4.1 Settlement and Depository

DEP 1A Application to HKSCC for Withdrawal Fee Concession (Pre-approval)

WHEN TO USE:

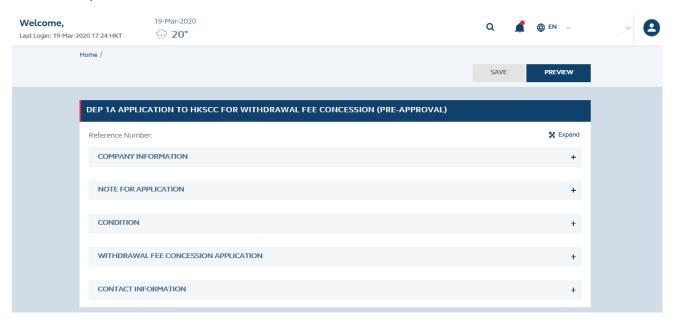
- ➤ When a HKSCC Participant wishes to submit Withdrawal Fee Concession application on stock withdrawal to HKSCC through Client Connect for pre-approval before submitting the withdrawl order.
- > This eService is available at any time.

ABOUT THIS eSERVICE:

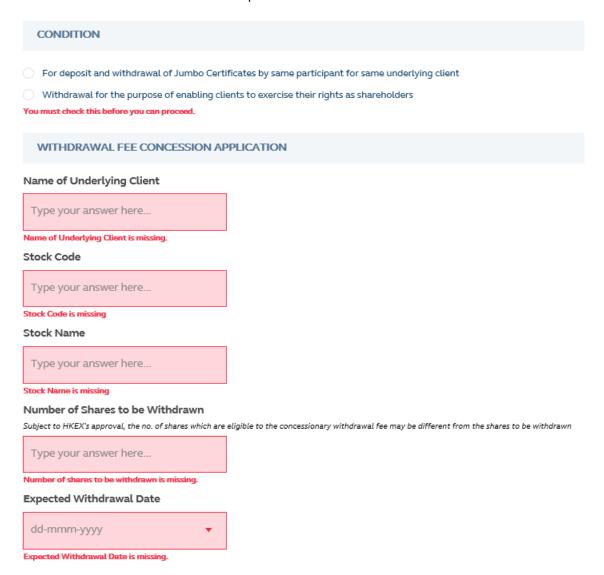
- This eService is available to Business users of HKSCC Participant granted with the access rights EU_Depository.
- > Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.
- > PDF report which contains the withdrawal fee concession information will be available to Participant after the workflow on the request is completed.

SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.



FIELDS HIGHLIGHTS:

#	Field Name	Highlights	
CON	PANY INFORMATION		
1	From	- Display the Company name of the Participant	
2	As	- Display the role of the Participant	
NOT	E FOR APPLICATION		
CON	DITION		
3	 For deposit and withdrawl of Jumbo Cerfificates by same participant for same underlying client Withdrawal for the purpose of enabling clients to exercise their rights as shareholders 	- Choose either one of the conditions	
WITH	WITHDRAWAL FEE CONCESSION APPLICATION		
4	Name of Underlying Client	- Field format: Free text	
5	Stock Code	- Field format: Positive integer	
6	Stock Name	 Field format: Alphanumeric Auto populated based on input of field number 10 	
7	Number of Shares to be Withdrawn	- Field format: Positive integer	
8	Expected Withdrawal Date	- Field format: Textbox with date picker	
9	Declaration Checkbox	- Mandatory checkbox	
WITHDRAWAL FEE CONCESSION APPLICATION (WHEN 1 ST CONDITION IS CHOSEN)			
10	Order Number (Deposit)	- Field format: H followed by 8 numbers	
11	Account Number (Deposit)	- Field format: Positive integer	
12	Deposit Date	- Field format: Textbox with date picker	
13	No. of Certificates Deposited	- Field format: Positive integer	
14	No. of Shares Deposited	- Field format: Positive integer	
15	Supporting Document (Deposit Receipt) – UPLOAD	- Mandatory to upload supporting documents	
16	+ ADD ANOTHER ROW	 Add a new row to provide entitlement details by clicking the button 	
CON	TACT INFORMATION		
17	Name of Contact Person	 Field format: Alphanumeric Auto-filled based on maker's profile and content is editable. 	
18	Email Address	 Field format: Alphanumeric Auto-filled based on maker's profile and content is editable. 	
19	Telephone Number	 Field format: Numeric Auto-filled based on maker's profile and content is editable. 	
20	+ CONTACT PERSON	 Provide additional contract information by clicking the button Participant can optionally provide up to 5 contact information. 	