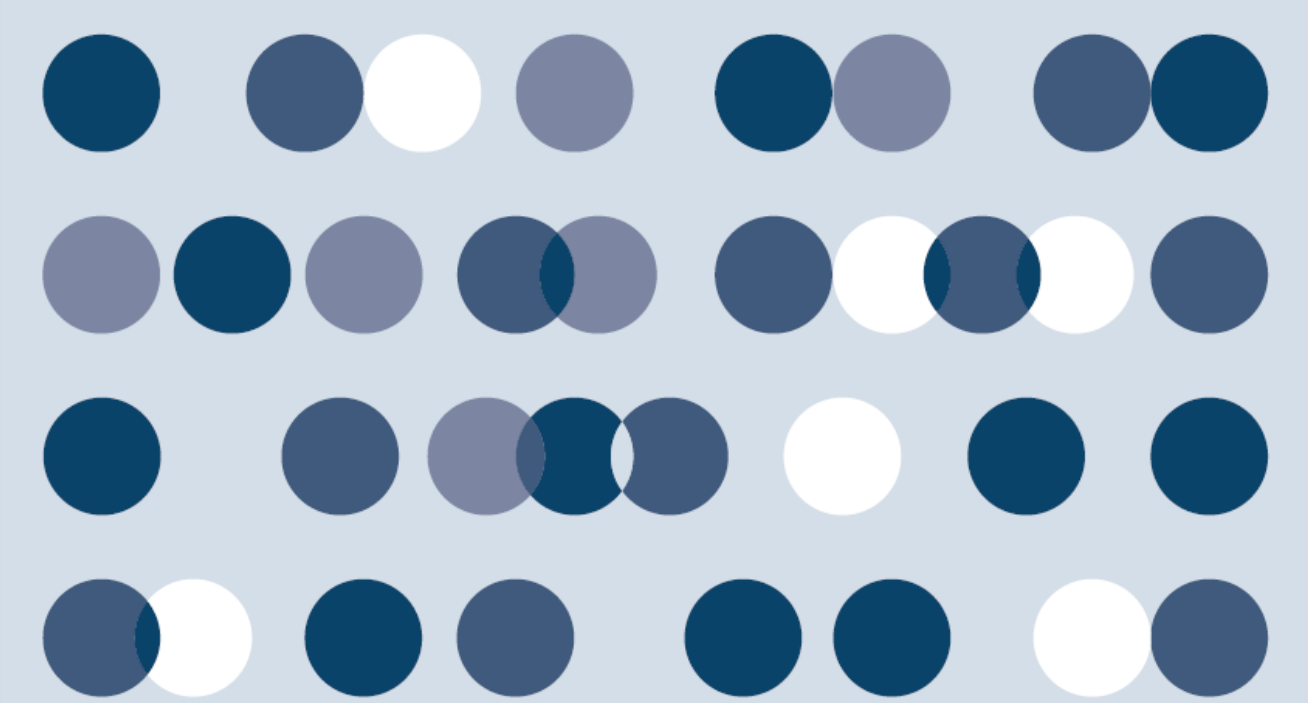
April 2020

OTC CLEARING HONG KONG LIMITED

OTC ACCOUNT SERVICES INFORMATION SYSTEM ("OASIS) WEB PORTAL USER MANUAL

PART III – OASIS COLLATERAL MANAGEMENT PORTAL



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Amendment Log

Updated Date	Document / Section	Description
May 2014	Part III	- Update the screenshots for Part III to reflect system upgrade/new features
April 2016		- Update the HKEx logo
Oct 2016	Part III, Section 1.3	- Update Home Page layout for new Access Group selfservice_limitenq" and "selfservice_loginonly"
Apr 2019	Part III, Section 2.4	- Update the function available time
Apr 2020	Part III, Section 1.1.3	- Add section of Failure of Portal

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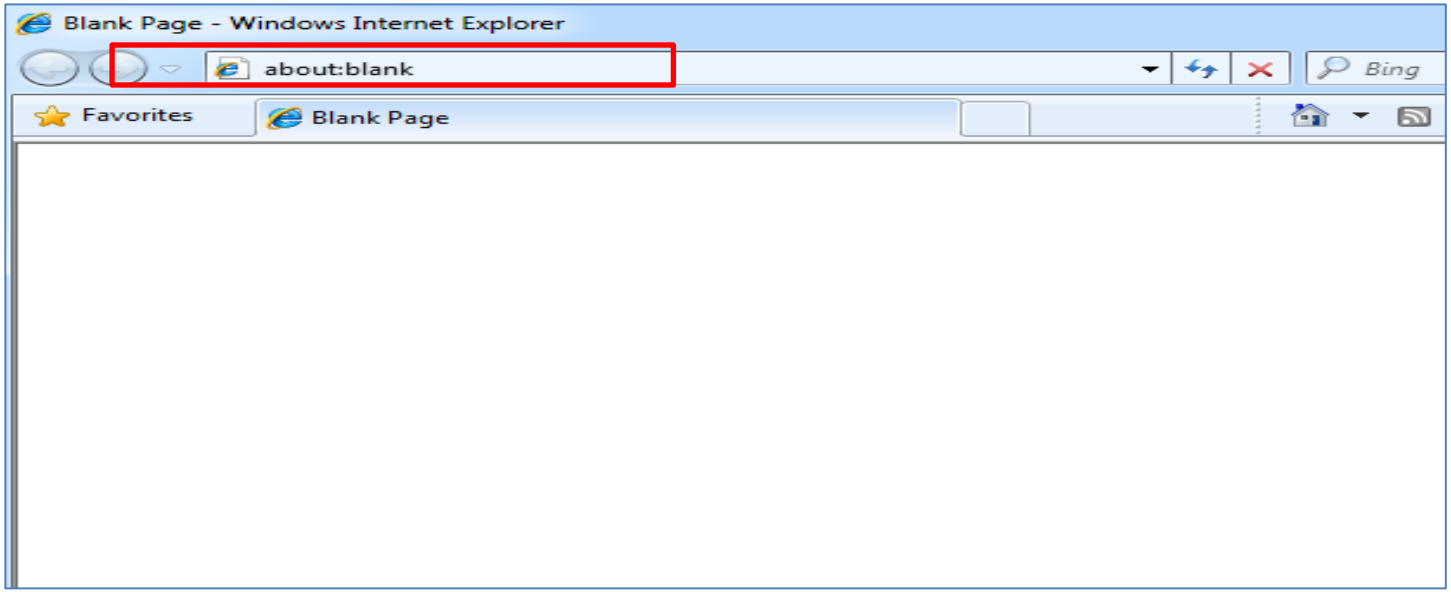
1. Getting Started

1.1. Logon and Logoff

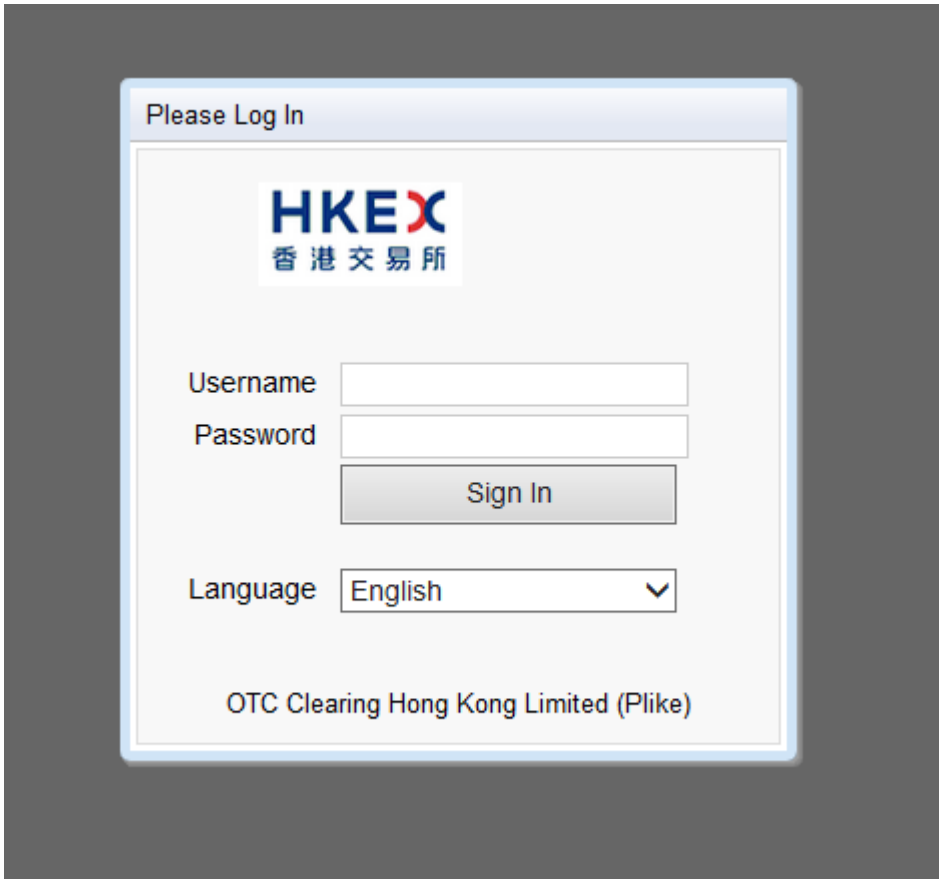
This section explains the procedures for connecting to and dis-connecting from Portal (i.e. **logon** and **logoff** the Web Portal).

1.1.1. Portal Logon

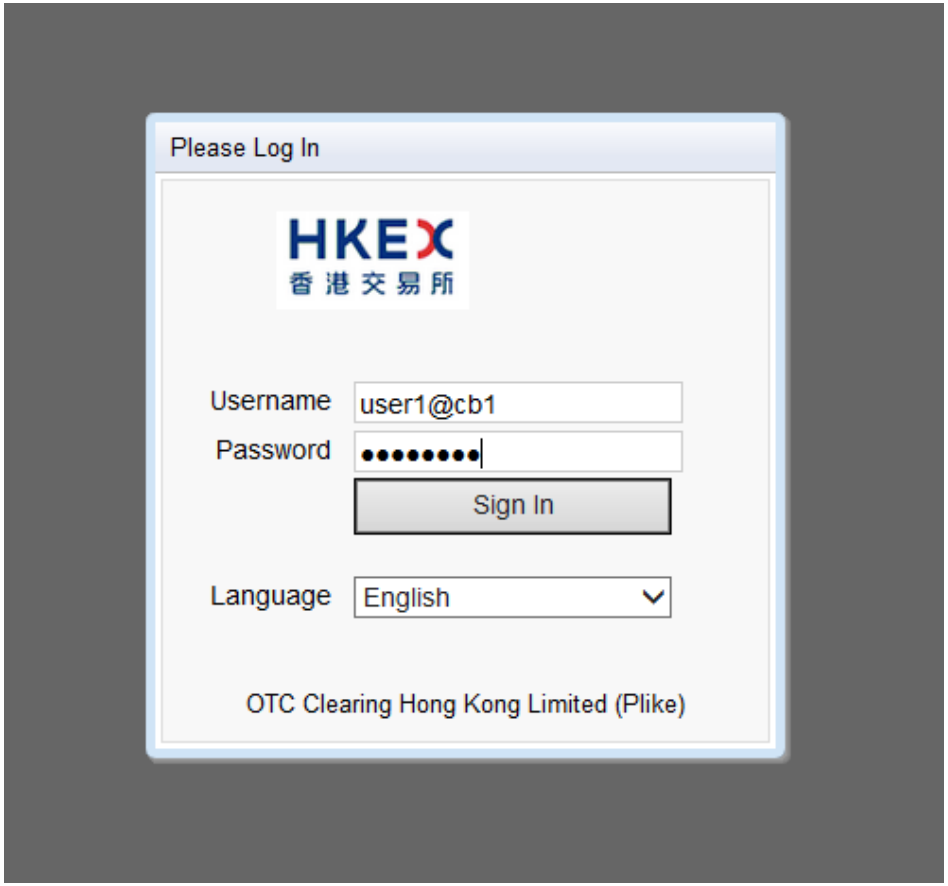
1. Launch Internet Explorer
2. Type Portal URL [http://www.otcclearinghk.com/eSelfService] into the box next to the address field and press Enter key in the keyboard



3. The following login screen will be displayed.

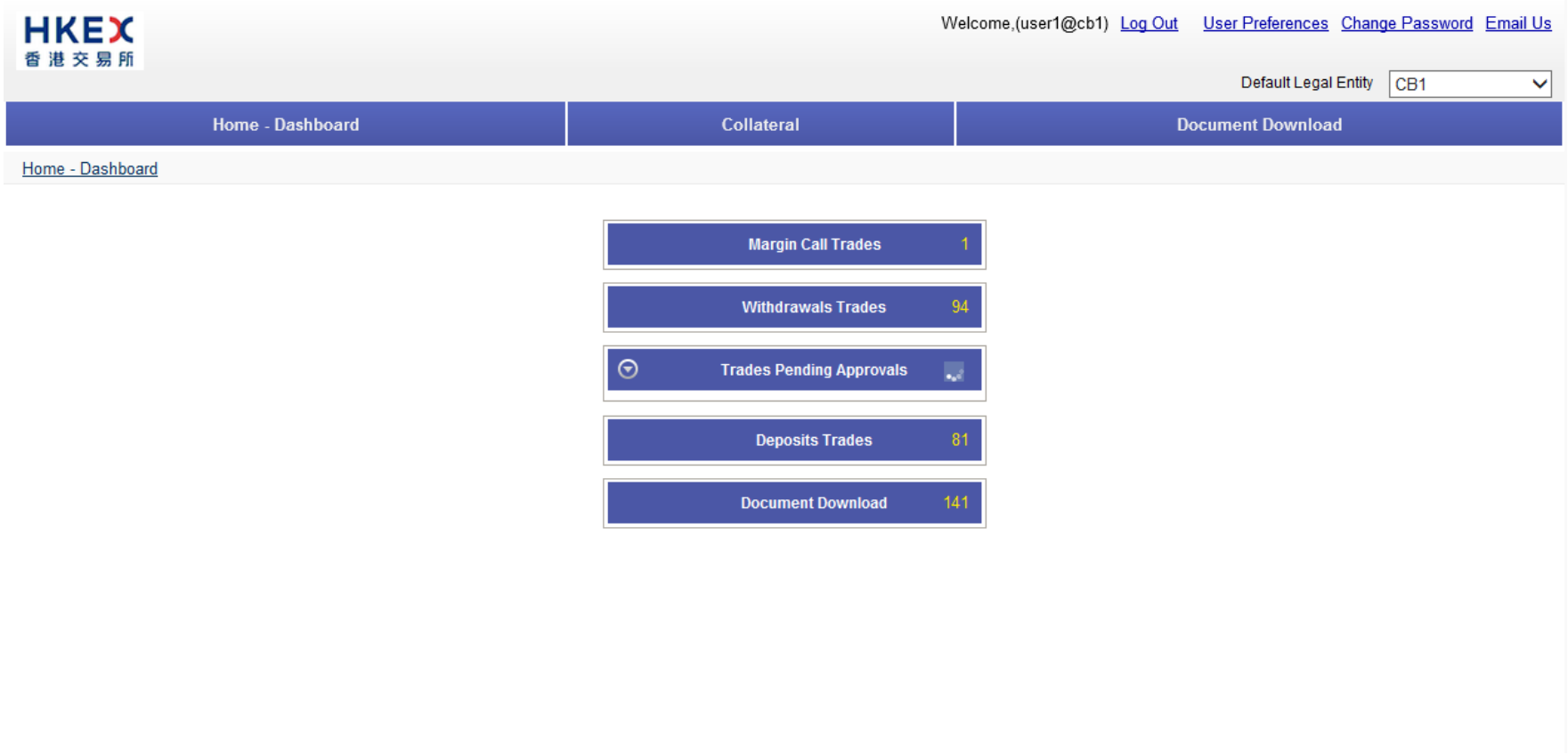


4. Input OASIS User login ID and password, then click **Sign in**



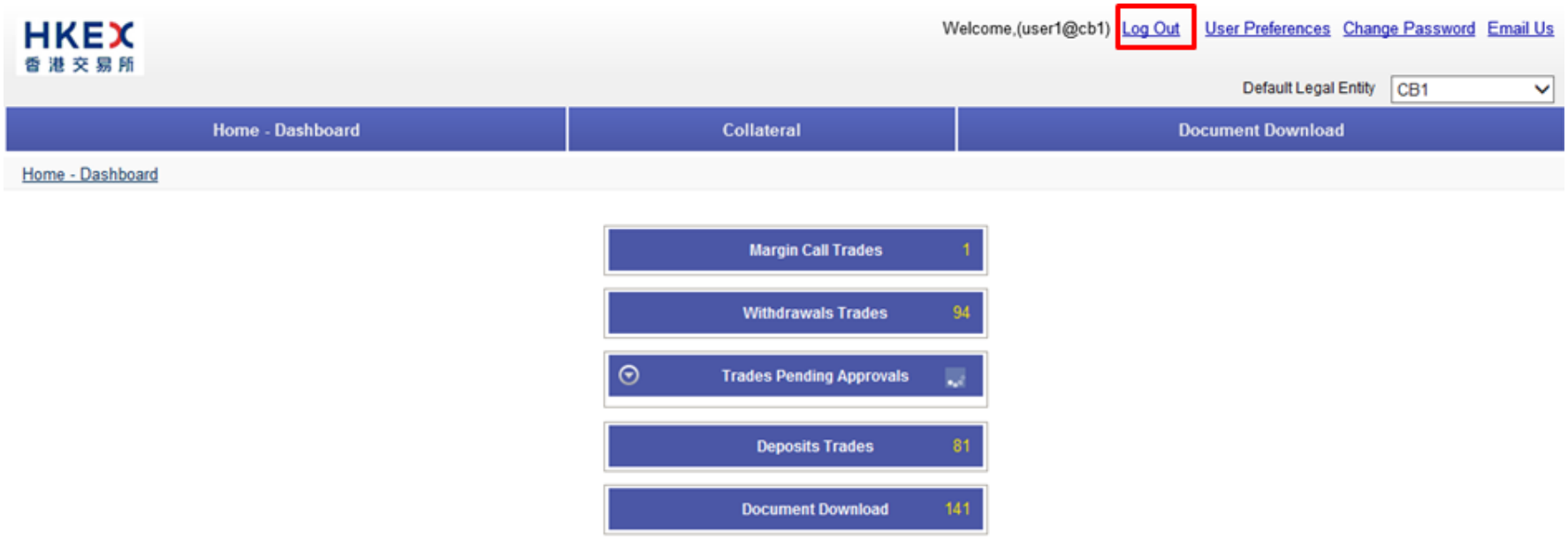
Please note: username (i.e. login ID) must be in lowercase letters.

5. The following screen will be displayed when the logon is successful.



1.1.2. Portal Logoff

Click the **Log Out** hyperlink at the top right hand corner.



The user will be return to the logon screen illustrated in **Part III, Section 1.1.1**.

1.1.3. Failure of Portal

In the event of portal failure, user should attempt to re-login the Portal. If the problem persists, user can contact the hotline in Part I section 1.

1.2. Password Management

1.2.1. First Time Logon

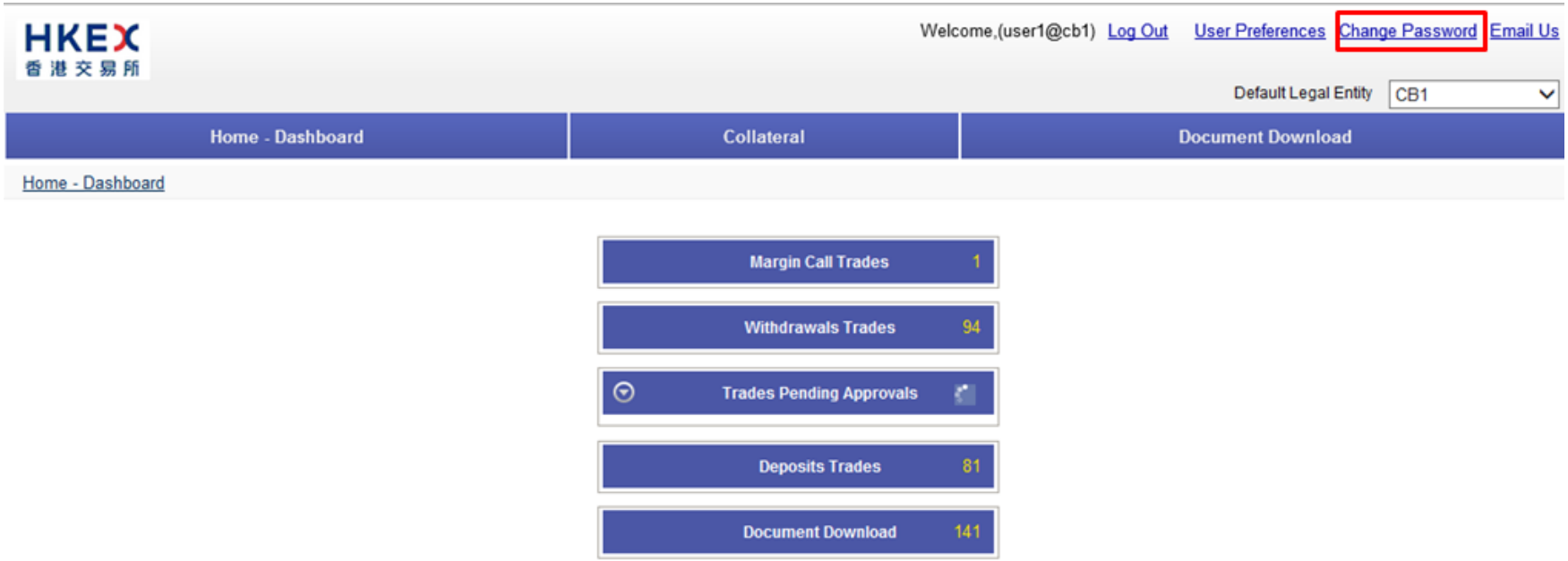
After logging on using the temporary password, the system will require you to change the password before proceeding.

Password Reset
Please enter new password
Please confirm new password
Change Password
Cancel

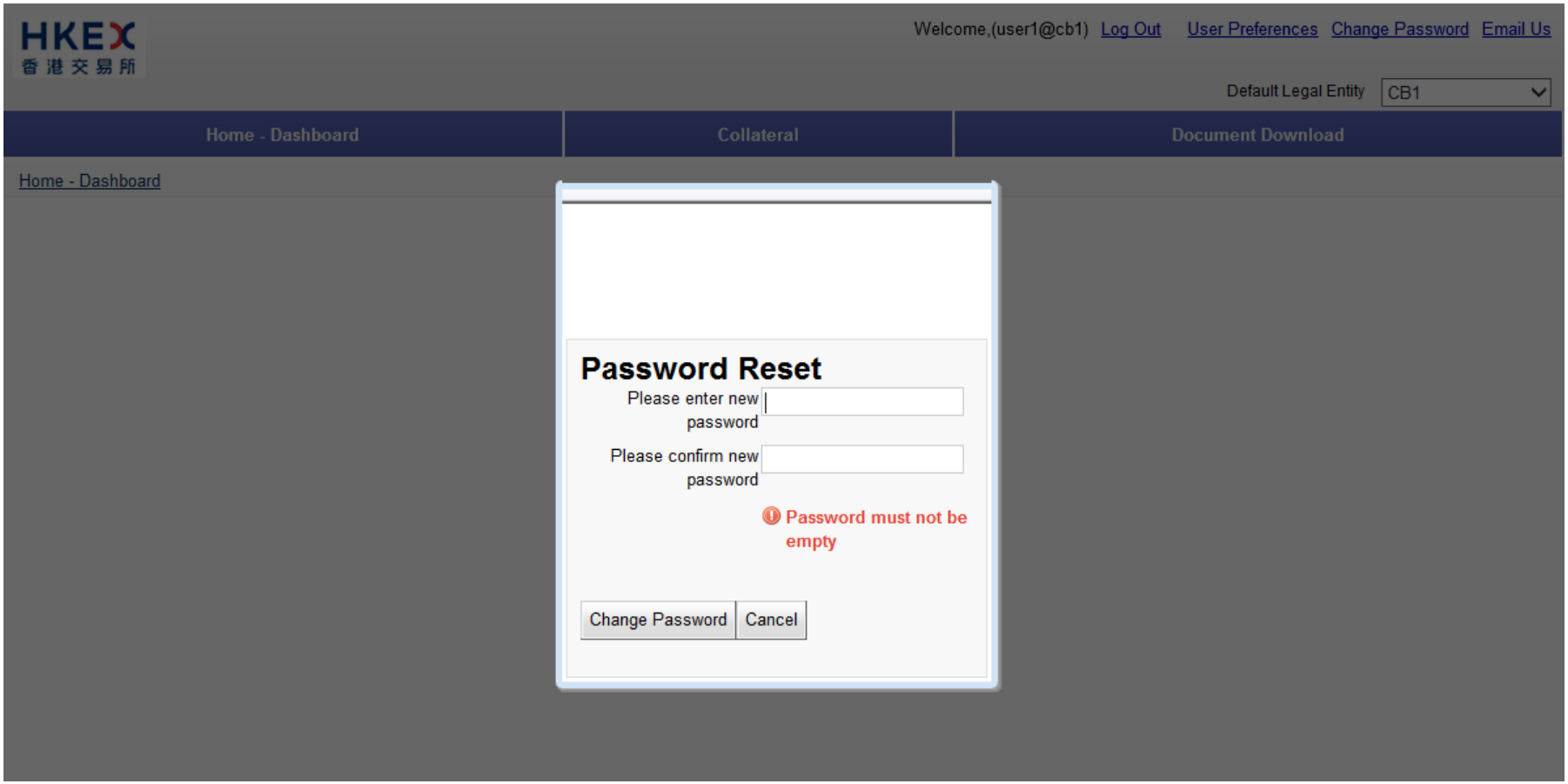
1.2.2. Voluntarily change of password

OASIS will force user to change password at least once every 90 days. Prior to the system's mandatory change of password, user can change his/her password voluntarily after logging into OASIS.

User can initiate a change of password by selecting **Change Password**.



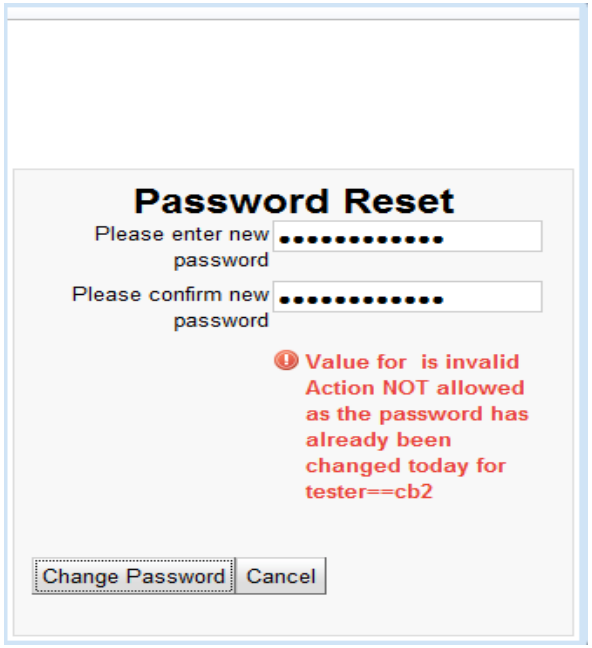
The below message box will be prompted after selecting the hyper link.



Please make reference to the below password guidelines when setting the password.

1. Password shall contain at least 10 characters;
2. Password shall contain a combination of letters (both upper & lower case) and numbers (0-9)
3. User account will be locked upon 6 consecutive unsuccessful login attempts
4. Password shall be changed at least every 90 days
5. Password will not be allowed to change on the same day upon completion of a password change

An error message will be prompted if user tried to input an invalid password. Below is an example of the error message when the password violated guideline #5).

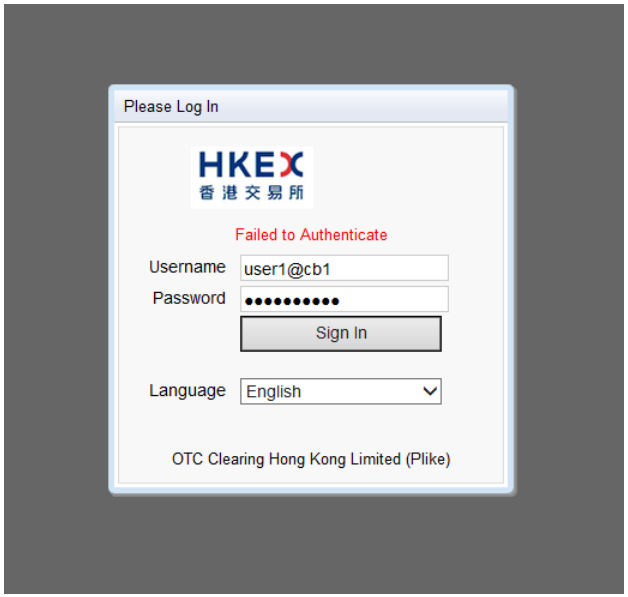


1.2.3. Common Reasons for Invalid Login

The error message "Failed to Authenticate" will be displayed in the Portal for invalid login. There are several scenarios that will trigger this message. The common reasons are:

1. The User ID provided does not exist or the password entered does not match with the corresponding User ID.
2. The User ID is locked by the system after more than 6 invalid login attempts.
3. The User logs in outside the operating hours.

