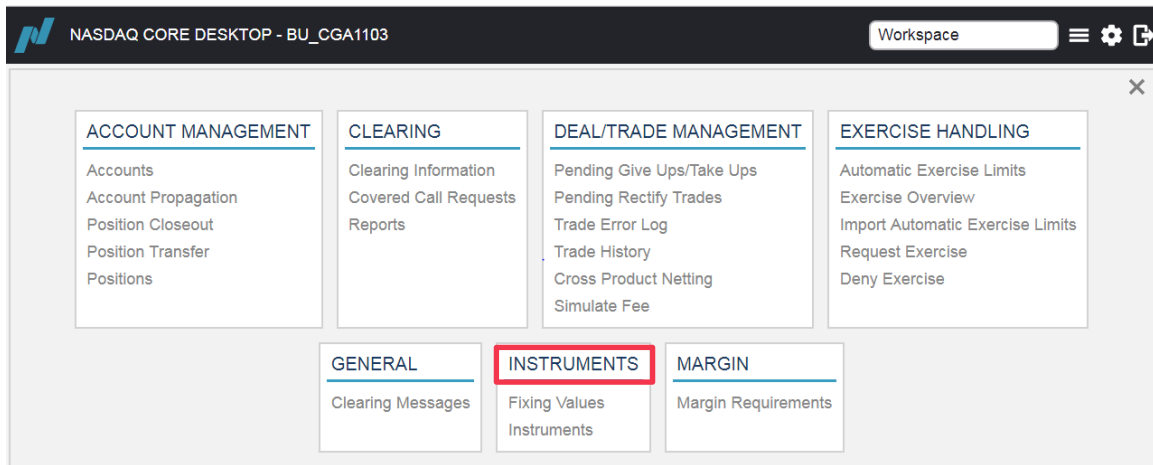


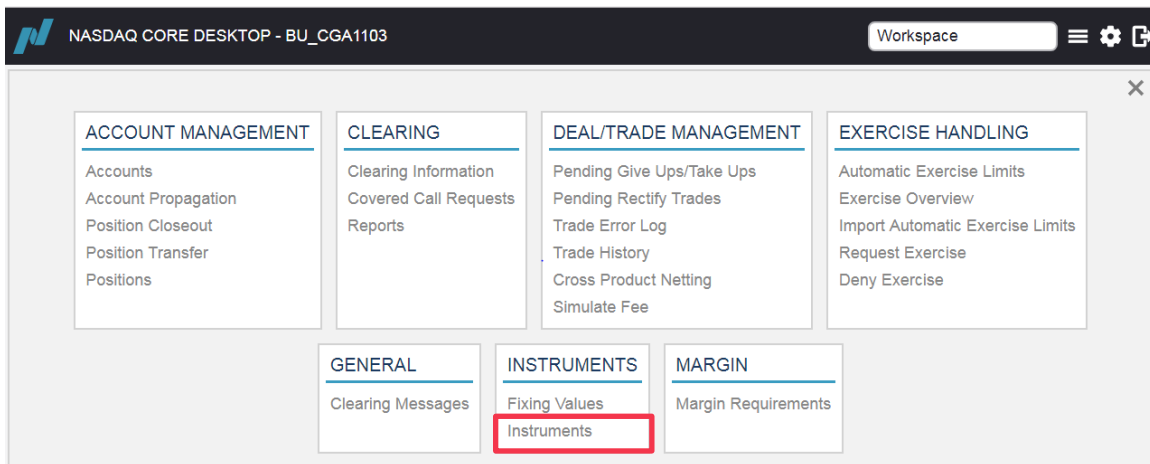
6 Instrument

The “Instruments” category provides information on the traded instrument, markets and other information such as underlying and fixing values.



6.1 Instrument Information

The “Instruments” view displays information on the available instrument. It can be accessed directly in the “Instruments” category.



Generic filters are used for searching in this field and * wildcard can be used to perform the search. The “Instruments” view can be used to target search instrument that fit the selection criteria e.g. the underlying, instrument group and expiration date.

