

4.2 Participantship Management

DA 4 CCASS / CCMS USER ACCOUNT APPLICATION FORM

WHEN TO USE:

- When a HKSCC/HKCC/SEOCH Participant or HKSCC Designated Bank wishes to apply for additional user account for accessing to CCASS/ CCMS Terminal or security management functions.
- This eService is available 24 hours a day; except during regular system maintenance.

ABOUT THIS eSERVICE:

- This eService is available to Client Connect Delegated Administrators (CCDAs) or Business users with the access right EU_UserMaintenance.
- The eService can only be requested for 1 Participantship in each submission.
- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.
- After the end of workflow, participants can download the form in PDF format for reference.

Section 4.2 (DA 3)

Participanship Management –
CCASS/ CCMS Delegated Administrator Application/ Maintenance Form

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot displays a web application interface for the 'DA 4 CCASS / CCMS USER ACCOUNT APPLICATION FORM'. At the top, a navigation bar includes a welcome message 'Welcome, UM', the date '23-May-2023', a search icon, a notification bell, a language selector set to 'EN', and a user profile icon. Below the navigation bar, a breadcrumb trail shows 'Home /'. The main content area features a dark blue header with the form title. Below the header, there are two buttons: 'SAVE' and 'PREVIEW'. The form content is organized into several sections, each with a plus sign to its right, indicating it can be expanded. The sections are: 'COMPANY INFORMATION', 'INFORMATION', 'REQUEST DETAILS', 'CONFIRMATION', and 'CONTACT INFORMATION'. At the top left of the form content, there is a 'Reference Number:' label and a 'Status: Expand' label with a plus icon.

There is built-in validation on company information and the data input.

DA 4 CCASS / CCMS USER ACCOUNT APPLICATION FORM

Reference Number: Status: Expand

COMPANY INFORMATION -

From
ABC Company

As

HKSCC Participant (B01234)

HKSCC Designated Bank (BNK001)

HKCC Participant (CABC)

SEOCH Participant (CABC)

INFORMATION -

In order to access CCASS/ CCMS Terminal functions, each CP / DB should maintain/monitor the number of user account, including delegated administrator ("DA") and user, based on the operational needs. To request for additional user account, a participant/ designated bank must submit this eService to HKEX for processing. The user account limit can be viewed in the "User Profile Listing" function in Security Management functions ("DMS").

REQUEST DETAILS -

Number of CCASS/ CCMS User Account Requested

Type your answer here...

Number of CCASS/ CCMS User Account Requested is missing.

Amount (HKD) 0.00

Upon completion of processing, HKEX will update the eService with notification "Completed".

CONFIRMATION +

Top

CONTACT INFORMATION +

Section 4.2 (DA 3)

Participantship Management –

CCASS/ CCMS Delegated Administrator Application/ Maintenance Form

FIELDS HIGHLIGHTS (FOR THE FUNCTION AVAILABLE FROM 20 MARCH 2023)

| # | Field Name | Highlights |
|----------------------------|--|--|
| COMPANY INFORMATION | | |
| 1 | From | <ul style="list-style-type: none"> - Display the company name on behalf of which the maker is acting - Applicable to HKSCC/ HKCC/ SEOCH Participant and HKSCC Designated Bank |
| 2 | As | |
| REQUEST DETAILS | | |
| 3 | Number of CCASS/ CCMS User Account Request | <ul style="list-style-type: none"> - Field format: Numeric, no special character is allowed - Mandatory input |
| 4 | Amount (HKD) | <ul style="list-style-type: none"> - Auto-populated by eService and non-editable - Payment method is responsive to Participantship selected under COMPANY INFORMATION. |
| CONFIRMATION | | |
| 5 | Remarks | <ul style="list-style-type: none"> - Field format: Free text - Optional input |
| 6 | Declaration Box | <ul style="list-style-type: none"> - Mandatory Checkbox |
| CONTACT INFORMATION | | |
| 7 | Name of Contact Person | <ul style="list-style-type: none"> - Auto-filled based on maker's profile and content is editable - Maker can optionally provide up to 5 contact information - If group email is defined, fill in group email instead of maker's email - Built-in validation: Only on the format of email address and telephone number but not on data correctness |
| 8 | Email Address | |
| 9 | Telephone Number | |
| 10 | + CONTACT PERSON | |