

Special Enquire Functions

FUNCTION NAME: **ENQUIRE COLLATERAL ACCOUNT**

WHEN TO USE:

- To enquire the details of participant's collateral accounts.

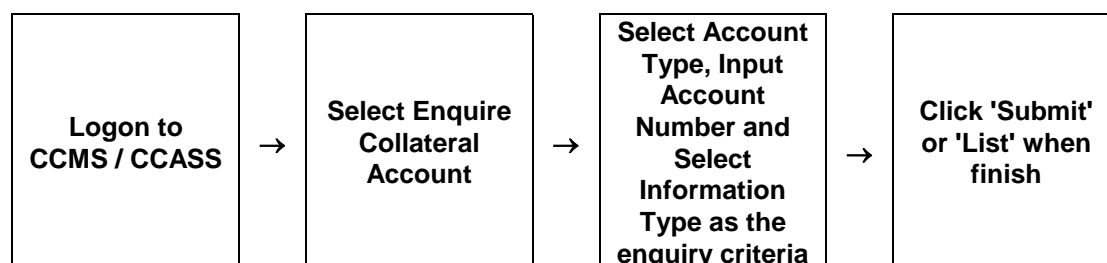
AVAILABLE FUNCTION TIME:

- Available from 9:00 a.m. till CCMS services close, Monday to Saturday (except holiday).

FUNCTIONAL DESCRIPTION:

- This is an enquiry function. Data cannot be entered or changed with this function.
- It allows enquiry on information such as collateral account set-up, related bank accounts, preferred settlement currency, standing withdrawal instructions, account retention rates and obligation multiplier.

The access path for Enquire Collateral Account is:



ENQUIRE COLLATERAL ACCOUNT - Sample Screens

Maintain Participant Maintain Collateral Account Maintain Collateral Master Mtn Cash Collateral Deposit Order Mtn Non-Cash Collateral Deposit Order Mtn Cash Collateral Withdrawal Order Mtn Non-Cash Collateral Withdrawal Order Enquire Deposit/Withdrawal Order Enquire Collateral Account Balance Enquire Collateral Inventory Enq Coll Acct to Trans Acct Mapping Mtn Currency Exchange Rate and Haircut Mtn Cash Collateral A/C Transfer Instr Mtn Non-Cash Coll A/C Transfer Instr Enq Coll Effective Haircut & Val Price Enquire Collateral Account Movement Enquire Int Cal Result / Accum Fee	Maintain Collateral Account		Site Map Announcement Information	Broadcast Message Change Password	Report Download Print Logout	MKABC1 KM3E 01 04-Dec-02 15:02
	Enquire / Enquire Pending Collateral Account Prompt					
	Action :	<input checked="" type="radio"/> Enquire Record <input type="radio"/> Enquire Pending				
	Firm ID:	BF00010 ABC EXAMPLE FIRM				
	Participant ID:	HKABC1				
	Account Type:	<input type="text" value="CLIENT"/>				
	Account Number :	<input type="text" value="0001"/> <input type="button" value="Submit"/>				
	Type:	<input type="text" value="Collateral Account Info"/>				
	<input type="button" value="List"/> <input type="button" value="Refresh"/>					
	Help					

Maintain Participant Maintain Collateral Account Maintain Collateral Master Mtn Cash Collateral Deposit Order Mtn Non-Cash Collateral Deposit Order Mtn Cash Collateral Withdrawal Order Mtn Non-Cash Collateral Withdrawal Order Enquire Deposit/Withdrawal Order Enquire Collateral Account Balance Enquire Collateral Inventory Enq Coll Acct to Trans Acct Mapping Mtn Currency Exchange Rate and Haircut Mtn Cash Collateral A/C Transfer Instr Mtn Non-Cash Coll A/C Transfer Instr Enq Coll Effective Haircut & Val Price Enquire Collateral Account Movement Enquire Int Cal Result / Accum Fee	Maintain Collateral Account		Site Map Announcement Information	Broadcast Message Change Password	Report Download Print Logout	MKABC1 KM3E 09 04-Dec-02 15:30
	Enquire / Enquire Pending Collateral Account Detail					
	Action :	Enquire Record				
	Type :	Collateral Account Info				
	Firm ID :	BF00010				
	Participant ID :	HKABC1				
	Account Type :	CLIENT				
	Account Number :	0001				
	Account Name :	HKCC CLIENT ACCOUNT EXAMPLE				
	Current Account Status :	ACTIVE				
	Default CCASS Participant ID :					
	Allowed to use Participant Pool :	No				
	Allowed to use Firm Pool :	No				
	Use only Cash Collateral :	No				
	Use only Non-Stock Collateral :	No				
Enquire Another Record Go To List						
Help						