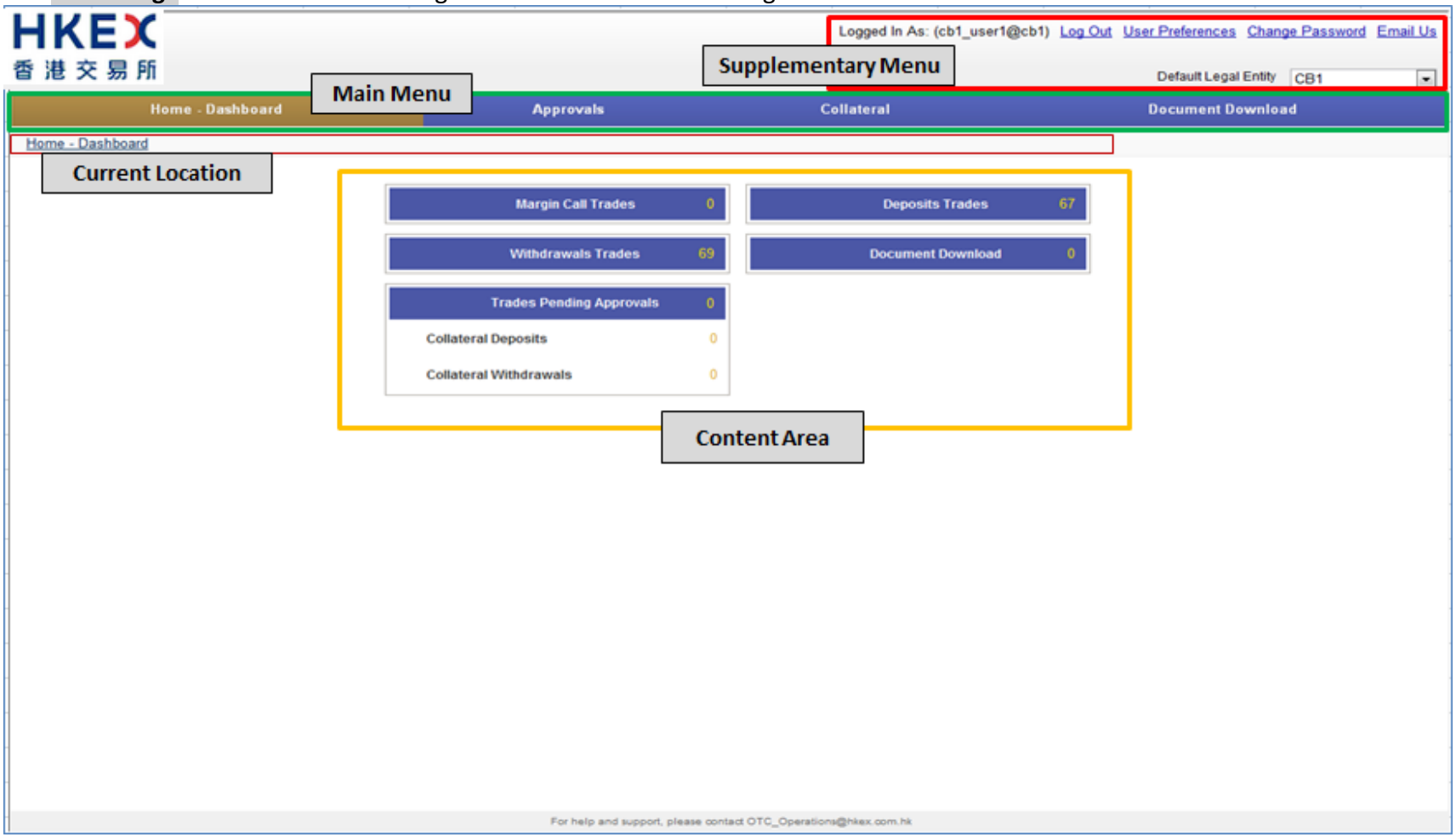
User should contact User Account Administrator for further assistance.



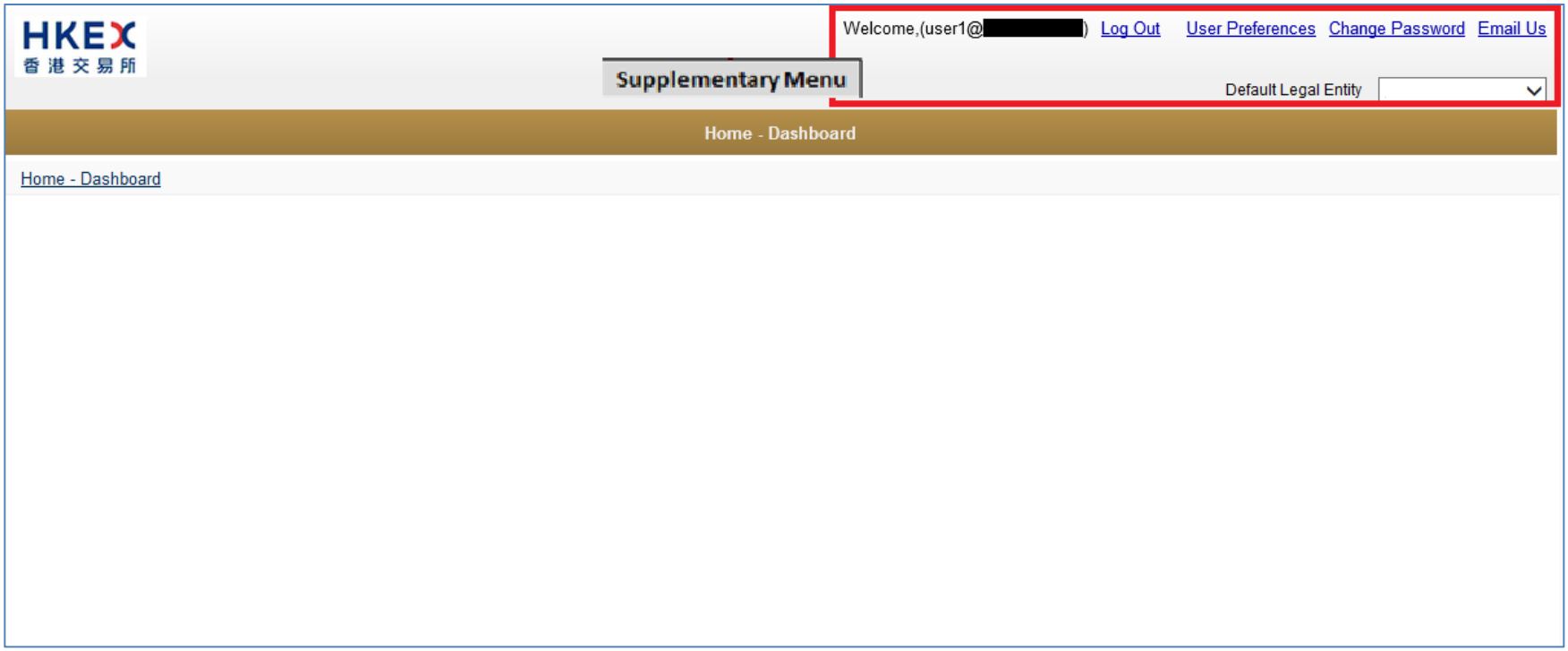
1.3. Screen Layouts

1.3.1. Home Page

The **Home Page** is divided into following sections as shown in the diagram.



For Access Groups "selfservice_limitenq" and "selfservice_loginonly", user interface of **Home Page** consists of **SUPPLEMENTARY MENU ONLY**.



MAIN MENU: Locate at the upper section of the screen. It lists the core functions of the Collateral Management Portal.

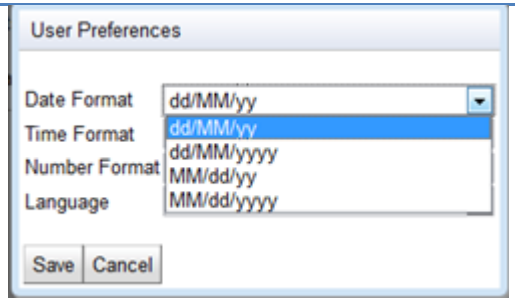
The following functions are available for access through the **Main Menu**.

Functions	Descriptions

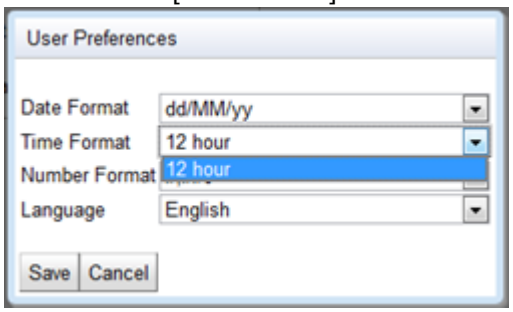
HOME 	Return to the HOME page
APPROVALS 	1) View and search outstanding approval requests; 2) Approved/rejected requests Only appear for user with Authorise functions. Please refer to **Part III, Section 2.7** for details.
COLLATERAL 	1) View and search outstanding or completed collateral movement requests 2) Submit/amend/cancel collateral movement requests Please refer to **Part III, Section 2.3-6** for details.
DOCUMENT DOWNLOAD 	Retrieve and download OASIS reports Please refer to **Part III, Section 3** for details.

SUPPLEMENTARY MENU: Locate at the upper right hand corner of the screen. It displays the account name used to log into OASIS and a dropdown box listing the Clearing Member ID available for the logged in user. Also, it lists the following features for user to select: (1) Log Out, (2) User Preference, (3) Change Password, and (4) Email Us.

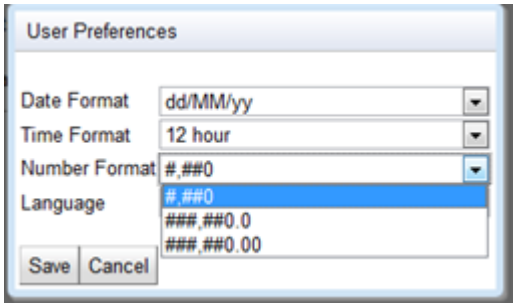
Hyperlink	Descriptions
Log Out	End the user login session and log off from the portal.
User Preference	A dialogue box will be prompted and allow user to personalize its OASIS setting on **1) Date Format**

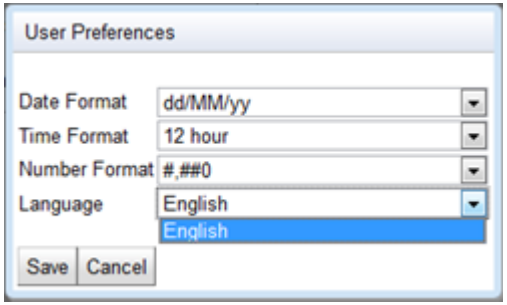


2) Time Format [not available]



3) Number Format

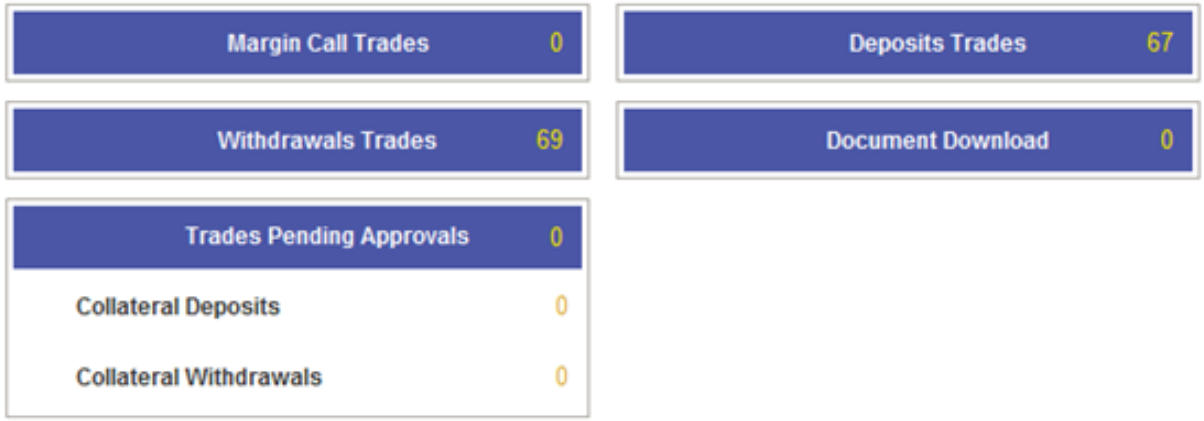


	Please note this setting will affect the number displayed during submission of collateral request. Number will be rounded to the decimal placed elected. **4) Language** [not available]  The new preference will take effect at the next login.
Change Password	Initiate a change of password. Please refer to **Part III, Section 1.2.2** for details.
Email us	Initiate an email to OTC Clear with the default email program. The email will be addressed to ***OTC_Operations@HKEX.COM.HK***

CURRENT LOCATION: Locate below the **Main Menu**. It displayed the current location of the user's login session.

CONTENT AREA: Locate below the **Current Location section**. It displayed the contents of the feature selected from the **Main Menu**. For the Home Page, it is defaulted to display the dashboard.

The *Dashboard* of the *HOME* page provides a quick overview of the total number of margin calls, collateral withdrawals, collateral deposits, reports and requests that are pending approval (i.e. 4-eye checks) to the OASIS users.



The figure displayed for “Margin Call Trades” represent the number of Margin Call triggered.

The figures displayed for “Deposits Trades” and “Withdrawals Trades” represent the number of requests that were created.

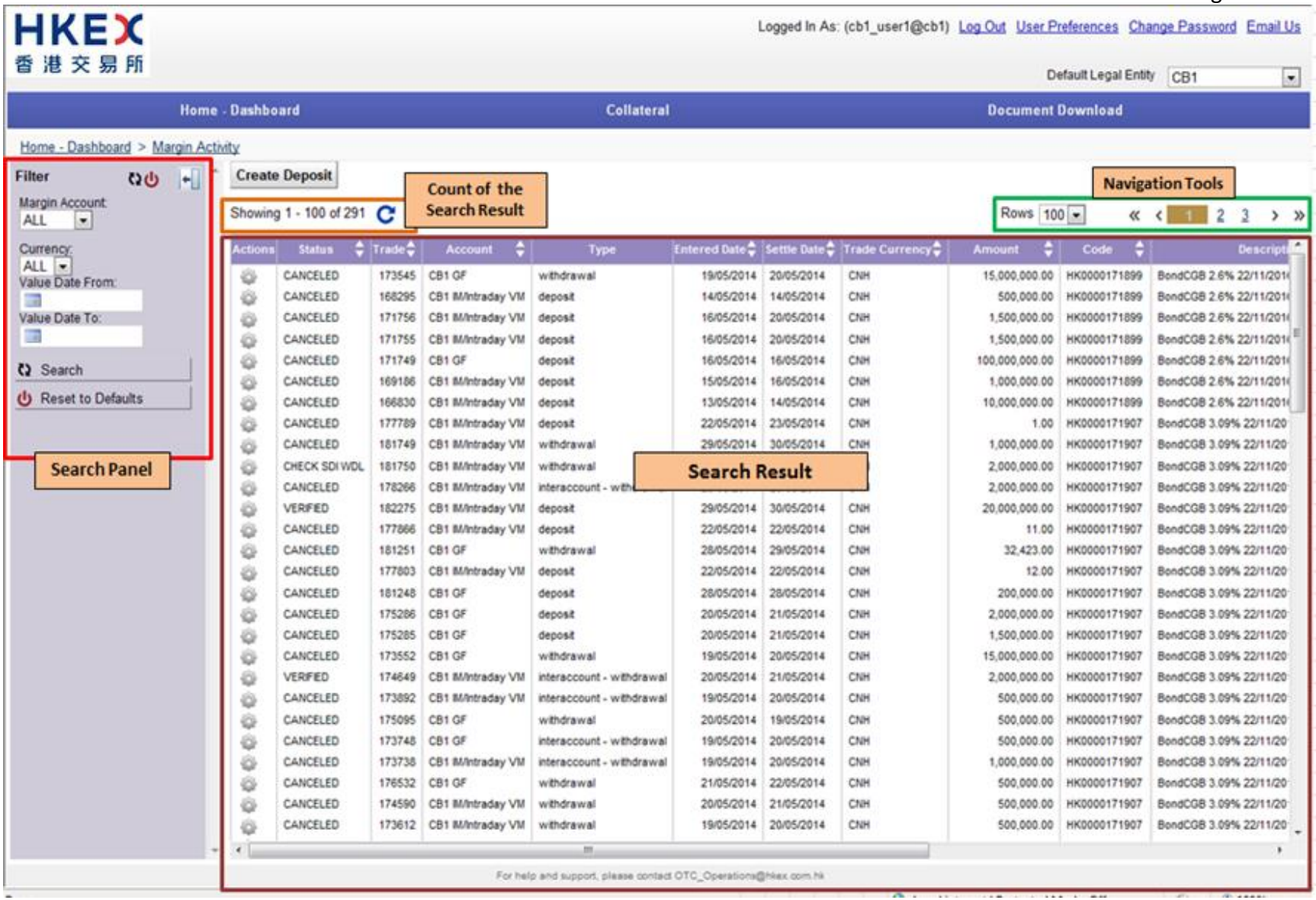
The figure displayed for “Document Download” represent the number of reports currently available for member to download.

The figures displayed for “Trades Pending Approvals” represent the number of requests that are pending approval.

Note: the Function / Figures displayed depend on the profile of the OASIS user.

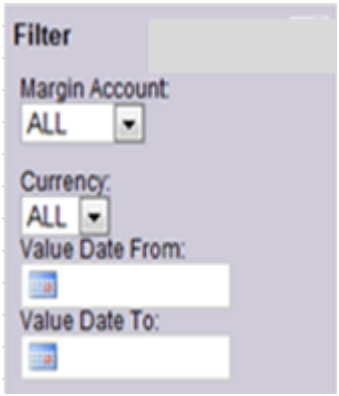
1.3.2. Standard Screen Layout

After selecting a feature under the **Main Menu** (with the exception of HOME - Dashboard), the following will be displayed: a search panel will be located on the left of the screen (red box), the count of the search result listed below the **Main Menu** (orange box), the navigation tools below the **Main Menu** on the right side of the screen (green box) and the content of the search result (dark red box).


HKEX 香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Collateral
Document Download
Home - Dashboard > Margin Activity
Filter
Margin Account:
ALL
Currency:
ALL
Value Date From:
Value Date To:
Search
Reset to Defaults
Search Panel
Create Deposit
Showing 1 - 100 of 291
Count of the Search Result
Navigation Tools
Rows 100
Search Result
Actions | Status | Trade | Account | Type | Entered Date | Settle Date | Trade Currency | Amount | Code | Descripti
CANCELED | 173545 | CB1 GF | withdrawal | 19/05/2014 | 20/05/2014 | CNH | 15,000,000.00 | HK0000171899 | BondCGB 2.6% 22/11/201
CANCELED | 168295 | CB1 IM/Intraday VM | deposit | 14/05/2014 | 14/05/2014 | CNH | 500,000.00 | HK0000171899 | BondCGB 2.6% 22/11/201
CANCELED | 171756 | CB1 IM/Intraday VM | deposit | 16/05/2014 | 20/05/2014 | CNH | 1,500,000.00 | HK0000171899 | BondCGB 2.6% 22/11/201
CANCELED | 171755 | CB1 IM/Intraday VM | deposit | 16/05/2014 | 20/05/2014 | CNH | 1,500,000.00 | HK0000171899 | BondCGB 2.6% 22/11/201
CANCELED | 171749 | CB1 GF | deposit | 16/05/2014 | 16/05/2014 | CNH | 100,000,000.00 | HK0000171899 | BondCGB 2.6% 22/11/201
CANCELED | 169186 | CB1 IM/Intraday VM | deposit | 15/05/2014 | 16/05/2014 | CNH | 1,000,000.00 | HK0000171899 | BondCGB 2.6% 22/11/201
CANCELED | 166830 | CB1 IM/Intraday VM | deposit | 13/05/2014 | 14/05/2014 | CNH | 10,000,000.00 | HK0000171899 | BondCGB 2.6% 22/11/201
CANCELED | 177789 | CB1 IM/Intraday VM | deposit | 22/05/2014 | 23/05/2014 | CNH | 1.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 181749 | CB1 IM/Intraday VM | withdrawal | 29/05/2014 | 30/05/2014 | CNH | 1,000,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CHECK SDI WDL | 181750 | CB1 IM/Intraday VM | withdrawal | | | | 2,000,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 178266 | CB1 IM/Intraday VM | interaccount - with | | | | 2,000,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
VERIFIED | 182275 | CB1 IM/Intraday VM | deposit | 29/05/2014 | 30/05/2014 | CNH | 20,000,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 177866 | CB1 IM/Intraday VM | deposit | 22/05/2014 | 22/05/2014 | CNH | 11.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 181251 | CB1 GF | withdrawal | 28/05/2014 | 29/05/2014 | CNH | 32,423.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 177803 | CB1 IM/Intraday VM | deposit | 22/05/2014 | 22/05/2014 | CNH | 12.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 181248 | CB1 GF | deposit | 28/05/2014 | 28/05/2014 | CNH | 200,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 175286 | CB1 GF | deposit | 20/05/2014 | 21/05/2014 | CNH | 2,000,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 175285 | CB1 GF | deposit | 20/05/2014 | 21/05/2014 | CNH | 1,500,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 173552 | CB1 GF | withdrawal | 19/05/2014 | 20/05/2014 | CNH | 15,000,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
VERIFIED | 174649 | CB1 IM/Intraday VM | interaccount - withdrawal | 20/05/2014 | 21/05/2014 | CNH | 2,000,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 173892 | CB1 IM/Intraday VM | interaccount - withdrawal | 19/05/2014 | 20/05/2014 | CNH | 500,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 175095 | CB1 GF | withdrawal | 20/05/2014 | 19/05/2014 | CNH | 500,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 173748 | CB1 GF | interaccount - withdrawal | 19/05/2014 | 20/05/2014 | CNH | 500,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 173738 | CB1 IM/Intraday VM | interaccount - withdrawal | 19/05/2014 | 20/05/2014 | CNH | 1,000,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 176532 | CB1 GF | withdrawal | 21/05/2014 | 22/05/2014 | CNH | 500,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 174590 | CB1 IM/Intraday VM | withdrawal | 20/05/2014 | 21/05/2014 | CNH | 500,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
CANCELED | 173612 | CB1 IM/Intraday VM | withdrawal | 19/05/2014 | 20/05/2014 | CNH | 500,000.00 | HK0000171907 | BondCGB 3.09% 22/11/20
For help and support, please contact OTC_Operations@hkex.com.hk

Search Panel: Locate at the left side of the screen. It allows the user to search result based on certain attributes.

The following functions are available with the Search Panel:

Functions	Descriptions
ROW 	Set value for the attributes and the date range for the search. The value of the attributes will be different depending on the content being searched.
SEARCH 	Trigger the search based on the filters and date range selected.
RESETS TO DEFAULT 	Reset all the attributes and date range to default.
MINIMIZE 	Minimize the Search Panel.

Navigation Tools: Locate at the right side of the screen above the Content Area. It allows the user to control the content being displayed in the Content Area.

The following functions are available with the Navigation Tools:

Functions	Descriptions
ROWS	Set the number of maximum rows for the Content Area. The allowable value are 5, 15, 20, 25, 50, and 100
FIRST PAGE	Icon appeared when the result exceeds the max row allowed. Displayed the first page of the result in the Content Area.
LAST PAGE	Icon appeared when the result exceeds the max row allowed. Displayed the last page of the result in the Content Area.
ONE PAGE BACKWARD	Icon appeared when the result exceeds the max row allowed. Allow user to move one page backward from the result displayed currently in the Content Area.
ONE PAGE FORWARD	Icon appeared when the result exceeds the max row allowed. Allow user to move one page forward from the result displayed currently in the Content Area.
SPECIFIC PAGE	Icon appeared when the result exceeds the max row allowed. Displayed the result of a specific page in the Content Area.

2. Collateral Management

2.1. Margin Calls

The following section explains how Clearing Members can use OASIS to manage their collateral balance with OTC Clear. The below table lists out different scenarios with consequent actions to be taken by Clearing Members:

Scenarios	Descriptions	Actions required
End-of-day Initial Margin Call **– fulfilling the margin call in any eligible currency**	If appropriate, the demand will be issued at **08:30** Hong Kong time on an OTC Clear Clearing Day via the Margin Calls function on OASIS. Clearing Member needs to fulfill the obligation in cash in any eligible currency[1].	1. If member wants to settle the call in base currency (i.e. HKD): No action needs to be done on OASIS. The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account. 2. If member wants to settle the call in non-base currencies: Follow the process described in Part V, Appendix 4. The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS)

[1] Please note that this will be subject to further amendment once non-cash collateral is introduced.

<table>
<tr><th>Scenarios</th><th>Descriptions</th><th>Actions required</th></tr>
<tr><td></td><td></td><td>system to OTC Clear's designated bank account.</td></tr>
<tr><td>Routine Intra-day VM Call

– fulfilling the margin call in the eligible currency ("Intra-day VM Currency).</td><td>If appropriate, the demand will be issued at the Routine VM Call Time on an OTC Clear Business Day via the Margin Calls function on OASIS.

Clearing Member needs to fulfill the obligation by depositing collateral in the eligible currency within an hour following the Routine Intra-day VM Call.

Note: For intra-day VM calls, clearing members can use the column of "available collateral" and "used" in WEB ERSCollateral report published at 1:30 p.m (after portfolio novation is completed) to estimate the call amount.. Below are two examples to provide call details:

Scenario 1 – no trade is cleared today. In this case the margin call fully reflects the change in collateralized variation margin (i.e. PnL movement during the day)

<table><tr><th>Member's collateral balance</th><th>Initial margin</th><th>Collateralized variation margin</th><th>Total margin requirement</th><th>intra-day margin call amount[2]</th></tr><tr><td>300</td><td>300</td><td>100</td><td>400</td><td>100</td></tr></table></td><td>1. If member wants to settle the call in base currency (i.e. HKD):

No action needs to be done on OASIS.

The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account.

2. If member wants to settle the call in non-base currencies:

Follow the process described in Part V, Appendix 4.

The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS)</td></tr>
</table>

[2] Assuming no haircuts on collateral here.

<table>
<tr><th>Scenarios</th><th>Descriptions</th><th>Actions required</th></tr>
<tr><td></td><td>Scenario 2 – one trade is cleared today. In this case the intra-day margin call reflects majority of the change in collateralized variation margin (i.e. PnL movement during the day)
<table><tr><th></th><th>Member's collateral balance</th><th>Initial margin</th><th>Collateralized variation margin</th><th>Total margin requirement</th><th>intra-day margin call amount</th></tr><tr><td>Start of the day</td><td>120</td><td>100</td><td>0</td><td>100</td><td>-</td></tr><tr><td>With new trade cleared (IM increase by 10)</td><td>120</td><td>110</td><td>100</td><td>210</td><td>90</td></tr></table></td><td>system to OTC Clear's designated bank account.</td></tr>
<tr><td>Ad hoc Intra-day VM Call

– fulfilling the margin call with cash in the eligible Currency.</td><td>If appropriate, the demand will be issued via the Margin Calls function on OASIS. The timeframe of triggering ad hoc vm call will be from 08:30 HK local time to 15:00 HK local time unless further notified by OTC Clear.

Clearing Member need to fulfill the obligation by depositing collateral in eligible currency within an hour following the Margin Call.</td><td>No action needs to be done on OASIS.

The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account</td></tr>
<tr><td>Holiday Margin Call</td><td>If appropriate, the demand will be issued at 08:30 Hong Kong time on the OTC Clear Business Day issued via Margin Calls function on OASIS.</td><td>The same as actions required for EOD IM Call.</td></tr>
</table>

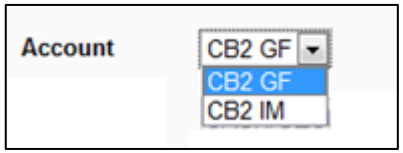
Scenarios	Descriptions	Actions required
– fulfilling the margin call in any eligible currency	The Clearing Member need to fulfill the obligation by depositing collateral in the preferred currency **within an hour** following the Margin Call.	Note: The status of the margin call will be updated upon confirmation of the receipt of the payment
Guarantee Fund Call	If appropriate, the demand will be issued either at 08:30 Hong Kong time, 14:15 Hong Kong time or other time specified by OTC Clear via the Margin Calls function on OASIS. Note: pursuant to OTC Clearing Hong Kong Limited Clearing Procedures 7.5, OTC Clear may request a Clearing Member to post additional Collateral when the value recorded in the Rates and FX Contribution falls below the Rates and FX Liability (i.e. a drop in market value due to FX movements on a non-HKD collateral placed by a member). Such request will be in the form of a GF call which could be triggered at 8:30 a.m. or 2:15 p.m. In this case, the Clearing Member may see 2 margin calls at the same time on OASIS (one for IM account and one for GF account) and both calls have to be settled **within 1 hour**. Settlement methods for such GF call will be the same as routine Intra-day VM calls.	1. If member wants to settle the call in base currency (i.e. HKD): No action needs to be done on OASIS. The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account 2. If member wants to settle the call in non-base currencies: Follow the process described in Part V, Appendix 4. The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account. Note: The status of the margin call will be updated upon confirmation of the receipt of the payment

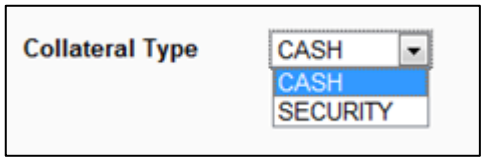
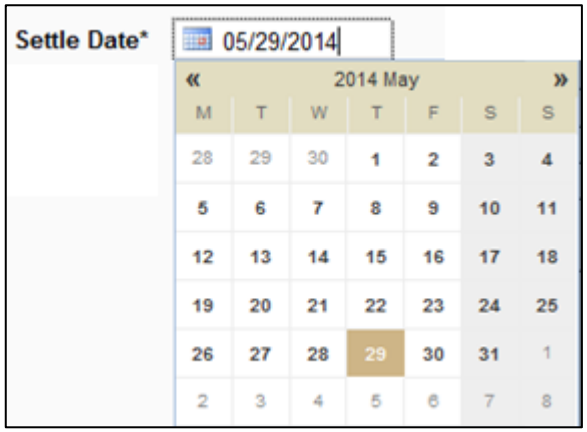
Scenarios	Descriptions	Actions required
Voluntary Collateral Deposit	Clearing Member deposits and maintains excess collateral with OTC Clear.	Clearing Member submits collateral deposit request on OASIS. Please refer to Part III, section 2.4 for further details.
Voluntary Collateral Withdrawal	Clearing Member withdraws excess collateral from OTC Clear.	Clearing member submits voluntary withdrawal request via on OASIS. Please refer to Part III, section 2.5 for further details.

