Aug 2022



# **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

Disclaimer

The information of this document serves for education, training and/or on-boarding purposes only. HKEx assumes no responsibility for any errors, omissions or conflicts with clearing house rules, procedures and other official notice/circulars. Also, all examples in this document are used for illustration purposes only, and should not be considered the results of actual market circumstances. All matters pertaining to specifications herein are made subject to further revision and are superseded by official HKEx rules.

Part III OASIS Collateral Management Portal Amendment Log

Updated Date	Document / Section	Description
May 2014	Part III	<ul> <li>Update the screenshots for Part III to reflect system upgrade/new features</li> </ul>
April 2016		- Update the HKEx logo
Oct 2016	Part III, Section 1.3	<ul> <li>Update Home Page layout for new Access Group selfservice_limitenq" and "selfservice_loginonly"</li> </ul>
Ann 2010	Dart III. Coation 2.4	
Apr 2019	Part III, Section 2.4	
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0		- Updated withdrawal procedure for Opt-in Clearing Members
Sep 2021	Part III, Section 2.5	- Update function available time
Aug 2022	Part III, Section 2.5	<ul> <li>Update function available time for withdrawal</li> </ul>

Part III OASIS Collateral Management 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

🖉 Blank Page - Windows Internet Explorer	
- 47 × 2	Bing
🖕 Favorites 🏾 🍘 Blank Page	



3. The following login screen will be displayed.

Please Log In	
<b>₩</b> 香港	<b>く E X</b> 交易所
Username	
Password	Sign In
Language	English
OTC Clea	ring Hong Kong Limited (Plike)



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



Please Log In
皆龙大扬州
Username user1@cb1 Password ••••••
Language English
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.





#### 1.1.2. Portal Logoff

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





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

#### **1.2.** Password Management

#### 1.2.1. First Time Logon

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

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



#### 1.2.2. Voluntarily change of password

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

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



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



Part III OASIS Collateral Management Portal

HKEX	Welcor	me,(user1@cb1) <u>Log Out</u>	User Preferences Char	ge Password Email U
			Default Legal Entity	CB1 ~
Home - Dashboard	Collateral		Document Download	
Home - Dashboard	Password Reset         Please enter new         password         Please confirm new         password         @ Password must not be empty         Change Password         Change Password			

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

- 1. Password shall contain at least 10 characters;
- 2. Password shall contain a combination of letters (both upper & lower case) and numbers (0-9)



- 3. User account will be locked upon 6 consecutive unsuccessful login attempts
- 4. Password shall be changed at least every 90 days
- 5. Password will not be allowed to change on the same day upon completion of a password change

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





#### 1.2.3. Common Reasons for Invalid Login

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

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

User should contact User Account Administrator for further assistance.

Please Log In	
<b>日ドビズ</b> 香港交易所	
Failed to Authenticate	
Username user1@cb1	
Password	
Sign In	
Language English V	
OTC Clearing Hong Kong Limited (Plike)	



## **1.3.** Screen Layouts

1.3.1. Home Page



Part III OASIS Collateral Management Portal

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

HKEX				Logged In As: (cb1_	user1@cb1) Log Out U	ser Preferences Change Passwo	rd Email Us
香港交易所			Suppleme	ntary Menu		Default Legal Entity CB1	
Home - Dashboard	Main Menu	Approvals	(	Collateral		Document Download	
Home - Dashboard Current Location	Main Menu Collater Collater	Approvals Margin Call Trades Withdrawals Trades al Deposits al Withdrawals	0 0 0 0 0 0 0 0 0 0 0 0 0 0	Collateral Deposits Trac Document Down	des 67 nload 0	Document Download	
		For help and support, p	please contact OTC_Operation	ns@hkex.com.hk			



Part III OASIS Collateral Management Portal

For Access Groups "selfservice\_limitenq" and "selfservice\_loginonly", user interface of Home Page consists of SUPPLEMENTARY MENU ONLY.

HKEX		Welcome,(user1@	) <u>Log Out</u>	User Preferences Change Password Email Us
香港交易所	Supplementary Men	u		Default Legal Entity
	Home - Dashboa	ard		
Home - Dashboard				

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



Part III OASIS Collateral Management Portal

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

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

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



Part III OASIS Collateral Management Portal

	Please note this setting will affect the number displayed during submission of collateral request. Number will be rounded to the decimal placed elected.						
	4) Language [not available]						
	User Preferences						
	Date Format dd/MM/yy						
	Time Format 12 hour						
	Number Format #,##0						
	Language English						
	English						
	Save Cancel						
	The new preference will take effect at the next login.						
Change Password	Initiate a change of password.						
	Please refer to Part III, Section 1.2.2 for details.						
Email us	Initiate an email to OTC Clear with the default email program.						
	The email will be addressed to OTC_Operations@HKEX.COM.HK						

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

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



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



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

The figures displayed for "Deposits Trades" and "Withdrawals Trades" represent the number of requests that were created. The figure displayed for "Document Download" represent the number of reports currently available for member to download. The figures displayed for "Trades Pending Approvals" represent the number of requests that are pending approval.

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



#### 1.3.2. Standard Screen Layout

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

<b>日KEX</b> 香港交易所					1	Logged In As	(cb1_user1@cb1)	Log Out User P	eferences Cha Hault Legal Entit	r CB1
Home	Dashboard			Collateral	ł			Document	Download	
Home - Dashboard > Margin Acti	dty									
Filter QU +	Create Depo	osit	Count of the						Naviga	tion Tools
Margin Account	Showing 1 - 10	00 of 291 C	Search Result					Rows 10	)• «	< 1 2 3 > »
Currency:	Actions Sta	itus 💠 Trac	e🗘 Account 🖨	Туре	Entered Date 🗘	Settle Date 🕏	Trade Currency	Amount 🌻	Code 💠	Descripti
ALL  Value Date From	CANC	ELED 173	545 CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171899	BondCG8 2.6% 22/11/2010
value protection.	CANC	ELED 168	295 CB1 M/Intraday VM	deposit	14/05/2014	14/05/2014	CNH	500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
Value Date To:	CANC	ELED 171	756 CB1 M/Intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2010
	G CANC	ELED 171	755 CB1 Mintraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCG8 2.6% 22/11/201(
P) Canada	CANC	ELED 171	749 CB1 GF	deposit	16/05/2014	16/05/2014	CNH	100,000,000.00	HK0000171899	BondCG8 2.6% 22/11/2014
Q Search	CANC	ELED 160	186 CB1 Mintraday VM	deposit	15/05/2014	16/05/2014	CNH	1,000,000.00	HK0000171899	BondCG8 2.6% 22/11/2014
U Reset to Defaults	CANC	ELED 166	30 CB1 M/Intraday VM	deposit	13/05/2014	14/05/2014	CNH	10,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2010
	CANC	ELED 177	789 CB1 M/intraday VM	deposit	22/05/2014	23/05/2014	CNH	1.00	HK0000171907	BondCGB 3.09% 22/11/20
	CANC	ELED 181	749 CB1 M/Intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	1,000,000.00	HK0000171907	BondCG8 3.09% 22/11/20
Search Panel	CHECK	K SDI WDL 181	750 CB1 M/Intraday VM	withdrawal	Search F	Result		2,000,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 178	266 CB1 M/Intraday VM	interaccount - with				2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/20
	VERF	ED 183	275 CB1 M/intraday VM	deposit	29/05/2014	30/05/2014	CNH	20,000,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 177	666 CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	11.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 181	251 CB1 GF	withdrawal	28/05/2014	29/05/2014	CNH	32,423.00	HK0000171907	BondCGB 3.09% 22/11/20
	CANC	ELED 177	603 CB1 M/ntraday VM	deposit	22/05/2014	22/05/2014	CNH	12.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 181	248 CB1 GF	deposit	28/05/2014	28/05/2014	CNH	200,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 175	286 CB1 GF	deposit	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/20
	CANC	ELED 175	285 CB1 GF	deposit	20/05/2014	21/05/2014	CNH	1,500,000.00	HK0000171907	BondCGB 3.09% 22/11/20
	CANC	ELED 173	552 CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171907	BondCGB 3.09% 22/11/20
	VERF	ED 174	549 CB1 M/Intraday VM	interaccount - withdrawal	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 173	92 CB1 Mintraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 175	095 CB1 GF	withdrawal	20/05/2014	19/05/2014	CNH	500,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 173	748 CB1 GF	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 173	738 CB1 M/Intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	1,000,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 176	532 CB1 GF	withdrawal	21/05/2014	22/05/2014	CNH	500,000.00	HK0000171907	BondCG8 3.09% 22/11/20
	CANC	ELED 174	590 CB1 M/Intraday VM	withdrawal	20/05/2014	21/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/20
	CANC	ELED 173	512 CB1 M/Intraday VM	withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/20
	1			11						
			Fache	in and support classe contain	OTO Operational	biday mon bit				
			Por the	A star webbank busine couldes						



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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 Filter Margin Account ALL	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.
Currency: ALL Value Date From: Value Date To:	
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.



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**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 100 -	Set the number of maximum rows for the Content Area. The allowable value are 5, 15, 20, 25, 50, and 100
	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	If appropriate, the demand will be issued at <b>08:30</b> Hong Kong time on an OTC Clear Clearing Day via the Margin Calls function on OASIS.	1.	If member wants to settle the call in base currency (i.e. HKD):
- fulfilling the margin call in any eligible currency	Clearing Member needs to fulfill the obligation in cash in any eligible currency <sup>1</sup> .		No action needs to be done on OASIS.
			The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account.
		2.	If member wants to settle the call in non-base currencies:
			Follow the process described in Part V, Appendix 4.
			The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS)

<sup>&</sup>lt;sup>1</sup> Please note that this will be subject to further amendment once non-cash collateral is introduced.

