



## How Do I Prepare for FINI?

25 November 2022

**HKEX**  
香港交易所

**FINI on-boarding is intended to be a one-off registration process for setting up access to both production and testing sites.**

**However, the journey involves several technical steps, which are intended to make your company's access management to FINI in the future easier.**

**This primer is intended to guide you through the entire end-to-end process.**



**Registration and production setup**



**Testing registration and setup**



- 1 Introduction**
- 2 Production Setup**
- 3 Testing Setup**
- 4 Testing Arrangements**
- 5 On-boarding**
- 6 Completion**
- 7 Further Information**

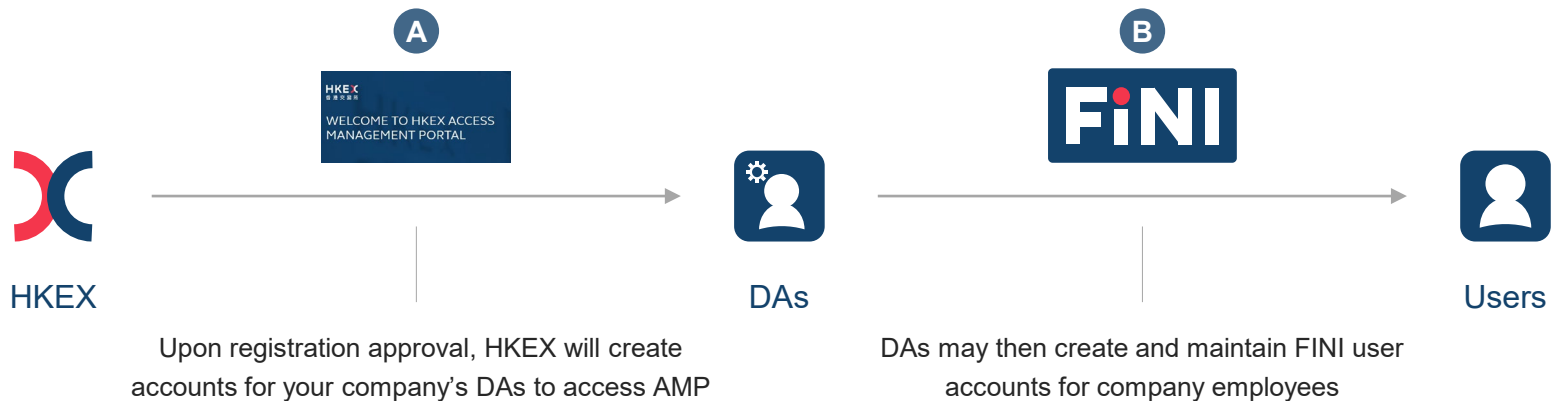
# 1 Introduction

The on-boarding journey requires your company to set up access to two HKEX systems:

**A Access Management Portal ("AMP")**

**B FINI**

AMP allows your company's "Delegated Administrators" ("DAs") to manage employee access to different HKEX services, e.g. Client Connect eServices, **FINI**, ECP2.0.



