HKEX
香港交易所

Activity Rundowns for HKEX Backbone Network Upgrade for Securities Market Systems Post Release Test 1 (PRT1) on 8 August 2026

I. OTP-C Activity Rundown (EPs)

Time	Activities
7 August 2026 (Friday) – After Market Close	
After 5:00pm	❑ For all OCG-C/BSS sessions, ensure change, if any, to network configuration is properly completed. ❑ Ensure all OCG-C/BSS components (including network routers) are powered-on after trading hours. ❑ Ensure the production database of in-house/ back-office systems are properly backed-up before the PRT1. ❑ For those BSS which are not going to participate in the test, ensure that each of these BSS is not connected to the OCG-C, to avoid receiving the testing data. ❑ For all existing production BSS, please do not input any next day requests after trading hours on Friday (i.e. requests intended for submission to OTP-C on the following trading day, since next day requests will be submitted to OTP-C during the PRT1 and will not be available on the following trading day).
8 August 2026 (Saturday)	
Ready for Market Open	
After 8:30am	**<u>Logon to OTP-C</u>** For **OCG-C/BSS:** ❑ Connect to OCG-C for all applied OCG-C sessions (including Trading and Drop-Copy sessions). ❑ Logon using the assigned Comp ID(s) and the password **"Ab123456"** for all OCG-C sessions (including Trading and Drop-Copy sessions). **<u>Logon to ECP via SFTP (if applicable)</u>** ❑ Refer to **<u>III. ECP Activity Rundown (For SFTP Users Only)</u>**
Pre-opening Session (POS)	
9:00am – 9:30am	❑ The POS consists of: - Order Input Period (9:00am - 9:15am) - No-cancellation Period (9:15am - 9:20am) - Random Matching Period (9:20am - 9:22am [random matching start time]) - Order Matching (9:20am [random start time] - completion of order matching [variable end time]) - Blocking Period (upon completion of order matching [variable end time] - 9:30am) ❑ Simulate real-life trading activities (in terms of transaction types, pattern and volume) during the POS. ❑ Tag BCAN to each of the on-exchange orders and off-exchange trades.

Time	Activities
Continuous Trading Session (CTS)	
9:30am – 12:00noon	❑ The CTS consists of: - Without VCM monitoring (9:30am - 9:45am) - With VCM monitoring (9:45am - 11:40am) - Without VCM monitoring (11:40am - 12:00noon) ❑ Simulate real-life trading activities (in terms of transaction types, pattern and volume) during the CTS. ❑ Tag BCAN to each of the on-exchange orders and off-exchange trades. ***Note:*** • ***EPs who do not follow the testing guidelines or conduct frivolous activities during the PRT1 may be suspended from further participation in the PRT1 without prior warning.***
Closing Auction Session (CAS)	
12:00noon – 12:10pm	❑ The CAS consists of: - Reference Price Fixing Period (12:00noon - 12:01pm) - Order Input Period (12:01pm - 12:06pm) - No Cancellation Period (12:06pm - 12:08pm) - Random Closing Period (12:08pm - 12:10pm [random close time]) - Order Matching (12:08pm [random start time] - completion of matching [variable end time]) - Day Close (upon completion of matching) ❑ Simulate real-life trading activities (in terms of transaction types, pattern and volume) during the CAS. ❑ Tag BCAN to each of the on-exchange orders and off-exchange trades.
Day Close	
Upon completion of matching	**For OCG-C/BSS**: ❑ Logout and terminate OCG-C sessions (including Trading and Drop-Copy sessions). ❑ Perform end-of-trading procedures, if any, to ensure database integrity. ❑ Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable). ❑ Restore the data and proper BSS production configuration for following trading day, if necessary.
Download Day-end File	
12:45pm – 1:15pm	❑ Day-end Trade File and Day-end Trade File with supplementary information for HK Securities will be available for download on ECP at folder ID "TESTHKEOD". Downloading the trade files via ECP SFTP is recommended for verification of connectivity with ECP. Please refer to **III. ECP Activity Rundown (For SFTP Users Only)**.

