



Change of Authentication Arrangement of CCASS/ CCMS Terminal Access

Guideline for Email Registration for CCASS/ CCMS Delegated Administrators

Issue Date: 28 February 2023

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1. Introduction

As set out in the circular dated 28 February 2023 (Reference: CD/OES/CCASS/010/2023, CD/OEC/HKCC/056/2023 and CD/OEC/SEOCH/057/2023), Participants of HKSCC, HKCC and SEOCH (CPs) and HKSCC Designated Banks (DBs) are required to register the designated email address of their CCASS/ CCMS Delegated Administrator (DAs) by submitting CCASS/ CCMS Delegated Administrator Application/ Maintenance Form (eService: DA 3) in Client Connect via the access right "EU_UserMaintenance" on [HKEX Access Management Portal](#) (formerly 'HKEX Client Connect') by 28 April 2023 (Friday). Failure to register a DA's email address by the above-mentioned date will prevent that CCASS/ CCMS DA from initiating Two-Factor Authentication (2FA) to access to CCASS/CCMS Terminal at the start of parallel run.

This Guideline aims to provide step by step procedure on email registration for CCASS/ CCMS DAs through eService in Client Connect, CPs and DBs should note that the eService DA3 is available in Client Connect from 20 March 2023 (Monday).

2. Procedure for email registration for CCASS/ CCMS DAs

Client Connect DA (CCDA) or Business User

➤ Maker - Request Submission via Client Connect

- a. Login to HKEX Access Management Portal (formerly 'HKEX Client Connect') via <https://connect.hkex.com.hk/>, with the user credentials

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WELCOME TO HKEX ACCESS
MANAGEMENT PORTAL (FORMERLY
'HKEX CLIENT CONNECT')

User Login

User ID/Email

Password

LOG IN

[Forgot/Reset your password?](#)

By logging into this website, you are deemed to have read and accepted the Terms and Conditions for the platform you will access (hyperlinks below), and to have confirmed that the individual(s) whose personal data is disclosed in the use of this platform consent to the processing of their personal data in accordance with the privacy policy statement as incorporated and supplemented in such Terms and Conditions.

[Terms and Conditions of Client Connect \(last updated on Nov-2022\)](#)

[Terms and Conditions of ECP \(last updated on Apr-2022\)](#)

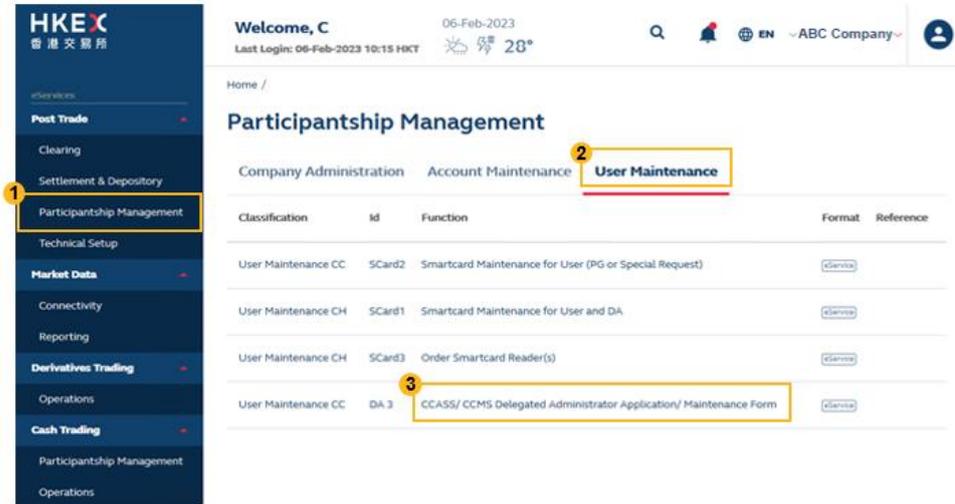
[Terms and Conditions of FII \(last updated on Nov-2022\)](#)

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- b. Upon successful login, navigate to “Participant Management” from the navigation menu at the left, click “User Maintenance” tab, then click “CCASS/ CCMS Delegated Administrator Application/ Maintenance Form” to access to the eService DA3



The screenshot displays the HKEX Participant Management interface. The left sidebar contains a navigation menu with 'Participant Management' highlighted (1). The main content area shows the 'User Maintenance' tab selected (2). A table lists various maintenance forms, with 'CCASS/ CCMS Delegated Administrator Application/ Maintenance Form' (DA 3) highlighted (3).

