



**Information Package on Shakedown Connectivity Test and  
Market Rehearsals for Batch 3  
HKEx Orion Market Data Platform  
Securities Market & Index Datafeed Products (OMD-C)**

Version 1.0  
12 December 2013

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## 1. Overview

This document provides details on the on-boarding activities in which OMD-C Clients who have successfully completed the Readiness Test and declared their system readiness are required to participate should they wish to receive production data from OMD-C upon its Batch 3 rollout.

These mandatory on-boarding activities include a Shakedown Connectivity Test Session (SCT) and a Market Rehearsals (MR) as per schedule below.

A Post Release Test (PRT) mandatory for all Batch 3 Clients will also be arranged on the weekend before the Batch 3 production rollout. Clients are required to have successfully completed both MR and the PRT in order to join the Batch 3 rollout.

Test	Date	Objectives
SCT	4 January 2014	(1) HKEx to perform final checking on system setup (2) Clients to ensure that the setup of their systems for making connection to the OMD-C production host in both primary and backup sites via their SDNet and/or HSN circuits is in proper order before the MR
MR <sup>1</sup>	11 January 2014	(1) To enable clients to verify their system capability of processing data received from the OMD-C in the production environment (2) To enable clients to verify their system capability of handling high data volume from OMD-C in the production environment (3) To enable clients to verify their system capability of and internal procedures for handling OMD-C site failover in the production environment (4) To enable clients to verify their capability of falling back to MDS or its original data source for production data should their connection to OMD-C fail
PRT	To be announced	(1) HKEx to perform final checking before Batch 3 rollout (2) Clients to ensure their system readiness for receiving production data from OMD-C

<sup>1</sup> During the MR, MDF 3.8 will be available to facilitate data verifications by existing clients. AMS/3.8 will also be available to facilitate loop test by OMD-C Clients who are also Exchange Participants.

## 2. Shakedown Connectivity Test Session (SCT)

<b>Date</b>	4 January 2014
<b>Objectives</b>	<p>(1) HKEx to perform <b>final checking</b> on system setup</p> <p>(2) Clients to ensure that the setup of their systems for making connection to the OMD-C production host via their SDNet and/or HSN circuits is in proper order before the MR</p> <ol style="list-style-type: none"> <li>a. Network carriers have correctly configured the clients' production circuits so as to enable clients' access to their respective entitled multicast channels</li> <li>b. Clients have access to their entitled real-time multicast channels</li> <li>c. Clients can successfully connect and logon to the 2 RTS servers in Primary site and have access to their entitled RTS channels</li> <li>d. Clients can successfully connect and logon to the 2 RTS servers in the backup site and have access to their entitled RTS channels from the backup site</li> </ol>
<b>Test Rundown</b>	As per Appendix A.1
<b>Clients' Actions</b>	<p><u>Before joining the SCT</u></p> <ul style="list-style-type: none"> <li>• submit the Test Participation Form as per Appendix B.1</li> <li>• ensure their production SDNet/2 and/or HSN circuits are installed properly with the necessary bandwidth</li> <li>• ensure correct configuration for the connection between their system and OMD-C production host according to the OMD-C Connectivity Guide and the Production Configuration sheet provided by HKEx for each of the OMD-C the datafeeds subscribed</li> </ul> <p><u>During the SCT</u></p> <ul style="list-style-type: none"> <li>• ensure they can receive data from all of their entitled real-time and refresh multicast channels</li> <li>• ensure that they can logon to both the primary and secondary RTS servers on the primary site and receive data from all of their entitled RTS channels</li> <li>• ensure that they can logon to both the primary and secondary RTS servers on the backup site and receive data from all of their entitled RTS channels</li> <li>• High volume data close to full system capacity will be transmitted within the timeslots specified in the Test Rundown</li> </ul> <p><u>After the SCT</u></p> <ul style="list-style-type: none"> <li>• discard the data received during the SCT</li> </ul>
<b>Test Result Report</b>	Complete and return the Test Result Form as per Appendix C.1

