
Special Enquire Functions

FUNCTION NAME: ENQUIRE COLLATERAL ACCOUNT MOVEMENT

WHEN TO USE:

- To enquire on the collateral movement activities for any collateral account upto the past 30 calendar days.

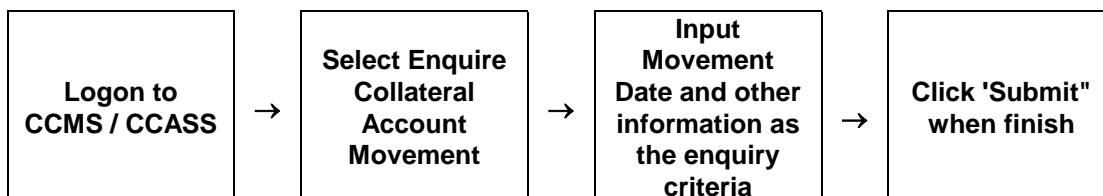
AVAILABLE FUNCTION TIME:

- This enquiry function is available from 9:00 a.m. till CCMS services close, Monday to Saturday (except holidays).

FUNCTIONAL DESCRIPTION:

- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.
- The function allows enquiry on all collateral movements for a particular collateral on the selected day.

The access path for Enquire Collateral Account Movement is:



ENQUIRE COLLATERAL ACCOUNT MOVEMENT - Sample Screens

- General Enquiries
- Enq Settlement Act / Status
- Stock Borrowing / Lending
- SBL Bulletin Board
- Maintain Firm
- Maintain Participant
- Maintain Collateral Account
- Mtn Tran A/C to Collateral A/C
- Mapping
- Maintain Static Data Master
- Maintain Collateral Master
- Maintain Sec Type Master
- Maintain Global Parameters
- Maintain Eligible Instrument Group
- Maintain Haircut Group Rate
- Maintain Clearing House
- Payment Info
- Maintain Calendar
- Maintain Function Time
- Mtn Cash Collateral Deposit Order

Enquire Collateral Account Movement

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[Stm Position](#) [Change Participant](#) [Change Password](#)

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H00001 HKSCC CCM5DIT
KMPE 05
26-Feb-03 12:27

Enquire Collateral Account Movement Detail

Event Date : 07-OCT-02
Instrument Group : CCASS Stock
Firm ID : BF06801
Participant ID : B06801
Account Type : House
Account Number : 0001
Stock Code : 8
ISIN : HK0000009653

Depository	Coll Usage	Date & Time	MV Type	Customer Account	Settlement Date	Qty	Tran Ref	Remarks	Update By
Enquire Another Record									

C0184 BOTTOM OF LIST

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- Maintain Participant
- Maintain Collateral Account
- Maintain Collateral Master
- Mtn Cash Collateral Deposit Order
- Mtn Non-Cash Collateral Deposit Order
- Mtn Cash Collateral Withdrawal Order
- Mtn Non-Cash Collateral Withdrawal Order
- Enquire Deposit/Withdrawal Order
- Enquire Collateral Account Balance
- Enquire Collateral Inventory
- Enq Coll Acct to Trans Acct Mapping
- Mtn Currency Exchange Rate and Haircut
- Mtn Cash Collateral A/C Transfer Instr
- Mtn Non-Cash Coll A/C Transfer Instr
- Enq Coll Effective Haircut & Val Price
- Enquire Collateral Account Movement
- Enquire Int Cal Result / Accom Fee

Enquire Collateral Account Movement

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03-Dec-0

Enquire Collateral Account Movement Detail

Event Date : 10-OCT-02
Instrument Group : Cash
Firm ID : BF00010
Participant ID : HKABC1
Account Type : Client
Account Number : 0001
Currency : HKD

