HKEX
香港交易所

Explanatory Note
(For BSS Change Notification)

Section A – Notes to the Notification

Exchange Participant (EP) who wishes to implement changes/ enhancements to their Broker Supplied System (BSS) after production rollout should observe the following procedures/items:

a. Procedures for Implementing Changes to the BSSs

- EP should complete the "BSS Change Notification" and submit it to HKEX for review. EP can use Client Connect (https://connect.hkex.com.hk) to submit the form (CB011 - Broker Supplied System (BSS) Change Notification) or by email to OTPC@hkex.com.hk.
    - HKEX shall review the details of the changes, determine the type of testing and provide feedback to the EP.
    - Following HKEX's feedback, EP shall book the weekday testing session and/ or rollout test on Saturday to conduct the necessary testing.
    - Upon satisfactory completion of the testing, EP may proceed to implement the changes in production.

  EP must demonstrate the readiness of the changes under the end-to-end test and/ or rollout test before the changes can be released for production use.

b. Testing Requirement

Please refer to **Section B** - "Testing Requirement of BSS Change" for the type of testing requirement .

c. Booking of Weekday/ Weekend Testing Session

Advance booking is required for conducting weekday testing session and rollout test on weekend.

For OCG-C Session, EP can use Client Connect (https://connect.hkex.com.hk) to submit the CT013 - Weekday Testing Booking Form and CT014 - Weekend Testing Booking Form to HKEX. Alternatively, EP can download the "Weekday Testing Booking Form" and "Weekend Testing Booking Form" from HKEX website, complete and submit to HKEX.

For CCCG Session, no booking form is required for weekday testing session. For weekend testing, CCEP is required to complete and submit the CS021 - China Connect Weekend Testing Booking Form via Client Connect (https://connect.hkex.com.hk) to HKEX.

d. Contact for Support

Should EP require any technical assistance from BSS Support Team during the testing, please contact our BSS Support Team at 2840-3351 during the service hour from 8:00 am to 6:00 pm, Monday to Friday (except for public holidays).

Section B - Testing Requirement of BSS Change

BSS Version	OCG-C/ CCCG Session	Network to be connected	Type of Testing Required		
			Offline Simulator Test	End-to-End Test	Rollout Test
New BSS Version	New OCG-C/ CCCG Session	New SDNet/2 or Hosting Network	Yes	Yes	Yes
		Existing SDNet/2 or Hosting Network	Yes	Yes	Yes (see *Notes* below)
	Existing OCG-C/ CCCG Session	New SDNet/2 or Hosting Network	Yes	Yes	Yes
		Existing SDNet/2 or Hosting Network	Yes	Yes	Yes (see *Notes* below)

Notes :

* If EP undertakes all possible technical and/ or operational risks that may have been resulted from non-participation in Rollout Test to verify the connection of to-be-production OCG-C/CCCG session and/or to-be-production BSS prior to rollout, the Rollout Test can be optional. In this case, EP is required to submit the form of "Application for Exemption from Conducting Rollout Test".