Scenarios			Actions required				
							system to OTC Clear's designated bank account.
Routine Intra-day VM Call	If appropriate OTC Clear B	e, the dem usiness D	and will be issue ay via the Margin	e VM Call Time on an on OASIS.	1.	If member wants to settle the call in base currency (i.e. HKD):	
– fulfilling the margin	Clearing Mer eligible curre	nber need ncy within	ls to fulfill the obl an hour following		No action needs to be done on OASIS.		
call in the eligible currency ("Intra-day VM Currency).	<ul> <li>eligible</li> <li>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:</li> <li>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)</li> </ul>						The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's
							designated bank account.
	Member's		Collateralized				call in non-base currencies:
	collateral balance	Initial margin	variation margin	Total margin requirement	intra-day margin call amount <sup>2</sup>		Follow the process described in Part V, Appendix 4.
	300	100		The Clearing Member effect the			
	L	1	1		<u> </u>		Gross Settlement (RTGS)

<sup>&</sup>lt;sup>2</sup> Assuming no haircuts on collateral here.

Scenarios		Actions required				
Sce refle mov	enario 2 – one t ects majority c vement during	rade is cleared f the change he day)	l today. In this ca in collateralized	se the intra-day variation marg	/ margin call in (i.e. PnL	system to OTC Clear's designated bank account.
	Memb collate balanc	er's ral Initial e margin	Collateralized variation margin	Total margin requirement	intra-day margin call amount	
St th	tart of 12 ne day	0 100	0	100	-	
t cl ind b	With new crade eared 12 (IM crease by 10)	0 110	100	210	90	
Ad hoc Intra-day VM Call – fulfilling the margin call with cash in the eligible Currency.	If appropria on OASIS. HK local tir Clear. Clearing Me eligible curr	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				
Holiday Margin Call	If appropria the OTC C OASIS.	e, the demand lear Business	l will be issued a Day issued via	t 08:30 Hong K Margin Calls	ong time on function on	The same as actions required for EOD IM Call.

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

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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 Account CB2 GF CB2 IM	The account involved in the collateral movement request.						



	VPF							The colleteral type involved for the movement request
OULLAILINAL I								The conditional type involved for the movement request.
Collateral Ty	ре	C	ASH		-			
		0	ASH					
		S	ECU	RITY				
Specific field	ls for	casł	n coll	ater	al m	over	nent	request:
SETTLE DATE								The settlement date of the cash collateral movement request.
								· · · · · · · · · · · · · · · · · · ·
Settle Date*		)5/29/	2014					
	u		2	014 Mz	IV.		>>>	
	M	т	w	т	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.				•••		
	2	3	4	5	6	7	8	
CURRENCY								The currency of the cash collateral movement request
Currency*	USI	) -						



AMOUNT									The encount of the collectoral movement request	1
									The amount of the collateral movement request	l
Amount										
Specific fi	elds f	for n	on-c	ash (	colla	tera	mov	eme	ent request:	*
SECURITIES / SECURITY CODE									The security involved in the non-cash collateral movement request	
Security*										
Security	/									
Security	Security									
Code	Code									
	-								The value date of the new cools collateral movement request	
VALUE DATE	-								The value date of the non-cash collateral movement request.	
Value Data*	<b>b</b> 5/29/2014									
Date"	« 2014 May »					»				
	м	т	W	т	F	s	s			
	28	29	30	1	2	3	4			
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	12	13	14	15	16	17	18			
	19	20	21	22	23	24	25			
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	2	3	4	5	6	7	8			
	_									



The notional amount of the non-cash collateral movement request									
Specific fields for inter-account collateral transfer request:									
The checkbox that initiate an inter-account collateral transfer request.									
The account where the collateral is transferred from.									


#### 2.3. Enquiry Function on Collateral Movement Requests

#### 2.3.1. Function Description

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

#### 2.3.2. Function Available Time

7:00 a.m. to 1:00 a.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.

<b>日KEX</b> 香港交易所			Logged In As: (cb1_us	er1@cb1) <u>Log Out</u>	Default Legal Entity CB1	Email Us
Home - Dashboard	Approvals 🧿	Co	llateral	Step 1	Document Download	
Home - Dashboard		Margin Activity Deposits	Step 2			
	Margin Cell Trades	Withdrawals	Deposits Trader	67		
	Withdrawais Trades (	9	Document Downlo	ed O		
	Trades Pending Approvals	0				
	Collateral Deposits	0				
	Collateral Withdrawals	0				



Part III OASIS Collateral Management Portal

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.



音道交易所										D	efault Legal Entit	CB1
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argin Account		Showing	g 1 - 100 of 291	C						Rows 10	) • «	< 1 2 3
urrency		Actions	Status 🏮	Traile‡	Account 🗘	Type	Entered Date 🗘	Settle Date 🛊	Trade Currency \$	Amount 🖨	Code 🏮	Dest
lue Date From		0	CANCELED	173545	CB1 OF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171899	BandCGB 2.6% 22/11/
1		0	CANCELED	168295	CB1 M/Intraday VM	deposit	14/05/2014	14/05/2014	CNH	500,000.00	HK0000171899	BundCG8 2.6% 22/11/
ue Date To:		0	CANCELED	171756	CB1 M/Intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11
		0	CANCELED	171755	CB1 M/mbraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BandCGB 2.6% 22/11
Search	100	0	CANCELED	171745	CB1 GF	deposit	16/05/2014	16/05/2014	CNH	100,000,000.00	HK0000171899	BendCG8 2.6% 22/11
		0	CANCELED	169106	CB1 8Mintraday VM	deposit	15/05/2014	16/05/2014	CNH	1,000,000.00	HK0000171899	BandCG8 2.6% 22/11
Reset to Defaults		0	CANCELED	166830	CB1 M/Mraday VM	deposit	13/05/2014	14/05/2014	CNH	10,000,000.00	HK0000171899	BandCG8 2.6% 22/1
		0	CANCELED	177789	CB1 M/Intraday VM	deposit	22/05/2014	23/05/2014	CNH	1.00	HK0000171907	BondCOB 3.09% 22/
		0	CANCELED	101749	CB1 M/ntraday VII	withdrawai	29/05/2014	30/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/
		0	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/
		0	CANCELED	178266	CB1 8/Intraday VM	interaccount - withdrawal	23/05/2014	26/05/2014	CNH	2,000,000.00	HK0000171907	BendCG8 3.09% 22/
		0	VERIFIED	182275	CB1 M/ktraday VM	deposit	29/05/2014	30/05/2014	CNH	20,000,000.00	HK0000171907	BandCGB 3.09% 22/
		0	CANCELED	177866	CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	11.00	HK0000171907	BondCOB 3.09% 22/
		0	CANCELED	181251	CB1 OF	withdrawal	25/05/2014	29/05/2014	CNH	32,423.00	HK0000171907	BandCGB 3.09% 22/
		0	CANCELED	177803	CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	12.00	HK0000171907	BandCG8 3.09% 22/
		0	CANCELED	101248	CB1 OF	deposit	28/05/2014	26/05/2014	CNH	200,000.00	HK0000171907	BendCG8 3.09% 22/
		0	CANCELED	175286	CB1 OF	depust	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BandCG8 3.09% 22/
		0	CANCELED	175285	CB1 OF	deposit	20/05/2014	21/05/2014	CNH	1,500,000.00	HK0000171907	BendCOB 3.09% 22/
		0	CANCELED	173652	CB1 OF	withdrawal	19/05/2014	20/05/2014	CNH	15.000.000.00	HK0000171907	BendCOB 3.09% 22/
		0	VERIFIED	174649	CB1 #//ritraday VM	interaccount - withdrawal	20/05/2014	21/05/2014	CNH	2,000,000,00	HK0000171907	BondCGB 3.09% 22/
		0	CANCELED	173092	CB1 Mintraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/
		0	CANCELED	175095	CB1 GF	withdrawal	26/05/2014	19/05/2014	CNH	500,000.00	HK0000171907	BandCGB 3.09% 22/
		-0-	CANCELED	173748	CB1 OF	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCG8 3.09% 22/
		0	CANCELED	173738	CB1 M/Intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	1,000,000.00	HK0000171907	BendCGB 3.09% 22/
		0	CANCELED	176532	CBIOF	withdrawal	21/05/2014	22/05/2014	CNH	500,000.00	HK0000171907	BondCG8 3.09% 22/
		-0-	CANCELED	174590	CB1 M/Intraday VM	webdrawal	20/05/2014	21/05/2014	CNH	500,000.00	HK0000171907	BondCG8 3.09% 22/
			CANCELED	173612	CB1 Milletraday VM	in the fragment	19/05/2014	20/05/2014	CNH	500.000.00	HK0000171907	BandCGB 3 0956 22/

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

Part III OASIS Collateral Management Portal

Field name	Descriptions
Margin Account ALL CB1 GF CB1 IM	Select the account involved in the collateral movement requests to be displayed. The accounts available depend on the Clearing Member ID. Each Clearing Member will have at least one GF (Guarantee Fund) account and one IM (Initial Margin) account. Depending on the membership, some Clearing Member might have more than one IM accounts
Currency: ALL ALL EUR te To: HKD USD	Select the currency of the collateral movement requests to be displayed.
Value Date From Value Date To Value Date From: Value Date To:	Set the date range to be displayed. The date is referring to the value date/settlement date of the request. User might key in the Date or use the calendar icon to select the date from the calendar prompted.



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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.

