

HKEX

香港交易所

Fast Interface for New Issuance (FINI)

External User Testing Information Pack for
HKSCC Participants



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Versions

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DISCLAIMER

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1. Introduction

“FINI” (Fast Interface for New Issuance) is an online platform operated by HKSCC that is mandatory for admission to trading and, where applicable, the collection and processing of specified information on subscription in and settlement for all New Listings¹.

FINI allows market participants and regulators to interact digitally and seamlessly on the many important steps that comprise the end-to-end settlement process for the New Listings. Leveraging modern and user-friendly interfaces with common workflow logic and data standards, the use of FINI allows IPOs to start trading on the Exchange as soon as, two business days after pricing (“T+2”).

HKEX invites HKSCC Participants (“CP”) to participate in the FINI External User Testing (“EUT”) from **1 March 2023** to **19 May 2023**. Participation in the EUT is strongly advised, as the EUT will provide opportunities for market participants to familiarise themselves with FINI applications and workflows. Registration for the EUT has already commenced and the [FINI Testing Registration Form](#) and other FINI-related publications are available on the [HKEX FINI webpage](#).

This Information Pack contains detailed information to assist testers in planning and executing the EUT. Please share this information pack with all relevant personnel within your firm, who will participate in the EUT for example, your Operations and IT support teams.

¹ FINI will initially support the new listings of equity securities, depositary receipts, stapled securities, and REITs, and trading resumption offerings on SEHK, including: (i) primary listings; (ii) dual-primary listings; (iii) secondary listings; (iv) RTOs; (v) listings by way of introduction; and (vi) transfers from GEM to the Main Board. FINI will also support post-listing public offers.

2. Objective and Scope

2.1 Testing Objective

The objective of the EUT is to allow market participants obtain an understanding of how they will be using FINI, experience to use it in a testing environment and assess how their internal practices may need to be changed in order to bring themselves ready for FINI ahead of its launch.

To be eligible for the EUT, market participants **must** have already completed the test registration for FINI. The [FINI Testing Registration Form](#) can be found on the HKEX FINI webpage.

Once the EUT is completed, each registered participants must provide a confirmation via an [e-Form](#) to state they have executed all assigned test scenarios, and confirm their understanding of the operational workflow and application behaviors of FINI.



2.2 EUT Scope (mandatory)

The testing will cover the following workflows for each participating user:

- EIPO Management (Enquire Only Status and POmax Opt-in Status)
- IPO Reference Data
- EIPO Subscription
- EIPO Funding
- EIPO Subscription (Downsize)
- EIPO Allotment

⚠ Report download are available in the testing environment. Testers are strongly advised to download the report and get familiar with the report format for Production preparation. Please refer to Section 3.2 – Step vii on the Certificate Installation guide for FINI report download functions.

Please refer to the [User Guide for HKSCC Participants](#) for a step-by-step guide on how to use each of the above FINI workflows.

For the avoidance of doubt, the below functions/scenarios are out-of-scope for this EUT:

- Audit Log Reports
- Contingency plan
- Email notification

2.3 FINI API Testing (optional)

FINI API is provided as an alternative means to access FINI. It provides access to the following FINI functions:

1. IPO Reference Data enquiries (available for all FINI user types)
2. EIPO subscriptions and enquiries (available for FINI HKSCC Participants)
3. EIPO pre-funding confirmation and enquiries (available for FINI Banks)

For the implementation details, please refer to the [FINI API User Guide](#) on the FINI webpage. In order to access the testing environment via FINI API, please use the following end points:

API	Method	URI
FINI API JWT Access Token Retrieval API	POST	https://connect-am.u4cp.hkex.com.hk:443/openam/oauth2/eu/access_token
Crypto Metadata Request API	GET	https://fini.u4cp.hkex.com.hk/api/crypto/meta
Enquire IPO List	GET	https://fini.u4cp.hkex.com.hk/api/ipo/list/v1?size={{size}}&nextCursor={{cursor}}
Enquire IPO reference data	GET	https://fini.u4cp.hkex.com.hk/api/ipo/refdata/v1?ipoID={{ipoID}}
Add EIPO subscription entries	POST	https://fini.u4cp.hkex.com.hk/api/eipo/subscriptions/add/v1
Amend EIPO subscription entries	POST	https://fini.u4cp.hkex.com.hk/api/eipo/subscriptions/change/v1
Invalidate EIPO subscription entries	POST	https://fini.u4cp.hkex.com.hk/api/eipo/subscriptions/invalidate/v1
Enquire EIPO subscription entries	POST	https://fini.u4cp.hkex.com.hk/api/eipo/subscriptions/query/v1
Enquire EIPO funding validation list	POST	https://fini.u4cp.hkex.com.hk/api/eipo/funding/query/v1
Confirm EIPO funding validation	POST	https://fini.u4cp.hkex.com.hk/api/eipo/funding/confirm/v1

3. Schedule and Arrangements

3.1 Overview

Testing will commence from **1 March 2023** and end on **19 May 2023**. Given the significant volume of testers, the FINI Project Team will assign each market participant a specific testing period.

