

Terminal Operations

FUNCTION NAME: ENQUIRE PAYMENT INSTRUCTION

WHEN TO USE:

- To enquire on the details and current status of those paid or to-be-paid payment instructions, of which the paying participants assigned the enquiring designated banks to complete the payment instructions on their behalves.

AVAILABLE FUNCTION TIME:

- This enquiry function is available between 9:30 a.m. to 7:00 p.m. on weekdays (i.e. Mondays to Fridays, except public holidays).

FUNCTIONAL DESCRIPTION:

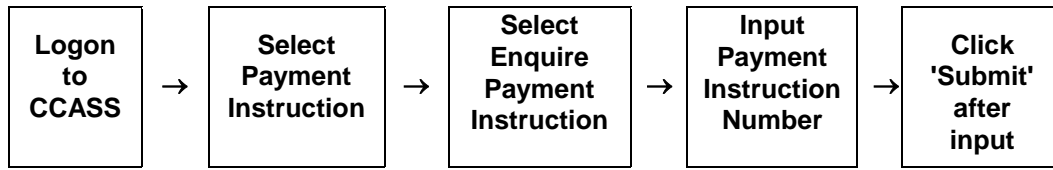
- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.
- The designated banks can enquire the payment instruction to monitor the payment status, and thus the related CCASS transaction status. Related CCASS transactions, include the following:
 - SI / ISI transactions specified to be settled on a realtime delivery versus payment (RDP) basis;
 - subscription instructions input on CCASS subscription end day, with subscription monies, if any, to be collected via CHATS payment instructions.
 - cash prepayment instruction selected "CHATS" as the payment method.
 - intra-day marks obligations, intra-day margin obligations and intra-day Mainland Settlement Deposit payment to be collected via CHATS payment instructions, with standing instructions given to HKSCC in advance.
 - specific cash collateral instruction authorised before 11:45 a.m. with CPI as payment method.
 - TSF payments in relation to TSF FX Transactions and Stock Release Requests with "CHATS" selected as the payment method.
 - A-share CNS money obligation to be settled via CHATS payment instructions.
- Designated banks can enquire those payment instructions of which they are being assigned by the paying participants to complete the payment on their behalves.

Section 7.12

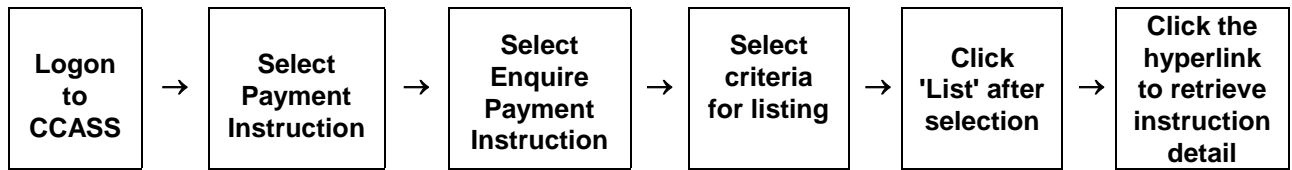
Enquire Payment Instruction

The access paths for Enquire Payment Instruction are:

A. Enquire by Payment Instruction Number:



B. Enquire by listing the Payment Instructions with selected criteria:



ENQUIRE PAYMENT INSTRUCTION - Sample Screen

Enquire RMS SBL Position by Stock

Enquire RMS SBL Pos

Summary by Stock

Enquire RMS Alert Message

Print Ad Hoc RMS Report

Request Ad Hoc Marks Calculation

General Enquiries

Eng Settlement Act / Status

Delivery Instruction (DI)

A/C Transfer Instr (ATI)

Settlement Instruction (SI)

Hide Unmatched SI Content

Cpty List

Investor Strm Instr (ISI)

ISI (With Affirm) Cpty List

ISI (W/O Affirm) Cpty List

Payment Instruction

Cash Prepayment

Stock Borrowing / Lending

SBL Bulletin Board

Login Withdrawal Order

Election Instruction

Subscription Instruction

Corp Voting Instruction

EIPO Application

Maintain Payment Instruction

BHK00501

SPIE 03

12-Jul-05 17:03

Enquire Payment Instruction Detail

Payment Instruction Number:	1 0000737	Deal Code:	F000737
Prepayment Instruction Number:	M 0000500	Straight Through Transmission Time:	12-JUL-05 14:06:10
Paying Participant ID:	B01337 BROKER B01337	Payment Received:	10,000.00 HKD
Paying Participant Bank Account Number:	005 111 1337	Discrepancy:	0.00 HKD
Paying Participant Account Name:	BANK ACCOUNT NAME B01337	Settlement Time:	12-JUL-05 14:19:01
Beneficiary Bank Account Number:	004 600 398168292	Status:	SETTLED
Beneficiary Bank Account Name:	HONG KONG SECURITIES CLEARING CO. LTD	User ID:	ODSUSAN
Payment Value:	10,000.00 HKD		
Payment Code:	11 CCASS PAYMENT		

