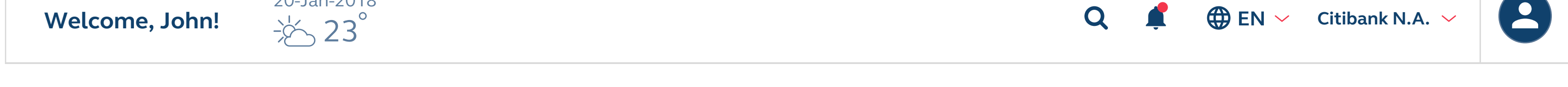


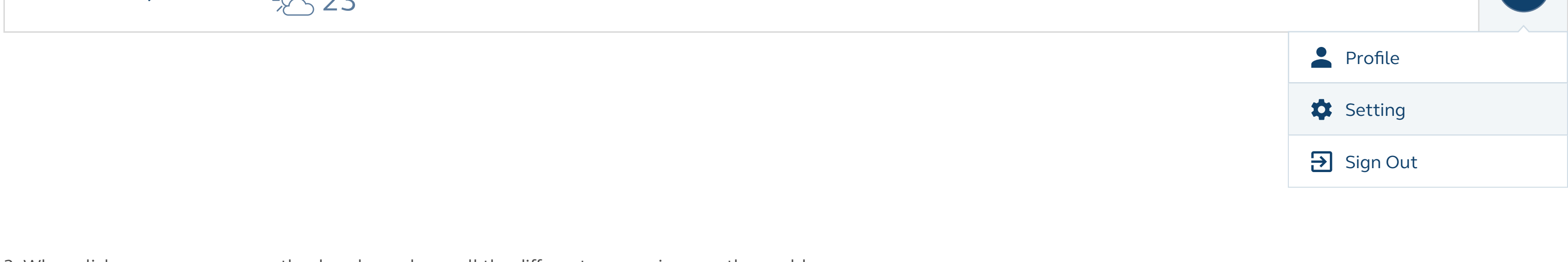
NAVIGATION

Desktop User Banner

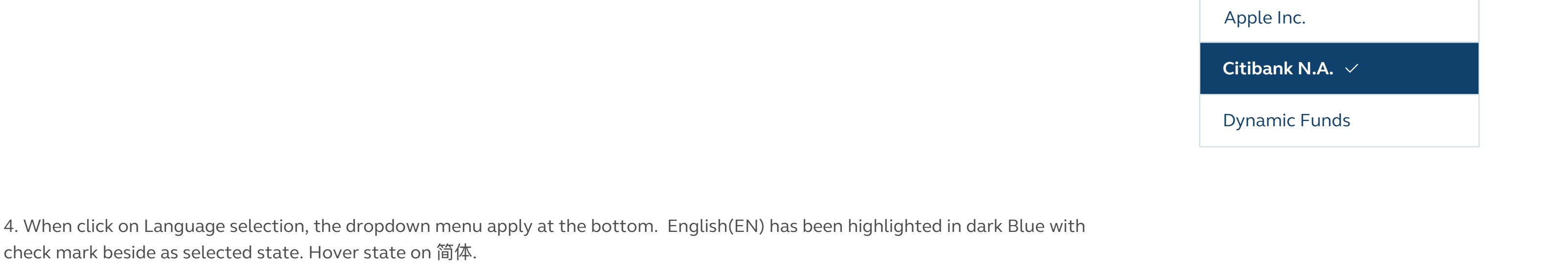
1. Default state: Greeting message, dates and weather, Search, Notify, Language, Companies and User Profile.



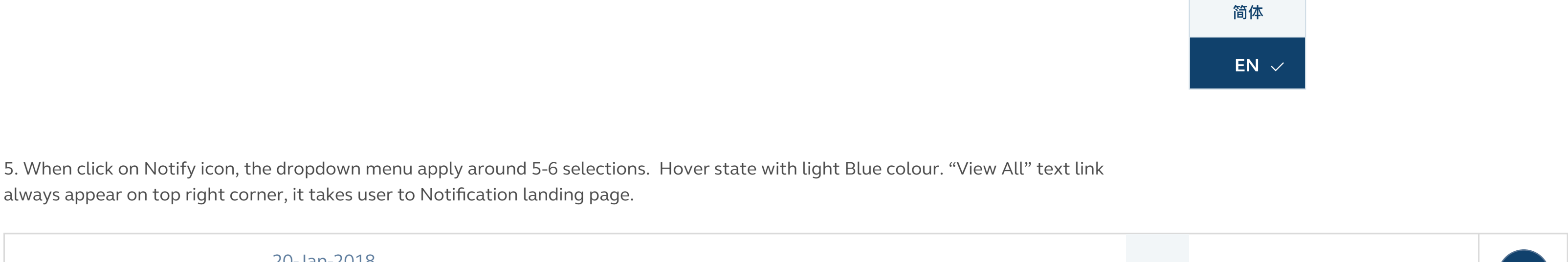
2. When click on user profile, the dropdown menu apply at the bottom. Hover state on Settings.



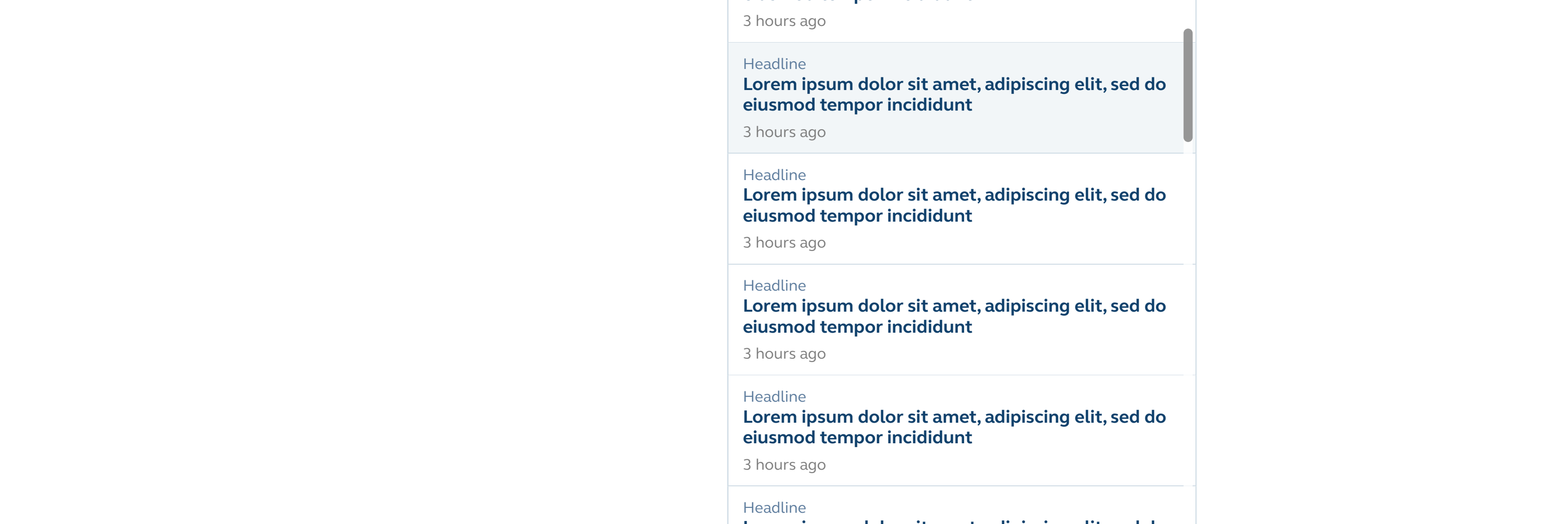
3. When click on company name, the dropdown shows all the different companies over the world.



4. When click on Language selection, the dropdown menu apply at the bottom. English(EN) has been highlighted in dark Blue with check mark beside as selected state. Hover state on 繁體.



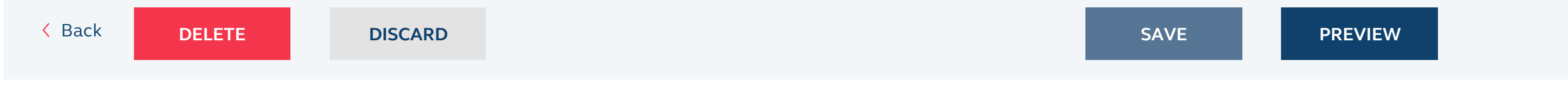
5. When click on Notify icon, the dropdown menu apply around 5-6 selections. Hover state with light Blue colour: "View All" text link always appear on top right corner, it takes user to Notification landing page.



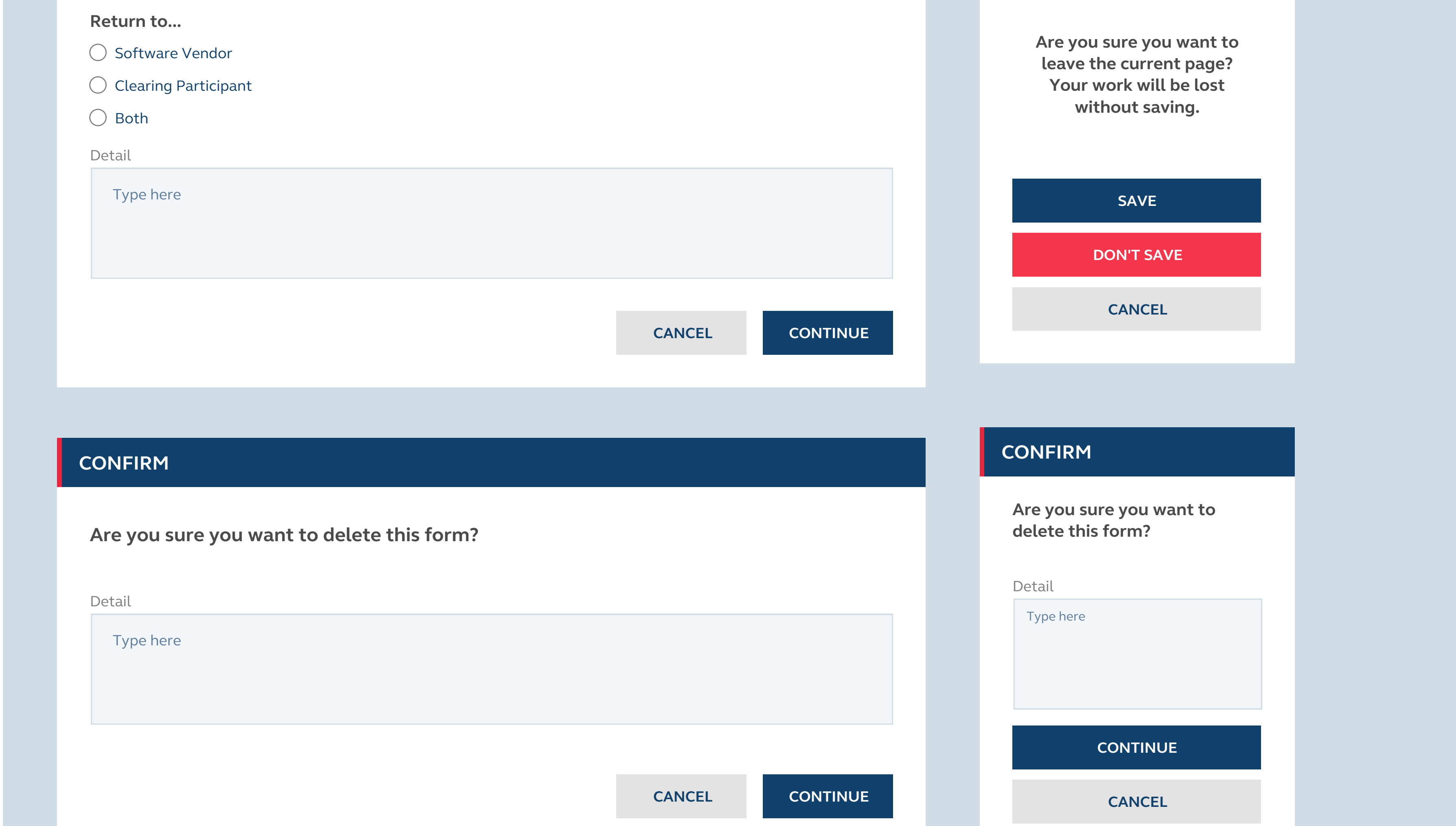
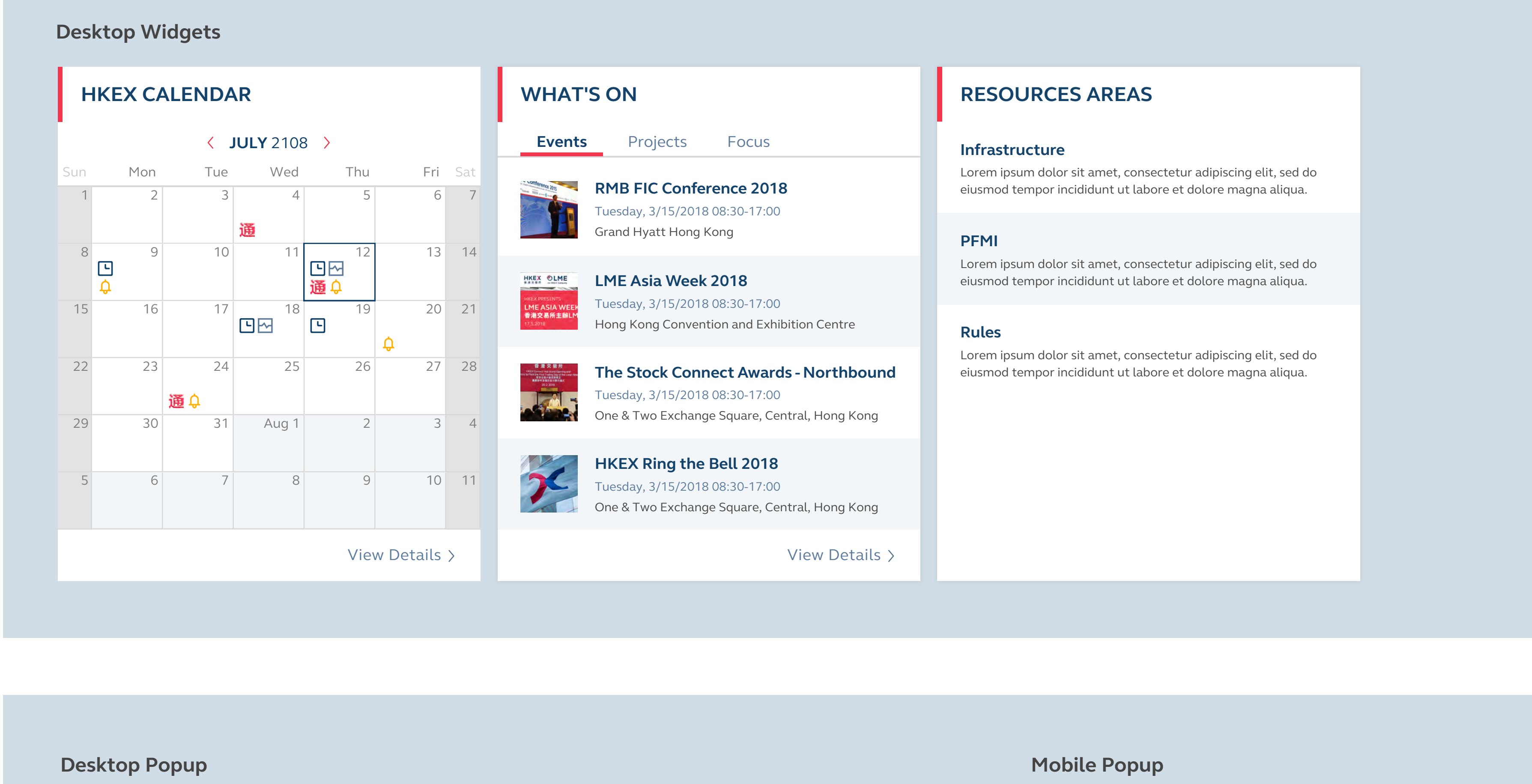
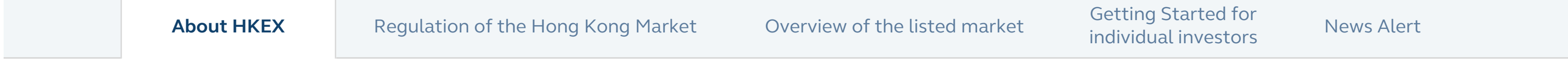
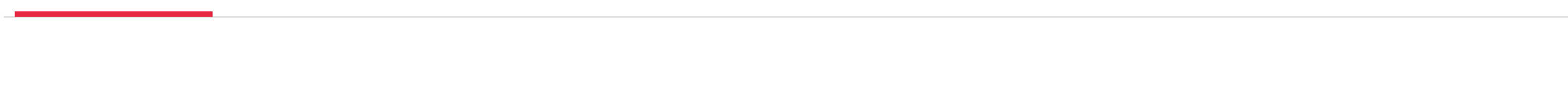
6. When click on Search icon, greeting message, date, weather will disappear from the left, and become whole search field.



