

香港中央結算有限公司
(香港交易及結算所有限公司全資附屬公司)

HONG KONG SECURITIES CLEARING COMPANY LIMITED
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

事項： 2019年10月19日中央結算系統 (CCASS) 系統數據中心復原常規演習
查詢： CCASS 熱線 2979 7111 / 電郵 clearingps@hkex.com.hk

香港交易及結算所有限公司 (香港交易所) 將於 2019 年 10 月 19 日 (星期六) 舉行 CCASS 系統數據中心復原的常規演習 (演習)。

演習之目的為讓中央結算系統參與者及有關人士能於 CCASS 系統數據中心復原期間熟習其應變程序。是次演習亦會涵蓋香港交易所其他系統包括領航星交易平台 - 證券市場 (OTP-C)、中華證券通 (CSC)、HKATS 電子交易系統、衍生產品結算及交收系統 (DCASS)、共同抵押品管理系統 (CCMS)、場外交易結算及交收系統 (OCASS)、結算門戶網站 (OASIS) 及香港交易所領航星市場數據平台 (OMD)。

香港交易所現誠邀中央結算系統參與者透過其中央結算系統終端機及參與者網間連接器 (如適用) 參加是次演習。中央結算系統參與者如有意參加，請於 **2019年10月4日或以前** 透過 [Client Connect](#) 「活動」登記。

尚未成為 Client Connect 用戶的市場參與者請儘快填妥及遞交 [Client Connect 管理人士權限申請 / 維護表格](#)，香港交易所將分批設立管理人士帳戶，獲委任的管理人士將會在其帳戶成功建立後收到電郵通知。

中央結算系統參與者可參閱附件 (只提供英文版) 了解有關是次演習之詳情，香港交易所建議中央結算系統參與者細讀資料文件及於當天跟從指示進行演習。

為配合是次演習，CCASS 將於當天暫停服務，中央結算系統參與者請留意以下事項：

- 10月19日(星期六)當日之CCASS報表可於10月21日(星期一)供參與者查閱；及
- 不會參加是次演習之結算參與者，請勿於10月19日(星期六)當日登入CCASS。

香港交易所強烈建議將會參加演習的中央結算系統參與者須確保於演習期內有足夠的運作員工、資訊科技部門或承辦商提供支援。

如有任何查詢，請致電 CCASS 查詢熱線 2979 7111 或電郵至 clearingps@hkex.com.hk。

結算業務

董事總經理

劉希靖 謹啟

本通告已以英文及另以中文譯本刊發。如本通告中文本的字義或詞義與英文本有所出入，概以英文本為準。



附件
Attachment

CCASS Data Centre Failover Rehearsal

(19 October 2019)

Information Package

for

CCASS Participants

Issue Date: 20 September 2019

Table of Contents

1. INTRODUCTION.....	1
2. OBJECTIVES AND SCOPE	1
2.1 OBJECTIVES	1
2.2 SCOPE	1
3. IMPORTANT NOTES TO CPS.....	2
4. SCHEDULE AND ARRANGEMENTS	4
4.1 OVERVIEW	4
4.2 SCHEDULE AND TIMETABLE.....	4
4.3 USER PROFILE AND PASSWORD.....	5
4.4 REHEARSAL ENVIRONMENT.....	6
4.5 ELIGIBLE SECURITIES	6
4.6 TRANSACTIONS TO BE EXECUTED	6
4.7 REPORT DOWNLOAD AND BATCH FILE UPLOAD	6
5. TYPHOON, EXTREME CONDITIONS AND BLACK RAINSTORM ARRANGEMENTS.....	6
6. COMMUNICATION CHANNELS	7
7. HELP DESK	7
<i>APPENDIX A: CCASS Data Centre Failover Rehearsal Checklist (19 October 2019).....</i>	<i>8</i>
<i>APPENDIX B1: Recommended CCASS Executions for Session 1</i>	<i>9</i>
<i>APPENDIX B2: Recommended CCASS Executions for Session 2</i>	<i>11</i>
<i>APPENDIX C: CCASS Data Centre Failover Rehearsal Confirmation Form</i>	<i>13</i>
<i>APPENDIX D: Special Authorisation Form.....</i>	<i>15</i>

