

Getting Started For Terminal Operations

ACCESS CONTROL

INTRODUCTION:

This section details the access control of CCASS. The assignment of user ID is currently centralized and administered by HKSCC while the delegated administrators (DAs) of the Participants are responsible for maintaining the user profile of the users. Please refer to section 3.2 on Security Management.

Access controls are implemented to ensure that only relevant information is accessible to authorized users. It is achieved through the following elements:

- smartcard
- participant ID
- user profile, which includes:
 - user ID
 - user access level assignment
 - input transaction limit
- IP address
- inactivity timeout

1. Smartcard:

A Participant must apply for the number of users that can access the CCASS functions and request for a smartcard for each of its users. A user must insert his/her smartcard into the smartcard reader connecting to a CCASS Terminal and input a correct smartcard password in order to logon to CCASS.

A smartcard reader will be required for each C3T installed. Participants will need to apply smartcard readers by submitting to HKSCC the eService Form – SCard 3 “Order Smartcard Reader(s)” (as stated under [“HKEX Website”](#)).

A Participant may delegate his CCASS operations to a number of internal staff (“CCASS users”). To establish a new CCASS user, a Participant will need to apply to HKSCC by submitting the eService Form – SCard 1 “Smartcard Maintenance for User and DA” (as stated under [“HKEX Website”](#)). It should be noted that each smartcard is unique to that assigned CCASS user, and cannot be shared by other users or Participants.

The CCASS user must initialise his/her smartcard by creating a smartcard password (6 - 8 digits) when he/she first logs on CCASS through the CCASS terminal. HKSCC recommends users to change their smartcard passwords periodically. Please refer to Section 3.3 on CHANGE SMARTCARD PASSWORD.

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If a user enters an incorrect smartcard password for 3 consecutive times, the smartcard password will be revoked. The DA of the Participant can reset the smartcard passwords of the users of the Participant. Please refer to Section 8.4.1 on USER PROFILE MAINTENANCE.

2. Participant ID:

Participant ID is assigned by HKSCC when the Participant is admitted to CCASS. It is a six-character code beginning with a character (e.g. B12345). The leading character indicates the Participant nature (B for Clearing Participants which are also Exchange Participants of SEHK; A for Clearing Agency Participants, C for Custodian Participants / Clearing Participants which are not Exchange Participants of SEHK, e.g. registered institutions; L for Stock Lender Participants; P for Stock Pledgee Participants; and numeric number for investor).

3. User ID:

A unique user ID is assigned for each user of a Participant by HKSCC. It is an eight-character code (e.g. B1234501), of which the first six characters are identical to the Participant ID. HKSCC has the right to suspend or delete the user ID of a Participant.

4. User Access Level Assignment:

Users can only access CCASS functions that they are authorised to access. HKSCC has defined user access levels by function availability: each user level can access a different set of CCASS functions. For example, users in some user levels (e.g. operators as makers) can access only the data entry functions while users in other user levels (e.g. managers as checkers) can access the authorisation and enquiry functions. This helps the Participant to achieve internal control.

For simplicity, user groups A, C, D, E, F, G, H, I, J, K, L, M, N, O, AA, AB, AC and AD are defined for general CCASS functions; P, Q, R, S, T, U, W and X are defined for Common Collateral Management System (CCMS) functions; 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27 and 28 are defined for upload batch file functions; and EE is defined for Security Management functions (refer Table 3.1.1). Participants are recommended to assign appropriate combinations of the user groups to each of the users as his/her user access level, by considering segregation of duties for internal control.

TABLE 3.1.1

| GENERAL CCASS FUNCTION | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
|---|------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|
| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| Enquire Broadcast Message | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |
| Report Download | | ✓ | | | | | | | | | | | | | | | | |
| Report Profile Maintenance | | ✓ | | | | | | | | | | | | | | | | |
| DELIVERY INSTRUCTION | | | | | | | | | | | | | | | | | | |
| Input DI | | | | | | | ✓ | | ✓ | | | | | | | | | |
| Change DI Requirement | | | | | | | ✓ | | ✓ | | | | | | | | | |
| CASH PREPAYMENT / TSF PAYMENT | | | | | | | | | | | | | | | | | | |
| Add Cash Prepayment Instruction | ✓ | | | | | | | | | | | | | | | | | |
| Change Cash Prepayment Instruction | ✓ | | | | | | | | | | | | | | | | | |
| Delete Cash Prepayment | ✓ | | | | | | | | | | | | | | | | | |
| Authorise Cash Prepayment Instruction | | | | | | | ✓ | | | | | | | | | | | |
| Revoke Cash Prepayment Instruction | | | | | | | ✓ | | | | | | | | | | | |
| Enquire Cash Prepayment Instruction | ✓ | | | | | | ✓ | | | | | | | | | | | |
| Add Cash Prepayment for China Connect Markets | ✓ | | | | | | | | | | | | | | | | | |
| Change Cash Prepayment for China Connect Markets | ✓ | | | | | | | | | | | | | | | | | |
| Delete Cash Prepayment for China Connect Markets | ✓ | | | | | | | | | | | | | | | | | |
| Authorise Cash Prepayment for China Connect Markets | | | | | | | ✓ | | | | | | | | | | | |
| Revoke Cash Prepayment for China Connect Markets | | | | | | | ✓ | | | | | | | | | | | |
| Enquire Cash Prepayment for China Connect Markets | ✓ | | | | | | ✓ | | | | | | | | | | | |
| Add Cash Prepayment / TSF Payment Standing Instruction | ✓ | | | | | | | | | | | | | | | | | |
| Change Cash Prepayment / TSF Payment Standing Instruction | ✓ | | | | | | | | | | | | | | | | | |
| Delete Cash Prepayment / TSF Payment Standing Instruction | ✓ | | | | | | | | | | | | | | | | | |

