4.1 Settlement and Depository

DEP 2A Application to HKSCC for Scrip Fee Concession (Pre-approval)

WHEN TO USE:

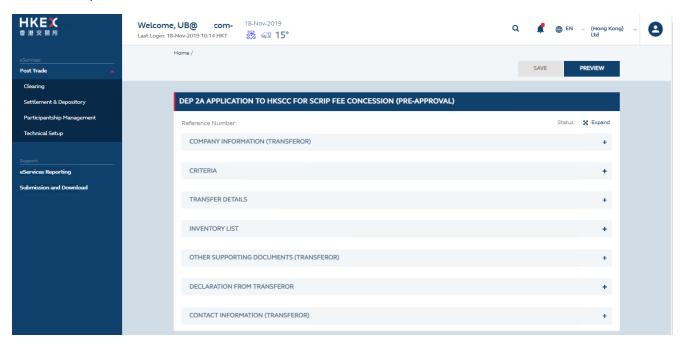
- ➤ When a HKSCC Participant wishes to submit Scrip Fee Concession application on stock transfers belonging to the same underlying client of participants with CCASS on behalf of the client to HKSCC through Client Connect for pre-approval before transfer date.
- This eService is available at any time.

ABOUT THIS eSERVICE:

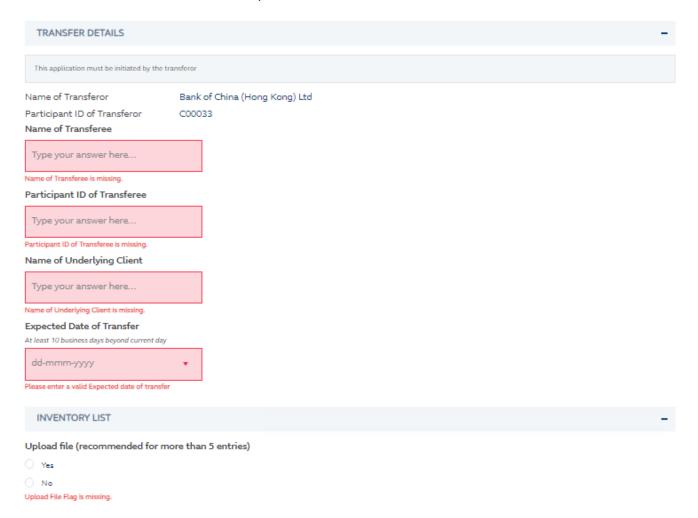
- > This eService is available to Business users of HKSCC Participant granted with the access rights EU_Depository.
- This eService must be initiated by the transferor.
- > Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.
- > PDF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

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		
COMPANY INFORMATION				
1	From	- Display the Company name of the Participant		
2	As	- Display the role of the Participant		
TRANSFER DETAILS				
3	Name of Transferee	 Field format: Alphabetic Auto populated based on the input of field number 4 		
4	Participant ID of Transferee	 Field format: Alphanumeric Auto populated based on the input of field number 3 		
5	Name of Underlying Client	- Field format: Alphanumeric		
6	Expected Date of Transfer	- Field format: Calendar picker		
INVENTORY LIST				
7	Upload file (recommended for more than 5 entries) o Yes o No	 Upload an Excel template to fill the entitlement table as described at field number 10 to 15 Recommended to upload an Excel template if claim request is more than 5 entries 		
8	Download Template	 A link to download the Excel template Participant can refer to "Excel Example" sheet on how to fill the Excel template 		
9	UPLOAD	 Upload an Excel template to fill the entitlement table as described at field number 10 to 15 Recommended to upload an Excel template if claim request is more than 5 entries System will capture and validate data from the first spreadsheet of the Excel file uploaded 		
10	Stock Code	- Field format: Positive integer		
11	Stock Name	 Field format: Alphanumeric Auto populated based on input of field number 10 		
12	Last Scrip Fee Collection Date	 Input disabled. Auto populated based on input of field number 10 		
13	Underlying Client's Balance on Last Collection Date	- Field format: Positive integer		
14	Shareholding Balance on Last Collection Date as per Entitlement Statements	- Field format: Positive integer		
15	Transfer Quantity	- Field format: Positive integer		
16	+ ADD ANOTHER ROW	 Add a new row to provide entitlement details by clicking the button 		
OTHE	ER SUPPORTING DOCUMENTS (FRANSFEROR)		
17	Entitlement Statement – UPLOAD	- Mandatory to upload		
18	Application Letter and Inventory List of the Underlying Client – UPLOAD	 Template available to be downloaded Mandatory to upload a signed copy 		
19	Other Supporting Documents – UPLOAD	- Optional to upload supporting documents		
DECLARATION FROM TRANSFEROR				
20	Declaration Checkbox	- Mandatory checkbox		
CONTACT INFORMATION (TRANSFEROR)h				
21	Name of Contact Person	 Field format: Alphanumeric Auto-filled based on maker's profile and content is editable. 		

#	Field Name	Highlights
22	Email Address	Field format: AlphanumericAuto-filled based on maker's profile and content is editable.
23	Telephone Number	 Field format: Numeric Auto-filled based on maker's profile and content is editable.
24	+ CONTACT PERSON	 Provide additional contract information by clicking the button Participant can optionally provide up to 5 contact information.