



**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)

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Amendment Summary

| Version | Effective Date | Section* | Amendment |
|---------|--|--|--|
| 1.0 | December 2012 (Initial Publication) | - | Publication for launch of the HKMA Trade Repository Confirmation & Matching Service. |
| 2.0 | July 2013 (Second Publication) | - | Publication for launch of the HKMA Trade Repository Reporting Service |
| 3.0 | September 2014 (Updated) | 2.3.2 | Revised to better clarify TR Business Entity |
| | | 2.5 | Revised to better clarify Originating Relationship |
| | | 4.6.1, 5.3, C.2.3.1 | Removed SWIFT BIC from Select Participant and View Participant List functions, TR Entity Information File |
| | | 4.8 | Added to describe the space trimming during data capture process |
| | | 5.1.1 – 5.2.1 | Revised to cater for new products; Updated the field description to remove MarkitServ |
| | | B.1.3 | Updated the action right of View Trade (Reporting) function. |
| | | 1, 2.3.3, 2.4.3, 2.5, 7.8.2, 7.9.3, B.1.3, B.3.3, C.2.1.2, C.2.3.1, C.2.4, D.2 | Miscellaneous Changes |
| 3.1 | July 2015 (Updated) | B.3.3, 7.1.1, 7.3.1 | Added system pre-defined user roles to trade functions of reporting service for report enquiry, report maintenance and report delivery approval for CTRD2603 & CTRD 2604 Corresponding cap screen under “Add User Account Function” and “Maintain User Account” are updated |
| 4.0 | June 2016 (Updated) | 3.3, 3.3.3 | Revised to introduce approval function for user password change such that the TR Participant can determine whether approval is required when an account user changes the password for another user |
| | | 4.4.2 | Revised the possible values of “Result” field to “Completed” and “Failed” in Parameter Update Result Screen and “Reason code” field applicable only if the result is “Failed” |

| Version | Effective Date | Section* | Amendment |
|---------|-------------------------|---|---|
| | | 4.6.1 | Added “Participant Reporting For (Original Input Code) and Counterparty (Original Input Code) fields in Select Participant Function. |
| | | 4.6.1, 4.6.2 | Added “Find Valuation Request” function |
| | | 5.1.1, 5.2.1 | Added “Place of Incorporation” field in “Participant Details” |
| | | 7.2.1, 7.3.1 | Added “Change User Password” as a possible value in “Pending Approval Update Type” field |
| | | A.1, A.2, B.1.3 | Added Valuation, Attachment and Party ID Change functions |
| | | D.1, D.2, E | Added “Change User Password” update type |
| 4.1 | March 2017 (Updated) | B.3.3 | Revised to include three system Pre-defined User Role for reporting service; “Trade Attachment Maintenance”, “Valuation Capture”, “Valuation Request Enquiry” |
| 4.2 | October 2019 (Updated) | 1, 2 | Revised for the decommission of Matching and Confirmation Service |
| | | 3.3.8 | Added “SWIFT User Account Association” function |
| | | 3.3, 3.4 | Updated System Security Control and User Session Control for SWIFT WebAccess |
| | | 4.1, 4.1.2 | Revised the “Login” section for SWIFT WebAccess Added “SWIFT User Account Association” function |
| | | 7.1, 7.2, 7.3, 7.8 | Revised the following functions: “Add User Account”, “View User Account”, “Maintain User Account”, “View User List” for SWIFT User |
| | | A.1, A.2 | Removed “Add SWIFT User Distinguished Name” function |
| | | C.2.3.1 | Revised report layout to include “SWIFT User Name” and “Last Associate Date/Time” |
| 4.3 | November 2020 (Updated) | 1, 2, 2.3.1, 2.5, 4.2.3, 4.6.1, 4.8, 5.1.1, 5.2.1, 5.3.1, 5.3.2, 6.1.1, 6.1.2, 6.2.1, 7.1.1, 7.2.1, | Removed descriptions and features related to the obsoleted Matching and Confirmation Service. Updated the corresponding sections in sample files ADMV0401 View Participant List, ADMD0002 User Activity Statistics Report and ADMU0001 User List Details. |

| Version | Effective Date | Section* | Amendment |
|---------|----------------|---|---|
| | | 7.3.1, 7.4.1, 7.5.2, 7.6, 7.7.1, 7.8.1, 7.8.2, 7.9.1, 7.9.2, 7.9.3, 11.2.1, 11.2.2, 11.3.1, 11.3.2, 11.4, A.1, B.1.2 (Original), B.2.2 (Original), B.3.2 (Original), C.2.1.2, C.2.3.1, D.2, E, Sample Reports | |
| | | 4.1.1, 4.2, 4.2.3, 4.2.4, 5.1.1, 5.2.1, 6.1.1, 6.1.2, 6.2.1, 7.1.1, 7.2.1, 7.3.1, 7.4.1, 7.5.1, 7.8.1, 7.8.2, 11.2.1, 11.2.2 | Updated UI screens to reflect the removal of features related to the obsoleted Matching and Confirmation Service. |
| | | 11.2.1 | Updated the following selection criteria and corresponding UI screens of the “View Report List” function: Updated the selection criteria “Report ID” from dropdown list to list box or text box. Removed the possible value “All” from the selection criteria “Report Type”. Added the selection criteria “Non-downloaded report”. |
| | | 11.2.2 | Updated the description of “Select” checkbox to support bulk download. Added the action “Zip For Download” to the processing steps. |
| | | 11.3.1 | Added the selection criteria “Report Type” and updated corresponding UI screens of the “View Report Schedule Function” function. |
| | | 11.3.2, 11.4 | Added the possible value “FPML” to the field “Report Format” of the “View Report Schedule” and “Maintain Report Schedule” function. |
| | | 11.4 | Updated the FileAct DN validation of the field “Delivery Channel” to system reports only in the “Maintain Report Schedule” function. |

| Version | Effective Date | Section* | Amendment |
|---------|----------------|-------------------------|--|
| | | A.1 | Added sub-menu “View/Maintain Coding Scheme”. Added available action “Zip For Download” to “View Report List” function. |
| | | B.1.1, B.1.2 | Added action “Zip For Download” to action rights “View Report (Admin)” and “View Report (Reporting)”. |
| | | B.1.2, B.2.2, B.3.2 | Added action right group “Coding Scheme Enquiry”, action right “View Coding Scheme” and pre-defined roles “Coding Scheme Enquiry”. |
| | | C.2.1.2, Sample Reports | Relocated items under “Function (Common Service)” to “Function (Reporting Service)”, removed functions “Average Position Report” and “Trade Position Summary Report”, and added a section for “Coding Scheme Maintenance” in ADMD0002 User Activity Statistics Report. |
| | | Sample Reports | Removed obsoleted CTRD2501-*-B and CTRD2602-*-B from sample file ADMV1402 View Report Schedule. |

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”) is composed of two services: (i) Hong Kong Trade Repository Matching and Confirmation (“HKTR-MC”); and (ii) Hong Kong Trade Repository Reporting (“HKTR-R”).

HKTR-MC is a matching and confirmation platform of over-the counter (“OTC”) derivatives transactions for central clearing through the local central counterparty (“CCP”), operated by the Hong Kong Exchanges and Clearing Ltd (“HKEx”). As this service has already become obsolete, HKTR has ceased to offer HKTR-MC to market participants since May 2018.

HKTR-R is 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)
- Operating Procedures for Hong Kong Trade Repository - User Manual for Participants (Trade Functions - Reporting Service - Appendix)

- Hong Kong Trade Repository Administration and Interface Development Guide (Reporting Service) (“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;
- enquire summary, details and history of trades and trade events;
- 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 sub product and the Agent can only handle the trades of the assigned sub product(s) 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. It features a dark blue background. In the center, there are three white input fields labeled "Participant:", "User ID:", and "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.

Hong Kong Interbank Clearing Limited
Operating Procedures for Hong Kong Trade Repository -
User Manual for Participants (Administrative Functions)

The screenshot shows the Hong Kong Trade Repository System (TR) interface. At the top, there's a header with the Hong Kong Monetary Authority logo and the text 'TABC - Testing ABC (U2)'. Below this, a sidebar menu lists various functions: Reporting, Trade Capture, Valuation Capture, Trade Information, Participant Maintenance, Operations Information, Reports, User and Role Maintenance, User Options, Approval, System Monitoring, and Logout. The main content area displays a welcome message: 'Welcome To Hong Kong Trade Repository System (TR)'. Below this, it shows the last login date and time as '2020-12-04 15:55:57 (HKT)' and the last login status as 'Successful'.

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.

The screenshot shows a 'User Password' dialog box. At the top, there's a title bar with the text 'User Password'. Below this, there's a red error message: 'Error Message SE0212: Password expired.' Below the error message, there's a form to change the password. The form includes the following fields: User Name (User A), User ID (user002), Old Password (password field), New Password (password field), and Confirm New Password (password field). At the bottom of the dialog, there are two buttons: 'Apply' and 'Reset'.

(ii) Field Description

| Field | M/O/D* | Description |
|---------------------|--------|---|
| Login screen | | |
| Participant | M | <ul style="list-style-type: none"> ID of the TR Participant of which the User belongs to Participant ID is not case-sensitive |
| User ID | M | <ul style="list-style-type: none"> User ID for User to login User ID is not case-sensitive Unique identifier for each TR Participant |
| Password | M | <ul style="list-style-type: none"> 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.

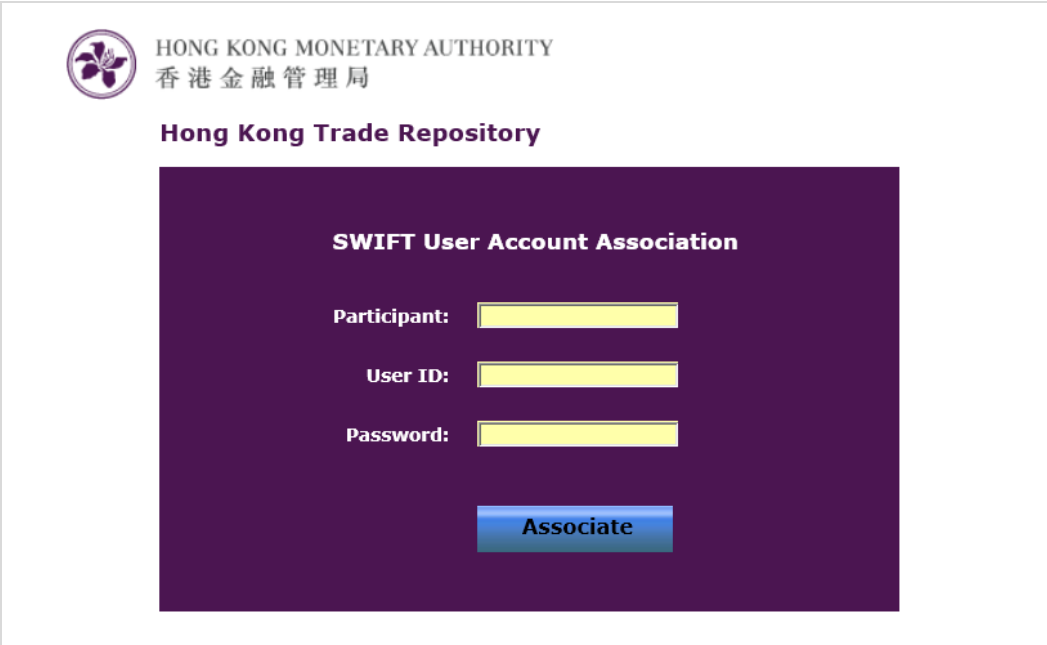
(iii) Processing Steps

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' screen. At the top left is the Hong Kong Monetary Authority logo and text. Below it is the title 'Hong Kong Trade Repository'. The main content area has a dark purple background with the title 'SWIFT User Account Association' in white. There are three input fields with yellow backgrounds: 'Participant:', 'User ID:', and 'Password:'. Below these fields is a blue button with the text 'Associate'.

(ii) Field Description

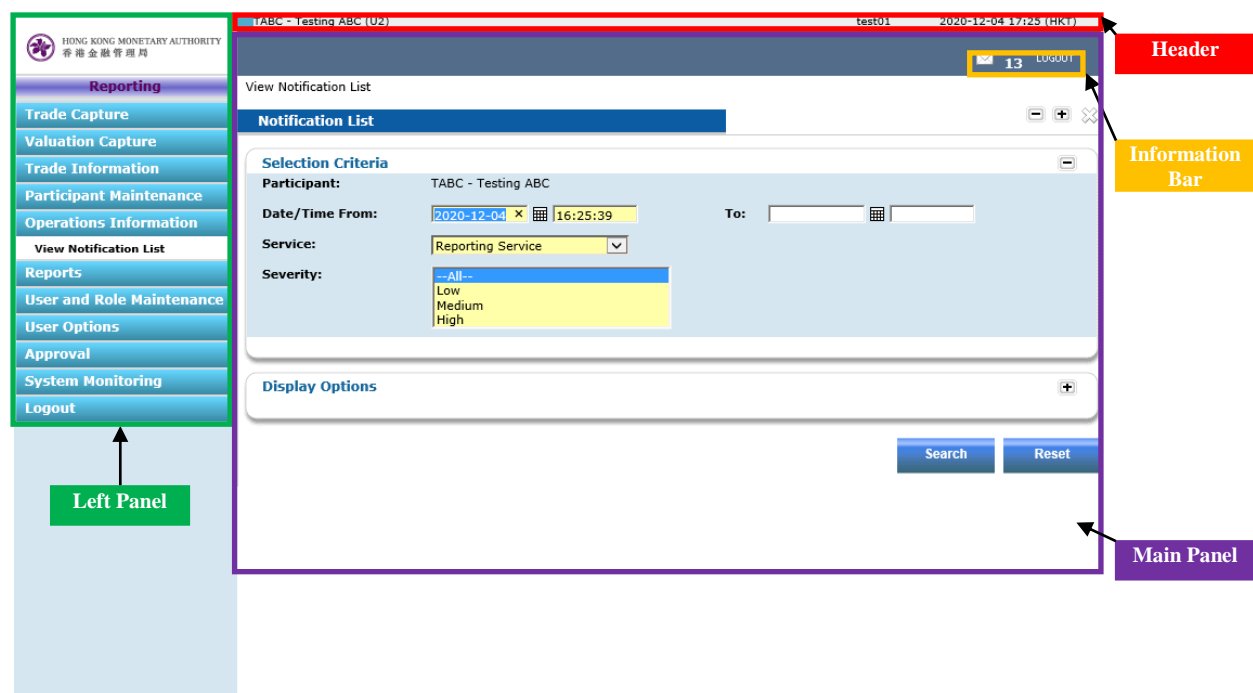
| Field | M/O/D* | Description |
|---------------------------------------|--------|-------------|
| SWIFT User Account Association screen | | |

| Field | M/O/D* | Description |
|--|--------|---|
| SWIFT User Account Association screen | | |
| Participant | M | <ul style="list-style-type: none"> ▪ ID of the TR Participant of which the User belongs to ▪ Participant ID is not case-sensitive |
| User ID | M | <ul style="list-style-type: none"> ▪ User ID for User to login ▪ User ID is not case-sensitive ▪ Unique identifier for each TR Participant |
| Password | M | <ul style="list-style-type: none"> ▪ 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.

4.2 Screen Layout Description



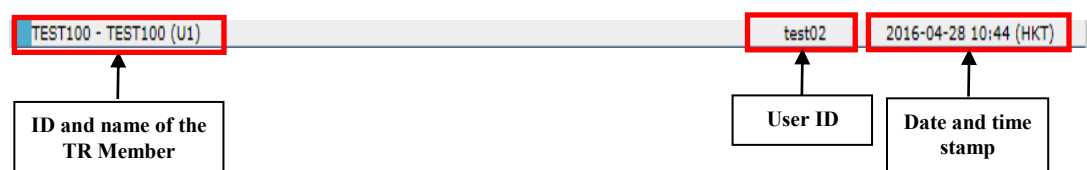
The screen layout is divided into the following areas with different content:

| 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



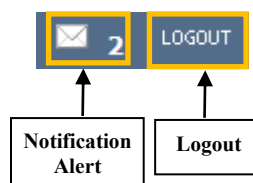
(ii) Item Description

| Item | Description |
|---------------------|---|
| TR Participant | <ul style="list-style-type: none"> Display TR Participant's ID and name |
| User ID | <ul style="list-style-type: none"> The login User ID |
| Date and time stamp | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Indicate the receipt and number of new notification Click to view the new notification in “View Notification List” function |
| Logout | <ul style="list-style-type: none"> Click to logout the system |

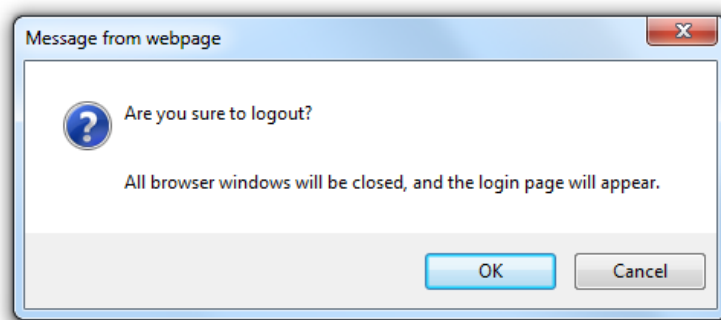
(iii) Processing Steps

➤ 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 | <ul style="list-style-type: none">▪ The logo and name of HKMA |
| Service Name | <ul style="list-style-type: none">▪ Name of the service provided to user (i.e. “Reporting”)▪ Only the service subscribed by the TR Participant will be shown |
| Navigation Menu | <ul style="list-style-type: none">▪ Display the functions that User can access▪ The navigation menu and the function list are shown in Appendix A.1 |
| Sub-menu | <ul style="list-style-type: none">▪ 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. It includes a breadcrumb trail at the top left, a screen title, and a selection criteria section with fields for Participant, Date/Time From, To, Service, and Severity. Below this is a display options section. The main area contains a table with columns for Alertable, Severity, Service, Short Description, and Creation Time. The table has one row with the value 'TESTING' in the Short Description column. Various UI elements are labeled with boxes and arrows: Breadcrumb Trail, Screen Title, Common Function Icons, Expand/Collapse Field Group, Action Button, Page Navigation, Field Group Name, and Hyperlink Action.

(ii) Item Description

| Item | Description |
|-----------------------------|--|
| Breadcrumb trail | <ul style="list-style-type: none"> Display the navigation path for the current function screen |
| Screen Title | <ul style="list-style-type: none"> Title of current function screen |
| Common Function Icons | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The name of the expand/collapse field group |
| Expand/Collapse Field Group | <ul style="list-style-type: none"> User can process their operation in this field group which can be expanded or collapsed |
| Action Button | <ul style="list-style-type: none"> Action that is supported in this function |
| Hyperlink Action | <ul style="list-style-type: none"> Action that is supported in this function |
| Page Navigation | <ul style="list-style-type: none"> Allow User to navigate among the pages |




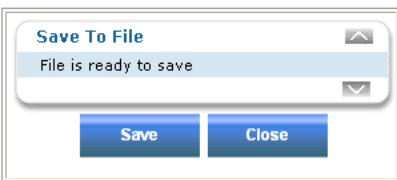






(iii) Processing Steps


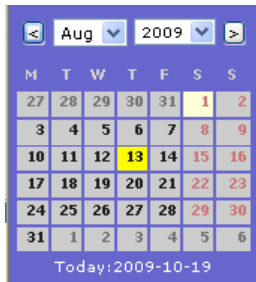





The details of the action button/hyperlink will be described in the processing steps of the corresponding functions. The other screen features are described in the following Section "Icon Actions".

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 |
|---|--|
|  | <ul style="list-style-type: none"> 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.  <ul style="list-style-type: none"> The availability of this icon is shown in Appendix A.2. |
|  | <ul style="list-style-type: none"> Allow User to trigger the browser printer function to print the current screen. The availability of this icon is shown in Appendix A.2. |
|  | <ul style="list-style-type: none"> Refresh the current screen. The availability of this icon is shown in Appendix A.2. |
|  | <ul style="list-style-type: none"> Navigate to the previous screen without refreshing the content of the previous screen. The availability of this icon is shown in Appendix A.2. |
|  | <ul style="list-style-type: none"> If this icon is shown in Common Function Icons area: <ul style="list-style-type: none"> Expand all field groups shown in the screen. If this icon is shown at the top right corner of the field groups: <ul style="list-style-type: none"> Expand the corresponding field group in the screen. |
|  | <ul style="list-style-type: none"> If this icon is shown in Common Function Icons area: <ul style="list-style-type: none"> Collapse all field groups shown in the screen. If this icon is shown at the top right corner of the field groups: <ul style="list-style-type: none"> Collapse the corresponding field group in the screen. |
|  | <ul style="list-style-type: none"> Logout the HKTR or close the current function screen as the case may be. |


| Icon | Description |
|---|---|
|  | <ul style="list-style-type: none"> User can select the date in the calendar and the corresponding field will be filled in with the selected date.  |
|  | <ul style="list-style-type: none"> Initiate the "Select Participant Helper" function. |
|  | <ul style="list-style-type: none"> Navigate the next page in the multi-page enquiry result. |
|  | <ul style="list-style-type: none"> Navigate the previous page in the multi-page enquiry result. |
|  | <ul style="list-style-type: none"> Navigate the last page in the multi-page enquiry result. |
|  | <ul style="list-style-type: none"> Navigate the first page in the multi-page enquiry result. |

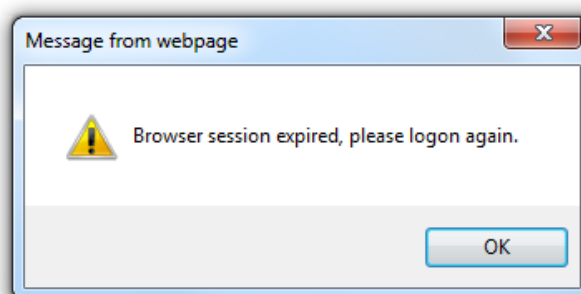
4.4 Common Screen

4.4.1 Message Windows


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

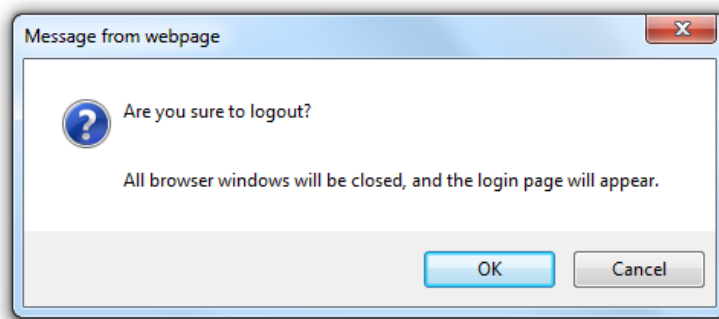
4.4.1.1 Informative Message

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 | <ul style="list-style-type: none">▪ The processing result of the request▪ Possible values:<ul style="list-style-type: none">• Completed• Failed |
| Reason code | <ul style="list-style-type: none">▪ Reason code of the rejection▪ Applicable only if the result is 'Failed' |
| Request Type | <ul style="list-style-type: none">▪ The update type of the request (Refer to Appendix D.1 for the value of parameter update request) |
| Identifier | <ul style="list-style-type: none">▪ The value of identifier (Refer to Appendix D.1 for details)▪ Hyperlink is provided to view the detail of the parameter update |

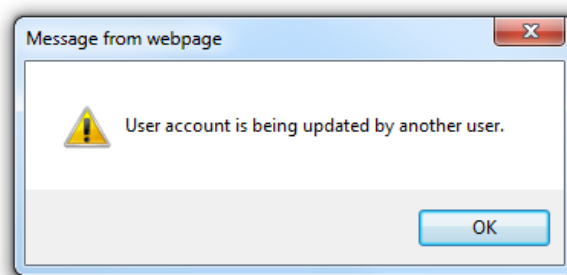
(iii) Processing Steps

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.

