



**HONG KONG INTERBANK
CLEARING LIMITED**
香港銀行同業結算有限公司

**Operating Procedures for Hong Kong Trade Repository -
User Manual for Participants (Administrative Functions (ISO
20022))**

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Amendment Summary

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1.0	May 2025 (Initial Publication)	-	-
1.1	Aug 2026 (update)	Appendix A	Added Summary of UI Trade Functions (ISO 20022)

Remarks:

*Unless otherwise specified, the Section Numbers shown in the Section column refer to those of the latest version of User Manual.

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1. INTRODUCTION

The Hong Kong Trade Repository (“HKTR”) provides the service of Hong Kong Trade Repository Reporting (“HKTR-R”) as a central repository of OTC derivatives transactions. Parties who intend to report trades directly or indirectly to the HKTR-R should register at the HKTR as TR Participant before using the reporting service.

For the supported product scope under HKTR-R, please refer to the User Manual (Trade Functions) of the HKTR-R.

This Manual aims at providing users of the HKTR with guidance in performing administrative functions. Detailed steps are illustrated to facilitate users to perform administrative tasks.

The organisation and content of each section are as follows:

Section 2	System Overview of HKTR Provides the system overview of HKTR.
Section 3	Access Control and System Security Explains the access control of functions and data, and security measures adopted by the system.
Section 4	Getting Started Provides information of the HKTR User interface, standard actions and helper functions.
Sections 5 to 11	Functionalities of HKTR Provides step-by-step illustration of using the functions.

Latest version of the documents provided by HKTR (including but not limited to the following) can be referred from time to time for specific information about a particular topic:

- Operating Procedures for Hong Kong Trade Repository - User Manual for Participants (Trade Functions - Reporting Service (ISO 20022))
- Operating Procedures for Hong Kong Trade Repository - User Manual for Participants (Trade Functions - Reporting Service – Appendix (ISO 20022))
- Hong Kong Trade Repository Administration and Interface Development Guide (Reporting Service) - ISO 20022 Standard (“AIDG (Reporting Service)”)
- Hong Kong Monetary Authority OTC Derivatives Trade Repository Reference Manual (Reporting Service)

2. SYSTEM OVERVIEW OF THE HKTR

The HKTR is a browser-based system that can be accessed through SWIFTNet and/or the Internet. The HKTR allows TR Participant to:

- submit trade events for reporting purpose;
- request reports and receive notifications, and
- perform administrative functions (e.g., adding new user account or updating TR Participant details)

The HKTR basically operates in a 7x24 service window except for the time period during which the system executes scheduled tasks for batch processing and housekeeping.

For the details of service window, corresponding outage periods and related functions to be taken notice of, please refer to the Trade Functions – Reporting Service.

2.1 Operational Structure Summary

The operational structure of the HKTR is divided into the following levels:

- (1) Central Organisation
- (2) TR Participant/ TR Business Entity/ Agent
- (3) Service Role
- (4) User
- (5) Role
- (6) Action Right/ Event Group/ Report Access Control

2.2 Central Organisation

The Hong Kong Monetary Authority (“HKMA”) and Hong Kong Interbank Clearing Limited (“HKICL”) are the Central Organisations (“CO”) of the HKTR. CO Users can access administrative functions to monitor daily operations and scheduled tasks. Trade data are visible to CO to facilitate their operational responsibilities. However, manipulation of any trade data by CO is prohibited.

2.3 TR Participant/ TR Business Entity/ Agent

2.3.1 TR Participant

TR Participants are entities who use the reporting service of the HKTR, and are required to register with the HKMA beforehand. Each TR Participant is able to access to HKTR and is identified by a unique Participant ID.

There are three types of TR Participant that are identified by Service Role in the HKTR: (i) Trading Participant, (ii) Trading Participant Agent and (ii) Non-trading Participant Agent.

2.3.2 TR Business Entity

The HKTR predefines this type of entity for entity identification purposes in the HKTR. TR Business Entity, unlike TR Participant, does not have access to the HKTR but processes a unique TR Entity ID.

2.3.3 Agent

There are two types of Agent that are identified by Service Role in the HKTR: (i) Trading Participant Agent and (ii) Non-trading Participant Agent.

Each TR Participant can appoint more than one Agent for each asset class and the Agent can only handle the trades of the assigned asset class(es) and service(s). On the other hand, an Agent can serve more than one TR Participant.

2.4 Service Role

Service Role is used to define whether the TR Participant can perform trade submission or trade manipulation for itself, on behalf of other trade party or TR Participant, or to appoint Agent(s) to handle its trade. Each Service Role is uniquely defined in different service.

There are three types of Service Role: Trading Participant, Trading Participant Agent and Non-trading Participant Agent.

2.4.1 Trading Participant

A Trading Participant can submit trades directly to the HKTR, appoint Trading Participant Agent or Non-trading Participant Agent to submit trades on its behalf and act as the Originating Party of other trade parties.

2.4.2 Trading Participant Agent

A Trading Participant Agent can submit trades directly to the HKTR, appoint Agents to submit trades on its behalf, act as the originating party of other trade parties and act as the Agent of other TR Participants.

2.4.3 Non-trading Participant Agent

A non-trading Participant Agent can only act as an Agent to submit or manipulate trades on behalf of other TR Participants. The Non-trading Participant can neither submit its own trades nor appoint another agent.

2.5 Originating Relationship

The HKTR enables an originating relationship to be set up uniquely between an originating party and a trade party only if the followings can be fulfilled.

1. The originating party is either (i) a Trading Participant or (ii) a Trading Participant Agent; and
2. The trade party is either (i) a TR Business Entity or (ii) a Non Trading Participant Agent.

2.6 User

Users are individuals who access the system to conduct operational or administrative activities according to the Action Rights assigned to them. A TR Participant may consist of multiple Users. Once a TR Participant is set, two administrative Users will be created in the system automatically. These administrative Users may create new Users and assign them with appropriate Roles and/or Action Rights via online functions.

2.7 Role

Role can be used to define the functions and action rights available to Users with similar authority. Definition of a Role consists of the following three attributes:

- Action Right – actions that a User can perform in a particular function (refer to Appendix B.1 to B.2 for the lists and grouping of Action Rights)
- Event Group – group of audit event(s) that is/are visible to the User
- Report Access Control – list of system report(s) that the User may request or view

The incorporation of Action Right, Event Group and Report Access Control into Role simplifies the process of user account set up. Instead of assigning Action Right, Event Group and Report Access Control to Users one by one, a few generic Roles have been defined for allocation to Users who have similar job duties.

There are two types of Roles: (a) System Pre-defined User Role and (b) Participant Level Role:

(a) System Pre-defined User Role

System Pre-defined User Role consists of certain basic functions that are provided to all Users automatically upon user account creation and cannot be de-allocated from Users. These functions include:

- Login
- Logout
- View User Account
- Change User Password

Refer to Appendix B.3 for the list of System Pre-defined User Role.

(b) Participant Level Role

Each TR Participant may create Roles exclusively for Users of the TR Participant.

When multiple Roles are assigned to a User, the effect is cumulative. The User will possess the aggregate of Action Rights/Event Group/Report Access Control in the Roles assigned.

Action Right, Event Group, Report Access Control or Roles are independent of asset class, base product or sub-product type.

3. ACCESS CONTROL AND SYSTEM SECURITY

3.1 Functions Access Control

3.1.1 User Account

User account has to be enabled before a User can access functions of the HKTR according to the Roles and Action Rights assigned to them.

3.2 Data Visibility Control

3.2.1 TR Participant Data Visibility

The following participant data are viewable by users of that TR Participant:

- Participant details
- Users
- Audit trails
- Reports
- Approval requests pending for approval
- Notifications

The visibility of service information is controlled by the allocation of service to user, given that the service has already been subscribed by that TR Participant. When the user is allocated with the subscribed service and corresponding roles, the user can view the associated information.

3.2.2 Audit Event Visibility

The HKTR maintains a record of business and administrative activities for each TR Participant conducted under the subscribed service for audit trail requirement. Activities such as trade maintenance, parameter maintenance, and security actions will be covered. TR Participant can enquire the audit details through event logs and reports.

3.2.3 Report Data Visibility

The visibility of System Reports and User Requested Reports is controlled by Role definition and allocation of Roles to Users. User can only view the System Reports and User Requested Reports of his/her organisation, provided that he/she has been granted the corresponding Report Access Control.

Only the initiated User can view the User Requested reports.

3.3 System Security Control

Apart from the structural access control at Participant level, the following controls apply at User level:

- (a) Login and password-based User authentication,
- (b) Password Policy,
- (c) Maker-Checker Regime on User Password Change,
- (d) User Status,
- (e) Function Accessibility,
- (f) SWIFTNet User Authentication,
- (g) Internet User Authentication Using SSL Client Certificates
- (h) SWIFT User Account Association and Disassociation

3.3.1 Login and Password-Based User Authentication

User can access the HKTR through one of the following channels:

- SWIFT WebAccess (requiring prior login to SWIFTNet through SWIFT Alliance Web Platform (AWP) / Personal Token)
- Internet
- HKICL intranet (under contingency)

For access to the HKTR through SWIFTNet, User is authenticated by SWIFT on behalf of HKTR. User is required to enter the password associated with his/her SWIFT user account on the SWIFT WebAccess login web page.

For access to the HKTR through Internet, User is required to enter the Participant ID, user name and password on the logon screen of HKTR.

3.3.2 Password Policy

The following password policy applies to all Users:

- Password length must be between 8 to 12 characters;
- Password must consist of alphabetical characters, numbers and special characters;
- Repetition of characters within the password is limited to a maximum of 3 consecutive or non-consecutive characters;
- Password expiry period is 60 days;
- Users are prompted to change their passwords 10 days before the password is expired. The alert message is displayed after User has successfully logged in;
- Usage of the previous 10 passwords are disallowed;
- User accounts are disabled after 3 unsuccessful logon attempts. The count of unsuccessful logon attempts is reset to zero after the successful logon of the User;
- Forced password change for initial use (at time of first logon by User);
- Forced password change for the first use after a change of password by another User;

- Enable User to change his/her own password.

Validations related to User password expiry are skipped when User logs in to the HKTR through SWIFTNet channel.

3.3.3 Maker-Checker Regime on User Password Change

Account user which is granted with the right of password changing can change the password for other account user within the participant. And each participant is allowed to determine whether approval is required for changing password for other account.

The participant can choose to turn on or off the approval function by modifying the approval configuration via the “Maintain Participant Details” UI function.

Once the approval function is turned on, any password change for other account users becomes effective only after the action is approved with the “Approve Parameter Maintenance” UI function.

It does not apply to changing password for own account.

If there is any pending approval record, the password cannot be further updated by other administrator. However, the account owner is able to do so. When the password was changed by the account owner, the pending approval record becomes invalid. The pending approval record should be rejected manually.

If the pending approval record is successfully approved by other user, the password is updated. The status of the pending approval record becomes "Approved", no further action on the record is allowed. The account owner is required to use the new password to login HKTR.

3.3.4 User Status

The following two User status affect the accessibility to the HKTR:

- (a) Enabled
- (b) Disabled (i.e. User cannot login to the Application)

Once a User account is disabled, the respective User status has to be reset to “Enabled” in “User List” function in order to allow the User to login to the HKTR.

3.3.5 Function Accessibility

The accessibility to HKTR functions is controlled by the Role that is assigned to each User. Roles can be created for and assigned to Users by using “Add Role” and “Add User Account” functions respectively. Please refer to Section 7.1 and 7.4 for “Add User Account” and “Add Role” functions respectively.

3.3.6 SWIFTWebAccess User Authentication

When a SWIFT user logs in HKTR-R system via SWIFT WebAccess service by accessing the application URL over SWIFT WebAccess, the User is presented with a SWIFT WebAccess login screen (rather than HKTR-R system's application login interface in the case of Internet channel). After User inputs his/her SWIFT login credential, SWIFT returns the user authentication response message to HKTR. If the SWIFT user account has already linked up with a User account, the login is successful. If the association has yet been made, the User will be redirected to the SWIFT User Account Association page to link up his/her User account and SWIFT user account. SWIFT does not allow the sharing of one single SWIFT user certificate among multiple Users in the sense that each User account (inter and intra Participant group) must be associated with an unique SWIFT user account.

3.3.7 Internet User Authentication Using SSL Client Certificates

Users that access the HKTR via the Internet are required to be authenticated on using an SSL Client certificate. This is configured using the "Maintain User Account" function.

At the time of User logon, in addition to entering the User's Participant ID, user name and password, the User's SSL certificate is retrieved and forwarded to the HKTR with the logon request.

The following credentials of the User's certificate are validated:

- The User's certificate is checked for expiry;
- The certificate must be signed by a Certification Authority (CA) that is designated as a trusted CA;
- The certificate is checked against the consolidated list of revoked certificates maintained in the HKTR.

If the above validation fails, the login request is rejected.

3.3.8 SWIFT User Account Association and Dissociation

"SWIFT User Account Association" web page will be invoked for the user to associate the currently used SWIFT user with HKTR-R application user profile if the association has yet been made. Participant ID, user name and password are required to associate the SWIFT user account with a User account in HKTR. For more information, please refer to section 4.1.2 "SWIFT User Account Association Function".

TR Participant administrator can remove the SWIFT user account association using the "Maintain User Account" function. Once the association is removed, the User is required to associate his/her SWIFT user account again when login to the HKTR.

3.4 User Session Control

3.4.1 Browser Session Timeout Control

The default browser session timeout that applies to all TR Participants is set to 15 minutes by default. TR Participant can modify this, with maximum and minimum value of 60 minutes and 1 minute respectively, to suit its own requirement. If the User is inactive for a period of time that exceeds the session timeout, the User is logged off from the HKTR.

The same TR Participant session timeout applies to access to the HKTR through the SWIFTNet environment and through the Internet.

The Browser Session Timeout is applied to the User's session when the User logs on. Any changes to this value are applicable to the User at the next log in.

3.4.2 SWIFT WebAccess and Internet Browse Session Management

A User can only have one active session at any point in time in HKTR. Concurrent access using the same channel or different channel is not allowed:

- the existing browser session is terminated if the same User performs a login activity on the same or different workstation;
- if the User's workstation encounters a system error and the User requests a login from another workstation, the previous session is terminated;
- the User is prompted for confirmation on the termination of the previous session if the User requests a re-login and has been successfully authenticated.

3.4.3 Forced User Logout

TR Participant administrator with an appropriate Role allocation has the right to disable a User account and force any User to log out from the HKTR.

3.5 Local Terminal Service

In the event that TR Participants cannot access the HKTR for some reasons, HKICL would provide backup terminal service, i.e. Local Terminal Service ("LTS"). LTS supports TR Participants to use the HKTR via HKICL's local terminals installed at HKICL's premises. TR Participants who request LTS may use their own user accounts and passwords to logon to the HKTR at HKICL as if they logon to the HKTR in their offices via their own access channel.

LTS requires no SWIFT's user certificate and SSL Client certificate but still provides same functionality and same access rights to Users, except that the access channel is different. All user activities initiated by TR Participants via LTS will be handled in the same manner.

LTS is offered to the HKMA and all TR Participants as a standard feature for operating the HKTR under contingency. LTS is also available at HKICL's backup site when HKICL is switched to operate at its backup site. Users who activate LTS will share the use of available computers on a first-come-first-served basis.

There is no subscription fee for LTS, but HKICL would recover the effort to be spent by its staff on an hourly rate basis to assist TR Participants in using LTS for live production and periodic drills.

It should be noted that LTS is not a substitute of TR Participants own backup facilities, and TR Participants should rely on their own backup facilities to ensure robust operations.

4. GETTING STARTED

4.1 Login

4.1.1 Internet Login

(i) Sample Screen

Users are required to login the HKTR by using their Participant ID, User ID and password.

Internet Login



Hong Kong Trade Repository

A sample login screen for the Hong Kong Trade Repository. The background is dark purple. In the center, there are three white input fields. The first is labeled "Participant:", the second "User ID:", and the third "Password:". Below these fields is a blue button with the word "Login" in white text.

The programs and data held on this system are the property of the Hong Kong Monetary Authority (HKMA), and are lawfully available to authorised users for official purposes only. Access to any data on this system must be authorised by the HKMA only.

After successful login, the main screen will display welcome message, last login date and time, and last login status.

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The following screen will be displayed when User whose password has expired or has been reset. It is required to change the password immediately after login. For more details, please refer to Section 8.1 “Change User Password” function.

(ii) Field Description

Field	M/O/D*	Description
Login screen		
Participant	M	- ID of the TR Participant of which the User belongs to - Participant ID is not case-sensitive
User ID	M	- User ID for User to login - User ID is not case-sensitive - Unique identifier for each TR Participant
Password	M	- Password for User to login - Password is case-sensitive - Input characters are masked with “•”

* Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

1. Enter the Participant ID.
2. Enter the User ID.
3. Enter the Password.
4. Click <Login> button to login to the HKTR. If verification of User ID and password fails, error message is displayed.

4.1.2 SWIFT User Account Association Function

(i) Sample Screen

This function displays when User first logs in to the HKTR through the SWIFT WebAccess channel. It is used to associate the SWIFT user account and the HKTR User account.



The screenshot shows the 'SWIFT User Account Association' interface. At the top left is the Hong Kong Monetary Authority logo and text. The main title is 'Hong Kong Trade Repository'. Below it, the form title 'SWIFT User Account Association' is centered. The form contains three labeled input fields: 'Participant:', 'User ID:', and 'Password:', each with a yellow input box. A blue 'Associate' button is positioned at the bottom center of the form.

(ii) Field Description

Field	M/O/D*	Description
SWIFT User Account Association screen		
Participant	M	▪ ID of the TR Participant of which the User belongs to ▪ Participant ID is not case-sensitive
User ID	M	▪ User ID for User to login ▪ User ID is not case-sensitive ▪ Unique identifier for each TR Participant
Password	M	▪ Password for User to login ▪ Password is case-sensitive ▪ Input characters are masked with “•”

(iii) Processing Steps

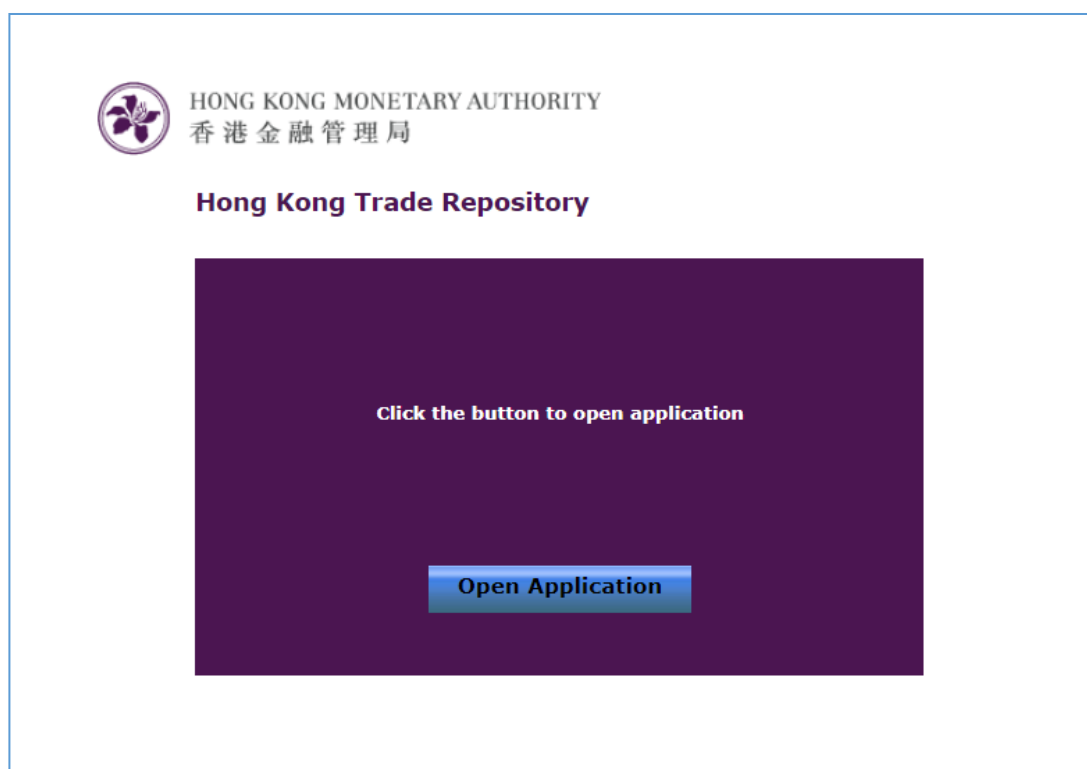
1. Enter the Participant ID.
2. Enter the User ID.
3. Enter the Password.
4. Click <Associate> button to log in to the HKTR. If the verification is successful, the SWIFT User Account Association is established, and the User gets access to the applications allocated to his/her profile. If the association fails, the User is informed of the failure.

4.1.3 Splash Screen

(i) Sample Screen

This is the first screen displayed when user enter HKTR by Chrome. This screen can navigate to next login web page.

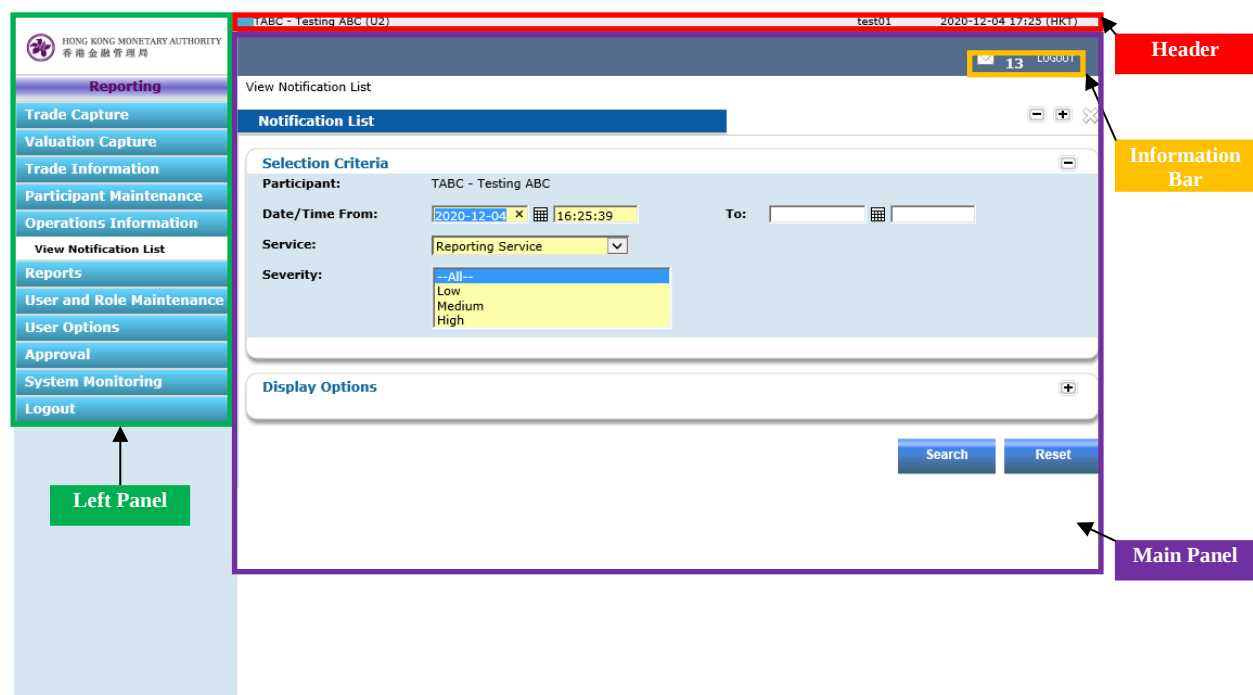
But this screen is not applicable to web browsing flow through SWIFT WebAccess service even using Chrome web browser since the initial authentication flow follows SWIFTNet WebAccess specific way before the user access the TR application's main screen.



(ii) Processing Steps

1. Click on “Open Application”. The action invokes a new main application window loading the login web page. After the main web application window is invoked, the current window is switched to the main application window already existed rather than invoking a new main application window.

4.2 Screen Layout Description



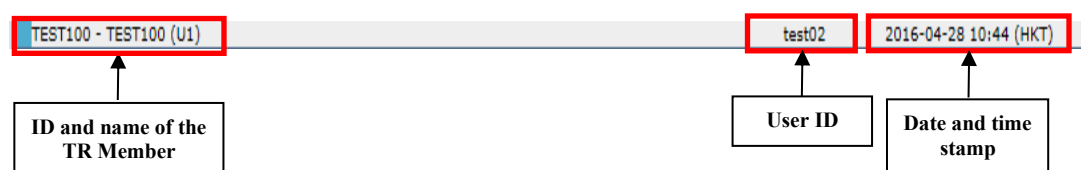
The screen layout is divided into the following areas with different content:

Area	Content
Header	The ID and name of TR Participant, User ID, date and time stamp
Information Bar	Notification Alert and Logout icon
Left Panel	HKMA logo and name, system name and navigation menu
Main Panel	Workplace of HKTR

4.2.1 Header

The header displays (a) the ID and name of TR Participant, (b) User ID, and (c) date and time stamp.

(i) Sample Screen



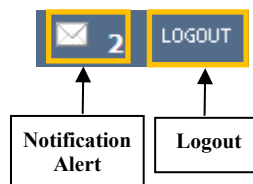
(ii) Item Description

Item	Description
TR Participant	Display TR Participant's ID and name
User ID	The login User ID
Date and time stamp	- Date format: YYYY-MM-DD - Time format: HH:MM (HKT)

4.2.2 Information Bar

The Information Bar shows the notification alert and logout function to User.

(i) Sample Screen



(ii) Item Description

Item	Description
Notification Alert	- Indicate the receipt and number of new notification - Click to view the new notification in “View Notification List” function
Logout	Click to logout the system

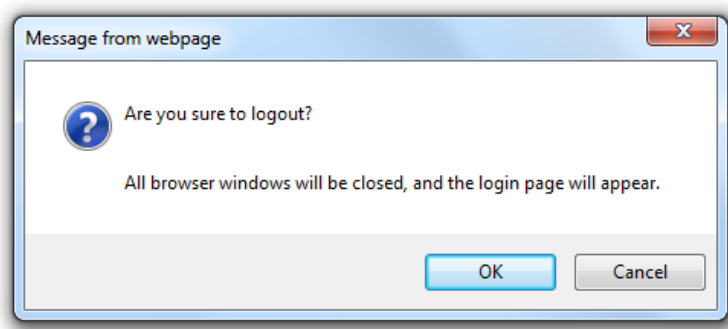
(iii) Processing Steps

➤ Notification Alert – view the new notification

- Click the “Notification Alert” icon (.
- “View Notification List” function is initiated.

➤ Logout

- Click the “Logout” icon (.
- Click “OK” to confirm in the pop-up message dialog box.



3. User logout the HKTR and login screen is shown.

4.2.3 Left Panel

Left Panel displays (a) HKMA logo and name, (b) service name (i.e. “Reporting” service that a user is currently using) and (c) navigation menu.

(i) Sample Screen



(ii) Item Description

Item	Description
HKMA Logo and Name	▪ The logo and name of HKMA
Service Name	▪ Name of the service provided to user (i.e. “Reporting”) ▪ Only the service subscribed by the TR Participant will be shown
Navigation Menu	▪ Display the functions that User can access ▪ The navigation menu and the function list are shown in Appendix A.1
Sub-menu	▪ Display the sub-menu that User can access ▪ The menu and the function list are shown in Appendix A.1

(iii) Processing Steps

User can perform the following actions in the Left Panel:

➤ **Navigation Menu – expand the sub-menu/access functions**

1. Click the navigation menu to open the sub-menu.

Or

Initiate the function if sub-menu is not available (e.g. Logout).

➤ **Sub-menu – access the functions**

1. Click the sub-menu to initiate the corresponding function.

4.2.4 Main Panel

The Main Panel displays the workplace of the functions initiated. Breadcrumb trail which shows screen title and navigation path is provided.

(i) Sample Screen

The screenshot shows the 'Notification List' screen. Annotations point to various UI elements:

- Breadcrumb Trail:** Points to the 'Notification List' header.
- Screen Title:** Points to the 'Selection Criteria' sub-header.
- Common Function Icons:** Points to a set of icons (minus, plus, print, refresh, close) in the top right.
- Expand/Collapse Field Group:** Points to a plus icon in the top right of the selection criteria section.
- Action Button:** Points to the 'Search' and 'Reset' buttons.
- Page Navigation:** Points to the 'Page 1 of 1' indicator and navigation arrows.
- Hyperlink Action:** Points to the 'TESTING' link in the notification list table.
- Field Group Name:** Points to the 'Notification List' table header.

The selection criteria section includes fields for Participant (TABC - Testing ABC), Date/Time From (2020-12-04 16:25:39), To, Service (Reporting Service), and Severity (All, Low, Medium, High). The notification list table has columns: Alertable, Severity, Service, Short Description, and Creation Time. A sample notification is shown with Severity 'L', Service 'Reporting Service', Short Description 'TESTING', and Creation Time '2020-12-04 17:29:33'.

(ii) Item Description

Item	Description
Breadcrumb trail	Display the navigation path for the current function screen
Screen Title	Title of current function screen
Common Function Icons	The visibility of the common function icons depends on the availability for each screen function. For more details, please refer to the Appendix A.1
Field Group Name	The name of the expand/collapse field group
Expand/Collapse Field Group	User can process their operation in this field group which can be expanded or collapsed
Action Button	Action that is supported in this function
Hyperlink Action	Action that is supported in this function
Page Navigation	Allow User to navigate among the pages

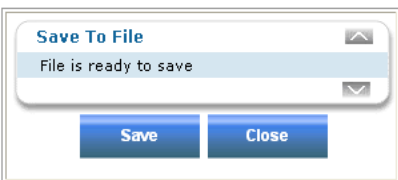
(iii) Processing Steps

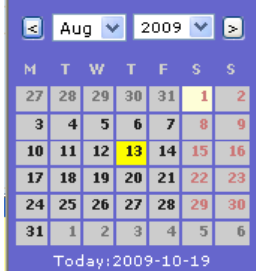
The details of the action button/hyperlink will be described in the processing steps of the corresponding functions. The other screen features are described in the following Section "Icon Actions".

4.3 Icon Actions

The visibility of screen icons is based on different screen functions. User can click different icons to initiate different actions as mentioned below.

4.3.1 Icon Description

Icon	Description
	- Allow User to save the report in CSV format. - The following pop-up message dialog box is shown for the User to save the report. User can click  or  icon shown in the pop-up to move the pop-up upward or downward so as to avoid blocking any data on the screen.  - The availability of this icon is shown in Appendix A.2.
	- Allow User to trigger the browser printer function to print the current screen. - The availability of this icon is shown in Appendix A.2.
	- Refresh the current screen. - The availability of this icon is shown in Appendix A.2.
	- Navigate to the previous screen without refreshing the content of the previous screen. - The availability of this icon is shown in Appendix A.2.
	- If this icon is shown in Common Function Icons area: - Expand all field groups shown in the screen. - If this icon is shown at the top right corner of the field groups: - Expand the corresponding field group in the screen.
	- If this icon is shown in Common Function Icons area: - Collapse all field groups shown in the screen. - If this icon is shown at the top right corner of the field groups: - Collapse the corresponding field group in the screen.
	Logout the HKTR or close the current function screen as the case may be.

Icon	Description
	User can select the date in the calendar and the corresponding field will be filled in with the selected date. 
	Initiate the "Select Participant Helper" function.
	Navigate the next page in the multi-page enquiry result.
	Navigate the previous page in the multi-page enquiry result.
	Navigate the last page in the multi-page enquiry result.
	Navigate the first page in the multi-page enquiry result.

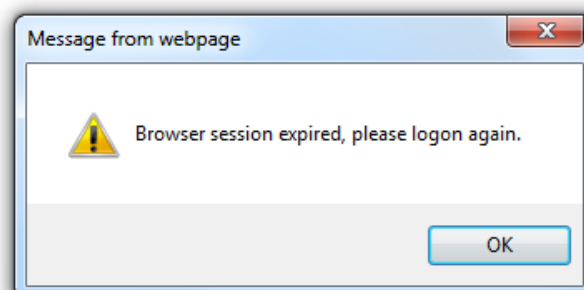
4.4 Common Screen

4.4.1 Message Windows

The HKTR delivers different message types in terms of (a) Informative Message, (b) Confirmation Message and (c) Error Message.

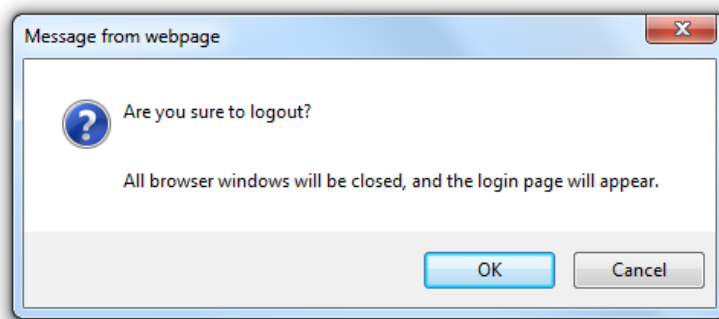
4.4.1.1 Informative Message

Informative message is shown in a pop-up message dialog box with  icon. User can click "OK" to confirm the receipt of informative message.



4.4.1.2 Confirmation Message

Confirmation message is shown in a pop-up message dialog box with  icon. User can click “OK” to accept the confirmation message or “Cancel” to reject.



4.4.1.3 Error Message

There are two types of error message relating to (a) data and business validation or (b) format validation.

(a) Data and business validation error message

Error Message
F1512: Value Date From must be before Value Date To.

- Error message is shown at the top left corner of the screen.

(b) Format validation error message

Generated Time From sdfsdf **F1002: Generated Time From invalid time.**

- Error message is shown in the bubble text which is next to the field with incorrect format input.

4.4.2 Parameter Update Result Screen

The User is informed about the results of parameter update requests. User can approve or reject the pending approval request and the approval or rejection result is shown in this function.

