

## Special Enquire Functions

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**FUNCTION NAME: ENQUIRE PAYMENT INSTRUCTION**

**WHEN TO USE:**

- To enquire on the details and current status of those paid or to-be-paid payment instructions, of which the enquiring Participants are the paying parties.

**AVAILABLE FUNCTION TIME:**

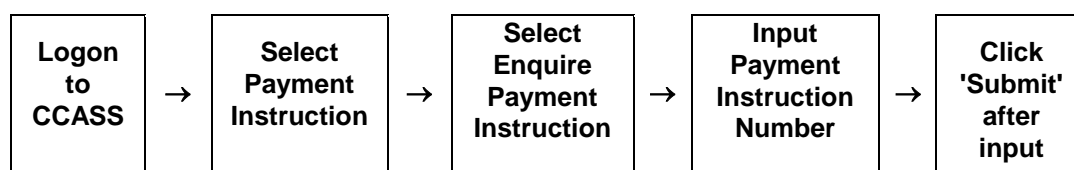
- This enquiry function is available between 9:30 a.m. to 7:00 p.m. on weekdays (i.e. Mondays to Fridays, except public holidays).

**FUNCTIONAL DESCRIPTION:**

- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.
- The paying Participants can enquire the payment instruction to monitor the payment status, and thus the related CCASS transaction status. Related CCASS transactions, include the following:
  - SI / ISI transactions specified to be settled on a realtime delivery versus payment (RDP) basis;
  - subscription instructions input on CCASS subscription end day, with subscription monies, if any, to be collected via CHATS payment instructions.
  - cash prepayment instruction selected "CHATS" as the payment method.
  - intra-day marks obligations and intra-day margin obligations to be collected via CHATS payment instructions, with standing instructions given to HKSCC in advance.
  - specific cash collateral instruction authorised before 11:45 a.m. with CPI as the payment method.
  - TSF payment in relation to TSF FX Transactions and Stock Release Requests with "CHATS" set as the payment method.
  - A-share CNS money obligation to be settled via CHATS payment instructions.
- Participants can enquire those payment instructions of which they are the paying parties of the transactions.

The access paths for Enquire Payment Instruction are:

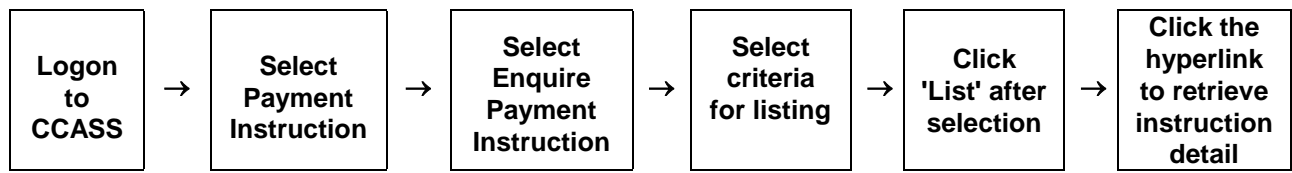
**A. Enquire by Payment Instruction Number:**



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**B. Enquire by listing the Payment Instructions with selected criteria:**



