

香港聯合交易所有限公司
(香港交易及結算所有限公司全資附屬公司)

THE STOCK EXCHANGE OF HONG KONG LIMITED
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

Subject: HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) – PUBLICATION OF END-TO-END (E2E) TEST PACKAGE AND FILE TRANSFER CONNECTIVITY GUIDE

Enquiry: Participant General Enquiry Hotline¹ (Tel: 2840 3626 E-mail: trd@hkex.com.hk)

With reference to the Exchange circular (Ref. No.: [CT/021/22](#)), the following three sets of documents have been published to allow the Relevant Regulated Intermediaries (RRIs)² to get ready for the upcoming mandatory E2E Test Session commencing between mid-May and June 2022:

1. E2E Test Package for Exchange Participant (EP) (containing the testing guidelines, including details of two new features of the Orion Central Gateway – Securities Market (OCG-C) to be implemented together with the HKIDR, and other relevant information). It is available for download from the Electronic Communication Platform (ECP) and the download procedure is available in the [Attachment](#);
2. E2E Test Package for non-EP RRI (containing the testing guidelines and other relevant information). It is available for download from the [HKIDR web corner](#); and
3. HKIDR File Transfer Connectivity Guide (a technical reference guide for HKIDR interface files exchange through the ECP covering both the ECP Web Interface and the ECP (SFTP) Interface). It is available for download from the [HKIDR web corner](#).

HKEX will further announce the exact test period of the E2E Test Session in mid-April 2022. To facilitate the submission of various reporting forms under the HKIDR, templates of the five reporting forms will be published in mid-April 2022 for reference. For the avoidance of doubt, a template for the BCAN-CID Mapping File will not be provided, and RRIs should refer to Section 2 of the [File Interface Specifications](#) when preparing the BCAN-CID Mapping File.

¹ All calls to and from the Participant General Enquiry Hotline may be recorded. HKEX Privacy Policy Statement is available [here](#).

² Relevant Regulated Intermediaries refer to SFC-licensed corporations and registered institutions subject to the HKIDR pursuant to the proposed paragraph 5.6 of the SFC's Code of Conduct for Persons Licensed by or Registered with the SFC as set out in the Appendix C in the SFC's consultation conclusions paper.

In addition, to support the mandatory E2E Test Session for the HKIDR, please be informed that test booking for HKEX Orion Market Data Platform – Securities Market (OMD-C) in the E2E Test Environment is not required during the mandatory E2E Test Session.

Use of ECP (SFTP) Interface

During the E2E Test Session, EPs and non-EP RRI can choose to submit the BCAN-CID Mapping File and Reporting Forms via the ECP (Web) interface, or the ECP (SFTP) interface (applicable for EPs and non-EP RRI who choose to adopt a more automated approach). Non-EP RRI who intend to make use of the ECP (SFTP) interface are reminded that they need to approach any of the [SDNet/2 Accredited Vendors](#) for the installation of a SDNet/2 testing line for the E2E Test Session, and will be subject to a charge by the accredited vendor on this.

Once the testing line is installed, the non-EP RRI should also complete the “Notification of Testing Line” form included in the E2E Test Package, and submit to HKEX via E2E ECP Web Interface (the start date for submission will be further announced in due course). Please refer to the E2E Test Package for further details. Please also note that for non-EP RRI using SFTP for file submission, installation of a separate SDNet/2 production circuit will be required for the subsequent Market Rehearsals. Details of the Market Rehearsals will be announced in due course.

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