

Appendix 4

LIST OF FUNCTION ID MAPPING WITH eSERVICE / FORMS

Below tables list all available eServices/forms in EU functions corresponding to the EA functions in Table 2 of Appendix 3 under each Participantship/Identity.

HKSCC Participants

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name	
EA_SecuritiesClearing	EU_SecuritiesSettlement	✓		Set 1	Application to HKSCC for Exemption of Buy-in	
		✓		Set 2	Early Buy-in Request to HKSCC	
		✓		Set 3	Request to HKSCC for Special Buy-In	
		✓		Set 4	Buy-in Request to HKSCC for CCASS Isolated Trades only	
		✓		Set 5	Authorization to HKSCC from the short clearing participant for debiting their stock entitlement account	
		✓		UD	Submission and Download	
			✓		CCASS-Form 1	Voting Request Form - CNS Positions
			✓		CCASS-Form 2	Entitlement Election Form - CNS Positions
			✓		CCASS-Form 3	Subscription of Open Offer Form - CNS Positions
			✓		CCASS-Form 4	Take-over Offer Acceptance/Election Form - CNS Positions
			✓		CCASS-Form 5	Rights Issues Subscription Election Form - CNS Positions
			✓		CCASS-Form 5	Debt Securities Conversion Request Form - CNS Positions
			✓		CCASS-Form 5	Warrant Conversion Election Form - CNS Positions
			✓		CCASS-Form 5	Rights Issues Subscription Election Form - IT Positions
			✓		CCASS-Form 5	Debt Securities Conversion Request Form - IT Positions
			✓		CCASS-Form 5	Warrant Conversion Election Form - IT Positions
			✓		CCASS-Form 6	Debt Securities Redemption Request Form - IT Positions
			✓		CCASS-Form 7	Application Form for Cancellation of Settlement Position
			✓		CCASS-Form 8	Cash Prepayment - Intra-bank Transfer Sample
			✓		CCASS-Form 9	Cash Prepayment - CHATS Payment Instruction Sample
		✓		CCASS-Form 70	Adjustment Request form for Sellable Balance due to Outstanding Positions in China Connect Securities	
		✓		CCASS-Form 71	Shanghai and Shenzhen Stock Connect: Cash Prepayment Request Form	
		✓		CCASS-Form 89	Early Release of Securities-on-hold Application Form	
		✓		CCASS-Form 90	Placing / Cancellation of Standing Instruction in connection with Collateral Provided for the Early Release of Securities-on-hold	
		✓		CCASS-Form 91	Application Form for Withdrawal of Surplus Collateral	
		EU_AccountMaintenance	✓		AC 5	Stock Account Mapping Maintenance to HKSCC for the Use of Shanghai and Shenzhen Stock Connect
			✓		AC 6	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC
			✓		AC 12	Update Bank Account
			✓		AC 14	Stock Segregated Account - Without Statement Maintenance Request to HKSCC
				✓	CCASS-Form 56	Request for Maintenance of Day-End Standing Instruction on Redelivery of Surplus Cash
				✓	CCASS-Form 57	Stock Lending Account Opening Form
		EU_CompanyAdministration	✓		AC 9	Change of Company Name
			✓		AC 11	Change of Authorised Signatories
			✓		AC 13	Change of Company Particulars and Contact Persons
			✓		AC 15	Standing Instruction to HKSCC for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CPI
			✓		RR 1	Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files
	✓			Event ID	Activity Enrolment	
			✓	G-Form 8	Application/Change Request for Liquid Capital Apportionment	
			✓	CCASS-Form 96	Application Form for Appointment of Settlement Agent / Access to CCASS from a Foreign Jurisdiction	