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| GENERAL CCASS FUNCTION | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
|--|------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|
| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| Authorise Cash Prepayment / TSF Payment Standing Instruction | | | | | | | ✓ | | | | | | | | | | | |
| Cancel Cash Prepayment / TSF Payment Standing Instruction | | | | | | | ✓ | | | | | | | | | | | |
| Enquire Cash Prepayment / TSF Payment Standing Instruction | ✓ | | | | | | ✓ | | | | | | | | | | | |
| Add Cash Prepayment Standing Instruction for China Connect Markets | ✓ | | | | | | | | | | | | | | | | | |
| Change Cash Prepayment Standing Instruction for China Connect Markets | ✓ | | | | | | | | | | | | | | | | | |
| Delete Cash Prepayment Standing Instruction for China Connect Markets | ✓ | | | | | | | | | | | | | | | | | |
| Authorise Cash Prepayment Standing Instruction for China Connect Markets | | | | | | | ✓ | | | | | | | | | | | |
| Cancel Cash Prepayment Standing Instruction for China Connect Markets | | | | | | | ✓ | | | | | | | | | | | |
| Enquire Cash Prepayment Standing Instruction for China Connect Markets | ✓ | | | | | | ✓ | | | | | | | | | | | |
| SETTLEMENT INSTRUCTION (SI) | | | | | | | | | | | | | | | | | | |
| Input SI | ✓ | | | | | | | | | | | | | | | | | |
| Change SI | ✓ | | | | | | | | | | | | | | | | | |
| Delete SI | | | | | | | ✓ | | | | | | | | | | | |
| Authorise Pending SI | | | | | | | ✓ | | | | | | | | | | | |
| Revoke Matched SI | | | | | | | ✓ | | | | | | | | | | | |
| Change Hold Matched SI | | | | | | | ✓ | | | | | | | | | | | |
| Change Matched/Settled SI | | | | | | | ✓ | | | | | | | | | | | |
| Enquire SI | ✓ | | | | | | ✓ | | | | | | | | | | | |
| Enquire Deleted SI | ✓ | | | | | | ✓ | | | | | | | | | | | |
| Enquire Unmatched SI Reason | ✓ | | | | | | ✓ | | | | | | | | | | | |
| Add SI Tolerance Limit | ✓ | | | | | | | | | | | | | | | | | |
| Delete SI Tolerance Limit | ✓ | | | | | | | | | | | | | | | | | |
| Authorise SI Tolerance Limit | | | | | | | ✓ | | | | | | | | | | | |
| Cancel SI Tolerance Limit | | | | | | | ✓ | | | | | | | | | | | |

