

4.1 Settlement and Depository

DEP 2B Application to HKSCC for Scrip Fee Concession (Final approval)

WHEN TO USE:

- When a HKSCC Participant wishes to submit an updated list of stock transfers for Scrip 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 2A Application to HKSCC for Scrip Fee Concession (Pre-approval)** with Pre-approval obtained from **DEP 2A**.
- This eService must be initiated by the transferee.
- 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 2B)

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

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot displays the HKEX eServices interface for a 'DEP 2B APPLICATION TO HKSCC FOR SCRIP FEE CONCESSION (FINAL APPROVAL)'. The top navigation bar shows the user is logged in as 'UB@ .com-' on 18-Nov-2019. The left sidebar contains various service categories like 'Post Trade', 'Clearing', and 'Settlement & Depository'. The main content area shows a form with several expandable sections: 'COMPANY INFORMATION (TRANSFEEE)', 'CRITERIA', 'TRANSFER DETAILS', 'CONFIRMATION OF THE SECURITIES TRANSFER (TRANSFEEE)', and 'CONTACT INFORMATION (TRANSFEEE)'. The 'TRANSFER DETAILS' section is currently expanded, showing a list of instructions and input fields with validation errors.

There is built-in validation on the data input.

The 'TRANSFER DETAILS' section contains the following information and validation errors:

- Instructions:**
 1. CCASS Participants who wish to apply for scrip fee concession are required to obtain pre-approval from HKSCC before submitting this application.
 2. This application must be initiated by the transferee
- Name of Transferee:** Bank of China (Hong Kong) Ltd
- Participant ID of Transferee:** C00033
- Pre-approval Reference No.:** Type your answer here...
Pre-approval Reference No. is missing.
- Name of Transferor:** Type your answer here...
Name of Transferor is missing.
- Participant ID of Transferor:** Type your answer here...
Participant ID of Transferor is missing.
- Name of Underlying Client:** Type your answer here...
Name of Underlying Client is missing.
- Actual Transfer Date:** dd-mmm-yyyy
Actual Transfer Date is missing.
- Is there any changes in the inventory list?**
 - Yes
 - No*You must check this before you can proceed.*

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	Pre-approval Reference No.	- Field format: Alphanumeric
4	Name of Transferor	- Field format: Alphabetic - Auto populated based on input of field number 5
5	Participant ID of Transferor	- Field format: Alphanumeric - Auto populated based on input of field number 4
6	Name of Underlying Client	- Field format: Alphanumeric
7	Actual Transfer Date	- Field format: Calendar picker
8	Is there any changes in the inventory list? o Yes o No	- Field format: Radio button
CHANGES IN THE INVENTORY LIST		
9	Upload file (recommended for more than 5 entries) o Yes o No	- Field number 9 to 16 will become available when “Yes” is chosen for field number 8 - Download Template and UPLOAD button will become available if chosen “Yes” for “Upload File”
10	Download Template	- Field number 10 to 11 will become available when “Yes” is chosen for field number 9 - A link to download the Excel template - Participant can refer to “Excel Example” sheet on how to fill the Excel template
11	UPLOAD	- Upload an Excel template to fill the entitlement table as described at field number 12 to 14 - Recommended to upload an Excel template if claim request is more than 5 entries
12	Stock Code	- Field format: Positive Integer - Auto populated based on input of field number 13
13	Stock Name	- Field format: Alphanumeric - Auto populated based on input of field number 12
14	Actual Transfer Quantity	- Field format: Positive Integer
15	+ ADD ANOTHER ROW	- Add a new row to provide entitlement details by clicking the button
16	Declaration box	- Mandatory Checkbox
CONFIRMATION OF THE SECURITIES TRANSFER (TRANSFEREE)		
17	UPLOAD	- Upload the Settled Position Report
18	Declaration box	- Mandatory Checkbox
CONTACT INFORMATION (TRANSFEREE)		
19	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker’s profile and content is editable.
20	Email Address	- Field format: Alphanumeric - Auto-filled based on maker’s profile and content is editable.
21	Telephone Number	- Field format: Numeric - Auto-filled based on maker’s profile and content is editable.
22	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.