Special Enquire Functions

FUNCTION NAME: **ENQUIRE BUY-IN CONFIRMATION**

WHEN TO USE:

- To enquire buy-in confirmations of which buy-in transactions are executed by HKSCC on the Clearing Participant's behalf.

AVAILABLE FUNCTION TIME:

- This enquiry function is available between 8:00 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.

- Compulsory buy-in request of an outstanding CNS short position will be generated to Clearing Participants after the final CNS batch-settlement-run. The short Clearing Participants can apply for the exemption of compulsory buy-in not later than 7:59 p.m. on the settlement day of Hong Kong Market. The buy-in transaction for those positions without exemption granted would be executed on the next trading day. Subject to market conditions (e.g. thin trading or trade suspension), enquiry of buy-in transaction successfully executed by HKSCC on behalf of Clearing Participants will normally be available on T+4 day for Hong Kong market and T+1 day for Mainland A-share market.

- Please note that for compulsory buy-in request generated for stock undergone stock conversion without parallel trading, the converted buy-in stock code/quantity will be reflected via this function after the conversion, if applicable.

- For Hong Kong market, early buy-in request can be initiated by Clearing Participant for its CNS short position which has not yet reached its settlement date. Early buy-in transaction would be executed on the date of request if the request is received by HKSCC before 12:00 noon on each trading day. Otherwise, the buy-in transaction would be executed on the next trading day.
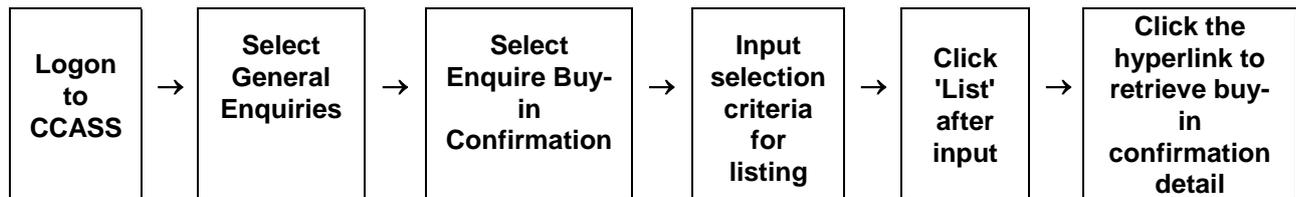

The access paths for Enquire Buy-in Confirmation are:

A.   Enquire by Buy-in Sequence Number:

Logon to CCASS	→	**Select General Enquiries**	→	**Select Enquire Buy-in Confirmation**	→	**Input Buy-in Type and Buy-in Sequence Number**	→	**Click 'Submit' after input**

B.   Enquire by listing the Buy-in Confirmations with selected criteria:

Logon to CCASS	→	**Select General Enquiries**	→	**Select Enquire Buy-in Confirmation**	→	**Input selection criteria for listing**	→	**Click 'List' after input**	→	**Click the hyperlink to retrieve buy-in confirmation detail**

ENQUIRE BUY-IN CONFIRMATION - Sample Screens

B0460301

General Enquiries					
General Enquiries	Site Map	Broadcast Message	Report Download		FBCE 02
Enq Settlement Act / Status	Announcement Information	Change Password	Print	Logout	29-Apr-02 11:19
Delivery Instruction (DI)					

Enquire Buy-in Confirmation List
Market : ALL

Buy-in Type	Buy-in Sequence Number	Stock	ISIN	Buy-in Execution Date	Buy-in Quantity	O/S Short Position Number
COMPULSORY	1057	4658	HKISIN004658	02-JUL-02	10	P00801895

Enquire Another Record   Help

-1001 BOTTOM OF LIST

Left menu (both screens):
General Enquiries
Enq Settlement Act / Status
Delivery Instruction (DI)
A/C Transfer Instr (ATI)
Settlement Instruction (SI)
Investor Stm Instr (ISI)
ISI Counterparty List
Payment Instruction
Cash Prepayment
Stock Borrowing / Lending
SBL Bulletin Board
General Stock Collateral
Login Withdrawal Order
Election Instruction
Subscription Instruction
Corp Voting Instruction
EIPO Application
Tender Instruction
Corp Communication
Upload Batch File
Report Profile Maintenance
View Circular

B0460301

General Enquiries	Site Map	Broadcast Message	Report Download		FBCE 03
	Announcement Information	Change Password	Print	Logout	29-Apr-02 11:22

Enquire Buy-in Confirmation Detail

Buy-in Type:	COMPULSORY
Buy-in Sequence Number:	1057
Stock:	4658 STK4658-CA_TEMP
ISIN:	HKISIN004658
Market:	HKMK
Buy-in Execution Date :	02-JUL-02
Buy-in Quantity:	10
Unit Price:	10.00000 HKD
Total Cost :	10.00 HKD
Cost Collection Date:	08-JUL-02
ISI Settlement Date:	09-JUL-02
ISI Delivery Participant ID:	022228
O/S Short Position No :	P00801895
O/S Position Settlement Date :	02-APR-02
Overdue Quantity :	6,250
Remarks :	THIN TRADING

Enquire Another Record   Go To List   Help

DESCRIPTION OF FIELDS:

Field	*Description/Format*
BUY-IN TYPE	- select the buy-in type, i.e. Compulsory or Early Buy-in for the buy-in confirmation being enquired. - select "All" if not used as a selection criteria.
BUY-IN SEQUENCE NUMBER	- type the buy-in sequence number for the buy-in confirmation to be enquired. - must be numeric. - click the hyperlink to retrieve the buy-in confirmation detail.
ISIN OR STOCK CODE	- input the ISIN / stock code for display of buy-in confirmation 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'.
MARKET	- select the market code assigned by HKSCC via pull down menu to list the buy-in confirmation of all stocks under that particular market by stock. - display the market code and market short name of the market being enquired.
BUY-IN EXECUTION DATE	- type the buy-in execution date for the buy-in confirmation being enquired. - must be in date format. - leave blank if not used as a selection criteria. - display the date of the buy-in request being executed by HKSCC.
BUY-IN QUANTITY	- display the buy-in quantity for the buy-in confirmation.
O/S SHORT POSITION NUMBER	- display the outstanding short settlement position number for the buy-in confirmation.
UNIT PRICE	- display the unit price for the stock involved in the buy-in transaction.
TOTAL COST	- display the total cost involved in the buy-in transaction.
COST COLLECTION DATE	- display the collection date of the cost involved in the buy-in transaction. - For Hong Kong market, it will be two settlement days after the buy-in execution date. - For Mainland A-share market, it will be the buy-in execution date.

Field	*Description/Format*
ISI SETTLEMENT DATE	- display the settlement date of the corresponding ISI which effect settlement of the buy-in shares between HKSCC and the short Clearing Participant. (Not applicable to Mainland A-share market)
ISI DELIVERY PARTICIPANT ID	- display the HKSCC IP Account Number for the ISI settlement, which is defaulted as '022228'. (Not applicable to Mainland A-share market)
O/S POSITION SETTLEMENT DATE	- display the settlement date of the outstanding short position corresponding to the buy-in transaction.
OVERDUE QUANTITY	- display the overdue quantity of the outstanding short position.
REMARKS	- display the remarks for the buy-in confirmation.