

## (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: 8/4/2023
- Testing Time: 09:00 – 12:00
- Platform: Wan Chai Testing Platform (202.82.148.193)

### Test Content

- 1) Relevant changes in Product Information File cpXX0201 and cpXX0202 and Non-trading Basic information interface file fjy, including Main board stock (Including 5 main board stocks listed on the first day of listing under the registration-based system and stock approval stocks) price limit, Identification of securities names on the first day of listing and logo;
- 2) Registration-based stocks real time market data receive and handle;
- 3) Registration-based stock terminal display

The test content is as follows:

Test Checkpoint	Test Details
<p>(1) Static file receives and handle</p>	<p>cpxx document verification</p> <ol style="list-style-type: none"> <li>Cpxx0201 and cpxx0202 files receive and handle normally, the values of the 4<sup>th</sup>, 8<sup>th</sup>, 9<sup>th</sup> and 11<sup>th</sup> 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);</li> <li>fjy document verification <b>(There is no purchase business on that day)</b> 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.</li> </ol>
<p>(2) Market data receive verification</p>	<ol style="list-style-type: none"> <li>Registered shares Level-1 market data verification;</li> </ol>
<p>(3) Business related verification</p>	<ol style="list-style-type: none"> <li>Verification of price fluctuation limit: <ol style="list-style-type: none"> <li>For stocks listed in the initial public offering, there is no price limit for the first 5 trading days after listing <b>(5 subscription products)</b>;</li> <li>The rise and fall of the main board stock price on the risk warning board is limited to 5% of the previous closing price;</li> <li>Under other circumstances, the price rise and fall of the main board stock is limited to 10% of the previous closing</li> </ol> </li> </ol>

	<p>price;</p> <p>2. Suspension and resumption verification</p> <p>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;</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 (simulate production time 14:57), trading will resume at 11:27 (simulate production time 14:57) 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 of listing and logo, 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 market data receive and handle

- Registration-based stock terminal display
- Level-1 market data receive and handle
- Option market data can receive and handle (if authorized)
- 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	Block trading
11:30-12:00	MTP market related processing	12:00-14:00	Market Closing
12:00-14:00	Market Closing		
Time	New Bond Platform	Time	Derivatives 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
10:35-11:30	Send continuous auction quote	10:35-11:27	Send continuous auction quote
11:30-12:00	Send pledged REPO extended trading quote	11:27-11:30	Send the closing auction quote
12:00-14:00	Market Closing	11:30-12:00	DTP marketing related processing
		12:00-14:00	Market Closing

## Test Data

This test will use date back (7/4/2023) production data as canned data.

- 5 subscription products on the first day of listing (Please refer the cpxx file for details):

证券代码	603135	603125	601061	601133	601065
证券简称	中重科技	常青科技	中信金属	柏诚股份	江盐集团

## 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](mailto:technical@ciis.com.hk).

## Technical Contact:

**(00852) 2501 0060 (Sunny)**

Appendix I – 8<sup>st</sup> April. 2023 Test Feedback form

Date of submission: 8<sup>st</sup> April. 2023

Name of vendor			
Test In-charge:		Test In-charge Contact No.:	
		Test In-charge Mobile No.:	
<b>Test Result on your system</b>			
<b>Full Implementation of the Stock Issuance Registration clearance test</b>			
<b>Including 5 main board stocks listed on the first day of listing under the registration-based system and stock approval stocks on feedback</b>			
<b>Result 1</b>	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
<b>Result 2</b>	Registered shares Level-1 market data receive and handle;	<input type="checkbox"/> Success applicable	<input type="checkbox"/> Fail <input type="checkbox"/> Not
<b>Result 3</b>	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) 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

<b>Result 4</b>	<p>Suspension and resumption verification:</p> <p>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;</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 (simulate production time 14:57), trading will resume at 11:27 (simulate production time 14:57) on the same day;</p>	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not applicable
<b>Result 5</b>	<p>Information business market terminal registration system stock display verification:</p> <p>1) securities name (“N” for first day)</p> <p>2) Registered share logo (Not mandatory)</p>	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not applicable
<b>Other test content</b>		
<b>Result 6</b>	Static files can receive and handle	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not applicable
<b>Result 7</b>	Option market data can receive and handle (if authorized)	<input type="checkbox"/> Success applicable <input type="checkbox"/> Fail <input type="checkbox"/> Not applicable
Exception situation remarks:		
Technical Contact: ( ) :		