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**Information Package  
for  
Orion Trading Platform – China Stock Connect  
(OTP-CSC)  
Market Rehearsal on 6 July 2019**

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Version 1.1

Jul 2019

## Version History

Version No.	Issue Date	Particulars
1.0	28 Jun, 2019	First version of OTP-CSC Information Package on the Second Market Rehearsal
1.1	3 Jul, 2019	Revised the timetable for Shanghai-Hong Kong Stock Connect

## Table of Contents

1	Introduction .....	4
1.1	Overview.....	4
1.2	Market Data Arrangement for MRs .....	4
2	Schedule and Activities for OTP-CSC MR2 .....	5
2.1	Tasks for CCEPs on MRs.....	5
2.2	MR2 Timetable .....	5
3	Guidelines for OTP-CSC MRs .....	7
4	Typhoon and/ or Rainstorm Arrangements .....	9
5	Support Hotline .....	10
	<b>Appendix A – Activity Rundown for OTP-CSC MR2 on 6 July 2019.....</b>	<b>12</b>
	<b>Appendix B – Stock Balances on MR2.....</b>	<b>15</b>
	<b>Appendix C – Notes on Order Input for MR2 .....</b>	<b>17</b>
	<b>Appendix D – Feedback Form for OTP-CSC MR2 on 6 July 2019 .....</b>	<b>18</b>
	<b>Appendix E – Privacy Policy Statement.....</b>	<b>19</b>

## 1 Introduction

### 1.1 Overview

Following the successful completion of the Connectivity Session and first Market Rehearsal (MR1), all China Connect Exchange Participants (CCEPs) using Broker Supplied System (BSS) are invited to participate in the second Market Rehearsal (MR2) to ensure they can operate with Orion Trading Platform – China Stock Connect (OTP-CSC) which will replace the current China Stock Connect System (CSC).

Date	Mandatory / Optional	Task	Objective
27 April 2019	Optional	Connectivity Session (CS) <i>[Completed]</i>	Validate the readiness of CCEPs' BSS production configuration and connectivity with OTP-CSC.
22 June 2019	Mandatory	1 <sup>st</sup> Market Rehearsal (MR1) <i>[Completed]</i>	Validate CCEPs' BSS in production configuration to perform normal business transactions and volume testing with OTP-CSC.
6 July 2019	Mandatory	2 <sup>nd</sup> Market Rehearsal (MR2)	Validate CCEPs' BSS capability for handling HKEX's system failover from primary site to backup site.

**This information package is for MR2. MR2 is mandatory for participation.** All CCEPs must satisfactorily complete the two MRs to ensure their CCCG/BSS can operate with OTP-CSC under normal operation and contingency arrangement. Failure to complete MRs may result in the CCEP's trading device being prohibited from connecting to OTP-CSC.

### 1.2 Market Data Arrangement for MRs

CCEPs who have subscribed to HKEX Orion Market Data Platform - China Connect (Securities) (OMD-CC) can have access to OMD-CC feed during MRs.

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

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

## 2 Schedule and Activities for OTP-CSC MR2

### 2.1 Tasks for CCEPs on MRs

CCEPs are required to complete the following tasks for the MR2:

Task	CCEPs Concerned	Deadline / Execution Date	Reference Documents
<b>2<sup>nd</sup> Market Rehearsal (MR2) (mandatory)</b>			
1. Execute rundown	All CCEPs	6 July 2019 (Saturday) 9:15am – 2:00pm	<a href="#">Appendix A – Activity Rundown</a>
2. Conduct Post Test Verification Session after MR2 (optional) <sup>[1]</sup>	Relevant CCEPs	6 July 2019 (Saturday) 7:00pm to 8:00pm	<a href="#">Appendix A – Activity Rundown</a>
3. Return feedback form	All CCEPs	On or before 8 July 2019 (Monday)	<a href="#">Appendix D – Feedback Form</a>

Note:

- The “Post Test Verification Session after MR2” is offered for CCEPs to validate that their BSS have already reinstated for trading with CSC properly on the following trading day. Participation is optional and prior registration is required.

