

3 Getting Started For Client Connect

3.5 SCREEN STANDARDS

This section explains

- The screen layout of Client Connect dashboard
- Screen Types and Screen Flow in Client Connect
- Entering data in Client Connect

THE SCREEN LAYOUT OF CLIENT CONNECT DASHBOARD

The screen layout is mainly divided into (a) Main dashboard area, (b) User banner and (c) Footer area.

(a) Main Dashboard Area:

Navigation menu is located on the left of the screen. Users can access different functions through the menu based on their roles and access rights. In general, only Business users can access eServices and only Client Connect Delegated Administrators (CCDAs) can go through **MANAGE ACCESS RIGHTS** to perform access management.

When users click on the navigation menu, the system will bring users to the corresponding service page in the area on the right.

The screenshot shows the Client Connect dashboard interface. On the left is a dark blue navigation menu with categories like eService, Post-Trade, Clearing, Settlement & Depository, Participation Management, Technical Setup, Support, eServices Reporting, and Submission and Download. The main content area is titled 'Settlement & Depository' and contains a table of services. At the top right, there is a user banner area with 'Welcome, ub', the date '24-Jan-2019', and a temperature indicator '15°'. There are also icons for search, notifications, language (EN), and user profile.

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	
Service Request NB	CCASS-Form 70	Adjustment Request form for Sellable Balance due to Outstanding Positions in China Connect Securities	PDF	?
Service Request NB	CCASS-Form 89	Early Release of Securities-on-hold Application Form	PDF	
Service Request NB	CCASS-Form 90	Placing / Cancellation of Standing Instruction in connection with Collateral Provided for the Early Release of Securities-on-hold	PDF	
Service Request NB	CCASS-Form 91	Application Form for Withdrawal of Surplus Collateral	PDF	

The upper right area provides a quick path to **Tasks, Notifications, Events** and **History**:

Tasks

When makers submit an eService for approval, the system will create a task on this list. Users can click on each task to quickly access the specific eService. The system will also create the same task to remind checkers to approve.

Tasks	Notifications	Events	History
Classification	Company Participant ID	Details	Last Update Date Job Status
AC Maintenance CH	XYZ XYZ123	TEMP_00000763 - Change of Company Name	03-Dec-2018 Draft
Buy-in	XYZ XYZ123	TEMP_00000564 - Application Form for Exemption of Buy-in	22-Nov-2018 Draft
Buy-in	XYZ XYZ123	Set2_00000964 - Early Buy-in Request to HKSCC	03-Dec-2018 Returned to Submitter 🔒
Company Admin CH	XYZ XYZ123	AC11_00000960 - Change of Authorised Signatories	30-Nov-2018 Ready to Send to HKEX 🔒
Buy-in	XYZ XYZ123	Set2_00000856 - Early Buy-in Request to HKSCC	27-Nov-2018 Approved

[View all tasks >](#)

Notifications

When there is an update in the status of an eService, relevant parties will receive notifications appearing in the Notifications tab. Read or unread notifications will be stored for 30 days.

Classification	Details	Timestamp
Events	EventID_000270 is opened for registration	29-Dec-2018 11:07 HKT
Events	EventID_000267 is opened for registration	27-Dec-2018 12:23 HKT
Events	EventID_000266 is opened for registration	25-Dec-2018 15:56 HKT
Events	EventID_000250 is opened for registration	22-Dec-2018 02:15 HKT
Events	EventID_000245 is opened for registration	21-Dec-2018 15:00 HKT
Events	EventID_000236 is opened for registration	18-Dec-2018 10:58 HKT

[View all notifications >](#)

Quick view mode can only display a maximum of 6 records. Users can click on **View all notifications** to switch to full view mode which shows 20 records. More records will be shown when users scroll down the list. At full view mode, users can filter by dates, or classifications **eServices**, **events** or **circulars**.

