General Enquire Services

FUNCTION NAME: **ENQUIRE LENDING POSITION**

WHEN TO USE:

- To enquire the details and current statuses of the lending positions in CCASS.

AVAILABLE FUNCTION TIME:

- This enquiry function is available between 9:00 a.m. to 7:00 p.m. on weekdays (i.e. Monday to Friday, except public holiday).
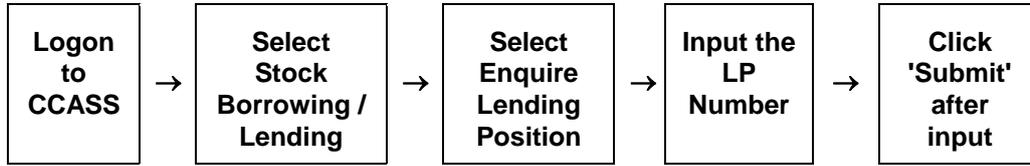

FUNCTIONAL DESCRIPTION:

- This is an enquiry function. It is used to view information only. Data cannot be entered or changed with this function.

- If stock loans are done in CCASS for a participant, a lending position will be created for each stock loan transacted. Participant can use this function to review information regarding lending positions and the respective statuses.

- The lending position status indicates those outstanding lending positions which are recalled but not returned, or fully returned, etc. Following are the statuses applicable to lending positions :

Active	- stock loan transacted and remains outstanding, i.e. not fully returned.
Recalled	- a recall request for the lending position has been made, and which is not fully returned yet.
Fully Returned	- borrowed shares have been fully returned for the lending position.
Compensated	- cash was paid in lieu of stock return for the lending position.
Frozen	- frozen of lending positions are only performed under special situations at the discretion of HKSCC.
Cancelled	- cancellation of lending positions are only performed under special situations at the discretion of HKSCC.

- Outstanding lending positions, i.e. those in 'Active' or 'Recalled' or 'Frozen' statuses, are available for enquiry at any time as far as they remain outstanding. For those completed lending positions, i.e. those in 'Fully Returned' or 'Compensated' or 'Cancelled' statuses, they would be available for enquiry within 31 calendar days after the completion date.
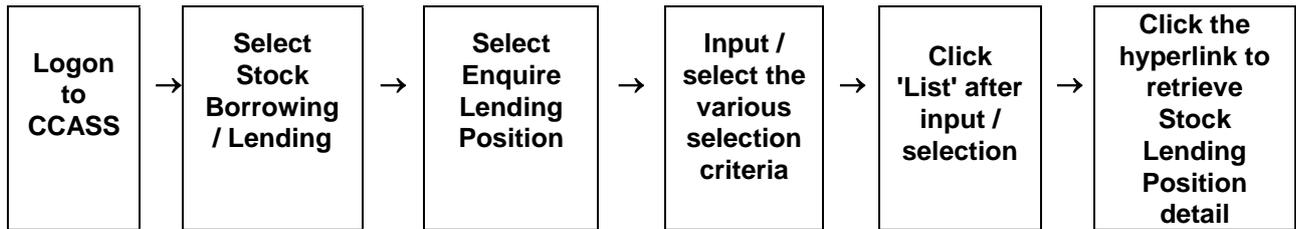
The access paths for Enquire Lending Position are :

A. Enquire by Lending Position Number:

Logon to CCASS	→	Select Stock Borrowing / Lending	→	Select Enquire Lending Position	→	Input the LP Number	→	Click 'Submit' after input

B. Enquire by listing the Lending Positions with various selection criteria:

Logon to CCASS	→	Select Stock Borrowing / Lending	→	Select Enquire Lending Position	→	Input / select the various selection criteria	→	Click 'List' after input / selection	→	Click the hyperlink to retrieve Stock Lending Position detail

ENQUIRE LENDING POSITION - Sample Screen

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
Gener **Add Stock Borrowing**
Login **Req**
Electio **Change Stock Borrowing**
Subscr **Req**
Corp V **Delete Stock Borrowing**
EIPO A **Req**
Tende **Enquire Stock Borrowing**
Mainta **Enquire Stock Lender**
Mainta **List**
Corp C **Enquire Stock Borrowing**
List
Upload Batch File
Report Profile Maintenance
View Circular

