

## Special Enquire Functions

---

### FUNCTION NAME: ENQUIRE SPECIFIC CASH COLLATERAL MOVEMENT

#### WHEN TO USE:

- To enquire on the specific cash collateral movement activities for any collateral account upto the past 30 calendar days.

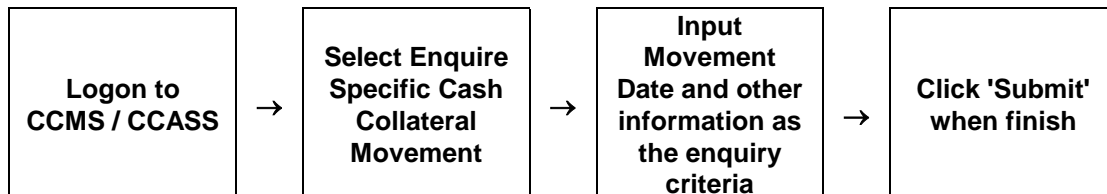
#### AVAILABLE FUNCTION TIME:

- Available from 9:00 a.m. to 7:00 p.m., Monday to Friday (except holiday).

#### FUNCTIONAL DESCRIPTION:

- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.
- The function allows enquiry on specific cash collateral movements for a particular stock on the selected day.

The access path for Enquire Specific Cash Collateral Movement is:



## ENQUIRE SPECIFIC CASH COLLATERAL MOVEMENT - Sample Screens

<div style="background-color: #e0e0e0; padding: 2px;">Mtn General To Specific Cash Collateral</div> <div style="background-color: #e0e0e0; padding: 2px;">CCMS Files Authorization</div> <div style="background-color: #e0e0e0; padding: 2px;">CCMS File Upload</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Specific To General Stock Collateral</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Specific Cash To General Collateral</div> <div style="background-color: #e0e0e0; padding: 2px;">Confirm for Payment</div> <div style="background-color: #e0e0e0; padding: 2px;">Maintain Margin Requirement</div> <div style="background-color: #e0e0e0; padding: 2px;">Maintain Payment Summary</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Preferred Single Stm Currency</div> <div style="background-color: #e0e0e0; padding: 2px;">Enquire Payment Batch Status</div> <div style="background-color: #e0e0e0; padding: 2px;">Confirm Payment Receipt Status</div> <div style="background-color: #e0e0e0; padding: 2px;">Enquire Collateral Account Balance</div> <div style="background-color: #e0e0e0; padding: 2px;">Enq Specific Cash Collateral Movement</div> <div style="background-color: #e0e0e0; padding: 2px;">Enquire Collateral Inventory</div> <div style="background-color: #e0e0e0; padding: 2px;">Enq Coll Acct to Trans Acct Relationship</div> <div style="background-color: #e0e0e0; padding: 2px;">Maintain Bank Master</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Stock/Qty Mapping and Conversion</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Bond/Stock Coll Valuation Parameters</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Currency Exchange Rate and Haircut</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Curr Interest and Retention Rate</div> <div style="background-color: #e0e0e0; padding: 2px;">Part Submitted</div> <div style="background-color: #e0e0e0; padding: 2px;">Deposit/Withdrawal Order</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn CCMS-To-CCASS Cash Transfer</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn CCMS-To-CCASS Stock Transfer</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Cash Collateral A/C Transfer Instr</div> <div style="background-color: #e0e0e0; padding: 2px;">Mtn Non-Cash Coll A/C Transfer Instr</div> <div style="background-color: #e0e0e0; padding: 2px;">Maintain EOT Collateral for Transfer</div>	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="background-color: #0056b3; color: white; padding: 5px 10px; border-radius: 3px;">Enquire Specific Cash Collateral Movement</div> <div> <a href="#" style="color: #0056b3; text-decoration: none; font-size: small;">Site Map</a>  <a href="#" style="color: #0056b3; text-decoration: none; font-size: small;">Announcement Information</a> </div> <div> <a href="#" style="color: #0056b3; text-decoration: none; font-size: small;">Broadcast Message</a>  <a href="#" style="color: #0056b3; text-decoration: none; font-size: small;">Change Password</a> </div> <div> <a href="#" style="color: #0056b3; text-decoration: none; font-size: small;">Report Download</a>  <a href="#" style="color: #0056b3; text-decoration: none; font-size: small;">Print</a>   <a href="#" style="color: #0056b3; text-decoration: none; font-size: small;">Logout</a> </div> <div style="text-align: right; font-size: x-small;">             B0047301              KCGE 02              02-Aug-12 17:12         </div> </div> <div style="background-color: #0056b3; color: white; padding: 2px 5px; margin-top: 5px;">Enquire Specific Cash Collateral Movement Detail</div> <div style="margin-top: 5px;"> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Event Date :</td> <td>25-SEP-12</td> </tr> <tr> <td>Firm ID :</td> <td>BF00473</td> </tr> <tr> <td>Participant ID :</td> <td>B00473</td> </tr> <tr> <td>Account Type :</td> <td>House</td> </tr> <tr> <td>Account Number :</td> <td>0001</td> </tr> <tr> <td>ISIN or Stock Code :</td> <td>KYG5213A1022 / 318</td> </tr> <tr> <td>Currency :</td> <td>HKD</td> </tr> </table> </div> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr style="background-color: #e0e0e0;"> <th>Coll Usage</th> <th>Date &amp; Time</th> <th>MV Type</th> <th>On-Hold SC</th> <th>Free SC</th> <th>Pending SC</th> <th>SC Collected</th> <th>Trade Date</th> <th>Settlement Date</th> <th>Tran Ref</th> <th>Remarks</th> <th>Update By</th> </tr> </thead> <tbody> <tr> <td>SPC</td> <td>31-Jul-12 15:08</td> <td>SO</td> <td>0.00</td> <td>0.00</td> <td>1,000.00</td> <td>0.00</td> <td>25-SEP-12</td> <td>03-OCT-12</td> <td></td> <td>SPECIFIC CASH CPI GENERATED</td> <td>PBCMCH03</td> </tr> <tr> <td>SPC</td> <td>31-Jul-12 16:00</td> <td>SM</td> <td>0.00</td> <td>1,000.00</td> <td>-1,000.00</td> <td>1,000.00</td> <td>25-SEP-12</td> <td>03-OCT-12</td> <td>0029</td> <td>SPECIFIC CASH CPI CONFIRMED</td> <td>PBCMFC03</td> </tr> <tr> <td>SPC</td> <td>31-Jul-12 19:39</td> <td>CO</td> <td>0.00</td> <td>0.00</td> <td>280,500.00</td> <td>0.00</td> <td>25-SEP-12</td> <td>03-OCT-12</td> <td></td> <td>SPECIFIC CASH DDI GENERATED</td> <td>PBCMML10</td> </tr> <tr> <td>SPC</td> <td>31-Jul-12 20:33</td> <td>CQ</td> <td>0.00</td> <td>-1,000.00</td> <td>0.00</td> <td>0.00</td> <td>25-SEP-12</td> <td>03-OCT-12</td> <td>0000000027151</td> <td>REFUND FREE SPECIFIC CASH</td> <td>PBCMGP14</td> </tr> </tbody> </table> <div style="text-align: center; margin-top: 5px;"> <a href="#" style="color: #0056b3; text-decoration: none; font-size: x-small;">Enquire Another Record</a> </div> <div style="text-align: right; margin-top: 10px;"> <a href="#" style="color: #0056b3; text-decoration: none; font-size: x-small;">Help</a> </div>	Event Date :	25-SEP-12	Firm ID :	BF00473	Participant ID :	B00473	Account Type :	House	Account Number :	0001	ISIN or Stock Code :	KYG5213A1022 / 318	Currency :	HKD	Coll Usage	Date & Time	MV Type	On-Hold SC	Free SC	Pending SC	SC Collected	Trade Date	Settlement Date	Tran Ref	Remarks	Update By	SPC	31-Jul-12 15:08	SO	0.00	0.00	1,000.00	0.00	25-SEP-12	03-OCT-12		SPECIFIC CASH CPI GENERATED	PBCMCH03	SPC	31-Jul-12 16:00	SM	0.00	1,000.00	-1,000.00	1,000.00	25-SEP-12	03-OCT-12	0029	SPECIFIC CASH CPI CONFIRMED	PBCMFC03	SPC	31-Jul-12 19:39	CO	0.00	0.00	280,500.00	0.00	25-SEP-12	03-OCT-12		SPECIFIC CASH DDI GENERATED	PBCMML10	SPC	31-Jul-12 20:33	CQ	0.00	-1,000.00	0.00	0.00	25-SEP-12	03-OCT-12	0000000027151	REFUND FREE SPECIFIC CASH	PBCMGP14
Event Date :	25-SEP-12																																																																										
Firm ID :	BF00473																																																																										
Participant ID :	B00473																																																																										
Account Type :	House																																																																										
Account Number :	0001																																																																										
ISIN or Stock Code :	KYG5213A1022 / 318																																																																										
Currency :	HKD																																																																										
Coll Usage	Date & Time	MV Type	On-Hold SC	Free SC	Pending SC	SC Collected	Trade Date	Settlement Date	Tran Ref	Remarks	Update By																																																																
SPC	31-Jul-12 15:08	SO	0.00	0.00	1,000.00	0.00	25-SEP-12	03-OCT-12		SPECIFIC CASH CPI GENERATED	PBCMCH03																																																																
SPC	31-Jul-12 16:00	SM	0.00	1,000.00	-1,000.00	1,000.00	25-SEP-12	03-OCT-12	0029	SPECIFIC CASH CPI CONFIRMED	PBCMFC03																																																																
SPC	31-Jul-12 19:39	CO	0.00	0.00	280,500.00	0.00	25-SEP-12	03-OCT-12		SPECIFIC CASH DDI GENERATED	PBCMML10																																																																
SPC	31-Jul-12 20:33	CQ	0.00	-1,000.00	0.00	0.00	25-SEP-12	03-OCT-12	0000000027151	REFUND FREE SPECIFIC CASH	PBCMGP14																																																																

