

Terminal Operations

FUNCTION NAME: CHANGE HOLD MATCHED SI

WHEN TO USE:

- To change the Hold Matched SI indicator for holding a matched SI for settlement or for releasing a matched on-hold SI for settlement.

AVAILABLE FUNCTION TIME:

- For Change Hold Matched SI function, the function available time for Hong Kong market and Mainland A-share market is as below

For Hong Kong market (HKMK), there will be two sessions:

- First session: 8:00 am to 3:45 pm
- Second session: after Final Batch Settlement Run of Hong Kong market at approximately 5:00 pm (to be announced by a broadcast message) and closes at 7:00 pm.

For Mainland A-share market (MAMK):

- Function will be available from 7:15 am to 7:45 pm.

FUNCTIONAL DESCRIPTIONS:

- This function is used for **matched or matched on-hold SIs**. Use the CHANGE SI function to change the Hold Matched SI indicator of unmatched SIs or pending SIs.
- If either party or both parties have selected the Hold Matched SI indicator as "Yes" for the SI inputted, the status of the SI would become "Matched On-hold" after successful matching. After the initiating party(ies) of the "on-hold" mechanism has/have released the SI via CHANGE HOLD MATCHED SI function, i.e. change the Hold Matched SI indicator from "Yes" to "No", the status of the SI would become "Matched" and the SI is ready for settlement.
- On the contrary, either delivering or receiving party or both parties can change Hold Matched SI indicator from "No" to "Yes" via CHANGE HOLD MATCHED SI function if they would like to put on-hold the SI from settlement. The SI status would become "Matched On-hold" after successful change.
- Input transaction limit of the authorised user would also be checked. If the input value or market value of the stock of an SI exceeds the input transaction limit of the authorised user when changing the Hold Matched SI indicator, the transaction would not be successfully updated. The input value and market value of the stock in foreign currency will be converted into HKD equivalent for comparison with the transaction limit.
- The 'LIST' button is also available for this function. Participants are allowed to change the Hold Matched SI indicator of multiple SIs, reason code for unsuccessful execution will be displayed after the 'CONFIRM' button is pressed on the list confirmation screen. Except for those SIs with reason codes returned, all other selected SIs will be successfully executed in the multiple update.

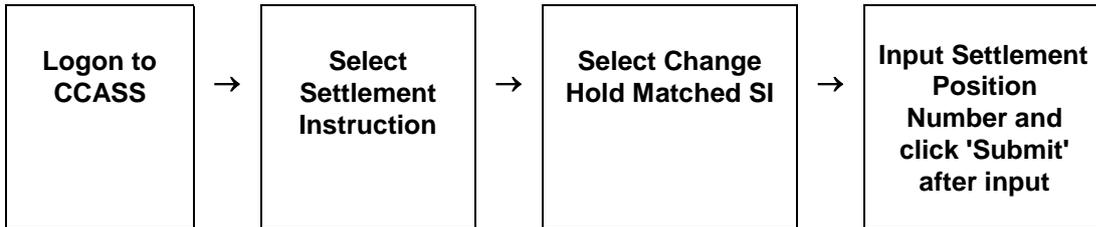
Section 8.1.1a

Change Hold Matched SI

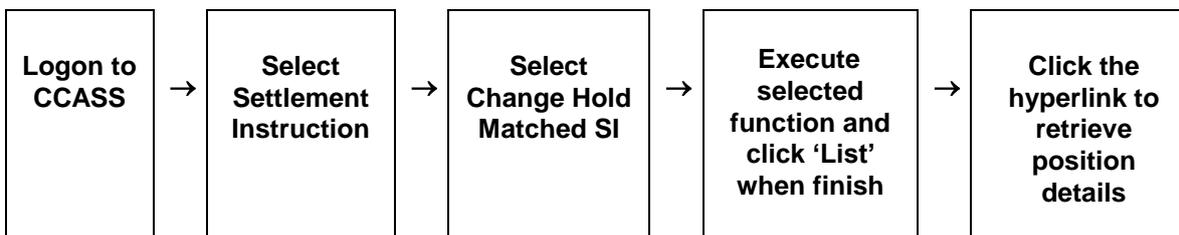
- Only the HOLD MATCHED SI INDICATOR field can be changed via the CHANGE HOLD MATCHED SI function. Hold Matched SI indicator can be changed from 'Yes' to 'No' or vice versa.

