

4.2 Participantship Management

AC 8 MASTER SPSA ID & DESIGNATED EXECUTING BROKER MAPPING MAINTENANCE REQUEST

WHEN TO USE:

- When a Master SPSA Holder wishes to designate or remove an EP (i.e. executing broker) to execute orders through the Master SPSA ID 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.
- This eService is available at any time.

ABOUT THIS eSERVICE:

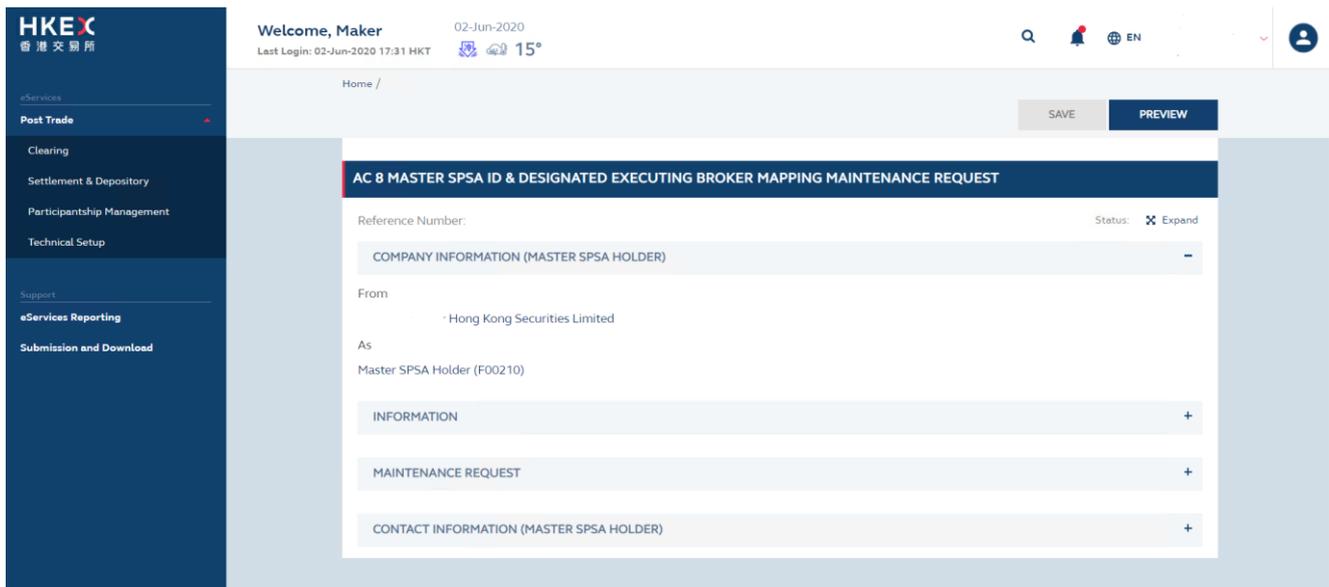
- This eService is available to business users granted with the access rights EU_MSPSA to act as Master SPSA Holder, and to business users granted with the access rights EU_SecuritiesTrading to act as executing broker.
- One Master SPSA ID can be mapped with up to twenty (20) EPs.
- The request will take effect from the effective date confirmed by HKEX.
- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.

Section 4.2 (AC 8)

