

## **FINI Explanatory Notes on Delegated Administrator(s) (“DAs”) Functions**

1. Please refer to Table 1 for all functions available to DAs.
2. Please refer to Table 2 for all other External Administrator (EA) functions that will be assigned to DAs based on the eligible User Type. Assignment of corresponding External User (EU) functions will be described in Section 3 of the HKEX Access Management User Guide.
3. Please refer to Table 3 for information on eligibility, authorised signatory(ies), and required submission(s) for each FINI user type.
4. For enquiries, please contact [projectfini@hkex.com.hk](mailto:projectfini@hkex.com.hk) or (+852) 2211 5888.

**Table 1**

DA Functions	Remarks
<b>Function ID: EA_UserAdmin</b>	
1. <b>Access Rights Management Dashboard</b>	Eligible to all DAs.
2. <b>Manage Users</b>	
- View Users list	
- Create Users	Eligible to all DAs. Maker-checker mechanism is provided.
- Delete Users	
- Edit Users	
- Grant Access Groups to Users	
- Unlock User Accounts	
- Create Teams	
- Delete Teams	
- Update Team members	Eligible to all DAs. Maker-checker mechanism is provided.
- View Team list	
3. <b>Access Company Profile</b>	
- View Company Administrators	
- View Company Details	Eligible to all DAs.
- View Company Identities	
- View Company Users	
- View Company Users	
<b>Function ID: EA_APIAdmin</b>	
4. <b>API Profile management</b>	Eligible to all DAs who manage API users. Maker-checker mechanism is provided.

DA Functions	Remarks
- Create API Profile	
- Delete API Profile	
- Edit API Profile	
- Grant / Remove Access Functions to API Profile	
- View API Profile	
<b>Function ID: Other EA functions (Please refer to Table 2)</b>	
5. <b>Manage Business user rights</b>	Other EA functions are assigned based on User Type that the DAs are entitled to manage. Eligible to all DAs. Maker-checker mechanism is provided.
- Grant rights to Business users for HKEX system usage	
<b>Function ID: EU_Dashboard</b>	
6. <b>Access HKEX Access Management Portal</b>	Eligible to all DAs.
<b>Function ID: EU_UserMaintenance</b>	
7. <b>Access to the Online DA Maintenance Form</b>	Eligible to all DAs.

**Table 2**

User Type	DA Function ID	Managing Business Function ID
Bank	EA_finiBank	EU_finiBank
	EA_finiIPORefDataAPI	EU_finiIPORefDataAPI
	EA_finiPOFundAPI	EU_finiPOFundAPI
HKSCC Participant	EA_finiCP	EU_finiCPOps EU_finiCPEng
	EA_finiIPORefDataAPI	EU_finiIPORefDataAPI
	EA_finiPOSubAPI	EU_finiPOSubAPI
Intermediary	EA_finiIntermediary	EU_finiIntermediary
	EA_finiIPORefDataAPI	EU_finiIPORefDataAPI
Legal Counsel	EA_finiLegal	EU_finiLegal
	EA_finiIPORefDataAPI	EU_finiIPORefDataAPI
Share Registrar	EA_finiShareReg	EU_finiShareRegOps EU_finiShareRegEng
	EA_finiIPORefDataAPI	EU_finiIPORefDataAPI
	EA_finiIPORefDataAPI	EU_finiIPORefDataAPI
Sponsor	EA_finiSponsor	EU_finiSponsor
	EA_finiIPORefDataAPI	EU_finiIPORefDataAPI

Function ID	Descriptions	Maker	Checker	Enquiry
<b>Functions for DAs</b>				
EA_APIAdmin	For API profile management (e.g. add / delete / update API profiles)	✓	✓	✓
EA_finiBank	Assignment of FINI functions relating to FINI Bank	✓	✓	✓
EA_finiCP	Assignment of FINI functions relating to HKSCC Participants	✓	✓	✓
EA_finiIntermediary	Assignment of FINI functions relating to IPO Intermediary	✓	✓	✓
EA_finiLegal	Assignment of FINI functions relating to Legal Counsel	✓	✓	✓
EA_finiPOFundAPI	Assignment of FINI API access relating to Public Offer pre-funding	✓	✓	✓
EA_finiIPORefDataAPI	Assignment of FINI API access relating to IPO reference data	✓	✓	✓
EA_finiPOSubAPI	Assignment of FINI API access relating to Public Offer subscriptions	✓	✓	✓
EA_finiShareReg	Assignment of FINI functions relating to Share Registrar	✓	✓	✓
EA_finiSponsor	Assignment of FINI functions relating to Sponsor	✓	✓	✓
EA_UserAdmin	For user profile maintenance (e.g. add / delete / update users and teams, unlock users)	✓	✓	✓