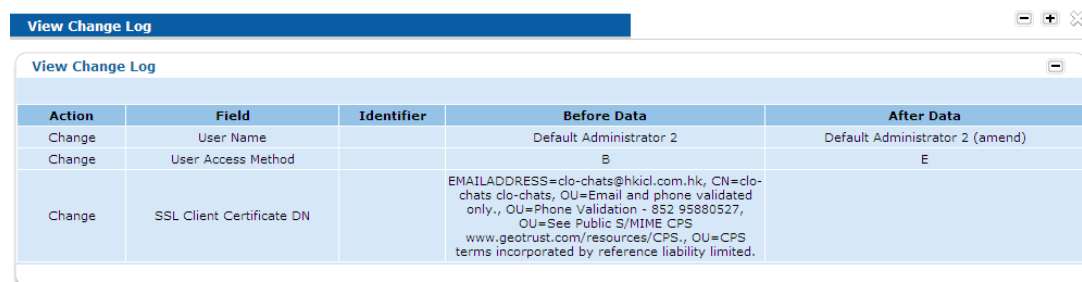
4.4.3 Change Log

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 | <ul style="list-style-type: none"> Possible values: <ul style="list-style-type: none"> Add (The field value is newly added) Change (The field value is updated) Delete (The field value is removed) |
| Field | <ul style="list-style-type: none"> Display the screen field name in the format [Name of the field group] – [screen field name] |
| Identifier | <ul style="list-style-type: none"> Show further information when the information shown under “Field” column cannot clearly indicate which field is referring |
| Before Data | <ul style="list-style-type: none"> The field value before the change This field is blank for “Add” action |
| After Data | <ul style="list-style-type: none"> 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 title bar and a close button. Inside, there is a 'Records Per Page' dropdown set to '25'. Below this is a 'Sorting Order' section. It contains an 'Available Fields' list with 'Alertable', 'Severity', and 'Creation Time'. To the right is a 'Selected Fields' list which is currently empty. Between these lists are radio buttons for 'Asc' (selected) and 'Des', an 'Add >>' button, and a '<< Remove' button. On the far right of the 'Selected Fields' area are 'Move Up' and 'Move Down' buttons. At the bottom of the window are 'Search' and 'Reset' buttons.

(ii) Field Description


| Field | M/O/D* | Description |
|------------------------|--------|--|
| Display Options | | |
| Records Per Page | M | <ul style="list-style-type: none"> ▪ Records to display per page ▪ Possible selections: <ul style="list-style-type: none"> • 10 • 15 • 25 (default) • 35 • 50 |
| Sorting Order | | |
| Available Fields | O | <ul style="list-style-type: none"> ▪ Display the supported sorting column ▪ For the values of the available fields, refer to the corresponding functions field description section |
| Order Options | M | <ul style="list-style-type: none"> ▪ Allow User to prioritize the sorting order of the selected sorting column ▪ Possible selections: <ul style="list-style-type: none"> • Ascending (i.e. “Asc”) • Descending (i.e. “Des”) |
| Selected Fields | O | <ul style="list-style-type: none"> ▪ 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 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

Select Participant

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** **Close**

(ii) Field Description

| Field | M/O/D* | Description |
|--|--------|---|
| Selection Criteria | | |
| Participant ID | O | <ul style="list-style-type: none"> The ID of the specific HKTR entity Wildcard search is supported |
| Participant Short Name | O | <ul style="list-style-type: none"> The short name of the HKTR entity Wildcard search is supported |
| Legal Entity ID (LEI) | O | <ul style="list-style-type: none"> The Legal Entity ID of the specific HKTR entity Wildcard search is supported |
| CFTC Interim Compliant Identifier (CICI) | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The HK Business Registration No. (BRN) No. of the HKTR entity Wildcard search is supported |
| Participant Type | M | <ul style="list-style-type: none"> Participant type of the HKTR entity Possible values: <ul style="list-style-type: none"> All (default) Participant |

| Field | M/O/D* | Description |
|---|--------|---|
| Service | M | <ul style="list-style-type: none"> ▪ Service subscribed by the HKTR entity ▪ Possible values: <ul style="list-style-type: none"> • All (default) • Reporting Service |
| Service Role | M | <ul style="list-style-type: none"> ▪ Role of the HKTR entity in the Service subscribed ▪ Possible values: <ul style="list-style-type: none"> • All (default) • Non-trading Participant Agent • Trading Participant • Trading Participant Agent |
| Participant Status | M | <ul style="list-style-type: none"> ▪ Participant status of the HKTR entity ▪ Possible values: <ul style="list-style-type: none"> • 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.

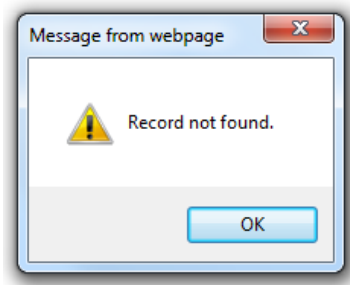
(iii) Processing Steps

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

The screenshot shows a web application window titled "Participant List". It displays a table with the following columns: 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, and Participant Status. The first row of data shows: ☐ for Select, COAI for Participant ID and Short Name, LEICOAI for Legal Entity ID, CICI COAI for CFTC Identifier, CICI CR COAI for HK Certificate, BRN COAI1 for Business Registration, Participant for Type, Reporting Service for Service, Trading Participant for Service Role, and Active for Status. Navigation controls and "Page 1 of 1" are visible at the top and bottom of the table area. A blue "Select" button is located at the bottom right of the window.

(ii) Field Description

| Field | M/O/D* | Description |
|--|--------|---|
| Participant List | | |
| Select | M | <ul style="list-style-type: none"> Checkbox for selecting one or more HKTR entities At least one checkbox must be selected |
| Participant ID | D | <ul style="list-style-type: none"> ID of the HKTR entity |
| Participant Short Name | D | <ul style="list-style-type: none"> Short name of the HKTR entity |
| Legal Entity ID (LEI) | D | <ul style="list-style-type: none"> Legal Entity ID of the HKTR entity |
| CFTC Interim Compliant Identifier (CICI) | D | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the HKTR entity |
| HK Business Registration No. (BRN) | D | <ul style="list-style-type: none"> The HK Business Registration No. (BRN) No. of the HKTR entity |
| Participant Type | D | <ul style="list-style-type: none"> Participant type of the HKTR entity Possible values: <ul style="list-style-type: none"> Participant TR Business Entity |
| Service | D | <ul style="list-style-type: none"> Service subscribed by the HKTR entity Possible value: <ul style="list-style-type: none"> Reporting Service For Participant Type "TR Business Entity", blank will be shown |

| Field | M/O/D* | Description |
|--------------------|--------|--|
| Service Role | D | <ul style="list-style-type: none"> ▪ Role of the HKTR entity in the Service subscribed ▪ Possible values: <ul style="list-style-type: none"> • Non-trading Participant Agent • Trading Participant • Trading Participant Agent ▪ For Participant Type “TR Business Entity”, blank will be shown |
| Participant Status | D | <ul style="list-style-type: none"> ▪ Participant status of the HKTR entity ▪ Possible value(s): <ul style="list-style-type: none"> • 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.

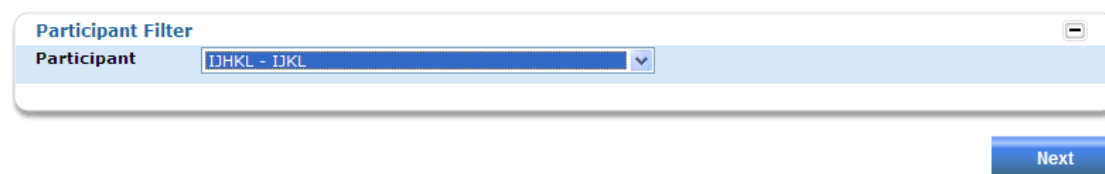
4.6.2 Participant Filter Function

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 Request
- Approve Trade Event 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 via the CSV and FpML formats 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 UTI fields (i.e. including UTI, prior-UTI and UTI-TID), which use “pipe” character as delimiter, the white spaces before and after the “pipe” character will also be trimmed. For example, for field input “ AA| BB “, the element “AA” and “BB” should be extracted with leading and trailing spaces trimmed.

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

| Reporting Obligation | | | | | | | |
|--------------------------------|----------------------|--------------------|--|--|---|---|------------------|
| Sub Product List | | | | | | | |
| Sub Product | Effective Start Date | Effective End Date | Reporting Channel Setup Grace Period End Date (Without IR Cancelable, Early Termination, Amortization) | Backloading Grace Period End Date (Without IR Cancelable, Early Termination, Amortization) | Reporting Channel Setup Grace Period End Date (With IR Cancelable, Early Termination, Amortization) | Backloading Grace Period End Date (With IR Cancelable, Early Termination, Amortization) | Active Indicator |
| Commodity:Forward:FixedBullion | 2023-04-27 | | 2023-04-30 | 2023-10-30 | | | |
| Commodity:Forward:FixedMetal | 2023-04-27 | | 2023-04-30 | 2023-10-30 | | | |
| Equity:Other | 2023-04-27 | | 2023-04-30 | 2023-10-30 | | | |

(d) Agent Relationship

| Agent Relationship | | | | | | | | | | |
|--|------------------|--------------------------------|-------------------|----------------------|---------|-----------|-------------------|----------------------|--------------------|------------------|
| 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 | | | | |
| TAG1 | TRADE-AGENT-1 | Commodity:Forward:FixedBullion | Reporting Service | Y | Y | Y | Y | 2023-04-27 | | |
| TAG1 | TRADE-AGENT-1 | Equity:Other | Reporting Service | Y | Y | Y | Y | 2023-04-27 | | |

(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 | <ul style="list-style-type: none"> ID of the TR Participant |
| Legal Entity ID (LEI) | <ul style="list-style-type: none"> Legal Entity ID of the TR Participant |
| CFTC Interim Compliant Identifier (CICI) | <ul style="list-style-type: none"> CICI of the TR Participant |
| Participant Name | <ul style="list-style-type: none"> Full name of the TR Participant |
| Participant Short Name | <ul style="list-style-type: none"> Short name of the TR Participant |
| Participant Type | <ul style="list-style-type: none"> Type of the TR Participant Possible values: <ul style="list-style-type: none"> Participant TR Business Entity |
| SWIFT BIC | <ul style="list-style-type: none"> SWIFT BIC of the TR Participant |
| HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. | <ul style="list-style-type: none"> HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the TR Participant |
| HK Business Registration No. (BRN) | <ul style="list-style-type: none"> The HK Business Registration No. (BRN) of the TR Participant |

| Field | Description |
|--|--|
| Place of Incorporation | <ul style="list-style-type: none"> Place of incorporation of the TR Participant |
| Operating Mode | <ul style="list-style-type: none"> Operating mode of the TR Participant Possible values: <ul style="list-style-type: none"> Enabled |
| Participant Status | |
| Participant Status | <ul style="list-style-type: none"> Status of the TR Participant Possible values: <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The effective start date of the TR Participant’s status |
| Effective End Date | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> CP / External TR subscribed by the TR Participant Example: <ul style="list-style-type: none"> DTCC |
| Browser Parameter - This section should be hidden to user when participant type is “TR Business Entity” | |
| Browser Session Timeout (in minutes) | <ul style="list-style-type: none"> The setting for automatically logout the User if the browser is inactive for the defined period (in minutes). |
| Browser SWIFT DN | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Service subscribed |
| Service Role | <ul style="list-style-type: none"> Role in Service |
| Institution Type | <ul style="list-style-type: none"> Institution type of the TR Participant |
| Effective Start Date | <ul style="list-style-type: none"> Effective start date of the service subscription |
| Effective End Date | <ul style="list-style-type: none"> Effective end date of the service subscription |

| Field | Description |
|---|--|
| Active Indicator | <ul style="list-style-type: none"> ▪ Indicator to show if the entry is currently effective ▪ Possible values: <ul style="list-style-type: none"> • Yes (effective) • blank (not effective) |
| Reporting Obligation - The Field Group should be hidden to user when participant type is ‘TR Business Entity’. | |
| Sub Product List (current and future configurations are displayed) - Sorted by Effective Start Date in descending order; Sub Product in ascending order | |
| Sub Product | <ul style="list-style-type: none"> ▪ Trades of the sub product that have to be reported |
| Effective Start Date | <ul style="list-style-type: none"> ▪ The effective start date of the reporting obligation ▪ The start date is subject to change depending on when mandatory reporting regulation of the corresponding sub product becomes effective |
| Effective End Date | <ul style="list-style-type: none"> ▪ The effective end date of the reporting obligation |
| Reporting Channel Setup Grace Period End Date (Without IR Cancelable , Early Termination, Amortization) | <ul style="list-style-type: none"> ▪ End date of the reporting channel setup grace period for sub product not supporting the cancellable, early termination and amortization product natures ▪ For details of the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Backloading Grace Period End Date (Without IR Cancelable , Early Termination, Amortization) | <ul style="list-style-type: none"> ▪ End date of the backloading grace period for sub product not supporting the cancellable, early termination and amortization product natures ▪ For details of the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Reporting Channel Setup Grace Period End Date (With IR Cancelable , Early Termination, Amortization) | <ul style="list-style-type: none"> ▪ End date of the reporting channel setup grace period for sub product supporting the cancellable, early termination and amortization product natures ▪ This field will be blank for sub product not supporting the above natures ▪ For details of the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Backloading Grace Period End Date (With IR Cancelable , Early Termination, Amortization) | <ul style="list-style-type: none"> ▪ End date of the backloading grace period for sub product supporting the cancellable, early termination and amortization product natures ▪ This field will be blank for sub product not supporting the above natures ▪ For details of the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Active Indicator | <ul style="list-style-type: none"> ▪ Indicator to show if the entry is currently effective ▪ Possible values: <ul style="list-style-type: none"> • Yes (effective) • blank (not effective) |

| Field | Description |
|---|---|
| Agent Relationship (current and future configurations are displayed) <ul style="list-style-type: none"> - 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 Sub Product 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 | <ul style="list-style-type: none"> ▪ Participant ID of the client TR Participant |
| Participant Name | <ul style="list-style-type: none"> ▪ Full name of the client TR Participant |
| Sub Product | <ul style="list-style-type: none"> ▪ Trades of the sub product to be handled by the Agent |
| Service | <ul style="list-style-type: none"> ▪ Service to be provided by the Agent |
| Trade Submission via FTS | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via FTS by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Trade Submission via FileAct | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via FileAct by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Trade Submission via UI Upload | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via UI Upload by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| UI Full Functions | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be handled by the Agent via UI functions ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Effective Start Date | <ul style="list-style-type: none"> ▪ Effective start date of the Agent relationship |
| Effective End Date | <ul style="list-style-type: none"> ▪ Effective end date of the Agent relationship |
| Active Indicator | <ul style="list-style-type: none"> ▪ Indicator to show if the entry is currently effective ▪ Possible values: <ul style="list-style-type: none"> • Yes (effective) • blank (not effective) |
| Originating Relationship | |
| Originating Relationship List – The Originating Party (current and future configurations are displayed) <ul style="list-style-type: none"> - Sorted by Effective Start Date in descending order; Participant ID and Sub Product in ascending order. | |
| Participant ID | <ul style="list-style-type: none"> ▪ Participant ID of the client TR Participant |

| Field | Description |
|---|---|
| Participant Name | <ul style="list-style-type: none"> Full name of the client TR Participant |
| Sub Product | <ul style="list-style-type: none"> Trades of the sub product to be handled by the Originating Party |
| Effective Start Date | <ul style="list-style-type: none"> Effective start date of the Originating relationship |
| Effective End Date | <ul style="list-style-type: none"> Effective end date of the Originating relationship |
| Active Indicator | <ul style="list-style-type: none"> Indicator to show if the entry is currently effective Possible values: <ul style="list-style-type: none"> Yes (effective) blank (not effective) |
| SWIFTNet FileAct DN Configuration <ul style="list-style-type: none"> The Field Group should be hidden to user when participant type is ‘TR Business Entity’. | |
| Receiver DN | <ul style="list-style-type: none"> Indicator to show whether the DN is a receiver DN Possible values: <ul style="list-style-type: none"> Y N |
| SWIFTNet FileAct DN | <ul style="list-style-type: none"> SWIFTNet FileAct Distinguished Name of the TR Participant |
| Approval Configuration <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Update type specific to Reporting Trade functions |
| System Aprv. Req. | <ul style="list-style-type: none"> System approval requirement indicator to show if approval for the Update Type is required at the system level Possible values: <ul style="list-style-type: none"> Y N |
| Participant Aprv. Req. | <ul style="list-style-type: none"> Approval requirement indicator to show if approval for the Update Type is required at the Participant level Possible values: <ul style="list-style-type: none"> Y N |
| Administrative Updates Approval List <ul style="list-style-type: none"> Repeated for each update type specific to administrative functions. | |
| Update Type | <ul style="list-style-type: none"> Update type for administrative functions. Refer to Appendix D.1 |
| System Aprv. Req. | <ul style="list-style-type: none"> System approval requirement indicator to show if approval for the update type is required at the system level Possible values: <ul style="list-style-type: none"> Y N |

| Field | Description |
|------------------------------|---|
| Participant Aprv. Req. | <ul style="list-style-type: none"> ▪ Approval requirement indicator to show if approval for the update type is required at the Participant level ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Approval Status | |
| Pending Approval Update Type | <ul style="list-style-type: none"> ▪ Update type pending for approval ▪ Possible values: <ul style="list-style-type: none"> • 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 sub products. The list is sorted by Effective Start Date in descending order; Service, Participant ID and Sub Product in ascending order. Please refer to the table below for the list layout.

| Agent Relationship List - The Client Participants | |
|--|--|
| Field | Description |
| Participant ID | <ul style="list-style-type: none"> ▪ Participant ID of the client TR Participant |
| Participant Name | <ul style="list-style-type: none"> ▪ Full name of the client TR Participant |
| Sub Product | <ul style="list-style-type: none"> ▪ Trades of the sub product to be handled by the Agent |
| Service | <ul style="list-style-type: none"> ▪ Service provided to the client TR Participant |
| Trade Submission via FTS | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via FTS by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |

| Agent Relationship List - The Client Participants | |
|--|---|
| Field | Description |
| Trade Submission via FileAct | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via FileAct by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Trade Submission via UI Upload | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via UI Upload by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| UI Full Functions | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be handled by the Agent via UI functions ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Effective Start Date | <ul style="list-style-type: none"> ▪ Effective start date of the Agent relationship |
| Effective End Date | <ul style="list-style-type: none"> ▪ Effective end date of the Agent relationship |
| Active Indicator | <ul style="list-style-type: none"> ▪ Indicator to show if the entry is currently effective ▪ Possible values: <ul style="list-style-type: none"> • 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 sub products. The list will be sorted by Effective Start Date in descending order; Service, Participant ID and Sub Product in ascending order. Please refer to the table below for the list layout.

| Agent Relationship List - The Appointed Agents | |
|---|--|
| Field | Description |
| Participant ID | <ul style="list-style-type: none"> ▪ Participant ID of the Agent |
| Participant Name | <ul style="list-style-type: none"> ▪ Full name of the Agent |
| Sub Product | <ul style="list-style-type: none"> ▪ Trades of the sub product to be handled by the Agent |
| Service | <ul style="list-style-type: none"> ▪ Service provided by the Agent |

| Agent Relationship List - The Appointed Agents | |
|---|---|
| Field | Description |
| Trade Submission via FTS | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via FTS by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Trade Submission via FileAct | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via FileAct by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Trade Submission via UI Upload | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via UI Upload by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| UI Full Functions | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be handled by the Agent via UI functions ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Effective Start Date | <ul style="list-style-type: none"> ▪ Effective start date of the Agent relationship |
| Effective End Date | <ul style="list-style-type: none"> ▪ Effective end date of the Agent relationship |
| Active Indicator | <ul style="list-style-type: none"> ▪ Indicator to show if the entry is currently effective ▪ Possible values: <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • 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 Sub Product in ascending order. Please refer to the table below for the list layout.

| Sub Product List | |
|--|---|
| Field | Description |
| Sub Product | ▪ Trades of sub product to be reported |
| Effective Start Date | ▪ Effective start date of the service |
| Effective End Date | ▪ Effective end date of the service |
| Reporting Channel Setup Grace Period End Date (Without IR Cancelable, Early Termination, Amortization) | ▪ End date of the reporting channel setup grace period for sub product not supporting the cancellable, early termination and amortization product natures ▪ For details of the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |

| Sub Product List | |
|--|---|
| Field | Description |
| Backloading Grace Period End Date (Without IR Cancelable , Early Termination, Amortization) | <ul style="list-style-type: none"> End date of the backloading grace period for sub product not supporting the cancellable, early termination and amortization product natures For details of the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Reporting Channel Setup Grace Period End Date (With IR Cancelable , Early Termination, Amortization) | <ul style="list-style-type: none"> End date of the reporting channel setup grace period for sub product supporting the cancellable, early termination and amortization product natures This field will be blank for sub product not supporting the above product natures For details the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Backloading Grace Period End Date (With IR Cancelable , Early Termination, Amortization) | <ul style="list-style-type: none"> End date of the backloading grace period for sub product supporting the cancellable, early termination and amortization product natures This field will be blank for sub product not supporting the above product natures For details the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Active Indicator | <ul style="list-style-type: none"> Indicator to show if the entry is currently effective Possible values: <ul style="list-style-type: none"> 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 Sub Product 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 |

| Originating Relationship List - The Originating Party | |
|--|---|
| Field | Description |
| Sub Product | <ul style="list-style-type: none"> ▪ Trades of the sub product to be handled by the originating party |
| Effective Start Date | <ul style="list-style-type: none"> ▪ Effective start date of the service |
| Effective End Date | <ul style="list-style-type: none"> ▪ Effective end date of the service |
| Active Indicator | <ul style="list-style-type: none"> ▪ Indicator to show if the entry is currently effective ▪ Possible values: <ul style="list-style-type: none"> • 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 Sub Product in ascending order. Please refer to the table below for the list layout.

| Originating Relationship List - Reporting For | |
|--|---|
| Field | Description |
| Participant ID | <ul style="list-style-type: none"> ▪ Participant ID of the originating party |
| Participant Name | <ul style="list-style-type: none"> ▪ Full name of the originating party |
| Sub Product | <ul style="list-style-type: none"> ▪ Trades of the sub product to be handled by the originating party |
| Effective Start Date | <ul style="list-style-type: none"> ▪ Effective start date of the service |
| Effective End Date | <ul style="list-style-type: none"> ▪ Effective end date of the service |
| Active Indicator | <ul style="list-style-type: none"> ▪ Indicator to show if the entry is currently effective ▪ Possible values: <ul style="list-style-type: none"> • 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 blue header bar. Below the header, there is 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 is a section for "Participant Status" showing:

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

Next is the "Confirmation Platform (CP) / External TR Subscription" section, which shows "DTCC".

