

Guidance Notes on Setting Up CCASS User Profile (for New CCASS Participant) **設立中央結算系統認可使用資料指引(中央結算系統新參與者適用)**

1. The applicant must complete the ‘User Profile for Delegated Administrator for New CCASS Participant’ to appoint its own administrators (at least one maker and one checker Delegated Administrator [DA]) to maintain user profiles and reset smartcard passwords of its authorised users. Please refer to Appendix I Administration Right Listing to ensure correct completion.

申請人必須填寫‘中央結算系統新參與者的管理人員的使用組別資料’以委派其管理人員(最少有一名輸入及一名核對管理人員)處理其認可使用者的使用權利及更新聰明卡的密碼。為確保填寫正確，請參閱附件 I 管理權利列表。

The applicant also needs to complete the ‘Smartcard Request Form for New CCASS Participant’ requesting smartcards for its authorised users to perform various CCASS functions.

申請人亦需填寫‘中央結算系統新參與者的聰明卡申請表’替其認可使用者申請聰明卡，讓認可使用者執行各項中央結算系統功能。

Please call CCASS hotline at 2979-7111 if you need further assistance.

如需進一步協助，請電中央結算及交收系統查詢熱線 2979-7111。

2. For better internal control, HKEX recommends the applicant to appoint staff not involved in CCASS operations as DAs.

為求達到更佳內部管制，香港交易所建議申請人委派非參與中央結算系統運作的員工為管理人員。

3. In the event of the applicant’s successful application as a CCASS Participant, HKEX will contact the applicant for the collection of smartcards issued to each of its DAs and authorised users before commencement of its approved use of the CCASS services. HKEX will charge the applicant a fee for each smartcard issued.

如申請人被接納為中央結算系統參與者，香港交易所將於申請人開始使用中央結算系統前，通知申請人領取每位管理人員及認可使用者的聰明卡。而每一張發出的聰明卡，香港交易所會向申請人收取費用。

4. On the commencement date to use CCASS services, maker and checker DAs should refer to Appendix II User Access Level Assignment to grant appropriate access authority to the authorised users regarding user access level (user group) and transaction limit etc. Addition of user access levels to authorised users will be effective the following one to two hours after execution.

在開始使用中央結算系統當日，輸入及核對管理人員可參閱附件 II 使用者的系統功能使用組別，授權予認可使用者適當的使用組別(使用者組別)及交易限額等。替使用者增設使用組別將在執行後的一至二小時才生效。

In assigning the user access level to authorised users, the participant should evaluate its risk control requirements to meet its own operational needs. The participant should consider whether to assign one of its users the full and highest authority, i.e. a combination of all access levels such that its daily CCASS operations can still function in full when one of its users is absent from office, taking into account of its internal control effectiveness.

在分配使用組別時，申請人應分析和評估其風險管制需求，以使其日常運作發揮高度效益。同時申請人應就其內部控制需求，考慮是否需要有一名使用者獲全面及至高授權，即可使用全部系統功能，以便如有任何一使用者不在時，全部功能皆可如常運作。

5. Subsequent changes or amendments to the DAs’ administration rights must be made on prescribed form ‘User Profile for Delegated Administrator (DA)’ and additional smartcards can be requested by completing ‘Smartcard Request Form for CCASS/CCMS User’. Both of the forms can be downloaded from the CCASS Terminal User Guide for Participants. Completed forms should be submitted to HKEX at least three working days prior to the stipulated effective date.

倘若管理人員的管理權利其後有任何轉變或更改，參與者須填寫指定表格‘User Profile for Delegated Administrator (DA)’作出申請；此外，參與者可填寫‘Smartcard Request Form for CCASS/CCMS User’申請額外的聰明卡。上述申請表格可於參與者適用的「中央結算系統終端機使用者指引」下載。填妥的表格須於指定生效日期前最少三個工作日送交香港交易所辦理。