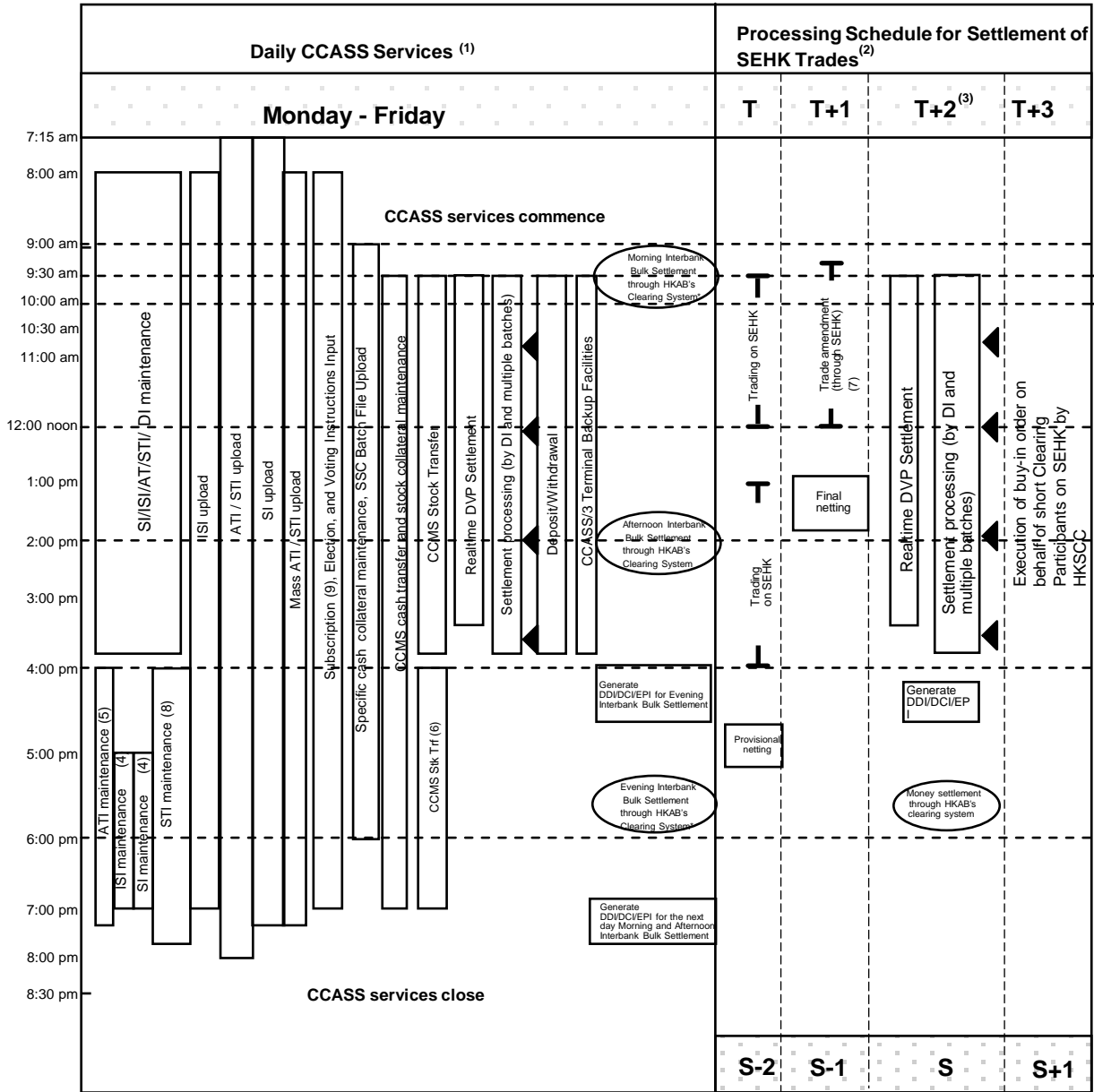


**CCASS Processing And Service Schedule**

**CCASS PROCESSING AND SERVICE SCHEDULE (for Hong Kong market)**



Legend:  CCASS processing  Batch settlement run   
 Money settlement (outside CCASS)

\* Payment Confirmation no later than 5:45 pm (S day) and 9:30 am (S+1 day) on the bank working day following the issue of DDI/DCI/EPIs by HKSCC to be transmitted to HKAB's Clearing System

Note:

- (1) Services available to all CCASS participants.
- (2) Settlement processing schedule applicable to DCPs and GCPs only.
- (3) CCASS generates DDI/DCI/EPIs on any business day even when there may be no settlement.
- (4) First session of SI/STI maintenance services starts at 8:00 am and ends at 3:45 pm.  
Second session of SI/STI maintenance services is available at approximately 5:00 pm (announced by a broadcast message) and closes at 7:00 pm. SI Upload starts at 7:15 am.
- (5) First session of Input ATI services starts at 7:15 am & ends at 3:45 pm.  
Second session of Input ATI services and subscription maintenance are available at approximately 4:00 pm (announced by a broadcast message) and closed at 7:30 pm. (except SI/STI enquiry functions which close at 8:00 p.m.)
- (6) First session of CCMS stock transfer maintenance services starts at 9:30 am and ends at 3:45 pm.  
Second session of CCMS stock transfer maintenance services is available at approximately 4:00 pm and closes at 7:00 pm.
- (7) The deadline of 12:00 noon is for transmitting trade amendment file to CCASS.
- (8) From 8:00 am to 3:45 pm, maintenance of STI with either DVP or FOP payment method is available. After 3:45 pm till 7:30pm, only the maintenance of STI with FOP payment method is allowed.
- (9) The latest time of Subscription, Election and Voting instruction input on the prescribed end date set by CCASS will be 11:00 am, 12:00 noon and 4:15 pm respectively.

## Section 7.2

### CCASS Processing And Service Schedule

---

**CCASS service hours:** 7:00 a.m. - 9:30 p.m. Monday to Friday (except holiday)

**Daily schedule:**

**For Hong Kong Market (HKMK)**

<u>Time</u>	<u>CCASS events</u>
7:00 a.m.	<ul style="list-style-type: none"><li>• Revaluation of General Collateral Inventory.</li></ul>
7:15 a.m.	<ul style="list-style-type: none"><li>• Commencement of the following services and functions:<ul style="list-style-type: none"><li>(i) clearing services (upload functions for SI/ATI/STI); and</li><li>(ii) Enquiry functions on clearing and settlement services; Enquire Broadcast Message and Report Download functions</li></ul></li></ul>
7:30 a.m.	<ul style="list-style-type: none"><li>• First ATI upload file validation</li><li>• First STI upload file validation</li></ul>
8:00 a.m.	<ul style="list-style-type: none"><li>• Commencement of the following services and functions:<ul style="list-style-type: none"><li>(i) clearing services (SI/ISI maintenance and upload functions for ISI)</li><li>(ii) cash prepayment instruction maintenance</li><li>(iii) cash prepayment / TSF payment standing instruction maintenance</li><li>(iv) ATI/STI/SSA maintenance and SSA upload</li><li>(v) nominee services (i.e. subscription, voting, corporate representative / proxy, election instructions maintenance); and</li><li>(vi) Electronic Application Instructions for New Issue Shares (except where such day is the application start date) and Tender Instructions (except where such day is the tender or application start date) maintenance functions</li></ul></li><li>• Generation of cash prepayment instructions and TSF payment instructions based on Cash Prepayment / TSF Payment Standing Instructions maintained by Participants</li><li>• Second ATI upload file validation</li><li>• Second STI upload file validation</li></ul>
8:30 a.m. to 9:30 a.m.	Confirmation of DDIs/DCIs/EPIs rejection by designated banks of Participants other than IPs for the morning interbank bulk settlement run

