

4.2 Participantship Management

DEP 3 TRANSFER INSTRUCTION (CMU) TO HKSCC

WHEN TO USE:

- When a HKSCC Participant wishes to submit Transfer Instruction for Exchange Fund Notes, Government Bonds, Specified Instruments and CMU Instruments to HKSCC through Client Connect of below types:-
 - Receive "Delivery Versus Payment" Instruction
 - Receive "Free of Payment" Instruction
 - Deliver "Delivery Versus Payment" Instruction
 - Receive "Free of Payment" Instruction
 - Cancel Receive "Delivery Versus Payment" Instruction
 - Cancel Receive "Free of Payment" Instruction

- This eService is available at any time.

ABOUT THIS eSERVICE:

- This eService is available to Business users of HKSCC Participant granted with the access rights EU_Depository.

- The eService supports to one single online submission for each Request type.

- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.

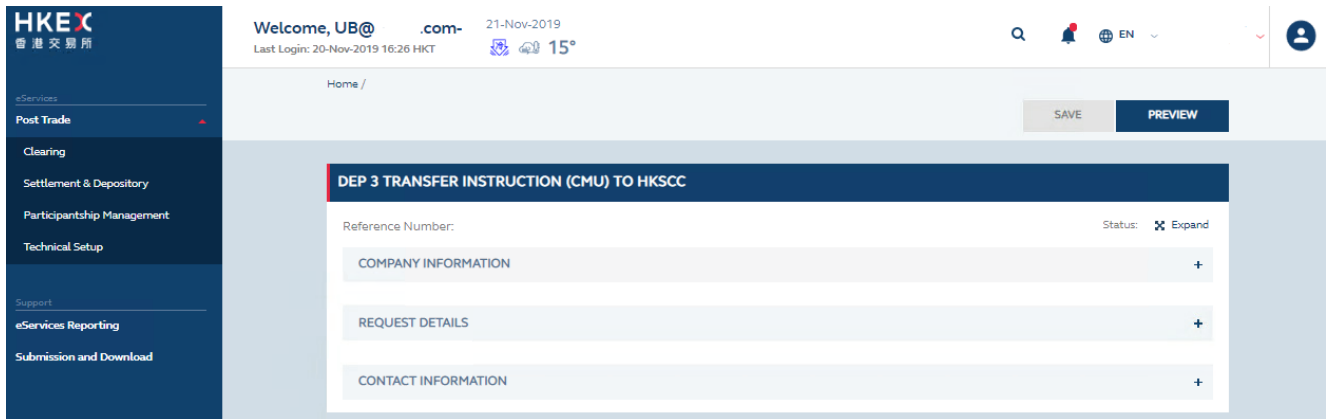
- PDF report which contains the claim request information will be available to Participant after the workflow on the claim request is ended.

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Participation Management – Transfer Instruction (CMU) to HKSCC

SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.

REQUEST DETAILS

Request Type

- Receive Security from other via CMU
- Deliver Security to other via CMU
- Cancel receive instruction from other via CMU (for unsettled instruction only)

You must check this before you can proceed.

Settlement Method

- Delivery versus payment
- Free of Payment

Beneficiary

Type your answer here...

Beneficiary is missing.

Issue Number

Type your answer here...

Issue Number is missing.

Currency (Nominal Value)

HKD

Nominal Value

Type your answer here...

Nominal Value is missing.

Value Date

21-Nov-2019

FIELDS HIGHLIGHTS:

#	Field Name	Highlights
COMPANY INFORMATION		
1	From	- Display the Company name of the Participant
2	As	- Display the role of the Participant
REQUEST DETAILS		
3	Request Type <ul style="list-style-type: none"> o Receive Security from other via CMU o Deliver Security to other via CMU o Cancel receive Instruction from other via CMU (for unsettled instruction only) 	<ul style="list-style-type: none"> - Field format: Radio button - Field number 5 to 19 varies depending on selection
4	Settlement Method <ul style="list-style-type: none"> o Delivery versus payment o Free of Payment 	<ul style="list-style-type: none"> - Field format: Radio button - Field number 5 to 19 varies depending on selection
5	DEBIT Counterparty (Account Code)	<ul style="list-style-type: none"> - Field format: Alphanumeric - Field available when “Receive Security from other via CMU” or “Cancel receive Instruction from other via CMU (for unsettled instruction only)” is selected in field number 3
6	CREDIT Counterparty (Account Code)	<ul style="list-style-type: none"> - Field format: Alphanumeric - Field available when “Deliver Security to other via CMU” is selected in field number 3
7	Beneficiary	<ul style="list-style-type: none"> - Field format: Alphanumeric
8	Issue Number	<ul style="list-style-type: none"> - Field format: Alphanumeric
9	Currency (Nominal Value)	<ul style="list-style-type: none"> - Field format: Dropdown box
10	Nominal Value	<ul style="list-style-type: none"> - Field format: Positive integer
11	Settlement Currency	<ul style="list-style-type: none"> - Field format: Dropdown box - Field available when “Delivery versus payment” is selected in field number 4
12	Settlement Amount	<ul style="list-style-type: none"> - Field format: Positive integer - Field available when “Delivery versus payment” is selected in field number 4
13	Value Date	<ul style="list-style-type: none"> - Field format: Calendar picker
14	Receive Instruction Reference Number	<ul style="list-style-type: none"> - Field format: Alphanumeric - Field available when “Cancel receive instruction from other via CMU (for unsettled instruction only)” is selected in field number 3
15	Receive Instruction Submission Date	<ul style="list-style-type: none"> - Field format: Calendar picker - Field available when “Cancel receive instruction from other via CMU (for unsettled instruction only)” is selected in field number 3
16	CCASS Stock Account Number	<ul style="list-style-type: none"> - Field format: Positive integer - Field available when “Receive Security from other via CMU” or “Deliver Security to other via CMU” is selected in field number 3
17	Stock Code	<ul style="list-style-type: none"> - Field format: Positive integer - Field available when “Receive Security from other via CMU” or “Deliver Security to other via CMU” is selected in field number 3
18	Stock Name	<ul style="list-style-type: none"> - Field format: Positive integer - Field available when “Receive Security from other via CMU” or “Deliver Security to other via CMU” is selected in field number 3 - Auto populated based on input of field number 17
19	Number of Units	<ul style="list-style-type: none"> - Field format: Positive integer - Field available when “Receive Security from other via CMU” or “Deliver Security to other via

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#	Field Name	Highlights
		CMU” is selected in field number 3
20	Declaration Checkbox	- Mandatory checkbox
CONTACT INFORMATION		
21	Name of Contact Person	<ul style="list-style-type: none">- Field format: Alphanumeric- Auto-filled based on maker’s profile and content is editable.
22	Email Address	<ul style="list-style-type: none">- Field format: Alphanumeric- Auto-filled based on maker’s profile and content is editable.
23	Telephone Number	<ul style="list-style-type: none">- Field format: Numeric- Auto-filled based on maker’s profile and content is editable.
24	+ CONTACT PERSON	<ul style="list-style-type: none">- Provide additional contract information by clicking the button- Participant can optionally provide up to 5 contact information.