

香港場外結算有限公司  
(香港交易及結算所有限公司附屬公司)

**OTC CLEARING HONG KONG LIMITED**  
(A subsidiary of Hong Kong Exchanges and Clearing Limited)

## 通告 CIRCULAR

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Subject: **Regular OASIS Data Centre Failover Rehearsal on 19 October 2019**

Enquiry: **Michael Kong (Tel: 2211 6502) / Email [otc\\_operations@hkex.com.hk](mailto:otc_operations@hkex.com.hk)**

Clearing Members are advised that a regular OTC Account Service Information System (“OASIS”) data centre failover rehearsal (the “Rehearsal”) will be conducted on Saturday, 19 October 2019.

The objective of the Rehearsal is to enable Clearing Members to familiarize themselves with the contingency procedures for failover of OASIS data centre. The Rehearsal will also cover the data centre failover of other HKEX systems including OTP-C, CSC, HKATS, CCASS, DCASS, CCMS and HKEX Orion Market Data Platform. All Clearing Members are cordially invited to participate in the Rehearsal.

The Rehearsal will simulate the system recovery under contingency situation. During the Rehearsal, Clearing Members will perform the login test and demonstrate reports retrieval from 2:30pm to 4:00pm HKT after OASIS failover to secondary data centre.

Clearing Members who wish to participate in the Rehearsal should submit the “**Online Registration Form**” through [this link](#) **on or before 4 October 2019**.

Clearing Members can refer to the Attachment for the Rehearsal details. Clearing Members are advised to read carefully the information package and follow the instructions during the Rehearsal.

For any enquiries, please contact Michael Kong on 2211 6502 or email to [otc\\_operations@hkex.com.hk](mailto:otc_operations@hkex.com.hk).

**Hector Lau**  
**Managing Director**  
**Clearing Operations**



附件  
Attachment

**OASIS Data Centre Failover Rehearsal  
(19 October 2019)**

**Information Package**

**for**

**OTC Clear Clearing Members**

Issue Date: 20 September 2019

## **Table of Content**

<b>1. INTRODUCTION</b>	<b>1</b>
<b>2. OBJECTIVE AND SCOPE</b>	<b>1</b>
<b>2.1 OBJECTIVE</b>	<b>1</b>
<b>2.2 SCOPE</b>	<b>1</b>
<b>3. IMPORTANT NOTES TO PARTICIPATING CLEARING MEMBERS</b>	<b>2</b>
<b>4. SCHEDULE AND ARRANGEMENTS</b>	<b>3</b>
<b>4.1 DATE AND TIMETABLE</b>	<b>3</b>
<b>4.2 USER PROFILE AND LOGIN PASSWORD</b>	<b>4</b>
<b>4.3 REHEARSAL ENVIRONMENT</b>	<b>4</b>
<b>4.4 REHEARSAL CONFIRMATION</b>	<b>4</b>
<b>4.5 TYPHOON, EXTREME CONDITIONS AND BLACK RAINSTORM ARRANGEMENT</b>	<b>4</b>
<b>5. COMMUNICATION CHANNELS</b>	<b>4</b>
<b>6. HELP DESK</b>	<b>5</b>
<i>APPENDIX A: Rehearsal Checklist (19 October 2019)</i>	<i>6</i>
<i>APPENDIX B: Rehearsal - Data Set up and Execution Requirements (OASIS)</i>	<i>7</i>
<i>Confirmation of Completion of OASIS Data Centre Failover Rehearsal on 19 October 2019</i>	<i>9</i>

## **1. Introduction**

As a market operator, OTC Clearing Hong Kong Limited (“OTC Clear”) 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 OTC Clear Clearing Members (“Clearing Members”) and related parties to familiarize themselves with the contingency procedure for the failover of the OTC Account Services Information System (“OASIS”) data centre, HKEX will conduct a data centre disaster failover rehearsal (“the Rehearsal”) on a regular basis for the failover procedures.

This year, OTC Clear would like to invite all our Clearing Members to participate in the Rehearsal.

This Information Package is designed for Clearing Members in preparing and planning for the participation of the Rehearsal to be held on **19 October 2019 (Saturday)**. Clearing Members should read this information package carefully and make necessary preparation before participating in the Rehearsal. Clearing Members should also pass a copy of this document to their IT support team to ensure proper technical support is available before and during the Rehearsal.

