

STATEMENT OF MONEY LEDGER

Report ID : CSEMA08 / CSEMS08

Report Name : *Statement of Money Ledger*

Purpose : The *Statement of Money Ledger* lists the day's money movements for settlement, marks collected and refunded, entitlements, and billing (calculated daily but billed weekly) etc. The report will be listed by currency. The first report (CSEMA08) is generated after the Evening MSI generation. The second report (CSEMS08) is generated after the Day-end MSI generation.

Time available : CSEMA08: at around 4:30 p.m. (Mondays to Fridays)
CSEMS08: at the beginning of each business day and Saturday from 8:00 a.m.

Frequency : Twice daily

Section 4.3

Report Description

	Field Name	Description
(1)	CSEMA08/CSEMS08	Report ID for Statement of Money Ledger CSEMA08 - after Evening MSI generation CSEMS08 - after Day-end MSI generation
(2)	Participant ID	
(3)	Participant full name	Full name of the participant
(4)	RUN DATE	Date of running the report
(5)	RUN TIME	Time of running the report
(6)	DATE	Date of report details
(7)	POSTING DATE	Date of transaction
(8)	LEDGER TRN NO	Ledger transaction number
(9)	TRN TYPE	Transaction type (Refer to attached table)
(10)	DESCRIPTION	Details of the ledger transaction
(11)	DR AMOUNT	Debit amount to participant's account
(11)	CR AMOUNT	Credit amount from participant's account
(13)	BALANCE	Cumulative balance in each ledger
(14)	(variable)	Name of sub-account ledgers : Settlement A/C Margin & pending marks A/C Overdue position marks A/C Entitlements A/C Billing A/C Miscellaneous A/C
(15)	CURRENCY	Currency of the money ledger
(16)	MARKET DATE	Date of transaction for that particular market Should be same as posting date before introduction of multiple market
(17)	MKT CODE	Market code assigned by HKSCC GLOB - for non-stock related transaction HKMK - for transactions related to stock classified under Hong Kong Market MAMK - for transactions related to stock classified under Shanghai Market SZMK - for transactions related to stock classified under Shenzhen Market

Note : When extended operating hours is introduced in the future, all money ledger transactions processed and generated after current day's Money Settlement Instruction ("MSI") processing, will be displayed under the sub-section, "EXTENDED SESSION".

Meanwhile, all money ledger transactions will be displayed under the sub-section "Normal Section", except for those billing transactions generated after MSI process, i.e. on Mondays to Fridays.

Code	Description	Code	Description
01	Settlement Obligations	51	Billing - Corporate Action Charge
02	CCMS Pend Marks SH	52	Billing - Depository Miscellaneous
05	CCMS O/D Marks SH	53	Billing - Withdrawal (Non-elig) Charge
08	Cash Dividend/Payment on Shareholding	54	Billing - Withdrawal (Delisted) Charge
09	Entitlements Claims Against Participant	55	Billing - Prepayment / Collateral
10	Corp Event Payment/Refund	56	Billing - Refund of Late Payment
11	Stamp Duty - Covered Warrant Sub	58	Billing – Statement Printing Fee for SSA with Statement Service
12	Stamp Duty - Takeover (Cond)	61	Direct Debit Instruction
13	Stamp Duty - Takeover (Uncond)	62	Direct Credit Instruction
14	Stamp Duty - Takeover (Comp)	63	EPI Instruction for Billing
15	Sub Money - Open Offer	64	Trans Levy - Open Offer
16	Sub Money - Excess Open Offer	65	Trans Levy - Excess Open Offer
17	Sub Money - Right Sub	66	Brokerage Fee - Open Offer
18	Sub Money - Excess Right Sub	67	Brokerage Fee - Excess Open Offer
19	Sub Money - Reg Warrant Sub	70	Buy-in Cost
20	Sub Money - Covered Warrant Sub	71	DDI Reversal Entry
21	Billing - SEHK Trades Stock Settlement	72	DCI Reversal Entry
22	Billing - SI Clearing (Input)	73	Interests on DR Balances
23	Billing - SI Clearing (Modification)	74	Manual Adjustment (EMSI Generation)
24	Billing - SI Clearing (Revoke)	75	Refund of Late Payment
25	Billing - SI Stock Settlement	76	Prepayment to Release Securities-on-hold
26	Billing - DDI/DCI Generation	77	Manual Adjustment
27	Billing - EPI Generation	81	Collection of G. Fund Contribution
28	Billing - Service Bureau	82	Refund of G. Fund Contribution
29	Billing - Report Printing	83	Exercise Fee - Covered Warrant Sub
30	Billing - Report Re-reprint	84	Cancel Cert Fee - Covered Warrant Sub
31	Billing - Miscellaneous	85	Bank Charges
32	Billing - SEHK Cross Trades Stock Stm	86	Scrip Fee for New Cert
33	Billing - Options Trade Stock Settlement	88	Evening DDI Generation
34	TSF Settlement Fee	89	Evening DCI Generation
40	Unclaim Custody Fee	90	Special DCI Reversal Entry
41	Billing - Deposit Charge	91	Transfer From/To Settlement Account
42	Billing - Withdrawal Charge	92	Transfer From/To Margin & Pend Marks A/C
44	Billing - Book Close Scrip Fee	93	Transfer From/To Overdue Position MK A/C
45	Repealed	94	Transfer From/To Entitlements Account
46	Billing - Corporate Action Scrip Fee	95	Transfer From/To Miscellaneous Account
47	Billing - T/D Stamp Duty		
48	Billing - Custody Fee		
49	Billing - Dividend Collection Fee		
50	Billing - Claims for Unclaims		