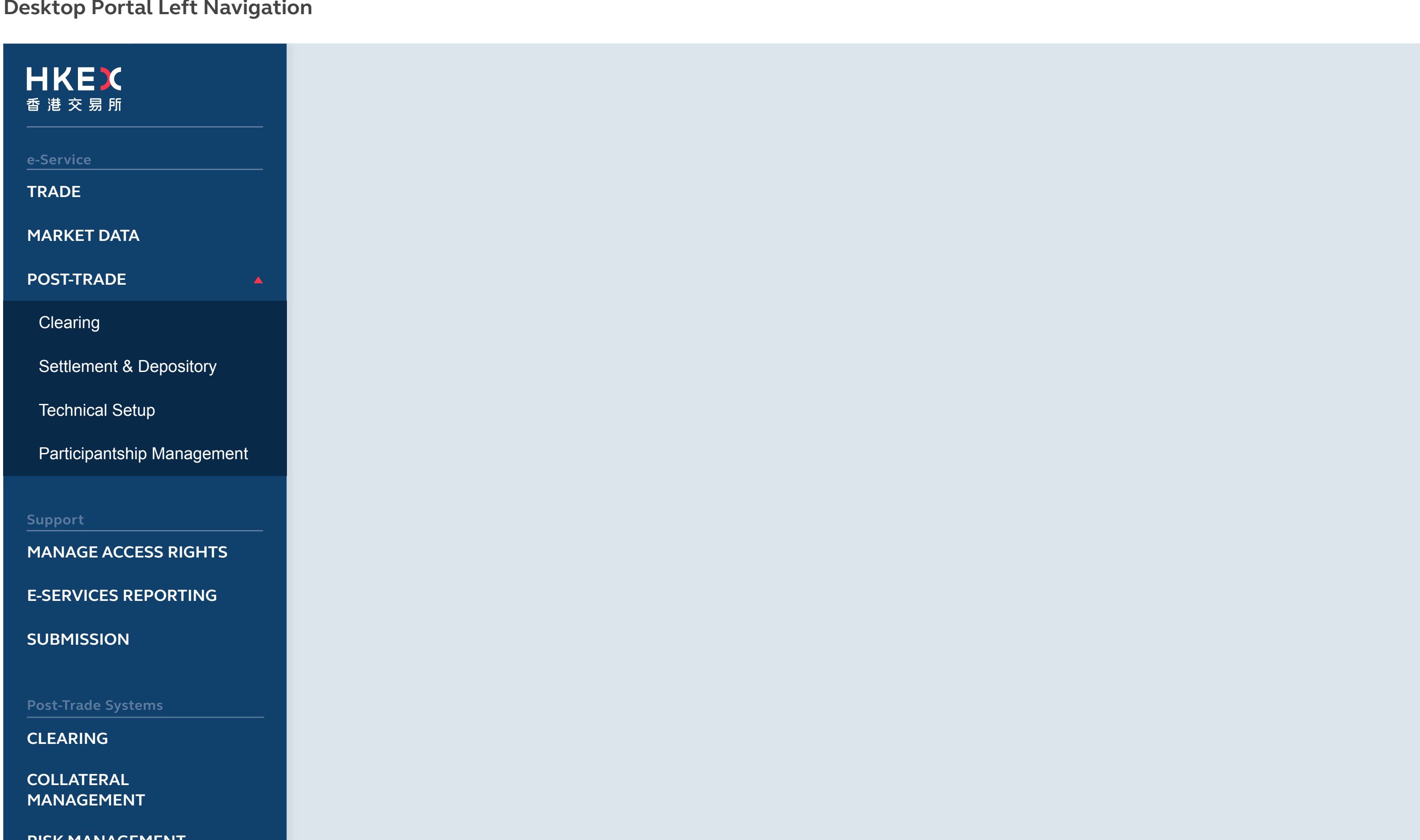
AEM Control



Desktop Portal Tabs



Desktop Portal Left Navigation



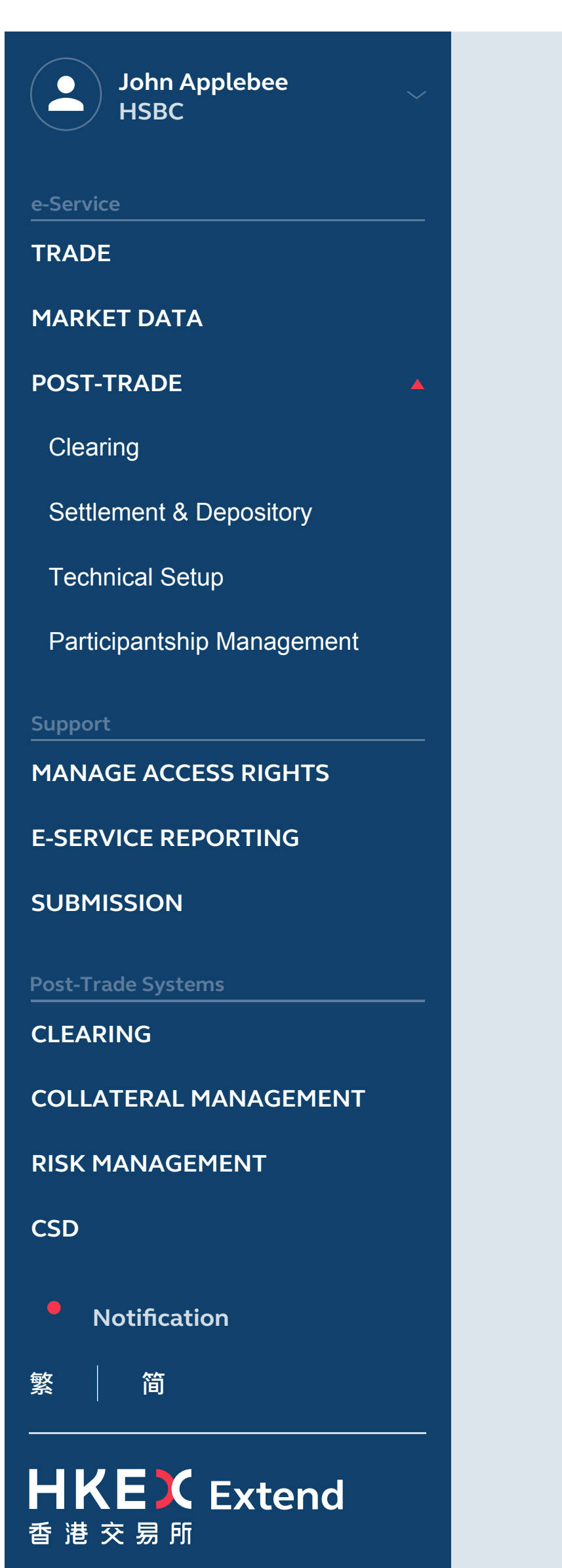
Desktop footer



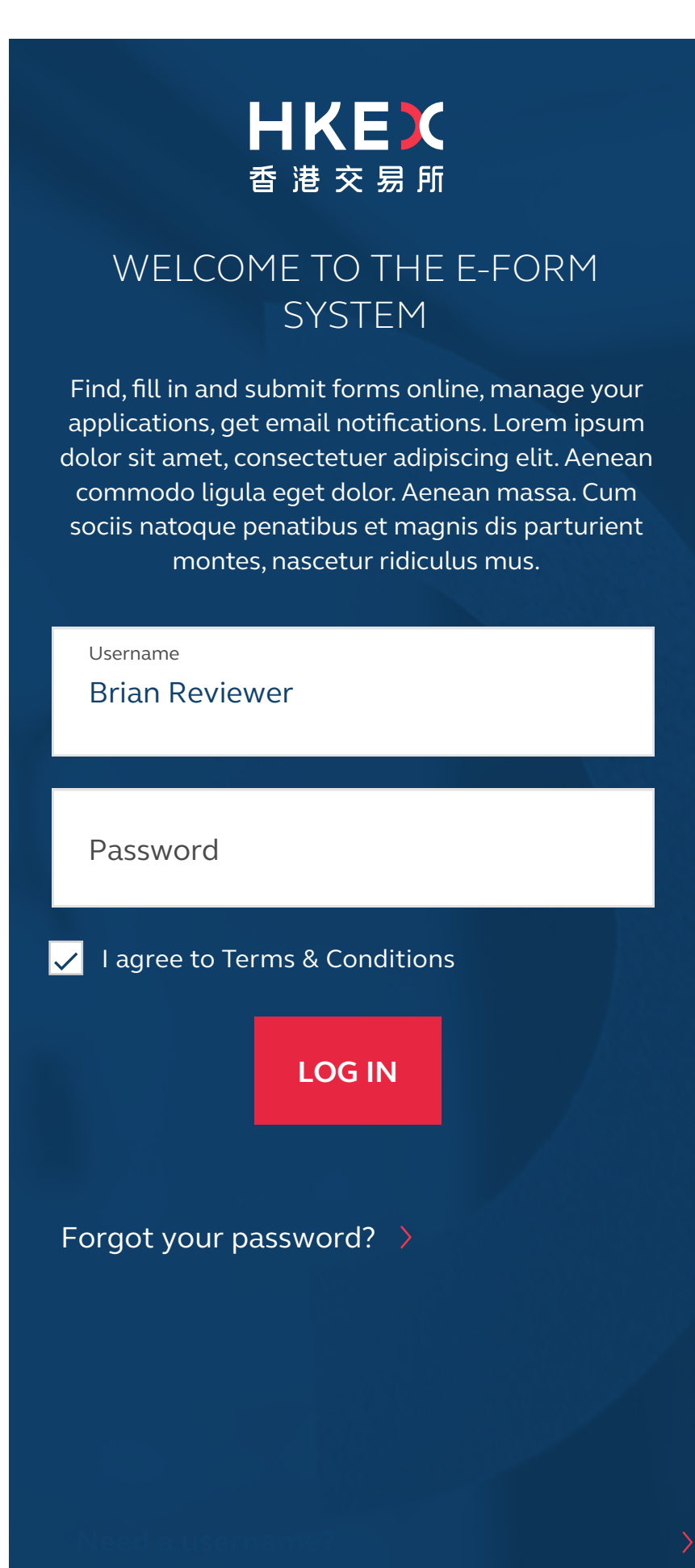
Hamburger menu on Mobile/Tablet

Both the menu item body copy and the arrow are clickable, clicking on the text 'Post-Trade', the page will refresh to the next available page in the IA; when clicking on the arrow, the menu will expand to the next level, the current page does not refresh.

