

CSC Activity Rundown for ChiNext Enhancements MR by SZSE on 4 July 2020

Time	Activities
3 July 2020 (Friday) – After Market Close	
After 5:00pm	<ul style="list-style-type: none"> <input type="checkbox"/> For all CCCG/BSS sessions, ensure change, if any, to network configuration is properly completed <input type="checkbox"/> Ensure all CCCG/BSS components (including network routers) are powered-on after trading hours <input type="checkbox"/> Ensure the production database of in-house / back-office systems are properly backed-up before the MR. <p>Notes:</p> <ul style="list-style-type: none"> • <i>For BSS, please do not input any next day requests after trading hours on Friday (i.e. requests intended for submission to host on the following trading day, since next day requests will be submitted to OTP-CSC host during MR and will not be available on the following trading day).</i> • <i>After MR, CCEPs are also reminded to clean up the next day requests (if any) to ensure that these testing orders will not be carried forward to the production on the following trading day.</i> • <i>No enrollment is required for OMD-CC.</i>
4 July 2020 (Saturday)	
Ready for Market Open	
Before 9:00am	<p><u>Logon to OTP-CSC Host</u></p> <p>For CCCG/BSS</p> <ul style="list-style-type: none"> <input type="checkbox"/> Connect to CCCG for all CCCG sessions (including Trading and Drop Copy sessions). <input type="checkbox"/> Logon using the assigned Comp ID(s) and the password “Ab123456” for all CCCG sessions (including Trading and Drop Copy sessions).
Opening Call Auction	
9:15am – 9:25am	<ul style="list-style-type: none"> <input type="checkbox"/> The opening call auction session will run from 9:15am – 9:25am. <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume). <input type="checkbox"/> Tag BCAN to each of the orders, however, unregistered BCAN will not be rejected during the MR. <input type="checkbox"/> Take note of saleable quantities of eligible stocks on hand with reference to Attachment 2. <p>Note:</p> <ul style="list-style-type: none"> • <i>OTP-CSC will start to accept China Connect orders for SSE/SZSE market from 9:10am. However, these orders will only be processed according to the timetable of SSE/SZSE.</i>
Morning Continuous Auction Session	
9:30am – 11:30am	<ul style="list-style-type: none"> <input type="checkbox"/> The continuous auction session of SSE/SZSE will run from 9:30am – 11:30am. <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume). <input type="checkbox"/> Tag BCAN to each of the orders, however, unregistered BCAN will not be rejected during the MR. <input type="checkbox"/> Take note the saleable quantities of eligible stocks on hand with reference to Attachment 2. <p>Notes:</p> <ul style="list-style-type: none"> • <i>CCEPs who do not follow the testing guidelines or conduct frivolous activities during the MR may be suspended from further participation</i>

Time	Activities
	<p><i>in the MR without prior warning.</i></p> <ul style="list-style-type: none"> • OTP-CSC will accept China Connect orders from 9:25am – 11:31am. However these orders will only be processed according to the timetable of SSE/SZSE.
Exchange Intervention	11:31am
Close	11:32am
Afternoon Continuous Auction Session	
1:00pm – 3:00pm	<ul style="list-style-type: none"> <input type="checkbox"/> Continuous Auction Session will run from 1:00pm – 2:57pm. <input type="checkbox"/> Closing Call Auction Session will run from 2:57pm – 3:00pm. <input type="checkbox"/> Simulate real-life trading activities (in terms of order input, pattern and volume). <input type="checkbox"/> Tag BCAN to each of the orders, however, unregistered BCAN will not be rejected during the MR. <input type="checkbox"/> Take note the saleable quantities of eligible stock on hand with reference to Attachment 2. <p>Note:</p> <ul style="list-style-type: none"> • OTP-CSC will start to accept China Connect orders from 12:55pm to 3:01pm. However, these orders will only be processed according to the timetable of SSE/SZSE.
Exchange Intervention	3:01pm
Day Close	3:02pm
3:02pm – 3:30pm	<p>For CCCG and China Connect Drop-Copy Sessions :</p> <ul style="list-style-type: none"> <input type="checkbox"/> Logout and terminate CCCG and China Connect Drop-Copy sessions. <input type="checkbox"/> Perform end-of-trading procedures, if any, to ensure database integrity. <input type="checkbox"/> Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable).
Download Day-end Trade File	
3:30pm – 4:00pm	<p>Download the following file by using production user ID with “TO” user group (i.e. user ID of MXXXXXTXXXX) and production password through ECP</p> <ul style="list-style-type: none"> <input type="checkbox"/> Trade file for SSE/SZSE (from 3:30pm) and check the accuracy of trade details

Notes:

- 1) Post test verification session will not be provided.
- 2) MR is applicable to CCEPs who have submitted prior registration form to HKEX.
- 3) CCEPs already rolled out pre-trade checking function for institutional investor ID (IIID), please use IIID that opened at or before 14 April 2020.
- 4) All OMD-CC messages disseminated during the MR should be treated as non-production data and have to be cleaned up afterwards.
- 5) Real-time price data of Northbound test securities will also be available from the Market Data Portal after market open till market close during the MR. URL of the portal is: <http://203.78.5.208/MDP> .

Contingency Arrangements on Typhoon, Extreme Conditions and Rainstorm Warning on the Day of MR

- In case Typhoon Signal No. 8 or above or Extreme Conditions or Black Rainstorm Warning is issued/ announced or continues to be in force anytime from 7:00am to before 9:00am on the day of MR, the MR 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 9:00am on the day of MR, the MR will be terminated 15 minutes thereafter.
- In case Black Rainstorm Warning is issued on or after 9:00am on the day of MR, the MR will continue until completion.
- In any case, all participating CCEPs should complete the appropriate day-end works including file / database backup, system restoration / fallback and etc. before, during and / or after the MR.