The results of the Rehearsal will be reviewed in detail. Clearing Members who join the Rehearsal are requested to provide their evaluation on or before **16:30** on the Rehearsal day.

## **2. Objective and Scope**

### **2.1 Objective**

The objective of the Rehearsal is to demonstrate Clearing Members’ access to OASIS is not affected while failure of OASIS primary data centre occurs.

### **2.2 Scope**

Participating Clearing Members should perform the following activities during the Rehearsal, including:

- (1) Log-on the OASIS Collateral Management Portal (“Web Portal”),
- (2) Retrieval of OASIS reports (specified in Appendix B), and
- (3) Data verification by comparison with those reports having obtained prior to the commencement of the Rehearsal.

### **3. Important Notes to Participating Clearing Members**

- a) Clearing Members should have the production user ID and password for accessing Web Portal during the Rehearsal.
- b) OTC Clear will notify designated contact of each participating Clearing Member the commencement of Testing Session by phone and email.
- c) Clearing Members should refer to the Checklist in Appendix A for the action items to be performed before, during and after the Rehearsal for preparation and execution of the Rehearsal. In order to achieve the testing objectives, it is imperative that Clearing Members follow the Rehearsal checklist and rundown. This will facilitate the OTC Clear staff to monitor the Rehearsal activities and provide a seamless flow of operation with the help of the Rehearsal checklist and detail rundown. In particular, staff of the Clearing Members who will be involved in the Rehearsal should familiarize themselves with the testing requirements and procedures.
- d) Designated participating users of each participating Clearing Member should 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 Clearing Member prior to the Rehearsal in order to ensure that (1) staff involved fully understands all the requirements and procedures and (2) proper arrangements have been put in place for compliance with the testing requirements.

## 4. Schedule and Arrangements

### 4.1 Date and Timetable

The Rehearsal will be conducted on 19 October 2019 (Saturday). Clearing Members using OASIS are requested to make their Web Portal available in order to participate in the Rehearsal.

The Rehearsal will perform reports retrieval where failure occurs during OTC Clear Clearing Day on 19 October 2019 (Saturday).

The timetable and tasks which Clearing Members are expected to perform are as follows:

**Execution Date: 19 October 2019 (Saturday)**  
**System Date: 19 October 2019 (Saturday)**

TIME FROM	To	OASIS PROCESSING	REMARKS
12:30		<b>Simulate the breakdown of the Production Data Centre</b>	
12:30	14:00	<b>Failover to OASIS Secondary Data Centre</b>	
<b>After Failover – OASIS On-line Session at OASIS Secondary Data Center</b>			
14:30	16:00	<b>Connectivity to OASIS Secondary Data Centre</b> <ul style="list-style-type: none"> <li>• Clearing Members to logon Web Portal using production ID and password as of 18 October 2019 (Friday)</li> <li>• Clearing Members to retrieve reports/data files</li> </ul> <p>Note:  <i>The reports retrieved during this section would be the same as those retrieved as of 18 October 2019 (Friday).</i></p>	<ul style="list-style-type: none"> <li>• Primary DNS server 10.154.11.21 and web servers 10.154.11.22 will NOT be accessible.</li> <li>• Alternate DNS server 10.153.11.21 and secondary web servers 10.153.11.22 will be applied.</li> <li>• Refer to Appendix B for reports to download. For any data discrepancy of reports compared with reports as of 13 July 2018, Clearing Members should notify OTC Clear immediately.</li> <li>• Logout from Web Portal after completing the report retrieval</li> </ul>
16:00		<b>Web Portal Online Session closes</b>	<ul style="list-style-type: none"> <li>• Clearing Members to fill in Rehearsal Confirmation Form and email to <a href="mailto:ClearingDrill@hkex.com.hk">ClearingDrill@hkex.com.hk</a> or fax to OTC Clear at 2579-0136 / 2579-0085</li> </ul>
17:30	18:30	<b>Break: Re-connect to OASIS Primary Data Center</b>	

## **4.2 User Profile and Login Password**

Clearing Members should use the production User ID and password for Web Portal that they use for normal business activities on 18 October 2019 for logging on to Web Portal during the Rehearsal.

## **4.3 Rehearsal Environment**

The Rehearsal will simulate a situation where failure occurs during OTC Clear Clearing Day on 19 October 2019. When Clearing Members log on Web Portal, they will be simulating process for reports retrieval under production environment as if on OTC Clear Clearing Day on 19 October 2019. Pre-defined reports to be downloaded on 19 October 2019 will be available for each Clearing Member within the Rehearsal.

