCANs) by submitting BCAN-CID Mapping File and Authorised TTEP Firm List and also to verify the relevant response files, the BCAN Full Image File and BCAN-CID Validation Result File so as to ensure BCAN registration is successfully completed.
- Please note that BCAN-CID Mapping/Authorized TTEP Firm List files that have been submitted onto the SFTP facility cannot be renamed and only BCAN-CID Mapping

and Authorized firm list files that have been packaged with the zip utility, and have “zip” file extension will be accepted by SFTP.

- **The total number of records in BCAN-CID Mapping File to be submitted by CCEPs/TTEPs must be less than 200 records.**
- All BCANs that were successfully registered and contained in BCAN Full Image File distributed on 11 August 2018 will be carried forward to MR3. CCEPs and TTEPs are still required to submit new BCANs in the BCAN-CID Mapping File for registration in MR3.
- The stock database as at the market open on 27 August 2018 will be used for MR3.
- During afternoon session in MR3, CCEPs are required to simulate real-life trading activities by inputting orders tagged with BCANs which are successfully registered in the morning session.
- CCEPs already rolled out pre-trade checking function for institutional investor ID (IIID), please use IIID that opened at or before 22 August 2018.
- CCEPs supported but not yet rolled out pre-trade checking function for IIID, dummy IIID will be separately issued to the relevant CCEPs.

After MR3:

- Upon completion of MR3, CCEPs are reminded to log off and terminate all CCCG sessions, then perform end-of-day procedures and clean up the transaction data (e.g. orders and trades) entered during the test from BSS (if applicable).
- After MR3, CCEPs are also reminded to clean up the next day requests for testing, if any, to ensure that these testing orders will not be carried forward to the production on the following trading day.
- **All SFTP user accounts and public keys will be carried forward to the production environment when the BCAN-CID file submission service launches later. Should CCEPs and TTEPs wish to renew their public keys, please repeat the key registration process.**

4 Typhoon and/ or Rainstorm Arrangements

When Tropical Storm Warning Signal No. 8 (or above) or the Black Rainstorm Warning Signal is hoisted, the following arrangements will apply:

Condition	Arrangement
If either of the warnings is hoisted or to be in force anytime from 7:00am to 9:00am	The scheduled activity of the day will be cancelled and will not be resumed for the rest of the day.
If Tropical Storm Warning Signal No. 8 or above is hoisted after 9:00am	The scheduled activity of the day will be terminated 15 minutes thereafter.
If Black Rainstorm Warning is issued after 9:00am	All scheduled activity will continue until completion.

Note:

In any case, all participating CCEPs/TTEPs should complete the appropriate day-end work including file/ database backup and restoration, system restoration/ fallback and so on to ensure there will be no interruption on the next trading day.

5 Support Hotline

Should CCEPs/TTEPs have any questions about NB Investor ID Model and MR3, please contact the following Support Hotlines:

	Telephone Number	Email Address
For BSS Support	2840 3351	bsssupport@hkex.com.hk
For General Enquiry	2840 3626	trd@hkex.com.hk
For OMD-CC Enquiry	2211 6558	IVSupport@hkex.com.hk

Appendices

Appendix A – Notification Form for Change of Contact Person for Northbound Investor ID Model Third Market Rehearsal (MR3)

<p>Explanatory Notes :</p> <ol style="list-style-type: none"> 1. Please complete this Form and return to HKEX – Cash Trading by fax at 2521-7899 or by email to OTPC@hkex.com.hk on or before 22 August 2018. 2. Upon receipt of the Form, HKEX will send an email confirmation to the email address of the contact person provided below prior to MR3. 3. In case unexpected emergency situation happen during MR3, HKEX's announcement will be sent to the below designated contact person's email address.
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Exchange Participant Information (Applicable to both CCEP and TTEP)			
Name of Exchange Participant	Participant ID	Registration Category <input type="checkbox"/> CCEP <input type="checkbox"/> TTEP	
Primary Contact Person	Office Phone No.	Mobile Phone No.	Email Address
Secondary Contact Person	Office Phone No.	Mobile Phone No.	Email Address

Exchange Participant Confirmation for Participation	
I. Participation in Northbound Investor ID Model MR3 on 25 August 2018	
For CCEP:	
<input type="checkbox"/>	We confirm to participate in Northbound Investor ID Model MR3 on 25 August 2018 (Saturday) and request HKEX to turn on all our CCCG/BSS and Drop-Copy session (production and non-production).
For TTEP:	
<input type="checkbox"/>	We confirm to participate in Northbound Investor ID Model MR3 on 25 August 2018 (Saturday).
II. Participation in Northbound Investor ID Model MR3 Post Test Verification Session on 25 August 2018 (from 8:00pm to 9:00pm)	
For CCEP:	
<input type="checkbox"/>	We confirm to participate in Post Test Verification Session and make use of this session to ensure proper fallback of our system for CSC/CCCG production trading on the following Monday and request HKEX to turn on all our CCCG/BSS and Drop-Copy session (production only)

By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in Appendix E of this Information Package.