HKSCC participants will be assigned specific IPOs in FINI (also known as “IPO Cards”) for the purposes of the EUT. This is to avoid any unnecessary confusion amongst testers, as we anticipate a significant number of testers will be concurrently conducting the EUT. Market Participants must only conduct their testing within their assigned IPO Cards to ensure a smooth testing experience for all EUT participants.

There are two types of user accounts: 1) **Admin** users are only for managing the business user accounts, teams and API profiles for FINI access; and 2) **Business** users will be the one accessing and using the FINI interface. All business user accounts are managed by Delegated Administrators (“**DAs**”) in the HKEX Access Management Portal.

By default, there are two admin user accounts and two business user accounts setup for each participant firm in the EUT environment.

3.2 Preparation and Execution of the Testing

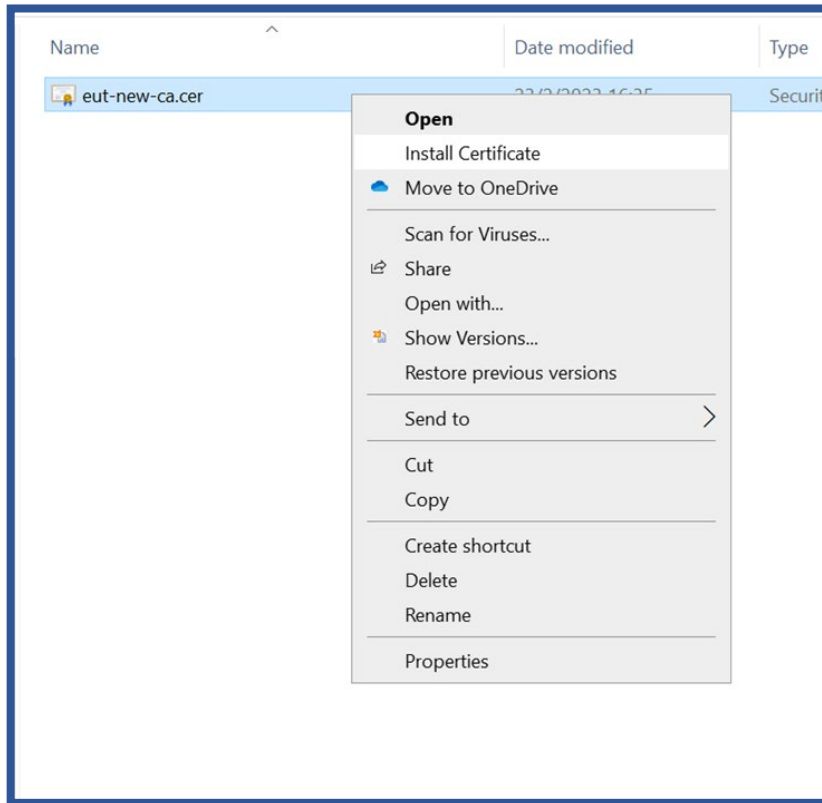
All testers should note the following arrangements for preparation and execution of the testing:

- i. VPN (Virtual Private Network) setup must be completed in order to access the FINI test site. For VPN setup instructions, please refer to [FINI Testing Environment Setup and Access Guide](#).
- ii. Once the VPN setup has been completed, you may access the FINI and HKEX Access Management Portal via the following links:
FINI: <https://fini.u4cp.hkex.com.hk>
HKEX Access Management Portal: <https://connect.u4cp.hkex.com.hk>

