

Terminal Operations

FUNCTION NAME: USER PROFILE MAINTENANCE

WHEN TO USE:

- For a Delegated Administrator (DA) to change, delete or enquire a user profile.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Change User Profile
To amend the details of a user profile.
- B. Delete User Profile
To delete a user profile.
- C. Enquire User Profile
To make enquiries on the details of a user profile.

AVAILABLE FUNCTION TIME:

- Available from 7:00 a.m. to 7:00 p.m. Monday to Friday, and from 7:00 a.m. to 1:00 p.m. Saturday (except holidays).

FUNCTIONAL DESCRIPTIONS:

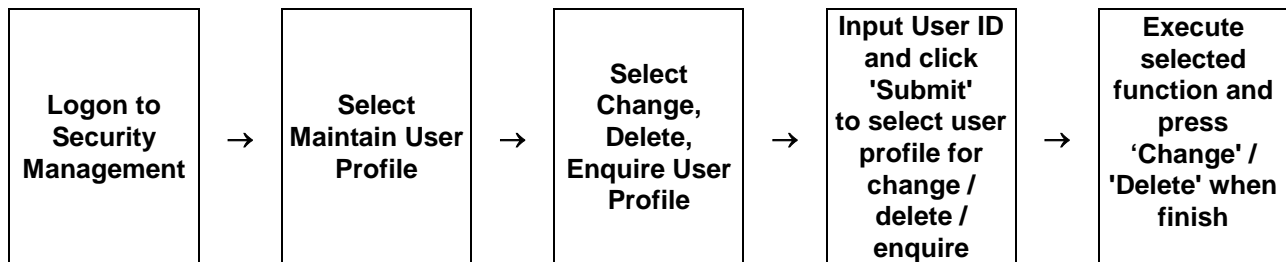
- As described in previous sections (Section 3.2), each participant must assign at least two DAs, acting as maker and checker respectively, to manage the basic security profile of his/her CCMS users. Each DA will be assigned a unique user ID and a smartcard.
- DAs can change and delete users, other than the DAs, of the participant. Participants who need to add new users must submit application to HKEX for processing.
- DAs can use the user profile maintenance functions to:
 - Enable or disable the system access of their users from a specified date or immediately;
 - Change the combination of User Access Groups of their users;
 - Delete the user profile of their users;
 - Enquire the detailed set up of their users.
- If a DA has changed the combination of User Access Groups of a user, the new set up will be effective after two hours.
- If a DA has deleted a user profile, the relevant smartcard previously assigned to the deleted user will become obsolete. If the participant wants to reuse the smartcard and assign it to another user, he/she has to return the smartcard to HKEX for processing.
- All Change and Delete User Profile activities are subject to authorisation by their respective checker DAs. After a maker DA has completed an input, the checker DA has to input his/her

ID and authorisation code to the transaction to effect the changes. Authorisation code can be obtained from the Get Authorisation Code function.

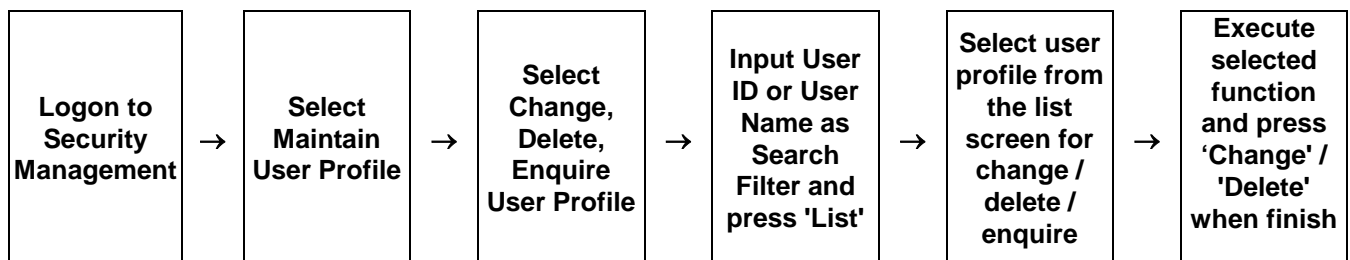
- Three accumulative failures by the checker to input the checker ID and authorisation code to the same transaction will disable the user ID of the maker (not disable the checker as the sign-on and function invoked by the maker).

The access paths for the user profile maintenance function are:

A. Attempt by direct input of User ID



B. Attempt by selection from list screen



USER PROFILE MAINTENANCE – Sample Screen:

User ID - B0080199

User Profile [Print](#) [Site Map](#) [Logout](#) [Change Password](#) **DUPC 01**
13-May-02 14:17:18

Change User Profile - Prompt

User ID

Search by ☒ User ID ☐ User Name

Search filter

[Help](#)

完成 近端 intranet

User Profile [Print](#) [Site Map](#) [Logout](#) [Change Password](#) **DUPC 02**
13-May-02 14:32:02

Change User Profile - List

Search by **User ID**

Search filter **B0080199**

User ID	User Name
B0080199	B0080199 USER

[Help](#)

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[Maintain User Profile](#)
[View Listings](#)
[View Reports](#)
[Reset Smartcard Pwd](#)

