

Appendix 5

LIST OF eSERVICE BY Entities

Below table lists all the eServices available to each Identities.

eService ID	eService	HKSCC	HKSCC DB*	HKSCC CAP#	MSPSA^	HKCC	SEOCH	SEHK	HKFE	OTEP	HKEX-IS	SR	HOS
AC 1	DCASS Account Maintenance Request to HKCC / SEOCH	x	x	x	x	✓	✓	x	x	x	x	x	x
AC 2	DCASS User Account Maintenance Request to HKCC/SEOCH	x	x	x	x	✓	✓	x	x	x	x	x	x
AC 3	Selected Currency Designation Request to HKCC / SEOCH	x	x	x	x	✓	✓	x	x	x	x	x	x
AC 4	CCMS Collateral Account Designation for Marks, Margin and Concentration Collateral Collection by SEOCH	x	x	x	x	x	✓	x	x	x	x	x	x
AC 5	Stock Account Mapping Maintenance to HKSCC for the Use of Shanghai and Shenzhen Stock Connect	✓	x	x	x	x	x	✓	x	x	x	x	x
AC 6	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	✓	x	x	x	x	x	✓	x	x	x	x	x
AC 7	Master SPSA ID to SPSA Mapping Maintenance Request	x	x	x	✓	x	x	x	x	x	x	x	x
AC 8	Master SPSA ID & Designated Executing Broker Mapping Maintenance Request	x	x	x	✓	x	x	✓	x	x	x	x	x
AC 9	Change of Company Name	✓	✓	✓	x	✓	✓	x	x	x	x	x	x
AC 11	Change of Authorised Signatories	✓	✓	x	x	✓	✓	x	x	x	x	x	x
AC 12	Update Bank Account	✓	x	x	x	✓	✓	x	x	x	x	x	x
AC 13	Change of Company Particulars and Contact Persons	✓	✓	✓	x	✓	✓	x	x	x	x	x	x
AC 14	Stock Segregated Account - Without Statement Maintenance Request to HKSCC	✓	✓	✓	x	x	x	x	x	x	x	x	x

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AC 15	Standing Instruction to HKSCC for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CPI	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Set 1	Application to HKSCC for Exemption of Buy-in	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Set 2	Early Buy-in Request to HKSCC	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Set 3	Request for Special Buy-In	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Set 4	Buy-in Request to HKSCC for CCASS Isolated Trades only	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Set 5	Authorization to HKSCC from the short clearing participant for debiting their stock entitlement account	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Pam 1	Registration As An Exchange Participant Registered To Use The Trading Link To Trade In China Connect Securities	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
Pam 2	Registration As A Clearing Participant Registered To Use The Clearing Link For The Clearing And Settlement Of Transactions Involving China Connect Securities	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
RR 1	Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files	✓	✓	✓	✗	✓	✓	✗	✗	✗	✗	✗	✗
UD	Submission and Download	✓	✗	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗
Event ID	Activity Enrolment	✓	✓	✓	✗	✓	✓	✓	✗	✗	✗	✗	✗
TechS 1	DCASS/OAPI Connectivity Test Confirmation Request to HKCC / SEOCH	✗	✗	✗	✗	✓	✓	✗	✗	✗	✗	✗	✗
TechS 2	DCASS OAPI Certification Test Application /Confirmation Request to HKCC/SEOCH	✗	✗	✗	✗	✓	✓	✗	✗	✗	✗	✗	✗
TechS 3	DCASS OAPI Program Readiness Declaration Request to HKCC/SEOCH	✗	✗	✗	✗	✓	✓	✗	✗	✗	✗	✗	✗

eService ID	eService	HKSCC	HKSCC DB*	HKSCC CAP#	MSPSA^	HKCC	SEOCH	SEHK	HKFE	OTEP	HKEX-IS	SR	HOS
TechS 4	Request to HKCC / SEOCH for accessing DCASS OAPI Testing Environment	x	x	x	x	✓	✓	x	x	x	x	x	x
TechS 5	DCASS Production / Testing Line Application and/or Change of Bandwidth Notification to HKCC / SEOCH	x	x	x	x	✓	✓	x	x	x	x	x	x
TechS 6	CCASS/CCMS SDNet Line Service Notification	✓	✓	✓	x	✓	✓	x	x	x	x	x	x
TechS 7	PG Acquisition Confirmation Reply to HKSCC	✓	✓	✓	x	x	x	x	x	x	x	x	x
TechS 8	RAP Registration and Maintenance for HKSCC or HKCC/SEOCH or Share Registrar	✓	x	✓	x	✓	✓	x	x	x	x	✓	x
SCard 1	Smartcard Maintenance for User and DA	✓	✓	✓	x	✓	✓	x	x	x	x	x	x
SCard 2	Smartcard Maintenance for user (PG or Special Request)	✓	✓	✓	x	✓	✓	x	x	x	x	x	x
SCard 3	Order Smartcard Reader(s)	✓	✓	✓	x	✓	✓	x	x	x	x	x	x
Nom 1	Dividend Bonus Claim Submission to HKSCC	✓	x	x	x	x	x	x	x	x	x	x	x
Nom 2	Denomination of certificate	✓	x	x	x	x	x	x	x	x	x	x	x
Nom 3	Corporate Communication Request to HKSCC	x	x	x	x	x	x	x	x	x	x	✓	x
Dep 1A	Application to HKSCC for Withdrawal Fee Concession (Pre-approval)	✓	x	x	x	x	x	x	x	x	x	x	x
Dep 1B	Application to HKSCC for Withdrawal Fee Concession (Final approval)	✓	x	x	x	x	x	x	x	x	x	x	x
Dep 2A	Application to HKSCC for Scrip Fee Concession (Pre-approval)	✓	x	x	x	x	x	x	x	x	x	x	x
Dep 2B	Application to HKSCC for Scrip Fee Concession (Final approval)	✓	x	x	x	x	x	x	x	x	x	x	x
Dep 3	Transfer Instruction (CMU) to HKSCC	✓	x	x	x	x	x	x	x	x	x	x	x

