



香港交易所

**Renminbi (RMB) Readiness
Clearing Simulation Test (CST)
on 28 August 2011**

CCASS Participant Information Package

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1. Introduction

Hong Kong Exchange and Clearing Limited (HKEx) conducted two RMB Readiness Tests (Tests) in March 2011. Majority of Exchange Participants (EPs) and CCASS Participants (collectively referred as ‘Participants’) have confirmed their readiness in dealing with RMB securities. Furthermore, since the debut of the first RMB REIT listed on the Stock Exchange of Hong Kong Limited (SEHK) in April 2011, trading and clearing of RMB securities have been running smoothly.

To facilitate those Participants who have not participated the previous Tests and/or wish to verify their readiness for dealing in RMB securities in an end-to-end manner, HKEx has organised a two-day testing session on 27 and 28 August 2011 (Saturday and Sunday) to simulate the EIPO subscription process, trading and clearing of listed RMB securities. The first day testing session on 27 August 2011 allows EPs to simulate conducting secondary market trading activities of listed RMB securities (referred as ‘Trading Simulation Test’ or TST). The second day testing session on 28 August 2011 allows CCASS Participants to simulate EIPO subscription and clearing activities of listed RMB securities in CCASS (referred as ‘Clearing Simulation Test’ or CST). General Clearing Participants are reminded to urge their Non-Clearing Participant clients to participate in the TST in case they would participate in the testing session.

This Information Package is designed to assist CCASS Participants in planning and preparing for the CST. CCASS Participants should read this Information Package carefully and make necessary preparation before conducting the CST. A copy of this document should also be passed to their IT support or system vendor to ensure the availability of proper technical support before and during the CST.

2. Objective and Scope

2.1 Objective

The objective of the CST is to provide an opportunity for CCASS Participants to examine their back office system (BOS) and internal operational processes in an end-to-end manner to ensure their readiness for clearing transactions in listed RMB securities.

2.2 Scope

CCASS online session will be provided during the CST for CCASS Participants to:

- perform clearing and settlement activities of exchange trades and/or transactions of listed RMB securities;
- perform various CCASS online functions (including EIPO application) for RMB securities;
- download and verify various CCASS reports/data files with transactions of RMB securities; and
- upload various CCASS batch transfer files with transactions of RMB securities, where applicable.

3 Important Notes to CCASS Participants

CCASS Participants should note the following arrangements for the preparation and execution of the CST:

- a) Participants shall use their existing CCASS Terminals (C3T) and/or Participant Gateway (PG) to access CCASS during the CST. Participants are reminded to remove ALL testing batch transfer files and CCASS reports/data files from their C3T, PG and/or BOS upon completion of CST on Sunday 28 August 2011 as to avoid mis-using these testing files/reports in their normal business on the following Monday.
- b) For those Participants who would perform upload of batch transfer files in the CST, they should prepare the testing batch transfer files before the CST.
- c) CST participating users must have experience in conducting CCASS related activities for their daily business operations, and shall use their production smartcards and passwords for accessing C3T and/or PG during the CST. ***If smartcard password has been reset during the CST, the user concerned should use the latest password (i.e. after password reset in the CST) for production use on the following Monday, i.e. 29 August 2011.*** Besides, Participants should ensure that CST participating users have appropriate user function access to perform the required CCASS activities during the CST. **Participants' Delegated Administrators (DA) are not encouraged to revise the users function access during the CST because it will take time to take effect.**
- d) The reports/data files available in the CST are for testing purpose only. Participants should not use these reports/data files for production use.
- e) Participants should refer to the Checklist in Appendix A for the action items to be performed before, during and after the CST for preparation and execution of the CST. In order to achieve the testing objective, CST participating users should familiarize themselves with the requirements and procedures prior to the CST.
- f) In addition, Participants are encouraged to maintain proper audit trail in respect of all activities conducted during the CST. A Responsible Officer or his/her designate of each participating Participant is advised to be present during the CST to supervise the testing process and to be responsible for relaying any issues arising during the CST to HKEx. To ensure smooth operation during the CST, Participants should ensure all their CST participating users fully understand the requirements and procedures; and make necessary arrangement for the CST.
- g) Participants should have their system administrator ID(s) and password(s) of their internal servers ready throughout the CST, in case technical trouble-shooting is required.

4 Schedule and Arrangement

4.1 Overview

The CST will be held on Sunday 28 August 2011. CCASS will capture the trades executed during the TST on Saturday 27 August 2011 (i.e. T day). When Participants logon CCASS during the CST, they will be simulating production operations as of 29 August 2011, being the settlement day (T+2 day) for those trades executed in the TST. Furthermore, CCASS reports/data files dated 27 and 28 August 2011 (i.e. T day and T+1 day reports) will be made available for download during the online session of the CST.

