



**Information Package**

**On**

**Market Rehearsals**

**For**

**Tseung Kwan O Data Centre**

**(TKODC)**

**Issue Date: August 2012**

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## I. Introduction

HKEx announced in building of its own data centre at Tseung Kwan O to consolidate the primary data centres for all HKEx's market and clearing houses' systems in 2010. The new infrastructure is part of the HKEx Orion programme for the revolutionisation of its core trading platforms.

The new Tseung Kwan O Data Centre (TKODC) is a state-of-art infrastructure and built with the highest level of resilience. It will meet the top level tier-4 data centre requirement and the LEED gold standard. The new Data Centre will also support the new hosting services for all market participants of securities, derivatives and clearing markets. The building of TKODC was commenced in fourth quarter of 2010 and the construction work is expected to complete in the third quarter this year.

The Cash Market trading applications including AMS/3.8, MDS/3.8 and related satellite systems will be the first trading system to relocate from its existing Data Centre in Central to the new Data Centre. An identical hardware and software for AMS/3.8, MDS/3.8 and related trading systems have been set up in the new Data Centre for the migration of the Cash trading applications. HKEx has performed the necessary technical testing in the new platform and it is ready for the final stage of testing with all interface parties.

The final stage of testing will be conducted in form of market wide rehearsals, all the interface parties including Exchange Participants (EPs), Information Vendors (IVs) and other service providers such as Hang Seng Indexes Company Limited will be re-directed to the new Data Centre for the connectivity verification and testing.

To enable a smooth cutover of Cash Market trading applications to TKODC, two half-day Market Rehearsals (MRs) will be conducted on 22 September and 6 October 2012 respectively as the final verification of the market readiness. **All EPs are requested to participate in and satisfactorily complete the two MRs.** The cutover of Cash Market trading applications to TKODC is tentatively scheduled in fourth quarter of 2012 and the launch date will be published after successful completion of the MRs.

## II. Objective and Schedule of Tseung Kwan O Data Centre Market Rehearsal

Two rounds of TKODC MRs will be arranged for EPs as the final verification of the readiness of market before cutover of AMS/3.8, MDS/3.8 and all related security market applications to TKODC.

Market Rehearsal	Participation by	Date/ Time
First Market Rehearsal (MR1)	All EPs	22 September 2012 (Saturday) 9:00am – 12:05pm
Second Market Rehearsal (MR2)	All EPs	6 October 2012 (Saturday) 9:00am – 12:50pm

MR1 will focus on normal operation where AMS/3.8 is connecting to TKODC. MR2 will cover the contingency operations for the very exceptional scenario of “Re-start AMS/3.8 Primary System after system failure during the Order Input Period of the Pre-opening Session” ("Mode 1") and “Re-start AMS/3 Backup System after system failure during the Continuous Trading Session” ("Mode 2").

**All EPs are required to follow the guidelines and activity rundowns (Appendix A and B) to participate in both MR1 and MR2.** Should there be any adjustments to the activity rundown necessary for smooth execution of MR, EPs will be informed prior to each MR.

**After completion of each MR, all EPs must return the feedback forms (Appendix C and D) to HKEx on or before the following Monday after the respective MR.**

Further details on MRs are discussed in the respective paragraphs below.

### III. Guidelines for TKODC Market Rehearsal

HKEx will use the to-be-production AMS/3.8 system installed in TKODC for conducting the MRs and all trading devices (Trading Terminals, the OGs for MWS and the OGs for BSS) will be turned on.

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

- EPs should leave all their trading devices, including on-floor & off-floor Trading Terminals, OG/MWS and OG/BSS **powered on throughout the weekends before and after MRs**. This is for HKEx to verify the device healthiness after the test.
- BSS EPs are reminded to back up their BSS production databases before the MRs so that the database can be restored after the test to safeguard data integrity for the following trading day. If the BSS does not participate in the MRs, it should be disconnected from the OG before the MRs.
- HKEx will turn on all on-floor and off-floor Trading Terminals, OG/MWS and OG/BSS for EPs to conduct testing in MRs. The Trading Hall will be opened.
- Users of all off-floor trading devices participating in MR (including Trading Terminal, OG/MWS and OG/BSS) are requested to perform Smart Card log on by using the **production Smart Card and PIN number**. EPs should use **production trader ID and password** to perform trading system log on.
- Order Routing System (ORS) and PNS vendors will also participate in the two MRs.
- The File Transfer System (FTS) service is available for both MRs. FTS subscribers should use the **production Participant ID and password** to retrieve the trade file after day close (half an hour for MR1 and MR2).
- EPs who do not receive market information from OG and rely on market datafeed vendors for providing price updates on their trading screens should liaise with their respective market datafeed vendors for providing the services during MRs. It should be noted that HKEx's Market Data System (MDS/3.8) will also operate during the MRs and all MDS information vendors are invited to participate in the testing alongside the EPs.

