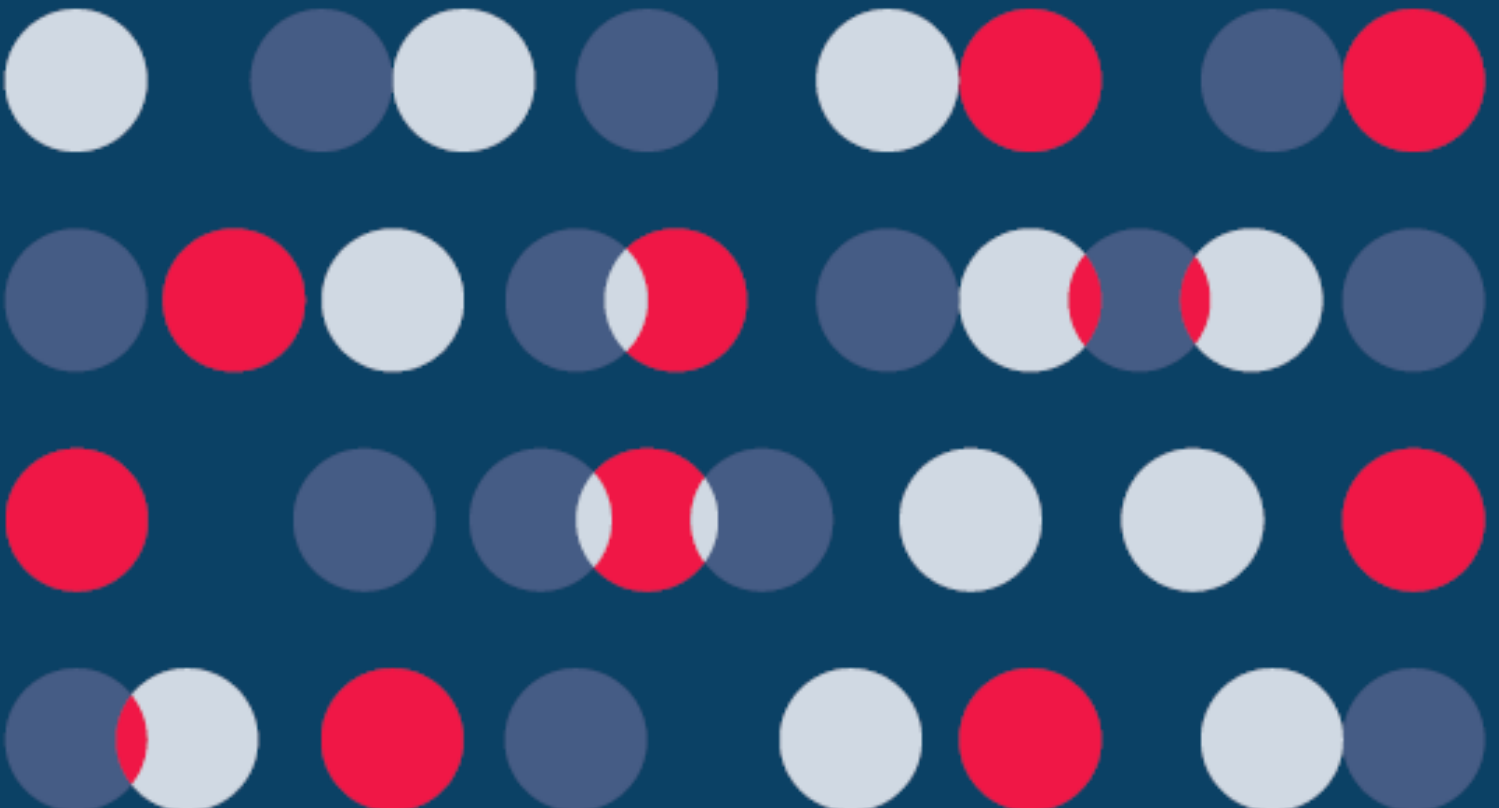


OTC Clearing Hong Kong Limited

OTC ACCOUNT SERVICES INFORMATION SYSTEM (“OASIS”) WEB PORTAL USER MANUAL

Part II – OASIS USER ACCOUNT ADMINISTRATION PORTAL



Disclaimer

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The information of this document serves for education, training and/or on-boarding purposes only. HKEx assumes no responsibility for any errors, omissions or conflicts with clearing house rules, procedures and other official notice/circulars. Also, all examples in this document are used for illustration purposes only, and should not be considered the results of actual market circumstances. All matters pertaining to specifications herein are made subject to further revision and are superseded by official HKEx rules.

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Amendment Log

Updated Date	Document / Section	Description
May 2014	Part II	- Insert new part (Part II) to illustrate the new features provided with the User Administration portal.
Sep 2015	Part 2.1.3	- Update note on character limit for OASIS login ID
Dec 2015	Part 2.7-9	- New part to illustrate the new features provided with the User Administration portal
Apr 2016	Part 2.9	- Update on Audit Trail Report - Update HKEx logo
Mar 2021	Part 2.7	- Update groups for new OASIS User accounts

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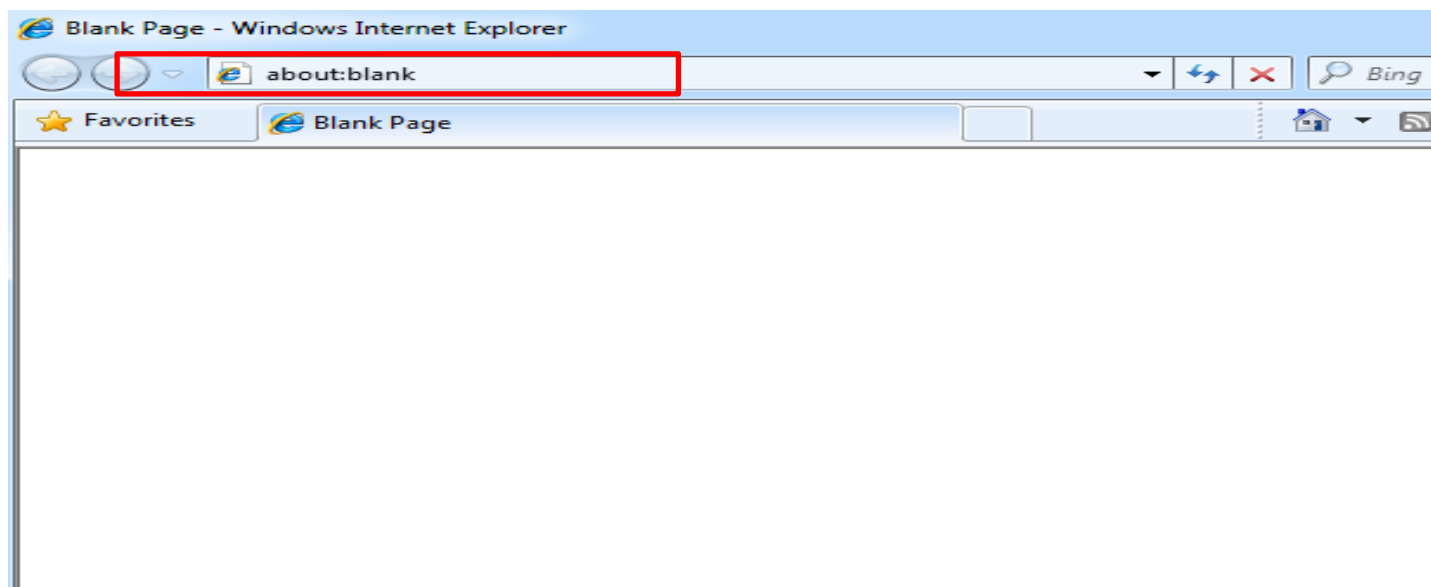
1. Getting Started

1.1. Logon and Logoff


This section explains the procedures for connecting to and dis-connecting from Portal (i.e. **logon** and **logoff** the Web Portal).

1.1.1. Portal Logon

1. Launch Internet Explorer
2. Type Portal URL [<https://www.otcclearinghk.com/eSelfService>] into the box next to the address field and press Enter key in the keyboard



3. The following login screen will be displayed.



The screenshot shows a login window titled "Please Log In" with the HKEX logo and Chinese characters "香港交易所". It contains the following fields and elements:

- Username:** A text input field.
- Password:** A text input field.
- Sign In:** A button.
- Language:** A dropdown menu currently set to "English".
- OTC Clearing Hong Kong Limited (Plike):** Text at the bottom of the window.

4. Input OASIS User login ID and password, then click **Sign in**

Please Log In

HKEX
香港交易所

Username

Password

Language

OTC Clearing Hong Kong Limited (Plike)

Please note: username (i.e. login ID) must be in lowercase letters.

5. The following screen will be displayed when the logon is successful

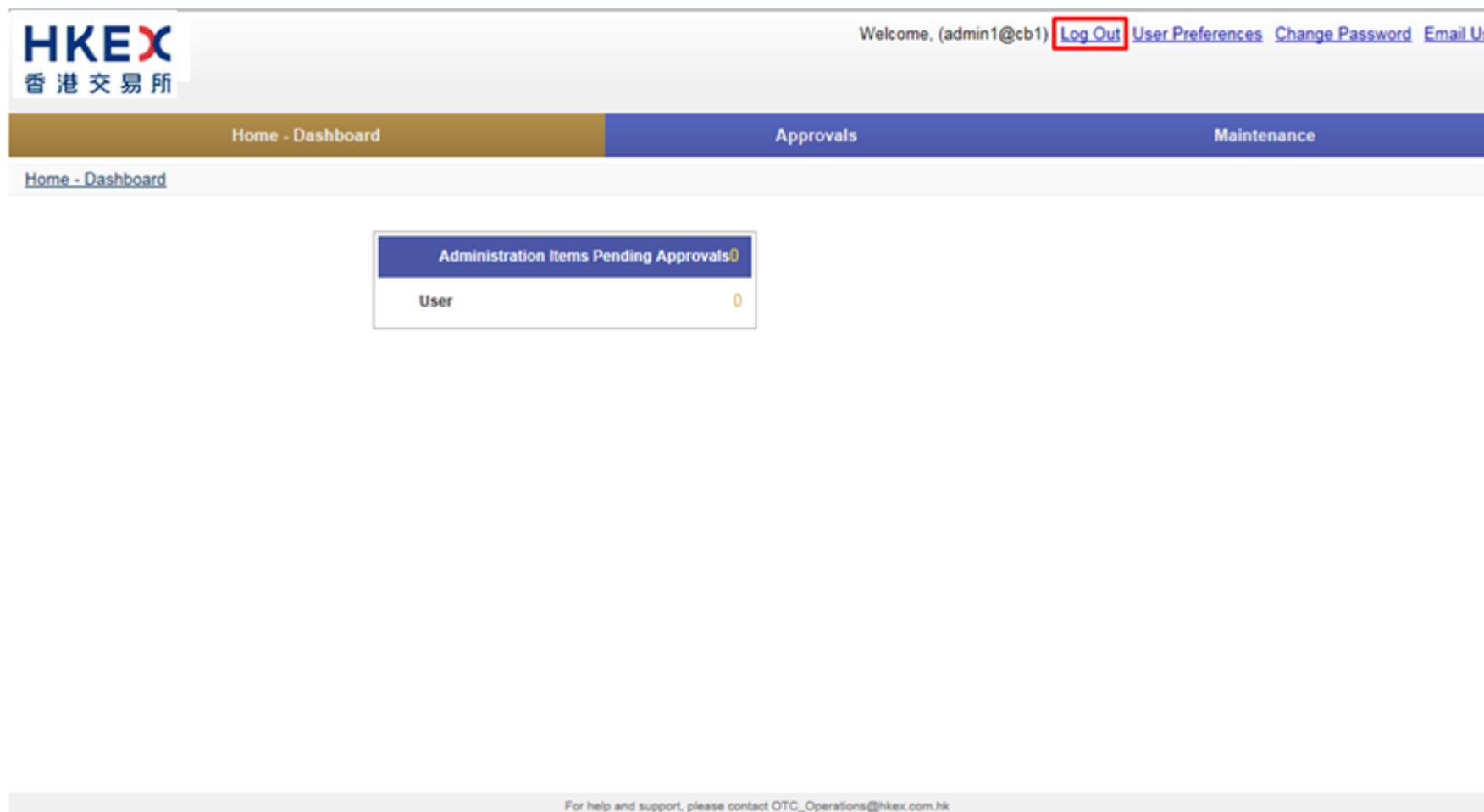
The screenshot displays the OASIS Web Portal dashboard. At the top left is the HKEX logo (香港交易所). At the top right, it says "Welcome, (admin1@cb1)" followed by links for "Log Out", "User Preferences", "Change Password", and "Email Us". Below this is a navigation bar with three tabs: "Home - Dashboard" (highlighted in gold), "Approvals" (highlighted in blue), and "Maintenance" (highlighted in blue). Under the "Home - Dashboard" tab, there is a link "Home - Dashboard". In the center of the page, there is a summary box titled "Administration Items Pending Approvals" with a count of 0. Below this title, there is a table with one row: "User" with a count of 0.

Administration Items Pending Approvals	
User	0

For help and support, please contact OTC_Operations@hkex.com.hk

1.1.2. Portal Logoff

1. Click the **Log Out** hyperlink at the top right hand corner.

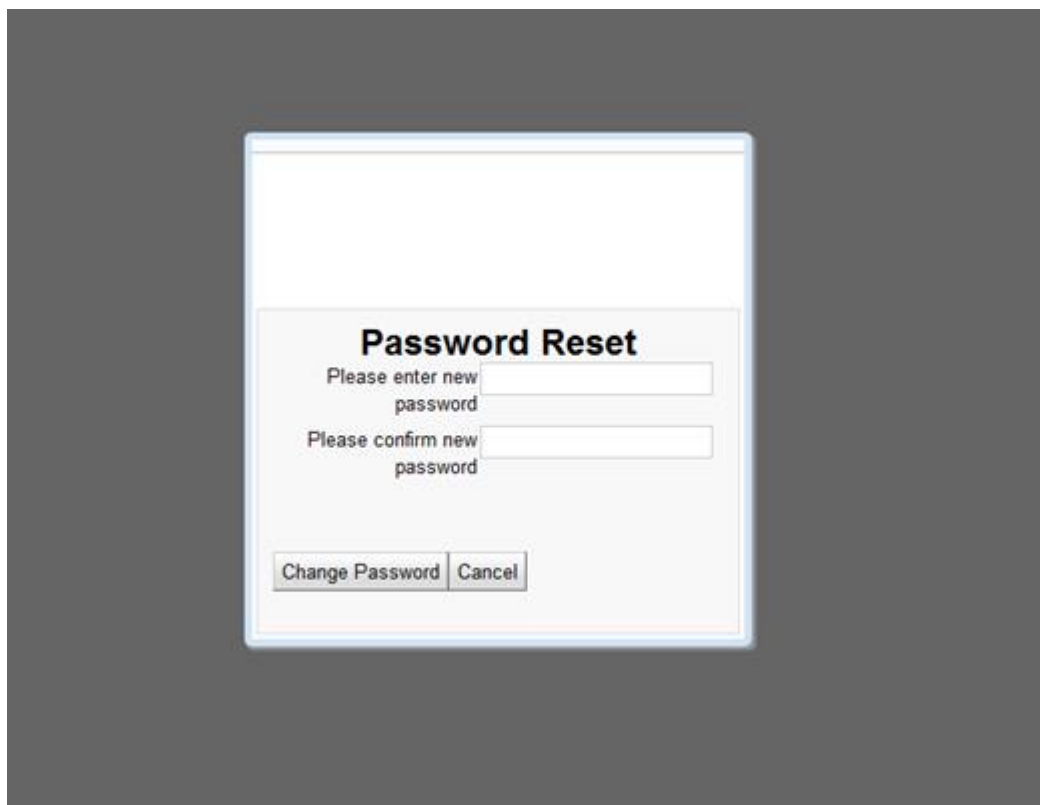


The user will be return to the logon screen illustrated in **Part II, Section 1.1.1.**

1.2. Password Management

1.2.1. First Time Logon

After logging on using the temporary password, the system will require you to change the password before proceeding.



The image shows a 'Password Reset' dialog box with a white background and a light blue border. The title 'Password Reset' is centered at the top. Below the title, there are two text input fields. The first field is preceded by the text 'Please enter new password' and the second by 'Please confirm new password'. At the bottom of the dialog, there are two buttons: 'Change Password' and 'Cancel'.

1.2.2. *Voluntarily change of password*

OASIS will force user to change password at least once every 90 days. Prior to the system's mandatory change of password, user can change his/her password voluntarily after logging into OASIS.

User can initiate a change of password by selecting **Change Password** at the upper right hand corner.

Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

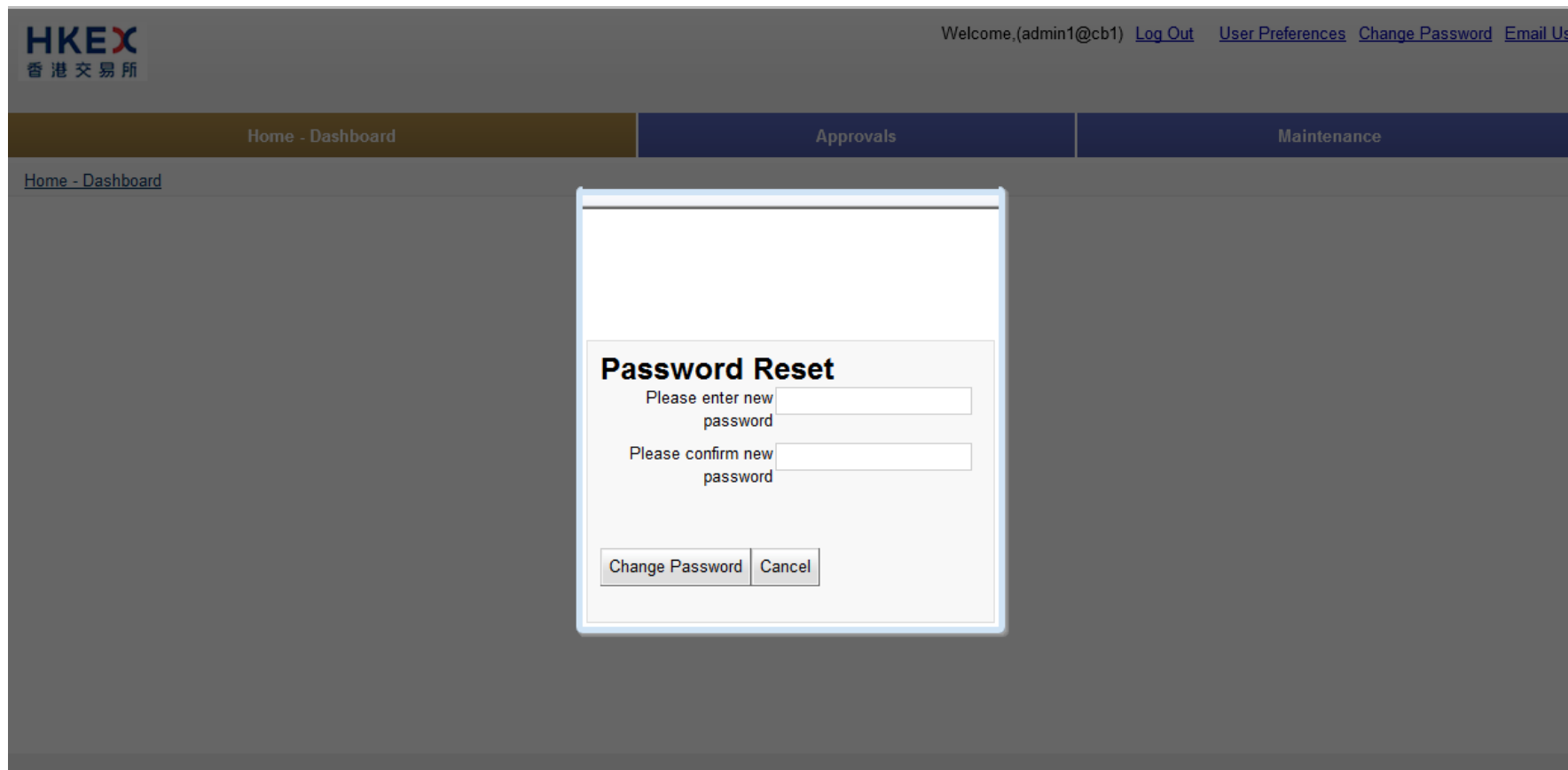
Home - Dashboard Approvals Maintenance

[Home - Dashboard](#)

Administration Items Pending Approvals	
User	0

For help and support, please contact OTC_Operations@hkex.com.hk

The below message box will be prompted after selecting the hyper link.

