Information Package
on
Connectivity Session and Market Rehearsals
for
Orion Trading Platform – Securities Market
(OTP-C)

Version 1.1

November 2017

Version History

Version No.	Issue Date	Particulars
1.0	26th October, 2017	First version of OTP-C Information Package on Connectivity Session and Market Rehearsals
1.1	22nd November, 2017	Revision on Appendix F - Feedback Form for OTP-C MR2

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1   Introduction

1.1   Overview

Following the issuance of [Information Paper](#) in February 2017 and successful completion of the End-to-End Test, all Exchange Participants (EPs) using Broker Supplied System (BSS) and/or New Securities Trading Device (NSTD) are invited to participate in the following connectivity session and market rehearsals to ensure they can operate with Orion Trading Platform – Securities Market (OTP-C) which will replace the current Automatic Order Matching and Execution System (AMS/3.8).

Date	Mandatory / Optional	Task	Objective
11 November 2017	Optional	Connectivity Session (CS)	Validate the readiness of EPs' BSS and/or NSTD production configuration and connectivity with OTP-C.
18 November 2017	Mandatory	1st Market Rehearsal (MR1)	Validate EPs' BSS and/ or NSTD in production configuration to perform normal business transactions and volume testing with OTP-C.
25 & 26 November 2017	Mandatory	2nd Market Rehearsal (MR2)	Validate EPs' fallback procedures in the contingency arrangement to fallback OTP-C to AMS/3.8 in an unlikely event of OTP-C software failure.

Details of the contingency arrangement during the initial launch of OTP-C are also provided in [Section 3](#) for EPs to prepare their systems for supporting their trading activities during the contingency.

CS is optional for participation. **MR1 and MR2 are mandatory for participation.** All EPs must satisfactorily complete the two MRs to ensure their OCG/BSS and OCG/NSTD can operate with OTP-C under normal operation and contingency arrangement. Failure to complete MRs may result in the EP's trading device being prohibited from connecting to OTP-C.

Subject to successful completion of the market rehearsals, EPs readiness and necessary regulatory approvals, HKEX will launch OTP-C in due course.

1.2   Market Data Arrangement for OTP-C CS and MRs

EPs who have subscribed to any datafeed product on HKEX Orion Market Data Platform for Securities Market (OMD-C) can have access to their subscribed OMD-C feed during CS and MRs.

Some Information Vendors (IVs) and Application Service Providers (ASPs) may be able to redistribute OMD-C data to their EP customers conducting CS and MRs in the same environment. EPs can check with their IVs and/or ASPs for such capability, and if so the EP should arrange with their IV or ASP immediately for the logistics and other necessary arrangement if they plan to receive market data from them during the CS and MRs.

In addition, EPs are reminded that the multicast channels for the real-time dissemination and refresh snapshot service of the OMD-C message Security Status (21) will be changed upon the launch of OTP-C. Direct connection OMD-C clients ("Clients") will experience this change during CS and MRs. Although it is expected that this change would be transparent to most Clients, they should nonetheless ensure their OMD-C applications can still function normally during the CS and MRs. Please refer to the updated OMD-C Connectivity Guide version 2.0 for the change details.

Should there be any system changes due to the above change of multicast channel assignment, Clients should reverse the change after each of the CS and MRs to ensure their OMD-C application will function normally on the following trading day.

2 Schedule and Activities for OTP-C CS and MRs

2.1 Tasks for EPs on CS and MRs

EPs are required to complete the following tasks for the CS and MRs:

Task	EPs Concerned	Deadline / Execution Date	Reference Documents
Connectivity Session (CS) (optional)			
1. Submit notification form	All EPs	On or before 31 October 2017 (Tuesday)	Appendix A – Notification Form
2. Execute rundown	Relevant EPs	11 November 2017 (Saturday) 9:00am – 12:10pm	Appendix B – Activity Rundown
3. Conduct Post Test Verification Session after CS (optional) [1]	Relevant EPs	11 November 2017(Saturday) 7:30pm to 8:30pm	N/A
1st Market Rehearsal (MR1) (mandatory)			
1. Submit notification form for (i). designation of contact person for MRs (ii). (optional) participation of Post Test Verification Session after MR	All EPs	On or before 31 October 2017 (Tuesday)	Appendix A – Notification Form
2. Execute rundown	All EPs	18 November 2017 (Saturday) 9:00am – 12:10pm	Appendix C – Activity Rundown
3. Conduct Post Test Verification Session after MR1 (optional) [1]	Relevant EPs	18 November 2017(Saturday) 7:30pm to 8:30pm	N/A
4. Return feedback form	All EPs	On or before 20 November 2017 (Monday)	Appendix E – Feedback Form
2nd Market Rehearsal (MR2) (mandatory)[2]			
1. Execute rundown	All EPs	Day 1 (simulate OTP-C failure) 25 November 2017 (Saturday) 9:00am – 1:00pm Day 2 (fallback to AMS/3.8) 26 November 2017 (Sunday) 9:00am – 11:10am	Appendix D– Activity Rundown

2. Return feedback form	All EPs	On or before 27 November 2017 (Monday)	Appendix F – Feedback Form

Note:

1. The "Post Test Verification Session after CS" and "Post Test Verification Session after MR1" are offered for EPs to validate that their BSS/NSTD have already reinstated for trading with AMS/3.8 properly on the following trading day. Participation is optional and prior registration would be required.

2. MR2 includes a mandatory market-wide test on OTP-C fallback to AMS/3.8 and therefore the optional Post Test Verification Session after MR is not offered.

EPs must return the feedback form for each of the MRs to HKEX on or before the following Monday after the respective MR.