### 3. Market Rehearsal

#### 3.1. Market Rehearsal (Full-Day Test Session)

<b>Date</b>	11 January 2014
<b>Objectives</b>	<ol style="list-style-type: none"> <li>(1) To enable clients to verify their system capability of <b>processing data</b> received from the OMD-C in the production environment</li> <li>(2) To enable clients to verify their system capability of handling <b>high data volume</b> from OMD-C in the production environment</li> <li>(3) To enable clients to verify their system capability of and internal procedures for handling <b>OMD-C site failover</b> in the production environment</li> <li>(4) To enable clients to verify their capability of <b>failing over to MDS or its original data source, e.g. BSS OG</b> for production data should their connection to OMD-C fail</li> </ol>
<b>Test Rundown</b>	As per Appendix A.2
<b>Clients' Actions</b>	<p><u>Before joining the MR:</u></p> <ul style="list-style-type: none"> <li>• submit the Test Participation Form as per Appendix B.2</li> <li>• ensure the healthiness of their connection to the OMD-C production host</li> </ul> <p><u>During the MR:</u></p> <ul style="list-style-type: none"> <li>• existing MDF 3.8 clients can connect to the MDS production host to receive MDF 3.8 data if they wish to reconcile the data received from MDS and OMD-C at their end</li> <li>• high volume data close to full system capacity will be transmitted within the timeslots specified in the Test Rundown</li> <li>• a simulated OMD-C site failover will occur as per the Test Rundown. Clients should ensure that their system can switch over to the backup site smoothly and take this opportunity to rehearse their contingency procedures for handling such incident</li> <li>• a simulated scenario will occur as per the Test Rundown where Clients should trigger clients' fallback procedure to switch the data source to their original data source (such as MDF 3.8 or BSS OG) to resume services to their downstream users</li> </ul> <p><u>After the MR</u></p> <ul style="list-style-type: none"> <li>• discard the data received during the MR</li> </ul>
<b>Test Result Report</b>	Complete and return the Test Result Notification Form as per Appendix C.2

## 4. Confirmation of Readiness Status

After completion of the Market Rehearsal, Batch 3 clients are required to confirm their readiness status by returning the completed OMD-C Readiness Status Confirmation Form by **12:00 noon of 13 January 2014 (Mon) HK Time** as per Appendix D.

## 5. Post Release Test and Rollout

Post Release Test (PRT) will be conducted on the weekend immediately before the Batch 3 Rollout of OMD-C for the final assurance of readiness by both HKEx and Clients.

Test schedule and rundown of the PRT will be distributed in due course.

## 6. Stabilisation and Parallel Run Period after Batch 3 Rollout

### 6.1. Stabilisation Period

The first two weeks after the OMD-C Batch 3 Rollout will be the stabilisation period where Batch 3 Clients are required to retain their current systems for receiving MDF 3.8 or BSS OG data. In case of any severe incident that clients fail to receive production data from OMD-C, clients should have the capability to fall back to their original data source such as MDF 3.8 or BSS OG and continue their operation in a proper manner. Clients should also avoid any unnecessary changes to their SDNet/2 and/or HSN circuits that are connecting to the OMD-C host during the stabilisation period.

### 6.2. Grace period for Parallel-run

MDS/3.8 will be up and running until April 2014, which is 6 months after the OMD-C initial rollout (Batch 1). As per the OMD-C On-boarding Information Package published in July 2012, a grace period of 2 weeks (starting from Batch 3 production rollout date) will be granted to Batch 3 Clients with waiver on the Redistribution Fee and Connection Fee of MDF 3.8. A client will be liable to pay the Redistribution Fee and Connection Fee for both OMD-C and MDF 3.8 if it chooses to extend the parallel run period beyond the grace period.

## 7. Important Note

### Participation in SCT, MR and PRT before OMD-C Rollout

- Clients must participate in the SCT, MR and PRT with all their connection circuit sets which will receive OMD-C data at the OMD-C Batch 3 Rollout.
- Clients should allocate sufficient resources to provide support to HKEx staff and/or the network carrier(s) during the SCT, MR and PRT to ensure successful completion. Your supporting staff members assigned for such support should be reachable by HKEx by phone and email during the test sessions.
- Clients planning to use their existing production HSN ports for receiving OMD-C data are required to participate in the connectivity test on the Saturday afternoon or Sunday morning immediately after the SCT and MR (please refer to the test rundown for arrangement of the HSN connectivity test schedule). The test is important since it is to ensure that their connection(s) to other production systems, e.g. AMS/3.8, MDS/3.8, etc. via the HSN ports will stay intact on the next trading day.
- Existing MDF 3.8/ BSS OG clients should have their procedures for falling back on to MDF 3.8/ BSS OG well in place before the MR where they will be required to rehearse and verify the effectiveness of the fallback procedures. The fallback procedures should allow the resumption of their operation in a timely manner and be able to maintain data integrity after the fallback.