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Dep 5	Cross-border Transfer Instruction (Foreign Securities) to HKSCC	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Dep 6	Transfer Instruction to HKSCC (for delisted stock)	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
DA 1	VaR Online Delegated Administrator Rights Application / Maintenance Form	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
DA 3	CCASS/ CCMS Delegated Administrator Application/ Maintenance Form	✓	✓	✓	✗	✓	✓	✗	✗	✗	✗	✗	✗
DA 4	CCASS / CCMS User Account Application Form	✓	✓	✓	✗	✓	✓	✗	✗	✗	✗	✗	✗
CB011	BSS Change Notification	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CB012	Notification of Testing Line	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CB017	Application for Exemption from Conducting Rollout Test	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CB028	OTP-C / CSC Trading Device and BSS Co-ordinator Contact Update	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CS007	Application for CCCG (for BSS user)	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CS008	Application for New/ Change of Particulars of China Connect Drop Copy Session (for BSS users)	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CS009	Application for Increase of CCCG Throttle Rate	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CS010	Application for Subscription or Termination of China Connect Monthly Throttle Rates	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CS021	China Connect Weekend Testing Booking Form	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗
CS022	Feedback Form for CCCG Rollout Test	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗	✗

eService ID	eService	HKSCC	HKSCC DB*	HKSCC CAP#	MSPSA^	HKCC	SEOCH	SEHK	HKFE	OTEP	HKEX-IS	SR	HOS
CS023	Confirmation Form for Rollout / Re-assignment / Change of BSS System under China Connect Central Gateway (CCCG) and/or China Connect Drop-Copy (CC Drop-Copy) Session	x	x	x	x	x	x	✓	x	x	x	x	x
CS024	BSS Declaration for CCCG Session	x	x	x	x	x	x	✓	x	x	x	x	x
CS025	BSS Declaration for China Connect Drop-Copy Session	x	x	x	x	x	x	✓	x	x	x	x	x
CS026	Short Selling Function Rollout Form	x	x	x	x	x	x	✓	x	x	x	x	x
CS030	Requisition Form for Change of BSS Connection Information for China Connect Central Gateway (CCCG) Trading / Drop Copy Session	x	x	x	x	x	x	✓	x	x	x	x	x
CT001	Application for HKEX Orion Central Gateway Session (For BSS Users) - Normal Trading	x	x	x	x	x	x	✓	x	x	x	x	x
CT002	Application for New/ Change of Particulars of Drop-Copy Session (For BSS Users)	x	x	x	x	x	x	✓	x	x	x	x	x
CT003	Application for New/ Change of Particulars of Cancel on Disconnect Service of HKEX Orion Central Gateway Session (For BSS Users)	x	x	x	x	x	x	✓	x	x	x	x	x
CT004	Application for Increase of HKEX Orion Central Gateway (OCG) Throttle Rate	x	x	x	x	x	x	✓	x	x	x	x	x
CT005	Application for Subscription or Termination of Monthly Throttle Rates	x	x	x	x	x	x	✓	x	x	x	x	x
CT006	Application for Throttle-On-Demand (TOD) Throttle Rates	x	x	x	x	x	x	✓	x	x	x	x	x
CT013	Weekday Testing Booking Form	x	x	x	x	x	x	✓	x	x	x	x	x
CT014	Weekend Testing Booking Form	x	x	x	x	x	x	✓	x	x	x	x	x
CT015	Feedback Form for OCG-C Rollout Test	x	x	x	x	x	x	✓	x	x	x	x	x
CT016	Confirmation Form for Change of BSS System under Orion Central Gateway – Securities Market (OCG-C) and/or Drop-Copy Session	x	x	x	x	x	x	✓	x	x	x	x	x
CT018	BSS Declaration for OCG-C Trading Session	x	x	x	x	x	x	✓	x	x	x	x	x

