### FUNCTION NAME: CASH COLLATERAL DEPOSIT ORDER MAINTENANCE

#### WHEN TO USE:

- HKCC and SEOCH Participants can use the cash collateral deposit order maintenance functions to deposit cash into CCMS for collateral purpose.

#### AVAILABLE MAINTENANCE FUNCTIONS:

- A. Add Pending Cash Collateral Deposit Order To input a pending deposit order of cash for collateral purpose.
- B. Delete Pending Cash Collateral Deposit Order To delete a pending cash collateral deposit order which was entered via the ADD PENDING CASH COLLATERAL DEPOSIT ORDER function.
- C. Authorise Pending Cash Collateral Deposit Order To authorise a pending cash collateral deposit order which was entered via the ADD PENDING CASH COLLATERAL DEPOSIT ORDER function.

#### AVAILABLE FUNCTION TIME:

- The cash collateral deposit order maintenance must be performed between 9:00 a.m. and 11:00 a.m. Monday to Friday (except holidays).

#### FUNCTIONAL DESCRIPTIONS:

- Only HKCC and SEOCH Participant users can use this set of maintenance functions to maintain Cash Collateral Deposit Order via CCMS or CCASS terminal.
- Upon successful input of a cash collateral deposit order, the status of the order is 'Pending'. Authorisation is required.
- Before a pending cash collateral deposit order is authorised, it can be deleted via DELETE PENDING CASH COLLATERAL DEPOSIT ORDER function.
- Upon successful authorisation of a pending Cash Collateral Deposit Order, the status of the order is updated as 'Authorised'. Once a Cash Collateral Deposit Order is authorised and accepted by CCMS, no further changes will be allowed.
- PARTICIPANT SUBMITTED DEPOSIT/ WITHDRAWAL ORDER can be used to reject an authorised Cash Collateral Deposit Order. See Section 7.1.9a for details.

- ENQUIRE DEPOSIT/WITHDRAWAL ORDER can be used to view the details and current status of Cash Collateral Deposit Orders. Data cannot be entered or changed with this function.
- After a cash collateral deposit order is accepted by the respective clearing house, a corresponding DDI will be generated on the same day and sent to participant's designated bank via SWIFT for collection of cash collateral from the participant.
- Upon confirmation of receipt of the payment by the clearing house, CCMS will be updated and such amount deposited will be available to the participant for collateral purpose.

The access path for the cash collateral deposit order maintenance function is:



### CASH COLLATERAL DEPOSIT ORDER MAINTENANCE – Sample Screen:

#### Add Cash Collateral Deposit Order

| Deposit Grder       Add Pending Cash Collateral Instrument Group:       Cash         Mith Gash Collateral       Instrument Group:       Cash         Mith Hon, Cash Collateral       Firm ID:       Britigeneric         Creater       Collecteral       Account Type:         Control       Cullent       -         Balance       Corrency:       HONG KONG DOLLAR •         Carrency:       HONG KONG DOLLAR •       Submit         Registionship       Mit Currency Exchange Rater       Submit         Mit Currency: Exchange Rater       Mit Currency Exchange Rater       Submit         Mit Carls Coll Area       Fire       Submit       Refresh         Price       Coll Effective Harcut & Va       Price       Fire       Fire         Report Profile Maintenance       View Circular       Verse       Fire       Fire | Help        |
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| Min Cash Collateral     Instrument Group :     Cash       Min Non-Cash Collateral     Firm ID:     Participant ID:       Min Non-Cash Collateral     Account Type:     CLIENT       Cannee     Collateral Account     Account Number :       Coll Acct to Trans Act     Reliationship       Min Cash Collateral Account     Kafresh       Min Cash Collateral Account     Submit       Min Cash Collateral Account     Submit       Min Cash Collateral Account     Firm ID:       Min Cash Collateral Account     Submit       Min Corrency Exchange Rate     Submit       And Haircut     Min Non-Cash Collateral Account       Min Non-Cash Collateral Account     View Circular  | Help        |
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| Enquire Deposit/Withdrawal<br>Order     Provide (signant ID:<br>Account Type:     HKABC1       Enquire Collateral Account<br>Balance     Account Type:     CLIENT       Enquire Collateral Account<br>Min Cash Collateral Account<br>Min Non-Cash Collateral Account<br>Movement<br>Enquire Int. Cal. Result / Acc.<br>Fee     Submit     Refresh   | <u>Help</u> |
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| Maintain Collateral Account<br>Mtn Cash Collateral Deposit<br>Order<br>Mtn Non-Cash Collateral   | Maintain Collateral Deposit Order                           | <u>Site Map</u><br>Announcement Information | Broadcast Message<br>Change Password | <u>Report Download</u><br>Print Loqout | HKABC101<br>KMCA 04<br>18-Dec-12 09:42 |
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| Deposit Order  | Add Pending Cash Collateral Deposit Order Execution         | on  |                                      |  |  |
| With Cash Collateral<br>Withdrawal Order   | Order ID :  |   | 30900                                |  |  |
| Mtn Non-Cash Collateral  | Instrument Group :  |   | Cash                                 |  |  |
| Withdrawal Order   | Firm ID :   |   | BE99000                              |  |  |
| Enquire Deposit/Withdrawal   | Participant ID -  |   |                                      |  |  |
| Order<br>Enquire Collateral Account  |   |   | A LENT                               |  |  |
| Balance  | Account Type :  |   | CLIENT                               |  |  |
| Enquire Collateral Inventory   | Account Number :  |   | 0001                                 |  |  |
| Enq Coll Acct to Trans Acct  | Account Name :  |   | CLIENT A/C                           |  |  |
| Relationship   | Account Status :  |   | ACTIVE                               |  |  |
| Mtn Currency Exchange Rate   | Currency :  |   | HONG KONG DOLLAR                     |  |  |
| Mtn Cash Collateral A/C  | Amount :  |   | 3,500,000.00                         |  |  |
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# Authorise Cash Collateral Deposit Order

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# **DESCRIPTION OF FIELDS:**

| <u>Field</u>     | Description/Format  |
|------------------|---|
| INSTRUMENT GROUP | <ul> <li>INSTRUMENT GROUP refers to the type of<br/>collateral accepted by CCMS, e.g., cash, stock,<br/>bank guarantee, bond.</li> <li>this field displays the instrument group of the cash<br/>collateral to be deposited into CCMS, i.e. 'CASH'.</li> </ul>   |
| FIRM ID          | - display the FIRM ID of the initiating participant.  |
| PARTICIPANT ID   | - display the Participant ID of the initiating participant.   |
| ACCOUNT TYPE     | <ul> <li>use the pull down menu to select the type of collateral account into which the cash collateral will be deposited.</li> <li>can be 'HOUSE' for collateral accounts of participant itself, 'CLIENT' for collateral accounts of participant's clients, or 'MARKET MAKER' for collateral accounts of participant's market makers.</li> </ul> |
| ACCOUNT NUMBER   | <ul> <li>input the account number of participant's collateral<br/>account of the account type into which cash<br/>collateral will be deposited.</li> </ul>  |
| CURRENCY         | - select the currency code of the cash to be deposited via pull down menu.  |
| ORDER ID         | - display the unique reference assigned by CCMS for the cash collateral deposit order.  |
| ACCOUNT NAME     | - display the name of the specified collateral account.   |
| ACCOUNT STATUS   | - display the current status of the specified collateral account.   |
| AMOUNT           | - input the cash amount to be deposited as cash collateral.   |
| REMARK           | - input the remark for the cash collateral deposit order, as required.  |