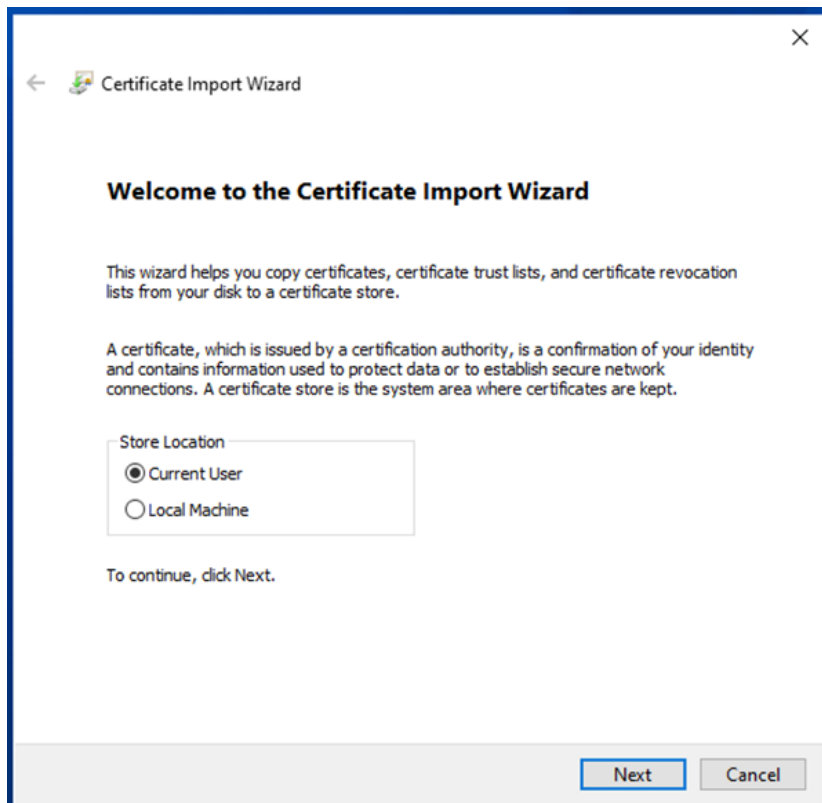
The testing environments (both FINI and HKEX Access Management Portal) will be open from Monday 08:00 to Friday 16:00 (HKT) on weekly basis during the EUT period.

- iii. Please follow the steps written in this information pack and make reference to the [User Guide for HKSCC Participants](#) to execute the test cases.
- iv. Testing may be executed anytime within the designated testing period and **must** be completed **before** the end of the designated testing period.
- v. Testers **must** submit a confirmation upon testing completion via an [e-Form](#) **before** the end of the designated testing period, a single confirmation from a company for multiple user types is acceptable.
- vi. All reports and data used within the testing environment are strictly for testing purposes only.
- vii. For testers to test Report Download function on FINI, please follow the steps below for certificate import for FINI report download.
 1. Download the certificate (“**eut_new_ca.txt**”) from [FINI webpage](#) to VPN desktop computer, and rename the file to “**eut_new_ca.cer**”.

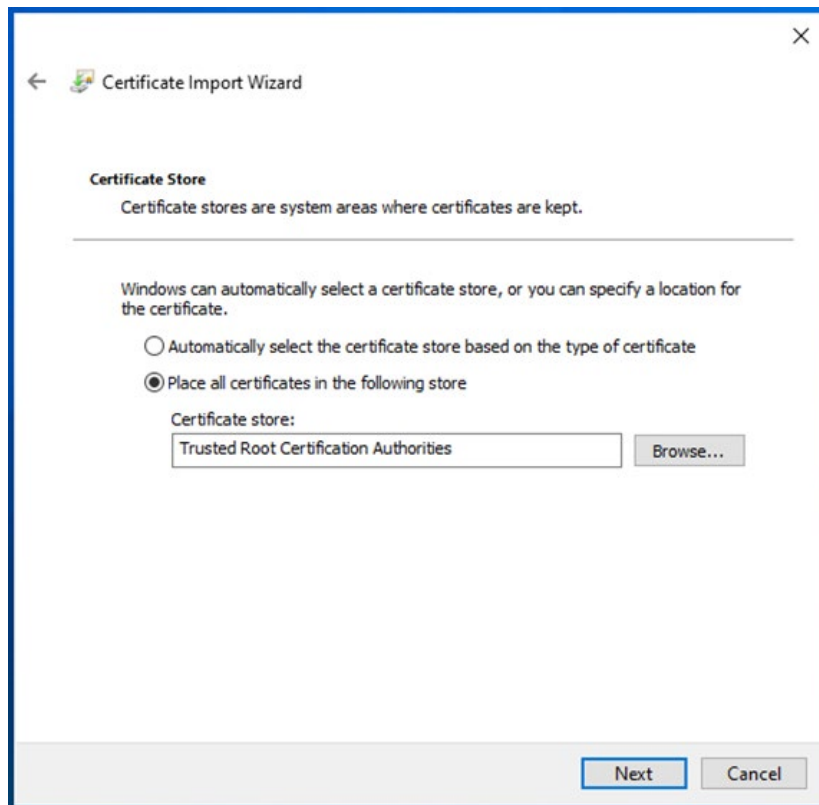
2. Right click on the file and select “Install Certificate”



