

## Guidelines for Exchange Participants during the Rehearsal

- a) To facilitate the Rehearsal, Exchange Participants are advised to
- For **OTP-C**,
- Input **ORDERS** at prices within  $\pm 20$  spreads from the nominal price.
- For **CSC**,
- Input **ORDERS** at prices within  $\pm 10\%$  from previous closing price.
  - Buy orders should not below the current best bid price / the latest trade price / the previous closing price (as the case may be) by more than 3%.
  - Short Selling order must be in multiples of 100 shares and shall not be input into the CSC at a price lower than the most recent execution price for that Short Selling Security or, if there have been no executed trades for that Short Selling Security on the rehearsal day, the previous closing price for that Short Selling Security.
  - Stock balances of each China Connect Exchange Participants will be the opening balances on Monday, 21 October 2019.
  - CCEPs can use BCANs that were successfully registered and contained in BCAN Full Image File distributed on 18 October 2019. CCEPs, who have not registered any BCAN, can only input sell orders with reserved values, i.e. 1 or 2.
  - CCEPs on voluntary basis can submit the BCAN-CID Mapping File before and after the interruption during the Rehearsal. A Response File will then be given back to the CCEP for reference. However, BCAN-CID Validation Result File and BCAN Full Image File will not be provided during the Rehearsal as BCAN-CID Mapping File will not be processed by the Mainland exchanges/ ChinaClear. SFTP facility login and submission procedure is same before and after the interruption during the Rehearsal.
- EP have production trading devices connecting to OTP-C and CSC are strongly recommended to input orders and / or trades (if applicable) to both systems, before and after the site failover.
- b) For **OCG/NSTD users**, please keep all NSTD workstations **POWERED-ON** throughout the weekend after the Rehearsal. For trading devices which have their power turned off after the Rehearsal, the Exchange may not be able to ensure their proper connection to OTP-C Host for production trading on Monday, 21 October 2019.
- c) For **OCG/BSS and CCG/BSS users**, please keep all BSS components **POWERED-ON** throughout the weekend, after logging-off from OTP-C Host and CSC, and completion of the end of day procedures. Please **SAVE/CANCEL** all next day trading requests, if any, after market close on Friday, 18 October 2019. In addition, please **DO NOT** input trading requests, which are intended for submission to the OTP-C Host or CSC on the following Monday, 21 October 2019, after market close on Friday, 18 October 2019 because these requests will only be submitted to the OTP-C Host or CSC during the Rehearsal and will not be available on the following Monday.
- d) **HKEX Hosting Services Subscribers** are advised to drill their business continuity and disaster recovery arrangements in relation to the Subscribed Services to ensure the contractual obligations of the clause 4.3(b) of Hosting Services Subscription Agreement is in place.
- e) Please **DO NOT** submit any production files to ECP.