

香港聯合交易所期權結算所有限公司

(香港交易及結算所有限公司全資附屬公司)

THE SEHK OPTIONS CLEARING HOUSE LIMITED

(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

通告 CIRCULAR

事項： 2025 年 7 月 19 日 DCASS / CCMS 系統數據中心復原常規演習

查詢： DCASS 熱線 2979 7222¹ / 電郵 clearingpsd@hkex.com.hk

香港交易及結算所有限公司 (「香港交易所」) 將於 2025 年 7 月 19 日 (星期六) 舉行 DCASS / CCMS 系統數據中心復原常規演習 (「演習」)。

演習之目的為讓結算所參與者及有關人士能於 DCASS / CCMS 系統數據中心復原期間熟習其應變程序。是次演習亦會涵蓋香港交易所其他系統包括領航星交易平台 - 證券市場 (「OTP-C」)、中華證券通 (「OTP-CSC」)、HKATS 電子交易系統、中央結算系統 (「CCASS」)、場外交易結算及交收系統 (「OCASS」)、結算門戶網站 (「OASIS」) 及香港交易所領航星市場數據平台 (「OMD」)。

香港交易所現誠邀結算所參與者透過其 DCASS Online、DCASS OAPI 程式 (如適用)、CCMS 終端機及報表檢索方法參加是次演習。結算所參與者如有意參加，請於 **2025 年 7 月 11 日或以前** 透過 [Client Connect](#)² 「活動」登記。結算所參與者參加於同日進行的 HKATS 系統數據中心復原常規演習需另行登記。

結算所參與者可參閱附件資料文件 (只提供英文版) 了解是次演習之程序表及指引，香港交易所建議結算所參與者細讀資料文件及於當天跟從指示進行演習。

香港交易所強烈鼓勵結算所參與者須與其資訊科技部門及 / 或系統供應商協調是次演習所需的準備，並須確保於演習期內有足夠營運人員、資訊科技部門及 / 或系統供應商提供支援。

¹ 所有查詢熱線之通話可能會被錄音。請[按此](#)參閱香港交易所的隱私聲明。

² 登記函內的個人資料會根據香港交易所的[隱私聲明](#)處理。

如有任何查詢，請致電 DCASS 查詢熱線 2979 7222 或電郵 clearingpsd@hkex.com.hk。

營運科

交易後業務

高級副總裁

張錦灝 謹啟

本通告已以英文及另以中文譯本刊發。如本通告中文本的字義或詞義與英文本有所出入，概以英文本為準。



DCASS / CCMS Data Centre Failover Rehearsal

(19 July 2025)

Information Package

for

HKCC/SEOCH Participants

Issue Date: 23 June 2025

Table of Contents

1. INTRODUCTION.....	1
2. OBJECTIVE AND SCOPE	1
2.1 OBJECTIVE	1
2.2 SCOPE.....	1
3. IMPORTANT NOTES TO HKCC/SEOCH PARTICIPANTS	2
3.1 TECHNICAL SETUP FOR THE REHEARSAL	2
3.2 PREPARATION AND EXECUTION FOR THE REHEARSAL.....	2
4. SCHEDULE AND ARRANGEMENTS.....	3
4.1 OVERVIEW	3
4.2 SCHEDULE AND TIMETABLE	4
4.3 USER ID AND LOGIN PASSWORD	6
4.4 REHEARSAL ENVIRONMENT	6
4.5 TRANSACTIONS TO BE EXECUTED	7
4.6 REPORT DOWNLOAD	7
4.7 PRE-REHEARSAL ARRANGEMENT	7
4.8 POST-REHEARSAL ARRANGEMENT	7
4.9 REHEARSAL CONFIRMATION	7
5. SEVERE WEATHER CONDITIONS ARRANGEMENTS	8
6. COMMUNICATION CHANNELS.....	8
7. HELP DESK.....	8
APPENDIX A: Checklist for DCASS Data Centre Failover Rehearsal	9
APPENDIX B: Data Setup and Execution Requirements.....	10
APPENDIX C: DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form	12
APPENDIX D: Rehearsal Arrangement for CCMS Data Centre Failover	16

1. Introduction

As a market operator, Hong Kong Exchanges and Clearing Limited (“HKEX”) has its own contingency plan in place for possible scenarios that would cause interruption to its operations. One of the scenarios is the failure of primary data centre which would trigger a failover to the secondary data centre. To enable HKCC / SEOCH Participants (“CPs”) and related parties to familiarize themselves with the contingency procedures for the failover of DCASS / CCMS data centre, HKEX will conduct a regular DCASS / CCMS data centre failover rehearsal (“the Rehearsal”) on Saturday, 19 July 2025.

