

SECTION 4.3
 REPORT SAMPLE 4.3.5 SI BATCH INPUT CONTROL REPORT

(1) CCLEI01 (2) B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 SI BATCH INPUT CONTROL REPORT

(4) RUN DATE : 26JUL02
 (5) RUN TIME : 10:30:00
 PAGE : 1

(6) TRANSMISSION DATE : 26JUL02

(7) PROCESSING TIME : 10:00:00

(8) FILE REFERENCE : A1234522222222

-----EXCEPTIONS-----

DETAIL RECORD
 =====

(9)	REC	INT	TRN	REF	(12)	(13)	(14)	(15)	(31)	(16)	(17)	(18)	(19)	(19a)	(20)								
	TYP	SI	LINK	REF	STM	DATE	ISIN	TYP	STM	A/C	/SCCY	CLIENT	NAME	INS	PURP	REQ	HLD	REMARKS/	PROCESSING	REF	/	CONTROL	TOTAL
	--- (11)/(33) ---																						
1			2222211111		26JUL02		8881	R	00000210000	XXXXX1111111111	D	C	N	Y	THIS IS REMARK 1								
							A11111		0000001000000	COMPANY XX					THIS IS REMARK 2								
									8 HKD						THIS IS PROCESSING REF								
															00000001000000								

(21)ERROR MESSAGES : -5005 STOCK CODE NOT FOUND
 (34)
 3 SI INPUT NUMBER : I88888880

(21)ERROR MESSAGES : -5464 INVALID SI STATUS FOR DELETION / REVOCATION

-----SUMMARY OF CONTROL TOTALS-----

	(28)	(29)	(30)
	TOTAL NO OF RECORDS	TOTAL QUANTITY	TOTAL MONEY VALUE

DETAIL RECORDS PROCESSED	50	150,000,000	11,090,000.00
DETAIL RECORDS ACCEPTED	48	149,790,000	10,090,000.00
DETAIL RECORDS REJECTED	2	210,000	1,000,000.00

*** END OF REPORT ***

SECTION 4.3
 REPORT SAMPLE 4.3.5 SI BATCH INPUT CONTROL REPORT
 The whole SI file rejected

(1) CCLEI01 (2) B03456 HKSCC - CCASS (4) RUN DATE : 26JUL02
 (3) CCASS COMPANY SI BATCH INPUT CONTROL REPORT (5) RUN TIME : 10:30:00
 PAGE : 1

(6) TRANSMISSION DATE : 26JUL02 (7) PROCESSING TIME : 10:00:00 (8) FILE REFERENCE : A1234522222223

-----EXCEPTIONS-----

CONTROL HEADER
 =====

(32)	(10)	(8)	(6)	(22)
RECORD TYPE	PARTICIPANT ID	FILE REFERENCE	TRANSMISSION DATE	FILE NAME
0	B11668	A12345678901234	20020726	ABC BATCH INPUT

(21)ERROR MESSAGES : -5002 FILE NAME INVALID

DETAIL RECORD
 =====

(9)	REC INT TRN REF	(12)	(13)	(14)	(15)	(31)	(16)	(17)	(18)	(19)	(19a)	(20)
TYP SI LINK REF	STM DATE	ISIN	STK/C/P	INS	QTY/MNY VAL/	STM A/C /SCCY	CLIENT A/C NO /	PMT SI	DI ON	REMARKS/	PROCESSING REF	CONTROL TOTAL
1	2222211111	26JUL02	8881	R	00000210000	XXXXX111111111	D C	N	N	THIS IS REMARK 1		
			A11111		0000001000000	COMPANY XX				THIS IS REMARK 2		
					8 HKD					THIS IS PROCESSING REF		00000001000000

(21)ERROR MESSAGES : -5005 STOCK CODE NOT FOUND

1	2222211111	26JUL02	8882	R	00000210000	XXXXX111111111	D C	N	Y	THIS IS REMARK 1		
	SI LINK REF ERR		A11111		0000001000000	COMPANY XX				THIS IS REMARK 2		
					8 HKD					THIS IS PROCESSING REF		00000001000000

(21)ERROR MESSAGES : -5005 STOCK CODE NOT FOUND

(34)
 3 SI INPUT NUMBER : I88888881

(21)ERROR MESSAGES : -5464 INVALID SI STATUS FOR DELETION / REVOCATION

CONTROL TRAILER
 =====

(32)	RECORD TYPE	(23)	NO OF DETAIL RECORD	(24)	STOCK CODE SUM	(25)	STOCK QTY SUM	(26)	STOCK AMT SUM	(27)	CONTROL TOTAL SUM
2		0003		0017763		00000000420000		000000002000000		0000000000050000	

ERROR MESSAGES : -5327 CONTROL TOTAL SUM NOT CORRECT

INVALID RECORD : 0123456789012345678901234567890012345678901234567890012345678
 01234567890123456789012345678900123456789012345678900123456789012345
 INVALID RECORD : 01234567890123456789012345678900123456789012345678
 01234567890123456789012345678900123456789012345678900123456789012345

-----SUMMARY OF CONTROL TOTALS-----

*** THE WHOLE INTERFACE FILE IS REJECTED ***

*** END OF REPORT ***