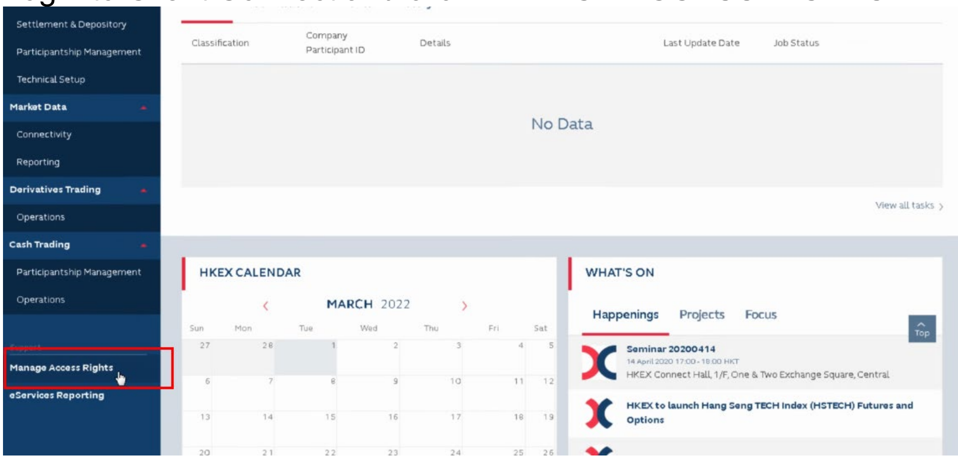
Attachment 1

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

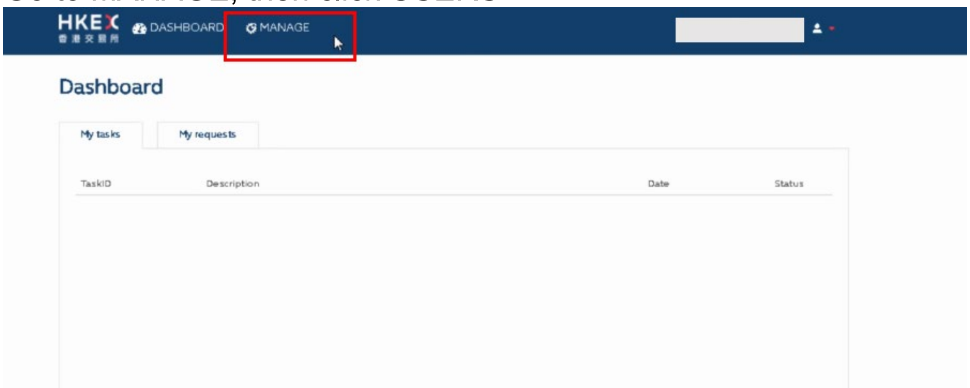
A. Create Users and Assign Functions to User (by DAs)

Steps:

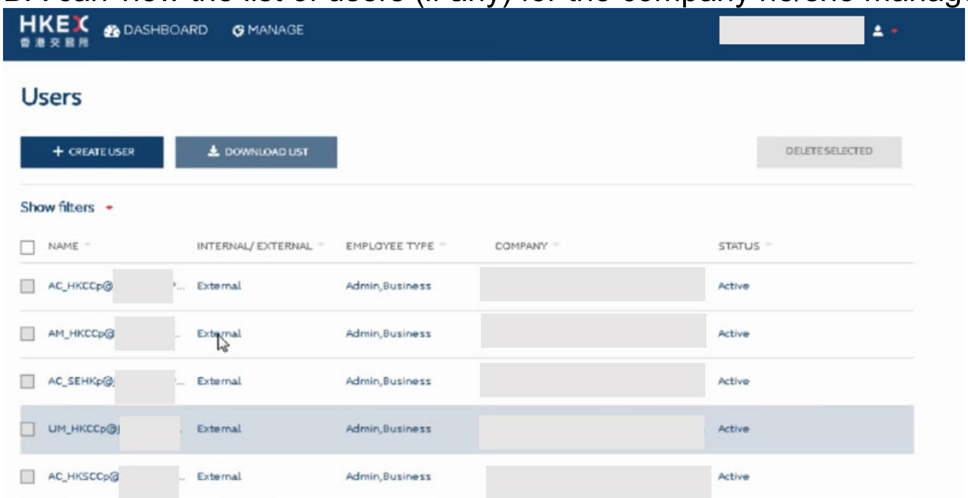
1. Access Client Connect though https://connect.hkex.com.hk.
2. Login to Client Connect and click MANAGE ACCESS RIGHTS