### Upon OMD-C Rollout

- Client should observe the requirements for Parallel Run as stated in sections 6.1 and 6.2
- HKEx will inform clients of incidents that may affect our market data services and keep you updated of the situation by email. Therefore, it is very important for clients to provide appropriate business, technical and emergency contacts to HKEx to ensure effective communications with HKEx in such emergency.
- Clients should closely monitor their systems and applications after OMD-C rollout. Should there be any incident that may affect your dissemination of Hong Kong market data to customers, you should inform HKEx immediately.

## 8. Enquiries

For queries and/or further clarification on the SCT and MR for OMD-C, please contact us by -mail to [OrionMarketData@hkex.com.hk](mailto:OrionMarketData@hkex.com.hk).

Alternately, you may contact HKEx by phone at the following numbers:

IVSupport Hotline : (852) 2211 6558

## 9. Appendices

### Appendix A Test Rundowns

- A.1 Test Rundown of OMD-C Batch 3 Shakedown Connectivity Test Session on 4 January 2014
- A.2 Test Rundown of OMD-C Batch 3 Market Rehearsal on 11 January 2014

### Appendix B Test Participation Forms

- B.1 Test Participation Form for OMD-C Batch 3 Shakedown Connectivity Test Session
- B.2 Test Participation Form for OMD-C Batch 3 Market Rehearsal

### Appendix C Test Result Forms

- C.1 Test Result Form for OMD-C Batch 3 Shakedown Connectivity Test Session
- C.2 Test Result Form for OMD-C Batch 3 Market Rehearsal

### Appendix D OMD-C Batch 3 Readiness Status Confirmation Form



**Appendix A.1**

**Activity Run-down  
for OMD-C Batch 3 Shakedown Connectivity Test Session to be held on 4 Jan 2014  
(Mandatory)**

Time	Activities
<b>Friday (3 January 2014)</b>	
After 6:30pm	<p><b><u>Preparation</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Clients to ensure all production network equipment for their OMD-C connections are powered on after production hours</li> <li><input type="checkbox"/> Clients to ensure all production databases required for the operation on the following trading day are properly backed up</li> <li><input type="checkbox"/> Clients to ensure the version of their feed handler and downstream systems used in the shakedown connectivity test is OMD-C compatible. Otherwise their feed handler may fail to connect to the OMD-C host when OMD-C is brought up</li> <li><input type="checkbox"/> Clients to ensure that they have made necessary network / application changes for connecting to the production OMD-C host with the correct OMD-C host IP addresses</li> <li><input type="checkbox"/> Clients should ensure the bandwidths of the SDNet/2 lines / HSN connections are sufficient to support the datafeed product(s) they subscribed to as required.</li> </ul>
<b>Saturday (4 January 2014)</b>	
Before 9:00am	<p><b><u>Establish connection to OMD-C Host</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Clients to connect to the production OMD-C Host</li> <li><input type="checkbox"/> Existing MDF 3.8 clients can choose to connect to MDF 3.8 as well by using the production password as of 3 Jan 2014 during the SCT</li> </ul>
<b>Pre-opening Session</b>	
9:00am – 9:30am	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will disseminate securities market data and index data via the production channels assigned for different OMD- C datafeeds during the following pre-opening sessions:                             <ul style="list-style-type: none"> <li>- Order Input period (9:00am - 9:15am)</li> <li>- Pre-order Matching period (9:15am - 9:20am)</li> <li>- Order Matching period (9:20am - 9:28am)</li> <li>- Blocking period (9:28am - 9:30am)</li> </ul> </li> <li><input type="checkbox"/> Clients to verify that all of their connections to OMD-C are in proper order and their systems can receive data from all of the real-time and refresh multicast channels that they are entitled to access</li> <li><input type="checkbox"/> Clients to verify that their systems can recover messages of all types that they are entitled to access from the retransmission services</li> </ul>

