



HKEX Client Connect – Familiarization Session

Information Package

Issue Date: 21 Jan 2019

IMPORTANT INFORMATION

The information contained in this document is for general informational purposes only and does not constitute an offer, solicitation or recommendation to buy or sell any securities or to provide any investment advice or service of any kind. This document is not directed at, and is not intended for distribution to or use by, any person or entity in any jurisdiction or country where such distribution or use would be contrary to law or regulation or which would subject Hong Kong Exchanges and Clearing Limited (“**HKEX**”), Hong Kong Securities Clearing Company Limited (“**HKSCC**”), HKFE Clearing Corporation Limited (“**HKCC**”), The SEHK Options Clearing House Limited (“**SEOCH**”) (together, the “Entities”, each an “Entity”), or any of their affiliates, or any of the companies that they operate, to any registration requirement within such jurisdiction or country.

No section or clause in this document may be regarded as creating any obligation on the part of any of the Entities. Rights and obligations with regard to the trading, clearing and settlement of any securities effected on the **HKSCC**, **HKCC** and **SEOCH**, shall depend solely on the applicable rules of the relevant exchanges and clearing houses, as well as the applicable laws, rules and regulations of Hong Kong.

Although the information contained in this document is obtained or compiled from sources believed to be reliable, none of the Entities guarantee the accuracy, validity, timeliness or completeness of the information or data for any particular purpose, and the Entities and the companies that they operate shall not accept any responsibility for, or be liable for, errors, omissions or other inaccuracies in the information or for the consequences thereof. The information set out in this document is provided on an “as is” and “as available” basis and may be amended or changed in the course of implementation of Client Connect. It is not a substitute for professional advice which takes account of your specific circumstances and nothing in this document constitutes legal advice. HKEX and its subsidiaries shall not be responsible or liable for any loss or damage, directly or indirectly, arising from the use of or reliance upon any information provided in this document or the presentation given.

Table of Contents

1. INTRODUCTION	1
2. OBJECTIVE AND SCOPE	1
2.1 OBJECTIVE.....	1
2.2 SCOPE.....	1
3 IMPORTANT NOTES TO PILOT PARTICIPANTS	2
4 ARRANGEMENT.....	2
4.1 SCHEDULE AND TIMETABLE	2
4.2 USER PROFILE SETTING & LOGON PASSWORD	3
4.3 FAMILIARIZATION SESSION ENVIRONMENT.....	3
4.4 FUNCTIONALITIES AVAILABLE DURING FAMILIARIZATION SESSION.....	3
4.4.1 CCDA – USER MAINTENANCE FUNCTIONS.....	3
4.4.2 eSERVICE TO BE SUBMITTED	4
5 HELP DESK	5
APPENDIX A: LOGON TO CLIENT CONNECT	6
APPENDIX B1: DETAILED PROCEDURES ON CLIENT CONNECT FUNCTIONS – CCDA	10
APPENDIX B2: DETAILED PROCEDURES ON CLIENT CONNECT FUNCTIONS – BUSINESS USERS	16
APPENDIX C: CHECKLIST FOR THE FAMILIARIZATION SESSION.....	26

1. INTRODUCTION

The implementation of Client Connect will allow market participants to access HKEX services in a unified and secured web-based platform.

Client Connect digitizes and streamlines existing paper-based service request forms into new eServices, across post-trade related functions in Settlement and Depository, Participantship Management and Technical Setup. eServices are customized based on the user and responsive based on answers to questions, reducing duplication and errors.

The Dashboard provides a consolidated view on outstanding tasks with updated status for tracking. Users can quickly drill down to specific tasks for details and audit history, and perform actions on the tasks. Instant notification and alerting to affected users on changes to task status is available on the Dashboard and email. The Dashboard also provides other key information such as the latest events for enrolment online, the historical task records, quick link to technical document (e.g. Terminal User Guide and Project related updates) and business document (e.g. PFMI and Rules) download, etc.

To improve security and streamline services that involve multiple HKEX legal entities, user accounts are designed in a flexible way to support multiple roles under one user login. Tasks are automatically assigned to appropriate users or groups, with notification and integrated maker/checker mechanism as appropriate. Users' accesses are controlled and administered by Client Connect Delegated Administrators (CCDAs) of their company.

The Pilot rollout of the Client Connect is scheduled for end of Q1 2019, pilot participants are invited to experience Client Connect prior to the market-wide release. This Information Package is designed to guide you through the navigation of Client Connect during the session. Pilot Participants should read this Information Package carefully and complete the session.

2. OBJECTIVE AND SCOPE

2.1 OBJECTIVE

The main focus of organizing this Familiarization Session is for pilot participants to gain hands-on experience in accessing and using Client Connect.

2.2 SCOPE

The Familiarization Session is made up of 3 parts:

- A brief introduction to the background of Client Connect will be given at the beginning of the session, followed by a video demonstrating the general usage of Client Connect, including user log in, locating, submission and approval of an eService (Set 1 – Application Form for Exemption of Buy-in / TechS 6 CCASS/CCMS SDNet Line Service Notification).

- Pilot participants can log in Client Connect using the testing accounts HKEX have setup to locate, submit and approve eServices that are available on the familiarization environment.
- Pilot participants can also experience user maintenance including Business user creation and Business rights assignment. Newly created Business users can also experience first time login to setup password and One Time Password (OTP) through the mobile devices and email accounts supplied by HKEX.

Pilot participants can refer to the appendix A and B for the procedures to use Client Connect. The checklist in appendix C can also be used to indicate if the functions can be performed successfully.

3 IMPORTANT NOTES TO PILOT PARTICIPANTS

Pilot Participants should note the following arrangements of the Familiarization Session:

- a) Pilot participants should read the [briefing materials](#) of the Client Connect on HKEX website before joining the familiarization sessions.
- b) Pilot participants must make use of the Client Connect login user ID and passwords, device and email accounts provided by HKEX to access Client Connect during the Familiarization Session.
- c) The eServices/actions performed during the Familiarization Session are for user experience purpose only. Pilot participants should not use these data for production use.
- d) As there might be more than one Participant assigned in each Familiarization Session, Pilot participants should be mindful on the company data that they intend to use during the Familiarization Session.
- e) Pilot participants should refer to Appendix A and B for the tasks to be performed during the Familiarization Session.
- f) To simulate the live production process, both maker and checker of the Business functions are advised to be present during the Familiarization Session to perform submission and approval of eService. If the maker and checker of CCDAs are present they can also perform the user maintenance functions.
- g) Certain data will be required to be input in the testing environment when using Client Connect, please refer to HKEX's [privacy policy](#).

