

## Terminal Operations

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**FUNCTION NAME:      ISI (WITHOUT AFFIRMATION) COUNTERPARTY LIST  
                                 MAINTENANCE**

### WHEN TO USE:

- To maintain new Counterparty into the ISI (Without Affirmation) Counterparty List in CCASS.

### AVAILABLE MAINTENANCE FUNCTIONS:

- A. Input ISI (Without Affirmation) Counterparty List  
To input new Counterparties for effecting ISI (Without Affirmation).
- B. Delete ISI (Without Affirmation) Counterparty List  
To delete pending Counterparties from the ISI (Without Affirmation) Counterparty List in CCASS.
- C. Authorise ISI (Without Affirmation) Counterparty List  
To authorise pending Counterparties in the ISI (Without Affirmation) Counterparty List in CCASS.
- D. Cancel ISI (Without Affirmation) Counterparty List  
To cancel authorised Counterparties from the ISI (Without Affirmation) Counterparty List in CCASS.
- E. Enquire ISI (Without 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 (Without Affirmation) Counterparty List, the available function time is between 8:00 am and 3:45 pm.
- For Enquire ISI (Without 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 Investor Participants (all types) can choose to maintain an ISI (Without Affirmation) Counterparty List in CCASS.
- If Participants elect to effect ISI (Without Affirmation), they should use this function to maintain an ISI (Without Affirmation) Counterparty List. ISI will only be effected as ISI (Without Affirmation) by CCASS if the counterparty specified in the ISI is contained in the list and at 'authorised' status. All ISIs input will be effected as **ISI (With Affirmation)** if the Participant does not maintain an ISI (Without Affirmation) Counterparty List in CCASS.

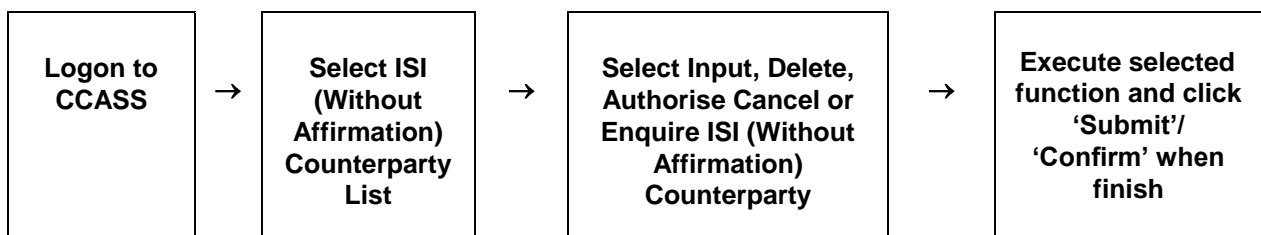
## Section 8.1.4a

### ISI (Without Affirmation) Counterparty List Maintenance

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- ISI (Without Affirmation) Counterparties of non-investor Participants must be Investor Participants.
- After successful input, the ISI (Without Affirmation) Counterparty / Designated Account record is at 'pending' status. The record must be authorised by the AUTHORISE ISI (WITHOUT AFFIRMATION) COUNTERPARTY LIST function to change the status of the ISI (Without Affirmation) Counterparty to 'authorised' status.
- Up to 12 counterparties can be input each time.
- Only pending ISI (Without Affirmation) Counterparty / Designated Account records can be deleted by the Delete ISI (Without Affirmation) Counterparty List function. Once an ISI (Without Affirmation) Counterparty record is deleted, the ISI (Without Affirmation) Counterparty record details are automatically removed from CCASS, and enquiry or retrieval of the ISI (Without Affirmation) Counterparty record is not available.
- Only pending ISI (Without Affirmation) Counterparty / Designated Account records can be authorised by the Authorise ISI (Without Affirmation) Counterparty List function.
- Only authorised ISI (Without Affirmation) Counterparty / Designated Account records can be cancelled by the Cancel ISI (Without Affirmation) Counterparty List function.
- Participants can delete, authorise or cancel a particular ISI (Without Affirmation) Counterparty record individually, multiple ISI (Without Affirmation) Counterparty records by checking the selection box next to records or all ISI (Without Affirmation) Counterparty records simultaneously by checking the 'Select All' button.
- If the Designated Account record is deleted / cancelled without input of a new record, CCASS will default '2 - entitlement account' as the Designated Account for receiving shares from ISI (Without Affirmation) initiated by IPs.
- Participants can enquire the full name of ISI (Without Affirmation) Counterparty by clicking the hyperlink of 'ISI Counterparty ID'.

