

## 4.2 Participantship Management

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### AC 6 SPECIAL SEGREGATED ACCOUNT AND DESIGNATED EXECUTING BROKER MAINTENANCE REQUEST TO HKSCC

#### WHEN TO USE:

- When a Clearing Participant (CP), which is a Custodian Participant or General Clearing Participant (GCP) and not an Exchange Participant (EP) designates or removes an EP (ie executing broker) to execute orders on behalf of certain client(s) through the CP's Special Segregated Account (SPSA) in China Connect Market.
- EP must be a China Connect Exchange Participant and had successfully completed the pre-trade checking in the institutional investor testing.
- 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 “Special Segregated Account and Designated Executing Broker Maintenance Form” (CCASS-Form 69).
- Email and/or Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

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#### SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.

#### MAINTENANCE REQUEST

Upload file (For upload of up to 1000 entries)

Yes  
 No

Upload File Flag is missing

Stock Segregated Account No.	Investor ID	Action	Exchange Participant ID	Full name of Exchange Participant
Type your answer here...	Type your answer here...	Type your answer here... ▼	Type your answer here...	Type your answer here...
Stock Segregated Account No. is missing.	Investor ID is missing.	Action is missing.	Exchange Participant ID is missing.	Full name of Exchange Participant is missing.

+ ADD ANOTHER ROW

The input will be sorted by Stock Segregated Account No., Action, and then Exchange Participant ID.

#### Confirmation (Custodian)

We confirm that we have provided the relevant client information to the designated executing broker(s) as specified above for client identification purpose.

We confirm that we understand and accept the above.

You must check this before you can proceed if declaration/statement checkbox is unchecked.

**Proposed Effective Date**

27-May-2022 ▼

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	
<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> </ul>	
2	As		
<b>PARTICIPANT INFORMATION (EXCHANGE PARTICIPANT)</b>			
3	From	<ul style="list-style-type: none"> <li>- Display the company name on behalf of which the maker is acting.</li> </ul>	
4	As		
<b>MAINTENANCE REQUEST</b>			
5	Upload file (for upload of up to 1,000 entries) <ul style="list-style-type: none"> <li>o Yes</li> <li>o No</li> </ul>	<ul style="list-style-type: none"> <li>- Please use Google Chrome when making use of upload file function.</li> <li>- Template and UPLOAD button will become available if chosen "Yes" for "Upload File"; Large number of entries (up to 1,000 entries) in the uploaded file might result in longer processing time (approx. 5 minutes).</li> <li>- Maker can submit more than 1 request and to multiple EPs.</li> <li>- The request will be split to multiple eService by the number of EPs involved.</li> <li>- All fields are mandatory except "Remark 1 from CP for EP", "Remark 2 from CP for EP" and "Remarks to HKEX".</li> <li>- Maximum of 50 characters are allowed in "Remark 1 from CP for EP" and "Remark 2 from CP for EP".</li> <li>- Maximum of 500 characters are allowed in "Remarks to HKEX".</li> <li>- The eService will suggest the corresponding Full Name of Exchange Participant when Maker enters the Exchange Participant ID</li> <li>- User should refer to the "Confirmed Effective Date" as the final approved effective date</li> </ul>	
6	Download Template		
7	UPLOAD		
8	Stock Segregated Account No.		
9	Investor ID		
10	Action <ul style="list-style-type: none"> <li>o Add</li> <li>o Delete</li> </ul>		
11	Exchange Participant ID		
12	Full name of Exchange Participant		
13	Remark 1 from CP for EP		
14	Remark 2 from CP for EP		
15	Included in mapping		
16	+ ADD ANOTHER ROW		
17	Confirmation Checkbox (Custodian)		
18	Proposed Effective Date		
19	Confirmation Checkbox (Exchange Participants)		
20	Confirmed Effective Date		
21	Remarks to HKEX		
<b>CONTACT INFORMATION (CUSTODIAN PARTICIPANT OR NON-EP GCP/ EXCHANGE PARTICIPANT)</b>			
22	Name of Contact Person		<ul style="list-style-type: none"> <li>- Field format: Alphanumeric</li> <li>- Auto-filled based on maker's profile and content is editable.</li> </ul>
23	Email Address		<ul style="list-style-type: none"> <li>- Field format: Alphanumeric</li> <li>- Auto-filled based on maker's profile and content is editable.</li> </ul>
24	Telephone Number		<ul style="list-style-type: none"> <li>- Field format: Numeric</li> <li>- Auto-filled based on maker's profile and content is editable.</li> </ul>
25	+ CONTACT PERSON	<ul style="list-style-type: none"> <li>- Provide additional contract information by clicking the button</li> <li>- Participant can optionally provide up to 5 contact information.</li> </ul>	

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#### REPORTS:

2 SPSA related reports are available for download through **eService Reporting** on the navigation menu.

The screenshot shows the HKEX eServices Reporting interface. The left sidebar has a menu with 'eServices Reporting' highlighted in red. The main content area shows the 'eService Reporting' page with a 'GENERATE AD HOC REPORT' button and a 'DOWNLOAD/VIEW REPORT' section. The table below shows two reports:

Type	Generation Date/Time	eService	Report Name
Daily	18-Aug-2019 17:00 HKT	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	SPSA to Execution Broker Mapping report
Daily	18-Aug-2019 00:00 HKT	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	Submission Status Report

The screenshot shows the HKEX eServices Reporting interface. The left sidebar has a menu with 'eServices Reporting' highlighted in red. The main content area shows the 'eService Reporting' page with a 'GENERATE AD HOC REPORT' button and a 'DOWNLOAD/VIEW REPORT' section. The table below shows one report:

Type	Generation Date/Time	eService	Report Name
Ad Hoc	19-Aug-2019 10:05 HKT	Special Segregated Account and Designated Executing Broker Maintenance Request to HKSCC	SPSA to Execution Broker Mapping report

Report Name	SPSA to Execution Broker Mapping Report	Submission Status Report
Frequency	Daily at 17:00 HKT or Ad Hoc by users	Daily at 00:00 HKT
File Format	CSV	
Contents	Shows only related records of matching CCASS Participant ID or Exchange Participant ID	
Fields	<ul style="list-style-type: none"> <li>- No.</li> <li>- CCASS Participant ID</li> <li>- Full name of the Participant</li> <li>- SPSA No.</li> <li>- Investor ID</li> <li>- Exchange Participant ID</li> <li>- Full name of Exchange Participant</li> <li>- Status</li> <li>- Submission Date</li> <li>- eService Ref. No.</li> <li>- Confirmed Effective Date</li> </ul>	<ul style="list-style-type: none"> <li>- eService Ref. No.</li> <li>- eService Submission Date</li> <li>- Status</li> <li>- CP ID</li> <li>- Name of CP</li> <li>- EP Firm ID</li> <li>- Name of EP</li> <li>- HKEX approved date</li> <li>- Confirmed Effective date (if approved)</li> </ul>

Alternatively, users can also enquire the related eService online or refer to PDF file if the related eService has been approved by HKEX.