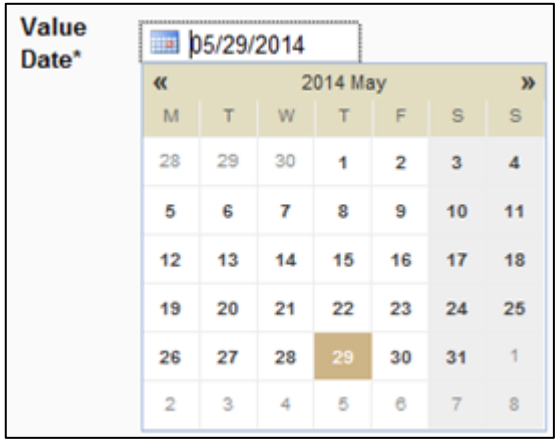
2.2. Common Components of a Collateral Movement Request

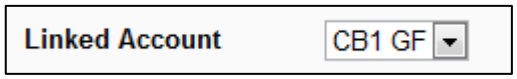
2.2.1. Information required when creating a collateral movement request

The following fields are main components of a collateral movement request:

Components	Descriptions
Common fields for all collateral movement request:	
ACCOUNT 	The account involved in the collateral movement request.

COLLATERAL TYPE 	The collateral type involved for the movement request.
Specific fields for cash collateral movement request:	
SETTLE DATE 	The settlement date of the cash collateral movement request.
CURRENCY 	The currency of the cash collateral movement request

AMOUNT 	The amount of the collateral movement request
Specific fields for non-cash collateral movement request:	
SECURITIES / SECURITY CODE 	The security involved in the non-cash collateral movement request
VALUE DATE 	The value date of the non-cash collateral movement request.

NOTIONAL 	The notional amount of the non-cash collateral movement request
Specific fields for inter-account collateral transfer request:	
CHECKBOX ON INTER-ACCOUNT TRANSFER REQEUST 	The checkbox that initiate an inter-account collateral transfer request.
LINKED ACCOUNT 	The account where the collateral is transferred from.

2.3. Enquiry Function on Collateral Movement Requests

2.3.1. Function Description

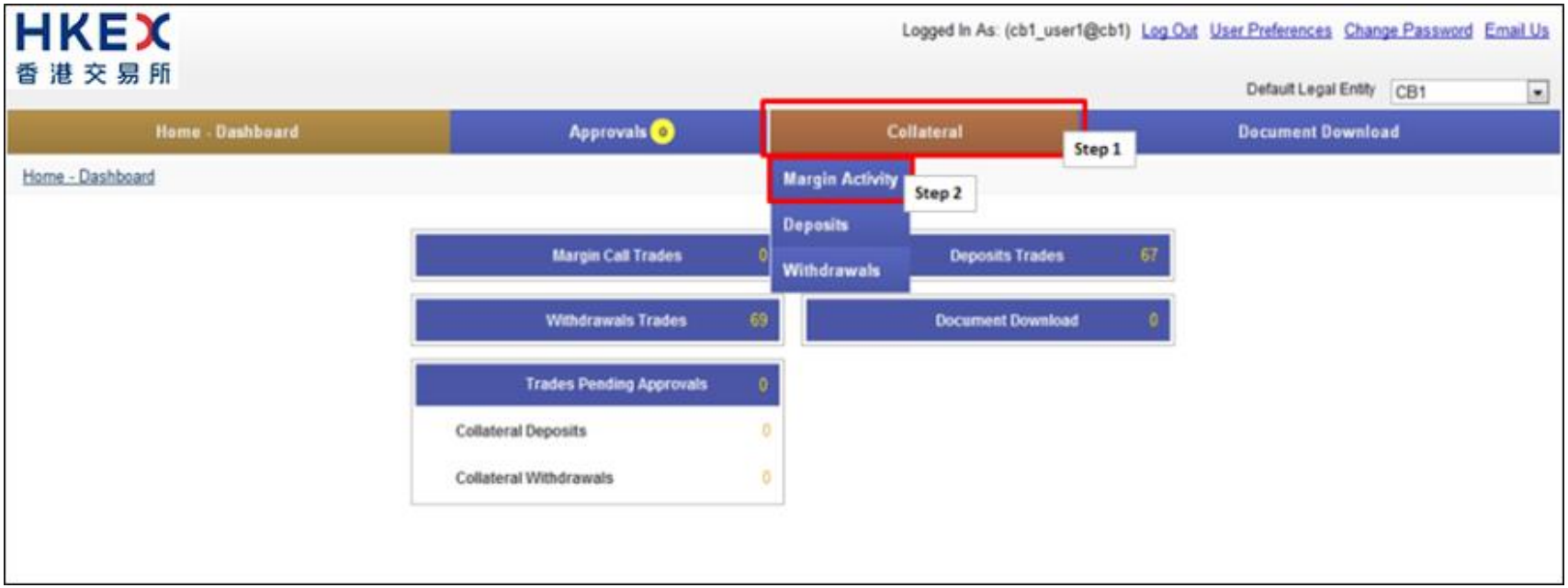
To retrieve the details and status of collateral movement requests created/submitted.

2.3.2. Function Available Time

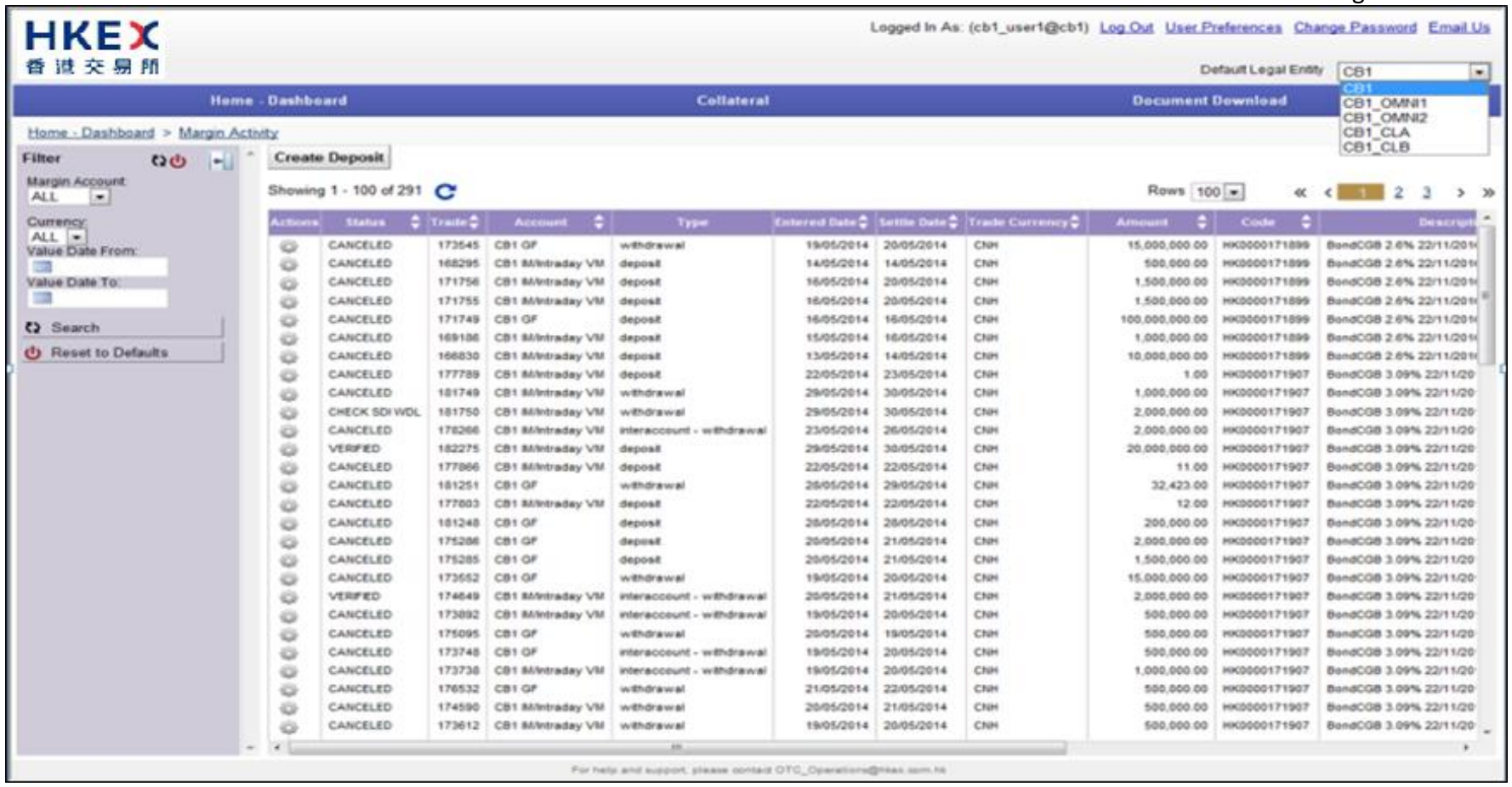
7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day

2.3.3. How to Use (Step by Step)

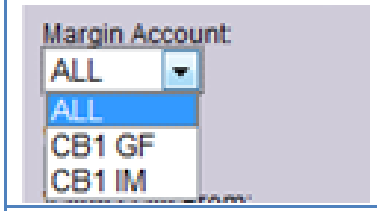
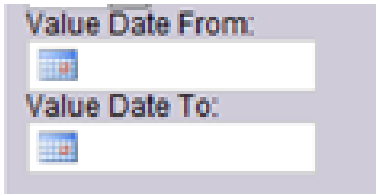
1. On the **Main Menu**, select **Collateral**. The feature will be highlighted and a menu will appear. Select **Margin Activity**.



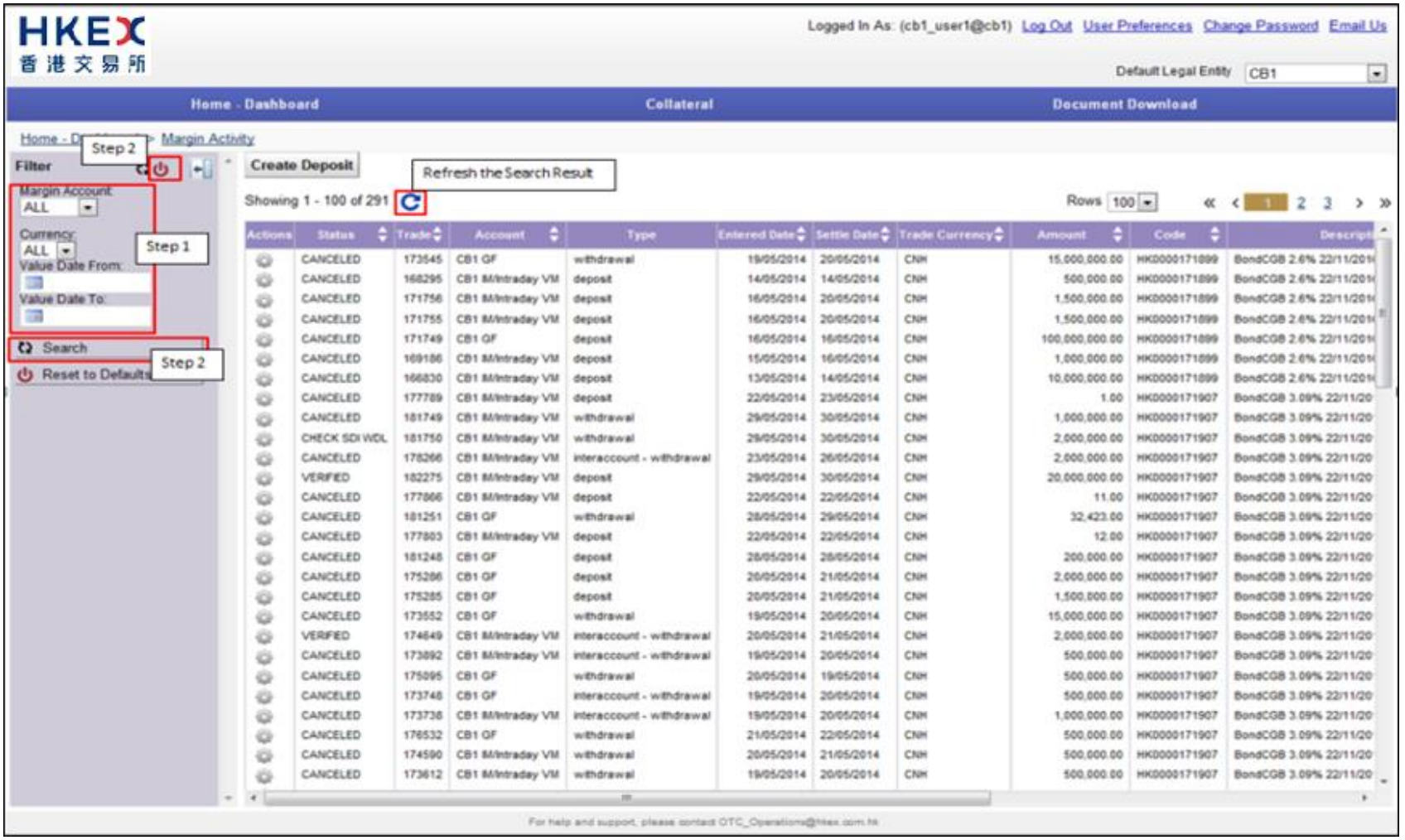
2. Current Location will be updated and the Content Area will display all the margin activities of the Clearing Member ID selected in the **Default Legal Entity** dropdown menu (located in the upper right hand corner above the **Main Menu**). For Clearing Member that provided Client Clearing Services, the dropdown menu will list out all the Clients associated with the Clearing Member. The user will need to select the appropriate Clearing Member ID to view historical collateral movement request or submit collateral movement request for the relevant accounts.



3. User can refine the content by using the Search Panel. Below are the descriptions of the attributes available in the Search Panel.

Field name	Descriptions
Margin Account 	Select the account involved in the collateral movement requests to be displayed. The accounts available depend on the Clearing Member ID. Each Clearing Member will have at least one GF (Guarantee Fund) account and one IM (Initial Margin) account. Depending on the membership, some Clearing Member might have more than one IM accounts
Currency 	Select the currency of the collateral movement requests to be displayed.
Value Date From **Value Date To** 	Set the date range to be displayed. The date is referring to the value date/settlement date of the request. User might key in the Date or use the calendar icon to select the date from the calendar prompted.

4. The search result will be displayed in the Content Area, and can be sorted by the attributes (with the sort icon below the attribute heading). Below is the screen shot of a sample search result. The search resulted in 162 rows of records.



5. The below table listed out the attributes in the order displayed.

Attribute	Descriptions	Sortable
Actions	Actions available for this request under the current processing status	N/A
Status	The processing status of the entry. For the full list of the processing status, please refer to Part V, Appendix 3	Yes
Trade ID	Reference ID of each Margin Call / Collateral Deposit Request / Collateral Withdrawal Request	Yes
Account	1) The "Margin Account" that the collateral movement requests were made on; or 2) The "Collateral/Margin Account" that the Margin Call was made against.	Yes
Type	**Identify the nature of the entry:** *marginCall* — Demand issued by OTC Clear to the Clearing Member *deposit* — Collateral Deposit Request *withdrawal* — Collateral Withdrawal Request *Interaccount – deposit* — Collateral Deposit Request resulting from an inter-account transfer request *Interaccount - withdrawal* — Collateral Withdrawal Request resulting from an inter-account transfer request	No
Entered Date	The Entered Date of the Collateral Movement Request or the trigger date of the Margin Call	Yes
Settle Date	The Settle Date/Value Date of the Margin Call / Collateral Movement Request	Yes
Trade Currency	The currency of the Margin Call / Collateral Movement Request	Yes

Amount	The notional amount of the Margin Call / Collateral Movement Request	Yes
Code	The ISIN code of security involved in the non-cash Collateral Movement Request	Yes
Description of Collateral	The description of the Margin Call / Collateral Movement Request	Yes
Reject Reason	The reason for the cancellation/rejection of the request. For the full list of the reject reason, please refer to Table 3.2 in Part V, Appendix 3	Yes

2.4. Collateral Deposit Request

2.4.1. Function Descriptions

To submit collateral deposit request to increase the collateral balance.

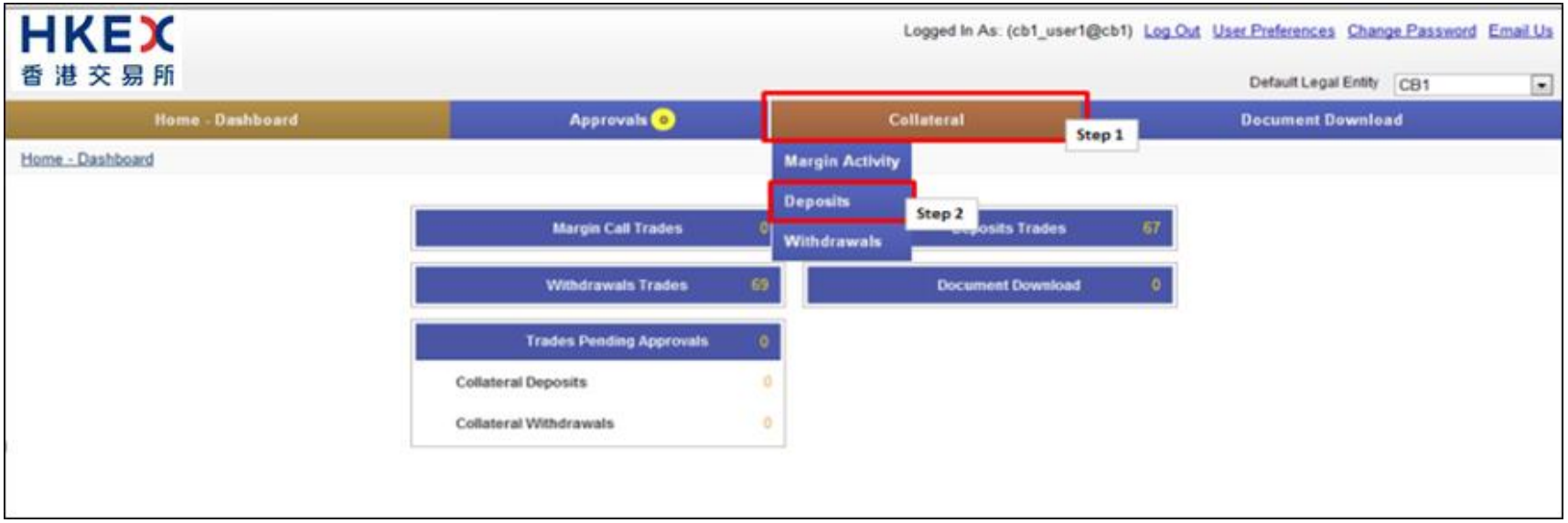
2.4.2. Function Available Time

7:30 a.m. to 5:00 p.m., every OTC Clear Clearing Day. The request will be cancelled automatically if the user submits the deposit request outside the function available time.

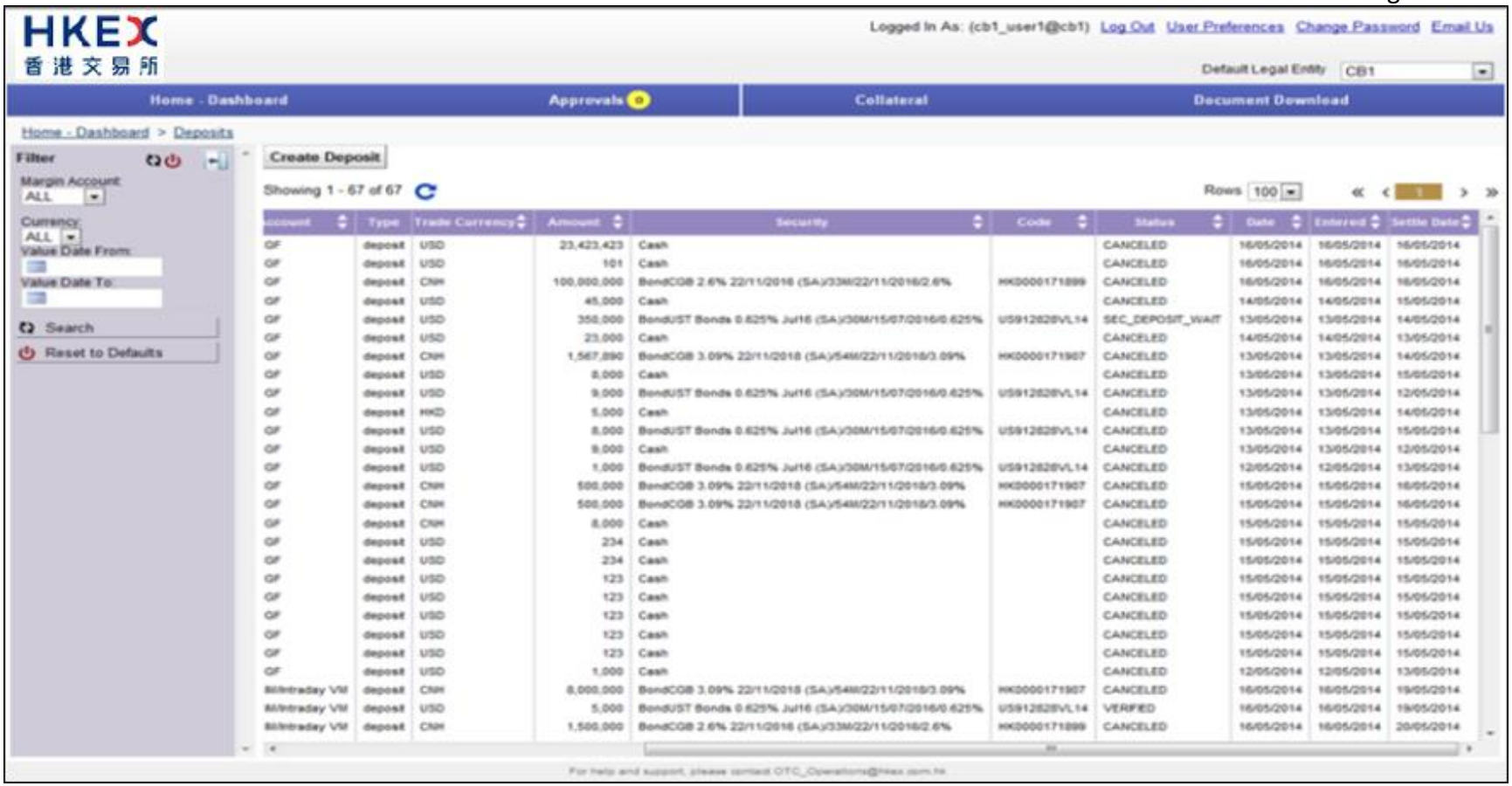
Note: user need to ensure the settlement time stated in section 3.9 of the Clearing Procedure can be fulfilled before submitting the request.

2.4.3. How to Use (Step by Step)

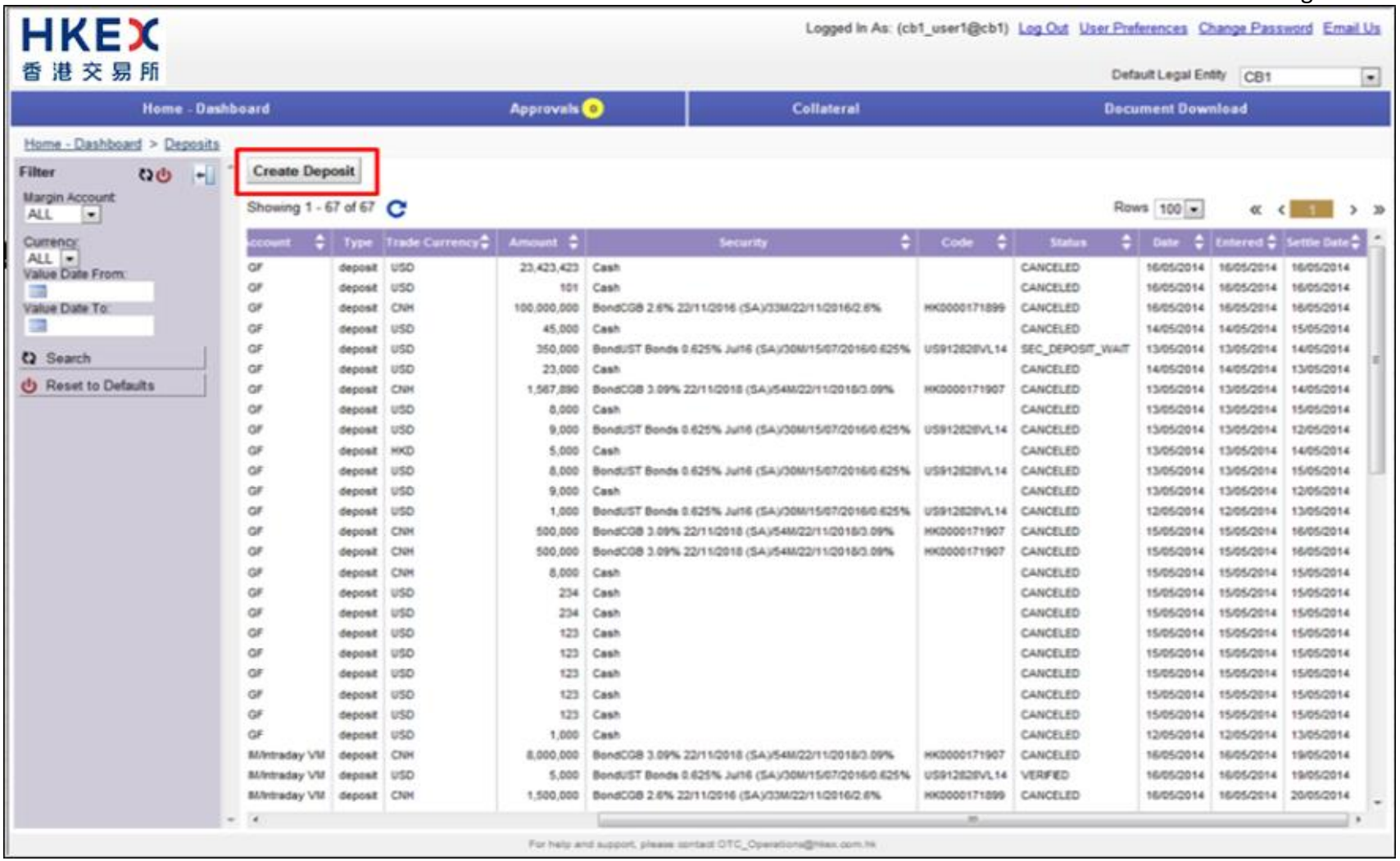
1. On the **Main Menu**, select **Collateral**. The feature will be highlighted and a menu will appear. Then select **Deposits.**



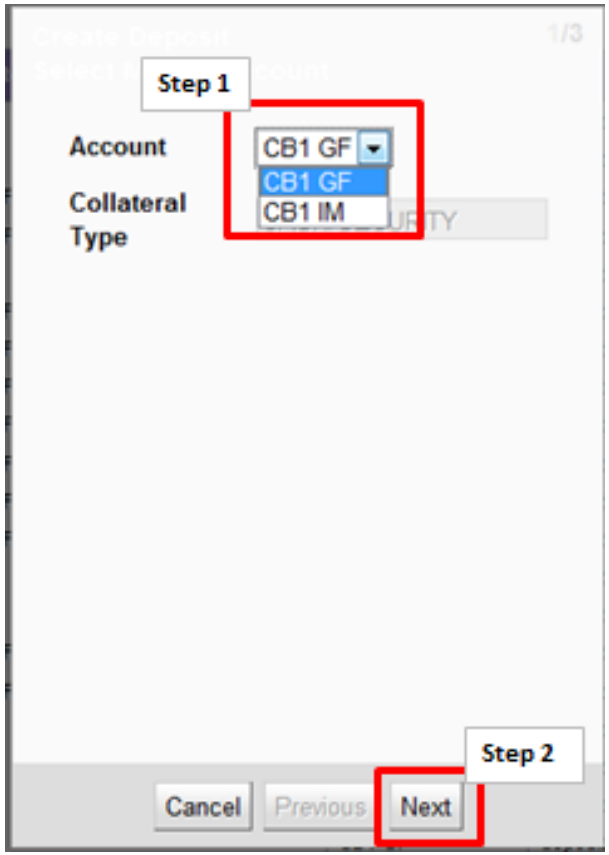
2. Current Location will be updated and the Content Area will display all the margin activities of the Clearing Member ID selected in the **Default Legal Entity** dropdown menu (located in the upper right hand corner above the **Main Menu**). For Clearing Member that provided Client Clearing Services, the dropdown menu will list out all the Clients associated with the Clearing Member. The user will need to select the appropriate Clearing Member ID to view historical collateral movement request or submit collateral movement request for the relevant accounts.



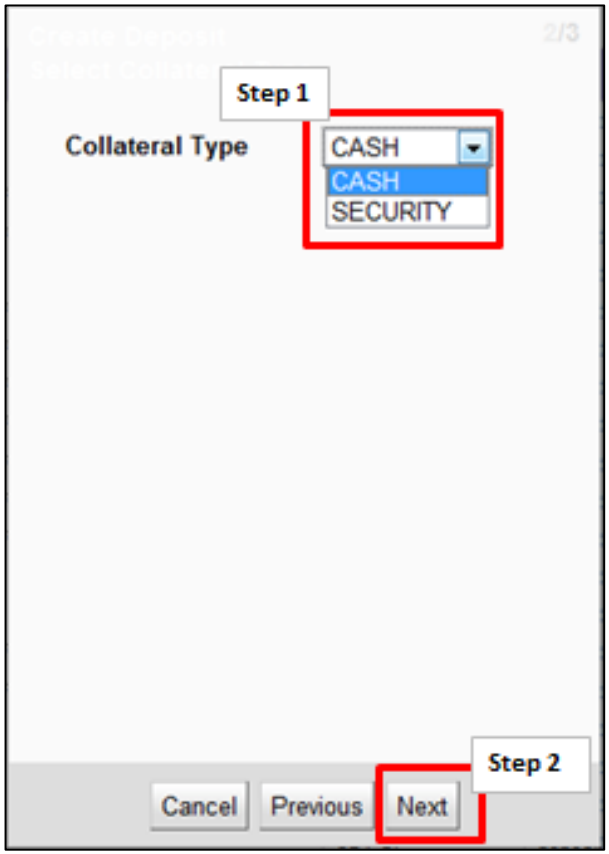
3. To submit new collateral deposit request, click **Create Deposit**.


