

Guidance Notes on Setting Up CCASS / CCMS User Profile (for New Participant)

設立中央結算系統 (CCASS) / 共同抵押品管理系統 (CCMS) 認可使用者資料填報指引 (新參與者適用)

1. The applicant must complete “User Profile for Delegated Administrator for New Participant” G-Form 13 to appoint its own Delegated Administrators (DA) (at least one maker and two checkers) to maintain user profiles for its authorised users. Please indicate the number of CCASS / CCMS user accounts requested, i.e. DAs + authorised users.
申請人必須填寫“新參與者管理人士的使用組別資料”G-Form13 以委派其管理人士 (最少一名輸入及二名核對者) 處理其認可使用者的使用權限。請填寫所需 CCASS / CCMS 帳戶數目 (即管理人士及認可使用者合計數目)。
If you need further assistance, please call CCASS hotline 2979-7111 or DCASS hotline 2979-7222.
如需進一步協助，請致電 CCASS 查詢熱線 2979-7111 或 DCASS 查詢熱線 2979-7222。
2. For better internal control, HKEX recommends the applicant to appoint staff not involved in CCASS / CCMS operations as DAs.
為求達到最佳的內部管制，香港交易所建議申請人委派非參與 CCASS / CCMS 運作的人員為管理人士。
3. In the event of the applicant’s successful application as a New Participant, HKEX will notify the applicant in writing before commencement of its approved use of the CCASS / CCMS services. HKEX will charge the applicant a fee according to the number of CCASS / CCMS user accounts requested.
如申請人被接納為新參與者，在其開始使用 CCASS / CCMS 前，香港交易所將會以書面通知。香港交易所會按申請人填寫的所需 CCASS / CCMS 使用者帳戶數目向申請人收取相關費用。
4. On the commencement date to use CCASS / CCMS services, maker and checker DAs should create and grant appropriate access authority to the authorised users regarding user access level (user group) and transaction limit (if applicable) etc. Details please refer to CCASS Terminal User Guide Section 3.1 Access Control for HKSCC Participant; OR CCMS Terminal User Guide Section 3.1 Access Control for HKCC / SEOCH Participant.
Please note that addition of user access levels to authorised users will be effective the following one to two hours after execution.
在開始使用 CCASS / CCMS 當日，輸入及核對管理人士須設立及授權予認可使用者適當的使用者組別及交易限額 (如適用) 等。詳情可參閱香港結算參與者適用的 CCASS 終端機使用者指引 3.1 節系統功能控制 (只有英文版) 或 期貨結算所 / 聯交所期權結算所參與者適用的 CCMS 終端機使用者指引 3.1 節系統功能控制 (只有英文版)。
請注意增設認可使用者的使用者組別將在執行後的一至二小時才生效。

In assigning the user access level to authorised users, the applicant should evaluate its risk control requirements to meet its own operational needs. The applicant should consider whether to assign one of its users the full and highest authority, i.e. a combination of all access levels such that its daily CCASS operations can still function in full when one of its users is absent from office, taking into account of its internal control effectiveness.
在分配使用者組別時，申請人應分析和評估其風險管制需求，以使其日常運作發揮高度效益。同時申請人應就其內部控制需求，考慮是否需要有一名使用者獲全面及最高授權，即可使用全部系統功能，以便如有任何一使用者不在時，全部功能皆可如常運作。
5. For subsequent addition / change / deletion of the DAs, participant must submit e-Service Form – DA3 CCASS / CCMS Delegated Administrator (DA) Application / Maintenance Form to HKEX at least three working days prior to the stipulated effective date. In case additional user account is required, please submit e-Service Form – DA4 CCASS / CCMS User Account Application Form. For details, please refer to Client Connect User Manual.
其後添加/更改/刪除管理人士，參與者須於指定生效日期前最少三個工作日提交 e-Service 表格 – DA3 CCASS / CCMS 管理人士申請 / 維護表格予香港交易所辦理。如需增加使用者帳戶數目，請提交 e-Service 表格 – DA4 CCASS / CCMS 使用者帳戶申請表格。詳情可參閱 Client Connect 使用者指引。