1. Introduction

As a market operator, Hong Kong Exchanges and Clearing Limited (HKEX) has its own contingency plan in place for possible scenarios that would cause interruption to its operations. One of the scenarios is the failure of primary data centre which would trigger a failover to the secondary data centre. To enable CCASS Participants (CPs) and related parties to familiarize themselves with the contingency procedure for the failover of CCASS data centre, HKEX will conduct a data centre failover rehearsal (the Rehearsal) on a regular basis for the failover procedures.

HKEX would like to invite all CPs (including those using CCASS Terminals and Participant Gateways) to participate in the Rehearsal, which will be held on 19 October 2019 (Saturday).

This Information Package is designed to assist CPs in planning and preparing for the Rehearsal. CPs should read this Information Package carefully to ensure all necessary preparations are in place before participating in the Rehearsal. A copy of this document should also be passed to their IT supports or system vendors to ensure the availability of proper technical support and operations resources before and during the Rehearsal.

2. Objectives and Scope

2.1 Objectives

The objectives of the Rehearsal are to verify the following aspects:

- CCASS data centre could be failover within the target completion time under contingency situation
- CPs are able to access CCASS and continue their CCASS operations during CCASS data centre failover

2.2 Scope

The scope of this Rehearsal will include normal sessions before and after data centre failover. CPs should verify if transactions input before failover be recovered and available after CCASS service resumption at the secondary data centre.

3. Important Notes to CPs

CPs should note the following arrangements for the preparation and execution of the Rehearsal:

- a) CPs should logon their CCASS Terminals (C3Ts) and Participant Gateways (PGs), where applicable, **at 11:30 a.m. promptly to start the Rehearsal** on 19 October 2019.
- b) CPs should use their production C3Ts and PGs, where applicable.
- c) Due to the Rehearsal, CCASS production service, including report download, will be suspended on 19 October 2019, CPs can retrieve their CCASS reports dated 19 October 2019 on 21 October 2019 (i.e. the Monday following the Rehearsal day). When CPs logon CCASS on 21 October 2019, CCASS reports as of the current day and past two settlement days, i.e. from 17 to 19 October 2019, as well as 21 October 2019 will be available.
- d) As data centre failover rehearsal for OTP-C will also take place on 19 October 2019, CPs may consider coordinating with their trading operations on the preparation and execution of the Rehearsal.
- e) For CPs who will perform file upload during the Rehearsal, they should prepare the testing upload files beforehand.
- f) The staff of CPs who will participate in the Rehearsal must have experience in using CCASS in their daily business activities, and have the production smartcards and passwords for accessing CCASS during the Rehearsal. Besides, CPs should ensure that the participating staff will be able to perform or access the required CCASS functions. The Delegated Administrators (DA) of CPs are encouraged NOT to change any user function access during the Rehearsal as it will take time to take effect.
- g) The CCASS reports/data files available in the Rehearsal are for reference only. CPs should not rely on such CCASS reports/data files for production use.
- h) **CPs are reminded to remove ALL their testing upload files and downloaded CCASS reports/data files used in the Rehearsal from their production C3Ts and PGs to avoid any mis-use during normal CCASS operations on next business day, i.e. 21 October 2019.**
- i) If CPs would use their production Back Office System (BOS) to perform the Rehearsal, they should ensure that their production BOS data are properly backed up before the Rehearsal. A data restore procedure should also be in place before the Rehearsal so that production data can be restored to their production BOS after the on-line sessions of the Rehearsal. CPs should discuss the issue with their in-house IT teams or BOS vendors before the Rehearsal if such procedures are required.
- j) CPs using PG in the Rehearsal should make sure that their Participant Supplied Systems (PSS) are NOT connected to their production environment during the Rehearsal or back-up and restore procedures are already in place to clean up and resume their system back to production image after the Rehearsal.