HKEX 香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Approvals
Collateral
Document Download
Home - Dashboard > Deposits
Create Deposit
Filter
Margin Account: ALL
Currency: ALL
Value Date From:
Value Date To:
Search
Reset to Defaults
Showing 1 - 67 of 67
Rows 100
Account Type Trade Currency Amount Security Code Status Date Entered Settle Date
GF deposit USD 23,423,423 Cash CANCELED 16/05/2014 16/05/2014 16/05/2014
GF deposit USD 101 Cash CANCELED 16/05/2014 16/05/2014 16/05/2014
GF deposit CNH 100,000,000 BondCGB 2.6% 22/11/2016 (SA)/33M/22/11/2016/2.6% HK0000171899 CANCELED 16/05/2014 16/05/2014 16/05/2014
GF deposit USD 45,000 Cash CANCELED 14/05/2014 14/05/2014 15/05/2014
GF deposit USD 350,000 BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625% US912828VL14 SEC_DEPOSIT_WAIT 13/05/2014 13/05/2014 14/05/2014
GF deposit USD 23,000 Cash CANCELED 14/05/2014 14/05/2014 13/05/2014
GF deposit CNH 1,567,890 BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/2018/3.09% HK0000171907 CANCELED 13/05/2014 13/05/2014 14/05/2014
GF deposit USD 8,000 Cash CANCELED 13/05/2014 13/05/2014 15/05/2014
GF deposit USD 9,000 BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625% US912828VL14 CANCELED 13/05/2014 13/05/2014 12/05/2014
GF deposit HKD 5,000 Cash CANCELED 13/05/2014 13/05/2014 14/05/2014
GF deposit USD 8,000 BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625% US912828VL14 CANCELED 13/05/2014 13/05/2014 15/05/2014
GF deposit USD 9,000 Cash CANCELED 13/05/2014 13/05/2014 12/05/2014
GF deposit USD 1,000 BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625% US912828VL14 CANCELED 12/05/2014 12/05/2014 13/05/2014
GF deposit CNH 500,000 BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/2018/3.09% HK0000171907 CANCELED 15/05/2014 15/05/2014 16/05/2014
GF deposit CNH 500,000 BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/2018/3.09% HK0000171907 CANCELED 15/05/2014 15/05/2014 16/05/2014
GF deposit CNH 8,000 Cash CANCELED 15/05/2014 15/05/2014 15/05/2014
GF deposit USD 234 Cash CANCELED 15/05/2014 15/05/2014 15/05/2014
GF deposit USD 234 Cash CANCELED 15/05/2014 15/05/2014 15/05/2014
GF deposit USD 123 Cash CANCELED 15/05/2014 15/05/2014 15/05/2014
GF deposit USD 123 Cash CANCELED 15/05/2014 15/05/2014 15/05/2014
GF deposit USD 123 Cash CANCELED 15/05/2014 15/05/2014 15/05/2014
GF deposit USD 123 Cash CANCELED 15/05/2014 15/05/2014 15/05/2014
GF deposit USD 123 Cash CANCELED 15/05/2014 15/05/2014 15/05/2014
GF deposit USD 1,000 Cash CANCELED 12/05/2014 12/05/2014 13/05/2014
IM/Intraday VM deposit CNH 8,000,000 BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/2018/3.09% HK0000171907 CANCELED 16/05/2014 16/05/2014 19/05/2014
IM/Intraday VM deposit USD 5,000 BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625% US912828VL14 VERIFIED 16/05/2014 16/05/2014 19/05/2014
IM/Intraday VM deposit CNH 1,500,000 BondCGB 2.6% 22/11/2016 (SA)/33M/22/11/2016/2.6% HK0000171899 CANCELED 16/05/2014 16/05/2014 20/05/2014
For help and support, please contact OTC_Operations@hkex.com.hk

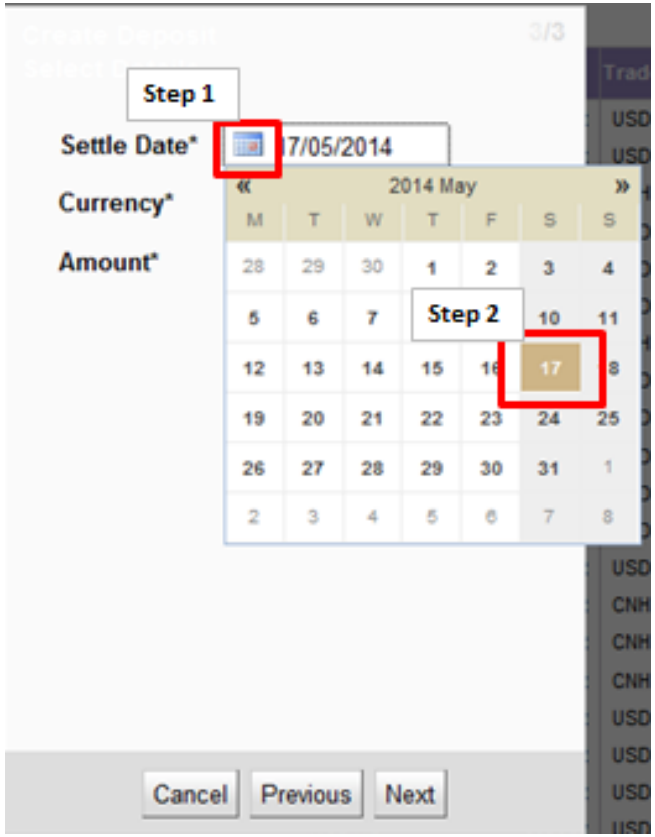
4. Choose the Account from the dropdown list and click **Next.** The letter GF is the abbreviation for Guarantee Fund while IM is Initial Margin. In the example below, if user wants to make a deposit to the Guarantee Fund, "CB1 GF" should be selected.



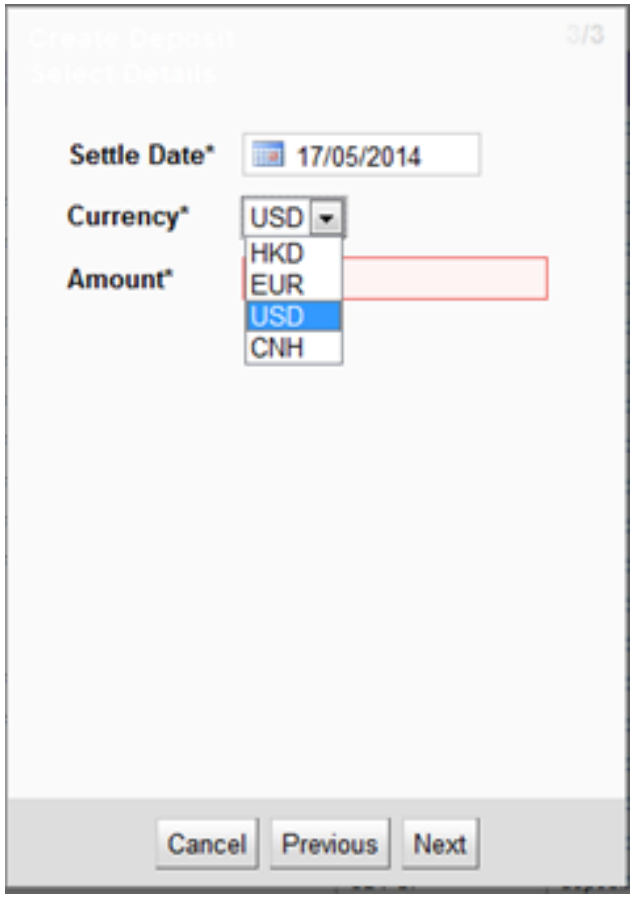
5. Select the Collateral Type for the deposit request and click **Next**.



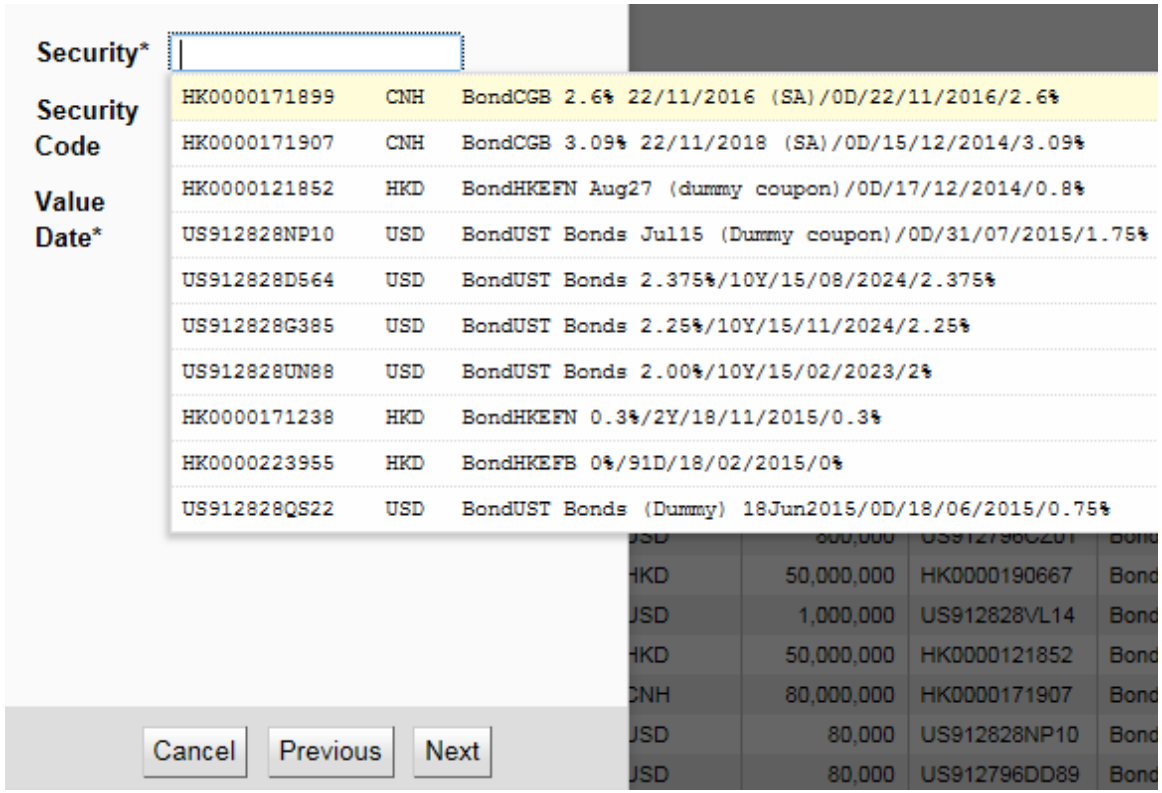
6. The Settle Date field is defaulted to the current day. The value can be change by selecting the calendar icon or type in the date directly into the input box. Please note OTC Clear **only accept** request for **cash** collateral with **current date as settle date**. Settle date for **non-cash** collateral will be accepted only if it is on the next available settlement date of such non-cash collateral, the following day of when the deposit/withdrawal request(s) is/are raised.



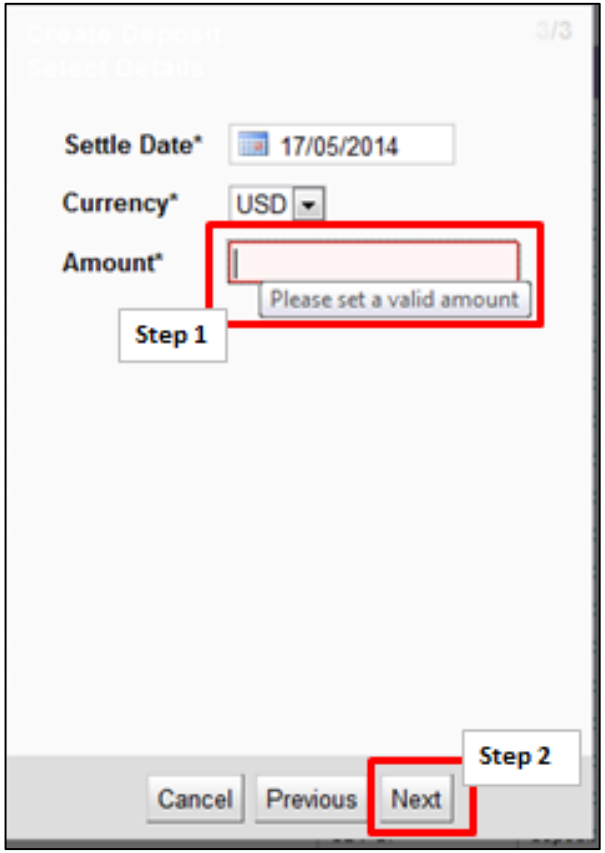
7. For **cash collateral**, choose the currency from the dropdown list.


Create Deposit
Select Details
3/3
Settle Date*
17/05/2014
Currency*
USD
Amount*
HKD
EUR
USD
CNH
Cancel
Previous
Next

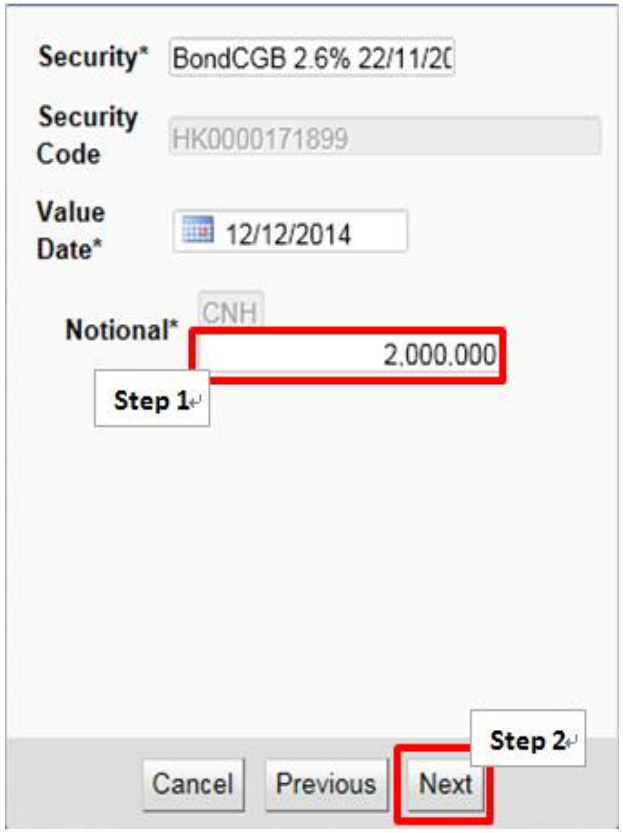
For **non-cash** collateral, choose the security from the dropdown list.



8. For **cash** collateral input the desired amount and click **Next** to complete the input. An error message will be prompted if the entered value is invalid.

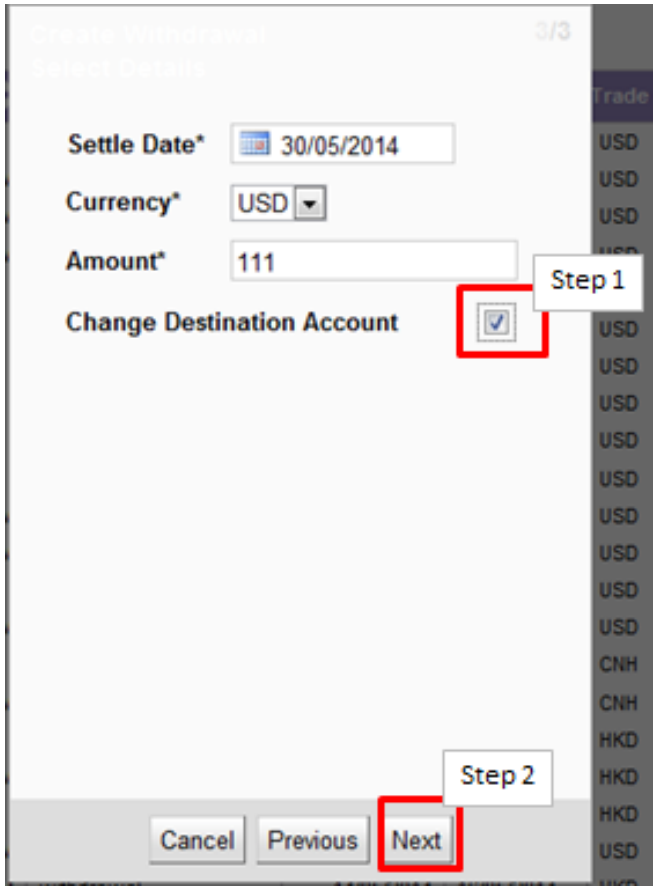


For **non-cash** collateral input the desired amount and click **Next** to complete the input. An error message will be prompted if the entered value is invalid.

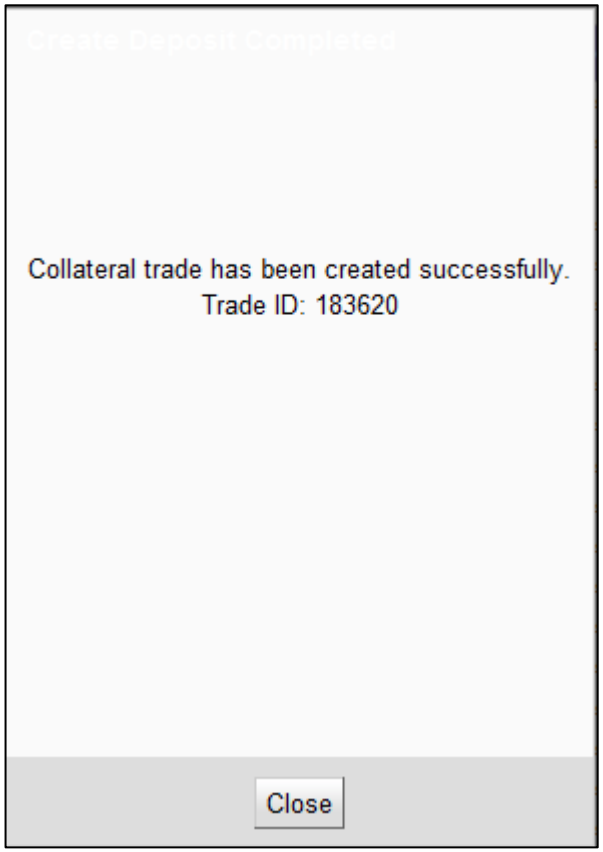


Note: If the deposit is for a client margin account, the OASIS user can indicate whether the deposit is from the house margin account and initiate an inter-account transfer. For the detail workflow, please refer to step 11.

9. The detail of the request will be displayed for final review. If the details are correct, Click **Finish**; otherwise, click **Previous** for amendment or **Cancel** to cancel the submission.

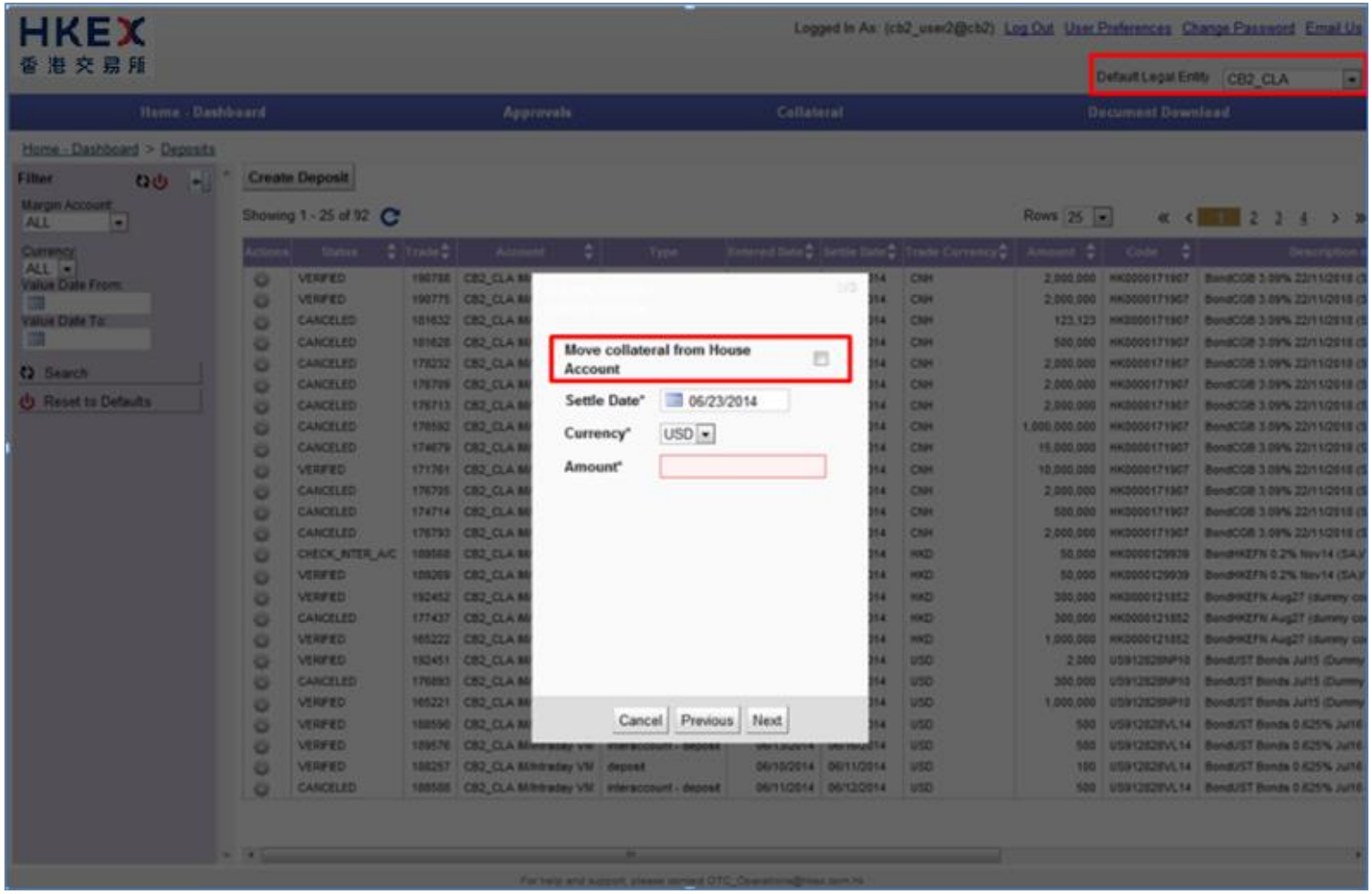

Settle Date*
30/05/2014
Currency*
USD
Amount*
111
Change Destination Account
Step 1
Step 2
Cancel
Previous
Next

10. After clicking **Finish**, the confirmation screen will be displayed. A unique reference ID will be assigned to each created request (i.e. "Trade Id"). User can leave the confirmation screen and continue using other functions of OASIS by clicking **Close**.

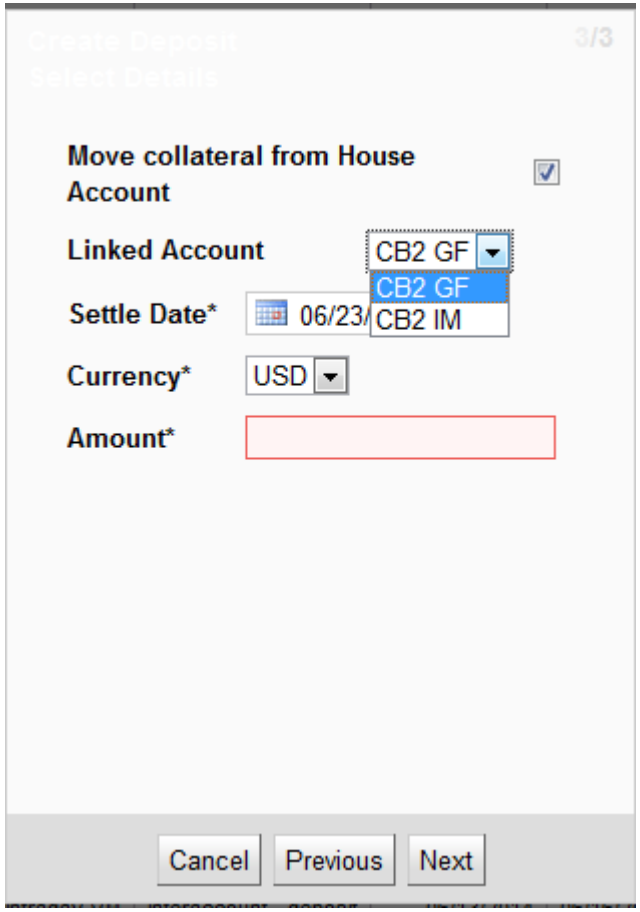


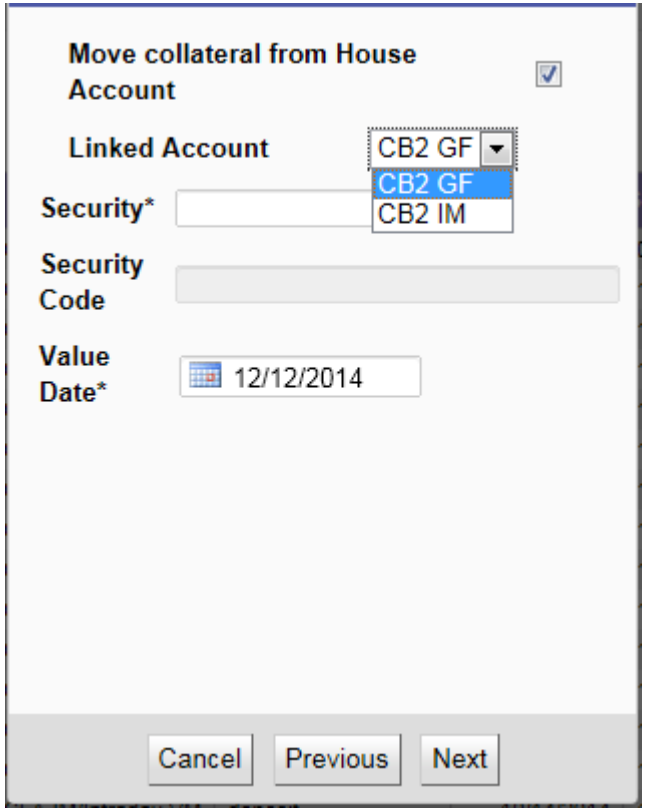
Note: The newly created request should be in "4EYES" status pending for approval. To ensure the request is successfully created, user should refresh the Content Area to confirm the request status. Prior to being approved by user with authorize access, the request can be cancel. Please refer to **Part III, Section 2.6** for the cancellation procedure and **Part III, Section 2.7** for the approval procedure.

11. If the collateral deposit is for a client margin account, the OASIS user can indicate whether the deposited fund is from the house margin account, i.e. an inter-account collateral transfer request, by selecting the red-boxed tick box "Move collateral from House Account".

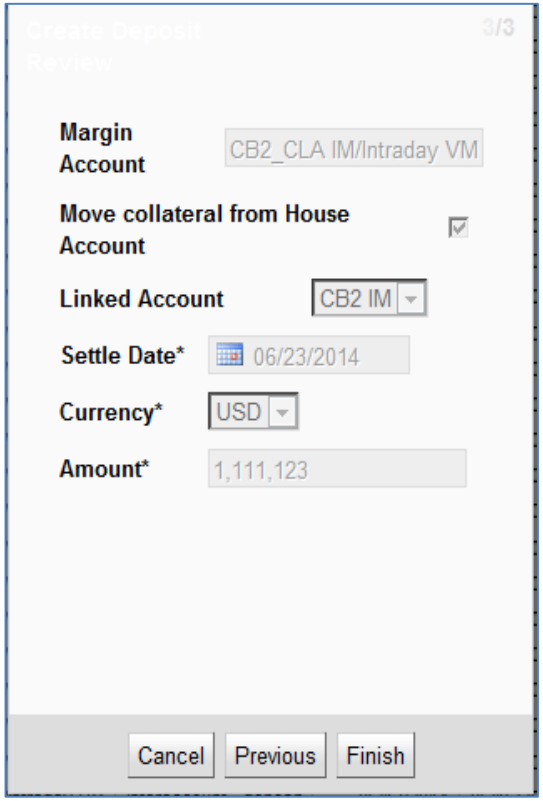


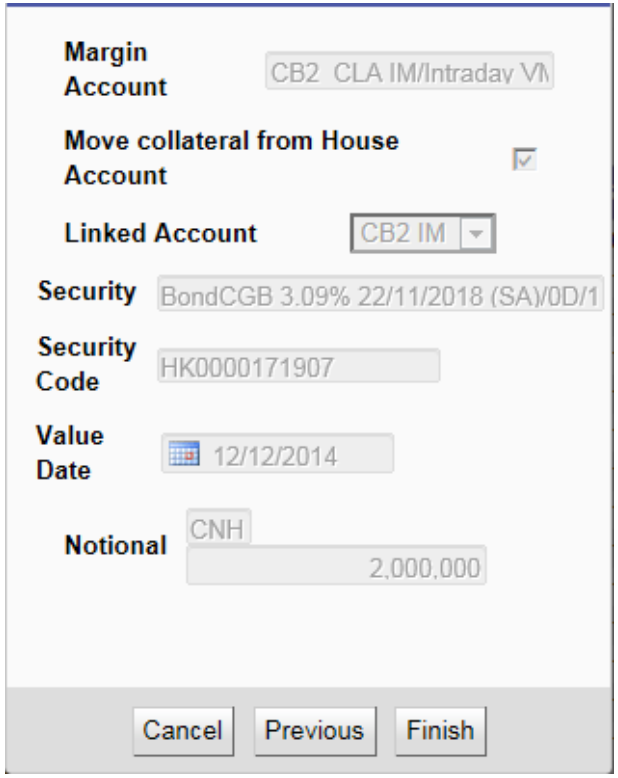
12. Once selected, the “Link Account” dropdown box will appear. User can indicated which account the fund will be debited from.


Create Deposit
Select Details
3/3
Move collateral from House Account
Linked Account
CB2 GF
CB2 GF
CB2 IM
Settle Date*
06/23/
Currency*
USD
Amount*
Cancel
Previous
Next



13. User is required to populate the remaining fields similar to a normal deposit request. After user populated the fields, the system will display the full detail of the request for user to reconfirm.


Create Deposit
3/3
Review
Margin Account
CB2_CLA IM/Intraday VM
Move collateral from House Account
Linked Account
CB2 IM
Settle Date*
06/23/2014
Currency*
USD
Amount*
1,111,123
Cancel
Previous
Finish



14. Please note once confirmed, this entry will generate two requests: 1. “interaccount – deposit” [for the Client Account] 2. “interaccount – withdrawal” [for the House Account]. Both requests must be approved by the approver and submitted to the Clearing House to enable the inter-account collateral transfer request. And this transfer request is accepted only when **both** requests are at “**VERIFIED”** status.