[Enquire Another Instruction](#) [Go To List](#) [Help](#)

Applet started. Internet

Start 5 Micros... 2 Micros... 4 Wind... 5 Inter... Untitled - ... Command... Microsoft ... EN 17:03

Eng Settlement Act / Status

Delivery Instruction (DI)

A/C Transfer Instr (ATI)

Settlement Instruction (SI)

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Cpty List

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Election Instruction

Subscription Instruction

Corp Voting Instruction

EIPO Application

Tender Instruction

Maintain Unit Order - Creation

Maintain Unit Order - Redemption

Maintain Scrip Fee Memo Adjustment

Corp Communication

Upload Batch File

Maintain Firm

Maintain Participant

Maintain Collateral Account

Mtn Tran A/C to Collateral A/C Mapping

Maintain Static Data Master

Maintain Collateral Master

Maintain Sec Type Master

Maintain Global Parameters

Maintain Eligible Instrument

Maintain Payment Instruction

BHK00101

SPIE 03

29-Jun-05 12:04

Enquire Payment Instruction Detail

Payment Instruction Number:	1 00000359	Deal Code:	C000359
Announcement Number:	A 00001055	Straight Through Transmission Time:	29-JUN-05 11:35:19
Subscription Instruction Number:	R 00003376	Payment Received:	
Paying Participant ID:	B00529 BROKER B00529	Discrepancy:	
Paying Participant Bank Account Number:	001 123 800529189	Settlement Time:	
Paying Participant Account Name:	BANK A/C B00529	Status:	AUTHORISED
Beneficiary Bank Account Number:	004 600 39833007	User ID:	B0052901
Beneficiary Bank Account Name:	HKSCC NOMINEES LIMITED		
Payment Value:	110.00 HKD		
Payment Code:	11 CCASS PAYMENT		

[Enquire Another Instruction](#) [Go To List](#) [Help](#)

Microsoft

Section 7.12**Enquire Payment Instruction****DESCRIPTION OF FIELDS:**

<u>Field</u>	<u>Description/Format</u>
PAYMENT INSTRUCTION NUMBER	<ul style="list-style-type: none"> - input the Payment Instruction Number for the payment instruction to be enquired at prompt screen. (Payment Instruction Number might be known due to previous enquiry). - the Payment Instruction Number is a 9-digit code beginning with the digit '1'. The system automatically displays the '1' prefix. Type the remaining digits. e.g. for Payment Instruction Number '1 41234567', only enter '41234567'. - leading zeros do not need to be entered. e.g. '00000457' can be entered as '457'. - click Submit button to retrieve the payment instruction detail. - display the payment instruction number of the instruction at the list / detail screen. - click onto the hyperlink at list screen to retrieve the instruction detail.
PAYMENT CODE	<ul style="list-style-type: none"> - represent the type of CCASS payment to be paid via CHATS. - CCASS defaults '11' as the Payment Code for CCASS payments. Selection is not required. - display the payment code '11' at the list / detail screen.
CURRENCY	<ul style="list-style-type: none"> - currency of the payment instruction, can be selected via the pull down menu at prompt screen. - display the currency of the payment instruction at list / detail screen.
STATUS	<ul style="list-style-type: none"> - represent the status of payment instructions, can be selected via the pull down menu at prompt screen: <ul style="list-style-type: none"> > 'ALL' to list payment instructions with all statuses; > 'Authorised' to list payment instructions with authorised status, which are pending for input by designated banks; > 'Payment Validated' to list payment instructions with payment validated status, which are pending for payment settlement; > 'Settled' to list payment instructions with settled status, which payment have been completed. > 'Cancelled' to list payment instructions which have been subsequently cancelled. > 'Expired' to list payment instructions with expired status, which are payment validated before CCASS prescribed deadline, but remained unsettled after CCASS prescribed deadline. > 'Reversed' to list payment instructions with reversed status, which are payment validated before CCASS prescribed deadline but settled after CCASS prescribed deadline. - display the status of the payment instruction at list / detail screen.