4 ARRANGEMENT

4.1 SCHEDULE AND TIMETABLE

Time: 16:00 – 18:00

Venue: 30/F, One Exchange Square, 8 Connaught Square, Central, Hong Kong

Each Pilot participant will have its assigned session and it should arrive at the venue on their allocated date to join the session. There may be more than one Participant assigned in each timeslot.

Pilot participants can make use of the available online sessions in two hours to perform CCDA functions and submit e-Services by Business Users based on the devices provided by HKEX. Participants should note that CCDA and Business Users may not be able to access the Client Connect at the same time due to the numbers of devices available during the familiarization session.

4.2 USER PROFILE SETTING & LOGON PASSWORD

Testing accounts have been setup and each pilot participant will be allocated to one testing account which matches its own profile. HKEX have setup 3 CCDA and 3 Business user accounts. Pilot participants can use these accounts to login and explore Client Connect dashboard, as well as submitting and approving eService. A separate sheet of Client Connect Familiarization Session User List containing the Client Connect login user ID and password will be distributed during the session. Please refer to Appendix A on the login arrangement.

Some sample accounts:

Business User	user1@company2A.com
	user2@company2A.com
	user3@company2A.com
CCDA	admin1@company2A.com
	admin2@company2A.com
	admin3@company2A.com

4.3 FAMILIARIZATION SESSION ENVIRONMENT

The Familiarization Session environment will be setup with testing data and accounts. Certain pre-filled eService will also be available for Business users to experience the checker process.

4.4 FUNCTIONALITIES AVAILABLE DURING FAMILIARIZATION SESSION

4.4.1 CCDA – USER MAINTENANCE FUNCTIONS

CCDA can view Access Management dashboard, including the tasks and notifications and maintain business users corresponding to the companies they are able to manage. CCDA will be able to access all EA rights available for eService access on Client Connect but will not be entitled to EU rights to perform Business functions.

Maker:

- View Access Management Dashboard
- Create Business user
- Assign EU rights as shown in the below table to Business users

CCDA rights	Managed Business rights	HKSCC	HKCC	SEOCH
EA_UserAdmin	-	✓	✓	✓
EA_SecuritiesClearing	EU_CompanyAdministration	✓	✗	✗
	EU_AccountMaintenance	✓	✗	✗
	EU_SecuritiesSettlement	✓	✗	✗
	EU_TechnicalSetup	✓	✗	✗
EA_DerivativesClearing	EU_CompanyAdministration	✗	✓	✓
	EU_AccountMaintenance	✗	✓	✓
	EU_DerivativesClearing	✗	✓	✓
	EU_TechnicalSetup	✗	✓	✓
EA_DNS	EU_CommonNomineeService	✓	✗	✗
	EU_Depository	✓	✗	✗

Checker:

- Approve maker's request

Please refer to Appendix B1 for the procedures to access the functions.

4.4.2 eSERVICE TO BE SUBMITTED

Pilot Participants can view Client Connect dashboard, including the tasks and notifications and access all the eServices assigned on the Client Connect. In particular, Business users can access below two eServices:

- TechS 6 - CCASS/CCMS SDNet Line Service Notification:
Pilot participants can process the eService by following the procedures in Appendix B2. HKEX will provide the final step approval to simulate the whole process.
- AC 13 – Change of Company Particulars and Contact Persons:
A request will be pre-submitted by the Business maker for checkers to experience approval of eService. Due to the nature of the eService HKEX will not provide the final approval for this form.

The following e-Service actions will be available for maker and checker:

Role	Functionalities	Description of the Function
Maker	1. Submit eService	Submit a drafted eService request for approval / next step action
	2. Reclaim eService	Retrieve a sent request for further editing at any step
	3. Withdraw eService	Withdraw a submitted eService request before completion.
	4. Clone previously	Create a new request based on an existing

Role	Functionalities	Description of the Function
	submitted eService	request
Checker	5. Claim eService	Take ownership of a submitted request for further action
	6. Revert eService	Revert the request to its maker, editable for re-submission
	7. Refer to another checker	Refer a request to another checker to process
	8. Release claimed eService	Release the ownership of a request so the other eligible users can claim
	9. Confirm submission of eService	Submit an eService request after checking for completion / next step action
	10.Reclaim eService	Retrieve a sent request for further editing at any step

Pilot Participants can refer to the checklist in Appendix C to ensure that the recommended functionalities have been conducted.

5 HELP DESK

For any queries about the preparation for the Familiarization Session, pilot participants can contact the CCASS / DCASS Hotline at 2979-7111 / 2979-7222 or send email to ClientConnect@hkex.com.hk.

APPENDIX A: LOGON TO CLIENT CONNECT

I. First time Login

1. Setup Password

- a) Once a Client Connect account is setup and ready to use, an email notification will be sent to user



HKEX Client Connect

Your account is ready

Dear ub,

Welcome to Client Connect . Your username is ub@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](#).

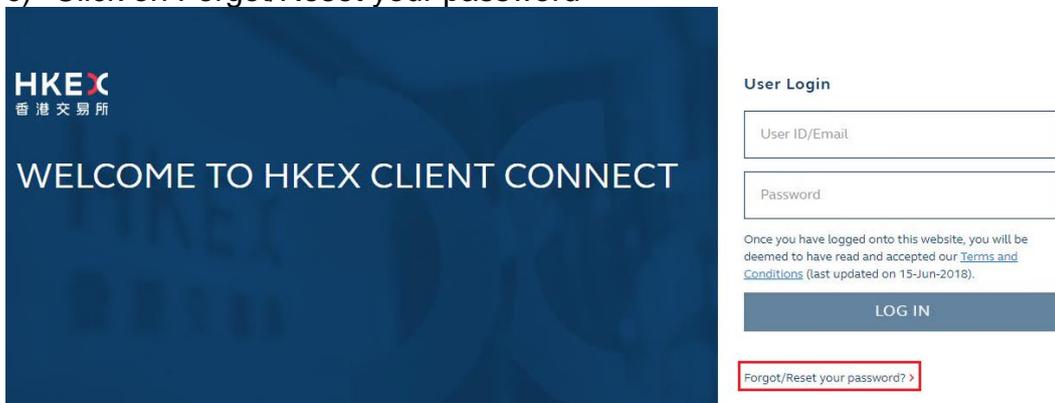
Please do not reply this e-mail as this is system generated.