The access path for Change Hold Matched SI function is:

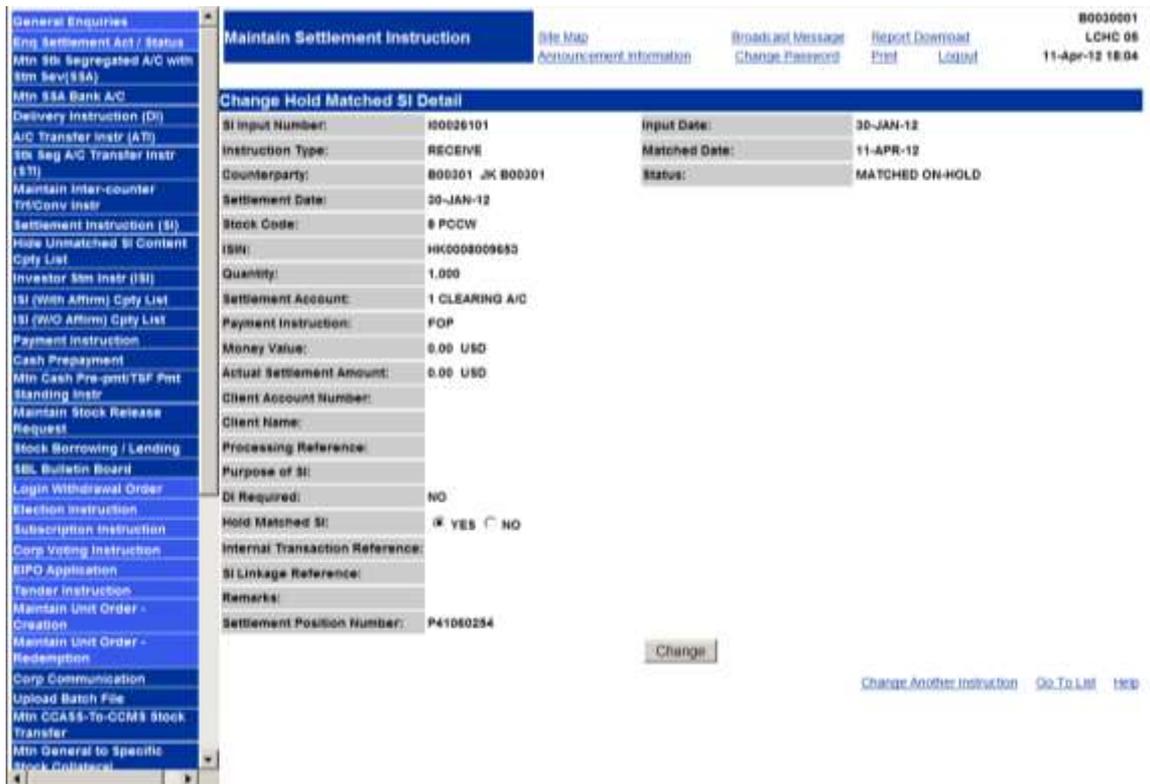
A. If the Settlement Position Number is known:



B. If the Settlement Position Number is not known:



CHANGE HOLD MATCHED SI – Sample Screen:



