

4.2 Participantship Management

DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM

WHEN TO USE:

- When a HKSCC/HKCC/SEOCH Participant or HKSCC Designated Bank wishes to apply or maintain their CCASS / CCMS Delegated Administrator (DA) through Client Connect.
- This eService is available 24 hours a day; except during regular system maintenance.

ABOUT THIS eSERVICE:

- This eService is available to Client Connect Delegated Administrators (CCDAs) or Business users with the access right EU_UserMaintenance.
- The eService is responsive to options selected by Participants such that different fields will appear when maker selects different maintenance request. **The maintenance request type of this eService will be released by phase, please refer to the respective remark for the availability of maintenance request.**
- Multiple maintenance requests (if applicable) can be submitted within 1 eService but only for 1 Participantship.
- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.
- After the end of workflow, participants can download the form in PDF format for reference.

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SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot displays the user interface for the 'DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM'. At the top, there is a navigation bar with 'Welcome, UM', the date '08-Mar-2023', and weather information '24°'. A search icon, a notification bell, and language/region settings ('EN', 'A') are also visible. Below the navigation bar, there are 'SAVE' and 'PREVIEW' buttons. The main content area is titled 'DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM' and contains a 'Reference Number:' field and a 'Status: Expand' dropdown. The form is divided into several sections, each with a '+' icon to expand it: 'COMPANY INFORMATION', 'MAINTENANCE REQUEST', 'INFORMATION', 'DETAILS OF REQUESTS', and 'CONTACT INFORMATION'. All sections are currently expanded, showing their respective content areas.

There is built-in validation on company information and the data input.

This screenshot shows the 'COMPANY INFORMATION' section of the form, which is currently collapsed. The section title is 'COMPANY INFORMATION' with a '-' icon. Below the title, there is a 'From' field with the value 'ABC Company'. Underneath, there is an 'As' field with four radio button options: 'HKSCC Participant (B01234)', 'HKSCC Designated Bank (BNK001)', 'HKCC Participant (CABC)', and 'SEOCH Participant (CABC)'. The form is designed to ensure that the company information and the selected participant type are valid.

The following function is available from 20 March 2023:

Change CCASS/ CCMS DA

MAINTENANCE REQUEST -

Maintenance Request

Change

INFORMATION -

The eService is to register/ update email address(es) for the user profile of the CCASS/ CCMS Delegated Administrators ("DAs"). Maximum 4 requests are allowed per submission.

To change CCASS/ CCMS DA's user profile, please input all the fields that are required.

In general, HKEX will process the duly completed form by batches. There will be system generated email notification upon the completion of change request.

DETAILS OF REQUESTS -

DETAILS OF CHANGE REQUEST

User ID

Type your answer here...

Email Address

No Change

+ REQUEST

Remarks

Type your answer here...

We declare that the information provided in this eService relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading.

We confirm that we understand and accept the above

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The following functions will be available at a later stage:

Add CCASS/ CCMS DA

MAINTENANCE REQUEST

Maintenance Request

Multiple selection is allowed

Add

Change

Unlock/ Enable/ Disable

Delete

INFORMATION

Each participant / designated bank must have at least two CCASS/ CCMS Delegated Administrators ("DA"), at all times, acting separately as a maker and a checker to perform the user profile maintenance functions to manage its user access to CCASS / CCMS Terminal Functions. To appoint / remove a DA, unlock DA account or change DA profile details, a participant / designated bank must submit this eService to HKEX for processing.

The eService is responsive to Maintenance Request(s) selected such that different fields will be displayed for input. Multiple maintenance requests is allowed within one eService. Maximum 4 requests are allowed per Maintenance Request selection.

To add new DA, please input all mandatory fields and provide corporate email address for security reason.

Each new DA will receive a system generated email notification upon completion of account creation. The new DA will be assigned a unique alphanumeric user ID which can be found from the completed eService.

The DA has to setup his/ her own password following the instructions from the CCASS / CCMS Terminal User Guide [Section 3.4 - Logon and Logoff CCASS/ CCMS](#).

To change DA's user profile, please only update field(s) that change is/are required; the default setting of the available fields will be "No Change".

To unlock DA's user profile, all fields are mandatory.