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

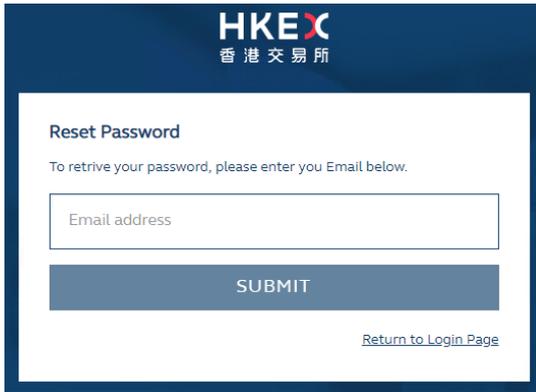
Disclaimer

The information contained in this email is intended only for the use of the individual or entity named above and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this message in error, please immediately notify us and delete the email. Internet communication cannot be guaranteed to be timely, secure, error-free or virus-free. The sender does not accept liability for any errors or omissions. Thank you.

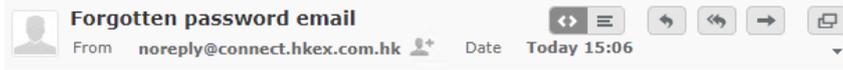
- b) Follow the instructions on the email by going to the Client Connect login page
- c) Click on Forgot/Reset your password



- d) Users will be prompted to enter their email addresses, which is the same as the Client Connect Login User ID.



e) User will then receive an email with a link to reset password



HKEX Client Connect

Dear user,

We have received your request to reset your password. Please follow the below link to complete the process. The link will be effective for 2 hours.

If this reset password is not initiated by you, please delete this email and be alert!

[Reset password](#)

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

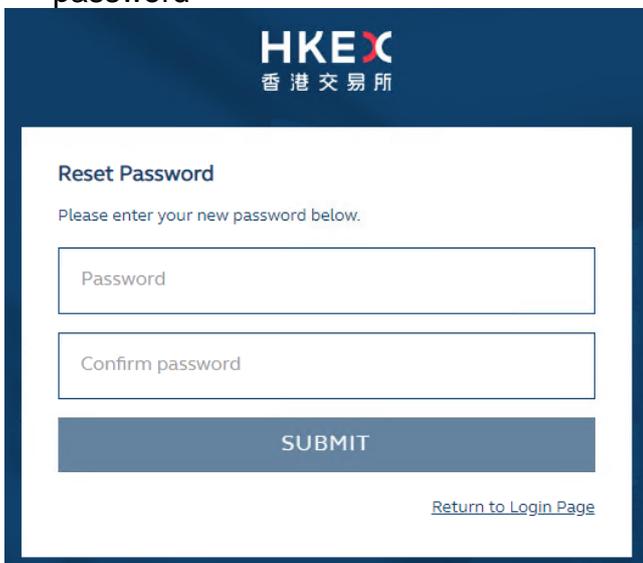
Please do not reply this e-mail as this is system generated.

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

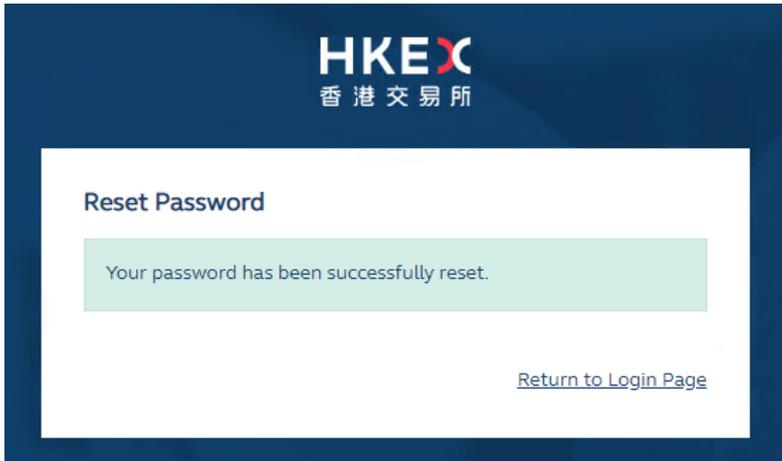
Disclaimer

The information contained in this email is intended only for the use of the individual or entity named above and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this message in error, please immediately notify us and delete the email. Internet communication cannot be guaranteed to be timely, secure, error-free or virus-free. The sender does not accept liability for any errors or omissions. Thank you.

f) The link will direct users back to the Client Connect page to enter a new password



g) Once a new valid password is entered, a message will appear confirming the password has been successfully reset.



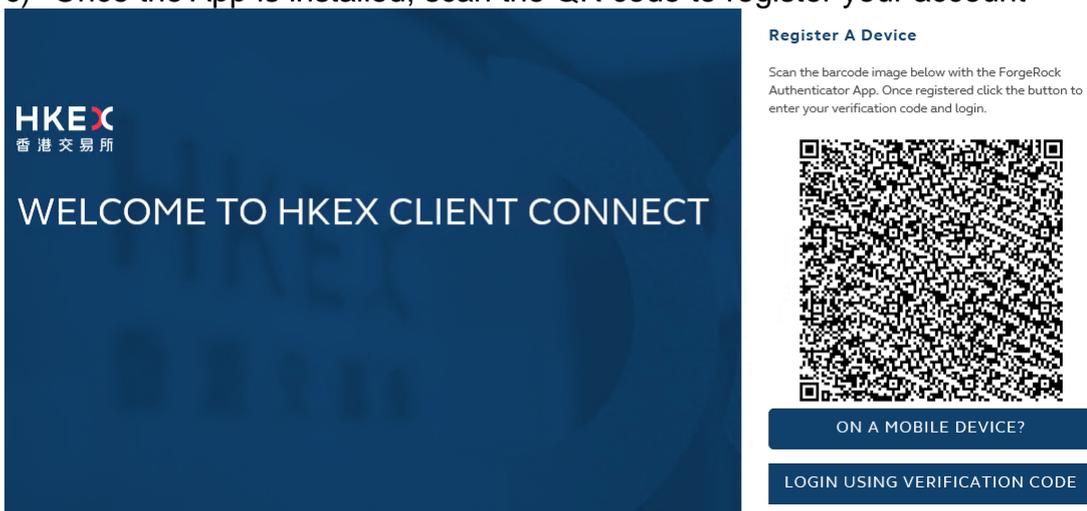
2. Setup OTP channel

After login with their user ID and password, user will be prompted to choose the method of receiving the One Time Password (OTP).