### 2.2 MR2 Timetable

MR2 aims to provide another opportunity for CCEPs to simulate their trading activities and validate the capability of their BSS in handling system failover of OTP-CSC and OMD-CC from primary site to backup site. Closing Call Auction Session as well as closing price file will NOT be provided for Shanghai-Hong Kong Stock Connect, below are the timetables for Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect for the MR2:

#### Shanghai-Hong Kong Stock Connect

Time	Session
9:15am – 9:25 am	<ul style="list-style-type: none"> <li>Opening Call Auction Session</li> </ul>
9:30am – 11:30am	<ul style="list-style-type: none"> <li>Morning Continuous Auction Session</li> </ul>
9:45am	<ul style="list-style-type: none"> <li>Simulated OTP-CSC and OMD-CC System Failure / Trading Interruption</li> </ul>
10:45am	<ul style="list-style-type: none"> <li>OTP-CSC and OMD-CC at Backup site is ready for Connection from BSS</li> </ul>
11:00am – 11:30am	<ul style="list-style-type: none"> <li>Continuation of Morning Continuous Auction Session</li> </ul>
12:00noon – 2:00pm	<ul style="list-style-type: none"> <li>Download Day-End Trade File</li> </ul>
7:00pm – 8:00pm	<ul style="list-style-type: none"> <li>Post Test Verification Session after MR2 (optional and applicable for CCEP’s participation with prior registrations)</li> </ul>

Shenzhen-Hong Kong Stock Connect

<b>Time</b>	<b>Session</b>
9:15am – 9:25 am	<ul style="list-style-type: none"> <li>Opening Call Auction Session</li> </ul>
9:30am – 10:30am	<ul style="list-style-type: none"> <li>Morning Continuous Auction Session</li> </ul>
9:45am	<ul style="list-style-type: none"> <li>Simulated OTP-CSC and OMD-CC System Failure / Trading Interruption</li> </ul>
10:45am	<ul style="list-style-type: none"> <li>OTP-CSC and OMD-CC at Backup site is ready for Connection from BSS</li> </ul>
11:00am – 11:27am	<ul style="list-style-type: none"> <li>Afternoon Continuous Auction Session</li> </ul>
11:27am – 11:30am	<ul style="list-style-type: none"> <li>Closing Call Auction Session</li> </ul>
12:00noon – 2:00pm	<ul style="list-style-type: none"> <li>Download Day-End Trade File and Closing Price File</li> </ul>
7:00pm – 8:00pm	<ul style="list-style-type: none"> <li>Post Test Verification Session after MR2 (optional and applicable for CCEP's participation with prior registrations)</li> </ul>

### 3 Guidelines for OTP-CSC MRs

CCEPs are requested to make note of the following important points when they take part in the MR2:

#### Before MR2:

- [Notification Form for OTP-CSC Market Rehearsal \(MRs\)](#) to provide the designated contact persons and confirm whether they will join the Post Test Verification Session after MRs has been submitted to HKEX before the deadline on 11 June 2019.
- For participation of MR2, no prior registration is required.
- CCEPs should have completed the End-to-End Test to verify the readiness of their BSS software prior to their participation in the MRs.

#### During MR2:

- CCEPs must ensure that the correct configuration (if needed) of BSS software supporting OTP-CSC is activated before connecting to OTP-CSC. In this case, after conducting MR2, CCEPs must also ensure that BSS software is reinstated for CSC to ensure no interruption to their trading activities on the following trading day.
- CCEPs are reminded to back up their BSS production database before the MR2 so that the database can be restored after the test to safeguard data integrity for the following trading day.
- The stock database as at the market open on **17 June 2019** will be used for MR2.
- Take note of the saleable quantities of eligible stocks on hand when placing sell orders with reference to [Appendix B](#).
- It will simulate OTP-CSC and OMD-CC system failure and failover to backup site at around 9:45am.
- CCEPs should sign on **ALL** CCCG/BSS (including Trading and Drop Copy sessions) by using the assigned Comp ID and password "**Ab123456**" before and after OTP-CSC and OMD-CC system failure and failover to backup site.
- CCEPs are requested to submit orders to simulate real-life trading activities. Submission of buy and sell orders are required to tag with BCANs, however, no BCAN checking will be done during the MR2.
- CCEPs already rolled out pre-trade checking function for institutional investor ID (II ID), please use II ID that opened at or before **3 June 2019**.
- CCEPs supported but not yet rolled out pre-trade checking function for II ID, dummy II IDs will be separately issued to the relevant CCEPs.

#### After MR2:

- Upon completion of test, 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 the testing, 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 OMD-CC messages disseminated during the MR2 should be treated as non-production data and have to be cleaned up afterwards.