Direct Clearing Participants and General Clearing Participants are requested to coordinate with their trading partners to have trades executed in the TST on Saturday 27 August 2011 for clearing and settlement in the CST on Sunday 28 August 2011.

4.2 Schedule and Timetable

When Participants logon CCASS on Sunday 28 August 2011 during the CST, they will be simulating CCASS activities on settlement day 29 August 2011 (i.e. T+2 day).

Execution Date: 28 August 2011 (Sunday)

Logical Date: 29 August 2011

Time	CCASS Processing	Remarks
8:30 am - 1:00 pm	<i>Logon and Online Session (report retrieval, online maintenance activities and batch file transfers)</i>	
From 8:30 am	<ul style="list-style-type: none"> • CCASS online session available • Logon to CCASS by using the production smartcard and password via the hyperlink: https://www.ccass.com 	
	<ul style="list-style-type: none"> • Perform report download / printing via Report Download function • Perform data file download, if applicable, via Report Download function <p><i>Note : T day (dated 27 August 2011) and T+1 day (dated 28 August 2011) reports/data files are available for download from 8:30 am onward</i></p>	<ul style="list-style-type: none"> • Before downloading the testing reports/data files, Participants should change the pre-defined "Report Directory" for download of reports / data files via "Report Profile Maintenance" function, please refer to Appendix C for details • PG users should avoid mixing up the directory(ies) for receiving the testing reports/data files in the CST from their directory(ies) designated for production use

Time	CCASS Processing	Remarks
	<ul style="list-style-type: none"> Perform CCASS batch file transfers (SI / ATI / ISI / STI / EIPO application), if applicable <p><i>Note: File Transmission Date and Batch Transmission Date in respective batch transfer files should be set as the Logical Date, i.e. <u>29 August 2011</u></i></p> <ul style="list-style-type: none"> Perform CCASS online transactions 	<ul style="list-style-type: none"> Refer to Appendix B1 for data setup in the CST Refer to Appendix B2 and B3 for suggested functions to be executed, and list of reports/data files to be checked in the CST
9:45 am	<ul style="list-style-type: none"> 1st upload file validation process for ATI, STI and EIPO application 1st SI matching run 1st STI batch transfer run 	Batch input control reports and intra-day settlement related reports will be generated by batches
10:00 am	1 st Batch-settlement-run (BSR)	Intra-day settlement related reports will be generated by batches
10:15 am	Intra-day marks processing	
10:30 am	<ul style="list-style-type: none"> 2nd upload file validation process for ATI, STI and EIPO application 2nd SI matching run 2nd STI batch transfer run 	Batch input control reports and intra-day settlement related reports will be generated by batches
10:45 am	2 nd BSR	Intra-day settlement related reports would be generated by batches
11:15 am	<ul style="list-style-type: none"> 3rd upload file validation process for ATI, STI and EIPO application 3rd SI matching run 3rd STI batch transfer run 	Batch input control reports and intra-day settlement related reports will be generated by batches
11:30 am	3 rd BSR	Intra-day settlement related reports would be generated by batches
11:45 am	<ul style="list-style-type: none"> 4th upload file validation process for ATI, STI and EIPO application 4th SI matching run 4th STI batch transfer run 	Batch input control reports and intra-day settlement related reports will be generated by batches
12:00 noon	Final BSR	Intra-day settlement related reports will be generated by batches

Time	CCASS Processing	Remarks
12:00 noon	Cut-off for settlement related activities	<ul style="list-style-type: none"> • ATI, EIPO and election related functions, enquiry and report related functions are still available until 1:00 pm • Intra-day 'New Issues Application Input Activities Report' (CEPAB01) will be generated
12:30 pm	5 th upload file validation process for EIPO application	EIPO Batch Input Control Report (CEPBV01) will be generated
1:00 pm	<ul style="list-style-type: none"> • CCASS online session closes • EIPO closing and day-end batch processing will be started 	Logout CCASS upon completion of online activities
1:00 pm – 3:00 pm	Lunch Break	
3:00 pm – 5:00 pm	Report Retrieval and Verification Session	
3:00 pm to 5:00 pm	<ul style="list-style-type: none"> • CCASS report retrieval session available • Re-logon to CCASS by using the production Smartcard and password via the hyperlink: https://www.ccass.com • Perform report download / printing via Report Download function • Perform data file download, if applicable, via Report Download function <p><i>Note : The rest of CCASS reports / data files for T+2 day (dated 29 August 2011) will be available during this session.</i></p>	
5:00 pm	<ul style="list-style-type: none"> • CCASS report retrieval session closes 	Logout CCASS upon completion of report retrieval

4.3 User Profile Setting & Logon Password

Participants' user profiles that will be applied to the commencement of the CST will be based on the latest user profiles maintained as of Saturday 27 August 2011.