HKEX							Logged In As	(cb1_user1@cb1)	Log Out User P	references Ch	ange Password Email Us
香港交易所									D	efault Legal Enti	V CB1
Home	Dashb	oard			Collateral	6			Document	Download	
Home - O Step 2 Margin Acto Filter C + * * Margin Account ALL • Value Date From: Value Date To Value Date To Value Date To Reset to Default Step 2	Dashbo		Ref 173545 168295 171756 171756 166830 177789 181749 181749 181750 172056 181251 177503 181248 175265 175522 174549	CB1 GF CB1 GF CB1 Mintraday VM CB1 GF CB1 GF CB1 GF CB1 GF CB1 GF CB1 GF CB1 GF	Collateral esuit withdrawal deposit d	Enterrod Date	Stitle Cole 2005/2014 14/05/2014 20/05/2014 20/05/2014 16/05/2014 16/05/2014 20/05/20	Тгабе Сиггенсу           СКИ           СКИ	Rows 10 Rows 10 15.000.000.00 15.000.000 00 1.000.000.00 1.000.000.00 1.000.000.00 1.000.000.00 1.000.000.00 2.000.000.00 2.000.000.00 2.000.000.00 1.000 2.000.000.00 2.000.000 0.000 0.0000 0.000 0.000 0.000 0.0000 0.0000 0	Dewnload	Control Con
	000	CANCELED CANCELED	174649 173892 175895	CB1 M/Intraday VM CB1 M/Intraday VM CB1 GF	interaccount - withdrawal interaccount - withdrawal withdrawal	20/05/2014 19/05/2014 20/05/2014	21/05/2014 20/05/2014 19/05/2014	CNH CNH CNH	2,000,000.00 500,000.00 500,000.00	НК0000171907 НК0000171907 НК0000171907	BondCGB 3.09% 22/11/20 BondCGB 3.09% 22/11/20 BondCGB 3.09% 22/11/20
	00000	CANCELED CANCELED CANCELED CANCELED	173748 173738 176532 174590 173612	CB1 GF CB1 Mintraday VM CB1 GF CB1 Mintraday VM CB1 Mintraday VM	weraccourt - withdrawal interaccourt - withdrawal withdrawal withdrawal withdrawal	19/05/2014 19/05/2014 21/05/2014 20/05/2014 19/05/2014	20/05/2014 22/05/2014 21/05/2014 20/05/2014	CNH CNH CNH CNH	500,000.00 1,000,000.00 500,000.00 500,000.00 500,000.00	НК0000171907 НК0000171907 НК0000171907 НК0000171907	BondCGB 3.09% 22/11/20 BondCGB 3.09% 22/11/20 BondCGB 3.09% 22/11/20 BondCGB 3.09% 22/11/20 BondCGB 3.09% 22/11/20
-	*	1		Forhel	m p and support, please contact	0TC_Operations	214ex.com.hk				



Part III OASIS Collateral Management Portal

#### 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 Appendix 3	y. For the full list of the processing status, please refer to Part V,	Yes
Trade ID	Reference ID of each Margin Call	/ Collateral Deposit Request / Collateral Withdrawal Request	Yes
Account	<ol> <li>The "Margin Account" that the</li> <li>The "Collateral/Margin Accou</li> </ol>	e collateral movement requests were made on; or nt" that the Margin Call was made against.	Yes
Туре	Identify the nature of the entry:		No
	marginCall	Demand issued by OTC Clear to the Clearing Member	
	deposit	Collateral Deposit Request	
	withdrawal	Collateral Withdrawal Request	
	Interaccount – deposit	Collateral Deposit Request resulting from an inter-account transfer request	
	Interaccount - withdrawal	Collateral Withdrawal Request resulting from an inter-account transfer request	
Entered Date	The Entered Date of the Collatera	al Movement Request or the trigger date of the Margin Call	Yes
Settle Date	The Settle Date/Value Date of the	Yes	
Trade Currency	The currency of the Margin Call /	Collateral Movement Request	Yes



Part III OASIS Collateral Management Portal

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

8:00 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.





Part III OASIS Collateral Management Portal

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.

Part III OASIS Collateral	Management Portal
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Home - Dashb	oard			Approvals	<ul> <li>Collateral</li> </ul>		Deca	ment Down	nload		
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Margin Account	Showing 1 - 6	7 of 67	C				Rov	vs 100 💌	~		- 39
Currency	account 😫	Type	Trade Carrency	Amount \$	Security 🗘	Code 🗘	Status 🗘	Dute 🗘	Entered \$	Settle Date	1
ALL .	OF.	depost	050	23,423,423	Cash		CANCELED	16/05/2014	16/05/2014	16/05/2014	
	OF	depost	USD	101	Cash		CANCELED	16/05/2014	16/05/2014	16/05/2014	
Value Date To:	or	depost	CNH	100,000,000	BendC08 2.6% 22/11/2016 (SA)/338/22/11/2016/2.6%	HKD000171899	CANCELED	16/05/2014	16/05/2014	16/05/2014	
100 C	or	depost	uso	45,000	Cash		CANCELED	14/05/2014	14/05/2014	15/05/2014	
D Search	OF.	deposit	USD	358,000	BondUST Bonds 0.825% Jul16 (SA)/30M/15/07/2016/0.825%	U5912828VL14	SEC_DEPOSIT_WAIT	13/05/2014	13/05/2014	14/05/2014	121
te oranta	GF	deposit	450	23,000	Cash		CANCELED	14/05/2014	14/05/2014	13/05/2014	171
Reset to Defaults	OF	deposit	CNH	1,567,890	BendCG8 3.09% 22/11/2018 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	13/05/2014	13/05/2014	14/05/2014	
	or	depost	USD	8,000	Cash		CANCELED	13/05/2014	13/05/2014	15/05/2014	
	Q#	deposit	USD	9,000	BendUST Bends 0.625% Jul16 (SA)/30M/15/07/2016/0.625%	05912020VL14	CANCELED	13/05/2014	13/05/2014	12/05/2014	
	or	depost	HHD .	5,000	Cash		CANCELED	13/05/2014	13/05/2014	14/05/2014	
	OF.	deposit	USD	8,000	BendUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625%	US912825VL14	CANCELED	13/05/2014	13/05/2014	15/05/2014	1.00
	OF	deposit	050	8,000	Cash		CANCELED	13/05/2014	13/05/2014	12/05/2014	
	OF.	depost	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	
	or	deposit	CNIH	\$00,000	BendCOB 3.09% 22/11/2018 (SA)/54M/22/11/2018/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014	
	OF.	deposit	CNH	508,000	BendC08 3.09% 22/11/2018 (SA)/548/22/11/2018/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014	
	C#	depost	CNIH	8,000	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014	
	04	depost	050	234	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014	
	07	depost	050	234	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014	
	GF .	depost	050	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014	
	OF	deposit	USD	125	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014	
	OF.	depost	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014	
	OF.	depost	1/5D	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014	
	OF	depost	V50	125	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014	
	OF	depost	USD	1,000	Ceah		CANCELED	12/05/2014	12/05/2014	13/05/2014	
	Billetraday VN	depost	CNH	8,000,000	BandCOB 3.09% 22/11/2018 (SA)/548/22/11/2018/3.09%	HK0000171907	CANCELED	16/05/2014	16/05/2014	19/05/2014	
	M/Intraday VM	depost	V50	5,000	BendUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625%	US912828VL14	VERFED	16/05/2014	16/05/2014	18/05/2014	
	Stillebaday VM	depost	CNH	1,500,000	BendCGB 2.6% 22/11/2016 (5A)/33M/22/11/2016/2.6%	HK0000171899	CANCELED	16/05/2014	16/05/2014	20/05/2014	
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				For help at	d support, please context OTC_Operations@Next core.14						

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

Part III OASIS Collateral M	lanagement Portal
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Home - Dashboard > Deposits		_										
Filter OO +	Create Dep	osit										
Margin Account								1723			_	
ALL 💌	Showing 1 - 6	7 of 67	C					Ro	ws 100 •	4C -	C 1 7	> 3>
Currence	account 🛟	Type	Trade Currency	Amount \$		Security 🗘	Code 🛟	Status 🗘	Date 💠	Entered 🛊	Settle Date	-
ALL ·	C/	deposit	USD	23,423,423	Cash			CANCELED	16/05/2014	16/05/2014	16/05/2014	
Value Date From	OF	deposit	USD	101	Cash			CANCELED	16/05/2014	16/05/2014	16/05/2014	
Value Date To:	GF .	deposit	CNH	100,000,000	BondCG8 2.6% 22	/11/2016 (SA)/33M/22/11/2016/2.6%	HK0000171899	CANCELED	16/05/2014	16/05/2014	16/05/2014	
	GF	deposit	USD	45,000	Cash			CANCELED	14/05/2014	14/05/2014	15/05/2014	
P. Count	QF	deposit	USD	350,000	BondUST Bonds 0	625% Julie (SA)/30M/15/07/2016/0.625%	US912828VL14	SEC_DEPOSIT_WAIT	13/05/2014	13/05/2014	14/05/2014	
C Search	GF	deposit	USD	23,000	Cash			CANCELED	14/05/2014	14/05/2014	13/05/2014	11
C Reset to Defaults	GF	deposit	CNH	1,567,890	BondCOB 3.09% 2	2/11/2018 (SA)/54M/22/11/2018/3.09%	HK0000171907	CANCELED	13/05/2014	13/05/2014	14/05/2014	
	OF	deposit	USD	8,000	Cash			CANCELED	13/05/2014	13/05/2014	15/05/2014	
	OF	deposit	USD	9,000	BondUST Bonds 0	625% Juli6 (SA)/308/15/07/2016/0.625%	US912820VL14	CANCELED	13/05/2014	13/05/2014	12/05/2014	
	OF	deposit	HKD	5,000	Cash			CANCELED	13/05/2014	13/05/2014	14/05/2014	
	QF	deposit	USD	8,000	BondUST Bonds 0	625% Julie (SA)/30M/15/07/2016/0.625%	US912828VL14	CANCELED	13/05/2014	13/05/2014	15/05/2014	1.1
	GF	deposit	USD	9,000	Cash			CANCELED	13/05/2014	13/05/2014	12/05/2014	
	OF	deposit	USD	1,000	BondUST Bonds 0	625% Jul16 (SA)/208/15/07/2016/0.625%	U\$912828VL14	CANCELED	12/05/2014	12/05/2014	13/05/2014	
	OF	deposit	CNH	500,000	BondCG8 3.09% 2	2/11/2018 (SA)/54M/22/11/2018/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014	
	OF	deposit	CNH	500,000	BondC08 3.09% 2	2/11/2018 (SA)/54M/22/11/2018/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014	
	GF	deposit	CNH	8,000	Cash			CANCELED	15/05/2014	15/05/2014	15/05/2014	
	OF	deposit	USD	234	Cash			CANCELED	15/05/2014	15/05/2014	15/05/2014	
	OF	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	uso	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	
	G#	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	
	M/Intraday VM	deposit	CNH	8,000,000	BondCG8 3.09% 2	2/11/2018 (SA)/54M/22/11/2018/3.09%	HK0000171907	CANCELED	16/05/2014	16/05/2014	19/05/2014	
	Mintraday VM	deposit	USD	5,000	BondUST Bonds 0	625% June (SA)/30M/15/07/2016/0.625%	US912826VL14	VERFED	16/05/2014	16/05/2014	19/05/2014	
	Mintraday 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	-
-					li.		10		· · · ·			
				For help an	of support, please to	rtect OTC_Operations@ness.com.htm						



Part III OASIS Collateral Management Portal

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.