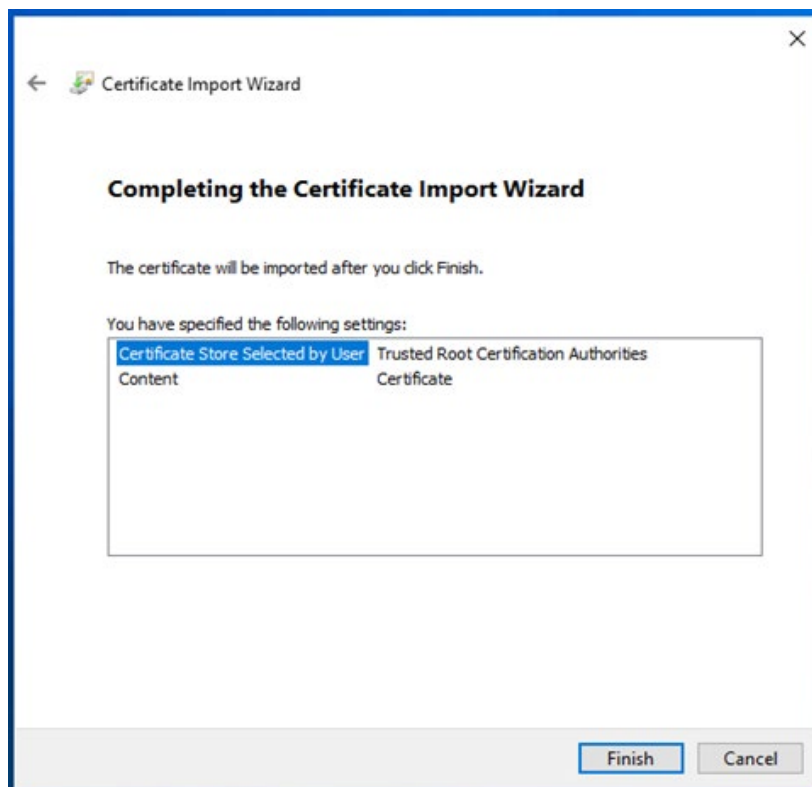
3. Select “Current User” and click “Next”



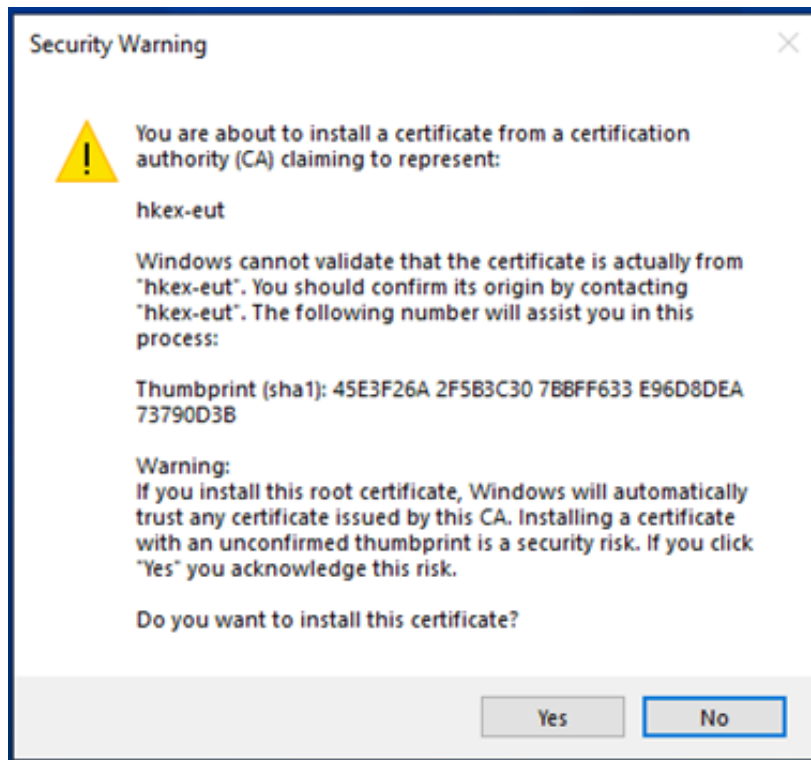
4. Select “Place all certificates in the following store”, click “Browse” and select “Trusted Root Certification Authorities”, click “Next” then click “OK”



