

## 4.1 Settlement and Depository

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### SET 1 APPLICATION TO HKSCC FOR EXEMPTION OF BUY-IN

#### WHEN TO USE:

- When a short Clearing Participant (CP) wishes to submit application and upload supplementary documents to HKSCC for exemption of buy-in through Client Connect.
- Available from 08:00 to 20:00 on CCASS settlement date.

#### ABOUT THIS eSERVICE:

- This eService is available to Business users granted with the access rights EU\_SecuritiesSettlement to apply for buy-in exemption.
- This eService is equivalent to “APPLICATION FORM FOR EXEMPTION OF BUY-IN” (CCASS-Form 59) and “APPLICATION FORM FOR EXEMPTION OF BUY-IN CHINA CONNECT SECURITIES” (CCASS-Form 65).
- To support the application, maker can upload relevant supplementary documents using the UPLOAD function. File types supported are \*.pdf, \*.xls or \*.xlsx and maker can upload at most 5 files with file size less than or equal to 20Mb each.
- Maker can request other Delivery Participant(s) to provide supplementary document for the buy-in exemption application. The Delivery Participant(s) will receive email notification(s) to provide supplementary document once the eService is approved by the checker. The supporting document will be uploaded via the Submission and Download function. Please refer to the Section [4.5] for the user manual of Submission and Download.
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

## Section 4.1 (Set 1)

### Settlement and Depository - Application to HKSCC for Exemption of Buy-in

#### SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.

### SET 1 APPLICATION FORM FOR EXEMPTION OF BUY-IN

Reference Number: Status:  Collapse

**COMPANY INFORMATION**

**From**  
xyz

**As**  
 HKSCC Participant (XYZ123)

**DETAILS OF FAILED DELIVERY POSITION**

**Market**  
 Hong Kong Market  
 China Connect Market  
Market is missing

**Stock Code**  
  
Stock Code is missing

**Stock Name**  
  
Stock Name is missing

**Settlement Pos No.**  
e.g. P12345678  
  
Settlement Pos No. is missing

**Settlement Date**

**Outstanding Share Quantity**  
  
Outstanding Share Quantity is missing

**Share Quantity Applied for Exemption**  
must be less than or equal to Outstanding Share Quantity  
  
Share Quantity Applied for Exemption is missing

**FIELDS HIGHLIGHTS:**

#	Field Name	Highlights
<b>COMPANY INFORMATION</b>		
1	From	<ul style="list-style-type: none"> <li>- Display the company name on behalf of which the maker is acting.</li> <li>- Only applicable to HKSCC Participant.</li> </ul>
2	As	
<b>DETAILS OF FAILED DELIVERY POSITION</b>		
3	Market	<ul style="list-style-type: none"> <li>- Applicable to Hong Kong or China Connect Market.</li> <li>- The eService will suggest related Stock Name once maker enters the Stock code and vice versa.</li> <li>- All fields are mandatory.</li> <li>- Built-in validation: Share Quantity Applied for Exemption must be less than or equal to Outstanding Share Quantity; Record with same Settlement Pos No. and Stock Code on same Settlement Date will be treated as duplicate.</li> </ul>
4	Stock Code	
5	Stock Name	
7	Settlement Pos No.	
8	Settlement Date	
9	Outstanding Share Quantity	
10	Share Quantity Applied for Exemption	
11	Declaration checkbox	
<b>BASIS OF APPLICATION</b>		
12	Basis checkbox	<ul style="list-style-type: none"> <li>- Maker can select all applicable basis.</li> <li>- Built-in validation: Total Related Quantity for the Basis must be less than or equal to Share Quantity Applied for Exemption.</li> </ul>
13	Related quantity for each basis	
14	Declaration checkbox	
<b>REMARK BY PARTICIPANT</b>		
15	Remark (Participant)	<ul style="list-style-type: none"> <li>- Mandatory only when total quantity of selected basis is less than the Share Quantity Applied for Exemption or no basis is selected.</li> <li>- Optional for maker to upload supplementary document.</li> <li>- At most 5 files with file size 20Mb each can be uploaded in one submission.</li> </ul>
16	UPLOAD	
17	File description	
<b>REQUEST FOR ADDITIONAL UPLOAD</b>		
18	Additional upload from Delivery Participant	<ul style="list-style-type: none"> <li>- Optional for short CP to request other Delivery Participant(s) to provide supplementary document.</li> <li>- The eService will suggest related Delivery Participant (DP) Name once users enter the Delivery Participant (DP) CCASS ID and vice versa.</li> <li>- All fields are mandatory when requesting other Delivery Participant(s) to provide supplementary document.</li> <li>- Maker can submit request to more than one Delivery Participant(s) in one submission.</li> </ul>
19	Delivery Participant (DP) CCASS ID	
20	Delivery Participant (DP) Name	
21	Remark to Delivery Participant (DP)	
22	+ ANOTHER PARTICIPANT	
<b>CONTACT INFORMATION</b>		
23	Name of Contact Person	<ul style="list-style-type: none"> <li>- Auto-filled based on maker's profile and editable.</li> <li>- If group email is defined, fill in group email instead of maker's email.</li> <li>- Built-in validation: Only on the format of email address and telephone number but not on data correctness.</li> <li>- Maker can provide up to 5 contact information.</li> </ul>
24	Email Address	
25	Telephone Number	
26	+ CONTACT PERSON	