(i) Sample Screen

Parameter Maintenance - Approve Results			
System Response			
Result	Reason Code	Update Type	Identifier
Failed	TA0018	Change Participant Details	TEST100

(ii) Field Description

Field	Description
Result	▪ The processing result of the request ▪ Possible values: • Completed • Failed
Reason code	▪ Reason code of the rejection ▪ Applicable only if the result is 'Failed'
Request Type	▪ The update type of the request (Refer to Appendix D.1 for the value of parameter update request)
Identifier	▪ The value of identifier (Refer to Appendix D.1 for details) ▪ Hyperlink is provided to view the detail of the parameter update

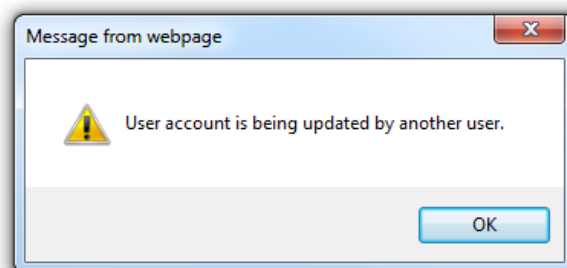
(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink – view the reason code and description**

- *Applicable to request with “Rejected” result only.*

1. Click the “Reason code” field.
2. A pop-up dialog box showing the error message is displayed. Refer to the sample below.



➤ **Return – return to the previous screen**

1. Click <Return> to back to the previous screen.

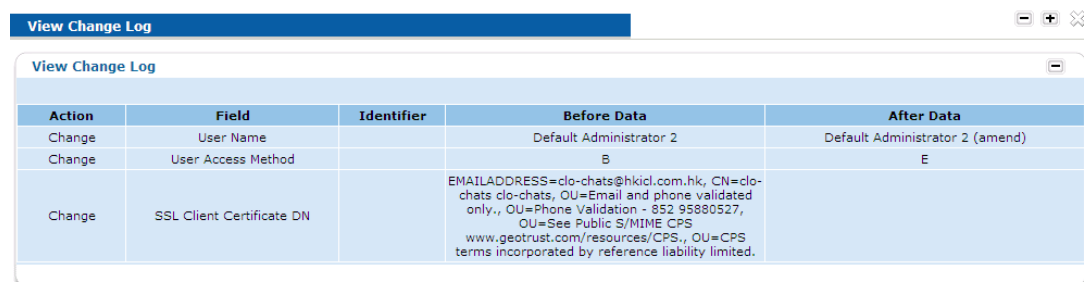
4.4.3 Change Log

This function provides User the values before and after “Add”, “Change” and “Delete” action of the pending approval request.

This function is initiated from

- “Approve Parameter Maintenance” function
 - *by clicking the “Identifier” field in the list and then click <View Change Log> in the corresponding view functions.*

(ii) Sample Screen



Action	Field	Identifier	Before Data	After Data
Change	User Name		Default Administrator 2	Default Administrator 2 (amend)
Change	User Access Method		B	E
Change	SSL Client Certificate DN		EMAILADDRESS=clo-chats@hkicl.com.hk, CN=clo-chats clo-chats, OU=Email and phone validated only., OU=Phone Validation - 852 95880527, OU=See Public S/MIME CPS www.geotrust.com/resources/CPS., OU=CPS terms incorporated by reference liability limited.	

(iii) Field Description

Field	Description
Action	▪ Possible values: • Add (The field value is newly added) • Change (The field value is updated) • Delete (The field value is removed)
Field	▪ Display the screen field name in the format [Name of the field group] – [screen field name]
Identifier	▪ Show further information when the information shown under “Field” column cannot clearly indicate which field is referring
Before Data	▪ The field value before the change ▪ This field is blank for “Add” action
After Data	▪ The field value after the changes ▪ This field is blank for “Delete” action

4.5 Sorting

The sorting feature is provided in the summary list of the search result. User can pre-define the sorting priority and order for certain functions. Some functions are sorted by default priority and order.

4.5.1 Default Sorting Priority and Order

There are two types of default sorting which is either pre-defined by the system (i.e. Default Value Sorting) or by the User (i.e. User Preference Sorting).

4.5.1.1 Default Value Sorting

For certain functions (e.g. View Report List), the result in the summary list is sorted by the default value. The sorting priority starts from the column(s) shown from the left to right and the sorting order of all columns are in ascending order (except “View Event Log” function of which events are shown in descending chronological order) of which User cannot alter the sorting priority in the search criteria.

4.5.1.2 User Preference Sorting

User can choose the sorting priority and order when User selects the search criteria in certain functions. The initial sorting criteria are shown in the “Display Options” field group.

(i) Sample Screen

The screenshot shows a 'Display Options' window with a light blue header and a white body. At the top, there is a 'Records Per Page' dropdown menu set to '25'. Below this, the 'Sorting Order' section is active, showing 'Available Fields' on the left and 'Selected Fields' on the right. The 'Available Fields' list contains 'Alertable', 'Severity', and 'Creation Time'. The 'Selected Fields' list is currently empty. Between the two lists, there are radio buttons for 'Asc' (selected) and 'Des', an 'Add >>' button, and a '<< Remove' button. To the right of the 'Selected Fields' list are 'Move Up' and 'Move Down' buttons. At the bottom right of the window, there are two buttons: 'Search' and 'Reset'.

(ii) Field Description

Field	M/O/D*	Description
Display Options		
Records Per Page	M	▪ Records to display per page ▪ Possible selections: • 10 • 15 • 25 (default) • 35 • 50
Sorting Order		
Available Fields	O	▪ Display the supported sorting column ▪ For the values of the available fields, refer to the corresponding functions field description section
Order Options	M	▪ Allow User to prioritize the sorting order of the selected sorting column ▪ Possible selections: • Ascending (i.e. “Asc”) • Descending (i.e. “Des”)
Selected Fields	O	▪ Display the selected sorting column ▪ Upper position in the list means higher sorting priority

* Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Add – Add the column name to the selected fields**

1. Select one or multiple column names in the available field list.
2. Select the “Asc” or “Des” order option for ascending/ descending order on the captioned field(s).
3. Click  to add the selected field(s) to the selected field list.

➤ **Remove – Remove the column names from the selected fields**

1. Select one or multiple column name in the selected field list.
2. Click  to remove the selected field(s) from the selected field list.

➤ **Move up – change the selected column to higher priority**

1. Select one column name in selected field list.
2. Click  to change the selected sorting column to higher priority.

➤ **Move down – change the selected column to lower priority**

1. Select one column name in selected field list.
2. Click  to change the selected sorting column to lower priority.

4.6 Helper Functions

4.6.1 Select Participant Function

The “Select Participant” helper function  is offered to assist User to search specific HKTR entities.

This function lists all the HKTR entities that meet the selection criteria. Once an HKTR entity is selected, the HKTR entity will be shown in the corresponding field in the initial function.

This function is initiated from the following functions by clicking the “Helper Function” icon  in the specific field:

Initial Function	 for
Find Trade	Participant Reporting For, Participant Reporting For (Original Input Code), Counterparty and Counterparty (Original Input Code) Fields
Find Trade Event	Participant Reporting For, Participant Reporting For (Original Input Code), Counterparty and Counterparty (Original Input Code) Fields
Find Alleged Trade Event	Participant Reporting For, Originator and Originator Reporting For Fields
Find Valuation Action Request	Participant Reporting For, Participant Reporting For (Original Input Code), Counterparty and Counterparty (Original Input Code) Fields

4.6.1.1 Selection Criteria

(i) Screen

The screenshot shows a web application window titled "Select Participant". Inside, there is a "Selection Criteria" section with the following fields and controls:

- Participant ID: Text input field
- Participant Short Name: Text input field
- Legal Entity ID (LEI): Text input field
- CFTC Interim Compliant Identifier (CICI): Text input field
- HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.: Text input field
- HK Business Registration No. (BRN): Text input field
- Participant Type: Dropdown menu with "--All--" selected
- Service: Dropdown menu with "--All--" selected
- Service Role: Dropdown menu with "--All--" selected
- Participant Status: Dropdown menu with "--All--" selected

Below the selection criteria is a "Display Options" section with a "+" icon. At the bottom right of the window are three buttons: "Search", "Reset", and "Close".

(ii) Field Description

Field	M/O/D*	Description
Selection Criteria		
Participant ID	O	- The ID of the specific HKTR entity - Wildcard search is supported
Participant Short Name	O	- The short name of the HKTR entity - Wildcard search is supported
Legal Entity ID (LEI)	O	- The Legal Entity ID of the specific HKTR entity - Wildcard search is supported
CFTC Interim Compliant Identifier (CICI)	O	- U.S. Commodity Futures Trading Commission (CFTC) Interim Compliant Identifier of the HKTR entity - Wildcard search is supported
HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.	O	- HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the HKTR entity - Wildcard search is supported
HK Business Registration No. (BRN)	O	- The HK Business Registration No. (BRN) No. of the HKTR entity - Wildcard search is supported
Participant Type	M	- Participant type of the HKTR entity - Possible values: - All (default) - Participant

Field	M/O/D*	Description
Service	M	▪ Service subscribed by the HKTR entity ▪ Possible values: • All (default) • Reporting Service
Service Role	M	▪ Role of the HKTR entity in the Service subscribed ▪ Possible values: • All (default) • Non-trading Participant Agent • Trading Participant • Trading Participant Agent
Participant Status	M	▪ Participant status of the HKTR entity ▪ Possible values: • All (default) • Active • Closed
Display Options		
Refer to Section 4 “Getting Started” for field details and processing steps of Display Options.		

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

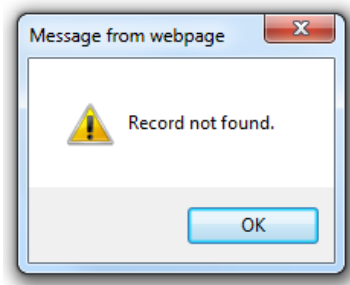
(iii) Processing Steps

User can perform the following actions:

➤ Search

1. (Optional) Enter the Participant ID.
2. (Optional) Enter the Participant Short Name.
3. (Optional) Enter the Legal Entity ID (LEI).
4. (Optional) Enter the CFTC Interim Compliant Identifier (CICI).
5. (Optional) Enter the HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.
6. (Optional) Enter the HK Business Registration No. (BRN).
7. (Optional) Click the “Participant Type” drop-down list to select a participant type.
8. (Optional) Click the “Service” drop-down list to select a service.
9. (Optional) Click the “Service Role” drop-down list to select a service role.

10. (Optional) Click the “Participant Status” drop-down list to select a participant status.
11. Click <Search> button.
12. Participant(s) which match(es) with the selection criteria is/are displayed. If no Participant is found, the following pop-up message dialog box will be displayed.



➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

4.6.1.2 Search Result of Select Participant

(i) Screen

Select	Participant ID	Participant Short Name	Legal Entity ID (LEI)	CFTC Interim Compliant Identifier (CICI)	HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.	HK Business Registration No. (BRN)	Participant Type	Service	Service Role	Participant Status
☐	COAI	COAI	LEICOAI	CICI COAI	CIRC COAI	BRN COAI1	Participant	Reporting Service	Trading Participant	Active

(ii) Field Description

Field	M/O/D*	Description
Participant List		
Select	M	- Checkbox for selecting one or more HKTR entities - At least one checkbox must be selected
Participant ID	D	ID of the HKTR entity
Participant Short Name	D	Short name of the HKTR entity
Legal Entity ID (LEI)	D	Legal Entity ID of the HKTR entity
CFTC Interim Compliant Identifier (CICI)	D	U.S. Commodity Futures Trading Commission (CFTC) Interim Compliant Identifier of the HKTR entity
HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.	D	HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the HKTR entity
HK Business Registration No. (BRN)	D	The HK Business Registration No. (BRN) No. of the HKTR entity
Participant Type	D	- Participant type of the HKTR entity - Possible values: - Participant - TR Business Entity
Service	D	- Service subscribed by the HKTR entity - Possible value: - Reporting Service - For Participant Type “TR Business Entity”, blank will be shown

Field	M/O/D*	Description
Service Role	D	▪ Role of the HKTR entity in the Service subscribed ▪ Possible values: • Non-trading Participant Agent • Trading Participant • Trading Participant Agent ▪ For Participant Type “TR Business Entity”, blank will be shown
Participant Status	D	▪ Participant status of the HKTR entity ▪ Possible value(s): • Active • Closed

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ Select

1. Select one or more HKTR entities by clicking the corresponding checkbox of the HKTR entities.
2. Click <Select> button.
3. The corresponding initial function is displayed with the ID(s) of the selected HKTR entities in respective field for further processing.

➤ Close (i.e. close the helper function page without performing any other action)

1. Click <Close> button.

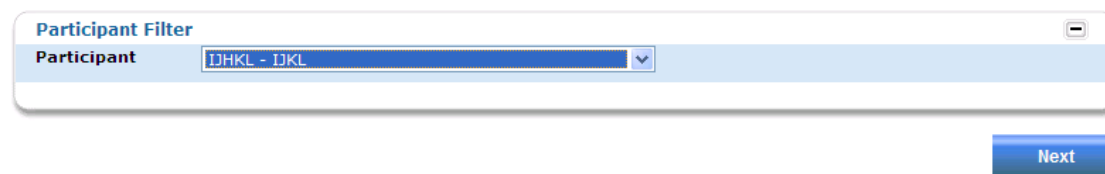
4.6.2 Participant Filter Function

The “Participant Filter” helper function is offered to assist User (who is an Agent of other TR Participants) to select a specific TR Participant.

This function is initiated when User accesses the following functions:

- Find Trade
- Find Trade Event
- Find Unmatched Trade Event
- Find Alleged Trade Event
- Find Valuation Action Request
- Approve Trade Action Request

(i) Screen



(ii) Field Description

Field	M/O/D*	Description
Participant Filter		
Participant	M	▪ ID and short name of the TR Participant

* Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following action:

➤ **Next (i.e. to return the selected TR Participant to the initial function)**

1. Click the list-box of “Participant” to select a TR Participant.
2. Click <Next> button.
3. The selected TR Participant is returned to the corresponding initial function for further process.

4.7 Wildcard Search

Wildcard search is provided to facilitate searching with particular fields in certain functions, e.g. Role Name and Role Description in “View Role List” function.

Example:

A User would like to search the Role with name “Role123”.

The User can input “Rol*3” in Role Name field in “View Role List” function which support wildcard search, where “*” can mean “no” or any characters between “Rol” and “3”.

Possible search results: Rol3, Rol23, Role123, etc.

The symbol “*” can be put before the search word, between the characters or after the word. Anyway, only one “*” can be used for each search.

4.8 Trimming of Leading and Trailing Spaces

All input fields of the events submitted will have the leading and trailing white spaces (i.e. “Space”, “Tab” and “Newline” character) trimmed during the data capture process.

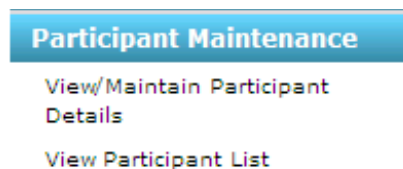
For multiple element fields with comma delimiter, the white spaces before and after the comma are also trimmed. For example, for field input “ AA, BB , CC,DD ,EE ”, elements “AA”, “BB”, “CC”, “DD” and “EE” will be extracted.

For the supported character set for different types of data fields, please refer to AIDG (Reporting Service).

5. PARTICIPANT MAINTENANCE

This module offers the following functions:

- (a) View/ Maintain Participant Details
- (b) View Participant List



These functions support Users to:

- (a) View and maintain TR Participant details.
- (b) Enquire the summary list of TR Participants.

Refer to Appendix D.2 for the set of Participant-level parameters that are defined by HKTR at the initial setup and can be configured up to individual TR Participant.

5.1 View Participant Details Function

This function supports User to view the details of his/her own TR Participant.

This function is initiated from:

- Navigation Menu
 - by clicking *“Participant Maintenance > View/Maintain Participant Details”*
- “Approve Parameter Maintenance” function
 - by clicking the hyperlink in the *“Identifier”* column of a pending approval request with update type, *“Change Participant Details”*

5.1.1 Participant Details

(i) Screen

Other than General Information, field group screens will remain collapsed until they are activated.

(a) General Information

General Information	
Participant ID:	PT1234567890123
Legal Entity ID (LEI):	ABCDEFG1234567890123
CFTC Interim Compliant Identifier (CICI):	
Participant Name:	Participant Full Name
Participant Short Name:	Participant Short Name
Participant Type:	Participant
SWIFT BIC:	
HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.:	
HK Business Registration No. (BRN):	
Place of Incorporation:	HKG - Hong Kong
Operating Mode:	Enabled
Repeated CP Trade Reference allowed:	N
Participant Status	
Participant Status:	New
Effective Start Date:	2023-04-27
Effective End Date:	
Confirmation Platform (CP) / External TR Subscription	
DTCC	
Browser Parameter	
Browser Session Timeout (in minutes):	10
Browser SWIFT DN:	hkichkh

(b) Service Subscription

Service Subscription					
Service Subscription List					
Service	Service Role	Institution Type	Effective Start Date	Effective End Date	Active Indicator
Reporting Service	Trading Participant	HK Person	2023-04-27		

(c) Reporting Obligation – ISO 20022

Reporting Obligation - ISO 20022				
Asset Class:				
Asset Class	Effective Start Date	Effective End Date	Active Indicator	
Commodity	2017-06-30		Yes	
Credit	2017-06-30		Yes	
Currency	2017-06-30		Yes	
Equity	2017-06-30		Yes	
Interest Rate	2017-06-30		Yes	

(d) Agent Relationship – ISO20022

Agent Relationship - ISO 20022

Agent Relationship List - The Appointed Agents

Participant ID	Participant Name	Sub Product	Service	Trade Submission via			UI Full Functions	Effective Start Date	Effective End Date	Active Indicator
				FTS	FileAct	UI Upload				
		Commodity	Reporting Service	Y	Y	Y	Y	2025-05-08		
		Credit	Reporting Service	Y	Y	Y	Y	2025-05-08		
		Currency	Reporting Service	Y	Y	Y	Y	2025-05-08		
		Equity	Reporting Service	Y	Y	Y	Y	2025-05-08		
		Interest Rate	Reporting Service	Y	Y	Y	Y	2025-05-08		

(e) SWIFTNet FileAct DN Configurations

SWIFTNet FileAct DN Configurations	
Receiver DN	SWIFTNet FileAct DN
Y	cn=client1,o=testbank,o=swift
N	cn=client2,o=testbank,o=swift

(f) Originating Relationship

Originating Relationship					
Originating Relationship List - The Originating Party					
Participant ID	Participant Name	Sub Product	Effective Start Date	Effective End Date	Active Indicator
TRADEPART1	TRADEPART1	Equity:Option:PriceReturnBasicPerformance	2014-01-09		Yes
TRADEPART1	TRADEPART1	Equity:Swap:PriceReturnBasicPerformance	2014-01-09		Yes
TRADEPART1	TRADEPART1		2014-01-09		Yes
TRADEPART1	TRADEPART1	Equity:Swap:PriceParameterReturnVariance	2014-01-09		Yes

(g) Approval Configuration

Approval Configuration

Trade Updates Approval List - Reporting		
Update Type	System Aprv. Req.	Participant Aprv. Req.
Create Party ID Change	N	N
Delete Party ID Change	N	N

Administrative Updates Approval List		
Update Type	System Aprv. Req.	Participant Aprv. Req.
Change Participant Details	Y	Y
Create User	N	Y
Change User Details	N	Y
Delete User	N	Y
Enable User	N	N
Disable User	N	N
Create Role	Y	Y
Change Role Details	Y	Y
Delete Role	Y	Y
Change User Password	N	N
Change Report Schedule	Y	Y

Approval Status
Pending Approval Update Type:
LTS Pending Approval Update Type:

(ii) Field Description

Field	Description
General Information	
Participant ID	ID of the TR Participant
Legal Entity ID (LEI)	Legal Entity ID of the TR Participant
CFTC Interim Compliant Identifier (CICI)	CICI of the TR Participant
Participant Name	Full name of the TR Participant
Participant Short Name	Short name of the TR Participant
Participant Type	- Type of the TR Participant - Possible values: - Participant - TR Business Entity
SWIFT BIC	SWIFT BIC of the TR Participant
HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.	HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the TR Participant
HK Business Registration No. (BRN)	The HK Business Registration No. (BRN) of the TR Participant

Field	Description
Place of Incorporation	Place of incorporation of the TR Participant
Operating Mode	- Operating mode of the TR Participant - Possible values: - Enabled
Participant Status	
Participant Status	- Status of the TR Participant - Possible values: - Active - New - Closed - When Participant Status is “New”, only login and administrative functions are allowed - When Participant Status is “Active”, all functions are allowed
Effective Start Date	The effective start date of the TR Participant’s status
Effective End Date	The effective end date of the TR Participant’s status
Confirmation Platform (CP) / External TR Subscription	
- Available only when subscribed. - This information is hidden when Participant Type is “TR Business Entity”	
Confirmation Platform Service Provider / External TR	- CP / External TR subscribed by the TR Participant - Example: - DTCC
Browser Parameter	
- This section should be hidden to user when participant type is “TR Business Entity”	
Browser Session Timeout (in minutes)	The setting for automatically logout the User if the browser is inactive for the defined period (in minutes).
Browser SWIFT DN	The browser’s SWIFT Distinguished Name
Service Subscription	
- The Field Group should be hidden to user when participant type is ‘TR Business Entity’	
Service Subscription List (current and future configurations are displayed)	
- Sorted by Effective Start Date in descending order; Service, Service Role and Institution Type in ascending order.	
Service	Service subscribed
Service Role	Role in Service
Institution Type	Institution type of the TR Participant
Effective Start Date	Effective start date of the service subscription
Effective End Date	Effective end date of the service subscription
Active Indicator	- Indicator to show if the entry is currently effective - Possible values: - Yes (effective) - blank (not effective)

Field	Description
Reporting Obligation - The Field Group should be hidden to user when participant type is ‘TR Business Entity’.	
Asset Class List (current and future configurations are displayed) - Sorted by Effective Start Date in descending order; Asset Class in ascending order	
Asset Class	Trades of the asset class that have to be reported
Effective Start Date	- The effective start date of the reporting obligation - The start date is subject to change depending on when mandatory reporting regulation of the corresponding asset class becomes effective
Effective End Date	The effective end date of the reporting obligation
Active Indicator	- Indicator to show if the entry is currently effective - Possible values: - Yes (effective) - blank (not effective)
Agent Relationship (current and future configurations are displayed) - The Field Group should be hidden to user when participant type is “TR Business Entity”. - Sorted by Effective Start Date in descending order; Service, Participant ID and Asset Class in ascending order. - Only the list of client TR Participants is displayed. For the display of the list of appointed Agents, please refer to “View Appointed Agents (Agent Relationship)” action in “Processing Steps” section below.	
Agent Relationship List - The Appointed Agents (current and future configurations are displayed)	
Participant ID	Participant ID of the client TR Participant
Participant Name	Full name of the client TR Participant
Asset Class	Trades of the asset class to be handled by the Agent
Service	Service to be provided by the Agent
Trade Submission via FTS	- Indicator to show if the trades are to be submitted via FTS by the Agent - Possible values: - Y - N
Trade Submission via FileAct	- Indicator to show if the trades are to be submitted via FileAct by the Agent - Possible values: - Y - N
Trade Submission via UI Upload	- Indicator to show if the trades are to be submitted via UI Upload by the Agent - Possible values: - Y - N
UI Full Functions	- Indicator to show if the trades are to be handled by the Agent via UI functions - Possible values: - Y - N

Field	Description
Effective Start Date	Effective start date of the Agent relationship
Effective End Date	Effective end date of the Agent relationship
Active Indicator	- Indicator to show if the entry is currently effective - Possible values: - Yes (effective) - blank (not effective)
Originating Relationship	
Originating Relationship List – The Originating Party (current and future configurations are displayed) Sorted by Effective Start Date in descending order; Participant ID and Asset Class in ascending order.	
Participant ID	Participant ID of the client TR Participant
Participant Name	Full name of the client TR Participant
Asset Class	Trades of the asset class to be handled by the Originating Party
Effective Start Date	Effective start date of the Originating relationship
Effective End Date	Effective end date of the Originating relationship
Active Indicator	- Indicator to show if the entry is currently effective - Possible values: - Yes (effective) - blank (not effective)
SWIFTNet FileAct DN Configuration	
The Field Group should be hidden to user when participant type is ‘TR Business Entity’.	
Receiver DN	- Indicator to show whether the DN is a receiver DN - Possible values: - Y - N
SWIFTNet FileAct DN	SWIFTNet FileAct Distinguished Name of the TR Participant
Approval Configuration	
- The Approval Configurations should be hidden to user when participant type is ‘TR Business Entity’ - The Approval Status is available for participant type “Participant” and “TR Business Entity” - TR Participant can only change its approval configuration when System Approval Requirement is “N” - For System Approval Requirement which is preset as “Y”, Participant Approval Requirement will always be deemed as “Y”.	
Trade Updates Approval List – Reporting (repeated for each update type specific to trade)	
Update Type	Update type specific to Reporting Trade functions
System Aprv. Req.	- System approval requirement indicator to show if approval for the Update Type is required at the system level - Possible values: - Y - N

Field	Description
Participant Aprv. Req.	- Approval requirement indicator to show if approval for the Update Type is required at the Participant level - Possible values: - Y - N
Administrative Updates Approval List - Repeated for each update type specific to administrative functions.	
Update Type	Update type for administrative functions. Refer to Appendix D.1
System Aprv. Req.	- System approval requirement indicator to show if approval for the update type is required at the system level - Possible values: - Y - N
Participant Aprv. Req.	- Approval requirement indicator to show if approval for the update type is required at the Participant level - Possible values: - Y - N
Approval Status	
Pending Approval Update Type	- Update type pending for approval - Possible values: - blank if there is no amendment pending for approval - Change Participant Details

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **View Client Participants (Agent Relationship)**

This is a function to view the details of Participants which appoints/ appointed the User as an Agent.

1. Click <View Client Participants> button.
2. A pop-up window will be displayed to show the client TR Participant relationships with past, current and future effective dates of the Asset Class. The list is sorted by Effective Start Date in descending order; Service, Participant ID and Asset Class in ascending order. Please refer to the table below for the list layout.

Agent Relationship List - The Client Participants	
Field	Description
Participant ID	Participant ID of the client TR Participant
Participant Name	Full name of the client TR Participant

Agent Relationship List - The Client Participants	
Field	Description
Asset Class	Trades of the asset class to be handled by the Agent
Service	Service provided to the client TR Participant
Trade Submission via FTS	- Indicator to show if the trades are to be submitted via FTS by the Agent - Possible values: - Y - N
Trade Submission via FileAct	- Indicator to show if the trades are to be submitted via FileAct by the Agent - Possible values: - Y - N
Trade Submission via UI Upload	- Indicator to show if the trades are to be submitted via UI Upload by the Agent - Possible values: - Y - N
UI Full Functions	- Indicator to show if the trades are to be handled by the Agent via UI functions - Possible values: - Y - N
Effective Start Date	Effective start date of the Agent relationship
Effective End Date	Effective end date of the Agent relationship
Active Indicator	- Indicator to show if the entry is currently effective - Possible values: - Yes (effective) - blank (not effective)

➤ **View Appointed Agents (Agent Relationship)**

This is a function to view the details of Agents appointed by the User.

1. Click <View Appointed Agents> button.
2. A pop-up window will be displayed to show the Agent relationships with past, current and future effective dates of the Asset Class. The list will be sorted by Effective Start Date in descending order; Service, Participant ID and Asset Class in ascending order. Please refer to the table below for the list layout.

Agent Relationship List - The Appointed Agents	
Field	Description
Participant ID	Participant ID of the Agent

Agent Relationship List - The Appointed Agents	
Field	Description
Participant Name	Full name of the Agent
Asset Class	Trades of the asset class to be handled by the Agent
Service	Service provided by the Agent
Trade Submission via FTS	- Indicator to show if the trades are to be submitted via FTS by the Agent - Possible values: - Y - N
Trade Submission via FileAct	- Indicator to show if the trades are to be submitted via FileAct by the Agent - Possible values: - Y - N
Trade Submission via UI Upload	- Indicator to show if the trades are to be submitted via UI Upload by the Agent - Possible values: - Y - N
UI Full Functions	- Indicator to show if the trades are to be handled by the Agent via UI functions - Possible values: - Y - N
Effective Start Date	Effective start date of the Agent relationship
Effective End Date	Effective end date of the Agent relationship
Active Indicator	- Indicator to show if the entry is currently effective - Possible values: - Yes (effective) - blank (not effective)

➤ **Amend**

1. Click <Amend> button.
2. “Maintain Participant Details” function is initiated for modification of the details for this TR Participant.

➤ **View Report Schedule (i.e. to view the generation status of reports)**

- *This action is unavailable if the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <View Report Schedule> button.

2. “View Report Schedule” function is initiated to show the generation status of the System Reports and User Requested Reports.

➤ **View Users (i.e. to view User list of this TR Participant)**

- *This action is unavailable if the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <View Users> button.
2. “View User List” function is initiated to list the Users of the TR Participant.

➤ **Approve (i.e. to approve parameter maintenance request)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Approve> button.
2. Click <OK> button in pop-up message dialog box to confirm.

Remarks:

- The approval is rejected if the approver is the same User who (i) last updated the details or (ii) initiated the amendment and no other users updated the amendment details since then.

➤ **Reject (i.e. to reject parameter maintenance request)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Reject> button.
2. Click <OK> button in pop-up message dialog box to confirm.

➤ **View Change Log (i.e. to view the changes of updated fields)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <View Change Log> button.
2. Field level changes are displayed.

➤ **View Service Subscription**

1. Click <View Service Subscription> button.

2. A pop-up window will be displayed to show the service subscribed by the TR Participant. Service subscription of past, current and future effective dates are displayed. The list is sorted by Effective Start Dates in descending order; Service, Service Role and Institution Type in ascending order. Please refer to the table below for the list layout.

Service Subscription List	
Field	Description
Service	▪ Service subscribed by the TR Participant
Service Role	▪ The TR Participant's role in the service
Institution Type	▪ Institution type of the TR Participant
Effective Start Date	▪ Effective start date of the service
Effective End Date	▪ Effective end date of the service
Active Indicator	▪ Indicator to show if the entry is currently effective ▪ Possible values: • Yes (effective) • blank (not effective)

➤ **View Reporting Obligation**

1. Click <View Reporting Obligation> button.
2. A pop-up window will be displayed to show the reporting obligation of the TR Participant. Reporting obligations of past, current and future effective dates are displayed. The list is sorted by Effective Start Dates in descending order and Asset Class in ascending order. Please refer to the table below for the list layout.

Asset Class	
Field	Description
Asset Class	▪ Trades of asset class to be reported
Effective Start Date	▪ Effective start date of the service
Effective End Date	▪ Effective end date of the service
Active Indicator	▪ Indicator to show if the entry is currently effective ▪ Possible values: • Yes (effective) • blank (not effective)

➤ **View Originating Party (Originating Relationship)**

This function shows the originating party of the User.

1. Click <View Originating Party> button.
2. A pop-up window will be displayed to show the originating party of the TR Participant. Relationships of past, current and future effective dates are displayed. The list is sorted by Effective Start Dates in descending order, Participant ID and Asset Class in ascending order. Please refer to the table below for the list layout.

Originating Relationship List - The Originating Party	
Field	Description
Participant ID	▪ Participant ID of the originating party
Participant Name	▪ Full name of the originating party
Asset Class	▪ Trades of the Asset class to be handled by the originating party
Effective Start Date	▪ Effective start date of the service
Effective End Date	▪ Effective end date of the service
Active Indicator	▪ Indicator to show if the entry is currently effective ▪ Possible values: • Yes (effective) • blank (not effective)

➤ **View Reporting For (Originating Relationship)**

This function shows TR entities which the User is reporting for.

1. Click <View Reporting For> button.
2. A pop-up window will be displayed to show the TR Business Entities the TR Participant is reporting for. Relationships of past, current and future effective dates are displayed. The list is sorted by Effective Start Dates in descending order; Participant ID and Asset Class in ascending order. Please refer to the table below for the list layout.

Originating Relationship List - Reporting For	
Field	Description
Participant ID	▪ Participant ID of the originating party
Participant Name	▪ Full name of the originating party
Asset Class	▪ Trades of the asset class to be handled by the originating party
Effective Start Date	▪ Effective start date of the service
Effective End Date	▪ Effective end date of the service

Originating Relationship List - Reporting For	
Field	Description
Active Indicator	▪ Indicator to show if the entry is currently effective ▪ Possible values: • Yes (effective) • blank (not effective)

5.2 Maintain Participant Details Function

This function allows the user to maintain the details of a selected TR Participant.

This function is initiated from:

- “View Participant Details” function
 - by clicking the <Amend> button

If amendment to Participant details has been made previously and is pending for approval, the amended Participant details are displayed for further modification.

5.2.1 Participant Details

(i) Screen

(a) General Information

The screenshot shows a window titled "Participant Details" with a tab labeled "General Information". The form contains the following fields:

Participant ID:	ABHK
Legal Entity ID (LEI):	ABHKLEI0000000000001
CFTC Interim Compliant Identifier (CICI):	ABHKCICI
Participant Name:	ABHK
Participant Short Name:	ABHK
Participant Type:	Participant
SWIFT BIC:	ABHKNSBI
HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.:	ABHKCICR
HK Business Registration No. (BRN):	
Place of Incorporation:	HKG - Hong Kong
Operating Mode:	Enabled

Below the general information, there are sections for "Participant Status", "Confirmation Platform (CP) / External TR Subscription", and "Browser Parameter".

