

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.

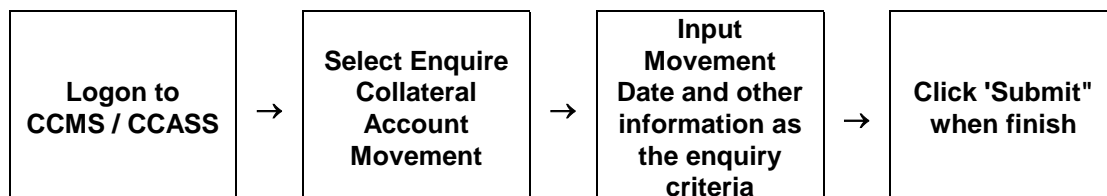
AVAILABLE FUNCTION TIME:

- 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:



ENQUIRE COLLATERAL ACCOUNT MOVEMENT - Sample Screens

<ul style="list-style-type: none"> General Enquiries Enq Settlement Act / Status Stock Borrowing / Lending SBL Bulletin Board Maintain Firm Maintain Participant Maintain Collateral Account Mtn Tran A/C to Collateral A/C Mapping Maintain Static Data Master Maintain Collateral Master Maintain Sec Type Master Maintain Global Parameters Maintain Eligible Instrument Group Maintain Haircut Group Rate Maintain Clearing House Payment Info Maintain Calendar Maintain Function Time Mtn Cash Collateral Deposit Order 	<div style="text-align: right;">H00001 HKSCC CCMSDIT KMPE 05 26-Feb-03 12:27</div> <p>Enquire Collateral Account Movement</p> <p style="text-align: right;"> Site Map Broadcast Message Report Download Part List Stock List Announcement Information Stm Position Change Participant Change Password Print Logout </p> <p>Enquire Collateral Account Movement Detail</p> <p>Event Date : 07-OCT-02 Instrument Group : CCASS Stock Firm ID : BF06801 Participant ID : B06801 Account Type : House Account Number : 0001 Stock Code : 8 ISIN : HK0000009653</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Depository</th> <th>Coll Usage</th> <th>Date & Time</th> <th>MV Type</th> <th>Customer Account</th> <th>Settlement Date</th> <th>Qty</th> <th>Tran Ref</th> <th>Remarks</th> <th>Update By</th> </tr> </thead> <tbody> <tr> <td colspan="10" style="text-align: center;">Enquire Another Record</td> </tr> </tbody> </table> <p style="color: red; text-align: center;">C0184 BOTTOM OF LIST</p> <p style="text-align: right;">Help</p>	Depository	Coll Usage	Date & Time	MV Type	Customer Account	Settlement Date	Qty	Tran Ref	Remarks	Update By	Enquire Another Record									
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<ul style="list-style-type: none"> 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 	<div style="text-align: right;">03-Dec-0</div> <p>Enquire Collateral Account Movement</p> <p style="text-align: right;"> Site Map Broadcast Message Report Download Announcement Information Change Password Print Logout </p> <p>Enquire Collateral Account Movement Detail</p> <p>Event Date : 10-OCT-02 Instrument Group : Cash Firm ID : BF00010 Participant ID : HKABC1 Account Type : Client Account Number : 0001 Currency : HKD</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Coll Usage</th> <th>Date & Time</th> <th>MV Type</th> <th>Confirmed Amount</th> <th>Outstanding Debit</th> <th>Pending DDI</th> <th>DCI Sent</th> <th>DDI Collected</th> <th>Tran Ref</th> <th>Remarks</th> <th>Upd</th> </tr> </thead> <tbody> <tr> <td>GEN</td> <td>14-Nov-02 11:51</td> <td>VA</td> <td style="text-align: right;">-19,000,000.00</td> <td></td> <td></td> <td></td> <td></td> <td>0</td> <td>CB: 301129. HSI VA LG DR</td> <td>PBC</td> </tr> <tr> <td>GEN</td> <td>02-Dec-02 17:03</td> <td>TA</td> <td style="text-align: right;">100,000.00</td> <td></td> <td></td> <td></td> <td></td> <td>0000000412099</td> <td>CASH TRANSFER EXAMPLE</td> <td>CKA</td> </tr> <tr> <td colspan="3" style="text-align: right;">Total :</td> <td style="text-align: right;">-18,900,000.00</td> <td style="text-align: right;">0.00</td> <td style="text-align: right;">0.00</td> <td style="text-align: right;">0.00</td> <td style="text-align: right;">0.00</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p style="text-align: center;">Enquire Another Record</p>	Coll Usage	Date & Time	MV Type	Confirmed Amount	Outstanding Debit	Pending DDI	DCI Sent	DDI Collected	Tran Ref	Remarks	Upd	GEN	14-Nov-02 11:51	VA	-19,000,000.00					0	CB: 301129. HSI VA LG DR	PBC	GEN	02-Dec-02 17:03	TA	100,000.00					0000000412099	CASH TRANSFER EXAMPLE	CKA	Total :			-18,900,000.00	0.00	0.00	0.00	0.00			
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DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
EVENT DATE	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - select the group of collateral instrument via pull down menu: <ul style="list-style-type: none"> . Bank Guarantee . Bond . Cash . CCASS Stock . Non-CCASS Stock
FIRM ID	<ul style="list-style-type: none"> - firm identity assigned by HKEX for linking multiple participants of the clearing houses.
PARTICIPANT ID	<ul style="list-style-type: none"> - participant identity assigned by HKEX.
ACCOUNT TYPE	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - input either the ISIN, stock, bank or currency code on which movement activities of the collateral are going to be enquired.
DEPOSITORY	<ul style="list-style-type: none"> - display the code of depository in which the collateral is being held: <ul style="list-style-type: none"> CDP -- CCASS Central Depository CLS -- Clearstream Banking CMU -- Central Moneymarket Unit of HKMA N/A -- HKEX or its Clearing Houses

<u>Field</u>	<u>Description/Format</u>
COLL USAGE	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - display the date and time of the movement activities being enquired

<u>Field</u>	<u>Description/Format</u>
MV TYPE	<ul style="list-style-type: none"> - 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
	<ul style="list-style-type: none"> 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

<u>Field</u>	<u>Description/Format</u>
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.