Finally, there is a "Browser Parameter" section with the following fields:

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

(b) Service Subscription

The screenshot shows a window titled "Service Subscription" with a blue header bar. Below the header, there is a tab labeled "Service Subscription". The table displays the following data:

| 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

| Reporting Obligation | | | | | | | |
|-----------------------|----------------------|--------------------|--|--|---|---|------------------|
| Sub Product List | | | | | | | |
| Sub Product | Effective Start Date | Effective End Date | Reporting Channel Setup Grace Period End Date (Without IR Cancelable, Early Termination, Amortization) | Backloading Grace Period End Date (Without IR Cancelable, Early Termination, Amortization) | Reporting Channel Setup Grace Period End Date (With IR Cancelable, Early Termination, Amortization) | Backloading Grace Period End Date (With IR Cancelable, Early Termination, Amortization) | Active Indicator |
| ForeignExchange:Other | 2020-08-07 | | 2020-08-07 | 2102-09-26 | | | Yes |
| InterestRate:Other | 2020-08-07 | | 2020-08-07 | 2102-09-26 | | | Yes |

(d) Agent Relationship

| Agent Relationship | | | | | |
|--|------------------|-------------|---------|----------------------|-------------|
| Agent Relationship List - The Appointed Agents | | | | | |
| Participant ID | Participant Name | Sub Product | Service | Trade Submission via | FTS FileAct |
| | | | | | |

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

| Agent Relationship | | | | | | | |
|--------------------|-------------|---------|----------------------|-----------|-------------------|----------------------|--------------------|
| | Sub Product | Service | Trade Submission via | | UI Full Functions | Effective Start Date | Effective End Date |
| | | | FTS | FileAct | | | |
| | | | | UI Upload | | | Active Indicator |

(e) Originating Relationship

| Originating Relationship | | | |
|---|------------------|---|----------|
| Originating Relationship List - The Originating Party | | | |
| Participant ID | Participant Name | Sub Product | Eligible |
| 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 | | | | |
|--------------------------|---|----------------------|--------------------|------------------|
| Entity 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 |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | 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 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Delete Party ID Change | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

| Administrative Updates Approval List | | |
|--------------------------------------|-------------------------------------|-------------------------------------|
| Update Type | System Aprv. Req. | Participant Aprv. Req. |
| Change Participant Details | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Create User | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Change User Details | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Delete User | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Enable User | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Disable User | <input type="checkbox"/> | <input type="checkbox"/> |
| Create Role | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Change Role Details | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Delete Role | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Change User Password | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Change Report Schedule | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |

Approval Status
Pending Approval Update Type:

(ii) Field Description

| Field | M/O/D* | Description |
|--|--------|--|
| General Information | | |
| Participant ID | D | <ul style="list-style-type: none"> ID of the TR Participant |
| Legal Entity ID (LEI) | D | <ul style="list-style-type: none"> Legal Entity ID of the TR Participant |
| CFTC Interim Compliant Identifier (CICI) | D | <ul style="list-style-type: none"> CICI of the TR Participant |
| Participant Name | M | <ul style="list-style-type: none"> Full name of the TR Participant |
| Participant Short Name | M | <ul style="list-style-type: none"> Short name of the TR Participant |
| Participant Type | D | <ul style="list-style-type: none"> Type of TR Participant Possible values: <ul style="list-style-type: none"> Participant |
| SWIFT BIC | D | <ul style="list-style-type: none"> SWIFT BIC of the TR Participant |
| HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. | D | <ul style="list-style-type: none"> HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the TR Participant |
| HK Business Registration No. (BRN) | D | <ul style="list-style-type: none"> The HK Business Registration No. (BRN) of the TR Participant |
| Place of Incorporation | D | <ul style="list-style-type: none"> Place of incorporation of the TR Participant |
| Operating Mode | D | <ul style="list-style-type: none"> Operating mode of the TR Participant Possible value: <ul style="list-style-type: none"> Enabled |
| Participant Status | | |
| Participant Status | D | <ul style="list-style-type: none"> Status of the TR Participant Possible values: <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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. |

| Field | M/O/D* | Description |
|--|--------|---|
| Effective End Date | D | <ul style="list-style-type: none"> The effective end date of the Participant Status |
| Confirmation Platform (CP) / External TR Subscription | | |
| Confirmation Platform Service Provider / External TR | D | <ul style="list-style-type: none"> CP / External TR subscribed by the TR Participant Example: <ul style="list-style-type: none"> DTCC |
| Browser Parameter | | |
| Browser Session Timeout (in minutes) | M | <ul style="list-style-type: none"> The setting for automatically logout the User if the browser is inactive for the defined period (in minutes). Possible value(s): <ul style="list-style-type: none"> 15 (default) 1 to 60 |
| Browser SWIFT DN | D | <ul style="list-style-type: none"> 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) <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Service subscribed |
| Service Role | D | <ul style="list-style-type: none"> Role in Service |
| Institution Type | D | <ul style="list-style-type: none"> Institution type of the TR Participant Institution Type should be blank if "Non-trading Participant Agent" service role is selected |
| Effective Start Date | D | <ul style="list-style-type: none"> Effective start date of the service subscription Effective Start Date must be later than current date |
| Effective End Date | D | <ul style="list-style-type: none"> Effective end date of the service subscription |
| Active Indicator | D | <ul style="list-style-type: none"> Indicator to show if the entry is currently effective Possible values: <ul style="list-style-type: none"> Yes (effective) blank (not effective) |
| Reporting Obligation | | |

| Field | M/O/D* | Description |
|--|--------|--|
| Sub Product List (current and future configurations are displayed) - It lists the <ul style="list-style-type: none"> • Sub Product added by the Reporting Obligation Input Control • Only 1 entry with future effective date is supported for each sub product • The effective date range defined in the sub product lists cannot be overlapped | | |
| Sub Product | D | <ul style="list-style-type: none"> ▪ Trades of the sub product that have to be reported |
| Effective Start Date | D | <ul style="list-style-type: none"> ▪ The effective start date of the reporting obligation ▪ The start date is subject to change depending on when mandatory reporting regulation of the corresponding sub product becomes effective ▪ Effective Start Date can be equal to or later than the corresponding sub product 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 sub product, 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 | <ul style="list-style-type: none"> ▪ The effective end date of the reporting obligation ▪ In order not to trigger the system event “Exit from Reporting”, for each sub product, 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 |
| Reporting Channel Setup Grace Period End Date (Without IR Cancelable , Early Termination, Amortization) | D | <ul style="list-style-type: none"> ▪ End date of the reporting channel setup grace period for sub product not supporting the cancellable, early termination and amortization product natures ▪ For details of the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Backloading Grace Period End Date (Without IR Cancelable , Early Termination, Amortization) | D | <ul style="list-style-type: none"> ▪ End date of the backloading grace period for sub product not supporting the cancellable, early termination and amortization product natures ▪ For details of the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |

| Field | M/O/D* | Description |
|--|--------|---|
| Reporting Channel Setup Grace Period End Date (With IR Cancelable , Early Termination, Amortization) | D | <ul style="list-style-type: none"> End date of the reporting channel setup grace period for sub product supporting the cancellable, early termination and amortization product natures This field will be blank for sub product not supporting the above product natures For details the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Backloading Grace Period End Date (With IR Cancelable , Early Termination, Amortization) | D | <ul style="list-style-type: none"> End date of the backloading grace period for sub product supporting the cancellable, early termination and amortization product natures This field will be blank for sub product not supporting the above product natures For details the above product natures, refer to Appendix A.1 in Operating Procedures for Hong Kong Trade Repository – User Manual for Participants (Trade Functions – Reporting Service – Appendix) |
| Active Indicator | D | <ul style="list-style-type: none"> Indicator to show if the entry is currently effective Possible values: <ul style="list-style-type: none"> Yes (effective) blank (not effective) |
| Agent Relationship <ul style="list-style-type: none"> - 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 <ul style="list-style-type: none"> - It lists the <ul style="list-style-type: none"> Agent Relationship added by the Agent Relationship Input Control Only 1 entry with future effective date is supported for each agent and sub product Effective date range for Agent Relationship per each agent, service and each sub product cannot be overlapped | | |
| Participant ID | D | <ul style="list-style-type: none"> Participant ID of the Agent |
| Participant Name | D | <ul style="list-style-type: none"> Full name of the Agent |
| Sub Product | D | <ul style="list-style-type: none"> Trades of the sub product to be handled by the Agent |
| Service | D | <ul style="list-style-type: none"> Service to be provided by the Agent Possible value: <ul style="list-style-type: none"> Reporting Service |
| Trade Submission via FTS | D | <ul style="list-style-type: none"> Indicator to show if the trades are to be submitted via FTS by the Agent Possible values: <ul style="list-style-type: none"> Y N |

| Field | M/O/D* | Description |
|---|--------|---|
| Trade Submission via FileAct | D | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via FileAct by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Trade Submission via UI Upload | D | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be submitted via UI Upload by the Agent ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| UI Full Functions | D | <ul style="list-style-type: none"> ▪ Indicator to show if the trades are to be handled by the Agent via UI functions ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Effective Start Date | D | <ul style="list-style-type: none"> ▪ Effective start date of the Agent relationship ▪ Effective Start Date must be later than current date |
| Effective End Date | D | <ul style="list-style-type: none"> ▪ Effective end date of the Agent relationship |
| Active Indicator | D | <ul style="list-style-type: none"> ▪ Indicator to show if the entry is currently effective ▪ Possible values: <ul style="list-style-type: none"> • Yes (effective) • blank (not effective) |
| Originating Relationship <ul style="list-style-type: none"> - 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) <ul style="list-style-type: none"> - Sorted by Effective Start Date in descending order; Participant ID and Sub Product in ascending order. - It lists the <ul style="list-style-type: none"> • Originating Relationship added by the Originating Relationship Input Control • Only 1 entry with future effective date is supported for each originating party and sub product • For each sub product, only 1 originating party can be assigned for an effective date range • Effective date range for Originating Relationship per each originating party and sub product cannot be overlapped | | |
| Participant ID | D | <ul style="list-style-type: none"> ▪ Participant ID of the client TR Participant |
| Participant Name | D | <ul style="list-style-type: none"> ▪ Full name of the client TR Participant |
| Sub Product | D | <ul style="list-style-type: none"> ▪ Trades of the sub product to be handled by the Originating Party |
| Effective Start Date | D | <ul style="list-style-type: none"> ▪ Effective start date of the Originating relationship ▪ Effective Start Date must be later than current date |
| Effective End Date | D | <ul style="list-style-type: none"> ▪ Effective end date of the Originating relationship |

| Field | M/O/D* | Description |
|--|--------|---|
| Active Indicator | D | <ul style="list-style-type: none"> Indicator to show if the entry is currently effective Possible values: <ul style="list-style-type: none"> Yes (effective) blank (not effective) |
| SWIFTNet FileAct DN Configuration | | |
| Delete | O | <ul style="list-style-type: none"> Checkbox for the deletion of SWIFTNet FileAct DN Multiple selection is allowed If checked, the row would be deleted after apply |
| Receiver DN | O | <ul style="list-style-type: none"> Receiver DN of the TR Participant Only 1 Receiver DN can be defined for a TR Participant |
| SWIFTNet FileAct DN | M | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Update type for trade functions specific to Reporting Trade |
| System Aprv. Req. Checkbox | D | <ul style="list-style-type: none"> System approval requirement indicator to show if approval for the Update Type is required at the system level |
| Participant Aprv. Req. Checkbox | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Update type for administrative functions. Refer to Appendix D.1 |
| System Aprv. Req. Checkbox | D | <ul style="list-style-type: none"> System approval requirement indicator to show if approval for the Update Type is required at the system level |
| Participant Aprv. Req. Checkbox | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Update type pending for approval Applicable only if there is an amendment that is pending approval, blank will be displayed otherwise Possible value: <ul style="list-style-type: none"> 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 section titled "SWIFTNet FileAct DN" with a text input field. Below the input field are three buttons: "Add DN", "Reset", and "Back".

➤ **Apply**

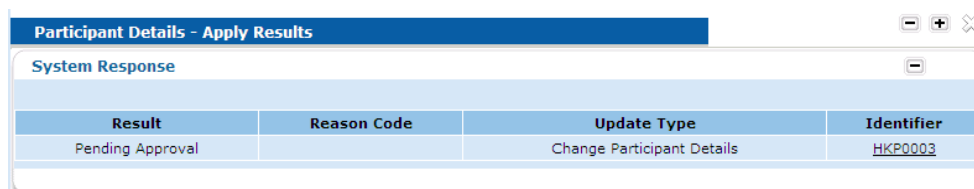
1. Enter the Participant Name.
2. Enter the Participant Short Name.
3. Enter Browser Session Timeout (in minutes).
4. (Optional) Check the Deletion Checkbox to delete the SWIFTNet FileAct DN.
5. (Optional) Click <Add DN> button to add the SWIFTNet FileAct DN, the “Add SWIFTNet FileAct Distinguished Name” 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 section titled "System Response" containing 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.



The screenshot shows a window titled "Participant Details - Apply Results". Inside, there is a "System Response" section containing a table with the following data:

| 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

(ii) Field Descriptions

| Field | M/O/D* | Description |
|--|--------|---|
| Selection Criteria | | |
| Participant ID | O | <ul style="list-style-type: none"> ▪ ID of the HKTR entity ▪ Wildcard search is supported |
| Participant Short Name | O | <ul style="list-style-type: none"> ▪ Short name of the HKTR entity ▪ Wildcard search is supported |
| Legal Entity ID (LEI) | O | <ul style="list-style-type: none"> ▪ Legal Entity ID of the HKTR entity ▪ Wildcard search is supported |
| CFTC Interim Compliant Identifier (CICI) | O | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ The HK Business Registration No. (BRN) No. of the HKTR entity ▪ Wildcard search is supported |
| Participant Type | M | <ul style="list-style-type: none"> ▪ Type of the HKTR entity ▪ Possible values: <ul style="list-style-type: none"> • All (default) • Participant |

| Field | M/O/D* | Description |
|---|--------|--|
| Service | M | <ul style="list-style-type: none"> ▪ Service subscribed by the HKTR entity ▪ Possible selections: <ul style="list-style-type: none"> • All (default) • Reporting Service |
| Service Role | M | <ul style="list-style-type: none"> ▪ Role of the HKTR entity in Service ▪ Possible selections: <ul style="list-style-type: none"> • All (default) • Non-trading Participant Agent • Trading Participant • Trading Participant Agent |
| Participant Status | M | <ul style="list-style-type: none"> ▪ Participant status of the HKTR entity ▪ Possible values: <ul style="list-style-type: none"> • 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.

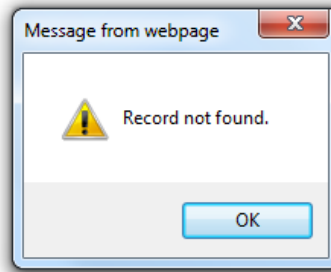
(iii) Processing Steps

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 |
| Page 1 of 1 | | | | |

Scroll to the right:

| Participant List | | | | | |
|------------------|--|------------------------------------|------------------|-------------------|---------------------|
| Page 1 of 1 | | | | | |
| 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 |
| Page 1 of 1 | | | | | |

Scroll to the right:

| Participant List | | | | | |
|------------------|-------------------|---------------------|--------------------|----------------------|---------------------|
| Page 1 of 1 | | | | | |
| 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 |
| Page 1 of 1 | | | | | |

(ii) Field Description

| Field | Description |
|--|---|
| Participant List | |
| Participant ID | <ul style="list-style-type: none"> ID of the HKTR entity |
| Participant Short Name | <ul style="list-style-type: none"> Short name of the HKTR entity |
| Legal Entity ID (LEI) | <ul style="list-style-type: none"> Legal Entity ID of the HKTR entity |
| CFTC Interim Compliant Identifier (CICI) | <ul style="list-style-type: none"> 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. | <ul style="list-style-type: none"> HK Certificate of Incorporation (CI) No. / HK Certificate of Registration (CR) No. of the HKTR entity |
| HK Business Registration No. (BRN) | <ul style="list-style-type: none"> The HK Business Registration No. (BRN) of the HKTR entity |
| Participant Type | <ul style="list-style-type: none"> Type of the HKTR entity Possible values: <ul style="list-style-type: none"> Participant TR Business Entity |
| Service | <ul style="list-style-type: none"> Service subscribed by the HKTR entity Possible value: <ul style="list-style-type: none"> Reporting Service For Participant Type “TR Business Entity”, blank will be shown |

| Field | Description |
|----------------------|---|
| Service Role | <ul style="list-style-type: none">▪ Role of the HKTR entity in Service▪ Possible values:<ul style="list-style-type: none">• Non-trading Participant Agent• Trading Participant• Trading Participant Agent▪ For Participant Type “TR Business Entity”, blank will be shown |
| Participant Status | <ul style="list-style-type: none">▪ Status of the HKTR entity▪ Possible values:<ul style="list-style-type: none">• Active• Closed |
| Effective Start Date | <ul style="list-style-type: none">▪ The effective start date of the Participant Status |
| Last Update Time | <ul style="list-style-type: none">▪ 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 showing 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 | <ul style="list-style-type: none"> The ID and full name of the TR Participant |
| Date/Time From | M | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Service allocated to the User Possible selection: <ul style="list-style-type: none"> Reporting |
| Severity | M | <ul style="list-style-type: none"> Severity level of notifications Possible selections (multiple selections are allowed): <ul style="list-style-type: none"> All (default) High Medium Low |
| Display Options | | |
| Refer to Section 4 “Getting Started” for field details and processing steps of Display Options. | | |

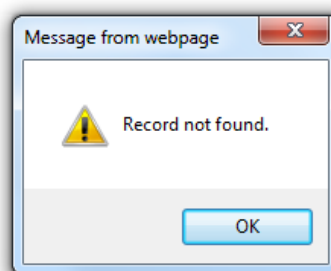
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(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 | | | | | |
|---|---|----------|-------------------|-------------------------|---------------------|
| Page 1 of 1 | | | | | |
| | Alertable | Severity | Service | Short Description | Creation Time |
|  |  | L | Reporting Service | TESTING | 2020-12-03 12:04:12 |
| Page 1 of 1 | | | | | |

(ii) Field Description

| Field | Description |
|--------------------------|---|
| Notification List | |
| New Notification | <ul style="list-style-type: none"> The  icon is displayed to indicate new and unread notification |
| Alertable | <ul style="list-style-type: none"> The  icon is displayed to indicate “alertable” notification |
| Severity | <ul style="list-style-type: none"> Indicator to show the severity level of the notification Possible values: <ul style="list-style-type: none">  (High)  (Medium)  (Low) |
| Service | <ul style="list-style-type: none"> Service in which the notification applies to Possible value: <ul style="list-style-type: none"> Reporting Service |
| Short Description | <ul style="list-style-type: none"> Short description of the notification |
| Creation Time | <ul style="list-style-type: none"> 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

| Notification | |
|--------------------|------------------------------|
| Participant: | ABHK - ALLAHABAD BANK (FULL) |
| Alertable: | Yes |
| Severity: | Low |
| Service: | Reporting Service |
| Creation Time: | 2020-12-03 12:04:12 |
| Short Description: | TESTING |
| Description: | TESTING |

(ii) Field Description

| Field | Description |
|---------------------|--|
| Notification | |
| Participant | <ul style="list-style-type: none"> ▪ ID and full name of the TR Participant |
| Alertable | <ul style="list-style-type: none"> ▪ Indicates whether the notification is “alertable” ▪ Possible values: <ul style="list-style-type: none"> • Yes (“alertable”) • No (not “alertable”) |
| Severity | <ul style="list-style-type: none"> ▪ Severity of the notification ▪ Possible values: <ul style="list-style-type: none"> • High • Medium • Low |
| Service | <ul style="list-style-type: none"> ▪ Service in which the notification applies to ▪ Possible value: <ul style="list-style-type: none"> • Reporting Service |
| Creation Time | <ul style="list-style-type: none"> ▪ Creation date and time of the notification |
| Short Description | <ul style="list-style-type: none"> ▪ Short description of the notification |
| Description | <ul style="list-style-type: none"> ▪ 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:

interusr1

User Name:

interusr1

User Access Method:

Both SWIFTNet and Internet

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-----

MIIDyTCCArGgAwIBAgIEdzWooJANBgkqhkiG9w0BAQUFADCByzELMAkGA1UEBhMC

SEsMTAvBqNVBAoTKERJR0ktU0lHTiBDRVJUSUZJQ0FUSU9OIFNFUjZJQ0VTIEJ

Service Subscription

☐

☒

Service

Reporting Service

User Preference

Default Service:

Reporting Service

Initial User Password

Initial Password:

Confirm Password:

| Administration Role List | | | |
|-------------------------------------|-------------------------------------|-------------------------------------|------------------------------|
| <input checked="" type="checkbox"/> | Role Name | Description | System Pre-defined User Role |
| <input checked="" type="checkbox"/> | Event Enquiry | Event Enquiry | Y |
| <input checked="" type="checkbox"/> | Notification Enquiry | Notification Enquiry | Y |
| <input checked="" type="checkbox"/> | Participant List Enquiry | Participant List Enquiry | Y |
| <input checked="" type="checkbox"/> | Participant Maintenance | Participant Maintenance | Y |
| <input checked="" type="checkbox"/> | Participant Maintenance Approval | Participant Maintenance Approval | Y |
| <input checked="" type="checkbox"/> | Report Delivery Approval (Admin) | Report Delivery Approval (Admin) | Y |
| <input checked="" type="checkbox"/> | Report Delivery Maintenance (Admin) | Report Delivery Maintenance (Admin) | Y |
| <input checked="" type="checkbox"/> | Report Enquiry (Admin) | Report Enquiry (Admin) | Y |
| <input checked="" type="checkbox"/> | User Maintenance | User Maintenance | Y |
| <input checked="" type="checkbox"/> | User Maintenance Approval | User Maintenance Approval | Y |

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

(ii) Field Description

| Field | M/O/D* | Description |
|--|--------|---|
| General Information | | |
| Participant | D | <ul style="list-style-type: none"> ID and full name of the TR Participant |
| User ID | M | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Name of the User (with a maximum of 35 characters) |
| User Access Method | M | <ul style="list-style-type: none"> Possible values (any one of the followings): <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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. | | |

| Field | M/O/D* | Description |
|--|--------|--|
| Allocation Checkbox | M | <ul style="list-style-type: none"> Checkbox for the assignment of service(s) At least 1 service must be selected |
| Service | D | <ul style="list-style-type: none"> Service subscribed by the TR Participant Possible value: <ul style="list-style-type: none"> Reporting Service |
| User Preference - Only the services subscribed by the TR Participant are listed. | | |
| Default Service | M | <ul style="list-style-type: none"> Default navigation menu to be launched after User successful logon Possible selection: <ul style="list-style-type: none"> Reporting Service |
| Initial User Password | | |
| Initial Password | M | <ul style="list-style-type: none"> The initial password of the User account |
| Confirm Password | M | <ul style="list-style-type: none"> Re-enter the initial password of the User account for confirmation |
| Administration Role List | | |
| Allocation Checkbox | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The list of all available administration Roles (system pre-defined User Roles and Participant level Roles) |
| Description | D | <ul style="list-style-type: none"> Description of the Role |
| System Pre-defined User Role | D | <ul style="list-style-type: none"> Indicator to show if the Role is a system pre-defined User Role (for details, please refer to Appendix B.3.1) Possible values: <ul style="list-style-type: none"> Y N |
| Trade Role List (Reporting) | | |
| Allocation Checkbox | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The list of all available Reporting Trade Roles (system pre-defined User Roles and Participant level Roles) |
| Description | D | <ul style="list-style-type: none"> Description of the Role |
| System Pre-defined User Role | D | <ul style="list-style-type: none"> Indicator to show if the Role is a system pre-defined User Role (for details, please refer to Appendix B.3.2) Possible values: <ul style="list-style-type: none"> 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.

