

Special Enquire Functions

FUNCTION NAME: ENQUIRE SETTLEMENT ACTIVITY

WHEN TO USE:

- To enquire on the settlement activities for all positions which have been settled on the current day.

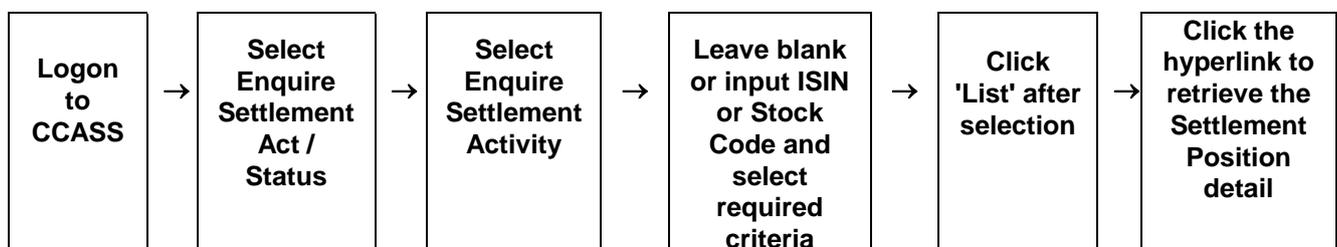
AVAILABLE FUNCTION TIME:

- 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.
- Can obtain either a full list of all positions settled on the current day or specify the criteria (stock, position type, settlement method, market) for listing only some positions. The following information is given in the list:
 - stock code and name
 - position type
 - settlement position number
 - settlement method
 - settled quantity
 - settled money amount.
- Can display further details for individual settled positions from the list.

The access path for Enquire Settlement Activity is:



