

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	<u>Section</u>	<u>Description</u>
January 2020	1 Introduction	- Updated the table of CCMS Terminal User Guide regarding discontinuation of view circular function
	2 CCMS System Overview	- Updated the table of Enquiry Functions regarding discontinuation of view circular function
	3.1 Access Control	- Updated the table of User Access Level regarding discontinuation of view circular function
	6.1 CCMS Terminal Requirements	- Updated CCMS Terminal Specifications regarding discontinuation of view circular function
	8.1.2 View Circular	- Removed the section due to discontinuation of view circular function
October 2019	6.1 CCMS Terminal Requirements	- Updated latest software requirements
May 2019	4.3 Report Description	- Updated report description and field name for HKCC Participants' CCMPY02 day-end report (Derivatives Holiday Trading Only): <ul style="list-style-type: none"> o <i>Outstanding Debit Induced From Non-H-Product Carry Forward From Preceding HK Business Day</i> o <i>Shortfall / Outstanding Debit Not Included In Direct Debit Instruction to be Collected On Next HK Business Day</i> o <i>CCY</i> o <i>OUTSD DR</i> o <i>SHORTFALL AMOUNT</i> - Added report samples of CCMPY02 for Derivatives Holiday Trading -
	5 Report Specifications	- Updated the following sections for Derivatives Holiday Trading: <ul style="list-style-type: none"> o <i>Outstanding Debit Induced From Non-H-Product Carry Forward From Preceding HK Business Day</i> o <i>Shortfall / Outstanding Debit Not Included In Direct Debit Instruction to be Collected On Next HK Business Day</i> -
November 2018	3.4 Logon and Logoff CCMS	- Updated content to reflect changes related to the inclusion of privacy policy statement message on the logon screen
	6.1 CCMS Terminal Requirements	Updated hardware requirement for smartcard readers
June 2018	4.2 List of Reports and Availability Schedule	- Added a remark to indicate that CCMAT01, CCMAT02, CCMDW01 and CCMDW02 are only applicable for HKCC and SEOCH Participants.
May 2018	4.3 Report Description	- Updated report description for the new collateral types "ASC – A-share collateral" and "OCF -- Risk Collateral / Additional Margin for Guarantee / Reserve Fund" for the following reports <ul style="list-style-type: none"> o <i>Participant Collateral Account Movement Report (CCMMV01)</i> o <i>Special-Use Collateral Balance Report (CCMSU04)</i> o <i>Collateral Parameters Information List (CCMIR02)</i> -
	8.2.2 Enquire Collateral Account Balance 8.2.3 Enquire Collateral Account Movement 8.2.7 Enquire Interest Calculation Result / Accommodation Fee	Added new collateral types "ASC – A-share collateral" and "OCF -- Risk Collateral / Additional Margin for Guarantee / Reserve Fund" for the enquiry functions