ENQUIRE PAYMENT INSTRUCTION - Sample Screen

General Enquiries	Maintain Payment Instruction	<a href="#">Site Map</a>	<a href="#">Broadcast Message</a>	<a href="#">Report Download</a>	B0133201
Enq Settlement Act / Status		<a href="#">Announcement Information</a>	<a href="#">Change Password</a>	<a href="#">Print</a> <a href="#">Logout</a>	SPIE 03
Delivery Instruction (DI)					12-Jul-05 16:59
A/C Transfer Instr (ATI)	<b>Enquire Payment Instruction Detail</b>				
Settlement Instruction (SI)	Payment Instruction Number:	1 40002512	Deal Code:	A402512	
Hide Unmatched SI Content	SI / ISI Input Number:	I 40066460	Straight Through Transmission Time:	12-JUL-05 10:44:22	
Cpty List	Settlement Position Number:	P 40062182	Payment Received:		
Investor Strm Instr (ISI)	Paying Participant ID:	B01332 BROKER B01332	Discrepancy:		
ISI (With Affirm) Cpty List	Paying Participant Bank Account Number:	005 333 1332	Settlement Time:		
ISI (W/O Affirm) Cpty List	Paying Participant Account Name:	B01332	Status:	CANCELLED	
Payment Instruction	Beneficiary Bank Account Number:	005 333 1331	User ID:	CCASS	
Cash Prepayment	Beneficiary Bank Account Name:	B01331			
Stock Borrowing / Lending	Payment Value:	4,800.88 HKD			
SBL Bulletin Board	Payment Code:	11 CCASS PAYMENT			
Login Withdrawal Order					
Election Instruction					
Subscription Instruction					
Corp Voting Instruction					
EIPO Application					
Tender Instruction					
Maintain Unit Order - Creation					
Maintain Unit Order - Redemption					
Maintain Scrip Fee Memo Adjustment					
Corp Communication					
					<a href="#">Enquire Another Instruction</a> <a href="#">Go To List</a> <a href="#">Help</a>

General Enquiries	Maintain Payment Instruction	<a href="#">Site Map</a>	<a href="#">Broadcast Message</a>	<a href="#">Report Download</a>	B0052901
Enq Settlement Act / Status		<a href="#">Announcement Information</a>	<a href="#">Change Password</a>	<a href="#">Print</a> <a href="#">Logout</a>	SPIE 03
Delivery Instruction (DI)					29-Jun-05 11:41
A/C Transfer Instr (ATI)	<b>Enquire Payment Instruction Detail</b>				
Settlement Instruction (SI)	Payment Instruction Number:	1 0000359	Deal Code:	C000359	
Hide Unmatched SI Content	Announcement Number:	A 00001055	Straight Through Transmission Time:	29-JUN-05 11:35:19	
Cpty List	Subscription Instruction Number:	R 00003376	Payment Received:		
Investor Strm Instr (ISI)	Paying Participant ID:	B00529 BROKER B00529	Discrepancy:		
ISI (With Affirm) Cpty List	Paying Participant Bank Account Number:	001 123 800529189	Settlement Time:		
ISI (W/O Affirm) Cpty List	Paying Participant Account Name:	BANK A/C B00529	Status:	AUTHORISED	
Payment Instruction	Beneficiary Bank Account Number:	004 600 39833007	User ID:	B0052901	
Cash Prepayment	Beneficiary Bank Account Name:	HKSCC NOMINEES LIMITED			
Stock Borrowing / Lending	Payment Value:	110.00 HKD			
SBL Bulletin Board	Payment Code:	11 CCASS PAYMENT			
Login Withdrawal Order					
Election Instruction					
Subscription Instruction					
Corp Voting Instruction					
EIPO Application					
Tender Instruction					
Maintain Unit Order - Creation					
Maintain Unit Order - Redemption					
Maintain Scrip Fee Memo Adjustment					
Corp Communication					
Upload Batch File					
Maintain Firm					
Maintain Participant					
Maintain Collateral Account					
Mtn Tran A/C to Collateral A/C Mapping					
Maintain Static Data Master					
Maintain Collateral Master					
Maintain Sec Type Master					
Maintain Global Parameters					
					<a href="#">Enquire Another Instruction</a> <a href="#">Go To List</a> <a href="#">Help</a>