Home /

Notifications (32)

Filters: [Mark all as read](#)

Classification	Details	Timestamp
Events	EventID_000270 is opened for registration	29-Dec-2018 11:07 HKT
Events	EventID_000267 is opened for registration	27-Dec-2018 12:23 HKT
Events	EventID_000266 is opened for registration	25-Dec-2018 15:56 HKT
Events	EventID_000250 is opened for registration	22-Dec-2018 02:15 HKT

Events

Activities created by HKEX will be displayed in the **Events** tab. Users can click into each activity to view more detailed information. A **REGISTER** button is available for users who are interested to enrol to an activity. Please refer to Section 4.4 for the detailed procedures of Activity Enrolment.

Tasks **Notifications** **Events** History

12
NOVEMBER 2018

Hiking
Autumn Hiking No. 3

What: Sport Activity
When: 12-Nov-2018 18:00 To 12-Nov-2018 20:00
Where: Lion Hill

When: 31-Dec-2018 00:00 To 31-Dec-2018 00:00

Home / Events /

Event Details

[REGISTER](#)

EVENT DETAILS

Ref. No.	EventID_000716
Event Name	Hiking
Description	Autumn Hiking No. 3
What	Sport Activity
When	12-Nov-2018 18:00 to 12-Nov-2018 20:00
Where	Lion Hill
Language	English
For more details, email us at:	inquiry@hkex.com.hk
For details, please visit:	www.hkex.com.hk

REGISTRATION DETAILS

Registration Close Date	26-Oct-2018
Status	Open

History

When an eService has reached an ending status (either completed or terminated before completion), it will be moved to the History tab and stored for 13 months.

Tasks	Notifications	Events	History
Classification	Company Participant ID	Details	Update Date Job Status
AC Maintenance CH	xyz XYZ123	AC9_00000938 - Change of Company Name	30-Nov-2018 Completed
Buy-in	xyz XYZ123	Set2_00000855 - Early Buy-in Request to HKSCC	27-Nov-2018 Withdrawn

[View all history >](#)

Quick view mode can only display a maximum of 6 records. Users can click on View all history to switch to full view mode which shows 20 records. More records will be shown when users scroll down the list. At full view mode, users can sort the records by columns, or filter by Participant ID and Job Status. A download button is available for users to download the audit trail of each eService.

Home /

History

Sort By Select Descending Filters: Select Participant ID Select Job Status Clear Filters

Classification	Company Participant ID	Details	Update Date	Job Status
AC Maintenance CH	xyz XYZ123	AC9_00000938 - Change of Company Name	30-Nov-2018	Completed
Buy-in	xyz XYZ123	Set2_00000855 - Early Buy-in Request to HKSCC	27-Nov-2018	Withdrawn

The bottom right area contains 3 widgets for users:

HKEX CALENDAR Shows market information, e.g. Trading and Settlement holidays.

WHAT'S ON Shows recent events hosted by HKEX (different from the activities described above); Projects tab showing a list of links to projects initiated by HKEX; Focus tab showing quicklinks to Charles Li Direct, Stock Connect, HANG SENG INDEX FUTURES and HKEX News.

RESOURCE AREA An information corner displaying links to PFMI of multiple clearing houses as well as Trading and Clearing Rules for Securities, Listed and OTC Derivatives.

HKEX CALENDAR

FEBRUARY 2019

Sun	Mon	Tue	Wed	Thu	Fri	Sat
27	28	29	30	31	1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	1	2

[Download Calendar](#)

WHAT'S ON

Events Projects Focus

RMB FIC Conference 2019 Hong Kong
 Tuesday, 2 April 2019 08:30 - 18:00 HKT
 HKEX Connect Hall, 1/F, One and Two Exchange Square,
 Central, Hong Kong

RMB FIC Conference 2019 Singapore
 Thursday, 4 April 2019 08:30 - 14:00 SGT
 Atrium Ballroom, Level 4, Raffles City Convention Center,
 Swissotel The Stamford

