

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: **HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) – COMMENCEMENT OF END-TO-END (E2E) TEST**

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

With reference to the Exchange circulars (Ref. No.: [CT/021/22](#) and [CT/026/22](#)), please note that E2E Test Session for HKIDR (including two new features of the Orion Central Gateway – Securities Market) is confirmed to be arranged from **16 May 2022 to 15 July 2022**. All Relevant Regulated Intermediaries (RRIs)² are required to participate in the E2E Test Session and are reminded to refer to the published test packages and connectivity guide to get ready for the mandatory testing.

After completion of the E2E Test Session, RRIs should submit positive testing confirmation reply to the SFC (for BCAN-CID Mapping File and reporting forms submission) and HKEX (for BCAN tagging in OTP-C³ which is applicable to Exchange Participants (EPs) only) respectively by **15 July 2022**. Market Rehearsals (MR) will be further arranged in Q3 2022 for RRIs to verify their readiness before the launch of the HKIDR. Details of the MR will be announced in due course.

Templates for Reporting Forms

To facilitate the submission of various reporting forms under the HKIDR, templates of the five reporting forms are now published on the HKIDR [web corner](#) for reference. RRIs can either use the templates or refer to Section 3 of the [File Interface Specifications](#) when preparing the reporting forms. For the avoidance of doubt, a template for the BCAN-CID Mapping File will not be provided, and RRIs should refer to Section 2 of the [File Interface Specifications](#) when preparing the BCAN-CID Mapping File.

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

² Relevant Regulated Intermediaries refer to SFC-licensed corporations and registered institutions subject to the HKIDR pursuant to the proposed paragraph 5.6 of the SFC's Code of Conduct for Persons Licensed by or Registered with the SFC as set out in the Appendix C in the SFC's consultation conclusions paper.

³ Orion Trading Platform - Securities Market

Notification of Testing Line by Non-EP RRIs Using ECP Secure File Transfer Protocol (SFTP) Interface for E2E Test Session

Further to guidance provided in the previous circular on the use of ECP (SFTP) Interface by non-EP RRIs, non-EP RRIs who intend to make use of the ECP (SFTP) interface for the E2E Test Session should complete the “Notification of Testing Line” form after testing line installation, and submit to HKEX via E2E ECP Web Interface starting from 16 May 2022. For more details, please refer to the [E2E Test Package \(for Non-EP RRIs\)](#).

Test Account Registration For SFC’s WINGS Platform

To facilitate the E2E Test Session, the SFC has published a circular regarding test account registration for the SFC’s WINGS Platform. There will be three rounds of test account registration/update, the choice of which will depend on the readiness of individual RRIs. For details, please refer to SFC’s [circular](#).

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