Notes:

1) HKEX Orion Market Data Platform – Securities Market (OMD-C) will be operating during the PRT1. All OMD-C messages disseminated during the PRT1 should be treated as non-production data and have to be cleaned up afterwards.

2) The Hong Kong stock market database as at the market open on **29 June 2026** will be used for the test.

II. OTP-CSC Activity Rundown (CCEPs)

Time	Activities
7 August 2026 (Friday) – After Market Close	
After 5:00pm	❑ For all CCCG/BSS sessions, ensure change, if any, to network configuration is properly completed. ❑ Ensure all CCCG/BSS components (including network routers) are powered-on after trading hours. ❑ Ensure the production database of in-house / back-office systems are properly backed-up before the PRT1. ❑ For those BSS which are not going to participate in the test, ensure that each of these BSS is not connected to the CCCG, to avoid receiving the testing data. ***<u>Notes:</u>*** • ***For all existing production BSS, please do not input any next day requests after trading hours on Friday (i.e. requests intended for submission to OTP-CSC on the following trading day, since next day requests will be submitted to OTP-CSC during the PRT1 and will not be available on the following trading day).*** • ***After PRT1, 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.***
8 August 2026 (Saturday)	
Ready for Market Open	
After 8:30am	**<u>Logon to OTP-CSC</u>** For **CCCG/BSS:** ❑ Connect to CCCG for all CCCG sessions (including Trading and Drop Copy sessions). ❑ Logon using the assigned Comp ID(s) and the password **"Ab123456"**for all CCCG sessions (including Trading and Drop Copy sessions). **<u>Log into ECP via SFTP (if applicable)</u>** ❑ Refer to **<u>III. ECP Activity Rundown (For SFTP Users Only)</u>**
Opening Call Auction	
9:15am – 9:25am	❑ The opening call auction session will run from 9:15am – 9:25am. ❑ Simulate real-life trading activities (in terms of order input, pattern and volume). ❑ Tag BCAN to each of the orders, unregistered BCAN **will be rejected** during the PRT1. ❑ Take note of saleable quantities of eligible securities on hand with reference to **<u>A. Security Balances</u>**. ***<u>Note:</u>*** • ***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.***

Time	Activities	
Morning Continuous Auction Session		
	Shanghai-HK Stock Connect (9:30am – 11:30am)	**Shenzhen-HK Stock Connect (9:30am to 10:30am)**
	❑ Simulate real-life trading activities (in terms of order input, pattern and volume). ❑ Tag BCAN to each of the orders, unregistered BCAN **will be rejected** during the PRT1. ❑ Take note the saleable quantities of eligible securities on hand with reference to **A. Security Balances**. Note: ❑ CCEPs who do not follow the testing guidelines or conduct frivolous activities during the PRT1 may be suspended from further participation in the PRT1 without prior warning. ❑ OTP-CSC will accept China Connect orders from SSE from 9:25am to 11:31am. However, these orders will only be processed according to the timetable of SSE.	❑ Simulate real-life trading activities (in terms of order input, pattern and volume). ❑ Tag BCAN to each of the orders, unregistered BCAN **will be rejected** during the PRT1. ❑ Take note the saleable quantities of eligible securities on hand with reference to **A. Security Balances**. Note: ❑ CCEPs who do not follow the testing guidelines or conduct frivolous activities during the PRT1 may be suspended from further participation in the PRT1 without prior warning. ❑ OTP-CSC will accept China Connect orders from SZSE from 9:25am to 10:31am. However, these orders will only be processed according to the timetable of SZSE.
Exchange Intervention	**11:31am**	**10:31am**
Close	**11:35am**	**10:32am**
Afternoon Continuous Auction Session and Closing Call Auction Session		
	Shanghai-HK Stock Connect (1:00pm – 3:00pm)	**Shenzhen-HK Stock Connect (10:35am – 11:30am)**
	❑ The Continuous Auction session of SSE will run from 1:00pm to 2:57pm. ❑ The Closing Call Auction session of SSE will run from 2:57pm to 3:00pm. ❑ Simulate real-life trading activities (in terms of order input, pattern and volume). ❑ Tag BCAN to each of the orders, unregistered BCAN will be rejected during the PRT1. ❑ Take note the saleable quantities of eligible securities on hand with reference to A. Security Balances. Note: ❑ OTP-CSC will accept China Connect orders for SSE from 12:55pm to 3:01pm. However, these orders will only be processed according to the timetable of SSE.	❑ The Continuous Auction session of SZSE will run from 10:35am to 11:27am. ❑ The Closing Call Auction session of SZSE will run from 11:27am to 11:30am ❑ Simulate real-life trading activities (in terms of order input, pattern and volume). ❑ Tag BCAN to each of the orders, unregistered BCAN will be rejected during the PRT1. ❑ Take note the saleable quantities of eligible securities on hand with reference to A. Security Balances. Note: ❑ OTP-CSC will accept China Connect orders for SZSE from 10:34am to 11:31am. However, these orders will only be processed according to the timetable of SZSE.
Exchange Intervention	**3:01pm**	**11:31am**

