



How Do I Prepare for FINI?

17 May 2023

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**

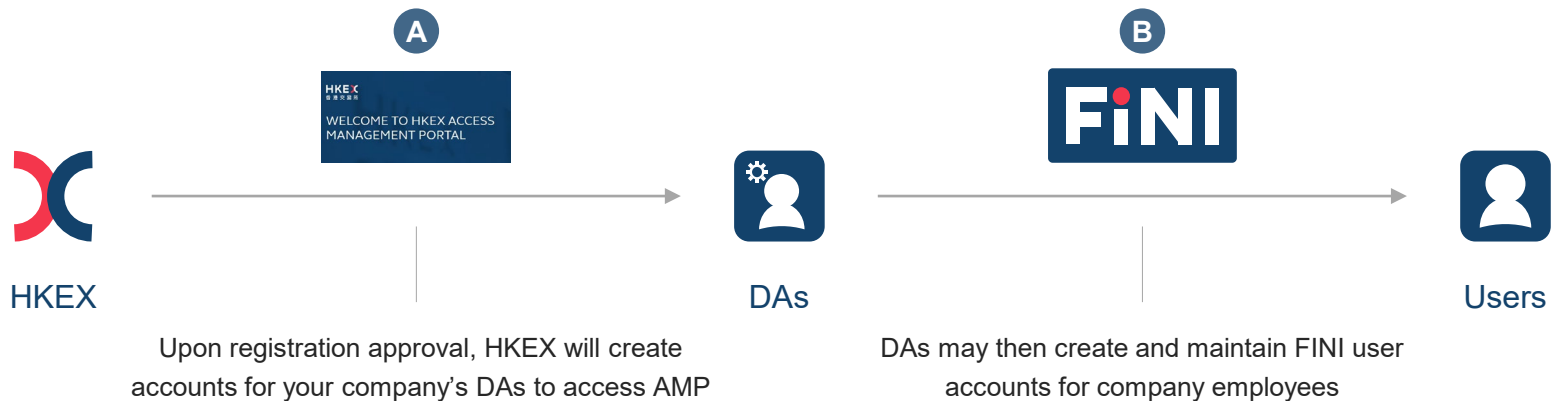
1 Introduction

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.



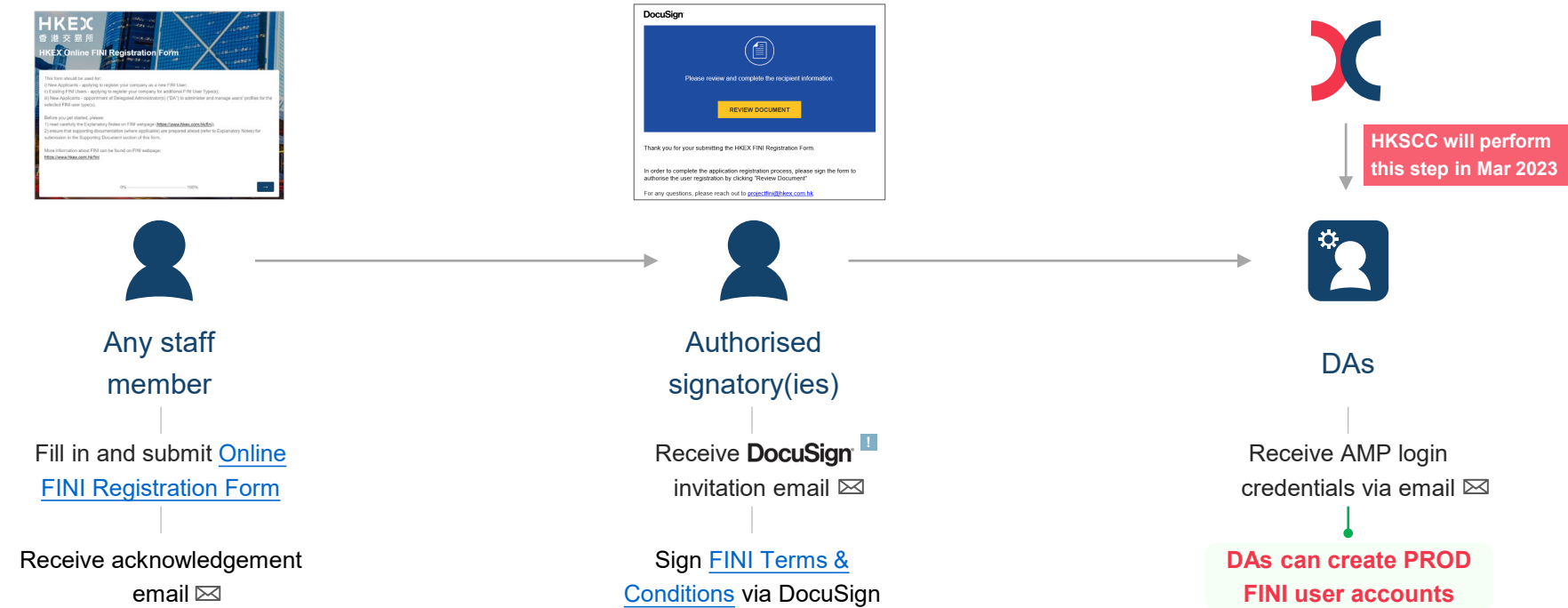
2 Production Setup

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:



¹ 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; and (ii) mailed to FINI On-boarding Team, 30/F One Exchange Square, 8 Connaught Place Hong Kong.

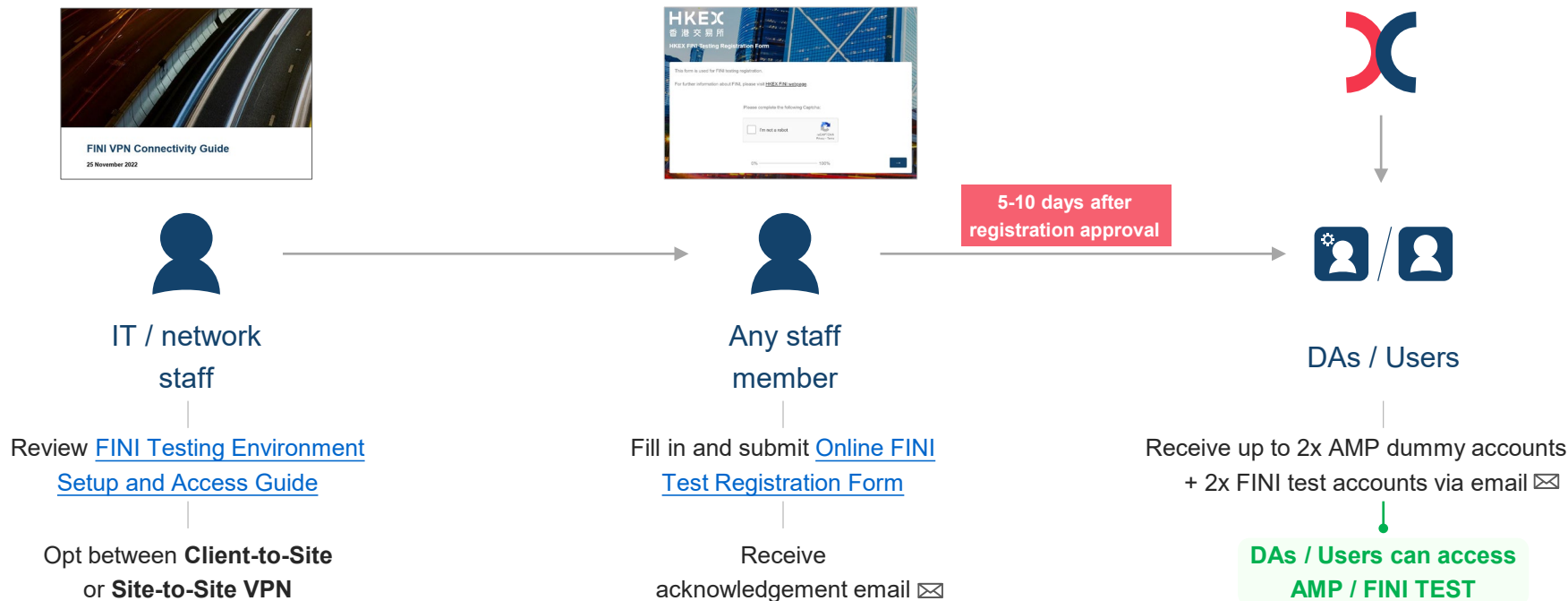
3 Testing Setup

Registration Period