Signature of Responsible Officer
with Company Chop : _____ Date : _____

Name of Responsible Officer : _____

Appendix B – Activity Rundown for NB Investor ID Model MR3 on 25 August 2018

Time	Activities
24 August 2018 (Friday) – After Market Close	
After 5:00pm	<ul style="list-style-type: none"> <input type="checkbox"/> For all CCCG/BSS sessions, ensure change, if any, to network configuration is properly completed <input type="checkbox"/> Ensure all CCCG/BSS components are powered on after trading hours <input type="checkbox"/> Ensure the production database of in-house / back-office systems are properly backed-up <p>For all existing production BSS, please do not input any next day requests after trading hours on Friday (i.e., requests intended for submission to CSC/CCCG on the following trading day, since next day requests will be submitted to CSC/CCCG during the MR and will not be available on the following trading day).</p>
25 August 2018 (Saturday)	
Submission of BCAN-CID Mapping File and Authorised TTEP Firm List	
9:00am – 10:30am	<p><i>No enrollment is required for OMD-CC.</i></p> <p><u>Logon to SFTP Facility</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Connect to the SFTP Facility by using the SFTP user accounts setup previously with HKEX <input type="checkbox"/> The private key which its corresponding public key has been registered with HKEX should be used to logon the SFTP facility <p><u>For CCEPs/TTEPs</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Submit BCAN-CID Mapping File (e.g. for new BCAN creation, deletion or modification of BCANs etc), a corresponding BCAN-CID Response File will be returned within a few minutes after submission <input type="checkbox"/> The total number of records in BCAN-CID Mapping File to be submitted by CCEPs/TTEPs must be less than 200 records <input type="checkbox"/> Check the BCAN-CID Response File to ensure the accuracy of the submitted BCAN-CID Mapping File <p><u>For CCEPs who have TTEPs</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Submit Authorised TTEP Firm List, a corresponding Authorised TTEP Firm List Response File will be returned within a few minutes after submission <input type="checkbox"/> Check the Authorised TTEP Firm List Response File to ensure the accuracy of the submitted Authorised TTEP Firm List <input type="checkbox"/> CCEPs are advised to submit the Authorised TTEP Firm List as soon as possible, e.g. before 9:30am, so that their TTEPs can submit BCAN-CID Mapping File.
Retrieval of BCAN-CID Validation Result File and BCAN Full Image File	
1:00pm – 2:00pm	<p><u>For CCEPs/TTEPs</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Retrieve and verify the BCAN-CID Validation Result File and BCAN Full Image File <input type="checkbox"/> Only the successfully registered BCANs shown in the BCAN Full Image File can be used for tagging in the afternoon session

Time	Activities
Ready for Market Open	
Before 4:00pm	<p><u>Logon to CSC Host</u></p> <p>For CCCG and China Connect Drop-Copy Sessions :</p> <ul style="list-style-type: none"> <input type="checkbox"/> Connect to ALL applied CCCG and China Connect Drop-Copy Sessions, logon ALL the applied sessions by using the assigned Comp ID and testing password "Ab123456".
Opening Call Auction	
4:00pm – 4:15pm	<ul style="list-style-type: none"> <input type="checkbox"/> The opening call auction session of SSE/SZSE will run from 4:05pm – 4:15pm <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) <input type="checkbox"/> Tag BCAN to each of the orders <input type="checkbox"/> Take note of the saleable quantities of eligible stocks on hand with reference to Appendix D <p>Note: CSC will start to accept China Connect orders from 4:00pm. However, these orders will only be processed according to the timetable of SSE/SZSE.</p>
Morning Continuous Auction Session	
4:20pm – 4:30pm	<ul style="list-style-type: none"> <input type="checkbox"/> The continuous auction session of SSE/SZSE will run from 4:20pm – 4:30pm <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) <input type="checkbox"/> Tag BCAN to each of the orders <input type="checkbox"/> Take note the saleable quantities of eligible stock on hand
Exchange Intervention	4:31pm
Close	4:32pm
Afternoon Continuous Auction Session	
4:35pm – 4:57pm	<ul style="list-style-type: none"> <input type="checkbox"/> The continuous auction session of SSE/SZSE will run from 4:35pm – 4:57pm <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume) <input type="checkbox"/> Tag BCAN to each of the orders <input type="checkbox"/> Take note the saleable quantities of eligible stock on hand <p>Note: CSC will start accept China Connect orders from 4:34pm to 5:00pm. However, these orders will only be processed according to the timetable of SSE/ SZSE.</p>
Closing Call Auction Session	
4:57pm – 5:00pm	<ul style="list-style-type: none"> <input type="checkbox"/> Closing Call Auction of SSE/SZSE will run from 4:57pm – 5:00pm <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume)