Post Test Verification Session:

- Participation in Post Test Verification Session is optional and required prior registration.
- Participating CCEPs are required to use **production password** to logon all CCCG/BSS (including Trading and Drop Copy sessions) to verify their BSS systems successfully fallback to current production version.
- Participating CCEPs can only perform logon test as both Shanghai and Shenzhen markets are closed.



## 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 <b>anytime from 7:00am to 9:00am</b>	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 <b>after 9:00am</b>	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:

1. In any case, all participating CCEPs 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 have any questions about OTP-CSC MRs, please contact the following Support Hotlines:

Support Hotline	Telephone Number	Email Address
For BSS Support	2840 3351	<a href="mailto:bsssupport@hkex.com.hk">bsssupport@hkex.com.hk</a>
For General Enquiry	2840 3626	<a href="mailto:otpc@hkex.com.hk">otpc@hkex.com.hk</a>
For OMD-CC Enquiry	2211 6558	<a href="mailto:IVSupport@hkex.com.hk">IVSupport@hkex.com.hk</a>

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# Appendices

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## Appendix A – Activity Rundown for OTP-CSC MR2 on 6 July 2019

Time	Activities	
	Shanghai-Hong Kong Stock Connect	Shenzhen-Hong Kong Stock Connect
<b>5 July 2019 (Friday) – After Market Close</b>		
After 5:00pm	<ul style="list-style-type: none"> <li>Ensure the production database of in-house / back-office systems are properly backed-up before the MR2.</li> <li>Ensure the BSS system version used for the MR2 is OTP-CSC compatible; otherwise, the BSS system may not be able to connect to OTP-CSC when OTP-CSC is brought up.</li> </ul> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li><i>For BSS, please do not input any next day requests after trading hours on Friday (i.e. requests intended for submission to host on the following trading day, since next day requests will be submitted to OTP-CSC host during MR2 and will not be available on the following trading day).</i></li> <li><i>After MR2 and Post Test Verification Session (if applicable), CCEPs 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.</i></li> <li><i>No enrollment is required for OMD-CC.</i></li> </ul>	
<b>6 July 2019 (Saturday)</b>		
Before 9:00am	<p><b><u>Logon to OTP-CSC Host</u></b> For <b>CCCG/BSS</b></p> <ul style="list-style-type: none"> <li>Connect to CCCG for all CCCG sessions (including Trading and Drop Copy sessions).</li> <li>Logon using the assigned Comp ID(s) and the password “<b>Ab123456</b>” for all CCCG sessions (including Trading and Drop Copy sessions).</li> </ul>	
<b>Opening Call Auction Session</b>		
9:15am – 9:25am	<ul style="list-style-type: none"> <li>The opening call auction session will run from 9:15am – 9:25am.</li> <li>Simulate real-life trading activities (in terms of order input, pattern and volume) and refer to <a href="#">Appendix C</a> for Notes on Order Input.</li> <li>Tag BCAN to each of the orders.</li> <li>Take note of saleable quantities of eligible stocks on hand with reference to <a href="#">Appendix B</a>.</li> </ul> <p><b>Note:</b></p> <ul style="list-style-type: none"> <li><i>OTP-CSC will start to accept China Connect orders for SSE/SZSE market from 9:10am. However, these orders will only be processed according to the timetable of SSE/SZSE.</i></li> </ul>	
<b>Continuous Auction Session</b>		
9:30am –	<ul style="list-style-type: none"> <li>Morning Continuous Auction Session of SSE will run from 9:30am – 11:30am.</li> <li>Simulate real-life trading activities (in terms of order input, pattern and volume) and refer to <a href="#">Appendix C</a> for Notes on Order Input.</li> <li>Tag BCAN to each of the orders.</li> <li>Take note the saleable quantities of eligible stocks on hand with reference to <a href="#">Appendix B</a>.</li> </ul>	<ul style="list-style-type: none"> <li>Morning Continuous Auction Session of SZSE will run from 9:30am – 10:30am.</li> <li>Simulate real-life trading activities (in terms of order input, pattern and volume) and refer to <a href="#">Appendix C</a> for Notes on Order Input.</li> <li>Tag BCAN to each of the orders.</li> <li>Take note the saleable quantities of eligible stocks on hand with reference to <a href="#">Appendix B</a>.</li> </ul>