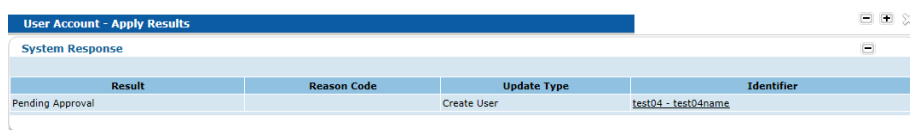


The screenshot shows a window titled "User Account - Apply Results". Inside, there is a "System Response" section with a table. The table has four columns: Result, Reason Code, Request Type, and Identifier. The data row shows "Completed" as the result, an empty Reason Code, "Create User" as the Request Type, and "test02 - test02name" as the Identifier.

| 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". Inside, there is a "System Response" section with a table. The table has four columns: Result, Reason Code, Update Type, and Identifier. The data row shows "Pending Approval" as the result, an empty Reason Code, "Create User" as the Update Type, and "test04 - test04name" as the Identifier.

| 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 | <ul style="list-style-type: none"> ID and full name of TR Participant |
| User ID | <ul style="list-style-type: none"> The unique identifier of the User within the TR Participant |
| User Name | <ul style="list-style-type: none"> The name of User |
| Enabled | <ul style="list-style-type: none"> Indicator to show if the User Status is enabled Possible values: <ul style="list-style-type: none"> Y N |
| User Access Method | <ul style="list-style-type: none"> The HKTR access method of the User Possible values: <ul style="list-style-type: none"> Internet SWIFTNet Both SWIFTNet and Internet |
| Last Successful Login Date/ Time | <ul style="list-style-type: none"> The last successful login date and time |
| Last Unsuccessful Attempt Date/ Time | <ul style="list-style-type: none"> The last unsuccessful attempt date and time If the last login is successful, blank will be displayed |
| SWIFT User Account Association | |
| SWIFT User Name | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The allocated SWIFT DN to the User. |
| Last Associate Date/Time | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The SSL Client Certificate Distinguished Name for User authentication in the HKTR |
| Service Subscription | |
| Service | <ul style="list-style-type: none"> Service allocated to the User |
| User Preference | |
| Default Service | <ul style="list-style-type: none"> Default navigation menu to be launched after User successful logon |
| Administration Role List | |
| Role Name | <ul style="list-style-type: none"> Administration Role allocated to the User (either system pre-defined User Roles or Participant level Roles) |
| Description | <ul style="list-style-type: none"> Description of the Role |

| Field | Description |
|-------------------------------------|---|
| System Pre-defined User Role | <ul style="list-style-type: none"> ▪ Indicator to show if the Role is a system pre-defined User Role ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Trade Role List (Reporting) | |
| Role Name | <ul style="list-style-type: none"> ▪ Reporting Trade Role allocated to the User (either system pre-defined User Roles or Participant level Roles) |
| Description | <ul style="list-style-type: none"> ▪ Description of the Role |
| System Pre-defined User Role | <ul style="list-style-type: none"> ▪ Indicator to show if the Role is a system pre-defined User Role ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Pending Approval Update Type | |
| Pending Approval Update Type | <ul style="list-style-type: none"> ▪ The update type which is pending for approval. ▪ Possible values: <ul style="list-style-type: none"> • 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

Use 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.*

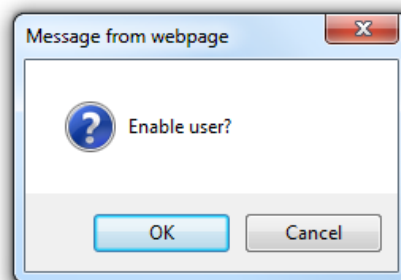
1. Click <Create Like> button.

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 |

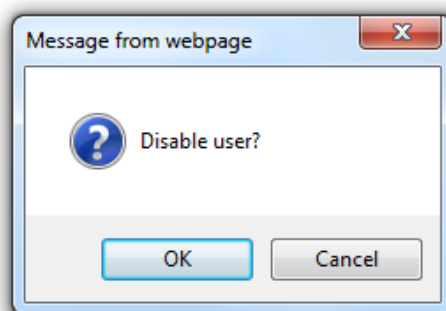
Or

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 |

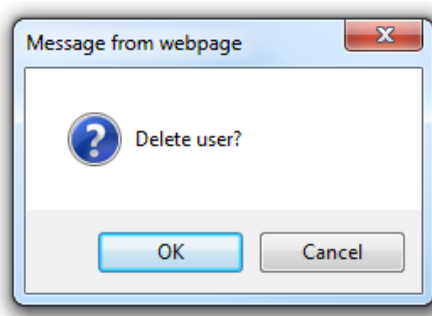
Remarks:

- 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.

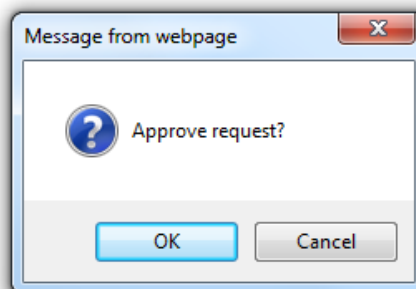
➤ **Hyperlink (i.e. to view the details of a specific Role)**

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.



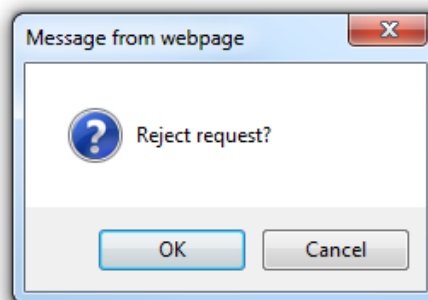
Remarks:

- 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*

(ii) Field Description

| Field | M/O/D* | Description |
|--|--------|---|
| General Information | | |
| Participant | D | <ul style="list-style-type: none"> ID and full name of TR Participant |
| User ID | D | <ul style="list-style-type: none"> The unique identifier of the User within the TR Participant |
| User Name | M | <ul style="list-style-type: none"> The name of User (with a maximum of 35 characters) |
| User Access Method | M | <ul style="list-style-type: none"> The HKTR access method of the User Possible values (only one of the followings): <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Indicator to show if the status of the User account is enabled Possible values: <ul style="list-style-type: none"> Y N |
| SWIFT User Account Association | | |
| Delete | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The allocated SWIFT DN to the User. |
| Last Associate Date/Time | D | <ul style="list-style-type: none"> The timestamp at which the User successfully established the SWIFT User Account Association. |
| Internet User Details | | |
| SSL Client Certificate DN | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Checkbox for the assignment of service(s) At least 1 service must be selected |

| Field | M/O/D* | Description |
|--|--------|--|
| Service | D | <ul style="list-style-type: none"> ▪ Service subscribed by the TR Participant ▪ Possible value: <ul style="list-style-type: none"> • Reporting Service |
| User Preference - Only the services subscribed by the TR Participant are listed. | | |
| Default Service | M | <ul style="list-style-type: none"> ▪ Default navigation menu to be launched after User successful logon ▪ Possible selection: <ul style="list-style-type: none"> • Reporting Service |
| Administration Role List | | |
| Allocation Checkbox | O | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ The list of all available administration Roles (system pre-defined User Roles and Participant level Roles) |
| Description | D | <ul style="list-style-type: none"> ▪ Description of the Role |
| System Pre-defined User Role | D | <ul style="list-style-type: none"> ▪ Indicator to show if the Role is a system pre-defined User Role ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Trade Role List (Reporting) | | |
| Allocation Checkbox | O | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ The list of all available Reporting Trade Roles (system pre-defined User Roles and Participant level Roles) |
| Description | D | <ul style="list-style-type: none"> ▪ Description of the Role |
| System Pre-defined User Role | D | <ul style="list-style-type: none"> ▪ Indicator to show if the Role is a system pre-defined User Role ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Pending Approval Update Type | | |

| Field | M/O/D* | Description |
|------------------------------|--------|--|
| Pending Approval Update Type | D | <ul style="list-style-type: none"> ▪ The update type of pending approval ▪ Possible values: <ul style="list-style-type: none"> • 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)**

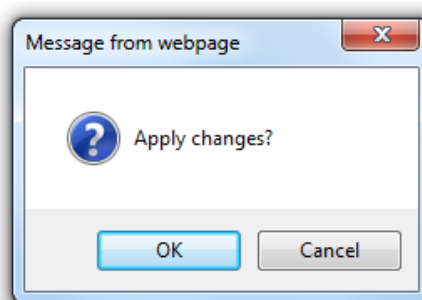
1. Click the hyperlink in the “Role Name” column of the Administration Role List or Trade Role List.
2. “View Role Details” function is initiated.

➤ **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 <table> <tr> <td><input type="checkbox"/></td><td>Participant</td></tr> <tr> <td><input type="checkbox"/></td><td>View Participant Details</td></tr> <tr> <td><input type="checkbox"/></td><td>Maintain Participant Details</td></tr> <tr> <td><input type="checkbox"/></td><td>Participant List Enquiry</td></tr> <tr> <td><input type="checkbox"/></td><td>View Participant List</td></tr> <tr> <td><input type="checkbox"/></td><td>Operations Information</td></tr> <tr> <td><input type="checkbox"/></td><td>View Notification Details</td></tr> </table> | | <input type="checkbox"/> | Participant | <input type="checkbox"/> | View Participant Details | <input type="checkbox"/> | Maintain Participant Details | <input type="checkbox"/> | Participant List Enquiry | <input type="checkbox"/> | View Participant List | <input type="checkbox"/> | Operations Information | <input type="checkbox"/> | View Notification Details |
| <input type="checkbox"/> | Participant | | | | | | | | | | | | | | |
| <input type="checkbox"/> | View Participant Details | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Maintain Participant Details | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Participant List Enquiry | | | | | | | | | | | | | | |
| <input type="checkbox"/> | View Participant List | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Operations Information | | | | | | | | | | | | | | |
| <input type="checkbox"/> | View Notification Details | | | | | | | | | | | | | | |

Hong Kong Interbank Clearing Limited

Operating Procedures for Hong Kong Trade Repository -

User Manual for Participants (Administrative Functions)

| | | |
|--------------------------|--------------------------|---------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Reports |
| | <input type="checkbox"/> | View Report List (Admin) |
| | <input type="checkbox"/> | View Report (Admin) |
| | <input type="checkbox"/> | Maintain Report List (Admin) |
| | <input type="checkbox"/> | View Report Schedule (Admin) |
| | <input type="checkbox"/> | Maintain Report Schedule (Admin) |
| <input type="checkbox"/> | <input type="checkbox"/> | User |
| | <input type="checkbox"/> | Add User Account |
| | <input type="checkbox"/> | View Other User Account |
| | <input type="checkbox"/> | Maintain User Account |
| | <input type="checkbox"/> | View User List |
| | <input type="checkbox"/> | Print All User Details |
| | <input type="checkbox"/> | Maintain User Status |
| | <input type="checkbox"/> | View Role Allocation List |
| | <input type="checkbox"/> | Change Other User Password |
| <input type="checkbox"/> | <input type="checkbox"/> | Role |
| | <input type="checkbox"/> | Add Role |
| | <input type="checkbox"/> | View Role |
| | <input type="checkbox"/> | Maintain Role |
| <input type="checkbox"/> | <input type="checkbox"/> | Parameter Maintenance Approval |
| | <input type="checkbox"/> | Approve Report Schedule (Admin) |
| | <input type="checkbox"/> | Approve Participant Maintenance |
| | <input type="checkbox"/> | Approve User Account |
| | <input type="checkbox"/> | Approve User Status |
| | <input type="checkbox"/> | Approve Role |
| <input type="checkbox"/> | <input type="checkbox"/> | Event |
| | <input type="checkbox"/> | View Event Log |
| | <input type="checkbox"/> | View Event Details |

| | |
|--------------------------|-----------------------|
| Event Group List | |
| <input type="checkbox"/> | Event Group |
| <input type="checkbox"/> | Parameter Maintenance |
| <input type="checkbox"/> | Trade Maintenance |
| <input type="checkbox"/> | Security |
| <input type="checkbox"/> | Business Exception |

| | | |
|---------------------------|------------------|---|
| Report Access List | | |
| <input type="checkbox"/> | Report ID | Report Name |
| <input type="checkbox"/> | ADMD0001 | Administrative Functions Audit Trail Report |
| <input type="checkbox"/> | ADMD0002 | User Activity Statistics Report |
| <input type="checkbox"/> | ADMD0004 | TR Entity Information File (Daily Changes) |
| <input type="checkbox"/> | 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

| | |
|--------------------------|--|
| <input type="checkbox"/> | Reports |
| <input type="checkbox"/> | View Report List (Reporting) |
| <input type="checkbox"/> | View Report (Reporting) |
| <input type="checkbox"/> | Maintain Report List (Reporting) |
| <input type="checkbox"/> | View Report Schedule (Reporting) |
| <input type="checkbox"/> | Maintain Report Schedule (Reporting) |
| <input type="checkbox"/> | Parameter Maintenance Approval |
| <input type="checkbox"/> | Approve Report Schedule (Reporting) |
| <input type="checkbox"/> | Trade Capture (Reporting) |
| <input type="checkbox"/> | Upload Trade Event Request File (Reporting) |
| <input type="checkbox"/> | View Trade Event Request File Capture (Reporting) |
| <input type="checkbox"/> | Trade and Trade Event Enquiry (Reporting) |
| <input type="checkbox"/> | View Trade (Reporting) |
| <input type="checkbox"/> | View Trade Event (Reporting) |
| <input type="checkbox"/> | View Alleged Trade Event (Reporting) |
| <input type="checkbox"/> | Party ID Change Request |
| <input type="checkbox"/> | Create Party ID Change Request |
| <input type="checkbox"/> | Maintain Party ID Change Request List |
| <input type="checkbox"/> | Party ID Change Request Approval |
| <input type="checkbox"/> | Approve Party ID Change Request - Create Party ID Change |
| <input type="checkbox"/> | Approve Party ID Change Request - Delete Party ID Change |
| <input type="checkbox"/> | Valuation Capture |
| <input type="checkbox"/> | Upload Valuation Request File |
| <input type="checkbox"/> | View Valuation Request File Capture |
| <input type="checkbox"/> | Valuation Request Enquiry |
| <input type="checkbox"/> | View Valuation Request |
| <input type="checkbox"/> | Trade Attachment Maintenance |
| <input type="checkbox"/> | Maintain Trade Attachment |
| <input type="checkbox"/> | Coding Scheme Enquiry |
| <input type="checkbox"/> | View Coding Scheme |

Report Access List

| <input type="checkbox"/> | Report ID | Report Name |
|--------------------------|------------------|--|
| <input type="checkbox"/> | CTRD2501-CDEXT-A | Trade Event Report (Master) - Credit:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDEXT-B | Trade Event Report (History) - Credit:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDITC-A | Trade Event Report (Master) - Credit:IndexTranche:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDITC-B | Trade Event Report (History) - Credit:IndexTranche:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDITI-A | Trade Event Report (Master) - Credit:IndexTranche:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDITI-B | Trade Event Report (History) - Credit:IndexTranche:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDIXC-A | Trade Event Report (Master) - Credit:Index:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDIXC-B | Trade Event Report (History) - Credit:Index:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDIXI-A | Trade Event Report (Master) - Credit:Index:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDIXI-B | Trade Event Report (History) - Credit:Index:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDSNC-A | Trade Event Report (Master) - Credit:SingleName:Corporate - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDSNC-B | Trade Event Report (History) - Credit:SingleName:Corporate - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDSNS-A | Trade Event Report (Master) - Credit:SingleName:Sovereign - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CDSNS-B | Trade Event Report (History) - Credit:SingleName:Sovereign - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CMEXT-A | Trade Event Report (Master) - Commodity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CMEXT-B | Trade Event Report (History) - Commodity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CMFWD-A | Trade Event Report (Master) - Commodity:Forward - Reporting Trade |

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| | | |
|--------------------------|------------------|---|
| <input type="checkbox"/> | CTRD2501-CMFWD-B | Trade Event Report (History) - Commodity:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CMOPT-A | Trade Event Report (Master) - Commodity:Option - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CMOPT-B | Trade Event Report (History) - Commodity:Option - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CMSWP-A | Trade Event Report (Master) - Commodity:Swap - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-CMSWP-B | Trade Event Report (History) - Commodity:Swap - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQDSW-A | Trade Event Report (Master) - Equity:Swap:ParameterReturnDividend - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQDSW-B | Trade Event Report (History) - Equity:Swap:ParameterReturnDividend - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQEXT-A | Trade Event Report (Master) - Equity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQEXT-B | Trade Event Report (History) - Equity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQOPT-A | Trade Event Report (Master) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQOPT-B | Trade Event Report (History) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQSWP-A | Trade Event Report (Master) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQSWP-B | Trade Event Report (History) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQVSW-A | Trade Event Report (Master) - Equity:Swap:ParameterReturnVariance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQVSW-B | Trade Event Report (History) - Equity:Swap:ParameterReturnVariance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXEXT-A | Trade Event Report (Master) - ForeignExchange:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXEXT-B | Trade Event Report (History) - ForeignExchange:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXFWD-A | Trade Event Report (Master) - ForeignExchange:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXFWD-B | Trade Event Report (History) - ForeignExchange:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXNDF-A | Trade Event Report (Master) - ForeignExchange:NDF - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXNDF-B | Trade Event Report (History) - ForeignExchange:NDF - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXNDO-A | Trade Event Report (Master) - ForeignExchange:NDO - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXNDO-B | Trade Event Report (History) - ForeignExchange:NDO - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXOPT-A | Trade Event Report (Master) - ForeignExchange:VanillaOption - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXOPT-B | Trade Event Report (History) - ForeignExchange:VanillaOption - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRBSS-A | Trade Event Report (Master) - InterestRate:IRSwap:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRBSS-B | Trade Event Report (History) - InterestRate:IRSwap:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCBS-A | Trade Event Report (Master) - InterestRate:CrossCurrency:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCBS-B | Trade Event Report (History) - InterestRate:CrossCurrency:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCF-A | Trade Event Report (Master) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCF-B | Trade Event Report (History) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCFR-A | Trade Event Report (Master) - InterestRate:CapFloor - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCFR-B | Trade Event Report (History) - InterestRate:CapFloor - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCXX-A | Trade Event Report (Master) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCXX-B | Trade Event Report (History) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IREXT-A | Trade Event Report (Master) - InterestRate:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IREXT-B | Trade Event Report (History) - InterestRate:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRFRA-A | Trade Event Report (Master) - InterestRate:FRA - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRFRA-B | Trade Event Report (History) - InterestRate:FRA - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRFVF-A | Trade Event Report (Master) - InterestRate:IRSwap:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRFVF-B | Trade Event Report (History) - InterestRate:IRSwap:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRINF-A | Trade Event Report (Master) - InterestRate:IRSwap:Inflation - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRINF-B | Trade Event Report (History) - InterestRate:IRSwap:Inflation - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IROIS-A | Trade Event Report (Master) - InterestRate:IRSwap:OIS - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IROIS-B | Trade Event Report (History) - InterestRate:IRSwap:OIS - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRSPT-A | Trade Event Report (Master) - InterestRate:Option:Swaption - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRSPT-B | Trade Event Report (History) - InterestRate:Option:Swaption - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRSXX-A | Trade Event Report (Master) - InterestRate:IRSwap:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRSXX-B | Trade Event Report (History) - InterestRate:IRSwap:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2502 | Alleged Trade Event Report - Reporting Trade |
| <input type="checkbox"/> | CTRD2503 | Alleged Trade Event (Pending Response) Report - Reporting Trade |
| <input type="checkbox"/> | CTRD2505-A | Trade Event Capture Daily Summary Report (Self Submission) - Reporting Trade |
| <input type="checkbox"/> | CTRD2505-B | Trade Event Capture Daily Summary Report (Submission on Behalf of Others) - Reporting Trade |
| <input type="checkbox"/> | CTRD2506-A | Party Bulk Conversion Report (Audit Trail) |
| <input type="checkbox"/> | CTRD2506-B | Party Bulk Conversion Report (Trade Summary) |
| <input type="checkbox"/> | CTRD2507 | Participant Trade Attachment Activity Log Report |
| <input type="checkbox"/> | CTRD2601-CD | Trade Position Report - Credit - Reporting Trade |
| <input type="checkbox"/> | CTRD2601-CM | Trade Position Report - Commodity - Reporting Trade |
| <input type="checkbox"/> | CTRD2601-EQ | Trade Position Report - Equity - Reporting Trade |
| <input type="checkbox"/> | CTRD2601-FX | Trade Position Report - Foreign Exchange - Reporting Trade |
| <input type="checkbox"/> | CTRD2601-IR | Trade Position Report - Interest Rate - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDEXT-A | Trade Position (with update) Report (Master) - Credit:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDEXT-B | Trade Position (with update) Report (History) - Credit:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-COITC-A | Trade Position (with update) Report (Master) - Credit:IndexTranche:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-COITC-B | Trade Position (with update) Report (History) - Credit:IndexTranche:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-COITI-A | Trade Position (with update) Report (Master) - Credit:IndexTranche:Traxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-COITI-B | Trade Position (with update) Report (History) - Credit:IndexTranche:Traxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDIXC-A | Trade Position (with update) Report (Master) - Credit:Index:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDIXC-B | Trade Position (with update) Report (History) - Credit:Index:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDIXI-A | Trade Position (with update) Report (Master) - Credit:Index:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDIXI-B | Trade Position (with update) Report (History) - Credit:Index:iTraxx - Reporting Trade |

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| | | |
|--------------------------|------------------|---|
| <input type="checkbox"/> | CTRD2602-CDSNC-A | Trade Position (with update) Report (Master) - Credit:SingleName:Corporate - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDSNC-B | Trade Position (with update) Report (History) - Credit:SingleName:Corporate - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDSNS-A | Trade Position (with update) Report (Master) - Credit:SingleName:Sovereign - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDSNS-B | Trade Position (with update) Report (History) - Credit:SingleName:Sovereign - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMEXT-A | Trade Position (with update) Report (Master) - Commodity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMEXT-B | Trade Position (with update) Report (History) - Commodity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMFWD-A | Trade Position (with update) Report (Master) - Commodity:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMFWD-B | Trade Position (with update) Report (History) - Commodity:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMOPT-A | Trade Position (with update) Report (Master) - Commodity:Option - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMOPT-B | Trade Position (with update) Report (History) - Commodity:Option - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMSWP-A | Trade Position (with update) Report (Master) - Commodity:Swap - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMSWP-B | Trade Position (with update) Report (History) - Commodity:Swap - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQDSW-A | Trade Position (with update) Report (Master) - Equity:Swap:ParameterReturnDividend - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQDSW-B | Trade Position (with update) Report (History) - Equity:Swap:ParameterReturnDividend - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQEXT-A | Trade Position (with update) Report (Master) - Equity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQEXT-B | Trade Position (with update) Report (History) - Equity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQOPT-A | Trade Position (with update) Report (Master) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQOPT-B | Trade Position (with update) Report (History) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQSWP-A | Trade Position (with update) Report (Master) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQSWP-B | Trade Position (with update) Report (History) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQVSW-A | Trade Position (with update) Report (Master) - Equity:Swap:ParameterReturnVariance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQVSW-B | Trade Position (with update) Report (History) - Equity:Swap:ParameterReturnVariance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXEXT-A | Trade Position (with update) Report (Master) - ForeignExchange:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXEXT-B | Trade Position (with update) Report (History) - ForeignExchange:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXFWD-A | Trade Position (with update) Report (Master) - ForeignExchange:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXFWD-B | Trade Position (with update) Report (History) - ForeignExchange:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXNDF-A | Trade Position (with update) Report (Master) - ForeignExchange:NDF - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXNDF-B | Trade Position (with update) Report (History) - ForeignExchange:NDF - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXNDO-A | Trade Position (with update) Report (Master) - ForeignExchange:NDO - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXNDO-B | Trade Position (with update) Report (History) - ForeignExchange:NDO - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXOPT-A | Trade Position (with update) Report (Master) - ForeignExchange:VanillaOption - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXOPT-B | Trade Position (with update) Report (History) - ForeignExchange:VanillaOption - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRBSS-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRBSS-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCBS-A | Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCBS-B | Trade Position (with update) Report (History) - InterestRate:CrossCurrency:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCFX-A | Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCFX-B | Trade Position (with update) Report (History) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCFR-A | Trade Position (with update) Report (Master) - InterestRate:CapFloor - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCFR-B | Trade Position (with update) Report (History) - InterestRate:CapFloor - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCXX-A | Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCXX-B | Trade Position (with update) Report (History) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IREXT-A | Trade Position (with update) Report (Master) - InterestRate:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IREXT-B | Trade Position (with update) Report (History) - InterestRate:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRFRA-A | Trade Position (with update) Report (Master) - InterestRate:FRA - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRFRA-B | Trade Position (with update) Report (History) - InterestRate:FRA - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRFVF-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRFVF-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRINF-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:Inflation - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRINF-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:Inflation - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IROIS-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:OIS - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IROIS-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:OIS - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRSPT-A | Trade Position (with update) Report (Master) - InterestRate:Option:Swaption - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRSPT-B | Trade Position (with update) Report (History) - InterestRate:Option:Swaption - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRSXX-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRSXX-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2603-CD | Participant Trade Reconciliation Discrepancy Report - Credit |
| <input type="checkbox"/> | CTRD2603-CM | Participant Trade Reconciliation Discrepancy Report - Commodity |
| <input type="checkbox"/> | CTRD2603-EQ | Participant Trade Reconciliation Discrepancy Report - Equity |
| <input type="checkbox"/> | CTRD2603-FX | Participant Trade Reconciliation Discrepancy Report - Foreign Exchange |
| <input type="checkbox"/> | CTRD2603-IR | Participant Trade Reconciliation Discrepancy Report - Interest Rate |
| <input type="checkbox"/> | CTRD2604-CD | Participant Uncertain Unlink Report - Credit |
| <input type="checkbox"/> | CTRD2604-CM | Participant Uncertain Unlink Report - Commodity |
| <input type="checkbox"/> | CTRD2604-EQ | Participant Uncertain Unlink Report - Equity |
| <input type="checkbox"/> | CTRD2604-FX | Participant Uncertain Unlink Report - Foreign Exchange |
| <input type="checkbox"/> | CTRD2604-IR | Participant Uncertain Unlink Report - Interest Rate |
| <input type="checkbox"/> | CTRD2701 | Participant Valuation Request Report |
| <input type="checkbox"/> | CTRD2702 | Participant Missing Valuation Data Report |

[Apply](#)[Reset](#)

(ii) Field Description

| Field | M/O/D* | Description |
|--|--------|--|
| General Information | | |
| Participant | D | <ul style="list-style-type: none"> ID and full name of TR Participant |
| Application Type | M | <ul style="list-style-type: none"> Available application types Possible values (any one of the followings): <ul style="list-style-type: none"> Administration Trade No change is allowed when this function is initiated by the “Create Like” action |
| Service | M | <ul style="list-style-type: none"> Service associated with the Role Valid value: <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The unique Role name of each application type for the TR Participant |
| Role Description | M | <ul style="list-style-type: none"> Description of the Role |
| Action Right List | | |
| Selection Checkbox | O | <ul style="list-style-type: none"> Checkbox for the assignment of action right(s) Multiple selection is allowed At least 1 action right must be selected |
| Action Right Name | D | <ul style="list-style-type: none"> The list of all available action rights |
| Event Group List - Only available when Application Type is “Administration”. | | |
| Selection Checkbox | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> The list of all available event groups |
| Report Access List | | |
| Selection Checkbox | O | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Report IDs of all available reports |
| Report Name | D | <ul style="list-style-type: none"> 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

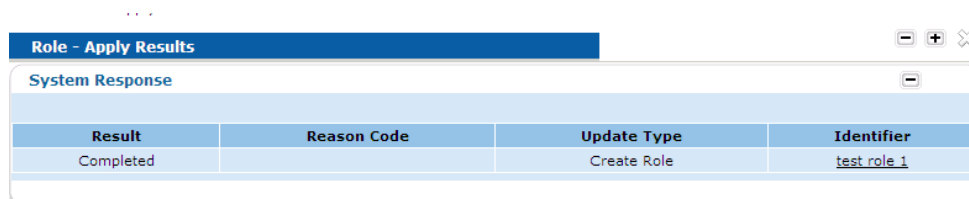
5. (Optional) Assign one or more action right(s) in Action Right List to this Role by checking corresponding checkbox(es).

