

The Next Generation Post Trade Programme, or NextGen, goes beyond simply modernising our platforms – it will prepare HKEX and strengthen its competitive advantages amid a rapidly changing business, technology and regulatory environment. In particular, HKEX is focused on ensuring that our platform is able to best serve the existing and future needs of market participants and investors. The introduction of the Client Portal is one of the major deliverables in the initial phase.

OVERVIEW

The Client Portal aims to provide a single platform to unify all client access to HKEX services. Its primary objectives are:

- To enhance the HKEX service offering by digitizing the majority of paper-based services
- To simplify and enhance operational efficiency
- To prepare for future integration with other NextGen applications

KEY FEATURES

The Client Portal provides access to Participants services through a secured web-based user interface. The key features include:

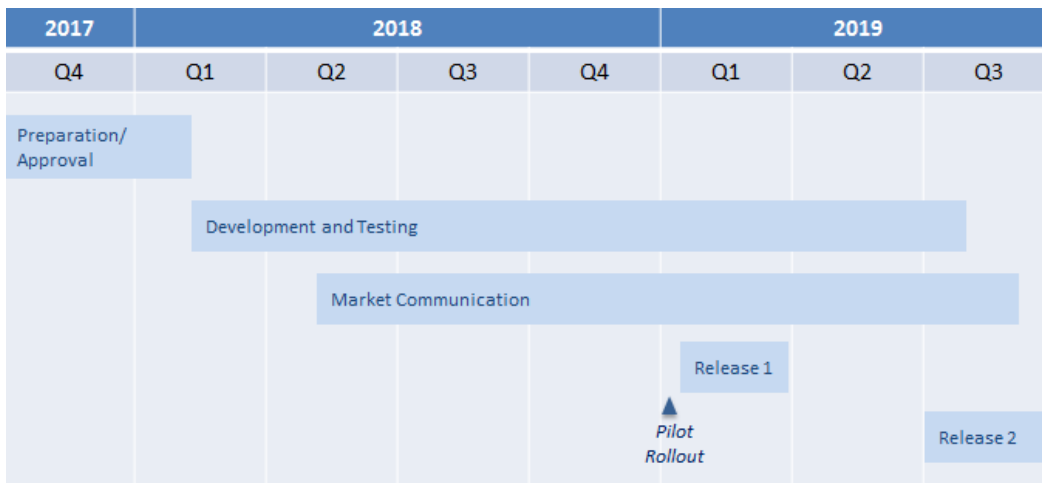
- 2-factor authentication (2nd password via email or mobile app)
- Accessible from PC/tablet/mobile
- Agile user account structure to support multiple memberships
- Customized service access based on the user access right
- Access to e-Services which will replace current paper/fax based operations
- Built-in intelligence to auto-fill and validate the e-Service input
- Built-in workflow for maker-checker control
- Email/on-screen notifications of outstanding tasks
- Dashboard to show the outstanding and historical tasks with search and filter functions
- Electronic enrolment for seminars and events
- Centralized technical document download area

KEY BENEFITS

- Access to the Service from anywhere at anytime
- Single front-end with modern and secured accessibility
- User-friendly dashboard to keep track of service request status
- No more physical signatures and company chops
- No more completion and scanning of physical forms
- Full audit trail of the service request process

