

A.1 Add User Account

A.1.1 Function Description

This function allows the creation of a new user.

A.1.2 Initiation and Parameters

This function is initiated from:

- The Application Menu;
- The View User Account function;

A.1.3 Screen Fields

A.1.3.1 Common Fields

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|---|-----|-----|--------------------|---|---------------|--|
| Expanding/Collapsing Field Groups : General Information | | | | | | |
| Participant [Participant ID Participant Full Name] | O | | Text area | | | It shows the participant name. |
| User ID | I | M | Text box | | | Must be unique within the Participant |
| User Name | I | M | Text box | | | |
| User Access Method | I/O | M | Drop-down list box | Both SWIFTNet and Internet SWIFTNet Internet | | Display for Participant User |
| Section: SWIFT User Details. | | | | | | |
| SWIFT User Details List (repeated for each SWIFT DN configured in the TR for the user) | | | | | | |
| Delete | I | O | Check box | | | Allows selection of multiple DNs for deletion. |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|-----|-----|--------------------|-----------------|---------------|---|
| SWIFT User DN [SWIFT DN] | I/O | O | Text area | | | This field is mandatory if “SWIFTNet” access method is allocated to the user. This field cannot be added if only “Internet” access method is allocated to the user. |
| Section: Internet User Details | | | | | | |
| SSL Client Certificate DN | I | O | Text box | | | This field is mandatory if “Internet” access method is allocated to the user. This field cannot be added if only “SWIFTNet” or “Intranet” access method is allocated to the user. The input is in Base-64 encoded X.509 format. |
| Section: Service Subscription Only the services subscribed by the Participant will be listed for Participant user. | | | | | | |
| Allocate | I | M | Check-box | | | At least one service should be selected. |
| Service | O | | Text area | | | |
| Section: User Preference Only the services subscribed by the Participant will be listed for Participant user | | | | | | |
| Default Service | I | M | Drop-down list box | | | This is used to launch the default application menu after user successfully logon. |
| Section: Initial User Password | | | | | | |
| Initial Password [Password] | I | M | Text box | | | Not shown in clear text. |
| Confirm Password [Password] | I | M | Text box | | | Not shown in clear text. |
| Section: Administration Role List | | | | | | |
| Allocate | I | O | Check-box | | | |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|-----|-----|-----------|-----------------|---------------|---|
| Role Name | O | | Text area | | | This shows a list of administration roles available to the user (either for system and Participant level). Multiple roles can be selected. |
| Description [Role Description] | O | | Text area | | | |
| System Pre-defined User Role | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |
| Section: Trade Role List (Confirmation) | | | | | | |
| Allocate | I | O | Check-box | | | At least one role must be selected for the user if "Confirmation" is selected in Service List. |
| Role Name | O | | Text area | | | This shows a list of confirmation trade roles available to the user. (either system or Participant level) Multiple roles can be selected. |
| Description [Role Description] | O | | Text area | | | |
| System Pre-defined User Role | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |
| Section: Trade Role List (Reporting) | | | | | | |
| Allocate | I | O | Check-box | | | At least one role must be selected for the user if "Reporting" is selected in Service List. |
| Role Name | O | | Text area | | | This shows a list of reporting trade roles available to the user. (either system or Participant level) |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|-----------------------------------|-----|-----|-----------|-----------------|---------------|---|
| | | | | | | Multiple roles can be selected. |
| Description [Role Description] | O | | Text area | | | |
| System Pre-defined User Role | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |

When the function is initiated from the application menu, no predefined values are displayed.

If the function is initiated from the View User Account function, the fields Access Method are pre-populated.

When this function is initiated by invoking the 'Create-Like' action from View User Account, the participant field is pre-defined and other user details are pre-populated where these might be expected to be the same as the selected template user.

The User ID is unique within a Participant. This includes users that have been created but not yet approved or users who are marked as deleted. The user's name need not be unique within the Participant.

The entered New Password and Confirm New Password field must be the same. The password must be valid. The new user is expected to change the password on first logon to the system.

At least one role of Administration Function, Confirmation Trade Function or Reporting Trade Function must be assigned to the user.

A.1.4 Sample Screen

A.1.4.1 General Information

The screenshot shows a web form titled "General Information" with a close button in the top right corner. The form is divided into several sections:

- General Information**
 - Participant:** TEST0001 - TEST0001 Full Name Amend
 - User ID:** [Yellow input field]
 - User Name:** [Yellow input field]
 - User Access Method:** Both SWIFTNet and Internet [Dropdown menu]
- Internet User Details**
 - SSL Client Certificate DN** [Empty text area]
- Service Subscription**

| | Service |
|--------------------------|----------------------|
| <input type="checkbox"/> | |
| <input type="checkbox"/> | Confirmation Service |
| <input type="checkbox"/> | Reporting Service |
- User Preference**
 - Default Service:** Confirmation Service [Dropdown menu]
- Initial User Password**
 - Initial Password:** [Yellow input field]
 - Confirm Password:** [Yellow input field]