Participant Status:	Active
Effective Start Date:	2014-06-24
Effective End Date:	

Confirmation Platform (CP) / External TR Subscription: DTCC

Browser Session Timeout (in minutes):	60 (min=1, max=60)
Browser SWIFT DN:	hkichkhh

(b) Service Subscription

Service Subscription					
Service	Service Role	Institution Type	Effective Start Date	Effective End Date	Active Indicator
Reporting Service	Trading Participant	Overseas AI	2014-06-25		Yes

(c) Reporting Obligation – ISO 20022

Reporting Obligation - ISO 20022			
Asset Class:			
Asset Class	Effective Start Date	Effective End Date	Active Indicator
Commodity	2017-06-30		Yes
Credit	2017-06-30		Yes
Currency	2017-06-30		Yes
Equity	2017-06-30		Yes
Interest Rate	2017-06-30		Yes

(d) Agent Relationship – ISO 20022

Agent Relationship - ISO 20022					
Agent Relationship List - The Appointed Agents					
Participant ID	Participant Name	Asset Class	Service	Trade Subr	
				FTS	File

Scroll to the right for more information of the Agent Relationship List:

Service	Trade Submission via			UI Full Functions	Effective Start Date	Effective End Date	Active Indicator
	FTS	FileAct	UI Upload				

(e) Originating Relationship

Originating Relationship			
Originating Relationship List - The Originating Party			
Participant ID	Participant Name	Sub Product	
TP004H	TP004H	Equity:Other	
TP004H	TP004H	Equity:Option:PriceReturnBasicPerformance	
TP004H	TP004H	Equity:Swap:PriceReturnBasicPerformance	
TP004H	TP004H	InterestRate:Option:Swaption	
TP004H	TP004H	InterestRate:IRSwap:FixedFixed	

Scroll right for more information of the Originating Relationship List:

Originating Relationship				
nt Name	Sub Product	Effective Start Date	Effective End Date	Active Indicator
	Equity:Other	2014-04-01		Yes
	Equity:Option:PriceReturnBasicPerformance	2014-04-01		Yes
	Equity:Swap:PriceReturnBasicPerformance	2014-04-01		Yes
	InterestRate:Option:Swaption	2014-04-01		Yes
	InterestRate:IRSwap:FixedFixed	2014-04-01		Yes

(f) SWIFTNet FileAct DN Configurations

SWIFTNet FileAct DN		
Delete	Receiver DN	SWIFTNet FileAct DN
☐	☒	cn=uat10,o=hkicchkhh,o=swift
		Add DN

(g) Approval Configuration

Approval Configuration		
Trade Updates Approval List - Reporting		
Update Type	System Aprv. Req.	Participant Aprv. Req.
Create Party ID Change	☐	☒
Delete Party ID Change	☐	☒
Administrative Updates Approval List		
Update Type	System Aprv. Req.	Participant Aprv. Req.
Change Participant Details	☒	☒
Create User	☒	☒
Change User Details	☒	☒
Delete User	☒	☒
Enable User	☐	☒
Disable User	☐	☐
Create Role	☒	☒
Change Role Details	☒	☒
Delete Role	☒	☒
Change User Password	☐	☒
Change Report Schedule	☒	☒
Approval Status		
Pending Approval Update Type:		

(ii) Field Description

Field	M/O/D*	Description
General Information		
Participant ID	D	ID of the TR Participant
Legal Entity ID (LEI)	D	Legal Entity ID of the TR Participant
CFTC Interim Compliant Identifier (CICI)	D	CICI of the TR Participant
Participant Name	M	Full name of the TR Participant
Participant Short Name	M	Short name of the TR Participant
Participant Type	D	- Type of TR Participant - Possible values: - Participant
SWIFT BIC	D	SWIFT BIC of the TR Participant
HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.	D	HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the TR Participant
HK Business Registration No. (BRN)	D	The HK Business Registration No. (BRN) of the TR Participant
Place of Incorporation	D	Place of incorporation of the TR Participant
Operating Mode	D	- Operating mode of the TR Participant - Possible value: - Enabled
Participant Status		
Participant Status	D	- Status of the TR Participant - Possible values: - Active - New - When Participant Status is “New”, only login and administrative functions are allowed - When Participant Status is “Active”, all functions are allowed - It cannot be changed once the participant status is already “Active”
Effective Start Date	D	- The effective start date of the Participant Status - If effective start date is already effective, this field must be equal to or later than current date. - If effective start date is a future date, this field must be equal to or later than effective start date.
Effective End Date	D	The effective end date of the Participant Status

Field	M/O/D*	Description
Confirmation Platform (CP) / External TR Subscription		
Confirmation Platform Service Provider / External TR	D	- CP / External TR subscribed by the TR Participant - Example: - DTCC
Browser Parameter		
Browser Session Timeout (in minutes)	M	- The setting for automatically logout the User if the browser is inactive for the defined period (in minutes). - Possible value(s): 15 (default) 1 to 60
Browser SWIFT DN	D	- The browser's SWIFT Distinguished Name - If this field is changed, a warning message will be prompted to alert that User DNs of all Users of the TR Participant need to be updated so that the Users can login the system again - Change to this field is allowed only when no User of the TR Participant currently logins the system
Service Subscription		
Service Subscription List (current and future configurations are displayed) - Sorted by Effective Start Date in descending order; Service, Service Role and Institution Type in ascending order - Only 1 entry with future effective date is supported for each service - Effective date range per each service subscription cannot be overlapped - Participant must be associated with at least one service. The effective start date of at least one service must be same as the effective start date of participant status - Participant subscribes reporting service; the effective start date must be equal to or later than the reporting regulation date		
Service	D	Service subscribed
Service Role	D	Role in Service
Institution Type	D	- Institution type of the TR Participant - Institution Type should be blank if "Non-trading Participant Agent" service role is selected
Effective Start Date	D	- Effective start date of the service subscription - Effective Start Date must be later than current date
Effective End Date	D	Effective end date of the service subscription
Active Indicator	D	- Indicator to show if the entry is currently effective - Possible values: - Yes (effective) - blank (not effective)
Reporting Obligation		
- It lists the - Asset Class added by the Reporting Obligation Input Control - Only 1 entry with future effective date is supported for each asset class - The effective date range defined in the asset class lists cannot be overlapped		
Asset Class	D	Trades of the asset class that have to be reported

Field	M/O/D*	Description
Effective Start Date	D	- The effective start date of the reporting obligation - The start date is subject to change depending on when mandatory reporting regulation of the corresponding asset class becomes effective - Effective Start Date can be equal to or later than the corresponding asset class launch date. It cannot be overlapped with the previous date range of reporting service, except the previous service role is Non-trading Participant Agent - In order not to trigger the system event “Exit from Reporting”, for each asset class, the reporting obligation with continuous effective date range should be defined by a single entry only. In other words, one reporting obligation entry is not allowed to be broken into two or more entries with consecutive effective date range
Effective End Date	D	- The effective end date of the reporting obligation - In order not to trigger the system event “Exit from Reporting”, for each asset class, the reporting obligation with continuous effective date range should be defined by a single entry only. In other words, one reporting obligation entry is not allowed to be broken into two or more entries with consecutive effective date range
Active Indicator	D	- Indicator to show if the entry is currently effective - Possible values: - Yes (effective) - blank (not effective)
Agent Relationship - Agent Relationships with currently active and future effective date are displayed. However, historical records are not displayed - No agent relationship can be defined for the corresponding service if the service role “Non-trading Participant Agent” is assigned		
Agent Relationship List - The Appointed Agents - It lists the - Agent Relationship added by the Agent Relationship Input Control - Only 1 entry with future effective date is supported for each agent and asset class - Effective date range for Agent Relationship per each agent, service and each asset class cannot be overlapped		
Participant ID	D	Participant ID of the Agent
Participant Name	D	Full name of the Agent
Asset Class	D	Trades of the asset class to be handled by the Agent
Service	D	- Service to be provided by the Agent - Possible value: - Reporting Service
Trade Submission via FTS	D	- Indicator to show if the trades are to be submitted via FTS by the Agent - Possible values: - Y - N

Field	M/O/D*	Description
Trade Submission via FileAct	D	▪ Indicator to show if the trades are to be submitted via FileAct by the Agent ▪ Possible values: • Y • N
Trade Submission via UI Upload	D	▪ Indicator to show if the trades are to be submitted via UI Upload by the Agent ▪ Possible values: • Y • N
UI Full Functions	D	▪ Indicator to show if the trades are to be handled by the Agent via UI functions ▪ Possible values: • Y • N
Effective Start Date	D	▪ Effective start date of the Agent relationship ▪ Effective Start Date must be later than current date
Effective End Date	D	▪ Effective end date of the Agent relationship
Active Indicator	D	▪ Indicator to show if the entry is currently effective ▪ Possible values: • Yes (effective) • blank (not effective)
Originating Relationship		
- No originating relationship can be defined for Participant subscribed Reporting Service and the service role is “Trading Participant” or “Trading Participant Agent”		
Originating Relationship List – The Originating Party (current and future configurations are displayed)		
- Sorted by Effective Start Date in descending order; Participant ID and asset class in ascending order. - It lists the • Originating Relationship added by the Originating Relationship Input Control • Only 1 entry with future effective date is supported for each originating party and asset class • For each asset class, only 1 originating party can be assigned for an effective date range • Effective date range for Originating Relationship per each originating party and asset class cannot be overlapped		
Participant ID	D	▪ Participant ID of the client TR Participant
Participant Name	D	▪ Full name of the client TR Participant
Asset Class	D	▪ Trades of the asset class to be handled by the Originating Party
Effective Start Date	D	▪ Effective start date of the Originating relationship ▪ Effective Start Date must be later than current date
Effective End Date	D	▪ Effective end date of the Originating relationship
Active Indicator	D	▪ Indicator to show if the entry is currently effective ▪ Possible values: • Yes (effective) • blank (not effective)
SWIFTNet FileAct DN Configuration		

Field	M/O/D*	Description
Delete	O	- Checkbox for the deletion of SWIFTNet FileAct DN - Multiple selection is allowed - If checked, the row would be deleted after apply
Receiver DN	O	- Receiver DN of the TR Participant - Only 1 Receiver DN can be defined for a TR Participant
SWIFTNet FileAct DN	M	- SWIFT FileAct Distinguished Name of the TR Participant - This field is required only if participant submit trades through SWIFTNet FileAct
Approval Configuration		
Trade Updates Approval List – Reporting		
- Repeated for each update type specific to Reporting Trade.		
Update Type	D	Update type for trade functions specific to Reporting Trade
System Aprv. Req. Checkbox	D	System approval requirement indicator to show if approval for the Update Type is required at the system level
Participant Aprv. Req. Checkbox	O	- Approval requirement indicator to show if approval for the Update Type is required at the Participant level - If System Aprv. Req. is checked, this field is disabled for input and is automatically checked
Administrative Updates Approval List		
- Repeated for each update type		
Update Type	D	Update type for administrative functions. Refer to Appendix D.1
System Aprv. Req. Checkbox	D	System approval requirement indicator to show if approval for the Update Type is required at the system level
Participant Aprv. Req. Checkbox	O	- Approval requirement indicator to show if approval for the Update Type is required at the Participant level - If System Aprv. Req. is checked, this field is disabled for input and is automatically checked
Approval Status		
Pending Approval Update Type	D	- Update type pending for approval - Applicable only if there is an amendment that is pending approval, blank will be displayed otherwise - Possible value: - Change Participant Details

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Add SWIFTNet FileAct DN**

1. Click <Add DN> button.

2. “Add SWIFTNet FileAct Distinguished Name” function is initiated. Refer to the figure below.

The screenshot shows a web application window titled "Participant Details". Inside, there is a sub-window titled "SWIFTNet FileAct DN". Below this title, the text "SWIFTNet FileAct DN:" is followed by a yellow rectangular input field. At the bottom right of the main window, there are three buttons: "Add DN", "Reset", and "Back".

➤ **Apply**

1. Enter the Participant Name.
2. Enter the Participant Short Name.
3. Enter Browser Session Timeout (in minutes).
4. (Optional) Check the Deletion Checkbox to delete the SWIFTNet FileAct DN.
5. (Optional) Click <Add DN> button to add the SWIFTNet FileAct DN, the “Add SWIFTNet FileAct Distinguished Name” function will be initiated.
6. (Optional) Check the Participant Aprv. Req. checkbox(es) in the Trade Updates Approval List - Reporting.
7. (Optional) Check the Participant Aprv. Req. checkbox(es) in the Administrative Updates Approval List.
8. Click <Apply> button.
9. If approval for such request is not required, the request is processed immediately, and the Participant details are updated.

The screenshot shows a web application window titled "Participant Details - Apply Results". Inside, there is a sub-window titled "System Response". Below this title is a table with the following data:

Result	Reason Code	Update Type	Identifier
Completed		Change Participant Details	HKP0003

Or

If approval is required, a request for changing Participant details is generated with update type as “Change Participant Details”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

Participant Details - Apply Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Change Participant Details	HKP0003

➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

➤ **View Service Subscription**

Please refer to Section 5.1.1.

➤ **View Reporting Obligation**

Please refer to Section 5.1.1.

➤ **View Client Participants (Agent Relationship)**

Please refer to Section 5.1.1.

➤ **View Appointed Agents (Agent Relationship)**

Please refer to Section 5.1.1.

➤ **View Originating Party (Originating Relationship)**

Please refer to Section 5.1.1.

➤ **View Reporting For (Originating Relationship)**

Please refer to Section 5.1.1.

5.3 View Participant List Function

This function allows Users to enquire the summary list of HKTR entities with status “Active”.

This function is initiated from:

- Navigation Menu
 - by clicking “Participant Maintenance > View Participant List”

5.3.1 Selection Criteria of View Participant List

(i) Screen

Participant List

Selection Criteria

Participant ID:

Participant Short Name:

Legal Entity ID (LEI):

CFTC Interim Compliant Identifier (CICI):

HK Certificate of Incorporation (CI) No. /
HK Certificate of Registration (CR) No.:

HK Business Registration No. (BRN):

Participant Type:

Service:

Service Role:

Participant Status:

Display Options

Search

Reset

(ii) Field Descriptions

Field	M/O/D*	Description
Selection Criteria		
Participant ID	O	- ID of the HKTR entity - Wildcard search is supported
Participant Short Name	O	- Short name of the HKTR entity - Wildcard search is supported
Legal Entity ID (LEI)	O	- Legal Entity ID of the HKTR entity - Wildcard search is supported
CFTC Interim Compliant Identifier (CICI)	O	- U.S. Commodity Futures Trading Commission (CFTC) Interim Compliant Identifier of the HKTR entity - Wildcard search is supported
HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.	O	- HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the HKTR entity - Wildcard search is supported
HK Business Registration No. (BRN)	O	- The HK Business Registration No. (BRN) No. of the HKTR entity - Wildcard search is supported
Participant Type	M	- Type of the HKTR entity - Possible values: - All (default) - Participant
Service	M	- Service subscribed by the HKTR entity - Possible selections: - All (default) - Reporting Service

Field	M/O/D*	Description
Service Role	M	▪ Role of the HKTR entity in Service ▪ Possible selections: • All (default) • Non-trading Participant Agent • Trading Participant • Trading Participant Agent
Participant Status	M	▪ Participant status of the HKTR entity ▪ Possible values: • All (default) • Active • Closed
Display Options		
Refer to Section 4 “Getting Started” for field details and processing steps of Display Options.		

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

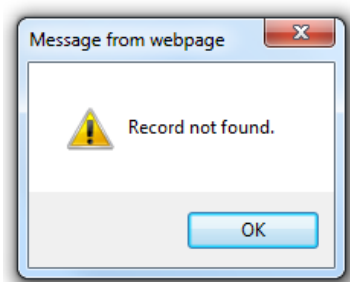
(iii) Processing Steps

User can perform the following actions:

➤ Search

1. (Optional) Enter the Participant ID.
2. (Optional) Enter the Participant Short Name.
3. (Optional) Enter the Legal Entity ID (LEI) of the HKTR entity.
4. (Optional) Enter the CFTC Interim Compliant Identifier (CICI).
5. (Optional) Enter the HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.
6. (Optional) Enter the HK Business Registration No. (BRN).
7. (Optional) Click the “Participant Type” drop-down list to select a participant type.
8. (Optional) Click the “Service” drop-down list to select a service.
9. (Optional) Click the “Service Role” drop-down list to select a service role.
10. (Optional) Click the “Participant Status” drop-down list to select a participant status.
11. Click <Search> button.

12. Participant(s) which match(es) with the selection criteria is/are displayed. If no Participant is found, the following pop-up message dialog box will be displayed.



➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

5.3.2 Search Result of Participant List

(i) Screen

Participant List				
Page 1 of 1				
Participant ID	Participant Short Name	Legal Entity ID (LEI)	CFTC Interim Compliant Identifier (CICI)	HK Certif Incorporatio HK Certif Registratio
COAI	COAI	LEICOAI	CICICOAI	CICRCOAI

Scroll to the right:

Participant ID	HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.	HK Business Registration No. (BRN)	Participant Type	Service	Service Role
CICRCOAI		BRNCOAI1	Participant	Reporting Service	Trading Participant

Scroll to the right:

Participant Type	Service	Service Role	Participant Status	Effective Start Date	Last Update Time
Participant	Reporting Service	Trading Participant	Active	2014-04-30	2014-06-16 10:42:04

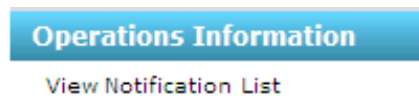
(ii) Field Description

Field	Description
Participant List	
Participant ID	ID of the HKTR entity
Participant Short Name	Short name of the HKTR entity
Legal Entity ID (LEI)	Legal Entity ID of the HKTR entity
CFTC Interim Compliant Identifier (CICI)	U.S. Commodity Futures Trading Commission (CFTC) Interim Compliant Identifier of the HKTR entity
HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No.	HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the HKTR entity
HK Business Registration No. (BRN)	The HK Business Registration No. (BRN) of the HKTR entity
Participant Type	- Type of the HKTR entity - Possible values: - Participant - TR Business Entity
Service	- Service subscribed by the HKTR entity - Possible value: - Reporting Service - For Participant Type “TR Business Entity”, blank will be shown

Field	Description
Service Role	▪ Role of the HKTR entity in Service ▪ Possible values: • Non-trading Participant Agent • Trading Participant • Trading Participant Agent ▪ For Participant Type “TR Business Entity”, blank will be shown
Participant Status	▪ Status of the HKTR entity ▪ Possible values: • Active • Closed
Effective Start Date	▪ The effective start date of the Participant Status
Last Update Time	▪ The last update date and time of the details of HKTR entity

6. OPERATIONS INFORMATION

The “Operations Information” module contains the “View Notification List” function which allows Users to view notifications.



6.1 View Notification List Function

This function allows Users to view the notifications based on their Roles. Necessary access rights must be added to the Roles in advance.

When new notifications are received, the Notification List will display a new item. If the notification is set as “alertable”, the “Notification Alert” icon (i.e. ) is shown at the Information Bar of the application window. User can click the icon to view the Notification List. After all new “alertable” notifications are read, the icon will disappear until next new notification is received.

The severity level of notification is selected by CO user upon drafting the broadcast notification. There are a total of 3 levels: “High”, “Medium” and “Low”.

This function is initiated from:

- Navigation Menu
 - by clicking “Operations Information > View Notification List”
- Notification Alert Icon
 - by clicking the  Icon at the Information Bar of the Application window

“Alertable” notifications are listed on the top of the list by default. Other notifications are sorted from the highest to the lowest severity, then by creation date and time in descending order.

6.1.1 Selection Criteria of Notification

(i) Screen

The screenshot shows the 'Notification List' window. It contains two main sections: 'Selection Criteria' and 'Display Options'.

Selection Criteria:

- Participant:** ABHK - ALLAHABAD BANK (FULL)
- Date/Time From:** 2020-12-04 13:17:43
- To:** (Empty field)
- Service:** Reporting Service
- Severity:** --All-- (Dropdown menu with options: Low, Medium, High)

Display Options:

- Records Per Page:** 25
- Sorting Order:**
 - Available Fields:** Alertable, Severity, Creation Time
 - Selected Fields:** (Empty)
 - Sort:** Asc (Selected), Des
 - Buttons:** Add >>, << Remove, Move Up, Move Down

At the bottom right, there are 'Search' and 'Reset' buttons.

(ii) Field Descriptions

Field	M/O/D*	Description
Selection Criteria		
Participant	D	The ID and full name of the TR Participant
Date/Time From	M	- The start of searching range for the creation date/time of notification - Default value is one hour before the current date/time
Date/Time To	O	- The end of searching range for the creation date/time of notification - The default value is blank (this indicates selection of notifications to the current date and time)
Service	M	- Service allocated to the User - Possible selection: - Reporting
Severity	M	- Severity level of notifications - Possible selections (multiple selections are allowed): - All (default) - High - Medium - Low
Display Options		
Refer to Section 4 “Getting Started” for field details and processing steps of Display Options.		

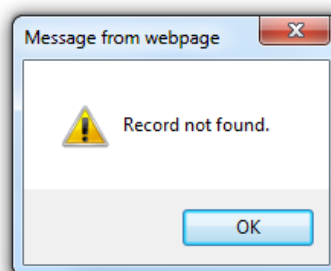
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ Search

1. (Optional) Enter the start of creation date range in the format of YYYY-MM-DD (or click  icon to select a date) and creating time in the format of HH:MM:SS of the search range.
2. (Optional) Enter the end of creation date range in the format of YYYY-MM-DD (or click  icon to select a date) and creation time in the format of HH:MM:SS of the search range.
3. (Optional) Click the list-box of “Service” to select a service.
4. (Optional) Click the list-box of “Severity” to select a severity level, or hold “Ctrl” key to select multiple severity levels.
5. Click <Search> button.
6. Notification(s) which match(es) with the selection criteria is/are displayed. If no notification can be found, the following pop-up message dialogue box will be displayed.



➤ Reset

1. Click <Reset> button to set all the fields to their original values.

6.1.2 Notification List

(i) Screen

Notification List

<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<<&

(ii) Field Description

Field	Description
Notification List	
New Notification	The  icon is displayed to indicate new and unread notification
Alertable	The  icon is displayed to indicate “alertable” notification
Severity	- Indicator to show the severity level of the notification - Possible values:  (High)  (Medium)  (Low)
Service	- Service in which the notification applies to - Possible value: - Reporting Service
Short Description	Short description of the notification
Creation Time	Creation date and time of the notification

(iii) Processing Steps

User can perform the following action:

➤ Hyperlink (i.e. to view the details of a specified notification)

1. Click the hyperlink in the “Short Description” column of the concerned notification.
2. “View Notification Details” function is displayed to show the notification details.

6.2 View Notification Details Function

This function is initiated from:

- “View Notification List” function
 - by clicking the hyperlink in the “Short Description” column

6.2.1 Notification Details

(i) Screen

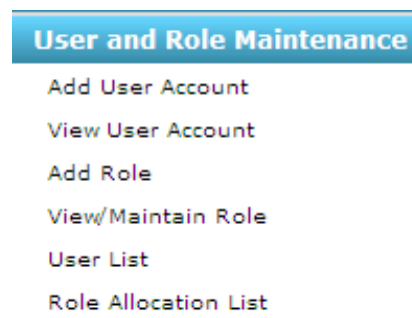
(ii) Field Description

Field	Description
Notification	
Participant	▪ ID and full name of the TR Participant
Alertable	▪ Indicates whether the notification is “alertable” ▪ Possible values: • Yes (“alertable”) • No (not “alertable”)
Severity	▪ Severity of the notification ▪ Possible values: • High • Medium • Low
Service	▪ Service in which the notification applies to ▪ Possible value: • Reporting Service
Creation Time	▪ Creation date and time of the notification
Short Description	▪ Short description of the notification
Description	▪ Details of the notification message

7. USER AND ROLE MAINTENANCE

This module offers the following functions:

- (a) Add User Account
- (b) View User Account
- (c) Add Role
- (d) View/ Maintain Role
- (e) User List
- (f) Role Allocation List



These functions allow Users to create or maintain the User account and Role.

7.1 Add User Account Function

This function allows Users to create new User accounts. When a User account is created, its status is by default set to “Enabled”.

This function is initiated from:

- Navigation Menu
 - by clicking “User and Role Maintenance > Add User Account”
- “View User Account” function
 - by clicking the <Create Like> button

If this function is initiated from (1) Navigation Menu, there is no pre-defined attribute of the account details or (2) “View User Account” function, a set of attributes is copied from the selected User account.

7.1.1 User Account Details

(i) Screen

General Information

Participant: TEST001 - TEST001 Full Name
User ID: X
User Name:
User Access Method:

Internet User Details

SSL Client Certificate DN EMAILADDRESS=uatcls@hkicl.com.hk, CN=uatcls@hkicl.com.hk, O=Hong Kong Interbank Clearing Limited, L=Kwun Tong Kowloon, C=HK

```
-----BEGIN CERTIFICATE-----
MIIDyTCCArGgAwIBAgIEdzWoojANBgkqhkiG9w0BAQUFADCBhzELMAkGA1UEBhMC
SEsMTAvBqNVBAoTKERJR0ktU0lHTIBDRVJUSUZJQ0FUSU9OIFNFUjZJQ0VTIEJ
```

Service Subscription

	Service
☐	Reporting Service
☒	Reporting Service

User Preference

Default Service:

Initial User Password

Initial Password:
Confirm Password:

Administration Role List

☒	Role Name	Description	System Pre-defined User Role
☒	Event Enquiry	Event Enquiry	Y
☒	Notification Enquiry	Notification Enquiry	Y
☒	Participant List Enquiry	Participant List Enquiry	Y
☒	Participant Maintenance	Participant Maintenance	Y
☒	Participant Maintenance Approval	Participant Maintenance Approval	Y
☒	Report Delivery Approval (Admin)	Report Delivery Approval (Admin)	Y
☒	Report Delivery Maintenance (Admin)	Report Delivery Maintenance (Admin)	Y
☒	Report Enquiry (Admin)	Report Enquiry (Admin)	Y
☒	User Maintenance	User Maintenance	Y
☒	User Maintenance Approval	User Maintenance Approval	Y

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Trade Role List (Reporting)			
☐	Role Name	Description	System Pre-defined User Role
☐	Coding Scheme Enquiry	Coding Scheme Enquiry	Y
☒	Party ID Change Request	Party ID Change Request	Y
☒	Party ID Change Request Approval	Party ID Change Request Approval	Y
☒	Report Delivery Approval (Reporting)	Report Delivery Approval (Reporting) for all reports	Y
☒	Report Delivery Approval (Reporting) Exclude CTRD2603/2604	Report Delivery Approval (Reporting) Exclude Reconciliation Discrepancy/Uncertain Unlink Report	Y
☒	Report Delivery Approval (Reporting) for CTRD2603	Report Delivery Approval (Reporting) for CTRD2603	Y
☒	Report Delivery Approval (Reporting) for CTRD2604	Report Delivery Approval (Reporting) for CTRD2604	Y
☒	Report Delivery Maintenance (Reporting)	Report Delivery Maintenance (Reporting) for all reports	Y
☒	Report Delivery Maintenance (Reporting) Exclude CTRD2603/2604	Report Delivery Maintenance (Reporting) Exclude Reconciliation Discrepancy/Uncertain Unlink Report	Y
☒	Report Delivery Maintenance (Reporting) for CTRD2603	Report Delivery Maintenance (Reporting) for CTRD2603	Y
☒	Report Delivery Maintenance (Reporting) for CTRD2604	Report Delivery Maintenance (Reporting) for CTRD2604	Y
☒	Report Enquiry (Reporting)	Report Enquiry (Reporting) for all reports	Y
☒	Report Enquiry (Reporting) Exclude CTRD2603/2604	Report Enquiry (Reporting) Exclude Reconciliation Discrepancy/Uncertain Unlink Report	Y
☒	Report Enquiry (Reporting) for CTRD2603	Report Enquiry (Reporting) for CTRD2603	Y
☒	Report Enquiry (Reporting) for CTRD2604	Report Enquiry (Reporting) for CTRD2604	Y
☒	Report Enquiry on Obsolete Reports (Reporting)	Report Enquiry on Obsolete Reports (Reporting)	Y
☒	Trade and Trade Event Enquiry (Reporting)	Trade and Trade Event Enquiry (Reporting)	Y
☒	Trade Attachment Maintenance	Trade Attachment Maintenance	Y
☒	Trade Capture (Reporting)	Trade Capture (Reporting)	Y
☒	Valuation Capture	Valuation Capture	Y
☒	Valuation Request Enquiry	Valuation Request Enquiry	Y

(ii) Field Description

Field	M/O/D*	Description
General Information		
Participant	D	ID and full name of the TR Participant
User ID	M	- The unique identifier of the User within the TR Participant - This field is not case sensitive (e.g., "JOHN" is the same as "john") and is consisted of a maximum of 10 characters (A-Z, a-z and 0-9 only)
User Name	M	Name of the User (with a maximum of 35 characters)
User Access Method	M	- Possible values (any one of the followings): - SWIFTNet - Internet - Both SWIFTNet and Internet (default)
Internet User Details		
- Available only to User with Internet as an access method.		
SSL Client Certificate DN	O	- Secure Socket Layer Client Certificate Distinguished Name for User authentication in the Internet - This field is mandatory if Internet access method is allocated to the User. This field cannot be added if only SWIFTNet access method is allocated to the User
Service Subscription		
- Only the services subscribed by the TR Participant are listed.		
Allocation Checkbox	M	- Checkbox for the assignment of service(s) - At least 1 service must be selected

Field	M/O/D*	Description
Service	D	- Service subscribed by the TR Participant - Possible value: - Reporting Service
User Preference - Only the services subscribed by the TR Participant are listed.		
Default Service	M	- Default navigation menu to be launched after User successful logon - Possible selection: - Reporting Service
Initial User Password		
Initial Password	M	The initial password of the User account
Confirm Password	M	Re-enter the initial password of the User account for confirmation
Administration Role List		
Allocation Checkbox	O	- Checkbox for the assignment of administration Role(s) - Multiple Roles can be selected - At least 1 Role must be selected, either from Administration Role List or Trade Role Lists
Role Name	D	The list of all available administration Roles (system pre-defined User Roles and Participant level Roles)
Description	D	Description of the Role
System Pre-defined User Role	D	- Indicator to show if the Role is a system pre-defined User Role (for details, please refer to Appendix B.3.1) - Possible values: - Y - N
Trade Role List (Reporting)		
Allocation Checkbox	O	- Checkbox for the assignment of trade Role(s) - Multiple Roles can be selected - At least 1 Role must be selected if “Reporting” is selected in Service list - At least 1 Role from either Administration Role List or Trade Role Lists must be selected
Role Name	D	The list of all available Reporting Trade Roles (system pre-defined User Roles and Participant level Roles)
Description	D	Description of the Role
System Pre-defined User Role	D	- Indicator to show if the Role is a system pre-defined User Role (for details, please refer to Appendix B.3.2) - Possible values: - Y - N

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink (i.e. to view the details of a Role)**

1. Click the hyperlink in the “Role Name” column in the Administration Role List or Trade Role List.
2. “View Role Details” function is initiated to display the corresponding Role details.

➤ **Apply**

1. Enter the User ID which should be unique within the TR Participant.
2. Enter the User name.
3. Select User Access Method.
4. Input SSL Client Certificate DN.

Or

Skip this field if only SWIFTNet has been selected as the User Access Method.

5. Select the Service Subscription(s).
6. Click the “Default Service” list-box to select the default service.
7. Enter the initial password.
8. Re-enter the initial password for confirmation.
9. Assign one or more administration Role(s) and trade Role(s) to this User account by checking corresponding checkbox(es).
10. Click <Apply> button.
11. If approval for such request is not required, the request is processed immediately, and the User account is created.

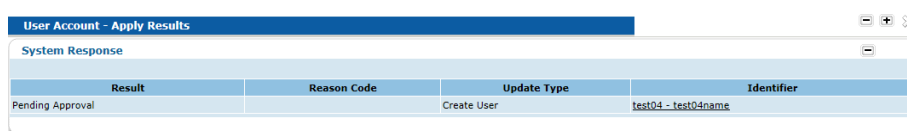


The screenshot shows a window titled "User Account - Apply Results" with a "System Response" section. It contains a table with the following data:

Result	Reason Code	Request Type	Identifier
Completed		Create User	test02 - test02name

Or

If approval is required, a request for creating User account is generated with update type as “Create User”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.



The screenshot shows a window titled "User Account - Apply Results" with a "System Response" section. It contains a table with the following data:

Result	Reason Code	Update Type	Identifier
Pending Approval		Create User	test04 - test04name

➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

7.2 View User Account Function

This function displays the account details of the selected User. If this function is initiated from Navigation Menu, the account details of the login User are displayed.

This function is initiated from:

- Navigation Menu
 - *by clicking “User and Role Maintenance > View User Account”*
- “View User List” function
 - *by clicking the hyperlink of “User ID” field in the User List*
- “View Role Allocation List” function
 - *by clicking the hyperlink of “User ID” field in the Role Allocation List*
- “Approve Parameter Maintenance” function
 - *by clicking the hyperlink in the “Identifier” column of a pending approval request with update types “Create User”, “Change User Details” or “Delete User”*

(ii) Field Description

Field	Description
General Information	
Participant	ID and full name of TR Participant
User ID	The unique identifier of the User within the TR Participant
User Name	The name of User
Enabled	- Indicator to show if the User Status is enabled - Possible values: - Y - N
User Access Method	- The HKTR access method of the User - Possible values: - Internet - SWIFTNet - Both SWIFTNet and Internet
Last Successful Login Date/ Time	The last successful login date and time
Last Unsuccessful Attempt Date/ Time	- The last unsuccessful attempt date and time - If the last login is successful, blank will be displayed
SWIFT User Account Association	
SWIFT User Name	- The allocated SWIFT User Name to the User - According to SWIFT, it is an optional field. Blank will be displayed if it is not found in the SWIFT user certificate.
SWIFT User DN	The allocated SWIFT DN to the User.
Last Associate Date/Time	The timestamp at which the User successfully established the SWIFT User Account Association.
Internet User Details	
- Available only to User with Internet as an access method	
SSL Client Certificate DN	The SSL Client Certificate Distinguished Name for User authentication in the HKTR
Service Subscription	
Service	Service allocated to the User
User Preference	
Default Service	Default navigation menu to be launched after User successful logon
Administration Role List	
Role Name	Administration Role allocated to the User (either system pre-defined User Roles or Participant level Roles)
Description	Description of the Role
System Pre-defined User Role	- Indicator to show if the Role is a system pre-defined User Role - Possible values: - Y - N

Field	Description
Trade Role List (Reporting)	
Role Name	▪ Reporting Trade Role allocated to the User (either system pre-defined User Roles or Participant level Roles)
Description	▪ Description of the Role
System Pre-defined User Role	▪ Indicator to show if the Role is a system pre-defined User Role ▪ Possible values: • Y • N
Pending Approval Update Type	
Pending Approval Update Type	▪ The update type which is pending for approval. ▪ Possible values: • Create User • Change User Details • Delete User • Enable User • Disable User • Change User Password ▪ Applicable only if there is an amendment pending for approval

(iii) Processing Steps

User can perform the following actions:

➤ **Amend**

- *This action is unavailable if User is viewing his/her own User account or the Pending Approval Update Type is “Delete User”, “Enable User” or “Disable User”.*

1. Click <Amend> button.
2. “Maintain User Account” function is initiated for maintaining the User account details.

➤ **Create Like (i.e. to copy the current User attributes and create a similar User account)**

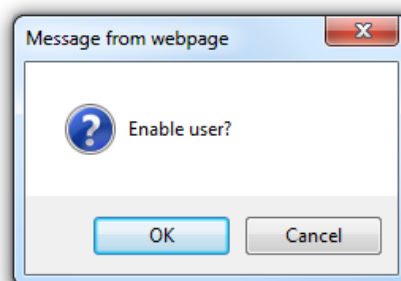
- *This action is unavailable if the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Create Like> button.
2. “Add User Account” function is initiated and the parameters are pre-selected which is the same as the selected User.