Time	Activities																
	<input type="checkbox"/> Tag BCAN to each of the orders <input type="checkbox"/> Take note the saleable quantities of eligible stock on hand																
Exchange Intervention	5:01pm																
Day Close	5:02pm																
5:02pm – 5:30pm	For CCCG and China Connect Drop-Copy Sessions : <input type="checkbox"/> Logout and terminate CCCG and China Connect Drop-Copy sessions <input type="checkbox"/> Perform end-of-trading procedures, if any, to ensure database integrity <input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable)																
Download Day-end Trade File																	
5:30pm – 6:00pm	Download the following file by using production user ID with “TO” user group (i.e. user ID of MXXXXXTXXXX) and production password through ECP <input type="checkbox"/> Trade file for SSE/SZSE (from 5:30pm) and check the accuracy of trade details																
Post Test Verification Session after MR3 – fallback to CSC/CCCG without BCAN (optional and applicable to CCEPs with prior registration)																	
8:00pm – 9:00pm	<p><u>Note :</u> <i>Only CCEPs who have indicated their participation in the notification form given in Appendix A will have ALL of their enrolled production CCCG sessions enabled to participate in the Post Test Verification Session.</i></p> <p><u>Logon to CSC Host</u> <input type="checkbox"/> Connect to CCCG for all CCCG sessions (including Trading and Drop Copy sessions).</p> <p><u>Trading Timetable</u></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th style="text-align: center;">SSE/SZSE</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">8:05pm – 8:15pm</td> <td style="text-align: center;">Opening Call Auction Session</td> </tr> <tr> <td style="text-align: center;">8:20pm – 8:30pm</td> <td style="text-align: center;">Morning Continuous Auction Session</td> </tr> <tr> <td style="text-align: center;">8:30pm – 8:35pm</td> <td style="text-align: center;">Mid-day Close</td> </tr> <tr> <td style="text-align: center;">8:35pm – 8:57pm</td> <td style="text-align: center;">Afternoon Continuous Auction Session</td> </tr> <tr> <td style="text-align: center;">8:57pm – 9:00pm</td> <td style="text-align: center;">Closing Call Auction Session</td> </tr> <tr> <td style="text-align: center;">9:01pm</td> <td style="text-align: center;">Exchange Intervention (HKEX)</td> </tr> <tr> <td style="text-align: center;">9:02pm</td> <td style="text-align: center;">Day Close (HKEX)</td> </tr> </tbody> </table> <p><u>After completion of post-test verification</u> <input type="checkbox"/> Logout and terminate CCCG and China Connect Drop-Copy sessions <input type="checkbox"/> Perform end-of-trading procedures, if any, to ensure database integrity <input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable). <input type="checkbox"/> All OMD-CC messages disseminated during the testing period should be treated as non-production data and have to be cleaned up afterwards.</p> <p>Note: Logon using the assigned Comp ID(s) and Production password for all CCCG</p>		SSE/SZSE	8:05pm – 8:15pm	Opening Call Auction Session	8:20pm – 8:30pm	Morning Continuous Auction Session	8:30pm – 8:35pm	Mid-day Close	8:35pm – 8:57pm	Afternoon Continuous Auction Session	8:57pm – 9:00pm	Closing Call Auction Session	9:01pm	Exchange Intervention (HKEX)	9:02pm	Day Close (HKEX)
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8:57pm – 9:00pm	Closing Call Auction Session																
9:01pm	Exchange Intervention (HKEX)																
9:02pm	Day Close (HKEX)																

Time	Activities
	sessions (including Trading and Drop Copy sessions).
Complete and Return Feedback Form	
Before 6:00pm, 27 August 2018	<input type="checkbox"/> Complete and return the Feedback Form (Appendix C) to HKEX by fax (Fax No.: 2521-7899 or 2868-5223) or by email to OTPC@hkex.com.hk .

