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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: MANDATORY PRACTICE SESSION FOR MIGRATION OF NORTHBOUND (NB) BROKER-TO-CLIENT ASSIGNED NUMBER (BCAN) FILE SUBMISSION AND DOWNLOAD FUNCTIONS TO ELECTRONIC COMMUNICATION PLATFORM (ECP)**

**Enquiry: Participant General Enquiry Hotline<sup>1</sup> (Tel: 2840 3626 E-mail: [trd@hkex.com.hk](mailto:trd@hkex.com.hk))**

Following the completion of End-to-End (E2E) test (Ref. No.: [CT/033/23](#)), a **mandatory Practice Session** for migration of Northbound (NB) Broker-to-Client Assigned Number (BCAN) file submission and download functions to Electronic Communication Platform (ECP) (the Migration) will be arranged on **13 May 2023 (Saturday)**. **All China Connect Exchange Participants (CCEPs) and Trade-through Exchange Participants (TTEPs) are required to participate in the Practice Session to verify their readiness before production migration.**

To ensure smooth operations during the Practice Session, CCEPs and TTEPs are required to take the following actions accordingly.

| # | Date & Time             | Events                             | Details                                                                                                                                                                                                                                                                                                                                                        |
|---|-------------------------|------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | By 5 May 2023 (Friday)  | Practice Session Notification Form | <ul style="list-style-type: none"><li>All CCEPs and TTEPs are required to submit the notification form (<a href="#">Attachment 1</a>) via <a href="#">ECP</a> by <b>5 May 2023 (Friday)</b> to designate their contact persons and indicate whether they will participate in the optional Post Test Verification Session after the Practice Session.</li></ul> |
| 2 | By 12 May 2023 (Friday) | Set up user access in HKEX Access  | <ul style="list-style-type: none"><li>The registered Delegated Administrators (DA) of CCEPs and TTEPs are required to create/ update business user accounts with the required</li></ul>                                                                                                                                                                        |

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

| #  | Date & Time                 | Events                                           | Details                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|----|-----------------------------|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|    |                             | Management Portal <sup>2</sup>                   | <p>business functions prior to the Practice Session, i.e. EU_ECPNBCAN for web interface, or both EU_ECPNBCAN and EU_ECPSFTP for Secure File Transfer Protocol (SFTP) interface. For details of function assignment, please refer to <a href="#">Guidelines for setting up the Access to ECP via Access Management Portal</a> and <a href="#">ECP User Guide</a>.</p> <ul style="list-style-type: none"> <li>• If CCEPs/TTEPs use SFTP service for NB BCAN file submission, please ensure the required business functions, public key registration and IP addresses are properly set up in the business user accounts. For more details of SFTP setup, please refer to <a href="#">ECP User Guide</a>.</li> </ul> |
| 3  | 13 May 2023<br>(Saturday)   | <b>Mandatory</b><br>Practice Session             | <ul style="list-style-type: none"> <li>• All CCEPs and TTEPs are required to participate in the <b>mandatory</b> Practice Session.</li> <li>• CCEPs and TTEPs should ensure their business user accounts have been properly set up with the required business functions.</li> <li>• CCEPs and TTEPs should follow the activity rundown (<a href="#">Attachment 2</a>) during the Practice Session. The relevant NB BCAN folders will be enabled during the Practice Session. <b>All files submitted during the Practice Session will be removed after the Practice Session and will not be effective in production.</b></li> </ul>                                                                               |
| 4. | By 16 May 2023<br>(Tuesday) | Declaration of<br>Readiness for the<br>Migration | <ul style="list-style-type: none"> <li>• After the successful completion of the Practice Session, <b>all CCEPs and TTEPs are required to complete and submit the declaration form (<a href="#">Attachment 3</a>) via <a href="#">ECP</a> by 16 May 2023 (Tuesday).</b></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                |

<sup>2</sup> Previously known as HKEX Client Connect.

Subject to the successful completion of the Practice Session, production migration will be tentatively scheduled in June. Detailed arrangement will be announced in due course.

**Herman Sin**  
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