

STATEMENT OF STOCK MOVEMENT (BY ACCOUNT) REPORT

Report ID	:	CSESM02
Report Name	:	<i>Statement of Stock Movement (By Account) Report</i>
Purpose	:	<p>The <i>Statement of Stock Movement (By Account) Report</i> lists the day's account movements by account (clearing and other segregated accounts), then by stock, arising from settlement of CNS positions, SI and IT, deposits, withdrawals, account transfer (ATI, STI and Mass ATI/STI), entitlements, benefit claims/unclaims, stock splitting / merging, etc.</p> <p>Only stocks with movement during the day will be shown. The opening and closing balances (includes those accounts which have no movement during the day) and all inward / outward movements for each stock in each account are shown. This provides an audit trail for all movements within the stock accounts.</p> <p>In general, account movements are listed by stocks in chronological order. Accounts and stocks with no movement activities are not included in the report.</p> <p>Stock movement of Hong Kong market (HKMK), Shanghai market (MAMK) and Shenzhen market (SZMK) are shown in separate reports.</p>
Time available	:	On each business day from the time when the report download function is available
Frequency	:	Daily

Section 4.3

Report / Data File Description

This key refers to the sample of *Statement of Stock Movement (By Account) Report*.

Field Description :

X-Ref	Field Name	Description
(1)	CSESM02	Report ID for <i>Statement of Stock Movement (By Account) 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 to which the report details refer
(7)	STK A/C	Stock account number and name
(8)	STOCK	Stock code and name
(9)	MVE TYP	Movement type : AT - account transfer instruction (ATI) BL - Stock borrowing CB - benefit claims CC - consolidation CE - entitlements CH - shareholding removal CR - stock code conversion CS - splitting CU - benefit unclaims NE - new issue from EIPO (including bonus issue, if any) and Tendering NI - new issue from Yellow Form allotment, also applicable to bonus issue, if any SN - continuous net settlement (CNS) position settlement SO - investor settlement instruction (ISI (without affirmation)) position settlement SP - investor settlement instruction (ISI (with affirmation)) position settlement SS - settlement instruction (SI) position settlement ST - isolated trade settlement SU - investor settlement instruction (ISI) position unwind RD - redemption TF - stock release request, TSF earmarking / de-earmarking process TO - stock segregated account transfer instruction (STI (without affirmation)) TR - multi-counter transfer instruction TW - stock segregated account transfer instruction (STI (with affirmation)) WD - counter deposit WJ - counter adjustment WT - inter-depository transfer instructions WU - underlying stock settlement of ETF WW - counter withdrawal An asterisk (*) will be printed next to movement type CC / CR / CS, if the movement is due to stock conversion without parallel trading
(10)	DATE	Date of stock movement
(11)	TIME	Time of stock movement

X-Ref	Field Name	Description
(12)	REFERENCE	Reference number-settlement position number displayed for settlement related movements
(13)	USER ID	ID number of the user who performed the stock movement, blank if the movement is performed by the system
(14)	QUANTITY IN	Number of shares moving into the stock account
(15)	QUANTITY OUT	Number of shares moving out of the stock account
(16)	REMARKS	Additional information for the stock movement activity is displayed. e.g.(1) for settlement purposes (i.e. SI, ISI, IT, CNS), the counterparty's ID and name with DI number (if applicable) (2) for new issues from eIPO : "New Issue – EIPO"; also for bonus issue (from EIPO / Yellow Form), the application instruction number with the Beneficial Owner info (the first 20 characters only) (3) for new issues from tendering : "Tendering"
(17)	STOCK	Stock code
(18)	OPENING BAL	Opening balance for stock in each stock account
(19)	CLOSING BAL	Closing balance for stock in each stock account
(20)	MARKET	Market short name assigned by HKSCC
(21)	ISIN	International Securities Identification Number