Section 8.1.3

Enquire Collateral Account

Maintain Participant	Maintain Collateral Account	Site Map	Broadcast Message	Report Download	MKABC1				
Maintain Collateral Account		Announcement	Change	Print	Logout	KM3E 12			
Maintain Collateral Master		Information	Password	04-Dec-02 15:32					
Mtn Cash Collateral Deposit Order		Enquire / Enquire Pending Collateral Account List							
Mtn Non-Cash Collateral Deposit Order		Action :	Enquire Record						
Mtn Cash Collateral Withdrawal Order		Type :	Account Bank Info						
Mtn Non-Cash Collateral Withdrawal Order		Firm ID	Participant ID	Acct Type	Acct No	Currency	Bank Code	Bank A/C No	Bank A/C Name
Enquire Deposit/Withdrawal Order		BF00010	HKABC1	CLT	0001	HKD	003	09823454	HKD CLT EXAMPLE
Enquire Collateral Account Balance		BF00010	HKABC1	CLT	0001	USD	003	103948	USD CLT EXAMPLE
Enquire Collateral Inventory		Enquire Another Record							
Enq Coll Acct to Trans Acct Mapping	Help								
Mtn Currency Exchange Rate and Haircut									
Mtn Cash Collateral A/C Transfer Instr									
Mtn Non-Cash Coll A/C Transfer Instr									
Enq Coll Effective Haircut & Val Price									
Enquire Collateral Account Movement									
Enquire Int Cal Result / Accom Fee									

Maintain Participant	Maintain Collateral Account	Site Map	Broadcast Message	Report Download	MKABC1				
Maintain Collateral Account		Announcement	Change	Print	Logout	KM3E 16			
Maintain Collateral Master		Information	Password	04-Dec-02 15:33					
Mtn Cash Collateral Deposit Order		Enquire / Enquire Pending Collateral Account List							
Mtn Non-Cash Collateral Deposit Order		Action :	Enquire Record						
Mtn Cash Collateral Withdrawal Order		Type :	Preferred Settlement Currency						
Mtn Non-Cash Collateral Withdrawal Order		Firm ID	Participant ID	Acct Type	Acct No	Contract Currency	Preferred Settlement Currency		
Enquire Deposit/Withdrawal Order		BF00010	HKABC1	CLT	0001	JPY	USD		
Enquire Collateral Account Balance		BF00010	HKABC1	CLT	0001	KRW	USD		
Enquire Collateral Inventory		BF00010	HKABC1	CLT	0001	TWD	USD		
Enq Coll Acct to Trans Acct Mapping	Enquire Another Record								
Mtn Currency Exchange Rate and Haircut	Help								
Mtn Cash Collateral A/C Transfer Instr									
Mtn Non-Cash Coll A/C Transfer Instr									
Enq Coll Effective Haircut & Val Price									
Enquire Collateral Account Movement									
Enquire Int Cal Result / Accom Fee									

Section 8.1.3

Enquire Collateral Account

Maintain Participant	Maintain Collateral Account	Site Map	Broadcast Message	Report Download	MKABC1
Maintain Collateral Account		Announcement	Change	Print	KM3E 15
Maintain Collateral Master		Information	Password	Logout	04-Dec-02
Mtn Cash Collateral Deposit Order					15:36
Mtn Non-Cash Collateral Deposit Order	Enquire / Enquire Pending Collateral Account List				
Mtn Cash Collateral Withdrawal Order	Action :	Enquire Record			
Mtn Non-Cash Collateral Withdrawal Order	Type :	Standing Withdrawal Instruction (Intra-Day)			
Enquire Deposit/Withdrawal Order	Firm ID	Participant ID	Acct Type	Acct No	Currency
Enquire Collateral Account Balance	BF00010	HKABC1	CLIENT	0001	HKD
Enquire Collateral Inventory	Enquire Another Record				
Enq Coll Acct to Trans Acct Mapping					
Mtn Currency Exchange Rate and Haircut					
Mtn Cash Collateral A/C Transfer Instr					
Mtn Non-Cash Coll A/C Transfer Instr					
Enq Coll Effective Haircut & Val Price					
Enquire Collateral Account Movement					
Enquire Int Cal Result / Accom Fee					