- k) **CPs who use BOS or PSS of PG in the Rehearsal are reminded to do clean-up and make sure that their corresponding BOS or PSS used in the Rehearsal have been resumed to production image and ready for normal business activities on the next business day, i.e. 21 October 2019.**
- l) CPs should also ensure network equipment is powered up and connected at all times before and after the Rehearsal.
- m) CPs should refer to the Checklist in Appendix A and the Schedule and Timetable listed in Section 4.2 for the action items to be performed before, during and after the Rehearsal for preparation and execution. In order to achieve the objectives, it is imperative that CPs follow the Rehearsal checklist and rundowns. CPs should ensure their participating staff is familiar with the requirements and procedures prior to participating in the Rehearsal.
- n) **In addition, CPs are recommended to maintain a proper audit trail in respect of each transaction performed during the Rehearsal. A responsible officer or his/her designate of each participating CP is advised to be present during the Rehearsal to supervise the testing process and to be responsible for relaying any issues arising during the Rehearsal to HKEX.** In any event, it is recommended that an internal briefing should be held by each CP prior to the Rehearsal to ensure that (1) staff involved fully understand all requirements and procedures and (2) proper arrangements have been put in place by the CP to comply with the Rehearsal requirements.
- o) CPs should ensure that they have access to the emails of the designated contact person(s) nominated in the registration in order to receive emergency messages from HKEX during the Rehearsal.
- p) After completion of the Rehearsal, CPs are required to complete and return the “CCASS Data Centre Failover Rehearsal Confirmation Form” as set forth in Appendix C to HKEX **at or before 6:00 p.m. on 19 October 2019 (Saturday).**

4. Schedule and Arrangements

4.1 Overview

The Rehearsal will be conducted on 19 October 2019 (Saturday) to verify CCASS connection to HKEX's primary data centre at Tseung Kwan O Data Centre (TKODC) and simulate failover from HKEX's primary data centre to HKEX's secondary data centre.

4.2 Schedule and Timetable

During the Rehearsal, CPs should follow the schedule and timetable as follows:

Execution Date: 19 October 2019 (Saturday)

Logical Date: 19 October 2019 (Saturday)

TIME FROM	TIME TO	CCASS PROCESSING	REMARKS
19 Oct 2019 (Saturday)			
Before Failover – On-line Session at CCASS Primary Data Centre (Session 1)			
11:30 a.m.	12:00 noon	<ul style="list-style-type: none"> Logon to CCASS using the production Smartcard and password via the hyperlink: https://www.ccass.com 	<ul style="list-style-type: none"> CPs are advised to report duty no later than 11:30 a.m. on the Rehearsal day. CPs should logon to CCASS and check broadcast messages via CCASS at major action points of the Rehearsal, such as <ol style="list-style-type: none"> Shortly before start of the Rehearsal After CCASS service is resumed at the secondary data centre
12:00 noon	12:30 p.m.	<ul style="list-style-type: none"> Perform on-line maintenance and enquiries Upload batch files, if necessary Retrieve reports/data files 	<ul style="list-style-type: none"> Refer to Appendix B1 for recommended executions of CCASS before failover SI file validation run will be executed upon successful upload NO batch-settlement-run
12:30 noon		Simulate contingency situation occurred at HKEX's Primary Data Centre	
12:30 p.m.	2:30 p.m.	Failover to HKEX's Secondary Data Centre	
After Failover – CCASS On-line Session at CCASS Secondary Data Centre (Session 2)			
2:30 p.m.	4:00 p.m.	Connectivity to CCASS secondary data centre <ul style="list-style-type: none"> Re-Logon to CCASS using the production Smartcard and password via the hyperlink: https://www.ccass.com Perform on-line maintenance and enquiries Upload batch files, if necessary Retrieve reports/data files <p>Note:</p>	<ul style="list-style-type: none"> Refer to Appendix B2 for execution requirement of CCASS SI file validation run will be executed upon successful upload ATI file validation run will be executed at 2:50 p.m. SI matching will be executed at 3:00 p.m. NO batch-settlement-run CCASS transactions performed during Session 1 will be available for enquiry during Session 2

