Special Enquire Functions

FUNCTION NAME: **ENQUIRE STOCK ACCOUNT BALANCE**

WHEN TO USE:

- To enquire the balances of all stocks in all of a participant's accounts. Participants can check the availability of stock balance for their settlement activities.

AVAILABLE FUNCTION TIME:

- This enquiry function is available between 7:15 a.m. to 9:30 p.m. on weekdays (i.e. Monday to Friday, except public holiday).

FUNCTIONAL DESCRIPTION:

- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.

- Stock account balance can be viewed either by stock, by stock account or by market:

    A. Enquire by stock:

    - To list the stock balances of _each stock_.

    - List of stock movement activities of a particular stock for the current day can also be retrieved (for details on stock movement activities, please refer to Section 9.1.2).

    B. Enquire by stock account:

    - To list the stock account balances of _each stock account_.

    - List of stock movement activities of a particular stock account for the current day can also be retrieved (for details on stock movement activities, please refer to Section 9.1.2).
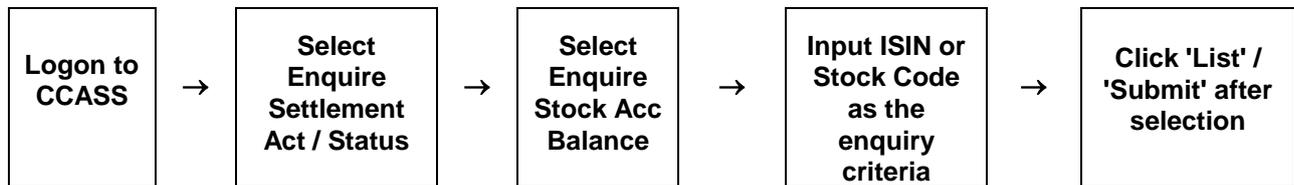
    C. Enquire for stocks in a particular market:

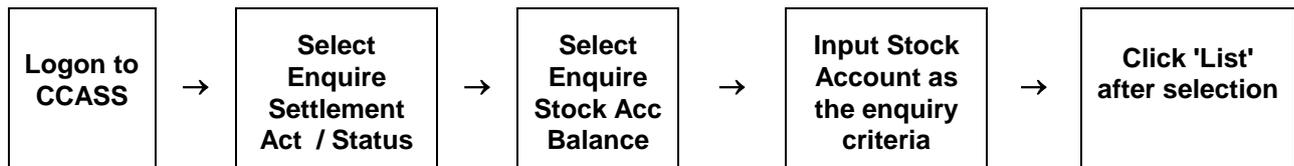   - To list the stock account balances of _all stocks in a particular market_.

The access paths for Enquire Stock Account Balance are:

A. Enquire by stock:

Logon to CCASS	→	Select Enquire Settlement Act / Status	→	Select Enquire Stock Acc Balance	→	Input ISIN or Stock Code as the enquiry criteria	→	Click 'List' / 'Submit' after selection

B. Enquire by stock account:

Logon to CCASS	→	Select Enquire Settlement Act / Status	→	Select Enquire Stock Acc Balance	→	Input Stock Account as the enquiry criteria	→	Click 'List' after selection

ENQUIRE STOCK ACCOUNT BALANCE - Sample Screen

DESCRIPTION OF FIELDS:

Field	*Description/Format*
ISIN OR STOCK CODE	- input the ISIN / Stock to list the stock balances for a particular stock by stock account. - CCASS overlooks leading zero(s); i.e. '17', '017', '0017' and '00017' are treated as the same. - can obtain the ISIN or stock code from the hyperlink of 'Enquire Stock List'.
STOCK ACCOUNT	- input the Stock Account to list the stock account balance for the input stock account to be displayed by stock. - '1' for *Clearing Account*; ' 2' onwards for *Segregated Accounts.* - CCASS overlooks leading zero(s); i.e. '5', '05' and '005' are treated as the same. - click at the stock account hyperlink to list the stock movement activities of a particular stock account for current day.
MARKET	- select the market code assigned by HKSCC via the pull down menu to list the stock balances of all stocks under that particular market by stock. - display the market code and market full name of the market being enquired.
STOCK CODE	- display the stock code and stock short name of the stock being enquired. - click at the stock short name hyperlink to list the detail of all stock account of a particular stock for current day.
ISIN	- display the International Securities Identification Number of the stock being enquired.
TOTAL ACCOUNT BALANCE	- display the total stock balance (sum of clearing and segregated account balances) of the stock.
STOCK ACCOUNT NAME	- display the stock account short name being enquired. - click at the stock account name hyperlink to list the stock movement activities of a particular stock account for current day.
ACCOUNT BALANCE	- display the account balance of each stock account for the stock.

Field	*Description/Format*
CNS ALLOCATED	- display the quantity of allocated shares from settlement of CNS long positions. - some of the allocated shares may not be available for use. It depends on (1) whether the participant owes money to HKSCC, (2) whether payment to HKSCC has been confirmed by HKSCC, and (3) whether a sufficient standby guarantee in favour of HKSCC has been arranged. - **only appear in the Clearing Account (1).**
RDP ON-HOLD	- display the quantity of shares being put on-hold pending money settlement on a real-time DVP basis. - shares being put on-hold are not available for use.
SI LINK ON-HOLD	- display the quantity of shares from settlement of linked receiving SI being put on-hold pending for settlement of its linked delivering SI. - shares being put on-hold are not available for use.
DVP ISI ON-HOLD	- display the quantity of shares from ISI settlement being put on-hold pending for payment confirmation by the participant's designated bank. - shares being put on hold are not available for use.
ODD LOT WITHHOLD	- display the quantity of shares being withheld by CCASS which are pending for splitting of certificates being processed in share registrar due to withdrawal of odd lot denomination. - shares being withheld are not available for use.
DEPOSIT WITHHOLD	- display the quantity of shares being withheld by CCASS which are pending for re-registration of the deposited shares certificates. - Shares being withheld are not available for use.
TOTAL ON-HOLD/ WITHHOLD BALANCE	- display the total quantity of on-hold/withhold shares being withheld by CCASS, i.e. the sum of RDP On-hold, DVP ISI On-hold, SI Link On-hold, Odd Lot Withhold and Deposit Withhold.