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:



ENQUIRE COLLATERAL INVENTORY - Sample Screens

Posting/Collateralisation						B06520	01
Generate Manual Posting	Collateral Inventory Maintenance		Site Map	Broadcast Messa	ge Report Dowploa	d KMQE	10
Mtn General to Specific Stock			Announcement	Change	Print !	Loqout 24-May-	02
Mtn Specific to General Stock	Enquire Cas	sh Collatera	I Inventory List	Password		16:	12
Confirm for Payment	Level:		Account Level				
Enquire Payment Batch Status	Firm ID :		BF06520				
Payment Receipt	Instrument Group :		Cash				
Confirmation	Currency :		нкр				
Balance	Sort by :		QUANTITY				
nquire Collateral Inventory							
Enq Coll Acct to Trans Acct	Inventory List						
Relationship	Participant ID	Account Type	Account Number	Clearing House	Currency	Confirmed Amou	int
Maintain bank Master Mtn Stock/Otv Mapping and	B06520	House	0001	нкясс	HKD	535,550,336.82	
Conversion					Total :	535,550,336	.82
Wtn Bond/Stock Coll Valuation			Enquire Another Rec	ord		н	elp
Arameters Mtn Currency Exchange Rate							
nd Haircut							
Wtn Curr Interest and	1						
Retention Rate							
						Tudowe at	
	Lt Laws						
	U 197	Microsoft W	🦉 收件匣 - Mi 🦉	https://www-i]CCASS/3 S	у 🛛 N 🏈 🎔 Еп	PM 0

Posting/Collateralisation Status					Papart	B0652001
Generate Manual Posting	Collateral Inventory Maintenance		Site Map	Broadcast Messa	age <u>Downloa</u>	d KMQE 06
Mtn General to Specific Stock Collateral			Announcement	<u>Change</u> Password	<u>Print</u> <u>I</u>	<u>.oqout</u> 24-May-02 16:14
Mtn Specific to General Stock Collateral	Enquire No	n-Cash Colla	teral inventory i	List		
Confirm for Payment	Level:		Account Level			
Enquire Payment Batch Status	Firm ID :		BF06520			
Payment Receipt	Instrument Group :		CCASS Stock			
Confirmation	ISIN or Stock Code :		6501 / LN-ISIN06501			
Balance	Sort by :		ACCOUNT			
inquire Collateral Inventory						
ng Coll Acct to Trans Acct	Inventory List					
Maintain Bank Master	Participant ID	Account Type	Account Number	Clearing House	Depository	Quantity
Mtn Stock/Qty Mapping and	B06520	House	0001		CDP	10,000
Conversion					Subtotal :	10,000
Mtn Bond/Stock Coll Valuation Parameters					Total :	10,000
Mtn Currency Exchange Rate			Enquire Another Rec	cord		Help
Mtn Curr Interest and						
Retention Rate	1					
┘」 ▲)(剩餘1個項目)	1					🌍 Internet
#開始 × × × ※ ※ ②	1 100	Microsoft W	èg收件匣 - Mi 🛛 🍯	https://www-i	CCASS/3 S	y 🛛 🔊 🖓 🛅 🕅 PM

DESCRIPTION OF FIELDS:

<u>Field</u>	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.

<u>Field</u>	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.