<u>Field</u>	<u>Description/Format</u>
DEAL CODE	<ul style="list-style-type: none"> - display a 7-alpha-numeric reference key for CCASS to validate CCASS related CHATS payments against the relevant CCASS transaction details at list/ detail screen. - first character of the deal code represents the type of CCASS transaction the CHATS payment instruction is being generated for. <ul style="list-style-type: none"> > 'A' stands for SI transactions > 'B' stands for ISI transactions > 'C' stands for subscription monies > 'D' stands for intra-day marks and/or intra-day margin obligation > 'E' stands for cash prepayment for releasing buy-in shares > 'F' stands for cash prepayment for releasing allocated shares > 'G' stands for payment for TSF FX transactions > 'H' stands for payment for stock release requests > 'I' stands for payment for specific cash collateral instruction transactions > 'J' stands for debit payment for A-shares CNS money obligations > 'L' stands for intra-day Mainland Settlement Deposit payment - the last 6 characters of the deal code are derived from the payment instruction number, where the first (excluding the prefix) and the last six digits are used to form the last six characters of the deal code. - for payment instructions generated with Deal Code, the Deal Code must be specified by the designated bank when effecting the CHATS payment instruction.
PAYING PARTICIPANT ID	<ul style="list-style-type: none"> - input the CCASS participant ID of the paying participant of the payment instruction at prompt screen. - display the CCASS participant ID of the paying participant of the payment instruction at list/ detail screen. - it should be the client of the designated bank which retrieves the payment instruction.

Section 7.12**Enquire Payment Instruction**

<u>Field</u>	<u>Description/Format</u>
TRANSACTION TYPE	<ul style="list-style-type: none"> - represent the type of CCASS transactions where the payment instructions are being generated for payment collection, can be selected via the pull down menu at prompt screen: <ul style="list-style-type: none"> ➢ ALL to retrieve all available payment instructions ➢ SI ➢ ISI ➢ Subscription ➢ Intra-day Marks and Margin ➢ Intra-day Mainland Settlement Deposit ➢ Cash Prepayment ➢ TSF Payment ➢ Specific cash collateral ➢ A-share CCASS Payment (Debit) ➢ A-share CCASS Payment (Credit)
PAYING PARTICIPANT BANK ACCOUNT NUMBER	<ul style="list-style-type: none"> - display the paying participant's bank account number of the CHATS to be made at list/ detail screen. - for payment instruction in relation to SI or ISI transaction, this should be the bank account number of the SI/ISI receiving participant. - for payment instruction in relation to subscription monies, cash prepayment instruction or TSF payment, this should be the bank account number of the participant who input the instruction - for payment instruction in relation to intra-day marks, intra-day margin, intra-day Mainland Settlement Deposit and specific cash collateral, this should be the bank account number of the participant who authorised HKSCC to collect the payment from its designated bank account. - for payment instruction in relation to A-share CCASS payment (Debit), this should be the bank account number of the Participant which authorised HKSCC to collect the payment from its designated bank account.
PAYING PARTICIPANT ACCOUNT NAME	<ul style="list-style-type: none"> - display the paying participant's bank account name of the CHATS to be made at list/ detail screen. - for payment instruction in relation to SI or ISI transaction, this should be the bank account name of the SI/ISI receiving participant. - for payment instruction in relation to subscription monies, cash prepayment instruction or TSF payment, this should be the bank account name of the participant who input the instruction - for payment instruction in relation to intra-day marks, intra-day margin, intra-day Mainland Settlement Deposit and specific cash collateral, this should be the bank account name of the participant who authorised HKSCC to collect the payment from its designated bank account.

