Guidelines for Setting up the Access to ECP via HKEX Access Management Portal

A. Create Users and Assign Functions to User (by DAs)

Steps:

1. Access HKEX Access Management Portal though https://connect.hkex.com.hk.

2. Login to Access Management Portal and click MANAGE ACCESS RIGHTS.

3. Go to MANAGE, then click USERS.

4. DA can view the list of users (if any) for the company he/she manages.

5. DA (Maker) click on +CREATE USER to create users by entering the details of the new user.   The email must be correct and it will be the new user's Access Management Portal Login User ID.

Create User

Details	Roles

First Name	new
Last Name	user
Company	ECP Testing Comp 0000 x
Title (optional)	
Email	nu@ecpcomp0000.com
Team Email (optional)	
Contact Number	12345678

Employee Type	☐ Admin	☑ Business
Internal/External	○ Internal	● External
User Status	● Active	○ Inactive

6. Once the company is entered, the Roles tab will appear.   This allows DA to assign EU functions to the new user.   Please refer to List of ECP Functions for the list of business functions.   Click CREATE to submit the request.

‹ Back to users list

User
Create User   CANCEL   CREATE

Details	Roles

User should have at least one role

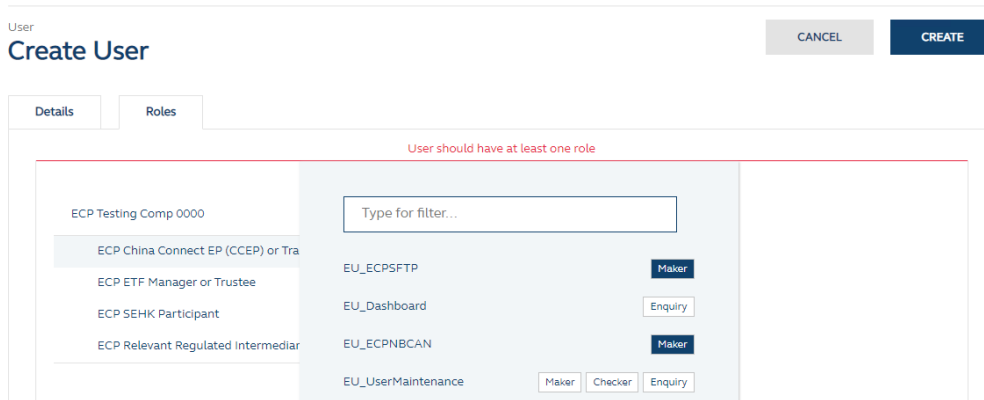ADD MORE COMPANIES

ECP Testing Comp 0000   —

ECP China Connect EP (CCEP) or Trade-through EP (TTEP)

ECP ETF Manager or Trustee

ECP SEHK Participant

ECP Relevant Regulated Intermediaries

7. DA (Checker) will receive an email notification on maker's request.

8. Checker can login to Access Management Portal and via **MANAGE ACCESS RIGHTS**, the request will appear on the access management dashboard.

9. Checker can approve the request at the task list.

10. Once Access Management Portal account is created, user would receive an email notification containing instructions to set up password to access "Access Management Portal".

B. Edit Users and Assign Functions to User (by DAs)

Steps:

1. Access HKEX Access Management Portal though https://connect.hkex.com.hk.

2. Login to Access Management Portal and click MANAGE ACCESS RIGHTS.
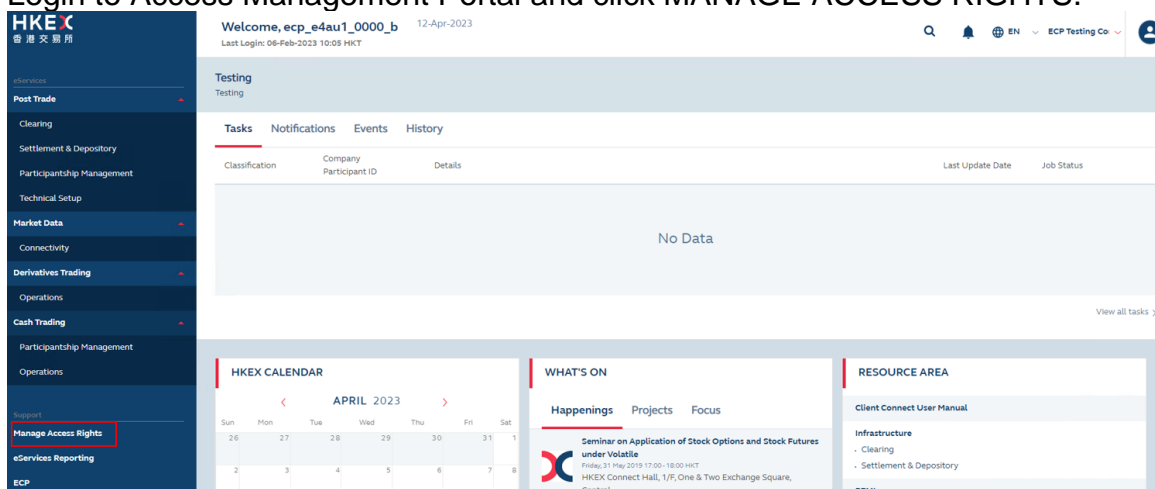
3. Go to MANAGE, then click USERS.
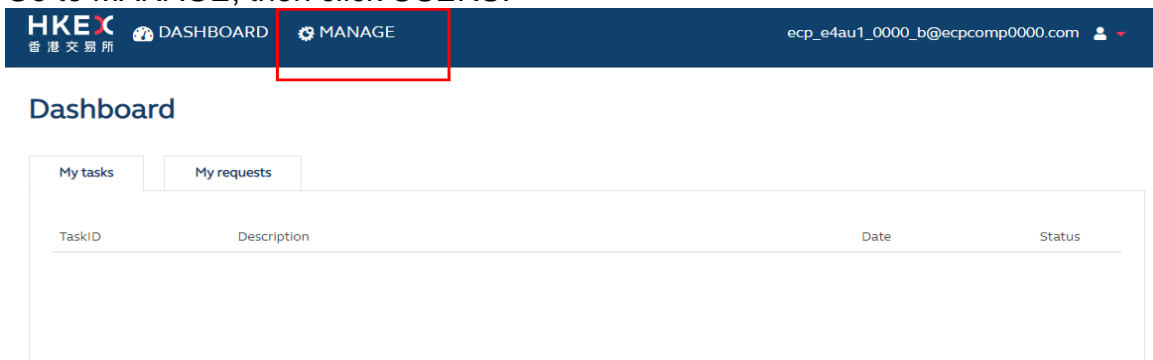
4. DA can view the list of users (if any) for the company he/she manages.
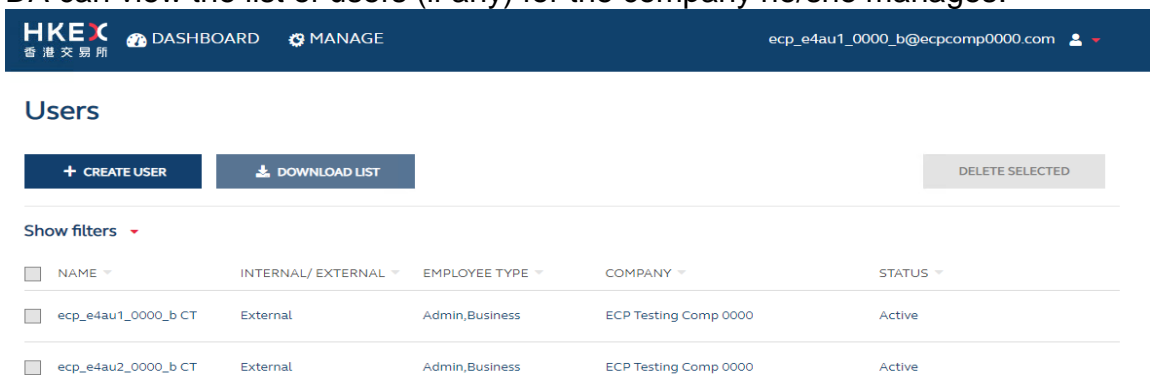
5. Click on a specific user to edit.
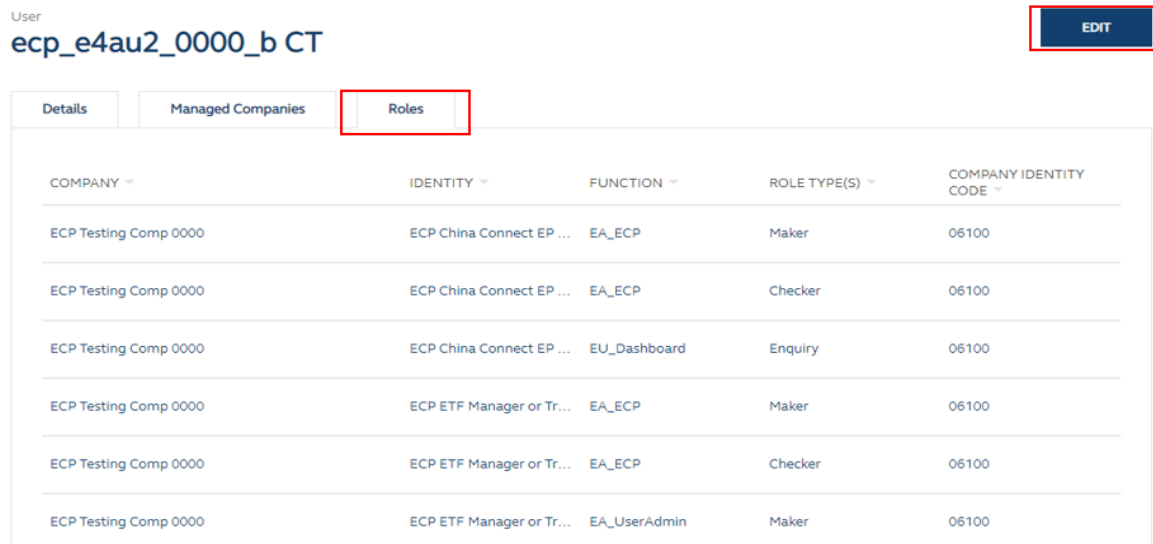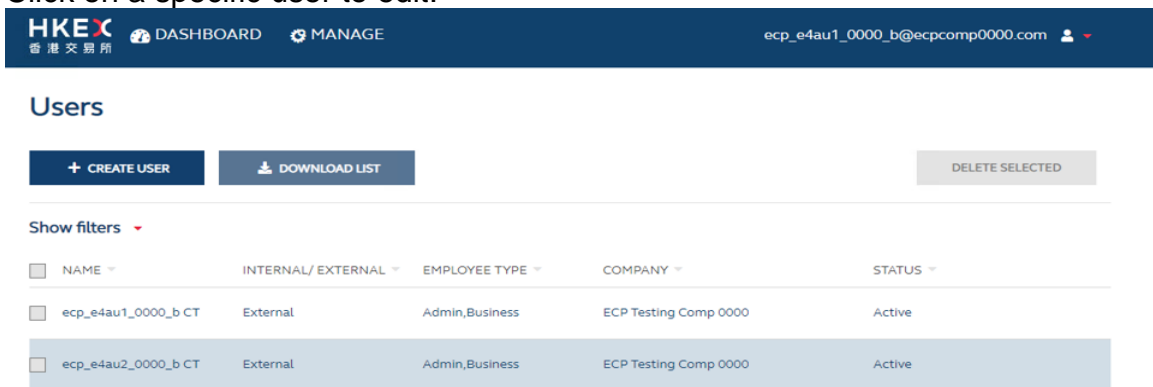
6. Assign EU functions to the new user.   Please refer to [List of ECP Functions](#) for the list of business functions.   Click CREATE to submit the request.

Edit Roles
ecp_e4au2_0000_b CT   CANCEL   SUBMIT

ADD MORE COMPANIES

ECP Testing Comp 0000   —

   ECP China Connect EP (CCEP) or Trade-through EP (TTEP)

   ECP ETF Manager or Trustee

   ECP SEHK Participant

   ECP Relevant Regulated Intermediaries

Edit Roles
ecp_e4au2_0000_b CT   CANCEL   SUBMIT

ECP Testing Comp 0000	Type for filter…	
ECP China Connect EP (CCEP) or Tra		
ECP ETF Manager or Trustee	EU_ECPSFTP	Maker
ECP SEHK Participant	EU_Dashboard	Enquiry
ECP Relevant Regulated Intermediar	EU_ECPNBCAN	Maker
	EU_UserMaintenance	Maker Checker Enquiry

7. DA (Checker) will receive email notification on maker's request.

8. Checker can login to Access Management Portal and via **MANAGE ACCESS RIGHTS**, the request will appear on the access management dashboard.

Dashboard

My tasks

TaskID	Description	Date	Status
140799	CREATE USER	REJECT	APPROVE

9. Checker can approve the request at the task list.

For the details of user management in Access Management Portal, please refer to the [Access Management User Guide](#).   If new DAs are required, please complete [ECP User Types and Delegated Administrator Rights Application / Maintenance Form](#) and submit to the Exchange.

List of ECP Functions

Below table lists all available business functions of ECP under each identity in Access Management Portal. EPs should arrange their DAs to grant the corresponding functions of ECP to their business users according to their required submission and download functions in ECP. To use SFTP service in ECP, please be reminded to grant EU_ECPSFTP function in addition to the required business functions.

User Type	Identity Name	Business Function ID	Description
SEHK Participant	ECP SEHK Participant	EU_ECPSD	➢ For stamp duty relevant officers to submit SD-1, SD-4, SD-6 and SD-6A to the respective folders
		EU_ECPTO	➢ For Trading Operations to 1) download Files/Notice and 2) submit Reports and Questionnaire
		EU_ECPMM	➢ For Securities Market Maker to receive Market Making Obligation (MMO) reports
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
China Connect Exchange Participants/ Trade-through Exchange Participants	ECP China Connect EP (CCEP) or Trade-through EP (TTEP)	EU_ECPNBCAN	➢ For operations in Northbound Investor ID Model
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
HKFE Participant	ECP HKFE Participant	EU_ECPDO	➢ For operations in Derivatives Market (HKFE products)
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
Options Exchange Participant of SEHK	ECP Options Exchange Participant of SEHK	EU_ECPSO	➢ For operations in Derivatives Market (stock options)
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
Exchange Traded Products related users (ETP Issuers, Designated Specialists, Securities Market Maker)	ECP Designated Specialists	EU_ECPDS	➢ For Designated Specialist to receive MMO reports
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
	ECP ETP Issuers	EU_ECPPF	➢ For ETP Issuer to receive MMO reports
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
Large Open Position Reporting users	ECP Transaction Originator in Large Open Position reporting	EU_ECPLT	➢ For users to submit LOP reporting for Transaction Originator
		EU_ECPST	➢ For users to submit LOP reporting for Transaction Originator for Stock Options
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
	ECP Beneficial Identity in Large Open Position reporting	EU_ECPLB	➢ For users to submit LOP reporting for Beneficial Identity
		EU_ECPSB	➢ For users to submit LOP reporting for Beneficial Identity for Stock Options
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
HKSCC General Clearing	ECP HKSCC General Clearing Participant	EU_ECPSI	➢ For users to receive Morning SI Message for Northbound Trading

User Type	Identity Name	Business Function ID	Description
Participant	user	EU_ECPSAG	➢ For users to submit Self-Attestation of Compliance Questionnaire (General Clearing Participants)
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
HKSCC Custodian Participant	ECP HKSCC Custodian Participant user	EU_ECPSAC	➢ For users to submit Self-Attestation of Compliance Questionnaire (Custodian Participants)
		EU_ECPSFTP	➢ For users to use ECP SFTP Service
Relevant Licensed or Registered Person	ECP Relevant Regulated Intermediaries	EU_ECPHKIDR	➢ For operations in Hong Kong Investor ID Regime (HKIDR)
		EU_ECPSFTP	➢ For users to use ECP SFTP Service