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

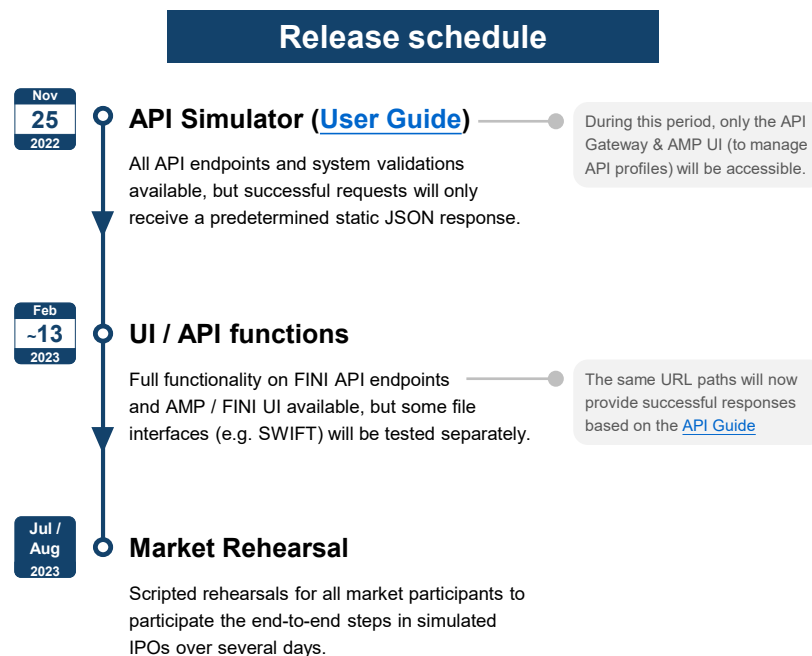
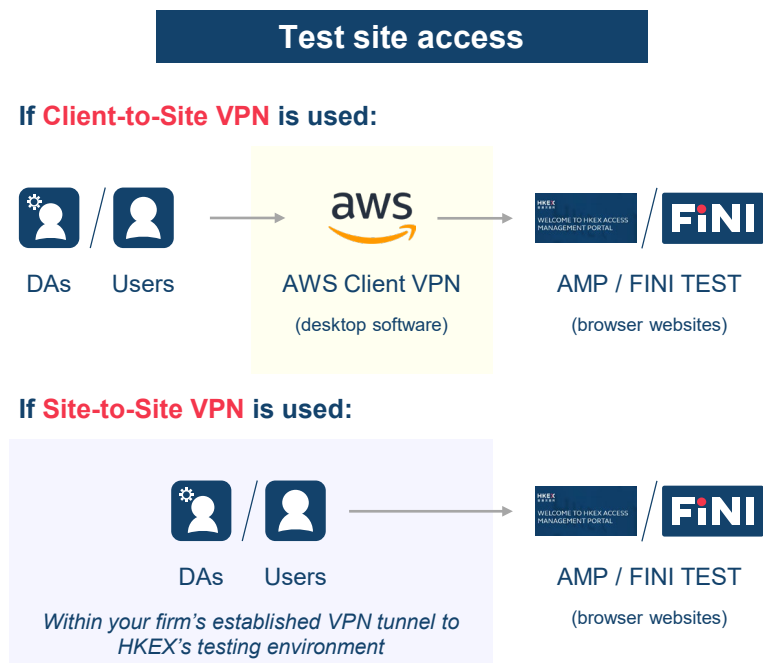
Getting access to TEST is a similar process, with an added step of setting up a **Virtual Private Network ("VPN")**:



4 Testing Arrangements

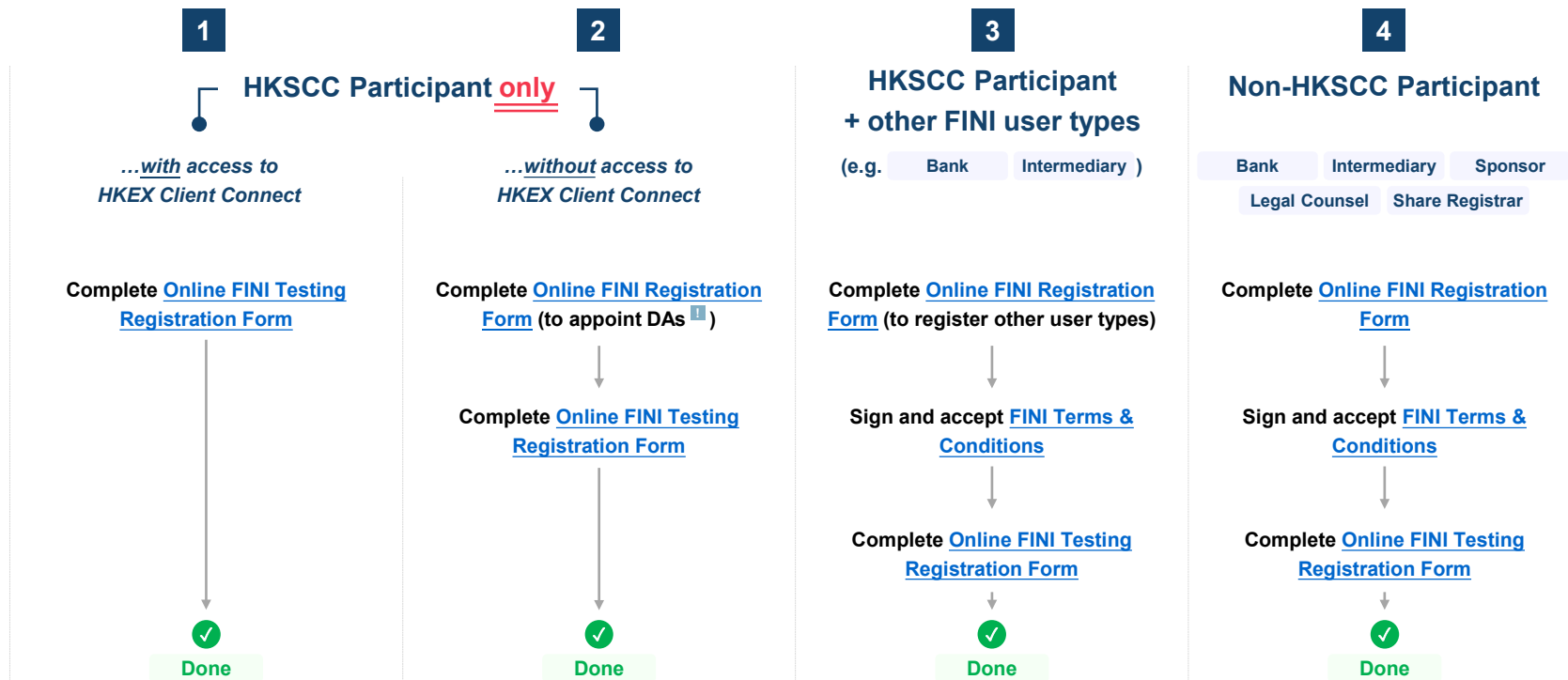
Once the testing setup has been completed, your firm's users may start accessing HKEX's testing environment.

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:



¹ 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!

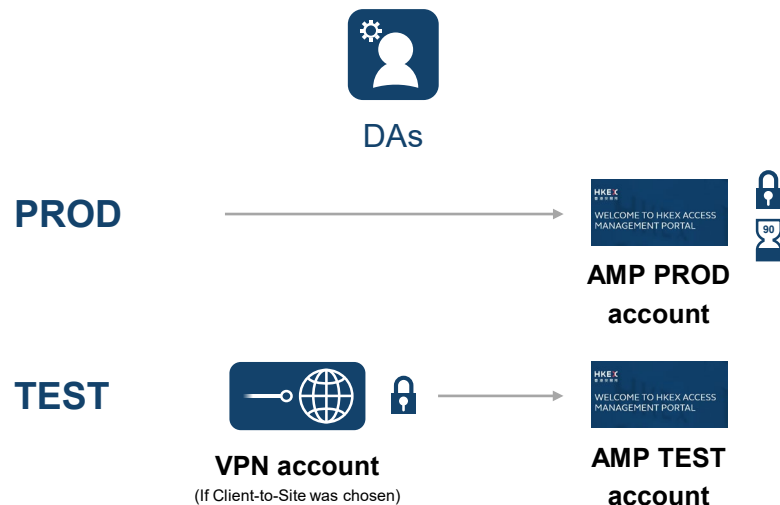
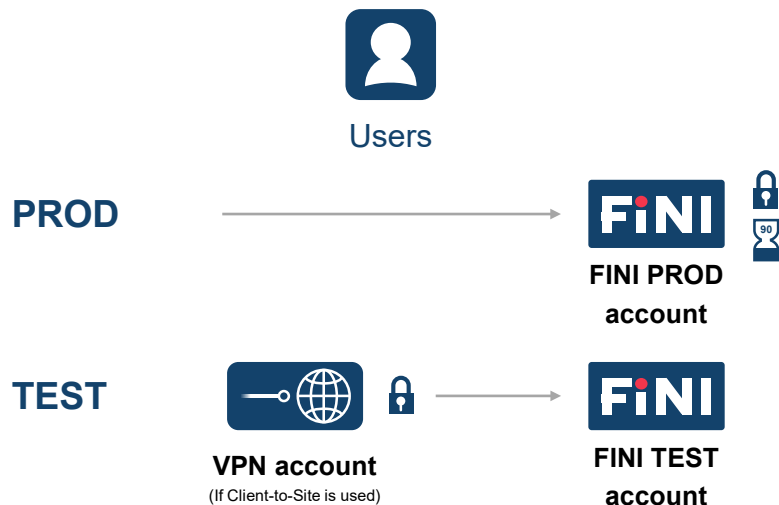
As a handy reminder, these are the accounts that your company must maintain for ongoing FINI access:



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



+852 2211 5888



projectfini@hkex.com.hk