Step 1	count	1/3
Account Collateral Type	CB1 GF CB1 GF CB1 IM UF TY	
	Ste	p 2
Cance	el Previous Next	



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

Create Deposit		2/3
Step	1	
Collateral Type	CASH CASH SECURITY	
Cancel Pr	revious Next	2 p

# **HKEX** 香港交易所

#### **OASIS Web Portal User Manual**

Part III OASIS Collateral Management Portal

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 <u>only accept</u> request for <u>cash</u> collateral with <u>current date as settle date</u>. Settle date for <u>non-cash</u> 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. For Opt-in<sup>1</sup> Clearing Members, withdrawal will be rejected by OTC Clear on the withdrawal day no matter the withdrawal amount is within or exceed excess collateral amount. If the withdrawal is within excess collateral amount, OTC Clear will transfer the requested amount to the Clearing Member's sub margin account, which is isolated from fulfillment of margin requirement or other clearing purposes. Such withdrawal amount will be released to the Opt-in Clearing Member





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<sup>1</sup> OTC Clear allows Opt-in Clearing Members to use excess collateral to reduce their stress loss in condition that the excess collateral could only be withdrawn by giving a three day advance notice to OTC Clear.

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



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



Security	*							
Security	HK0000171899	CNH	BondCGB 2.6% 22/11/2016 (SA)/0D/22/11/2016/2.6%					
Code	HK0000171907	CNH	BondCGB 3.09% 22/11/2018 (SA)/0D/15/12/2014/3.09%					
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	US912828UN88 USD BondUST Bonds 2.00%/10Y/15/02/2023/2% HK0000171238 HKD BondHKEFN 0.3%/2Y/18/11/2015/0.3%						
	HK0000171238							
	HK0000223955	HK0000223955 HKD BondHKEFB 0%/91D/18/02/2015/0%						
	US912828QS22	USD	BondUST Bonds (Dummy) 18Jun2015/0D/18/06/2015/0.75%					
			ISD 1 000 000 US912828//114 Bond					
			HKD 50,000,000 HK0000121852 Bond					
			0NH 80,000,000 HK0000171907 Bond					
	Cancel Previou	IS N	JSD 80,000 US912828NP10 Bond					
			JSD 80,000 US912796DD89 Bond					

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



		3/3
Settle Date*	17/05/2014	
Currency*	USD 💌	_
Amount*	Please set a valid amount	
Step 1		
	Step	2
Cano	el Previous Next	

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



occurry	BondCGB 2.6% 22/11/2L
Security Code	HK0000171899
Value Date*	12/12/2014
Notiona	al* CNH 2,000.000
Ste	p 1,0
	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.







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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**.





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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".



HKEX				Logged in As: (c	62_user2@c62) 10	Dut User P	references Ch	ange Password Email Us
香港交易預						o	efault Legal En	W CB2_CLA
Home - Dashb								
Home - Dashboard > Depasts								
Filter QU +	Create Deposit							
ALL .	Showing 1 - 25 of 92 C					Rows 25	] at a	2 2 4 > 2
Currency	Actives Status \$			interest Date 🗘 Bertle Date 🕏				
Value Date From:	O VERVED	190786 C82_CLA 85		25.4	CNH	2,000.000	MK0000171907	BandCOB 2 09% 22/11/2018 (3
3	O VERFED	190775 C82_CLA M		35.4	CNH	2,000,000	MN3000171967	Bonacide 3 89% 22/11/2018 (3
Value Date To:	CANCELED	181632 CB2_CLA M		354	CNH	123,323	HK2000171907	BondCOB 3 39% 22/11/2518 (5
	CANCELED	NUMBER CR2_CLA M	love collateral from Hou	50 214	CNH	500,000	HK0000131907	BunaCGB 3.89% 22/11/2918 (
Q Search	CANCELED	175232 C82_CLA M	ccount		CNH	2,000,000	HK0000171807	BandCOB 3.09% 22/11/2018 (
the second second	CANCELED	178705 CB2_CLA M	ente Dateit	214	CRH	2,000,000	HK0000171907	BondCGB 3.99% 22/15/2018 (5
O RESERVE Decaute	CANCELED	171713 CB2,CLAM	ethe Date	014	SNH	2,990.999	HK0000171367	BondCGB 3.09% 22/11/2918 (1
	CANCELED	178552 CB2_CLA M	urrency" USD ·	25.4	CNH	1.000.000.000	HK0000171902	BendCGB 3 59% 22/11/2018 (1
	CANCELED	THETE CR2_CLA M		254	CAN	15.000,000	MK0000171907	BonaCGB 3 09% 22/11/2018 (5
	O VERAKD	171761 CB2_CLAM A	mount	25.4	CNH	10,000,000	HK0000171907	BoxeCOB 3.09% 22/11/2018 (3
	CANCELED	176725 CR2_CLA M		254	CNH	2,000,000	HK0000171367	BendCGB 3 89% 23/11/2018 (3
	CANCELED	174714 C82_CLA.80		354	CNH	580,000	MK0000171967	BendCOB 3 89% 22/11/2018 (5
	CANCELED	176793 CB2_CLA M		254	CNH	2,000,000	MK2000171907	BundCOB 3.09% 22/11/2018 (
	O CHECK, MTER, AC	109162 CB2_CLA BR		25.4	SKD.	50,000	MK0000129939	Bandrikern 27% Nev14 (SA)
	O VERFED	TRAJES CR2_CLA M		21.4	HOCI	50,000	MIK0000129939	BondekEFN 0.2% Nev14 (SA)
	C AGRAGE	192452 C82_CLA M		254	KAD .	380,000	NK3000125852	Bondrikt/N Aug27 (dummy ca
	CANCELED	177437 CB2_CLA M		354	100D	300,000	HK0000121352	Bandrikern Aug21 journy ca
	Q VERFED	165222 C82_CLA M		25.4	HKD.	1,000,000	HK0000121852	Bondrikt/N Aug21 Liturity co
	SA AGRAKO	192451 CB2_CLA M		25.4	850	2,200	U5812828N#12	Bond/ST Benda Juli5 (Dunmy
	CANCELED	176893 CB2_CLA M		254	1/50	300,000	059125254913	BunduSt Banda Jults (Durmy
	VERPED.	105221 CB2_CLA M	terror la construction	1 4 1 1	VSD	1,000,000	0591282898918	Bond/ST Bands Jult5 (Dunmy
	O VEREED	188590 CB2_CLA M	Cancel Previous	Next 214	<b>USO</b>	500	US912828V5.14	Bondu's' Banda 0.625% June
	VERFED	181678 CB2_CLA Mires and	YM HIM BOCOUTT - DEDONE	Allowine secondia	W\$0	500	US912828VL14	BenduST Bends 0 625% June
	O VERFED	188257 CB2_CLA Minimutey	VW depost	06/10/2014 06/11/2014	W50	100	8/5912828VL14	Bond/ST Bonds 0 825% 2414
	CANCELED	100506 CB2_CLA Milleradey	VM interaccount - deposit	06/11/2014 05/12/2014	850	500	050128285.14	BendUST Bunds 0 825% Juli
		For twice at	of Accessity please service in CTC.	Constant or suggested, Sport, Md				

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



Create Deposi Select Details		3/3
Move collate Account	ral from House	<b>V</b>
Linked Accou	unt CB2 GF 🗸	
Settle Date*	06/23/CB2 IM	
Currency*	USD -	
Amount*		
	- L	
Canc	el Previous Next	



Move collateral from Ho Account	use 📝
Linked Account	CB2 GF 💌
Security*	CB2 GF CB2 IM
Security Code	
Value Date* 12/12/2014	
Cancel Previou	us Next

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



Create Deposi Review		3/ <b>3</b>
Margin Account	CB2_CLA IM/intraday VI	N
Move collate Account	ral from House	
Linked Accou	INT CB2 IM -	
Settle Date*	06/23/2014	
Currency*	USD -	
Amount*	1,111,123	
Cance	Previous Finish	



Margin Account CB2 CLA IM/Intraday VN
Move collateral from House
Linked Account CB2 IM -
Security BondCGB 3.09% 22/11/2018 (SA)/0D/
Code HK0000171907
Value Date 12/12/2014
Notional 2,000,000
Cancel Previous Finish

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

As it involved withdrawal from the House account, the available time of the inter-account collateral transfer follows that of the collateral withdraw request, i.e. between 7:00 a.m. to 12:00 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

8:00 a.m. to 12:00 p.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.



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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.