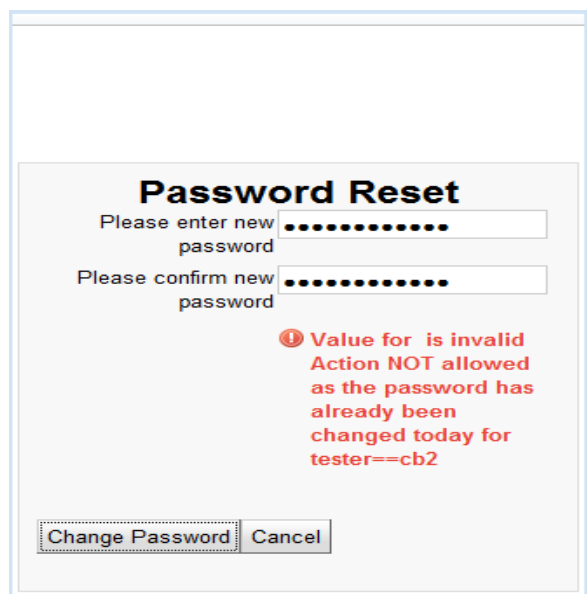


Please make reference to the below password guidelines when setting the password.

1. Password shall contain at least 10 characters;
2. Password shall contain a combination of letters (both upper & lower case) and numbers (0-9)
3. User account will be locked upon 6 consecutive unsuccessful login attempts

4. Password shall be changed at least every 90 days
5. Password will not be allowed to change on the same day upon completion of a password change

An error message will be prompted if user tried to input an invalid password. Below is an example of the error message when the password violated guideline #5).



The screenshot shows a web form titled "Password Reset". It contains two input fields: "Please enter new password" and "Please confirm new password", both filled with dots. Below the fields is a red error message: "Value for is invalid Action NOT allowed as the password has already been changed today for tester==cb2". At the bottom of the form are two buttons: "Change Password" and "Cancel".

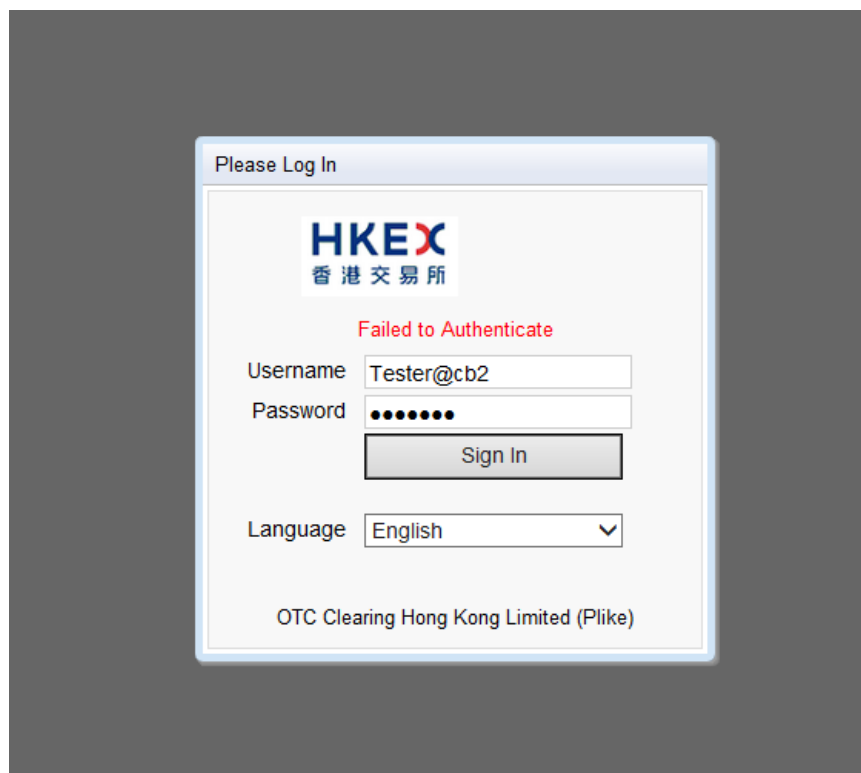
1.2.3. Common Reasons for Invalid Login

The error message "Failed to Authenticate" will be displayed for invalid login attempt. There are several scenarios that will trigger this message. The common reasons are:

1. The User ID provided does not exist or the password entered does not match with the corresponding User ID.

2. The User ID is locked by the system after more than 6 invalid login attempts.
3. The User logs in outside the operating hours.

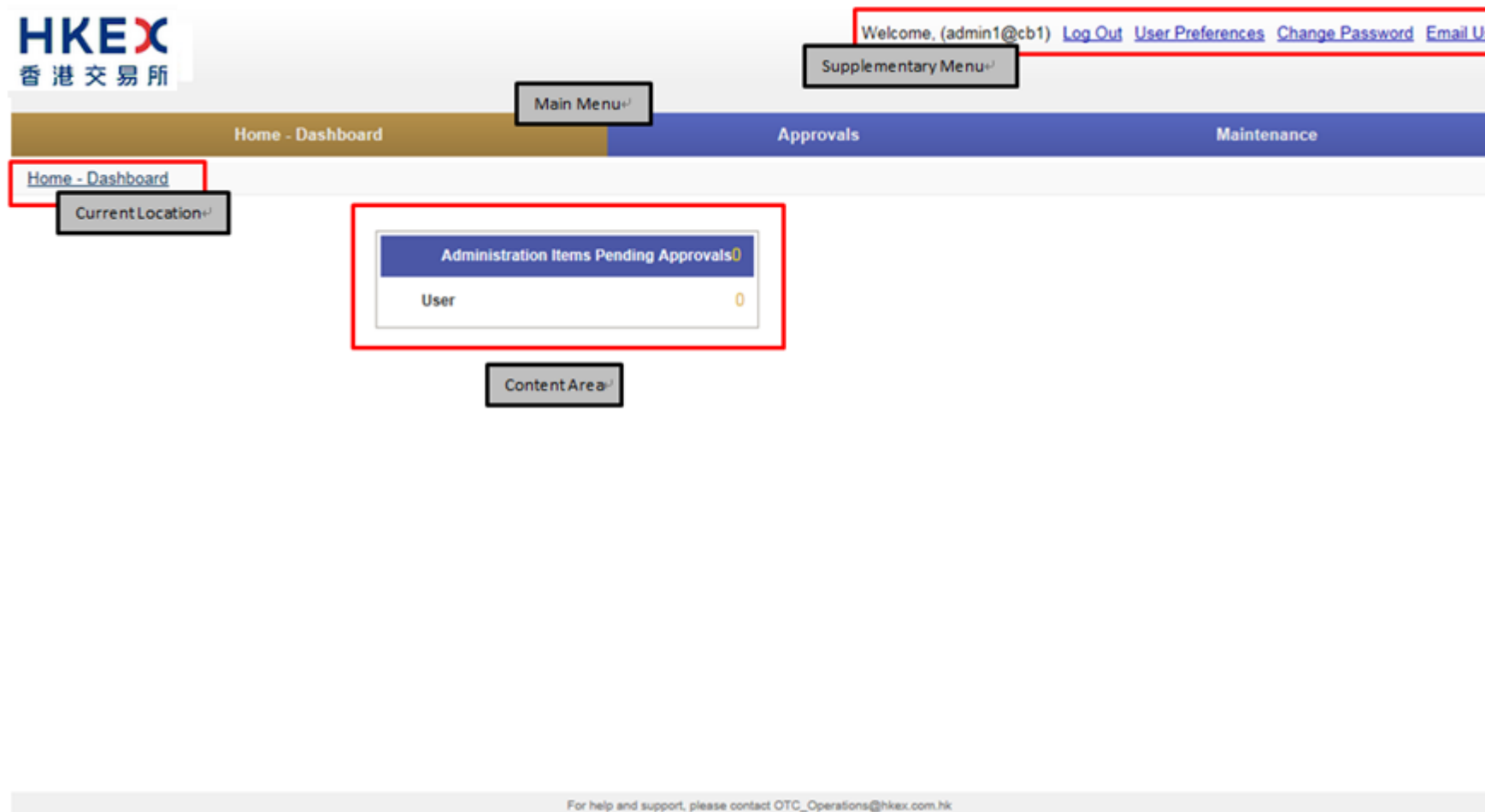
User should contact HKEx OTC Clear Operations team for further assistance.



1.3. Screen Layouts




1.3.1. Home Page

The Home Page is divided into following sections as shown in the diagram.



MAIN MENU: Locate at the upper section of the screen. It lists the core functions of the Collateral Management Portal.

The following functions are available for access through the Main Menu.

Functions	Descriptions
<p>HOME</p> 	Return to the HOME page
<p>APPROVALS</p> 	<ol style="list-style-type: none"> 1) View and search outstanding approval requests; 2) Approved/rejected requests <p>Please refer to Part II, Section 2.5 for details.</p>
<p>MAINTENANCE</p> 	<ol style="list-style-type: none"> 1) View and search status of users created for this Clearing Member/Broker 2) Create new users 3) Amend setting of existing users 4) Extract the list of users 5) View Admin Audit Report <p>Please refer to Part II, Section 2 for details.</p>

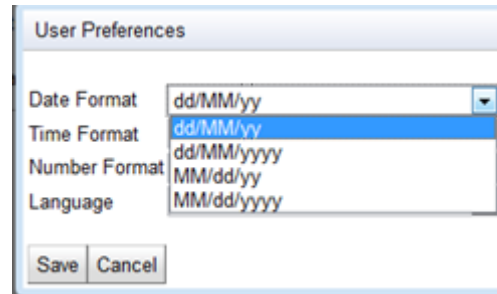
SUPPLEMENTARY MENU: Locate at the upper right hand corner of the screen. It displays the name of the user log into OASIS and a dropdown box listing the Clearing Member ID available for the login user. Also, it provides hyperlinks for the following features for user to select: (1) Log Out, (2) User Preference, (3) Change Password, and (4) Email Us.

Hyperlink	Descriptions
Log Out	End the user login session and log off from the portal.

User Preference

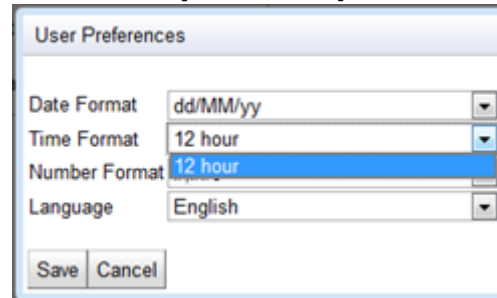
A dialogue box will be prompted and allow user to personalize its OASIS setting on

1) Date Format



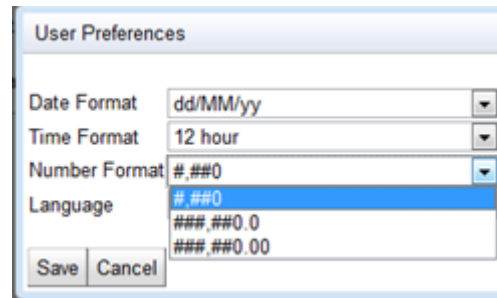
The screenshot shows a 'User Preferences' dialog box with four dropdown menus. The 'Date Format' dropdown is open, showing options: 'dd/MM/yy' (selected), 'dd/MM/yy', 'dd/MM/yyyy', 'MM/dd/yy', and 'MM/dd/yyyy'. 'Save' and 'Cancel' buttons are at the bottom.

2) Time Format [not available]

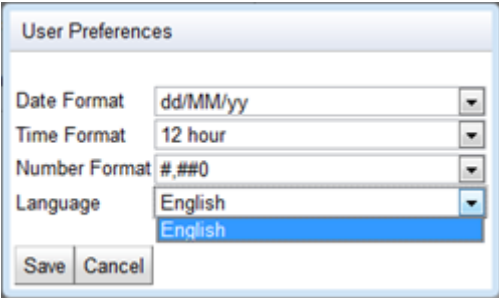


The screenshot shows a 'User Preferences' dialog box. The 'Time Format' dropdown is open, showing options: '12 hour' (selected), '12 hour', and '24 hour'. 'Save' and 'Cancel' buttons are at the bottom.

3) Number Format



The screenshot shows a 'User Preferences' dialog box. The 'Number Format' dropdown is open, showing options: '#,##0' (selected), '#,##0', '###,##0.0', and '###,##0.00'. 'Save' and 'Cancel' buttons are at the bottom.

	<p>Please note this setting will affect the number displayed during submission of collateral request. Number will be rounded to the decimal placed elected.</p> <p>4) Language [not available]</p>  <p>The new preference will take effect at the next login.</p>
Change Password	<p>Initiate a change of password.</p> <p>Please refer to Part II, Section 1.2.2 for details.</p>
Email us	<p>Initiate an email to OTC Clear with the default email program.</p> <p>The email will be addressed to : OTC_Operations@HKEX.COM.HK</p>

CURRENT LOCATION: Locate below the Main Menu. It displayed the current location of the user’s login session.

CONTENT AREA: Locate below the Current Location section. It displayed the contents of the selected function from the **MAIN MENU**. For the Home Page, it defaulted to display the dashboard.

Administration Items Pending Approvals	0
User	0

2. User Accounts Management

2.1. Create New OASIS User Accounts

2.1.1. Function Description

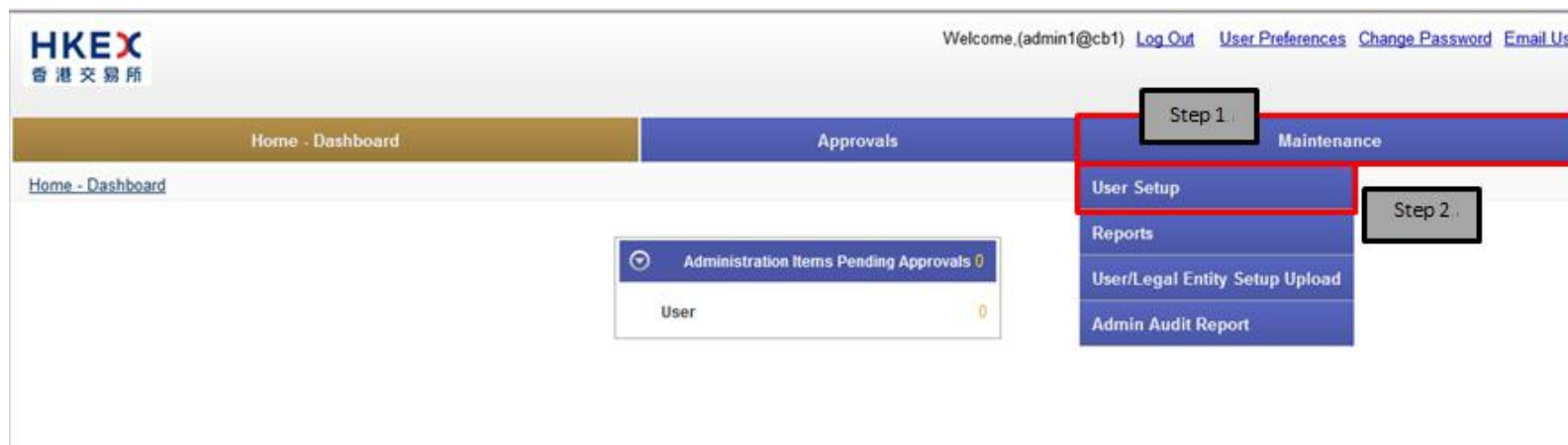
To create a new OASIS user account

2.1.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.1.3. How to Use (Step by Step)




1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User Setup**.



2. Current Location will be updated and the Content Area will display all the OASIS User Accounts for this Clearing Member.


Home - Dashboard Approvals Maintenance


[Home - Dashboard](#) > [User Setup](#)


Filter   





User Id





Status
 Unlocked

 Refresh

 Reset to Defaults

Showing 1 - 4 of 4 

Rows   **1**  

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status
	cb2_user1	cb2_user1	cb2_user1	cb2_user1	cb2		12/12/2014	Unlocked
	cb2_user2	cb2_user2	cb2_user2	cb2_user2	cb2		12/09/2014	Unlocked
	cb2_user3	cb2_user3	cb2_user3	cb2_user3	cb2			Unlocked
	cb2_user4	cb2_user4	cb2_user4	cb2_user4	cb2			Unlocked

For help and support, please contact OTC_Operations@hkex.com.hk

3. To create a new OASIS user account, click **Add User**.

4. A message box will be prompted asking for the following detail of the new users:
User Name (i.e. "User") / Email / First Name / Last Name / Temporary Password (i.e. "Password")

These fields must be populated before proceeding to the next page.

*Note: The User Name will become part of the login ID of the OASIS user account (i.e. **user@ClearingMemberID**; in lowercase letters). The login ID of the OASIS user account must be limited to 31 characters.*

The screenshot displays the 'User Details Setup' form in the OASIS web portal. The form is titled 'User Details Setup' and 'Setup user'. It contains several input fields: 'User *', 'Email *', 'First Name *', 'Last Name *', 'Password', 'Retype Password', 'Note', and 'Model User'. The 'User *' field is populated with 'tester2@cb2'. The form also has 'Cancel', 'Previous', and 'Next' buttons at the bottom. The background shows the HKEX portal interface with a navigation menu and a table of user accounts.

Last Login	Status
12/12/2014	Unlocked
12/09/2014	Unlocked
	Unlocked
	Unlocked

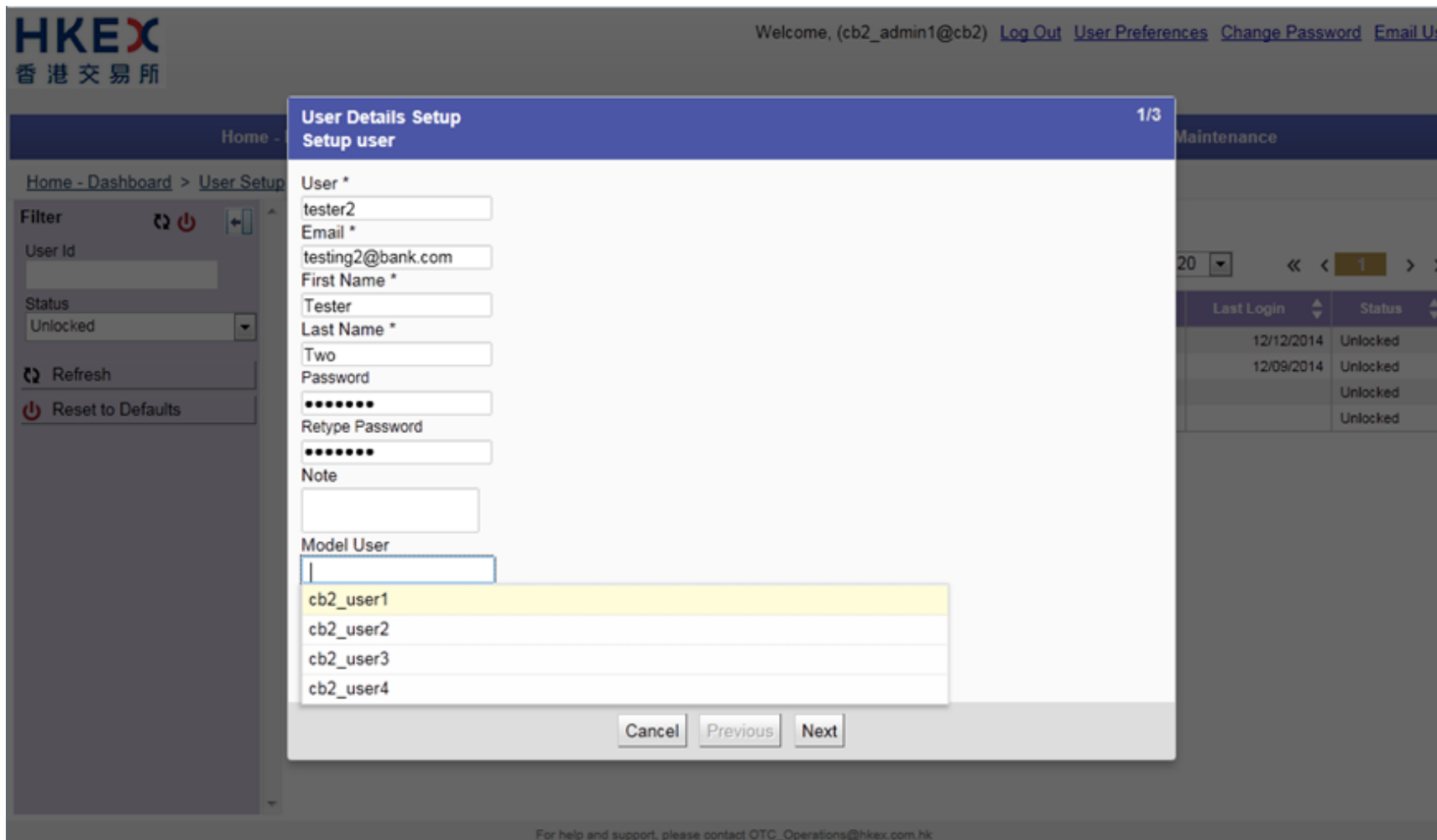
A sample with fields populated. Login ID for this sample OASIS user account will be **“tester2@cb2”**.

