

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 August 2023**

Enquiry: **OTC Clear Operations Team (Tel: 2211 6508) /**

**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 August 2023.

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, OTP-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" via [this link](#) **on or before 11 August 2023**.

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 OTC Clear Operations Team on 2211 6508 or email to [otc\\_operations@hkex.com.hk](mailto:otc_operations@hkex.com.hk).

**Hector Lau**  
**Head of Clearing & Depository**  
**Operations Division**

**OASIS Data Centre Failover Rehearsal**  
**(19 August 2023)**

**Information Package**  
**for**  
**OTC Clear Clearing Members**

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## **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 August 2023 (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 August 2023 (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 August 2023 (Saturday).

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

**Execution Date: 19 August 2023 (Saturday)**  
**System Date: 19 August 2023 (Saturday)**

TIME FROM                      To		OASIS PROCESSING	REMARKS
12:15 to 12:30		Simulate the breakdown of the Production Data Centre	
12:30	14:00	Failover to OASIS Secondary Data Centre	
After Failover – OASIS On-line Session at OASIS Secondary Data Center			
14:30	16:00	<p><b>Connectivity to OASIS Secondary Data Centre</b></p> <ul style="list-style-type: none"><li>Clearing Members to logon Web Portal using production ID and password as of 18 August 2023(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 August 2023 (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 <a href="#">Appendix B</a> for reports to download. For any data discrepancy of reports compared with reports as of 18 August 2023, 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 <a href="#">Rehearsal Confirmation Form</a> and email to <a href="mailto:ClearingDrill@hkex.com.hk">ClearingDrill@hkex.com.hk</a> or fax to OTC Clear at 2579-0136</li></ul>
17:30	18:30	Break: Re-connect to OASIS Primary Data Center	

## **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 19 August 2023 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 August 2023. 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 August 2023. Pre-defined reports to be downloaded on 19 August 2023 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](#) and return to HKEX by email to [ClearingDrill@hkex.com.hk](mailto:ClearingDrill@hkex.com.hk) or fax to 2579-0136 **at or before 16:30 on 19 August 2023**.

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

In case Typhoon Signal No. 8 (or above) / Extreme Conditions is remained at 07:00 or the HK Observatory pre-announced at or before 07:00 that Typhoon Signal No. 8 (or above) will be hoisted at or before 11:00 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 during the Rehearsal after 09:00 on the Rehearsal day, the Rehearsal will be terminated 15 minutes thereafter.

In case Black Rainstorm Warning is remained in effect at 07:00 on the day of Rehearsal, the Rehearsal will be cancelled and will not be resumed for the rest of the day.

In case Black Rainstorm Warning is issued during the Rehearsal, all scheduled activities will continue as normal 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 August 2023) 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 **2211-6508, 2211-6505 or 2211-6511** for assistance.



## **APPENDIX A: Rehearsal Checklist (19 August 2023)**

ITEMS TO BE CHECKED		✓
<b>(A) Before the Rehearsal</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 19 August 2023) 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 <a href="#">Appendix B</a> ?	
<b>(B) After the Rehearsal</b>		
1	Have you submitted the <a href="#">Rehearsal Confirmation Form</a> before 16:30 on 19 August 2023?	

## **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 August 2023 published on Web Portal.

<b>No .</b>	<b>Report Number</b>	<b>Report Name</b>	<b>Report Frequency</b>	<b>Descriptions</b>
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 August 2023

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 August 2023 (Saturday)** by email to [ClearingDrill@hkex.com.hk](mailto:ClearingDrill@hkex.com.hk) or fax to 2579-0136. Inquiries regarding this form may be directed to OTC Clearing Operations Department on 2211-6508 / 6505 / 6511.

### 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:

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

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

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

***Thank you for completing the Confirmation Form.***

By returning this form, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in this form.

### Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "**Group**") (and each being "**HKEX**", "**we**", "**us**" or "**member of the Group**" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("**PDPO**"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

### Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("**Regulatory Functions**");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

### Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

### Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

### Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

### Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative,

telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and

3. other parties as notified to you at the time of collection.

### How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

**Session Cookies:** temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

**Persistent Cookies:** cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

### Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

### Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

### Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link <https://www.pcpd.org.hk/english/publications/files/Dfome.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

### Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

### General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

### Contact us

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