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Enquire Payment Instruction

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**DESCRIPTION OF FIELDS:**

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
PAYMENT INSTRUCTION NUMBER	<ul style="list-style-type: none"><li>- input the Payment Instruction Number for the payment instruction to be enquired at prompt screen. (Payment Instruction Number might be known due to previous enquiry).</li><li>- the Payment Instruction Number is a 9-digit code beginning with the digit '1'. The system automatically displays the '1' prefix. Type the remaining digits. e.g. for Payment Instruction Number '1 41234567', only enter '41234567'.</li><li>- leading zeros do not need to be entered. e.g. '00000457' can be entered as '457'.</li><li>- click Submit button to retrieve the payment instruction detail.</li><li>- display the payment instruction number of the instruction at the list / detail screen.</li><li>- click onto the hyperlink at list screen to retrieve the instruction detail.</li></ul>
PAYMENT CODE	<ul style="list-style-type: none"><li>- represent the type of CCASS payment to be paid via CHATS.</li><li>- CCASS defaults '11' as the Payment Code for CCASS payments. Selection is not required.</li><li>- display the payment code '11' at the list / detail screen.</li></ul>
CURRENCY	<ul style="list-style-type: none"><li>- currency of the payment instruction, can be selected via the pull down menu at prompt screen.</li><li>- display the currency of the payment instruction at list / detail screen.</li></ul>

<u><b>Field</b></u>	<u><b>Description/Format</b></u>
STATUS	<ul style="list-style-type: none"> <li>- represent the status of payment instructions, can be selected via the pull down menu at prompt screen:               <ul style="list-style-type: none"> <li>➢ 'ALL' to list payment instructions with all statuses;</li> <li>➢ 'Authorised' to list payment instructions with authorised status, which are pending for input by designated banks;</li> <li>➢ 'Payment Validated' to list payment instructions with payment validated status, which are pending for payment settlement;</li> <li>➢ 'Settled' to list payment instructions with settled status, which payment have been completed.</li> <li>➢ 'Cancelled' to list payment instructions which have been subsequently cancelled.</li> <li>➢ 'Expired' to list payment instructions with expired status, which are payment validated before CCASS prescribed deadline, but remained unsettled after CCASS prescribed deadline.</li> <li>➢ 'Reversed' to list payment instructions with reversed status, which are payment validated before CCASS prescribed deadline but settled after CCASS prescribed deadline. CCASS will refund the received fund to Participants during day end money settlement processing via DCI.</li> </ul> </li> <li>- display the status of the payment instruction at list / detail screen.</li> </ul>

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**Enquire Payment Instruction**

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
DEAL CODE	<ul style="list-style-type: none"> <li>- display a 7-alpha-numeric reference key for CCASS to validate CCASS related CHATS payments against the relevant CCASS transaction details.</li> <li>- first character of the deal code represents the type of CCASS transaction the CHATS payment instruction is being generated for.               <ul style="list-style-type: none"> <li>&gt; 'A' stands for SI transactions</li> <li>&gt; 'B' stands for ISI transactions</li> <li>&gt; 'C' stands for subscription monies</li> <li>&gt; 'D' stands for intra-day marks and/or intra-day margin obligation</li> <li>&gt; 'E' stands for cash prepayment for releasing buy-in shares</li> <li>&gt; 'F' stands for cash prepayment for releasing allocated shares</li> <li>&gt; 'G' stands for payment for TSF FX transactions</li> <li>&gt; 'H' stands for payment for stock release requests</li> <li>&gt; 'I' stands for payment for specific cash collateral Instruction transactions</li> <li>&gt; 'J' stands for debit payment for A-shares CNS money obligations</li> </ul> </li> <li>- the last 6 characters of the deal code are derived from the payment instruction number, where the first (excluding the prefix) and the last six digits are used to form the last six characters of the deal code.</li> <li>- for payment instructions generated with Deal Code, the Deal Code must be specified by the designated bank when effecting the CHATS payment instruction.</li> </ul>
PAYING PARTICIPANT ID	<ul style="list-style-type: none"> <li>- display the CCASS Participant ID of the paying Participant of the payment instruction at list/ detail screen.</li> <li>- it should be the same Participant ID of the one which retrieves the payment instruction.</li> </ul>
TRANSACTION TYPE	<ul style="list-style-type: none"> <li>- represent the type of CCASS transactions where the payment instructions are being generated for payment collection, can be selected via the pull down menu at prompt screen:               <ul style="list-style-type: none"> <li>&gt; ALL to retrieve all available payment instructions</li> <li>&gt; Subscription</li> <li>&gt; SI</li> <li>&gt; ISI</li> <li>&gt; Intra-day Marks and Margin</li> <li>&gt; Cash Prepayment</li> <li>&gt; TSF Payment</li> <li>&gt; Specific cash collateral</li> <li>&gt; A-share CCASS Payment (Debit)</li> <li>&gt; A-share CCASS Payment (Credit)</li> </ul> </li> </ul>

