

## 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.

## Section 4.1 (Dep 1B)

### Settlement and Depository – Application to HKSCC for Withdrawal Fee Concession (Final approval)

#### SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows a user interface for a 'DEP 1B APPLICATION TO HKSCC FOR WITHDRAWAL FEE CONCESSION (FINAL APPROVAL)'. At the top, there is a navigation bar with 'Welcome', 'Last Login: 19-Mar-2020 17:24 HKT', the date '19-Mar-2020', weather '20°', a search icon, a notification bell, a language selector 'EN', and a user profile icon. Below the navigation bar, there are 'SAVE' and 'PREVIEW' buttons. The main content area features a dark blue header with the application title. Below this, a 'Reference Number:' field is followed by an 'Expand' icon. The application is divided into several expandable sections, each with a plus sign on the right: 'COMPANY INFORMATION', 'NOTE FOR APPLICATION', 'CONDITION', 'INDEMNITY FROM HKSCC PARTICIPANT', and 'CONTACT INFORMATION'.

There is built-in validation on the data input.

#### CONDITION

- 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

**You must check this before you can proceed.**

#### INDEMNITY FROM HKSCC PARTICIPANT

##### Pre-approval Reference No.

CCASS Participants who wish to apply for stock withdrawal fee concession are required to apply to HKSCC for Pre-Approval before Starts with DEP1A

Type your answer here...

**Pre-approval Reference No. is missing.**

##### Name of Underlying Client

Type your answer here...

**Name of Underlying Client is missing.**

##### Stock Code

Type your answer here...

**Stock Code is missing**

##### Stock Name

Type your answer here...

**Stock Name is missing**

**FIELDS HIGHLIGHTS:**

#	Field Name	Highlights
<b>COMPANY INFORMATION</b>		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant
<b>NOTE FOR APPLICATION</b>		
<b>CONDITION</b>		
3	<ul style="list-style-type: none"> <li>○ For deposit and withdrawal of Jumbo Certificates by same participant for same underlying client</li> <li>○ Withdrawal for the purpose of enabling clients to exercise their rights as shareholders</li> </ul>	- Choose either one of the conditions
<b>INDEMNITY FROM HKSCC PARTICIPANT</b>		
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
<b>INDEMNITY FROM HKSCC PARTICIPANT (WHEN 2<sup>ND</sup> CONDITION IS CHOSEN)</b>		
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
<b>CONTACT INFORMATION</b>		
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.