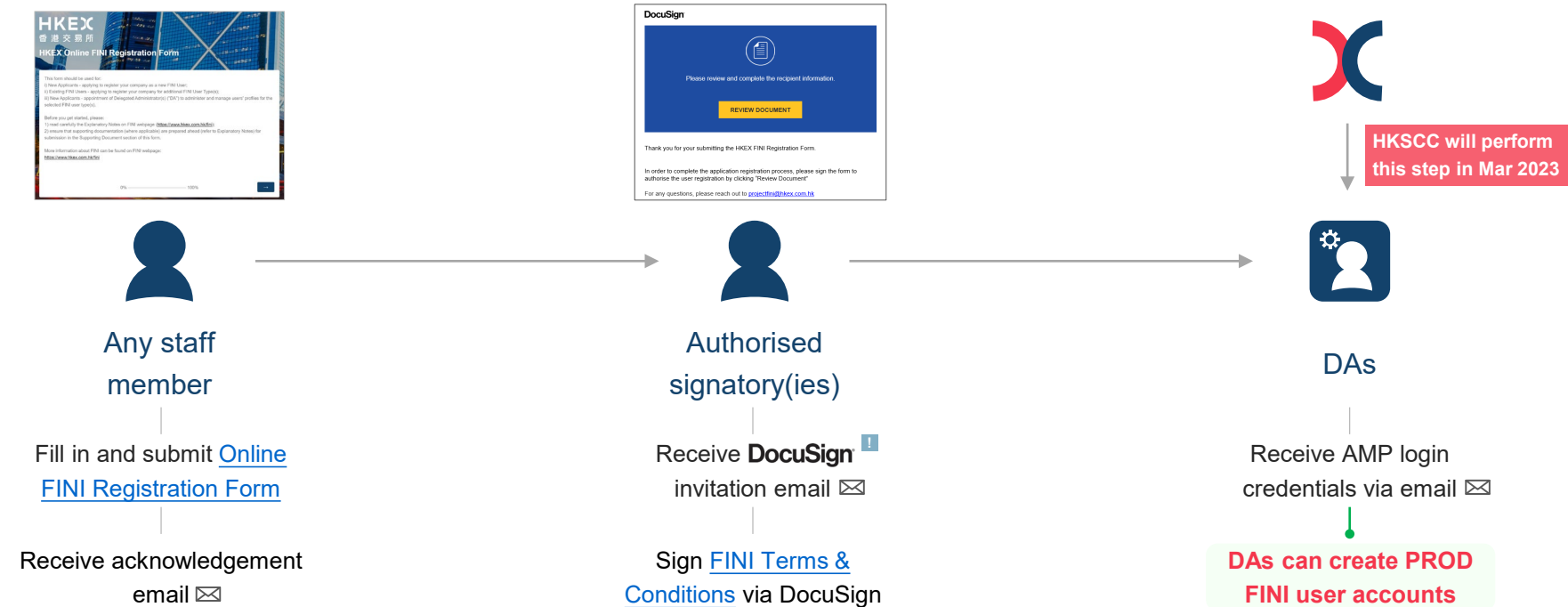
## 2 Production Setup

Registration Period



"Production" ("PROD") refers to the real-life version of the FINI platform used for actual IPOs.

Getting access to PROD is a three-step process:



<sup>1</sup> If your company's place of incorporation does not accept electronic signatures, a PDF document for wet signatures will be provided. The signed document should be: (i) emailed to [projectfini@hkex.com.hk](mailto:projectfini@hkex.com.hk); and (ii) mailed to FINI On-boarding Team, 30/F One Exchange Square, 8 Connaught Place Hong Kong.