CPs are cordially invited to participate in the Rehearsal. During the Rehearsal, CPs will be requested to perform post-trade transactions before and after the failover is triggered.

This Information Package is designed to assist CPs in planning and preparing for the Rehearsal. CPs should read this Information Package carefully and make necessary preparation before participating in the Rehearsal. CPs should also pass a copy of this document to their IT support teams or system vendors to ensure proper technical support is available before and during the Rehearsal.

2. Objective and Scope

2.1 Objective

The objective of the Rehearsal is to enable CPs and related parties to familiarize themselves with the contingency procedures for the failover of DCASS / CCMS data centres.

CPs holding CCASS Participants may also participate in the CCASS data centre failover rehearsal. As CCMS shares the same infrastructure and failover arrangement of CCASS, it is optional for CPs to participate separately in the CCMS data centre failover rehearsal. For details about the CCMS data centre failover rehearsal, please refer to Appendix D.

2.2 Scope

The Rehearsal will consist of two parts:

Before failover

- 1st T Session

After failover

- 2nd T Session
- T+1 Session

CPs are required to complete BOTH the 1st and 2nd T Sessions. T+1 Session is optional and only applicable for those HKCC Participants who support clearing activities during that period.

3. Important Notes to HKCC/SEOCH Participants

3.1 Technical Setup for the Rehearsal

To facilitate the preparation of the Rehearsal, after CPs have completed their DCASS operations on Friday, 18 July 2025, until the day end of Saturday, 19 July 2025, CPs must ensure the followings:

- i) correct Google Chrome browser (136.0.7103.93) has been installed in the CP's DCASS Online workstations;
- ii) production URL is ready to logon DCASS Online;
- iii) for CPs using DCASS OAPI program(s): Certified and tested OAPI programs are in place;
- iv) The connectivity of HKEX SFTP Facility (Report Retrieval Solution) to both primary (10.151.14.141 or 10.151.14.142, port 18801) and secondary data centre (10.152.14.141 or 10.152.14.142, port 18801), the relevant network configuration (e.g. firewall) is ready

CPs will be notified via email when their production DCASS Online are ready for verification. CPs should perform connectivity verification as follows:

- i) Login their DCASS Online
- ii) Verify the availability of production reports / files
- iii) Verify Friday's trade history against their production records
- iv) Send email to HKEX for connectivity confirmation

3.2 Preparation and Execution for the Rehearsal

CPs should note the following arrangements for the preparation and execution of the Rehearsal:

- i) CPs are required to login DCASS via their DCASS Online / OAPI programs, where applicable, at 11:00 a.m. promptly to start the Rehearsal on time.
- ii) Staff of CPs must have experience in conducting DCASS related activities for their daily business operations, and shall use the **production user IDs as of 2 July 2025 start of day with the testing password "hkex388testing1\$"** ^{Note1} **to access DCASS during the Rehearsal**. Besides, CPs should ensure their participating staff members have appropriate user function access right to perform the required clearing activities at DCASS during the Rehearsal. **CPs' DCASS Administrators are not encouraged to change the users function access during the Rehearsal because it will take time to be effective.**

Note 1: This testing password will only be applicable for testing during the Rehearsal

- iii) CPs should ensure that they have access to the emails of the designated contact persons for the Rehearsal and the contact no. of these designated contact persons are reachable in order to receive emergency messages from HKEX during the Rehearsal.
- iv) **For those CPs who are using vendor-developed OAPI programs, please communicate with the system vendor** to ensure that their OAPI programs will be available during the Rehearsal.
- v) CPs should refer to the “**Checklist for Data Centre Failover Rehearsal**” set forth in Appendix A for the action items to be performed before, during and after the Rehearsal. In order to achieve the testing objectives, participating users should familiarize themselves with the requirements and procedures prior to the Rehearsal.
- vi) CPs should have the system administrator ID(s) and password(s) of their internal systems ready throughout the Rehearsal in case technical trouble-shooting is required.
- vii) CPs are recommended to maintain a proper audit trail in respect of each transaction input during the Rehearsal in accordance with the policy currently adopted by them. The responsible officer or his/her designate of each participating CP should be present during the Rehearsal to supervise the testing process and to be responsible for relaying any issues arising during the Rehearsal to HKEX. CPs should execute post-trade transactions via DCASS Online / OAPI programs during the Rehearsal with the “**Data Setup and Execution Requirements**” set forth in Appendix B.
- viii) CPs shall complete and return the duly signed “**DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form**” as set forth in Appendix C to clearingpsd@hkex.com.hk before 5:00 p.m. on Saturday, 19 July 2025.

