

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: MIGRATION OF NORTHBOUND (NB) BROKER-TO-CLIENT ASSIGNED NUMBER (BCAN) FILE SUBMISSION AND DOWNLOAD FUNCTIONS TO ELECTRONIC COMMUNICATION PLATFORM 2.0 (ECP 2.0)**

**Enquiry: Participant General Enquiry Hotline<sup>1</sup> (Tel: 2840 3626 E-mail: [trd@hkex.com.hk](mailto:trd@hkex.com.hk))**

The current technical infrastructure used for the “Secure File Transfer Protocol (SFTP)” service in relation to the Northbound (NB) Broker-to-Client Assigned Number (BCAN) file submission and download has been in use for over 5 years and will soon reach its end of life. In view of the mandatory technology refresh required, as well as the continuous effort to modernize HKEX platforms for offering better client services, HKEX plans to migrate the platform used for NB BCAN file submission and download function to Electronic Communication Platform 2.0 (ECP 2.0) (the Migration). The Migration will unify the electronic platforms used for investor ID file submission between HKEX and its participants, as well as improve operational efficiency by leveraging on the built-in features of the ECP 2.0 platform.

**The Migration is mandatory for all China Connect Exchange Participants (CCEPs) and Trade-through Exchange Participants (TTEPs) and is tentatively scheduled for rollout in Q2 2023.**

The following new features in relation to the file exchange as well as the key interface changes required by CCEPs and TTEPs are highlighted:

<b>New Features</b>	<ul style="list-style-type: none"><li>• Additional channel for file submission and download via web user interface of ECP 2.0 (access through HKEX Access Management Portal<sup>2</sup> only)</li><li>• Introduction of the checksum feature for file integrity verification</li><li>• Self-service of SFTP Key Management on web user interface</li></ul>
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<sup>1</sup> All calls to and from the Participant General Enquiry Hotline may be recorded. HKEX Privacy Policy Statement is available [here](#).

<sup>2</sup> Previously known as HKEX Client Connect.

	<ul style="list-style-type: none"><li>• Optional password encryption for the submission of BCAN-Client Identification Data (CID) Mapping File and Authorised TTEP Firm List</li></ul>
<b>Key Interface Changes</b>	<ul style="list-style-type: none"><li>• Setup of user access to NB BCAN functions in ECP 2.0</li><li>• Registration of public keys and IP addresses for SFTP service under the infrastructure of ECP 2.0</li><li>• File name standardization of relevant BCAN files</li></ul>

For more details of the Migration, please refer to the “Summary of Northbound BCAN Files Migration” ([Attachment 1](#)) and the updated “China Stock Connect Northbound Trading Investor ID Model System File Interface Specification” ([Version 1.5](#)) available at the [Northbound Investor ID Model project corner](#). **CCEPs and TTEPs will be required to modify their systems accordingly and participate in the mandatory End-to-End (E2E) test which will commence in late Q1 2023 tentatively**, and therefore are advised to plan resources ahead to support the Migration. More implementation details will be announced in due course.

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