To delete DA(s), all fields are mandatory. Select "Remove CCASS/ CCMS DA Access" if the user will remain as business user to access CCASS/ CCMS.

DETAILS OF REQUESTS

DETAILS OF ADD REQUEST

User Surname <input type="text" value="Type your answer here..."/>	User Other Names <input type="text" value="Type your answer here..."/>
Email Address <input type="text" value="Type your answer here..."/>	<input type="checkbox"/> Add admin role to existing user ID <input type="text" value="Type your answer here..."/>
Role <input type="text" value="Please Select"/>	<input type="text" value="Please Select"/> Admin Maker Admin Checker

Remarks

We declare that the information provided in this eService relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading.
 We confirm that we understand and accept the above

Change CCASS/ CCMS DA

MAINTENANCE REQUEST -

Maintenance Request

Multiple selection is allowed

- Add
- Change
- Unlock / Enable / Disable
- Delete

INFORMATION -

Each participant / designated bank must have at least two CCASS/ CCMS Delegated Administrators ("DA"), at all times, acting separately as a maker and a checker to perform the user profile maintenance functions to manage its user access to CCASS / CCMS Terminal Functions. To appoint / remove a DA, unlock DA account or change DA profile details, a participant / designated bank must submit this eService to HKEX for processing.

The eService is responsive to Maintenance Request(s) selected such that different fields will be displayed for input. Multiple maintenance requests is allowed within one eService. Maximum 4 requests are allowed per Maintenance Request selection.

To add new DA, please input all mandatory fields and provide corporate email address for security reason.

Each new DA will receive a system generated email notification upon completion of account creation. The new DA will be assigned a unique alphanumeric user ID which can be found from the completed eService.

The DA has to setup his/ her own password following the instructions from the CCASS / CCMS Terminal User Guide [Section 3.4 - Logon and Logoff CCASS/ CCMS](#).

To change DA's user profile, please only update field(s) that change is/are required; the default setting of the available fields will be "No Change".

To unlock DA's user profile, all fields are mandatory.

To delete DA(s), all fields are mandatory. Select "Remove CCASS/ CCMS DA Access" if the user will remain as business user to access CCASS/ CCMS.

DETAILS OF REQUESTS -

DETAILS OF CHANGE REQUEST

Please only update field(s) that change is/are required

User ID

Type your answer here...

Email Address

No Change

Role

No Change

No Change

No Change

Admin Maker

Admin Checker

+ REQUEST

Remarks

Type your answer here...

We declare that the information provided in this eService relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading.

We confirm that we understand and accept the above

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Unlock / Enable / Disable DA

MAINTENANCE REQUEST -

Maintenance Request

Multiple selection is allowed

Add

Change

Unlock / Enable / Disable

Delete

INFORMATION -

Each participant / designated bank must have at least two CCASS/ CCMS Delegated Administrators ("DA"), at all times, acting separately as a maker and a checker to perform the user profile maintenance functions to manage its user access to CCASS / CCMS Terminal Functions. To appoint / remove a DA, unlock DA account or change DA profile details, a participant / designated bank must submit this eService to HKEX for processing.

The eService is responsive to Maintenance Request(s) selected such that different fields will be displayed for input. Multiple maintenance requests is allowed within one eService. Maximum 4 requests are allowed per Maintenance Request selection.

To add new DA, please input all mandatory fields and provide corporate email address for security reason.

Each new DA will receive a system generated email notification upon completion of account creation. The new DA will be assigned a unique alphanumeric user ID which can be found from the completed eService.

The DA has to setup his/ her own password following the instructions from the CCASS / CCMS Terminal User Guide [Section 3.4 - Logon and Logoff CCASS/ CCMS](#).

To change DA's user profile, please only update field(s) that change is/are required; the default setting of the available fields will be "No Change".

To unlock DA's user profile, all fields are mandatory.

To delete DA(s), all fields are mandatory. Select "Remove CCASS/ CCMS DA Access" if the user will remain as business user to access CCASS/ CCMS.

DETAILS OF REQUESTS -

DETAILS OF UNLOCK / ENABLE / DISABLE REQUEST

User ID

Type your answer here...

