

4.2 Participantship Management

AC 1 DCASS ACCOUNT MAINTENANCE REQUEST TO HKCC / SEOCH

WHEN TO USE:

- When a HKCC and/or SEOCH Participant wishes to open / terminate additional account in DCASS, including Individual Client Account and OBEP Individual Client Account for SEOCH, through Client Connect.
- The eService is available at any time.

ABOUT THIS eSERVICE:

- This eService is available to Business users granted with the access rights EU_AccountMaintenance.
- This eService is equivalent to “DCASS ACCOUNT MAINTENANCE FORM (HKCC)” (HKCC-Form AC), “DCASS ACCOUNT MAINTENANCE FORM (SEOCH)” (SEOCH-Form A9) and “MAINTENANCE OF OBEP INDIVIDUAL CLIENT ACCOUNT FORM” (SEOCH-Form A11).
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

Section 4.2 (AC 1)

Participation Management – DCASS Account Maintenance Request To HKCC / SEOCH

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEX Participant Management interface. The left sidebar contains navigation options: eServices (Post-Trade, Clearing, Settlement & Depository, Participation Management, Technical Setup), Support (eServices Reporting, Submission and Download), and a user profile. The main content area displays a form titled "AC 1 DCASS ACCOUNT MAINTENANCE REQUEST TO HKCC / SEOCH" in a draft state. The form includes a reference number (TEMP_00000176) and several expandable sections: COMPANY INFORMATION, DETAILS OF ACCOUNT MAINTENANCE, EFFECTIVE DATE, and CONTACT INFORMATION. Buttons for DISCARD, SAVE, and PREVIEW are visible at the top of the form area.

There is built-in validation on the data input.

This detailed view of the form shows the following sections and validation messages:

- Reference Number:** TEMP_00000176. Status: Collapse.
- COMPANY INFORMATION:** Expanded section.
- From:** xyz
- As:** Radio buttons for "SEOCH Participant (XYZ)" and "HKCC Participant (XYZ)". A red error message states: "Please select the Participant type".
- DETAILS OF ACCOUNT MAINTENANCE:** Expanded section.
- Request Type:** Radio buttons for "Other DCASS A/C" (selected) and "DCASS OBEP A/C".
- Service Type:** Radio buttons for "Open Straight Through Individual Client Account", "Open NON Straight Through Individual Client Account", "Open Other Account Type", and "Terminate Account". A red error message states: "You must check this before you can proceed".
- Account Details:** A text input field with the placeholder "Type your answer here...". A red error message states: "Please enter OBEP account".
- Declaration:** A red-bordered box containing the text: "We declare that we accept all the general terms and conditions for the keeping of the above account as prescribed by the Clearing House from time to time". Below this is a checkbox for "We confirm that we understand and accept the above." and a red error message: "You must check this before you can proceed."

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	<ul style="list-style-type: none"> - Display the company name on behalf of which the maker is acting. - Applicable to HKCC and/or SEOCH Participants.
2	As	
DETAILS OF ACCOUNT MAINTENANCE		
Request Type: Other DCASS A/C		
3	Service Type <ul style="list-style-type: none"> o Open Straight Through Individual Client Account o Open NON Straight Through Individual Client Account o Open Other Account Type o Terminate Account 	<ul style="list-style-type: none"> - All fields are mandatory.
4	Account Details	
Request Type: DCASS OBEP A/C		
5	Service Type <ul style="list-style-type: none"> o Open Individual Client Account o Terminate Account 	<ul style="list-style-type: none"> - All fields are mandatory. - Maker can submit maintenance requests for more than 1 account.
6	Name of OBEP	
7	OBEP Account	
8	Declaration checkbox	
9	+ ADD ANOTHER ACCOUNT	
EFFECTIVE DATE		
10	Preferred Effective Date	<ul style="list-style-type: none"> - Preferred Effective Date must be equal to or later than 3 business dates later. - Confirmed Effective Date is only available when HKEX completed the request.
11	Confirmed Effective Date	
CONTACT INFORMATION		
12	Name of Contact Person	<ul style="list-style-type: none"> - Auto-filled based on maker's profile and editable. - If group email is defined, fill in group email instead of maker's email. - Built-in validation: Only on the format of email address and telephone number but not on data correctness. - Maker can provide up to 5 contact information.
13	Email Address	
14	Telephone Number	
15	+ CONTACT PERSON	