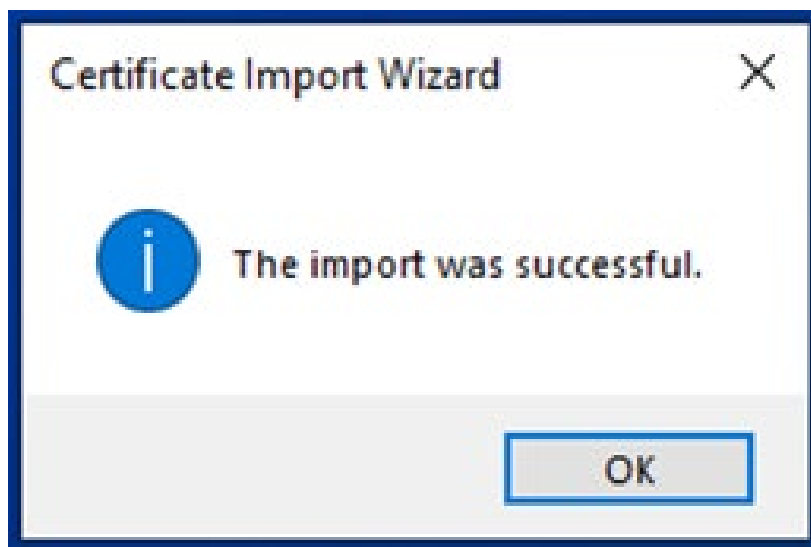
5. Select “Certificate Store Selected by User” and click “Finish”



