

3 Getting Started For Client Connect

3.2 USER MANAGEMENT

INTRODUCTION

Under the user management framework of Client Connect, the user maintenance of Client Connect Delegated Administrators (CCDAs) is managed by HKEX. To appoint, change and cancel the assignment of a CCDA, a Participant must complete and submit the [Client Connect Delegated Administrator Rights Application / Maintenance Form \(G-Form 11\)](#) to CCDA_reg@hkex.com.hk. Upon receipt of the duly signed and completed form, HKEX will set up the CCDA accounts. CCDA will receive an email notification once the account is ready. Please refer to Section 3.3 for detailed procedures on how to set up password for the first time login. Each company should assign at least two CCDAs acting separately as a maker and a checker to perform the user maintenance functions including add, change and delete of user profile, unlock users account and assign rights.

The user maintenance functions are accessible via **MANAGE ACCESS RIGHTS** on the navigation menu after successful login of Client Connect and this link is only available to CCDAs. The link can be accessed without having to login again and CCDAs can switch back to Client Connect main dashboard at any time. CCDAs will be assigned with access rights:

- EA_UserAdmin
- Other EA functions (according to the Participantship that the CCDA is eligible to manage)
- EU_UserMaintenance (applicable to certain Participantships)

Please refer to Appendix 3 for all functions of CCDAs.

CCDAs can assign corresponding EU functions to Business users according to the EA functions that they are eligible to manage. Business users can then access relevant eServices / forms based on the EU functions assigned by their CCDAs. Please refer to Appendix 4 for all the EU functions with relevant eServices / forms under the EA functions of each Participantship.

USER MAINTENANCE

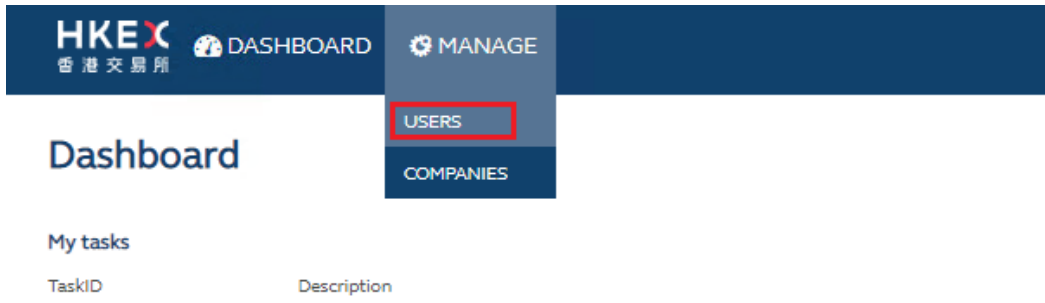
MAKER

CCDA (maker) can either manage users via (a) **USERS** menu as described below or (b) Users tab of **COMPANIES** menu.

