

SPECIAL-USE COLLATERAL BALANCE REPORT

Report ID : CCMSU04

Report Name : *Special-Use Collateral Balance Report*

Purpose : The *Special-Use Collateral Balance Report* lists the day end special-use collateral balances by collateral account, special-use collateral type and instrument group.

Time available: at the beginning of each business day and Saturday from 9:00 a.m.

Frequency : Daily

Field Description :

X-Ref	Field Name	Description
(1)	CCMSU04	Report ID for <i>Special-Use Collateral Balance Report</i>
(2)	RUN DATE	Date of running the report
(3)	RUN TIME	Time of running the report
(4)	CCMS DATE	Date of the balances
(5)	FIRM NAME	Name of the firm (or the holding company of related participants)
(6)	PART NAME	Participant Name (in CCMS)
(7)	FIRM ID	Firm identity assigned for linking multiple related participants
(8)	PART ID	Participant identity assigned
(9)	A/C TYPE	The type of collateral account: CP - Common Pool (reserved for future use); HSE - 'HOUSE' account; CLT - 'CLIENT' account; MM - 'Market Maker' account.
(10)	A/C NO	The collateral account number
(11)	(variable)	Collateral instrument group
(12)	TDMV(HKD)	Total discounted market value (in HKD) of the collateral instrument group for the special-use code
(13)	SU CODE	Special-use code: 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 contribution / deposit for Guarantee / Reserve Fund GRI -- Initial contribution / deposit for Guarantee / Reserve Fund PLM -- Capital Based Position Limit additional margin RKC -- Risk Limit related EMK -- EOT Marks EMG -- EOT Margin MTD -- Mainland Settlement Deposit (Shanghai) MCD -- Mainland Security Deposit (Shanghai)

X-Ref	Field Name	Description
		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)
		OCF -- Risk Collateral / Additional Margin for Guarantee / Reserve Fund
		ASC -- A-share collateral
(14)	CCY	Currency Code
(15)	AMOUNT	Amount of cash collected and used for the special-use code
(16)	PEND COLLECT AMT	Amount being collected and pending for confirmation as 'good and clear' fund
(17)	BG SEQ NO	The Bank Guarantee sequence number assigned by HKEX to identify the Bank Guarantee
(18)	BANK CD	The bank code of the Bank Guarantee issuing bank
(19)	BG REF NO	The Bank Guarantee reference number assigned by the issuing bank
(20)	FACE VALUE	The face value of the Bank Guarantee
(21)	RM AMT IN INV	The amount of the Bank Guarantee assigned for the special-use code
(22)	STK CODE	Stock code of the CCASS stock For CCASS stock, an asterisk (*) will be printed next to stock code if the balance shown is after stock conversion without parallel trading
(23)	ISIN CODE	The International Securities Identification Number of the securities (CCASS stock, non-CCASS stock or Bond)
(24)	CCY	The currency of the stock
(25)	QUANTITY	Share quantity assigned for the special-use code
(26)	VAL PRICE	Valuation price of the stock
(27)	MARKET VALUE	Market value of the CCASS stock
(28)	ISIN/CMU	ISIN code or CMU code of the Bonds
(29)	TYP	Type of the Bond EFB -- Exchange Fund Bill

X-Ref	Field Name	Description
		EFN -- Exchange Fund Notes
		TRB -- US Treasury Bill
		TRN -- US Treasury Notes
(30)	CCY	The currency of the Bond
(31)	FACE VALUE	Face value of the Bond