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

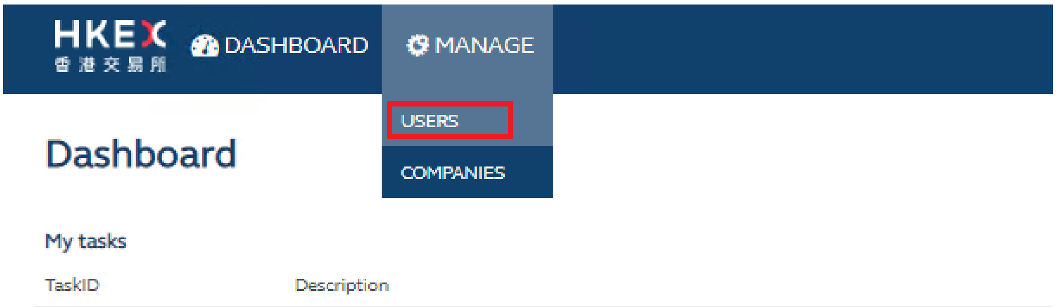
MAKER

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

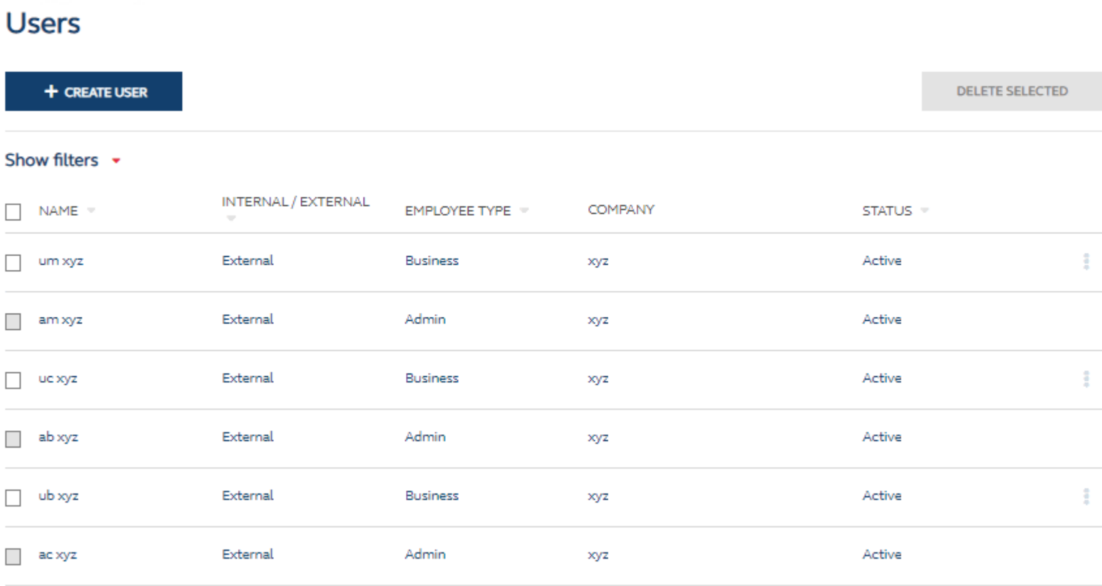
Manage Users – View User List

Operation Steps:

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



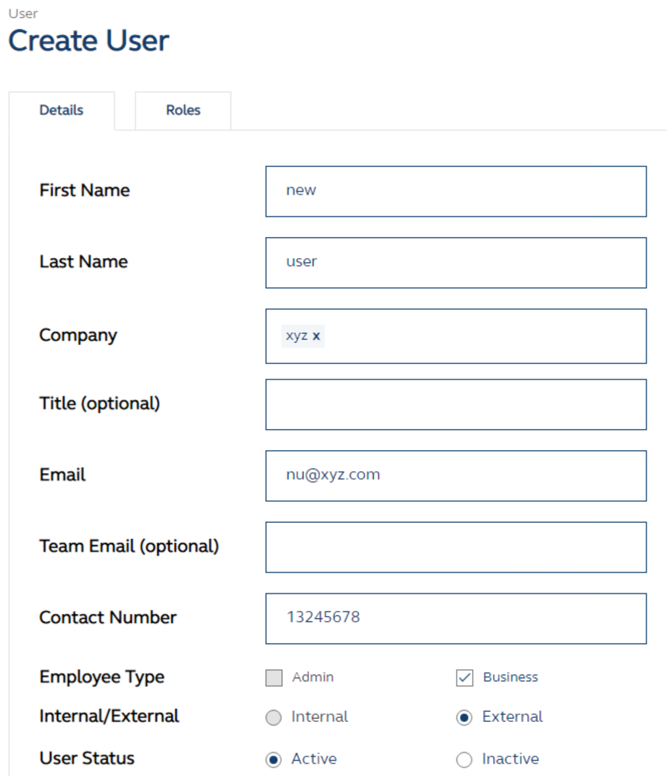
2. The CCDA can view the list of users for the company he/she manages.