Stock Borrowing / Lending   Site Map   Broadcast Message   Report Download   **B0560601**
Announcement Information   Change Password   Print   Logout   **YLPE 02**
07-May-02 16:05

Enquire Lending Position List

Market: ALL

LP Number	LP Status	Stock	ISIN	Cancelled / Compensated/ O/S Quantity	Loan Start Date	Maturity Date	Loan End Date
LP0000406	ACTIVE	5835 STK 5835 - HKD	SU-ISIN05835	6,000	07-AUG-02		
LP0000412	ACTIVE	5836 STK 5836 - HKD	SU-ISIN05836	6,000	07-AUG-02		
LP0000417	ACTIVE	25634 STK 25634 - USD	SU-ISIN25634	6,000	07-AUG-02		
LP0000424	ACTIVE	25635 STK 25635 - USD	SU-ISIN25635	6,000	07-AUG-02		
LP0000128	CANCELLED	5833 STK 5833 - HKD	SU-ISIN05833	2,000	30-OCT-01		30-JUL-02
LP0000136	CANCELLED	5834 STK 5834 - HKD	SU-ISIN05834	2,000	30-OCT-01		30-JUL-02
LP0000341	CANCELLED	5838 STK 5838 - HKD	SU-ISIN05838	5,000	14-FEB-02		30-JUL-02
LP0000194	CANCELLED	5846 STK 5846 - USD	SU-ISIN05846	3,000	30-NOV-01		30-JUL-02
LP0000342	CANCELLED	25628 STK 25628 - HKD	SU-ISIN25628	1,000	14-FEB-02		30-JUL-02
LP0000382	CANCELLED	25629 STK 25629 - HKD	SU-ISIN25629	900	10-JUL-02		30-JUL-02
LP0000204	CANCELLED	25633 STK 25633 - USD	SU-ISIN25633	100	30-NOV-01		30-JUL-02
LP0000186	COMPENSATED	5845 STK 5845 - USD	SU-ISIN05845	1,000	30-NOV-01		11-JUL-02
LP0000141	FULLY RETURNED	25629 STK 25629 - HKD	SU-ISIN25629	0	30-OCT-01		10-JUL-02
LP0000163	FULLY RETURNED	25629 STK 25629 - HKD	SU-ISIN25629	0	01-NOV-01		10-JUL-02

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EIPO A **Req**
Tende **Enquire Stock Borrowing**
Mainta **Enquire Stock Lender**
Mainta **List**
Corp C **Enquire Stock Borrowing**
List
Upload Batch File
Report Profile Maintenance
View Circular

Stock Borrowing / Lending   Site Map   Broadcast Message   Report Download   **B0560601**
Announcement Information   Change Password   Print   Logout   **YLPE 03**
07-May-02 16:07

Enquire Lending Position Detail

LP Number :	LP0000406	Status :	ACTIVE
Stock :	5835 STK 5835 - HKD		
ISIN :	SU-ISIN05835		
Market :	HKMK - HK MARKET		
Original Quantity :	6,000		
Outstanding Quantity :	6,000		
Last Return Date :			
Last Return Quantity :	0		
Fee Received (HKD) :	10.00		
Loan Start Date :	07-AUG-02		
Loan Type :	O - OPEN-ENDED LOAN		
Maturity Date :			
Loan End Date :			
Elect Cash Compensation Timestamp :			
Receive Stock Account Number :			
Expected Return Date :			
Cash Compensation Indicator :			
Elected By HKC :			
Remarks :			

Enquire Another Record   Go To List   Help

DESCRIPTION OF FIELDS:

Field	*Description/Format*
LP NUMBER	- input the unique Lending Position (LP) Number of the lending position to be enquired. - LP number is a 9-character code beginning with the characters 'LP'. The system automatically displays the 'LP' prefix. Type the remaining seven digits. e.g. for LP number 'LP9991234', enter '9991234' only. - leading zeros do not need to be entered. e.g. '0001234' can be entered as '1234'. - display the unique LP number assigned by CCASS.
ISIN OR STOCK CODE	- input the ISIN / stock code for listing of lending positions for a particular stock. - CCASS overlooks leading zero(s); i.e. '17', '017', '0017' and '00017' are treated as the same. *(input of ISIN to be effective upon 2nd rollout stage of CCASS/3)* - can obtain the ISIN or stock code from the hyperlink of 'Enquire Stock List'. - leave blank if not used as a selection criterion.
MARKET	*to be effective upon 2nd rollout stage of CCASS/3* - select the market code assigned by HKSCC via pull down menu to list the lending positions of all stocks under that particular market by stock. - display the market code and short name of the market being enquired.