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	<u>Section</u>	<u>Description</u>
February 2018	4.3 5 Report Description Report Specifications	<ul style="list-style-type: none"> - Updated report layout and/or changed “HKEx” to “HKEX” for below reports <ul style="list-style-type: none"> o <i>Participant Collateral Account Movement Report (CCMMV01)</i> o <i>Cash Collateral Account Transfer Instruction Activity Report (CCMAT01)</i> o <i>Cash Collateral Deposit / Withdrawal Order Activity Report (CCMDW01)</i> o <i>Monthly Interest & Accommodation Fee Report – Detail (CCMIA02)</i> o <i>Posting / Collateralisation Result Report (CCMPY01/02)</i> o <i>Collateral Account Balance Report (CCMCA02)</i> o <i>Special-Use Collateral Balance Report (CCMSU04)</i> o <i>Collateral Parameters Information List (CCMIR02)</i> o <i>Non-Cash Collateral Account Transfer Instruction Activity Report (CCMAT02)</i> o <i>Non-Cash Collateral Deposit / Withdrawal Order Activity Report (CCMDW02)</i> o <i>Statement of Collateral Account (CCMDS01)</i> o <i>Specific Cash Collateral Instruction Activity Report (CCMSC01)</i> o <i>Maintain Preferred Single Settlement Currency Activity Report (CCMPS01)</i>
April 2017	1 Introduction	- Updated office address
	4.3 Report Description Collateral Security Batch Input Control Report (CCMSS05)	Updated content to incorporate changes due to the improvement of presentation of the summary section
March 2017	Forms	- Added reference number and removed company chop requirement
February 2017	Form A, Form B, Form C, Form D	- Updated office address
January 2017	6.1 CCMS Terminal Requirements	- Updated hardware and software configuration of CCMS terminal specification
	7.1.1 CCASS-To-CCMS Stock Transfer Maintenance	- Updated content to incorporate changes related to the CCASS Stock Collateral Control Account
December 2016	2 CCMS System Overview	- Updated content to incorporate changes for China Connect Markets
	4.2 List of Reports and Availability Schedule	- Updated content to incorporate changes for China Connect Markets
September 2016	1 Introduction	- Updated service hours of China Connect Hotline
	4.5 6.2 Overnight Report Distribution CCMS Processing And Service Schedule	- Updated function time
	8.1.1 Enquire Broadcast Message	
July 2016	3.1 Access Control	- Updated content to incorporate changes due to strengthening of the security measures
May 2016	3.4 Logon and Logoff CCMS	
	4.5 Overnight Report Distribution	- Updated function time
July 2016	6.1 CCMS Terminal Requirements	- Updated support matrix for JRE8 on Win7 and Win8.1
April 2016	4.1 Printing Reports	- Updated function time and changed “HKEx” to “HKEX”

**HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log**

Updated Date	<u>Section</u>	<u>Description</u>
	3.1 Access Control 3.2 Security Management 3.3 Change Smartcard Password 3.4 Logon And Logoff CCMS 6.1 CCMS Terminal Requirements 7.1.1 CCASS-To-CCMS Stock Transfer Maintenance 7.1.7 Non-Cash Collateral Deposit Order Maintenance 7.1.8 Cash Collateral Withdrawal Order Maintenance 7.1.9 Non-Cash Collateral Withdrawal Order Maintenance 7.1.9a Participant Submitted Deposit/ Withdrawal Maintenance 7.1.11 Non-Cash Collateral Account Transfer Instruction Maintenance 7.2.1 User Profile Maintenance 7.2.8 Get Authorisation Code 8.1.1 Enquire Broadcast Message 8.1.3 Enquire Collateral Account 8.1.4 Enquire Collateral Account To Transaction Account Relationship 8.2.1 Enquire Deposit / Withdrawal Order 8.2.2 Enquire Collateral Account Balance 8.2.3 Enquire Collateral Account Movement 8.2.4 Enquire Collateral Inventory 8.2.6 Enquire Exchange Rate and Haircut 8.2.7 Enquire Interest Calculation Result / Accommodation Fee 8.2.8 Enquire Specific Cash Collateral Movement	- Changed "HKEx" to "HKEX"

**HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log**

Updated Date	<u>Section</u>	<u>Description</u>
	4.3 Report Description Posting / Collateralisation Result Report (CCMPY01/02) Collateral Account Balance Report (CCMCA02) Participant Collateral Account Movement Report (CCMMV01) Special-Use Collateral Balance Report (CCMSU04) Cash Collateral Account Transfer Instruction Activity Report (CCMAT01) Non-Cash Collateral Account Transfer Instruction Activity Report (CCMAT02) Cash Collateral Deposit / Withdrawal Order Activity Report (CCMDW01) Collateral Account Balance Report (CCMCA02) Participant Collateral Account Movement Report (CCMMV01) Non-Cash Collateral Deposit / Withdrawal Order Activity Report (CCMDW02)	- Changed "HKEx" to "HKEX"

**HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log**

Updated Date	<u>Section</u>	<u>Description</u>
	3.1 Access Control 3.2 Security Management 3.3 Change Smartcard Password 3.4 Logon And Logoff CCMS 6.1 CCMS Terminal Requirements 7.1.1 CCASS-To-CCMS Stock Transfer Maintenance 7.1.7 Non-Cash Collateral Deposit Order Maintenance 7.1.8 Cash Collateral Withdrawal Order Maintenance 7.1.9 Non-Cash Collateral Withdrawal Order Maintenance 7.1.9a Participant Submitted Deposit/ Withdrawal Maintenance 7.1.11 Non-Cash Collateral Account Transfer Instruction Maintenance 7.2.1 User Profile Maintenance 7.2.8 Get Authorisation Code 8.1.1 Enquire Broadcast Message 8.1.3 Enquire Collateral Account 8.1.4 Enquire Collateral Account To Transaction Account Relationship 8.2.1 Enquire Deposit / Withdrawal Order 8.2.2 Enquire Collateral Account Balance 8.2.3 Enquire Collateral Account Movement 8.2.4 Enquire Collateral Inventory 8.2.6 Enquire Exchange Rate and Haircut 8.2.7 Enquire Interest Calculation Result / Accommodation Fee 8.2.8 Enquire Specific Cash Collateral Movement	-
November 2015	HKSCC wishes to emphasise that the sole purpose of the implementation of Interface Specifications is to facilitate HKSCC's overall system enhancement schedule for CCASS. <i>As at today's date, no regulatory announcements or approvals have been made regarding the implementation of Shenzhen-Hong Kong Stock Connect, and Participants should not regard the implementation of Interface Specifications as an indication of imminent announcement by the relevant authorities.</i> 2 CCMS System Overview	-

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	Section	Description	
		Renamed the report “Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shanghai)” and added the new report “Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shenzhen)” under the table “Reporting Functions” in section 2.4	
November 2015 July 2015	4.2 List of Reports and Availability Schedule		- Update Added the n
	4.3 Report Description <i>Participant Collateral Account Movement Report (CCMMV01)</i> <i>Special-Use Collateral Balance Report (CCMSU04)</i> <i>Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shanghai) (CCMIA12)</i> <i>Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shenzhen) (CCMIA14)</i>	- Updated the field “COLL USAGE” - Updated the field “SPECIAL-USE CODE” - Updated report description and report sample - Added report description and report sample of the new CCMS report	
	5 Report Specifications <i>Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shanghai) (CCMIA12)</i> <i>Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shenzhen) (CCMIA14)</i>	- Updated report specification - Added report specification of the new CCMS report	
	8.2.2 Enquire Collateral Account Balance	- Updated the field “SPECIAL-USE” -	
	8.2.3 Enquire Collateral Account Movement	- Updated the fields “COLL USAGE” -	
	8.2.2 Enquire Collateral Account Balance	- Updated the field “SPECIAL-USE”	
	8.2.3 Enquire Collateral Account Movement	- Updated the fields “COLL USAGE” and “MV TYPE”	
July 2015 November 2014	8.2.7 Enquire Interest Calculation Result Accommodation Fee	Updated the field “USAGE”	
	Appendix A (Order Form for Smartcard Reader)	Updated address of office building	
	Appendix B (Smartcard Request Form)	- Updated the field “USAGE”	
November 2014 October 2014	Appendix C (Report Loss of Smartcard)	- Updated address of office building - Updated address of customer service centre	
	Appendix D (User Profile for Delegated Administrator)	- Updated service hours for CCASS / DCASS Hotline and China Connect Hotline	
	Appendix E Request For Back-Up Facilities Form		
	1 Introduction		
	2 CCMS System Overview	- Updated content to incorporate changes for China Connect Market	
October 2014	4.1 Report Download	- Revised the function time	