Time	Activities
<b>Morning Session (Continuous Trading)</b>	
9:30am – 11:45am	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will disseminate securities market data and index data via the production channels assigned for different OMD-C datafeeds.</li> <li><input type="checkbox"/> Clients to perform the same verification as in the pre-opening sessions</li> <li><input type="checkbox"/> Existing MDF 3.8 clients can compare the data that they receive from OMD-C against those from MDF 3.8 for further ascertaining the functionality of their OMD-C feed handlers</li> </ul>
<b>Volume Test Session</b>	
11:45am – 12:00noon	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will disseminate market data at increasing rate on all OMD-C datafeeds. There will be an instance lasting for about 5 minutes that real-time market data is published close to the maximum rates of the various channels.</li> <li><input type="checkbox"/> Clients to verify that their systems are able to process and disseminate the high volume data properly without data loss or delay</li> </ul>
<b>Exchange Intervention from 12:00 noon to 12:05pm</b>	
<b>Day Close at 12:05pm</b>	
<b>OMD-C Shutdown in primary site and OMD-C Startup in backup site</b>	
12:05pm – 4:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will bring down OMD-C in the primary site around 1:00pm and later startup OMD-C servers in the backup site at around 4:00pm.</li> <li><input type="checkbox"/> Clients will not receive any messages including heartbeat from ~1:00pm to ~4:00pm before OMD-C Host is started up in the backup site.</li> <li><input type="checkbox"/> Clients should pay attention to HKEx’s announcement of the shutdown of OMD-C in the primary site and the startup of OMD-C in the backup site via email.</li> <li><input type="checkbox"/> Clients to prepare for the necessary configuration change to connect to the OMD-C backup site</li> <li><input type="checkbox"/> Clients are expected to clear the data in cache upon receipt of the Sequence Reset messages and then obtain the latest market image from the refresh server and real-time channels from the backup site</li> </ul> <p><b>Note: MDF 3.8 connection will remain at primary site.</b></p>
Before 4:00pm	<p><b><u>Establish connection to OMD-C Host in the backup site</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Clients to connect to the OMD-C Host in the backup site</li> <li><input type="checkbox"/> Existing MDF 3.8 clients can choose to connect to MDF 3.8 as well by using the production password as of 3 Jan 2014 during the SCT</li> </ul>
<b>Afternoon Session (Continuous Trading)</b>	
4:00pm – 5:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will disseminate securities market data and index data via the production channels assigned for different OMD-C datafeeds from the backup site.</li> <li><input type="checkbox"/> Clients to perform the same verification as in the Morning Session</li> </ul> <p><b>Note: Clients may connect to MDF 3.8 at primary site.</b></p>
<b>Exchange Intervention from 5:00pm</b>	
<b>Client’s day end process and test data clean up</b>	

Time	Activities
By 6:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> Client to perform any day-end processes to ensure database integrity where applicable</li> <li><input type="checkbox"/> Clients to clean up the test data received during the test</li> <li><input type="checkbox"/> <b><u>Clients to submit Test Result Form for the Shakedown Connectivity Test (Appendix C.1)</u></b> (except clients who are required to participate in the HSN connectivity test after the SCT )</li> </ul>
<b>Saturday (4 January 2014)</b>	
<p><b>HSN Connectivity test for clients planning to use existing production HSN ports for OMD-C</b></p> <p><b>This test is <u>NOT</u> applicable to Clients using SDNet/2 circuits or new HSN ports solely for connection to OMD-C production host at OMD-C initial rollout</b></p>	
5:00pm – 6:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx to bring up production systems as required</li> <li><input type="checkbox"/> Clients to make connection via the HSN ports to all of the production systems currently being accessed via the HSN ports</li> </ul>
By 6:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b><u>Clients to submit Test Result Form for the Shakedown Connectivity Test (Appendix C.1)</u></b></li> </ul>



