

4.1 Settlement and Depository

DEP 2A Application to HKSCC for Scrip Fee Concession (Pre-approval)

WHEN TO USE:

- When a HKSCC Participant wishes to submit Scrip Fee Concession application on stock transfers belonging to the same underlying client of participants with CCASS on behalf of the client to HKSCC through Client Connect for pre-approval before transfer date.
- 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 must be initiated by the transferor.
- 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 claim request information will be available to Participant after the workflow on the claim request is ended.

Section 4.1 (Dep 2A)

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

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEX user interface. The top navigation bar includes the HKEX logo, user information (Welcome, UB@ com-), and the date (18-Nov-2019). The left sidebar lists various services and support options. The main content area is titled 'DEP 2A APPLICATION TO HKSCC FOR SCRIP FEE CONCESSION (PRE-APPROVAL)'. It features a list of expandable sections: COMPANY INFORMATION (TRANSFEROR), CRITERIA, TRANSFER DETAILS, INVENTORY LIST, OTHER SUPPORTING DOCUMENTS (TRANSFEROR), DECLARATION FROM TRANSFEROR, and CONTACT INFORMATION (TRANSFEROR). The status is set to 'Expand'.

There is built-in validation on the data input.

The 'TRANSFER DETAILS' section contains the following fields and validation messages:

- Name of Transferor:** Bank of China (Hong Kong) Ltd
- Participant ID of Transferor:** C00033
- Name of Transferee:** Type your answer here...
Name of Transferee is missing.
- Participant ID of Transferee:** Type your answer here...
Participant ID of Transferee is missing.
- Name of Underlying Client:** Type your answer here...
Name of Underlying Client is missing.
- Expected Date of Transfer:** dd-mmm-yyyy
At least 10 business days beyond current day
Please enter a valid Expected date of transfer

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant
TRANSFER DETAILS		
3	Name of Transferee	- Field format: Alphabetic - Auto populated based on the input of field number 4
4	Participant ID of Transferee	- Field format: Alphanumeric - Auto populated based on the input of field number 3
5	Name of Underlying Client	- Field format: Alphanumeric
6	Expected Date of Transfer	- Field format: Calendar picker
INVENTORY LIST		
7	Upload file (recommended for more than 5 entries) o Yes o No	- Upload an Excel template to fill the entitlement table as described at field number 10 to 15 - Recommended to upload an Excel template if claim request is more than 5 entries
8	Download Template	- A link to download the Excel template - Participant can refer to “Excel Example” sheet on how to fill the Excel template -
9	UPLOAD	- Upload an Excel template to fill the entitlement table as described at field number 10 to 15 - Recommended to upload an Excel template if claim request is more than 5 entries - System will capture and validate data from the first spreadsheet of the Excel file uploaded
10	Stock Code	- Field format: Positive integer
11	Stock Name	- Field format: Alphanumeric Auto populated based on input of field number 10
12	Last Scrip Fee Collection Date	- Input disabled. Auto populated based on input of field number 10
13	Underlying Client's Balance on Last Collection Date	- Field format: Positive integer
14	Shareholding Balance on Last Collection Date as per Entitlement Statements	- Field format: Positive integer
15	Transfer Quantity	- Field format: Positive integer
16	+ ADD ANOTHER ROW	- Add a new row to provide entitlement details by clicking the button
OTHER SUPPORTING DOCUMENTS (TRANSFEROR)		
17	Entitlement Statement – UPLOAD	- Mandatory to upload
18	Application Letter and Inventory List of the Underlying Client – UPLOAD	- Template available to be downloaded - Mandatory to upload a signed copy
19	Other Supporting Documents – UPLOAD	- Optional to upload supporting documents
DECLARATION FROM TRANSFEROR		
20	Declaration Checkbox	- Mandatory checkbox
CONTACT INFORMATION (TRANSFEROR)h		
21	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.

Section 4.1 (Dep 2A)

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

#	Field Name	Highlights
22	Email Address	<ul style="list-style-type: none">- Field format: Alphanumeric- Auto-filled based on maker's profile and content is editable.
23	Telephone Number	<ul style="list-style-type: none">- Field format: Numeric- Auto-filled based on maker's profile and content is editable.
24	+ CONTACT PERSON	<ul style="list-style-type: none">- Provide additional contract information by clicking the button- Participant can optionally provide up to 5 contact information.