

ISI STATUS REPORT

Report ID	:	CIPSI01
Report Name	:	<i>ISI Status Report</i>
Purpose	:	The <i>ISI Status Report</i> lists pending ISIs which remain unauthorised, ISIs which remain unaffirmed or yet to authorised by the Investor Participant counterparty at the end of the business day and ISIs that are affirmed or input but not yet due for settlement on the coming settlement day. Follow-up actions for pending and unaffirmed ISIs can be made if necessary. This report has four sections: Pending ISI, Unaffirmed / Pending for Authorisation ISI, Pending for Settlement ISI and Payment Validated ISI.
Section Content	:	<p><u>I. PENDING ISI</u></p> <p>Details of pending ISIs which remain unauthorised as of the end of the business day.</p> <p><u>II. UNAFFIRMED / PENDING FOR AUTHORIZATION ISI</u></p> <p>Details of ISIs which remain unaffirmed or pending for authorization as of the end of the business day.</p> <p><u>III.PENDING SETTLEMENT ISI</u></p> <p>Details of ISIs that are affirmed for ISI (with affirmation) or input for ISI(without affirmation) but are not yet due for settlement on the coming settlement day.</p> <p><u>IV.PAYMENT VALIDATED ISI</u></p> <p>Details of ISIs to be settled on a RDP basis which CHATs payments were validated and accepted by CCASS while confirmation of money settlement was not received from the Clearing House of HKAB.</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 *ISI Status Report* sample 4.3.6.

Field Description :

X-Ref	Field Name	Description
(1)	CIPSI01	Report ID for <i>ISI Status 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)	(variable)	Section heading
(8)	STM DATE	Due date for settlement with counterparty (an asterisk "*" indicates that the ISI is input within concession period (10 CCASS settlement days) after account opening of the counterparty (investor participant) with instruction type deliver 'D' and payment instruction 'F') "#" indicates that the ISI is effected as an ISI (without affirmation)
(9)	COUNTERPARTY/ STOCK/ISIN	Counterparty's participant ID and name / Stock code and stock name / International Securities Identification Number
(10)	INS TYP	Instruction type : D = Deliver ; R = Receive
(10a)	HLD STM	Hold before settlement requirement: Y = Hold ISI from settlement; N = ISI not being held for settlement and could be settled via batch settlement run or by input DI. Only applicable to pending, unaffirmed and pending for settlement ISIs
(11)	ISI INP NO/ INP DATE/ STM A/C	ISI input number / ISI input date / Stock settlement account
(12)	QUANTITY/ MONEY VALUE	Number of shares involved / Money amount for the ISI
(13)	DVP On-Hld / PMT INS/ PURP/DI/ INT REF	DVP On Hold Required Indicator : Y = put shares on-hold upon settlement; N = no share being put on-hold upon settlement Payment Instruction : D = DVP ; F = FOP; R = RDP/ Purpose of ISI : I = Investor-Intermediary ; 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 / Internal Transaction Reference
(14)	CLIENT A/C NO/ CLIENT NAME	Client account number (display the client account number input by non-IP participants or counterparty (IP) for ISI (without affirmation) created by IP counterparty/ Name of client
(15)	REMARKS	Additional information on the ISI

X-Ref	Field Name	Description
(16)	ISI INP NO/ INP DATE/ STM POS NO	ISI input number / Input date for the ISI / Settlement position number
(17)	QUANTITY/ MONEY VALUE/ AFF DATE/ STM A/C	Number of shares involved / Money amount for the ISI / Affirmed date / Stock settlement account
(18)	CCY	Currency of the Money Value
(19)	MARKET	Market Short Name assigned by HKSCC