Coll Usage	Date & Time	MV Type	Confirmed Amount	Outstanding Debit	Pending DDI	DCI Sent	DDI Collected	Tran Ref	Remarks	Upd
GEN	14-Nov-02 11:51	VA	-19,000,000.00					0	CB: 301129. HSI VA LG DR	PBC
GEN	02-Dec-02 17:03	TA	100,000.00					0000000412099	CASH TRANSFER EXAMPLE	CKA
Total :			-18,900,000.00	0.00	0.00	0.00	0.00			

[Enquire Another Record](#)

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DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
EVENT DATE	<ul style="list-style-type: none">- input the date to enquire on its collateral account movement activities.- the date can be as early as 30 calendar days ago.- valid date must be typed in one of the following formats: '23JAN02', '230102', '23-01-02' or '23/01/02'.
INSTRUMENT GROUP	<ul style="list-style-type: none">- select the group of collateral instrument via pull down menu:<ul style="list-style-type: none">. Bank Guarantee. Bond. Cash. CCASS Stock. Non-CCASS Stock
FIRM ID	<ul style="list-style-type: none">- firm identity assigned by HKEX for linking multiple participants of the clearing houses.
PARTICIPANT ID	<ul style="list-style-type: none">- participant identity assigned by HKEX.
ACCOUNT TYPE	<ul style="list-style-type: none">- select the type of collateral account via pull down menu.- Can be 'HOUSE', 'CLIENT' or 'MARKET MAKER'.- must be 'HOUSE' for CCASS participant.
ACCOUNT NUMBER	<ul style="list-style-type: none">- input the account number of participant's collateral account of the account type on which details are going to be enquired.- must be '0001' for CCASS participant's 'HOUSE' collateral account.
ISIN / STOCK CODE / BANK CODE / CURRENCY	<ul style="list-style-type: none">- input either the ISIN, stock, bank or currency code on which movement activities of the collateral are going to be enquired.
DEPOSITORY	<ul style="list-style-type: none">- display the code of depository in which the collateral is being held:<ul style="list-style-type: none">CDP -- CCASS Central DepositoryCLS -- Clearstream BankingCMU -- Central Moneymarket Unit of HKMAN/A -- HKEX or its Clearing Houses

<u>Field</u>	<u>Description/Format</u>
COLL USAGE	<p>- display the usage of the collateral.</p> <p>DEP -- Depository services related</p> <p>GEN -- General collateral</p> <p>NOM -- Nominees services related</p> <p>STM -- Settlement services related</p> <p>XSC -- Exceed settlement cap</p> <p>BTM -- Block trade special margin</p> <p>COM -- Concentration additional margin</p> <p>EFC -- Collateral for delivery of EFN Futures</p> <p>GRA -- Additional contribution / deposit for Guarantee / Reserve Fund</p> <p>GRI -- Initial contribution / deposit for Guarantee / Reserve Fund</p> <p>PLM -- Capital Based Position Limit additional Margin</p> <p>EMK -- EOT Marks</p> <p>EMG -- EOT Margin</p> <p>OCA -- Other Specific Use Collateral Type A</p> <p>OCB -- Other Specific Use Collateral Type B</p> <p>OCC -- Other Specific Use Collateral Type C</p> <p>OCD -- Other Specific Use Collateral Type D</p> <p>OCE -- Other Specific Use Collateral Type E</p> <p>RKC -- Risk Limit related</p> <p>CCO -- Contract Currency On-hold</p> <p>SPC -- Specific Cash Collateral</p> <p>SPS -- Specific Stock Collateral</p> <p>MTD -- Mainland Settlement Deposit (Shanghai)</p> <p>MCD -- Mainland Security Deposit (Shanghai)</p> <p>MTZ -- Mainland Settlement Deposit (Shenzhen)</p> <p>MCZ -- Mainland Security Deposit (Shenzhen)</p> <p>MCM -- Marks, Collateral and Margin (applicable to Clearing Agency Participant in respect of the Clearing Link only)</p> <p>ASC -- A-share collateral</p>
DATE AND TIME	<p>- display the date and time of the movement activities being enquired</p>

