

Appendix 1

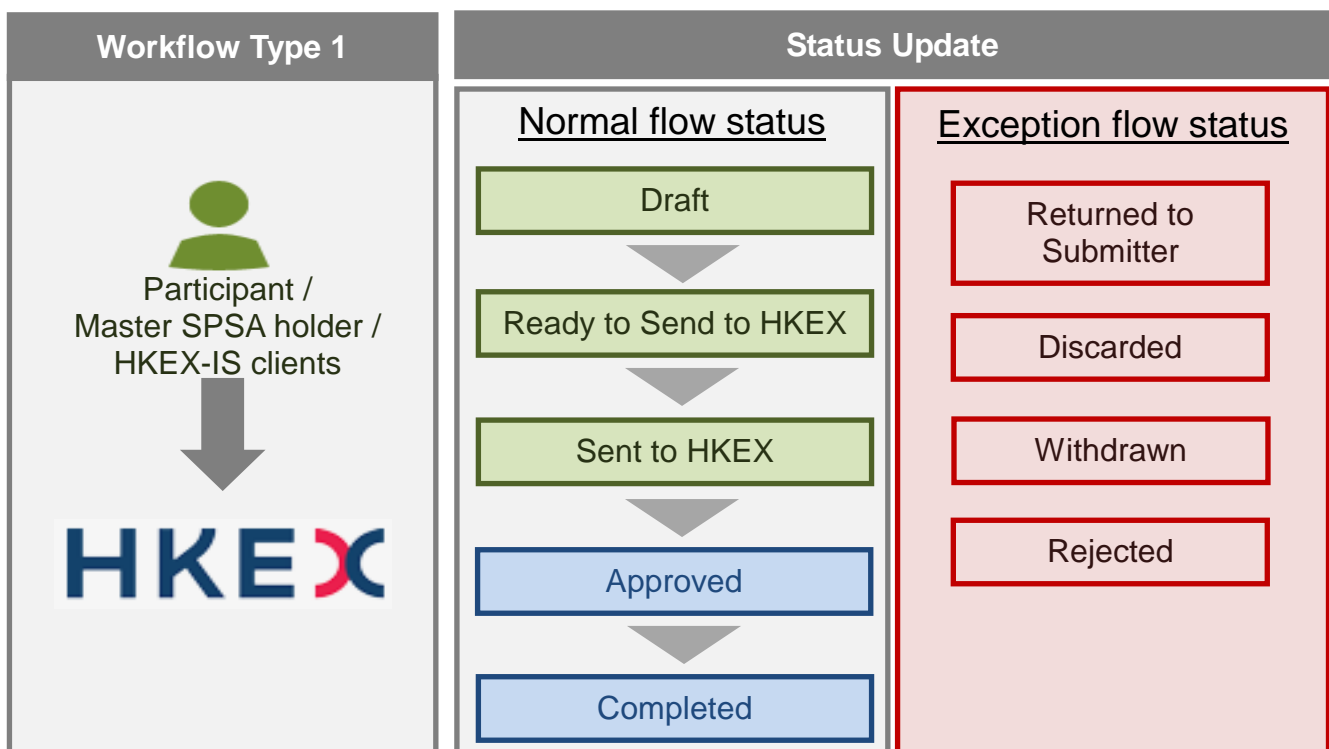
eSERVICE WORKFLOW TYPE AND STATUSES

WORKFLOW TYPE:

There are 5 types of workflows in Client Connect eServices.

Type 1:

Initiated by Client Connect users then processed by HKEX, list of statuses can be found below for both normal and special flows.



eService(s) operating under this workflow:

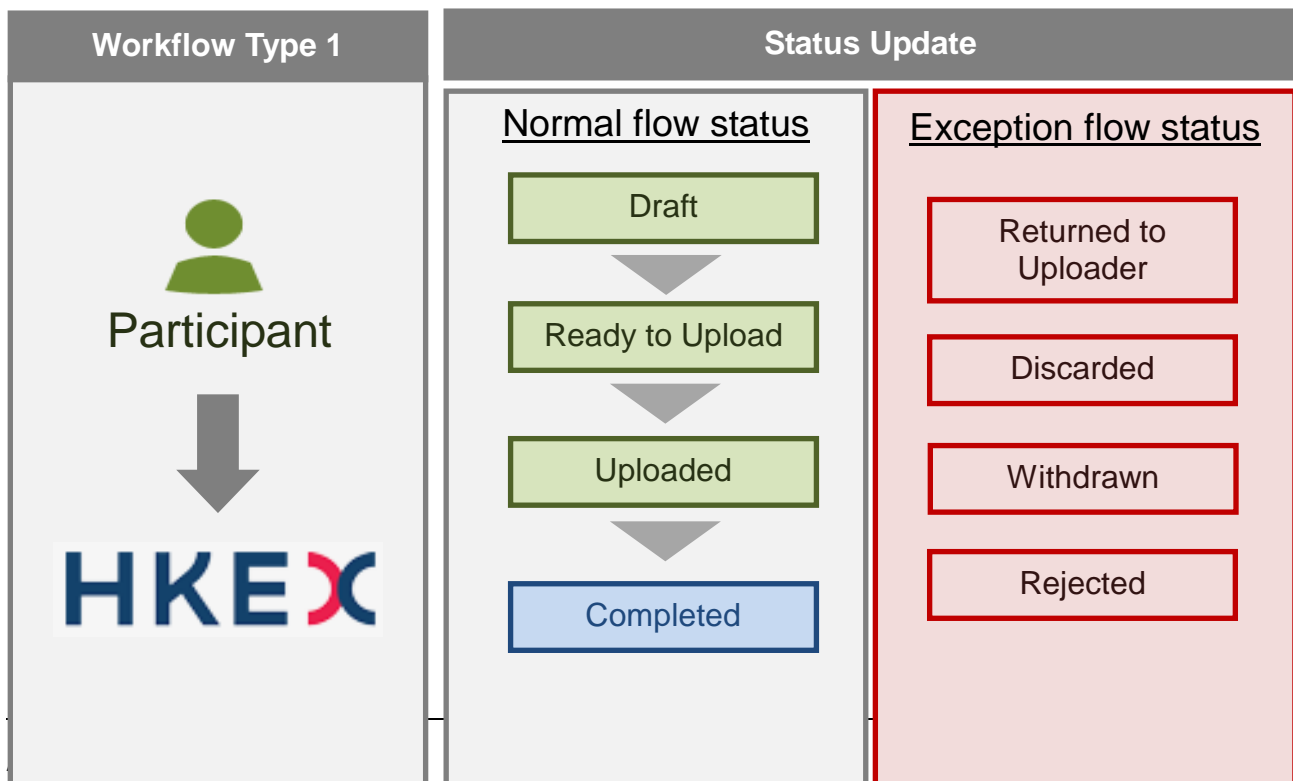
- Set 1 – Application to HKSCC for Exemption of Buy-in
- Set 2 – Early Buy-in Request to HKSCC
- Set 4 – Buy-in Request to HKSCC for CCASS Isolated Trades only
- AC 1 – DCASS Account Maintenance Request to HKCC/SEOCH
- AC 2 – DCASS User Account Maintenance Request to HKCC/SEOCH
- AC 3 – Selected Currency Designation Request to HKCC/SEOCH
- AC 5 – Stock Account Mapping Maintenance to HKSCC for the Use of Shanghai and Shenzhen Stock Connect
- AC 7 – Master SPSA ID to SPSA Mapping Maintenance Request
- AC 9 – Change of Company Name
- AC 11 – Change of Authorised Signatories
- AC 12 – Update Bank Account
- AC 13 – Change of Company Particulars and Contact Persons
- 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