Appendix 4

List of Function ID Mapping with eService / forms

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name	
			✓	CCASS-Form 97	Cancellation Form for Appointment of Settlement Agent	
EA_SecuritiesClearing (Cont'd)	EU_Participantship	✓		PAM 2	Registration as a Clearing Participant registered to use the Clearing Link for the Clearing and Settlement of Transactions Involving China Connect Securities	
	EU_TechnicalSetup	✓		TechS 6	CCASS/CCMS SDNet Line Service Notification	
		✓		TechS 7	PG Acquisition Confirmation Reply and Explanatory Notes	
		✓		TechS 8	RAP Registration and Maintenance for HKSCC or HKCC / SEOCH or Share Registrar	
			✓	G-Form 10	Sharing of CCASS3/CCMS Terminal to Access CCASS/CCMS	
			✓	CCASS-Form 72	Request for Back-up Facilities Form	
	EU_UserMaintenance	✓		DA 1	DA 1 – Orion Risk Platform (ORP) Delegated Administrator Rights Application / Maintenance Form	
	EA_DNS	EU_Depository	✓		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)	
			✓	CCASS-Form 12	Stock Collection Authorization Form	
			✓	CCASS-Form 13	Stock Pledgee Declaration Form	
			✓	CCASS-Form 14	Stock Deposit Form^	
			✓	CCASS-Form 15	Void Voucher (Participant Copy)^	
			✓	CCASS-Form 16	Adjustment Voucher (Participant Copy)^	
			✓	CCASS-Form 17	Beneficiary Details and Registration Authorization Form	
			✓	CCASS-Form 24	Foreign Securities Withdrawal Form	
			✓	CCASS-Form 28	Creation of Units - Credit Authorization Form (Cash Application)	
			✓	CCASS-Form 29	Creation of Units (In Kind Creation) - Debit and Credit Authorization Form	
			✓	CCASS-Form 30	Redemption of Units - Debit and Credit Authorization Form	
			✓	CCASS-Form 66	Non-trade Transfer in China Connect Security Stamp Duty Declaration Form (for Shanghai)(Form available in Chinese only)	
			✓	CCASS-Form 67	Non-trade Transfer in China Connect Security Stamp Duty Declaration Form (for Shenzhen)(Form available in Chinese only)	
			✓	CCASS-Form 96	Application for Withdrawal Fee Concession (Condition 3) - Sample Application Letters	
EA_DNS (Cont'd)	EU_CommonNomineeService	✓		Nom 1	Dividend Bonus Claim Submission to HKSCC	
		✓		Nom 2	Denomination of certificate	
			✓	CCASS-Form 36	Voting Request Form	
			✓	CCASS-Form 37	Corporate Representative/ Proxy Request Form	
			✓	CCASS-Form 38	Foreign Currency Dividend Entitlement Instruction Form	
			✓	CCASS-Form 39	Cash/ Scrip Dividend Election Form	

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
			✓	CCASS-Form 40	Subscription of Open Offer Form
			✓	CCASS-Form 41	Takeover Offer Acceptance/Election Form
			✓	CCASS-Form 42	Rights Issues Subscription Request Form
			✓	CCASS-Form 43	Warrant Conversion Request Form
			✓	CCASS-Form 45	Debt Securities Conversion Request Form
			✓	CCASS-Form 46	Debt Securities Redemption Acceptance Form
			✓	CCASS-Form 47	Declaration and Letter of Indemnity in respect of Issuance of Replacement Transfer Deed
			✓	CCASS-Form 64	Subscription of Open Offer Form (for China Connect Securities only)

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List of Function ID Mapping with eService / forms

HKSCC Designated Bank

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name	
EA_HKSCCDB	EU_CompanyAdministration	✓		AC 9	Change of Company Name	
		✓		AC 11	Change of Authorised Signatories	
		✓		AC 13	Change of Company Particulars and Contact Persons	
		✓		Event ID	Activity Enrolment	
		✓		RR 1	Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files	
	EU_TechnicalSetup	✓			TechS 6	CCASS/CCMS SDNet Line Service Notification
		✓			TechS 7	PG Acquisition Confirmation Reply and Explanatory Notes
			✓		G-Form 10	Sharing of CCASS3/CCMS Terminal to Access CCASS/CCMS
			✓		CCASS-Form 72	Request for Back-up Facilities Form

HKSCC Clearing Agency Participant

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
EA_SecuritiesClearing	EU_SecuritiesSettlement		✓	CCASS-Form 1	Voting Request Form - CNS Positions
			✓	CCASS-Form 2	Entitlement Election Form - CNS Positions
			✓	CCASS-Form 3	Subscription of Open Offer Form - CNS Positions
			✓	CCASS-Form 4	Take-over Offer Acceptance/Election Form - CNS Positions
			✓	CCASS-Form 5	Rights Issues Subscription Election Form - CNS Positions
			✓	CCASS-Form 5	Debt Securities Conversion Request Form - CNS Positions
	EU_Participantship	✓		PAM 2	Registration as a Clearing Participant registered to use the Clearing Link for the Clearing and Settlement of Transactions Involving China Connect Securities
EA_HKSCCAP	EU_AccountMaintenance	✓		AC 12	Update Bank Account
		✓		AC 14	Stock Segregated Account - Without Statement Maintenance Request to HKSCC
	EU_CompanyAdministration	✓		AC 9	Change of Company Name
		✓		AC 11	Change of Authorised Signatories
		✓		AC 13	Change of Company Particulars and Contact Persons
		✓		AC 15	Standing Instruction to HKSCC for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CPI
		✓		RR 1	Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files
		✓		Event ID	Activity Enrolment
			✓	CCASS Form 96	Application Form for Appointment of Settlement Agent / Access to CCASS from a Foreign Jurisdiction
		✓	CCASS Form 97	Cancellation Form for Appointment of Settlement Agent	
	EU_TechnicalSetup	✓		TechS 6	CCASS/CCMS SDNet Line Service Notification
		✓		TechS 8	RAP Registration and Maintenance for HKSCC or HKCC / SEOCH or Share Registrar
			✓	G-Form 10	Sharing of CCASS3/CCMS Terminal to Access CCASS/CCMS
EA_DNS	EU_CommonNominee Service	✓		UD	Submission and Download

