

**CLIENT CONNECT BRIEFING
SESSION –**

PILOT PROGRAMME



Briefing to Participants
5 December 2018

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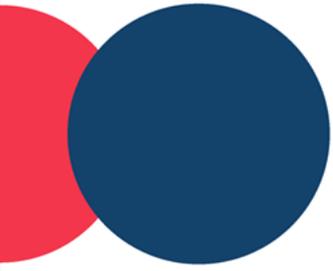
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Agenda

- 1 Background of Client Connect
- 2 Part 1: Client Connect User and Account Management
- 3 Part 2: Client Connect Authentication
- 4 Part 3: Dashboard & Digitization of Manual Forms
- 5 Part 4: Other Features
- 6 Part 5: Setting
- 7 Part 6: Implementation
- 8 Appendix

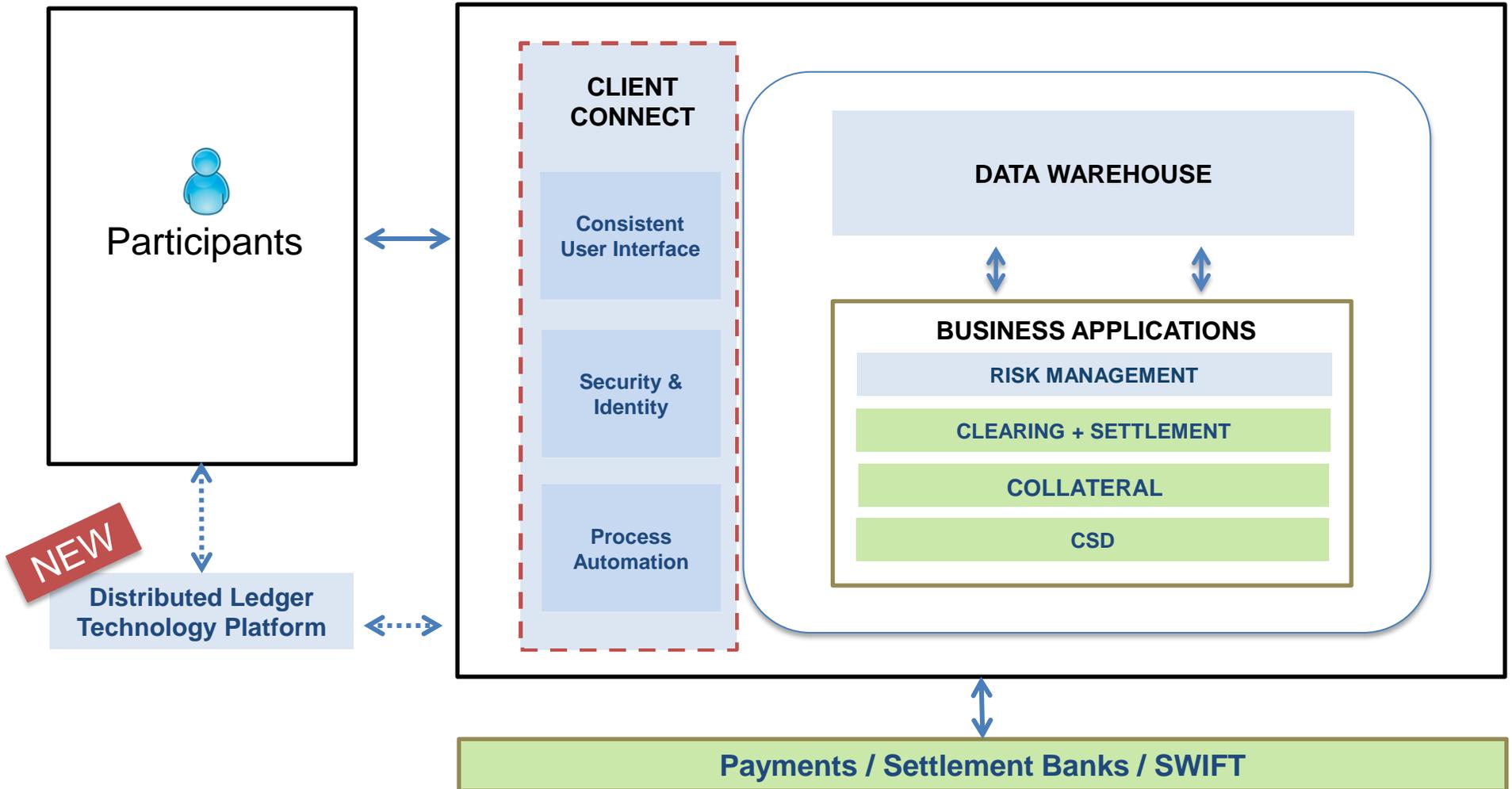




BACKGROUND OF CLIENT CONNECT

NEXTGEN POST TRADE PLATFORM

Phase 1 Phase 2



CLIENT CONNECT

A unified platform giving our Exchange and Clearing Participants (our clients) direct access to a host of HKEX services, enhancing overall user experience

1. Entry portal for the Clearing house services and *NextGen* applications
2. Digitizing the majority of paper-based services (releasing by phases)
3. Event and information dashboard
4. Secure web-based user interface made available via PC, tablet, and mobile.
5. Flexible access control and role management

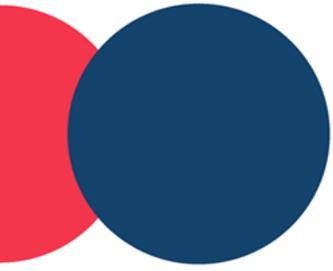
The screenshot displays the HKEX Client Connect user interface. On the left is a dark blue sidebar with the HKEX logo and navigation menu items: e-Service, POST-TRADE, Clearing, Settlement & Depository, Partnership Management, Technical Setup, Support, ESERVICES REPORTING, and SUBMISSION & DOWNLOAD. The main content area is white and features a 'Welcome, ub' header with the date '04-Dec-2018' and 'Last Login: 03-Dec-2018 19:30 HKT'. Below this is a navigation bar with 'Tasks', 'Notifications', 'Events', and 'History'. The 'Tasks' section contains a table with the following data:

Classification	Company Participant ID	Details	Last Update Date	Job Status
AC Maintenance CH	xyz XYZ123	TEMP_00000763 - AC 9 Change of Company Name	03-Dec-2018	Draft
Buy-in	xyz XYZ123	Set2_00000964 - Set 2 Early Buy-in Request to HKSCC	03-Dec-2018	Reverted to maker
Company Admin CH	xyz XYZ123	AC11_00000960 - AC 11 Change of Authorised Signatories	30-Nov-2018	Ready to Send to HKEX

Below the table is a 'View all tasks >' link. The interface also includes an 'HKEX CALENDAR' for December 2018, a 'WHAT'S ON' section with 'Events', 'Projects', and 'Focus' tabs, and a 'RESOURCE AREA' with 'Infrastructure' and 'Rules' sub-sections. The footer contains the HKEX logo and copyright information: '© 2018 Hong Kong Exchanges and Clearing Limited. All rights reserved.'

<https://connect.hkex.com.hk>





PART 1: CLIENT CONNECT USER AND ACCOUNT MANAGEMENT

USER MANAGEMENT

Two types of users in Client Connect

- 1. Client Connect Delegated Administrator (CCDA) of the Participant – setup by HKEX**
 - a) Create new business users
 - b) Grant access rights to users by business functions
 - c) Manage user status
- 2. Business User of the Participant – setup by CCDA**
 - a) Access various business functions and applications based on user rights
 - b) Perform either the maker or checker functions

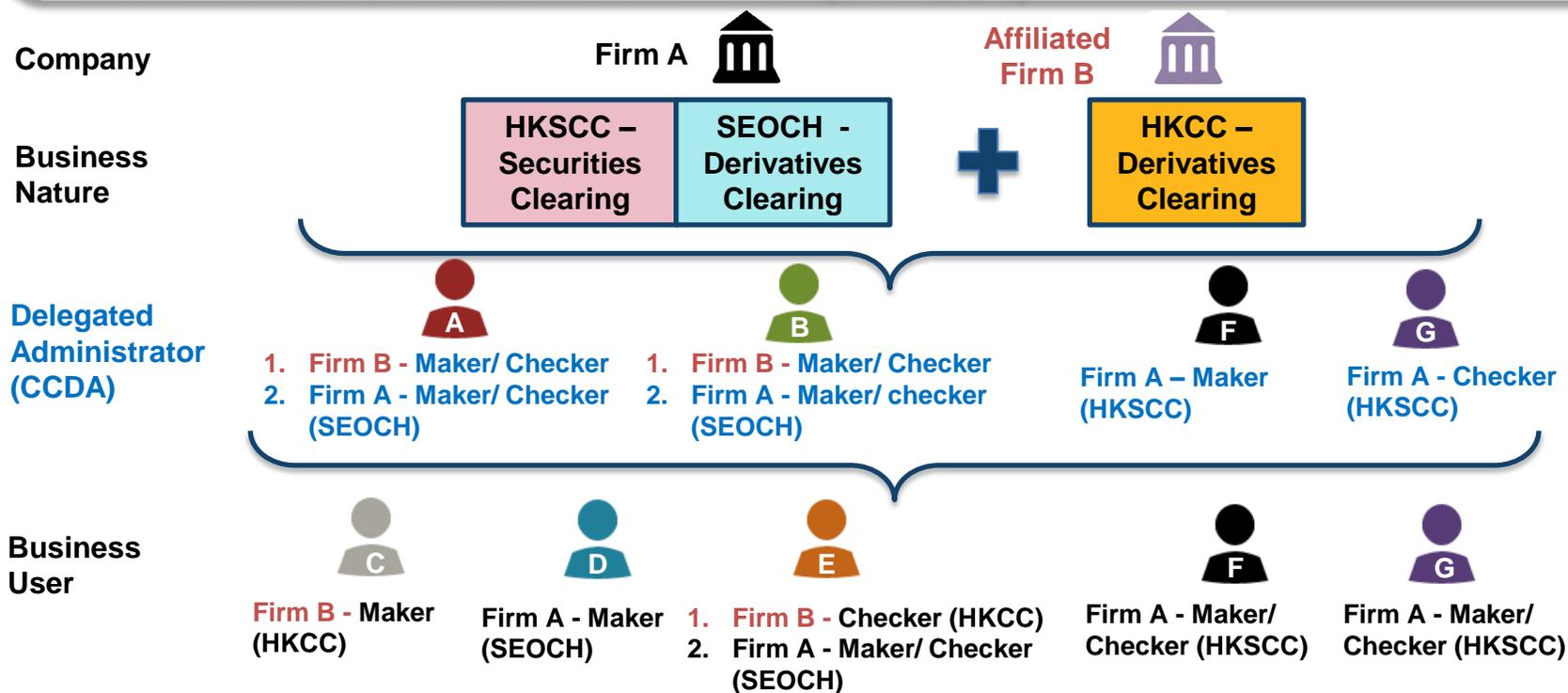


Participants have to submit [Client Connect Delegated Administrator Rights Application / Maintenance Form](#) to register CCDAs of their companies.



FLEXIBLE USER SETUP AND MULTIPLE PARTICIPANTSHIP

1. A user can be CCDA and/ or business users of the same company or affiliated companies with different participantships. (User A, B and E)
2. However, the user cannot act as the checker of the CCDA to approve assigning business functions to him/herself.
3. A user can also be maker and checker of the same function group as CCDA and/ or business users but cannot be checker of the same submission. (User E, F, G)

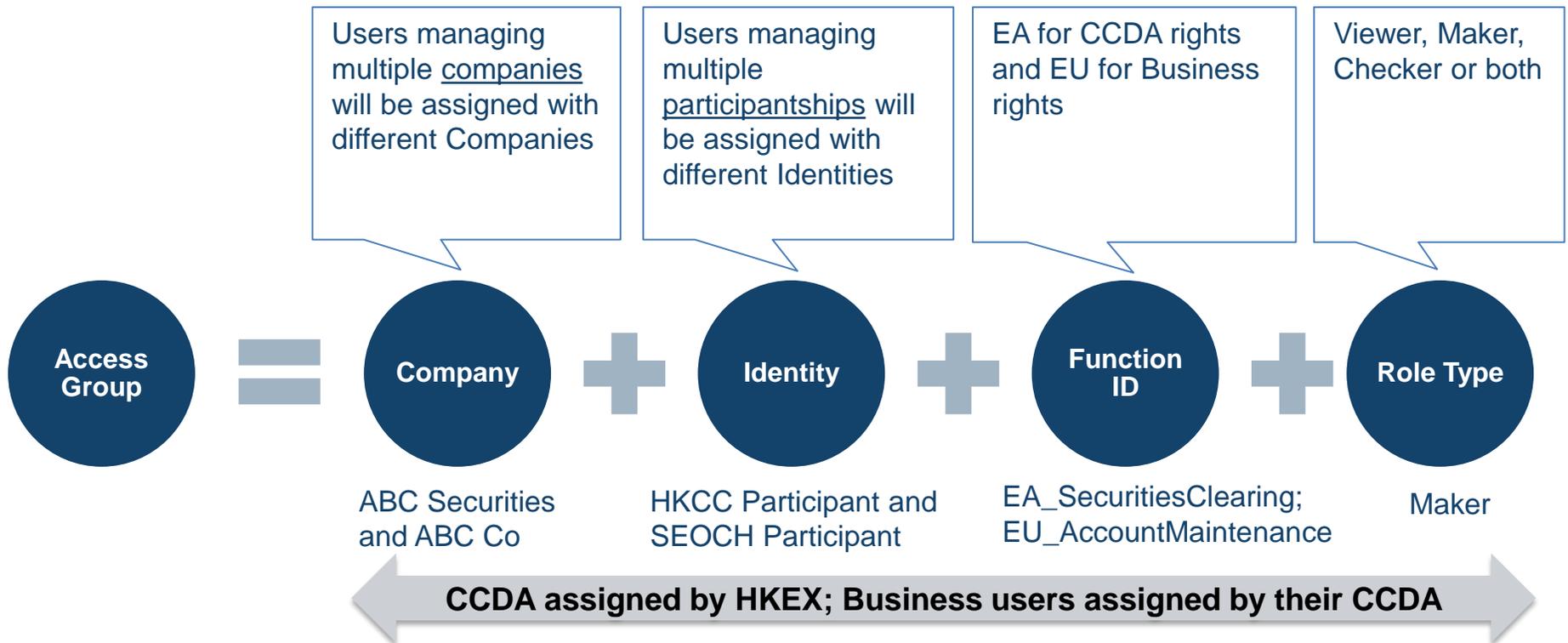


Existing Settlement Agent Concept will be extended to Client Connect.



