

4.1 Settlement and Depository

DEP 1A Application to HKSCC for Withdrawal Fee Concession (Pre-approval)

WHEN TO USE:

- When a HKSCC Participant wishes to submit Withdrawal Fee Concession application on stock withdrawal to HKSCC through Client Connect for pre-approval before submitting the withdrawal order.
- This 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 when there is change related to eService status.
- PDF report which contains the withdrawal fee concession information will be available to Participant after the workflow on the request is completed.

Section 4.1 (Dep 1A)

Settlement and Depository – Application to HKSCC for Withdrawal Fee Concession (Pre-approval)

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows a user interface for a 'DEP 1A APPLICATION TO HKSCC FOR WITHDRAWAL FEE CONCESSION (PRE-APPROVAL)'. At the top, there is a navigation bar with 'Home /', 'SAVE', and 'PREVIEW' buttons. Below the title bar, there is a 'Reference Number:' field with an 'Expand' icon. The main content area contains five expandable sections, each with a '+' icon on the right:

- COMPANY INFORMATION
- NOTE FOR APPLICATION
- CONDITION
- WITHDRAWAL FEE CONCESSION APPLICATION
- CONTACT INFORMATION

There is built-in validation on the data input.

The screenshot shows a detailed view of the 'CONDITION' and 'WITHDRAWAL FEE CONCESSION APPLICATION' sections. The 'CONDITION' section has two radio button options:

- For deposit and withdrawal of Jumbo Certificates by same participant for same underlying client
- Withdrawal for the purpose of enabling clients to exercise their rights as shareholders

Below these options is a red error message: **You must check this before you can proceed.**

The 'WITHDRAWAL FEE CONCESSION APPLICATION' section contains several input fields, each with a red error message below it:

- Name of Underlying Client**: Input field with placeholder 'Type your answer here...'. Error: **Name of Underlying Client is missing.**
- Stock Code**: Input field with placeholder 'Type your answer here...'. Error: **Stock Code is missing**
- Stock Name**: Input field with placeholder 'Type your answer here...'. Error: **Stock Name is missing**
- Number of Shares to be Withdrawn**: Input field with placeholder 'Type your answer here...'. Error: **Number of shares to be withdrawn is missing.**
- Expected Withdrawal Date**: Date picker field with placeholder 'dd-mmm-yyyy'. Error: **Expected Withdrawal Date is missing.**

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant
NOTE FOR APPLICATION		
CONDITION		
3	<ul style="list-style-type: none"> ○ For deposit and withdrawal of Jumbo Certificates by same participant for same underlying client ○ Withdrawal for the purpose of enabling clients to exercise their rights as shareholders 	- Choose either one of the conditions
WITHDRAWAL FEE CONCESSION APPLICATION		
4	Name of Underlying Client	- Field format: Free text
5	Stock Code	- Field format: Positive integer
6	Stock Name	- Field format: Alphanumeric Auto populated based on input of field number 10
7	Number of Shares to be Withdrawn	- Field format: Positive integer
8	Expected Withdrawal Date	- Field format: Textbox with date picker
9	Declaration Checkbox	- Mandatory checkbox
WITHDRAWAL FEE CONCESSION APPLICATION (WHEN 1ST CONDITION IS CHOSEN)		
10	Order Number (Deposit)	- Field format: H followed by 8 numbers
11	Account Number (Deposit)	- Field format: Positive integer
12	Deposit Date	- Field format: Textbox with date picker
13	No. of Certificates Deposited	- Field format: Positive integer
14	No. of Shares Deposited	- Field format: Positive integer
15	Supporting Document (Deposit Receipt) – UPLOAD	- Mandatory to upload supporting documents
16	+ ADD ANOTHER ROW	- Add a new row to provide entitlement details by clicking the button
CONTACT INFORMATION		
17	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
18	Email Address	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
19	Telephone Number	- Field format: Numeric - Auto-filled based on maker's profile and content is editable.
20	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.