2.2 CS Timetable

EPs are encouraged to take this opportunity to verify the readiness of their BSS/NSTD connectivity to OTP-C to ensure that they could participate in subsequent MRs smoothly. A half-day trading session will be arranged for the CS as below:

Time	Session
9:00am – 9:30am	• Pre-opening Session
9:30am – 12:00noon	• Continuous Trading Session (including two 5-minute Volume Test sessions for EPs to input order at their maximum speed starting from 10:00am and 11:00am and HKEX will generate a high number of orders on HKEX reserved stocks 6400-6499 during these two sessions. Market data on these reserved stocks will not be disseminated through OMD-C in all perspectives.) • Volatility Control Mechanism (VCM) will be enabled from 9:45am to 11:40am for VCM stocks
12:00noon – 12:10pm	• Closing Auction Session (CAS)
Upon completion of CAS Matching	• Day Close
12:30pm – 1:00pm	• Download closing price file (include reserved stocks 6400-6499) and trade file via Electronic Communication Platform (ECP)
7:30pm – 8:30pm	• Post Test Verification Session after CS (optional and applicable for EP's participation with prior registrations) • Only Continuous Trading Session will be available and

	Volatility Control Mechanism (VCM) will NOT be enabled

2.3 MR1 Timetable

MR1 aims to provide an opportunity to EPs to simulate their trading activities in OTP-C environment and to verify their system operation and performance under high volume situation initiated by EPs using their maximum throttle in OTP-C environment. A compressed full-day trading session will be arranged for the MR1 as below:

Time	Session
9:00am – 9:30am	• Pre-opening Session
9:30am – 10:45am	• Morning Continuous Trading Session (including a 5-minute Volume Test session for EPs to input order at their maximum speed starting from 10:00am and HKEX will generate a high number of orders on HKEX reserved range stocks 6400-6499 during this session. Market data on these reserved stocks will not be disseminated through OMD-C in all perspectives.) • VCM will be enabled from 9:45am to 10:45am for VCM stocks
10:45am – 11:00am	• Mid-Day Close / Extended Morning Session
10:55am – 11:00am	• Order Cancellation Period
11:00am – 12:00noon	• Afternoon Continuous Trading Session (including a 5-minute Volume Test session for EPs to input order at their maximum speed starting from 11:30am and HKEX will generate a high number of orders on HKEX reserved stocks 6400-6499 during this session. Market data on these reserved stocks will not be disseminated through OMD-C in all perspectives.) • VCM will be enabled from 11:15am to 11:40am for VCM stocks
12:00noon – 12:10pm	• Closing Auction Session
Upon completion of CAS Matching	• Day Close
12:30pm – 1:00pm	• Download closing price file (include reserved stocks 6400 – 6499) and trade file via ECP
7:30pm – 8:30pm	• Post Test Verification Session after MR1 (optional and applicable for EP's participation with prior registrations) • Only Continuous Trading Session will be available and VCM will NOT be enabled

2.4 MR2 Timetable

MR2 aims to provide an opportunity for EPs to rehearse their contingency procedures for system fallback from OTP-C to AMS/3.8 for BSS/NSTD devices on next trading day during the two weeks' OTP-C stabilization period. A half-day trading session will be arranged for the MR2 as below:

Time (Day 1)	Session (OTP-C)
9:00am – 9:30am	• Pre-opening Session
9:30am – 12:00 noon	• Continuous Trading Session (including two 5-minute Volume Test sessions for EPs to input order at their maximum speed starting from 10:00am and 10:30am respectively and HKEX will generate a high number of orders on HKEX reserved stocks 6400-6499. Market data on these reserved stocks will not be disseminated through OMD-C in all perspectives.) • VCM will be enabled from 9:45am to 11:40am for VCM stocks
11:30am	• Simulated System Failure
Around 12:30pm	• Delivery of closing price file (include reserved stocks 6400-6499) and trade files to EPs via ECP
Around 12:30pm	• EPs execute fallback procedures and fallback to AMS/3.8 compatible BSS/NSTD devices
Time (Day 2)	**Session (AMS/3.8)**
9:00am – 9:30am	• Pre-opening Session
9:30am – 11:00am	• Continuous Trading Session • VCM will be enabled from 9:45am to 10:40am for VCM stocks
11:00am – 11:10am	• Closing Auction Session
Upon completion of CAS Matching	• Day Close
11:30am – 12:00 noon	• Download closing price file and trade file via ECP

3 Guidelines for OTP-C CS and MRs

EPs are requested to make note of the following important points when they take part in the CS and MRs:

Before CS and MRs:

- All EPs are required to complete **Appendix A – Notification Form and return it to HKEX on or before 31 October 2017** to provide the designated contact person for OTP-C, confirm whether they will join CS and Post Test Verification Sessions for CS & MR1. If EPs wish to turn on OCG/NSTD during the CS and Post Test Verification Sessions, they are required to separately inform ET Trade Limited at 2880-8601 to make pre-arrangement and a fee will be chargeable by ET Trade Limited.

- For participation of MR1 and MR2, no prior registration is required.

- BSS EPs should have completed the End-to-End Test to verify the readiness of their BSS software prior to their participation in the CS and MRs.

- BSS EPs must ensure that the correct configuration (if needed) of BSS software supporting OTP-C is activated before connecting to OTP-C. In this case, after conducting CS and MRs, BSS EPs must also ensure that BSS software is reinstated for AMS/3.8 to ensure no interruption to their trading activities on the following trading day.

- BSS EPs are reminded to back up their BSS production database before the CS and MRs so that the database can be restored after the test to safeguard data integrity for the following trading day. If the BSS will not participate in the CS, it should be disconnected from OCG and OMD-C before the CS.

Access to CS, MRs and Post Test Verification Sessions:

- EPs are required to logon all OCG/BSS and OCG/NSTD (including Trading and Drop Copy sessions) by using the assigned Comp ID(s) and password "Ab123456" or production password as specified below or in respective activity rundown:

Test Sessions	Password
Connectivity Session (CS)	"Ab123456"
Post Test Verification Session after CS	Production password
1st Market Rehearsal (MR1)	"Ab123456"
Post Test Verification Session after MR1	Production password
2nd Market Rehearsal (MR2) Day 1 – OTP-C	"Ab123456"
2nd Market Rehearsal (MR2) Day 2 – AMS/3.8	"Ab123456"

During CS and MRs:

- The stock database as at the market open on **6 November 2017** plus test securities and HKEX reserved range of stocks will be used for CS, MR1 and MR2. Such information will be available on HKEX website under OTP-C Web Corner at https://www.hkex.com.hk/otpc before CS and MRs.