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List of Function ID Mapping with eService / forms

HKCC Participant

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name	
EA_DerivativesClearing	EU_DerivativesClearing	✓		AC 2	DCASS User Account Maintenance Request To HKCC / SEOCH	
			✓	HKCC-Form 1	On-behalf Trade Adjustment Request Form	
			✓	HKCC-Form 2	On-behalf Trade Give-up/Take-up Request Form	
			✓	HKCC-Form 3	On-behalf Average Price Trade (APT) Request Form	
			✓	HKCC-Form 4	On-behalf Internal Position Adjustment Request Form	
			✓	HKCC-Form 5	External Position Transfer Request Form	
			✓	HKCC-Form 6	Annulment of Position Netting Request Form	
			✓	HKCC-Form 10	Notification of Settlement Failure in respect of Open Contracts in Exchange Fund Notes	
			✓	HKCC-Form MF04	Delivery Notice for Physically Settled Metal Futures Contract - HKCC	
			✓	HKCC-Form MF05	Acceptance Notice for Physically Settled Metal Futures Contract - HKCC	
			✓	HKCC-Form MF06	Delivery Notice After Allocation for Physically Settled Metal Futures Contract - HKCC	
			✓	HKCC-Form MF07	Settlement Failure Notice for Physically Settled Metal Futures Contract - HKCC	
			EU_Participantship	✓		PAM 2
		EU_CompanyAdministration	✓		AC 9	Change of Company Name
			✓		AC 11	Change of Authorised Signatories Form
			✓		AC 13	Change of Company Particulars and Contact Persons
			✓		Event ID	Activity Enrolment
			✓		RR 1	Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files
				✓	G-Form 8	Application/Change Request for Liquid Capital Apportionment
				✓	HKCC-Form 11	Request on Change of Advance Margin Deposit
		EU_AccountMaintenance	✓		AC 1	DCASS Account Maintenance Request to HKCC/SEOCH
			✓		AC 3	Selected Currency Designation Request to HKCC/SEOCH
			✓		AC 12	Update Bank Account
				✓	HKCC-Form MF01	Notification of Execution of Physical Delivery Agent for Physically Settled Metal Futures Contract - HKCC
				✓	HKCC-Form MF02	Notification of Termination of Physical Delivery Agent for Physically Settled Metal Futures Contract - HKCC
				✓	HKCC-Form MF03	Depository Account Maintenance Notice for Physically Settled Metal Futures Contract - HKCC
		EU_UserMaintenance	✓		AC 2	DCASS User Account Maintenance Request To HKCC / SEOCH

EU_TechnicalSetup	✓		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
	✓		TechS 5	DCASS Production/Testing Line Application and/or Change of Bandwidth Notification to HKCC/SEOCH
	✓		TechS 6	CCASS/CCMS SDNet Line Service Notification
	✓		TechS 8	RAP Registration and Maintenance for HKSCC or HKCC / SEOCH or Share Registrar
		✓	G-Form 10	Sharing of CCASS3/CCMS Terminal to Access CCASS/CCMS
		✓	DCASS-Form 9	Application Form for accessing DCASS via HKEX's Contingency Gateway
		✓	DCASS-Form S	Request for usage of DCASS Backup Centre Form

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List of Function ID Mapping with eService / forms