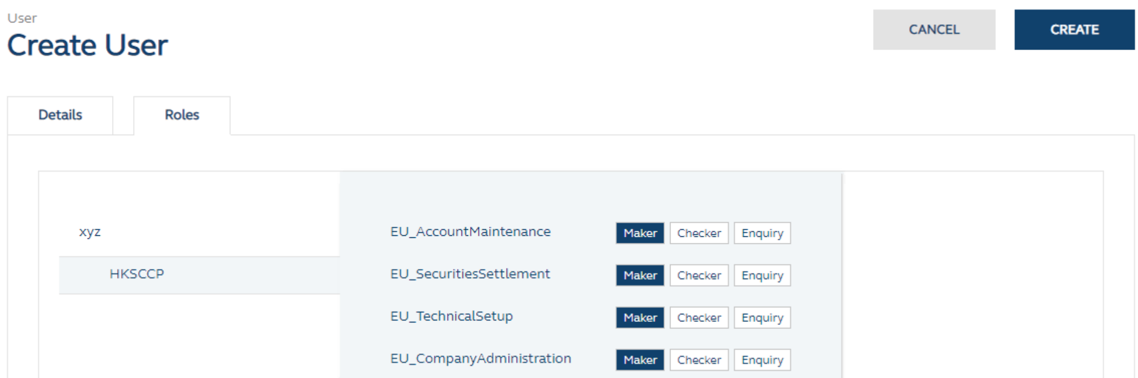
Manage Users – Create Users and Assign Functions to Users

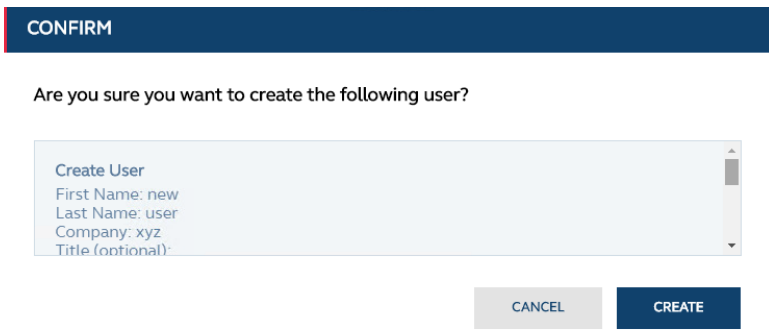
Operation Steps:

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**"



2. 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.





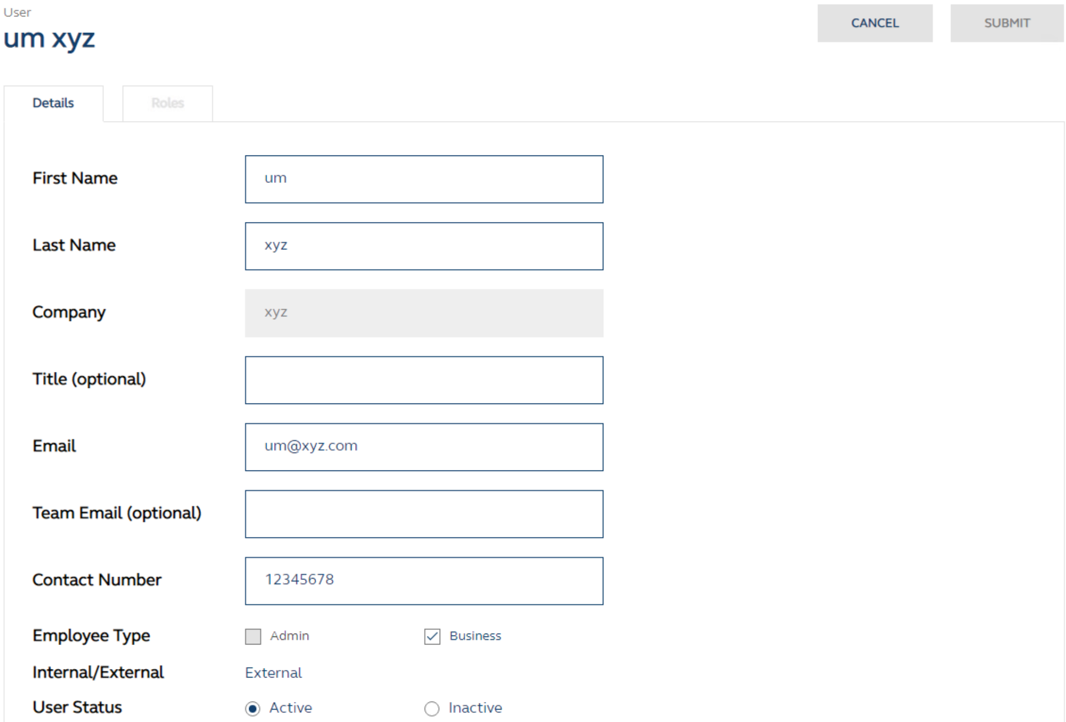
Note: A user can have both maker and checker access of the same function. If the user acts as the maker of an eService request, the same user is restricted from approving the same request. <u>CCDAs should ensure that each function contains at least a pair of separate maker and checker when creating users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

