

Guidelines for Setting up the Access to ECP 2.0 via Client Connect

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

Steps:

3.

- 1. Access Client Connect though <u>https://connect.hkex.com.hk</u>.
- 2. Login to Client Connect and click MANAGE ACCESS RIGHTS

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Dashboard						
My tasks	My requests					
My tasks	My requests				Data	Shihur

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

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Users				
+ CREATE USER	L DOWNLOAD UST			DELETE SELECTED
Show filters 🔹				
NAME *	INTERNAL/ EXTERNAL	EMPLOYEE TYPE	COMPANY *	STATUS =
АС_НКССР@	External	Admin,Business		Active
	External	Admin,Business		Active
AC_SEHKp@	External	Admin,Business		Active
UM_НКССР@J	. External	Admin,Business		Active
AC_HKSCCp@	External	Admin, Business		Active

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 Client

Connect Login User ID. Create User

create ober		
Details Roles		
First Name	new	
Last Name	user	
Company	xyz x	
Title (optional)		
Email	nu@xyz.com	
Team Email (optional)		
Contact Number	13245678	
Employee Type	Admin	V Business
Internal/External	 Internal 	 External
User Status	Active	 Inactive

 Once the company is entered, the Roles tab will appear. This allows DA to assign EU functions to the new user. Please refer to <u>Appendix 2 - List of ECP</u> <u>Functions</u> for the list of business functions. Click CREATE to submit the request.

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Details Roles		
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ECP SEHK Participants		
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Create User	Type for filter	L CHATE
Details Roles	EU_ECPSD	Plater
Linded	EU_ECPTO EU_ECPSFTP	Plater
ECP HKFE Participants ECP Options Exchange Participant o	EU_ECPOF	Plainer
ECP SEHK Participants		Plaler

- 7. DA (Checker) will receive an email notification on maker's request.
- 8. Checker can login to Client Connect 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.
- 10. Once Client Connect account is created, user would receive an email notification containing instructions to set up password to access Client Connect.

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

Steps:

3.

- 1. Access Client Connect though <u>https://connect.hkex.com.hk</u>.
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4. DA can view the list of users (if any) for the company he/she manages

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Users				
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Show filters 🔸				
NAME *	INTERNAL/ EXTERNAL -	EMPLOYEE TYPE =	COMPANY -	STATUS -
АС_НКССР@	External	Admin,Business		Active
	External	Admin,Business		Active
AC_SEHKp@	External	Admin,Business		Active
	External	Admin,Business		Active
AC_HKSCCp@	External	Admin,Business		Active

5. Click on a specific user to edit.

KEX 🚜 DASHBOARD	G MANAGE	4 ·
ack to users list		
p_88u1_TO_		DELETE
Details Roles		
First Name	ecp_88u1_TO_m	
Last Name		
Company		
Title (optional)		
Email	ecp_88u1_TO_m@	
Team Email (optional)		
Contact Number	2222	
Employee Type	Business	
Internal/External	External	
User Status	Active	

6. Assign EU functions to the new user. Please refer to <u>List of ECP Functions</u> for the list of business functions. Click CREATE to submit the request.

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Back to users list			
reate User		CANCEL	CREATE
Details Roles			
ADD	MORE COMPANIES		
ECP HKFE Participants			
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- 8. Checker can login to Client Connect 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 Client Connect, please refer to the <u>Client</u> <u>Connect User Manual</u>.

List of ECP Functions

Below table lists all available business functions of ECP 2.0 under each identity in Client Connect. EPs should arrange their DAs to grant the corresponding functions of ECP 2.0 to their business users according to their required submission and download functions in ECP 2.0.

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 2.0 SFTP Service
HKFE Participant	ECP HKFE Participant	EU_ECPDO	 For operations in Derivatives Market (HKFE products)
		EU_ECPSFTP	> For users to use ECP 2.0 SFTP Service
Options Exchange Participant of	ECP Options Exchange Participant	EU_ECPSO	 For operations in Derivatives Market (stock options)
SEHK	of SEHK	EU_ECPSFTP	> For users to use ECP 2.0 SFTP Service
Exchange Traded Products related	ECP Designated Specialists	EU_ECPDS	 For Designated Specialist to receive MMO reports
users (ETP Issuers,		EU_ECPSFTP	> For users to use ECP 2.0 SFTP Service
Designated	ECP ETP Issuers	EU_ECPPF	> For ETP Issuer to receive MMO reports
Specialists, Securities Market Maker)		EU_ECPSFTP	For users to use ECP 2.0 SFTP Service
Large Open Position Reporting	ECP Transaction Originator in Large	EU_ECPLT	 For users to submit LOP reporting for Transaction Originator
users	Open Position reporting	EU_ECPST	 For users to submit LOP reporting for Transaction Originator for Stock Options
		EU_ECPSFTP	> For users to use ECP 2.0 SFTP Service
	ECP Beneficial Identity in Large Open Position	EU_ECPLB	 For users to submit LOP reporting for Beneficial Identity
	reporting	EU_ECPSB	 For users to submit LOP reporting for Beneficial Identity for Stock Options
		EU_ECPSFTP	> For users to use ECP 2.0 SFTP Service
ETF Manager or Trustee	ETF Unit Trust Manager or Trustee	EU_ECPUT	 For ETF Manager / Trustee to submit ETF Files to UT1 folder
	user	EU_ECPSFTP	> For users to use ECP 2.0 SFTP Service
HKSCC General Clearing	ECP HKSCC General Clearing Participant	EU_ECPSI	 For users to receive Morning SI Message for Northbound Trading
	user	EU_ECPSAG	 For users to submit Self-Attestation of Compliance Questionnaire (General Clearing Participants)

User Type	Identity Name	Business Function ID	Description
		EU_ECPSFTP	For users to use ECP 2.0 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 2.0 SFTP Service