

Frequently Asked Questions on Electronic Communication Platform 2.0 (ECP 2.0)

(Version Date: 28 January 2023)

A. Accessing ECP 2.0

1. What browsers are supported for accessing ECP 2.0?

The following browsers on PC are supported for accessing ECP 2.0. Mobile devices such as iPhone and iPad are not supported.

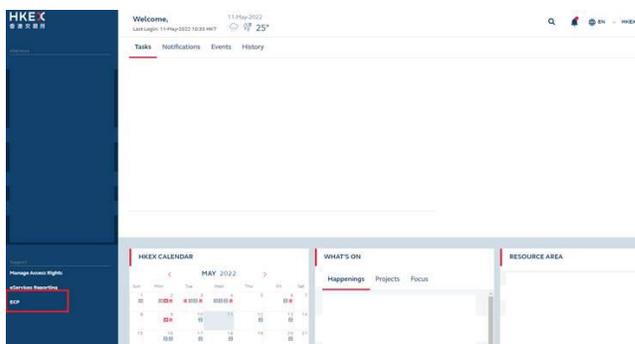
#	Browsers	Version
1	Chrome	88 +
2	Edge	88 +

2. What should I do if I encounter the following error?

Please go to <https://ecp2.hkex.com.hk>, then click “HKEX Access Management Portal” button to login through HKEX Access Management Portal. This error happens if you bookmark HKEX Access Management Portal login page and log into ECP 2.0 directly. System has a timeout to expire the session for redirecting from HKEX Access Management Portal login page to ECP 2.0 automatically. Therefore, skipping the landing page of ECP 2.0 will trigger the following error.



Or you can simply login to [HKEX Access Management Portal](#) and click “ECP” on the left menu in HKEX Access Management Portal.



B. ECP 2.0 Account Setup and Maintenance in HKEX Access Management Portal

3. How can I set up the access to ECP 2.0 via HKEX Access Management Portal?

If your company is an existing Client Connect user and your Delegated Administrators (DAs) have been granted ECP admin rights, your DAs (must be at least two as a maker and a checker) can create/update your account in HKEX Access Management Portal with ECP 2.0 functions. Please refer to the following documents for access setup.

User Management	Documents
Steps for creating/updating business user accounts	Guidelines for Setting up the Access to ECP 2.0 via Client Connect
Mapping of ECP user types, functions and folders	Appendix of 7.4 of ECP 2.0 User Guide
More details of user management in HKEX Access Management Portal	Access Management User Guide

4. What are the differences between DAs and business users of ECP 2.0 in terms of the access rights?

ECP DAs are the admin users of HKEX Access Management Portal with ECP admin rights for creating/updating business users of ECP 2.0. ECP DAs with admin rights only **CANNOT** access and operate in ECP 2.0. Error 2000 Message will be prompted if users without ECP functions try to access ECP 2.0. Only the business users with correct ECP functions can access ECP 2.0 to download and submit files.



5. Why can't I access ECP 2.0 after DAs have granted me the ECP functions?

Please ensure your DAs have granted you the correct ECP functions. For example, EU_ECPSFTP is granted for using SFTP service. If only EU_ECPSFTP is granted, users are unable to access ECP 2.0 via Web Interface. For the mapping of ECP user types, functions and folders, please refer to the Appendix of 7.4 of [ECP 2.0 User Guide](#).

6. Why can't I view the relevant folders after logging into ECP 2.0?

Please check with your DAs whether the required functions have been granted to you. For the mapping of user types, functions and folders, please refer to the Appendix of 7.4 of [ECP 2.0 User Guide](#).

7. If my company is not an existing Client Connect user, how can I apply for the accounts of ECP 2.0?

If your company is not an existing Client Connect user, please complete and submit the [ECP User Type and Delegated Administrator Rights Application / Maintenance Form](#) to the corresponding support teams of HKEX for appointing your DAs. After your DAs' accounts have been created, your DAs can further create your account in HKEX Access Management Portal with ECP 2.0 functions. Please refer to the following documents for access setup.

User Management	Documents
Steps for creating/updating business user accounts	Guidelines for Setting up the Access to ECP 2.0 via Client Connect
Mapping of ECP user types, functions and folders	Appendix of 7.4 of ECP 2.0 User Guide
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8. How can I appoint new DAs for ECP 2.0 via HKEX Access Management Portal?

Please complete and submit the [ECP User Type and Delegated Administrator Rights Application / Maintenance Form](#) to the corresponding support teams of HKEX.

9. How can I apply for two or more user types in ECP 2.0?

Please complete and submit the [ECP User Type and Delegated Administrator Rights Application / Maintenance Form](#) to the corresponding support teams of HKEX.

10. If my company has 4 Client Connect DAs already, can I appoint additional DAs for ECP 2.0?

Yes, you can appoint additional DAs for ECP 2.0. Each company is allowed to have a maximum of 20 users including DAs and business users. The additional DAs will occupy the quota of business users.

11. If my company has subscribed to both Client Connect and ECP 2.0 services, do I need to submit the application forms of Client Connect and ECP 2.0 separately for the change of DAs?