6. After 30 seconds, the following message will prompt up and click "Yes"



7. Click "OK"



8. Close and open new browser to login to FINI website

3.3 Test Cases

Workflow	Pre-Conditions	Test Steps	Expected Result
EIPO Management	In any IPO status	<p>A. <u>Configure PΟmax Opt-in Status</u></p> <p>1. <u>HKSCC Participant Maker can access to EIPO Management section at any point in time to:</u></p> <ul style="list-style-type: none"> ➤ Submit request: <ul style="list-style-type: none"> (i) Log in to FINI web portal (ii) Access the user setting on the top right corner of IPO Home Page (iii) Click 'EIPO Management' under the dropdown menu (iv) User able to access EIPO Management panel (v) Click 'Change' in the PΟmax Opt-in Status (vi) Click 'Confirm' to submit request ➤ Withdraw request: <ul style="list-style-type: none"> (i) Log in to FINI web portal (ii) Access the user setting on the top right corner of IPO Home Page (iii) Click 'EIPO Management' under the dropdown menu (iv) User able to access EIPO Management panel (v) Click 'Change' in the PΟmax Opt-In Status (vi) Click 'Confirm' to submit request (vii) Click 'x' in the 'Pending Approval (PΟmax Opt-in)' section (viii) Click 'Confirm' in the confirmation box to withdraw the request <p>2. HKSCC Participant Checker can access to EIPO Management section:</p> <ul style="list-style-type: none"> ➤ Approval: <ul style="list-style-type: none"> (i) Log in to FINI web portal 	<p>A. <u>Configure PΟmax Opt-in Status</u></p> <p>Tester Maker and Checker is able to view the current configuration of PΟmax Opt-in status in "Y" or "N" and an effective date.</p> <p>1. Submit request: A change request displays in the Pending Approval (PΟmax Opt-in) section;</p> <p>Withdraw request: The PΟmax Opt-In Status remains unchanged.</p> <p>2. Approval: Approved value will be reflected in the PΟmax Opt-in Status section with updated Effective Time;</p> <p>Reject: The change will be rejected, the PΟmax Opt-In Status remains unchanged;</p> <p>Refer to the 'PΟmax Opt-in Status' under HKSCC Participants User Guide for details of the definition of PΟmax Opt-in Status.</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> (ii) Access the user setting on the top right corner of IPO Home Page (iii) Click 'EIPO Management' under the dropdown menu (iv) User able to access EIPO Management panel (v) Click 'Approve' in the 'Pending Approval (POmax Opt-in)' section (vi) Click 'Confirm' in the confirmation box to approve the value change request <p>➤ Reject:</p> <ul style="list-style-type: none"> (i) Log in to FINI web portal (ii) Access the user setting on the top right corner of IPO Home Page (iii) Click 'EIPO Management' under the dropdown menu (iv) User able to access EIPO Management panel (v) Click 'Reject' in the 'Pending Approval (POmax Opt-in)' section (vi) Click 'Confirm' in the confirmation box to reject the request <p>B. <u>FINI EIPO Enquire Only Status</u></p> <p>1. <u>HKSCC Participant can access to EIPO Management section at any point in time:</u></p> <ul style="list-style-type: none"> (i) Log in to FINI web portal (ii) Access the user setting on the top right corner of IPO Home Page (iii) Click 'EIPO Management' under the dropdown menu, (iv) User able to access EIPO Management panel and view Enquire Only Status 	<p>B. <u>FINI EIPO Enquire Only Status</u></p> <p>1. FINI Enquire Only value displays in the Enquire Only Status</p> <p>The FINI EIPO Enquire Only Status determines whether HKSCC Participant may operate add, amend or invalidate EIPO subscriptions. Refer to the 'FINI EIPO Enquire Only Status' under HKSCC Participants User Guide for details of the definition of FINI EIPO Enquire Only value</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
IPO Reference Data	IPO status has reached "Deal Initiated"	<p>A. <u>IPO Reference Data</u></p> <p>1. <u>When IPO status reaches 'Deal Initiated', HKSCC Participant can access IPO Reference Data function by:</u></p> <ul style="list-style-type: none"> (i) Log in to FINI web portal (ii) Select IPO Card of the IPO Home Page <p>2. <u>HKSCC Participant may enquire sub-sections details as below:</u></p> <ul style="list-style-type: none"> (i) Company Information (ii) Warrants (will only show if an IPO has Warrants) (iii) Type of Listing (iv) Offering (v) Preferential Offers (will only show if an IPO has preferential offer) (vi) Advisors (vii) Timetable (viii) Documents (ix) Transaction Costs 	<p>A. <u>IPO Reference Data</u></p> <p>1. 'IPO Reference Data' section is available and displayed on the selected IPO Card.</p> <p>2. User able to navigate to the applicable section by clicking the reference data table on the right panel.</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
EIPO Subscription	IPO status reaches "Deal Initiated"	<p>A. <u>Input / Amend / Save / Delete / Submit / Withdraw / Upload EIPO subscription instruction(s)</u></p> <p><u>HKSCC Participant Maker:</u></p> <ol style="list-style-type: none"> 1. <u>Online input:</u> <ol style="list-style-type: none"> (i) Log in to FINI web portal as HKSCC Participant maker (ii) Select the IPO Card of the IPO Home Page (iii) Click 'EIPO Subscription' to access to the input page (iv) Click 'Create Instruction' to input the subscription(s) (v) Select 'Addition' (vi) Input the applicant information and subscription detail, including non-jointed applicants and joint applicants (vii) Click 'Save' for further action or 'Submit' 2. <u>File upload</u> (please create one data file which contains both non-jointed applicants and joint applicants): <ol style="list-style-type: none"> (i) Follow above steps to access 'EIPO Subscription' input page as HKSCC Participant maker (ii) Click 'Data File' to upload the IPO subscription instruction(s). Refer to 'EIPO Bulk Upload File' for file specification under HKSCC Participants User Guide (iii) Select the file to upload the EIPO subscription information file by pressing 'Open' button 3. <u>Amend Subscription(s):</u> <ol style="list-style-type: none"> (i) Select 'Saved' instructions under 'Interim Ledger' and click 'Amend' button (displayed as a pencil icon) (ii) Input box with applicant information, application quantity and SEHK Participant ID will be prompted (iii) Change the Application Quantity (iv) Click 'Submit' 	<p>A. <u>Input / Amend / Save / Delete / Submit / Withdraw / Upload EIPO subscription instruction(s)</u></p> <p>Create EIPO subscriptions for both online input and file upload:</p> <ol style="list-style-type: none"> 1. Saved instructions are shown in 'Interim Ledger' and submitted records are shown in 'Pending Ledger'; 2. Successful subscription instructions are shown in the 'Pending' Ledger; a screen will be prompted if any error record found; <p>Refer to 'EIPO Bulk Upload Error Log' under HKSCC Participants User Guide for details;</p> <ol style="list-style-type: none"> 3. Amended Instruction(s) is/are moved from 'Interim Ledger' to 'Pending Ledger'; 4. Deleted instruction(s) is/are no longer shown on 'Interim Ledger';