During the CST, Participants' DA are responsible for resetting their participating users' passwords in case their users' smartcard password has been revoked. If smartcard password has been reset during the CST, the user concerned should use the *latest* password (i.e., after password reset in the CST) for production use on the following Monday, i.e. 29 August 2011.

In case the DA's smartcard password has been revoked during the CST, Participants should contact HKEx for password reset. If the CCASS Authorised Signor of Participants will not be available during the CST, Participants can pre-arrange the Authorised Signor to grant authority to a CST Coordinator, by signing the Special Authorisation Form (Appendix D), prior to the CST session. In such case, Participants can arrange for the CST Coordinator to sign the Password Reset Form (Appendix D) during the CST.

Participants are required to submit the duly signed Password Reset Form, the Special Authorisation Form (if applicable), along with the smartcard to HKEx for the password reset.

4.4 Simulation Test Environment

The CST environment will be set up with testing data, such as pre-defined RMB securities, stock balances, SI transactions and EIPO announcement. Participants should refer to Appendix B1 for the details of data setup for the CST. Activities performed during the CST shall simulate the production operations of **29 August 2011**, which is the T+2 settlement day for trades executed in the TST on Saturday 27 August 2011.

4.5 Transactions to be Executed

On-line sessions will be provided during the CST for Participants to simulate the operations of their BOS and internal processes to examine their readiness in supporting RMB securities. Participants should make reference to their daily operations to plan what type of transactions and/or activities should be covered in the CST. Participants might refer to Appendices B2 and B3 for the suggested test script.

4.6 Report Download

Reports and/or data files available at the beginning of the CST online session:

- T and T+1 days clearing and settlement related reports for the trades executed during the TST (if applicable) on Saturday 27 August 2011 (i.e. T day);
- 'New Issues Entitlement Report' (CEPBE01) providing a dummy EIPO allotment result for a pre-defined RMB security as of 27 August 2011; and
- 'Entitlement Statement' (CCNPT02) showing a pre-defined Benefit Entitlement (BE) announcement.

Reports and/or data files available during the CST online session

- Batch input control reports;
- Intra-day settlement related reports;
- Intra-day marks related reports; and

- Intra-day ‘New Issues Application Input Activities Report’ (CEPAB01).

Reports and/or data files available during the CST report retrieval session:

Full set of CCASS reports/data files reflecting the activities performed by Participants during the online session of the CST.

4.7 Prior CST Arrangement

Participants should ensure their BOS are ready for supporting listed RMB securities.

Participants should create a new directory for changing of “pre-defined” “Report Directory” for downloading of CCASS reports / data files during the CST.

If Participants would use their production BOS to perform the CST, they should ensure that their production BOS data are properly backed up before the CST. Data restore procedures should also be prepared before the CST so that production data can be restored to their production BOS upon completion of the CST. Participants should arrange where appropriate data backup arrangement with their IT support or BOS vendor before the CST, if such procedures are required.

4.8 Important Reminder for Post CST Arrangement

PG users are reminded to clean-up their testing data, (including but not limited to ALL testing batch transfer files and downloaded reports/data files) and ensure their corresponding systems used in the CST are restored, if appropriate, and ready for normal business activities on the following Monday.

5 Contingency Arrangements

5.1 Cancellation of the TST on 27 August 2011

In case the TST on 27 August 2011 is cancelled due to typhoon, black rainstorm or any other reasons, the CST on 28 August 2011 will also be cancelled accordingly. HKEx will notify Participants the revised schedule of the CST at a later date.

5.2 Typhoon Arrangement

In case Typhoon Signal Number 8 or above is hoisted and remained in effect after 6:30 a.m. and before 8:30 a.m. on the CST day, the CST will be cancelled. HKEx will notify Participants the revised schedule of the CST at a later date.

In case Typhoon Signal Number 8 or above is hoisted at or after 8:30 a.m. on the day, all activities will be terminated 15 minutes thereafter.

5.3 Rainstorm Arrangement

In case Black Rainstorm Warning is remained in effect after 6:30 a.m. and before 8:30 a.m. on the CST day, the CST will be cancelled. HKEx will notify the Participants the revised schedule of the CST at a later date.

In case Black Rainstorm Warning is issued during testing hours, i.e. at or after 8:30 a.m., the CST will continue until completion.

6 Communication Channels

During the CST, HKEx will communicate with Participants via Broadcast Message function of CCASS.

