4.2 Participantship Management

PAM 1 REGISTRATION AS AN EXCHANGE PARTICIPANT REGISTERED TO USE THE TRADING LINK TO TRADE IN CHINA CONNECT SECURITIES

WHEN TO USE:

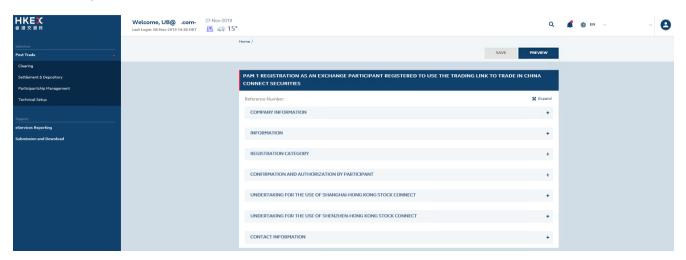
- When an Exchange Participant of the Stock Exchange Hong Kong Limited ("SEHK") wish to apply for the registeration to use the Trading Link to trade in China Connect Securities.
- This eService is available at any time.

ABOUT THIS eSERVICE:

- > This eService is available to business users granted with the access rights EU_Participantship under the identity of SEHK Participant.
- > The eService is equivalent to "Registration for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect" (From 20), "Confirmation of Readiness for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect", "Undertaking for the Use of Shanghai-Hong Kong Stock Connect", and "Undertaking for the Use of Shenzhen-Hong Kong Stock Connect" should the SEHK Participant wish to apply for the registeration to use the Trading Link to trade in China Connect Securities.
- > Email and Dashboard notifications will be sent to user when there is change related to eService status.
- > PDF report the related eService will be available to SEHK Participant after the workflow is ended.

SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.



You must check this before you can proceed.

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant
CONFIRMATION AND AUTHORIZATION BY PARTICIPANT		
3	Declaration Checkbox	- Mandatory Checkbox
UNDERTAKING FOR THE USE OF SHANGHAI-HONG KONG STOCK CONNECT		
4	Declaration Checkbox	- Mandatory Checkbox
UNDERTAKING FOR THE USE OF SHENZHEN-HONG KONG STOCK CONNECT		
5	Declaration Checkbox	- Mandatory Checkbox
CONFIRMATION OF TRADING READINESS		
6	Confirmation Checkbox 1	- Mandatory Checkbox
7	Confirmation Checkbox 2	
8	Confirmation Checkbox 3	 Applicable to Non-Clearing Participant only.
DECLARATION AND UNDERTAKING BY PARTICIPANT		
9	Declaration Checkbox	- Mandatory Checkbox
CONFIRMATION TO PARTICIPANT (This section is shown when eService is 'Approved')		
10	Confirmed Effective Date	- To be provided by HKEX upon approval
CONTACT INFORMATION		
11	Name of Contact Person	Field format: AlphanumericAuto-filled based on maker's profile and content is editable.
12	Email Address	Field format: AlphanumericAuto-filled based on maker's profile and content is editable.
13	Telephone Number	Field format: NumericAuto-filled based on maker's profile and content is editable.
14	+ CONTACT PERSON	 Provide additional contract information by clicking the button Participant can optionally provide up to 5 contact information.