- EPs are required to submit orders/ trades to simulate real-life trading activities. In the Volume Test sessions, EPs should base on their maximum entitled throughput capacity of each OCG session to submit orders aside from the HKEX reserved stocks 6400-6499 to check if they would encounter any performance issue or response time issue.

- Market data on the HKEX reserved stocks will not be disseminated through OMD-C in all perspectives.

In MR2 - For testing contingency procedures to fallback OTP-C to AMS/3.8:

- OTP-C system failure will be simulated at 11:30am and fallback to AMS/3.8 on next day.

- EPs should pay attention to HKEX's announcement of contingency arrangement via Exchange News. The Exchange News will be available through OMD-C. If Exchange News cannot be disseminated through OMD-C, HKEX will send the announcement via email to the designated contact person's email address as provided in **Appendix A – Notification Form**.

- Upon the simulated failure at 11:30am, NSTD users should print the trades concluded in OTP-C for their records as soon as possible. Similarly, BSS users should export the trades concluded in OTP-C via Drop Copy function for their record keeping and verification purpose. EPs should therefore complete the trade printout or trade export before 12:30pm

- After receiving the contingency trade file delivered via ECP for trades concluded before the simulated OTP-C failure, EPs should verify the trade details against their own trading records.

- BSS EPs should execute their own fallback procedures in an effective and timely manner for the remaining hours of the trade day. The market will be re-opened on next day at 9:00am. BSS EPs should ensure their systems are ready for trading accordingly.

- After AMS/3.8 system is started on next day, for the purpose of MRs, all OCG sessions' passwords are set to "Ab123456". (In real-life when OTP-C is rolled out, EPs are recommended **not to change the OCG sessions' passwords** used for BSS or NSTD **during the two-week stabilization period** so that they are not required to cope with the different passwords in case of market fallback to AMS/3.8.)

- AMS/3.8 system will be started with stock prices set to the previous day's close (i.e. the last nominal price recorded before system failure) and after adjustment for corporate actions effective the current day for market open, i.e., taking the effect of trading activities prior to OTP-C failure.

- After trading is resumed with AMS/3.8 on next day, all EPs should verify successful fallback of their trading devices by simulating real-life trading activities.

- OMD-C will also be shut down during the fallback of the trading system and be brought back after AMS/3.8 system has been started on next day. Direct connection OMD-C clients should then make connection to OMD-C as start of day. Please also be reminded that the dissemination of the OMD-C message Security Status (21), both real-time and the refresh snapshot service, will also fall back to the original channels after the fallback processes.

After CS and MRs:

- Upon completion of test, EPs are reminded to log off and terminate all OCG sessions, then perform end-of-day procedures and clean up the transaction data (e.g. orders and trades) entered during the test from BSS (if applicable).

- After the testing, EPs are also reminded to clean up the next day requests for testing, if any, to ensure that these testing orders will not be carried forward to the production on the following trading day.

4   Typhoon and/ or Rainstorm Arrangements

When Tropical Storm Warning Signal No. 8 (or above) or the Black Rainstorm Warning Signal is hoisted, the following arrangements will apply:

Condition	Arrangement
If either of the warnings is hoisted or to be in force **anytime from 7:00am to 9:00am**	The scheduled activity of the day will be cancelled and will not be resumed for the rest of the day.
If Tropical Storm Warning Signal No. 8 or above is hoisted **after 9:00am**	The scheduled activity of the day will be terminated 15 minutes thereafter.
If Black Rainstorm Warning is issued after 9:00am	All scheduled activity will continue until completion.

Note:
1. If the scheduled day 1 activity for MR2 is cancelled due to typhoon and/or rainstorm, the scheduled day 2 activity for MR2 will also be cancelled.
2. In any case, all participating EPs should complete the appropriate day-end work including file/ database backup and restoration, system restoration/ fallback and so on to ensure there will be no interruption on the next trading day.

5   Support Hotline

Should EPs have any questions about OTP-C CS and MRs, please contact the following Support Hotlines:

	Telephone Number	Email Address
For BSS Support	2840 3351	bsssupport@hkex.com.hk
For General Enquiry	2840 3626	otpc@hkex.com.hk
For OMD-C Enquiry	2211 6558	IVSupport@hkex.com.hk
For ET Trade Support/NSTD Enquiry	2880 8601	cs@etnet.com.hk

Appendices

Appendix A – Notification Form for OTP-C Connectivity Session (CS) and Market Rehearsals (MRs)

Explanatory Notes :

1. Please complete this Form and return to HKEX – Cash Trading by fax at 2521-7899 or by email to OTPC@hkex.com.hk **on or before 31 October 2017**.
2. Upon receipt of the Form, HKEX will send an email confirmation to the email address of the contact person provided below prior to CS and MR1.
3. In case unexpected emergency situation happen during CS and/ or MRs, HKEX's announcement will be sent to the below designated contact person's email address.

Exchange Participant Information			
Name of Exchange Participant			Participant ID
Primary Contact Person	Office Phone No.	Mobile Phone No.	Email Address
Secondary Contact Person	Office Phone No.	Mobile Phone No.	Email Address

Exchange Participant Confirmation *(please tick the appropriate box(es) below)*	
I.　**Participation in OTP-C Connectivity Session on 11 November 2017**	
a.　**OTP-C CS (from 9:00am to 12:10pm)**	
❑	We confirm to participate in OTP-C CS and request HKEX to
	❑　turn on all our OCG/BSS and Drop-Copy session (including production and non-production [NB1])
	❑　turn on all our OCG/NSTD[NB2 & 3] and Drop-Copy session (including production and non-production [NB1])
❑	We confirm NOT to participate in OTP-C CS.
b.　**Post Test Verification Session (from 7:30pm to 8:30pm)**	
❑	We confirm to participate in Post Test Verification Session and make use of this session to ensure proper fallback of our system for AMS/3.8 production trading on the following Monday and request HKEX to
	❑　turn on all our OCG/BSS and Drop-Copy session (production only)
	❑　turn on all our OCG/NSTD[NB2 & 3] and Drop-Copy session (production only)
❑	We confirm NOT to participate in Post Test Verification Session.
II.　**Participation in OTP-C MR1 Post Test Verification Session on 18 November 2017(from 7:30pm to 8:30pm)**	
❑	We confirm to participate in Post Test Verification Session and make use of this session to ensure proper fallback of our system for AMS/3.8 production trading on the following Monday and request HKEX to
	❑　turn on all our OCG/BSS and Drop-Copy session (production only)
	❑　turn on all our OCG/NSTD[NB2] and Drop-Copy session (production only)
❑	We confirm NOT to participate in Post Test Verification Session.