    As it involved withdrawal from the House account, the available time of the inter-account collateral transfer follows that of the collateral withdraw request, i.e. between 7:00 a.m. to 11:00 a.m., every OTC Clear Clearing Day.

2.5. Collateral Withdrawal Request

2.5.1. Function Descriptions

To submit collateral withdrawal request for withdrawing excess collaterals.

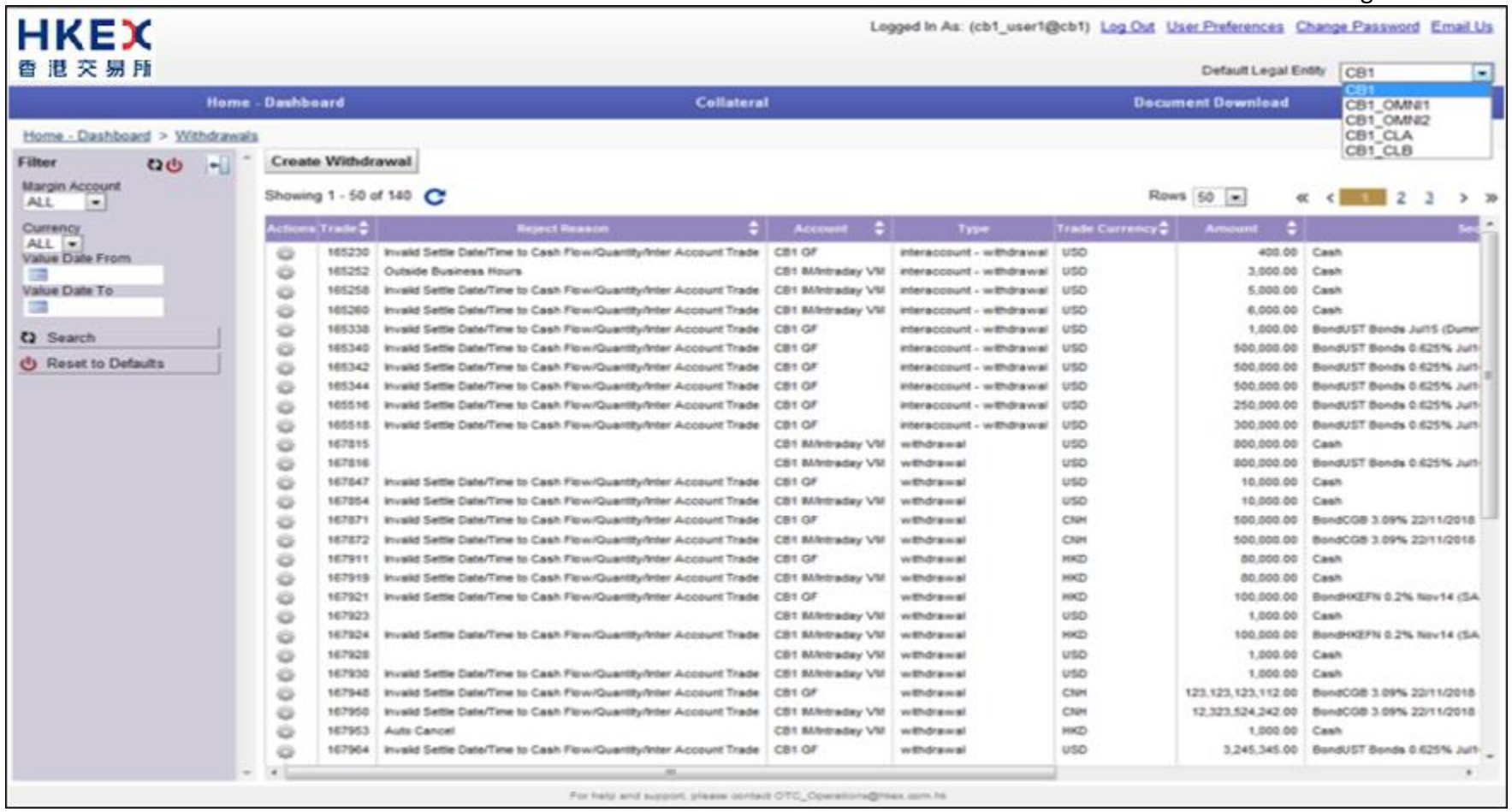
2.5.2. Function Available Time

7:30 a.m. to 11:00 a.m., every OTC Clear Clearing Day. The request will be cancelled automatically if the user submits the request outside the function available time.

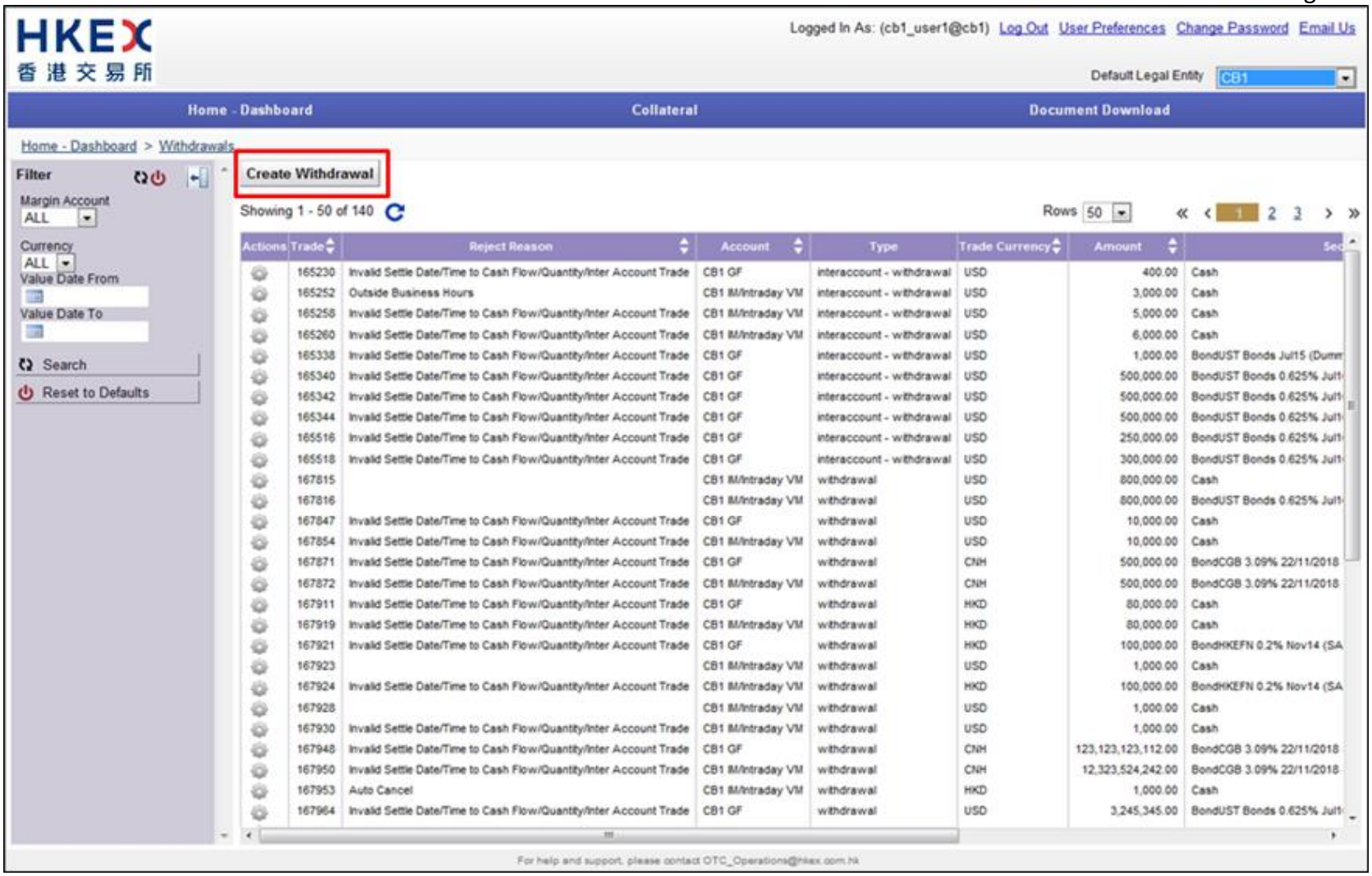
2.5.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Collateral**. The feature will be highlighted and a menu will appear. Then select **Withdrawals**.

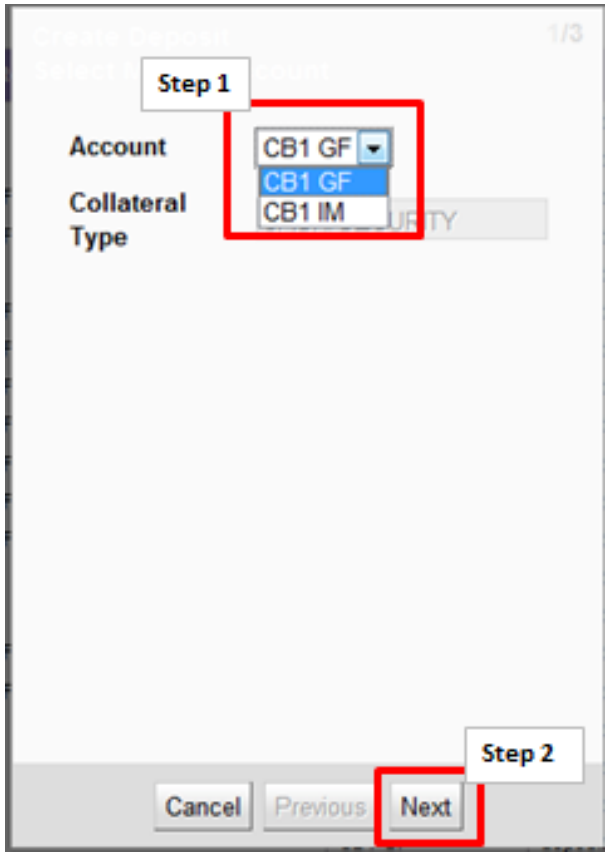
2. Current Location will be updated and the Content Area will display all the margin activities of the Clearing Member ID selected in the **Default Legal Entity** dropdown menu (located in the upper right hand corner above the **Main Menu**). For Clearing Member that provided Client Clearing Services, the dropdown menu will list out all the Clients associated with the Clearing Member. The user will need to select the appropriate Clearing Member ID to view historical collateral movement request or submit collateral movement request for the relevant accounts.



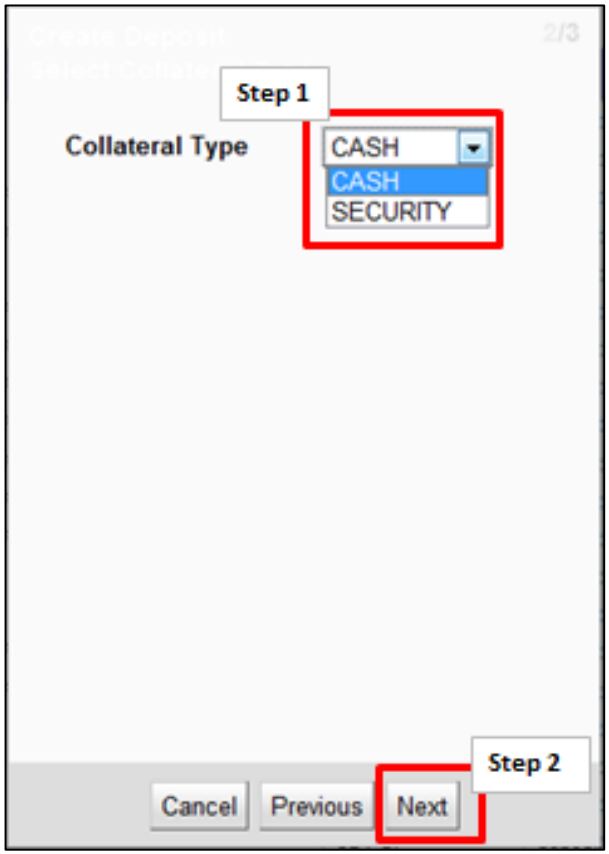
3. To submit new collateral withdrawal request, click **Create Withdrawal**.


HKEX 香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Collateral
Document Download
Home - Dashboard > Withdrawals
Filter
Margin Account ALL
Currency ALL
Value Date From
Value Date To
Search
Reset to Defaults
Create Withdrawal
Showing 1 - 50 of 140
Rows 50
1 2 3
Actions | Trade | Reject Reason | Account | Type | Trade Currency | Amount | Sec
165230 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | interaccount - withdrawal | USD | 400.00 | Cash
165252 | Outside Business Hours | CB1 IM/Intraday VM | interaccount - withdrawal | USD | 3,000.00 | Cash
165258 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 IM/Intraday VM | interaccount - withdrawal | USD | 5,000.00 | Cash
165260 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 IM/Intraday VM | interaccount - withdrawal | USD | 6,000.00 | Cash
165338 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | interaccount - withdrawal | USD | 1,000.00 | BondUST Bonds Jul15 (Dumm
165340 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | interaccount - withdrawal | USD | 500,000.00 | BondUST Bonds 0.625% Jul1
165342 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | interaccount - withdrawal | USD | 500,000.00 | BondUST Bonds 0.625% Jul1
165344 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | interaccount - withdrawal | USD | 500,000.00 | BondUST Bonds 0.625% Jul1
165516 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | interaccount - withdrawal | USD | 250,000.00 | BondUST Bonds 0.625% Jul1
165518 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | interaccount - withdrawal | USD | 300,000.00 | BondUST Bonds 0.625% Jul1
167815 | | CB1 IM/Intraday VM | withdrawal | USD | 800,000.00 | Cash
167816 | | CB1 IM/Intraday VM | withdrawal | USD | 800,000.00 | BondUST Bonds 0.625% Jul1
167847 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | withdrawal | USD | 10,000.00 | Cash
167854 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 IM/Intraday VM | withdrawal | USD | 10,000.00 | Cash
167871 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | withdrawal | CNH | 500,000.00 | BondCGB 3.09% 22/11/2018
167872 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 IM/Intraday VM | withdrawal | CNH | 500,000.00 | BondCGB 3.09% 22/11/2018
167911 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | withdrawal | HKD | 80,000.00 | Cash
167919 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 IM/Intraday VM | withdrawal | HKD | 80,000.00 | Cash
167921 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | withdrawal | HKD | 100,000.00 | BondHKEFN 0.2% Nov14 (SA
167923 | | CB1 IM/Intraday VM | withdrawal | USD | 1,000.00 | Cash
167924 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 IM/Intraday VM | withdrawal | HKD | 100,000.00 | BondHKEFN 0.2% Nov14 (SA
167928 | | CB1 IM/Intraday VM | withdrawal | USD | 1,000.00 | Cash
167930 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 IM/Intraday VM | withdrawal | USD | 1,000.00 | Cash
167948 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | withdrawal | CNH | 123,123,123,112.00 | BondCGB 3.09% 22/11/2018
167950 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 IM/Intraday VM | withdrawal | CNH | 12,323,524,242.00 | BondCGB 3.09% 22/11/2018
167953 | Auto Cancel | CB1 IM/Intraday VM | withdrawal | HKD | 1,000.00 | Cash
167964 | Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade | CB1 GF | withdrawal | USD | 3,245,345.00 | BondUST Bonds 0.625% Jul1
For help and support, please contact OTC_Operations@hkex.com.hk

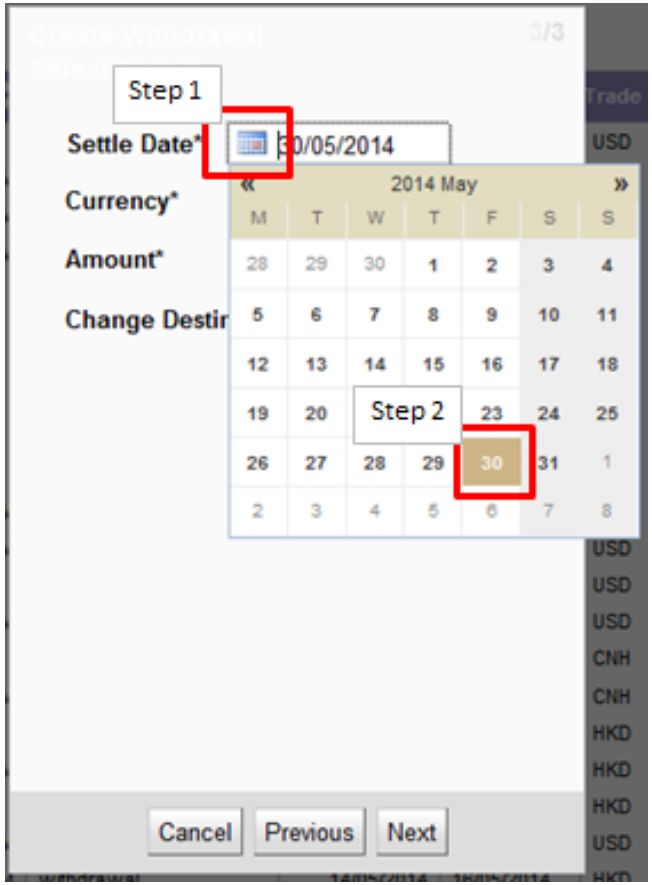
4. Choose the Account from the dropdown list and click **Next.** The letter GF is the abbreviation for Guarantee Fund while IM is Initial Margin. In the example below, if user wants to withdrawal collateral from Guarantee Fund, "CB1 GF" should be selected.



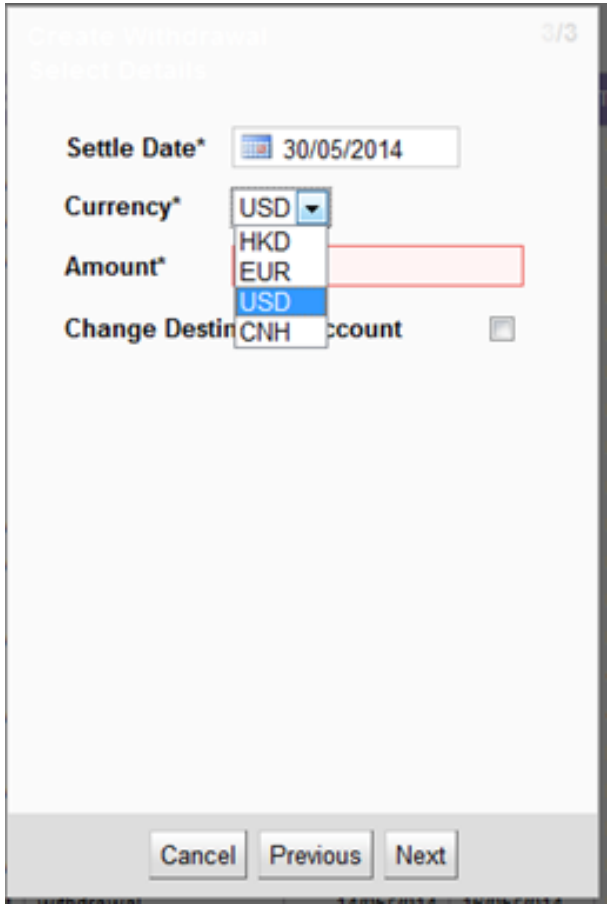
5. Select the Collateral Type for the deposit request and click **Next**.



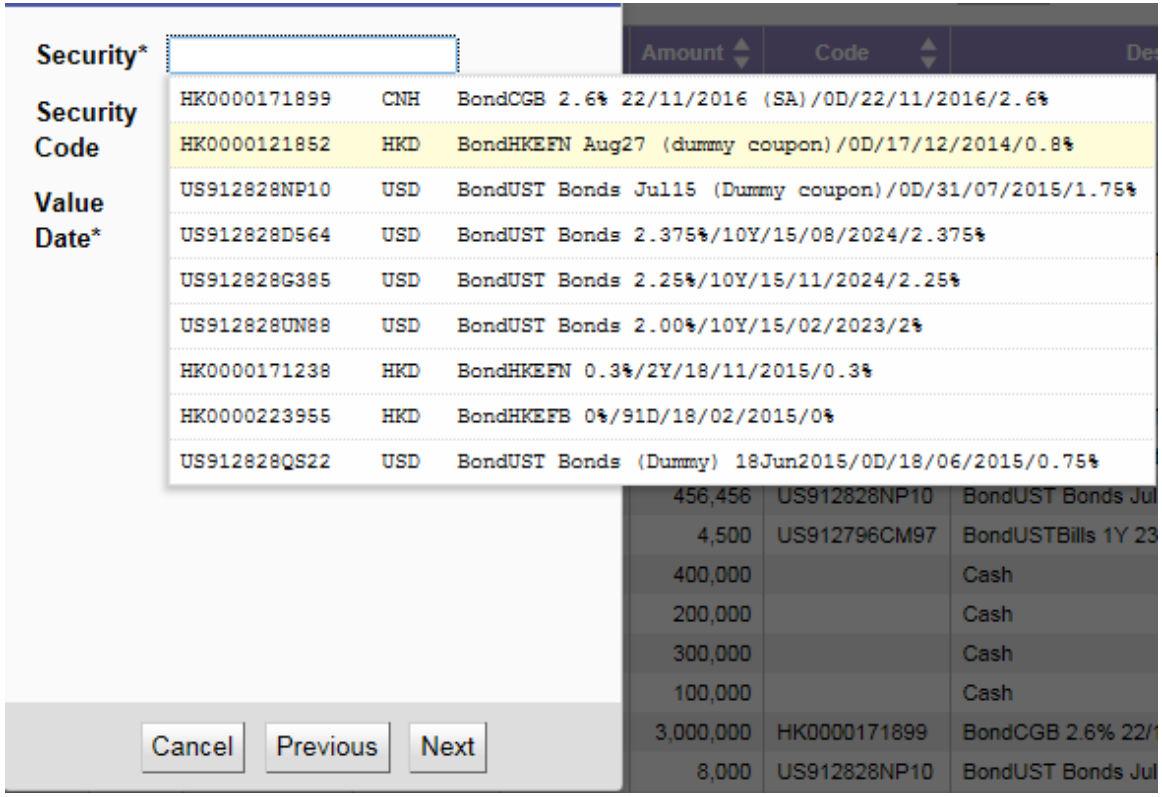
6. The Settle Date field is defaulted to the current day. The value can be change by selecting the calendar icon or type in the date directly into the input box. Please note OTC Clear **only accept** request for **cash** collateral with **current date as settle date**. Settle date for **non-cash** collateral will be accepted only if it is on the next available settlement date of such non-cash collateral, the following day of when the deposit/withdrawal request(s) is/are raised.



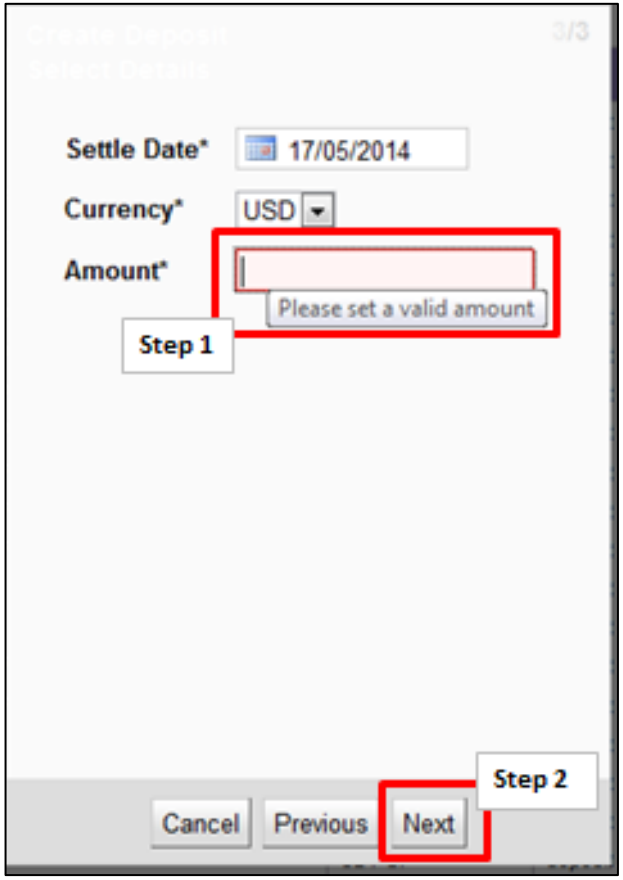
7. For **cash collateral**, choose the currency from the dropdown list.

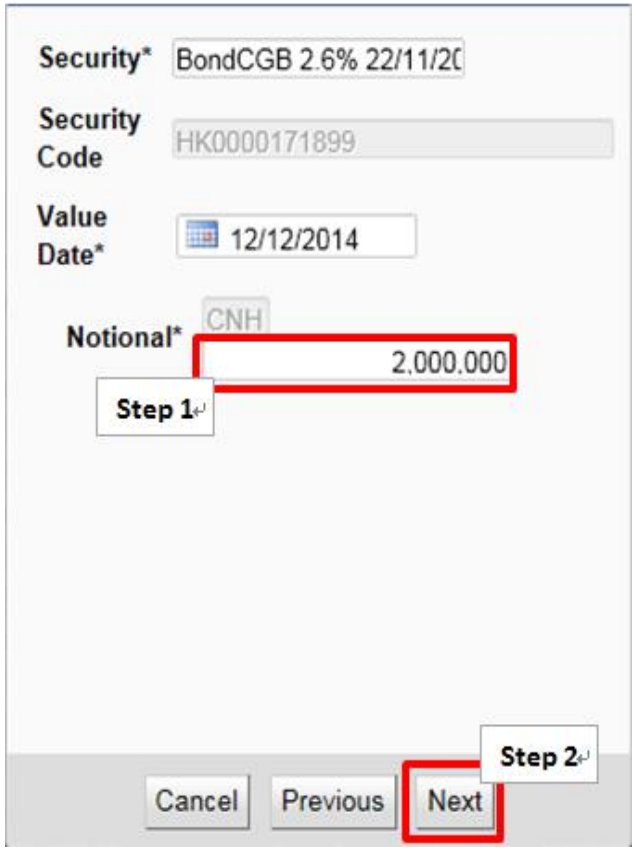


For **non-cash** collateral, choose the security from the dropdown list.



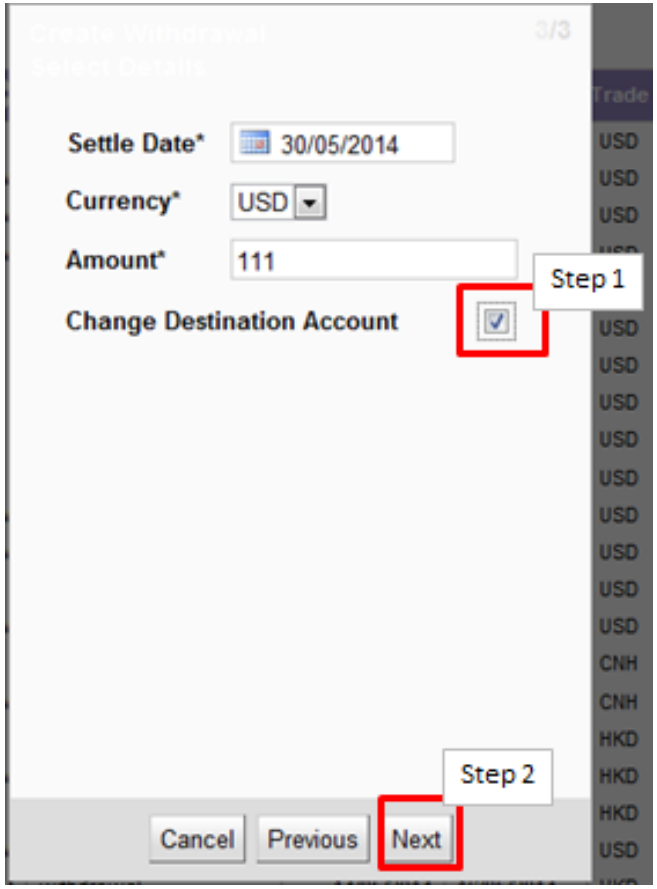
8. For cash collateral input the desired amount and click **Next** to complete the input. An error message will be prompted if the entered value is invalid.


