

Terminal Operations

**FUNCTION NAME: ISI (WITH AFFIRMATION) COUNTERPARTY LIST
 MAINTENANCE**

WHEN TO USE:

- To maintain new Counterparty into the ISI (With Affirmation) Counterparty List in CCASS.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Input ISI (With Affirmation) Counterparty List
To input new Counterparties for effecting ISI (With Affirmation).
- B. Delete ISI (With Affirmation) Counterparty List
To delete pending Counterparties from the ISI (With Affirmation) Counterparty List in CCASS.
- C. Authorise ISI (With Affirmation) Counterparty List
To authorise pending Counterparties in the ISI (With Affirmation) Counterparty List in CCASS.
- D. Cancel ISI (With Affirmation) Counterparty List
To cancel authorised Counterparties from the ISI (With Affirmation) Counterparty List in CCASS.
- E. Enquire ISI (With Affirmation) Counterparty List
To enquire on the details and current status of an ISI Counterparty.

AVAILABLE FUNCTION TIME:

- For Input, Delete, Authorise, and Cancel ISI (With Affirmation) Counterparty List, the available function time is between 8:00 am and 3:45 pm.
- For Enquire ISI (With Affirmation) Counterparty List, the available function time is between 8:00 am to 7:00 pm.

FUNCTIONAL DESCRIPTIONS:

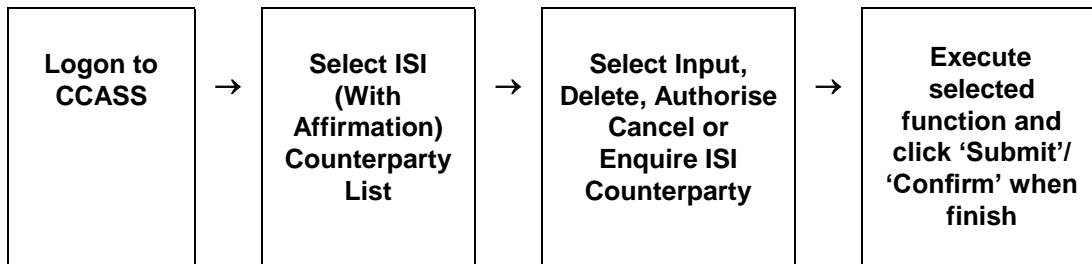
- CCASS Clearing Participants, Custodian Participants, Stock Lender Participants, Stock Pledgee Participants and corporate Investor Participants can choose to maintain an ISI (With Affirmation) Counterparty List in CCASS.
- If Participant elects to use the function, ISI (With Affirmation) will only be accepted by CCASS if the counterparty specified in the ISI is contained in the list and at 'authorised' status. No such validation will be performed by CCASS if the Participant does not maintain an ISI (With Affirmation) Counterparty List in CCASS.
- ISI Counterparties of non-investor Participants must be Investor Participants.

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ISI (With Affirmation) Counterparty List Maintenance

- After successful input, the ISI counterparty is at 'pending' status. The record must be authorised by the AUTHORISE ISI (WITH AFFIRMATION) COUNTERPARTY LIST function to change the status of the ISI counterparty to 'authorised' status.
- Up to 12 counterparties can be input each time.
- Only pending ISI Counterparty can be deleted by the Delete ISI (With Affirmation) Counterparty List function. Once an ISI Counterparty record is deleted, the ISI Counterparty record details are automatically removed from CCASS, and enquiry or retrieval of the ISI Counterparty record is not available.
- Only pending ISI Counterparty records can be authorised by the Authorise ISI (With Affirmation) Counterparty List function.
- Only authorised ISI counterparty records can be cancelled by the Cancel ISI (With Affirmation) Counterparty List function.
- Participants can delete, authorise or cancel a particular ISI Counterparty record individually, multiple ISI Counterparty records by checking the selection box next to records or all ISI Counterparty records simultaneously by checking the 'Select All' button.
- Participants can enquire the full name of ISI Counterparty by clicking the hyperlink of 'ISI Counterparty ID'.

The access path for ISI (With Affirmation) Counterparty List Maintenance function is:



ISI (WITH AFFIRMATION) COUNTERPARTY LIST MAINTENANCE – Sample Screens :

<ul style="list-style-type: none"> General Enquiries Eng Settlement Act / Status Delivery Instruction (DI) A/C Transfer Instr (ATI) Settlement Instruction (SI) Investor Stm Instr (ISI) ISI (With Affirm) Cpty List ISI (With Affirm) Input ISI (With Affirm) ISI (With Affirm) Cpty List Payme Delete ISI (With Affirm) Cash Cpty List Stock Enquire ISI (With Affirm) SBL Bl Cpty List Login Withdrawal Order Election Instruction Subscription Instruction Corp Voting Instruction EIPO Application Tender Instruction Maintain Unit Order - Creation Maintain Unit Order - Redemption Corp Communication Upload Batch File Maintain Firm Maintain Participant Maintain Collateral Account Mfn Tran A/C to Collateral A/C Mapping Maintain Static Data Master Maintain Collateral Master 	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">Maintain ISI (With Affirmation) Counterparty List</td> <td style="width: 20%;">Site Map</td> <td style="width: 20%;">Broadcast Message</td> <td style="width: 20%;">Report Download</td> </tr> <tr> <td>Announcement Information</td> <td>Change Password</td> <td>Print</td> <td>Logout</td> </tr> </table> <p style="text-align: right;">B0361801 ICLA 01 24-Jun-04 17:32</p> <div style="background-color: #0056b3; color: white; padding: 2px;">Input ISI (With Affirmation) Counterparty List</div> <p style="background-color: #cccccc; padding: 2px;">Please input the Counterparty ID(s) to be added to the list</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;"><input type="text" value="049288"/></td> <td style="width: 30%;"><input type="text"/></td> <td style="width: 30%;"><input type="text"/></td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </table> <p style="text-align: right; margin-top: 10px;"> <input type="button" value="Submit"/> <input type="button" value="Refresh"/> </p> <p style="text-align: right;">Help</p>	Maintain ISI (With Affirmation) Counterparty List	Site Map	Broadcast Message	Report Download	Announcement Information	Change Password	Print	Logout	<input type="text" value="049288"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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ISI (With Affirmation) Counterparty List Maintenance

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
ISI COUNTERPARTY ID	<ul style="list-style-type: none">- type the ID of the counterparty (must be an Investor Participant).- a valid 6-numeric code (e.g. 021355).- at least one counterparty must be input.- up to 12 counterparties can be input each time.- display the ISI Counterparty ID in the list screen.
IP ACCOUNT NAME	<ul style="list-style-type: none">- display the IP Account Name corresponding to the ISI Counterparty ID in the list screen.
FULL NAME	<ul style="list-style-type: none">- display the full name corresponding to the ISI Counterparty ID.
STATUS	<ul style="list-style-type: none">- identify the status of the ISI counterparty.- select the status via the pull down menu in the prompt screen.- no input is required.