

**HONG KONG SECURITIES CLEARING COMPANY LIMITED  
CCASS TERMINAL USER GUIDE - FOR CCASS PARTICIPANT**

**Amendment Log**

Revised Date	<u>Section / Page</u>	Description
Jan 2020	1 Introduction	<ul style="list-style-type: none"> <li>▪ Updated HKEX contact</li> </ul>
	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated functions list under Enquiries and Reports regarding discontinuation of view circular function</li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Updated the table of user access level regarding discontinuation of view circular function</li> </ul>
	7.1 CCASS Terminal Requirements	<ul style="list-style-type: none"> <li>▪ Updated CCASS/3 Terminal Specifications regarding discontinuation of view circular function</li> </ul>
	7.2 CCASS Processing And Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated the table of Availability Schedule of CCASS On-line Functions regarding discontinuation of view circular function</li> </ul>
	9.3.8 View Circular	<ul style="list-style-type: none"> <li>▪ Removed the section regarding discontinuation of view circular function</li> </ul>
Dec 2019	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪ Updated the timing for “Scrip Fee Refund (Multi-Counter)” in Nominee Fees Refund Report (CCNPT06)</li> </ul>
Oct 2019	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Housekeeping change</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪ Updated the purpose and the description of fields “NCP Firm ID” and “NCP Firm ID/Name” in Final Clearing Statement (CCLTN05)</li> <li>▪ Updated the purpose in Intra-day Trade File (CCLID01)</li> <li>▪ Updated the description of field “NCP Firm ID” in NCP(s) Guarantee Fund Contribution Projection by Position</li> </ul>
	4.4 Report Data Files Layout	<ul style="list-style-type: none"> <li>▪ Updated the remarks of field “NCP Firm ID” in Final Clearing Statement (FCS) (CCLTN05)</li> <li>▪ Updated the remarks of fields “NCP Firm ID” and “Counterparty Firm ID” in Intra-day Trade File (CCLID01)</li> <li>▪ Updated the remarks of field “Execution Broker Firm ID” in Trade File of SPSA (CCLTA01)</li> </ul>
	7.1 CCASS Terminal Requirement	<ul style="list-style-type: none"> <li>▪ Updated latest software requirements</li> </ul>
	9.3.10 Enquire NCP/GCP Mapping	<ul style="list-style-type: none"> <li>▪ Housekeeping change and updated the description of field “NCP Firm ID”</li> </ul>
May 2019	7.1 CCASS Terminal Requirement	<ul style="list-style-type: none"> <li>▪ Updated latest smartcard reader and software requirements</li> </ul>
Apr 2019	9.3.8 View Circular	<ul style="list-style-type: none"> <li>▪ Added note regarding discontinuation of circular posting in CCASS Terminal</li> </ul>
Mar 2019	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Added disclaimer regarding the collection of Intra-day Marks, Intra-day Margin and Intra-day Mainland Settlement Deposit</li> </ul>
Dec 2018	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪ Added new transaction codes for “Statement of Money Ledger” (CSEMA08 / CSEMS08)</li> <li>▪</li> </ul>
Nov 2018	3.4 Logon and Logoff CCASS	<ul style="list-style-type: none"> <li>▪ Updated content to reflect changes related to the inclusion of privacy policy statement message on the logon screen</li> <li>▪</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪ Updated report description and report sample related to the enhancement on instruction for the appointment of corporate representative / proxy <ul style="list-style-type: none"> <li>○ Nominee Functions Input Activities Report (CCNPT01)</li> <li>○ CRP Batch Input Control Report (CCNVT08)</li> </ul> </li> <li>▪</li> </ul>
	6 Report Specifications	<ul style="list-style-type: none"> <li>▪ Updated report specifications related to the enhancement on instruction for the appointment of corporate representative / proxy <ul style="list-style-type: none"> <li>○ Nominee Functions Input Activities Report (CCNPT01)</li> </ul> </li> </ul>
	5.10 CRP Batch File Layout  8.2.5 Corporate Representative/Proxy Maintenance	<ul style="list-style-type: none"> <li>▪ Updated contents to reflect enhancement on instruction for the appointment of corporate representative / proxy</li> </ul>

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	7.1 CCASS Terminal Requirements	Updated hardware requirement for smartcard readers
June 2018	8.2.2 Election Instruction Maintenance	Revised the function descriptions that “In the absence of specific election instructions as to participants’ election, participants will be treated as having chosen the ‘default’ option specified by HKSCC.”
	4.3 Report / Data File Description 6 Report Specifications	<ul style="list-style-type: none"> <li>▪ Revised the field name, field description and report sample <ul style="list-style-type: none"> <li>○ Guarantee Fund Risk Collateral Requirement Report (GFR806)</li> </ul> </li> </ul>
May 2018	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content related to the early release of China Connect Securities which are Securities-on-hold</li> <li>▪ Updated content related to the Guarantee Fund Risk Collateral</li> </ul>
	4.2 List of Reports and Availability schedule	<ul style="list-style-type: none"> <li>▪ Added new report related to the early release of China Connect Securities which are Securities-on-hold <ul style="list-style-type: none"> <li>○ Handling Fee Collection Report for the Early Release of Securities-on-hold for China Connect Markets (CSECC03)</li> </ul> </li> <li>▪ Added new report related to the Guarantee Fund Risk Collateral <ul style="list-style-type: none"> <li>▪ Guarantee Fund Risk Collateral Requirement Report (GFR806)</li> </ul> </li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪ Added new transaction codes for “Statement of Money Ledger” (CSEMA08 / CSEMS08)</li> <li>▪ Added report description and report sample for the new “Handling Fee Collection Report for the Early Release of Securities-on-hold for China Connect Markets” (CSECC03)</li> </ul> <p>Added report description and report sample for the new report “Guarantee Fund Risk Collateral Requirement Report” (GFR806)</p>
	6 Report Specifications	<ul style="list-style-type: none"> <li>▪ Added new report related to the early release of China Connect Securities which are Securities-on-hold <ul style="list-style-type: none"> <li>○ Handling Fee Collection Report for the Early Release of Securities-on-hold for China Connect Markets (CSECC03)</li> </ul> </li> <li>▪ Added new report related to the Guarantee Fund Risk Collateral <ul style="list-style-type: none"> <li>▪ Guarantee Fund Risk Collateral Requirement Report (GFR806)</li> </ul> </li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>○ Updated CCASS service schedule related to the early release of China Connect Securities which are Securities-on-hold and Guarantee Fund Risk Collateral</li> </ul>
Feb 2018	4.3 Report / Data File Description 6 Report Specifications	<ul style="list-style-type: none"> <li>▪ Updated report layout <ul style="list-style-type: none"> <li>○ Statement of Guarantee Fund Contributions (GFR608)</li> </ul> </li> <li>▪ Broadcast Message Listing (CETMB02)</li> </ul>
Nov 2017	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to launch of RDP SI and enhancement on cash prepayment in China Connect Markets <ul style="list-style-type: none"> <li>○ Updated content to incorporate report changes for corporate voting activities</li> </ul> </li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate new function of Cash Prepayment Instruction Maintenance for China Connect Markets</li> </ul>
	4.2 List of Reports and Availability schedule	<ul style="list-style-type: none"> <li>▪ Updated time availability of the reports below: <ul style="list-style-type: none"> <li>○ Unmatched SI Report (CCLUS01)</li> <li>○ Intra-Day ISI/SI Full List (CSESI02)</li> <li>○ Intra-day Settled Position Report (CSESP04)</li> <li>○ STI Activity Report (CSEAT02)</li> <li>○ CCASS Funding Projection Report (Night Settlement) for Participant (CSEMP04)</li> <li>○ Statement of Guarantee Fund Contributions (GFR608)</li> <li>○ NCP(s) Guarantee Fund Contribution Projection By Position (GFR616)</li> <li>○ Added new report CCNPT09 and updated report name of CCNPT08</li> </ul> </li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪</li> </ul>

