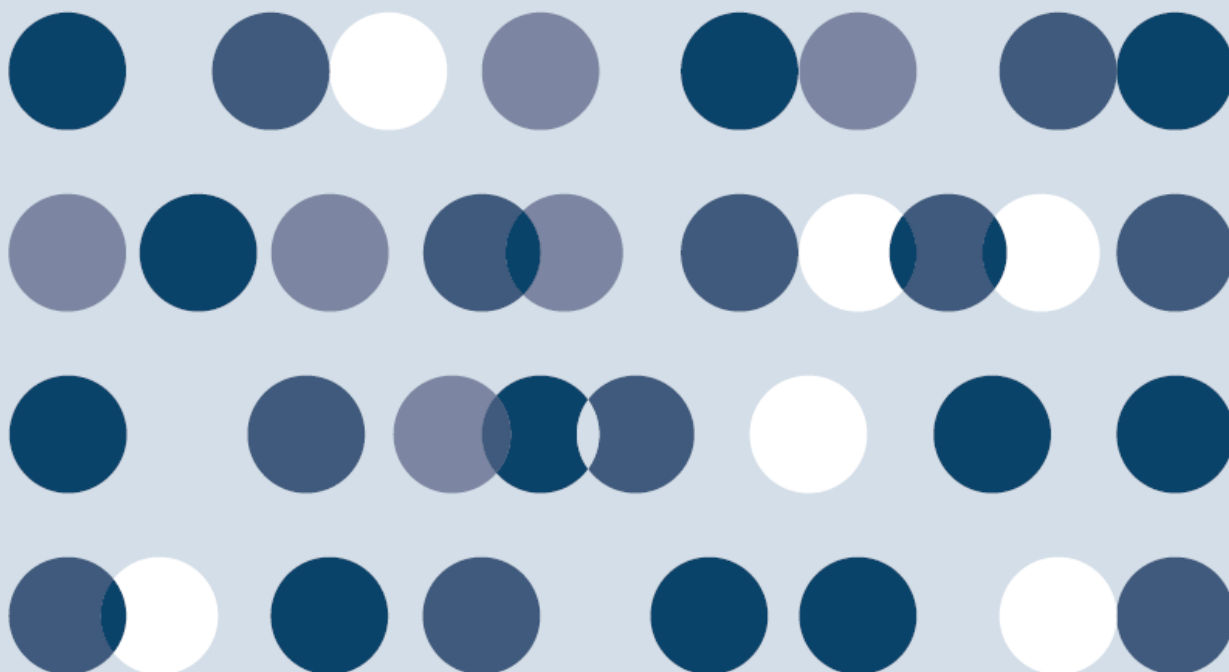


April 2020



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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OASIS Web Portal User Manual
Part III OASIS Collateral Management Portal
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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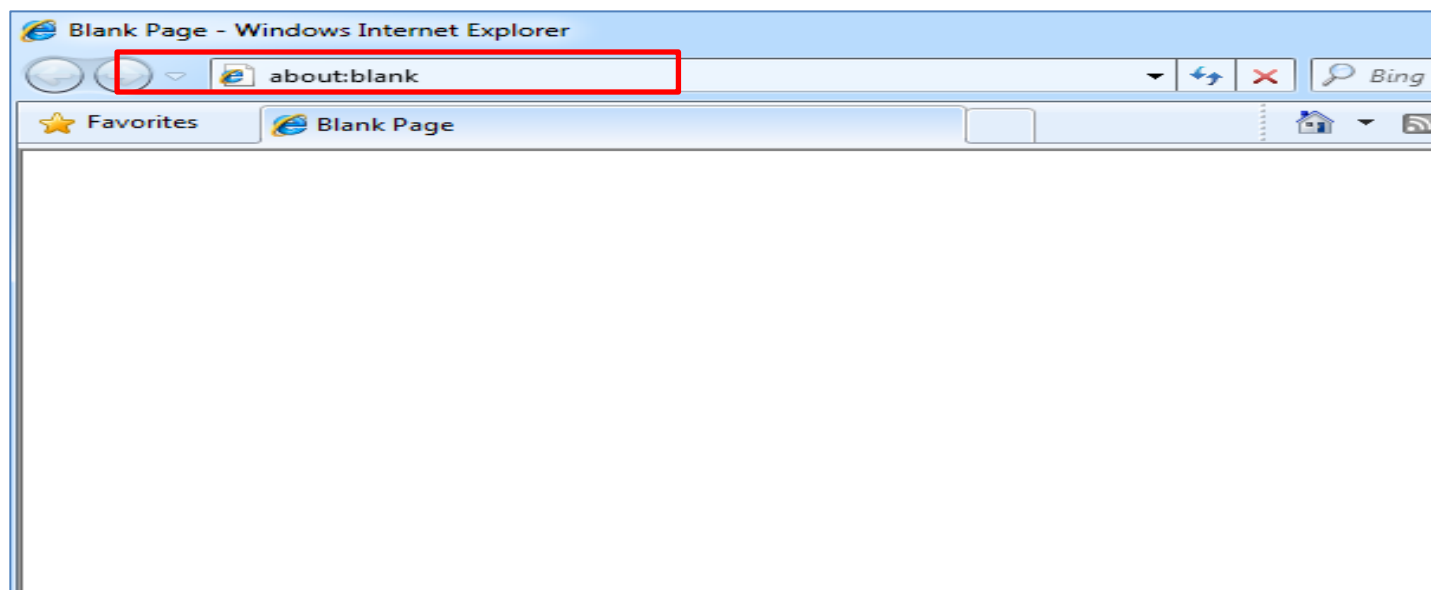
1. Getting Started

1.1. Logon and Logoff

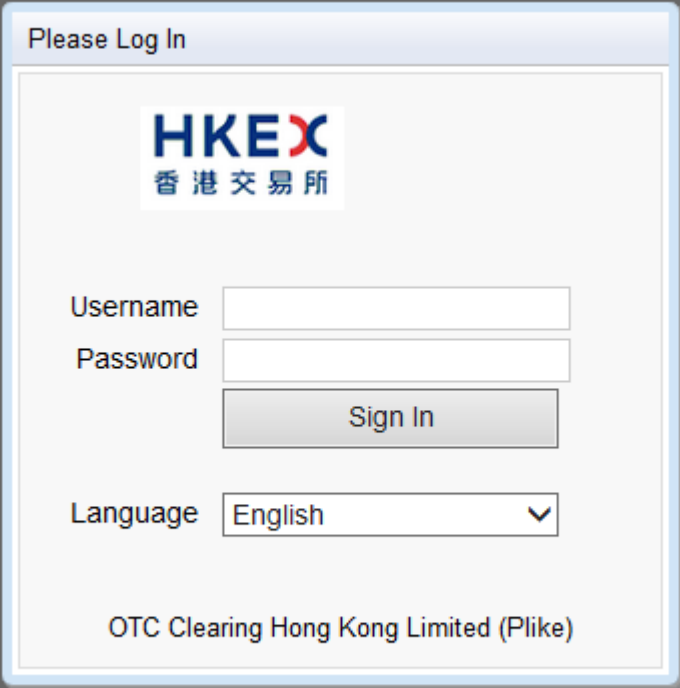
This section explains the procedures for connecting to and dis-connecting from Portal (i.e. **logon** and **logoff** the Web Portal).

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

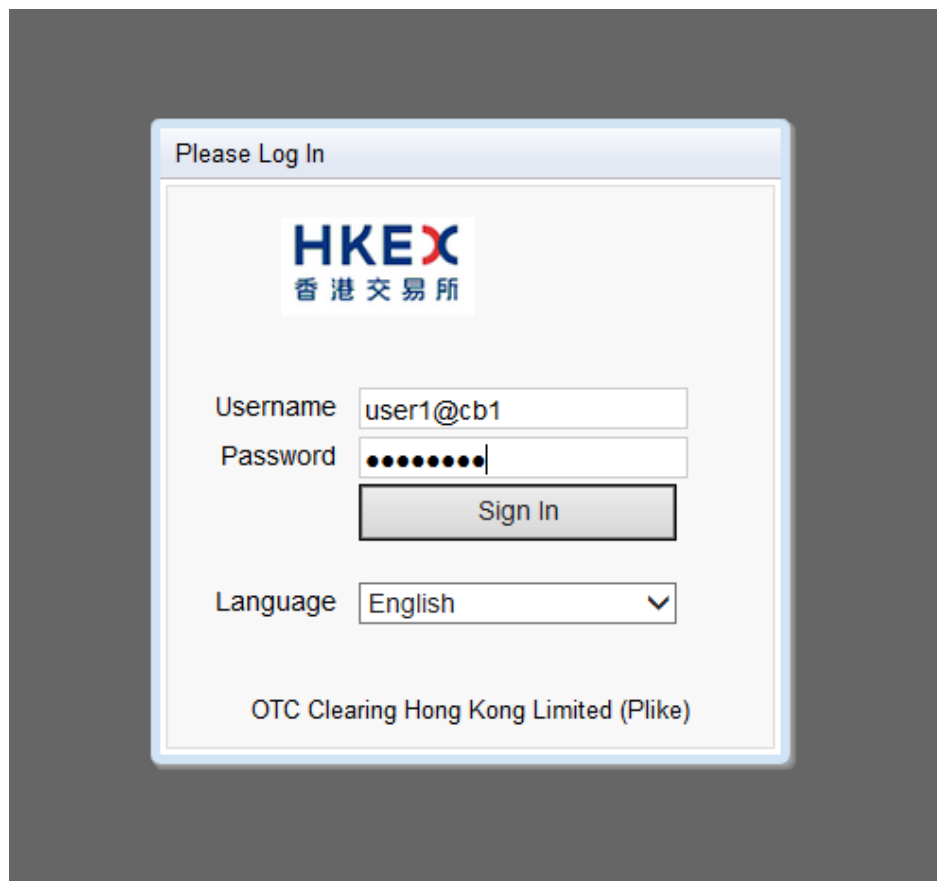


3. The following login screen will be displayed.



The screenshot shows a login window with a light blue border and a white background. At the top, the title bar reads "Please Log In". Below the title bar is the HKEX logo, which consists of the letters "HKEX" in blue and red, with the Chinese characters "香港交易所" below it. Under the logo are two input fields: "Username" and "Password". Below the "Password" field is a "Sign In" button. Below the "Sign In" button is a "Language" dropdown menu currently set to "English". At the bottom of the window, the text "OTC Clearing Hong Kong Limited (Plike)" is displayed.

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



The screenshot shows a login window titled "Please Log In" with the HKEX logo and Chinese text "香港交易所". It contains input fields for "Username" (with the value "user1@cb1") and "Password" (masked with dots). Below the password field is a "Sign In" button. At the bottom, there is a "Language" dropdown menu set to "English" and a footer text "OTC Clearing Hong Kong Limited (Plike)".

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

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

The screenshot shows the OASIS Web Portal User Manual interface after a successful login. The page features a header with the HKEX logo and user information, a navigation bar with three main sections, and a dashboard with five data cards.

Header: HKEX 香港交易所 | Welcome,(user1@cb1) | [Log Out](#) | [User Preferences](#) | [Change Password](#) | [Email Us](#)

Navigation Bar: Home - Dashboard | Collateral | Document Download

Default Legal Entity: CB1

Dashboard Data:

Category	Count
Margin Call Trades	1
Withdrawals Trades	94
Trades Pending Approvals	0
Deposits Trades	81
Document Download	141

1.1.2. Portal Logoff

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

The screenshot displays the HKEX OASIS Web Portal interface. At the top left is the HKEX logo. The top right corner shows a welcome message 'Welcome,(user1@cb1)' followed by a red-bordered 'Log Out' link, and other links: 'User Preferences', 'Change Password', and 'Email Us'. Below this is a 'Default Legal Entity' dropdown menu set to 'CB1'. A blue navigation bar contains three tabs: 'Home - Dashboard', 'Collateral', and 'Document Download'. Below the navigation bar, the 'Home - Dashboard' link is underlined. The main content area features a vertical list of five blue buttons with white text and yellow counts on the right: 'Margin Call Trades' (1), 'Withdrawals Trades' (94), 'Trades Pending Approvals' (with a circular arrow icon and a small blue icon), 'Deposits Trades' (81), and 'Document Download' (141).

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.



The screenshot shows a 'Password Reset' dialog box with a light gray background and a blue border. It contains two text input fields for entering and confirming a new password, and two buttons at the bottom: 'Change Password' and 'Cancel'.

Password Reset

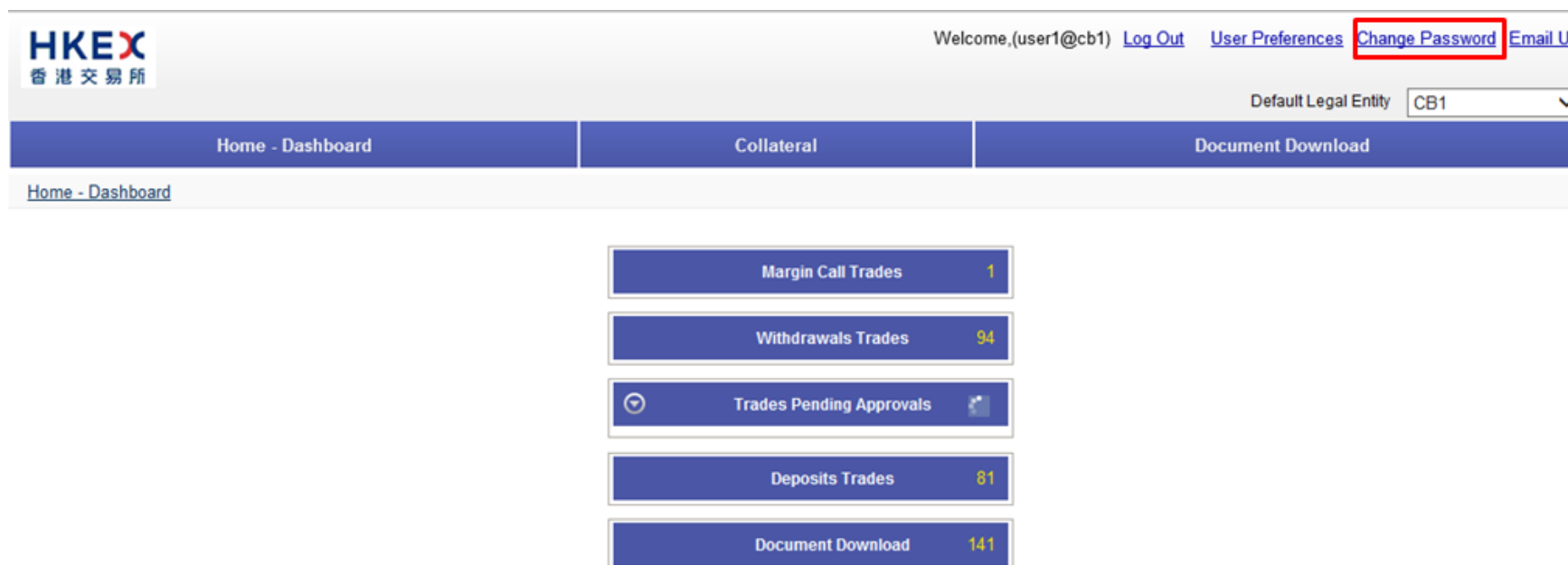
Please enter new password

Please confirm new password

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 screenshot displays the HKEX OASIS Web Portal interface. At the top left is the HKEX logo. The top right shows a welcome message 'Welcome,(user1@cb1)' followed by links for 'Log Out', 'User Preferences', 'Change Password' (highlighted with a red box), and 'Email Us'. Below this is a 'Default Legal Entity' dropdown menu set to 'CB1'. A blue navigation bar contains three tabs: 'Home - Dashboard', 'Collateral', and 'Document Download'. Under the 'Home - Dashboard' tab, there is a link 'Home - Dashboard'. The main content area features five blue buttons with white text and yellow numbers: 'Margin Call Trades' (1), 'Withdrawals Trades' (94), 'Trades Pending Approvals' (with a circular arrow icon), 'Deposits Trades' (81), and 'Document Download' (141).

