File Transfer Function

PARALLEL TRADING CONVERSION INSTRUCTION FILE TRANSFER

WHEN TO USE:

- To **upload** Parallel Trading Conversion Instructions in the form of a Parallel Trading Conversion Instruction batch file from CCASS terminals to the HKSCC host computer.

AVAILABLE FUNCTIONS:

A. Authorise Parallel Trading Conversion Instruction Batch File Upload
   To authorise the Parallel Trading Conversion Instruction batch file to be uploaded.

B. Parallel Trading Conversion Instruction Batch File Upload
   To upload the authorised Parallel Trading Conversion Instruction batch file.

AVAILABLE FUNCTION TIME:

- Parallel Trading Conversion Instruction batch file can be uploaded between 8:00 a.m. to 2:30 p.m.

BATCH PROCESSING SCHEDULE:

- CCASS will validate the uploaded Parallel Trading Conversion Instruction files at around 9:15 a.m., 10:15 a.m., 12:30 p.m., and 2:30 p.m..

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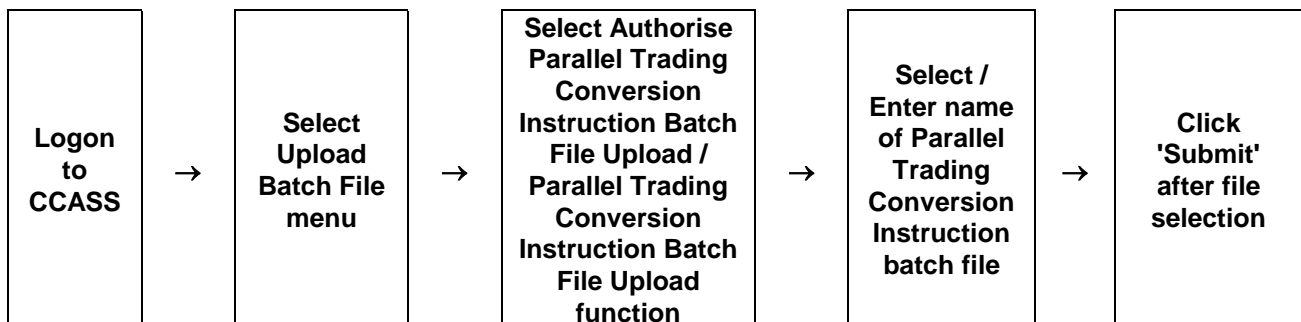
FUNCTIONAL DESCRIPTION:

- This function is available to all participants to upload Parallel Trading Conversion Instructions. Subscription to this service is not required.

- Instead of inputting Parallel Trading Conversion Instructions one at a time by on-line data entry, a Parallel Trading Conversion Instruction batch file containing a number of Parallel Trading Conversion Instructions can be uploaded to the HKSCC host computer to save effort. The Parallel Trading Conversion Instruction batch file is a DOS file created according to a certain format stipulated by HKSCC. See Section 5.22 on Parallel Trading Conversion Instruction batch file layout.

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

- A Parallel Trading Conversion Instruction batch file can be stored in any connected disk drive for Parallel Trading Conversion Instruction batch file uploading.

- For Parallel Trading Conversion Instruction file transfer, the file name to be sent to CCASS can be any valid file name.

- All Parallel Trading Conversion Instruction batch files uploaded will be processed. The processing sequence of Parallel Trading Conversion Instruction batch files is determined by the time of the CCASS terminals used for the uploading. This means that the file with the earliest time (as specified in the CCASS terminals) recorded in the upload file will be processed first.

- Individual records will be processed in the order as carried in the uploaded Parallel Trading Conversion Instruction batch file.

- To upload Parallel Trading Conversion Instruction batch file, an authoriser has to authorise the Parallel Trading Conversion Instruction batch file being uploaded, then the maker perform the file transmission action via the PARALLEL TRADING CONVERSION INSTRUCTION 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 the scheduled Parallel Trading Conversion Instruction batch file validation run, participants can use the REPORT DOWNLOAD function (Section 4.1) to check the availability of the *Parallel Trading Conversion Instruction Batch Input Control Report*, and print the report if necessary.

The access path for Parallel Trading Conversion Instruction File Transfer is:

| **Logon to CCASS** | → | **Select Upload Batch File menu** | → | **Select Authorise Parallel Trading Conversion Instruction Batch File Upload / Parallel Trading Conversion Instruction Batch File Upload function** | → | **Select / Enter name of Parallel Trading Conversion Instruction batch file** | → | **Click 'Submit' after file selection** |

PARALLEL TRADING CONVERSION INSTRUCTION FILE TRANSFER - Sample Screen

DESCRIPTION OF FIELDS:

Field	*Description/Format*
ORIGINAL FILE NAME	- name of the Parallel Trading Conversion Instruction batch file to be uploaded. - batch file can be selected via the connected disk drive by clicking the BROWSE button.