Time	Activities	
	Shanghai-Hong Kong Stock Connect	Shenzhen-Hong Kong Stock Connect
	<p><b>Notes:</b></p> <ul style="list-style-type: none"> <li><b>CCEPs who do not follow the testing guidelines or conduct frivolous activities during the MR2 may be suspended from further participation in the MR2 without prior warning.</b></li> <li><b>OTP-CSC will accept China Connect orders from 9:25am till OTP-CSC system failure. However these orders will only be processed according to the timetable of SZSE/SSE.</b></li> </ul>	
<b>Simulated System Failure / Trading Interruption</b>		
At about 9:45am	<ul style="list-style-type: none"> <li>EPs should pay attention to HKEX's announcement of the contingency arrangement via email sent to the contact person specified by CCEP on the notification form.</li> </ul>	
<b>Resumption of Trading / Trading Restart at Backup Site</b>		
10:45am	<p><b>Logon to OTP-CSC Host</b></p> <ul style="list-style-type: none"> <li>Connect to backup site CCCG* and logon using the assigned Comp ID and same password used before the site failover.</li> <li>Checked trades matched during suspension of OTP-CSC, and reconcile cancelled, matched and outstanding orders.</li> </ul> <p><b>Note:</b></p> <p><b>* - BSS must connect IP/Port of backup site CCCG Lookup Server (for Binary protocol) or IP/Port of backup site CCCG FIX gateways (for FIX protocol) after trading resumption at the backup site.</b></p>	
<b>Continuous Auction Session</b>		
11:00am – 11:30am	<ul style="list-style-type: none"> <li>Morning Continuous Auction Session of SSE will continue to run from 11:00am – 11:30am.</li> <li>Simulate real-life trading activities (in terms of order input, pattern and volume) and refer to <a href="#">Appendix C</a> for Notes on Order Input.</li> <li>Tag BCAN to each of the orders.</li> <li>Take note the saleable quantities of eligible stocks on hand with reference to <a href="#">Appendix B</a>.</li> </ul>	<ul style="list-style-type: none"> <li>Afternoon Continuous Auction Session of SZSE will run from 11:00am – 11:27am.</li> <li>Closing Call Auction Session will run from 11:27am – 11:30am.</li> <li>Simulate real-life trading activities (in terms of order input, pattern and volume) and refer to <a href="#">Appendix C</a> for Notes on Order Input.</li> <li>Tag BCAN to each of the orders.</li> <li>Take note the saleable quantities of eligible stocks on hand with reference to <a href="#">Appendix B</a>.</li> </ul>
	<p><b>Note:</b></p> <ul style="list-style-type: none"> <li><b>OTP-CSC will start to accept China Connect orders from 11:00am – 11:31am. However these orders will only be processed according to the timetable of SZSE/SSE.</b></li> </ul>	
<b>Exchange Intervention</b>		
11:31am	<ul style="list-style-type: none"> <li>Exchange Intervention.</li> </ul>	

Time	Activities	
	Shanghai-Hong Kong Stock Connect	Shenzhen-Hong Kong Stock Connect
<b>Day Close</b>		
11:32am	For <b>CCCG and China Connect Drop Copy Session</b> : <ul style="list-style-type: none"> <li>Logout and terminate CCCG and China Connect Drop-Copy sessions.</li> <li>Perform end-of-trading procedures, if any, to ensure database integrity.</li> <li>Clean up the transaction data (e.g. orders and trades) entered during the MR2 from BSS, if applicable.</li> </ul>	
<b>Download Day-End Trade File and Closing Price File</b>		
12:00noon – 2:00pm	Download the following file by using production user ID with “TO” user group (i.e. user ID of MXXXXXTXXXX) and production password through ECP: <ul style="list-style-type: none"> <li>Trade file for SSE/SZSE (from 12:00noon) and check the accuracy of trade details.</li> <li>Closing price file for SZSE (from 1:30pm).</li> <li>Closing price file for SSE will not be provided.</li> </ul>	
<b>Software fallback for BSS</b>		
After 2:00pm	For <b>BSS</b> : <ul style="list-style-type: none"> <li>Fallback the BSS software to CSC compatible version.</li> </ul>	
<b>Post Test Verification Session after MR2 – fallback to CSC (optional and applicable to CCEPs with prior registration)</b>		
7:00pm – 8:00pm	<p><b>Note:</b> <i>Only CCEPs who have indicated their participation in the notification form, will have ALL of their enrolled production CCCG sessions enabled to participate in the Post Test verification session.</i></p> <p><b>Logon to CSC Host</b></p> <ul style="list-style-type: none"> <li>Connect to CSC for all CCCG sessions (including Trading and Drop Copy sessions).</li> <li>Logon using the assigned Comp ID(s) and <b>Production password</b> for all CCCG sessions (including Trading and Drop Copy sessions).</li> <li>Only allow to perform logon test as both Shanghai and Shenzhen markets are close.</li> </ul> <p><b>After completion of post-test verification</b></p> <ul style="list-style-type: none"> <li>Logout and terminate CCCG session.</li> <li>Perform end-of-trading procedures, if any, to ensure database integrity.</li> <li>Restore the data and proper BSS production configuration for following Monday, if necessary.</li> </ul>	
<b>8 July 2019 (Monday)</b>		
Before 8:30am	<p><b>Logon to CSC Host</b></p> <p>For <b>CCCG/BSS</b>:</p> <ul style="list-style-type: none"> <li>Perform logon for CCCG sessions (including Trading and Drop Copy sessions) by using <b>production password</b>.</li> </ul>	