**CCASS Data Centre Failover Rehearsal (19 October 2019)
Information Package for CCASS Participants**

		The reports retrieved during Session 2 would be the same as those retrieved during Session 1.	
4:00 p.m.		CCASS On-line Session closes	<ul style="list-style-type: none"> • The Rehearsal is completed • Fill in CCASS Data Centre Failover Rehearsal Confirmation Form in Appendix C and email or fax to HKEX by 6:00 p.m. • Perform the necessary clean-up and restoration of data / reports to production image
4:00 p.m.	8:00 p.m.	Re-connect to CCASS Primary Data Centre	
Production Verification Session at CCASS Primary Data Centre (Optional)			
8:00 p.m.	10:00 p.m.	Connectivity to CCASS <ul style="list-style-type: none"> • Logon to CCASS using the production Smartcard and password via the hyperlink: https://www.ccass.com • The error message “Function not available” will be displayed via Enquire Broadcast Message • Logout from CCASS by clicking “Logout” hyperlink at top right corner 	

4.3 User Profile and Password

The CPs’ user profiles are based on the latest production image prior to the Rehearsal, i.e. 18 October 2019 (Friday).

During the Rehearsal, CPs’ DAs are responsible for resetting user passwords in case any user’s smartcard password is revoked. If password reset is performed during the Rehearsal, the users concerned should use the *latest* password (i.e. after password reset in the Rehearsal) for production use on the following business day, i.e. 21 October 2019 (Monday).

In case the DA’s smartcard password is revoked during the Rehearsal, CPs should request for password reset by presenting the smartcard to HKEX in person. In case the CCASS Authorised Signatories of CPs will not join the Rehearsal, CPs can arrange the Authorised Signatories to grant authority to the co-ordinator, by signing the “Special Authorisation Form” (Appendix D), prior to the Rehearsal. In such case, the co-ordinator is authorised to sign the “Smartcard User Password Reset Form for Data Centre Failover Rehearsal” on the Rehearsal day.

Please be reminded to submit both the “Special Authorisation Form” and the “Smartcard User Password Reset Form for Data Centre Failover Rehearsal”, together with the relevant smartcard(s) when requesting for the password reset.

4.4 Rehearsal Environment

The Rehearsal will be conducted based on the production image as of 18 October 2019. When CPs logon CCASS during the Rehearsal, they will be simulating production operation during 19 October 2019. For testing purpose, 19 October 2019 will be set as a business day in CCASS.

4.5 Eligible Securities

Hong Kong stocks, Shenzhen and Shanghai A-shares admitted as CCASS Eligible Securities as of 19 October 2019 are available to use during the Rehearsal. Trading of Hong Kong stocks, Shenzhen and Shanghai A-shares markets are available during the Rehearsal.

4.6 Transactions to be Executed

CCASS on-line session(s) will be available in the Rehearsal. CPs are required to perform the recommended CCASS functions and logon during **both** before and after failover on-line sessions. CPs should refer to Appendices B1 and B2 for the detailed execution script before and after data centre failover respectively.

4.7 Report Download and Batch File Upload

CPs can retrieve CCASS reports/data files via “Report Download” function during the Rehearsal.

In addition, to facilitate CPs to verify the results of their uploaded testing files, SI Batch Input Control Reports will be available shortly after the successful upload of SI batch files, while ATI Batch Input Control Reports will be available after the completion of the scheduled ATI file validation run. Please note only SI and ATI file transfer functions will be available during the Rehearsal.

