

Special Enquire Functions

FUNCTION NAME: ENQUIRE DUE/OVERDUE POSITIONS

WHEN TO USE:

- To enquire on the summary/details of a stock's **due/overdue** positions. The function helps prepare for settlement.

AVAILABLE FUNCTION TIME:

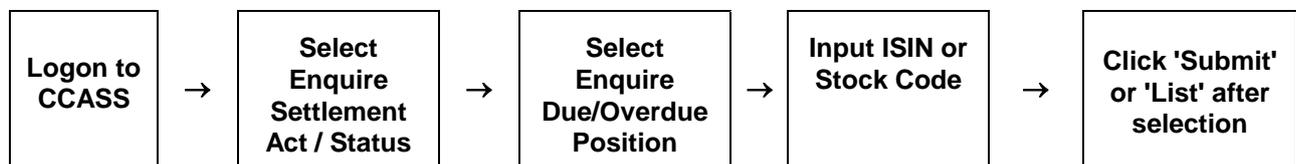
- This enquiry function is available between 7:15 a.m. to 8:00 p.m. on weekdays (i.e. Monday to Friday, except public holiday).

FUNCTIONAL DESCRIPTION:

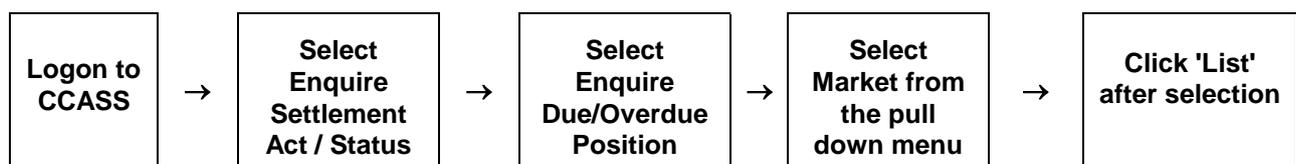
- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.
- Due / overdue positions can be viewed either by stock or filtered by market:
 - a. Enquire by stock:**
 - To list the due/overdue positions by stock or for a particular stock.
 - b. Enquire for a particular market:**
 - To list the due/overdue positions of all stock for a particular market.

The access paths for Enquire Due/Overdue Positions are:

A. Enquire by stock:

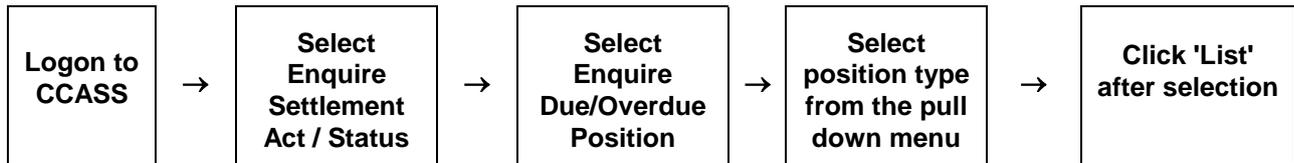


B. Enquire for a particular market:



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C. Enquire by position type:



ENQUIRE DUE/OVERDUE POSITIONS - Sample Screen

General Enquiries	Enquire Settlement Activity/Status			B0030001
Eng Settlement Act / Status	Site Map	Broadcast Message	Report Download	SOPE 05
Mtn Stk Segregated A/C with Stm Sev(SSA)	Announcement Information	Change Password	Print	Logout
Mtn SSA Bank A/C	Enquire Due / Overdue Position Detail			11-Apr-12 18:00
Delivery Instruction (DI)	Settlement Position Number :	P41060254 HOLD	Internal Reference :	
A/C Transfer Instr (ATI)	Position Type :	SI SETTLEMENT INSTRUCTION	SI Matched Date :	11-APR-12
Stk Seg A/C Transfer Instr (STI)	Stock Code :	8 PCCW	Last Update Date :	11-APR-12
Maintain Inter-counter Trf/Conv Instr	ISIN :	HK0008009653	Last Update Time :	17:31:02
Settlement Instruction (SI)	Market :	HONG KONG MARKET	Last Update By :	CCASS
Hide Unmatched SI Content Cpty List	Settlement Date :	30-JAN-12		
Investor Stm Instr (ISI)	Participant Reference :	I00026101		
ISI (With Affirm) Cpty List	Counterparty :	B00301 JK B00301		
ISI (W/O Affirm) Cpty List	Counterparty Reference :	I00026100		
Payment Instruction	Settlement Currency :	USD		
Cash Prepayment			Quantity	Trade Amount
Mtn Cash Pre-pmt/TSF Pmt Standing Instr	Original Position :		1,000	0.00
Maintain Stock Release Request	Outstanding Position :		1,000	0.00
Stock Borrowing / Lending	DI Required :	NO		
SBL Bulletin Board	Hold Matched SI Position Indicator :	YES		
Login Withdrawal Order	Payment Instruction :	FOP		
Election Instruction	Client Account Number :			
Subscription Instruction	Processing Reference :			
Corp Voting Instruction	Receiving Account:	1 CLEARING A/C		
EIPO Application	SI Linkage Reference :			
Tender Instruction	Purpose of SI :			
Maintain Unit Order - Creation			Enquire Another Record	Go To List
Maintain Unit Order - Redemption				Help
Corp Communication				
Upload Batch File				
Mtn CCASS-To-CCMS Stock Transfer				
Mtn General to Specific Stock Collateral				