## Activity Run-down for OMD-C Market Rehearsal to be held on 11 January 2014

Time	Activities
<b>Friday (10 January 2014)</b>	
After 6:30pm	<p><b><u>Preparation</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Clients to ensure all production network equipment for their OMD-C connections are powered on after production hours</li> <li><input type="checkbox"/> Clients to ensure all production databases required for the operation on the following trading day are properly backed up</li> <li><input type="checkbox"/> Clients to ensure the version of their feed handler and downstream systems used in the market rehearsal is OMD-C compatible. Otherwise their feed handler may fail to connect to the OMD-C host when OMD-C is brought up</li> <li><input type="checkbox"/> Clients to ensure that they have made necessary network / application changes for connecting to the production OMD-C host with the correct host IP addresses</li> <li><input type="checkbox"/> Clients should ensure the bandwidths of the SDNet lines / HSN connections are sufficient to support the datafeed product(s) they subscribed to as required.</li> </ul>
<b>Saturday (11 January 2014)</b>	
Before 9:00am	<p><b><u>Establish connection to OMD-C Host</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Clients to connect to production OMD-C Host</li> <li><input type="checkbox"/> Existing MDF 3.8 clients should connect to MDF 3.8 as well by using the production password as of 10 January 2014 during the MR.</li> </ul>
<b>Pre-opening Session</b>	
9:00am – 9:30am	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will disseminate securities market data and index data via the production channels assigned for different OMD-C datafeeds during the following pre-opening sessions:                             <ul style="list-style-type: none"> <li>- Order Input period (9:00am - 9:15am)</li> <li>- Pre-order Matching period (9:15am - 9:20am)</li> <li>- Order Matching period (9:20am - 9:28am)</li> <li>- Blocking period (9:28am - 9:30am)</li> </ul> </li> <li><input type="checkbox"/> Clients to verify that all of their connections to OMD-C are in proper order and their systems can receive data from all of the real-time and refresh multicast channels that they are entitled to access</li> <li><input type="checkbox"/> Clients to verify that their systems can recover messages of all types that they are entitled to access from the retransmission services</li> </ul>
<b>Continuous Trading Session</b>	
9:30am – 10:15am	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will disseminate securities market data and index data via the production channels assigned for different OMD-C datafeeds.</li> <li><input type="checkbox"/> Clients to perform the same verification as in the pre-opening sessions</li> </ul>

Time	Activities
<b>Volume Test Session</b>	
10:15am – 10:30am	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will disseminate market data at increasing rate on all OMD-C datafeeds. There will be an instance lasting for about 5 minutes that real-time market data is published close to the maximum rates of the various channels.</li> <li><input type="checkbox"/> Clients to verify that their systems are able to process and disseminate the high volume data properly without data loss or delay</li> </ul>
<b>Simulate OMD-C Primary Site Failure</b>	
10:30am – 10:40am	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will bring down OMD-C in the primary site</li> <li><input type="checkbox"/> Clients should pay attention to HKEx’s announcement of the simulated event via email</li> <li><input type="checkbox"/> Client to prepare for the necessary configuration change to connect to the OMD-C backup site</li> </ul>
<b>Simulate OMD Failover to the DR (backup) site</b>	
10:40am – 11:00am	<ul style="list-style-type: none"> <li><input type="checkbox"/> OMD backup site ready for connection</li> <li><input type="checkbox"/> Clients should pay attention to HKEx’s announcement of the simulated event via email</li> <li><input type="checkbox"/> Client to establish connection in the OMD backup site</li> <li><input type="checkbox"/> Clients are expected to clear the data in cache upon receipt of the Sequence Reset messages and then obtain the latest market image from the refresh server and real-time channels from the backup Site</li> </ul> <p><b>Note: MDF 3.8 connection will remain at primary site.</b></p>
<b>Continuous Trading Session (continue)</b>	
11:00am – 12:00noon	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will disseminate securities market data and index data via the production channels assigned for different OMD-C datafeeds from the backup site.</li> <li><input type="checkbox"/> Clients to verify that all of their connections to OMD-C are in proper order and their systems can receive data from all of the real-time and refresh multicast channels that they are entitled to access</li> <li><input type="checkbox"/> Clients to verify that their systems can recover messages of all types that they are entitled to access from the retransmission services</li> <li><input type="checkbox"/> Existing MDF 3.8 clients can compare the data that they receive from the OMD-C backup site against those from MDF 3.8 at primary site.</li> </ul>
<b>Exchange Intervention from 12:00 noon to 12:05pm</b>	
<b>Mid-Day Close at 12:05pm</b>	
<b>Continuous Trading Session (continue)</b>	
1:00pm – 2:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will continue to disseminate securities market data and index data from the OMD-C at backup site and MDF 3.8 at primary site.</li> </ul>