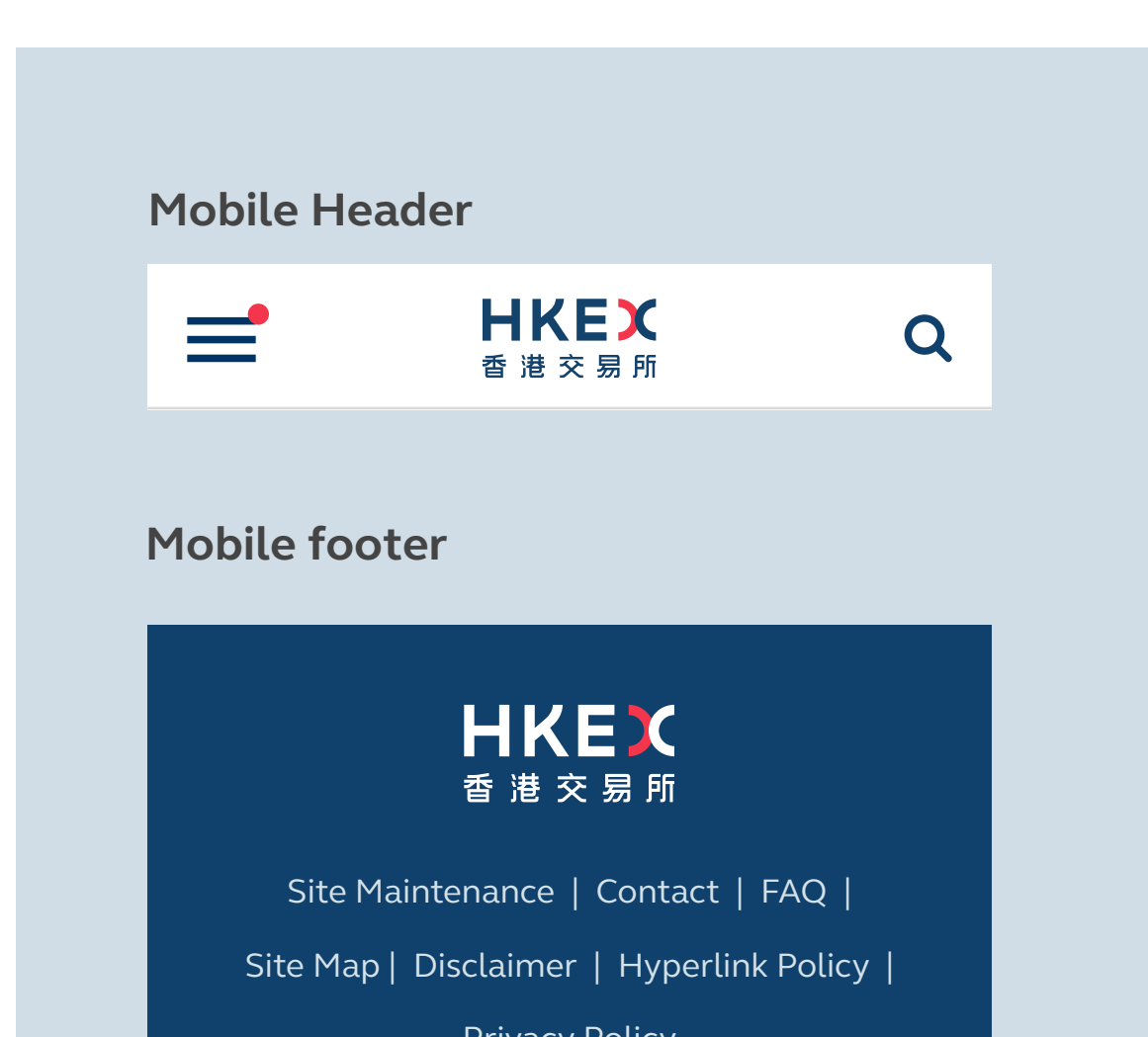
Mobile - pop-over hamburger menu



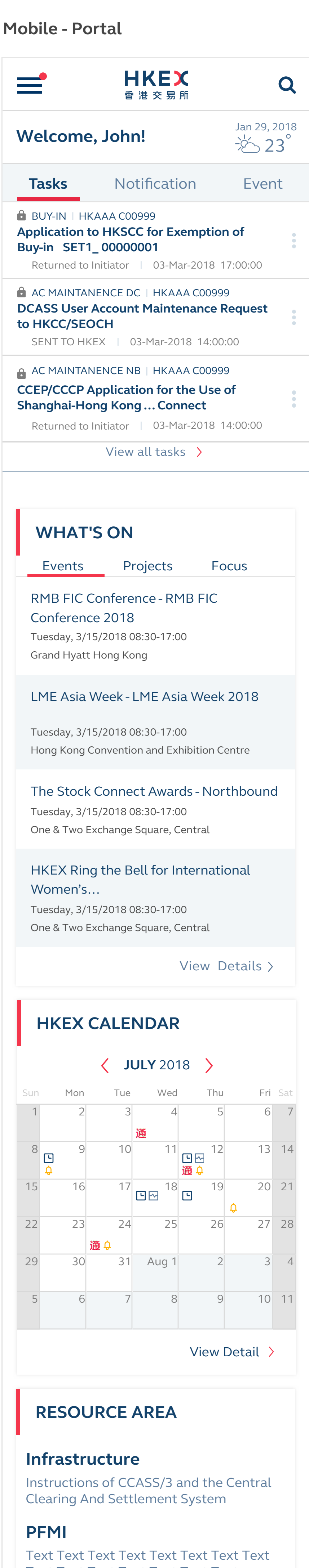
Mobile - Portal Login



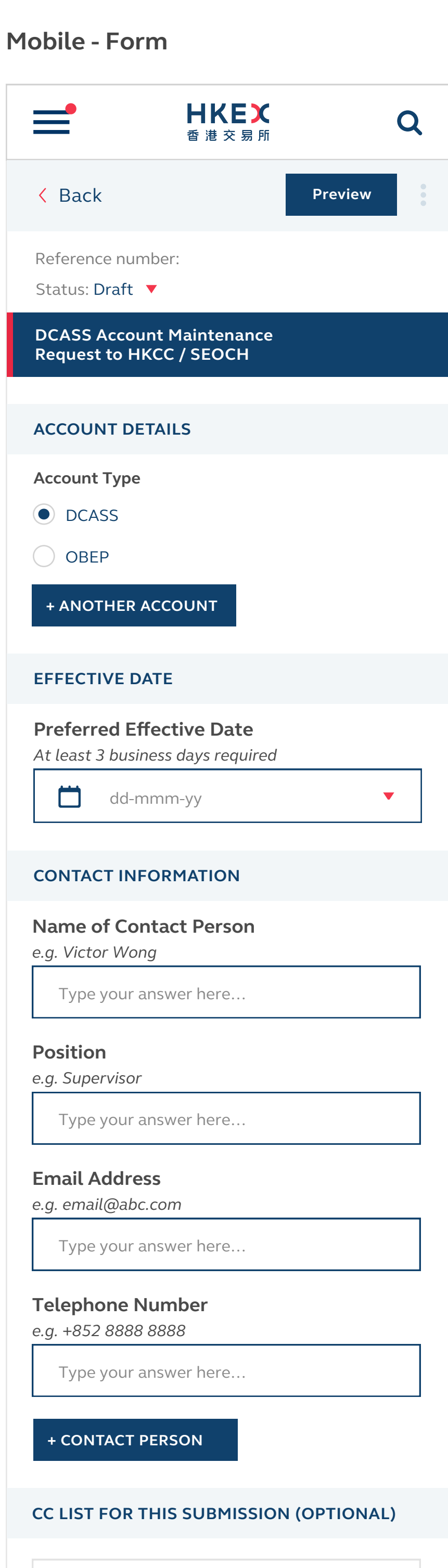
Mobile - Header and footer



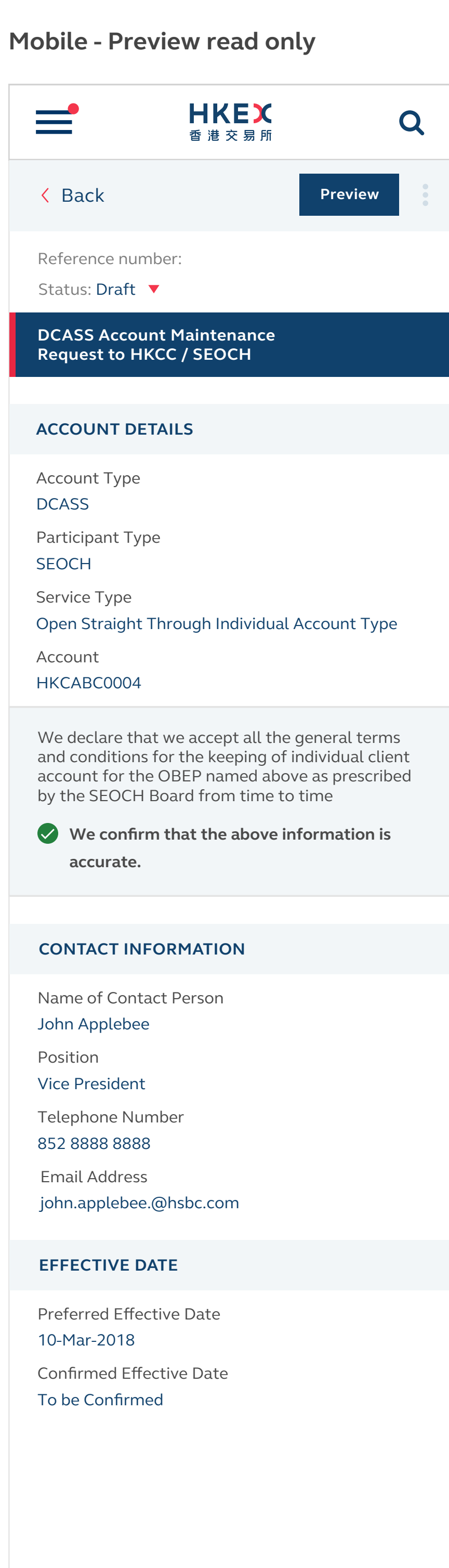
Mobile - Portal



Mobile - Form



Mobile - Preview read only



TYPOGRAPHY

TYPEFACE

When communicating in English or with numbers, the corporate typeface for HKEX is FS Elliot.

Rooted in 1960s British modernism and infused with a fresh, contemporary spirit, FS Elliot is a future-proof, workhorse sans serif, well-suited to any assignment. Open and harmonious, its clear, uid shapes lend words a distinctive and optimistic bounce.

Corporate Typeface for HKEX

FS Elliot \ FS Elliot

TYPOGRAPHIC HIERARCHY

Typographic hierarchy is a system for organizing type that establishes an order of importance within the data, allowing the reader to easily find what they are looking for and navigate the content. It helps guide the reader's eye to where a section begins and ends, whilst enabling the user to isolate certain information based on the consistent use of style throughout a body of text.

A typographic scale has a limited set of type sizes that work well together along with the layout grid. We achieve styling through opt in classes and do not style elements globally. This is to reduced the number of style collisions across the project. Elements can inherit styles from the container or otherwise applied directly.

A few general guidances:

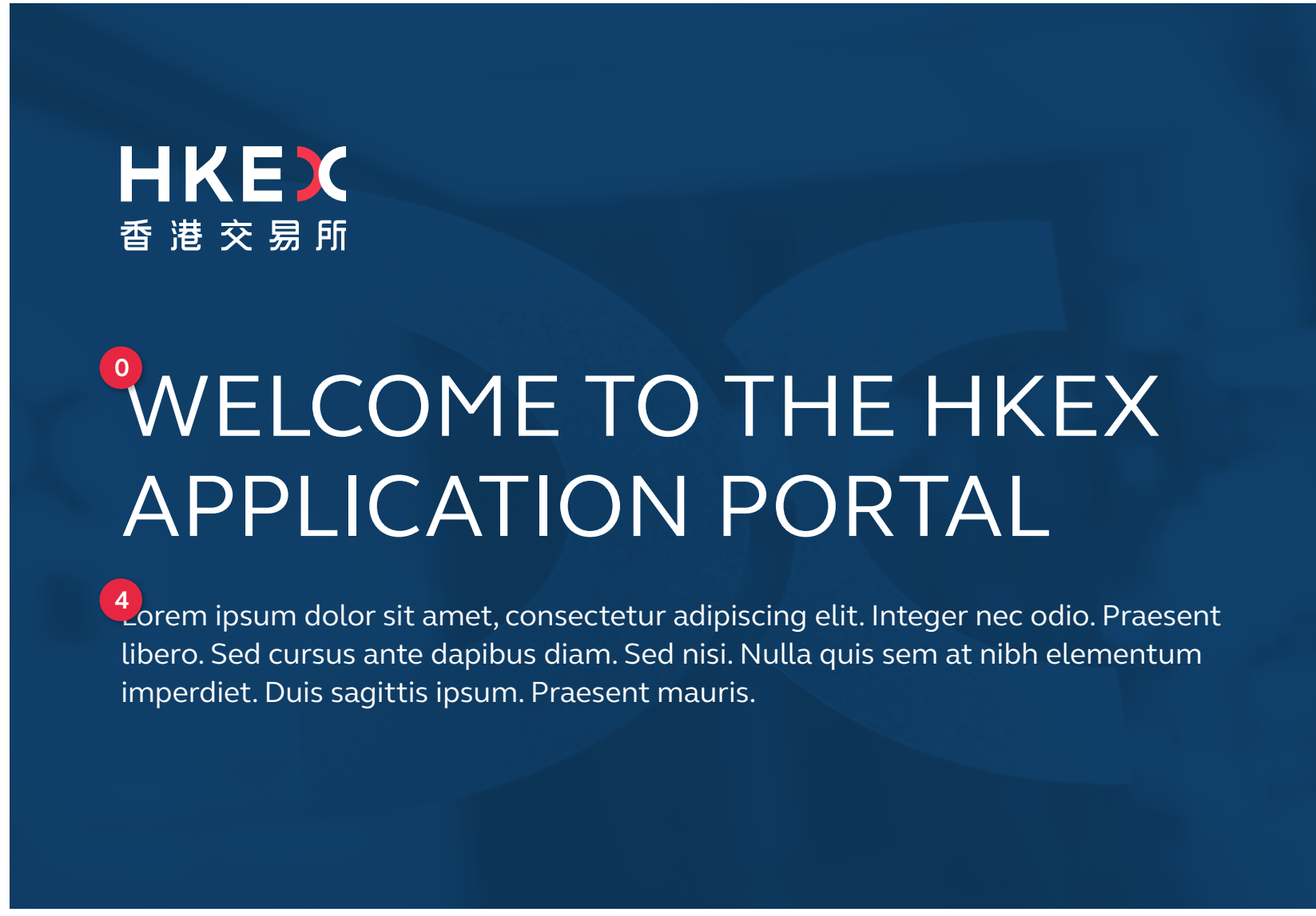
- Uppercase usually applies to titles and short phrases, not suitable for long paragraphs
- 'Bold' can be applied to words that need emphasising in a paragraph
- When the background is dark, use white/light blue for the text colour