## Appendix B – Stock Balances on MR2

### Pre-set Stock Balances for Northbound Trading

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

For each Short Selling Security in the MRs, the maximum number of shares available for short selling is 100,000 for all CCEPs.

SSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each CCEP and II ID assigned	Available Short Sell Qty for all CCEPs
600016	90016	CHINA MINSHENG BANKING CORP., LTD.	Yes	5,000	100,000
600025	90025	HUANENG LANCANG RIVER HYDROPOWER INC.	No	5,000	-
600028	90028	CHINA PETROLEUM AND CHEMICAL CORPORATION	Yes	5,000	100,000
600031	90031	SANY HEAVY INDUSTRY CO.,LTD	Yes	5,000	100,000
600036	90036	CHINA MERCHANTS BANK CO.,LIMITED	Yes	5,000	100,000
600276	90276	JIANGSU HENGRUI MEDICINE CO.,LTD.	Yes	5,000	100,000
600690	90690	QINGDAO HAIER CO.,LTD	Yes	5,000	100,000
600887	90887	INNER MONGOLIA YILI INDUSTRIAL GROUP CO.,LTD	Yes	5,000	100,000
600900	90900	CHINA YANGTZE POWER CO.,LTD.	Yes	5,000	100,000
601006	91006	DAQIN RAILWAY CO., LTD.	Yes	5,000	100,000
601166	91166	INDUSTRIAL BANK CO.,LTD.	Yes	5,000	100,000
601288	91288	AGRICULTURAL BANK OF CHINA LIMITED	Yes	5,000	100,000
601318	91318	PING AN INSURANCE (GROUP) COMPANY OF CHINA, LTD.	Yes	5,000	100,000
601328	91328	BANK OF COMMUNICATIONS CO.,LTD.	Yes	5,000	100,000
601398	91398	INDUSTRIAL AND COMMERCIAL BANK OF CHINA LIMITED	Yes	5,000	100,000
601668	91668	CHINA STATE CONSTRUCTION ENGINEERING CORPORATION LIMITED	Yes	5,000	100,000
601818	91818	CHINA EVERBRIGHT BANK COMPANY LIMITED	Yes	5,000	100,000
601901	91901	FOUNDER SECURITIES CO., LTD.	Yes	5,000	100,000
601988	91988	BANK OF CHINA LIMITED	Yes	5,000	100,000
603288	93288	FOSHAN HAITIAN FLAVOURING AND FOOD COMPANY LTD.	No	5,000	-
SZSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each CCEP and II ID assigned	Available Short Sell Qty for all CCEPs
000001	70001	PING AN BANK CO., LTD.	Yes	5,000	100,000
000002	70002	CHINA VANKE CO., LTD.	Yes	5,000	100,000

