

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:

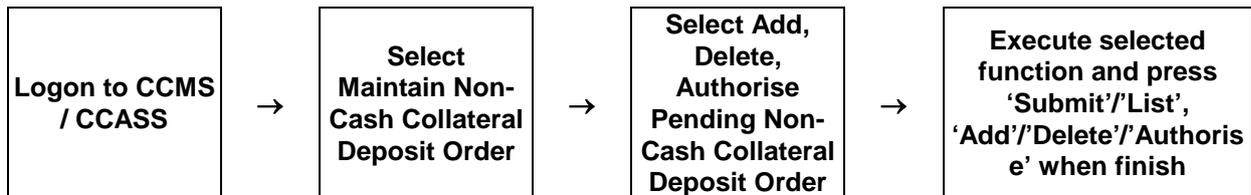
- The non-cash collateral deposit order maintenance must be performed between 9:00 a.m. and 11:00 a.m. Monday to Friday (except holidays).

FUNCTIONAL DESCRIPTIONS:

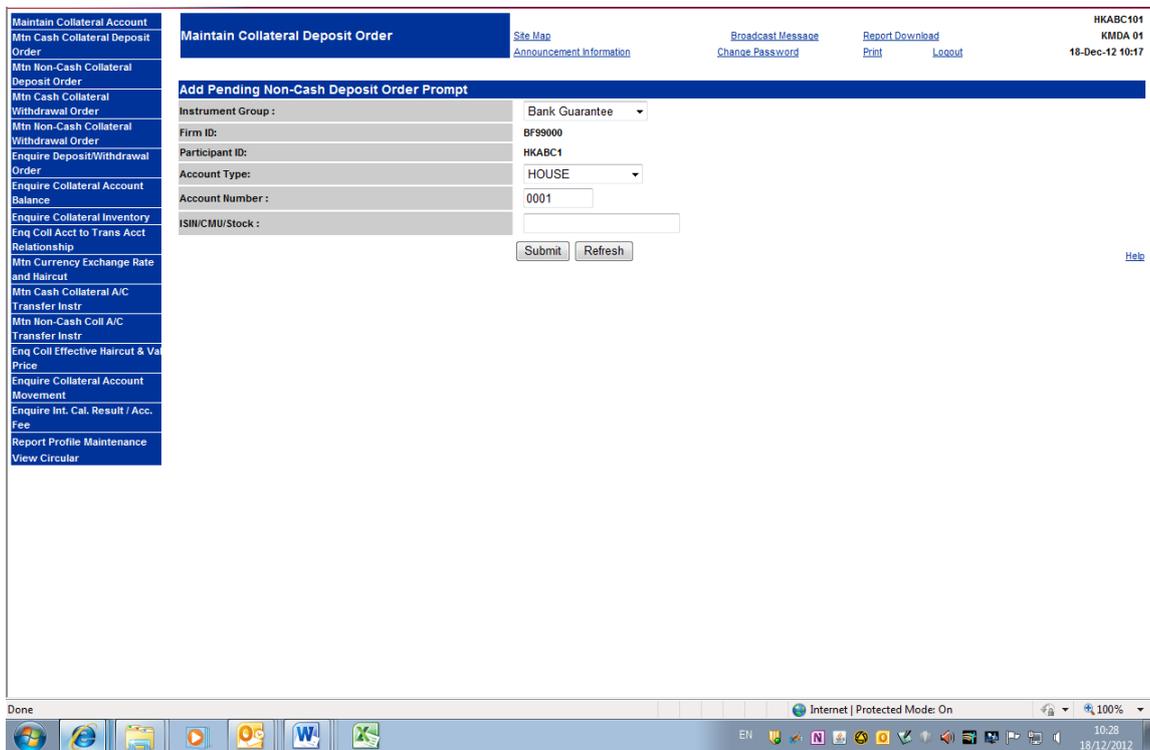
- Only HKCC and SEOCH Participant users can use this set of maintenance functions to maintain Non-Cash Collateral Deposit Order via CCMS or CCASS terminal.
- Upon successful input of a non-cash collateral deposit order, the status of the order is 'Pending'. Authorisation is required.
- Before a pending 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:



Section 7.1.7 Non-Cash Collateral Deposit Order Maintenance

<ul style="list-style-type: none"> Maintain Collateral Account 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 Relationship 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 & Va Price Enquire Collateral Account Movement Enquire Int. Cal. Result / Acc. Fee Report Profile Maintenance View Circular 	<div style="background-color: #0056b3; color: white; padding: 2px;">Maintain Collateral Deposit Order</div> <div style="border: 1px solid #0056b3; padding: 2px;"> Site Map Broadcast Message Report Download Announcement Information Change Password Print Logout </div> <div style="text-align: right; font-size: small;"> HKABC101 KMDA 04 18-Dec-12 10:37 </div> <div style="background-color: #0056b3; color: white; padding: 2px;">Add Pending Bank Guarantee Collateral Deposit Order Execution</div> <table style="width: 100%; border-collapse: collapse;"> <tr><td>Order ID :</td><td>30933</td></tr> <tr><td>Instrument Group :</td><td>Bank Guarantee</td></tr> <tr><td>Firm ID :</td><td>BF99000</td></tr> <tr><td>Participant ID :</td><td>HKABC1 ABC</td></tr> <tr><td>Account Type :</td><td>HOUSE</td></tr> <tr><td>Account Number :</td><td>0001</td></tr> <tr><td>Account Name :</td><td>HOUSE A/C</td></tr> <tr><td>Account Status :</td><td>ACTIVE</td></tr> <tr><td>BG Issuer :</td><td>003 STANDARD CHARTERED BANK</td></tr> <tr><td>BG Ref No :</td><td>90021</td></tr> <tr><td>Currency :</td><td>HONG KONG DOLLAR</td></tr> <tr><td>Amount :</td><td>8,000,000.00</td></tr> <tr><td>BG RM Value :</td><td>8,000,000.00</td></tr> <tr><td>Expiry Date :</td><td>31-DEC-14</td></tr> <tr><td>Remark :</td><td>DEPOSIT OF BG</td></tr> </table> <p style="text-align: right; font-size: small;">Add Another Record Help</p> <p style="color: red; font-weight: bold;">-3994 RECORD ADDED SUCCESSFULLY. AUTHORISATION IS REQUIRED.</p>	Order ID :	30933	Instrument Group :	Bank Guarantee	Firm ID :	BF99000	Participant ID :	HKABC1 ABC	Account Type :	HOUSE	Account Number :	0001	Account Name :	HOUSE A/C	Account Status :	ACTIVE	BG Issuer :	003 STANDARD CHARTERED BANK	BG Ref No :	90021	Currency :	HONG KONG DOLLAR	Amount :	8,000,000.00	BG RM Value :	8,000,000.00	Expiry Date :	31-DEC-14	Remark :	DEPOSIT OF BG
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Section 7.1.7 Non-Cash Collateral Deposit Order Maintenance

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Add Pending Non-CCASS Stock Collateral Deposit Order Execution																										
<table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 30%;">Order ID :</td><td>30935</td></tr> <tr><td>Instrument Group :</td><td>Non-CCASS Stock</td></tr> <tr><td>Firm ID :</td><td>BF99000</td></tr> <tr><td>Participant ID :</td><td>HKABC1 ABC</td></tr> <tr><td>Account Type :</td><td>CLIENT</td></tr> <tr><td>Account Number :</td><td>0001</td></tr> <tr><td>Account Name :</td><td>CLIENT A/C</td></tr> <tr><td>Account Status :</td><td>ACTIVE</td></tr> <tr><td>ISIN :</td><td>HK2211690622</td></tr> <tr><td>Quantity :</td><td>9,000,000</td></tr> <tr><td>Depository :</td><td>CMU</td></tr> <tr><td>Remark :</td><td>DEPOSIT OF NON-CCASS STOCK</td></tr> </table> <p style="text-align: center; margin-top: 10px;">Add Another Record Help</p>			Order ID :	30935	Instrument Group :	Non-CCASS Stock	Firm ID :	BF99000	Participant ID :	HKABC1 ABC	Account Type :	CLIENT	Account Number :	0001	Account Name :	CLIENT A/C	Account Status :	ACTIVE	ISIN :	HK2211690622	Quantity :	9,000,000	Depository :	CMU	Remark :	DEPOSIT OF NON-CCASS STOCK
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Authorise Pending Non-Cash Deposit Order Prompt																		
<table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 30%;">Order ID :</td><td><input type="text"/></td></tr> <tr><td>Instrument Group :</td><td>All</td></tr> <tr><td>Firm ID :</td><td>BF99000</td></tr> <tr><td>Participant ID :</td><td>HKABC1</td></tr> <tr><td>Account Type :</td><td>ALL</td></tr> <tr><td>Account Number :</td><td><input type="text"/></td></tr> <tr><td>ISIN / Stock Code :</td><td><input type="text"/></td></tr> <tr><td>Depository :</td><td>ALL</td></tr> </table> <p style="text-align: center; margin-top: 10px;"> <input type="button" value="List"/> <input type="button" value="Refresh"/> Help </p>			Order ID :	<input type="text"/>	Instrument Group :	All	Firm ID :	BF99000	Participant ID :	HKABC1	Account Type :	ALL	Account Number :	<input type="text"/>	ISIN / Stock Code :	<input type="text"/>	Depository :	ALL
Order ID :	<input type="text"/>																	
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DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
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>	<u>Description/Format</u>
	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