Classification	Id	Function	Format	Reference
User Maintenance CC	SCard2	Smartcard Maintenance for User (PG or Special Request)	Glossary	
User Maintenance CH	SCard1	Smartcard Maintenance for User and DA	Glossary	
User Maintenance CH	SCard3	Order Smartcard Reader(s)	Glossary	
User Maintenance CC	DA 3	CCASS/ CCMS Delegated Administrator Application/ Maintenance Form	Glossary	

- c. After entering DA 3, select the appropriate participantship (if applicable)



The screenshot displays the DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM. The form shows 'Reference Number:' and 'Status: Expand'. Under 'COMPANY INFORMATION', it displays 'From: ABC Company' and 'As: HKSCC Participant (B01234)' (selected), HKCC Participant (CXYZ), and SEOCH Participant (CXYZ).

- d. The Maintenance Request will be selected as “Change” by default (*more maintenance requests will be available upon the commencement of parallel run*)

DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/
MAINTENANCE FORM

Reference Number: Status: Expand

COMPANY INFORMATION +

MAINTENANCE REQUEST -

Maintenance Request

Change

- e. Fill in the User ID¹ and the designated email address of the DA. If necessary, click “+ Request” to fill in other DA’s User ID and email address. After that, check the declaration box to confirm the information provided are correct.

DETAILS OF REQUESTS -

DETAILS OF CHANGE REQUEST

User ID 1 B01234X1

Email Address 2 ABC@bank.com.hk

+ REQUEST

Remarks

Type your answer here...

We declare that the information provided in this eService relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading.

3 We confirm that we understand and accept the above

¹ User ID can be located through CCASS / CCMS Function – User Profile Listing in Security Management Functions (DMS). For details, please refer to the Appendix A of the Information package - [for HKSCC CPs and DBs](#) / [for HKCC and SEOCH CPs](#).

- f. Check if the contact information which is pre-filled by system is correct, click “+ Request” to add information of additional contact person if needed.

CONTACT INFORMATION

Name of Contact Person

AAA

Email Address

AAA@bank.com.hk

Telephone Number

29797111

+ CONTACT PERSON

Top

- g. Click “Preview” at the top right corner to preview the information provided, the screen will then display details of the inputted information.

Home /

SAVE PREVIEW

DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM

Reference Number:

Status: Expand

- h. After confirming the correctness of the information, click “Submit” to proceed, then click “Confirm” in the pop-up box to submit the request to checker

Home /

DISCARD EDIT SUBMIT

DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM

Reference Number:

Status: Expand

PLEASE CONFIRM TO PROCEED

The record will be ready to send to HKEX.
Any message to the next step user? (optional)

CANCEL CONFIRM

- i. The eService request status will be changed from “Draft” to “Ready to Send to HKEX”, the eService Reference Number is generated.

Home /

RECLAIM CLONE

DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM

Reference Number: DA3_00013361

Status: 07-Feb-2023 10:43 HKT Ready to Send to HKEX Expand

CCDA or Business User

➤ Checker - Request Approval via Client Connect

- j. A system generated email notification with the eService Reference Number will be sent to checker's email upon submission of maker's request.



- k. Access to HKEX Access Management Portal following step (a), then go to Tasks list for the pending eService(s) submitted by maker, click into the eService with appropriate reference number indicated in the beginning of the Details section.

