Special Enquire Functions

FUNCTION NAME: ENQUIRE COLLATERAL ACCOUNT BALANCE

WHEN TO USE:

-      To enquire the balances of all collateral in a participant's collateral account.

AVAILABLE FUNCTION TIME:

-      Available from 9:00 a.m. till CCMS services close, Monday to Saturday (except holiday).
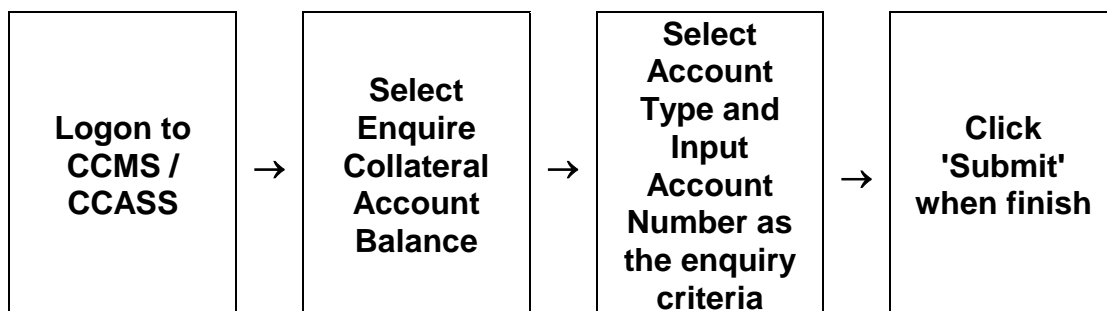
FUNCTIONAL DESCRIPTION:

-      This is an enquiry function. Data cannot be entered or changed with this function.

-      The collateral balance information is retrieved by collateral account.

-      It allows enquiry on information such as balances of each collateral instrument group (e.g. CCASS stock), total discounted market value, earmarked value and specific stock collateral (i.e. on-hold or free).

-      Basically, the discounted market value of a collateral in the collateral account is shown in Hong Kong dollar equivalent and calculated as:

> Quantity of the collateral * valuation price * (1 - collateral haircut rate) *
> Exchange Rate * (1 - exchange rate haircut rate)

-      Participant may enquire the collateral haircut rate and valuation price via ENQUIRE COLLATERAL EFFECTIVE HAIRCUT AND VALUATION PRICE function (refer to Section 8.2.5), and exchange rate and exchange haircut rate via ENQUIRE EXCHANGE RATE AND HAIRCUT function (refer to Section 8.2.6).

The access path for Enquire Collateral Account Balance is:

Logon to CCMS / CCASS	→	Select Enquire Collateral Account Balance	→	Select Account Type and Input Account Number as the enquiry criteria	→	Click 'Submit' when finish

ENQUIRE COLLATERAL ACCOUNT BALANCE - Sample Screens

For Cash Market (HKSCC Participants)

For Derivatives Markets (HKCC / SEOCH Participants)

Enquire Collateral Account Balance

				HK000101
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Enquire Collateral Account Balance Detail - CCASS Stock Collateral

Firm ID :	BF00001
Participant ID :	HK0001
Account Type :	CLIENT
Account Number :	0001
Account Name :	CLIENT A/C
Account Status :	ACTIVE

| Total Discounted Market Value in HKD | | | | | | | 301,750.00 |

Stock Code	ISIN	Currency	Quantity	Market Value	Pending Deposit Quantity	Pending Withdrawal Quantity	Pending Transfer Quantity
1	HK0001000014	HKD	5,000	301,750.00			

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Enquire Collateral Account Balance

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Enquire Collateral Account Balance Detail - Non-CCASS Stock Collateral

Firm ID :	BF00001
Participant ID :	HK0001
Account Type :	CLIENT
Account Number :	0001
Account Name :	CLIENT A/C
Account Status :	ACTIVE

| Total Discounted Market Value in HKD | | | | | | 2,970,000.00 |

ISIN	Currency	Quantity	Market Value	Pending Deposit Quantity	Pending Withdrawal Quantity	Pending Transfer Quantity
000000000959	HKD	3,000,000	3,000,000.00			

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Maintain Unit Order - Redemption	**Enquire Collateral Account Balance**	Site Map	Broadcast Message	Report Download	HK0001 01
Maintain Scrip Fee Memo Adjustment					KMOE 06
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Enquire Collateral Account Balance Detail - Bank Guarantee Collateral

