FUNCTION NAME: SPECIFIC CASH COLLATERAL MAINTENANCE

WHEN TO USE:

- To maintain specific cash collateral instruction for paying pre-paid settlement monies to HKSCC for covering a specific long CNS stock position executed on a specific date

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Add Specific Cash Collateral To add a specific cash collateral instruction.
- B. Delete Specific Cash Collateral To delete a specific cash collateral instruction at 'pending' status.
- C. Authorise Specific Cash Collateral To authorise a specific cash collateral instruction at 'pending' status.
- D. Enquire Specific Cash Collateral To enquire about the details of available specific cash collateral instruction.

AVAILABLE FUNCTION TIME:

- For Add / Delete / Authorise Specific Cash Collateral functions, the available function time is between 9:00 a.m. to 6:00 p.m., Monday to Friday (except holiday) with function temporary blocked-off (a few minutes) during the collateralisation process of any clearing house (e.g. around 11:10 a.m. for scheduled intra-day marks collateralisation of HKSCC, etc.).
- For Enquire Specific Cash Collateral function, the available function time is between 9:00 a.m. to 7:00 p.m., Monday to Friday (except holiday) with function temporary blocked-off (a few minutes) during the collateralisation process of any clearing house (e.g. around 11:10 a.m. for scheduled intra-day marks collateralisation of HKSCC, etc.).

FUNCTIONAL DESCRIPTION:

- Only CCASS Participant users can use Add Specific Cash Collateral function to submit specific cash collateral instruction for paying pre-paid settlement monies to HKSCC.
- CCASS Participant users are required to input the stock code, amount of specific cash collateral to be paid, payment method and the trade date of the stock position in this maintenance function.
- For the payment method field, CCASS Participant users can either choose paying specific cash collateral by CPI or DDI where CPI is only applicable to choose before 11:45 a.m. and subject to the setup of CPI for paying intra-day marks and margin in that currency. After

11:45 a.m. on each business day, CCASS Participant users can only choose to pay specific cash collateral by DDI.

- Pending specific cash collateral instructions are required to be authorised through the Authorise Specific Cash Collateral function before the instructions can be changed to 'Authorised' status.
- Multiple update is available for the Authorise / Delete Specific Cash Collateral functions.
- Once a pending specific cash collateral instruction is being deleted via Delete Specific Cash Collateral function, such specific cash collateral instruction will no longer be available for further maintenance.

The access path for specific cash collateral maintenance is:



SPECIFIC CASH COLLATERAL MAINTENANCE - Sample Screen

Mtn Cash Pre-pmt/TSF Pmt				Second second	B0047301
Standing Instr	Maintain Specific Cash Collateral	Site Map	Broadcast Message	Report Download	KCFA 02
Maintain RMB Conversion	The second s	Announcement Information	Change Password	Print Logout	23-Aug-12 12:48
Request					
Maintain Stock Release	Add Pending Specific Cash Collateral Deta	il			
Maintain TSF Earmarking	Order ID :	29174			
Obligation	Firm ID :	BF00473			
Maintain Cash Prepmt	Particinant ID ·	B00473 WINI AND COMPANY			
Received for IPI	Account Type :	HOUSE			
SBL Bulletin Board	Account Number :	0001			
Login Withdrawal Order	Account Name -				
Election Instruction	ISIN or Stock Code :	HK0001000014 / 1 CHEUNG KONG			
Subscription Instruction	Status of Order :	PENDING			
Corp Voting Instruction	Status of Order :	PENDING			
Maintain Early-Ended Voting	currency :	HKU			
EIPO Application	Payment Method :	O CPI O DDI			
Maintain Broker Number/Name	Amount :	10000			
Tender Instruction	Trade Date :	020113			
Maintain Unit Order - Creation	Remark :				
Redemption					the second second
Maintain Scrip Fee Memo		Add			Add Another Record
Adjustment					Help
Maintain In Kind Creation /					
Redemption					
Maintain Batch Deposit Order					
Mtn Inter-counter Stock Code					
Mapping					
Corp Communication					
CCASS Files Authorization					
Maintain Firm					
Maintain Participant					
Maintain Collateral Account					
Mtn Tran A/C to Collateral A/C					
Mapping					
Maintain Static Data Master					
Maintain Collateral Master Maintain Specific Cash	τ.				
Done			👊 Local	intranet Protected Mode: Off	🖓 🕶 🔍 100% 💌

DESCRIPTION OF FIELDS:

<u>Field</u>	Description/Format
FIRM ID	 display the FIRM ID of the initiating participant. change not allowed.
PARTICIPANT ID	 display the Participant ID of the initiating participant. change not allowed.
ACCOUNT TYPE	 use the pull down menu to select the type of collateral account which the specific cash collateral is to be collected from. can be 'HOUSE', 'CLIENT' or 'MARKET MAKER'. must be 'HOUSE' for CCASS participant.
ACCOUNT NUMBER	 input the account number of participant's collateral account of the account type which the specific cash collateral is to be collected from. must be '0001' for CCASS participant's 'HOUSE' collateral account.

<u>Field</u>	Description/Format
ACCOUNT NAME	- display the name of the specified collateral account.
ISIN OR STOCK CODE	 input the ISIN or stock code of the CCASS stock for maintenance.
STATUS OF ORDER	 display the status of the order. Either 'Pending' for unauthorized record or 'Authorised' for authorized record.
CURRENCY	 display the currency code of the inputted long CNS stock position.
PAYMENT METHOD	 select the payment method for paying the specific cash collateral. can be 'CPI' before 11:45 a.m. or 'DDI' throughout the day.
AMOUNT	 input the amount of specific cash collateral to be paid. must be greater than zero.
TRADE DATE	- input the trade date of the long CNS stock position.
REMARK	- for the optional input of remarks.