Classification	Company Participant ID	Details	Last Update Date	Job Status
User Maintenance CC	Mizuho Bank, Ltd. BNK109	DA3_00013361 - CCASS/ CCMS Delegated Administrator Application/ Maintenance Form	07-Feb-2023	Ready to Send to HKEX

I. Click “Claim” at the top right corner to proceed.

The screenshot shows a web interface for a maintenance form. At the top right, there is a 'CLAIM' button with a lock icon. Below the header, the form title is 'DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM'. The reference number is DA3_00013361 and the status is 'Ready to Send to HKEX'. The form contains sections for 'COMPANY INFORMATION', 'MAINTENANCE REQUEST', 'INFORMATION', and 'DETAILS OF REQUESTS'. The 'DETAILS OF CHANGE REQUEST' section shows 'User ID: B01234X1' and 'Email Address: ABC@bank.com.hk'. There is a 'Remarks' section with a declaration and a 'CONTACT INFORMATION' section at the bottom.

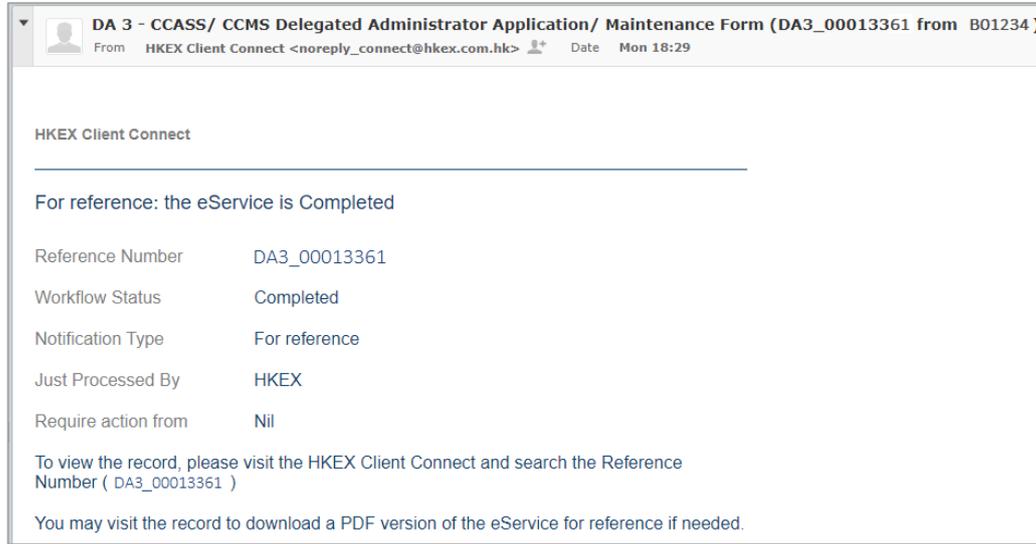
m. After reviewing the information inputted by maker, click “Confirm” button in the top right corner, then click “Confirm” in the pop-up box to submit the request to HKEX.

This screenshot shows the same form as above, but with the status changed to 'Claimed By D Wong on 07-Feb-2023 10:45 HKT'. The 'CONFIRM' button in the top right is highlighted with a yellow box and a '1'. A pop-up box titled 'PLEASE CONFIRM TO PROCEED' is shown, with a 'CONFIRM' button highlighted with a yellow box and a '2'. The pop-up box contains the text: 'The record will be sent to HKEX. Any message to the next step user? (optional)'. There are 'CANCEL' and 'CONFIRM' buttons at the bottom of the pop-up.

n. The request status will be changed from “Ready to Send to HKEX” to “Sent to HKEX”.

The screenshot shows the form with the status updated to 'Sent to HKEX'. A red 'RECLAIM' button is now visible in the top left corner. The reference number remains DA3_00013350. The status is '07-Feb-2023 10:43 HKT Sent to HKEX'.

- o. A system generated email notification will be available upon the completion of the request, CCASS/ CCMS DA can then access to DMS to review the updated User Profile Listing.



Remark: CCASS/ CCMS DAs will be able to initiate the 2FA at the commencement of parallel run if the request is submitted by 28 April 2023 (Friday). Requests submitted after 28 April 2023 (Friday) will not be guaranteed to be completed before the parallel run and may hinder the progress of the CCASS/ CCMS DA to 2FA migration.