Terminal Operations

FUNCTION NAME: NON-CASH COLLATERAL DEPOSIT ORDER MAINTENANCE

WHEN TO USE:

- HKCC and SEOCH Participants can use the non-cash collateral deposit order maintenance functions to deposit non-CCASS stock, bank guarantee or bond into their CCMS accounts for collateral purpose.

AVAILABLE MAINTENANCE FUNCTIONS:

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

AVAILABLE FUNCTION TIME:

- The non-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 Non-Cash Collateral Deposit Order via CCMS or CCASS terminal.
- Upon successful input of a non-cash collateral deposit order, the status of the order is 'Pending'. Authorisation is required.
- Before a pending non-cash collateral deposit order is authorised, it can be deleted via DELETE PENDING NON-CASH COLLATERAL DEPOSIT ORDER function.
- Upon successful authorisation of a pending Non-Cash Collateral Deposit Order, the status of the order is updated as 'Authorised'. Once a Non-Cash Collateral Deposit Order is authorised and accepted by CCMS, no further changes or deletion will be allowed.
- ENQUIRE DEPOSIT/WITHDRAWAL ORDER can be used to view the details and current status of Non-Cash Collateral Deposit Orders. Data cannot be entered or changed with this function.

- After a non-cash collateral deposit order is accepted, HKEX will follow-up with relevant parties to arrange for the receipt of the non-cash collateral.
- Upon confirmation of receipt of non-cash collateral by the respective clearing house, CCMS will be updated and such amount of non-cash collateral deposited will be available to the participant for collateral purpose.

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



NON-CASH COLLATERAL DEPOSIT ORDER MAINTENANCE – Sample Screen:

Maintain Collateral Account					HKABC101
Mtn Cash Collateral Deposit	Maintain Collateral Deposit Order	Site Map	Broadcast Message	Report Download	KMDA 01
Order		Announcement Information	Change Password	Print Logout	18-Dec-12 10:17
Mtn Non-Cash Collateral					
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Mtn Cash Collateral	Add Pending Non-Cash Deposit Order Prompt				
Withdrawal Order	Instrument Group :	Bank Guarantee 🔹			
Mtn Non-Cash Collateral	Firm ID:	BE99000			
Withdrawal Order					
Enquire Deposit/Withdrawal	Participant ID:	HKABC1			
Order	Account Type:	HOUSE -			
Enquire Collateral Account	Account Number (0001			
Balance	Account Number .	0001			
Enquire Collateral Inventory	ISIN/CMU/Stock :				
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Order		Announcement Information	Change Password	Print Logout	18-Dec-12 10:37
Mtn Non-Cash Collateral	Add Pending Bank Guarantee Collateral Deposit Ord	der Execution			
Mtp Cash Collateral	Order ID :	30933			
Withdrawal Order	Instrument Group :	Bank Guarantee			
Mtn Non-Cash Collateral	Firm ID :	REDOGOO			
Withdrawal Order		DI 33000			
Enquire Deposit/Withdrawal	Participant ID :	HKABC1 ABC			
Order	Account Type :	HOUSE			
Balance	Account Number :	0001			
Enquire Collateral Inventory	Account Name :	HOUSE A/C			
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Relationship	BG Issuer:	003 STANDARD CHARTERED BANK	<		
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Order		Announcement Information	Change Password	Print Logout	18-Dec-12 10:51
Mtn Non-Cash Collateral Deposit Order	Add Pending Bond Collateral Deposit Order Executi	on			
Mtn Cash Collateral	Order ID :	30934			
Withdrawal Order	Instrument Group :	Bond			
Mtn Non-Cash Collateral	Firm ID :	BF99000			
Withdrawal Order	Participant ID :	HKABC1 ABC			
Enquire Deposit/Withdrawal Order	Account Type :	CLIENT			
Enquire Collateral Account	Account Number :	0001			
Balance	Account Name :	CLIENT A/C			
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Mtn Cash Collateral	Order ID :		30935			
Withdrawal Order	Instrument Group :		Non-CCASS Stock			
Mtn Non-Cash Collateral Withdrawal Order	Firm ID :		BF99000			
Enquire Deposit/Withdrawal	Participant ID :		HKABC1 ABC			
Order	Account Type :		CLIENT			
Balance	Account Number :		0001			
Enquire Collateral Inventory	Account Name :		CLIENT A/C			
Enq Coll Acct to Trans Acct	Account Status :		ACTIVE			
Relationship Mtn Currency Exchange Rate	ISIN :		HK2211690622			
and Haircut	Quantity :		9,000,000			
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Deposit Order Mtn Cash Collateral	Order ID :	30876			
Withdrawal Order	Instrument Group :	Bank Guarantee			
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Enquire Deposit/Withdrawal	Participant ID :	HKABC1 ABC			
Order	Account Type :	CLIENT			
Enquire Collateral Account	Account Number :	0001			
Enquire Collateral Inventory	Account Name :	CLIENT A/C			
Enq Coll Acct to Trans Acct	Account Status :	ACTIVE			
Relationship	BG Issuer :	003 STANDARD CHARTERED BANK			
Mtn Currency Exchange Rate and Haircut	BG Ref No :	151231			
Mtn Cash Collateral A/C	Currency :	HONG KONG DOLLAR			
Transfer Instr	Amount :	30,000,000.00			
Mtn Non-Cash Coll A/C	BG RM Value :	30,000,000.00			
Eng Coll Effective Haircut & Val	Expiry Date :	31-DEC-15			
Price	Remark :	DEPOSIT OF BG			
Enquire Collateral Account		Add Another Record			Help
Enquire Int. Cal. Result / Acc.					<u>1100</u>
Fee					
Report Profile Maintenance					
View Circular	-3994 RECORD ADDED SUCCESSFULLY. AUTHORISATION IS REQUIRED.				
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Maintain Collateral Account					HKABC101
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Maintain Collateral Account Mtn Cash Collateral Deposit Order Mtn Non-Cash Collateral	Maintain Collateral Deposit Order	Site Map Announcement Information	Broadcast Message Change Password	<u>Report Download</u> <u>Print Loqout</u>	HKABC101 KMDA 10 17-Dec-12 10:49
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DESCRIPTION OF FIELDS:

Field	Description/Format
INSTRUMENT GROUP	 select the instrument group via the pull down menu, either 'BANK GUARANTEE' or 'BOND'.
FIRM ID	- display the FIRM ID of the initiating participant.
PARTICIPANT ID	- display the Participant ID of the initiating participant.
ACCOUNT TYPE	 use the pull down menu to select the type of collateral account for receiving the non-cash collateral. 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.
ACCOUNT NUMBER	- input the account number of participant's collateral account of the account type into which non-cash collateral will be deposited.
ISIN/CMU/STOCK	 input the ISIN or CMU or stock code for the bond to be deposited. leave it blank if a Bank Guarantee is to be deposited.
ORDER ID	- display the unique reference assigned by CCMS for the non-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.
BG ISSUER	- select the issue bank of the Bank Guarantee via pull down menu.
BG REF NO	- input the reference number of the Bank Guarantee assigned by its issuer.
CURRENCY	- select the currency code of the Bank Guarantee to be deposited via pull down menu.
AMOUNT	- input the amount of the Bank Guarantee to be deposited as non-cash collateral.
BG RM VALUE	 display the amount of the Bank Guarantee designated for collateral purpose. a Bank Guarantee may be deposited for different purposes, e.g., collateral and guarantee fund. When a participant input a non-cash collateral

<u>Field</u>	Description/Format
	deposit order to deposit a Bank Guarantee, CCMS will automatically default the total amount to be used for general collateral purpose. Participant can subsequently apply to re-designate a specified amount for other purposes.
EXPIRY DATE	- input the expiry date of the Bank Guarantee.
REMARK	 input the remark for the non-cash collateral deposit order, if required.
QUANTITY	- input the quantity of bond to be deposited as non-cash collateral.
DEPOSITORY	 select the depository of the non-cash collateral to be deposited via pull down menu. CDP CCASS Central Depository CLS Clearstream Banking CMU Central Moneymarket Unit of HKMA N/A HKEX or its Clearing Houses