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	<ul style="list-style-type: none"> <li>- SI Status Report (CCLSI01)</li> <li>- Intra-Day ISI / SI Full List (CSESI02)</li> <li>- Intra-Day Settled Position Report (CSESP04)</li> <li>- CCASS Funding Projection Report (Night Settlement) for Participant (CSEMP04)</li> <li>- Unmatched SI Report (CCLUS01)</li> <li>STI Activity Report (CSEAT02)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to launch of RDP SI, enhancement of BSRs and STI transfer runs in China Connect Markets</li> </ul>
	Participant Shareholding Category Disclosure Exception Report - On Voting Deadline (CCNPT08)	<ul style="list-style-type: none"> <li>▪ Updated report name and field description</li> </ul>
	Statement of Money Ledger (CSEMA08/CSEMS08)	Updated content to incorporate the change for displaying A-Share Handling Fee
	<ul style="list-style-type: none"> <li>- Cash Prepayment / TSF Payment / Intra-Day Payment Instruction Maintenance A/T Report (CSECP03)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated to incorporate change due to enhancement on cash prepayment in China Connect Markets</li> </ul>
	<ul style="list-style-type: none"> <li>- Participant Shareholding Category Disclosure Exception Report - Before Voting Deadline (CCNPT09)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Added new report</li> </ul>
	<ul style="list-style-type: none"> <li>- Statement of Guarantee Fund Contributions (GFR608)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated the time available</li> </ul>
	<ul style="list-style-type: none"> <li>- NCP(s) Guarantee Fund Contribution Projection By Position (GFR616)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated the time available</li> </ul>
	<ul style="list-style-type: none"> <li>- 5.1 SI File Transfer</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to launch of RDP SI in China Connect Markets</li> </ul>
	<ul style="list-style-type: none"> <li>- 5.6a STI File Transfer</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for enhanced STI transfer run in China Connect Markets</li> </ul>
	<ul style="list-style-type: none"> <li>- 6 Report Specifications</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated report specification of Cash Prepayment / TSF Payment / Intra-Day Payment Instruction Maintenance A/T Report (CSECP03)</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to launch of RDP SI in China Connect Markets enhancement on cash prepayment in China Connect Markets</li> </ul>
	8.1.1 SI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to launch of RDP SI in China Connect Markets</li> </ul>
	8.1.6 Input DI	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate change due to launch of RDP SI</li> </ul>
	8.1.7a STI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for enhanced STI transfer run in China Connect Markets</li> </ul>
	8.1.9a Cash Prepayment / TSF Payment Standing Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Housekeeping change</li> </ul>
	8.1.9b Cash Prepayment Instruction Maintenance for China Connect Markets	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate change for "CHATS" payment method</li> </ul>
	8.1.9c Cash Prepayment Standing Instruction Maintenance for China Connect Markets	<ul style="list-style-type: none"> <li>▪ New function introduced</li> </ul>
	8.1.14 SPSA Delivery Failure Maintenance	<ul style="list-style-type: none"> <li>▪ Housekeeping change</li> </ul>
	8.2.14 Shareholding Category Disclosure Maintenance	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate change for new report CCNPT09</li> </ul>
	9.1.5 Enquire Money Position / Instruction	<ul style="list-style-type: none"> <li>▪ Updated sample screen and content to incorporate changes due to launch of RDP SI in China Connect Markets</li> </ul>
	9.1.7 Enquire Payment Instruction	<ul style="list-style-type: none"> <li>▪ Updated function end time and incorporated new deal code for RDP SI and cash prepayment in "CHATS" payment method in China Connect Markets</li> </ul>
Apr 2017	1 Introduction	<ul style="list-style-type: none"> <li>▪ Updated office address</li> </ul>

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	4.2 List of Reports and Availability schedule	<ul style="list-style-type: none"> <li>▪ Updated for the new ATI/STI validations (at 07:30 and 08:00) and STI transfer runs (at 08:00 and 19:00)</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	All Batch Input Control Reports	<ul style="list-style-type: none"> <li>▪ Updated report descriptions and report samples to reflect changes due to the improvement of presentation of the summary section of below reports: <ul style="list-style-type: none"> <li>○ SI Batch Input Control Report (CCLEI01)</li> <li>○ ISI Batch Input Control Report (CIPEI01)</li> <li>○ ATI Batch Input Control Report(CSEBA01)</li> <li>○ Corp Comm Recipient Batch Input Control Report (CCJCC15)</li> <li>○ CRP Batch Input Control Report (CCNVT08)</li> <li>○ Tender Instruction Batch Input Control Report (CEFUV01)</li> <li>○ EIPO Batch Input Control Report (CEPBV01)</li> <li>○ SSA Batch Input Control Report (CCSSU01)</li> <li>○ STI Batch Input Control Report (CSEAT01)</li> <li>○ Multi-counter Transfer Instruction Batch Input Control Report (CCVTF03)</li> <li>○ Parallel Trading Conversion Instruction Batch Input Control Report (CCVTF05)</li> </ul> </li> <li>▪ EIPO Confirmation Batch Input Control Report (CEPBV02)</li> </ul>
	STI Batch Input Control Report (CSEAT01)	<ul style="list-style-type: none"> <li>▪ Updated for the new STI validations at 07:30 and 08:00</li> </ul>
	STI Activity Report (CSEAT02)	<ul style="list-style-type: none"> <li>○ Updated for the new STI transfer runs at 08:00 and 19:00</li> </ul>
	- 5.5 ATI File Transfer	<ul style="list-style-type: none"> <li>○ Updated for the new ATI validations at 07:30 and 08:00</li> </ul>
	- 5.6a STI File Transfer	<ul style="list-style-type: none"> <li>▪ Updated for the new STI validations at 07:30 and 08:00 and STI transfer runs at 08:00 and 19:00</li> </ul>
	- 6 Report Specifications	<ul style="list-style-type: none"> <li>▪ Updated report specifications to reflect changes due to the improvement of presentation of the summary section of below reports: <ul style="list-style-type: none"> <li>○ SI Batch Input Control Report (CCLEI01)</li> <li>○ ISI Batch Input Control Report (CIPEI01)</li> <li>○ ATI Batch Input Control Report(CSEBA01)</li> <li>○ Corp Comm Recipient Batch Input Control Report (CCJCC15)</li> <li>○ CRP Batch Input Control Report (CCNVT08)</li> <li>○ Tender Instruction Batch Input Control Report (CEFUV01)</li> <li>○ EIPO Batch Input Control Report (CEPBV01)</li> <li>○ SSA Batch Input Control Report (CCSSU01)</li> <li>○ STI Batch Input Control Report (CSEAT01)</li> <li>○ Multi-counter Transfer Instruction Batch Input Control Report (CCVTF03)</li> <li>○ Parallel Trading Conversion Instruction Batch Input Control Report (CCVTF05)</li> </ul> </li> <li>▪ EIPO Confirmation Batch Input Control Report (CEPBV02)</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated for the new ATI/STI validations at 07:30 and 08:00 and STI transfer runs at 08:00 and 19:00</li> </ul>
	8.1.7a STI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated for the new STI validations at 07:30 and 08:00 and STI transfer runs at 08:00 and 19:00</li> </ul>
Jan 2017	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the new SI BSR with SPSA as delivering account (at 18:15) for China Connect Markets</li> <li>▪ Updated content to incorporate new function in voting for disclosure of shareholding information for China Connect Securities <ul style="list-style-type: none"> <li>○ Updated content to reflect changes related to the Stock Collateral Control Account (A/C 20)</li> </ul> </li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate new function in voting for disclosure of shareholding information for China Connect Securities</li> </ul>

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	4.2 List of Reports and Availability schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the new SI matching runs (at 16:30 and 18:15), SI BSR with SPSA as delivering account (at 18:15) and STI validation and STI transfer run (at 19:30) for China Connect Markets</li> <li>▪ Updated content to incorporate new function in voting for disclosure of shareholding information for China Connect Securities</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪ Updated report generation time to reflect changes due to the new SI matching runs (at 16:30 and 18:15), SI BSR with SPSA as delivering account (at 18:15) and STI validation and STI transfer run (at 19:30) for China Connect Markets</li> </ul>
	<ul style="list-style-type: none"> <li>- Unmatched SI Report (CCLUS01)</li> <li>- Intra-Day ISI / SI Full List (CSESI02)</li> <li>- CCASS Funding Projection Report (Night Settlement) for Participant (CSEMP04)</li> <li>- Intra-day Settled Position Report (CSESP04)</li> <li>- STI Batch Input Control Report (CSEAT01)</li> <li>STI Activity Report (CSEAT02)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated report generation time to reflect changes due to the new SI matching runs (at 16:30 and 18:15), SI BSR with SPSA as delivering account (at 18:15) and STI validation and STI transfer run (at 19:30) for China Connect Markets</li> </ul>
	<ul style="list-style-type: none"> <li>- Participant Shareholding Category Disclosure Activity Report (CCNPT07)</li> <li>Participant Shareholding Category Disclosure Exception Report (CCNPT08)</li> </ul>	<ul style="list-style-type: none"> <li>▪ New reports due to new function in voting for disclosure of shareholding information for China Connect Securities</li> </ul>
	<ul style="list-style-type: none"> <li>- Mainland Security Deposit Payable Report (Shanghai) (CRMGF01)</li> <li>- Mainland Security Deposit Payable Report (Shenzhen) (CRMGF03)</li> <li>- Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD01)</li> <li>- Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD04)</li> <li>- Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07)</li> <li>Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09)</li> </ul>	Updated report descriptions and report samples to reflect netting of Northbound collateral arrangements
	- 6 Report Specifications	
	<ul style="list-style-type: none"> <li>- Participant Shareholding Category Disclosure Activity Report (CCNPT07)</li> <li>- Participant Shareholding Category Disclosure Exception Report (CCNPT08)</li> </ul>	<ul style="list-style-type: none"> <li>▪ New reports due to new function in voting for disclosure of shareholding information for China Connect Securities</li> </ul>
	<ul style="list-style-type: none"> <li>- Mainland Security Deposit Payable Report (Shanghai) (CRMGF01)</li> <li>- Mainland Security Deposit Payable Report (Shenzhen) (CRMGF03)</li> <li>- Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD01)</li> <li>- Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD04)</li> <li>- Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07)</li> <li>- Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Updated report specifications to reflect netting of Northbound collateral arrangements</li> </ul>
	7.1 CCASS Terminal Requirements	Updated hardware and software configuration of CCASS/3 terminal specification

