

## STOCK BORROWING/LENDING POSITION STATUS REPORT

**Report ID** : CBLBP01

**Report Name** : *Stock Borrowing/Lending Position Status Report*

**Purpose** : The *Stock Borrowing/Lending Position Status Report* lists all stock borrowing/lending positions by different status as at end of the business day. This report has seven sections: Active Lending Position, Recalled Lending Position, Fully Returned Lending Position, Frozen Lending Position, Cancelled Lending Position, Compensated Lending Position and Converted Lending Position. When there is no stock borrowing/lending position in a particular status as at end of the business day, the relevant report section (including the section heading) is suppressed from printing.

**Section Content:**

I. LENDING POSITION - ACTIVE

Details of lending positions which remain 'ACTIVE' as at end of the business day.

II. LENDING POSITION - RECALLED

Details of lending positions that are recalled and remain 'RECALLED' as at end of the business day.

III. LENDING POSITION – FULLY RETURNED

Details of lending positions that are fully returned during the day.

IV. LENDING POSITION – FROZEN

Details of lending positions which remain 'FROZEN' as at end of the business day.

V. LENDING POSITION – CANCELLED

Details of lending positions that are cancelled by HKC during the day.

VI. LENDING POSITION – COMPENSATED

Details of lending positions that are automatically settled by cash in lieu of stock return by CCASS during the day.

VII. LENDING POSITION – CONVERSION SECTION

Details of lending positions that are converted by CCASS during the day due to corporation action activities.

**Time available** : At the beginning of each business day and Saturday from 9:00 a.m.

**Frequency** : Daily

## Section 4.3

### Report Description

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This key refers to the *Stock Borrowing/Lending Position Status Report* sample 4.3.26.

#### Field Description :

X-Ref	Field Name	Description
(1)	CBLBP01	Report ID for <i>Stock Borrowing/Lending Position Status Report</i>
(2)	B11668	Participant ID
(3)	GOODWILL & COMPANY	Participant full name
(4)	RUN DATE	Date the report is printed
(5)	RUN TIME	Time the report is printed
(6)	DATE	Date of which the report details refer
(7)	(variable)	Section heading
(8)	STOCK	Stock code and stock name
(9)	LOAN START DATE	Date the loan is started
(10)	LOAN TYPE	Loan type: O = Open Loan; T = Term Loan
(11)	LP NO/BP NO	Stock Lending/Borrowing Position number - Prefix 'LP' indicates that it is a lending position - Prefix 'BP' indicated that it is a borrowing position
(12)	ORGNL QUANTITY	The original quantity of the stock borrowing/lending position
(13)	O/S QUANTITY	The outstanding quantity of the stock borrowing/lending position
(14)	MARKET VALUE	Market value (in trading currency of the stock) of the outstanding/returned/cancelled quantity of the stock borrowing/lending position
(15)	FEE POSTED TODAY (HKD)	The stock borrowing/lending fee (in HKD) of the position which is to be paid/collected in cash by crediting/debiting the miscellaneous money ledger account in the day
(16)	MATURITY DATE	Maturity date of the stock borrowing/lending position with loan type 'T' (i.e. Term Loan)
(17)	FEE MTD (HKD)	Total stock borrowing/lending fee (in HKD) of the position which is accumulated for the calendar month
(18)	CSH CIMPENS IND	Cash compensation indicator: Y = Cash compensation elected if there is no stock return; N = Cash compensation not elected if there is no stock return
(19)	TTL FEE ACCUM (HKD)	Total accumulated stock borrowing/lending fee (in HKD) of the position which is paid/collected from the loan start date to the current day
(20)	TOTAL NO. OF RECORDS	Indicates the total number of stock borrowing/lending position records (active, recalled, fully returned, frozen, cancelled, compensated, converted)
(21)	RECALL DATE	Date the position is recalled
(22)	EXPECTED RETURN DATE	The expected return date for the recalled position
(23)	RCV A/C	Stock receiving account

X-Ref	Field Name	Description
(24)	ELECT CSH COMPENS DATE	Date cash compensated is elected. If cash compensation is not elected, it will be blank
(25)	ELECTED BY HKC/PART	The cash compensation is elected by: HKC = Hongkong Clearing; PART = the participant (as the lender) If cash compensation is not elected, it will be blank
(26)	LR REMARKS	Additional information on the loan recall request
(27)	EXPECTED CASH COMPENSATED DATE	The expected date of the cash compensation if there is no stock return. If cash compensation is not elected, it will be blank
(28)	RECALLED BY HKC/PART	The recall request is initiated by: HKC = Hongkong Clearing; PART = the participant (as the lender)
(29)	RETURNED QUANTITY	The number of shares returned during the day
(30)	FROZEN DATE	Date the position is frozen
(31)	CANCELLED QTY	The number of shares cancelled in the day
(32)	REASON CODE	Reason code for the cancellation: C = cash compensated manually; A = corporate action activity; O = Others
(33)	CSH COMP QTY	The number of shares which are settled by cash in lieu of stock return in the day
(34)	BEFORE CONV O/S QUANTITY	The outstanding quantity of the stock borrowing/lending position before the conversion
(35)	AFTER CONV O/S QUANTITY	The outstanding quantity of the stock borrowing/lending position after the conversion
(36)	LP STATUS/BP STATUS	Status of the stock lending/borrowing position: A = Active; R = Recalled; F = Frozen
(37)	ORIGINAL STOCK	Stock code, name and ISIN from which it is converted in the Corporate Action process
(38)	NEW STOCK	Stock code, name and ISIN to which it is converted in the Corporate Action process
(39)	CCY	Trading currency of the stock of the stock borrowing/lending position
(40)	ORIGINAL CURRENCY	The trading currency of the original stock from which it is converted in the Corporate Action process
(41)	NEW CURRENCY	The trading currency of the stock to which it is converted in the Corporate Action process
(42)	MARKET	Market short name assigned by HKSCC
(43)	ISIN	International Securities Identification Number