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p>4. <u>Delete Subscription(s):</u></p> <ul style="list-style-type: none"> (i) Select Checkbox for 'Saved' instructions under 'Interim Ledger' (multiple selection is available) (ii) Click 'Delete' (iii) Click 'Confirm' to confirm deletion or 'Cancel' to stay in current page <p>5. <u>Withdraw subscription(s):</u></p> <ul style="list-style-type: none"> (i) Select Checkbox for 'Submitted' instructions under 'Pending Ledger' (multiple selection is available) (ii) Click 'Withdraw' (iii) Click 'Confirm' to confirm withdrawal or 'Cancel' to stay in current page <p>B. <u>Approve / Revert EIPO subscription instruction(s)</u></p> <p><u>HKSCC Participant Checker:</u></p> <p>1. <u>Approve Subscription(s):</u></p> <ul style="list-style-type: none"> (i) Follow above steps to access 'EIPO Subscription' input page as HKSCC Participant checker (ii) Go to 'Pending Ledger' and select the checkbox of submitted instruction(s). (Multiple selections are available) (iv) Click 'Approve' (v) Click 'Confirm' to confirm approval or 'Cancel' to stay in current page 	<p>5. Withdrawal instruction(s) is/are moved from 'Pending Ledger' to 'Interim Ledger';</p> <p>Refer to the 'FINI EIPO Subscription – Interim Ledger' under HKSCC Participants User Guide for the methodology of input EIPO subscription and other related features.</p> <p>B. <u>Approve / Revert EIPO subscription instruction(s) under Pending Ledger</u></p> <ul style="list-style-type: none"> 1. Approved instruction(s) is/are moved from 'Pending Ledger' to 'Authorised Ledger'; 2. Reverted instruction(s) is/are moved from 'Pending Ledger' to 'Interim Ledger'.

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p>2. <u>Revert subscription(s):</u></p> <ul style="list-style-type: none"> (i) Follow above steps to access 'EIPO Subscription' input page as HKSCC Participant checker (ii) Go to 'Pending Ledger' and select the checkbox of submitted instruction(s). (Multiple selections are available) (iii) Click 'Revert' (iv) Click 'Confirm' to confirm revert or 'Cancel' to stay in current page <p>C. <u>Change / Invalidate EIPO subscription instruction(s)</u></p> <p>1. <u>Change Subscription(s):</u></p> <ul style="list-style-type: none"> (i) HKSCC Participant maker access 'Interim Ledger' (ii) Click 'Create Instruction' (iii) Select 'Change' and enter a Record ID from 'Authorised Ledger' (iv) Update the required subscription detail (v) Click 'Submit' button <p>2. <u>Invalidate subscription(s):</u></p> <ul style="list-style-type: none"> (i) HKSCC Participant maker access 'Interim Ledger' (ii) Click 'Create Instruction' (iii) Select 'Invalidation' and enter a Record ID from 'Authorised Ledger' (iv) Click 'Submit' button <p>D. <u>Approve 'Change / Invalidate' EIPO subscription instruction(s)</u></p>	<p>C. <u>Change EIPO subscription instruction(s)</u></p> <ul style="list-style-type: none"> 1. Change instruction is submitted and displayed on 'Pending Ledger' with Action Type 'Change'; 2. Invalidated instruction is submitted and displayed on 'Pending Ledger' with Action Type 'Invalidation'. <p>D. <u>Approve 'Change / Invalidate' EIPO subscription instruction(s)</u></p>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ol style="list-style-type: none"> 1. <u>Approve Change Subscription(s):</u> <ol style="list-style-type: none"> (i) HKSCC Participant checker go to 'Pending Ledger' and select the checkbox of submitted instruction(s). (Multiple selections are available) (ii) Click 'Approve' button (iii) Click 'Confirm' to confirm approval or 'Cancel' to stay in current page 2. <u>Approve Invalidated Subscription(s):</u> <ol style="list-style-type: none"> (i) HKSCC Participant checker go to 'Pending Ledger' and select the checkbox of submitted instruction(s). (ii) Click 'Approve' button (iii) Click 'Confirm' to confirm approval or 'Cancel' to stay in current page 	<ol style="list-style-type: none"> 1. Approved 'Changed' instructions is/are now reflected under 'Authorised Ledger'; 2. Approved 'Invalidated' instruction(s) is/are now reflected under 'Invalidated Ledger'.
EIPO Funding	IPO status reaches "Deal Initiated"	<ol style="list-style-type: none"> A. <u>Access EIPO Funding Dashboard</u> 1. <u>Login to EIPO Funding Dashboard</u> <ol style="list-style-type: none"> (i) Log in to FINI web portal (ii) Select an IPO Card of the IPO Home Page (iii) On the left panel, click 'Public Offer' (iv) Select 'EIPO Funding' under the dropdown menu and four sub-sections will be displayed: <ol style="list-style-type: none"> a. IPO Information b. Offer Price c. Bank Account Information d. Funding Information 	<ol style="list-style-type: none"> A. <u>Access EIPO Funding Dashboard</u> 1. A summary of the IPO case's funding-related information, bank account information and funding / settlement / refund status are displayed. <p>Refer to the 'EIPO Funding Data Fields' under HKSCC Participants User Guide for details of the fields to be displayed.</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
<p>EIPO Subscription (Downsize)</p> <p>Downsize or invalidate the HKSCC Participant's own subscriptions (during IPO status = "Public Offer Closed" only) following a pre-funding rejection by its EIPO Designated Bank</p>	<p>IPO status reaches "Public Offer Closed"</p> <p>If the HKSCC Participant's pre-funding requirement has been rejected by its EIPO Designated Bank</p>	<p>A. <u>Downsize or invalidate EIPO subscription instruction(s)</u></p> <p>1. <u>Change subscription(s):</u></p> <ul style="list-style-type: none"> (i) HKSCC Participant maker access 'Interim Ledger' (ii) Click 'Create Instruction' (iii) Select 'Change' and enter a Record ID from 'Authorised Ledger' (iv) Downsize the Application Quantity (v) Click 'Submit' button <p>2. <u>Invalidate subscription(s):</u></p> <ul style="list-style-type: none"> (i) HKSCC Participant maker access 'Interim Ledger' (ii) Click 'Create Instruction' (iii) Select 'Invalidation' and enter a Record ID from 'Authorised Ledger' (iv) Click 'Submit' button <p>3. <u>Change / Invalidate subscription(s) via File Upload:</u></p> <ul style="list-style-type: none"> (i) Follow above steps to access 'EIPO Subscription' input page as HKSCC Participant maker (ii) Click "Data File" to upload the IPO subscription instruction(s) via file upload function. Refer to 'EIPO Bulk Upload File' for file specification under HKSCC Participants User Guide (iii) Select the file to upload the EIPO subscription information file by pressing 'Open' button 	<p>A. <u>Downsize or invalidate EIPO subscription instruction(s)</u></p> <ul style="list-style-type: none"> 1. Change Instruction is submitted and displayed on 'Pending Ledger' with Action Type 'Change'; 2. Invalidated Instruction is submitted and displayed on 'Pending Ledger' with Action Type 'Invalidated'; 3. Change/Invalidated Instruction is submitted and displayed on 'Pending Ledger'.

