

## Terminal Operations

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**FUNCTION NAME:            DDI/DCI/EPI REJECTION MAINTENANCE**

**WHEN TO USE:**

- to reject CCASS Participants' (other than Investor Participants) money settlement instruction(s), (i.e. Direct Debit Instructions (DDIs), Direct Credit Instructions (DCIs) and Electronic Payment Instructions (EPIs)) if (i) Participant is found to have insufficient fund/credit facilities; or (ii) payment cannot be effected due to other reasons (e.g. mandate termination), and to make mass confirmation that all remaining payment items have been accepted and will be settled.

**AVAILABLE MAINTENANCE FUNCTIONS:**

- A. Input DDI/DCI/EPI Rejection  
To input rejected DDI(s) / DCI(s) / EPI(s)
- B. Authorise DDI/DCI/EPI Rejection  
To allow an officer of a designated bank to authorise the rejected DDI(s) / DCI(s) / EPI(s) entered via the INPUT DDI/DCI/EPI REJECTION function
- C. Delete DDI/DCI/EPI Rejection  
To delete rejected DDI/DCI/EPI records which were incorrectly entered via the INPUT DDI/DCI/EPI REJECTION function with unauthorised status only
- D. Enquire DDI/DCI/EPI Rejection  
To enquire the rejected DDI/DCI/EPI (i) by the bank itself before or after authorisation; and/or (ii) by counterparty banks after authorisation

**AVAILABLE FUNCTION TIME:**

- Input / Delete / Authorise functions, are available in **four** sessions on each business day:
  - (1) 8:30 a.m. to 9:30 a.m.
    - for rejection of DDI/DCI/EPI included in "*DDI/DCI/EPI Listing for Designated Bank*" (CSEMS03) after 8:30 a.m. containing CCASS money settlement instructions generated on the previous day for settlement on the current day.
  - (2) at around 4:20 p.m. to 5:45 p.m.
    - for rejection of DDI/DCI/EPI included in "*DDI/DCI/EPI Listing for Designated Bank*" (CSEMS03) after 4:05 p.m. containing CCASS money settlement instructions generated on the current day for settlement on the same day.
  - (3) at around 6:00 p.m. to 8:00 p.m.
    - for rejection of DDI, which the bank has only identified after 5:45 p.m., HKSCC will return the collected DDI amount of the rejected DDI to Designated Bank through the morning interbank settlement run commencing at around 9:30 a.m. of the following business day.
  - (4) at around 8:20 p.m. to 9:20 p.m.

## Section 7.1

### DDI/DCI/EPI Rejection Maintenance

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- For rejection of EPI included in “DDI/DCI/EPI Listing for Designated Bank” (CSEMS03) after 8:05 p.m. containing CCASS money settlement instructions generated on the current day for settlement on the same day.
- Enquire function is available from 8:30 a.m. to 9:20 p.m. on each business day.

#### BATCH PROCESSING SCHEDULE:

- CCASS will process the authorized DDI/DCI/EPI rejections shortly after 9:30 a.m., 5:45 p.m. and 9:20 p.m. and submit to HKICL for exclusion from its respective interbank bulk settlement runs.
- CCASS will process the authorised DDI rejections of the 3<sup>rd</sup> input session after 8:00 p.m. and return the collected amount to relevant Designated Bank of the participants via HKICL’s interbank bulk settlement run at around 9:30 a.m. next business day.
- a list of all rejected DDI/DCI/EPI with details can be obtained from the “*DDI/DCI/EPI Rejection Listing*” (CSEMS05) shortly after (1) 9:30 a.m.; (2) 5:45 p.m. (3) 8:00 p.m. and (4) 9:20 p.m. respectively.

