

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

(Version Date: 2 June 2022)

A. Accessing ECP 2.0

1. Can I use the credentials of the existing ECP to access ECP 2.0?

No, the credentials of the existing ECP cannot be used to access [ECP 2.0](#). Users must access ECP 2.0 with the login ID, password and One-Time-Password of Client Connect.

2. 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.

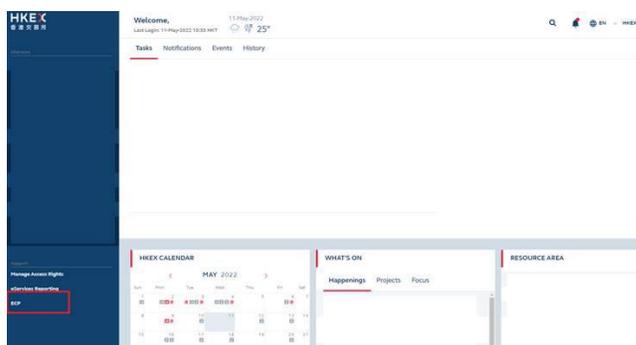
#	Browsers	Version
1	Chrome	88 +
2	Edge	88 +

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

Please go to <https://ecp2.hkex.com.hk>, then click “HKEX Client Connect” button to login through Client Connect. This error happens if you bookmark the Client Connect Login page and login to ECP 2.0 directly. System has a timeout to expire the session for redirecting from Client Connect 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 [Client Connect](#) and click “ECP” on the left menu in Client Connect.



B. ECP 2.0 Account Setup and Maintenance in Client Connect

4. How can I set up the access to ECP 2.0 via Client Connect?

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 Client Connect 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 Client Connect	Client Connect User Manual

5. 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 Client Connect 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.



6. 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](#).

7. 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](#).

8. 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 Client Connect 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 Client Connect	Client Connect User Manual

9. How can I appoint new DAs for ECP 2.0 via Client Connect?

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

10. 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.

11. 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.

12. 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.

13. 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.

14. 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

01234
01235

Input Date
2022-04-11

File

Submit Cancel

15. Why is my Client Connect account locked?

A Client Connect account will be locked after 5 consecutive unsuccessful attempts of login within 30 minutes.

16. How can I unlock my Client Connect account?

Please refer to Section 3.1 of [Client Connect User Manual](#) for the details.

17. How can I reset password of my Client Connect account?

Please refer to Section 3.3 of [Client Connect User Manual](#) for the details.

18. What should I do if I cannot receive the reset password email from Client Connect?

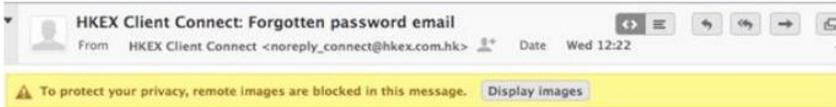
Please refer to below ways to tackle the problems.

- 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 Client Connect: 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 Client Connect.
- iii. Please refer to Section 3.3 of [Client Connect User Manual](#) for more details.

19. Why the link in the reset password email is not working?

There are two possible reasons as below.

- i. The reset password link may be not fully carried to your web browser and the incomplete link may direct you to an invalid page. Therefore, please try copy and paste the whole link of reset password to your browser.



HKEX Client Connect

Dear user,

We have received your request to reset your password. Please click 'Reset password' or copy and paste the link below to your browser to complete the process. The link will be effective for 2 hours.

If this reset password is not initiated by you, please delete this email and be alert!