General view

INSTRUMENT	STRIKE PRICE	EXPIRATION DATE	STATUS	CONTRACT SIZE	INSTRUMENT GROUP	LAST TRADING TIME	NEW CONTRACT SIZE	NOTATION DATE	STOPPED	UNDERLYING
HEX295.00R9	295.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		8/1/18		HEX
HEX290.00R9	290.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX285.00R9	285.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX280.00R9	280.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX275.00R9	275.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX270.00R9	270.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX265.00R9	265.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX260.00R9	260.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX255.00R9	255.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX250.00R9	250.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX245.00R9	245.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX240.00R9	240.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX235.00R9	235.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX230.00R9	230.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX225.00R9	225.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX220.00R9	220.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX215.00R9	215.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX210.00R9	210.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX205.00R9	205.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX200.00R9	200.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX197.50R9	197.50	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX195.00R9	195.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX192.50R9	192.50	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX190.00R9	190.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX187.50R9	187.50	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX185.00R9	185.00	6/27/19	Active	100	AMERICAN PUT OPTIONS	6/27/2019 4:00:00 PM		7/3/18		HEX
HEX400.00O9	400.00	3/28/19	Active	100	AMERICAN PUT OPTIONS	3/28/2019 4:00:00 PM		2/28/18		HEX
HEX390.00O9	390.00	3/28/19	Active	100	AMERICAN PUT OPTIONS	3/28/2019 4:00:00 PM		2/28/18		HEX

For standard combo and tailor-made combo instrument (TMC) shown in the “Instruments” view, refer to the related trade leg instrument.


INSTRUMENT	STRIKE PRICE	EXPIRATION DATE	STATUS	CONTRACT SIZE	INSTRUMENT GROUP	LAST TRADING TIME	NEW CONTRACT SIZE	NOTATION DATE	STOPPED	UNDERLYING
HSIQ8/H9			Active			8/30/2018 4:00:00 PM				
HSIU8/H9			Active			9/27/2018 4:00:00 PM				
HSIQ8/Z8			Active			8/30/2018 4:00:00 PM				
HSIZ8/H9			Active			12/28/2018 4:00:00 PM				
HSIU8/Z8			Active			9/27/2018 4:00:00 PM				
HSIQ8/U8			Active			8/30/2018 4:00:00 PM				

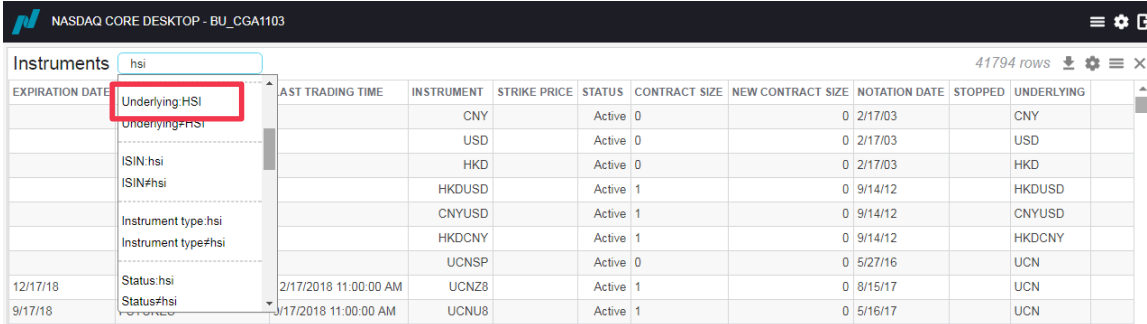
List Columns


Field	Description
Expiration Date	Display the date on which the instrument will expire. In case of whole day typhoon or other scenarios when the last trading day needs to be adjusted, the expiration date of instrument would be updated accordingly.
Instrument Group	Display the instrument group to which the instrument belongs
Last Trading Time	Display the time after which the instrument can no longer be traded
New Contract Size	Display the new number of units of underlying per contract in case of capital adjustment (for stock options and stock futures instrument only)
Notation Date	Display the date on which the instrument was introduced to the market
Instrument	Display the name of the instrument
Status	<p>Display the current status of the instrument:</p> <p>Active The instrument is active; it can be either expired or not expired (The system will keep expired instrument for 30 days such that users can check their information)</p> <p>Suspended The instrument is temporarily deactivated</p> <p>Stopped The instrument is issued as a new calculated instrument and no longer being traded</p> <p>Deleted The instrument is deleted; it cannot be reactivated</p> <p>Locked The instrument is locked and all post trade transaction are prohibited and temporarily suspended</p>
Strike Price	Display the instrument's strike price
Underlying	Display the underlying of the instrument
Contract Size	Display number of underlyings in a contract

