

4.2 Participantship Management

SCARD 1 SMARTCARD MAINTENANCE FOR USER AND DA

WHEN TO USE:

- When a HKSCC/HKCC/SEOCH Participant, HKSCC Designated Bank or HKSCC Clearing Agency Participant wishes to submit smartcard maintenance request for its users and/or DA through Client Connect.
- The eService is available at any time.

ABOUT THIS eSERVICE:

- This eService is available to Client Connect Delegated Administrators (CCDAs) granted with the access rights EU_UserMaintenance.
- This eService is equivalent to “SMARTCARD REQUEST FORM FOR CCASS/CCMS USER”(G-Form 2), “REPORT LOSS OF SMARTCARD” (G-Form 3) and “USER PROFILE FOR DELEGATED ADMINISTRATOR (DA)” (G-Form 4).
- The eService is responsive to options selected by Participants such that different fields will appear when maker selects different choices.
- Multiple maintenance requests can be submitted within 1 eService but only for 1 Participantship.
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

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SAMPLE UX:

Users can expand all sections to view all the fields.

The screenshot shows the HKEX eServices interface. The top navigation bar includes the HKEX logo, user information 'Welcome, am', the date '14-Feb-2019', and a temperature indicator '15°'. The sidebar on the left lists various eServices categories: Post-Trade, Clearing, Settlement & Depository, Participanship Management, Technical Setup, Support, Manage Access Rights, and eServices Reporting. The main content area displays the 'SCARD1 SMARTCARD MAINTENANCE FOR USER AND DA' form. The form has a 'Reference Number:' field and an 'Expand' button. Below this, there are five expandable sections: 'COMPANY INFORMATION', 'SERVICE CHOICE', 'SMARTCARD MAINTENANCE', 'AUTHORIZATION DETAILS', and 'CONTACT INFORMATION', each with a '+' icon. At the top right of the form area, there are 'SAVE' and 'PREVIEW' buttons.

There is built-in validation on the data input.

The screenshot shows the 'SCARD1 SMARTCARD MAINTENANCE FOR USER AND DA' form with the 'COMPANY INFORMATION' section expanded. The form includes a 'Reference Number:' field and a 'Collapse' button. The 'COMPANY INFORMATION' section is expanded, showing a 'From' field with the value 'xyz' and an 'As' field with four radio button options: 'HKSCC CAP (XYZ00001)', 'HKSCC Designated Bank (BNKXYZ)', 'HKCC Participant (CXYZ)', and 'SEOCH Participant (CXYZ)'. The 'SERVICE CHOICE' section is also expanded, showing three radio button options: 'CCASS/CCMS User Maintenance', 'Delegated Administrator (DA) Maintenance', and 'Both of CCASS/CCMS User Maintenance and Delegated Administrator (DA) Maintenance'. A red error message is displayed below the 'SERVICE CHOICE' section: 'You must check this before you can proceed if checkbox or radio button is unchecked.' The 'SMARTCARD MAINTENANCE' section is expanded, showing a table with the following data:

Field	Value
No. of New Smartcard	0
No. of Reuse Smartcard	0
Total HKD	0

The 'AUTHORIZATION DETAILS' section is expanded, showing a text input field for 'Name of Authorized Collector(s) (N/A if not applicable)' with a red error message: 'Name of Authorized Collector(s) is missing'.

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 HKSCC/HKCC/SEOCH Participant, HKSCC Designated Bank and HKSCC Clearing Agency Participant. 	
2	As		
SERVICE CHOICE			
3	CCASS/CCMS User Maintenance	<ul style="list-style-type: none"> - Maker can submit user maintenance (option 1), DA maintenance (option 2) or both (option 3). 	
4	Delegated Administrator (DA) Maintenance		
5	Both of CCASS/CCMS User Maintenance and Delegated Administrator (DA) Maintenance		
CCASS/CCMS USER MAINTENANCE			
6	Request Type <ul style="list-style-type: none"> o A. Add new user o RS. Replace damaged Smartcard o LR. Report lost and replace Smartcard o LD. Report lost and delete user ID 	<ul style="list-style-type: none"> - Only available when option 1 or 3 is selected in SERVICE CHOICE section. - All fields are mandatory. - User ID must be entered except when adding new user - Maker can submit more than 1 request. 	
7	User Surname		
8	User Other Name(s)		
9	Smartcard Maintenance <ul style="list-style-type: none"> o Order New o Reuse o N/A 		
10	Proposed Effective Date		
11	User ID		
12	+ REQUEST		
DELEGATED ADMINISTRATOR (DA) MAINTENANCE			
13	Request Type <ul style="list-style-type: none"> o A. Add new DA o C. Change (Administration Right / Maker or Checker Type) o D. Delete DA o R. Reset Password o EN. Enable DA Status o DN. Disable DA Status o RS. Replace damaged Smartcard o LR. Report lost and replace smartcard o LD. Report lost and delete user ID 		<ul style="list-style-type: none"> - Only available when option 2 or 3 is selected in SERVICE CHOICE section. - All fields are mandatory. - Administration Rights and Maker/Checker must be selected when adding/changing DA. - User ID must be entered except when adding new DA. - Maker can submit more than 1 request.
14	User Surname		
15	User Other Name(s)		
16	Proposed Effective Date		

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#	Field Name	Highlights
17	Administratrion Rights <ul style="list-style-type: none"> ○ for User Profile only ○ for Reset Smartcard Password only ○ for User Profile & Reset Smartcard Password 	
18	Maker/Checker <ul style="list-style-type: none"> ○ Maker (M) ○ Checker (C) 	
19	Smartcard Maintenance <ul style="list-style-type: none"> ○ Order New ○ Reuse ○ N/A 	
20	User ID	
21	+ REQUEST	
SMARTCARD MAINTENANCE		
22	No. of New Smartcard	<ul style="list-style-type: none"> - Auto calculated by eService and non-editable. - Payment method is responsive to Participanship selected under COMPANY INFORMATION.
23	No. of Reuse Smartcard	
24	Total HKD	
25	Payment method	
AUTHORIZATION DETAILS		
26	Name of Authorized Collector(s) (N/A if not applicable)	<ul style="list-style-type: none"> - Mandatory field. - Input "N/A" if no smartcard is to be collected.
CONTACT INFORMATION		
27	Name of Contact Person	<ul style="list-style-type: none"> - Auto-filled based on maker's profile and editable. - 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. - Maker can provide up to 5 contact information.
28	Email Address	
29	Telephone Number	
30	+ CONTACT PERSON	