## **4.4 Rehearsal Confirmation**

All participating Clearing Members are requested to complete the Rehearsal Confirmation Form as per Attachment I and return to HKEX by email to [ClearingDrill@hkex.com.hk](mailto:ClearingDrill@hkex.com.hk) or fax to 2579-0136 / 2579-0085 **at or before 16:30 on 19 October 2019**.

## **4.5 Typhoon, Extreme Conditions and Black Rainstorm Arrangement**

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.

## **5. Communication Channels**

Under normal situation, HKEX will communicate with the designated contact persons of participating Clearing Members during the Rehearsal via e-mail and/or phone calls.

In the event of cancellation or postponement of the Rehearsal if contingency happened two hours before the Rehearsal starts (i.e. 12:30 on 19 October 2019) due to unexpected reasons, HKEX will inform participating Clearing Members of the ad-hoc arrangements via phone calls. Participating Clearing Members should ensure that their designated contact persons for the Rehearsal are reachable during the prescribed time and the relevant mobile phone number submitted to HKEX is correct.

## **6. Help Desk**

For any queries during the preparation and execution of the Rehearsal, Clearing Members can contact **2211-6502** or **2211-6501** for assistance.



## **APPENDIX A: Rehearsal Checklist (19 October 2019)**

<b>ITEMS TO BE CHECKED</b>		✓
<b><i>(A) Before the Rehearsal</i></b>		
1	Have you read and understood this document ("Data Centre Failover Rehearsal - Information Package for OTC Clear Clearing Members")?	
2	Have you (if necessary) passed this document to your internal IT support team or system vendor and ensured that they would make follow-up action?	
3	Have you ensured that the Web Portal production ID and password (as of 18 October 2019) are ready for use in the Rehearsal (either downloaded by users or provided by OTC Clear)?	
4	Have you ensured your participating users obtained pre-defined reports listed on Appendix B?	
<b><i>(B) After the Rehearsal</i></b>		
1	Have you submitted the Rehearsal Confirmation Form before 16:30 on 19 October 2019?	

## **APPENDIX B: Rehearsal - Data Set up and Execution Requirements (OASIS)**

### **Pre-defined OASIS Reports for Clearing Members to download during the Rehearsal**

OTC Clear will provide participating Clearing Members the following 2 OASIS reports as of 18 October 2019 published on Web Portal.

No.	Report Number	Report Name	Report Frequency	Descriptions
1	STRP01	WEB Money Settle	Daily on each OTC Clear Clearing Day (around 20:30 HK time)	The report sets out the amount to be settled on the next OTC Clear Clearing Day by a Clearing Member in relation to the House Position Account
2.	RMRP05	WEB ERSCollateralReport	Shortly (normally within 15 minutes) after each Portfolio Novation Cycle on each OTC Clear Clearing Day and End of Day	The report sets out the details of daily Collateral movement in respect of each Collateral Account registered in the name of a Clearing Member – House and client levels.

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**OTC CLEARING HONG KONG LIMITED**

(A subsidiary of Hong Kong Exchanges and Clearing Limited)

**Confirmation of Completion of  
OASIS Data Centre Failover Rehearsal on 19 October 2019**

The Clearing Members of OTC Clearing Hong Kong Limited are required to complete and return this Confirmation to the OTC Clearing Operations Department of Hong Kong Exchanges and Clearing Limited (HKEX) **before 16:30 on 19 October 2019 (Saturday)** by email to [ClearingDrill@hkex.com.hk](mailto:ClearingDrill@hkex.com.hk) or fax to 2579-0136 / 2579-0085. Inquiries regarding this form may be directed to OTC Clearing Operations Department on 2211-6508 or 2211-6501.

**Clearing Member Information**

Name of the Clearing Member

Designated participating user of Clearing Member

Phone No.

Email Address

**A. Completion of the Rehearsal** (check appropriate box below)

Did you encounter any problems when connecting to Web Portal and performing Web Portal functions during the Rehearsal, i.e., Log-in and Data Verification of OASIS pre-defined reports with connection to OASIS **Secondary Data Center**?

1.  No, test scenario is completed successfully.

2.  **Yes**, please provide details:

\_\_\_\_\_

\_\_\_\_\_

Signatories: \_\_\_\_\_ Date : \_\_\_\_\_

Name of Signatories : \_\_\_\_\_

**Thank you for completing the Confirmation Form**