STYLE NAME	WEIGHT	LETTER CASE	SIZE/LEADING	USE	COLOURS
0 LARGE DISPLAY	Regular	UPPERCASE	42/47px	Large title/Login page	■
1 Display	Bold/Regular	Sentence Case	30/36px	To highlight keywords/market data/ short phrases	■
2 Title 1	Bold	UPPERCASE	18/22px	Content section title/ Wide widget title	■ □
3 Title 2	Bold/Regular	UPPERCASE	16/20px	Sprint menu title/ Subheading inside content section	■ □ ■
4 Body text	Regular	Sentence case	14/18px	Body text / Links / Breadcrumbs / Unordered list	■ □
5 Table text	Regular/ Bold	Sentence Case/ UPPERCASE	13/16px	Table title/ Table content/Footer text	■ □
6 Caption	Regular	Sentence case	11/15px	Ancillary content, usually in the details panel, that represents details about the content rather than the actual content itself	■

EXAMPLES

Using a combination of various font sizes and weights gives hierarchy to the information presented on the page

Login page



Dashboard - Portal

3Tasks

6Notifications

3Events

Classification	Company Participant ID	Details	Update Date	Job Status
Buy-in	HKAAA C00999	Application to HKSCC for Exemption of Buy-in SET1_00000001	20-Dec-2017	Returned to Initiator
AC Maintenance DC	HKAAA C00999	DCASS User Account Maintenance Request to HKCC/SEOCH AC2_00000099	20-Dec-2017	Sent to HKEX
AC Maintenance NB	HKAAA C00999	CCEP/CCCP Application for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect AC6_01000000	20-Dec-2017	Sent to EP

View all tasks

Dashboard - View all Tasks

Back

Tasks

Sort by Select

Classification	Company Participant ID	Details	Update Date	Job Status
Admin	Company HKAAA1	Your application was approved by HKEX	20-Dec-2017	New
Admin	Company HKAAA1	Your application was approved by HKEX	20-Dec-2017	Rejected
Admin	Company HKAAA1	Your application was approved by HKEX	20-Dec-2017	Unfinished

Dashboard - Widget

2 WHAT'S ON
4 Events Projects Focus
4 RMB FIC Conference 2018
6 Tuesday, 3/15/2018 08:30-17:00
Grand Hyatt Hong Kong
6 LME Asia Week 2018
6 Tuesday, 3/15/2018 08:30-17:00
Hong Kong Convention and Exhibition Centre
6 The Stock Connect Awards - Northbound
6 Tuesday, 3/15/2018 08:30-17:00
One & Two Exchange Square, Central, Hong Kong
6 HKEX Ring the Bell 2018
6 Tuesday, 3/15/2018 08:30-17:00
One & Two Exchange Square, Central, Hong Kong
4 View Details >

Form Section

2 PARTICIPANT INFORMATION

Form Preview User Info

4

CCMS/ DCASS CONTACT PERSON 1

3

Title	Mr
Name of Contact Person	Sam Wu
Position	Vice President
Email Address	sam.wu@qsoftware.com
Office Number	852 8888 8888
Mobile Number	852 8888 1234
Type	Intra-day Margin Call
DCASS Operations	Day & Night
IT Contact	Day & Night

2 ETFS A2 - BOOK-ENTRY WITHDRAWAL AND DEBIT AUTHORISATION AND ETF UNIT CANCELLATION CONFIRMATION TO HKSCC

4 Reference Number:

Status: New | Collapse

3 PARTICIPANT INFORMATION

3 Participant Name

ABC Company

Participant ID

C00999

Clearing House

HKSCC

3 REDEMPTION ORDER DETAILS AND AUTHORISATION FORM

3 Name of ETF

Type your answer here...

Stock Code

Type your answer here...

Creation Quantity

Type your answer here...

Settlement Date

dd-mmm-yyyy

Underlying Participation Dealer

ABC Company

CCASS Stock Account

Type your answer here...

4 Date: <Settlement Date>

To: HK Conversion Agency Services Limited ("HKCAS")
Attn: The Manager

Hong Kong Securities Clearing Company Limited ("HKSCC")
Attn: Depository Services

Re: <Stock Name> (the "ETF") (Stock Code: <Stock Code>)

We, in the capacity as a Participant of CCASS, would like to withdraw <Redemption Quantity> units/shares of the ETF (the "Units"/the "Shares") in book-entry form from CCASS and hereby request HKSCC to debit the Units/Shares from our stock account with CCASS, effective today. Details are as follows:
CCASS Participant ID: <CCASS Participant ID>
Name of the Participant: <Name of Participant>
Designated Stock Segregated Account No: <CCASS Stock Account>
Contact Person: <Contact Person>
Telephone / Fax No <Phone Number>

We hereby request HKCAS to procure HKSCC to upon completion of debiting our stock account with CCASS, (i) confirm the debit entry of the Units/Shares and (ii) send a copy of the confirmation in respect of the debit entry [to the Registrar to arrange the immediate cancellation of the Units with the Registrar/to the Receiving Agent and the Manager/to the Registrar through the Hong Kong Transfer Agent/Hong Kong Administrative Agent with the Registrar to arrange the immediate transfer of the legal title in the Units/Shares.

In consideration of HKCAS and HKSCC agreeing to the above, we hereby agree to indemnify HKCAS and HKSCC, their respective holding companies, subsidiaries, associate companies and/or affiliate companies and to hold each of them harmless against all actions, claims, proceedings, damages, costs and expenses (including legal costs on a full indemnity basis) which may be brought against any of the aforesaid companies or suffered or incurred by any of them as a result of or in connection with the above debiting of the Units/Shares.

☐ 4 We Confirm that We Understand the above terms and conditions

6 Activities under CCASS are subject to the CCASS Rules and CCASS Operational Procedures, and any other relevant documents from time to time issued by HKSCC.

3 CONTACT INFORMATION

4 CONTACT 1

Name of Contact Person

Type your answer here...

Position

Type your answer here...

Email Address

Type your answer here...

Telephone Number

Type your answer here...

+ 4 ANOTHER CONTACT

3 CC LIST FOR THIS SUBMISSION (OPTIONAL)

6 Enter Email address(es) followed by return



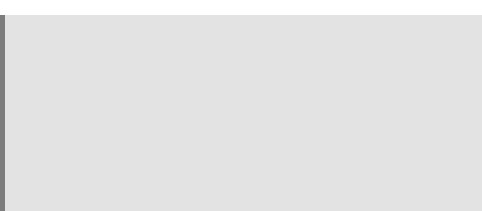
3 ADD CC RECIPIENTS

COLOURS

PRIMARY COLOUR SCHEMES

HKEX Market Site uses a primary palette composed of HKEX Blue, White and Grey, supported by tints.

HKEX Blue #10416C RGB(16,65,108)	Shading Blue #567494 RGB(86, 116, 148)	Shading Blue-tint #5D7C9D RGB(93, 142, 157)	Background Blue #D1DDE6 RGB(209, 221, 230)	Banded-Row Blue #F2F6F8 RGB(242, 246, 248)	White #FFFFFF RGB(255, 255, 255)

		
Dark Grey #4A4A4A RGB(74, 74, 74)	Medium Grey #7D7D7D RGB(125, 125, 125)	Light Grey #E3E3E3 RGB(227, 227, 227)


ACCENT COLOURS

The secondary palette is diverse and bright whilst retaining the ability to match with our primary palette. They have been selected for use on charts, graphs and other areas that need differentiation. They are not intended to dominate our corporate communications.

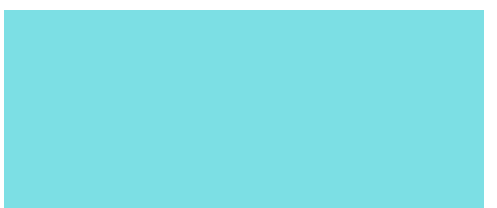





The accent should be used for the floating category tags and interactive elements, such as:

- Market data infographics
- Progress bars
- Selection controls, buttons, and sliders
- Links

Colours that carry special meanings in stock market

	
HEKEX Red rgba(244, 54, 76, 100)	Green #24803D rgba(36, 128, 62, 1)

Neutral meaning colours:

					
Cyan #26CAD3 rgba(38, 202, 211, 1)	Orange #FFB81C rgba(255, 184, 28, 1)	Purple #5E366E rgba(94, 54, 110, 1)	Deep Purple #403A60 rgba(64, 58, 96, 1)	Coral #D25B73 rgba(210, 91, 115, 1)	Pop Blue #4AB1E2 rgba(74, 177, 226, 1)

Pastel background colours

				
Pastel-red #F9DEDE rgba(249, 222, 222, 100)	Pastel-green #E7F4E4 rgba(231, 244, 228, 100)	Pastel-blue #D5E2E8 rgba(213, 226, 232, 100)	Pastel-yellow #FFF1D2 rgba(255, 241, 210, 100)	Hover-Blue #E4ECF1 rgba(228, 236, 241, 100)

COLOUR PAIRING EXAMPLES:

FOR STRONG CONTRAST DIFFERENTIATING SECTIONS:

Three color swatches (white, dark blue, red) and three text/button background examples:

- Dark text on light background
- White text on dark background
- Button background

RMB FIC Conference 2018
Tuesday, 3/15/2018 08:30-17:00
Grand Hyatt Hong Kong

FOR SUBTLE CONTRAST THAT HELPS GUIDE USERS AS THEY MOVE THEIR EYES ACROSS EACH ROW

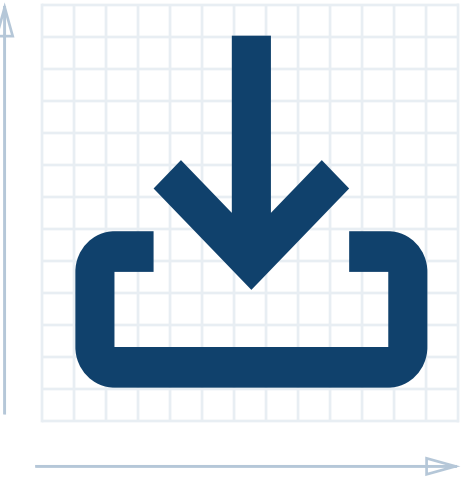
[illegible]

The diagram illustrates the state of a table with three rows. On the left, there are three checkboxes: the first is checked (filled), the second is unchecked (empty), and the third is unchecked (empty). To the right, a table with three rows is shown. The first row is labeled 'UNSELECTED STATE' and has a light blue background. The second row is labeled 'SELECTED STATE' and has a light blue background. The third row is labeled 'CLEARING STATISTICS' and has a light blue background.

UNSELECTED STATE
SELECTED STATE
CLEARING STATISTICS

ICONS

The icons are drawn on a 14px grid and will render with crisp straight edges when used at pixels sizes in increments of 14. It is therefore recommended to use them at 14, 28, 42 and 56px.