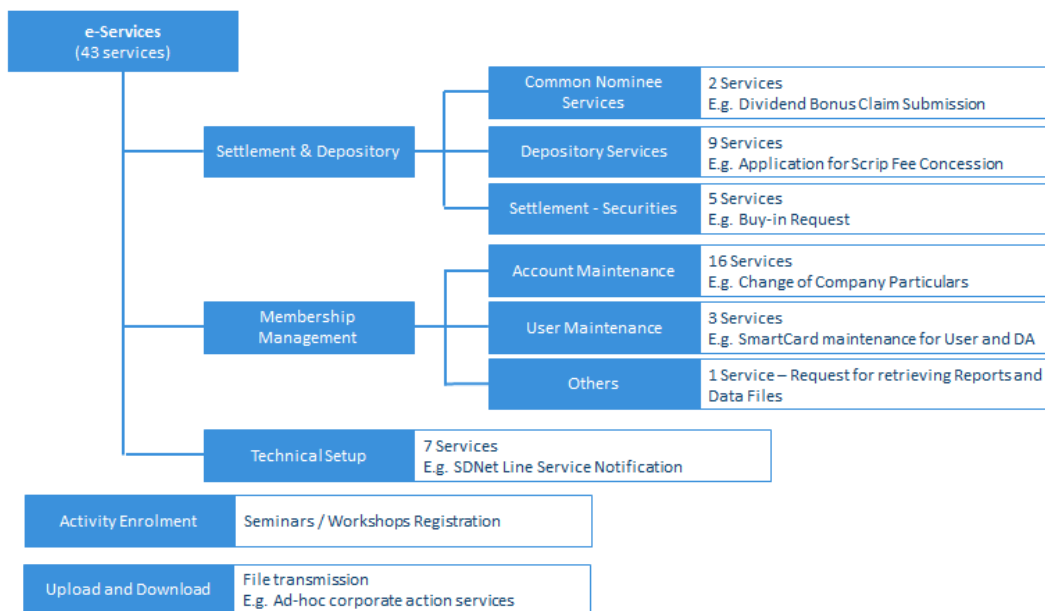
SCHEDULE

The Client Portal for post-trade related e-Services will be launched in Q1-2019 with additional functionality provided in Q3-2019. A numbers of participants will be invited to join the pilot rollout of Release 1 in Q4 2018. High-level schedule of two Releases is presented below:



E-SERVICE COVERAGE

The initial e-Services coverage will focus on approximately 45 manual activities focusing on Settlement & Depository activities, Membership Management, Technical Setup and participation in events. Certain existing manual forms will be consolidated into a single e-Service to facilitate multiple instructions/applications through one submission.



DETAILS OF THE TENTATIVE E-SERVICES

Further information will be provided on the e-Services implemented in each release.

Category	Clearing House	#	Type of e-Service	Existing forms
Settlement and Depository	HKSCC	1	Application to HKSCC for Exemption of Buy-in	Application Form for Exemption of Buy-in
				Application Form for Exemption of Buy-in (China Connect Securities)
		2	Early Buy-in Request to HKSCC	Early Buy-in Request Form
		3	Request for Special Buy-In	Buy-in Reporting Slip
				Request Letter for Exemption of Special Buy-in
		4	Buy-in Request to HKSCC for CCASS Isolated Trades only	Buy-in Request Form (for CCASS Isolated Trades only)
				Withdrawal of Buy-in Request Form (for CCASS Isolated Trades only)
		5	Authorization to HKSCC from the short clearing participant for debiting their stock entitlement account	Authorization Letter from the short clearing participant for debiting their stock entitlement account
		6	Dividend Bonus Claim Submission to HKSCC	Dividend/Bonus Claim Letter
		7	Corporate Communication Request to HKSCC	Corporate Communications Mailing Address Label Data File transmitted from HKSCC to share registrars
		8	Application to HKSCC for Withdrawal Fee Concession	Application for Withdrawal Fee Concession (Condition 1) - Sample Application Letters
				Application for Withdrawal Fee Concession (Condition 2) - Sample Application Letters
		9	Application to HKSCC for Scrip Fee Concession	Application for Scrip Fee Concession - Sample Application Letter from Transferee
				Application for Scrip Fee Concession - Sample Application Letter from Transferor
				Application for Scrip Fee Concession - Sample Application Letter from Client
		10	Transfer Instruction (CMU) to HKSCC	Transfer Instruction Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Receive "Delivery Versus Payment" Instruction
				Transfer Instruction Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Receive "Free of Payment" Instruction
				Transfer Instruction Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Deliver "Delivery Versus Payment" Instruction
				Transfer Instruction Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Deliver "Free of Payment" Instruction

Category	Clearing House	#	Type of e-Service	Existing forms
Settlement and Depository (cont'd)	HKSCC	10	Transfer Instruction (CMU) to HKSCC	Transfer Instruction Cancellation Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Cancel Receive "Delivery Versus Payment" Instruction
				Transfer Instruction Cancellation Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Cancel Receive "Free of Payment" Instruction
		11	Foreign Securities Withdrawal Instruction to HKSCC	Foreign Securities Withdrawal Form
		12	Cross-border Transfer Instruction (Foreign Securities) to HKSCC	Cross-border Transfer Instruction Form: Foreign Securities - "Deliver Free of Payment" Instruction
				Cross-border Transfer Instruction Form: Foreign Securities - "Receive Free of Payment" Instruction
				Cross-border Transfer Instruction Form: Foreign Securities - Cancel "Receive Free of Payment" Instruction
		13	Transfer Instruction to HKSCC (for delisted stock)	Per written application
		14	ETP Book-entry Deposit Request to HKSCC/HKCAS (for PD/PD Agent); ETP Unit/Share Creation Confirmation to HKSCC/HKCAS (for Registrar)	Book-entry Deposit and Credit Authorisation Form
				Unit Creation Confirmation Letter
		15	ETP Book-entry Withdrawal Request to HKSCC/HKCAS (for PD/PD Agent)	Book-entry Withdrawal and Debit Authorisation Form
Debit Confirmation Form and Cancellation of Units Instruction Letter				
16	ETP Daily Reconciliation to HKSCC/HKCAS (with share registrar)	ETP - Letter of Daily Reconciliation (with share registrar)		
Membership Management	HKSCC	17	Stock Account Mapping Maintenance to HKSCC for the Use of Shanghai and Shenzhen Stock Connect	Stock Account Mapping Maintenance Form for the Use of Shanghai and Shenzhen Stock Connect
		18	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	Special Segregated Account and Designated Executing Broker Maintenance Form
		19	Change of Company Name	Change of Company Name Form
		20	Stock Segregated Account - Without Statement Maintenance Request to HKSCC	Stock Segregated Account Maintenance Form - Without Statement
		21	Standing Instruction to HKSCC for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CPI	Standing Instruction for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CHATS Payment Instruction (CPI)