Email Address

Type your answer here...

Please Choose

Unlock DA Account

Unlock DA Account

Unlock DA Account

Enable DA Status

Disable DA Status

+ REQUEST

Remarks

Type your answer here...

We declare that the information provided in this eService relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading.

We confirm that we understand and accept the above

Delete CCASS/ CCMS DA

MAINTENANCE REQUEST -

Maintenance Request

Multiple selection is allowed

- Add
- Change
- Unlock / Enable / Disable
- Delete

INFORMATION -

Each participant / designated bank must have at least two CCASS/ CCMS Delegated Administrators ("DA"), at all times, acting separately as a maker and a checker to perform the user profile maintenance functions to manage its user access to CCASS / CCMS Terminal Functions. To appoint / remove a DA, unlock DA account or change DA profile details, a participant / designated bank must submit this eService to HKEX for processing.

The eService is responsive to Maintenance Request(s) selected such that different fields will be displayed for input. Multiple maintenance requests is allowed within one eService. Maximum 4 requests are allowed per Maintenance Request selection.

To add new DA, please input all mandatory fields and provide corporate email address for security reason.

Each new DA will receive a system generated email notification upon completion of account creation. The new DA will be assigned a unique alphanumeric user ID which can be found from the completed eService.

The DA has to setup his/ her own password following the instructions from the CCASS / CCMS Terminal User Guide [Section 3.4 - Logon and Logoff CCASS/ CCMS](#).

To change DA's user profile, please only update field(s) that change is/are required; the default setting of the available fields will be "No Change".

To unlock DA's user profile, all fields are mandatory.

To delete DA(s), all fields are mandatory. Select "Remove CCASS/ CCMS DA Access" if the user will remain as business user to access CCASS/ CCMS.

DETAILS OF REQUESTS -

DETAILS OF DELETE REQUEST

User ID

Email Address

Please Choose

Delete DA User Account ▼

➔

Delete DA User Account ▼
 Delete DA User Account
 Remove CCASS/ CCMS DA Access

+ REQUEST

Remarks

Type your answer here...

We declare that the information provided in this eService relating to us is complete, true and correct and that we have not made any statements or omissions which would render such information untrue or misleading.

- We confirm that we understand and accept the above

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Participant Management –

CCASS/ CCMS Delegated Administrator Application/ Maintenance Form

FIELDS HIGHLIGHTS (FOR THE FUNCTION AVAILABLE FROM 20 MARCH 2023)

#	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/ HKCC/ SEOCH Participant and HKSCC Designated Bank
2	As	
MAINTENANCE REQUEST		
3	Maintenance Request <ul style="list-style-type: none"> • Change 	<ul style="list-style-type: none"> - Default Maintenance Request: Change
DETAILS OF INFORMATION		
Maintenance Request: Change		
<ul style="list-style-type: none"> - All fields are mandatory - Maker can submit more than 1 request (max 4 requests) 		
DETAILS OF CHANGE REQUEST		
<i>Please only update field(s) that is/are required.</i>		
4	User ID	<ul style="list-style-type: none"> - Field format: Alphanumeric, no special character is allowed
5	Email Address	<ul style="list-style-type: none"> - Field format: Alphanumeric
6	+ REQUEST	<ul style="list-style-type: none"> - Click to add another request - Field 4 to 5 will be populated for input
7	Remarks	<ul style="list-style-type: none"> - Field format: Free text - Optional input
8	Declaration Box	<ul style="list-style-type: none"> - Mandatory Checkbox
CONTACT INFORMATION		
9	Name of Contact Person	<ul style="list-style-type: none"> - Auto-filled based on maker's profile and content is editable - Maker can optionally provide up to 5 contact information - If group email is defined, fill in group email instead of maker's email - Built-in validation: Only on the format of email address and telephone number but not on data correctness
10	Email Address	
11	Telephone Number	
12	+ CONTACT PERSON	

FIELDS HIGHLIGHTS (FOR THE FUNCTIONS TO BE AVAILABLE AT A LATER STAGE)