➤ **Enable (i.e. to enable the User account)**

- This action is unavailable if (i) User is viewing his/her own User account, (ii) the selected User account has already been enabled or (iii) the function is initiated from the “Approve Parameter Maintenance” function.

1. Click <Enable> button.
2. Click <OK> button in the pop-up message dialog box to confirm.



3. If approval for such request is not required, the request is processed immediately, and User account is enabled.

User Account - Enable Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Enable User	test01 - test01name

Or

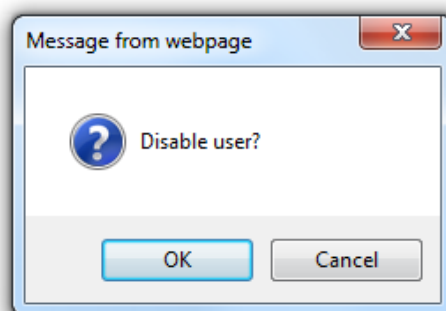
If approval is required, a request for enabling User is created with update type “Enable User”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

User List - Enable Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Enable User	test04 - test04name

➤ **Disable (i.e. to disable the User account)**

- This action is unavailable if (i) User is viewing his/her own User account, (ii) the selected User account has already been disabled or (iii) the function is initiated from the “Approve Parameter Maintenance” function.

1. Click <Disable> button.
2. Click <OK> button in the pop-up message dialog box to confirm.



3. If approval for such request is not required, the request is processed immediately, and the User account is disabled.

User Account - Disable Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Disable User	test01 - test01name

Or

If approval is required, a request for disabling User is created with update type “Disable User”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

User List - Disable Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Disable User	test04 - test04name

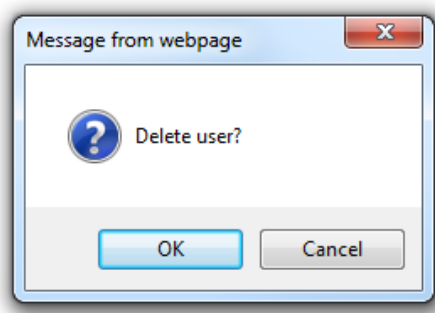
Remarks:

- The disabled User will be forced to logout if he/she is currently logged into the system.

➤ **Delete (i.e. to delete this User account)**

- This action is unavailable if (i) User is viewing his/her own User account, (ii) User is logged in, (iii) User has already been deleted, (iv) amendment relating to this User account is pending for approval or (v) the function is initiated from the “Approve Parameter Maintenance” function.

1. Click <Delete> button.
2. Click <OK> button in pop-up message dialog box to confirm.



3. If approval for such request is not required, the request is processed immediately, and the User account is deleted.

User Account - Delete Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Delete User	test01

Or

If approval is required, a request for deleting User account is created with update type “Delete User”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

User List - Delete Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Delete User	test04 - test04name

➤ **Change Password**

- This action is for authorised user to change passwords of other users.
- This action is unavailable (i) if the function is initiated from the “Approve Parameter Maintenance” function; or (ii) when User is viewing his/her own User account.

1. Click <Change Password> button.
2. “Change User Password” function is initiated.

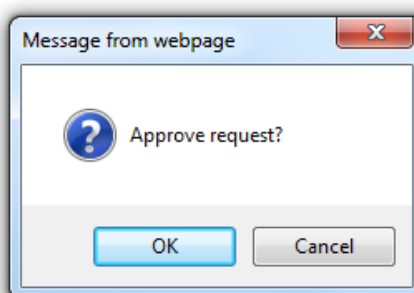
➤ **Hyperlink (i.e. to view the details of a specific Role)**

1. Click the hyperlink in the “Role Name” column in Administration Role List or Trade Role List.
2. “View Role Details” function is initiated.

➤ **Approve (i.e. to approve parameter maintenance request)**

- This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.

1. Click <Approve> button.
2. Click <OK> button in pop-up message dialog box to confirm.



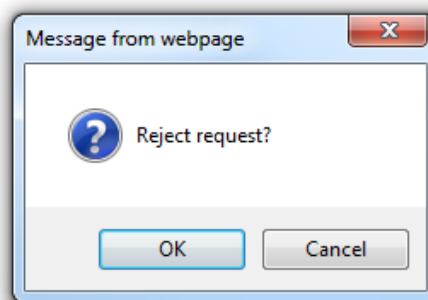
Remarks:

- The approval is rejected if the approver is the same User who (i) last updated the details or (ii) initiated the amendment and no other users updated the amendment details since then.

➤ **Reject (i.e. to reject parameter maintenance request)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Reject> button.
2. Click <OK> button in pop-up message dialog box to confirm.



➤ **View Change Log (i.e. to view the changes of updated fields)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <View Change Log> button.
2. Field level changes are displayed.

7.3 Maintain User Account Function

This function allows Users to modify the details of the selected User.

This function is initiated from:

- “View User Account” function
 - *by clicking the <Amend> button*

7.3.1 Maintain User Account

(i) Screen

User Account

General Information

Central Organisation:

CMUTR - HKMA CMUTR Team

User ID:

cmu01

User Name:

CMUTR User 1

User Access Method:

Internet

Enabled:

N

Internet User Details

SSL Client Certificate DN

Service Subscription

☐

Service

☒

Reporting Service

User Preference

Default Service:

Reporting Service

Administration Role List

	Role Name	Description	System Pre-defined User Role
☒	Broadcast Message	Broadcast Message	Y
☒	CO Maintenance	CO Maintenance	Y
☒	CO Maintenance Approval	CO Maintenance Approval	Y
☒	CO Status Approval	CO Status Approval	Y
☒	CO Status Maintenance	CO Status Maintenance	Y
☒	Data Access Group Maintenance	Data Access Group Maintenance	Y
☒	Data Access Group Maintenance Approval	Data Access Group Maintenance Approval	Y
☒	Event Enquiry	Event Enquiry	Y
☒	Exchange Rate Enquiry	Exchange Rate Enquiry	Y
☒	Holiday Maintenance	Holiday Maintenance	Y
☒	Holiday Maintenance Approval	Holiday Maintenance Approval	Y
☒	Local Terminal Access Approval	Local Terminal Access Approval	Y
☒	Local Terminal Access Maintenance	Local Terminal Access Maintenance	Y
☒	Notification Enquiry	Notification Enquiry	Y
☒	Operating Schedule Enquiry	Operating Schedule Enquiry	Y
☒	Participant Creation	Participant Creation	Y
☒	Participant Creation Approval	Participant Creation Approval	Y
☒	Participant List Enquiry	Participant List Enquiry	Y
☒	Participant Maintenance	Participant Maintenance	Y
☒	Participant Maintenance Approval	Participant Maintenance Approval	Y
☒	Report Delivery Approval (Admin)	Report Delivery Approval (Admin)	Y

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☒	Without View and Maintain Participant Details	Without View and Maintain Participant Details	N
☒	Without view CO	Without view CO	N
☒	Without View Function for Admin	Without View Function for Admin	N
☒	Without View Other User Account (All)	Without View Other User Account (All)	N
☒	Without View Other User Account (CO User)	Without View Other User Account (CO User)	N
☒	Without View Participant List	Without View Participant List	N
☒	Without View Role (CO User)	Without View Role (CO User)	N
☒	Without View Role Allocation List (CO User)	Without View Role Allocation List (CO User)	N
☒	Without View User List (CO User)	Without View User List (CO User)	N

Trade Role List (Reporting)

☒	Role Name	Description	System Pre-defined User Role
☒	Coding Scheme Approval	Coding Scheme Approval	Y
☒	Coding Scheme Enquiry	Coding Scheme Enquiry	Y
☒	Coding Scheme Maintenance	Coding Scheme Maintenance	Y
☒	Margin and Collateral Capture	Margin and Collateral Capture	Y
☒	Report Delivery Approval	Report Delivery Approval	Y
☒	Report Delivery Maintenance	Report Delivery Maintenance	Y
☒	Report Enquiry	Report Enquiry	Y
☒	Report Enquiry on Obsolete Reports (Reporting)	Report Enquiry on Obsolete Reports (Reporting)	Y
☒	Trade and Trade Event Enquiry (Reporting)	Trade and Trade Event Enquiry (Reporting)	Y
☒	Trade Capture	Trade Capture	Y
☒	Valuation Capture	Valuation Capture	Y
☒	Valuation Request Enquiry	Valuation Request Enquiry	Y
☒	cycle1_case104_role	cycle1_case104_role_no_viewTrade_reporting	N
☒	JC Test 101	JC Test 101	N
☒	JC Test 103	JC Test 103	N
☒	Manager for Reporting (Trade)	Manager for Reporting (Trade) : View + Approve Coding Scheme	N
☒	Officer for Reporting (Trade)	Officer for Reporting (Trade): View + Maintain Coding Scheme	N
☒	Super Role (Trade Report)	Super Role (Trade Report)	N
☒	Test JC013	Test JC013	N
☒	TF_066_Trade	For operation staff trade enquiry ONLY	N
☒	Trade RPT (View Only)	Trade RPT (View Only) : View Coding Scheme	N
☒	TradeReportTeam	TradeReportTeam	N
☒	Valuation Role	Valuation Request Role	N
☒	Without Approve Coding Scheme	Without Approve Coding Scheme	N
☒	Without Approve Report Schedule (Reporting)	Without Approve Report Schedule (Reporting)	N
☒	Without Capture	Without Trade, Valuation and Margin Capture	N
☒	Without Maintain Coding Scheme	Without Maintain Coding Scheme	N
☒	Without Trade and Trade Event Enquiry (Reporting)	Without Trade and Trade Event Enquiry (Reporting)	N
☒	Without Valuation Capture	Without Valuation Capture	N
☒	Without View and Maintain Coding Scheme	Without View and Maintain Coding Scheme	N
☒	Without View and Maintain Report List	Without View and Maintain Report List	N
☒	Without View Coding Scheme	Without View Coding Scheme	N
☒	Without view function for trade	Without view function for trade	N
☒	Without View Report Schedule (Reporting)	Without View Report Schedule (Reporting)	N

Pending Approval Update Type:

Apply

Reset

(ii) Field Description

Field	M/O/D*	Description
General Information		
Participant	D	ID and full name of TR Participant
User ID	D	The unique identifier of the User within the TR Participant
User Name	M	The name of User (with a maximum of 35 characters)
User Access Method	M	- The HKTR access method of the User - Possible values (only one of the followings): - SWIFTNet - Internet - Both SWIFTNet and Internet - Changing from SWIFTNet to Internet is disallowed if the User is currently logged in via the SWIFTNet, and vice versa
Enabled	D	- Indicator to show if the status of the User account is enabled - Possible values: - Y - N
SWIFT User Account Association		
Delete	O	- Checkbox for selecting the SWIFT user account to remove its association - This field is mandatory if access method is changed to "Internet" only.
SWIFT User Name	D	- The allocated SWIFT User Name to the User - According to SWIFT, it is an optional field. Blank will be displayed if it is not found in the SWIFT user certificate.
SWIFT User DN	D	The allocated SWIFT DN to the User.
Last Associate Date/Time	D	The timestamp at which the User successfully established the SWIFT User Account Association.
Internet User Details		
SSL Client Certificate DN	O	- Secure Socket Layer Client Certificate Distinguished Name for User authentication in the Internet - This field is mandatory if Internet access method is allocated to the User - This field is inapplicable if only SWIFTNet access method is allocated to the User
Service Subscriptions		
- Only the services subscribed by the TR Participant are listed.		
Allocation Checkbox	M	- Checkbox for the assignment of service(s) - At least 1 service must be selected
Service	D	- Service subscribed by the TR Participant - Possible value: - Reporting Service
User Preference		
- Only the services subscribed by the TR Participant are listed.		

Field	M/O/D*	Description
Default Service	M	- Default navigation menu to be launched after User successful logon - Possible selection: - Reporting Service
Administration Role List		
Allocation Checkbox	O	- Checkbox for the assignment of administration Role(s) - At least 1 Role from either Administration Role List or Trade Role Lists must be selected,
Role Name	D	The list of all available administration Roles (system pre-defined User Roles and Participant level Roles)
Description	D	Description of the Role
System Pre-defined User Role	D	- Indicator to show if the Role is a system pre-defined User Role - Possible values: - Y - N
Trade Role List (Reporting)		
Allocation Checkbox	O	- Checkbox for the assignment of Reporting Trade Role(s) - At least 1 Role must be selected if “Reporting” is selected in Service list - At least 1 Role from either Administration Role List or Trade Role Lists must be selected
Role Name	D	The list of all available Reporting Trade Roles (system pre-defined User Roles and Participant level Roles)
Description	D	Description of the Role
System Pre-defined User Role	D	- Indicator to show if the Role is a system pre-defined User Role - Possible values: - Y - N
Pending Approval Update Type		
Pending Approval Update Type	D	- The update type of pending approval - Possible values: - Create User - Change User Details - Delete User - Enable User - Disable User - Change User Password - Applicable only if there is an amendment pending for approval

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink (i.e. to view the details of a specific Role)**

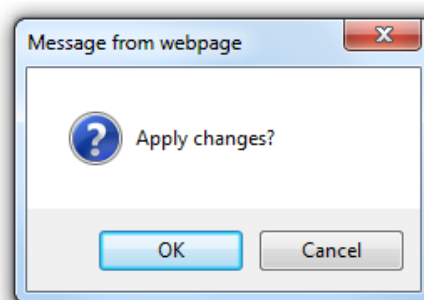
1. Click the hyperlink in the “Role Name” column of the Administration Role List or Trade Role List.
2. “View Role Details” function is initiated.

➤ **Apply**

1. (Optional) Update the User Name.
2. (Optional) Click the drop-down list of “User Access Method” to select an access method for the User.
3. (Optional) Select the SWIFT user account to remove its association.

Remarks: A warning message will be prompted to confirm the deletion of SWIFT User Account Association. The deletion of SWIFT User Account Association is not allowed if the User currently logs in. Once the association is removed, the SWIFT User Account Association screen will pop up when the SWIFT user log in again.

4. (Optional) Update the assignment of administration User Role(s) for the User account.
5. (Optional) Update the assignment of trade User Role(s) for the User account.
6. Click <Apply> button.
7. Click <OK> button in pop-up message dialog box to confirm.



8. If approval for such request is not required, the request is processed immediately, and the details of User account are updated.

User Account - Apply Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Change User Details	test01 - test01name

Or

If approval is required, a request for updating User details is created with updated type as “Change User Details”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

User Account - Apply Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Change User Details	test03 - test03Name

➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

7.4 Add Role Function

This function allows a User to add new Roles and is initiated from:

- Navigation Menu
 - by clicking “User and Role Maintenance > Add Role”
- “View Role Details” function
 - by clicking the <Create Like> button

If this function is initiated from (1) Navigation Menu, there is no pre-defined attribute of the Role details or (2) “View Role Details” function, a set of attributes is copied from the selected Role.

7.4.1 Role Details

(i) Screen

(a) Administration Role

Role	
Participant:	TEST100 - TEST100
Application Type:	Administration
Service:	
Role Name:	
Role Description:	
Action Right List	
☐	Participant
☐	View Participant Details
☐	Maintain Participant Details
☐	Participant List Enquiry
☐	View Participant List
☐	Operations Information
☐	View Notification Details

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☐	☐	Reports
	☐	View Report List (Admin)
	☐	View Report (Admin)
	☐	Maintain Report List (Admin)
	☐	View Report Schedule (Admin)
	☐	Maintain Report Schedule (Admin)
☐	☐	User
	☐	Add User Account
	☐	View Other User Account
	☐	Maintain User Account
	☐	View User List
	☐	Print All User Details
	☐	Maintain User Status
	☐	View Role Allocation List
	☐	Change Other User Password
☐	☐	Role
	☐	Add Role
	☐	View Role
	☐	Maintain Role
☐	☐	Parameter Maintenance Approval
	☐	Approve Report Schedule (Admin)
	☐	Approve Participant Maintenance
	☐	Approve User Account
	☐	Approve User Status
	☐	Approve Role
☐	☐	Event
	☐	View Event Log
	☐	View Event Details

Event Group List	
☐	Event Group
☐	Parameter Maintenance
☐	Trade Maintenance
☐	Security
☐	Business Exception

Report Access List		
☐	Report ID	Report Name
☐	ADMD0001	Administrative Functions Audit Trail Report
☐	ADMD0002	User Activity Statistics Report
☐	ADMD0004	TR Entity Information File (Daily Changes)
☐	ADMU0001	User List Details

(b) Trade Role (Reporting)

Role

Participant:

TEST100 - TEST100

Application Type:

Trade

Service:

Reporting Service

Role Name:

Role Description:

Action Right List

Reports

☐

View Report List (Reporting)

☐

View Report (Reporting)

☐

Maintain Report List (Reporting)

☐

View Report Schedule (Reporting)

☐

Maintain Report Schedule (Reporting)

Parameter Maintenance Approval

☐

Approve Report Schedule (Reporting)

Trade Capture

☐

Upload Trade Action Request File (ISO 20022)

☐

Upload Trade Event Request File (Reporting)

☐

View Trade Action Request File Capture (ISO 20022)

☐

View Trade Event Request File Capture (Reporting)

Trade and Trade Event Enquiry (Reporting)

☐

View Trade (Reporting)

☐

View Trade Event (Reporting)

☐

View Alleged Trade Event (Reporting)

Party ID Change Request

☐

Create Party ID Change Request

☐

Maintain Party ID Change Request List

Party ID Change Request Approval

☐

Approve Party ID Change Request - Create Party ID Change

☐

Approve Party ID Change Request - Delete Party ID Change

Valuation Capture

☐

Upload Valuation Request File

☐

Upload Valuation Action Request File (ISO 20022)

☐

View Valuation Request File Capture

☐

View Valuation Action Request File Capture (ISO 20022)

Valuation Request Enquiry

☐

View Valuation Request

Trade Attachment Maintenance

☐

Maintain Trade Attachment

Coding Scheme Enquiry

☐

View Coding Scheme

Margin and Collateral Capture

☐

Upload Margin and Collateral Action Request File (ISO 20022)

☐

View Margin and Collateral Action Request File Capture (ISO 20022)

Report Access List

Report ID	Report Name
CTRD2501-CDEXT-A	Trade Event Report (Master) - Credit:Other - Reporting Trade
CTRD2501-CDITC-A	Trade Event Report (Master) - Credit:IndexTranche:CDX - Reporting Trade
CTRD2501-CDITI-A	Trade Event Report (Master) - Credit:IndexTranche:ITrxx - Reporting Trade
CTRD2501-CDIXC-A	Trade Event Report (Master) - Credit:Index:CDX - Reporting Trade
CTRD2501-CDIXI-A	Trade Event Report (Master) - Credit:Index:ITrxx - Reporting Trade
CTRD2501-CDSNC-A	Trade Event Report (Master) - Credit:SingleName:Corporate - Reporting Trade
CTRD2501-CDSNS-A	Trade Event Report (Master) - Credit:SingleName:Sovereign - Reporting Trade
CTRD2501-CMEXT-A	Trade Event Report (Master) - Commodity:Other - Reporting Trade
CTRD2501-CMFWD-A	Trade Event Report (Master) - Commodity:Forward - Reporting Trade
CTRD2501-CMOPT-A	Trade Event Report (Master) - Commodity:Option - Reporting Trade
CTRD2501-CMSWP-A	Trade Event Report (Master) - Commodity:Swap - Reporting Trade
CTRD2501-EQDSW-A	Trade Event Report (Master) - Equity:Swap:ParameterReturnDividend - Reporting Trade
CTRD2501-EQEXT-A	Trade Event Report (Master) - Equity:Other - Reporting Trade
CTRD2501-EQOPT-A	Trade Event Report (Master) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade
CTRD2501-EQSWP-A	Trade Event Report (Master) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade
CTRD2501-EQVSW-A	Trade Event Report (Master) - Equity:Swap:ParameterReturnVariance - Reporting Trade
CTRD2501-FXEXT-A	Trade Event Report (Master) - ForeignExchange:Other - Reporting Trade
CTRD2501-FXFWD-A	Trade Event Report (Master) - ForeignExchange:Forward - Reporting Trade
CTRD2501-FXNDF-A	Trade Event Report (Master) - ForeignExchange:NDF - Reporting Trade
CTRD2501-FXNDO-A	Trade Event Report (Master) - ForeignExchange:NDO - Reporting Trade
CTRD2501-FXOPT-A	Trade Event Report (Master) - ForeignExchange:VanillaOption - Reporting Trade
CTRD2501-IRBSS-A	Trade Event Report (Master) - InterestRate:IRSwap:Basis - Reporting Trade
CTRD2501-IRCBS-A	Trade Event Report (Master) - InterestRate:CrossCurrency:Basis - Reporting Trade

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☐	CTRD2501-IRCF-A	Trade Event Report (Master) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade
☐	CTRD2501-IRCFR-A	Trade Event Report (Master) - InterestRate:CapFloor - Reporting Trade
☐	CTRD2501-IRCFX-A	Trade Event Report (Master) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade
☐	CTRD2501-IREXT-A	Trade Event Report (Master) - InterestRate:Other - Reporting Trade
☐	CTRD2501-IRFRA-A	Trade Event Report (Master) - InterestRate:FRA - Reporting Trade
☐	CTRD2501-IRFVF-A	Trade Event Report (Master) - InterestRate:IRSwap:FixedFloat - Reporting Trade
☐	CTRD2501-IRINF-A	Trade Event Report (Master) - InterestRate:IRSwap:Inflation - Reporting Trade
☐	CTRD2501-IROIS-A	Trade Event Report (Master) - InterestRate:IRSwap:OIS - Reporting Trade
☐	CTRD2501-IRSPT-A	Trade Event Report (Master) - InterestRate:Option:Swaption - Reporting Trade
☐	CTRD2501-IRSXX-A	Trade Event Report (Master) - InterestRate:IRSwap:FixedFixed - Reporting Trade
☐	CTRD2506-A	Party Bulk Conversion Report (Audit Trail)
☐	CTRD2506-B	Party Bulk Conversion Report (Trade Summary)
☐	CTRD2507	Participant Trade Attachment Activity Log Report
☐	CTRD2511-CD	Trade Action Report - Credit - ISO 20022
☐	CTRD2511-CM	Trade Action Report - Commodity - ISO 20022
☐	CTRD2511-EQ	Trade Action Report - Equity - ISO 20022
☐	CTRD2511-FX	Trade Action Report - Currency - ISO 20022
☐	CTRD2511-IR	Trade Action Report - Interest Rate - ISO 20022
☐	CTRD2601-CD	Trade Position Report - Credit - Reporting Trade
☐	CTRD2601-CM	Trade Position Report - Commodity - Reporting Trade
☐	CTRD2601-EQ	Trade Position Report - Equity - Reporting Trade
☐	CTRD2601-FX	Trade Position Report - Foreign Exchange - Reporting Trade
☐	CTRD2601-IR	Trade Position Report - Interest Rate - Reporting Trade
☐	CTRD2602-CDEXT-A	Trade Position (with update) Report (Master) - Credit:Other - Reporting Trade
☐	CTRD2602-CDITC-A	Trade Position (with update) Report (Master) - Credit:IndexTranche:CDX - Reporting Trade
☐	CTRD2602-CDITI-A	Trade Position (with update) Report (Master) - Credit:IndexTranche:Traxx - Reporting Trade
☐	CTRD2602-CDIXC-A	Trade Position (with update) Report (Master) - Credit:Index:CDX - Reporting Trade
☐	CTRD2602-CDIXI-A	Trade Position (with update) Report (Master) - Credit:Index:Traxx - Reporting Trade
☐	CTRD2602-CDINC-A	Trade Position (with update) Report (Master) - Credit:SingleName:Corporate - Reporting Trade
☐	CTRD2602-CDNSN-A	Trade Position (with update) Report (Master) - Credit:SingleName:Sovereign - Reporting Trade
☐	CTRD2602-CMEXT-A	Trade Position (with update) Report (Master) - Commodity:Other - Reporting Trade
☐	CTRD2602-CMFWD-A	Trade Position (with update) Report (Master) - Commodity:Forward - Reporting Trade
☐	CTRD2602-CMOPT-A	Trade Position (with update) Report (Master) - Commodity:Option - Reporting Trade
☐	CTRD2602-CMSWP-A	Trade Position (with update) Report (Master) - Commodity:Swap - Reporting Trade
☐	CTRD2602-EQDSW-A	Trade Position (with update) Report (Master) - Equity:Swap:ParameterReturnDividend - Reporting Trade
☐	CTRD2602-EQEXT-A	Trade Position (with update) Report (Master) - Equity:Other - Reporting Trade
☐	CTRD2602-EQOPT-A	Trade Position (with update) Report (Master) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade
☐	CTRD2602-EQSWP-A	Trade Position (with update) Report (Master) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade
☐	CTRD2602-EQSW-A	Trade Position (with update) Report (Master) - Equity:Swap:ParameterReturnVariance - Reporting Trade
☐	CTRD2602-FXEXT-A	Trade Position (with update) Report (Master) - ForeignExchange:Other - Reporting Trade
☐	CTRD2602-FXFW-A	Trade Position (with update) Report (Master) - ForeignExchange:Forward - Reporting Trade
☐	CTRD2602-FXNDF-A	Trade Position (with update) Report (Master) - ForeignExchange:NDF - Reporting Trade
☐	CTRD2602-FXNDO-A	Trade Position (with update) Report (Master) - ForeignExchange:NDO - Reporting Trade
☐	CTRD2602-FXOPT-A	Trade Position (with update) Report (Master) - ForeignExchange:VanillaOption - Reporting Trade
☐	CTRD2602-IRBSS-A	Trade Position (with update) Report (Master) - InterestRate:IRSwap:Basis - Reporting Trade
☐	CTRD2602-IRCBS-A	Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:Basis - Reporting Trade
☐	CTRD2602-IRCF-A	Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade
☐	CTRD2602-IRCFR-A	Trade Position (with update) Report (Master) - InterestRate:CapFloor - Reporting Trade
☐	CTRD2602-IRCFX-A	Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade
☐	CTRD2602-IREXT-A	Trade Position (with update) Report (Master) - InterestRate:Other - Reporting Trade
☐	CTRD2602-IRFRA-A	Trade Position (with update) Report (Master) - InterestRate:FRA - Reporting Trade
☐	CTRD2602-IRFVF-A	Trade Position (with update) Report (Master) - InterestRate:IRSwap:FixedFloat - Reporting Trade
☐	CTRD2602-IRINF-A	Trade Position (with update) Report (Master) - InterestRate:IRSwap:Inflation - Reporting Trade
☐	CTRD2602-IROIS-A	Trade Position (with update) Report (Master) - InterestRate:IRSwap:OIS - Reporting Trade
☐	CTRD2602-IRSPT-A	Trade Position (with update) Report (Master) - InterestRate:Option:Swaption - Reporting Trade
☐	CTRD2602-IRSXX-A	Trade Position (with update) Report (Master) - InterestRate:IRSwap:FixedFixed - Reporting Trade
☐	CTRD2603-CD	Participant Trade Reconciliation Discrepancy Report - Credit
☐	CTRD2603-CM	Participant Trade Reconciliation Discrepancy Report - Commodity
☐	CTRD2603-EQ	Participant Trade Reconciliation Discrepancy Report - Equity
☐	CTRD2603-FX	Participant Trade Reconciliation Discrepancy Report - Foreign Exchange
☐	CTRD2603-IR	Participant Trade Reconciliation Discrepancy Report - Interest Rate
☐	CTRD2604-CD	Participant Uncertain Unlink Report - Credit
☐	CTRD2604-CM	Participant Uncertain Unlink Report - Commodity
☐	CTRD2604-EQ	Participant Uncertain Unlink Report - Equity
☐	CTRD2604-FX	Participant Uncertain Unlink Report - Foreign Exchange
☐	CTRD2604-IR	Participant Uncertain Unlink Report - Interest Rate
☐	CTRD2611-CD	Trade Position Report - Credit - ISO 20022
☐	CTRD2611-CM	Trade Position Report - Commodity - ISO 20022
☐	CTRD2611-EQ	Trade Position Report - Equity - ISO 20022
☐	CTRD2611-FX	Trade Position Report - Currency - ISO 20022
☐	CTRD2611-IR	Trade Position Report - Interest Rate - ISO 20022
☐	CTRD2613	Participant Trade Reconciliation Discrepancy Report - ISO 20022
☐	CTRD2614	Participant Uncertain Unlink Report - ISO 20022
☐	CTRD2615	Participant Late Reporting Report - ISO 20022
☐	CTRD2701	Participant Valuation Request Report
☐	CTRD2702	Participant Missing Valuation Data Report
☐	CTRD2711	Participant Valuation Action Report - ISO 20022
☐	CTRD2811	Participant Margin and Collateral Action Report - ISO 20022
☐	CTRR5501	Trade Event Request Capture Report - Reporting Trade
☐	CTRR5502	Valuation Request File Capture Report
☐	DLVVRPT-MARGIN-ISO	Margin Action Response File - ISO 20022
☐	DLVVRPT-TR-ISO	Trade Action Response File - ISO 20022
☐	DLVVRPT-TR-R	Deliver Report Only (for Trade File Response) - Reporting Trade
☐	DLVVRPT-TRVLN	Deliver Report Only (for Valuation File Response)
☐	DLVVRPT-TRVLN-ISO	Valuation Action Response File - ISO 20022

Apply

Reset

(ii) Field Description

Field	M/O/D*	Description
General Information		
Participant	D	ID and full name of TR Participant
Application Type	M	- Available application types - Possible values (any one of the followings): - Administration - Trade - No change is allowed when this function is initiated by the “Create Like” action
Service	M	- Service associated with the Role - Valid value: - Reporting Service - The default value is blank - Enabled only when Application Type is “Trade” - No change is allowed when this function is initiated by the “Create Like” action
Role Name	M	The unique Role name of each application type for the TR Participant
Role Description	M	Description of the Role
Action Right List		
Selection Checkbox	O	- Checkbox for the assignment of action right(s) - Multiple selection is allowed - At least 1 action right must be selected
Action Right Name	D	The list of all available action rights
Event Group List		
- Only available when Application Type is “Administration”.		
Selection Checkbox	O	- Checkbox for the assignment of event group(s) - Multiple selection is allowed - At least 1 event must be selected if action right under Action Right Group “Event” is selected
Event Group Name	D	The list of all available event groups
Report Access List		
Selection Checkbox	O	- Checkbox for the assignment of report access - Multiple selection is allowed - Report ID must be selected for action rights associated to report access, e.g. The “Print All User Details” or any action right under the Action Right Group “Reports”
Report ID	D	Report IDs of all available reports
Report Name	D	Report names of all available reports

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Apply**

General Information

1. Enter the Application Type.
2. Click the list-box of “Service” list-box to select a service.
3. Enter Role Name which should be unique within the TR Participant.
4. Enter Role Description.

Action Right List

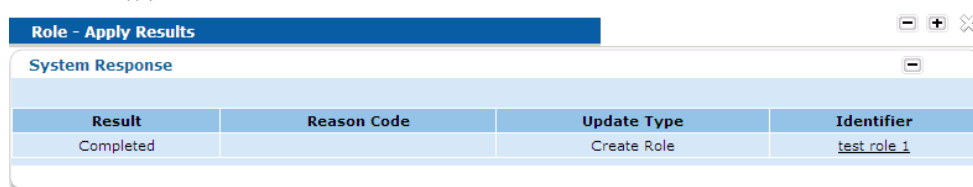
5. (Optional) Assign one or more action right(s) in Action Right List to this Role by checking corresponding checkbox(es).

Event Group List

6. (Optional) Assign one or more event(s) in Event Group(s) to this Role by checking corresponding checkbox(es).

Report Access List

7. (Optional) Assign one or more report(s) in Report Access(s) to this Role by checking corresponding checkbox(es).
8. Click <Apply> button.
9. If approval for such request is not required, the request is processed immediately, and the Role is created.



Role - Apply Results			
System Response			
Result	Reason Code	Update Type	Identifier
Completed		Create Role	test role 1

Or

If approval is required, a request for creating Role details is generated with update type as “Create Role”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.



Role - Apply Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Create Role	test role 1

➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

7.5 View Role List Function

This function allows User to search for a Role and view the details of the selected Role.

A Role list is sorted by “Application Type” and “Role Name” in ascending order by default.

This function is initiated from:

- Navigation Menu
 - by clicking the “User and Role Maintenance > View/ Maintain Role”

7.5.1 Selection Criteria of Role

(i) Screen

The screenshot shows a web application window titled "Role List". Inside, there is a "Selection Criteria" section with the following fields:

- Participant:** TEST100 - TEST100
- Application Type:** A dropdown menu currently showing "--All--".
- Service:** A dropdown menu.
- Role Name:** A text input field.
- Role Description:** A text input field.
- Role Type:** A dropdown menu currently showing "--All--".