DESCRIPTION OF FIELDS:

<u>Field</u>	<u>Description/Format</u>
ISIN OR STOCK CODE	<ul style="list-style-type: none"> - input the ISIN / stock code to list the due / overdue positions starting from the stock or for a particular stock. - 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'.
MARKET	<ul style="list-style-type: none"> - select the market code assigned by HKSCC via the pull down menu to list the due / overdue positions of all stocks under that particular market by stock. - display the market code and market short name of the market being enquired.

<u>Field</u>	<u>Description/Format</u>
STOCK CODE	- display the stock code and stock short name of the stock being enquired.
ISIN	- display the International Securities Identification Number of the stock being enquired.
DELIVERING QUANTITY	- display the number of shares that are required to be delivered for settlement. - must be either zero or negative number.
RECEIVING QUANTITY	- display the number of shares that are to be received from the counterparty / counterparties. - must be either zero or positive number.
NET QUANTITY	- display the net due/overdue quantity of stock to be settled. - NET QUANTITY is equal to RECEIVING QUANTITY minus DELIVERING QUANTITY (numeric value without sign). - positive number means net long stock position; negative number means net short stock position.
SELECT	- click to select the position type(s) for further information. - more than one position type can be selected at a time.
POSITION TYPE or TYPE	- select the Position Type via pull down menu to list the due / overdue positions of all stocks for that particular position type 'ALL' for all types of positions; 'CNS' for Continuous Net Settlement; 'IT' for Isolated Trade; 'SI' for Settlement Instruction; 'ISI' for Investor Settlement Instruction. - display the position type. 'CNS' for Continuous Net Settlement; 'IT' for Isolated Trade; 'SI' for Settlement Instruction; 'ISI' for Investor Settlement Instruction.
RECEIVABLE AMOUNT	- display the incoming money to be received for each position type. - must be either zero or positive value.
PAYABLE AMOUNT	- display the outgoing money to be paid for each position type. - must be either zero or negative value.
SETTLEMENT CURRENCY	- display the settlement currency of the AMOUNT RECEIVABLE and AMOUNT PAYABLE.
SETTLEMENT DATE	- display the due date for settlement with counterparty.
SETTLEMENT POSITION NUMBER	- display the settlement position number.

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<u>Field</u>	<u>Description/Format</u>
COUNTERPARTY	- display counterparty's ID and name.
DI REQUIRED	- display the DI requirement for settlement. 'Yes' for 'requiring settlement by entering a DI'; 'No' for 'settlement by CCASS's multiple batch settlement or by entering a DI'.
HOLD MATCHED SI POSITION INDICATOR	- display the 'Hold Matched SI Position' indicator of the SI position. When either party or both parties of SI elect(s) the 'Hold Matched SI' field of their SI as 'Yes', the 'Hold Matched SI Position' indicator will appear as 'Yes'. When both parties of SI select 'No' for 'Hold Matched SI' field of their SI, the position indicator will be shown as 'No'. 'Yes' for the matched SI is put on-hold for settlement. "No" for SI ready for settlement by entering a DI or by batch settlement run. - this field only appears in SI positions.
OUTSTANDING POSITION QUANTITY	- display the quantity of stock not yet settled. - positive means 'long position'; negative means 'short position'.
SETTLEMENT POSITION SUFFIX	- display at the right side of the settlement position number. - for Buy-in Trades, Suffix = 'B'. - for SI positions, Suffix = Purpose of SI. 'C' for Broker-Custodian transactions; 'L' for New Borrowing/Lending; 'P' for Stock Pledging; 'M' for Portfolio Movement; 'R' for Return/Recall; blank if not specified. - for ISI positions, Suffix = Purpose of ISI. 'I' for Investor-intermediary Transactions; 'L' for New Borrowing/Lending; 'P' for Stock Pledging; 'M' for Portfolio Movement; 'R' for Return/Recall blank if not specified.
ORIGINAL POSITION QUANTITY	- display the initial amount of shares when the settlement position was created.
TRADE AMOUNT	- display the money value of the shares involved when the settlement position was created.
ACCRUED INTEREST	- display the accrued interest of the interest-bearing debt securities involved when the settlement position was created. - the currency of the ACCRUED INTEREST is the same as that of the TRADE AMOUNT.