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

Role List

Selection Criteria

Participant: TEST100 - TEST100

Application Type: --All--

Service:

Role Name:

Role Description:

Role Type: --All--

Search Reset

(ii) Field Description

| Field | M/O/D* | Description |
|------------------|--------|--|
| Participant | D | <ul style="list-style-type: none"> ID and full name of TR Participant |
| Application Type | M | <ul style="list-style-type: none"> List of all available application types Possible values: <ul style="list-style-type: none"> All (default) Administration Trade |
| Service | M | <ul style="list-style-type: none"> Service associated with the Role Valid value: <ul style="list-style-type: none"> Reporting Service The default value is blank (invalid) Enabled only when Application Type is "Trade" |
| Role Name | O | <ul style="list-style-type: none"> The unique Role name Wildcard search is supported |
| Role Description | O | <ul style="list-style-type: none"> Description of the Role Wildcard search is supported |
| Role Type | O | <ul style="list-style-type: none"> Type of the Role Possible Selections: <ul style="list-style-type: none"> All System Pre-defined User Role Participant Level Role |

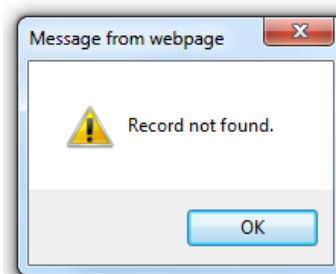
*Note: "M" refers to mandatory field for input by User, "O" refers to optional field for input by User and "D" refers to a field for display by system.

(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

Role List

Selection Criteria

Search Reset

Role List

Page 1 of 1

| 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 |

Page 1 of 1

(ii) Field Description

| Field | Description |
|------------------|--|
| Application Type | <ul style="list-style-type: none"> The application type of the Role Possible values: <ul style="list-style-type: none"> Administration Trade |
| Service | <ul style="list-style-type: none"> Service subscribed by the TR Participant Possible value: <ul style="list-style-type: none"> Reporting Service Blank is displayed when Application Type is “Administration” |

| Field | Description |
|------------------|--|
| Role Name | <ul style="list-style-type: none"> ▪ Name of the Role |
| Role Description | <ul style="list-style-type: none"> ▪ Description of the Role |
| Role Type | <ul style="list-style-type: none"> ▪ Type of the Role ▪ Possible values: <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> ID and full name of TR Participant This field is available only when Role Type is “Participant Level Role” |
| Application Type | <ul style="list-style-type: none"> The application type of the Role Possible values: <ul style="list-style-type: none"> Administration Trade |
| Service | <ul style="list-style-type: none"> Service associated with the Role Possible value: <ul style="list-style-type: none"> Reporting Service Blank is displayed when Application Type is “Administration” |
| Role Name | <ul style="list-style-type: none"> Name of the Role |
| Role Description | <ul style="list-style-type: none"> Description of the Role |
| Role Type | <ul style="list-style-type: none"> Type of the Role Possible values: <ul style="list-style-type: none"> System Pre-defined User Role Participant Level Role |
| Action Right List | |
| Action Right Description | <ul style="list-style-type: none"> A list of Action Rights assigned to the Role |
| Event Group List | |
| - Applicable only when Application Type is “Administration”. | |
| Event Group | <ul style="list-style-type: none"> The accessible event groups of the Role |
| Report Access List | |

| Field | Description |
|------------------------------|--|
| Report ID | <ul style="list-style-type: none"> ▪ The list of accessible System Report ID and User Requested Report ID |
| Report Name | <ul style="list-style-type: none"> ▪ Name of the report |
| Pending Approval Update Type | <ul style="list-style-type: none"> ▪ The name of the update type pending for approval ▪ Possible values: <ul style="list-style-type: none"> • 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)**

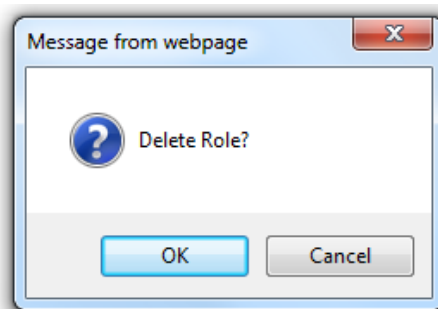
- *This action is unavailable when the function is initiated from the “Approve Parameter Maintenance” function.*

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

TEST100 - TEST100 (U1)

defadmin12016-05-05 17:28 (HKT)

4LOGOUT

View Role Details > Maintain Role Details

Maintain Role Details

Role

Participant:

TEST100 - TEST100

Application Type:

Trade

Service:

Reporting Service

Role Name:

test role 1

Role Description:

test role 1

Role Type:

Participant Level Role

Action Right List

| | | |
|-------------------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Reports |
| <input type="checkbox"/> | <input type="checkbox"/> | View Report List (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | View Report (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | Maintain Report List (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | View Report Schedule (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | Maintain Report Schedule (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | Parameter Maintenance Approval |
| <input type="checkbox"/> | <input type="checkbox"/> | Approve Report Schedule (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | Trade Capture (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | Upload Trade Event Request File (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | View Trade Event Request File Capture (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | Trade and Trade Event Enquiry (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | View Trade (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | View Trade Event (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | View Alleged Trade Event (Reporting) |
| <input type="checkbox"/> | <input type="checkbox"/> | Party ID Change Request |
| <input type="checkbox"/> | <input type="checkbox"/> | Create Party ID Change Request |
| <input type="checkbox"/> | <input type="checkbox"/> | Maintain Party ID Change Request List |
| <input type="checkbox"/> | <input type="checkbox"/> | Party ID Change Request Approval |
| <input type="checkbox"/> | <input type="checkbox"/> | Approve Party ID Change Request - Create Party ID Change |
| <input type="checkbox"/> | <input type="checkbox"/> | Approve Party ID Change Request - Delete Party ID Change |
| <input type="checkbox"/> | <input type="checkbox"/> | Valuation Capture |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Upload Valuation Request File |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | View Valuation Request File Capture |
| <input type="checkbox"/> | <input type="checkbox"/> | Valuation Request Enquiry |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | View Valuation Request |
| <input type="checkbox"/> | <input type="checkbox"/> | Trade Attachment Maintenance |
| <input type="checkbox"/> | <input type="checkbox"/> | Maintain Trade Attachment |

Report Access List

| Report ID | Report Name |
|---|--|
| <input type="checkbox"/> CTRD2501-CDEXT-A | Trade Event Report (Master) - Credit:Other - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDEXT-B | Trade Event Report (History) - Credit:Other - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDITC-A | Trade Event Report (Master) - Credit:IndexTranche:CDX - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDITC-B | Trade Event Report (History) - Credit:IndexTranche:CDX - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDITI-A | Trade Event Report (Master) - Credit:IndexTranche:iTraxx - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDITI-B | Trade Event Report (History) - Credit:IndexTranche:iTraxx - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDIXC-A | Trade Event Report (Master) - Credit:Index:CDX - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDIXC-B | Trade Event Report (History) - Credit:Index:CDX - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDIXI-A | Trade Event Report (Master) - Credit:Index:iTraxx - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDIXI-B | Trade Event Report (History) - Credit:Index:iTraxx - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDSNC-A | Trade Event Report (Master) - Credit:SingleName:Corporate - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDSNC-B | Trade Event Report (History) - Credit:SingleName:Corporate - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDSNS-A | Trade Event Report (Master) - Credit:SingleName:Sovereign - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CDSNS-B | Trade Event Report (History) - Credit:SingleName:Sovereign - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CMEXT-A | Trade Event Report (Master) - Commodity:Other - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CMEXT-B | Trade Event Report (History) - Commodity:Other - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CMFWD-A | Trade Event Report (Master) - Commodity:Forward - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CMFWD-B | Trade Event Report (History) - Commodity:Forward - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CMOPT-A | Trade Event Report (Master) - Commodity:Option - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CMOPT-B | Trade Event Report (History) - Commodity:Option - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CMSWP-A | Trade Event Report (Master) - Commodity:Swap - Reporting Trade |
| <input type="checkbox"/> CTRD2501-CMSWP-B | Trade Event Report (History) - Commodity:Swap - Reporting Trade |

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| | | |
|--------------------------|------------------|---|
| <input type="checkbox"/> | CTRD2501-EQDSW-A | Trade Event Report (Master) - Equity:Swap:ParameterReturnDividend - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQDSW-B | Trade Event Report (History) - Equity:Swap:ParameterReturnDividend - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQEXT-A | Trade Event Report (Master) - Equity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQEXT-B | Trade Event Report (History) - Equity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQOPT-A | Trade Event Report (Master) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQOPT-B | Trade Event Report (History) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQSWP-A | Trade Event Report (Master) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQSWP-B | Trade Event Report (History) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQVSW-A | Trade Event Report (Master) - Equity:Swap:ParameterReturnVariance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-EQVSW-B | Trade Event Report (History) - Equity:Swap:ParameterReturnVariance - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXEXT-A | Trade Event Report (Master) - ForeignExchange:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXEXT-B | Trade Event Report (History) - ForeignExchange:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXPWD-A | Trade Event Report (Master) - ForeignExchange:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXPWD-B | Trade Event Report (History) - ForeignExchange:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXNDF-A | Trade Event Report (Master) - ForeignExchange:NDF - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXNDF-B | Trade Event Report (History) - ForeignExchange:NDF - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXNDO-A | Trade Event Report (Master) - ForeignExchange:NDO - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXNDO-B | Trade Event Report (History) - ForeignExchange:NDO - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXOPT-A | Trade Event Report (Master) - ForeignExchange:VanillaOption - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-FXOPT-B | Trade Event Report (History) - ForeignExchange:VanillaOption - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRBSS-A | Trade Event Report (Master) - InterestRate:IRSwap:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRBSS-B | Trade Event Report (History) - InterestRate:IRSwap:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCBS-A | Trade Event Report (Master) - InterestRate:CrossCurrency:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCBS-B | Trade Event Report (History) - InterestRate:CrossCurrency:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCF-A | Trade Event Report (Master) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCF-B | Trade Event Report (History) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCFR-A | Trade Event Report (Master) - InterestRate:CapFloor - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCFR-B | Trade Event Report (History) - InterestRate:CapFloor - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCFX-A | Trade Event Report (Master) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRCFX-B | Trade Event Report (History) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IREXT-A | Trade Event Report (Master) - InterestRate:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IREXT-B | Trade Event Report (History) - InterestRate:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRFRA-A | Trade Event Report (Master) - InterestRate:FRA - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRFRA-B | Trade Event Report (History) - InterestRate:FRA - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRFVF-A | Trade Event Report (Master) - InterestRate:IRSwap:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRFVF-B | Trade Event Report (History) - InterestRate:IRSwap:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRINF-A | Trade Event Report (Master) - InterestRate:IRSwap:Inflation - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRINF-B | Trade Event Report (History) - InterestRate:IRSwap:Inflation - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IROIS-A | Trade Event Report (Master) - InterestRate:IRSwap:OIS - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IROIS-B | Trade Event Report (History) - InterestRate:IRSwap:OIS - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRSP-A | Trade Event Report (Master) - InterestRate:Option:Swaption - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRSP-B | Trade Event Report (History) - InterestRate:Option:Swaption - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRSXX-A | Trade Event Report (Master) - InterestRate:IRSwap:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2501-IRSXX-B | Trade Event Report (History) - InterestRate:IRSwap:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2502 | Alleged Trade Event Report - Reporting Trade |
| <input type="checkbox"/> | CTRD2503 | Alleged Trade Event (Pending Response) Report - Reporting Trade |
| <input type="checkbox"/> | CTRD2505-A | Trade Event Capture Daily Summary Report (Self Submission) - Reporting Trade |
| <input type="checkbox"/> | CTRD2505-B | Trade Event Capture Daily Summary Report (Submission on Behalf of Others) - Reporting Trade |
| <input type="checkbox"/> | CTRD2506-A | Party Bulk Conversion Report (Audit Trail) |
| <input type="checkbox"/> | CTRD2506-B | Party Bulk Conversion Report (Trade Summary) |
| <input type="checkbox"/> | CTRD2507 | Participant Trade Attachment Activity Log Report |
| <input type="checkbox"/> | CTRD2601-CD | Trade Position Report - Credit - Reporting Trade |
| <input type="checkbox"/> | CTRD2601-CM | Trade Position Report - Commodity - Reporting Trade |
| <input type="checkbox"/> | CTRD2601-EQ | Trade Position Report - Equity - Reporting Trade |
| <input type="checkbox"/> | CTRD2601-FX | Trade Position Report - Foreign Exchange - Reporting Trade |
| <input type="checkbox"/> | CTRD2601-IR | Trade Position Report - Interest Rate - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDEXT-A | Trade Position (with update) Report (Master) - Credit:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDEXT-B | Trade Position (with update) Report (History) - Credit:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDITC-A | Trade Position (with update) Report (Master) - Credit:IndexTranche:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDITC-B | Trade Position (with update) Report (History) - Credit:IndexTranche:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDITI-A | Trade Position (with update) Report (Master) - Credit:IndexTranche:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDITI-B | Trade Position (with update) Report (History) - Credit:IndexTranche:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDIXC-A | Trade Position (with update) Report (Master) - Credit:Index:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDIXC-B | Trade Position (with update) Report (History) - Credit:Index:CDX - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDIXI-A | Trade Position (with update) Report (Master) - Credit:Index:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDIXI-B | Trade Position (with update) Report (History) - Credit:Index:iTraxx - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDSNC-A | Trade Position (with update) Report (Master) - Credit:SingleName:Corporate - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDSNC-B | Trade Position (with update) Report (History) - Credit:SingleName:Corporate - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDSNS-A | Trade Position (with update) Report (Master) - Credit:SingleName:Sovereign - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CDSNS-B | Trade Position (with update) Report (History) - Credit:SingleName:Sovereign - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMEXT-A | Trade Position (with update) Report (Master) - Commodity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMEXT-B | Trade Position (with update) Report (History) - Commodity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMFWD-A | Trade Position (with update) Report (Master) - Commodity:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMFWD-B | Trade Position (with update) Report (History) - Commodity:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMOPT-A | Trade Position (with update) Report (Master) - Commodity:Option - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMOPT-B | Trade Position (with update) Report (History) - Commodity:Option - Reporting Trade |

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| | | |
|--------------------------|------------------|---|
| <input type="checkbox"/> | CTRD2602-CMSWP-A | Trade Position (with update) Report (Master) - Commodity:Swap - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-CMSWP-B | Trade Position (with update) Report (History) - Commodity:Swap - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQDSW-A | Trade Position (with update) Report (Master) - Equity:Swap:ParameterReturnDividend - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQDSW-B | Trade Position (with update) Report (History) - Equity:Swap:ParameterReturnDividend - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQEXT-A | Trade Position (with update) Report (Master) - Equity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQEXT-B | Trade Position (with update) Report (History) - Equity:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQOPT-A | Trade Position (with update) Report (Master) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQOPT-B | Trade Position (with update) Report (History) - Equity:Option:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQSWP-A | Trade Position (with update) Report (Master) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQSWP-B | Trade Position (with update) Report (History) - Equity:Swap:PriceReturnBasicPerformance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQVSW-A | Trade Position (with update) Report (Master) - Equity:Swap:ParameterReturnVariance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-EQVSW-B | Trade Position (with update) Report (History) - Equity:Swap:ParameterReturnVariance - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXEXT-A | Trade Position (with update) Report (Master) - ForeignExchange:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXEXT-B | Trade Position (with update) Report (History) - ForeignExchange:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXFWA-A | Trade Position (with update) Report (Master) - ForeignExchange:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXFWA-B | Trade Position (with update) Report (History) - ForeignExchange:Forward - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXNDF-A | Trade Position (with update) Report (Master) - ForeignExchange:NDF - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXNDF-B | Trade Position (with update) Report (History) - ForeignExchange:NDF - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXNDO-A | Trade Position (with update) Report (Master) - ForeignExchange:NDO - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXNDO-B | Trade Position (with update) Report (History) - ForeignExchange:NDO - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXOPT-A | Trade Position (with update) Report (Master) - ForeignExchange:VanillaOption - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-FXOPT-B | Trade Position (with update) Report (History) - ForeignExchange:VanillaOption - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRBSS-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRBSS-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCBS-A | Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCBS-B | Trade Position (with update) Report (History) - InterestRate:CrossCurrency:Basis - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCFX-A | Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCFX-B | Trade Position (with update) Report (History) - InterestRate:CrossCurrency:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCFR-A | Trade Position (with update) Report (Master) - InterestRate:CapFloor - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCFR-B | Trade Position (with update) Report (History) - InterestRate:CapFloor - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCXX-A | Trade Position (with update) Report (Master) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRCXX-B | Trade Position (with update) Report (History) - InterestRate:CrossCurrency:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IREXT-A | Trade Position (with update) Report (Master) - InterestRate:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IREXT-B | Trade Position (with update) Report (History) - InterestRate:Other - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRFRA-A | Trade Position (with update) Report (Master) - InterestRate:FRA - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRFRA-B | Trade Position (with update) Report (History) - InterestRate:FRA - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRFVF-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRFVF-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:FixedFloat - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRINF-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:Inflation - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRINF-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:Inflation - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IROIS-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:OIS - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IROIS-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:OIS - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRSPT-A | Trade Position (with update) Report (Master) - InterestRate:Option:Swaption - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRSPT-B | Trade Position (with update) Report (History) - InterestRate:Option:Swaption - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRSXX-A | Trade Position (with update) Report (Master) - InterestRate:IRSwap:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2602-IRSXX-B | Trade Position (with update) Report (History) - InterestRate:IRSwap:FixedFixed - Reporting Trade |
| <input type="checkbox"/> | CTRD2603-CD | Participant Trade Reconciliation Discrepancy Report - Credit |
| <input type="checkbox"/> | CTRD2603-CM | Participant Trade Reconciliation Discrepancy Report - Commodity |
| <input type="checkbox"/> | CTRD2603-EQ | Participant Trade Reconciliation Discrepancy Report - Equity |
| <input type="checkbox"/> | CTRD2603-FX | Participant Trade Reconciliation Discrepancy Report - Foreign Exchange |
| <input type="checkbox"/> | CTRD2603-IR | Participant Trade Reconciliation Discrepancy Report - Interest Rate |
| <input type="checkbox"/> | CTRD2604-CD | Participant Uncertain Unlink Report - Credit |
| <input type="checkbox"/> | CTRD2604-CM | Participant Uncertain Unlink Report - Commodity |
| <input type="checkbox"/> | CTRD2604-EQ | Participant Uncertain Unlink Report - Equity |
| <input type="checkbox"/> | CTRD2604-FX | Participant Uncertain Unlink Report - Foreign Exchange |
| <input type="checkbox"/> | CTRD2604-IR | Participant Uncertain Unlink Report - Interest Rate |
| <input type="checkbox"/> | CTRD2701 | Participant Valuation Request Report |
| <input type="checkbox"/> | CTRD2702 | Participant Missing Valuation Data Report |

Approval Status

Pending Approval Update Type:

Apply

Reset

(ii) Field Description

| Field | M/O/D* | Description |
|---|--------|---|
| Participant | D | <ul style="list-style-type: none"> ID and full name of TR Participant |
| Application Type | D | <ul style="list-style-type: none"> The application type of the Role Possible values: <ul style="list-style-type: none"> Administration Trade |
| Service | D | <ul style="list-style-type: none"> Service associated with the Role Possible value: <ul style="list-style-type: none"> Reporting Service Blank is displayed when Application Type is “Administration” |
| Role Name | M | <ul style="list-style-type: none"> Name of the Role |
| Role Description | M | <ul style="list-style-type: none"> Description of the Role |
| Role Type | D | <ul style="list-style-type: none"> Type of the Role Possible values: <ul style="list-style-type: none"> System Pre-defined User Role Participant Level Role |
| Action Right List | | |
| Selection Checkbox | O | <ul style="list-style-type: none"> Checkbox for selecting the Action Rights to the Role |
| Action Right | D | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Checkbox for selecting the event group to the Role |
| Event Group | D | <ul style="list-style-type: none"> The list of supported event group |
| Report Access List (including User Requested Report and System Report) | | |
| Selection Checkbox | O | <ul style="list-style-type: none"> Checkbox for selecting the accessible report to the Role |
| Report ID | D | <ul style="list-style-type: none"> The list of available report ID of the selected Application Type |
| Report Name | D | <ul style="list-style-type: none"> The name of the report |
| Pending Approval Update Type | D | <ul style="list-style-type: none"> The name of the update type which is pending for approval. Possible values: <ul style="list-style-type: none"> Create Role Change Role Details Applicable only if there is an amendment pending for approval |

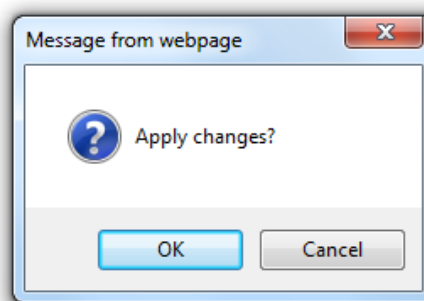
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(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.

