

4.2 Participation 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.

Section 4.2 (AC 5)

Participation Management –

Stock Account Mapping Maintenance to HKSCC for the Use of Shanghai and Shenzhen Stock Connect

SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEX eServices interface. The header includes the HKEX logo, user information (Welcome, UB@ .com-), and the date (22-Nov-2019). The main content area is titled 'AC 5 STOCK ACCOUNT MAPPING MAINTENANCE TO HKSCC FOR THE USE OF SHANGHAI AND SHENZHEN STOCK CONNECT'. A note states: 'Note: This eService is applicable to General Clearing Participant of HKSCC only. Submission by other types of participant would be rejected.' Below the note, there are four expandable sections: 'COMPANY INFORMATION (GENERAL CLEARING PARTICIPANT)', 'MAINTENANCE REQUEST', 'ACKNOWLEDGMENT (GENERAL CLEARING PARTICIPANT)', and 'CONTACT INFORMATION (GENERAL CLEARING PARTICIPANT)'. Each section has a '+' icon to expand it.

There is built-in validation on the data input.

The screenshot shows the 'MAINTENANCE REQUEST' form. The form includes the following fields and validation messages:

- Name of Exchange Participant/NCP:** Type your answer here...
Name of Exchange Participant/NCP is missing
- Exchange Participant ID:** Type your answer here...
Exchange Participant ID is missing
- Type of Stock Account Mapping:** Radio buttons for 'All except Account 20 (This option is only available for GCP who only clears and settles China Connect Securities Trades for itself or for one NCP.)', 'Account(s) as specified below', and 'Cancel All Accounts'.
Type of Stock Account Mapping is missing
- Proposed Effective Date:** 27-Nov-2019

A detailed note states: 'Proposed effective date must be a Stock Connect Northbound trading day and the request should reach HKEX at least 3 business days before the proposed effective date. If such condition cannot be met when the request submitted to HKEX, the system will automatically postpone the proposed effective date to the next possible date. The actual effective date, however, is still subject to HKEX's confirmation.'

Remarks to HKEX: Type your answer here...

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: Alphabetic - 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 o All except Account 20 o Account(s) as specified below o 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.