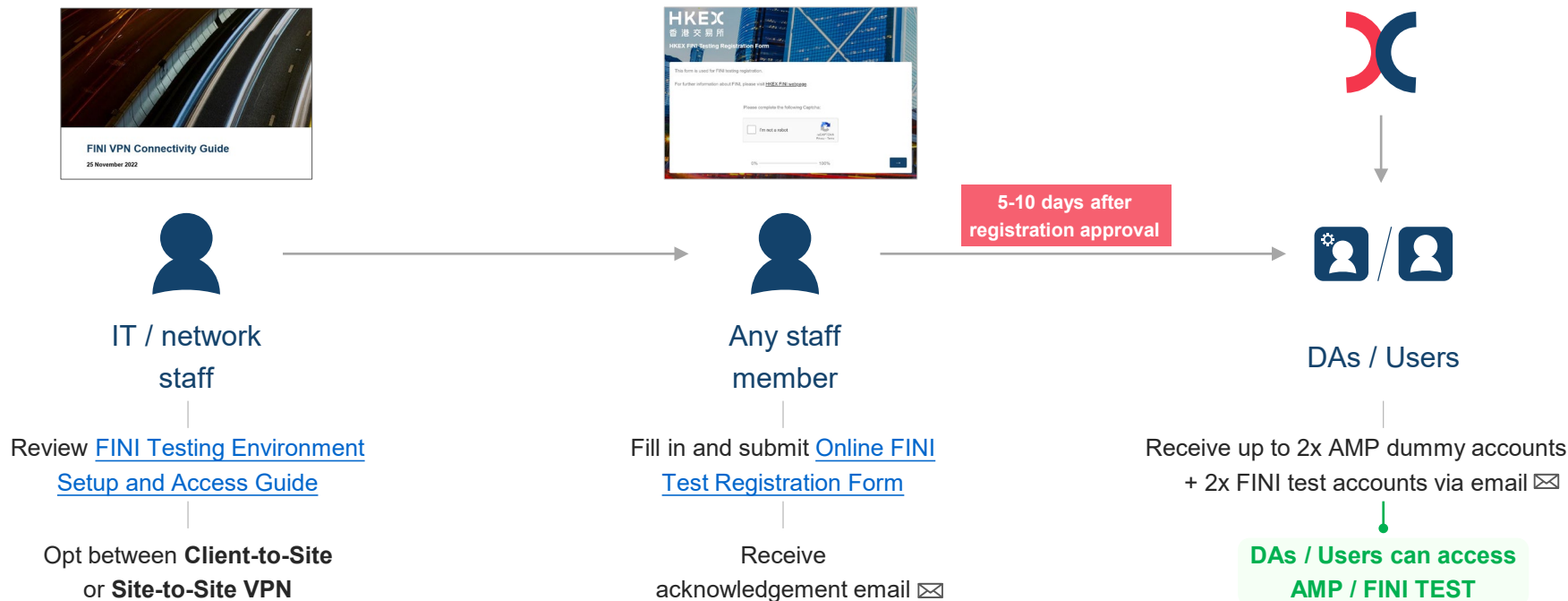
# 3 Testing Setup

Registration Period



"Testing" ("TEST") refers to the simulated version of the FINI platform used for test IPOs.

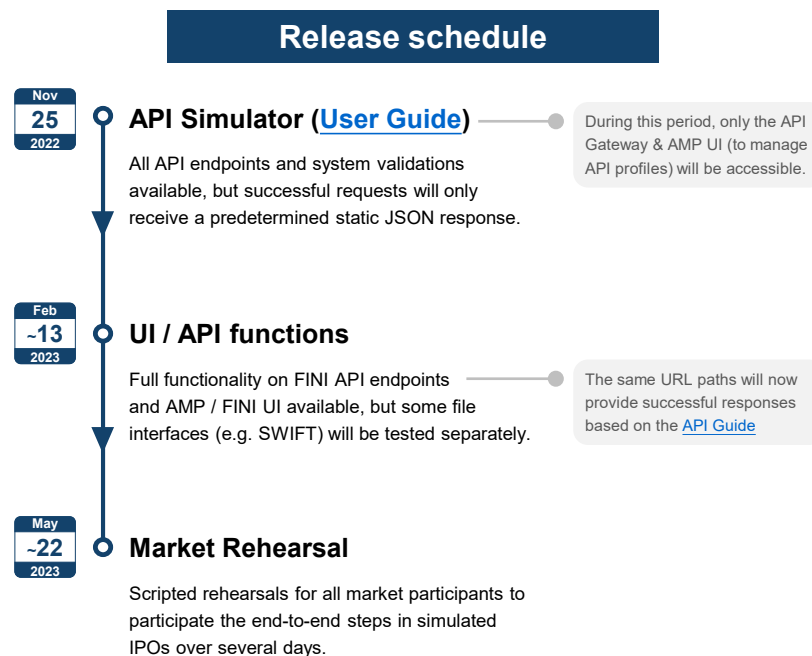
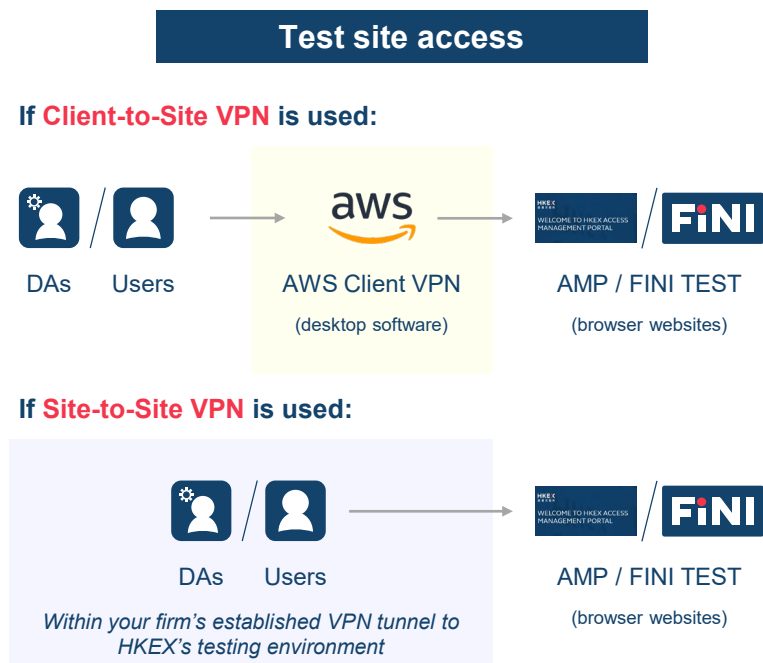
Getting access to TEST is a similar process, with an added step of setting up a **Virtual Private Network ("VPN")**:



## 4 Testing Arrangements

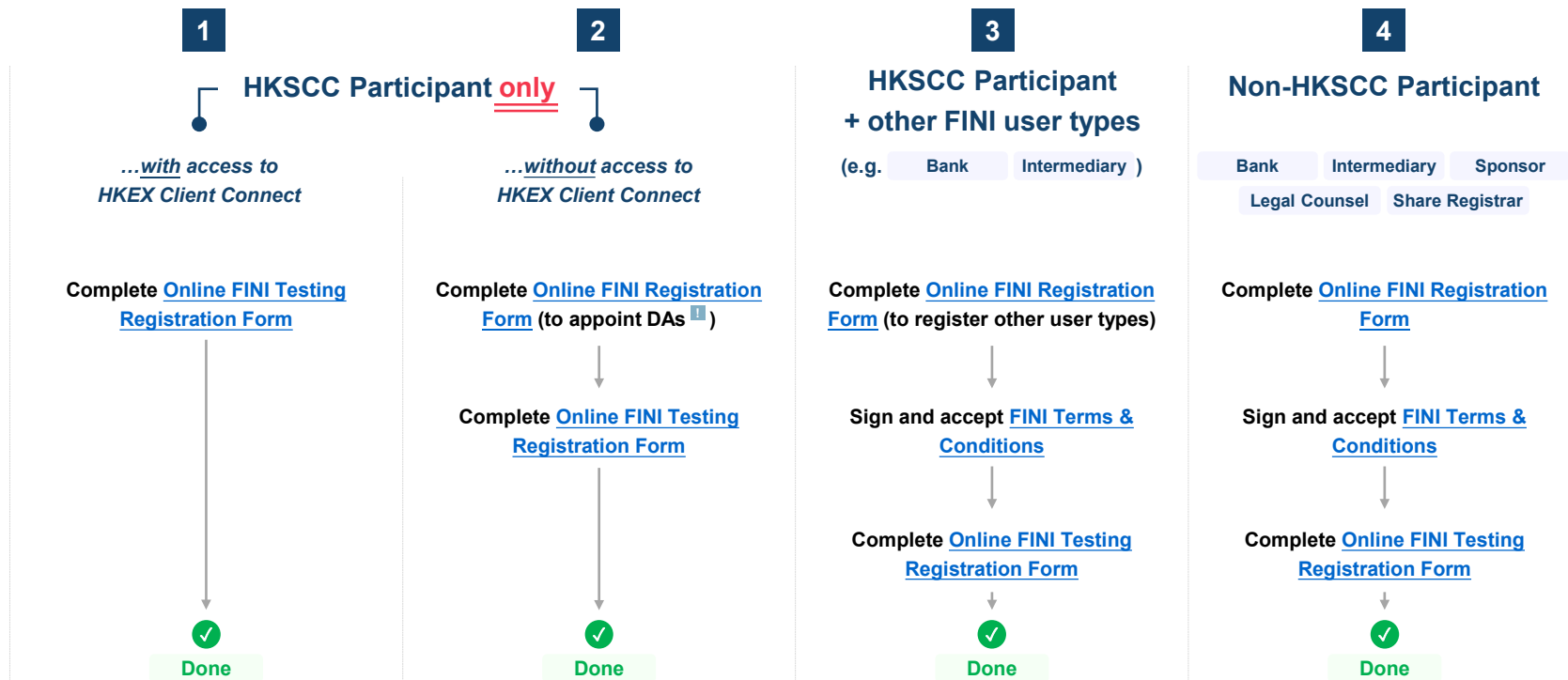
Once the testing setup has been completed, your firm's users may start accessing HKEX's testing environment.