皆港交易所							Default Legal E	nety CB1
	Home -	Dashboard	Collatera	4		Decu	ment Download	CB1_OMNI1
tome - Dashboard > Wit	hdrawals							CB1_OMN2 CB1_CLA
lter Diffs	- 141	Create Withde	Invest					CB1_CLB
largin Account	- Mu	Showing 1 - 50	of 140 C			Row	rs 50 💌 🗧	< < 2 3
urrency		Actions Trade 🛊	Reject Reason	Account 🗘	Type	Trade Currency	Amount 🗘	
LL ·		165230	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 OF	interaccount - withdrawal	USO	+00.00	Cash
		O 165252	Outside Business Hours	CE1 M/mmaday VM	interaccount - withdrawal	USD	3,000.00	Cash
lue Date To		(i) 165258	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/ritraday VM	interaccount - withdrawal	USD	5,000.00	Cash
		105260	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 Mittraday VM	interaccount - withdrawal	USD	6,000.00	Cash
Search	1	105338	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	1,000.00	BandUST Bends Juli5 (D
OFIELI	-	(i) 165340	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	\$00,000.00	BondUST Bonds 0.625%
Reset to Defaults		(i) 185342	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CET OF	interaccount - withdrawal	USD	500,000.00	BundUST Bonds 0.625%
		105344	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 OF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625%
		105516	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 OF	interaccount - withdrawai	1050	250,000.00	BondUST Bonds 0.625%
		145518	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 OF	interaccount - withdrawai	USD	300,000.00	BandUST Bands 0.625%
		167815		CB1 M/httraday VM	withdrawal	USD	800,000.00	Cash
		3 167816		CB1 M/mbaday VM	wthdrawal	USD	800,000.00	BondUST Bonds 0.625%
		IE7647	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CE1 GF	withdrawal	USD	10,000.00	Cash
		IE7054	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/httraday 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	BondCG8 3.09% 22/11/2
		Is7872	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/rtraday VM	withdrawal	CNH	500,000.00	BondCG8 3.09% 22/11/
		IE7911	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	HKD	80,000.00	Cash
		IE7919	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 Mintraday VM	withdrawal	HKD	80,000.00	Cash
		167921	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 OF	withdrawal	HKD	100,000.00	BondHKEFN 0.2% Nov14
		International (1) 107923		CB1 Militraday VM	withdrawal	USD	1,000.00	Cash
		(i) 167924	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/httraday VM	wendramal	HKD	100,000.00	BondHKEFN 0.2% Nov14
		O 167928		CB1 M/mmaday VM	withdrawal	USD	1,000.00	Cash
		(i) 167930	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/maday VM	withdrawial	USD	1,000.00	Cash
		G 167948	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	CNH	123,123,123,112.00	BendCGB 3.09% 22/11/2
		167950	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 Millionday VM	wendrawal	CNH	12,323,524,242.00	BendCOB 3.09% 22/11/2
		IE7963	Auto Cancel	CB1 M/httradey VM	withdrawal	HKD	1,000.00	Cash
		107964	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	C81 OF	withdrawal	USD	3,245,345.00	BandUST Bonds 0.625%

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

## Part III OASIS Collateral Management Portal

HKEX			Loj	gged In As: (cb1_user1¢	geb1) Log Out U	ser Preferences C	change Password Email Us
香港交易所						Default Legal E	ntity CEB1
Home -	Dashboard	Collatera	i.		Docu	ment Download	
Home - Dashboard > Withdrawals		_					
Filter QU +	Create Withdr	awat					
Margin Account ALL	Showing 1 - 50 c	of 140 C			Row	/\$ 50 💌 4	< 1 2 3 > »
Currency	Actions Trade 🖨	Reject Reason 🗘	Account 🛟	Туре	Trade Currency 🖨	Amount 🗘	Sec
ALL  Value Date From	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
Value Date To	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
() Search	165338	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	1,000.00	BondUST Bonds Jul15 (Dumm
	165340	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Juli
C Reset to Defaults	165342	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Juli
	165344	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Juli
	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/ntraday VM	withdrawal	USD	800,000.00	BondUST Bonds 0.625% Juli
	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
	6 167871	Invald 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	BondCG8 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     1	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	BendCGB 3.09% 22/11/2018
	167950	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/ntraday 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% Juli +
-	14				1		
		For help and support, please contain	t OTC_Operations@hk	ex.com.hk			



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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.

Step 1	count	1/3
Account Collateral Type	CB1 GF CB1 GF CB1 GF CB1 IM UF TY	
	Ste	ep 2
Cance	el Previous Next	



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





6. The Settle Date field is defaulted to the current day. The value can be change by selecting the calendar icon or type in the date directly into the input box. Please note OTC Clear <u>only accepts<sup>3</sup></u> request for <u>cash</u> collateral with <u>current date as settle date</u> or <u>non-cash</u> collateral with settle date on the next available settlement date of such non-cash collateral, the following day of when the deposit/withdrawal request(s) is/are raised.

<sup>&</sup>lt;sup>3</sup> OTC Clear allows Opt-in Clearing Members to use excess collateral to reduce their stress loss in condition that the excess collateral could only be withdrawn by giving three days advance notice to OTC Clear. Such accepted withdrawal amount will be released to the Opt-in Clearing Member after the notice period (i.e. three days).





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



Create Withdrawal 3/3 Select Details		3/3
Settle Date*	30/05/2014	
Currency*	USD -	
Amount*	EUR	
Change Destin CNH count		
Canc	el Previous Next	

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


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Security*				Amount 🜲	Code 🛔	De
Security	HK0000171899	CNH	BondCGB 2.6% 22	2/11/2016	(SA)/0D/22/11/2	016/2.6%
Code	HK0000121852	HKD	BondHKEFN Aug27	7 (dummy c	oupon)/0D/17/12	/2014/0.8%
Value	US912828NP10	USD	BondUST Bonds J	Jul15 (Dum	my coupon)/0D/3	1/07/2015/1.75%
Date*	US912828D564	USD	BondUST Bonds 2	2.375%/10Y	/15/08/2024/2.3	75%
	US912828G385	USD	BondUST Bonds 2	2.25%/10Y/	15/11/2024/2.25	5
	US912828UN88	USD	BondUST Bonds 2	2.00%/10Y/	15/02/2023/2%	
	HK0000171238	HKD	BondHKEFN 0.3%/	21/18/11/	2015/0.3%	
	HK0000223955	HKD	BondHKEFB 0%/91	LD/18/02/2	015/0%	
	US912828QS22	USD	BondUST Bonds (	(Dummy) 18	Jun2015/0D/18/0	6/2015/0.75%
				456,456	US912828NP10	BondUST Bonds Jul
				4,500	US912796CM97	BondUSTBills 1Y 23
				400,000		Cash
				200,000		Cash
				300,000		Cash
				100,000		Cash
(	Cancel Previous Next			3,000,000	HK0000171899	BondCGB 2.6% 22/1
					US912828NP10	BondUST Bonds Jul

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



	3/3
Settle Date*	17/05/2014
Currency*	USD 💌
Amount*	Please set a valid amount
Step 1	Prese set a value arround
Cano	cel Previous Next



Security*	BondCGB 2.6% 22/11/20
Security Code	HK0000171899
Value Date*	12/12/2014
Notiona Ste	I* CNH 2,000,000 p 1↔
	Step 2

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

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





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



Create With SDI Selectio	drawai M	3/3
Margin Account	CB1 GF	
Settle Date*	30/05/2014	
Currency*	USD -	
Amount*	111	
Destination	SWIFT/AGENT_CB1/1223373 SWIFT/AGENT_CB1/1223373	•
Step 1		
	Step2	2
C	ancel 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 Withdra Review	wal	3/3
Margin Account	CB1 GF	
Settle Date*	30/05/2014	
Currency*	USD 👻	
Amount*	111	
Destination D	efault Destination Account	T
Cance	Previous Finish	



If Change Destination Account checkbox was checked:

Create Withdra Review	wal 3/3
Margin Account	CB1 GF
Settle Date*	30/05/2014
Currency*	USD 👻
Amount*	111
Destination S	WIFT/AGENT_CB1/1223373 👻
Cance	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**.



Collateral Withdrawal has been created successfully.
Trade ID: 183772
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.



## Part III OASIS Collateral Management Portal

HKEX		Logged in As: (cb1_user1	(ecb1) Log Out User Preferences Change Password Email Us
香港交易所	Step	<u> </u>	Default Legal Erfity CB1
Home - Dashboard	Approvals 🧿	Collateral	Document Download
Home - Dashboard		Margin Activity	
	Step 2	Deposits	
	Margin Call Trades	Withdrawals Deposits Trades	67
	Withdrawais Trades 69	Document Download	0
	Trades Pending Approvals		
	Collateral Deposits	6	
	Collateral Withdrawals		

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

HKEX		Logged In A	s: (cb1_user1@cb1) Log Out User Preferences Change P	assword Email Us
香港交易所			Default Legal Entity CE	31 💌
Home -	- Dashboard	Collateral	Document Download	
Home - Home - Dashboard > Deposits Filter COM Margin Account CB1 GF - Currency: USD - Value Date From: Value Date From: Value Date To: Reset to Defaults Carter Account Carter Account Carter Account Value Date From: Carter Account Carter A	Create Deposit           Showing 1 - 31 of 31         Trade         Accord           Actions         Status         Trade         Accord           Q         VERFED         163768         CB14           Q         VERFED         163768         CB14           Q         VERFED         169229         CB14           Q         VERFED         169229         CB14           Q         VERFED         169229         CB14           Q         VERFED         169227         CB14           Q         VERFED         166373         CB14           Q         CANCELED         164393         CB14           Q         CANCELED         166287         CB14           Q         CANCELED         166287         CB14           Q	Collateral           Collateral           Settle Date ↓ Trade Currency ↓           GF         depost         09/05/2014         09/05/2014         USD           GF         depost         09/05/2014         09/05/2014         USD           GF         depost         15/05/2014         16/05/2014         USD           GF         depost         15/05/2014         16/05/2014         USD           GF         depost         15/05/2014         16/05/2014         USD           GF         depost         13/05/2014         16/05/2014         USD           GF         depost         13/05/2014         13/05/2014         USD           GF         depost         13/05/2014         13/05/2014         USD           GF         depost         13/05/2014         13/05/2014         USD           GF         depost         12/05/2014         13/05/2014         USD           GF         depost         12/05/2014         13/05/2014         USD           GF         depost         13/05/2014         13/05/2014         USD           GF         depost         13/05/2014         13/05/2014         USD           GF <th>Document Download           Rows 100 ▼           Amount         Code         Description           999,999,999,999,00         Cash         Cash           234,234.00         Cash         Cash           100,000,00         US912796DD89         BondUSTBills 19Jun14/6M/19         BondUSTBills 19Jun14/6M/19           100,000,00         US912828VL14         BondUST Bonds 0.625% Julf         SondUST Bonds 0.625% Julf           900,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           900,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           300,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           300,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           3,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           1,000,00</th> <th>Collateral       06/2014/0%       6 (SA)/30//15/07/20       6 (SA)/30//15/07/20       6 (SA)/30//15/07/20       16 (SA)/30//15/07/20       16 (SA)/30//15/07/20       16 (SA)/30//15/07/20       16 (SA)/30//15/07/20</th>	Document Download           Rows 100 ▼           Amount         Code         Description           999,999,999,999,00         Cash         Cash           234,234.00         Cash         Cash           100,000,00         US912796DD89         BondUSTBills 19Jun14/6M/19         BondUSTBills 19Jun14/6M/19           100,000,00         US912828VL14         BondUST Bonds 0.625% Julf         SondUST Bonds 0.625% Julf           900,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           900,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           300,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           300,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           3,000,00         US912828VL14         BondUST Bonds 0.625% Julf         Cash           1,000,00	Collateral       06/2014/0%       6 (SA)/30//15/07/20       6 (SA)/30//15/07/20       6 (SA)/30//15/07/20       16 (SA)/30//15/07/20       16 (SA)/30//15/07/20       16 (SA)/30//15/07/20       16 (SA)/30//15/07/20
	Image: CANCELED         173015         CB1 (CB1 (CB1 (CB1 (CB1 (CB1 (CB1 (CB1 (	OF         deposit         16/05/2014         16/05/2014         USD           GF         deposit         16/05/2014         16/05/2014         USD	23,423,423.34 Cash 100.67 Cash	
	× [	III For help and support, please contact OTC_Operations@hkex.com.hk		•