Firm ID :	BF00001
Participant ID :	HK0001
Account Type :	CLIENT
Account Number :	0001
Account Name :	CLIENT A/C
Account Status :	ACTIVE

Total Discounted Market Value in HKD								7,999,999.00

BG Seq No	BG Issuer	BG Ref No	Currency	Face Value	RM Allocated Value	Pending Deposit Amount	Pending Withdrawal Amount	Pending Transfer Amount
2746	003	CLTEST2	HKD	2,000,000.00	2,000,000.00			
2773	003	CLTEST	HKD	4,000,000.00	4,000,000.00			
3170	003	CLTEST	HKD	1,999,999.00	1,999,999.00			

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Redem Enquire Scrip Fee Memo					KMOE 07
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Adjustment					
Corp Communication					

Enquire Collateral Account Balance Detail - Bond Collateral

Firm ID :	BF00001
Participant ID :	HK0001
Account Type :	CLIENT
Account Number :	0001
Account Name :	CLIENT A/C
Account Status :	ACTIVE

Total Discounted Market Value in HKD							47,025,000.00

ISIN/CMU	Type	Currency	Face Value	Quantity	Market Value	Pending Deposit Quantity	Pending Withdrawal Quantity	Pending Transfer Quantity
TESTING1234	TBA	EUR	1,000.00	500,000	5,000,000.00			

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Enquire Collateral Account Balance

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Enquire Collateral Account Balance Detail - On-Hold Specific Stock Collateral

Firm ID : BF00001
Participant ID : HK0001
Account Type : CLIENT
Account Number : 0001
Account Name : CLIENT A/C
Account Status : ACTIVE

Stock	ISIN	Depository	Customer Account	On-hold Quantity	To-be-released Quantity	Settlement Date

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Enquire Collateral Account Balance Detail - Free Balance Specific Stock Collateral

Firm ID : BF00001
Participant ID : HK0001
Account Type : CLIENT
Account Number : 0001
Account Name : CLIENT A/C
Account Status : ACTIVE

Stock	ISIN	Depository	Free Balance Quantity	Settlement Date

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Corp Communication					06-Dec-05 10:12

Enquire Collateral Account Balance Detail - Contract Currency Collateral

Firm ID :	BF00001
Participant ID :	HK0001
Account Type :	CLIENT
Account Number :	0001
Account Name :	CLIENT A/C
Account Status :	ACTIVE

Currency	On-hold Info :		Confirmed Amount	Pending Shortfall DDI
	On-hold Product	On-hold Obligation Type		
HKD	HIBOR	MGN	0.00	1,000,000.00
HKD	HHI	MGN	0.00	1,000,000.00
HKD	EF3	MGN	821,906.39	178,093.61

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Enquire Collateral Account Balance Detail - Free Specific Cash

Firm ID :	BF00473
Participant ID :	B00473
Account Type :	HOUSE
Account Number :	0001
Account Name :	
Account Status :	ACTIVE

Stock	ISIN	Currency	Pending Free Specific Cash Amount	Confirmed Free Specific Cash Amount	Trade Date	Settlement Date
1	HK0001000014	HKD	10,000.00	0.00	02-JAN-13	04-JAN-13

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Mtn General To Specific Cash Collateral
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CCMS File Upload
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Enquire Collateral Account Balance

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Enquire Collateral Account Balance Detail - On-Hold Specific Cash

Firm ID :		BF00473
Participant ID :		B00473
Account Type :		HOUSE
Account Number :		0001
Account Name :		
Account Status :		ACTIVE

Stock	ISIN	Currency	Pending On-Hold Specific Cash Amount	Confirmed On-Hold Specific Cash Amount	Trade Date	Settlement Date
1	HK0001000014	HKD	0.00	0.00	02-JAN-13	04-JAN-13

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Mtn CCASS-To-CCMS Stock Transfer
Mtn General to Specific Stock Collateral
Mtn Specific to General Stock Collateral
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Enquire Collateral Inventory
Enq Coll Acct to Trans Acct Relationship
Mtn Currency Exchange Rate and Haircut
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06-Dec-05 10:17

Enquire Collateral Account Balance Detail - Shortfall

Firm ID :		BF0 0001
Participant ID :		HK 0001
Account Type :		CLIENT
Account Number :		0001
Account Name :		CLIENT A/C
Account Status :		ACTIVE

Currency	Product	Obligation Type	Collateralisation Batch Number	Shortfall Amount

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Enquire Collateral Account Balance

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Enquire Collateral Account Balance Detail - Outstanding DDI Summary