<table>
<tr><th>Time</th><th colspan="2">Activities</th></tr>
<tr><td>Day Close</td><td>3:05pm</td><td>11:35am</td></tr>
<tr><td>SZSE
11:35am –12:00noon

SSE
3:05pm to 3:30pm</td><td colspan="2">For CCCG and China Connect Drop-Copy Sessions:
❑ Logout and terminate CCCG and China Connect Drop-Copy sessions.
❑ Perform end-of-trading procedures, if any, to ensure database integrity.
❑ Clean up the transaction data (e.g. orders and trades) entered during this test from BSS (if applicable).
❑ Restore the data and proper BSS production configuration for following Monday, if necessary.
❑ Day-end Trade File and Day-end Trade File with supplementary information for China Connect Securities will <u>not</u> be available.</td></tr>
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Notes:

1) The stock database as at the market open on **10 August 2026** will be used for the test.

2) BCAN successfully registered in the production environment should be used for order tagging.

3) CCEPs please use the institutional investor ID (IIID) effective on 29 June 2026 for pre-trade checking.

4) HKEX Orion Market Data Platform – China Connect (Securities) (OMD-CC) will be operating during the PRT1. All OMD-CC messages disseminated during the PRT1 should be treated as non-production data and have to be cleaned up afterwards.

5) Real-time price data for Northbound test securities will also be available on the Market Data Portal (MDP) after market open till market close during the PRT1. The portal URL is: https://mdp-mkttest.hkex.com.hk.

A. Security Balances

Security Database for the PRT1

OTP-CSC : Security database as at market open on **10 August 2026**. For details, please refer to Eligible stocks page on HKEX website at HKEX mutual market web corner.

Pre-set Stock Balances for Northbound Trading

For each CCEP and each Institutional Investor ID (IIID) allocated to CCEP will have the maximum sellable quantity 5,000 for ETF and 50,000 for the following stocks during the PRT1.

For each Short Selling Security in the PRT1, the maximum number of shares available for short selling is 100,000 **for all CCEPs**.

SSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each CCEP and II ID assigned	Available Short Sell Qty for all CCEPs
510300	31003	HUATAI-PB CSI 300 ETF	No	5,000	N/A
512170	31016	HWABAO WP HEALTHCARE ETF	No	5,000	N/A
512480	31019	CPIC SEMICON ETF	No	5,000	N/A
588000	31070	CHINAAMC STAR 50 ETF	No	5,000	N/A
562500	31137	CHINAAMC CSI ROBOT ETF	No	5,000	N/A
600019	90019	BAOSHAN IRON & STEEL CO., LTD.	Yes	50,000	100,000
600031	90031	SANY HEAVY INDUSTRY CO.,LTD	Yes	50,000	100,000
600036	90036	CHINA MERCHANTS BANK CO.,LIMITED	Yes	50,000	100,000
600103	90103	FUJIAN QINGSHAN PAPER INDUSTRY CO.,LTD.	No	50,000	N/A
600715	90715	CULTURAL INVESTMENT HOLDINGS CO.,LTD.	No	50,000	N/A
600726	90726	HUADIAN ENERGY COMPANY LIMITED	No	50,000	N/A
600900	90900	CHINA YANGTZE POWER CO.,LTD.	Yes	50,000	100,000
601288	91288	AGRICULTURAL BANK OF CHINA LIMITED	Yes	50,000	100,000
601398	91398	INDUSTRIAL AND COMMERCIAL BANK OF CHINA LIMITED	Yes	50,000	100,000
601528	91528	ZHEJIANG SHAOXING RUIFENG RURAL COMMERCIAL BANK CO.,LTD.	No	50,000	N/A
601816	91816	BEIJING-SHANGHAI HIGH SPEED RAILWAY CO., LTD.	Yes	50,000	100,000
601857	91857	PETROCHINA COMPANY LIMITED	Yes	50,000	100,000
601899	91899	ZIJIN MINING GROUP COMPANY LIMITED	Yes	50,000	100,000
601968	91968	SHANGHAI BAOSTEEL PACKAGING CO.,LTD.	No	50,000	N/A
601988	91988	BANK OF CHINA LIMITED	Yes	50,000	100,000

SZSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each CCEP and II ID assigned	Available Short Sell Qty for all CCEPs
159819	31305	AI INTELLIGENCE	No	50,000	N/A
159915	31312	CHINEXT ETF	No	5,000	N/A
159928	31316	CSI CONS STAP ETF	No	5,000	N/A
159992	31325	BRAND NAME DRUG ETF	No	5,000	N/A
159516	31357	SEMI EQUIPMENT ETF	No	5,000	N/A
159326	31414	GRID EQUIPMENT ETF	No	5,000	N/A
000001	70001	PING AN BANK CO., LTD.	Yes	50,000	100,000

000100	70100	TCL TECHNOLOGY GROUP CORPORATION	Yes	50,000	100,000
000333	70333	MIDEA GROUP CO., LTD.	Yes	50,000	100,000
000338	70338	WEICHAI POWER CO., LTD.	Yes	50,000	100,000
000425	70425	XCMG CONSTRUCTION MACHINERY CO., LTD.	Yes	50,000	100,000
000725	70725	BOE TECHNOLOGY GROUP CO., LTD	Yes	50,000	100,000
000727	70727	TPV TECHNOLOGY CO., LTD.	No	50,000	N/A
002027	72027	FOCUS MEDIA INFORMATION TECHNOLOGY CO.,LTD	Yes	50,000	100,000
002092	72092	XINJIANG ZHONGTAI CHEMICAL CO.,LTD.	No	50,000	N/A
002345	72345	GUANGDONG CHJ INDUSTRY CO., LTD.	No	50,000	N/A
002470	72470	KINGENTA ECOLOGICAL ENGINEERING GROUP CO., LTD.	No	50,000	N/A
002475	72475	LUXSHARE PRECISION INDUSTRY CO.,LTD.	Yes	50,000	100,000
300124	77124	SHENZHEN INOVANCE TECHNOLOGY CO., LTD	Yes	50,000	100,000
300750	77750	CONTEMPORARY AMPEREX TECHNOLOGY CO., LIMITED	Yes	50,000	100,000

B. Notes on Order Input for the OTP-CSC PRT1

The following notes on order input are applicable for Opening Call Auction, Continuous Auction Sessions and Closing Call Auction Session of Northbound Trading:

General

1. Orders to be input should be at prices within +/- 10% (+/- 20% for STAR shares, ChiNext shares and ETFs specified by SSE/ SZSE) from previous closing price.

2. 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%.