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Revised Date	<u>Section / Page</u>	Description
	- 7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the enhancement of the on-hold mechanism of delivery Sis of a China Connect Security in which a CCCP has an overdue CNS short position</li> <li>▪ Updated content to incorporate changes due to the new SI matching runs (at 16:30 and 18:15), SI BSR with SPSA as delivering account (at 18:15) and STI validation and STI transfer run (at 19:30) for China Connect Markets</li> <li>▪ Updated content to incorporate new function in voting for disclosure of shareholding information for China Connect Securities</li> </ul>
	- 8.1.1 SI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the enhancement of the on-hold mechanism of delivery Sis of a China Connect Security in which a CCCP has an overdue CNS short position</li> <li>▪ Updated content to incorporate changes due to the new SI matching runs (at 16:30 and 18:15) for China Connect Markets</li> </ul>
	8.1.1a Change Hold Matched SI	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the enhancement of the on-hold mechanism of delivery Sis of a China Connect Security in which a CCCP has an overdue CNS short position</li> </ul>
	8.1.7a STI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the new STI validation and STI transfer run (at 19:30) for China Connect Markets</li> </ul>
	8.1.14 SPSA Delivery Failure Maintenance Function	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the enhancement of the on-hold mechanism of delivery Sis of a China Connect Security in which a CCCP has an overdue CNS short position</li> </ul>
	8.2.14 Shareholding Category Disclosure Maintenance	<ul style="list-style-type: none"> <li>▪ New TUG for new function in voting for disclosure of shareholding information for China Connect Securities</li> </ul>
	9.1.5 Enquiry Money Position / Instruction	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the enhancement of the on-hold mechanism of delivery Sis of a China Connect Security in which a CCCP has an overdue CNS short position</li> </ul>
Dec 2016	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for China Connect Markets</li> </ul>
	4.2 List of Reports and Availability schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for China Connect Markets</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for China Connect Markets</li> </ul>
Nov 2016 Oct 2016 Sep 2016	4.2 List of Reports and Availability schedule	<ul style="list-style-type: none"> <li>▪ Revised ONRD field</li> </ul>
	8.1.9 Cash Prepayment Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Updated content to include Industrial and Commercial Bank of China (Asia) Limited as a Settlement Bank</li> </ul>
	8.1.9a Cash Prepayment / TSF Payment Standing Instruction Maintenance	
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated the function end time of “Enquire Stock Account Balance” and “Enquire Stock Account Movement” from 8:00 p.m. to 9:30 p.m.</li> </ul>
	9.1.1 Enquire Stock Account Balance	
	9.1.2 Enquire Stock Account Movement	
	4.5 Report Profile Maintenance 4.6 Overnight Report Distribution 7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated the function start and end time of “Report Profile Maintenance”</li> </ul>
Jul 2016	1 Introduction	<ul style="list-style-type: none"> <li>▪ Updated service hours of China Connect Hotline</li> </ul>

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Revised Date	<u>Section / Page</u>	Description
	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities</li> <li>▪ Updated content to incorporate changes due to the enhancement of collection and refund of additional cash collateral in Hong Kong market</li> <li>▪ Updated the last round of Broadcast Message for an estimated amount of marks and margin requirement to around 4:45p.m. due to CAS</li> <li>▪ Updated the last round of Broadcast Message for an estimated amount of additional cash collateral requirement to around 5:00 p.m. due to CAS</li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to strengthening of the security measures</li> </ul>
	3.4 Logon and Logoff CCASS	
	4.2 List of Reports and Availability schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the enhancement of collection and refund of additional cash collateral in Hong Kong market</li> <li>▪ Updated content to incorporate changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities</li> <li>▪ Updated the last batch of Intra-day Trade file to 4:25p.m. due to CAS</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	Additional Cash Collateral Payable Report (CRMAC01)	<ul style="list-style-type: none"> <li>▪ New report due to enhancement of collection and refund of additional cash collateral in Hong Kong market</li> </ul>
	Unmatched SI Report (CCLUS01) Intra-day Settled Position Report (CSESP04) Intra-Day ISI / SI Full List (CSESI02)	<ul style="list-style-type: none"> <li>▪ Updated report generation time to reflect changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities</li> </ul>
	Intra-day Trade File	Updated the last batch of Intra-day Trade file to 4:25p.m. due to CAS
	6 Report Specifications	<ul style="list-style-type: none"> <li>▪ New report due to enhancement of collection and refund of additional cash collateral in Hong Kong market</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities</li> <li>▪ Updated content to incorporate changes due to the change of opening time of online ATI / STI from 08:00 to 07:15 for China Connect Securities</li> </ul>
	8.1.1 SI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities</li> </ul>
	8.1.7 Input ATI	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the change of opening time of online ATI / STI from 08:00 to 07:15 for China Connect Securities</li> </ul>
	8.1.7a STI Maintenance	
	8.2.10 Cash Creation Order Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the second batch of cash creation order maintenance to 4:25p.m. due to CAS</li> </ul>
	8.2.11 In Kind Creation Order Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the second batch of in kind creation order maintenance to 4:25p.m. due to CAS</li> </ul>
	8.2.12 Redemption Order Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the second batch of redemption order maintenance to 4:25p.m. due to CAS</li> </ul>
	9.1.5 Enquiry Money Position / Instruction	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the removal of the 07:45 SI BSR as well as the two morning SI matching runs at 07:30 and 07:45 for China Connect Securities</li> </ul>

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	9.3.11 Enquire Issuer Announcement	<ul style="list-style-type: none"> <li>▪ Updated HKEX website to HKEXnews website and added full trading day in the paragraph of WHEN TO USE</li> </ul>
May 2016	7.1 CCASS TERMINAL REQUIREMENTS	<ul style="list-style-type: none"> <li>▪ Updated support matrix for JRE8 on Win7 and Win8.1</li> </ul>
Apr 2016	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP and Cash Prepayment Instruction for China Connect Markets</li> <li>▪ Updated contents that CRP Upload File function does not support the Meeting with Cumulative Vote.</li> <li>▪ Update the change to incorporate HKSCC will perform reconciliation on a daily basis from "Shareholding Date" to "CCASS stated deadline"</li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Updated content for new function "Cash Prepayment Instruction for China Connect Markets"</li> </ul>
	4.1 Report Download	<ul style="list-style-type: none"> <li>▪ Updated function time</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	Intra-Day ISI / SI Full List (CSESI02)	<ul style="list-style-type: none"> <li>▪ Add new field "SD DvP SI" to show whether same day settlement finality in China Connect SI via RMB DvP is supported</li> </ul>
	Cash Prepayment / TSF Payment / Intra-Day Payment Instruction Maintenance A/T Report (CSECP03)	<ul style="list-style-type: none"> <li>▪ Add new field "Market" to indicate the cash prepayment is on which market.</li> </ul>
	Corporate Announcement Master Data File (CCNAN05)	<ul style="list-style-type: none"> <li>▪ Updated the description from "NUMBER AND DESCRIPTION SUMMARY IN THE NOTICE OF MEETING" to "DESCRIPTION SUMMARY IN THE PROXY FORM"</li> </ul> <p>Updated Data File Layout and Data File Samples with following new fields</p> <ul style="list-style-type: none"> <li>▪ "RESOLUTION GROUP INDICATOR"</li> <li>▪ "GROUP RESOLUTION NUMBER"</li> <li>▪ "MULTIPLIER"</li> <li>▪ "ALLOW FOR"</li> <li>▪ "ALLOW AGAINST"</li> <li>▪ "ALLOW ABSTAIN/WITHHOLD"</li> </ul>
	Nominee Functions Input Activities Report (CCNPT01)	<ul style="list-style-type: none"> <li>▪ Added new fields "ABSTAIN/WITHHOLD", "NON VOTED", "PROXY ABSTAIN/WITHHOLD" and "PROXY NON VOTED"</li> <li>▪ Updated the description from "NUMBER AND DESCRIPTION SUMMARY IN THE NOTICE OF MEETING" to "DESCRIPTION SUMMARY IN THE PROXY FORM"</li> </ul>
	Participant Voted Quantity Exception Report - On Voting Deadline (CCNPT03)	<ul style="list-style-type: none"> <li>▪ Add new field "Market" to indicate the cash prepayment is on which market.</li> </ul>



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	CRP Batch Input Control Report (CCNVT08) Bottom of Form	<ul style="list-style-type: none"> <li>▪ Updated the description from “NUMBER AND DESCRIPTION SUMMARY IN THE NOTICE OF MEETING” to “DESCRIPTION SUMMARY IN THE PROXY FORM”</li> </ul> <p>Updated Data File Layout and Data File Samples with following new fields</p> <ul style="list-style-type: none"> <li>▪ “RESOLUTION GROUP INDICATOR”</li> <li>▪ “GROUP RESOLUTION NUMBER”</li> <li>▪ “MULTIPLIER”</li> <li>▪ “ALLOW FOR”</li> <li>▪ “ALLOW AGAINST”</li> <li>▪ “ALLOW ABSTAIN/WITHHOLD”</li> </ul>
	Participant Voted Quantity Exception Report – Before Voting Deadline (CCNPT04)	Update the change to incorporate HKSCC will perform reconciliation on a daily basis from “Shareholding Date” to “CCASS stated deadline”
	DDI / DCI / EPI Summary for Participant (CSEMA28/CSEMS28/CSEMN28)	Add a new copy (CSEMN28) for the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP
	Settlement Related EPI Listing (CSEMA29/CSEMS29/CSEMN29)	Add a new copy (CSEMN29) for the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP
	CCASS Funding Projection Report (Night Settlement) for Participant (CSEMP04)	<ul style="list-style-type: none"> <li>▪ New funding projection report for the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP</li> </ul>
	4.4 Report Data Files Layout	<p>Updated Data File Layout and Data File Samples with following new fields</p> <ul style="list-style-type: none"> <li>▪ “RESOLUTION GROUP INDICATOR”</li> <li>▪ “GROUP RESOLUTION NUMBER”</li> <li>▪ “MULTIPLIER”</li> <li>▪ “ALLOW FOR”</li> <li>▪ “ALLOW AGAINST”</li> <li>▪ “ALLOW ABSTAIN/WITHHOLD”</li> </ul>
	Corporate Announcement Master Data File (CCNAN05)	<ul style="list-style-type: none"> <li>▪ Add a new copy (CSEMN29) for the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP</li> </ul>
	Intra-Day ISI / SI Full List (CSESI02)	<ul style="list-style-type: none"> <li>▪ Add new field “SD DvP SI” to show whether same day settlement finality in China Connect SI via RMB DvP is supported</li> </ul>
	Trade File of Special Segregated Accounts	<ul style="list-style-type: none"> <li>▪ Add new field “Support Same Day Night Settlement” to indicate whether counterparty’s Designated Bank will support the same day settlement finality in China Connect SI via RMB DvP</li> </ul>
	Settlement Related EPI Listing (CSEMA29/ CSEMS29/CSEMN29)	<ul style="list-style-type: none"> <li>▪ Add a new copy (CSEMN29) for the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP</li> </ul>
	4.5 Report File Maintenance	<ul style="list-style-type: none"> <li>▪ Adjust function “end” time to 9:30pm</li> </ul>
	4.6 Overnight Report Distribution	<ul style="list-style-type: none"> <li>▪ Adjust function “end” time to 9:30pm</li> </ul>
	5.1 SI File Transfer	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP</li> </ul>