#### FUNCTIONAL DESCRIPTIONS:

- INPUT DDI/DCI/EPI REJECTION function allows Designated Banks to exclude those “not-to-be-settled” DDI/DCI/EPI from HKICL’s interbank bulk settlement run; while the rest of the payment instructions are considered as “good” payment.
- DDI/DCI/EPI rejection can be inputted by entering
  - (1) DDI/DCI/EPI Number for a single DDI/DCI/EPI rejection;
  - (2) Branch Code & Account Number, Transaction Type, Currency, DDI/DCI/EPI Amount and/or Counterparty Bank Code, to retrieve a list of DDI/DCI/EPI for selecting a single or multiple DDI/DCI/EPI for rejection;
  - (3) Branch Code & Account Number, Transaction Type and Currency to select a particular Bank Account (i.e. a CCASS Participant client of the Designated Bank) for mass DDI/DCI/EPI rejections; or
  - (4) Counterparty Bank Code, Transaction Type and Currency to select a particular Counterparty Bank for mass DDI/DCI/EPI rejections.

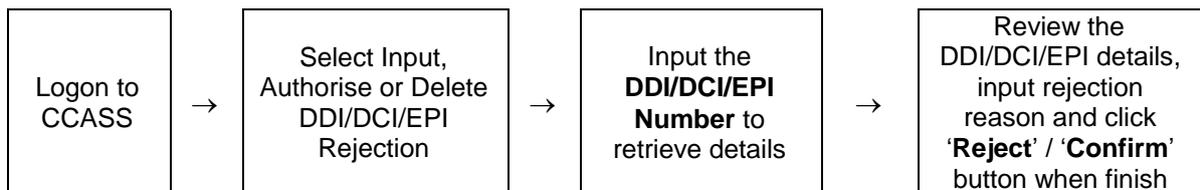
*Note: the **same** DDI/DCI/EPI can **ONLY** be rejected **ONCE** either via single rejection or mass rejection. If a “pending” record is existed for the DDI/DCI/EPI being selected for either single or mass rejection, an error message will be prompted to alert the Designated Bank that such DDI/DCI/EPI has already been rejected.*

- after input, all rejected DDI/DCI/EPI will be in “Pending” status and pending for authorization. Only “Authorised” DDI/DCI/EPI rejection serves as a formal notification to HKSCC / HKICL that such DDI/DCI/EPI are being rejected and excluded from HKICL’s interbank bulk settlement run. Any DDI rejection inputted in the 3<sup>rd</sup> input session between 6:00 p.m. to 8:00 p.m., HKSCC will only return the collected amount to Designated Bank via HKICL’s interbank bulk settlement run at around 9:30 a.m. next business day.
- the “Pending” DDI/DCI/EPI rejection should be authorised within the same input session via the AUTHORISE DDI/DCI/EPI REJECTION function, by entering:

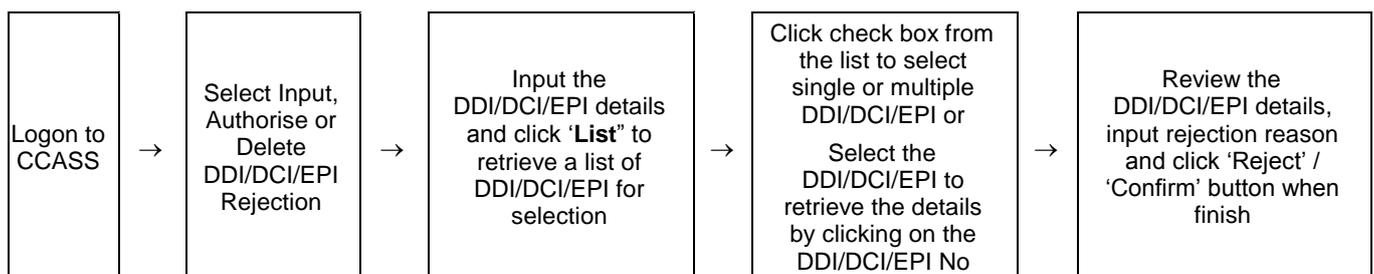
- (1) DDI/DCI/EPI Number for authorization of a single DDI/DCI/EPI rejection;
  - (2) Branch Code & Account Number, Transaction Type, Currency, DDI/DCI/EPI Amount and/or Counterparty Bank Code, to retrieve a list of rejected DDI/DCI/EPI for authorisation;
  - (3) Branch Code & Account Number, Transaction Type and Currency to select a particular Bank Account for mass authorisation of DDI/DCI/EPI rejections of the selected Bank Account; or
  - (4) Counterparty Bank Code, Transaction Type and Currency to select a particular Counterparty Bank for mass authorisation of DDI/DCI/EPI rejections of the selected Counterparty Bank.
- Pending DDI/DCI/EPI rejected by mass input can only allow to authorise by mass function.
  - Pending DDI/DCI/EPI rejected by mass input can only allow to delete by mass function
  - after authorisation, those DDI/DCI/EPI which do not have 'Rejected' status are assumed to be supported by 'good' funds and to be accepted and settled by the Designated Bank in the respective interbank bulk settlement runs.
  - if all DDI/DCI/EPI are to be accepted and settled, DDI/DCI/EPI REJECTION maintenance is NOT necessary.
  - if there are no DDI/DCI/EPI at all for any CCASS Participant (other than Investor Participant) on the *DDI/DCI/EPI Listing for Designated Bank*, DDI/DCI/EPI Rejection maintenance is NOT necessary.
  - delete function only applies to those "Pending" DDI/DCI/EPI rejections inputted via the INPUT DDI/DCI/EPI REJECTION function but are not yet being authorised.

