COLLATERAL SECURITY BATCH INPUT CONTROL REPORT

Report ID :   CCMSS05

Report Name :   *Collateral Security Batch Input Control Report*

Purpose :   The *Collateral Security Batch Input Control Report* lists out the results of Specific Stock Collateral (SSC) batch files processed. Any errors detected in the files and the input records are given, together with error messages to help identify any irregularities. Total numbers of files rejected, uploaded and processed are also shown.

When a SSC batch file is accepted, the report lists out any errors detected in the detail records together with total number of records and total transfer quantity which are processed, accepted and rejected. When the whole SSC batch file is rejected, it lists out any errors detected in both the control and detail records, together with an error message indicating the whole file being rejected.

Time available : shortly after completion of each SSC batch file validation run scheduled at around 10:00 a.m., 12:45 p.m., 5:00 p.m. and 6:00 p.m. on each Business Day

Frequency :   4 times daily, if applicable

Field Description:

Ref	Field Name	Description
(1)	CCMSS05	Report ID for *Collateral Security Batch Input Control Report*
(2)	RUN DATE	Date of running the report
(3)	RUN TIME	Time of running the report
(4)	FIRM NAME	Firm Name
(5)	PART NAME	Participant Name
(6)	FIRM ID	Firm ID
(7)	PART ID	Participant ID
(8)	CCMS DATE	CCMS date
(9)	PROCESSING TIME	Time at which CCASS processed the SSC batch file

SECTION A FILE FORMAT
(Note: This section shows records with severe error which leads to whole file rejected)

EXCEPTIONS

CONTROL HEADER

(10)	FILE REFERENCE	Participant's file reference
(11)	FILE INDICATOR	File indicator assigned by participant in the batch file
(12)	RECORD TYPE	Record type: 0 = Control header; 1 = Detail record; 2 = Control trailer
(13)	PARTICIPANT ID	Participant ID
(14)	SENDER BIC	Sender BIC
(15)	TRANSMISSION DATE	Date on which the SSC batch file was sent to CCASS
(16)	FILE NAME	Name of the file, i.e. SPEC STOCK COLL
(17)	ERROR MESSAGES	Error code and error messages for the SSC

DETAIL RECORD

(18)	STOCK CODE	Stock code of the stock to be transferred
(19)	ISIN	International Securities Identification Number
(20)	FROM CCASS A/C	Number of the delivering stock account

Ref	Field Name	Description
(21)	TO CCMS FIRM ID	Receiving CCMS firm ID
(22)	TO CCMS PART ID	Receiving CCMS participant ID
(23)	TO CCMS TYPE	Receiving CCMS account type
(24)	TO CCMS NO	Receiving CCMS account number
(25)	TRANSFER QUANTITY	Number of shares to be transferred
(26)	STM DATE	Settlement date of SSC
(27)	REMARKS	Additional information on the SSC
(28)	CONTROL TOTAL	Control total; sum of stock code, transfer quantity and settlement date

CONTROL TRAILER

Ref	Field Name	Description
(29)	NO OF DETAIL RECORD	Total number of SSC records
(30)	STOCK CODE SUM	Sum of stock code
(31)	TRANSFER QUANTITY SUM	Sum of transfer quantity
(32)	CONTROL TOTAL SUM	Sum of control total

INVALID RECORD

Ref	Field Name	Description
(33)	INVALID RECORD	Invalid record

SUMMARY FOR THE FILE PROCESSED

Ref	Field Name	Description
(34)	FOOTNOTE	*** THE WHOLE INTERFACE FILE IS REJECTED ***

SUMMARY OF SECTION A

Ref	Field Name	Description
(35)	TOTAL NO OF FILES REJECTED	Total number of rejected SSC batch files
(36)	FOOTNOTE	When the total number of files rejected > 0, a footnote "*** THE WHOLE INTERFACE FILE IS REJECTED ***" will be shown
(37)	TOTAL NO OF FILES UPLOADED	Total number of SSC batch files uploaded for the participant

SECTION B DETAIL RECORD
(Note: This section shows detail records rejected for processing)

EXCEPTIONS

DETAIL RECORD (Same as Section A except below)

Ref	Field Name	Description
(38)	FILE IND	File indicator for which the detail record belongs to

Ref	Field Name	Description
SUMMARY OF SECTION B		
(39)	TOTAL NO OF RECORDS	Total number of SSC records (processed, accepted and rejected)
(40)	TOTAL QUANTITY	Total number of shares of SSC (processed, accepted and rejected)
(41)	TOTAL NO OF FILES PROCESSED	Total number of SSC batch files processed for the participant