| GENERAL CCASS FUNCTION | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | | |
|--|------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|--|
| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD | |
| Enquire SI Tolerance Limit | ✓ | | | | | | ✓ | | | | | | | | | | | | |
| A/C TRANSFER INSTRUCTION (ATI) | | | | | | | | | | | | | | | | | | | |
| Input ATI | | | | | | ✓ | | | | | | | | | | | | | |
| Input Mass ATI / STI | | | | | | ✓ | | | | | | | | | | | | | |
| Change Mass ATI / STI | | | | | | ✓ | | | | | | | | | | | | | |
| Delete Mass ATI / STI | | | | | | ✓ | | | | | | | | | | | | | |
| Enquire Mass ATI / STI | | | | | | ✓ | | | | | | | | | | | | | |
| STOCK SEGREGATED ACCOUNT TRANSFER INSTRUCTION (STI) | | | | | | | | | | | | | | | | | | | |
| Add STI | | | | | | | | ✓ | | | | | | | | | | | |
| Change STI | | | | | | | | ✓ | | | | | | | | | | | |
| Delete STI | | | | | | | | ✓ | | | | | | | | | | | |
| Enquire STI | | | | | | | | ✓ | ✓ | | | | | | | | | | |
| Authorize STI | | | | | | | | | ✓ | | | | | | | | | | |
| Revoke STI | | | | | | | | | ✓ | | | | | | | | | | |
| INVESTOR SETTLEMENT INSTRUCTION (ISI) | | | | | | | | | | | | | | | | | | | |
| Input ISI | | | | | | | | ✓ | | | | | | | | | | | |
| Change ISI | | | | | | | | ✓ | | | | | | | | | | | |
| Delete ISI | | | | | | | | | ✓ | | | | | | | | | | |
| Authorise Pending ISI | | | | | | | | | ✓ | | | | | | | | | | |
| Enquire ISI | | | | | | | | ✓ | ✓ | | | | | | | | | | |
| Hold / Release ISI | | | | | | | | | ✓ | | | | | | | | | | |
| LOGIN WITHDRAWAL ORDER | | | | | | | | | | | | | | | | | | | |
| Add Login Withdrawal Order | ✓ | | | | | | | | | | | | | | | | | | |
| Change Login Withdrawal Order | ✓ | | | | | | | | | | | | | | | | | | |
| Delete Login Withdrawal Order | ✓ | | | | | | | | | | | | | | | | | | |
| Enquire Login Withdrawal Order | ✓ | | ✓ | | | | | | | | | | | | | | | | |
| Authorise Login Withdrawal Order | | | ✓ | | | | | | | | | | | | | | | | |
| Cancel Login Withdrawal Order | | | ✓ | | | | | | | | | | | | | | | | |
| ELECTION INSTRUCTION | | | | | | | | | | | | | | | | | | | |
| Change Election Instruction | | | | ✓ | | | | | | | | | | | | | | | |
| Enquire Election Instruction | | | | ✓ | ✓ | | | | | | | | | | | | | | |
| Authorise Election Instruction | | | | | ✓ | | | | | | | | | | | | | | |
| SUBSCRIPTION INSTRUCTION | | | | | | | | | | | | | | | | | | | |

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| GENERAL CCASS FUNCTION | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
|--|------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|
| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| Add Subscription Instruction | | | | ✓ | | | | | | | | | | | | | | |
| Change Subscription Instruction | | | | ✓ | | | | | | | | | | | | | | |
| Delete Subscription Instruction | | | | ✓ | | | | | | | | | | | | | | |
| Enquire Subscription Instruction | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Cancel Subscription Instruction | | | | | ✓ | | | | | | | | | | | | | |
| Authorise Subscription Instruction | | | | | ✓ | | | | | | | | | | | | | |
| CORPORATE VOTING INSTRUCTION | | | | | | | | | | | | | | | | | | |
| Change Corp Voting Instruction | | | | ✓ | | | | | | | | | | | | | | |
| Enquire Corp Voting Instruction | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Authorise Corp Voting Instruction | | | | | ✓ | | | | | | | | | | | | | |
| Enquire SSA Corporate Voting Instruction | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Enquire Resolution Description | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Add Corp Rep. / Proxy | | | | ✓ | | | | | | | | | | | | | | |
| Change Corp Rep. / Proxy | | | | ✓ | | | | | | | | | | | | | | |
| Delete Corp Rep. / Proxy | | | | ✓ | | | | | | | | | | | | | | |
| Authorise Corp Rep. / Proxy | | | | | ✓ | | | | | | | | | | | | | |
| Enquire Corp Rep. / Proxy | | | | ✓ | ✓ | | | | | | | | | | | | | |
| SHAREHOLDING CATEGORY DISCLOSURE | | | | | | | | | | | | | | | | | | |
| Add Shareholding Category Disclosure | | | | ✓ | | | | | | | | | | | | | | |
| Change Shareholding Category Disclosure | | | | ✓ | | | | | | | | | | | | | | |
| Delete Shareholding Category Disclosure | | | | ✓ | | | | | | | | | | | | | | |
| Authorise Shareholding Category Disclosure | | | | | ✓ | | | | | | | | | | | | | |
| Enquire Shareholding Category Disclosure | | | | ✓ | ✓ | | | | | | | | | | | | | |
| CA ISO MESSAGE SERVICE SUBSCRIPTION | | | | | | | | | | | | | | | | | | |
| Add ISO Message Subscription | | | | ✓ | | | | | | | | | | | | | | |
| Change ISO Message Subscription | | | | ✓ | | | | | | | | | | | | | | |
| Delete ISO Message Subscription | | | | ✓ | | | | | | | | | | | | | | |
| Authorise ISO Message Subscription | | | | | ✓ | | | | | | | | | | | | | |
| Enquire ISO Message Subscription | | | | ✓ | ✓ | | | | | | | | | | | | | |
| SBL BULLETIN BOARD | | | | | | | | | | | | | | | | | | |
| Add Stock Borrowing Request | ✓ | | | | | | | | | | | | | | | | | |