The access path for DDI/DCI/EPI Rejection maintenance functions are:

A. Reject a single DDI/DCI/EPI with DDI/DCI/EPI Number:



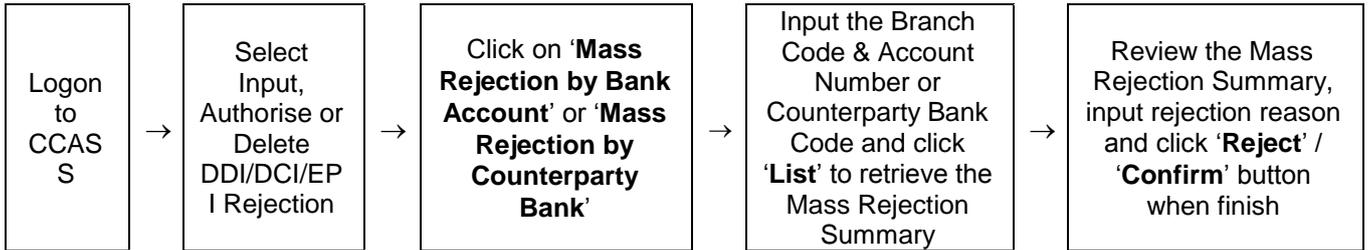
B. Reject a single DDI/DCI/EPI from a list filtered by Branch Code & Account Number, Transaction Type, Currency, Amount or Counterparty Bank Code:



## Section 7.1

### DDI/DCI/EPI Rejection Maintenance

C. Mass rejection to reject ALL DDI/DCI/EPI of a specific Bank Account or Counterparty Bank:



### DDI/DCI/EPI REJECTION MAINTENANCE – Sample Screen:

#### Prompt Screen

Maintain DDI/DCI/EPI Rejection

[Site Map](#)   [Broadcast Message](#)   [Report Download](#)  
[Part List](#)   [Stock List](#)   [Announcement Information](#)  
[Stm Position](#)   [Change Participant](#)   [Change Password](#)  
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BNIK99901  
 SRIA 01  
 27-Apr-11 12:48

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Input DDI/DCI/EPI Rejection Prompt

DDI/DCI/EPI Number :	<input type="text"/> <input type="button" value="Submit"/>
Branch Code / Account Number :	<input type="text"/> <input type="text"/>
Transaction Type :	<input type="text" value="ALL"/>
Currency :	<input type="text" value="ALL"/>
Amount ( >= ):	<input type="text"/>
Counterparty Bank Code :	<input type="text"/>

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Mass DDI/DCI/EPI Rejection

[Mass Rejection by Bank Account](#)  
[Mass Rejection by Counterparty Bank](#)

[Help](#)

#### List Screen

Maintain DDI/DCI/EPI Rejection

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BNIK99901  
 SRIA 02  
 27-Apr-11 12:48

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Input DDI/DCI/EPI Rejection List