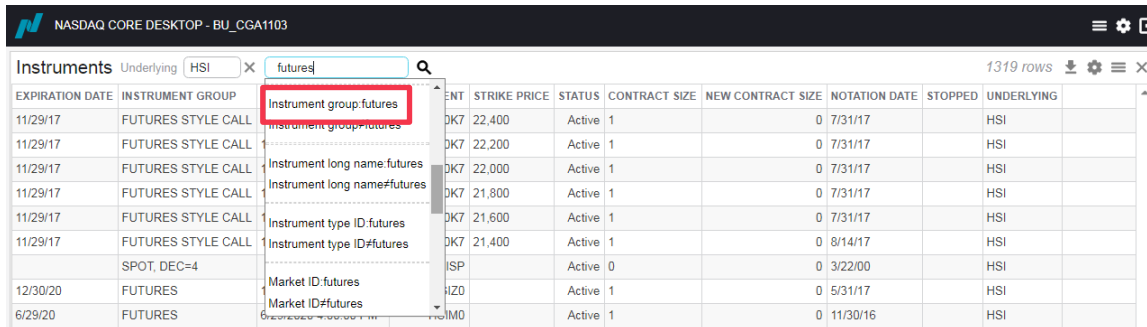
Note: For the instrument naming convention, please refer to “HKATS User Guide”, if applicable.

6.1.1 Instrument Enquiry

1. Enter the first criterion (e.g. Underlying) in the generic filter, then select the desired option and click <search>  to retrieve the shortlisted result.

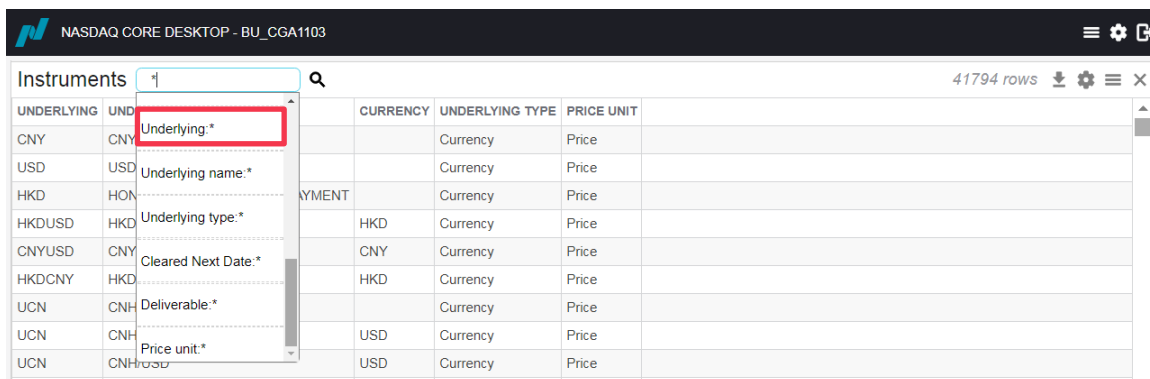


2. To filter the shortlisted result, enter another criterion (e.g. Instrument Group, expiration date) and click <search> .



6.1.2 Underlying Information Enquiry

View underlying information by selecting the appropriate list columns (please refer to the “List Columns” table below) and inputting wildcard * or specifying details of the underlying in the generic filter.



List Columns

Field	Description
Currency	Display the trading currency of the underlying
Price Unit	Display price unit: 1. price 2. yield 3. points 4. IMM index 5. yield difference 6. basis points 7. inverted yield
Underlying	Display the underlying code
Underlying Name	Display the full name of the underlying
Underlying Type	Display the type of underlying: Stock Stock Index Currency Interest Rate

6.1.3 Clearing Date Enquiry

View clearing date by selecting the appropriate list columns (please refer to the “List Columns” table below) and inputting wildcard * or specifying the clearing date in the generic filter.

The screenshot shows the 'Instruments' table in the NASDAQ CORE DESKTOP. The table has columns: INSTRUMENT TYPE ID, INSTRUMENT TYPE, PREVIOUS CLEARING DATE, CLEARING DATE, NEXT CLEARING DATE, and CLEARED NEXT DATE. A red box highlights the 'CLEARED NEXT DATE' column for rows with instrument types HSI CALL OPTION.