| GENERAL CCASS FUNCTION | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
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| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| Change Stock Borrowing Request | ✓ | | | | | | | | | | | | | | | | | |
| Delete Stock Borrowing Request | ✓ | | | | | | | | | | | | | | | | | |
| Enquire Stock Borrowing Request | ✓ | ✓ | | | | | | | | | | | | | | | | |
| Enquire Stock Lender List | ✓ | ✓ | | | | | | | | | | | | | | | | |
| Enquire Stock Borrowing List | ✓ | ✓ | | | | | | | | | | | | | | | | |
| CORPORATE COMMUNICATION | | | | | | | | | | | | | | | | | | |
| Add Recipient Master | | | | ✓ | | | | | | | | | | | | | | |
| Change Recipient Master | | | | ✓ | | | | | | | | | | | | | | |
| Delete Recipient Master | | | | ✓ | | | | | | | | | | | | | | |
| Enquire Recipient Master | | | | ✓ | | | | | | | | | | | | | | |
| Add Event Recipient List | | | | ✓ | | | | | | | | | | | | | | |
| Delete Event Recipient List | | | | ✓ | | | | | | | | | | | | | | |
| Enquire Event Recipient List | | | | ✓ | | | | | | | | | | | | | | |
| Enquire Corporate Communications Event | | | | ✓ | | | | | | | | | | | | | | |
| PAYMENT INSTRUCTION | | | | | | | | | | | | | | | | | | |
| Enquire Payment Instruction | | ✓ | | | | | | | | | | | | | | | | |
| Enquire TSF Payment Instruction | | ✓ | | | | | | | | | | | | | | | | |
| Add Intra-day Payment Standing Instruction | ✓ | | | ✓ | | | | | | | | | | | | | | |
| Change Intra-day Payment Standing Instruction | ✓ | | | ✓ | | | | | | | | | | | | | | |
| Delete Intra-day Payment Standing Instruction | ✓ | | | ✓ | | | | | | | | | | | | | | |
| Authorise Intra-day Payment Standing Instruction | | | | | ✓ | | ✓ | | | | | | | | | | | |
| Cancel Intra-day Payment Standing Instruction | | | | | ✓ | | ✓ | | | | | | | | | | | |
| Enquire Intra-day Payment Standing Instruction | ✓ | | | ✓ | ✓ | | ✓ | | | | | | | | | | | |
| Enquire Intra-day Payment Summary | ✓ | | | ✓ | ✓ | | ✓ | | | | | | | | | | | |
| Add Nominee Payment (Evening) Standing Instruction | ✓ | | | ✓ | | | | | | | | | | | | | | |

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| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| Change Nominee Payment (Evening) Standing Instruction | ✓ | | | ✓ | | | | | | | | | | | | | | |
| Delete Nominee Payment (Evening) Standing Instruction | ✓ | | | ✓ | | | | | | | | | | | | | | |
| Authorise Nominee Payment (Evening) Standing Instruction | | | | | ✓ | | ✓ | | | | | | | | | | | |
| Cancel Nominee Payment (Evening) Standing Instruction | | | | | ✓ | | ✓ | | | | | | | | | | | |
| Enquire Nominee Payment (Evening) Standing Instruction | ✓ | | | ✓ | ✓ | | ✓ | | | | | | | | | | | |
| HIDE UNMATCHED SI CONTENT COUNTERPARTY LIST | | | | | | | | | | | | | | | | | | |
| Input Hide Unmatched SI Content Counterparty List | ✓ | | | | | | | | | | | | | | | | | |
| Delete Hide Unmatched SI Content Counterparty List | ✓ | | | | | | | | | | | | | | | | | |
| Authorise Hide Unmatched SI Content Counterparty List | | | | | | | ✓ | | | | | | | | | | | |
| Cancel Hide Unmatched SI Content Counterparty List | | | | | | | ✓ | | | | | | | | | | | |
| Enquire Hide Unmatched SI Content Counterparty List | ✓ | | | | | | ✓ | | | | | | | | | | | |
| ISI (WITH AFFIRMATION) COUNTERPARTY LIST | | | | | | | | | | | | | | | | | | |
| Input ISI (With Affirmation) Counterparty List | | | | | | | | | | ✓ | | | | | | | | |
| Delete ISI (With Affirmation) Counterparty List | | | | | | | | | | ✓ | | | | | | | | |
| Authorise ISI (With Affirmation) Counterparty List | | | | | | | | | | | ✓ | | | | | | | |
| Cancel ISI (With Affirmation) Counterparty List | | | | | | | | | | | ✓ | | | | | | | |
| Enquire ISI (With Affirmation) Counterparty List | | | | | | | | | | ✓ | ✓ | | | | | | | |
| ISI (WITHOUT AFFIRMATION) COUNTERPARTY LIST | | | | | | | | | | | | | | | | | | |

