

**HONG KONG SECURITIES CLEARING COMPANY LIMITED
CCASS TERMINAL USER GUIDE - FOR DESIGNATED BANKS**

Amendment Log

Updated Date	<u>Section / Page</u>	Description
January 2020	1 Introduction	Updated HKEX contact
	3.1 Access Control	Updated the table of user access levels for designated bank users regarding discontinuation of view circular function at C3T
	6.1 CCASS Terminal Requirements	Updated CCASS/3 Terminal Specifications regarding discontinuation of view circular function at C3T
	7.11 View Circular	Removed the section due to discontinuation of view circular function at C3T
October 2019	6.1 CCASS Terminal Requirements	Updated latest software requirements
May 2019	6.1 CCASS Terminal Requirements	Updated latest smartcard reader and software requirements
April 2019	7.11 View Circular	Added note regarding discontinuation of circular posting in CCASS Terminal
March 2019	2 CCASS System Overview	Added disclaimer regarding the collection of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit
November 2018	3.4 Logon and Logoff CCASS	Updated content to reflect changes related to the inclusion of privacy policy statement message on the logon screen
	6.1 CCASS Terminal Requirements	Updated hardware requirement for smartcard readers
February 2018	4.3 Report Description	Revised the report layout for the following report: Broadcast Message Listing (CETMB02)
November 2017	2 CCASS System Overview	Updated content to incorporate changes due to launch of RDP SI and enhancement on cash prepayment in China Connect Markets
	4.2 List of Report and Availability Schedule	Updated report availability schedule due to revised BSR arrangements
	4.3 Report Description	Revised the report description due to launch of RDP SI and enhancement on cash prepayment in China Connect Markets for the following reports: Electronic CHATS Payment Instruction Report (CSEPI03) CCASS Funding Projection Report (Night Settlement) for Designated Bank (CSEMP03)
	6.2 CCASS Processing and Service Schedule	Updated content to incorporate changes due to launch of RDP SI and enhancement on cash prepayment in China Connect Markets
	7.12 Enquire Payment Instruction	Updated function end time and incorporated new deal code for RDP SI and cash prepayment in "CHATS" payment method in China Connect Markets
April 2017	1 Introduction	Updated office address
March 2017	Forms	Added reference number and removed company chop requirement
February 2017	Form A, Form B, Form C, Form D, Form F	Updated office address
January 2017	2 CCASS System Overview	Updated content to incorporate changes due to the new SI BSR with SPSA as delivering account (at 18:15) for China Connect Markets
	4.2 List of Report and Availability Schedule	Revised report generation schedule to reflect changes due to the new SI BSR with SPSA as delivering account (at 18:15) for China Connect Markets
	4.3 Report Description	Revised report generation schedule to reflect changes due to the new SI BSR with SPSA as delivering account (at 18:15) for China Connect Markets for the following report: CCASS Funding Projection Report (Night Settlement) for Designated Bank (CSEMP03)

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	4.4 Report Data Files Layout	Revised report data file layout description to reflect changes due to the new SI BSR with SPSA as delivering account (at 18:15) for China Connect Markets for the following report: CCASS Funding Projection Report (Night Settlement) for Designated Bank (CSEMP03)
	6.1 CCASS Terminal Requirements	Updated hardware and software configuration of CCASS/3 terminal specification
December 2016	2 CCASS System Overview	Updated content to incorporate changes for China Connect Markets
	6.2 CCASS Processing and Service Schedule	Updated content to incorporate changes for China Connect Markets
July 2016	1 Introduction	Updated service hours of China Connect Hotline
	2 CCASS System Overview	Updated content to incorporate changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities
	3.1 Access Control 3.4 Logon and Logoff CCASS	Updated content to incorporate changes due to strengthening of the security measures
	4.2 List of Report and Availability Schedule	Updated content to incorporate changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities
	6.2 CCASS Processing and Service Schedule	Updated content to incorporate changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities Updated content to incorporate changes due to the change of opening time of online ATI / STI from 08:00 to 07:15 for China Connect Securities
May 2016	6.1 CCASS TERMINAL REQUIREMENTS	Updated support matrix for JRE8 on Win7 and Win8.1
April 2016	2 CCASS System Overview	Updated content to incorporate changes due to the launch of the interbank bulk settlement run at night and housekeeping changes
	4.1 Report Download	Updated function time
May 2016	4.2 List of Report and Availability Schedule	Updated report list and availability schedule due to the launch of the interbank bulk settlement run at night
April 2016 December 2015	4.3 Report Description	Revised the report description due to the launch of the interbank bulk settlement run at night for the following reports : DDI / DCI / EPI Listing for Designated Bank (CSEMS03) DDI / DCI / EPI Exception Report (CSEMX01) DDI / DCI / EPI Rejection Listing (CSEMS05) DDI / DCI / EPI Listing for IP Related Transactions (CIPMS03) Add new report for the launch of the interbank bulk settlement run at night CCASS Funding Projection Report (Night Settlement) for Designated Bank (CSEMP03)