ACCESS RIGHTS

1. Access rights are defined by the user's access group (refer to Appendix IV for details)
2. Access group determines the actions a user can take and/or the eServices a user can access, it is made up of 4 components



A user can have both maker and checker access of the same Function ID. If the user acts as the maker of an eService request, the same user is restricted from approving the same request.

WHAT CAN CCDA AND BUSINESS USER DO?

	CCDA	Business user
User Profile Maintenance	<ul style="list-style-type: none"> Add / edit / update / unlock users Can act on all users of the company assigned to her/him Change password, reset/ forget password OTP channel 	<ul style="list-style-type: none"> Change password, reset/ forget password OTP channel Preference setting (e.g. email notification setting)
Access Rights	<p>Access Rights Maintenance</p> <ul style="list-style-type: none"> To assign corresponding business rights to users according to their Identity Can only assign business rights of the same Function ID and Identity he/she manages 	<ul style="list-style-type: none"> Not Applicable
 Business Functions	<p>Special Business Functions under EU category</p> <ul style="list-style-type: none"> Assigned by HKEX For smartcard maintenance (EU_UserMaintenance) 	<p>Business functions under EU category:</p> <ul style="list-style-type: none"> Assigned by CCDA Determines the access of eService and physical forms in the Repository of Client Connect

User Profile, Access Rights and Business Functions of CCDA are managed by HKEX, *except* changing or resetting its password.

HOW TO MANAGE YOUR ACCOUNT

- ACCESS MANAGEMENT

The screenshot displays the HKEX Client Connect dashboard. On the left is a dark blue navigation menu with the HKEX logo and Chinese characters '香港交易所'. Below the logo are sections for 'e-Service', 'POST-TRADE', 'Support', and 'ESERVICES REPORTING'. The 'MANAGE ACCESS RIGHTS' option is highlighted with a red box. The main content area shows a welcome message for user 'ab' on 04-Dec-2018, with a last login of 03-Dec-2018 18:22 HKT and a weather icon showing 17°C. Below this are tabs for 'Tasks', 'Notifications', 'Events', and 'History'. A table with columns 'Classification', 'Company Participant ID', and 'Details' is partially visible. At the bottom, there are sections for 'HKEX CALENDAR' (showing a calendar for 2018) and 'WHAT'S ON' (with sub-tabs for 'Events', 'Projects', and 'Focus'). Under 'WHAT'S ON', there are entries for 'Charles Li Direct' and 'Stock Connect'.

Access management can be done through **MANAGE ACCESS RIGHTS** on the navigation menu in Client Connect. The link is only visible to CCDA.

HOW TO MANAGE YOUR ACCOUNT

- ACCESS MANAGEMENT – CREATE USERS

1 On the access management dashboard, CCDA can go to **MANAGE** then choose **USERS**

2 CCDA can add new user by **+CREATE USER**

My tasks

TaskID	Description
--------	-------------

Users

+ CREATE USER DELETE SELECTED

Show filters ▾

<input type="checkbox"/>	NAME ▾	INTERNAL / EXTERNAL ▾	EMPLOYEE TYPE ▾	COMPANY	STATUS ▾	
<input type="checkbox"/>	um xyz	External	Business	xyz	Active	⋮
<input checked="" type="checkbox"/>	am xyz	External	Admin	xyz	Active	
<input type="checkbox"/>	uc xyz	External	Business	xyz	Active	⋮
<input checked="" type="checkbox"/>	ab xyz	External	Admin	xyz	Active	
<input type="checkbox"/>	ub xyz	External	Business	xyz	Active	⋮
<input checked="" type="checkbox"/>	ac xyz	External	Admin	xyz	Active	



HOW TO MANAGE YOUR ACCOUNT

- ACCESS MANAGEMENT – CREATE USERS (cont'd)

3

Enter details of new user in **Details** tab

User

Create User CANCEL CREATE

Details Roles

First Name

Last Name

Company

Title (optional)

Email

Team Email (optional)

Contact Number

Employee Type Admin Business

Internal/External Internal External

User Status Active Inactive

4

Company can only be picked from the available company(ies) the CCDA manages

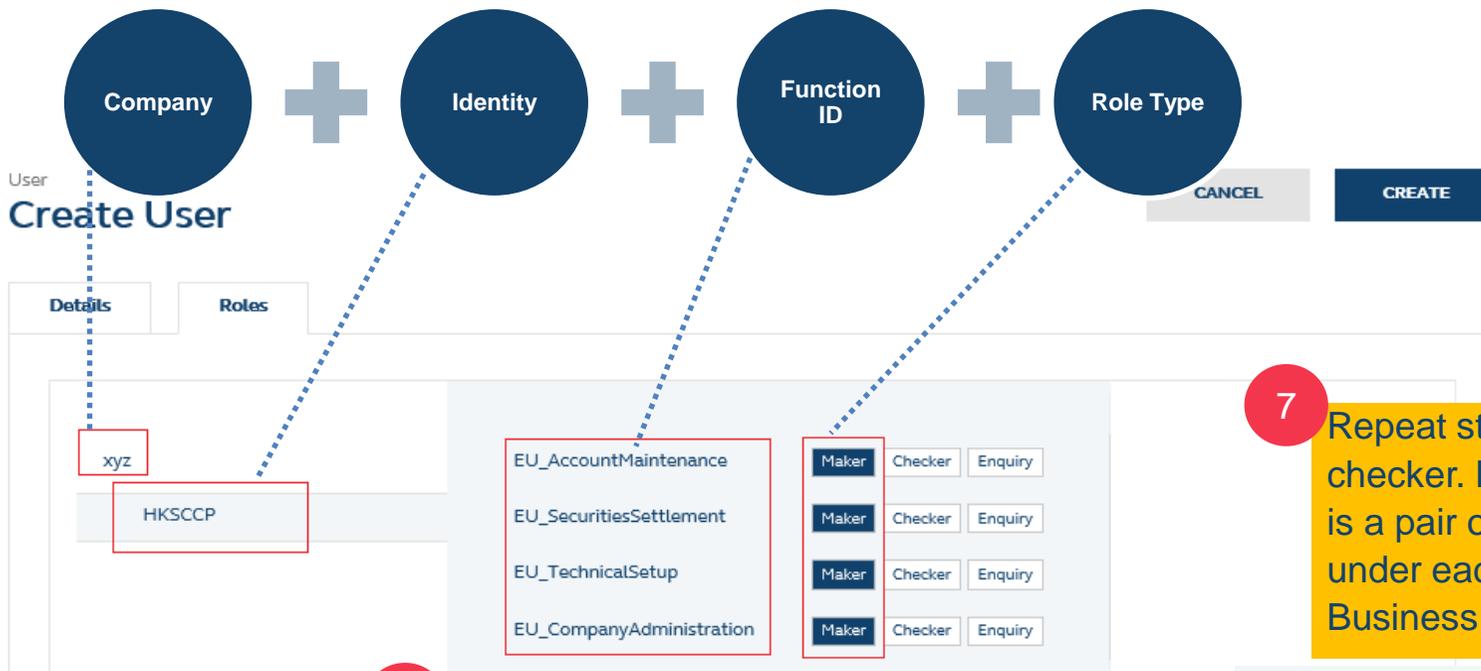
5

Email address provided will become the login ID of the new user



HOW TO MANAGE YOUR ACCOUNT

- ACCESS MANAGEMENT – CREATE USERS (cont'd)



6 In **Roles** tab, CCDA can assign users' Business rights then click **CREATE**. This will go through maker-checker processing

7 Repeat steps 1-6 to setup the checker. Please ensure there is a pair of maker and checker under each Function ID the Business users process

EU_AccountMaintenance	Maker	Checker	Enquiry
EU_SecuritiesSettlement	Maker	Checker	Enquiry
EU_TechnicalSetup	Maker	Checker	Enquiry
EU_CompanyAdministration	Maker	Checker	Enquiry

A user having multiple Function IDs and Role Types can be setup in one go.



HOW TO MANAGE YOUR ACCOUNT

- ACCESS MANAGEMENT – CREATE USERS (cont'd)



HKEX Client Connect

Your account is ready

Dear ub,

Welcome to Client Connect . Your username is nu@xyz.com.

Please follow instructions below to setup password:

1. On Login page click on "Forgot/Reset your password"
2. Enter your valid email address
3. Check your email box for email with link to reset password

For enquiries, please contact us via [link](#).

Please do not reply this e-mail as this is system generated.

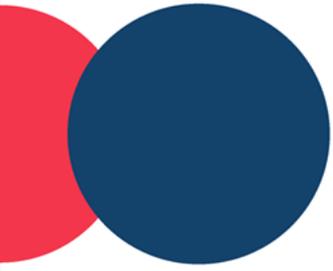
View the [Terms and Conditions of HKEX Client Connect](#)

Disclaimer

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8

New user will receive email notification once the account setup is fully approved.



PART 2: CLIENT CONNECT AUTHENTICATION

GET READY TO USE CLIENT CONNECT

Two steps to start using Client Connect



Users

User login by 2-factor authentication (2FA)

Login ID: email address provided in application

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WELCOME TO HKEX CLIENT CONNECT

User Login

User ID/Email

Password

Once you have logged onto this website, you will be deemed to have read and accepted our [Terms and Conditions](#) (last updated on 15-Jun-2018).

LOG IN

Forgot/Reset your password? >

ForgeRock Authenticator (OATH)

REGISTER DEVICE

SKIP THIS STEP

2FA options

Software Token (mobile app)

My Accounts Edit

ForgeRock

One-time Password

140 307



One-time-password via email

Welcome to Client Portal

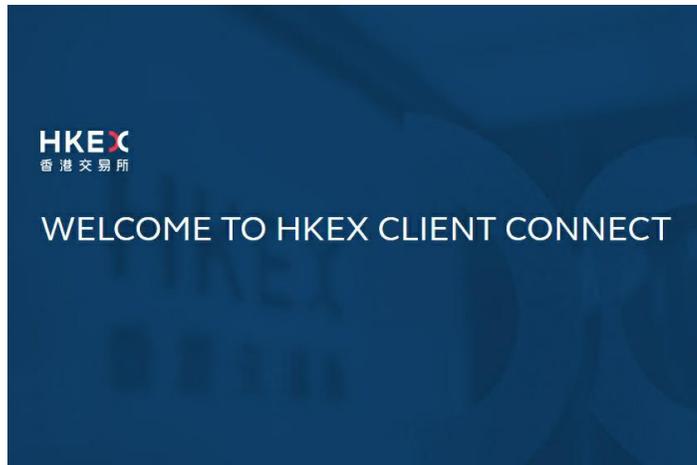
Your verification code is: 389945



GET READY TO USE CLIENT CONNECT (cont'd)

- SETUP REGULAR PASSWORD

1. All new users will receive email notification when account is ready.
2. Access Client Connect via <https://connect.hkex.com.hk>



User Login

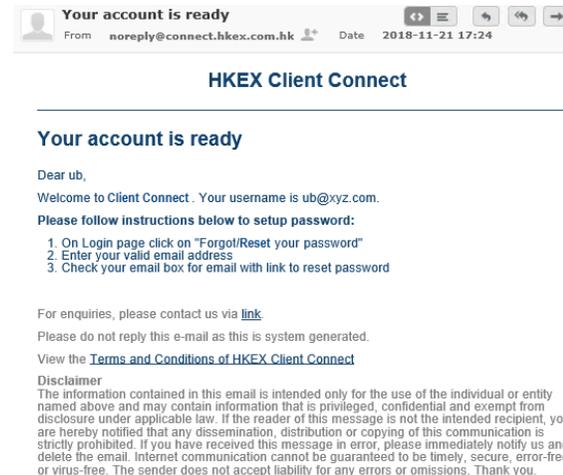
User ID/Email

Password

Once you have logged onto this website, you will be deemed to have read and accepted our [Terms and Conditions](#) (last updated on 15-Jun-2018).

LOG IN

[Forgot/Reset your password?](#)



HKEX 香港交易所 DASHBOARD

User profile

Password

New password

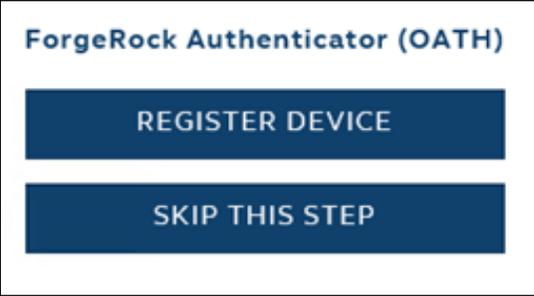
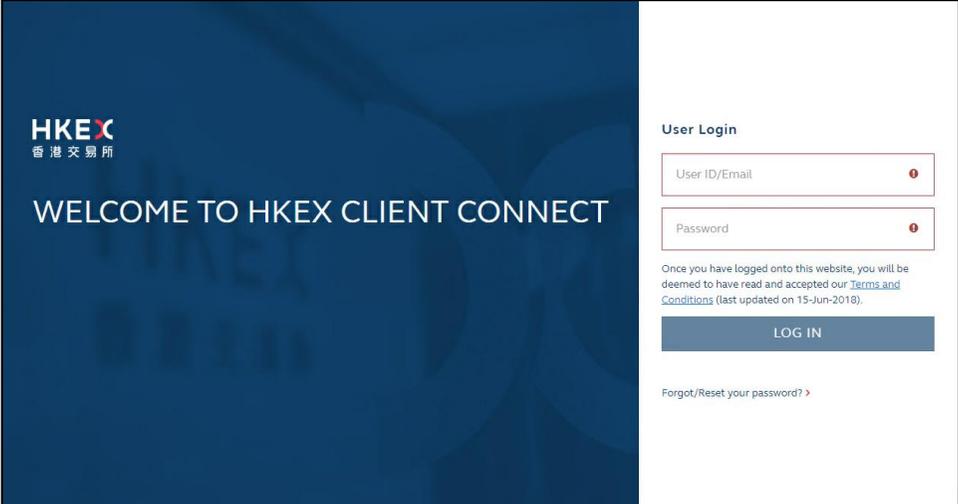
Confirm new password

Reset Update

- Required
- At least 8 characters & At Max 15 characters
- At least 1 numbers
- At least 1 lower letters
- At least 1 special chars from !@#%&*() %^&*()
- At least 1 capital letters

GET READY TO USE CLIENT CONNECT (cont'd)

- SETUP ONE TIME PASSWORD



1 Receive OTP via mobile device

2 Receive OTP via email

All OTPs will remain valid for a definite period of time after generation e.g. OTPs generated by app are valid for 1 minute.



