8 DCASS SECURITY ADMINISTRATION

Clearing Participants can make use of the DCASS security features to manage passwords and access rights of their DCASS Terminal users.

8.1 DCASS TERMINAL ADMINISTRATOR

Login as a DCASS Terminal Administrator, the following menu items will be available:

🖶 HKEx - 40662 - Genium INET Clearing Workstation 1 - 2.0.0801.40662			
File Edit View Clearing User Admin Help			
24 By	Menu Access Types		
Users		NU .#	

Note:

Under rare condition, the password of the user will be reset after its details are updated by DCASS Terminal Administrator. Therefore DCASS Terminal Administrator should reset the password if the user cannot login the system with the existing password after the change.

8.2 USER ADMINISTRATION

Participant can manage the following two areas in the DCASS Terminal via the "User View" window:

- 1) Password management, and
- 2) User management

To access the User View window, select "Users" from the User Admin menu

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File Edit View Clearing	User Admin Help		
24 By	Menu Access Types		
Users		NU #	

The User View window will be opened.

User View -	HKEx - 400	562 - Genium CW	1				
User: Participant:	b%_CGA	1*01	Menu Aco User Typ	cess Type: pe:	*	Status:	ALL
Use	r	Participant	Status		Description	User Type	Menu Access Type
BO_CGA1001 BU_CGA1101		CGA1 CGA1	Active	Access to all I	menus	BOPC1	BOS BO_ALL
BU_CGA1201		CGAI	Active	BOPC Adminis	strator	BOPCI	BO_ADM
<u>N</u> ew <u>Search</u> <u>Close</u>							
3							

List Columns

Field	Description		
Participant	The participant the user belong to		
User	The user id of the user. (The user IDs for DCASS Terminal		
	User and DCASS Sever User will be shown)		
Description	Free text to describe the user. Max 32 characters		
Menu Access Type	The user profile (menu access type) the user connected to.		
Status	Will be either one of the following two values:		
	Active The user is active		
	Suspended The user is suspended and can't be used		
User Type	Not used by HKEX		

8.2.1. **RESET PASSWORD**

DCASS Administrator can reset passwords of DCASS Server user and DCASS Terminal user. Simply select a user from the User View window, right click and select "Reset Password" and the "Change password" window will be given.

Description		User Type
BOS		BOS
Access to all menus		RODC1
BOPC Administrator	Reset Pass	word
	Edit User	
	Columns .	
	Print	
	Sorting	
	Сору	

Change password	
Old password:	OK Cancel
New password:	
Confirm password:	

8.2.2. EDIT USER DETAILS

To edit the user's profile, right click a user and select "Edit user" to access the "Edit User" window.

Reset Password	5
Edit User	5
Columns	Ī
Print	
Sorting	
Сору	-
Copy All	

If a non-editable user is selected (e.g. the DCASS Server user), the following window will pop up.

Genium PIA
The User is not editable.
ОК

The "Edit User" window will be opened if the selected user is editable. DCASS Administrator will be able to edit the following three fields: Status, Description and Menu Access type.

Edit User		x
Identity		
User:	BU_ CGA1101	
Signature:	B_10	
Participant:	CGA1	-
Status:	Active	•
Description:	Access to all menus	
User System Access		
User Type:	BOPC1	-
MenuAccessType:	BO_ALL	•
Password	:	
	<u>S</u> end <u>C</u>	lose

8.3 ACCESS PROFILE (MENU ACCESS TYPE)

8.3.1. VIEW MENU ACCESS TYPE

To view the Available Menu Access Type, select "Menu Access Types" from the "User Admin" menu.

HKEx - 40662 - Genium INET Clearing Workstation 1 - 2.0.0801.40662				
<u>File Edit View Clearing</u>	User Admin Help			
24 By	Menu Access Types			
Users		NU at		

The following are pre-defined Menu Access Type available for DCASS Administrators to select from:

Menu Access Type - HKEx - 40662 - Genium CW1		x
	Description	
BO ADM	Description BO Administrator	ĥ.
BO_ADM_RO	BO Administrator (RO)	
BO_ALL	BO Access To All	1
BO_ALL_RO	BO Access To All (RO)	-
BO_EX	BO for Exercise	=
BO_GUTU	BO for Give up and Take Up	
BO_POS	BO for Position Management	1
BO_POS_RO	BO for View Position	
BO_RPT	BO for Report Management	
BO TU	BO for Take Up	Ŧ
New	Search	
10		зđ

Field	Description
Menu Access Type	The name of the Menu Access Type
Description	Simple description of the menu access type

The "View Menu Access Type" window can be used to view the details of the Menu Access Type. Select a record, right click to access the short-cut menu and choose "View Menu Access Type" to access the window.

Menu Access Type					
BO_ADM	View Manu Assess Time				
BO_ADM_RO	view Menu Access Type				
BO_ALL	Edit Menu Access Type				
BO_ALL_RO	Clone Menu Access Type				
BO_EX	Delete Menu Access Type				
BO_GUTU	Columns				
BO_POS	B				
BO_POS_RO	Print				
BO RPT	Sorting				
BO TU	Сору				
	Copy All				
New	Select All				
	Font				

Note:

The following items are not used by HKEX: Edit Menu Access Type... Clone Menu Access Type... Delete Menu Access Type

View Menu Access Type - Genium CW1					
Menu Access Type: BC	D_ADM Description: BO Administrator				
Menu	Menu Name	Read	Write		
BOCM	Clearing Message	Yes	No		
BOMT	MenuAccess Type	Yes	No		
BOPW	Change Password	Yes	Yes		
BOUS	Users	Yes	Yes		
			Glose		

Field	Description			
Menu	The Menu code			
Menu Name	Simple description of the menu access type			
Read	Read access right. Must be "Yes"			
Write	Write access right. Either "Yes" or "No"			
	Some windows are for query only and the value of "Yes" or			
"No" is not applicable.				
	E.g.			
	Report window is used for view, save and print report.			
	Setting the "Write" to "yes" or "no" will be the same.			

8.3.2. AVAILABLE MENU ACCESS TYPE

The following M	enu Access	Types ar	e available	for selection:

Menu Access	Description	Functions Allowed					
Туре	· · · · · -						
1. System Administration Functions							
BO_ADM	BO Administrator	 Note: This access profile should be granted to the DCASS Administrator of a Clearing Participant To perform all system administration functions, i.e.: Reset passwords of DCASS Terminal Users Enquire and change access profiles of DCASS Terminal Users No access to other DCASS Terminal functions 					
BO_ADM_RO	BO Administrator (Read Only)	Enquire access profile of DCASS Terminal Users					
2. All DCASS	Terminal Functio	ns					
BO_ALL	BO Access to All	 Note: This access profile has been assigned as a default setting to all five DCASS Terminal User IDs upon the launch of 19.1 upgrade. Enquire and perform all DCASS Terminal functions (except system administration functions) 					
BO_ALL_RO	BO Access to All (Read Only)	Enquire all DCASS Terminal functions (except system administration functions)					
3. Give up and	d Take up Functio	ons					
BO_GUTU	BO for Give up and Take Up	 Enquire and perform give up request, confirm and reject take up requests To facilitate the user to perform these functions, enquire position and trade records are allowed 					
BO_TU	BO for Take Up	 Enquire, confirm and reject take up requests To facilitate the user to perform these functions, enquire position and trade records are allowed 					
4. Position Ma	anagement Funct	ions					
BO_EX	BO for Exercise	 Enquire, perform and reject exercise requests, and deny automatic exercise requests To facilitate the user to perform these functions, enquire position and trade records are allowed 					
BO_POS	BO for Position Management	 Enquire and perform position transfer, position offset, cross product netting, exercise requests, deny automatic exercise requests, cover call requests and de-cover call requests To facilitate the user to perform these functions, enquire position and trade records are allowed 					
BO_POS_RO	BO for Enquiring Position	Enquire positions					
5. Report Mar	5. Report Management Functions						
BO_RPT	BO for Report Management	Enquire and perform all functions in the Report window					

Below are the details of the menu items that assigned for each Menu Access Type:

		System		All DCASS		Give up and	
		Administration		Fur	nctions	Take up	
Menu Items				BO ALL	BO ALL RO		BO TU
	File	20_7.21		00_/122		20_0010	20_10
BOPW	Change Password	W	W	W	W	W	W
	Account						
BOAD	Account Detail			R	R	R	R
BOAP	Account Propagation			R	R	R	R
BOPO	Account Position			R	R	R	R
BOTH	Trade History			R	R	R	R
BOER	Exercise Request			W	R		
BOPT	Transfer Position			W	R		
BODA	Deny Automatic			W	R		
BOCC	Covered Call			W	R		
BOLP	Pos. to Net down.			W	R		
BOCP	Cross Product Netting			W	R		
BOPT	Position Transfer			W	R		
	Deal-Trade						
BOTT	Transfer from Transitory			W	R		
BOTH	Trade history			R	R	R	R
BORT	Rectify Trade			W	R		
BOTP	Trail APT			R	R		
BOGU	Give up			W	R	W	
BOHG	Holding Give Up			W	R	W	W
BOHR	Holding Rectify Trade			W	R		
BOSF	Simulate Fee			W	R		
BOEM	Error log			R	R	R	R
	Exercise						
BOER	Exercise Request			W	R		
BOEH	Exercise History			R	R		
BOPE	Pending Exercise			W	R		
	Clearing						
BOCI	Clearing Information			R	R		
BORE	Reports			R	R		
BOCM	Clearing Messages	R	R	R	R	R	R
BOCC	Covered Call			W	R		
	Series			-	-	_	_
BOSE	Series			R	R	R	<u>R</u>
BOUL	Underlying			R	R	R	R
BOUD	Underlying Delivery			R	R		_
BOCD	Clearing Dates			ĸ	R	ĸ	к
BOFV	Fixing Values			R	R		
BOLK	Load/Reload			W	R	14/	14/
BOWA	Markets			VV	ĸ	VV	VV
DOMD	Margin Margin Deguiremente			P	D		
BOINK	Margin Requirements			R	R		
BOAN	Total Account Margin			R D	R		
BOTA	Total Member Margin			r. D	D		
BOMC	Sim Common Data			N W	R		
BORS	Sim. Common Data			W	P		
00103				VV	N		
BOMT	Menu Access Types	R	R				
BOUS	Users	W	R				

8 – DCASS Security Administration

Below are the details of the menu items that assigned for each Menu Access Type:

		Position Management		Report Management	
	Menu Items	BO EX	BO POS	BO POS RO	BO RPT
	File				
BOPW	Change Password	w	W	W	W
	Account				
BOAD	Account Detail	R	R	R	
BOAP	Account Propagation	R	R	R	
BOPO	Account Position	R	R	R	
BOTH	Trade History		R		
BOER	Exercise Request	W	W		
BOPT	Transfer Position		W		
BODA	Deny Automatic	W	W		
BOCC	Covered Call		W		
BOLP	Pos. to Net down.		W		
BOCP	Cross Product Netting		W	R	
BOPT	Position Transfer		W		
	Deal-Trade				
BOTT	Transfer from Transitory				
BOTH	Trade history		R		
BORT	Rectify Trade				
BOTP	Trail APT				
BOGU	Give up				
BOHG	Holding Give Up				
BOHR	Holding Rectify Trade				
BOSF	Simulate Fee				
BOEM	Error log	R	R		
	Exercise				
BOER	Exercise Request	W	W		
BOEH	Exercise History	R	R		
BOPE	Pending Exercise	W	W		
	Clearing				
BOCI	Clearing Information				
BORE	Reports				R
BOCM	Clearing Messages	R	R	R	R
BOCC	Covered Call		W		
	Series				
BOSE	Series	R	R	R	
BOUL	Underlying				
BOUD	Underlying Delivery				
BOCD	Clearing Dates	R	R	R	R
BOFV	Fixing Values	R	R	R	
BOLR	Load/Reload				
BOMA	Markets	W	W	R	
	Margin				
BOMR	Margin Requirements				
BOAM	Account market Margin				
BOTA	Total Account Margin				
BOTM	Total Member Margin				
BOMC	Sim. Common Data				
BORS	Sim. Margin Requirement				
	User Admin				
BOMT	Menu Access Types				
BOUS	Users				

Denote menu items that will be read-only. Assigning "W" and "R" will behave the same