

4.2 Participantship Management

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.

The screenshot shows the HKEX Participant Management interface. The top navigation bar includes the HKEX logo, user information (Welcome, UB, Last Login: 26-Jun-2019 09:20 HKT), and the date (20-Aug-2019). The sidebar on the left lists various services under 'eServices' and 'Support'. The main content area is titled 'AC 6 SPECIAL SEGREGATED ACCOUNT AND DESIGNATED EXECUTING BROKER MAINTENANCE REQUEST TO HKSCC'. It features a 'Reference Number' field and a 'Status' dropdown set to 'Expand'. Below this are several expandable sections, each with a '+' icon: COMPANY INFORMATION, PARTICIPANT INFORMATION (EXCHANGE PARTICIPANT), INFORMATION, MAINTENANCE REQUEST, CONTACT INFORMATION (CUSTODIAN PARTICIPANT OR NON-EP GCP), CONTACT INFORMATION (EXCHANGE PARTICIPANT), and AUDIT TRAIL.

There is built-in validation on the data input.

The screenshot shows the 'MAINTENANCE REQUEST' form. It includes an 'Upload file' section with radio buttons for 'Yes' and 'No', and a 'Download Template' link. Below this is an 'UPLOAD' button. The main part of the form is a table with the following columns: No., Stock Segregated Account No., Investor ID, Action, Exchange Participant ID, Full name of Exchange Participant, and Remarks. The first row of the table contains input fields with red error messages: 'Type your answer here...' (under Stock Segregated Account No.), 'Type your answer here...' (under Investor ID), 'NOTHING SELECTED' (under Action), 'Type your answer here...' (under Exchange Participant ID), and 'Type your answer here...' (under Full name of Exchange Participant). Below the table is a '+ ADD ANOTHER ROW' button. At the bottom, there is a 'Confirmation (Custodian)' section with a checkbox for 'We confirm that we understand and accept the above.' and a note: 'You must check this before you can proceed if declaration/statement checkbox is unchecked.' Below this is a 'Proposed Effective Date' dropdown menu showing '27-Aug-2019' and a 'Remarks to HKEX' text area.

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. - Applicable to HKSCC Participant. 	
2	As		
PARTICIPANT INFORMATION (EXCHANGE PARTICIPANT)			
3	From	<ul style="list-style-type: none"> - Display the company name on behalf of which the maker is acting. - Applicable to SEHK Participant. 	
4	As		
MAINTENANCE REQUEST			
5	Upload file (for upload of up to 70 entries) <ul style="list-style-type: none"> o Yes o No 	<ul style="list-style-type: none"> - Please use Google Chrome when making use of upload file function. - Template and UPLOAD button will become available if chosen “Yes” for “Upload File”; Large number of entries (up to 70 entries) in the uploaded file might result in longer processing time (approx. 15 minutes). - Maker can submit more than 1 request and to multiple EPs. - The request will be split to multiple eService by the number of EPs involved. - All fields are mandatory except “Remark 1 from CP for EP”, “Remark 2 from CP for EP” and “Remarks to HKEX”. - Maximum of 50 characters are allowed in “Remark 1 from CP for EP” and “Remark 2 from CP for EP”. - Maximum of 500 characters are allowed in “Remarks to HKEX”. - The eService will suggest the corresponding Full Name of Exchange Participant when Maker enters the Exchange Participant ID - User should refer to the “Confirmed Effective Date” as the final approved effective date 	
6	Download Template		
7	UPLOAD		
8	Stock Segregated Account No.		
9	Investor ID		
10	Action <ul style="list-style-type: none"> o Add o Delete 		
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		
CONTACT INFORMATION (CUSTODIAN PARTICIPANT OR NON-EP GCP/ EXCHANGE PARTICIPANT)			
22	Name of Contact Person		<ul style="list-style-type: none"> - Field format: Alphanumeric - Auto-filled based on maker’s profile and content is editable.
23	Email Address		<ul style="list-style-type: none"> - Field format: Alphanumeric - Auto-filled based on maker’s profile and content is editable.
24	Telephone Number		<ul style="list-style-type: none"> - Field format: Numeric - Auto-filled based on maker’s profile and content is editable.
25	+ CONTACT PERSON	<ul style="list-style-type: none"> - Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information. 	

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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 user is logged in as 'UM' on 19-Aug-2019. The interface includes a navigation menu on the left with 'eServices Reporting' highlighted. The main content area shows the 'eServices Reporting' section with a 'GENERATE AD HOC REPORT' button. Below this, there is a 'DOWNLOAD/VIEW REPORT' section with filters for Date, Type, eService, and Report. A table lists 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 with the 'GENERATE AD HOC REPORT' button selected. The interface prompts the user to select a report type and eService. The selected report type is 'Special Segregated Account and Designated Executing Broker ...' and the selected eService is 'SPSA to Execution Broker Mapping report'. A 'GENERATE' button is visible. Below this, there is a 'DOWNLOAD/VIEW REPORT' section with filters for Date, Type, eService, and Report. A table lists 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"> - No. - CCASS Participant ID - Full name of the Participant - SPSA No. - Investor ID - Exchange Participant ID - Full name of Exchange Participant - Status - Submission Date - eService Ref. No. - Confirmed Effective Date 	<ul style="list-style-type: none"> - eService Ref. No. - eService Submission Date - Status - CP ID - Name of CP - EP Firm ID - Name of EP - HKEX approved date - Confirmed Effective date (if approved)

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