3. Go to MANAGE, then click USERS

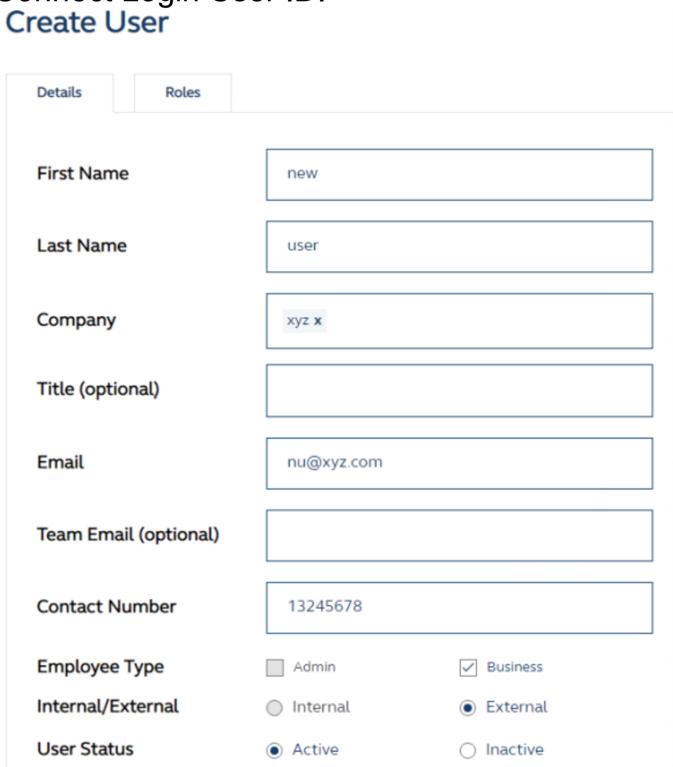


4. DA can view the list of users (if any) for the company he/she manages

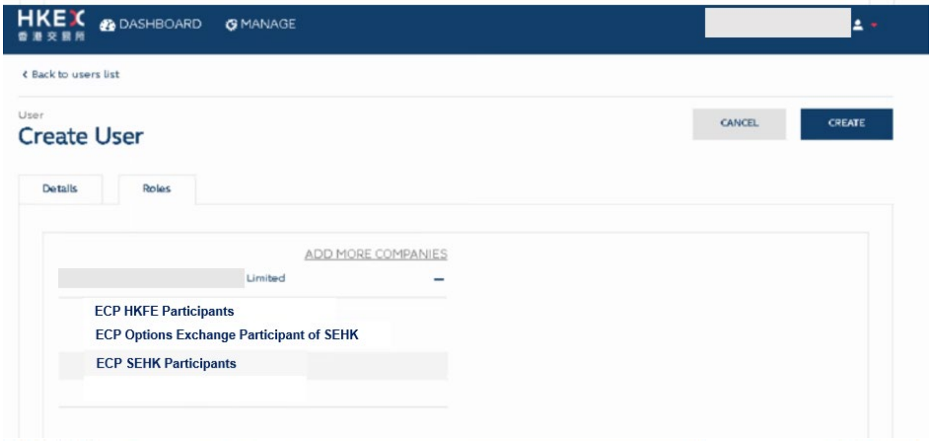


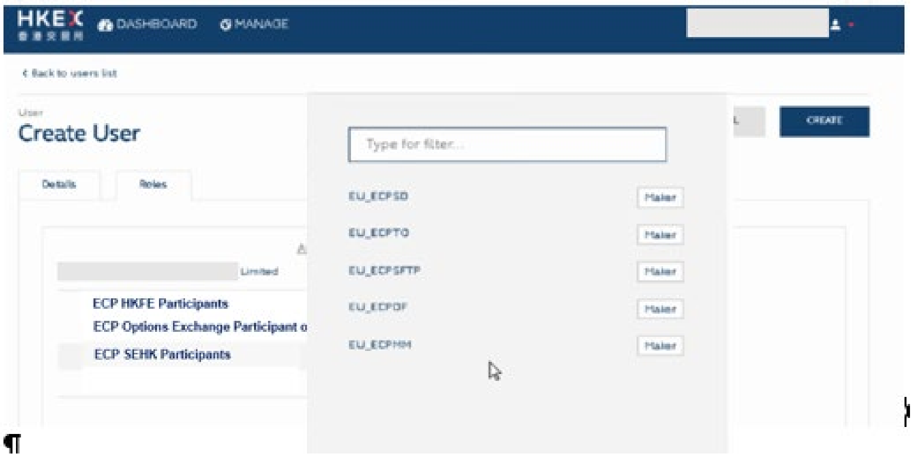
5. DA (Maker) click on **+CREATE USER** to create users by entering the details of the new user. The email must be correct and it will be the new user's Client

Connect Login User ID.