Settle Date*
17/05/2014
Currency*
USD
Amount*
Please set a valid amount
Step 1
Step 2
Cancel
Previous
Next

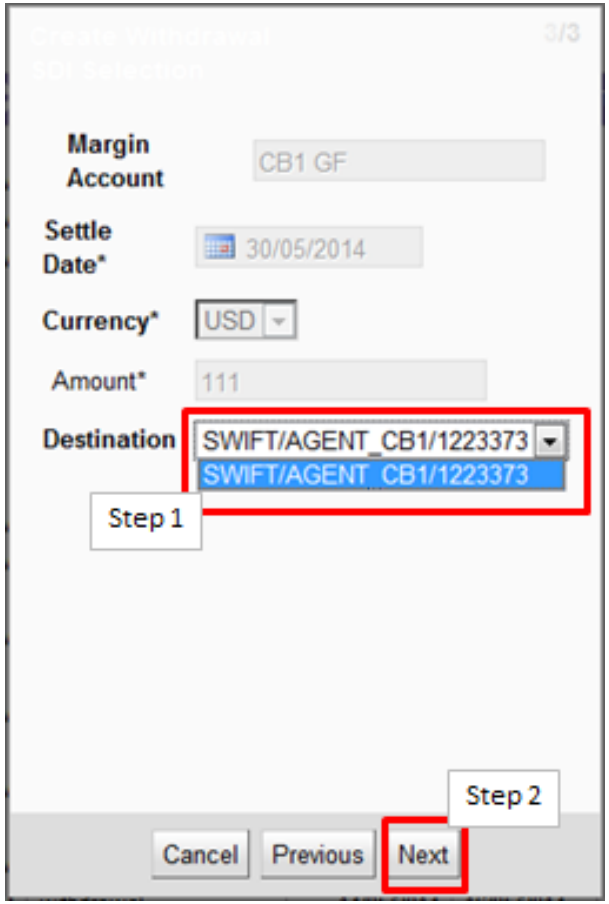


9. To complete the creation of the request, click **Next.**

   If user wants the withdrawal credits to a bank account registered with OTC Clear other than the default bank account, check the **Change Destination Account** checkbox before click **Next**. *[Function not applicable in current phase, can be ignored]*

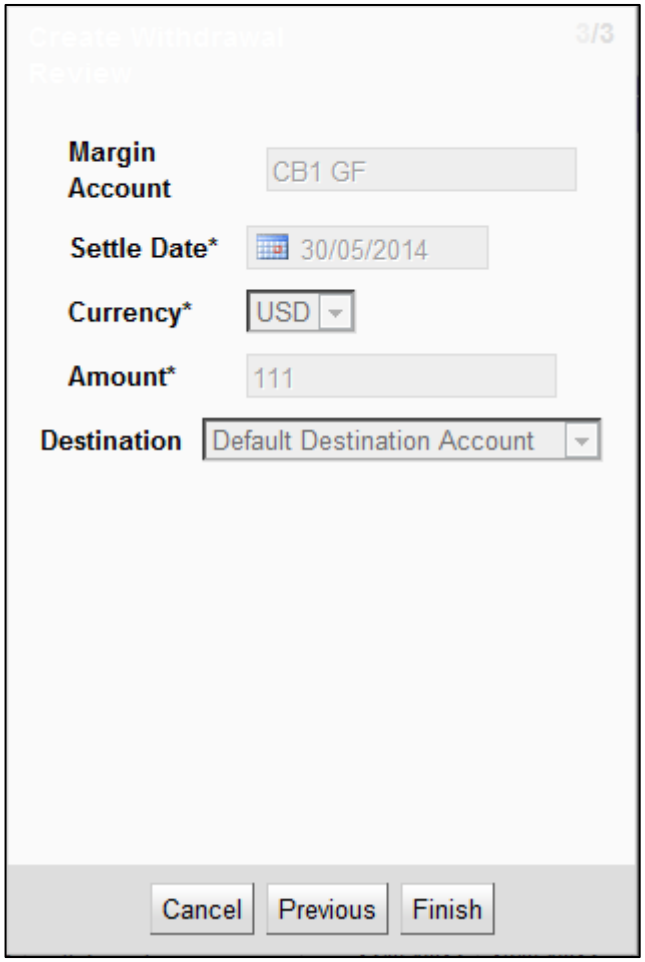


10. If the **Change Destination Account** checkbox was checked, a dropdown menu will be available for selection under **Destination**.

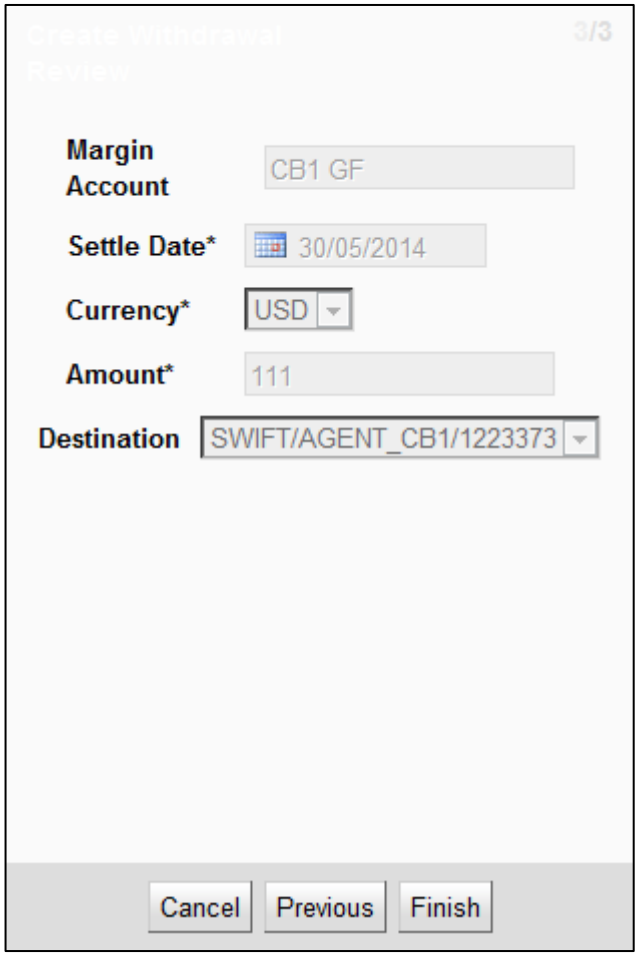


11. The detail of the request will be displayed for final review. If the details are correct, click **Finish**; otherwise, click **Previous** for amendment or **Cancel** to cancel the submission.

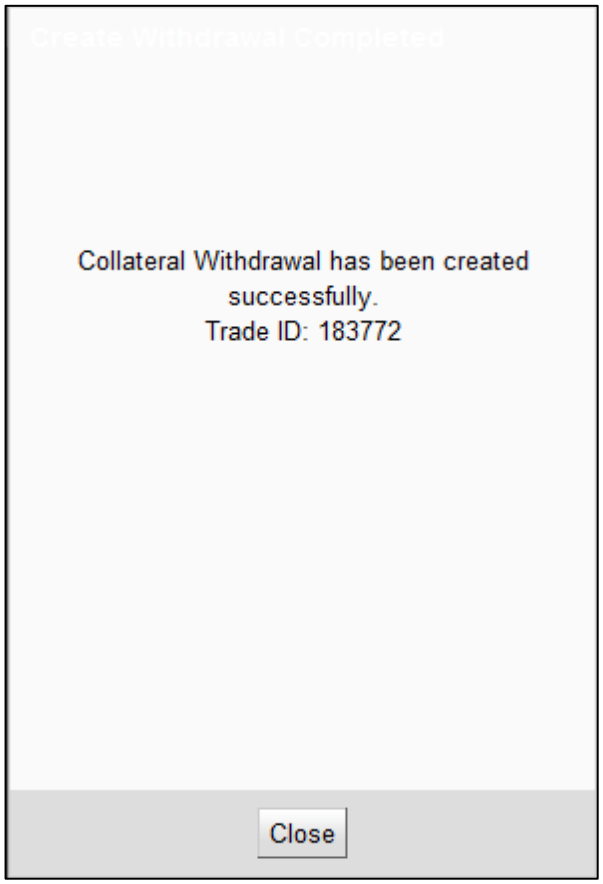
If **Change Destination Account** checkbox **wasn't** checked:



If **Change Destination Account** checkbox **was** checked:



12. After clicking **Finish**, the confirmation screen will be displayed. A unique reference ID will be assigned to each created request (i.e. “Trade Id”). User can leave the confirmation screen and continue using other functions of OASIS by clicking **Close**.



Note: The newly created request should be in "4EYES" status pending for approval. To ensure the request is successfully created, user should refresh the Content Area to confirm the request status. Prior to being approved by user with authorize access, the request can be cancel. Please refer to **Part III, Section 2.6** for the cancellation procedure and **Part III, Section 2.7** for the approval procedure.

2.6. Cancellation of Request Prior to Approval

2.6.1. Function Descriptions

To cancel the collateral movement request prior to approval (i.e. in 4EYES status)

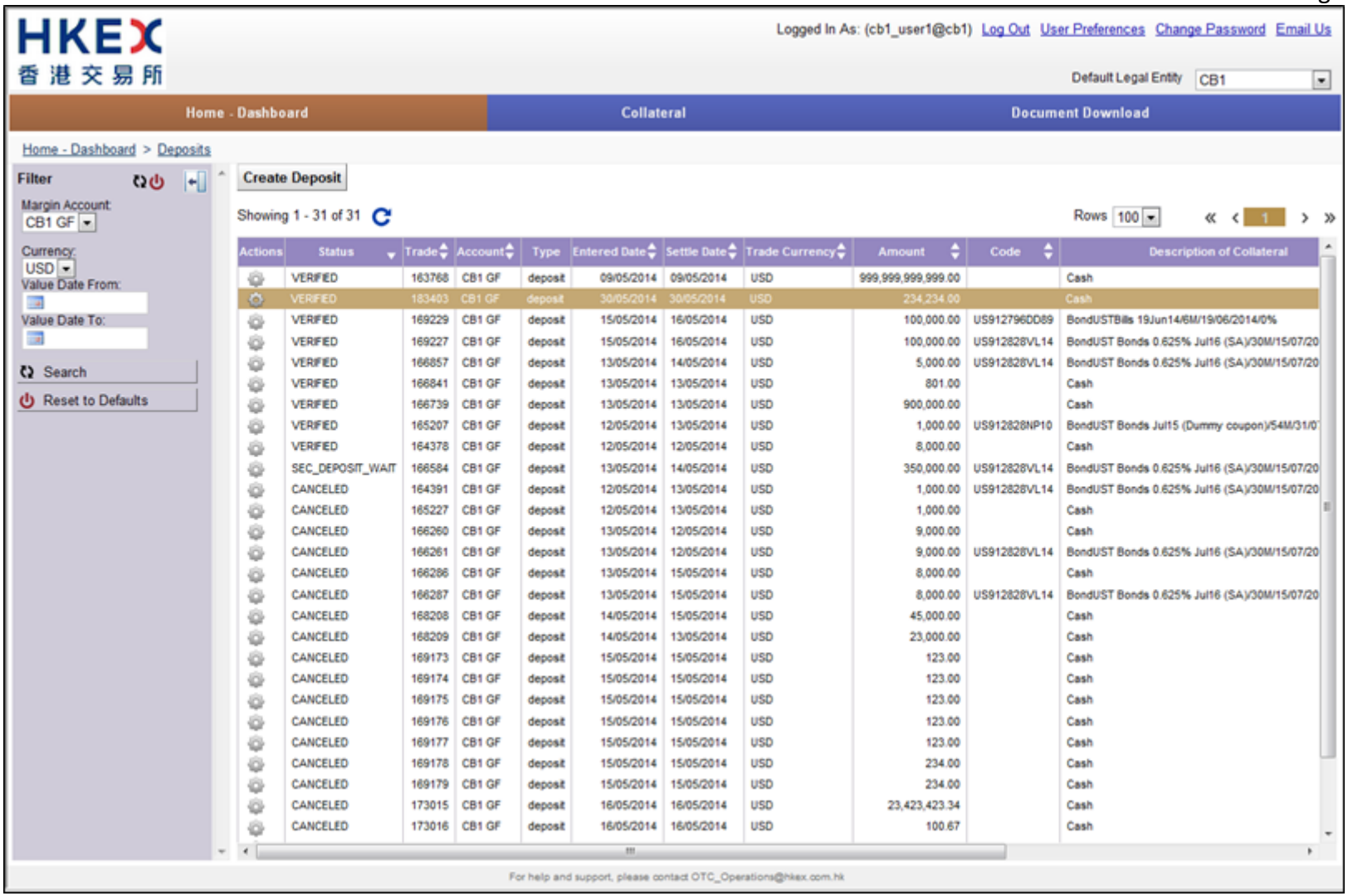
2.6.2. Function Available Time

Correspond to the function available time of the request type. Please refer to **Part III, Section 2.4** for deposit and **Part III, Section 2.5** for withdrawal.

2.6.3. How to Use (Step by Step)

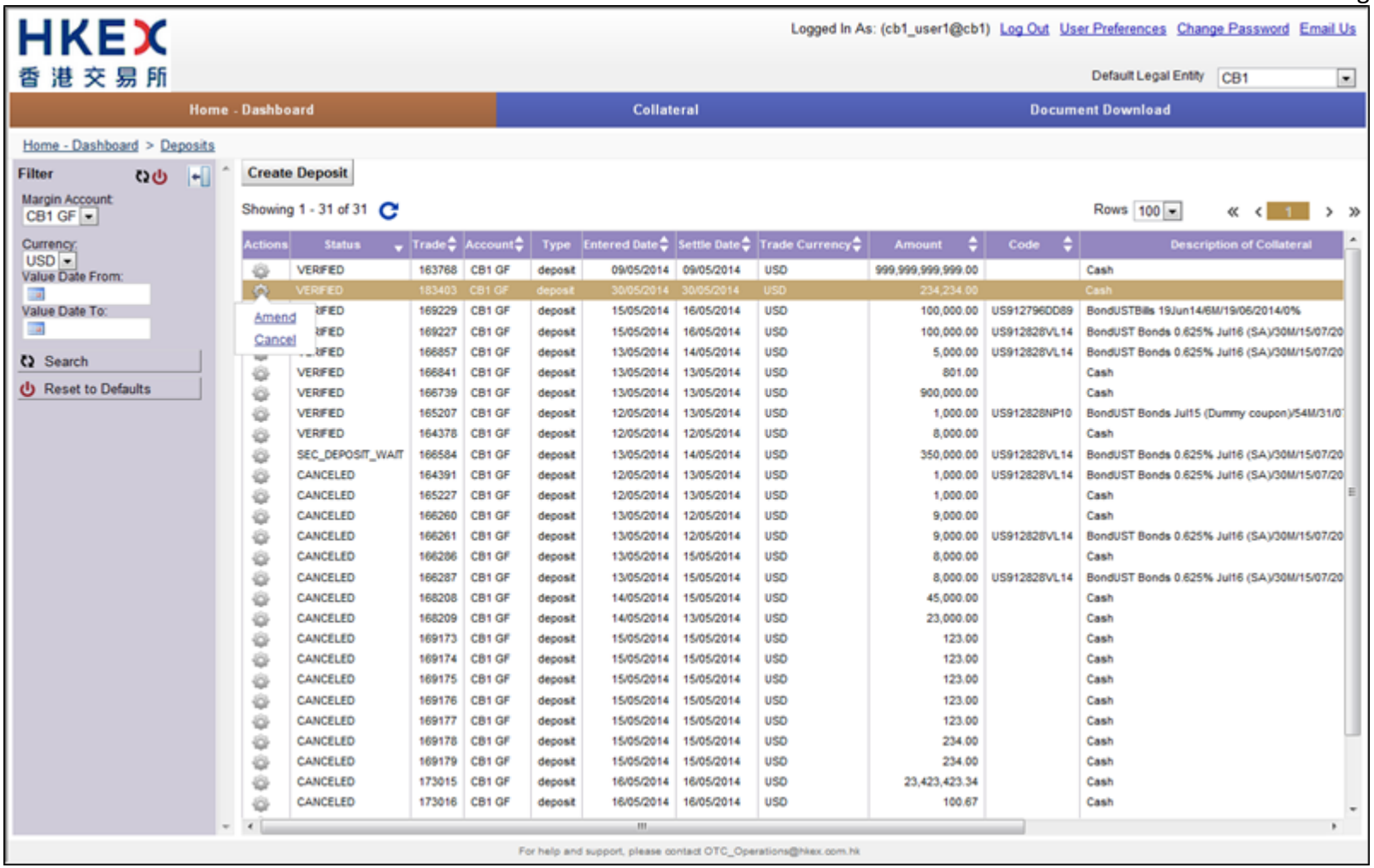
1. On the **Main Menu**, select **Collateral**. Then select **Deposits** or **Withdrawals** depending on the request type.

2. Refine the search result by using the Search Panel. After locating the request, select the request by right click on the specific row. The request will be highlighted when selected. Example, Trade ID 183403 is selected.


HKEX 香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Collateral
Document Download
Home - Dashboard > Deposits
Filter
Margin Account: CB1 GF
Currency: USD
Value Date From:
Value Date To:
Search
Reset to Defaults
Create Deposit
Showing 1 - 31 of 31
Rows 100
Actions | Status | Trade | Account | Type | Entered Date | Settle Date | Trade Currency | Amount | Code | Description of Collateral
VERIFIED | 163768 | CB1 GF | deposit | 09/05/2014 | 09/05/2014 | USD | 999,999,999,999.00 | | Cash
VERIFIED | 183403 | CB1 GF | deposit | 30/05/2014 | 30/05/2014 | USD | 234,234.00 | | Cash
VERIFIED | 169229 | CB1 GF | deposit | 15/05/2014 | 16/05/2014 | USD | 100,000.00 | US912796DD89 | BondUSTBills 19Jun14/6M/19/06/2014/0%
VERIFIED | 169227 | CB1 GF | deposit | 15/05/2014 | 16/05/2014 | USD | 100,000.00 | US912828VL14 | BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
VERIFIED | 166857 | CB1 GF | deposit | 13/05/2014 | 14/05/2014 | USD | 5,000.00 | US912828VL14 | BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
VERIFIED | 166841 | CB1 GF | deposit | 13/05/2014 | 13/05/2014 | USD | 801.00 | | Cash
VERIFIED | 166739 | CB1 GF | deposit | 13/05/2014 | 13/05/2014 | USD | 900,000.00 | | Cash
VERIFIED | 165207 | CB1 GF | deposit | 12/05/2014 | 13/05/2014 | USD | 1,000.00 | US912828NP10 | BondUST Bonds Jul15 (Dummy coupon)/54M/31/0
VERIFIED | 164378 | CB1 GF | deposit | 12/05/2014 | 12/05/2014 | USD | 8,000.00 | | Cash
SEC_DEPOSIT_WAIT | 166584 | CB1 GF | deposit | 13/05/2014 | 14/05/2014 | USD | 350,000.00 | US912828VL14 | BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
CANCELED | 164391 | CB1 GF | deposit | 12/05/2014 | 13/05/2014 | USD | 1,000.00 | US912828VL14 | BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
CANCELED | 165227 | CB1 GF | deposit | 12/05/2014 | 13/05/2014 | USD | 1,000.00 | | Cash
CANCELED | 166260 | CB1 GF | deposit | 13/05/2014 | 12/05/2014 | USD | 9,000.00 | | Cash
CANCELED | 166261 | CB1 GF | deposit | 13/05/2014 | 12/05/2014 | USD | 9,000.00 | US912828VL14 | BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
CANCELED | 166286 | CB1 GF | deposit | 13/05/2014 | 15/05/2014 | USD | 8,000.00 | | Cash
CANCELED | 166287 | CB1 GF | deposit | 13/05/2014 | 15/05/2014 | USD | 8,000.00 | US912828VL14 | BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
CANCELED | 168208 | CB1 GF | deposit | 14/05/2014 | 15/05/2014 | USD | 45,000.00 | | Cash
CANCELED | 168209 | CB1 GF | deposit | 14/05/2014 | 13/05/2014 | USD | 23,000.00 | | Cash
CANCELED | 169173 | CB1 GF | deposit | 15/05/2014 | 15/05/2014 | USD | 123.00 | | Cash
CANCELED | 169174 | CB1 GF | deposit | 15/05/2014 | 15/05/2014 | USD | 123.00 | | Cash
CANCELED | 169175 | CB1 GF | deposit | 15/05/2014 | 15/05/2014 | USD | 123.00 | | Cash
CANCELED | 169176 | CB1 GF | deposit | 15/05/2014 | 15/05/2014 | USD | 123.00 | | Cash
CANCELED | 169177 | CB1 GF | deposit | 15/05/2014 | 15/05/2014 | USD | 123.00 | | Cash
CANCELED | 169178 | CB1 GF | deposit | 15/05/2014 | 15/05/2014 | USD | 234.00 | | Cash
CANCELED | 169179 | CB1 GF | deposit | 15/05/2014 | 15/05/2014 | USD | 234.00 | | Cash
CANCELED | 173015 | CB1 GF | deposit | 16/05/2014 | 16/05/2014 | USD | 23,423,423.34 | | Cash
CANCELED | 173016 | CB1 GF | deposit | 16/05/2014 | 16/05/2014 | USD | 100.67 | | Cash
For help and support, please contact OTC_Operations@hkex.com.hk

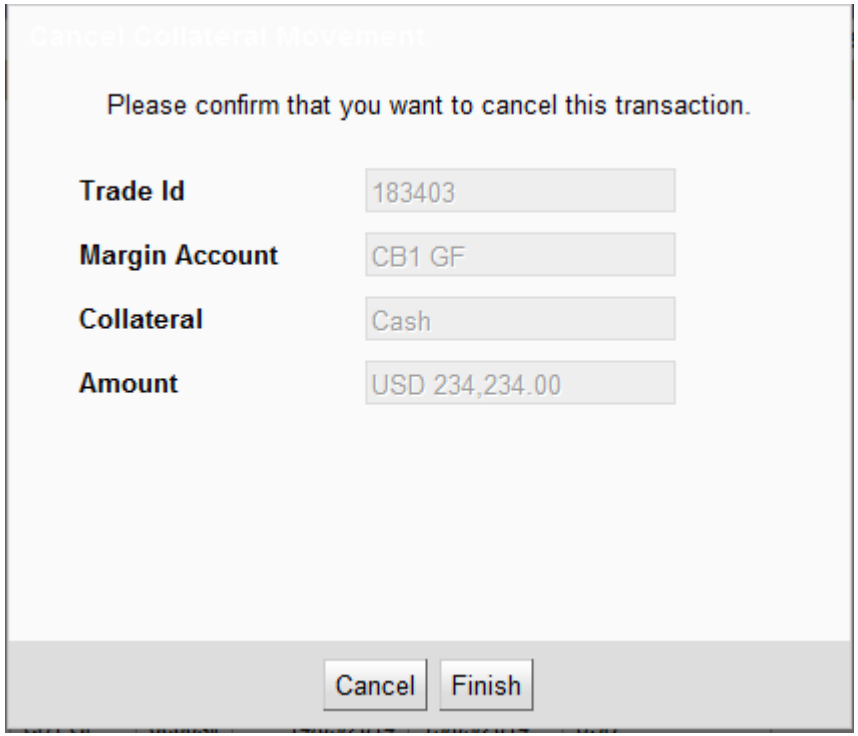
3. Click on the **Action icon** next to the selected request, a menu will appear. The action **Amend** and **Cancel** will be displayed. Click **Cancel**.

   Note: Amend feature is not applicable to collateral movement request.



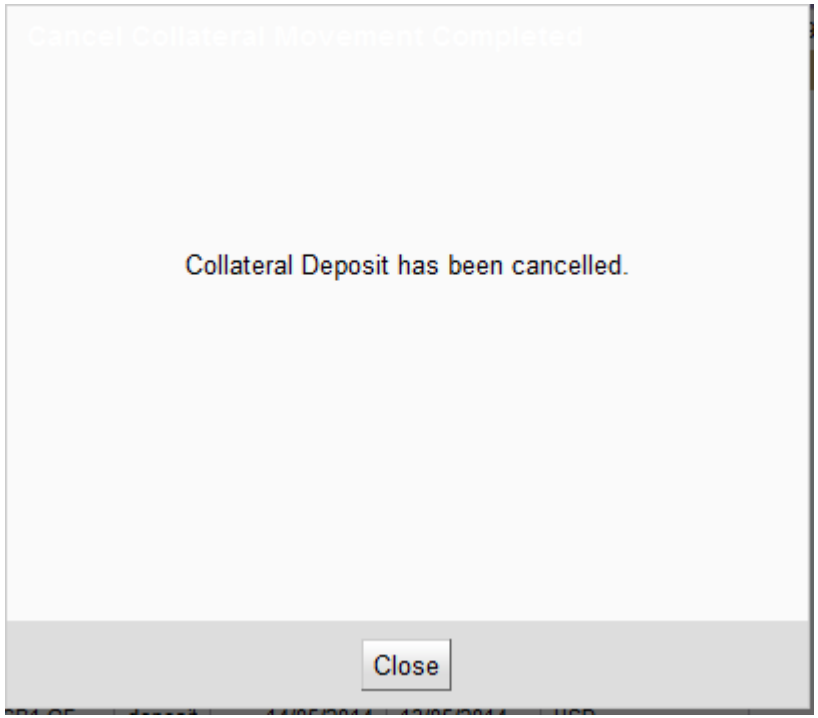
Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description of Collateral
	VERIFIED	163768	CB1 GF	deposit	09/05/2014	09/05/2014	USD	999,999,999,999.00		Cash
	VERIFIED	183403	CB1 GF	deposit	30/05/2014	30/05/2014	USD	234,234.00		Cash
	VERIFIED	169229	CB1 GF	deposit	15/05/2014	16/05/2014	USD	100,000.00	US912796DD89	BondUSTBills 19Jun14/6M/19/06/2014/0%
	VERIFIED	169227	CB1 GF	deposit	15/05/2014	16/05/2014	USD	100,000.00	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	VERIFIED	166857	CB1 GF	deposit	13/05/2014	14/05/2014	USD	5,000.00	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	VERIFIED	166841	CB1 GF	deposit	13/05/2014	13/05/2014	USD	801.00		Cash
	VERIFIED	166739	CB1 GF	deposit	13/05/2014	13/05/2014	USD	900,000.00		Cash
	VERIFIED	165207	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00	US912828NP10	BondUST Bonds Jul15 (Dummy coupon)/54M/31/0
	VERIFIED	164378	CB1 GF	deposit	12/05/2014	12/05/2014	USD	8,000.00		Cash
	SEC_DEPOSIT_WAIT	166584	CB1 GF	deposit	13/05/2014	14/05/2014	USD	350,000.00	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	CANCELED	164391	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	CANCELED	165227	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00		Cash
	CANCELED	166260	CB1 GF	deposit	13/05/2014	12/05/2014	USD	9,000.00		Cash
	CANCELED	166261	CB1 GF	deposit	13/05/2014	12/05/2014	USD	9,000.00	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	CANCELED	166286	CB1 GF	deposit	13/05/2014	15/05/2014	USD	8,000.00		Cash
	CANCELED	166287	CB1 GF	deposit	13/05/2014	15/05/2014	USD	8,000.00	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	CANCELED	168208	CB1 GF	deposit	14/05/2014	15/05/2014	USD	45,000.00		Cash
	CANCELED	168209	CB1 GF	deposit	14/05/2014	13/05/2014	USD	23,000.00		Cash
	CANCELED	169173	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169174	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169175	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169176	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169177	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169178	CB1 GF	deposit	15/05/2014	15/05/2014	USD	234.00		Cash
	CANCELED	169179	CB1 GF	deposit	15/05/2014	15/05/2014	USD	234.00		Cash
	CANCELED	173015	CB1 GF	deposit	16/05/2014	16/05/2014	USD	23,423,423.34		Cash
	CANCELED	173016	CB1 GF	deposit	16/05/2014	16/05/2014	USD	100.67		Cash

4. A message will be prompted for confirming the cancellation. If the details are correct and confirm the cancellation, click **Finish**; otherwise, click **Cancel** to abort the cancellation.

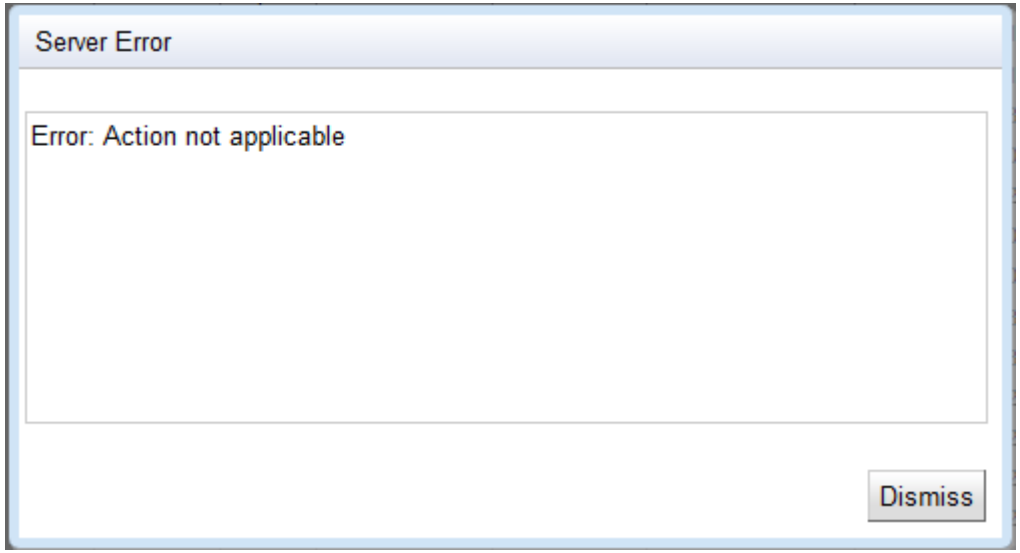


5. After clicking **Finish**, the confirmation screen will be displayed. User can leave the confirmation screen and continue using other functions of OASIS by clicking **Close**.

   The request should be in "CANCELLED" status. To ensure the request is successfully created, user should refresh the Content Area to confirm the request status.



6. If cancellation is applied to a request with status other than "4EYES", no action will be applied to the request and/or the following warning message will appear. Subsequent to any cancellation, it is recommended for user to retrieve the latest details of the request by using the Enquiry Function detailed in **Part III, Section 2.3**.



2.7. Approval of Request

2.7.1. Function Descriptions

OASIS Collateral Management Portal employs a maker-checker mechanism. All Collateral Movement Request is required to be created by the maker and approved by a user with Authorize access prior to submitting to OTC Clear. OTC Clear will only process approved requests.