HKEX will gradually release different user / API functions to the testing environment over three phases:



# 5 On-boarding

Please identify the scenario applicable to your firm, and follow the corresponding step-by-step guide:



<sup>1</sup> You may also directly on-board your firm to HKEX Client Connect by completing the [Client Connect Delegated Administrator Rights Application / Maintenance Form](#), then follow the step-by-step guide for Scenario **1**.

## 6 Completion

Once both PROD and TEST processes have been completed, your company is ready for FINI!

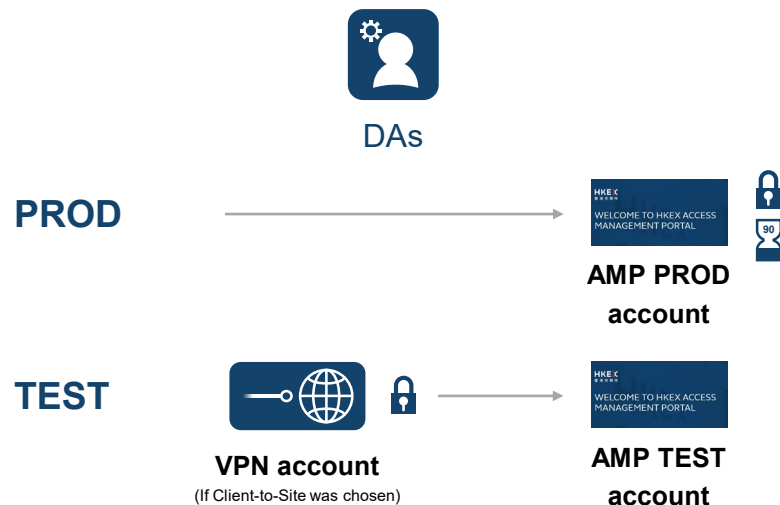
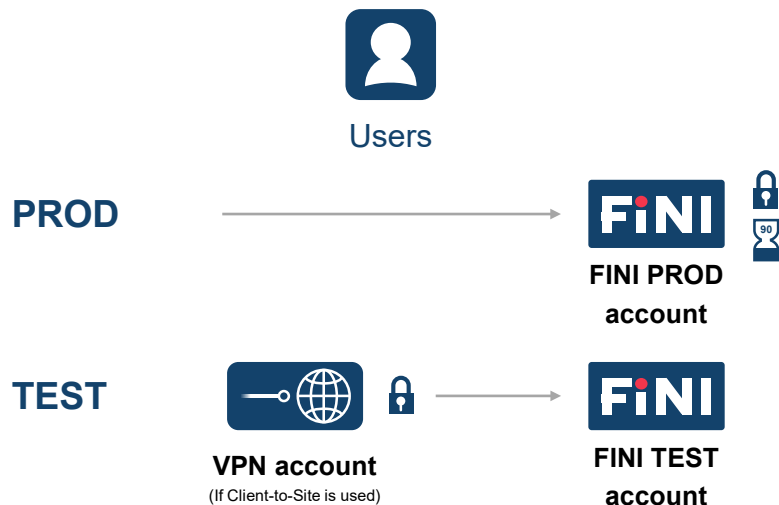
As a handy reminder, these are the accounts that your company must maintain for ongoing FINI access:



Multi-Factor Authentication (MFA)



90-day password expiry policy





## 7 Further Information

Latest updates and reference documents can be found on: <https://www.hkex.com.hk/fini>

### Operating Model ▶

[Concept Paper  
Conclusions](#)

[Information Pack](#)

### On-boarding ▶

[Online FINI  
Registration Form](#)

[FINI Terms and  
Conditions](#)

[FINI Delegated  
Administrator Form](#)

[Explanatory Notes]

[Guide]

### Testing Setup ▶

[FINI Testing  
Registration Form](#)

[FINI Testing  
Environment Setup  
and Access Guide](#)

[Site-to-Site VPN  
Setup Form](#)

[API Simulator Guide](#)

### User Guides ▶

[HKEX Access  
Management Portal](#)

[HKSCC Participants](#)

[FINI Banks](#)

[Sponsors,  
Intermediaries and  
Legal Advisers](#)



# Support

**Operating Hours: 09:00 to 18:00, Mondays to Fridays (excluding Public Holidays)**

- HKEX warmly welcomes market participants to reach out for any enquiries



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