Firm ID :	BF00001
Participant ID :	HK 0001
Account Type :	CLIENT
Account Number :	0001
Account Name :	CLIENT A/C
Account Status :	ACTIVE

Type	Usage	Currency	DDI Amount
SHORTFALL	GEN	HKD	2,178,093.61

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Enquire Collateral Account Balance Detail - Outstanding DDI Detail

Firm ID :	BF00001
Participant ID :	HK 0001
Account Type :	CLIENT
Account Number :	0001
Account Name :	CLIENT A/C
Account Status :	ACTIVE

Type	Event Date	Payment Batch Number	Order ID	Product Code	Obligation Type	Usage	Currency	DDI Amount
SHORTFALL	07-OCT-04	1910		EF3	MGN	GEN	HKD	178,093.61
SHORTFALL	07-OCT-04	1910		HHI	MGN	GEN	HKD	1,000,000.00
SHORTFALL	07-OCT-04	1910		HIBOR	MGN	GEN	HKD	1,000,000.00

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Enquire Collateral Account Balance Detail - Standing Withdrawal Instruction

Firm ID :   BF00001

Participant ID :   HK0001

Account Type :   CLIENT

Account Number :   0001

Account Name :   CLIENT A/C

Account Status :   ACTIVE

Value Date :   08-OCT-04

| Event Date/Time | Intraday/Dayend | Currency | DCI Amount |

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DESCRIPTION OF FIELDS:

Field	Description/Format
FIRM ID	- firm identity assigned by HKEX for linking multiple participants of the clearing houses.
PARTICIPANT ID	- participant identity assigned by HKEX.
ACCOUNT TYPE	- select the type of collateral account via pull down menu. - can be 'HOUSE', 'CLIENT' or 'MARKET MAKER'. - must be 'HOUSE' for CCASS participant.
ACCOUNT NUMBER	- input the account number of participant's collateral account of the account type on which details are going to be enquired. - 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 maintenance.
TOTAL DISCOUNTED MARKET VALUE IN HKD (GENERAL COLLATERALS)	- display the total discounted market value (in HKD) of all general collateral (i.e. excluding specific stock, contract currency and special use collateral) held in the collateral account being enquired.
TOTAL EARMARKED VALUE IN HKD	- display total collateralised value (in HKD) separately for general cash and non cash collateral held in the collateral account.
AVAILABLE TDMV IN THIS ACCOUNT	- display the available total discounted market value (in HKD) of all general collateral held in the collateral account being enquired (i.e. amount that can be freely used for other purposes, e.g. transfer out, etc.).
MINIMUM ccc CONTRACT CURRENCY ON HOLD	- display the amount of minimum contract currency on hold requirement for currency ccc (ccc stands for currency code) - will not be displayed if minimum contract currency on hold requirement is zero
General Cash Collateral	
CASH	- click at the 'Cash' hyperlink to enquire the details of general cash collateral balance of the collateral account being enquired.
TOTAL DISCOUNTED MARKET VALUE IN HKD	- display the total discounted market value (in HKD) of all general cash collateral held in the collateral account being enquired.
PENDING SHORTFALL DDI DMV	- display the discounted market value (in HKD) of the DDI being sent for collection and pending for confirmation as 'good and clear' fund.
CURRENCY	- display the currency code of the cash collateral being enquired.
CONFIRMED AMOUNT	- display the cash amount confirmed as 'good and clear' fund.
PENDING SHORTFALL DDI	- display the amount of the pending DDI being sent for collection, and pending for confirmation of 'good and clear' fund.
OUTSTANDING DEBIT	- display the amount to be debited which has neither been collected nor issued in any DDI for collection.