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	5.9 CRP FILE TRANSFER	<ul style="list-style-type: none"> <li>▪ Updated sample screen</li> <li>▪ Updated contents with restricted items of 'Cumulative vote' and 'Meeting without resolution and for attending only' and 'Inapplicable Voting Preference' that are not supported by CRP File Transfer</li> <li>▪</li> </ul>
	5.10 CRP Batch File Layout	<ul style="list-style-type: none"> <li>▪ Updated contents with restricted items of 'Cumulative vote' and 'Meeting without resolution and for attending only' and 'Inapplicable Voting Preference' that are not supported by CRP File Transfer</li> <li>▪ Updated File Layout with new fields "ABSTAIN/WITHHOLD" and "NON VOTED"</li> <li>▪</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP, Cash Prepayment Instruction for China Connect Markets and various function times</li> </ul>
	8.1.1 SI Maintenance	Updated content to incorporate changes due to the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP
	8.1.9 Cash Prepayment Instruction Maintenance	Removed invalid line "then inform HKSCC of such payment" after CP instruct their designated banks to remit fund into bank account.
	8.1.9b Cash Prepayment Instruction Maintenance for China Connect Markets	<ul style="list-style-type: none"> <li>▪ New function</li> </ul>
	8.2.4 Voting Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Updated contents with new fields "ABSTAIN/WITHHOLD", "NON VOTED" and the function of Cumulative Vote</li> <li>▪ Updated sample screen(s)</li> <li>▪ Added formulas of calculating "CORPORATE VOTING HOLDING" and "TOTAL INSTRUCTION HOLDING"</li> <li>▪ Updated the description from "NUMBER AND DESCRIPTION SUMMARY IN THE NOTICE OF MEETING" to "DESCRIPTION SUMMARY IN THE PROXY FORM"</li> <li>▪ Added new fields "ABSTAIN/WITHHOLD" and "NON VOTED"</li> </ul>
	8.2.5 Corporate Representative/Proxy Maintenance	<ul style="list-style-type: none"> <li>▪ Updated contents with new fields "ABSTAIN/WITHHOLD", "NON VOTED" and the function of Cumulative Vote</li> <li>▪ Updated sample screen(s)</li> <li>▪ Added formulas of calculating "CORPORATE VOTING HOLDING"</li> <li>▪ Added examples of "CORP REP/PROXY FULL NAME"</li> <li>▪ Updated the description from "NUMBER AND DESCRIPTION SUMMARY IN THE NOTICE OF MEETING" to "DESCRIPTION SUMMARY IN THE PROXY FORM"</li> <li>▪ Added new fields "ABSTAIN/WITHHOLD" and "NON VOTED"</li> <li>▪ Updated the requirement of CR/Proxy name for CORP REP/PROXY FULL NAME</li> <li>▪</li> </ul>
	9.1.5 Enquire Money Position / Instruction	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes due to the launch of RMB interbank bulk settlement run at night for same day settlement finality in China Connect SI via RMB DvP</li> </ul>

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	9.2.3 Enquire Resolution Description	<ul style="list-style-type: none"> <li>▪ Updated contents with new indicators of Voting Preferences</li> <li>▪ Updated sample screen(s)</li> <li>▪ Updated the description from “NUMBER AND DESCRIPTION SUMMARY IN THE NOTICE OF MEETING” to “DESCRIPTION SUMMARY IN THE PROXY FORM”</li> <li>▪ Added new fields “ALLOW FOR”, “ALLOW AGAINST” and “ALLOW ABSTAIN/WITHHOLD”</li> </ul>
	9.2.10 Enquire SSA Corporate Voting Instruction	<ul style="list-style-type: none"> <li>▪ Updated sample screen(s)</li> <li>▪ Updated the description from “NUMBER AND DESCRIPTION SUMMARY IN THE NOTICE OF MEETING” to “DESCRIPTION SUMMARY IN THE PROXY FORM”</li> </ul> <p>Added new field “ABSTAIN/WITHHOLD”</p>
	9.3.3 Enquire Broadcast Message	<ul style="list-style-type: none"> <li>▪ Updated function time</li> </ul>
Dec 2015	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for the SPSA Delivery Failure Maintenance function, DI to settle CNS in China Connect Markets and EPI to collect CCASS fees and expenses for non-IP participants</li> <li>▪ Added intra-day Mainland Settlement Deposit in Sections 2.2 (D) and 2.4.</li> <li>▪ Added two new Intra-day Mainland Settlement Deposit Payable Reports for Shanghai and Shenzhen markets in Table 2.10b and Table 2.11.</li> </ul> <p>Added the collection of intra-day Mainland Settlement Deposit by CPI in Exhibit 2A.</p>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for the SPSA Delivery Failure Maintenance function</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for revised function time</li> <li>▪ Added the availability schedule for four new reports: Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07), Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09), A-share Sellable Balance Adjustment Report (CSEAS05) and A-share Sellable Balance Adjustment Audit Trail Report (CSEAS07)</li> </ul>
Dec 2015 Nov 2015	Unmatched SI Report (CCLUS01)	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for the SPSA Delivery Failure Maintenance function, DI to settle CNS in China Connect Markets and EPI to collect CCASS fees and expenses for non-IP participants</li> <li>▪ Added intra-day Mainland Settlement Deposit in Sections 2.2 (D) and 2.4.</li> <li>▪ Added two new Intra-day Mainland Settlement Deposit Payable Reports for Shanghai and Shenzhen markets in Table 2.10b and Table 2.11.</li> <li>▪ Added the collection of intra-day Mainland Settlement Deposit by CPI in Exhibit 2A.</li> </ul>
	Settled Position Report (CSESP01)	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for the SPSA Delivery Failure Maintenance function</li> </ul>
	Intra-day ISI/SI Full List(CSESI02)	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for revised function time</li> </ul>
	A-share Sellable Balance Adjustment Report (CSEAS05)	<ul style="list-style-type: none"> <li>▪ Added the availability schedule for four new reports: Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07), Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09), A-share Sellable Balance Adjustment Report (CSEAS05) and A-share Sellable Balance</li> </ul>
	A-share Sellable Balance Adjustment Audit Trail Report (CSEAS07)	<ul style="list-style-type: none"> <li>▪ Added the availability schedule for four new reports: Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07), Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09), A-share Sellable Balance Adjustment Report (CSEAS05) and A-share Sellable Balance</li> </ul>

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	Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07)	<ul style="list-style-type: none"> <li>▪ Adjustment Audit Trail Report (CSEAS07)</li> <li>▪ Updated content to incorporate changes for using EPI to collect CCASS fees and expenses for non-IP and revised function time, enabling ex-dividend for China Connect Markets and extending Trade File of SPSA to CCCPs</li> <li>▪ Added report description and report sample for four new reports: Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07), Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09), A-share Sellable Balance Adjustment Report (CSEAS05) and A-share Sellable Balance Adjustment Audit Trail Report (CSEAS07)</li> </ul>
	Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09)	
	4.3 Report / Data File Description	
	Unmatched SI Report (CCLUS01)	
	Settled Position Report (CSESP01)	
	Intra-day ISI/SI Full List(CSESI02)	
	Statement of Money Ledger (CSEMA08 /CSEMS08)	
	Corporate Announcement Maintenance Activities Report (CCNAN06)	
	A-share Sellable Balance Adjustment Report (CSEAS05)	
	A-share Sellable Balance Adjustment Audit Trail Report (CSEAS07)	
	Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07)	
	Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09)	
	Trade File of SPSA (CCLTA01)	
	4.4 Report Data Files Layout	
	5.1 SI File Transfer	
	5.5 ATI File Transfer	
	5.6a STI File Transfer	<ul style="list-style-type: none"> <li>▪ Update CCLTA01 to incorporate changes for extending distribution to CCCPs</li> </ul>
	6 Report Specification	<ul style="list-style-type: none"> <li>▪ Added report specification for four new reports: Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07) and Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09), A-share Sellable Balance Adjustment Report (CSEAS05) and A-share Sellable Balance Adjustment Audit Trail Report (CSEAS07)</li> <li>▪ Revised function time and DI for CNS in China Connect Markets</li> <li>▪ Added schedule of intra-day Mainland Settlement Deposit processing and SPSA Delivery Failure Maintenance Function in China Connect Markets</li> <li>▪ Revised function time</li> </ul>
	A-share Sellable Balance Adjustment Report (CSEAS05)	
	A-share Sellable Balance Adjustment Audit Trail Report (CSEAS07)	
	Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07)	
	Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09)	
	7.2 CCASS Processing and Service Schedule	
	8.1.1 SI Maintenance	
	8.1.1b Change Matched/Settled SI	