Appendix 1

eService Workflow Type and Statuses

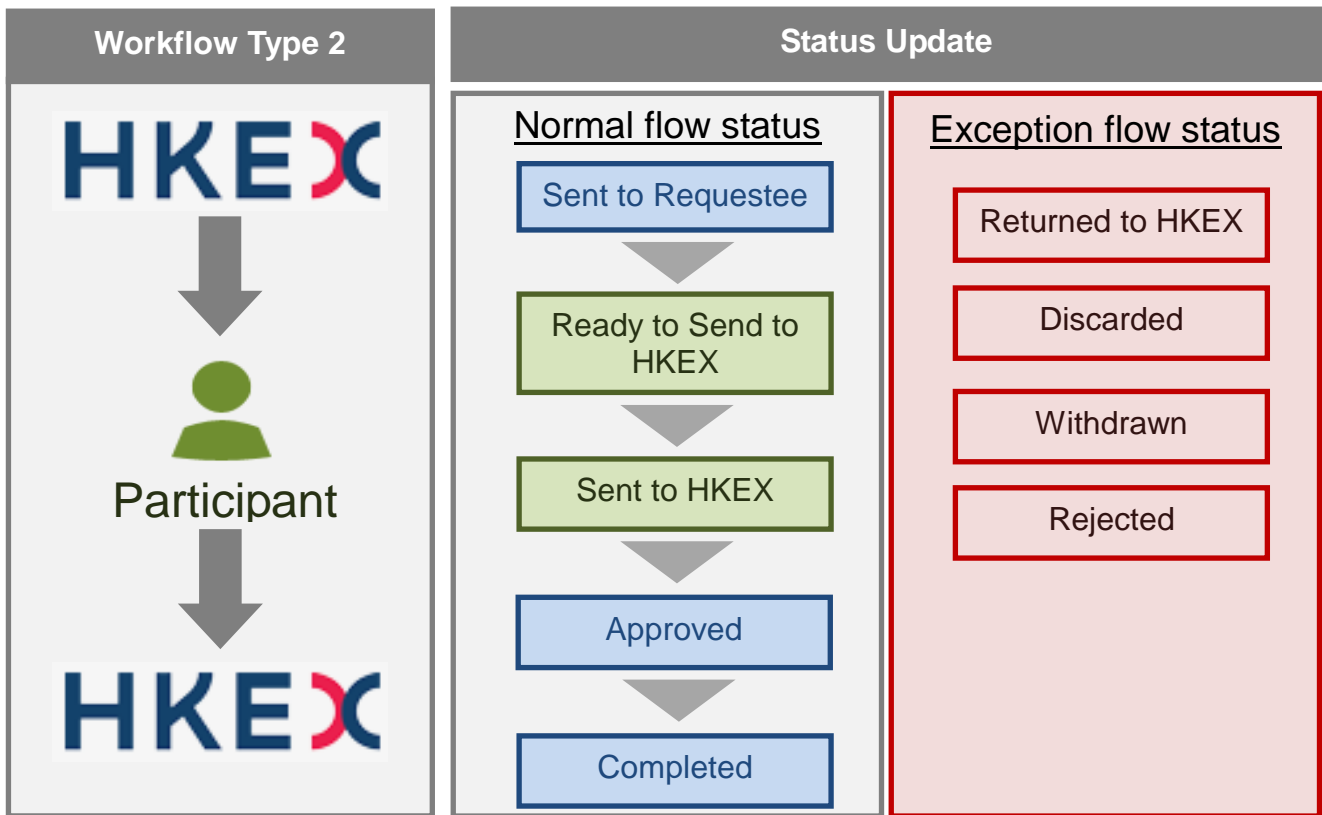
- DA 1 – VaR Online Delegated Administrator Rights Application / Maintenance Form
- DEP 1A - Application to HKSCC for Withdrawal Fee Concession (Pre-approval)
- DEP 1B - Application to HKSCC for Withdrawal Fee Concession (Final approval)
- DEP 2A – Application to HKSCC for Scrip Fee Concession (Pre-approval)
- DEP 2B – Application to HKSCC for Scrip Fee Concession (Final approval)
- DEP 3 – Transfer Instruction (CMU) to HKSCC
- DEP 5 - Cross-border Transfer Instruction (Foreign Securities) to HKSCC
- DEP 6 - Transfer Instruction to HKSCC (for delisted stock)
- NOM 1 - Dividend Bonus Claim Submission to HKSCC
- NOM 2 – Denomination of certificate
- NOM 3 – Corporate Communication Request to HKSCC
- PAM 1 – Registration As An Exchange Participant Registered To Use The Trading Link To Trade In China Connect Securities
- PAM 2 – Registration As A Clearing Participant Registered To Use The Clearing Link For The Clearing And Settlement Of Transactions Involving China Connect Securities
- RR 1 – Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files
- SCard 1 – Smartcard Maintenance for User and DA
- SCard 2 – Smartcard Maintenance for user (PG or Special Request)
- SCard 3 – Order Smartcard Reader(s)
- 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
- TeshS 5 – DCASS Production/Testing Line Application and/or Change of Bandwidth Notification to HKSCC/SEOCH
- TechS 6 – CCASS/CCMS SDNet Line Service Notification
- TechS 7 – PG Acquisition Confirmation Reply to HKSCC
- TechS 8 – RAP Registration and Maintenance for HKSCC or HKCC/SEOCH or Share Registrar
- SF_MDC01 – Connection Notification Form (Production)
- SF_MDC02 – Notification Form for Termination or Relocation of Market Data Connection
- SF_MDC03 – Connection Notification Form (Testing)

UD – Submission and Download operates under the same workflow but with different statuses.



Type 2:

Initiated by HKEX then sent to Participants, eventually processed by HKEX.

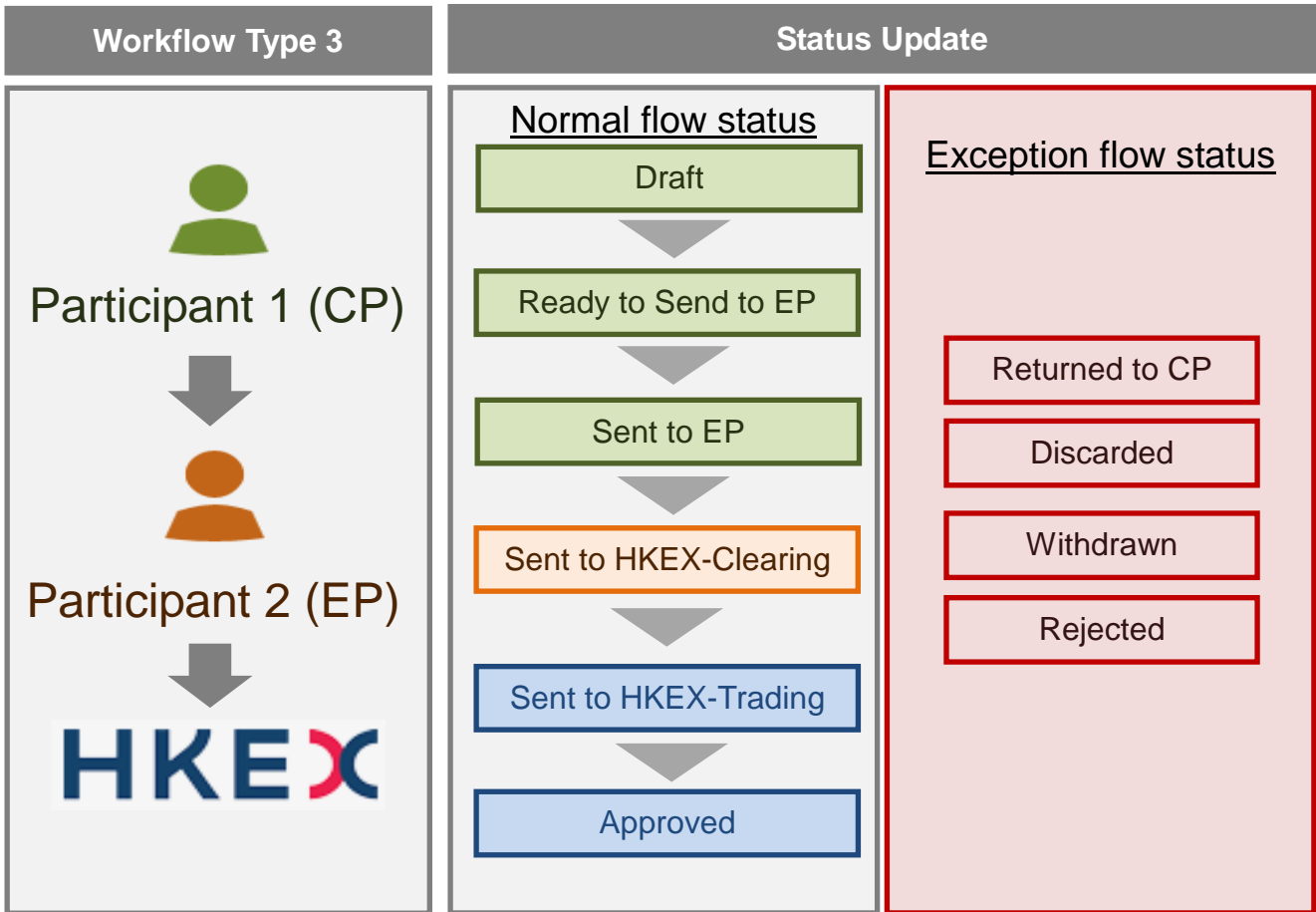


eService(s) operating under this workflow:

- Set 3 – Request for Special Buy-in
- Set 5 – Authorization to HKSCC from the short clearing participant for debiting their stock entitlement account

Type 3:

Initiated by Clearing Participant, approved by Exchange Participant, then eventually processed by HKEX.