GET READY TO USE CLIENT CONNECT (cont'd)

- SETUP OTP USING DEVICE

ForgeRock Authenticator

Available in:

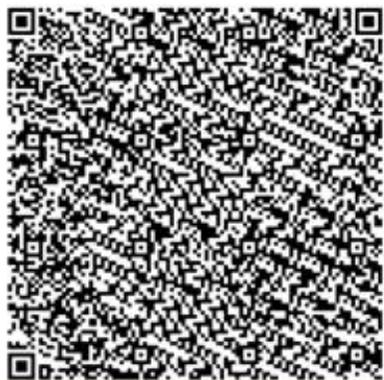
 **Android users**

 **iOS users**

Procedure:

Register A Device

Scan the barcode image below with the ForgeRock Authenticator App. Once registered click the button to enter your verification code and login.



Option 2

If logged in on mobile device, choose this to register

ON A MOBILE DEVICE?

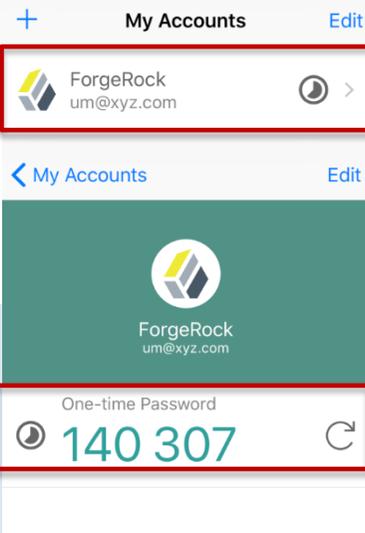
LOGIN USING VERIFICATION CODE

Option 1

a Scan QR code to register mobile device

b Enter the verification code generated by the App

ForgeRock Authenticator App



GET READY TO USE CLIENT CONNECT (cont'd)

- SETUP OTP USING EMAIL

ForgeRock Authenticator (OATH)

REGISTER DEVICE

SKIP THIS STEP

HKEX Client Connect One Time Password

 From **noreply@connect.hkex.com.hk** 
To **um@xyz.com** 
Date **Today 18:23**

One Time Passcode (OTP) for HKEX Client Connect:58755886

HKEX
香港交易所

WELCOME TO HKEX CLIENT CONNECT

Please Enter Your One Time Password, Or Request A New One

.....| 

SUBMIT OTP

REQUEST OTP



GET READY TO USE CLIENT CONNECT (cont'd)

- CHANGE METHOD TO RECEIVE OTP

My Profile

User ID	ub@xyz.com
First Name	ub
Last Name	xyz
Company Names	xyz
Email	ub@xyz.com
Team Email (Optional)	
Contact Number	12345678
User Status	Active
Password	***** Change Password

[Authentication Settings](#)

1
Go to **Authentication Settings** in My Profile

Authentication Devices



OATH Device

- Recovery Codes
- Delete

2
Choose **Delete** if you have registered your device

Authentication Devices

You have not registered any devices

[Settings](#)

Devices Settings

Configure global settings across all your devices.

2-Step Authentication

Authenticate using one-time passwords generated by one of your registered devices.

[Cancel](#) [Save](#)

3
Skip step 2 if you are using email, go to **Settings** and recheck authentication method, **Save** afterwards

4
User can choose the method of receiving OTP in next login



HOW TO MANAGE YOUR ACCOUNT

- CHANGE/ FORGOT PASSWORD

Change Password and Forgot/ Reset Password is a self service for both CCDA and Business Users.

Change Password

Welcome, ub 29-Nov-2018
Last Login: 29-Nov-2018 13:40 HKT 28°

Home /

My Profile

User ID	ub@xyz.com
First Name	ub
Last Name	xyz
Company Names	xyz
Email	ub@xyz.com
Team Email (Optional)	
Contact Number	12345678

User Status	Active
Password	***** Change Password

[Authentication Settings](#)

Through Profile icon on top right **after login**

Forgot/ Reset Password

User Login

Once you have logged onto this website, you will be deemed to have read and accepted our [Terms and Conditions](#) (last updated on 15-Jun-2018).

LOG IN

[Forgot/Reset your password? >](#)

At login page in the same way as setting new password



HOW TO MANAGE YOUR ACCOUNT

- UNLOCK ACCOUNT

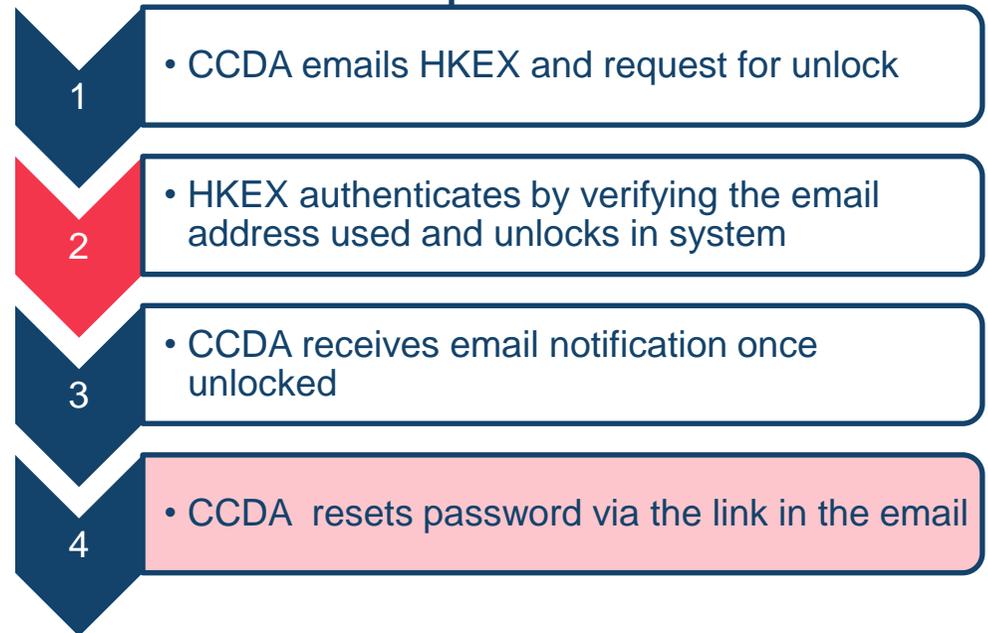
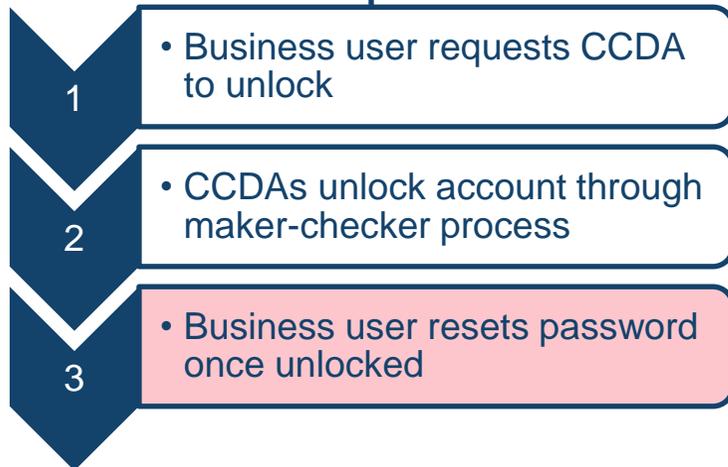
An account will be locked after 5 consecutive unsuccessful login attempts within 30 minutes.

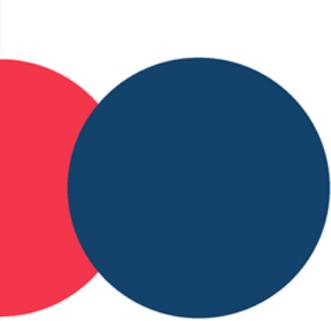


Unlock Account

Business user by
CCDA

CCDA By HKEX



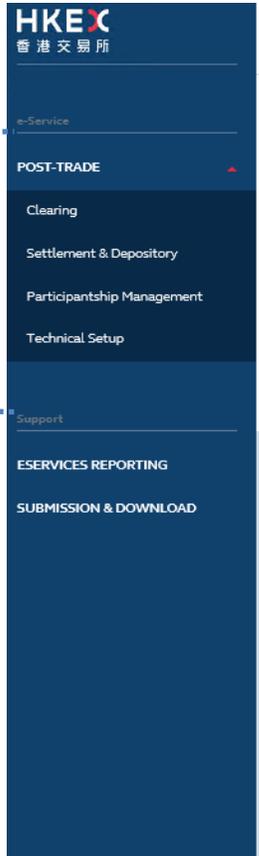


PART 3: DASHBOARD & DIGITIZATION OF MANUAL FORMS

DASHBOARD VIEW

Search function provides quick location of eServices and portal information

Company profile, personal account information and **notifications**. Ability to switch legal entities.



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e-Service

- POST-TRADE
- Clearing
- Settlement & Depository
- Participanship Management
- Technical Setup

Support

ESERVICES REPORTING

SUBMISSION & DOWNLOAD

Welcome, ub 05-Dec-2018
Last Login: 04-Dec-2018 21:59 HKT T1 17°

Search, Notifications, EN, xyz, User Profile

Tasks Notifications Events History

Classification	Company Participant ID	Details	Last Update Date	Job Status
AC Maintenance CH	xyz XYZ123	TEMP_00000763 - AC 9 Change of Company Name	03-Dec-2018	Draft
Buy-in	xyz XYZ123	Set2_00000964 - Set 2 Early Buy-in Request to HKSCC	03-Dec-2018	Reverted to make Ready to Send to HKEX

View all tasks >

Open tasks and notifications allows quick access to workflows. **Events** tab provides latest events and access to registration.

Navigation menu for users to access different eServices

HKEX CALENDAR

< DECEMBER 2018 >

Sun	Mon	Tue	Wed	Thu	Fri	Sat
25	26	27	28	29	30	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5

Download Calendar

HKEX Calendar highlighting important dates and events

WHAT'S ON

Events Projects Focus

- Charles Li Direct
- Stock Connect
- Using Derivatives
- HKEX News

Ability to view HKEX's focused items in **What's on** tab

RESOURCE AREA

Infrastructure

- PFMI
- HKSCC
- HKCC
- SEOCH
- OTC Clear

Rules

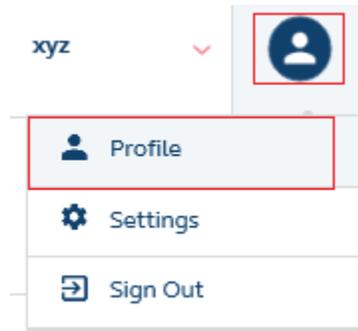
Resources area for document download



DASHBOARD VIEW

- MY PROFILE

Users can access their **Profile** through the icon at top right corner



Home /

My Profile

User ID	ub@xyz.com
First Name	ub
Last Name	xyz
Company Names	xyz
Email	ub@xyz.com
Team Email (Optional)	
Contact Number	12345678

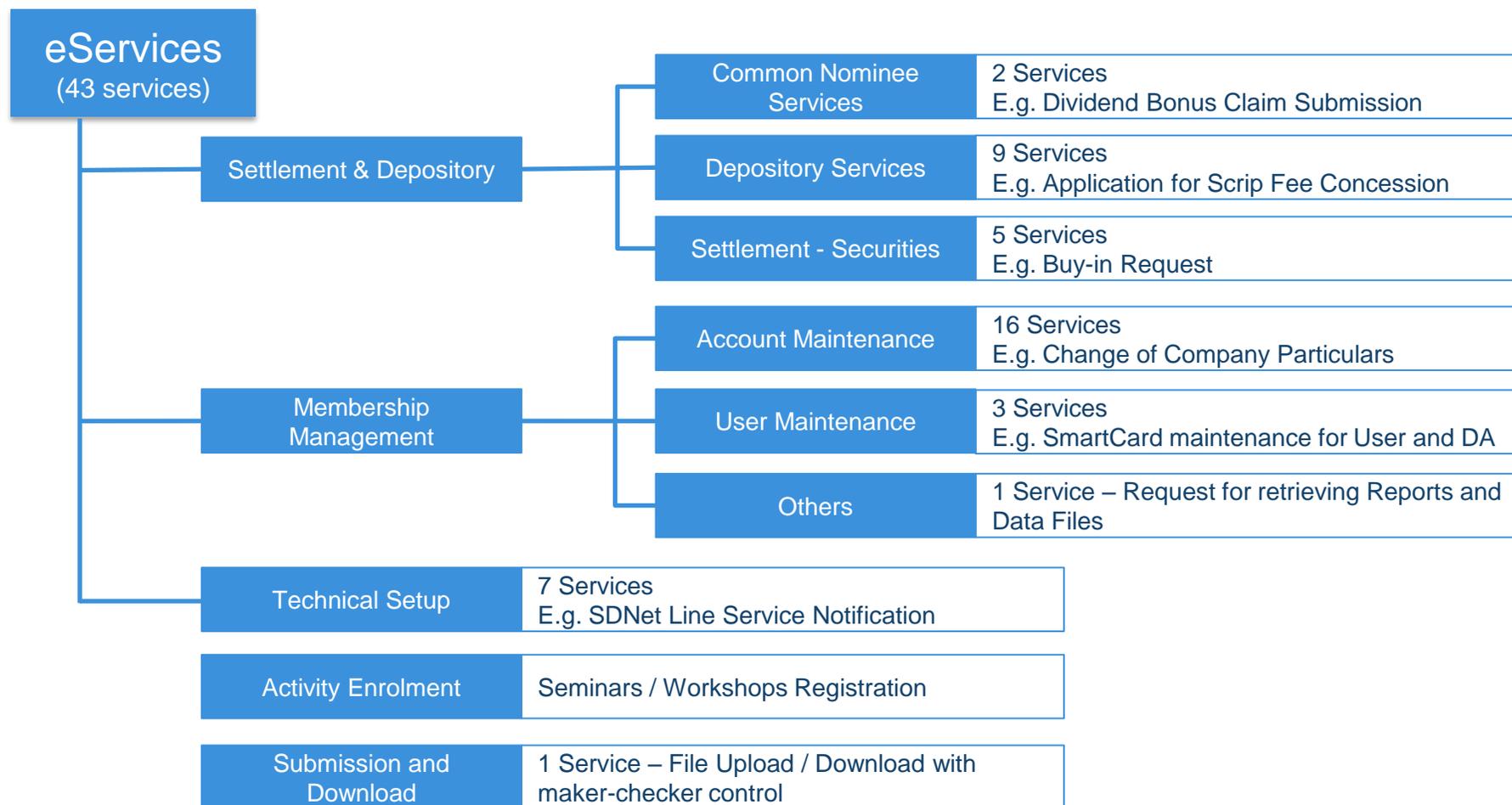
User Status Active

Password ***** [Change Password](#)

