

## ISI BATCH INPUT CONTROL REPORT

- Report ID** : CIPEI01
- Report Name** : *ISI Batch Input Control Report*
- Purpose** : The *ISI Batch Input Control Report* lists the processing results of the ISI batch files uploaded. Any errors detected in the input records are given, together with error messages to help identify any irregularities.
- When the ISI file is accepted, lists any errors detected in the detail records together with total number of records and total transfer quantity which are processed, accepted and rejected. When the whole ISI file is rejected, lists any errors detected in both the control and detail records, together with an error message indicating the whole file is rejected.
- Time available** : Shortly after each ISI upload
- Frequency** : after each ISI upload

### Section 4.3

#### Report Description

---

This key refers to the *ISI Batch Input Control Report* sample 4.3.8.

#### Field Description :

X-Ref	Field Name	Description
(1)	CCLEI01	Report ID for <i>ISI Batch Input Control 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)	TRANSMISSION DATE	Date on which the ISI batch file was sent to CCASS
(7)	PROCESSING TIME	Time at which CCASS processed the ISI batch file
(8)	FILE REFERENCE	Internal file reference number maintained by CCASS
(9)	REC TYP	Record type : 0 = Control header; 1 = Detail record; 2 = Control trailer
(10)	PARTICIPANT ID	Participant ID
(11)	INTERNAL TRN REF.	Internal transaction reference
(12)	STM DATE	Due date for settlement
(13)	STOCK/ C/P ISIN	Stock code / Counterparty's participant ID / International Securities Identification Number
(14)	INS TYP	Instruction type : D = Deliver ; R = Receive
(15)	QUANTITY/ MONEY VALUE	Number of shares / Money amount of the ISI
(16)	CLIENT A/C NO / CLIENT NAME	Client account number / Name of client
(17)	PMT INS	Payment Instruction : D = DVP; F = FOP; R = RDP
(18)	SI PURP	Purpose of ISI : I = Investor-Intermediary ; L = New Borrowing/Lending ; R = Return/Recall; P = Stock Pledging ; M = Portfolio Movement ; Blank
(19)	DI REQ	DI requirement : Y = settled by DI ; N = settled by CCASS's multiple batch run
(20)	DVP ON-HOLD	DVP on-hold requirement: Y = put shares on-hold upon settlement; N= no share being put on-hold upon settlement
(20a)	HLD STM	Hold before settlement requirement: Y = Hold ISI from settlement ; N = ISI not being held for settlement and could be settled via Batch Settlement run or by input DI
(21)	REMARKS/ CONTROL TOTAL	Additional information on the ISI/ Control total : sum of settlement date, stock code, quantity and money value
(22)	ERROR MESSAGES	Error code and error messages for the ISI

X-Ref	Field Name	Description
(23)	FILE NAME	Name of the file, i.e. ISI BATCH INPUT
(24)	NO OF DETAIL RECORD	Total number of ISI records
(25)	STOCK CODE SUM	Sum of stock code
(26)	STOCK QTY SUM	Sum of quantity
(27)	STOCK AMT SUM	Sum of money value
(28)	CONTROL TOTAL SUM	Sum of control total
(29)	TOTAL NO OF RECORDS	Total number of ISI records (processed, accepted, rejected)
(30)	TOTAL QUANTITY	Total number of shares of ISIs (processed, accepted, rejected)
(31)	TOTAL MONEY VALUE	Total amount of money of ISIs (processed, accepted, rejected)
(32)	STM A/C	Stock settlement account
(33)	RECORD TYPE	Record type : 0 = Control header; 1 = Detail record; 2 = Control trailer