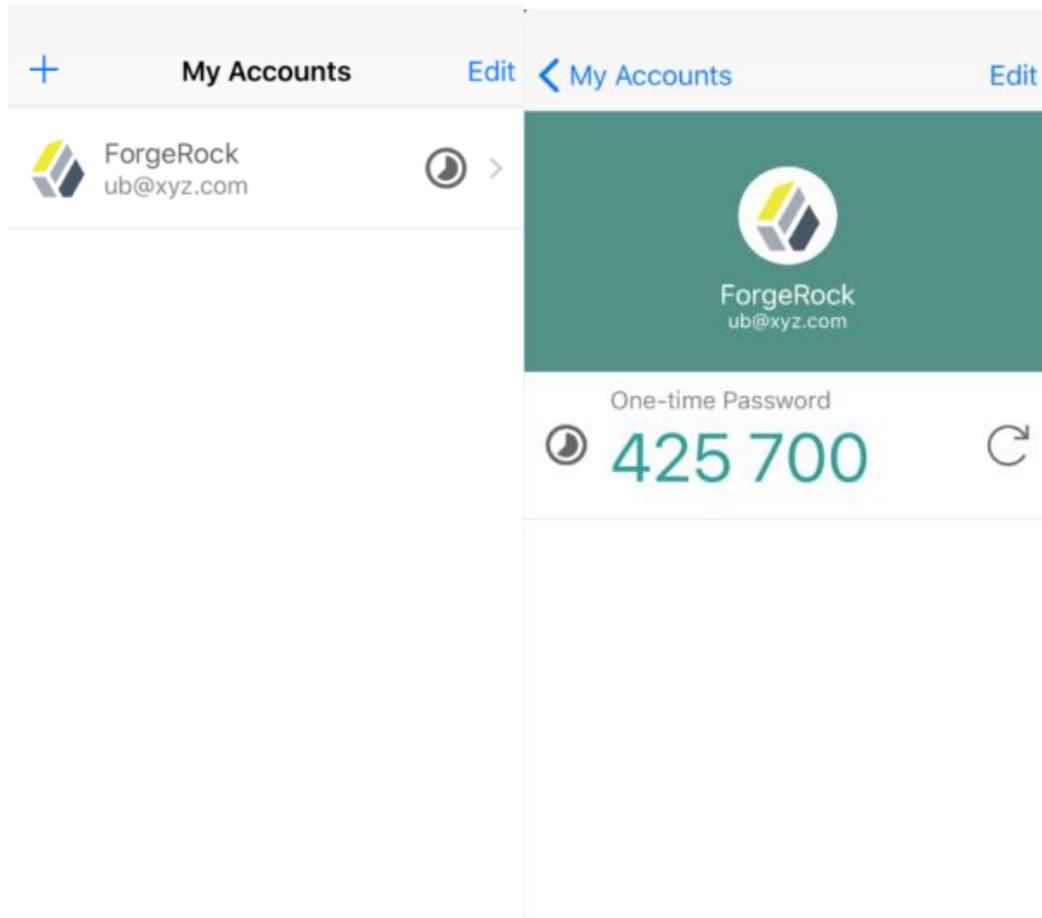


REGISTER DEVICE (Please obtain a mobile device from HKEX staff to register the account)

- This option allows users to register their account on the ForgeRock Authenticator App to generate OTP
- The App can be downloaded from Google Playstore for Android users or Apple iTunes Store for iOS users
- Once the App is installed, scan the QR code to register your account



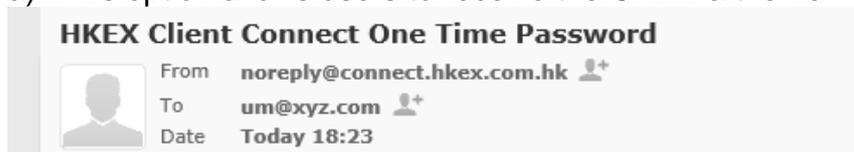
- d) Once registered, users should see the account setup on their mobile device



- e) Click on **LOGIN USING VERIFICATION CODE** to enter the code generated by the app

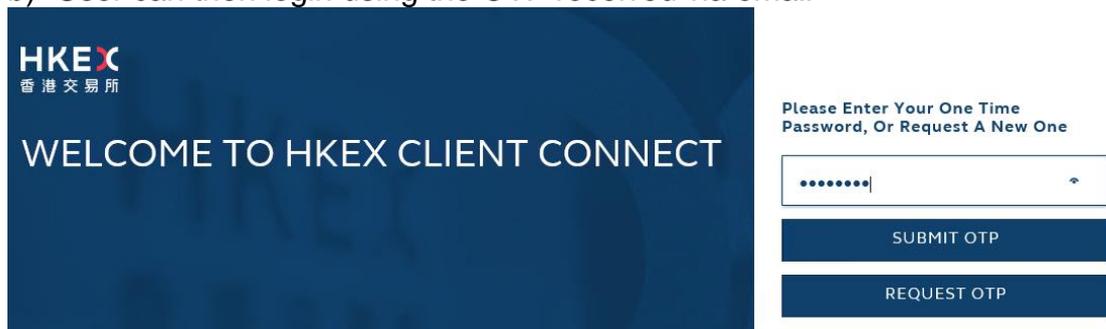
SKIP THIS STEP

- a) This option allows users to receive the OTP via their email address



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

- b) User can then login using the OTP received via email



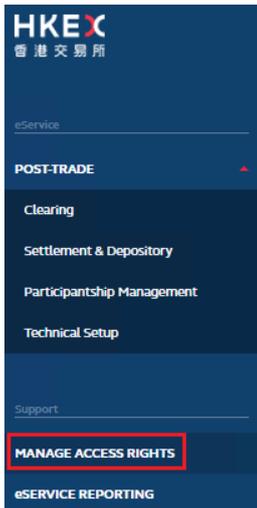
APPENDIX B1: DETAILED PROCEDURES ON CLIENT CONNECT FUNCTIONS – CCDA

MAKER

II. Access

1. View Access Management Dashboard

- a) CCDAs can enter Access Management Dashboard by clicking on **MANAGE ACCESS RIGHTS** on the navigation menu.



- b) The dashboard allows CCDAs to manage users and view company profile.