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	4.4 Report Data Files Layout	Updated content to incorporate changes due to the launch of Interbank bulk settlement run at night for the following reports: DDI /DCI / EPI Listing for Designated Bank (CSEMS03) DDI / DCI / EPI Exception Report (CSEMX01) Add new report for the launch of the interbank bulk settlement run at night CCASS Funding Projection Report (Night Settlement) for Designated Bank (CSEMP03)
	6.2 CCASS Processing and Service Schedule	Revised processing schedule due to the launch of the interbank bulk settlement run at night
	7.1 DDI/DCI/EPI Rejection Maintenance	Updated content to incorporate changes due to the launch of the interbank bulk settlement run at night
	2 CCASS System Overview	Added intra-day Mainland Settlement Deposit in Section 2 and Table 2.1 Update content to incorporate changes for using EPI to collect CCASS fees and expenses for non-IP participants
	4.3 Report Description	Revised the report description for Electronic CHATS Payment Instruction Report (CSEPI03) to include new deal code "L" for intra-day Mainland Settlement Deposit payment
	6.2 CCASS Processing and Service Schedule	Updated schedule diagram for revised function time and DI for CNS in China Connect Markets
December 2015 March 2015 November 2014 October 2014	7.12 Enquire Payment Instruction	Added intra-day Mainland Settlement Deposit, new deal code "L" for intra-day Mainland Settlement Deposit payment, batch number and payment value to relevant field descriptions
	2 CCASS System Overview	Updated content to incorporate changes for the introduction of Enhanced Pre-trade Checking Model, DVP SI and revised CCASS batch processing schedule for China Connect Market
	6.3 CCASS Terminal Back Up Facilities	Updated address of CCASS Terminal Back Up Facilities
	1 Introduction	Updated China Connect Hotline
March 2015	2 CCASS System Overview	Updated content to incorporate changes for China Connect Market
November 2014	4.1 Report Download	Revised the function time
October 2014 September 2014 August 2013 February 2013	4.3 Report Description	Revised the report description for Electronic CHATS Payment Instruction Report (CSEPI03) to include money deal codes "J" and "K" for China Connect Market
	6.2 CCASS Processing and Service Schedule	Revised the CCASS processing and service schedule for Hong Kong Market (for ATI / STI / SI enquiry function time and batch file upload time) and added CCASS processing and service schedule for China Connect Market
	7.3 User Profile Maintenance	Revised the function time
	7.4 User Group Listing (with Accessible C/3 Functions)	Revised the function time
	7.5 User Profile Listing	Revised the function time
	7.6 Disabled User Listing	Revised the function time
	7.7 SRN Listing	Revised the function time
	7.8 User Profile Maintenance Report	Revised the function time
	7.9 Reset Smartcard Password	Revised the function time
	7.10 Get Authorisation Code	Revised the function time
	7.12 Enquire Payment Instruction	Updated the content for China Connect Market

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Updated Date	<u>Section / Page</u>	Description
	6.1 CCASS Terminal Requirements	Updated hardware and software configuration of CCASS/3 terminal specification
	6.1 CCASS Terminal Requirements	Updated the requirements and configurations in relation to SDNet/2 upgrade for CCASS
	6.1 CCASS Terminal Requirements	Updated hardware and software configuration of CCASS/3 terminal specification
October 2012	2 CCASS System Overview	Added collection of margin as a risk management measure in Exhibit 2-A Added margin, intra-day margin, additional cash collateral and specific cash collateral under D. Money settlement Added margin, additional cash collateral and specific cash collateral in Exhibit 2A
August 2013	4.3 Report Description Electronic CHATS Payment Instruction Report(CSEPI03)	Updated the deal code "D" to include intra-day Marks and Margin payment Added a deal code with new prefix "I" for specific cash collateral payment
February 2013	6.2 CCASS Processing and Service Schedule	Added specific cash collateral maintenance under Daily CCASS Service of the chart "CCASS Processing and Service Schedule"
October 2012 October 2011	7.12 Enquire Payment Instruction	<ul style="list-style-type: none"> ▪ Added intra-day margin obligations and specific cash collateral payment under functional description ▪ Revised the existing deal code "D" to incorporate intra-day margin obligations ▪ Added a deal code with prefix "I" for specific cash collateral Revised the existing fields "Transaction Type", "Paying Participant Bank Account Name", "Paying Participant Account Name", "Beneficiary Bank Account Number", "Beneficiary Bank Account Name" and "Payment Value" to incorporate intra-day margin and specific cash collateral
	2 CCASS System Overview	Revised the time available for Electronic CHATS Payment Instruction Report(CSEPI03) from four times to five times
	List of Reports and Availability Schedule	Updated the time available for Electronic CHATS Payment Instruction Report(CSEPI03) from four times to five times
	4.3 Report Description Electronic CHATS Payment Instruction Report(CSEPI03)	<ul style="list-style-type: none"> ▪ Updated the report description to incorporate the deal code with new prefixes "G" and "H", which stands for TSF related payments
	4.2 6.2 CCASS Processing and Service Schedule	Revised the CCASS Service Schedule to add the new generation of Electronic CHATS Payment Instruction Report(CSEPI03) after 9:30 a.m.
	7.12 Enquire Payment Instruction	Updated the data field description to incorporate the deal code with new prefixes "G" and "H", which stands for TSF related payments
July 2011	2 CCASS System Overview	Revised the money settlement mechanism with the introduction of evening interbank bulk settlement run in relation to T+2 Finality arrangement
	3.1 Access Control	Revised the access control of "DDI/DCI/EPI Rejection Maintenance" functions