Section 9.1.4
Enquire Settlement Activity

ENQUIRE SETTLEMENT ACTIVITY - Sample Screen

<ul style="list-style-type: none"> General Enquiries Enq Settlement Act / Status Mtn Stk Segregated A/C with Stm Sev(SSA) Mtn SSA Bank A/C Delivery Instruction (DI) A/C Transfer Instr (ATI) Stk Seg A/C Transfer Instr (STI) Maintain Inter-counter Trf/Conv Instr Settlement Instruction (SI) Hide Unmatched SI Content Cpty List Investor Stm Instr (ISI) ISI (With Affirm) Cpty List ISI (W/O Affirm) Cpty List Payment Instruction Cash Prepayment Mtn Cash Pre-pmt/TSF Pmt Standing Instr Maintain RMB Conversion Request Maintain Stock Release Request Maintain TSF Earmarking Obligation Maintain Cash Prepmnt Received for IPI Stock Borrowing / Lending SBL Bulletin Board Login Withdrawal Order Election Instruction Subscription Instruction Corp Voting Instruction Maintain Early-Ended Voting EIPO Application Maintain Broker Number/Name Tender Instruction Maintain Unit Order - 	<table border="1"> <tr> <td colspan="2">Enquire Settlement Activity/Status</td> <td style="text-align: right;">B0316901</td> </tr> <tr> <td colspan="2"></td> <td style="text-align: right;">SSAE 03</td> </tr> <tr> <td colspan="2"></td> <td style="text-align: right;">12-Apr-12 18:20</td> </tr> <tr> <td colspan="3"> Site Map Broadcast Message Report Download Announcement Information Change Password Print Logout </td> </tr> <tr> <td colspan="3">Enquire Settlement Activity Detail</td> </tr> <tr> <td>Settlement Position Number :</td> <td>P41060292</td> <td>Internal Reference :</td> <td>TXN 289</td> </tr> <tr> <td>Position Type :</td> <td>SI SETTLEMENT INSTRUCTION</td> <td>Settled Time :</td> <td>11:34:24</td> </tr> <tr> <td>Stock Code :</td> <td>122 CROCODILE</td> <td></td> <td></td> </tr> <tr> <td>ISIN :</td> <td>HK0122000687</td> <td></td> <td></td> </tr> <tr> <td>Market :</td> <td>HKMK - HONG KONG MARKET</td> <td></td> <td></td> </tr> <tr> <td>Settlement Date :</td> <td>30-JAN-12</td> <td></td> <td></td> </tr> <tr> <td>Participant Reference :</td> <td>140285200</td> <td></td> <td></td> </tr> <tr> <td>Counterparty:</td> <td>B03170 B03170 5TH PART</td> <td></td> <td></td> </tr> <tr> <td>Counterparty Reference :</td> <td>140285308</td> <td></td> <td></td> </tr> <tr> <td>Settlement Method :</td> <td>PB PERIODIC BATCH</td> <td></td> <td></td> </tr> <tr> <td>Delivering Account :</td> <td>1 CLEARING A/C</td> <td></td> <td></td> </tr> <tr> <td>Settlement Currency:</td> <td>CNY</td> <td></td> <td></td> </tr> <tr> <td></td> <td style="text-align: center;">Quantity</td> <td style="text-align: center;">Trade Amount</td> <td style="text-align: center;">Accrued Interest</td> </tr> <tr> <td>Original Position :</td> <td style="text-align: right;">3,210-</td> <td style="text-align: right;">5,870,000.00</td> <td style="text-align: right;">0.00</td> </tr> <tr> <td>Settled Position :</td> <td style="text-align: right;">3,210-</td> <td style="text-align: right;">5,870,000.00</td> <td style="text-align: right;">0.00</td> </tr> <tr> <td>Payment Instruction :</td> <td>DVP</td> <td></td> <td></td> </tr> <tr> <td>EPI Number :</td> <td>E40898826</td> <td></td> <td></td> </tr> <tr> <td>Client Account Number :</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Processing Reference :</td> <td>PROCESSING REF289</td> <td></td> <td></td> </tr> <tr> <td>SI Linkage Reference :</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Purpose of SI :</td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="2"></td> <td style="text-align: center;">Enquire Another Record</td> <td style="text-align: center;">Go To List Help</td> </tr> </table>	Enquire Settlement Activity/Status		B0316901			SSAE 03			12-Apr-12 18:20	Site Map Broadcast Message Report Download Announcement Information Change Password Print Logout			Enquire Settlement Activity Detail			Settlement Position Number :	P41060292	Internal Reference :	TXN 289	Position Type :	SI SETTLEMENT INSTRUCTION	Settled Time :	11:34:24	Stock Code :	122 CROCODILE			ISIN :	HK0122000687			Market :	HKMK - HONG KONG MARKET			Settlement Date :	30-JAN-12			Participant Reference :	140285200			Counterparty:	B03170 B03170 5TH PART			Counterparty Reference :	140285308			Settlement Method :	PB PERIODIC BATCH			Delivering Account :	1 CLEARING A/C			Settlement Currency:	CNY				Quantity	Trade Amount	Accrued Interest	Original Position :	3,210-	5,870,000.00	0.00	Settled Position :	3,210-	5,870,000.00	0.00	Payment Instruction :	DVP			EPI Number :	E40898826			Client Account Number :				Processing Reference :	PROCESSING REF289			SI Linkage Reference :				Purpose of SI :						Enquire Another Record	Go To List Help
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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 for display of settled positions information 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'.
POSITION TYPE	<ul style="list-style-type: none"> - select a position type from the pull-down menu. <ul style="list-style-type: none"> listing all types of positions; listing CNS (Continuous Net Settlement) positions only; listing IT (Isolated Trade) positions only; listing SI (Settlement Instruction) positions only; listing ISI (Investor Settlement Instruction) positions only. - CCASS default to ALL; change if necessary. - display the position type.

