

Terminal Operations

FUNCTION NAME: **CASH COLLATERAL ACCOUNT TRANSFER
INSTRUCTION MAINTENANCE**

WHEN TO USE:

- HKCC and SEOCH Participants can transfer cash collateral from a collateral account (other than Client Collateral Accounts) to another designated collateral account of the same participant.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Add Cash Collateral Account Transfer Instruction
To add an instruction for cash collateral transfer from a collateral account to another designated collateral account.
- B. Delete Cash Collateral Account Transfer Instruction
To delete a 'Pending' cash collateral transfer instruction entered by the participant.
- C. Authorise Cash Collateral Account Transfer Instruction
To authorise a 'Pending' cash collateral transfer instruction entered by the participant.
- D. Enquire Cash Collateral Account Transfer Instruction
To enquire on the details of cash collateral transfer instructions.

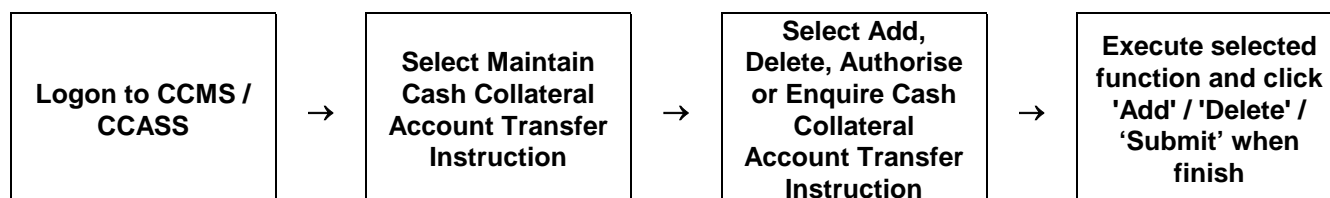
AVAILABLE FUNCTION TIME:

- Normally between 9:00 a.m. and 7:00 p.m., Monday to Friday, with functions temporary blocked-off (a few minutes) during the collateralisation process of any clearing house (e.g. around 11:10am for scheduled intra-day marks collateralisation of HKSCC, etc.).

FUNCTIONAL DESCRIPTIONS:

- Only HKCC and SEOCH Participant users can use this function to transfer cash collateral between their own collateral accounts. However, transfer out from any Client Account is forbidden.
- Only free cash collateral balance is eligible for transfer. Cash collateral which is being put on-hold or pending confirmation cannot be transferred.
- Upon successful input of the cash collateral account transfer instruction details, the instruction is at 'Pending' status. Participants should note that such amount of cash collateral specified in the 'Pending' instruction will be excluded from the subsequent use for any collateral purpose. The DELETE CASH COLLATERAL ACCOUNT TRANSFER INSTRUCTION function can be used to delete instructions which have not been authorised.
- Cash collateral account transfer instructions must be authorised using the function of the AUTHORISE CASH COLLATERAL ACCOUNT TRANSFER INSTRUCTION. Once instructions are authorised, the order status is updated from 'Pending' to 'Authorised' and transfer would be effected immediately.
- Participants can use the ENQUIRE CASH COLLATERAL ACCOUNT TRANSFER INSTRUCTION function to enquire information regarding the cash collateral account transfer instructions. The enquiry function also reflects the instruction status for identifying the processing stage.

The access path for Cash Collateral Account Transfer Instruction function is:



CASH COLLATERAL ACCOUNT TRANSFER INSTRUCTION – Sample Screens:

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Maintain Participant</td></tr> <tr><td>Maintain Collateral Account</td></tr> <tr><td>Maintain Collateral Master</td></tr> <tr><td>Mtn Cash Collateral Deposit Order</td></tr> <tr><td>Mtn Non-Cash Collateral Deposit Order</td></tr> <tr><td>Mtn Cash Collateral Withdrawal Order</td></tr> <tr><td>Mtn Non-Cash Collateral Withdrawal Order</td></tr> <tr><td>Enquire Deposit/Withdrawal Order</td></tr> <tr><td>Enquire Collateral Account Balance</td></tr> <tr><td>Enquire Collateral Inventory</td></tr> <tr><td>Enq Coll Acct to Trans Acct Mapping</td></tr> <tr><td>Mtn Currency Exchange Rate and Haircut</td></tr> <tr><td>Mtn Cash Collateral A/C Transfer Instr</td></tr> <tr><td>Mtn Non-Cash Coll A/C Transfer Instr</td></tr> <tr><td>Enq Coll Effective Haircut & Val Price</td></tr> <tr><td>Enquire Collateral Account Movement</td></tr> <tr><td>Enquire Int Cal Result / Accom Fee</td></tr> </table>	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	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">Maintain Collateral Account Transfer Instruction</td> <td style="width: 60%;"> <div style="text-align: right;"> MKABC1 KH7A 01 29-Oct-02 16:27 </div> <div style="display: flex; justify-content: flex-end; gap: 5px;"> Site Map Broadcast Message Report Download </div> <div style="display: flex; justify-content: flex-end; gap: 5px;"> Announcement Information Change Password Print Logout </div> </td> </tr> <tr> <td colspan="2" style="background-color: #0056b3; color: white; text-align: center; padding: 5px;"> Add Pending Collateral Account Transfer Instruction Prompt </td> </tr> <tr> <td>Instrument Group :</td> <td>Cash</td> </tr> <tr> <td>Source Collateral Account -</td> <td></td> </tr> <tr> <td>Firm ID:</td> <td>BF00010 ABC EXAMPLE FIRM</td> </tr> <tr> <td>Participant ID:</td> <td>HKABC1</td> </tr> <tr> <td>Account Type:</td> <td><input type="text" value="HOUSE"/></td> </tr> <tr> <td>Source Account Number :</td> <td><input type="text" value="0001"/></td> </tr> <tr> <td>Currency :</td> <td><input type="text" value="hkd"/></td> </tr> <tr> <td colspan="2" style="text-align: right;"> <input type="button" value="Submit"/> <input type="button" value="Refresh"/> </td> </tr> </table>	Maintain Collateral Account Transfer Instruction	<div style="text-align: right;"> MKABC1 KH7A 01 29-Oct-02 16:27 </div> <div style="display: flex; justify-content: flex-end; gap: 5px;"> Site Map Broadcast Message Report Download </div> <div style="display: flex; justify-content: flex-end; gap: 5px;"> Announcement Information Change Password Print Logout </div>	Add Pending Collateral Account Transfer Instruction Prompt		Instrument Group :	Cash	Source Collateral Account -		Firm ID:	BF00010 ABC EXAMPLE FIRM	Participant ID:	HKABC1	Account Type:	<input type="text" value="HOUSE"/>	Source Account Number :	<input type="text" value="0001"/>	Currency :	<input type="text" value="hkd"/>	<input type="button" value="Submit"/> <input type="button" value="Refresh"/>	
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DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
INSTRUMENT GROUP	- display the instrument group of the cash collateral, i.e. 'CASH'.
FIRM ID	- display the FIRM ID of the initiating participant.
PARTICIPANT ID	- display the Participant ID of the initiating participant.
ACCOUNT TYPE	- select the type of collateral account via pull down menu. - can be 'HOUSE' for collateral accounts of participant itself, or 'MARKET MAKER' for collateral accounts of participant's market makers.
SOURCE ACCOUNT NUMBER	- input or display the account number of participant's collateral account of the account type from which cash collateral will be transferred.
CURRENCY	- input the currency code of the cash to be transferred.
TRANSFER ID	- display the unique reference assigned by CCMS for the cash collateral account transfer instruction.
ACCOUNT NAME	- display the name of the specified collateral account.
ACCOUNT STATUS	- display the current status of the specified collateral account.
AVAILABLE AMOUNT	- display the cash amount available for transfer.
DESIGNATED ACCOUNT NUMBER	- input or display the account number of participant's collateral account of the account type to which cash collateral will be transferred.
AMOUNT	- input or display the amount of cash collateral to be transferred between the collateral accounts.
REMARK	- input or display the remark for the cash collateral account transfer instruction.