000069	70069	SHENZHEN OVERSEAS CHINESE TOWN CO.,LTD	Yes	5,000	100,000
000089	70089	SHENZHEN AIRPORT CO.,LTD	Yes	5,000	100,000
000157	70157	ZOOMLION HEAVY INDUSTRY SCIENCE AND TECHNOLOGY CO., LTD	Yes	5,000	100,000
000333	70333	MIDEA GROUP CO., LTD.	Yes	5,000	100,000
000338	70338	WEICHAJ POWER CO., LTD.	Yes	5,000	100,000
000425	70425	XCMG CONSTRUCTION MACHINERY CO., LTD.	Yes	5,000	100,000
000651	70651	GREE ELECTRIC APPLIANCES,INC.OF ZHUHAI CO.,LTD	Yes	5,000	100,000
000725	70725	BOE TECHNOLOGY GROUP CO., LTD	Yes	5,000	100,000
000858	70858	WULIANGYE YIBIN CO.,LTD.	Yes	5,000	100,000
002008	72008	HAN'S LASER TECHNOLOGY INDUSTRY GROUP CO., LTD.	Yes	5,000	100,000
002027	72027	FOCUS MEDIA INFORMATION TECHNOLOGY CO.,LTD	Yes	5,000	100,000
002050	72050	ZHEJIANG SANHUA INTELLIGENT CONTROLS CO., LTD.	Yes	5,000	100,000
002146	72146	RISESUN REAL ESTATE DEVELOPMENT CO.,LTD.	Yes	5,000	100,000
002415	72415	HANGZHOU HIKVISION DIGITAL TECHNOLOGY CO., LTD	Yes	5,000	100,000
002463	72463	WUS PRINTED CIRCUIT (KUNSHAN) CO.,LTD	No	5,000	-
002475	72475	LUXSHARE PRECISION INDUSTRY CO.,LTD.	Yes	5,000	100,000
300012	77012	CENTRE TESTING INTERNATIONAL GROUP CO., LTD.	No	5,000	-
300015	77015	AIER EYE HOSPITAL GROUP CO.,LTD.	Yes	5,000	100,000



## Appendix C – Notes on Order Input for MR2

The following notes on order input are applicable for Opening Call Auction, Continuous Auction Sessions and Closing Call Auction Session of Northbound Trading:

### General

1. Orders to be input should be at prices within +/- 10% from previous closing price.
2. Buy orders should not below the current best bid price/ the latest trade price / the previous closing price (as the case may be) by more than 3%.
3. Cancel outstanding orders as far as possible.
4. Both buy and sell orders are required to tag with BCANs.

### Short Selling Order

5. A Short Selling order for a Short Selling Security shall not be input into the OTP-CSC at a price lower than the most recent execution price for that Short Selling Security or, if there have been no executed trades for that Short Selling Security on the relevant OTP-CSC trading day, the previous closing price for that Short Selling Security.
6. Short Selling order must be in multiples of 100 shares.
7. Any Short Selling order of a Short Selling Security that, if executed, will cause the 1% daily limit to be exceeded during the course of a OTP-CSC trading day will be rejected by the OTP-CSC.

### Sell Order and Buy Order for Pre-Trade Checking Function for Institutional Investors

8. For those supporting pre-trade checking function for institutional investors, input Institutional Investor ID (II ID) for sell orders and, if applicable, buy orders.

**Appendix D – Feedback Form for OTP-CSC MR2 on 6 July 2019**

**Notes :**

1. Please complete both Sections I and II of this form.
2. **Upon completion, please return the form to HKEX by Fax (fax no.: 2521-7899) or by Email to [OTPC@hkex.com.hk](mailto:OTPC@hkex.com.hk) on or before 8 July 2019.**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626.

**Section I Participant Information**

Name of Exchange Participant		Participant ID
Contact Person	Phone No.	Email Address

**Section II Participant Feedback** *(please tick the appropriate boxes)*

1. Did your **BSS** encounter any unresolved connectivity or log on issues during the market rehearsal?
  - No
  - Yes, please specify : \_\_\_\_\_
2. Did your **BSS** experience any system failure or interruption during the market rehearsal?
  - No
  - Yes, please specify : \_\_\_\_\_
3. Did your **BSS** experience any exceptional response time for order input during the market rehearsal? *(Note : Response time means the time taken by OTP-CSC to provide the order confirmation reply after the order input.)*
  - No
  - Yes, please provide relevant details of the transactions (e.g. transaction time, stock code, order price and the response time observed) for analysis by HKEX :  
\_\_\_\_\_
4. Did your **BSS** experience difficulties in handling the OMD-CC market data?
  - No
  - All our BSS do not receive market data from OMD-CC
  - Yes, please provide relevant details (e.g. time, stock code, and the response time observed) for analysis by HKEX:  
\_\_\_\_\_
5. If you have further comments about the market rehearsal, please specify 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 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  
8/F., Two Exchange Square  
8 Connaught Place  
Central  
Hong Kong

By Email:  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)