EXAMPLE: 14px inline text paired with 14px icon 'Download'

 **Download** [How to become an Exchange Participant Guide](#) PDF

NOTE: The icons below are taken out of context with the original size and colour

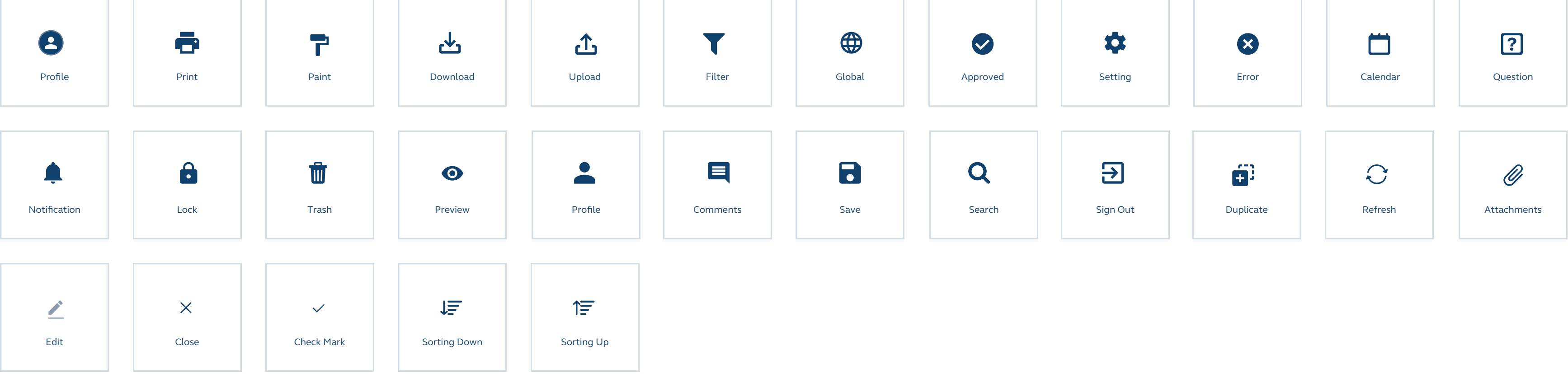
NAVIGATION



FILE TYLE



ACTIONS



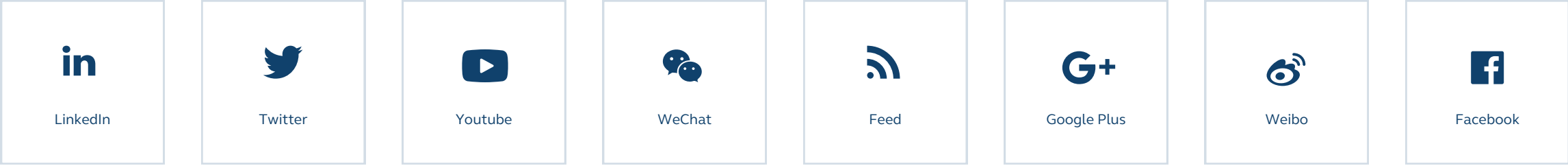
STOCK CALENDAR LABELS



LABELS



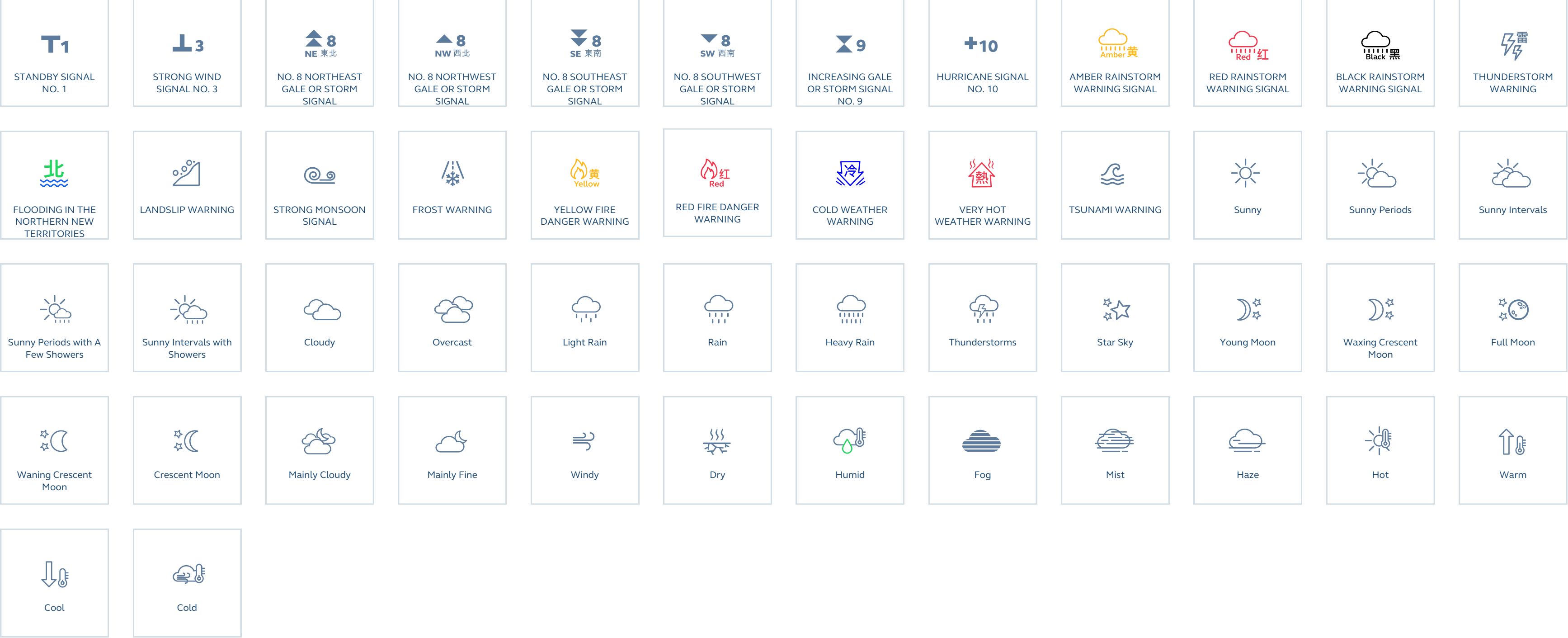
SOCIAL MEDIA



TICKER MESSAGE



WEATHER



LANGUAGE



IMAGERY

HERO IMAGES

MOOD

Abstract, trading, fast paced, visually dark



TREATMENT



Step one - Image cropping size: 1440*218 / 1440*165



Step two - Motion blur: 7px, opacity: 60%



Step three - Overlay on top of blue background



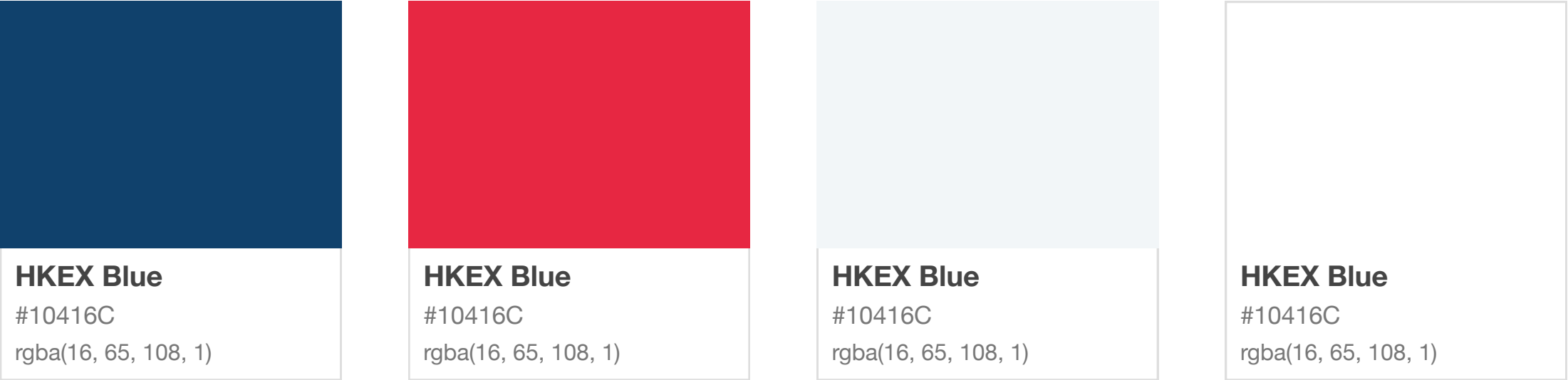
MONOTONE WATERMARK BACKGROUND IMAGES

MOOD

Positive, light, working enviroment between people. Every image is clean, visually light and obviously modern