Table 1 - Transaction codes and descriptions

Section 4.3
Report Description

Cod e	Description	Cod e	Description
AA	Billing – FCY Stm Service Recv	B4	Bond Conversion Subscription Money
AB	Billing – FCY Stm Service Paid	B5	Bond Exercise Fee
AC	Billing - USD EPI generation	B6	Disbursement Charge (Corporate Event for Debt Securities)
AD	Billing - USD DDI/DCI generation	CD	CCMS DEPOSIT INSTR (for cash collateral collection)
AE	Billing - USD CPI Generation	CE	CCMS-TO-CCASS TRANSFER / CCMS STANDING WTDL (for cash collateral refund)
AF	Billing - CNY EPI Generation	CF	CCMS DEPOSIT INSTR (for Settlement)
AG	CNY Billing DDI/DCI Generation	CH	CCMS DEPOSIT INSTR (for Nominee)
AH	Billing – CNY CPI Generation	CJ	CCMS DEPOSIT INSTR (for Depository)
AI	Billing – CNY Intra-Day Pmt Gen	CL	CCMS MARGIN SH FOR IM
BA	Billing - Debt Securities SI Clearing	CM	CCMS MARGIN SH
BB	Billing - SEHK Debt Trade Stock Settlement	CN	Refund of Margin
BC	Billing - SEHK Debt Cross Trade Stock Settlement	CO	SCC DEPOSIT INSTR
BD	Billing - Debt Securities SI Settlement	CP	Transfer of Specific Cash Collateral
BG	Billing - Withdrawal Fee (Bearer Bond)	CQ	FREE SCC REFUND INSTR
BH	Billing - Withdrawal Fee (Non-eligible Bearer Bond)	C0	CPI – Entitlement Claims
BI	Billing - Withdrawal Fee (Delisted Bearer Bond)	C1	CPI – Claims (Periodic Interest Payment)
BJ	Billing - Disbursement Charge (Bearer Bond Withdrawal)	C2	CPI – Entitlement Claims (Principal Payment)
BK	Billing-Custody (Bearer Bd/EFN&The Likes)	C3	CPI – Claims (Accrued Interest Payment)
BL	Billing - Bond Conversion Fee	DA	CPI Refund – Sub Money (Open Offer)
BM	Billing - Debt Securities Redemption Fee	DB	CPI Refund – Sub Money (Excess Open Offer)
BN	Interest Collection Fee	DD	CPI Refund – Sub Money (Excess Right Sub)
BO	Billing - Tender Instruction Input Fee	DE	CPI – Periodic Interest Payment (Debt Securities)
BP	Billing – Refund Tender Instruction Input Fee	DF	CPI – Principal Payment (Debt Securities)
BQ	Billing - CMU Stock Settlement	DG	CPI – Accrued Interest Payment (Debt Securities)
BR	Billing - CPI Generation	DH	CPI Refund – Trans Levy (Open Offer)
BS	Billing - CMU TI Clearing	DI	CPI Refund – Trans Levy (Excess Open Offer)
BU	Settlement Obligations – Accrued Interest	DJ	CPI Refund – Brokerage Fee (Open Offer)
BV	Settlement Obligation (Accrued Interest Adjustment)	DK	CPI Refund – Brokerage Fee (Excess Open Offer)

