

## Special Enquire Functions

---

**FUNCTION NAME: ENQUIRE UNMATCHED SI REASON**

**WHEN TO USE:**

- To enquire the details of unmatched SIs with unmatched fields identified and their corresponding unmatched reasons and associated standard reason codes displayed.

**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). However, when each Multiple Batch Settlement Run is in process, this function would not be available.

**FUNCTIONAL DESCRIPTION:**

- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.
- To enquire the details of unmatched SIs with unmatched fields identified of participant itself and counterparty in a pair, if identified. A "@" will be displayed in the left hand side of the Settlement Date column for those SI that is inputted by participant. The field contents of counterparty's unmatched SIs will be displayed in accordance with the Hide Unmatched SI Content Counterparty List as specified by its counterparty.
  - 1) If participants choose to hide unmatched field contents of their SI to their counterparties, only the SI input number of the participants' SI will be shown to the counterparties.
  - 2) If participants choose not to hide the unmatched SI field contents to their counterparties, all the details of the participants' SI will be shown to the counterparties.

Participants can refer to Section 8.1.2a for the details of HIDE UNMATCHED SI CONTENT COUNTERPARTY LIST maintenance functions.

- To display the unmatched SI reason with details of the SIs by various selection criteria. The unmatched SI shown in the enquiry function, participants can refer to the UNMATCHED SI REPORT (Refer to Section 4.3) for further details.
- Counterparty's Participant ID and Stock Code are used as the basic criteria of identifying possible matching SIs. If counterparty's SI is with 3 unmatched fields or less, it may be selected as most possible matching SI and paired up with Participant's SI.
- To facilitate communication between participants on resolving unmatched SI, the standard unmatched reason codes are also displayed:
  - 1 = Settlement Date
  - 2 = Client A/C No.
  - 3 = Stock Code/ISIN
  - 4 = Instruction Type

## Section 9.1.6

### Enquire Unmatched SI Reason

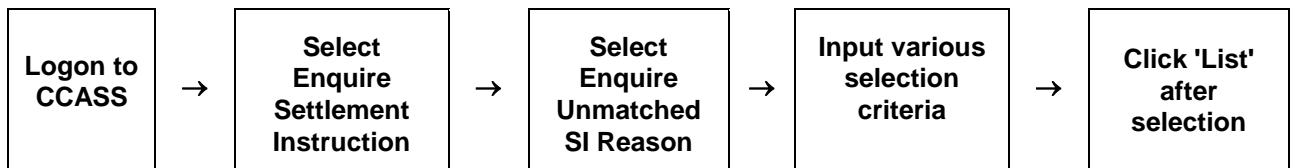
---

- 5 = Payment Instruction
- 6 = Quantity
- 7 = Money Value
- A= Settlement Currency
- 8 = No possible matching SI found

For most possible matching SI, the unmatched fields will be highlighted in red with a '\*' at the right hand side and with standardised unmatched reason codes 1 to 7 and A in a pair of both participant and counterparty SI. For not possible matching SI, reason code 8 would be shown in the Unmatched Reason Code column and only participant own SI would be shown. For those perfectly matching SI, no unmatched reason would be shown in the Unmatched Reason Code column.

- A "#" will be displayed at the right hand side of the Money Value column for those unmatched SIs with Money Value difference within the specific SI Tolerance Limit.

The access path for Enquire Unmatched SI Reason is:



ENQUIRE UNMATCHED SI REASON - Sample Screen

Maintain Settlement Instruction B0030001  
LSUE 02  
12-Apr-12 17:04

Site Map [Broadcast Message](#) [Report Download](#)  
[Announcement Information](#) [Change Password](#) [Print](#) [Logout](#)

**Enquire Unmatched Settlement Instruction Reason List**

Market : ALL

Settlement Date	C/P	Client A/C No	Processing Reference	Stock Code	ISIN	Instr Type	SI Input No	Intnl Ref	Pay Instr	Quantity	Unmatched Reason Code	Money Value
@ 31-JAN-12		B00301			8 HK0008009653	RECEIVE	I00026113		FOP	100 *	6	0.00 USD
31-JAN-12					8 HK0008009653	DELIVER	I00026112		FOP	10 -		0.00 USD

**Unmatched Reason Codes:**  
 1 - Settlement Date    2 - Client A/C No.    3 - Stock Code/ISIN    4 - Instruction Type    5 - Payment Instruction    6 - Quantity  
 7 - Money Value    A - Settlement Currency    8 - No possible matching SI found

Notes: @ - SI input by Participant itself    \* - Unmatched Field    # - Matched with Tolerance Limit

[Enquire Another Instruction](#)    [Help](#)

