

Terminal Operations

FUNCTION NAME: **NON-CASH COLLATERAL WITHDRAWAL ORDER MAINTENANCE**

WHEN TO USE:

- HKCC and SEOCH Participants can use this function to request withdrawal of non-cash collateral except CCASS stock which should be handled via the CCMS-To-CCASS Stock Transfer maintenance function. Withdrawal orders input and authorised by participants are subject to approval by HKEX.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Add Non-Cash Collateral Withdrawal Order
To add a pending request to withdraw non-cash collateral, such as bond and bank guarantee online.
- B. Delete Pending Non-Cash Collateral Withdrawal Order
To delete a pending withdrawal order which was entered via the ADD NON-CASH COLLATERAL WITHDRAWAL ORDER function.
- C. Authorise Non-Cash Collateral Withdrawal Order
To authorise a pending withdrawal order which was entered via the ADD NON-CASH COLLATERAL WITHDRAWAL ORDER function.

AVAILABLE FUNCTION TIME:

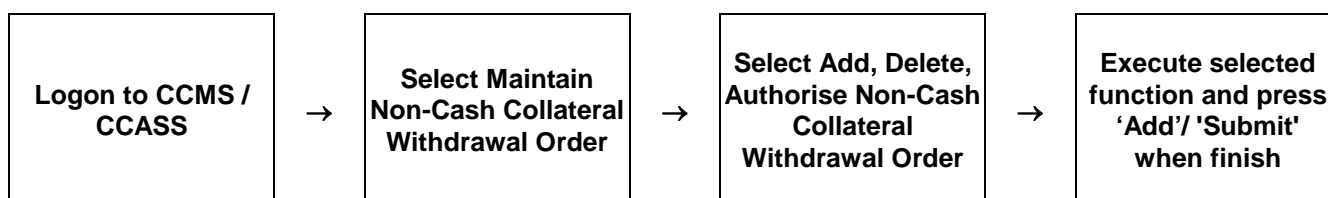
- Non-Cash collateral withdrawal order maintenance must be performed between 9:00 a.m. and 11:00 a.m. Monday to Friday (except holidays). Function temporary blocked-off (a few minutes) during the collateralisation process and batch processing of any clearing house.

FUNCTIONAL DESCRIPTIONS:

- Only HKCC and SEOCH Participant users can use this function.
- Entering a non-cash collateral withdrawal order requires input to the following mandatory fields:

<ul style="list-style-type: none"> . collateral account . BG Seq / ISIN / Stock Code . Quantity 	<ul style="list-style-type: none"> - collateral account from which non-cash collateral amount is to be debited. - the ISIN/Stock code or BG Seq of non-cash collateral to be withdrawn. - quantity to be withdrawn (not applicable to bank guarantee).
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- Upon successful input of the non-cash collateral withdrawal order details, the order is at 'Pending' status. Participants should note that such amount of non-cash collateral specified in the 'Pending' order will be excluded from the subsequent use for any collateral purpose. The DELETE NON-CASH COLLATERAL WITHDRAWAL ORDER function can be used to delete withdrawal orders which have not been authorised.
- Non-Cash collateral withdrawal orders must be authorised by the AUTHORISE NON-CASH COLLATERAL WITHDRAWAL ORDER function. Once non-cash collateral withdrawal orders are authorised, the order status is updated from 'Pending' to 'Authorised' and cannot be cancelled. The quantity to be withdrawn will be put on-hold from the available balance.
- Non-cash collateral withdrawal orders authorised by participants are subject to HKEX approval. HKEX may reject a withdrawal order if the participant has other outstanding obligations or due to other risk management concerns. If a withdrawal order is rejected, the on-hold quantity would be released by CCMS. For withdrawal orders approved by HKEX, HKEX will arrange to release the non-cash collateral to participants for collection. Once the withdrawal is effected, the withdrawn quantity will be deducted from the non-cash collateral balance.
- Participants can use the ENQUIRE DEPOSIT / WITHDRAWAL ORDER function to enquire information regarding the non-cash collateral withdrawal orders, including the withdrawal order status which indicates the processing stage of the withdrawal order.