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p>B. <u>Approve 'Change / Invalidate' EIPO subscription instruction(s)</u></p> <p>1. <u>Approve Change Subscription(s):</u></p> <p>(i) HKSCC Participant checker go to 'Pending Ledger' and select the checkbox of submitted instruction(s). (Multiple selections are available)</p> <p>(ii) Click 'Approve' button</p> <p>(iii) Click 'Confirm' to confirm approval or 'Cancel' to stay in current page</p> <p>2. <u>Approve Invalidate Subscription(s):</u></p> <p>(i) HKSCC Participant checker go to 'Pending Ledger' and select the checkbox of submitted instruction(s).</p> <p>(ii) Click 'Approve' button</p> <p>(iii) Click 'Confirm' to confirm approval or 'Cancel' to stay in current page</p>	<p>B. <u>Approve 'Change / Invalidate' EIPO subscription instruction(s)</u></p> <p>1. Approved 'Changed' instructions is/are now reflected under 'Authorised Ledger';</p> <p>2. Approved 'Invalidated' Instruction(s) is/are now reflected under 'Invalidated Ledger'.</p>
EIPO Allotment	IPO status reaches "Allocation Confirmed"	<p>A. <u>Access EIPO Allotment Dashboard</u></p> <p>1. <u>Login to EIPO Allotment Dashboard</u></p> <p>(i) Log in to FINI web portal as HKSCC Participant</p> <p>(ii) Select the IPO Card of the IPO Home Page</p> <p>(iii) On the left panel, click 'Public Offer'</p> <p>(iv) Click 'EIPO Allotment'</p> <p>(v) Click 'List' in Allotment Results session to download CP EIPO Allotment Report</p>	<p>A. <u>Access EIPO Allotment Dashboard</u></p> <p>1. Allotment results of its subscriptions are displayed;</p> <p>2. Tester can successfully download the CP EIPO Allotment Report in CSV format;</p> <p>Refer to the 'EIPO Allotment Data Fields' under HKSCC Participants User Guide for details of the fields to be displayed.</p>

4. Communication Channels

During the EUT, the FINI Project Team will designate specific timeslots for testers to ask questions or seek clarifications the test cases.

Market Participants are reminded to ensure their designated contact persons (provided in the FINI Testing Registration Form) are reachable during the prescribed testing period, and the relevant emails and phone numbers provided to the FINI Project Team are accurate.

In the event of cancellation or postponement of the EUT, the FINI Project Team will notify the designated contact persons via emails and/or phone calls.

For any queries in relation to the testing, please contact Project FINI Team:

- Email: projectfini@hkex.com.hk
To allow us to better organize your enquiries, please add the tags **#CP#EUT#** in the email subject
- Phone: +852 2211 5888

⚠ Hotline support is available from 09:00 to 18:00 Monday to Friday, except public holidays.

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