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 [Appendix 2 - List of ECP Functions] for the list of business functions. Click CREATE to submit the request.





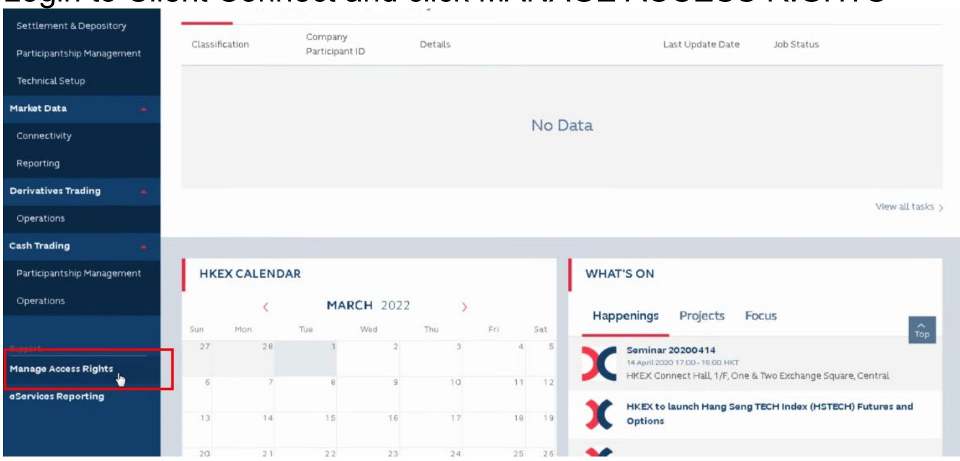
7. DA (Checker) will receive an email notification on maker's request.
8. Checker can login to Client Connect and via **MANAGE ACCESS RIGHTS**, the request will appear on the access management dashboard.

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.