NB1 : please submit separate weekend testing booking form to turn on non-production session, if applicable
NB2 : please separately contact ET Trade Ltd at 2880-8601 to make pre-arrangement to turn on NSTD server
NB3 : ET Trade Ltd will charge EP to turn on NSTD server

By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in Appendix G of this Information Package.

Signature of Responsible Officer
with Company Chop　　　　　：＿＿＿＿＿＿＿＿＿　　Date　：＿＿＿＿＿＿＿＿＿

Name of Responsible Officer　：＿＿＿＿＿＿＿＿＿

Appendix B – Activity Rundown for OTP-C CS on 11 November 2017

Time	Activities
10 November 2017 (Friday) – After Market Close	
After 5:00pm	❑ Ensure the production database of in-house / back-office systems are properly backed-up before the CS. ❑ Ensure the BSS system version used for the CS is OTP-C compatible, otherwise the BSS system may not be able to connect to OTP-C when OTP-C is brought up. **_Notes:_** • **_For BSS, please do not input any next day requests after trading hours on Friday (i.e. requests intended for submission to host on the following trading day, since next day requests will be submitted to OTP-C host during CS and will not be available on the following trading day)_** • **_After CS and Post Test Verification Session (if applicable), EPs are also reminded to clean up the next day requests (if any) to ensure that these testing orders will not be carried forward to the production on the following trading day_**
11 November 2017 (Saturday) - _Applicable to EPs with prior registration_	
Before 8:30am	**Logon to OTP-C Host** For **OCG/NSTD** ❑ Perform Administrator Logon to ET Trade Speed Station. ❑ Perform logon for OCG sessions by using the password **"Ab123456"** (including Trading and Drop Copy sessions). ❑ Perform ET Trade Speed Station Start-of-Trading procedure ❑ Perform Trader logon. ❑ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk. For **OCG/BSS** ❑ Connect to OCG for all OCG sessions (including Trading and Drop Copy sessions). ❑ Logon using the assigned Comp ID(s) and the password **"Ab123456"** for all OCG sessions (including Trading and Drop Copy sessions).
Pre-opening Session	
9:00am – 9:30am	❑ The pre-opening session consists of - Order Input period (9:00am - 9:15am) - Pre-order Matching period (9:15am - 9:20am) - Order Matching period (9:20am - 9:28am) - Blocking period (9:28am - 9:30am) ❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the pre-opening session
Morning Trading Session (Continuous Trading)	
9:30am – 12:00noon	❑ The morning trading session consists of - Without VCM monitoring (9:30am - 9:45am) - With VCM monitoring (9:45am - 11:40am) - Without VCM monitoring (11:40am - 12:00noon)

Time	Activities
	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the Continuous Trading session. For Liquidity Provider and Market Maker: - Submit market making orders or quotes on all their assigned products. **<u>Note :</u>** EPs are required to strictly adhere to following order input requirement during the CS : • Order quantity MUST NOT be greater than 20 board lots. • Order price MUST NOT be more than +/- 20 spreads deviated from the opening price except for VCM stocks Please note that EPs who do not follow the testing guidelines or conduct frivolous activities during the CS may be suspended from further participation in the CS without prior warning.
First Volume Test Session (Continuous Trading)	
10:00am – 10:05am	❑ EPs should base on their maximum entitled throughput capacity of each OCG session to submit orders and HKEX will generate a high number of orders on HKEX reserved stocks 6400-6499. EPs should verify that their trading facilities are able to support smooth order input operation during simulation of high volume market activities ❑ EPs should report immediately any irregularities identified during the Volume Test Session to HKEX.
Morning Trading Session (Continuous Trading)	
10:05am – 11:00am	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the continuous trading session
Second Volume Test Session (Continuous Trading)	
11:00am – 11:05am	❑ Same as First Volume Test Session
Closing Auction Session at 12:00noon	

12:00noon -12:10pm	❑ The closing auction session consists of
	
	  - Reference Price Fixing Period 12:00noon - 12:01pm
	  - Order Input Period 12:01pm - 12:06pm
	  - No Cancellation Period 12:06pm - 12:08pm
	  - Random Closing Period 12:08pm - 12:10pm [random close time]
	  - Order Matching Period 12:08pm - completion of matching [variable end time]
	  - Day Close upon completion of matching
	
	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the closing auction session.
	
	    For Market Makers choosing not to carry forward quotes to the CAS:
	- Verify the BSS has the ability to withdraw large number of outstanding orders for market making securities in an efficient and effective

Time	Activities
	manner.
Day Close – upon completion of matching	
12:10pm	For **OCG/NSTD:** ❑ Perform trader logout. ❑ Perform ET Trade Speed Station End-of-Trading procedure. ❑ Logout and terminate OCG session. ❑ Logout all ET Trade Speed Station. For **OCG/BSS:** ❑ Logout and terminate OCG session. ❑ Perform end-of-trading procedures, if any, to ensure database integrity. ❑ Clean up the transaction data (e.g. orders and trades) entered during the CS from BSS, if applicable. ❑ Restore the data and proper BSS production configuration for following Monday, if necessary.
Download Day-end Trade File and Closing Price File	
12:30pm – 1:00pm	❑ Day-end closing price file (include reserved stocks 6400-6499) and trade file in Central Trade Feed (CTF) format will be available from 12:30pm onwards. EPs are required to login to Electronic Communication Platform (ECP) (https://www.ecp.hkex.com.hk/) by using the production user ID with the "TO" user group (i.e. user ID of MXXXXXTOXXX) and production password.
Software fallback for BSS	
After 1:00pm	For **BSS** : ❑ Fallback the BSS software to AMS/3.8 compatible version
Post Test Verification Session after CS – fallback to AMS/3.8 (optional and applicable to EPs with prior registration)	
Before 7:30pm	**_Note :_** **_Only EPs who have indicated their participation in the notification form given in Appendix A, will have ALL of their enrolled production OCG sessions enabled to participate in the Post Test verification session._** **Logon to AMS/3.8 Host** For **OCG**/**NSTD** ❑ Perform Administrator Logon to ET Trade Speed Station. ❑ Perform logon for OCG sessions by using the **Production password** (including Trading and Drop Copy sessions). ❑ Perform ET Trade Speed Station Start-of-Trading procedure ❑ Perform Trader logon. ❑ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk. For **OCG/BSS** ❑ Connect to OCG for all OCG sessions (including Trading and Drop Copy sessions). ❑ Logon using the assigned Comp ID(s) and **Production password** for all OCG sessions (including Trading and Drop Copy sessions).