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	4.2 List of Reports and Availability Schedule	Enhanced/added the following reports and data files in relation to T+2 Finality arrangement: <ul style="list-style-type: none"> - DDI/DCI/EPI Listing for Designated Bank (CSEMS03) - DDI/DCI/EPI Exception Report (CSEMX01) - DDI/DCI/EPI Rejection Listing (CSEMS05) - CCASS Funding Projection Report for Designated Bank (CSEMP01)
July 2011 June 2011 May 2011 December 2010	4.3 List of Reports	Enhanced/added the following reports in relation to T+2 Finality arrangement: <ul style="list-style-type: none"> - DDI/DCI/EPI Listing for Designated Bank (CSEMS03) - DDI/DCI/EPI Exception Report (CSEMX01) - DDI/DCI/EPI Rejection Listing (CSEMS05) - CCASS Funding Projection Report for Designated Bank (CSEMP01)
	4.4 Report Data File Layout	Added the following data files in relation to T+2 Finality arrangement: <ul style="list-style-type: none"> - DDI/DCI/EPI Listing for Designated Bank (CSEMS03) - DDI/DCI/EPI Exception Report (CSEMX01) - DDI/DCI/EPI Rejection Listing (CSEMS05) - CCASS Funding Projection Report for Designated Bank (CSEMP01)
	6.2 CCASS Processing and Service Schedule	Revised the CCASS service schedule in relation to T+2 Finality arrangement
	7.1 DDI/DCI/EPI Rejection Maintenance	Enhanced the "DDI/DCI/EPI Rejection Maintenance" functions for rejection of DDIs/DCIs/EPs in relation to non-IP participants transactions.
	6.1 CCASS Terminal Requirements	Added "Prohibited Actions on CCASS System" section
	7.2 Rejected IP DDI/EPI Maintenance	Updated the description of the maintenance functions that Designated Banks can refer to " <i>DDI/DCI/EPI Listing for IP Related Transactions - CIPMS03</i> " for details of the to-be-rejected DDIs/debit EPs.
	1 Introduction	Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
June 2011	6.3 CCASS Terminal Backup Facilities	Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
May 2011	Appendix A Order Form for Smartcard Reader(s)	Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix B (Smartcard Request Form for CCASS/CCMS User)	Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix C (Report Loss of Smartcard)	Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix D (User Profile for Delegated Administrator (DA))	Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
July 2010 January 2010	Appendix E Request For Back-Up Facilities Form	Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"
	Appendix F Change of Account Information Form	Change the name of office building from "Vicwood Plaza" to "Infinitus Plaza"

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	6.1 CCASS Terminal Requirements	Updated software configuration of CCASS/3 terminal specification to remove <ul style="list-style-type: none"> - MS Windows 2000 Professional - MS Windows XP Professional SP2 - Java Runtime Environment 1.3.0 - Internet Explorer 5.0 SP2 Updated software configuration of CCASS/3 terminal specification to include <ul style="list-style-type: none"> - MS Windows 7 Professional 32-bit - Java Runtime Environment 6.0u17 - Internet Explorer 8.0
	2 CCASS System Overview	Updated that rejected DDI and rejected IP DDI/EPI should be authorized by each selected currency
	7.1 Rejected DDI Maintenance	Updated the following: <ul style="list-style-type: none"> - rejected DDI should be authorized by each selected currency - currency code will be displayed next to the debit amount under the "Debit Amount" field
July 2010	7.2 Rejected IP DDI/EPI Maintenance	Updated the following: <ul style="list-style-type: none"> - rejected IP DDI/EPI should be authorized by each selected currency - currency code will be displayed next to the debit amount under the "Debit Amount" field - display the summary total as follows: <ul style="list-style-type: none"> - "Total Number of Accounts with Rejected DDI(s)" - "Total Number of Rejected DDI(s)" - "Total Number of Accounts with Rejected EPI(s)" "Total Number of Rejected EPI(s)"
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