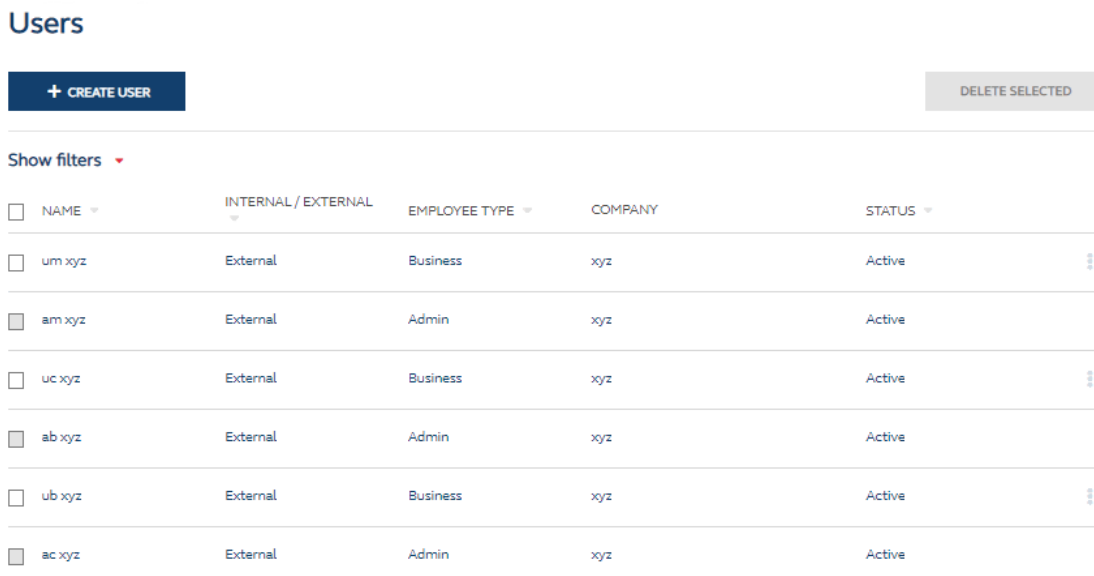
Manage Users – View User List

Operation Steps:

1. Login to Client Connect and go to Access Management via **MANAGE ACCESS RIGHTS**. Go to **MANAGE**, then click on **USERS**.



2. The CCDA can view the list of users for the company he/she manages.



Manage Users – Create Users and Assign Functions to Users

Operation Steps:

1. The CCDA (maker) click on **+ CREATE USER** to create users by entering the details of the new user.
 - CCDA can only enter the **Company** he/she manages.
 - The **Email** provided will be the new user's Client Connect Login User ID.
 - Notifications can be sent to **Team Email** if available.
 - **Contact Number** is required when user reset password.
 - By default, User Status is set as **"Active"**. The new user cannot access Client Connect if User Status is set as **"Inactive"**

User

Create User

Details
Roles

First Name	<input type="text" value="new"/>
Last Name	<input type="text" value="user"/>
Company	<input type="text" value="xyz x"/>
Title (optional)	<input type="text"/>
Email	<input type="text" value="nu@xyz.com"/>
Team Email (optional)	<input type="text"/>
Contact Number	<input type="text" value="13245678"/>
Employee Type	<input type="checkbox"/> Admin <input checked="" type="checkbox"/> Business
Internal/External	<input type="radio"/> Internal <input checked="" type="radio"/> External
User Status	<input checked="" type="radio"/> Active <input type="radio"/> Inactive

- Once the company is entered, the **Roles** tab will appear based on the Participantship that the CCDA is eligible to manage. This allows the CCDA to assign EU functions to the new user. Please refer to [Appendix 4](#) for the list of Business rights and corresponding functions. The new user can be assigned as **Maker**, **Checker**, **both Maker and Checker** or **Enquiry** only. Click **CREATE** afterwards to submit request and this will go through the maker-checker process.

User

Create User

CANCEL

CREATE

Details
Roles

xyz	EU_AccountMaintenance	<input type="button" value="Maker"/>	<input type="button" value="Checker"/>	<input type="button" value="Enquiry"/>
HKSCCP	EU_SecuritiesSettlement	<input type="button" value="Maker"/>	<input type="button" value="Checker"/>	<input type="button" value="Enquiry"/>
	EU_TechnicalSetup	<input type="button" value="Maker"/>	<input type="button" value="Checker"/>	<input type="button" value="Enquiry"/>
	EU_CompanyAdministration	<input type="button" value="Maker"/>	<input type="button" value="Checker"/>	<input type="button" value="Enquiry"/>

CONFIRM

Are you sure you want to create the following user?

Create User

First Name: new

Last Name: user

Company: xyz

Title (optional):

CANCEL

CREATE

Note: A user can have both maker and checker access of the same function. If the user acts as the maker of an eService request, the same user is restricted from approving the same request. CCDAs should ensure that each function contains at least a pair of separate maker and checker when creating users.

Manage Users – Edit Users

Operation Steps:

1. On user list, the CCDA (maker) can click on a specific user to edit.
2. Click **EDIT** on Details tab to amend user details or Roles tab to re-assign EU functions, click **SUBMIT** afterwards to submit the changes to go through the maker-checker process.