#### IV. Market Rehearsals

##### **First Market Rehearsal on 22 September 2012 (MR1)**

MR1 aims to provide an opportunity to EPs to verify their system operation and connection to the AMS/3.8 primary site at TKODC and simulate real-life trading activities.

The MR1 timetable is given below for your reference:

Time	Major Events
9:00am – 9:30am	Pre-opening Session
9:30am – 12:00 noon	Continuous Trading Session
12:05pm	Day Close

EPs are requested to note the following important points:

- The security database as at the market open on 24 September 2012 will be used as the security database for the MR1.
- EPs must conduct the MR1 according to the Activity Rundown as per Appendix A.
- EPs must submit orders and trades during the MR1 in order to verify the end-to-end connection.
- EPs are reminded to use their OG/BSS, OG/MWS, On-floor and Off-floor Trading Terminal to simulate real life trading activities (in terms of transaction pattern and volume).
- After completion of the MR1, EPs are required to report any issues they encounter during the MR on the Feedback Form given in Appendix C and return it to HKEx **on or before 24 September 2012.**

## **Second Market Rehearsal on 6 October 2012 (MR2)**

MR2 aims to provide opportunity for EPs to rehearse the major contingency procedure for AMS/3.8 system restart at the TKODC and also the AMS/3.8 system failover from primary data centre at TKO to backup data centre.

The MR2 timetable is given below for your reference:

<b>Time</b>	<b>Major Events</b>
9:00am	Market Open in Pre-opening Session
9:12am	Simulate System Failure at Order Input Session
9:12am – 10:12am	Reactivation of Primary Trading system in Exchange Intervention Status (Mode 1)
10:12am – 10:20am	Primary Trading system is ready for connection by OG and Trading Terminals
10:20am – 10:35am	Cancel all broker orders by the Exchange
10:35am – 10:40am	Order Cancel Session at Primary Trading system
10:40am	Continuous Trading Session at Primary Trading system
11:10am	Simulated System Failure at Continuous Trading Session
11:10am – 12:10pm	Activation of Backup Trading System in Exchange Intervention Status (Mode 2)
12:20pm – 12:30pm	Order Cancel Session at Backup Trading system
12:30pm – 12:45pm	Continuous Trading Session at Backup Trading system
12:50pm	Day Close

EPs are requested to note the following important points:

- The security database as at the market open on 8 October 2012 will be used as the security database for the MR2.
- EPs must conduct the MR2 according to the Activity Rundown given in Appendix B.
- EPs must submit orders and trades during the MR2 in order to verify the end-to-end connection.

- System failure at continuous trading session (Mode 2) will be simulated at around 11:10am. Trading Terminal users should print out the trades concluded in AMS/3.8 for their records and verification purpose as soon as possible. Similarly, MWS users should output the trades concluded in AMS/3.8 via the Central Trade Feed (CTF) export function for their record and verification purpose before MWS is reconnected to AMS/3.8 Backup system. The tentative time for Trading Terminal and MWS reconnection to AMS/3.8 Backup system is around 12:10pm.
- It should be noted that AMS/3.8 Backup system will be ready for BSS reconnection after 12:10pm. The market will be re-opened at around 12:20pm. BSS EPs should ensure their systems are ready for trading accordingly.
- After trading is resumed at Backup system, all EPs should verify successful failover of their trading devices by simulating real-life trading activities.
- After completion of MR2, EPs are required to report any issues related to system fallback under the contingency situation on the Feedback Form given in Appendix D and return it to HKEx **on or before 8 October 2012.**

## **V. Typhoon and /or Rainstorm Arrangements**

EPs are requested to note the following arrangement should typhoon or rainstorm is encountered on the day of MR.

