

A-SHARE SELLABLE BALANCE ADJUSTMENT AUDIT TRAIL REPORT

Report ID : CSEAS07

Report Name : *A-share Sellable Balance Adjustment Audit Trail Report*

Market Specific : For MAMK and SZMK only

Purpose : The A-share Sellable Balance Adjustment Audit Trail Report shows the CCCP's maintenance activities on A-share sellable balance adjustments made. There are two sections: (I) Adjustment Maintenance Activity Section to record the maintenance activities and (II) Adjustment Conversion Activity Section to show effect of conversion due to Corporate Actions on the Sellable Balance Adjustment, if any

Time available : At the end of each business day from Monday to Friday

Frequency : Daily

Section 4.3

Report Description

Field Description:

Ref	Field Name	Description
(1)	CSEAS07	Report ID for <i>A-share Sellable Balance Adjustment Audit Trail Report</i>
(2)	B11668	Participant ID
(3)	GOODWILL & CO	Participant full name
(4)	RUN DATE	Date of running the report
(5)	RUN TIME	Time of running the report
(6)	CCASS DATE	CCASS date
(7)	ACTION	Action on the Adjustment: ADD; CHG = Change (BEF for before image, AFT for after image); DELETE; AUTH = Authorise; CANCEL
(8)	STOCK CODE	Stock code and stock short name for the adjustment
(9)	INVESTOR ID	Investor identification number assigned by CCASS to Special Segregated Account , BLANK if it is the adjustment of CCCP
(10)	STK AC NO	CCASS stock account number of DCP/GCP, BLANK if it is the adjustment of selling or buying SPSA
(11)	REL SI IND	Release SI indicator declared by CCCP
(12)	REQUEST ADJUST QTY	Adjust quantity requested by CCCP (+/- number)
(13)	STATUS	Adjustment record status: Pending; Authorised
(14)	TIME	Time of input adjustment request
(15)	UPDATE BY	User ID for input adjustment request
(16)	TOTAL NUMBER OF RECORDS ADDED (PER REQUEST)	Total no. of adjustment records added per request
(17)	TOTAL NUMBER OF RECORDS CHANGED (PER REQUEST)	Total no. of adjustment records changed per request
(18)	TOTAL NUMBER OF RECORDS DELETED (PER REQUEST)	Total no. of adjustment records deleted per request
(19)	TOTAL NUMBER OF RECORDS AUTHORISED (PER REQUEST)	Total no. of adjustment records authorized per request
(20)	TOTAL NUMBER OF RECORDS CANCELLED (PER REQUEST)	Total no. of adjustment records cancelled per request
(21)	ORG STOCK CODE	Stock code and stock short name of the adjustment

Ref	Field Name	Description
		before CA conversion
(22)	NEW STOCK CODE	New stock code and stock short name of the adjustment for CA stock conversion, BLANK if there is no CA stock conversion take place
(23)	INVESTOR ID	Investor identification number assigned by CCASS to Special Segregated Account , BLANK if it is the adjustment of CCCP
(24)	STK AC NO	CCASS stock account number of DCP/GCP, BLANK if it is the adjustment of selling or buying SPSA
(25)	ORIGINAL ADJUST QTY	Adjust quantity of selling SPSA, buying SPSA or CCCP (+/- number)
(26)	CONVERTED ADJUST QTY	Converted adjust quantity of selling SPSA, buying SPSA or CCCP after CA conversion (+/- number)
(27)	RECORD STS	The converted adjustment record status: Pending; Authorised