4.1 Settlement and Depository

DEP 2B Application to HKSCC for Scrip Fee Concession (Final approval)

WHEN TO USE:

- > When a HKSCC Participant wishes to submit an updated list of stock transfers for Scrip Fee Concession application previously obtained pre-approval to HKSCC through Client Connect.
- > This eService is available at any time.

ABOUT THIS eSERVICE:

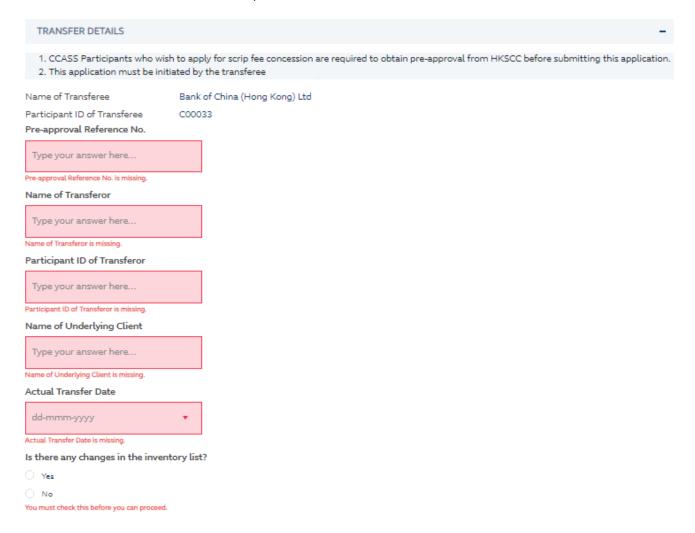
- > This eService is available to Business users of HKSCC Participant granted with the access rights EU_Depository.
- This eService shall be in use with eService **DEP 2A Application to HKSCC for Scrip Fee Concession** (**Pre-approval**) with Pre-approval obtained from **DEP 2A**.
- This eService must be initiated by the transferee.
- > 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	Pre-approval Reference No.	- Field format: Alphanumeric
4	Name of Transferor	 Field format: Alphabetic Auto populated based on input of field number 5
5	Participant ID of Transferor	 Field format: Alphanumeric Auto populated based on input of field number 4
6	Name of Underlying Client	- Field format: Alphanumeric
7	Actual Transfer Date	- Field format: Calendar picker
8	Is there any changes in the inventory list? O Yes O No	- Field format: Radio button
CHANGES IN THE INVENTORY LIST		
9	Upload file (recommended for more than 5 entries) O Yes O No	 Field number 9 to 16 will become available when "Yes" is chosen for field number 8 Download Template and UPLOAD button will become available if chosen "Yes" for "Upload File"
10	Download Template	 Field number 10 to 11 will become available when "Yes" is chosen for field number 9 A link to download the Excel template Participant can refer to "Excel Example" sheet on how to fill the Excel template
11	UPLOAD	 Upload an Excel template to fill the entitlement table as described at field number 12 to 14 Recommended to upload an Excel template if claim request is more than 5 entries
12	Stock Code	 Field format: Positive Integer Auto populated based on input of field number 13
13	Stock Name	 Field format: Alphanumeric Auto populated based on input of field number 12
14	Actual Transfer Quantity	- Field format: Positive Integer
15	+ ADD ANOTHER ROW	 Add a new row to provide entitlement details by clicking the button
16	Declaration box	- Mandatory Checkbox
CONFIRMATION OF THE SECURITIES TRANSFER (TRANSFEREE)		
17	UPLOAD	- Upload the Settled Position Report
18	Declaration box	- Mandatory Checkbox
CONTACT INFORMATION (TRANSFEREE)		
19	Name of Contact Person	 Field format: Alphanumeric Auto-filled based on maker's profile and content is editable.
20	Email Address	 Field format: Alphanumeric Auto-filled based on maker's profile and content is editable.
21	Telephone Number	 Field format: Numeric Auto-filled based on maker's profile and content is editable.
22	+ CONTACT PERSON	 Provide additional contract information by clicking the button Participant can optionally provide up to 5 contact information.