



## **Attachment 5**

### **HKEX Connectivity Test on 27 July 2019**

#### **Information Package for**

#### **HKCC / SEOCH Participants**

Version 1.1  
Issue Date: 12 July 2019

## **Table of Content**

<b>1. INTRODUCTION.....</b>	<b>2</b>
<b>2. OBJECTIVES AND SCOPE .....</b>	<b>2</b>
<b>2.1 TEST OBJECTIVES.....</b>	<b>2</b>
<b>2.2 SCOPE .....</b>	<b>2</b>
<b>3. IMPORTANT NOTES TO CPS.....</b>	<b>3</b>
<b>3.1 TECHNICAL SETUP FOR THE CT.....</b>	<b>3</b>
<b>3.2 PREPARATION AND EXECUTION OF THE CT .....</b>	<b>3</b>
<b>4. SCHEDULE AND ARRANGEMENT .....</b>	<b>4</b>
<b>4.1 OVERVIEW .....</b>	<b>4</b>
<b>4.2 SCHEDULE AND TIMETABLE.....</b>	<b>4</b>
<b>4.3 USER ID AND LOGIN PASSWORD.....</b>	<b>5</b>
<b>4.4 TEST ENVIRONMENT.....</b>	<b>5</b>
<b>4.5 TRANSACTIONS TO BE EXECUTED .....</b>	<b>5</b>
<b>4.6 TEST CONFIRMATION .....</b>	<b>5</b>
<b>5. COMMUNICATION CHANNELS .....</b>	<b>5</b>
<b>6. HELP DESK .....</b>	<b>5</b>
<i>APPENDIX A: Checklist for Connectivity Test.....</i>	<i>6</i>
<i>APPENDIX B: Data Set up and Execution Requirements for Connectivity Test.....</i>	<i>7</i>

## 1. Introduction

HKEX Hosting Services (“HKEX-Hosting”) plans to replace the firewalls and network switches (“Hardware Replacement”) for HKEX Service Network (“HSN”) and Timing Service-Network Time Protocol (“NTP”) services.

To facilitate Clearing Participants (“CPs”) of the derivatives market to verify their network connectivity with the Hardware Replacement for HSN, HKEX will conduct a HSN Connectivity Test (“CT”) on Saturday, 27 July 2019

This information package is designed to assist CPs in preparing and planning for the CT. CPs should read this information package carefully and make necessary preparation before participating in the CT. A copy of this document should also be passed to their IT support or system vendors to ensure the availability of proper technical support before, during and after the CT.

## 2. Objectives and Scope

### 2.1 Test Objectives

The objective of the CT is to allow CPs to verify their network connectivity to DCASS with the Hardware Replacement for HSN.

### 2.2 Scope

The CP will consist of 3 parts:

- Part A: Login Test
- Part A: Simulation of Clearing Operations
- Part B: Report Retrieval

#### ***Part A: Login Test (~14:00 – 14:45)***

CPs are **encouraged** to login DCASS via their DCASS Online workstations during the CT.

#### ***Part B: Simulation of Clearing Operations (~14:45 – 16:00)***

DCASS online session is available during the CT. CPs are **encouraged** to perform post-trade activities, such as Rectify Trade, Trade Give-up / Take-up, Position Net Down and Internal Position Transfer.

#### ***Part C: Report Retrieval***

For CPs who retrieve DCASS reports via Secured File Transfer Protocol (“SFTP”) using HSN. CPs are **encouraged** to retrieve at least any one of production DCASS reports via SFTP during the CT.

### 3. Important Notes to CPs

#### 3.1 Technical setup for the CT

CPs should note the following technical requirements for the CT:

- i) CPs should use their DCASS Online workstations to access DCASS via the existing URL; and
- ii) CPs should ensure that the correct Google Chrome browser version has been installed in their DCASS Online workstations

#### 3.2 Preparation and Execution of the CT

CPs should note the following arrangements for the preparation and execution of the CT:

- i) **CPs are required to login DCASS via their DCASS Online at 14:00 promptly to start the CT on time.**
- ii) **CPs shall use the production user ID as of 25 Jun 2019 with the testing password “hkextesting” to access DCASS during the CT.** Besides, CPs should ensure the participating staff members have appropriate user function access right to perform the required clearing activities at DCASS during the CT. **CPs’ DCASS Administrators are not encouraged to change the users function access during the CT because it will take time to take effect.**
- iii) CPs shall use the **SFTP user ID as of day end on 26 July 2019 to retrieve production DCASS reports during the CT.**
- iv) CPs should ensure that they have access to the emails of the designated contact persons for the CT in order to receive reports/files and obtain emergency messages from HKEX during the CT.
- v) CPs should refer to the Checklist in Appendix A for the action items to be performed before, during and after the CT. In order to achieve the testing objectives, participating users should familiarize themselves with the requirements and procedures prior to the CT.
- vi) CPs are recommended to maintain a proper audit trail in respect of each transaction input during the CT in accordance with the policy currently adopted by them. The Responsible Officer or his/her designate of each participating CP should be present during the CT to supervise the testing process and to be responsible for relaying any issues arising during the CT to HKEX. CPs should execute post-trade transactions via DCASS Online during the CT with the data set up and execution set forth in Appendix B.
- vii) CPs shall fill in and return the **“HSN Connectivity Test Result Confirmation Form”** HKEX via email or fax **at or before 18:00 on 29 July 2019.**

## 4. Schedule and Arrangement

### 4.1 Overview

The CT will be held on Saturday, 27 July 2019. During the CT, pre-defined trades and positions will be available for CPs to perform post-trade activities.

### 4.2 Schedule and Timetable

The CT will be conducted on Saturday, 27 July 2019. CPs are requested to ensure their DCASS Online workstations will be available during the CT.

**Execution Date: 27 July 2019 (Saturday)**

**System Date: 27 July 2019**

TESTING TIME		DCASS PROCESSING	REMARKS
FROM	TO		
<b>DCASS Login Test – CPs</b>			
14:00	14:45	Perform DCASS login test	<ul style="list-style-type: none"> <li>CPs login DCASS by using production user IDs as of 25 Jun 2019 with the testing password “hkextesting”.</li> </ul>
<b>Simulation of Clearing Operations – CPs</b>			
<b>Retrieval of Reports – CPs who retrieve report via SFTP using HSN</b>			
14:45		DCASS online session ready CPs perform post-trade transactions CPs download DCASS reports	<ul style="list-style-type: none"> <li>CPs perform post-trade (e.g. Rectify Trade, Trade Give-up / Take-up, Position net down, Internal Position Transfer)</li> <li>CPs download DCASS reports via SFTP</li> </ul>
16:00		DCASS online session close	<ul style="list-style-type: none"> <li>CPs cannot input post-trade transactions</li> <li>CPs should logout from DCASS</li> </ul>
<b>HKEX restore HSN from Testing to Production</b>			
<b>HKEX restore DCASS to Production</b>			
16:00	21:00	HKEX restore HSN and DCASS to Production	<ul style="list-style-type: none"> <li>DCASS login is not allowed during restoration</li> </ul>
<b>Production Connectivity Health Check – CP</b>			
21:00	22:30	CPs to perform production connectivity to DCASS	<ul style="list-style-type: none"> <li>CPs should use their production user ID and password to login DCASS to perform connectivity health check</li> </ul>
<b>Submission of Connectivity Test Confirmation Form (29 Jul 2019)</b>			
before	18:00	Complete and submit the duly signed HSN Connectivity Test Result Confirmation Form to HKEX via email or fax	<ul style="list-style-type: none"> <li>Submit completed “HSN Connectivity Test Result Confirmation Form” to HKEX Hosting Service Desk (Email: hsservicedesk@hkex.com.hk Fax: (852) 2462-0722)</li> </ul>

### 4.3 User ID and Login Password

CPs should use their **DCASS production user IDs as of 25 Jun 2019 and testing password “hkextesting”** to access DCASS via DCASS Online workstations during the CT.

### 4.4 Test Environment

When CPs login DCASS, they will be simulating production operation as if 27 July 2019 is a normal business day. HKEX will prepare a clean environment for DCASS. CPs should refer to points (2) and (3) of Appendix B for details of **pre-defined trades and post-trades** to facilitate them to perform post-trade activities during the CT.

### 4.5 Transactions to be Executed

CPs should execute post-trade transactions via DCASS Online workstations during the CT. There will be **NO** access to CCMS during the CT. CPs should refer to Appendix B for the detailed execution script during the DCASS online session.