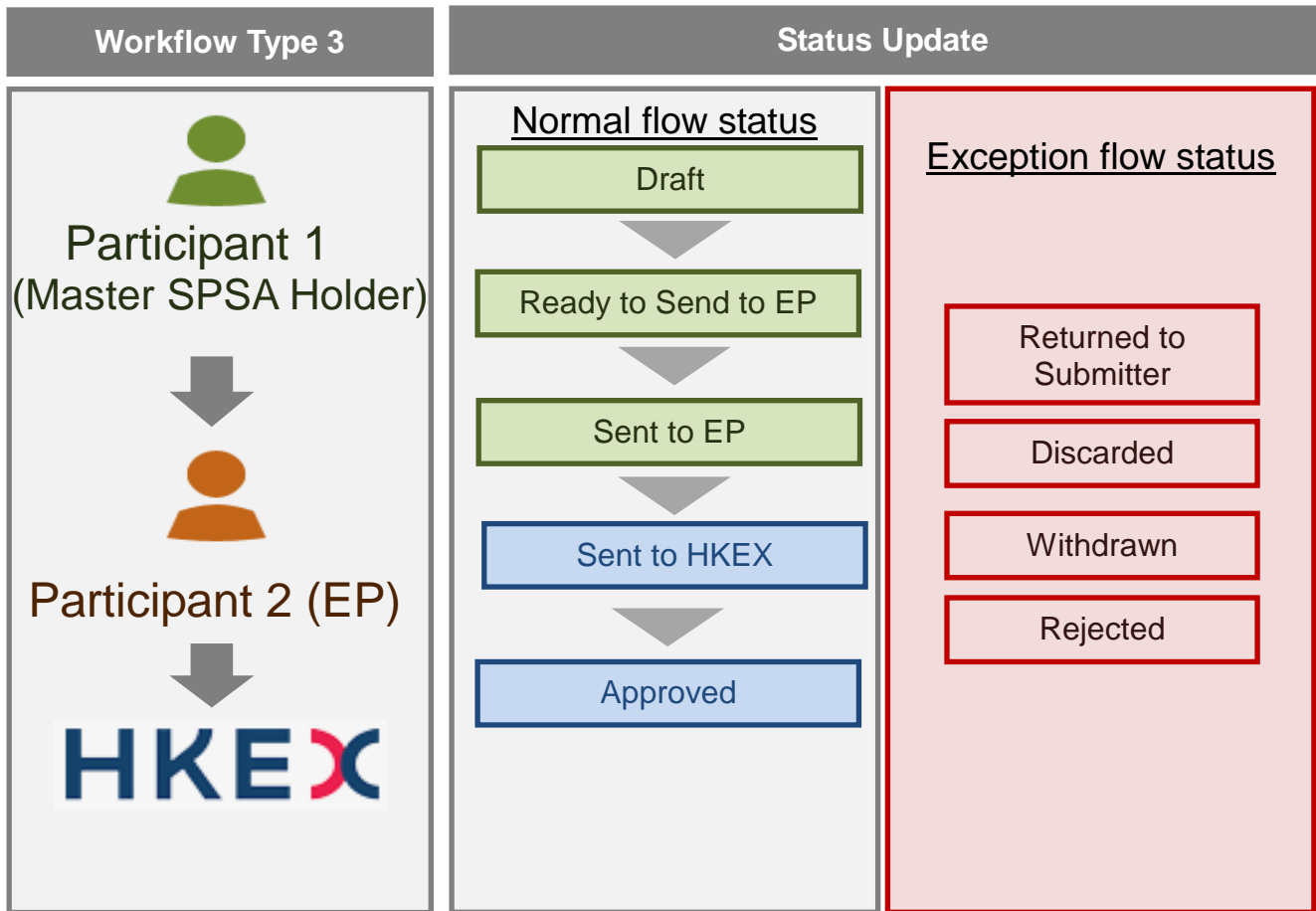


eService(s) operating under this workflow:

- AC 6 – Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC

Type 4:

Initiated by Master SPSA Holder, approved by Exchange Participant, then eventually processed by HKEX.

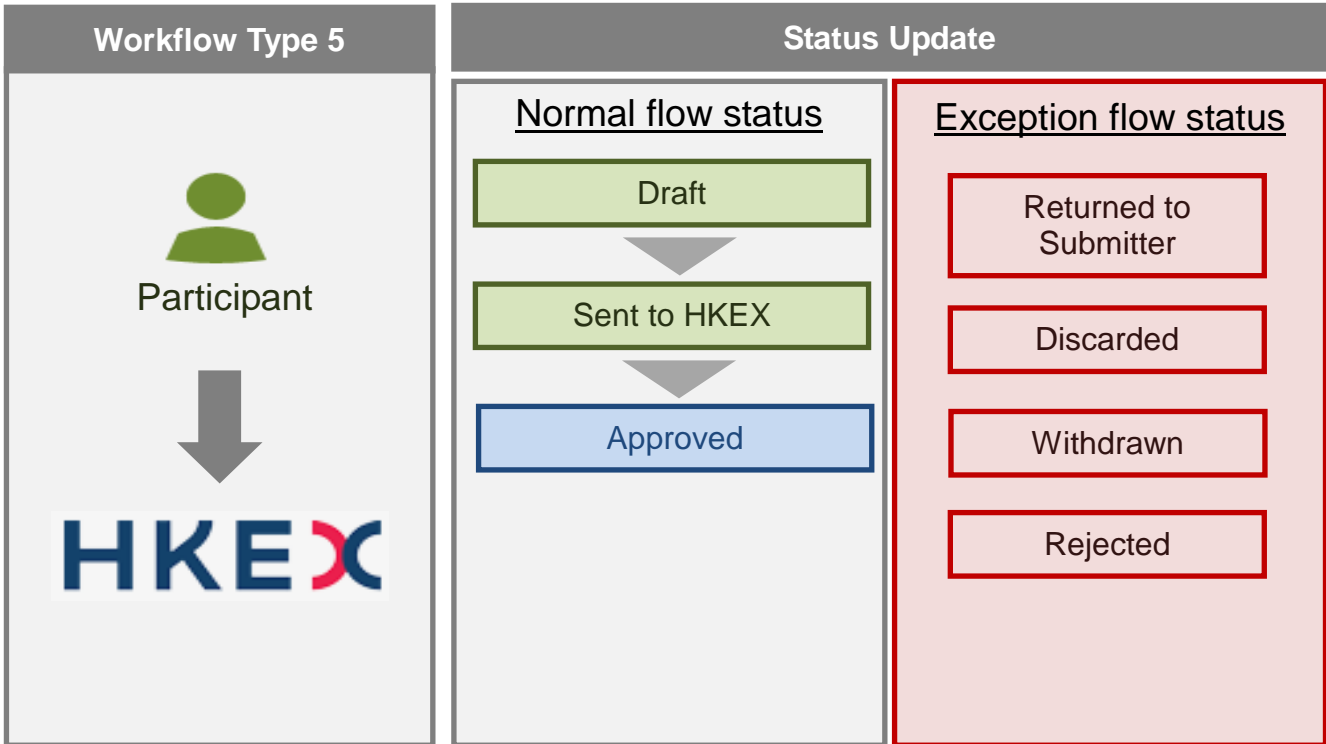


eService(s) operating under this workflow:

- AC 8 – Master SPSA ID & Designated Executing Broker Mapping Maintenance Request

Type 5:

Initiated by Client Connect users then processed by HKEX, list of statuses can be found below for both normal and special flows.



eService(s) operating under this workflow:

- CB011 - BSS Change Notification
- CB012 - Notification of Testing Line
- CB017 - Application for Exemption from Conducting Rollout Test
- CB028 - OTP-C / CSC Trading Device and BSS Co-ordinator Contact Update
- CS007 - Application for CCCG (for BSS user)
- CS008 - Application for New/ Change of Particulars of China Connect Drop Copy Session (for BSS users)
- CS009 - Application for Increase of CCCG Throttle Rate
- CS010 - Application for Subscription or Termination of China Connect Monthly Throttle Rates
- CS021 - China Connect Weekend Testing Booking Form
- CS022 - Feedback Form for CCCG Rollout Test
- CS023 - Confirmation Form for Rollout / Re-assignment / Change of BSS System under China Connect Central Gateway (CCCG) and/or China Connect Drop-Copy (CC Drop-Copy) Session
- CS024 - BSS Declaration for CCCG Session
- CS025 - BSS Declaration for China Connect Drop-Copy Session
- CS026 - Short Selling Function Rollout Form
- CS030 - Requisition Form for Change of BSS Connection Information for China Connect Central Gateway (CCCG) Trading / Drop Copy Session
- CT001 - Application for HKEX Orion Central Gateway Session (For BSS Users) - Normal Trading
- CT002 - Application for New/ Change of Particulars of Drop-Copy Session (For BSS Users)
- CT003 - Application for New/ Change of Particulars of Cancel on Disconnect Service of HKEX Orion Central Gateway Session (For BSS Users)
- CT004 - Application for Increase of HKEX Orion Central Gateway (OCG) Throttle Rate
- CT005 - Application for Subscription or Termination of Monthly Throttle Rates
- CT006 - Application for Throttle-On-Demand (TOD) Throttle Rates
- CT013 - Weekday Testing Booking Form