<u><b>Field</b></u>	<u><b>Description/Format</b></u>
PAYING PARTICIPANT BANK ACCOUNT NUMBER	<ul style="list-style-type: none"> <li>- display the paying Participant's bank account number of the CHATS to be made at list/ detail screen.</li> <li>- for payment instruction in relation to SI or ISI transaction, this should be the bank account number of the SI/ISI receiving Participant.</li> <li>- for payment instruction in relation to subscription monies, cash prepayment instruction or TSF payment, this should be the bank account number of the Participant who input the instruction</li> <li>- for payment instruction in relation to intra-day marks, intra-day margin and specific cash collateral, this should be the bank account number of the Participant which authorised HKSCC to collect the payment from its designated bank account.</li> <li>- for payment instruction in relation to A-share CCASS payment (Debit), this should be the bank account number of the Participant which authorised HKSCC to collect the payment from its designated bank account.</li> </ul>
PAYING PARTICIPANT ACCOUNT NAME	<ul style="list-style-type: none"> <li>- display the paying Participant's bank account name of the CHATS to be made.</li> <li>- for payment instruction in relation to SI or ISI transaction, this should be the bank account name of the SI/ISI receiving Participant.</li> <li>- for payment instruction in relation to subscription monies, cash prepayment instruction or TSF payment, this should be the bank account name of the Participant which input the instruction</li> <li>- for payment instruction in relation to intra-day marks, intra-day margin and specific cash collateral, this should be the bank account name of the Participant which authorised HKSCC to collect the payment from its designated bank account.</li> <li>- for payment instruction in relation to A-share CCASS payment (Debit), this should be the bank account name of the Participant which authorised HKSCC to collect the payment from its designated bank account.</li> </ul>

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**Enquire Payment Instruction**

<b><u>Field</u></b>	<b><u>Description/Format</u></b>
BENEFICIARY BANK ACCOUNT NUMBER	<ul style="list-style-type: none"> <li>- display the beneficiary bank account number of the CHATS to be made at list/ prompt screen.</li> <li>- for payment instruction in relation to SI or ISI transaction, this should be the bank account number of the SI/ISI delivering participant.</li> <li>- for payment instruction in relation to subscription monies, this should be the bank account number of HKSCC Nominees Limited</li> <li>- for payment instruction in relation to intra-day marks, intra-day margin, specific cash collateral, cash prepayment instruction or TSF payment, this should be the bank account number of HKSCC.</li> <li>- for payment instruction in relation to A-share CCASS payment (Debit), this should be the bank account number of HKSCC.</li> </ul>
BENEFICIARY BANK ACCOUNT NAME	<ul style="list-style-type: none"> <li>- display the beneficiary bank account name of the CHATS to be made.</li> <li>- for payment instruction in relation to SI or ISI, this should be the bank account name of the SI/ISI delivering participant.</li> <li>- for payment instruction in relation to subscription monies, the bank account name should be HKSCC Nominees Limited</li> <li>- for payment instruction in relation to intra-day marks, intra-day margin, specific cash collateral, cash prepayment instruction or TSF payment, the bank account name should be Hong Kong Securities Clearing Co. Ltd.</li> <li>- for payment instruction in relation to A-share CCASS payment (Debit), the bank account name should be Hong Kong Securities Clearing Co. Ltd.</li> </ul>
SI / ISI INPUT NUMBER	<ul style="list-style-type: none"> <li>- display the SI/ISI Input Number of the SI/ISI based on which the payment instruction is generated at detail screen.</li> </ul>
SETTLEMENT POSITION NUMBER	<ul style="list-style-type: none"> <li>- display the settlement position number of the SI/ISI based on which the payment instruction is generated at list/ detail screen.</li> </ul>
ANNOUNCEMENT NUMBER	<ul style="list-style-type: none"> <li>- display the Announcement Number of the Subscription Instruction based on which the payment instruction is generated at detail screen.</li> </ul>
SUBSCRIPTION INSTRUCTION NUMBER	<ul style="list-style-type: none"> <li>- display the Subscription Instruction Number of which the payment instruction is generated at list/ detail screen.</li> </ul>
PREPAYMENT INSTRUCTION NUMBER	<ul style="list-style-type: none"> <li>- display the Cash Prepayment Instruction Number of which the payment instruction is generated at list/ detail screen.</li> </ul>



