通告 CIRCULAR

Subject: **Market Rehearsal for HKATS and DCASS Upgrade**

Enquiry: **DCASS Hotline: 2979 7222 / Email: clearingpsd@hkex.com.hk**

Reference is made to the circular dated 19 December 2018 (CD/CDCO/DCASS/163/2018), Hong Kong Exchanges and Clearing Limited (HKEX), subject to market readiness and regulatory approval, plans to launch the HKATS and DCASS Upgrade (Upgrade) in May 2019 tentatively.

1. Market Rehearsal

In order to provide opportunity for Clearing Participants (CPs) to examine their readiness for the Upgrade, including internal operations, network and system connections with central gateway, back-office system, OAPI programs and other in-house arrangement, in an end-to-end manner, Market Rehearsals (MRs) of the Upgrade will be held as follows:

Date	Brief Activities
2 March 2019, Saturday	Connectivity Test to verify network configuration and connection in an end-to-end manner
9 March 2019, Saturday	MR execution to simulate production environment at the launch of the Upgrade, also covers Volume Test, Data Centre Failover and Fallback
16 March 2019, Saturday	MR execution to simulate production environment after the end of the Stabilization Period[1] of the Upgrade, also covers: - Extension of HKATS root symbol to 5 characters, - Weekly Index Options (optional)

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[1] Stabilization Period is the first two weeks after the launch of the Upgrade

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All CPs are required to participate in the above MRs. CPs who do not participate in the MRs or unable to confirm their readiness will not be able to access DCASS after the launch of the Upgrade.

For better communication on MR related activities, CPs are required to provide their designated contact details by filling the online form on or before 15 February 2019.

To prepare for the MRs in March and the launch in May, CPs must ensure

(i)   they have completed the appropriate firewall/services ports configuration, if applicable;

(ii) their DCASS Online workstation is in place that meets the minimum configuration as communicated to CPs before; including Google Chrome browser version 68.0.3440.106 has been installed;

(iii) their DCASS Online workstation has proper setting of host table and within the authorised IP addresses; and

(iv) for those CPs who will use DCASS OAPI programs upon the launch of Upgrade, CPs must ensure their certified and tested DCASS OAPI programs are ready

The information package of the MRs (including the schedules and guidelines) is available for download from designated HKEX web corner.

2. **Fallback Plan**

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 in the first two weeks after the launch of Upgrade (Stabilisation Period). The Fallback Plan will be posted on designated HKEX web corner in due course.

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3. **Preparation for the Launch**

CPs please pay attention to the followings:

a) the to-be-upgraded infrastructures, including the certified and tested DCASS OAPI programs, which will be verified in the MR should not be changed or modified until HKEX has announced the completion of the Stabilisation Period;

b) CPs should keep records of their passwords for accessing DCASS until the completion of the Stabilisation Period. In case of fallback, CPs should use the passwords immediately before the launch of the Upgrade to access DCASS; and

c) to ensure valid DCASS access in the unlikely situation that fallback procedures is needed to be triggered during the Stabilisation Period, CPs are required to maintain Genium INET DCASS Servers and Terminals, Network Gateway, DCASS OAPI programs (certified on Genium INET platform) and other systems which CPs considered necessary.

CPs are highly recommended to coordinate with their IT teams / vendors for necessary preparation. For any enquiries, please contact the DCASS hotline at 2979 7222 or email to clearingpsd@hkex.com.hk.

Hector Lau
Managing Director
Clearing Operations

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.