

## 4.2 Participant Management

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### PAM 2 REGISTRATION AS A CLEARING PARTICIPANT REGISTERED TO USE THE CLEARING LINK FOR THE CLEARING AND SETTLEMENT OF TRANSACTIONS INVOLVING CHINA CONNECT SECURITIES

#### WHEN TO USE:

- When a Clearing Participant of the Hong Kong Securities Clearing Company Limited (“HKSCC”) wish to apply for the registration to use the Clearing Link for the clearing and settlement of transactions involving China Connect Securities.
- This eService is available at any time.

#### ABOUT THIS eSERVICE:

- This eService is available to business users granted with the access rights EU\_Participant under the identity of HKSCC Participant.
- The eService is equivalent to “Registration for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect” (From 20), and “Confirmation of Readiness for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect”, should the HKSCC Participant wish to apply for the registration to use the Clearing Link for the clearing and settlement of transactions involving China Connect Securities.
- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.
- PDF report which contains the information of the related eService will be available to HKSCC Participant after the workflow is ended.

## Section 4.2 (PAM 2)

Participation Management – Registration as a Clearing Participant registered to use the Clearing Link for the clearing and settlement of transactions involving China Connect Securities

### SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.

### CONFIRMATION AND AUTHORIZATION BY PARTICIPANT

致: 香港結算  
To: HKSCC

本公司, 盈透證券香港有限公司  
We, Interactive Brokers Hong Kong Limited

- 確認本公司明白為要符合資格登記及保持登記使用中華結算通, 本公司必須:  
confirm our understanding that to be eligible for registration and to remain registered for the use of the Clearing Link, we will be required to:
  - 提供已載於解釋說明文件有關本公司系統及運營準備的確認予香港結算; 及  
provide confirmations regarding our system and operational readiness as explained in the Explanatory Notes; and
  - 遵守香港結算有關規則及程序、及所有適用與持有中華通證券不時生效的法律; 及  
comply with the relevant rules and procedures of HKSCC and all applicable laws in relation to the holding of China Connect Securities, as in force from time to time; and
- 確認本公司明白本公司只會在香港結算批准此登記後才被允許使用中華結算通; 及  
confirm our understanding that we will only be permitted to use the Clearing Link upon our application for registration having been approved by HKSCC; and
- 確認本公司明白此登記申請的批准需視乎本公司系統及運作是否已準備就緒, 包括香港結算不時訂明的登記準則; 及  
confirm our understanding that approval of our application for registration is subject to our system and operational readiness and our meeting the registration criteria as prescribed by HKSCC from time to time; and
- 同意並授權香港結算及香港交易所透過香港交易所網站或其他途徑向公眾披露本公司登記使用「滬港通」及「深港通」的申請。  
agree and authorise HKSCC and HKEX to publish our name on the HKEX website or via other channels to inform the public of our application for registration to use Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect.

提交申請後, 即代表本公司同意按此表格所述的私隱政策聲明處理個人資料。  
By submitting the application, we consent to the processing of personal data in accordance with the Privacy Policy Statement ([click here to view](#)).

You must check this before you can proceed.

**FIELDS HIGHLIGHTS:**

#	Field Name	Highlights
<b>COMPANY INFORMATION</b>		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant
<b>REGISTRATION CATEGORY</b>		
3	<ul style="list-style-type: none"> <li>○ a Direct Clearing Participant registered to use the Clearing Link as referred to in Rule 4101 of the CCASS Rules ("Clearing Link") for the clearing and settlement of transactions involving China Connect Securities</li> <li>○ a General Clearing Participant registered to use the Clearing Link as referred to in Rule 4101 of the CCASS Rules ("Clearing Link") for the clearing and settlement of transactions involving China Connect Securities</li> </ul>	- Field format: Radio button
<b>CONFIRMATION AND AUTHORIZATION BY PARTICIPANT</b>		
4	Declaration Box	- Mandatory Checkbox
<b>CONFIRMATION OF CLEARING READINESS</b>		
5	Confirmation Checkbox 1	- Mandatory Checkbox
6	Confirmation Checkbox 2	
7	Confirmation Checkbox 3	
8	Confirmation Checkbox 4	
9	Confirmation Checkbox 5	
10	Upload Supporting	<ul style="list-style-type: none"> <li>- Mandatory to upload at least one document</li> <li>- Allow upload up to 5 files</li> <li>- File size must be smaller than 20MB</li> </ul>
<b>Declaration and Undertaking by Participant</b>		
11	Declaration Box	- Mandatory Checkbox
<b>CONFIRMATION TO PARTICIPANT (This section is shown when eService is 'Approved')</b>		
12	Confirmed Effective Date	- To be provided by HKEX upon approval
<b>CONTACT INFORMATION</b>		
13	Name of Contact Person	<ul style="list-style-type: none"> <li>- Field format: Alphanumeric</li> <li>- Auto-filled based on maker's profile and content is editable.</li> </ul>
14	Email Address	<ul style="list-style-type: none"> <li>- Field format: Alphanumeric</li> <li>- Auto-filled based on maker's profile and content is editable.</li> </ul>
15	Telephone Number	<ul style="list-style-type: none"> <li>- Field format: Numeric</li> <li>- Auto-filled based on maker's profile and content is editable.</li> </ul>
16	+ CONTACT PERSON	<ul style="list-style-type: none"> <li>- Provide additional contact information by clicking the button</li> <li>- Participant can optionally provide up to 5 contact information.</li> </ul>