Time	Activities
Afternoon Trading Session (Continuous Trading)	
7:30pm – 8:30pm	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the afternoon session.
Day Close at 8:40pm	
8:40pm	For **OCG/NSTD:** ❑ Perform trader logout. ❑ Perform ET Trade Speed Station End-of-Trading procedure. ❑ Logout and terminate OCG session. ❑ Logout all ET Trade Speed Station. For **OCG/BSS:** ❑ Logout and terminate OCG session. ❑ Perform end-of-trading procedures, if any, to ensure database integrity. ❑ Clean up the transaction data (e.g. orders and trades) entered during the CS from BSS, if applicable. ❑ Restore the data and proper BSS production configuration for following Monday, if necessary.
13 November 2017 (Monday)	
Before 8:30am	**Logon to AMS/3.8 Host** For **OCG/NSTD** ❑ Perform Administrator Logon to ET Trade Speed Station. ❑ Perform logon for OCG sessions (including Trading and Drop Copy sessions) by using the production password. ❑ Perform ET Trade Speed Station Start-of-Trading procedure ❑ Perform Trader logon. ❑ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk For **OCG/BSS** ❑ Perform logon for OCG sessions (including Trading and Drop Copy sessions) by using production password.

Appendix C – Activity Rundown for OTP-C MR1 on 18 November 2017

Time	Activities
17 November 2017 (Friday) – After Market Close	
After 5:00pm	❑ Ensure the production database of in-house / back-office systems are properly backed-up before the MR1. ❑ Ensure the BSS system version used for the MR1 is OTP-C compatible, otherwise the BSS system may not be able to connect to OTP-C when OTP-C is brought up. **_Notes :_** • **_For BSS, please do not input any next day requests after trading hours on Friday (i.e. requests intended for submission to host on the following trading day, since next day requests will be submitted to OTP-C host during MR1 and will not be available on the following trading day)_** • **_After MR1 and Post Test Verification Session (if applicable), EPs are also reminded to clean up the next day requests (if any) to ensure that these testing orders will not be carried forward to the production on the following trading day_**
18 November 2017 (Saturday)	
Before 8:30am	**Logon to OTP-C Host** For **OCG/NSTD** ❑ Perform Administrator Logon to ET Trade Speed Station. ❑ Perform logon for OCG sessions by using the password **"Ab123456"** (including Trading and Drop Copy sessions). ❑ Perform ET Trade Speed Station Start-of-Trading procedure ❑ Perform Trader logon. ❑ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk. For **OCG/BSS** ❑ Connect to OCG for all OCG sessions (including Trading and Drop Copy sessions). ❑ Logon using the assigned Comp ID(s) and the password **"Ab123456"** for all OCG sessions (including Trading and Drop Copy sessions).
Pre-opening Session	

9:00am – 9:30am	❑ The pre-opening session consists of
	   - Order Input period (9:00am - 9:15am)
	   - Pre-order Matching period (9:15am - 9:20am)
	   - Order Matching period (9:20am - 9:28am)
	   - Blocking period (9:28am - 9:30am)
	 ❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the pre-opening session

Morning Trading Session (Continuous Trading)	

9:30am – 10:45am	❑ The morning trading session consists of
	   - Without VCM monitoring (9:30am - 9:45am)
	   - With VCM monitoring (9:45am - 10:45am)
	
	 ❑ Simulate real-life trading activities (in terms of transaction pattern and

Time	Activities
	volume) during the Continuous Trading session. For Liquidity Provider and Market Maker: - Submit market making orders or quotes on all their assigned products. **Note :** EPs are required to strictly adhere to following order input requirement during the MR1 : • Order quantity MUST NOT be greater than 20 board lots. • Order price MUST NOT be more than +/- 20 spreads deviated from the opening price except for VCM stocks. Please note that EPs who do not follow the testing guidelines or conduct frivolous activities during the market rehearsal may be suspended from further participation in the market rehearsal without prior warning.
First Volume Test Session (Continuous Trading)	
10:00am – 10:05am	❑ EPs should base on their maximum entitled throughput capacity of each OCG session to submit orders and HKEX will generate a high number of orders on HKEX reserved stocks 6400-6499. EPs should verify that their trading facilities are able to support smooth order input operation during simulation of high volume market activities ❑ EPs should report immediately any irregularities identified during the Volume Test Session to HKEX.
Morning Trading Session (Continuous Trading)	
10:05am – 10:45am	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the continuous trading session
Mid-Day Close Session / Extended Morning Trading Session	
10:45am – 11:00am	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the extended morning trading session for Extended Trading Securities.
Order Cancellation Period	
10:55am – 11:00am	❑ Simulate real-life conducting cancel outstanding orders
Afternoon Trading Session (Continuous Trading)	
11:00am – 12:00noon	❑ The afternoon trading session consists of - Without VCM monitoring (11:00am - 11:15am) - With VCM monitoring (11:15am - 11:40am) - Without VCM monitoring (11:40am - 12:00noon) ❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the Continuous Trading session. For Liquidity Provider and Market Maker: - Submit market making orders or quotes on all their assigned products. **Note :** EPs are required to strictly adhere to following order input requirement during the MR1 : • Order quantity MUST NOT be greater than 20 board lots. • Order price MUST NOT be more than +/- 20 spreads deviated from the

