

(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: 1/4/2023
- Testing Time: 09:00 – 12:00
- Platform: Production Platform (ALC & TKO)

Test Content

- 1) Relevant changes in Product Information File cpXX0201 and cpXX0202 and Non-trading Basic information interface file fjy, including Main board stock price limit, Identification of securities names on the first day and second day of listing, Special logo (UWD) and Registered logo;
- 2) Registration-based stocks real time market data receive and handle;
- 3) Registration-based stock terminal display
- 4) ALC Level-2 bond market data and fixed-income transaction after-market can receive and handle

The test content is as follows:

Test Checkpoint	Test Details
(1) Static file receives and handle	<p>cpxx document verification</p> <ol style="list-style-type: none"> 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 (including the main board registration system and STAR Market logo); fjy document verification Non-trading Basic information interface file (fjyYYYYMMDD.txt) can receive and handle (if used). The "Non-trading order size" and "non-trading order minimum order quantity" of the main board registration shares stock issuance are changed to 500.
(2) Market data receive verification	<ol style="list-style-type: none"> Registered shares Level-2 market data verification; Registered shares Level-1 market data verification;
(3) Business related verification	<ol style="list-style-type: none"> Verification of price fluctuation limit: <ol style="list-style-type: none"> For stocks listed in the initial public offering, there is no price limit for the first 5 trading days after listing; Under other circumstances, the price rise and fall of the main board stock is limited to 10% of the previous closing price; Suspension and resumption verification <ol style="list-style-type: none"> 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

	<p>intraday trading suspension will be implemented;</p> <p>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;</p> <p>3) The duration of a single intraday temporary suspension is 10 minutes;</p> <p>4) If the suspension time exceeds 11:27, trading will resume at 11:27 on the same day;</p>
<p>(4) Terminal display verification (Display authorized users)</p>	<p>(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 and the second day of listing, UWD logo and the registration stock logo (Not mandatory), are in line with expectations.</p>

Test Checkpoint

- Static files receive and handle (Focus on the changes related to the registration system in the cpxx and fgy 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
- Level-2 and Level-1 market data can receive and handle
- Level-2 bond market data can receive and handle

- Level-2 Star market fixed-income transaction after-market can receive and handle
- System restores

Test Rundown

Time	Matching Trading Platform (MTP)	Time	Alternative Trading Platform
9:15-9:25	Send the opening call auction quote	9:15-9:25	Send the opening call auction quote
9:30-10:30	Send continuous auction quote	9:30-10:30	Send continuous auction quote
10:35-11:27	Send continuous auction quote	10:35-11:30	Send continuous auction quote
11:27-11:30	Send the closing auction quote	11:30-12:00	Star market fixed-income transaction after-market
11:30-12:00	MTP market related processing	12:00-14:00	Market Closing
12:00-14:00	Market Closing		
Time	New Bond Platform		

9:15-9:25	Send the opening call auction quote		
9:30-10:30	Send continuous auction quote		
10:35-11:30	Send continuous auction quote		
11:30-12:00	Send pledged REPO extended trading quote		
12:00-14:00	Market Closing		

Test Data

This test will use date back (31/3/2023) production data as canned data.

1. Subscription products for testing

产品代码	605996	601994	605891	605892	605893
证券简称	23 注测 01	23 注测 02	23 注测 03	23 注测 04	23 注测 05
发行方式	市值申购	市值申购	市值申购	市值申购	市值申购
发行价	5 元	5 元	5 元	5 元	5 元
网上发行数量	8000 万股	8000 万股	8000 万股	8000 万股	8000 万股
申购代码	707996	780994	707891	707892	707893
申购简称	23 注申 01	23 注申 02	23 注申 03	23 注申 04	23 注申 05

配号代码	708996	791994	708891	708892	708893
配号简称	23 注配 01	23 注配 02	23 注配 03	23 注配 04	23 注配 05
权益登记日 (T-1)	3 月 31 日	3 月 31 日	3 月 31 日	3 月 31 日	3 月 31 日
申购日 (T)	4 月 1 日	4 月 1 日	4 月 1 日	4 月 1 日	4 月 1 日
配号日 (T)	4 月 1 日	4 月 1 日	4 月 1 日	4 月 1 日	4 月 1 日
中签日 (T+1)	4 月 2 日	4 月 2 日	4 月 2 日	4 月 2 日	4 月 2 日
弃配及交收日 (T+3)	4 月 4 日	4 月 4 日	4 月 4 日	4 月 4 日	4 月 4 日
主承销商	中信建投	中信建投	中信建投	中信建投	中信建投
承销席位	21988	21988	21988	21988	21988
承销账户	D890023009	D890023009	D890023009	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	4 月 1 日	4 月 1 日

3. Product on the second day of listing for testing

证券代码	605997	605998
标的股票类型	注册制股票	注册制股票
证券简称	C23 注测 5	C23 注测 6
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	3 月 31 日	3 月 31 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) 2868 3431 (Wilson)

Appendix I – 1st April. 2023 Test Feedback form

Date of submission: 1st April. 2023

Name of vendor			
Test In-charge:		Test In-charge Contact No.:	
		Test In-charge Mobile No.:	
Test Result on your system			
Result 1	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
Result 2	fjy document verification Non-trading Basic information interface file (fjyYYYYMMDD.txt) can receive and handle (if used). The "Non-trading order size" and "non-trading order minimum order quantity" of the main board registration shares stock issuance are changed to 500.	<input type="checkbox"/> Success applicable	<input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 3	Registered shares Level-2 and Level-1 market data verification;	<input type="checkbox"/> Success applicable	<input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 4	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) Under other circumstances, the price rise and fall of the main board stock is limited to 10% of the previous closing price;	<input type="checkbox"/> Success applicable	<input type="checkbox"/> Fail <input type="checkbox"/> Not

Result 5	<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 11:27, trading will resume at 11:27 on the same day; 	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 6	<p>Information business market terminal registration system stock display verification:</p> <ol style="list-style-type: none"> 1) After the securities name: Add-UWD logo (Not mandatory); 2) Registered share logo (Not mandatory) 	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 7	<p>Level-2 bond market data can receive and handle (ALC Verification)</p>	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 8	<p>Level-2 Star market fixed-income transaction after-market can receive and handle (ALC Verification)</p>	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 9	<p>Level-2 and Level-1 market data can receive and handle</p>	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
Result 10	<p>System restores</p>	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not
<p>Exception situation remarks:</p>		
<p style="text-align: right;">Technical Contact: () :</p>		