

Terminal Operations

FUNCTION NAME: STOCK BORROWING REQUEST MAINTENANCE

WHEN TO USE:

- To maintain stock borrowing requests to the SBL Bulletin Board in CCASS.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Add Stock Borrowing Request
To add stock borrowing requests to the SBL Bulletin Board in CCASS.
- B. Change Stock Borrowing Request
To change the details of own stock borrowing requests in the SBL Bulletin Board in CCASS input within the current day.
- C. Delete Stock Borrowing Request
To delete own stock borrowing requests in the SBL Bulletin Board in CCASS input within the current day.
- D. Enquire Stock Borrowing Request
To enquire own stock borrowing requests in the SBL Bulletin Board in CCASS input within the current day.

AVAILABLE FUNCTION TIME:

- For Add, Change and Delete Stock Borrowing Request, the available function time is between 9:30 a.m. and 3:45 p.m.
- For Enquire Stock Borrowing Request, the available function time is between 9:00 a.m. to 7:00 p.m.

FUNCTIONAL DESCRIPTIONS:

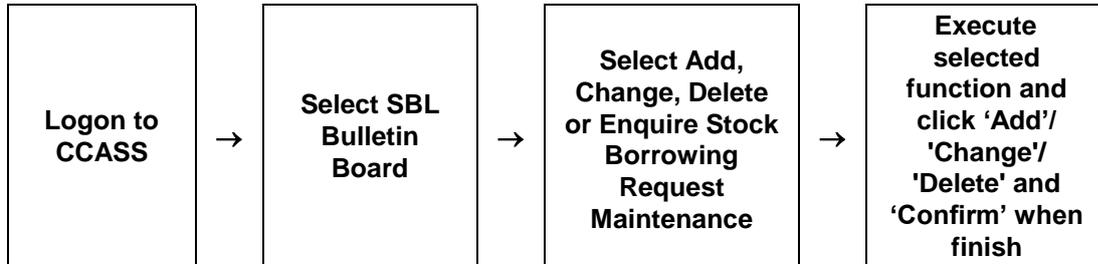
- No authorisation of input nor limit checking is required.
- Stock borrowing requests input can be browsed by all CCASS participants via the ENQUIRE STOCK BORROWING LIST function.
- The PURPOSE OF LOAN field in each stock borrowing request is for HKSCC's information and would not be displayed when enquired by other CCASS participants.
- The identity of the borrowing participant is not displayed. Interested participants with stocks to lend may contact the names and telephone numbers provided by the borrowing participant.

Section 8.1.10

Stock Borrowing Request Maintenance

- All the stock borrowing requests are automatically purged by the system at day end. Therefore, only stock borrowing requests entered within the current day can be enquired. If a stock borrowing request is still valid on the following business day, the participant should re-input the stock borrowing request and a new reference number would be generated by the system.

The access path for Stock Borrowing Request Maintenance function is:



STOCK BORROWING REQUEST MAINTENANCE – Sample Screen:

General Enquiries	SBL Bulletin Board	Site Map	Broadcast Message	Report Download	B0080301
Enq Settlement Act / Status		Announcement Information	Change Password	Print	GBRA 01
Delivery Instruction (DI)				Logout	11-Mar-02 16:32
WC Transfer Instr (ATI)					
Settlement Instruction (SI)					
Investor Stm Instr (ISI)					
ISI Counterparty List					
Payment Instruction					
Cash Prepayment					
Stock Borrowing / Lending					
SBL Bulletin Board					
General Stock Collateral					
Login Withdrawal Order					
Election Instruction					
Subscription Instruction					
Corp Voting Instruction					
EIPO Application					
Tender Instruction					
Unit Order					
Corp Communication					
Upload Batch File					
Report Profile Maintenance					
View Circular					

Add Stock Borrowing Request Detail	
Borrow Request Number :	BR04000174
ISIN or Stock Code :	1 Enquire Stock List
Number of Shares :	10000
SBL Settlement Date :	2-Nov-01
Type of Collateral :	<input checked="" type="radio"/> Cash <input type="radio"/> Mixed <input type="radio"/> Securities
Partial Loan :	<input type="radio"/> YES <input checked="" type="radio"/> NO
Contact Person 1 :	Kenny Lee Telephone 1 : 2123-4567
Contact Person 2 :	Mary Chan Telephone 2 : 2123-4566
Purpose of Loan :	<input type="radio"/> OTHERS <input checked="" type="radio"/> SETTLEMENT <input type="radio"/> SHORT SELL
<input type="button" value="Add"/> <input type="button" value="Refresh"/>	
Help	

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
BORROW REQUEST NUMBER	<ul style="list-style-type: none"> - display the unique reference number assigned by CCASS when the stock borrowing request is created. - a 10-character code beginning with the characters 'BR'. - no entry is required for Add Stock Borrowing Request. - can obtain the number from Enquire Stock Borrowing Request function.
ISIN OR STOCK CODE	<ul style="list-style-type: none"> - input the ISIN / stock code as a selection criterion. - can obtain the ISIN or stock code from the hyperlink of 'Enquire Stock List'. - must not be a delisted stock. - CCASS overlooks leading zero(s); i.e. '17', '017', '0017' and '00017' are treated as the same.
NUMBER OF SHARES	<ul style="list-style-type: none"> - type the number of shares requested. - either one of the following formats is accepted by CCASS: '2000' or '2,000'.
SBL SETTLEMENT DATE	<ul style="list-style-type: none"> - type the desired settlement date of the stock borrowing request, which must not be earlier than the current date. - valid date (DDMMYY) must be typed in one of the following formats: e.g. '23JAN92', '230192', '23-01-92' or '23/01/92'.
TYPE OF COLLATERAL	<ul style="list-style-type: none"> - select the type of collateral to be offered. either 'Cash', 'Mixed' (i.e. cash and securities) or 'Securities' can be selected.
PARTIAL LOAN	<ul style="list-style-type: none"> - select whether partial loan is acceptable. - 'Yes' for accepting partial loan; 'No' for not accepting partial loan.
CONTACT PERSON 1	<ul style="list-style-type: none"> - type the name of the first contact person. - not more than 20 characters in length.
TELEPHONE 1	<ul style="list-style-type: none"> - type the telephone number of the first contact person. - not more than 20 characters in length.
CONTACT PERSON 2	<ul style="list-style-type: none"> - type the name of the second contact person. - not more than 20 characters in length. - optional field.
TELEPHONE 2	<ul style="list-style-type: none"> - type the telephone number of the second contact person. - not more than 20 characters in length. - optional field.
PURPOSE OF LOAN	<ul style="list-style-type: none"> - select the purpose of loan. - either 'Others', 'Settlement' or 'Short Sell' can be selected. - data is for internal information only and is not displayed for other participants' enquiries.