A.1.4.2 Roles Allocation

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

| Trade Role List (Confirmation) | | | |
|-------------------------------------|--|---|------------------------------|
| <input checked="" type="checkbox"/> | Role Name | Description | System Pre-defined User Role |
| <input checked="" type="checkbox"/> | <u>Alleged Event Affirmation (Confirmation)</u> | Alleged Event Affirmation (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Alleged Event Affirmation Approval (Confirmation)</u> | Alleged Event Affirmation Approval (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Approval Enquiry (Confirmation)</u> | Approval Enquiry (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Event Cancellation (Confirmation)</u> | Event Cancellation (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Event Cancellation Approval (Confirmation)</u> | Event Cancellation Approval (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Report Delivery Approval (Confirmation)</u> | Report Delivery Approval (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Report Delivery Maintenance (Confirmation)</u> | Report Delivery Maintenance (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Report Enquiry (Confirmation)</u> | Report Enquiry (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Trade and Trade Event Enquiry (Confirmation)</u> | Trade and Trade Event Enquiry (Confirmation) | Y |
| <input checked="" type="checkbox"/> | <u>Trade Capture (Confirmation)</u> | Trade Capture (Confirmation) | Y |

| Trade Role List (Reporting) | | | |
|-------------------------------------|--|---|------------------------------|
| <input checked="" type="checkbox"/> | Role Name | Description | System Pre-defined User Role |
| <input checked="" type="checkbox"/> | <u>Party ID Change Request</u> | Party ID Change Request | Y |
| <input checked="" type="checkbox"/> | <u>Party ID Change Request Approval</u> | Party ID Change Request Approval | Y |
| <input checked="" type="checkbox"/> | <u>Report Delivery Approval (Reporting)</u> | Report Delivery Approval (Reporting) | Y |
| <input checked="" type="checkbox"/> | <u>Report Delivery Maintenance (Reporting)</u> | Report Delivery Maintenance (Reporting) | Y |
| <input checked="" type="checkbox"/> | <u>Report Enquiry (Reporting)</u> | Report Enquiry (Reporting) | Y |
| <input checked="" type="checkbox"/> | <u>Trade and Trade Event Enquiry (Reporting)</u> | Trade and Trade Event Enquiry (Reporting) | Y |
| <input checked="" type="checkbox"/> | <u>Trade Capture (Reporting)</u> | Trade Capture (Reporting) | Y |

A.1.5 Processing

~~A.1.5.1 Action – Add DN~~

~~This action initiates the Add SWIFT User Distinguished Name function. On addition of the Distinguished Name, the screen is refreshed to display the updated list of Distinguished Names.~~

A.1.5.2 Action - Apply

This action requires user confirmation.

The entered values are validated. The user is notified of the result of validation.

The user details are created, with the user marked as enabled. The user's details may require approval (dependent on the configuration at the participant level) from another user before they take effect.

A.1.5.3 Action – Reset

Any fields with entered values are reset to the values displayed on entry to the function (including the values from the View User Account function).

A.1.5.4 Action – View Role

This action (implemented as a hyperlink on the field Role Name) initiates the View Role function for the selected role.

A.2 View User Account

A.2.1 Function Description

This function shows the details associated with a selected user.

A.2.2 Initiation and Parameters

This function is initiated from:

- The Application Menu;
- The View User List function;
- The View Role Allocation List function;
- The Approve Parameter Maintenance.

When initiated from Approve Parameter Maintenance, the update details are shown and the field level changes can be viewed by using “View Change Log” action.

When the function is initiated from the main menu, the user own details are displayed. When initiated from View User List or View Role Allocation List functions, the user is pre-selected.