Field	Description/Format
PENDING DEPOSIT AMOUNT	- display the cash collateral amount held in 'pending' deposit status which required authorisation and/or confirmation.
PENDING WITHDRAWAL AMOUNT	- display the cash collateral amount held in 'pending' withdrawal status which required authorisation and/or confirmation.
PENDING TRANSFER AMOUNT	- display the cash collateral amount held in 'pending' transfer status which required authorisation and/or confirmation.
CCASS Stock Collateral / Non-CCASS Stock Collateral	
CCASS STOCK	- click at the 'CCASS Stock' hyperlink to enquire the details of general CCASS stock collateral balance of the collateral account being enquired.
NON-CCASS STOCK	- click at the 'Non-CCASS Stock' hyperlink to enquire the details of general non-CCASS stock collateral balance of the collateral account being enquired.
TOTAL DISCOUNTED MARKET VALUE IN HKD	- display the total discounted market value (in HKD) of all CCASS stock or non-CCASS stock general collateral held in the collateral account being enquired.
STOCK CODE	- display the codes of the relevant CCASS stocks that have an account balance in the collateral account being enquired. - applicable to CCASS Stock Collateral only
ISIN	- display the International Securities Identification Number of the collateral being enquired.
CURRENCY	- display the currency code of the collateral being enquired - for CCASS stock, it is the trading currency code of the CCASS stock.
QUANTITY	- display the quantity of the collateral being enquired and held in the collateral account.
MARKET VALUE	- display the market value of the collateral being enquired.
PENDING DEPOSIT QUANTITY	- display the quantity of the collateral being enquired, and held in 'pending' deposit status which required authorisation and/or confirmation.
PENDING WITHDRAWAL QUANTITY	- display the quantity of the collateral being enquired, and held in 'pending' withdrawal status which required authorisation and/or confirmation.
PENDING TRANSFER QUANTITY	- display the quantity of the collateral being enquired, and held in 'pending' transfer status which required authorisation and/or confirmation.

Field	Description/Format
Bank Guarantee Collateral	
BANK GUARANTEE	- click at the 'Bank Guarantee' hyperlink to enquire the details of general Bank Guarantee collateral balance of the collateral account being enquired.
TOTAL DISCOUNTED MARKET VALUE IN HKD	- display the total discounted market value (in HKD) of all bank guarantee collateral held in the collateral account being enquired.
BG SEQ NO	- display the unique reference number assigned by HKEX to the Bank Guarantee.
BG ISSUER	- display the bank code which issued the Bank Guarantee.
BG REF NO	- display the reference number of the Bank Guarantee assigned by the Issuer.
CURRENCY	- display the currency code of the Bank Guarantee being enquired.
FACE VALUE	- display the face value of the Bank Guarantee.
RM ALLOCATED VALUE	- display the amount of the Bank Guarantee being allocated for general collateral purpose.
PENDING DEPOSIT AMOUNT	- display the bank guarantee amount held in 'pending' deposit status which required authorisation and/or confirmation.
PENDING WITHDRAWAL AMOUNT	- display the bank guarantee amount held in 'pending' withdrawal status which required authorisation and/or confirmation.
PENDING TRANSFER AMOUNT	- display the bank guarantee amount held in 'pending' transfer status which required authorisation and/or confirmation.
Bond Collateral	
BOND	- click at the 'Bond' hyperlink to enquire the details of general bond collateral balance of the collateral account being enquired.
TOTAL DISCOUNTED MARKET VALUE IN HKD	- display the total discounted market value (in HKD) of all bond collateral held in the collateral account being enquired.
ISIN/CMU	- display the ISIN or CMU code of the bond.
TYPE	- display the bond type EFB -- Exchange Fund Bill EFN -- Exchange Fund Notes TBL -- US Treasury Bill TBN -- US Treasury Bond

Field	Description/Format
CURRENCY	- display the currency code of the bond being enquired.
FACE VALUE	- display the face value.
QUANTITY	- display the quantity of the bond kept in the collateral account.
MARKET VALUE	- display the market value.
PENDING DEPOSIT QUANTITY	- display the quantity of bond held in 'pending' deposit status which required authorisation and/or confirmation.
PENDING WITHDRAWAL QUANTITY	- display the quantity of bond held in 'pending' withdrawal status which required authorisation and/or confirmation.
PENDING TRANSFER QUANTITY	- display the quantity of bond held in 'pending' transfer status which required authorisation and/or confirmation.
On-hold Specific Stock Collateral / Free Balance Specific Stock Collateral	
ON-HOLD SPECIFIC STOCK	- click at the 'On-Hold Specific Stock' hyperlink to enquire the details of on-hold specific stock collateral of the collateral account being enquired.
FREE BALANCE SPECIFIC STOCK	- click at the 'Free Balance Specific Stock' hyperlink to enquire the details of free specific stock collateral balance of the collateral account being enquired.
STOCK	- display the codes of the relevant CCASS stocks that have an account balance in the collateral account being enquired.
ISIN	- display the International Securities Identification Number of the collateral being enquired.
DEPOSITORY	- display the code of depository in which the specific stock collateral is being held CDP -- CCASS Central Depository CLS -- Clearstream Banking CMU -- Central Moneymarket Unit of HKMA N/A -- HKEX or its Clearing Houses
CUSTOMER ACCOUNT	- display the related customer account of the source clearing system, DCASS - same as Participant ID for CCASS Participant. - applicable to On-hold Specific Stock Collateral only.