The screenshot displays the 'Edit User' interface for user 'um xyz'. It is divided into two tabs: 'Details' and 'Roles'. The 'Details' tab is active, showing a form with the following fields and options:

- First Name:** um
- Last Name:** xyz
- Company:** xyz
- Title (optional):** (empty)
- Email:** um@xyz.com
- Team Email (optional):** (empty)
- Contact Number:** 12345678
- Employee Type:** Admin, Business
- Internal/External:** External
- User Status:** Active, Inactive

Buttons for 'CANCEL' and 'SUBMIT' are located at the top right of the form. Below the 'Details' tab is the 'Roles' tab, which is currently inactive. The 'Roles' tab shows a list of roles for the user 'xyz' (with 'HKSCCP' selected in the left sidebar):

Role	Maker	Checker	Enquiry
EU_AccountMaintenance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EU_SecuritiesSettlement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EU_TechnicalSetup	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EU_CompanyAdministration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please note that CCDA (maker) can add and remove functions simultaneously in one request. However, CCDA (checker) would receive two requests (i.e. one add function request and one remove function request) to reject/approve.

Manage Users – Delete Users

Operation Steps:

1. The CCDA (maker) can check the box next to all applicable users. Only Business users can be selected. Admin users are managed by HKEX.
2. Click **DELETE SELECTED** to delete users.

Users

[+ CREATE USER](#)
[DELETE SELECTED](#)

Show filters ▾

<input type="checkbox"/>	NAME ▾	INTERNAL / EXTERNAL ▾	EMPLOYEE TYPE ▾	COMPANY	STATUS ▾	
<input checked="" type="checkbox"/>	um xyz	External	Business	xyz	Active	⋮
<input type="checkbox"/>	am xyz	External	Admin	xyz	Active	
<input checked="" type="checkbox"/>	uc xyz	External	Business	xyz	Active	⋮
<input type="checkbox"/>	ab xyz	External	Admin	xyz	Active	
<input type="checkbox"/>	new user	External	Business	xyz	Active	⋮
<input type="checkbox"/>	ub xyz	External	Business	xyz	Active	⋮
<input type="checkbox"/>	ac xyz	External	Admin	xyz	Active	

Manage Users – Unlock User Accounts

A user account will be locked after five unsuccessful attempts of login within 30 minutes. Locked CCDA accounts can only be unlocked by HKEX, while CCDAs can unlock their Business users accounts.

Operation Steps:

1. On user list, CCDA (maker) selects the user with locked account to edit.
2. Click **Unlock Account** to send the request to checker.

The screenshot shows the HKEX user management interface. At the top, there are tabs for 'DASHBOARD', 'MANAGE', 'USERS', and 'COMPANIES'. The 'USERS' tab is selected. Below the navigation, there is a 'Back to users list' link and the user name 'um xyz'. The user details are displayed in a table format with two tabs: 'Details' and 'Roles'. The 'Details' tab is active, showing the following information:

User ID	um@xyz.com
First Name	um
Last Name	xyz
Company	xyz
Title (Optional)	
Email	um@xyz.com
Team Email (Optional)	
Contact Number	12345678
Employee Type	Business
Internal/External	External
User Status	Active

At the bottom of the details section, there is a red-bordered button labeled 'Unlock Account' with a lock icon.

Manage Users – Submit Maker’s requests

CCDA (maker) will receive acknowledgement emails after submitting requests to checker.

HKEX Client Connect

Creation of a new user is submitted

Reference Number	140799
Status	Pending approval
Notification Type	For reference
Requested by	am xyz
Message	Nil

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HKEX Client Connect

Unlock an User Account is submitted

Reference Number	73335
Status	Pending approval
Notification Type	For reference
Requested by	am xyz
Message	Nil

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CHECKER

Manage Users – Approve Maker’s requests

Operation steps:

1. CCDA (checker) will receive email notification on maker’s request.

HKEX Client Connect

Creation of a new user is pending for approval

Reference Number **140799**
 Status Pending approval
 Notification Type **For action**
 Requested by am xyz
 Message Nil

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2. In parallel, login to Client Connect and via **MANAGE ACCESS RIGHTS** , the request will appear on the access management dashboard.