<u>Field</u>	<u>Description/Format</u>
	<ul style="list-style-type: none"> - for payment instruction in relation to A-share CCASS payment (Debit), this should be the bank account name of the Participant which authorised HKSCC to collect the payment from its designated bank account.
BENEFICIARY BANK ACCOUNT NUMBER	<ul style="list-style-type: none"> - display the beneficiary bank account number of the CHATS to be made at list/ detail screen. - for payment instruction in relation to SI or ISI transaction, this should be the bank account number of the SI/ISI delivering participant. - for payment instruction in relation to subscription monies, this should be the bank account number of HKSCC Nominees Limited - for payment instruction in relation to intra-day marks, intra-day margin, intra-day Mainland Settlement Deposit and specific cash collateral, cash prepayment instruction or TSF payment, this should be the bank account number of HKSCC. - for payment instruction in relation to A-share CCASS payment (Debit), this should be the bank account number of HKSCC.
BENEFICIARY BANK ACCOUNT NAME	<ul style="list-style-type: none"> - display the beneficiary bank account name of the CHATS to be made. - for payment instruction in relation to SI or ISI, this should be the bank account name of the SI/ISI delivering participant. - for payment instruction in relation to subscription monies, the bank account name should be HKSCC Nominees Limited - for payment instruction in relation to intra-day marks, intra-day margin, intra-day Mainland Settlement Deposit and specific cash collateral, cash prepayment instruction or TSF payment, the bank account name should be Hong Kong Securities Clearing Co. Ltd. - for payment instruction in relation to A-share CCASS payment (Debit), the bank account name should be Hong Kong Securities Clearing Co. Ltd.
SI / ISI INPUT NUMBER	<ul style="list-style-type: none"> - display the SI/ISI Input Number of the SI/ISI based on which the payment instruction is generated at list/ detail screen.
SETTLEMENT POSITION NUMBER	<ul style="list-style-type: none"> - display the settlement position number of the SI/ISI based on which the payment instruction is generated at list/ detail screen.
ANNOUNCEMENT NUMBER	<ul style="list-style-type: none"> - display the Announcement Number of the Subscription Instruction based on which the payment instruction is generated at detail screen.
SUSBCRIPTION INSTRUCTION NUMBER	<ul style="list-style-type: none"> - display the Subscription Instruction Number of which the payment instruction is generated at list/ detail screen.

Section 7.12**Enquire Payment Instruction**

<u>Field</u>	<u>Description/Format</u>
PREPAYMENT INSTRUCTION NUMBER	<ul style="list-style-type: none"> - display the Cash Prepayment Instruction Number of which the payment instruction is generated at list/ detail screen.
BATCH NUMBER	<ul style="list-style-type: none"> - display the Batch Number of the Intra-day Marks, Intra-day Margin and specific cash collateral generation of which the payment instruction is generated at detail screen. - display the Batch Number of the intra-day Mainland Settlement Deposit generation of which the payment instruction is generated at detail screen.
PAYMENT VALUE	<ul style="list-style-type: none"> - display the payment currency and the value of the CHATS payment to be made at detail screen. - for payment instruction in relation to SI or ISI, this should be the transaction amount specified in the SI/ISI. - for payment instruction in relation to subscription monies, this should be the transaction amount to be collected for the subscription instruction. - for payment instruction in relation to cash prepayment, this should be the transaction amount specified in the cash prepayment instruction by the Clearing Participant. - for payment instruction in relation to intra-day marks, intra-day margin, this should be the outstanding intra-day marks and/or intra-day margin obligations to be paid by the Clearing Participant. - for payment instruction in relation to intra-day Mainland Settlement Deposit, this should be the outstanding intra-day Mainland Settlement Deposit payment to be paid by the Clearing Participant. - for payment instruction in relation to TSF payment, this should be the payment amount in relation to TSF FX transaction or stock release request to be paid by the TSF CCASS Participant. - for payment instruction in relation to specific cash collateral, this should be the transaction amount specified in the specific cash collateral instruction by the Clearing Participant. - for payment instruction in relation to A-share CNS payment, this should be the CNS money obligation to be settled of the Clearing Participant.
STRAIGHT THROUGH TRANSMISSION TIME	<ul style="list-style-type: none"> - display the time when the payment instruction is made known to the designated bank of the paying participant via a 'Electronic CHATS Payment Instruction Report' generated by CCASS at detail screen.
PAYMENT RECEIVED	<ul style="list-style-type: none"> - display the amount of CHATS payment after the confirmation advice has been received from Clearing House of HKAB at detail screen..
DISCREPANCY	<ul style="list-style-type: none"> - display the amount difference of the Payment Value of the payment instruction and the related CHATS payment settled in the Clearing House of HKAB at detail screen.

<u>Field</u>	<u>Description/Format</u>
USER ID	<ul style="list-style-type: none">- display the ID of the user who has updated the instruction most recently- If payment validation or settlement confirmation in respect of the payment instruction is received from the Clearing House of HKAB, 'CCASS' will be displayed.
SETTLEMENT TIME	<ul style="list-style-type: none">- display the time when settlement confirmation in respect of the payment instruction is received from the Clearing House of HKAB and CCASS updates the payment instruction status to 'Settled' at detail screen.