4.1 Settlement and Depository

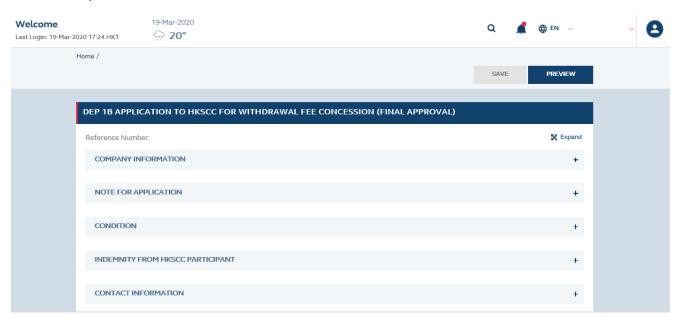## DEP 1B Application to HKSCC for Withdrawal Fee Concession (Final approval)

WHEN TO USE:

➢ When a HKSCC Participant wishes to submit an updated list of stock withdrawal for Withdrawal Fee Concession application previously obtained pre-approval to HKSCC through Client Connect.

➢ This eService is available at any time.

ABOUT THIS eSERVICE:
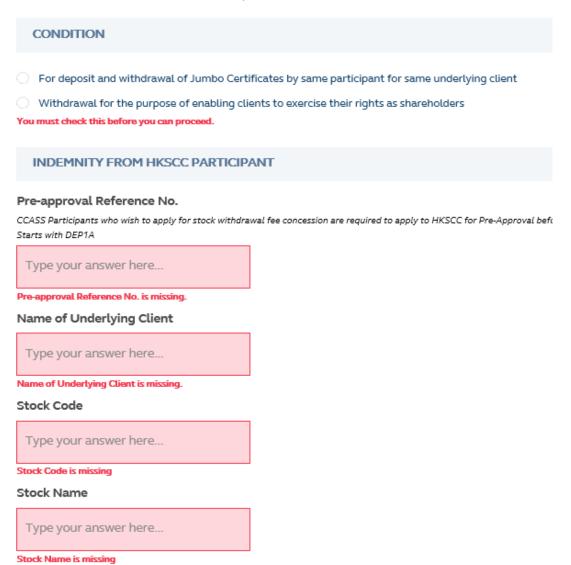
➢ This eService is available to Business users of HKSCC Participant granted with the access rights EU_Depository.

➢ This eService shall be in use with eService **DEP 1A Application to HKSCC for Withdrawal Fee Concession (Pre-approval)** with Pre-approval obtained from **DEP 1A**.

➢ 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 application information will be available to Participant after the workflow on the request is completed.

SAMPLE UX:

Users can expand all sections to view all the fields.

There is built-in validation on the data input.

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	o For deposit and withdrawl of Jumbo Cerfificates by same participant for same underlying client o Withdrawal for the purpose of enabling clients to exercise their rights as shareholders	- Choose either one of the conditions
INDEMNITY FROM HKSCC PARTICIPANT		
4	Pre-approval Reference No.	- Field format: Corresponding eService reference starting with DEP1A
5	Name of Underlying Client	- Field format: Free text
6	Stock Code	- Field format: Positive integer
7	Stock Name	- Field format: Alphanumeric Auto populated based on input of field number 10
8	Number of Shares Withdrawn	- Field format: Positive integer
9	Withdrawal Order Number	- Field format: W followed by 8 numbers
10	Withdrawal Order Input Date	- Field format: Textbox with date picker
11	Download Template for the Declaration From Underlying Client	- Template available to be downloaded
12	Supporting Document (Underlying Client Declaration Letter and Copy of Withdrawal Receipt) – UPLOAD	- Mandatory to upload supporting documents
13	Declaration Checkbox	- Mandatory checkbox
INDEMNITY FROM HKSCC PARTICIPANT (WHEN 2ND CONDITION IS CHOSEN)		
14	Order Number	- Field format: H followed by 8 numbers
15	Account Number	- Field format: Positive integer
16	Deposit Date	- Field format: Textbox with date picker
17	No. of Certificates Deposited	- Field format: Positive integer
18	No. of Shares Deposited	- Field format: Positive integer
19	+ ADD ANOTHER ROW	- Add a new row to provide entitlement details by clicking the button
CONTACT INFORMATION		
20	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
21	Email Address	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
22	Telephone Number	- Field format: Numeric - Auto-filled based on maker's profile and content is editable.
23	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.