7 Help Desk

For any queries about the preparation for the CST, Participants can contact the CCASS Hotline at 2979-7111.

For any queries during the CST, Participants can contact the following numbers for assistance:

- **2211-6606** - For CCASS technical enquiry
- **2979-7111** - For CCASS general enquiry

APPENDIX A: Checklist for the CST

ITEMS TO BE CHECKED		✓
(A) Before CST		
1	Have you read and understood this document (“CST CCASS Participant Information Package”) ?	
2	Have you passed this document to your IT support or BOS vendor and ensured that they would take follow-up action (if necessary) ?	
3	For Clearing Participants, have you coordinated with your trading partners to have trades executed in the TST on Saturday 27 August 2011 for clearing and settlement in the CST on 28 August 2011 (Sunday) ?	
4	Have you arranged the execution of the Special Authorisation Form (Appendix D) for resetting smartcard user password by CCASS Authorised Signor (for appointing CST Co-ordinator as temporary Authorised Signor) in case they will not be available on CST day ?	
5	Have you ensured that the participating users have appropriate user function access to performed the required CCASS activities and/or BOS activities during the CST ?	
6	Have you established appropriate procedures to restore your BOS upon completion of the CST and verification control to ensure system readiness for normal business operations on the following Monday?	
7	Have you prepared the testing batch transfer file(s) in case you would like to try batch file transfers function in the CST ?	
8	Have you create a new directory for downloading the testing CCASS reports/data files during the CST ?	
9	Have you ensured that the participating users have access to the pre-defined directory(ies), re point 8 above) to retrieve the downloaded reports/data files during the CST ?	
10	Have you arranged IT support with appropriate system administration ID and password during the CST in case there is any technical problem?	
(B) On 28 August 2011, before executing test cases		
1	Have you backed up the production reports / data files dated 26 / 27 August 2011 from the pre-defined report directory(ies) before executing the CST ?	
2	Have you changed the pre-defined “Report Directory” for testing report/data file download via “Report Profile Maintenance” function ? Please refer to Appendix C for details.	
(C) After the CST		
1	Have you cleaned up or removed the testing batch transfer files or download reports /data files from the production C3T, PG and/or BOS after the CST ?	
2	Have you restored your BOS and/or PG with the production image and to ensure they are ready for production use on the following Monday, i.e. 29 August 2011 ?	

ITEMS TO BE CHECKED		✓
3a	<p><u>CCASS Participants (who are EPs) :</u></p> <p>Have you submitted the completed “Confirmation of Completion of the Final RMB Readiness Test from 25 – 28 August 2011 and Readiness for Dealing in RMB Securities” to the Trading Division of HKEx before 6:00 p.m. on Tuesday 30 August 2011 ?</p>	
3b	<p><u>CCASS Participants (who are not EPs):</u></p> <p>Have you submitted the completed “Confirmation of Completion of the Final RMB Readiness Test from 25 – 28 August 2011 and Readiness for Dealing and/or Clearing Transaction in RMB Securities” to Clearing Division of HKEx before 6:00 p.m. on Tuesday 30 August 2011 ?</p>	

APPENDIX B1: Data Setup for the CST

(1) Pre-defined RMB Securities and Stock Balances

The following RMB securities will be available to CCASS Participants for the input of online transactions and batch file transfers in the CST.

Market	Type of Securities	Stock Code
Main Board	Equity Securities	83890 – 83894, 88833 [#] and 88888 [#]
	Derivative Warrants	89970 – 89999
	Callable Bull/Bear Contracts	80980 – 80999
	Debt Securities	86001 – 86007*
	Exchange Traded Funds	88995 – 88999
	REITs	87001*
GEM Board	Equity Securities	83895 – 83899

Note: [#] The RMB securities to be used during the CST are the same as those to be used for the TST, except '88833' and '88888'.

** The RMB debt securities (86001 to 86007) and REITs (87001) are securities currently listed in the SEHK.*

To facilitate Participants to perform on-line transactions and batch file transfers:

- stock balances of 100,000 shares each of the 16 securities : 83890 to 83894, 88995 to 88999, 87001 and 83895 to 83899 will be credited to the stock clearing account '01'; and
- stock balances of 100,000 shares each of the 5 securities : 83890 to 83894 will be credited to the stock entitlement account '02'.

(2) Pre-defined exchange rates of Renminbi to Hong Kong Dollar

For the CST, the exchange rates of 1 CNY to HKD are:

Logical Date	Exchange Rate of 1 CNY to HKD
27 August 2011	1.1950
28 August 2011	1.1960
29 August 2011	1.1965

(3) Setup for the Online Transactions and Batch File Transfers

(i) Dummy Participants

Three dummy Non-Investor Participants (B05001, B05002, and C05080) and three dummy Investor Participants (700005, 700013 and 700021) will be set up to facilitate Participants to perform SI and ISI transactions.

Please note that NO ISI affirmation will be executed during the CST.

(ii) SI Transactions for matching purposes

Two SI transactions will be created for each dummy Non-Investor Participant at the commencement of the CST for Participants to input corresponding SI transactions for matching and settlement.

	Settle. Date	Dummy Participant	Stk	Instr. Type	Quantity	Amount (in CNY)	Stk A/C	Pymt Instr.	DI Req.
1	30/08/11	B05001	83890	R	1,000	(10,000.00)	01	D	N
2	29/08/11	B05001	83891	D	(1,000)	20,000.00	01	D	N
3	30/08/11	B05002	88995	R	1,000	0.00	01	F	N
4	29/08/11	B05002	88996	R	1,000	(50,000.00)	01	D	N
5	30/08/11	C05080	87001	D	(1,000)	0.00	01	F	N
6	29/08/11	C05080	87001	D	(1,000)	90,000.00	01	D	N
7	30/08/11	B05001	83890	D	(1,000)	10,000.00	01	D	N
8	29/08/11	B05001	83891	R	1,000	(20,000.00)	01	D	N
9	30/08/11	B05002	88995	D	(1,000)	0.00	01	F	N
10	29/08/11	B05002	88996	D	(1,000)	50,000.00	01	D	N
11	30/08/11	C05080	87001	R	1,000	0.00	01	F	N
12	29/08/11	C05080	87001	R	1,000	(90,000.00)	01	D	N

Participants can also arrange with other counterparts to match SIs during the CST.

(iii) Electronic Initial Public Offering (EIPO) Announcement

An EIPO announcement will be set up for Participants to input EIPO applications via on-line maintenance functions or batch file transfer functions during the CST. Details of the announcement are as follows:

Announcement Information		
Stock Code	88888	
Currency	CNY	
Price	4.50	
Brokerage Rate	1.00 %	
Trading Fee Rate	0.005 %	
Trans Levy Rate	0.003 %	
Rounding Method	Round to 2 decimal places	
Board Lot Size	1,000	
Application Start Date	27 August 2011	
Application End Date	29 August 2011	
Allotment Result Announcement Date	1 September 2011	
Refund Date	1 September 2011	
Non-Entitled Country	Macau	
Max. Denomination	46,586,000	
	Start	Increment
First Denomination	1,000	1,000
Second Denomination	10,000	5,000
Third Denomination	50,000	10,000
Fourth Denomination	100,000	50,000
Fifth Denomination	1,000,000	500,000
Sixth Denomination	4,000,000	1,000,000
Seventh Denomination	10,000,000	5,000,000

(iv) BE with options

A BE announcement with options will be set up for Participants to input election instructions via on-line maintenance functions during the CST. Details of the announcement are as follows:

Announcement Information	
Stock Code	83890
Description	Interim dividend for 3 months ended 31/07/11 at RMB0.50 per share pay in cash with scrip option (company default as cash)
1 st Ex-date	26 August 2011 (prior to the CST)
Shareholding Date	27 August 2011 (prior to the CST)
Election Period	28 August 2011 to 1 Septemeber2011 (during the CST)
Event No	01
Announced Currency	CNY
Distributed Currency	CNY
Dividend Rate in distributed currency	0.50
Event No	02
Stock to be Received	83890
Re-investment Price	1.00

(4) Pre-generated EIPO Allotment Result

A New Issues Entitlement Report (CEPBE01) with dummy allotment results of a RMB security (88833) will be provided to Participants during the CST. Details of the allotment results are as follows:

A set of sample report and data file is also available from the Preparation for Trading and Clearing of Renminbi (RMB) Products webpage of HKEx website (http://www.hkex.com.hk/eng/market/sec_tradinfra/prepareRMB/prepareRMB.htm)

Announcement Information			
Stock Code	88833		
Currency	CNY		
Price	10.50		
Brokerage Rate	1.00 %		
Trading Fee Rate	0.005 %		
Trans Levy Rate	0.003 %		
Rounding Method	Round to 2 decimal places		
Board Lot Size	1,000		
Application Start Date	22 August 2011		
Application End Date	24 August 2011		
Allotment Result	27 August 2011		
Announcement Date	27 August 2011		
Refund Date	27 August 2011		
Allotment Result Information			
Application Instruction No	201110001	201110002	201110003
Beneficial Owner	Bene Owner 1	Bene Owner 2	Bene Owner 3
Application Quantity	2,000	10,000	20,000
Application Money	CNY21,211.68	CNY106,058.40	CNY212,116.80
EPI No	910001	910002	910003
Successful Quantity	2,000	8,000	10,000
Unsuccessful Quantity	0	2,000	10,000
Refund Amount	CNY0.00	CNY21,211.68	CNY106,058.40

Please note that it is only a dummy allotment result, respective allotment posting and refund of application monies will NOT be generated on 27 August 2011.

APPENDIX B2: Suggested Executions for CST

Details	Scope
Execution Date	28 August 2011 (Sunday)
Logical Date	29 August 2011 (<i>T+2 day, for those trades executed during the TST on 27 August 2011</i>)
(I) Report Download Functions:	Participants will be able to download and verify the reports / data files during the CST online session. Please refer to Appendix B3 for more details on the reports / data files.
(II) Batch File Transfer Functions:	<p>Participants may perform the batch file transfers which are considered as critical business transactions with RMB securities during the CST online session. Herein below are the relevant batch file transfers for Participants' reference:-</p> <ul style="list-style-type: none"> <input type="checkbox"/> SI Batch File Transfer <input type="checkbox"/> ISI Batch File Transfer <input type="checkbox"/> ATI Batch File Transfer <input type="checkbox"/> STI Batch File Transfer <input type="checkbox"/> EIPO File Transfer <p>Participants should note that the following scheduled validation runs during the CST:</p> <ul style="list-style-type: none"> i) ATI and STI validation runs will be performed at 9:45 a.m., 10:30 a.m., 11:15 a.m. and 11:45 a.m. ii) EIPO Application validation runs will be performed at 9:45 a.m., 10:30 a.m., 11:15 a.m., 11:45 a.m. and 12:30 p.m.
(III) Online Functions:	<p>Participants may perform various online functions which are considered as critical business transactions with RMB securities during the CST online session. Herein below are some suggested transactions for Participants' reference:-</p> <ul style="list-style-type: none"> <input type="checkbox"/> Input ATI <input type="checkbox"/> Maintain SI <input type="checkbox"/> Maintain STI <input type="checkbox"/> Maintain EIPO Application <input type="checkbox"/> Maintain Election Instruction <input type="checkbox"/> Enquire Stock Account Balance <p>Participants should note the following arrangement for ATI / STI function:</p> <ul style="list-style-type: none"> • Participants can make use of the stock balances pre-set in the clearing and entitlement accounts (re Appendix B1) for maintenance of ATI / STI. <p>Participants should note the following arrangement for SI function:</p> <ul style="list-style-type: none"> • Participants can make use of pre-set SI transactions of the dummy Non-Investor Participants (re Appendix B1) or select the counterparty of SI from the Participant List (via the function "Enquire Participant List") during the CST. • Participants should note that ad hoc validation will be performed for the SI batch file being uploaded during the CST as of production.

APPENDIX B3: Suggested Reports / Data Files Verification during the CST

Available at the beginning of the CST from 8:00 a.m. onwards

Report Date: 27 August 2011 (simulating the trade execution day, i.e. T)

Report		Data file available?	Remarks
CCLTN04	Provisional Clearing Statement	Y	<ul style="list-style-type: none"> Exchange trades executed on 27 August 2011 during the TST
CCLID01	Intra-day Trade File (Data File only)	Y	<ul style="list-style-type: none"> Exchange trades executed on 27 August 2011 during the TST
CEPBE01	New Issues Entitlement Report	Y	<ul style="list-style-type: none"> New Issues Application (EIPO), with dummy allotment results of a RMB securities (88833) (re : Appendix B1)

Report Date: 28 August 2011 (simulating the day after the trade execution day, i.e. T+1)

Report		Data file available?	Remarks
CCLTN05	Final Clearing Statement	Y	<ul style="list-style-type: none"> Exchange trades executed on 27 August 2011 during the TST
CCNPT02	Entitlement Statement	Y	<ul style="list-style-type: none"> Benefit Entitlement, with election instructions generated for RMB securities (83890) pending for Participants to maintain election instructions (re : Appendix B1)

Available during the online and report retrieval sessions

Report Date: 28 August 2011 (reflecting CCASS activities performed during the CST)

Settlement Related Reports

Report		Data file available?	Remarks
<i>Batch Input Control Reports</i>			
CCLEI01	SI Batch Input Control Report	N	<ul style="list-style-type: none"> Validation results of the batch transfer files
CSEBA01	ATI Batch Input Control Report	N	
CIPEI01	ISI Batch Input Control Report	N	
CSEAT01	STI Batch Input Control Report	N	
<i>Settlement Related Reports (Intra-day)</i>			
CCLUS01	Unmatched SI Report	Y	
CSESI02	Intra-day ISI/SI Full List	Y	
CSESP04	Intra-day Settled Position Report	Y	
CSEAT02	STI Activity Report	Y	
CSEMA08	Statement of Money Ledger	Y	
CSEMA28	DDI/DCI/EPI Summary for Participant	N	
CSEMA29	Settlement Related EPI Listing	Y	

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Report		Data file available?	Remarks
<i>Settlement Related Reports (Day End)</i>			
CSEOP01	Next Settlement Day Due/Overdue Position Report	Y	
CSESE01	Settlement Report	Y	
CSESP01	Settled Position Report	Y	
CSEAT03	STI Status Report	Y	
CSEMS08	Statement of Money Ledger	Y	

Stock Movement Related Reports

Report		Data file available?	Remarks
CSEMS01	Statement of Stock Movement (By Stock) Report	Y	
CSEMS02	Statement of Stock Movement (By Account) Report	Y	
CSESB01	Daily Stock Balance Report	Y	

EIPO Related Reports

Report		Data file available?	Remarks
CEPBV01	EIPO Batch Input Control Report	N	<ul style="list-style-type: none"> Validation result for the EIPO Batch Transfer Files
CEPAA01 / CEPAB01	New Issues Application Input Activities Report	Y	<ul style="list-style-type: none"> EIPO application maintenance activities

Nominees Related Reports

Report		Data file available?	Remarks
CCNPT01	Nominees Functions Input Activities Report	N	<ul style="list-style-type: none"> Election instructions maintenance activities

Remarks :

The contents of reports are testing data only, they should only be used solely for testing purposes during the CST.

APPENDIX C : Procedures to change the pre-defined “Report Directory” for download of testing CCASS reports and date files via “Report Profile Maintenance” function

1. Logon to CCASS and select “Report Profile Maintenance” function (available to user with function group BD, C and V only)
2. Select “GLOB” at the Market data field, then click the Submit button.

The screenshot shows the HKEx web interface for 'Report Profile Maintenance'. The left sidebar contains a list of menu items including 'General Enquiries', 'Enq Settlement Act / Status', 'Mtn Stk Segregated A/C with Strm Sev(SSA)', 'Mtn SSA Bank A/C', 'Delivery Instruction (DI)', 'A/C Transfer Instr (ATI)', 'Stk Seg A/C Transfer Instr (STI)', 'Settlement Instruction (SI)', 'Hide Unmatched SI Content Cpty List', 'Investor Strm Instr (ISI)', 'ISI (With Affirm) Cpty List', 'ISI (W/O Affirm) Cpty List', 'Payment Instruction', 'Cash Prepayment', 'Maintain Cash Prepayment', 'Standing Instr', 'Stock Borrowing / Lending', 'SBL Bulletin Board', 'Login Withdrawal Order', 'Election Instruction', 'Subscription Instruction', 'Corp Voting Instruction', 'EIPO Application', 'Tender Instruction', 'Maintain Unit Order - Creation', 'Maintain Unit Order - Redemption'. The main content area is titled 'Report Profile Maintenance' and includes a 'Report Profile Maintenance Prompt' section. This section contains a 'Market' dropdown menu set to 'GLOB' and a 'Participant ID' field set to 'B00001'. Below these fields are 'Submit' and 'Refresh' buttons. On the right side, there are links for 'Site Map', 'Broadcast Message', 'Report Download', 'Announcement Information', 'Change Password', 'Print', and 'Logout'. The top right corner displays the user ID 'B0000102', the report ID 'RPRF 01', and the date and time '18-Feb-11 18:41'.

3. Enter the directories for downloading of reports / data files for the CST

(e.g. X:\RMBTEST\ONLINE\RMF\ for downloading reports and X:\RMBTEST\ONLINE\IMG\ for downloading data files), then click the “Change” button.

Please ensure you have

- (i) created the new directory(ies), if necessary, before changing the pre-defined “Report Directory” for downloading testing CCASS reports and data files during the CST; and
- (ii) access to the pre-defined directory(ies) to retrieve the downloaded testing CCASS reports / data files during the CST.

a. Sample screen with Report Directory(ies) defaulted by CCASS

Report Profile Maintenance [Site Map](#) [Broadcast Message](#) [Report Download](#) **B0000102**
[Announcement Information](#) [Change Password](#) [Print](#) [Logout](#) **RPRF 02**
18-Feb-11 18:41

Report Profile Maintenance Detail
 Market : GLOB

Overnight Report Profile : Overnight Report Distribution Subscription Flag

Report Name	Report ID	Data Image To File	Report Text To File	Report Text To Printer	Filename
CORP CMN EVT L	CCJCC12	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CCJCC12
RCP MASTER ACT	CCJCC13	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CCJCC13
EVT RCP LST AC	CCJCC14	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CCJCC14
SSA MASTER LIS	CCSSG01	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CCSSG01
NEW ISSUE ACTI	CEPAA01	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CEPAA01
MARKS COLL RPT	CFIPM01	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CFIPM01
CASH PREPYMT	CSECP03	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CSECP03
MONEY L/G STMT	CSEMS08	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CSEMS08
PYMT INSTR ACT	CSEPI01	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CSEPI01

Report Directory :

Directory for Online Report Text :

Directory for Online Data Images :

Directory for Overnight Report Text :

Directory for Overnight Data Images :

[Back Help](#)

b. Sample screen with Report Directory(ies) changed for the CST

Report Profile Maintenance

Site Map Broadcast Message Report Download
Announcement Information Change Password Print Logout

B0000102
RPRF 02
18-Feb-11 18:44

Report Profile Maintenance Detail

Market : GLOB

Overnight Report Profile : Overnight Report Distribution Subscription Flag

Report Name	Report ID	Data Image To File	Report Text To File	Report Text To Printer	Filename
CORP CMH EVT L	CCJCC12	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CCJCC12
RCP MASTER ACT	CCJCC13	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CCJCC13
EVT RCP LST AC	CCJCC14	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CCJCC14
SSA MASTER LIS	CCSSG01	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CCSSG01
NEW ISSUE ACTI	CEPAA01	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CEPAA01
MARKS COLL RPT	CFIPM01	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CFIPM01
CASH PREPYMT	CSECP03	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CSECP03
MONEY L/G STMT	CSEMS08	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CSEMS08
PYMT INSTR ACT	CSEPI01	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CSEPI01

Report Directory :

Directory for Online Report Text : X:\RMBTEST\ONLINE\RMF

Directory for Online Data Images : X:\RMBTEST\ONLINE\IMG

Directory for Overnight Report Text : X:\RMBTEST\ONRD\RMF

Directory for Overnight Data Images : X:\RMBTEST\ONRD\IMG

Change Refresh Back Help

4. Then click “Confirm” button to confirm the Report Profile settings.

5. Repeat steps 1 to 4 above by selecting “HONG KONG MARKET” at the market field.

Please note that there is NO need for participating users to reset the “Report Directory”, the “Report Directory” changed during the CST will NOT be carried forward to the production environment on the following Monday, 29 August 2011.

APPENDIX D: Special Authorisation Form

**APPOINT THE CST COORDINATOR AS THE AUTHORISED SIGNATORY
DURING THE RMB READINESS - CLEARING SIMULATION TEST**

CCASS Participants who wish to delegate the power of re-setting smartcard user password to their CST Coordinator during the CST on Sunday 28 August 2011 should complete and sign this Authorisation Form prior to the CST. In case of need, the CST Coordinator should complete and submit the Smartcard User Password Reset Form for the CST to HKEx together with the relevant smartcards in person at below address during the CST.

Date: _____

I/We hereby appoint the undersigned CST Coordinator _____ for my / our company as the authorised signatory for resetting the smartcard user password during the CST on Sunday 28 August 2011. *(Please delete where not applicable)*

Yours faithfully,
For and on behalf of

Authorised Signature(s) with Company Chop

Participant ID: _____

Name: _____

Title: _____

For and on behalf of

Signed by the CST Coordinator

Name : _____

Please submit the duly signed forms (both the Special Authorisation Form (if applicable) and Password Reset Form) along with the smartcards to :

OSSA, Cash Clearing Operations,
Hong Kong Exchanges and Clearing Limited,
7/F, Infinitus Plaza, 199 Des Voeux Road Central, Hong Kong.

Note: Hong Kong Exchanges and Clearing Limited will only accept the ORIGINAL copies of the Authorisation Form and Password Reset Form.

Smartcard User Password Reset Form during the CST

Date: _____

I hereby request to reset the smartcard user password for the following Users during the CST on Sunday 28 August 2011.

<i>User Name</i>	<i>User ID</i>
_____	_____
_____	_____
_____	_____
_____	_____

For and on behalf of

Signed by the CST Coordinator

Participant ID: _____

Name: _____

Title: _____

Please submit the duly signed forms (both the Special Authorisation Form (if applicable) and Password Reset Form) along with the smartcards to :

OSSA, Cash Clearing Operations,
Hong Kong Exchanges and Clearing Limited,
7/F, Infinitus Plaza, 199 Des Voeux Road Central, Hong Kong.

Note: Hong Kong Exchanges and Clearing Limited will only accept the ORIGINAL copies of the Authorisation Form and Password Reset Form.