

## 4.1 Settlement and Depository

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### DEP 5 CROSS-BORDER TRANSFER INSTRUCTION (FOREIGN SECURITIES) TO HKSCC

#### WHEN TO USE:

- When a HKSCC Participant wishes to submit / amend or cancel a cross-border transfer instruction for foreign securities to HKSCC through Client Connect.
- The eService is available at any time.

#### ABOUT THIS eSERVICE:

- This eService is available to Business users of HKSCC Participant granted with the access rights EU\_Depository.
- This eService is equivalent to “Cross-border Transfer Instruction Form: Foreign Securities - "Deliver Free of Payment" Instruction”( CCASS-Form 25), “Cross-border Transfer Instruction Form: Foreign Securities - "Receive Free of Payment" Instruction” (CCASS-Form 26) and “Cross-border Transfer Instruction Form: Foreign Securities - Cancel "Receive Free of Payment" Instruction” (CCASS-Form 27).
- The eService is responsive to options selected by Participants, different fields will appear when maker selects different Request Type.
- Only 1 Request Type can be selected for 1 participantship in each submission.
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.
- The eService allow HKSCC internal user to generate ad-hoc / daily / monthly reports (download / view), to review the status of the instructions (rejected / completed / returned to submitter).

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#### SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEX eServices interface. The top header includes the HKEX logo, user name 'Welcome, UM', last login time '20-Aug-2019 15:31 HKT', date '21-Aug-2019', and weather '15°'. The navigation menu on the left lists 'Post-Trade', 'Clearing', 'Settlement & Depository', 'Participation Management', 'Technical Setup', 'Support', 'eServices Reporting', and 'Submission and Download'. The main content area displays the title 'DEP 5 CROSS-BORDER TRANSFER INSTRUCTION (FOREIGN SECURITIES) TO HKSCC' and a 'Reference Number' field. Below this are three expandable sections: 'COMPANY INFORMATION', 'REQUEST DETAILS', and 'CONTACT INFORMATION', each with a '+' icon. 'SAVE' and 'PREVIEW' buttons are located at the top right of the form area.

There is built-in validation on the data input.

The 'REQUEST DETAILS' form shows the following validation errors:

- Request Type:**  Receive Security via DTC,  Deliver Security via DTC,  Cancel 'Receive Free of Payment' instruction
- Settlement Method:** Free of Payment
- Please RECEIVE the below shares Free of Payment via Depository Trust Company ('DTC') according to the following instruction:**
- Name of Delivering DTC Participant:** Type your answer here...  
Name of Delivering DTC Participant is missing.
- DTC Account Number of Delivering Participant:** Type your answer here...  
DTC Account Number of Delivering Participant is missing.
- CUSIP:** Type your answer here...  
CUSIP is missing.
- Name of Securities:** Type your answer here...  
Name of Securities is missing.
- Share Quantity:** Integer, >0  
Type your answer here...  
Share Quantity is missing.
- Value Date (New York Time):** dd-mmm-yyyy  
Value Date (New York Time) is missing.

**FIELDS HIGHLIGHTS:**

#	Field Name	Highlights	
<b>COMPANY INFORMATION</b>			
1	From	<ul style="list-style-type: none"> <li>- Display the company name on behalf of which the maker is acting.</li> <li>- Applicable to HKSCC Participant only</li> </ul>	
2	As		
<b>REQUEST DETAILS</b>			
3	Request Type <ul style="list-style-type: none"> <li>o Receive Security via DTC</li> <li>o Deliver Security via DTC</li> <li>o Cancel 'Receive Free of Payment' instruction</li> </ul>	<ul style="list-style-type: none"> <li>- Checkbox must be ticked.</li> <li>- Select one Request Type per eService.</li> <li>- Fields displayed are responsive to Request Type selected.</li> </ul>	
Request Type: Receive Security via DTC			
4	Name of Delivering DTC Participant	<ul style="list-style-type: none"> <li>- All fields are mandatory.</li> <li>- Built-in validation: Account number and share Quantity must be integer</li> <li>- The eService will suggest related Stock Name once maker enters the Stock code and vice versa.</li> </ul>	
5	DTC Account Number of Delivering Participant		
6	CUSIP		
7	Name of Securities		
8	Share Quantity		
9	Value Date (New York Time)		
10	CCASS Stock Account Number		
11	Stock Code		
12	Stock Name		
13	Declaration Checkbox		
Request Type: Deliver Security via DTC			
14	CCASS Stock Account Number		<ul style="list-style-type: none"> <li>- All fields are mandatory.</li> <li>- Built-in validation: Account number and share Quantity must be integer</li> <li>- The eService will suggest related Stock Name once maker enters the Stock code and vice versa.</li> </ul>
15	Stock Code		
16	Stock Name		
17	Share Quantity		
18	Name of Receiving DTC Participant		
19	DTC Account Number of Receiving Participant		
20	CUSIP		
21	Name of Securities		
22	Value Date (New York Time)		
23	Declaration Checkbox		
Request Type: Cancel 'Receive Free of Payment' instruction			
24	Name of Delivering DTC Participant	<ul style="list-style-type: none"> <li>- All fields are mandatory.</li> <li>- Built-in validation: Account number and share Quantity must be integer</li> <li>- The eService will suggest related Stock Name once maker enters the Stock code and vice versa.</li> </ul>	
25	DTC Account Number of Delivering Participant		
26	Stock Code		
27	Stock Name		
28	CUSIP		
29	Receive Instruction Reference Number		
30	Receive Instruction Submission Date		
31	Declaration Checkbox		

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## Settlement and Depository – Cross-Border Transfer Instruction (Foreign Securities) to HKSCC

#	Field Name	Highlights
<b>CONTACT INFORMATION</b>		
32	Name of Contact Person	<ul style="list-style-type: none"><li>- Auto-filled based on maker's profile and editable.</li><li>- If group email is defined, fill in group email instead of maker's email.</li><li>- Built-in validation: Only on the format of email address and telephone number but not on data correctness.</li><li>- Maker can provide up to 5 contact information.</li></ul>
33	Email Address	
34	Telephone Number	
35	+ Contact Person	