

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: ROLLOUT OF NORTHBOUND (NB) BROKER-TO-CLIENT ASSIGNED NUMBER (BCAN) FILE SUBMISSION AND DOWNLOAD FUNCTIONS ON ELECTRONIC COMMUNICATION PLATFORM (ECP) ON 17 JULY 2023**

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

Following the successful completion of the practice sessions (Ref No: [CT/056/23](#) and [CT/063/23](#)), the Exchange is pleased to announce that the **Northbound (NB) Broker-to-Client Assigned Number (BCAN) file submission and download functions on ECP will be rolled out on 17 July 2023 (Monday).**

To ensure a smooth rollout, all China Connect Exchange Participants (CCEPs) and Trade-through Exchange Participants (TTEPs) are required to take note of the following arrangements and act accordingly:

#	Date & Time	Events	Details
1.	15 July 2023 (Sat) 9:00am to 2:30pm	<b>Optional</b> Post Release Test (PRT)	<ul style="list-style-type: none"><li>• <b>All CCEPs and TTEPs are strongly encouraged to participate in the PRT</b> and no prior enrolment is required.</li><li>• CCEPs and TTEPs should ensure their business user accounts have been properly set up with the required business functions before the PRT.</li><li>• CCEPs and TTEPs should follow the activity rundown (<a href="#">Attachment 1</a>) and ensure their system readiness via thorough verification during the PRT.</li></ul>
2.	15 July 2023 (Sat) Around 3:00pm	Confirmation of Rollout	<ul style="list-style-type: none"><li>• The Exchange will confirm the rollout via a special message posted on the HKEX website</li></ul>

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

#	Date & Time	Events	Details
			<p>at the dedicated <a href="#">Northbound Investor ID Model</a> project corner.</p> <ul style="list-style-type: none"> <li>If there is an unexpected incident and fall back to the original Secure File Transfer Protocol (SFTP) facility is needed, the Exchange will make an announcement requesting CCEPs and TTEPs to follow the fall back activity rundown (<a href="#">Attachment 2</a>) on the same project corner.</li> <li><b>All CCEPs and TTEPs are required to check the abovementioned announcement on the project corner at around 3:00pm and act accordingly.</b></li> </ul>
3.	17 July 2023 (Mon)	Rollout of NB BCAN File Submission and Download functions on ECP	<ul style="list-style-type: none"> <li>Start submitting and downloading NB BCAN related files via ECP.</li> <li>To ensure a smooth operation on day 1 of rollout, CCEPs and TTEPs are recommended to submit NB BCAN related files via ECP as early as possible. The submission service starts at 7 a.m.</li> <li><b>File submission via the original SFTP facility will no longer be available.</b></li> </ul>
4.	17 July 2023 (Mon) to 28 July 2023 (Fri)	Two-week Stabilisation Period	<ul style="list-style-type: none"> <li>In the unlikely event that there is a critical incident disrupting the normal submission and download of NB BCAN files via ECP during the stabilisation period, there may be a fallback to the original SFTP facility and the detailed arrangement will be announced accordingly.</li> </ul>

The Exchange would like to take this opportunity to thank all CCEPs and TTEPs for their continued support in the migration of NB BCAN file submission and download functions to ECP.

**Herman Sin**  
**Senior Vice President**  
**Trading Department**  
**Operations Division**