

## 4.2 Participation Management

---

### AC 7 MASTER SPSA ID TO SPSA MAPPING MAINTENANCE REQUEST

#### WHEN TO USE:

- When a Master SPSA Holder wishes to maintain Master SPSA ID to SPSA mapping for the use of China Connect Market through Client Connect.
- Master SPSA Holder should note that at least one effective mapping of Master SPSA ID with the designated executing broker should be in place before/with the same effective date of the Master SPSA ID to SPSA mapping.
- This eService is available at any time.

#### ABOUT THIS eSERVICE:

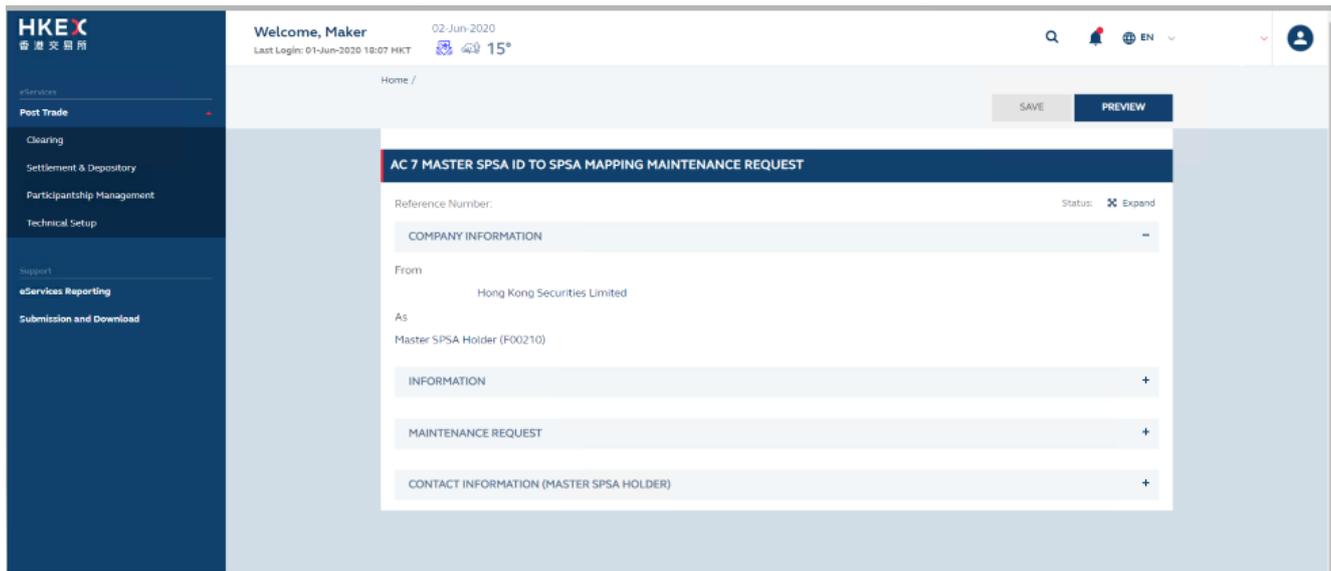
- This eService is available to Business users granted with the access rights EU\_MSPSA.
- The Master SPSA Holder and Custodian Participant, or a General Clearing Participant which is not an Exchange Participant (“non-EP GCP”) will receive notification by means prescribed by the HKSCC of the confirmed effective date when the eService is approved. The email address(es) of Custodian Participant or non-EP GCP for contact is/are provided by Master SPSA Holder. Please ensure the correctness before input email address(es).
- The SPSAs to be mapped to the Master SPSA ID should be maintained by the same Master SPSA Holder.
- A SPSA can be mapped to one Master SPSA ID only.
- The proposed effective date specified in the request must be a CCASS day.
- Email and Dashboard notifications will be sent to maker or checker when there is change related to eService status.
- It may be preferable to use Google Chrome web browser to achieve optimal file upload speed. The upload process may take a few minutes for large (>200 entries) file uploads. Please do not close or refresh your browser during this period. Please note that Safari web browser does not support file upload.

## Section 4.2 (AC 7)

### Participation Management – Master SPSA ID to SPSA Mapping Maintenance Request

#### 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 (recommended for more than 5 entries)

It may be preferable to use Google Chrome web browser to achieve optimal file upload speed. The upload process may take a few minutes for large (>200 entries) file uploads. Please do not close or refresh your browser during this period.

Yes  
 No

Please select a Master SPSA ID Please select...

Master SPSA ID is missing.

No.	Master SPSA ID	Action	SPSA ID	SPSA No.	CCASS Participant ID
1	Master SPSA ID is missing.	Please select ▼	SPSA ID is missing.	SPSA No. is missing.	CCASS Participant ID is missing.

+ ADD ANOTHER ROW

The input will be auto-sorted by [Master SPSA ID] (ascending order) then [Action] (delete first), [CP ID] (ascending order)

No.	CCASS Participant ID	CCASS Participant Full Name	Email Address(es)
1	CCASS Participant ID is missing.	CCASS Participant Full Name is missing.	Email address is missing.

The details of this mapping maintenance request (including the Master SPSA ID to SPSA mapping and confirmed effective date) will be sent to the email address(es) provided by the requester. HKE X makes no representations as to the accuracy of the email address(es) provided and will not be liable for any consequences as a result of incorrect recipients and/or email delivery failure.

## FIELDS HIGHLIGHTS:

#	Field Name	Highlights
<b>COMPANY INFORMATION</b>		
1	From	- Display the Company name of the Master SPSA Holder
2	As	- Display the role of Master SPSA Holder
<b>MAINTENANCE REQUEST</b>		
3	Upload file (recommended for more than 5 entries)	- Field format: Radio Button
4	DOWNLOAD EXCEL TEMPLATE	- Populates when "Yes" is chosen in field number 3
5	UPLOAD	- Populates when "Yes" is chosen in field number 3 - Mandatory to upload at least one document - Allow upload up to 5 files - File size must be smaller than 20MB
6	Please select a Master SPSA ID	- Field format: Dropdown menu
7	Master SPSA ID	- Field format: Positive integer - Autopopulates when field number 6 is chosen
8	Action	- Field format: Dropdown menu
9	SPSA ID	- Field format: Positive Integer - Validation check
10	SPSA No.	- Autopopulates when field number 9 is entered correctly
11	CCASS Participant ID	
12	CCASS Participant Full Name	
13	Individual Remarks	- Field format: Alphanumeric - Optional field
14	+ ADD ANOTHER ROW	- Add a new row to provide entitlement details by clicking the button
15	CCASS Participant ID	- Autopopulates when field number 9 is entered correctly
16	CCASS Participant Full Name	
17	Email Addresses	- Field format: Alphanumeric - Validation check
18	Confirmation (Master SPSA Holder)	- Field format: Checkbox
19	Proposed Effective Date	- Field format: Calendar - Validation check
20	Remarks to HKEX	- Field format: Alphanumeric - Optional Field
<b>CONTACT INFORMATION</b>		
21	Name of Contact Person	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
22	Email Address	- Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
23	Telephone Number	- Field format: Numeric - Auto-filled based on maker's profile and content is editable.
24	+ CONTACT PERSON	- Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information.