Section 4.3
Report Description

BX	Periodic Interest Payment	DL	CPI – Cash Dividend/Payment
BY	Principal Payment – Debt Securities	DM	IPI – CNS Money Obligations
BZ	Accrued Interest Payment – Debt Securities	DO	CPI Refund - Trading Fee (Open Offer)
B1	Entitlement Claims (Periodic Interest Payment)	DP	CPI Refund – T/D Stamp Duty (Covered Warrant Sub)

Table 1 - Transaction codes and descriptions

Section 4.3
Report Description

Code	Description	Code	Description
B2	Entitlement Claims (Principal Payment)	DQ	CPI Refund – Transfer Fee (Covered Warrant Sub)
B3	Entitlement Claims (Accrued Interest Payment)	DR	CPI Refund - Trading Fee (Excess Open Offer)
DS	CPI – Sub Money (Covered Warrant Sub)	F9	TSF FX Payment (T+3)
DT	CPI – TD Stamp Duty (Covered Warrant Sub)	FA	TSF FX Funding Cost
DU	CPI – Exercise Fee (Covered Warrant Sub)	FB	Exception Handling Fee due to failed payment
DV	CPI – Cancel Cert Fee (Covered Warrant Sub)	FC	Exception Handling Fee due to failed CNS settlement
DW	CPI – Transfer Fee (Covered Warrant Sub)	FD	Exception Handling Fee due to earmark failure
DX	Billing – HKD IPI Generation	FE	Billing – Portfolio Fee
DY	Billing – USD IPI	GE	Billing - EIPO Input Fee
DZ	IPI – Nominees / Prepayment	HA	Tender Money
D0	CPI – Miscellaneous Fee (Covered Warrant)	HB	Brokerage Fee – Tender
D1	Miscellaneous Fee (Covered Warrant)	HC	Trans Levy - Tender
D2	CPI – Stamp Duty (Covered Warrant)	HD	Brokerage–Successful Tender/xxxxx-yyyyy1
D3	CPI – Dividend Collection Fee	HE	Trading Fee - Tender
D4	CPI – Bank Charges	IA	Billing - ISI Clearing (Input)
D5	CPI – Interest Collection Fee	IB	Billing - ISI Clearing (Modification)
D6	CPI – Disbursement Charge (Debt Securities)	KA	Billing – STI Clearing Fee
D7	CPI – Stamp Duty – Takeover (Cond)	P1	Option Trades Settlement Amount Transferred from SEOCH
D8	CPI – Stamp Duty – Takeover (Uncond)	P2	Option Trades Pending Marks Transferred from SEOCH
D9	CPI – Stamp Duty – Takeover (Comp)	Q1	NASDAQ Stock Deposit Fee (Fix)
F1	Default Fee on Overdue Short Position	Q2	NASDAQ Stock Deposit Fee (Var)
F2	CPI/TSF FX Transaction	Q3	NASDAQ Stock Withdrawal Fee (Fix)
F3	TSF FX Transaction	Q4	NASDAQ Stock Withdrawal Fee (Var)
F4	CPI/Stock Release Request FX Transaction	Q5	NASDAQ Stock X-Border Delivery Fee (Fix)
F5	Stock Release Request FX	Q6	NASDAQ Stock X-Border Delivery FEE (Var)

1 xxxxx represents Firm ID and yyyyy represents Broker Number

	Transaction		
F6	TSF FX Payment	Q7	NASDAQ Stock X-Border Receive Fee (Fix)

