

(Testing Notification) LDDS Test Sessions Schedule and Rundown

Test Participator

- SSE Infonet Ltd
- China Investment Information Services Ltd (CIIS)
- Information Vendor

Test Schedule

- Testing Date: 25/2/2023
- Testing Time: 13:15 – 15:30
- Platform: Production Platform (ALC & TKO)

Test Content

1. Relevant changes in Product Information File cpxx0201 and cpxx0202 including Main board stock price limit, Identification of securities names on the first day of listing and 5 days before listing, Special logo (UWD) and Registered logo;
2. Registration-based stocks real time market data receive and handle;
3. The display of the market terminals related to the registration system

The specific test scenarios are as follows:

Testing scenarios	Description of test
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<p>(1) Registration-based static file receives and handle</p>	<p>1. cpxx0201 & cpxx0202 files: Cpxx0201 and cpxx0202 files receive and handle normally, the values of the 4th, 8th, 9th and 11th digits of the “Product Status Flag” field and the “Price Limit Type” field are in line with expectations;</p> <p>2. cpjc file: cpjc file receive and handle normally (If used)</p>
<p>(2) Registration-based business verification</p>	<p>1. Verification of price fluctuation limit:</p> <p>1) For stocks listed in the initial public offering, there is no price limit for the first 5 trading days after listing;</p> <p>2) The rise and fall of the main board stock price on the risk warning board is limited to 5% of the previous closing price;</p>

3) Under other circumstances, the price rise and fall of the main board stock is limited to 10% of the previous closing price;

2. Suspension and resumption verification

1) If the intraday trading price of a stock without price fluctuation limit rises or falls by 30% or more than the opening price of the day for the first time, a temporary intraday trading suspension will be implemented;

2) If the intraday trading price of a stock without price fluctuation limit rises or falls by 60% or more than the opening price of the day for the first time, a

	<p>temporary intraday trading suspension will be implemented</p> <p>3) The duration of a single intraday temporary suspension is 10 minutes;</p> <p>4) If the suspension time exceeds 14:57, trading will resume at 14:57 on the same day;</p>
(3) Registration-based market data receive verification	<ol style="list-style-type: none"> 1. Registered shares Level-2 market data verification; 2. Registered shares Level-1 market data verification;
(4) Terminal display verification (Not mandatory)	<ol style="list-style-type: none"> 1. Information business market terminal registration system stock display verification: Including but not limited to the market display of registered stocks, the field of rise and fall, identification of securities names on the first day of listing

	<p>and 5 days before listing, UWD logo and the registration stock logo are in line with expectations.</p>
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Test Checkpoint

- Static files receive and handle (Focus on the changes related to the registration system in the cpxx files)
- The verification of the rise and fall of registration-based stocks and the suspension of trading related scenarios;
- Registration-based stock Level-1 and 2 market data receive and handle
- Registration-based stock terminal display

Test Rundown

Time	Matching Trading Platform (MTP)	Time	Alternative Trading Platform
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13:15-13:25	Send the opening call auction quote	13:15-13:25	Send the opening call auction quote
13:30-14:00	Send continuous auction quote	13:30-14:00	Send continuous auction quote
14:05-14:57	Send continuous auction quote	14:05-15:00	Send continuous auction quote
14:57-15:00	Send the closing auction quote	15:00-15:30	Block Trading
15:00-15:30	MTP market related processing		

Test Data

This test will use data back (24/2/2023) production data as canned data.

1. Subscription products for testing

产品代码	605996	601994
证券简称	23 注测 01	23 注测 01
发行方式	市值申购	市值申购
发行价	5 元	5 元
网上发行数量	8000 万股	8000 万股
申购代码	707996	780994
申购简称	23 注申 01	23 注申 02

配号代码	708996	791994
配号简称	23 注配 01	23 注配 02
权益登记日 (T-1)	2 月 24 日	2 月 24 日
申购日 (T)	2 月 25 日	2 月 25 日
配号日 (T)	2 月 25 日	2 月 25 日
中签日 (T+1)	2 月 26 日	2 月 26 日
弃配及交收日 (T+3)	2 月 28 日	2 月 28 日
主承销商	中信建投	中信建投
承销席位	21988	21988
承销账户	D890023009	D890023009

2. Product on the first day of listing for testing

证券代码	603981	603975
标的股票类型	注册制股票	注册制股票
证券简称	N23 注测 3	N23 注测 4
发行方式	市值申购	市值申购
上市时是否盈利	否	是
是否存在表决权差异	是	否
开盘参考价	8 元	8 元
上市日	2 月 25 日	2 月 25 日

Test Requirement

- Do not distribute testing data to end user
- All information vendors must prepare system backup in Production and Test environment before the test.
- During the test, client should write down their comments or technical issues for analysis & follow up. Client should report to “CIIS” in case any error or abnormal situation cause on this test.

Test Result

After the test, all client needs to report their result base on market rehearsal test form. Please email this form to technical@ciis.com.hk.

Technical Contact:

(00852) 2501 0060 (Sunny)

Appendix I – 25th February. 2023 Test Feedback form

Date of submission: 25th February. 2023

Name of vendor			
Test In-charge:		Test In-charge Contact No.:	
		Test In-charge Mobile No.:	
Test Result on your system			
Result 1	Market related system reformation	<input type="checkbox"/> Ready (Answer Result 3) <input type="checkbox"/> Not Ready (Answer Result 2)	
Result 2	Expected Ready time	<input type="checkbox"/> Before 3 March <input type="checkbox"/> Before 10 March <input type="checkbox"/> Before 17 March <input type="checkbox"/> Other: _____	
Result 3	Can receive and handle static file (cpxx0201, cpxx0202) and the values of the 4th, 8th, 9th , 11th digits of the “Product Status Flag” field and the “Price Limit Type” field are in line with expectations;	<input type="checkbox"/> Success applicable	<input type="checkbox"/> Fail <input type="checkbox"/> Not applicable
Result 4	Can receive and handle cpjc file	<input type="checkbox"/> Success applicable	<input type="checkbox"/> Fail <input type="checkbox"/> Not applicable
Result 5	Verification of price fluctuation limit: 1) For stocks listed in the initial public offering, there is no price limit for the first 5 trading days after listing; 2) The rise and fall of the main board stock price on the risk warning board is limited to 5% of the previous closing price; 3) The rise and fall of the main board stock price on the risk warning board is limited to 5% of the previous closing price;	<input type="checkbox"/> Success applicable	<input type="checkbox"/> Fail <input type="checkbox"/> Not applicable

Result 6	<p>Suspension and resumption verification:</p> <ol style="list-style-type: none"> 1) If the intraday trading price of a stock without price fluctuation limit rises or falls by 30% or more than the opening price of the day for the first time, a temporary intraday trading suspension will be implemented; 2) If the intraday trading price of a stock without price fluctuation limit rises or falls by 60% or more than the opening price of the day for the first time, a temporary intraday trading suspension will be implemented; 3) The duration of a single intraday temporary suspension is 10 minutes; 4) If the suspension time exceeds 14:57, trading will resume at 14:57 on the same day; 	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 7	Can receive and handle registered shares Level-2 and Level-1 market data	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 8	<p>Information business market terminal registration system stock display verification:</p> <ol style="list-style-type: none"> 1) Before the securities name: Add “N” on the first day of listing; Add “C” on listing 2-5 days (No need to add it yourself, just verify the display); 2) After the securities name: Add-UWD logo (Not mandatory); 3) Registered share logo (Not mandatory) 	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
Exception situation remarks:		
Technical contact: ()		