[Authentication Settings](#)

On **My Profile** page, Users can view their names, email address. They can also **Change Password** and **Authentication Settings**

SCOPE OF eSERVICE



45 eServices, covering over 60 forms



eSERVICE IDENTIFICATION

eService ID

Prefix	Category of eService	eService ID Example
AC	Account Maintenance / Company Administration	AC 11 (<i>Change of Authorised Signatories</i>)
SCard	Smart Card maintenance	Scard 1 (<i>Smartcard Maintenance for User and DA</i>)
Set	Settlement - Securities	Set 1 (<i>Application to HKSCC for Exemption of Buy-in</i>)
TechS	Technical Setup	TechS 6 (<i>CCASS/CCMS SDNet Line Service Notification</i>)
UD	Submission and Download	UD (<i>Submission and Download</i>)

eService Reference Number

eService Reference number is assigned upon the eService request creation, and it is composed of two parts:



Notes: If the eService request is in DRAFT mode, a temporary eService Reference number with prefix 'TEMP' will be assigned. For example: **TEMP_0000707**

eSERVICE USABILITY

SET 1 APPLICATION FORM FOR EXEMPTION OF BUY-IN

Reference Number: _____ Status: ☰ Collapse

COMPANY INFORMATION +

DETAILS OF FAILED DELIVERY POSITION -

Market

Hong Kong Market

China Connect Market

Stock Code

Stock Name

Settlement Pos No.
e.g. P12345678

Settlement Date

Outstanding Share Quantity

Share Quantity Applied for Exemption
must be less than or equal to Outstanding Share Quantity

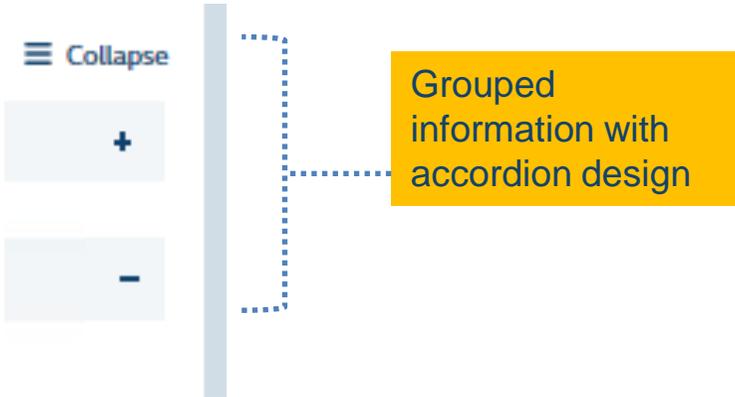
BASIS OF APPLICATION ⬆ Top

REMARK BY PARTICIPANT -

Remark (Participant)

Linear , one-column flow

Responsive based on answers to questions



CONTACT INFORMATION

Name of Contact Person

Email Address

Telephone Number

Auto-fill information and built-in validation

Stock Code

Please enter a valid stock code.

Stock Name

Please enter a valid stock name.

Settlement Pos No.
e.g. P12345678

Please enter Valid Settlement Pos No as Pxxxxxxx



eSERVICE INITIATION

1 Navigate the eServices

eServices are categorized for easy access

POST-TRADE
Clearing
Settlement & Depository
Participants Management
Technical Setup

Available eServices are displayed based on access right

Home /

Settlement & Depository

Settlement - Securities Depository Services Common Nominee Services

Classification	Id	Function	Format	Reference
Buy-in	Set 1	Application to HKSCC for Exemption of Buy-in	eService	
Buy-in	Set 2	Early Buy-in Request to HKSCC	eService	
Buy-in	Set 4	Buy-in Request to HKSCC for CCASS Isolated Trades only	eService	
Service Request NB	CCASS-Form 70	Adjustment Request form for Sellable Balance due to Outstanding Positions in China Connect Securities	PDF	
Service Request NB	CCASS-Form 89	Early Release of Securities-on-hold Application Form	PDF	

2 Search for the eServices

Home /

Search Result (3)

Buy-in

Set 1 - Application Form for Exemption of Buy-in eService

Set 2 - Early Buy-in Request to HKSCC eService

Set 4 - Buy-in Request to HKSCC for CCASS isolated Trades only eService

Notes:

- Only makers can view, search and submit the eService forms according to their access rights
- Checkers are unable to view a blank form. However, they can enter through the Tasks tab into a read-only page to provide approval when they are notified by email / dashboard



GENERAL FEATURES AVAILABLE FOR eSERVICE

Common features

Form Input

- Autofill & searching
- Online validation
- File attachment
- File upload for bulk input
- Save for later use

Workflow

- Maker-checker mechanism
- Notification & email alert
- Return/ Revert for amendment
- Task Claim/ Release
- Working as group

Stock Code

Please enter a valid stock code.

Stock Name

Please enter a valid stock name.

Settlement Pos No.
e.g. P12345678

Please enter Valid Settlement Pos No as Pxxxxxxx

HKEX Client Connect
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For action: the eService is Returned to Submitter

Reference Number AC9_00000466

Workflow Status Returned to Submitter

Notification Type

Just Processed By

YOUR NOTIFICATIONS (20) View All

Eservices
AC9_00000466 is Ready to Send to HKEX

26-Oct-2018, 10:05 HKT Mark as read

HKEX CLIENT CONNECT: PLEASE CONFIRM TO PROCEED

REFER TO

UC_S

UB

UC_S

CANCEL CONFIRM

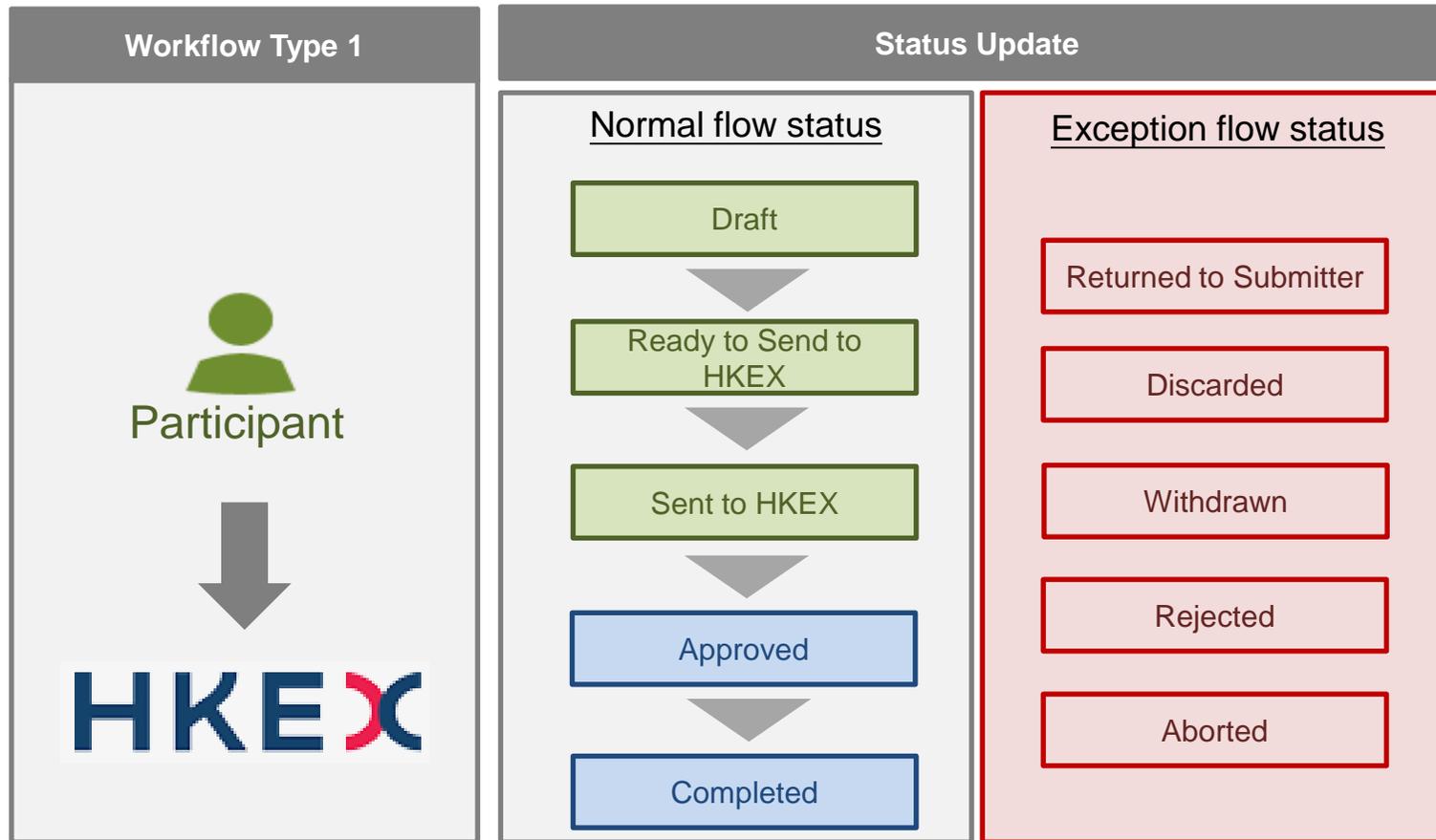


eSERVICE ACTION BUTTONS

	Button	Maker	Checker	Description
For Preparation	CLONE	✓	✗	Create a new request based on an existing request
	SAVE	✓	✗	Save an unfinished eService request for future processing (auto save or manual save)
	PREVIEW	✓	✗	Preview a drafted eService request before submission
	EDIT	✓	✗	Edit a drafted eService request before submission
	DISCARD	✓	✗	Discard a drafted eService request. Discarded forms will not be saved.
eService Submitted – Normal Actions	SUBMIT	✓	✗	Submit a drafted eService request for approval / next step action.
	 CLAIM	✓	✓	Take ownership of a submitted request for further action
	CONFIRM	✗	✓	Submit an eService request after checking for completion / next step action
	REFER TO	✗	✓	Refer a request to another checker to process
	WITHDRAW	✓	✗	Withdraw a submitted eService request before completion.
eService Submitted Special Actions	REVERT	✗	✓	Revert the request to its maker, editable for re-submission.
	RETURN	✓	✗	Return to the maker of previous party (another company), editable for re-submission.
	REJECT	✗	✓	Reject a submitted eService request, non-editable and maker has to create new request if needed.
	RECLAIM	✓	✓	Retrieve a sent request for further editing at any step
	 RELEASE  TAKE UP	✓	✓	Release the ownership of a request so the other eligible users can claim. Take ownership of a claimed request.

eSERVICE WORKFLOW TYPES AND STATUSES

- Type 1

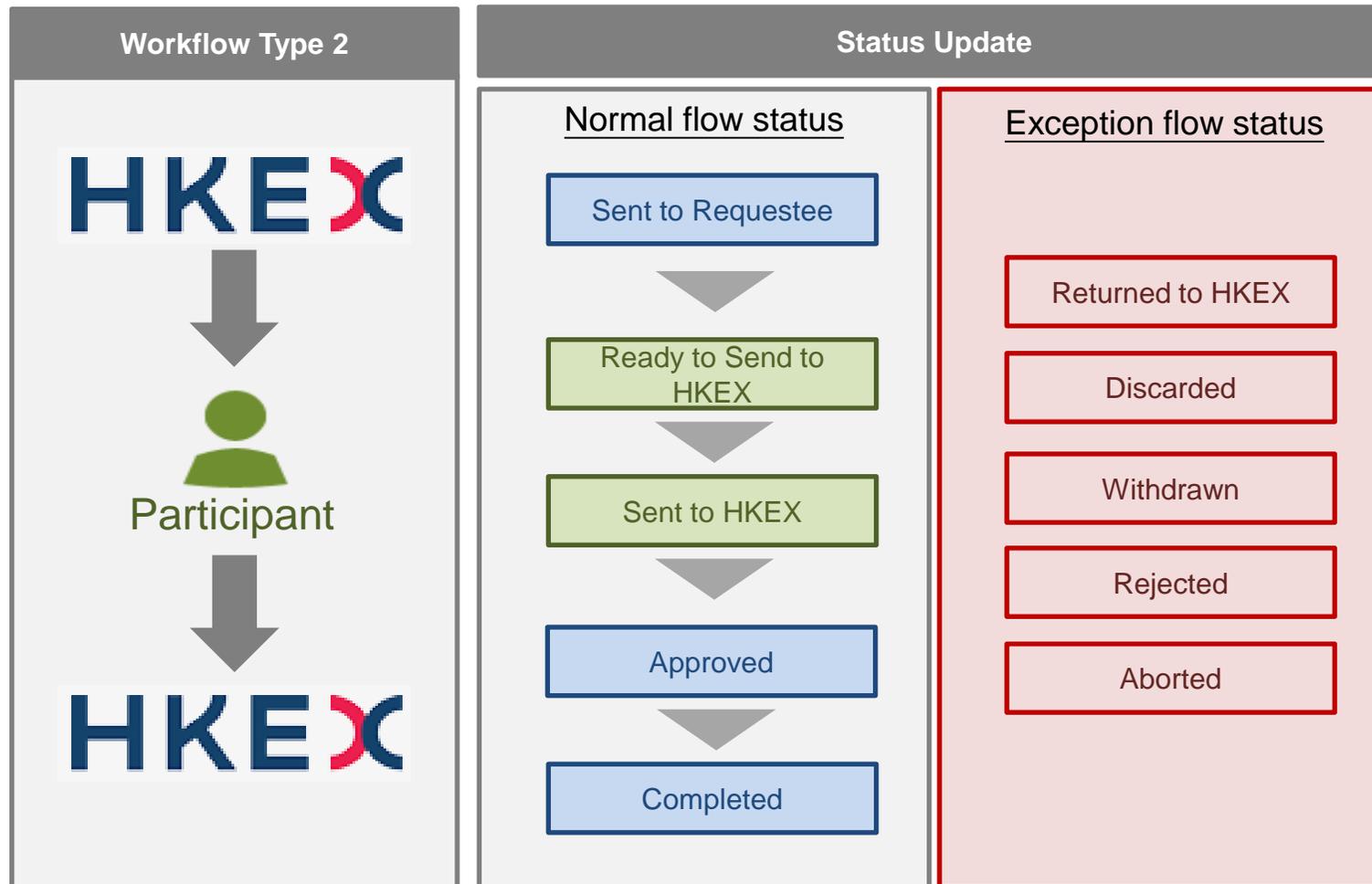


eService Example:

- AC 6 – Change of Company Name

eSERVICE WORKFLOW TYPES AND STATUSES

- Type 2

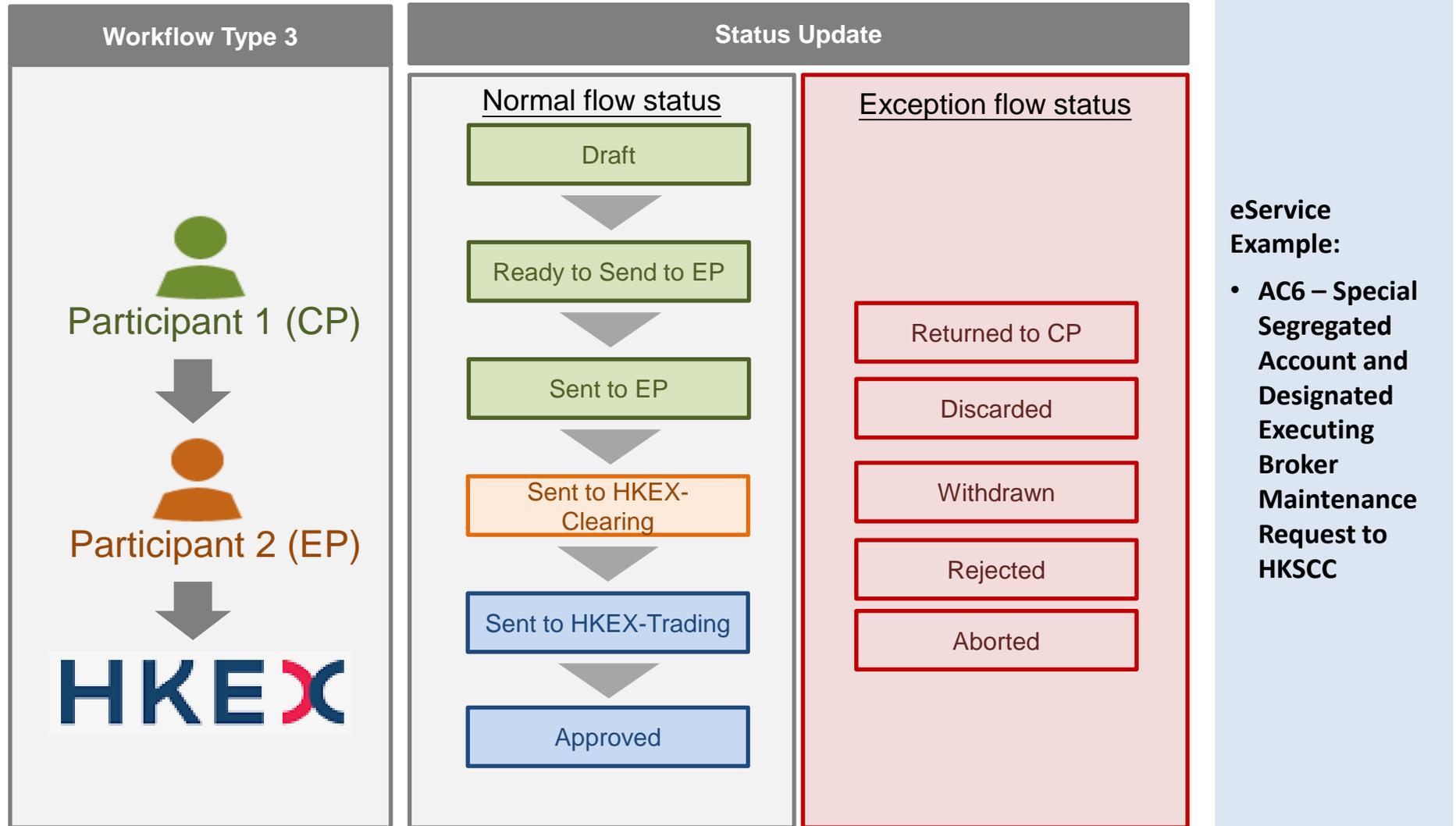


eService Example:

- **Set3 – Request for Special Buy-in**

eSERVICE WORKFLOW TYPES AND STATUSES

- Type 3



eSERVICE REPORTING

The screenshot shows the HKEX e-Service Reporting interface. The left navigation menu includes 'ESERVICES REPORTING' (highlighted with a red box and a yellow callout 'Access from navigation menu'). The main content area has a header 'e-Service Reporting' and a sub-header 'GENERATE AD HOC REPORT'. Below this is a 'DOWNLOAD/VIEW REPORT' section with filters: 'Select Date', 'Please Select', 'Select e-Service', and 'Select report', along with a 'Clear Filters' link. A yellow callout 'Embedded filtering functions to locate reports' points to these filters. The table below lists three reports, each with a download icon. A yellow callout 'More development in future Releases to introduce more reports' points to the download icons.

Welcome, ub 04-Dec-2018
Last Login: 03-Dec-2018 19:30 HKT T1 17°

Home /
e-Service Reporting

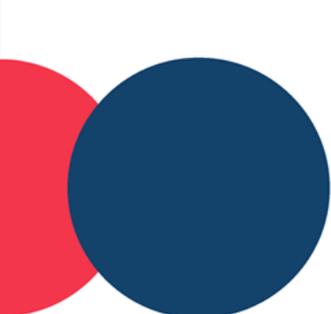
e-Service Reporting Other Reports

GENERATE AD HOC REPORT

DOWNLOAD/VIEW REPORT

Filters: [Clear Filters](#)

Type	Generation Date/Time	e-Service	Report Name
Daily	04-Dec-2018 17:45 HKT	AC 6 Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	Submission Status Report
Daily	04-Dec-2018 17:45 HKT	AC 6 Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	Submission Status Report
Daily	04-Dec-2018 17:00 HKT	AC 6 Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	SPSA to Execution Broker Mapping report



**eSERVICE ILLUSTRATION –
AC9 CHANGE OF COMPANY NAME**

eSERVICE EXAMPLE ILLUSTRATION

- PRE-REQUISITE: MAKER'S & CHECKER'S ACCESS ASSIGNMENT

AC 9 CHANGE OF COMPANY NAME

Reference Number:

COMPANY INFORMATION

From
xyz
As

- HKSCC Participant (XYZ123)
- HKCC Participant (CXYZ)
- SEOCH Participant (CXYZ)

Some eServices allow users to submit to multiple clearing houses.

In order to submit, both maker and checker MUST have accesses in all clearing houses involved to complete the maker-checker cycle.

AC 9 CHANGE OF COMPANY NAME

Reference Number:

COMPANY INFORMATION

From
xyz
As

- HKSCC Participant (XYZ123)

DETAILS OF CHANGES

FAILED

Please refresh the page to see the latest record status

ACKNOWLEDGE

e.g. Maker with HKSCC access can only request to HKSCC

From xyz
As HKSCC Participant (XYZ123)

DETAILS OF CHANGES

FAILED

Please refresh the page to see the latest record status

ACKNOWLEDGE

e.g. Checker will receive error when trying to approve a request involving clearing houses he/she does not possess



eSERVICE WORKFLOW ILLUSTRATION

- STEP 1: MAKER PREPARES A SUBMISSION REQUEST

The screenshot shows the HKEX e-Service interface. The navigation menu on the left includes 'POST-TRADE', 'Clearing', 'Settlement & Depository', 'Participants Management' (highlighted with a red box and a red circle containing the number 1), and 'Technical Setup'. The main content area displays 'Participants Management' with sub-tabs for 'Company Administration', 'Account Maintenance', and 'User Maintenance'. A table lists two entries:

Classification	Id	Function	Format	Reference
AC Maintenance CH	AC 9	Change of Company Name	eService	
Company Admin CH	AC 11	Change of Authorised Signatories	eService	

1

Maker locates the form from the navigation menu

2

Maker can **PREVIEW** after populating all fields on the form

The screenshot shows the 'AC 9 CHANGE OF COMPANY NAME' form. The form is titled 'AC 9 CHANGE OF COMPANY NAME' and includes a 'Reference Number' field. Below this, there are two main sections: 'COMPANY INFORMATION' and 'DETAILS OF CHANGES'. The 'COMPANY INFORMATION' section includes a 'From' field with the value 'xyz' and an 'As' field with a checked checkbox and the value 'HKSCC Participant (XYZ123)'. The 'DETAILS OF CHANGES' section includes a 'Confirmed Effective Date' field with the value 'To be confirmed by HKEX' and a 'New English Name' field with the value 'abcxyz'. A 'PREVIEW' button is located at the top right of the form. Below the form, there is a note: 'No more than 100 alphanumeric characters'.

eSERVICE WORKFLOW ILLUSTRATION

- **STEP 2: MAKER SUBMITS A REQUEST FOR APPROVAL**

DISCARD EDIT SUBMIT

AC 9 CHANGE OF COMPANY NAME

Reference Number:

COMPANY INFORMATION

3

In preview mode, maker can click **SUBMIT** to send the request to checker

AC 9 CHANGE OF COMPANY NAME

Reference Number: AC9_00000938

Status: 14:53 30-Nov-2018 HKT Ready to Send to HKEX | Expand

4

Once submitted, status becomes **Ready to Send to HKEX**

Welcome, ub 30-Nov-2018 T1 17°

ist Login: 30-Nov-2018 14:01 HKT

Tasks Notifications Events History

YOUR NOTIFICATIONS (7) View All

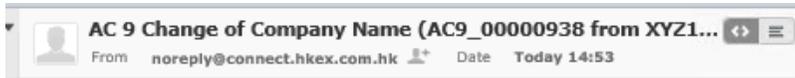
eServices
AC9_00000938 is Ready to Send to HKEX
30-Nov-2018 14:53 HKT Mark as read

5

Maker receives on-screen notification upon submission

eSERVICE EXAMPLE ILLUSTRATION

- STEP 3: CHECKER APPROVES THE REQUEST



HKEX Client Connect

For action: the eService is Ready to Send to HKEX

Reference Number	AC9_00000938
Workflow Status	Ready to Send to HKEX
Notification Type	For action
Just Processed By	ub, xyz XYZ123
Require action from	Checker of xyz XYZ123

To view the record, please visit the HKEX Client Connect website and search the Reference Number AC9_00000938

6

Checker receives email / on-screen notification containing the request reference number

Search Result (1)

ac9_00000938

AC9_00000938 AC 9 Change of Company Name eService

Last update: 30-Nov-2018 14:53 HKT

7

Checker can locate the request by searching the reference number

8

Checker has to **CLAIM** the request before approving



AC 9 CHANGE OF COMPANY NAME

Reference Number: AC9_00000938

Status: 14:53 30-Nov-2018 HKT Ready to Send to HKEX | Collapse

COMPANY INFORMATION



eSERVICE EXAMPLE ILLUSTRATION

- **STEP 3: CHECKER APPROVES THE REQUEST** (cont'd)

9

Checker clicks **CONFIRM** to approve the request

Home /

REVERT REFER TO SAVE **CONFIRM** RELEASE

Claimed by uc xyz on 30 Nov 2018 03:10 HKT

AC 9 CHANGE OF COMPANY NAME

Reference Number: AC9_00000938 Status: 14:53 30-Nov-2018 HKT Ready to Send to HKEX | Collapse

10

Once approved, status becomes **Sent to HKEX**

RECLAIM

AC 9 CHANGE OF COMPANY NAME

Reference Number: AC9_00000938 Status: 15:38 30-Nov-2018 HKT **Sent to HKEX** | Expand

COMPANY INFORMATION -



eSERVICE EXAMPLE ILLUSTRATION

- **STEP 4: HKEX APPROVES THE REQUEST**

Reference Number: AC9_00000938

AC 9 CHANGE OF COMPANY NAME

CLONE PDF

From xyz

As HKSCC Participant (XYZ)

Full progress can be traced with names and companies who took action. Names will only be available to individuals of the same company

Status: 23:04 30-Nov-2018 HKT **Completed** Expand

- 23:04 30-Nov-2018: Completed by HKEX
- 22:58 30-Nov-2018: Approved by HKEX
- 22:50 30-Nov-2018: Sent to HKEX by uc xyz, xyz
- 22:35 30-Nov-2018: Ready to Send to HKEX by ub xyz, xyz
- 22:27 30-Nov-2018: Returned to Submitter by HKEX
- 15:38 30-Nov-2018: Sent to HKEX by uc xyz, xyz
- 15:23 30-Nov-2018: Ready to Send to HKEX by ub xyz, xyz

PDF of full audit trail becomes available for download when completed

Status becomes **Completed** after submitting necessary certified true copies of the documents at final step. (or **Approved**, depends on cases)

eService Archive

1. Generally speaking, Client Connect will archive all records up to 13 months
2. Completed tasks are kept in Task tab for 1 day and available in History tab for 13 months
3. Read/Unread notifications are stored for 30 days (only unread notifications in past 3 days in the icon are shown)



eSERVICE SPECIAL WORKFLOW

- CLAIM/ RELEASE/ TAKE UP

Home /

Checker has to **CLAIM** a request before approving it. Under maker-checker setup, a checker **CANNOT CLAIM** a request if he/she is the maker of the request.*

CLONE **CLAIM**

AC 9 CHANGE OF COMPANY NAME

Reference Number: AC9_00000938 Status: 14:53 30-Nov-2018 HKT Ready to Send to HKEX | Expand

COMPANY INFORMATION

SAVE **CONFIRM** **RELEASE**

10:18 HKT Ready to Send to HKEX | Expand

TAKE UP

Status: 15:38 30-Nov-2018 HKT Sent to HKEX | Expand



Flexible holiday/out of office coverage:

If a user is unable to process a request he/she claimed, the user can **RELEASE** it for other users to claim.