Field	*Description/Format*

ON-HOLD QUANTITY	- display the quantity of the collateral being put on-hold covering:
	  i. relevant short CNS position for excluding a part or the whole of the short CNS position in the mark-to-market process and reducing margining position in HKSCC if applicable; or
	  ii. relevant short options position of a particular DCASS account for excluding a part or the whole of the short options position in the margin calculation process.
	- applicable to On-hold Specific Stock Collateral only.

TO-BE-RELEASED QUANTITY	- display the quantity de-covered from the short options positions of a particular DCASS account which will be released as general collateral upon confirmation of day-end money settlement obligation of the participant. - not applicable to HKSCC. - applicable to On-hold Specific Stock Collateral only.
FREE BALANCE QUANTITY	- display the free balance quantity of the specific stock collateral being enquired, i.e. can be used for other purposes, e.g. transfer out, change back to general stock collateral, etc.. - applicable to HKSCC only.
SETTLEMENT DATE	- display the due date for settlement using the on-hold specific stock collateral. - applicable to HKSCC only.
Contract Currency Collateral	
CONTRACT CURRENCY	- click at the 'Contract Currency' hyperlink to enquire the details of contract currency cash collateral balance of the collateral account being enquired.
CURRENCY	- display the currency code of the collateral being enquired
ON-HOLD PRODUCT	- display the product code for which the collateral is put on-hold (for example): CASH -- CCASS cash market product SOM -- Stock Options market product EF3 -- Exchange Fund Note Futures market product HHI -- Hang Seng China Enterprises Index Futures market product HIBOR -- HIBOR Futures market product HSI -- HSI Futures and Options market product MHI -- Mini-HSI Futures and Options market product STOCK -- Stock Futures market product

Field	Description/Format
ON-HOLD OBLIGATION TYPE	- display the type of obligation for which the collateral is put on-hold: EOTMK -- Marks for EOT transferred from SEOCH EOTMG -- Margin for EOT transferred from SEOCH PDMKS -- Pending Marks ODMKS -- Overdue Marks MARGN -- Margin (for HKSCC) MGN -- Margins (for HKCC/SEOCH)
CONFIRMED AMOUNT	- display the cash amount confirmed as 'good and clear' fund.
PENDING SHORTFALL DDI	- display the amount of pending DDI being collected, and pending for confirmation of 'good and clear' fund.
Special-Use Collateral	
SPECIAL-USE	- click at the 'Special-Use' hyperlink to enquire the details of special use collateral balance of the collateral account being enquired. - type of special-use collateral: DEP -- Depository services related NOM -- Nominees services related STM -- Settlement services related XSC -- Exceed settlement cap BTM -- Block trade special margin COM -- Concentration additional margin EFC -- Collateral for delivery of EFN Futures GRA -- Additional deposit for Guarantee/Reserve Fund GRI -- Initial deposit for Guarantee/Reserve Fund PLM -- Capital Based Position Limit additional margin RKC -- Risk Limit EMK -- EOT Marks EMG -- EOT Margins MTD -- Mainland Settlement Deposit (Shanghai) MCD -- Mainland Security Deposit (Shanghai) MTZ -- Mainland Settlement Deposit (Shenzhen) MCZ -- Mainland Security Deposit (Shenzhen) MCM -- Marks, Collateral and Margin (applicable to Clearing Agency Participant in respect of the Clearing Link only) OCA -- Additional cash collateral (Other Collateral Type A) OCB -- Additional cash collateral (Other Collateral Type B) OCC -- Additional cash collateral (Other Collateral Type C) OCD -- Additional cash collateral (Other Collateral Type D) OCE -- Additional cash collateral (Other Collateral Type E)
Free Specific Cash Collateral/ On-hold Specific Cash Collateral	