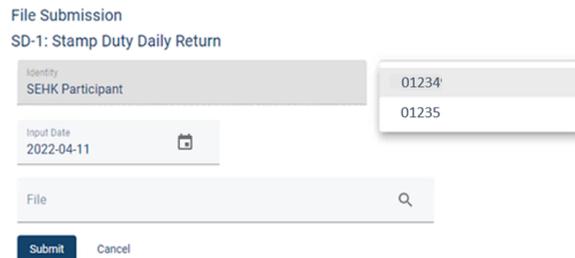
Yes, please complete and submit both of the [Client Connect Delegated Administrator Rights Application / Maintenance Form](#) and [ECP User Type and Delegated Administrator Rights Application / Maintenance Form](#) to the corresponding teams of HKEX for handling.

12. My company is a General Clearing Participant (GCP) and needs to submit files via ECP 2.0 for my Non-Clearing Participant (NCP) clients. However, my email address is already registered under my company in Client Connect, how can I create new ECP accounts for my NCP clients?

You are recommended to provide a different email address (either a group email or other teammates' emails) to your NCP client. The DAs of your NCP client can create a new account by using the email address and grant the required functions to it.

13. If my account is set up for managing different subsidiaries, how can I submit files for different subsidiaries in ECP 2.0?

Please select the correct identity code of the company in the Submission Page when you submit files.



File Submission
SD-1: Stamp Duty Daily Return

Identity
SEHK Participant

Input Date
2022-04-11

File

Submit Cancel

14. Why is my ECP account locked?

An ECP account will be locked after 5 consecutive unsuccessful attempts of login within 30 minutes.

15. How can I unlock my ECP account?

Please refer to Section 3 of [Access Management User Guide](#) for the details.

16. How can I reset password of my ECP account?

Please refer to Appendix 3 of [Access Management User Guide](#) for the details.

17. What should I do if I cannot receive the reset password email from HKEX Access Management Portal?

Please refer to below ways to tackle the problems.

- i. Please check with your IT security if the reset email is intercepted by junk or phishing email filtering of your company. If so, please seek help from your IT department to release the email. The sender of the reset email is "noreply_connect@hkex.com.hk" and the email subject is "HKEX: Forgotten password email".
- ii. Please check if you have input the correct phone number when you reset the password. If you are a DA, the phone number must be same as the one you filled in the application form without symbols and spaces. If you are a business user, please check with your DA the contact number inputted in HKEX Access Management Portal.
- iii. Please refer to Appendix 3 of [Access Management User Guide](#) for more details.

21. What does the Input Date in the Submission Page mean?

Input Date in the Submission Page of SD1 means Trade Date. Please select the correct input date when you submit the files. For the definitions of Input Date in other submission folders, please refer to the corresponding appendices of the [ECP 2.0 User Guide](#).

22. Why do I get the Error 4505 message when I upload file to ECP 2.0?

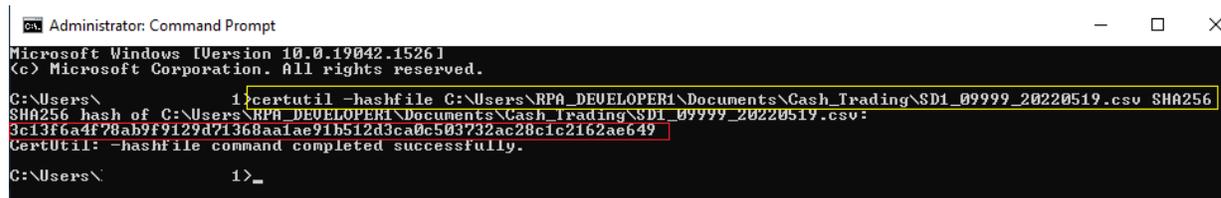
The most common reason is that the input date is not set correctly when you upload the file. For example, if you submit a SD1 file of trade date 2022-05-12 with file name as "SD_09999_20220512.csv", you should select the Input date as 2022-05-12 in the Submission Page.

23. What should I do if I have submitted the wrong file?

Please re-submit a file with the same name and our system will overwrite the previous one.

24. Why is it not allowed to download the submitted files from Activity Enquiry in ECP 2.0?

ECP 2.0 has been enhanced with a tightened security control. Disallowing users to download the submitted files is designed to prevent the leakage of sensitive data in case the user account is hacked. To facilitate users' verification on the submitted files, a checksum value which represents the file content is provided in the Activity Enquiry instead. User can generate checksum for the submitted file on their own PC and compare it against the one shown in the Activity Enquiry. It is a more accurate way to verify the submission as a single character difference in the underlying file produces a different checksum. The encoded way of checksum used in ECP 2.0 is SHA-256. Users are able to search the generation method of checksum on Internet or seek help from their IT departments. Below is a sample for generating a SHA-256 checksum on Windows® 10 for reference.



```
Administrator: Command Prompt
Microsoft Windows [Version 10.0.19042.1526]
(c) Microsoft Corporation. All rights reserved.

C:\Users\1>certutil -hashfile C:\Users\RPA_DEVELOPER1\Documents\Cash_Trading\SD1_09999_20220519.csv SHA256
SHA256 hash of C:\Users\RPA_DEVELOPER1\Documents\Cash_Trading\SD1_09999_20220519.csv:
3c13f6a4f78ab9f9129d71368aa1ae91b512d3ca0c503732ac28c1c2162ae649
CertUtil: -hashfile command completed successfully.

C:\Users\1>_
```