Section 3
CCASS Terminals/CCASS Phone System/CCASS Internet System/
Participant Gateways/RMS

3.3   DELEGATED ADMINISTRATORS

3.3.1   Establishing and Cancelling Delegated Administrators of CCASS Terminals
Each Participant must appoint its own administrators ("Delegated Administrators") to establish or cancel, via CCASS Terminal, the access of its Authorised Users to CCASS.

To appoint and cancel the appointment of a Delegated Administrator, a Participant must apply in the prescribed manner to HKSCC.

Upon approval of an application of a Participant to appoint a Delegated Administrator, HKSCC will provide to the Participant concerned a unique User ID. The Participant must ensure that its Delegated Administrator creates his user password in accordance with the CCASS Terminal User Guide immediately upon receipt of the User ID.

3.4   AUTHORISED USERS

3.4.1   Establishing and cancelling Authorised Users of CCASS Terminals
Each Participant must ensure that only persons approved as its Authorised Users are allowed access to CCASS via CCASS Terminals.

Each Participant will need to establish or cancel its Authorised Users through its Delegated Administrators via CCASS Terminals in accordance with the CCASS Terminal User Guide. Upon a User ID being created by a Delegated Administrator for an Authorised User, the Authorised User must immediately create his user password in accordance with the CCASS Terminal User Guide.

3.5   ACCESS CONTROL OF CCASS TERMINALS AND PARTICIPANT GATEWAYS

3.5.1   Logging on to CCASS
Each User ID provided by HKSCC is unique to the Authorised User or Delegated Administrator to whom it is issued. The identity of an Authorised User or a Delegated Administrator logging on to CCASS will be determined by HKSCC by reference to the User ID used.

In order to log on to CCASS via a CCASS Terminal, an Authorised User or a Delegated Administrator must use his User ID and either user password or insert his smartcard into the smartcard reader of the CCASS Terminal and

enter his Smartcard Password into the CCASS Terminal.

Each smartcard provided by HKSCC is unique to the Authorised User or Delegated Administrator to whom it is issued. The identity of an Authorised User or a Delegated Administrator logging on to CCASS will be determined by HKSCC by reference to the smartcard used.

In the event that an Authorised User is unsuccessful in logging on to CCASS via a CCASS Terminal, the Participant concerned will need to re-establish that person as an Authorised User through its Delegated Administrator via a CCASS Terminal.

In the event that a Delegated Administrator of a Participant is unsuccessful in logging on to CCASS via a CCASS Terminal, the Participant concerned will need to re-establish that person as a Delegated Administrator by applying in the prescribed manner to HKSCC.

In order to log on to CCASS via a Participant Gateway, an Authorised User of a Participant must:

(i)   insert the Participant Gateway smartcard of that Participant into the smartcard reader of the Participant Gateway; and

(ii)   enter the Participant Gateway Smartcard Password of that Participant into the Participant Gateway.

Each Participant Gateway smartcard provided by HKSCC is unique to the Participant to whom it is issued. The identity of a Participant logging on to CCASS via a Participant Gateway will be determined by HKSCC by reference to the Participant Gateway smartcard used.

Participants may apply to HKSCC for smartcard readers for their Participant Gateways in the manner as specified in the CCASS Terminal User Guide.

In the event that a Participant is unsuccessful in logging on to CCASS via a Participant Gateway after three attempts, the Participant concerned will need to re-establish its access to the Participant Gateway through its Delegated Administrator via a CCASS Terminal.

Participants may also apply to HKSCC for a Participant Gateway Smartcard Password reset by completing the prescribed request form and submitting the same to HKSCC.

3.5.5   **Participants responsible for security**

It is the responsibility of each Participant to control and ensure the security of the access to its CCASS Terminals, Participant Gateways and to its smartcards to ensure the security and confidentiality of the User IDs, user passwords and Smartcard Passwords of its Authorised Users and Delegated Administrators and its Participant Gateway Smartcard Password, to ensure that its Authorised Users abide by the Access Levels and Input Transaction Limits assigned to each of them, to ensure the security and confidentiality of the Authorisation Code of its Delegated Administrators, and to ensure that its Delegated Administrators abide by the Administrator Rights assigned to them.

A Participant shall immediately notify HKSCC to disable the user profile associated with a smartcard by submitting the prescribed form to HKSCC if it becomes aware that the smartcard is lost or has been stolen.

Participants shall be liable for all instructions input into CCASS via their CCASS Terminals or Participant Gateways. Participants requiring a new Participant Gateway smartcard or a replacement Participant Gateway smartcard must complete the prescribed Smartcard Request Form and submit the same to HKSCC. Participants are required to pay the relevant fees relating to Participant Gateways and CCASS Terminals.

Section 21

Costs and Expenses

In this Section 21, references to "HKD" or "HK$" mean Hong Kong Dollar; references to "CNY" mean Chinese Yuan (Renminbi) and references to "USD" mean US Dollar.

21.9   **(i)** Repealed

       (ii) Repealed

       (iii) FEES FOR CCASS TERMINALS

          — Establishment of each Authorised User or Delegated Administrator.   HK$250

          Note:
          Fee debited upon establishment of a new Authorised User or Delegated Administrator.

       (iv) FEES FOR PARTICIPANT GATEWAYS

          — Supply or replacement of each smartcard.   HK$250.

Note:
Fee debited upon delivery of smartcard.

— Supply or replacement of each smartcard reader.

HK$300.

Note:
Fee debited upon delivery of smartcard reader.

— Testing fees of Participant Gateway.

Notes:
Fee payable by those Participants which request for additional testing in addition to the free sessions offered by HKSCC.

Fee debited upon completion of testing.

HK$1,500 per day or part thereof for testing on Mondays to Fridays within HKSCC's normal working hours.

HK$2,500 per half day or part thereof for testing on Saturdays from 9:30 a.m. to 12:30 p.m.

HK$5,000 per day or part thereof for testing on Saturdays from 9:30 a.m. to 4:00 p.m. provided that if testing does not extend beyond 12:30 p.m., the fee payable shall be HK$2,500.

— Usage fee for each Participant Gateway.

HK$53,000 per annum.