

4.3 Technical setup

TECHS 2 DCASS OAPI CERTIFICATION TEST APPLICATION/CONFIRMATION REQUEST TO HKCC/SEOCH

WHEN TO USE:

- When Participant or Authorised Software Vendor applies to conduct DCASS OAPI certification test
- This eService is available at any time.

ABOUT THIS eSERVICE:

- This eService is available to business users granted with the access rights EU_TechnicalSetup or EU_SystemVendor.
- 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 claim request information will be available to Participant after the workflow on the claim request is ended.

Section 4.3 (TechS 2)

Technical setup – DCASS OAPI Certification Test Application/Confirmation Request to HKCC/SEOCH

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, UB@ .com- 26-Nov-2019), and a search icon. The sidebar on the left lists various services under 'eServices', including 'Post Trade', 'Clearing', 'Settlement & Depository', 'Participantship Management', 'Technical Setup', 'Support', 'eServices Reporting', and 'Submission and Download'. The main content area is titled 'TECHS 2 DCASS OAPI CERTIFICATION TEST APPLICATION / CONFIRMATION REQUEST TO HKCC / SEOCH'. It features a list of expandable sections, each with a plus sign and an 'Expand' icon. The sections are: 'COMPANY INFORMATION', 'DETAILS OF DCASS OAPI PROGRAM', 'MANDATORY FUNCTIONS', 'OPTIONAL FUNCTIONS', 'ONLY APPLICABLE FOR GENERAL CLEARING PARTICIPANT'S DCASS OAPI PROGRAMS WITH ENHANCED DROP COPY FUNCTION', 'REMINDER FOR DEVELOPING PROPRIETARY DCASS OAPI', 'SUGGESTED SCRIPT FOR CERTIFICATION TEST', 'DECLARATION', and 'CONTACT INFORMATION'. At the top right of the main content area, there are 'SAVE' and 'PREVIEW' buttons.

There is built-in validation on the data input.

The screenshot shows the 'DETAILS OF DCASS OAPI PROGRAM' form. It contains three text input fields, each with a red error message below it: 'Name of DCASS OAPI Program is missing.', 'Software Provider is missing.', and 'Version of DCASS OAPI Program is missing.'. Below these is a radio button group for 'Operating System which DCASS OAPI Program will run on' with options: Windows 32 bit, Windows 64 bit, Red Hat 6-32 bit, Red Hat 6-64 bit, Red Hat 7-32 bit, Red Hat 7-64 bit, and Others. A red error message below the radio buttons reads: 'You must check this before you can proceed.'

FIELDS HIGHLIGHTS:

| # | Field Name | Highlights |
|--|--|---|
| COMPANY INFORMATION | | |
| 1 | From | - Display the Company name of the Participant or Authorised Software Vendor |
| 2 | As | - Display the role of the Participant or Authorised Software Vendor |
| DETAILS OF DCASS OAPI PROGRAM | | |
| 3 | Name of DCASS OAPI Program | - Field format: Alphanumeric |
| 4 | Software Provider | - Field format: Alphanumeric |
| 5 | Version of DCASS OAPI Program | - Field format: Alphanumeric |
| 6 | Operating System which DCASS OAPI Program will run on <ul style="list-style-type: none"> o Windows 32 bit o Windows 64 bit o Red Hat 6 32 bit o Red Hat 6 64 bit o Red Hat 7 32 bit o Red Hat 7 64 bit o Others (please specify) | - Field format: Radio button |
| 7 | Preferred Date for Certification Test | - Field format: Date |
| 8 | Confirmed Date of Certification Test | - Input disabled. To be confirmed by HKEX |
| MANDATORY FUNCTIONS | | |
| 9 | Declaration checkbox | - Field Format: Checkbox |
| OPTIONAL FUNCTIONS | | |
| 10 | Optional Functions List | - Field Format: Checkbox |
| ONLY APPLICABLE FOR GENERAL CLEARING PARTICIPANT'S DCASS OAPI PROGRAMS WITH ENHANCED DROP COPY FUNCTION | | |
| 11 | Other Function List | - Field Format: Checkbox |
| REMINDER FOR DEVELOPING PROPRIETARY DCASS OAPI | | |
| 12 | Reminder for Developing Proprietary DCASS OAPI | - Link to PDF |
| SUGGESTED SCRIPT FOR CERTIFICATION TEST | | |
| 13 | DCASS OAPI Certification Test - Suggested Transaction Script | - Link to PDF |
| DECLARATION | | |
| 14 | Declaration checkbox | - Field Format: Checkbox |
| CONTACT INFORMATION | | |
| 15 | Name of Contact Person | - Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable. |
| 16 | Email Address | - Field format: Alphanumeric - Auto-filled based on maker's profile and content is editable. |
| 17 | Telephone Number | - Field format: Numeric - Auto-filled based on maker's profile and content is editable. |
| 18 | + CONTACT PERSON | - Provide additional contract information by clicking the button - Participant can optionally provide up to 5 contact information. |