Maintain Participant	Maintain Collateral Account	Site Map	Broadcast Message	Report Download	MKABC1	
Maintain Collateral Account		Announcement	Change	Print	KM3E 13	
Maintain Collateral Master		Information	Password	Logout	04-Dec-02	
Mtn Cash Collateral Deposit Order					15:38	
Mtn Non-Cash Collateral Deposit Order	Enquire / Enquire Pending Collateral Account List					
Mtn Cash Collateral Withdrawal Order	Action :	Enquire Record				
Mtn Non-Cash Collateral Withdrawal Order	Type :	Standing Withdrawal Instruction (Day-End)				
Enquire Deposit/Withdrawal Order	Firm ID	Participant ID	Acct Type	Acct No	Currency	Minimum Free Balance
Enquire Collateral Account Balance	BF00010	HKABC1	CLT	0001	HKD	3,000,000.00
Enquire Collateral Inventory	Enquire Another Record					
Enq Coll Acct to Trans Acct Mapping						Help
Mtn Currency Exchange Rate and Haircut						
Mtn Cash Collateral A/C Transfer Instr						
Mtn Non-Cash Coll A/C Transfer Instr						
Enq Coll Effective Haircut & Val Price						
Enquire Collateral Account Movement						
Enquire Int Cal Result / Accom Fee						

Section 8.1.3

Enquire Collateral Account

Maintain Participant Maintain Collateral Account Maintain Collateral Master Mtn Cash Collateral Deposit Order Mtn Non-Cash Collateral Deposit Order Mtn Cash Collateral Withdrawal Order Mtn Non-Cash Collateral Withdrawal Order Enquire Deposit/Withdrawal Order Enquire Collateral Account Balance Enquire Collateral Inventory Enq Coll Acct to Trans Acct Mapping Mtn Currency Exchange Rate and Haircut Mtn Cash Collateral A/C Transfer Instr Mtn Non-Cash Coll A/C Transfer Instr Enq Coll Effective Haircut & Val Price Enquire Collateral Account Movement Enquire Int Cal Result / Accom Fee	Maintain Collateral Account		Site Map Announcement Information	Broadcast Message Change Password	Report Download Print Logout	MKABC1 KM3E 14 04-Dec-02 15:40	
	Enquire / Enquire Pending Collateral Account List						
	Action :		Enquire Record				
	Type :		Account Retention Rate				
	Firm ID	Participant ID	Acct Type	Acct No	Currency	Usage	Retention Rate (%)
	BF00010	HKABC1	CLIENT	0001	HKD	GEN	0.500000
	Enquire Another Record						
	Help						

Maintain Participant Maintain Collateral Account Maintain Collateral Master Mtn Cash Collateral Deposit Order Mtn Non-Cash Collateral Deposit Order Mtn Cash Collateral Withdrawal Order Mtn Non-Cash Collateral Withdrawal Order Enquire Deposit/Withdrawal Order Enquire Collateral Account Balance Enquire Collateral Inventory Enq Coll Acct to Trans Acct Mapping Mtn Currency Exchange Rate and Haircut Mtn Cash Collateral A/C Transfer Instr Mtn Non-Cash Coll A/C Transfer Instr Enq Coll Effective Haircut & Val Price Enquire Collateral Account Movement Enquire Int Cal Result / Accom Fee	Maintain Collateral Account		Site Map Announcement Information	Broadcast Message Change Password	Report Download Print Logout	MKABC1 KM3E 17 04-Dec-02 15:42	
	Enquire / Enquire Pending Collateral Account List						
	Action :		Enquire Record				
	Type :		Obligation Multiplier				
	Firm ID	Participant ID	Acct Type	Acct No	Product	Obligation Multiplier	
	BF00010	HKABC1	CLIENT	0001	SOM	20.00%	
	Enquire Another Record						
	Help						