Field	Description/Format
FREE SPECIFIC CASH	- click at the 'FREE SPECIFIC CASH' hyperlink to enquire the details of confirmed free specific cash and pending free specific cash of the collateral account being enquired.
ON-HOLD SPECIFIC CASH	- click at the 'ON-HOLD SPECIFIC CASH' hyperlink to enquire the details of confirmed on-hold specific cash and pending on-hold specific cash of the collateral account being enquired.
STOCK	- display the codes of the relevant CCASS stocks that have an account balance in the collateral account being enquired.
ISIN	- display the International Securities Identification Number of the stock that have an account balance in the collateral being enquired.
CURRENCY	- display the currency code of the stock that have an account balance in the collateral being enquired.
PENDING FREE SPECIFIC CASH AMOUNT	- display the pending to collect free specific cash collateral amount. - applicable to Free Specific Cash Collateral only.
CONFIRMED FREE SPECIFIC CASH CMAOUNT	- display the collected free specific cash collateral amount . - applicable to Free Specific Cash Collateral only.
PENDING ON-HOLD SPECIFIC CASH AMOUNT	- display the pending to collect on-hold specific cash collateral amount. - applicable to On-hold Specific Cash Collateral only.
CONFIRMED ON-HOLD SPECIFIC CASH AMOUNT	- display the collected on-hold specific cash collateral amount. - applicable to On-hold Specific Cash Collateral only.
TRADE DATE	- display the trade date of the relevant long CNS stock position covered by specific cash collateral in the collateral account being enquired .
SETTLEMENT DATE	- display the settlement date projected from the trade date of the relevant long CNS stock position covered by specific cash collateral in the collateral account being enquired .
Outstanding DDI Summary / Outstanding DDI Detail	
OUTSTANDING DDI SUMMARY	- click at the 'Outstanding DDI Summary' hyperlink to enquire the summary of outstanding DDI of the collateral account being enquired.
OUTSTANDING DDI DETAIL	- click at the 'Outstanding DDI Detail' hyperlink to enquire the details of outstanding DDI of the collateral account being enquired.
TYPE	- display the type of outstanding DDI, i.e. shortfall

Field	Description/Format
EVENT DATE	- display the event date in the outstanding DDI detail
PAYMENT BATCH NUMBER	- display the payment batch number in outstanding DDI detail
ORDER ID	- display the deposit order ID in outstanding DDI detail
PRODUCT CODE	- display the code of the product with outstanding DDI (for example): CASH -- CCASS cash market product SOM -- Stock Options market product EF3 -- Exchange Fund Note Futures market product HHI -- Hang Seng China Enterprises Index Futures market product HIBOR -- HIBOR Futures market product HSI -- HSI Futures and Options market product MHI -- Mini-HSI Futures and Options market product STOCK -- Stock Futures market product
OBLIGATION TYPE	- display the type of obligation with outstanding DDI: PDMKS -- Pending Marks ODMKS -- Overdue Marks MARGN -- Margin (for HKSCC) MGN -- Margins (for HKCC/SEOCH)
USAGE	- display the account usage
CURRENCY	- display the currency code of the shortfall generated.
DDI AMOUNT	- display the debit amount
Shortfall	
SHORTFALL	- click at the 'Shortfall' hyperlink to enquire the details of collateral balance shortfall of the collateral account being enquired.
CURRENCY	- display the currency code of the shortfall generated.
PRODUCT	- display the code of the product with shortfall (for example): CASH -- CCASS cash market product SOM -- Stock Options market product EF3 -- Exchange Fund Note Futures market product HHI -- Hang Seng China Enterprises Index Futures market product HIBOR -- HIBOR Futures market product HSI -- HSI Futures and Options market product MHI -- Mini-HSI Futures and Options market product STOCK -- Stock Futures market product

Field	Description/Format
OBLIGATION TYPE	- display the type of obligation with shortfall: PDMKS -- Pending Marks ODMKS -- Overdue Marks MARGN -- Margin (for HKSCC) MGN -- Margins (for HKCC/SEOCH)
COLLATERALISATION BATCH NUMBER	- display the batch number of collateralisation in which the obligations are included.
SHORTFALL AMOUNT	- display the amount of shortfall after considering the collateral on hand, and pending for collection via DDI or CHATS payment.
Standing Withdrawal Instruction	
STANDING WITHDRAWAL INSTRUCTION	- click at the 'Standing Withdrawal Instruction' hyperlink to enquire the details of the standing withdrawal instructions generated intra-day/day-end. (The link is displayed only when the account has standing withdrawal instruction setup)
EVENT DATE/TIME	- display the event date and time for the generation of the standing withdrawal instruction DCI
INTRADAY/DAYEND	- display the type of standing withdrawal instruction for the DCI generated (i.e. Intraday or Dayend)
CURRENCY	- display the currency code of the standing withdrawal instruction being enquired
DCI AMOUNT	- display the amount of the DCI