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	8.1.2a Hide Unmatched SI Content Counterparty List	<ul style="list-style-type: none"> <li>▪ Added report specification for four new reports: Intra-day Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD07) and Intra-day Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD09), A-share Sellable Balance Adjustment Report (CSEAS05) and A-share Sellable Balance Adjustment Audit Trail Report (CSEAS07)</li> </ul>
	8.1.5 Change DI Requirement	<ul style="list-style-type: none"> <li>▪ Revised function time and DI for CNS in China Connect Markets</li> <li>▪ Added schedule of intra-day Mainland Settlement Deposit processing and SPSA Delivery Failure Maintenance Function in China Connect Markets</li> </ul>
	8.1.6 Input DI	<ul style="list-style-type: none"> <li>▪ Updated content to reflect DI is now applicable for settling CNS in China Connect Markets and revised function time</li> <li>▪ Revised function time</li> </ul>
	8.1.7 Input ATI	
	8.1.7a STI Maintenance	
	8.1.8 Mass ATI/STI	
	8.1.14 SPSA Delivery Failure Maintenance Function	<ul style="list-style-type: none"> <li>▪ Updated content to reflect DI is now applicable for settling CNS in China Connect Markets and revised function time</li> <li>▪ New function</li> <li>▪ Updated content to incorporate changes for CCASS system interface enhancement for the proposed new market (SZMK)</li> <li>▪ Ex-dividend is applicable for China Connect Markets</li> </ul>
	8.2.3 Subscription Instruction Maintenance	
	9.2.1 Enquire Announcement Information	
	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for CCASS system interface enhancement for the proposed new market (SZMK) on risk-management related reports</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for CCASS system interface enhancement for the proposed new market (SZMK)</li> </ul>
	Monthly Portfolio Fee Collection Report of China Connect Markets (CCDPC02)	<ul style="list-style-type: none"> <li>▪ Ex-dividend is applicable for China Connect Markets</li> </ul>
Nov 2015 May 2015	Mainland Security Deposit Payable Report (Shanghai) (CRMGF01)	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for CCASS system interface enhancement for the proposed new market (SZMK) on risk-management related reports</li> <li>▪ Updated content to incorporate changes for CCASS system interface enhancement for the proposed new market (SZMK)</li> <li>▪ Updated report description and report sample for the changes mentioned in 4.2 above</li> <li>▪ New report to replace "Monthly Portfolio Fee Collection Report (CCDPC01)"</li> </ul>
	Mainland Security Deposit Payable Report (Shenzhen) (CRMGF03)	
	Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD01)	
	Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD04)	
	Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shanghai) (CCMIA12)	
	Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shenzhen) (CCMIA14)	
	List of blank SZMK reports for the proposed new market	

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	4.3 Report / Data File Description	
	4.4 Report Data Files Layout	
	Monthly Portfolio Fee Collection Report of China Connect Markets (CCDPC02)	
	Trade File of SPSA (CCLTA01)	<ul style="list-style-type: none"> <li>▪ New “buy-sell indicator” for future use</li> </ul>
	5.6a STI File Transfer	Updated description on STI Batch runs of China Connect Markets.
	6 Report Specifications	<ul style="list-style-type: none"> <li>▪ Updated report specifications to incorporate changes for CCASS system interface enhancement for the proposed new market (SZMK)</li> </ul>
	Monthly Portfolio Fee Collection Report of China Connect Markets (CCDPC02)	<ul style="list-style-type: none"> <li>▪ New “buy-sell indicator” for future use</li> </ul>
	Mainland Security Deposit Payable Report (Shanghai) (CRMGF01)	<ul style="list-style-type: none"> <li>▪ Updated description on STI Batch runs of China Connect Markets.</li> </ul>
	Mainland Security Deposit Payable Report (Shenzhen) (CRMGF03)	<ul style="list-style-type: none"> <li>▪ Updated report specifications to incorporate changes for CCASS system interface enhancement for the proposed new market (SZMK)</li> </ul>
	Mainland Settlement Deposit Payable Report (Shanghai) (CRMSD01)	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	Mainland Settlement Deposit Payable Report (Shenzhen) (CRMSD04)	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	7.2 CCASS Processing and Service Schedule	
	8.1.1 SI Maintenance	
	8.1.1a Change Hold Matched SI	
	8.1.1b Change Matched/Settled SI	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	8.1.2a Hide Unmatched SI Content Counterparty List	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	8.1.5 Change DI Requirement	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	8.1.6 Input DI	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	8.1.7 Input ATI	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	8.1.7a STI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK) and description on STI Batch runs of China Connect Markets.</li> </ul>
	8.1.8 Mass ATI/STI	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	9.1.5 Enquire Money Position / Instruction	<ul style="list-style-type: none"> <li>▪ Updated enhanced screen dump</li> </ul>
	9.2.1 Enquire Announcement Information	<ul style="list-style-type: none"> <li>▪ Updated content for the proposed new market (SZMK)</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪ Updated field description related to the “VOTING/BOOK CLOSED/INSTR INPUT PERIOD/EFFECT. DATE” and the “BK CLOSE PERD or BK CLOSE PERIOD” for China Connect Market of Entitlement Statement (CCNPT02)</li> </ul>

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	9.2.1 Enquire Announcement Information	<ul style="list-style-type: none"> <li>▪ Updated field description related to the “BOOK CLOSE PERIOD” and “EX-DIVIDEND DATE” for China Connect Market</li> </ul>
Mar 2015	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for the introduction of Enhanced Pre-trade Checking Model, DVP SI and revised CCASS batch processing schedule for China Connect Market</li> </ul>
May 2015	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪ Updated content related to the appointment of proxy/proxies to attend the general meetings of the China Connect Securities.</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Updated the generation time for CCASS reports due to revised CCASS batch processing schedule</li> </ul>
Mar 2015 Dec 2014 Nov 2014	ATI Batch Input Control Report (CSEBA01) STI Batch Input Control Report (CSEAT01)	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for the introduction of Enhanced Pre-trade Checking Model, DVP SI and revised CCASS batch processing schedule for China Connect Market</li> <li>▪ Updated content related to the appointment of proxy/proxies to attend the general meetings of the China Connect Securities.</li> </ul>
	STI Activity Report (CSEAT02)	<ul style="list-style-type: none"> <li>▪ Updated the generation time for CCASS reports due to revised CCASS batch processing schedule</li> </ul>
	Unmatched SI Report (CCLUS01)	
	Intra-day ISI / SI Full List (CSESI02)	
	Intra-day Settled Position Report (CSESP04)	New data format file for Custodian Participants and GCPs which are not Exchange participants only under the Enhanced Pre-trade Checking Model of China Connect Market
	Buy-in Notification Report (CFIBI01)	Added / revised the report / data file description and sample due to changes described in section 4.2 above
	Trade File of Special Segregated Accounts (CCLTA01)	New field value “I” will be shown in the “Origin Indicator” to indicate sell trades from Special Segregated Account (SPSA) under the Enhanced Pre-trade Checking Model of China Connect Market
	4.3 Report / Data File Description	
	Intra-day Trade File (CCLID01)	
	Final Clearing Statement (CCLTN05)	<ul style="list-style-type: none"> <li>▪ New data format file for Custodian Participants and GCPs which are not Exchange participants only under the Enhanced Pre-trade Checking Model of China Connect Market</li> </ul>
	Mainland Settlement Deposit Payable Report (CRMSD01)	<ul style="list-style-type: none"> <li>▪ Computation of the Mainland Settlement Deposit is modified to include the sell turnover in China Connect Securities for the Special Segregated Account (SPSA)</li> </ul>
	4.4 Report Data Files Layout	
	Intra-day Trade File (CCLID01)	<ul style="list-style-type: none"> <li>▪ New field value “I” will be shown in the “Origin Indicator” to indicate sell trades from Special Segregated Account (SPSA) under the Enhanced Pre-trade Checking Model of China Connect Market</li> </ul>
	Final Clearing Statement (CCLTN05)	<ul style="list-style-type: none"> <li>▪ Computation of the Mainland Settlement Deposit is modified to include the sell turnover in China Connect Securities for the Special Segregated Account (SPSA)</li> </ul>
	Trade File of Special Segregated Accounts (CCLTA01)	<ul style="list-style-type: none"> <li>▪ Added the report data file layout and sample for CCLTA01</li> </ul>
	5.1 SI File Transfer	<ul style="list-style-type: none"> <li>▪ Updated the content for availability of DVP SI for China</li> </ul>

