

Appendix 3

LIST OF FUNCTION ID MAPPING BY TYPE OF USERS

- Please refer to Table 1 for all the functions CCDAs can perform.
- Please refer to Table 2 for all other EA functions that will be assigned to CCDAs based on the eligible Participantship they are entitled to manage, as well as the EU functions that CCDAs can assign to their Business users.
- Please refer to Table 3 for all other EA functions that will be assigned to ECP DAs based on the eligible user types they are entitled to manage, as well as the EU functions that ECP DAs can assign to their Business users.

Table 1 - CCDA

CCDA Functions	Remarks
Function ID: EA_UserAdmin	
1. Access Rights Management Dashboard	Eligible to all CCDAs.
2. Manage Users	
- View Users list	Eligible to all CCDAs. Maker-checker mechanism is provided.
- Create Users	
- Delete Users	
- Edit Users	
- Grant Access Groups to Users	
- Unlock User Accounts	
3. Access Company Profile	Eligible to all CCDAs.
- View Company Details	
- View Company Identity	
- View Company Users	
- View Company Admins	
4. Manage Business user rights	Other EA functions are assigned based on Participantships that the CCDAs are entitled to manage. Eligible to all CCDAs. Maker-checker mechanism is provided.
- Assign rights to Business users for all eServices and physical forms usage	
Function ID: EU_UserMaintenance	
5. Access Client Connect	Eligible to all CCDAs.
6. Access user maintenance related eServices / forms	
- Smartcard Maintenance for User and DA (SCard 1)	Only eligible to HKSCC Participant, HKSCC Designated Bank, HKSCC Clearing Agency Participant, HKCC & SEOCH Participant. Maker-checker mechanism is provided.
- Order Smartcard Reader(s) (SCard 3)	
- Smartcard Maintenance for user (PG or Special Request) (SCard 2)	
- DCASS User Account Maintenance Request to HKCC/SEOCH (AC 2)	Only eligible to HKCC & SEOCH Participant.
- VaR Online Delegated Administrator Rights Application / Maintenance Form (DA 1)	Only eligible to HKSCC Participant.

Appendix 3

List of User Roles Mapping by type of users

Table 2 – Client Connect

Participanship/Identity	CCDA Function ID	Managing Business Function ID
HKSCC Participant	EA_SecuritiesClearing	EU_CompanyAdministration
		EU_AccountMaintenance
		EU_SecuritiesSettlement
		EU_TechnicalSetup
		EU_Participanship
		EU_Dashboard
	EA_DNS	EU_CommonNomineeService
		EU_Depository
		EU_Dashboard
HKSCC Designated Bank	EA_HKSCCDB	EU_CompanyAdministration
		EU_TechnicalSetup
		EU_Dashboard
HKCC Participant	EA_DerivativesClearing	EU_DerivativesClearing
		EU_CompanyAdministration
		EU_AccountMaintenance
		EU_TechnicalSetup
		EU_Participanship
		EU_Dashboard
SEOCH Participant	EA_DerivativesClearing	EU_DerivativesClearing
		EU_CompanyAdministration
		EU_AccountMaintenance
		EU_TechnicalSetup
		EU_Participanship
		EU_Dashboard
SEHK Participant	EA_SecuritiesTrading	EU_SecuritiesTrading
	EA_Participanship	EU_Dashboard
		EU_Participanship
HKFE Participant	EA_DerivativesTrading	EU DerivativesTrading
		EU_Dashboard
Options Tradig Exchange Participant		
Master SPSA Holder	EA_MSPSA	EU_MSPSA
		EU_Dashboard
HKEX-IS Clients	EA_MDConnectivity	EU_MDConnectivity
		EU_Dashboard
Share Registrar	EA_Registrar	EU_Registrar
		EU_Dashboard
System Vendor	EA_SystemVendor	EU_SystemVendor
		EU_Dashboard
Hosting Services	EA_HS	EU_HS_PPC
		EU_HS_ACC
		EU_HS_REQ

Table 3 – Electronic Communication Platform (ECP)

User Type	Identity	ECP DA Function ID	Managing Business Function ID
SEHK Participant	ECP SEHK Participant	EA_ECPCM	EU_ECPSD
			EU_ECPTO
			EU_ECPMM
			EU_ECPSFTP
	ECP Relevant Regulated Intermediaries	EA_ECPCCE	EU_ECPHKIDR
			EU_ECPSFTP
HKFE Participant	ECP HKFE Participant	EA_ECPCF	EU_ECPCDO
			EU_ECPSFTP
Options Exchange Participant of SEHK	ECP Options Exchange Participant of SEHK	EA_ECPCS	EU_ECPCSO
			EU_ECPSFTP
Exchange Traded Products related user (ETP Issuer, Designated Specialist or Securities Market Maker)	ECP Designated Specialist	EA_ECPCD	EU_ECPCDS
			EU_ECPSFTP
	ECP ETP Issuer	EA_ECPCPE	EU_ECPCPF
			EU_ECPSFTP
Large Open Position Reporting User	ECP Beneficial Identity in Large Open Position Reporting	EA_ECPCB	EU_ECPCLB
			EU_ECPCSB
			EU_ECPSFTP
	ECP Transaction Originator in Large Open Position Reporting	EA_ECPCPT	EU_ECPCLT
			EU_ECPCST
			EU_ECPSFTP
ETF Manager or Trustee	ECP ETF Manager or Trustee	EA_ECPCU	EU_ECPCUT
			EU_ECPSFTP
HKSCC General Clearing Participant	ECP HKSCC General Clearing Participant	EA_ECPCG	EU_ECPCSI
			EU_ECPCSAG
			EU_ECPSFTP
HKSCC Custodian Participant	ECP HKSCC Custodian Participant	EA_ECPCPC	EU_ECPCSAC
			EU_ECPSFTP
Relevant Licensed or Registered Person	ECP Relevant Regulated Intermediaries	EA_ECPCCE	EU_ECPHKIDR
			EU_ECPSFTP