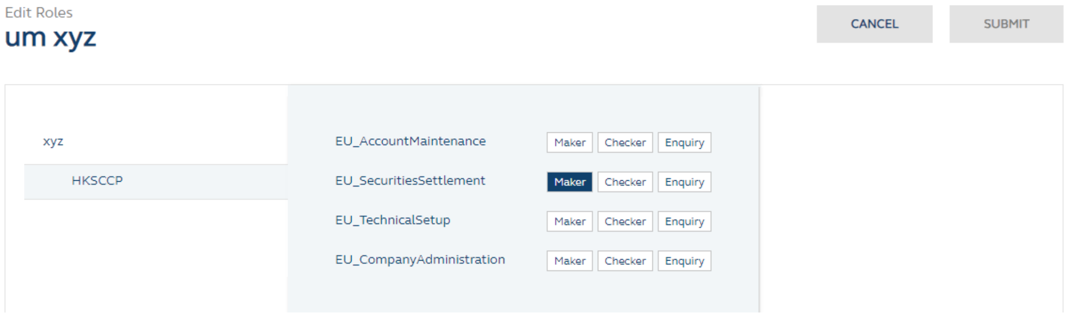
<u>Manage Users – Edit Users</u>

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.





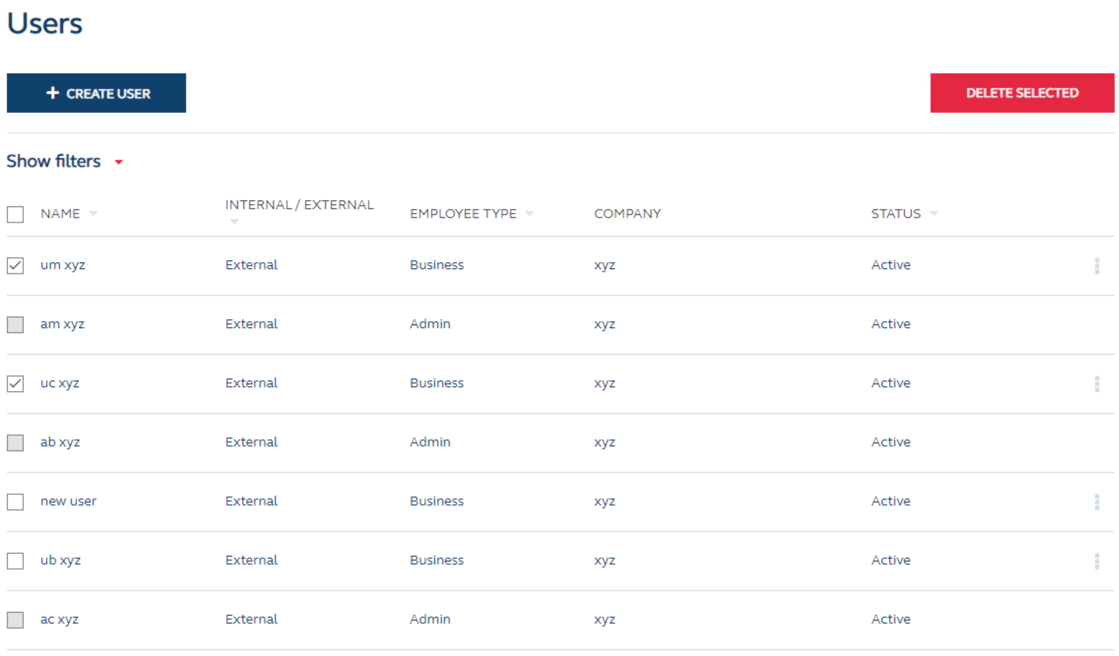
Please note that CCDA (maker) can add and remove functions simultaneously in one request. However, CCDA (checker) would receive two requests (i.e. one add function request and one remove function request) to reject/approve.