### 4.6 Test Confirmation

All participated CPs are requested to complete and return the “**HSN Connectivity Test Result Confirmation Form**” to HKEX via email or fax **at or before 18:00 on 29 July 2019**.

## 5. Communication Channels

Under normal situation, HKEX will communicate with the designated contact persons of the CPs during the CT via e-mails and/or phone calls.

In the event of cancellation or postponement of the CT if contingency happened two hours before the test starts (i.e. **12:00 on 27 July 2019**) due to unexpected situations, HKEX will inform CPs of the ad-hoc arrangements via email and/or phone calls.

CPs should ensure that their designated contact persons for the CT are reachable during the prescribed time and the relevant email and mobile phone numbers submitted to HKEX must be accurate.

## 6. Help Desk

For any DCASS connectivity queries about the CT, CPs can email at [clearingpsd@hkex.com.hk](mailto:clearingpsd@hkex.com.hk) for assistance.

For any HSN connectivity queries about the CT, CPs can contact **Hosting Service Desk Hotline at 2211-6860** or email at [hsservicedesk@hkex.com.hk](mailto:hsservicedesk@hkex.com.hk) for assistance.

**APPENDIX A: Checklist for Connectivity Test**

<b>ITEMS TO BE CHECKED</b>		✓
<b>(A) Before the Test</b>		
1	Have you read and understood this document (“ <b>HKEX Connectivity Test on 27 July 2019 Information Package for HKCC / SEOCH Participants</b> ”)?	
2	Have you (if necessary) passed this document to your internal IT support team or system vendor and ensured that they would make follow-up action?	
3	Have you ensured that the participating users have experience in conducting DCASS related activities and have appropriate user function access to perform the required activities in DCASS and/or your internal systems during the Test?	
4	Have you established appropriate procedures to restore your production version of internal system upon completion of the Test and verification control to ensure system readiness for normal business operations on the following Business Day, i.e. Monday, 29 July 2019?	
5	Have you arranged IT and/ or system vendor support with appropriate system administration ID during the Test in case there is any technical problem?	
<b>(B) On 27 July 2019, before executing test cases and during the Test</b>		
1	Have your designated contact persons of the Test already logged in their e-mail accounts to obtain announcement during the Test?	
2	Have you performed the Login Test via your DCASS Online workstations?	
3	Have you performed all required post-trade activities?	
4	Have you downloaded the DCASS reports via SFTP?	
<b>(C) After the Test</b>		
1	Have you submitted the “HSN Connectivity Test Result Confirmation Form” to HKEX at or before 18:00 on 29 July 2019?	

## **APPENDIX B: Data Set up and Execution Requirements for Connectivity Test**

### **(1) Post-trade Transactions in DCASS**

The following dummy Participant will act as the counterparty of the post-trade transactions executed by CPs.

**DCASS Customer Code: CCCC      Company Name: CCC Company Limited**

### **(2) Pre-defined Trades/Positions in DCASS**

Each CP will have the following trades/positions in their DCASS Omnibus Client account to ensure they have sufficient data to start the CT:

Pre-defined trades of the respective Trade Dates, Series and Free Text in DCASS **Omnibus Client** account will be available for each CP, the pre-defined position of each series is **100 Long and 100 Short**:

Trade Date	Trading Session	Clearing Date	Series	Free Text
25 June 2019	T	25 June 2019	HSIN9	RT_D1
			HHIN9	RT_D2
			MHIN9	RT_D3
			MCHN9	RT_D4

Trade Date	Trading Session	Clearing Date	Series	Free Text
25 June 2019	T	25 June 2019	HEX280.00G9	HEX280.00S9



(3) **Execution Requirements**

<b>Execution Date</b>	27 July 2019
<b>Logical Date</b>	27 July 2019
<b>Description</b>	
<b>Clearing Operations at DCASS</b>	CPs to perform <b><u>any one</u></b> of the following post-trade activities in the CT during DCASS online session: <ul style="list-style-type: none"><li>• Rectify trade</li><li>• Give-up / Take-up</li><li>• Position Net Down</li><li>• Internal position transfer</li></ul>
<b>Report Retrieval</b>	CPs to retrieve <b><u>at least one production DCASS report</u></b> in the CT
<b>Success Criteria</b>	CPs can successfully perform post-trade transactions via DCASS Online and where applicable, download reports via SFTP during the CT