SEOCH Participant

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name		
EA_DerivativesClearing	EU_DerivativesClearing	✓		AC 2	Dcass User Account Maintenance Request To HKCC / SEOCH		
			✓	SEOCH-Form A1	On-behalf Trade Adjustment Request Form		
			✓	SEOCH-Form A2	On-behalf Trade Give-up/Take-up Request Form		
			✓	SEOCH-Form A3	On-behalf Average Price Trade (APT) Request Form		
			✓	SEOCH-Form A4	On-behalf Internal Position Adjustment Request Form		
			✓	SEOCH-Form A5	External Position Transfer Request Form		
			✓	SEOCH-Form A6	Annulment of Position Netting Request Form		
			✓	SEOCH-Form A7	On-behalf Cover/Decover Request Form		
		✓	SEOCH-Form A8	On-behalf Exercise/ Exercise Adjustment Request Form			
		EU_Participantship	✓		PAM 2	Registration as a Clearing Participant registered to use the Clearing Link for the Clearing and Settlement of Transactions Involving China Connect Securities	
		EU_CompanyAdministration	✓		AC 9	Change of Company Name	
			✓		AC 11	Change of Authorised Signatories	
			✓		RR 1	Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files	
			✓		AC 13	Change of Company Particulars and Contact Persons	
			✓		Event ID	Activity Enrolment	
				✓	G-Form 8	Application/Change Request for Liquid Capital Apportionment	
		EU_AccountMaintenance	✓		AC 1	DCASS Account Maintenance Request to HKCC/SEOCH	
			✓		AC 3	Selected Currency Designation Request to HKCC/SEOCH	
			✓		AC 4	CCMS Collateral Account Designation for Marks, Margin and Concentration Collateral Collection by SEOCH	
			✓		AC 12	Update Bank Account	
				✓	SEOCH-Form A10	Opening/ Maintenance of Market Maker Account for Designated Trader Form	
		EU_UserMaintenance	✓		AC 2	DCASS User Account Maintenance Request To HKCC / SEOCH	
		EU_TechnicalSetup	✓		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	
			✓		TechS 5	DCASS Production/Testing Line Application and/or Change of Bandwidth Notification to HKCC/SEOCH	
			✓		TechS 6	CCASS/CCMS SDNet Line Service Notification	
			✓		TechS 8	RAP Registration and Maintenance for HKSCC or HKCC / SEOCH or Share Registrar	
					✓	G-Form 10	Sharing of CCASS3/CCMS Terminal to Access CCASS/CCMS
					✓	DCASS-Form 9	Application Form for accessing DCASS via HKEX's Contingency Gateway
				✓	DCASS-Form S	Request for usage of DCASS Backup Centre Form	

SEHK Participant

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
EA_SecuritiesTrading	EU_SecuritiesTrading	✓		AC 5	Stock Account Mapping Maintenance to HKSCC for the Use of Shanghai and Shenzhen Stock Connect
		✓		AC 6	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC
		✓		AC 8	Master SPSA ID & Designated Executing Broker Mapping Maintenance Request
		✓		Event ID	Activity Enrolment
	EU_Participantship	✓		PAM 1	Registration as an Exchange Participant registered to use the Trading Link to trade in China Connect Securities

Appendix 4

List of Function ID Mapping with eService / forms

HKFE Participants

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
EA_DerivativesTrading	EU_DerivativesTrading	✓	✓	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
		✓	✓	DT008	Application for HKATS Production / Testing Circuit
		✓	✓	DT011	Request for OAPI Certification Test

OTEP Participants

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
EA_DerivativesTrading	EU_DerivativesTrading	✓	✓	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
		✓	✓	DT008	Application for HKATS Production / Testing Circuit

Appendix 4List of Function ID Mapping with eService / forms

Master SPSA Holder

<u>CCDA Rights</u>	<u>Business Rights</u>	<u>eService</u>	<u>Physical form</u>	<u>eService ID / Form #</u>	<u>eServices / Form name</u>
<u>EA MSPSA</u>	<u>EU MSPSA</u>	✓		AC 7	Master SPSA ID to SPSA Mapping Maintenance Request
		✓		AC 8	Master SPSA ID & Designated Executing Broker Mapping Maintenance Request

System Vendor

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
EA_SystemVendor	EU_SystemVendor	✓		TechS 2	DCASS OAPI Certification Test Application/Confirmation Form
		✓		TechS 3	DCASS OAPI Program Readiness Declaration Form
		✓		TechS 4	Request to HKCC/SEOCH for accessing DCASS OAPI Testing Environment
		✓		TechS 5	DCASS Production/Testing Line Application and/or Change of Bandwidth Notification to HKCC/SEOCH
		✓		Event ID	Activity Enrolment

Appendix 4

List of Function ID Mapping with eService / forms

Market Data Vendor/End User/Application Service Provider

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
EA_MDConnectivity	EU_MDConnectivity	✓		MDC01	Connection Notification Form
		✓		MDC02	Notification Form for Termination or Relocation of Market Data Connection
EA_SecuritiesTrading	EU_SecuritiesTrading EU_Participantship	✓		MDA01	EP Declaration Form for Free Market Data Subscriber Unit
EA_DerivativesTrading	EU_DerivativesTrading				

Market Data Independent Software Vendor

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
EA_MDConnectivity	EU_MDConnectivity	✓		MDC02	Notification Form for Termination or Relocation of Market Data Connection

Share Registrar

CCDA Rights	Business Rights	eService	Physical form	eService ID / Form #	eServices / Form name
EA_ShareRegistrar	EU_ShareRegistrar	✓		Nom 3	Corporate Communication Request to HKSCC
		✓		UD	Submission and Download
		✓		Event ID	Activity Enrolment
	EU_TechnicalSetup	✓		TechS 8	RAP Registration and Maintenance for HKSCC or HKCC / SEOCH or Share Registrar