

香港聯合交易所有限公司
(香港交易及結算所有限公司全資附屬公司)

THE STOCK EXCHANGE OF HONG KONG LIMITED
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

Subject: **NORTHBOUND INVESTOR ID MODEL – TECHNICAL DOCUMENTS AND TESTING ARRANGEMENTS**

Enquiry: **Participant General Enquiry Hotline (Tel : 2840 3626 E-mail : trd@hkex.com.hk)**

With reference to the Exchange Circular (Ref: [CT/097/17](#)) dated 30 November 2017, China Connect Exchange Participants (CCEPs) and Trade-through Exchange Participants (TTEPs) are requested to note the following items:

Update on Technical Documents

The Cash Market Secure File Transfer Technical Guide, the updated System File Interface Specification, and the updated China Connect Central Gateway (CCCG) Specification on the Northbound Investor ID Model have been posted under the dedicated "[Northbound Investor ID Model](#)" section of the Mutual Market website to facilitate market participants' preparation for the implementation of the Northbound (NB) Investor ID Model. CCEPs and TTEPs are advised to refer to the HKEX website from time to time for the latest version of the technical documents.

Testing Arrangements

All CCEPs are required to complete the offline simulator testing as a pre-requisite for participating in the End-to-End (E2E) testing afterwards. TTEPs are only required to participate in testing in relation to Broker-to-Client Assigned Number (BCAN) - Client Identification Data (CID) Mapping File (Mapping File) submission starting from the E2E testing.

The details and important dates of each test session are as follows:

Testing Activities	Mandatory for	Start Date	Submission Deadline for Satisfactory Test Results
Offline Simulator Testing Only for testing BCAN tagging to NB orders	CCEPs	Immediate	14 May 2018
End-to-End Testing			
Mapping File submission	CCEPs & TTEPs	21 May 2018	15 Jun 2018
BCAN tagging to NB orders	CCEPs		29 Jun 2018

An Offline Simulator Package for tagging BCAN to NB orders (Package) is now available for CCEP to download from the Electronic Communication Platform (ECP). The operational procedure for downloading the Package is in [Attachment 1](#). The Package is also available to BSS vendors by request via email to OTPC@hkex.com.hk.

CCEPs and TTEPs are reminded that they may need to arrange testing line installation as soon as possible to ensure that the testing line will be in place for E2E testing. Market rehearsals will commence upon satisfactory completion of E2E testing. Details of the E2E testing and market rehearsals will be announced in due course.

Sally Kwok
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