-1001 BOTTOM OF LIST

## Section 9.1.6

### Enquire Unmatched SI Reason

---

#### DESCRIPTION OF FIELDS:

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
SI INPUT NUMBER	<ul style="list-style-type: none"><li>- type a specific SI input number as a selection criterion to produce a list of unmatched SIs in a sequence that starts from that SI input number. (N.B. in this case, SI input number is treated as a selection criterion.)</li><li>- leave blank if not used as a selection criterion.</li><li>- display SI input number of participant or its counterparty</li></ul>
COUNTERPARTY	<ul style="list-style-type: none"><li>- type the counterparty ID as one of the selection criteria for listing unmatched SIs.</li><li>- leave blank if not used as a selection criterion (i.e. unmatched SIs of all counterparties are listed).</li><li>- can obtain the Counterparty ID from the hyperlink of 'Enquire Participant List'.</li></ul>
ISIN or STOCK CODE	<ul style="list-style-type: none"><li>- input the ISIN / stock code for listing of unmatched SIs information for 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><li>- leave blank if not used as a selection criterion (i.e. unmatched SIs of all stocks are listed).</li></ul>
MARKET	<ul style="list-style-type: none"><li>- select the market code assigned by HKSCC via pull down menu to list the unmatched SIs of all stocks under that particular market by stock.</li><li>- display the market code and short name of the stock being enquired.</li></ul>
INSTRUCTION TYPE	<ul style="list-style-type: none"><li>- select "DELIVER" to use the instruction type "Deliver" as one of the selection criteria for listing unmatched SIs.</li><li>- select "RECEIVE" to use the instruction type "Receive" as one of the selection criteria for listing unmatched SIs.</li><li>- select "ALL" if not used as a selection criterion (i.e. unmatched SIs of all instruction type are listed).</li></ul>

<u><b>Field</b></u>	<u><b>Description/Format</b></u>
SETTLEMENT DATE	<ul style="list-style-type: none"> <li>- type the settlement date as one of the selection criteria for listing unmatched SIs.</li> <li>- Leave blank if not used as a selection criterion (i.e. unmatched SIs of all stocks are listed).</li> <li>- Select radio button “=” to list those unmatched SIs with settlement date equal the date specified by participant at prompt screen.</li> <li>- Select radio button “&gt;=” to list those unmatched SIs with settlement date later than or equal to the date specified by participant at prompt screen.</li> <li>- Select radio button “&lt;=”to list those unmatched SIs with settlement date earlier than or equal to the date specified by participant at prompt screen.</li> <li>- CCASS defaults value of the radio button is ‘=’.</li> <li>- display the settlement date input for the unmatched SI.</li> </ul>
SI LINKAGE REQUIRED	<ul style="list-style-type: none"> <li>- select “YES” to use the SI linkage reference as one of the selection criteria for listing of those unmatched SIs with SI linkage reference only.</li> <li>- select “NO” to list those unmatched SIs without SI linkage reference.</li> <li>- select "ALL" if not used as a selection criterion.</li> <li>- not being displayed on the list screen.</li> </ul>
SI LINKAGE REFERENCE	<ul style="list-style-type: none"> <li>- type a SI linkage reference, as one of the selection criteria for listing of linked SIs, display only those unmatched SIs with a SI linkage reference starting with the entered SI linkage reference. (Note : SI Linkage Required should be selected as “YES”)</li> <li>- not being displayed on the list screen.</li> <li>- leave blank if not used as a selection criteria.</li> </ul>
NUMBER OF SHARES GREATER THAN	<ul style="list-style-type: none"> <li>- type the settlement quantity as one of the selection criteria for listing unmatched SIs, all unmatched SIs with settlement quantity greater than or equal to the input quantity should be listed.</li> <li>- Leave blank if not used as a selection criterion.</li> </ul>
MONEY VALUE GREATER THAN	<ul style="list-style-type: none"> <li>- type the settlement amount (of the settlement currency) as one of the selection criteria for listing unmatched SIs, all unmatched SIs with settlement amount greater than or equal to the input amount should be listed.</li> <li>- Leave blank if not used as a selection criterion.</li> </ul>
C/P	<ul style="list-style-type: none"> <li>- For SI inputted by Participant itself, the field would display the Participant ID of counterparty. For SI inputted by counterparty, the field would be blank</li> </ul>
CLIENT A/C NO	<ul style="list-style-type: none"> <li>- display the Client Account Number input for the unmatched SI.</li> </ul>

**Section 9.1.6**

## Enquire Unmatched SI Reason

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
PROCESSING REFERENCE	- display the processing information of the SI entered by participant for internal reconciliation and reference.
STOCK CODE	- display the Stock Code input for the unmatched SI.
ISIN	- display the International Securities Identification Number input for the unmatched SI.
INSTR TYPE	- display the instruction type, i.e. deliver or received, input for the unmatched SI.
SI INPUT NO	- display the SI input number of the unmatched SI.
INTNL REF	- display the internal transaction reference input for the unmatched SI.
PAY INSTR	- display the payment instruction input for the unmatched SI. - i.e. 'DVP' for delivery versus payment; 'FOP' for free of payment; 'RDP' for realtime delivery versus payment.
QUANTITY	- display the settlement quantity input for the unmatched SI.
MONEY VALUE	- display the settlement amount with the respective settlement currency input for the unmatched SI.
UNMATCHED REASON CODE	- display the unmatched reason codes of the unmatched SI. For possible matching SI, the reason code would be from 1 to 7 and A. For not possible matching SI, the reason code would be 8. - For those perfectly matching SI, no unmatched reason code would be displayed.