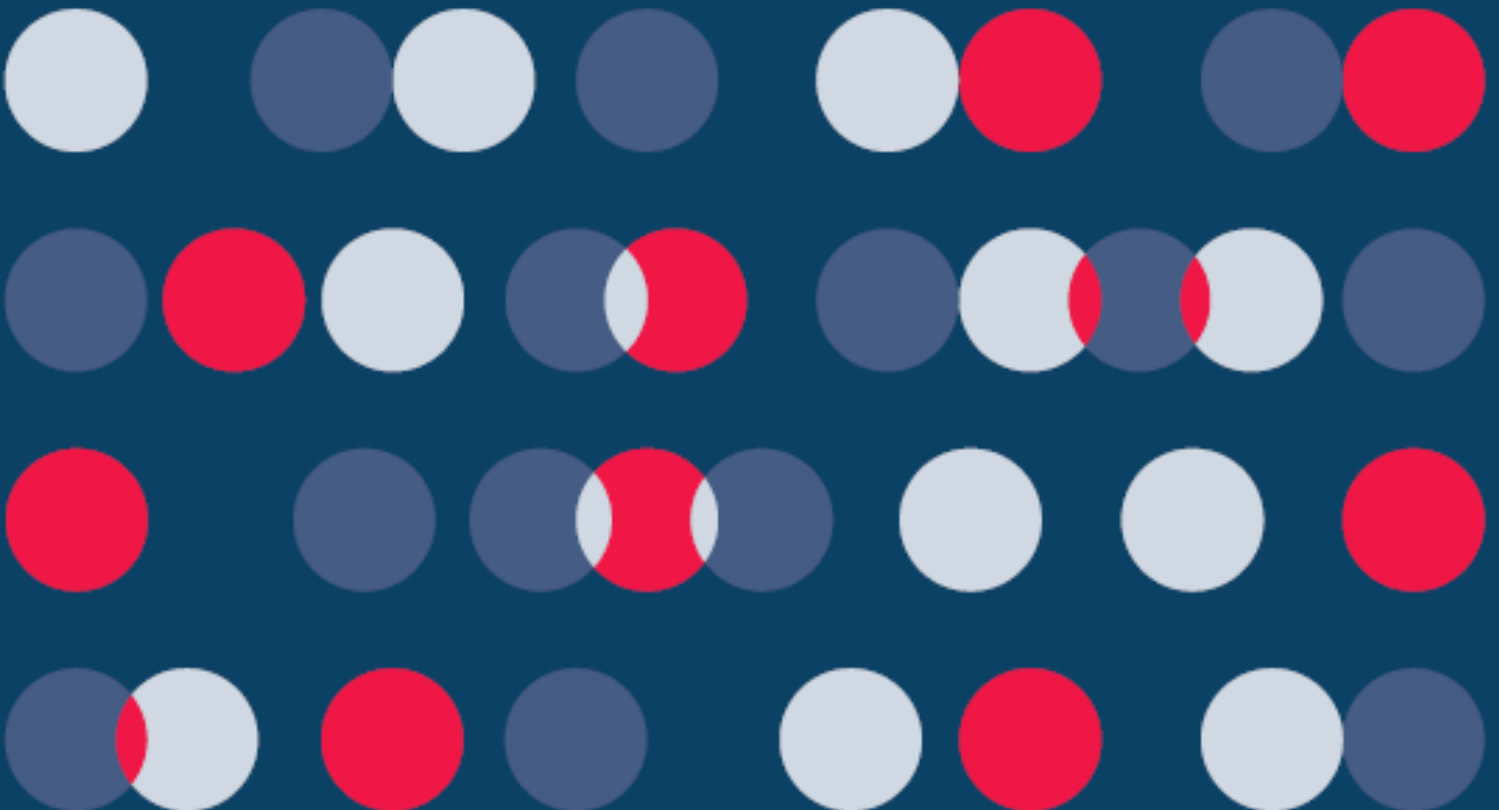


OTC Clearing Hong Kong Limited

OTC ACCOUNT SERVICES INFORMATION SYSTEM (“OASIS”) WEB PORTAL USER MANUAL

Part II – OASIS USER ACCOUNT ADMINISTRATION PORTAL



Disclaimer

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The information of this document serves for education, training and/or on-boarding purposes only. HKEx assumes no responsibility for any errors, omissions or conflicts with clearing house rules, procedures and other official notice/circulars. Also, all examples in this document are used for illustration purposes only, and should not be considered the results of actual market circumstances. All matters pertaining to specifications herein are made subject to further revision and are superseded by official HKEx rules.

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Amendment Log

| Updated Date | Document / Section | Description |
|---------------------|---------------------------|--|
| May 2014 | Part II | - Insert new part (Part II) to illustrate the new features provided with the User Administration portal. |
| Sep 2015 | Part 2.1.3 | - Update note on character limit for OASIS login ID |
| Dec 2015 | Part 2.7-9 | - New part to illustrate the new features provided with the User Administration portal |
| Apr 2016 | Part 2.9 | - Update on Audit Trail Report - Update HKEx logo |
| Mar 2021 | Part 2.7 | - Update groups for new OASIS User accounts |

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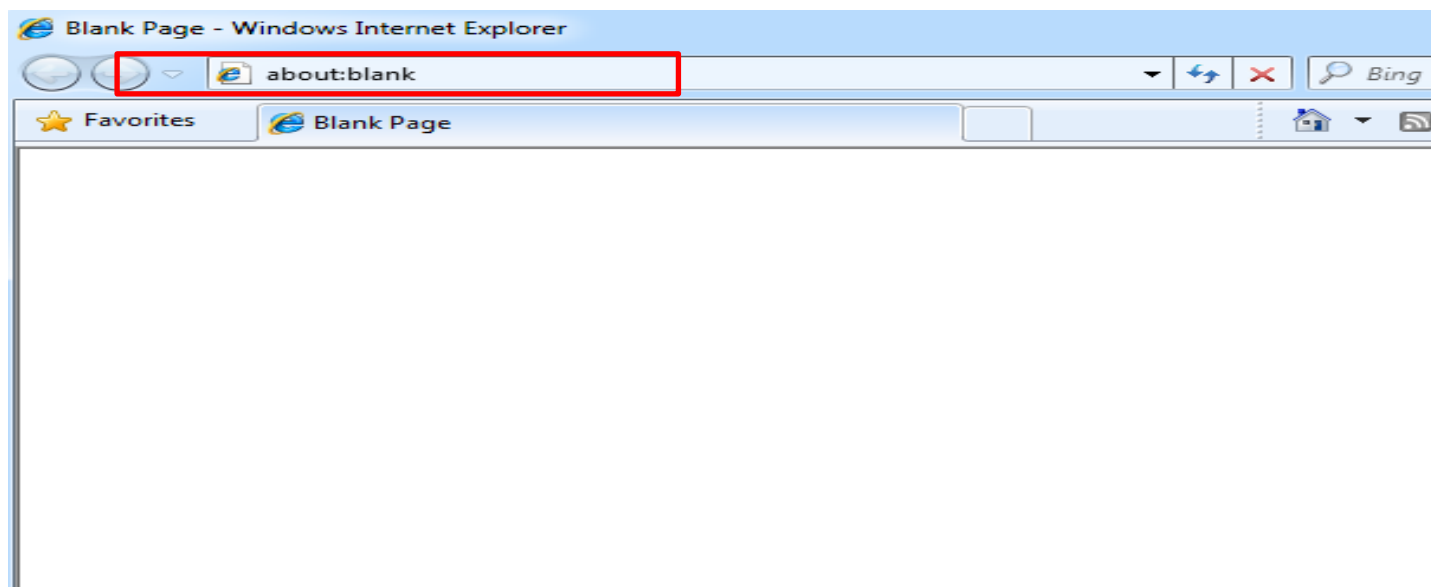
1. Getting Started

1.1. Logon and Logoff

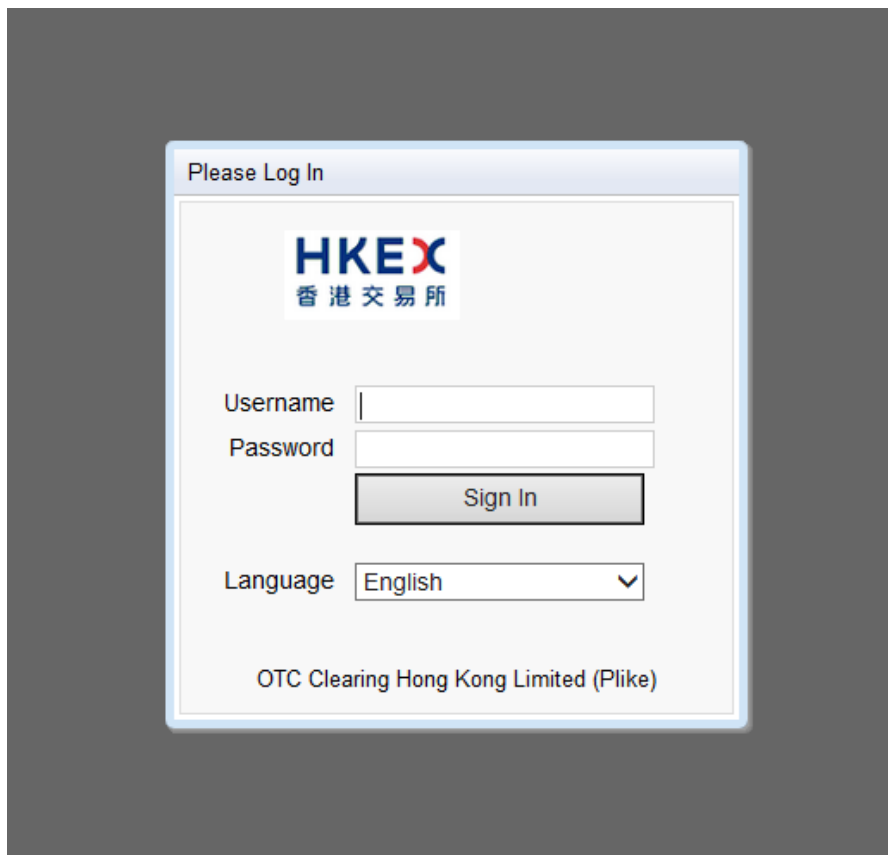
This section explains the procedures for connecting to and dis-connecting from Portal (i.e. **logon** and **logoff** the Web Portal).

1.1.1. Portal Logon

1. Launch Internet Explorer
2. Type Portal URL [<https://www.otcclearinghk.com/eSelfService>] into the box next to the address field and press Enter key in the keyboard



3. The following login screen will be displayed.



The screenshot shows a login window titled "Please Log In" with the HKEX logo and Chinese characters "香港交易所". It contains the following fields and elements:

- Username**: A text input field.
- Password**: A text input field.
- Sign In**: A button.
- Language**: A dropdown menu currently set to "English".
- OTC Clearing Hong Kong Limited (Plike)**: Text at the bottom of the window.

4. Input OASIS User login ID and password, then click **Sign in**

Please Log In

HKEX
香港交易所

Username

Password

Language

OTC Clearing Hong Kong Limited (Plike)

Please note: username (i.e. login ID) must be in lowercase letters.

5. The following screen will be displayed when the logon is successful

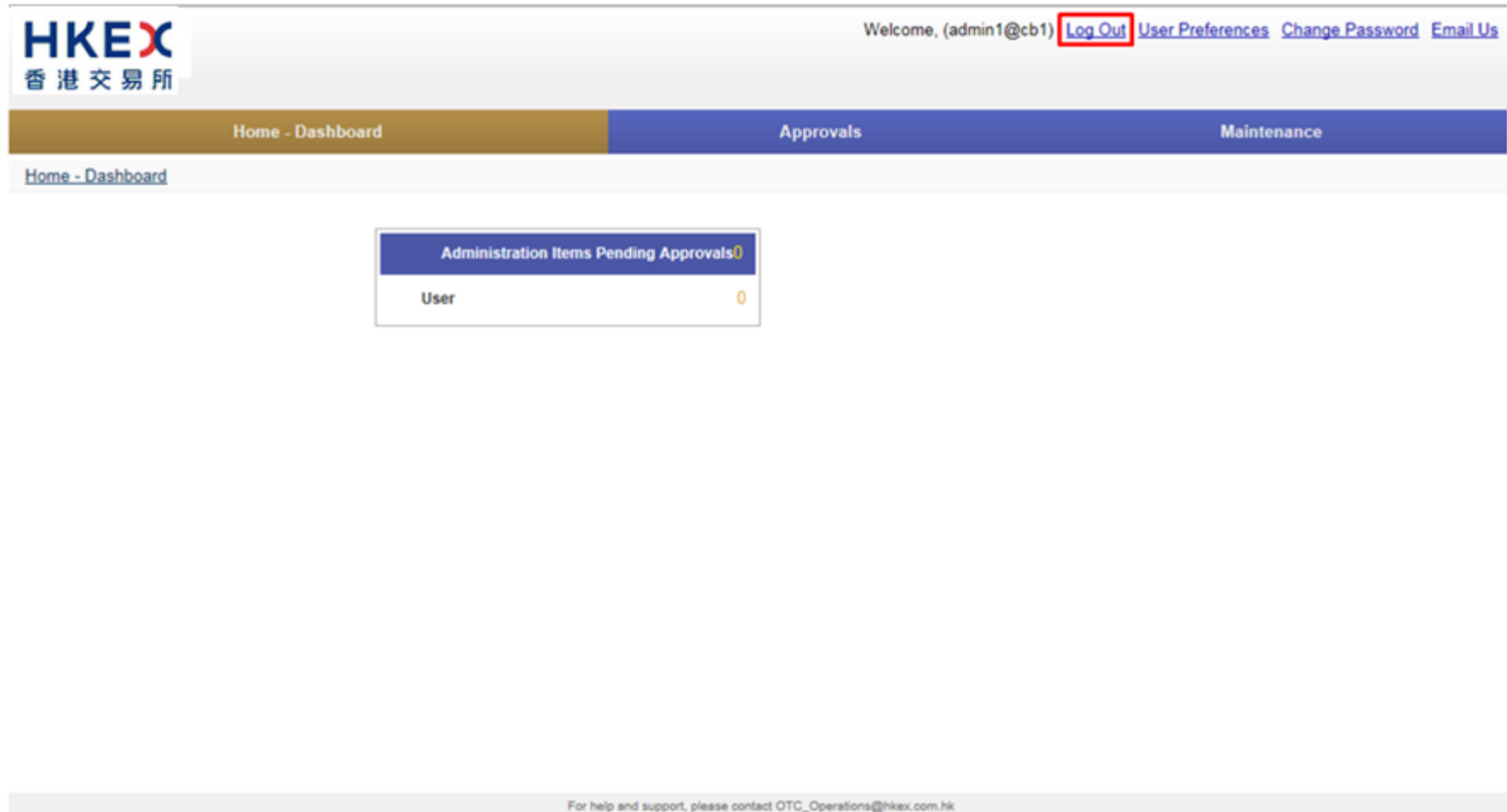
The screenshot displays the OASIS Web Portal dashboard. At the top left is the HKEX logo (香港交易所). At the top right, it says "Welcome, (admin1@cb1)" followed by links for [Log Out](#), [User Preferences](#), [Change Password](#), and [Email Us](#). Below this is a navigation bar with three tabs: "Home - Dashboard" (highlighted in gold), "Approvals" (highlighted in blue), and "Maintenance" (highlighted in blue). Under the "Home - Dashboard" tab, there is a link for [Home - Dashboard](#). The main content area features a summary box for "Administration Items Pending Approvals" with a count of 0. Below this is a table with one row:

| Administration Items Pending Approvals 0 | |
|--|---|
| User | 0 |

At the bottom of the page, there is a footer with the text: "For help and support, please contact OTC_Operations@hkex.com.hk"

1.1.2. Portal Logoff

1. Click the **Log Out** hyperlink at the top right hand corner.

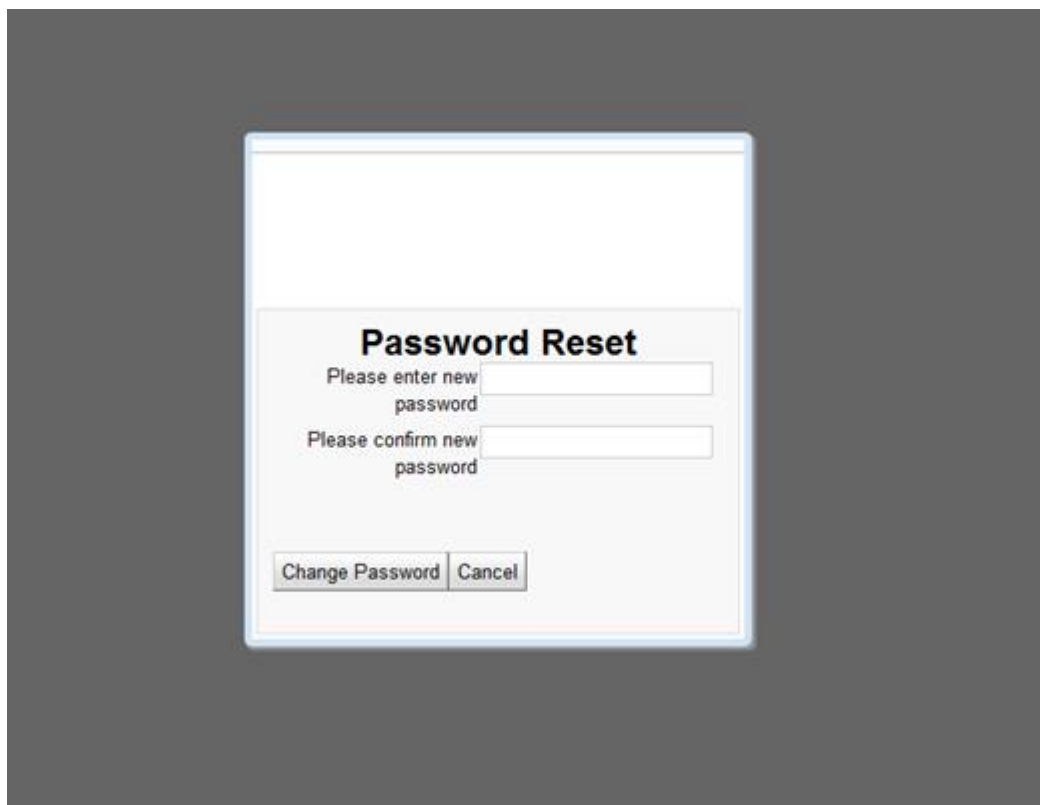


The user will be return to the logon screen illustrated in **Part II, Section 1.1.1.**

1.2. Password Management

1.2.1. First Time Logon

After logging on using the temporary password, the system will require you to change the password before proceeding.



The image shows a 'Password Reset' dialog box with a white background and a light blue border. The title 'Password Reset' is centered at the top. Below the title, there are two text input fields. The first field is preceded by the text 'Please enter new password' and the second by 'Please confirm new password'. At the bottom of the dialog, there are two buttons: 'Change Password' and 'Cancel'.

1.2.2. *Voluntarily change of password*

OASIS will force user to change password at least once every 90 days. Prior to the system's mandatory change of password, user can change his/her password voluntarily after logging into OASIS.

User can initiate a change of password by selecting **Change Password** at the upper right hand corner.

Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

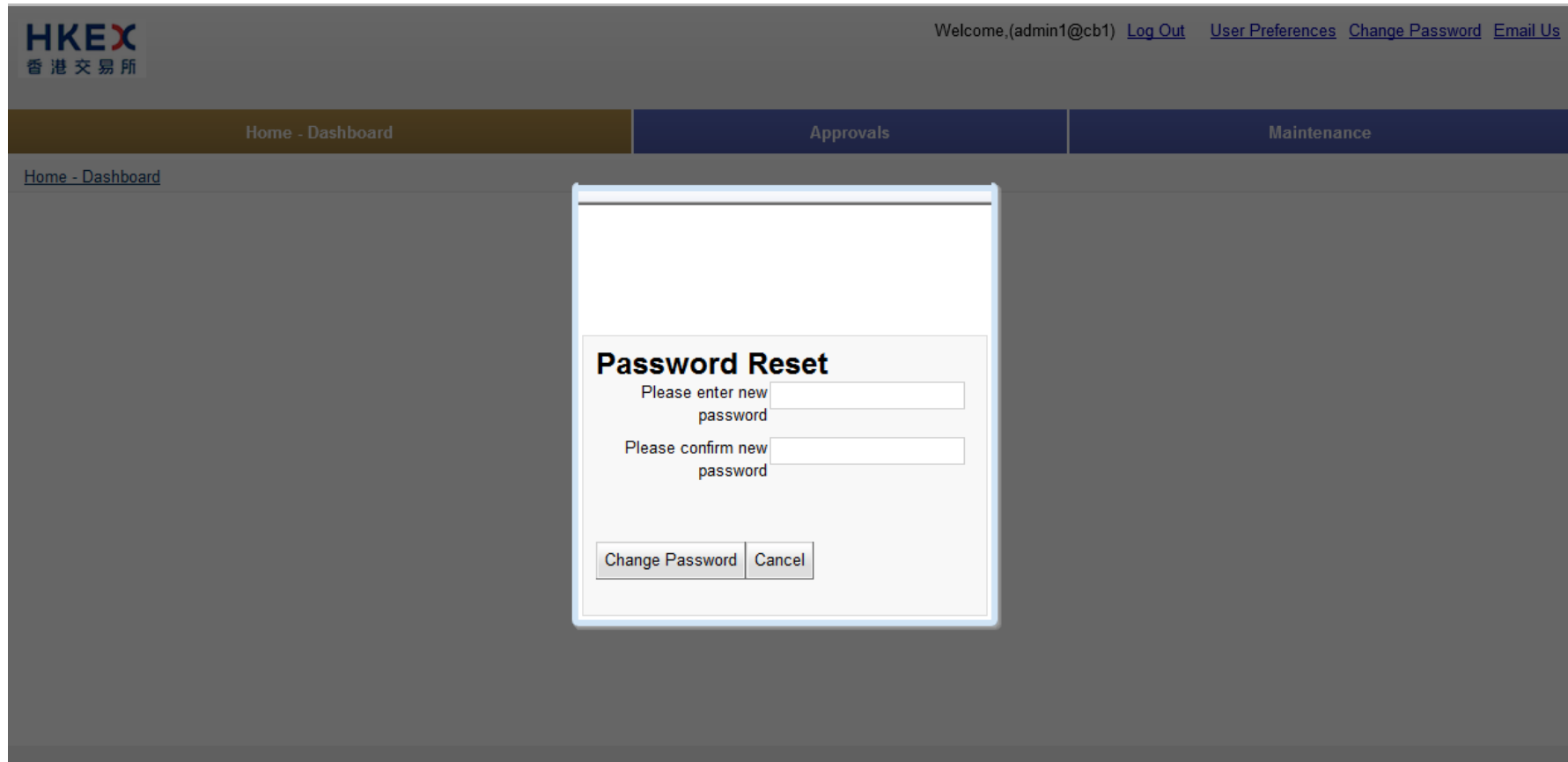
Home - Dashboard Approvals Maintenance

[Home - Dashboard](#)

| Administration Items Pending Approvals | |
|--|---|
| User | 0 |

For help and support, please contact OTC_Operations@hkex.com.hk

The below message box will be prompted after selecting the hyper link.

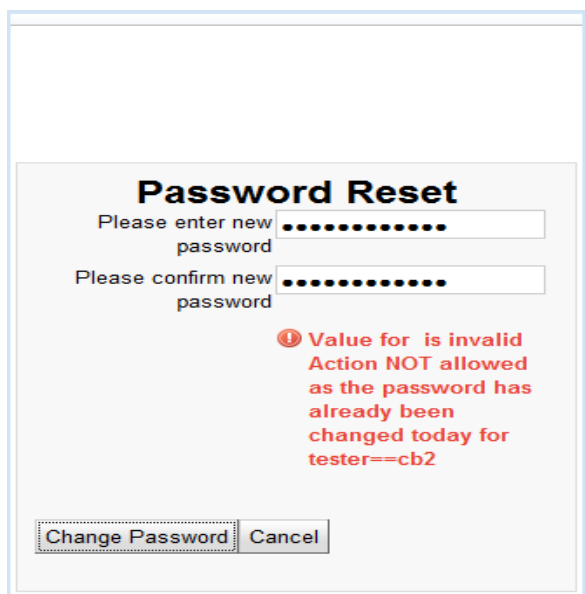


Please make reference to the below password guidelines when setting the password.

1. Password shall contain at least 10 characters;
2. Password shall contain a combination of letters (both upper & lower case) and numbers (0-9)
3. User account will be locked upon 6 consecutive unsuccessful login attempts

4. Password shall be changed at least every 90 days
5. Password will not be allowed to change on the same day upon completion of a password change

An error message will be prompted if user tried to input an invalid password. Below is an example of the error message when the password violated guideline #5).



The screenshot shows a web form titled "Password Reset". It contains two input fields: "Please enter new password" and "Please confirm new password", both filled with dots. Below the fields is a red error message: "Value for is invalid Action NOT allowed as the password has already been changed today for tester==cb2". At the bottom of the form are two buttons: "Change Password" and "Cancel".

1.2.3. Common Reasons for Invalid Login

The error message "Failed to Authenticate" will be displayed for invalid login attempt. There are several scenarios that will trigger this message. The common reasons are:

1. The User ID provided does not exist or the password entered does not match with the corresponding User ID.

2. The User ID is locked by the system after more than 6 invalid login attempts.
3. The User logs in outside the operating hours.

User should contact HKEx OTC Clear Operations team for further assistance.



1.3. Screen Layouts




1.3.1. Home Page

The Home Page is divided into following sections as shown in the diagram.



MAIN MENU: Locate at the upper section of the screen. It lists the core functions of the Collateral Management Portal.

The following functions are available for access through the Main Menu.

| Functions | Descriptions |
|---|---|
| <p>HOME</p>  | Return to the HOME page |
| <p>APPROVALS</p>  | <ol style="list-style-type: none"> 1) View and search outstanding approval requests; 2) Approved/rejected requests <p>Please refer to Part II, Section 2.5 for details.</p> |
| <p>MAINTENANCE</p>  | <ol style="list-style-type: none"> 1) View and search status of users created for this Clearing Member/Broker 2) Create new users 3) Amend setting of existing users 4) Extract the list of users 5) View Admin Audit Report <p>Please refer to Part II, Section 2 for details.</p> |

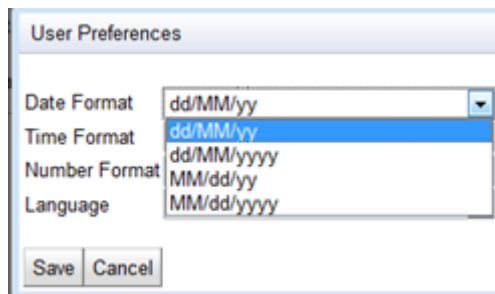
SUPPLEMENTARY MENU: Locate at the upper right hand corner of the screen. It displays the name of the user log into OASIS and a dropdown box listing the Clearing Member ID available for the login user. Also, it provides hyperlinks for the following features for user to select: (1) Log Out, (2) User Preference, (3) Change Password, and (4) Email Us.

| Hyperlink | Descriptions |
|----------------|---|
| Log Out | End the user login session and log off from the portal. |

User Preference

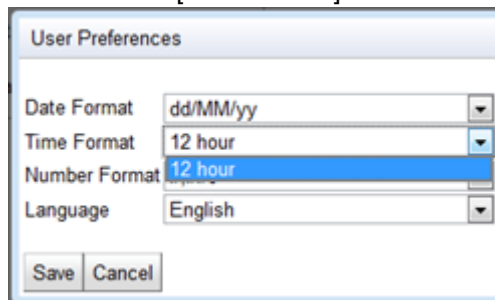
A dialogue box will be prompted and allow user to personalize its OASIS setting on

1) Date Format



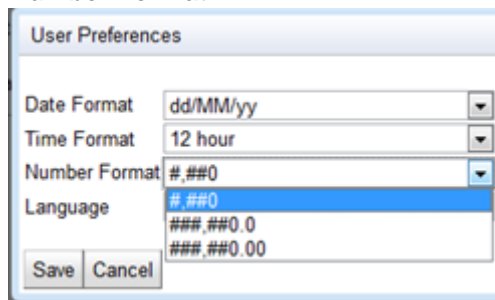
The screenshot shows a 'User Preferences' dialog box with four dropdown menus. The 'Date Format' dropdown is open, showing options: 'dd/MM/yy' (selected), 'dd/MM/yy', 'dd/MM/yyyy', 'MM/dd/yy', and 'MM/dd/yyyy'. 'Save' and 'Cancel' buttons are at the bottom.

2) Time Format [not available]

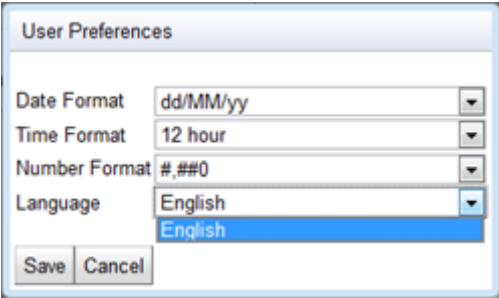


The screenshot shows a 'User Preferences' dialog box. The 'Time Format' dropdown is open, showing options: '12 hour' (selected) and '24 hour'. Other dropdowns for 'Date Format', 'Number Format', and 'Language' are visible. 'Save' and 'Cancel' buttons are at the bottom.

3) Number Format



The screenshot shows a 'User Preferences' dialog box. The 'Number Format' dropdown is open, showing options: '#,##0' (selected), '#,##0.0', and '#,##0.00'. Other dropdowns for 'Date Format', 'Time Format', and 'Language' are visible. 'Save' and 'Cancel' buttons are at the bottom.

| | |
|------------------------|--|
| | <p>Please note this setting will affect the number displayed during submission of collateral request. Number will be rounded to the decimal placed elected.</p> <p>4) Language [not available]</p>  <p>The new preference will take effect at the next login.</p> |
| Change Password | <p>Initiate a change of password.</p> <p>Please refer to Part II, Section 1.2.2 for details.</p> |
| Email us | <p>Initiate an email to OTC Clear with the default email program.</p> <p>The email will be addressed to : OTC_Operations@HKEX.COM.HK</p> |

CURRENT LOCATION: Locate below the Main Menu. It displayed the current location of the user’s login session.

CONTENT AREA: Locate below the Current Location section. It displayed the contents of the selected function from the **MAIN MENU**. For the Home Page, it defaulted to display the dashboard.

| | |
|--|---|
| Administration Items Pending Approvals | 0 |
| User | 0 |

2. User Accounts Management

2.1. Create New OASIS User Accounts

2.1.1. Function Description

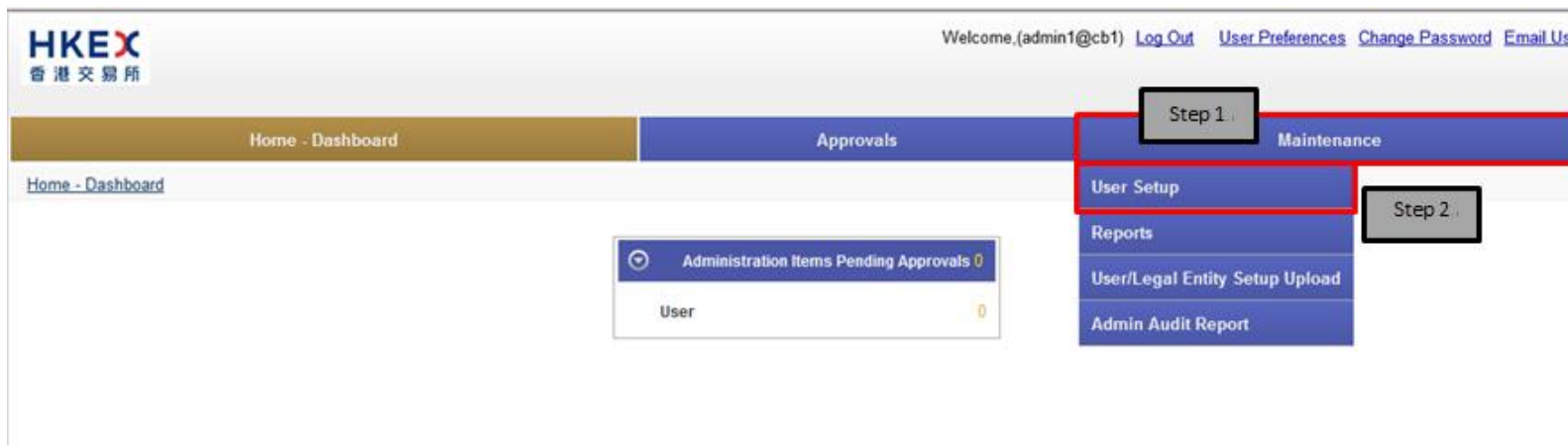
To create a new OASIS user account

2.1.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.1.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User Setup**.



2. Current Location will be updated and the Content Area will display all the OASIS User Accounts for this Clearing Member.

Home - Dashboard Approvals Maintenance

[Home - Dashboard](#) > [User Setup](#)

Filter

User Id

Status

Showing 1 - 4 of 4 Rows

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status |
|----------------------------------|-----------|------------|-----------|-----------|--------|-------------|------------|----------|
| <input type="button" value="⚙"/> | cb2_user1 | cb2_user1 | cb2_user1 | cb2_user1 | cb2 | | 12/12/2014 | Unlocked |
| <input type="button" value="⚙"/> | cb2_user2 | cb2_user2 | cb2_user2 | cb2_user2 | cb2 | | 12/09/2014 | Unlocked |
| <input type="button" value="⚙"/> | cb2_user3 | cb2_user3 | cb2_user3 | cb2_user3 | cb2 | | | Unlocked |
| <input type="button" value="⚙"/> | cb2_user4 | cb2_user4 | cb2_user4 | cb2_user4 | cb2 | | | Unlocked |

For help and support, please contact OTC_Operations@hkex.com.hk

3. To create a new OASIS user account, click **Add User**.

Welcome, (cb2_admin1@cb2) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter

User Id

Status Unlocked

Refresh Reset to Defaults

Showing 1 - 4 of 4 Rows 20

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status |
|---------|-----------|------------|-----------|-----------|--------|-------------|------------|----------|
| | cb2_user1 | cb2_user1 | cb2_user1 | cb2_user1 | cb2 | | 12/12/2014 | Unlocked |
| | cb2_user2 | cb2_user2 | cb2_user2 | cb2_user2 | cb2 | | 12/09/2014 | Unlocked |
| | cb2_user3 | cb2_user3 | cb2_user3 | cb2_user3 | cb2 | | | Unlocked |
| | cb2_user4 | cb2_user4 | cb2_user4 | cb2_user4 | cb2 | | | Unlocked |

For help and support, please contact OTC_Operations@hkex.com.hk

- A message box will be prompted asking for the following detail of the new users:
User Name (i.e. "User") / Email / First Name / Last Name / Temporary Password (i.e. "Password")

These fields must be populated before proceeding to the next page. Members are not allowed to provide personal data to these fields (e.g. first name and last name of the person).

*Note: The User Name will become part of the login ID of the OASIS user account (i.e. **user@ClearingMemberID**; in lowercase letters). The login ID of the OASIS user account must be limited to 31 characters.*

The screenshot displays the 'User Details Setup' dialog box in the OASIS Web Portal. The dialog box is titled 'User Details Setup' and 'Setup user' and is labeled '1/3'. It contains the following fields:

- User *
- Email *
- First Name *
- Last Name *
- Password
- Retype Password
- Note
- Model User

The background interface shows the HKEX logo and navigation links: 'Welcome, (cb2_admin1@cb2) Log Out User Preferences Change Password Email Us'. The main content area is titled 'Home - Dashboard > User Setup' and includes a 'Filter' section with 'User Id' and 'Status' (set to 'Unlocked') filters, and buttons for 'Refresh' and 'Reset to Defaults'. A table of user accounts is visible on the right, with columns for 'Last Login' and 'Status'.

| Last Login | Status |
|------------|----------|
| 12/12/2014 | Unlocked |
| 12/09/2014 | Unlocked |
| | Unlocked |
| | Unlocked |

At the bottom of the dialog box, there are 'Cancel', 'Previous', and 'Next' buttons. At the bottom of the main page, there is a footer: 'For help and support, please contact OTC_Operations@hkex.com.hk'.

A sample with fields populated. Login ID for this sample OASIS user account will be “*tester2@cb2*”.

The screenshot displays the OASIS User Account Administration Portal. A modal window titled "User Details Setup" is open, showing the "Setup user" step (1/3). The form contains the following fields:

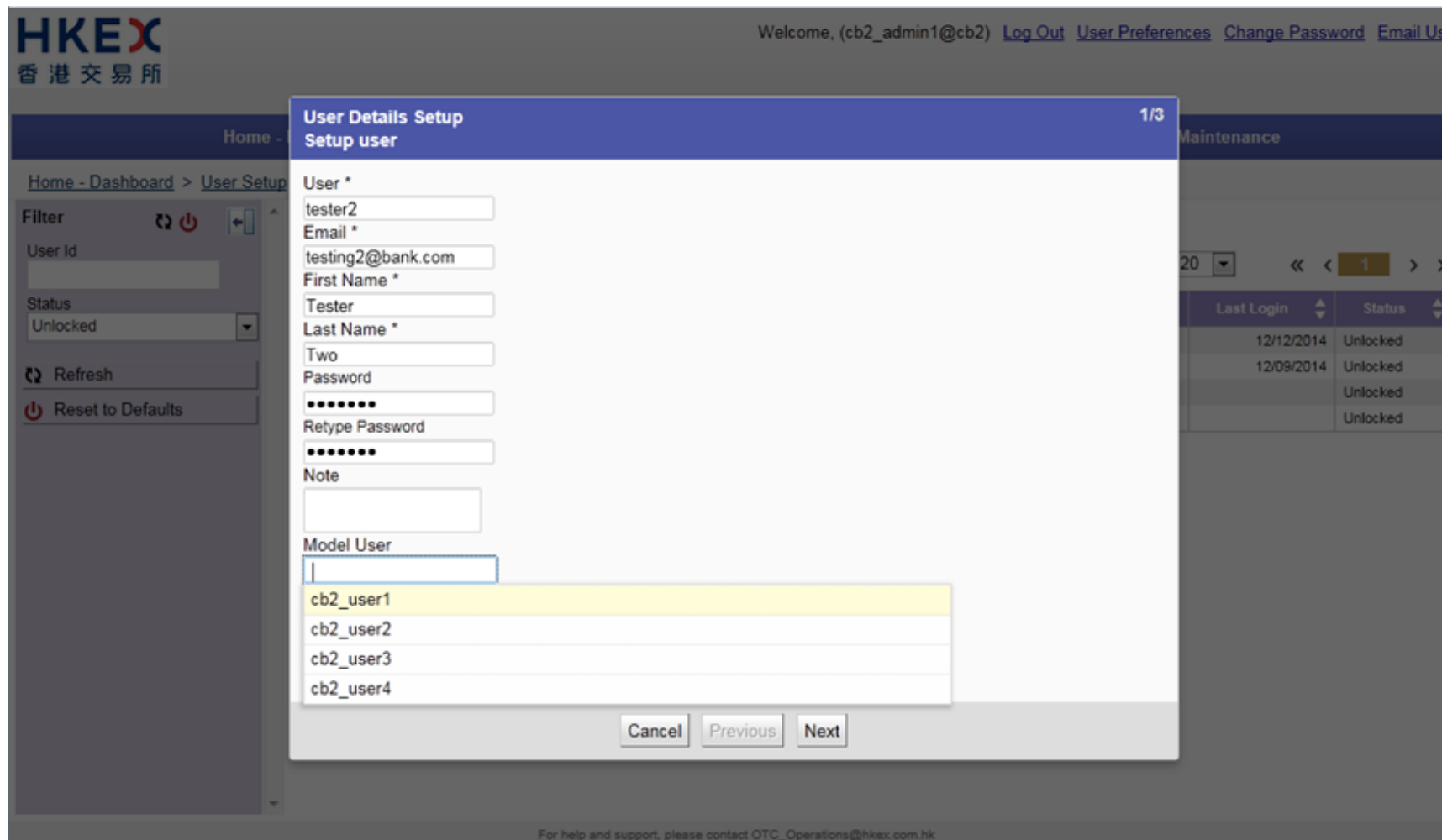
- User *:
- Email *:
- First Name *:
- Last Name *:
- Password:
- Retype Password:
- Note:
- Model User:

At the bottom of the modal are buttons for "Cancel", "Previous", and "Next". The background shows a sidebar with a "Filter" section containing "User Id" and "Status" (set to "Unlocked"), and a main table with columns "Last Login" and "Status".

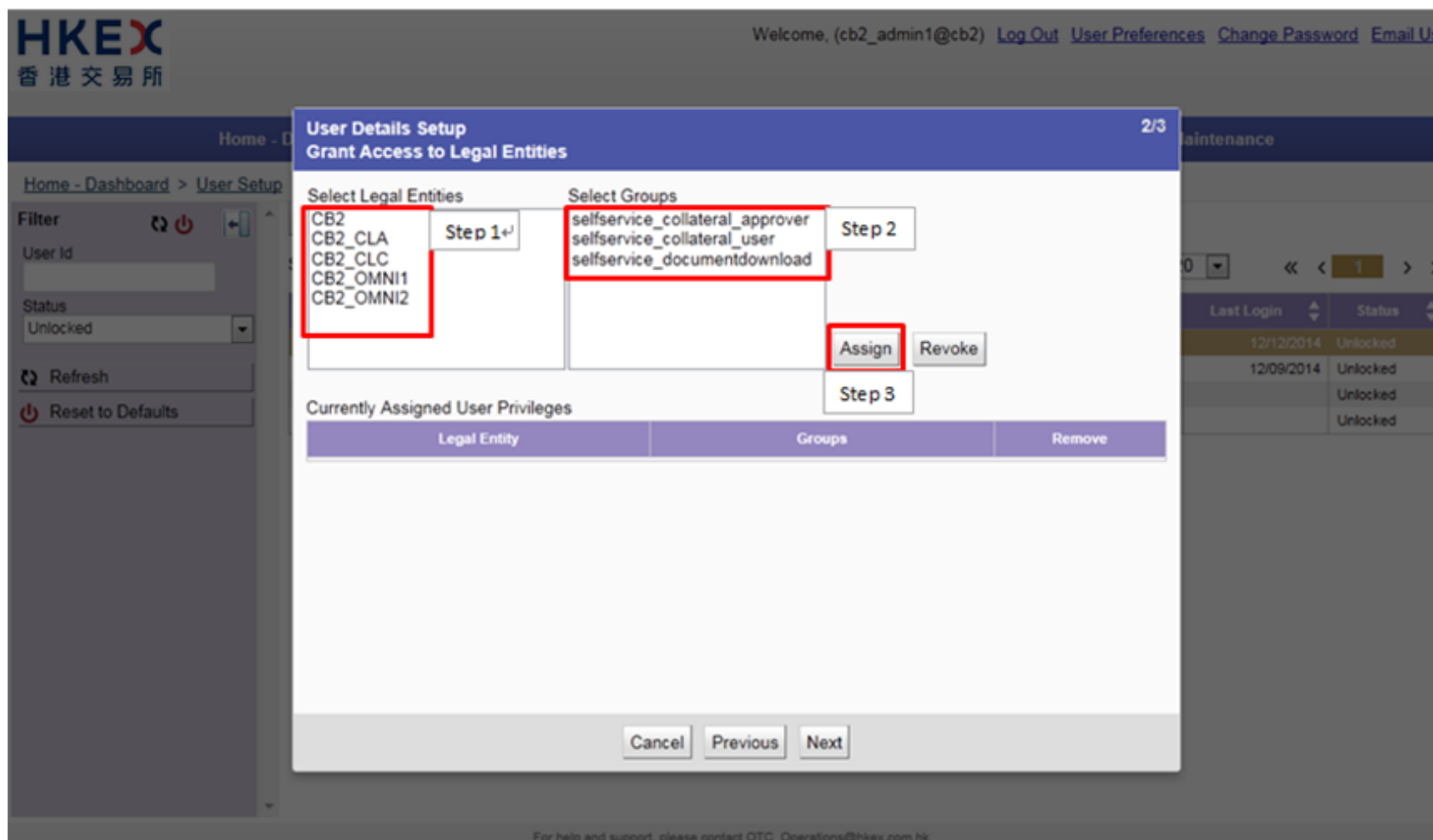
| Last Login | Status |
|------------|----------|
| 12/12/2014 | Unlocked |
| 12/09/2014 | Unlocked |
| | Unlocked |
| | Unlocked |

For help and support, please contact OTC_Operations@hkex.com.hk

Note: You might use the **Model User** feature to reference the setup of an existing user. This can reduce the time to select user access group in the coming steps. A dropdown menu with all existing users will be available when clicking that feature.



- Assign the combination of “Legal Entities” (i.e. Clearing Member/Client) and the “Groups” (i.e. User Access Group) for this new user account.



- Review the Legal Entities access and the Profile assigned. User can use **Assign** and **Revoke** to amend the Combinations of Legal Entity / Group. To remove the entire row for a Legal Entity, click **Remove**. To abort the user account creation process, click **Cancel**.

For the functions available to each user access group, please refer to **Part I, Section 4.2**.

The screenshot displays the 'User Details Setup' dialog box, titled 'Grant Access to Legal Entities', which is part of a 2/3 step process. The dialog is overlaid on a background interface showing a user list and navigation options.

User Details Setup 2/3

Grant Access to Legal Entities

Select Legal Entities

- CB2
- CB2_CLA
- CB2_CLC
- CB2_OMNI1
- CB2_OMNI2**

Select Groups

- selfservice_collateral_approver
- selfservice_collateral_user
- selfservice_documentdownload**

Buttons: Assign, Revoke

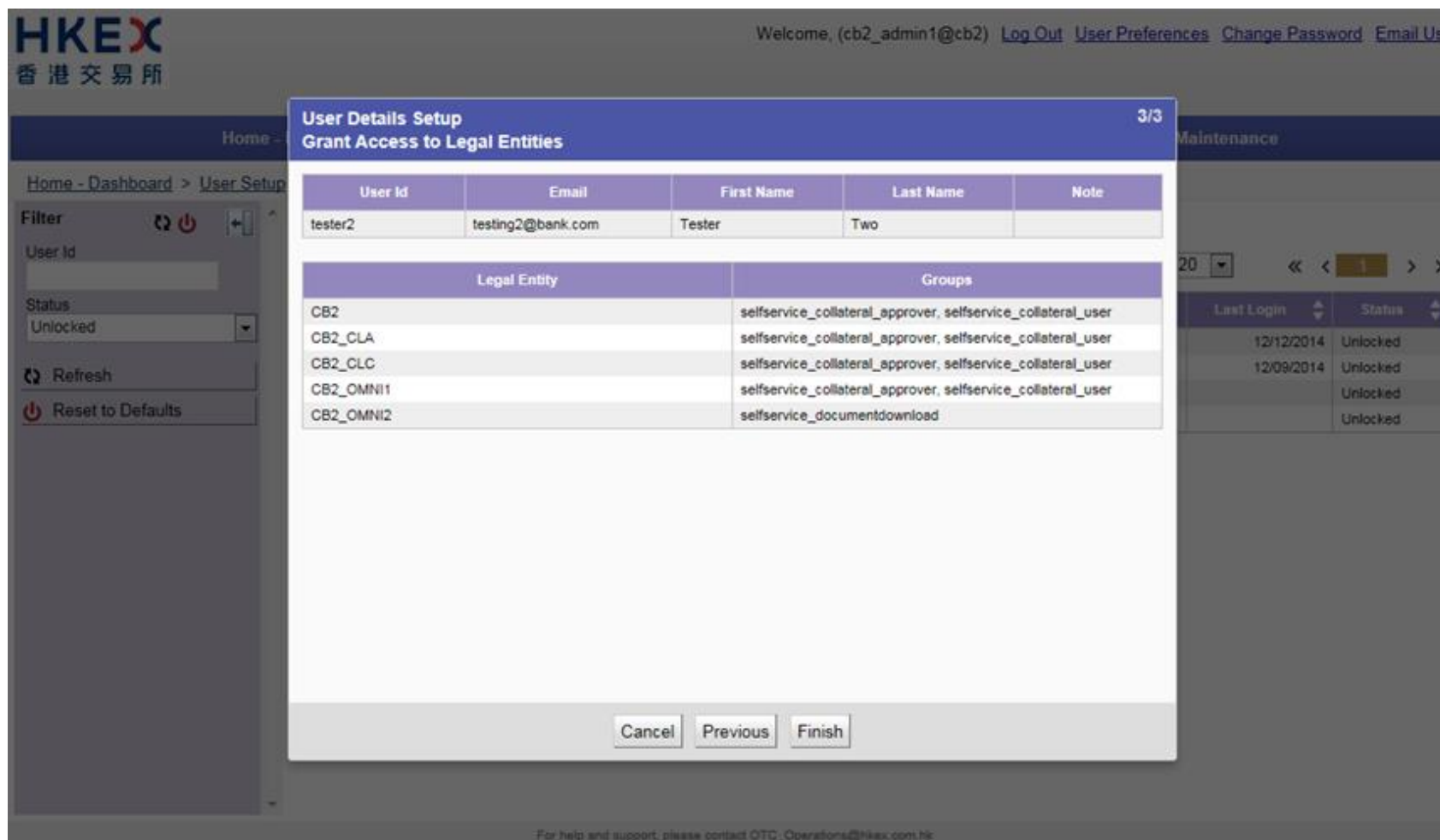
Currently Assigned User Privileges

| Legal Entity | Groups | Remove |
|--------------|--|------------------------|
| CB2 | selfservice_collateral_approver, selfservice_collateral_user | Remove |
| CB2_CLA | selfservice_collateral_approver, selfservice_collateral_user | Remove |
| CB2_CLC | selfservice_collateral_approver, selfservice_collateral_user | Remove |
| CB2_OMNI1 | selfservice_collateral_approver, selfservice_collateral_user | Remove |
| CB2_OMNI2 | selfservice_documentdownload | Remove |

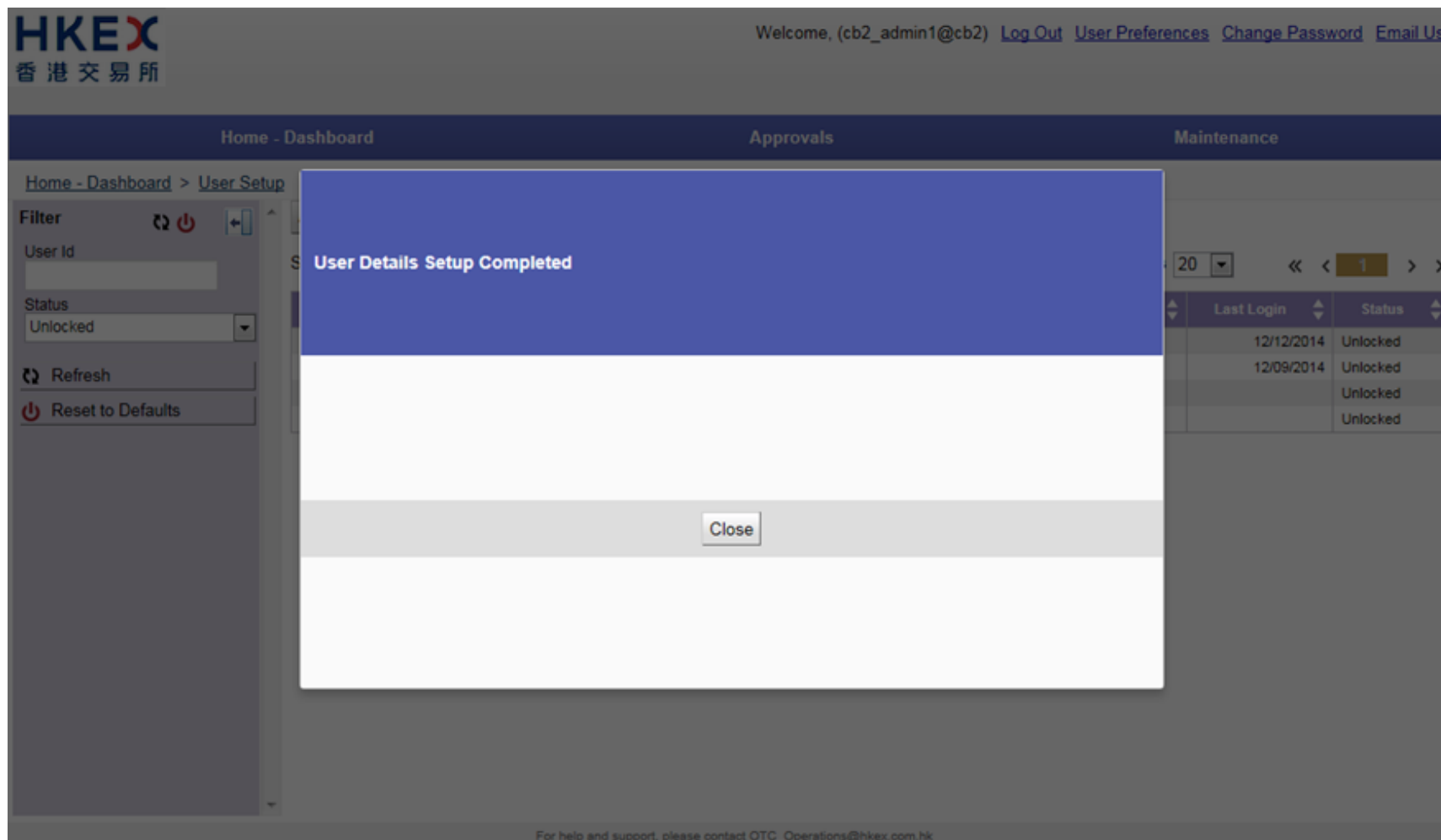
Buttons: Cancel, Previous, Next

For help and support, please contact OTC_Operations@hkex.com.hk


- The detail of the user account will be displayed for final review. If the details are correct, Click **Finish**; otherwise, click **Previous** for amendment or **Cancel** to cancel the creation.



- After clicking **Finish**, the following screen will appeared. User can continue using other functions of OASIS by clicking **Close**.






9. After clicking close, the user will return to the “User Setup” window. The new user will not appear in the user list until a different user approved the creation. For approval process, please refer to **Part II, Section 2.5**.


Welcome, (cb2_admin1@cb2) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)


Home - Dashboard
Approvals
Maintenance


Home - Dashboard > [User Setup](#)

Filter   


User Id

Status
Unlocked ▼





 Refresh

 Reset to Defaults

Add User Export

Showing 1 - 4 of 4 

Rows 20 « < 1 > »

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status |
|---|-----------|------------|-----------|-----------|--------|-------------|------------|----------|
|  | cb2_user1 | cb2_user1 | cb2_user1 | cb2_user1 | cb2 | | 12/12/2014 | Unlocked |
|  | cb2_user2 | cb2_user2 | cb2_user2 | cb2_user2 | cb2 | | 12/09/2014 | Unlocked |
|  | cb2_user3 | cb2_user3 | cb2_user3 | cb2_user3 | cb2 | | | Unlocked |
|  | cb2_user4 | cb2_user4 | cb2_user4 | cb2_user4 | cb2 | | | Unlocked |

For help and support, please contact OTC_Operations@hkex.com.hk

2.2. Amendment of OASIS User Accounts

2.2.1. Function Description

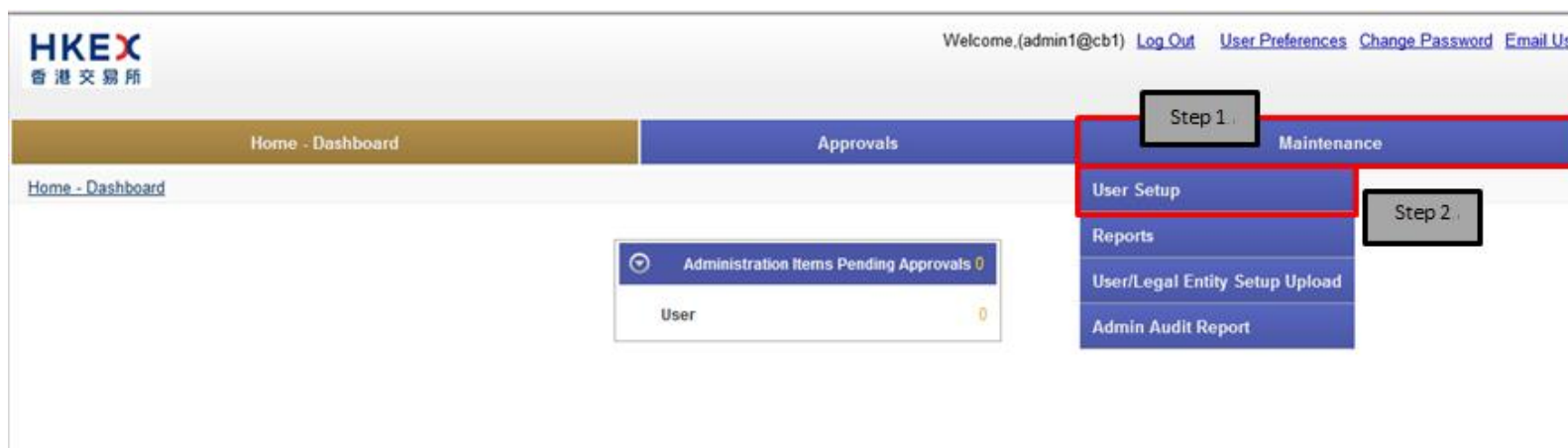
To amend the details of an OASIS user accounts.

2.2.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.2.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User Setup**.



2. Current Location will be updated and the Content Area will display all the OASIS User Accounts for this Clearing Member.

The screenshot shows the OASIS User Setup interface. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals', and 'Maintenance'. Below this, a breadcrumb trail shows 'Home - Dashboard > User Setup'. The main area contains a table of users with columns: Actions, User Id, First Name, Last Name, Email, Client, Description, Last Login, Status, and Lock Reason. A red box highlights the 'Actions' column and the first seven rows of the table. The table shows users with IDs from tester1 to user7, all with a status of 'Unlocked'.

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

- To amend the detail of an OASIS user account, click the icon in the **Actions** column of the user account to be amended

The screenshot shows the OASIS User Account Administration Portal interface. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals', and 'Maintenance'. Below this, the breadcrumb 'Home - Dashboard > User Setup' is visible. On the left, there is a 'Filter' sidebar with options for 'User Id', 'Status' (set to 'Unlocked'), 'Refresh', and 'Reset to Defaults'. The main area contains a table of users with columns: 'Actions', 'User Id', 'First Name', 'Last Name', 'Email', 'Client', 'Description', 'Last Login', 'Status', and 'Lock Reason'. The 'Actions' column is highlighted with a red box. The table shows 10 users, with the first four having names like 'tester1' through 'tester4' and the last seven having names like 'user1' through 'user7'. The 'Status' for all users is 'Unlocked'.

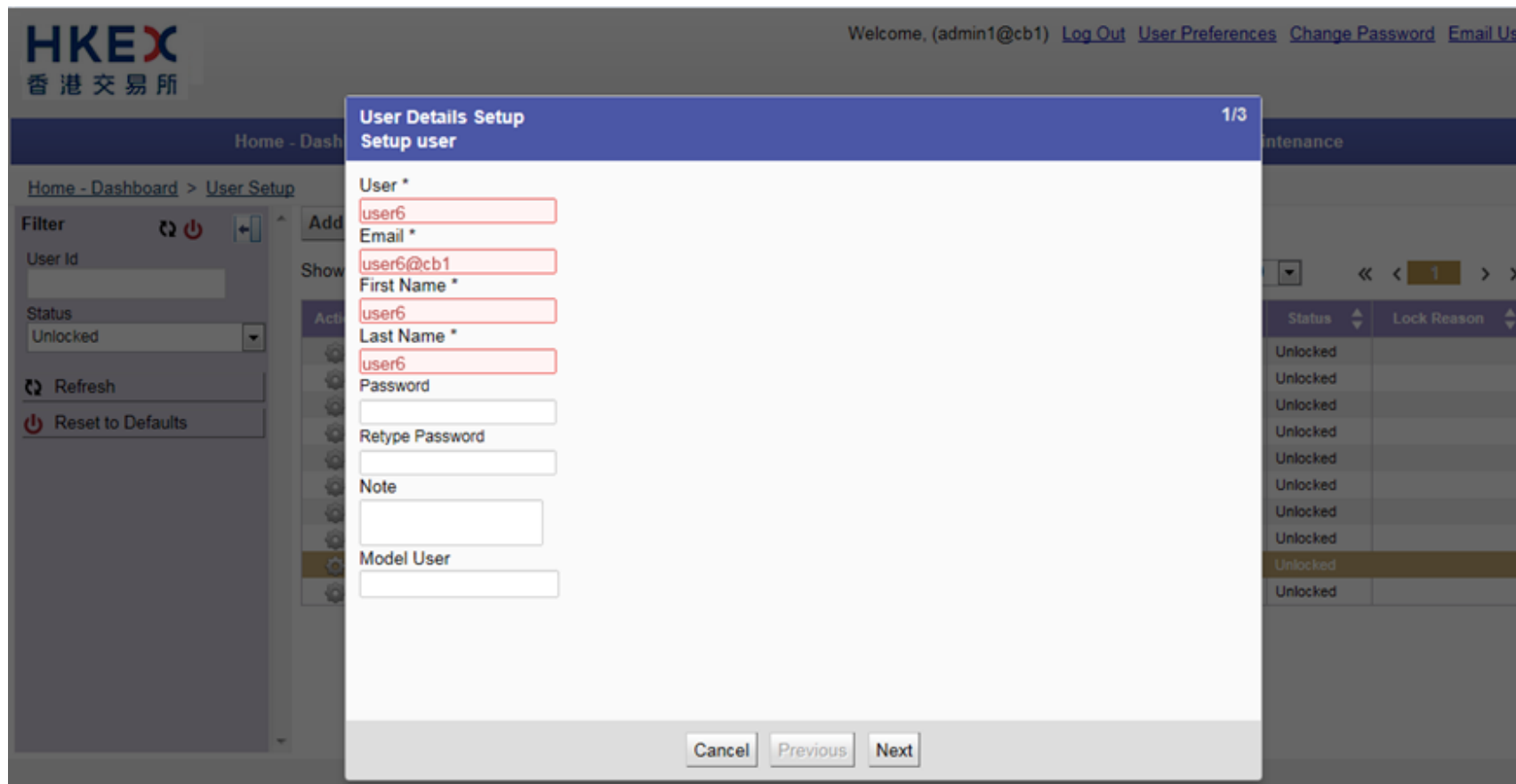
| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

- After clicking the icon, the selected OASIS user account will be highlighted and an action box will be displayed.

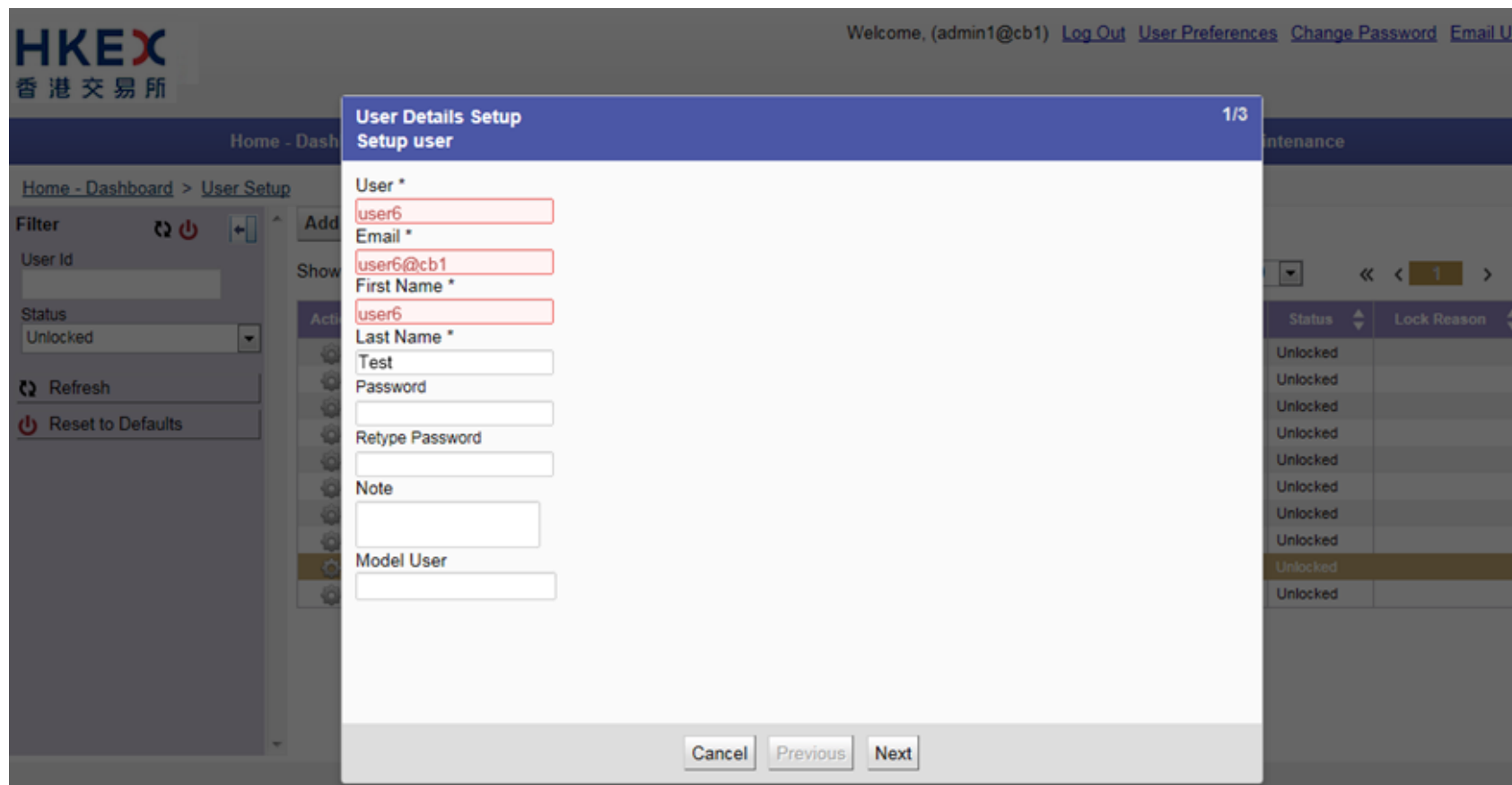
The screenshot shows the OASIS User Setup interface. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals', and 'Maintenance'. Below this, a breadcrumb trail reads 'Home - Dashboard > User Setup'. On the left, there is a 'Filter' sidebar with fields for 'User Id' and 'Status' (set to 'Unlocked'), and buttons for 'Refresh' and 'Reset to Defaults'. The main area contains 'Add User' and 'Export' buttons, followed by 'Showing 1 - 10 of 10' and a pagination control showing 'Rows 20' and page '1'. A table lists users with columns: Actions, User Id, First Name, Last Name, Email, Client, Description, Last Login, Status, and Lock Reason. The row for 'user6' is highlighted in orange. A red box highlights the 'Actions' column for 'user6', which contains links for 'Amend', 'Lock/Unlock', and 'Delete'.

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/00/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

- Click **Amend**, the detail of the OASIS user account will be displayed and allow for user to edit.



6. The color of the field will change if it is edited. E.g. the Last Name was changed from “user6” to “Test”.



7. You can also change the access rights of the OASIS user. We can remove existing access by clicking **Remove**; and add new access by selecting the combination of legal entities and users groups then press **Assign**.

User Details Setup 2/3
Grant Access to Legal Entities

Select Legal Entities Select Groups

CB1
CB1_OMNI1
CB1_OMNI2
CLAXCB1
CLBXC1

selfservice_collateral_approver
selfservice_collateral_user
selfservice_documentdownload

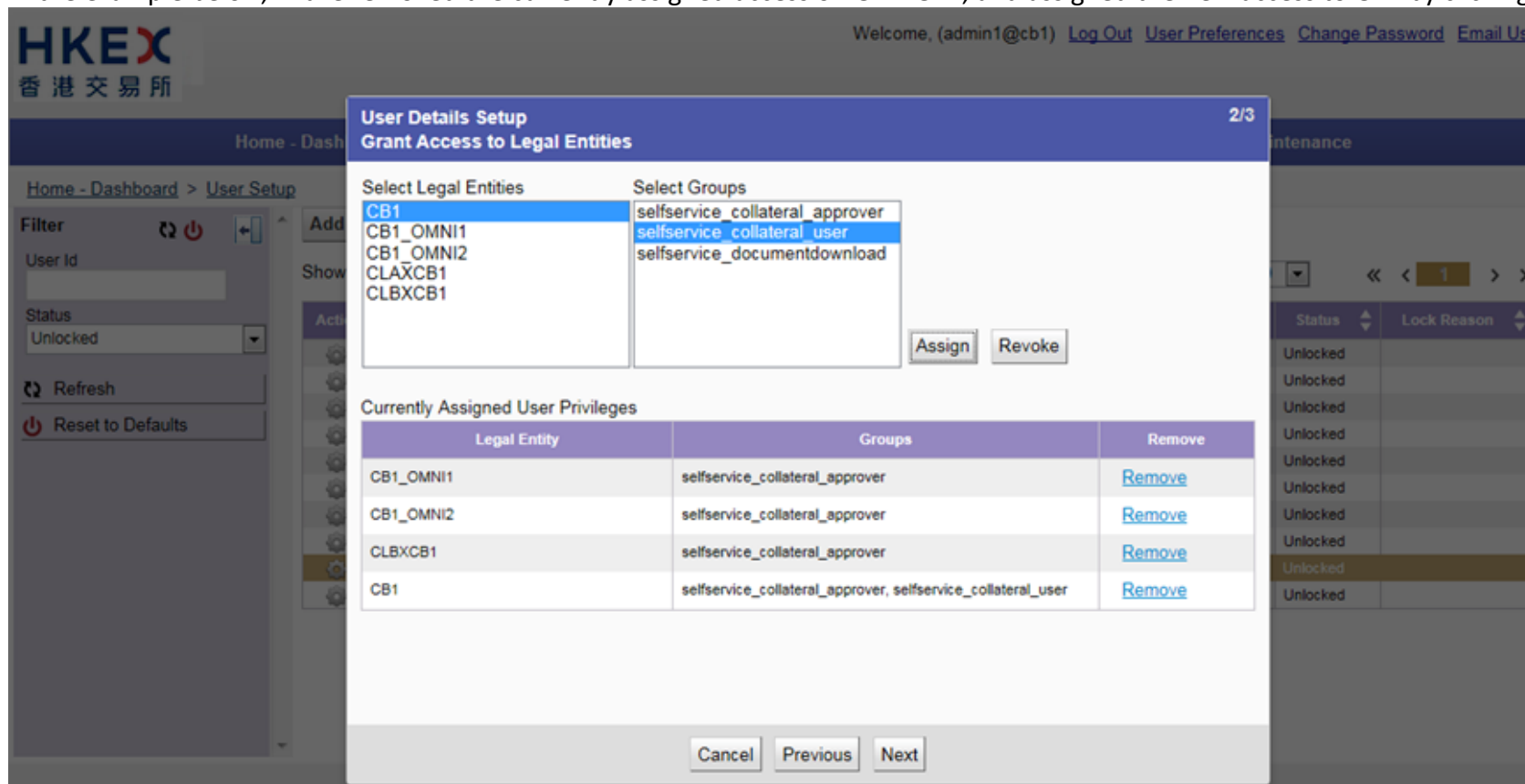
Assign Revoke

Currently Assigned User Privileges

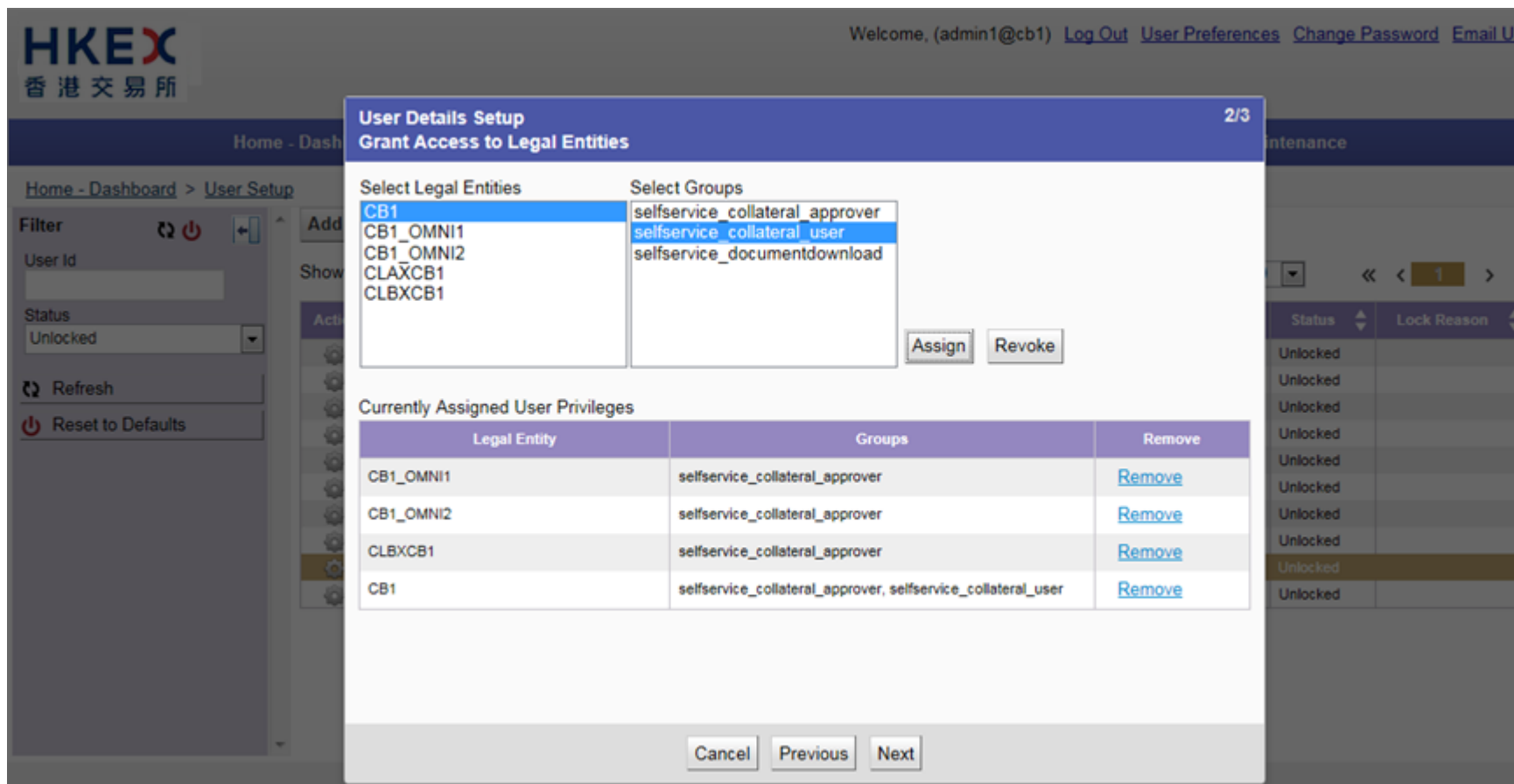
| Legal Entity | Groups | Remove |
|--------------|---------------------------------|------------------------|
| CB1_OMNI1 | selfservice_collateral_approver | Remove |
| CB1_OMNI2 | selfservice_collateral_approver | Remove |
| CLBXC1 | selfservice_collateral_approver | Remove |
| CB1 | selfservice_collateral_approver | Remove |
| CLAXCB1 | selfservice_collateral_approver | Remove |

Cancel Previous Next

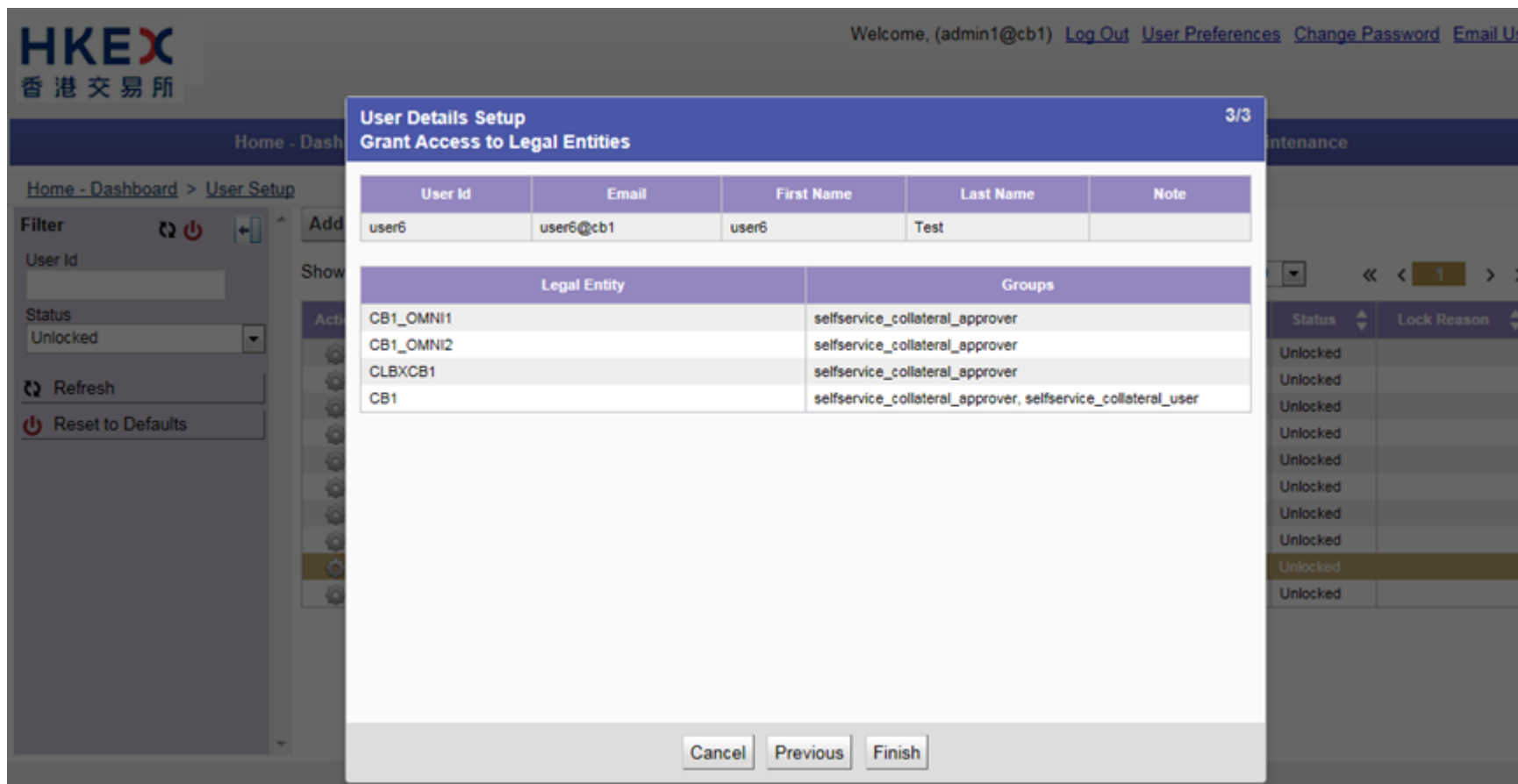
8. In the example below, I have removed the currently assigned access on **CLAXCB1**; and assigned the new access to **CB1** by clicking **Assign**.



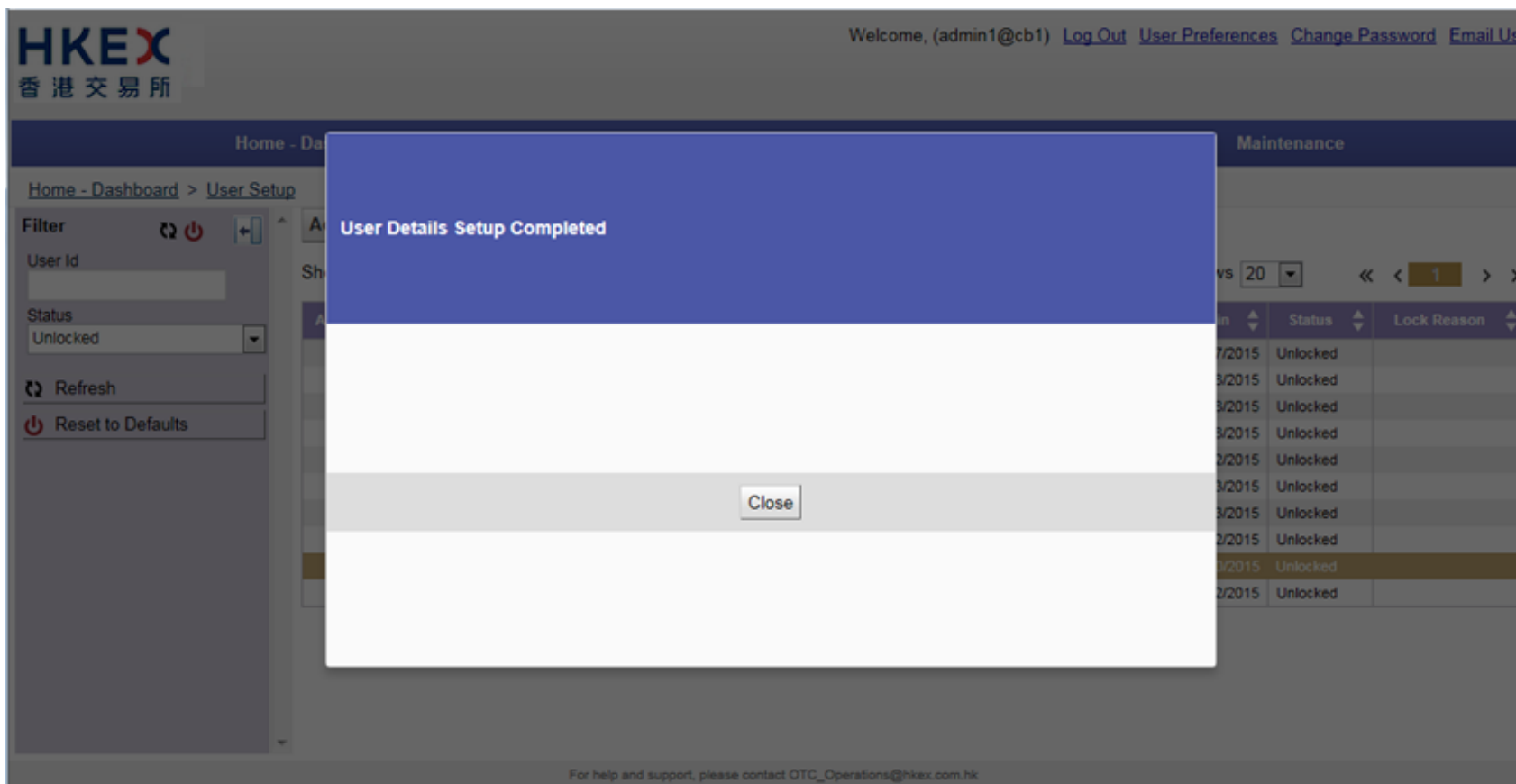
9. The below displays the new access profile of this user



10. Similar to other process, the system will display all details for user to reconfirm before submitting the changes for approval.



11. After clicking **Finish**, the following screen will appear. User can continue using other functions of OASIS by clicking **Close**.



12. After clicking **Close**, the user will return to the “User Setup” window. The change made will not be displayed until a different user approved the changes. For approval process, please refer to **Part II, Section 2.5**.

HKEX 香港交易所

Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter

Status

Showing 1 - 10 of 10 Rows

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

For help and support, please contact OTC_Operations@hkex.com.hk

2.3. Lock/Unlock of OASIS User Accounts

2.3.1. Function Description

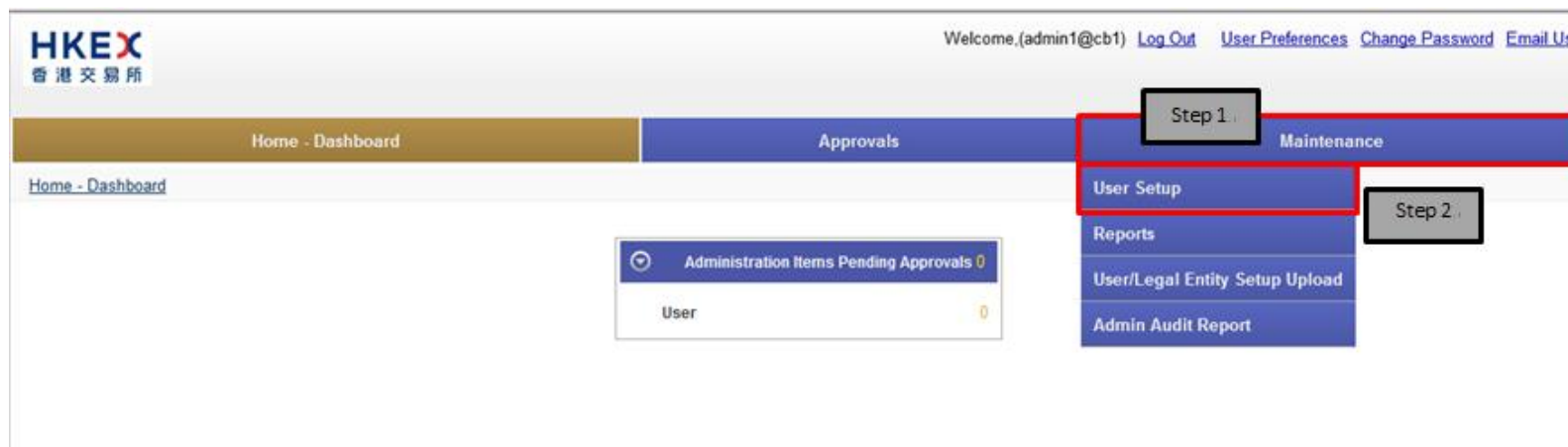
To lock/unlock OASIS user accounts

2.3.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.3.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User Setup**.



2. Current Location will be updated and the Content Area will display all the OASIS User Accounts for this Clearing Member.

Home - Dashboard > **User Setup**

Filter: User Id, Status (Unlocked), Refresh, Reset to Defaults

Add User Export

Showing 1 - 10 of 10 Rows 20

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

For help and support, please contact OTC_Operations@hkex.com.hk

- To amend the detail of an OASIS user account, click the icon in the **Actions** column of the user account to be amended.

The screenshot displays the OASIS Web Portal interface. At the top, there is a navigation bar with the HKEX logo and the text '香港交易所'. Below this, a blue navigation bar contains 'Home - Dashboard', 'Approvals', and 'Maintenance'. The main content area shows a breadcrumb trail 'Home - Dashboard > User Setup'. On the left, there is a 'Filter' sidebar with a search box for 'User Id', a 'Status' dropdown menu set to 'Unlocked', and buttons for 'Refresh' and 'Reset to Defaults'. The main area contains a table of users with columns: 'Actions', 'User Id', 'First Name', 'Last Name', 'Email', 'Client', 'Description', 'Last Login', 'Status', and 'Lock Reason'. The 'Actions' column is highlighted with a red box. The table shows 10 users, all with a status of 'Unlocked'. At the bottom of the page, there is a footer with the text 'For help and support, please contact OTC_Operations@hkex.com.hk'.

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

- After clicking the icon, the selected OASIS user account will be highlighted and an action box will be displayed. If **Lock/Unlock** is clicked, the selected OASIS user account will have its status change from the current status (shown on the far right).

HKEX 香港交易所

Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter Status Unlocked Refresh Reset to Defaults

Add User Export

Showing 1 - 10 of 10 Rows 20

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------------------------------------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| Amend Lock/Unlock Delete | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

For help and support, please contact OTC_Operations@hkex.com.hk

- After **Lock/Unlock** is clicked, the user will return to the “User Setup” window. The change made will not be displayed until a different user approved the changes. For approval process, please refer to **Part II, Section 2.5**.

HKEX 香港交易所

Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter Unlocked

Refresh Reset to Defaults

Add User Export

Showing 1 - 10 of 10 Rows 20

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

For help and support, please contact OTC_Operations@hkex.com.hk

2.4. Reset Password of OASIS User Accounts

2.4.1. Function Description

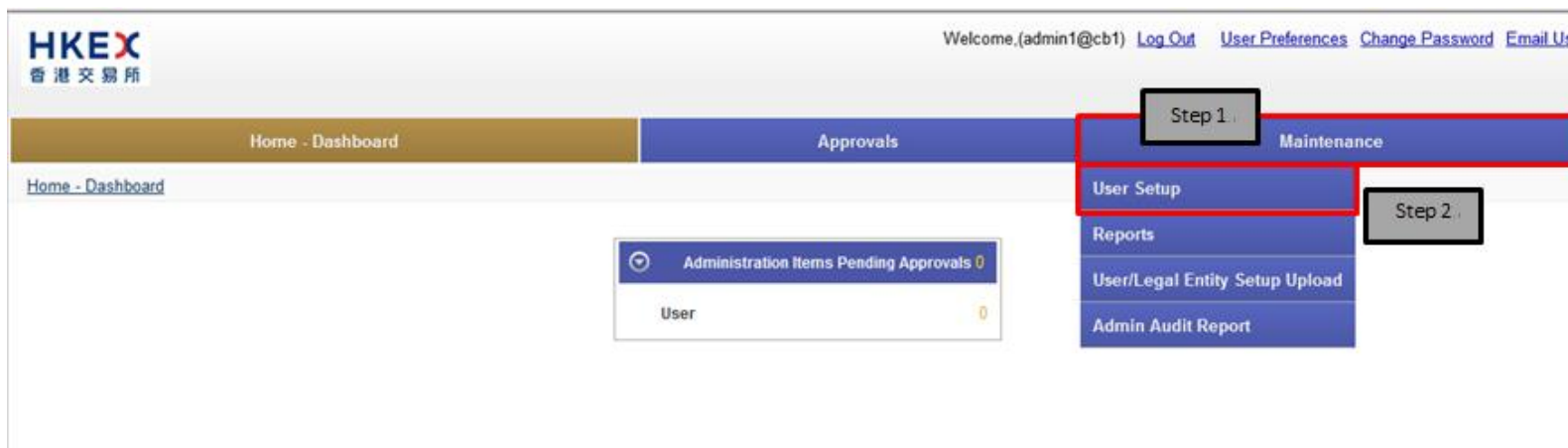
To reset password of OASIS user accounts

2.4.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.4.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User Setup**.



2. Current Location will be updated and the Content Area will display all the OASIS User Accounts for this Clearing Member.

The screenshot displays the OASIS Web Portal interface. At the top left is the HKEX logo. The top right shows a welcome message for 'admin1@cb1' with links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us'. Below this is a navigation bar with 'Home - Dashboard', 'Approvals', and 'Maintenance'. A breadcrumb trail 'Home - Dashboard > User Setup' is highlighted with a red box. The main content area features a 'Filter' sidebar on the left with fields for 'User Id' and 'Status' (set to 'Unlocked'), and buttons for 'Refresh' and 'Reset to Defaults'. The main area has 'Add User' and 'Export' buttons, followed by 'Showing 1 - 10 of 10' and a pagination control showing 'Rows 20' and page '1'. A table with 10 columns is displayed, with the first column 'Actions' containing gear icons. The table data is as follows:

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

At the bottom of the page, there is a footer: 'For help and support, please contact OTC_Operations@hkex.com.hk'.

- To reset the password of an OASIS user account, click the icon in the **Actions** column of the user account.

The screenshot shows the OASIS Web Portal User Account Administration Portal. At the top left is the HKEX logo and name. At the top right, it says "Welcome, (admin1@cb1)" with links for "Log Out", "User Preferences", "Change Password", and "Email Us". Below this is a navigation bar with "Home - Dashboard", "Approvals", and "Maintenance". The main content area is titled "Home - Dashboard > User Setup". On the left is a "Filter" sidebar with fields for "User Id", "Status" (set to "Unlocked"), and buttons for "Refresh" and "Reset to Defaults". At the top of the main area are "Add User" and "Export" buttons. Below these are "Showing 1 - 10 of 10" and "Rows 20" with pagination controls. The main area contains a table with the following columns: Actions, User Id, First Name, Last Name, Email, Client, Description, Last Login, Status, and Lock Reason. The table lists 10 users, with the "Actions" column highlighted by a red box. The data in the table is as follows:

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

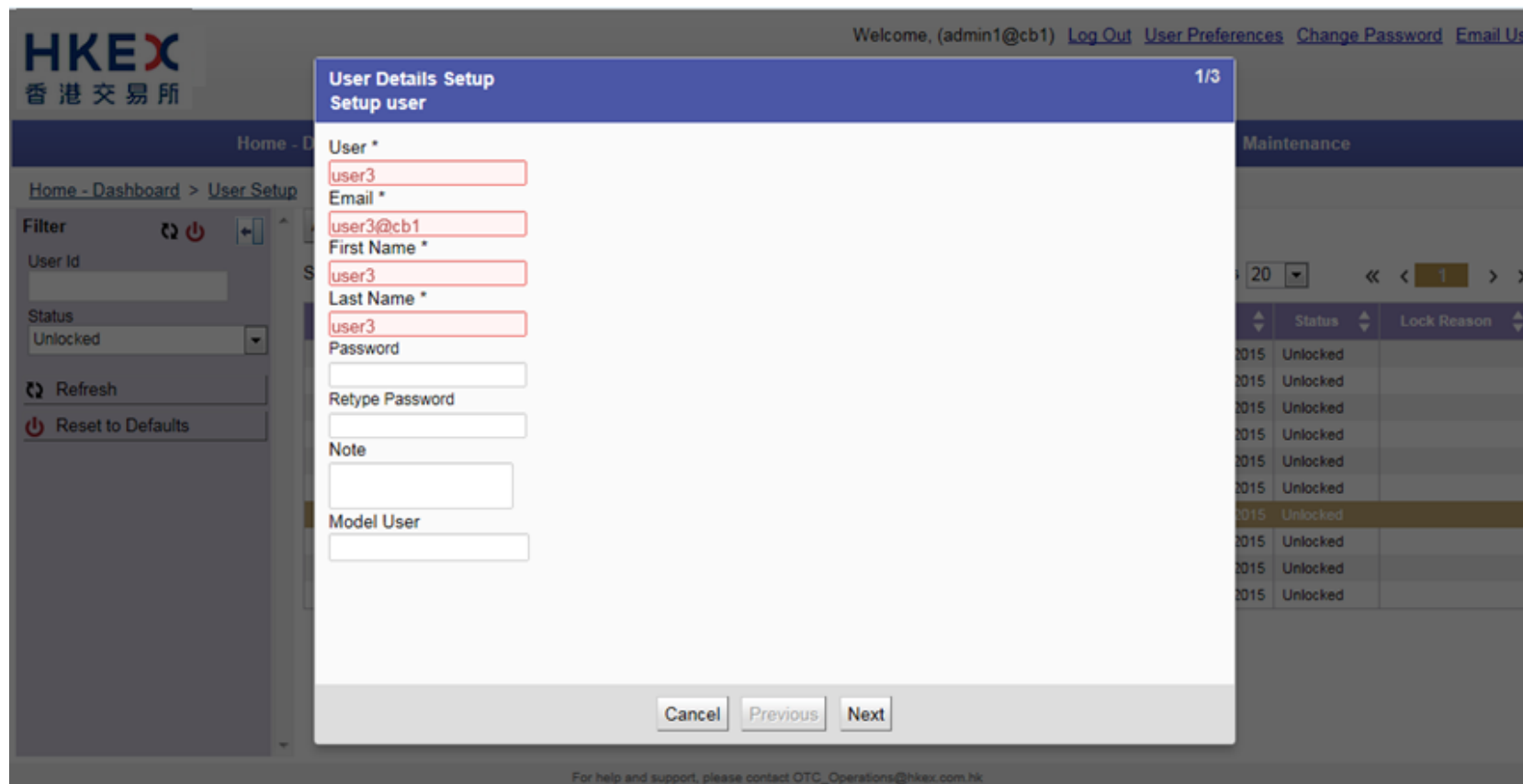
At the bottom of the page, it says "For help and support, please contact OTC_Operations@hkex.com.hk".

- After clicking the icon, the selected OASIS user account will be highlighted and an action box will be displayed.

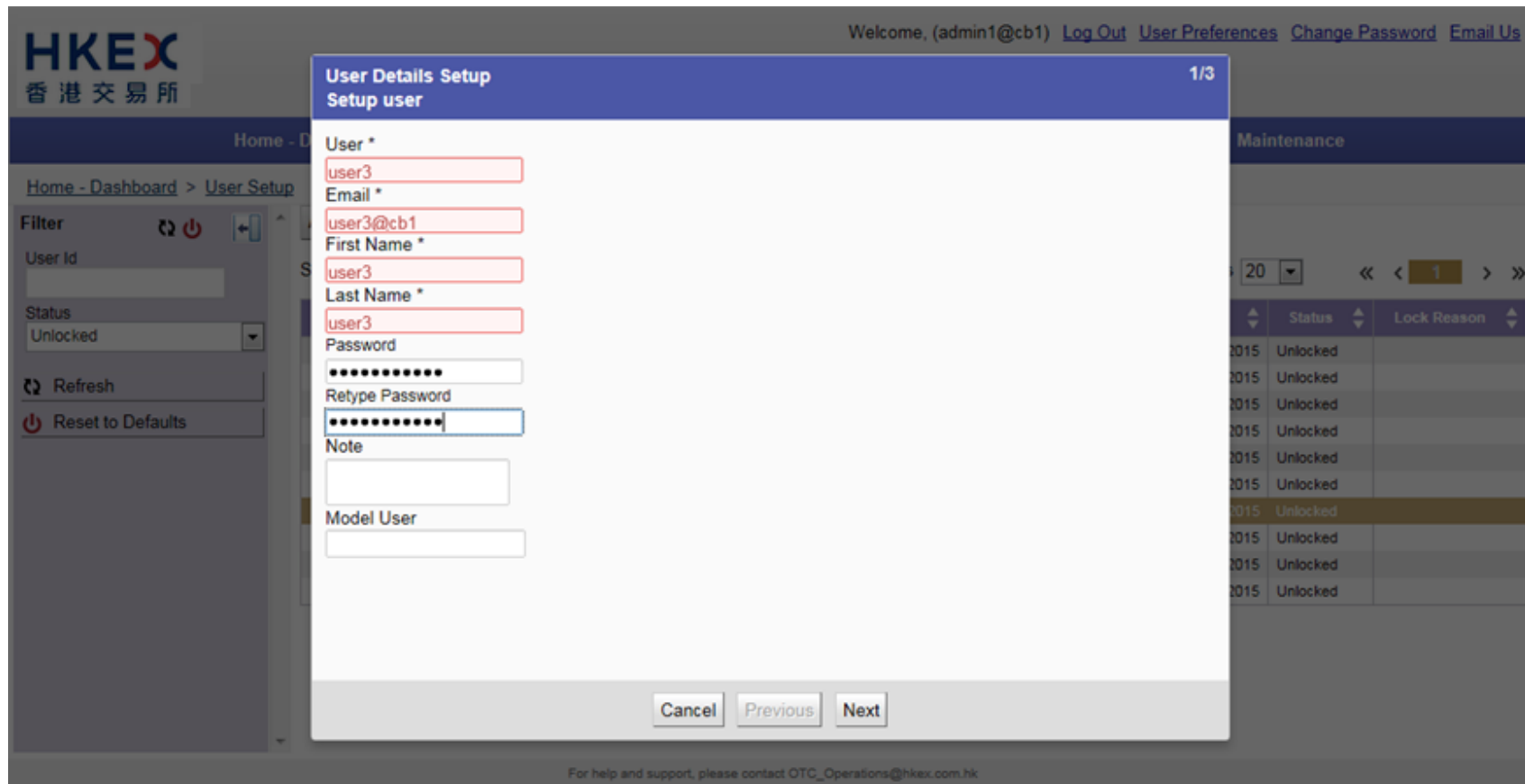
The screenshot shows the OASIS User Account Administration Portal interface. At the top, there is a header with the HKEX logo and the text 'Welcome, (admin1@cb1)'. Below the header, there are navigation tabs for 'Home - Dashboard', 'Approvals', and 'Maintenance'. The main content area is titled 'Home - Dashboard > User Setup'. On the left, there is a 'Filter' sidebar with options for 'User Id' and 'Status' (set to 'Unlocked'). There are also 'Refresh' and 'Reset to Defaults' buttons. The main area contains a table of users with columns: Actions, User Id, First Name, Last Name, Email, Client, Description, Last Login, Status, and Lock Reason. The table shows 10 users, with 'user3' highlighted in orange. A dropdown menu is open for 'user3', showing 'Amend', 'Lock/Unlock', and 'Delete' options. The 'Amend' option is highlighted with a red box. Below the table, there is a footer with contact information: 'For help and support, please contact OTC_Operations@hkex.com.hk'.

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

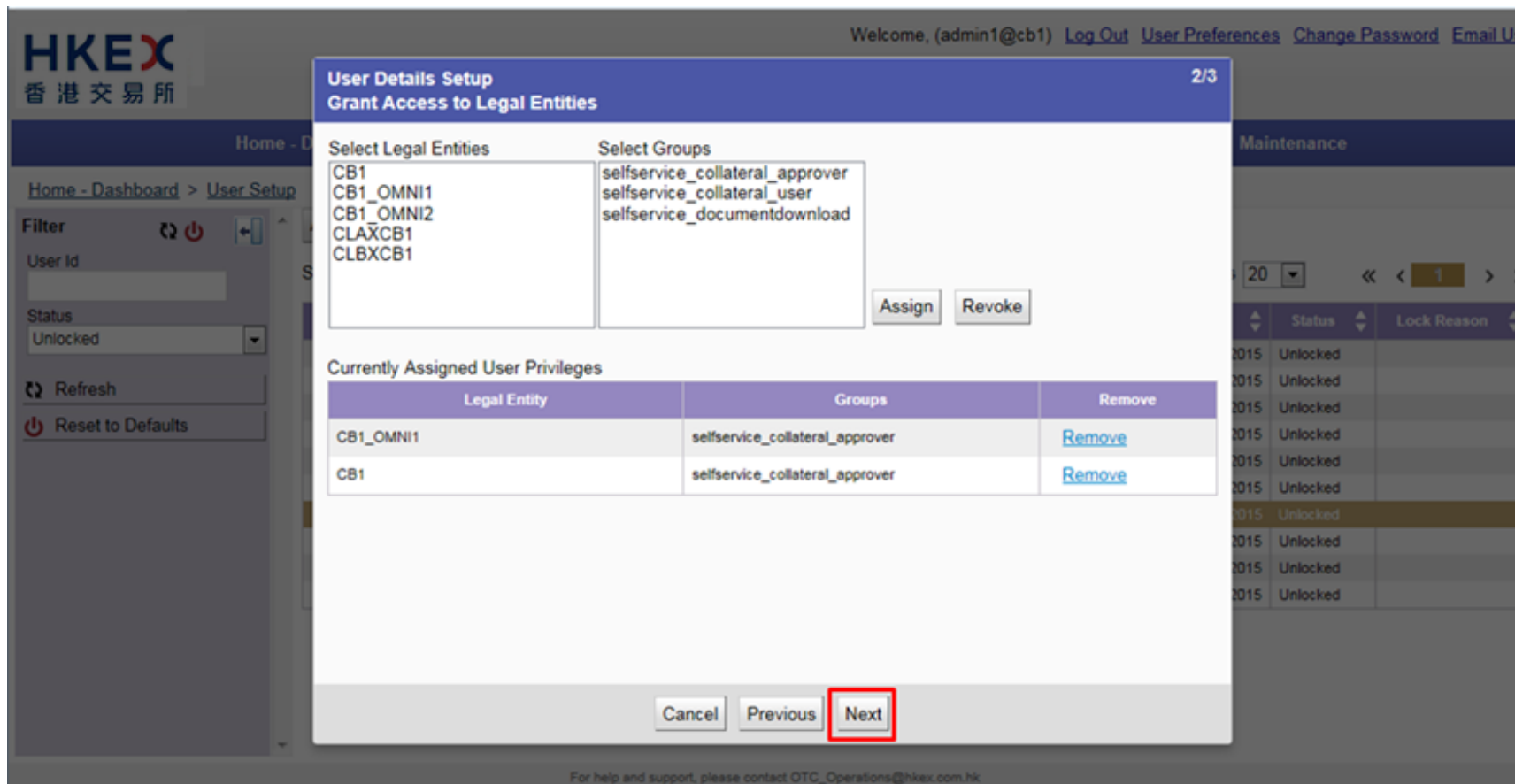
- Click **Amend**, the detail of the OASIS user account will be displayed.



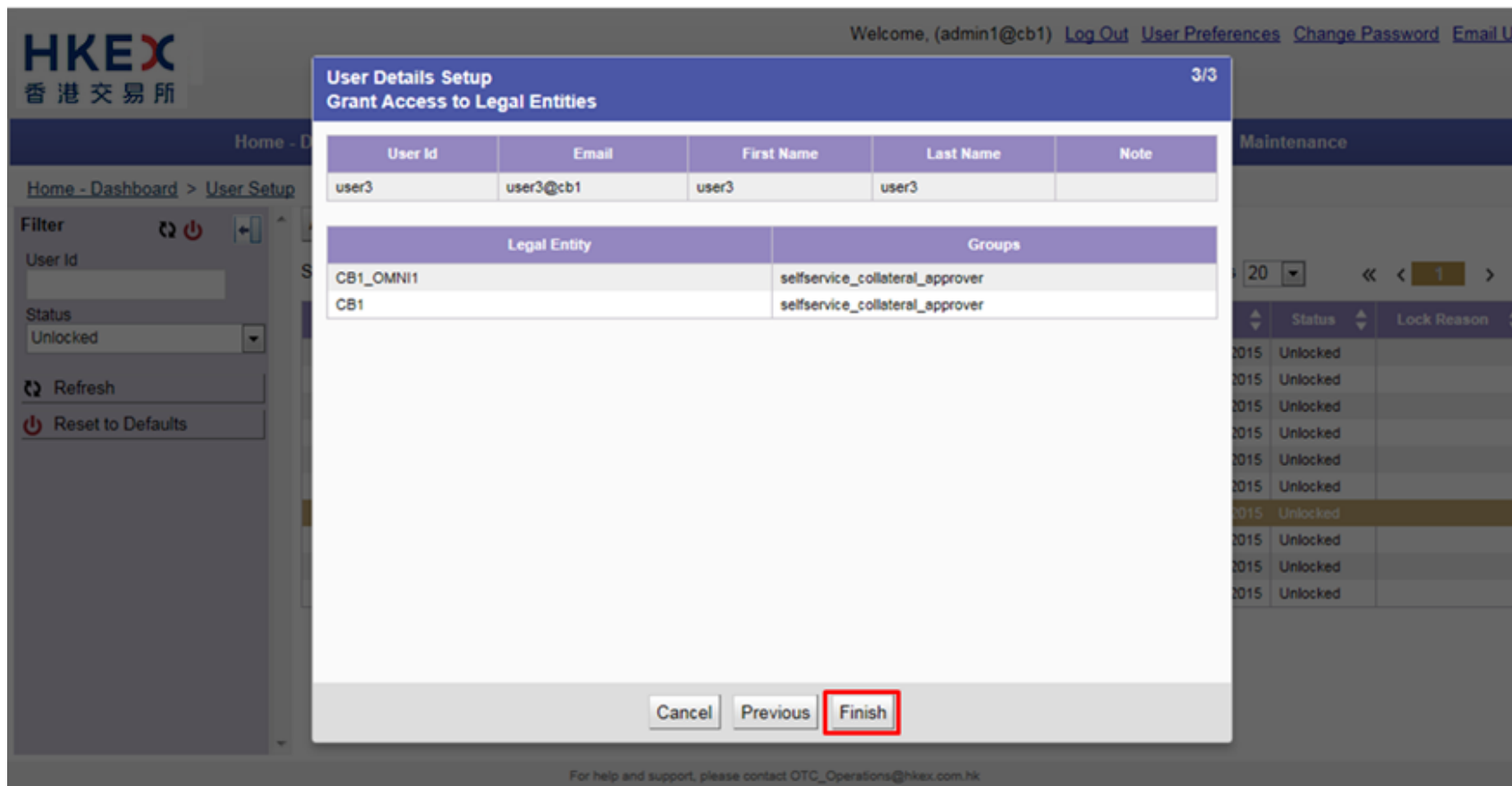
6. Reset the password by entering a temporary password at the **Password** field and the **Retype Password** field. Then click **Next**.



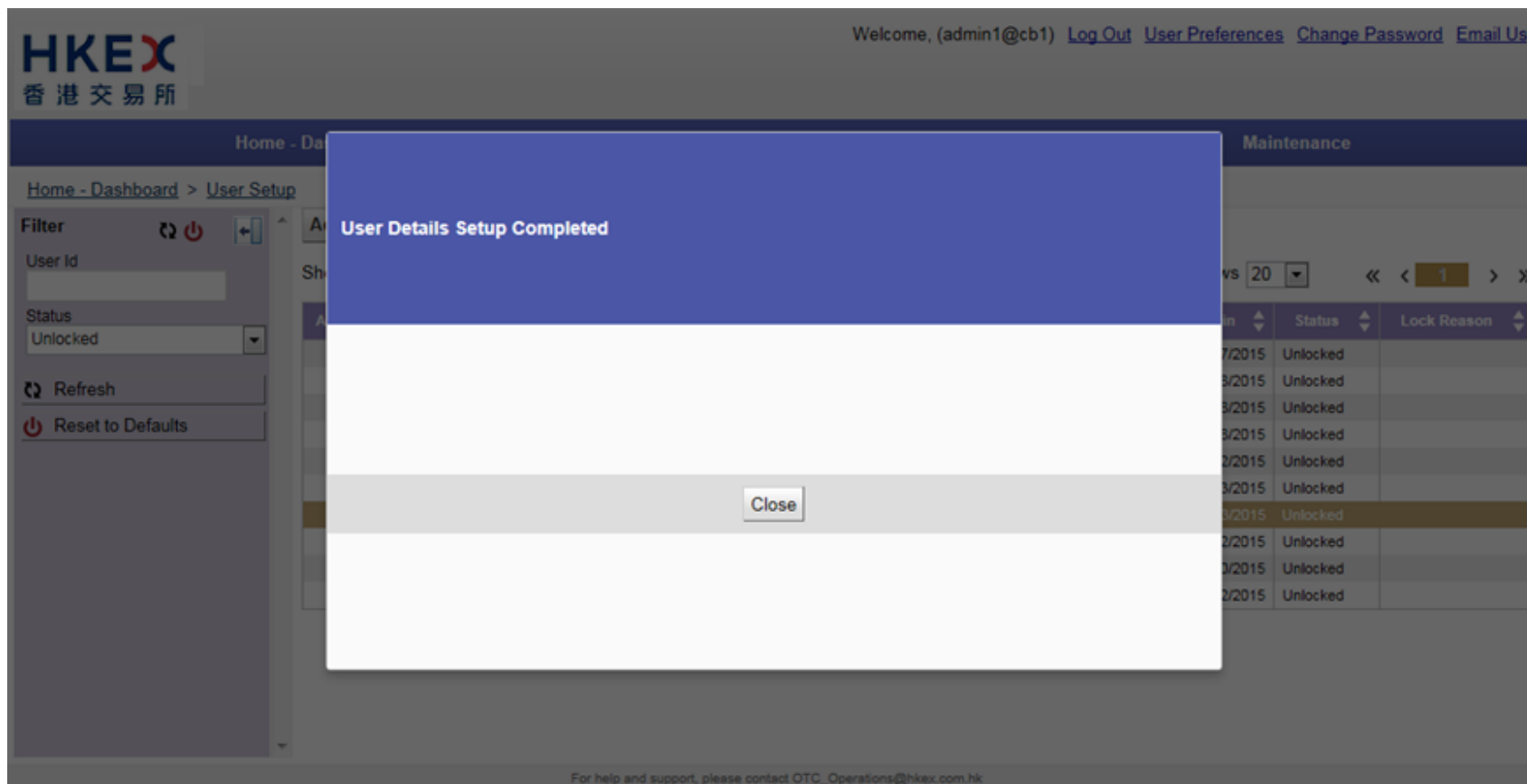
7. To continue with the reset password process by clicking **Next** in the user access assignment page.



8. To complete the process, user need to click **Finish** in the confirmation page.



9. After clicking **Finish**, the following screen will appeared. User can continue using other functions of OASIS by clicking **Close**.



10. After clicking **Close**, the user will return to the “User Setup” window. The temporary password will not be effective until a different user approved the change. For approval process, please refer to **Part II, Section 2.5**.

HKEX 香港交易所

Welcome, (admin1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals Maintenance

Home - Dashboard > User Setup

Filter Refresh Reset to Defaults

Add User Export

Showing 1 - 10 of 10 Rows 20 << < 1 > >>

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|----------------|--------|-------------|------------|----------|-------------|
| | tester1 | tester123 | one123 | tester123@cb1 | cb1 | | 11/17/2015 | Unlocked | |
| | tester2 | tester2 | two | tester2@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester3 | tester321 | three321 | tester321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | tester4 | tester4321 | four4321 | tester4321@cb1 | cb1 | | 11/18/2015 | Unlocked | |
| | user1 | user1 | user1 | user1@cb1 | cb1 | | 12/02/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cb1 | cb1 | | 11/23/2015 | Unlocked | |
| | user3 | user3 | user3 | user3@cb1 | cb1 | | 10/13/2015 | Unlocked | |
| | user5 | user5 | user5 | user5@cb1 | cb1 | | 10/12/2015 | Unlocked | |
| | user6 | user6 | user6 | user6@cb1 | cb1 | | 10/30/2015 | Unlocked | |
| | user7 | user7 | user7 | user7@cb1 | cb1 | | 10/12/2015 | Unlocked | |

For help and support, please contact OTC_Operations@hkex.com.hk

2.5. Approve Creation/Amendment of OASIS User Accounts

2.5.1. Function Description

To approve creation of new User Account and/or amendment on existing User Account.

2.5.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.5.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Approvals**. Note the dashboard will highlight the number of approvals pending action.



Location will be updated and the Content Area will display all the changes pending approval.

The screenshot shows the OASIS Web Portal interface. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals 2', and 'Maintenance'. Below this, a breadcrumb trail reads 'Home - Dashboard > Approvals > Admin'. A filter sidebar on the left includes options for 'Filter', 'From:', 'To:', 'Activity:', and 'Show All Pending'. The main content area features a table of pending approvals with the following data:

| Actions | Type | Client | Activity | Description | Modified By | Timestamp |
|---------|------|--------|----------|-------------|-------------|---------------------|
| | User | cb1 | Update | user6==cb1 | admin1==cb1 | 12/02/2015 01:46 PM |
| | User | cb1 | Update | user3==cb1 | admin1==cb1 | 12/02/2015 02:08 PM |

3. The below table listed out the attributes in the order displayed.

| Attribute | Descriptions | Sortable |
|-------------|---|----------|
| Actions | Actions available for this request under the current processing status | N/A |
| Type | The nature of the request. "User" will be shown for all entries related to change involving user account. | Yes |
| Client | The Clearing Member that owns the user accounts. | N/A |
| Activity | The action applied to the user account. New represent a creation of an user account Update represent an amendment of an user account | Yes |
| Description | The user accounts being change d/created. Please note "==" is equal to "@". Referring to the 1 st entry, user account tester2@cb2 is being created | Yes |
| Modified by | The user accounts that initiated the request. Please note "==" is equal to "@". Referring to the 1 st entry, user account cb2_admin@cb2 initiated the change | Yes |
| Timestamp | The time that the request is initiated and submitted for approval | Yes |

- To view the full detail of the changes made to the user account, select the request by clicking the checkbox on the first column and click **View Details**. It will display a comparison table listing fields being changed and the old value and the new value of the field.




Welcome, (admin2@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)


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Home - Dashboard Approvals **2** Maintenance


[Home - Dashboard](#) > [Approvals](#) > [Admin](#)


Admin **2**

Filter   


ALL 


From: 

To: 


Activity: ALL 


Show All Pending






 Refresh

 Reset to Defaults

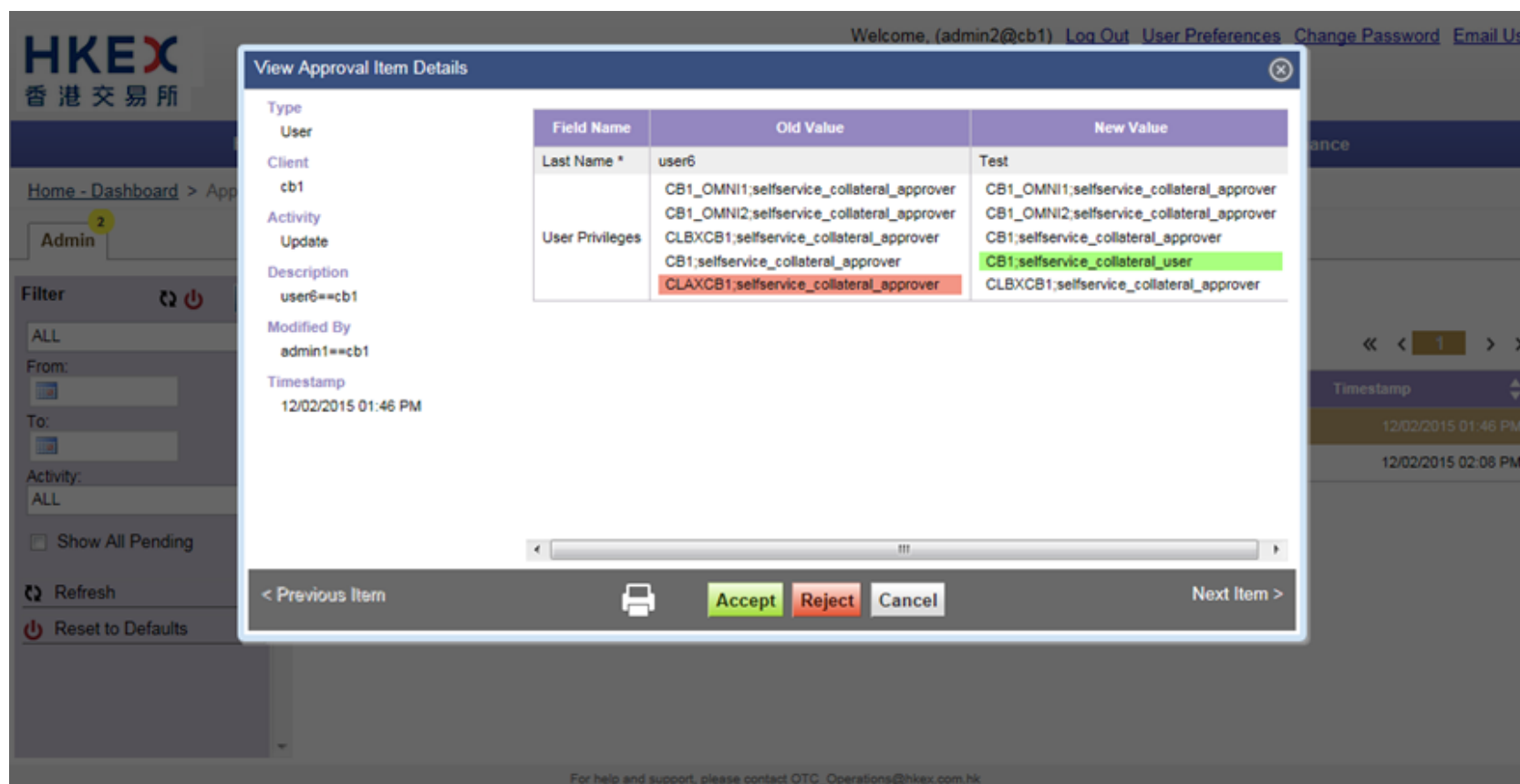
Accept **Reject** **View Details**

Showing 1 - 2 of 2 

Rows  << < **1** > >>

|  | Actions  | Type | Client | Activity | Description | Modified By | Timestamp |
|---|---|------|--------|----------|-------------|-------------|---------------------|
| <input checked="" type="checkbox"/> |  | User | cb1 | Update | user6==cb1 | admin1==cb1 | 12/02/2015 01:46 PM |
|  |  | User | cb1 | Update | user3==cb1 | admin1==cb1 | 12/02/2015 02:08 PM |

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5. If the details are correct, approve the request by clicking **Accept**; otherwise, click **Reject** to reject the request or **Cancel** to go back to the approval menu.
6. Once the request is approved (or rejected), it will disappear from the list of requests pending approval.

The screenshot displays the OASIS Web Portal Admin interface. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals 2', and 'Maintenance'. Below this is a breadcrumb trail: 'Home - Dashboard > Approvals > Admin'. A 'Filter' sidebar on the left includes options for 'From:', 'To:', 'Activity:', and 'Show All Pending'. The main content area features a table with one row of data. The table has columns for Actions, Type, Client, Activity, Description, Modified By, and Timestamp. The data row shows a 'User' update for client 'cb1' by 'admin1==cb1' on 12/02/2015 at 02:08 PM. There are also 'Accept', 'Reject', and 'View Details' buttons above the table.

| Actions | Type | Client | Activity | Description | Modified By | Timestamp |
|---------|------|--------|----------|-------------|-------------|---------------------|
| | User | cb1 | Update | user3==cb1 | admin1==cb1 | 12/02/2015 02:08 PM |

- Please note the user will be prompted to change password when logging in for the first time after a password reset is made to his/her user account.

2.6. Extract detail of OASIS User Accounts

2.6.1. Function Description

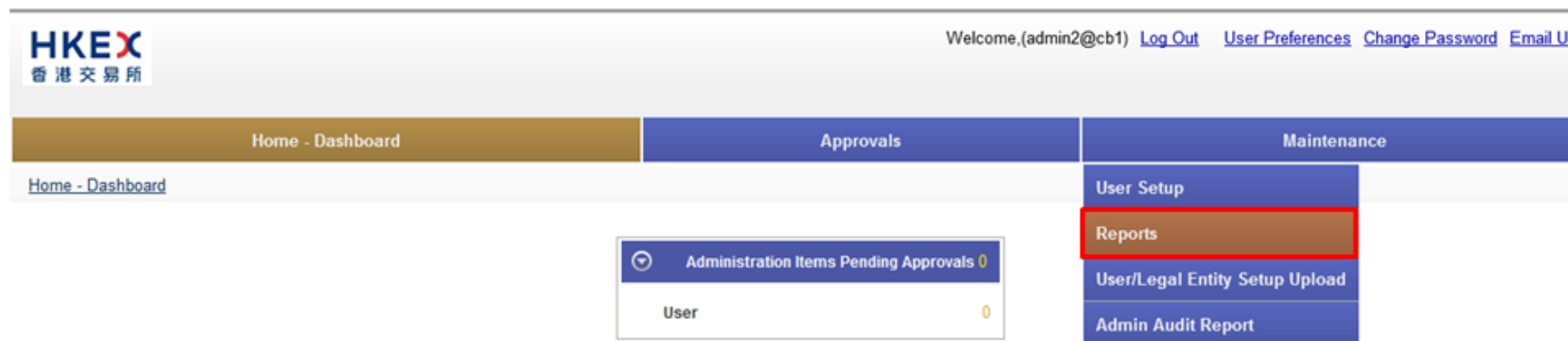
To retrieve the details and status of collateral movement requests created/submitted.

2.6.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.6.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **Reports**.



2. Click **Select Report** for the list of reports available

Home - Dashboard > Reports

Select Report: **User Data** (dropdown menu also shows User Data and Group User Mapping)

Filter: Unlocked/Locked #failed password attempts

Refresh Reset to Defaults

Showing 1 - 11 of 11

Rows 20

| User Id | Status | #Failed Password Attempts |
|---------|----------|---------------------------|
| user6 | Unlocked | 0 |
| user7 | Unlocked | 0 |
| tester3 | Unlocked | 0 |
| tester4 | Unlocked | 0 |
| user2 | Unlocked | 0 |
| tester1 | Unlocked | 0 |
| admin1 | Unlocked | 0 |
| admin2 | Unlocked | 0 |
| user1 | Unlocked | 0 |
| tester2 | Unlocked | 0 |
| admin3 | Unlocked | 0 |

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- For **User Data report**, the full list of OASIS users for this Clearing Member (Including OASIS admin user account) will be displayed and the number of failed password attempts. This can be sorted by the attributes or by using the filters on the left (red-boxed).

Welcome, (admin2@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals 2 Maintenance

Home - Dashboard > Reports

Select Report User Data

Filter Unlocked/Locked
#failed password attempts
Refresh
Reset to Defaults

Export

Showing 1 - 13 of 13 Rows 20

| User Id | Status | #Failed Password Attempts |
|---------|----------|---------------------------|
| user3 | Unlocked | 0 |
| user5 | Unlocked | 0 |
| user6 | Unlocked | 0 |
| user7 | Unlocked | 0 |
| tester3 | Unlocked | 0 |
| tester4 | Unlocked | 0 |
| user2 | Unlocked | 0 |
| tester1 | Unlocked | 0 |
| admin1 | Unlocked | 0 |
| admin2 | Unlocked | 0 |
| user1 | Unlocked | 0 |
| tester2 | Unlocked | 0 |
| admin3 | Unlocked | 0 |

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4. The user can extract the displayed information into an excel file with csv file extension by clicking **Export**.

Welcome, (admin2@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals **2** Maintenance

Home - Dashboard > Reports

Select Report **User Data**

Export

Showing 1 - 13 of 13 Rows 20

| User Id | Status | #Failed Password Attempts |
|---------|----------|---------------------------|
| user3 | Unlocked | 0 |
| user5 | Unlocked | 0 |
| user6 | Unlocked | 0 |
| user7 | Unlocked | 0 |
| tester3 | Unlocked | 0 |
| tester4 | Unlocked | 0 |
| user2 | Unlocked | 0 |
| tester1 | Unlocked | 0 |
| admin1 | Unlocked | 0 |
| admin2 | Unlocked | 0 |
| user1 | Unlocked | 0 |
| tester2 | Unlocked | 0 |
| admin3 | Unlocked | 0 |

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A window will appear and user can select the location to save the file.

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Welcome, (admin2@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Home - Dashboard Approvals **2** Maintenance

Home - Dashboard > Reports

Select Report **User Data**

Filter: Unlocked/Locked #failed password attempts Refresh Reset to Defaults

Export

Showing 1 - 13 of 13 Rows 20 << < 1 > >>

| User Id | Status | #Failed Password Attempts |
|---------|----------|---------------------------|
| user3 | Unlocked | 0 |
| user5 | Unlocked | 0 |
| user6 | Unlocked | 0 |
| user7 | Unlocked | 0 |
| tester3 | Unlocked | 0 |
| tester4 | Unlocked | 0 |
| user2 | Unlocked | 0 |
| tester1 | Unlocked | 0 |
| admin1 | Unlocked | 0 |
| admin2 | Unlocked | 0 |
| user1 | Unlocked | 0 |
| tester2 | Unlocked | 0 |
| admin3 | Unlocked | 0 |

Do you want to open or save **userDataReport2015-12-02 15-58-28.csv** (247 bytes) from 10.154.5.66? Open Save Cancel

| Attribute | Descriptions | Sortable |
|-----------|---|----------|
| User Id | The assigned name of the “user” for the OASIS user account. Note: this is not the login ID of the OASIS user account | Yes |
| Status | The status of the OASIS user account. i.e. Locked / Unlocked | Yes |

| | | |
|-------------------------------|--|-----|
| # of Failed Password Attempts | The number of failed login attempts for the OASIS user account | Yes |
|-------------------------------|--|-----|

5. The access group(s) for list of OASIS users under this Clearing Member (aside from the OASIS admin account) will also be displayed by selecting the drop down box to **Group User Mapping**.

Home - Dashboard Approvals **2** Maintenance

Home - Dashboard > Reports

Select Report **Group User Mapping**

Filter Legal Entity Group

Refresh Reset to Defaults

Export

Showing 1 - 20 of 30 Rows 20

| UserId | Legal Entity | Group |
|--------|--------------|--|
| user3 | CB1_OMNI1 | selfservice_collateral_approver |
| user7 | CB1_OMNI1 | selfservice_collateral_approver,selfservice_collateral_user |
| user6 | CB1_OMNI1 | selfservice_collateral_approver |
| user5 | CB1_OMNI1 | selfservice_collateral_user |
| user2 | CB1_OMNI1 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |
| user1 | CB1_OMNI1 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |
| user7 | CB1_OMNI2 | selfservice_collateral_approver,selfservice_collateral_user |
| user6 | CB1_OMNI2 | selfservice_collateral_approver |
| user5 | CB1_OMNI2 | selfservice_collateral_user |
| user2 | CB1_OMNI2 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |
| user1 | CB1_OMNI2 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |
| user7 | CLBXCBI | selfservice_collateral_approver,selfservice_collateral_user |
| user6 | CLBXCBI | selfservice_collateral_approver |
| user5 | CLBXCBI | selfservice_collateral_user |

For help and support, please contact OTC_Operations@hkex.com.hk

The below table listed out the attributes in the order displayed.

| Attribute | Descriptions | Sortable |
|--------------|---|----------|
| User Id | The assigned name of the “user” for the OASIS user account. Note: this is not the login ID of the OASIS user account | Yes |
| Legal Entity | Legal Entity of OASIS user account that has access to | Yes |
| Group | Access group(s) level of OASIS user accounts for each of Legal Entity | Yes |

6. Similarly, user can also extract the information displayed in **User Setup** into an excel file with csv file extension by clicking **Export**.

Home - Dashboard Approvals **2** Maintenance

Home - Dashboard > Reports

Select Report

Filter ⏻ ⏹ ↔

Legal Entity

Group

↻ Refresh

⏻ Reset to Defaults

Export

Showing 1 - 20 of 30 ↻

Rows << < 1 2 >

| Userid | Legal Entity | Group |
|--------|--------------|--|
| user3 | CB1_OMNI1 | selfservice_collateral_approver |
| user7 | CB1_OMNI1 | selfservice_collateral_approver,selfservice_collateral_user |
| user6 | CB1_OMNI1 | selfservice_collateral_approver |
| user5 | CB1_OMNI1 | selfservice_collateral_user |
| user2 | CB1_OMNI1 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |
| user1 | CB1_OMNI1 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |
| user7 | CB1_OMNI2 | selfservice_collateral_approver,selfservice_collateral_user |
| user6 | CB1_OMNI2 | selfservice_collateral_approver |
| user5 | CB1_OMNI2 | selfservice_collateral_user |
| user2 | CB1_OMNI2 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |
| user1 | CB1_OMNI2 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |
| user7 | CLBXC1 | selfservice_collateral_approver,selfservice_collateral_user |
| user6 | CLBXC1 | selfservice_collateral_approver |
| user5 | CLBXC1 | selfservice_collateral_user |

For help and support, please contact OTC_Operations@hkex.com.hk

The below table listed out the attributes in the order displayed in **User Setup**.

| Attribute | Descriptions | Sortable |
|-------------|---|----------|
| User Id | The assigned name of the “user” for the OASIS user account. Note: this is not the login ID of the OASIS user account | Yes |
| First Name | First name of the “user” for the OASIS user account. | Yes |
| Last Name | Last name of the “user” for the OASIS user account. | Yes |
| Email | The Registered email of the OASIS user account. | Yes |
| Client | The Clearing Member the OASIS user account is belonged to. | Yes |
| Description | Notes key-in by the OASIS admin user when creating the user account | Yes |
| Last Login | Last login time of the OASIS user account | Yes |
| Status | The status of the OASIS user account. | Yes |
| Lock Reason | Reason the account is locked | Yes |

2.7. Assign additional Legal Entities for more than one existing OASIS User Accounts

2.7.1. Function Description

To assign additional Legal Entities for more than one and multiple OASIS User Accounts

2.7.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.7.3. How to Use (Step by Step)

1. Fill in the csv upload template like below:

ACTION: Must "ADD_COMPANY"

Client: CBSL Clearing Broker name

UserId: User name (e.g. user1)

ModelUser: Must leave it BLANK

FirstName: Must leave it BLANK

LastName: Must leave it BLANK

Email: Must leave it BLANK

Description: Must leave it BLANK

Group: selfservice_collateral_user, self service_collateral_approver, selfservice_documentdownload, selfservice_limitenq, or whatif_ClearingMemberID (Can select multiple groups to each user Id)

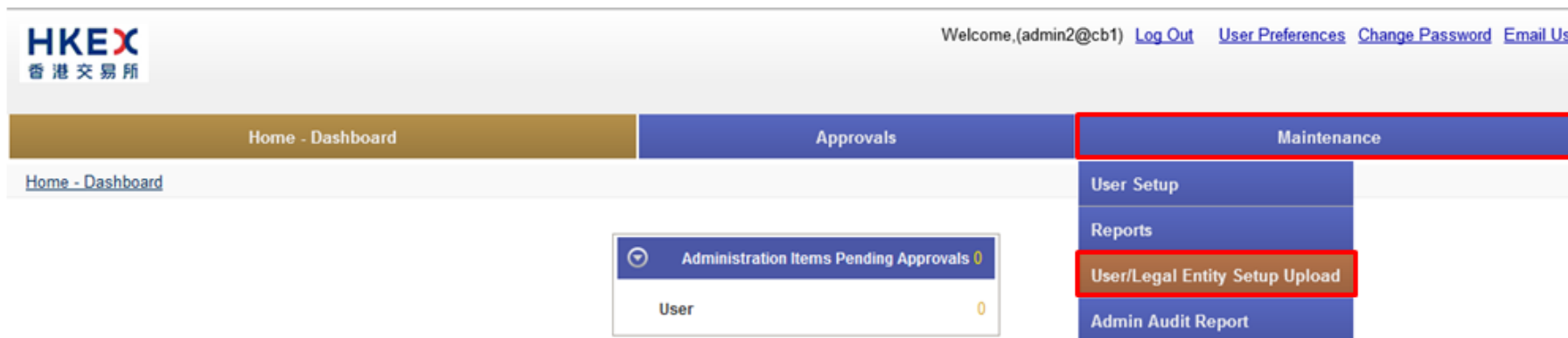
CompanyLegalEntity: New on boarding client legal entity (Can select multiple group to each user Id)

Status: Must leave it BLANK

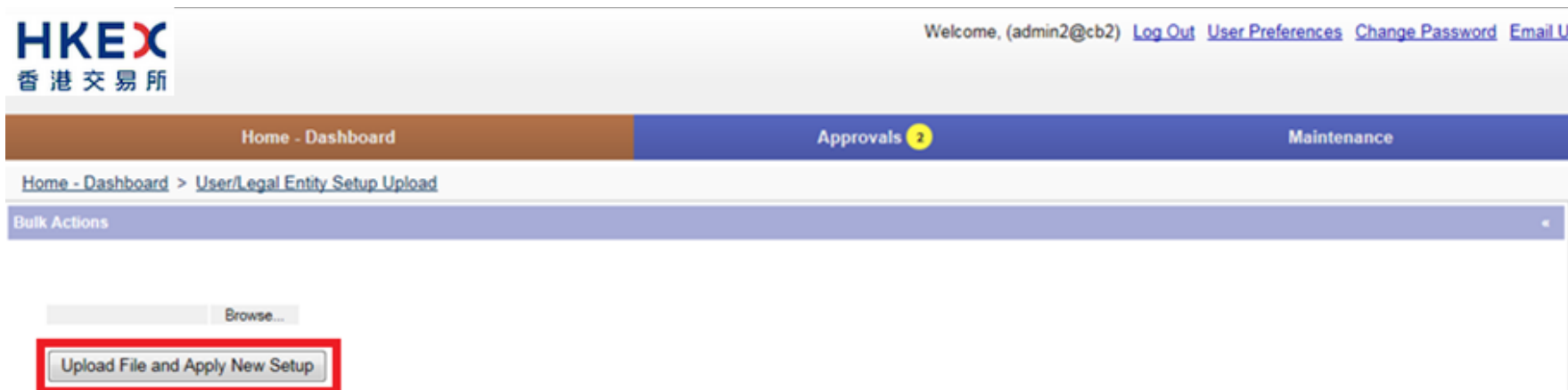
Notes: Must leave it BLANK

| | A | B | C | D | E | F | G | H | I | J | K | L |
|---|-------------|--------|--------|-----------|-----------|----------|-------|-------------|---|-----------------------|--------|-------|
| 1 | ACTION | Client | UserId | ModelUser | FirstName | LastName | Email | Description | Group | CompanyLegalEntity | Status | Notes |
| 2 | ADD_COMPANY | CB1 | user2 | | | | | | selfservice_collateral_user;selfservice_collateral_approver | CB1;CLAXCB1 | | |
| 3 | ADD_COMPANY | CB1 | user3 | | | | | | selfservice_collateral_user;selfservice_collateral_approver | CB1;CLAXCB1;CB1_OMNI1 | | |

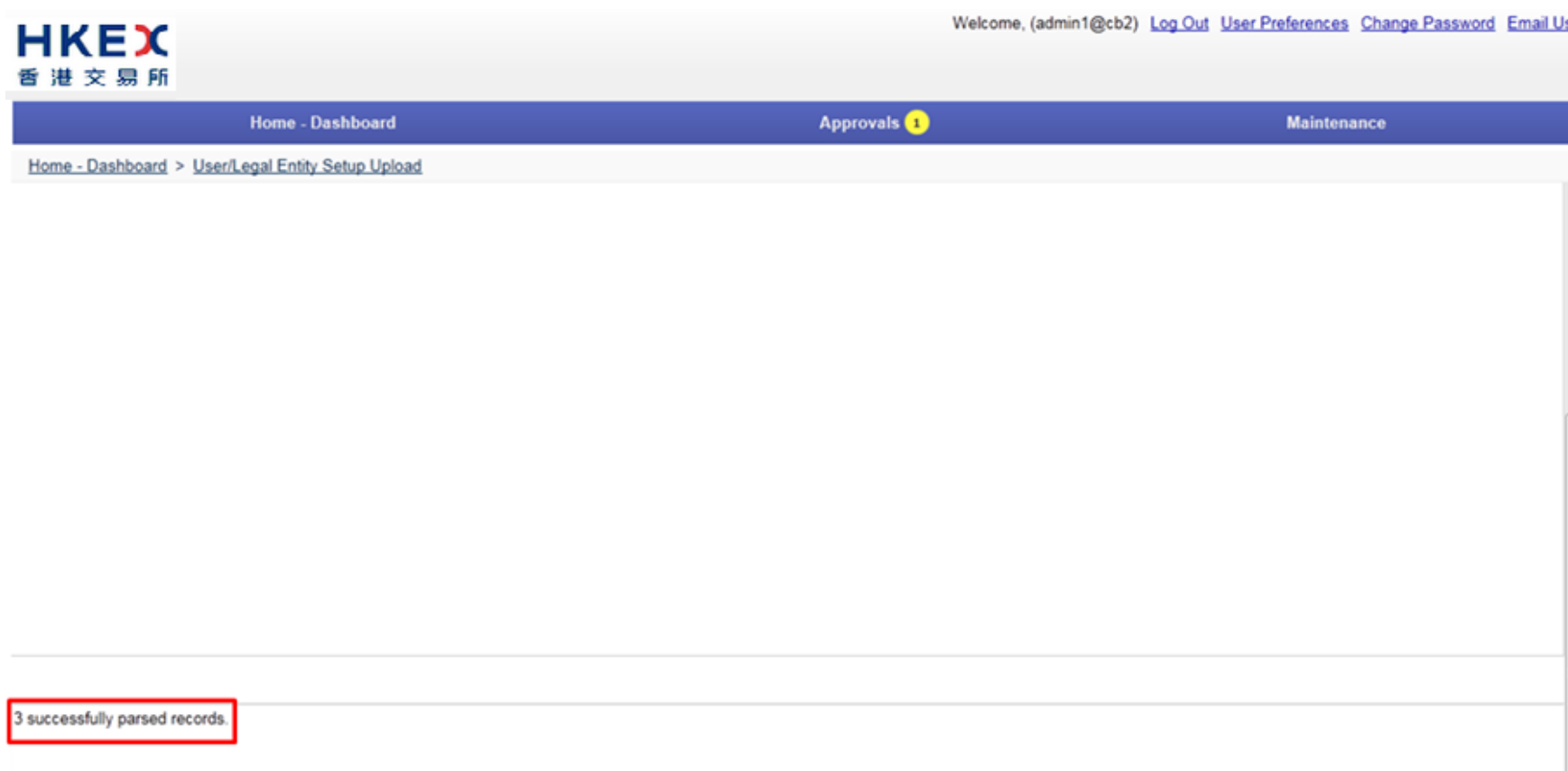
2. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear. Select **User/Legal Entity Setup Upload**.



3. Select **Browse**, select the appropriate file and select **Upload File and Apply New Setup**



4. Below message will show at the bottom of the page if the upload was successful.



5. The new user will not appear in the user list until a different user approved the creation. For approval process, please refer to **Part II, Section 2.5**.

2.8. Delete existing OASIS User Accounts

2.8.1. Function Description

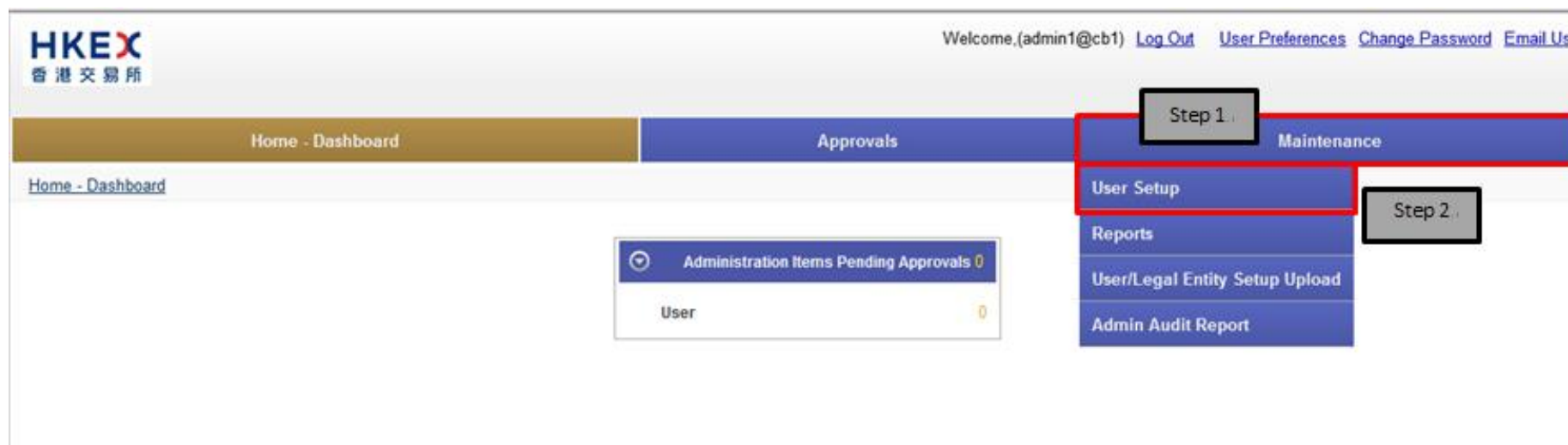
To delete existing OASIS user accounts

2.8.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.8.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Maintenance**. The feature will be highlighted and a menu will appear, and then select **User Setup**.



- To delete an existing OASIS user account, click on the icon below Actions, then click **Delete** on the extended menu

The screenshot displays the OASIS User Account Administration Portal. At the top left is the HKEX logo. The top right shows the user's name and email (admin1@cm3) along with links for Log Out, User Preferences, Change Password, and Email Us. A navigation bar contains 'Home - Dashboard', 'Approvals' (with a notification icon), and 'Maintenance'. Below this is a breadcrumb trail: 'Home - Dashboard > User Setup'. On the left, there is a 'Filter' sidebar with a search box for 'User Id', a 'Status' dropdown set to 'Unlocked', and buttons for 'Refresh' and 'Reset to Defaults'. The main area features 'Add User' and 'Export' buttons. Below these are pagination controls showing 'Showing 1 - 2 of 2' and 'Rows 100'. A table lists two users:

| Actions | User Id | First Name | Last Name | Email | Client | Description | Last Login | Status | Lock Reason |
|---------|---------|------------|-----------|-----------|--------|-------------|------------|----------|-------------|
| | user1 | user1 | user1 | user1@cm3 | cm3 | | 11/20/2015 | Unlocked | |
| | user2 | user2 | user2 | user2@cm3 | cm3 | | 11/20/2015 | Unlocked | |

An extended menu is open for the second user (user2), showing options: 'Amend', 'Lock/Unlock', and 'Delete'. The 'Delete' option is highlighted with a red rectangular box.

- For approval process, please refer to Part II, Section 2.5.

2.9. Audit Trail Report

2.9.1. Function Description

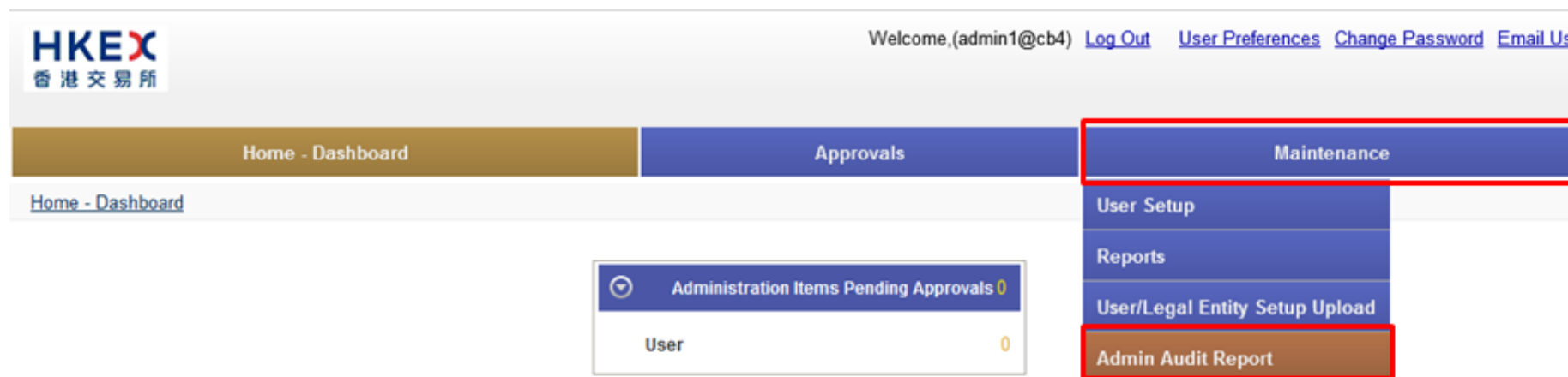
This function allows administrators to audit the activities of their admin and accounts

2.9.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.9.3. How to Use (Step by Step)

1. On the Main Menu, select **Maintenance**. The feature will be highlighted and a menu will appear, and then select **Audit Value**.



2. Content Area will display the activities of all OASIS admin user accounts and OASIS user accounts.

The screenshot shows the OASIS Admin Audit Report page. At the top, there is a navigation bar with 'Home - Dashboard', 'Approvals 1', and 'Maintenance'. Below this is a breadcrumb trail: 'Home - Dashboard > Admin Audit Report'. The main content area displays a table of audit records. The table has columns for Field, Modification Date/Time, Old Value, New Value, Modified User, Requester, Approver, Status, Approval Date/Time, and Action Type. The table shows several rows of activity, including account lock/unlock events and password changes.

| Field | Modification Date/Time | Old Value | New Value | Modified User | Requester | Approver | Status | Approval Date/Time | Action Type |
|----------------------|------------------------|-----------------------------------|-----------------------------------|---------------|------------|------------|----------|---------------------|-------------|
| _DELETE_ | 03/18/2016 02:25 PM | | | user2-cb4 | admin2-cb4 | admin1-cb4 | Accepted | 03/18/2016 02:25 PM | Remove |
| AccountLockedDateime | 03/18/2016 02:25 PM | 18/03/16 14:24:57.200 o'clock HKT | | user2-cb4 | admin1-cb4 | admin2-cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| AccountLockedReason | 03/18/2016 02:25 PM | Locked by Admin | | user2-cb4 | admin1-cb4 | admin2-cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| AccountLockedDateime | 03/18/2016 02:24 PM | | 18/03/16 14:24:40.752 o'clock HKT | user2-cb4 | admin2-cb4 | admin1-cb4 | Accepted | 03/18/2016 02:24 PM | Update |
| AccountLockedReason | 03/18/2016 02:24 PM | Locked by Admin | | user2-cb4 | admin2-cb4 | admin1-cb4 | Accepted | 03/18/2016 02:24 PM | Update |
| calypso User | 03/18/2016 02:24 PM | OLDPASSWORD | NEWPASSWORD | user2-cb4 | admin1-cb4 | admin2-cb4 | Accepted | 03/18/2016 02:24 PM | Update |
| _CREATE_ | 03/18/2016 02:23 PM | | | user2-cb4 | admin1-cb4 | admin2-cb4 | Accepted | 03/18/2016 02:24 PM | New |

2.9.4. Examples of activities

1. Reset password by administrator

HKEX 香港交易所 Welcome, (admin1@cb4) [Log Out](#) [User Preferences](#) [Change Password](#) [Er](#)

Home - Dashboard Approvals 1 Maintenance

Home - Dashboard > [Admin Audit Report](#)

Showing 1 - 11 of 11 Rows « < 1

| Field | Modification Date Time | Old Value | New Value |
|-----------------------|------------------------|-----------------------------------|-----------------------------------|
| <u>DELETE</u> | 03/18/2016 02:25 PM | | |
| AccountLockedDatetime | 03/18/2016 02:25 PM | 18/03/16 14:24:57.200 o'clock HKT | |
| AccountLockedReason | 03/18/2016 02:25 PM | Locked by Admin | |
| AccountLockedDatetime | 03/18/2016 02:24 PM | | 18/03/16 14:24:40.752 o'clock HKT |
| AccountLockedReason | 03/18/2016 02:24 PM | | Locked by Admin |
| calyps0User | 03/18/2016 02:24 PM | OLDPASSWORD | NEWPASSWORD |

Home - Dashboard

Approvals **1**

Maintenance

Home - Dashboard

> [Admin Audit Report](#)

Showing 1 - 11 of 11

Rows

« < 1 > »

| Old Value | New Value | Modified User | Requester | Approver | Status | Approval Date Time | Action Type |
|-----------|-----------------------------------|---------------|------------|------------|----------|---------------------|-------------|
| KT | | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:25 PM | Remove |
| | | user3=cb4 | admin1=cb4 | admin2=cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| | | user3=cb4 | admin1=cb4 | admin2=cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| | 18/03/16 14:24:40.752 o'clock HKT | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:24 PM | Update |
| | Locked by Admin | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:24 PM | Update |
| | NEWPASSWORD | user2=cb4 | admin1=cb4 | admin2=cb4 | Accepted | 03/18/2016 02:24 PM | Update |

2. Delete user

HKEX 香港交易所 Welcome, (admin1@cb4) [Log Out](#) [User Preferences](#) [Change Password](#) [En](#)

Home - Dashboard Approvals **1** Maintenance

Home - Dashboard > [Admin Audit Report](#)

Showing 1 - 11 of 11 Rows << < **1**

| Field | Modification Date Time | Old Value | New Value |
|----------|------------------------|-----------|-----------|
| _DELETE_ | 03/18/2016 02:25 PM | | |

HKEX 香港交易所 Welcome, (admin1@cb4) [Log Out](#) [User Preferences](#) [Change Password](#) [Email U](#)

Home - Dashboard Approvals **1** Maintenance

Home - Dashboard > [Admin Audit Report](#)

Showing 1 - 11 of 11 Rows << < **1** >

| Old Value | New Value | Modified User | Requester | Approver | Status | Approval Date Time | Action Type |
|-----------|-----------|---------------|------------|------------|----------|---------------------|-------------|
| | | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:25 PM | Remove |

3. Change of user permissions of an account

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| Field | Modification Date Time | Old Value | New Value |
|--------------------|------------------------|--|--|
| this | 03/07/2016 04:29 PM | | |
| this | 03/07/2016 04:30 PM | | |
| __dataSegregations | 03/07/2016 05:42 PM | user1==cb4-187782 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-188867 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload | user1==cb4-188867 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-188765 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-187782 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-189820 selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload |

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| Old Value | New Value | Modified User | Requester | Approver | Status | Approval Date | Action Type |
|--|--|---------------|-------------|-------------|----------|---------------------|-------------|
| | | user1==cb4 | admin1==cb4 | admin2==cb4 | Accepted | 03/07/2016 04:30 PM | New |
| | | user2==cb4 | admin1==cb4 | admin2==cb4 | Accepted | 03/07/2016 04:30 PM | New |
| selfservice_collateral_user,selfservice_documentdownload,user1==cb4-188786 | selfservice_collateral_approver,selfservice_collateral_user,selfservice_documentdownload,user1==cb4-187782 | user1==cb4 | admin1==cb4 | admin2==cb4 | Accepted | 03/07/2016 05:43 PM | Update |

4. Created new user

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| Field | Modification Date Time | Old Value | New Value |
|-----------------------|------------------------|-----------------------------------|-----------------------------------|
| AccountLockedDatetime | 03/18/2016 02:24 PM | | 18/03/16 14:24:40.752 o'clock HKT |
| AccountLockedDatetime | 03/18/2016 02:25 PM | 18/03/16 14:24:57.200 o'clock HKT | |
| AccountLockedReason | 03/18/2016 02:24 PM | | Locked by Admin |
| AccountLockedReason | 03/18/2016 02:25 PM | Locked by Admin | |
| CREATE | 03/18/2016 02:23 PM | | |

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| Old Value | New Value | Modified User | Requester | Approver | Status | Approval Date Time | Action Type |
|-----------|-----------------------------------|---------------|------------|------------|------------|---------------------|---------------------|
| KT | 18/03/16 14:24:40.752 o'clock HKT | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:24 PM | Update |
| | | user3=cb4 | admin1=cb4 | admin2=cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| | Locked by Admin | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:24 PM | Update |
| | | user3=cb4 | admin1=cb4 | admin2=cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| | | | user3=cb4 | admin1=cb4 | admin2=cb4 | Accepted | 03/18/2016 02:24 PM |

5. Locked user account

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« < 1

| Field | Modification Date Time | Old Value | New Value |
|-----------------------|------------------------|-----------------------------------|-----------------------------------|
| _DELETE_ | 03/18/2016 02:25 PM | | |
| AccountLockedDatetime | 03/18/2016 02:25 PM | 18/03/16 14:24:57.200 o'clock HKT | |
| AccountLockedReason | 03/18/2016 02:25 PM | Locked by Admin | |
| AccountLockedDatetime | 03/18/2016 02:24 PM | | 18/03/16 14:24:40.752 o'clock HKT |
| AccountLockedReason | 03/18/2016 02:24 PM | | Locked by Admin |

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| Old Value | New Value | Modified User | Requester | Approver | Status | Approval Date Time | Action Type |
|-----------|-----------------------------------|---------------|------------|------------|----------|---------------------|-------------|
| KT | | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:25 PM | Remove |
| | | user3=cb4 | admin1=cb4 | admin2=cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| | | user3=cb4 | admin1=cb4 | admin2=cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| | 18/03/16 14:24:40.752 o'clock HKT | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:24 PM | Update |
| | Locked by Admin | user3=cb4 | admin2=cb4 | admin1=cb4 | Accepted | 03/18/2016 02:24 PM | Update |

6. Unlocked user account

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| Field | Modification Date Time | Old Value | New Value |
|-----------------------|------------------------|-----------------------------------|-----------|
| _DELETE_ | 03/18/2016 02:25 PM | | |
| AccountLockedDatetime | 03/18/2016 02:25 PM | 18.03'16 14:24:57.200 d'clock HKT | |
| AccountLockedReason | 03/18/2016 02:25 PM | Locked by Admin | |

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| Old Value | New Value | Modified User | Requester | Approver | Status | Approval Date Time | Action Type |
|-----------|-----------|---------------|-------------|-------------|----------|---------------------|-------------|
| | | user3==cb4 | admin2==cb4 | admin1==cb4 | Accepted | 03/18/2016 02:25 PM | Remove |
| KT | | user3==cb4 | admin1==cb4 | admin2==cb4 | Accepted | 03/18/2016 02:25 PM | Update |
| | | user3==cb4 | admin1==cb4 | admin2==cb4 | Accepted | 03/18/2016 02:25 PM | Update |