Done
Local intranet | Protected Mode: Off

### DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
EVENT DATE	<ul style="list-style-type: none"> <li>- input the date to enquire on its collateral account movement activities.</li> <li>- the date can be as early as 30 calendar days ago.</li> <li>- valid date must be typed in one of the following formats: '22Oct12', '221012', '22-10-12' or '22/10/12'.</li> </ul>
FIRM ID	<ul style="list-style-type: none"> <li>- firm identity assigned by HKEX for linking multiple participants of the clearing houses.</li> </ul>
PARTICIPANT ID	<ul style="list-style-type: none"> <li>- participant identity assigned by HKEX.</li> </ul>
ACCOUNT TYPE	<ul style="list-style-type: none"> <li>- select the type of collateral account via pull down menu.</li> <li>- can be 'HOUSE', 'CLIENT' or 'MARKET MAKER'.</li> <li>- must be 'HOUSE' for CCASS participant.</li> </ul>
ACCOUNT NUMBER	<ul style="list-style-type: none"> <li>- input the account number of participant's collateral account of the account type on which details are going to be enquired.</li> <li>- must be '0001' for CCASS participant's 'HOUSE' collateral account.</li> </ul>

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
ISIN OR STOCK CODE	- input either the ISIN or stock code on which movement activities of the specific cash collateral are going to be enquired.
CURRENCY	- currency code of the ISIN or stock code input.
COLL USAGE	- display the usage of the collateral. - must be 'SPC' which means the specific cash collateral.
DATE & TIME	- display the movement date and the movement time.
MV TYPE	- display the type of movement activity CJ -- Specific Cash DDI Rejected CM -- Specific Cash DDI Confirmed CO -- Specific Cash DDI Generated CP -- Transfer On-hold Specific Cash CQ -- Refund Free Specific Cash SF -- Add General To Specific Cash SG -- Add Specific Cash To General SJ -- Specific Cash CPI Rejected SM -- Specific Cash CPI Confirmed SO -- Specific Cash CPI Generated
ON-HOLD SC	- display the confirmed on-hold specific cash collateral amount.
FREE SC	- display the confirmed free specific cash collateral amount.
PENDING SC	- display the on-hold and free specific cash collateral amount pending for collection.
SC COLLECTED	- display the collected amount of specific cash collateral.
TRADE DATE	- display the trade date of the stock.
SETTLEMENT DATE	- display the settlement date of the stock.
TRAN REF	- display the transaction reference number of the movement activity being enquired.
REMARKS	- display the remarks of the movement activity.
UPDATE BY	- display the ID of the user who performed the collateral movement activity.