If the same user is unable to access Client Connect to **RELEASE**, another user with the same Identity, Function ID & Role Type can **TAKE UP** the request for further processing



*Maker has to CLAIM a submitted request for further processing if it was reverted/returned

eSERVICE SPECIAL WORKFLOW

- REVERT/ RETURN A REQUEST

REVERT : Checker sends request back to maker of the same company



Participant maker



Participant checker

Applicable to workflow types 1,2,3

Home / Claimed by uc.xyz on 30 Nov 2018 03:10 HKT

REVERT At the approval screen, checker can **REVERT** the request back to maker **SAVE** **CONFIRM** **RELEASE**

AC 9 CHANGE OF

Reference Number: AC9_00000938 Status: 14:53 30-Nov-2018 HKT **Ready to Send to HKEX** | Collapse

COMPANY INFORMATION

1018 HKT **Returned to Submitter** | Expand

Once reverted, status becomes

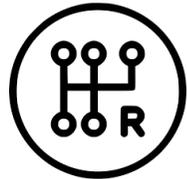
- **Returned to Submitter**



eSERVICE SPECIAL WORKFLOW

- REVERT/RETURN A REQUEST (cont'd)

RETURN: Sends request back to maker of previous maker/checker pair



Participant (CP/EP)

HKEX

Participant (CP)

HKEX

Participant

Participant (EP)

Applicable to workflow types 1,2,3
(For returning to EP – workflow 3 only)

Applicable to workflow type 2

Applicable to workflow type 3

If the request is returned, status becomes

- Previous status or
- **Returned to Submitter** or
- **Returned to HKEX** or
- **Returned to CP**

(varies with eServices)

AC 9 CHANGE OF CO

Reference Number: AC9_00000938

Status: 15:18 30-Nov-2018 HKT **Returned to Submitter** | Expand

COMPANY INFORMATION



eSERVICE SPECIAL WORKFLOW

- REFER A REQUEST



Absence coverage/Extra checking:

A checker can **Refer** the request to another checker to approve if he/she not available; This can also be used as an extra layer of checking if needed.

HKEX CLIENT CONNECT: PLEASE CONFIRM TO PROCEED

REFER TO

UC_S

UB

UC_S

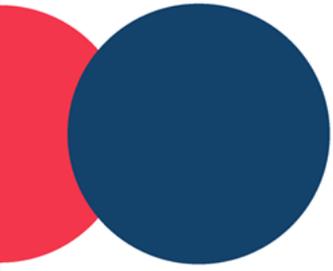
CANCEL

CONFIRM

When referring, only checker(s) with the same Identity, Function ID & Role Type are available to choose from

Once confirmed, new checker will receive notification on the referral





PART 4: OTHER FEATURES

ELECTRONIC ACTIVITY ENROLMENT

1. Users can view upcoming events (e.g. Seminars & workshops) in the 'Events' tab on dashboard
2. Users can directly register and view enrolment status through Client Connect

The screenshot displays the HKEX Client Connect dashboard. On the left is a dark blue sidebar with the HKEX logo and navigation options: e-Service, POST-TRADE, Support, eSERVICES REPORTING, and SUBMISSION & DOWNLOAD. The main content area is titled 'Welcome, ub' and shows the date '05-Dec-2018' and weather 'T1 17°'. Below this are tabs for 'Tasks', 'Notifications', 'Events', and 'History'. The 'Events' tab is active, showing two events:

- 03 DECEMBER 2018**
Hotline Testing - Course 9
Hotline Testing UAT
When: 03-Dec-2018 09:00 To 03-Dec-2018 13:00
Where: Sheung Wan Hotline Centre Room 1
- 30 NOVEMBER 2018**
Hotline Testing Training - Course 103
Hotline Testing UAT
When: 30-Nov-2018 14:00 To 30-Nov-2018 18:00
Where: North Point Hotline Centre Room 4

To the right is the 'HKEX CALENDAR' for November 2018. The calendar shows dates from 28th to 3rd, with small calendar icons indicating events on 2nd, 19th, 20th, 21st, 28th, 29th, and 30th.

Notes:

- Registration of events will be 'by company' basis, e.g. if there is a restriction on the total number of registrants per company, registrants of the same company exceeding the limit will be waitlisted
- If the same event is hosted on different dates, separate events will be created on each date for registration

INFORMATION CORNERS

WHAT'S ON

Events Projects **Focus**

 Charles Li Direct

 Stock Connect

 Using Derivatives

 HKEX News

What's On:

- Shows the latest focus of HKEX
- Provides updates on projects status

RESOURCE AREA

Infrastructure

PFMI

- [HKSCC](#)
- [HKCC](#)
- [SEOCH](#)
- [OTC Clear](#)

Rules

Resource Area – Documents will be migrated to Client Connect:

- Technical information (e.g. Terminal User Guide)
- Business documents (e.g. PFMI and Rules for different Clearing Houses)

Infrastructural related documents currently on HKEX market website will be ultimately migrated to Client Connect for Participants' direct access.

REPOSITORY

1. Certain forms may not be feasible to be digitized due to its nature e.g. Stock Deposit Form
2. eServices will be migrated in Release 2

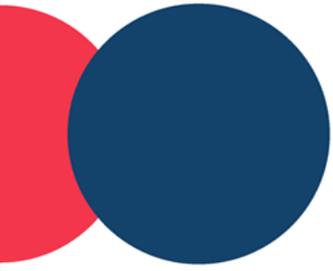
The screenshot shows the HKEX e-Service portal interface. The header includes the HKEX logo, user information (Welcome, ub), and the date (05-Dec-2018). The main content area is titled 'Settlement & Depository' and contains a table of forms. The table has columns for Classification, Id, Function, Format, and Reference. The forms are categorized into 'Buy-in' and 'Service Request NB'. The 'Buy-in' forms are in 'eService' format, while the 'Service Request NB' forms are in 'PDF' format. A dashed blue box highlights the 'Buy-in' forms, and a solid blue box highlights the 'Service Request NB' forms. A yellow box at the bottom left points to the 'Buy-in' forms, and a yellow box at the bottom right points to the 'Service Request NB' forms.

Classification	Id	Function	Format	Reference
Buy-in	Set 1	Application to HKSCC for Exemption of Buy-in	eService	
Buy-in	Set 2	Early Buy-in Request to HKSCC	eService	
Buy-in	Set 4	Buy-in Request to HKSCC for CCASS Isolated Trades only	eService	
Service Request NB	CCASS-Form 70	Adjustment Request form for Sellable Balance due to Outstanding Positions in China Connect Securities	PDF	
Service Request NB	CCASS-Form 89	Early Release of Securities-on-hold Application Form	PDF	
Service Request NB	CCASS-Form 90	Placing / Cancellation of Standing Instruction in connection with Collateral Provided for the Early Release of Securities-on-hold	PDF	

Digitized forms in eService format

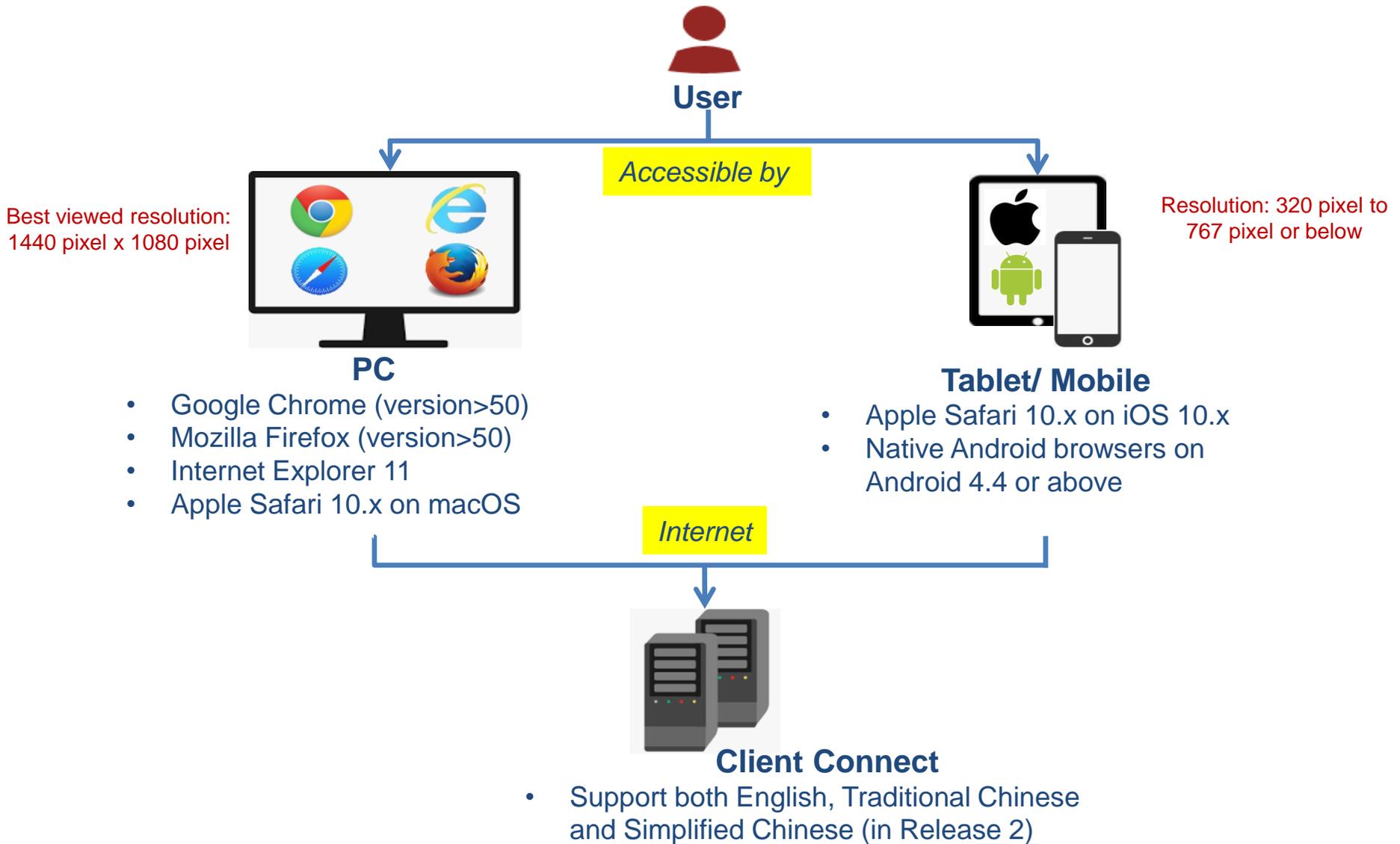
Physical forms in PDF format





PART 5: SETTING

CLIENT CONNECT SETTING



MOBILE VIEW

Mobile login

HKEX
香港交易所

WELCOME TO HKEX CLIENT CONNECT

User Login

User ID/Email

Password

Once you have logged onto this website, you will be deemed to have read and accepted our [Terms and Conditions](#) (last updated on 15-Jun-2018).

LOG IN

[Forgot/Reset your password? >](#)

HKEX
香港交易所

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View dashboard

HKEX
香港交易所

Welcome, ab 05-Dec-2018
17°

Last Login: 04-Dec-2018 19:50 HKT

Tasks **Notifications** Events

History

EventID_000158 is opened for registration
Events | 12:02 | 04-Dec-2018

EventID_000158 is opened for registration
Events | 12:02 | 04-Dec-2018

EventID_000158 is opened for registration
Events | 12:02 | 04-Dec-2018

[View all notifications >](#)

HKEX CALENDAR

< DECEMBER 2018 >

Sun	Mon	Tue	Wed	Thu	Fri	Sat
25	26	27	28	29	30	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15

Approve eService

HKEX
香港交易所

Home / Participantship Management /

CONFIRM **RELEASE**

Reference Number: AC11_00000960
Status: Ready to Send to HKEX
23:32 30-Nov-2018 HKT

AC 11 CHANGE OF AUTHORISED SIGNATORIES

COMPANY INFORMATION

From
xyz
As
HKSCC Participant (XYZ123)

