

File Transfer Function

FUNCTION NAME: ISI FILE TRANSFER

WHEN TO USE:

- To **upload** Investor Settlement Instructions (ISIs) in the form of an ISI batch file from CCASS terminals to the HKSCC host computer.

AVAILABLE FUNCTIONS:

- A. Authorise ISI Batch File Upload
To authorise the ISI batch file to be uploaded.
- B. ISI Batch File Upload
To upload the authorised ISI batch file.

AVAILABLE FUNCTION TIME:

- ISI batch file can be uploaded between 8:00 a.m. to 3:15 p.m., and after final batch settlement run at around 5:00 p.m. to 7:00 p.m.

BATCH PROCESSING SCHEDULE:

- CCASS will validate the uploaded ISI files upon receipt.
- After uploading, the ISI batch file will be validated and processed by CCASS and an *ISI Batch Input Control Report* (See Section 4.3 on Report Description) will be generated to indicate which ISI records are rejected and to give a summary of the result for each validated ISI batch file.

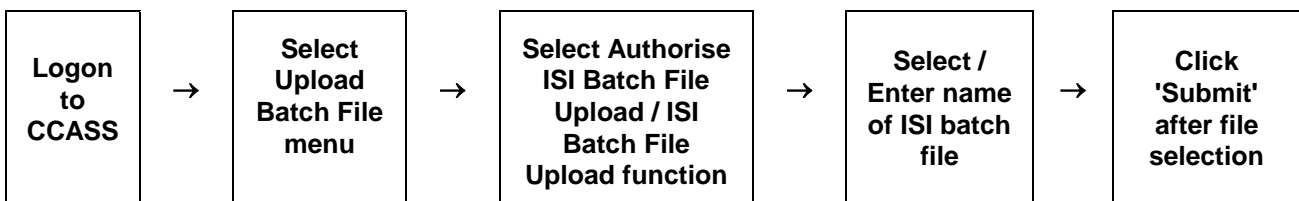
FUNCTIONAL DESCRIPTION:

- This function is available to all participants to upload a high transaction volume of ISIs. Subscription to this service is not required.
- Instead of inputting ISIs one at a time by on-line data entry, an ISI batch file containing a number of ISIs is uploaded to the HKSCC host computer to save effort. The ISI batch file is a DOS file created according to a certain format stipulated by HKSCC. See Section 5.4 on ISI batch file layout.
- The File Indicator [9(4)] recorded in each ISI upload file has to be unique within same day. Upload files with duplicate "File Indicator" will be rejected by CCASS upon submission.
- The ISI batch file can be stored in any connected disk drive for ISI batch file uploading.

Section 5.3
ISI File Transfer

- For ISI file transfer, the file name to be sent to CCASS can be any valid file name.
- To upload ISI batch file, an authoriser has to authorise the ISI batch file being uploaded, then the maker perform the file transmission via the ISI 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 ISI batch file validation, participants can use the REPORT DOWNLOAD function (Section 4.1) to check the availability of the *ISI Batch Input Control Report*, and print the report if necessary.

The access path for ISI File Transfer is:



ISI FILE TRANSFER - Sample Screen



DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
ORIGINAL FILE NAME	<ul style="list-style-type: none"> - name of the ISI batch file to be uploaded. - batch file can be selected via the connected disk drive by clicking the BROWSE button.