| GENERAL CCASS FUNCTION | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
|---|------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|
| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| Input ISI (Without Affirmation) Counterparty List | | | | | | | | | | | | | | | ✓ | | | |
| Delete ISI (Without Affirmation) Counterparty List | | | | | | | | | | | | | | | ✓ | | | |
| Authorise ISI (Without Affirmation) Counterparty List | | | | | | | | | | | | | | | | ✓ | | |
| Cancel ISI (Without Affirmation) Counterparty List | | | | | | | | | | | | | | | | ✓ | | |
| Enquire ISI (Without Affirmation) Counterparty List | | | | | | | | | | | | | | | ✓ | ✓ | | |
| ENQUIRE SETTLEMENT ACT / STATUS | | | | | | | | | | | | | | | | | | |
| Enquire Due/Overdue Position | | ✓ | | | | | | | | | | | | | | | | |
| Enquire Stock Account Balance | | ✓ | | | | | | | | | | | | | | | | |
| Enquire Stock Account Movement | | ✓ | | | | | | | | | | | | | | | | |
| Enquire Settlement Activity | | ✓ | | | | | | | | | | | | | | | | |
| Enquire Money Position / Instruction | | ✓ | | | | | | | | | | | | | | | | |
| GENERAL ENQUIRIES | | | | | | | | | | | | | | | | | | |
| Enquire Announcement Information | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | ✓ | | | | | | |
| Enquire Participant List | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | | | | |
| Enquire Stock List | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | ✓ | | | | | | |
| Enquire Reported Lost Certificate | | ✓ | | | | | | | | | | | | | | | | |
| Enquire Buy-in Confirmation | ✓ | | | | | | ✓ | ✓ | ✓ | | | | | | | | | |
| Enquire NCP/GCP Mapping | | ✓ | | | | | | | | | | | | | | | | |
| Enquire Issuer Announcement | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | ✓ | | | | | | |
| STOCK BORROWING/LENDING | | | | | | | | | | | | | | | | | | |
| Input Recall Request | | | | | | | | | | | | ✓ | | | | | | |
| Change Cash Compensation Indicator | | | | | | | | | | | | ✓ | | | | | | |
| Enquire Lending Position | | ✓ | | | | | | | | | | ✓ | | | | | | |
| Enquire Stock Borrowing Information | | ✓ | | | | | | | | | | ✓ | | | | | | |
| EIPO APPLICATION | | | | | | | | | | | | | | | | | | |
| Add EIPO Application | | | | ✓ | | | | | | | | | | | | | | |

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|--|------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|
| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| Change Pending EIPO Application | | | | ✓ | | | | | | | | | | | | | | |
| Delete Pending EIPO Application | | | | ✓ | | | | | | | | | | | | | | |
| Authorise EIPO Application | | | | | ✓ | | | | | | | | | | | | | |
| Cancel EIPO Application | | | | | ✓ | | | | | | | | | | | | | |
| Enquire EIPO Application | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Enquire EIPO Total Application Quantity and Money Obligation | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Enquire Authorised EIPO Announcement | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Enquire Allotment Result | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Confirm EIPO Application | | | | ✓ | | | | | | | | | | | | | | |
| Delete Confirmed EIPO Application | | | | ✓ | | | | | | | | | | | | | | |
| Authorise Confirmed EIPO Application | | | | | ✓ | | | | | | | | | | | | | |
| Cancel Confirmed EIPO Application | | | | | ✓ | | | | | | | | | | | | | |
| Enquire Confirmed EIPO Application | | | | ✓ | ✓ | | | | | | | | | | | | | |
| UNIT ORDER | | | | | | | | | | | | | | | | | | |
| Add Cash Creation Order | | | | | | | | | | | | | ✓ | | | | | |
| Change Cash Creation Order | | | | | | | | | | | | | ✓ | | | | | |
| Delete Cash Creation Order | | | | | | | | | | | | | ✓ | | | | | |
| Authorise Cash Creation Order | | | | | | | | | | | | | | ✓ | | | | |
| Enquire Cash Creation Order | | | | | | | | | | | | | ✓ | ✓ | | | | |
| Add In Kind Creation Order | | | | | | | | | | | | | ✓ | | | | | |
| Change In Kind Creation Order | | | | | | | | | | | | | ✓ | | | | | |
| Delete In Kind Creation Order | | | | | | | | | | | | | ✓ | | | | | |
| Authorise In Kind Creation Order | | | | | | | | | | | | | | ✓ | | | | |
| Enquire In Kind Creation Order | | | | | | | | | | | | | ✓ | ✓ | | | | |
| Add Redemption Order | | | | | | | | | | | | | ✓ | | | | | |
| Change Redemption Order | | | | | | | | | | | | | ✓ | | | | | |
| Delete Redemption Order | | | | | | | | | | | | | ✓ | | | | | |
| Authorise Redemption Order | | | | | | | | | | | | | | ✓ | | | | |
| Enquire Redemption Order | | | | | | | | | | | | | ✓ | ✓ | | | | |
| TENDER INSTRUCTION | | | | | | | | | | | | | | | | | | |
| Add Tender Instruction | | | | ✓ | | | | | | | | | | | | | | |