Part III OASIS Collateral Management Portal

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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CANCELED       169174       CB1 GF       depost       15/05/2014       15/05/2014       USD       122,00       Cash         CANCELED       169175       CB1 GF       depost       15/05/2014       15/05/2014       USD       123,00       Cash         CANCELED       169176       CB1 GF       depost       15/05/2014       15/05/2014       USD       123,00       Cash         CANCELED       169176       CB1 GF       depost       15/05/2014       15/05/2014       USD       123,00       Cash         CANCELED       169177       CB1 GF       depost       15/05/2014       USD       123,00       Cash         CANCELED       169177       CB1 GF       depost       15/05/2014       USD       123,00       Cash         CANCELED       169177       CB1 GF       depost       15/05/2014       USD       123,00       Cash         CANCELED       169178       CB1 GF       depost       15/05/2014       USD       234,00       Cash         CANCELED       169179       CB1 GF       depost       15/05/2014       15/05/2014       USD       234,00       Cash         CANCELED       173015       CB1 GF       depost       16/05/2014       16/05	Home - Dashboard > Deposits Filter Q () + Cree Margin Account CB1 GF • Currency: USD • Value Date From: Value Date To: Reset to Defaults	Note         Status         Trade           Pris         Status         Trade           VERFED         163768           VERFED         169229           VERFED         169229           VERFED         169229           VERFED         169229           VERFED         169229           VERFED         169279           VERFED         169279           VERFED         166207           VERFED         166207           VERFED         166207           VERFED         166207           VERFED         166207           VERFED         166207           CANCELED         166207           CANCELED         166208           CANCELED         168209           CANCELED <th>Account      Type     CB1 GF     depost     CB1 GF     CB1 GF</th> <th>Collateral           Entered Date ↓         Settle Date ↓           09/05/2014         09/05/2014           09/05/2014         09/05/2014           15/05/2014         16/05/2014           15/05/2014         16/05/2014           15/05/2014         16/05/2014           15/05/2014         16/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         15/05/2014           13/05/2014         15/05/2014           13/05/2014         15/05/2014           13/05/2014         15/05/2014           14/05/2014         15/05/2014           15/05/2014         15/05/2014           15/05/2014         15/05/2014</th> <th>Trade Currency         Amount           USD         999,999,999,999,999,090           USD         100,000,0           USD         100,000,0           USD         100,000,0           USD         100,000,0           USD         100,000,0           USD         5,000,0           USD         5,000,0           USD         5,000,0           USD         1,000,0           USD         9,000,0           USD         9,000,0           USD         8,000,0           USD         8,000,0           USD         45,000,0           USD         23,000,0           USD         123,0</th> <th>Code         Cash           0         Cash           0         Cash           0         Cash           0         US912796D089           0         US912828VL14           0         Cash           0         Cash           0         Cash           0         Cash           0         Cash           0         Cash  </th> <th>ad ad 0 • • • • • • • • • • • • • • • • • • •</th>	Account      Type     CB1 GF     depost     CB1 GF     CB1 GF	Collateral           Entered Date ↓         Settle Date ↓           09/05/2014         09/05/2014           09/05/2014         09/05/2014           15/05/2014         16/05/2014           15/05/2014         16/05/2014           15/05/2014         16/05/2014           15/05/2014         16/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         13/05/2014           13/05/2014         15/05/2014           13/05/2014         15/05/2014           13/05/2014         15/05/2014           13/05/2014         15/05/2014           14/05/2014         15/05/2014           15/05/2014         15/05/2014           15/05/2014         15/05/2014	Trade Currency         Amount           USD         999,999,999,999,999,090           USD         100,000,0           USD         100,000,0           USD         100,000,0           USD         100,000,0           USD         100,000,0           USD         5,000,0           USD         5,000,0           USD         5,000,0           USD         1,000,0           USD         9,000,0           USD         9,000,0           USD         8,000,0           USD         8,000,0           USD         45,000,0           USD         23,000,0           USD         123,0	Code         Cash           0         Cash           0         Cash           0         Cash           0         US912796D089           0         US912828VL14           0         Cash           0         Cash           0         Cash           0         Cash           0         Cash           0         Cash	ad ad 0 • • • • • • • • • • • • • • • • • • •
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Part III OASIS Collateral Management Portal

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	t you want to cancel this transaction.		
Trade Id	183403		
Margin Account	CB1 GF		
Collateral	Cash		
Amount	USD 234,234.00		
	Cancel Finish		



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**.

Server Error
Error: Action not applicable
Dismiss



## 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.



## Part III OASIS Collateral Management Portal



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.



## Part III OASIS Collateral Management Portal



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



Part III OASIS Collateral Management Portal





Part III OASIS Collateral Management Portal

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**.



## Part III OASIS Collateral Management Portal





Part III OASIS Collateral Management Portal

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

HKEX		Logged in As: (cb1_user3@cb1) Log Out User Preferences Change Password Email U					
香港交易所		Default Legal Entity					
Home - Dashboard	Approvais 🧿	Collateral Document Download					
Home - Dashboard > Approvals > Trade							
Filter DO + Accept Reject View Detail	ls		Rows 20 💌 «< < 🚺	<b>&gt;</b> >>			
ALL   Actions Status   Trade	id 🗘 Account 🗘 Activity 🕯	Product 🗘 Cey 🖨 Amount 🗘 Cey	2 🗘   Trade Dete: 🗘   Settle Date   Maturity Date 🗘   Last Cor	ement 🗘			
Trade Date From: E O New 184273	CB1 8//ktraday VM New	deposit USD 123,456	06/02/2014 06/02/2014				
Amount to Account to Show For All User Search	For helps and support, viewes more	men OTC. Operatione@biese sum to					
	For help and support, please op	riadi OTC_Operations@thesi som ha					



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.

香港交易所							L	ogged in As: (cb1	_user3@cb1) Log	Out User Pre	aut Legal Entity CB1
Home - Dash	board			Approva	ılıs 🚺		Col	lateral		Docu	iment Download
Home - Dashboard > Margin Ac	tivity					<u>Å.</u>					
Filter QU +	Creat	e Deposit									
Margin Account	Showin	g 1 - 20 of 296	C					Ro	ws 20 💌	« ( 1	2 3 4 5 5 7 <u>15</u> » »
Currency	Action	Status 🗘	Trade	Account 👙	Туре	Entered Date 🚽	Settle Date 🖨	Trade Currency 🖨	Amount 🗘	Code 🗘	Description of Collateral
Value Date From	9	CANCELED	184273	CB1 M/Intraday VM	deposit	06/02/2014	06/02/2014	USD	123,458	K	Cash
	0	4EYES	184272	CB1 M/htraday VM	deposit	06/02/2014	05/02/2014	EUR	789,456		Cash
Value Date To:	-0-	4EVES	184271	CB1 GF	deposit	06/02/2014	06/02/2014	EUR	93,128		Cash
	0	VERFER	104270	CE1 Millionaday VM	deposit	05/02/2014	06-0212014	USO	564,789	4	Cash
C) Search	- 4	CANCELED	183772	CB1 GF	withdrawal	05/30/2014	05/30/2014	USD	111		Cash
d D	- 42	CANCELED	183622	CB1 GF	deposit	05/30/2014	05/30/2014	USD	6		Cash
O Reset to Defaults	Q	CANCELED	183621	CB1 GF	deposit	05/30/2014	05/30/2014	USD	5		Cash
	9	CANCELED	183820	CB1 GF	deposit	05/30/2014	05/17/2014	USD	1,111		Cash
	9	CANCELED	183605	CB1 GF	deposit	05/30/2014	05/17/2014	USD	1,111		Cash
	- 9	CANCELED	183550	CB1 M/ntraday VM	deposit	05/30/2014	05/30/2014	USD	500	102-2022-022-02	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
		VERPED	103409	CB1 M/Intraday VM	oepose	05/30/2014	06/02/2014	USD	500,000	05912626VL14	Bondu's i Bonds 0.625% Julie (SA330M/15/0
	9	VERPED	183493	CB1 GF	depose	05/30/2014	05/30/2014	CIN	234,234	HK0000171007	Gast
	2	CHECK COUNTY	106270	CB1 Montraday VM	uepues.	05282014	05/30/2014	CIT	20,000,000	HK0000171907	Bonecob 3.05% 22/11/2016 (3A/J948/22/11/
	1.2	CANCELED	181720	CB1 Billotraday VM	withdrawal	05/29/2014	05/30/2014	CNH	2,000,000	HK0000171907	BondCGB 3 00% 22/11/2018 (SAUS4M/22/11/
	× .	VEDEED	181748	CB1 Bl/otraday VII	withdrawal	05/20/2014	05/30/2014	HKD	1,000,000	HK0000190667	BondikEEB 18 Jun 14/00/18/06/2014/06
	1 X -	VERFED	181670	CB1 M/ntraday VM	dapoat	05/29/2014	05/29/2014	FUR	0 000 000 000 000	11112000100001	Cash
	×.	CANCELED	181264	CB1 M/ntraday VM	deposit	05/28/2014	05/28/2014	USD	100		Cash



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.