5. Typhoon, Extreme Conditions and Black Rainstorm Arrangements

In case Typhoon Signal No. 8 (or above) or Extreme Conditions or Black Rainstorm Warning is issued or continues to be issued after 7:00 a.m. and before 11:00 a.m. on the day of Rehearsal, the Rehearsal will be cancelled and will not be resumed for the rest of the day.

In case Typhoon Signal No. 8 (or above) or Extreme Conditions is issued on or after 11:00 a.m. on the day of Rehearsal, the Rehearsal will be terminated 15 minutes thereafter.

In case Black Rainstorm Warning is issued on or after 11:00 a.m. on the day of Rehearsal, the Rehearsal will continue until completion.

6. Communication Channels

Before the Rehearsal, i.e. approximately 2 hours (i.e. 9:00 a.m. on 19 October 2019), CPs can call CCASS Hotline at 2979-7111 to check whether the Rehearsal will be held according to schedule.

During the Rehearsal, HKEX will communicate with CPs via the following channels:

- a. under normal situation, HKEX will communicate with CPs via Broadcast Messages through CCASS;
- b. in case of emergency where CPs are unable to access CCASS, HKEX will notify CPs of any ad hoc arrangements via email and/or phone calls.

CPs should ensure that their nominated person(s) will be reachable during the prescribed time and the relevant email addresses and mobile phone numbers submitted to HKEX are accurate.

7. Help Desk

For any queries during the preparation and execution of the Rehearsal, CPs can contact CCASS Hotline at **2979-7111** for assistance.

APPENDIX A: CCASS Data Centre Failover Rehearsal Checklist (19 October 2019)

ITEMS TO BE CHECKED		✓
(A) Before the Rehearsal		
1	Have you read and understood this document ("Data Centre Failover Rehearsal Information Package for CCASS Participants")?	
2	Have you passed this document to your internal IT support team or system vendor and ensured that they would take follow-up actions (if necessary)?	
3	Should the designated contact person(s) be changed, have you submitted the updated contact details (Email address and telephone number(s)) to HKEX?	
4	Have you arranged access for your co-ordinator(s) to receive HKEX's communication via email and via CCASS's Broadcast Messages before and during the Rehearsal?	
5	Have you arranged the execution of the "Special Authorisation Form" (Appendix D) by the Authorised Signatories to grant authority to the co-ordinator as temporary Authorised Signatory to sign the "Smartcard User Password Reset Form for Data Centre Failover Rehearsal" (Appendix D) for password reset during the Rehearsal, in case they would not be present on Rehearsal day?	
6	Have you ensured that the participating users have access to CCASS functions to be tested in the Rehearsal and their Smartcard passwords are valid?	
7	If you would use your BOS in the Rehearsal, have you developed proper procedures to switch your BOS for testing purpose and prepared a data restore procedure in place to restore production data after the Rehearsal?	
8	If you are PG users, have you ensured that proper procedures are developed to switch to testing environment without affecting the existing production PSS, and that a restore procedure is in place?	
9	Have you prepared the testing upload files in case you would like to execute SI or ATI file upload in the Rehearsal?	
(B) After the Rehearsal		
1	Have you cleaned up or removed the testing data or upload files or downloaded reports/data files from the production C3T or PG after the Rehearsal?	
2	Have you restored the BOS or PSS of PG to production image and ensured they are ready for production use on the next business day, 21 October 2019?	
3	Have you submitted the "CCASS Data Centre Failover Rehearsal Confirmation Form" (Appendix C) to HKEX before 6:00 p.m., 19 October 2019 upon completion of the Rehearsal?	

APPENDIX B1: Recommended CCASS Executions for Session 1

Execution Date	19 Oct 2019 (Saturday)	Logical Date	19 Oct 2019 (Saturday)
Execution Time	11:30 a.m. to 12:30 p.m.		