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	Section	Description
September 2014 November 2013	4.2 List of Reports and Availability Schedule	- Added new CCMS Reports for China Connect Market
	Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (CCMIA12)	- Revised the function time
	4.3 Report Description	- Added report description and report sample for new CCMS report generated for China Connect Market under section 4.2
	5 Report Specifications	- Added the report specification for the new CCMS report generated for China Connect Market under section 4.2
	6.2 CCMS Processing and Service Schedule	- Added "Mainland Settlement Deposit collateralisation processing (HKSCC)" at 6:00 p.m. (after)
	7.2.1 User Profile Maintenance	- Revised the function time
	7.2.2 User Group Listing (with Accessible Functions)	- Revised the function time -
	7.2.3 User Profile Listing	- Revised the function time
	7.2.4 Disabled User Listing	Revised the function time
	7.2.5 SRN Listing	- Revised the function time
	7.2.6 User Profile Maintenance Report	- Revised the function time
	7.2.7 Reset Smartcard Password	- Revised the function time
	7.2.8 Get Authorisation Code	- Revised the function time
	8.2.2 Enquire Collateral Account Balance	- Updated for China Connect Market -
	8.2.3 Enquire Collateral Account Movement	- Updated for China Connect Market -
	8.2.7 Enquire Interest Calculation Result / Accommodation Fee	- Updated for China Connect Market
	6.1 CCMS Terminal Requirements	Updated hardware and software configuration of CCMS terminal specification
	2 CCMS System Overview	Added the new report "Collateral Security Batch Input Control Report" under the table "Reporting Functions" in section 2.4
	4.2 List of Reports and Availability Schedule	- Added the new report CCMSS05 to the list
	4.3 Report Description <i>Collateral Security Batch Input Control Report (CCMSS05)</i>	- Added the report description and report sample for the new CCMS report
	5 Report Specifications <i>Collateral Security Batch Input Control Report (CCMSS05)</i>	- Added the report specification of the new CCMS report
July 2013	1 Introduction 1	- Revise the service hours of DCASS Hotline from 8:15 am to 9:00 am
April 2013	1 Introduction 1	- Revise the service hours of DCASS Hotline
Feb 2013	6.1 CCMS Terminal Requirements	- Updated hardware and software configuration of CCMS terminal specification
January 2013	3.1 Access Control	- Added users access level for 'Delete Cash Collateral Deposit Order' and 'Authorise Cash Collateral Deposit Order' functions - Added users access level for 'Delete Non-Cash Collateral Deposit Order' and 'Authorise Non-Cash Collateral Deposit Order' functions -

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	<u>Section</u>	<u>Description</u>
	4.3 Report Description <i>Posting / Collateralisation Result Report (CCMPY01/02)</i>	- Added a new section "Preferred Settlement Currency Conversion Result" showing the conversion results of Selected Settlement Currency from Settlement Currency
	5 Report Specifications <i>Posting / Collateralisation Result Report (CCMPY01/02)</i>	- Added a new section "Preferred Settlement Currency Conversion Result" showing the conversion results of Selected Settlement Currency from Settlement Currency
	7.1.6 Cash Collateral Deposit Order Maintenance	- Added maker-checker mechanism to Cash Collateral Deposit Order Maintenance function
	7.1.7 Non-Cash Collateral Deposit Order Maintenance	Added maker-checker mechanism to Non-Cash Collateral Deposit Order Maintenance function
October 2012	1 Introduction 1	- Added new CCMS functions (7.1.12, 7.1.13 and 8.2.8) to the table
	2 CCMS System Overview	- Added margin and specific cash collateral under section 2.3 - Added new CCMS functions and reports (7.1.12, 7.1.13, 8.2.8, 12 and 13) under the tables in section 2.4 -
	3.1 Access Control	- Assigned the user groups for new participant functions in TABLE 3.1.1 - CCMS USER FUNCTIONS -
	4.2 List of Reports and Availability Schedule	- Updated the time available for CCMPY01 and CCMPY02 - Added the new reports CCMSC01 and CCMPY01 to the list
	4.3 Report Description LIST OF REPORTS	- Added new sample report for CCMPY01/02 which specifies to HKSCC Participants Added new sample report for CCMPY02 which specifies to HKCC & SEOCH Participants
	<i>Posting / Collateralisation Result Report (CCMPY01/02)</i>	- Added a new section heading "Obligation Collateralisation Result (Non-cash Collateral First)" for HKSCC participants - Added a new section "Preferred Single Settlement Currency Conversion Result" showing the conversion of marks and margin payments from original currency into the preferred single settlement currency for marks and margin - Added a new section "EOT Special-Use Pledging Result" showing the pledging result for EOT marks and margin requirement as special-use collateral for SEOCH participants. - Revised the section heading "Marks to be collected" to "Marks and Margin to be collected" - Added footnote at the end of the report
	<i>Collateral Account Balance Report (CCMCA02)</i>	- Added a new section "Specific Cash Collateral On-hold" showing the details of long CNS positions cover by specific cash collateral
	<i>Participant Collateral Account Movement Report (CCMMV01)</i>	Added a new section "Specific Cash Collateral" showing the movement of specific cash collateral
	<i>Statement of Collateral Account (CCMDS01)</i>	- Added a new section "Specific Cash Collateral" showing the movement of confirmed specific cash collateral and pending specific cash collateral
	<i>Specific Cash Collateral Instruction Activity Report (CCMSC01)</i>	- Added the report description and report sample for the new CCMS report