1. In case Typhoon Signal No. 8 or above and / or Black Rainstorm Warning is issued or continues to be issued anytime from 7:00am to 9:00am, the activity of the day will be cancelled and will not be resumed for the rest of the day.
2. In case Typhoon Signal No. 8 or above is issued after 9:00am, the activity of the day will be terminated 15 minutes thereafter.
3. In case Black Rainstorm Warning is issued after 9:00am, the activity of the day will continue until completion.
4. In any case, all participating EPs should complete the appropriate day-end works including file/database backup and restoration, system restoration/fallback and so on to ensure there will be no interruption on the next trading day.

## **VI. Enquires**

For queries and/or further clarification on the TKODC MR, EPs may contact HKEx by phone at the following numbers:

- For general enquiry : 2840-3626
- For technical enquiry : 2840-3351

## Activity Rundown for TKODC Market Rehearsal on 22 September 2012

Time	Activities
<b>21 September 2012 (Friday)</b>	
After 5:00pm	<p><input type="checkbox"/> Ensure all on-floor and off-floor terminals, OG/MWS and OG/BSS components (including network routers, OG servers, MWS servers and workstations) are powered on after trading hours</p> <p><input type="checkbox"/> Ensure the production database of in-house / back-office systems are properly backed-up</p> <p><input type="checkbox"/> Ensure the BSS are not connected to the OG if not participating in the market rehearsal in order to avoid receiving the testing data</p> <p><u>Notes :</u></p> <ul style="list-style-type: none"> <li>• <i>For both MWS and 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 AMS/3.8 host during the Market Rehearsal and will not be available on the following trading day)</i></li> <li>• <i>For BSS, please save/cancel all ORS next day requests, if applicable</i></li> <li>• <i>For MWS, please cancel all ORS next day requests, if applicable</i></li> <li>• <i>After the Market Rehearsal, 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</i></li> </ul>
<b>22 September 2012 (Saturday)</b>	
Before 8:30am	<p><u>Log on to AMS/3.8 host</u></p> <p>For <b>On-floor Trading Terminal</b> :</p> <p><input type="checkbox"/> Perform trader sign on by using <b>production trader ID and password</b></p> <p>For <b>BSS</b> :</p> <p><input type="checkbox"/> Perform smart card log on for OG – enter the <b>production PIN of the smart card</b></p> <p><input type="checkbox"/> Perform trading system log on by using <b>production trader ID and password</b></p> <p><input type="checkbox"/> Perform trader sign on (if applicable)</p> <p>For <b>MWS</b>:</p> <p><input type="checkbox"/> Perform smart card log on for OG – enter the <b>production PIN of the smart card</b></p> <p><input type="checkbox"/> Perform Administrator log on to workstation by using default administrator User ID 9999, Password 9999</p> <p><input type="checkbox"/> Perform MWS start-of-trading procedures</p> <p><input type="checkbox"/> Perform Supervisor log on to workstation by using default supervisor User ID 001, Password 1 or User ID 002, Password 2</p> <p><input type="checkbox"/> Perform supervisor trading system log on by using <b>production trader ID and password</b></p> <p><input type="checkbox"/> Create user profile (if required)</p>

