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## 通告 CIRCULAR

Subject: Market Rehearsal for HKATS and DCASS Upgrade

Enquiry: HKATS Hotline <sup>1</sup> 2211-6360

Reference is made to the circular dated 19 December 2018 (Ref: [MO/DT/217/18](#)), 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

To facilitate Exchange Participants (“EPs”) in examining their readiness for the Upgrade, including but not limited to internal operations, network and system connections with central gateway (“CG”), front-office systems, OAPI programs and market data source, 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, Volume Test, Data Centre Failover and Fallback
16 March 2019, Saturday	MR execution to simulate production environment after the end of the Stabilization Period <sup>2</sup> of the Upgrade, extension of HKATS root symbol to 5 characters, Weekly Index Options (if applicable) and Self Trade Prevention (if applicable)

<sup>1</sup> All calls to the HKATS hotline would be recorded. Please refer to the following link for HKEX privacy policy statement: [http://www.hkex.com.hk/eng/global/privacy\\_policy.htm](http://www.hkex.com.hk/eng/global/privacy_policy.htm)

<sup>2</sup> Stabilization Period is the first two weeks after the launch of the Upgrade

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

For better communication on MR related activities, EPs 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, EPs must ensure

- (i) to configure firewall/services ports configuration, if applicable;
- (ii) their HKATS Online workstation is in place that meets the minimum configuration as communicated to EPs before; including Google Chrome browser version 68.0.3440.106 has been installed;
- (iii) their PTRM workstation is in place that meets the minimum configuration as communicated to EPs before; including Google Chrome browser version 68.0.3440.106 and Java version 8 have been installed;
- (iv) their HKATS Online workstation has proper setting of host table and within the authorised IP addresses; and
- (v) for those EPs who will use HKATS OAPI programs upon the launch of Upgrade, EPs must ensure their certified and tested HKATS 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.

### 3. Preparation for the Launch

EPs please pay attention to the followings:

- a) the “to be upgraded” infrastructures, including the certified and tested HKATS OAPI programs, which will be verified in the MRs should not be changed or modified until HKEX has announced the completion of the Stabilisation Period;
- b) to ensure valid HKATS access in the unlikely situation that fallback procedures is needed to be triggered during the Stabilisation Period, EPs are required to maintain Genium INET HKATS workstations, Network Gateway (“NG”), HKATS OAPI programs (certified on Genium INET platform), Market Data Sources and other systems which EPs considered necessary.

EPs are highly recommended to coordinate with their IT teams and vendors for necessary preparation.

For any enquiries, please contact the HKATS Hotline at 2211 6360.

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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.*