

SECTION 4.3

REPORT SAMPLE 4.3.61: PARALLEL TRADING CONVERSION INSTRUCTION BATCH INPUT CONTROL REPORT

(1)CCVTF05 (2)B03456
 (3)CCASS COMPANY

HKSCC - CCASS
 PARALLEL TRADING CONVERSION INSTRUCTION BATCH INPUT CONTROL REPORT
 (MARKET - HONG KONG MK)

(4)RUN DATE : 14JUL12
 (5)RUN TIME : 18:00:06
 PAGE : 1

(6)DATE : 14JUL12

(7)
 TRANSMISSION DATE : 14JUL12

(8)
 PROCESSING TIME : 12:30:08

(9)
 FILE REFERENCE : A1234522222223

-----EXCEPTIONS-----

DETAIL RECORD

(14)REC	(15) FROM STOCK CODE/ TYP FROM ISIN	(16) FROM A/C	(17) TO STOCK CODE/ TO ISIN	(18) TO A/C	(19) TRANSFER QTY	(20) REMARKS	(21) CONTROL TOTAL
1	0000X	1	0000Y	3	0000000000Z	NO HEADER INCORRECT PART ID	0000000000000A

(13)ERROR MESSAGES : -5334 TO A/C NOT FOUND IN STOCK ACCOUNT TABLE

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

	TOTAL NO. OF RECORDS	TOTAL TRANSFER QUANTITY
DETAIL RECORDS PROCESSED	3	3,100
DETAIL RECORDS ACCEPTED	2	1,100
DETAIL RECORDS REJECTED	1	2,000
TOTAL NO. OF FILES UPLOADED :	1	

*** END OF REPORT ***

The whole Parallel Trading Conversion Instruction file rejected

(1)CCVTF05 (2)B03456 HKSCC - CCASS (4)RUN DATE : 14JUL12
 (3)CCASS COMPANY PARALLEL TRADING CONVERSION INSTRUCTION BATCH INPUT CONTROL REPORT (5)RUN TIME : 18:00:06
 (MARKET - HONG KONG MK) PAGE : 1

(6)DATE : 14JUL12 (7) TRANSMISSION DATE : 14JUL12 (8) PROCESSING TIME : 12:30:08 (9) FILE REFERENCE : A1234522222223

-----EXCEPTIONS-----

CONTROL HEADER

(10)RECORD TYPE	(11) PARTICIPANT ID	(9) FILE REFERENCE	(7) TRANSMISSION DATE	(12) FILE NAME
0	B08688	A123452222223	20120714	PTC BATCH INPUT

(13)ERROR MESSAGES : -5314 TRANSMISSION DATE DIFFERENT FROM CCASS DATE

DETAIL RECORD

(14)REC	(15) FROM STOCK CODE/ TYP FROM ISIN	(16) FROM A/C	(17) TO STOCK CODE/ TO ISIN	(18) TO A/C	(19) TRANSFER QTY	(20) REMARKS	(21) CONTROL TOTAL
1	0000X	1	0000Y	2	0000000000Z	NO HEADER INCORRECT PART ID	0000000000000A

(13)ERROR MESSAGES : +7137 FROM STOCK CODE NOT NUMERIC
 +7138 TO STOCK CODE NOT NUMERIC
 -5318 TRANSFER QUANTITY NOT NUMERIC
 -5319 CONTROL TOTAL NOT NUMERIC

CONTORL TRAILER

(10)RECORD TYPE	(22) TOTAL NO. OF	(23) FROM STOCK CODE	(24) TO STOCK CODE	(25) TRANSFER QTY	(26) CONTROL TOTAL
	DETAIL RECORDS	SUM	SUM	SUM	SUM

(13)ERROR MESSAGES : -5096 TRAILER RECORD MISSING

(27)INVALID RECORD :123456789012345678901234567890123456789012345678901234567890123456789012345678901234567890123456
 INVALID RECORD :123456789012345678901234567890123456789012345678901234567890123456789012345678901234567890123456

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

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

*** END OF REPORT ***