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



NON-CASH COLLATERAL WITHDRAWAL ORDER MAINTENANCE – Sample Screens:

<ul style="list-style-type: none"> Maintain Participant Maintain Collateral Account Maintain Collateral Master 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 Mapping 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 & Val Price Enquire Collateral Account Movement Enquire Int Cal Result / Accom Fee 	<div style="background-color: #0056b3; color: white; padding: 5px; text-align: center;">Maintain Collateral Withdrawal Order</div>	<div style="text-align: right;"> MKABC1 KMGA 01 02-Dec-02 11:34 </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div> Site Map Announcement Information </div> <div> Broadcast Message Change Password </div> <div> Report Download Print Logout </div> </div> <div style="background-color: #0056b3; color: white; padding: 5px; text-align: center; margin-top: 10px;">Add Pending Non-Cash Collateral Withdrawal Order Prompt</div> <table style="width: 100%; margin-top: 5px;"> <tr> <td style="width: 50%;">Instrument Group :</td> <td>Bank Guarantee</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>Account Number :</td> <td>0001</td> </tr> <tr> <td>BG Seq / ISIN / Stock Code :</td> <td>26</td> </tr> <tr> <td>Depository :</td> <td>N/A</td> </tr> </table> <div style="text-align: right; margin-top: 5px;"> <input type="button" value="Submit"/> <input type="button" value="Refresh"/> </div> <div style="text-align: right; margin-top: 10px;"> Help </div>	Instrument Group :	Bank Guarantee	Firm ID:	BF00010 ABC EXAMPLE FIRM	Participant ID:	HKABC1	Account Type:	HOUSE	Account Number :	0001	BG Seq / ISIN / Stock Code :	26	Depository :	N/A
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-2003 RECORD ADDED SUCCESSFULLY

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
INSTRUMENT GROUP	<ul style="list-style-type: none"> - select the instrument group to be withdrawn via the pull down menu. - can be 'BANK GUARANTEE', 'BOND' 'NON-CCASS STOCK', or - 'ALL' -- All of the above (only available for selection via 'Delete Pending Non-Cash Collateral Withdrawal Order' function and 'Authorise Non-Cash Collateral Withdrawal Order' function).
FIRM ID	<ul style="list-style-type: none"> - display the FIRM ID of the initiating participant.
PARTICIPANT ID	<ul style="list-style-type: none"> - display the Participant ID of the initiating participant.
ACCOUNT TYPE	<ul style="list-style-type: none"> - select the type of collateral account via pull down menu. - can be 'HOUSE' for collateral accounts of participant itself, 'CLIENT' for collateral accounts of participant's clients, 'MARKET MAKER' for collateral accounts of participant's market makers, or - 'ALL' -- All of the above (only available for selection via 'Delete Pending Non-Cash Collateral Withdrawal Order' function and 'Authorise Non-Cash Collateral Withdrawal Order' function).
ACCOUNT NUMBER	<ul style="list-style-type: none"> - input the account number of participant's collateral account of the account type from which non-cash collateral is going to be withdrawn.
BG SEQ	<ul style="list-style-type: none"> - input the BG Seq No of the bank guarantee to be withdrawn. The BG Seq No is assigned by HKEX and can be enquired via the Enquire Collateral Account Balance function. - applicable to bank guarantee withdrawal only

<u>Field</u>	<u>Description/Format</u>
ISIN / CMU / Stock Code	<ul style="list-style-type: none"> - input the ISIN/Stock Code of the non-CCASS stock to be withdrawn or - input the ISIN/CMU of the bond to be withdrawn - applicable to non-CCASS stock or bond withdrawal only
DEPOSITORY	<ul style="list-style-type: none"> - 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 HKMAN/A -- - ALL -- All of the above (only available for selection via 'Delete Pending Non-Cash Collateral Withdrawal Order' function and 'Authorise Non-Cash Collateral Withdrawal Order' function) applicable to non-CCASS stock or bond withdrawal only
ORDER ID	<ul style="list-style-type: none"> - display the unique reference number assigned to the order.
ACCOUNT NAME	<ul style="list-style-type: none"> - display the name of the specified collateral account.
ACCOUNT STATUS	<ul style="list-style-type: none"> - display the current status of the specified collateral account.
BG REF NO	<ul style="list-style-type: none"> - display the reference number assigned to the BG by its issuer. - applicable to bank guarantee withdrawal only
AVAILABLE QUANTITY	<ul style="list-style-type: none"> - display the non-cash collateral quantity available for withdrawal.
QUANTITY	<ul style="list-style-type: none"> - input or display the quantity of non-cash collateral to be withdrawn.
REMARK	<ul style="list-style-type: none"> - input or display the remark for the order.