Time	Activities
<b>Simulate disconnection from OMD-C that triggers Client’s fallback procedure to Original Source<sup>1</sup> MDS/3.8</b>	
2:00pm – 4:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx will simulate the disconnections of Clients’ feed handlers from OMD-C drop and Clients will not be able to reconnect to OMD-C.</li> <li><input type="checkbox"/> Clients should pay attention to HKEx’s announcement of the simulated event via email</li> <li><input type="checkbox"/> Existing MDF 3.8 clients to execute their fallback procedure to switch their data source to MDF 3.8 or its original data source, e.g. BSS OG to resume their downstream data processing</li> <li><input type="checkbox"/> Existing MDF 3.8 clients to ensure data integrity after the fallback</li> <li><input type="checkbox"/> Non existing MDF 3.8 clients can also take this opportunity to rehearse their contingency procedure for such incidents where appropriate</li> </ul>
<b>Exchange Intervention from 4:00pm to 4:05pm</b>	
<b>Day Close at 4:05pm</b>	
By 5:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> Client to perform any day-end processes to ensure database integrity where applicable</li> <li><input type="checkbox"/> Clients to clean up the test data received during the test</li> <li><input type="checkbox"/> <b><u>Clients to submit Test Result Form for the OMD-C Batch 3 Market Rehearsal (Appendix C.2)</u></b> (except clients who are required to participate in the HSN connectivity test via separate schedule on the same day )</li> </ul>
<b>Saturday (11 January 2014)</b>	
<b>HSN Connectivity test for clients planning to use existing production HSN ports for OMD-C</b>	
<b>This test is <u>NOT</u> applicable to Clients using SDNet/2 circuits or new HSN ports solely for connection to OMD-C production host at OMD-C initial rollout</b>	
5:00pm – 6:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> HKEx to bring up production systems as required</li> <li><input type="checkbox"/> Clients to make connection via the HSN ports to all of the production systems currently being accessed via the HSN ports</li> </ul>
By 6:00pm	<ul style="list-style-type: none"> <li><input type="checkbox"/> <b><u>Clients to submit Test Result Form for the OMD-C Batch 3 Market Rehearsal (Appendix C.2)</u></b></li> </ul>

<sup>1</sup> For BSS OG Clients who would like to have their OG device enabled to perform the fallback procedure during the MR, please send your email request to [IVSupport@hkex.com.hk](mailto:IVSupport@hkex.com.hk) no later than 12:00noon of 7 January 2014 Tuesday. Vendor Support team will liaise with Cash Trading for the corresponding arrangement.



**Appendix B.1**

**Test Participation Form of OMD-C Batch 3 Shakedown Connectivity Test Session  
On 4 January 2014**

**Notes:**

1. Please complete and return this test participation form to HKEx-IS by email to [IVSupport@hkex.com.hk](mailto:IVSupport@hkex.com.hk) on or before 20 December 2013
2. For enquiry, please contact Vendor Support Team via email [IVSupport@hkex.com.hk](mailto:IVSupport@hkex.com.hk)

Client Information		
Name of Client		
Name of Contact during the Test		
Tel. No.	Mobile Phone No.	Email Address

**Client Confirmation (please tick appropriate boxes below)**

- We confirm our participation in the mandatory OMD-C Shakedown Connectivity Test Session (SCT) on 4 Jan 2014.
  