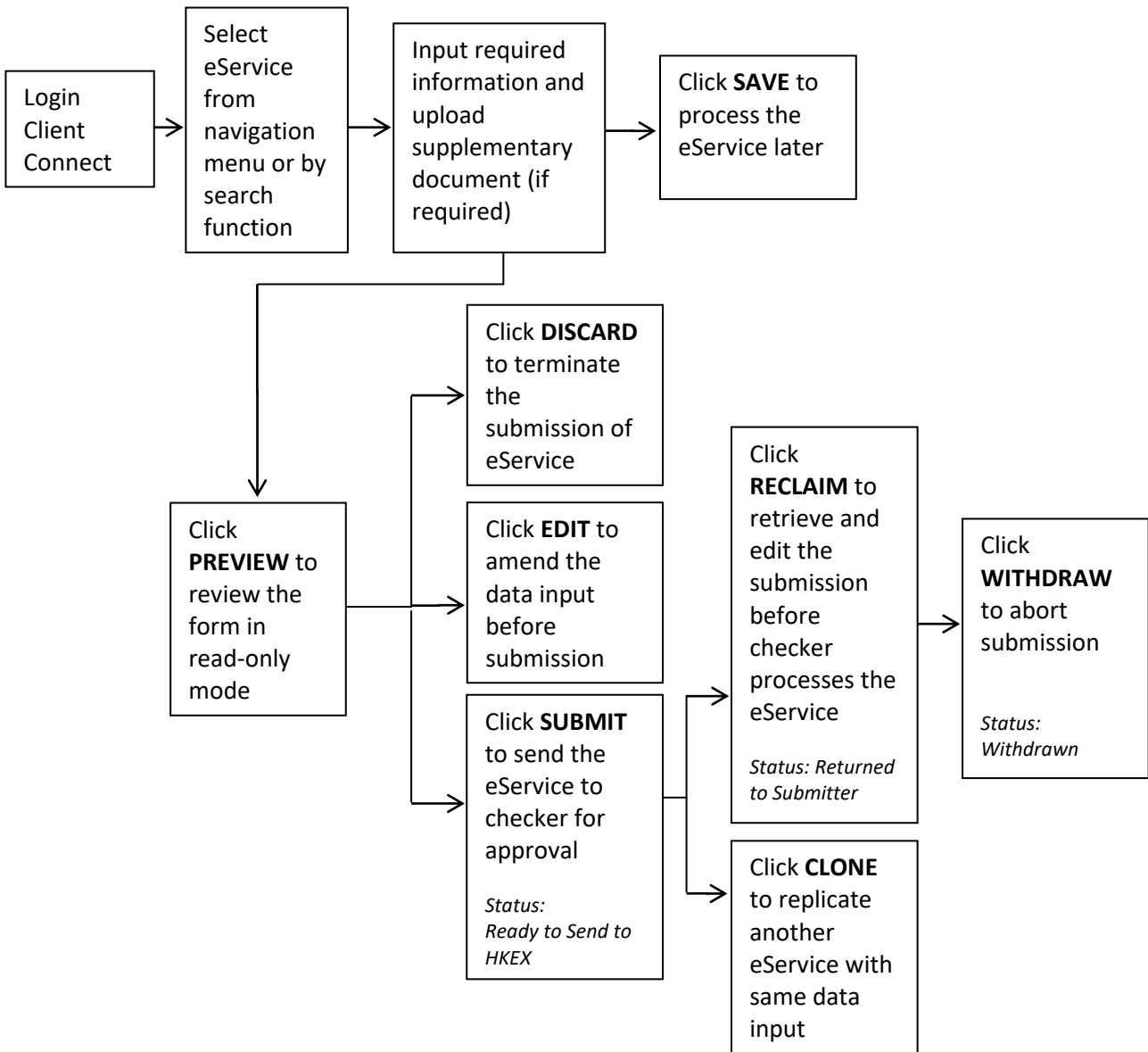
- CT014 - Weekend Testing Booking Form
- CT015 - Feedback Form for OCG-C Rollout Test
- CT016 - Confirmation Form for Change of BSS System under Orion Central Gateway - Securities Market (OCG-C) and/or Drop-Copy Session
- CT018 - BSS Declaration for OCG-C Session
- CT019 - BSS Declaration for Drop-Copy Session
- CT027 - Confirmation of OTP-C Order Consideration Limit Setting
- CT029 - Requisition Form for Change of BSS Connection Information for HKEX Orion Central Gateway (OCG) Trading / Drop Copy Session
- CT031 - Application for HKEX Orion Central Gateway Session (For BSS Users) - Market Making
- CT032 - Application for Kill Switch Session (For BSS Users)
- PS001 - Notification of Suspension / Cessation of Trading of Exchange Participant
- PS002 - Application for Re-commencement of Trading
- DT001 - HKATS Exchange Participant Contact List
- DT002 - Application for Access to HKATS Testing Environment
- DT003 - AHT Participation Registration Form
- DT004 - Request for Resetting HKATS Password
- DT005 - Request for Order Size Limits Setting
- DT006 - Request for Login Test Outside Office Hours
- DT007 - Form 7 - Application for Correction of Erroneous Trade
- DT008 - Application for HKATS Production / Testing Circuit
- DT009 - Application for Addition / Termination of HKATS Connection
- DT010 - Change Request for HKATS Usernames
- DT011 - Request for OAPI Certification Test
- DT012 - Application for Trading Access of Flexible Index Options
- DT013 - Notification of Applying HKATS Risk Functions Risk Limits
- DT014 - Confirmation of Order Price and Volume Deviation Settings
- DT015 - Application for Waiver of Market Maker Obligations
- DT016 - OAPI Application Form
- DT017 - SEHK participants to notify SEHK of their intention to engage US investors
- DT018 - HKFE participants to notify HKFE of their intention to engage US investors
- DT019 - HKATS Request (Others)

Appendix 1

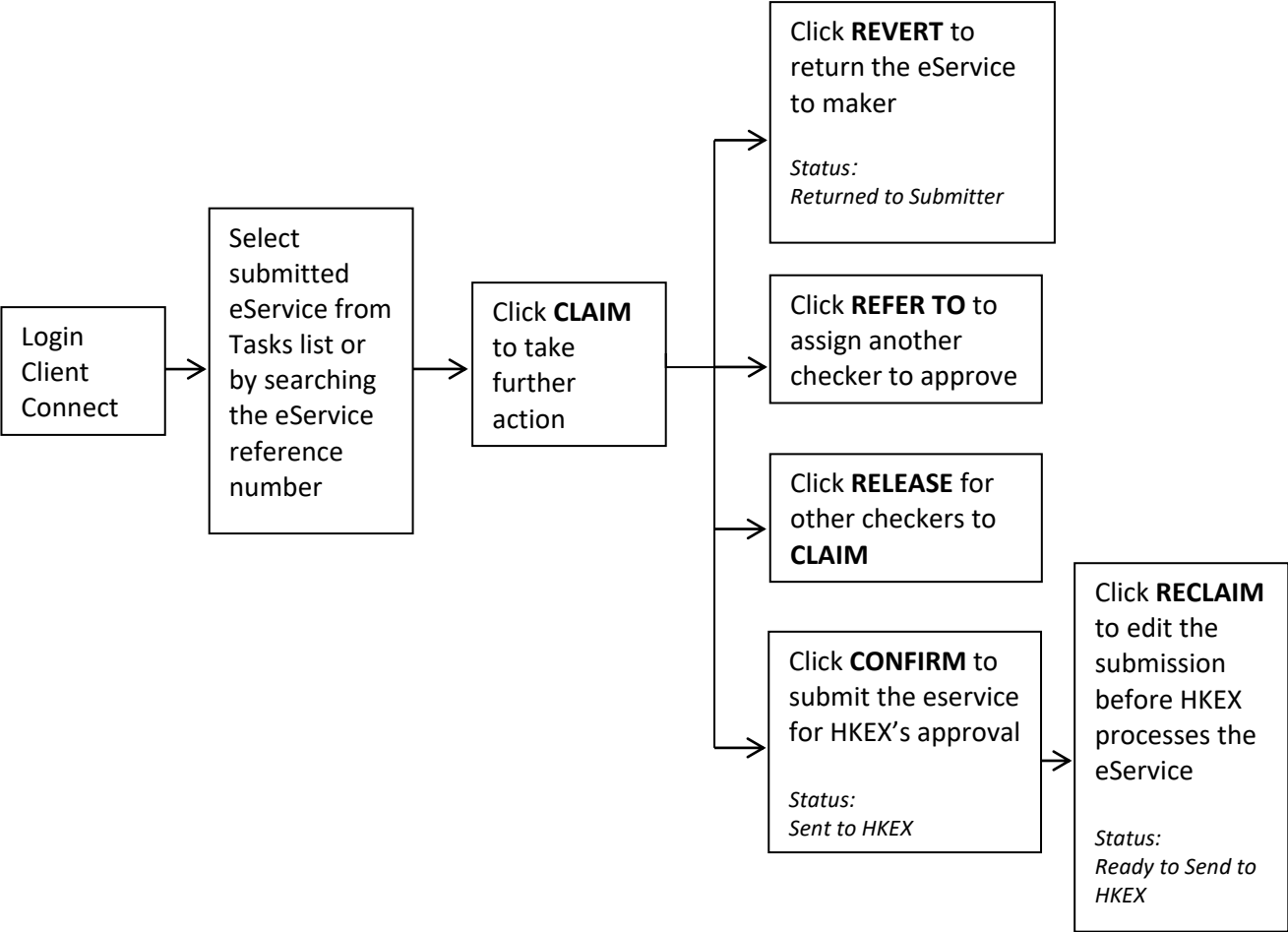
eService Workflow Type and Statuses

ACCESS PATHS FOR TYPE 1 WORKFLOW:

Maker



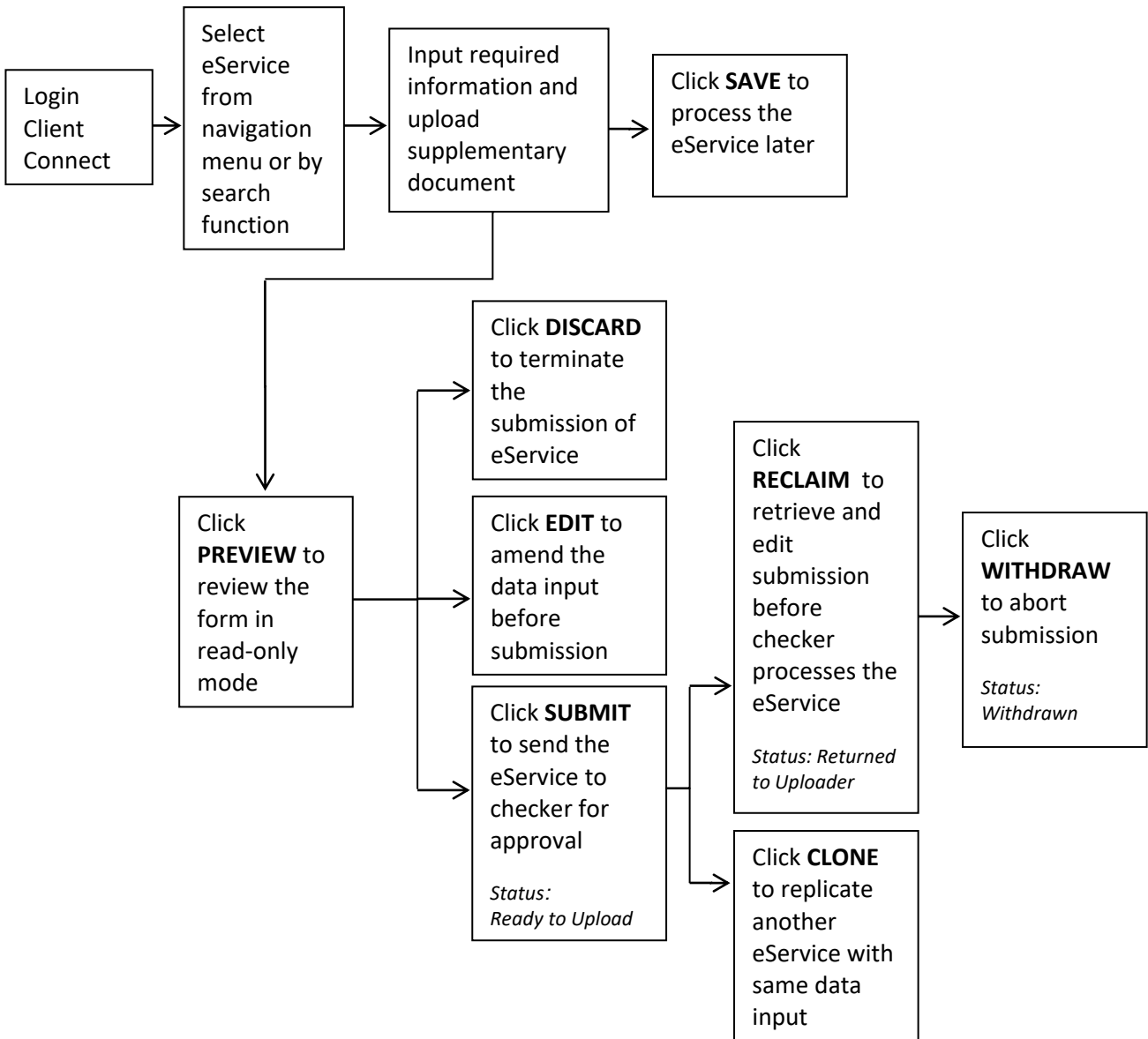
Checker



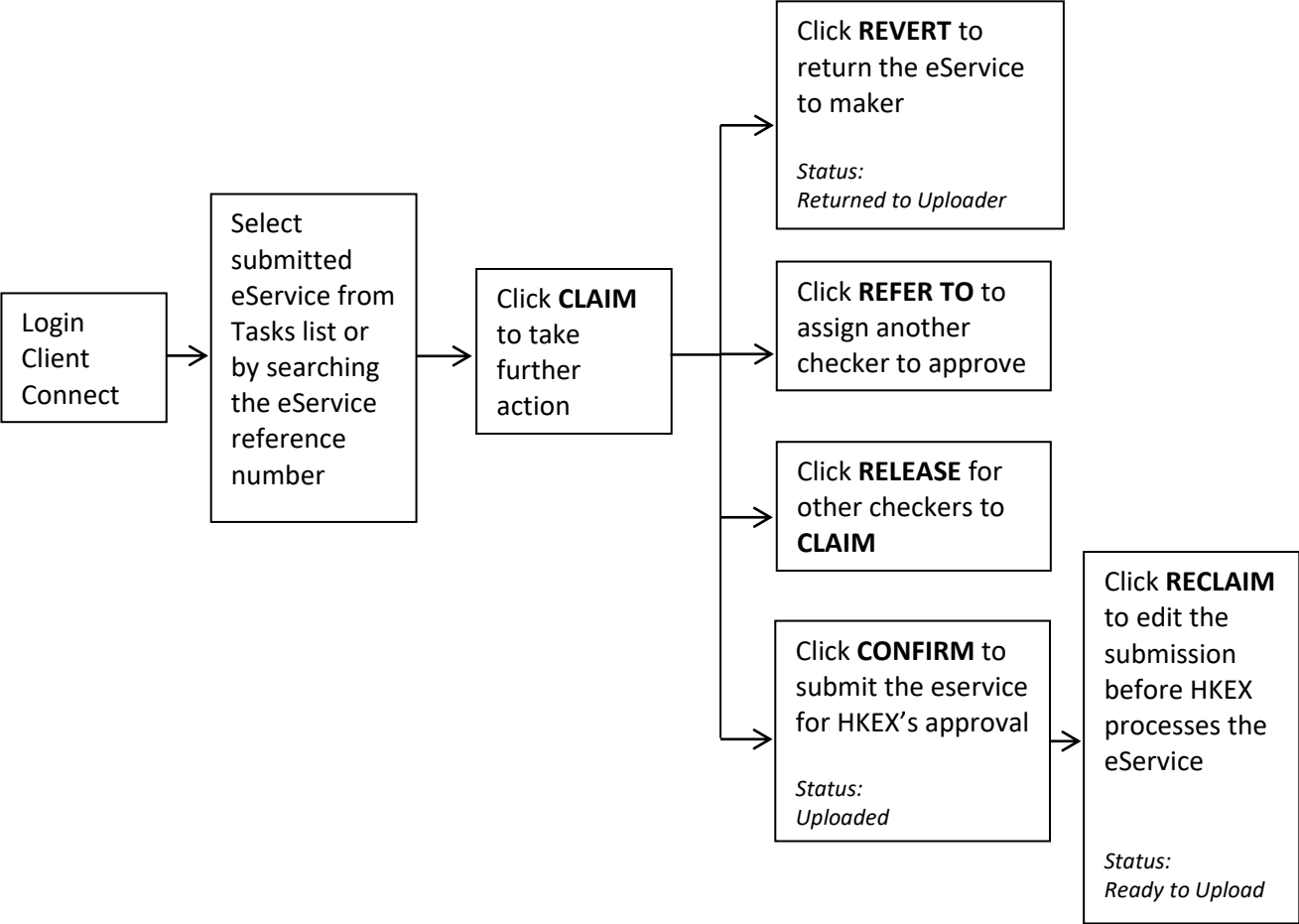
Checker has to click **CLAIM** before he/she can perform further actions on the eService.