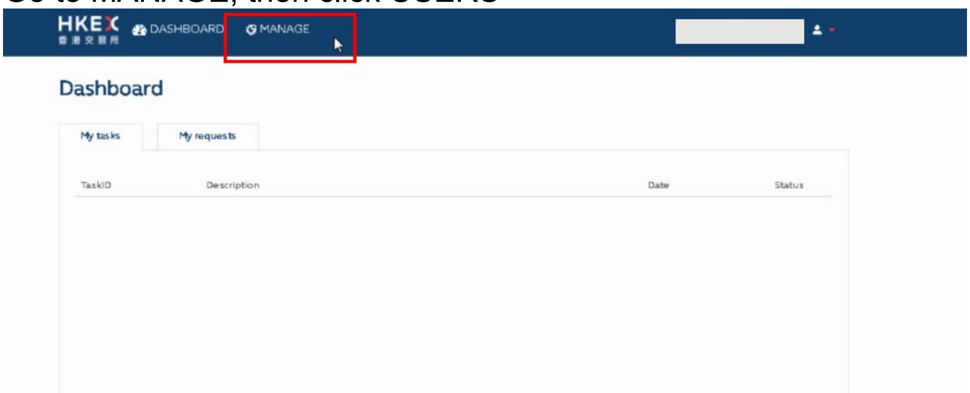
B. Edit Users and Assign Functions to User (by DAs)

Steps:

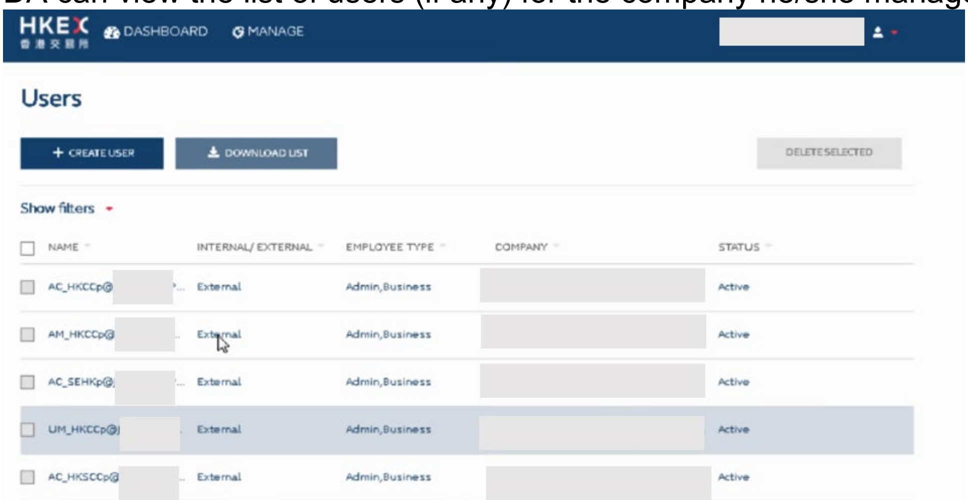
1. Access Client Connect though https://connect.hkex.com.hk.
2. Login to Client Connect and click MANAGE ACCESS RIGHTS



