File Transfer Function

FUNCTION NAME: **ATI FILE TRANSFER**

WHEN TO USE:

- To **upload** Account Transfer Instructions (ATIs) in the form of an ATI batch file from CCASS terminals to the HKSCC host computer.

AVAILABLE FUNCTIONS:

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

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

AVAILABLE FUNCTION TIME:

- ATI batch file can be uploaded between 7:15 a.m. to 8:00 p.m.

BATCH PROCESSING SCHEDULE:

- CCASS will validate the uploaded ATI files at around 7:30 a.m., 8:00 a.m., 9:15 a.m., 10:00 a.m., 11:30 a.m., 12:45 p.m., 3:15 p.m., 5:00 p.m., 5:30 p.m. and around 8:00 p.m. after the completion of Mass ATI process.

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

FUNCTIONAL DESCRIPTION:

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

- Instead of inputting ATIs one at a time by on-line data entry, an ATI batch file containing a number of ATIs is uploaded to the HKSCC host computer to save effort. The ATI batch file is a DOS file created according to a certain format stipulated by HKSCC. See Section 5.6 on ATI batch file layout.

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

- The ATI batch file can be stored in any connected disk drive for ATI batch file uploading.
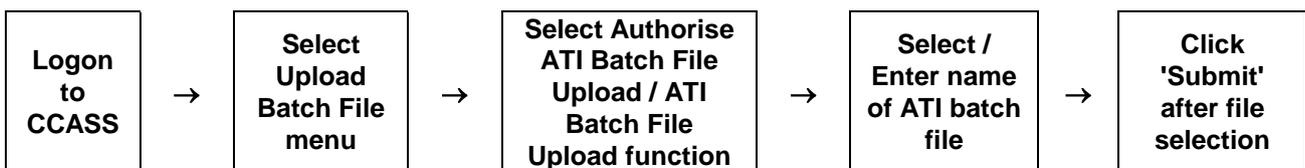
- For ATI file transfer, the file name to be sent to CCASS can be any valid file name.

- All ATI batch files uploaded will be processed. The processing sequence of ATI batch files is determined by the time of the CCASS terminals used for the uploading. This means that the file with the earliest time recorded in the upload file accordingly to that specified in the CCASS terminals will be processed first.

- Individual records will be processed in the order as carried in the uploaded ATI batch file.

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

- ATI for Hong Kong market stocks and Mainland A-share market stocks can be uploaded in the same file for ATI batch processing.

- If there is A-share ATI uploaded on Mainland holiday while it is a Hong Kong business day, the A-share ATI will be rejected.

The access path for ATI File Transfer is:

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

ATI FILE TRANSFER - Sample Screen

DESCRIPTION OF FIELDS:

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