- c) At the Access Management Dashboard, go to **MANAGE** then click on **USERS**, CCDA can view the list of all users of the company

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 type="checkbox"/> am xyz	External	Admin	xyz	Active	
<input type="checkbox"/> uc xyz	External	Business	xyz	Active	⋮
<input type="checkbox"/> ab xyz	External	Admin	xyz	Active	
<input type="checkbox"/> ub xyz	External	Business	xyz	Active	⋮
<input type="checkbox"/> ac xyz	External	Admin	xyz	Active	

d) At the Access Management Dashboard, go to **MANAGE** then click on **COMPANIES**, CCDA can view the profile the company

The screenshot shows the HKEX Access Management Dashboard. The top navigation bar includes 'DASHBOARD' and 'MANAGE'. Under 'MANAGE', there are sub-menus for 'USERS' and 'COMPANIES', with 'COMPANIES' highlighted with a red box. Below the navigation, the 'Company List' table is visible, showing a single entry for 'xyz' with BIC code 'XYZ001' and status 'Active'.

e) Clicking on the company will bring up the company information with 4 tabs:

Details: Shows the basic information of the company

Company
xyz

Details Company identity Users Admins

BIC Code	XYZ001
Company Name	xyz
Chinese Name	
Internal/ External	External
Status	Active

Company Identity: Shows the Participantship details of the company

Company

xyz

Details	Company identity	Users	Admins
CODE	IDENTITY	STATUS	
XYZ123	HKSCC Participant	Active	

Users: Displays the list of users of the company

Company

xyz

Details	Company identity	Users	Admins
NAME ▾	EMPLOYEE TYPE ▾	STATUS ▾	
ac xyz	Admin	Active	
um xyz	Business	Active	
am xyz	Admin	Active	
ab xyz	Admin	Active	

Admins: Displays the list of CCDAs of the company

Company

xyz

Details	Company identity	Users	Admins	
NAME ▾	INTERNAL/ EXTERNAL ▾	EMPLOYEE TYPE ▾	COMPANY ▾	STATUS ▾
ab xyz	External	Admin	xyz	Active
am xyz	External	Admin	xyz	Active
ac xyz	External	Admin	xyz	Active

III. Account Maintenance

MAKER

1. Create Business users

- a) At the Access Management Dashboard, go to **MANAGE** then click on **USERS**



- b) Click on **+ CREATE USER** to create users by entering the details of the new user.

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 type="checkbox"/> am.xyz	External	Admin	xyz	Active	
<input type="checkbox"/> uc.xyz	External	Business	xyz	Active	⋮
<input type="checkbox"/> ab.xyz	External	Admin	xyz	Active	
<input type="checkbox"/> ub.xyz	External	Business	xyz	Active	⋮
<input type="checkbox"/> ac.xyz	External	Admin	xyz	Active	

- c) Enter the name, email address and other details of the new Business users. Please refer to the [Client Connect Familiarization Session User List](#) for the email address to be used. The email address provided will become the new user's Client Connect Login User ID.

User

Create User

Details	Roles
First Name	<input type="text" value="new"/>
Last Name	<input type="text" value="user"/>
Company	<input type="text" value="xyz x"/>
Title (optional)	<input type="text"/>
Email	<input type="text" value="nu@xyz.com"/>
Team Email (optional)	<input type="text"/>
Contact Number	<input type="text" value="13245678"/>
Employee Type	<input type="checkbox"/> Admin <input checked="" type="checkbox"/> Business
Internal/External	<input type="radio"/> Internal <input checked="" type="radio"/> External
User Status	<input checked="" type="radio"/> Active <input type="radio"/> Inactive

2. Assign EU rights to Business users

- a) There is a built-in validation on the Company field that the CCDA can only enter the company he/she manages. Once a valid Company is entered, the Roles tab will appear based on the Participantship that the CCDA is eligible to manage. This allows the CCDA to assign EU function IDs to the new user. The new user can be assigned as Maker, Checker, both Maker and Checker or Enquiry only. Click **CREATE** afterwards to submit the creation request and this will go through a maker-checker process.

User

Create User

CANCEL

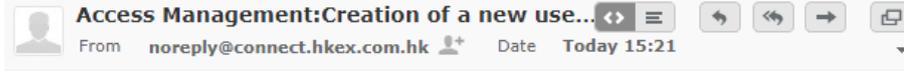
CREATE

Details	Roles														
<table border="1"> <tr> <td>xyz</td> <td> <input type="checkbox"/> Admin <input checked="" type="checkbox"/> Business </td> </tr> <tr> <td>HKSCCP</td> <td> <input type="radio"/> Internal <input checked="" type="radio"/> External </td> </tr> <tr> <td></td> <td> <input checked="" type="radio"/> Active <input type="radio"/> Inactive </td> </tr> </table>	xyz	<input type="checkbox"/> Admin <input checked="" type="checkbox"/> Business	HKSCCP	<input type="radio"/> Internal <input checked="" type="radio"/> External		<input checked="" type="radio"/> Active <input type="radio"/> Inactive	<table border="1"> <tr> <td>EU_AccountMaintenance</td> <td> <input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/> </td> </tr> <tr> <td>EU_SecuritiesSettlement</td> <td> <input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/> </td> </tr> <tr> <td>EU_TechnicalSetup</td> <td> <input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/> </td> </tr> <tr> <td>EU_CompanyAdministration</td> <td> <input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/> </td> </tr> </table>	EU_AccountMaintenance	<input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/>	EU_SecuritiesSettlement	<input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/>	EU_TechnicalSetup	<input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/>	EU_CompanyAdministration	<input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/>
xyz	<input type="checkbox"/> Admin <input checked="" type="checkbox"/> Business														
HKSCCP	<input type="radio"/> Internal <input checked="" type="radio"/> External														
	<input checked="" type="radio"/> Active <input type="radio"/> Inactive														
EU_AccountMaintenance	<input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/>														
EU_SecuritiesSettlement	<input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/>														
EU_TechnicalSetup	<input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/>														
EU_CompanyAdministration	<input checked="" type="button" value="Maker"/> <input type="button" value="Checker"/> <input type="button" value="Enquiry"/>														

CHECKER

1. Approve maker's requests

a) Checker will receive email notification on the requests made by the maker.