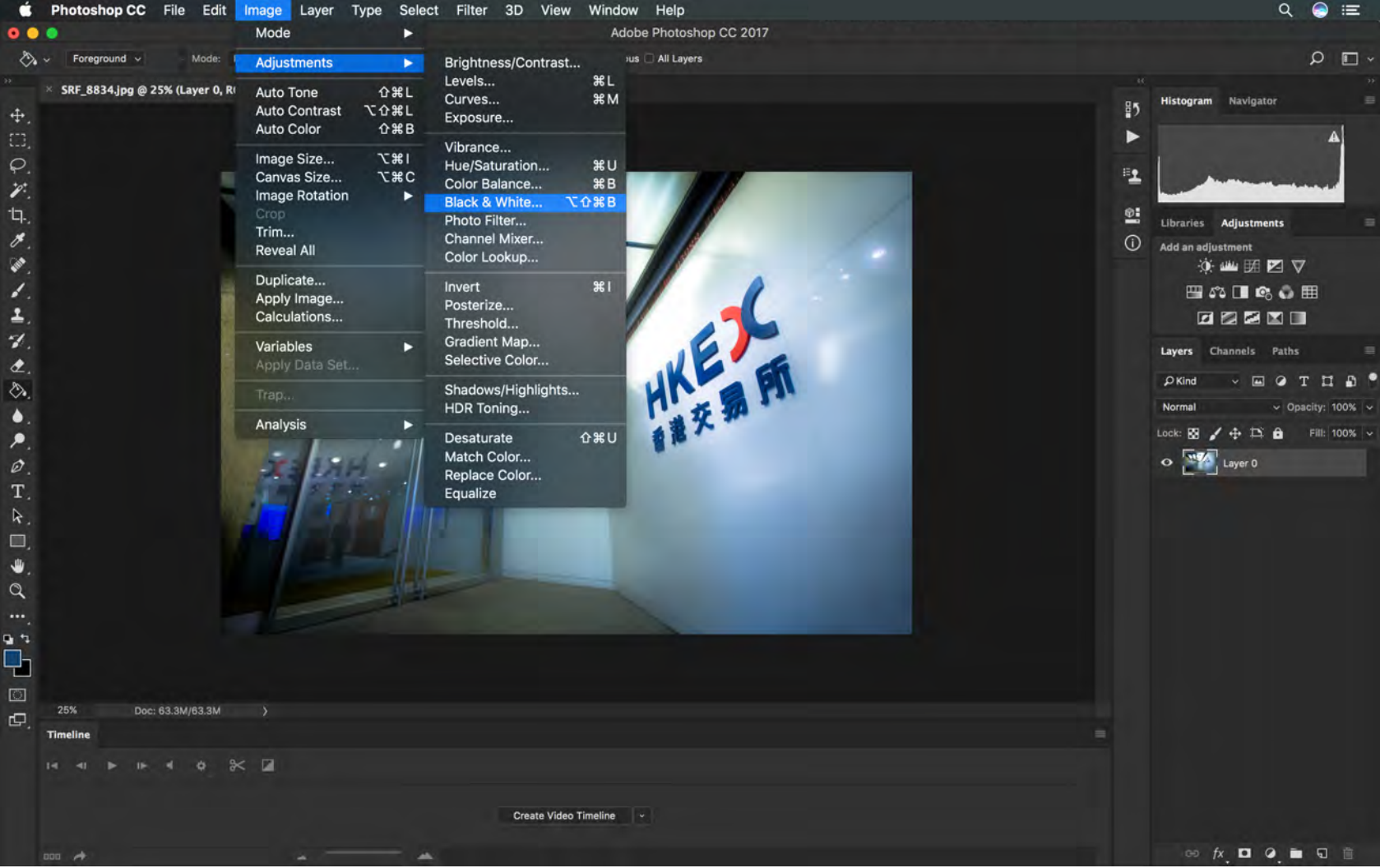


APPLY MONOTONE COLOURS

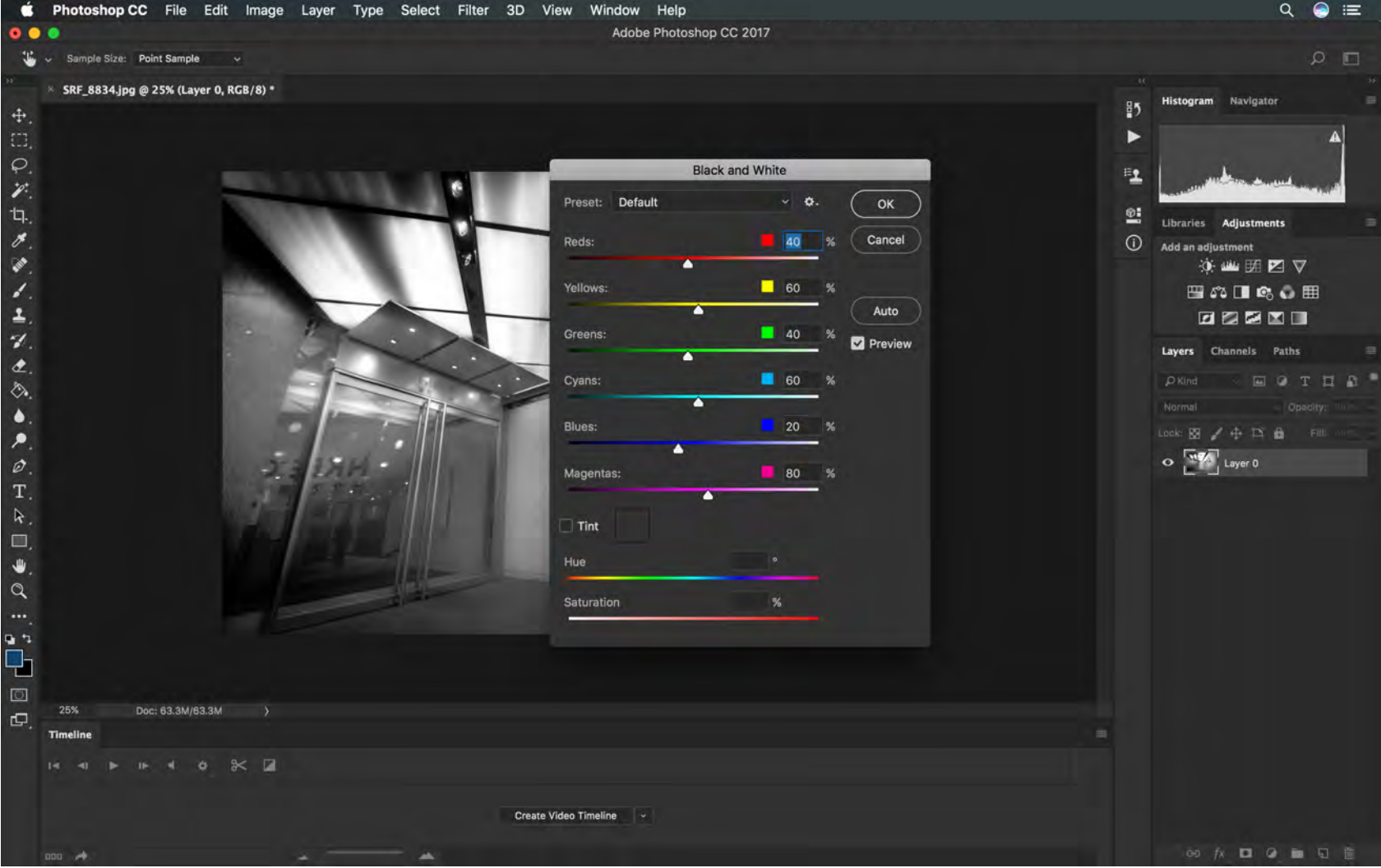


CREATE A MONOTONE WATERMARK IMAGE

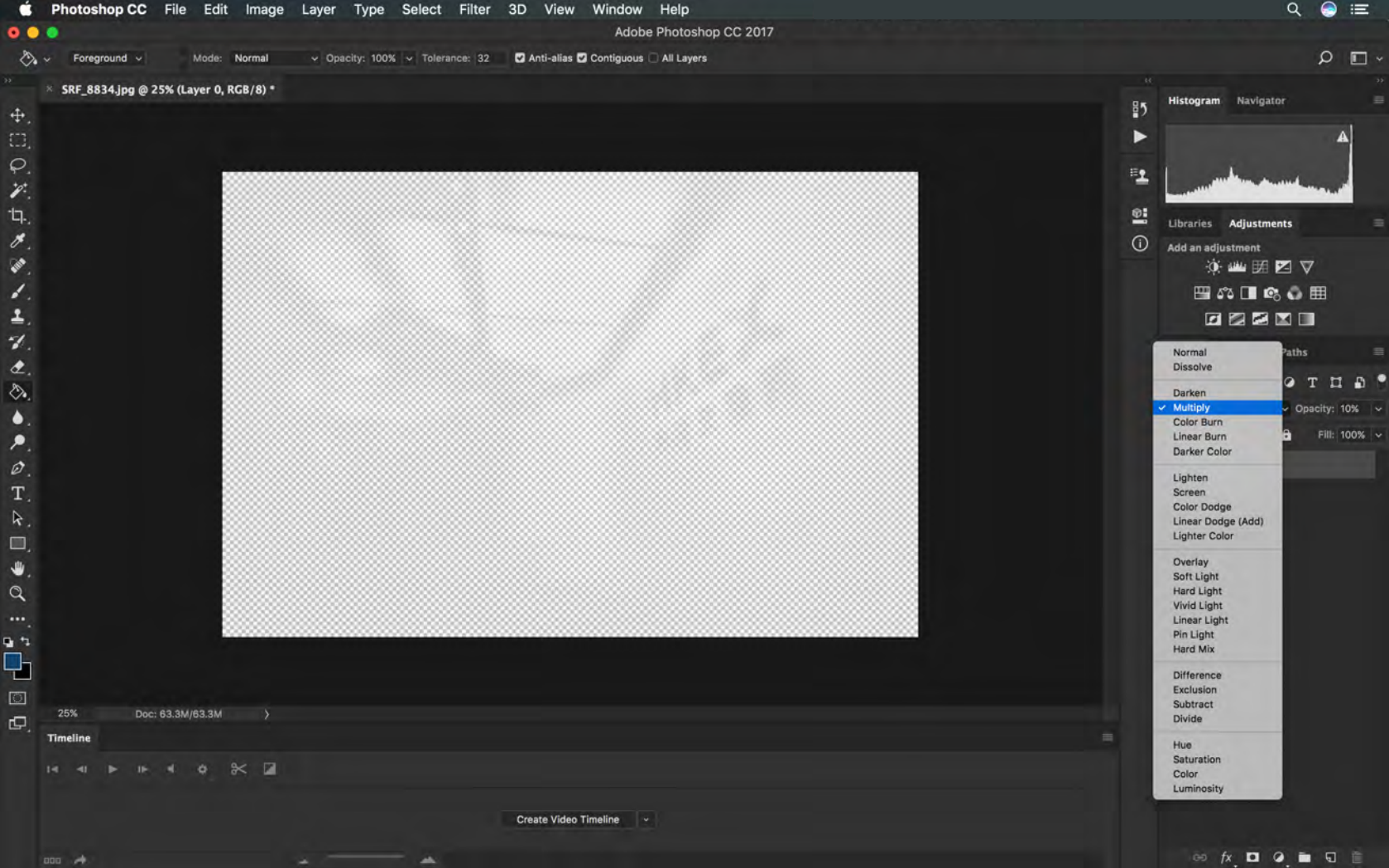
Step one - Open the image in Photoshop.
From the menu, select Image - Adjustments - Black & White.



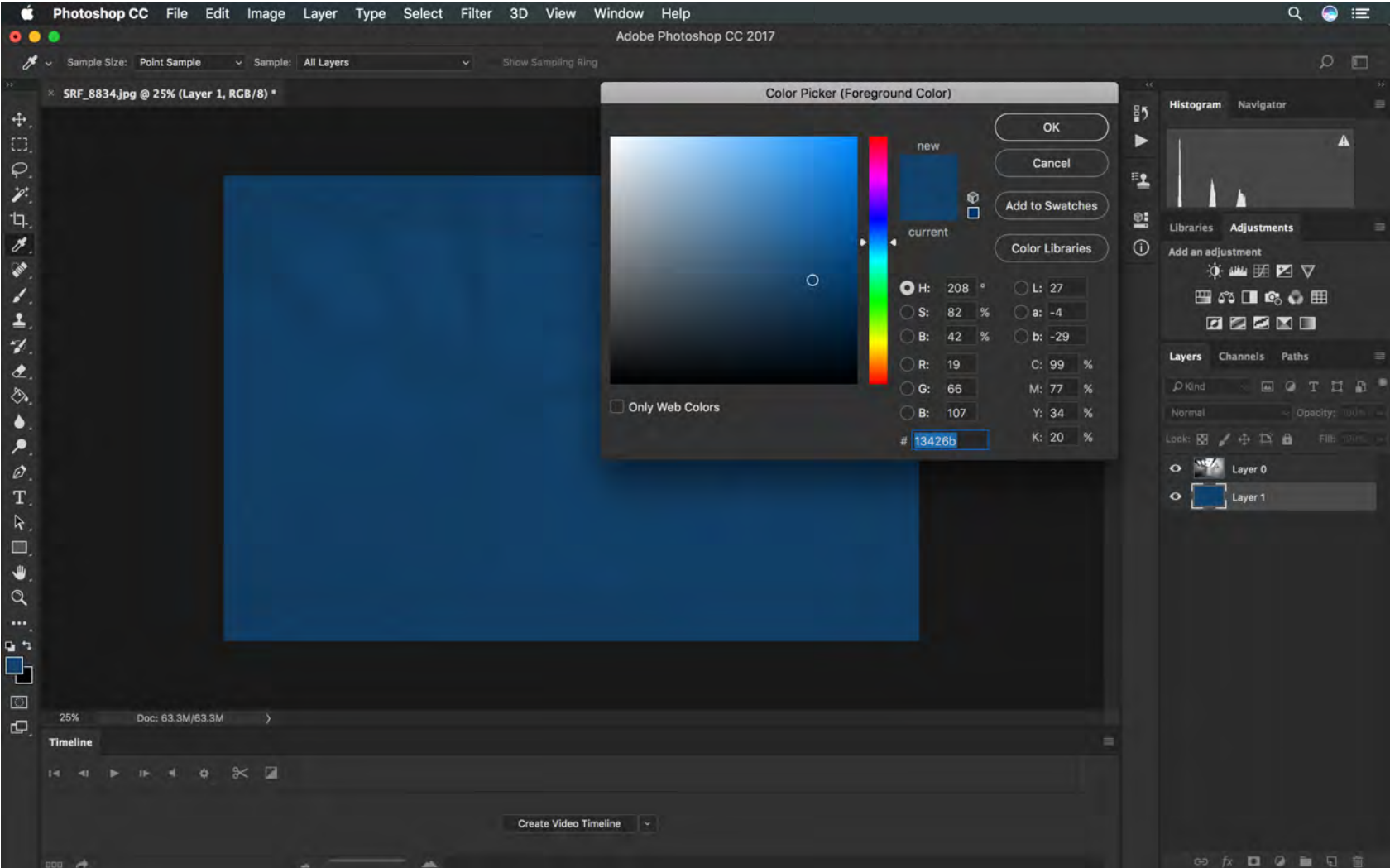
Step two - Choose the default option in Preset.



Step three - Once the image has been converted to Grayscale, from the right hand menu adjust opacity to 10% and select layer mode - Multiply.



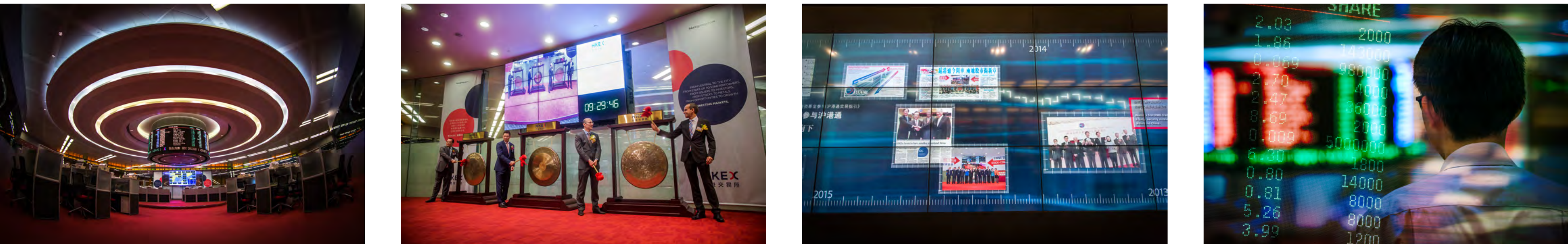
Step four - Add a new layer under the picture, use the Paint Bucket Toll add the brand colour on.



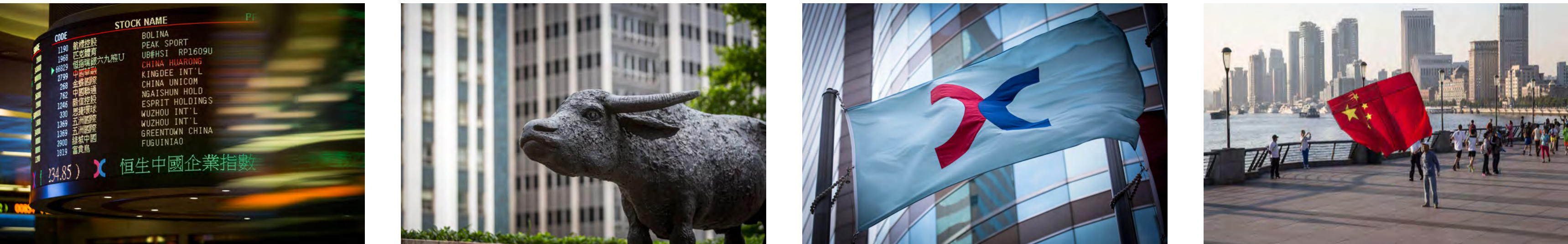
FEATURE IMAGES

LIBRARY

Home banner images



News images



ELEMENTS

BUTTON

Primary Button

Active

TEXT

TEXT ▾

TEXT

Disabled

TEXT

TEXT ▾

TEXT

Less-pronounced

TEXT

TEXT ▾

TEXT

Secondary Button

TEXT

TEXT

⬆️
Top

TEXT

TEXT

CANCEL

Navigation Button

<

>

⋮

Button with Icon

Icon as a button

✖

Icon with text description

🔍 TEXT

Sizes

🔍 TEXT

🔍 Text

LINK

Individual stand-alone link

Independent link 1 >

View all tasks >

Icon with text link

[✎ EDIT](#)

[📅 Hide Calendar ⤴️](#)

CHECKBOXES

Active State

☒ Leveraged & Inversed Product (L&I)

Disabled State

☐ Leveraged & Inversed Product (L&I)

RADIO BUTTONS

Active State

☒ The Stock Exchange of Hong Kong Limited (SEHK)

Disabled State

☐ Hong Kong Securities Clearing Company Limited (HKSCC)

TEXT INPUT FIELD

Default State with Hint Text

Type your answer here...

Type your answer here... ▾

User Inputting State

John Smith

Disabled

Please select available report

Error State

John Smith

✖ Display Error/Help message here

John Smith

✔ Approved

UPLOAD / DOWNLOAD

Upload clickable

📎 UPLOAD

Download PDF document

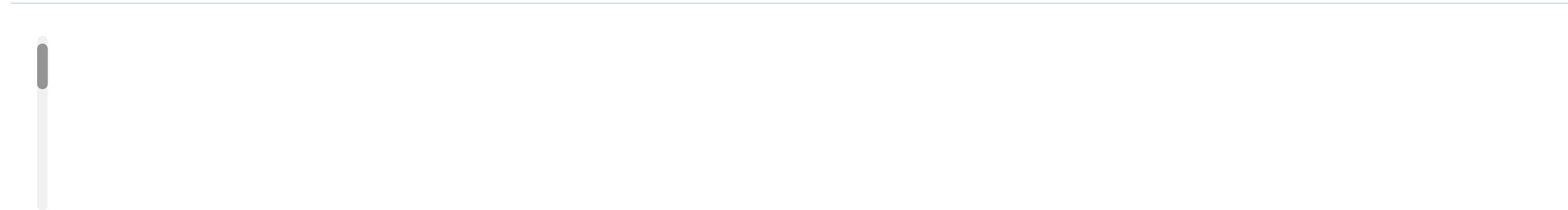
📎 Supporting document PDF

is is 50 characters to illustrate if this enough is is 50 characters to illustrate if this enough

PARAGRAPH

This is a sample paragraphyh using body texts. Depositary receipts (DRs) are securities issued by a depositary representing underlying shares of a corporation which have been placed with the depositary or its nominated custodian. DRs are purchased by investors (DR holders) in accordance with the terms of the deposit agreement. The depositary acts as a bridge between the DR holders and the issuer.

