

Attachment 3

HSN Readiness Test for Exchange Participants (HKATS)

31 AUG 2019

Version 1

Issue Date: 16 AUG 2019

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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 Exchange Participants (“EPs”) of the derivatives market to verify their network connectivity with the Hardware Replacement for HSN, HKEX will conduct a mandatory HSN Readiness Test (“RT”) on Saturday, 31 AUG 2019.

This information package is designed to assist Participants in preparing and planning for their trading operations for the RT. EPs should read this information package carefully and make necessary preparation before conducting the RT. EPs should also pass a copy of this document to relevant IT support team and information service provider to ensure proper technical support is available before, during and after the RT.

The HSN Readiness Test (“RT”) covers the following scenarios:

31 AUG 2019 (HSN Readiness Test):

- HKATS Online (if available)
- OAPI program
- PTRM (if available)
- Market Data source
- Normal Trading Session (T session)
- Volume Test Session

2. Scope and Objectives

2.1 Scope

Normal Trading Operations

The designated normal trading sessions allow HKATS users to input orders and perform transactions. Normal session will involve the input of both trading and clearing transactions.

Volume Test

Volume Test: 4,000 series update per second

To ensure the network & system stability when high transaction volume is recorded under Genium INET Platform of both HKATS and DCASS, one volume session per phase will be conducted during the RT when all EPs and CPs are required to input prescribed number of transactions into HKATS and DCASS respectively to simulate trading and clearing operations under high transaction volume.

3. Participants Requirements

In order to be ready for the RT, all EPs / CPs have to meet the following requirements:

1. EPs subscribed HSN services with HKATS Online connection(s);
2. EPs subscribed HSN services with OAPI program(s); or
3. EPs subscribed HSN services with PTRM connection(s).

4. Do's and Don'ts

Do's

1. Back up production data prior to the RT;
2. Ensure that the proper version of Google Chrome browser (version 68.0.3440.106)/ Java (version 8)/ OAPI Programs (HKATS and DCASS Upgrade version) are used for RT;
3. Login to HKATS as early as possible – starting from 2:00 p.m.;
4. Ensure that the RT checklists are properly followed;
5. Ensure the secondary CGs can be connected by the EPs' HKATS Online, OAPI programs as well as HKATS Risk Function GUI on top of primary CG connections;
6. Ensure that communications between trading operation staffs, clearing operation staffs, Pre-Trade Risk Management (PTRM) users, information service providers (if applicable) and IT support team have been established before the RT;
7. Backup all relevant log files for subsequent review and make sure all testing data will not be carried forward;

Don'ts

1. Don't reboot or shut down your HKATS Online workstation even if it appears to be not responding. Please call the HKATS Hotline (2211-6360) immediately should you find your workstation not responding; and
2. Don't attempt to rectify the problem by closing any window, terminating any application programs, etc. Any such attempt would complicate rather than assist the problem diagnosis process.

5. Help Desk

HKATS Help Desk will respond to EPs' application inquiries during the RT. Details are as follows:

HKATS Hotline: 2211-6360 (From 2:00 p.m. to 8:00 p.m. on 31 AUG 2019)

Hosting Service Desk will respond to EPs' HSN connectivity inquiries during the RT. Details are as follows:

Hosting Service Desk Hotline: 2211-6080 (24 hours)

6. HSN Readiness Test

6.1 Date and Time Table

The RT Connectivity will be conducted in the afternoon on 31 AUG 2019, in which the HKATS production network will be utilized for all tests. Participants using OAPI program(s) are requested to connect ALL their applications to HSN as in the production environment. The RT will last for 2 hours tentatively from 2:00 p.m. to 8:00 p.m., including one normal trading sessions and three volume session.

The time table and tasks which EPs are expected to do are as follows:

Date: 31 Aug 2019			
TEST	PHASES	TIME FRAME	TASKS
1 st Trading Session			
Login Test		2:00 p.m.– 2:30 p.m.	<ul style="list-style-type: none"> • Login to upgraded HKATS Genium INET platform with certified OAPI/ HKATS Online. • Check/synchronize system clock of your workstation (if necessary). • Login to HKATS by using the HKATS username and password (reset as hkextesting) •
Normal Session ~ Pre-Market Opening Period (HSI, MHI, HHI & MCH only)	Pre-Opening	2:30 p.m. – 2:41 p.m.	<ul style="list-style-type: none"> • Input orders
	Pre-Open Allocation	2:41 p.m. – 2:43 p.m.	<ul style="list-style-type: none"> • Input orders
	Open Allocation	2:43 p.m. – 2:45 p.m.	<ul style="list-style-type: none"> •
Normal Session ~ Open Trading Session	Open	2:45 p.m. – 8:00 p.m.	<ul style="list-style-type: none"> • Input orders and execute trades • Connection will be broken during the following periods <ul style="list-style-type: none"> ○ 4:00 p.m. – 5:00 p.m. ○ 6:00 p.m. – 7:00 p.m. • Users should re-login to HKATS at 5:00 p.m. and 7:00 p.m. (please refer to the schedule mentioned in subscriber notice for details)
Volume Session ~ Open Trading Session	Open	Phase 1: 3:30 p.m. – 3:45 p.m. Phase 2: 5:45 p.m. – 6:00 p.m. Phase 3: 7:45 p.m. – 8:00 p.m.	<ul style="list-style-type: none"> • Input orders and execute trades
Market Close	Close	8:00 p.m.	<ul style="list-style-type: none"> • Normal Session Close
Break (8:00 p.m. 31 AUG – 9:00 a.m. 1 SEP)			

HSN Fallback to Production version & HKEX Restore HKATS Production Genium version			
Date : 1 SEP 2019			
Post-RT Health Check (Production Connectivity) - Optional to Participants			
EP Login (Optional)		09:00 a.m. – 10:30 a.m.	<ul style="list-style-type: none">• Logon HKATS Online/ OAPI/ HKATS Risk Functions GUI) by using the production HKATS username and password.

6.2 Connections

For HKATS, OAPI and PTRM, Participant is recommended to place the order as current production setting by using the username and password as above section.

6.3 HKATS Usernames & Passwords

The system date will be set as **31 AUG 2019** for HSN Readiness Test. All **HKATS account setting (including PTRM settings) will be the same as 24 Jul 2019 start of day.** All users are required to use their production HKATS usernames to login. All passwords will be reset to **hkextesting**. The passwords will **NOT** be carried forward to production. All usernames will have the same trading access level as in the production environment.