ACCESS PATHS FOR TYPE 1 WORKFLOW (UD – SUBMISSION AND DOWNLOAD):

Maker



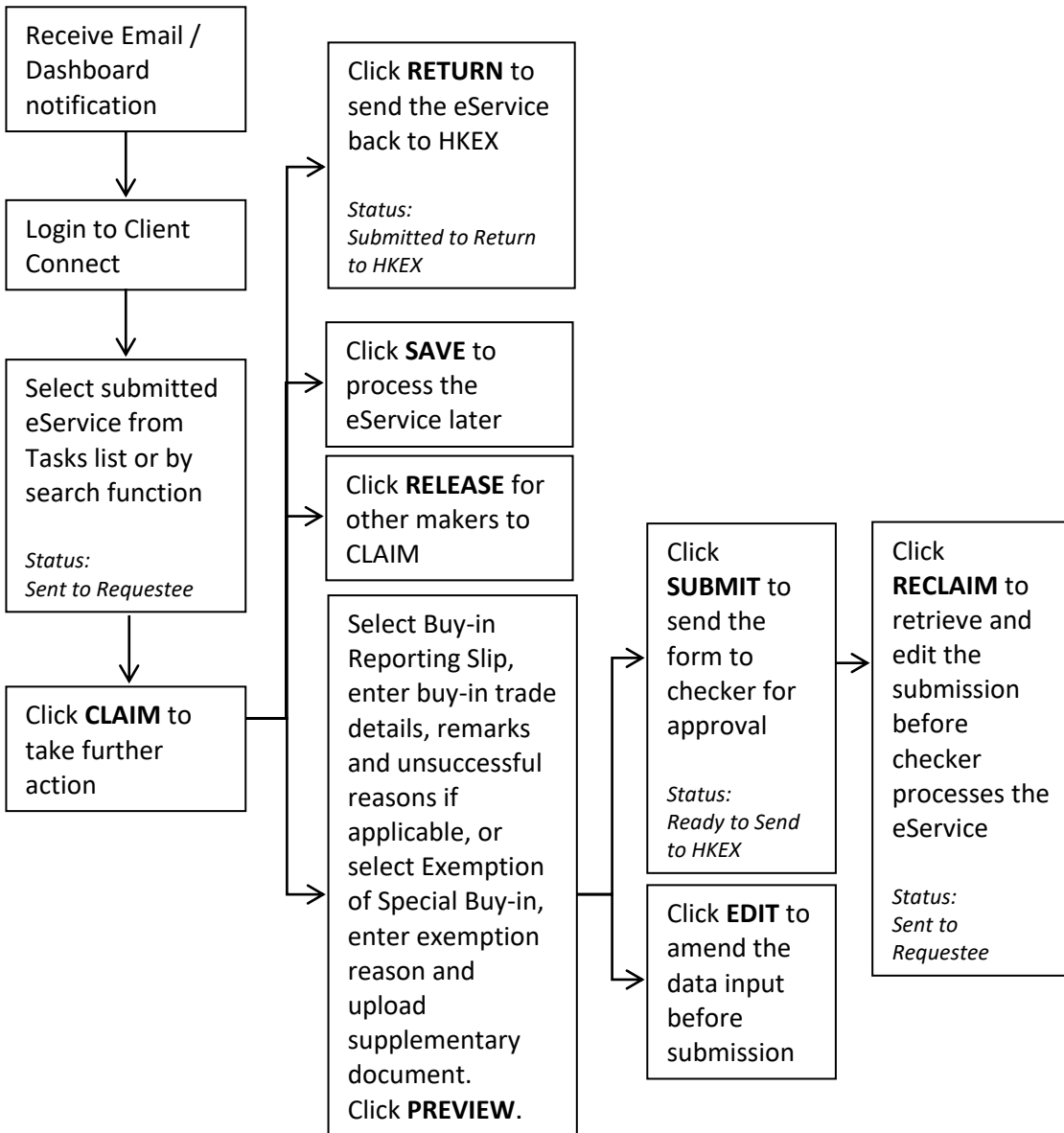
Checker



- Checker has to click **CLAIM** before he/she can perform further actions on the eService.

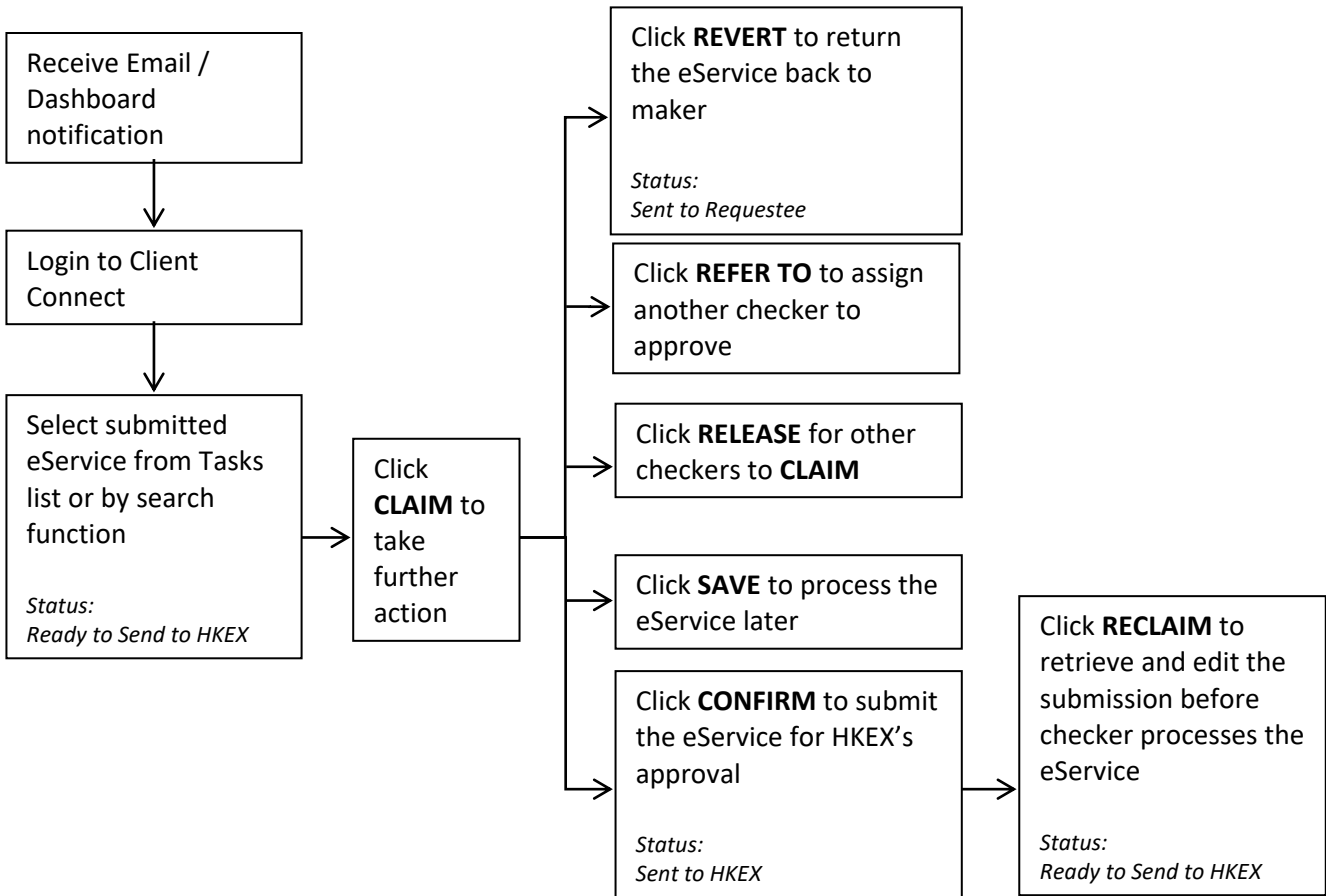
ACCESS PATHS FOR TYPE 2 WORKFLOW:

Maker

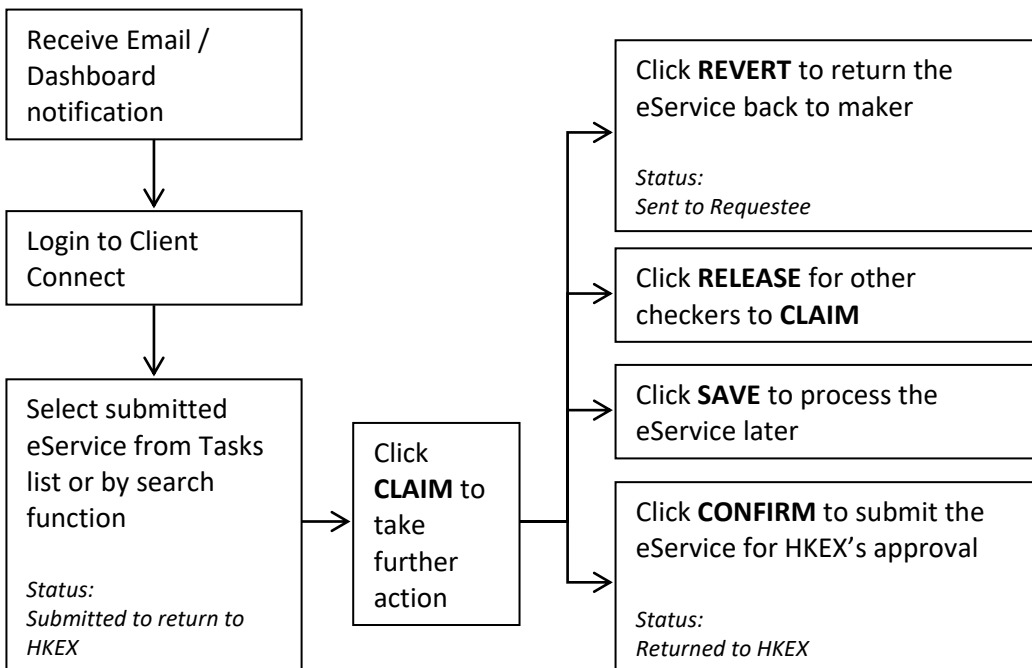


Checker

When maker confirms the submission for checker to approve:



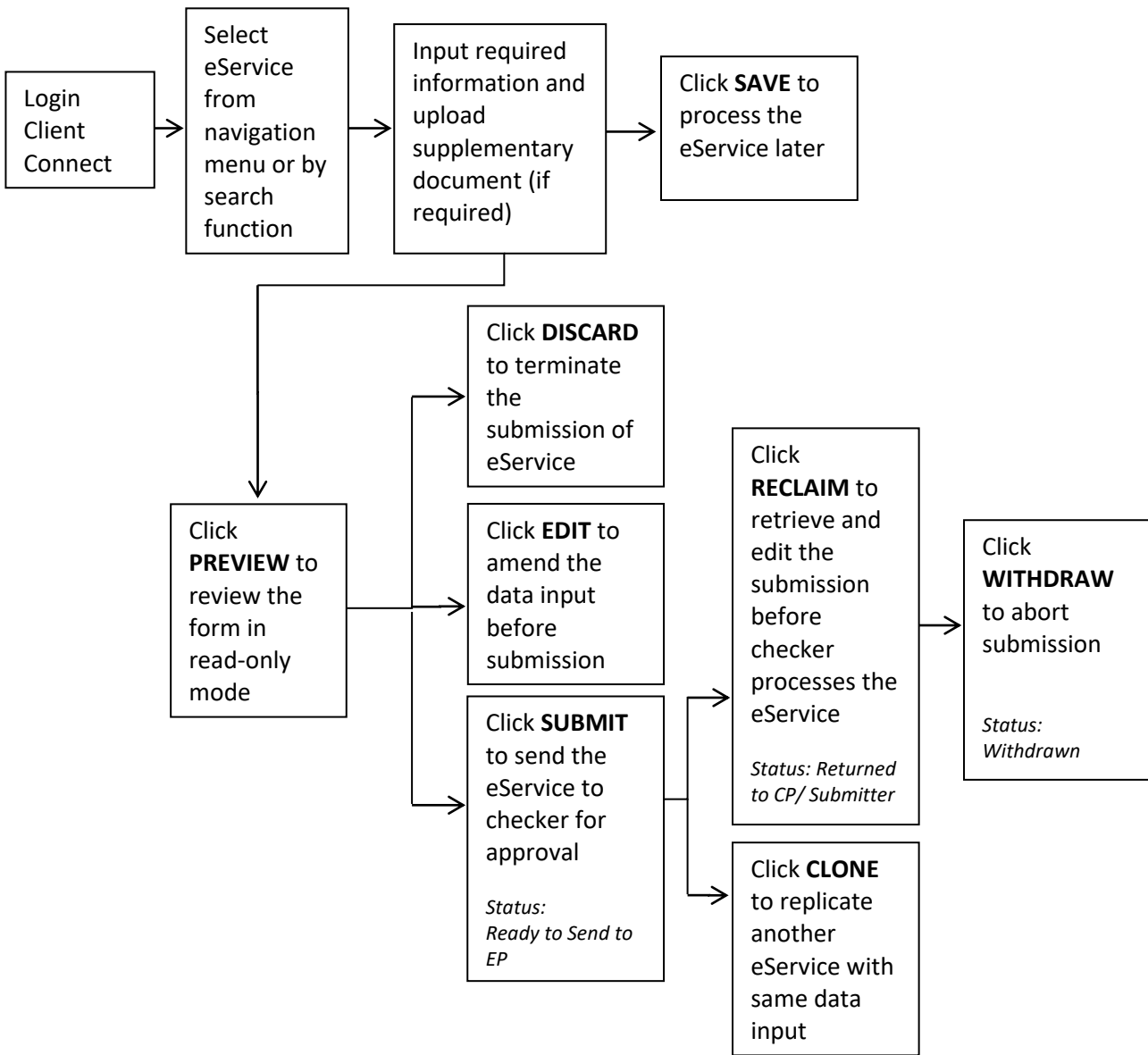
When maker returns the submission to HKEX:



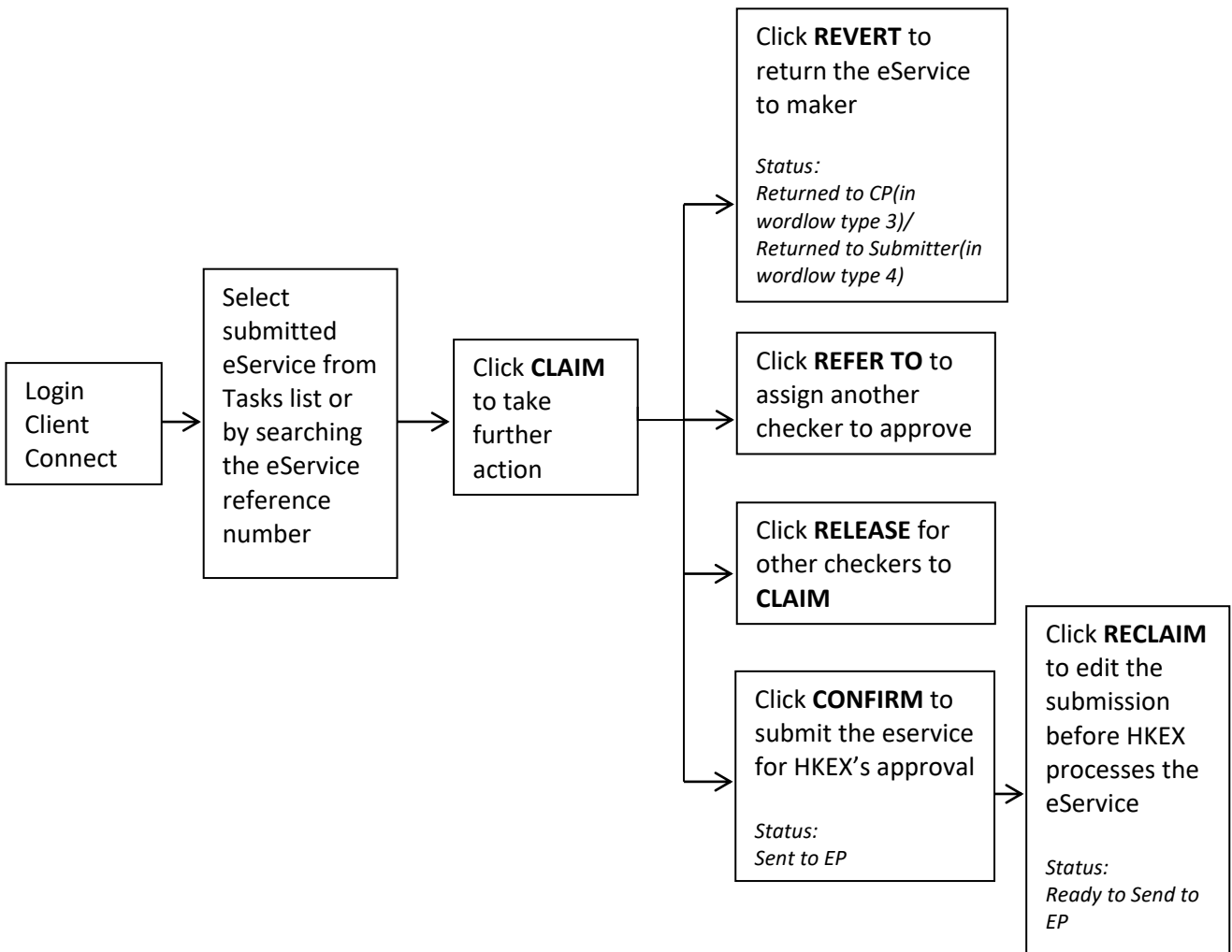
Maker and checker have to click **CLAIM** before performing further actions on the eService.