The screenshot displays the OASIS Web Portal User Account Administration Portal. The main header shows the HKEX logo and the text '香港交易所'. The user is logged in as 'cb2_admin1@cb2' and has access to links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us'. The main content area is titled 'User Details Setup' and 'Setup user'. The dialog box contains the following fields:

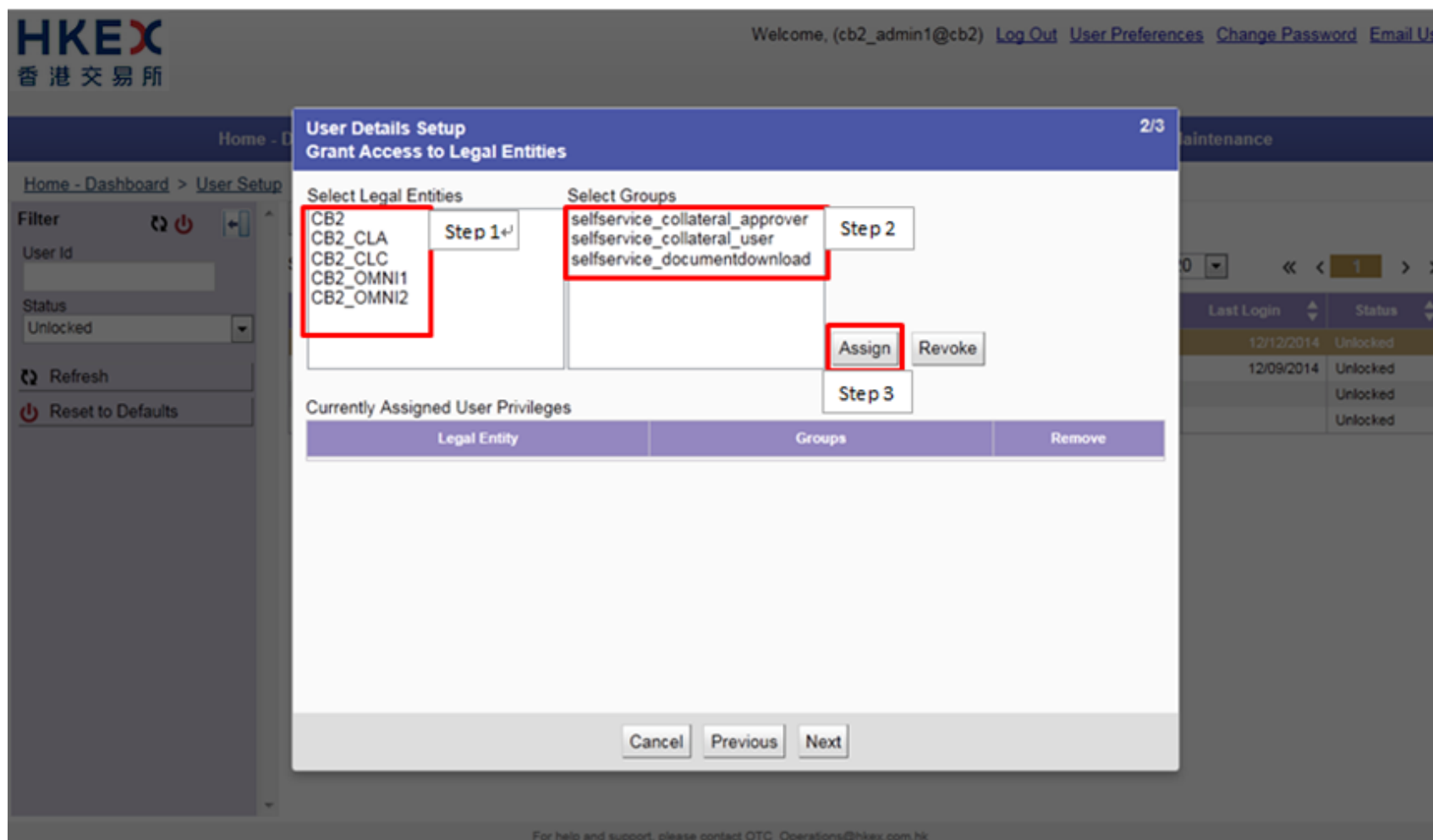
- User * (text input: tester2)
- Email * (text input: testing2@bank.com)
- First Name * (text input: Tester)
- Last Name * (text input: Two)
- Password (password input: masked with dots)
- Retype Password (password input: masked with dots)
- Note (text area)
- Model User (text input)

At the bottom of the dialog box are buttons for 'Cancel', 'Previous', and 'Next'. The background shows a table with columns for 'Last Login' and 'Status', and a 'Refresh' button.

Note: You might use the **Model User** feature to reference the setup of an existing user. This can reduce the time to select user access group in the coming steps. A dropdown menu with all existing users will be available when clicking that feature.

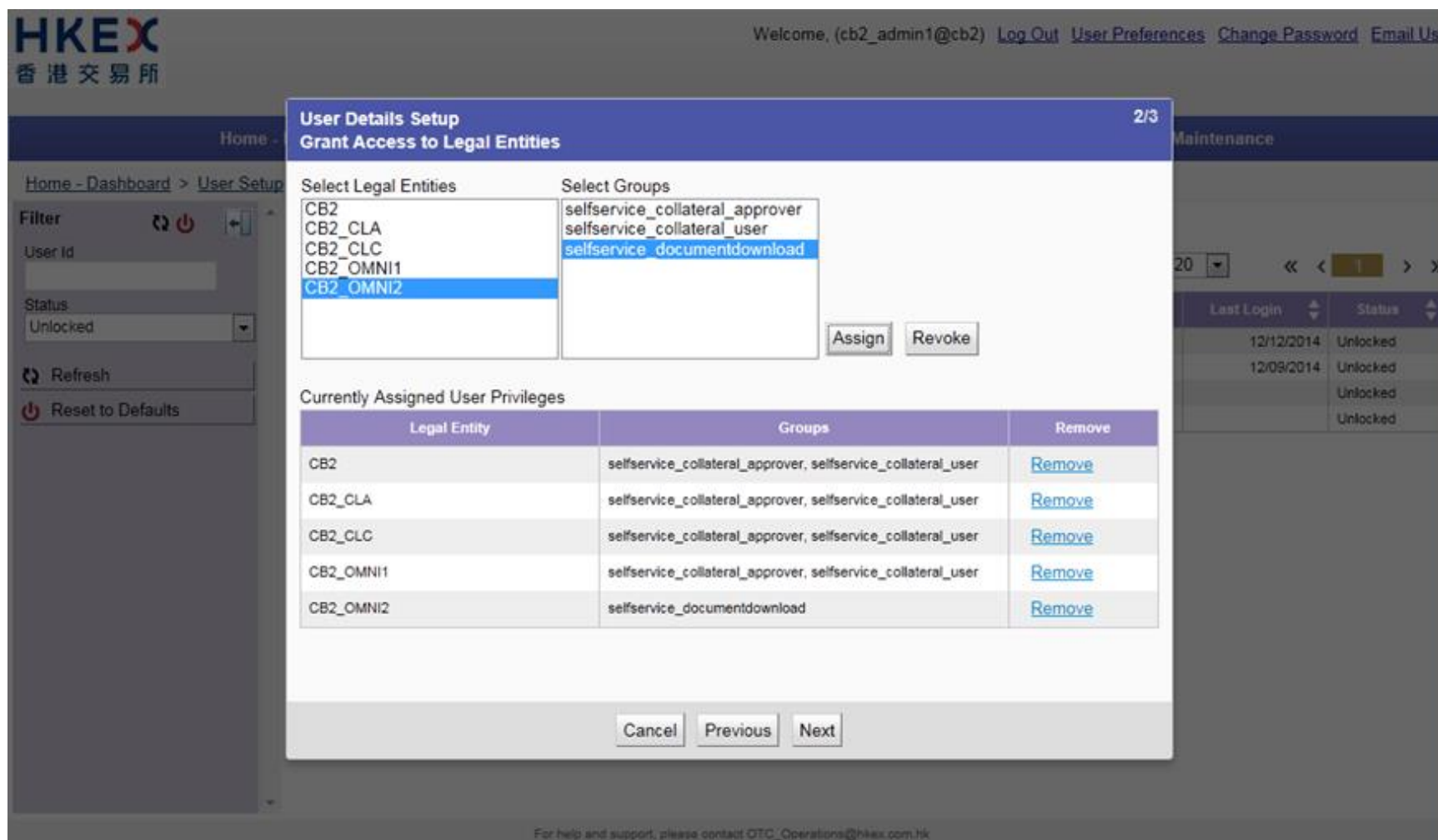


- Assign the combination of “Legal Entities” (i.e. Clearing Member/Client) and the “Groups” (i.e. User Access Group) for this new user account.

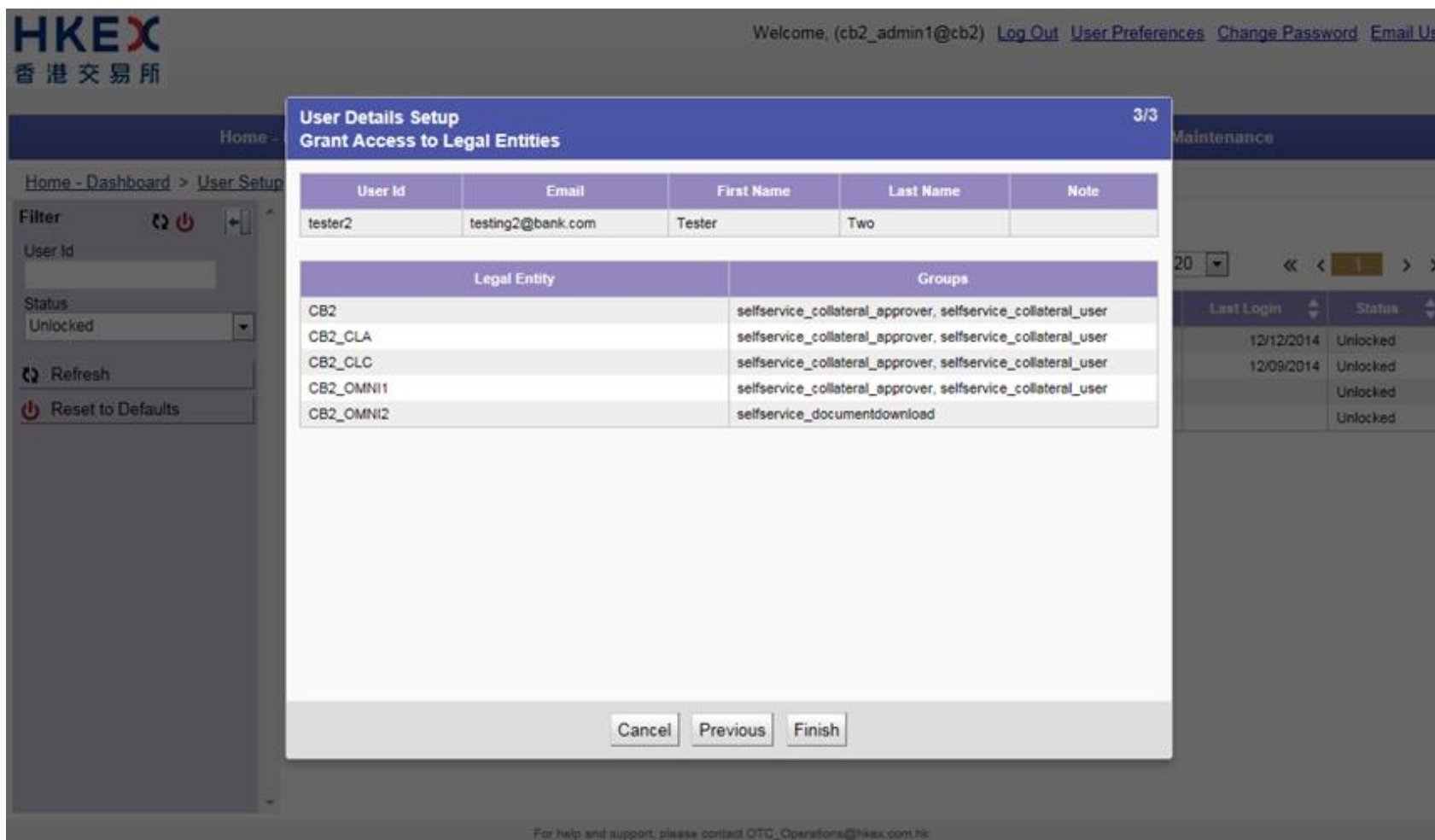


6. Review the Legal Entities access and the Profile assigned. User can use **Assign** and **Revoke** to amend the Combinations of Legal Entity / Group. To remove the entire row for a Legal Entity, click **Remove**. To abort the user account creation process, click **Cancel**.

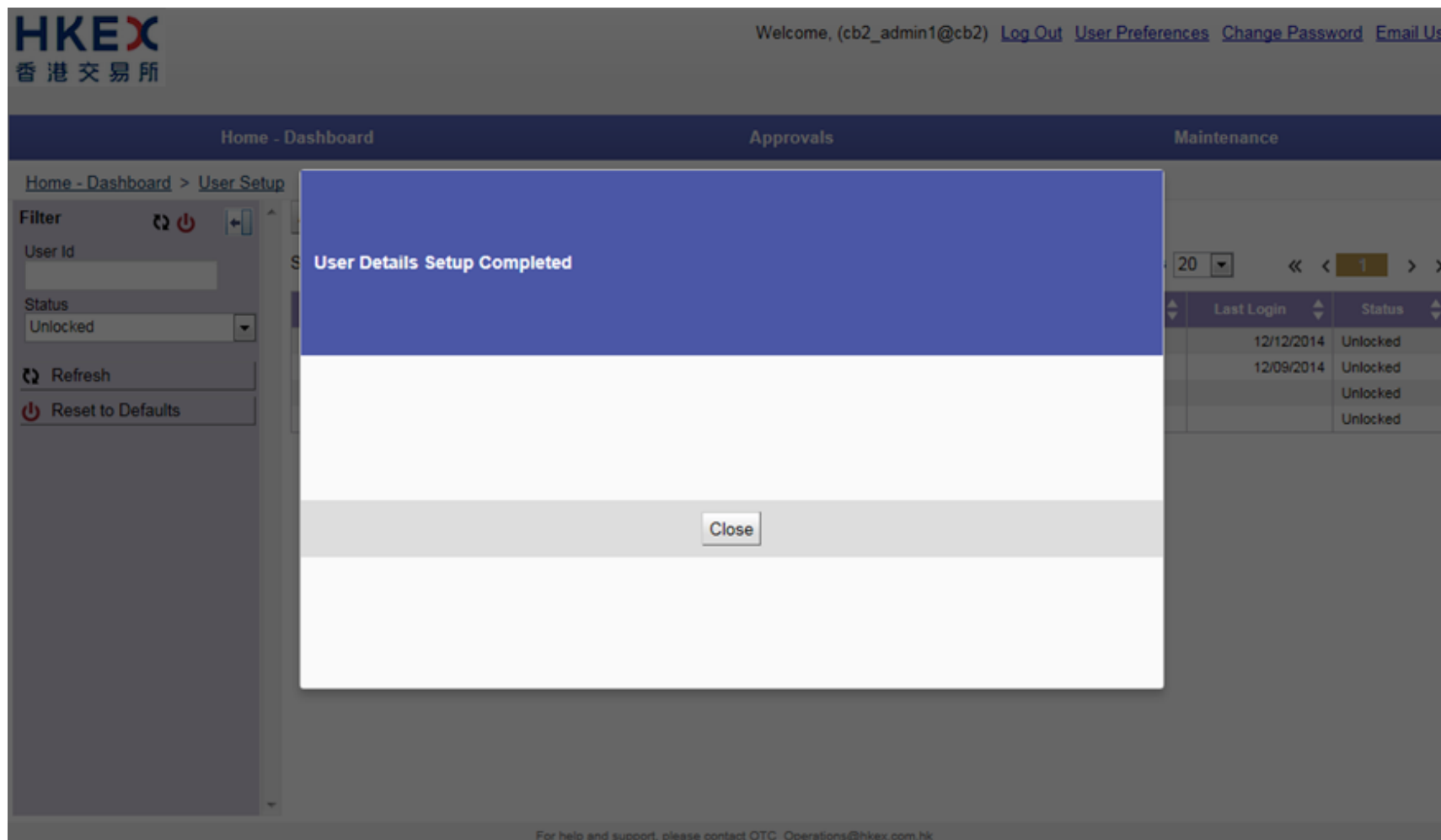
For the functions available to each user access group, please refer to **Part I, Section 4.2**.



- The detail of the user account will be displayed for final review. If the details are correct, Click **Finish**; otherwise, click **Previous** for amendment or **Cancel** to cancel the creation.



- After clicking **Finish**, the following screen will appeared. User can continue using other functions of OASIS by clicking **Close**.






9. After clicking close, the user will return to the “User Setup” window. The new user will not appear in the user list until a different user approved the creation. For approval process, please refer to **Part II, Section 2.5**.

HKEX 香港交易所

Welcome, (cb2_admin1@cb2) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)


Home - Dashboard Approvals Maintenance


Home - Dashboard > User Setup


Filter   





User Id





Status
 Unlocked

 Refresh

 Reset to Defaults

Showing 1 - 4 of 4 

Rows   **1**  

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status
	cb2_user1	cb2_user1	cb2_user1	cb2_user1	cb2		12/12/2014	Unlocked
	cb2_user2	cb2_user2	cb2_user2	cb2_user2	cb2		12/09/2014	Unlocked
	cb2_user3	cb2_user3	cb2_user3	cb2_user3	cb2			Unlocked
	cb2_user4	cb2_user4	cb2_user4	cb2_user4	cb2			Unlocked

For help and support, please contact OTC_Operations@hkex.com.hk

2.2. Amendment of OASIS User Accounts

2.2.1. Function Description

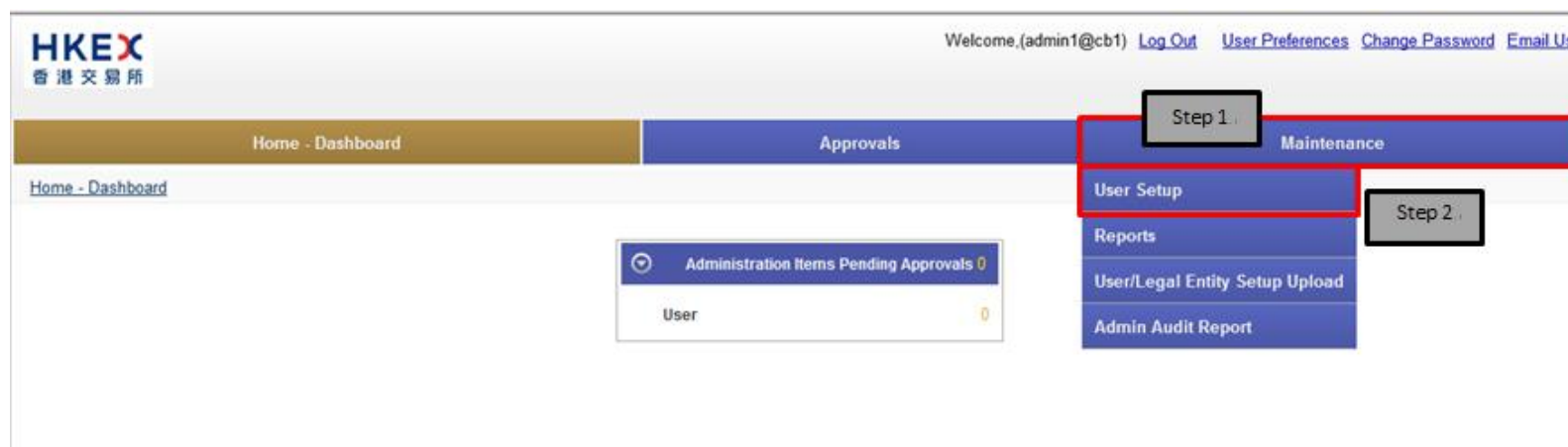
To amend the details of an OASIS user accounts.