Time	Activities
	<input type="checkbox"/> Perform trader sign on <u>Note :</u> <i>The user accounts (e.g. Trader and Supervisor) created by EPs in MWS during previous Market Rehearsal(s) can be re-used again and EPs can also use the default user accounts specified above to log on the MWS. Should EPs wish to create additional user accounts (e.g. Trader and Supervisor), please follow the procedures set out in the MWS User's Guide at HKEx website <a href="http://www.hkex.com.hk/eng/market/sec_tradinfra/mws.htm">http://www.hkex.com.hk/eng/market/sec_tradinfra/mws.htm</a>. The MWS user accounts created during the Market Rehearsal will <u>not</u> be carried over to the production environment</i> For <b>Off-floor Trading Terminal</b> : <input type="checkbox"/> Perform smart card log on by using <b>production smart card and password</b> <input type="checkbox"/> Perform trader sign on by using <b>production trader ID and password</b>
<b>Pre-opening Session</b>	
9:00am – 9:30am	<input type="checkbox"/> The pre-opening session consists of : <ul style="list-style-type: none"> <li>- Order Input period (9:00am - 9:15am)</li> <li>- Pre-order Matching period (9:15am - 9:20am)</li> <li>- Order Matching period (9:20am - 9:28am)</li> <li>- Blocking period (9:28am - 9:30am)</li> </ul> <input type="checkbox"/> Simulate real-life trading activities (in terms of transaction pattern and volume) during the pre-opening session <ul style="list-style-type: none"> <li>- Input/ cancel/ modify order</li> <li>- Input pre-opening trade</li> <li>- Capture dynamic market information (e.g. securities nominal price) and market news</li> <li>- Conduct security trading on different securities in different markets</li> </ul>
<b>Continuous Trading Session</b>	
9:30am – 12:00 noon	<input type="checkbox"/> Simulate real-life trading activities during Continuous Trading session <ul style="list-style-type: none"> <li>- Input/ cancel/ modify order or odd lot order</li> <li>- Input trade or odd lot trade</li> <li>- Capture dynamic market information (e.g. securities nominal price) and market news</li> <li>- Conduct security trading on different securities in different markets.</li> </ul> <input type="checkbox"/> EPs should report immediately any irregularities identified during the market rehearsal to HKEx  <i>(Note : Order price <b>MUST NOT</b> be more than +/- 20 spreads deviated from the nominal price.)</i>
<b>Exchange Intervention from 12:00 noon to 12:05pm</b>	
<b>Day Close at 12:05pm</b>	
After 12:05pm	<input type="checkbox"/> Log off from AMS/3.8 host and perform end-of-day procedures For <b>BSS</b> :

Time	Activities
	<ul style="list-style-type: none"> <li>- Perform any day-end processes to ensure database integrity</li> <li>- Perform system log off and trader permanent sign off</li> <li>- Clean up the transaction data (e.g. orders and trades) entered during the market rehearsal from BSS (if applicable)</li> <li>- Perform closing price download (if needed – available at around 12:15pm – 12:30pm)</li> </ul> <p>For <b>MWS</b>:</p> <ul style="list-style-type: none"> <li>- Perform trader permanent sign off</li> <li>- Perform MWS end-of-trading procedures</li> <li>- Perform data import/export, if required (e.g. central trade feed export)</li> <li>- Maintain MWS local database such as client/user profile, if required</li> <li>- Perform supervisor trading system log off</li> <li>- Rollback in house/back office system to the AMS/3.8 production version, including restoration of relevant production database for next trading day (if applicable)</li> </ul> <p>For <b>On-floor and Off-floor Trading Terminal</b> :</p> <ul style="list-style-type: none"> <li>- Perform trader permanent sign off</li> </ul> <p><input type="checkbox"/> Leave all on-floor &amp; off-floor trading terminals, OG/MWS and OG/BSS components powered-on throughout the weekend</p> <p><input type="checkbox"/> <b>Complete and return the Feedback Form (Appendix C) to HKEx by fax (Fax No.: 2521-7899 or 2868-5223) or by email to <a href="mailto:ams3info@hkex.com.hk">ams3info@hkex.com.hk</a></b></p>
<b>Download Day-end Trade File</b>	
12:30pm – 1:00pm	<p>For <b>File Transfer System (“FTS”) subscribers only</b></p> <p><input type="checkbox"/> Check the day-end trade file is successfully downloaded from FTS by using <b>production Participant ID and password</b></p>
<b>24 September 2012 (Monday)</b>	
Before 8:30am	<p><input type="checkbox"/> Log on to AMS/3.8 host</p> <p>For <b>On-floor Trading Terminal</b> :</p> <ul style="list-style-type: none"> <li>- Perform trader sign on</li> </ul> <p>For <b>Off-floor Trading Terminal</b> :</p> <ul style="list-style-type: none"> <li>- Perform smart card log on and trader sign on</li> </ul> <p>For <b>MWS</b> :</p> <ul style="list-style-type: none"> <li>- Ensure smart card log on for OG is done and perform start-of-trading procedures, trading system log on and trader sign on</li> </ul> <p>For <b>BSS</b> :</p> <ul style="list-style-type: none"> <li>- Ensure smart card log on for OG is done and perform BSS trading system log on to host and trader sign on if applicable</li> </ul> <p><input type="checkbox"/> Prepare for trading under AMS/3.8 production environment from 9:00am</p>