SCROLLER



DROPDOWN

Date Picker

📅 30-Apr-2018 ▾

< January ▾ 2018 ▾ >

Su	Mo	Tu	We	Th	Fr	Sa
25	26	27	28	29	30	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5

Calendar widget

📅 HKEX EVENTS

Featured: OTC Derivatives Clearing – Preparing the ground for the derivatives deadline

10:00am - 12:00pm | Room 1904, IFC 1 | Free Admission

📅 TRADING OPERATIONS

H-Shars Index Futures and Options (Including Flexible Index Options) Last Trading Day/Expiry Day

Stock Futures Last Trading Day/Expiry Day

🔔 IPO LISTING DATE

08407.HK

China Industrial Securities International Financial Group Limited

📺 STOCK CONNECT

Easter Monday

Hong Kong Market is closed

User Banner

Apple Inc.

Citibank N.A. ✓

Dynamic Funds

👤 Profile

⚙️ Setting

🚪 Sign Out

繁體

简体

EN ✓

YOUR NOTIFICATIONS

View All

Headline

Lorem ipsum dolor sit amet, adipiscing elit, sed do eiusmod tempor incididunt

3 hours ago

Headline

Lorem ipsum dolor sit amet, adipiscing elit, sed do eiusmod tempor incididunt

3 hours ago

Headline

Lorem ipsum dolor sit amet, adipiscing elit, sed do eiusmod tempor incididunt

3 hours ago

Headline

Lorem ipsum dolor sit amet, adipiscing elit, sed do eiusmod tempor incididunt

3 hours ago

Headline

Lorem ipsum dolor sit amet, adipiscing elit, sed do eiusmod tempor incididunt

3 hours ago

Headline

Lorem ipsum dolor sit amet, adipiscing elit, sed do eiusmod tempor incididunt

3 hours ago

Preview button - mobile version

SAVE

RETURN

REJECT

Filter

Type ▾

☒ Daily

☒ Monthly

☒ Ad Hoc

Select e-Service ▾

e-Service Name

e-Service Name

e-Service Name

e-Service Name

e-Service Name

e-Service Name

e-Service Name

Select report ▾

Report name

Report name

Report name

COMPONENTS

FILTER

Hide filters

Internal

EU_general

Internal/External

☒ Internal

☒ External

Function Type

☒ Admin

☒ Business

Status

☒ Active

☒ Inactive

Assigned Role

☒ EU_Deriv_Settlement

☒ EU_Deriv_Settlement

☒ EU_Deriv_Settlement

☒ EU_Deriv_Settlement

☒ EU_Deriv_Settlement

Filter by keywords

Sort by

Select

Classification

Company

Date

Job Status

TF

Ascending

TABS

Default state: first tab is highlighted

5 Tasks

6 Notifications

3 Events

About HKEX

Regulation of the Hong Kong Market

Overview of the listed market

Getting Started for Individual Investors

News Alert

When click on a new tab, the tab will move to the center of the tab bar.

Overview

Programme

Sponsorship Packages

Hotel Accommodation

Past Events

DATE PICKER

Default State

from

dd-mm-yyyy

to

dd-mm-yyyy

<

January

>

2018

<

>

Su

Mo

Tu

We

Th

Fr

Sa

25

26

27

28

29

30

1

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25

26

27

28

29

30

31

1

2

3

4

5

ACCORDION

Basic Accordion

How did HKEX develop into its existing framework?

To increase their competitiveness to meet increasingly globalised challenges, the Stock Exchange of Hong Kong Ltd (SEHK), the Hong Kong Futures Exchange Ltd (HKFE) and the Hong Kong Securities Clearing Co Ltd (HKSCC) merged on 6 March 2000 into a single controlling company known as Hong Kong Exchanges and Clearing Limited (HKEX). HKEX listed on SEHK on 27 June 2000. In December 2012, HKEX acquired the London Metal Exchange (LME), the world's premier metal exchange. In May 2012, OTC Clearing Hong Kong Limited (OTC Clear) was incorporated as the clearing house of clearing OTC Derivatives in Hong Kong.

With SEHK, HKFE, HKSCC, LME and OTC Clear as subsidiaries, HKEX is composed of various business functions each led by the management and the board of directors. The board of directors, as the highest decision-making unit, lays down HKEX's objectives, missions, strategies, policies and business plans, and oversees execution by the management.

For more information about HKEX, please visit "About HKEX" at the HKEX website.

What are the procedures for a visit to the Exchange Exhibition Hall?

+

Where can investors obtain information about overseas exchanges?

+

TABLE

Large table (wide and long)

WIDE TABLE - horizontal scrolling bar/desktop only will appear when the table is not showing 100% width.

LONG TABLE - the table header reaches the top of the browser, it becomes sticky and always remain visible. The website header appears as an overlay only when user scrolls upwards

No	Stock Code	Multi-Counter Stock Code 1	Multi-Counter Stock Code 2	Beginning Balance	PD Creation Orders Settled No. of order	PD Creation Orders Settled No. of unit/ share	PD Redemption Orders Settled No. of order
1	XXXXX	XXXXXX	XXXXXX	XXXXXXXXXXXX			
2	XXXXX	XXXXXX	XXXXXX	XXXXXXXXXXXX			
3	XXXXX	XXXXXX	XXXXXX	XXXXXXXXXXXX			
4	XXXXX	XXXXXX	XXXXXX	XXXXXXXXXXXX			
5	XXXXX	XXXXXX	XXXXXX	XXXXXXXXXXXX			

Preview Stage

No	Stock Code	Multi-Counter Stock Code 1	Multi-Counter Stock Code 2	Beginning Balance	PD Creation Orders Settled No. of order	PD Creation Orders Settled No. of unit/ share	PD Redemption Orders Settled No. of order
1	5	#####	#####	1,000	xxx	xxx	xxx
2	5	#####	#####	1,000	xxx	xxx	xxx
3	5	#####	#####	1,000	xxx	xxx	xxx
4	5	#####	#####	1,000	xxx	xxx	xxx
5	5	#####	#####	1,000	xxx	xxx	xxx

Column Alignment

Left Align: text based columns such as 'Classification', 'Company Name', 'Update Date', 'Details' and 'Job Status'.

Unread message highlight in Blue column with Bold.

Classification	Company Participant ID	Details	Update Date	Job Status
Admin	Company HKAAA1	Your application was approved by HKEX	20-Dec-2017	New
Admin	Company HKAAA1	Your application was approved by HKEX	20-Dec-2017	Rejected
Admin	Company HKAAA1	Your application was approved by HKEX	20-Dec-2017	Unfinished
Admin	Company HKAAA1	Your application was approved by HKEX	20-Dec-2017	Pending
Admin	Company HKAAA1	Your application was approved by HKEX	20-Dec-2017	Approved

Form Condition Preview Table

Re: Application for concessorary withdrawal fee for physical withdrawal of 500,000 shares of «Stock Name» (Stock Code: «Stock Code»)

As instructed by our client «name of underlying client», we are going to withdraw «No. of Shares (withdrawal)» shares of «Stock Name» (stock code: «Stock Code») from our stock account «Account Number(withdrawal)» on «Withdrawal Date».

We shall be grateful if you will consider granting a concessorary withdrawal fee for the above stock withdrawal. Please inform us the commission amount so that we can inform our client accordingly.

We confirm that we have deposited the following Jumbo certificates into our stock account

No.	Order Number (Deposit)	Account Number (Deposit)	Deposit Date	No. of Certificates Deposited	No. of Shares Deposited
1	H11112222	3	10-Apr-2018	2	100,000
2	H33334444	3	11-Apr-2018	1	200,000

☐ We confirm that we understand and accept the above

Detail of claim form preview table

No	Entitlement Type	Dividend Year	Dividend Type	Book Closure / Record Date	Date	Stock Code	Share Holding as of Book Closure/ Record Date	Currency
1	Cash Entitlement	2016	Interim Dividend	Record Date	1/9/2016	5	1,000	HKD
2	Cash Settlement	2016	Final Dividend	Record Date	1/3/2017	5	1,000	HKD
3	Stock Entitlement	2016	Bonus	Book Closure	5/3/2017 - 6/3/2017	5	1,000	N/A
4	Stock Entitlement	2016	Special Bonus	Book Closure	5/3/2017 - 6/3/2017	5	1,000	N/A
5	Cash Entitlement	2017	Interim Dividend	Record Date	1/9/2017	5	1,000	HKD

Mobile Table Responsiveness

DATA TABLE - usually most columns are made of numbers and are sortable, data table on mobile has the same layout as desktop

TEXT TABLE - usually text heavy, only has 2-4 columns, most columns are not sortable. Text table on mobile is optimised into one column card layout.

Admin | HSBIC-AA0001
Your application is approved by HKEX
Rejected | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
New | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
Unfinished | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
Pending | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
Approved | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
Approved | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
Approved | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
Approved | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
Approved | 3-May-2018

Admin | HSBIC-AA0001
Your application is approved by HKEX
Approved | 3-May-2018

Buy-in
Application Form for Exemption of Buy-in in China Connect Securities
(E-TOPI)

Buy-in
Application Form for Exemption of Buy-in in China Connect Securities
(E-TOPI)

Buy-in
Application Form for Exemption of Buy-in in China Connect Securities
(E-TOPI)

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Application Form for Exemption of Buy-in in China Connect Securities
(E-TOPI)

Buy-in
Application Form for Exemption of Buy-in in China Connect Securities
(E-TOPI)

No	Service Type	Exchange Part
1	Add	DEUTSCHE SEC
2	Add/Delete	ABC Company
3	Add/Delete	ABC Company
4	Add/Delete	ABC Company
5	Add/Delete	ABC Company

FORM

Default Screen

Reference Number:

Status: Draft

Collapse

PARTICIPANT INFORMATION

Participant Name: ABC Company

Participant ID: C00999

Clearing House: HKSCC

STOCK INFORMATION

Stock Name

Type your answer here...

Download Template

Stock Code

Type your answer here...

Certificate Dispatch Date

dd-mm-yyyy

INFORMATION TO BE CONFIRMED

Face Value

☐ Unit number

☐ Dollar Amount

☐ BOTH Unit Number AND Dollar Amount

Bar Codes

☐ With Bar Codes

☐ Without Bar Codes

Certificate Prefix

The document of title in respect of the above securities will be issued:

☐ with certificate prefix (in addition to the distinguished numbers for each document of title), and the prefix is:

☐ Without certificate prefix

Certificate Prefix

The allotment of the above securities will be effected and completed:

☐ with issuance of document of title in Hong Kong

☐ without issuance of any document of title in Hong Kong

CONTACT INFORMATION

CONTACT 1

Name of Contact Person

Type your answer here...

Position

Type your answer here...

Email Address

Type your answer here...

Telephone Number

Type your answer here...

+ ANOTHER CONTACT

CC LIST FOR THIS SUBMISSION (OPTIONAL)

Enter Email address(es) followed by return

ADD CC RECIPIENTS



Preview Screen

Reference Number:

Status: Draft

Collapse

PARTICIPANT INFORMATION

Participant Name: ABC Company

Participant ID: C00999

Clearing House: HKSCC

STOCK INFORMATION

Stock Name: ABC Stock

Stock Code: ###

Certificate Dispatch Date: 22-May-2018

INFORMATION TO BE CONFIRMED

Face Value

☐ Unit Number

☐ With Bar Codes

The document of title in respect of the above securities will be issued:

☐ without Certificate Prefix

The allotment of the above securities will be effected and completed:

☐ with issuance of document of title in Hong Kong

CONTACT INFORMATION

CONTACT 1

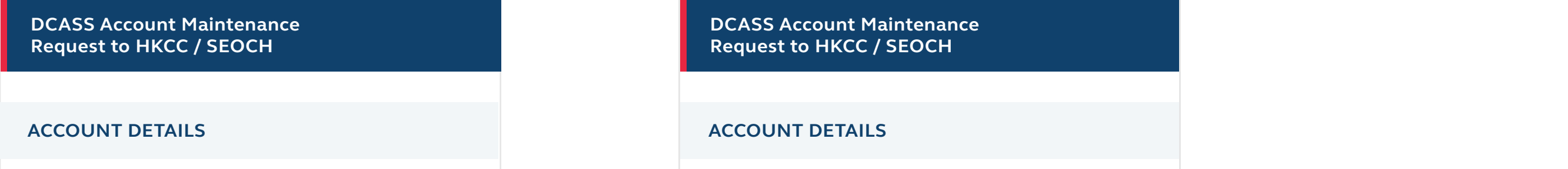
Name of Contact Person: John Applebee

Position: Vice President

Email Address: john.applebee@abc.com.hk

Telephone Number: 852 8888 8888

+ ANOTHER CONTACT



Default Screen - Mobile version

HKEX 香港交易所

Back

Preview

Reference Number:

Status: Draft

DCASS Account Maintenance Request to HKCC / SECOH

ACCOUNT DETAILS

Account Type: DCASS

Participant Type: SECOH

Service Type: Open Straight Through Individual Account Type

Account: HKCABC0004

EFFECTIVE DATE

Preferred Effective Date: At least 3 business days required

dd-mm-yy

CONTACT INFORMATION

Name of Contact Person: e.g. Victor Wong

Type your answer here...