At the bottom right of the form, there are two buttons: "Search" and "Reset".

(ii) Field Description

Field	M/O/D*	Description
Participant	D	ID and full name of TR Participant
Application Type	M	- List of all available application types - Possible values: - All (default) - Administration - Trade
Service	M	- Service associated with the Role - Valid value: - Reporting Service - The default value is blank (invalid) - Enabled only when Application Type is "Trade"
Role Name	O	- The unique Role name - Wildcard search is supported
Role Description	O	- Description of the Role - Wildcard search is supported
Role Type	O	- Type of the Role - Possible Selections: - All - System Pre-defined User Role - Participant Level Role

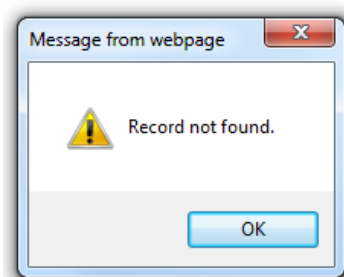
*Note: "M" refers to mandatory field for input by User, "O" refers to optional field for input by User and "D" refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Search**

1. (Optional) Select the Application Type.
2. Click the list-box of “Service” list-box to select a service.
3. (Optional) Enter the Role Name.
4. (Optional) Enter the Role Description.
5. (Optional) Select the Role Type.
6. Click <Search> button.
7. The Role(s) which match(es) with the selection criteria is/are displayed. If Role is not found, the following pop-up message dialog box will be displayed.



➤ **Reset**

1. Click <Reset> button to set all the fields to their original value

7.5.2 Role List

The Role list is sorted by ascending order of Application Type, Service, Role Name and Role Type.

(i) Screen

Application Type	Service	Role Name	Role Description	Role Type
Trade	Reporting Service	Party ID Change Request	Party ID Change Request	System Pre-defined User Role
Trade	Reporting Service	Party ID Change Request Approval	Party ID Change Request Approval	System Pre-defined User Role
Trade	Reporting Service	Report Delivery Approval (Reporting)	Report Delivery Approval (Reporting) for all reports	System Pre-defined User Role
Trade	Reporting Service	Report Delivery Approval (Reporting) Exclude CTRD2603/2604	Report Delivery Approval (Reporting) Exclude Reconciliation Discrepancy/Uncertain Unlink Report	System Pre-defined User Role
Trade	Reporting Service	Report Delivery Approval (Reporting) for CTRD2603	Report Delivery Approval (Reporting) for CTRD2603	System Pre-defined User Role
Trade	Reporting Service	Report Delivery Approval (Reporting) for CTRD2604	Report Delivery Approval (Reporting) for CTRD2604	System Pre-defined User Role
Trade	Reporting Service	Report Delivery Maintenance (Reporting)	Report Delivery Maintenance (Reporting) for all reports	System Pre-defined User Role
Trade	Reporting Service	Report Delivery Maintenance (Reporting) Exclude CTRD2603/2604	Report Delivery Maintenance (Reporting) Exclude Reconciliation Discrepancy/Uncertain Unlink Report	System Pre-defined User Role
Trade	Reporting Service	Report Delivery Maintenance (Reporting) for CTRD2603	Report Delivery Maintenance (Reporting) for CTRD2603	System Pre-defined User Role
Trade	Reporting Service	Report Delivery Maintenance (Reporting) for CTRD2604	Report Delivery Maintenance (Reporting) for CTRD2604	System Pre-defined User Role
Trade	Reporting Service	Report Enquiry (Reporting)	Report Enquiry (Reporting) for all reports	System Pre-defined User Role
Trade	Reporting Service	Report Enquiry (Reporting) Exclude CTRD2603/2604	Report Enquiry (Reporting) Exclude Reconciliation Discrepancy/Uncertain Unlink Report	System Pre-defined User Role
Trade	Reporting Service	Report Enquiry (Reporting) for CTRD2603	Report Enquiry (Reporting) for CTRD2603	System Pre-defined User Role
Trade	Reporting Service	Report Enquiry (Reporting) for CTRD2604	Report Enquiry (Reporting) for CTRD2604	System Pre-defined User Role
Trade	Reporting Service	Report Enquiry on Obsolete Reports (Reporting)	Report Enquiry on Obsolete Reports (Reporting)	System Pre-defined User Role
Trade	Reporting Service	test role 1	test role 1	Participant Level Role
Trade	Reporting Service	Trade and Trade Event Enquiry (Reporting)	Trade and Trade Event Enquiry (Reporting)	System Pre-defined User Role
Trade	Reporting Service	Trade Attachment Maintenance	Trade Attachment Maintenance	System Pre-defined User Role
Trade	Reporting Service	Trade Capture (Reporting)	Trade Capture (Reporting)	System Pre-defined User Role
Trade	Reporting Service	Valuation Capture	Valuation Capture	System Pre-defined User Role
Trade	Reporting Service	Valuation Request Enquiry	Valuation Request Enquiry	System Pre-defined User Role

(ii) Field Description

Field	Description
Application Type	- The application type of the Role - Possible values: - Administration - Trade
Service	- Service subscribed by the TR Participant - Possible value: - Reporting Service - Blank is displayed when Application Type is “Administration”

Field	Description
Role Name	▪ Name of the Role
Role Description	▪ Description of the Role
Role Type	▪ Type of the Role ▪ Possible values: • System Pre-defined User Role • Participant Level Role

(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink (i.e. to view the details of a specific Role)**

1. Click the hyperlink in the “Role Name” column in Role List.
2. “View Role Details” function is initiated.

7.6 View Role Details Function

This function allows User to search for a Role and view the details of the selected Role.

This function is initiated from:

- “View Role List” function
 - *by clicking the hyperlink in the “Role Name” column of the Role List*
- “Add User Account”, “View User Account” or “Maintain User Account” functions
 - *by clicking the hyperlink in the “Role Name” column of the Administration Role List or the Trade Role List*
- “Approve Parameter Maintenance” function
 - *by clicking the hyperlink in the “Identifier” column of a pending approval request with update type “Role Name”*

(i) Screen

Role Details

Role

Application Type: Trade

Service: Reporting Service

Role Name: Report Enquiry on Obsolete Reports (Reporting)

Role Description: Report Enquiry on Obsolete Reports (Reporting)

Role Type: System Pre-defined User Role

Action Right List

Reports

- View Report List (Reporting)
- View Report (Reporting)

Report Access List

Report ID	Report Name
CTRD2502	Alleged Trade Event Report - Reporting Trade
CTRD2503	Alleged Trade Event (Pending Response) Report - Reporting Trade
CTRD2505-A	Trade Event Capture Daily Summary Report (Self Submission) - Reporting Trade
CTRD2505-B	Trade Event Capture Daily Summary Report (Submission on Behalf of Others) - Reporting Trade

Approval Status

Pending Approval Update Type:

[View Users](#) [Create Like](#)

(ii) Field Description

Field	Description
Participant	- ID and full name of TR Participant - This field is available only when Role Type is “Participant Level Role”
Application Type	- The application type of the Role - Possible values: - Administration - Trade
Service	- Service associated with the Role - Possible value: - Reporting Service - Blank is displayed when Application Type is “Administration”
Role Name	Name of the Role
Role Description	Description of the Role
Role Type	- Type of the Role - Possible values: - System Pre-defined User Role - Participant Level Role
Action Right List	
Action Right Description	A list of Action Rights assigned to the Role
Event Group List	
- Applicable only when Application Type is “Administration”.	
Event Group	The accessible event groups of the Role
Report Access List	
Report ID	The list of accessible System Report ID and User Requested Report ID

Field	Description
Report Name	▪ Name of the report
Pending Approval Update Type	▪ The name of the update type pending for approval ▪ Possible values: • Create Role • Change Role Details • Delete Role ▪ Applicable only if there is an amendment pending for approval

(iii) Processing Steps

User can perform the following actions:

➤ **View Users (i.e. to view the User list who is assigned with the selected Role)**

– *This action is unavailable when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <View Users> button.
2. “View Role Allocation List” function is initiated to display the Users allocated with the selected Role.

➤ **Amend**

– *This action is not available if (i) this Role is a system pre-defined User Role or (ii) the Pending Approval Update Type of the Role is “Delete Role”.*

1. Click <Amend> button.
2. “Maintain Role Details” function is initiated for modification of the Role.

➤ **Create Like (i.e. to create a new Role based on the selected Role)**

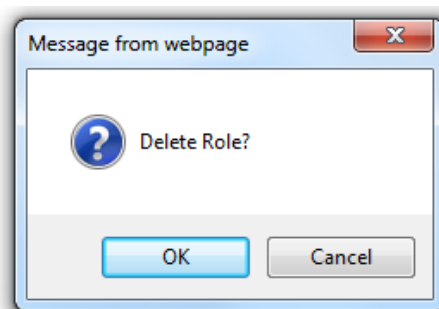
– *This action is unavailable when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Create Like> button.
2. “Add Role” function is initiated and the parameters are pre-selected which are the same as the selected Role.

➤ **Delete**

- This action is not available if (i) this Role is a system pre-defined User Role, (ii) the Role is associated with any Pending Approval Update Type or (iii) the function is initiated from the “Approve Parameter Maintenance” function.

1. Click <Delete> button.
2. Click <OK> button in pop-up message dialog box to confirm.



3. If approval for such request is not required, the request is processed immediately, and the User Role is deleted.

Role Details - Delete Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Delete Role	Test Role 1

Or

If approval is required, a request for deleting User Role is created with update type as “Delete Role”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

Role - Delete Result			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Delete Role	test role 1

Remarks:

- A warning message is displayed if there are Users still allocated with the Role.

➤ **Approve (i.e. to approve parameter maintenance request)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Approve> button.
2. Click <OK> button in pop-up message dialog box to confirm.

Remarks:

- The approval is rejected if the approver is the same User who (i) last updated the details or (ii) initiated the amendment and no other users updated the amendment details since then.

➤ **Reject (i.e. to reject parameter maintenance request)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Reject> button.
2. Click <OK> button in pop-up message dialog box to confirm.

➤ **View Change Log (i.e. to view the changes of updated fields)**

- *This action is only available when (i) the function is initiated from the “Approve Parameter Maintenance” function or (ii) the Pending Approval Update Type of the Role is “Delete Role”.*

1. Click <View Change Log> button.
2. Field level changes are displayed.

7.7 Maintain Role Details Function

This function allows User to modify the details of a selected Participant Level Role.

This function is initiated from:

- “View Role Details” function
 - by clicking the <Amend> button

7.7.1 Maintain Role Details

(i) Screen

View Role Details > Maintain Role Details

Maintain Role Details

Role

Participant:

Application Type:

Service:

Role Name:

Role Description:

Role Type:

Trade

Reporting Service

Test 1

Test 1

Participant Level Role

Action Right List

☐	Reports
☐	View Report List (Reporting)
☐	View Report (Reporting)
☐	Maintain Report List (Reporting)
☐	View Report Schedule (Reporting)
☐	Maintain Report Schedule (Reporting)
☐	Parameter Maintenance Approval
☐	Approve Report Schedule (Reporting)
☐	Trade Capture
☐	Upload Trade Action Request File (ISO 20022)
☐	Upload Trade Event Request File (Reporting)
☐	View Trade Action Request File Capture (ISO 20022)
☐	View Trade Event Request File Capture (Reporting)
☐	Trade and Trade Event Enquiry (Reporting)
☐	View Trade (Reporting)
☐	View Trade Event (Reporting)
☐	View Alleged Trade Event (Reporting)
☐	Party ID Change Request
☐	Create Party ID Change Request
☐	Maintain Party ID Change Request List
☐	Party ID Change Request Approval
☐	Approve Party ID Change Request - Create Party ID Change
☐	Approve Party ID Change Request - Delete Party ID Change
☐	Valuation Capture
☐	Upload Valuation Request File
☐	Upload Valuation Action Request File (ISO 20022)
☐	View Valuation Request File Capture
☐	View Valuation Action Request File Capture (ISO 20022)
☐	Valuation Request Enquiry
☐	View Valuation Request
☐	Trade Attachment Maintenance
☐	Maintain Trade Attachment
☐	Coding Scheme Enquiry
☐	View Coding Scheme
☐	Margin and Collateral Capture
☐	Upload Margin and Collateral Action Request File (ISO 20022)
☐	View Margin and Collateral Action Request File Capture (ISO 20022)

Report Access List

Report ID	Report Name
☐ CTRD2501-CDEXT-A	Trade Event Report (Master) - Credit:Other - Reporting Trade
☐ CTRD2501-CDITC-A	Trade Event Report (Master) - Credit:IndexTranche:CDX - Reporting Trade

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☐	CTRD2501-CDITI-A	Trade Event Report (Master) - Credit:IndexTranche:Traxx - Reporting Trade
☐	CTRD2501-CDIXC-A	Trade Event Report (Master) - Credit:Index:CDX - Reporting Trade
☐	CTRD2501-CDIXI-A	Trade Event Report (Master) - Credit:Index:Traxx - Reporting Trade
☐	CTRD2501-CDSINC-A	Trade Event Report (Master) - Credit:SingleName:Corporate - Reporting Trade
☐	CTRD2501-CDSINS-A	Trade Event Report (Master) - Credit:SingleName:Sovereign - Reporting Trade
☐	CTRD2501-CMEKT-A	Trade Event Report (Master) - Commodity:Other - Reporting Trade
☐	CTRD2501-CMFWD-A	Trade Event Report (Master) - Commodity:Forward - Reporting Trade
☐	CTRD2501-CMOPT-A	Trade Event Report (Master) - Commodity:Option - Reporting Trade
☐	CTRD2501-CMSWP-A	Trade Event Report (Master) - Commodity:Swap - Reporting Trade
☐	CTRD2501-EQDSW-A	Trade Event Report (Master) - Equity:Swap:ParameterReturnDividend - Reporting Trade
☐	CTRD2501-EQEXT-A	Trade Event Report (Master) - Equity:Other - Reporting Trade
☐	CTRD2501-EQOPT-A	Trade Event Report (Master) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade
☐	CTRD2501-EQSWP-A	Trade Event Report (Master) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade
☐	CTRD2501-EQVSW-A	Trade Event Report (Master) - Equity:Swap:ParameterReturnVariance - Reporting Trade
☐	CTRD2501-FXEXT-A	Trade Event Report (Master) - ForeignExchange:Other - Reporting Trade
☐	CTRD2501-FXFWD-A	Trade Event Report (Master) - ForeignExchange:Forward - Reporting Trade
☐	CTRD2501-FXNDF-A	Trade Event Report (Master) - ForeignExchange:NDF - Reporting Trade
☐	CTRD2501-FXNDO-A	Trade Event Report (Master) - ForeignExchange:NDO - Reporting Trade
☐	CTRD2501-FXOPT-A	Trade Event Report (Master) - ForeignExchange:VanillaOption - Reporting Trade
☐	CTRD2501-IRBSS-A	Trade Event Report (Master) - InterestRate:IRSwap:Basis - Reporting Trade
☐	CTRD2501-IRCBS-A	Trade Event Report (Master) - InterestRate:CrossCurrency:Basis - Reporting Trade
☐	CTRD2501-IRCF-A	Trade Event Report (Master) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade
☐	CTRD2501-IRCFR-A	Trade Event Report (Master) - InterestRate:CapFloor - Reporting Trade
☐	CTRD2501-IRCIX-A	Trade Event Report (Master) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade
☐	CTRD2501-IREXT-A	Trade Event Report (Master) - InterestRate:Other - Reporting Trade
☐	CTRD2501-IRFRA-A	Trade Event Report (Master) - InterestRate:FRA - Reporting Trade
☐	CTRD2501-IRFVF-A	Trade Event Report (Master) - InterestRate:IRSwap:FixedFloat - Reporting Trade
☐	CTRD2501-IRINF-A	Trade Event Report (Master) - InterestRate:IRSwap:Inflation - Reporting Trade
☐	CTRD2501-IROIS-A	Trade Event Report (Master) - InterestRate:IRSwap:OIS - Reporting Trade
☐	CTRD2501-IRSPT-A	Trade Event Report (Master) - InterestRate:Option:Swaption - Reporting Trade
☐	CTRD2501-IRSIX-A	Trade Event Report (Master) - InterestRate:IRSwap:FixedFixed - Reporting Trade
☐	CTRD2506-A	Party Bulk Conversion Report (Audit Trail)
☐	CTRD2506-B	Party Bulk Conversion Report (Trade Summary)
☐	CTRD2507	Participant Trade Attachment Activity Log Report
☐	CTRD2511-CD	Trade Action Report - Credit - ISO 20022
☐	CTRD2511-CM	Trade Action Report - Commodity - ISO 20022
☐	CTRD2511-EQ	Trade Action Report - Equity - ISO 20022
☐	CTRD2511-FX	Trade Action Report - Currency - ISO 20022
☐	CTRD2511-IR	Trade Action Report - Interest Rate - ISO 20022
☐	CTRD2601-CD	Trade Position Report - Credit - Reporting Trade
☐	CTRD2601-CM	Trade Position Report - Commodity - Reporting Trade
☐	CTRD2601-EQ	Trade Position Report - Equity - Reporting Trade
☐	CTRD2601-FX	Trade Position Report - Foreign Exchange - Reporting Trade
☐	CTRD2601-IR	Trade Position Report - Interest Rate - Reporting Trade
☐	CTRD2602-CDEXT-A	Trade Position (with update) Report (Master) - Credit:Other - Reporting Trade
☐	CTRD2602-CDITC-A	Trade Position (with update) Report (Master) - Credit:IndexTranche:CDX - Reporting Trade
☐	CTRD2602-CDITI-A	Trade Position (with update) Report (Master) - Credit:IndexTranche:Traxx - Reporting Trade
☐	CTRD2602-CDIXC-A	Trade Position (with update) Report (Master) - Credit:Index:CDX - Reporting Trade
☐	CTRD2602-CDIXI-A	Trade Position (with update) Report (Master) - Credit:Index:Traxx - Reporting Trade
☐	CTRD2602-CDSINC-A	Trade Position (with update) Report (Master) - Credit:SingleName:Corporate - Reporting Trade
☐	CTRD2602-CDSINS-A	Trade Position (with update) Report (Master) - Credit:SingleName:Sovereign - Reporting Trade
☐	CTRD2602-CMEXT-A	Trade Position (with update) Report (Master) - Commodity:Other - Reporting Trade
☐	CTRD2602-CMFWD-A	Trade Position (with update) Report (Master) - Commodity:Forward - Reporting Trade
☐	CTRD2602-CMOPT-A	Trade Position (with update) Report (Master) - Commodity:Option - Reporting Trade
☐	CTRD2602-CMSWP-A	Trade Position (with update) Report (Master) - Commodity:Swap - Reporting Trade
☐	CTRD2602-EQDSW-A	Trade Position (with update) Report (Master) - Equity:Swap:ParameterReturnDividend - Reporting Trade

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☐	CTRD2602-EQEXT-A	Trade Position (with update) Report (Master) - Equity/Other - Reporting Trade
☐	CTRD2602-EQOPT-A	Trade Position (with update) Report (Master) - Equity/Option/PriceReturnBasicPerformance - Reporting Trade
☐	CTRD2602-EQSWP-A	Trade Position (with update) Report (Master) - Equity/Swap/PriceReturnBasicPerformance - Reporting Trade
☐	CTRD2602-EQVSW-A	Trade Position (with update) Report (Master) - Equity/Swap/ParameterReturnVariance - Reporting Trade
☐	CTRD2602-FXEXT-A	Trade Position (with update) Report (Master) - ForeignExchange/Other - Reporting Trade
☐	CTRD2602-FXFWA-A	Trade Position (with update) Report (Master) - ForeignExchange/Forward - Reporting Trade
☐	CTRD2602-FXNDF-A	Trade Position (with update) Report (Master) - ForeignExchange/NDF - Reporting Trade
☐	CTRD2602-FXNDO-A	Trade Position (with update) Report (Master) - ForeignExchange/NDO - Reporting Trade
☐	CTRD2602-FXOPT-A	Trade Position (with update) Report (Master) - ForeignExchange/VanillaOption - Reporting Trade
☐	CTRD2602-IRBSS-A	Trade Position (with update) Report (Master) - InterestRate/IRSwap/Basis - Reporting Trade
☐	CTRD2602-IRCBS-A	Trade Position (with update) Report (Master) - InterestRate/CrossCurrency/Basis - Reporting Trade
☐	CTRD2602-IRCF-A	Trade Position (with update) Report (Master) - InterestRate/CrossCurrency/FixedFloat - Reporting Trade
☐	CTRD2602-IRCFR-A	Trade Position (with update) Report (Master) - InterestRate/CapFloor - Reporting Trade
☐	CTRD2602-IRCOX-A	Trade Position (with update) Report (Master) - InterestRate/CrossCurrency/FixedFixed - Reporting Trade
☐	CTRD2602-IREXT-A	Trade Position (with update) Report (Master) - InterestRate/Other - Reporting Trade
☐	CTRD2602-IRFRA-A	Trade Position (with update) Report (Master) - InterestRate/FRA - Reporting Trade
☐	CTRD2602-IRFVA-A	Trade Position (with update) Report (Master) - InterestRate/IRSwap/FixedFloat - Reporting Trade
☐	CTRD2602-IRINF-A	Trade Position (with update) Report (Master) - InterestRate/IRSwap/Inflation - Reporting Trade
☐	CTRD2602-IROIS-A	Trade Position (with update) Report (Master) - InterestRate/IRSwap/OIS - Reporting Trade
☐	CTRD2602-IRSPT-A	Trade Position (with update) Report (Master) - InterestRate/Option/SwapOption - Reporting Trade
☐	CTRD2602-IRSXX-A	Trade Position (with update) Report (Master) - InterestRate/IRSwap/FixedFixed - Reporting Trade
☐	CTRD2603-CD	Participant Trade Reconciliation Discrepancy Report - Credit
☐	CTRD2603-CM	Participant Trade Reconciliation Discrepancy Report - Commodity
☐	CTRD2603-EQ	Participant Trade Reconciliation Discrepancy Report - Equity
☐	CTRD2603-FX	Participant Trade Reconciliation Discrepancy Report - Foreign Exchange
☐	CTRD2603-IR	Participant Trade Reconciliation Discrepancy Report - Interest Rate
☐	CTRD2604-CD	Participant Uncertain Unlink Report - Credit
☐	CTRD2604-CM	Participant Uncertain Unlink Report - Commodity
☐	CTRD2604-EQ	Participant Uncertain Unlink Report - Equity
☐	CTRD2604-FX	Participant Uncertain Unlink Report - Foreign Exchange
☐	CTRD2604-IR	Participant Uncertain Unlink Report - Interest Rate
☐	CTRD2611-CD	Trade Position Report - Credit - ISO 20022
☐	CTRD2611-CM	Trade Position Report - Commodity - ISO 20022
☐	CTRD2611-EQ	Trade Position Report - Equity - ISO 20022
☐	CTRD2611-FX	Trade Position Report - Currency - ISO 20022
☐	CTRD2611-IR	Trade Position Report - Interest Rate - ISO 20022
☐	CTRD2613	Participant Trade Reconciliation Discrepancy Report - ISO 20022
☐	CTRD2614	Participant Uncertain Unlink Report - ISO 20022
☐	CTRD2615	Participant Late Reporting Report - ISO 20022
☐	CTRD2701	Participant Valuation Request Report
☐	CTRD2702	Participant Missing Valuation Data Report
☐	CTRD2711	Participant Valuation Action Report - ISO 20022
☐	CTRD2811	Participant Margin and Collateral Action Report - ISO 20022
☐	CTRR5501	Trade Event Request Capture Report - Reporting Trade
☐	CTRR5502	Valuation Request File Capture Report
☐	DLVVRPT-MARGIN-ISO	Margin Action Response File - ISO 20022
☐	DLVVRPT-TR-ISO	Trade Action Response File - ISO 20022
☐	DLVVRPT-TR-R	Deliver Report Only (for Trade File Response) - Reporting Trade
☐	DLVVRPT-TRVLN	Deliver Report Only (for Valuation File Response)
☐	DLVVRPT-TRVLN-ISO	Valuation Action Response File - ISO 20022

Approval Status
Pending Approval Update Type:

Apply
Reset

(ii) Field Description

Field	M/O/D*	Description
Participant	D	ID and full name of TR Participant
Application Type	D	- The application type of the Role - Possible values: - Administration - Trade
Service	D	- Service associated with the Role - Possible value: - Reporting Service - Blank is displayed when Application Type is “Administration”
Role Name	M	Name of the Role
Role Description	M	Description of the Role
Role Type	D	- Type of the Role - Possible values: - System Pre-defined User Role - Participant Level Role
Action Right List		
Selection Checkbox	O	Checkbox for selecting the Action Rights to the Role
Action Right	D	A list of action rights (grouped by action right group) of the selected application type
Event Group List		
- Applicable only if the Application Type is “Administration”.		
Selection Checkbox	O	Checkbox for selecting the event group to the Role
Event Group	D	The list of supported event group
Report Access List (including User Requested Report and System Report)		
Selection Checkbox	O	Checkbox for selecting the accessible report to the Role
Report ID	D	The list of available report ID of the selected Application Type
Report Name	D	The name of the report
Pending Approval Update Type	D	- The name of the update type which is pending for approval. - Possible values: - Create Role - Change Role Details - Applicable only if there is an amendment pending for approval

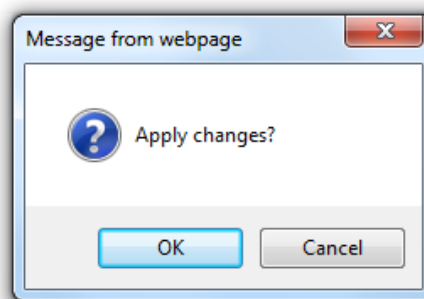
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Apply**

1. (Optional) Update the Role Name.
2. (Optional) Update the Role Description.
3. (Optional) Update the selection of Action Right(s) in Action Right List.
4. (Optional) Update the selection of event group(s) in Event Group List.
5. (Optional) Update the selection of report(s) in Report Access List.
6. Click <Apply> button.
7. Click <OK> button in pop-up message dialog box to confirm.



8. If approval for such request is not required, the request is processed immediately, and the User Role is updated. Modifications of Role details will be effective when user logs in next time.

Role - Apply Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Change Role Details	<u>Test Role 1</u>

Or

If approval is required, a request for updating User Role is created with update type as “Change Role Details”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

Role - Apply Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Change Role Details	test role 1

➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

7.8 View User List Function

This function shows a list of Users of the TR Participant. Users can enable, disable, delete and force a specific User to logout.

This function is initiated from:

- Navigation Menu
 - by clicking “User and Role Maintenance > User List”
- “View Participant Details” function
 - by clicking the <View Users> button

7.8.1 Selection Criteria of User

(i) Screen

Selection Criteria

Participant: TEST004 - TEST004 Full Name

Service: Reporting Service

User ID:

User Name:

SWIFT User Name:

Display Options

Records Per Page: 25

Sorting Order

Available Fields: User ID, User Name, SWIFT User Name, Enabled, Logged In, Last Login Time

Selected Fields: Asc (selected), Des

Add >> Remove <<

Move Up Move Down

(ii) Field Description

Field	M/O/D*	Description
Selection Criteria		
Participant	D	ID and full name of TR Participant
Service	M	- Service assigned to the User - Possible value: - Reporting Service
User ID	O	- The unique identifier of the User within the TR Participant - Wildcard search is supported
User Name	O	- Name of the User - Wildcard search is supported
SWIFT User Name	O	- The allocated SWIFT User Name to the User - Wildcard search is supported
Display Options		
Refer to Section 4 “Getting Started” for field details and processing steps of Display Options.		

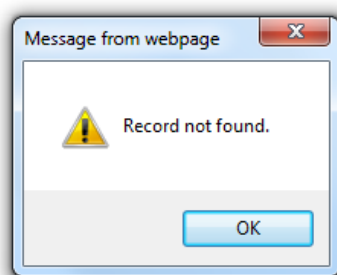
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Search**

1. Click the list-box of “Service” list-box to select a service.
2. (Optional) Enter the User ID.
3. (Optional) Enter the User name.
4. Click <Search> button.
5. The User(s) which match(es) with the selection criteria is/are displayed. If no User can be found, the following pop-up message dialog box will be displayed.



➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

7.8.2 User List

(i) Screen

User List								
Page 1 of 1								
☐	User ID	User Name	SWIFT User Name	Service	Enabled	Logged In	Last Login Time	Pending Approval Update Type
☐	defadmin1	Default Administrator 1		Reporting Service	Y	N	2014-06-24 14:42:04	
☐	defadmin2	Default Administrator 2		Reporting Service	Y	N	2014-06-24 14:39:52	
☐	test01	test01	test01	Reporting Service	Y	N	2022-10-11 14:35:13	
☐	test02	test02		Reporting Service	Y	N		
☐	test03	test03		Reporting Service	Y	N		
Page 1 of 1								

(ii) Field Description

Field	M/O/D*	Description
Selection Checkbox	O	▪ Checkbox for selecting one or more Users to perform further action
User ID	D	▪ The unique identifier of the User within the TR Participant
User Name	D	▪ Name of the User

Field	M/O/D*	Description
SWIFT User Name	D	▪ The allocated SWIFT User Name to the User ▪ According to SWIFT, it is an optional field. Blank will be displayed if it is not found in the SWIFT user certificate.
Service	D	▪ Service assigned to the User ▪ Possible value: • Reporting Service
Enabled	D	▪ Indicator to show if the status of the User account is enabled ▪ Possible values: • Y • N
Logged In	D	▪ Indicator to show if the User has logged in the system ▪ Possible values: • Y • N
Last Login Time	D	▪ The last login date and time
Pending Approval Update Type	D	▪ The name of the update type which is pending for approval ▪ Possible values: • Change User Details • Delete User • Enable User • Disable User ▪ Applicable only if there is an amendment pending for approval
Display Options		
Refer to Section 4 “Getting Started” for field details and processing steps of Display Options.		

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

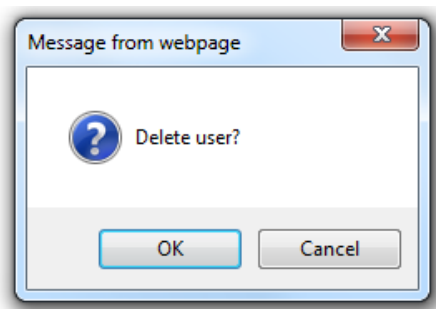
➤ Hyperlink (i.e. to view the details of a specific User)

1. Click the hyperlink of “User ID” field to view the details of a specific User.
2. “View User Account” function is initiated.

➤ **Delete**

- This action is unavailable if (i) User is currently logged in, (ii) the selected User account has already been deleted or (iii) there is pending approval request of User related update type associated with the selected User.

1. Select one or more User(s).
2. Click <Delete> button.
3. Click <OK> button in pop-up message dialog box to confirm.



4. If approval for such request is not required, the request is processed immediately, and the User account is deleted.

User List - Delete Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Delete User	test01

Or

If approval is required, a request for deleting User is created with update type “Delete User”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

User List - Delete Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Delete User	test03 - test03Name

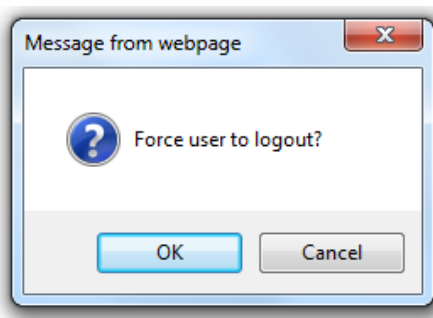
Remarks:

- All the unapproved requests and events initiated by this User will be retained in the system.

➤ **Force Logout**

– This action is applicable only to those Users who have logged in the system.

1. Select one or more User(s).
2. Click <Force Logout> button.
3. Click <OK> button in pop-up message dialog box to confirm.

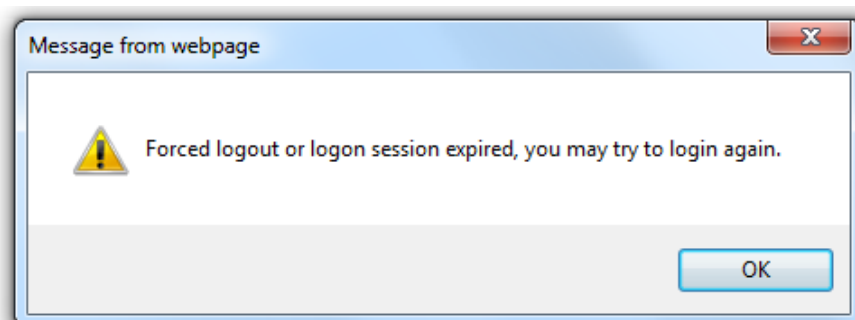


4. The processing result is displayed. Refer to Section 4 “Getting Started” for more details of the Result Screen.



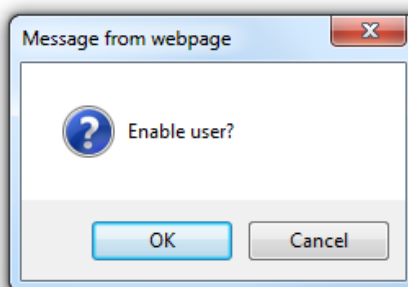
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Force Logout	test01

5. Click <Return> button to return to the User List screen.
6. The following pop-up message dialog box is shown to the forced logout User(s).



➤ **Enable**

- This action is applicable only to those User accounts which (i) have been disabled and (ii) have no pending approve request on User related update type.
1. Select one or more User(s).
 2. Click <Enable> button.
 3. Click <OK> button in pop-up message dialog box to confirm.



4. If approval for such request is not required, the request is processed immediately and the User account status is enabled.

User List - Enable Results			
System Response			
Result	Reason Code	Update Type	Identifier
Completed		Enable User	test03 - test03Name

Or

If approval is required, a request for enable User is created with update type as “Enable User”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

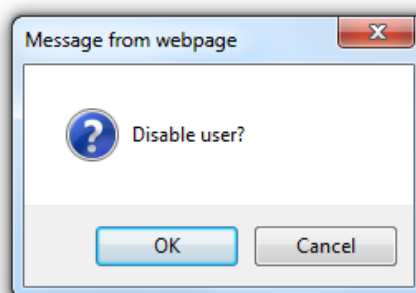
User List - Enable Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Enable User	test03 - test03Name

Remarks:

- User is not able to change his own status.

