

## 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 request for adding admin role to existing user will be accepted starting from 4 September 2023 (Monday) tentatively, any eService submitted with such request before the mentioned date will be rejected.**
- 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.

## Section 4.2 (DA 3)

### SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the top navigation bar with the user name 'Welcome, UM', the date '08-Mar-2023', and weather information '24°'. There are icons for search, notifications, language (EN), and a user profile. Below the navigation bar is a breadcrumb 'Home /' and two buttons: 'SAVE' and 'PREVIEW'. The main content area has a dark blue header with the title 'DA 3 CCASS/ CCMS DELEGATED ADMINISTRATOR APPLICATION/ MAINTENANCE FORM'. Below the header, there is a form with a 'Reference Number:' field and a 'Status: Expand' dropdown. The form contains five sections, each with a '+' icon on the right side, indicating they are collapsed: 'COMPANY INFORMATION', 'MAINTENANCE REQUEST', 'INFORMATION', 'DETAILS OF REQUESTS', and 'CONTACT INFORMATION'.

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

The screenshot shows the same form as above, but with the 'COMPANY INFORMATION' section expanded. The section title 'COMPANY INFORMATION' is now followed by a '-' icon. Below the section title, there is a 'From' field with the value 'ABC Company'. Below that, there is an 'As' field with four radio button options: 'HKSCC Participant (B01234)', 'HKSCC Designated Bank (BNK001)', 'HKCC Participant (CABC)', and 'SEOCH Participant (CABC)'.

## 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

<p><b>User Surname</b></p> <input style="width: 90%;" type="text" value="Type your answer here..."/>	<p><b>User Other Names</b></p> <input style="width: 90%;" type="text" value="Type your answer here..."/>
<p><b>Email Address</b></p> <input style="width: 90%;" type="text" value="Type your answer here..."/>	<p><input type="checkbox"/> Add admin role to existing user ID</p> <input style="width: 90%; background-color: #cccccc;" type="text" value="Type your answer here..."/>
<p><b>Role</b></p> <div style="display: flex; align-items: center;"> <div style="border: 1px solid #ccc; padding: 2px; margin-right: 5px;">Please Select ▾</div> <div style="font-size: 24px; margin: 0 5px;">➔</div> <div style="border: 1px solid #ccc; padding: 2px;">Please Select ▾</div> </div> <div style="border: 1px solid #ccc; padding: 2px; margin-top: 5px;">                 Admin Maker                  Admin Checker             </div>	

+ 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

## Section 4.2 (DA 3)

### 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

Email Address

Role

  

- No Change
- No Change
- Admin Maker
- Admin Checker

+ REQUEST

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

## 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

##### Email Address

##### Please Choose








##### 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

## Section 4.2 (DA 3)

### Participantship Management –

### CCASS/ CCMS Delegated Administrator Application/ Maintenance Form

#### 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

+ REQUEST

Please Choose

Delete DA User Account

Delete DA User Account

Delete DA User Account

Remove CCASS/ CCMS DA Access

###### 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

## 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> <li>- Applicable to HKSCC/ HKCC/ SEOCH Participant and HKSCC Designated Bank</li> </ul>
2	As	
<b>MAINTENANCE REQUEST</b>		
3	Maintenance Request <ul style="list-style-type: none"> <li>• Add</li> <li>• Change</li> <li>• Unlock / Enable / Disable</li> <li>• Delete</li> </ul>	<ul style="list-style-type: none"> <li>- Maker can tick Add (option 1), Change (option 2), Unlock / Enable / Disable (option 3), and/or Delete (option 4) requests</li> </ul>
<b>DETAILS OF INFORMATION</b>		
<b>Maintenance Request: Add</b>		
<ul style="list-style-type: none"> <li>- All fields are mandatory unless specified</li> <li>- Maker can submit more than 1 request (max 4 requests)</li> </ul>		
<b>DETAILS OF ADD REQUEST</b>		
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 <i>(function available starting from 4 September 2023 tentatively)</i>	<ul style="list-style-type: none"> <li>- Field format: Checkbox</li> <li>- Applicable to existing user only</li> <li>- Fill in User ID in the box available if “Add admin role to existing user ID” is checked</li> </ul>
8	Role <ul style="list-style-type: none"> <li>• Admin Maker</li> <li>• Admin Checker</li> </ul>	- Dropdown menu
9	+ REQUEST	<ul style="list-style-type: none"> <li>- Click to add another request</li> <li>- Field 4 to 8 will be populated for input</li> </ul>
<b>Maintenance Request: Change</b>		
<ul style="list-style-type: none"> <li>- All fields are mandatory unless specified</li> <li>- Maker can submit more than 1 request (max 4 requests)</li> </ul>		
<b>DETAILS OF CHANGE REQUEST</b>		
<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"> <li>- Field format: Alphanumeric</li> <li>- Default Email Address: No Change</li> </ul>
12	Role <ul style="list-style-type: none"> <li>• No Change</li> <li>• Admin Maker</li> <li>• Admin Checker</li> </ul>	<ul style="list-style-type: none"> <li>- Dropdown Menu</li> <li>- Default Role: No Change</li> </ul>
13	+ REQUEST	<ul style="list-style-type: none"> <li>- Click to add another request</li> <li>- Field 10 to 12 will be populated for input</li> </ul>
<b>Maintenance Request: Unlock / Enable / Disable</b>		
<ul style="list-style-type: none"> <li>- All fields are mandatory</li> <li>- Maker can submit more than 1 request (max 4 requests)</li> </ul>		
<b>DETAILS OF UNLOCK / ENABLE / DISABLE REQUEST</b>		
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"> <li>• Unlock DA Account</li> <li>• Enable DA Status</li> <li>• Disable DA Status</li> </ul>	<ul style="list-style-type: none"> <li>- Dropdown Menu</li> <li>- Default Option: Unlock DA Account</li> </ul>
17	+ REQUEST	- Click to add another request

**Section 4.2 (DA 3)**

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