Position: e.g. Supervisor

Type your answer here...

Email Address: e.g. email@abc.com

Type your answer here...

Telephone Number: e.g. +852 8888 8888

Type your answer here...

+ CONTACT PERSON

CC LIST FOR THIS SUBMISSION (OPTIONAL)

ADD CC RECIPIENTS

HKEX 香港交易所

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Preview Screen - Mobile version

HKEX 香港交易所

Back

Preview

Reference Number:

Status: Draft

DCASS Account Maintenance Request to HKCC / SECOH

ACCOUNT DETAILS

Account Type: DCASS

Participant Type: SECOH

Service Type: Open Straight Through Individual Account Type

Account: HKCABC0004

EFFECTIVE DATE

Preferred Effective Date: 10-Mar-2018

Confirmed Effective Date: To be Confirmed

CONTACT INFORMATION

Name of Contact Person: John Applebee

Position: Vice President

Telephone Number: 852 8888 8888

Email Address: john.applebee@hskb.com

HKEX 香港交易所

Contact | FAQ | Site Map | Site Maintenance

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HKEX Market Website

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Welcome, John!

Jan 29, 2018
23°

- TasksNotificationEvent
- BUY-IN | HKAAA C00999

Application to HKSCC for Exemption of Buy-in SET1_00000001

Returned to Initiator | 03-Mar-2018 17:00:00

AC MAINTENANCE DC | HKAAA C00999

DCASS User Account Maintenance Request to HKCC/SEOCH

SENT TO HKEX | 03-Mar-2018 14:00:00

AC MAINTENANCE NB | HKAAA C00999

CCEP/CCCP Application for the Use of Shanghai-Hong Kong ... Connect

Returned to Initiator | 03-Mar-2018 14:00:00

View all tasks >

Widgets

WHAT'S ON

EventsProjectsFocus

RMB FIC Conference - RMB FIC Conference 2018
Tuesday, 3/15/2018 08:30-17:00
Grand Hyatt Hong Kong

LME Asia Week - LME Asia Week 2018

Tuesday, 3/15/2018 08:30-17:00
Hong Kong Convention and Exhibition Centre

The Stock Connect Awards - Northbound
Tuesday, 3/15/2018 08:30-17:00
One & Two Exchange Square, Central

HKEX Ring the Bell for International Women's...
Tuesday, 3/15/2018 08:30-17:00
One & Two Exchange Square, Central

View Details >

HKEX CALENDAR

< JULY 2018 >

Sun	Mon	Tue	Wed	Thu	Fri	Sat
1	2	3 通	4	5	6	7
8 📅 🔔	9	10	11 📅📅 通🔔	12	13	14
15	16	17 📅📅	18 📅	19 🔔	20	21
22	23 通🔔	24	25	26	27	28
29	30	31	Aug 1	2	3	4
5	6	7	8	9	10	11

View Detail >

RESOURCE AREA

Infrastructure

Instructions of CCASS/3 and the Central Clearing And Settlement System

PFMI

Text Text Text Text Text Text Text Text

Text Text Text Text Text Text Text Text

Rules

Text Text Text Text Text Text Text Text

Text Text Text Text Text Text Text Text



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CALENDAR & EVENTS

<

>


JULY 2018




S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	Aug 1	2	3	4
5	6	7	8	9	10	11

Show Legends


>

 HKEX EVENTS


Featured: OTC Derivatives Clearing - Preparing the ground for the derivatives deadline
10:00am - 12:00pm | Room 1904, IFC 1 | Free Admission

 TRADING OPERATIONS

H-Shars Index Futures and Options (Including Flexible Index Options) Last Trading Day/Expiry Day
Stock Futures Last Trading Day/Expiry Day

 IPO LISTING DATE

08407.HK
China Industrial Securities International Financial Group Limited

 STOCK CONNECT

Easter Monday
Hong Kong Market is closed

EVENTS

Featured Event

Registered Event

10 items

>

17

AUGUST 2018

 HKEX EVENTS


RMB FIC Conference - RMB FIC Conference 2018
HKEX's 5th Annual RMB Fixed Income & Currency Conference 2018 will take place on 12 June 2018 from 8:30am until 5pm

What : RMB FIC Conference 2018
When : Friday, 17 August 2018, 08:30-17:00
Where : Grand Hyatt Hong Kong

For enquiries, please contact us at FICDevents@hkex.com.hk
[Register Now](#)

25

JULY 2018

 HKEX EVENTS


LME Asia Week - LME Asia Week 2018
The next LME Asia Metals Seminar will be held on 17 May 2018 at the Hong Kong Convention and Exhibition Centre.

What : LME Asia Metals Seminar
When : Wednesday, 25 July 2018, 08:30-17:00
Where : Hong Kong Convention and Exhibition Center

For enquiries, please contact us at info@lmeasiaweek.com
[Register Now](#)

19

JULY 2018

 STOCK CONNECT

The Stock Connect Awards - Northbound
The Stock Connect Awards will take place on Thursday, 8 March 2018 to recognise achievements of the most active brokers on both Shanghai Connect and Shenzhen Connect.

What : HKEX Ring the Bell for International Women's Day
When : Thursday, 19 July 2018, 12:00 noon - 1:45pm
Where : HKEX Connect Hall, 1/F, One & Two Exchange Square, Central,

For enquiries, please contact us at <http://womeninetfs.com/event/HKEX2018>
[Register Now](#)

 Load more

- e-Service
- TRADE
- MARKET DATA
- POST-TRADE
- Clearing
- Settlement & Depository
- Technical Setup
- Participantship Management

- Support
- MANAGE ACCESS RIGHTS
- E-SERVICES REPORTING
- SUBMISSION

- Post-Trade Systems
- CLEARING
- COLLATERAL MANAGEMENT
- RISK MANAGEMENT
- CSD

5Tasks

6Notifications

3Events+

Classification	Details	Timestamp
Service Request	SPSA Mapping was Complete AC6_00000000	20-Dec-2017, 13:38 HKT
Service Request	SPSA Mapping was Complete AC6_00000000	20-Dec-2017, 13:38 HKT
Service Request	SPSA Mapping was Complete AC6_00000000	20-Dec-2017, 13:38 HKT
Information	A New circular titled HKSCC Paticipant is issued	20-Dec-2017, 13:38 HKT
Admin	Your application was approved by HKEX	20-Dec-2017, 13:38 HKT

View all notifications >

HKEX CALENDAR

< JULY 2018 >						
Sun	Mon	Tue	Wed	Thu	Fri	Sat
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31	Aug 1	2	3	4
5	6	7	8	9	10	11

View Details >

WHAT'S ON

Events

Projects

Focus

- RMB FIC Conference 2018**
Tuesday, 3/15/2018 08:30-17:00
Grand Hyatt Hong Kong
- LME Asia Week 2018**
Tuesday, 3/15/2018 08:30-17:00
Hong Kong Convention and Exhibition Centre
- The Stock Connect Awards - Northbound**
Tuesday, 3/15/2018 08:30-17:00
One & Two Exchange Square, Central, Hong Kong
- HKEX Ring the Bell 2018**
Tuesday, 3/15/2018 08:30-17:00
One & Two Exchange Square, Central, Hong Kong

View Details >

RESOURCES AREAS

- Infrastructure

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- PFMI

Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua.
- Rules

Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua.

Reference Number:

Status: New ▼ | ≡ Collapse

PARTICIPANT INFORMATION

Participant Name	ABC Company
Participant ID	C00999
Clearing House	HKSCC

REDEMPTION ORDER DETAILS AND AUTHORISATION FORM

Name of ETF

Type your answer here...


Stock Code

Type your answer here...

Redemption Quantity

Type your answer here...

Settlement Date

 dd-mmm-yyyy ▼

Underlying Participation Dealer

Type your answer here... ▼

CCASS Stock Account

Type your answer here...

Date: <Settlement Date>

To: HK Conversion Agency Services Limited (“HKCAS”)
Attn: The Manager

Hong Kong Securities Clearing Company Limited (“HKSCC”)
Attn: Depository Services

Re: <Stock Name> (the “ETF”) (Stock Code: <Stock Code>)

We, in the capacity as a Participant of CCASS, would like to withdraw <Redemption Quantity> units/shares of the ETF (the “Units”/the “Shares”) in book-entry form from CCASS and hereby request HKSCC to debit the Units/Shares from our stock account with CCASS, effective today. Details are as follows:
CCASS Participant ID: <CCASS Participant ID>
Name of the Participant: <Name of Participant>
Designated Stock Segregated Account No: <CCASS Stock Account>
Contact Person: <Contact Person>
Telephone / Fax No <Phone Number >

We hereby request HKCAS to procure HKSCC to upon completion of debiting our stock account with CCASS, (i) confirm the debit entry of the Units/Shares and (ii) send a copy of the confirmation in respect of the debit entry [to the Registrar to arrange the immediate cancellation of the Units with the Registrar/to the Receiving Agent and the Manager/to the Registrar through the Hong Kong Transfer Agent/Hong Kong Administrative Agent with the Registrar to arrange the immediate transfer of the legal title in the Units/Shares.

In consideration of HKCAS and HKSCC agreeing to the above, we hereby agree to indemnify HKCAS and HKSCC, their respective holding companies, subsidiaries, associate companies and/or affiliate companies and to hold each of them harmless against all actions, claims, proceedings, damages, costs and expenses (including legal costs on a full indemnity basis) which may be brought against any of the aforesaid companies or suffered or incurred by any of them as a result of or in connection with the above debiting of the Units/Shares.

☐ **We Confirm that We Understand the above terms and conditions**

Activities under CCASS are subject to the CCASS Rules and CCASS Operational Procedures, and any other relevant documents from time to time issued by HKSCC.

CONTACT INFORMATION

CONTACT 1

Name of Contact Person

Type your answer here...

Position

Type your answer here...

Email Address

Type your answer here...

Telephone Number

Text

Type your answer here...

+ ANOTHER CONTACT

CC LIST FOR THIS SUBMISSION (OPTIONAL)

Enter Email address(es) followed by return

ADD CC RECIPIENTS

Reference Number:

Status: New ▼ | Collapse

PARTICIPANT INFORMATION

Clearing House	HKSCC
Participant Name	Company ABC
CCASS Participant ID	123456

CONDITION

- ☒ For deposit and withdrawal of Jumbo Certificates by same participant for same underlying client
- ☐ Withdrawal for the purpose of enabling clients to exercise their rights as shareholders

WITHDRAWAL INFORMATION

Name of Underlying Client

Type your answer here...

Stock Name

Text your answer here...

Stock Code

Text your answer here...

ISIN

Text your answer here...

Number of Shares

Integer

Type your answer here...

Account Number

Integer

Type your answer here...

Withdrawal Date

dd-mmm-yy▼

DEPOSIT INFORMATION

Upload File

- ☒ Yes
- ☐ No

Upload

No.	Order Number	Account Number	Deposit Date	No. of Certificates Deposited	No. of Shares Deposited
1	H11112222	3	10-Apr-2018	2	100,000
2	H11112222	3	11-Apr-2018	1	200,000

OTHER SUPPORTING DOCUMENT

Supported Document

Upload

You are required to provide a certified true copy of the deposit receipt for HKEX’s reference.

CONTACT INFORMATION

CONTACT 1

Name of Contact Person

Text your answer here...

Position

Text your answer here...

Email Address

Text your answer here...

Telephone Number

Text your answer here...

ANOTHER CONTACT

CC LIST FOR THIS SUBMISSION (OPTIONAL)

Enter Email address(es) followed by return

ADD CC RECIPIENTS

APPLICATION FOR WITHDRAWAL FEE CONCESSION

Reference Number: D1_000000000

Status: **Approved** ▼ | ☰ Collapse

PARTICIPANT INFORMATION

Clearing House	HKSCC
Participant Name	Company ABC
CCASS Participant ID	123456

CONDITION

For deposit and withdrawal of Jumbo Certificates by same participant for same underlying client

REQUEST

Re: Application for concessionary withdrawal fee in respect of physical withdrawal of **500,000** shares in **LoRem**
(Stock Code:#####) under Withdrawal Order No. ##### dated **16-Apr-2018**

We refer to our withdrawal order dated **16-Apr-2018** and our application for concessionary withdrawal fee regarding the captioned shares dated **[submission date of step 2]**. We would be grateful if you could consider granting a concessionary withdrawal fee on the above stock withdrawal. A certified true copy of the withdrawal receipt is attached herewith for your reference.

We confirm that we deposited the following shares in the form of jumbo certificates into our stock account(s) with CCASS:

No.	Order Number (Deposit)	Account Number (Deposit)	Deposit Date	No. of Certificates Deposited	No. of Shares Deposited
1	H11112222	3	10-Apr-2018	2	100,000
2	H33334444	3	11-Apr-2018	1	200,000

We hereby certify that such deposited shares were beneficially owned by our client, **Lozem**, at the time of deposit and there has not been any change in the beneficial ownership between the time of deposit as stated above and the time of withdrawal on **16-Apr-2018**.

☒ We confirm that we understand and accept the above

OTHER SUPPORTING DOCUMENT —

Underlying Client Certification Letter

Underlying Client Certification Letter Receipt PDF



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to illustrate if this enough

Copy of Withdrawal Receipt

Underlying Client Certification Letter Receipt PDF



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to illustrate if this enough

You are required to provide

- (i) A letter from your underlying client certifying that there was no change of beneficial ownership of the applicable shares within the date of deposit and the date of withdrawal; and
- (ii) A certified true copy of the withdrawal receipt of the applicable shares.

CONTACT INFORMATION —

CONTACT 1

Name of Contact Person	Sam Wu
Position	Vice President
Email Address	sam.wu@qsoftware.com
Telephone Number	852 8888 8888

CC LIST FOR THIS SUBMISSION (OPTIONAL)

Emails to CC person@company.com