Terminal Operations

FUNCTION NAME: **CHANGE MATCHED/SETTLED SI**

WHEN TO USE:

- To change selective non-matching fields of Matched / Matched on-hold SIs.

- To release the SI link on-hold shares by removing the "SI Linkage Reference" of settled receiving SIs.

AVAILABLE FUNCTION TIME:

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

For Shanghai market (MAMK) / Shenzhen market (SZMK):
- Function available from 7:15 am to 7:45 pm.

FUNCTIONAL DESCRIPTIONS:

- This function is used for updating the non-matching fields of **matched / matched on-hold SIs** or deleting SI Linkage Reference of **settled receiving SIs**.

- The following non-matching fields of SIs in "matched" or "matched on-hold" status can be changed via this function:-

  - Stock Settlement Account
  - Client Name
  - Internal Transaction Reference
  - Processing Reference
  - SI Linkage Reference
  - Remarks

- For settled SI, only receiving SI with "SI Linkage Reference" can be retrieved via this function.

- For settled receiving SI with input of "SI Linkage Reference", the settled shares being put on-hold as "SI link On-hold" shares will be able to release for immediately available use by deletion of the "SI Linkage Reference" via this function. After removing the "SI Linkage Reference" from the receiving SI, the linked delivering SI with the same "SI Linkage Reference", if any, will not be able to settle via batch settlement run, unless the "SI Linkage Reference" is being removed from the delivering SI or by input of Delivery Instruction for immediate settlement.

- Input transaction limit of the authorised user would also be checked. If the input value or market value of the stock of SI exceeds the input transaction limit of the authorised user when performing Change Matched/Settled SI function, the transaction would not be successfully
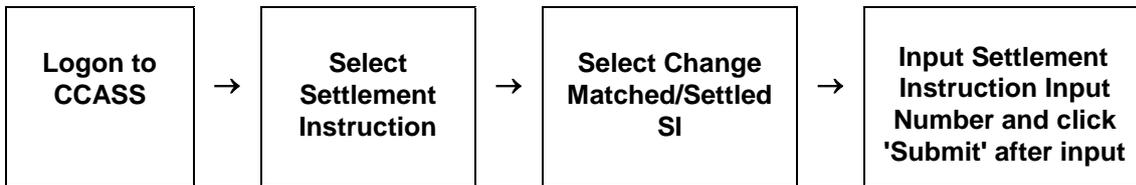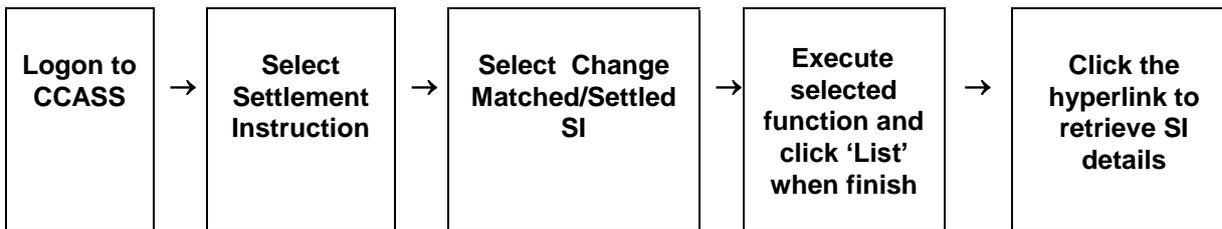
updated. The input value and market value of the stock in foreign currency will be converted into HKD equivalent for comparison with the transaction limit.

