

2 Overview

KEY FEATURES

The Client Connect provides access to a host of HKEX services for Exchange and Clearing Participants through a secured web-based user interface. The key features include:

- 2-factor authentication (2nd password via email or mobile app)
- Accessible from PC/tablet/mobile
- Agile user account structure to support multiple memberships
- Customized service access based on the user access right
- Access to eServices which will replace current paper/fax based operations
- Built-in intelligence to auto-fill and validate the eService input
- Built-in workflow for maker-checker control
- Email/on-screen notifications of outstanding tasks
- Dashboard to show the outstanding and historical tasks with search and filter functions
- Electronic enrolment for seminars and events
- Centralized technical document download area

Client Connect can be accessed through internet browsers via <https://connect.hkex.com.hk> under a stable internet connection. The firewalls should:

- Allow HTTPS protocol
- Not block cookies
- Allow the browser to do cross-site tracking

Table 2.1 – Recommended web browsers and corresponding version.

Browser	Version
Chrome	>50
Firefox	>50
Edge	100 or above
Safari	10 or above

Illustration 2.2 – Overview of means to access Client Connect

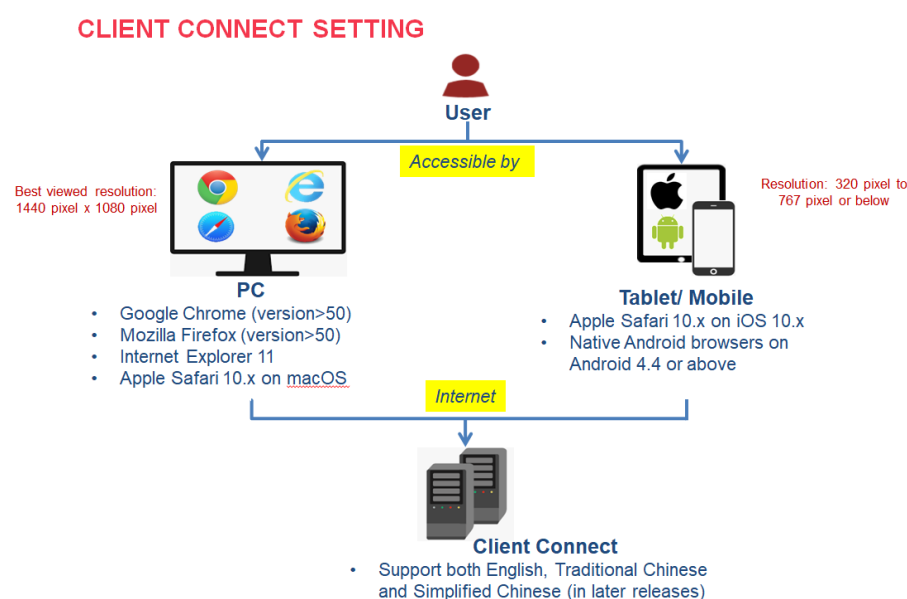
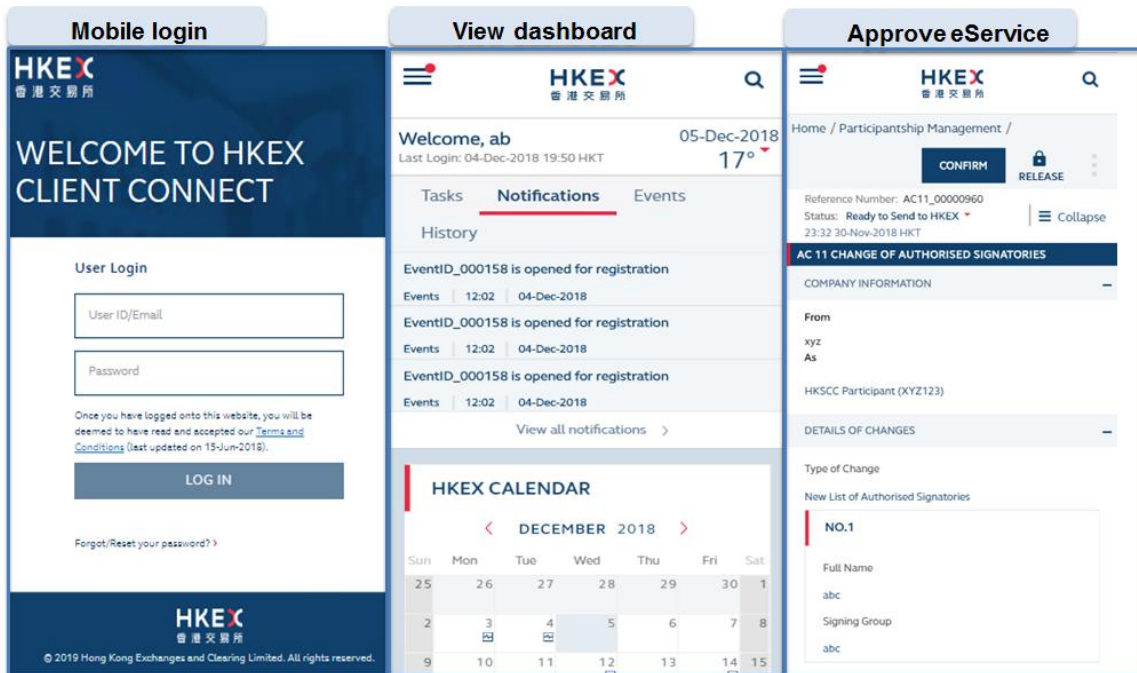


