

SI ACTIVITY REPORT

Report ID	:	CCLSI02
Report Name	:	<i>SI Activity Report</i>
Purpose	:	The <i>SI Activity Report</i> lists SI input activities (including input, change, delete, authorise and revoke instructions). It shows details of participant SIs that are matched, matched on-hold, revoked, purged or which shares are put on-hold/released by CCASS during the day. The report has seven sections: User Activity, Summary of User Activity, System Activity, SI Conversion Activity, SI Tolerance Limit Maintenance Activity, Hide Unmatched SI Content Counterparty List Maintenance Activity and Change Hold Matched SI Activity. SI activity of Hong Kong market shares, Shanghai market shares and Shenzhen market shares are shown in separate reports.
Section Content	:	<p><u>I. USER ACTIVITY</u></p> <p>Details of SI activities invoked by the participant during the business day.</p> <p><u>II. SUMMARY OF USER ACTIVITY</u></p> <p>Summary of User SI Activity including the total number of transactions for each type of SI activity. HKSCC charges for each type of SI activity (No charge for authorisation, putting shares on-hold by inputting DI and releasing SI link on-hold shares activities) are calculated and displayed as well.</p> <p><u>III. SYSTEM ACTIVITY</u></p> <p>Details of SI activities invoked by CCASS, including SIs that are matched, matched on-hold, revoked, purged, and which shares are put on-hold/released.</p> <p><u>IV. SI CONVERSION ACTIVITY</u></p> <p>List of SI conversion activity including SI details before and after the conversion.</p> <p><u>V. SI TOLERANCE LIMIT MAINTENANCE ACTIVITY</u></p> <p>Details of SI tolerance limit maintenance activities performed by the participant during the business day.</p> <p><u>VI. HIDE UNMATCHED SI CONTENT COUNTERPARTY LIST MAINTENANCE ACTIVITY</u></p> <p>Details of hide unmatched SI content counterparty list maintenance activities performed by the participant during the business day.</p> <p><u>VII. CHANGE HOLD MATCHED SI ACTIVITY</u></p> <p>Details of change hold matched SI activities performed by the participant during the business day.</p>
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 *SI Activity Report 4.3.4*

Field Description :

X-Ref	Field Name	Description
(1)	CCLSI02	Report ID for <i>SI Activity Report</i>
(2)	B03456	Participant ID
(3)	CCASS COMPANY	Participant full name
(4)	RUN DATE	Date of running the report
(5)	RUN TIME	Time of running the report
(6)	DATE	Date of SI activities
(7)	(variable)	Section heading
(8)	TIME/USER	Time of SI activity / User ID
(9)	FUNC	Nature of SI activity : INP = Input ; CHG = Change ; DEL = Delete; AUT = Authorise; RVK = Revoke; SHD = Shares on-hold by DI
(10)	STM DT	Due date for settlement of the SI
(11)	COUNTERPARTY/STOCK/ STM A/C	Counterparty's participant ID and name / Stock code and stock name / stock settlement account and name
(12)	INS TYP	Instruction type : D = Deliver ; R = Receive
(13)	SI INP NO/STM POS NO	SI input number / Settlement position number
(14)	QUANTITY/ MONEY VALUE	Number of shares / Money amount involved
(15)	PI/PURP/DI/ CCY/HOLD/ INT REF	Payment instruction : D = DVP ; F = FOP; R = RDP / Purpose of SI : C = Broker-Custodian ; 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 / Settlement Currency of the Money Value / Hold Matched SI: Y = Hold matched SI from settlement, N = To be included for settlement in multiple batch processing after successful matching / Internal Transaction Reference
(15a)	PMT INS/ PURP/DI/ SCCY/INT REF	Payment instruction : D = DVP ; F = FOP; R = RDP / Purpose of SI : C = Broker-Custodian ; 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 / Settlement Currency of the Money Value / Internal Transaction Reference
(15b)	HOLD	Hold matched SI: Y = Hold matched SI from settlement, N = To be included for settlement in multiple batch processing after successful matching.
(16)	CLIENT A/C NO / CLIENT NAME / PROCESSING REF / REMARKS	Client account number / Name of client for the SI / Processing reference / Additional information on the SI
(17)	TRANSACTION TYPE	Type of SI activity (pending input, unmatched input, change for pending/unmatched, change for matched/matched on-hold, authorise, delete, revoke, shares on-hold by DI, release of SI link on-hold shares)
(18)	TOTAL NO. OF TRANSACTIONS	Total number of SI activity in the business day

X-Ref	Field Name	Description
(19)	CHARGES PER TRANSACTION (HKD)	Clearing fee for each type of SI activity
(20)	TOTAL CHARGES (HKD)	Total clearing fee for each type of SI activity
(21)	STATUS	Status of SI (Matched/Revoked/Purged/shares on-hold by batch run /shares released/ matched on-hold)
(22)	SI INPUT NO	SI input number (for Pending SI, a suffix `P' is placed after it)
(23)	STM DATE / STM A/C	Settlement date of the SI and stock settlement account
(24)	COUNTERPARTY	Counterparty's participant ID and name
(25)	STOCK	Stock code and stock name
(26)	STM POS NO	Settlement position number
(27)	QUANTITY	Number of shares involved
(28)	MONEY VALUE	Money amount involved
(29)	SCCY/ HOLD / INTNL REF	Settlement Currency of the Money Value / Hold Matched SI: Y = Hold matched SI for settlement, N = To be included for settlement in multiple batch processing after successful matching / Internal transaction reference
(30)	STM DT / STATUS	Due date for settlement of the SI and Status of SI : PND = Pending; UNM = Unmatched for Input/Change/Delete activities; MAT = Matched for Change activities; MTH = Matched on-hold for Change activities; STD = Settled for releasing SI link on-hold shares activities; Blank for Authorise/Revoke/shares on-hold activities
(31)	STATUS	Status of SI: Before / after conversion (change)
(32)	SI LINK REF	SI Linkage Reference assigned to the linked SI
(33)	ACTUAL STM AMOUNT	Blank = Purged pending/unmatched SI or SI matched/matched on-hold with no amount variance for both parties; Non-blank = The actual settlement amount if SI matched with variance for either party
(34)	ACTION	Nature of SI tolerance limit/hide unmatched SI content counterparty list maintenance activity
(35)	CCY	Settlement Currency of the SI tolerance limit
(36)	UPDATED BY	User ID of the person who performed the maintenance activity
(37)	TIME	Time of performing maintenance activity
(38)	TERM ID	Terminal ID at which the maintenance activity was performed
(39)	TOTAL NO OF RECORDS ADDED	Total number of records added
(40)	TOTAL NO OF RECORDS DELETED	Total number of records deleted

Section 4.3
Report Description

X-Ref	Field Name	Description
(41)	TOTAL NO OF RECORDS AUTHORIZED	Total number of records authorized
(42)	TOTAL NO OF RECORDS CANCELLED	Total number of records cancelled
(43)	MARKET	Market Short Name assigned by HKSCC
(44)	ISIN	International Securities Identification Number
(45)	COUNTERPARTY ID	Counterparty ID of Hide Unmatched SI Content Counterparty List maintenance activities
(46)	STATUS	Record status of the Hide Unmatched SI Content Counterparty List maintenance activities
(47)	TIME/ USER/STM DT	Time of Change Hold Matched SI activity / User ID/ Due date for settlement of the SI
(48)	TOTAL NO OF SI CHANGED (ON-LINE)	Total number of SI changed via Change Hold Matched SI function