4.2   Participantship Management

AC 5 STOCK ACCOUNT MAPPING MAINTENANCE TO HKSCC FOR THE USE OF SHANGHAI AND SHENZHEN STOCK CONNECT

WHEN TO USE:

➢ When a HKSCC General Clearing Participant wishes to maintain stock account mapping for the use of Shanghai and Shenzhen Stock Connect through Client Connect.

➢ EP must be a China Connect Exchange Participant.

➢ This eService is available at any time.

ABOUT THIS eSERVICE:

➢ This eService is available to business users granted with the access rights EU_CommonNomineeService.

➢ The eService is equivalent to "Stock Account Mapping Maintenance Form for the Use of Shanghai and Shenzhen Stock Connect" (CCASS-Form 68).

➢ 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.

SAMPLE UX:

Users can expand all sections to view all the fields.

There is built-in validation on the data input.

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the Company name of the Participant
2	As	- Display the role of Participant
MAINTENANCE REQUEST		
3	Name of Exchange Participant/NCP	- Field format: Alphabatic - Auto populated based on input of field number 4
4	Exchange Participant ID	- Field format: Positive Integer - Auto populated based on input of field number 3
5	Type of Stock Account Mapping ○ All except Account 20 ○ Account(s) as specified below ○ Cancel All Accounts	- Field format: Radio button
6	Proposed Effective Date	- Field format: Calendar picker
7	SET OF STOCK ACCOUNT(S) 1 to 8	- Field format: Positive integer - Field available when "Account(s) as specified below" is selected in field number 4 -
8	Remarks to HKEX	- Optional input
ACKNOWLEDGEMENT (GENERAL CLEARING PARTICIPANT)		
9	Declaration Box	- Mandatory Checkbox
CONTACT INFORMATION (GENERAL CLEARING PARTICIPANT)		
10	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
11	Email Address	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
12	Telephone Number	- Field format: Numeric - Auto-filled based on maker's profile and content is editable.
13	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.