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	5.5 ATI File Transfer	<ul style="list-style-type: none"> <li>Connect Market</li> <li>▪ Updated the available function time and validation run</li> </ul>
	5.6a STI File Transfer	Updated the available function time, validation run and STI batch transfer involving China Connect Securities held at Special Segregated Account (SPSA)
	5.16 SSA Batch File Layout	<ul style="list-style-type: none"> <li>▪ Updated for Special Segregated Account (SPSA)</li> </ul>
	5.18 MCTI Batch File Layout	<ul style="list-style-type: none"> <li>▪ Updated for Special Segregated Account (SPSA) which is not applicable to MCTI</li> </ul>
	5.22 Parallel Trading Conversion Instruction File Layout	<ul style="list-style-type: none"> <li>▪ Updated for Special Segregated Account (SPSA) which is not applicable to PTCI</li> </ul>
	6 Report Specifications	<ul style="list-style-type: none"> <li>▪ Updated the report specifications for Mainland Settlement Deposit Payable Report (CRMSD01)</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Updated for the revised CCASS processing schedule: <ul style="list-style-type: none"> <li>- Additional ATI / STI validation run (GLOB)</li> <li>- Revised CNS batch settlement run schedule (MAMK)</li> <li>- Additional SI matching run (MAMK)</li> <li>- Additional SI BSR (MAMK)</li> <li>- Additional STI batch transfer run (MAMK)</li> </ul> </li> <li>▪ Updated for the revised CCASS function time: <ul style="list-style-type: none"> <li>- Input DI (MAMK)</li> <li>- Change DI requirement (MAMK)</li> <li>- Change hold matched SI (MAMK)</li> <li>- Input ATI / STI (MAMK)</li> <li>- Upload of ATI / STI batch file (GLOB)</li> <li>- Subscription instruction maintenance (MAMK)</li> </ul> </li> <li>▪ Extension of nominee-related function enquiry end time</li> </ul>
	8.1.1 SI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the additional SI matching run and availability of DVP SI for China Connect Market</li> </ul>
	8.1.1a Change Hold Matched SI	<ul style="list-style-type: none"> <li>▪ Updated the function time for China Connect Market</li> </ul>
	8.1.5 Change DI Requirement	<ul style="list-style-type: none"> <li>- Updated the function time for China Connect Market</li> </ul>
	8.1.6 Input DI	<ul style="list-style-type: none"> <li>▪ Updated the function time for China Connect Market</li> </ul>
	8.1.7 Input ATI	<ul style="list-style-type: none"> <li>▪ Updated the function time for China Connect Market</li> </ul>
	8.1.7a STI Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function time and STI batch run schedule for China Connect Market</li> </ul>
	8.2.2 Election Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	8.2.3 Subscription Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Updated different subscription period concerning China Connect Market depending on the listed status of the relevant shares</li> </ul>
	8.2.4 Voting Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	8.2.5 Corporate Representative/Proxy Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> <li>▪</li> </ul>
	8.2.6 Recipient Master Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>



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	8.2.7 Event Recipient List Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	8.2.9 Tender Instruction Maintenance	Updated the function enquiry end time to 20:00
	8.2.10 Cash Creation Order Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	8.2.11 In Kind Creation Order Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> <li>▪</li> </ul>
	8.2.12 Redemption Order Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	8.2.13 Inter-Counter Transfer/Conversion Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Updated for Special Segregated Account (SPSA) which is not applicable to this function</li> </ul>
	8.5.1 SSA with Statement Service Maintenance	<ul style="list-style-type: none"> <li>▪ Updated the maintenance for Special Segregated Account (SPSA)</li> </ul>
	9.1.5 Enquire Money Position / Instruction	<ul style="list-style-type: none"> <li>▪ Updated for enquiry of DVP SI money position for China Connect Market</li> </ul>
	9.2.1 Enquire Announcement Information	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> <li>▪</li> </ul>
	9.2.2 Enquire Corporate Communications Event	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	9.2.3 Enquire Resolution Description	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	9.2.7 Enquire Authorised Tender Announcement	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	9.2.8 Enquire Tender Result	Updated the function enquiry end time to 20:00
	9.2.10 Enquire SSA Corporate Voting Instruction	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
	4.3 Report / Data File Description	Revised the report description and report samples for "Participant Voted Quantity Exception Report – On Voting Deadline (CCNPT03)"
	1 Introduction	<ul style="list-style-type: none"> <li>▪ Updated address of CCASS Depository Services</li> </ul>
	7.3 Technical Requirements	<ul style="list-style-type: none"> <li>▪ Updated the function enquiry end time to 20:00</li> </ul>
Oct 2014	1 Introduction	<ul style="list-style-type: none"> <li>▪ Updated China Connect Hotline</li> </ul>
Nov 2014	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for China Connect Market</li> <li>▪ Revised the function time</li> </ul>
	4.1 Report Download	
Oct 2014 Oct 2014 Sep 2014 April 2014	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Updated report list for reports generated for China Connect Market</li> </ul>
	Final Clearing Statement (CCLTN05)	<ul style="list-style-type: none"> <li>▪ Updated content to incorporate changes for China Connect Market</li> </ul>
	Intra-day Trade File (CCLID01)	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	SI Status Report (CCLSI01)	<ul style="list-style-type: none"> <li>▪ Updated report list for reports generated for China Connect Market</li> <li>▪ Global report which will include China Connect Market money obligations</li> <li>▪ Added new CCASS Reports for China Connect Market</li> </ul>
	SI Activity Report (CCLSI02)	
	Unmatched SI Report (CCLUS01)	
	STI Activity Report (CSEAT02)	<ul style="list-style-type: none"> <li>▪</li> </ul>
	STI Status Report (CSEAT03)	

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	Next Settlement Day Due / Overdue Position Report (CSEOP01)	
	Settlement Report (CSESE01)	
	Intra-day ISI / SI Full List (CSESI02)	
	Settled Position Report (CSESP01)	
	Intra-day Settled Position Report (CSESP04)	
	Buy-in Notification Report (CFIBI01)	
	Statement of Stock Movement (by Stock) Report (CSESM01)	
	Statement of Stock Movement (by Account) Report (CSESM02)	
	Daily Stock Balance Report (CSESB01)	
	Corporate Announcement Master Data File (CCNAN05)	
	Corporate Announcement Maintenance Activities Report (CCNAN06)	
	Nominee Functions Input Activities Report (CCNPT01)	
	Entitlement Statement (CCNPT02)	
	Participant Voted Quantity Exception Report – On Voting Deadline (CCNPT03)	
	Participant Voted Quantity Exception Report – Before Voting Deadline (CCNPT04)	
	Nominee Fee Refund Report (CCNPT06)	
	Statement of Money Ledger (CSEMA08/CSEMS08)	
	Monthly Portfolio Fee Collection Report (CCDPC01)	
	Mainland Security Deposit Payable Report (CRMGF01)	
	Mainland Settlement Deposit Payable Report (CRMSD01)	<ul style="list-style-type: none"> <li>▪ Global report which will include China Connect Market money obligations</li> </ul>
4.3	Report / Data File Description	Revised the report description and added report samples for reports generated for China Connect Market under section 4.2
4.4	Report Data Files Layout	Added report data file samples for reports generated for China Connect Market under section 4.2
5.1	SI File Transfer	Revised the function time and updated the content for China Connect Market
5.5	ATI File Transfer	<ul style="list-style-type: none"> <li>▪ Revised the function time and updated the content for China Connect Market</li> </ul>

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Revised Date	<u>Section / Page</u>	Description
	5.6a STI File Transfer	<ul style="list-style-type: none"> <li>▪ Revised the function time and updated the content for China Connect Market</li> </ul>
	6 Report Specifications	<ul style="list-style-type: none"> <li>▪ Added the report specification for the following new reports for China Connect Market: CCDPC01 – Monthly Portfolio Fee Collection Report CRMGF01 – Mainland Security Deposit Payable Report CRMSD01 – Mainland Settlement Deposit Payable Report</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Revised the CCASS processing and service schedule for Hong Kong Market (for ATI / STI / SI enquiry function time and batch file upload time) and added CCASS processing and service schedule for China Connect Market</li> </ul>
	8.1.1 SI Maintenance	<ul style="list-style-type: none"> <li>▪ Added the function time for China Connect Market</li> </ul>
	8.1.1a Change Hold Unmatched SI	Added the function time for China Connect Market
	8.1.1b Change Matched / Settled SI	<ul style="list-style-type: none"> <li>▪ Added the function time for China Connect Market</li> </ul>
	8.1.2 SI Tolerance Limit Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.1.2a Hide Unmatched SI Content Counterparty List	<ul style="list-style-type: none"> <li>▪ Revised the function time and added the function time for China Connect Market</li> </ul>
	8.1.5 Change DI Requirement	<ul style="list-style-type: none"> <li>▪ Added the function time for China Connect Market</li> </ul>
	8.1.6 Input DI	<ul style="list-style-type: none"> <li>▪ Added the function time for China Connect Market</li> </ul>
	8.1.7 Input ATI	<ul style="list-style-type: none"> <li>▪ Added the function time for China Connect Market</li> </ul>
	8.1.7a STI Maintenance	<ul style="list-style-type: none"> <li>▪ Added the function time for China Connect Market</li> </ul>
	8.1.8 Mass ATI / STI	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.2.3 Subscription Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Added the function time for China Connect Market</li> </ul>
	8.4.1 User Profile Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.4.2 User Group Listing (with Accessible C/3 Functions)	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.4.3 User Profile Listing	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.4.4 Disabled User Listing	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.4.5 SRN Listing	Revised the function time
	8.4.6 User Profile Maintenance Report	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.4.7 Reset Smartcard Password	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.4.8 Get Authorisation Code	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.1.1 Enquire Stock Account Balance	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.1.2 Enquire Stock Account Movement	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.1.3 Enquire Due / Overdue Positions	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.1.4 Enquire Settlement Activity	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.1.5 Enquire Money Position / Instruction	<ul style="list-style-type: none"> <li>▪ Updated the content for China Connect Market</li> </ul>
	9.1.6 Enquire Unmatched SI Reason	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.1.7 Enquire Payment Instruction	<ul style="list-style-type: none"> <li>▪ Updated the content for China Connect Market</li> </ul>