ACCESS PATHS FOR TYPE 3 & TYPE 4 WORKFLOW:

Clearing Participant / Master SPSA Holder - Maker

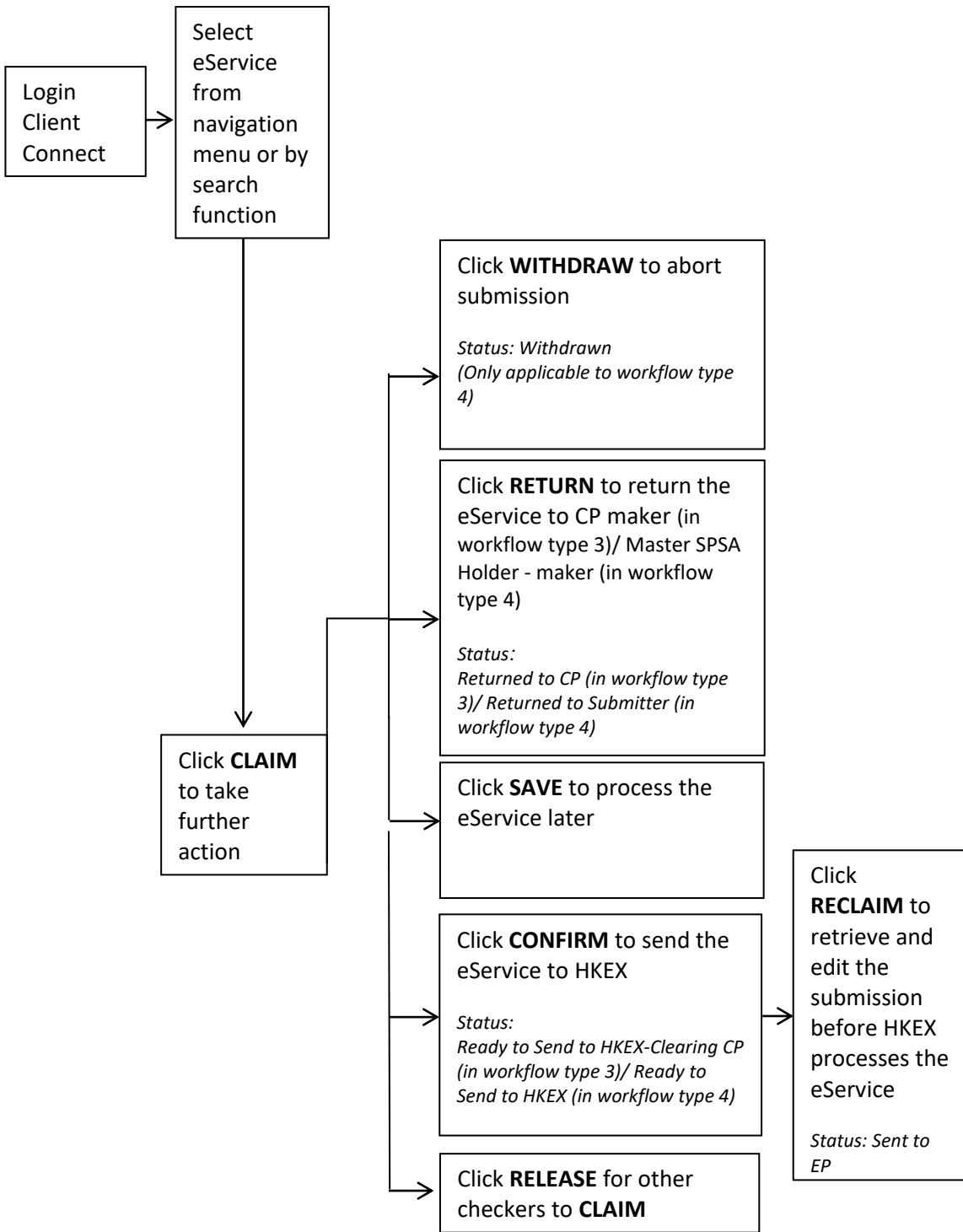


Clearing Participant / Master SPSA Holder - Checker



Checker has to click **CLAIM** before he/she can perform further actions on the eService.

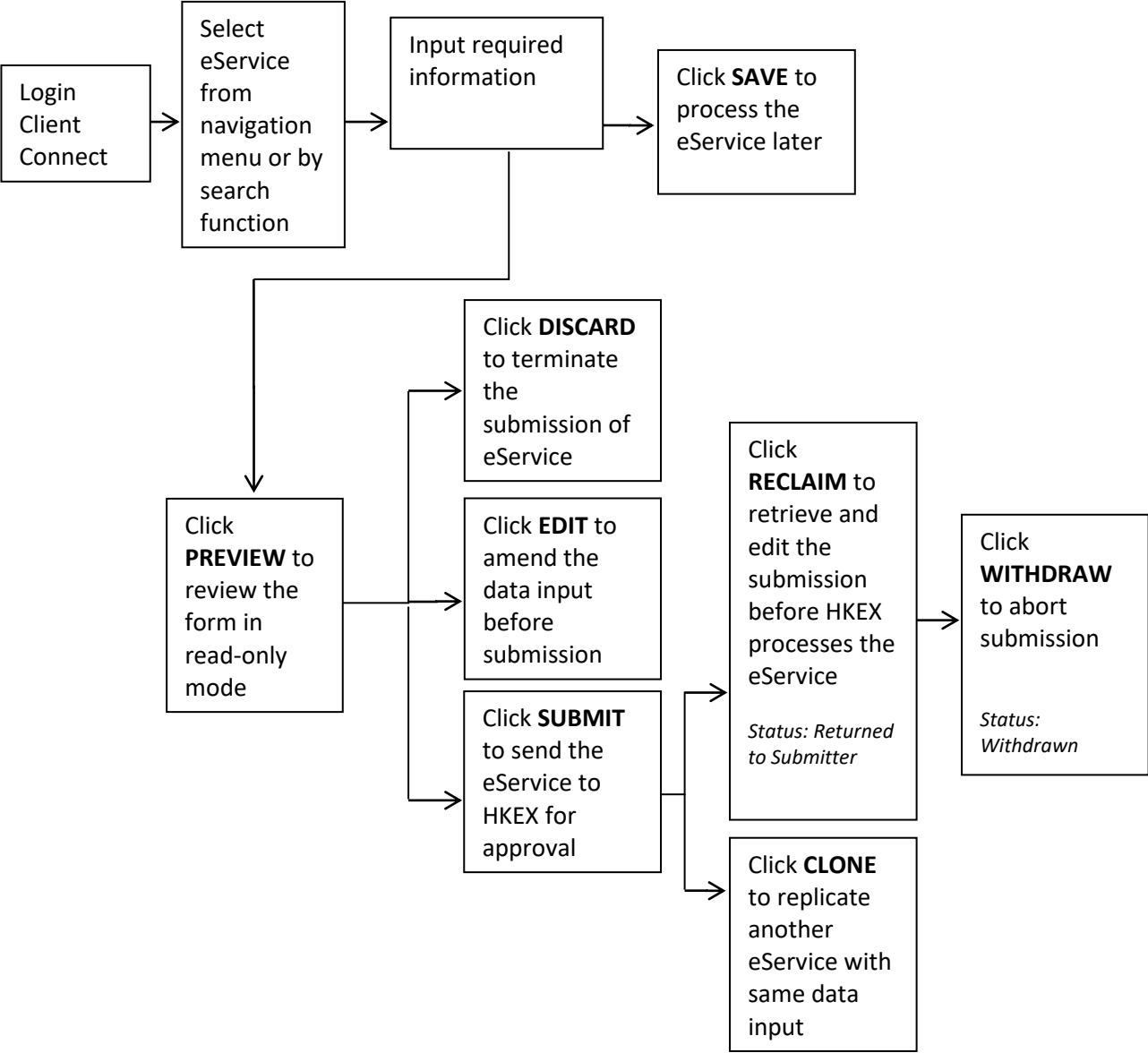
Exchange Participant



EP User has to click **CLAIM** before he/she can perform further actions on the eService.

ACCESS PATHS FOR TYPE 5 WORKFLOW:

Maker



Appendix 1

eService Workflow Type and Statuses

SUMMARY OF STATUSES:

Below table summarizes the statuses in all workflows and the description of each status.

Status (in alphabetical order)	Workflow Type	Description
Approved	1, 2, 3, 4, 5	The request is approved by HKEX
Completed	1, 2	The request is executed by HKEX
Discarded	1, 3, 4, 5	The drafted request is discarded
Draft	1, 3, 4, 5	The request is saved as draft
Ready to Send to EP	3, 4	The maker has passed the request to checker (in workflow type 3 and 4)
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, 4, 5	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, 4, 5	The request is returned to Participant by HKEX (in workflow type 1))/ to Master SPSA Holder (in workflow type 4)
Sent to EP	3, 4	The request is sent to the EP by the CP/Master SPSA Holder
Sent to HKEX	1, 2, 4, 5	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, 4, 5	The request is withdrawn by the Participant / Master SPSA Holder