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Change Hold Matched SI

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
SETTLEMENT POSITION NUMBER	<ul style="list-style-type: none"> - input the settlement position number and click submit for a particular SI. - input the settlement position number as a selection criterion.
COUNTERPARTY	<ul style="list-style-type: none"> - type the ID of the counterparty. - Counterparty's ID can be obtained from the hyperlink of ENQUIRE PARTICIPANT LIST function). - display the counterparty's ID and name.
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 function. - must not be a delisted stock. - CCASS overlooks leading zero(s); i.e. '17', '017', '0017' and '00017' are treated as the same. - For Stock Code, display the stock code and short name of the stock - For ISIN, display the International Securities Identification Number of the stock.
CLIENT ACCOUNT NUMBER	<ul style="list-style-type: none"> - type the participant's internal client account number as a selection criterion. - when client account number is inputted as a selection criterion, settlement date is a mandatory field
CLIENT NAME	<ul style="list-style-type: none"> - display the participant's internal client name of the SI.
PROCESSING REFERENCE	<ul style="list-style-type: none"> - display the processing information of the SI entered by participant for internal reconciliation and reference.
PAYMENT INSTRUCTION	<ul style="list-style-type: none"> - select the type of position via the pull down menu in prompt screen. - display the payment instruction ('DVP' for delivery versus payment; 'FOP' for free of payment; 'RDP' for realtime delivery versus payment and "ALL" for the above three types).
INSTRUCTION TYPE	<ul style="list-style-type: none"> - select the instruction type in prompt screen. - display the instruction type ("DELIVER" for delivering SI, "RECEIVE" for receiving SI and "ALL" for the above two types).

<u>Field</u>	<u>Description/Format</u>
SETTLEMENT ACCOUNT	<ul style="list-style-type: none"> - input the settlement account in prompt screen as a selection criterion - if settlement account is inputted as a selection criterion, settlement date is a mandatory field. - display the code and name of the account used to settle the outstanding position. - '1' for the Clearing Account; '2' for Segregated Account 1 (=Entitlement Account); '3', '4', ... for other segregated accounts. - CCASS overlooks leading zero(s); i.e. '21', '021' and '0021' are treated as the same.
SETTLEMENT DATE	<ul style="list-style-type: none"> - type the settlement date as one of the selection criteria for listing matched/matched on-hold SIs. - select radio button "=" to list those matched/matched on-hold SIs with settlement date equal to the date specified by participant at prompt screen. - select radio button ">=" to list those matched/matched on-hold SIs with settlement date later than or equal to the date specified by participant at prompt screen. - select radio button "<=" to list those matched/matched on-hold SIs with settlement date earlier than or equal to the date specified by participant at prompt screen. - CCASS defaults value of the radio button is '='. - display the due date for settlement.
SI INPUT NUMBER	<ul style="list-style-type: none"> - input the SI input number in the prompt screen - display the SI Input Number.
STATUS	<ul style="list-style-type: none"> - display the status of the SI.
DI REQUIRED	<ul style="list-style-type: none"> - display the DI requirement for settlement.
HOLD MATCHED SI	<ul style="list-style-type: none"> - select the hold matched SI indicator in prompt screen. - display the "Hold Matched SI" indicator of the SI - "Yes" for putting the matched SI on-hold for settlement. "No" for SI ready for settlement by entering a DI or by batch settlement run. - Select "Yes" when the holding a matched SI for settlement and select "No" when releasing a matched on-hold SI for settlement.
QUANTITY	<ul style="list-style-type: none"> - display the quantity of the SI.
MONEY VALUE	<ul style="list-style-type: none"> - display the money value and settlement currency of the SI.
ACTUAL SETTLEMENT AMOUNT	<ul style="list-style-type: none"> - display the actual settlement amount and settlement currency if the SI is matched with amount variance. - display the money value for SI matched with no amount variance.

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Change Hold Matched SI

<u>Field</u>	<u>Description/Format</u>
PURPOSE	- display the purpose of the SI. 'C - Broker-Custodian transaction' 'L - New Borrowing/Lending' 'P - Stock Pledging' 'M - Portfolio Movement' 'R - Return/Recall' blank if not specified.
INTERNAL TRANSACTION REFERENCE	- display the participant's internal transaction reference for the SI.
SI LINKAGE REFERENCE	- display the SI linkage reference.
REMARKS	- display the additional remarks of the SI entered by participant.
INPUT DATE	- display the date the SI is created.
MATCHED DATE	- display the date the pair of SIs was matched.