

SECTION 4.3

REPORT SAMPLE 4.3.14 COLLATERAL SECURITY BATCH INPUT CONTROL REPORT

SSC batch file being partially rejected

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(1)CCMSS05                                HKEX - CCMS                                (2) RUN DATE : 27OCT16
                                           COLLATERAL SECURITY BATCH INPUT CONTROL REPORT (3) RUN TIME : 10:03:16
                                                                                               PAGE      :      1

(4) FIRM NAME:
(5) PART NAME: B01234 PART SHORT NM
(6)          (7)
FIRM ID   PART ID
-----   -----
BF01234   B01234

(8)CCMS DATE : 27OCT16                    (9)PROCESSING TIME : 10:02:35

SECTION A FILE FORMAT
-----EXCEPTIONS-----
*** NONE ***
-----SUMMARY OF SECTION A-----

(35) TOTAL NO OF FILES REJECTED   :           0
(37) TOTAL NO OF FILES UPLOADED   :           4

SECTION B DETAIL RECORD
-----EXCEPTIONS-----
(38) (12) (18)          (20)  (21)  (22)  (23) (24)  (25)          (26)          (28)
FILE REC STOCK   (19)      FROM   --- TRANSFER TO CCMS ---- TRANSFER   STM DATE   CONTROL TOTAL
IND  TYP CODE   ISIN      CCASS A/C FIRM ID PART ID TYPE  NO    QUANTITY   /REMARKS (27)
-----
0001  1  02000          00000001 BF01234 B01234 HSE  0001 00000000000110 20161031 00000020163141

ERROR MESSAGES :  -5333 FROM A/C NOT FOUND IN STOCK ACCOUNT TABLE

-----SUMMARY OF SECTION B-----
(39)          (40)
TOTAL NO OF RECORDS   TOTAL QUANTITY
-----
DETAIL RECORDS PROCESSED           4           170
DETAIL RECORDS ACCEPTED            3           60
DETAIL RECORDS REJECTED            1           110
TOTAL NO OF FILES PROCESSED :      4
(41)

*** END OF REPORT ***

```

The whole SSC batch file being rejected

(1) CCMSS05 HKEX - CCMS (2) RUN DATE : 03APR13
 COLLATERAL SECURITY BATCH INPUT CONTROL REPORT (3) RUN TIME : 10:03:20
 PAGE : 1

(4) FIRM NAME: ABC SEC LTD
 (5) PART NAME: ABC SEC LTD
 (6) (7)

FIRM ID PART ID

 BF02345 B02345

(8) CCMS DATE : 03APR13 (9) PROCESSING TIME : 10:01:15

SECTION A FILE FORMAT

-----EXCEPTIONS-----

(10) (11)
 FILE REFERENCE : SSCFILEB02345V1 FILE INDICATOR : 0001

CONTROL HEADER

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(12)	(13)	(14)	(15)	(16)
RECORD TYPE	PARTICIPANT ID	SENDER BIC	TRANSMISSION DATE	FILE NAME
0	B02345		20130328	SPEC STOCK COLL

ERROR MESSAGES : -5309 TRANSMISSION DATE DIFFERENT FROM CCMS DATE

(17)

DETAIL RECORD

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(12)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)	(26)	(28)	
REC STOCK	TYP CODE	ISIN	FROM	CCASS A/C	FIRM ID	PART ID	TYPE	NO	TRANSFER QUANTITY	STM DATE /REMARKS (27)	CONTROL TOTAL
1	97001		1	BF02345	B02345	HSE	0001	00000000000040	20130401	00000020227845	

ERROR MESSAGES : 5096 SETTLEMENT DATE INVALID
 (17) -5320 CONTROL TOTAL NOT CORRECT

CONTROL TRAILER

=====

(12)	(29)	(30)	(31)	(32)
RECORD TYPE	NO OF DETAIL RECORD	STOCK CODE SUM	TRANSFER QUANTITY SUM	CONTROL TOTAL SUM
2	0001	0097001	0000000000000040	00000000020227955

ERROR MESSAGES : -5327 CONTROL TOTAL SUM NOT CORRECT

(17)

INVALID RECORD : 3 97001 1 BF02345 B02345 HSE 0001 00000000000040 20130402 00000020227845

(33)

SUMMARY FOR THE FILE PROCESSED

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(34) *** THE WHOLE INTERFACE FILE IS REJECTED ***

(1) CCMSS05

HKEX - CCMS
COLLATERAL SECURITY BATCH INPUT CONTROL REPORT

(2) RUN DATE : 03APR13
(3) RUN TIME : 10:03:20
PAGE : 2

(4) FIRM NAME: ABC SEC LTD

(5) PART NAME: ABC SEC LTD

(6) FIRM ID	(7) PART ID
BF02345	B02345

(8) CCMS DATE : 03APR13

(9) PROCESSING TIME : 10:01:15

SECTION A FILE FORMAT

-----SUMMARY OF SECTION A-----

(36)

(35) TOTAL NO OF FILES REJECTED : 1 (** THE WHOLE INTERFACE FILE IS REJECTED **)

(37) TOTAL NO OF FILES UPLOADED : 1

SECTION B DETAIL RECORD

-----EXCEPTIONS-----

*** NONE ***

-----SUMMARY OF SECTION B-----

	(39) TOTAL NO OF RECORDS	(40) TOTAL QUANTITY
DETAIL RECORDS PROCESSED	0	0
DETAIL RECORDS ACCEPTED	0	0
DETAIL RECORDS REJECTED	0	0
TOTAL NO OF FILES PROCESSED : (41)	0	

*** END OF REPORT ***