<u>Field</u>	<u>Description/Format</u>
MV TYPE	<ul style="list-style-type: none"> - display the type of movement activity. AF -- Accommodation Fee CA -- Corporate Actions CH -- Shareholding Removal CJ -- SCC Deposit Rejection via DDI CM -- SCC Deposit Confirmation via DDI CO -- Confirm Specific Cash Collateral Payment Generation via DDI CP -- Transfer On-hold SCC from CCMS to CCASS CS -- Cash Settlement Ledger Posting CQ -- Refund Confirmed Free SCC from CCMS to CCASS DC -- Deposit Confirmation DI -- DDI Generation for settlement DP -- Non-cash Deposit DR -- DDI Rejection for Outstanding Debit EF -- EOT Marks and Margin Transfer ER -- DDI Rejection for Deposit (General or Special Use) ET -- Covered Shares Transfer for EOT FE -- Fees from DCASS for HKCC and SEOCH HC -- Marks/Margin Shortfall Payment Confirmation HI -- Marks/Margin Shortfall HR -- Marks/Margin Shortfall Payment Reject IN -- Interest on Collateral LF -- Ledger Transfer (from CCASS to CCMS) LT -- Ledger Transfer (from CCMS to CCASS) MG -- Margin from DCASS for HKCC or SEOCH MP -- Manual Posting MR -- Margin Refund MT -- CCMS to Money Ledger Transfer PC -- Deposit Confirmation PI -- Confirm Deposit Instruction Generation PR -- Premium from DCASS for SEOCH RO -- Release Specific Stock (from on-hold to general collateral) RX -- Refund excess Special-Use collateral for Stock Connect SB -- Specific Stock To-Be-Released Quantity Release SD -- Specific Stock Definition (from general to specific) SF -- Add General Cash Collateral to Confirmed Free SCC SG -- Transfer Confirmed On-hold / Free SCC to General Cash Collateral SJ -- SCC Deposit Rejection via CPI SM -- SCC Deposit Confirmation via CPI SN -- Settlement Process SO -- Confirm Specific Cash Collateral Payment Generation via CPI SR -- Specific Stock / Cash Release (from specific to general) TA -- Collateral Transfer Instruction TI -- Payment Transfer Instruction UP -- Special Use Pledge
	<ul style="list-style-type: none"> UR -- Special Use Release US -- Underlying Settlement Ledger Posting VC -- Covered Call Request VA -- Variation Adjustment from DCASS for HKCC WH -- Collateral Withdrawal WI -- Collateral Ad hoc Withdrawal
CUSTOMER ACCOUNT	<ul style="list-style-type: none"> - The corresponding customer account of DCASS, and not applicable to CCASS.

<u>Field</u>	<u>Description/Format</u>
SETTLEMENT DATE	<ul style="list-style-type: none">- display the due date for settlement using the specific stock collateral.- applicable to HKSCC only.
QTY	<ul style="list-style-type: none">- display the quantity of the collateral involved in the movement activity being enquired.
TRAN REF	<ul style="list-style-type: none">- display the transaction reference number of the movement activity being enquired.
REMARKS	<ul style="list-style-type: none">- display the remarks of the movement activity.
UPDATE BY	<ul style="list-style-type: none">- display the ID of the user who performed the collateral movement activity.
CONFIRMED AMOUNT	<ul style="list-style-type: none">- display the cash amount that was confirmed as 'good and clear' fund.
OUTSTANDING DEBIT	<ul style="list-style-type: none">- display the amount of outstanding debt that is going to be collected.
PENDING DDI	<ul style="list-style-type: none">- display the amount of the pending DDI that was being collected, and waiting for confirmation.
DCI SENT	<ul style="list-style-type: none">- display the amount of the DCI sent.
DDI COLLECTED	<ul style="list-style-type: none">- display the amount of the DDI that had just been confirmed as 'good and clear' fund.
