

## Special Enquire Functions

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**FUNCTION NAME: ENQUIRE STOCK ACCOUNT MOVEMENT**

**WHEN TO USE:**

- To enquire the stock movement activities by stock or by stock account occurred within one month.

**AVAILABLE FUNCTION TIME:**

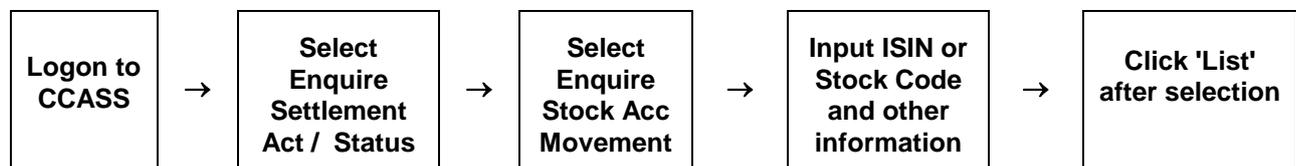
- This enquiry function is available between 7:15 a.m. to 9:30 p.m. on weekdays (i.e. Monday to Friday, except public holiday).

**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 movement can be viewed either by stock or by stock account:
  - a. Enquire by stock:**
    - To list the stock movement activities of each stock.
  - b. Enquire by stock account:**
    - To list the stock movement activities of each stock account.

The access paths for Enquire Stock Account Movement are:

**A. Enquire by stock:**



**B. Enquire by stock account:**



**Section 9.1.2**  
**Enquire Stock Account Movement**

**ENQUIRE STOCK ACCOUNT MOVEMENT- Sample Screens**

General Enquiries

Enq Settlement Act / Status

Mtn Stk Segregated A/C with Strm 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 Strm 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

Enquire Settlement Activity/Status

B0090102  
SSME 01  
21-May-07 13:23

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Enquire Stock Account Movement Prompt

ISIN or Stock Code :  [Enquire Stock List](#)

Stock Account :

Market :

Movement In/Out :  In  Out  Both

Start Time (HH:MM) :  :

Movement Date :

[Help](#)

General Enquiries

Enq Settlement Act / Status

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

Mtn SSA Bank A/C

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Tender Instruction

Maintain Unit Order - Creation

Maintain Unit Order - Redemption

Maintain In Kind Creation / Redemption

Enquire Settlement Activity/Status

B0090102  
SSME 02  
21-May-07 13:21

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Enquire Stock Account Movement By Stock

Market : ALL

Stock Code : 1 CHEUNG KONG      ISIN : HK0001000014      Movement Date : 2007-05-15

Stock Account Name	Market Date	Time	Type	Reference	Quantity	User ID	Remark
1 CLEARING A/C	2007-05-15	18:07:03	TO	S09479301	300		STI WITHOUT AFFIRMATION
21 TESTING 1	2007-05-15	18:07:03	TO	S09479301	300		STI WITHOUT AFFIRMATION

[Enquire Another Record](#)

-1001 BOTTOM OF LIST

[Help](#)

**DESCRIPTION OF FIELDS:**

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
ISIN OR STOCK CODE	<ul style="list-style-type: none"> <li>- input the ISIN / stock code to list the stock movement activities of a particular stock.</li> <li>- CCASS overlooks leading zero(s); i.e. '17', '017', '0017' and '00017' are treated as the same.</li> <li>- can obtain the ISIN or stock code from the hyperlink of 'Enquire Stock List'.</li> </ul>
STOCK ACCOUNT	<ul style="list-style-type: none"> <li>- input the stock account to list the stock movement activities of the stock account.</li> <li>- '1' for <i>Clearing Account</i>; '2' to '17' and '21' onwards for <i>Segregated Accounts</i>.</li> <li>- CCASS overlooks leading zero(s); i.e. '5', '05' and '005' are treated as the same.</li> </ul>
MARKET	<ul style="list-style-type: none"> <li>- select the market code assigned by HKSCC via the pull down menu to list the stock movement activities of all stocks under that particular market by stock.</li> <li>- display the market code and market short name of the market being enquired.</li> </ul>
MOVEMENT IN/OUT	<ul style="list-style-type: none"> <li>- choose the direction of stock movement as a selection criterion.</li> <li>- CCASS defaults to 'Both'; change if necessary.</li> <li>- 'Both' for listing stock movements both into and out of the account: 'In' for listing stock movements into the account only; 'Out' for listing stock movements out of the account only.</li> </ul>
START TIME (HH:MM)	<ul style="list-style-type: none"> <li>- type the starting time for listing the movement activities.</li> <li>- CCASS defaults to '00:00'; change if necessary.</li> <li>- time format is HH:MM (e.g. for 2:30 p.m., type '14:30').</li> </ul>
MOVEMENT DATE	<ul style="list-style-type: none"> <li>- type the date to enquire on its movement activities.</li> <li>- CCASS defaults to the current day.</li> <li>- CCASS accepts movement enquiries as early as one month ago.</li> <li>- valid date (DDMMYY) must be typed in one of the following formats: '23JAN92', '230192', '23-01-92' or '23/01/92'.</li> </ul>
STOCK	<ul style="list-style-type: none"> <li>- display the stock code and stock short name of the stock being enquired.</li> </ul>
ISIN	<ul style="list-style-type: none"> <li>- display the International Securities Identification Number of the stock being enquired.</li> </ul>
STOCK ACCOUNT NAME	<ul style="list-style-type: none"> <li>- display the stock account short name being enquired.</li> </ul>

