File Transfer Function

FUNCTION NAME: **STI FILE TRANSFER**

WHEN TO USE:

- To **upload** Stock Segregate Account Transfer Instructions (STIs) in the form of a STI batch file from CCASS terminals to the HKSCC host computer.

AVAILABLE FUNCTIONS:

A. Authorise STI Batch File Upload
   To authorise the STI batch file to be uploaded.

B. STI Batch File Upload
   To upload the authorised STI batch file.

AVAILABLE FUNCTION TIME:

- STI batch file can be uploaded between 7:15 a.m. to 8:00 p.m.

BATCH PROCESSING SCHEDULE:

- CCASS will validate the uploaded STI files at around 7:30 a.m., 8:00 a.m., 9:15 a.m., 10:00 a.m., 12:45 p.m., 3:30 p.m., 5:00 p.m., 5:30 p.m., 7:30 p.m. and 8:00 p.m.

- After uploading, the STI batch file will be validated and processed by CCASS and a *STI Batch Input Control Report* (See Section 4.3 on Report Description) will be generated to indicate which STI records are rejected and to give a summary of the result for each validated STI batch file.
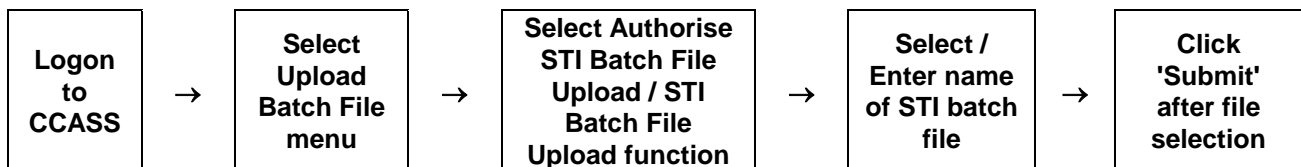
FUNCTIONAL DESCRIPTION:

- This function is available to all participants to upload a high transaction volume of STIs. Subscription to this service is not required.

- Instead of inputting STIs one at a time by on-line data entry, a STI batch file containing a number of STIs is uploaded to the HKSCC host computer to save effort. The STI batch file is a DOS file created according to a certain format stipulated by HKSCC. See Section 5.6b on STI batch file layout.

- *The File Indicator [9(4)] recorded in each STI upload file has to be unique within same day. Upload files with duplicate "File Indicator" will be rejected by CCASS upon submission.*

- The STI batch file can be stored in any connected disk drive for STI batch file uploading.

- For STI file transfer, the file name to be sent to CCASS can be any valid file name.

- All STI batch files uploaded will be processed. The processing sequence of STI batch files is determined by the time of the CCASS terminals used for the uploading. This means that the file with the earliest time recorded in the upload file accordingly to that specified in the CCASS terminals will be processed first.
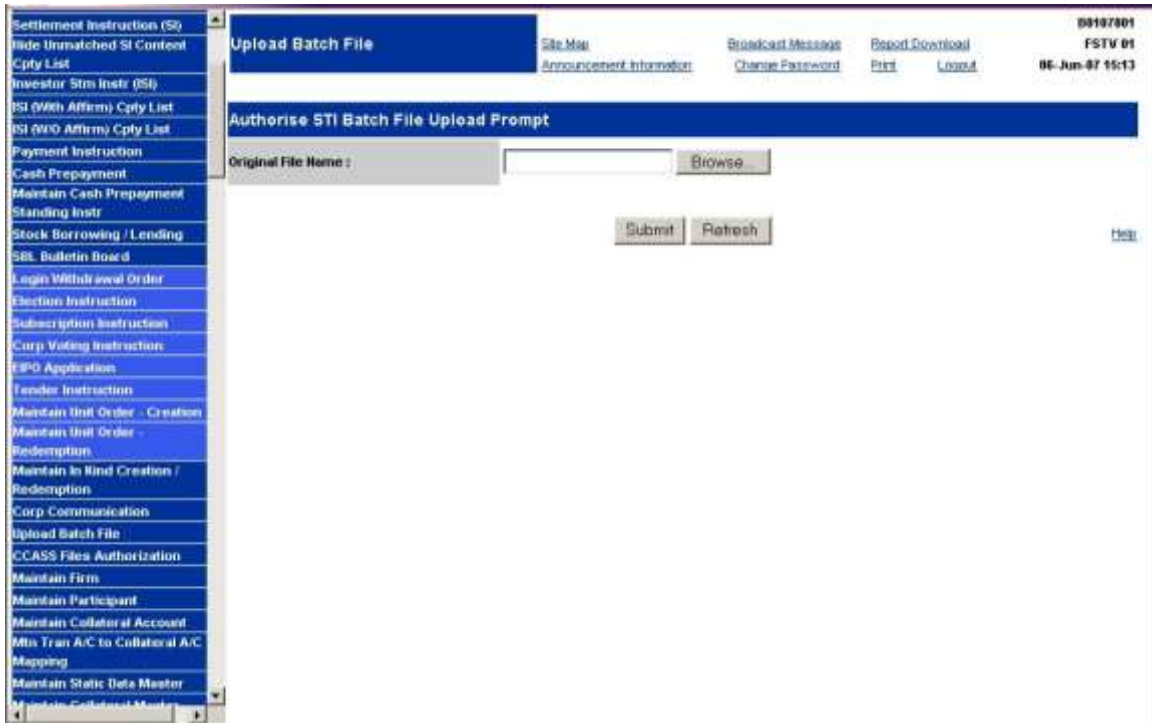
- Individual records will be processed in the order as carried in the uploaded STI batch file.

- To upload STI batch file, an authoriser has to authorise the STI batch file being uploaded, then the maker perform the file transmission action via the STI BATCH FILE UPLOAD function.

- Upon selection of batch upload function, a new window will be displayed for maker to perform the upload function by selecting the respective authorised batch file, maker can access both upload function and other online functions concurrently.

- After the scheduled STI batch file validation run, participants can use the REPORT DOWNLOAD function (Section 4.1) to check the availability of the *STI Batch Input Control Report*, and print the report if necessary.

- STI for Hong Kong market stocks and Mainland A-share market stocks can be uploaded in the same file for STI batch processing.

- If there is A-share STI uploaded on Mainland holiday while it is a Hong Kong business day, the A-share STI will be rejected.

- For STI involving A-shares held at Special Segregated Account (SPSA) of Custodian:

  ● STI batch transfer at 8:00 a.m., 7:30 p.m. and 8:00 p.m. will settle STI between all Stock Accounts.
  ● STI batch transfer at 5:30 p.m., 6:30 p.m. and 7:00 p.m. will settle STI from SPSA to Stock Account other than SPSA only.

The access path for STI File Transfer is:

| **Logon to CCASS** | → | **Select Upload Batch File menu** | → | **Select Authorise STI Batch File Upload / STI Batch File Upload function** | → | **Select / Enter name of STI batch file** | → | **Click 'Submit' after file selection** |

STI FILE TRANSFER - Sample Screen

DESCRIPTION OF FIELDS:

Field	*Description/Format*
ORIGINAL FILE NAME	- name of the STI batch file to be uploaded. - batch file can be selected via the connected disk drive by clicking the BROWSE button.