<u>Field</u>	<u>Description/Format</u>
SETTLEMENT METHOD	<ul style="list-style-type: none"> - type the method of settlement as one of the criteria for listing. AJ for Accrued Interest Adjustment; AL for Allocation; AP for Abnormal Position Settlement; CN for Continuous Net Settlement; DI for settled by Delivery Instruction from participant; PB for settled by Periodic Batch of CCASS; SA for ISI settled upon input or affirmation by IP; RD for realtime DVP settlement. SC for specific collateral settlement under Common Collateral Management System (Abnormal positions are those positions with abnormal features as a result of netting process e.g. stock position and money position are both long or both short. They are settled daily by HKSCC.) (Settlement method 'AJ' is used for adjusting the accrued interest for interest-bearing debt securities.) - optional field; default to list positions settled by all types of methods.
MARKET	<ul style="list-style-type: none"> - select the market code assigned by HKSCC via 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.
STOCK	<ul style="list-style-type: none"> - display the stock code and stock short name of the stock being enquired.
ISIN	<ul style="list-style-type: none"> - display the International Securities Identification Number of the stock being enquired.
SETTLEMENT POSITION NUMBER	<ul style="list-style-type: none"> - display the settlement position number.
SETTLED QUANTITY	<ul style="list-style-type: none"> - display the number of shares settled for each position.
TRADE AMOUNT	<ul style="list-style-type: none"> - display the trade amount of shares settled for each position. - not including accrued interest for interest-bearing debts securities.
SETTLEMENT CURRENCY	<ul style="list-style-type: none"> - display the settlement currency of the TRADE AMOUNT.
SETTLEMENT DATE	<ul style="list-style-type: none"> - display the due date for settlement.
COUNTERPARTY	<ul style="list-style-type: none"> - display the counterparty's ID and name (for CNS position, counterparty must be HKSCC).

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<u>Field</u>	<u>Description/Format</u>
DELIVERING A/C (RECEIVING A/C)	<ul style="list-style-type: none"> - display the stock account for settlement. - for delivering participants, this field display `DELIVERING A/C'. - for receiving participant, this field display `RECEIVING A/C'.
PARTICIPANT REF	<ul style="list-style-type: none"> - display the participant's SI or ISI input number for the position. - this field only appear in SI or ISI positions.
COUNTERPART REF	<ul style="list-style-type: none"> - display the counterparty's SI input number for SI position. - display the participant's ISI input number for ISI position. - this field only appear in SI or ISI positions.
DI NUMBER	<ul style="list-style-type: none"> - display the DI (Delivery Instruction) number which is automatically generated by the system each time a position is settled by a DI. - this field only appear in positions settled by DI.
ORIGINAL POSITION :	
QUANTITY	<ul style="list-style-type: none"> - display the original amount of shares when the settlement position was created.
TRADE AMOUNT	<ul style="list-style-type: none"> - display the original money value of the shares when the settlement position was created.
ACCRUED INTEREST	<ul style="list-style-type: none"> - display the accrued interest of interest-bearing debt securities position when the settlement position was created. - the currency of the ACCRUED INTEREST is the same as that of the TRADE AMOUNT.
SETTLED POSITION:	
QUANTITY	<ul style="list-style-type: none"> - display the number of shares settled. - zero, '0' , for settlement method of 'AJ'.
TRADE AMOUNT	<ul style="list-style-type: none"> - display the money value of shares settled. - zero, '0', for settlement method of 'AJ'.
ACCRUED INTEREST	<ul style="list-style-type: none"> - display the accrued interest of interest-bearing debt securities settled. - for settlement method of 'AJ', displays the accrued interest adjustment amount; for other settlement methods, displays the accrued interest amount in the FCS or the Next Settlement Day Due/Overdue Position Report. - 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).

<u>Field</u>	<u>Description/Format</u>
EPI NUMBER	<ul style="list-style-type: none"> - display the Electronic Payment Instruction (EPI) number (EPI is automatically generated by CCASS to facilitate money settlement of DVP-SI, DVP-IT and DVP-ISI positions once they are settled in CCASS).
SI LINKAGE REF	<ul style="list-style-type: none"> - display the SI linkage reference for a linked SI. - this field only appear in SI positions.
INTERNAL REF	<ul style="list-style-type: none"> - display the participant's internal transaction reference (10 characters) for SI or ISI positions, if entered, or trade reference number (TRN 16 digits) for IT positions. - this field only appear for SI, ISI and IT positions.
CLIENT A/C NUMBER	<ul style="list-style-type: none"> - display the participant's internal client account number, if entered. - 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 REF	<ul style="list-style-type: none"> - display the processing information of the SI entered by participant for internal reconciliation and reference.
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.
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.
SETTLED BY	<ul style="list-style-type: none"> - display the ID of the user who settled the position by entering a DI. - this field only appear for positions settled by DI.
SETTLED TIME	<ul style="list-style-type: none"> - display the time that the position was settled.