<u>Manage Users – Delete Users</u>

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.



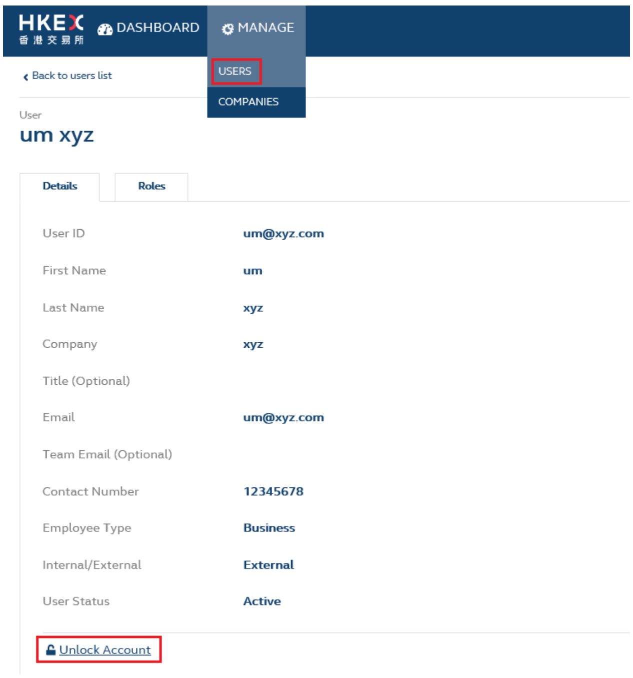
<u>Manage Users – Unlock User Accounts</u>

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.



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

For enquiries, please contact us via link.

Please do not reply this e-mail as this is system generated.

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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

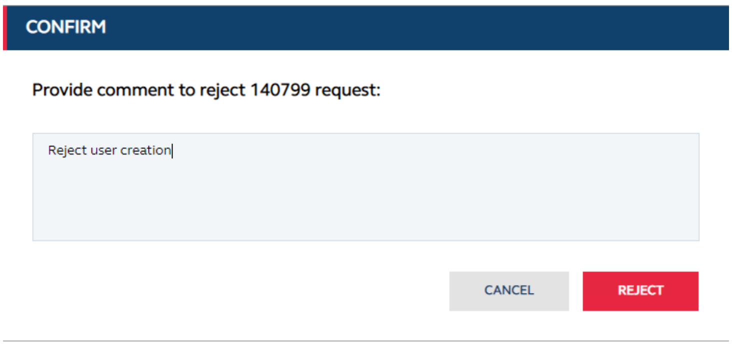
Operation steps:

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

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

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.



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

Access Management:Creation of a new use...
From noreply@connect.hkex.com.hk Date Today 15:39

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

Access Management:Creation of a new use...
From noreply@connect.hkex.com.hk Date Today 15:43

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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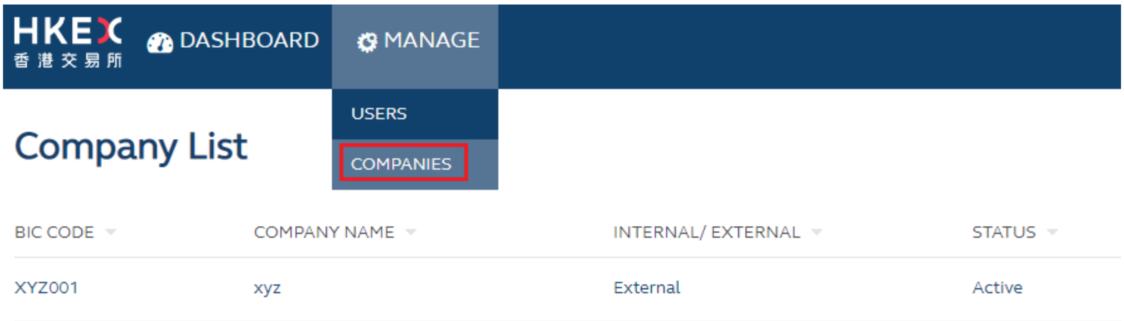
VIEW COMPANY PROFILE

