Terminal Operations

FUNCTION NAME: **CCMS-TO-CCASS STOCK TRANSFER MAINTENANCE**

WHEN TO USE:

- To transfer CCASS stock from a CCMS collateral account to a CCASS stock account.

AVAILABLE MAINTENANCE FUNCTION:

A. Add CCMS-To-CCASS Stock Transfer
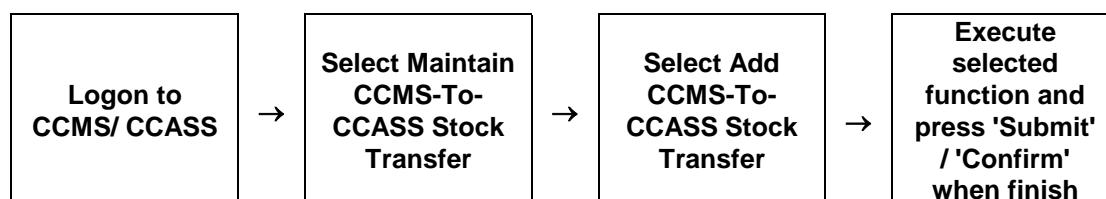   To add a transfer instruction online.

AVAILABLE FUNCTION TIME:

- The CCMS-to-CCASS stock transfer maintenance functions are available between 9:30 a.m. and 7:00 p.m. Monday to Friday (except holiday). There are two sessions 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.).
    • First session : 9:30 a.m. to 3:45 p.m.
    • Second session : from approximately 4:00 p.m. to 7:00 p.m.

FUNCTIONAL DESCRIPTION:

- Only CCASS and SEOCH Participant users can use this maintenance function.

- Participants can initiate stock transfer from any of their CCMS collateral accounts to any of their CCASS stock accounts.

- A non-CCASS Participant (e.g. SEOCH Participant) may appoint a CCASS Participant under the same firm or a CCASS Participant which clears and settles its exercised options trades on its behalf as its "Default CCASS Participant" to maintain its stocks in CCASS. In this case, the non-CCASS Participant can transfer stock to its related CCASS Participant's CCASS stock account .

- If there are sufficient shares in the specified CCMS collateral account, the transfer instruction will be effected immediately upon successful input of the transfer details.

The access path for the CCMS-to-CCASS stock transfer maintenance function is:

Logon to CCMS/ CCASS	→	**Select Maintain CCMS-To-CCASS Stock Transfer**	→	**Select Add CCMS-To-CCASS Stock Transfer**	→	**Execute selected function and press 'Submit' / 'Confirm' when finish**

CCMS-TO-CCASS STOCK TRANSFER MAINTENANCE – Sample Screen:

DESCRIPTION OF FIELDS:

Field	*Description/Format*
TRANSFER ID	- display the unique key of the transfer instruction.
FIRM ID	- display the FIRM ID of the delivering participant. - change not allowed.
PARTICIPANT ID	- Participant ID of the delivering participant.
ACCOUNT TYPE	- use the pull down menu to select the type of collateral account from which stock will be transferred out. - can be 'HOUSE', 'CLIENT' or 'MARKET MAKER'. - must be 'HOUSE' for CCASS participant.
ACCOUNT NUMBER	- input the number of the collateral account from which stock will be transferred out. - must be '0001' for CCASS participant's 'HOUSE' collateral account.

Field	*Description/Format*
ACCOUNT NAME	- display the collateral account name.
ACCOUNT STATUS	- display the status of the collateral account. - must be 'ACTIVE' in order to be eligible for transfer.
ISIN OR STOCK CODE	- input the ISIN / stock code of the CCASS stock to be transferred.
CCASS STOCK COLLATERAL QUANTITY	- display the quantity (in number of shares) of the specified stock in the specified collateral account, which is available for transfer.
CCASS DESIGNATED PARTICIPANT ID	- display the Participant ID of the receiving participant (which may be the initiating participant if it is a CCASS Participant, or its default CCASS Participant) to which the stock will be transferred in.
CCASS DESIGNATED STOCK ACCOUNT	- input the CCASS stock account number of the receiving participant to which the stock will be transferred in. - must not be the CCASS Stock Collateral Control Account. - CCASS overlooks leading zero(s); i.e. '5', '05' and '005' are treated as the same.
TRANSFER QUANTITY	- input the quantity of the stock to be transferred. - cannot exceed the available quantity in the collateral account.
REMARK	- for the optional input of remarks.