

ISI ACTIVITY REPORT

Report ID : CIPSI02

Report Name : *ISI Activity Report*

Purpose : The *ISI Activity Report* lists ISI input activities (including input, change, delete, authorise, hold/release and shares on-hold (DI) instructions). It shows details of participant ISIs that are affirmed by Investor Participants; purged, shares on-hold (batch) or shares released by CCASS during the day. In addition, it also lists the maintenance activities on the ISI counterparty list. The report has six sections: User Activity, Summary of User Activity, IP Affirmation / System Activity, ISI Counterparty List Maintenance Activity, Designated Receiving Account For ISI (without affirmation) Maintenance and Hold/Release ISI Activity.

Section Content : I. USER ACTIVITY

Details of ISI activities invoked by the participant during the business day.

II. SUMMARY OF USER ACTIVITY

Summary of User ISI Activity including the total number of transactions for each type of ISI activity. HKSCC charges for each type of ISI activity (No charge for authorisation activity) are calculated and displayed as well.

III. IP AFFIRMATION / SYSTEM ACTIVITY

Details of ISI activities invoked by Investor Participants or CCASS, including ISIs that are affirmed, purged, shares on-hold (batch), share released, or unwinded.

IV. ISI COUNTERPARTY LIST MAINTENANCE ACTIVITY

Details of ISI counterparty list maintenance activities invoked by the participant during the business day.

V. DESIGNATED RECEIVING ACCOUNT FOR ISI (WITHOUT AFFIRMATION) MAINTENANCE

Details of designated receiving account for ISI (without affirmation) maintenance activities performed by the participant during the business day.

VI. HOLD / RELEASE ISI ACTIVITY

Details of ISI being put on-hold or released by participant during the business day.

Time available : on each business day from the time when the report download function is available

Frequency : Daily

Section 4.3
Report Description

This key refers to the *ISI Activity Report* sample 4.3.7.

Field Description:

X-Ref	Field Name	Description
(1)	CIPSI02	Report ID for <i>ISI Activity Report</i>
(2)	B11668	Participant ID
(3)	GOODWILL & COMPANY	Participant full name
(4)	RUN DATE	Date of running the report
(5)	RUN TIME	Time of running the report
(6)	DATE	Date of ISI activities
(7)	(variable)	Section heading
(8)	TIME/USER	Time of ISI activity / User ID (an asterisk '*' indicates that the ISI is input within concession period (10 CCASS settlement days) after account opening of the counterparty (investor participant) with instruction type deliver 'D' and payment instruction 'F') "#" indicates that the ISI is effected as an ISI (without affirmation)
(9)	FUNC	Nature of ISI activity : INP = Input ; CHG = Change (B for before image, A for after image); DEL = Delete; AUT = Authorise; SHD = RDP Share on-hold (DI); IHD = DVP Share on-hold
(10)	STM DT/STATUS	Due date for settlement of the ISI / Status of the ISI: PND= pending; UNA = unaffirmed; PFS = pending for settlement ; STM = settlement; blank =Shares on-hold.
(11)	COUNTERPARTY/ STOCK/ISIN STM A/C	Counterparty's participant ID and name / Stock code and stock name / International Securities Identification Number / stock settlement account and name
(12)	INS TYP	Instruction type : D = Deliver ; R = Receive
(12a)	HLD STM	Hold before settlement requirement: Y = Hold ISI from settlement; N = ISI not being held for settlement and could be settled via both settlement run or by input DI. Only applicable to ISI activities such as input, change, delete, authorize, affirm, purge or for ISI with pending for settlement status
(13)	ISI INP NO/STM POS NO	ISI input number / Settlement position number
(14)	QUANTITY/ MONEY VALUE	Number of shares / Money amount involved
(15)	DVP ON-HLD PMT INS/ PURP/DI/ INT REF	DVP On-Hold Req Indicator: Y = put shares on-hold upon settlement; N = no share being put on-hold upon settlement Payment instruction : D = DVP ; F = FOP; R = RDP / Purpose of ISI : I = Investor Intermediary ; L = New Borrowing/Lending; R = Return/Recall; P = Stock Pledging; M = Portfolio Movement ; Blank / DI requirement : Y = settled by DI ; N = settled by CCASS's multiple batch run / Internal Transaction Reference
(16)	CLIENT A/C NO / CLIENT NAME / REMARKS	Client account number (display the client account number input by non-IP participants or counterparty (IP) for ISI (without affirmation) created by IP counterparty/ Name of client for the ISI / Additional information on the ISI

X-Ref	Field Name	Description
(17)	TRANSACTION TYPE	Type of ISI activity (pending input, unaffirmed input, changes, deletion, authorisation, shares on-hold (DI), pending for settlement input, settled input)
(18)	TOTAL NO. OF TRANSACTIONS	Total number of ISI activity in the business day
(19)	CHARGES PER TRANSACTION	Clearing fee for each type of ISI activity
(20)	TOTAL CHARGES	Total clearing fee for each type of ISI activity
(21)	STATUS	Status of ISI (Pending for Settlement, Purged, Shares On-hold (Batch), Shares Released, DVP Shares On-hold (Batch), Unwinded)
(22)	ISI INPUT NO	ISI input number (for Pending ISI, a suffix `P' is placed after it)
(23)	STM DATE / STM A/C	Settlement date of the ISI and stock settlement account
(24)	COUNTERPARTY	Counterparty's participant ID and name
(25)	STOCK/ISIN	Stock code and stock name / International Securities Identification Number
(26)	INS TYP	Instruction type : D = Deliver ; R = Receive
(27)	STM POS NO	Settlement position number
(28)	QUANTITY	Number of shares involved
(29)	MONEY VALUE(HKD)	Money amount involved
(30)	INTNL REF	Internal transaction reference
(31)	TIME	Time of ISI counterparty list maintenance activity
(32)	USER	User ID
(33)	FUNC	Nature of ISI counterparty list maintenance activity: INP = Input; DEL = Delete; AUT = Authorise; CAN = Cancel
(34)	COUNTERPARTY	Counterparty's participant ID and name
(35)	STATUS	Status of the ISI counterparty: PND = Pending; AUT = Authorised
(36)	CCY	Currency of the money value
(37)	MARKET	Market Short Name assigned by HKSCC
(38)	TYPE	Type of ISI Counterparty maintained "W/O Affirm" = counterparty maintained for effecting ISI (without affirmation) "WITH Affirm" = counterparty maintained for effecting ISI (with affirmation)
(39)	A/C	Designated receiving account maintained for receiving shares from ISI (without affirmation) initiated by Investor Participants