The access path for ISI (Without Affirmation) Counterparty List Maintenance function is:



ISI (WITHOUT AFFIRMATION) COUNTERPARTY LIST MAINTENANCE – Sample Screens :

General Enquiries

Enq Settlement Act / Status

Mtn Stk Segregated A/C with Stm Sev(SSA)

Mtn SSA Bank A/C

Delivery Instruction (DI)

A/C Transfer Instr (ATI)

Stk Seg A/C Transfer Instr (STI)

Settlement Instruction (SI)

Hide Unmatched SI Content Cpty List

Investor Stm Instr (ISI)

ISI (With Affirm) Cpty List

ISI (W/O Affirm) Cpty List

Payment Instruction

Cash Prepayment

Maintain Cash Prepayment Standing Instr

Stock Borrowing / Lending

SBL Bulletin Board

Login Withdrawal Order

Election Instruction

Subscription Instruction

Corp Voting Instruction

EIPO Application

Tender Instruction

Maintain Unit Order - Creation

Maintain Unit Order - Redemption

Maintain In Kind Creation / Redemption

Maintain ISI (Without Affirmation) Counterparty List

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ICOA 01

18-May-07 15:38

Input ISI (Without Affirmation) Counterparty List

Designated Account to receive ISI shares delivered from IP without affirmation 2 AUTHORISED

Please input the IP account to which you would deliver shares via effecting FOP ISI without IP's affirmation

012345		

[Help](#)

General Enquiries

Enq Settlement Act / Status

Mtn Stk Segregated A/C with Stm Sev(SSA)

Mtn SSA Bank A/C

Delivery Instruction (DI)

A/C Transfer Instr (ATI)

Stk Seg A/C Transfer Instr (STI)

Settlement Instruction (SI)

Hide Unmatched SI Content Cpty List

Investor Stm Instr (ISI)

ISI (With Affirm) Cpty List

ISI (W/O Affirm) Cpty List

Payment Instruction

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EIPO Application

Tender Instruction

Maintain Unit Order - Creation

Maintain Unit Order - Redemption

Maintain In Kind Creation / Redemption

Maintain ISI (Without Affirmation) Counterparty List

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ICOE 02

18-May-07 15:42

Enquire ISI (Without Affirmation) Counterparty List

Designated Account to receive ISI shares delivered from IP without affirmation : 2 AUTHORISED

You can effect FOP ISI to deliver shares to the IP Accounts listed below without the need of affirmation.

ISI Counterparty ID	IP Account Name	Status
035030	035030	AUTHORISED

[Enquire Another Record](#) [Help](#)

-1001 BOTTOM OF LIST

**Section 8.1.4a**ISI (Without Affirmation) Counterparty List Maintenance

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**DESCRIPTION OF FIELDS:**

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
ISI COUNTERPARTY ID	<ul style="list-style-type: none"><li>- type the ID of the counterparty (must be an Investor Participant).</li><li>- a valid 6-numeric code (e.g. 021355).</li><li>- at least one counterparty must be input.</li><li>- up to 12 counterparties can be input each time.</li><li>- display the ISI Counterparty ID in the list screen.</li></ul>
IP ACCOUNT NAME	<ul style="list-style-type: none"><li>- display the IP Account Name corresponding to the ISI Counterparty ID in the list screen.</li></ul>
FULL NAME	<ul style="list-style-type: none"><li>- display the full name corresponding to the ISI Counterparty ID.</li></ul>
STATUS	<ul style="list-style-type: none"><li>- identify the status of the ISI counterparty.</li><li>- select the status via the pull down menu in the prompt screen.</li><li>- no input is required.</li></ul>
DESIGNATED ACCOUNT TO RECEIVE ISI SHARES DELIVERED FROM IP WITHOUT AFFIRMATION	<ul style="list-style-type: none"><li>- defaulted as "2 - entitlement account"</li><li>- for receiving shares due from ISI (Without Affirmation) initiated by IP</li><li>- input the designated account for receiving shares from ISI (Without Affirmation) initiated by IP</li></ul>