

## Terminal Operations

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

**WHEN TO USE:**

- HKCC and SEOCH Participants can use this function to transfer non-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 Non-Cash Collateral Account Transfer Instruction  
To add an instruction for non-cash collateral transfer from a collateral account to another designated collateral account.
- B. Delete Non-Cash Collateral Account Transfer Instruction  
To delete a 'Pending' non-cash collateral transfer instruction entered by the participant.
- C. Authorise Non-Cash Collateral Account Transfer Instruction  
To authorise a 'Pending' non-cash collateral transfer instruction entered by the participant.
- D. Enquire Non-Cash Collateral Account Transfer Instruction  
To enquire on the details of non-cash collateral transfer instructions.

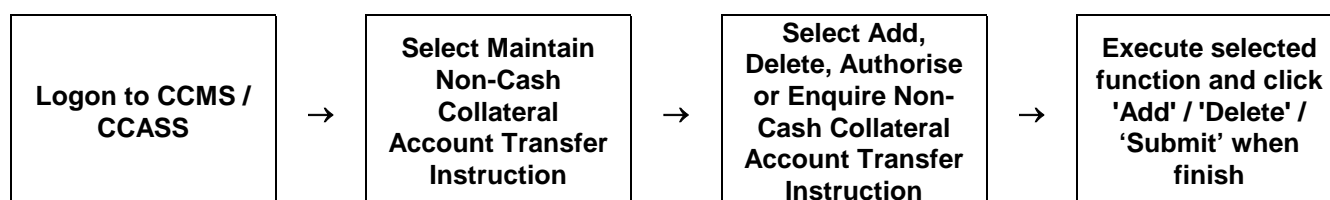
**AVAILABLE FUNCTION TIME:**

- 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:**

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

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



## NON-CASH COLLATERAL ACCOUNT TRANSFER INSTRUCTION – Sample Screens:

<ul style="list-style-type: none"> <li>Maintain Participant</li> <li>Maintain Collateral Account</li> <li>Maintain Collateral Master</li> <li>Mtn Cash Collateral Deposit Order</li> <li>Mtn Non-Cash Collateral Deposit Order</li> <li>Mtn Cash Collateral Withdrawal Order</li> <li>Mtn Non-Cash Collateral Withdrawal Order</li> <li>Enquire Deposit/Withdrawal Order</li> <li>Enquire Collateral Account Balance</li> <li>Enquire Collateral Inventory</li> <li>Enq Coll Acct to Trans Acct Mapping</li> <li>Mtn Currency Exchange Rate and Haircut</li> <li>Mtn Cash Collateral A/C Transfer Instr</li> <li>Mtn Non-Cash Coll A/C Transfer Instr</li> <li>Enq Coll Effective Haircut &amp; Val Price</li> <li>Enquire Collateral Account Movement</li> <li>Enquire Int Cal Result / Accom Fee</li> </ul>	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="background-color: #0056b3; color: white; padding: 5px; text-align: center;"> <b>Maintain Collateral Account Transfer Instruction</b> </div> <div style="text-align: right;"> <a href="#">Site Map</a>  <a href="#">Announcement Information</a>  <a href="#">Broadcast Message</a>  <a href="#">Change Password</a>  <a href="#">Report Download</a>  <a href="#">Print</a>  <a href="#">Logout</a> </div> <div style="text-align: right;"> <b>MKABC1</b>  <b>KH8A 01</b>  <b>02-Dec-02</b>  <b>14:26</b> </div> </div> <div style="background-color: #0056b3; color: white; padding: 5px; text-align: center; margin-top: 10px;"> <b>Add Pending Collateral Account Transfer Instruction Prompt</b> </div> <table style="width: 100%; margin-top: 10px;"> <tr> <td style="width: 50%;">Instrument Group :</td> <td style="width: 50%;">Bond</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>HOUSE</td> </tr> <tr> <td>Source Account Number :</td> <td>0001</td> </tr> <tr> <td>BG Seq No / ISIN / CMU / Stock Code :</td> <td>US912795KY60</td> </tr> <tr> <td>Depository :</td> <td>CLEARSTREAM</td> </tr> </table> <div style="text-align: right; margin-top: 10px;"> <input type="button" value="Submit"/> <input type="button" value="Refresh"/> </div> <div style="text-align: right; margin-top: 20px;"> <a href="#">Help</a> </div>	Instrument Group :	Bond	Source Collateral Account -		Firm ID:	BF00010 ABC EXAMPLE FIRM	Participant ID:	HKABC1	Account Type:	HOUSE	Source Account Number :	0001	BG Seq No / ISIN / CMU / Stock Code :	US912795KY60	Depository :	CLEARSTREAM
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**DESCRIPTION OF FIELDS:**

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
INSTRUMENT GROUP	<ul style="list-style-type: none"> <li>- use the pull down menu to select the instrument group to be withdrawn.</li> <li>- Can be 'BANK GUARANTEE', 'BOND', 'CCASS STOCK' or 'NON-CCASS STOCK'.</li> </ul>
FIRM ID	<ul style="list-style-type: none"> <li>- display the FIRM ID of the originating participant.</li> </ul>
PARTICIPANT ID	<ul style="list-style-type: none"> <li>- display the Participant ID of the originating participant.</li> </ul>
ACCOUNT TYPE	<ul style="list-style-type: none"> <li>- select the type of collateral account via pull down menu.</li> <li>- can be 'HOUSE' for collateral accounts of participant itself, or 'MARKET MAKER' for collateral accounts of participant's market makers.</li> <li>- transfer out from 'CLIENT' collateral accounts to other collateral account is not allowed.</li> </ul>
SOURCE ACCOUNT NUMBER	<ul style="list-style-type: none"> <li>- input or display the account number of participant's collateral account of the account type from which non-cash collateral will be transferred.</li> </ul>
BG SEQ / ISIN / CMU / STOCK CODE	<ul style="list-style-type: none"> <li>- input or display the BG Seq No of the bank guarantee to be transferred. The BG Seq No is assigned by HKEX and can be obtained via the Enquire Collateral Account Balance function.</li> <li>- input or display the ISIN/CMU/Stock Code of the bond, CCASS stock or non-CCASS stock to be transferred.</li> </ul>
DEPOSITORY	<ul style="list-style-type: none"> <li>- use the pull down menu to select the depository code of the depository where the non-cash collateral is being kept.  CDP -- CCASS Central Depository  CLS -- Clearstream Banking  CMU -- Central Moneymarket Unit of HKMA  N/A -- HKEX or its Clearing Houses</li> </ul>
TRANSFER ID	<ul style="list-style-type: none"> <li>- display the unique reference assigned by CCMS for the non-cash collateral account transfer instruction.</li> </ul>
ACCOUNT NAME	<ul style="list-style-type: none"> <li>- display the name of the specified collateral account.</li> </ul>
ACCOUNT STATUS	<ul style="list-style-type: none"> <li>- display the current status of the specified collateral account.</li> </ul>
COLLATERAL AVAILABLE QUANTITY	<ul style="list-style-type: none"> <li>- display the quantity available for transfer.</li> </ul>
DESIGNATED ACCOUNT NUMBER	<ul style="list-style-type: none"> <li>- input or display the account number of participant's collateral account of the account type to which non-cash collateral will be transferred.</li> </ul>

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
QUANTITY	- input or display the quantity of non-cash collateral to be transferred between the collateral accounts.
REMARK	- input or display the remark for the non-cash collateral account transfer instruction.