- We confirm our participation in the HSN Connectivity Test on 4 Jan 2014 in order to ensure that our connections to other HKEx production systems via the HSN ports remain healthy and in working order after the Shakedown Connectivity Test.  
(Not applicable to Clients using SDNet/2 circuits or new HSN ports solely for connection to OMD-C production host at OMD-C initial rollout)

**Submitted for and on behalf of the Client:**

**Company** : \_\_\_\_\_  
**Name** : \_\_\_\_\_  
**Title** : \_\_\_\_\_  
**Contact No.** : \_\_\_\_\_  
**Date** : \_\_\_\_\_



**Appendix B.2**

**Test Participation Form of OMD-C Batch 3 Market Rehearsal  
 on 11 January 2014**

**Notes:**

- Please complete and return this booking form to HKEx-IS by email to [IVSupport@hkex.com.hk](mailto:IVSupport@hkex.com.hk) **on or before 7 January 2014**.
- For enquiry, please contact Vendor Support Team via email [IVSupport@hkex.com.hk](mailto:IVSupport@hkex.com.hk)

Client Information		
Client Name		
Name of Contact during the MR		
Tel. No.	Mobile Phone No.	Email Address

**Client Confirmation (please tick appropriate boxes below)**

- We confirm our participation in the mandatory OMD-C Batch 3 Market Rehearsal on 11 January 2014 for us to ensure our readiness for receiving market data before OMD-C system rollout.
- We confirm our participation in the HSN Connectivity Test on 11 January 2014 in order to ensure that our connections to other HKEx production systems via the HSN ports remain healthy and in working order after the Market Rehearsal.  
 (Not applicable to Clients using SDNet/2 circuits or new HSN ports solely for connection to OMD-C production host at OMD-C initial rollout)

**Submitted for and on behalf of the Client:**

**Company** : \_\_\_\_\_  
**Name** : \_\_\_\_\_  
**Title** : \_\_\_\_\_  
**Contact No.** : \_\_\_\_\_  
**Date** : \_\_\_\_\_



**Appendix C.1**

To : HKEx-IS – Vendor Support & Data Management, Market Data, Global Markets Divisions

Email : [IVSupport@hkex.com.hk](mailto:IVSupport@hkex.com.hk)

**Test Result Form for OMD-C Batch 3 Shakedown Connectivity Test Session held on 4 January 2014**

Please complete Sections I to II and return the Test Result Form by email to HKEx-IS:

- Clients using SDNet/2 circuits or new HSN ports solely for OMD-C connection by 5:00pm on 4 January 2014
- Clients using existing HSN production ports for OMD-C connection by 6:00 pm on 4 January 2014

**Section I Client Information**

Client Name	
Contact Person	Contact Telephone No.

**Section II Test Result Declaration (please tick the appropriate box)**

1.	We have successfully completed the Shakedown Connectivity Test <input type="checkbox"/> Yes. <input type="checkbox"/> No. We have encountered the following unresolved issues Connectivity issues Details: _____  System failure or interruption Details: _____  Data loss or exceptional delay Details: _____  Others: Details: _____
2.	We have successfully completed the HSN connectivity test held on 4 January 2014 and verified that the connections to other HKEx production systems via the HSN ports participated in the Batch 3 Shakedown Connectivity Test are in working order. (Not applicable to Clients using SDNet/2 circuits or new HSN ports solely for OMD-C connection)  <input type="checkbox"/> Yes. <input type="checkbox"/> No.

**Submitted for and on behalf of the Client:**

**Company** : \_\_\_\_\_  
**Name** : \_\_\_\_\_  
**Title** : \_\_\_\_\_  
**Contact No.** : \_\_\_\_\_  
**Date** : \_\_\_\_\_



**Appendix C.2**

To : HKEx-IS – Vendor Support & Data Management, Market Data, Global Markets Divisions  
 Email : [IVSupport@hkex.com.hk](mailto:IVSupport@hkex.com.hk)

**Test Result Form for OMD-C Batch 3 Market Rehearsal on 11 January 2014**

Please complete Sections I to II and return the Test Result Form by email to HKEx-IS:

- Clients using SDNet/2 circuits or new HSN ports solely for OMD-C connection by 5:00pm on 11 January 2014
- Clients using existing HSN production ports for OMD-C connection by xx:00pm on 11 January 2014

**Section I Client Information**

Client Name	
Contact Person	Contact Telephone No.

