

## UNMATCHED SI REPORT

**Report ID** : CCLUS01

**Report Name** : *Unmatched SI Report*

**Purpose** : The *Unmatched SI Report* lists the details and reasons of the unmatched SIs on current Business Day as of the completion of each SI matching run. Follow-up actions for unmatched SIs can be made, if necessary.

Counterparty's Participant ID and Stock Code are used as the selection basis of identifying possible matching SIs. Counterparty's SI with less than or equal to 3 unmatched fields may be selected to become the most possible matching SI and paired up with the Participant's own SI.

Unmatched SI Report is different from the on-line enquiry function of "Enquire Unmatched SI Reason" (LSUE). This function would only show unmatched SI with reason codes #1 to #8 and A while the Unmatched SI Report would show the unmatched SI of all the reason codes.

*Where a Participant has specifically elected not to disclose its input data regarding an unmatched SI to the counterparty Participant via the "Hide Unmatched SI Content Counterparty List" function, only the SI Input Number and Participant ID/name of the Participant together with the unmatched reasons would be shown in the "Unmatched SI Report" of the counterparty Participant and the other details of the unmatched SIs will not be shown.*

This report has three sections: Possible Matching SI (3 or below unmatched fields), SI with Unmatched Reason (8) and SI with Unmatched SI Reason (9). Unmatched SI of Hong Kong market shares (HKMK), Shanghai market shares (MAMK) and Shenzhen market shares (SZMK) are shown in separate reports.

**Section Content** : I. POSSIBLE MATCHING SI (3 or below unmatched fields)

Details of the most possible matching SIs marked as pairs as of the end of specific matching run. The associated unmatched reasons for each pair of SI will also be highlighted by the respective unmatched reason codes "1" to "7" and "A".

### II. SI WITH UNMATCHED REASON (8)

Details of unmatched SIs for which no possible matching SI is found as of the end of the specific matching run. SIs that are input by Counterparty but not by Participant or vice versa are also shown in this section.

### III. SI WITH UNMATCHED REASON (9)

Details of possible matching SIs which are unable to be marked as pairs at the end of the specific matching run, due to the potential matching SIs have already paired up with other possible matching SIs as displayed in Section 1.

**Time available** : For HKMK:  
Shortly after the completion of each SI matching run, will be available at around 9:45 a.m., 10:30 am, 12:00 noon, 2:00 p.m., 3:00 p.m., 3:30 p.m., 4:15 p.m., 5:30 p.m. and 6:30 p.m.

### Section 4.3

#### Report Description

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For MAMK and SZMK:

Shortly after the completion of each SI matching run for A-shares SI, will be available at around 12:00 noon, 2:00 p.m., 3:15 p.m., 5:00 p.m., 5:15 p.m., 5:45 p.m., 6:30 p.m., 7:15 p.m. and 8:00 p.m.

**Frequency** :

For HKMK:

Nine times daily (Monday to Friday, except public holiday)

For MAMK and SZMK:

Nine times daily (Monday to Friday, except public holiday)

**Field Description :**

X-Ref	Field Name	Description
(1)	CCLUS01	Report ID for <i>Unmatched SI 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 to which the report details refer
(7)	(variable)	Section heading
(8)	INS TYPE/ STM DATE	Instruction type : D = Deliver ; R = Receive Due date for settlement with counterparty
(9)	PART ID/ NAME SI INPUT NO	In Section (A): Participant ID and name of counterparty / participant and SI Input Number of both parties In Section (B) & (C): Counterparty's participant ID / name and its SI input number
(10)	STOCK CODE/ ISIN	Stock code and stock name/ International Securities Identification Number
(11)	QUANTITY/ MONEY VALUE	Number of shares involved / Money amount for the SI
(12)	PMT INS/ SCCY/PUR	Payment Instruction : D = DVP ; F = FOP; R = RDP / Settlement Currency / Purpose of SI : C = Broker-Custodian ; L = New Borrowing/Lending ; R = Return / Recall; P = Stock Pledging ; M = Portfolio Movement ; Blank
(13)	CLIENT A/C NO/ CLIENT NAME/ PROCESSING REF	Client account number / Name of client Processing reference
(14)	INTERNAL TXN REF	Internal Transaction Reference
(15)	UNMATCHED REASON CODE	Unmatched Reason code: 1 = Settlement Date Unmatch; 2 = Client A/C No. Unmatch; 3 = Stock Code/ISIN Unmatch; 4 = Instruction Type Unmatch; 5 = Payment Instruction Unmatch; 6 = Quantity Unmatch; 7 = Money Value Unmatch; 8 = No possible matching SI found; 9 = Possible Matching SI but not earmarked as pairs; A = Settlement Currency Unmatch;
(16)	MARKET	Market short name assigned by HKSCC