A.2.3 Screen Fields

A.2.3.1 Common Fields

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|------------|------------|-----------|------------------------|----------------------|---|
| Expanding/Collapsing Field Groups : General Information | | | | | | |
| Participant [Participant ID Participant Name] | O | | Text area | | | It shows the participant name of the user being viewed. |
| User ID | O | | Text area | | | |
| User Name | O | | Text area | | | |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|---|-----|-----|-----------|--|---------------|--|
| Enabled | O | | Text area | Y N | | If set to 'Y', indicates that the user is Enabled If set to 'N', indicates that the user is Disabled. |
| User Access Method | O | | Text area | Both SWIFTNet and Internet SWIFTNet Internet | | Display for Participant User |
| Last Successful Login Date/Time [Last Login Date/Time] | O | | Text area | | | |
| Last Unsuccessful Login Attempt Date/Time | O | | Text area | | | This field shows the date/time of last unsuccessful login. |
| Section: SWIFT User Details (repeated for each SWIFT User DN configured in the TR for the user) | | | | | | |
| SWIFT User DN [SWIFT DN] | O | | Text area | | | The Allocated SWIFT DN for the user. |
| Section: SWIFT User Account Association | | | | | | |
| SWIFT User Name [SWIFT User Name] | O | | Text area | | | 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 [SWIFT User DN] | O | | Text area | | | The Allocated SWIFT DN for the user. |
| Last Associate Date/Time [Last Associate Date/Time] | O | | Text area | | | The timestamp at which the user successfully established the SWIFT User Account Association. |
| Section: Internet User Details (This section is not applicable for users with access method of SWIFTNet only) | | | | | | |
| SSL Client Certificate DN | O | | Text area | | | Applicable for internet access method. |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|-----|-----|-----------|-----------------|---------------|---|
| | | | | | | The resolved DN is displayed instead of Base-64 encoded X.509 format. |
| Section: Service Subscription | | | | | | |
| Service | O | | Text area | | | The service(s) allocated to the user. |
| Section: User Preference | | | | | | |
| Default Service | O | | Text area | | | |
| Section: Administration Role List | | | | | | |
| Role Name | O | | Text area | | | This shows a list of administration roles allocated to the user (either for system and Participant level). |
| Description [Role Description] | O | | Text area | | | |
| System Pre-defined User Role | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |
| Section: Trade Role List (Confirmation) | | | | | | |
| Role Name | O | | Text area | | | This shows a list of confirmation roles available to the user (either for system and Participant level). Multiple roles can be selected |
| Description [Role Description] | O | | Text area | | | |
| System Pre-defined User Role | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |
| Section: Trade Role List (Reporting) | | | | | | |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|-----|-----|-----------|--|---------------|--|
| Role Name | O | | Text area | | | This shows a list of reporting roles available to the user (either for system and Participant level). Multiple roles can be selected |
| Description [Role Description] | O | | Text area | | | |
| System Pre-defined User Role | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |
| Section: Approval Status | | | | | | |
| Pending Approval Update Type [Update Type Name] | O | | Text area | Create User Change User Details Delete User Enable User Disable User Change User Password | | The name of the update type pending approval. Applicable only if there is an amendment that is pending approval, blank will be displayed otherwise. |

If the Pending Approval Update Type belongs to the types “Delete User”, “Enable User” and “Disable User”, the View Change Log” and Amend actions are not available.

The Pending Approval Update Type of ‘Create User’ is not applicable when the function is initiated from functions other than Approve Parameter Maintenance.

A.2.4 Sample Screen

A.2.4.1 General Information

General Information

Participant:

TEST0001 - TEST0001 Full Name Amend

User ID:

user01

User Name:

User01

Enabled:

Y

User Access Method:

Both SWIFTNet and Internet

Last Successful Login Date/Time:

2018-10-29 15:05:34

Last Unsuccessful Login Attempt Date/Time:

2018-10-29 15:01:13

| SWIFT User Name | SWIFT User DN | Last Associate Date/Time |
|-----------------|------------------------------|--------------------------|
| SWIFTUser01 | cn=u223554,o=hkicbkh,o=swift | 2018-08-20 09:45:20 |

Internet User Details

SSL Client Certificate DN

EMAILADDRESS=uatcls@hkicd.com.hk, CN=uatcls@hkicd.com.hk, O=Hong Kong Interbank Clearing Limited, L=Kwun Tong Kowloon, C=HK

Service Subscription

| Service |
|----------------------|
| Confirmation Service |
| Reporting Service |

User Preference

Default Service: Reporting Service

A.2.4.2 Roles Allocation

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

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

A.2.5 Processing

A.2.5.1 Action – Amend

This action initiates the Maintain User Account function. The application does not allow users to maintain their own details. Not all details of the default participant administrators can be changed.

A.2.5.2 Action – Create Like

The Create Like action allows the creation of a new user based on the selected user. The Add User Account function is initiated. This action is not available if the function is initiated from the Approve Parameter Maintenance function.

A.2.5.3 Action – Enable

This action allows enabling a user if already disabled. This action is available for authorised users only. Users will not be able to change their own status. This action is not available if the function is initiated from the Approve Parameter Maintenance function. The changes may require approval if configured.

A.2.5.4 Action – Disable

This action allows disabling a user if already enabled. This action is available for authorised users only. Users will not be able to change their own status. The user is marked as disabled and is forcibly logged out if currently logged in. This action is not available if the function is initiated from the Approve Parameter Maintenance function. The changes may require approval if configured.

A.2.5.5 Action – Delete

This action allows the deletion of a user from the system. The action is only available if the user is logged out, is not already deleted and no pending approval request on user related update type is associated with the selected user. All the unapproved requests initiated by this user will be retained in the system. This action is not available if the function is initiated from the Approve Parameter Maintenance function.

A.2.5.6 Action – Change Password

This action initiates the Change User Password function. This can be used only to change the password of other users. This action is not available if the function is initiated from the Approve Parameter Maintenance function. The changes may require approval if configured.