2.2.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.2.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User Setup**.



2. Current Location will be updated and the Content Area will display all the OASIS User Accounts for this Clearing Member.

The screenshot shows the OASIS User Setup interface. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals', and 'Maintenance'. Below this, a breadcrumb trail shows 'Home - Dashboard > User Setup'. The main area contains a table of users with columns: Actions, User Id, First Name, Last Name, Email, Client, Description, Last Login, Status, and Lock Reason. A red box highlights the 'Actions' column and the first seven rows of the table. The table data is as follows:

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

- To amend the detail of an OASIS user account, click the icon in the **Actions** column of the user account to be amended

The screenshot shows the OASIS Web Portal User Account Administration Portal. The page title is "Home - Dashboard > User Setup". The navigation bar includes "Home - Dashboard", "Approvals", and "Maintenance". The user is logged in as "admin1@cb1" and has links for "Log Out", "User Preferences", "Change Password", and "Email Us".

The "User Setup" section includes a "Filter" sidebar with "User Id" and "Status" (set to "Unlocked") filters, and "Refresh" and "Reset to Defaults" buttons. The main area has "Add User" and "Export" buttons. The table displays 10 users, with the "Actions" column highlighted by a red box.

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

- After clicking the icon, the selected OASIS user account will be highlighted and an action box will be displayed.

HKEX 香港交易所

Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter

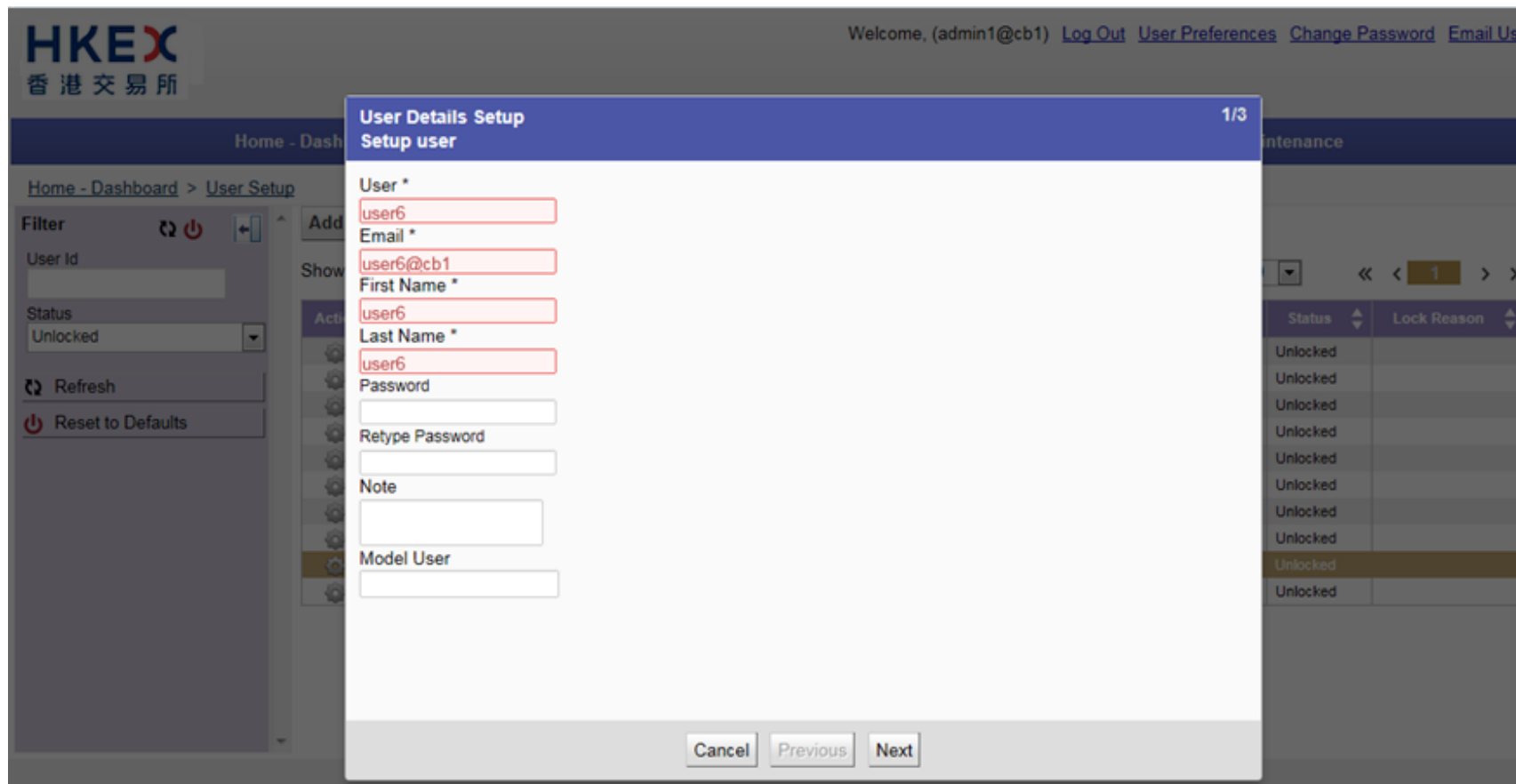
Status Unlocked

Showing 1 - 10 of 10 Rows 20 << < 1 > >>

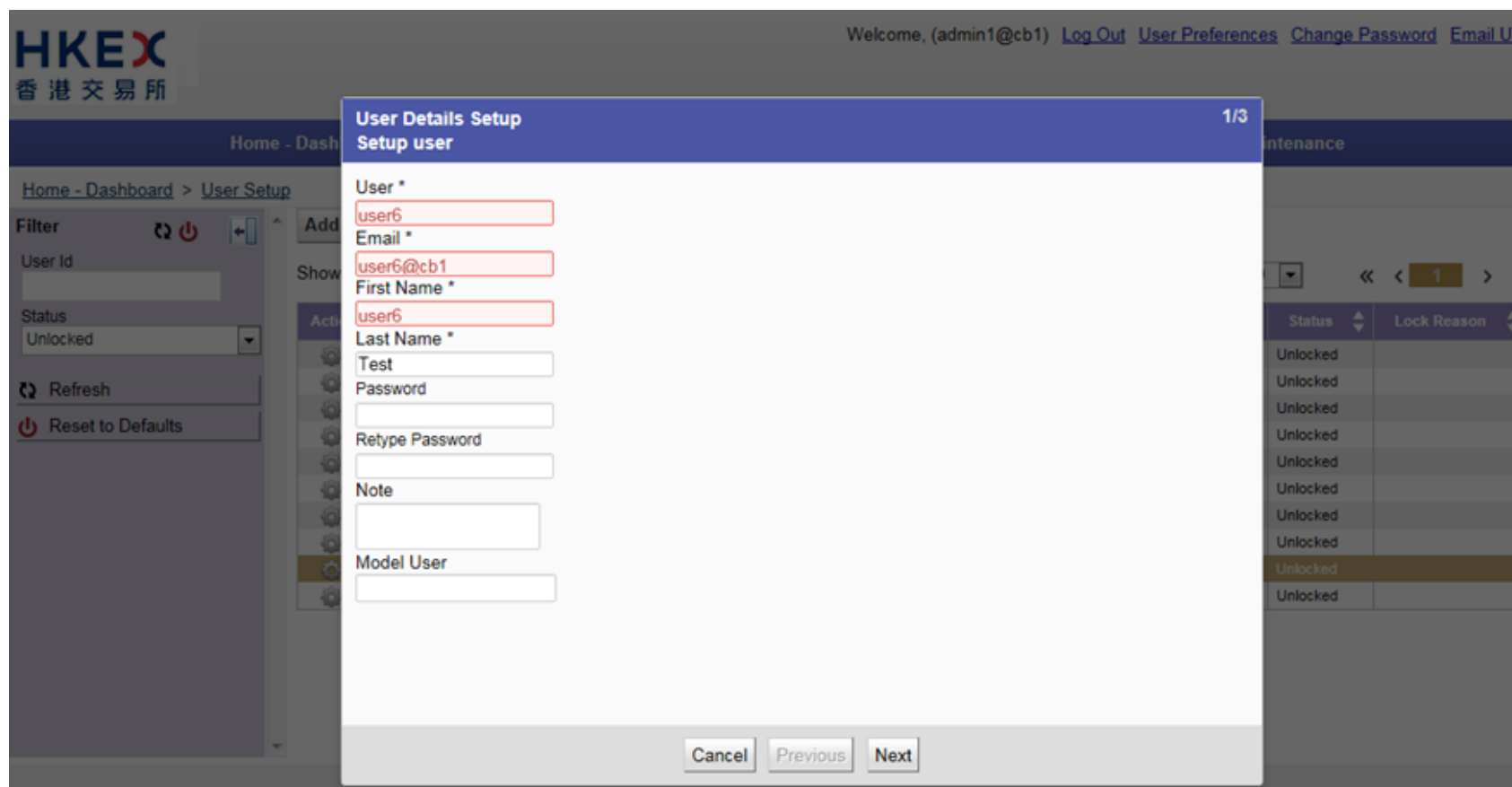
Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/00/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

[Amend](#)
[Lock/Unlock](#)
[Delete](#)

- Click **Amend**, the detail of the OASIS user account will be displayed and allow for user to edit.



6. The color of the field will change if it is edited. E.g. the Last Name was changed from “user6” to “Test”.



7. You can also change the access rights of the OASIS user. We can remove existing access by clicking **Remove**; and add new access by selecting the combination of legal entities and users groups then press **Assign**.

The screenshot shows the 'User Details Setup' dialog box for 'Grant Access to Legal Entities'. The dialog is divided into two main sections: 'Select Legal Entities' and 'Select Groups'. Below these is an 'Assign' button and a 'Revoke' button. At the bottom of the dialog is a table titled 'Currently Assigned User Privileges' with columns for 'Legal Entity', 'Groups', and 'Remove'. The 'Remove' column contains blue links labeled 'Remove'.

Select Legal Entities

- CB1
- CB1_OMNI1
- CB1_OMNI2
- CLAXCB1
- CLBXC1

Select Groups

- selfservice_collateral_approver
- selfservice_collateral_user
- selfservice_documentdownload

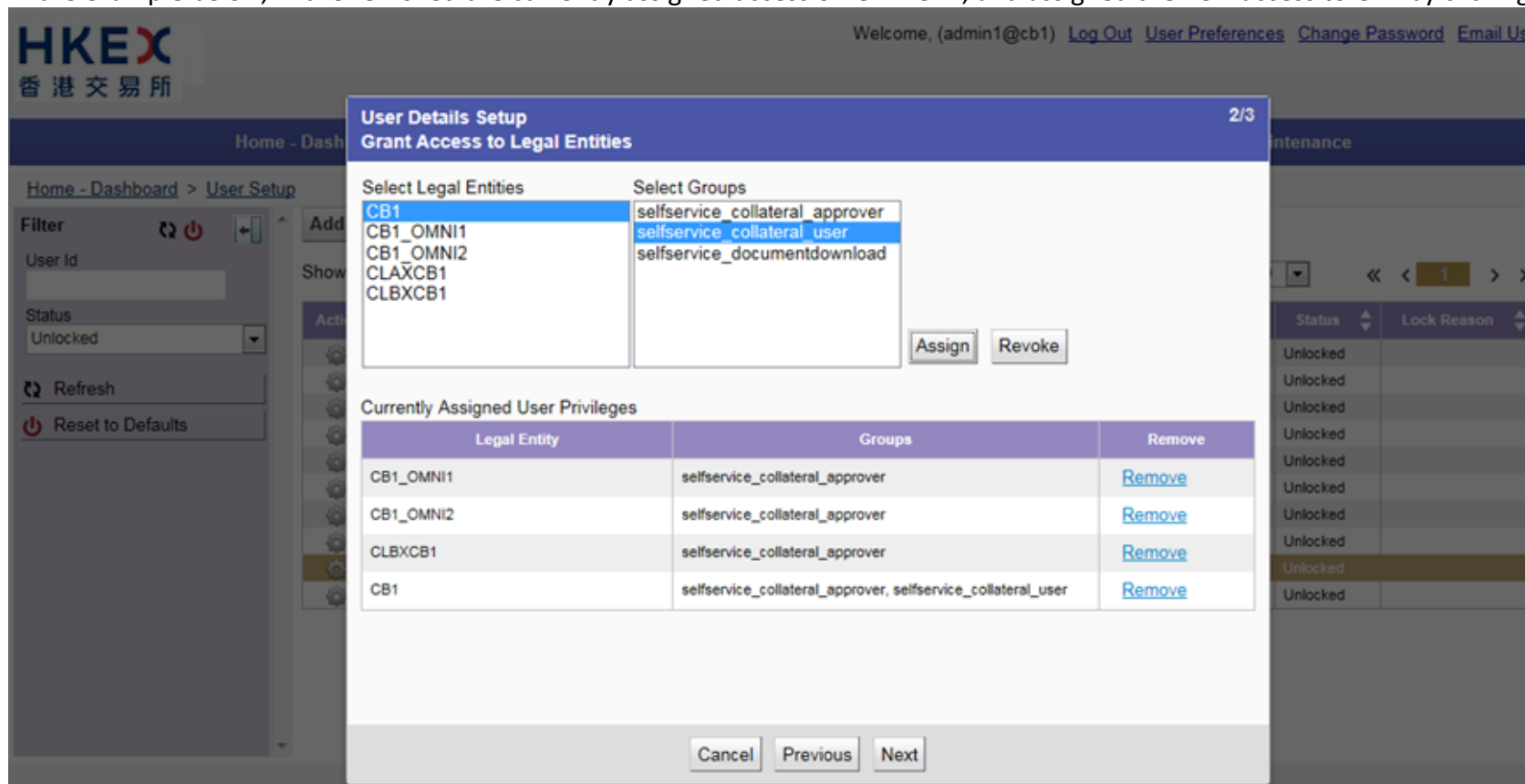
Assign **Revoke**

Currently Assigned User Privileges

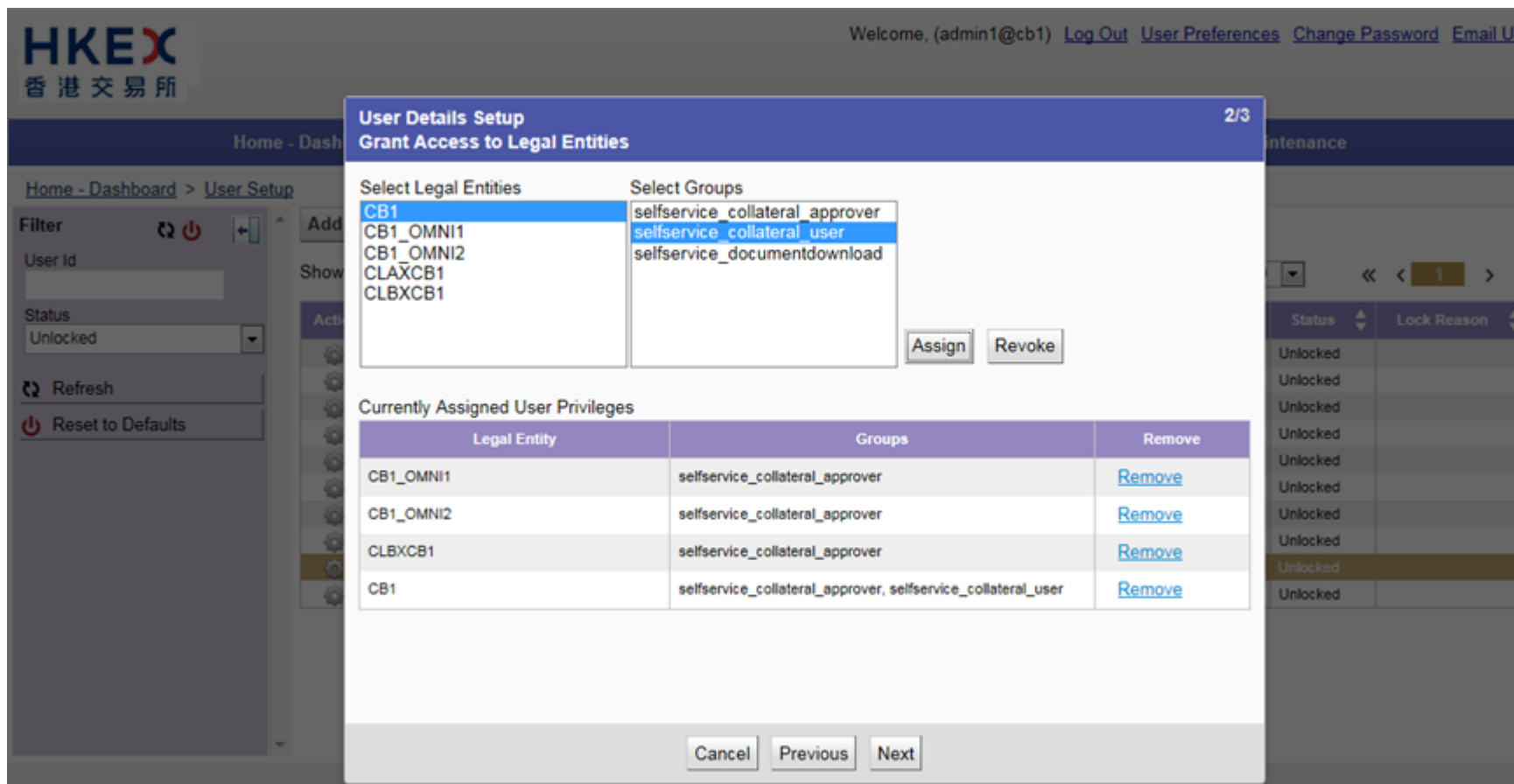
Legal Entity	Groups	Remove
CB1_OMNI1	selfservice_collateral_approver	Remove
CB1_OMNI2	selfservice_collateral_approver	Remove
CLBXC1	selfservice_collateral_approver	Remove
CB1	selfservice_collateral_approver	Remove
CLAXCB1	selfservice_collateral_approver	Remove

Cancel **Previous** **Next**

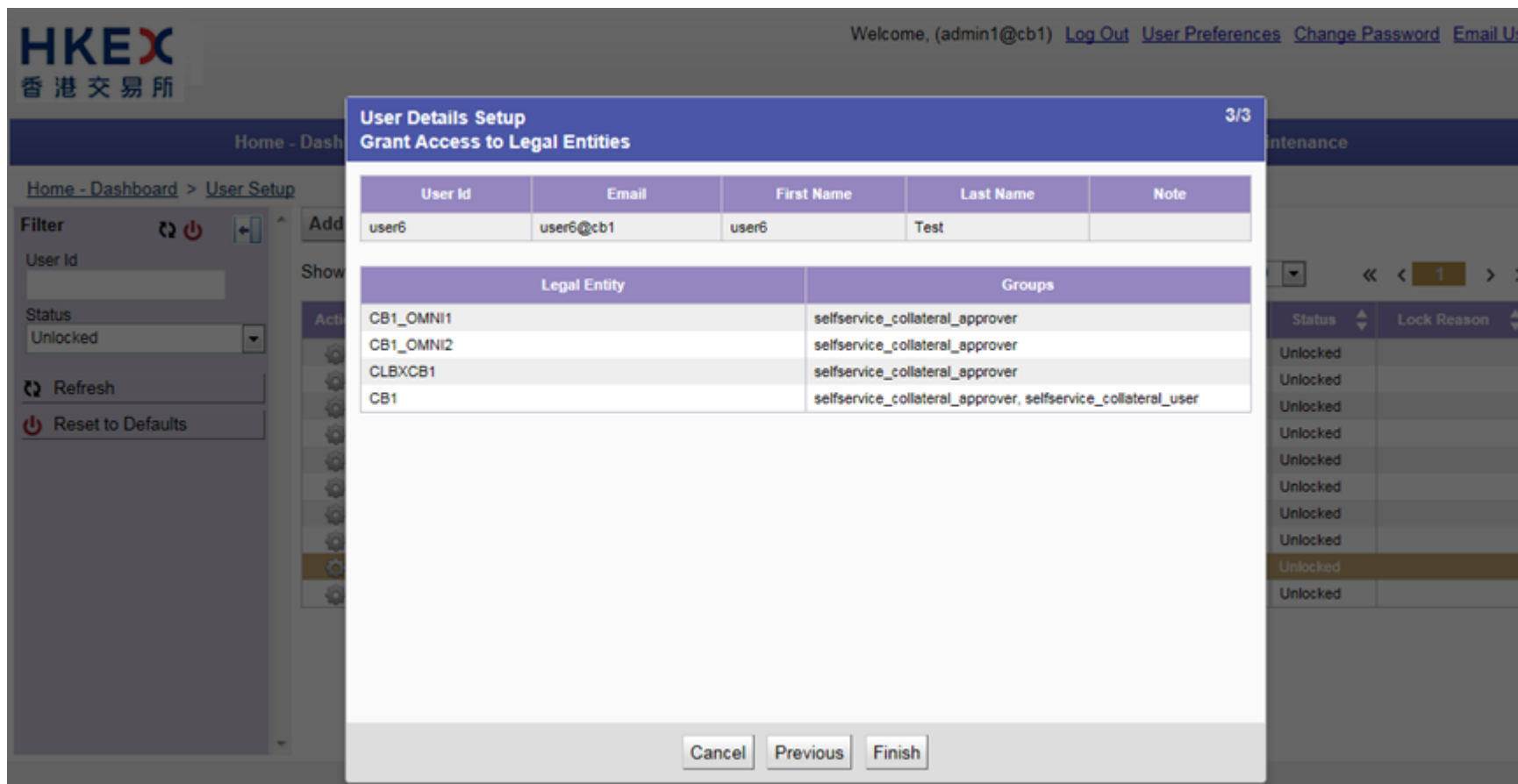
8. In the example below, I have removed the currently assigned access on **CLAXCB1**; and assigned the new access to **CB1** by clicking **Assign**.