DETAILS OF CHANGES

Type of Change
New List of Authorised Signatories

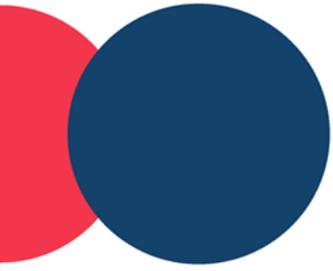
NO.1

Full Name
abc

Signing Group
abc

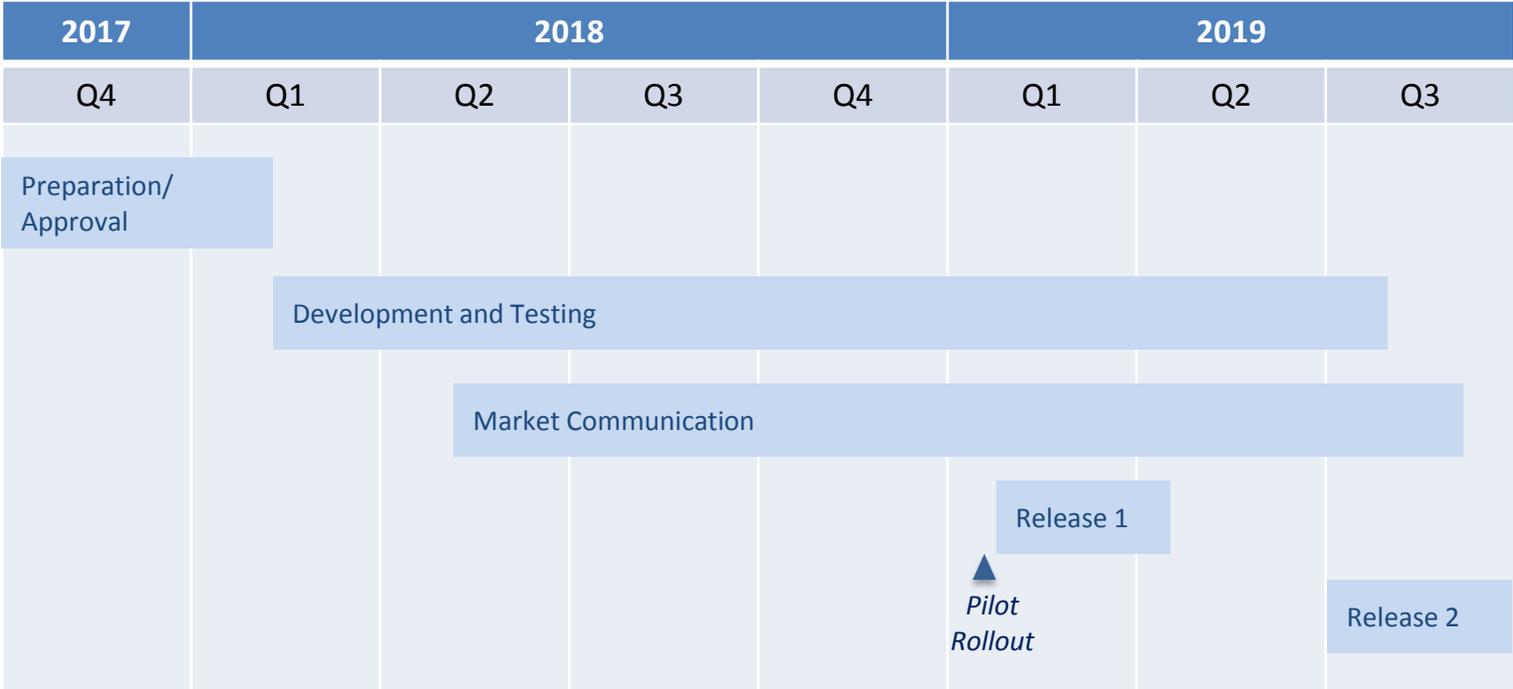
If using mobile view, recommended for Checker role





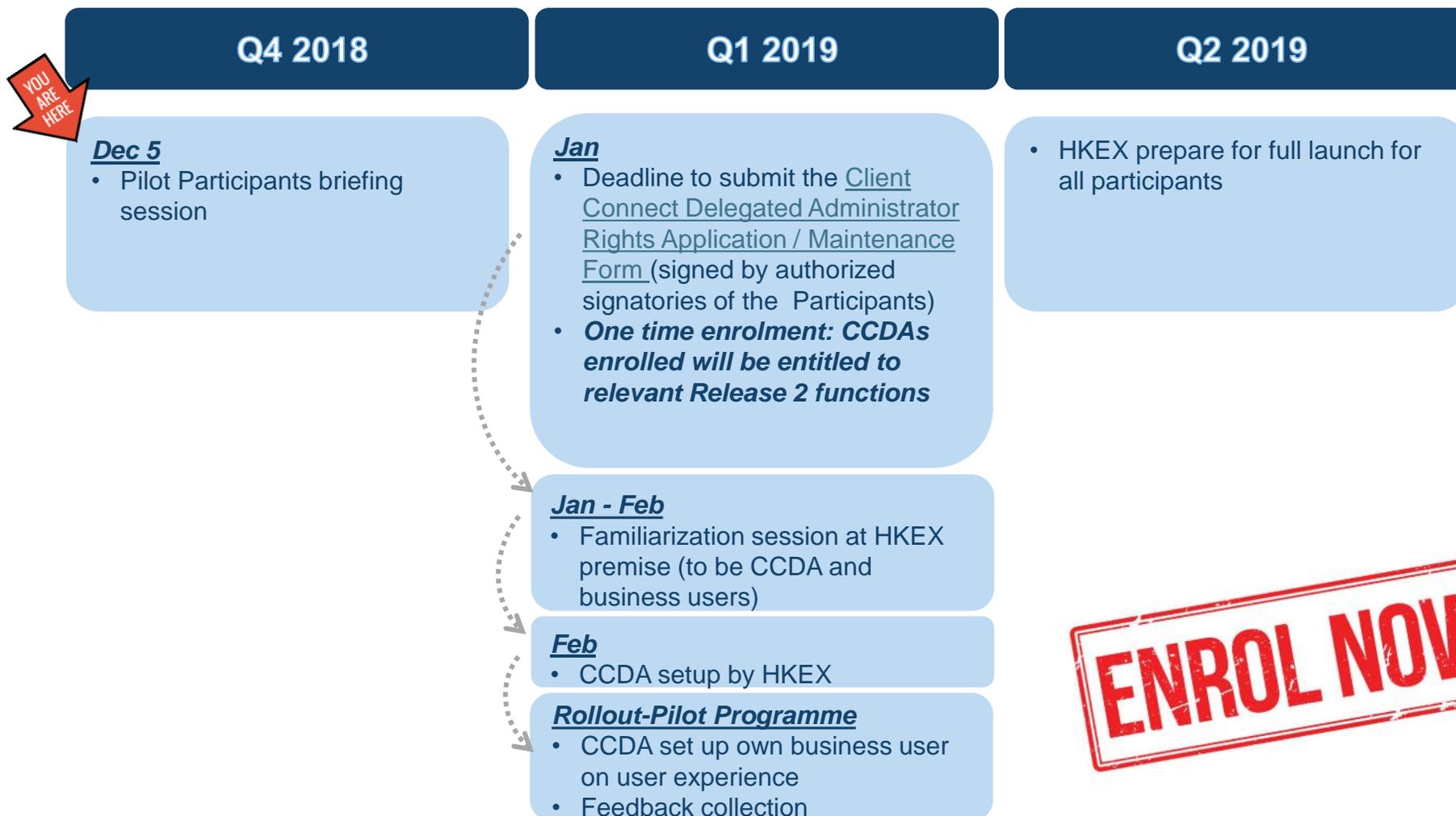
PART 6: IMPLEMENTATION

PROPOSED IMPLEMENTATION TIMELINE



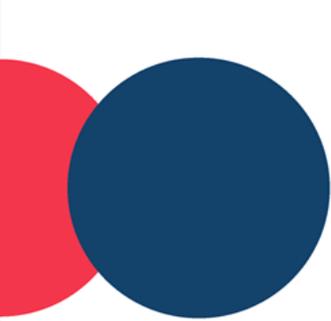
TENTATIVE TIMELINE OF UPCOMING EVENTS

- RELEASE 1



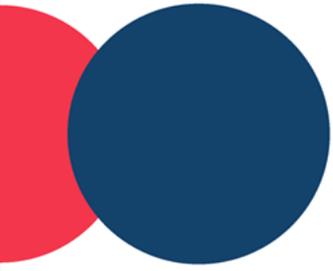
ENROL NOW!





THANK YOU FOR JOINING THE PILOT PROGRAMME

Contact us at ClientConnect@hkex.com.hk for questions



APPENDIX

APPENDIX I – PASSWORD POLICY

01

Length

- 8-15 Characters

02

Composition

- At least 1 upper case letter
- At least 1 lower case letter
- At least 1 numeric digit
- At least 1 special character from !, @, #, \$, %, ^, &, *, (and)

03

Setting

- Change at least every 90 days
- New password cannot be the same as any of the last 5 passwords



APPENDIX II – SCOPE OF RELEASE 1

Category	Clearing House	#	eService ID	eService	Existing forms
Settlement and Depository	HKSCC	1	Set 1	Application to HKSCC for Exemption of Buy-in	Application Form for Exemption of Buy-in Application Form for Exemption of Buy-in (China Connect Securities)
		2	Set 2	Early Buy-in Request to HKSCC	Early Buy-in Request Form
		3	Set 3	Request for Special Buy-In	Buy-in Reporting Slip Request Letter for Exemption of Special Buy-in
		4	Set 4	Buy-in Request to HKSCC for CCASS Isolated Trades only	Buy-in Request Form (for CCASS Isolated Trades only) Withdrawal of Buy-in Request Form (for CCASS Isolated Trades only)
Membership Management	HKSCC	5	AC 6	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	Special Segregated Account and Designated Executing Broker Maintenance Form
		6	AC 9	Change of Company Name	Change of Company Name Form
		7	AC 14	Stock Segregated Account - Without Statement Maintenance Request to HKSCC	Stock Segregated Account Maintenance Form – Without Statement
	HKCC /SEOCH	8	AC 1	DCASS Account Maintenance Request to HKCC/SEOCH	DCASS Account Maintenance Form (HKCC) Maintenance of OBEP Individual Client Account Form
		9	AC 3	Selected Currency Designation Request to HKCC/SEOCH	Selected Currency Designation Form
		10	AC 4	CCMS Collateral Account Designation for Marks, Margin and Concentration Collateral Collection by SEOCH	CCMS Collateral Account Designation Form for Marks, Margin and Concentration Collateral Collection by SEOCH

APPENDIX II – SCOPE OF RELEASE 1 (Cont'd)

Category	Clearing House	#	eService ID	eService	Existing forms
Membership Management (Cont')	HKSCC /HKCC /SEOCH	11	AC 11	Change of Authorised Signatories	Change of Authorised Signatories Form
		12	AC 12	Update Bank Account	Additional/ Change of HKD Designated Bank Account Form
					Change of USD Designated Bank Account Form
					Change of RMB Designated Bank Account Form
					Setup of USD Designated Bank Account Form
					Setup of RMB Designated Bank Account Form
					Change of Designated/Settlement Bank Account Form
		13	AC 13	Change of Company Particulars and Contact Persons	Change of Account Information Form Change of CCMS / DCASS Contact Persons Form
14	SCard 1	Smartcard Maintenance for User and DA	User Profile for Delegated Administrator (DA)		
			Smartcard Request Form for CCASS/CCMS User		
Technical setup	HKCC /SEOCH	15	SCard 3	Order Smartcard Reader(s)	Report Loss of Smartcard Order Form for Smartcard Reader(s)
		16	TechS 4	Request to HKCC/SEOCH for accessing DCASS OAPI Testing Environment	Request Form for accessing DCASS OAPI Testing Environment
					17
18	TechS 6	CCASS/CCMS SDNet Line Service Notification	CCASS/CCMS SDNet Line Service Notification Form for HKSCC/HKCC/SEOCH Participants/HKSCC Designated Banks		
Event	Common	19	Event ID	Activity Enrolment	N/A
File Transmission	HKSCC	20	UD	Submission and Download	N/A



APPENDIX II – PROPOSED SCOPE OF RELEASE 2

Category	Clearing House	#	eService ID	eService	Existing forms
Settlement and Depository	HKSCC	1	Set 5	Authorization to HKSCC from the short clearing participant for debiting their stock entitlement account	Authorization Letter from the short clearing participant for debiting their stock entitlement account
		2	Nom 1	Dividend Bonus Claim Submission to HKSCC	Dividend/Bonus Claim Letter
		3	Nom 3	Corporate Communication Request to HKSCC	Corporate Communications Mailing Address Label Data File transmitted from HKSCC to share registrars
		4	Dep 1	Application to HKSCC for Withdrawal Fee Concession	Application for Withdrawal Fee Concession (Condition 1) - Sample Application Letters Application for Withdrawal Fee Concession (Condition 2) - Sample Application Letters
		5	Dep 2	Application to HKSCC for Scrip Fee Concession	Application for Scrip Fee Concession - Sample Application Letter from Transferee Application for Scrip Fee Concession - Sample Application Letter from Transferor Application for Scrip Fee Concession - Sample Application Letter from Client
		6	Dep 3	Transfer Instruction (CMU) to HKSCC	Transfer Instruction Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Receive "Delivery Versus Payment" Instruction Transfer Instruction Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Receive "Free of Payment" Instruction Transfer Instruction Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Deliver "Delivery Versus Payment" Instruction Transfer Instruction Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Deliver "Free of Payment" Instruction Transfer Instruction Cancellation Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Cancel Receive "Delivery Versus Payment" Instruction Transfer Instruction Cancellation Form - Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments - Cancel Receive "Free of Payment" Instruction

APPENDIX II – PROPOSED SCOPE OF RELEASE 2 (Cont'd)

Category	Clearing House	#	eService ID	eService	Existing forms
Settlement and Depository (Cont'd)	HKSCC	7	Dep 4	Foreign Securities Withdrawal Instruction to HKSCC	Foreign Securities Withdrawal Form
		8	Dep 5	Cross-border Transfer Instruction (Foreign Securities) to HKSCC	Cross-border Transfer Instruction Form: Foreign Securities - "Deliver Free of Payment" Instruction
					Cross-border Transfer Instruction Form: Foreign Securities - "Receive Free of Payment" Instruction
					Cross-border Transfer Instruction Form: Foreign Securities - Cancel "Receive Free of Payment" Instruction
		9	Dep 6	Transfer Instruction to HKSCC (for delisted stock)	Per written application
		10	ETPSA1	ETP Book-entry Deposit Request to HKSCC/HKCAS (for PD/PD Agent); ETP Unit/Share Creation Confirmation to HKSCC/HKCAS (for Registrar)	Book-entry Deposit and Credit Authorisation Form
					Unit Creation Confirmation Letter
		11	ETPSA2	ETP Book-entry Withdrawal Request to HKSCC/HKCAS (for PD/PD Agent)	Book-entry Withdrawal and Debit Authorisation Form Debit Confirmation Form and Cancellation of Units Instruction Letter
12	ETPRC	ETP Daily Reconciliation to HKSCC/HKCAS (with Registrar)	ETP - Letter of Daily Reconciliation (with Registrar)		
Membership Management	HKSCC	13	AC 5	Stock Account Mapping Maintenance to HKSCC for the Use of Shanghai and Shenzhen Stock Connect	Stock Account Mapping Maintenance Form for the Use of Shanghai and Shenzhen Stock Connect
		14	AC 15	Standing Instruction to HKSCC for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CPI	Standing Instruction for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CHATS Payment Instruction (CPI)
	HKCC /SEOCH	15	AC 2	DCASS User Account Maintenance Request to HKCC/SEOCH	DCASS User Account Maintenance Form Application Form for DCASS/CCMS Terminal
		16	AC 7	Notification to HKCC of Execution of physical Delivery Agent Agreement	Notification of Execution of Physical Delivery Agent for Physically Settled Metal Futures Contract - HKCC
		17	AC 8	Depository Account Notice to HKCC	Depository Account Maintenance Notice for Physically Settled Metal Futures Contract - HKCC
		18	AC 10	Notification to HKCC of Termination of Physical Delivery Agent Agreement	Notification of Termination of Physical Delivery Agent for Physically Settled Metal Futures Contract - HKCC

