

## 4.5 Submission and Download

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### WHEN TO USE:

- For Participants to submit or download specific files / information to and from HKEX.
- The following scenario is supported:
  - When a HKSCC Participant, under the request of another Participant, wishes to upload supplementary document for the application of Buy-in exemption through 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\_SecuritiesSettlement for “Supporting document for exemption of buy-in”
- Supporting document for exemption of buy-in:
  - Files uploaded must have file names Supporting Document\_Ref\_xnnnnn with file types \*.pdf, \*.xls or \*.xlsx, where Ref is the eService reference number (e.g. Set1\_00001685) and xnnnnn (e.g. B00001) is the CCASS Participant ID. If maker is uploading more than one file, a sequence number should be inserted at the end as suffix, e.g. “Supporting Document\_Set1\_00001685\_B00001\_01.xls. Maker can upload at most 5 files with file size less than or equal to 20Mb each.
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

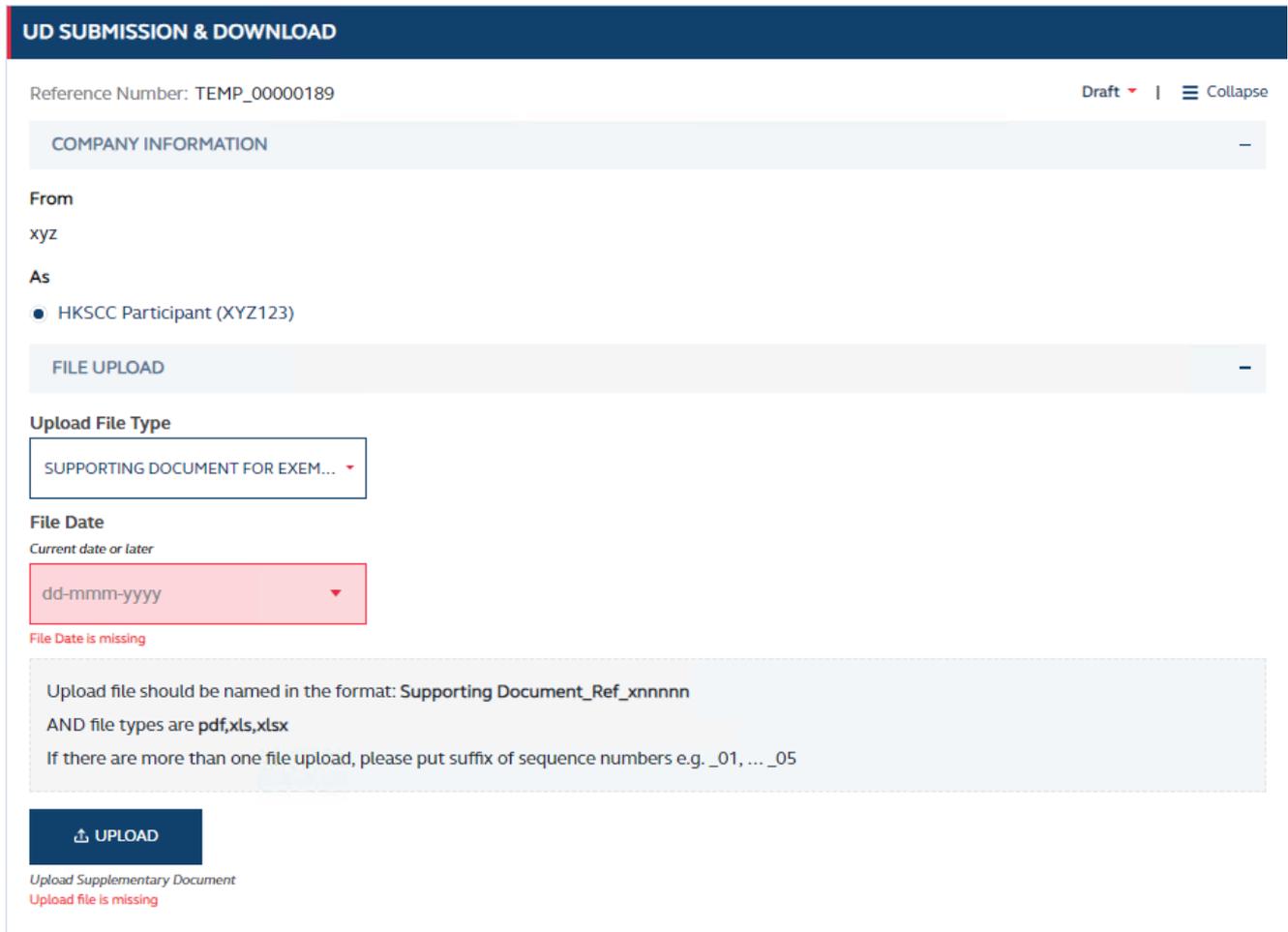
## Section 4.5 (UD) Submission and Download

### SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.



**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>- Only applicable to HKSCC Participant.</li> </ul>
2	As	
<b>FILE UPLOAD</b>		
3	Upload File Type	<ul style="list-style-type: none"> <li>- Only for the purpose of Buy-in exemption application.</li> <li>- At most 5 files with file size 20Mb each can be uploaded in one submission.</li> </ul>
4	File Date	
5	UPLOAD	
<b>RECIPIENT INFORMATION</b>		
6	Message to Recipient	<ul style="list-style-type: none"> <li>- Optional field.</li> </ul>
<b>CONTACT INFORMATION</b>		
7	Name of Contact Person	<ul style="list-style-type: none"> <li>- Auto-filled based on maker's profile and editable.</li> <li>- If group email is defined, fill in group email instead of maker's email.</li> <li>- Built-in validation: Only on the format of email address and telephone number but not on data correctness.</li> <li>- Maker can provide up to 5 contact information.</li> </ul>
8	Email Address	
9	Telephone Number	
10	+ CONTACT PERSON	