Table 1 - Transaction codes and descriptions

Code	Description	Code	Description
Q8	NASDAQ Stock X-Border Receive Fee (Var)	RF	CPI / Sub Money - Covered Warrant
Q9	NASDAQ Stock Maintenance Fee	RG	CPI / Bond Conversion Sub Money
QE	NASDAQ Stock – Open Offer Sub (Fix)	RH	CPI / Transaction Levy - Open Offer
QF	NASDAQ Stock - Open Offer Sub (Var)	RI	CPI / Transaction Levy – Ex Open Offer
QG	NASDAQ Stock - EX Open Offer Sub (Fix)	RJ	CPI / Brokerage – Open Offer
QH	NASDAQ Stock - EX Open Offer Sub (Var)	RK	CPI / Brokerage – Ex Open Offer
QI	NASDAQ Stock - Reg Warrant Sub (Fix)	RL	CPI / Exercise Fee - CW
QJ	NASDAQ Stock - Reg Warrant Sub (Var)	RM	CPI / Cancel Cert Fee – CW
QK	NASDAQ Stock - Covered Warrant Sub (Fix)	RN	CPI / Bond Exercise Fee
QL	NASDAQ Stock - Covered Warrant Sub (Var)	RO	CPI / Trade Fee – Open Offer
QM	NASDAQ Stock - Conditional Takeover (Fix)	RP	CPI / TD Stamp Duty – CW
QN	NASDAQ Stock - Conditional Takeover (Var)	RQ	CPI / Transfer Fee for CW
QO	NASDAQ Stock - Uncon Takeover (Fix)	RR	CPI / Trade Fee – Ex Open Offer
QP	NASDAQ Stock - Uncon Takeover (Var)	RX	CPI / Buy-in Cost
QZ	NASDAQ Stock Miscellaneous Fee	RY	CPI / Allocated shares pre-payment
R1	CPI Paid for RW, BW	T1	Trading Fee - Open Offer
R2	CPI Paid for OO, EO, RS, ER	T2	Trading Fee - Excess Open Offer
R3	CPI Paid for CW	TR	Transfer Fee – Multi-counter Transfer Instruction
R4	CPI Paid for BV	U1	CCASS SDNet Monthly Rental Charges
R5	CPI (FCY) Paid for Subscription	U2	CCASS SDNet External Relocation
R6	CPI (FCY) Paid for BV	U3	CCASS SDNet Internal Relocation
RA	CPI / Sub Money - Open Offer	U4	CCASS SDNet Reconfiguration
RB	CPI / Sub Money - Ex Open Offer	U5	CCASS SDNet Upgrade/Downgrade
RC	CPI / Sub Money - Rights Sub	U6	CCASS SDNet Misc Charges
RD	CPI / Sub Money - Ex Rights Sub	X1	A-SHARE CPI PMT GENERATION NO,

Section 4.3
Report Description

			X999999
RE	CPI / Sub Money - Reg Warrant Sub	X2	A-SHARE STAMP DUTY

Table 1 - Transaction codes and descriptions

Code	Description	Code	Description
X3	A-SHARE HANDLING FEE	XN	ADDITIONAL COLL IN A-SHARE MKT – Collection of additional collateral in A-share market
X4	A-SHARE SECURITIES MANAGEMENT FEE	XO	INTEREST ON ADD COLL IN A-SHARE MKT – Interest on additional collateral in A-share market
X5	A-SHARE TRANSFER FEE	XP	SZ MSTD DEPOSIT INSTR - Collection of Mainland Settlement Deposit (Shenzhen)
X6	CASH PREPMT TO RELEASE ON-HOLD A-SHARE	XQ	SZ MSTD REFUND INSTR – Refund of Mainland Settlement Deposit (Shenzhen)
X7	A-SHARE TRANSFER FEE	XR	SZ INTEREST ON MSTD – Quarterly interest on Mainland Settlement Deposit (Shenzhen)
X8	A-SHARE HANDLING FEE	XS	SZ MSCD DEPOSIT INSTR – Collection of Mainland Security Deposit (Shenzhen)
XA	SH MSTD DEPOSIT INSTR - Collection of Mainland Settlement Deposit (Shanghai)	XT	SZ MSCD REFUND INSTR– Refund of Mainland Security Deposit (Shenzhen)
XB	SH MSTD REFUND INSTR – Refund of Mainland Settlement Deposit (Shanghai)	XU	SZ INTEREST ON MSCD – Quarterly interest on Mainland Security Deposit (Shenzhen)
XC	SH INTEREST ON MSTD – Quarterly interest on Mainland Settlement Deposit (Shanghai)		
XD	SH MSCD DEPOSIT INSTR – Collection of Mainland Security Deposit (Shanghai)		
XE	SH MSCD REFUND INSTR– Refund of Mainland Security Deposit (Shanghai)		
XF	SH INTEREST ON MSCD – Quarterly interest on Mainland Security Deposit (Shanghai)		
XI	MCM DEPOSIT INSTR – Collection of Marks, Collateral and Margin		
XJ	MCM REFUND INSTR – Refund of Marks, Collateral and Margin		

XK	COLLATERAL (SETTLEMENT) FOR A-SHARE		
XL	COLLATERAL (NOMINEE) FOR A-SHARE		
XM	COLLATERAL (DEPOSITORY) FOR A-SHARE		

Table 1 - Transaction codes and descriptions