Special Enquire Functions

FUNCTION NAME: ENQUIRE COLLATERAL ACCOUNT MOVEMENT

WHEN TO USE:

- To enquire on the collateral movement activities for any collateral account upto the past 30 calendar days.
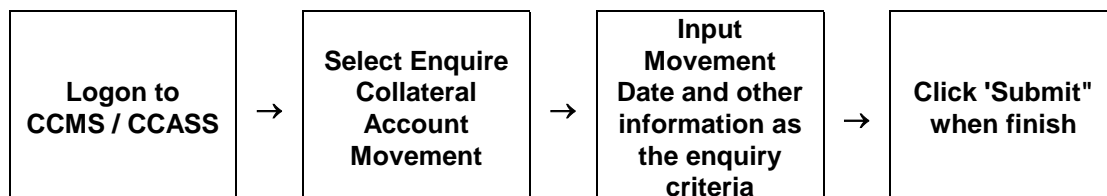
AVAILABLE FUNCTION TIME:

- This enquiry function is available from 9:00 a.m. till CCMS services close, Monday to Saturday (except holidays).

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 all collateral movements for a particular collateral on the selected day.

The access path for Enquire Collateral Account Movement is:

Logon to CCMS / CCASS	→	**Select Enquire Collateral Account Movement**	→	**Input Movement Date and other information as the enquiry criteria**	→	**Click 'Submit" when finish**

ENQUIRE COLLATERAL ACCOUNT MOVEMENT - Sample Screens

DESCRIPTION OF FIELDS:

Field	*Description/Format*
EVENT DATE	- input the date to enquire on its collateral account movement activities. - the date can be as early as 30 calendar days ago. - valid date must be typed in one of the following formats: '23JAN02', '230102', '23-01-02' or '23/01/02'.

INSTRUMENT GROUP	- select the group of collateral instrument via pull down menu:
	    . Bank Guarantee
	    . Bond
	    . Cash
	    . CCASS Stock
	    . Non-CCASS Stock

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', '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 on which details are going to be enquired. - must be '0001' for CCASS participant's 'HOUSE' collateral account.
ISIN / STOCK CODE / BANK CODE / CURRENCY	- input either the ISIN, stock, bank or currency code on which movement activities of the collateral are going to be enquired.
DEPOSITORY	- display the code of depository in which the collateral is being held: CDP -- CCASS Central Depository CLS -- Clearstream Banking CMU -- Central Moneymarket Unit of HKMA N/A -- HKEX or its Clearing Houses

Field	Description/Format
COLL USAGE	- display the usage of the collateral. DEP -- Depository services related GEN -- General collateral 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 EMK -- EOT Marks EMG -- EOT Margin OCA -- Other Specific Use Collateral Type A OCB -- Other Specific Use Collateral Type B OCC -- Other Specific Use Collateral Type C OCD -- Other Specific Use Collateral Type D OCE -- Other Specific Use Collateral Type E OCF -- Risk Collateral / Additional Margin for Guarantee / Reserve Fund RKC -- Risk Limit related CCO -- Contract Currency On-hold SPC -- Specific Cash Collateral SPS -- Specific Stock Collateral MTD -- Mainland Settlement Deposit (Shanghai) MCD -- Mainland Security Deposit (Shanghai) 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) ASC -- A-share collateral
DATE AND TIME	- display the date and time of the movement activities being enquired

Field	Description/Format
MV TYPE	- display the type of movement activity. AF -- Accommodation Fee CA -- Corporate Actions CH -- Shareholding Removal CJ -- SCC Deposit Rejection via DDI CM -- SCC Deposit Confirmation via DDI CO -- Confirm Specific Cash Collateral Payment Generation via DDI CP -- Transfer On-hold SCC from CCMS to CCASS CS -- Cash Settlement Ledger Posting CQ -- Refund Confirmed Free SCC from CCMS to CCASS DC -- Deposit Confirmation DI -- DDI Generation for settlement DP -- Non-cash Deposit DR -- DDI Rejection for Outstanding Debit EF -- EOT Marks and Margin Transfer ER -- DDI Rejection for Deposit (General or Special Use) ET -- Covered Shares Transfer for EOT FE -- Fees from DCASS for HKCC and SEOCH HC -- Marks/Margin Shortfall Payment Confirmation HI -- Marks/Margin Shortfall HR -- Marks/Margin Shortfall Payment Reject IN -- Interest on Collateral LF -- Ledger Transfer (from CCASS to CCMS) LT -- Ledger Transfer (from CCMS to CCASS) MG -- Margin from DCASS for HKCC or SEOCH MP -- Manual Posting MR -- Margin Refund MT -- CCMS to Money Ledger Transfer PC -- Deposit Confirmation PI -- Confirm Deposit Instruction Generation PR -- Premium from DCASS for SEOCH RO -- Release Specific Stock (from on-hold to general collateral) RX -- Refund excess Special-Use collateral for Stock Connect SB -- Specific Stock To-Be-Released Quantity Release SD -- Specific Stock Definition (from general to specific) SF -- Add General Cash Collateral to Confirmed Free SCC SG -- Transfer Confirmed On-hold / Free SCC to General Cash Collateral SJ -- SCC Deposit Rejection via CPI SM -- SCC Deposit Confirmation via CPI SN -- Settlement Process SO -- Confirm Specific Cash Collateral Payment Generation via CPI SR -- Specific Stock / Cash Release (from specific to general) TA -- Collateral Transfer Instruction TI -- Payment Transfer Instruction UP -- Special Use Pledge
	UR -- Special Use Release US -- Underlying Settlement Ledger Posting VC -- Covered Call Request VA -- Variation Adjustment from DCASS for HKCC WH -- Collateral Withdrawal WI -- Collateral Ad hoc Withdrawal

Field	*Description/Format*
CUSTOMER ACCOUNT	- The corresponding customer account of DCASS, and not applicable to CCASS.
SETTLEMENT DATE	- display the due date for settlement using the specific stock collateral. - applicable to HKSCC only.
QTY	- display the quantity of the collateral involved in the movement activity being enquired.
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.
CONFIRMED AMOUNT	- display the cash amount that was confirmed as 'good and clear' fund.
OUTSTANDING DEBIT	- display the amount of outstanding debt that is going to be collected.
PENDING DDI	- display the amount of the pending DDI that was being collected, and waiting for confirmation.
DCI SENT	- display the amount of the DCI sent.
DDI COLLECTED	- display the amount of the DDI that had just been confirmed as 'good and clear' fund.