Time	Activities
	opening price except for VCM stocks.
	❑ Please note that EPs who do not follow the testing guidelines or conduct frivolous activities during the market rehearsal may be suspended from further participation in the market rehearsal without prior warning.
Second Volume Test Session (Continuous Trading)	
11:30am – 11:35am	❑ Same as First Volume Test Session
Afternoon Trading Session (Continuous Trading)	
11:35am – 12:00noon	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the continuous trading session
Closing Auction Session at 12:00noon	
12:00noon -12:10pm	❑ The closing auction session consists of
	- Reference Price Fixing Period (12:00noon - 12:01pm)
	- Order Input Period (12:01pm - 12:06pm)
	- No Cancellation Period (12:06pm - 12:08pm)
	- Random Closing Period (12:08pm - 12:10pm) [random close time]
	- Order Matching Period (12:08pm - completion of matching) [variable end time]
	- Day Close upon completion of matching
	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the closing auction session.
	For Market Makers choosing not to carry forward quotes to the CAS:
	- Verify the BSS has the ability to withdraw large number of outstanding orders for market making securities in an efficient and effective manner.
Day Close – upon completion of matching	
12:10pm	For **OCG/NSTD:**
	❑ Perform trader logout.
	❑ Perform ET Trade Speed Station End-of-Trading procedure.
	❑ Logout and terminate OCG session.
	❑ Logout all ET Trade Speed Station.
	For **OCG/BSS:**
	❑ Logout and terminate OCG session.
	❑ Perform end-of-trading procedures, if any, to ensure database integrity.
	❑ Clean up the transaction data (e.g. orders and trades) entered during the MR1 from BSS, if applicable.
	❑ Restore the data and proper BSS production configuration for following Monday, if necessary.
Download Day-end Trade File and Closing Price File	
12:30pm – 1:00pm	❑ Day-end closing price file (include reserved stocks 6400-6499) and trade file in Central Trade Feed (CTF) format will be available from 12:30pm

Time	Activities
	onwards. EPs are required to login Electronic Communication Platform (ECP) (https://www.ecp.hkex.com.hk/) by inputting the production user ID with the "TO" user group (i.e. user ID of MXXXXXTOXXX) and production password.
After 1:00pm	❑ **Complete and return the Feedback Form (Appendix E) to HKEX by fax (Fax No.: 2521-7899 or 2868-5223) or by email to** OTPC@hkex.com.hk

Software fallback for BSS

After 1:00pm	For **BSS** : ❑ Fallback the BSS software to AMS/3.8 compatible version

Post Test Verification Session after MR - fallback to AMS/3.8 (optional and applicable to EPs with prior registration)

Before 7:30pm	<u>Note :</u> *Only EPs <u>who have submitted notification form given in Appendix A</u>, will have ALL of their enrolled production OCG sessions enabled to participate in the Post Test verification session.* **Logon to AMS/3.8 Host** For **OCG/NSTD** ❑ Perform Administrator Logon to ET Trade Speed Station. ❑ Perform logon for OCG sessions by using the **Production password** (including Trading and Drop Copy sessions). ❑ Perform ET Trade Speed Station Start-of-Trading procedure ❑ Perform Trader logon. ❑ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk. For **OCG/BSS** ❑ Connect to OCG for all OCG sessions (including Trading and Drop Copy sessions). ❑ Logon using the assigned Comp ID(s) and **Production password** for all OCG sessions (including Trading and Drop Copy sessions).

Afternoon Trading Session (Continuous Trading)

7:30pm – 8:30pm	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the afternoon session.

Day Close at 8:40pm

8:40pm	For **OCG/NSTD:** ❑ Perform trader logout. ❑ Perform ET Trade Speed Station End-of-Trading procedure. ❑ Logout and terminate OCG session. ❑ Logout all ET Trade Speed Station. For **OCG/BSS:** ❑ Logout and terminate OCG session. ❑ Perform end-of-trading procedures, if any, to ensure database integrity. ❑ Clean up the transaction data (e.g. orders and trades) entered during the MR1 from BSS, if applicable.

Time	Activities
	❑ Restore the data and proper BSS production configuration for following Monday, if necessary.
20 November 2017 (Monday)	
Before 8:30am	**Logon to AMS/3.8 Host** For **OCG/NSTD** ❑ Perform Administrator Logon to ET Trade Speed Station. ❑ Perform logon for OCG sessions (including Trading and Drop Copy sessions) by using the production password. ❑ Perform ET Trade Speed Station Start-of-Trading procedure ❑ Perform Trader logon. ❑ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk. For **OCG/BSS** ❑ Perform logon for OCG sessions (including Trading and Drop Copy sessions) by using production password.

Appendix D – Activity Rundown for OTP-C MR2 on 25-26 November 2017

Time	Activities
24 November 2017 (Friday)	
After 5:00pm	❑ Ensure the production database of in-house / back-office systems are properly backed-up before the MR2. ❑ Ensure the BSS system version used for the MR2 is OTP-C compatible, otherwise the BSS system may not be able to connect to OTP-C when OTP-C is brought up. _**Notes :**_ • _**For BSS, please do not input any next day requests after trading hours on Friday (i.e. requests intended for submission to host on the following trading day, since next day requests will be submitted to OTP-C host during MR2 and will not be available on the following trading day)**_ • _**After MR2, EPs are also reminded to clean up the next day requests (if any) to ensure that these testing orders will not be carried forward to the production on the following trading day**_
25 November 2017 (Saturday)	
Before 8:30am	**Logon to OTP-C Host** For **OCG/NSTD** ❑ Perform Administrator Logon to ET Trade Speed Station. ❑ Perform logon for OCG sessions by using the password **"Ab123456"** (including Trading and Drop Copy sessions). ❑ Perform ET Trade Speed Station Start-of-Trading procedure ❑ Perform Trader logon. ❑ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk. For **OCG/BSS** ❑ Connect to OCG for all OCG sessions (including Trading and Drop Copy sessions). ❑ Logon using the assigned Comp ID(s) and the password **"Ab123456"** for all OCG sessions (including Trading and Drop Copy sessions).
Pre-opening Session	
9:00am – 9:30am	❑ The pre-opening session consists of - Order Input period (9:00am - 9:15am) - Pre-order Matching period (9:15am - 9:20am) - Order Matching period (9:20am - 9:28am) - Blocking period (9:28am - 9:30am) ❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the pre-opening session.
Morning Trading Session (Continuous Trading)	
9:30am – 10:00am	❑ The morning trading session consists of - Without VCM monitoring (9:30am - 9:45am) - With VCM monitoring (9:45am - 11:40am) - Without VCM monitoring (11:40am - 12:00noon) ❑ Simulate real-life trading activities (in terms of transaction pattern and