## Activity Rundown for TKODC Market Rehearsal on 6 October 2012

Time	Activities
<b>5 October 2012 (Friday)</b>	
After 5:00pm	<div> <input type="checkbox"/> Ensure all on-floor and off-floor terminals, OG/MWS and OG/BSS components (including network routers, OG servers, MWS servers and workstations) are powered on after trading hours         </div> <div> <input type="checkbox"/> Ensure the production database of in-house / back-office systems are properly backed-up         </div> <div> <input type="checkbox"/> Ensure the BSS are not connected to the OG if not participating in the market rehearsal in order to avoid receiving the testing data         </div> <p><u>Notes :</u></p> <ul style="list-style-type: none"> <li>• <i>For both MWS and 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 AMS/3.8 host during the Market Rehearsal and will not be available on the following trading day)</i></li> <li>• <i>For BSS, please save/cancel all ORS next day requests, if applicable</i></li> <li>• <i>For MWS, please cancel all ORS next day requests, if applicable</i></li> <li>• <i>After the Market Rehearsal, 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</i></li> </ul>
<b>6 October 2012 (Saturday)</b>	
Before 9:00am	<p><u>Logon to AMS/3.8 host</u></p> <p>For <b>On-floor Trading Terminal</b> :</p> <div> <input type="checkbox"/> Perform trader sign on by using <b>production trader ID and password</b> </div> <p>For <b>BSS</b> :</p> <div> <input type="checkbox"/> Perform smart card log on for OG – enter the <b>production PIN of the smart card</b> </div> <div> <input type="checkbox"/> Perform trading system log on by using <b>production trader ID and password</b> </div> <div> <input type="checkbox"/> Perform trader sign on (if applicable)         </div> <p>For <b>MWS</b>:</p> <div> <input type="checkbox"/> Perform smart card logon for OG – enter the <b>production PIN of the smart card</b> </div> <div> <input type="checkbox"/> Perform Administrator log on to workstation by using default administrator User ID 9999, Password 9999         </div> <div> <input type="checkbox"/> Perform MWS start-of-trading procedures         </div> <div> <input type="checkbox"/> Perform Supervisor logon to workstation by using default supervisor User ID 001, Password 1 or User ID 002, Password 2         </div> <div> <input type="checkbox"/> Perform supervisor trading system log on by using <b>production trader ID and password</b> </div> <div> <input type="checkbox"/> Create user profile (if required)         </div>

Time	Activities
	<input type="checkbox"/> Perform trader sign on <u>Note :</u> <i>The user accounts (e.g. Trader and Supervisor) created by EPs in MWS during previous Market Rehearsal(s) can be re-used again and EPs can also use the default user accounts specified above to log on the MWS. Should EPs wish to create additional user accounts (e.g. Trader and Supervisor), please follow the procedures set out in the MWS User's Guide at HKEx website <a href="http://www.hkex.com.hk/eng/market/sec_tradinfra/mws.htm">http://www.hkex.com.hk/eng/market/sec_tradinfra/mws.htm</a> . The MWS user accounts created during the Market Rehearsal will <u>not</u> be carried over to the production environment</i> For <b>Off-floor Trading Terminal</b> : <input type="checkbox"/> Perform smart card log on by using <b>production smart card and password</b> <input type="checkbox"/> Perform trader sign on by using <b>production trader ID and password</b>
<b>Pre-opening Session</b>	
9:00am – 9:30am	<input type="checkbox"/> Simulate real-life trading activities during the pre-opening session <ul style="list-style-type: none"> <li>- Input/ cancel/ modify order</li> <li>- Input pre-opening trade</li> <li>- Capture dynamic market information (e.g. securities nominal price) and market news</li> <li>- Conduct security trading on different securities in different markets</li> </ul>
<b>Simulated System Failure at Order Input (9:12am – 10:12am)</b>	
9:12am	<input type="checkbox"/> EPs should pay attention to HKEx's announcement of the contingency arrangement via Exchange News. The Exchange News will be available on AMS/3 Information Page (P.5100 – 5149 in English and P.5150 – 5199 in Chinese). If AMS/3 Information Pages are not available for news dissemination, a file of Exchange News will be sent out via Electronic Communication Platform (ECP) and EPs can download the news file via the user IDs of "TO" User Group and password.
<b>System Recovery at Primary Trading System (Mode 1)</b>	
10:12am	For all participants <ul style="list-style-type: none"> <li><input type="checkbox"/> Log on to AMS/3.8 Host again</li> <li><input type="checkbox"/> Make order and trade enquiries and print out Trade Journal locally, if applicable</li> <li><input type="checkbox"/> Confirm with counter-parties on all manual trades input within 5 minutes before system crash, if applicable</li> <li><input type="checkbox"/> Report any discrepancy to the Exchange</li> </ul> <p><b>(Note: There will not be any Pre-opening Session after system recovered. All outstanding orders will be cancelled by the Exchange.)</b></p>
<b>Order Cancel Session</b>	
10:35am – 10:40am	<input type="checkbox"/> Check and reconcile to ensure no outstanding orders
<b>Continuous Trading Session</b>	
10:40am – 11:10am	<input type="checkbox"/> Simulate real-life trading activities during Continuous Trading Session <ul style="list-style-type: none"> <li>- Input/ cancel/ modify order or odd lot order</li> <li>- Input trade or odd lot trade</li> <li>- Capture dynamic market information (e.g. securities nominal price) and market news</li> </ul>