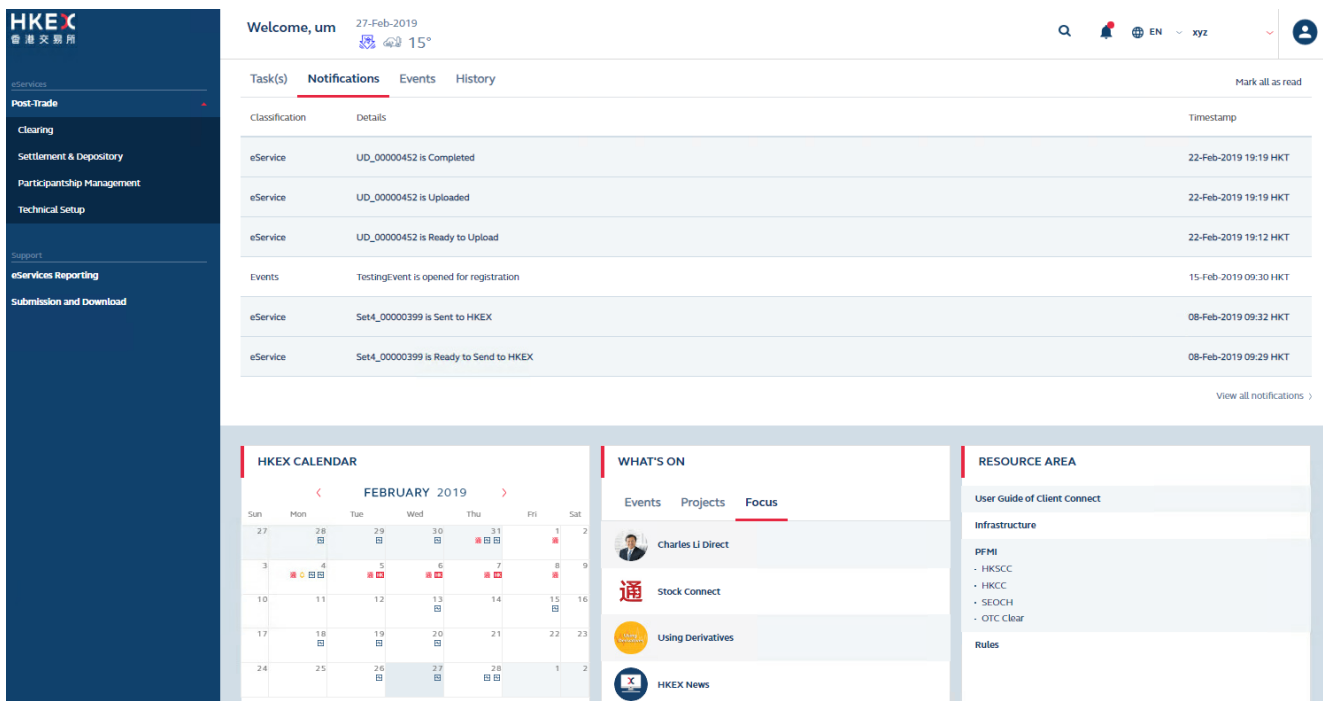
Illustration 2.3 – Layout via mobile access



The mobile view may not be ideal for eServices involving table display, therefore it is more recommended for checker roles when approving eService requests outside office.

SERVICES AVAILABLE

Upon successful login, users can have an overview of tasks, notifications and history showing status of eServices requested. They can also have a glance of upcoming events and resources area.



Users can then access to list of eServices available, and support services such as reporting and submission & download by clicking on the navigation menu, the system will bring users to the corresponding eService page and/or relevant PDF form.

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Home / Settlement & Depository

Settlement - Securities Depository Services Common Nominee Services

Classification	Id	Function	Format	Reference
Buy-in	Set 1	Application Form for Exemption of Buy-in	[eService]	
Buy-in	Set 2	Early Buy-in Request to HKSCC	[eService]	
Buy-in	Set 4	Buy-in Request to HKSCC for CCASS isolated Trades only	[eService]	
Stock Connect Settlement Operations	CCASS-Form 70	Adjustment Request form for Sellable Balance due to Outstanding Positions in China Connect Securities	[PDF]	
Stock Connect Settlement Operations	CCASS-Form 89	Early Release of Securities-on-hold Application Form	[PDF]	
Stock Connect Settlement Operations	CCASS-Form 90	Placing / Cancellation of Standing Instruction in connection with Collateral Provided for the Early Release of Securities-on-hold	[PDF]	
Stock Connect Settlement Operations	CCASS-Form 91	Application Form for Withdrawal of Surplus Collateral	[PDF]	
Benefit Claims	CCASS-Form 1	Voting Request Form - CNS Positions	[PDF]	
Benefit Claims	CCASS-Form 2	Entitlement Election Form - CNS Positions	[PDF]	
Benefit Claims	CCASS-Form 3	Subscription of Open Offer Form - CNS Positions	[PDF]	
Benefit Claims	CCASS-Form 4	Take-over Offer Acceptance/Election Form - CNS Positions	[PDF]	
Benefit Claims	CCASS-Form 5	Rights Issues Subscription Election Form - CNS Positions	[PDF]	
Benefit Claims	CCASS-Form 5	Debt Securities Conversion Request Form - CNS Positions	[PDF]	

USERS

There are two major types of users:

- Client Connect Delegated Administrator (CCDA) setup by HKEX, and
- Business User of the Participant setup by CCDA.

CCDA

CCDA responsible to create new business users, grant access rights to users by business functions, and manage user status.

Business user

Business user can access various business functions and applications based on granted user rights by their CCDAs.

WORKFLOW TYPES

There are two workflow types in Client Connect for the available eServices, please refer to Appendix 1 for more details.