The access path for Change Matched/Settled SI function is:

A.   If the Settlement Instruction Input Number is known:

Logon to CCASS	→	Select Settlement Instruction	→	Select Change Matched/Settled SI	→	Input Settlement Instruction Input Number and click 'Submit' after input

B.   If the Settlement Instruction Input Number is not known:

Logon to CCASS	→	Select Settlement Instruction	→	Select Change Matched/Settled SI	→	Execute selected function and click 'List' when finish	→	Click the hyperlink to retrieve SI details

CHANGE MATCHED/SETTLED SI – Sample Screen:

DESCRIPTION OF FIELDS:

Field	Description/Format
SI INPUT NUMBER	- input the SI Input Number in the prompt screen as a selection criterion. - display the SI Input Number.
STATUS	- select the SI status in the prompt screen as a selection criterion. (select 'Matched / Matched on-hold' for SI in matched or matched on-hold status for updating of non-matching fields; 'Settled' for settled receiving SI to release the SI link on-hold shares by deleting the 'SI Linkage Reference' of the receiving SI and 'ALL' for listing all SIs in matched / matched on-hold and settled status) - display the status of the SI.
COUNTERPARTY _or_ C/P	- type the participant ID of the counterparty in the prompt screen as a selection criterion. - Counterparty's ID can be obtained from the hyperlink 'ENQUIRE PARTICIPANT LIST'. - display the counterparty's ID and name.
ISIN OR STOCK CODE	- input the ISIN / stock code in the prompt screen as a selection criterion. - can obtain the ISIN or stock code from the hyperlink '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. - for stock code, display the stock code and short name of the stock - for ISIN, display the International Securities Identification Number of the stock
PAYMENT INSTRUCTION	- select the type of payment instruction via the pull down menu in prompt screen as a selection criterion. (select 'DVP' for delivery versus payment; 'FOP' for free of payment; 'RDP' for realtime delivery versus payment and 'ALL' for listing of all available SIs with the above three payment types) - display the payment instruction.

Field	*Description/Format*
INSTRUCTION TYPE	- select the instruction type in prompt screen as a selection criterion. (select 'DELIVER' for delivering SI, 'RECEIVE' for receiving SI and 'ALL' for listing of all available SIs with the above two instruction types) - display the instruction type. - If settlement account number input is greater than 20 (i.e. SSA with Statement Service) and the Affirmation Requirement of the SSA with Statement Service is 'Yes', the SI with Instruction Type = "Deliver" for the SSA is not allowed.
SETTLEMENT ACCOUNT	- input the settlement account in prompt screen as a selection criterion - display the code and name of the account for the SI settlement. - '1' for the Clearing Account; '2' onwards for Segregated Account -for SI in matched / matched on-hold status, the settlement account can be changed. - If the Instruction Type is 'Deliver', the settlement account number input must not be a SSA with Statement Service (i.e. account number from 21 onwards) with its Affirmation Requirement set to 'Yes'. - CCASS overlooks leading zero(s); i.e. '21', '021' and '0021' are treated as the same. - for SI in settled status, the settlement account is only a display field in the detail screen and not allowed for change.
SETTLEMENT DATE	- display the due date for settlement.
QUANTITY	- display the quantity of the SI.
MONEY VALUE	- display the money value and settlement currency of the SI.
ACTUAL SETTLEMENT AMOUNT	- 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.
CLIENT ACCOUNT NUMBER	- display the client account number for the SI.
CLIENT NAME	- display the client name for the SI. - for SI in matched / matched on-hold status, the client name can be changed. - for SI in settled status, the client name is only a display field in the detail screen and not allowed for change.

Field	Description/Format
PROCESSING REFERENCE	- display the processing information of the SI entered by participant for internal reconciliation and reference. - for SI in matched status, the processing reference can be changed.
PURPOSE OF SI *or* PUR	- 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.
DI REQUIRED	- display the DI requirement for SI settlement.
INTERNAL TRANSACTION REFERENCE *or* INTNL REF	- display the participant's internal transaction reference for the SI. - for SI in matched / matched on-hold status, the internal transaction reference can be changed. - for SI in settled status, the internal transaction reference is only a display field in the detail screen and not allowed for change.
SI LINKAGE REFERENCE	- display the SI linkage reference. - for SI in matched / matched on-hold status, the SI linkage reference can be changed. - for SI in settled status, the SI linkage reference can only be updated to 'blank' to release the respective SI link on-hold shares.
HOLD MATCHED SI	- display the "Hold Matched SI" indicator of the SI
REMARKS	- display the additional remarks of the SI entered by participant.
INPUT DATE	- display the date the SI is being created.