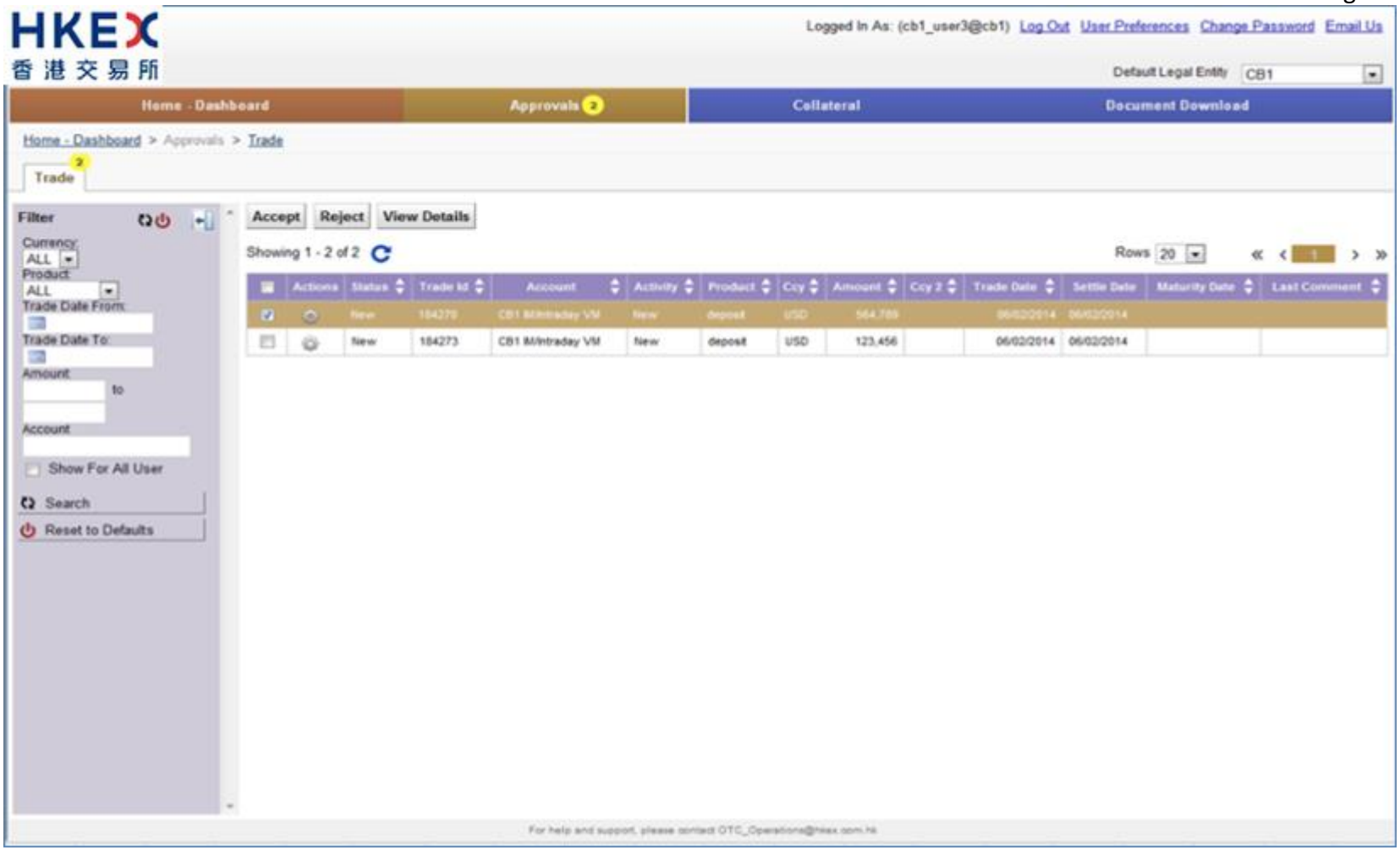
2.7.2. Function Available Time

Correspond to the function available time of the request type. Please refer to **Part III, Section 2.4** for deposit and **Part III, Section 2.5** for withdrawal.

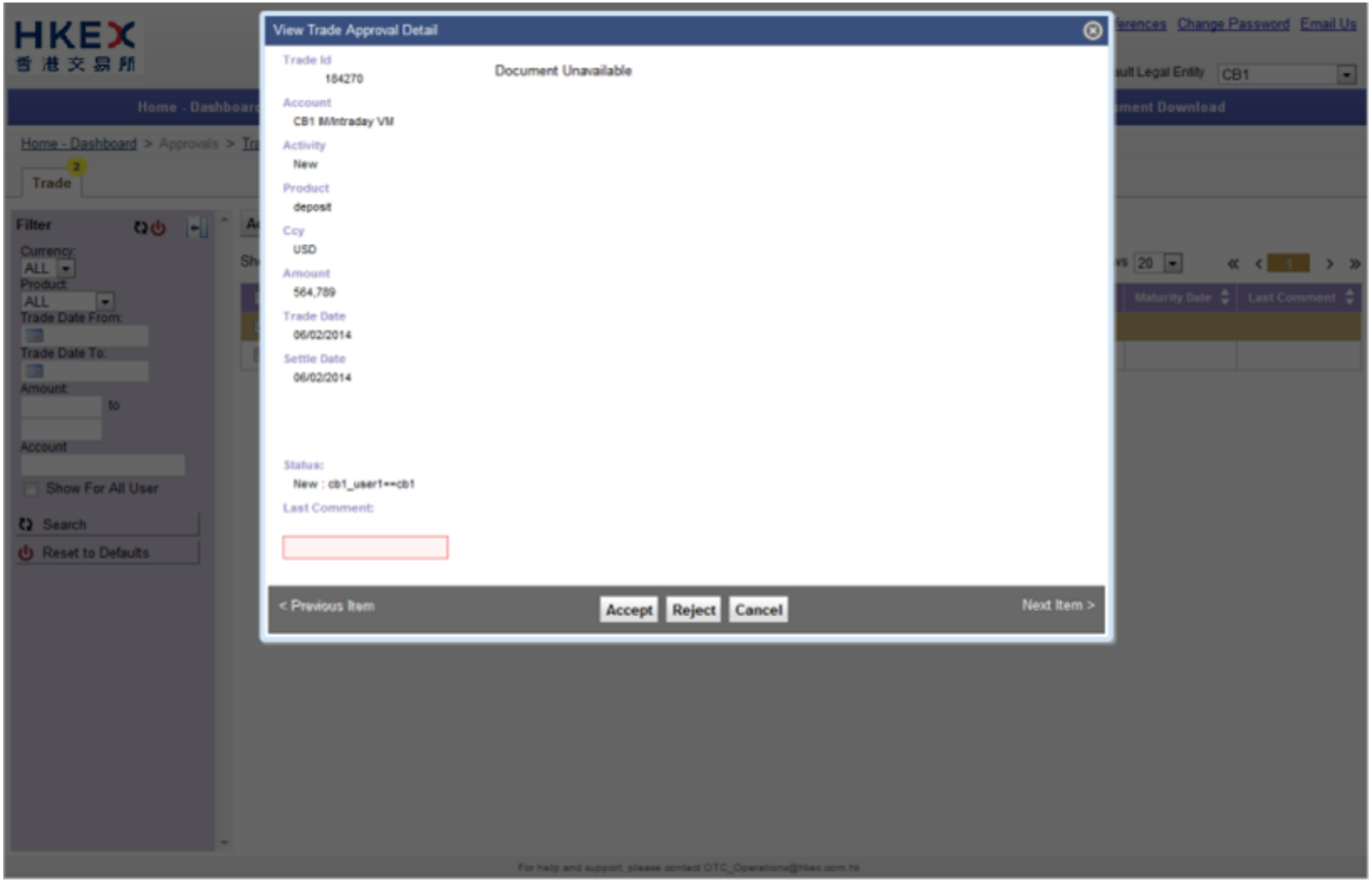
2.7.3. How to Use (Step by Step)

1. On the **Main Menu**, select **Approvals**. Note: the dashboard will highlight the number of requests pending approval.

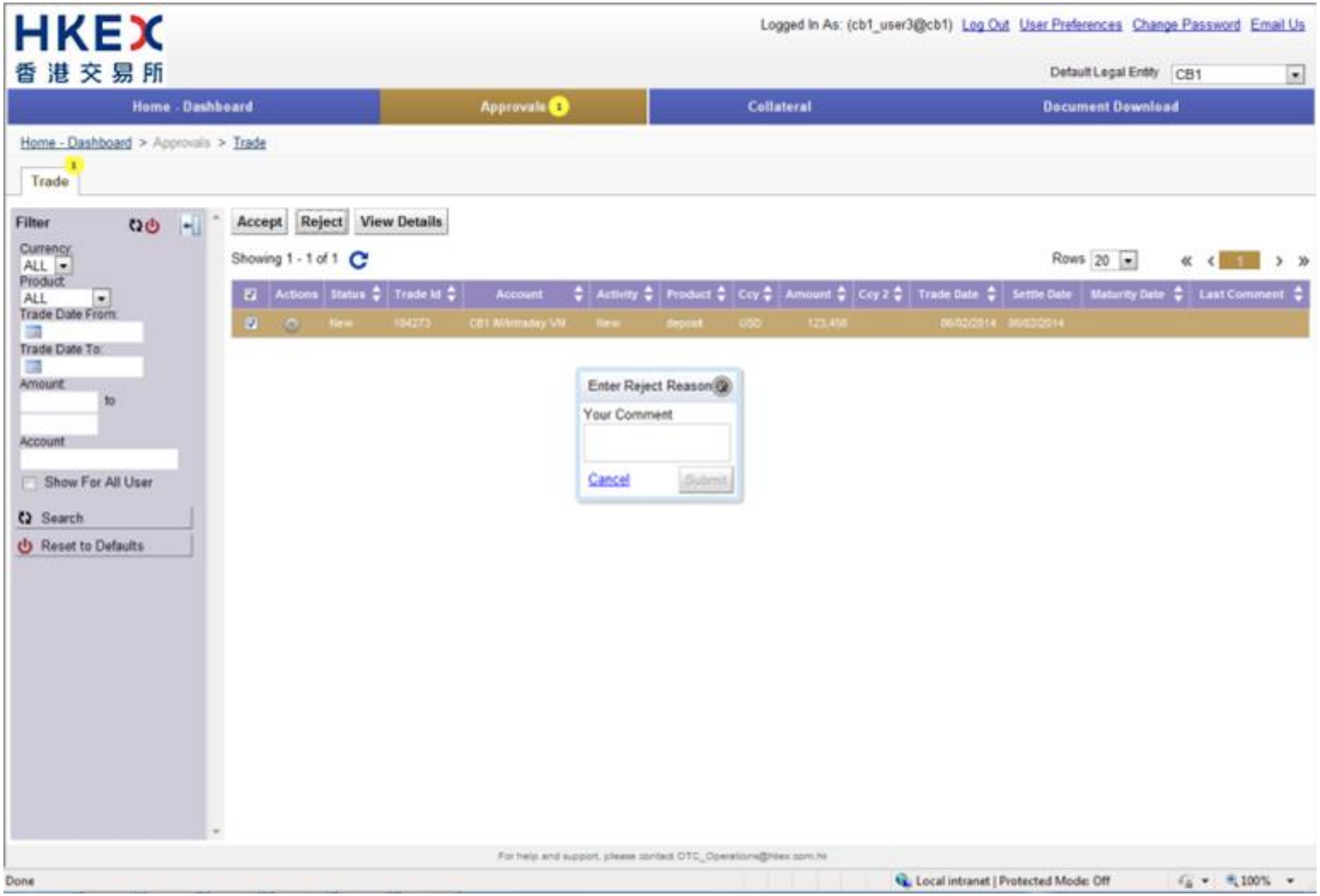
2. Refine the search result by using the Search Panel. After locating the request, select the request by checking the checkbox located at the first column of each row. The request will be highlighted. Example, Trade ID 184270 is selected.



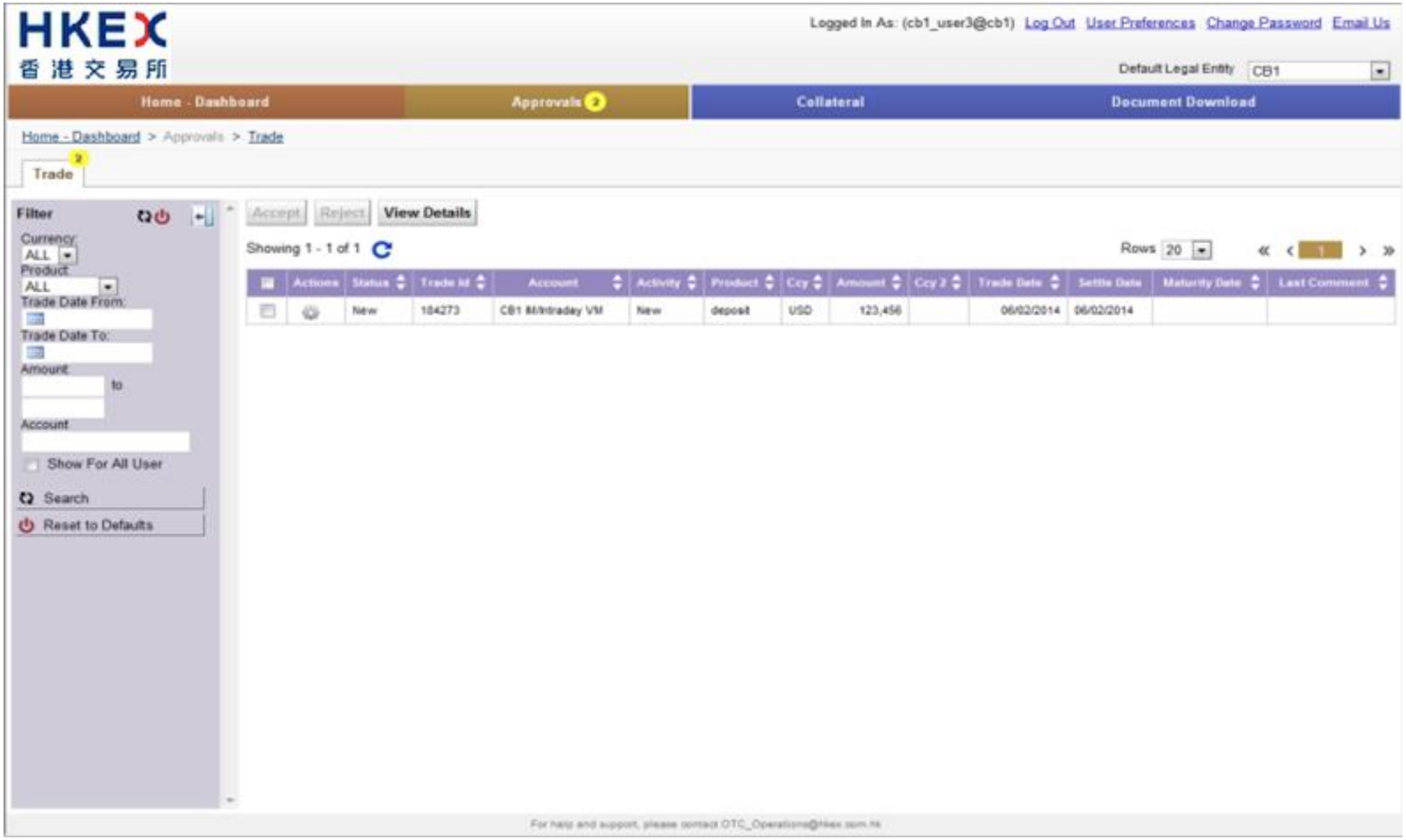
3. User can choose **View Details** to view the detail of the request. A message box will be prompted for confirming the request.


View Trade Approval Detail
Trade Id
184270
Document Unavailable
Account
CB1 IM/Intraday VM
Activity
New
Product
deposit
Ccy
USD
Amount
564,789
Trade Date
06/02/2014
Settle Date
06/02/2014
Status:
New : cb1_user1**cb1
Last Comment:
< Previous Item
Accept
Reject
Cancel
Next Item >
Trade
Filter
Currency:
ALL
Product:
ALL
Trade Date From:
Trade Date To:
Amount
to
Account
Show For All User
Search
Reset to Defaults

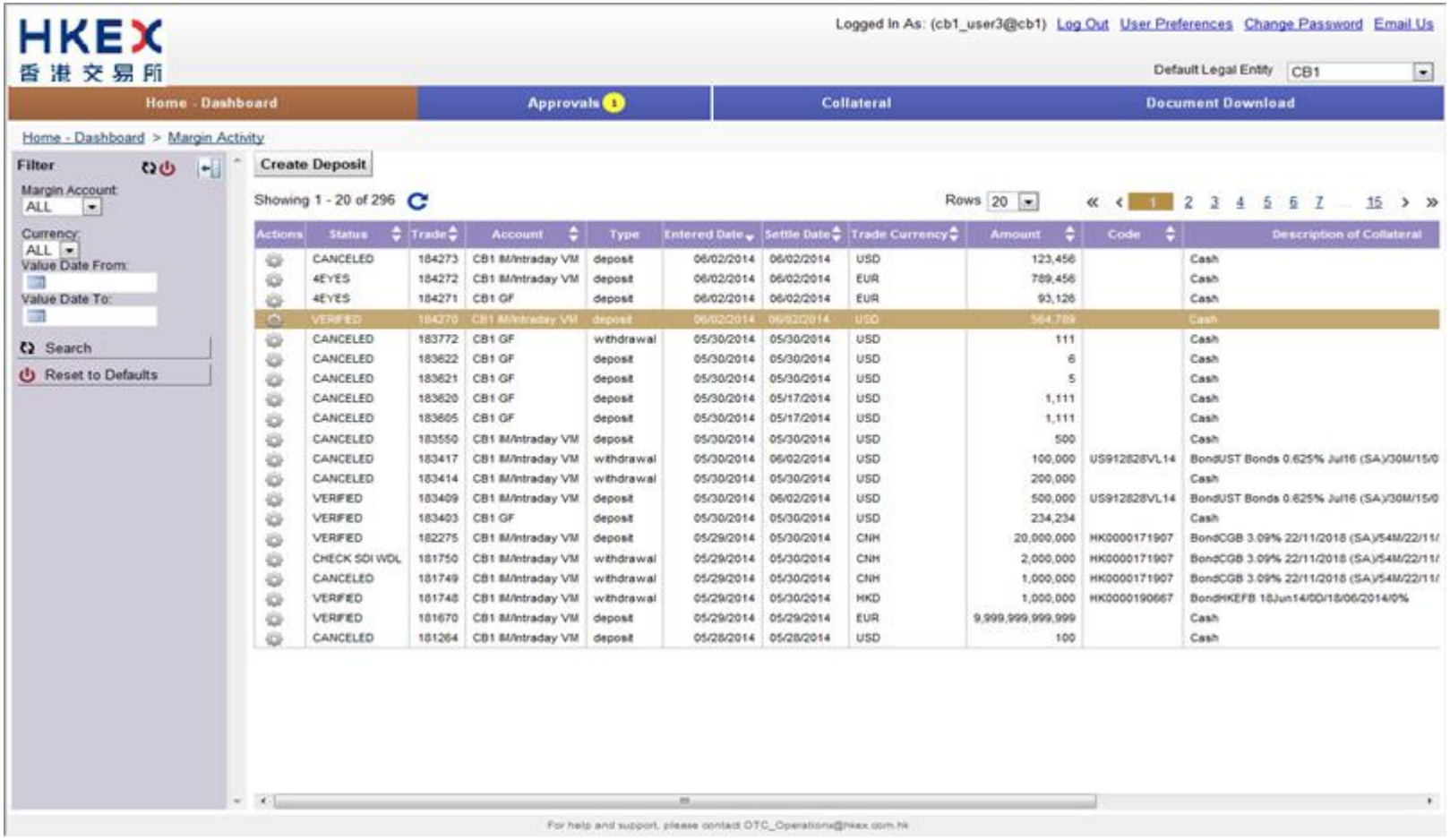
4. If the details are correct, approve the request by clicking **Accept**; otherwise, click **Reject** to reject the request or **Cancel** to go back to the approval menu. User can input the reason for rejection at the comment box after clicking **Reject**.


HKEX
香港交易所
Logged In As: (cb1_user3@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Approvals 1
Collateral
Document Download
Home - Dashboard > Approvals > Trade
Trade
Filter
Currency
ALL
Product
ALL
Trade Date From
Trade Date To
Amount
to
Account
Show For All User
Search
Reset to Defaults
Accept
Reject
View Details
Showing 1 - 1 of 1
Rows 20
Actions
Status
Trade Id
Account
Activity
Product
Ccy
Amount
Ccy 2
Trade Date
Settle Date
Maturity Date
Last Comment
Enter Reject Reason
Your Comment
Cancel
Submit
Done
Local intranet | Protected Mode: Off
100%

5. Once the request is approved (or rejected), it will disappeared from the list of requests pending approval.



6. Subsequent to any approval, it is recommended for user to retrieve the latest status of the request by using the Enquiry Function detailed in **Part III, Section 2.3**. Example, request ID#184273 was rejected and request ID#184270 was approved.



7. For inter-account collateral transfer, both requests will get approved/rejected when the approver approve/reject one of the two requests. Please refer to **Part III, Section 2.4 Step 11 to 14** for greater details.

3. Report Functions

3.1. Searching the Reports

3.1.1. Function Descriptions

To locate a specific report published on a particular day/time. The following types of reports are published by OTC Clear on OASIS:

- Trade reports
- Settlement reports
- Margin reports
- Market Data reports

For the full list of OASIS reports, please refer to the Report Usage Guide.

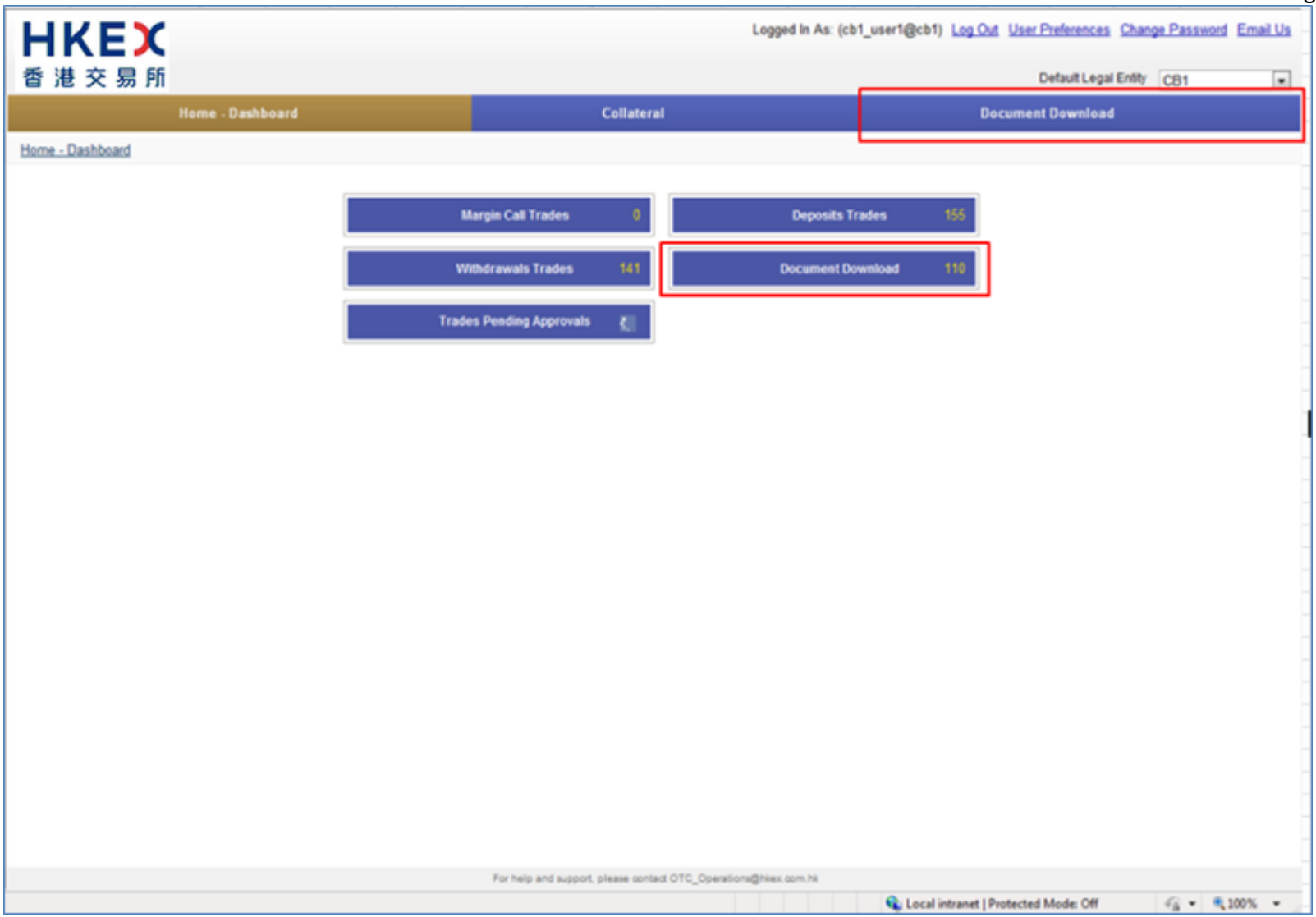
3.1.2. Function Available Time

7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day. Different reports have different publish time; please refer to the Report Usage Guide for details

3.1.3. How to Use (Step by Step)

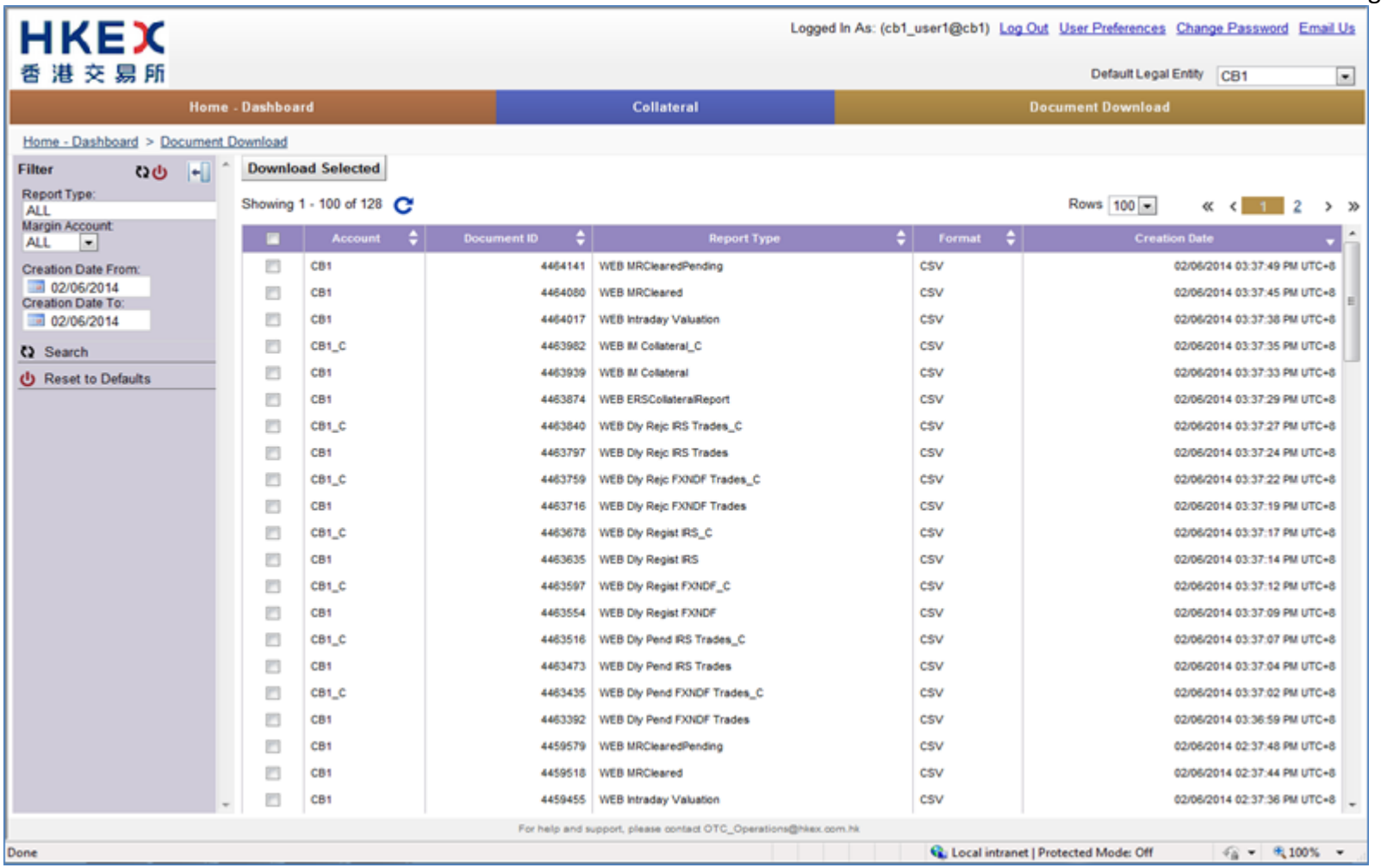
1. On the Main **Menu**, select **Document Download**. Please note the dashboard shows the number of reports published for the day.

HKEX 香港交易所

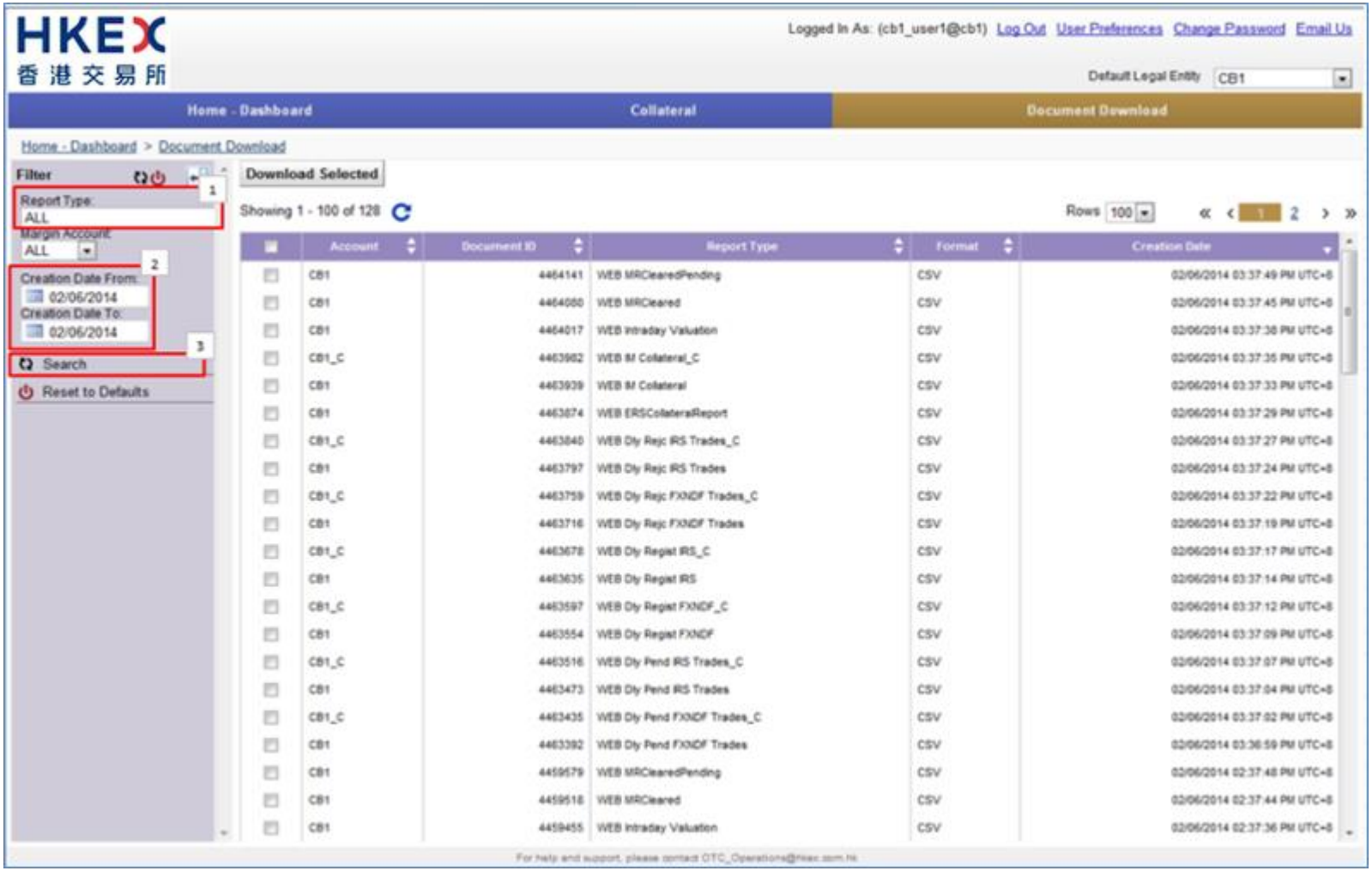

HKEX
香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Collateral
Document Download
Home - Dashboard
Margin Call Trades 0
Deposits Trades 155
Withdrawals Trades 141
Document Download 110
Trades Pending Approvals
For help and support, please contact OTC_Operations@hkex.com.hk
Local intranet | Protected Mode: Off
100%

Note: the Default Legal Entity must be the Clearing Member to view both reports for House Business and Client Clearing Services.