Function ID	Descriptions	Maker	Checker	Enquiry
<b>Functions for FINI Business Users</b>				
EU_finiBank	For the FINI operational functions to be performed by HKSCC Designated Banks, e.g. access to IPO Reference Data and Prefunding Confirmation.	✓	✓	✓
EU_finiCPEnq	For the FINI enquiry function available to HKSCC Participants, e.g. access to IPO Reference Data	✓	✓	✓
EU_finiCPOps	For the FINI operational functions to be performed by HKSCC Participants, e.g. access to IPO Reference Data and EIPO Subscription.	✓	✓	✓
EU_finiIntermediary	For the FINI operational functions to be performed by Intermediaries, e.g. access to IPO Reference Data and Placeelist Submission.	✓	✓	✓
EU_finiLegal	For the FINI operational functions to be performed by Sponsor counsel and/ or Issuer counsel, e.g. access to IPO Reference Data.	✓	✓	✓
EU_finiShareRegEnq	For the FINI enquiry functions available to Share Registrars, e.g. access IPO Reference Data.	✓	✓	✓
EU_finiShareRegOps	For the FINI operational functions to be performed by Share Registrars, e.g. access to IPO Reference Data and Preferential Offer Data.	✓	✓	✓

Function ID	Descriptions	Maker	Checker	Enquiry
<b>Functions for FINI Business Users</b>				
EU_finiSponsor	For the FINI operations performed by designated Sponsor(s) or other Sponsor(s), e.g. access to IPO Reference Data and Placeelist Submission.	✓	✓	✓

Function ID	Descriptions
<b>Functions for FINI API Profiles</b>	
EU_finiPOFundAPI	For the access to the APIs relating Public Offer Pre-funding confirmation
EU_finiIPORefDataAPI	For the access to the APIs relating IPO reference data
EU_finiPOSubAPI	For the access to the APIs relating Public Offer subscription

**Table 3**

#	User type	Eligibility requirements	Eligibility requirements of Authorised Signatory(ies)	Required submission(s)
1	Bank	<ul style="list-style-type: none"> <li>Registered as a designated bank with HKSCC on the following HKEX website <a href="#">[link]</a></li> </ul>	<ul style="list-style-type: none"> <li>Registered as a designated officer of the Bank</li> </ul>	<ul style="list-style-type: none"> <li>A copy of the nominee bank account information on all supported currencies (HKD/RMB/USD)</li> </ul>
2	HKSCC Participant	<ul style="list-style-type: none"> <li>Admitted by HKSCC as a Participant of CCASS <a href="#">[link]</a></li> </ul>	<ul style="list-style-type: none"> <li>Registered as a designated officer of the HKSCC Participant</li> </ul>	<ul style="list-style-type: none"> <li>No supporting document is required.</li> <li>HKSCC Participant's use of FINI will be bounded by HKSCC Rules</li> </ul>
3	Intermediary	<ul style="list-style-type: none"> <li>Holds a valid SFC Type 1 license; or</li> <li>Securities license issued by a Recognised Securities Regulator<sup>1</sup></li> </ul>	<ul style="list-style-type: none"> <li>Registered as Responsible Officer on the <a href="#">SFC Public Register of Licensed Persons and Registered Institutions</a> or relevant register of the Recognised Securities Regulator<sup>1</sup></li> </ul>	<ul style="list-style-type: none"> <li>A copy of the applicant's Business Registration Certificate</li> </ul>
4	Legal Counsel	<ul style="list-style-type: none"> <li>Registered as a Hong Kong Law Firm under the <a href="#">Hong Kong Law Society's Law List</a></li> </ul>	<ul style="list-style-type: none"> <li>Registered as a member with practicing certificate under the <a href="#">Hong Kong Law Society's Law List</a>; or</li> <li>Registered as a partner of the firm under the <a href="#">Hong Kong Law Society's Law List</a></li> </ul>	<ul style="list-style-type: none"> <li>A copy of the applicant's Business Registration Certificate</li> </ul>
5	Share Registrar	<ul style="list-style-type: none"> <li>Registered as a Member of the Federation of Share Registrars ("FSR") on the <a href="#">FSR's Members List</a></li> </ul>	<ul style="list-style-type: none"> <li>Any authorised signatory of the company</li> </ul>	<ul style="list-style-type: none"> <li>A copy of the applicant's Business Registration Certificate</li> </ul>
6	Sponsor	<ul style="list-style-type: none"> <li>Holds a valid SFC Type 6 license</li> </ul>	<ul style="list-style-type: none"> <li>Registered as Responsible Officer on the <a href="#">SFC Public Register of Licensed Persons and Registered Institutions</a></li> </ul>	<ul style="list-style-type: none"> <li>A copy of the applicant's Business Registration Certificate</li> </ul>

<sup>1</sup> Recognized Securities Regulator is a signatory to the International Organization of Securities Commissions' (IOSCO) Multilateral Memorandum of Understanding Concerning Consultation and Cooperation and the Exchange of Information (MMoU): <https://www.iosco.org/about/?subSection=mmou&subSection1=signatories>