LME Asia Week 2019
 Tuesday, 7 May 2019 08:00 - 16:30 HKT
 HKEX Connect Hall, 1/F, One and Two Exchange Square,
 Central, Hong Kong

RESOURCE AREA

[User Guide of Client Connect](#)



Infrastructure

- [PFMI](#)
- [HKSCC](#)
- [HKCC](#)
- [SEOCH](#)
- [OTC Clear](#)

Rules

(b) User Banner:

User banner is located at the top right, it contains:

Welcome message	User's name will appear according to the account setup.
Last login details	Displayed in Hong Kong local Date & Time.
Weather information	In case of severe weather situation, users can refer to the weather information and take corresponding actions.
Search box	Users can search for blank eServices to start processing or submitted eService reference no. for approval.
Notification	Displayed in  as a quick link to recent notifications. Unread notifications will be stored for 3 days.
Language	Users can switch to English, Tradition Chinese or Simplified Chinese (in later release)
Company	If users are managing more than one company, they can switch to another company within single login.
Profile	Displayed as  and users can view their Profile to Change Password or Authentication Settings ; In Settings , users can configure their email notification setup; Users can safely log off their Client Connect sessions using the Sign Out button.

(c) Footer Area:

The footer area is located at the bottom and is accessible at any page during the navigation of Client Connect. Users can access 7 links at any time after logging in:

- Contact
- FAQ
- Site Map
- Site Maintenance
- Disclaimer
- Hyperlink Policy
- Terms & Conditions

SCREEN TYPES AND SCREEN FLOW IN CLIENT CONNECT

There are three main types of screens in Client Connect, each with a different purpose. A screen's type is usually indicated by its name. Screen types available for each function may vary, depending on the features of each function. Only one session of login should be opened during Client Connect operations.

- List Screen** A list screen displays a list of records allows access to a particular record from the list.
- Details Screen** A details screen either displays details of a particular record for enquiry or deletion or allows details to be input or changed.
- Confirmation Screen** A confirmation screen displays details of a particular record to allow user to check its correctness before confirming the action. If the details of the record are correct, the user should click the **CONFIRM** button to submit to next step. If an error is found, click the **REVERT** at the top to return the form to the maker for further update.

In general, screen flows in Client Connect works as follows:

- eServices can be accessed from the navigation menu on the left.
- Click on each post-trade category to enter the page containing related eServices and PDF forms.

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	

- Only functions that the user has access rights to access will be shown.
- Click on eService to enter the Detail Screen of each eService.

SET 1 APPLICATION FORM FOR EXEMPTION OF BUY-IN

Reference Number: _____ Status: Collapse

COMPANY INFORMATION

From: xyz

As: HKSCC Participant (XYZ123)

DETAILS OF FAILED DELIVERY POSITION

Market: Hong Kong Market China Connect Market

Stock Code:

SAVE PREVIEW

ENTERING DATA IN CLIENT CONNECT

Users can only enter or change data in fields that accept input of data. All other fields are protected to display information only. Usually the flashing cursor appears in the field where users can enter or change data. If it does not, move the cursor to the field then type in the data. If users are changing data, the data entered automatically overtypes the original one. After entering data, click the necessary button to send the information to HKEX via Client Connect.

(a) Built-in validation

There is built-in validation in eServices forms to remind users of invalid or missing input of data. Users are unable to proceed without entering such required data correctly.

POSITION TO BE BOUGHT-IN

Stock Code

Stock Code is missing

Stock Name

Please enter a valid stock name.

Share Quantity

Share Quantity is missing

Trade Date

(b) Auto-filled information

There is built-in intelligence that Client Connect will auto-fill certain information for users based on their profile setup, e.g. Name, email address and contact number. Users are allowed to change the auto-filled data.

CONTACT INFORMATION

Name of Contact Person

Email Address

Telephone Number