

4.2 Participantship Management

AC 4 CCMS COLLATERAL ACCOUNT DESIGNATION FOR MARKS, MARGIN AND CONCENTRATION COLLATERAL COLLECTION BY SEOCH

WHEN TO USE:

- When a SEOCH Participant wishes to designate a CCMS house account to collect money to satisfying the Marks, Margin and Concentration Collateral related to Exercised Options Trades (EOT) from time to time required by HKSCC, in respect of the Participant's pending stock positions which are to be settled via CCASS under the CNS system.
- 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 "CCMS COLLATERAL ACCOUNT DESIGNATION FORM FOR MARKS, MARGIN AND CONCENTRATION COLLATERAL COLLECTION BY SEOCH" (SEOCH-Form B10).
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

Section 4.2 (AC 4)

Participanship Management –

CCMS Collateral Account Designation for Marks, Margin and Concentration Collateral Collection by SEOCH

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEX Participant Management interface. The main content area displays a form titled "AC 4 CCMS COLLATERAL ACCOUNT DESIGNATION FOR MARKS, MARGIN AND CONCENTRATION COLLATERAL COLLECTION BY SEOCH". The form includes a "Reference Number:" field and a "Status: Expand" button. Below these are three expandable sections: "COMPANY INFORMATION", "REQUEST DETAILS", and "CONTACT INFORMATION", each with a "+" icon. The interface also features a sidebar with navigation options such as "Post-Trade", "Clearing", "Settlement & Depository", "Participanship Management", "Technical Setup", "Support", "eServices Reporting", and "Submission and Download". The top navigation bar shows "Welcome, ub", the date "08-Feb-2019", and the time "15°".

There is built-in validation on the data input.

The screenshot shows the "REQUEST DETAILS" section of the form. The "Request Type" field has two radio button options: "Update" and "Delete". Below these options, a red error message states "Request Type is missing". The "SEOCH House CCMS Collateral Account Number" field is empty, and a red error message below it says "Please enter a valid Account Number". A confirmation box with a red border and a red background contains the following text: "We hereby confirm and acknowledge as follows: (i) This Designation Form supersedes any previous Designation Form(s) given by us to SEOCH; (ii) SEOCH will not effect any transfer as above mentioned if the amount available for transfer in the designated House CCMS Collateral Account is not sufficient to satisfy any Marks, Margin and Concentration Collateral Requirements in full; (iii) SEOCH shall not in any way be liable to us for any delay, interruption or inability to effect any transfer as above mentioned; and (iv) The request and authority given hereunder will continue in full force and effect unless and until the effective date of termination." Below this text is a checkbox labeled "We confirm that we understand and accept the above." which is currently unchecked. A red error message below the checkbox says "You must check this before you can proceed." The "Proposed Effective Date" field is empty, and a red error message below it says "Must be later than today."

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. - Only applicable to SEOCH Participants.
2	As	
REQUEST DETAILS		
3	Request Type <ul style="list-style-type: none"> o Update o Delete 	<ul style="list-style-type: none"> - All fields are mandatory. - Built-in validation: SEOCH House CCMS Collateral Account Number must be a 4-digit number. - Proposed Effective Date must be later than current date. - Confirmed Effective Date shows “To be confirmed by HKEX” and is only available when HKEX approved the request.
4	SEOCH House CCMS Collateral Account Number	
5	Declaration checkbox	
6	Proposed Effective Date	
7	Confirmed Effective Date	
CONTACT INFORMATION		
8	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.
9	Email Address	
10	Telephone Number	
11	+ CONTACT PERSON	