

Appendix 2

USER ROLES – Client Connect

There are 2 types of users in Client Connect: Client Connect Delegated Administrator (CCDA) and Business User. CCDAs are assigned with rights (Function ID) based on the Participantship they is entitled to manage. The rights of Business users are assigned and maintained by their CCDAs.

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_DerivativesTrading	Role assignment of Derivatives Trading Functions	✓	✓
EA_HKSCCDB	Role assignment of Designated Bank Functions	✓	✓
EA_HKSCCCAP	Role assignment of Clearing Agency Participants	✓	✓
EA_MSPSA	Role assignment of Master SPSA Holders	✓	✓
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_Participantship	Role assignment of Participantship Functions	✓	✓
EA_MDConnectivity	Role assignment of Market Data 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	✓	✓
EA_UserAdmin	Access Management Admin (User Profile)	✓	✓

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_DerivativesTrading	Derivatives Trading 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_MSPSA	Services for Master SPSA Holders	✓	✓	✓
EU_Registrar	Services for Share Registrars	✓	✓	✓
EU_ETF	Services for ETF Stakeholders	✓	✓	✓
EU_SecuritiesTrading	Services for SEHK Participants on Operations	✓	✗	✓

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EU_Participantship	Services for SEHK Participants on Participantship Management	✓	✗	✓
EU_MDConnectivity	Services for HKEX-IS clients	✓	✗	✓
EU_SystemVendor	Services for System vendors	✓	✓	✓
EU_SystemVendor (Securities Trading)	Services for System vendors (Securities Trading)	✓	✗	✓
EU_SystemVendor (Derivatives Trading)	Services for System vendors (Derivatives Trading)	✓	✗	✓
EU_HKCCDepository	Services for HKCC Approved Depository	✓	✓	✓
EU_Dashboard	For accessing Resource Area only	✗	✗	✓
EU_HS_PPC	E-Service/eForm – All services request	✓	✓	✗
EU_HS_ACC	E-Service/eForm – Site Access	✓	✓	✗
EU_HS_REQ	E-Service/eForm – Remote Hands	✓	✓	✗

USER ROLES – Electronic Communication Platform (ECP)

There are 2 types of users in Electronic Communication Platform (ECP): ECP Delegated Administrator (ECP DA) and Business User. ECP DAs are assigned with rights (Function ID) based on the user types they are entitled to manage. The rights of Business users are assigned and maintained by their ECP DAs.

Function ID	Descriptions	Maker	Checker
Functions for ECP DA			
EA_ECPM	Role assignment of ECP SEHK Participant Functions	✓	✓
EA_ECPF	Role assignment of ECP HKFE Participant Functions	✓	✓
EA_ECPS	Role assignment of ECP Options Exchange Participant of SEHK Functions	✓	✓
EA_ECPD	Role assignment of ECP Designated Specialist Functions	✓	✓
EA_ECPE	Role assignment of ECP ETP Issuer Functions	✓	✓
EA_ECPB	Role assignment of ECP Beneficial Identity in Large Open Position Reporting Functions	✓	✓
EA_ECPT	Role assignment of ECP Transaction Originator in Large Open Position Reporting Functions	✓	✓
EA_ECPU	Role assignment of ECP ETF Manager or Trustee Functions	✓	✓
EA_ECPG	Role assignment of ECP HKSCC General Clearing Participant Functions	✓	✓
EA_ECPC	Role assignment of ECP HKSCC Custodian Participant Functions	✓	✓
EA_ECPCE	Role assignment of ECP Relevant Regulated Intermediaries Functions	✓	✓

Function ID	Descriptions	Maker
Functions for Business User		
EU_ECPSD	For stamp duty relevant officers to submit SD-1, SD-4, SD-6 and SD-6A to the respective folders	✓
EU_ECPTO	For Trading Operations to 1) download Files/Notice and 2) submit Reports and Questionnaire	✓
EU_ECPMM	For Securities Market Maker to receive Market Making Obligation (MMO) reports	✓
EU_ECPDO	For operations in Derivatives Market (HKFE products)	✓
EU_ECPSO	For operations in Derivatives Market (stock options)	✓
EU_ECPDS	For Designated Specialist to receive MMO reports	✓
EU_ECPPF	For ETP Issuer to receive MMO reports	✓
EU_ECPLB	For users to submit LOP reporting for Beneficial Identity	✓
EU_ECPSB	For users to submit LOP reporting for Beneficial Identity for Stock Options	✓
EU_ECPLT	For users to submit LOP reporting for Transaction Originator	✓
EU_ECPST	For users to submit LOP reporting for Transaction Originator for Stock Options	✓
EU_ECPUT	For ETF Manager / Trustee to submit ETF Files to UT1 folder	✓
EU_ECPSI	For users to receive Morning SI Message for Northbound Trading	✓
EU_ECPSAG	For users to submit Self-Attestation of Compliance Questionnaire (General Clearing Participants)	✓
EU_ECPSAC	For users to submit Self-Attestation of Compliance Questionnaire (Custodian Participants)	✓

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EU_ECPSFTP	For users to use ECP SFTP Service	✓
EU_ECPHKIDR	For operation in Hong Kong Investor ID Regime (HKIDR)	✓