Terminal Operations

FUNCTION NAME: **SPECIFIC TO GENERAL STOCK COLLATERAL MAINTENANCE**

WHEN TO USE:

- To change the usage of CCASS stock in a CCMS collateral account from specific collateral purpose to general collateral purpose.

AVAILABLE MAINTENANCE FUNCTION:

A. Add Specific To General Stock Collateral
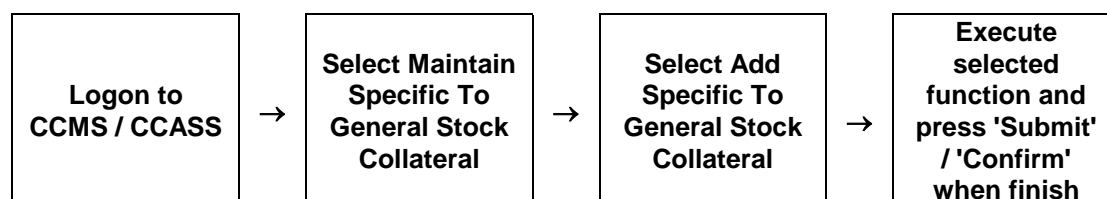To change part or all specific stock collateral as general stock collateral.

AVAILABLE FUNCTION TIME:

- Function available from 9:30 a.m. to 7:00 p.m. Monday to Friday (except holiday) with function temporary blocked-off (a few minutes) during the collateralisation process of any clearing house (e.g. around 11:10 a.m. for scheduled intra-day marks collateralisation of HKSCC, etc.).

FUNCTIONAL DESCRIPTION:

- Only CCASS Participant users can use this function to re-designate a specified quantity of CCASS stock in a specified CCMS collateral account from specific collateral purpose to general collateral purpose.

- If there is sufficient available quantity of specific stock collateral of the specified settlement date (i.e. stocks were intended for specific stock collateral purpose but were not actually put on-hold by CCMS), the change in usage is effective immediately upon successful input.

- The quantity re-designated as general stock collateral will be available for other purposes.

The access path for the specific to general stock collateral maintenance function is:

Logon to CCMS / CCASS	→	**Select Maintain Specific To General Stock Collateral**	→	**Select Add Specific To General Stock Collateral**	→	**Execute selected function and press 'Submit' / 'Confirm' when finish**

SPECIFIC TO GENERAL STOCK COLLATERAL MAINTENANCE – Sample Screen:

DESCRIPTION OF FIELDS:

Field	_Description/Format_
TRAN REF	- display the unique key assigned for the instruction.
FIRM ID	- display the FIRM ID of the initiating participant. - change not allowed.
PARTICIPANT ID	- display the Participant ID of the initiating participant. - change not allowed.
ACCOUNT TYPE	- use the pull down menu to select the type of collateral account in which stocks are to be maintained. - can be 'HOUSE', 'CLIENT' or 'MARKET MAKER'. - must be 'HOUSE' for CCASS participant.
ACCOUNT NUMBER	- input the account number of participant's collateral account of the account type which specific stock collateral is to be maintained. - must be '0001' for CCASS participant's 'HOUSE' collateral account.
ACCOUNT NAME	- display the name of the specified collateral account.

Field	Description/Format
ACCOUNT STATUS	- display the status of the specified collateral account. - must be 'ACTIVE' in order to be eligible for maintenance.
ISIN OR STOCK CODE	- input the ISIN / stock code of the CCASS stock for maintenance.
TOTAL AVAILABLE QUANTITY	- display the available quantity (in number of shares) of specific stock collateral of the specified settlement date in the collateral account for maintenance. - change not allowed.
QUANTITY	- input the quantity of shares to be changed from specific stock collateral to general stock collateral. - cannot exceed the total available quantity of specific stock collateral of the specified settlement date in the collateral account. - must be greater than zero.
SETTLEMENT DATE	- Settlement Date refers to the settlement date of which specific stock collateral was designated to cover its relevant short CNS position(s). As the amount of stocks previously designated as specific stock collateral may not have been put on-hold in full by CCMS, CCMS will identify the Total Available Quantity of specific stock collateral of the specified settlement date to facilitate participant's transfer activity.
REMARK	- for the optional input of remarks.