Appendix C – Feedback Form for Northbound Investor ID Model MR3 on 25 August 2018

Notes :

1. Please complete Sections I to III of this form.
2. **Upon completion, please return the form to HKEX by Fax (fax nos.: 2521-7899 or 2868-5223) or by Email to OTPC@hkex.com.hk on or before 27 August 2018**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626

Section I Participant Information

Name of Exchange Participant		Participant ID	Registration Category <input type="checkbox"/> CCEP / <input type="checkbox"/> TTEP
Contact Person	Phone No.	Email Address	

Section II Participant Feedback (please tick the appropriate boxes)

Applicable to both CCEP and TTEP

1. Did your SFTP connection encounter any unresolved connectivity or log on issues during the market rehearsal?
 No
 Yes, please specify : _____
2. Did you experience any issue in submitting and receiving BCAN files via SFTP during market rehearsal?
 No
 Yes, please provide relevant details for analysis by HKEX : _____

Applicable to CCEP only

3. Did your CCCG trading session(s) encounter any unresolved connectivity or log on issues during the market rehearsal?
 No
 Yes, please specify : _____
4. Did your trading session(s) experience any issue in relation to tagging northbound trading orders with the corresponding BCANs during the market rehearsal?
 No
 Yes, please specify : _____
5. Did your China Connect Drop-Copy session(s) encounter any unresolved connectivity or logon issues during the market rehearsal?
 Not applicable
 No
 Yes, please specify : _____
6. If you have further comments about the market rehearsal, please specify below:

Section III Participant Confirmation *(Applicable to both CCEP and TTEP, please tick the appropriate boxes)*

- We have successfully completed the market rehearsal on _____ (date) in accordance with the activity rundown. We hereby confirm that our infrastructure and operation are ready for the implementation of Northbound Investor ID Model.

- We have encountered the problem(s) below during the market rehearsal(s). (Please specify the system(s) involved and rectification work to fix the problem(s) below.)

By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in Appendix E of this Information Package.

Signature of Responsible Officer
with Company Chop : _____ Date : _____

Name of Responsible Officer : _____

Appendix D – Stock Balances on MR3

Pre-set Stock Balances for Northbound Trading

For each CCEP and each Institutional Investor (II) ID allocated to CCEP will have the maximum sellable quantity 5,000 for the following stocks during the MR.

For each Short Selling Security in the MR, the maximum number of shares available for short selling is 5,000.

SSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
600019	90019	BAOSHAN IRON & STEEL	Yes	5,000
600028	90028	CHINA PETROLEUM AND CHEMICAL	Yes	5,000
600276	90276	JIANGSU HENGRUI MEDICINE	Yes	5,000
600887	90887	INNER MONGOLIA YILI INDUSTRIAL	Yes	5,000
600900	90900	CHINA YANGTZE POWER	Yes	5,000
601288	91288	AGRICULTURAL BANK OF CHINA	Yes	5,000
601318	91318	PING AN INSURANCE	Yes	5,000
601398	91398	INDUSTRIAL AND COMMERCIAL BANK OF CHINA	Yes	5,000
603077	93077	SICHUAN HEBANG BIOTECHNOLOGY	No	5,000
603288	93288	FOSHAN HAITIAN FLAVOURING AND FOOD	No	5,000
SZSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
000001	70001	PING AN BANK	Yes	5,000
000333	70333	MIDEA GROUP	Yes	5,000
000425	70425	XCMG CONSTRUCTION MACHINERY	Yes	5,000
000651	70651	GREE ELECTRIC APPLIANCES INC OF ZHUHAI	Yes	5,000
000725	70725	BOE TECHNOLOGY GROUP	Yes	5,000
000858	70858	WULIANGYE YIBIN	Yes	5,000
000898	70898	ANGANG STEEL	Yes	5,000
002027	72027	FOCUS MEDIA INFORMATION TECHNOLOGY	Yes	5,000
002670	72670	GUOSHENG FINANCIAL HOLDING	No	5,000
300136	77136	SHENZHEN SUNWAY COMMUNICATION	No	5,000

Appendix E – Privacy Policy Statement

Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

Session Cookies: temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

Persistent Cookies: cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("Privacy Commissioner") which may be found on the official website of the Office of the Privacy Commissioner or via this link

<https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

Contact us

By Post:
Personal Data Privacy Officer
Hong Kong Exchanges and Clearing Limited
12/F., One International Finance Centre
1 Harbour View Street
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK