

## INTRODUCTION

### INTRODUCTION

CCMS stands for "Common Collateral Management System" which is used to manage the collateral holdings and obligations of Participants of Hong Kong Securities Clearing Company Limited (HKSCC), HKFE Clearing Corporation Limited (HKCC) and SEHK Options Clearing House Limited (SECH).

All instructions and activities in CCMS are subject to the respective Rules and Operational Procedures of HKSCC, HKCC and SECH.

#### SCOPE:

The CCMS Terminal User Guide - For Participants is written to enable Participants of the 3 clearing houses to make full and efficient use of CCMS by providing instructions for operating the system's functions (input, enquiry and report distribution) through a terminal which is a CCMS Terminal or shared with CCASS (collectively called "C3T"). Not all sections of this Guide are relevant to all Participants of the 3 clearing houses. Participants may only refer to the sections relevant to themselves. The following table shows the roadmap for each of the clearing house.

Section	Participant of		
	HKSCC	HKCC	SECH
<b>Part I</b>			
<b>1. Introduction</b>	√	√	√
<b>2. CCMS System Overview</b>	√	√	√
<b>3. Getting Started for Terminal Operations</b>	√	√	√
<b>4. Reporting Functions</b>	√	√	√
<b>5. Report Specifications</b>	√	√	√
<b>6. Technical Requirements</b>	√	√	√
<b>Part II</b>			
<b>7. Terminal Operations</b>			
<b>7.1 Collateral Management Services</b>			
7.1.1 CCASS-To-CCMS Stock Transfer Maintenance	√		√
7.1.2 CCMS-To-CCASS Stock Transfer Maintenance	√		√
7.1.3 General to Specific Stock Collateral Maintenance	√		
7.1.4 Specific to General Stock Collateral Maintenance	√		
7.1.5 CCMS-To-CCASS Cash Transfer Maintenance	√		
7.1.6 Cash Collateral Deposit Order Maintenance		√	√
7.1.7 Non-Cash Collateral Deposit Order Maintenance		√	√
7.1.8 Cash Collateral Withdrawal Order Maintenance		√	√
7.1.9 Non-Cash Collateral Withdrawal Order Maintenance		√	√
7.1.9a Participant Submitted Deposit / Withdrawal Maintenance		√	√
7.1.10 Cash Collateral Account Transfer Maintenance		√	√
7.1.11 Non-Cash Collateral Account Transfer Maintenance		√	√

Section	Participant of		
	HKSCC	HKCC	SECH
7.1.12 Specific Cash Collateral Maintenance	√		
7.1.13 Preferred Single Settlement Currency Maintenance	√		
<b>7.2 Security Management Services</b>	√	√	√
<b>8. Enquiry Functions</b>			
<b>8.1 General Enquire Services</b>			
8.1.1 Enquire Broadcast Message	√	√	√
8.1.2 View Circular	√	√	√
8.1.3 Enquire Collateral Account		√	√
8.1.4 Enquire Collateral Account To Transaction Account Relationship		√	√
<b>8.2 Collateral Management Services</b>			
8.2.1 Enquire Deposit / Withdrawal Order		√	√
8.2.2 Enquire Collateral Account Balance	√	√	√
8.2.3 Enquire Collateral Account Movement	√	√	√
8.2.4 Enquire Collateral Inventory	√	√	√
8.2.5 Enquire Collateral Effective Haircut & Valuation Price	√	√	√
8.2.6 Enquire Exchange Rate and Haircut	√	√	√
8.2.7 Enquire Interest Calculation Result / Accommodation Fee	√	√	√
8.2.8 Enquire Specific Cash Collateral Movement	√		

The Guide is focused on CCMS terminal operations. Although an overview on CCMS operations is given in Section 2, it is not intended to be comprehensive. Participants should also refer to the respective Rules and Operational Procedures of HKSCC, HKCC and SECH for other CCMS related issues such as their rights, obligations, and procedures for using CCMS services.

## CONTENTS:

The Guide covers all CCMS functions and reports related to Participants. It is divided into two main parts. Part I covers general information of CCMS and systems related information such as reporting and technical requirements, etc.. Part II contains operations of all CCMS functions available through the terminal. This part is further divided into 2 sections, representing terminal operations and special enquiry functions respectively.

Apart from the Introduction and Overview sections, the structure of this guide is arranged as follows:

- when to use
- available functions
- available function time
- batch processing schedule (if applicable)
- functional description
- sample screens and description of each field

This Guide will be subject to further amendments and changes to cover the continuous expansion of CCMS's services.

For any suggestions and comments about the content of the Guide, please contact:

The Clearing Support Services Department  
Hong Kong Exchanges and Clearing Limited  
30/F One Exchange Square  
8 Connaught Place, Central  
Hong Kong

Hotline : 2979 7222  
Fax : 2579 0085

### **HOTLINES:**

Three hotlines are available to answer Participants' enquiries on any matters related to CCASS and CCMS operations, as follows:

Technical enquiries : Technical Hotline

Tel. no. : 2211 6606  
Service hours : 7:15 a.m. to 8:00 p.m. Monday to Friday  
(except holidays)

General enquiries : CCASS Hotline (HKSCC)

Tel. no. : 2979 7111  
Service hours : 9:00 a.m. to 6:00 p.m. Monday to Friday  
(except holidays)

China Connect Hotline (HKSCC)

Tel.no. : 2979 7123  
Service hours : 9:00 a.m. to 8:00 p.m. Monday to Friday  
(except holidays)

DCASS Hotline (HKCC and SEOCH)

Tel. no. : 2979 7222  
Service hours : 9:00 a.m. to 6:45 p.m. Monday to Friday  
(except holidays)