APPENDIX II – PROPOSED SCOPE OF RELEASE 2 (Cont'd)

Category	Clearing House	#	eService ID	eService	Existing forms
Membership Management (Cont')	SEHK /HKSCC	19	PAM 1	CCEP/CCCP Application for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect	Registration for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect
					Confirmation of Readiness for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect
					Undertaking for the Use of Shanghai-Hong Kong Stock Connect
					Undertaking for the Use of Shenzhen-Hong Kong Stock Connect
	HKSCC /HKCC /SEOCH	20	SCard 2	Smartcard Maintenance for user (PG or Special Request) *	Smartcard User Profile List
		21	RR 1	Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files	Report Reprint Request Form
Request for Retrieving DCASS/CCMS Reports and Data Files Form					
Technical setup	HKCC /SEOCH	22	TechS 1	DCASS/OAPI Connectivity Test Confirmation Request to HKCC / SEOCH	DCASS Server and/or DCASS OAPI Connectivity Test Confirmation
		23	TechS 2	DCASS OAPI Certification Test Application/Confirmation Request to HKCC/SEOCH	DCASS OAPI Certification Test Application/Confirmation Form
		24	TechS 3	DCASS OAPI Program Readiness Declaration Request to HKCC/SEOCH	DCASS OAPI Program Readiness Declaration Form
	HKSCC	25	TechS 7	PG Acquisition Confirmation Reply to HKSCC	PG Acquisition Confirmation Reply and Explanatory Notes

APPENDIX III - eSERVICE WORKFLOW TYPES AND STATUSES - SUMMARY

Status (in alphabetical order)	Workflow Type	Description
Aborted	1, 2, 3	The request is cancelled by HKEX
Approved	1, 2, 3	The request is approved by HKEX
Completed	1, 2	The request is executed by HKEX
Discarded	1, 3	The drafted request is discarded
Draft	1, 3	The request is saved as draft
Ready to Send to EP	3	The maker has passed the request to checker (in workflow type 3)
Ready to Send to HKEX	1, 2	The maker has passed the request to checker (in workflow type 1 and 2)
Rejected	1, 2, 3	The request is rejected by HKEX
Returned to CP	3	The request is returned by EP or HKEX to the CP (in workflow type 3)
Returned to HKEX	2	The request is returned to HKEX by Participant (in workflow type 2)
Returned to Submitter	1	The request is returned to Participant by HKEX (in workflow type 1)
Sent to EP	3	The request is sent to the EP by the CP
Sent to HKEX	1, 2	The request is sent to HKEX
Sent to HKEX-Clearing	3	The request is sent to the HKEX (Clearing team)
Sent to HKEX-Trading	3	The request is sent to the HKEX (Trading team)
Sent to Requestee	2	The request sent to the Participant by HKEX (in workflow type 2)
Withdrawn	1, 2, 3	The request is withdrawn by the Participant

APPENDIX IV – TENTATIVE LIST OF USER ROLES

Function ID	Descriptions	Maker	Checker
Functions for CCDA			
EA_UserAdmin	For user profile maintenance (e.g. add / edit / update / unlock users)	✓	✓
EA_SecuritiesClearing	Role assignment of HKSCC Participant Functions	✓	✓
EA_DerivativesClearing	Role assignment of Derivatives Clearing Functions	✓	✓
EA_HKSCCDB	Role assignment of Designated Bank Functions	✓	✓
EA_HKSCCCAP	Role assignment of Clearing Agency Participants	✓	✓
EA_DNS	Role assignment of DNS Functions	✓	✓
EA_ETF	Role assignment of ETF Stakeholder Functions	✓	✓
EA_Registrar	Role assignment of Registrar Functions	✓	✓
EA_SecuritiesTrading	Role assignment of Securities Trading Functions	✓	✓
EA_HKCCDepository	Role assignment of HKCC Approved Depository Functions	✓	✓
EA_SystemVendor	Role assignment of System Vendor Functions	✓	✓
EA_SettlementAgent	Role assignment of Settlement Agent Functions (for non-CP Settlement Agent)	✓	✓
EU_UserMaintenance	Services related to user maintenance	✓	✓

Function ID	Descriptions	Maker	Checker	Viewer
Functions for Business User				
EU_CompanyAdministration	Services related to company administration	✓	✓	✓
EU_AccountMaintenance	Services related to account maintenance	✓	✓	✓
EU_DerivativesClearing	Derivatives Clearing services for Participants	✓	✓	✓
EU_SecuritiesSettlement	Securities Settlement services for Participants	✓	✓	✓
EU_TechnicalSetup	Services related to technical setup	✓	✓	✓
EU_CommonNomineeService	Common Nominee Services for Participants	✓	✓	✓
EU_Depository	Depository services for Participants	✓	✓	✓
EU_Registrar	Services for Share Registrars	✓	✓	✓
EU_ETF	Services for ETF Stakeholders	✓	✓	✓
EU_SecuritiesTrading	Services for SEHK Participants	✓	✗	✓
EU_SystemVendor	Services for System vendors	✓	✓	✓
EU_HKCCDepository	Services for HKCC Approved Depository	✓	✓	✓



APPENDIX IV – TENTATIVE LIST OF USER ROLES MAPPING

CCDA rights	Managed Business rights	HKSCC	Designated Bank	HKCC	SEOCH	SEHK
EA_UserAdmin *		✓	✓	✓	✓	✓
EA_SecuritiesClearing	EU_CompanyAdministration	✓	✗	✗	✗	✗
	EU_AccountMaintenance	✓	✗	✗	✗	✗
	EU_SecuritiesSettlement	✓	✗	✗	✗	✗
	EU_TechnicalSetup	✓	✗	✗	✗	✗
EA_DerivativesClearing	EU_CompanyAdministration	✗	✗	✓	✓	✗
	EU_AccountMaintenance	✗	✗	✓	✓	✗
	EU_DerivativesClearing	✗	✗	✓	✓	✗
	EU_TechnicalSetup	✗	✗	✓	✓	✗
EA_HKSCCDB	EU_CompanyAdministration	✗	✓	✗	✗	✗
	EU_TechnicalSetup	✗	✓	✗	✗	✗
EA_DNS	EU_CommonNomineeService	✓	✗	✗	✗	✗
	EU_Depository	✓	✗	✗	✗	✗
EA_SecuritiesTrading	EU_SecuritiesTrading	✗	✗	✗	✗	✓

* CCDA can manage users of multiple Participantships under the same company

APPENDIX IV – TENTATIVE LIST OF FUNCTION ID MAPPING WITH eSERVICE

Business rights	eService ID	eService	HKSCC	Designated Bank	HKCC	SEOCH	SEHK
EU_AccountMaintenance	AC 1	DCASS Account Maintenance Request to HKCC / SEOCH	✗	✗	✓	✓	✗
	AC 3	Selected Currency Designation Request to HKCC / SEOCH	✗	✗	✓	✓	✗
	AC 4	CCMS Collateral Account Designation for Marks, Margin and Concentration Collateral Collection by SEOCH	✗	✗	✗	✓	✗
	AC 5	Stock Account Mapping Maintenance for the Use of Shanghai and Shenzhen Stock Connect	✓	✗	✗	✗	✗
	AC 6	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	✓	✗	✗	✗	✗
	AC 8	Depository Account Notice to HKCC	✗	✗	✓	✗	✗
	AC 12	Update Bank Account	✓	✓	✓	✓	✗
	AC 14	Stock Segregated Account - Without Statement Maintenance Request to HKSCC	✓	✓	✗	✗	✗
	AC 15	Standing Instruction to HKSCC for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CPI	✓	✗	✗	✗	✗
EU_CommonNomineeService	NOM 1	Dividend Bonus Claim Submission to HKSCC	✓	✗	✗	✗	✗
	NOM 3	Corporate Communication Request to HKSCC	✓	✗	✗	✗	✗
	UD	Submission and Download	✓	✗	✗	✗	✗
EU_SecuritiesSettlement	Set 1	Application to HKSCC for Exemption of Buy-in	✓	✗	✗	✗	✗
	Set 2	Early Buy-in Request to HKSCC	✓	✗	✗	✗	✗
	Set 3	Request for Special Buy-In	✓	✗	✗	✗	✗
	Set 4	Buy-in Request to HKSCC for CCASS Isolated Trades only	✓	✗	✗	✗	✗
	Set 5	Authorization to HKSCC from the short clearing participant for debiting their stock entitlement account	✓	✗	✗	✗	✗
	UD	Submission and Download	✓	✗	✗	✗	✗



APPENDIX IV – TENTATIVE LIST OF FUNCTION ID MAPPING WITH eSERVICE

Business rights	eService ID	eService	HKSCC	Designated Bank	HKCC	SEOCH	SEHK
EU_CompanyAdministration	AC 7	Notification to HKCC of Execution of physical Delivery Agent Agreement	✗	✗	✓	✗	✗
	AC 9	Change of Company Name	✓	✓	✓	✓	✗
	AC 10	Notification to HKCC of Termination of Physical Delivery Agent Agreement	✗	✗	✓	✗	✗
	AC 11	Change of Authorised Signatories	✓	✓	✓	✓	✗
	AC 13	Change of Company Particulars and Contact Persons	✓	✓	✓	✓	✗
	Event ID	Activity Enrolment	✓	✓	✓	✓	✗
	PAM 1	CCEP and CCCP Application for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect	✓	✗	✗	✗	✗
	RR 1	Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files	✓	✓	✓	✓	✗
EU_TechnicalSetup	TechS 1	DCASS / OAPI Connectivity Test Confirmation Request to HKCC / SEOCH	✗	✗	✓	✓	✗
	TechS 2	DCASS OAPI Certification Test Application / Confirmation Request to HKCC / SEOCH	✗	✗	✓	✓	✗
	TechS 3	DCASS OAPI Program Readiness Declaration Request to HKCC / SEOCH	✗	✗	✓	✓	✗
	TechS 4	Request to HKCC / SEOCH for accessing DCASS OAPI Testing Environment	✗	✗	✓	✓	✗
	TechS 5	DCASS Production / Testing Line Application and/or Change of Bandwidth Notification to HKCC / SEOCH	✗	✗	✓	✓	✗
	TechS 6	CCASS/CCMS SDNet Line Service Notification	✓	✓	✓	✓	✗
	TechS 7	PG Acquisition Confirmation Reply to HKSCC	✓	✓	✗	✗	✗



APPENDIX IV – TENTATIVE LIST OF FUNCTION ID MAPPING WITH eSERVICE

Business rights	eService ID	eService	HKSCC	Designated Bank	HKCC	SEOCH	SEHK
EU_Depository	Dep 1	Application to HKSCC for Withdrawal Fee Concession	✓	✗	✗	✗	✗
	Dep 2	Application to HKSCC for Scrip Fee Concession	✓	✗	✗	✗	✗
	Dep 3	Transfer Instruction (CMU) to HKSCC	✓	✗	✗	✗	✗
	Dep 4	Foreign Securities Withdrawal to HKSCC	✓	✗	✗	✗	✗
	Dep 5	Cross-border Transfer Instruction (Foreign Securities) to HKSCC	✓	✗	✗	✗	✗
	Dep 6	Transfer Instruction to HKSCC (for delisted stock)	✓	✗	✗	✗	✗
	ETPSA1	ETP Book-entry Deposit Request to HKSCC/HKCAS (for PD/PD Agent); ETP Unit/Share Creation Confirmation to HKSCC/HKCAS (for Registrar)	✓	✗	✗	✗	✗
	ETPSA2	ETP Book-entry Withdrawal Request to HKSCC/HKCAS (for PD/PD Agent)	✓	✗	✗	✗	✗
EU_DerivativesClearing	UD	Submission and Download (Access to physical forms only)	✓	✗	✗	✗	✗
			✗	✗	✓	✓	✗
EU_SecuritiesTrading	AC 5	Stock Account Mapping Maintenance for the Use of Shanghai and Shenzhen Stock Connect	✗	✗	✗	✗	✓
	AC 6	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	✗	✗	✗	✗	✓
	Event ID	Activity Enrolment	✗	✗	✗	✗	✓
	PAM 1	CCEP and CCCP Application for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect	✗	✗	✗	✗	✓
EU_UserMaintenance	AC 2	DCASS User Account Maintenance Request to HKCC / SEOCH	✗	✗	✓	✓	✗
	SCard 1	Smartcard Maintenance for User and DA	✓	✓	✓	✓	✗
	SCard 2	Smartcard Maintenance for user (PG or Special Request)	✓	✓	✓	✓	✗
	SCard 3	Order Smartcard Reader(s)	✓	✓	✓	✓	✗



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Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group" for the purposes of this Privacy Policy Statement as appropriate) recognize their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

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Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognized exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");

3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

Other transfers of your personal data

- For one or more of the purposes specified above, your personal data may be:
1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
 2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
 3. other parties as notified to you at the time of collection.



PRIVACY POLICY STATEMENT

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Corporate reorganization

As we continue to develop our business, we may reorganize our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganization.

Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("Privacy Commissioner") which may be found on the official website of the Office of the Privacy Commissioner or via this link

<https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

Contact us

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