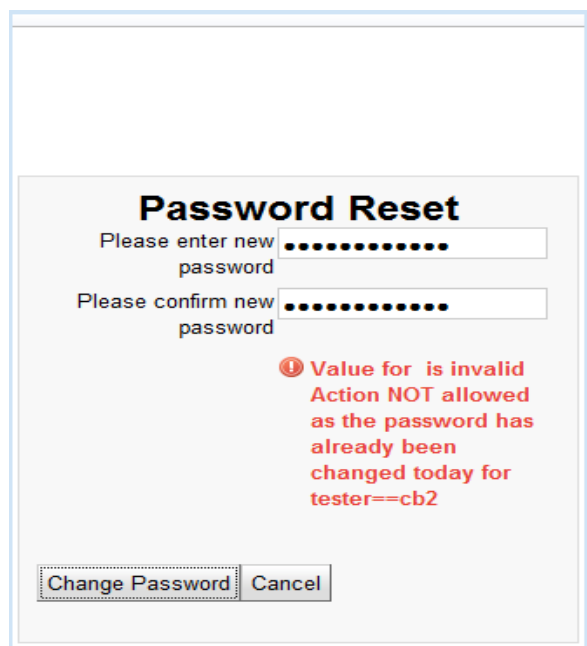
The below message box will be prompted after selecting the hyper link.

The screenshot displays the HKEX OASIS Web Portal interface. At the top left is the HKEX logo and name in Chinese. The top right shows a welcome message for 'user1@cb1' with links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us'. Below this is a navigation bar with 'Home - Dashboard', 'Collateral', and 'Document Download'. A dropdown menu for 'Default Legal Entity' is set to 'CB1'. The main content area shows a 'Home - Dashboard' link. A modal box titled 'Password Reset' is centered on the screen. It contains two input fields: 'Please enter new password' and 'Please confirm new password'. A red error message 'Password must not be empty' is displayed below the first field. At the bottom of the modal are 'Change Password' and 'Cancel' buttons.

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).



The screenshot shows a 'Password Reset' dialog box. It contains two input fields: 'Please enter new password' and 'Please confirm new password', both filled with dots. Below the fields is a red error message: 'Value for is invalid Action NOT allowed as the password has already been changed today for tester==cb2'. At the bottom are two buttons: 'Change Password' and 'Cancel'.

Password Reset

Please enter new password

Please confirm new password

❗ Value for is invalid
Action NOT allowed
as the password has
already been
changed today for
tester==cb2

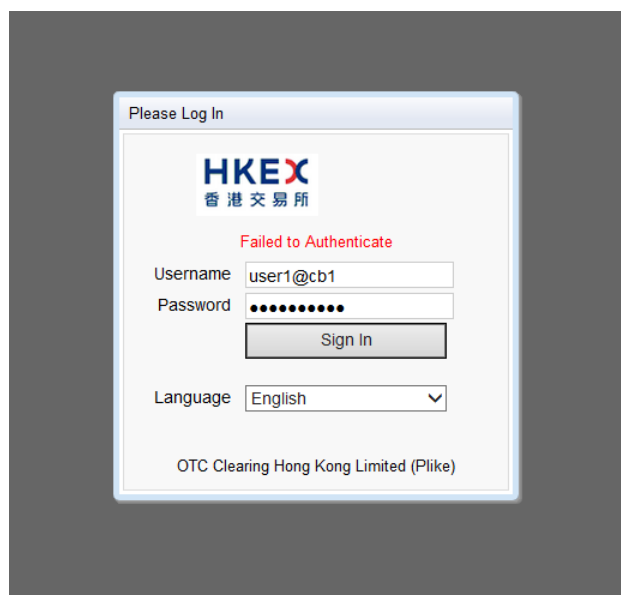
Change Password Cancel

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.

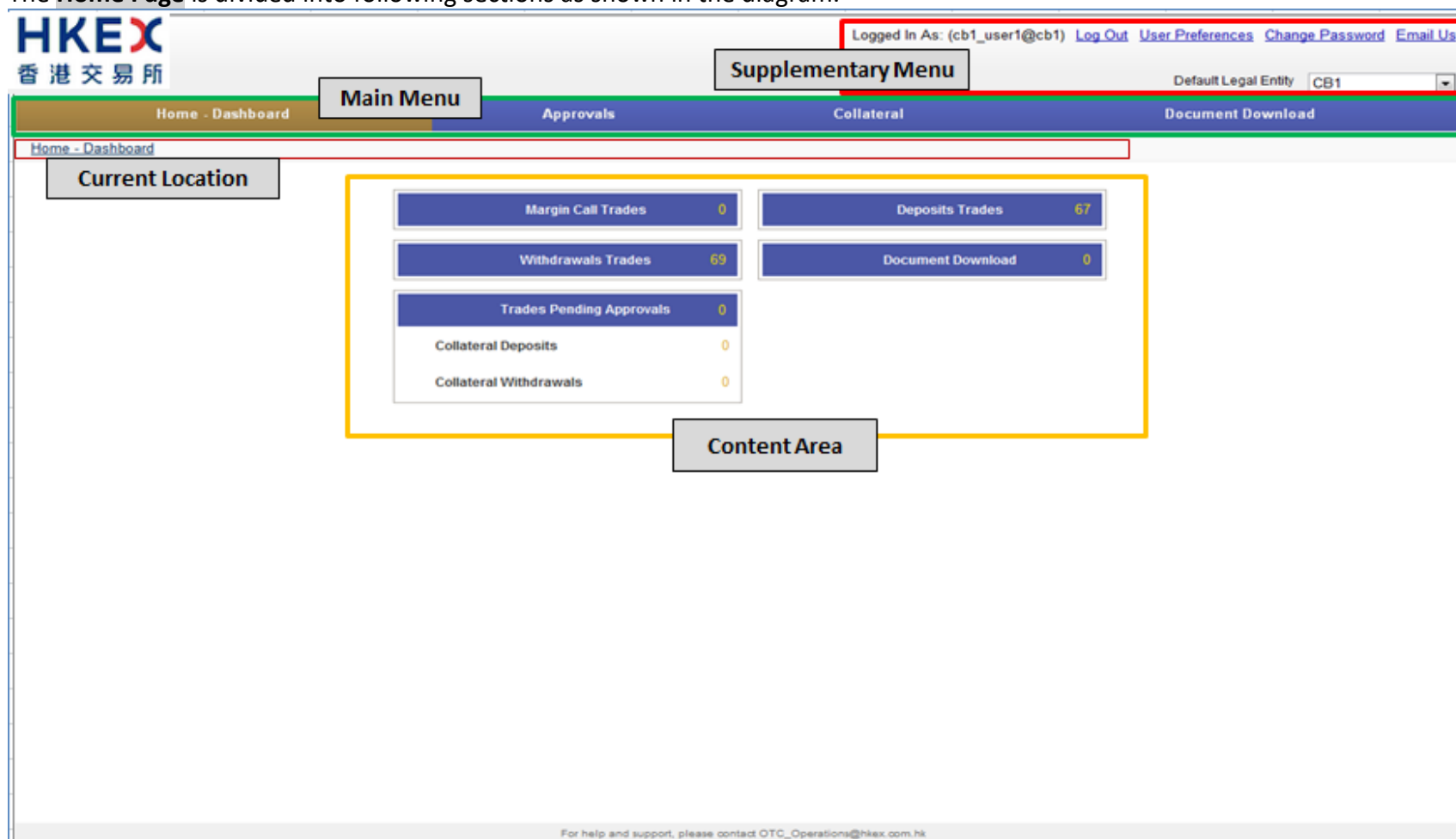
User should contact User Account Administrator for further assistance.



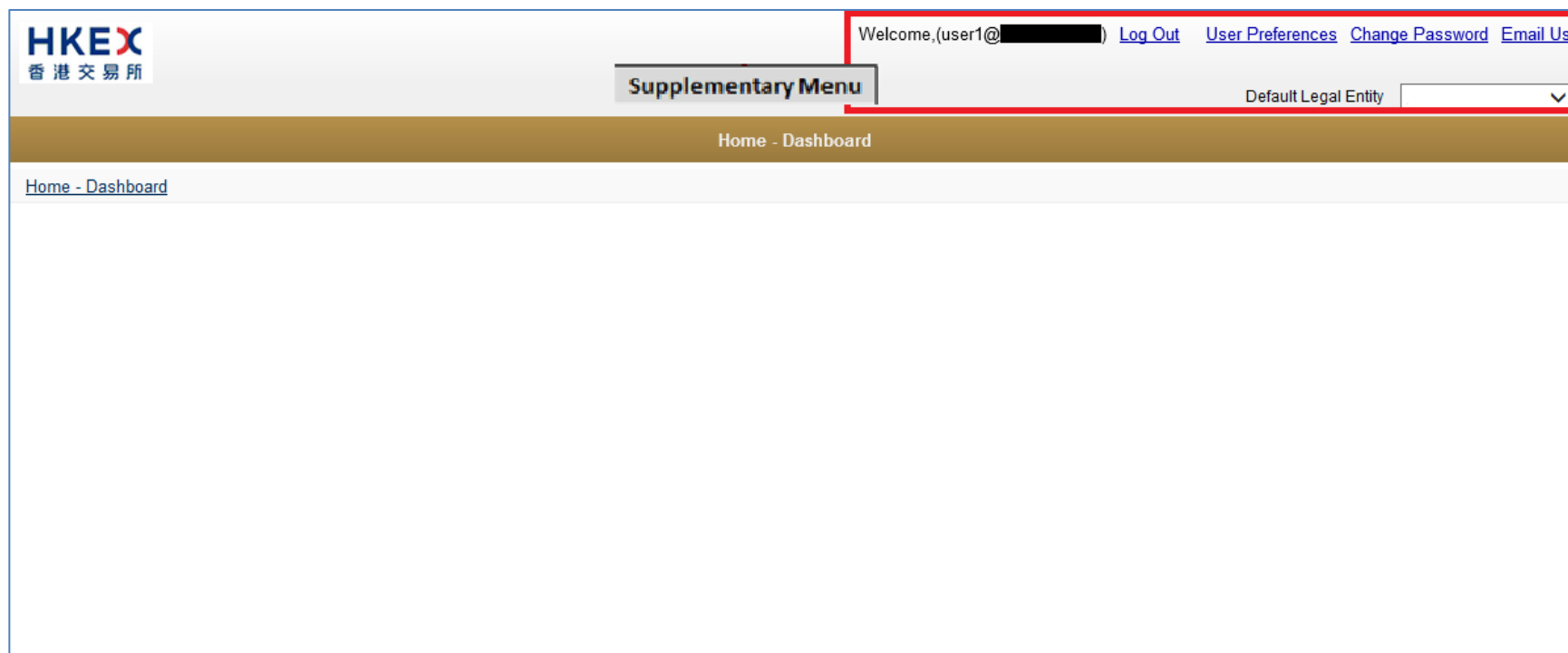
1.3. Screen Layouts

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
-----------	--------------

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

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	<p>A dialogue box will be prompted and allow user to personalize its OASIS setting on</p> <p>1) Date Format</p>

The dialog box titled "User Preferences" contains four settings:

- Date Format:** A dropdown menu showing "dd/MM/yy".
- Time Format:** A dropdown menu showing "dd/MM/yy" (highlighted in blue).
- Number Format:** A dropdown menu showing "MM/dd/yy".
- Language:** A dropdown menu showing "MM/dd/yyyy".

At the bottom are "Save" and "Cancel" buttons.

2) Time Format [not available]

The dialog box titled "User Preferences" contains four settings:

- Date Format:** A dropdown menu showing "dd/MM/yy".
- Time Format:** A dropdown menu showing "12 hour" (highlighted in blue).
- Number Format:** A dropdown menu showing "12 hour" (highlighted in blue).
- Language:** A dropdown menu showing "English".

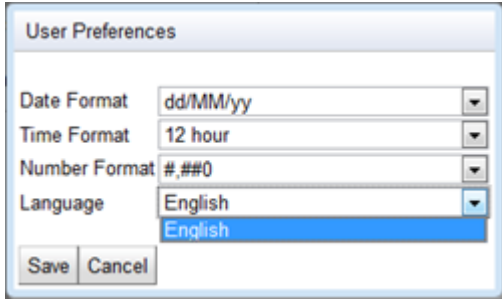
At the bottom are "Save" and "Cancel" buttons.

3) Number Format

The dialog box titled "User Preferences" contains four settings:

- Date Format:** A dropdown menu showing "dd/MM/yy".
- Time Format:** A dropdown menu showing "12 hour".
- Number Format:** A dropdown menu showing "###,##0.00" (highlighted in blue).
- Language:** A dropdown menu showing "###,##0.00".