<u>Field</u>	<u>Description/Format</u>
OUTSTANDING POSITION QUANTITY	<ul style="list-style-type: none"> - display the outstanding position quantity which refers to the number of shares not yet settled in the position. - must be less than or equal to the amount in the ORIGINAL POS QUANTITY field. - negative for short position; positive for long position.
TRADE AMOUNT	<ul style="list-style-type: none"> - display the outstanding position trade amount which refers to the money value of shares not yet settled in the position. - must be less than or equal to the amount in the ORIGINAL POS TRADE AMOUNT field. - positive means 'amount to be received'; negative means 'amount to be paid'.
ACCRUED INTEREST	<ul style="list-style-type: none"> - display the outstanding position accrued interest which refers to the accrued interest of interest-bearing debt securities not yet settled in the position. - must be less or equal to the amount in the ORIGINAL POS ACCRUED INTEREST. - the currency of the ACCRUED INTEREST is the same as that of the TRADE AMOUNT.
PAYMENT INSTRUCTION	<ul style="list-style-type: none"> - display the payment instruction ('DVP' for delivery versus payment; 'FOP' for free of payment'; 'RDP' for realtime delivery versus payment).
DELIVERING A/C (RECEIVING A/C)	<ul style="list-style-type: none"> - display the stock account for settlement. - for delivering participant, this field displays 'DELIVERING A/C'. - for receiving participant, this field displays 'RECEIVING A/C'.
SI LINKAGE REFERENCE	<ul style="list-style-type: none"> - display the SI linkage reference for a linked SI. - this field only appear in SI positions.
DVP ON HOLD REQ	<ul style="list-style-type: none"> - display the DVP ON HOLD required 'Y' for putting the shares on-hold, 'N' for not putting the shares on-hold. - this field only appear in ISI positions.
INTERNAL REFERENCE	<ul style="list-style-type: none"> - display the participants' internal transaction reference (10 characters) for SI or ISI position, if entered, or the trade reference number (TRN 16 digits) for an IT position. - this field only appear for SI, ISI and IT positions.
PARTICIPANT REFERENCE	<ul style="list-style-type: none"> - display the participant's SI input number for the SI position. - display the participant's ISI input number for ISI position. - this field only appear in SI or ISI positions.
COUNTERPARTY REFERENCE	<ul style="list-style-type: none"> - display the counterparty's SI or ISI input number for the position. - this field only appear in SI or ISI positions.

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<u>Field</u>	<u>Description/Format</u>
CLIENT ACCOUNT NUMBER	<ul style="list-style-type: none"> - display the participant's internal client account number. - this field only appear for SI or ISI positions. - display the client account number input non-IP participant or by counterparty (IP) for ISI (without affirmation) created by IP counterparty.
PROCESSING REFERENCE	<ul style="list-style-type: none"> - display the processing information of the SI entered by participant for internal reconciliation and reference
SI MATCHED DATE or ISI AFFIRMED DATE	<ul style="list-style-type: none"> - display the date that the pair of SIs between the participant and counterparty were matched or matched on-hold. Or - display the date the counterparty investor participant affirmed the ISI. - this field only appear in SI or ISI positions.
PURPOSE OF SI OR PURPOSE OF ISI	<ul style="list-style-type: none"> - display the purpose of the SI. 'C' for Broker-Custodian transaction 'L' for New Borrowing/Lending 'P' for Stock Pledging 'M' for Portfolio Movement 'R' for Return/Recall blank if not specified. - display the purpose of the ISI. 'I' for Investor-Intermediary transaction 'L' for New Borrowing/Lending 'P' for Stock Pledging 'M' for Portfolio Movement 'R' for Return/Recall blank if not specified. - this field only appear for SI or ISI positions.
LAST UPDATE BY	<ul style="list-style-type: none"> - display the ID of the user who most recently updated this CNS, SI, ISI or IT. If the last update is done by the system, 'CCASS' will be displayed.
LAST UPDATE DATE	<ul style="list-style-type: none"> - display the date of the most recent update of the CNS, SI, ISI or IT.
LAST UPDATE TIME	<ul style="list-style-type: none"> - display the time of the most recent update of the CNS, SI, ISI or IT.

N.B. Highlighted word(s) (red in colour monitor, higher intensity in monochrome monitor) may appear on the detail screen in special situations.

<u>Highlighted word(s)</u>	<u>Remarks</u>
'FROZEN'	Display next to the POSITION TYPE field to indicate the position (can be any position) as frozen.
'BUY-IN REQUESTED'	Display next to the Settlement Position Number field to indicate that a buy-in trade is required to be executed.
'BUY-IN TRADE'	Display next to the SETTLEMENT POS NO field to indicate that the position (must be an IT) arises from a buy-in trade.
'HOLD'	Display next to the SETTLEMENT POS NO field to indicate that the position (must be a SI) is put on-hold for settlement after successful matching