

Terminal Operations

FUNCTION NAME: CASH CREATION ORDER MAINTENANCE

WHEN TO USE:

- The cash creation order maintenance is used in relation to Cash Creation Order for unit trust.

AVAILABLE MAINTENANCE FUNCTIONS:

- A. Add Cash Creation Order
To input details of a cash creation order for unit trust.
- B. Change Cash Creation Order
To change the details of a pending Cash Creation Order entered by the participant if any error is found.
- C. Delete Cash Creation Order
To delete a pending Cash Creation Order.
- D. Authorise Cash Creation Order
To authorise a pending Cash Creation Order.
- E. Enquire Cash Creation Order
To make enquiries on the details and current status of Cash Creation Orders.

AVAILABLE FUNCTION TIME:

- Except the ENQUIRE CASH CREATION ORDER function, cash creation order maintenance must be performed between 9:15 a.m. and 4:25 p.m. Monday to Friday (except holidays). The ENQUIRE CASH CREATION ORDER function must be performed between 9:00 a.m. and 8:00 p.m. Monday to Friday (except holidays).

FUNCTIONAL DESCRIPTIONS:

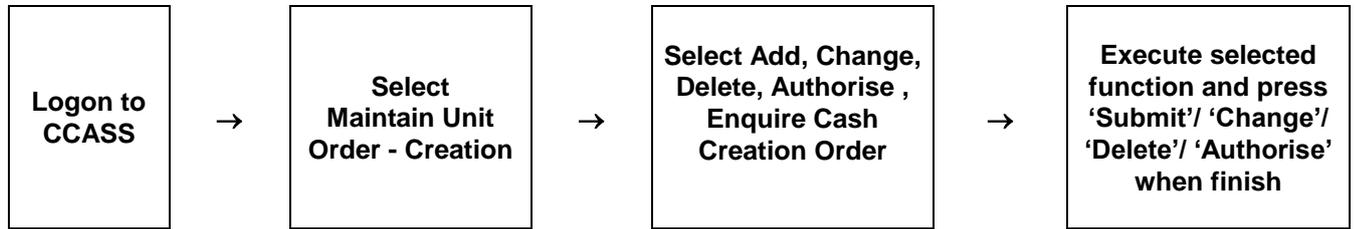
- Only participating dealers can input Cash Creation Order via CCASS terminal.
- Newly added Cash Creation Order will have a 'Pending' status. Details of a 'Pending' order can be changed using the CHANGE CASH CREATION ORDER function. 'Pending' Cash Creation Orders require authorisation using the AUTHORISE CASH CREATION ORDER function in order for the status to be updated to 'Accepted'. Once a cash creation order is accepted, no further changes or deletion will be allowed.
- Only pending Cash Creation Orders can be deleted with the DELETE CASH CREATION ORDER function.
- ENQUIRE CASH CREATION ORDER function can be used to view the details and current status of Cash Creation Orders. Data cannot be entered or changed with this function.

Section 8.2.10

Cash Creation Order Maintenance

- Pending Cash Creation Order will be purged by the system at day end.

The access path for cash creation maintenance function is:



CASH CREATION ORDER MAINTENANCE – Sample Screen:

The screenshot displays the 'Maintain Unit Order' interface. On the left is a vertical menu with various options, including 'Maintain Unit Order - Creation'. The main content area is titled 'Enquire Cash Creation Order Detail' and shows the following information:

Creation Order Number :	R00004751	Status :	PENDING
Stock :	5800 CRACKER FUND		
ISIN :	HK2800008000		
Market :	HONG KONG MARKET		
Stock Account :	1 CLEARING A/C		
Creation Quantity :	6,000,000		
Expected Settlement Date :	03-JUL-07		
Creation Acceptance Date :			
Remaining Tap Balance :	882,000,000		

At the top right of the screen, there is a header with the text: B0306001, HCCE 03, and 21-May-07 15:55. Below the main details, there are links for 'Enquire Another Instruction', 'Go To List', and 'Help'.

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
CREATION ORDER NUMBER	<ul style="list-style-type: none"> - display the unique reference number assigned by CCASS when the ADD CASH CREATION ORDER DETAIL screen is retrieved. - the Creation Order Number is a 9-digit reference number beginning with the character 'R'. - for ADD CASH CREATION ORDER FUNCTION, no entry is required.
SELECT	<ul style="list-style-type: none"> - click the check box for the particular cash creation order to be authorised or deleted. - click multiple check boxes for selection of multiple cash creation orders to be authorised or deleted. - 'Select All' for all cash creation orders to be authorised or deleted.
STOCK	<ul style="list-style-type: none"> - display the stock code and stock short name of the stock of the cash creation order.
ISIN	<ul style="list-style-type: none"> - display the International Securities Identification Number of the stock of the cash creation order.
ISIN OR STOCK CODE	<ul style="list-style-type: none"> - input the ISIN / stock code for display of a particular stock for the cash creation order. - 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.
MARKET	<ul style="list-style-type: none"> - select the market code assigned by HKSCC via pull down menu. - display the market code and market short name of the market being enquired.
STOCK ACCOUNT	<ul style="list-style-type: none"> - type a valid stock account code for the credit of units being created. - '1' for the Clearing Account; '2' for Entitlement Account; '3', '4', ... for other segregated accounts. - must not be a TSF Account ('17' or '18') - CCASS overlooks leading zero(s); i.e. '5', '05' and '005' are treated as the same.
CREATION QUANTITY	<ul style="list-style-type: none"> - type the quantity of units to be created for the cash creation order; - must be greater than 0 and in multiple of the cash creation unit.

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Cash Creation Order Maintenance

<u>Field</u>	<u>Description/Format</u>
EXPECTED SETTLEMENT DATE	<ul style="list-style-type: none">- display the expected settlement day of the transaction, i.e. 2 settlement days after the input day;- no input is required.
CREATION ACCEPTANCE DATE	<ul style="list-style-type: none">- display the acceptance date of the creation order;- not applicable for ADD CASH CREATION ORDER function.
REMAINING TAP BALANCE	<ul style="list-style-type: none">- display only if input stock with tap facility;- displays the balance of the unit trust available for new cash creation order.
STATUS	<ul style="list-style-type: none">- display the status of the cash creation order. CCASS defaults to 'Pending';- no input is required.