

Appendix 5

LIST OF eSERVICE BY Entities

Below table lists all the eServices available to each Identities.

eService ID	eService	HKSCC	HKSCC DB*	HKSCC CAP#	MSPSA^	HKCC	SEOCH	SEHK	HKFE	OTEP	HKEX-IS	SR
AC 1	DCASS Account Maintenance Request to HKCC / SEOCH	x	x	x	x	✓	✓	x	x	x	x	x
AC 2	DCASS User Account Maintenance Request to HKCC/SEOCH	x	x	x	x	✓	✓	x	x	x	x	x
AC 3	Selected Currency Designation Request to HKCC / SEOCH	x	x	x	x	✓	✓	x	x	x	x	x
AC 4	CCMS Collateral Account Designation for Marks, Margin and Concentration Collateral Collection by SEOCH	x	x	x	x	x	✓	x	x	x	x	x
AC 5	Stock Account Mapping Maintenance to HKSCC for the Use of Shanghai and Shenzhen Stock Connect	✓	x	x	x	x	x	✓	x	x	x	x
AC 6	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	✓	x	x	x	x	x	✓	x	x	x	x
AC 7	Master SPSA ID to SPSA Mapping Maintenance Request	x	x	x	✓	x	x	x	x	x	x	x
AC 8	Master SPSA ID & Designated Executing Broker Mapping Maintenance Request	x	x	x	✓	x	x	✓	x	x	x	x
AC 9	Change of Company Name	✓	✓	✓	x	✓	✓	x	x	x	x	x
AC 11	Change of Authorised Signatories	✓	✓	x	x	✓	✓	x	x	x	x	x
AC 12	Update Bank Account	✓	x	x	x	✓	✓	x	x	x	x	x
AC 13	Change of Company Particulars and Contact Persons	✓	✓	✓	x	✓	✓	x	x	x	x	x
AC 14	Stock Segregated Account - Without Statement Maintenance Request to HKSCC	✓	✓	✓	x	x	x	x	x	x	x	x

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eService ID	eService	HKSCC	HKSCC DB*	HKSCC CAP#	MSPSA^	HKCC	SEOCH	SEHK	HKFE	OTEP	HKEX-IS	SR
AC 15	Standing Instruction to HKSCC for Settlement of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit by CPI	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Set 1	Application to HKSCC for Exemption of Buy-in	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Set 2	Early Buy-in Request to HKSCC	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Set 3	Request 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	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
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	✓	✓	✓	✗	✓	✓	✗	✗	✗	✗	✗
UD	Submission and Download	✓	✗	✓	✗	✗	✗	✗	✗	✗	✗	✗
Event ID	Activity Enrolment	✓	✓	✓	✗	✓	✓	✓	✗	✗	✗	✗
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	✗	✗	✗	✗	✓	✓	✗	✗	✗	✗	✗

eService ID	eService	HKSCC	HKSCC DB*	HKSCC CAP#	MSPSA^	HKCC	SEOCH	SEHK	HKFE	OTEP	HKEX-IS	SR
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 7	PG Acquisition Confirmation Reply to HKSCC	✓	✓	✓	*	*	*	*	*	*	*	*
TechS 8	RAP Registration and Maintenance for HKSCC or HKCC/SEOCH or Share Registrar	✓	*	✓	*	✓	✓	*	*	*	*	✓
SCard 1	Smartcard Maintenance for User and DA	✓	✓	✓	*	✓	✓	*	*	*	*	*
SCard 2	Smartcard Maintenance for user (PG or Special Request)	✓	✓	✓	*	✓	✓	*	*	*	*	*
SCard 3	Order Smartcard Reader(s)	✓	✓	✓	*	✓	✓	*	*	*	*	*
Nom 1	Dividend Bonus Claim Submission to HKSCC	✓	*	*	*	*	*	*	*	*	*	*
Nom 2	Denomination of certificate	✓	*	*	*	*	*	*	*	*	*	*
Nom 3	Corporate Communication Request to HKSCC	*	*	*	*	*	*	*	*	*	*	✓
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	✓	*	*	*	*	*	*	*	*	*	*

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Dep 5	Cross-border Transfer Instruction (Foreign Securities) to HKSCC	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
Dep 6	Transfer Instruction to HKSCC (for delisted stock)	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
DA 1	Orion Risk Platform (ORP) Delegated Administrator Rights Application / Maintenance Form	✓	✗	✗	✗	✗	✗	✗	✗	✗	✗	✗
CT006	Application for Throttle-On-Demand (TOD) Throttle Rates	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗
CT027	Confirmation of OTP-C Order Consideration Limit Setting	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗
CB028	OTP-C / CSC Trading Device and BSS Co-ordinator Contact Update	✗	✗	✗	✗	✗	✗	✓	✗	✗	✗	✗
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	✗	✗	✗	✗	✗	✗	✗	✓	✓	✗	✗
MDC01	Connection Notification Form	✗	✗	✗	✗	✗	✗	✗	✗	✗	✓	✗
MDC02	Notification Form for Termination or Relocation of Market Data Connection	✗	✗	✗	✗	✗	✗	✗	✗	✗	✓	✗

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MDA01	EP Declaration Form for Free Market Data Subscriber Unit	x	x	x	x	x	x	✓	✓	x	x	x

* DB: Designated Bank

CAP: Clearing Agency Participant

^ MSPSA: Master SPSA Holder