Dashboard

My tasks

TaskID	Description	Date	Status
140799	CREATE USER		<div style="display: flex; justify-content: space-around;"> REJECT APPROVE </div>

3. Checker can directly **APPROVE** / **REJECT** the request at task list OR click on the task to view the details before taking further action.

4. A comment must be provided if the CCDA rejects the request.

CONFIRM

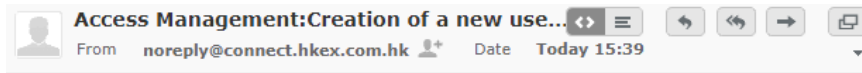
Provide comment to reject 140799 request:

Reject user creation|

CANCEL

REJECT

- Once rejected, the maker will receive email notification with rejecting reason.



HKEX Client Connect

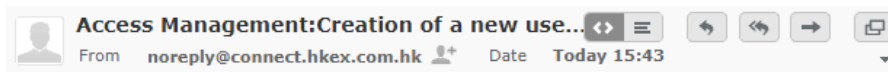
Creation of a new user has been Rejected

Reference Number **140799**
Status **Rejected**
Notification Type **For reference**
Requested by **ac xyz**
Message **Reject user creation**

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- Alternatively, if checker approves the request, maker will also receive email notification.



HKEX Client Connect

Creation of a new user has been Approved

Reference Number **140799**
Status **Approved**
Notification Type **For reference**
Requested by **ac xyz**
Message **Message not provided**

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VIEW COMPANY PROFILE

Operation steps:

1. Login to Client Connect and go to Access Management via **MANAGE ACCESS RIGHTS**, go to **MANAGE**, then click **COMPANIES**.

The screenshot shows the HKECC Client Connect interface. At the top, there is a navigation bar with the HKECC logo (香港交易所), a 'DASHBOARD' button, and a 'MANAGE' button with a gear icon. Below the 'MANAGE' button, there is a sub-menu with 'USERS' and 'COMPANIES' (highlighted with a red box). The main content area displays a 'Company List' table with columns for BIC CODE, COMPANY NAME, INTERNAL/ EXTERNAL, and STATUS. The table contains one row with the following data:

BIC CODE	COMPANY NAME	INTERNAL/ EXTERNAL	STATUS
XYZ001	xyz	External	Active

2. CCDA can view the details of the company he/she manages. There are four tabs:

- Details – Shows the basic information of the company

The screenshot shows the 'Details' tab for a company profile. The company name is 'xyz'. Below the name, there are four tabs: 'Details', 'Company identity', 'Users', and 'Admins'. The 'Details' tab is selected, showing the following information:

BIC Code	XYZ001
Company Name	xyz
Chinese Name	
Internal/ External	External
Status	Active

- Company Identity – Shows the Participanship of the company

The screenshot shows the 'Company identity' tab for a company profile. The company name is 'xyz'. Below the name, there are four tabs: 'Details', 'Company identity', 'Users', and 'Admins'. The 'Company identity' tab is selected, showing a table of participanship information:

CODE	IDENTITY	STATUS
XYZ123	HKSCC Participant	Active

Section 3.2 Security Management

- Users – Displays the list of users of the company (User editing can also be performed here)

Company
xyz

Details	Company identity	Users	Admins
NAME ▾		EMPLOYEE TYPE ▾	STATUS ▾
ac xyz		Admin	Active
um xyz		Business	Active
am xyz		Admin	Active
ab xyz		Admin	Active

- Admins – Displays the list of CCDAs of the company

Company
xyz

Details	Company identity	Users	Admins	
NAME ▾	INTERNAL/ EXTERNAL ▾	EMPLOYEE TYPE ▾	COMPANY ▾	STATUS ▾
ab xyz	External	Admin	xyz	Active
am xyz	External	Admin	xyz	Active
ac xyz	External	Admin	xyz	Active