Time	Activities
	<ul style="list-style-type: none"> <li>- Conduct security trading on different securities in different markets</li> </ul> <p><i>(Note: Order price MUST NOT be more than +/- 20 spreads deviated from the nominal price.)</i></p>
<b>Simulated System Failure at Continuous Trading Session (11:10am – 12:10pm)</b>	
11:10am	<input type="checkbox"/> EPs should pay attention to HKEx's announcement of the contingency arrangement via Exchange News. The Exchange News will be available on AMS/3 Information Page (P.5100 – 5149 in English and P.5150 – 5199 in Chinese). If AMS/3 Information Pages are not available for news dissemination, a file of Exchange News will be sent out via Electronic Communication Platform (ECP) and EPs can download the news file via the user IDs of "TO" User Group.
After 11:10am	<p>For all participants</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Make order and trade enquiries and print out Trade Journal locally by using "TRAN ENQ", if applicable.</li> <li><input type="checkbox"/> Confirm with counter-parties on all manual trades input within 5 minutes before system crash, if applicable.</li> <li><input type="checkbox"/> Report any discrepancy to the Exchange.</li> </ul>
<b>Activation of Backup Trading System (Mode 2)</b>	
12:10pm	<p>For all participants</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Logon to AMS/3.8 host again</li> <li><input type="checkbox"/> Make order and trade enquiries and print out Trade Journal locally by using "TRAN ENQ", if applicable</li> <li><input type="checkbox"/> Confirm with counter-parties on all manual trades input within 5 minutes before system crash, if applicable</li> <li><input type="checkbox"/> Report any discrepancy to the Exchange</li> </ul>
<b>Order Cancel Session</b>	
12:20pm – 12:30pm	<input type="checkbox"/> Cancel outstanding orders individually as much as possible for rehearsal purpose
<b>Continuous Trading Session</b>	
12:30pm – 12:45pm	<input type="checkbox"/> Simulate real-life trading activities during Continuous Trading Session <ul style="list-style-type: none"> <li>- Input/ cancel/ modify order or odd lot order</li> <li>- Input trade or odd lot trade</li> <li>- Capture dynamic market information (e.g. securities nominal price) and market news</li> <li>- Conduct security trading on different securities in different markets</li> </ul> <p><i>(Note: Order price MUST NOT be more than +/- 20 spreads deviated from the nominal price.)</i></p>
<b>Exchange Intervention from 12:45pm to 12:50pm</b>	
<b>Day Close at 12:50pm</b>	
12:50pm	<input type="checkbox"/> Log off from AMS/3.8 host and perform end-of-day procedures For BSS : <ul style="list-style-type: none"> <li>- Perform any day-end processes to ensure database integrity</li> </ul>