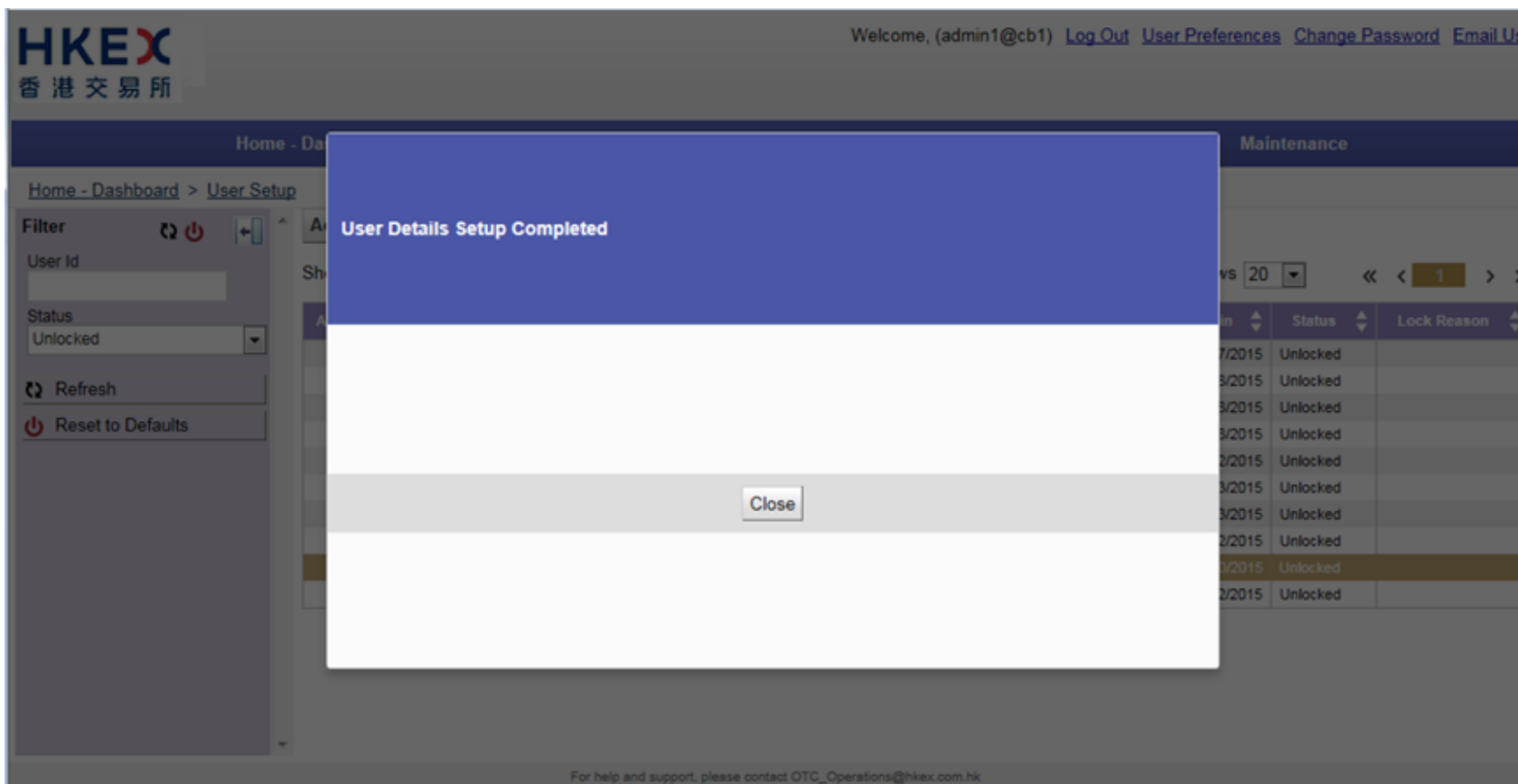
9. The below displays the new access profile of this user



10. Similar to other process, the system will display all details for user to reconfirm before submitting the changes for approval.



11. After clicking **Finish**, the following screen will appear. User can continue using other functions of OASIS by clicking **Close**.



12. After clicking **Close**, the user will return to the “User Setup” window. The change made will not be displayed until a different user approved the changes. For approval process, please refer to **Part II, Section 2.5**.

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Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter

Status

Showing 1 - 10 of 10 Rows << < 1 > >>

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

For help and support, please contact OTC_Operations@hkex.com.hk

2.3. Lock/Unlock of OASIS User Accounts

2.3.1. Function Description

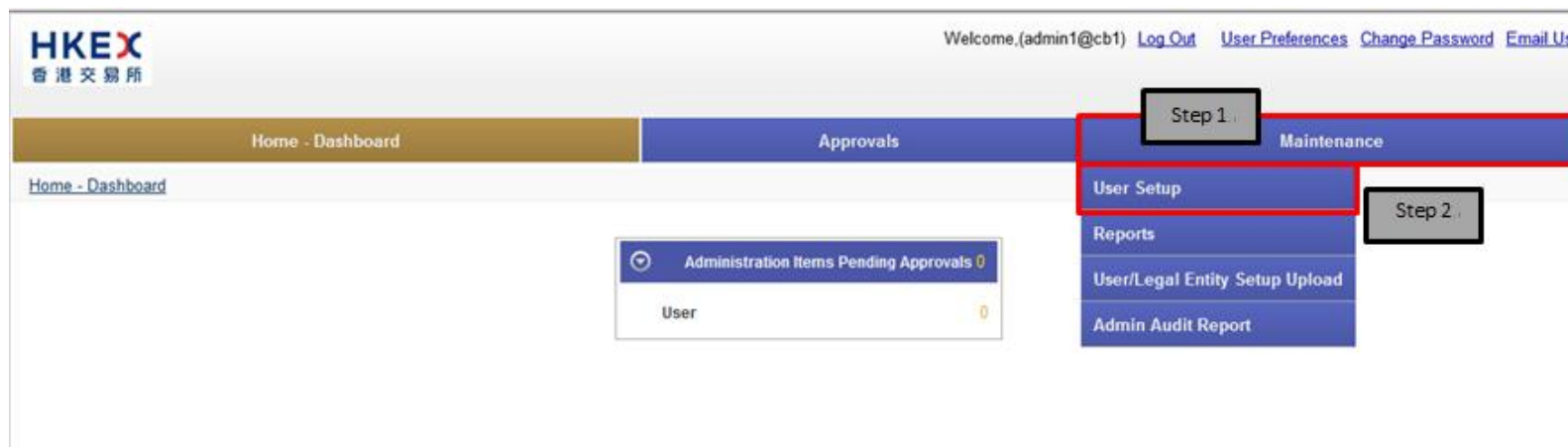
To lock/unlock OASIS user accounts

2.3.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.3.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User Setup**.



2. Current Location will be updated and the Content Area will display all the OASIS User Accounts for this Clearing Member.

Home - Dashboard > **User Setup**

Filter: User Id, Status (Unlocked), Refresh, Reset to Defaults

Add User Export

Showing 1 - 10 of 10

Rows 20

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

For help and support, please contact OTC_Operations@hkex.com.hk

- To amend the detail of an OASIS user account, click the icon in the **Actions** column of the user account to be amended.

The screenshot shows the OASIS Web Portal User Account Administration Portal. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals', and 'Maintenance'. Below this, a breadcrumb trail reads 'Home - Dashboard > User Setup'. On the left, there is a 'Filter' sidebar with a search box for 'User Id', a 'Status' dropdown menu set to 'Unlocked', and buttons for 'Refresh' and 'Reset to Defaults'. The main area contains a table of users with columns: 'Actions', 'User Id', 'First Name', 'Last Name', 'Email', 'Client', 'Description', 'Last Login', 'Status', and 'Lock Reason'. The 'Actions' column is highlighted with a red box. The table shows 10 users, all with a status of 'Unlocked'. At the bottom of the page, there is a footer with the text: 'For help and support, please contact OTC_Operations@hkex.com.hk'.

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

- After clicking the icon, the selected OASIS user account will be highlighted and an action box will be displayed. If **Lock/Unlock** is clicked, the selected OASIS user account will have its status change from the current status (shown on the far right).

Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter

Status: Unlocked

Refresh Reset to Defaults

Showing 1 - 10 of 10 Rows: 20

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
Amend	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
Lock/Unlock	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
Delete	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

For help and support, please contact OTC_Operations@hkex.com.hk

- After **Lock/Unlock** is clicked, the user will return to the "User Setup" window. The change made will not be displayed until a different user approved the changes. For approval process, please refer to **Part II, Section 2.5**.

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Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter Add User Export

Showing 1 - 10 of 10 Rows 20

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

Refresh Reset to Defaults

For help and support, please contact OTC_Operations@hkex.com.hk

2.4. Reset Password of OASIS User Accounts

2.4.1. Function Description

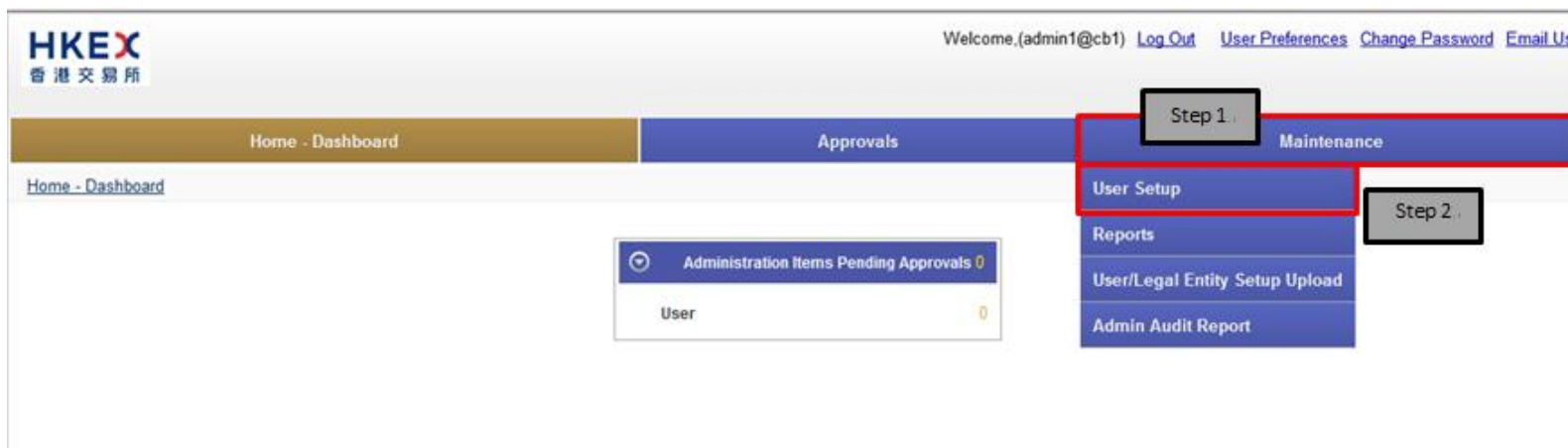
To reset password of OASIS user accounts

2.4.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.4.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User Setup**.



2. Current Location will be updated and the Content Area will display all the OASIS User Accounts for this Clearing Member.

The screenshot shows the OASIS Web Portal User Account Administration Portal. At the top left is the HKEX logo and name. At the top right, it says "Welcome, (admin1@cb1)" with links for "Log Out", "User Preferences", "Change Password", and "Email Us". Below this is a navigation bar with "Home - Dashboard", "Approvals", and "Maintenance". A breadcrumb trail "Home - Dashboard > User Setup" is highlighted with a red box. On the left is a filter sidebar with "Filter", "User Id" input, "Status" dropdown (set to "Unlocked"), "Refresh" button, and "Reset to Defaults" button. The main area has "Add User" and "Export" buttons. Below these are "Showing 1 - 10 of 10" and "Rows 20" with pagination controls. A table of users is displayed, with the "Actions" column highlighted by a red box. The table has columns: Actions, User Id, First Name, Last Name, Email, Client, Description, Last Login, Status, and Lock Reason. The data rows are as follows:

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

At the bottom of the page, it says "For help and support, please contact OTC_Operations@hkex.com.hk".

- To reset the password of an OASIS user account, click the icon in the **Actions** column of the user account.

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Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter

User Id

Status
 Unlocked

Refresh

Reset to Defaults

[Add User](#) [Export](#)

Showing 1 - 10 of 10

Rows 20 1

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

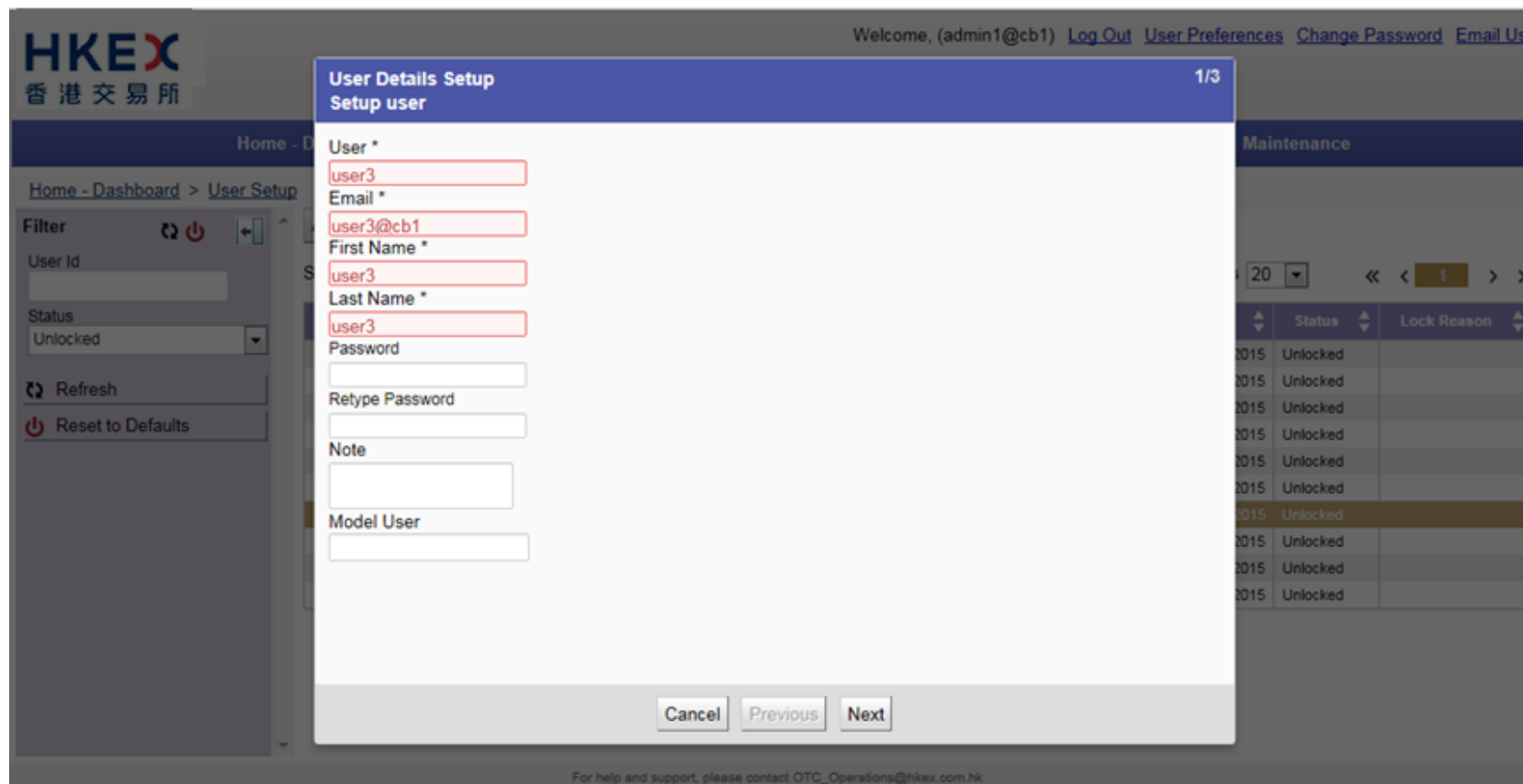
For help and support, please contact OTC_Operations@hkex.com.hk

