Guidance Notes on Setting Up CCMS User Profile (for New HKCC/SEOCH Participant)
設立共同抵押品管理系統認可使用者資料指引(期貨/期權結算新參與者適用)

1. The applicant must complete the 'User Profile for Delegated Administrator for New HKCC/SEOCH Participant' to appoint its own administrators (at least one maker and one checker Delegated Administrator [DA]) to maintain user profiles and reset smartcard passwords of its authorised users. Please refer to Appendix I Administration Right Listing to ensure correct completion.
申請人必須填寫 '期貨/期權結算新參與者的管理人仕的使用組別資料' 以委派其管理人仕〔最少有一名輸入及一名核對管理人仕〕處理其認可使用者的使用權利及更新聰明卡的密碼。為確保填寫正確,請參閱附件 I 管理權利列表。

The applicant also needs to complete the 'Smartcard Request Form for New HKCC/SEOCH Participant' requesting smartcards for its authorised users to perform various CCMS functions.
申請人亦需填寫 '期貨/期權結算新參與者的聰明卡申請表' 替其認可使用者申請聰明卡,讓認可使用者執行各項共同抵押品管理系統功能。

Please call DCASS hotline at 2979-7222 if you need further assistance.
如需進一步協助,請電衍生產品結算及交收系統查詢熱線 2979-7222。

2. For better internal control, HKEX recommends the applicant to appoint staff not involved in CCMS operations as DAs.
為求達到更佳的內部管制,香港交易所建議申請人委派非參與共同抵押品管理系統運作的員工為管理人仕。

3. In the event of the applicant's successful application as a HKCC/SEOCH Participant, HKEX will contact the applicant for the collection of smartcards issued to each of its DAs and authorised users before commencement of its approved use of the CCMS services. HKEX will charge the applicant a fee for each smartcard issued.
如申請人被接納為期貨 / 期權結算所參與者,香港交易所將於申請人開始使用共同抵押品管理系統前,通知申請人領取每位管理人仕及認可使用者的聰明卡。而每一張發出的聰明卡,香港交易所會向申請人收取費用。

4. On the commencement date to use CCMS services, maker and checker DAs should refer to Appendix II User Access Level Assignment to grant appropriate access authority to the authorised users regarding user access level (user group). Addition of user access levels to authorised users will be effective the following one to two hours after execution.
在開始使用共同抵押品管理系統當日,輸入及核對管理人仕可參閱附件 II 使用者的系統功能使用組別,授權予認可使用者適當的使用組別(使用者組別)。替使用者增設使用組別將在執行後的一至二小時才生效。

In assigning the user access level to authorised users, the participant should evaluate its risk control requirements to meet its own operational needs. The participant should consider whether to assign one of its users the full and highest authority, i.e. a combination of all access levels such that its daily CCMS operations can still function in full when one of its users is absent from office, taking into account of its internal control effectiveness.
在分配使用組別時,申請人應分析和評估其風險管制需求,以使其日常運作發揮高度效益。同時申請人應就其內部控制需求,考慮是否需要有一名使用者獲全面及至高授權,即可使用全部共同抵押品管理系統功能,以便如有任何一使用者不在時,全部功能皆可如常運作。

5. Subsequent changes or amendments to the DAs' administration rights must be made on prescribed form 'User Profile for Delegated Administrator (DA)' and additional smartcards can be requested by completing 'Smartcard Request Form for CCASS/CCMS User'. Both of the forms can be downloaded from CCMS Terminal User Guide for Participants. Completed forms should be submitted to HKEX at least three working days prior to the stipulated effective date.
倘若管理人仕的管理權利其後有任何轉變或更改,參與者須填寫指定表格 'User Profile for Delegated Administrator (DA)' 作出申請;此外,參與者可填寫 'Smartcard Request Form for CCASS/CCMS User' 申請額外的聰明卡。上述申請表格可於「共同抵押品管理系統終端機使用者指引」下載。填妥的表格須於指定生效日期前最少三個工作日送交香港交易所辦理。

Updated January 2016