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	<u>Section</u>	<u>Description</u>
	<i>Maintain Preferred Single Settlement Currency Activity Report (CCMPS01)</i>	- Added the report description and report sample for the new CCMS report
	4.6 Report Data File Layout <i>Statement of Collateral Account (CCMDS01)</i>	- Added a new section "Specific Cash Collateral" showing the movement of confirmed specific cash collateral and pending specific cash collateral
	5 Report Specifications <i>Posting / Collateralisation Result Report (CCMPY01/02)</i>	- Added a new section heading "Obligation Collateralisation Result (Non-cash Collateral First)" for HKSCC participants - Added a new section "Preferred Single Settlement Currency Conversion Result" showing the conversion of marks and margin payments from original currency into the preferred single settlement currency for marks and margin - Revised the section heading "Marks to be collected" to "Marks and Margin to be collected" - Added footnote at the end of the report -
	<i>Collateral Account Balance Report (CCMCA02)</i>	- Added a new section "Specific Cash Collateral On-hold" showing the details of long CNS positions cover by specific cash collateral
	<i>Participant Collateral Account Movement Report (CCMMV01)</i>	Added a new section "Specific Cash Collateral" showing the movement of specific cash collateral
	<i>Statement of Collateral Account (CCMDS01)</i>	- Added a new section "Specific Cash Collateral" showing the movement of confirmed specific cash collateral and pending specific cash collateral
	<i>Specific Cash Collateral Instruction Activity Report (CCMSC01)</i>	- Added the report specification of the new report
	<i>Maintain Preferred Single Settlement Currency Activity Report (CCMPS01)</i>	- Added the report specification of the new report
	6.2 CCMS Processing and Service Schedule	- Added deadline for submitting specific cash collateral instructions and intra-day Margin collateralisation process to the schedule -
	7.1.12 Specific Cash Collateral Maintenance	- Added a new CCMS maintenance service for specific cash collateral
	7.1.13 Preferred Single Settlement Currency Maintenance	Added a new CCMS maintenance service for preferred single settlement currency for marks and margin
	8.2.2 Enquire Collateral Account Balance	- Revised the sample screens for HKSCC participants - Added new field descriptions for free specific cash and on-hold specific cash related fields
	8.2.8 Enquire Specific Cash Collateral Account Movement	- Added a new CCMS enquiry service for specific cash collateral movement
August 2011	4.3 Report Description LIST OF REPORTS	- Added new sample reports for RMB stock options.
March 2011	4.2 List of Reports and Availability Schedule	- Added a column to indicate all reports are available via Overnight Report Distribution (ONRD)