**Section II Test Result Declaration (please tick the appropriate box)**

1. We have successfully completed the Market Rehearsal.

Yes.

We successfully made connection, received and processed OMD-C data

We successfully performed our procedure for OMD-C failover to the backup site. The time taken for completion is: (     ) minutes

In the failover, our system resumed normal transmission with the OMD-C backup site through:

automated program logic based on the Sequence Reset message  
 manual intervention upon HKEx’s announcement of service resumption in the OMD-C backup site  
 Others, please specify \_\_\_\_\_

We successfully performed our fallback procedure for switching the data source to our original data source (check below). The time taken for completion is: (     ) minutes

MDF 3.8  
 BSS OG  
 Others, please specify \_\_\_\_\_

No. We have encountered the following unresolved issues

Connectivity issues  
 Details: \_\_\_\_\_

System failure or interruption  
 Details: \_\_\_\_\_

<input type="checkbox"/> Data loss or exceptional delay, especially during the Volume Test session Details (e.g. time and log) : _____
<input type="checkbox"/> Problems encountered when performing the procedure for OMD-C backup site failover Details _____
<input type="checkbox"/> Problems encountered when performing the fallback procedure for switching data source to the original source Details _____
<input type="checkbox"/> Others: Details: _____

1. We have successfully completed the HSN connectivity test held on 11 January 2014 and verified that the connections to other HKEx production systems via the HSN ports participated in the Batch 3 Market Rehearsal are in working order. (Not applicable to Clients using SDNet/2 circuits or new HSN ports solely for OMD-C connection)

Yes.  
 No.

**Submitted for and on behalf of the Client:**

**Company** : \_\_\_\_\_  
**Name** : \_\_\_\_\_  
**Title** : \_\_\_\_\_  
**Contact No.** : \_\_\_\_\_  
**Date** : \_\_\_\_\_



**Appendix D**

To : HKEx-IS – Vendor Support & Data Management, Market Data, Global Markets Divisions

Email : [IVSupport@hkex.com.hk](mailto:IVSupport@hkex.com.hk)

**OMD-C READINESS STATUS CONFIRMATION FORM**

*(Please complete Sections I, II and III and return the Feedback Form by email to HKEx-IS before 12:00noon of 13 January 2014 (HKT))*

**Session I : All Real-time Clients of OMD-C (Securities Market Data)**

We are ready for the rollout of the following OMD datafeed(s) via Batch 3

- Securities Standard (SS)
- Securities Premium (SP)
- Securities FullTick (SF)
- Index Feed (Index)
- Conflated Broker Queue (CBQ)
- Odd Lot Feed (OLO)

▪ all of our feed handlers except those of which the circuit ID stated below:

- circuit IDs: \_\_\_\_\_
- will be modified and fully tested by \_\_\_\_\_ (date)

▪ all of our other applications concerned including downstream and client-end applications

- already completed
- to be completed by \_\_\_\_\_ (date)

▪ all required hardware upgrades, including those for the feed handler, downstream and client-end systems

- already completed
- to be completed by \_\_\_\_\_ (date)

▪ all internal and distribution network

- already upgraded
- to be upgraded by \_\_\_\_\_ (date)

- We will have the existing data source (e.g. MDF3.8/BSS OG) running in parallel:

- for 2 weeks (Grace period for Batch 3 clients)
- for 4 weeks
- until \_\_\_\_\_ (date)

- We plan to adopt OMD-C as the source of our production data for all our services at Day One of OMD-C Batch 3 Rollout:

- Yes
- No, subject to our internal readiness
- No, but target to change to OMD-C as the production data source in [ ] week(s).  
*(please specify)*

- We are **NOT** ready for the rollout of OMD-C via the third batch. We fully understand that MDF3.8 will be available up to the end of Mar 2014. We also understand that we will notify HKEx of our revised schedule and, in case we cannot rollout OMD-C prior to the decommissioning of MDF3.8, we will arrange for alternative data source to ensure continuation of business:

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**Submitted for and on behalf of the Client:**

Company : \_\_\_\_\_

Name : \_\_\_\_\_

Title : \_\_\_\_\_

Contact No. : \_\_\_\_\_

Date : \_\_\_\_\_