<b><u>Field</u></b>	<b><u>Description/Format</u></b>
BATCH NUMBER	<ul style="list-style-type: none"> <li>- display the Batch Number of the Intra-day Marks, Intra-day Margin and specific cash collateral generation of which the payment instruction is generated at detail screen.</li> </ul>
PAYMENT VALUE	<ul style="list-style-type: none"> <li>- display the payment currency and the value of the CHATS payment to be made at detail screen.</li> <li>- for payment instruction in relation to SI or ISI, this should be the transaction amount specified in the SI/ISI.</li> <li>- for payment instruction in relation to subscription monies, this should be the transaction amount to be collected for the subscription instruction.</li> <li>- for payment instruction in relation to cash prepayment, this should be the transaction amount specified in the cash prepayment instruction by the Clearing Participant.</li> <li>- for payment instruction in relation to intra-day marks and intra-day margin, this should be the outstanding intra-day marks and/or intra-day margin obligations to be paid by the Clearing Participant.</li> <li>- for payment instruction in relation to TSF payment, this should be the payment amount in relation to TSF FX transaction or stock release request to be paid by the TSF CCASS Participant.</li> <li>- for payment instruction in relation to specific cash collateral, this should be the transaction amount specified in the specific cash collateral instruction by the Clearing Participant.</li> <li>- for payment instruction in relation to A-share CNS payment, this should be the CNS money obligation to be settled of the Clearing Participant.</li> </ul>
STRAIGHT THROUGH TRANSMISSION TIME	<ul style="list-style-type: none"> <li>- display the time when the payment instruction is made known to the designated bank of the paying Participant via a 'Electronic CHATS Payment Instruction Report' generated by CCASS at detail screen.</li> </ul>
PAYMENT RECEIVED	<ul style="list-style-type: none"> <li>- display the amount of CHATS payment after the confirmation advice has been received from Clearing House of HKAB at detail screen.</li> </ul>
DISCREPANCY	<ul style="list-style-type: none"> <li>- display the amount difference of the Payment Value of the payment instruction and the related CHATS payment settled in the Clearing House of HKAB at detail screen.</li> </ul>
USER ID	<ul style="list-style-type: none"> <li>- display the ID of the user who has updated the instruction most recently</li> <li>- if payment validation or settlement confirmation in respect of the payment instruction is received from the Clearing House of HKAB, 'CCASS' will be displayed.</li> </ul>

## Section 9.1.7

### Enquire Payment Instruction

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<b><u>Field</u></b>	<b><u>Description/Format</u></b>
SETTLEMENT TIME	- display the time when settlement confirmation in respect of the payment instruction is received from the Clearing House of HKAB and CCASS updates the payment instruction status to 'settled' at detail screen.