

4.1 Settlement and Depository

DEP 6 TRANSFER INSTRUCTION TO HKSCC (FOR DELISTED STOCK)

WHEN TO USE:

- When a HKSCC Participant wishes to submit transfer instruction to HKSCC for delisted stock 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.
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

Section 4.1 (Dep 6)

Settlement and Depository – Transfer Instruction to HKSCC (for delisted stock)

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEX eServices interface. The left sidebar contains navigation options: eServices, Post-Trade, Clearing, Settlement & Depository, Participant Management, Technical Setup, Support, eServices Reporting, and Submission and Download. The top header displays 'Welcome, UM', '21-Aug-2019', and 'Last Login: 20-Aug-2019 15:31 HKT'. The main content area is titled 'DEP 6 TRANSFER INSTRUCTION TO HKSCC (FOR DELISTED STOCK)'. It features a 'Reference Number' field and a 'Status' field with an 'Expand' icon. Below these are four expandable sections: 'COMPANY INFORMATION (DELIVERING PARTICIPANT)', 'REQUEST DETAILS', 'AUTHORIZATION FROM DELIVERING PARTICIPANT', and 'CONTACT INFORMATION (DELIVERING PARTICIPANT)'. 'SAVE' and 'PREVIEW' buttons are located at the top right of the form area.

There is built-in validation on the data input.

REQUEST DETAILS -

Beneficial Ownership Change

Yes
 No

Beneficial Ownership Change is missing

Delivering Stock A/C Number

Type your answer here...

Delivering Stock A/C Number is missing

Participant ID of Receiving Participant

Type your answer here...

Participant ID of Receiving Participant is missing

Name of Receiving Participant

Type your answer here...

Name of Receiving Participant is missing

No.	Stock Code	Stock Name	Quantity <small>Integer, >0 & <=999,999,999,999</small>
1	<input type="text"/>	<input type="text"/>	<input type="text"/>

Stock Code is missing Stock Name is missing Quantity is missing

+ ADD ANOTHER ROW

AUTHORIZATION FROM DELIVERING PARTICIPANT -

We hereby request and authorize Hong Kong Securities Clearing Company Limited to debit the shares shown in the above to be transferred from the stock account (A/C [Delivering Stock A/C number]) of The Hongkong and Shanghai Banking Corporation Limited (C00019) in CCASS to [name of Receiving Participant] ([Participant ID of Receiving Participant]) in CCASS.

In consideration of HKSCC acceding to our application as set out in the above, we hereby agree to indemnify HKSCC and/or any of its subsidiary associate companies or its holding company Hong Kong Exchanges and Clearing Limited and its affiliate companies ("HKEX group of companies") and hold each of them harmless against all actions, claims, proceedings, damages, costs and expenses (including legal costs) which may be brought against HKEX group of companies or suffered or incurred by HKEX group of companies as a result of or in connection with HKSCC acceding to the application as set out in the above and all matters relating thereto provided that such actions, claims, proceedings, damages, costs and expenses are not due to any act not done or not omitted to be done in good faith by HKSCC.

We confirm that we understand and accept the above

You must check this before you can proceed.

FIELDS HIGHLIGHTS:

#	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 Participant only 	
2	As		
REQUEST DETAILS			
3	Beneficial Ownership Change o Yes o No	<ul style="list-style-type: none"> - Checkbox must be ticked. - All fields are mandatory. - Built-in validation: Quantity must be a positive integer - The eService will suggest related Receiving Participant name once maker enters the CCASS ID and vice versa. - The eService will suggest related Stock Name once maker enters the Stock code and vice versa. 	
4	Delivering Stock A/C Number		
5	Participant ID of Receiving Participant		
6	Name of Receiving Participant		
7	Stock Code		
8	Stock Name		
9	Quantity		
10	+ Add Another Row		
11	Declaration Checkbox		
CONTACT INFORMATION			
12	Name of Contact Person		<ul style="list-style-type: none"> - Auto-filled based on maker's profile and editable. - 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. - Maker can provide up to 5 contact information.
13	Email Address		
14	Telephone Number		
15	+ Contact Person		