

## 4.2 Participantship Management

---

### AC 13 CHANGE OF COMPANY PARTICULARS AND CONTACT PERSONS

#### WHEN TO USE:

- When a HKSCC/HKCC/SEOCH Participant, HKSCC Designated Bank or HKSCC Clearing Agency Participant wishes to update company particulars and contact persons 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\_CompanyAdministration.
- This eService is equivalent to “Change of Account Information Form”(CCASS-Form 48) and “CHANGE OF CCMS/DCASS CONTACT PERSONS FORM” (DCASS-Form 3).
- The eService is responsive to options selected by Participants, different set of fields will appear when maker selects different Participantships for HKSCC, HKCC and or SEOCH. Separate sets of fields will appear if maker selects HKSCC Participant/HKSCC Designated Bank/HKSCC Clearing Agency Participant or if maker selects HKCC/SEOCH Participant. A HKSCC Participant/HKSCC Designated Bank/HKSCC Clearing Agency Participant can only update the CCASS information in one eService and as a HKCC/SEOCH Participant, it needs to submit another eService if it wishes to update the CCMS/DCASS information .
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

## Section 4.2 (AC 13)

### Participation Management – Change of Company Particulars and Contact Persons

#### SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEX eServices interface. The top navigation bar includes the HKEX logo, user information (Welcome, um, 04-Mar-2019, 15°), and search/notification icons. The left sidebar lists various eServices categories. The main content area displays the 'AC 13 CHANGE OF COMPANY PARTICULARS AND CONTACT PERSONS' form. The form has a 'Reference Number' field and a 'Status: Expand' button. Below this, there are three expandable sections: 'COMPANY INFORMATION', 'DETAILS OF CHANGES', and 'CONTACT INFORMATION'. The 'DETAILS OF CHANGES' section is currently collapsed, showing a declaration checkbox: 'We confirm that we understand and accept the above'. There are 'SAVE' and 'PREVIEW' buttons at the top right of the form area.

There is built-in validation on the data input.

The left screenshot shows the 'DETAILS OF CHANGES' section. It includes a 'Proposed Effective Date' dropdown menu set to '13-Mar-2019'. Below it, a note states: 'Please allow three business days for Clearing House to process your change request.' The 'Confirmed Effective Date' is 'To be confirmed by HKEX'. The section title is 'COMPANY INFORMATION FOR CCASS PARTICIPANT OR DESIGNATED BANK'. Below this, there are input fields for 'New Correspondence Address', 'New Telephone No.(General Line)', and 'New Fax Number'. The 'DESIGNATED OFFICER' section includes radio buttons for 'Mr.' and 'Ms.', and input fields for 'Name in English', 'Position in English', and 'Name in Chinese (if any)'. The right screenshot shows the 'CCMS / DCASS CONTACT PERSON' section. It includes a note: 'Please provide at least two contacts for each of the following operations, if applicable: - Margin Call and Money Settlement; - DCASS Operations (prefer one for day and one for night); - DCASS IT Contact Person (prefer one for day and one for night); - HKEX will contact the persons in the priority as listed out.' Below this, there are input fields for 'Title' (with radio buttons for 'Mr.' and 'Ms.'), 'Name', 'Position', 'Office No.', and 'Mobile No.'. Each of these fields is highlighted in red, and a red error message 'Name is missing', 'Position is missing', 'Office No. is missing', and 'Mobile No. is missing' is displayed below each respective field.

## 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>- Applicable to HKSCC/HKCC/SEOCH Participant, HKSCC Designated Bank and HKSCC Clearing Agency Participant.</li> </ul>
2	As	
<b>DETAILS OF CHANGES</b>		
3	Proposed Effective Date	<ul style="list-style-type: none"> <li>- Proposed Effective Date must be at least 3 business dates later.</li> <li>- Confirmed Effective Date is only available when HKEX completed the request.</li> </ul>
4	Confirmed Effective Date	
<b>COMPANY INFORMATION FOR HKSCC PARTICIPANT OR DESIGNATED BANK OR CLEARING AGENCY PARTICIPANT</b>		
5	New Correspondence Address	<ul style="list-style-type: none"> <li>- Only available for HKSCC Participant / HKSCC Designated Bank and HKSCC Clearing Agency Participant.</li> <li>- All fields are optional.</li> </ul>
6	New Telephone No. (General Line)	
7	New Fax Number	
<b>DESIGNATED OFFICER / ALTERNATIVE DESIGNATED OFFICER</b>		
8	Title <ul style="list-style-type: none"> <li>o Mr.</li> <li>o Ms.</li> </ul>	<ul style="list-style-type: none"> <li>- Only available for HKSCC Participant / HKSCC Designated Bank and HKSCC Clearing Agency Participant.</li> <li>- All fields are optional except for HKSCC Designated Bank:- Name in Chinese (if any) and Position in Chinese (if any) are compulsory if the relevant fields in English have been inputted.</li> </ul>
9	Name in English	
10	Position in English	
11	Name in Chinese (if any)	
12	Position in Chinese (if any)	
13	Direct Telephone No.	
14	Email Address	
15	Request for Data Download Service in CCASS checkbox	
16	Bank Identifier Code (BIC) <ul style="list-style-type: none"> <li>o New</li> <li>o Change</li> <li>o Delete</li> </ul>	
17	BIC Bank Code	
18	BIC Country Code	
19	BIC Location Code	
<b>CCMS / DCASS CONTACT PERSON for HKCC/SEOCH Participant</b>		
20	Title <ul style="list-style-type: none"> <li>o Ms.</li> <li>o Mr.</li> </ul>	<ul style="list-style-type: none"> <li>- Only available for HKCC and/or SEOCH Participant.</li> <li>- All fields are mandatory.</li> </ul>
21	Name	
22	Position	
23	Office No.	
24	Mobile No.	
26	Email Address	
26	Margin Call and Money Settlement checkbox	<ul style="list-style-type: none"> <li>- At least one checkbox must be selected.</li> </ul>
27	DCASS Operations Day / Night checkbox	

**Section 4.2 (AC 13)**

## Partnership Management – Change of Company Particulars and Contact Persons

#	Field Name	Highlights
28	DCASS IT Contact Day / Night checkbox	
29	+ CONTACT PERSON	- Maker can add more than one CCMS/DCASS contact person.
30	Declaration checkbox	
<b>CONTACT INFORMATION</b>		
31	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
32	Email Address	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
33	Telephone Number	- Field format: Numeric - Auto-filled based on maker's profile and content is editable.
34	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.