**Daily schedule:**  
**For Hong Kong Market (HKMK)**

<u>Time</u>	<u>CCASS events</u>
9:00 a.m.	<ul style="list-style-type: none"> <li>• Other Enquiry functions, apart from clearing and settlement services and Enquire Broadcast Message, are available</li> <li>• Commencement of Electronic Application Instruction for New Issues Shares and Tender Instructions (if such day is the application / tender start date)</li> <li>• First batch of scrip entitlement distribution</li> <li>• Security Management related functions are available</li> <li>• Commencement of Preferred Single Settlement Currency for Marks and Margin and Specific Cash Collateral Instruction maintenance</li> <li>• Commencement of SSC batch file upload functions</li> </ul>
9:15 a.m.	<ul style="list-style-type: none"> <li>• Commencement of Unit Creation / Redemption Orders maintenance functions</li> <li>• First SI matching</li> <li>• Third ATI upload file validation</li> <li>• Third STI upload file validation</li> <li>• First STI Batch-run</li> <li>• First Multi-counter Transfer Instruction upload file validation</li> <li>• First Parallel Trading Conversion Instruction upload file validation</li> <li>• First Inter-counter Transfer/Conversion Instruction Batch Transfer Run</li> </ul>
9:30 a.m.	<ul style="list-style-type: none"> <li>• Confirmation of DDIs rejection by designated banks of Participants other than IPs for the morning interbank bulk settlement run</li> <li>• Commencement of settlement services (Stock Release Request input, DI input, input of recall and return request, if appropriate), depository services of CCASS and CCMS services</li> <li>• Enquire Payment Instruction and Enquire TSF Payment Instruction functions are available</li> </ul>
9:45 a.m.	<ul style="list-style-type: none"> <li>• Second batch of scrip entitlement distribution</li> <li>• First EIPO Application upload file validation</li> </ul>
10:00 a.m.	<ul style="list-style-type: none"> <li>• Second SI matching</li> <li>• Fourth ATI upload file validation</li> <li>• Fourth STI upload file validation</li> <li>• Second STI Batch-run</li> <li>• First SSC upload file validation</li> </ul>

## Section 7.2

### CCASS Processing And Service Schedule

---

#### Daily schedule:

#### For Hong Kong Market (HKMK)

<u>Time</u>	<u>CCASS events</u>
10:15 a.m.	<ul style="list-style-type: none"><li>• Second EIPO Application upload file validation</li><li>• First TSF Share De-earmarking Process</li><li>• Second Multi-counter Transfer Instruction upload file validation</li><li>• Second Parallel Trading Conversion Instruction upload file validation</li><li>• Second Inter-counter Transfer/Conversion Instruction Batch Transfer Run</li></ul>
10:30 a.m.	<ul style="list-style-type: none"><li>• First Batch-settlement-run</li></ul>
10:45 a.m.	<ul style="list-style-type: none"><li>• Third EIPO Application upload file validation</li></ul>
11:00 a.m.	<ul style="list-style-type: none"><li>• Revaluation of General Collateral Inventory. Intra-day marks processing, intra-day margin processing (if intra-day margin is scheduled on such date which is a Trading day with no Afternoon Session) and first collateralisation processing</li><li>• Deadline for inputting subscription instruction which involve the collection of subscription monies by CPIs or where the deadline for subscription imposed by the relevant issuer falls on such day</li></ul>
11:30 a.m.	<ul style="list-style-type: none"><li>• Third SI matching</li><li>• Fifth ATI upload file validation</li><li>• Third batch of scrip entitlement distribution</li><li>• Fourth EIPO Application upload file validation</li><li>• First Tender Instruction upload file validation</li><li>• First EIPO Confirmation upload file validation</li></ul>
11:45 a.m.	<ul style="list-style-type: none"><li>• Fifth EIPO Application upload file validation</li><li>• Second TSF Share De-earmarking Process</li><li>• Deadline for inputting Specific Cash Collateral Instruction with CPI as the payment method</li></ul>
12:00 noon	<ul style="list-style-type: none"><li>• Second Batch-settlement-run</li><li>• Deadline for inputting elections instruction where the deadline for election imposed by relevant issuer fall on such day</li><li>• Sixth EIPO Application upload file validation</li></ul>
12:00 noon to 2:30 p.m.	Confirmation of rejected DDIs/EPIs by designated banks of Investor Participants

**Daily schedule:**  
**For Hong Kong Market (HKMK)**

<u>Time</u>	<u>CCASS events</u>
12:30 p.m.	<ul style="list-style-type: none"> <li>• Third Multi-counter Transfer Instruction upload file validation</li> <li>• Third Parallel Trading Conversion Instruction upload file validation</li> <li>• Third Inter-counter Transfer/Conversion Instruction Batch Transfer Run</li> </ul>
12:45 p.m.	<ul style="list-style-type: none"> <li>• Sixth ATI upload file validation</li> <li>• Fifth STI upload file validation</li> <li>• Third STI Batch-run</li> <li>• Second SSC upload file validation</li> </ul>
1:00 p.m.	<ul style="list-style-type: none"> <li>• First batch of Corporate Announcement Master Data File and Corporate Announcement Maintenance Activities Report are available</li> </ul>
1:15 p.m.	<ul style="list-style-type: none"> <li>• Deadline for inputting Intra-day Payment Standing Instruction in order to have such intra-day payment instruction effected on the same day</li> <li>• Close of first session of Intra-day Payment Standing Instruction maintenance</li> </ul>
1:30 p.m.	<ul style="list-style-type: none"> <li>• Fourth SI matching</li> <li>• Fourth batch of scrip entitlement distribution</li> <li>• Second Tender Instruction upload file validation</li> </ul>
1:45 p.m.	<ul style="list-style-type: none"> <li>• Third TSF Share De-earmarking Process</li> </ul>
2:00 p.m.	<ul style="list-style-type: none"> <li>• Close of first session of Enquire Intra-day Payment Summary</li> <li>• Payment deadline for intra-day marks and intra-day margin (if intra-day margin is scheduled to process at 11:00 a.m.)</li> <li>• Intra-day margin processing (if intra-day margin is scheduled on a normal Trading day) and collateralisation processing</li> </ul>
2:00 p.m. (after)	<ul style="list-style-type: none"> <li>• <i>Final Clearing Statement (FCS)</i> in respect of Exchange Trades and Clearing Agency Transactions concluded on previous day, is available to Clearing Participants and Clearing Agency Participants</li> <li>• Third Batch-settlement-run</li> <li>• Deadline for inputting Cash Prepayment instruction with “CHATS” set as the payment method</li> </ul>

## Section 7.2

### CCASS Processing And Service Schedule

---

#### Daily schedule:

#### For Hong Kong Market (HKMK)

<u>Time</u>	<u>CCASS events</u>
2:30 p.m.	<ul style="list-style-type: none"><li>• Fifth SI matching</li><li>• Close of cash prepayment instruction maintenance for payment method set as "OTHERS" functions</li><li>• Close of SSA upload function</li><li>• Fourth Multi-counter Transfer Instruction upload file validation</li><li>• Fourth Parallel Trading Conversion Instruction upload file validation</li><li>• Fourth Inter-counter Transfer/Conversion Instruction Batch Transfer Run</li></ul>
2:30 p.m. (around)	<ul style="list-style-type: none"><li>• Generation of Intra-day Payment Instructions to HKSCC's agent bank</li><li>• Commencement of second session of Intra-day Payment Standing Instruction maintenance and Enquire Intra-day Payment Summary (to be announced via broadcast messages)</li></ul>
2:45 p.m. (around)	<ul style="list-style-type: none"><li>• SSA upload file validation</li></ul>
3:00 p.m.	<ul style="list-style-type: none"><li>• Seventh EIPO Application upload file validation</li><li>• Second EIPO Confirmation upload file validation</li></ul>
3:00 p.m. (around)	<ul style="list-style-type: none"><li>• Completion of Intra-day Payment process by HKSCC's agent bank</li></ul>
3:15 p.m.	<ul style="list-style-type: none"><li>• Sixth SI matching</li><li>• Seventh ATI upload file validation</li><li>• Fifth batch of scrip entitlement distribution</li></ul>
3:30 p.m.	<ul style="list-style-type: none"><li>• Close of realtime DVP settlement services</li><li>• Sixth STI upload file validation</li><li>• Fourth STI Batch-run</li><li>• Fourth TSF Share De-earmarking Process</li><li>• Second batch of Corporate Announcement Master Data File and Corporate Announcement Maintenance Activities Report are available</li><li>• Deadline for inputting Nominee Payment (Evening) Standing Instruction in order to receive nominee related cash payments on the same day</li><li>• Fifth Inter-counter Transfer/Conversion Instruction Batch Transfer Run</li></ul>