**Section 9.1.2**  
**Enquire Stock Account Movement**

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
MARKET DATE	- display the market date of the stock movement activities.
TIME	- display the time of the stock movement activities.
TYPE	<ul style="list-style-type: none"> <li>- display the type of movement activity.</li> <li>AT -- account transfer instruction (ATI)</li> <li>BL -- Stock Borrowing</li> <li>CB -- benefit claims</li> <li>CC -- consolidation</li> <li>CE -- entitlements</li> <li>CH -- shareholding removal</li> <li>CR -- stock code conversion</li> <li>CS -- splitting</li> <li>CU -- benefit unclaims</li> <li>NE -- new issue from EIPO (including bonus issue, if any) and Tendering</li> <li>NI -- new issue from Yellow Form allotment, also applicable to bonus issue, if any</li> <li>SN -- continuous net settlement(CNS) position settlement</li> <li>SO -- investor settlement instruction (ISI (without affirmation)) position settlement</li> <li>SP -- investor settlement instruction (ISI (with affirmation)) position settlement</li> <li>SS -- settlement instruction (SI) position settlement</li> <li>ST -- isolated trade settlement</li> <li>SU -- investor settlement instruction (ISI) position unwind</li> <li>RD -- redemption</li> <li>TF -- stock release request, TSF earmarking / de-earmarking process</li> <li>TO -- Stock Segregated Account Transfer Instruction (STI (without affirmation)) position settlement</li> <li>TR -- multi-counter transfer instruction</li> <li>TW -- Stock Segregated Account Transfer Instruction (STI (with affirmation)) position settlement</li> <li>WD -- counter deposit</li> <li>WJ -- counter adjustment</li> <li>WT -- inter-depository transfer instructions</li> <li>WU -- underlying stock settlement of ETF</li> <li>WW -- counter withdrawal</li> </ul>
REFERENCE	<ul style="list-style-type: none"> <li>- display the reference number for each movement activity.</li> <li>- different movement types are associated with different references.</li> <li>e.g. for account transfer instructions, the reference is ATI number; for settlement related movements (i.e. SN, SP, SS, ST), the reference is the settlement position number.</li> </ul>

<u><b>Field</b></u>	<u><b>Description/Format</b></u>
QUANTITY	<ul style="list-style-type: none"> <li>- display the quantity of shares involved in the movement activity.</li> <li>- positive number for stock moving into the account; negative number for stock moving out of the account.</li> </ul>
USER ID	<ul style="list-style-type: none"> <li>- display the ID of the user who performed the stock movement activity.</li> </ul>
REMARKS	<ul style="list-style-type: none"> <li>- display additional information for the stock movement activity.</li> </ul> <p>e.g. (1) for settlement purposes (i.e. SI, ISI, IT, CNS), the counterparty's ID and name with DI number (if applicable)</p> <p>(2) for new issues from eIPO : "New Issue – EIPO"; also for bonus issue (from EIPO / Yellow Form), the application instruction number with the Beneficial Owner info (the first 20 characters only)</p> <p>(3) for new issues from tendering : "Tendering"</p>