Part III OASIS Collateral Management Portal

# **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

7:00 a.m. to 1:00 a.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	Logged	In As: (cb1_user1@cb1) Log Out User Preferences Change Password Email Us -
香港交易所		Default Legal Entity CB1
Home - Dashboard	Collateral	Document Download
Home - Dashboard		
1	Margin Call Trades 0	veposits Trades 155
	Withdrawals Trades 141 Doc	current Download 110
1	Trades Pending Approvals	
		-
		-
	For help and support, please contact OTC_Operations@hkex.com	n.ha
		💊 Local intranet   Protected Mode: Off 🌐 👻 🍕 100% 💌



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.

# **HKEX** 香港交易所

Part III OASIS Collateral N	/lanagement Portal
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HKEX				Logged In As: (c	b1_user1@cb1) Lo	Out User Preferences Change Password Email Us
香港交易所						Default Legal Entity CB1
Home	- Dashboa	rd		Collateral		Document Download
Home - Dashboard > Document	Download					
Filter QU 📲 1	Downloa	ad Selected				
Report Type:	Showing	1 - 100 of 128				Rows 100
Margin Account			A		A	
ALL 💌		Account -	Document ID	Report Type	👻 Format 👻	Creation Date
Creation Date From:		CB1	4464141	WEB MRClearedPending	CSV	02/06/2014 03:37:49 PM UTC+8
Creation Date To:		CB1	4464080	WEB MRCleared	CSV	02/06/2014 03:37:45 PM UTC+8
02/06/2014		C81	4464017	WEB Intraday Valuation	CSV	02/06/2014 03:37:38 PM UTC+8
Q Search		CB1_C	4463982	WEB IM Collateral_C	CSV	02/06/2014 03:37:35 PM UTC+8
U Reset to Defaults		C81	4463939	WEB IM Collateral	CSV	02/06/2014 03:37:33 PM UTC+8
		CB1	4463874	WEB ERSCollateralReport	CSV	02/06/2014 03:37:29 PM UTC+8
		CB1_C	4463840	WEB Dly Rejc IRS Trades_C	CSV	02/06/2014 03:37:27 PM UTC+8
		CB1	4463797	WEB Dly Rejc IRS Trades	CSV	02/06/2014 03:37:24 PM UTC+8
		CB1_C	4463759	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 03:37:22 PM UTC+8
		CB1	4463716	WEB Dly Rejc FXNDF Trades	CSV	02/06/2014 03:37:19 PM UTC+8
	10	CB1_C	4463678	WEB Dly Regist IRS_C	CSV	02/06/2014 03:37:17 PM UTC+8
		CB1	4463635	WEB Dly Regist IRS	csv	02/06/2014 03:37:14 PM UTC+8
		CB1_C	4463597	WEB Dly Regist FXNDF_C	csv	02/06/2014 03:37:12 PM UTC+8
		CB1	4463554	WEB Dly Regist FXNDF	csv	02/06/2014 03:37:09 PM UTC+8
	10	CB1_C	4463516	WEB Dly Pend IRS Trades_C	csv	02/06/2014 03:37:07 PM UTC+8
		CB1	4463473	WEB Dly Pend IRS Trades	csv	02/05/2014 03:37:04 PM UTC+8
		CB1_C	4463435	WEB Dly Pend FXNDF Trades_C	csv	02/06/2014 03:37:02 PM UTC+8
		CB1	4463392	WEB Dly Pend FXNDF Trades	csv	02/06/2014 03:36:59 PM UTC+8
		CB1	4459579	WEB MRClearedPending	csv	02/06/2014 02:37:48 PM UTC+8
		C81	4459518	WEB MRCleared	csv	02/05/2014 02:37:44 PM UTC+8
		CB1	4459455	WEB Intraday Valuation	csv	02/06/2014 02:37:36 PM UTC+8
			For help and s	upport, please contact OTC_Operations@hkex.com.hk		
Done					💊 Local intran	et   Protected Mode: Off 🛛 🍕 👻 🔍 100% 👻

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

## Part III OASIS Collateral Management Portal

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targin Account		Arrowst	Economical ID	Report Type	≜ format	Creating Date
2		CB1	4454141	WER UPCearation for	C5V	03096/2014 03 37 49 PM UTC -
02/06/2014		C81	4404000	WEB MRCleared	CSV	02/06/2014 03:37:45 PM UTC-
reation Date To:		C81	4464017	WEB Intraday Valuation	csv	02/06/2014 03 37 38 PM UTC-
3		CB1 C	4463962	WEB M Collateral C	CSV	02/06/2014 03:37:36 PM UTC-
Search Defender		C81	4463939	WEB M Colateral	CSV	02/06/2014 02:37:33 PM UTC-
Preset to Creaturs		C81	4463674	WEB ERSColateraReport	csv	02/06/2014 03:37:29 PM UTC-
		C81_C	4463840	WEB Dly Rejc RS Trades_C	csv	02/06/2014 03:37:27 PM UTC-
		C81	4463797	WEB Dly Rejc RS Trades	csv	02/08/2014 03:37:24 PM UTC-
		CB1_C	4463759	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 03:37:22 PM UTC-
		CB1	4463716	WEB Dy Rej: FXNDF Trades	csv	02/06/2014 03:37:19 PM UTC-
	10	C01_C	4463678	WEB Dly Regist RS_C	csv	02/06/2014 03:37:17 PM UTC
	10	CB1	4463635	WEB Dly Regist IRS	CSV	02/06/2014 03:37:14 PM UTC-
	12	C81_C	4463597	WEB Dty Regist FXNDF_C	CSV	02/06/2014 03:37 12 PM UTC-
	12	C81	4463554	WEB Dry Regist FXNDF	CSV	02/06/2014 03:37:09 PM UTC-
	10	C81_C	4463516	WEB Dly Pend RS Trades_C	CSV	02/06/2014 03:37:07 PM UTC-
	10	C81	4463473	WEB Dly Pend RS Trades	CSV	02/06/2014 03:37:04 PM UTC-
	10	CB1_C	4463435	WEB Dly Pend FXNDF Trades_C	csv	02/06/2014 03:37:92 PM UTC-
	13	C81	4463392	WEB Dly Pend FXNDF Trades	csv	03/06/2014 03:36:59 PM UTC-
	8	C81	4459579	WEB MRClearedPending	CSV	02/06/2014 02:37:48 PM UTC-
	8	C81	4459518	WEB MRCleared	CSV	02/06/2014 02:37:44 PM UTC-
	. 0	C81	4459455	WEB Intraday Valuation	CSV	02/06/2014 02:37:36 PM UTC+



Part III OASIS Collateral Management Portal

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.



Part III OASIS Collateral Management Portal

## 3.2.2. Function Available Time

7:00 a.m. to 1:00 a.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

HKEX			Logged In As: (cb1_user1@cb1) Log Out User Preferences Ct	ange Password Email Us
雪 港 交易所			Default Legal En	Ry 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_Operation	1/3@74ex.00/1.78	
			🔍 Local intranet   Protected Mode: Off	√ <sub>m</sub> = € 100% =

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

HKEX				L	.ogged in As: (cb1_user1@cb1)	2g Out User Preferences Change Password Email U				
香港交易所						Default Legal Entity CB1				
Home	·· Dashboi	ard		Collateral		Document Download				
Home - Dashboard > Document	Download									
Filter QU +	Downlo	ad Selected								
Report Type: ALL	Showing	1 - 100 of 110 C				Rows 100 💌 « < 🚺 2 >				
Margin Account		Account 💲	Document ID 🔷 🌲	Report Type	🗘 Format 🗧	Creation Date 🗸				
Creation Date From:	13	C81	4459579	WEB MRClearedPending	CSV	02/06/2014 02:37:48 PM UTC+8				
02/06/2014 Creation Date To:	13	C81	4459518	WEB MRCleared	csv	02/06/2014 02:37:44 PM UTC+8				
02/06/2014	13	CB1	4459455	WEB Intraday Valuation	CSV	02/06/2014 02:37:36 PM UTC+8				
Q Search	13	C81_C	4459420	WEB IM Collateral_C	CSV	02/06/2014 02:37:34 PM UTC+8				
() Reset to Defaults	13	CB1	4459377	WEB IM Collateral	CSV	02/06/2014 02:37:31 PM UTC+8				
	13	C81	4459312	WEB ERSCollateralReport	CSV	02/06/2014 02:37:27 PM UTC+8				
	13	C81_C	4459278	WEB Dly Rejc IRS Trades_C	CSV	02/06/2014 02:37:25 PM UTC+8				
	10	C81	4459235	WEB Dy Rep #IS Trades		62/05/2014 02:37:22 PM UTC+8				
	13	C81_C	4459197	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 02:37:20 PM UTC+8				
	13	C81	4459154	WEB Dly Rejc FXNDF Trades	CSV	02/06/2014 02:37:17 PM UTC+8				
	13	CB1_C	4459116	WEB Dly Regist IRS_C	CSV	02/06/2014 02:37:15 PM UTC+8				
	10	CU1	4459073	WED Dry Regist RS	CSV	02/06/2014 02:37:12 PM UTC+8				
	13	C81_C	4459035	WEB Dly Regist FXNDF_C	CSV	02/06/2014 02:37:10 PM UTC+8				
	13	C81	4458992	WEB DIV Regist FXNDF	CSV	02/06/2014 02:37:07 PM UTC+8				
	13	C81_C	4458954	WEB Dly Pend IRS Trades_C	CSV	02/06/2014 02:37:05 PM UTC+8				
	13	CB1	4458911	WEB Dly Pend IRS Trades	CSV	02/06/2014 02:37:02 PM UTC+8				
	13	C81_C	4458873	WEB Dly Pend FXNDF Trades_C	CSV	02/06/2014 02:37:00 PM UTC+8				
	13	CB1	4458830	WEB Dly Pend FXNDF Trades	CSV	02/06/2014 02:36:57 PM UTC+8				
	13	C81	4457828	WEB MRClearedPending	CSV	02/06/2014 02:12:17 PM UTC+8				
	13	C81	4457767	WEB MRCleared	CSV	02/06/2014 02:12:13 PM UTC+8				
	123	C81	4457706	WEB ERSCollateralReport	CSV	02/06/2014 02:12:09 PM UTC+8				

