

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: **PRACTICE SESSION FOR ROLLING OUT ADDITIONAL SUBMISSION
FUNCTIONS OF ELECTRONIC COMMUNICATION PLATFORM 2.0 (ECP 2.0)**

Enquiry: **Participant General Enquiry Hotline¹ (Tel: 2840 3626 E-mail: trd@hkex.com.hk)**

With reference to the Exchange Circular (Ref No: [CT/116/22](#)), an **optional Practice Session** for rolling out additional submission functions of Electronic Communication Platform 2.0 (ECP 2.0) will be arranged on **12 November 2022 (Saturday)**. The relevant submission folders including the **Options Market Maker Jobbing Transaction Composite Reporting Form (SD-4)**, **BCAN Error Reports for Shanghai and Shenzhen Connect**, **Large Open Position Reports (LOPR)** and **Stock Options Market Making Affiliate Financial Statement** will be available for submission during the Practice Session. Exchange Participants (EPs), who are submitters of the listed folders, are strongly encouraged to participate in the Practice Session to verify their readiness for the final batch of folder migration to ECP 2.0. For details of available folders during Practice Session, please refer to Note 1 of the activity rundown ([Attachment 1](#)).

Practice Session Arrangements

To ensure smooth operations during the Practice Session, EPs who will participate in the Practice Session are required to take the following actions accordingly.

#	Date	Event	Details
1.	By 4 November 2022 (Friday)	LOPR Submitter's Enrollment	Applicable to LOPR Submitters ONLY LOPR submitters who will participate in the Practice Session are required to complete the online enrollment by 4 November 2022 (Friday).

¹ All calls to and from the Participant General Enquiry Hotline may be recorded. HKEX Privacy Policy Statement is available [here](#).

#	Date	Event	Details
2.	By 11 November 2022 (Friday)	ECP 2.0 Access Setup in Client Connect	- EPs are required to set up their access to ECP 2.0 by 11 November 2022 (Friday). No enrollment will be required except for LOPR submitters. - EPs' registered Delegated Administrators (DAs) should assign the correct functions to their business users for submitting the corresponding files in ECP 2.0. - For details, please refer to the Guidelines for Setting up the Access to ECP 2.0 via Client Connect and ECP 2.0 User Guide.
3.	12 November 2022 (Saturday)	Optional Practice Session	- EPs should ensure their access to ECP 2.0 via Client Connect has been properly set up prior to the Practice Session. - EPs should follow the activity rundown during the Practice Session (Attachment 1). The relevant submission folders will be enabled during the Practice Session but the files submitted will not be processed in the production.
4.	By 15 November 2022 (Tuesday)	LOPR Submitter's Confirmation	Applicable to LOPR Submitters ONLY After the completion of Practice Session, LOPR Submitters are required to email the completed LOPR Submitter's Confirmation Form (Attachment 2) to lophkfe@hkex.com.hk on or before 15 November 2022 (Tuesday).

Practice on using the Secure File Transfer Protocol (SFTP) service for LOPR submission

As Secure File Transfer Protocol (SFTP) service is already available in ECP 2.0, the existing SFTP service via DCASS Report Access Platform (RAP) for LOPR submission will be migrated to ECP 2.0. LOPR submitters who will use the SFTP service in ECP 2.0 should follow the [ECP 2.0 User Guide](#) to set up the Client Connect account, public key registration as well as the IP address prior to the Practice Session. LOPR submitters can then verify their submission by using SFTP during the Practice Session. If LOPR submitters have further enquiries, please send email to lophkfe@hkex.com.hk.

Decommission of the Existing ECP

Subject to the successful completion of the Practice Session, the relevant file submission and download functions will be migrated from the existing ECP to ECP 2.0 in early December 2022. The existing ECP will be decommissioned after the migration is completed. Detailed arrangement will be announced in due course.

For enquiries regarding this project, please contact the ECP Support Team at ecpadmin@hkex.com.hk.

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