Special Enquire Functions

FUNCTION NAME: **ENQUIRE COLLATERAL INVENTORY**

WHEN TO USE:

- To enquire the inventory of a collateral in all participant's collateral accounts.

AVAILABLE FUNCTION TIME:

- This enquiry function is available from 9:00 a.m. till CCMS service close, Monday to Saturday (except holidays).

FUNCTIONAL DESCRIPTION:

- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.

- The inventory is viewed according to a particular collateral. It allows enquiry on information such as balances of the collateral in all the collateral accounts.

The access path for Enquire Collateral Account Inventory is:

| **Logon to CCMS / CCASS** | → | **Select Enquire Collateral Inventory** | → | **Select Account Type and Instrument Group, Input other details as the enquiry criteria** | → | **Click 'List" when finish** |
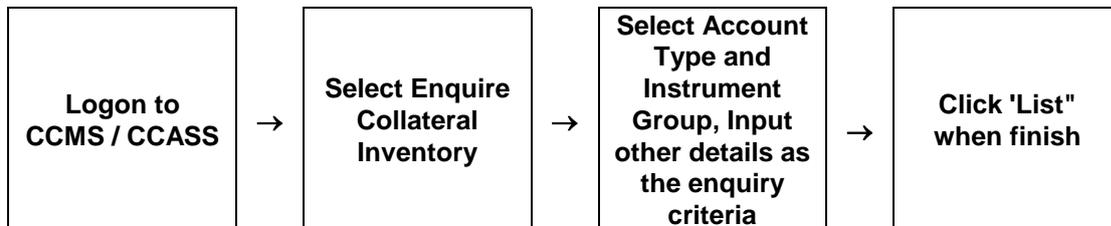
ENQUIRE COLLATERAL INVENTORY - Sample Screens

DESCRIPTION OF FIELDS:

Field	Description/Format
LEVEL	- select on what level the enquiry is made via the pull down menu. - 'Account Level' for enquiry on a particular collateral account; 'Participant Level' for enquiry on all collateral accounts of a participant; 'Firm Level' for enquiry on all collateral accounts under the firm.
FIRM ID	- firm identity assigned by HKEX for linking multiple participants of different clearing houses.

INSTRUMENT GROUP	- select the group of collateral instrument via pull down menu
	   . Bank Guarantee
	   . Bond
	   . Cash
	   . CCASS Stock
	   . Non-CCASS Stock

STOCK / ISIN / ISSUER / CURRENCY	- Stock or ISIN code input for enquiry on Instrument Group 'CCASS STOCK' - ISIN code can also be input for enquiry on Instrument Group 'BOND' or 'Non-CCASS Stock' - Issuer code input for enquiry on Instrument Group 'BANK GUARANTEE' - currency code input for enquiry on Instrument Group 'CASH'.
SORT BY	- Mark the button to list the inventory items by order of quantity or collateral account sequence.
PARTICIPANT ID	- participant identity assigned by HKEX.
ACCOUNT TYPE	- select the type of collateral account via pull down menu if enquiry on 'Account Level'. - can be 'HOUSE', 'CLIENT' or 'MARKET MAKER' - must be 'HOUSE' for a 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 for 'Account Level' enquiry. - must be '0001' for CCASS participant's 'HOUSE' collateral account.
CLEARING HOUSE	- display the clearing house of the collateral account.
CONFIRMED AMOUNT	- display the confirmed amount of cash collateral in the collateral account, i.e. 'good and clear' fund.

Field	*Description/Format*
DEPOSITORY	- display the depository code where the non-cash collateral is kept. CDP -- CCASS Central Depository CLS -- Clearstream Banking CMU -- Central Moneymarket Unit of HKMA N/A -- HKEX or its Clearing Houses
QUANTITY	- display the quantity of non-cash collateral in the collateral account.
SUBTOTAL	- total amount or quantity of the collateral in a collateral account. - Only for sorting sequence by 'Account' is selected.
TOTAL	- Total amount or quantity of the collateral in all collateral accounts.