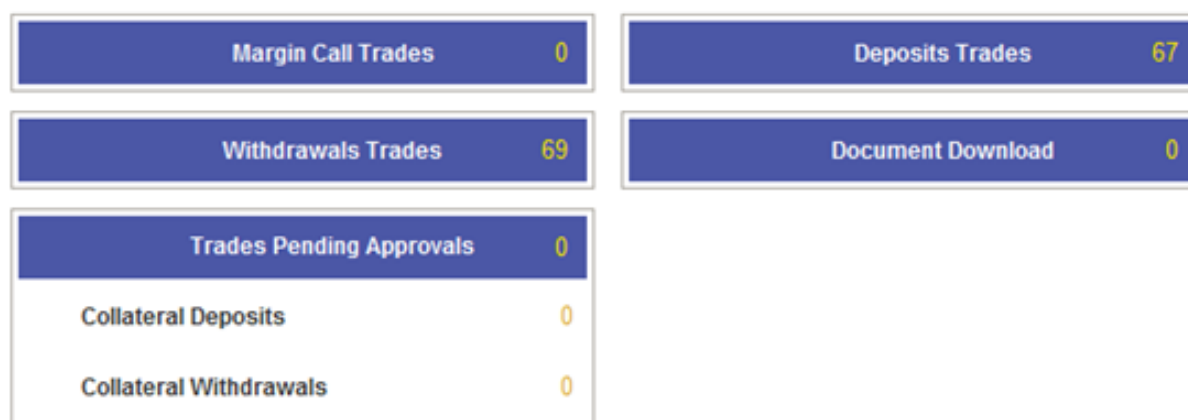
At the bottom are "Save" and "Cancel" buttons.

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

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

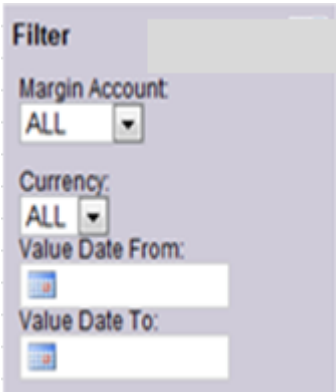

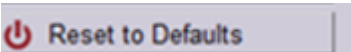

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description
	CANCELED	173545	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	168295	CB1 M/intraday VM	deposit	14/05/2014	14/05/2014	CNH	500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171756	CB1 M/intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171755	CB1 M/intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171749	CB1 GF	deposit	16/05/2014	16/05/2014	CNH	100,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	169186	CB1 M/intraday VM	deposit	15/05/2014	16/05/2014	CNH	1,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	166830	CB1 M/intraday VM	deposit	13/05/2014	14/05/2014	CNH	10,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	177789	CB1 M/intraday VM	deposit	22/05/2014	23/05/2014	CNH	1.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181749	CB1 M/intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CHECK SDI WDL	181750	CB1 M/intraday VM	withdrawal				2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	178266	CB1 M/intraday VM	interaccount - withdrawal				2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	VERIFIED	182275	CB1 M/intraday VM	deposit	29/05/2014	30/05/2014	CNH	20,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	177866	CB1 M/intraday VM	deposit	22/05/2014	22/05/2014	CNH	11.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181251	CB1 GF	withdrawal	28/05/2014	29/05/2014	CNH	32,423.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	177803	CB1 M/intraday VM	deposit	22/05/2014	22/05/2014	CNH	12.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181248	CB1 GF	deposit	28/05/2014	28/05/2014	CNH	200,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175286	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175285	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	1,500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173552	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	VERIFIED	174649	CB1 M/intraday VM	interaccount - withdrawal	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173892	CB1 M/intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175095	CB1 GF	withdrawal	20/05/2014	19/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173748	CB1 GF	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173738	CB1 M/intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	176532	CB1 GF	withdrawal	21/05/2014	22/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	174590	CB1 M/intraday VM	withdrawal	20/05/2014	21/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173612	CB1 M/intraday VM	withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014

Search Result

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	<p>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.</p> <p>Clearing Member needs to fulfill the obligation in cash in any eligible currency¹.</p>	<p>1. If member wants to settle the call in base currency (i.e. HKD):</p> <p>No action needs to be done on OASIS.</p> <p>The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account.</p> <p>2. If member wants to settle the call in non-base currencies:</p> <p>Follow the process described in Part V, Appendix 4.</p> <p>The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS)</p>

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

Scenarios	Descriptions	Actions required										
		system to OTC Clear's designated bank account.										
Routine Intra-day VM Call – fulfilling the margin call in the eligible currency (“Intra-day VM Currency”).	<p>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.</p> <p>Clearing Member needs to fulfill the obligation by depositing collateral in the eligible currency within an hour following the Routine Intra-day VM Call.</p> <p>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:</p> <p>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)</p> <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 amount²</th></tr><tr><td>300</td><td>300</td><td>100</td><td>400</td><td>100</td></tr></table>	Member's collateral balance	Initial margin	Collateralized variation margin	Total margin requirement	intra-day margin call amount ²	300	300	100	400	100	<p>1. If member wants to settle the call in base currency (i.e. HKD):</p> <p>No action needs to be done on OASIS.</p> <p>The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account.</p> <p>2. If member wants to settle the call in non-base currencies:</p> <p>Follow the process described in Part V, Appendix 4.</p> <p>The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS)</p>
Member's collateral balance	Initial margin	Collateralized variation margin	Total margin requirement	intra-day margin call amount ²								
300	300	100	400	100								

² Assuming no haircuts on collateral here.

Scenarios	Descriptions					Actions required
	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)					system to OTC Clear's designated bank account.
		Member's collateral balance	Initial margin	Collateralized variation margin	Total margin requirement	intra-day margin call amount
	Start of the day	120	100	0	100	-
	With new trade cleared (IM increase by 10)	120	110	100	210	90
Ad hoc Intra-day VM Call – fulfilling the margin call with cash in the eligible Currency.	<p>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.</p> <p>Clearing Member need to fulfill the obligation by depositing collateral in eligible currency within an hour following the Margin Call.</p>					<p>No action needs to be done on OASIS.</p> <p>The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account</p>
Holiday Margin Call	<p>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.</p>					<p>The same as actions required for EOD IM Call.</p>

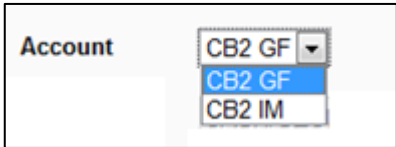
Scenarios	Descriptions	Actions required
– fulfilling the margin call in any eligible currency	The Clearing Member need to fulfill the obligation by depositing collateral in the preferred currency within an hour following the Margin Call.	Note: The status of the margin call will be updated upon confirmation of the receipt of the payment
Guarantee Fund Call	<p>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.</p> <p>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.</p>	<p>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</p> <p>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</p>

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.

<p>COLLATERAL TYPE</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Collateral Type</p> <div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px 5px; margin-right: 5px;">CASH</div> <div style="border: 1px solid black; padding: 2px 5px; margin-right: 5px;">CASH</div> <div style="border: 1px solid black; padding: 2px 5px;">SECURITY</div> </div> </div>	<p>The collateral type involved for the movement request.</p>																																																	
<p>Specific fields for cash collateral movement request:</p>																																																		
<p>SETTLE DATE</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Settle Date* <input type="text" value="05/29/2014"/></p> <div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px 5px; margin-right: 5px;">«</div> <div style="border: 1px solid black; padding: 2px 5px; margin-right: 5px;">2014 May</div> <div style="border: 1px solid black; padding: 2px 5px; margin-right: 5px;">»</div> </div> <table border="1" style="border-collapse: collapse; text-align: center; font-size: 0.8em;"> <thead> <tr> <th>M</th><th>T</th><th>W</th><th>T</th><th>F</th><th>S</th><th>S</th></tr> </thead> <tbody> <tr> <td>28</td><td>29</td><td>30</td><td>1</td><td>2</td><td>3</td><td>4</td></tr> <tr> <td>5</td><td>6</td><td>7</td><td>8</td><td>9</td><td>10</td><td>11</td></tr> <tr> <td>12</td><td>13</td><td>14</td><td>15</td><td>16</td><td>17</td><td>18</td></tr> <tr> <td>19</td><td>20</td><td>21</td><td>22</td><td>23</td><td>24</td><td>25</td></tr> <tr> <td>26</td><td>27</td><td>28</td><td style="background-color: #f0f0f0;">29</td><td>30</td><td>31</td><td>1</td></tr> <tr> <td>2</td><td>3</td><td>4</td><td>5</td><td>6</td><td>7</td><td>8</td></tr> </tbody> </table> </div>	M	T	W	T	F	S	S	28	29	30	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	<p>The settlement date of the cash collateral movement request.</p>
M	T	W	T	F	S	S																																												
28	29	30	1	2	3	4																																												
5	6	7	8	9	10	11																																												
12	13	14	15	16	17	18																																												
19	20	21	22	23	24	25																																												
26	27	28	29	30	31	1																																												
2	3	4	5	6	7	8																																												
<p>CURRENCY</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Currency* <input type="text" value="USD"/></p> </div>	<p>The currency of the cash collateral movement request</p>																																																	

<p>AMOUNT</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Amount* <input style="width: 100px;" type="text"/></p> </div>	<p>The amount of the collateral movement request</p>																																																								
<p>Specific fields for non-cash collateral movement request:</p>																																																									
<p>SECURITIES / SECURITY CODE</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Security* <input style="width: 100px;" type="text"/></p> <p>Security Code <input style="width: 150px;" type="text"/></p> </div>	<p>The security involved in the non-cash collateral movement request</p>																																																								
<p>VALUE DATE</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Value Date* <input style="width: 100px;" type="text" value="p5/29/2014"/></p> <table border="1" style="width: 100%; text-align: center; font-size: 0.8em;"> <thead> <tr> <th colspan="7">2014 May</th> </tr> <tr> <th>M</th> <th>T</th> <th>W</th> <th>T</th> <th>F</th> <th>S</th> <th>S</th> </tr> </thead> <tbody> <tr> <td>28</td> <td>29</td> <td>30</td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td>5</td> <td>6</td> <td>7</td> <td>8</td> <td>9</td> <td>10</td> <td>11</td> </tr> <tr> <td>12</td> <td>13</td> <td>14</td> <td>15</td> <td>16</td> <td>17</td> <td>18</td> </tr> <tr> <td>19</td> <td>20</td> <td>21</td> <td>22</td> <td>23</td> <td>24</td> <td>25</td> </tr> <tr> <td>26</td> <td>27</td> <td>28</td> <td style="background-color: #f0f0f0;">29</td> <td>30</td> <td>31</td> <td>1</td> </tr> <tr> <td>2</td> <td>3</td> <td>4</td> <td>5</td> <td>6</td> <td>7</td> <td>8</td> </tr> </tbody> </table> </div>	2014 May							M	T	W	T	F	S	S	28	29	30	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	<p>The value date of the non-cash collateral movement request.</p>
2014 May																																																									
M	T	W	T	F	S	S																																																			
28	29	30	1	2	3	4																																																			
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26	27	28	29	30	31	1																																																			
2	3	4	5	6	7	8																																																			

<p>NOTIONAL</p> <div data-bbox="331 383 907 504"> <p>Notional* USD <input type="text"/></p> </div>	<p>The notional amount of the non-cash collateral movement request</p>
<p>Specific fields for inter-account collateral transfer request:</p>	
<p>CHECKBOX ON INTER-ACCOUNT TRANSFER REQUEST</p> <div data-bbox="331 684 898 790"> <p>Move collateral from House Account <input checked="" type="checkbox"/></p> </div>	<p>The checkbox that initiate an inter-account collateral transfer request.</p>
<p>LINKED ACCOUNT</p> <div data-bbox="331 914 840 983"> <p>Linked Account CB1 GF <input type="button" value="v"/></p> </div>	<p>The account where the collateral is transferred from.</p>

2.3. Enquiry Function on Collateral Movement Requests

2.3.1. Function Description

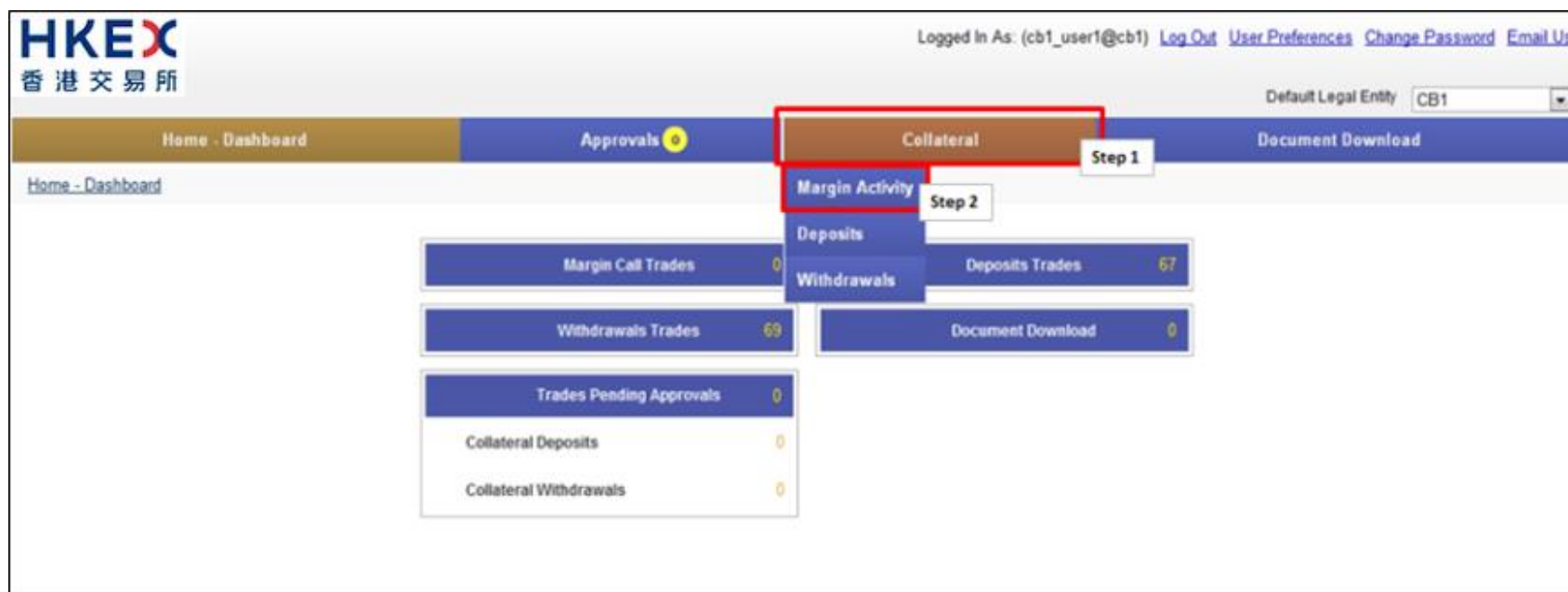
To retrieve the details and status of collateral movement requests created/submitted.