**Daily schedule:**  
**For Hong Kong Market (HKMK)**

<u>Time</u>	<u>CCASS events</u>
3:45 p.m.	<ul style="list-style-type: none"> <li>• Close of clearing, settlement, depository services (except for enquiry and report retrieval functions)</li> <li>• Close of CCMS stock transfer maintenance</li> <li>• Seventh SI matching</li> <li>• Final Batch-settlement-run</li> <li>• Close of first session of subscription, SI/ISI/ATI/STI maintenance and upload</li> </ul>
4:00 p.m. (after)	<ul style="list-style-type: none"> <li>• Commencement of second session of subscription, ATI/STI (on a FOP basis only) maintenance and upload (to be announced via broadcast messages)</li> <li>• Commencement of second session of CCMS stock transfer maintenance</li> <li>• First Corporate Communication Recipient upload file validation</li> <li>• Close of Stock Release request maintenance functions for TSF CCASS Participants</li> </ul>
4:05 p.m.	<ul style="list-style-type: none"> <li>• Generation of DDIs, DCIs and EPIs by HKSCC for same day settlement, collection of marks, concentration collateral, margin (MCM) and collection of intra-day margin if intra-day margin is scheduled at 2:00 p.m.</li> </ul>
4:15 p.m.	<ul style="list-style-type: none"> <li>• Deadline for inputting voting instructions and Corporate Representative/Proxy instructions where the deadline prescribed by HKSCC for inputting such instructions falls on such day</li> <li>• Corporate Representative/Proxy upload file validation</li> <li>• Sixth batch of scrip entitlement distribution</li> <li>• First TSF Share Earmarking Process</li> <li>• Fifth TSF Share De-earmarking Process</li> </ul>
4:20 p.m. to 5:45 p.m.	<ul style="list-style-type: none"> <li>• Confirmation of DDIs/DCIs/EPIs rejection by designated banks of Participants other than IPs for the evening interbank bulk settlement run</li> </ul>
4:25 p.m.	<ul style="list-style-type: none"> <li>• Close of Unit Creation / Redemption Orders maintenance functions</li> </ul>
4:30 p.m.	<ul style="list-style-type: none"> <li>• Second Corporate Communication Recipient upload file validation</li> </ul>

## Section 7.2

### CCASS Processing And Service Schedule

---

#### Daily schedule:

#### For Hong Kong Market (HKMK)

<u>Time</u>	<u>CCASS events</u>
5:00 p.m.	<ul style="list-style-type: none"><li>• Eighth SI matching</li><li>• Eighth ATI upload file validation</li><li>• Third Corporate Communication Recipient upload file validation</li><li>• Seventh STI upload file validation</li><li>• Fifth STI Batch-run (for FOP STIs only)</li><li>• Third SSC upload file validation</li></ul>
5:00 p.m. (after)	<ul style="list-style-type: none"><li>• Commencement of second session of clearing services (SI/ISI maintenance and upload) (to be announced via broadcast messages)</li><li>• First batch of Provisional Clearing Statement (PCS), in respect of Exchange Trades effected on current day is available to Clearing Participants and Clearing Agency Participants</li></ul>
5:15 p.m.	<ul style="list-style-type: none"><li>• Seventh batch of scrip entitlement distribution</li></ul>
5:30 p.m.	<ul style="list-style-type: none"><li>• Ninth ATI upload file validation</li><li>• Eighth STI upload file validation</li></ul>
6:00 p.m. (after)	<ul style="list-style-type: none"><li>• <i>Settled Position Report</i> of current day is available</li><li>• Third (Final) batch of <i>Corporate Announcement Master Data File</i> and <i>Corporate Announcement Maintenance Activities Report</i> are available</li><li>• <i>TSF Confirmation Report</i>, in respect of TSF trades or Stock Release Requests effected on current and previous days is available to TSF CCASS Participants</li><li>• Final SI matching</li><li>• Eighth batch of scrip entitlement distribution</li><li>• Fourth Corporate Communication Recipient upload file validation</li><li>• Eighth EIPO Application upload file validation</li><li>• Fourth SSC upload file validation</li><li>• Deadline for inputting Specific Cash Collateral Instruction and uploading SSC batch file</li></ul>
6:00 p.m. (after) to 8:00 p.m.	<ul style="list-style-type: none"><li>• Confirmation of DDIs rejection by designated banks of Participants other than IPs which had not been rejected by 5:45 p.m.</li></ul>



**Daily schedule:**  
**For Hong Kong Market (HKMK)**

<u>Time</u>	<u>CCASS events</u>
7:00 p.m.	<ul style="list-style-type: none"> <li>• Close of SI/ISI maintenance, ISI upload, CCMS maintenance services, Tender Instruction maintenance functions, subscription, election, voting and Corporate Representative/Proxy instructions maintenance functions</li> <li>• Close of all enquiry functions (except for SI, STI, Mass ATI/STI, Due/Overdue Position, Settlement Activity, Stock Account Balance, Stock Account Movement, Buy-In Confirmation enquiry, CCMS enquiry, Broadcast Message Enquiry and Report Download functions)</li> <li>• Ninth batch of scrip entitlement distribution</li> <li>• Ninth EIPO file upload validation</li> <li>• Fifth Corporate Communication Recipient upload file validation</li> </ul>
7:00 p.m. (after)	<ul style="list-style-type: none"> <li>• Third Tender Instruction upload file validation</li> </ul>
7:15 p.m. (after)	<ul style="list-style-type: none"> <li>• Revaluation of General Collateral Inventory and collateralisation of day-end marks, concentration collateral and day-end margin</li> </ul>
7:30 p.m.	<ul style="list-style-type: none"> <li>• Close of ATI/STI maintenance and SI upload</li> <li>• Close of Mass ATI/STI maintenance function</li> <li>• Ninth STI upload file validation</li> </ul>
8:00 p.m.	<ul style="list-style-type: none"> <li>• Close of SI, Due/Overdue Position, Settlement Activity and Buy-In Confirmation enquiry functions</li> <li>• Close of ATI/STI upload</li> </ul>
8:00 p.m. (after)	<ul style="list-style-type: none"> <li>• Second batch of <i>Provisional Clearing Statement (PCS)</i>, in respect of Exchange Trades and Clearing Agency Transactions effected on current day is available to Clearing Participants and Clearing Agency Participants</li> <li>• Final ATI upload file validation</li> <li>• Final STI upload file validation</li> <li>• Final STI Batch-run (for FOP STIs only)</li> <li>• Final batch of scrip entitlement distribution</li> </ul>
8:30 p.m.	<ul style="list-style-type: none"> <li>• Tenth EIPO Application upload file validation</li> <li>• Second TSF Share Earmarking Process</li> <li>• Close of Electronic Application Instruction for New Issue Shares maintenance, CCMS enquiry functions</li> </ul>
8:30 p.m. (around)	<ul style="list-style-type: none"> <li>• Generation of DDIs, DCIs and EPIs by HKSCC for settlement on the next Business Day</li> </ul>

## Section 7.2

### CCASS Processing And Service Schedule

---

#### Daily schedule:

#### For Hong Kong Market (HKMK)

#### Time

#### CCASS events

9:30 p.m.

- Close of Stock Account Balance, Stock Account Movement, Broadcast Message enquiry and Report Download functions

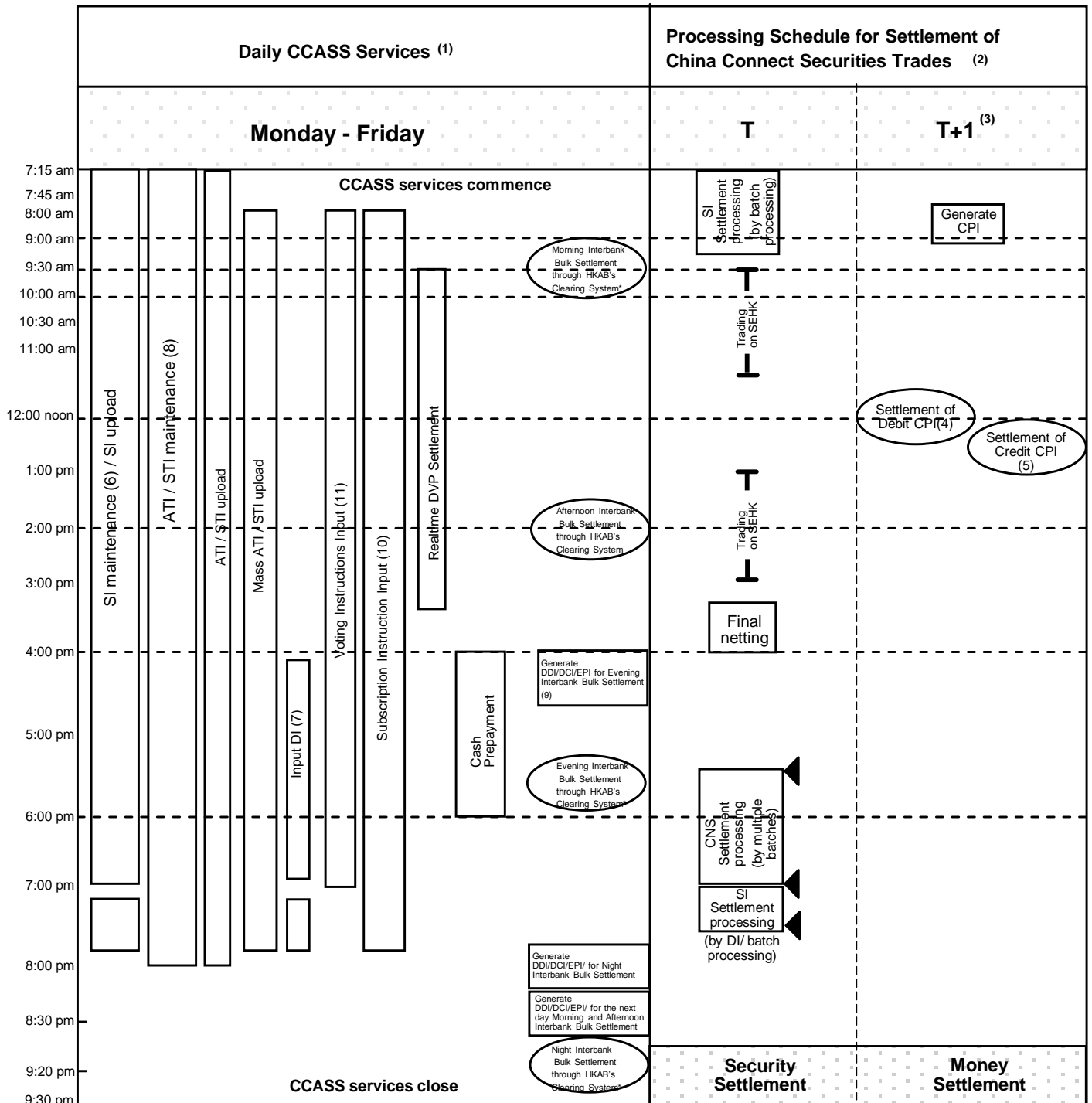
Note : There are three batches of scrip entitlement distribution take place on Saturdays (except public holidays) at 9:45 a.m., 11:30 a.m. and 1:00 p.m. respectively.

There are two Tender Instruction file upload validation runs take place on Saturdays (except public holidays) at around 10:00 a.m. and 1:00 p.m..

There are five EIPO Application file upload validation runs take place on Saturdays (except public holidays) at around 10:00 a.m., 11:30 a.m., 11:45 a.m., 12:00 noon, 1:00 p.m.

There is one EIPO Confirmation file upload validation run take place on Saturdays (except public holidays) at around 1:00 p.m.

## CCASS PROCESSING AND SERVICE SCHEDULE (for China Connect Markets)



Legend:  CCASS processing      ◀ Batch settlement run  
 Money settlement (outside CCASS)

Note:

- (1) Services available to all China Connect Clearing Participants..
- (2) Settlement processing schedule applicable to DCPs and GCPs only. CNS money obligation for China Connect Securities will be settled by RTGS payments
- (3) CNS money settlement for China Connect Securities takes place on T+1 via Real Time Gross Settlement ("RTGS"). On T+1 morning, CCASS will issue one CHATS Payment Instruction ("CPI") in the net amount of Shanghai and Shenzhen markets' CNS money obligation to CP's designated banks.
- (4) CPs who have a net payable amount should make payment to HKSCC by 12:00 noon via RTGS.
- (5) CPs who have a net receivable amount will receive money from HKSCC at around 12:30 pm via RTGS.
- (6) First session of SI maintenance services starts at 7:15 am and ends at 7:00 pm  
 Second session of SI maintenance services is available at approximately 7:15 pm and closes at 7:45 pm
- (7) Input DI for CNS position is available at approximately 4:00 pm and closes at 7:45 pm.  
 Input DI for SI position is available at approximately 7:15 pm (announced by a broadcast message) and closes at 7:45 pm.
- (8) From 7:15 am to 3:45 pm, maintenance of STI with either DVP or FOP payment method is available. After 3:45 pm till 8:00pm, only the maintenance of STI with FOP payment method is allowed.
- (9) Transaction fees for China Connect Securities will be settled via DDI.
- (10) For subscription announcement involving Non-Listed China Connect Securities (e.g. rights issues), authorise function is available from 8:00 am to 7:45 pm;  
 For subscription announcement involving Listed China Connect Securities (e.g. takeover offers), authorise function is available shortly after 7:00 pm until 7:45 pm
- (11) The latest time of Voting Instruction input on the prescribed end date set by CCASS will be 4:15 pm

## Section 7.2

### CCASS Processing And Service Schedule

---

#### Daily Schedule:

#### For China Connect Markets (Shanghai market (MAMK) / Shenzhen market (SZMK))

<u>Time</u>	<u>CCASS events</u>
7:00 a.m.	<ul style="list-style-type: none"><li>• Revaluation of General Collateral Inventory</li></ul>
7:15 a.m.	<ul style="list-style-type: none"><li>• Commencement of the following services and functions:<ul style="list-style-type: none"><li>(i) Clearing services (ATI/STI/SI maintenance and upload functions); and</li><li>(ii) Enquiry functions on clearing and settlement services, Enquire Broadcast Message and Report Download functions</li></ul></li></ul>
7:30 a.m.	<ul style="list-style-type: none"><li>• First ATI upload file validation</li><li>• First STI upload file validation</li></ul>
7:30 a.m. (around)	<ul style="list-style-type: none"><li>• First batch of scrip entitlement distribution</li></ul>
8:00 a.m.	<ul style="list-style-type: none"><li>• Commencement of the following services and functions:<ul style="list-style-type: none"><li>(i) Mass ATI/STI maintenance function;</li><li>(ii) Intra-day Payment Standing Instruction (only applicable to nominee payment) and Nominee Payment (Evening) Standing Instruction maintenance functions; and</li><li>(iii) Subscription (except for the acceptance of Take-over Offer of listed securities), election, voting instructions, Shareholding Category Disclosure and Proxy instruction maintenance functions</li></ul></li><li>• Generation of CPIs by HKSCC for settlement (in respect of money obligations arising from CNS stock positions settled on previous Mainland Business Day) for same day settlement</li><li>• Second ATI upload file validation</li><li>• Second STI upload file validation</li><li>• First STI Batch-run</li></ul>
8:15 a.m.	<ul style="list-style-type: none"><li>• Snapshot taking of total sellable balance of China Connect Securities of China Connect Clearing Participants and their NCPs for pre-trade checking in the trading sessions for trading China Connect Securities between the time of such snapshot and the time of the next snapshot</li></ul>
8:30 a.m. to 9:30 a.m.	<ul style="list-style-type: none"><li>• Confirmation of DDIs/DCIs rejection by designated banks of Participants other than IPs for the morning interbank bulk settlement run</li></ul>

**Daily Schedule:**

**For China Connect Markets (Shanghai market (MAMK) / Shenzhen market (SZMK))**

<b><u>Time</u></b>	<b><u>CCASS events</u></b>
9:15 a.m.	<ul style="list-style-type: none"> <li>• Third ATI upload file validation</li> <li>• Third STI upload file validation</li> <li>• Second STI Batch-run (excluding Special Segregated Accounts)</li> </ul>
10:00 a.m.	<ul style="list-style-type: none"> <li>• Fourth ATI upload file validation</li> <li>• Fourth STI upload file validation</li> <li>• Third STI Batch-run (excluding Special Segregated Accounts)</li> </ul>
11:30 a.m.	<ul style="list-style-type: none"> <li>• Fifth ATI upload file validation</li> <li>• Intra-day Mainland Settlement Deposit processing</li> </ul>
11:45 a.m.	<ul style="list-style-type: none"> <li>• First SI matching</li> </ul>
12:45 p.m.	<ul style="list-style-type: none"> <li>• Sixth ATI upload file validation</li> <li>• Fifth STI upload file validation</li> <li>• Fourth STI Batch-run (excluding Special Segregated Accounts)</li> </ul>
1:00 p.m. (after)	<ul style="list-style-type: none"> <li>• First batch of Corporate Announcement Master Data File and Corporate Announcement Maintenance Activities Report available</li> </ul>
1:15 p.m.	<ul style="list-style-type: none"> <li>• Deadline for inputting Intra-day Payment Standing Instructions (only applicable to nominee payment) in order to have such instructions effected on the same day</li> </ul>
1:45 p.m.	<ul style="list-style-type: none"> <li>• Second SI matching</li> </ul>
2:30 p.m. (around)	<ul style="list-style-type: none"> <li>• Generation of Intra-day Payment Instructions (only applicable to nominee payment) by HKSCC</li> </ul>
3:00 p.m.	<ul style="list-style-type: none"> <li>• Third SI matching</li> </ul>
3:15 p.m.	<ul style="list-style-type: none"> <li>• Seventh ATI upload file validation</li> </ul>
3:30 p.m.	<ul style="list-style-type: none"> <li>• Close of realtime DVP settlement services</li> <li>• Sixth STI upload file validation</li> <li>• Fifth STI Batch-run (excluding Special Segregated Accounts)</li> <li>• Deadline for inputting Nominee Payment (Evening) Standing Instruction in order to receive nominee related cash payments on the same day</li> <li>• Second batch of Corporate Announcement Master Data File and Corporate Announcement Maintenance Activities Report available</li> </ul>

## Section 7.2

### CCASS Processing And Service Schedule

---

#### Daily Schedule:

#### For China Connect Markets (Shanghai market (MAMK) / Shenzhen market (SZMK))

<u>Time</u>	<u>CCASS events</u>
4:00 p.m. (after)	<ul style="list-style-type: none"><li>• Final Clearing Statement or FCS in respect of China Connect Securities Trades effected on or reported to the Exchange via the Trading Link, available to China Connect Clearing Participants</li><li>• Commencement of Cash Prepayment Instruction Maintenance Function and DI input functions (for settlement of CNS stock positions only)</li></ul>
4:05 p.m. (around)	<ul style="list-style-type: none"><li>• Generation of EPIs by HKSCC for same day settlement</li></ul>
4:15 p.m.	<ul style="list-style-type: none"><li>• Deadline for inputting voting instructions, Proxy instructions and Shareholding Category Disclosure where the deadline prescribed by HKSCC for inputting such instructions falls on such day</li></ul>
4:30 p.m.	<ul style="list-style-type: none"><li>• Fourth SI matching</li></ul>
4:20 p.m. to 5:45 p.m.	<ul style="list-style-type: none"><li>• Confirmation of DDIs/DCIs rejection by designated banks of Participants other than IPs for the evening interbank bulk settlement run</li></ul>
5:00 p.m.	<ul style="list-style-type: none"><li>• Fifth SI matching</li><li>• Eighth ATI upload file validation</li><li>• Seventh STI upload file validation</li><li>• Sixth STI Batch-run (for FOP STIs only and excluding Special Segregated Accounts)</li></ul>
5:30 p.m.	<ul style="list-style-type: none"><li>• Sixth SI matching</li><li>• First SI Batch-settlement-run (for settlement of SI stock positions from Special Segregated Accounts of Custodian Participants and GCPs which are not Exchange Participants to China Connect Clearing Participants only)</li><li>• Eighth STI upload file validation</li><li>• Seventh STI Batch-run (only STI Transfers on FOP basis allowed for China Connect Securities and for STI Transfers involving Special Segregated Accounts, only transfers to Stock Accounts other than Special Segregated Accounts will be included)</li><li>• Ninth ATI upload file validation</li><li>• First CNS Batch-settlement-run</li></ul>
5: 45 p.m. (around)	<ul style="list-style-type: none"><li>• Reconciliation of China Connect Securities Trades with the relevant China Connect Clearing House</li></ul>

**Daily Schedule:****For China Connect Markets (Shanghai market (MAMK) / Shenzhen market (SZMK))**

<b><u>Time</u></b>	<b><u>CCASS events</u></b>
6:00 p.m.	<ul style="list-style-type: none"> <li>• Deadline for inputting Cash Prepayment Instructions</li> </ul>
6:00 p.m. (around)	<ul style="list-style-type: none"> <li>• Second batch of scrip entitlement distribution (applicable to Shanghai market only)</li> <li>• Third (Final) batch of Corporate Announcement Master Data File and Corporate Announcement Maintenance Activities Report available</li> </ul>
6:15 p.m.	<ul style="list-style-type: none"> <li>• Seventh SI matching</li> <li>• Second SI Batch-settlement-run (for settlement of SI stock positions from Special Segregated Accounts of Custodian Participants and GCPs which are not Exchange Participants to China Connect Clearing Participants only)</li> </ul>
6:30 p.m.	<ul style="list-style-type: none"> <li>• Eighth STI Batch-run (only for STI Transfer of China Connect Securities from Special Segregated Accounts to Stock Accounts other than Special Segregated Accounts on FOP basis)</li> </ul>
7:00 p.m.	<ul style="list-style-type: none"> <li>• Close of Intra-day Payment Standing Instruction maintenance (only applicable to nominee payment), election, voting, Shareholding Category Disclosure and Proxy instructions maintenance functions</li> <li>• Close of first session of SI maintenance</li> <li>• Commencement of SPSA Delivery Failure Maintenance</li> <li>• Third batch of scrip entitlement distribution (applicable to Shanghai market only)</li> <li>• Eighth SI matching</li> <li>• Third SI Batch-settlement-run (for settlement of SI stock positions from Special Segregated Accounts of Custodian Participants and GCPs which are not Exchange Participants to China Connect Clearing Participants only)</li> <li>• Final CNS Batch-settlement-run</li> <li>• Ninth STI Batch-run (only for STI Transfer of China Connect Securities from Special Segregated Accounts to Stock Accounts other than Special Segregated Accounts on FOP basis)</li> </ul>
7:00 p.m. (after)	<ul style="list-style-type: none"> <li>• Calculation of Mainland Settlement Deposit</li> <li>• Commencement of DI input for SI only (HKSCC will announce by broadcast message when the services are available to Participants) and subscription instructions maintenance functions (for all announcement types)</li> </ul>
7:15 p.m.	<ul style="list-style-type: none"> <li>• Second session of SI maintenance services</li> </ul>

## Section 7.2

### CCASS Processing And Service Schedule

---

#### Daily Schedule:

#### For China Connect Markets (Shanghai market (MAMK) / Shenzhen market (SZMK))

<u>Time</u>	<u>CCASS events</u>
	commence
7:30 p.m.	<ul style="list-style-type: none"><li>• Close of SI upload function</li><li>• Ninth STI upload file validation</li><li>• Tenth STI Batch-run (only STI Transfers on FOP basis allowed for China Connect Securities)</li></ul>
7:45 p.m.	<ul style="list-style-type: none"><li>• Close of subscription instruction maintenance functions</li><li>• Close of SI/DI maintenance functions</li><li>• Close of Mass ATI/STI maintenance functions</li><li>• Close of SPSA Delivery Failure Maintenance</li><li>• Final SI matching</li><li>• Final SI Batch-settlement-run</li></ul>
8:00 p.m.	<ul style="list-style-type: none"><li>• Close of ATI/STI maintenance, ATI/STI upload</li><li>• Close of Enquire Cash Prepayment Function</li></ul>
8:00 p.m. (after)	<ul style="list-style-type: none"><li>• Settled Position Report of current day is available</li><li>• Close of all enquiries through CCASS Terminals and Participant Gateways, except for enquire CCMS, Broadcast Message, Stock Account Balance, Stock Account Movement and Sellable Balance Adjustment Request</li><li>• Second batch of scrip entitlement distribution (applicable to Shenzhen market only)</li><li>• Final ATI upload file validation</li><li>• Final STI upload file validation</li><li>• Final STI Batch-run (only STI Transfers on FOP basis allowed for China Connect Securities)</li></ul>
8:05 p.m. (around)	<ul style="list-style-type: none"><li>• Generation of EPIs by HKSCC for same day Night Settlement</li></ul>
8:20 p.m. to 9:20 p.m.	<ul style="list-style-type: none"><li>• Confirmation of EPIs rejection by designated banks of Participants other than IPs for the night interbank bulk settlement run</li></ul>
8:30 p.m.	<ul style="list-style-type: none"><li>• Close of CCMS enquiry function</li><li>• Final batch of scrip entitlement distribution (applicable to Shanghai market only)</li><li>• Third batch of scrip entitlement distribution (applicable to Shenzhen market only)</li></ul>
8:30 p.m. (around)	<ul style="list-style-type: none"><li>• Generation of DDIs, DCIs and EPIs by HKSCC</li></ul>



**Daily Schedule:****For China Connect Markets (Shanghai market (MAMK) / Shenzhen market (SZMK))**

<b><u>Time</u></b>	<b><u>CCASS events</u></b>
9:00 p.m.	for settlement on the next Business Day <ul style="list-style-type: none"><li>• Close of Enquire Sellable Balance Adjustment Request function</li><li>• Final batch of scrip entitlement distribution (applicable to Shenzhen market only)</li></ul>
9:30 p.m.	<ul style="list-style-type: none"><li>• Report retrieval and Enquire Broadcast Message, Stock Account Balance and Stock Account Movement functions close</li></ul>
9:30 p.m. (after)	<ul style="list-style-type: none"><li>• Snapshot taking of total sellable balance of all China Connect Clearing Participants and their NCPs for pre-trade checking in the next trade day</li></ul>

Note : The schedule set out above is indicative only. CCASS Services for China Connect Markets are not available on Mainland public holiday or on Hong Kong public holiday.

**Section 7.2**

**CCASS Processing And Service Schedule**

**AVAILABILITY SCHEDULE OF CCASS ON-LINE FUNCTIONS**

Function Name		Start Time	End Time	Market
Input SI Change SI Delete SI Authorise Pending SI Revoke Matched SI Change Matched/Settled SI	First session	08:00	15:45	HKMK
		07:15	19:00	MAMK /SZMK
	Second session <sup>1</sup>	After final Batch-settlement-run at around 17:00	19:00	HKMK
		After Final Batch-settlement-run for CNS at around 19:15	19:45	MAMK /SZMK
Change Hold Matched SI	First session	08:00	15:45	HKMK
		07:15	19:45	MAMK /SZMK
	Second session <sup>1</sup>	After final Batch-settlement-run at around 17:00	19:00	HKMK
Enquire SI		07:15	20:00	GLOB
Enquire Deleted SI				
Enquire Unmatched SI Reason <sup>2</sup>		07:15	20:00	GLOB
Add SI Tolerance Limit		07:15	19:45	GLOB
Delete SI Tolerance Limit		07:15	19:45	GLOB
Authorise SI Tolerance Limit		07:15	19:45	GLOB
Cancel SI Tolerance Limit		07:15	19:45	GLOB
Enquire SI Tolerance Limit		07:15	20:00	GLOB
Input ATI	First session	08:00	15:45	HKMK
		07:15	20:00	MAMK /SZMK
	Second session <sup>3</sup>	At around 16:00	19:00	HKMK
Input Mass ATI / STI		08:00	19:45	GLOB
Change Mass ATI / STI		08:00	19:45	GLOB
Delete Mass ATI / STI		08:00	19:45	GLOB
Enquire Mass ATI / STI		08:00	19:45	GLOB
Add STI Change STI Delete STI Authorize Pending STI Revoke STI	First session	08:00	15:45	HKMK
		07:15	20:00	MAMK /SZMK
	Second session <sup>3</sup>	At around 16:00	19:00	HKMK
Enquire STI		07:15	20:00	GLOB
Input DI		09:30	15:45	HKMK

**AVAILABILITY SCHEDULE OF CCASS ON-LINE FUNCTIONS**

Function Name	Start Time	End Time	Market	
	16:00	19:45	MAMK /SZMK	
Change DI Requirement	08:00	15:45	HKMK	
	07:15	19:45	MAMK /SZMK	
Input ISI Change ISI Delete ISI Authorise Pending ISI Hold / Release ISI	First session	08:00	15:45	HKMK
	Second session <sup>1</sup>	After final Batch- settlement- run at around 17:00	19:00	HKMK
Add Sellable Balance Adjustment Request Change Sellable Balance Adjustment Request Delete Sellable Balance Adjustment Request Authorise Sellable Balance Adjustment Request Cancel Sellable Balance Adjustment Request	19:00	19:45	MAMK /SZMK	
Enquire Sellable Balance Adjustment Request	07:15	21:00	MAMK /SZMK	
Enquire ISI	08:00	19:00	GLOB	
Add Cash Prepayment Instruction	08:00	14:30	GLOB	
Change Cash Prepayment Instruction	08:00	14:30	GLOB	
Delete Cash Prepayment Instruction	08:00	14:30	GLOB	
Authorise Cash Prepayment Instruction	08:00	14:30	GLOB	
Revoke Cash Prepayment Instruction	08:00	14:30	GLOB	
Enquire Cash Prepayment Instruction	08:00	19:00	GLOB	
Add Cash Prepayment for China Connect Markets	16:00	18:00	MAMK /SZMK	
Change Cash Prepayment for China Connect Markets	16:00	18:00	MAMK /SZMK	
Delete Cash Prepayment for China Connect Markets	16:00	18:00	MAMK /SZMK	
Authorise Cash Prepayment for China Connect Markets	16:00	18:00	MAMK /SZMK	
Revoke Cash Prepayment for China Connect Markets	16:00	18:00	MAMK /SZMK	
Enquire Cash Prepayment for China Connect Markets	16:00	20:00	MAMK /SZMK	
Add Cash Prepayment / TSF Payment Standing Instruction	08:00	19:00	GLOB	
Change Cash Prepayment / TSF Payment Standing Instruction	08:00	19:00	GLOB	
Delete Cash Prepayment / TSF Payment Standing Instruction	08:00	19:00	GLOB	
Authorise Cash Prepayment / TSF Payment Standing Instruction	08:00	19:00	GLOB	
Cancel Cash Prepayment / TSF Payment Standing Instruction	08:00	19:00	GLOB	
Enquire Cash Prepayment / TSF Payment Standing Instruction	08:00	19:00	GLOB	
Enquire TSF Payment Instruction	08:00	19:00	GLOB	
Enquire Payment Instruction	09:30	19:00	GLOB	

**Section 7.2**

**CCASS Processing And Service Schedule**

**AVAILABILITY SCHEDULE OF CCASS ON-LINE FUNCTIONS**

Function Name		Start Time	End Time	Market
Add Intra-day Payment Standing Instruction	First session	08:00	13:15	GLOB
Change Intra-day Payment Standing Instruction				
Delete Intra-day Payment Standing Instruction	Second session <sup>10</sup>	After Intra-day Payment generation at around 14:30	19:00	GLOB
Authorise Intra-day Payment Standing Instruction				
Cancel Intra-day Payment Standing Instruction				
Enquire Intra-day Payment Standing Instruction				
Enquire Intra-day Payment Summary	First session	08:00	14:00	GLOB
	Second session <sup>10</sup>	After Intra-day Payment generation at around 14:30	19:00	GLOB
Add Nominee Payment (Evening) Standing Instruction <sup>11</sup>		08:00	19:00	GLOB
Change Nominee Payment (Evening) Standing Instruction <sup>11</sup>		08:00	19:00	GLOB
Delete Nominee Payment (Evening) Standing Instruction <sup>11</sup>		08:00	19:00	GLOB
Authorise Nominee Payment (Evening) Standing Instruction <sup>11</sup>		08:00	19:00	GLOB
Cancel Nominee Payment (Evening) Standing Instruction <sup>11</sup>		08:00	19:00	GLOB
Enquire Nominee Payment (Evening) Standing Instruction <sup>11</sup>		08:00	19:00	GLOB
Input Hide Unmatched SI Content Counterparty List		07:15	19:00	HKMK
			19:45	MAMK /SZMK
Delete Hide Unmatched SI Content Counterparty List		07:15	19:00	HKMK
			19:45	MAMK /SZMK
Authorise Hide Unmatched SI Content Counterparty List		07:15	19:00	HKMK
			19:45	MAMK /SZMK
Cancel Hide Unmatched SI Content Counterparty List		07:15	19:00	HKMK
			19:45	MAMK /SZMK
Enquire Hide Unmatched SI Content Counterparty List		07:15	19:45	GLOB
Input ISI (With Affirmation) Counterparty List		08:00	15:45	GLOB
Delete ISI (With Affirmation) Counterparty List		08:00	15:45	GLOB
Authorise ISI (With Affirmation) Counterparty List		08:00	15:45	GLOB
Cancel ISI (With Affirmation) Counterparty List		08:00	15:45	GLOB
Enquire ISI (With Affirmation) Counterparty List		08:00	19:00	GLOB
Input ISI (Without Affirmation) Counterparty List		08:00	15:45	GLOB
Delete ISI (Without Affirmation) Counterparty List		08:00	15:45	GLOB
Authorise ISI (Without Affirmation) Counterparty List		08:00	15:45	GLOB

---

**AVAILABILITY SCHEDULE OF CCASS ON-LINE FUNCTIONS**

Function Name		Start Time	End Time	Market
Cancel ISI (Without Affirmation) Counterparty List		08:00	15:45	GLOB
Enquire ISI (Without Affirmation) Counterparty List		08:00	19:00	GLOB
Enquire Due/Overdue Positions		07:15	20:00	GLOB
Enquire Stock A/C Balance		07:15	21:30	GLOB
Enquire Stock A/C Movement		07:15	21:30	GLOB
Enquire Settlement Activity		07:15	20:00	GLOB
Enquire Money Position / Instruction		08:00	20:00	GLOB
Enquire Announcement Information		08:00	20:00	GLOB
Enquire Issuer Announcement		08:00	19:00	GLOB
Enquire NCP/GCP Mapping		08:00	20:00	GLOB
Enquire Participant List		08:00	20:00	GLOB
Enquire Stock List		08:00	20:00	GLOB
Enquire Reported Lost Certificate		09:00	19:00	GLOB
Enquire Buy-in Confirmation		08:00	20:00	GLOB
Change Election Instruction		08:00	19:00	HKMK /MAMK /SZMK
Authorise Election Instruction		08:00	19:00	HKMK /MAMK /SZMK
Enquire Election Instruction		08:00	20:00	GLOB
Add Subscription Instruction	First session	08:00	15:45	HKMK
Change Subscription Instruction	Second session <sup>4</sup>	16:00	19:00	
Delete Subscription Instruction	For Non-Listed China Connect Securities	08:00	19:45	MAMK /SZMK
Authorise Subscription Instruction				
Cancel Subscription Instruction	For Listed China Connect Securities	After 19:00	19:45	
Enquire Subscription Instruction		08:00	20:00	GLOB
Change Corporate Voting Instruction		08:00	19:00	HKMK /MAMK /SZMK
Authorise Corporate Voting Instruction		08:00	19:00	HKMK /MAMK /SZMK
Enquire Corporate Voting Instruction		08:00	20:00	GLOB
Enquire Resolution Description		08:00	20:00	GLOB
Add Corporate Representative/Proxy		08:00	19:00	HKMK /MAMK /SZMK
Change Corporate Representative/Proxy		08:00	19:00	HKMK /MAMK /SZMK
Delete Corporate Representative/Proxy		08:00	19:00	HKMK /MAMK /SZMK
Authorise Corporate Representative/Proxy		08:00	19:00	HKMK

## Section 7.2

### CCASS Processing And Service Schedule

#### AVAILABILITY SCHEDULE OF CCASS ON-LINE FUNCTIONS

Function Name	Start Time	End Time	Market
			/MAMK /SZMK
Enquire Corporate Representative/Proxy	08:00	20:00	GLOB
Enquire SSA Corporate Voting Instruction	08:00	20:00	GLOB
Add Stock Release Request	09:30	16:00	GLOB
Change Stock Release Request	09:30	16:00	GLOB
Delete Stock Release Request	09:30	16:00	GLOB
Authorise Stock Release Request	09:30	16:00	GLOB
Enquire Stock Release Request	08:00	19:00	GLOB
Add Stock Borrowing Request	09:30	15:45	GLOB
Change Stock Borrowing Request	09:30	15:45	GLOB
Delete Stock Borrowing Request	09:30	15:45	GLOB
Enquire Stock Borrowing Request	09:00	19:00	GLOB
Enquire Stock Lender List	09:00	19:00	GLOB
Enquire Stock Borrowing List	09:00	19:00	GLOB
Input Recall Request	09:30	15:45	HKMK
Change Cash Compensation Indicator	09:30	15:45	HKMK
Enquire Lending Position	09:00	19:00	GLOB
Enquire Stock Borrowing Information	09:00	19:00	GLOB
Add Login Withdrawal Order	09:30	15:45	HKMK
Change Login Withdrawal Order	09:30	15:45	HKMK
Delete Login Withdrawal Order	09:30	15:45	HKMK
Authorise Login Withdrawal Order	09:30	15:45	HKMK
Cancel Login Withdrawal Order	09:30	15:45	HKMK
Enquire Login Withdrawal Order	09:00	19:00	GLOB
Add Recipient Master	08:00	19:00	GLOB
Change Recipient Master	08:00	19:00	GLOB
Delete Recipient Master	08:00	19:00	GLOB
Enquire Recipient Master	08:00	20:00	GLOB
Add Event Recipient List	08:00	19:00	GLOB
Delete Event Recipient List	08:00	19:00	GLOB
Enquire Event Recipient List	08:00	20:00	GLOB
Enquire Corporate Communications Event	08:00	20:00	GLOB
Add EIPO Application <sup>5</sup>	08:00	20:30	GLOB
Change Pending EIPO Application <sup>5</sup>	08:00	20:30	GLOB
Delete Pending EIPO Application <sup>5</sup>	08:00	20:30	GLOB
Authorise EIPO Application <sup>5</sup>	08:00	20:30	GLOB
Cancel EIPO Application <sup>5</sup>	08:00	20:30	GLOB
Enquire EIPO Application	08:00	20:30	GLOB
Enquire EIPO Total Application Quantity and Money Obligation	08:00	20:30	GLOB
Enquire Authorised EIPO Announcement	08:00	20:30	GLOB
Confirm EIPO Application <sup>12</sup>	08:00	20:30	GLOB
Delete Confirmed EIPO Application <sup>12</sup>	08:00	20:30	GLOB
Authorise Confirmed EIPO Application <sup>12</sup>	08:00	20:30	GLOB
Cancel Confirmed EIPO Application <sup>12</sup>	08:00	20:30	GLOB
Enquire Confirmed EIPO Application	08:00	20:30	GLOB
Enquire Allotment Result	08:00	20:30	GLOB
Add Tender Instruction <sup>6</sup>	08:00	19:00	GLOB

---

**AVAILABILITY SCHEDULE OF CCASS ON-LINE FUNCTIONS**

Function Name	Start Time	End Time	Market	
Change Tender Instruction <sup>6</sup>	08:00	19:00	GLOB	
Delete Tender Instruction <sup>6</sup>	08:00	19:00	GLOB	
Authorise Tender Instruction <sup>6</sup>	08:00	19:00	GLOB	
Cancel Tender Instruction <sup>6</sup>	08:00	19:00	GLOB	
Enquire Tender Instruction	08:00	20:00	GLOB	
Enquire Authorised Tender Announcement	08:00	20:00	GLOB	
Enquire Tender Result	08:00	20:00	GLOB	
Add Cash Creation Order	09:15	16:15	HKMK	
Change Cash Creation Order	09:15	16:15	HKMK	
Delete Cash Creation Order	09:15	16:15	HKMK	
Authorise Cash Creation Order	09:15	16:15	HKMK	
Enquire Cash Creation Order	09:00	20:00	GLOB	
Add In Kind Creation Order	09:15	16:15	HKMK	
Change In Kind Creation Order	09:15	16:15	HKMK	
Delete In Kind Creation Order	09:15	16:15	HKMK	
Authorise In Kind Creation Order	09:15	16:15	HKMK	
Enquire In Kind Creation Order	09:00	20:00	GLOB	
Add Redemption Order	09:15	16:15	HKMK	
Change Redemption Order	09:15	16:15	HKMK	
Delete Redemption Order	09:15	16:15	HKMK	
Authorise Redemption Order	09:15	16:15	HKMK	
Enquire Redemption Order	09:00	20:00	GLOB	
Input Inter-counter Transfer/Conversion Instruction	08:00	15:45	HKMK	
Cancel Inter-counter Transfer/Conversion Instruction	08:00	15:45	HKMK	
Enquire Inter-counter Transfer/Conversion Instruction	08:00	19:00	HKMK	
Enquire Shareholding Category Disclosure Detail	08:00	20:00	MAMK /SZMK	
Add Shareholding Category Disclosure Detail	08:00	19:00	MAMK /SZMK	
Change Shareholding Category Disclosure Detail	08:00	19:00	MAMK /SZMK	
Delete Shareholding Category Disclosure Detail	08:00	19:00	MAMK /SZMK	
Authorise Shareholding Category Disclosure Detail	08:00	19:00	MAMK /SZMK	
Add SSA	08:00	17:00	GLOB	
Change SSA	08:00	17:00	GLOB	
Delete SSA	08:00	17:00	GLOB	
Enquire SSA	08:00	19:00	GLOB	
Reset SSA Phone Password	08:00	17:00	GLOB	
Add SSA Bank Account	08:00	19:00	GLOB	
Change SSA Bank Account	08:00	19:00	GLOB	
Delete SSA Bank Account	16:15	19:00	GLOB	
Enquire SSA Bank Account	08:00	19:00	GLOB	
Add CCASS-To-CCMS Stock Transfer Add CCMS-To-CCASS Stock Transfer	First session	09:30	15:45	GLOB
	Second session	At around 16:00	19:00	GLOB
Add CCMS-To-CCASS Cash Transfer	09:30	19:00	GLOB	

## Section 7.2

### CCASS Processing And Service Schedule

#### AVAILABILITY SCHEDULE OF CCASS ON-LINE FUNCTIONS

Function Name	Start Time	End Time	Market
Add General To Specific Stock Collateral	09:30	19:00	GLOB
Add Specific To General Stock Collateral	09:30	19:00	GLOB
Enquire Collateral Account Balance	09:00	Till CCASS Service close <sup>7</sup>	GLOB
Enquire Collateral Account Movement	09:00		
Enquire Collateral Inventory	09:00		
Enquire Interest Calculation Result	09:00		
Enquire Collateral Effective Haircut and Valuation Price	09:00		
Enquire Exchange Rate and Haircut	09:00		
SI Batch File Upload	07:15		
Authorise SI Batch File Upload	07:15	19:30	GLOB
ISI Batch File Upload	08:00	19:00	GLOB
Authorise ISI Batch File Upload	08:00	19:00	GLOB
ATI Batch File Upload	07:15	20:00	GLOB
Authorise ATI Batch File Upload	07:15	20:00	GLOB
Corporate Communications Batch File Upload	08:00	19:00	GLOB
Authorise Corporate Communications Batch File Upload	08:00	19:00	GLOB
Corporate Representative / Proxy Batch File Upload	08:00	16:15	GLOB
Authorise Corporate Representative / Proxy Batch File Upload	08:00	16:15	GLOB
Tender Instruction Batch File Upload <sup>6</sup>	08:00	19:00	GLOB
Authorise Tender Instruction Batch File Upload <sup>6</sup>	08:00	19:00	GLOB
EIPO Batch File Upload <sup>5</sup>	08:00	20:30	GLOB
Authorise EIPO Batch File Upload <sup>5</sup>	08:00	20:30	GLOB
EIPO Confirmation Batch File Upload <sup>12</sup>	08:00	15:00	GLOB
Authorise EIPO Confirmation Batch File Upload <sup>12</sup>	08:00	15:00	GLOB
SSA Batch File Upload	08:00	14:30	GLOB
Authorise SSA Batch File Upload	08:00	14:30	GLOB
STI Batch File Upload	07:15	20:00	GLOB
Authorise STI Batch File Upload	07:15	20:00	GLOB
Multi-counter Transfer Instruction Batch File Upload	08:00	14:30	GLOB
Authorise Multi-counter Transfer Instruction Batch File Upload	08:00	14:30	GLOB
Parallel Trading Conversion Instruction Batch File Upload	08:00	14:30	GLOB
Authorise Parallel Trading Conversion Instruction Batch File Upload	08:00	14:30	GLOB
Delete User Profile <sup>9</sup>	07:00	19:00	GLOB
Change User Profile <sup>9</sup>	07:00	19:00	GLOB
Enquire User Profile <sup>9</sup>	07:00	19:00	GLOB
User Group Listing (With Accessible Functions) <sup>9</sup>	07:00	19:00	GLOB
Disabled User Listing <sup>9</sup>	07:00	19:00	GLOB
SRN Listing <sup>9</sup>	07:00	19:00	GLOB
User Profile Maintenance Report <sup>9</sup>	07:00	19:00	GLOB
Reset Smartcard Password <sup>9</sup>	07:00	19:00	GLOB
Get Authorisation Code <sup>9</sup>	07:00	19:00	GLOB
Report Profile Maintenance <sup>9</sup>	09:00	20:30	GLOB
Report Download <sup>8</sup>	07:15	21:30	GLOB



---

**AVAILABILITY SCHEDULE OF CCASS ON-LINE FUNCTIONS**

Function Name	Start Time	End Time	Market
Enquire Broadcast Message <sup>8</sup>	07:15	21:30	GLOB
View Circular	08:00	20:30	GLOB
Change Pending Preferred Single Settlement Currency	09:00	19:00	GLOB
Delete Pending Preferred Single Settlement Currency	09:00	19:00	GLOB
Authorise Pending Preferred Single Settlement Currency	09:00	19:00	GLOB
Enquire Preferred Single Settlement Currency	09:00	20:30	GLOB
Add Pending Specific Cash Collateral	09:00	18:00	GLOB
Delete Pending Specific Cash Collateral	09:00	18:00	GLOB
Authorise Pending Specific Cash Collateral	09:00	18:00	GLOB
Enquire Specific Cash Collateral	09:00	19:00	GLOB
Enquire Specific Cash Collateral Account Movement	09:00	19:00	GLOB
Specific Stock Collateral Batch File Upload	09:00	18:00	GLOB
Authorise Specific Stock Collateral Batch File	09:00	18:00	GLOB

**Remarks:**

- 1 For Hong Kong Market, second session of SI / ISI maintenance commences at approximately 17:00, which will be announced via Broadcast Message. For China Connect Markets, second session of SI maintenance commences at approximately 19:15.
- 2 Enquire Unmatched SI Reason function is not available during each Batch-settlement-run process. In addition, the Enquire Unmatched SI Reason function will be subject to block-off, during varies batch processing.
- 3 For Hong Kong Market, second session of Input ATI and STI commences at approximately 16:00, which will be announced via Broadcast Message. For all Markets, only STI settled on a FOP basis will be allowed for input after 15:45.
- 4 For Hong Kong Market, second session of subscription maintenance commences at approximately 16:00 announced, which will be announced via Broadcast Message. For China Connect Markets, authorise function of subscription instruction maintenance for non-listed China Connect Securities (e.g. rights subscriptions) is available from 08:00 to 19:45, while for listed China Connect Securities (e.g. takeover offers) is available from 19:00 to 19:45.
- 5 Add, Change, Delete, Authorise and Cancel functions of EIPO Application are also available on Saturdays from 08:00 to 13:00 (except where such day is the application start date in which case the start time would be 09:00), or from 08:00 to EIPO Application end time on EIPO closing day.
- 6 Add, Change, Delete, Authorise and Cancel functions of tender instruction are also available on Saturdays from 08:00 to 13:00 (except where such day is the tender or application start date in which case the start time would be 09:00), or from 08:00 to Application end time on closing day and before the tender day.
- 7 CCASS services usually close at 21:30 on weekdays and 13:00 on Saturdays.
- 8 Report Download and Enquire Broadcast Message functions are available on **Saturdays** from **07:15 to 13:00**.
- 9 Report Profile Maintenance and Security Management related functions are available on **Saturdays** from **09:00 to 13:00**.

## Section 7.2

### CCASS Processing And Service Schedule

---

- 10 Second session of Intra-day Payment Standing Instruction maintenance functions and Enquire Intra-day Payment Summary are available after the completion of Intra-day Payment generation at around 14:30, which will be announced via Broadcast Message.
- 11 Add, Change, Delete, Authorise and Cancel functions of Nominee payment (evening) standing instruction will be temporary suspended at around **15:30 to 16:10**.
- 12 Confirm, Delete, Authorise and Cancel functions of confirmed EIPO Application are also available on Saturdays from 08:00 to 13:00 (except where such day is the confirmation start date in which case the start time would be defined by issuers), or from 08:00 to EIPO Confirmation end time on EIPO Confirmation closing day.