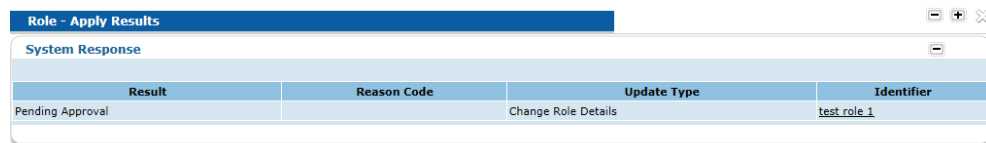


8. If approval for such request is not required, the request is processed immediately, and the User Role is updated. Modifications of Role details will be effective when user logs in next time.

| 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.



The screenshot shows a window titled 'Role - Apply Results'. Inside, there is a 'System Response' section containing a table with the following data:

| 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 | <ul style="list-style-type: none"> ID and full name of TR Participant |
| Service | M | <ul style="list-style-type: none"> Service assigned to the User Possible value: <ul style="list-style-type: none"> Reporting Service |
| User ID | O | <ul style="list-style-type: none"> The unique identifier of the User within the TR Participant Wildcard search is supported |
| User Name | O | <ul style="list-style-type: none"> Name of the User Wildcard search is supported |
| SWIFT User Name | O | <ul style="list-style-type: none"> 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. | | |

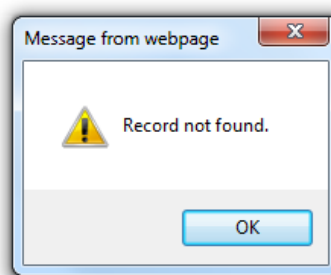
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(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 | | | | | | | | |
| <input type="checkbox"/> | User ID | User Name | SWIFT User Name | Service | Enabled | Logged In | Last Login Time | Pending Approval Update Type |
| <input type="checkbox"/> | defadmin1 | Default Administrator 1 | | Reporting Service | Y | N | 2014-06-24 14:42:04 | |
| <input type="checkbox"/> | defadmin2 | Default Administrator 2 | | Reporting Service | Y | N | 2014-06-24 14:39:52 | |
| <input type="checkbox"/> | test01 | test01 | test01 | Reporting Service | Y | N | 2022-10-11 14:35:13 | |
| <input type="checkbox"/> | test02 | test02 | | Reporting Service | Y | N | | |
| <input type="checkbox"/> | test03 | test03 | | Reporting Service | Y | N | | |
| Page 1 of 1 | | | | | | | | |

(ii) Field Description

| Field | M/O/D* | Description |
|--------------------|--------|--|
| Selection Checkbox | O | <ul style="list-style-type: none"> ▪ Checkbox for selecting one or more Users to perform further action |
| User ID | D | <ul style="list-style-type: none"> ▪ The unique identifier of the User within the TR Participant |
| User Name | D | <ul style="list-style-type: none"> ▪ Name of the User |

| Field | M/O/D* | Description |
|---|--------|---|
| SWIFT User Name | D | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ Service assigned to the User ▪ Possible value: <ul style="list-style-type: none"> • Reporting Service |
| Enabled | D | <ul style="list-style-type: none"> ▪ Indicator to show if the status of the User account is enabled ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Logged In | D | <ul style="list-style-type: none"> ▪ Indicator to show if the User has logged in the system ▪ Possible values: <ul style="list-style-type: none"> • Y • N |
| Last Login Time | D | <ul style="list-style-type: none"> ▪ The last login date and time |
| Pending Approval Update Type | D | <ul style="list-style-type: none"> ▪ The name of the update type which is pending for approval ▪ Possible values: <ul style="list-style-type: none"> • 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

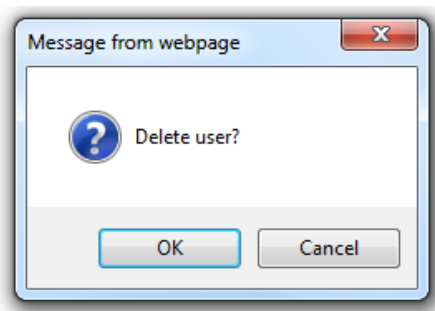
User can perform the following actions:

➤ **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 |

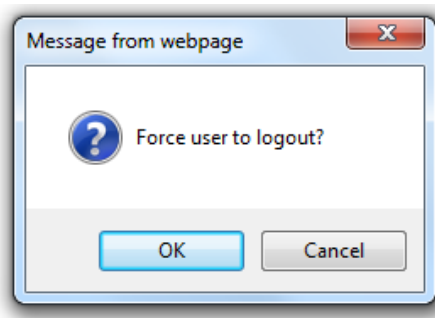
Remarks:

- 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.

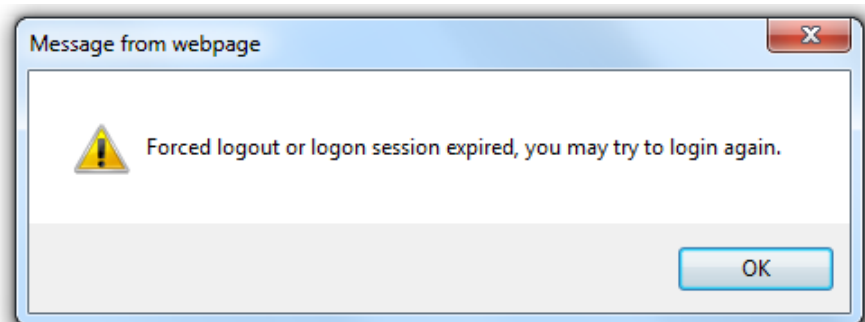


4. The processing result is displayed. Refer to Section 4 “Getting Started” for more details of the Result Screen.

| User List - Force Logout Results | | | |
|----------------------------------|-------------|--------------|------------|
| System Response | | | |
| Result | Reason Code | Request Type | Identifier |
| Completed | | Force Logout | test01 |

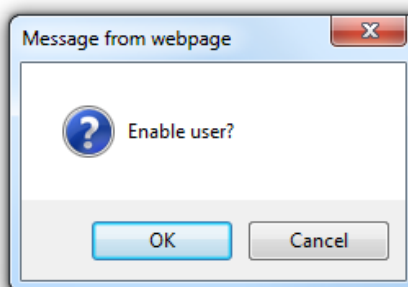
Return

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.

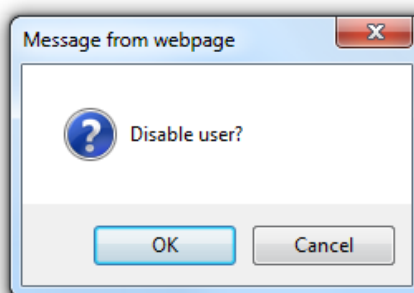
| User List - Enable Results | | | |
|----------------------------|-------------|-------------|---------------------|
| System Response | | | |
| Result | Reason Code | Update Type | Identifier |
| Pending Approval | | Enable User | test03 - test03Name |

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

(ii) Field Description

| Field | M/O/D* | Description |
|------------------|--------|--|
| Participant | D | <ul style="list-style-type: none"> ▪ ID and full name of TR Participant |
| Application Type | M | <ul style="list-style-type: none"> ▪ List of all application types ▪ Possible selections: <ul style="list-style-type: none"> • All (default) • Administration • Trade |
| Service | O | <ul style="list-style-type: none"> ▪ Service associated with the Role ▪ Valid value: <ul style="list-style-type: none"> • Reporting Service ▪ The default value is blank (invalid) ▪ Enabled only when Application Type is “Trade” |

| Field | M/O/D* | Description |
|------------------|--------|---|
| Role Name | O | <ul style="list-style-type: none"> ▪ Name of the Role ▪ Wildcard search is supported |
| Role Description | O | <ul style="list-style-type: none"> ▪ Description of the Role ▪ Wildcard search is supported |
| Role Type | M | <ul style="list-style-type: none"> ▪ Type of the Role ▪ Possible selections: <ul style="list-style-type: none"> • All (default) • System Pre-defined User Role • Participant Level Role |

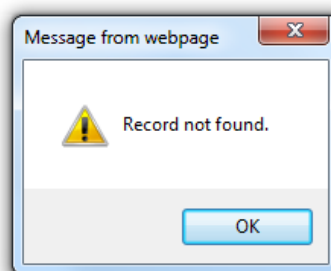
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(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 | <ul style="list-style-type: none"> The application type of the Role Possible values: <ul style="list-style-type: none"> Administration Trade |
| Service | <ul style="list-style-type: none"> Service subscribed by the TR Participant Possible value: <ul style="list-style-type: none"> Reporting Service Blank is displayed when Application Type is “Administration” |
| Role Name | <ul style="list-style-type: none"> Name of the Role |
| Role Description | <ul style="list-style-type: none"> Description of the Role |
| Role Type | <ul style="list-style-type: none"> Type of the Role Possible values: <ul style="list-style-type: none"> 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 <table border="1"> <thead> <tr> <th>User ID</th> <th>User Name</th> </tr> </thead> <tbody> <tr><td>cec01</td><td>System Test User cec01</td></tr> <tr><td>defadmin1</td><td>Default Administrator 1</td></tr> <tr><td>defadmin2</td><td>Default Administrator 2</td></tr> <tr><td>icdack1</td><td>Steve 1</td></tr> <tr><td>icdack2</td><td>icdackp</td></tr> <tr><td>icdack3</td><td>icdackp</td></tr> <tr><td>icdack4</td><td>icdackp</td></tr> <tr><td>icvccw</td><td>icvccw</td></tr> <tr><td>ijhkty1</td><td>ijhkty1</td></tr> <tr><td>mbd01</td><td>MBD User 01</td></tr> <tr><td>mbd02</td><td>MBD User 02</td></tr> <tr><td>test01</td><td>IJKL-test01</td></tr> <tr><td>test02</td><td>IJKL-test02</td></tr> </tbody> </table> | | User ID | User Name | cec01 | System Test User cec01 | defadmin1 | Default Administrator 1 | defadmin2 | Default Administrator 2 | icdack1 | Steve 1 | icdack2 | icdackp | icdack3 | icdackp | icdack4 | icdackp | icvccw | icvccw | ijhkty1 | ijhkty1 | mbd01 | MBD User 01 | mbd02 | MBD User 02 | test01 | IJKL-test01 | test02 | IJKL-test02 |
| User ID | User Name | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| cec01 | System Test User cec01 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| defadmin1 | Default Administrator 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| defadmin2 | Default Administrator 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| icdack1 | Steve 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| icdack2 | icdackp | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| icdack3 | icdackp | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| icdack4 | icdackp | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| icvccw | icvccw | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| ijhkty1 | ijhkty1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| mbd01 | MBD User 01 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| mbd02 | MBD User 02 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| test01 | IJKL-test01 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| test02 | IJKL-test02 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

(ii) Field Description

| Field Name | Description |
|------------------|---|
| Role | |
| Participant | <ul style="list-style-type: none"> ID and full name of TR Participant This field is available only when Role Type is “Participant Level Role” |
| Application Type | <ul style="list-style-type: none"> The application type of the Role Possible values: <ul style="list-style-type: none"> Administration Trade |

| Field Name | Description |
|------------------|--|
| Service | <ul style="list-style-type: none"> ▪ Service associated with the Role ▪ Possible value: <ul style="list-style-type: none"> • Reporting Service ▪ Blank is displayed when Application Type is “Administration” |
| Role Name | <ul style="list-style-type: none"> ▪ Name of the Role |
| Role Description | <ul style="list-style-type: none"> ▪ Description of the Role |
| Role Type | <ul style="list-style-type: none"> ▪ Type of the Role ▪ Possible values: <ul style="list-style-type: none"> • System Pre-defined User Role • Participant Level Role |
| User List | |
| User ID | <ul style="list-style-type: none"> ▪ The User ID which is assigned with the selected Role |
| User Name | <ul style="list-style-type: none"> ▪ 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:" with a masked input field, "New Password:" with a masked input field, and "Confirm New Password:" with a masked input field. 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:" with a masked input field, "Confirm New Password:" with a masked input field, and "Change Password On Next Login:" with an unchecked checkbox. At the bottom right, there are two buttons: "Apply" and "Reset".

(ii) Field Description

| Field | M/O/D* | Description |
|----------------------|--------|--|
| User Password | | |
| User Name | D | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Applicable only if the User changes his/her own password Input characters are masked with "•" |
| New Password | M | <ul style="list-style-type: none"> For the User to type the new password Input characters are masked with "•" |
| Confirm New Password | M | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Applicable only when the function is initiated to change another User's password from "View User Account" function Default to be unchecked |

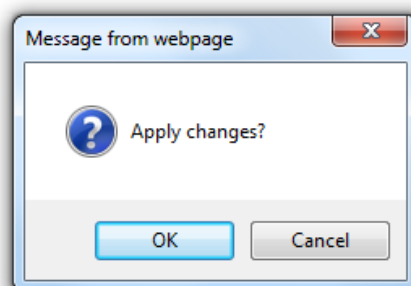
*Note: "M" refers to mandatory field for input by User, "O" refers to optional field for input by User and "D" refers to a field for display by system.

(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.

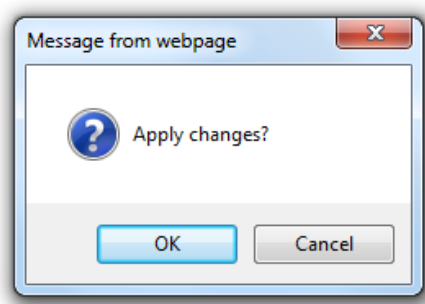


6. The processing result will be displayed. Refer to Section 4 "Getting Started" for more details of the Result Screen.

| 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.

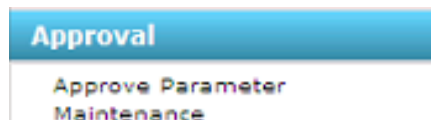
| User Password - Apply Results | | | |
|-------------------------------|-------------|----------------------|------------|
| System Response | | | |
| Result | Reason Code | Request Type | Identifier |
| Completed | | Change User Password | test02 |

➤ **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.

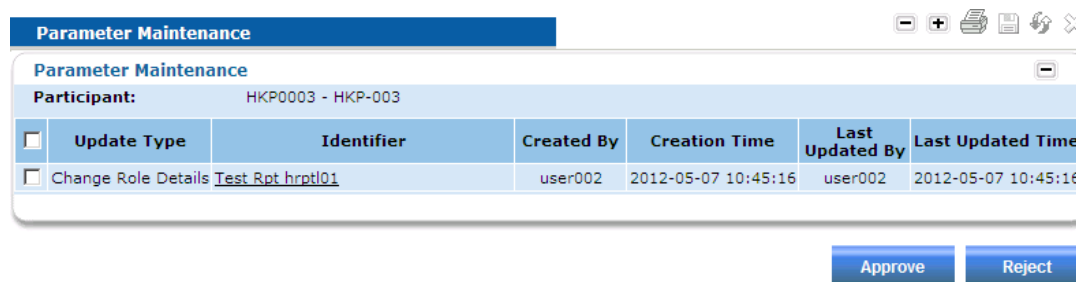
On initiation of the function, only the requests of a particular TR Participant are visible to its Users. The ability of a User to view and approve the requests depends on the Action Rights within the Roles allocated to the User.

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,

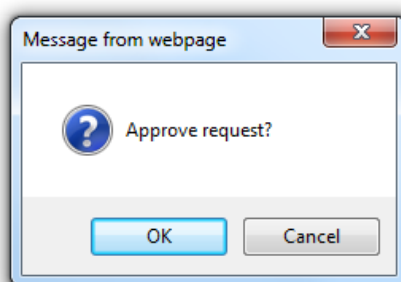
- (b) approve or reject the request in the function displayed after viewing the details, and
- (c) amend the request if this action is available in the function displayed (e.g., View/Maintain Role).

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.

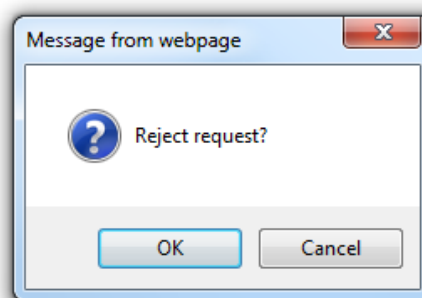
| Parameter Maintenance - Approve Results | | | |
|---|-------------|--------------------------------|------------------------------|
| System Response | | | |
| Result | Reason Code | Request Type | Identifier |
| Completed | | Change Report Delivery Channel | CHSD0001-HKD |

Return

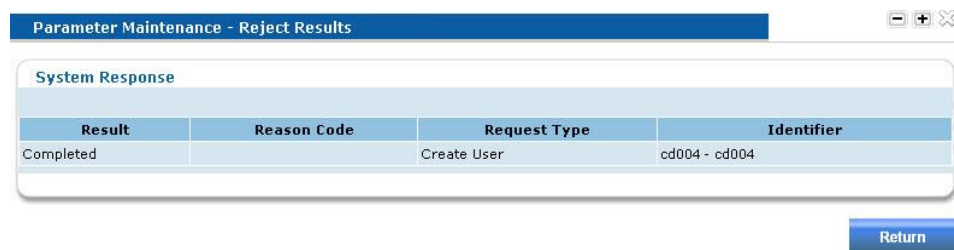
5. Click <Return> button to return to the Unapproved Requests screen.

➤ **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

The screenshot shows the 'Event Log' application window. It contains two main panels: 'Selection Criteria' and 'Display Options'.

Selection Criteria Panel:

- Participant:** HKP0003 - HKP-003
- Date / Time From:** 2012-02-07 14:25:33
- To:** (Empty field)
- Event Group:** A dropdown menu showing options: --All--, Parameter Maintenance, Trade Maintenance, Security, and Business Exception.
- Severity:** A dropdown menu showing options: --All--, Information, Warning, and Critical.

Display Options Panel:

- Records Per Page:** 25
- Sorting Order:**
 - Available Fields:** Event Time, Event Group, Severity, User ID
 - Selected Fields:** (Empty)
 - Sort:** Radio buttons for Asc (selected) and Des.
 - Buttons:** Add, Remove, Move Up, Move Down.

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

(ii) Field Description

| Field | M/O/D* | Description |
|---------------------------|--------|---|
| Selection Criteria | | |
| Participant | D | <ul style="list-style-type: none"> ▪ ID and full name of TR Participant |
| Date/Time From | M | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ A list of event groups ▪ Possible selections (multiple selections are allowed): <ul style="list-style-type: none"> • All (default) • Parameter Maintenance • Trade Maintenance • Business Exception • Security |
| Severity | M | <ul style="list-style-type: none"> ▪ A list of the severity of event ▪ Possible selections: <ul style="list-style-type: none"> • All (default) • Warning • Information • Critical |
| Display Options | | |
| Refer to Section 4 “Getting Started” for field details and processing steps of Display Options. | | |

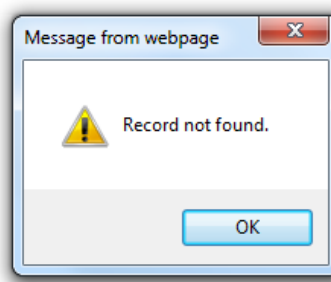
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(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 Log | | | | | | |
|---------------------|------------|-------------|-------------|----------------------------------|---------|------------------------|
| 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 | <ul style="list-style-type: none"> ▪ The event group ▪ Possible values: <ul style="list-style-type: none"> • Parameter Maintenance • Trade Maintenance • Business Exception • Security |
| Severity | D | <ul style="list-style-type: none"> ▪ The severity of the event ▪ Possible values: <ul style="list-style-type: none"> • Warning • Information • Critical |
| Description | D | <ul style="list-style-type: none"> ▪ Description of the event |
| User ID | D | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ The indicator of additional information ▪ Possible values: <ul style="list-style-type: none"> • 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:

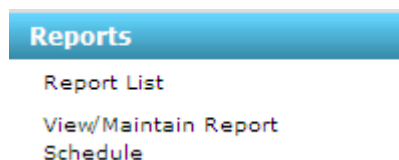
➤ **Hyperlink (i.e. to view the additional information of a specific event)**

- *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 | <ul style="list-style-type: none"> the Roles with appropriate allocation of Action Rights and report IDs to the User <p>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.</p> <ul style="list-style-type: none"> CTRD2603 - Participant Trade Reconciliation Discrepancy Report CTRD2604 - Participant Uncertain Unlink Report |
| Enquiry Report | <ul style="list-style-type: none"> the Roles with appropriate allocation of Action Rights for accessing the functions with “Save to File” action to the User |
| User Requested Report | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> PDF (for administrative functions reports) CSV (for trade related reports except the trade event request capture report) |
| Enquiry Report | <ul style="list-style-type: none"> CSV (for “Save to File” action) |
| User Requested Report | <ul style="list-style-type: none"> PDF (for administrative functions reports) CSV (for trade related reports except the trade event 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 | <ul style="list-style-type: none"> ▪ File Transfer Service on HKICL Network (“FTS”) ▪ FileAct - through SWIFTNet Channel ▪ Browser (i.e. at “View Report List” function) |
| Enquiry Report | <ul style="list-style-type: none"> ▪ Browser (The report is allowed to be viewed, printed or saved directly after User initiated the report) |
| User Requested Report | <ul style="list-style-type: none"> ▪ 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:

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

| | | |
|-------|------------------|--|
| where | TTTTTTTTTTT | – User ID of the requested User (e.g. test02) |
| | S | – Separator (default value “-” will be used) |
| | BBBBBBBBBBBBBBBB | – 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 | <ul style="list-style-type: none"> For TR Participant report, Participant ID will be used. All trailing spaces will be trimmed if any. |
| Separator | 1 character | <ul style="list-style-type: none"> Default value “-” will be used. |
| Report ID | 50 characters | <ul style="list-style-type: none"> Each report has a Report ID by which a User can identify the report. |
| Separator | 1 character | <ul style="list-style-type: none"> Default value “-” will be used. |
| Date | 8 digits | <ul style="list-style-type: none"> The report date in the format YYYYMMDD |

(b) Enquiry Report

| Field Name | Format | Remarks |
|-------------|---------------|---|
| Participant | 15 characters | <ul style="list-style-type: none"> For TR Participant report, Participant ID will be used. All trailing spaces will be trimmed if any. |
| Separator | 1 character | <ul style="list-style-type: none"> Default value “-” will be used. |
| Report ID | 50 characters | <ul style="list-style-type: none"> Each report has a Report ID by which a User can identify the report. |
| Separator | 1 character | <ul style="list-style-type: none"> Default value “-” will be used. |
| Date | 8 digits | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> User ID of the requested TR Participant User. |
| Separator | 1 character | <ul style="list-style-type: none"> Default value “-” will be used. |
| Participant | 15 characters | <ul style="list-style-type: none"> For TR Participant report, Participant ID will be used. All trailing spaces will be trimmed if any. |
| Separator | 1 character | <ul style="list-style-type: none"> Default value “-” will be used. |
| Report ID | 50 characters | <ul style="list-style-type: none"> Each report has a Report ID by which a User can identify the report. |
| Separator | 1 character | <ul style="list-style-type: none"> Default value “-” will be used. |
| Date | 8 digits | <ul style="list-style-type: none"> The calendar date in the format YYYYMMDD |
| Sequence Number | 3 digits | <ul style="list-style-type: none"> 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 (All, ADM0001, ADM0002, ADM0004, 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.