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)

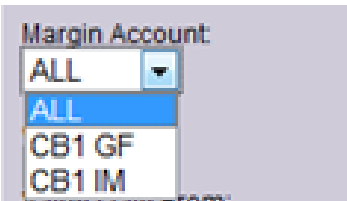
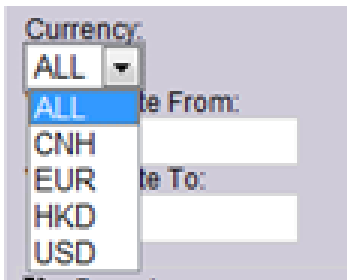
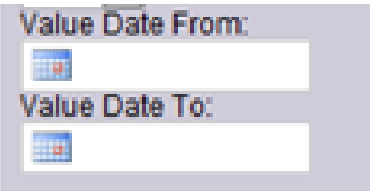
1. On the **Main Menu**, select **Collateral**. The feature will be highlighted and a menu will appear. Select **Margin Activity**.



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.

The screenshot displays the OASIS Web Portal interface for Collateral Management. The top navigation bar includes the HKEX logo, the user's login status (cb1_user1@cb1), and links for Log Out, User Preferences, Change Password, and Email Us. A dropdown menu for 'Default Legal Entity' is open, showing options: CB1, CB1_OMN1, CB1_OMN2, CB1_CLA, and CB1_CLB. The main content area is titled 'Collateral' and shows a list of transactions. On the left, a 'Filter' panel allows users to refine the search by Margin Account (ALL), Currency (ALL), Value Date From, and Value Date To. A 'Search' button and a 'Reset to Defaults' button are also present. The transaction list has columns for Actions, Status, Trade, Account, Type, Entered Date, Settle Date, Trade Currency, Amount, Code, and Description. The list shows various transactions, including deposits and withdrawals, with amounts in HKD and USD. The bottom of the page includes a footer with the text 'For help and support, please contact OTC_Operations@hkex.com.hk'.

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 	<p>Select the account involved in the collateral movement requests to be displayed. The accounts available depend on the Clearing Member ID.</p> <p>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</p>
Currency 	<p>Select the currency of the collateral movement requests to be displayed.</p>
Value Date From Value Date To 	<p>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.</p>

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.

The screenshot displays the OASIS Web Portal Collateral Management interface. The top navigation bar includes the HKEX logo, the user's login information (Logged In As: cb1_user1@cb1), and links for Log Out, User Preferences, Change Password, and Email Us. The main navigation bar has three tabs: Home - Dashboard, Collateral, and Document Download. The Collateral tab is active.

On the left side, there is a Filter sidebar with the following options:

- Margin Account: ALL (Step 2)
- Currency: ALL (Step 1)
- Value Date From: (Step 1)
- Value Date To: (Step 1)
- Search (Step 2)
- Reset to Defaults

Below the filter sidebar, there are buttons for "Create Deposit" and "Refresh the Search Result". The main content area shows a table of search results. The table has the following columns:

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description
	CANCELED	173545	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	168295	CB1 M/intraday VM	deposit	14/05/2014	14/05/2014	CNH	500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171756	CB1 M/intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171755	CB1 M/intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171749	CB1 GF	deposit	16/05/2014	16/05/2014	CNH	100,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	169186	CB1 M/intraday VM	deposit	15/05/2014	16/05/2014	CNH	1,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	166030	CB1 M/intraday VM	deposit	13/05/2014	14/05/2014	CNH	10,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	177789	CB1 M/intraday VM	deposit	22/05/2014	23/05/2014	CNH	1.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181749	CB1 M/intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CHECK SDI WOL	181750	CB1 M/intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	178266	CB1 M/intraday VM	interaccount - withdrawal	23/05/2014	26/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	VERIFIED	182275	CB1 M/intraday VM	deposit	29/05/2014	30/05/2014	CNH	20,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	177866	CB1 M/intraday VM	deposit	22/05/2014	22/05/2014	CNH	11.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181251	CB1 GF	withdrawal	28/05/2014	29/05/2014	CNH	32,423.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	177803	CB1 M/intraday VM	deposit	22/05/2014	22/05/2014	CNH	12.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181248	CB1 GF	deposit	28/05/2014	28/05/2014	CNH	200,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175286	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175285	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	1,500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173552	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	VERIFIED	174649	CB1 M/intraday VM	interaccount - withdrawal	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173892	CB1 M/intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175095	CB1 GF	withdrawal	20/05/2014	19/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173748	CB1 GF	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173738	CB1 M/intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	176532	CB1 GF	withdrawal	21/05/2014	22/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	174590	CB1 M/intraday VM	withdrawal	20/05/2014	21/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173612	CB1 M/intraday VM	withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014

At the bottom of the page, there is a footer that reads: "For help and support, please contact OTC_Operations@hkex.com.hk".

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: <i>marginCall</i> Demand issued by OTC Clear to the Clearing Member <i>deposit</i> Collateral Deposit Request <i>withdrawal</i> Collateral Withdrawal Request <i>Interaccount – deposit</i> Collateral Deposit Request resulting from an inter-account transfer request <i>Interaccount - withdrawal</i> 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.

The screenshot displays the HKEX OASIS Web Portal interface. The top navigation bar includes 'Home - Dashboard', 'Approvals', 'Collateral', and 'Document Download'. The 'Collateral' tab is active. On the left, there is a 'Filter' section with options for 'Margin Account' (ALL), 'Currency' (ALL), 'Value Date From', and 'Value Date To'. A 'Create Deposit' button is visible. The main area shows a table of deposits with columns: Account, Type, Trade Currency, Amount, Security, Code, Status, Date, Entered, and Settle Date. The table lists various deposit transactions, including cash and bond deposits, with their respective amounts and security details. The status of most deposits is 'CANCELED'. At the bottom, there is a footer with contact information: 'For help and support, please contact OTC_Operations@hkex.com.hk'.

Account	Type	Trade Currency	Amount	Security	Code	Status	Date	Entered	Settle Date
QF	deposit	USD	23,423,423	Cash		CANCELED	16/05/2014	16/05/2014	16/05/2014
QF	deposit	USD	101	Cash		CANCELED	16/05/2014	16/05/2014	16/05/2014
QF	deposit	CNH	100,000,000	BondCOB 2.6% 22/11/2016 (SA)/33M/22/11/2016/2.6%	HK0000171899	CANCELED	16/05/2014	16/05/2014	16/05/2014
QF	deposit	USD	45,000	Cash		CANCELED	14/05/2014	14/05/2014	15/05/2014
QF	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
QF	deposit	USD	23,000	Cash		CANCELED	14/05/2014	14/05/2014	13/05/2014
QF	deposit	CNH	1,567,890	BondCOB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	13/05/2014	13/05/2014	14/05/2014
QF	deposit	USD	8,000	Cash		CANCELED	13/05/2014	13/05/2014	15/05/2014
QF	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
QF	deposit	HKD	5,000	Cash		CANCELED	13/05/2014	13/05/2014	14/05/2014
QF	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
QF	deposit	USD	8,000	Cash		CANCELED	13/05/2014	13/05/2014	12/05/2014
QF	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
QF	deposit	CNH	500,000	BondCOB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014
QF	deposit	CNH	500,000	BondCOB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014
QF	deposit	CNH	8,000	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
QF	deposit	USD	234	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
QF	deposit	USD	234	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
QF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
QF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
QF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
QF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
QF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
QF	deposit	USD	1,000	Cash		CANCELED	12/05/2014	12/05/2014	13/05/2014
88Intraday VM	deposit	CNH	8,000,000	BondCOB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	16/05/2014	16/05/2014	19/05/2014
88Intraday 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
88Intraday VM	deposit	CNH	1,500,000	BondCOB 2.6% 22/11/2016 (SA)/33M/22/11/2016/2.6%	HK0000171899	CANCELED	16/05/2014	16/05/2014	20/05/2014

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

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Filter

Margin Account: ALL

Currency: ALL

Value Date From:

Value Date To:

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Create Deposit

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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 2.8% 22/11/2016 (SA)/33M/22/11/2016/2.8%	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% 22/11/2016 (SA)/54M/22/11/2016/3.09%	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% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014
GF	deposit	CNH	500,000	BondCGB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	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
MI/intraday VM	deposit	CNH	8,000,000	BondCGB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	16/05/2014	16/05/2014	19/05/2014
MI/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
MI/intraday VM	deposit	CNH	1,500,000	BondCGB 2.8% 22/11/2016 (SA)/33M/22/11/2016/2.8%	HK0000171899	CANCELED	16/05/2014	16/05/2014	20/05/2014

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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.

The screenshot displays a web form titled "Step 1" with a "1/3" indicator in the top right corner. The form contains two labels: "Account" and "Collateral Type". The "Account" label is positioned to the left of a dropdown menu. The dropdown menu is open, showing three options: "CB1 GF" (highlighted in blue), "CB1 GF", and "CB1 IM". A red rectangular box highlights the dropdown menu. Below the "Account" and "Collateral Type" labels, there is a "Collateral Type" label. At the bottom of the form, there are three buttons: "Cancel", "Previous", and "Next". The "Next" button is highlighted with a red rectangular box. A "Step 2" label is positioned above the "Next" button.

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

Create Deposit 2/3
Select Collateral

Step 1

Collateral Type

CASH
CASH
SECURITY

Step 2

Cancel Previous 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.

Create Deposit 3/3

Step 1

Settle Date* 7/05/2014

Currency*

Amount*

2014 May

M	T	W	T	F	S	S
28	29	30	1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	1
2	3	4	5	6	7	8

Step 2

Cancel Previous Next

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

Create Deposit 3/3
Select Details

Settle Date*

Currency*

Amount*

USD
HKD
EUR
USD
CNH

Cancel Previous Next

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

Security*	<input type="text"/>		
Security Code	HK0000171899	CNH	BondCGB 2.6% 22/11/2016 (SA)/0D/22/11/2016/2.6%
Value Date*	HK0000171907	CNH	BondCGB 3.09% 22/11/2018 (SA)/0D/15/12/2014/3.09%
	HK0000121852	HKD	BondHKEFN Aug27 (dummy coupon)/0D/17/12/2014/0.8%
	US912828NP10	USD	BondUST Bonds Jul15 (Dummy coupon)/0D/31/07/2015/1.75%
	US912828D564	USD	BondUST Bonds 2.375%/10Y/15/08/2024/2.375%
	US912828G385	USD	BondUST Bonds 2.25%/10Y/15/11/2024/2.25%
	US912828UN88	USD	BondUST Bonds 2.00%/10Y/15/02/2023/2%
	HK0000171238	HKD	BondHKEFN 0.3%/2Y/18/11/2015/0.3%
	HK0000223955	HKD	BondHKEFB 0%/91D/18/02/2015/0%
	US912828QS22	USD	BondUST Bonds (Dummy) 18Jun2015/0D/18/06/2015/0.75%

USD	800,000	US912796CZ01	Bond
HKD	50,000,000	HK0000190667	Bond
USD	1,000,000	US912828VL14	Bond
HKD	50,000,000	HK0000121852	Bond
CNH	80,000,000	HK0000171907	Bond
USD	80,000	US912828NP10	Bond
USD	80,000	US912796DD89	Bond

- 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.

Create Deposit 3/3
Select Details

Settle Date* 17/05/2014

Currency* USD

Amount* Please set a valid amount

Step 1

Cancel Previous Next

Step 2

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.

Security* BondCGB 2.6% 22/11/20

Security Code HK0000171899

Value Date* 12/12/2014

Notional* CNH 2,000,000

Step 1

Cancel Previous Next

Step 2

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.