4. Schedule and Arrangements

4.1 Overview

The Rehearsal will be conducted on Saturday, 19 July 2025. During the Rehearsal, trades executed via HKATS and pre-defined trades provided by HKEX will be transmitted to and captured by DCASS, which will be available for CPs to perform post-trade activities.

4.2 Schedule and Timetable

CPs are requested to ensure their DCASS Online / OAPI programs, where applicable, will be available during the Rehearsal.

Execution Date: 19 July 2025 (Saturday)

System Date: 19 July 2025 (Saturday)

TESTING TIME FROM To		DCASS PROCESSING	REMARKS						
19 Jul 2025		Start of 1 st T Session – Primary Data Centre							
11:00 a.m.	11:30 a.m.	Perform DCASS connectivity - For DCASS Online, CPs are required to login via either of the below URLs: https://pgencdw001.hkex.com.hk:8082/login https://pgencdw002.hkex.com.hk:8082/login https://pgenrgw001.hkex.com.hk:8082/login https://pgenrgw002.hkex.com.hk:8082/login - For OAPI connection (same as current production setting): <table border="1"><thead><tr><th>Gateway</th><th>IP Address Range</th></tr></thead><tbody><tr><td>Primary CG</td><td>10.151.5.81 or 10.151.5.82</td></tr><tr><td>Backup CG</td><td>10.151.5.83</td></tr></tbody></table>	Gateway	IP Address Range	Primary CG	10.151.5.81 or 10.151.5.82	Backup CG	10.151.5.83	CPs login DCASS Online / OAPI programs by using production user IDs as of 2 July 2025 start of day with the testing password “hkex388testing1\$”.
Gateway	IP Address Range								
Primary CG	10.151.5.81 or 10.151.5.82								
Backup CG	10.151.5.83								
11:30 a.m.	12:30 p.m.	- DCASS on-line session ready - CPs perform post-trade transactions	Please refer to Appendix B for execution requirements						
12:30 p.m.		Close of 1 st T Session							
12:15 p.m. to 12:30 p.m.		Simulate contingency situation occurred at HKEX’s Primary Data Centre							
12:30 p.m. to 1:25 p.m.		Failover to HKEX’s Secondary Data Centre							
1:25 p.m.		- Before Start of 2nd T Session, CPs close all windows that being kicked out before failover and re-login DCASS - Start of 2nd T Session – Secondary Data Centre							

TESTING TIME		DCASS PROCESSING	REMARKS						
FROM	To								
1:25 p.m.	1:45 p.m.	DCASS is ready for CPs to re-login via DCASS Online / OAPI programs - For DCASS Online, CPs are required to login via either of the below URLs: https://sgencdw001.hkex.com.hk:8082/login https://sgencdw002.hkex.com.hk:8082/login https://sgenrgw001.hkex.com.hk:8082/login https://sgenrgw002.hkex.com.hk:8082/login - For OAPI connection (same as current production setting): <table><tr><th>Gateway</th><th>IP Address Range</th></tr><tr><td>Primary CG</td><td>10.152.5.83 or 10.152.5.84</td></tr><tr><td>Backup CG</td><td>10.152.5.85</td></tr></table> - CPs to verify the post-trade transactions input before failover - Report Retrieval Solution at secondary data centre is ready for CPs to re-login via their SFTP facility - CPs are required to login via below IPs and check the availability of production reports 10.152.14.141 port 18801 10.152.14.142 port 18801	Gateway	IP Address Range	Primary CG	10.152.5.83 or 10.152.5.84	Backup CG	10.152.5.85	CPs do NOT need to perform post-trade transactions during verification
Gateway	IP Address Range								
Primary CG	10.152.5.83 or 10.152.5.84								
Backup CG	10.152.5.85								
1:45 p.m.	3:15 p.m.	CPs perform post-trade transactions	Please refer to Appendix B for execution requirements						
3:15 p.m.		Close of 2nd T Session							
		- CPs logout from DCASS if they opt not to proceed to T+1 Session - CPs complete and return the duly signed “DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form” to clearingpsd@hkex.com.hk before 5:00 p.m. on 19 July 2025	Please refer to Appendix C for the DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form						
3:30 p.m.		Start of T+1 Session							
3:30 p.m.	4:00 p.m.	CPs perform post-trade transactions (Note: Position related post-trade transactions are not allowed)	Please refer to Appendix B for execution requirements						
4:00 p.m.		Close of T+1 Session							
4:15 p.m.		End of Rehearsal							

TESTING TIME FROM To		DCASS PROCESSING	REMARKS
Before 4:15 p.m.		CPs logout from DCASS	- Clean all testing data in OAPI programs - Reset OAPI login password, where necessary, for the coming business day on 21 July 2025
Before 5:00 p.m.		CPs complete and return the duly signed “DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form” to clearingpsd@hkex.com.hk before 5:00 p.m. on 19 July 2025	Please refer to Appendix C for the DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form
20 Jul 2025		Post Rehearsal Health Check (CPs are highly recommended to join)	
9:00 a.m.	11:00 a.m.	- DCASS on-line is ready for CPs to perform connectivity verification to production network via DCASS Online - CPs should login DCASS Online via either of the below URLs: https://pgencdw001.hkex.com.hk:8082/login https://pgencdw002.hkex.com.hk:8082/login https://pgenrgw001.hkex.com.hk:8082/login https://pgenrgw002.hkex.com.hk:8082/login - Report Retrieval Solution is ready for CPs to perform connectivity verification to production network - CPs should login via below IPs and check the availability of production reports: 10.151.14.141 port 18801 10.151.14.142 port 18801	HKEX re-connects DCASS and Report Retrieval Solution to production network

4.3 User ID and Login Password

CPs should use their production user IDs as of 2 July 2025 start of day and testing password “**hkex388testing1\$**” to access DCASS via DCASS Online and/or OAPI programs during the Rehearsal.

4.4 Rehearsal Environment

When CPs login to DCASS, they will be simulating production operation as if 19 July 2025 is a normal business day. HKEX will prepare pre-defined trades dated 19 July 2025 for each CP.

4.5 Transactions to be Executed

CPs should execute post-trade transactions via DCASS Online and/or OAPI programs, where applicable, during the Rehearsal. CPs should refer to the **“Data Setup & Execution Requirements”** as set forth in Appendix B for details.

4.6 Report Download

No reports will be produced for the rehearsal environment. However, CPs can retrieve their historical DCASS production reports via Report Retrieval Solution during the Rehearsal.

4.7 Pre-Rehearsal Arrangement

If CPs would use their production Back Office System (“BOS”) to perform the Rehearsal, they should ensure that their production BOS data are properly backed up before the Rehearsal. Data restore procedures should also be prepared before the Rehearsal so that production data can be restored to their production BOS after the on-line session of the Rehearsal. CPs should discuss the issue with their in-house IT team or BOS vendor before the Rehearsal if such procedures are required.

CPs using OAPI during the Rehearsal should make sure that their OAPI applications are NOT connected to their production environment. Besides, CPs are requested to ensure their back-up and restore procedures are readily in place to clean-up and resume their system back to production image after the Rehearsal.

4.8 Post-Rehearsal Arrangement

CPs with OAPI are reminded to do clean-up and make sure that their corresponding OAPI used in the Rehearsal has been resumed to production image and ready for normal business activities on the next business day, Monday, 21 July 2025.

4.9 Rehearsal Confirmation

CPs are required to complete and return the duly signed “DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form” in Appendix C and return to clearingpsd@hkex.com.hk via email before 5:00 p.m. on Saturday, 19 July 2025.

5. Severe Weather Conditions Arrangements

If severe weather conditions is issued or continues to be in force at or after 9:00 a.m. on the day of Rehearsal, the Rehearsal will be cancelled and will not be resumed for the rest of the day.

In case severe weather conditions is issued after the start of the Rehearsal, the Rehearsal will be terminated 15 minutes thereafter.

In case Black Rainstorm Warning is issued during the Rehearsal, all scheduled activities of the Rehearsal will continue as normal.

6. Communication Channels

Before the Rehearsal, i.e. approximately two hours (i.e. 9:00 a.m. on 19 July 2025), CPs can call DCASS Hotline at 2979-7222 to check whether the Rehearsal will be held according to schedule.

Under normal situation, HKEX will communicate with the designated contact persons of the CPs during the Rehearsal via email and/or phone calls.

In the event of cancellation or postponement of the Rehearsal if contingency happened two hours before the Rehearsal starts (i.e. **9:00 a.m. on 19 July 2025**) due to unexpected situations, HKEX will inform CPs of the ad-hoc arrangements via emails and/or phone calls.

CPs should ensure that their nominated person(s) will be reachable during the prescribed time and the relevant email addresses and mobile phone numbers submitted to HKEX are accurate.

7. Help Desk

For any queries during the preparation and execution of the Rehearsal, CPs can contact DCASS Hotline at **2979-7222** for assistance.

APPENDIX A: Checklist for DCASS Data Centre Failover Rehearsal

ITEMS TO BE CHECKED		✓
(A) Before the Rehearsal		
1	Have you read and understood this document ("DCASS / CCMS Data Centre Failover Rehearsal - Information Package for HKCC/SEOCH Participants")?	
2	Have you (if necessary) passed this document to your internal IT support team or system vendor and ensured that they would make follow-up action?	
3	Have you ensured that the participating users have appropriate user function access to perform the required activities in DCASS and/or your internal systems during the Rehearsal?	
4	If you are using vendor-developed OAPI programs , have you communicated with the system vendor to ensure that their OAPI programs will be available during the Rehearsal?	
5	For connecting your OAPI in the Rehearsal, have you ensured that proper procedures are in place to switch to testing environment without affecting the existing production OAPI, and that restore procedures are in place?	
6	Have you established appropriate procedures to restore your production version of internal system / OAPI (if applicable) upon completion of the Rehearsal and verification control to ensure system readiness for normal business operations on the following business day after the Rehearsal (i.e. Monday, 21 July 2025)?	
7	Have you discussed with your trading operation team about the coordination in preparation and execution of the Rehearsal if they would also participate in the Rehearsal?	
8	Have you arranged IT and/ or system vendor support with appropriate system administration ID during the Rehearsal in case there is any technical problem?	
(B) On 19 July 2025, before executing test cases		
1	Have your designated contact person(s) of the Rehearsal already logged on their email accounts to obtain announcement during the Rehearsal?	
2	Have you performed all required post-trade activities?	
(C) After the Rehearsal		
1	Have you cleaned up all testing data in your OAPI and BOS, if applicable?	
2	Have you ensured that your OAPI has been restored to production after completing the Rehearsal?	
3	Have you reset your OAPI login password for normal business activities on Monday, 21 July 2025, if applicable?	
4	Have you submitted the duly signed "DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form" (Appendix C) before 5:00 p.m. on Saturday, 19 July 2025?	

APPENDIX B: Data Setup and Execution Requirements

(1) Post-trade Transactions in DCASS

The following dummy Participant will act as the counterparty of the post-trade transactions executed by CPs.

DCASS Customer Code: CCCC

Company Name: CCC Company Limited

(2) Pre-defined Trades in DCASS

HKCC

- Pre-defined trades for HSI and MHI series of Trade Date Friday, 18 July 2025, Series and Free Text will be available in DCASS **Omnibus Client** account for each HKCC CP
- Pre-defined **Give-up** trades of HSI and MHI series of Trade Date Saturday, 19 July 2025 will be available for HKCC Participants to proceed for **Take-up** or **Reject**

Trade Date	Session	Series	Buy/Sell (no. of lots)	Free Text
18 July 2025	T+1 Session	HSIU5	Buy (110)	NTDTRADE1
		HSIU5	Sell (100)	NTDTRADE1
		MHIU5	Buy (110)	NTDTRADE1
		MHIU5	Sell (100)	NTDTRADE1
19 July 2025	1 st T Session	HSIU5	Buy (30)	B4FAILOVER
		HSIU5	Sell (20)	B4FAILOVER
		MHIU5	Buy (30)	B4FAILOVER
		MHIU5	Sell (20)	B4FAILOVER
	2 nd T Session	HSIU5	Buy (30)	AFTERFAILOVER
		HSIU5	Sell (20)	AFTERFAILOVER
		MHIU5	Buy (30)	AFTERFAILOVER
		MHIU5	Sell (20)	AFTERFAILOVER
	T+1 Session	HSIU5	Buy (30)	NTDTRADE2
		HSIU5	Sell (20)	NTDTRADE2
		MHIU5	Buy (30)	NTDTRADE2
		MHIU5	Sell (20)	NTDTRADE2

SEOCH

- Pre-defined **Give-up** trades of stock options series of Trade Date 19 July 2025 will be available for SEOCH Participants to proceed for **Take-up** or **Reject**

Trade Date	Session	Series	Buy/Sell (no. of lots)	Free Text
19 July 2025	1 st T Session	HEX380.00I5	Buy (210)	B4FAILOVER
		HEX380.00I5	Sell (200)	B4FAILOVER
		HEX380.00U5	Buy (110)	B4FAILOVER
		HEX380.00U5	Sell (100)	B4FAILOVER
	2 nd T Session	HEX380.00I5	Buy (210)	AFTERFAILOVER
		HEX380.00I5	Sell (200)	AFTERFAILOVER
		HEX380.00U5	Buy (110)	AFTERFAILOVER
		HEX380.00U5	Sell (100)	AFTERFAILOVER

(3) Execution Requirements

Execution Date	19 July 2025
System Date	19 July 2025
DCASS	Clearing Operation: At least 1 transaction of each post-trade types below has to be input by the CPs during (i) 1st T Session; (ii) 2nd T Session; and (iii) T+1 Session (<i>only applicable for those HKCC Participants who support clearing activities during T+1 Session</i>): • Give-up • Rectify trade • Internal position transfer (<i>only applicable for 1st and 2nd T Sessions</i>) • Cross product netting (<i>only applicable for 1st and 2nd T Sessions</i>)
Success Criteria	1. CPs can successfully invoke and perform DCASS functions before and after failover; and 2. CPs have verified that after failover, those post-trade transactions previously input before failover are correct and complete.

APPENDIX C: DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form

Form submission deadline: 5:00 p.m. 19 July 2025

To: Hong Kong Exchanges and Clearing Limited

Email: clearingpsd@hkex.com.hk

DCASS Hotline: 2979-7222

From: (Full Name of * HKCC / SEOCH / Both HKCC & SEOCH Participant)

* Please delete where appropriate

DCASS Customer Code: | Contact Person: Tel No.:

The form should be completed by the individual who took part in the Rehearsal and signed off by a responsible officer.

1. Did you encounter any problem on DCASS Online / CCMS Terminal / OAPI program / Report Retrieval Solution when performing post-trade transactions during the Rehearsal?

☐ No
☐ Yes, please provide details.

2. After failover, did you encounter any discrepancy for those post-trades input before failover?

☐ No
☐ Yes, please provide details.

3. Did you encounter any problem when perform the necessary clean-up and resume your DCASS Online / CCMS Terminal / OAPI / BOS back to production environment for normal business activities on the coming Monday?

☐ No
☐ Yes, please provide details.

Authorized Signature(s)

(with company chop, ONLY applicable if it forms part of your signing instruction)

Name of Signatories:)

Date:

Thank you for completing the Confirmation Form

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:
Personal Data Privacy Officer
Hong Kong Exchanges and Clearing Limited
8/F., Two Exchange Square
8 Connaught Place
Central
Hong Kong

By Email:
DataPrivacy@HKEX.COM.HK

APPENDIX D: Rehearsal Arrangement for CCMS Data Centre Failover

1. Technical Setup of CCMS Terminal for the Rehearsal

Before the Rehearsal day, CPs should ensure their workstations are configured according to the CCASS (CCMS) Terminal Installation Procedures on Client Connect, especially the following sections which may affect connectivity after switching to secondary data centre:

A. Section 4.2 – configure the required Domain Name System (DNS) server IP as follows:

- Preferred DNS: 10.243.1.1 (UDP Port 53)
- Alternate DNS: 10.243.65.1 (UDP Port 53); and

B. Section 4.5 – verify the DNS setup and connectivity to the Alternate DNS

C. Section 5.3 – configure Compatibility View Settings

D. Section 5.4 – configure Local Intranet Settings

E. Section 5.5 – disable Certificate Revocation Check

Furthermore, CPs should note the following arrangements for the preparation and execution of the Rehearsal:

2. Important Notes to CPs

CPs should note the following arrangements before, during and after the CCMS data centre failover rehearsal (“the CCMS Rehearsal”):

- a) CPs should logon their CCMS Terminals **at 11:30 a.m. promptly to start the CCMS Rehearsal** on 19 July 2025.
- b) CPs should use their production CCMS Terminals.
- c) Due to the CCMS Rehearsal, CCMS services including on-line enquiries and report download for production will be suspended on 19 July 2025.
- d) In case CP not using HKEX provided DNS services to access CCMS, please arrange staff with experience to update the host table or change IP addresses during the CCMS Rehearsal.
- e) CP using host table to access CCMS, should check and ensure the domain for CCMS 2FA Server will be resolved to the following IP addresses in the **host table** during the respective sessions in the CCMS Rehearsal:

Session	IP Address	CCMS 2FA URL
Session 1: Primary Data Centre	10.243.2.15	sso.hkexpostrade.com.hk
Session 2: Secondary Data Centre	10.243.66.15	sso.hkexpostrade.com.hk
After completion of Rehearsal	Follow the IP addresses shown for Session 1	

Please refer to section 3 under Appendix D for detail schedule.

However, there is NO change for CCMS URL (<https://www.ccass.com>) and the IP address of domain of CCMS (www.ccass.com)

- f) CP using **IP addresses** to access CCMS 2FA server, before conducting DR connectivity, should check and ensure the CCMS's 2FA server IP address has been changed from primary connection to secondary connection, i.e. 10.243.66.15.
Before re-connecting to Primary Data Centre after DR connectivity (please refer to section 4.2 for detail schedule), resume to primary connection, i.e. 10.243.2.15.
- g) The staff of CPs who will participate in the CCMS Rehearsal must have experience in using CCMS in their daily business activities, and have the registered email address/ mobile device for receiving One-Time-Password (OTP) and regular passwords for accessing CCMS by Two-Factor-Authentication (2FA) during the CCMS Rehearsal. Also, CPs should ensure that the participating staff has completed the first time login process, please refer to Appendix C of Information Package for Launch of 2FA for the first time login arrangement.
- h) CPs should ensure that the participating staff will be able to perform or access the required CCMS functions. The Delegated Administrators (DA) of CPs are encouraged NOT to change any user function access during the CCMS Rehearsal as it will take time to take effect.
- i) The CCMS reports/data files available in the CCMS Rehearsal are for reference only. CPs should not rely on such CCMS reports/data files for production use.
- j) ***CPs are reminded to remove ALL their testing data and downloaded CCMS reports/data files used in the CCMS Rehearsal from their production CCMS Terminals to avoid any mis-use during normal CCMS operations on next business day.***
- k) If CPs would use their production Back Office System (BOS) to perform the CCMS Rehearsal, they should ensure that their production BOS data are properly backed up before the CCMS Rehearsal. A data restore procedure should also be in place before the CCMS Rehearsal so that production data can be restored to their production BOS after the on-line sessions of the CCMS Rehearsal. CPs should discuss the issue with their in-house IT team or BOS vendor before the CCMS Rehearsal if such procedures are required.
- l) ***CPs who use BOS in the CCMS Rehearsal are reminded to do clean-up and make sure that their corresponding BOS used in the CCMS Rehearsal has been resumed to production image and ready for normal business activities on the next business day.***
- m) CPs should also ensure network equipment is powered up and connected at all times before and after the CCMS Rehearsal.
- n) CPs should refer to the Checklist in Section (9) and the Schedule and Timetable listed in Section (2) for the action items to be performed before, during and after the CCMS Rehearsal for preparation and execution. In order to achieve the objectives, it is imperative that CPs follow the CCMS Rehearsal checklist and rundown. CPs should ensure their participating staff is familiar with the requirements and procedures prior to participating in the CCMS Rehearsal.
- o) **In addition, CPs are recommended to maintain a proper audit trail in respect of each transaction performed during the CCMS Rehearsal. A responsible officer or his/her designate of each participating CP is advised to be present**

during the CCMS Rehearsal to supervise the testing process and to be responsible for relaying any issues arising during the CCMS Rehearsal to HKEX. In any event, it is recommended that an internal briefing should be held by each CP prior to the CCMS Rehearsal to ensure that (i) staff involved fully understand all requirements and procedures and (ii) proper arrangements have been put in place by the CP to comply with the CCMS Rehearsal requirements.

- p) CPs should ensure that they have access to the emails of the designated contact persons for the CCMS Rehearsal and the contact no. of these designated contact persons are reachable in order to receive emergency messages from HKEX during the CCMS Rehearsal.
- q) CPs should coordinate with their IT teams and/or vendors for necessary preparation for the Rehearsal. Moreover, CPs should secure sufficient support from their IT teams and/or vendors at all times during the Rehearsal. Administrator accounts on the CCMS Terminals should be ready to correct PC configurations for the terminals if necessary.

3. Schedule and Arrangement

3.1 Schedule and Timetable

During the CCMS Rehearsal, CPs should follow the schedule and timetable as follows:

Execution Date: 19 July 2025 (Saturday)

Logical Date: 19 July 2025 (Saturday)

TIME FROM TO		CCMS PROCESSING	REMARKS
19 July 2025 (Saturday) Before Failover – On-line Session at Primary Data Centre (Session 1)			
11:30 a.m.	12:00 noon	Logon to CCMS via the hyperlink: https://www.ccass.com	CPs are advised to report duty no later than 11:00 a.m. on the CCMS Rehearsal day.
12:00 noon	12:30 p.m.	- CPs are recommended to perform the following: On-line enquiry and maintenance: - Enquire Collateral Account Balance - Add Pending Cash Collateral Deposit Order - Report retrieval: - Collateral Account Balance Report (CCMCA02) as of 18 July 2025	- Only on-line maintenance, including enquiry and report download are available - NO batch processing will be available. - NO payment instruction will be generated for cash deposit. - CPs can also try other enquiry transactions if they have completed the required transactions. - CCMS transactions performed during Session 1 will be available for enquiry during Session 2

TIME FROM		TO	CCMS PROCESSING	REMARKS
12:15 p.m. to 12:30 p.m.			Simulate contingency situation occurred at HKEX's Primary Data Centre	
12:15 p.m.	2:30 p.m.	Failover to HKEX's Secondary Data Centre		
After Failover – CCMS On-line Session at Secondary Data Centre (Session 2)				
2:30 p.m.	4:00 p.m.	Connectivity to secondary data centre - Re-login to CCMS via the hyperlink: https://www.ccass.com 1. On-line enquiry and maintenance: - Enquire Collateral Account Balance - Add Pending Cash Collateral Deposit Order 2. Report retrieval: Collateral Account Balance Report (CCMCA02) as of 18 July 2025 3. Data verification: - Enquire Deposit/Withdrawal Order - Verify if the pending cash collateral deposit order inputted during Session 1 is available for enquiry - Verify if the collateral account balance after the failover is the same as the balance before the failover Note: - The reports retrieved during Session 2 would be the same as those retrieved during Session 1 - Only on-line maintenance, including enquiry and report download are available - NO batch processing will be available. - NO payment instruction will be generated for cash deposit. - CPs can also try other enquiry transactions if they have completed the required transactions. - CCMS transactions performed during Session 1 will be available for enquiry during Session 2		

TIME FROM	TO	CCMS PROCESSING	REMARKS
4:00 p.m.		CCMS On-line Session closes CPs complete the “DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form” via email to HKEX before 17:00 on 19 July 2025	- The Rehearsal is completed. - Perform the necessary clean- up and restoration of data / reports to production image. - Please refer to Appendix C for the DCASS / CCMS Data Centre Failover Rehearsal Confirmation Form.
Production Verification Session at Primary Data Centre			
9:30 p.m.	10:30 p.m.	The session is <u>OPTIONAL</u> but CPs are highly recommended to join. Logon to CCMS via the hyperlink: https://www.ccass.com - Logout from CCMS by clicking the “Logout” hyperlink at top right corner	

3.2 User ID and Login Password

The CPs’ user profiles are based on the latest production image prior to the CCMS Rehearsal, i.e. 18 July 2025 (Friday).

During the CCMS Rehearsal, if 2FA password reset is performed or DAs of CPs have reset user’s password, the users concerned should use the *original* password (i.e. before password reset in the CCMS Rehearsal) for production use on the following business day, i.e. 21 July 2025 (Monday).

4. Rehearsal Environment

The CCMS Rehearsal will be conducted based on the production image as of 19 July 2025. When CPs logon CCMS during the CCMS Rehearsal, they will be simulating production operation during 19 July 2025. For rehearsal purpose, 19 July 2025 will be set as a business day in CCMS.

5. Transactions to be Executed

CCMS on-line sessions will be available in the CCMS Rehearsal. CPs are required to perform the recommended CCMS functions and logon during ALL two on-line sessions. CPs should refer to Section (2.1) for the detailed execution script before and

after the failover.

6. Report Download

CPs can retrieve CCMS reports via “Report Download” function during the CCMS Rehearsal.

7. Severe Weather Conditions Arrangements

The severe weather conditions arrangements will be same as these of DCASS data centre failover rehearsal.

8. Communication Channels

The communication channels will be same as these of DCASS data centre failover rehearsal.

9. Help Desk

For any queries during the preparation and execution of the CCMS Rehearsal, CPs can contact DCASS Hotline at **2979-7222** for assistance.

Checklist for CCMS Data Centre Failover Rehearsal

ITEMS TO BE CHECKED		✓
(A) Before the CCMS Rehearsal		
1	Have you read and understood this Appendix ("Rehearsal Arrangement for CCMS Data Centre Failover")?	
2	Have you (if necessary) passed this document to your internal IT support team or system vendor and ensured that they would make follow-up actions?	
3	Have you ensured that the participating users have appropriate user function access to perform the required activities in CCMS and/or your internal systems during the CCMS Rehearsal?	
4	If you would use your BOS in the CCMS Rehearsal, have you established appropriate procedures to switch your BOS for testing purpose and prepared a data restore procedure in place to restore production data after the CCMS Rehearsal?	
5	Should the Co-ordinator(s) be changed, have you submitted the updated contact details to HKEX?	
6	Have you arranged access for your Co-ordinator(s) to receive HKEX's communication via email before and during the CCMS Rehearsal?	
7	Have you configured and verified Alternate Domain Name Servers (DNS) on workstations for access CCMS according to Section 4.2 and 4.6 of the CCASS(CCMS) Terminal Installation Procedure?	
8	Have you arranged IT and/ or system vendor support with appropriate system administration ID during the Rehearsal in case there is any technical problem?	
(B) On 19 July 2025, before executing test cases		
1	Have your designated contact person(s) of the CCMS Rehearsal already logged on their email accounts to obtain announcements during the CCMS Rehearsal?	
(C) After the CCMS Rehearsal		
1	Have you cleaned up or removed the testing data or/and downloaded reports/data files from the production CCMS Terminal after the CCMS Rehearsal?	
2	Have you restored the BOS to production image and ensured they are ready for production use on the next business day, 21 July 2025?	