2. By default, the Content Area will display all the reports published on the login day.



3. User can refine the reports displayed in the Content Area by using the search panel.


HKEX 香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Collateral
Document Download
Home - Dashboard > Document Download
Filter
Report Type: ALL
Margin Account: ALL
Creation Date From: 02/06/2014
Creation Date To: 02/06/2014
Search
Reset to Defaults
Download Selected
Showing 1 - 100 of 128
Rows 100
Account
Document ID
Report Type
Format
Creation Date
For help and support, please contact OTC_Operations@hkex.com.hk

4. User can refer to the below table for the attributes in the order displayed.

Column	Descriptions
Select Box	Check box for Clearing Members to select the reports to be downloaded
Account	Collateral/Margin Account
Report ID	A unique identification number of the report
Report Name	Name of the report
Format	File format of the report [CSV: Comma Separated Values)
Creation Date	Date and time when the report is generated [Format: DD/MM/YYYY HH:MM:SS AM/PM UTC+8]

3.2. Downloading Reports

3.2.1. Function Descriptions

User can retrieve the following types of reports published by OTC Clear on OASIS:

- Trade reports
- Settlement reports
- Margin reports
- Market Data reports

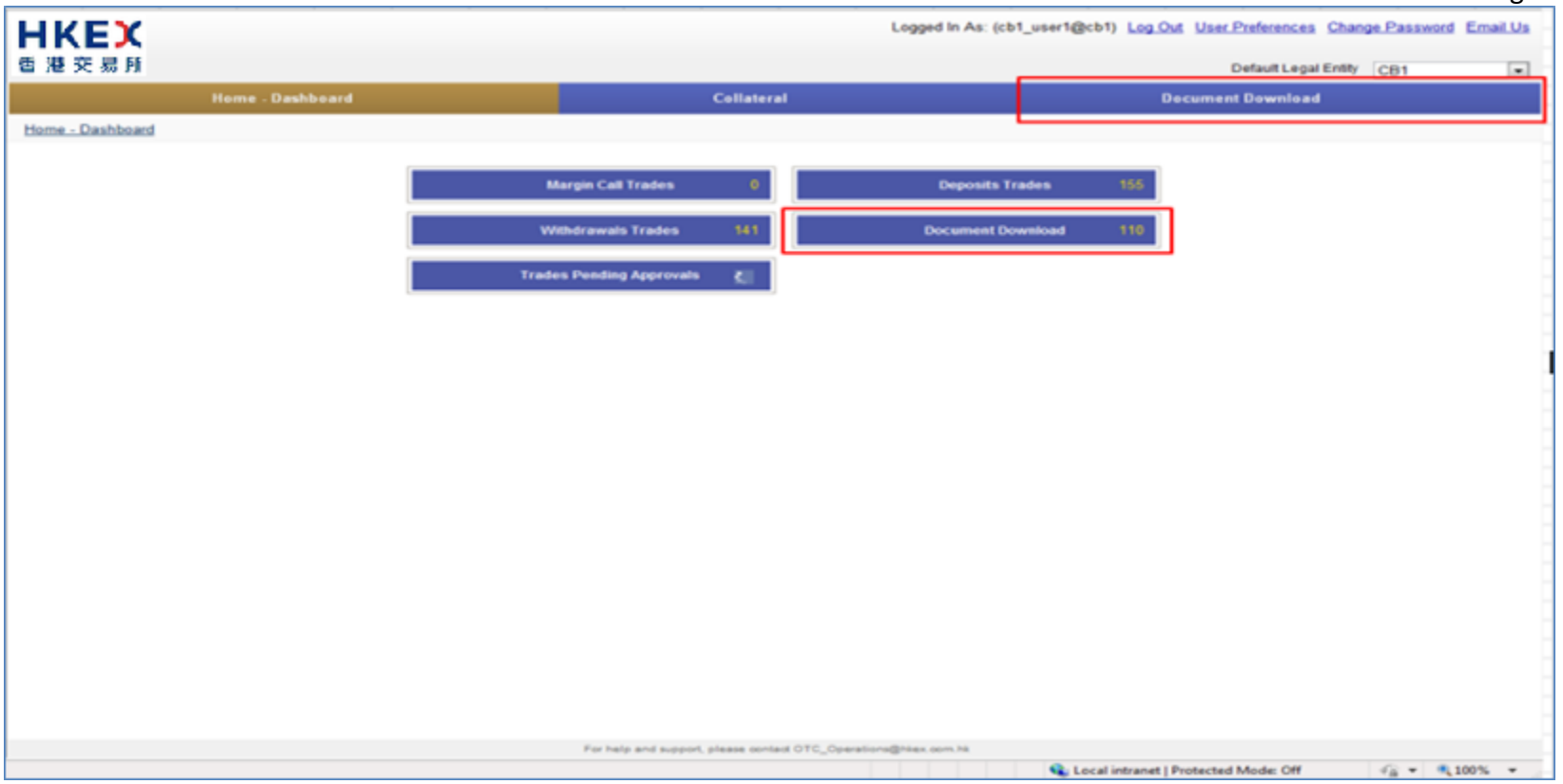
For the full list of OASIS reports, please refer to the Report Usage Guide.

3.2.2. Function Available Time

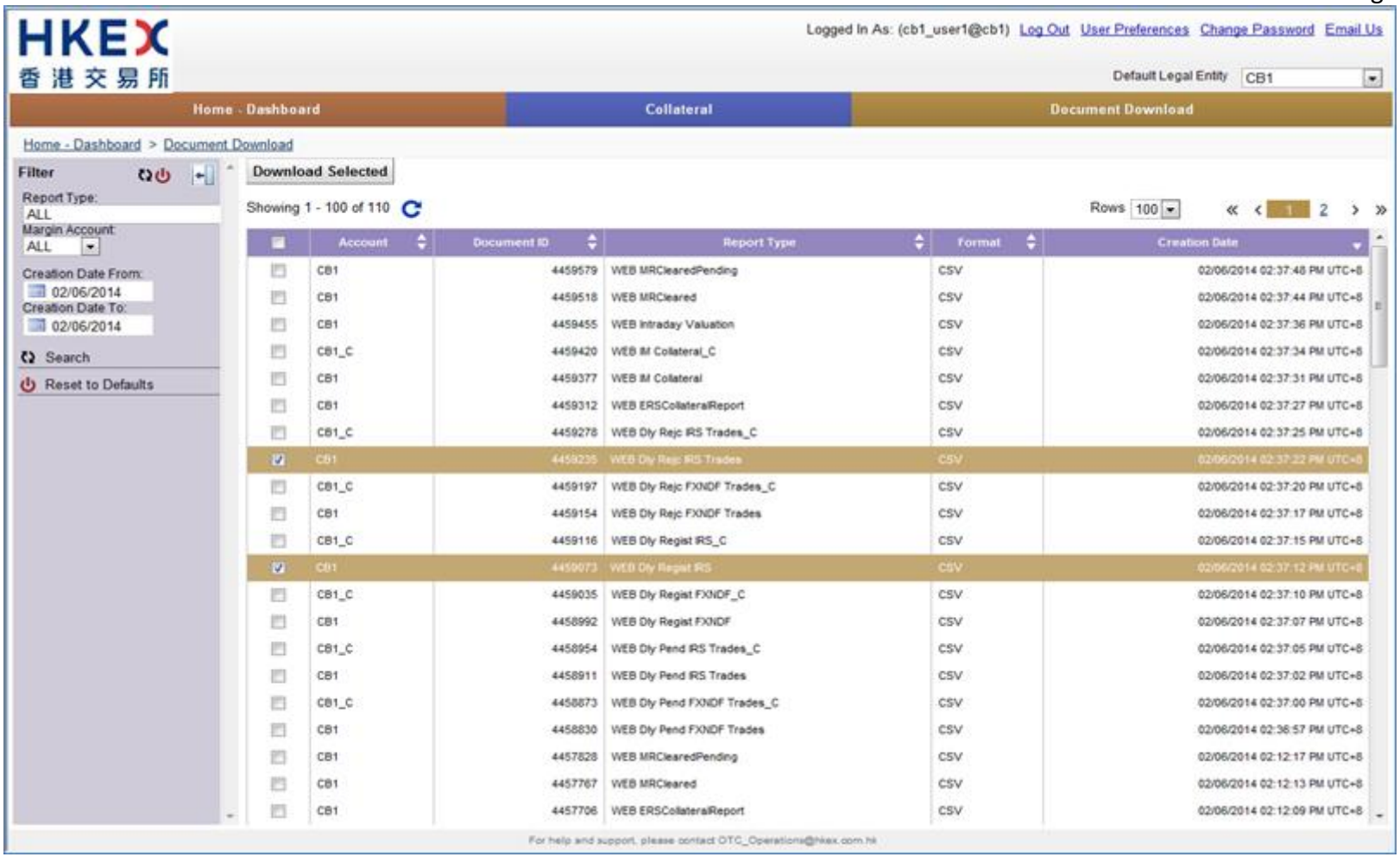
7:30 a.m. to 11:00 p.m. except during the EOD process between 7:30 p.m. to 10:00 p.m., every OTC Clear Clearing Day. Different reports have different publish time; please refer to the Report Usage Guide for details.

3.2.3. How to Use (Step by Step)

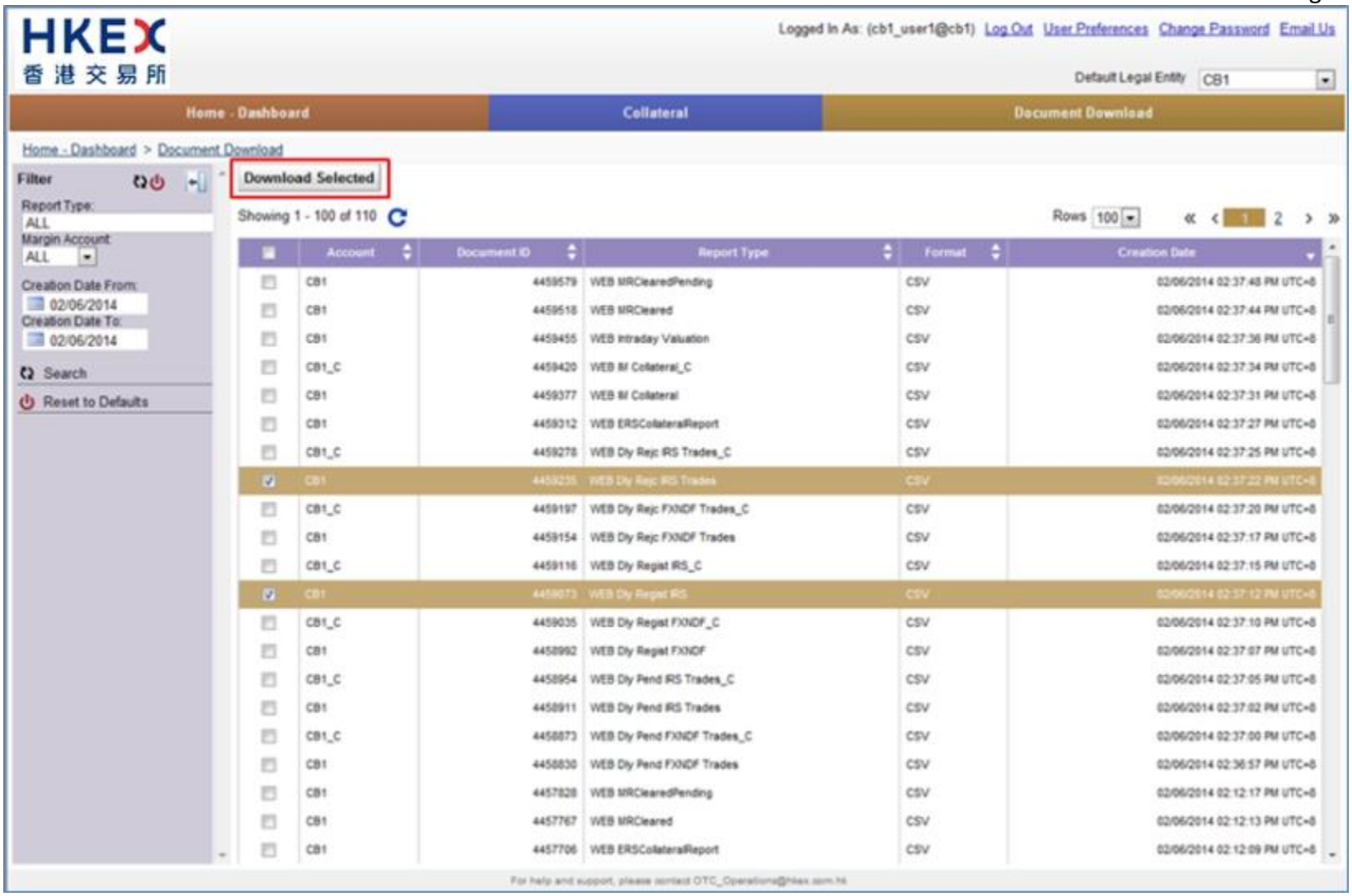
1. On the Main **Menu**, select **Document Download**.



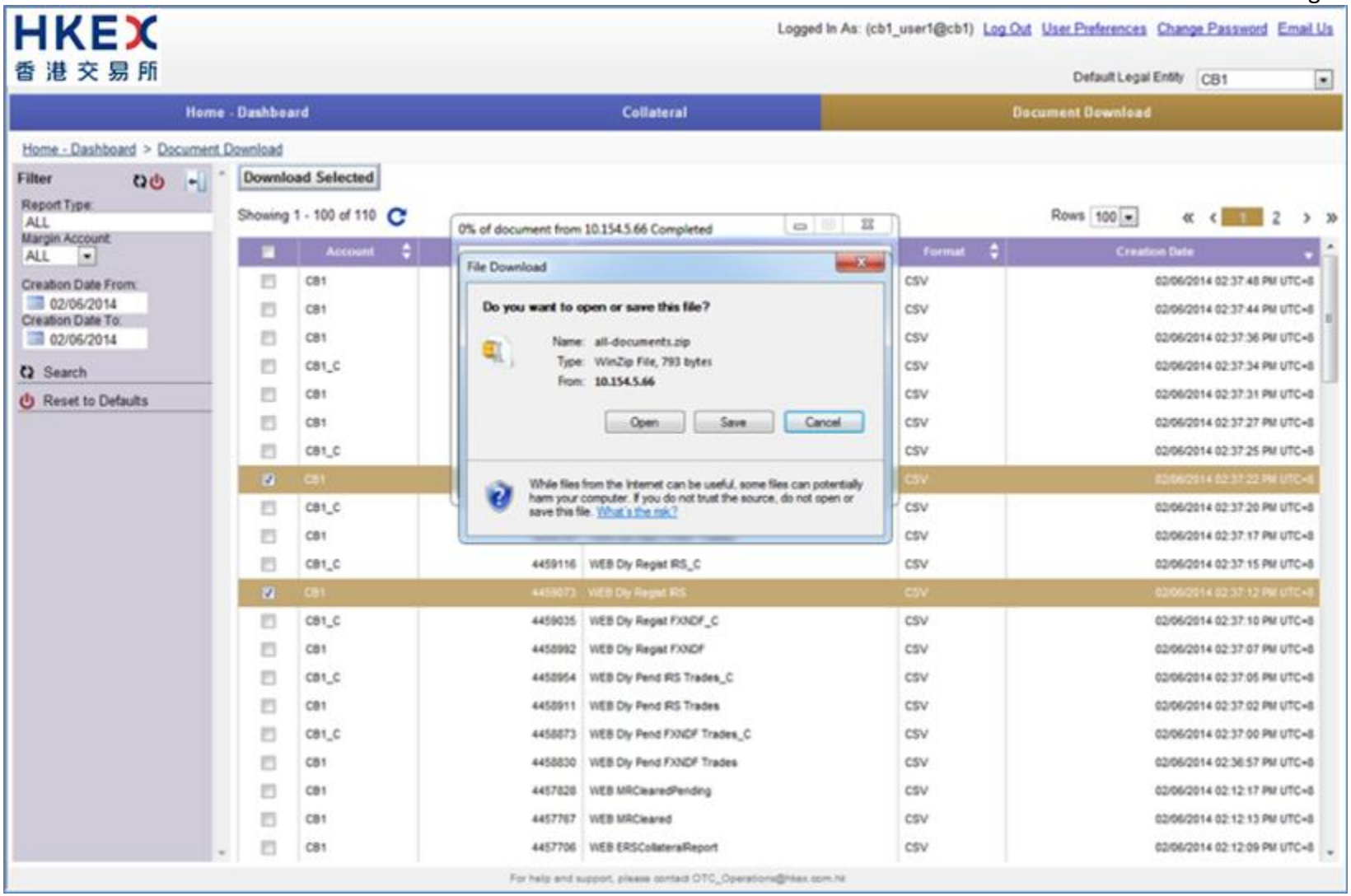
2. User can refine the reports displayed by using the Search Panel. After locating the report, select the report by checking the checkbox located at the first column of each row. The report will be highlighted.



3. User can then save the selected reports by clicking **Download Selected.**


HKEX 香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Collateral
Document Download
Home - Dashboard > Document Download
Filter
Report Type: ALL
Margin Account: ALL
Creation Date From: 02/06/2014
Creation Date To: 02/06/2014
Search
Reset to Defaults
Download Selected
Showing 1 - 100 of 110
Rows 100
Account
Document ID
Report Type
Format
Creation Date

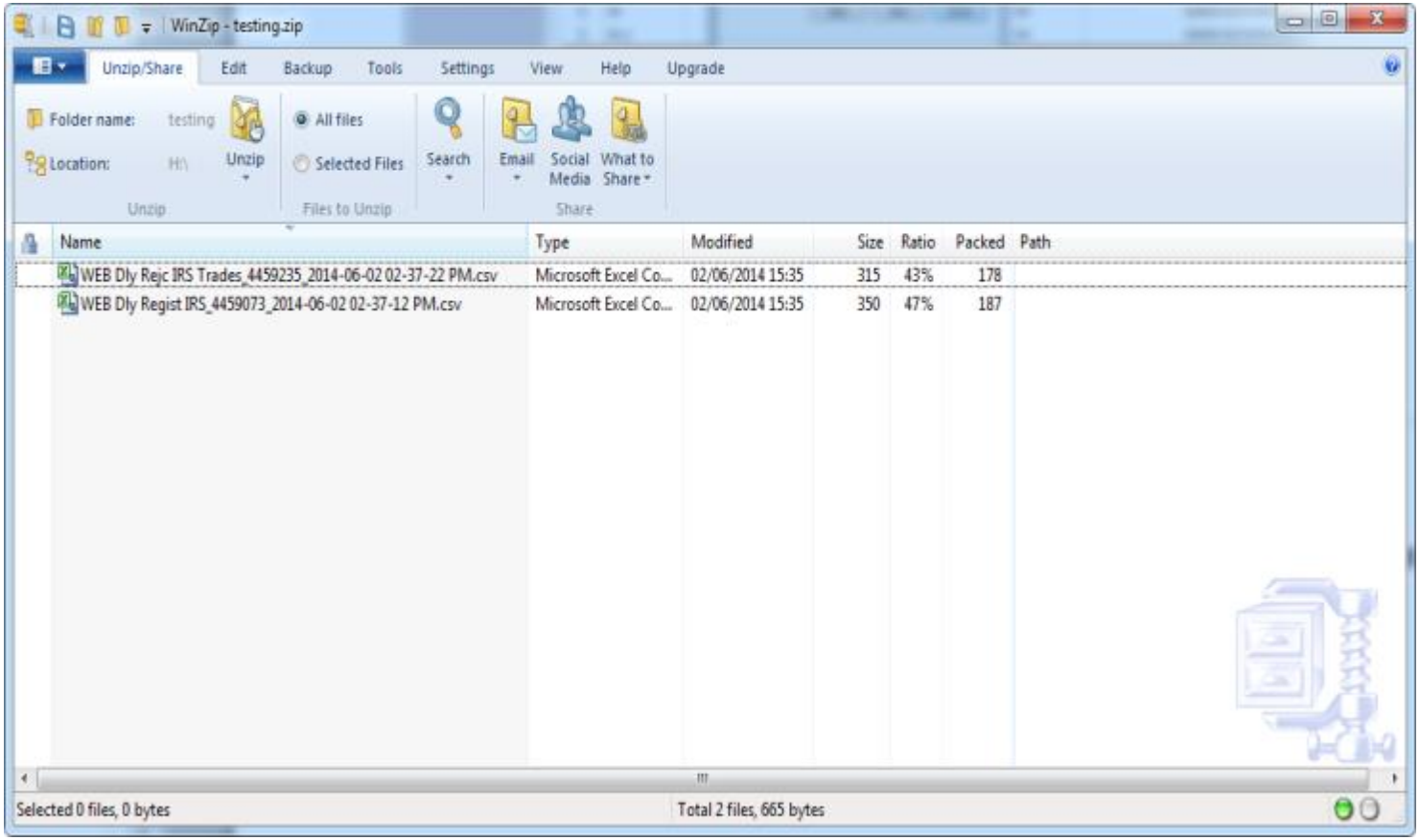
4. The reports will be compressed in a zip file format and user can save it to a local folder.


HKEX 香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Collateral
Document Download
Home - Dashboard > Document Download
Filter
Report Type: ALL
Margin Account: ALL
Creation Date From: 02/06/2014
Creation Date To: 02/06/2014
Search
Reset to Defaults
Download Selected
Showing 1 - 100 of 110
Rows 100
0% of document from 10.154.5.66 Completed
File Download
Do you want to open or save this file?
Name: all-documents.zip
Type: WinZip File, 793 bytes
From: 10.154.5.66
Open
Save
Cancel
While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. What's the risk?
Account
Format
Creation Date
CSV
For help and support, please contact OTC_Operations@hkex.com.hk

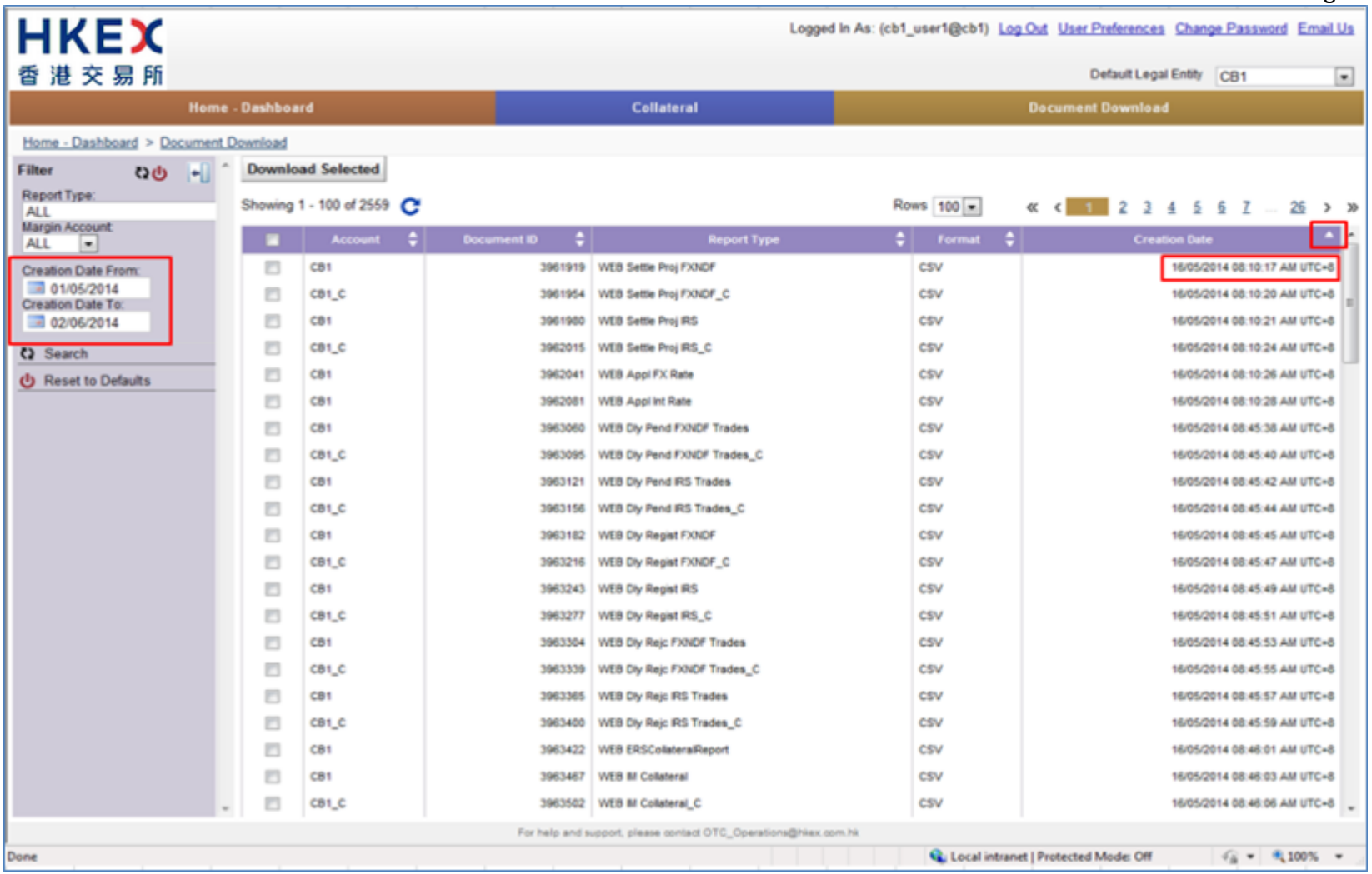
5. The reports downloaded are in csv format and the name of each report has the following syntax:

report name_document ID_date&time.csv.

Below is an example of downloaded reports.



6. The reports will remain available to OASIS users for **12 OTC Clear Clearing Days** from the date it is first made available on OASIS. For example, on 2 June 2014, the earliest available reports are those dated 16 May, 2014.


HKEX 香港交易所
Logged In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us
Default Legal Entity CB1
Home - Dashboard
Collateral
Document Download
Home - Dashboard > Document Download
Filter
Report Type: ALL
Margin Account: ALL
Creation Date From: 01/05/2014
Creation Date To: 02/06/2014
Search
Reset to Defaults
Download Selected
Showing 1 - 100 of 2559
Rows 100
Account | Document ID | Report Type | Format | Creation Date
CB1 3961919 WEB Settle Proj FXNDF CSV 16/05/2014 08:10:17 AM UTC+8
CB1_C 3961954 WEB Settle Proj FXNDF_C CSV 16/05/2014 08:10:20 AM UTC+8
CB1 3961980 WEB Settle Proj IRS CSV 16/05/2014 08:10:21 AM UTC+8
CB1_C 3962015 WEB Settle Proj IRS_C CSV 16/05/2014 08:10:24 AM UTC+8
CB1 3962041 WEB Appl FX Rate CSV 16/05/2014 08:10:26 AM UTC+8
CB1 3962081 WEB Appl Int Rate CSV 16/05/2014 08:10:28 AM UTC+8
CB1 3963060 WEB Dly Pend FXNDF Trades CSV 16/05/2014 08:45:38 AM UTC+8
CB1_C 3963095 WEB Dly Pend FXNDF Trades_C CSV 16/05/2014 08:45:40 AM UTC+8
CB1 3963121 WEB Dly Pend IRS Trades CSV 16/05/2014 08:45:42 AM UTC+8
CB1_C 3963156 WEB Dly Pend IRS Trades_C CSV 16/05/2014 08:45:44 AM UTC+8
CB1 3963182 WEB Dly Regist FXNDF CSV 16/05/2014 08:45:45 AM UTC+8
CB1_C 3963216 WEB Dly Regist FXNDF_C CSV 16/05/2014 08:45:47 AM UTC+8
CB1 3963243 WEB Dly Regist IRS CSV 16/05/2014 08:45:49 AM UTC+8
CB1_C 3963277 WEB Dly Regist IRS_C CSV 16/05/2014 08:45:51 AM UTC+8
CB1 3963304 WEB Dly Rejc FXNDF Trades CSV 16/05/2014 08:45:53 AM UTC+8
CB1_C 3963339 WEB Dly Rejc FXNDF Trades_C CSV 16/05/2014 08:45:55 AM UTC+8
CB1 3963365 WEB Dly Rejc IRS Trades CSV 16/05/2014 08:45:57 AM UTC+8
CB1_C 3963400 WEB Dly Rejc IRS Trades_C CSV 16/05/2014 08:45:59 AM UTC+8
CB1 3963422 WEB ERSCollateralReport CSV 16/05/2014 08:46:01 AM UTC+8
CB1 3963467 WEB IM Collateral CSV 16/05/2014 08:46:03 AM UTC+8
CB1_C 3963502 WEB IM Collateral_C CSV 16/05/2014 08:46:06 AM UTC+8
For help and support, please contact OTC_Operations@hkex.com.hk
Done
Local intranet | Protected Mode: Off
100%