#	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/ HKCC/ SEOCH Participant and HKSCC Designated Bank
2	As	
MAINTENANCE REQUEST		
3	Maintenance Request <ul style="list-style-type: none"> • Add • Change • Unlock / Enable / Disable • Delete 	<ul style="list-style-type: none"> - Maker can tick Add (option 1), Change (option 2), Unlock / Enable / Disable (option 3), and/or Delete (option 4) requests
DETAILS OF INFORMATION		
Maintenance Request: Add		
<ul style="list-style-type: none"> - All fields are mandatory unless specified - Maker can submit more than 1 request (max 4 requests) 		
DETAILS OF ADD REQUEST		
4	User Surname	- Field format: Alphabetic
5	User Other Names	- Field format: Alphabetic
6	Email Address	- Field format: Alphanumeric
7	Add admin role to existing user ID	<ul style="list-style-type: none"> - Field format: Checkbox - Applicable to existing user only - Fill in User ID in the box available if “Add admin role to existing user ID” is checked
8	Role <ul style="list-style-type: none"> • Admin Maker • Admin Checker 	- Dropdown menu
9	+ REQUEST	<ul style="list-style-type: none"> - Click to add another request - Field 4 to 8 will be populated for input
Maintenance Request: Change		
<ul style="list-style-type: none"> - All fields are mandatory unless specified - Maker can submit more than 1 request (max 4 requests) 		
DETAILS OF CHANGE REQUEST		
<i>Please only update field(s) that is/are required.</i>		
10	User ID	- Field format: Alphanumeric, no special character is allowed
11	Email Address	<ul style="list-style-type: none"> - Field format: Alphanumeric - Default Email Address: No Change
12	Role <ul style="list-style-type: none"> • No Change • Admin Maker • Admin Checker 	<ul style="list-style-type: none"> - Dropdown Menu - Default Role: No Change
13	+ REQUEST	<ul style="list-style-type: none"> - Click to add another request - Field 10 to 12 will be populated for input
Maintenance Request: Unlock / Enable / Disable		
<ul style="list-style-type: none"> - All fields are mandatory - Maker can submit more than 1 request (max 4 requests) 		
DETAILS OF UNLOCK / ENABLE / DISABLE REQUEST		
14	User ID	- Field format: Alphanumeric, no special character is allowed
15	Email Address	- Field format: Alphanumeric
16	Please Choose <ul style="list-style-type: none"> • Unlock DA Account • Enable DA Status • Disable DA Status 	<ul style="list-style-type: none"> - Dropdown Menu - Default Option: Unlock DA Account

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#	Field Name	Highlights
17	+ REQUEST	<ul style="list-style-type: none"> - Click to add another request - Field 14 to 16 will be populated for input
Maintenance Request: Delete		
<ul style="list-style-type: none"> - All fields are mandatory - Maker can submit more than 1 request (max 4 requests) 		
DETAILS OF DELETE REQUEST		
18	User ID	<ul style="list-style-type: none"> - Field format: Alphanumeric, no special character is allowed
19	Email Address	<ul style="list-style-type: none"> - Field format: Alphanumeric
20	Please Choose <ul style="list-style-type: none"> • Delete DA User Account • Remove CCASS/ CCMS DA Access 	<ul style="list-style-type: none"> - Dropdown Menu - Default Option: Delete DA User Account - “Delete DA User Account” is for CCASS/ CCMS DA who intends to remove both of its DA and business user role; - “Remove CCASS/ CCMS DA Access” is for CCASS/ CCMS DA who intends to remove its DA role only and remain its business user role.
21	+ REQUEST	<ul style="list-style-type: none"> - Click to add another request - Field 18 to 20 will be populated for input
Maintenance Request: Add, Change, Unlock / Enable / Disable and/or Delete:		
22	Remarks	<ul style="list-style-type: none"> - Field format: free text - Optional input
23	Declaration Box	<ul style="list-style-type: none"> - Mandatory Checkbox
CONTACT INFORMATION		
24	Name of Contact Person	<ul style="list-style-type: none"> - Auto-filled based on maker’s profile and content is editable - Maker can optionally provide up to 5 contact information - If group email is defined, fill in group email instead of maker’s email - Built-in validation: Only on the format of email address and telephone number but not on data correctness
25	Email Address	
26	Telephone Number	
27	+ CONTACT PERSON	