Create Withdrawal 3/3

Select Details

Trade

Settle Date* 30/05/2014

Currency* USD

Amount* 111

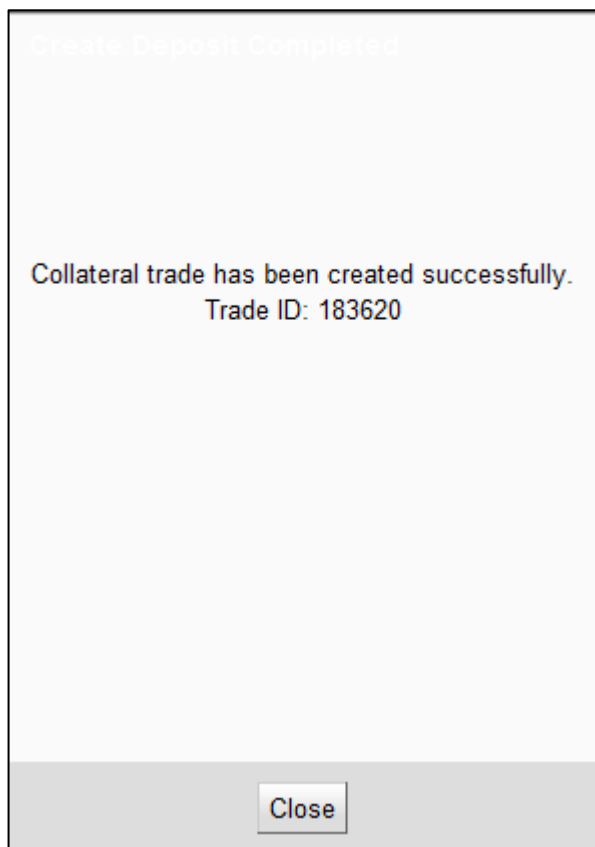
Change Destination Account ☒

Step 1

Step 2

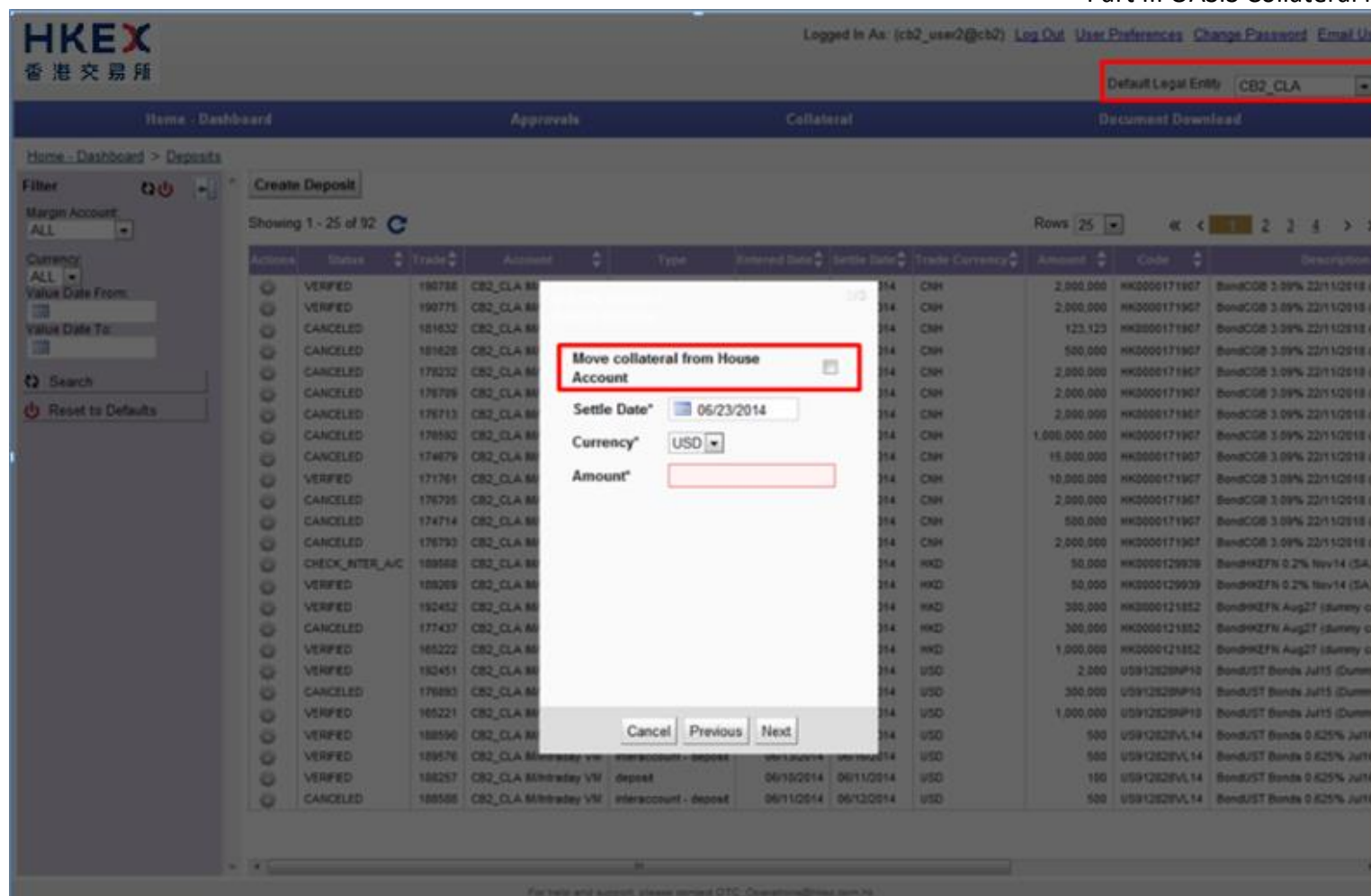
Cancel Previous Next

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

3/3

Select Details

Move collateral from House Account

☒


Linked Account

CB2 GF

CB2 GF

CB2 IM

Settle Date*

 06/23/

Currency*

USD

Amount*

Cancel

Previous

Next

Move collateral from House Account ☒

Linked Account CB2 GF ▼

Security*

Security Code

Value Date*

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*

Currency*

USD


Amount*

1,111,123

Cancel

Previous

Finish

Margin Account	CB2 CLA IM/Intraday V\
Move collateral from House Account	<input checked="" type="checkbox"/>
Linked Account	CB2 IM ▼
Security	BondCGB 3.09% 22/11/2018 (SA)/0D/1
Security Code	HK0000171907
Value Date	 12/12/2014
Notional	CNH 2,000,000
<input type="button" value="Cancel"/> <input type="button" value="Previous"/> <input type="button" value="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.



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Default Legal Entity

CB1

CB1

CB1_OM#1

CB1_OM#2

CB1_CLA

CB1_CLB

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Collateral

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Currency

ALL

Value Date From

Value Date To

Search

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Create Withdrawal

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Rows

50

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 M/Intraday VM	interaccount - withdrawal	USD	3,000.00	Cash
	165258	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	interaccount - withdrawal	USD	5,000.00	Cash
	165260	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/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 0.625% Jul15 (Dumer)
	165340	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul15
	165342	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul15
	165344	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul15
	165516	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	250,000.00	BondUST Bonds 0.625% Jul15
	165518	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	300,000.00	BondUST Bonds 0.625% Jul15
	167815		CB1 M/Intraday VM	withdrawal	USD	800,000.00	Cash
	167816		CB1 M/Intraday VM	withdrawal	USD	800,000.00	BondUST Bonds 0.625% Jul15
	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 M/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 M/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 M/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 M/Intraday VM	withdrawal	USD	1,000.00	Cash
	167924	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	HKD	100,000.00	BondHKEFN 0.2% Nov14 (SA)
	167928		CB1 M/Intraday VM	withdrawal	USD	1,000.00	Cash
	167930	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/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	BondCGB 3.09% 22/11/2018
	167950	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	CNH	12,323,524,242.00	BondCGB 3.09% 22/11/2018
	167953	Auto Cancel	CB1 M/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% Jul15

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

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Default Legal Entity: **CB1**

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Filter

Margin Account: ALL

Currency: ALL

Value Date From:

Value Date To:

Search

Reset to Defaults

Create Withdrawal

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Rows: 50

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 M/Intraday VM	interaccount - withdrawal	USD	3,000.00	Cash
	165258	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	interaccount - withdrawal	USD	5,000.00	Cash
	165260	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/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 (Dumr
	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 M/Intraday VM	withdrawal	USD	800,000.00	Cash
	167816		CB1 M/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 M/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 M/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 M/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 M/Intraday VM	withdrawal	USD	1,000.00	Cash
	167924	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	HKD	100,000.00	BondHKEFN 0.2% Nov14 (SA
	167928		CB1 M/Intraday VM	withdrawal	USD	1,000.00	Cash
	167930	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/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 M/Intraday VM	withdrawal	CNH	12,323,524,242.00	BondCGB 3.09% 22/11/2018
	167953	Auto Cancel	CB1 M/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

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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.

The screenshot displays the 'Step 1' of the OASIS Collateral Management Portal. The form includes a 'Collateral' section with a 'Collateral Type' dropdown menu. The dropdown menu is open, showing three options: 'CB1 GF' (selected), 'CB1 GF', and 'CB1 IM'. The 'Next' button is highlighted with a red box and labeled 'Step 2'. The 'Cancel' and 'Previous' buttons are also visible.

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

Create Deposit 2/3
Select Collateral

Step 1

Collateral Type

CASH
CASH
SECURITY

Step 2

Cancel Previous 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.

Create Withdrawal

3/3

Settle Date*

Step 1



30/05/2014

Currency*

USD

Amount*

Change Destination

«

2014 May

»

M	T	W	T	F	S	S
28	29	30	1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	Step 2		23	24	25
26	27	28	29	30	31	1
2	3	4	5	6	7	8

Cancel

Previous

Next

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

Create Withdrawal 3/3
Select Details

Settle Date* 30/05/2014

Currency* USD

Amount*

Change Destination CNH account ☐

Cancel Previous Next

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

Security*	Amount	Code	Description
Security Code	HK0000171899	CNH	BondCGB 2.6% 22/11/2016 (SA)/0D/22/11/2016/2.6%
Value Date*	HK0000121852	HKD	BondHKEFN Aug27 (dummy coupon)/0D/17/12/2014/0.8%
	US912828NP10	USD	BondUST Bonds Jul15 (Dummy coupon)/0D/31/07/2015/1.75%
	US912828D564	USD	BondUST Bonds 2.375%/10Y/15/08/2024/2.375%
	US912828G385	USD	BondUST Bonds 2.25%/10Y/15/11/2024/2.25%
	US912828UN88	USD	BondUST Bonds 2.00%/10Y/15/02/2023/2%
	HK0000171238	HKD	BondHKEFN 0.3%/2Y/18/11/2015/0.3%
	HK0000223955	HKD	BondHKEFB 0%/91D/18/02/2015/0%
	US912828QS22	USD	BondUST Bonds (Dummy) 18Jun2015/0D/18/06/2015/0.75%
	456,456	US912828NP10	BondUST Bonds Jul
	4,500	US912796CM97	BondUSTBills 1Y 23
	400,000		Cash
	200,000		Cash
	300,000		Cash
	100,000		Cash
	3,000,000	HK0000171899	BondCGB 2.6% 22/1
	8,000	US912828NP10	BondUST Bonds Jul

- 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.

Create Deposit 3/3
Select Details

Settle Date* 17/05/2014

Currency* USD

Amount* Please set a valid amount

Step 1

Cancel Previous Next

Step 2

Security* BondCGB 2.6% 22/11/20

Security Code HK0000171899

Value Date* 12/12/2014

Notional* CNH 2,000,000

Step 1

Cancel Previous Next

Step 2

- 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]*

Create Withdrawal 3/3

Select Details

Settle Date* 30/05/2014

Currency* USD

Amount* 111

Change Destination Account ☒ Step 1

Step 2

Cancel Previous Next

Trade

USD

USD

USD

USD

USD

USD

USD

USD

USD

USD

USD

USD

USD

CNH

CNH

HKD

HKD

HKD

USD

USD

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

Create Withdrawal 3/3

301 Selection

Margin Account CB1 GF

Settle Date* 30/05/2014

Currency* USD

Amount* 111

Destination SWIFT/AGENT_CB1/1223373

Step 1

Step 2

Cancel Previous Next

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:

Create Withdrawal


3/3

Review

Margin Account

CB1 GF

Settle Date*

 30/05/2014

Currency*

USD ▾

Amount*

111

Destination

Default Destination Account ▾

Cancel

Previous

Finish

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

Create Withdrawal


3/3

Review

Margin Account

CB1 GF

Settle Date*

 30/05/2014

Currency*

USD ▾

Amount*

111

Destination

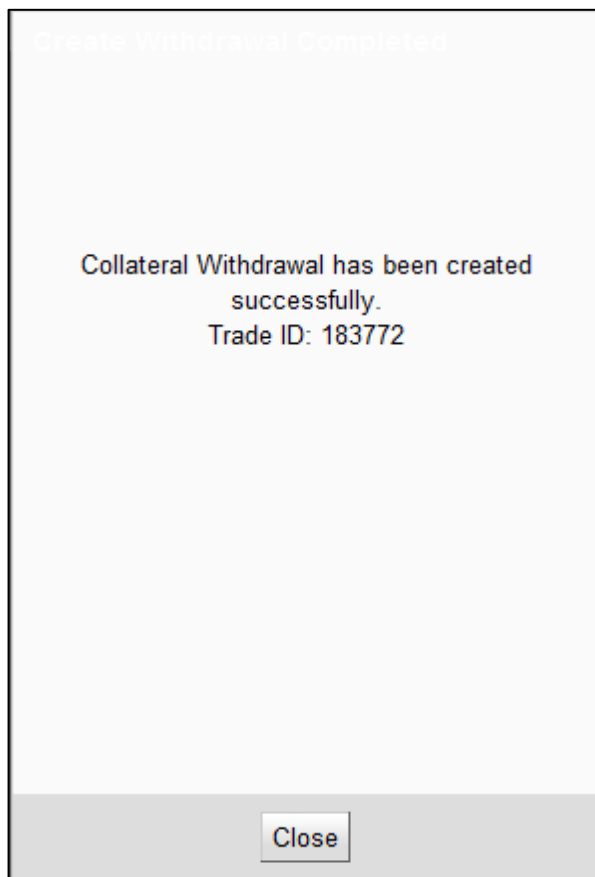
SWIFT/AGENT_CB1/1223373 ▾

Cancel

Previous

Finish

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.

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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	999,999,999.99		Cash
	VERIFIED	163403	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

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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.

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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	999,999,999.99		Cash
	VERIFIED	163403	CB1 GF	deposit	30/05/2014	30/05/2014	USD	234,234.00		Cash
Amend	VERIFIED	169229	CB1 GF	deposit	15/05/2014	16/05/2014	USD	100,000.00	US912796DD89	BondUSTBills 19Jun14/6M/19/06/2014/0%
Cancel	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	166208	CB1 GF	deposit	14/05/2014	15/05/2014	USD	45,000.00		Cash
	CANCELED	166209	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

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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.

Cancel Collateral Movement

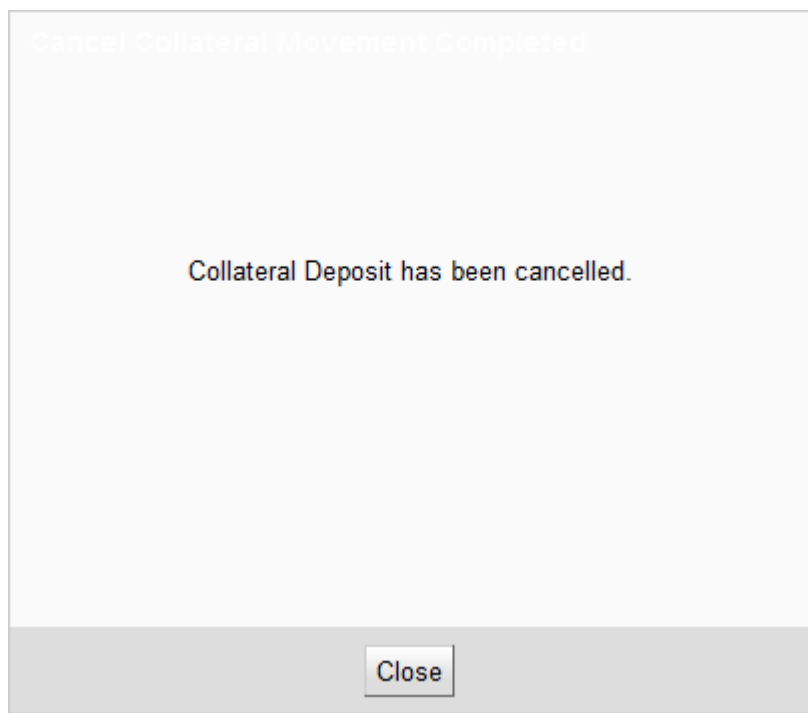
Please confirm that you want to cancel this transaction.