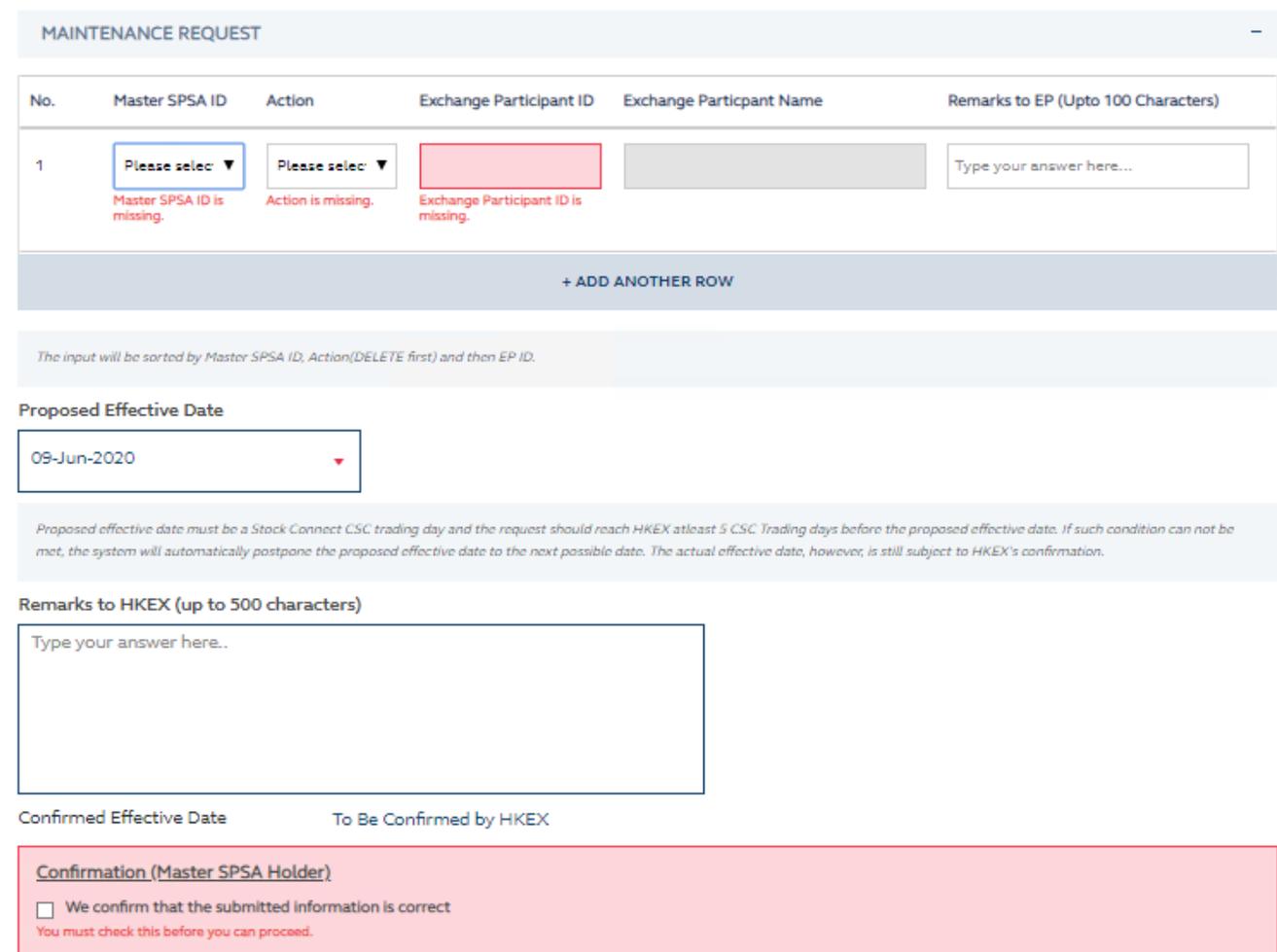
Participation Management – Master SPSA ID & Designated Executing Broker Mapping Maintenance Request

SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.



No.	Master SPSA ID	Action	Exchange Participant ID	Exchange Participant Name	Remarks to EP (Upto 100 Characters)
1	Please select <small>Master SPSA ID is missing.</small>	Please select <small>Action is missing.</small>	<small>Exchange Participant ID is missing.</small>		Type your answer here...

Proposed Effective Date
09-Jun-2020

Proposed effective date must be a Stock Connect CSC trading day and the request should reach HKEX atleast 5 CSC Trading days before the proposed effective date. If such condition can not be met, 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 (up to 500 characters)
Type your answer here..

Confirmed Effective Date To Be Confirmed by HKEX

Confirmation (Master SPSA Holder)
 We confirm that the submitted information is correct
You must check this before you can proceed.

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 Master SPSA Holder 	
2	As		
MAINTENANCE REQUEST			
3	Master SPSA ID	<ul style="list-style-type: none"> - 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 "Remarks to EP" and "Remarks to HKEX". - Maximum of 100 characters are allowed in "Remarks to 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 	
4	Action <ul style="list-style-type: none"> o Add o Delete 		
5	Exchange Participant ID		
6	Full name of Exchange Participant		
7	Remarks to EP		
8	+ ADD ANOTHER ROW		
9	Confirmation Checkbox (Master SPSA Holder)		
10	Proposed Effective Date		
11	Confirmation Checkbox (Exchange Participants)		
12	Confirmed Effective Date		
13	Remarks to HKEX		
CONTACT INFORMATION (MASTER SPSA HOLDER/ EXCHANGE PARTICIPANT)			
14	Name of Contact Person		<ul style="list-style-type: none"> - Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable.
15	Email Address	<ul style="list-style-type: none"> - Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable. 	
16	Telephone Number	<ul style="list-style-type: none"> - Field format: Numeric - Auto-filled based on maker's profile and content is editable. 	
17	+ 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. 	