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
ACTION	- should check the 'Enquire Record' to enquire the record in effect.
FIRM ID	- firm identity assigned by HKEX for linking multiple participants of the clearing houses.
PARTICIPANT ID	- participant identity assigned by HKEX.
ACCOUNT TYPE	- select the type of collateral account via pull down menu. - can be 'HOUSE' for collateral accounts of participant itself, 'CLIENT' for collateral accounts of participant's clients, or 'MARKET MAKER' for collateral accounts of participant's market makers. - must be 'HOUSE' for CCASS participant.
ACCOUNT NUMBER	- input the account number of participant's collateral account of the account type on which details are going to be enquired. - must be '0001' for CCASS participant's 'HOUSE' collateral account.
TYPE	- select the type of collateral account information to be enquired via pull down menu: <ul style="list-style-type: none"> . Collateral Account Information; . Account Bank Information; . Preferred Settlement Currency; . Standing Withdrawal Instruction (Intra-Day); . Standing Withdrawal Instruction (Day-End); . Account Retention Rate; . Obligation Multiplier.
ACCOUNT NAME	- display the collateral account name.
CURRENT ACCOUNT STATUS	- display the current status of the collateral account. - either 'ACTIVE' or 'PENDING'.
DEFAULT CCASS PARTICIPANT ID	- display the default CCASS Participant ID of the collateral account who will handle the CCASS stock transfer on behalf of it (if applicable).
ALLOWED TO USE PARTICIPANT POOL	- indicate whether the collateral account is eligible for using the collateral kept in the participant level common pool collateral account. - <i>participant level common pool collateral account is reserved for future use.</i>

<u>Field</u>	<u>Description/Format</u>
ALLOWED TO USE FIRM POOL	<ul style="list-style-type: none"> - indicate whether the collateral account is eligible for using the collateral kept in the firm level common pool collateral account. - <i>firm level common pool collateral account is reserved for future use.</i>
USE ONLY CASH COLLATERAL	<ul style="list-style-type: none"> - indicate whether only cash collateral in the collateral account can be employed for collateral purpose.
USE ONLY NON-STOCK COLLATERAL	<ul style="list-style-type: none"> - indicate whether only non-stock collateral in the collateral account can be employed for collateral purpose (i.e. other than stock).
CURRENCY	<ul style="list-style-type: none"> - display the currency code of either the bank account, standing withdrawal instruction or retention rate being enquired.
BANK CODE	<ul style="list-style-type: none"> - display the bank code of the bank account being enquired.
BANK A/C NO	<ul style="list-style-type: none"> - display the corresponding bank account number of the collateral account (if applicable) to be used for money settlement in the currency involved.
BANK A/C NAME	<ul style="list-style-type: none"> - display the name of the bank account to be used for money settlement.
CONTRACT CURRENCY	<ul style="list-style-type: none"> - display the contract (original) currency of any obligation or collateral requirement.
PREFERRED SETTLEMENT CURRENCY	<ul style="list-style-type: none"> - display the currency to be used (if specified) for settlement of the corresponding contract currency.
CURRENCY (Intra-Day Standing Withdrawal Instruction)	<ul style="list-style-type: none"> - display if intra-day standing withdrawal instruction is set for the currency of the collateral account or not. - withdrawal instruction would be generated if there is excess free cash collateral or credited variation adjustment in the specified currency in according with the Rules and Procedures of HKCC. - applicable to HKCC only.
MINIMUM FREE BALANCE	<ul style="list-style-type: none"> - display the minimum free balance in the specified currency of the cash collateral required to be maintained in the collateral account, and the excess will be returned back to the participant.
USAGE	<ul style="list-style-type: none"> - display the usage of the cash collateral maintained in the collateral account.

<u>Field</u>	<u>Description/Format</u>
RETENTION RATE (%)	- display the retention rate of the cash collateral in the specified currency for that usage maintained in the collateral account
PRODUCT	- display the product code CASH -- CCASS cash market product SOM -- Stock Options market product EF3 -- Exchange Fund Note Futures market product FXC -- FTSE/Xinhua China 25 Index Futures and Options market product HHI -- Hang Seng China Enterprises Index Futures and Options market product HIBOR -- HIBOR Futures market product HSI -- HSI Futures and Options market product MHI -- Mini-HSI Futures and Options market product STOCK -- Stock Futures market product
OBLIGATION MULTIPLIER	- display the multiplier to be applied on the any obligation of the specified product.