A.2.5.7 Action – View Role

This action (implemented as a hyperlink on the field Role Name) initiates the View Role function for the selected Role. This action is not available if the function is initiated from the Approve Parameter Maintenance function.

A.2.5.8 Action – Approve

This action is available only when this function is initiated from the Approve Parameter Maintenance function.

The user is required to confirm the approval action.

The approval is rejected if the approver happens to be,

- The same user who initially maintained the details and no subsequent amendments to the details have been affected;
- The same user who last amended the details.

If the approval is rejected, the user is notified. The focus remains on the same screen.

If the update was already approved or rejected, the user is informed suitably.

The successful update is informed to the user.

A.2.5.9 Action – Reject

This action is available only when this function is initiated from the Approve Parameter Maintenance function.

This action allows the user to discard the changes made to the user's details.

The user is required to confirm the action.

A.2.5.10 Action – View Change Log

If initiated from the Approve Parameter Maintenance function, the new details of the updated item are displayed and the field level changes can be viewed.

A.3 Maintain User Account

A.3.1 Function Description

This function allows the modification of details of a selected user

A.3.2 Initiation and Parameters

- This function is initiated from the View User Account function.
- If there is an update pending approval, the modified details are displayed for amendment.

A.3.3 Screen Fields

A.3.3.1 Common Screen Fields

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|-----|-----|--------------------|--|---------------|--|
| Expanding/Collapsing Field Groups : General Information | | | | | | |
| Participant [Participant ID Participant Name] | O | | Text area | | | It shows the participant name of user being maintained. |
| User ID | O | | Text area | | | |
| User Name | I/O | M | Text box | | | |
| User Access Method | I/O | M | Drop-down list box | Both SWIFTNet and Internet SWIFTNet Internet | | Display for Participant User Details. Only one valid value can be selected. Changing the user access method from internet to SWIFTNet and vice-versa is not possible if the user is currently logged into the TR using the access method which is being revoked. |
| Enabled | O | | Text area | Y N | | If set to 'Y', indicates that the user is Enabled If set to 'N', indicates that the user is Disabled. |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|-----|-----|-----------|-----------------|---------------|--|
| Section: SWIFT User Details | | | | | | |
| SWIFT User DN List (repeated for each SWIFT User DN configured in the TR for the user) | | | | | | |
| Delete | I | O | Check box | | | Allows selection of multiple DNs for deletion. This field is not available if user access internet only. |
| SWIFT User DN [SWIFT DN] | I/O | O | Text area | | | The Allocated SWIFT DN for the user. This field is mandatory if “SWIFTNet” access method is allocated to the user. This field cannot be added if only “Internet” access method is allocated to the user. |
| Section: SWIFT User Account Association | | | | | | |
| Delete | I | O | Check-box | | | Deletion is mandatory if access method is changed to “Internet” only. |
| SWIFT User Name [SWIFT User Name] | O | | Text area | | | 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 [SWIFT User DN] | O | | Text area | | | The Allocated SWIFT DN for the user. |
| Last Associate Date/Time [Last Associate Date/Time] | O | | Text area | | | The timestamp at which the user successfully established the SWIFT User Account Association. |
| Section: Internet User Details | | | | | | |
| SSL Client Certificate DN | I/O | O | Text area | | | This field is mandatory if “Internet” or “Both SWIFTNet and Internet” access method is allocated to the user. This field cannot be added if only “SWIFTNet” access method is allocated to the user. |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|-----|-----|--------------------|-----------------|---------------|---|
| | | | | | | The input is in Base-64 encoded X.509 format. |
| Section: Service Subscription Only the services subscribed by the Participant will be listed for Participant user | | | | | | |
| Allocate | I/O | M | Check-box | | | At least one service should be selected. |
| Service | O | | Text area | | | |
| Section: User Preference Only the services subscribed by the Participant will be listed for Participant user | | | | | | |
| Default Service | I/O | M | Drop-down list box | | | This is used to launch the default application menu after user successfully logon. |
| Section: Administration Role List (Repeated for each available system pre-defined user role and participant specific roles). | | | | | | |
| Allocated | I/O | O | Check-box | | | This shows a list of administration roles allocated to the user (either for system and Participant level). Multiple roles can be selected. |
| Role Name | O | | Text area | | | |
| Description [Role Description] | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |
| System Pre-defined User Role | O | | Text area | | | |
| Section: Trade Role List (Confirmation) (Repeated for each available system pre-defined user role and participant specific roles). | | | | | | |
| Allocated | I/O | O | Check-box | | | At least one role must be selected for the user if "Confirmation" is selected in Service List. |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|---|-----|-----|-----------|--|---------------|---|
| Role Name | O | | Text area | | | This shows a list of confirmation roles allocated to the user (either for system or Participant level). Multiple roles can be selected. |
| Description [Role Description] | O | | Text area | | | |
| System Pre-defined User Role | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |
| Section: Trade Role List (Reporting) (Repeated for each available system pre-defined user role and participant specific roles). | | | | | | |
| Allocated | I/O | O | Check-box | | | At least one role must be selected for the user if "Reporting" is selected in Service List. |
| Role Name | O | | Text area | | | This shows a list of reporting roles allocated to the user (either for system or Participant level). Multiple roles can be selected. |
| Description [Role Description] | O | | Text area | | | |
| System Pre-defined User Role | O | | Text area | Y N | | If set to 'Y', indicates that the role is a system pre-defined user roles. If set to 'N', indicates that the role is a participant level role. |
| Section: Approval Status | | | | | | |
| Pending Approval Update Type [Update Type Name] | O | | Text area | Create User Change User Details Delete User Enable User | | The name of the update type pending approval. |

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|---------------------------|-----|-----|----|--------------------------------------|---------------|---|
| | | | | Disable User Change User Password | | Applicable only if there is an amendment that is pending approval, blank will be displayed otherwise. |

Not all details of the default participant administrators can be changed.

The details of a disabled user can be maintained.

The roles available for allocation to the user can be modified. This is a list of all roles available at the system and Participant level for each visible application type available to the user.

A.3.4 Sample Screen

A.3.4.1 General Information

General Information

Participant: TEST0001 - TEST0001 Full Name Amend

User ID: user01

User Name: User01

User Access Method: Both SWIFTNet and Internet

Enabled: Y

SWIFT User Account Association

| Delete | SWIFT User Name | SWIFT User DN | Last Associate Date/Time |
|--------------------------|-----------------|------------------------------|--------------------------|
| <input type="checkbox"/> | SWIFTUser01 | cn=u223554,o=hkicbkh,o=swift | 2018-08-20 09:45:20 |

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-----
MIIFeDCCBGCGAwIBAgIQ41qckIGF8VX76i4tcA/VDANBgkqhkiG9w0BAQsFADBI
MQawCQYDVQQGEwJVUzEVMBMGA1UEChMMRGRhbnVlcnQsSW5JMRkwFwYDVQQLExB3

Service Subscription

| | Service |
|-------------------------------------|----------------------|
| <input type="checkbox"/> | Confirmation Service |
| <input checked="" type="checkbox"/> | Reporting Service |

User Preference

Default Service: Reporting Service

A.3.4.2 Roles Allocation

| Administration Role List | | | |
|-------------------------------------|-------------------------------------|-------------------------------------|------------------------------|
| <input 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 |

| Trade Role List (Reporting) | | | |
|-------------------------------------|---|--|------------------------------|
| <input type="checkbox"/> | Role Name | Description | System Pre-defined User Role |
| <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 |

A.3.5 Processing

A.3.5.1 ~~Action Add DN~~

~~The action initiates the Add SWIFT User Distinguished Name function. On addition of the Distinguished Name, the screen is refreshed to display the updated list of Distinguished Names.~~

A.3.5.2 Action – Apply

This action requires user confirmation. **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.

The new details are validated.

The details may require approval from another user before they take effect.

A.3.5.3 Action – Reset

Any fields with entered values are reset to the original values displayed on entry to the function.

This action does not require user confirmation.

A.3.5.4 Action – View Role

This action (implemented as a hyperlink on the field Role Name) initiates the View Role function for the selected role.

A.4 View User List

A.4.1 Function Description

This function shows the list of users allocated to a Participant.

A.4.2 Initiation and Parameters

This function is initiated from:

- The Application Menu;
- The View Participant Details function;

If initiated from the application menu, the list of users displayed are those belonging to the user's participant.

If this function is initiated from the View Participant Details, the users allocated to that participant are shown.

The selection criteria are populated with any pre-selected fields (if any) and the selection criteria collapsing field group is collapsed on entry to the function.

A.4.3 Screen Fields

A.4.3.1 Selection Criteria

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|---|----------|----------|-----------------------------------|---|---------------|--|
| Expanding/Collapsing Field Group: Selection Criteria | | | | | | |
| Section: Users Selection | | | | | | |
| Participant [Participant ID Participant Name] | O | | Text area | | | It shows the participant name. |
| Service | I/O | M | Drop-down list box | All Confirmation Service Reporting Service | All | |
| User ID | I | O | Text box | | | Allows wildcard selection. |
| User Name | I | O | Text box | | | Allows wildcard selection. |
| SWIFT User Name | I | O | Text Box | | | Allows wildcard selection. |
| Expanding/Collapsing Field Group: Display Options | | | | | | |
| Records Per Page | I/O | M | Drop-down list box | | | Defaults to the system level parameter. Allows the user to select from the drop down list of values between the system defined maximum and minimum. |
| Available Fields [Sorting Order] | I/O | O | List box | User ID User Name SWIFT User Name Enabled Logged In Last Login Time | | This control allows the user to change the sorting order of the results. |
| Selected Fields [Sorting Order] | I/O | O | List box with Up and Down options | | | This control allows the user to change the sorting order of the response. |

A.4.3.2 User List

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|----------|-----|------------------|---|---------------|--|
| Section: User List (Repeated for all users within the selected Participant) | | | | | | |
| Select | I | O | Check-box | | | |
| User ID | O | | Text area | | | Hyperlink is provided to view the user details. |
| User Name | O | | Text area | | | |
| SWIFT User Name | O | | Text area | | | According to SWIFT, it is an optional field. Blank will be displayed if it is not found in the SWIFT user certificate. |
| Service | O | | Text area | Confirmation Service Reporting Service | | |
| Enabled | O | | Text area | Y N | | If set to 'Y', indicates that the user is Enabled If set to 'N', indicates that the user is Disabled. |
| Logged In | O | | Text area | Y N | | If set to 'Y' indicates that the user is Logged In If set to 'N', indicates that the user is Logged Out. |
| Last Login Time [Last Login Date/Time] | O | | Text area | | | Displays the Date and Time of the Last Login into the system. |
| Pending Approval Update Type [Update Type Name] | O | | Text area | Delete User Enable User Disable User Change User Details Change User Password | | The name of the update type pending approval. Applicable only if there is an amendment that is pending approval, blank will be displayed otherwise. |

The details of the default participant administrators are visible in the user list. Deleted users are not displayed in the list.

When the function is initiated, the results are displayed in the default sorting order (User ID, ~~and~~ User Name **and** SWIFT User Name). The user can change the sort order and refresh the results. The actions to fetch the “Next” and “Previous” pages will be supported since the result sets can be displayed across multiple pages.

A.4.4 Sample Screen

A.4.4.1 Selection Criteria

Selection Criteria

Participant: TEST0001 - TEST0001 Full Name Amend
Service: --All--
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
☐ Des
Add
Remove

Move Up
Move Down

A.4.4.2 User List

| 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"/> | user01 | User01 | User01 | Reporting Service | Y | Y | 2018-10-29 15:05:34 | |
| <input type="checkbox"/> | user02 | User02 | User02 | Reporting Service | Y | N | 2017-09-21 11:58:41 | |
| <input type="checkbox"/> | user03 | User03 | User03 | Confirmation Service | Y | N | 2018-10-29 15:04:07 | |
| <input type="checkbox"/> | user04 | User04 | User04 | Reporting Service | Y | N | 2018-12-20 14:26:43 | |
| Page 1 of 1 | | | | | | | | |

A.4.5 Processing

A.4.5.1 Action – Search

This action is available to allow the user to apply the selection criteria and sort based on set of pre-defined fields.

A.4.5.2 Action – Reset

Any fields with entered values are reset to the values displayed on entry to the function

A.4.5.3 Action – Delete

This action is for one or more selected users.

This action allows the user to delete the user from the system. The action is only available if the user is logged out, the user is not already deleted or no pending approval request on user related update type is associated with the selected user. All the unapproved requests and events of transaction/control transaction/parameter maintenance initiated by this user will be retained in the system.

The user must confirm the action.

If configured for approval, the deletion is not applied until it is approved.

A.4.5.4 Action – Details

This action (implemented as a hyperlink on the user field) is for a single selected user. The View User Account function for the selected user is initiated.

A.4.5.5 Action – Force Logout

This action is for one or more selected user.

This action allows the users that are currently logged in to be forcibly logged out.

The user must confirm the action.

This action does not require approval.

The screen is forwarded to a response page which displays the action results.

A.4.5.6 Action – Enable

This action is for one or more selected user.

This action allows the users that are currently disabled to be enabled. The action is only available if the user is disabled and no pending approval request on user related update type is associated with the selected user.

The user must confirm the action. If configured for approval, the user is not enabled until the update is approved.

If confirmed, then for each affected user, the user is marked as enabled.

A.4.5.7 Action – Disable

This action is for one or more selected user.

This action allows the users that are currently enabled to be disabled. The action is only available if the user is enabled and no pending approval request on user related update type is associated with the selected user.

The user must confirm the action. If configured for approval, the user is not disabled until the update is approved.

If confirmed, for each affected user:

- The user is marked as disabled;
- The logged in users are forcibly logged out.

A.4.5.8 Action – Print Details

This action prints the details of the users, with the option of printing those currently selected on the results page or all users satisfying the selection criteria across all results pages in a user requested report.

A.5 Login

A.5.1 Function Description

This function allows the user to login to the TR application. The User ID and Password needs to be specified irrespective of the access method (SWIFTNet, Internet or Intranet) used to login. When initiated by a participant user, the Participant ID must also be entered.

When user accesses the TR application through SWIFTNet channel, this function will not be triggered. Meanwhile, the user's browser will be directed to the login page provided by SWIFT WebAccess Platform.

A.5.2 Initiation and Parameters

The function is initiated when the user requests access to the TR application.

A.5.3 Screen Fields

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|---|------------|------------|-----------------------------|------------------------|----------------------|--|
| Participant [Participant ID] | I | M | Text box | | | Applicable only for participant users accessing the application through internet access method or through HKICL's local terminal for contingency. |
| User ID | I | M | Text box | | | |
| Password | I | M | Text box | | | Not shown in clear text. |
| SSL Certificate [SSL Certificate Name] | I/O | M | Pop-up window with list box | | | Applicable only for users accessing the application through internet access method with SSL authentication enabled. The user selects a certificate from the browser's certificate repository. |

A.5.4 Processing

A.5.4.1 Action – Login

The entered User ID and Password are passed to the TR for verifying the validity of the user. If the verification is successful, the user gets access to the applications allocated to his profile. If the login fails, the user is informed of the failure.

The field Password is case sensitive but the other input fields, Participant and User ID are not case sensitive.

On exceeding the number of unsuccessful login attempts (technically configurable parameter Lock User after Failed Attempts), the user is disabled.

A.6 Add SWIFT User Distinguished Name

A.6.1 Function Description

This function allows the user to add a SWIFT User Distinguished Name.

A.6.2 Initiation and Parameters

The function is initiated from the:

- **Add Participant**
- **Add User Account;**
- **Maintain User Account.**

A.6.3 Screen Fields

A.6.3.1 SWIFT User DN

| Field Name {Data Name} | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|--|----------|----------|-----------------|-----------------|---------------|---------------------------------------|
| Expanding/Collapsing Field Group: SWIFT User DN | | | | | | |
| SWIFT User DN {SWIFT DN} | I | M | Text box | | | SWIFT User Distinguished Name. |

A.6.4 — Processing

A.6.4.1 — Action — Add DN

~~Once the newly added details are validated successfully, the function returns to the Add User Account function or the Maintain User Account function and the newly added SWIFT User DN is included in the list provided. The system will validate that the entered SWIFT User DN must have the same institution level DN segments (i.e. the BIC in level 2 of the DN) as the Browser SWIFT DN maintained for the participant that the user account currently being maintained belongs to.~~

A.6.4.2 — Action — Reset

~~Any fields with entered values are reset to the original values displayed on entry to the function.~~

A.6.4.3 — Action — Back

~~This action is the standard action which returns to the Add User Account function or the Maintain User Account function.~~

A.7 SWIFT User Account Association

A.7.1 Function Description

The function displays when user first logs in the SWIFT WebAccess Platform, it is used to associate the SWIFT user account and the HKTR application user account.

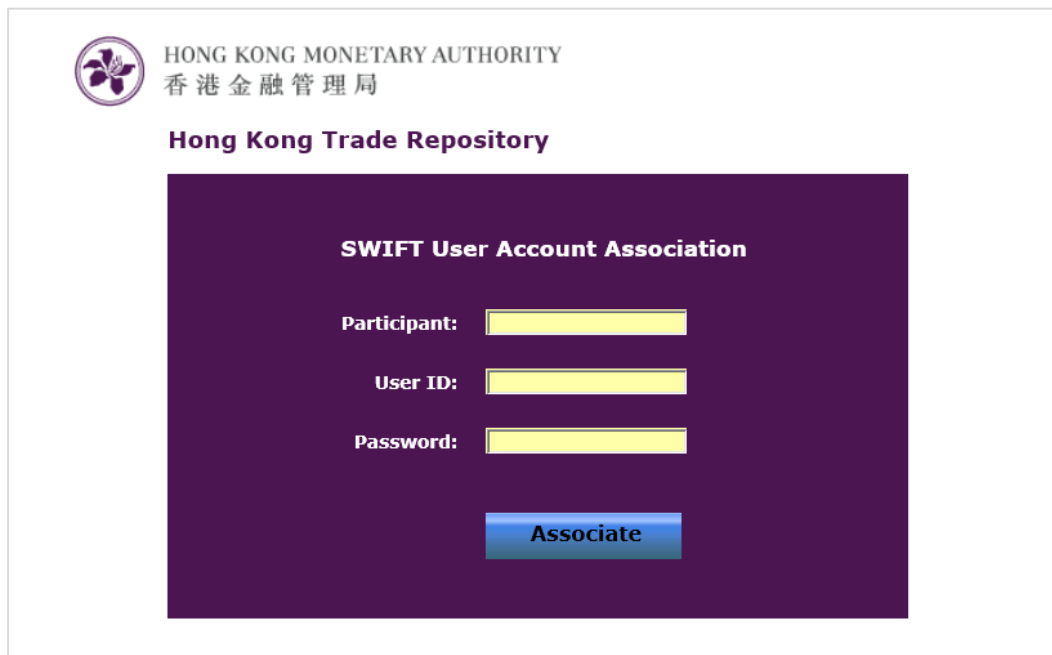
A.7.2 Initiation and Parameters

The function is initiated when the user requests access to the TR application via SWIFTNet Channel with no SWIFT User Account Associations

A.7.3 Screen Fields

| Field Name [Data Name] | I/O | M/O | UI | Possible Values | Default Value | Remarks |
|---------------------------------|-----|-----|----------|-----------------|---------------|--------------------------|
| Participant [Participant ID] | I | M | Text box | | | |
| User ID | I | M | Text box | | | |
| Password | I | M | Text box | | | Not shown in clear text. |

A.7.4 Sample Screen



The screenshot displays the 'Hong Kong Trade Repository' interface. At the top left is the Hong Kong Monetary Authority logo, followed by the text 'HONG KONG MONETARY AUTHORITY' and '香港金融管理局'. Below this, the title 'Hong Kong Trade Repository' is shown. The main content area is a dark purple box titled 'SWIFT User Account Association'. Inside this box, there are three input fields: 'Participant:', 'User ID:', and 'Password:', each followed by a yellow rectangular input box. At the bottom of the purple box is a blue button labeled 'Associate'.

A.7.5 Processing

A.7.5.1 Action – Associate

The entered User ID and Password are passed to the TR for verifying the validity of the user. If the verification is successful, the SWIFT User Account Association is established, and the user gets access to the applications allocated to his profile. If the association fails, the user is informed of the failure.

The field Password is case sensitive but the other input fields, Participant and User ID are not case sensitive.

On exceeding the number of unsuccessful attempts (technically configurable parameter Lock User after Failed Attempts), the user is disabled, and the SWIFT User Account Association cannot be established.

A.8 System Message Screen

A.8.1 Function Description

This screen is used to display the system message when user accesses the HKTR through SWIFTNet channel only.

A.8.2 Initiation and Parameters

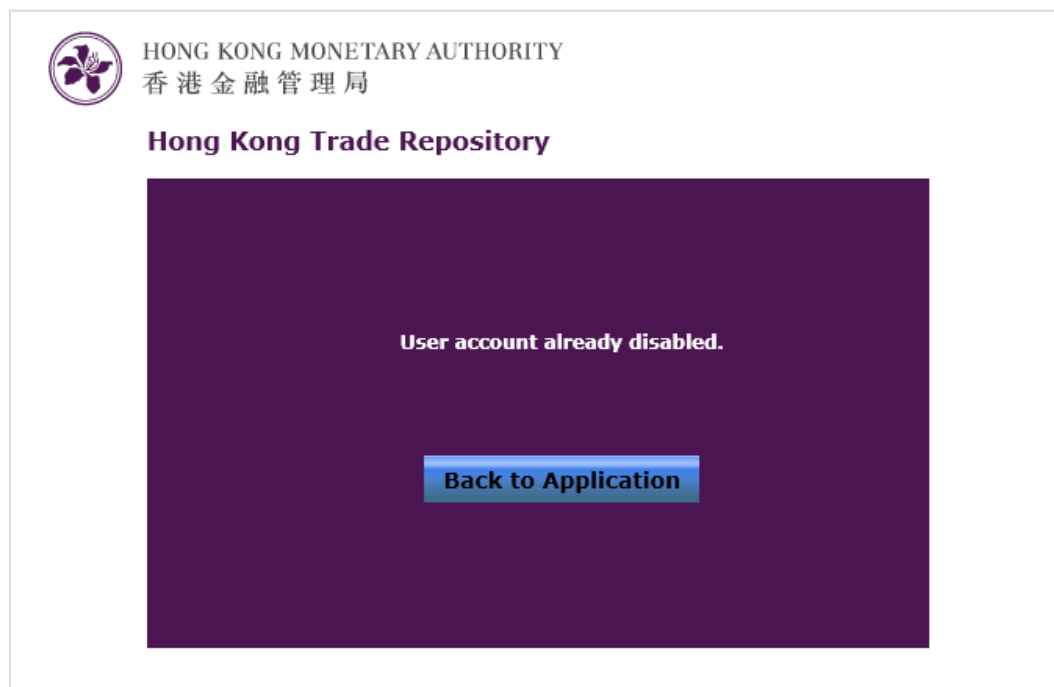
This screen is initiated when the user encounters the following scenarios.

- **Browser session timeout;**
- **Session conflict, the same user has logon to another browser session;**
- **Forced logout or login session expired;**
- **Successfully logout the application;**
- **Failed in SWIFT user account association;**
- **Rejected responses from SWIFT WebAccess, e.g. Invalid login in WebAccess;**
- **Reject to show the HKTR welcome page after successfully login the WebAccess. Reasons for rejection maybe application user not found, the status of application user account being disabled, and etc.**

A.8.3 Screen Fields

N/A

A.8.4 Sample Screen



A.8.5 Processing

A.8.5.1 Action – Back to Application

User is able to access the TR Application again by choosing the action.