Description for Session 1	
Objectives :	
	<p>CPs shall be able to perform the following via CCASS with connection to the primary data centre:</p> <ol style="list-style-type: none"> a. <i>on-line maintenance and enquiries</i> b. <i>upload files</i> c. <i>download reports/data files</i>
<i>(I) On-line Enquiry, Maintenance and Upload Files:</i>	
	<p>CPs are recommended to perform the following on-line CCASS functions:</p> <ol style="list-style-type: none"> 1) Input ATI 2) SI Maintenance 3) SI/ATI File Transfer <p><u>Notes :</u> <i>CPs are encouraged to perform the ATI/SI batch file transfers which are considered as critical business transactions with HK stocks, Shenzhen and Shanghai A-shares during the Rehearsal.</i></p> <p><u>ATI File Transfer</u></p> <ul style="list-style-type: none"> • <i>ATI file uploaded before 12:30 p.m. during Session 1 should be restored after failover to the secondary data centre.</i> • <i>ATI file validation run will be executed at 2:50 p.m. in Session 2. Following that the ATI Batch Input Control Report will be available.</i> <p><u>SI File Transfer and Matching Run</u></p> <ul style="list-style-type: none"> • <i>Same as in production, SI file validation run will be executed upon completion of file upload. Following that the SI Batch Input Control Report will be available to CPs. In case there is any rejected record displayed in the SI Batch Input Control Report, it is NOT necessary to upload another SI upload file.</i> • <i>SIs successfully uploaded before 12:30 p.m.. during Session 1 should be restored after failover to the secondary data centre. SI matching run will be executed at 3:00 p.m. in Session 2.</i> <p>To facilitate the data verification in Session 2, CPs are recommended to perform the following enquiries:</p> <ol style="list-style-type: none"> 1) Enquire Stock Account Movement <ol style="list-style-type: none"> a. <i>the stock movement as of 18 Oct 2019</i> b. <i>the stock movement as of 19 Oct 2019</i> 2) Enquire Due/Overdue Position <ol style="list-style-type: none"> a. <i>the due/overdue positions as of 18 Oct 2019</i>

	<p>3) Enquire SI a. <i>the SIs available for enquiry as of 18 and 19 Oct 2019</i></p> <p><u>Notes :</u> <i>Recommend CPs to save enquiry screens for data image as of 18 Oct 2019 for verification before performing any input activities.</i></p>
(II) Retrieval of Reports/Data Files:	
	<p>CPs should retrieve the following CCASS reports/data files to facilitate the data verification of Hong Kong stocks, Shenzhen or Shanghai A-shares markets or all markets during Session 2.</p> <p><u>With reports dated 18 Oct 2019</u></p> <ul style="list-style-type: none"> • Statement of Stock Movement Reports (CSESM01/CSESM02) • Next Settlement Day Due/Overdue Position Report (CSEOP01) • SI Status Report (CCLSI01) <p><u>With reports dated 19 Oct 2019</u></p> <ul style="list-style-type: none"> • SI Batch Input Control Report (CCLEI01), after performing the SI file transfer, if applicable <p><u>Notes :</u> <i>CPs are recommended to change the download directories and/or the file names when performing report/data file download during the Rehearsal by changing (i) the directory(ies) at “SAVE TO DIRECTORY” or (ii) the file name(s) at “SAVE TO” input fields for specific market or global reports. Otherwise, the reports/data files retrieved during the Rehearsal might replace your production CCASS reports/data files in your defaulted report directory(ies).</i></p> <p>Production CCASS reports/data files dated 17 and 18 Oct 2019 will be available during the Rehearsal.</p>

APPENDIX B2: Recommended CCASS Executions for Session 2

Execution Date	19 Oct 2019 (Saturday)	Logical Date	19 Oct 2019 (Saturday)
Execution Time	2:30 p.m. to 4:00 p.m.		