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	9.1.8 Enquire Buy-in Confirmation	Revised the function time
	9.3.1 Enquire Participant List	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.3.2 Enquire Stock List	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.3.3 Enquire Broadcast Message	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	9.3.10 Enquire NCP/GCP Mapping	<ul style="list-style-type: none"> <li>▪ Revised the function time</li> </ul>
	8.2.4 Voting Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Supplemented detail for the “Enquire Corporate Voting Instruction” function</li> </ul>
	7.1 CCASS Terminal Requirements	<ul style="list-style-type: none"> <li>▪ Updated hardware and software configuration of CCASS/3 terminal specification</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Revised the available time of New Issues Entitlement Report (CEPBE01) under contingency situation</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	New Issues Entitlement Report (CEPBE01)	<ul style="list-style-type: none"> <li>▪ Revised the available time under contingency situation</li> </ul>
Nov 2013	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Added intra-day margin under Section 2.2 Clearing and Settlement Operation subsection D Money Settlement: Intra-day Marks/Intra-day Margin for Clearing Participants to ensure having sufficient funds in their bank accounts for both intra-day marks and intra-day margin</li> <li>▪ Added upload of CCASS stocks to be transferred to stock a/c 20 under Section 2.5 Collateral Management Services</li> <li>▪ Added “SSC File Transfer” and “SSC Batch File Layout” under terminal operation functions and “Collateral Security Batch Input Control Report” under reports in Table 2.10 Functions and reports related to Collateral Management activities</li> </ul>
	3.1 Access Control	Added user group 27 & 28 for SSC upload functions in paragraph 4 and Table 3.1.1
	5.23 SSC File Transfer	<ul style="list-style-type: none"> <li>▪ Added new description for SSC File Transfer function</li> </ul>
	5.24 SSC Batch File Layout	<ul style="list-style-type: none"> <li>▪ Added new batch file specification for SSC batch file</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Added SSC batch file upload under Daily CCASS Service of the chart “CCASS Processing and Service Schedule”</li> <li>▪ Added the function time and schedule of SSC upload file validations under Daily Schedule</li> </ul>
Jun 2013	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Added new report Nominee Fees Refund Report (CCNPT06)</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	Nominee Fees Refund Report (CCNPT06)	<ul style="list-style-type: none"> <li>▪ Added new report description for the refund of nominee fees in relation to dividend collection fee and scrip fee for multi-counter stocks</li> </ul>
	4.4 Report Data Files Layout	<ul style="list-style-type: none"> <li>▪</li> </ul>
	Entitlement Statement (CCNPT02)	Revised to add one more digit to the “Scrip Fee” field (new format: 8 digits plus 2 decimals)
	6 Report Specification	<ul style="list-style-type: none"> <li>▪</li> </ul>
	Entitlement Statement (CCNPT02)	Revised to add one more digit to the “Scrip Fee” field (new format: 8 digits plus 2 decimals)
	Nominee Fees Refund Report (CCNPT06)	<ul style="list-style-type: none"> <li>▪ Added new report specification for the refund of nominee fees in relation to dividend collection fee and scrip fee for multi-counter stocks</li> </ul>
Feb 2013	7.1 CCASS Terminal Requirements	Updated hardware and software configuration of CCASS/3 terminal specification

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Jan 2013	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Added upload of parallel trading conversion instruction under the depository service</li> <li>▪ Added report data download file for report "Inter-counter Transfer/Conversion Instruction Activities Report (CCVTF01)"</li> <li>▪ Added details in EIPO confirmation application services</li> <li>▪ Added Exhibit 2-J(b): Summary of operational flow for EIPO confirmation workflow</li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Revised the list of CCASS functions to include the newly added EIPO Confirmation functions</li> <li>▪ Revised the list of CCASS functions to include the newly added upload and authorise upload of EIPO Confirmation batch file upload and Parallel Trading Conversion Instruction batch file upload</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Added new reports, EIPO Confirmation Batch Input Control Report (CEPBV02) and Parallel Trading Conversion Instruction Batch Input Control Report (CCVTF05)</li> </ul>
	4.3 Report / Data File Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	New Issues Application Input Activities Report (CEPAA01/CEPAB01)	<ul style="list-style-type: none"> <li>▪ Revised to include EIPO confirmation information</li> </ul>
	New Issues Entitlement Report (CEPBE01)	<ul style="list-style-type: none"> <li>▪ Revised to include EIPO confirmation reminder and EIPO confirmation – unconfirmed application refund section</li> </ul>
	EIPO Confirmation Batch Input Control Report (CEPBV02)	<ul style="list-style-type: none"> <li>▪ Added new report description for the recording of processing results, errors detected and the relevant error messages on Participants' uploaded EIPO confirmation records</li> </ul>
	Inter-counter Transfer/Conversion Instruction Activities Report (CCVTF01)	<ul style="list-style-type: none"> <li>▪ Revised to separate the report into a two sections report, i.e. Multi-counter Instructions section and Parallel Trading Conversion Instruction section</li> </ul>
	Parallel Trading Conversion Instruction Batch Input Control Report (CCVTF05)	<ul style="list-style-type: none"> <li>▪ Added new report description for the recording of processing results, errors detected and the relevant error messages on Participants' uploaded Parallel Trading Conversion Instruction records</li> </ul>
	4.4 Report Data Files Layout	<ul style="list-style-type: none"> <li>▪</li> </ul>
	New Issues Application Input Activities Report (CEPAA01/CEPAB01)	<ul style="list-style-type: none"> <li>▪ Revised to add EIPO confirmation input activities details</li> </ul>
	New Issues Entitlement Report (CEPBE01)	<ul style="list-style-type: none"> <li>▪ Revised to add EIPO confirmation reminder section and EIPO confirmation – Unconfirmed application refund section</li> </ul>
	Inter-counter Transfer/Conversion Instruction Activities Report (CCVTF01)	<ul style="list-style-type: none"> <li>▪ Added descriptions to the newly available report data file layout</li> </ul>
	5.19 EIPO Confirmation File Transfer	<ul style="list-style-type: none"> <li>▪ Added new description for EIPO Confirmation File Transfer function</li> </ul>
	5.20 EIPO Confirmation Batch File Layout	<ul style="list-style-type: none"> <li>▪ Added new batch file specification for EIPO Confirmation batch file layout</li> </ul>
	5.21 Parallel Trading Conversion Instruction File Transfer	<ul style="list-style-type: none"> <li>▪ Added new description for Parallel Trading Conversion Instruction File Transfer function</li> </ul>
	5.22 Parallel Trading Conversion Instruction Batch File Layout	<ul style="list-style-type: none"> <li>▪ Added new batch file specification for Parallel Trading Conversion Instruction batch file layout</li> </ul>
	6 Report Specification	<ul style="list-style-type: none"> <li>▪</li> </ul>
	New Issues Application Input Activities Report (CEPAA01/CEPAB01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	New Issues Entitlement Report (CEPBE01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>

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	Inter-counter Transfer/Conversion Instruction Report (CCVTF01) Activities	Updated the report specification according to changes in Section 4.3
	Parallel Trading Conversion Instruction Batch Input Control Report (CCVTF05)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	New Issues Application Input Activities Report (CEPAA01/CEPAB01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	7.2 CCASS Processing and Services Schedule	<ul style="list-style-type: none"> <li>▪ Added the CCASS daily schedule to incorporate Parallel Trading Conversion Instruction and EIPO Confirmation upload file validation</li> <li>▪ Added the daily and availability schedule to incorporate EIPO confirmation related activities</li> </ul>
	8.2.8a EIPO Confirmation Application Maintenance	<ul style="list-style-type: none"> <li>▪ Added EIPO Confirmation Application Maintenance function details</li> </ul>
	9.2.5 Enquire Authorised EIPO Announcement	<ul style="list-style-type: none"> <li>▪ Revised cap screen to include EIPO confirmation details</li> </ul>
Oct 2012	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Added margin, specific cash collateral, additional cash collateral and Guarantee Fund Contributions under Section 2.2 D Money Settlement</li> <li>▪ Added margin, specific cash collateral and use of margin &amp; specific cash collateral to reduce the required amount of cash prepayment under Section 2.4 Fails and Risk Management</li> <li>▪ Deleted “insurance”, replaced “market share” and added details to a DCP’s minimum cash contribution from the paragraph related to Guarantee Fund under Section 2.4 Fails and Risk Management</li> <li>▪ Added bank guarantee, specific cash collateral and maintain preferred single settlement currency under Section 2.5 Collateral Management Services</li> <li>▪ Added collection of margin and specific cash collateral in Exhibit 2A</li> <li>▪ Replaced “Hongkong Clearing” by “HKSCC” and added collection of margin in Exhibit 2E</li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Assigned the user groups for new participant functions in TABLE 3.1.1 - CCMS FUNCTIONS</li> <li>▪</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Added new reports, Intra-day Margin Payable Report (CRMMG01), Margin Payable Report (CRMMG02), NCP Margin Projection Report (CRMNP03 &amp; CRMNP04), Maintain Preferred Single Settlement Currency Activity Report (CCMPS01), Specific Cash Collateral Instruction Activity Report (CCMSC01) and NCP(s) Guarantee Fund Contribution Projection By Position (GFR616) to the list</li> <li>▪ Revised the available time of Intra-Day Marks and Collateral Collection Report (CRMIM01), Marks and Collateral Collection Report (CFIPM01) and NCP Marks Projection Report (CRMNP02)</li> <li>▪ Revised the report name, ONRD field, frequency and available time of Statement of Guarantee Fund Contributions (GFR608)</li> </ul>
	4.3 Report Description	<ul style="list-style-type: none"> <li>▪</li> </ul>