Select	DDI/DCI/EPI No	Bch Code / AC No	Account Name	Trm Type	Ccy	Amount	C/P Bank AC Number	C/P Bank AC Name
<input type="checkbox"/>	<a href="#">D40724246</a>	249 05120512	BANK AC B00512	26-DDI	HKD	4,320.00-	004 600 398168001	HKSCC - DAILY SETTLE

Select All

Reject Reason:	<input type="text" value="01 - No Authority"/>
Reject Reason Description (only applicable to Reject Reason "12-Others"):	<input type="text"/>

[Input Another Rejection](#)   [Help](#)

*Detail Screen*

<b>Maintain DDI/DCI/EPI Rejection</b>	BHK9901 SRIA 03 27-Apr-11 12:49
<a href="#">Site Map</a> <a href="#">Broadcast Message</a> <a href="#">Report Download</a> <a href="#">Part List</a> <a href="#">Stock List</a> <a href="#">Announcement Information</a> <a href="#">Stm Position</a> <a href="#">Change Participant</a> <a href="#">Change Password</a> <a href="#">Print</a> <a href="#">Logout</a>	

**Input DDI/DCI/EPI Rejection Detail**

DDI/DCI/EPI Number :	D40724246
Branch Code / Account Number / Name:	249 05120512 BANK AC B00512
Transaction Type:	26 DDI(Net Debit)
Currency:	HKD
Amount:	4,320.00-
Counterparty Bank Account :	004 600 398168001 HKSCC - DAILY SETTLEMENT
Reference:	00512
Particulars:	724246
Reject Reason:	01 - No Authority
Reject Reason Description (only applicable to Reject Reason "12-Others"):	<input type="text"/>

[Input Another Rejection](#)    [Go To List](#)    [Help](#)

*Mass Rejection by Bank Account*

<b>Maintain DDI/DCI/EPI Rejection</b>	BHK9901 SRIA 02 01-Apr-11 16:24
<a href="#">Site Map</a> <a href="#">Broadcast Message</a> <a href="#">Report Download</a> <a href="#">Print</a> <a href="#">Change Password</a> <a href="#">Logout</a>	

**Mass DDI/DCI/EPI Rejection List - By Bank Account**

Bank Account No / Name :		731 352039002 BANKACCNAM352	
Ccy	Trn Type	No of Payment	Total Amount
HKD	26-DDI	1	4,004.04-
HKD	27-DCI	1	898,920.00
HKD	28-EPI Dr	4	40.00-
HKD	29-EPI Cr	4	80.00
Reject Reason:		12 - Others	
Reject Reason Description (only applicable to Reject Reason "12-Others"):		<input type="text" value="mass bank acc rej hk"/>	

[Input Another Rejection](#)    [Help](#)

*Mass Rejection by Counterparty Bank*

<b>Maintain DDI/DCI/EPI Rejection</b>	BHK55901 SRIA 02 07-Apr-11 18:18
<a href="#">Site Map</a> <a href="#">Broadcast Message</a> <a href="#">Report Download</a> <a href="#">Print</a> <a href="#">Change Password</a> <a href="#">Logout</a>	

**Mass DDI/DCI/EPI Rejection List - By Counterparty Bank**

Counterparty Bank Code / Name :		024 HANG SENG BANK	
Ccy	Trn Type	No of Payment	Total Amount
CNY	29-EPI Cr	1	777.53
HKD	29-EPI Cr	3	123,457,723.21
USD	28-EPI Dr	1	543,221.10-
Reject Reason:		12 - Others	
Reject Reason Description (only applicable to Reject Reason "12-Others"):		<input type="text" value="mass by c/p bank"/>	

[Input Another Rejection](#)    [Help](#)

