File Transfer Function

FUNCTION NAME: **SI FILE TRANSFER**

WHEN TO USE:

- To **upload** Settlement Instructions (SIs) in the form of a SI batch file from CCASS terminals to the HKSCC host computer.

AVAILABLE FUNCTIONS:

A. Authorise SI Batch File Upload
   To authorise the SI batch file to be uploaded.

B. SI Batch File Upload
   To upload the authorised SI batch file.

AVAILABLE FUNCTION TIME:

- SI batch file can be uploaded between 7:15 a.m. to 3:45 p.m., and after final batch settlement run of Hong Kong market at around 5:00 p.m. to 7:30 p.m.

BATCH PROCESSING SCHEDULE:

- CCASS will validate the uploaded SI files upon receipt.

- After uploading, the SI batch file will be validated and processed by CCASS and a *SI Batch Input Control Report* (See Section 4.3 on Report Description) will be generated to indicate which SI records are rejected and to give a summary of the result for each validated SI batch file.
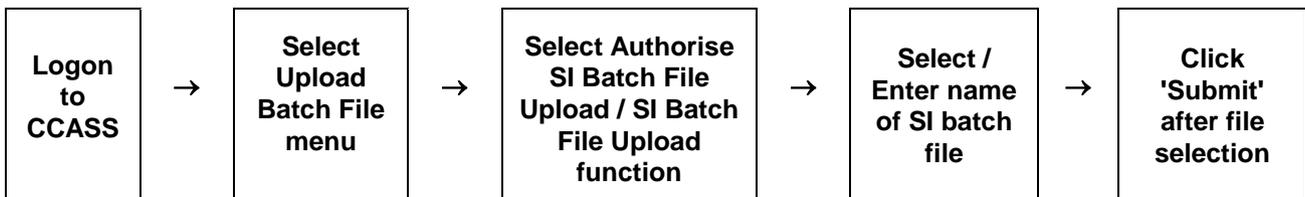
FUNCTIONAL DESCRIPTION:

- This function is available to all participants to upload a high transaction volume of SIs. Subscription to this service is not required.

- Instead of inputting, deleting or revoking SIs one at a time by on-line data entry, a SI batch file containing a number of SIs is uploaded to the HKSCC host computer to save effort for input, deletion or revocation. The SI batch file is a DOS file created according to a certain format stipulated by HKSCC. See Section 5.2 on SI batch file layout.

- The File Indicator [9(4)] recorded in each SI upload file has to be unique within same day. Upload files with duplicate "File Indicator" will be rejected by CCASS upon submission.

- The SI batch file can be stored in any connected disk drive for SI batch file uploading.

- For SI file transfer, the file name to be sent to CCASS can be any valid file name.

- To upload SI batch file, an authoriser has to authorise the SI batch file being uploaded, then the maker perform the file transmission action via the SI BATCH FILE UPLOAD function.

- Upon selection of batch upload function, a new window will be displayed for maker to perform the upload function by selecting the respective authorised batch file, maker can access both upload function and other online functions concurrently.

- After SI batch file validation, participants can use the REPORT DOWNLOAD function (Section 4.1) to check the availability of the *SI Batch Input Control Report*, and print the report if necessary.

- Only FOP or DVP SI can be inputted for A-shares. If there is an A-share SI uploaded on Mainland holiday while it is a Hong Kong business day, the A-share SI will be rejected.

- When DVP SI of A-shares are inputted, participant may expect to settle the money position via the RMB interbank settlement run at night if both the Designated Banks of the participant and its counterparty support the settlement run at night. Participants may refer to *Intra-day ISI/SI Full List* to check if the counterparty's Designated Bank support same day DVP SI settlement.

The access path for SI File Transfer is:

Logon to CCASS	→	**Select Upload Batch File menu**	→	**Select Authorise SI Batch File Upload / SI Batch File Upload function**	→	**Select / Enter name of SI batch file**	→	**Click 'Submit' after file selection**

SI FILE TRANSFER - Sample Screen

DESCRIPTION OF FIELDS:

Field	_Description/Format_
ORIGINAL FILE NAME	- name of the SI batch file to be uploaded. - batch file can be selected via the connected disk drive by clicking the BROWSE button.