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	<u>Section</u>	<u>Description</u>
	6.2 CCMS Processing and Service Schedule	<ul style="list-style-type: none"> - Revised the start time of the following functions from 10:00 a.m. to 9:30 a.m.: - CCASS-To-CCMS Stock Transfer Maintenance - CCMS-To-CCASS Stock Transfer Maintenance - General to Specific Stock Collateral Maintenance - Specific to General Stock Collateral Maintenance - CCMS-To-CCASS Cash Transfer Maintenance
	7.1.1 CCASS-To-CCMS Stock Transfer Maintenance	- Revised the start time of the function from 10:00 a.m. to 9:30 a.m.
	7.1.2 CCMS-To-CCASS Stock Transfer Maintenance	Revised the start time of the function from 10:00 a.m. to 9:30 a.m.
	7.1.3 General to Specific Stock Collateral Maintenance	- Revised the start time of the function from 10:00 a.m. to 9:30 a.m.
	7.1.4 Specific to General Stock Collateral Maintenance	- Revised the start time of the function from 10:00 a.m. to 9:30 a.m.
	7.1.5 CCMS-To-CCASS Cash Transfer Maintenance	- Revised the start time of the function from 10:00 a.m. to 9:30 a.m.
December 2010	1 Introduction	- Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	6.3 CCMS Terminal Backup Facilities	- Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix A Order Form for Smartcard Reader(s)	- Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix B (Smartcard Request Form for CCASS/CCMS User)	- Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix C (Report Loss of Smartcard)	- Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix D (User Profile for Delegated Administrator (DA))	- Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix E Request For Back-Up Facilities Form	- Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
July 2010	6.1 CCMS Terminal Requirements	<ul style="list-style-type: none"> - Updated software configuration of CCMS terminal specification to remove <ul style="list-style-type: none"> o MS Windows 2000 Professional o MS Windows XP Professional SP2 o Java Runtime Environment 1.3.0 o Internet Explorer 5.0 SP2 - Updated software configuration of CCMS terminal specification to include <ul style="list-style-type: none"> o MS Windows 7 Professional 32-bit o Java Runtime Environment 6.0u17 - Internet Explorer 8.0

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	<u>Section</u>	<u>Description</u>
May 2009	6.1 CCMS Terminal Requirements	- Updated software configuration of CCMS terminal specification
March 2009	1 Introduction	o Updated the contact to submit suggestions and comments about this Terminal User Guide
November 2008	6.3 CCMS Terminal Backup Facilities	Updated the availability of CCMS Terminal Backup Facilities at 8/F Vicwood Plaza for HKCC and SEOCH Participants
April 2008	2 CCMS System Overview	- Updated the new maintenance function "Participant Submitted Deposit/ Withdrawal Order"
	3.1 Access Control	- Updated the user access group for the new function "Participant Submitted Deposit/ Withdrawal Order"
	4.3 Report Description <i>Posting / Collateralisation Result Report (CCMPY01/02)</i>	- Added a new subsection "MARKS NOT TO BE COLLECTED ON DDMMYY DUE TO NO DDI GENERATION" to CCMPY02 - Updated the "MIN COH AMT (CCY)" column is applied to HKSCC Participants as well -
	<i>Participant Collateral Account Movement Report (CCMMV01)</i>	- Updated the movement type "WH" for approval and reject withdrawal order
	<i>Cash Collateral Deposit / Withdrawal Order Activity Report (CCMDW01)</i>	Removed the status "Validated"
	<i>Statement of Collateral Account (CCMDS01)</i>	- Updated the movement type "WH" for approval and reject withdrawal order
	5 Report Specifications <i>Posting / Collateralisation Result Report (CCMPY01/02)</i>	- Added a new subsection "MARKS NOT TO BE COLLECTED ON DDMMYY DUE TO NO DDI GENERATION" to CCMPY02 - Updated the "MIN COH AMT (CCY)" column is applied to HKSCC Participants as well -
	<i>Cash Collateral Deposit / Withdrawal Order Activity Report (CCMDW01)</i>	- Removed the status "Validated"
	7.1.6 Cash Collateral Deposit Order Maintenance	Updated the rejection of the cash deposit order can be done via the new function "Participant Submitted Deposit/ Withdrawal Order"
	7.1.8 Cash Collateral Withdrawal Order Maintenance	- Updated the rejection of the cash withdrawal order can be done via the new function "Participant Submitted Deposit/ Withdrawal Order"
	7.1.9a Participant Submitted Deposit/ Withdrawal Order	- A new section prepared for the new function to allow participants to reject cash deposit/ withdrawal order
	8.2.1 Enquire Deposit / Withdrawal Order	- Updated the statuses applicable for cash deposit/ withdrawal orders for Participants' rejection of the orders and automation of the validation of cash deposit/ withdrawal order -
	8.2.2 Enquire Collateral Account Balance	- Updated the description of Minimum ccc Contract Currency On-hold for HKSCC Participants
December 2007	2 CCMS System Overview	- Removed the requisition that a SEOCH Participant must be simultaneously a CCASS Participant if the SEOCH Participant appoints a GCP of CCASS.

HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log

Updated Date	<u>Section</u>	<u>Description</u>
	3.1 Access Control	- Refined the descriptions for the prefix of Cash Participant
December 2007 (Cont'd)	7.1.1 CCASS-TO-CCMS Stock Transfer Maintenance	Updated the functional descriptions that CCASS Participant can transfer CCASS stocks from its CCASS stock account to the CCMS collateral account of other SEOCH Participant which appointed it to clear and settle exercised options trades on its behalf.
	7.1.2 CCMS-TO-CCASS Stock Transfer Maintenance	<ul style="list-style-type: none"> - Removed the fields "CCASS Stock Collateral Control Account" and "CCASS Stock Collateral Control Account Quantity." - Added the field CCASS Designated Participant ID - Updated functional descriptions that non-CCASS Participant (e.g. SEOCH Participant) may appoint other CCASS Participant which clears and settles its exercised options trades on its behalf as its "Default CCASS Participant" to maintain its stocks in CCASS.
	8.1.2 View Circular	Removed the selection of "CCASS Broker Participants" and "CCASS Non-Broker Participants", and added the option of "CCASS Clearing Participants"
July 2007	3.1 Access Control	Housekept the section in relation to submission of "Order Form for Smartcard Reader(s)", Smartcard Request Form for CCASS/CCMS User" and "Report Loss of Smartcard" form.
	3.2 Security Management	Housekept the section in relation to submission of "User Profile for Delegated Administrator (DA)" form.
	3.3 Change Smartcard Password	Housekept the section in relation to submission of "User Profile for Delegated Administrator (DA)" form.
	7.1.1 CCASS-TO-CCMS Stock Transfer Maintenance	Revised the input length of CCASS Source Stock Account to 8 digits.
	7.1.2 CCMS-TO-CCASS Stock Transfer Maintenance	Revised the input length of CCASS Designated Stock Account to 8 digits.
	7.1.3 General To Specific Stock Collateral Maintenance	Updated the details for Available Function Time.
	Appendix A (Order Form for Smartcard Reader)	Updated the content of the form.
	Appendix B (Smartcard Request Form)	Updated the content of the form.
	Appendix C (Report Loss of Smartcard)	Updated the content of the form.
	Appendix D (User Profile for Delegated Administrator)	Updated the content of the form.
January 2007	6.3 CCASS Terminal Backup Facilities	Changed the address of Backup Centre.
	Appendix E (form for using Back-up Centre)	Changed the address of Backup Centre on the form.
January 2007	1 Introduction Page 1.2	Updated the contact details for suggestion and comments on the User Guide.

**HONG KONG EXCHANGES AND CLEARING LIMITED
CCMS TERMINAL USER GUIDE FOR PARTICIPANTS
Amendment Log**

Updated Date	<u>Section</u>	<u>Description</u>
	4.3 Report Description <i>Pages 4.3.1.1 to 4.3.1.6 Posting / Collateralisation Result Report (CCMPY01 / CCMPY02)</i>	Revised the report description and report sample to reflect the modification of the report
January 2007 (Cont'd)	5 Report Specifications <i>Posting / Collateralisation Result Report (CCMPY01 / CCMPY02)</i>	Updated the report specification of the <i>Posting / Collateralisation Result Report (CCMPY01 / CCMPY02)</i>
	6.1 CCMS Terminal Requirement	Revised the recommended PC configurations of a C3T
	6.3 CCMS Terminal Backup Facilities	Added the Backup Facilities request form as Appendix E
	8.2.2 Enquire Collateral Account Balance <i>Pages 8.2.2.2 and 8.2.2.9</i>	Removed the obsolete data fields : Earmarked Values at Firm Level and Participant Pool Level from the Enquire Collateral Account Balance screen
	Appendix A (order form for smartcard reader)	Changed the address for receiving the form
	Appendix E (form for using Back-up Centre)	Added the "Request for Backup Facilities Form" to use Backup Facilities