
Terminal Operations

FUNCTION NAME: SPECIFIC TO GENERAL STOCK COLLATERAL MAINTENANCE

WHEN TO USE:

- To change the usage of CCASS stock in a CCMS collateral account from specific collateral purpose to general collateral purpose.

AVAILABLE MAINTENANCE FUNCTION:

- A. Add Specific To General Stock Collateral
To change part or all specific stock collateral as general stock collateral.

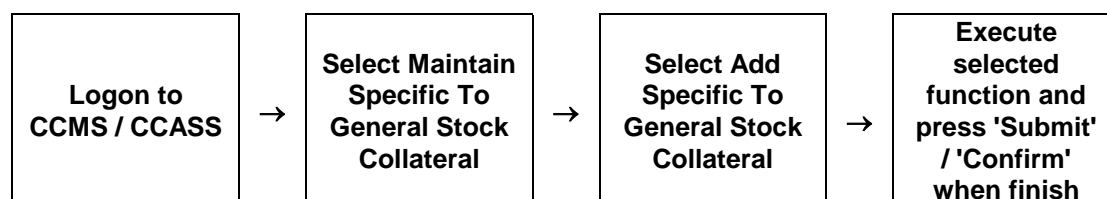
AVAILABLE FUNCTION TIME:

- Function available from 9:30 a.m. to 7:00 p.m. Monday to Friday (except holiday) with function temporary blocked-off (a few minutes) during the collateralisation process of any clearing house (e.g. around 11:10 a.m. for scheduled intra-day marks collateralisation of HKSCC, etc.).

FUNCTIONAL DESCRIPTION:

- Only CCASS Participant users can use this function to re-designate a specified quantity of CCASS stock in a specified CCMS collateral account from specific collateral purpose to general collateral purpose.
- If there is sufficient available quantity of specific stock collateral of the specified settlement date (i.e. stocks were intended for specific stock collateral purpose but were not actually put on-hold by CCMS), the change in usage is effective immediately upon successful input.
- The quantity re-designated as general stock collateral will be available for other purposes.

The access path for the specific to general stock collateral maintenance function is:



SPECIFIC TO GENERAL STOCK COLLATERAL MAINTENANCE – Sample Screen:

Enquire Deposit/Withdrawal Order	Maintain Specific To General Stock Collateral	Site Map	Broadcast Message	Report Download	B0652001
Mtn CCASS-To-CCMS Stock Transfer		Announcement Information	Change Password	Print	Logout
Request Collateral Revaluation	Add Specific To General Stock Collateral Execution				
Confirm for Posting/Collateralisation	Tran Ref :	4622			
Enquire Posting/Collateralisation Status	Firm ID :	BF06520 BF06520			
Generate Manual Posting	Participant ID :	B06520 B06520			
Mtn General to Specific Stock Collateral	Account Type :	HOUSE			
Mtn Specific to General Stock Collateral	Account Number :	0001			
Confirm for Payment	Account Name :	B06520			
Enquire Payment Batch Status	Account Status :	ACTIVE			
Payment Receipt Confirmation	ISIN or Stock Code :	6501 / LN-ISIN06501			
Enquire Collateral Account Balance	Total Available Quantity :	0			
Enquire Collateral Inventory	Quantity :	200			
Enq Coll Acct to Trans Acct Relationship	Settlement Date :	01-NOV-02			
Maintain Bank Master	Remark :	TUG			
Mtn Stock/Qty Mapping and Conversion	Change Another Record		Help		
Mtn Bond/Stock Coll Valuation Parameters	-2003 RECORD ADDED SUCCESSFULLY				
Mtn Currency Exchange Rate and Haircut					
Mtn Curr Interest and Retention Rate					
Validate and Approve Deposit/Withdrawal					
Mtn Cash Coll to Manual Orders					

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
TRAN REF	- display the unique key assigned for the instruction.
FIRM ID	- display the FIRM ID of the initiating participant. - change not allowed.
PARTICIPANT ID	- display the Participant ID of the initiating participant. - change not allowed.
ACCOUNT TYPE	- use the pull down menu to select the type of collateral account in which stocks are to be maintained. - can be 'HOUSE', 'CLIENT' or 'MARKET MAKER'. - must be 'HOUSE' for CCASS participant.
ACCOUNT NUMBER	- input the account number of participant's collateral account of the account type which specific stock collateral is to be maintained. - must be '0001' for CCASS participant's 'HOUSE' collateral account.
ACCOUNT NAME	- display the name of the specified collateral account.

<u>Field</u>	<u>Description/Format</u>
ACCOUNT STATUS	<ul style="list-style-type: none"> - display the status of the specified collateral account. - must be 'ACTIVE' in order to be eligible for maintenance.
ISIN OR STOCK CODE	<ul style="list-style-type: none"> - input the ISIN / stock code of the CCASS stock for maintenance.
TOTAL AVAILABLE QUANTITY	<ul style="list-style-type: none"> - display the available quantity (in number of shares) of specific stock collateral of the specified settlement date in the collateral account for maintenance. - change not allowed.
QUANTITY	<ul style="list-style-type: none"> - input the quantity of shares to be changed from specific stock collateral to general stock collateral. - cannot exceed the total available quantity of specific stock collateral of the specified settlement date in the collateral account. - must be greater than zero.
SETTLEMENT DATE	<ul style="list-style-type: none"> - Settlement Date refers to the settlement date of which specific stock collateral was designated to cover its relevant short CNS position(s). As the amount of stocks previously designated as specific stock collateral may not have been put on-hold in full by CCMS, CCMS will identify the Total Available Quantity of specific stock collateral of the specified settlement date to facilitate participant's transfer activity.
REMARK	<ul style="list-style-type: none"> - for the optional input of remarks.