HKEX Client Connect

Creation of a new user is pending for approval

Reference Number **140799**
 Status Pending approval
 Notification Type **For action**
 Requested by am xyz
 Message Nil

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
 The information contained in this email is intended only for the use of the individual or entity named above and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this message in error, please immediately notify us and delete the email. Internet communication cannot be guaranteed to be timely, secure, error-free or virus-free. The sender does not accept liability for any errors or omissions. Thank you.

b) At the Access Management Dashboard, checker can choose to **REJECT/APPROVE** the request.

Dashboard

My tasks			
TaskID	Description	Date	Status
140799	CREATE USER		<div style="display: flex; justify-content: space-around;"> REJECT APPROVE </div>

c) Maker will receive email notification upon the approval of the request.



HKEX Client Connect

Creation of a new user has been Approved

Reference Number **140799**
 Status Approved
 Notification Type **For reference**
 Requested by ac xyz
 Message Message not provided

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
 The information contained in this email is intended only for the use of the individual or entity named above and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this message in error, please immediately notify us and delete the email. Internet communication cannot be guaranteed to be timely, secure, error-free or virus-free. The sender does not accept liability for any errors or omissions. Thank you.

APPENDIX B2: DETAILED PROCEDURES ON CLIENT CONNECT FUNCTIONS – BUSINESS USERS

IV. View Client Connect Dashboard

MAKER

1. View navigation menu

The navigation menu shows links to post-trade related services **Settlement & Depository**, **Participanship Management** and **Technical Setup**.

2. View user banner

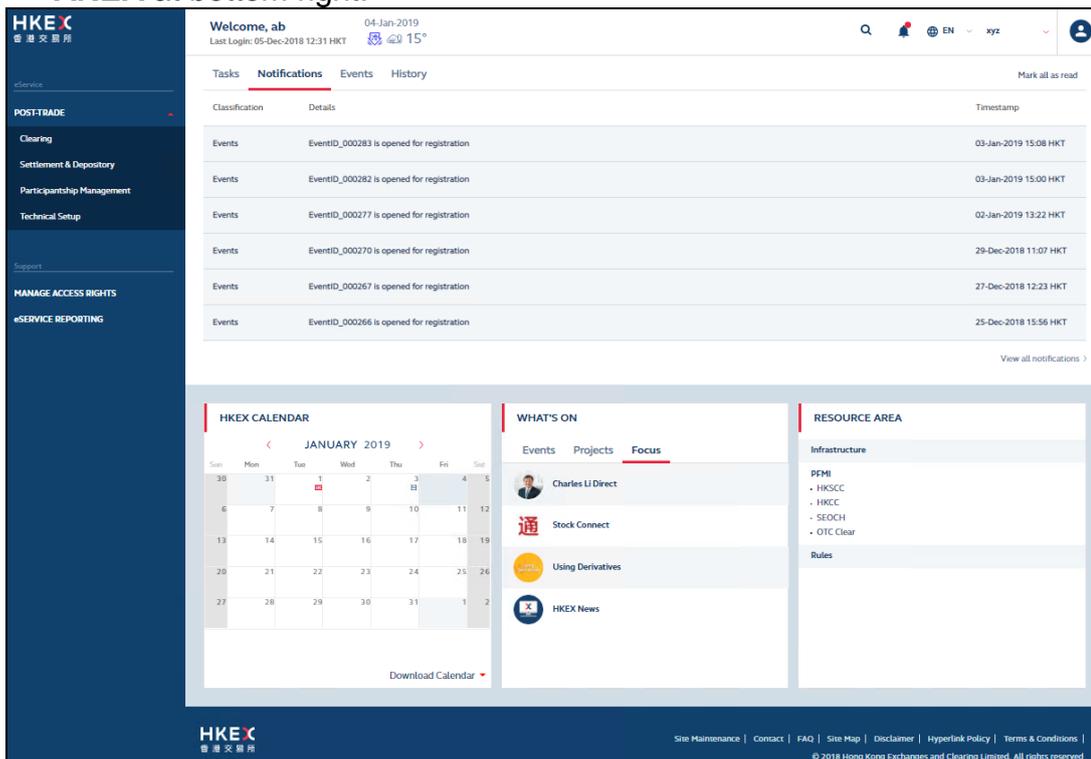
The user banner shows user’s name, last login date and time, weather, search, notification, language switching, company switching and profile icon.

3. View main dashboard area

Dashboard with 4 quick links to tabs **Tasks**, **Notifications**, **Events**, **History**.

4. View 3 box widgets

There are 3 box widgets **HKEX Calendar**, **WHAT’S ON** and **RESOURCE AREA** at bottom right.

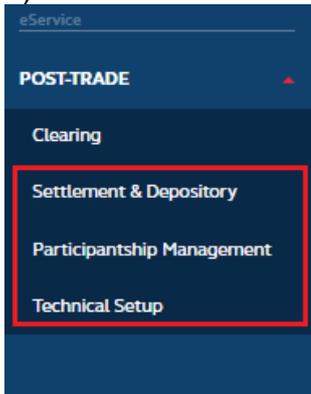


V. Locate eService

There are 2 ways to locate eServices:

1. Via navigation menu

a) Users can access eServices through the navigation menu on the left



b) Clicking on the categories on the navigation menu will bring up the list of eServices and/or existing physical forms in PDF format.

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. Via search function

a) The search icon is located at the top right of the dashboard, users can enter the eService ID / Name to search for eServices



VI. eService submission (TechS 6 - CCASS/CCMS SDNet Line Service Notification)

MAKER

1. Submit form

- a) Locate TechS 6 either from navigation menu -> Technical Setup or search TechS 6 using the search function.
- b) Select the eService and click Expand to show all the fields.
- c) If the user is assigned to manage multiple participantships, all available participantships will be available to select

As

- HKCC Participant
- HKSCC Participant
- SEOCH Participant

- d) There are 4 options to choose from and the eService form is responsive to choices made by the users.

Request Type

- New Line Installation
- Termination
- Relocation
- Reconfiguration

For example choosing New line Installation will bring up below:

Name of Accredited Vendor

- HGC
- HKT
- WTT

Circuit Purpose

- Production Link
- Testing Link (for CCASS Participant Gateway testing)

Circuit Type

- Single Link Connection
- Dual Link Connection

Bandwidth (MB)

- 1
- 2
- Other

Sets of Circuits to be Installed

Dual Link is 1 set of circuit

Installation Address

Please use separate form for different installation address

Tentative Installation Date

- e) There is built-in validation of the data input in the form

Sets of Circuits to be Installed

Dual Link is 1 set of circuit

Sets of Circuits to be Installed is missing

Installation Address

Please use separate form for different installation address

Installation Address is missing

- f) The last section **CONTACT INFORMATION** is automatically filled with information from the profile user submitting the form. Users can amend the pre-filled contact details or add extra contact person by clicking **+ CONTACT PERSON**.