<i>Description for Session 2</i>	
Objectives:	<p>CPs shall be able to perform the following via CCASS with connection to the secondary data centre</p> <ul style="list-style-type: none"> a. on-line maintenance and enquiries b. upload files c. download reports/data files
<i>(I) On-line Enquiry, Maintenance and Upload Files:</i>	
	<p>CPs are recommended to perform the following CCASS functions:</p> <ul style="list-style-type: none"> • Input ATI • SI Maintenance • SI/ATI File Transfer • Enquire Stock Account Movement • Enquire Due/Overdue Position • Enquire SI • Enquire Broadcast Message <p><u>Notes:</u> <i>CPs are encouraged to perform the ATI/SI batch file transfers which are considered as critical business transactions with HK stocks, Shenzhen and Shanghai A-shares during the Rehearsal.</i></p> <p><u>ATI File Transfer</u> <i>ATI file validation run will be executed at 2:50 p.m., including those ATI file, if any, uploaded during Session 1. Following that the ATI Batch Input Control Report will be available.</i></p> <p><u>SI Matching Run and File Transfer</u></p> <ul style="list-style-type: none"> • <i>SI matching run will be executed at 3:00 p.m., including those SIs input or uploaded successfully during Session 1</i> • <i>Same as in production, SI file validation run will be executed upon completion of file upload. Following that the SI Batch Input Control Report will be available to CPs. In case there is any rejected record displayed in the SI Batch Input Control Report, it is NOT necessary to upload another SI upload file.</i>
<i>(II) Retrieval of Reports/Data Files:</i>	
	<p>CPs are recommended to retrieve the following CCASS reports:</p> <p><u>With reports dated 18 Oct 2019</u></p> <ul style="list-style-type: none"> • Statement of Stock Movement Reports (CSESM01/CSESM02) • Next Settlement Day Due/Overdue Position Report (CSEOP01)

	<ul style="list-style-type: none"> • SI Status Report (CCLSI01) <p><u>With reports dated 19 Oct 2019</u></p> <ul style="list-style-type: none"> • SI Batch Input Control Report (CCLEI01), after performing the SI file transfer, if applicable • Intra-Day ISI/SI Full List (CSESI02), after online maintenance of SI and/or performing the SI file transfer, if applicable • ATI Batch Input Control Report (CSEBA01), after performing the ATI file transfer and ATI file validation run at around 2:50 p.m., if applicable <p><u>Notes :</u> <i>CPs are recommended to change the download directories and/or the file names when performing report/data file download during the Rehearsal, by changing (i) the directory(ies) at “SAVE TO DIRECTORY” or (ii) the file name(s) at “SAVE TO” input fields for specific market or global reports. Otherwise, the reports/data files retrieved during the Rehearsal might replace your production CCASS reports/data files in your defaulted report directory(ies).</i></p> <p>Production CCASS reports/data files dated 17 and 18 Oct 2019 will be available during the Rehearsal.</p>
(III) Data Verification:	
	<p>CPs are recommended to perform data verifications on the following CCASS functions against the CCASS reports/data files retrieved during Session 1:</p> <ol style="list-style-type: none"> 1) Enquire Stock Account Movement <ol style="list-style-type: none"> a. <i>verify the stock movement as of 18 Oct 2019 against the Statement of Stock Movement Reports (CSESM01/CSESM02)</i> b. <i>verify the stock movement as of 19 Oct 2019 after Input ATI and/or the ATI file validation run</i> 2) Enquire Due/Overdue Position <ol style="list-style-type: none"> a. <i>verify the due/overdue positions as of 18 Oct 2019 against the Next Settlement Day Due/Overdue Position Report (CSEOP01)</i> 3) Enquire SI <ol style="list-style-type: none"> a. <i>verify the SIs available for enquiry (excluding SI(s) that has been inputted during the Rehearsal) against the SI Status Report (CCLSI01) as of 18 Oct 2019</i> b. <i>verify the SIs with input date as of 19 Oct 2019 after SI Maintenance, SI matching run and/or SI file validation run</i>

