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## 通告 CIRCULAR

Subject: **Rollout of HKATS and DCASS Upgrade**

Enquiry: **DCASS Hotline: 2979 7222 / Email: [clearingpsd@hkex.com.hk](mailto:clearingpsd@hkex.com.hk)**

Reference is made to the circular dated 1 February 2019 ([CD/CDCO/DCASS/016/2019](#)). Following the successful completion of the market rehearsal (MR), Hong Kong Exchanges and Clearing Limited (HKEX) is pleased to announce that HKATS and DCASS Upgrade (Upgrade) will be rolled out on **6 May 2019, Monday**.

Clearing Participants (CPs) are requested to note the following matters in relation to the rollout of the Upgrade:

### 1. Rollout Schedule and Activities

Date	Brief Activities
4 May 2019, Saturday	Cutover day - from Genium INET Platform to the Upgrade
5 May 2019, Sunday (9:00 a.m. to 12:00 noon)	Post-release verification session <b><i>ALL CPs MUST</i></b> participate to verify their DCASS connection via DCASS Online and upgraded OAPI programs (if applicable) and perform data verification
6 May 2019, Monday	Rollout of the Upgrade

In order to assist CPs to get ready for the rollout of the Upgrade, the "[Rollout Information Package for Clearing Participants](#)" (Rollout Information Package) has been posted on the HKEX website. CPs are strongly advised to pass this Rollout Information Package to their IT team and/or system vendors as soon as possible for necessary arrangement.

## 2. Preparation for the Rollout (from now till 4 May 2019, Saturday)

CPs please pay attention to the followings:

- a) the to-be-upgraded infrastructures, including DCASS Online, certified and tested DCASS OAPI programs which have been verified in the MR, and also the Reports Retrieval Solution which has been used in production, should be ready for the rollout; and
- b) the existing login IDs and passwords for DCASS terminals and/or OAPI programs as of day end on 3 May 2019 **will be** carried forward to production use on 6 May 2019.

## 3. Post-release Verification Session (5 May 2019, Sunday)

It is **mandatory** for CPs to participate in the Post Release Verification Session on 5 May 2019 to confirm their readiness for the rollout. CPs should verify the DCASS Online and/or OAPI connection with your **existing** login IDs and passwords as of day end on 3 May 2019.

## 4. Rollout Day (6 May 2019, Monday)

### For DCASS Online Users

The DCASS Online login IDs and passwords will be the same as that for DCASS terminals as of day end on 3 May 2019. DCASS servers and terminals will be blocked from accessing DCASS.

### For DCASS OAPI Users

Please be reminded that only OAPI programs certified for the Upgrade can be used on and after the Rollout Day. CPs should ensure their OAPI programs are configured for the Upgrade in accordance with chapter 2 of the [Rollout Information Package](#).

## 5. Fallback Arrangement

After the rollout of the Upgrade, there will be a two-week stabilisation period **from start of T Session on 6 May 2019 to close of T Session on 17 May 2019 (Stabilisation Period)**. During the Stabilisation Period, CPs are required to maintain their Genium INET DCASS servers and terminals, Network Gateways (NGs), DCASS OAPI programs (certified on Genium INET platform), back office systems and other internal systems in standby mode in case of fallback.

CPs should also keep records of their passwords for accessing DCASS until the completion of the Stabilisation Period. In case of fallback, CPs should use the passwords as of day end on 3 May 2019 to access DCASS. Besides, CPs are requested to keep their NGs power up during the Stabilisation Period.

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 during the Stabilisation Period.

A circular will be issued upon the completion of the Stabilisation Period.

## 6. DCASS OAPI Testing Environment

The Genium INET DCASS OAPI testing environment will be terminated by day end of 29 April 2019.

CPs are highly recommended to coordinate with their IT teams and/or system vendors for necessary preparation.

For any enquiries, please contact the DCASS hotline at 2979 7222 or email to [clearingpsd@hkex.com.hk](mailto:clearingpsd@hkex.com.hk).

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*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.*