CONTACT INFORMATION

Name of Contact Person

Email Address

Telephone Number

- g) Click **PREVIEW** once all information is filled, the form will be switched to read-only mode for user to preview before submission.

DISCARD EDIT SUBMIT

TECHS 6 CCASS/CCMS SDNET LINE SERVICE NOTIFICATION

Reference Number: _____ Status: Collapse

COMPANY INFORMATION -

From xyz

As HKSCC Participant (XYZ123)

REQUEST DETAILS -

We hereby notify HKSCC / HKCC / SEOCH that we have submitted the prescribed application / order form to the Accredited Vendor for the following SDNet line service(s).

We confirm that we understand and accept the above.

Request Type	New Line Installation
Name of Accredited Vendor	HGC
Circuit Purpose	Production Link
Circuit Type	Single Link Connection
Bandwidth (MB)	1
Sets of Circuits to be Installed	1
Installation Address	test
Tentative Installation Date	10-Jan-2019

CONTACT INFORMATION -

Name of Contact Person	ub xyz
Email Address	ub@xyz.com
Telephone Number	12345678

- h) Click **SUBMIT** to send to the form to checker for approval.
- **EDIT** – will return to previous mode where user can amend the data input
- i) Once submitted, status will become **Ready to Send to HKEX**.

RECLAIM CLONE CLAIM

TECHS 6 CCASS/CCMS SDNET LINE SERVICE NOTIFICATION

Reference Number: TS6_00002180 Status: 09-Jan-2019 00:23 HKT Ready to Send to HKEX | Expand

2. Reclaim form

- a) The **RECLAIM** button allows user to reclaim the form for further amendment before checker approves.
- b) Once reclaimed, maker can edit the form for re-submission.

3. Withdraw form

- a) If checker reverts the form back to maker, maker has the option to **WITHDRAW** the submission.

WITHDRAW PREVIEW RELEASE

TECHS 6 CCASS/CCMS SDNET LINE SERVICE NOTIFICATION

Reference Number: TS6_00002547 Status: 21-Jan-2019 11:09 HKT Returned to Submitter | Expand

b) Forms withdrawn cannot be edited for resubmission.

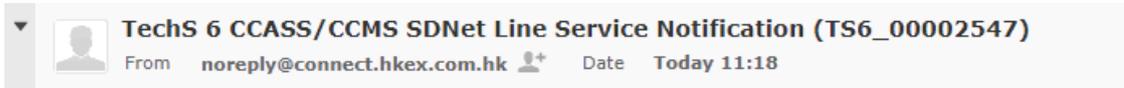
4. Clone previously submitted form

a) Maker can **CLONE** any previously submitted forms from **History** tab in dashboard to create another form with similar pre-filled data.



5. Email and Dashboard notifications

a) Maker will receive email and dashboard notifications upon status change in submitted forms



HKEX Client Connect

For action: the eService is Ready to Send to HKEX

Reference Number	TS6_00002547
Workflow Status	Ready to Send to HKEX
Notification Type	For action
Just Processed By	ub, xyz
Require action from	Checker of xyz

To view the record, please visit the HKEX Client Connect website and search the Reference Number TS6_00002547

Welcome, ub 21-Jan-2019

15°

Tasks	Notifications	Events	History
Classification	Company Participant ID	Details	
Company Admin CH	xyz XYZ123	TEMP_00001276 - Change of Company Particulars and Contact Persons	
AC Maintenance NB	xyz XYZ123	TEMP_00001247 - Special Segregated Account and Designated Executing Br HKSCC	
AC Maintenance CH	xyz XYZ123	TEMP_00000763 - Change of Company Name	
Buy-in	xyz XYZ123	TEMP_00000564 - Application Form for Exemption of Buy-in	
Tech Setup CH	xyz XYZ123	TS6_00002547 - CCASS/CCMS SDNet Line Service Notification	
Tech Setup CH	xyz XYZ123	TS6_00002473 - CCASS/CCMS SDNet Line Service Notification	

YOUR NOTIFICATIONS (66) View All

- eService
TS6_00002547 is Ready to Send to HKEX
21-Jan-2019 11:18 HKT
- eService
TS6_00002547 is Returned to Submitter
21-Jan-2019 11:09 HKT
- eService
TS6_00002547 is Ready to Send to HKEX
21-Jan-2019 11:08 HKT
- eService
TS6_00002483 is Completed

Classification	Company Participant ID	Details	Date	Job Status
Company Admin CH	xyz XYZ123	TEMP_00001276 - Change of Company Particulars and Contact Persons	21-Jan-2019 11:18 HKT	Job Status
AC Maintenance NB	xyz XYZ123	TEMP_00001247 - Special Segregated Account and Designated Executing Br HKSCC	21-Jan-2019 11:09 HKT	Draft
AC Maintenance CH	xyz XYZ123	TEMP_00000763 - Change of Company Name	21-Jan-2019 11:08 HKT	Draft
Buy-in	xyz XYZ123	TEMP_00000564 - Application Form for Exemption of Buy-in	21-Jan-2019 11:08 HKT	Draft
Tech Setup CH	xyz XYZ123	TS6_00002547 - CCASS/CCMS SDNet Line Service Notification	21-Jan-2019	Ready to Se HKEX
Tech Setup CH	xyz XYZ123	TS6_00002473 - CCASS/CCMS SDNet Line Service Notification	17-Jan-2019	Returned to

CHECKER

1. Claim form

- a) Once maker submitted an eService, checker will receive both email and dashboard notifications.



HKEX Client Connect

For action: the eService is Ready to Send to HKEX

Reference Number TS6_00002180
 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 TS6_00002180



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

The information contained in this email is intended only for the use of the individual or entity named above and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this message in error, please immediately notify us and delete the mail. Internet communication cannot be guaranteed to be timely, secure, error-free or virus-free. The sender does not accept liability for any errors or omissions. Thank you.