| GENERAL CCASS FUNCTION | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
|---|------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|
| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| Change Tender Instruction | | | | ✓ | | | | | | | | | | | | | | |
| Delete Tender Instruction | | | | ✓ | | | | | | | | | | | | | | |
| Authorise Tender Instruction | | | | | ✓ | | | | | | | | | | | | | |
| Cancel Tender Instruction | | | | | ✓ | | | | | | | | | | | | | |
| Enquire Tender Instruction | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Enquire Authorised Tender Announcement | | | | ✓ | ✓ | | | | | | | | | | | | | |
| Enquire Tender Result | | | | ✓ | ✓ | | | | | | | | | | | | | |
| STOCK SEGREGATED ACCOUNT WITH STATEMENT SERVICE (SSA) MASTER | | | | | | | | | | | | | | | | | | |
| Add SSA | | | | | | | | | | | | | | | | | ✓ | |
| Change SSA | | | | | | | | | | | | | | | | | ✓ | |
| Delete SSA | | | | | | | | | | | | | | | | | ✓ | |
| Enquire SSA | | | | | | | | | | | | | | | | | ✓ | ✓ |
| Reset SSA Phone Password | | | | | | | | | | | | | | | | | | ✓ |
| Add SSA Bank Account | | | | | | | | | | | | | | | | | ✓ | |
| Change SSA Bank Account | | | | | | | | | | | | | | | | | ✓ | |
| Delete SSA Bank Account | | | | | | | | | | | | | | | | | ✓ | |
| Enquire SSA Bank Account | | | | | | | | | | | | | | | | | ✓ | ✓ |
| STOCK RELEASE REQUEST | | | | | | | | | | | | | | | | | | |
| Add Stock Release Request | ✓ | | | | | | | | | | | | | | | | | |
| Change Stock Release Request | ✓ | | | | | | | | | | | | | | | | | |
| Delete Stock Release Request | ✓ | | | | | | | | | | | | | | | | | |
| Authorize Stock Release Request | | | | | | | ✓ | | | | | | | | | | | |
| Enquire Stock Release Request | ✓ | | | | | | ✓ | | | | | | | | | | | |
| SPSA DELIVERY FAILURE MAINTENANCE | | | | | | | | | | | | | | | | | | |
| Add Sellable Balance Adjustment Request | ✓ | | | | | | | | | | | | | | | | | |
| Change Sellable Balance Adjustment Request | ✓ | | | | | | | | | | | | | | | | | |
| Delete Sellable Balance Adjustment Request | ✓ | | | | | | | | | | | | | | | | | |
| Authorise Sellable Balance Adjustment Request | | | | | | | ✓ | | | | | | | | | | | |
| Cancel Sellable Balance Adjustment Request | | | | | | | ✓ | | | | | | | | | | | |
| Enquire Sellable Balance Adjustment Request | ✓ | | | | | | ✓ | | | | | | | | | | | |

Section 3.1
Access Control

| GENERAL CCASS FUNCTION | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
|---|------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|----|----|----|----|
| | A | C | D | E | F | G | H | I | J | K | L | M | N | O | AA | AB | AC | AD |
| INTER-COUNTER TRANSFER/CONVERSION INSTRUCTION | | | | | | | | | | | | | | | | | | |
| Input Inter-counter Transfer/Conversion Instruction | | | | | | ✓ | | | | | | | | | | | | |
| Cancel Inter-counter Transfer/Conversion Instruction | | | | | | ✓ | | | | | | | | | | | | |
| Enquire Inter-counter Transfer/Conversion Instruction | | | | | | ✓ | | | | | | | | | | | | |

'✓' means the user has the access right to the functions.

M means only CCASS Participants with Stock Borrowing / Lending Account can apply the user access level.