4. After clicking the icon, the selected OASIS user account will be highlighted and an action box will be displayed.

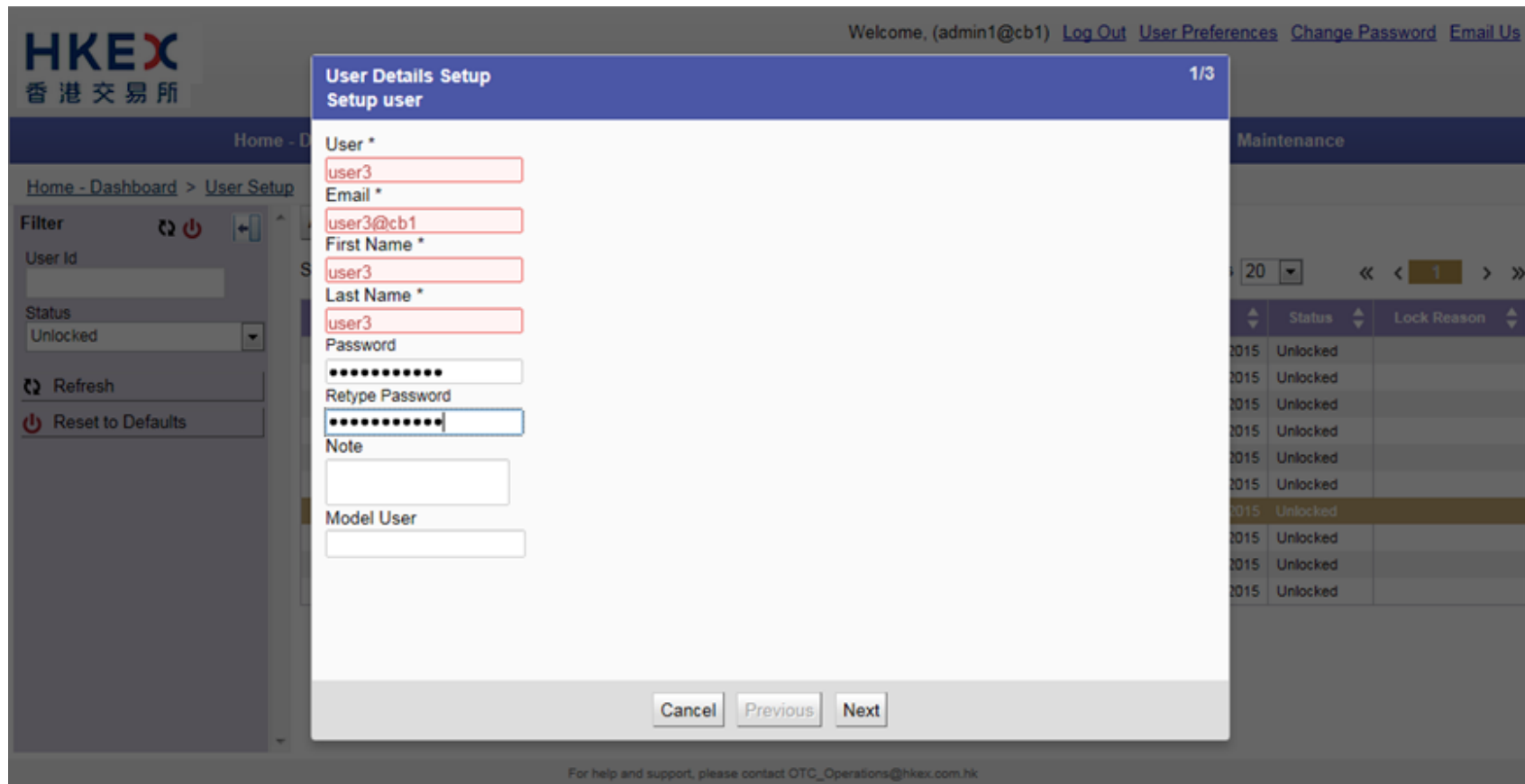
The screenshot shows the OASIS User Account Administration Portal. At the top, there is a header with the HKEX logo and the text 'Welcome, (admin1@cb1)'. Below the header, there are navigation tabs for 'Home - Dashboard', 'Approvals', and 'Maintenance'. The current page is 'User Setup', which is part of the 'Home - Dashboard' section. On the left side, there is a 'Filter' panel with a search box for 'User Id', a 'Status' dropdown menu set to 'Unlocked', and buttons for 'Refresh' and 'Reset to Defaults'. The main area contains a table of users with columns for 'Actions', 'User Id', 'First Name', 'Last Name', 'Email', 'Client', 'Description', 'Last Login', 'Status', and 'Lock Reason'. The table shows 10 users, with 'user3' highlighted in orange. A red box highlights the 'Amend' button in the 'Actions' column for 'user3'. Below the table, there is a footer with the text 'For help and support, please contact OTC_Operations@hkex.com.hk'.

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

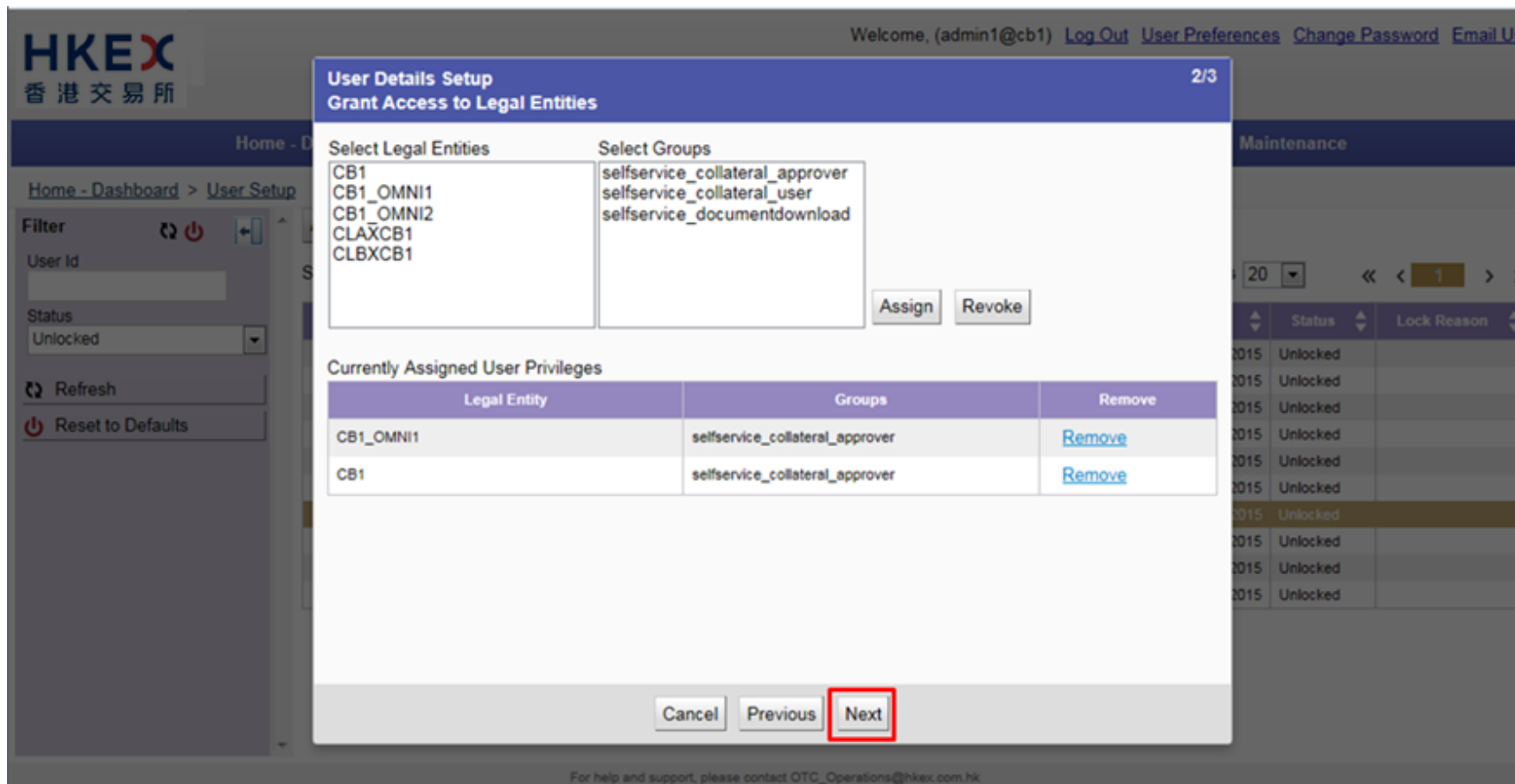
5. Click **Amend**, the detail of the OASIS user account will be displayed.



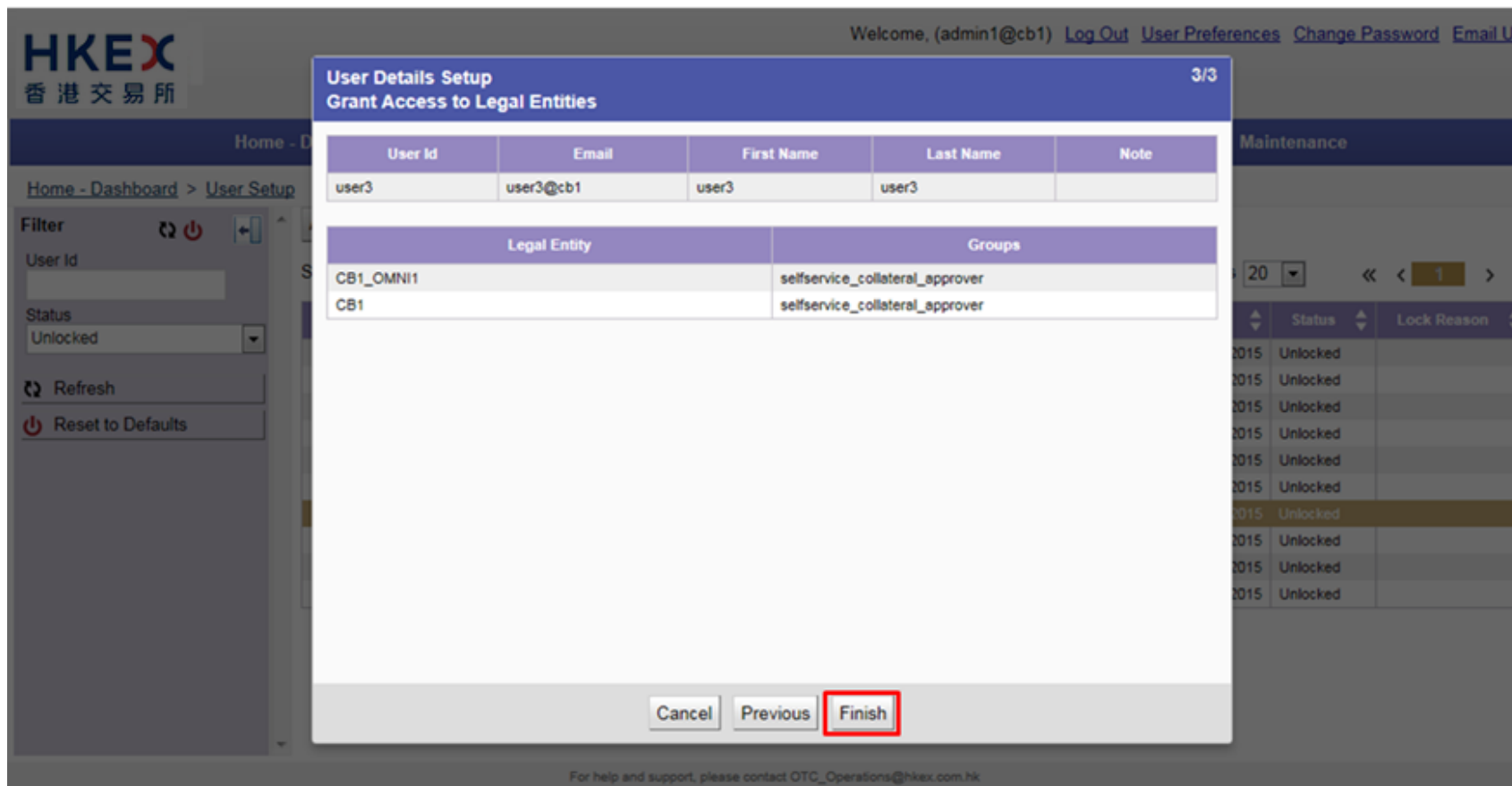
6. Reset the password by entering a temporary password at the **Password** field and the **Retype Password** field. Then click **Next**.



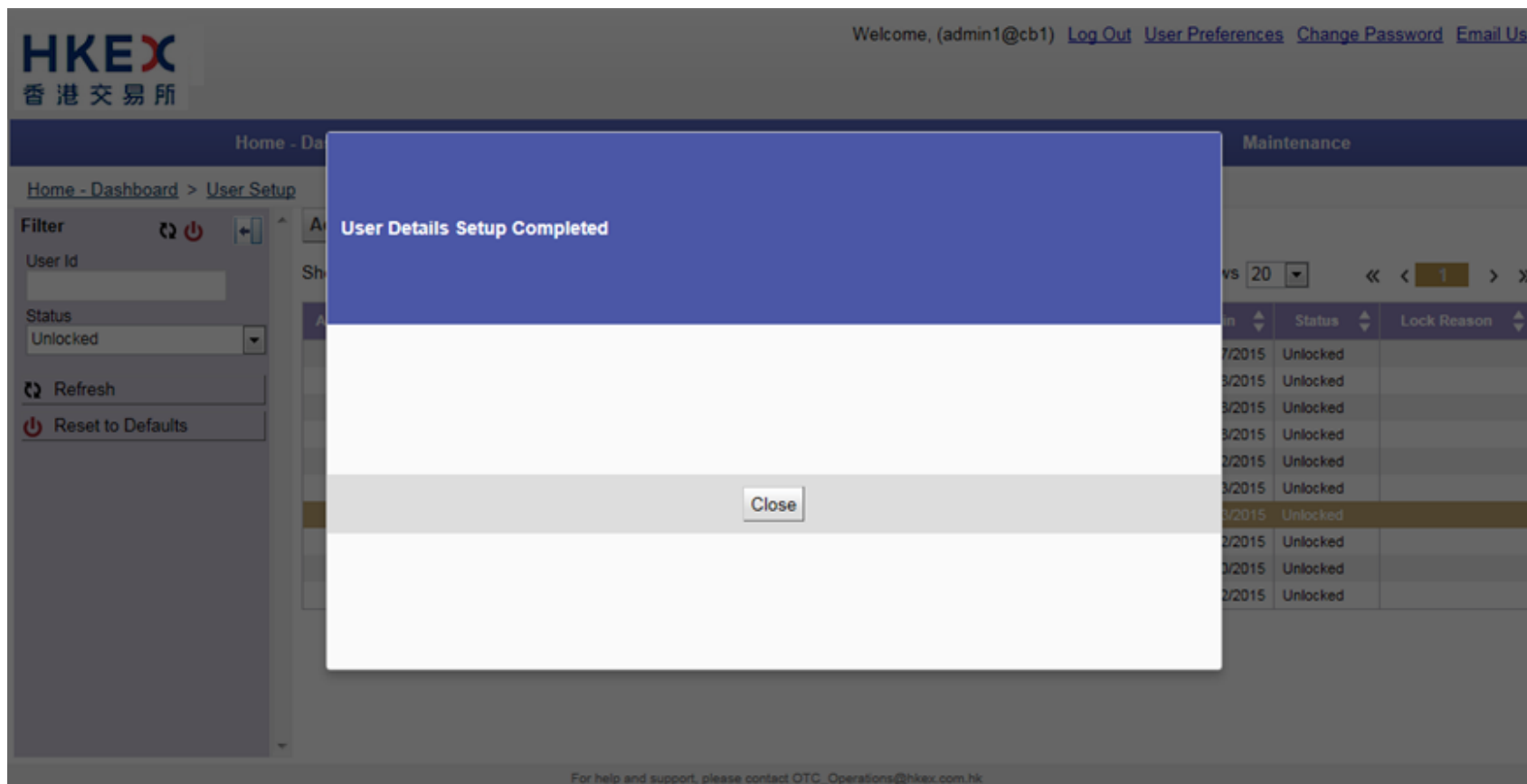
7. To continue with the reset password process by clicking **Next** in the user access assignment page.



8. To complete the process, user need to click **Finish** in the confirmation page.



9. After clicking **Finish**, the following screen will appeared. User can continue using other functions of OASIS by clicking **Close**.



10. After clicking **Close**, the user will return to the “User Setup” window. The temporary password will not be effective until a different user approved the change. For approval process, please refer to **Part II, Section 2.5**.

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Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter Refresh Reset to Defaults

Add User Export

Showing 1 - 10 of 10 Rows 20 << < 1 > >>

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	tester1	tester123	one123	tester123@cb1	cb1		11/17/2015	Unlocked	
	tester2	tester2	two	tester2@cb1	cb1		11/18/2015	Unlocked	
	tester3	tester321	three321	tester321@cb1	cb1		11/18/2015	Unlocked	
	tester4	tester4321	four4321	tester4321@cb1	cb1		11/18/2015	Unlocked	
	user1	user1	user1	user1@cb1	cb1		12/02/2015	Unlocked	
	user2	user2	user2	user2@cb1	cb1		11/23/2015	Unlocked	
	user3	user3	user3	user3@cb1	cb1		10/13/2015	Unlocked	
	user5	user5	user5	user5@cb1	cb1		10/12/2015	Unlocked	
	user6	user6	user6	user6@cb1	cb1		10/30/2015	Unlocked	
	user7	user7	user7	user7@cb1	cb1		10/12/2015	Unlocked	

For help and support, please contact OTC_Operations@hkex.com.hk

2.5. Approve Creation/Amendment of OASIS User Accounts

2.5.1. Function Description

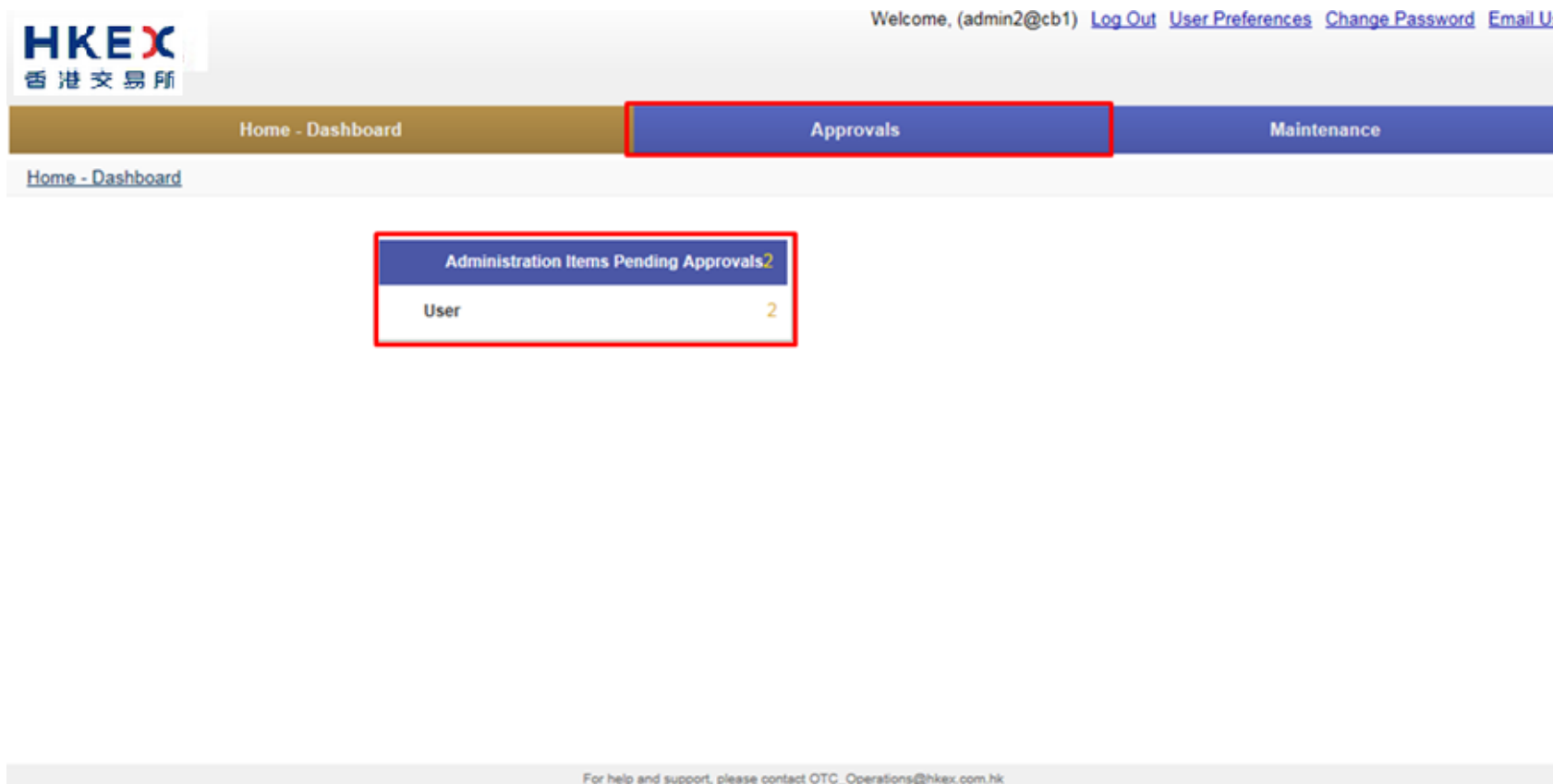
To approve creation of new User Account and/or amendment on existing User Account.