Time	Activities
	volume) during the morning session.
	❑ For Liquidity Provider and Market Maker:
	- Submit market making orders or quotes on all their assigned products
	Note :
	EPs are required to strictly adhere to following order input requirement during the MR2 :
	• Order quantity MUST NOT be greater than 20 board lots.
	• Order price MUST NOT be more than +/- 20 spreads deviated from the opening price except for VCM stocks.
	Please note that EPs who do not follow the testing guidelines or conduct frivolous activities during the market rehearsal may be suspended from further participation in the market rehearsal without prior warning.
First Volume Test Session (Continuous Trading)	
10:00am – 10:05am	❑ EPs should base on their maximum entitled throughput capacity of each OCG session to submit orders and HKEX will generate a high number of orders on HKEX reserved stocks 6400-6499. EPs should verify that their trading facilities are able to support smooth order input operation during simulation of high volume market activities
	❑ EPs should report immediately any irregularities identified during the Volume Test Session to HKEX.
Morning Trading Session (Continuous Trading)	
10:05am – 10:30am	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the continuous trading session
Second Volume Test Session (Continuous Trading)	
10:30am – 10:35am	❑ Same as First Volume Test Session
Morning Trading Session (Continuous Trading)	
10:35am – 12:00noon	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the continuous trading session
Simulated System Failure and Fallback to AMS/3.8	
11:30am	❑ HKEX will simulate system failure on OTP-C
	❑ EPs should pay attention to HKEX's announcement of the contingency arrangement via Exchange News. The Exchange News will be available through OMD-C.
	❑ If Exchange News cannot be disseminated through OMD-C, EPs should pay attention to HKEX's announcement via email with email address provided on **Appendix A – Notification Form**.
After 11:30am	For **OCG/NSTD**
	❑ Print out the trades concluded in OTP-C for records
	For **OCG/BSS**
	❑ Perform the necessary preparation and backup the trades concluded in OTP-C before failure on their BSS and/or back office system (if applicable)
	❑ Output the trades concluded in OTP-C via Drop Copy function for record and verification purpose (if applicable).
Around 12:30pm	❑ HKEX will deliver trades concluded in OTP-C before system failure and closing price to EPs via ECP. EPs should follow the steps below for downloading their respective files:
	▪ Open an IE browser and input the website address of the ECP at

Time	Activities
	https://www.ecp.hkex.com.hk.
	▪ Login to the ECP by inputting the production User ID with "TO" User Group (i.e. user ID of MXXXXXTOXXX) and production Password.
	▪ Click "Download Corner" on the ECP menu bar to view the hyperlink of the trade file before system failure.
	▪ Click the hyperlink to download the trade file.
	❑ Verify the trade details against EPs' trades recorded before system failure

Software fallback for OCG/NSTD & OCG/BSS

Time	Activities
After 12:30pm	For **OCG/NSTD & OCG/BSS** :
	❑ Fallback the BSS software to AMS/3.8 compatible version (if applicable)

26 November 2017 (Sunday)

Resumption of trading in AMS/3.8

Time	Activities
Before 8:30am	**Logon to AMS/3.8 Host**
	Note :
	EPs should pay attention to HKEX's announcement on the resumption of trading in AMS/3.8 via the Exchange News. If Exchange News is not available for news dissemination, HKEX will send the Exchange News via email to the designated contact person's email address as provided in Appendix A – Notification Form.
	For **OCG/NSTD**
	❑ Perform Administrator Logon to ET Trade Speed Station.
	❑ Perform logon for OCG sessions by using the password **"Ab123456"** (including Trading and Drop Copy sessions).
	❑ Perform ET Trade Speed Station Start-of-Trading procedure
	❑ Perform Trader logon.
	❑ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk.
	For **OCG/BSS** :
	❑ Connect the AMS/3.8 compatible version of BSS to AMS
	❑ Logon using the assigned Comp ID(s) and the password **"Ab123456"** for all OCG sessions (including Trading and Drop Copy sessions).

Pre-opening session under AMS/3.8

Time	Activities
9:00am – 9:30am	❑ The pre-opening session consists of
	- Order Input period (9:00am - 9:15am)
	- Pre-order Matching period (9:15am - 9:20am)
	- Order Matching period (9:20am - 9:28am)
	- Blocking period (9:28am - 9:30am)
	❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the pre-opening session.
	❑ BSS users should check whether their BSS system are successfully fallback and their operations are in proper order

Morning Trading Session (Continuous Trading) under AMS/3.8

Time	Activities
9:30am – 11:00am	❑ The morning trading session consists of
	- Without VCM monitoring (9:30am - 9:45am)

Time	Activities
	- With VCM monitoring (9:45am - 10:40am) - Without VCM monitoring (10:40am - 11:00am) ❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the afternoon session ❑ BSS users should check whether their BSS system are successfully fallback and their operations are in proper order
Closing Auction Session at 11:00am	
11:00am - 11:10am	❑ The closing auction session consists of - Reference Price Fixing Period 11:00am – 11:01am - Order Input Period 11:01am - 11:06am - No Cancellation Period 11:06am - 11:08am - Random Closing Period 11:08am - 11:10am [random close time] - Order Matching Period 11:08am - completion of matching [variable end time] - Day Close upon completion of matching ❑ Simulate real-life trading activities (in terms of transaction pattern and volume) during the closing auction session.
Day Close – upon completion of matching	
11:10am	For **OCG/NSTD:** ❑ Perform trader logout. ❑ Perform ET Trade Speed Station End-of-Trading procedure. ❑ Logout and terminate OCG session. ❑ Logout all ET Trade Speed Station. For **OCG/BSS:** ❑ Logout and terminate OCG session. ❑ Perform end-of-trading procedures, if any, to ensure database integrity. ❑ Clean up the transaction data (e.g. orders and trades) entered during the MR2 from BSS, if applicable. ❑ Restore the data and proper BSS production configuration for following Monday, if necessary.
Download Day-end Trade File and Closing Price File	
11:30am – 12:00noon	❑ Day-end trade file and closing price file in Central Trade Feed (CTF) format will be available from 11:30am onwards. EPs are required to login Electronic Communication Platform (ECP) (https://www.ecp.hkex.com.hk/) by inputting the production user ID with the "TO" user group (i.e. user ID of MXXXXXTOXXX) and production password.
After 12:00noon	❑ **Complete and return the Feedback Form (Appendix F) to HKEX by fax (Fax No.: 2521-7899 or 2868-5223) or by email to OTPC@hkex.com.hk**
27 November 2017 (Monday)	
Before 8:30am	**Logon to AMS/3.8 Host** For **OCG/NSTD** ❑ Perform Administrator Logon to ET Trade Speed Station. ❑ Perform logon for OCG sessions (including Trading and Drop Copy