Classification	Company Participant ID	Details
Tech Setup CH	XYZ XYZ123	TS6_00002180 - CCASS/CCMS SDNet Line Service Notification
Tech Setup CH	XYZ XYZ123	TS6_00002171 - CCASS/CCMS SDNet Line Service Notification
Tech Setup CH	XYZ XYZ123	TS6_00002165 - CCASS/CCMS SDNet Line Service Notification
Company Admin CH	XYZ XYZ123	AC13_00002086 - Change of Company Particulars and Contact Persons

- b) Checker can locate the submitted eService by searching the eService reference number or directly clicking on the item in the **Tasks** or **Notification** list.

- c) Before taking actions on the submitted eService, checker has to **CLAIM** the form.

- d) After claiming the form, the form will switch to read-only mode for checker to review.

Home / Technical Setup / Claimed By uc xyz on 09-Jan-2019 00:31 HKT

REVERT **REFER TO** **CONFIRM** **RELEASE**

TECHS 6 CCASS/CCMS SDNET LINE SERVICE NOTIFICATION

Reference Number: TS6_00002180 Status: 09-Jan-2019 00:23 HKT Ready to Send to HKEX | Expand

2. Revert form

- a) Checker can click **REVERT** to return the form back to maker for amendments.

3. Refer to another checker

- a) Checker can click **REFER TO** to allow another checker to provide approval.

4. Release claimed form

- a) Checker can click **RELEASE** to undo the claim action and allows other checkers to claim and take actions.

5. Confirm submission of form

- a) Checker can click **CONFIRM** to submit the form to HKEX.
- b) Once confirmed by checker, the status will become **Sent to HKEX**.

Home / Technical Setup / Claimed By uc xyz on 09-Jan-2019 00:33 HKT

REVERT **REFER TO** **CONFIRM** **RELEASE**

TECHS 6 CCASS/CCMS SDNET LINE SERVICE NOTIFICATION

Reference Number: TS6_00002180 Status: 09-Jan-2019 00:33 HKT Sent to HKEX | Expand

6. Reclaim form

- a) Similar to maker, checker can also **RECLAIM** the form before HKEX takes further action

Home / Technical Setup / Claimed By uc xyz on 21-Jan-2019 11:27 HKT

RECLAIM **REVERT** **REFER TO** **CONFIRM** **RELEASE**

TECHS 6 CCASS/CCMS SDNET LINE SERVICE NOTIFICATION

Reference Number: TS6_00002547 Status: 21-Jan-2019 11:27 HKT Sent to HKEX | Expand

7. Audit trail and PDF download

- a) HKEX will provide the final approval to simulate the complete process. Both maker and checker will receive email and dashboard notifications upon approval of HKEX.

TechS 6 CCASS/CCMS SDNet Line Service Notification (TS6_00002180 from XYZ123)
From: noreply@connect.hkex.com.hk | Date: Today 11:12

HKEX Client Connect

For reference: the eService is Completed

Reference Number: TS6_00002180
Workflow Status: Completed
Notification Type: For reference
Just Processed By: HKEX
Require action from: nil

To view the record, please visit the HKEX Client Connect website and search the Reference Number TS6_00002180

You may visit the record to download a PDF version of the eService for reference if needed.



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

The information contained in this email is intended only for the use of the individual or entity named above and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this message in error, please immediately notify us and delete the mail. Internet communication cannot be guaranteed to be timely, secure, error-free or virus-free. The sender does not accept liability for any errors or omissions. Thank you.

The screenshot shows the HKEX Client Connect dashboard. On the left is a navigation menu with categories like 'POST-TRADE', 'Clearing', 'Settlement & Depository', etc. The main area displays a 'Tasks' table with columns for Classification, Company Participant ID, and Details. A notification pop-up is visible, stating 'eService: TS6_00002180 is Completed' with a 'Mark as read' button. The table row for 'Tech Setup CH' with participant ID 'XYZ123' and reference number 'TS6_00002180' is highlighted in red, showing a status of 'Completed'.

- b) The status will become **Completed** upon the HKEX approval. Users can download the completed eService in PDF format by clicking the PDF button.

The screenshot shows the record page for 'TECHS 6 CCASS/CCMS SDNET LINE SERVICE NOTIFICATION'. It displays the Reference Number: TS6_00002180 and Status: 10-Jan-2019 11:12 HKT Completed. A red box highlights a 'PDF' download button in the top right corner.

c) Audit Trail can be retrieved on the completed eService as well the PDF file.

TECHS 6 CCASS/CCMS SDNET LINE SERVICE NOTIFICATION

Reference Number: TS6_00002180

COMPANY INFORMATION

From xyz

As HKSCC Participant (XYZ123)

REQUEST DETAILS

CONTACT INFORMATION

AUDIT TRAIL

Status: 10-Jan-2019 11:12 HKT **Completed** | Expand

Completed

10-Jan-2019 11:12:
Completed by HKEX

09-Jan-2019 00:33:
Sent to HKEX by uc xyz, xyz

09-Jan-2019 00:23:
Ready to Send to HKEX by ub xyz, xyz

AUDIT TRAIL

Time Submitted to HKEX	09-Jan-2019 00:33 HKT
History of Request	10-Jan-2019 11:12 HKT Completed by HKEX
	09-Jan-2019 00:33 HKT Sent to HKEX by xyz
	09-Jan-2019 00:23 HKT Ready to Send to HKEX by xyz

APPENDIX C: CHECKLIST FOR THE FAMILIARIZATION SESSION

	Successful?	If not, please specify reasons
All users		
I. First time Login		
1. Setup password		
2. Setup OTP channel		
Client Connect Delegated Administrator (CCDA) (if applicable)		
II. Access		
1. View Access Management Dashboard		
III. Account Maintenance		
Maker:		
1. Create Business user		
2. Assign EU rights to Business users		
Checker:		
1. Approves maker's request		
Business user		
IV. View Client Connect Dashboard		
1. View navigation menu		
2. View user banner		
3. View list of tasks and notifications		
4. View 3 box widgets		
V. Locate eServices		
1. Via navigation menu		
2. Via search function		
VI. eService submission (TechS 6)		
Maker:		
1. Submit eService		
2. Reclaim eService		
3. Withdraw eService		
4. Clone previously submitted eService		
5. Email and Dashboard notifications		
6. Audit trail and PDF download		
Checker:		
1. Claim eService		
2. Revert eService		
3. Refer to another checker		
4. Release claimed eService		
5. Confirm submission of eService		
6. Reclaim eService		
7. Audit trail and PDF download		

Thank you for joining the Client Connect Familiarization Session. Please return the [CCDA form](#) as soon as possible if you have not done so.