Trade Id	183403
Margin Account	CB1 GF
Collateral	Cash
Amount	USD 234,234.00

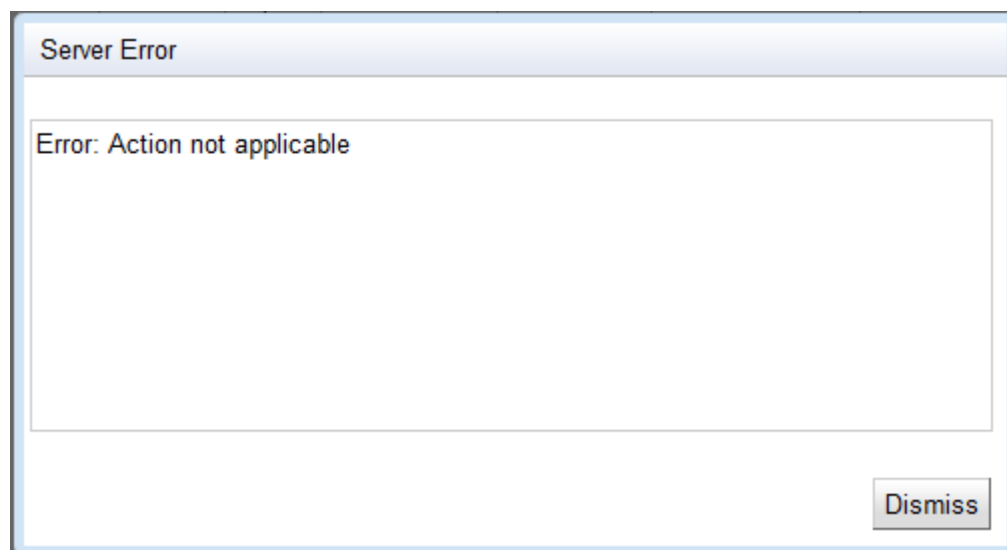
CancelFinish

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.

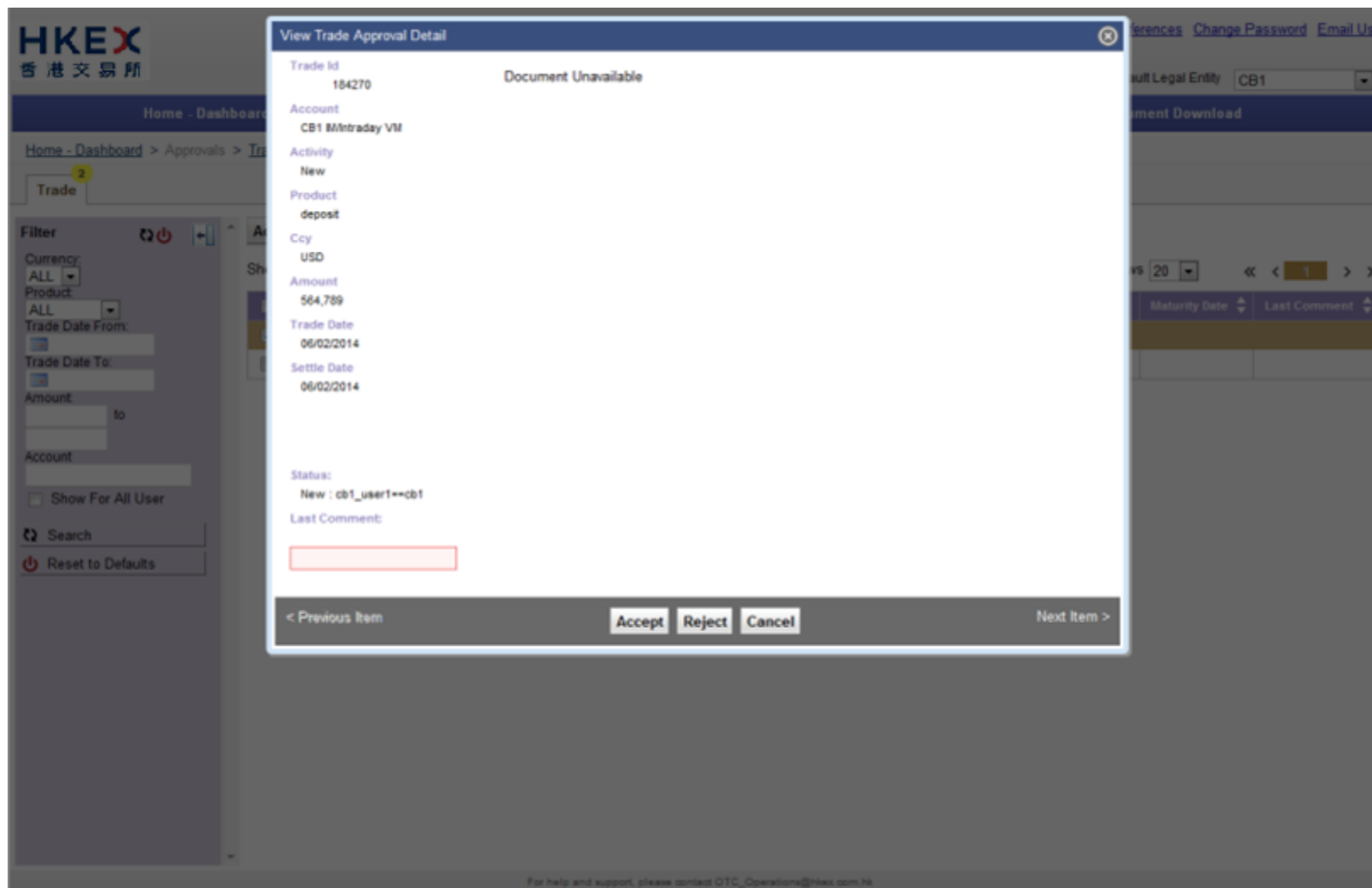


2. Refine the search result by using the Search Panel. After locating the request, select the request by checking the checkbox located at the first column of each row. The request will be highlighted. Example, Trade ID 184270 is selected.

The screenshot displays the HKEX OASIS Web Portal interface. At the top, the HKEX logo and '香港交易所' are visible. The user is logged in as 'cb1_user3@cb1'. The main navigation bar includes 'Home - Dashboard', 'Approvals' (highlighted with a yellow circle and a '2' badge), 'Collateral', and 'Document Download'. The breadcrumb trail shows 'Home - Dashboard > Approvals > Trade'. The 'Trade' tab is active, showing a table of trade requests. On the left, there is a 'Filter' sidebar with options for Currency (ALL), Product (ALL), Trade Date From, Trade Date To, Amount, and Account. Below the filter is a 'Search' button and a 'Reset to Defaults' button. The table has columns: Actions, Status, Trade Id, Account, Activity, Product, Ccy, Amount, Ccy 2, Trade Date, Settle Date, Maturity Date, and Last Comment. Two rows of trade data are visible. Above the table, there are buttons for 'Accept', 'Reject', and 'View Details'. The text 'Showing 1 - 2 of 2' and 'Rows 20' are also present.

Actions	Status	Trade Id	Account	Activity	Product	Ccy	Amount	Ccy 2	Trade Date	Settle Date	Maturity Date	Last Comment
	New	184279	CB1 Intraday VM	New	deposit	USD	564,789		06/02/2014	06/02/2014		
	New	184273	CB1 Intraday VM	New	deposit	USD	123,456		06/02/2014	06/02/2014		

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



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**.

The screenshot displays the HKEX OASIS Web Portal interface. At the top, the HKEX logo and "香港交易所" are visible. The user is logged in as "cb1_user3@cb1". The navigation bar includes "Home - Dashboard", "Approvals" (highlighted with a yellow badge), "Collateral", and "Document Download". The breadcrumb trail shows "Home - Dashboard > Approvals > Trade".

On the left, a "Filter" sidebar allows users to refine search results by Currency (ALL), Product (ALL), Trade Date (From/To), Amount, and Account. There are also checkboxes for "Show For All User", "Search", and "Reset to Defaults".

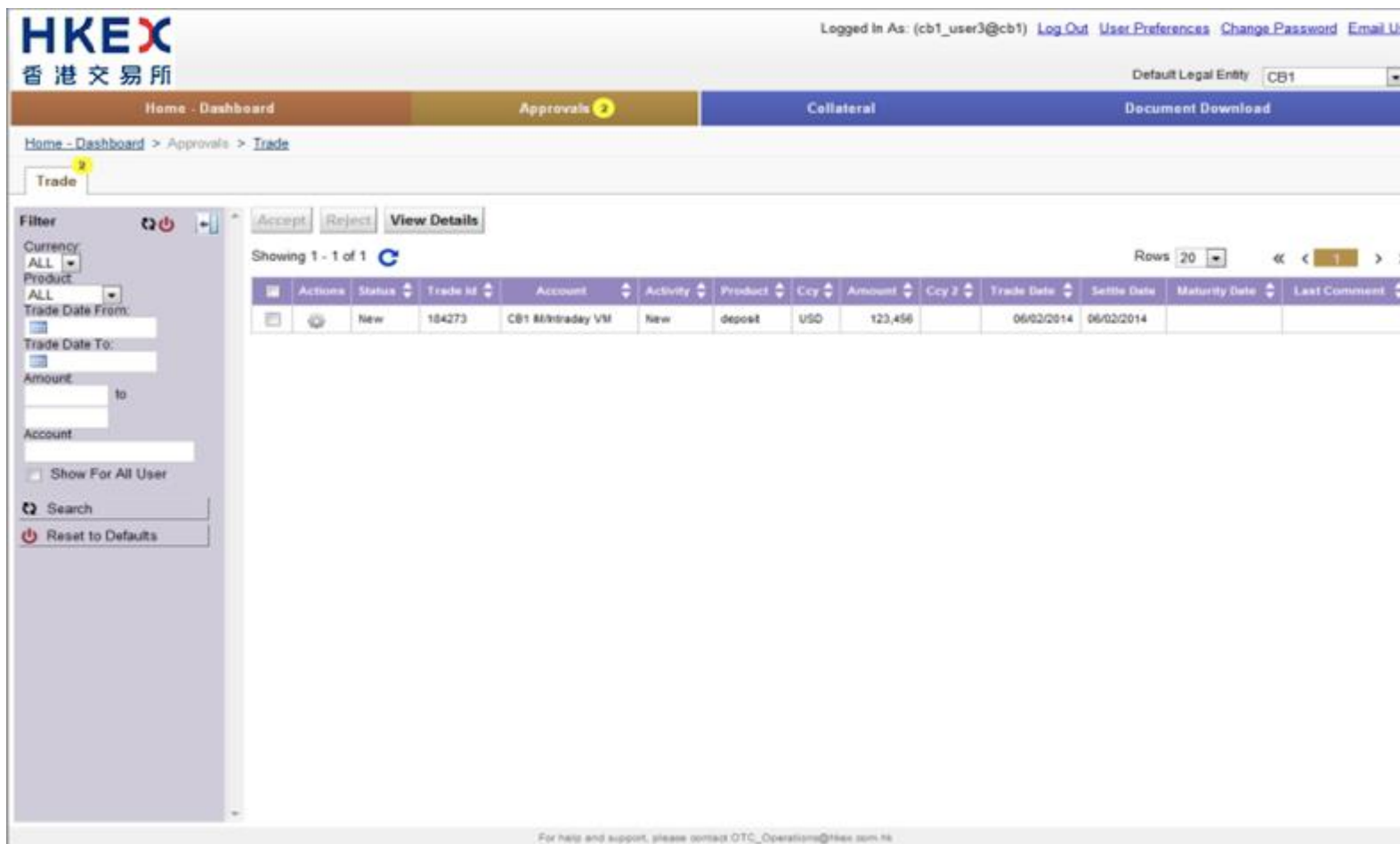
The main content area shows a table of trade records. The table has columns: Actions, Status, Trade Id, Account, Activity, Product, Ccy, Amount, Ccy 2, Trade Date, Settle Date, Maturity Date, and Last Comment. A single record is displayed with the following details:

Actions	Status	Trade Id	Account	Activity	Product	Ccy	Amount	Ccy 2	Trade Date	Settle Date	Maturity Date	Last Comment
	New	104273	CB1 Alltrade VM	New	deposit	USD	123,456		06/02/2014	30/02/2014		

Below the table, a modal window titled "Enter Reject Reason" is open, prompting the user to provide a "Your Comment" and offering "Cancel" and "Submit" options.

At the bottom of the page, there is a footer with contact information: "For help and support, please contact OTC_Operations@hkex.com.hk". The status bar at the very bottom indicates "Local intranet | Protected Mode: Off" and a zoom level of "100%".

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



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

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Default Legal Entity: CB1

Home - Dashboard Approvals **2** Collateral Document Download

Home - Dashboard > Approvals > Trade

Trade **2**

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   **1**  

Actions	Status	Trade ID	Account	Activity	Product	Ccy	Amount	Ccy 2	Trade Date	Settle Date	Maturity Date	Last Comment
	New	184273	CB1 Intraday VM	New	deposit	USD	123,456		06/02/2014	06/02/2014		

For help and support, please contact OTC_Operations@hkex.com.hk

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.

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Default Legal Entity: CB1

Home - Dashboard Approvals Collateral Document Download

Home - Dashboard > Margin Activity

Filter

Margin Account: ALL

Currency: ALL

Value Date From: []

Value Date To: []

Search

Reset to Defaults

Create Deposit

Showing 1 - 20 of 296

Rows 20

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description of Collateral
	CANCELED	184273	CB1 M/intraday VM	deposit	06/02/2014	06/02/2014	USD	123,456		Cash
	4EYES	184272	CB1 M/intraday VM	deposit	06/02/2014	06/02/2014	EUR	789,456		Cash
	4EYES	184271	CB1 GF	deposit	06/02/2014	06/02/2014	EUR	93,126		Cash
	VERIFIED	184270	CB1 M/intraday VM	deposit	06/02/2014	06/02/2014	USD	564,789		Cash
	CANCELED	183772	CB1 GF	withdrawal	05/30/2014	05/30/2014	USD	111		Cash
	CANCELED	183622	CB1 GF	deposit	05/30/2014	05/30/2014	USD	6		Cash
	CANCELED	183621	CB1 GF	deposit	05/30/2014	05/30/2014	USD	5		Cash
	CANCELED	183620	CB1 GF	deposit	05/30/2014	05/17/2014	USD	1,111		Cash
	CANCELED	183605	CB1 GF	deposit	05/30/2014	05/17/2014	USD	1,111		Cash
	CANCELED	183550	CB1 M/intraday VM	deposit	05/30/2014	05/30/2014	USD	500		Cash
	CANCELED	183417	CB1 M/intraday VM	withdrawal	05/30/2014	06/02/2014	USD	100,000	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/0
	CANCELED	183414	CB1 M/intraday VM	withdrawal	05/30/2014	05/30/2014	USD	200,000		Cash
	VERIFIED	183409	CB1 M/intraday VM	deposit	05/30/2014	06/02/2014	USD	500,000	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/0
	VERIFIED	183403	CB1 GF	deposit	05/30/2014	05/30/2014	USD	234,234		Cash
	VERIFIED	182275	CB1 M/intraday VM	deposit	05/29/2014	05/30/2014	CNH	20,000,000	HK0000171907	BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/
	CHECK SOI WOL	181750	CB1 M/intraday VM	withdrawal	05/29/2014	05/30/2014	CNH	2,000,000	HK0000171907	BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/
	CANCELED	181749	CB1 M/intraday VM	withdrawal	05/29/2014	05/30/2014	CNH	1,000,000	HK0000171907	BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/
	VERIFIED	181748	CB1 M/intraday VM	withdrawal	05/29/2014	05/30/2014	HKD	1,000,000	HK0000190667	BondHKEFB 18Jun14/0D/18/06/2014/0%
	VERIFIED	181670	CB1 M/intraday VM	deposit	05/29/2014	05/29/2014	EUR	9,999,999,999.999		Cash
	CANCELED	181264	CB1 M/intraday VM	deposit	05/28/2014	05/28/2014	USD	100		Cash

For help and support, please contact OTC_Operations@hkex.com.hk

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.