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CT019	BSS Declaration for Drop-Copy Session	x	x	x	x	x	x	✓	x	x	x	x	
CT027	Confirmation of OTP-C Order Consideration Limit Setting	x	x	x	x	x	x	✓	x	x	x	x	
CT029	Requisition Form for Change of BSS Connection Information for HKEX Orion Central Gateway (OCG) Trading / Drop Copy Session	x	x	x	x	x	x	✓	x	x	x	x	x
CT031	Application for HKEX Orion Central Gateway Session (For BSS Users) - Market Making	x	x	x	x	x	x	✓	x	x	x	x	x
CT032	Application for HKEX Orion Central Gateway Session (For BSS Users) - Kill Switch	x	x	x	x	x	x	✓	x	x	x	x	x
PS001	Notification of Suspension / Cessation of Trading of Exchange Participant	x	x	x	x	x	x	✓	x	x	x	x	x
PS002	Application for Re-commencement of Trading	x	x	x	x	x	x	✓	x	x	x	x	x
DT001	HKATS Exchange Participant Contact List	x	x	x	x	x	x	x	✓	✓	x	x	x
DT002	Application for Access to HKATS Testing Environment	x	x	x	x	x	x	x	✓	✓	x	x	x
DT003	AHT Participation Registration Form	x	x	x	x	x	x	x	✓	✓	x	x	x
DT004	Request for Resetting HKATS Password	x	x	x	x	x	x	x	✓	✓	x	x	x
DT005	Request for Order Size Limits Setting	x	x	x	x	x	x	x	✓	✓	x	x	x
DT006	Request for Login Test Outside Office Hours	x	x	x	x	x	x	x	✓	✓	x	x	x
DT007	Form 7 - Application for Correction of Erroneous Trade	x	x	x	x	x	x	x	✓	x	x	x	x
DT008	Application for HKATS Production / Testing Circuit	x	x	x	x	x	x	x	✓	✓	x	x	x

eService ID	eService	HKSCC	HKSCC DB*	HKSCC CAP#	MSPSA^	HKCC	SEOCH	SEHK	HKFE	OTEP	HKEX-IS	SR	HOS
DT009	Application for Addition / Termination of HKATS Connection	x	x	x	x	x	x	x	✓	✓	x	x	x
DT010	Change Request for HKATS Usernames	x	x	x	x	x	x	x	✓	✓	x	x	x
DT011	Request for OAPI Certification Test	x	x	x	x	x	x	x	✓	✓	x	x	x
DT012	Application for Trading Access of Flexible Index Options	x	x	x	x	x	x	x	✓	✓	x	x	x
DT013	Notification of Applying HKATS Risk Functions Risk Limits	x	x	x	x	x	x	x	✓	✓	x	x	x
DT014	Confirmation of Order Price and Volume Deviation Settings	x	x	x	x	x	x	x	✓	✓	x	x	x
DT015	Application for Waiver of Market Maker Obligations	x	x	x	x	x	x	x	✓	✓	x	x	x
DT016	OAPI Application Form	x	x	x	x	x	x	x	✓	✓	x	x	x
DT017	SEHK participants to notify SEHK of their intention to engage US investors	x	x	x	x	x	x	x	x	✓	x	x	x
DT018	HKFE participants to notify HKFE of their intention to engage US investors	x	x	x	x	x	x	x	✓	x	x	x	x
DT019	HKATS Reqeust (Others)	x	x	x	x	x	x	x	✓	✓	x	x	x
MDC01	Connection Notification Form (Production)	x	x	x	x	x	x	x	x	x	✓	x	x
MDC02	Notification Form for Termination or Relocation of Market Data Connection	x	x	x	x	x	x	x	x	x	✓	x	x
MDC03	Connection Notification Form (Testing)	x	x	x	x	x	x	x	x	x	✓	x	x
HS001	Site Access Application Form	x	x	x	x	x	x	x	x	x	x	x	✓

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eService ID	eService	HKSCC	HKSCC DB*	HKSCC CAP#	MSPSA^	HKCC	SEOCH	SEHK	HKFE	OTEP	HKEX-IS	SR	HOS
HS002	Subscriber Registration and Change Registration Form	x	x	x	x	x	x	x	x	x	x	x	✓
HS003	Subscriber Equipment move-in-out Form	x	x	x	x	x	x	x	x	x	x	x	✓
HS004	Remote Hands Service Requisition Form - Equipment Power Cycling / Checking Equipment LEDs for activity / Visual Inspections of Equipment / Visual Inspections via KVM / Visual Inspections of Equipment Inventory in rack(s) / Console Command Input / In-rack Packaging Materials Disposal	x	x	x	x	x	x	x	x	x	x	x	✓
HS005	Remote Hands Service Requisition Form - Site Access Activity Log / Power Consumption Report / Weekday Staging Service	x	x	x	x	x	x	x	x	x	x	x	✓
HS006	Remote Hands Service Requisition Form - One-time In-rack Cable Patching / Cable Tracing / Equipment Labelling / Cable Labelling / Loopback Testing	x	x	x	x	x	x	x	x	x	x	x	✓
HS007	Remote Hands Service Requisition Form - One-time Equipment and Component Installation, Replacement and Removal	x	x	x	x	x	x	x	x	x	x	x	✓

* DB: Designated Bank

CAP: Clearing Agency Participant

^ MSPSA: Master SPSA Holder