LOAN TYPE	- select the Loan Type when it is used as the selection criterion:
	  'All', if loan type is not used as a selection criteria;
	  'O' for open-ended loan;
	  'T' for term loan.

LOAN START DATE	- type the Loan Start Date as the selection criterion for listing lending positions in a sequence that starts from that Loan Start Date. - must remain empty if not used as the selection criterion.
MATURITY DATE	- type the Maturity Date as the selection criterion for listing lending positions in a sequence that starts from that Maturity Date. - only applicable to term loan. - must remain empty if not used as the selection criterion.

Field	_Description/Format_
LOAN END DATE	- type the Loan End Date as the selection criterion for listing lending positions in a sequence that starts from that Loan End Date. - must remain empty if not used as the selection criterion. - display the date the lending position was closed, i.e. if the lending position is in 'Fully Returned' status, it will be the date last stock return was made; if the lending position is in 'Cancelled' status, it will be the date of the cancellation; if the lending position is in 'Compensated' status, it will be the date the cash compensation was paid. - this field is blank for the lending position which remains outstanding, i.e. either in 'Active' or 'Recalled' or 'Frozen' status.
LP STATUS	- represent the status of lending position, can be selected via the pull down menu: 'ALL' to list lending positions with all statuses; 'Active'; 'Cancelled'; 'Frozen'; 'Compensated'; 'Recalled'; 'Fully Returned'.
STOCK	- display the stock code and short name of the stock being enquired.
ISIN	**to be effective upon 2nd rollout stage of CCASS/3** - display the International Securities Identification Number input for the lending positions.
CANCELLED / COMPENSATED / OUTSTANDING QUANTITY	- display the number of shares of the lending position : if the lending position is in 'Cancelled' status, it will be the cancelled quantity; if the lending position is in 'Compensated' status, it will be the corresponding quantity in which cash is paid in lieu of the stock; if the lending position is in other status, it is the outstanding quantity. (Note : the field name will be changed accordingly for different statuses of the LP)
LOAN START DATE	- display the date the lending position is created.
MATURITY DATE	- display the maturity date of the lending position. - this field is blank for open-ended loan.
ORIGINAL QUANTITY	- display the number of shares transacted as at the creation of the lending position.

Field	Description/Format
LAST RETURN DATE	- display the date of the most recent stock return for the lending position.
LAST RETURN QUANTITY	- display the number of shares transacted on the last returned date.
FEES RECEIVED (HKD)	- display the accumulated stock lending fee of the lending position as at the time of enquiring.
ELECT CASH COMPENSATION TIMESTAMP	- display the date and time cash compensation is elected, i.e. the cash compensation indicator is set to 'Y'. - this field is empty if cash compensation is not elected.
RECEIVE STOCK ACCOUNT NUMBER	- display the code and name of the account specified in the recall request to receiving the outstanding shares. - this field is empty if no recall request had been made.
EXPECTED RETURN DATE	- display the date the outstanding shares are expected to be received upon the recall request is served by HKSCC, i.e. 2 business days following the date of recall if the recall request is made before 12:00 noon of a business day, or 3 business days following the date of recall if the recall request is made after 12:00 noon of a business day. - this field is empty if no recall request had been made.
CASH COMPENSATION INDICATOR	- display whether cash compensation is elected if outstanding shares are not returned by the deadline. - this field is empty if election of cash compensation had not been made.
ELECTED BY HKC	- display whether the cash compensation indicator is elected by HKC or not. - this field is empty if election of cash compensation had not been made.
REMARKS	- display any additional remarks for the lending position when the recall request is made, if entered.