INSTRUMENT TYPE ID	INSTRUMENT TYPE	PREVIOUS CLEARING DATE	CLEARING DATE	NEXT CLEARING DATE	CLEARED NEXT DATE
HSIP	HSI PUT OPTION	2/21/18	2/27/18	3/2/18	
HSIP	HSI PUT OPTION	2/21/18	2/27/18	3/2/18	
HSIP	HSI PUT OPTION	2/21/18	2/27/18	3/2/18	
HSIP	HSI PUT OPTION	2/21/18	2/27/18	3/2/18	
HSIP	HSI PUT OPTION	2/21/18	2/27/18	3/2/18	
HSIP	HSI PUT OPTION	2/21/18	2/27/18	3/2/18	
HSIC	HSI CALL OPTION	2/21/18	3/2/18	3/2/18	Yes
HSIC	HSI CALL OPTION	2/21/18	3/2/18	3/2/18	Yes
HSIC	HSI CALL OPTION	2/21/18	3/2/18	3/2/18	Yes
HSIC	HSI CALL OPTION	2/21/18	3/2/18	3/2/18	Yes
HSIC	HSI CALL OPTION	2/21/18	3/2/18	3/2/18	Yes
HSIC	HSI CALL OPTION	2/21/18	3/2/18	3/2/18	Yes

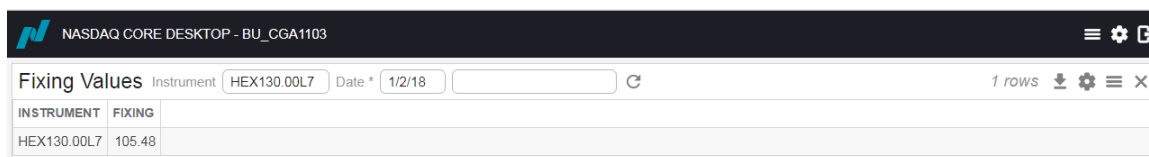
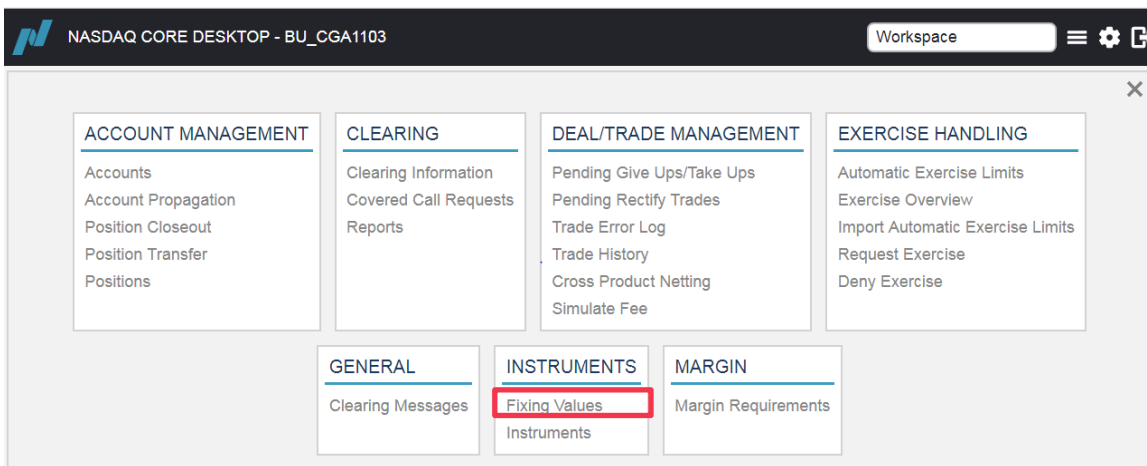
List Columns

Field	Description
Instrument Type ID	Display the identifier of the instrument type
Instrument Type	Display the instrument type
Previous Clearing	Display previous clearing date

Field	Description
Date	
Clearing Date	Display the clearing date for newly executed trade at that moment. Clearing Participants should enquire this column for tradable instruments only.
Next Clearing Date	Display the next clearing date
Cleared Next Day	“Yes” is shown if transition to session state marked with “Trades are Cleared Next Day” have occurred. Clearing Participants should enquire this column for tradable instruments only.

6.2 Fixing Values

The “Fixing Values” view displays the fixing values for all instruments. Only available after the official fixing values are set by the Clearing House. Fixing values are the official end-of-day settlement prices used by the Clearing House for settlement and margining purposes. It can be accessed directly in the Instruments category.



Fixing values for specific instrument or dates can be retrieved by input the filtering criteria.

*Note: Wildcard * cannot be used for this view.*