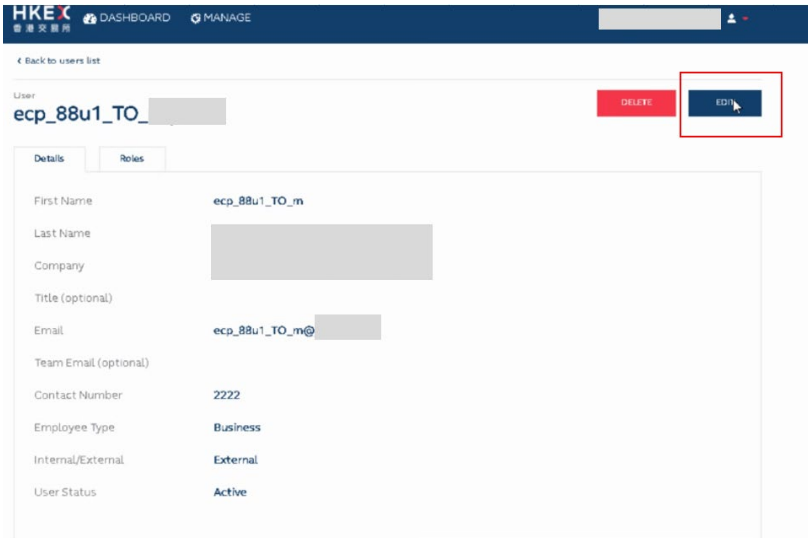
3. Go to MANAGE, then click USERS



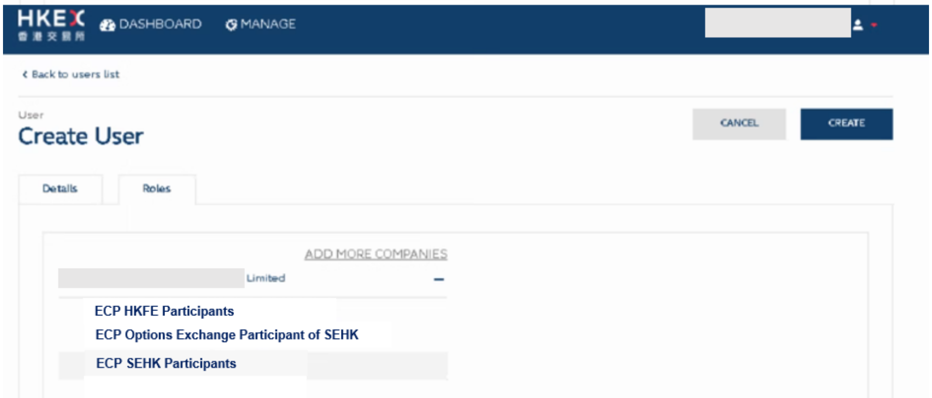
4. DA can view the list of users (if any) for the company he/she manages

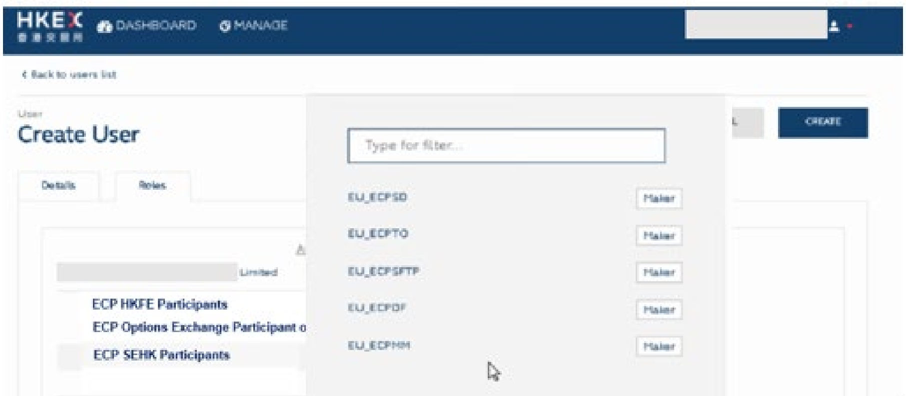


5. Click on a specific user to edit.



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.





7. DA (Checker) will receive 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.

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

For the details of user management in Client Connect, please refer to the [Client Connect User Manual]().

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 SEHK	ECP Options Exchange Participant of SEHK	EU_ECPSO	➢ For operations in Derivatives Market (stock options)
		EU_ECPSFTP	➢ For users to use ECP 2.0 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 2.0 SFTP Service
	ECP ETP Issuers	EU_ECPPF	➢ For ETP Issuer to receive MMO reports
		EU_ECPSFTP	➢ For users to use ECP 2.0 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 2.0 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 2.0 SFTP Service
ETF Manager or Trustee	ETF Unit Trust Manager or Trustee user	EU_ECPUT	➢ For ETF Manager / Trustee to submit ETF Files to UT1 folder
		EU_ECPSFTP	➢ For users to use ECP 2.0 SFTP Service
HKSCC General Clearing Participant	ECP HKSCC General Clearing Participant user	EU_ECPSI	➢ For users to receive Morning SI Message for Northbound Trading
		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