

4.2 Participantship Management

RR 1 REQUEST FOR RETRIEVING CCASS/CCMS/DCASS REPORTS AND DATA FILES

WHEN TO USE:

- When HKSCC Participant, HKSCC Designated Bank, HKCC Participant and SEOCH Participant fail to download reports or data files from CCASS/CCMS and DCASS systems, they can send the request to HKEX via Client Connect.
- This eService is available at any time.

ABOUT THIS eSERVICE:

- This eService is available to business users granted with the access rights EU_CompanyAdministration.
- This eService form is equivalent to “Report Reprint Request Form” (CCASS-Form 54) and “Request for Retrieving DCASS/CCMS Reports and Data Files Form” (DCASS-Form 5).
- Upon completion of the eService form, Participant will be notified of the availability of reports/data files and the relevant charges. For participants requesting softcopy of reports or data files, they can download the relevant reports or data files via the eService form. For participants requesting hardcopy of the reports or data files, they have to collect the reports or data files in HKEX office upon presentation of the duly signed Letter of Authorization.
- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.
- PDF report will be available to Participant after the workflow is ended.

Section 4.2 (RR 1)

Participation Management – Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files

SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.

DETAILS OF REQUEST

REPORT REQUEST

Report ID and Name

Type your answer here...

Report ID and Name is missing.

Report Date

No.	From	To
1	dd-mmm-yyyy From is missing.	dd-mmm-yyyy To is missing.

+ Report Date

Remark

Type your answer here...

+ REPORT REQUEST

Report Delivery Format

Softcopy (Download from the eService ticket)

Hardcopy (Collect the reports at Clearing House Office)

You must check this before you can proceed.

Please note that printing charge @HK\$5.00 per page (subject to a maximum of \$1,000 per report) will be charged and debited through your House CCMS Collateral Account.

CONTACT INFORMATION

Upon completion of the eService form, Participant will be notified of the information of report and charges.

For participant requests for hardcopy:-

REPORT CHARGES AND INFORMATION	
Number of Pages	10
Charge Amount (HKD)	100.00
Date of Posting Charges	21-Oct-2019
Pick up Date	22-Oct-2019

We are pleased to inform you that the document is available for your collection at our office upon presentation of this eService copy with the duly signed Letter of Authorization on or after 22-Oct-2019. The Letter of Authorization must be signed by the authorized signatories with company chop (ONLY applicable if it forms part of your signing instruction) as those appeared on the Specimen Signatures List for our verification purpose. Please note that the sum of HKD100.00 (Total: 10 Pages) being the printing charge @HK\$10.00 per page will be charged to you on 21-Oct-2019.

Address: Clearing Participant Administration & Services
Clearing Operations
30/F, One Exchange Square, 8 Connaught Place,
Central, Hong Kong

[Letter of Authorization.pdf](#)

For participant requests for softcopy:-

REPORT CHARGES AND INFORMATION	
Number of Pages	10
Charge Amount (HKD)	75.00
Date of Posting Charges	18-Oct-2019

RR1_00004989_1A.zip ZIP

 1A

RR1_00004989_2B.zip ZIP

 2B

RR1_00004989_3C.zip ZIP

 3C

RR1_00004989_4D.zip ZIP

 4D

RR1_00004989_5E.zip ZIP

 5E

Please note that the report(s) is available for download. The sum of HKD75.00 (Total: 10 Pages) being the printing charge @HK\$10.00 per page will be charged to your designated bank A/C on 18-Oct-2019.

Please note that the report(s) is available for download. The sum of HKD75.00 (Total: 10 Pages) being the printing charge @ HK\$5.00 per page (subject to a maximum of \$1,000 per report) will be charged to your House collateral account on 18-Oct-2019.

Section 4.2 (RR 1)

Participant Management – Request for Retrieving DCASS/CCMS/CCASS Reports and Data Files

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant
DETAILS OF THE REQUEST		
3	Report ID and Name	- Field format: Alphanumeric
4	Market <ul style="list-style-type: none"> o Hong Kong Market o Shenzhen Market o Shanghai Market 	<ul style="list-style-type: none"> - For HKSCC participant and HKSCC Designated Bank only - Field format: Checkbox
5	From	- Field format: Calendar marker
6	To	- Field format: Calendar marker
7	+ Report Date	- Inserting additional report dates by clicking the button
8	Remark	- Optional; Field format: Alphanumeric
9	+ REPORT REQUEST	- Inserting additional report requests by clicking the button
10	Report Delivery Format <ul style="list-style-type: none"> o Softcopy (Download from the eService ticket) o Hardcopy (Collect the reports at Clearing House Office) 	- Field format: Radio button
11	Number of Copies	<ul style="list-style-type: none"> - Field format: Positive Integer - Only available when “Hardcopy” is selected in field 10
12	Report Charges and Information <ul style="list-style-type: none"> (i) Number of Pages (ii) Charge Amount (HKD) (iii) Date of Posting Charges (iv) Pick up Date 	<ul style="list-style-type: none"> - Information available when the eService form is completed. - “Pick up Date” is available only if Participant selects hardcopy reports.
CONTACT INFORMATION		
12	Name of Contact Person	<ul style="list-style-type: none"> - Field format: Alphanumeric - Auto-filled based on maker’s profile and content is editable.
13	Email Address	<ul style="list-style-type: none"> - Field format: Alphanumeric - Auto-filled based on maker’s profile and content is editable.
14	Telephone Number	<ul style="list-style-type: none"> - Field format: Numeric - Auto-filled based on maker’s profile and content is editable.
15	+ 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.