(ii) Field Description

| Field | M/O/D* | Description |
|---------------------------------------|--------|--|
| Selection Criteria | | |
| Participant | D | <ul style="list-style-type: none"> ID and full name of TR Participant |
| Application | M | <ul style="list-style-type: none"> Available application types Possible selections: <ul style="list-style-type: none"> All (default) Administration Trade |
| Service | O | <ul style="list-style-type: none"> Service associated with the Report Valid values: <ul style="list-style-type: none"> All (default) Reporting Service The default value is blank Enabled only when Application Type is “Trade” |
| Report Date | M | <ul style="list-style-type: none"> Date of the reports Default value is the current date |
| Selection Criteria – Key Items | | |
| Report ID | M | <ul style="list-style-type: none"> 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 |
| | | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Delivery channel of the enquired reports Possible selections: <ul style="list-style-type: none"> All (default) Browse FTS FileAct |
| Report Type | M | <ul style="list-style-type: none"> Report type of the enquired reports Possible selections: <ul style="list-style-type: none"> System Report (default) User Requested Report Enquiry-initiated user requested reports are classified as User Requested reports |
| Report Reference | O | <ul style="list-style-type: none"> 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 | O | <ul style="list-style-type: none"> Date and time range for the report generation |



| Field | M/O/D* | Description |
|------------------------|--------|---|
| Date/Time From | | |
| Generated Date/Time To | | |
| Non-downloaded report | O | <ul style="list-style-type: none"> ▪ 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.

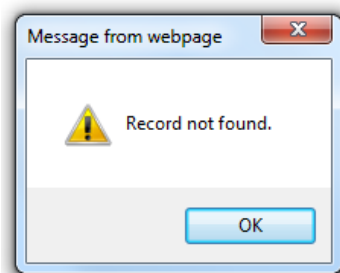
(iii) Processing Steps

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 | | | | | | |
|--------------------------|----------------|---------|-----------|---|---------------|---------------------|
| Page 1 of 4 | | | | | | |
| <input type="checkbox"/> | Application | Service | Report ID | Report Name | Report Type | Generated Date/Time |
| <input type="checkbox"/> | Administration | | ADMD0001 | Administrative Functions Audit Trail Report | System Report | 2020-12-07 13:21:54 |
| <input type="checkbox"/> | 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 | | | | | | | | | | |
|-------------|---------------|------------------|-------------------|------------------|-----------------|---------------------------|---------------------|--------------------------|---------------------|-----------------|
| Page 1 of 4 | | | | | | | | | | |
| 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 | <ul style="list-style-type: none"> Checkbox for selecting report(s) for re-delivery Applicable to the reports delivered via FTS, FileAct and bulk download |
| Application | D | <ul style="list-style-type: none"> Application type of the report Possible values: <ul style="list-style-type: none"> Administration Trade |

| Field | M/O/D* | Description |
|---------------------------|--------|--|
| Service | D | <ul style="list-style-type: none"> ▪ Service associated with the report ▪ Possible value: <ul style="list-style-type: none"> • Reporting Service ▪ Blank is displayed when Application is “Administration” |
| Report ID | D | <ul style="list-style-type: none"> ▪ Report ID of the enquired report ▪ Hyperlink will be provided to view the report where the delivery channel is “Browse” |
| Report Name | D | <ul style="list-style-type: none"> ▪ Name of the enquired report |
| Report Type | D | <ul style="list-style-type: none"> ▪ Report type of the enquired report ▪ Possible values: <ul style="list-style-type: none"> • System Report • User Requested Report |
| Generated Date/Time | D | <ul style="list-style-type: none"> ▪ The generation date and time of the enquired report |
| Report Format | D | <ul style="list-style-type: none"> ▪ The generated format of the report ▪ Possible values: <ul style="list-style-type: none"> • PDF • CSV • TXT • ZIP |
| Report Reference | D | <ul style="list-style-type: none"> ▪ Reference number of the report ▪ Applicable to User Requested Reports only |
| Generation Status | D | <ul style="list-style-type: none"> ▪ Generation status of the report ▪ Possible values: <ul style="list-style-type: none"> • Generated • In Progress • Failed |
| Delivery Channel | D | <ul style="list-style-type: none"> ▪ Delivery channel of the enquired reports ▪ Possible values: <ul style="list-style-type: none"> • Browse • FTS • FileAct |
| Delivery Status | D | <ul style="list-style-type: none"> ▪ Delivery status of the report ▪ Possible values: <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> ▪ Number of times that the report has been delivered via FTS or FileAct |
| Last Delivered | D | <ul style="list-style-type: none"> ▪ The last recorded date and time that the report was |

| Field | M/O/D* | Description |
|----------------------------|--------|---|
| Time | | 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

(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 |
|---------------------------------------|--------|--|
| | | <ul style="list-style-type: none"> ▪ Possible selections: <ul style="list-style-type: none"> • All (default) • Administration • Trade |
| Service | O | <ul style="list-style-type: none"> ▪ Service associated with the System Report ▪ Valid value: <ul style="list-style-type: none"> • All (default) • Reporting Service ▪ The default value is blank (invalid) ▪ Enabled only when Application is “Trade” |
| Report Type | M | <ul style="list-style-type: none"> ▪ Report type of the enquired reports ▪ Valid values: <ul style="list-style-type: none"> • System Report (default) • Capture Report and Response File ▪ Enabled only when Application is “Trade” |
| Report Date | M | <ul style="list-style-type: none"> ▪ Date of the report schedule and the default value is current date |
| Selection Criteria – Key Items | | |
| Generation Status | M | <ul style="list-style-type: none"> ▪ Generation status of the System Report ▪ Possible selections: <ul style="list-style-type: none"> • All (default) • Failed • Generated • In Progress • Not Scheduled • Not Started |
| Delivery Channel | M | <ul style="list-style-type: none"> ▪ Delivery channel of the System Report ▪ Possible selections: <ul style="list-style-type: none"> • All (default) • Browse • FileAct • FTS |
| Delivery Status | M | <ul style="list-style-type: none"> ▪ Delivery status of the System Report ▪ Possible selections: <ul style="list-style-type: none"> • 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” |

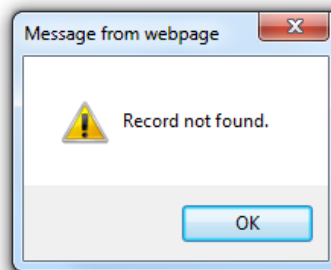
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(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

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

[View Report List](#)

(ii) Field Description

| Field | M/O/D* | Description |
|---------------------|--------|--|
| Report List | | |
| Select | O | <ul style="list-style-type: none"> Checkbox for selecting only one specific report for further processing This field is not available when initiated from “Approve Parameter Maintenance” function |
| Application | D | <ul style="list-style-type: none"> Application type of the report Possible values: <ul style="list-style-type: none"> Administration Trade |
| Service | D | <ul style="list-style-type: none"> Service associated with the report Possible value: <ul style="list-style-type: none"> Reporting Service Blank will be displayed if Application is “Administration” |
| Report ID | D | <ul style="list-style-type: none"> Report ID of the system report Hyperlink is generated to maintain the report schedule |
| Report Name | D | <ul style="list-style-type: none"> Name of the System Report |
| Generated Date/Time | D | <ul style="list-style-type: none"> The generation date and time of the System Report The field is not available when initiated from “Approve Parameter Maintenance” function |
| Report Format | D | <ul style="list-style-type: none"> The file format of the system report Possible values (one or multiple): <ul style="list-style-type: none"> PDF CSV TXT FPML ZIP |

| Field | M/O/D* | Description |
|------------------------------|--------|--|
| Delivery Channel | D | <ul style="list-style-type: none"> ▪ Delivery channel of the system report ▪ Possible values (one or multiple): <ul style="list-style-type: none"> • Browse • FTS • FileAct |
| Generation Status | D | <ul style="list-style-type: none"> ▪ Generation status of the System Report ▪ Possible values: <ul style="list-style-type: none"> • Not Started • Not Scheduled • Generated • Failed • In Progress ▪ This field is not available when initiated from “Approve Parameter Maintenance” function |
| Delivery Status | D | <ul style="list-style-type: none"> ▪ Delivery status of the System Report ▪ Possible values: <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> ▪ The frequency of the corresponding report generation. ▪ Possible values: <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> ▪ The name of the update type pending for approval ▪ Possible value: <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> ▪ ID and full name of the TR Participant |
| Application | D | <ul style="list-style-type: none"> ▪ The application type of the selected report schedule ▪ Possible values (any one of the followings): <ul style="list-style-type: none"> • Administration • Trade |

| Field | M/O/D* | Description |
|--|--------|---|
| Service | D | <ul style="list-style-type: none"> ▪ Service associated with the report schedule ▪ Possible value: <ul style="list-style-type: none"> • Reporting Service ▪ Blank is displayed when Application is “Administration” |
| Delivery and Scheduling | | |
| Report ID | D | <ul style="list-style-type: none"> ▪ Report ID of the selected report schedule |
| Report Name | D | <ul style="list-style-type: none"> ▪ Report name of the selected report schedule |
| Frequency | D | <ul style="list-style-type: none"> ▪ The generation frequency of the selected report schedule ▪ Possible values: <ul style="list-style-type: none"> • Daily (System Day) • Daily (Business Day) • Weekly • Monthly ▪ Applicable only to reports which are periodically generated |
| Day of the Week | D | <ul style="list-style-type: none"> ▪ A day in a week for report generation ▪ Possible values: <ul style="list-style-type: none"> • Monday • Tuesday • Wednesday • Thursday • Friday ▪ Applicable only if the report is generated on weekly basis |
| Day in the Month | D | <ul style="list-style-type: none"> ▪ A day in a month for report generation ▪ Possible values: <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ Available report formats depend on the supported format of each report ▪ Possible selections (multiple selections are allowed): <ul style="list-style-type: none"> • PDF • CSV • TXT • FPML • ZIP ▪ If the delivery channel is “FTS” and the format is changed, |

| Field | M/O/D* | Description |
|--|--------|---|
| | | <p>a warning message will be shown to remind the corresponding FTS configuration should be updated</p> <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ Available channels depend on the supported delivery channel of each report ▪ Possible selections (multiple selection allowed): <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> ▪ 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 | <ul style="list-style-type: none"> ▪ The file format of the selected report ▪ Possible values: <ul style="list-style-type: none"> • PDF • CSV • TXT • ZIP |
| Report Delivery Channel | D | <ul style="list-style-type: none"> ▪ Delivery channel of the selected report format ▪ Possible values: <ul style="list-style-type: none"> • FTS • FileAct • Browse |

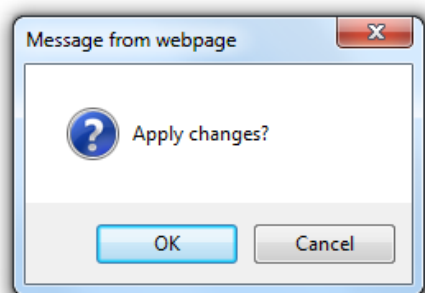
*Note: “M” refers to mandatory field for input by User, “O” refers to optional field for input by User and “D” refers to a field for display by system.

(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 Event Request File | Trade Event Request File | Upload Trade Event Request File | Upload | - | Navigation Menu | |
| | | | | Reset | - | | |
| | | Upload Trade Event Request File Capture Response | View Upload Trade Event Request File Capture Response | Back | - | | |
| | Trade Event Request File Capture Enquiry | Trade Event Request File Capture | Find Trade Event Request File Capture | Reset | - | Navigation Menu | |
| | | | | Search | - | | |
| | | Trade Event Request File Capture List | View Trade Event 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 Request File | Valuation Request File | Upload Valuation Request File | Upload | - | Navigation Menu | |
| | | | | Reset | - | | |
| | | Upload Valuation Request File Capture Response | View Upload Valuation Request File Capture Response | Back | - | | |
| | Valuation Request File Capture Enquiry | Valuation Request File Capture | Find Valuation Request File Capture | Reset | - | Navigation Menu | |
| | | | | Search | - | | |
| | | Valuation Request File Capture List | View Valuation Request File Capture List | Back | - | | |
| | | | | Capture Report (hyperlink) | - | | |
| | | | | Refresh | - | | |
| | | | | Response File (hyperlink) | - | | |
| | | | | Error Description (hyperlink) | - | | |
| Trade Information | Trade Enquiry | Select Asset Class/ Quick Detail View | Find Trade | Next | - | Navigation Menu | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|----------|------------------------------------|--------------------|----------------------------------|--------------------|--|--|
| | | Trade Selection - <Asset Class> | Find Trade | Search | - | | |
| | | | | Reset | - | | |
| | | Trade Summary - <Asset Class> | View Trade Summary | Back | - | Find Trade | |
| | | | | Trade Details (hyperlink) | View Trade Details | | |
| | | | | History | View Trade History | | |
| | | | | Refresh | - | | |
| | | | | Save to File | - | | |
| | | Trade Details - <Asset Class> | View Trade Details | History | View Trade History | <ul style="list-style-type: none"> View Trade Summary View Trade History View Trade Event Details View Alleged Trade Event Details View Unmatched Trade Event Summary View Partially Matched Trade Event Details View Valuation Request Details | <p>Linked Trade Details action is not available if the source page is View Trade Details</p> <p>Linked Trade Details action is not available if the source page is View Trade History</p> <p>History action is not available if the source page is not Trade Summary or Select Asset Class / Quick Detail View of Trade Enquiry</p> <p>Upload Attachment, Reset and Delete Attachment actions are available in</p> |
| | | | | Linked Trade Details (hyperlink) | View Trade Details | | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | | | | Upload Attachment | - | | |
| | | | | Reset | - | | |
| | | | | Delete Attachment | - | | |
| | | | | View Attachment | - | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|----------|---|----------------------------------|---|---|---|---|
| | | | | | | | Attachment Tab, and to the trade participant or the agent of the participant View Attachment actions are available in Attachment Tab |
| | | Trade History - <Asset Class> | View Trade History | Historical Trade Details (hyperlink) | View Trade Details (Historical) | <ul style="list-style-type: none"> • View Trade Summary • View Trade Details | |
| | | | | Refresh | - | | |
| | | | | Trade Event Details / Alleged Trade Event Details (hyperlink) | View Trade Event Details / View Alleged Trade Event Details | | |
| | | Trade Event Details - <Asset Class> | View Trade Event Details | Save to File | - | <ul style="list-style-type: none"> • View Trade Event Summary • View Unmatched Trade Event Summary • View Trade Details • View Trade History • Approve Trade Event Request Summary | |
| | | | | Refresh | - | | |
| | | | | Trade Details (hyperlink) | View Trade Details | | |
| | | Alleged Trade Event Details - <Asset Class> | View Alleged Trade Event Details | Save to File | - | <ul style="list-style-type: none"> • View Alleged Trade Event Summary • View Unmatched Trade Event Summary • View Trade Details | |
| | | | | Refresh | - | | |
| | | | | Trade Details | View Trade | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|---------------------|---------------------------------------|--------------------------|---------------------------------|--------------------------|---|---------|
| | | | | (hyperlink) | Details | <ul style="list-style-type: none"> View Trade History Approve Trade Event Request Summary | |
| | Trade Event Enquiry | Select Asset Class/ Quick Detail View | Find Trade Event | Next | - | Navigation Menu | |
| | | Trade Event Selection - <Asset Class> | Find Trade Event | Search | - | Navigation Menu | |
| | | | | Reset | - | | |
| | | Trade Event Summary - <Asset Class> | View Trade Event Summary | Back | - | Find Trade Event | |
| | | | | Cancel | - | | |
| | | | | Trade Event Details (hyperlink) | View Trade Event Details | | |
| | | | | History | View Trade Event History | | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | | Trade Event Details - <Asset Class> | View Trade Event Details | Cancel | - | <ul style="list-style-type: none"> View Trade Event Summary View Unmatched Trade Event Summary View Trade Details View Trade History Approve Trade Event Request Summary | |
| | | | | History | View Trade Event History | | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | | | | Trade Details (hyperlink) | View Trade Details | | |
| | | Trade Event History - <Asset | View Trade | Trade Event Request | View Trade Event | <ul style="list-style-type: none"> View Trade Event Summary | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|----------|---|----------------------------------|--|--------------------------|--|---------|
| | | Class> | Event History | (hyperlink) | Request | <ul style="list-style-type: none"> View Trade Event Details | |
| | | | | Refresh | - | | |
| | | Trade Event Request - <Asset Class> | View Trade Event Request | - | - | <ul style="list-style-type: none"> View Trade Event History | |
| | | Trade Details - <Asset Class> | View Trade Details | Pending Trade Event Details (hyperlink) | View Trade Event Details | <ul style="list-style-type: none"> View Trade Summary View Trade History View Trade Event Details View Alleged Trade Event Details View Unmatched Trade Event Summary View Partially Matched Trade Event Details View Valuation Request Details | |
| | | | | Pending Counterparty Trade Event Details (hyperlink) | View Trade Event Details | | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | | | | | | | |
| | | Alleged Trade Event Details - <Asset Class> | View Alleged Trade Event Details | Save to File | - | <ul style="list-style-type: none"> View Alleged Trade Event Summary View Unmatched Trade Event Summary View Trade Details View Trade History Approve Trade Event Request Summary | |
| | | | | Refresh | - | | |
| | | Trade Details - <Asset Class> | View Trade Details | Trade Details (hyperlink) | View Trade Details | <ul style="list-style-type: none"> View Trade Summary View Trade History View Trade Event Details View Alleged Trade Event Details | |
| | | | | Pending Trade Event Details (hyperlink) | View Trade Event Details | | |
| | | Trade Details - <Asset Class> | View Trade Details | Pending Trade Event Details (hyperlink) | View Trade Event Details | <ul style="list-style-type: none"> View Trade Summary View Trade History View Trade Event Details View Alleged Trade Event Details | |
| | | | | Pending Counterparty Trade Event | View Trade Event Details | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|-----------------------------|---|----------------------------------|---------------------------|--------------------|---|---------|
| | | | | Details (hyperlink) | | <ul style="list-style-type: none">View Unmatched Trade Event SummaryView Partially Matched Trade Event DetailsView Valuation Request Details | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | | Trade Event Details - <Asset Class> | View Trade Event Details | Save to File | - | <ul style="list-style-type: none">View Trade Event SummaryView Unmatched Trade Event SummaryView Trade DetailsView Trade HistoryApprove Trade Event Request Summary | |
| | | | | Refresh | - | | |
| | | | | Trade Details (hyperlink) | View Trade Details | | |
| | | Alleged Trade Event Details - <Asset Class> | View Alleged Trade Event Details | Save to File | - | <ul style="list-style-type: none">View Alleged Trade Event SummaryView Unmatched Trade Event SummaryView Trade DetailsView Trade HistoryApprove Trade Event Request Summary | |
| | | | | Refresh | - | | |
| | | | | Trade Details (hyperlink) | View Trade Details | | |
| | Alleged Trade Event Enquiry | Select Asset Class/ Quick Detail View | Find Alleged Trade Event | Next | - | Navigation Menu | |
| | | Alleged Trade | Find Alleged | Search | - | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|----------|--|----------------------------------|---|-----------------------------------|---|---------|
| | | Event Selection - <Asset Class> | Trade Event | Reset | - | | |
| | | Alleged Trade Event Summary - <Asset Class> | View Alleged Trade Event Summary | Back | - | Find Alleged Trade Event function | |
| | | | | Alleged Trade Event Details (hyperlink) | View Alleged Trade Event Details | | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | | | | History | View Alleged Trade Event History | | |
| | | Alleged Trade Event Details - <Asset Class> | View Alleged Trade Event Details | Affirm | View Trade Event Request Response | <ul style="list-style-type: none"> View Alleged Trade Event Summary View Unmatched Trade Event Summary View Trade Details View Trade History Approve Trade Event Request Summary | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | | | | History | View Alleged Trade Event History | | |
| | | | | Trade Details (hyperlink) | View Trade Details | | |
| | | Trade Details - <Asset Class> | View Trade Details | Linked Trade Details (hyperlink) | View Trade Details | <ul style="list-style-type: none"> View Trade Summary View Trade History | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|---------------------------|--|--------------------------------|---------------------------------------|--------------------------------|--|---------|
| | | | | Save to File | - | <ul style="list-style-type: none"> View Trade Event Details View Alleged Trade Event Details View Unmatched Trade Event Summary View Partially Matched Trade Event Details View Valuation Request Details | |
| | | | | Refresh | - | | |
| | | Trade Event Details - <Asset Class> | View Trade Event Details | Save to File | - | <ul style="list-style-type: none"> View Trade Event Summary View Unmatched Trade Event Summary View Trade Details View Trade History Approve Trade Event Request Summary | |
| | | | | Refresh | - | | |
| | | | | Trade Details (hyperlink) | View Trade Details | | |
| | Valuation Request Enquiry | Specify Selection Criteria / Quick Detail View | Find Valuation Request | Next | - | Navigation Menu | |
| | | Valuation Request Selection | Find Valuation Request | Reset | - | | |
| | | | | Search | - | | |
| | | Valuation Request Summary | View Valuation Request Summary | Back | - | Find Valuation Request function | |
| | | | | Valuation Request Details (hyperlink) | View Valuation Request Details | | |
| | | | | Valuation Request | View Valuation Request | | |
| | | | | Save to File | - | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|------------------------------|---|---------------------------------------|----------------------------------|---------------------------------------|--|---------|
| | | | | Refresh | - | | |
| | | Valuation Request Details | View Valuation Request Details | Valuation Request | View Valuation Request | • View Valuation Request Summary | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | | | | Trade Details (hyperlink) | View Trade Details | | |
| | | Valuation Request | View Valuation Request | - | - | • View Valuation Request Summary • View Valuation Request Details | |
| | | Trade Details - <Asset Class> | View Trade Details | Linked Trade Details (hyperlink) | View Trade Details | - | |
| | | | | Save to File | - | | |
| | | | | Refresh | - | | |
| | Party ID Change Request | Party ID Change Request | Create Party ID Change Request | Create | View Party ID Change Request Response | Navigation Menu | |
| | | | | Reset | - | | |
| | | Party ID Change Request Response – Create Results | View Party ID Change Request Response | Reject Reason (hyperlink) | - | • Create Party ID Change Request | |
| | Party ID Change Request List | Party ID Change Request List | Maintain Party ID Change Request List | Delete | View Party ID Change Request Response | Navigation Menu | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-------------------------|---------------------------------|--|--|---------------------------|--|---|---|
| | | | | Refresh | - | | |
| | | Party ID Change Request Response – Delete Results | View Party ID Change Request Response | Reject Reason (hyperlink) | - | <ul style="list-style-type: none"> Maintain Party ID Change Request List | |
| | Approve Party ID Change Request | Party ID Change Request Summary | Approve Party ID Change Request Summary | Approve | View Party ID Change Request Approval Response | Navigation Menu | |
| | | | | Reject | View Party ID Change Request Approval Response | | |
| | | | | Refresh | - | | |
| | | Party ID Change Request Approval Response - <Action> Results | View Party ID Change Request Approval Response | Reject Reason (hyperlink) | - | <ul style="list-style-type: none"> Approve Party ID Change Request Summary | <Action> values as below: <ul style="list-style-type: none"> Approve Reject |
| Trade Information | View/Maintain in Coding Scheme | Coding Scheme Selection | Select Coding Scheme | Next | Code Summary | <ul style="list-style-type: none"> Navigation Menu | |
| | | Code Summary | View Code Summary | Refresh | - | <ul style="list-style-type: none"> Select Coding Scheme | |
| Participant Maintenance | View/Maintain in Participant | Participant Details | View Participant | Print Preview | - | <ul style="list-style-type: none"> Navigation Menu | |
| | | | | Refresh | - | <ul style="list-style-type: none"> Approve Parameter Maintenance | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|----------|------------------|---------------|---------------------------|------------------------------|--------------------------|---------|
| | Details | | Details | 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 | - | | |
| | | | | View Change Log | View Change Log | | |
| | View | Participant List | View | Print Preview | - | Navigation Menu | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|------------------------|----------------------------------|-------------------|------------------------|------------------|---------------------------|---|---------|
| | Participant List | | Participant List | Save to File | - | | |
| | | | | Refresh | - | | |
| | | | | Search | - | | |
| | | | | Reset | - | | |
| | | | | Details | View Participant Details | | |
| Operations Information | View Notification List | Notification List | View Notification List | Print Preview | - | <ul style="list-style-type: none"> 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 | - | <ul style="list-style-type: none"> Navigation Menu View Report Schedule | |
| | | | | Refresh | - | | |
| | | | | Search | - | | |
| | | | | Reset | - | | |
| | | | | View Report | - | | |
| | | | | Re-deliver | - | | |
| | | | | Zip For Download | - | | |
| | View/Maintain in Report Schedule | Report Schedule | View Report Schedule | Print Preview | - | <ul style="list-style-type: none"> Navigation Menu Approve Parameter Maintenance | |
| | | | | Save To File | - | | |
| | | | | Refresh | - | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|---------------------------|-------------------|--------------|-------------------|-------------------------------|--------------------------|--|---------|
| | | | | Search | - | <ul style="list-style-type: none"> View Participant Details | |
| | | | | 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 | - | <ul style="list-style-type: none"> Navigation Menu View User Account | |
| | | | | Reset | - | | |
| | | | | View Role | View Role Details | | |
| | View User Account | User Account | View User Account | Print Preview | - | <ul style="list-style-type: none"> Navigation Menu View User List View Role Allocation Approve Parameter Maintenance | |
| | | | | Refresh | - | | |
| | | | | Approve | - | | |
| | | | | Reject | - | | |
| | | | | View Change Log | View Change Log | | |
| | | | | Delete | - | | |
| | | | | Create Like | Add User Account | | |
| | | | | Enable | - | | |
| | | | | Disable | - | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|--------------------|--------------|--------------------|------------------|-----------------------|---|---------|
| | | | | Change Password | Change User Password | | |
| | | | | Amend | Maintain User Account | | |
| | | | | View Role | View Role Details | | |
| | Add Role | Role | Add Role | Apply | - | <ul style="list-style-type: none"> 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 | - | <ul style="list-style-type: none"> Navigation Menu View Participant Details | |
| | | | | Save To File | - | | |
| | | | | Refresh | - | | |
| | | | | Search | - | | |
| | | | | Reset | - | | |
| | | | | Print Details | - | | |
| | | | | Details | View User Account | | |
| | | | | Delete | - | | |
| | | | | Force Logout | - | | |
| | | | | Enable | - | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-------------------|-------------------------------|--|--|---------------------------|---------------------------|--|---------|
| | Role Allocation List | Role Allocation List | View Role Allocation List | Disable | - | Navigation Menu | |
| | | | | Search | - | | |
| | | | | Reset | - | | |
| | | | | Details | View Role Allocation List | | |
| User Options | Change User Password | User Password | Change User Password | Apply | - | <ul style="list-style-type: none"> 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 | - | | |
| | | Parameter Maintenance - <Action> Results <ul style="list-style-type: none"> Possible value(s) of <Action>: <ul style="list-style-type: none"> Approve Reject | View Parameter Maintenance Approval Response | Reject Reason (hyperlink) | - | | |
| System Monitoring | Event Log | Event Log | Find Event | Search | View Event Log | Navigation Menu | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|---|---------------------|---------------------|------------------------------|---------------------------|---------------------------|--------------------------|---------|
| | | | | 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 | | |
| | | | | View Originating Party | View Originating Party | | |
| | | | | View Reporting For | View Reporting For | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|----------|----------------------|---------------------------|------------------|-------------------|--|---------|
| | | View Change Log | View Change Log | Close | - | <ul style="list-style-type: none"> 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 | View Role Allocation List | Print Preview | - | <ul style="list-style-type: none"> View Role Allocation List View Role Details | |
| | | | | Save To File | - | | |
| | | | | View User | View User Account | | |
| | | | | Refresh | - | | |
| | | Role Details | View Role Details | Refresh | - | <ul style="list-style-type: none"> View Role List | |
| | | | | Print Preview | - | | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|----------|-----------------------|---------------------------|------------------|---------------------------|---|---------|
| | | | | View Users | View Role Allocation List | <ul style="list-style-type: none"> Add User Account View User Account Maintain User Account Approve Parameter Maintenance | |
| | | | | Delete | - | | |
| | | | | Create Like | Add Role | | |
| | | | | Amend | Maintain Role Details | | |
| | | | | Approve | - | | |
| | | | | Reject | - | | |
| | | | | View Change Log | View Change Log | | |
| | | Maintain Role Details | Maintain Role Details | Back | - | <ul style="list-style-type: none"> 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 | - | | |
| | | | | Reset | - | | |
| | | Service Subscription | View Service Subscription | Close | | <ul style="list-style-type: none"> View Participant Details Maintain Participant Details | |