➤ **Disable**

- This action is applicable only to those User accounts which (i) have been enabled and (ii) have no pending approval request of User related update type.
1. Select one or more User(s).
 2. Click <Disable> button.
 3. Click <OK> button in pop-up message dialog box to confirm.



4. If approval for such request is not required, the request is processed immediately and the User account status is disabled.

User List - Enable Results			
System Response			
Result	Reason Code	Update Type	Identifier
Completed		Enable User	test03 - test03Name

Or

If approval is required, a request for disable User is created with update type as “Disable User”. Please refer to Section 9.1 “Approve Parameter Maintenance” function.

User List - Enable Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Enable User	test03 - test03Name

Remarks:

- The disabled User will be forced to logout if that User has already logged in the HKTR.

7.9 View Role Allocation List Function

This function displays the list of Users who is/are assigned with a selected Role.

This function is initiated from:

- Navigation Menu
 - by clicking “User and Role Maintenance > Role Allocation List”
- “View Role Details” function
 - by clicking the <View Users> button

7.9.1 Selection Criteria of Role Allocation List

Applicable only if the function is initiated from the Navigation Menu.

(i) Screen

Role Allocation List

Selection Criteria

Participant: IJHKL - IJKL Bank

Application Type: --All--

Service:

Role Name:

Role Description:

Role Type: --All--

Search Reset

(ii) Field Description

Field	M/O/D*	Description
Participant	D	▪ ID and full name of TR Participant
Application Type	M	▪ List of all application types ▪ Possible selections: • All (default) • Administration • Trade
Service	O	▪ Service associated with the Role ▪ Valid value: • Reporting Service ▪ The default value is blank (invalid) ▪ Enabled only when Application Type is “Trade”

Field	M/O/D*	Description
Role Name	O	▪ Name of the Role ▪ Wildcard search is supported
Role Description	O	▪ Description of the Role ▪ Wildcard search is supported
Role Type	M	▪ Type of the Role ▪ Possible selections: • All (default) • System Pre-defined User Role • Participant Level Role

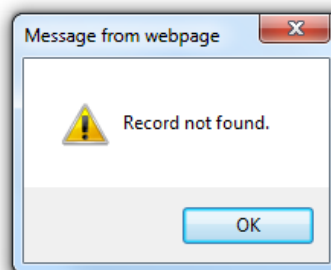
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ Search

1. (Optional) Select the Application Type.
2. Click the list-box of “Service” list-box to select a service.
3. (Optional) Enter the Role name.
4. (Optional) Enter the Role description.
5. (Optional) Select the Role Type.
6. Click <Search> button.
7. The Role(s) which match(es) with the selection criteria is/are displayed. If Role is not found, the following pop-up message dialog box will be displayed.



➤ Reset

1. Click <Reset> button to set all the fields to their original values.

7.9.2 Role Allocation List

Applicable only if the function is initiated from Navigation Menu.

The Role list is sorted by ascending order of Application Type, Service, Role Name and Role Type.

The Role list displayed in “Role Allocation List” function is same as that displayed in “View Role List” function.

To save the Role list in CSV format, User should use “View Role List” function.

(i) Screen

Application Type	Service	Role Name	Role Description	Role Type
Administration		Notification Enquiry	Notification Enquiry	System Pre-defined User Role

(ii) Field Description

Field	Description
Application Type	- The application type of the Role - Possible values: - Administration - Trade
Service	- Service subscribed by the TR Participant - Possible value: - Reporting Service - Blank is displayed when Application Type is “Administration”
Role Name	Name of the Role
Role Description	Description of the Role
Role Type	- Type of the Role - Possible values: - System Pre-defined User Role - Participant Level Role

(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink (i.e. to view the details of a specific Role and the list of Users being assigned with such specific Role)**

1. Click the hyperlink of “Role Name” field to view the details of a specific Role and the list of Users being assigned with such specific Role.
2. “View Role Allocation List” function is displayed.

7.9.3 View Role Allocation List

(i) Screen

Role Allocation List	
Role	
Application Type:	Administration
Service:	
Role Name:	Notification Enquiry
Role Description:	Notification Enquiry
Role Type:	System Pre-defined User Role
User List	
User ID	User Name
cec01	System Test User cec01
defadmin1	Default Administrator 1
defadmin2	Default Administrator 2
icdack1	Steve 1
icdckp1	icdckp
icdckp2	icdckp
icdshv	icdshv
icvccw	icvccw
ijhkly1	ijhkly1
mbd01	MBD User 01
mbd02	MBD User 02
test01	IJHKL-test01
test02	IJHKL-test02

(ii) Field Description

Field Name	Description
Role	
Participant	- ID and full name of TR Participant - This field is available only when Role Type is “Participant Level Role”
Application Type	- The application type of the Role - Possible values: - Administration - Trade

Field Name	Description
Service	▪ Service associated with the Role ▪ Possible value: • Reporting Service ▪ Blank is displayed when Application Type is “Administration”
Role Name	▪ Name of the Role
Role Description	▪ Description of the Role
Role Type	▪ Type of the Role ▪ Possible values: • System Pre-defined User Role • Participant Level Role
User List	
User ID	▪ The User ID which is assigned with the selected Role
User Name	▪ The corresponding User name of the User ID

(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink (i.e. to view the detail of a specific User)**

1. Click the hyperlink of “User ID” field to view the details of a specific User.
2. “View User Account” function is initiated to display the details of the selected User.

8. USER OPTIONS

The User Options module offers the “Change User Password” function for Users to change their login passwords.



8.1 Change User Password Function

This function allows a User to change his/her own password or another User's password (The Action Right, “Change Other User Password” has to be granted in advance). The new password should follow the password policies (refer to Section 3.3.2 “Password Policy” for details).

This function is initiated from:

- Navigation Menu
 - *by clicking “User Options > Change User Password” to change the User’s own password*
- “View User Account” function
 - *by clicking <Change Password> button to change the password of the displayed User*

When initiated from Navigation Menu, Users are only allowed to change their own passwords. When initiated from “View User Account” function, the password of selected User can be changed, subject to the Role allocation of the login User.

Under the following scenarios, this function is initiated automatically at the time of login:

- (a) the first login of a User to the HKTR, or
- (b) the first login of a User after his/her password is changed by another authorized User.

8.1.1 User Password

(i) Screen

(a) Change User's own password

The screenshot shows a web application window titled "User Password". Inside, there's a form with the following fields: "User Name:" with value "test02", "User ID:" with value "test02", "Old Password:" (masked with yellow), "New Password:" (masked with yellow), and "Confirm New Password:" (masked with yellow). At the bottom right, there are two buttons: "Apply" and "Reset".

(b) Change another User's password

The screenshot shows a web application window titled "User Password". Inside, there's a form with the following fields: "User Name:" with value "test01", "User ID:" with value "test01", "New Password:" (masked with yellow), "Confirm New Password:" (masked with yellow), and a checkbox for "Change Password On Next Login:". At the bottom right, there are two buttons: "Apply" and "Reset".

(ii) Field Description

Field	M/O/D*	Description
User Password		
User Name	D	- For change of login User's own password, his/her User name is displayed - For change of another User's password, the User name of the specific User selected via "View User Account" function is displayed.
User ID	D	- For change of login User's own password, the User's own ID is displayed - For change of another User's password, the User ID of the specific User selected via "View User Account" function is displayed
Old Password	M	- Applicable only if the User changes his/her own password - Input characters are masked with "•"
New Password	M	- For the User to type the new password - Input characters are masked with "•"
Confirm New Password	M	- For the User to re-type the new password. The "Confirm New Password" must be the same as the "New Password" - Input character are masked with "•"

Field	M/O/D*	Description
Change Password on Next Login	O	- Applicable only when the function is initiated to change another User's password from "View User Account" function - Default to be unchecked

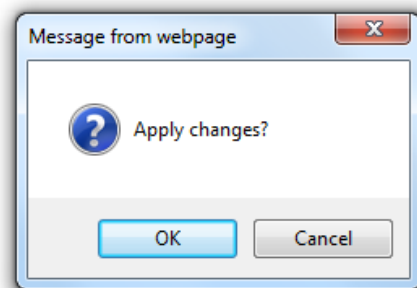
*Note: "M" refers to mandatory field for input by User, "O" refers to optional field for input by User and "D" refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Apply (i.e. to change User's own password)**

1. Enter the existing User's password in "Old Password" field.
2. Enter the new password in "New Password" field.
3. Re-enter the same new password in "Confirm New Password" field.
4. Click <Apply> button to save the new password.
5. Click <OK> in the pop-up message dialog box to confirm.

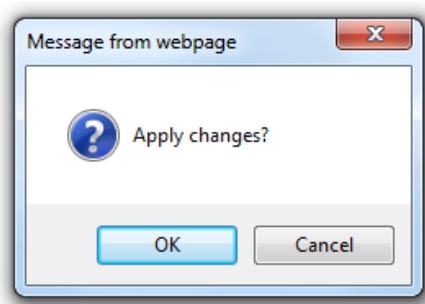


6. The processing result will be displayed. Refer to Section 4 "Getting Started" for more details of the Result Screen.

User Password - Apply Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Change User Password	test02

➤ **Apply (i.e. to change another User's password)**

- *This action is applicable only if the function is initiated from “View User Account” function.*
- 1. Enter the new password in “New Password” field.
- 2. Enter the same new password in “Confirm New Password” field.
- 3. (Optional) Click the checkbox <Change Password on Next Login> button to force the User to change password on the next login.
- 4. Click <Apply> button to change User's password.
- 5. Click <OK> in the pop-up message dialog box to confirm.



- 6. The processing result will be displayed. Refer to Section 4 “Getting Started” for more details of the Result Screen.

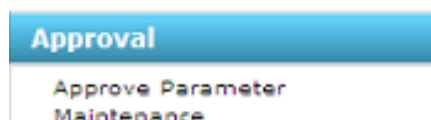
User Password - Apply Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Change User Password	test02

➤ **Reset**

- 1. Click <Reset> button to set all the fields to their original values.

9. APPROVAL

The “Approval” module offers the “Approve Parameter Maintenance” function, which allows User to view, approve and/or reject the pending requests of parameter maintenance that requires approval.



Each type of parameters is assigned an update type. Please refer to Appendix D.1 for details of parameter update types.

9.1 Approve Parameter Maintenance Function

This function displays a consolidated list of all parameter maintenance requests which are pending for approval. User can approve or reject it directly on the list or after viewing the details of the change.

All requests which are pending for approval are sorted by “Creation Time” in ascending order.

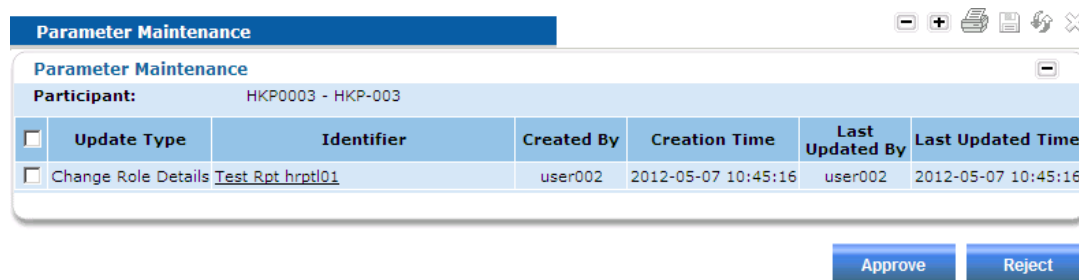
On initiation of the function, only the requests of a particular TR Participant are visible to its Users. The ability of a User to view and approve the requests depends on the Action Rights within the Roles allocated to the User.

This function is initiated from:

- Navigation Menu
 - by clicking “Approval > Approve Parameter Maintenance”

9.1.1 Approve Parameter Maintenance

(i) Screen



(ii) Field Description

Field	M/O/D*	Description
Parameter Maintenance		
Participant	D	▪ ID and full name of the TR Participant
Select	O	▪ Checkbox for selecting specific parameter maintenance request(s) for approval or rejection
Update Type	D	▪ Please refer to Appendix D.1 for all update types
Identifier	D	▪ Please refer to Appendix D.1 for the Identifiers of each update type
Created By	D	▪ User ID of the initiator of the parameter maintenance request
Creation Time	D	▪ Date and time of the creation of this parameter maintenance request
Last Updated By	D	▪ User ID of the User who recently updated the parameter maintenance request
Last Updated Time	D	▪ Date and time of the last update on the parameter maintenance request

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink (i.e. to view the changes of parameter maintenance request)**

1. Click the hyperlink in the “Identifier” column of the concerned parameter maintenance request.
2. Details of the update are displayed in the corresponding function. The following table indicates the functions displayed when clicking the hyperlink of different identifiers:

Identifier	Function Displayed
Report ID - Report Name	View Report Schedule
Participant ID	View Participant Details
User ID - User Name	View User Account
Role Name	View Role Details

User can perform the followings in the functions displayed:

- (a) view either the updated values (for Create or Change update type) or the original values (for Delete update type) of the parameter maintenance request in field level,

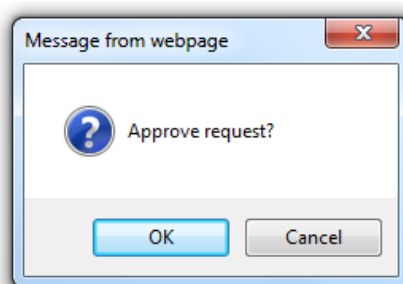
- (b) approve or reject the request in the function displayed after viewing the details, and
- (c) amend the request if this action is available in the function displayed (e.g., View/Maintain Role).

Remarks:

- If the parameter maintenance request is for creation (e.g. to add a new Role) or updating (e.g. to update Participant details), the new/updated information are displayed for review. If the parameter maintenance request is for deletion (e.g. to delete a Role), the original information is displayed for review.
- For the following update types, the hyperlink is not available:
 - Enable User
 - Disable User

➤ **Approve**

1. Select unapproved request(s) by checking corresponding selection checkbox(es).
2. Click <Approve> button.
3. Click <OK> button on the pop-up message dialog box to confirm.



4. The processing result will be displayed. Refer to Section 4 “Getting Started” for more details of the Result Screen.

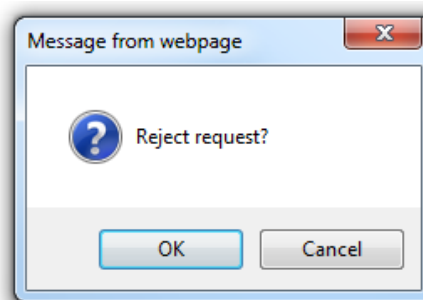
Parameter Maintenance - Approve Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Change Report Delivery Channel	CHSD0001-HKD

Return

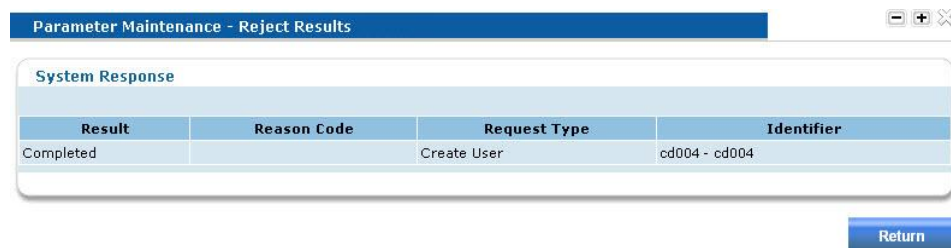
5. Click <Return> button to return to the Unapproved Requests screen.

➤ **Reject**

1. Select unapproved request(s) by checking corresponding selection checkbox(es).
2. Click <Reject> button.
3. Click <OK> button on the pop-up message dialog box to confirm.



4. The processing result will be displayed. Refer to Section 4 “Getting Started” for more details of the Result Screen.



5. Click <Return> button to return to the Unapproved Requests screen.

10. SYSTEM MONITORING

This module offers the “Event Log” function which allows Users to monitor events.



10.1 Event Log

Events are generated for the following reasons:

- the creation and update of various parameters
- the access to the HKTR

(a) Event Group

Each event is grouped into the following event groups for easy identification.

(1) Parameter Maintenance

- The events related to the administrative functions, e.g., the maintenance or approval of parameter

(2) Trade Maintenance

- The events related to the trade operations, e.g., affirmation or cancellation of trade events

(3) Business Exception

- The events related to business validation exception, e.g., uploading file with unsupported file extension

(4) Security

- The events related to User security actions, e.g., login and logout

(b) Event Severity

The severity of the event is predefined by the system and cannot be modified by Users. There are three severity levels:

- (1) Information,
- (2) Warning, and
- (3) Critical.

For the severity of each event type and the mapping of event types to event groups, please refer to Appendix E.

10.2 Event Log Function

This function allows Users to search for events.

This function is initiated from:

- Navigation Menu
 - by clicking “System Monitoring > Event Log”

10.2.1 Selection Criteria of Event Log

(i) Screen

Event Log

Selection Criteria

Participant: HKP0003 - HKP-003

Date / Time From: 2012-02-07 14:25:33 To:

Event Group: --All--
Parameter Maintenance
Trade Maintenance
Security
Business Exception

Severity: --All--
Information
Warning
Critical

Display Options

Records Per Page: 25

Sorting Order: Asc (selected)
Des

Available Fields: Event Time, Event Group, Severity, User ID

Selected Fields:

Add >> Remove <<

Move Up Move Down

Search Reset

(ii) Field Description

Field	M/O/D*	Description
Selection Criteria		
Participant	D	▪ ID and full name of TR Participant
Date/Time From	M	▪ The start of searching range for the creation date/time of events ▪ The default value is one hour before the current date/time
Date/ Time To	O	▪ The end of searching range for the creation date/time of events ▪ The default value is blank (this indicates selection of events to the current date and time)

Field	M/O/D*	Description
Event Group	M	▪ A list of event groups ▪ Possible selections (multiple selections are allowed): • All (default) • Parameter Maintenance • Trade Maintenance • Business Exception • Security
Severity	M	▪ A list of the severity of event ▪ Possible selections: • All (default) • Warning • Information • Critical
Display Options		
Refer to Section 4 “Getting Started” for field details and processing steps of Display Options.		

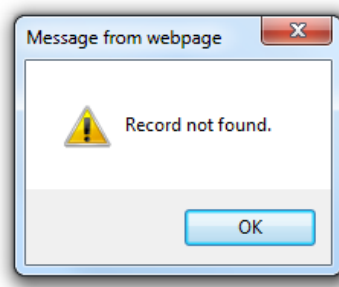
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ Search

1. (Optional) Enter the start of creation date range in the format of YYYY-MM-DD (or click  icon to select a date) and time in the format of HH:MM:SS.
2. (Optional) Enter the end of creation date range in the format of YYYY-MM-DD (or click  icon to select a date) and time in the format of HH:MM:SS.
3. (Optional) Click the list-box of “Event Group” to select an event group, or hold “Ctrl” key and select multiple event groups.
4. (Optional) Click the list-box of “Severity” to select a severity level, or hold “Ctrl” key and select multiple severity levels.
5. Click <Search> button.
6. “View Event Log” function is initiated to display the matched events. If no event is found, the following pop-up message dialog box will be displayed.



➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

10.3 View Event Log Function

This function displays the events that match the criteria specified in “Event Log” function.

This function is initiated from:

- “Event Log” function
 - by clicking <Search> button

The events are displayed in descending order of Event Time.

10.3.1 List of Event Log

(i) Screen

Event Time	Event Type	Event Group	Severity	Description	User ID	Additional Information
2012-02-13 10:50:08	BS0025	Security	Information	User icvlym login successfully.	icvlym	N
2012-02-13 10:48:57	BS0025	Security	Information	User icccck login successfully.	icccck	N
2012-02-13 10:46:56	BS0026	Security	Information	User icccck logout successfully.	icccck	N

(ii) Field Description

Field	M/O/D*	Description
Event Log		
Event Time	D	▪ The date and time of the event generated
Event Type	D	▪ The event type

Field	M/O/D*	Description
Event Group	D	▪ The event group ▪ Possible values: • Parameter Maintenance • Trade Maintenance • Business Exception • Security
Severity	D	▪ The severity of the event ▪ Possible values: • Warning • Information • Critical
Description	D	▪ Description of the event
User ID	D	▪ The User ID of the User who initiates the event or blank if not initiated by User ▪ “System” is displayed if the event is initiated by system
Additional Information	D	▪ The indicator of additional information ▪ Possible values: • Y • N

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

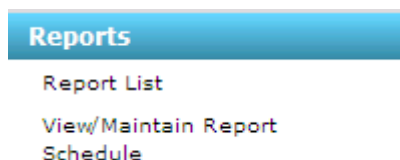
➤ **Hyperlink (i.e. to view the additional information of a specific event)**

- *This action is applicable to the event that has additional information.*
1. Click the hyperlink in the “Additional Information” column of a specific event associated with additional information.
 2. A report in PDF format is shown to display the “before” and “after” values of each modified field.

11. REPORTS

The “Reports” module offers the following two functions:

- (a) Report List (for viewing reports)
- (b) View/ Maintain Report Schedule (for viewing system report generation schedule and maintaining report delivery options)



11.1 Description

11.1.1 Report Classification

Reports are classified as (a) System Report, (b) Enquiry Report and (c) User Requested Report.

Refer to Appendix C.1 for the lists of the reports and Appendix C.2 for the layouts of the reports.

11.1.1.1 System Report

System Reports will be generated at the end of day processing by a scheduled task. Apart from the holiday defined by regulators, reports will be generated every Monday to Friday.

11.1.1.2 Enquiry Report

Enquiry Reports are generated by Users by clicking “Save to File” icon  for CSV data file in the specified enquiry functions. User can save the enquired information in a CSV data file. Each report field is mapped to a data column in the CSV data file.

11.1.1.3 User Requested Report

The following User Requested Report is supported by the HKTR system.

Initiating Function	Initiating Action	Report Name	Equivalent Enquiry Details Provided	Report ID
Administrative Functions				
View User List	Print Details	User List Details	View User Account	ADMU0001

11.1.2 Report Visibility

Report Type	Visibility is controlled by
System Report	- the Roles with appropriate allocation of Action Rights and report IDs to the User Note: To exclude Users from accessing the following reports, the corresponding System Pre-defined User Roles (refer to Appendix B.3.2) can be assigned to the Users. - CTRD2603 - Participant Trade Reconciliation Discrepancy Report - CTRD2604 - Participant Uncertain Unlink Report - CTRD2613 - Participant Trade Reconciliation Discrepancy Report - ISO 20022 - CTRD2614 - Participant Uncertain Unlink Report - ISO 20022
Enquiry Report	the Roles with appropriate allocation of Action Rights for accessing the functions with “Save to File” action to the User
User Requested Report	- the Roles with appropriate allocation of Action Rights and report IDs to the User - only initiated User can view the generated User Requested Reports

11.1.3 Report Formats and Delivery Channels

The supported report formats and delivery channels for each report type are pre-defined by system. Users are able to request the System Report to be delivered in a specific format and via the appropriate delivery channel at the “Maintain Report Schedule” function.

11.1.3.1 Report Format

Report Type	Supported Report Format
System Report	- PDF (for administrative functions reports) - CSV (for trade related reports except the Trade Action Request capture report)
Enquiry Report	CSV (for “Save to File” action)
User Requested Report	- PDF (for administrative functions reports) - CSV (for trade related reports except the Trade Action Request capture report)

When more than one format is supported by a report, the TR Participant may request the report be delivered in a specific format report using the “Maintain Report Schedule” function.

11.1.3.2 Report Delivery Channels

Report Type	Supported Delivery Channel
System Report	- File Transfer Service on HKICL Network (“FTS”) - FileAct - through SWIFTNet Channel - Browser (i.e. at “View Report List” function)
Enquiry Report	Browser (The report is allowed to be viewed, printed or saved directly after User initiated the report)
User Requested Report	Browser

If a System Report supports more than one delivery channels, the User can configure the preferred delivery channel for specific report using the “Maintain Report Schedule” function.

Reports delivered via the Browser, FTS or FileAct are visible at the “View Report List” function. These reports can be:

- viewed directly in another pop-up window, and saved in the User’s workstation
- re-delivered via FTS or FileAct by clicking the <Re-deliver> button (only applicable to TR Participants supporting FTS or FileAct)

11.1.4 Report Reference and Report File Name

11.1.4.1 Report Reference

Each User Requested report is assigned with a unique report reference number. User is given the report reference once his/her request is accepted.

The format of report reference:

TTTTTTTTTTTSBBBBBBBBBBBBBBBSYYYYMMDDNNN
(e.g., test02-PT001-20130102002)

where	TTTTTTTTTT	– User ID of the requested User (e.g. test02)
	S	– Separator (default value “-” will be used)
	BBBBBBBBBBBBBB	– Participant ID (e.g. PT001)
	S	– Separator (default value “-” will be used)
	YYYYMMDD	– Request Date (e.g. 20130102)
	NNN	– Sequence number of reports generated for the requested User which is re-set to 001 after 999 is reached (e.g. 002)

11.1.4.2 Report File Name

(a) System Report

Field Name	Format	Remarks
Participant	15 characters	▪ For TR Participant report, Participant ID will be used. All trailing spaces will be trimmed if any.
Separator	1 character	▪ Default value “-” will be used.
Report ID	50 characters	▪ Each report has a Report ID by which a User can identify the report.
Separator	1 character	▪ Default value “-” will be used.
Date	8 digits	▪ The report date in the format YYYYMMDD

(b) Enquiry Report

Field Name	Format	Remarks
Participant	15 characters	▪ For TR Participant report, Participant ID will be used. All trailing spaces will be trimmed if any.
Separator	1 character	▪ Default value “-” will be used.
Report ID	50 characters	▪ Each report has a Report ID by which a User can identify the report.
Separator	1 character	▪ Default value “-” will be used.
Date	8 digits	▪ The calendar date in the format YYYYMMDD

Note: The file name provided when the User saves a report locally through the browser on the workstation may vary, depending on the plug-in reader installed in the browser.

(c) User Requested Report

Field Name	Format	Remarks
User ID	10 characters	▪ User ID of the requested TR Participant User.
Separator	1 character	▪ Default value “-” will be used.
Participant	15 characters	▪ For TR Participant report, Participant ID will be used. All trailing spaces will be trimmed if any.
Separator	1 character	▪ Default value “-” will be used.
Report ID	50 characters	▪ Each report has a Report ID by which a User can identify the report.
Separator	1 character	▪ Default value “-” will be used.
Date	8 digits	▪ The calendar date in the format YYYYMMDD
Sequence Number	3 digits	▪ Sequence Number – This is a sequence number generated for a TR Participant User; it is reset to 001 after the maximum value of 999 is reached.

11.2 View Report List Function

This function displays all reports that have been generated and those not yet generated User Requested reports visible to the User.

User can:

- (a) view the generated report on browser,
- (b) save the report to local workstation, and
- (c) request for re-delivery via FTS and/or FileAct (only applicable to TR Participants who support FTS and/or FileAct).

This function is initiated from:

- Navigation Menu
 - by clicking “Reports > Report List”
- “View Report Schedule” function
 - by clicking <View Report List> button

11.2.1 Selection Criteria of Report List

When this function is initiated from “View Report Schedule” function, the selection criteria and selection criteria-key items are pre-populated and minimized. Only the search result of report list is displayed.

(i) Screen

The screenshot displays the 'Report List' application window. It features two main sections: 'Selection Criteria' and 'Selection Criteria - Key Items'. The 'Selection Criteria' section includes fields for Participant (TABC - Testing ABC), Application (All), Service (All), and Report Date (2020-12-06). The 'Selection Criteria - Key Items' section includes a list of Report IDs (ADMD0001, ADMD0002, ADMD0004, ADMU0001, CTRD2501-CDEXT-A, CTRD2501-CDEXT-B, CTRD2501-CDITC-A, CTRD2501-CDITC-B, CTRD2501-CDITI-A), Delivery Channel (All), Report Reference, Generated Date/Time From, Non-downloaded report checkbox, Report ID, Report Type (All), and To. At the bottom right, there are 'Search' and 'Reset' buttons.

Selection Criteria	
Participant:	TABC - Testing ABC
Application:	--All--
Service:	--All--
Report Date:	2020-12-06

Selection Criteria - Key Items	
Report ID:	--All--
Report ID:	ADMD0001 ADMD0002 ADMD0004 ADMU0001 CTRD2501-CDEXT-A CTRD2501-CDEXT-B CTRD2501-CDITC-A CTRD2501-CDITC-B CTRD2501-CDITI-A
Delivery Channel:	--All--
Report Reference:	
Generated Date/Time From:	
Non-downloaded report	☐
Report ID:	
Report Type:	--All--
To:	

Search Reset

(ii) Field Description

Field	M/O/D*	Description
Selection Criteria		
Participant	D	ID and full name of TR Participant
Application	M	- Available application types - Possible selections: - All (default) - Administration - Trade
Service	O	- Service associated with the Report - Valid values: - All (default) - Reporting Service - The default value is blank - Enabled only when Application Type is “Trade”
Report Date	M	- Date of the reports - Default value is the current date
Selection Criteria – Key Items		
Report ID	M	- List box of available Report IDs - Multiple selection is allowed - When any value is selected in the list box, the value in the text box will be cleared
		- Text box for inputting Report ID - Wildcard search is supported - When any value is inputted in the text box, the selected value(s) in the list box will be cleared
Delivery Channel	M	- Delivery channel of the enquired reports - Possible selections: - All (default) - Browse - FTS - FileAct
Report Type	M	- Report type of the enquired reports - Possible selections: - System Report (default) - User Requested Report - Enquiry-initiated user requested reports are classified as User Requested reports
Report Reference	O	- Reference number of the User Requested Report - Applicable to User Requested Report only - In case the logon user is the report requested user, all his enquiry-initiated user requested reports will be selected if this field lefts blank
Generated Date/Time From	O	Date and time range for the report generation

Field	M/O/D*	Description
Generated Date/Time To		
Non-downloaded report	O	▪ Checkbox for returning non-downloaded report(s) ▪ When delivery channel is "FTS" or "FileAct", this checkbox will be disabled ▪ When the checkbox is selected, the report with zero Display/Download Count will be returned

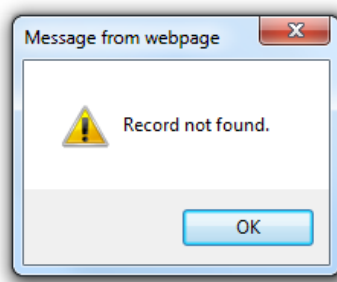
*Note: "M" refers to mandatory field for input by User, "O" refers to optional field for input by User and "D" refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ Search

1. (Optional) Click the drop-down list of "Application" to select an Application.
2. Click the drop-down list of "Service" to select a service if the Application is "Trade".
3. (Optional) Input the Report Date in the format of YYYY-MM-DD (or click  icon to select a date).
4. (Optional) Click the list box of "Report ID" to select an available report or hold "Ctrl" key to select multiple reports. Alternatively, input "Report ID" in the text box.
5. (Optional) Click the drop-down list of "Delivery Channel" to select a report delivery channel.
6. (Optional) Click the drop-down list of "Report Type" to select a report type.
7. (Optional) Input the "Report Reference" for User Requested Report.
8. (Optional) Input the Generated Date "From" and "To" in the format of YYYY-MM-DD (or click  icon to select a date) and Generated Time "From" and "To" in the format of HH:MM:SS.
9. (Optional) Click the "Non-downloaded report" checkbox.
10. Click <Search> button.
11. Search result will be appended after the Selection Criteria. If no report matches the selection criteria, a message "Record not found" will be shown in the pop-up message dialog box.



➤ Reset

1. Click <Reset> button to set all the fields to their original values.

11.2.2 Report List

(i) Screen

Report List						
☐	Application	Service	Report ID	Report Name	Report Type	Generated Date/Time
☐	Administration		ADMD0001	Administrative Functions Audit Trail Report	System Report	2020-12-07 13:21:54
☐	Administration		ADMD0002	User Activity Statistics Report	System Report	2020-12-07 13:22:18

Scroll to the right for more information of the enquired reports in Report List:

Report List										
e/Time	Report Format	Report Reference	Generation Status	Delivery Channel	Delivery Status	Number of Times Delivered	Last Delivered Time	Display / Download Count	Last Retrieval Time	Report Size (B)
:21:54	PDF		Generated	Browse				0		5158
:22:18	PDF		Generated	Browse				0		43161

(ii) Field Description

Field	M/O/D*	Description
Report List		
- The user can view all generated reports that have not been archived		
Select	O	▪ Checkbox for selecting report(s) for re-delivery ▪ Applicable to the reports delivered via FTS, FileAct and bulk download
Application	D	▪ Application type of the report ▪ Possible values: • Administration • Trade
Service	D	▪ Service associated with the report ▪ Possible value: • Reporting Service ▪ Blank is displayed when Application is “Administration”
Report ID	D	▪ Report ID of the enquired report

Field	M/O/D*	Description
		Hyperlink will be provided to view the report where the delivery channel is “Browse”
Report Name	D	Name of the enquired report
Report Type	D	- Report type of the enquired report - Possible values: - System Report - User Requested Report
Generated Date/Time	D	The generation date and time of the enquired report
Report Format	D	- The generated format of the report - Possible values: - PDF - CSV - TXT - ZIP
Report Reference	D	- Reference number of the report - Applicable to User Requested Reports only
Generation Status	D	- Generation status of the report - Possible values: - Generated - In Progress - Failed
Delivery Channel	D	- Delivery channel of the enquired reports - Possible values: - Browse - FTS - FileAct
Delivery Status	D	- Delivery status of the report - Possible values: - Delivered - In Progress - Failed - Applicable only to the reports delivered via FTS or FileAct - Blank is displayed for generated reports when Delivery Channel is “Browse”
Number of Times Delivered	D	Number of times that the report has been delivered via FTS or FileAct
Last Delivered Time	D	The last recorded date and time that the report was delivered via FTS or FileAct
Display/Download Count	D	Number of times that the generated report was browsed or downloaded
Last Retrieval Time	D	The last retrieval date and time for the generated report
Report Size (B)	D	The size of the generated report in bytes

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink (i.e. to view the generated report)**

– *Applicable only to generated reports.*

1. Click the hyperlink of “Report ID” field of the concerned report.
2. The report is displayed in a pop-up window. If Acrobat Reader is not installed, User will be prompted to select (a) open the file, (b) save the file to the local workstation, or (c) cancel the view report action.
3. Only initiated User can view the content of User Requested Report.