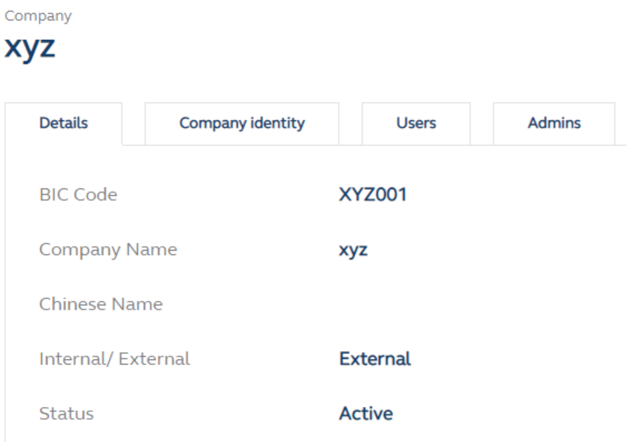
Operation steps:

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

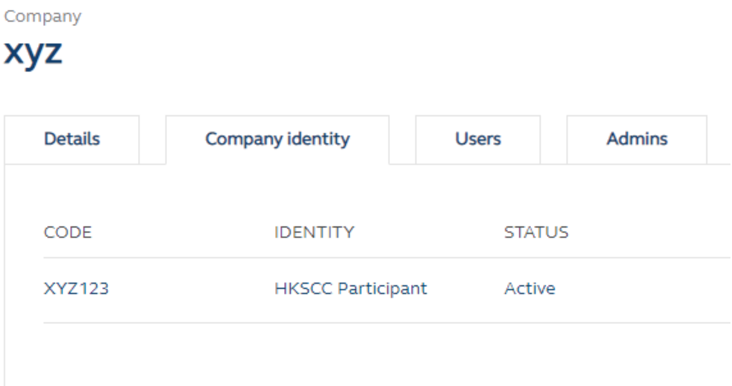


2. CCDA can view the details of the company he/she manages. There are four tabs:

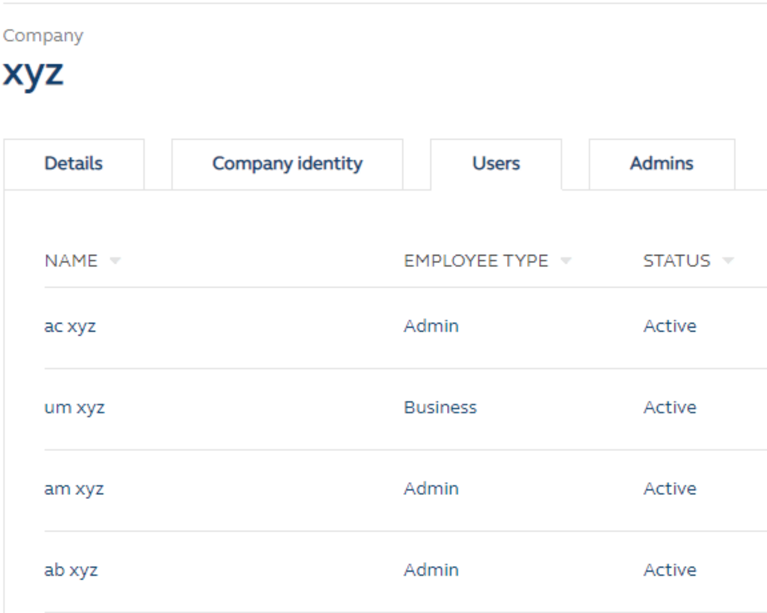
   - Details – Shows the basic information of the company



   - Company Identity – Shows the Participantship of the company

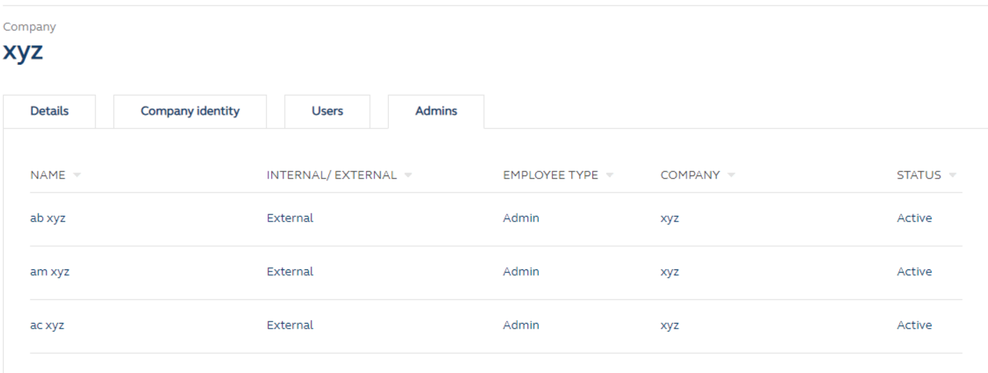


- Users – Displays the list of users of the company (User editing can also be performed here)



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



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