| Navigation Menu | Sub-menu | Screen Title | Function Name | Available Action | Access To | Function Accessible From | Remarks |
|-----------------|----------|-------------------------------------|---|------------------|-----------|--|---------|
| | | Reporting Obligation | View Reporting Obligation | Close | - | <ul style="list-style-type: none"> View Participant Details Maintain Participant Details | |
| | | Agent Relationship | View Appointed Agents | Close | - | <ul style="list-style-type: none"> View Participant Details Maintain Participant Details | |
| | | Agent Relationship | View Client Participants | Close | - | <ul style="list-style-type: none"> View Participant Details Maintain Participant Details | |
| | | Originating Relationship | View Originating Party | Close | - | <ul style="list-style-type: none"> View Participant Details Maintain Participant Details Reactive | |
| | | Originating Relationship | View Reporting For | Close | - | <ul style="list-style-type: none"> 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 | - | <ul style="list-style-type: none"> Logon (first logon via SWIFTNet) | |

A.2 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 Event Request File | | | | ✓ |
| View Trade Event Request File Capture List | | | ✓ | ✓ |
| Upload Valuation Request File | | | | ✓ |
| View Valuation 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 Event Request Summary | | | ✓ | ✓ |
| View Valuation Request Summary | | ✓ | ✓ | ✓ |
| View Valuation 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 | ✓ | | ✓ | |
| View Report Schedule | ✓ | ✓ | ✓ | |

| Function Name | Print Preview | Save to File | Refresh | Back |
|--|---------------|--------------|---------|------|
| 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 Appointed Agents |
| | | | View Client Participants |
| | | | View Originating Party |
| | | | View Reporting For |
| Maintain Participant Details | | View Participant Details | Print Preview |
| | | | Refresh |
| | | | Amend |
| | | | View Service Subscription |
| | | | View Reporting Obligation |
| | | | View Appointed Agents |
| | | | View Client Participants |
| | | | View Originating Party |
| | | | View Reporting For |

| Action Right Description | Associated Data Scope | Function Name | Action |
|------------------------------|-----------------------|------------------------------|-------------------------------|
| | | Maintain Participant Details | Back |
| | | | Add DN (SWIFTNet FileAct DN) |
| | | | Apply |
| | | | Reset |
| | | | View Service Subscription |
| | | | View Reporting Obligation |
| | | | View Appointed Agents |
| | | | View Client Participants |
| | | | View Reporting For |
| | | | View Originating Party |
| 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 Notification Details |
| View Report List (Admin) | | View Report List | Print Preview |
| | | | Refresh |
| | | | Search |
| | | | Reset |
| | | View Report Schedule | View Report List |
| View Report (Admin) | | View Report List | Print Preview |
| | | | Refresh |
| | | | Search |
| | | | Reset |
| | | | Zip for Download |
| | | | View Report |
| Maintain Report List (Admin) | | View Report List | Print Preview |
| | | | Refresh |
| | | | Search |
| | | | Reset |
| | | | Re-deliver |
| View Report Schedule (Admin) | | View Participant Details | View/Maintain Report Schedule |

| Action Right Description | Associated Data Scope | Function Name | Action |
|----------------------------------|-----------------------|--------------------------|-------------------------------|
| | | View 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 |
| | | | 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 |

| Action Right Description | Associated Data Scope | Function Name | Action |
|--------------------------|-----------------------|--------------------------|-------------------|
| | | | 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 |
| | | | 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 |

| Action Right Description | Associated Data Scope | Function Name | Action |
|----------------------------|-----------------------|---------------------------|----------------------|
| 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 |
| | | | Print Details |
| Maintain User Status | | View User Account | Print Preview |
| | | | Refresh |
| | | | Enable |
| | | | Disable |
| | | View User List | Print Preview |
| | | | Save to File |
| | | | Refresh |
| | | | Search |
| | | | Reset |
| | | | Enable |
| | | | Disable |
| View Role Allocation List | | View Role Details | Print Preview |
| | | | Refresh |
| | | | 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 |

| Action Right Description | Associated Data Scope | Function Name | Action |
|---------------------------------|--|-------------------------------|-----------------------|
| Approve Report Schedule (Admin) | Authorized Update Type for Approve or Reject Action: <ul style="list-style-type: none"> Change Report Schedule | Change User Password | Apply |
| | | | Reset |
| | | 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 | Authorized Update Type for Approve or Reject Action: <ul style="list-style-type: none"> Change Participant Details | View Participant Details | Print Preview |
| | | | Refresh |
| | | | Approve |
| | | | Reject |
| | | | View Change Log |
| | | Approve Parameter Maintenance | Print Preview |
| | | | Save to File |
| | | | Refresh |
| | | | Approve |
| | | | Reject |
| | | | View Approval Request |
| Approve User Account | Authorized Update Type for Approve or Reject Action: <ul style="list-style-type: none"> 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 | Authorised Update | Approve Parameter | Print Preview |

| Action Right Description | Associated Data Scope | Function Name | Action |
|--------------------------|--|-------------------------------|-----------------------|
| Status | Type for Approve or Reject Action: <ul style="list-style-type: none"> • Enable User • Disable User | Maintenance | Save To File |
| | | | Refresh |
| | | | Approve |
| | | | Reject |
| Approve Role | Authorised Update Type for Approve or Reject Action: <ul style="list-style-type: none"> • 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 |
| | | | |
| | | View Event Log | Search |
| | | | Reset |
| | | | Print Preview |
| | | | 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 (Reporting) | | Upload Trade Event Request (Reporting) | Upload |
| | | | Reset |
| | | View Upload Trade Event Request Response (Reporting) | Back |
| | | Find Trade Event Request (Reporting) | Reset |
| | | | Search |
| | | View Trade Event Request List (Reporting) | Back |
| | | | Capture Report |
| | | | Refresh |
| | | | Response File |
| View Trade Event Request (Reporting) | | Find Trade Event Request (Reporting) | Reset |
| | | | Search |
| | | View Trade Event Request 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 |
| View Valuation Request File Capture | | Find Valuation Request File Capture (Reporting) | Reset |
| | | | Search |
| | | View Valuation Request File Capture List (Reporting) | Back |
| | | | Capture Report |
| | | | Refresh |
| View Trade (Reporting) | | Find Trade (Reporting) | Response File |
| | | | |
| | | | |
| | | | Next |

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

| Action Right Description | Associated Data Scope | Function Name | Action |
|--------------------------------------|-----------------------|--|-----------------------------|
| 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 |
| | | View Alleged Trade Event Details (Reporting) | Trade Details |
| | | | 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 | Valuation Request |

| Action Right Description | Associated Data Scope | Function Name | Action |
|--|--|--|------------------|
| | | Details | Trade Details |
| | | | Save to File |
| | | | Refresh |
| | | View Valuation Request | - |
| | | View Trade Details (Reporting) | Save to File |
| | | | Refresh |
| Create Party ID Change Request | | Create Party ID Change Request | Create |
| | | | Reset |
| | | View Party ID Change Request Response | - |
| Maintain Party ID Change Request List | | Maintain Party ID Change Request List | Delete |
| | | | Refresh |
| | | View Party ID Change Request Response | - |
| Approve Party ID Change Request – Create Party ID Change | Authorised Update Type for Approve or Reject Action: <ul style="list-style-type: none">Create Party ID Change | Approve Party ID Change Request Summary | Approve |
| | | | Reject |
| | | | Refresh |
| | | View Party ID Change Request Approval Response | - |
| Approve Party ID Change Request – Delete Party ID Change | Authorised Update Type for Approve or Reject Action: <ul style="list-style-type: none">Delete Party ID Change | Approve Party ID Change Request Summary | Approve |
| | | | Reject |
| | | | Refresh |
| | | View Party ID Change Request Approval Response | - |
| View Report List (Reporting) | | View Report List | Print Preview |
| | | | Refresh |
| | | | Search |
| | | | 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 |

| Action Right Description | Associated Data Scope | Function Name | Action |
|--------------------------------------|---|-------------------------------|-------------------------------|
| View Report Schedule (Reporting) | | View Participant Details | View/Maintain Report Schedule |
| | | View Report Schedule | Print Preview |
| | | | Save To File |
| | | | Refresh |
| | | | Search |
| | | | Reset |
| | | | View/Maintain Report Schedule |
| Maintain Report Schedule (Reporting) | | View Report Schedule | Print Preview |
| | | | Save To File |
| | | | Refresh |
| | | | Search |
| | | | Reset |
| | | | View/Maintain Report Schedule |
| | | Maintain Report Schedule | Apply |
| Approve Report Schedule (Reporting) | Authorized Update Type for Approve or Reject Action: <ul style="list-style-type: none"> 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 |
| View Coding Scheme | | Select Coding Scheme | Next |
| | | View Code Summary | Refresh |

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 | <ul style="list-style-type: none"> View Participant Details Maintain Participant Details |
| 2. Participant List Enquiry | <ul style="list-style-type: none"> View Participant List |
| 3. Operations Information | <ul style="list-style-type: none"> View Notification Details |
| 4. Reports | <ul style="list-style-type: none"> View Report (Admin) View Report List (Admin) Maintain Report List (Admin) View Report Schedule (Admin) Maintain Report Schedule (Admin) |
| 5. User | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Add Role View Role Maintain Role |
| 7. Parameter Maintenance Approval | <ul style="list-style-type: none"> Approve Report Schedule (Admin) Approve Participant Maintenance Approve User Account Approve User Status Approve Role |
| 8. Event | <ul style="list-style-type: none"> 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 (Reporting) | <ul style="list-style-type: none"> • Upload Trade Event Request (Reporting) • View Trade Event Request (Reporting) |
| 2. Trade and Trade Event Enquiry (Reporting) | <ul style="list-style-type: none"> • View Trade (Reporting) • View Trade Event (Reporting) • View Alleged Trade Event (Reporting) |
| 3. Party ID Change Request | <ul style="list-style-type: none"> • Create Party ID Change Request • Maintain Party ID Change Request List |
| 4. Party ID Change Request Approval | <ul style="list-style-type: none"> • Approve Party ID Change Request – Create Party ID Change • Approve Party ID Change Request – Delete Party ID Change |
| 5. Reports | <ul style="list-style-type: none"> • View Report (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting) • View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) |
| 6. Parameter Maintenance Approval | <ul style="list-style-type: none"> • Approve Report Schedule (Reporting) |
| 7. Coding Scheme Enquiry | <ul style="list-style-type: none"> • View 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 | <ul style="list-style-type: none"> • View Participant Details • Maintain Participant Details |
| 2. Participant Maintenance Approval | <ul style="list-style-type: none"> • View Participant Details • Approve Participant Maintenance |
| 3. Participant List Enquiry | <ul style="list-style-type: none"> • View Participant List |
| 4. Report Enquiry | <ul style="list-style-type: none"> • View Report List (Admin) • View Report (Admin) • View Report Schedule (Admin) |
| 5. Report Delivery Maintenance | <ul style="list-style-type: none"> • View Report Schedule (Admin) • Maintain Report Schedule (Admin) • View Report List (Admin) • Maintain Report List (Admin) |
| 6. Report Delivery Approval | <ul style="list-style-type: none"> • View Report Schedule (Admin) • Approve Report Schedule (Admin) |
| 7. User Maintenance | <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> • View Event Log • View Event Details |
| 10. Notification Enquiry | <ul style="list-style-type: none"> • View Notification Details |

B.3.2 Trade Functions (Reporting Service)

| Pre-defined Roles | Action Rights |
|--|--|
| 1. Trade Capture (Reporting) | <ul style="list-style-type: none"> • Upload Trade Event Request (Reporting) • View Trade Event Request (Reporting) |
| 2. Trade and Trade Event Enquiry (Reporting) | <ul style="list-style-type: none"> • View Trade (Reporting) • View Trade Event (Reporting) • View Alleged Trade Event (Reporting) |
| 3. Party ID Change Request | <ul style="list-style-type: none"> • Create Party ID Change Request • Maintain Party ID Change Request List |
| 4. Party ID Change Request Approval | <ul style="list-style-type: none"> • Approve Party ID Change Request – Create Party ID Change • Approve Party ID Change Request – Delete Party ID Change |
| 5. Report Enquiry (Reporting) | <ul style="list-style-type: none"> • View Report List (Reporting) • View Report (Reporting) • View Report Schedule (Reporting) |
| 6. Report Delivery Maintenance (Reporting) | <ul style="list-style-type: none"> • View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting) |
| 7. Report Delivery Approval (Reporting) | <ul style="list-style-type: none"> • View Report Schedule (Reporting) • Approve Report Schedule (Reporting) |
| 8. Report Enquiry (Reporting) Exclude CTRD2603/2604 | <ul style="list-style-type: none"> • View Report List (Reporting) • View Report (Reporting) • View Report Schedule (Reporting) |
| 9. Report Delivery Maintenance (Reporting) Exclude CTRD2603/2604 | <ul style="list-style-type: none"> • View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting) |
| 10. Report Delivery Approval (Reporting) Exclude CTRD2603/2604 | <ul style="list-style-type: none"> • View Report Schedule (Reporting) • Approve Report Schedule (Reporting) |
| 11. Report Enquiry (Reporting) for CTRD2603 | <ul style="list-style-type: none"> • View Report List (Reporting) • View Report (Reporting) • View Report Schedule (Reporting) |
| 12. Report Delivery Maintenance (Reporting) for CTRD2603 | <ul style="list-style-type: none"> • View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) • View Report List (Reporting) • Maintain Report List (Reporting) |
| 13. Report Delivery Approval (Reporting) for CTRD2603 | <ul style="list-style-type: none"> • View Report Schedule (Reporting) • Approve Report Schedule (Reporting) |
| 14. Report Enquiry (Reporting) for CTRD2604 | <ul style="list-style-type: none"> • View Report List (Reporting) • View Report (Reporting) • View Report Schedule (Reporting) |
| 15. Report Delivery Maintenance (Reporting) for CTRD2604 | <ul style="list-style-type: none"> • View Report Schedule (Reporting) • Maintain Report Schedule (Reporting) • View Report List (Reporting) |

| Pre-defined Roles | Action Rights |
|---|---|
| | <ul style="list-style-type: none"> • Maintain Report List (Reporting) |
| 16. Report Delivery Approval (Reporting) for CTRD2604 | <ul style="list-style-type: none"> • View Report Schedule (Reporting) • Approve Report Schedule (Reporting) |
| 17. Report Enquiry on Obsolete Reports (Reporting) | <ul style="list-style-type: none"> • View Report List (Reporting) • View Report (Reporting) |
| 18. Trade Attachment Maintenance | <ul style="list-style-type: none"> • View Trade (Reporting) • Maintain Trade Attachment |
| 19. Valuation Capture | <ul style="list-style-type: none"> • Upload Valuation Request File • View Valuation Request File Capture |
| 20. Valuation Request Enquiry | <ul style="list-style-type: none"> • View Valuation Request |
| 21. Coding Scheme Enquiry | <ul style="list-style-type: none"> • View Coding Scheme |

NOTE:

Once the system predefined user roles 5 (Report Enquiry), 6 (Report Delivery Maintenance) and 7 (Report Delivery Approval) are granted, TR Participant can view and download all system reports (except CTRD5999) mentioned in Appendices D.1.2.2 and D.1.2.3 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 |

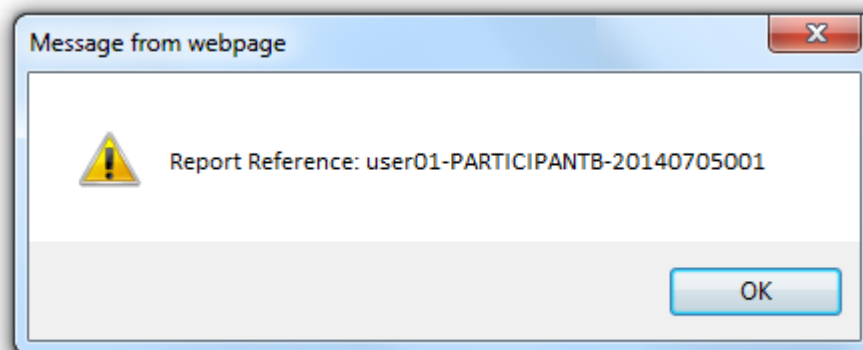
C.1.3 User Requested Reports

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 : XXXXXXXXXXXX

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: XXXXXXXXXXXXXXXX

User Activity Statistics Report

Function Usage =====

| 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 | | | | |
| ===== | | | | |
| | Browse | FTS | FileAct | Total |

| Report ID | Report Name | Count | Size (KB) | Count | Size (KB) | Count | Size (KB) | Count | Size (KB) |
|--|------------------------|-------------|--------------|-------------|--------------|-------------|--------------|-------------|--------------|
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| | : | | | | | | | | |
| | : | | | | | | | | |
| | : | | | | | | | | |
| <<List of Trade Reports>> | | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 | Z, ZZZ, ZZ9 | ZZ, ZZZ, ZZ9 |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| XXXXXXXXXXXXXXXXXXXXXX | XXXXXXXXXXXXXXXXXXXXXX | | | | | | | | |
| | : | | | | | | | | |
| | : | | | | | | | | |
| | : | | | | | | | | |
| <<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: <ul style="list-style-type: none"> • 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 |

| | Field Name | Description & Possible Values |
|----|------------|--|
| | | Blank will be generated if it is not defined |
| 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: | XXXXXXXXXXXXXX | | | |

User List Details

General Information

| | |
|-----------------------------------|---|
| Participant | : XXXXXXXXXXXXXXXX - XX |
| User ID | : XXXXXXXXXXX |
| User Name | : XX |
| 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 | XXXXXXXXXXXXXXXXXXXXXXXXXXXXX | YYYY-MM-DD HH:MM:SS |

SSL Client Certificate DN : XX
XXX
XXX
XXX
XXX

Service Subscription

Service

XXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXX

User Preference

```
-----
Default Service                : XXXXXXXXXXXXXXXXXXXX

Administration Role List
-----
Role Name                      Description                      System Pre-defined User Role
-----
XXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X

Trade Role List (Reporting)
-----
Role Name                      Description                      System Pre-defined User Role
-----
XXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X
XXXXXXXXXXXXXXXXXXXX          XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX          X

Pending Approval Update Type : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

*** 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 | <ul style="list-style-type: none"> View User List View User Account | View User Account |
| Enable User | User ID - User Name | <ul style="list-style-type: none"> View User List View User Account | - |
| Disable User | User ID - User Name | <ul style="list-style-type: none"> View User List View User Account | - |
| Change User Password | User ID - User Name | <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • Change Report Schedule • Change Participant Details • Create User • Change User Details • Enable User • Disable User Delete User • Create Role • Change Role Details | Information |

| Event Group | Event Type | Event Description | Remark | Severity |
|--------------------|------------|---|---|-------------|
| | | | <ul style="list-style-type: none"> Delete Role Create Party ID Change Delete Party ID Change Change User Password | |
| | BS0004 | <i>[Update Type]</i> for <i>[Identifier]</i> approved by <i>[User ID]</i> | Applicable to all update types. | Information |
| | BS0006 | <i>[Update Type]</i> for <i>[Identifier]</i> updated by <i>[User ID]</i> | Applicable to all update types. | Information |
| | BS0007 | <i>[Update Type]</i> for <i>[Identifier]</i> rejected by <i>[User ID]</i> | Applicable to all update types. | Information |
| Security | BS0016 | User <i>[User ID]</i> forced logout by system. Reason: <i>[Reason]</i> | | Warning |
| | BS0017 | User <i>[User ID]</i> disabled by system. Reason: <i>[Reason]</i> | | Warning |
| | BS0018 | User <i>[User ID]</i> login failed. Reason: <i>[Reason]</i> | | Warning |
| | BS0025 | User <i>[User ID]</i> login successfully. | | Information |
| | BS0026 | User <i>[User ID]</i> logout successfully. | | Information |
| Business Exception | BS0052 | Counterparty cannot be the same as Reporting For during upgrading TR entity. (TR Trade ref: <i>[Trade Ref.]</i>) | | Critical |

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