2.5.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.5.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Approvals**. Note the dashboard will highlight the number of approvals pending action.



Location will be updated and the Content Area will display all the changes pending approval.

The screenshot shows the OASIS Web Portal interface. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals 2', and 'Maintenance'. Below this is a breadcrumb trail: 'Home - Dashboard > Approvals > Admin'. A filter sidebar on the left includes options for 'Filter', 'From:', 'To:', 'Activity:', and 'Show All Pending'. The main content area features a table of pending approvals with the following data:

Actions	Type	Client	Activity	Description	Modified By	Timestamp
	User	cb1	Update	user6==cb1	admin1==cb1	12/02/2015 01:46 PM
	User	cb1	Update	user3==cb1	admin1==cb1	12/02/2015 02:08 PM

3. The below table listed out the attributes in the order displayed.

Attribute	Descriptions	Sortable
Actions	Actions available for this request under the current processing status	N/A
Type	The nature of the request. "User" will be shown for all entries related to change involving user account.	Yes
Client	The Clearing Member that owns the user accounts.	N/A
Activity	The action applied to the user account. New represent a creation of an user account Update represent an amendment of an user account	Yes
Description	The user accounts being change d/created. Please note "==" is equal to "@". Referring to the 1 st entry, user account tester2@cb2 is being created	Yes
Modified by	The user accounts that initiated the request. Please note "==" is equal to "@". Referring to the 1 st entry, user account cb2_admin@cb2 initiated the change	Yes
Timestamp	The time that the request is initiated and submitted for approval	Yes

- To view the full detail of the changes made to the user account, select the request by clicking the checkbox on the first column and click **View Details**. It will display a comparison table listing fields being changed and the old value and the new value of the field.




Welcome, (admin2@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)


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Home - Dashboard Approvals **2** Maintenance


[Home - Dashboard](#) > [Approvals](#) > [Admin](#)


Admin **2**

Filter   


ALL 


From: 

To: 


Activity: ALL 


Show All Pending





 Refresh

 Reset to Defaults

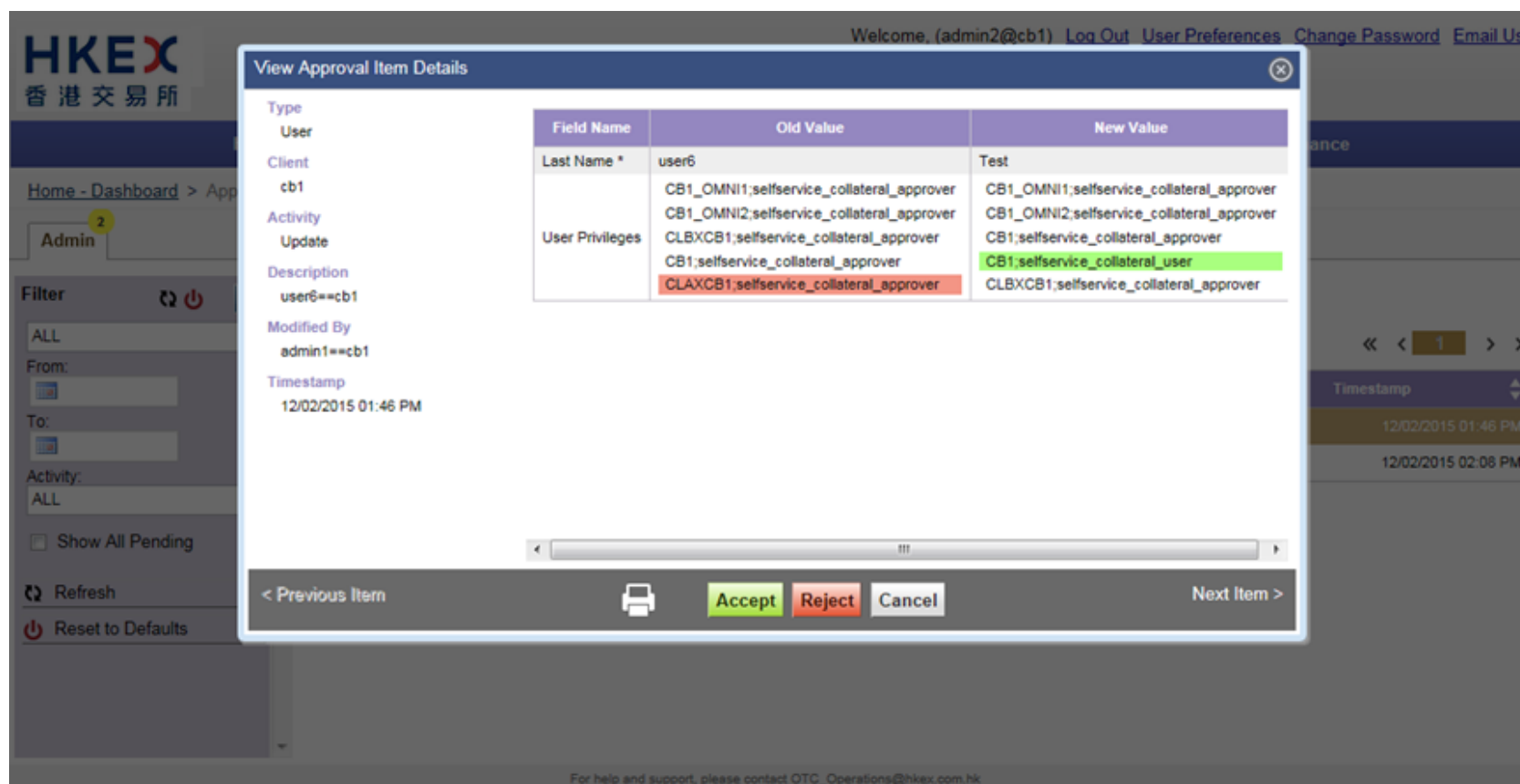
Accept Reject **View Details**

Showing 1 - 2 of 2 

Rows  << < **1** > >>

	Actions	Type	Client	Activity	Description	Modified By	Timestamp
<input checked="" type="checkbox"/>		User	cb1	Update	user6==cb1	admin1==cb1	12/02/2015 01:46 PM
		User	cb1	Update	user3==cb1	admin1==cb1	12/02/2015 02:08 PM

For help and support, please contact OTC_Operations@hkex.com.hk



5. If the details are correct, approve the request by clicking **Accept**; otherwise, click **Reject** to reject the request or **Cancel** to go back to the approval menu.
6. Once the request is approved (or rejected), it will disappear from the list of requests pending approval.

The screenshot displays the OASIS Web Portal Admin interface. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals 2', and 'Maintenance'. Below this is a breadcrumb trail: 'Home - Dashboard > Approvals > Admin'. A 'Filter' sidebar on the left includes options for 'ALL', 'From:', 'To:', 'Activity: ALL', 'Show All Pending', 'Refresh', and 'Reset to Defaults'. The main content area features buttons for 'Accept', 'Reject', and 'View Details', along with pagination information 'Showing 1 - 1 of 1' and 'Rows 20'. A table with the following data is shown:

	Actions	Type	Client	Activity	Description	Modified By	Timestamp
		User	cb1	Update	user3==cb1	admin1==cb1	12/02/2015 02:08 PM

At the bottom of the page, a footer note reads: 'For help and support, please contact OTC_Operations@hkex.com.hk'.

- Please note the user will be prompted to change password when logging in for the first time after a password reset is made to his/her user account.

2.6. Extract detail of OASIS User Accounts

2.6.1. Function Description

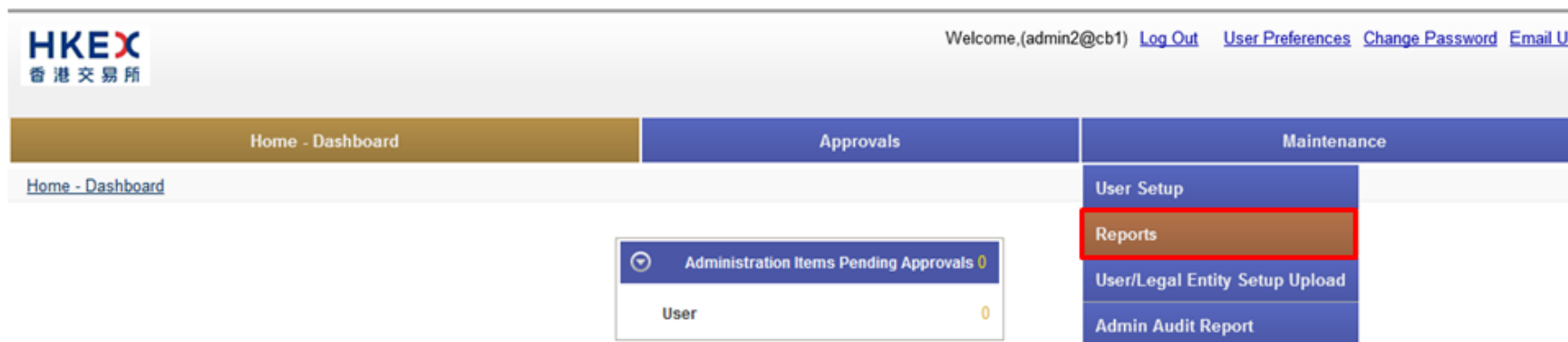
To retrieve the details and status of collateral movement requests created/submitted.

2.6.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.6.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **Reports**.



2. Click **Select Report** for the list of reports available

Home - Dashboard > Reports

Select Report: **User Data** (highlighted in red box)

Filter: Unlocked/Locked #failed password attempts

Refresh Reset to Defaults

Showing 1 - 11 of 11

Rows: 20

User Id	Status	#Failed Password Attempts
user6	Unlocked	0
user7	Unlocked	0
tester3	Unlocked	0
tester4	Unlocked	0
user2	Unlocked	0
tester1	Unlocked	0
admin1	Unlocked	0
admin2	Unlocked	0
user1	Unlocked	0
tester2	Unlocked	0
admin3	Unlocked	0

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- For **User Data report**, the full list of OASIS users for this Clearing Member (Including OASIS admin user account) will be displayed and the number of failed password attempts. This can be sorted by the attributes or by using the filters on the left (red-boxed).

Welcome, (admin2@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals 2 Maintenance

Home - Dashboard > Reports

Select Report

Filter Unlocked/Locked
 #failed password attempts
Refresh
Reset to Defaults

Export

Showing 1 - 13 of 13 Rows 20 << < 1 > >>

User Id	Status	#Failed Password Attempts
user3	Unlocked	0
user5	Unlocked	0
user6	Unlocked	0
user7	Unlocked	0
tester3	Unlocked	0
tester4	Unlocked	0
user2	Unlocked	0
tester1	Unlocked	0
admin1	Unlocked	0
admin2	Unlocked	0
user1	Unlocked	0
tester2	Unlocked	0
admin3	Unlocked	0

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- The user can extract the displayed information into an excel file with csv file extension by clicking **Export**.

The screenshot displays the OASIS Web Portal interface. At the top, the HKEX logo and name are visible on the left, and a welcome message for user 'admin2@cb1' is on the right, along with links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us'. Below this is a navigation bar with 'Home - Dashboard', 'Approvals 2', and 'Maintenance'. The main content area shows a breadcrumb trail 'Home - Dashboard > Reports' and a 'Select Report' dropdown menu set to 'User Data'. On the left, a 'Filter' sidebar includes options for 'Unlocked/Locked' (checked), '#failed password attempts' (input field), 'Refresh', and 'Reset to Defaults'. The main table area has an 'Export' button highlighted with a red box. Below the table, there is a pagination control showing 'Showing 1 - 13 of 13' and 'Rows 20'. The table itself has three columns: 'User Id', 'Status', and '#Failed Password Attempts'. All users listed are in an 'Unlocked' status with 0 failed password attempts.

User Id	Status	#Failed Password Attempts
user3	Unlocked	0
user5	Unlocked	0
user6	Unlocked	0
user7	Unlocked	0
tester3	Unlocked	0
tester4	Unlocked	0
user2	Unlocked	0
tester1	Unlocked	0
admin1	Unlocked	0
admin2	Unlocked	0
user1	Unlocked	0
tester2	Unlocked	0
admin3	Unlocked	0

A window will appear and user can select the location to save the file.

Home - Dashboard Approvals **2** Maintenance

Home - Dashboard > Reports

Select Report **User Data**

Filter Unlocked/Locked
#failed password attempts
Refresh
Reset to Defaults

Export

Showing 1 - 13 of 13 Rows 20 << < 1 > >>

User Id	Status	#Failed Password Attempts
user3	Unlocked	0
user5	Unlocked	0
user6	Unlocked	0
user7	Unlocked	0
tester3	Unlocked	0
tester4	Unlocked	0
user2	Unlocked	0
tester1	Unlocked	0
admin1	Unlocked	0
admin2	Unlocked	0
user1	Unlocked	0
tester2	Unlocked	0
admin3	Unlocked	0

Do you want to open or save **userDataReport2015-12-02 15-58-28.csv** (247 bytes) from 10.154.5.66?

Attribute	Descriptions	Sortable
User Id	The assigned name of the “user” for the OASIS user account. Note: this is not the login ID of the OASIS user account	Yes
Status	The status of the OASIS user account. i.e. Locked / Unlocked	Yes

# of Failed Password Attempts	The number of failed login attempts for the OASIS user account	Yes
-------------------------------	--	-----

5. The access group(s) for list of OASIS users under this Clearing Member (aside from the OASIS admin account) will also be displayed by selecting the drop down box to **Group User Mapping**.

Home - Dashboard Approvals **2** Maintenance

Home - Dashboard > Reports

Select Report **Group User Mapping**

Filter Legal Entity Group

Refresh Reset to Defaults

Export

Showing 1 - 20 of 30 Rows 20

UserId	Legal Entity	Group
user3	CB1_OMNI1	selfservice_collateral_approver
user7	CB1_OMNI1	selfservice_collateral_approver,selfservice_collateral_user
user6	CB1_OMNI1	selfservice_collateral_approver
user5	CB1_OMNI1	selfservice_collateral_user
user2	CB1_OMNI1	selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload
user1	CB1_OMNI1	selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload
user7	CB1_OMNI2	selfservice_collateral_approver,selfservice_collateral_user
user6	CB1_OMNI2	selfservice_collateral_approver
user5	CB1_OMNI2	selfservice_collateral_user
user2	CB1_OMNI2	selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload
user1	CB1_OMNI2	selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload
user7	CLBXCBI	selfservice_collateral_approver,selfservice_collateral_user
user6	CLBXCBI	selfservice_collateral_approver
user5	CLBXCBI	selfservice_collateral_user

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The below table listed out the attributes in the order displayed.

Attribute	Descriptions	Sortable
User Id	The assigned name of the “user” for the OASIS user account. Note: this is not the login ID of the OASIS user account	Yes
Legal Entity	Legal Entity of OASIS user account that has access to	Yes
Group	Access group(s) level of OASIS user accounts for each of Legal Entity	Yes

6. Similarly, user can also extract the information displayed in **User Setup** into an excel file with csv file extension by clicking **Export**.

Home - Dashboard Approvals **2** Maintenance

Home - Dashboard > Reports

Select Report

Filter ⏻ ⏹ ↔

Legal Entity

Group

↻ Refresh

⏻ Reset to Defaults

Export

Showing 1 - 20 of 30 ↻

Rows << < 1 2 >

Userid	Legal Entity	Group
user3	CB1_OMNI1	selfservice_collateral_approver
user7	CB1_OMNI1	selfservice_collateral_approver,selfservice_collateral_user
user6	CB1_OMNI1	selfservice_collateral_approver
user5	CB1_OMNI1	selfservice_collateral_user
user2	CB1_OMNI1	selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload
user1	CB1_OMNI1	selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload
user7	CB1_OMNI2	selfservice_collateral_approver,selfservice_collateral_user
user6	CB1_OMNI2	selfservice_collateral_approver
user5	CB1_OMNI2	selfservice_collateral_user
user2	CB1_OMNI2	selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload
user1	CB1_OMNI2	selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload
user7	CLBXC1	selfservice_collateral_approver,selfservice_collateral_user
user6	CLBXC1	selfservice_collateral_approver
user5	CLBXC1	selfservice_collateral_user

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The below table listed out the attributes in the order displayed in **User Setup**.

Attribute	Descriptions	Sortable
User Id	The assigned name of the “user” for the OASIS user account. Note: this is not the login ID of the OASIS user account	Yes
First Name	First name of the “user” for the OASIS user account.	Yes
Last Name	Last name of the “user” for the OASIS user account.	Yes
Email	The Registered email of the OASIS user account.	Yes
Client	The Clearing Member the OASIS user account is belonged to.	Yes
Description	Notes key-in by the OASIS admin user when creating the user account	Yes
Last Login	Last login time of the OASIS user account	Yes
Status	The status of the OASIS user account.	Yes
Lock Reason	Reason the account is locked	Yes

2.7. Assign additional Legal Entities for more than one existing OASIS User Accounts

2.7.1. Function Description

To assign additional Legal Entities for more than one and multiple OASIS User Accounts

2.7.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.7.3. How to Use (Step by Step)

1. Fill in the csv upload template like below:

ACTION: Must "ADD_COMPANY"

Client: CBSL Clearing Broker name

UserId: User name (e.g. user1)

ModelUser: Must leave it BLANK

FirstName: Must leave it BLANK

LastName: Must leave it BLANK

Email: Must leave it BLANK

Description: Must leave it BLANK

Group: selfservice_collateral_user, self service_collateral_approver, selfservice_documentdownload, selfservice_limitenq, or whatif_ClearingMemberID (Can select multiple groups to each user Id)

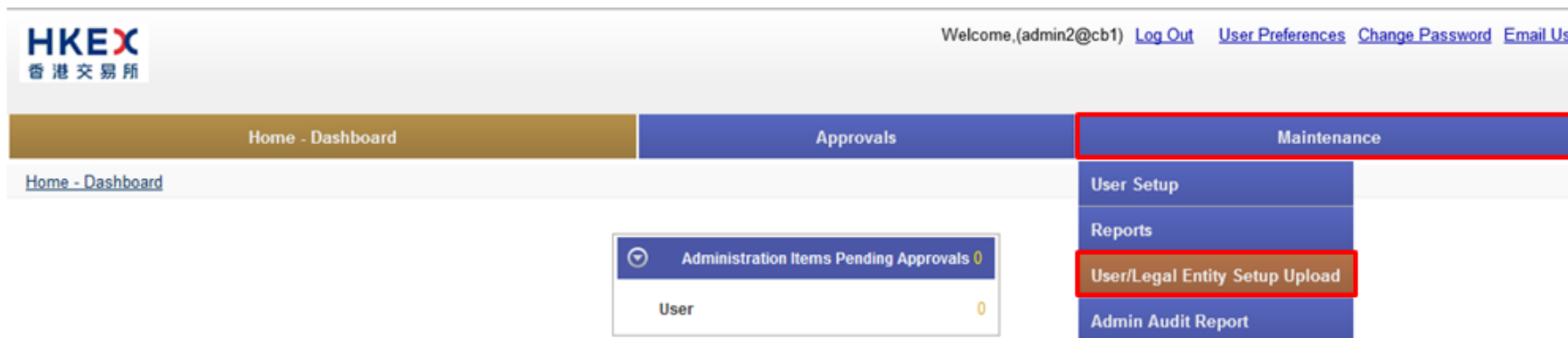
CompanyLegalEntity: New on boarding client legal entity (Can select multiple group to each user Id)