User Profile

Print

Site Map

Logout

Change Password

DUPE 03
13-May-02 14:32:08

Change User Profile - Detail

User ID

B0080199

User Status

☒ ENABLED
☐ DISABLED

Surname

CHAN

Other names

TAIMAN

Enable from

DD-MMM-YY

Disable after

DD-MMM-YY

Clearing House Options

Cash

Transaction limit (HKD)

Default

0.00

DI

1,000,000

ISI

Cash Compensation Indicator

Cash Prepayment

DI Requirement

1,000,000

Recall Request

ATI

500,000

SI

100,000

Selected User Groups

A

C

E

E

G

I

R

M

<<

>>

Available User Groups

H

J

K

L

M

N

近端 intranet

[Maintain User Profile](#)
[View Listings](#)
[View Reports](#)
[Reset Smartcard Pwd](#)

User Profile

Print

Site Map

Logout

Change Password

DUPE 03
03-Jul-03 17:33:10

Enquire User Profile - Detail

This is an end-user profile

SRN (for user using smartcard)

01011016000057e2

Certificate Expiry Date

User ID

B0104102

User Status

ENABLED

User name

B01041 02

Enable from

Disable after

Clearing House Options

None Selected

Access Channel

C3T

Transaction limit (HKD)

Default

100,000.00

DI

ISI

Cash Compensation Indicator

Cash Prepayment

DI Requirement

Recall Request

ATI

SI

Selected User Groups

A C E E G I R M

Enquire Another User Profile

Back

Help

Applet started.

Internet

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
User ID	<ul style="list-style-type: none"> - input the user ID of the user profile to be maintained.
Search By	<ul style="list-style-type: none"> - specify the type of the search. Click either 'User ID' or 'User Name' to specify the desired search criterion.
Search Filter	<ul style="list-style-type: none"> - input a specific User ID or User Name to search for user profile that match with the search criterion. - input * to search for all records. - default value of the field is *.
User Name	<ul style="list-style-type: none"> - display the user name of the user.
User Status	<ul style="list-style-type: none"> - select 'Enabled' to allow the user access the system. - select 'Disabled' to disallow the user access the system with immediate effect regarding what are specified in the fields 'Enable From' and/or 'Disable After' .
Surname	<ul style="list-style-type: none"> - display the surname of the user for reference or amendment.
Other Names	<ul style="list-style-type: none"> - display the other names of the user for reference or amendment.
Enable From	<ul style="list-style-type: none"> - if a date is input and the user status is 'Enabled', the user will be allowed to access the system from the specified date. - if the field is blank and the user status is 'Enabled', the user will be allowed to access the system immediately after the set up is approved by the checker DA until the 'Disable after' date, if specified.
Disable After	<ul style="list-style-type: none"> - if a date is input and the user status is 'Enabled', the user will be disallowed to access the system immediately after the specified date. - if the field is blank and the user status is 'Enabled', the user can continue to access the system until otherwise specified.
Clearing House Options	<ul style="list-style-type: none"> - for determining whether the user is a CCMS user, and if yes, whether the user is a firm-level (i.e., can access the data of different participants under the same firm) or participant-level user (i.e., can only access the data of the participant to whom he/she belongs). Firm-level user access will be offered only when the relevant legal structure and issues are cleared. - select "NONE SELECTED", if the user is not allowed to access CCMS related information. - select "CASH", if the user is a HKSCC Participant user and should access any of the CCMS on-line functions, CCMS reports and/or CCMS related broadcast messages. - select "FUTURES", if the user is a HKCC Participant user

<u>Field</u>	<u>Description/Format</u>
	<p>and should access any of the CCMS on-line functions, CCMS reports and/or CCMS related broadcast messages.</p> <ul style="list-style-type: none"> - select "OPTIONS", if the user is a SEOCH Participant user and should access any of the CCMS on-line functions, CCMS reports (via Report Download or Overnight Report Distribution) and/or CCMS related broadcast messages.
<p>Transaction Limit (HKD)</p> <ul style="list-style-type: none"> - Default - DI / ISI / Cash Compensation Indicator / Cash Prepayment / DI Requirement / Recall Request / ATI / SI 	<ul style="list-style-type: none"> - not applicable to CCMS. - not applicable to CCMS.
Selected User Group	<ul style="list-style-type: none"> - the user groups assigned to the user. - highlight the user groups and click the ">>" button to remove the user groups from the selected groups.
Available User Group	<ul style="list-style-type: none"> - the user groups not yet assigned to the user. - highlight the user groups and click the "<<" button to add the user groups to the selected group.
SRN (for user using smartcard)	<ul style="list-style-type: none"> - display the Subscriber Reference Number of the user's smartcard. - only display in the enquiry screen.
Certificate Expiry Date	<ul style="list-style-type: none"> - display the expiry date of the certificate in the user's smartcard. - only display in the enquiry screen.
Access Channel	<ul style="list-style-type: none"> - 'C3T' for CCASS/3 or CCMS Terminal. - 'PG' for Participant Gateway (not applicable to CCMS). - only display in the enquiry screen.