Category	Clearing House	#	Type of e-Service	Existing forms
Membership Management (cont'd)	HKCC/ SEOCH	22	DCASS Account Maintenance Request to HKCC/SEOCH	DCASS Account Maintenance Form (HKCC)
				Maintenance of OBEP Individual Client Account Form
		23	DCASS User Account Maintenance Request to HKCC/SEOCH	DCASS User Account Maintenance Form
				Application Form for DCASS/CCMS Terminal
		24	Selected Currency Designation Request to HKCC/SEOCH	Selected Currency Designation Form
		25	CCMS Collateral Account Designation for Marks, Margin and Concentration Collateral Collection by SEOCH	CCMS Collateral Account Designation Form for Marks, Margin and Concentration Collateral Collection by SEOCH
		26	Notification to HKCC of Execution of physical Delivery Agent Agreement	Notification of Execution of Physical Delivery Agent for Physically Settled Metal Futures Contract - HKCC
		27	Depository Account Notice to HKCC	Depository Account Maintenance Notice for Physically Settled Metal Futures Contract - HKCC
	28	Notification to HKCC of Termination of Physical Delivery Agent Agreement	Notification of Termination of Physical Delivery Agent for Physically Settled Metal Futures Contract - HKCC	
	SEHK/ HKSCC	29	CCEP/CCCP Application for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect	Registration for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect
				Confirmation of Readiness for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect
				Undertaking for the Use of Shanghai-Hong Kong Stock Connect
				Undertaking for the Use of Shenzhen-Hong Kong Stock Connect
	HKSCC/ HKCC/ SEOCH	30	Change of Authorised Signatories	Change of Authorised Signatories Form
		31	Update Bank Account	Additional/Change of HKD Designated Bank Account Form
				Change of USD Designated Bank Account Form
				Change of RMB Designated Bank Account Form
				Setup of USD Designated Bank Account Form
				Setup of RMB Designated Bank Account Form
				Change of Designated/Settlement Bank Account Form
		32	Change of Company Particulars and Contact Persons	Change of Account Information Form
				Change of CCMS/DCASS Contact Persons Form
	33	Smartcard Maintenance for User and DA	User Profile for Delegated Administrator (DA)	
			Smartcard Request Form for CCASS/CCMS User	
			Report Loss of Smartcard	

Category	Clearing House	#	Type of e-Service	Existing forms
Membership Management (cont'd)	HKSCC/ HKCC/ SEOCH	34	Smartcard Maintenance for user (PG or Special Request)	Smartcard User Profile List
		35	Order Smartcard Reader(s)	Order Form for Smartcard Reader(s)
		36	Request for Retrieving CCASS/CCMS/DCASS Reports and Data Files	Report Reprint Request Form
Request for Retrieving DCASS/CCMS Reports and Data Files Form				
Technical setup	HKCC/ SEOCH	37	DCASS/OAPI Connectivity Test Confirmation Request to HKCC/SEOCH	DCASS Server and/or DCASS OAPI Connectivity Test Confirmation
		38	DCASS OAPI Certification Test Application/Confirmation Request to HKCC/SEOCH	DCASS OAPI Certification Test Application/Confirmation Form
		39	DCASS OAPI Program Readiness Declaration Request to HKCC/SEOCH	DCASS OAPI Program Readiness Declaration Form
		40	Request to HKCC/SEOCH for accessing DCASS OAPI Testing Environment	Request Form for accessing DCASS OAPI Testing Environment
		41	DCASS Production/Testing Line Application and/or Change of Bandwidth Notification to HKCC/SEOCH	DCASS Central/Network Gateway/Testing Line Application and/or Change of SDNet Bandwidth Notification Form
	42	CCASS/CCMS SDNet Line Service Notification	CCASS/CCMS SDNet Line Service Notification Form for HKSCC/HKCC/SEOCH Participants/HKSCC Designated Banks	
	43	PG Acquisition Confirmation Reply to HKSCC	PG Acquisition Confirmation Reply and Explanatory Notes	

FOR MORE INFORMATION:

Website: <http://www.hkex.com.hk/Services/Next-Generation-Post-Trade-Programme/>

Email: clientportal@hkex.com.hk

DISCLAIMER

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