➤ **Re-deliver (i.e. to re-deliver the generated report(s) through FTS or FileAct)**

– *Available for the TR Participant who supports FTS or FileAct, and applicable to the generated reports which support delivery through FTS or FileAct.*

1. Select one or more generated reports by checking the selection checkbox.
2. Click <Re-deliver> button.
3. The reports will be re-delivered via FTS or FileAct regardless of the Delivery Status of the report schedule.

➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

➤ **Zip For Download**

– *Available only for generated reports that support delivery through Browse only.*

1. Select one or more generated reports on the same page by checking the selection checkbox.
2. Click <Zip For Download> button.
3. The selected report(s) would be zipped and downloaded with default file name “HKTR_RPT_YYYYMMDD-HHMMSS.zip”, where YYYYMMDD-HHMMSS refers to the file creation timestamp.

4. If the total size of the selected report(s) exceeded a configured size limitation, the error message would be shown with the “Total size of the selected report(s)” and the “Maximum size of the selected reports”. Users can select fewer reports to comply with the size limit.

11.3 View Report Schedule Function

This function displays generation schedule, generation status, report format and delivery channel of all System Reports. Users can view all schedules that have not been archived.

This function is initiated from:

- Navigation Menu
 - by clicking “Report > View/Maintain Report Schedule”
- “Approve Parameter Maintenance” function
 - by clicking the hyperlink in the “Identifier” column
- “View Participant Details” function
 - by clicking <View Report Schedule> button

11.3.1 Selection Criteria of Report Schedule

When initiated from the “Approve Parameter Maintenance” function, this Selection Criteria section is not displayed but only the report schedule that requires approval is displayed.

(i) Screen

Report Schedule

Selection Criteria

Participant: TABC - Testing ABC

Application: --All--

Service: --All--

Report Type: System Report

Report Date: 2020-12-06

Selection Criteria - Key Items

Generation Status: --All--

Delivery Channel: --All--

Delivery Status: --All--

Search Reset

(ii) Field Description

Field	M/O/D*	Description
Selection Criteria		
Participant	D	▪ ID and full name of TR Participant
Application	M	▪ Available application types

Field	M/O/D*	Description
		▪ Possible selections: • All (default) • Administration • Trade
Service	O	▪ Service associated with the System Report ▪ Valid value: • All (default) • Reporting Service ▪ The default value is blank (invalid) ▪ Enabled only when Application is “Trade”
Report Type	M	▪ Report type of the enquired reports ▪ Valid values: • System Report (default) • Capture Report and Response File ▪ Enabled only when Application is “Trade”
Report Date	M	▪ Date of the report schedule and the default value is current date
Selection Criteria – Key Items		
Generation Status	M	▪ Generation status of the System Report ▪ Possible selections: • All (default) • Failed • Generated • In Progress • Not Scheduled • Not Started
Delivery Channel	M	▪ Delivery channel of the System Report ▪ Possible selections: • All (default) • Browse • FileAct • FTS
Delivery Status	M	▪ Delivery status of the System Report ▪ Possible selections: • All (default) • In Progress • Delivered • Failed ▪ Applicable to System Report delivered via FTS or FileAct ▪ This drop-down list is disabled when Delivery Channel is “Browse”

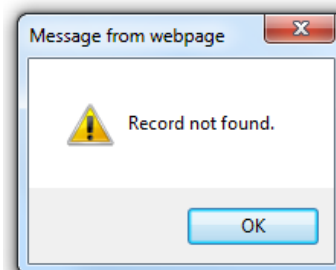
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Search**

1. (Optional) Click the drop-down list of “Application” to select an Application.
2. Click the drop-down list of “Service” to select a service if the Application is “Trade”.
3. (Optional) Input the Report Date in the format of YYYY-MM-DD, or click  icon to select a date.
4. (Optional) Click the drop-down list of “Generation Status” to select a report status.
5. (Optional) Click the drop-down list of “Delivery Channel” to select a report delivery channel.
6. (Optional) Click the drop-down list of “Delivery Status” to select a report delivery status.
7. The report schedule(s) match(es) the selection criteria will be displayed. If no report schedule is found, the following pop-up message dialog box will be displayed.



➤ **Reset**

1. Click <Reset> button to set all the fields to their original values.

11.3.2 Report Schedule

(i) Screen

The screenshot shows a web application window titled 'Report List'. It contains a table with the following columns: Application, Service, Report ID, Report Name, Generated Date/Time, Report Format, Delivery Channel, Generation Status, Delivery Status, Frequency, and Pending Approval Update Type. Two reports are listed: 'Administrative Functions Audit Trail Report' (Report ID: ADMD0001) and 'User Activity Statistics Report' (Report ID: ADMD0002). Both reports are in PDF format, generated on 2012-10-26, and have a frequency of 'Daily (Business Day)'. A 'View Report List' button is located at the bottom right of the screen.

☐	Application	Service	Report ID	Report Name	Generated Date/Time	Report Format	Delivery Channel	Generation Status	Delivery Status	Frequency	Pending Approval Update Type
☐	Administration		ADMD0001	Administrative Functions Audit Trail Report	2012-10-26 00:34:48	PDF	Browse	Generated		Daily (Business Day)	
☐	Administration		ADMD0002	User Activity Statistics Report	2012-10-26 00:35:03	PDF	Browse	Generated		Daily (Business Day)	

(ii) Field Description

Field	M/O/D*	Description
Report List		
Select	O	- Checkbox for selecting only one specific report for further processing - This field is not available when initiated from “Approve Parameter Maintenance” function
Application	D	- Application type of the report - Possible values: - Administration - Trade
Service	D	- Service associated with the report - Possible value: - Reporting Service - Blank will be displayed if Application is “Administration”
Report ID	D	- Report ID of the system report - Hyperlink is generated to maintain the report schedule
Report Name	D	Name of the System Report
Generated Date/Time	D	- The generation date and time of the System Report - The field is not available when initiated from “Approve Parameter Maintenance” function
Report Format	D	- The file format of the system report - Possible values (one or multiple): - PDF - CSV - TXT - FPML - ZIP
Delivery Channel	D	- Delivery channel of the system report - Possible values (one or multiple):

Field	M/O/D*	Description
		• Browse • FTS • FileAct
Generation Status	D	▪ Generation status of the System Report ▪ Possible values: • Not Started • Not Scheduled • Generated • Failed • In Progress ▪ This field is not available when initiated from “Approve Parameter Maintenance” function
Delivery Status	D	▪ Delivery status of the System Report ▪ Possible values: • Delivered • Failed • In Progress ▪ Applicable to System Report delivered via FTS or FileAct ▪ Blank is displayed for System Report when Delivery Channel is “Browse” ▪ This field is not available when initiated from “Approve Parameter Maintenance” function
Frequency	D	▪ The frequency of the corresponding report generation. ▪ Possible values: • Daily (System Day) • Daily (Business Day) • Weekly • Monthly ▪ Applicable only to reports which are periodically generated ▪ This field is not available when initiated from “Approve Parameter Maintenance” function
Pending Approval Update Type	D	▪ The name of the update type pending for approval ▪ Possible value: • Change Report Schedule ▪ Applicable only if there is an amendment that is pending for approval

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(iii) Processing Steps

User can perform the following actions:

➤ **Hyperlink (i.e. to maintain the selected report schedule)**

1. Click the hyperlink in the “Report ID” column of the concerned schedule.
2. “Maintain Report Schedule” function will be initiated for User to maintain the selected report schedule.

➤ **View Report List (i.e. to view generated System Reports)**

1. Select one System Report by checking the corresponding selection checkbox.
2. Click <View Report List> button.
3. “View Report List” function will be initiated for displaying all generated reports of the selected report schedule.

➤ **Approve (i.e. to approve parameter maintenance request)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Approve> button.
2. Click <OK> button in pop-up message dialog box to confirm.

Remarks:

- The approval is rejected if the approver is the same User who (i) last updated the details or (ii) initiated the amendment and no other users updated the amendment details since then.

➤ **Reject (i.e. to reject parameter maintenance request)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <Reject> button.
2. Click <OK> button in pop-up message dialog box to confirm.

➤ **View Change Log (i.e. to view the changes of updated fields)**

- *This action is only available when the function is initiated from the “Approve Parameter Maintenance” function.*

1. Click <View Change Log> button.
2. Field level changes are displayed.

11.4 Maintain Report Schedule Function

This function allows User to maintain report format and delivery channel of the System Reports. If the report schedule is updated and pending for approval, the modified details will be displayed.

This function is initiated from:

- “View Report Schedule” function
 - *by clicking the hyperlink in the “Report ID” column*

(i) Screen

(ii) Field Description

Field	M/O/D*	Description
Selection Details		
- On initiation of the function, based on the selected report schedule, the details of the schedule associated with a System Report are displayed		
Participant	D	▪ ID and full name of the TR Participant
Application	D	▪ The application type of the selected report schedule ▪ Possible values (any one of the followings): • Administration • Trade
Service	D	▪ Service associated with the report schedule ▪ Possible value: • Reporting Service ▪ Blank is displayed when Application is “Administration”
Delivery and Scheduling		

Field	M/O/D*	Description
Report ID	D	Report ID of the selected report schedule
Report Name	D	Report name of the selected report schedule
Frequency	D	- The generation frequency of the selected report schedule - Possible values: - Daily (System Day) - Daily (Business Day) - Weekly - Monthly - Applicable only to reports which are periodically generated
Day of the Week	D	- A day in a week for report generation - Possible values: - Monday - Tuesday - Wednesday - Thursday - Friday - Applicable only if the report is generated on weekly basis
Day in the Month	D	- A day in a month for report generation - Possible values: - First Business Day of the Month - Last Business Day of the Month - Specific Date - Applicable only if the report is generated on monthly basis
Date of the Month	D	- A specified date in a month for report generation - Applicable only if the report is generated on specific date basis
Report Format and Delivery Channel - The Delivery Channel of 'FTS' or 'FileAct' is applicable only if the participant supports receiving reports through FTS or FileAct		
Report Format	M	- Available report formats depend on the supported format of each report - Possible selections (multiple selections are allowed): - PDF - CSV - TXT - FPML - ZIP - If the delivery channel is "FTS" and the format is changed, a warning message will be shown to remind the corresponding FTS configuration should be updated - If the delivery channel is "FileAct" and the format is changed, a warning message will be shown to remind the corresponding FileAct DN should be configured
Delivery Channel	M	- Available channels depend on the supported delivery channel of each report - Possible selections (multiple selection allowed):

Field	M/O/D*	Description
		• FTS • FileAct ▪ The Delivery Channel of FTS or FileAct is applicable only if the TR Participant supports receiving reports through FTS or FileAct. ▪ If the channel “FTS” is selected, a validation on FTS configuration will be performed ▪ If the channel “FileAct” for system reports is selected, a validation on FileAct DN configuration will be performed
Report Format and Delivery Channel List		
Delete	O	▪ Checkbox for selecting record(s) to delete. The field is not available when initiated from “Approve Parameter Maintenance” function ▪ The selected records will be deleted with “Apply” function is clicked ▪ The check box will not be generated if report delivery channel is “Browse”
Report Format	D	▪ The file format of the selected report ▪ Possible values: • PDF • CSV • TXT • ZIP
Report Delivery Channel	D	▪ Delivery channel of the selected report format ▪ Possible values: • FTS • FileAct • Browse

*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

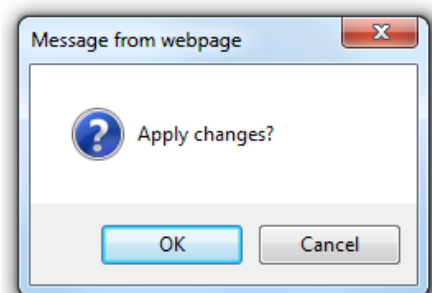
(iii) Processing Steps

User can perform the following actions:

➤ **Apply (i.e. to submit the report delivery maintenance request)**

1. Click the list-box of “Report Format” to select a format, or hold “Ctrl” key to select multiple report formats.
2. Click the list-box of “Delivery Channel” to select a channel, or hold “Ctrl” key to select multiple channels.
3. Click <Add> button.
4. (Optional) Check the Delete checkbox(es) to delete the unwanted report delivery records.

5. Click <Apply> button.
6. Click <OK> button in the pop-up message dialog box to confirm.



7. If approval of such request is not required, the request is immediately processed, and the report format/delivery channel will be updated accordingly.

Report Schedule - Apply Results			
System Response			
Result	Reason Code	Request Type	Identifier
Completed		Change Report Schedule	CMAD0001

Or

If approval is required, the approval request is created with the type as “Change Report Schedule”. Please refer to Section 9.1 “Approve Parameter Maintenance” function for the details of approval of the request.

Report Schedule - Apply Results			
System Response			
Result	Reason Code	Update Type	Identifier
Pending Approval		Change Report Schedule	ADMD0001 - Administrative Functions Audit Trail Report

➤ **Reset**

1. Click <Reset> button to set all the fields to their own original values.

APPENDIX A HKTR STRUCTURES AND FUNCTIONS

A.1 HKTR Function Navigation Matrix

The navigation paths in the HKTR are summarized below:

- The navigation menu and associated sub-menu(s) (if available),
- Functions offered under navigation menu and associated sub-menu,
- The available actions for each function,
- The function that each action routes to, and
- The accessible path(s) (including from the navigation menu) of each function.

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
Trade Capture	Upload Trade Action Request File	Trade Action Request File	Upload Trade Action Request File	Upload	-	Navigation Menu	
				Reset	-		
		Upload Trade Action Request File Capture Response	View Upload Trade Action Request File Capture Response	Back	-		
	Trade Action Request File Capture Enquiry	Trade Action Request File Capture	Find Trade Action Request File Capture	Reset	-	Navigation Menu	
				Search	-		
		Trade Action Request File Capture List	View Trade Action Request File Capture List	Back	-		
				Capture Report (hyperlink)	-		
				Refresh	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
				Response File (hyperlink)	-		
				Error Description (hyperlink)	-		
Valuation Capture	Upload Valuation Action Request File	Valuation Action Request File	Upload Valuation Action Request File	Upload	-	Navigation Menu	
				Reset	-		
		Upload Valuation Action Request File Capture Response	View Upload Valuation Action Request File Capture Response	Back	-		
	Valuation Action Request File Capture Enquiry	Valuation Action Request File Capture	Find Valuation Action Request File Capture	Reset	-	Navigation Menu	
				Search	-		
		Valuation Action Request File Capture List	View Valuation Action Request File Capture List	Back	-		
				Capture Report (hyperlink)	-		
				Refresh	-		
				Response File (hyperlink)	-		
				Error Description (hyperlink)	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
Margin & Collateral Capture	Upload Margin and Collateral Action Request File	Margin and Collateral Action Request File	Upload Margin and Collateral Action Request File	Upload		Navigation Menu	
				Reset			
		Margin and Collateral Action Request File Capture Response	View Margin and Collateral Action Request File Capture Response	Back			
	Margin and Collateral Action Request File Capture Enquiry	Margin and Collateral Action Request File Capture	Find Margin and Collateral Action Request File Capture	Reset		Navigation Menu	
				Search			
				Back			
		Margin and Collateral Action Request File Capture List	View Margin and Collateral Action Request File Capture List	Capture Report (hyperlink)			
				Refresh			
				Response File (hyperlink)			
				Error Description (hyperlink)			

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
Participant Maintenance	View/Maintain in Participant Details	Participant Details	View Participant Details	Print Preview	-	- Navigation Menu - Approve Parameter Maintenance	
				Refresh	-		
				View Service Subscription	View Service Subscription		
				View Reporting Obligation	View Reporting Obligation		
				View Appointed Agents	View Appointed Agents		
				View Client Participants	View Client Participants		
				View Originating Party	View Originating Party		
				View Reporting For	View Reporting For		
				View Users	View User List		
				View Report Schedule	View Report Schedule		
				Amend	Maintain Participant Details		
				Approve	-		
				Reject	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
	View Participant List	Participant List	View Participant List	View Change Log	View Change Log	Navigation Menu	
				Print Preview	-		
				Save to File	-		
				Refresh	-		
				Search	-		
				Reset	-		
				Details	View Participant Details		
Operations Information	View Notification List	Notification List	View Notification List	Print Preview	-	- Navigation Menu - Notification Alert Icon on the top bar of the application window	
				Save To File	-		
				Refresh	-		
				Search	-		
				Reset	-		
				Details	View Notification Details		
Reports	Report List	Report List	View Report List	Print Preview	-	- Navigation Menu - View Report Schedule	
				Refresh	-		
				Search	-		
				Reset	-		
				View Report	-		
				Re-deliver	-		
				Zip For Download	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
	View/Maintain in Report Schedule	Report Schedule	View Report Schedule	Print Preview	-	- Navigation Menu - Approve Parameter Maintenance - View Participant Details	
				Save To File	-		
				Refresh	-		
				Search	-		
				Reset	-		
				Approve	-		
				Reject	-		
				View Change Log	View Change Log		
				View/Maintain Report Schedule	Maintain Report Schedule		
				View Report List	View Report List		
User and Role Maintenance	Add User Account	User Account	Add User Account	Apply	-	- Navigation Menu - View User Account	
				Reset	-		
				View Role	View Role Details		
	View User Account	User Account	View User Account	Print Preview	-	- Navigation Menu - View User List - View Role Allocation - Approve Parameter Maintenance	
				Refresh	-		
				Approve	-		
				Reject	-		
				View Change Log	View Change Log		
				Delete	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
				Create Like	Add User Account		
				Enable	-		
				Disable	-		
				Change Password	Change User Password		
				Amend	Maintain User Account		
				View Role	View Role Details		
	Add Role	Role	Add Role	Apply	-	- Navigation Menu - View Role Details	
				Reset	-		
	View/Maintain Role	Role List	View/Maintain Role	Print Preview	-	Navigation Menu	
				Search			
				Refresh	-		
				Reset	-		
				Details	View Role Details		
	User List	User List	View User List	Print Preview	-	- Navigation Menu - View Participant Details	
				Save To File	-		
				Refresh	-		
				Search	-		
				Reset	-		
				Print Details	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
				Details	View User Account		
				Delete	-		
				Force Logout	-		
				Enable	-		
				Disable	-		
	Role Allocation List	Role Allocation List	View Role Allocation List	Search	-	Navigation Menu	
				Reset	-		
				Details	View Role Allocation List		
User Options	Change User Password	User Password	Change User Password	Apply	-	- Navigation Menu - View User Account	
				Reset	-		
Approval	Approve Parameter Maintenance	Parameter Maintenance	Approve Parameter Maintenance	Print Preview	-	Navigation Menu	
				Save To File	-		
				Refresh	-		
				Approve	-		
				Reject	-		
				View Approval Request	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
		Parameter Maintenance - <Action> Results - Possible value(s) of <Action>: - Approve - Reject	View Parameter Maintenance Approval Response	Reject Reason (hyperlink)	-		
System Monitoring	Event Log	Event Log	Find Event	Search	View Event Log	Navigation Menu	
				Reset	-		
Logout	-	-	-	Logout	-	Navigation Menu	
These functions are not initiated from the Navigation Menu.	Participant Details	Participant Details	Maintain Participant Details	Add DN	Add SWIFTNet FileAct DN	View Participant Details	
				Apply	-		
				Reset	-		
				Back	-		
				View Service Subscription	View Service Subscription		
				View Reporting Obligation	View Reporting Obligation		
				View Appointed Agents	View Appointed Agents		
				View Client Participants	View Client Participants		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
				View Originating Party	View Originating Party		
				View Reporting For	View Reporting For		
		View Change Log	View Change Log	Close	-	- View Participant Details - View Report Schedule - View Role Details - View User Account All the view pages above are initiated from Approve Parameter Maintenance	
		Notification Details	View Notification Details	Refresh	-		
				Print Preview	-		
		Report Schedule	Maintain Report Schedule	Back	-		
				Apply	-		
				Reset	-		
		User Account	Maintain User Account	Back	-	View User Account	
				Apply	-		
				Reset	-		
				View Role	View Role Details		
		Role Allocation List		Print Preview	-	- View Role Allocation List - View Role Details	
				Save To File	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
			View Role Allocation List	View User	View User Account		
				Refresh	-		
		Role Details	View Role Details	Refresh	-	- View Role List - Add User Account - View User Account - Maintain User Account - Approve Parameter Maintenance	
				Print Preview	-		
				View Users	View Role Allocation List		
				Delete	-		
				Create Like	Add Role		
				Amend	Maintain Role Details		
				Approve	-		
				Reject	-		
				View Change Log	View Change Log		
		Maintain Role Details	Maintain Role Details	Back	-	View Role Details	
				Apply	-		
				Reset	-		
		Event Log	View Event Log	Print Preview	-	Event Log	
				Save To File	-		
				Refresh	-		
				Back	-		
				Details	-		
		Select Participant	Select Participant	Search	-	Participant Filter	
				Select	-		

Navigation Menu	Sub-menu	Screen Title	Function Name	Available Action	Access To	Function Accessible From	Remarks
				Reset	-		
		Service Subscription	View Service Subscription	Close		- View Participant Details - Maintain Participant Details	
		Reporting Obligation	View Reporting Obligation	Close	-	- View Participant Details - Maintain Participant Details	
		Agent Relationship	View Appointed Agents	Close	-	- View Participant Details - Maintain Participant Details	
		Agent Relationship	View Client Participants	Close	-	- View Participant Details - Maintain Participant Details	
		Originating Relationship	View Originating Party	Close	-	- View Participant Details - Maintain Participant Details - Reactive	
		Originating Relationship	View Reporting For	Close	-	- View Participant Details - Maintain Participant Details	
		SWIFTNet FileAct Distinguished Name	Add SWIFTNet FileAct Distinguished Name	Apply	-	Maintain Participant Details	
				Reset	-		
				Back	-		
		SWIFT User Account Association	SWIFT User Account Association	Associate	-	Logon (first logon via SWIFTNet)	
		Splash Screen	Splash Screen	Open Application	-		

A.2 SUMMARY OF UI TRADE FUNCTIONS (ISO 20022)

Tab Menu Item	Menu Group	Menu Item	Menu Sub-item	Screen title	Function name	Available Actions	Remarks
ISO 20022	Trade Capture	Upload Trade Action Request File		Trade Action Request File	Upload Trade Action Request File	● Upload ● Reset	● Participant function
		These pages are constituent web pages of the above function.		Upload Trade Action Request File Capture Response	View Upload Trade Action Request File Capture Response	● Back	
		Trade Action Request File Capture Enquiry		Trade Action Request File Capture	Find Trade Action Request File Capture	● Search ● Reset	
		These pages are constituent web pages of the above function.		Trade Action Request File Capture List	View Trade Action Request File Capture List	● Back ● Refresh ● Response File (hyperlink) ● Error Description (hyperlink)	
	Valuation Capture	Upload Valuation Action Request File		Valuation Action Request File	Upload Valuation Action Request File	● Upload ● Reset	● Participant function
		These pages are constituent web pages of the above function		Upload Valuation Action Request File Capture Response	View Upload Valuation Action Request File Capture Response	● Back	
		Valuation Action Request File Capture Enquiry		Valuation Action Request File Capture	Find Valuation Action Request File Capture	● Search ● Reset	

Tab Menu Item	Menu Group	Menu Item	Menu Sub-item	Screen title	Function name	Available Actions	Remarks
		These pages are constituent web pages of the above function.		Valuation Action Request File Capture List	View Valuation Action Request File Capture List	- Back - Refresh - Response File (hyperlink) - Error Description (hyperlink)	
	Margin & Collateral Capture	Upload Margin and Collateral Action Request File		Margin and Collateral Action Request File	Upload Margin and Collateral Action Request File	- Upload - Reset	Participant function
		These pages are constituent web pages of the above function.		Upload Margin and Collateral Action Request File Capture Response	View Upload Margin and Collateral Action Request File Capture Response	Back	
		Margin and Collateral Action Request File Capture Enquiry		Margin and Collateral Action Request File Capture	Find Margin and Collateral Action Request File Capture	- Search - Reset	
		These pages are constituent web pages of the above function.		Margin and Collateral Action Request File Capture List	View Margin and Collateral Action Request File Capture List	- Back - Refresh - Response File (hyperlink) - Error Description (hyperlink)	
	Trade Information	Trade Enquiry		Trade Selection	Find Trade	- Quick Details - Search - Reset	CO can enquire by either party side

Tab Menu Item	Menu Group	Menu Item	Menu Sub-item	Screen title	Function name	Available Actions	Remarks
		These pages are constituent web pages of the above function.		Trade Summary	View Trade Summary	● Back ● Trade Details (hyperlink) ● History ● Save to File ● Refresh	
				Trade Details	View Trade Details	● History ● Save to File ● Refresh	History action is not available if the source page is not Trade Summary or Specify Selection Criteria / Quick Detail View of Trade Enquiry.
				Trade History	View Trade History	● Historical Trade Details (hyperlink) ● Refresh ● Trade Action Details (hyperlink)	
				Trade Action Details	View Trade Action Details	● Save to File ● Refresh ● Trade Details (hyperlink)	
		Trade Action Enquiry		Trade Action Selection	Find Trade Action	● Quick Details ● Search ● Reset	● CO can enquire by either party side

APPENDICES

Tab Menu Item	Menu Group	Menu Item	Menu Sub-item	Screen title	Function name	Available Actions	Remarks
		These pages are constituent web pages of the above function.		Trade Action Summary	View Trade Action Summary	● Back ● Trade Action Details (hyperlink) ● Trade Action Content ● Save to File ● Refresh	
				Trade Action Details	View Trade Action Details	● Trade Action Content ● Save to File ● Refresh ● Trade Details (hyperlink)	
				Trade Action Content	View Trade Action Content	● Copy	
				Trade Details	View Trade Details	● Save to File ● Refresh	
		Valuation Action Enquiry		Valuation Action Selection	Find Valuation Action	● Quick Details ● Search ● Reset	
		These pages are constituent web pages of the above function.		Valuation Action Summary	View Valuation Action Summary	● Back ● Valuation Action Details (hyperlink) ● Valuation Action Content ● Save to File ● Refresh	

Tab Menu Item	Menu Group	Menu Item	Menu Sub-item	Screen title	Function name	Available Actions	Remarks
				Valuation Action Details	View Valuation Action Details	- Valuation Action Content - Save to File - Refresh - Trade Details (hyperlink)	
				Valuation Action Content	View Valuation Action Content	Copy	
				Trade Details	View Trade Details	- Save to File - Refresh	
		Margin and Collateral Action Enquiry		Margin and Collateral Action Selection	Find Margin and Collateral Action	- Quick Details - Search - Reset	
		These pages are constituent web pages of the above function.		Margin and Collateral Action Summary	View Margin and Collateral Action Summary	- Back - Margin and Collateral Action Details (hyperlink) - Margin and Collateral Action Content - Save to File - Refresh	
				Margin and Collateral Action Details	View Margin and Collateral Action Details	- Margin and Collateral Action Content - Save to File - Refresh	
				Margin and Collateral Action Content	View Margin and Collateral Action Content	Copy	

A.3 Action Icons that are Supported in the Functions

The following list shows the action icons that are supported in the functions.

Function Name	Print Preview	Save to File	Refresh	Back
Upload Trade Action Request File				✓
View Trade Action Request File Capture List			✓	✓
Upload Valuation Action Request File				✓
View Valuation Action Request File Capture List			✓	✓
View Trade Summary		✓	✓	✓
View Trade Details		✓	✓	
View Trade History			✓	
View Trade Event Summary		✓	✓	✓
View Trade Event Details		✓	✓	
View Trade Event History			✓	
View Unmatched Trade Event Summary			✓	✓
View Partially Matched Counterparty Trade Event List			✓	
View Partially Matched Trade Event Details		✓	✓	
View Alleged Trade Event Summary		✓	✓	✓
View Alleged Trade Event Details		✓	✓	
View Alleged Trade Event History			✓	
Approve Trade Action Request Summary			✓	✓
View Valuation Action Request Summary		✓	✓	✓
View Valuation Action Request Details		✓	✓	
Maintain Party ID Change Request List			✓	
Approve Party ID Change Request Summary			✓	
View Participant Details	✓		✓	
View Participant List	✓	✓	✓	
View Notification List	✓	✓	✓	
View Notification Details	✓		✓	
View Report List	✓		✓	

Function Name	Print Preview	Save to File	Refresh	Back
View Report Schedule	✓	✓	✓	
View User Account	✓		✓	
View Role Details	✓		✓	
View Role List	✓	✓	✓	
View User List	✓	✓	✓	
View Role Allocation List	✓	✓	✓	
Approve Parameter Maintenance	✓	✓	✓	
View Event Log	✓	✓	✓	✓
Maintain Participant Details				✓
Add SWIFTNet FileAct Distinguished Name				✓
Maintain User Account				✓
Maintain Role Details				✓

APPENDIX B ACTION RIGHT AND SYSTEM PRE-DEFINED USER ROLE

B.1 Action Right

The following default functions and actions are allocated to all Users automatically at the time of creation of user account, and cannot be disassociated from a User.

	Function/Action Name
Function	Logon
	Logout
	Change User Password (Own)
	View User Account (Own)
Standard Actions	Back
	Collapse All
	Expand All
	Close

B.1.1 Administrative Functions Action Rights

The following table specifies the Actions Rights specific to administrative functions. When the associated data scope of an Action Right is specified, it implies that the User associated with this action right is allowed to perform action or retrieve data against this specific data scope only.

Action Right Description	Associated Data Scope	Function Name	Action
View Participant Details		View Participant Details	Print Preview
			Refresh
			View Service Subscription
			View Reporting Obligation
			View Reporting Obligation – ISO 20022
			View Appointed Agents
			View Appointed Agents – ISO 20022
			View Client Participants
			View Client Participants – ISO 20022
			View Originating Party
Maintain Participant Details		View Participant Details	View Reporting For
			Print Preview
			Refresh
			Amend

Action Right Description	Associated Data Scope	Function Name	Action
			View Service Subscription
			View Reporting Obligation
			View Reporting Obligation – ISO 20022
			View Appointed Agents
			View Appointed Agents – ISO 20022
			View Client Participants
			View Client Participants – ISO 20022
			View Originating Party
			View Reporting For
		Maintain Participant Details	Add DN (SWIFTNet FileAct DN)
			Add (Agent Relationship Input Control)
			Add (Agent Relationship – ISO 20022 Input Control)
			Apply
			Back
			Reset
			View Service Subscription
			View Reporting Obligation
			View Appointed Agents
			View Client Participants
			View Originating Party
			View Reporting For
View Participant List		View Participant List	Print Preview
			Save To File
			Refresh
			Search
			Reset
View Notification Details		View Notification List	Print Preview
			Save To File
			Refresh
			Search
			Reset
View Report List (Admin)		View Report List	View Notification Details
			Print Preview
			Refresh
			Search

Action Right Description	Associated Data Scope	Function Name	Action
View Report (Admin)		View Report List	Reset
			View Report Schedule
			View Report List
			Print Preview
			Refresh
			Search
			Reset
Maintain Report List (Admin)		View Report List	Zip for Download
			View Report
			Print Preview
			Refresh
			Search
			Reset
			Re-deliver
View Report Schedule (Admin)		View Participant Details	View/Maintain Report Schedule
			Print Preview
			Save To File
			Refresh
			Search
			Reset
			View/Maintain Report Schedule
Maintain Report Schedule (Admin)		View Report Schedule	Print Preview
			Save To File
			Refresh
			Search
			Reset
			View/Maintain Report Schedule
		Maintain Report Schedule	Back
			Apply
			Reset
Add User Account		Add User Account	Add DN
			Apply
			Reset
View Other User Account		View User Account	Print Preview
			Refresh
		View User List	Print Preview
			Save To File

Action Right Description	Associated Data Scope	Function Name	Action
			Refresh
			Search
			Reset
			View User
Maintain User Account		View User Account	Print Preview
			Refresh
			Delete
			Create Like
			Amend
		View User List	Print Preview
			Save To File
			Refresh
			Search
			Reset
			View User
			Delete
			Force Logout
		Maintain User Account	Back
			Apply
			Add DN
			Reset
Add Role		Add Role	Apply
			Reset
View Role		Add User Account	View Role Details
		View User Account	View Role Details
		Maintain User Account	View Role Details
		View/Maintain Role	Print Preview
			Save to File
			Search
			Refresh
			View Role Details
			Reset
		View Role Details	Refresh
			Print Preview
Maintain Role		View/Maintain Role	Print Preview
			Save to File
			Search
			Refresh
			View Role Details

Action Right Description	Associated Data Scope	Function Name	Action
			Reset
		View Role Details	Refresh
			Print Preview
			Delete
			Create Like
			Amend
		Maintain Role Details	Back
			Apply
			Reset
View User List		View Participant Details	View Users
		View User List	Print Preview
			Save to File
			Refresh
			Search
			Reset
Print All User Details		View Report List	Print Preview
			Refresh
			Search
			Reset
			View Report
		View User List	Print Preview
			Save to File
			Refresh
			Search
			Reset
Maintain User Status		View User Account	Print Preview
			Refresh
			Enable
			Disable
		View User List	Print Preview
			Save to File
			Refresh
			Search
			Reset
			Enable
View Role Allocation List		View Role Details	Print Preview
			Refresh

Action Right Description	Associated Data Scope	Function Name	Action
			View User
		View Role Allocation List	Search
			View Role Allocation
			View User
			Reset
			Print Preview
			Save to File
			Refresh
Change Other User Password		View User Account	Change Password
		View User List	Print Preview
			Save to File
			Refresh
			Search
			Reset
			View User
		Change User Password	Apply
Approve Report Schedule (Admin)	Authorised Update Type for Approve or Reject Action: Change Report Schedule	View Report Schedule	Print Preview
			Save to File
			Refresh
			Search
			Reset
			Approve
			Reject
			View Change Log
		Approve Parameter Maintenance	Print Preview
			Save to File
			Refresh
			Approve
			Reject
			View Approval Request
Approve Participant Maintenance	Authorised Update Type for Approve or Reject Action: Change Participant Details	View Participant Details	Print Preview
			Refresh
			Approve
			Reject
			View Change Log
		Approve Parameter Maintenance	Print Preview
			Save to File
			Refresh

Action Right Description	Associated Data Scope	Function Name	Action
			Approve
			Reject
			View Approval Request
Approve User Account	Authorized Update Type for Approve or Reject Action: - Create User - Change User Details - Delete User	View User Account	Print Preview
			Refresh
			Approve
			Reject
			View Change Log
		Approve Parameter Maintenance	Print Preview
			Save To File
			Refresh
			Approve
			Reject
			View Approval Request
Approve User Status	Authorized Update Type for Approve or Reject Action: - Enable User - Disable User	Approve Parameter Maintenance	Print Preview
			Save To File
			Refresh
			Approve
			Reject
Approve Role	Authorized Update Type for Approve or Reject Action: - Create Role - Change Role Details - Delete Role	View Role Details	Print Preview
			Refresh
			Approve
			Reject
			View Change Log
		Approve Parameter Maintenance	Print Preview
			Save to File
			Refresh
			Approve
			Reject
			View Approval Request
View Event Log		Find Event	Search
			Reset
		View Event Log	Print Preview
			Save to File
			Refresh
View Event Details		Find Event	Back
			Search
		View Event Log	Reset

Action Right Description	Associated Data Scope	Function Name	Action
			Save to File
			Refresh
			View Event Details
			Back

B.1.2 Trade Functions (Reporting Service) Action Rights

The following table specifies the Actions Rights specific to Reporting Trade functions. When the associated data scope of an Action Right is specified, it implies that the User associated with this action right is allowed to perform action or retrieve data against this specific data scope only.