Reset password

```
https://connect-am.hkex.com.hk:443/openam/XUI/?
realm=/eu#passwordReset&token=eyJ0eXAiOiJKV1QiLCJhbGciOiJIUzI1Ni
J9.ZXIKMGVYQWIPaUpLVjFRaUxDSmxbU1pT2IKQk1USTRRMEpETFoVqVtJJaXdpWV
d4bkqb2VbE5CTVY4MUuMC5yZT1yMmFGaUJKZGdxd0JPa2Etc0duM045czNyWmJYU0pNS
GMzTrnPaGg3YwJhclVpa1VGRUQYYWczMkw4NGJWN3J6Fppd2INyBjWemNRSh2RUJ4
VVlibVnrbE1PTHc0aEdEaWMyTBUrHIGMWhpSnpwTDJhVUNuZ1ZFTXRISDExdkphTXpKv
kFE0E4UmlnOGpja2VTZVNGMGY3eGpJZXdWazRPb0I3T1hFQXdXdmM5WmIKWwQxcVZ
paE9zY3F6RnhoUVVYIzJpd1dqTVRqQUIEuJ5DY25STmRjNFJld0trb0w5dVixMDdlWHB5OH
ZkZm5QcG1xUmNOYXVDUDDQ4eWNMYmd0NHhoNXVmdTZRWnRfdWJt0cyUURoUXibTY
wOGk3SmF3b0YeU9ndF0OetoUTIHOFVKQzktNzhOMkVOZFoyYzhyaUJtdmN6dk91SGZnS1
EuR3ZmM0w1Zmp2ZE9VN0VY2o5NmRyZy5YY3hBSjRXP0dhYmJVNhlyMHR2Tm5BM21Ma
Vldld0Z2NjRsW9hY0Y1NU5xRHISUWpjeDRMbf9uanc3dDNjaklRzU1UjV/RazifnNzTEJYVD
BHWfMCHJRUXtNjXUJNQNmFivZiaNziPN19HRVBSM0hURnZXWEGHcE1LSU52dVE5R
DRUjUFY1XNF5Vgpb2NbnRQI4WE_iQkN1W9YUdIUJGFZfdmVzdMWFVlNTNoMEczU
DMz2ZJGcERqN3NvWmR5QkJaLXFzaFVzeWdRU2M3b1hwSVFyUkg5QWFaaGtHdTRXbXo1
bkNKXAwb0VzZmVnQ2tUVnNsX0Jyc2Z2TUpXVEXGSC1xR2IH2JwSVRlX09ZaVJ1V0ZqQ
kZMRzhPbmFFZDlVWVmbiVMNEZGdEE2NlV8U3WtmZZMUI5a2xhd2Fyd21nSkZuRWp0M
zFYX2FVXIOREQ4ZDFSTAxYVdrUVQ5HVzblidMUXpBS2ZzT0ZuemVrdUc2ZmNobHguSke
xaTdkVp4VUcWd0x0DmpXNkI0Zw.6KnX5-
TbydCujCuhYqJEerQ_oDR1eEH113drDgh6ns&code=59274188-7422-4ce8-960d-
31def811d3d0
```

For enquiries, please contact us via [link](#).

Please do not reply this e-mail as this is system generated.

View the [Terms and Conditions of HKEX Client Connect](#)

Disclaimer

The information contained in this email is intended only for the use of the individual or entity

- ii. You may have clicked the “Reset/Forgot password” several times. There may be a time lag to receive the reset password email such that the email you just receive is not the last password request. Please wait for a few minutes to re-try the “Reset/Forgot password”.

20. Does the maker-checker workflow apply to all functions in ECP 2.0?

No, the maker-checker workflow does not apply for file download and submission in ECP 2.0.

C. ECP 2.0 Functions

21. What are the new functions provided by ECP 2.0?

ECP 2.0 provides a new web user interface with all existing ECP functions. In addition, Secure File Transfer Protocol (SFTP) service via Securities and Derivatives Network (SDNet) of submission and download functions are also provided. ECP users can leverage the SFTP service to automate their submission and download processes.

22. How can I set up SFTP service in ECP 2.0?

The details of account set up, SFTP key and IP address registration are set out in the [ECP 2.0 User Guide](#). Users can follow the use guide sections as below to set up the SFTP service.

#	Items	User Guide Section
1	Account identity setup	Section 5.3
2	SFTP Key Registration	Section 4.5.1
3	IP Address Registration	Section 4.5.3
4	SFTP Connection to ECP	Section 5.5
5	Folder Structure	Section 5.7

23. 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](#).

24. 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.

25. 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.

26. 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\> certutil -hashfile C:\Users\RP4_DEVELOPER1\Documents\Cash_Trading\SD1_09999_20220519.csv SHA256
SHA256 hash of C:\Users\RP4_DEVELOPER1\Documents\Cash_Trading\SD1_09999_20220519.csv:
3c13f6a4f78ab9f9129d71368aa1ae91b512d3ca0c503722ac28c1c2162ae649
CertUtil: -hashfile command completed successfully.

C:\Users\>

```

D. ECP 2.0 Migration of Submission Functions

27. Can I still submit the relevant files via the existing ECP after the folders are migrated to ECP 2.0?

Once the folders are migrated to ECP 2.0, the same folders in the existing ECP will be disabled and hidden. Users can only submit the relevant files via ECP 2.0. If the folders are not migrated, users can still submit via the existing ECP.

28. When will the remaining submission folders be migrated to ECP 2.0?

The first batch of submission folders was migrated to ECP 2.0 on 6 June 2022. The migration schedule of the remaining submission folders will be announced in due course.

29. How do I know which submission folders have been migrated to ECP 2.0?

Please refer to the Appendix 7.3 of [ECP 2.0 User Guide](#).

E. Decommission of the Existing ECP

30. When will the existing ECP be decommissioned?

The existing ECP will be decommissioned by end of 2022 after all submission folders have been successfully migrated to ECP 2.0.