Part III OASIS Collateral Management Portal

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

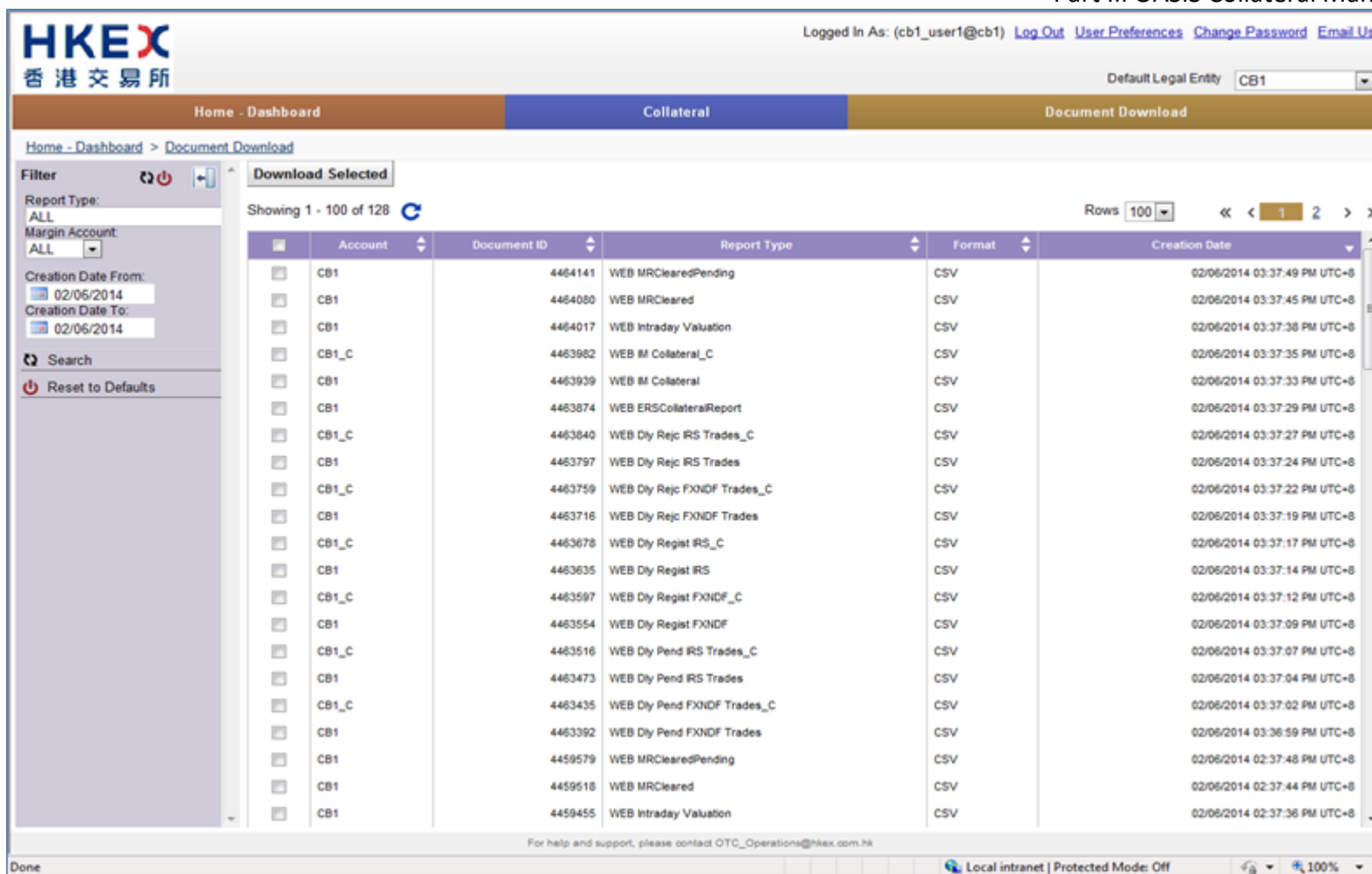


Part III OASIS Collateral Management Portal

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.

Part III OASIS Collateral Management Portal



The screenshot displays the OASIS Collateral Management Portal interface. The top navigation bar includes the HKEX logo, the text "香港交易所", and a "Logged In As: (cb1_user1@cb1)" status with links for "Log Out", "User Preferences", "Change Password", and "Email Us". A "Default Legal Entity" dropdown is set to "CB1". The main navigation tabs are "Home - Dashboard", "Collateral", and "Document Download". The "Document Download" tab is active, showing a breadcrumb "Home - Dashboard > Document Download".

On the left, a "Filter" panel allows users to refine the search by "Report Type" (set to "ALL"), "Margin Account" (set to "ALL"), and "Creation Date" (from "02/06/2014" to "02/06/2014"). It includes a "Search" button and a "Reset to Defaults" button. A "Download Selected" button is located above the table.

The main content area shows a table of reports with the following columns: Account, Document ID, Report Type, Format, and Creation Date. The table displays 20 rows of data, all for account "CB1". The reports include various types such as "WEB MRClearedPending", "WEB MRCleared", "WEB Intraday Valuation", "WEB M Collateral_C", "WEB M Collateral", "WEB ERSCollateralReport", "WEB Dly Rejc IRS Trades_C", "WEB Dly Rejc IRS Trades", "WEB Dly Rejc FXNDF Trades_C", "WEB Dly Rejc FXNDF Trades", "WEB Dly Regist IRS_C", "WEB Dly Regist IRS", "WEB Dly Regist FXNDF_C", "WEB Dly Regist FXNDF", "WEB Dly Pend IRS Trades_C", "WEB Dly Pend IRS Trades", "WEB Dly Pend FXNDF Trades_C", "WEB Dly Pend FXNDF Trades", "WEB MRClearedPending", "WEB MRCleared", and "WEB Intraday Valuation". All reports are in "CSV" format and were created on "02/06/2014".

At the bottom, a status bar indicates "Done", "For help and support, please contact OTC_Operations@hkex.com.hk", "Local intranet | Protected Mode: Off", and a zoom level of "100%".

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

Part III OASIS Collateral Management Portal



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   1

Report Type: ALL

Margin Account: ALL

Creation Date From: 02/06/2014

Creation Date To: 02/06/2014


2

3

Search

Reset to Defaults

Download Selected

Showing 1 - 100 of 128 

Rows 100 << < 1 2 > >>

	Account	Document ID	Report Type	Format	Creation Date
<input type="checkbox"/>	CB1	4464141	WEB MRClearedPending	CSV	02/06/2014 03:37:49 PM UTC+8
<input type="checkbox"/>	CB1	4464080	WEB MRCleared	CSV	02/06/2014 03:37:45 PM UTC+8
<input type="checkbox"/>	CB1	4464017	WEB Intraday Valuation	CSV	02/06/2014 03:37:38 PM UTC+8
<input type="checkbox"/>	CB1_C	4463982	WEB M Collateral_C	CSV	02/06/2014 03:37:35 PM UTC+8
<input type="checkbox"/>	CB1	4463939	WEB M Collateral	CSV	02/06/2014 03:37:33 PM UTC+8
<input type="checkbox"/>	CB1	4463874	WEB ERSCollateralReport	CSV	02/06/2014 03:37:29 PM UTC+8
<input type="checkbox"/>	CB1_C	4463840	WEB Dly Rejc RS Trades_C	CSV	02/06/2014 03:37:27 PM UTC+8
<input type="checkbox"/>	CB1	4463797	WEB Dly Rejc RS Trades	CSV	02/06/2014 03:37:24 PM UTC+8
<input type="checkbox"/>	CB1_C	4463759	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 03:37:22 PM UTC+8
<input type="checkbox"/>	CB1	4463716	WEB Dly Rejc FXNDF Trades	CSV	02/06/2014 03:37:19 PM UTC+8
<input type="checkbox"/>	CB1_C	4463678	WEB Dly Regist RS_C	CSV	02/06/2014 03:37:17 PM UTC+8
<input type="checkbox"/>	CB1	4463635	WEB Dly Regist RS	CSV	02/06/2014 03:37:14 PM UTC+8
<input type="checkbox"/>	CB1_C	4463597	WEB Dly Regist FXNDF_C	CSV	02/06/2014 03:37:12 PM UTC+8
<input type="checkbox"/>	CB1	4463554	WEB Dly Regist FXNDF	CSV	02/06/2014 03:37:09 PM UTC+8
<input type="checkbox"/>	CB1_C	4463516	WEB Dly Pend RS Trades_C	CSV	02/06/2014 03:37:07 PM UTC+8
<input type="checkbox"/>	CB1	4463473	WEB Dly Pend RS Trades	CSV	02/06/2014 03:37:04 PM UTC+8
<input type="checkbox"/>	CB1_C	4463435	WEB Dly Pend FXNDF Trades_C	CSV	02/06/2014 03:37:02 PM UTC+8
<input type="checkbox"/>	CB1	4463392	WEB Dly Pend FXNDF Trades	CSV	02/06/2014 03:36:59 PM UTC+8
<input type="checkbox"/>	CB1	4459579	WEB MRClearedPending	CSV	02/06/2014 02:37:48 PM UTC+8
<input type="checkbox"/>	CB1	4459516	WEB MRCleared	CSV	02/06/2014 02:37:44 PM UTC+8
<input type="checkbox"/>	CB1	4459455	WEB Intraday Valuation	CSV	02/06/2014 02:37:36 PM UTC+8

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.

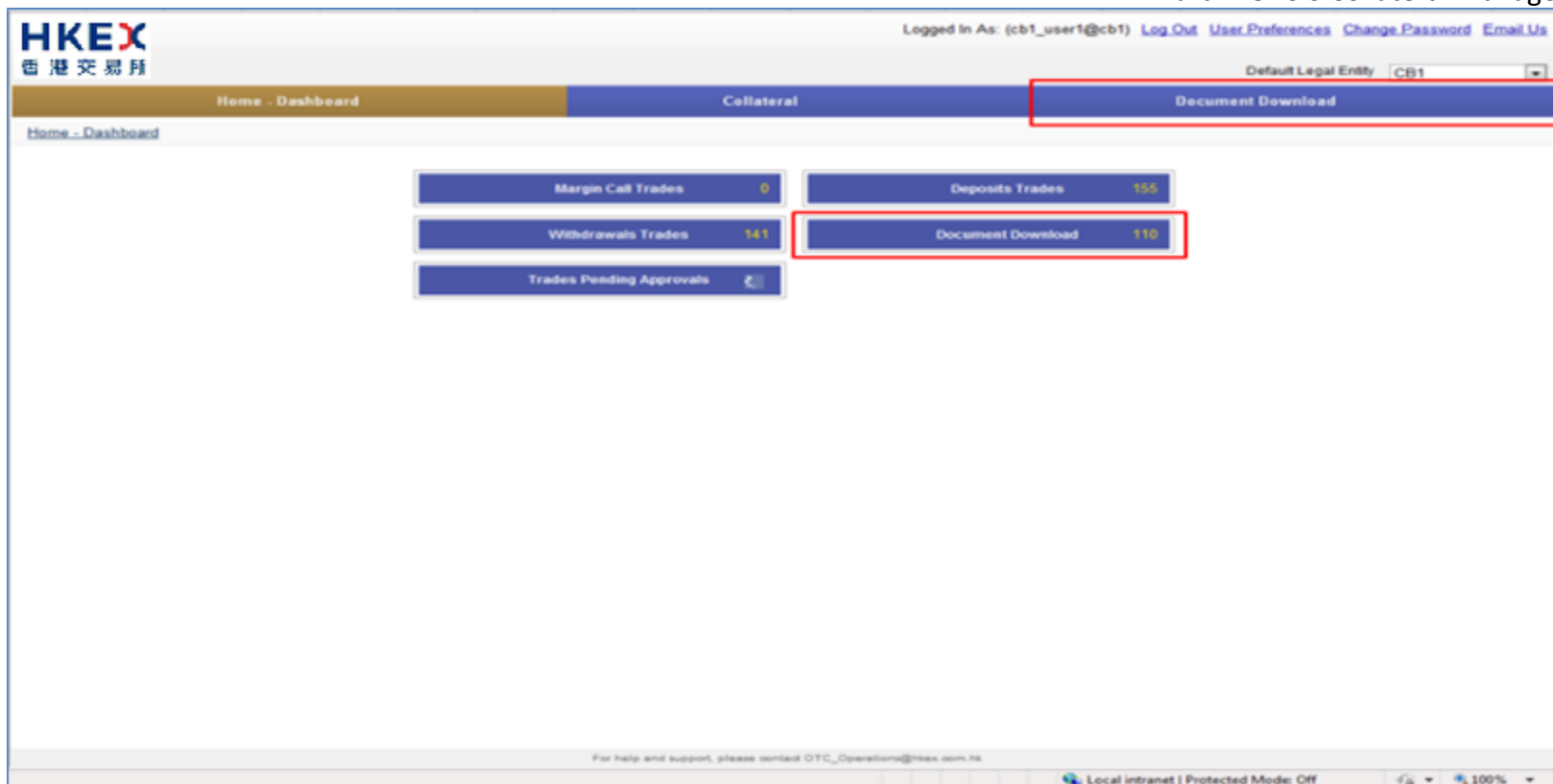
**3.2.2. Function Available Time**

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**.

Part III OASIS Collateral Management Portal



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.