**Section 7.1****DDI/DCI/EPI Rejection Maintenance****DESCRIPTION OF FIELDS:**

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
DDI/DCI/EPI NUMBER	<ul style="list-style-type: none"> <li>- reference number assigned by CCASS for each DDI, DCI or EPI</li> <li>- reference number of a DDI / DCI number is a nine-character code beginning with a character 'D' and reference number of an EPI number is a nine-character code beginning with a character 'E'</li> <li>- after selecting the prefix of the DDI/DCI/EPI Number from the drop down box, type the remaining eight digits only</li> </ul>
BRANCH CODE or BCH CODE	<ul style="list-style-type: none"> <li>- branch code of the CCASS Participant's bank account</li> <li>- must be the same as the branch code of the rejecting DDI/DCI/EPI</li> </ul>
BANK ACCOUNT NUMBER or AC NO	<ul style="list-style-type: none"> <li>- account number of CCASS Participant's bank account</li> <li>- must be the same as the account number of the rejecting DDI/DCI/EPI</li> </ul>
ACCOUNT NAME	<ul style="list-style-type: none"> <li>- bank account name of the CCASS Participant maintained with the Designated Bank for CCASS money settlement purpose</li> <li>- display field only</li> </ul>
TRANSACTION TYPE or TRN TYPE	<ul style="list-style-type: none"> <li>- Transaction Type of the CCASS money settlement instruction: <ul style="list-style-type: none"> <li>- 26 DDI (Net Debit)</li> <li>- 27 DCI (Net Credit)</li> <li>- 28 EPI Debit</li> <li>- 29 EPI Credit</li> </ul> </li> <li>- available transaction type can be selected from the drop-down box at the prompt screen</li> </ul>
CURRENCY or CCY	<ul style="list-style-type: none"> <li>- currency code of the rejecting DDI/DCI/EPI</li> <li>- available currency can be selected from the drop-down box at the prompt screen</li> </ul>
AMOUNT	<ul style="list-style-type: none"> <li>- input the amount at prompt screen to retrieve a list of DDI/DCI/EPI with payment amount greater than or equal to the input amount</li> <li>- display the money value of the DDI/DCI/EPI</li> </ul>
COUNTERPARTY BANK CODE	<ul style="list-style-type: none"> <li>- bank code of the counterparty for CCASS money settlement purpose</li> </ul>
COUNTERPARTY BANK ACCOUNT or C/P BANK AC NUMBER	<ul style="list-style-type: none"> <li>- bank account number (including bank code, branch code and account number) of the counterparty for CCASS money settlement purpose</li> <li>- display field only</li> </ul>
COUNTERPARTY BANK ACCOUNT NAME or C/P	<ul style="list-style-type: none"> <li>- bank account name of the counterparty bank of rejecting DDI/DCI/EPI for CCASS money settlement purpose</li> </ul>

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
BANK AC NAME	- display field only
REFERENCE	- display the reference of the DDI/DCI/EPI, i.e. the debtor reference of the debiting bank account - display field only
PARTICULARS	- display the particular of the DDI/DCI/EPI , i.e. the last six digits of the DDI/DCI/EPI Number - display field only
REJECT REASON	- Reject reason, code and description for rejecting the DDI/DCI/EPI 01 No Authority 02 Exceeds Authority 03 Insufficient Funds 04 Refer to Drawer 05 Payment Stopped 06 Account Closed 07 Authority Cancelled 08 Not Arranged For 09 No Account 10 Name and Account Number Not Matched 11 Insufficient Details to Identify 12 Others; <i>a reason description equal to or less than 20 characters in length can be input</i> - available reason code can be selected from the drop-down box at the detail screen and rejection list screen - rejection reason for mass rejection can only be "12 – Others"
REJECT REASON DESCRIPTION <i>(only applicable to Reject Reason "12 – Others")</i>	- description of reject reason set as "12 – Others", input by the rejection bank - a mandatory field if reject reason "12 – Others" is selected. Otherwise, the rejection reason description field is protected from input.
INPUT BY	- CCASS User ID of the user who input the DDI/DCI/EPI rejection - the user entering the DDI/DCI/EPI rejection should be different from the officer authorising them
AUTHORISED BY	- CCASS User ID of the user who authorized the DDI/DCI/EPI rejection
NUMBER OF PAYMENT	- display the number of CCASS money settlement instructions (DDI/DCI/EPI) selected for rejection or being rejected
TOTAL AMOUNT	- display the total payment amount selected for rejection or being rejected