APPENDIX C: CCASS Data Centre Failover Rehearsal Confirmation Form

To : Hong Kong Exchanges and Clearing Limited

Email : ClearingDrill@hkex.com.hk
Fax No: 2579-0136 / 2579-0085

Date: _____


CCASS Participant Information

Name Participant ID

**Participating User
(Name and Signature)**

_____ Tel: _____

**CCASS Authorised Signatory(ies)
Name and Signature
(with company chop, ONLY applicable if it forms part of your signing instruction)**

_____ 

CCASS Participants should complete this form and email or fax to HKEX by 6:00 p.m. on 19 October 2019 (Saturday). The form should be completed by the individual(s) who took part in the Rehearsal and reviewed by a responsible officer.

Please tick as appropriate:

1. During Session 1, did you encounter any problems when connecting to CCASS primary data centre to perform CCASS functions, including functional and data verification?

- No
 Yes, please provide details.

2. During Session 2, did you encounter any problems when connecting to CCASS secondary data centre to perform CCASS functions, including functional and data verification?

- No
 Yes, please provide details.

Thank you for completing the Confirmation Form.

(This page is intentionally left blank)

APPENDIX D: Special Authorisation Form

APPOINTMENT OF THE CO-ORDINATOR AS THE AUTHORISED SIGNATORY DURING THE DATA CENTRE FAILOVER REHEARSAL

CPs who wish to delegate the power of re-setting smartcard user password to their co-ordinator during the Data Centre Failover Rehearsal on 19 October 2019 should sign this Authorisation Form prior to the Rehearsal. In case of need, the co-ordinator should complete and submit the Smartcard User Password Reset Form for Data Centre Failover Rehearsal together with the relevant smartcards in person to HKEX at the below address during the Rehearsal.

Date: _____

I/We hereby appoint the undersigned co-ordinator _____ for my / our company as the authorised signatory for resetting the smartcard user password during the Data Centre Failover Rehearsal on 19 October 2019.

Yours faithfully,
For and on behalf of

Authorised Signature(s)
(with company chop, ONLY applicable if it forms part of your signing instruction)

Part ID: _____

Name: _____

Title: _____

Specimen Signature of the co-ordinator

Name : _____

Please submit the forms (both the Special Authorisation Form and Smartcard User Password Reset Form for Data Centre Failover Rehearsal) together with the smartcard(s) to :

Clearing Operations,
Hong Kong Exchanges and Clearing Limited,
30/F, One Exchange Square, 8 Connaught Place Central, Hong Kong.

Note: Hong Kong Exchanges and Clearing Limited will only accept the ORIGINAL copies of the "Special Authorisation Form" and "Smartcard User Password Reset Form for Data Centre Failover Rehearsal".

(This page is intentionally left blank)

Smartcard User Password Reset Form for Data Centre Failover Rehearsal

Date: _____

I hereby request to reset the smartcard user password for the following Users during the Data Centre Failover Rehearsal on 19 October 2019.

User Name

User ID

_____	_____
_____	_____
_____	_____
_____	_____

For and on behalf of

Signed by the co-ordinator of the Rehearsal

Part ID: _____

Name: _____

Title: _____

Please submit the forms (both the Special Authorisation Form and Smartcard User Password Reset Form for Data Centre Failover Rehearsal) together with the smartcard(s) to :

Clearing Operations,
Hong Kong Exchanges and Clearing Limited,
30/F, One Exchange Square, 8 Connaught Place Central, Hong Kong.

Note: Hong Kong Exchanges and Clearing Limited will only accept the ORIGINAL copies of the "Special Authorisation Form" and "Smartcard User Password Reset Form for Data Centre Failover Rehearsal".