Time	Activities
	<ul style="list-style-type: none"> <li>- Perform system log off and trader permanent sign off</li> <li>- Clean up the transaction data (e.g. orders and trades) entered during the market rehearsal from BSS (if applicable)</li> <li>- Perform closing price download (if needed – available at around 1:00pm – 1:15pm)</li> </ul> <p>For <b>MWS</b>:</p> <ul style="list-style-type: none"> <li>- Perform trader permanent sign off</li> <li>- Perform MWS end-of-trading procedures</li> <li>- Perform data import/export, if required (e.g. central trade feed export)</li> <li>- Maintain MWS local database such as client/user profile, if required</li> <li>- Perform supervisor trading system log off</li> <li>- Rollback in house/back office system to the AMS/3 production version, including restoration of relevant production database for next trading day (if applicable)</li> </ul> <p>For <b>On-floor and Off-floor Trading Terminal</b> :</p> <ul style="list-style-type: none"> <li>- Perform trader permanent sign off</li> </ul> <p><input type="checkbox"/> Leave all on-floor &amp; off-floor trading terminals, OG/MWS and OG/BSS components powered-on throughout the weekend</p> <p><input type="checkbox"/> <b>Complete and return the Feedback Form (Appendix D) to HKEx by fax (Fax No.: 2521-7899 or 2868-5223) or by email to ams3info@hkex.com.hk</b></p>
<b>Download Trade File</b>	
1:15pm – 1:45pm	<p>For <b>File Transfer System (“FTS”) subscribers only</b></p> <p><input type="checkbox"/> Check the consolidated trade file is successfully downloaded from FTS by using <b>production Participant ID and password</b></p>
<b>8 October 2012 (Monday)</b>	
Before 8:30am	<p><input type="checkbox"/> Log on to AMS/3.8 host</p> <p>For <b>On-floor Trading Terminal</b> :</p> <ul style="list-style-type: none"> <li>- Perform trader sign on</li> </ul> <p>For <b>Off-floor Trading Terminal</b> :</p> <ul style="list-style-type: none"> <li>- Perform smart card log on and trader sign on</li> </ul> <p>For <b>MWS</b> :</p> <ul style="list-style-type: none"> <li>- Ensure smart card log on for OG is done and perform start-of-trading procedures, trading system log on and trader sign on</li> </ul> <p>For <b>BSS</b> :</p> <ul style="list-style-type: none"> <li>- Ensure smart card log on for OG is done and perform BSS trading system log on to host and trader sign on if applicable</li> </ul> <p><input type="checkbox"/> Prepare for trading under AMS/3.8 production environment from 9:00am</p>



**Appendix C**  
**(For MR1 - 22 Sept 2012)**

**Feedback Form for TKODC Market Rehearsal on 22 September 2012 (MR1)**

**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 ams3info@hkex.com.hk on or before 24 September 2012**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626

**Section I Participant Information**

Participant Name	Participant ID
Contact Person	Contact No.

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

1. Did your trading device(s) encounter any unresolved connectivity or log on issues during the market rehearsal? <input type="checkbox"/> No <input type="checkbox"/> Yes, please specify : _____
2. Did your trading device(s) experience any unresolved system failure or interruption during the market rehearsal? <input type="checkbox"/> No <input type="checkbox"/> Yes, please specify : _____
3. If you have further comments about the market rehearsal, please specify below: _____

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

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



**Appendix D**  
**(For MR2 – 6 Oct 2012)**

**Feedback Form for TKODC Market Rehearsal on 6 October 2012 (MR2)**

**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 ams3info@hkex.com.hk on or before 8 October 2012**
3. For enquiry, please contact our Participant General Enquiry Hotline at 2840-3626

**Section I Participant Information**

Participant Name	Participant ID
Contact Person	Contact No.

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

1. Did your trading device(s) encounter any unresolved connectivity or log on issues during the market rehearsal? <input type="checkbox"/> No <input type="checkbox"/> Yes, please specify : _____
2. Did your trading device(s) experience any unresolved system failure or interruption during the market rehearsal? <input type="checkbox"/> No <input type="checkbox"/> Yes, please specify : _____
3. Did your trading device(s) encounter any difficulties in trading after trading resumed at Mode 1 and / or Mode 2 of system recovery? <input type="checkbox"/> No <input type="checkbox"/> Yes, please specify : _____
4. If you have further comments about the market rehearsal, please specify below: _____

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

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