| CCMS FUNCTIONS | USER ACCESS LEVEL CODE | | | | | | | |
|--|------------------------|---|---|---|---|---|---|---|
| | P | Q | R | S | T | U | W | X |
| GENERAL FUNCTIONS | | | | | | | | |
| Enquire Broadcast Message | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | |
| CCMS STOCK TRANSFER | | | | | | | | |
| Add CCASS-To-CCMS Stock Transfer | ✓ | | | | | | | |
| Add CCMS-To-CCASS Stock Transfer | | | | | | ✓ | | |
| Add General To Specific Stock Collateral | | ✓ | | | | | | |
| Add Specific To General Stock Collateral | | | | | ✓ | | | |
| SPECIFIC CASH COLLATERAL | | | | | | | | |
| Add Pending Specific Cash Collateral | | | | | | | ✓ | |
| Delete Pending Specific Cash Collateral | | | | | | | ✓ | |
| Authorise Pending Specific Cash Collateral | | | | | | | | ✓ |
| Enquire Specific Cash Collateral | | | | | | | ✓ | ✓ |
| CCMS CASH TRANSFER | | | | | | | | |
| Add CCMS-To-CCASS Cash Transfer | | | ✓ | | | | | |
| PREFERRED SINGLE SETTLEMENT CURRENCY | | | | | | | | |
| Change Preferred Single Settlement Currency | | | | | | | ✓ | |
| Delete Pending Preferred Single Settlement Currency | | | | | | | ✓ | |
| Authorise Pending Preferred Single Settlement Currency | | | | | | | | ✓ |
| Enquire Preferred Single Settlement Currency | | | | | | | ✓ | ✓ |
| ENQUIRE COLLATERAL INFORMATION | | | | | | | | |
| Enquire Collateral Account Balance | | | | ✓ | | | | |
| Enquire Collateral Account Movement | | | | ✓ | | | | |
| Enquire Collateral Inventory | | | | ✓ | | | | |
| Enquire Interest Calculation Result | | | | ✓ | | | | |
| Enquire Currency Exchange Rate and Haircut | | | | ✓ | | | | |
| Enquire Coll Effective Haircut & Val Price | | | | ✓ | | | | |
| Enquire Specific Cash Collateral Movement | | | | ✓ | | | | |

'✓' means the user has the access right to the functions.

Clearing Participants may need to access some or all of the functions defined under the above CCMS user groups.

Custodian Participants only need to access those functions defined under user groups R and S.

Section 3.1
Access Control

| SECURITY MANAGEMENT FUNCTIONS | USER ACCESS LEVEL CODE |
|---|------------------------|
| | EE |
| SECURITY MANAGEMENT | |
| Enquire User Profile | ✓ |
| View User Group Listing (with accessible C/3 functions) | ✓ |
| View User Profile Listing | ✓ |
| View Disabled User Listing | ✓ |
| View SRN Listing | ✓ |
| View User Profile Maintenance Report | ✓ |

'✓' means the user has the access right to the functions.

| UPLOAD BATCH FILE FUNCTIONS | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
|---|------------------------|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
| | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 |
| UPLOAD BATCH FILE | | | | | | | | | | | | | | | | | | |
| SI Batch File Upload | ✓ | | | | | | | | | | | | | | | | | |
| Authorise SI Batch File Upload | | ✓ | | | | | | | | | | | | | | | | |
| ISI Batch File Upload | | | ✓ | | | | | | | | | | | | | | | |
| Authorise ISI Batch File Upload | | | | ✓ | | | | | | | | | | | | | | |
| ATI Batch File Upload | | | | | ✓ | | | | | | | | | | | | | |
| Authorise ATI Batch File Upload | | | | | | ✓ | | | | | | | | | | | | |
| Corporate Communication Recipient Batch File Upload | | | | | | | ✓ | | | | | | | | | | | |
| Authorise Corporate Communication Recipient Batch File Upload | | | | | | | | ✓ | | | | | | | | | | |
| Corporate Representative/Proxy Batch File Upload | | | | | | | | | ✓ | | | | | | | | | |
| Authorise Corporate Representative/Proxy Batch File Upload | | | | | | | | | | ✓ | | | | | | | | |
| EIPO Batch File Upload | | | | | | | | | | | ✓ | | | | | | | |
| Authorise EIPO Batch File Upload | | | | | | | | | | | | ✓ | | | | | | |
| Tender Instruction Batch File Upload | | | | | | | | | | | | | ✓ | | | | | |
| Authorise Tender Instruction Batch File Upload | | | | | | | | | | | | | | ✓ | | | | |
| SSA Batch File Upload | | | | | | | | | | | | | | | ✓ | | | |
| Authorize SSA Batch File Upload | | | | | | | | | | | | | | | | ✓ | | |
| STI Batch File Upload | | | ✓ | | | | | | | | | | | | | | | |
| Authorise STI Batch File Upload | | | | ✓ | | | | | | | | | | | | | | |
| Multi-counter Transfer Instruction Batch File Upload | | | | | ✓ | | | | | | | | | | | | | |
| Authorise Multi-counter Transfer Instruction Batch File Upload | | | | | | ✓ | | | | | | | | | | | | |
| EIPO Confirmation Batch File Upload | | | | | | | | | | | ✓ | | | | | | | |
| Authorise EIPO Confirmation Batch File Upload | | | | | | | | | | | | ✓ | | | | | | |
| Parallel Trading Conversion Instruction Batch File Upload | | | | | ✓ | | | | | | | | | | | | | |
| Authorise Parallel Trading Conversion Instruction Batch File Upload | | | | | | ✓ | | | | | | | | | | | | |
| Specific Stock Collateral Batch File Upload | | | | | | | | | | | | | | | | | ✓ | |
| Authorise Specific Stock Collateral Batch File | | | | | | | | | | | | | | | | | | ✓ |
| GENERAL ENQUIRIES | | | | | | | | | | | | | | | | | | |

Section 3.1
Access Control

| UPLOAD BATCH FILE FUNCTIONS | USER ACCESS LEVEL CODE | | | | | | | | | | | | | | | | | |
|----------------------------------|------------------------|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
| | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 |
| Enquire Announcement Information | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |
| Enquire Participant List | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |
| Enquire Stock List | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |
| Enquire Broadcast Message | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |

'✓' means the user has the access right to the functions.