Status: Must leave it BLANK

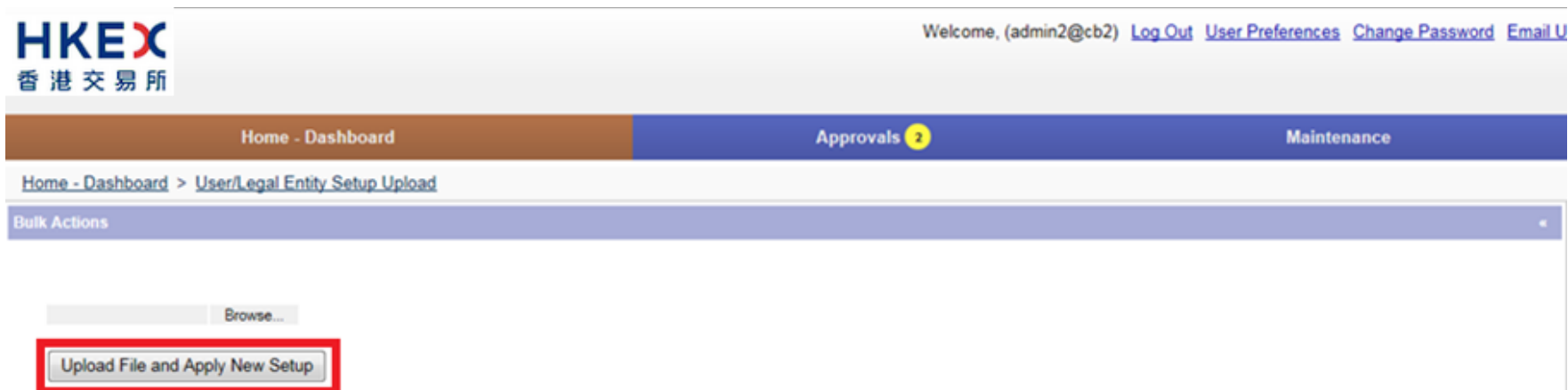
Notes: Must leave it BLANK

	A	B	C	D	E	F	G	H	I	J	K	L
1	ACTION	Client	UserId	ModelUser	FirstName	LastName	Email	Description	Group	CompanyLegalEntity	Status	Notes
2	ADD_COMPANY	CB1	user2						selfservice_collateral_user;selfservice_collateral_approver	CB1;CLAXCB1		
3	ADD_COMPANY	CB1	user3						selfservice_collateral_user;selfservice_collateral_approver	CB1;CLAXCB1;CB1_OMNI1		

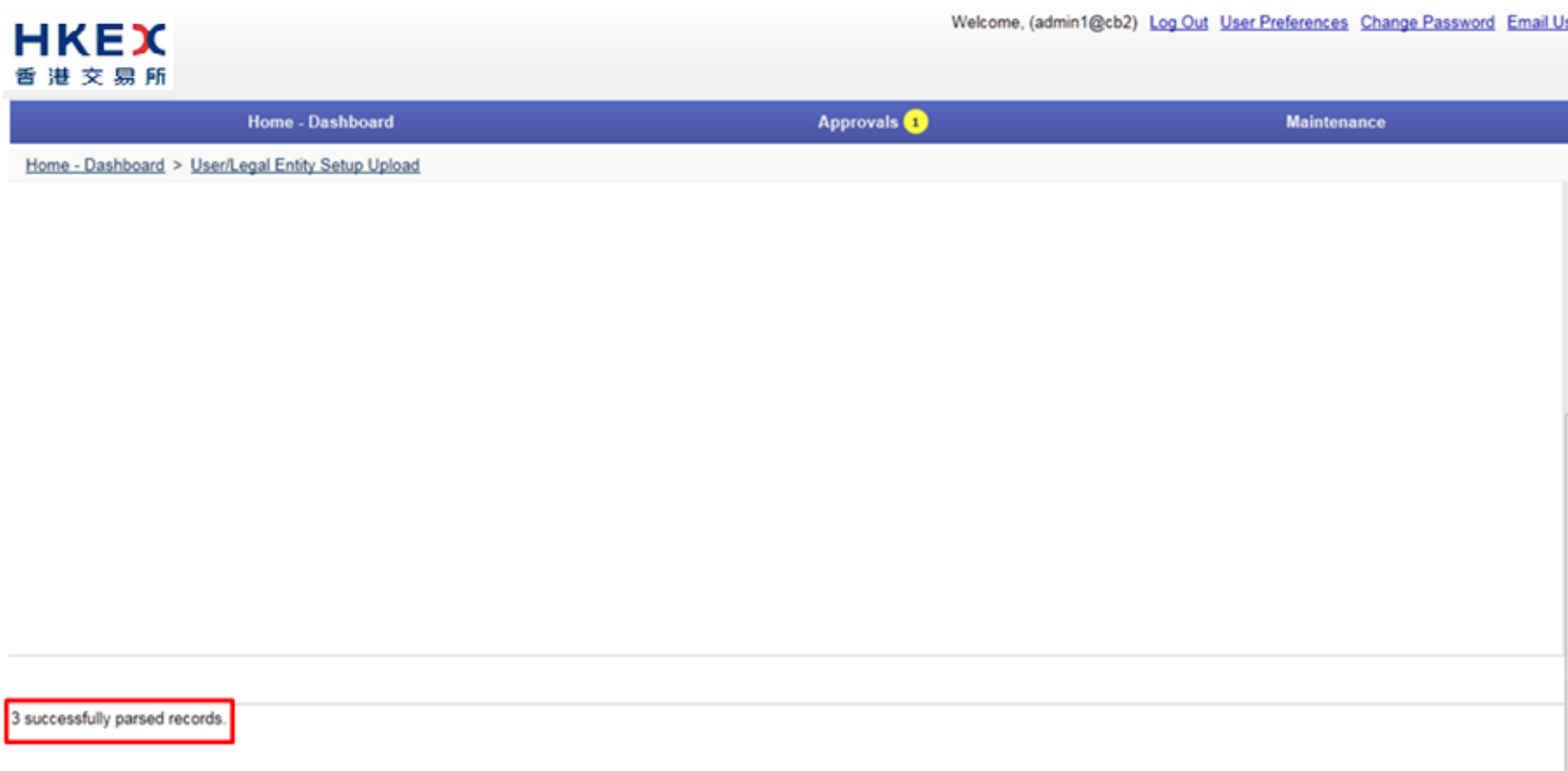
2. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User/Legal Entity Setup Upload**.



3. Select **Browse**, select the appropriate file and select **Upload File and Apply New Setup**



4. Below message will show at the bottom of the page if the upload was successful.



5. The new user will not appear in the user list until a different user approved the creation. For approval process, please refer to **Part II, Section 2.5**.

2.8. Delete existing OASIS User Accounts

2.8.1. Function Description

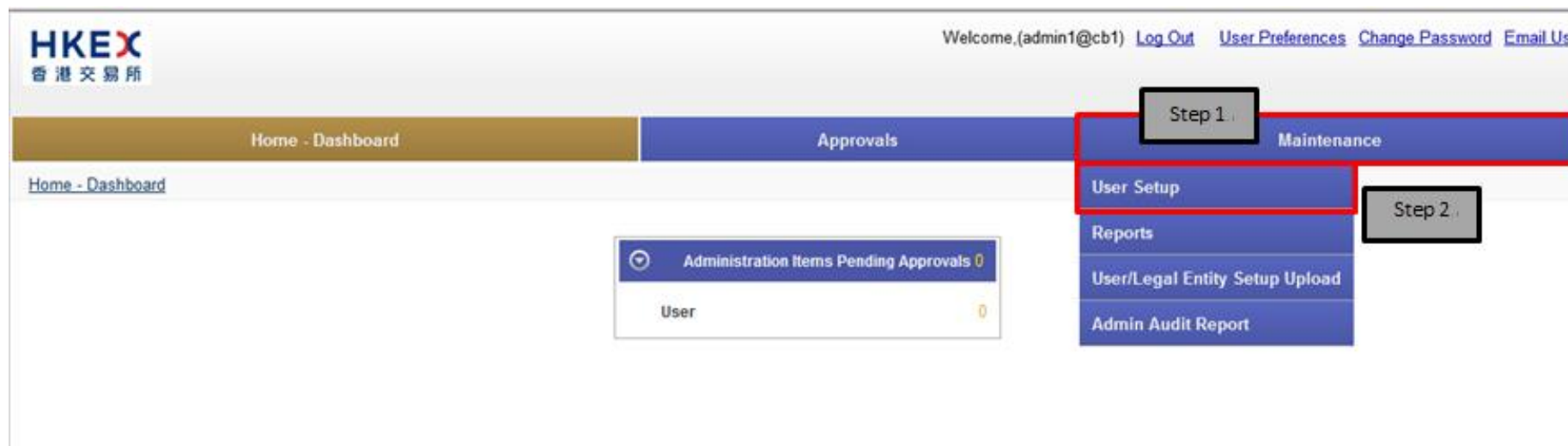
To delete existing OASIS user accounts

2.8.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.8.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear, and then select **User Setup**.



- To delete an existing OASIS user account, click on the icon below Actions, then click **Delete** on the extended menu

The screenshot shows the OASIS User Setup interface. At the top left is the HKEX logo. The top right shows a welcome message for 'admin1@cm3' with links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us'. Below this is a navigation bar with 'Home - Dashboard', 'Approvals' (with a notification icon), and 'Maintenance'. The main content area is titled 'Home - Dashboard > User Setup'. On the left is a filter sidebar with 'User Id' and 'Status' (set to 'Unlocked') fields, and 'Refresh' and 'Reset to Defaults' buttons. The main area has 'Add User' and 'Export' buttons. Below these are pagination controls showing 'Showing 1 - 2 of 2' and 'Rows 100'. A table lists two users:

Actions	User Id	First Name	Last Name	Email	Client	Description	Last Login	Status	Lock Reason
	user1	user1	user1	user1@cm3	cm3		11/20/2015	Unlocked	
	user2	user2	user2	user2@cm3	cm3		11/20/2015	Unlocked	

An extended menu is open for the second user (user2), showing 'Amend', 'Lock/Unlock', and 'Delete' options. The 'Delete' option is highlighted with a red box.

- For approval process, please refer to Part II, Section 2.5.

2.9. Audit Trail Report

2.9.1. Function Description

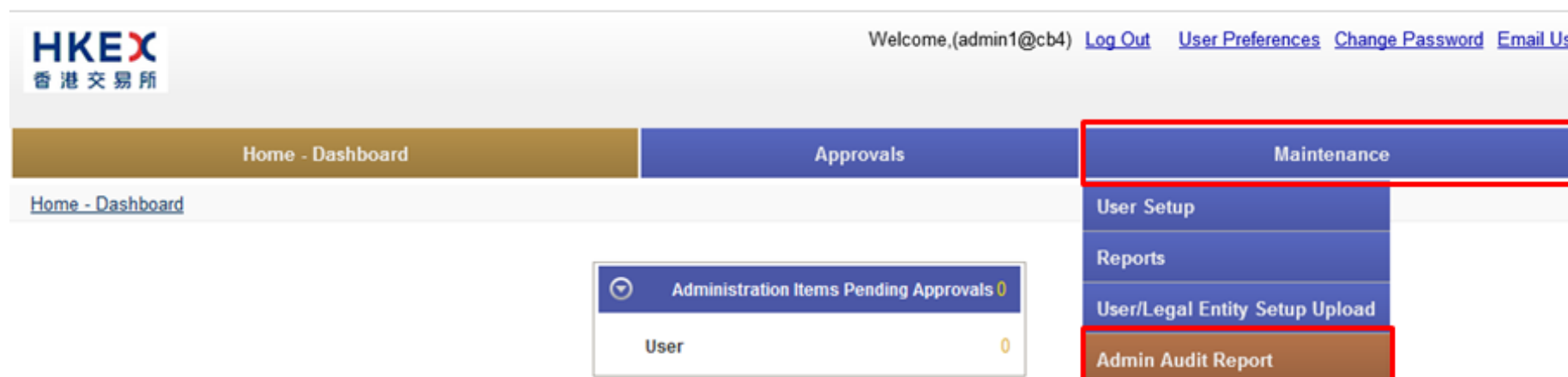
This function allows administrators to audit the activities of their admin and accounts

2.9.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.9.3. How to Use (Step by Step)

1. On the Main Menu, select **Maintenance**. The feature will be highlighted and a menu will appear, and then select **Audit Value**.



2. Content Area will display the activities of all OASIS admin user accounts and OASIS user accounts.

The screenshot shows the OASIS Admin Audit Report page. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals 1', and 'Maintenance'. Below this is a breadcrumb trail: 'Home - Dashboard > Admin Audit Report'. The main content area displays a table of audit records. The table has columns for Field, Modification Date/Time, Old Value, New Value, Modified User, Requester, Approver, Status, Approval Date/Time, and Action Type. The table shows several rows of activity, including account lock/unlock events and password changes.

Field	Modification Date/Time	Old Value	New Value	Modified User	Requester	Approver	Status	Approval Date/Time	Action Type
DELETE	03/18/2016 02:25 PM			user2-cb4	admin2-cb4	admin1-cb4	Accepted	03/18/2016 02:25 PM	Remove
AccountLockedDate	03/18/2016 02:25 PM	18/03/16 14:24:57.200 o'clock HKT		user2-cb4	admin1-cb4	admin2-cb4	Accepted	03/18/2016 02:25 PM	Update
AccountLockedReason	03/18/2016 02:25 PM	Locked by Admin		user2-cb4	admin1-cb4	admin2-cb4	Accepted	03/18/2016 02:25 PM	Update
AccountLockedDate	03/18/2016 02:24 PM		18/03/16 14:24:40.752 o'clock HKT	user2-cb4	admin2-cb4	admin1-cb4	Accepted	03/18/2016 02:24 PM	Update
AccountLockedReason	03/18/2016 02:24 PM	Locked by Admin		user2-cb4	admin2-cb4	admin1-cb4	Accepted	03/18/2016 02:24 PM	Update
calypso User	03/18/2016 02:24 PM	OLDPASSWORD	NEWPASSWORD	user2-cb4	admin1-cb4	admin2-cb4	Accepted	03/18/2016 02:24 PM	Update
CREATE	03/18/2016 02:23 PM			user2-cb4	admin1-cb4	admin2-cb4	Accepted	03/18/2016 02:24 PM	New

2.9.4. Examples of activities

1. Reset password by administrator

HKEX 香港交易所 Welcome, (admin1@cb4) [Log Out](#) [User Preferences](#) [Change Password](#) [Er](#)

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Field	Modification Date Time	Old Value	New Value
<u>_DELETE_</u>	03/18/2016 02:25 PM		
AccountLockedDatetime	03/18/2016 02:25 PM	18/03/16 14:24:57.200 o'clock HKT	
AccountLockedReason	03/18/2016 02:25 PM	Locked by Admin	
AccountLockedDatetime	03/18/2016 02:24 PM		18/03/16 14:24:40.752 o'clock HKT
AccountLockedReason	03/18/2016 02:24 PM		Locked by Admin
calyps0User	03/18/2016 02:24 PM	OLDPASSWORD	NEWPASSWORD

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Maintenance

Home - Dashboard

>

[Admin Audit Report](#)



Showing 1 - 11 of 11

Rows

« < 1 > »

Old Value	New Value	Modified User	Requester	Approver	Status	Approval Date Time	Action Type
KT		user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:25 PM	Remove
		user3=cb4	admin1=cb4	admin2=cb4	Accepted	03/18/2016 02:25 PM	Update
		user3=cb4	admin1=cb4	admin2=cb4	Accepted	03/18/2016 02:25 PM	Update
	18/03/16 14:24:40.752 o'clock HKT	user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:24 PM	Update
	Locked by Admin	user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:24 PM	Update
	NEWPASSWORD	user2=cb4	admin1=cb4	admin2=cb4	Accepted	03/18/2016 02:24 PM	Update

2. Delete user

HKEX 香港交易所 Welcome, (admin1@cb4) [Log Out](#) [User Preferences](#) [Change Password](#) [En](#)

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Field	Modification Date Time	Old Value	New Value
DELETE	03/18/2016 02:25 PM		

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Showing 1 - 11 of 11 Rows << < 1 >

Old Value	New Value	Modified User	Requester	Approver	Status	Approval Date Time	Action Type
		user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:25 PM	Remove

3. Change of user permissions of an account

HKEX 香港交易所 Welcome, (admin1@cb4) [Log Out](#) [User Preferences](#) [Change Password](#) [E](#)

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Field	Modification Date Time	Old Value	New Value
this	03/07/2016 04:29 PM		
this	03/07/2016 04:30 PM		
__dataSegregations	03/07/2016 05:42 PM	user1==cb4-187782 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-188867 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload	user1==cb4-188887 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-188765 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-187782 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-189820 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload

Home - Dashboard		Approvals 1		Maintenance				
Home - Dashboard		Admin Audit Report						
Showing 1 - 11 of 11		Rows <input type="text" value="20"/> << < 1 > >>						
Old Value	New Value	Modified User	Requester	Approver	Status	Approval Date	Action Type	
		user1==cb4	admin1==cb4	admin2==cb4	Accepted	03/07/2016 04:30 PM	New	
		user2==cb4	admin1==cb4	admin2==cb4	Accepted	03/07/2016 04:30 PM	New	
user1==cb4-188887 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-188766		user1==cb4	admin1==cb4	admin2==cb4	Accepted	03/07/2016 05:43 PM	Update	
selfservice_collateral_user,selfservice_documentdownload,user1==cb4-approver,selfservice_collateral_user,selfservice_documentdownload selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-187782								
selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-189920 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload								

4. Created new user

Showing 1 - 11 of 11 Rows << < 1

Field	Modification Date Time	Old Value	New Value
AccountLockedDatetime	03/18/2016 02:24 PM		18/03/16 14:24:40.752 o'clock HKT
AccountLockedDatetime	03/18/2016 02:25 PM	18/03/16 14:24:57.200 o'clock HKT	
AccountLockedReason	03/18/2016 02:24 PM		Locked by Admin
AccountLockedReason	03/18/2016 02:25 PM	Locked by Admin	
CREATE	03/18/2016 02:23 PM		

Showing 1 - 11 of 11  Rows 

Old Value	New Value	Modified User	Requester	Approver	Status	Approval Date Time	Action Type
KT	18/03/16 14:24:40.752 o'clock HKT	user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:24 PM	Update
		user3=cb4	admin1=cb4	admin2=cb4	Accepted	03/18/2016 02:25 PM	Update
	Locked by Admin	user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:24 PM	Update
		user3=cb4	admin1=cb4	admin2=cb4	Accepted	03/18/2016 02:25 PM	Update
			user3=cb4	admin1=cb4	admin2=cb4	Accepted	03/18/2016 02:24 PM

5. Locked user account

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Rows

« < 1

Field	Modification Date Time	Old Value	New Value
DELETE	03/18/2016 02:25 PM		
AccountLockedDatetime	03/18/2016 02:25 PM	18/03/16 14:24:57.200 o'clock HKT	
AccountLockedReason	03/18/2016 02:25 PM	Locked by Admin	
AccountLockedDatetime	03/18/2016 02:24 PM		18/03/16 14:24:40.752 o'clock HKT
AccountLockedReason	03/18/2016 02:24 PM		Locked by Admin

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Old Value	New Value	Modified User	Requester	Approver	Status	Approval Date Time	Action Type
KT		user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:25 PM	Remove
		user3=cb4	admin1=cb4	admin2=cb4	Accepted	03/18/2016 02:25 PM	Update
		user3=cb4	admin1=cb4	admin2=cb4	Accepted	03/18/2016 02:25 PM	Update
	18/03/16 14:24:40.752 o'clock HKT	user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:24 PM	Update
	Locked by Admin	user3=cb4	admin2=cb4	admin1=cb4	Accepted	03/18/2016 02:24 PM	Update

6. Unlocked user account

HKEX 香港交易所 Welcome, (admin1@cb4) [Log Out](#) [User Preferences](#) [Change Password](#) |

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Field	Modification Date Time	Old Value	New Value
DELETE	03/18/2016 02:25 PM		
AccountLockedDatetime	03/18/2016 02:25 PM	18.03'16 14:24:57.200 d'clock HKT	
AccountLockedReason	03/18/2016 02:25 PM	Locked by Admin	

HKEX 香港交易所 Welcome, (admin1@cb4) [Log Out](#) [User Preferences](#) [Change Password](#) [Email](#)

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Showing 1 - 11 of 11 Rows << < 1 >

Old Value	New Value	Modified User	Requester	Approver	Status	Approval Date Time	Action Type
		user3==cb4	admin2==cb4	admin1==cb4	Accepted	03/18/2016 02:25 PM	Remove
KT		user3==cb4	admin1==cb4	admin2==cb4	Accepted	03/18/2016 02:25 PM	Update
		user3==cb4	admin1==cb4	admin2==cb4	Accepted	03/18/2016 02:25 PM	Update