3. The 2% Dynamic Price Limit will be applicable to A shares listed on both SSE and SZSE markets:

Shanghai Connect	SSE Main Board *(applicable to Continuous Auction session only)*	○ China Connect buy orders – price shall not be higher than the higher of 102% of the benchmark price and 10 spreads above the benchmark price; ○ China Connect sell orders – price shall not be lower than the lower of 98% of the benchmark price and 10 spreads below the benchmark price.
	SSE STAR Market *(applicable to Continuous Auction session only)*	○ China Connect buy order – price shall not be higher than 102% of the benchmark price; ○ China Connect sell order – price shall not be lower than 98% of the benchmark price.
Shenzhen Connect	SZSE Main Board and ChiNext *(applicable to Continuous Auction session only)*	○ China Connect buy orders – price shall not be higher than the higher of 102% of the benchmark price and 10 spreads above the benchmark price; ○ China Connect sell orders – price shall not be lower than the lower of 98% of the benchmark price and 10 spreads below the benchmark price.

4. For stocks with daily price limit, the daily price limit (20% or 10% as the case may be) and the Dynamic Price Limit will both apply to the relevant stocks during the applicable trading session.

5. ETF spread is RMB0.001 and A shares spread is RMB0.01.

6. Maximum order size is 1,000,000 shares (100,000 shares for STAR shares and 300,000 shares for ChiNext shares).

7. Cancel outstanding orders as far as possible.

8. Both buy and sell orders are required to tag with BCANs.

Short Selling Order

1. A Short Selling order for a Short Selling Security shall not be input into the OTP-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 relevant OTP-CSC trading day, the previous closing price for that Short Selling Security.

2. Short Selling order must be in multiples of 100 shares. For STAR shares, short selling order must be in multiples of 1 share but should not be less than 200 shares. A short sale of STAR shares of less than 200 shares is allowed provided that the short selling order relates to the sale of all, and not part, of the shareholdings held in respect of a Short Selling Security.

3. Any Short Selling order of a Short Selling Security that, if executed, will cause the 1% daily limit to be exceeded during the course of an OTP-CSC trading day will be rejected by the OTP-CSC.

Sell Order and Buy Order for Pre-Trade Checking Function for Institutional Investors

1. For those supporting pre-trade checking function for institutional investors, input Institutional Investor ID (IIID) for sell orders and, if applicable, buy orders.

III. ECP Activity Rundown (For SFTP Users Only)

<table>
<tr><th>Time</th><th>Activities</th></tr>
<tr><td colspan="2">8 Aug 2026 (Saturday)</td></tr>
<tr><td>09:00am – 1:15pm</td><td><u>For EPs and CCEPs who use ECP SFTP Service</u>
❑ Perform logon test to verify connection from SDNet/2 or HSN to ECP SFTP service according to ECP User Guide.
❑ Day-end Trade File and Day-end Trade File with supplementary information (for HK securities only) will be available for download on ECP during 12:45pm-1:15pm. Downloading the trade file via ECP SFTP (with business function EU_ECPTO and EU_ECPSFTP) is recommended for verification of connectivity with ECP.

<table><tr><th>Download</th><th>Download Folder ID</th></tr><tr><td>For Testing - Hong Kong Securities Market Files (Day End)
• CTF day-end trade file
• CTF day-end trade file with supplementary information for HK Securities</td><td>TESTHKEOD</td></tr></table>
❑ Any files submitted to ECP during the PRT1 will be processed in ECP as normal. Please DO NOT submit any files during the PRT1, unless it is necessary for normal business operations in production.</td></tr>
</table>

Should EPs/CCEPs have any enquiries or network connectivity issues during the PRT1, please contact the below Support Hotlines:

<table>
<tr><th></th><th><u>Telephone Number</u></th><th><u>Email Address</u></th><th><u>Hotline Support Service Hours</u></th></tr>
<tr><td>For BSS Support</td><td>2840 3351</td><td>bsssupport@hkex.com.hk</td><td rowspan="2">8:30am – 3:30pm</td></tr>
<tr><td>For General Enquiry</td><td>2840 3626</td><td>otpc@hkex.com.hk</td></tr>
</table>

Contingency Arrangements on Typhoon, Extreme Conditions and Rainstorm Warning on the Day of PRT1

When Typhoon Signal No. 8 (or above) or Extreme Conditions or Black Rainstorm Warning is hoisted, or is expected to be in force, before or during the scheduled PRT1, PRT1 will proceed and continue until completion unless otherwise announced by HKEX.