

Notes to the Application

- Exchange Participants (EPs) may apply for an OCG throttle rate or multiples of OCG throttle rate and assigned to any of their existing or new OCG Session(s).
- Charges for subscription of OCG throttle rate(s) are as follows:

Items	Charges
One-time charge for each OCG throttle rate	HK\$50,000
Monthly user fee for each OCG throttle rate assigned to an existing/new OCG Session	HK\$960

- One OCG throttle rate allows for the throughput of two messages per second. Each OCG session can be assigned up to 250 OCG throttle rates (including throttle rates by trading right assignment, throttle rates arising from trading right entitlements, additional throttle rates acquired from the Exchange and throttle rates subscribed under Throttle-on-Demand Scheme and/or throttle rates subscribed under Monthly Throttle Subscription Scheme), i.e. the maximum throughput rate of each OCG session is 500 messages per second.
- For EPs subscribing to OCG throttle rate(s) and assigning to existing OCG session(s), participation in weekend testing is optional. Subject to EP's own readiness, an EP can rollout the OCG throttle rate(s) by submission of "HKEX OCG Throttle Rate Rollout Application Form" to HKEX at least 3 trading days before the effective date.
- For EPs subscribing to OCG throttle rate(s) and assigning to new OCG session(s), participation in weekend testing is mandatory after installation of the new OCG session(s). Subject to EP's own readiness and return of positive weekend testing feedback form, an EP can rollout the OCG throttle rate(s) by submission of "HKEX OCG Throttle Rate Rollout Application Form" to HKEX at least 1 week before the effective date.
- When EPs apply for a production OCG throttle rate, a backup OCG throttle rate will be assigned to the backup OCG session accordingly unless a backup OCG session is not available. Additional fees are not required for the backup OCG throttle rate.
- Changes, refunds, transfers¹ and cancellations of OCG throttle rate are not allowed once the application is accepted by the Exchange.
- The Exchange reserves the right to accept or reject any application without further explanation.

(Updated in May 2020)

¹ Except for inter-group of company transfers as approved by the Exchange.