Part III OASIS Collateral Management Portal

The screenshot displays the HKEX OASIS Collateral Management Portal. The top navigation bar includes 'Home - Dashboard', 'Collateral', and 'Document Download'. The 'Document Download' section is active, showing a list of reports. On the left, a 'Filter' sidebar allows users to filter by Report Type, Margin Account, and Creation Date. The main table lists reports with columns for Account, Document ID, Report Type, Format, and Creation Date. Two reports are selected, indicated by checkboxes. A 'Download Selected' button is located above the table. The bottom of the page includes a footer with contact information for OTC Operations.

Account	Document ID	Report Type	Format	Creation Date
CB1	4459579	WEB MRClearedPending	CSV	02/06/2014 02:37:48 PM UTC+8
CB1	4459518	WEB MRCleared	CSV	02/06/2014 02:37:44 PM UTC+8
CB1	4459455	WEB Intraday Valuation	CSV	02/06/2014 02:37:36 PM UTC+8
CB1_C	4459420	WEB M Collateral_C	CSV	02/06/2014 02:37:34 PM UTC+8
CB1	4459377	WEB M Collateral	CSV	02/06/2014 02:37:31 PM UTC+8
CB1	4459312	WEB ERSCollateralReport	CSV	02/06/2014 02:37:27 PM UTC+8
CB1_C	4459278	WEB Dly Rejc IRS Trades_C	CSV	02/06/2014 02:37:25 PM UTC+8
<input checked="" type="checkbox"/> CB1	4459235	WEB Dly Rejc IRS Trades	CSV	02/06/2014 02:37:22 PM UTC+8
CB1_C	4459197	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 02:37:20 PM UTC+8
CB1	4459154	WEB Dly Rejc FXNDF Trades	CSV	02/06/2014 02:37:17 PM UTC+8
CB1_C	4459116	WEB Dly Regist RS_C	CSV	02/06/2014 02:37:15 PM UTC+8
<input checked="" type="checkbox"/> CB1	4459073	WEB Dly Regist RS	CSV	02/06/2014 02:37:12 PM UTC+8
CB1_C	4459035	WEB Dly Regist FXNDF_C	CSV	02/06/2014 02:37:10 PM UTC+8
CB1	4458992	WEB Dly Regist FXNDF	CSV	02/06/2014 02:37:07 PM UTC+8
CB1_C	4458954	WEB Dly Pend IRS Trades_C	CSV	02/06/2014 02:37:05 PM UTC+8
CB1	4458911	WEB Dly Pend IRS Trades	CSV	02/06/2014 02:37:02 PM UTC+8
CB1_C	4458873	WEB Dly Pend FXNDF Trades_C	CSV	02/06/2014 02:37:00 PM UTC+8
CB1	4458830	WEB Dly Pend FXNDF Trades	CSV	02/06/2014 02:36:57 PM UTC+8
CB1	4457828	WEB MRClearedPending	CSV	02/06/2014 02:12:17 PM UTC+8
CB1	4457767	WEB MRCleared	CSV	02/06/2014 02:12:13 PM UTC+8
CB1	4457706	WEB ERSCollateralReport	CSV	02/06/2014 02:12:09 PM UTC+8

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

Part III OASIS Collateral Management Portal



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   **Download Selected**


Report Type: ALL


Margin Account: ALL

Creation Date From: 02/06/2014

Creation Date To: 02/06/2014

 Search

 Reset to Defaults

Showing 1 - 100 of 110 

Rows: 100 << < 1 2 > >>

	Account	Document ID	Report Type	Format	Creation Date
<input type="checkbox"/>	CB1	4459579	WEB MRClearedPending	CSV	02/06/2014 02:37:48 PM UTC+8
<input type="checkbox"/>	CB1	4459518	WEB MRCleared	CSV	02/06/2014 02:37:44 PM UTC+8
<input type="checkbox"/>	CB1	4459455	WEB Intraday Valuation	CSV	02/06/2014 02:37:36 PM UTC+8
<input type="checkbox"/>	CB1_C	4459420	WEB BI Collateral_C	CSV	02/06/2014 02:37:34 PM UTC+8
<input type="checkbox"/>	CB1	4459377	WEB BI Collateral	CSV	02/06/2014 02:37:31 PM UTC+8
<input type="checkbox"/>	CB1	4459312	WEB ERSCollateralReport	CSV	02/06/2014 02:37:27 PM UTC+8
<input type="checkbox"/>	CB1_C	4459276	WEB Diy Rejc IRS Trades_C	CSV	02/06/2014 02:37:25 PM UTC+8
<input checked="" type="checkbox"/>	CB1	4459235	WEB Diy Rejc IRS Trades	CSV	02/06/2014 02:37:22 PM UTC+8
<input type="checkbox"/>	CB1_C	4459197	WEB Diy Rejc FXNDF Trades_C	CSV	02/06/2014 02:37:20 PM UTC+8
<input type="checkbox"/>	CB1	4459154	WEB Diy Rejc FXNDF Trades	CSV	02/06/2014 02:37:17 PM UTC+8
<input type="checkbox"/>	CB1_C	4459116	WEB Diy Regist IRS_C	CSV	02/06/2014 02:37:15 PM UTC+8
<input checked="" type="checkbox"/>	CB1	4459073	WEB Diy Regist IRS	CSV	02/06/2014 02:37:12 PM UTC+8
<input type="checkbox"/>	CB1_C	4459035	WEB Diy Regist FXNDF_C	CSV	02/06/2014 02:37:10 PM UTC+8
<input type="checkbox"/>	CB1	4458992	WEB Diy Regist FXNDF	CSV	02/06/2014 02:37:07 PM UTC+8
<input type="checkbox"/>	CB1_C	4458954	WEB Diy Pend IRS Trades_C	CSV	02/06/2014 02:37:05 PM UTC+8
<input type="checkbox"/>	CB1	4458911	WEB Diy Pend IRS Trades	CSV	02/06/2014 02:37:02 PM UTC+8
<input type="checkbox"/>	CB1_C	4458873	WEB Diy Pend FXNDF Trades_C	CSV	02/06/2014 02:37:00 PM UTC+8
<input type="checkbox"/>	CB1	4458830	WEB Diy Pend FXNDF Trades	CSV	02/06/2014 02:36:57 PM UTC+8
<input type="checkbox"/>	CB1	4457828	WEB MRClearedPending	CSV	02/06/2014 02:12:17 PM UTC+8
<input type="checkbox"/>	CB1	4457767	WEB MRCleared	CSV	02/06/2014 02:12:13 PM UTC+8
<input type="checkbox"/>	CB1	4457706	WEB ERSCollateralReport	CSV	02/06/2014 02:12:09 PM UTC+8

For help and support, please contact OTC_Operations@hkex.com.hk



Part III OASIS Collateral Management Portal

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

Part III OASIS Collateral Management Portal

The screenshot displays the HKEX OASIS Collateral Management Portal interface. The top navigation bar includes the HKEX logo, the text "香港交易所", and a login status "Logged In As: (cb1_user1@cb1)". The main content area is divided into three tabs: "Home - Dashboard", "Collateral", and "Document Download". The "Document Download" tab is active, showing a list of documents for download. A "File Download" dialog box is open, asking "Do you want to open or save this file?" for a file named "all-documents.zip" (Type: WinZip File, 793 bytes) from "10.154.5.66". The dialog includes "Open", "Save", and "Cancel" buttons. Below the dialog, a table lists documents with columns for "Account", "Format", and "Creation Date". The table shows 110 documents in total, with the first 100 displayed. The "Account" column lists various accounts including CB1, CB1_C, and CB1. The "Format" column lists "CSV" for all documents. The "Creation Date" column shows dates from 02/06/2014. A "Filter" sidebar on the left allows users to filter by "Report Type" (ALL), "Margin Account" (ALL), and "Creation Date" (From: 02/06/2014, To: 02/06/2014). A "Download Selected" button is visible above the table. At the bottom, a footer note states: "For help and support, please contact OTC_Operations@hkex.com.hk".

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

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?](#)

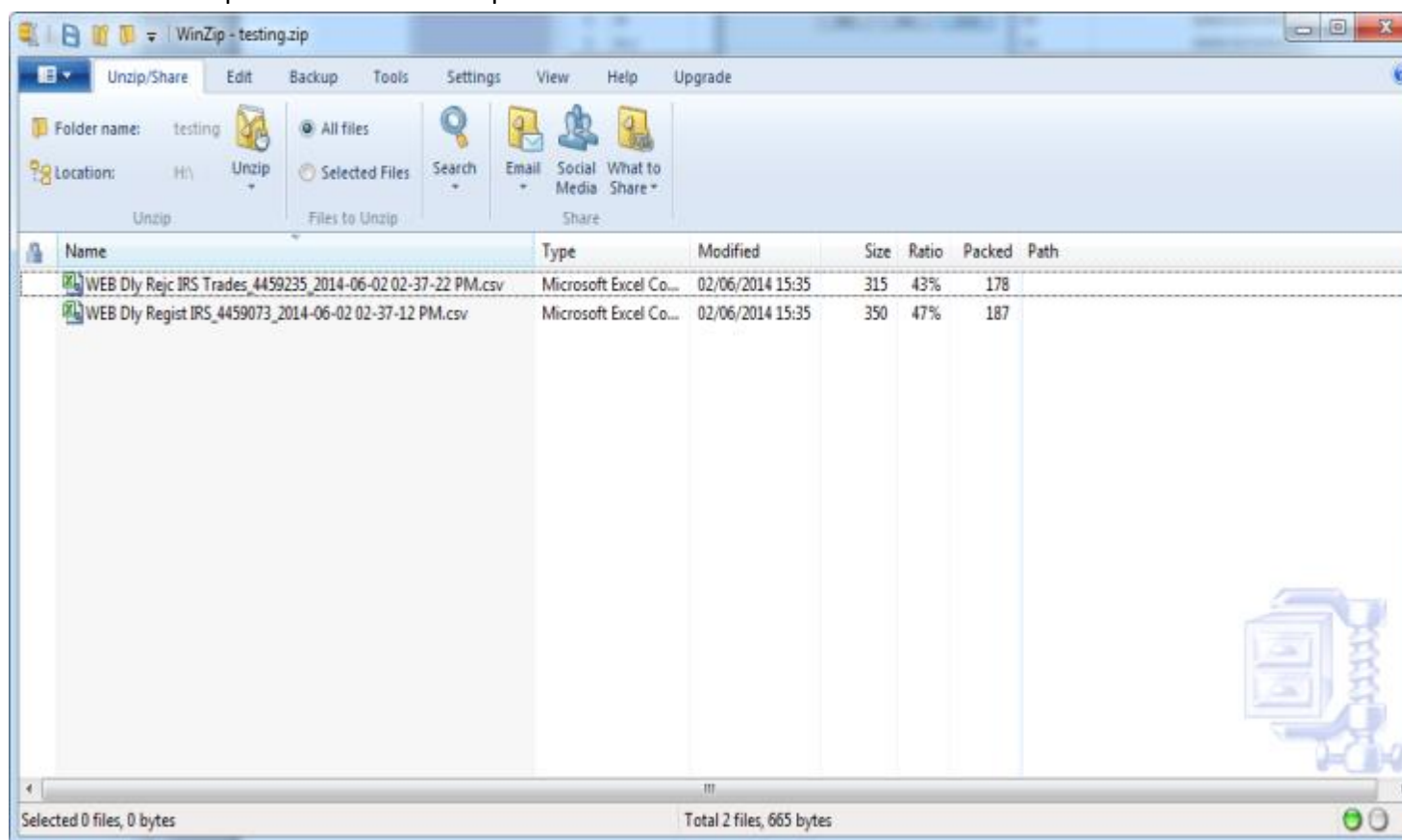
Account	Format	Creation Date
CB1	CSV	02/06/2014 02:37:48 PM UTC+8
CB1	CSV	02/06/2014 02:37:44 PM UTC+8
CB1	CSV	02/06/2014 02:37:36 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:34 PM UTC+8
CB1	CSV	02/06/2014 02:37:31 PM UTC+8
CB1	CSV	02/06/2014 02:37:27 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:25 PM UTC+8
CB1	CSV	02/06/2014 02:37:22 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:20 PM UTC+8
CB1	CSV	02/06/2014 02:37:17 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:15 PM UTC+8
CB1	CSV	02/06/2014 02:37:12 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:10 PM UTC+8
CB1	CSV	02/06/2014 02:37:07 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:05 PM UTC+8
CB1	CSV	02/06/2014 02:37:02 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:00 PM UTC+8
CB1	CSV	02/06/2014 02:36:57 PM UTC+8
CB1	CSV	02/06/2014 02:12:17 PM UTC+8
CB1	CSV	02/06/2014 02:12:13 PM UTC+8
CB1	CSV	02/06/2014 02:12:09 PM UTC+8

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.





Part III OASIS Collateral Management Portal

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.

Part III OASIS Collateral Management Portal

The screenshot displays the HKEX OASIS Collateral Management Portal interface. The top navigation bar includes 'Home - Dashboard', 'Collateral', and 'Document Download'. The user is logged in as 'cb1_user1@cb1' with links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us'. The default legal entity is set to 'CB1'.

The left sidebar contains a 'Filter' section with the following options:

- Report Type: ALL
- Margin Account: ALL
- Creation Date From: 01/05/2014
- Creation Date To: 02/06/2014
- Search button
- Reset to Defaults button

The main content area shows a table of documents with the following columns: Account, Document ID, Report Type, Format, and Creation Date. The table displays 100 rows of data, with the first row highlighted. The 'Creation Date' column for the first row is circled in red.

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 RS	CSV	16/05/2014 08:10:21 AM UTC+8
CB1_C	3962015	WEB Settle Proj RS_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 RS Trades	CSV	16/05/2014 08:45:42 AM UTC+8
CB1_C	3963156	WEB Dly Pend RS 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 RS	CSV	16/05/2014 08:45:49 AM UTC+8
CB1_C	3963277	WEB Dly Regist RS_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 RS Trades	CSV	16/05/2014 08:45:57 AM UTC+8
CB1_C	3963400	WEB Dly Rejc RS Trades_C	CSV	16/05/2014 08:45:59 AM UTC+8
CB1	3963422	WEB ERS Collateral Report	CSV	16/05/2014 08:46:01 AM UTC+8
CB1	3963467	WEB MI Collateral	CSV	16/05/2014 08:46:03 AM UTC+8
CB1_C	3963502	WEB MI Collateral_C	CSV	16/05/2014 08:46:06 AM UTC+8

At the bottom of the page, there is a footer with the text: 'For help and support, please contact: OTC_Operations@hkex.com.hk'. The status bar at the very bottom shows 'Local intranet | Protected Mode: Off' and a zoom level of '100%'.