Time	Activities
	sessions) by using the production password. ☐ Perform ET Trade Speed Station Start-of-Trading procedure ☐ Perform Trader logon. ☐ Note: If EP encounters any issue on ET Trade Speed Station, please directly contact ET Trade Customer Service Hotline at 2880-8601 or by email to cs@etnet.com.hk. For **OCG/BSS** ☐ Perform logon for OCG sessions (including Trading and Drop Copy sessions) by using production password.

Appendix E – Feedback Form for OTP-C MR1 on 18 November 2017

Notes :
1. Please complete both Sections I and II of this form.
2. **Upon completion, please return the form to HKEX by Fax (fax nos.: 2521-7899 or 2868-5223) or by Email to OTPC@hkex.com.hk on or before 20 November 2017**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626

Section I   Participant Information

Name of Exchange Participant		Participant ID
Contact Person	Phone No.	Email Address

Section II   Participant Feedback *(please tick the appropriate boxes)*

1. Did your **BSS/NSTD** encounter any unresolved connectivity or log on issues during the market rehearsal?
   - ❑ No
   - ❑ Yes, please specify : _____

2. Did your **BSS/NSTD** experience any system failure or interruption during the market rehearsal?
   - ❑ No
   - ❑ Yes, please specify : _____

3. Did your **BSS/NSTD** experience any exceptional response time for order input during the market rehearsal (especially during the Volume Test Session)? *(Note : Response time means the time taken by OTP-C to provide the order confirmation reply after the order input.)*
   - ❑ No
   - ❑ Yes, please provide relevant details of the transactions (e.g. transaction time, stock code, order price and the response time observed) for analysis by HKEX :

   _____

4. Did your **BSS** experience difficulties in handling the OMD-C market data?
   - ❑ No
   - ❑ All our BSS do not receive market data from OMD-C
   - ❑ We do not have BSS
   - ❑ Yes, please provide relevant details (e.g. time, stock code, and the response time observed) for analysis by HKEX:

   _____

5. Did your **NSTD** experience difficulties in handling the OMD-C market data?
   - ❑ No
   - ❑ We do not have NSTD
   - ❑ Yes, please provide relevant details (e.g. time, stock code, and the response time observed) for analysis by HKEX:

   _____

6. If you have further comments about the market rehearsal, please specify below:

   _____

By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in Appendix G of this Information Package.

Signature of Responsible Officer
with Company Chop   : _____   Date : _____

Name of Responsible Officer   : _____

Appendix F – Feedback Form for OTP-C MR2 on 25-26 November 2017

Notes :
1. Please complete both Sections I and II of this form.
2. **Upon completion, please return the form to HKEX by Fax (fax nos.: 2521-7899 or 2868-5223) or by Email to OTPC@hkex.com.hk on or before 27 November 2017**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626

Section I   Participant Information

Name of Exchange Participant		Participant ID
Contact Person	Phone No.	Email Address

Section II   Participant Feedback *(please tick the appropriate boxes)*

1. Did your **BSS/NSTD** encounter any unresolved connectivity or log on issues during the market rehearsal?

   ❑ No

   ❑ Yes, please specify :

2. Did your **BSS/NSTD** experience any system failure or interruption during the market rehearsal (except for the simulated failure of OTP-C)?

   ❑ No

   ❑ Yes, please specify :

3. Did your **BSS/NSTD** experience any exceptional response time for order input during the market rehearsal (especially during the Volume Test)? *(Note : Response time means the time taken by OTP-C to provide the order confirmation reply after the order input.)*

   ❑ No

   ❑ Yes, please provide relevant details of the transactions (e.g. transaction time, stock code, order price and the response time observed) for analysis by HKEX :

4. Did your **BSS/NSTD** encounter any difficulties in continuing trading after system fallback to AMS/3.8?

   ❑ No

   ❑ Yes, please specify :

5. Did your **BSS/NSTD** experience difficulties in handling market data after system fallback to AMS/3.8?

   ❑ No

   ❑ Yes, please provide relevant details (e.g. time, stock code, and the response time observed) for analysis by HKEX:

6. Did you encounter any difficulties in making ready your **BSS/NSTD** for connecting to AMS/3.8 after the fallback?

   ❑ No

   ❑ Yes, please specify:

Participant Name : _____   Participant ID : _____

7.　Did you encounter any difficulties to complete the contingency procedures for connecting OCG with AMS/3.8 in the fallback scenario?

❑　　No

❑　　Yes, please specify the time taken by your system and your follow up action to shorten your fallback time:

_____

8.　If you have further comments about the market rehearsal, please specify below:

_____

By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in Appendix G of this Information Package.

Signature of Responsible
Officer with Company Chop　　:　_____　　Date　:　_____

Name of Responsible Officer　　:　_____

Appendix G – Privacy Policy Statement

Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "**Group**") (and each being "**HKEX**", "**we**", "**us**" or "**member of the Group**" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("**PDPO**"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

Session Cookies: temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

Persistent Cookies: cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link
https://www.pcpd.org.hk/english/publications/files/Dforme.pdf

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

Contact us

By Post:
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Hong Kong Exchanges and Clearing Limited
12/F., One International Finance Centre
1 Harbour View Street
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK