

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

事項

Subject: **SHANGHAI-HONG KONG STOCK CONNECT – BATCH 3 ENROLLMENT**

查詢

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

Reference is made to the Exchange circulars (Ref No.: [CT/069/14](#)) and (Ref No.: [CT/074/14](#)) dated 2 and 17 December 2014 respectively. Exchange Participants (EPs) interested to become Batch 3 China Connect Exchange Participants (CCEPs) or existing CCEPs intend to rollout additional China Connect Open Gateways (CCOGs) should complete the following relevant application forms available on the HKEx website (<http://www.hkex.com.hk/chinaconnect>) and return to HKEx **on or before 7 January 2015**:

1. [Registration for the use of Shanghai-Hong Kong Stock Connect](#) (not applicable to existing CCEPs);
2. [Application for Installation of CCOG newly purchased via HKEx/ Application for Installation of CCOG Installed at the Data Centre of HKEx/ Application for Installation of CCOG newly purchased directly from Vendor/ Application for Installation of CCOG upgraded from existing AMS OG](#);
3. [Application for Increase of CCOG Throttle Rate](#); and
4. [Notification of CCOG Testing Line](#) (if applicable).

The tentative on-boarding schedule for Batch 3 is as follows:

On-boarding Activities	Tentative Date
Provision of CCOG Offline Simulator Test Package	Already available to download from Electronic Communication Platform (ECP)
Provision of CCOG End-to-End Test Package	Available to download via ECP from 31 December 2014 onwards
End-to-End Test	From 26 January 2015 onwards
Submission of End-to-End Test result	16 February 2015
Rollout Test	End February/ early March 2015
Rollout	March 2015

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HKEx 香港交易所

EPs should refer to the technical documents posted on the HKEx website (<http://www.hkex.com.hk/chinaconnect>) for the required information in developing their system.

For existing CCEPs planning to deploy the same software version of CCOG/ Broker Supplied System (BSS) that have been successfully rolled out to additional CCOGs applied, they are required to participate in the rollout test only. However, if they intend to implement the additional function in the additional CCOGs, the full cycle of on-boarding activities mentioned above should be followed.

CCASS Participants (EPs or non EPs) should refer to the HKSCC circular for the enrollment details of China Connect Clearing Participants (CCCPs) which will be announced in due course separately.

Olivia Mak
Vice President
Cash Trading