Based on the above predefined user groups, a combination of user access levels can be worked out for the users of a Participant. Note that if a user attempts to select a function which he does not have the right to access, an error message will be displayed by the system.

5. Input Transaction Limits:

For CCASS input functions (i.e. INPUT SI, CHANGE SI, DELETE SI, AUTHORISE PENDING SI, CHANGE MATCHED/SETTLED SI, CHANGE HOLD MATCHED SI, REVOKE MATCHED SI, INPUT ISI, CHANGE ISI, DELETE ISI, AUTHORISE PENDING ISI, HOLD/RELEASE ISI, INPUT ATI, INPUT DI, CHANGE DI REQUIREMENT, INPUT RECALL REQUEST, CHANGE CASH COMPENSATION INDICATOR, ADD CASH PREPAYMENT INSTRUCTION, CHANGE CASH PREPAYMENT INSTRUCTION, DELETE CASH PREPAYMENT INSTRUCTION, AUTHORISE CASH PREPAYMENT INSTRUCTION and REVOKE CASH PREPAYMENT INSTRUCTION, INPUT INTER-COUNTER TRANSFER/CONVERSION INSTRUCTION), DA of the Participants can specify the input transaction limit of their authorised users via USER PROFILE MAINTENANCE functions. Please refer to section 8.4.1 for details.

The transaction limit is calculated on the higher of input value and market value (based on the nominal price of the stock of the previous trading day) of stock; i.e. if no dollar amount is entered, the transaction limit will be calculated on market value. However, if dollar value is entered, when comparing market value with input value, transaction limit will be counted on the higher of the value. Therefore, with the exception of INPUT SI, INPUT ISI, CHANGE SI, CHANGE ISI, ADD CASH PREPAYMENT INSTRUCTION and CHANGE CASH PREPAYMENT INSTRUCTION, CCASS will not accept transaction entered or updated by users if the input dollar amount of the transaction or the market value of the quantity of stock is higher than the authorised transaction limit of the user. For INPUT SI, INPUT ISI, CHANGE SI, CHANGE ISI, ADD CASH PREPAYMENT INSTRUCTION and CHANGE CASH PREPAYMENT INSTRUCTION, the said transaction will still be captured by CCASS but under the pending for authorisation status.

The transaction limit can be set in HKD only. The input value and market value of the stock in foreign currency will be converted into HKD equivalent for comparison with the transaction limit.

6. IP address :

HKSCC maintains IP addresses of the PCs that the Participants will be used to access CCASS and will deny access attempt from PCs with unrecognised IP addresses.

7. Inactivity timeout:

CCASS is automatically logged off if the user does not operate at the terminal for a certain time period (about 15 minutes). To access CCASS again, the user has to close the browser and perform the logon procedures. This prevents other unauthorized persons from using the CCASS terminal if the user forgets to logoff from CCASS. Please refer to Section 3.4 for further details on inactivity timeout.

8. Participants' security responsibility

Each Participant is responsible for establishing and informing HKSCC of subsequent changes to the list of authorised signatories to approve various request forms regarding smartcard readers, smartcards, CCASS users, DAs and other matters in relation to CCASS access.

Section 3.1

Access Control

It is the responsibility of each Participant to control access to its C3Ts and to its smartcards to ensure the security and confidentiality of the User IDs and smartcard passwords of its assigned users and DAs, to ensure that its smartcards are associated with appropriate Access Levels for segregation of duties and its assigned users abide by the Access Levels assigned to each of them, to ensure the security and confidentiality of the Authorisation Code (detailed in Section 3.2) of its DAs, and to ensure that its DAs abide by the Administrator Rights assigned to them.

A Participant shall immediately notify HKSCC to disable the user profile associated with a smartcard by submitting to HKSCC the eService Form – SCard 1 “Smartcard Maintenance for User and DA” (as stated under “[HKEX Website](#)”) if it is found that the smartcard is lost or has been stolen.

Participants shall be liable for all instructions input into CCASS via their C3Ts. Participants requiring a new smartcard or a replacement smartcard must submit to HKSCC the eService Form – SCard 1 “Smartcard Maintenance for User and DA” (as stated under “[HKEX Website](#)”). Participants are required to pay the appropriate fees for issuance or replacement of a smartcard as stipulated in the CCASS OP.