Action Right Description	Associated Data Scope	Function Name	Action
Upload Trade Event Request File (Reporting)		Upload Trade Event Request File (Reporting)	Upload
			Reset
		View Upload Trade Event Request File Capture Response (Reporting)	Back
		Find Trade Event Request File Capture (Reporting)	Reset
			Search
		View Trade Event Request File Capture List (Reporting)	Back
			Capture Report
			Refresh
			Response File
View Trade Event Request File Capture (Reporting)		Find Trade Event Request File Capture (Reporting)	Reset
			Search
		View Trade Event Request File Capture List (Reporting)	Back
			Capture Report
			Refresh
Upload Valuation Request File		Upload Valuation Request File	Upload
			Reset
		View Upload Valuation Request File Capture Response	Back
		Find Valuation Request File Capture (Reporting)	Reset
			Search
		View Valuation Request File Capture List	Back
			Capture Report
			Refresh
			Response File
			Reset

Action Right Description	Associated Data Scope	Function Name	Action
View Valuation Request File Capture		Find Valuation Request File Capture (Reporting)	Search
		View Valuation Request File Capture List (Reporting)	Back
			Capture Report
			Refresh
			Response File
View Trade (Reporting)		Find Trade (Reporting)	Next
			Search
			Reset
		View Trade Summary (Reporting)	Back
			Trade Details
			History
			Refresh
			Save to File
		View Trade Details (Reporting)	History
			View Attachment
			Linked Trade Details
			Save to File
			Refresh
		View Trade History (Reporting)	Historical Trade Details
			Refresh
			Trade Event Details
		View Trade Event Details (Reporting)	Save to File
			Refresh
Maintain Trade Attachment		Find Trade (Reporting)	Next
			Search
			Reset
		View Trade Summary (Reporting)	Back
			Trade Details
			History
			Refresh
			Save to File
		View Trade Details (Reporting)	History
			Linked Trade Details
			Save to File

Action Right Description	Associated Data Scope	Function Name	Action
			Refresh
			Upload Attachment
			Reset
			View Attachment
			Delete Attachment
		View Trade History (Reporting)	Historical Trade Details
			Refresh
			Trade Event Details
		View Trade Event Details (Reporting)	Save to File
			Refresh
View Trade Event (Reporting)		Find Trade Event (Reporting)	Next
			Search
			Reset
		View Trade Event Summary (Reporting)	Back
			Trade Event Details
			History
			Refresh
			Save to File
		View Trade Event Details (Reporting)	History
			Trade Details
			Save to File
			Refresh
		View Trade Event History (Reporting)	Trade Event Request
			Refresh
		View Trade Event Request (Reporting)	-
		View Trade Details (Reporting)	Save to File
			Refresh
View Alleged Trade Event (Reporting)		Find Alleged Trade Event (Reporting)	Next
			Search
			Reset
		View Alleged Trade Event Summary (Reporting)	Back
			Alleged Trade Event Details
			Refresh
			Save to File
			Trade Details

Action Right Description	Associated Data Scope	Function Name	Action
		View Alleged Trade Event Details (Reporting)	Save to File
			Refresh
		View Trade Details (Reporting)	Save to File
			Refresh
View Valuation Request		Find Valuation Request	Next
			Search
			Reset
		View Valuation Request Summary	Back
			Valuation Request Details
			Valuation Request
			Refresh
			Save to File
		View Valuation Request Details	Valuation Request
			Trade Details
			Save to File
			Refresh
		View Valuation Request	-
		View Trade Details (Reporting)	Save to File
			Refresh
			Reset
Create Party ID Change Request		Create Party ID Change Request	Reset
			Create
Maintain Party ID Change Request List		Maintain Party ID Change Request List	Refresh
			Delete
Approve Party ID Change Request - Create Party ID Change	Authorised Update Type for Approve or Reject Action: • Create Party ID Change	Approve Party ID Change Request Summary	Refresh
			Reject
			Approve
Approve Party ID Change Request - Delete Party ID Change	Authorised Update Type for Approve or Reject Action: • Delete Party ID Change	Approve Party ID Change Request Summary	Refresh
			Reject
			Approve
View Report List (Reporting)	View Report List		Print Preview
			Refresh
			Search

Action Right Description	Associated Data Scope	Function Name	Action
			Reset
	View Report Schedule		View Report List
View Report (Reporting)	View Report List		Print Preview
			Refresh
			Search
			Reset
			Zip for Download
			View Report
Maintain Report List (Reporting)	View Report List		Print Preview
			Refresh
			Search
			Reset
			Re-deliver
View Report Schedule (Reporting)	View Participant Details		View/Maintain Report Schedule
	View Report Schedule		Print Preview
			Save To File
			Refresh
			Search
			Reset
Maintain Report Schedule (Reporting)	View Report Schedule		View/Maintain Report Schedule
			Print Preview
			Save To File
			Refresh
			Search
			Reset
	Maintain Report Schedule		View/Maintain Report Schedule
			Apply
Approve Report Schedule (Reporting)	View Report Schedule		Reset
			Print Preview
			Save To File
			Refresh
			Search
			Reset
			Approve
			Reject
			View Change Log

Action Right Description	Associated Data Scope	Function Name	Action
	Approve Parameter Maintenance		Print Preview
			Save To File
			Refresh
			Approve
			Reject
			View Approval Request
View Coding Scheme	-	Select Coding Scheme	Next
		View Code Summary	Refresh
			Reset
			Apply
			Save To File
			Refresh
			Approve
			Reject
			View Approval Request
Upload Trade Action Request File (ISO 20022)		Upload Trade Action Request File	Upload
			Reset
		View Upload Trade Action Request File Capture Response	Back
		Find Trade Action Request File Capture	Reset
			Search
		View Trade Action Request File Capture List	Back
			Refresh
			Response File
View Trade Action Request File Capture (ISO 20022)		Find Trade Action Request File Capture	Reset
			Search
		View Trade Action Request File Capture List	Back
			Refresh
			Response File
Upload Valuation Action Request File (ISO 20022)		Upload Valuation Action Request File	Upload
			Reset
		View Upload Valuation Action Request File Capture Response	Back

Action Right Description	Associated Data Scope	Function Name	Action
		Find Valuation Action Request File Capture	Reset
			Search
		View Valuation Action Request File Capture List	Back
			Refresh
			Response File
View Valuation Action Request File Capture (ISO 20022)		Find Valuation Action Request File Capture	Reset
			Search
		View Valuation Action Request File Capture List	Back
			Refresh
			Response File
Upload Margin and Collateral Action Request File (ISO 20022)		Upload Margin and Collateral Action Request File	Upload
			Reset
		View Upload Margin and Collateral Action Request File Capture	Back
		Find Margin and Collateral Action Request File Capture	Reset
			Search
		View Margin and Collateral Action Request File Capture List	Back
			Refresh
			Response File
View Margin and Collateral Action Request File Capture (ISO 20022)		Find Margin and Collateral Action Request File Capture	Reset
			Search
		View Margin and Collateral Action Request File Capture List	Back
			Refresh
			Response File

B.2 Grouping of Action Rights

Related Action Rights are grouped to form Action Right Groups.

B.2.1 Administrative Functions

Action Right Groups	Action Rights
1. Participant	- View Participant Details - Maintain Participant Details
2. Participant List Enquiry	View Participant List
3. Operations Information	View Notification Details
4. Reports	- View Report (Admin) - View Report List (Admin) - Maintain Report List (Admin) - View Report Schedule (Admin) - Maintain Report Schedule (Admin)
5. User	- Add User Account - View Other User Account - Maintain User Account - View User List - Print All User Details - Maintain User Status - View Role Allocation List - Change Other User Password
6. Role	- Add Role - View Role - Maintain Role
7. Parameter Maintenance Approval	- Approve Report Schedule (Admin) - Approve Participant Maintenance - Approve User Account - Approve User Status - Approve Role
8. Event	- View Event Log - View Event Details

B.2.2 Trade Functions (Reporting Service)

The following grouping is applicable when a TR Participant performs the functions both for itself and on behalf of other TR Participants (i.e. acts as an Agent).

Action Right Groups	Action Rights
1. Trade Capture	• Upload Trade Event Request File (Reporting) • View Trade Event Request File Capture (Reporting) • Upload Trade Action Request File (ISO 20022) • View Trade Action Request File Capture (ISO 20022)
2. Valuation Capture	• Upload Valuation Request File • View Valuation Request File Capture • Upload Valuation Action Request File (ISO 20022) • View Valuation Action Request File Capture (ISO 20022)
3. Trade and Trade Event Enquiry (Reporting)	• View Trade (Reporting) • View Trade Event (Reporting) • View Alleged Trade Event (Reporting)
4. Trade Attachment Maintenance	• Maintain Trade Attachment
5. Valuation Request Enquiry	• View Valuation Request
6. Margin and Collateral Capture	• Upload Margin and Collateral Action Request File (ISO 20022) • View Margin and Collateral Action Request File Capture (ISO 20022)
7. Party ID Change Request	• Create Party ID Change Request • Maintain Party ID Change Request List
8. Party ID Change Request Approval	• Approve Party ID Change Request - Create Party ID Change • Approve Party ID Change Request - Delete Party ID Change
9. Reports	• View Report (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting) • View Report Schedule (Reporting) • Maintain Report Schedule (Reporting)
10. Parameter Maintenance Approval	• Approve Report Schedule (Reporting) • Approve Coding Scheme
11. Coding Scheme Enquiry	• View Coding Scheme
12. Coding Scheme Maintenance	• Maintain Coding Scheme

B.3 System Pre-defined User Role

The following System Pre-defined User Roles are available to all TR Participants. They cannot be modified or deleted by Users.

B.3.1 Administrative Functions

Pre-defined Roles	Action Rights
1. Participant Maintenance	- View Participant Details - Maintain Participant Details
2. Participant Maintenance Approval	- View Participant Details - Approve Participant Maintenance
3. Participant List Enquiry	View Participant List
4. Report Enquiry (Admin)	- View Report List (Admin) - View Report (Admin) - View Report Schedule (Admin)
5. Report Delivery Maintenance (Admin)	- View Report Schedule (Admin) - Maintain Report Schedule (Admin) - View Report List (Admin) - Maintain Report List (Admin)
6. Report Delivery Approval (Admin)	- View Report Schedule (Admin) - Approve Report Schedule (Admin)
7. User Maintenance	- Add User Account - View Other User Account - Maintain User Account - Add Role - View Role - Maintain Role - View User List - Print All User Details - Maintain User Status - View Role Allocation List - Change Other User Password
8. User Maintenance Approval	- View User List - Print All User Details - View Other User Account - View Role - View Role Allocation List - Approve User Status - Approve User Account - Approve Role
9. Event Enquiry	- View Event Log - View Event Details
10. Notification Enquiry	View Notification Details

B.3.2 Trade Functions (Reporting Service)

Pre-defined Roles	Action Rights
1. Trade Capture	• Upload Trade Event Request File (Reporting) • View Trade Event Request File Capture (Reporting) • Upload Trade Action Request File (ISO 20022) • View Trade Action Request File Capture (ISO 20022)
2. Valuation Capture	• Upload Valuation Request File • View Valuation Request File Capture • Upload Valuation Action Request File (ISO 20022) • View Valuation Action Request File Capture (ISO 20022)
3. Margin and Collateral Capture	• Upload Margin and Collateral Action Request File (ISO 20022) • View Margin and Collateral Action Request File Capture (ISO 20022)
4. Trade and Trade Event Enquiry (Reporting)	• View Trade (Reporting) • View Trade Event (Reporting) • View Alleged Trade Event (Reporting)
5. Trade Attachment Maintenance	• View Trade (Reporting) • Maintain Trade Attachment
6. Valuation Request Enquiry	• View Valuation Request
7. Party ID Change Request	• Create Party ID Change Request • Maintain Party ID Change Request List
8. Party ID Change Request Approval	• Approve Party ID Change Request - Create Party ID Change • Approve Party ID Change Request - Delete Party ID Change
9. Report Enquiry	• View Report List (Reporting) • View Report (Reporting) • View Report Schedule (Reporting)
10. Report Delivery Maintenance	• View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting)
11. Report Delivery Approval	• View Report Schedule (Reporting) • Approve Report Schedule (Reporting)
12. Report Enquiry Exclude CTRD2603/2604/2613/2614	• View Report List (Reporting) • View Report (Reporting) • View Report Schedule (Reporting)
13. Report Delivery Maintenance Exclude CTRD2603/2604/2613/2614	• View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting)
14. Report Delivery Approval Exclude CTRD2603/2604/2613/2614	• View Report Schedule (Reporting) • Approve Report Schedule (Reporting)

Pre-defined Roles	Action Rights
15. Report Enquiry for CTRD2603/2613	• View Report List (Reporting) • View Report (Reporting) • View Report Schedule (Reporting)
16. Report Delivery Maintenance for CTRD2603/2613	• View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting)
17. Report Delivery Approval for CTRD2603/2613	• View Report Schedule (Reporting) • Approve Report Schedule (Reporting)
18. Report Enquiry for CTRD2604/2614	• View Report List (Reporting) • View Report (Reporting) • View Report Schedule (Reporting)
19. Report Delivery Maintenance for CTRD2604/2614	• View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting)
20. Report Delivery Approval for CTRD2604/2614	• View Report Schedule (Reporting) • Approve Report Schedule (Reporting)
21. Report Enquiry on Obsolete Reports (Reporting)	• View Report List (Reporting) • View Report (Reporting)
22. Coding Scheme Enquiry	• View Coding Scheme

NOTE:

Once the system predefined user roles 9 (Report Enquiry), 10 (Report Delivery Maintenance) and 11 (Report Delivery Approval) are granted, TR Participant can view and download all system reports (except CTRD5999) mentioned in Appendices C.1.2.1 in Operating Procedures for Hong Kong Trade Repository - User Manual for Participants (Trade Functions - Reporting Service - Appendix).

Similarly, if predefined user roles 8 – 10 are granted, then TR Participant can view and download all system reports except (CTRD2603, CTRD2604 and CTRD5999). For roles 11 – 13 and 14 – 16, they are solely for the view and download of the system report CTRD2603 and CTRD2604 respectively.

If roles 8 – 10 are granted together with roles 11 – 13, all system reports except CTRD2604 and CTRD5999 can be viewed and downloaded. Likewise, if roles 8 – 10 and roles 11 – 13 are granted at the same time, all system reports can be viewed and downloaded except CTRD2603 and CTRD5999.

APPENDIX C REPORTS FOR ADMINISTRATIVE FUNCTIONS

C.1 Lists of Reports

C.1.1 System Report/File

The System Reports or interface files can be distributed to Users via HKTR (i.e. “View Report List” function), FTS (if supported) and FileAct (if supported).

Report Name	Report ID	Description	Report Format	Delivery Schedule	Report Layout
Administrative Functions Audit Trail Report	ADMD0001	This report shows information of each administrative function updates carried out by the TR Participant during the business day.	PDF	Day end scheduled	Appendix C.2.1.1
User Activity Statistics Report	ADMD0002	This report shows function usage and report usage by the TR Participants since the last report generation.	PDF	Day end scheduled	Appendix C.2.1.2
TR Entity Information File (Daily Changes)	ADMD0004	This file shows the daily changes of TR Entity information for the TR Participants and TR Business entities. This file will be generated only when the Party Identifier Scheme Code of the participant is changed.	CSV	Day end scheduled	Appendix C.2.1.3

C.1.2 Enquiry Reports

The following table presents the functions that provide Enquiry Reports.

Function that Provides Enquiry Report	Report Name	Report ID
View Participant List	View Participant List	ADMV0401
View Notification List	View Notification List	ADMV0702
View Report Schedule	View Report Schedule	ADMV1402
View Role List	View Role List	ADMV2002
View User List	View User List	ADMV2302
View Role Allocation List	View Role Allocation List	ADMV2402
Approve Parameter Maintenance	Approve Parameter Maintenance	ADMV2602
View Event Log	View Event Log	ADMV2802

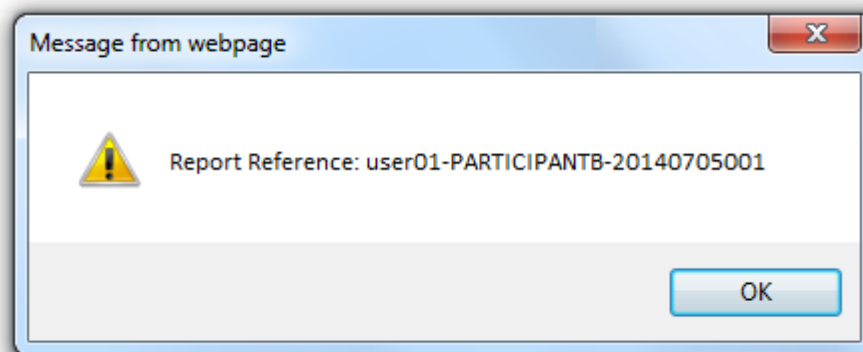
C.1.3 User Requested Reports

The following table presents the functions that provide User Requested Reports.

Function that Provides User Requested Report	Action Button	Report Name	Report ID	The information shown in the report is the same as the details provided by accessing ¹	Format	Report Layout
View User List	<Print Details> ²	User List Details	ADMU0001	View User Account	PDF	Appendix C.2.3.1

Note:

1. The details shown in the associated enquiry function will be included in the report and the details of each selected item will be included on a new page of the resulting report
2. After confirming the action, a pop-up message dialog box stating the Report Reference will be displayed (please refer to the sample below). To access the report, User may input the Report Reference as a selection criterion in the “View Report List” function.



C.2 Report Layout

C.2.1 System Report Layout

C.2.1.1 Administrative Functions Audit Trail Report (ADMD0001)

Report ID: ADMD0001 HONG KONG MONETARY AUTHORITY YYYY-MM-DD HH:MM:SS Page: ZZZZ9
As at: YYYY-MM-DD HONG KONG TRADE REPOSITORY
Participant: XXXXXXXXXXXXXXXX

Administrative Functions Audit Trail Report

Audit Event Details (Details repeated for each audit event)

Event Type : XXXXXX
Update Type : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Participant : XXXXX - XX
Update Item : XXXXXXXXXXXXX

Event Description : XX
Date and Time of Event : YYYY-MM-DD HH:MM:SS

(Repeated for each user activity on the update item)

Action	Fields	Identifier	Before Data	After Data
-----	-----	-----	-----	-----
XXXXXXX	XXXXXXXXXXXX	XXXXXXXXXXXX	XXXXXXX	XXXXXX
XXXXXXX	XXXXXXXXXXXX	XXXXXXXXXXXX	XXXXXXX	XXXXXX
XXXXXXX	XXXXXXXXXXXX	XXXXXXXXXXXX	XXXXXXX	XXXXXX
XXXXXXX	XXXXXXXXXXXX	XXXXXXXXXXXX	XXXXXXX	XXXXXX

*** End of Report ***

C.2.1.2 User Activity Statistics Report (ADMD0002)

Report ID:	ADMD0002	HONG KONG MONETARY AUTHORITY		YYYY-MM-DD HH:MM:SS
Page:	ZZZZ9			
As at:	YYYY-MM-DD	HONG KONG TRADE REPOSITORY		
Participant:	XXXXXXXXXXXXXXXXXX			
User Activity Statistics Report				
Function Usage				
=====				
Function (Reporting Service) - ISO 20022	Browse Count	FTS Count	FileAct Count	Total Count
-----	-----	-----	-----	-----
Trade Capture				
Upload Trade Action Request File	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9
View Upload Trade Action Request File Capture Response	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Find Trade Action Request File Capture	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade Action Request File Capture List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Valuation Capture				
Upload Valuation Action Request File	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9
View Upload Valuation Action Request File Capture Response	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Find Valuation Action Request File Capture	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Valuation Action Request File Capture List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Margin & Collateral Capture				
Upload Margin and Collateral Action Request File	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9
View Upload Margin and Collateral Action Request File Capture Response		Z,ZZZ,ZZ9	-	- Z,ZZZ,ZZ9
Find Margin and Collateral Action Request File Capture	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Margin and Collateral Action Request File Capture List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Function (Reporting Service)	Browse Count	FTS Count	FileAct Count	Total Count
-----	-----	-----	-----	-----
Trade Capture				
Upload Trade Event Request File	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9
View Trade Event Request File Capture List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade Event Response File	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade Event Capture Report	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9

Valuation Capture				
Upload Valuation Request File	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9	Z,ZZZ,ZZ9
View Valuation Request List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Valuation Request Response File	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Valuation Request Capture Report	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Trade Enquiry				
View Trade Summary	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade History	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Upload Trade Attachment	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Delete Trade Attachment	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade Attachment	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Trade Event Enquiry				
View Trade Event Summary	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade Event Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade Event History	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Trade Event Request	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Alleged Trade Event Enquiry				
View Alleged Trade Event Summary	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Alleged Trade Event Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Valuation Request Enquiry				
View Valuation Request Summary	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Valuation Request Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Valuation Request	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Party ID Change Request				
Create Party ID Change Request	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Maintain Party ID Change Request List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Party ID Change Request Approval				
Approve Party ID Change Request Summary	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Approve	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Reject	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Coding Scheme Maintenance				
View Code Summary	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Add Code	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Maintain Code Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Delete Pending Record (Code)	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9

Function (Administration)	Browse Count	FTS Count	FileAct Count	Total Count
-----	-----	-----	-----	-----
Participant/CO Maintenance				
Add Participant	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Participant Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Maintain Participant Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Register Participant	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Participant List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View CO Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Maintain CO Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Enable/Disable CO	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Add Data Access Group	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Data Access Group List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Data Access Group Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Maintain/Delete Data Access Group	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Associate CO	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
 Operations Information				
View Notification List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Send Broadcast Message	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Broadcast Message	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Exchange Rate	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Holiday	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Maintain Holiday	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
 Reporting				
View Report List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Report Schedule	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Maintain Report Schedule	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
 User Maintenance				
Add User Account	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View User Account	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Maintain/Delete/Enable/Disable/Force Logout User Account		Z,ZZZ,ZZ9	-	- Z,ZZZ,ZZ9
View User List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Role Allocation List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
Change User Password	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
 Role Maintenance				
Add Role	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Role List	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9
View Role Details	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9

Maintain/Delete Role	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
Parameter Maintenance Approval									
Approve Parameter Maintenance	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
Approve	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
Reject	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
View Change Log	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
System Monitoring									
View Operating Schedule	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
Maintain Operating Schedule	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
View Event Log	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
User Login									
Login	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
Logout	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
Helper Function									
Select Participant	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
Select User	Z,ZZZ,ZZ9	-	-	Z,ZZZ,ZZ9					
Report Usage									
=====									
Report ID	Report Name	Browse		FTS		FileAct		Total	
		Count	Size (KB)	Count	Size (KB)	Count	Size (KB)	Count	Size (KB)
XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXX	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9
XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXX								
XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXX	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9
XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXX								
XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXX	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9
XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXX								
	:								
	:								

<<List of Trade Reports>>

XXXXXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXXXXX	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9
XXXXXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
XXXXXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXXXXX	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9
XXXXXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
XXXXXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXXXXX	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9	Z,ZZZ,ZZ9	ZZ,ZZZ,ZZ9
XXXXXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	XXXXXXXXXXXXXXXXXXXXXXXXXX								
	:								
	:								

<<List of Administrative Reports>>

<<Include all system reports, UI Enquiry Report and Enquiry-Initiated User Requested Reports which are application independent>>

*** End of Report ***

C.2.1.3 TR Entity Information File (Daily Changes) (ADMD0004)

This file contains the list of changes of entity information of both TR Participants and TR Business Entities. Identical file content will be generated for each participant.

(i) File Layout

- First line of file must be a “Header” record which presents general and control information about the report data e.g. Report ID, Report Name, Report Date, etc.
- Second line of file is a “Column Heading” record which presents the field name of report detail record
- All lines starting from line 3 are “Report Detail” records
- The detail record will be ordered by the Action and TR Entity ID.

(a) Header Record

	Field Name	Description & Possible Values
1.	Report ID	“ADMD0004” will be generated
2.	Report Name	“TR Entity Information File (Daily Changes)” will be generated
3.	Participant ID	
4.	Report Date	Format: Date
5.	Report Generation Time	Format: Timestamp

(b) Column Header and Detail Record

The field name will be generated as column header.

	Field Name	Description & Possible Values
1.	Action	Possible values: • Added • Changed • Closed
2.	TR Entity ID	The Participant ID assigned by HKMA
3.	TR Entity Name	The Full name of the participant
4.	LEI	Legal Entity Identifier Blank will be generated if it is not defined
5.	CICI	CFTC Interim Compliant Identifier Blank will be generated if it is not defined
6.	CICR	HK Certificate of Incorporation (CI) or HK Certificate of Registration (CR) Number Blank will be generated if it is not defined

	Field Name	Description & Possible Values
7.	BRN	Hong Kong Business Registration Number Blank will be generated if it is not defined

(ii) File Naming Convention

Field Name	Format	Remarks
Participant	15x	Participant ID of the TR Participant. All trailing spaces will be trimmed if any.
Separator	1x	Default value “-” will be used.
Report ID	50x	“ADMD0004”
Separator	1x	Default value “-” will be used.
Date	8!n	The report date in the format YYYYMMDD.

(iii) Sample File Layout

File to be opened with Text Editor (e.g. Notepad)

```
ADMD0004,TR Entity Information File (Daily Changes),TR1000004,6/6/2014,6/6/2014
15:41,,,
Action,TR Entity ID,TR Entity Name,LEI,CICI,CICR,BRN
Added,TR1000001,BANK 100001,,CICI0000000,,HKBRBBBBBB
Added,TR1000006,BANK 100006,,,CICR7777777,
Changed,TR1000003,BANK 100003,,CICIEEEEEEE,CICR9999999,
Changed,TR1000004,BANK 100004,LEI000004XX,,,
Closed,TR1000002,BANK 100002,LEI000002XX,CICIAAAAAA,,
Closed,TR1000005,BANK 100005,LEI000005XX,,,HKBRAAAAAA
```

File to be opened with MS Excel

	A	B	C	D	E	F	G
1	ADMD0004	TR Entity Information File (Daily Changes)	TR1000004	6/6/2014	6/6/2014 15:41		
2	Action	TR Entity ID	TR Entity Name	LEI	CICI	CICR	BRN
3	Added	TR1000001	BANK 100001		CICI0000000		HKBRBBBBBB
4	Added	TR1000006	BANK 100006			CICR7777777	
5	Changed	TR1000003	BANK 100003		CICIEEEEEEE	CICR9999999	
6	Changed	TR1000004	BANK 100004	LEI000004XX			
7	Closed	TR1000002	BANK 100002	LEI000002XX	CICIAAAAAA		
8	Closed	TR1000005	BANK 100005	LEI000005XX			HKBRAAAAAA

C.2.2 UI Enquiry Report Layout

The fields in the enquiry reports are the same as those on the screens of the corresponding UI functions.

C.2.3 User Requested Reports Layout

C.2.3.1 User List Details (ADMU0001)

```
Report ID:   ADMU0001                      HONG KONG MONETARY AUTHORITY          YYYY-MM-DD HH:MM:SS   PAGE ZZZZ9
As at:       YYYY-MM-DD                    HONG KONG TRADE REPOSITORY
Participant: XXXXXXXXXXXXXXXX

                                User List Details

General Information
-----
Participant          : XXXXXXXXXXXXXXXX - XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
User ID              : XXXXXXXXXXXX
User Name            : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Enabled              : X
User Access Method   : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
Last Successful Login Date/Time : YYYY-MM-DD HH:MM:SS
Last Unsuccessful Login Date/Time : YYYY-MM-DD HH:MM:SS

SWIFT User Name      SWIFT User DN          Last Associate Date/Time
-----
XXXXXXXXXX           XXXXXXXXXXXXXXXXXXXXXXXX  YYYY-MM-DD HH:MM:SS

SSL Client Certificate DN : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
                           XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
                           XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
                           XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
                           XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

Service Subscription
-----

Service
-----
XXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXX

User Preference
```

```
-----
Default Service                : XXXXXXXXXXXXXXXXXXXXXXXX

Administration Role List
-----
Role Name                      Description                      System Pre-defined User Role
-----
XXXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X

Trade Role List (Reporting)
-----
Role Name                      Description                      System Pre-defined User Role
-----
XXXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X

Pending Approval Update Type : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

*** End of Report ***
```

C.2.4 Sample Reports

By referring to the report list in Appendix C.1, some administrative sample reports for reporting service are generated and attached for easy reference.

Please note the followings:

- Sample reports are in CSV and PDF format.
- The parties shown in the sample reports are virtual parties with names "TestXXX".
- Data shown in the sample reports is not real.
- Each sample report is independent and does not correlate with each other.

APPENDIX D HKTR PARAMETER

D.1 List of Parameter Update Type

The parameter update type is shown in the “Pending Approval Update Type” field of different functions, and different update types have different formats of identifier.

Update Type	Identifier	Initiated From	View Update In
Change Report Schedule	Report ID - Report Name	Maintain Report Schedule	View Report Schedule
Change Participant Details	Participant ID	Maintain Participant Details	View Participant Details
Create User	User ID - User Name	Add User Account	View User Account
Change User Details	User ID - User Name	Maintain User Account	View User Account
Delete User	User ID - User Name	- View User List - View User Account	View User Account
Enable User	User ID - User Name	- View User List - View User Account	-
Disable User	User ID - User Name	- View User List - View User Account	-
Change User Password	User ID - User Name	View User Account	View User Account
Create Role	Role Name	Add Role	View Role Details
Change Role Details	Role Name	Maintain Role Details	View Role Details
Delete Role	Role Name	View Role Details	View Role Details

D.2 Participant-level Configurable Parameter

The following set of parameters are defined by the system at the initial setup, however, it is up to the TR Participant to have further update on the parameters for their own purpose.

Parameters in Participant Maintenance	Initial Value
(A) Approval Requirement for Trade Maintenance	
Create Party ID Change	N
Delete Party ID Change	N
(B) Approval Requirement for Administrative Update	
Change Participant Details	Y
Create User	Y
Change User Details	Y
Delete User	Y
Enable User	N
Disable User	N
Create Role	Y
Change Role Details	Y
Delete Role	Y
Change User Password	N
Change Report Schedule	Y
(C) Browser Session Timeout Values	
Browser Session Timeout (in minutes) (Min. value is 1 minutes and max .value is 60 minutes)	15

APPENDIX E EVENT TYPE AND EVENT GROUP

Event Group	Event Type	Event Description	Remark	Severity
Parameter Change	BS0001	<i>[Update Type]</i> for <i>[Identifier]</i> initiated by <i>[User ID]</i> . No approval required, update successful	Applicable to the following update types: • Change Report Schedule • Change Participant Details • Create User • Change User Details • Delete User • Enable User • Disable User • Create Role • Change Role Details • Delete Role • Create Party ID Change • Delete Party ID Change • Change User Password	Information
	BS0002	<i>[Update Type]</i> for <i>[Identifier]</i> initiated by <i>[User ID]</i> . No approval required, update successful	Applicable to the following update types: • Enable User • Disable User	Information
	BS0003	<i>[Update Type]</i> for <i>[Identifier]</i> initiated by <i>[User ID]</i> . Approval required, waiting approval	Applicable to the following update types: • Change Report Schedule • Change Participant Details • Create User • Change User Details • Enable User • Disable User • Delete User • Create Role • Change Role Details • Delete Role • Create Party ID Change	Information

Event Group	Event Type	Event Description	Remark	Severity
			- Delete Party ID Change - Change User Password	
	BS0004	[Update Type] for [Identifier] approved by [User ID]	Applicable to all update types.	Information
	BS0006	[Update Type] for [Identifier] updated by [User ID]	Applicable to all update types.	Information
	BS0007	[Update Type] for [Identifier] rejected by [User ID]	Applicable to all update types.	Information
Security	BS0016	User [User ID] forced logout by system. Reason: [Reason]		Warning
	BS0017	User [User ID] disabled by system. Reason: [Reason]		Warning
	BS0018	User [User ID] login failed. Reason: [Reason]		Warning
	BS0025	User [User ID] login successfully.		Information
	BS0026	User [User ID] logout successfully.		Information
Business Exception	BS0052	Counterparty cannot be the same as Reporting For during upgrading TR entity. (TR Trade ref: [Trade Ref.])		Critical

< THE END >