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

## Part III OASIS Collateral Management Portal

香港交易所						Default Legal Entity CB1			
Home	- Dashbo	ard		Collateral	Document Download				
Home - Dashboard > Document	Download								
Filter Q +	Downlo	ad Selected							
Report Type ALL	Showing	1 - 100 of 110 C				Rows 100 . « « 1 2 >			
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Creation Date From:	13	C81	4458579	WEB MRClearedPending	CSV	62/06/2014 02:37:48 PM UTC+8			
02/06/2014 Creation Date To	13	CB1	4459518	WEB MRCleared	CSV	62/06/2014 02:37:44 PM UTC+8			
02/06/2014	13	CB1	4459455	WEB Intraday Valuation	CSV	62/96/2014 02:37:36 PM UTC+8			
Q Search	10	C81_C	4458420	VVEB M Collateral_C	CSV	62/06/2014 02:37:34 PM UTC+8			
() Reset to Defaults	10	CB1	4459377	WEB #/ Collateral	CSV	02/06/2014 02:37:31 PM UTC+8			
		C81	4459012	WEB ERSColateraReport	CSV	62/06/2014 62:37:27 PM UTC+8			
	13	CB1_C	4459278	WEB Dy Rejc RS Trades_C	CSV	62/06/2014 02:37:25 PM UTC+8			
	2	CB1	4453235	mEB Dy Rep: RS Trades	CEV	82/06/2014 82:37:22 PM UTC-8			
	63	CB1_C	4459197	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 02:37:20 PM UTC+8			
	10	C81	4459154	WEB Dly Rejc FXNDF Trades	CSV	02/06/2014 02:37:17 PM UTC+8			
	0	C81_C	4459116	WEB Dly Regist RS_C	CSV	02/06/2014 02:37:15 PM UTC+0			
		C81	4455073	WEB Dy Report IPS	COV	62/56/2014 62:57:12 PM UTC-6			
	13	C81_C	4459035	WEB Dly Regist FXNDF_C	CSV	02/05/2014 02:37:10 PM UTC+8			
	13	CB1	4458992	WEB Dy Regist FXNDF	CSV	62/06/2014 02:37 07 PM UTC+8			
	13	C81_C	4458954	WEB Dy Pend RS Trades_C	CSV	02/06/2014 02:37:05 PM UTC+8			
	5	CB1	4458911	WEB Dly Pend RS Trades	CSV	02/06/2014 02:37:02 PM UTC+8			
	13	CB1_C	4458873	WEB Dly Pend FXNDF Trades_C	CPV	02/06/2014 02:37:00 PM UTC+8			
	13	C81	4458830	WEB Dly Pend FXNDF Trades	CSV	02/06/2014 02:36:57 PM UTC+8			
	8	C81	4457828	WEB MRClearedPending	CSV	02/06/2014 02:12:17 PM UTC+8			
	13	CB1	4457767	WEB MRCleared	CSV	02/06/2014 02:12:13 PM UTC+8			
	. 8	CB1	4457706	WEB ERSColateralReport	CSV	62/06/2014 02:12:09 PM UTC+8			


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.

## **日KEX**香港交易所

Part III OASIS Collateral Manageme
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智 港 父 易 刑						Default Legal Entity CB1		
Hom	e - Dashbo	ard		Collateral	Dec	Document Download		
Home - Dashboard > Document	Download							
Filter 00 🚽	* Downle	oad Selected						
Report Type: ALL	Showing 1 - 100 of 110 C		0% of document from	10.154.5.66 Completed 🖂 🗐 🐹	7	Rows 100 • « < 1 2 >		
ALL		Account 🖨	Ete Developed	×	Format 🗘	Creation Date 🔹		
Creation Date From:	13	C81	The Download		CSV	02/06/2914 02:37:48 PM UTC+8		
02/05/2014 Creation Date To	13	C81	Do you want to o	pen or save this file?	CSV	02/06/2014 02:37:44 PM UTC+8		
02/06/2014	13	C81	- Name	all-documents.zip	CSV	02/06/2014 02:37:36 PM UTC-8		
C Search	13	C81_C	Type	WinZip File, 793 bytes	C5V	02/06/2014 02:37:34 PM UTC+8		
Ceset to Defaults		C81	PUR: 10.154.5.00	10.1545.66	CSV	62/06/2014 02:37:31 PM UTC+8		
	13	CB1		Open Save Cancel	CSV	02/06/2014 02:37:27 PM UTC+8		
	13	CB1_C			CSV	02/06/2014 02:37:25 PM UTC+8		
			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 is the mix?	CSV	60/06/2014 02:37 22 PM UTC+8			
	13	CB1_C		computer. If you do not trust the source, do not open or e. <u>What a the mix?</u>	csv	02/06/2014 02:37:20 PM UTC+8		
	E cer	C81			csv	02/06/2014 02:37:17 PM UTC+8		
	13	CB1_C	4459116	WEB Dy Regist RS_C	CSV	02/06/2014 02:37:15 PM UTC-8		
	12					02/06/2014 02:37:12 PM UTC+8		
	13	CB1_C	4459035	WEB Dy Report FXNDF_C	CSV	02/05/2014 02:37:10 PM UTC-8		
	13	C81	4458992	WEB Dy Report FOIDF	CSV	02/05/2014 02:37:07 PM UTC+8		
	8	C81_C	4452954	WEB Dty Pend IRS Trades_C	CSV	02/06/2014 02:37:05 PM UTC+8		
	13	CB1	4458911	WEB Dty Pend IRS Trades	CSV	02/06/2014 02:37:02 PM UTC+8		
	13	C81_C	4458873	WEB Dty Pend FXNDF Trades_C	CSV	02/05/2014 02:37:00 PM UTC+8		
		C81	4458830	WEB Dty Pend FXNDF Trades	CSV	02/05/2014 02:36:57 PM UTC+8		
	13	CB1	4457828	WEB MRCearedPending	CSV	02/06/2014 02:12:17 PM UTC~6		
	13	C81	4457767	WEB MRCleared	CSV	02/06/2014 02:12:13 PM UTC+8		
	· E	C81	4457706	WEB ERSCollateralReport	CSV	02/06/2014 02:12:09 PM UTC+8		



Part III OASIS Collateral Management Portal

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.

💐 🕒 👖 🧊 🖛 WinZip - testing.zip	1.1	1	Marco I				
Unzip/Share Edit Backup Tools Settings	View Help U	pgrade					0
Folder name: testing Image: All files Im	ail Social What to Media Share*						
A Name	Туре	Modified	Size	Ratio	Packed	Path	
WEB DIy Rejc IRS Trades_4459235_2014-06-02 02-37-22 PM.csv	Microsoft Excel Co	02/06/2014 15:35	315	43%	178		
* WEB DIV REgist IKS_4439073_2014-06-02 02-37-12 PM.csv	Microsoft Excel Co	02/06/2014 15:35	900	4/76	18/		
	1						
selected u files, u bytes		i otal 2 files, 665 bytes	6				00



Part III OASIS Collateral Management Portal

6. The reports will remain available to OASIS users for <u>12 OTC Clear Clearing Days</u> 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.

## **日KEX**香港交易所

## Part III OASIS Collateral Management Portal

HKEX					Logged In As: (cb1_user1@cb1)	Log Out User Preferences Change Password Email Us			
香港交易所						Default Legal Entity CB1			
Home	e - Dashboard Colla			Collateral	Document Download				
Home - Dashboard > Document	Download								
Filter (3) (1) Download Selected									
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Margin Account			December 10	Beered Tores					
ALL		Account 👻	Document ID 🚽	Report Type	↓ Format	Creation Date			
Creation Date From: 01/05/2014		CB1 C	3901919	WEB Settle Proj FXNDF	CSV	16/05/2014 00:10:17 AM 01C+0			
Creation Date To:		C81_C	3001004	WEB Settle Proj FXNDF_C	COV	10/02/014 00:10:20 AM 010-0			
02/06/2014		C01 C	3963015	WEB Sattle Proj IRS C	CSV	16/05/2014 08:10:21 AM UTC-8			
Q Search		C81	3962041	WEB Appl FX Rate	CSV	16/05/2014 08:10:26 AM UTC+8			
C Reset to Defaults		C81	3962081	WEB Appl Int Rate	CSV	16/05/2014 08:10:28 AM UTC+8			
		C81	3963060	WEB Dly Pend FXNDF Trades	CSV	16/05/2014 08:45:38 AM UTC+8			
		C81_C	3963095	WEB Dly Pend FXNDF Trades_C	CSV	16/05/2014 08:45:40 AM UTC+8			
		C81	3963121	WEB Dly Pend IRS Trades	CSV	16/05/2014 08:45:42 AM UTC+8			
		C81_C	3963156	WEB Dly Pend IRS Trades_C	CSV	16/05/2014 08:45:44 AM UTC+8			
		C81	3963182	WEB Dly Regist FXNDF	CSV	16/05/2014 08:45:45 AM UTC=8			
		C81_C	3963216	WEB Dly Regist FXNDF_C	CSV	15/05/2014 08:45:47 AM UTC+8			
		C81	3963243	WEB Dly Regist IRS	CSV	16/05/2014 08:45:49 AM UTC+8			
		C81_C	3963277	WEB Dly Regist IRS_C	CSV	16/05/2014 08:45:51 AM UTC+8			
		C81	3963304	WEB Dly Rejc FXNDF Trades	CSV	16/05/2014 08:45:53 AM UTC+8			
		C81_C	3963339	WEB Dly Rejc FXNDF Trades_C	CSV	16/05/2014 08:45:55 AM UTC+8			
		C81	3963365	WEB Dly Rejc IRS Trades	CSV	16/05/2014 08:45:57 AM UTC+8			
		C81_C	3963400	WEB Dly Rejc IRS Trades_C	CSV	16/05/2014 08:45:59 AM UTC+8			
		C81	3963422	WEB ERSColateralReport	CSV	16/05/2014 08:46:01 AM UTC+8			
		C81	3963467	WEB IM Collateral	CSV	16/05/2014 08:46:03 AM UTC+8			
		C81_C	3963502	WEB IM Collateral_C	CSV	16/05/2014 08:46:06 AM UTC+8 🖕			
For help and support, please contact OTC_Operations@hkex.com.hk									
Done					🔍 Local intr	anet   Protected Mode: Off 👘 🔹 🔍 100% 💌			