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	Marks and Collateral Collection Report (CFIPM01)	<ul style="list-style-type: none"> <li>▪ Deleted the field "Marks Amount (HKD)"</li> <li>▪ Added new fields "Net Marks (Pending Pos) Before Cross Currency Netting", "Net Marks (Pending Pos) After Cross Currency Netting", "Net Marks (Due / Overdue Pos) Before Cross Currency Netting" and "Net Marks (Due / Overdue Pos) After Cross Currency Netting" under the list of CNS positions</li> <li>▪ Revised the marks and collateral requirement and shortfall section</li> <li>▪ Added remarks and notes Added a new section "Covered by Specific Cash Collateral (SCC)" showing the long CNS positions covered by SCC</li> </ul>
	Intra-day Marks and Collateral Collection Report (CRMIM01)	<ul style="list-style-type: none"> <li>▪ Revised the time available</li> <li>▪ Deleted the field "Marks Amount (HKD)"</li> <li>▪ Added new fields "Net Marks (Pending Pos) Before Cross Currency Netting", "Net Marks (Pending Pos) After Cross Currency Netting", "Net Marks (Due / Overdue Pos &amp; Uncovered Allocated Pos) Before Cross Currency Netting" and "Net Marks (Due / Overdue Pos &amp; Uncovered Allocated Pos) After Cross Currency Netting" under the list of CNS positions</li> <li>▪ Revised the marks and collateral requirement and shortfall section</li> <li>▪ Added remarks and notes</li> <li>▪ Added a new section "Covered by Specific Cash Collateral (SCC)" showing the long CNS positions covered by SCC</li> </ul>
	NCP Marks Project Report (CRMNP01/CRMNP02)	<ul style="list-style-type: none"> <li>▪ Revised the time available</li> <li>▪ Deleted the field "Marks Amount (HKD)"</li> <li>Revised the field "Total Marks Amount for the NCP" to show the amount by currency</li> </ul>
	Collateral Account Balance Report (CCMCA02)	<ul style="list-style-type: none"> <li>▪ Added a new section "Specific Cash Collateral On-hold" showing the details of long CNS positions cover by specific cash collateral</li> </ul>
	Statement of Collateral Account (CCMDS01)	<ul style="list-style-type: none"> <li>▪ Added a new section "Specific Cash Collateral" showing the movement of confirmed specific cash collateral and pending specific cash collateral</li> </ul>
	Participant Collateral Account Movement Report (CCMMV01)	<ul style="list-style-type: none"> <li>▪ Added a new section "Specific Cash Collateral" showing the movement of specific cash collateral</li> </ul>
	Post Collateral Result Report (CCMPY01/CCMPY02)	<ul style="list-style-type: none"> <li>▪ Added a new section heading "Obligation Collateralisation Result (Non-cash Collateral First)" for HKSCC participants</li> <li>▪ Added a new section "Preferred Single Settlement Currency Conversion Result" showing the conversion of marks and margin payments from original currency into the preferred single settlement currency for marks and margin</li> <li>▪ Revised the section heading "Marks to be collected" to "Marks and Margin to be collected"</li> <li>▪ Added footnote at the end of the report</li> </ul>
	Statement of Guarantee Fund Contributions (GFR608)	<ul style="list-style-type: none"> <li>▪ Renamed the report name from "Statement of Guarantee Fund Contribution under CCASS" to "Statement of Guarantee Fund Contributions"</li> <li>▪ Revised the contents of the report to show participant's contribution in "Basic Contribution" and "Dynamic Contribution" in 2 separated sections and added a section to show the net settlement amount due to or from the participant</li> </ul>
	Statement of Money Ledger (CSEMA08/CSEMS08)	<ul style="list-style-type: none"> <li>▪ Revised the section heading "Pending Position Marks A/C" to "Margin &amp; Pending Marks A/C"</li> </ul>
	Intra-day Margin Payable Report (CRMMG01)	<ul style="list-style-type: none"> <li>▪ Added a new report description for intra-day margin payable calculation details</li> </ul>
	Margin Payable Report (CRMMG02)	<ul style="list-style-type: none"> <li>▪ Added a new report description for day-end margin payable calculation details</li> </ul>

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	NCP Margin Projection Report (CRMNP03/CRMNP04)	<ul style="list-style-type: none"> <li>▪ Added a new report description for projected margin requirement of each NCP for respective GCP</li> </ul>
	Maintain Preferred Single Settlement Currency Activity Report (CCMPS01)	<ul style="list-style-type: none"> <li>▪ Added a new report description for the activities performed in preferred single settlement currency maintenance</li> </ul>
	Specific Cash Collateral Instruction Activity Report (CCMSC01)	<ul style="list-style-type: none"> <li>▪ Added a new report description for the activities performed in specific cash collateral maintenance</li> </ul>
	NCP(s) Guarantee Fund Contribution Projection By Position (GFR616)	<ul style="list-style-type: none"> <li>▪ Added new report description for projected Guarantee Fund contribution of each NCP for respective GCP</li> </ul>
4.4	Report Data Files Layout	<ul style="list-style-type: none"> <li>▪</li> </ul>
	Statement of Money Ledger (CSEMA08/CSEMS08)	<ul style="list-style-type: none"> <li>▪ Revised the account type “Pending Position Marks A/C” to “Margin &amp; Pending Marks A/C”</li> </ul>
	Statement of Collateral Account (CCMDS01)	<ul style="list-style-type: none"> <li>▪ Added a new section “Specific Cash Collateral” showing the movement of confirmed specific cash collateral and pending specific cash collateral</li> </ul>
6	Report Specification	
	Marks and Collateral Collection Report (CFIPM01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Intra-day Marks and Collateral Collection Report (CRMIM01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	NCP Marks Project Report (CRMNP01/CRMNP02)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Collateral Account Balance Report (CCMCA02)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Statement of Collateral Account (CCMDS01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Participant Collateral Account Movement Report (CCMMV01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Post Collateral Result Report (CCMPY01/CCMPY02)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Statement of Guarantee Fund Contributions (GFR608)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Statement of Money Ledger (CSEMS08)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Intra-day Margin Payable Report (CRMMG01)	<ul style="list-style-type: none"> <li>▪ Added a new report specification for intra-day margin payable calculation details</li> </ul>
	Margin Payable Report (CRMMG02)	<ul style="list-style-type: none"> <li>▪ Added a new report specification for day-end margin payable calculation details</li> </ul>
	NCP Margin Projection Report (CRMNP03/CRMNP04)	<ul style="list-style-type: none"> <li>▪ Added a new report specification for projected margin requirement of each NCP for respective GCP</li> </ul>
	Maintain Preferred Single Settlement Currency Activity Report (CCMPS01)	<ul style="list-style-type: none"> <li>▪ Added a new report specification for the activities performed in preferred single settlement currency maintenance</li> </ul>
	Specific Cash Collateral Instruction Activity Report (CCMSC01)	<ul style="list-style-type: none"> <li>▪ Added a new report specification for the activities performed in specific cash collateral maintenance</li> </ul>
	NCP(s) Guarantee Fund Contribution Projection By Position (GFR616)	<ul style="list-style-type: none"> <li>▪ Added new report specification for projected Guarantee Fund contribution of each NCP for respective GCP</li> </ul>
7.2	CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Added specific cash collateral maintenance under Daily CCASS Service of the chart “CCASS Processing and Service Schedule”</li> <li>▪ Revised the daily and availability schedule to incorporate intra-day margin, day-end margin, specific cash collateral and preferred single settlement currency for marks and margin related activities</li> </ul>



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	8.3.6 Specific Cash Collateral Maintenance	<ul style="list-style-type: none"> <li>▪ Added a new CCMS maintenance service for specific cash collateral</li> </ul>
	8.3.7 Preferred Single Settlement Currency Maintenance	<ul style="list-style-type: none"> <li>▪ Added a new CCMS maintenance service for preferred single settlement currency for marks and margin</li> </ul>
	9.1.7 Enquire Payment Instruction	<ul style="list-style-type: none"> <li>▪ Added intra-day margin obligations and specific cash collateral payment under functional description</li> <li>▪ Revised the existing deal code "D" to incorporate intra-day margin obligations</li> <li>▪ Added a new deal code "I" for specific cash collateral</li> <li>▪ Revised the existing fields "Transaction Type", "Paying Participant Bank Account Name", "Paying Participant Account Name", "Beneficiary Bank Account Number", "Beneficiary Bank Account Name" and "Payment Value" to incorporate intra-day margin and specific cash collateral</li> </ul>
	9.3.3 Enquire Broadcast Message	<ul style="list-style-type: none"> <li>▪ Added periodic margin provision processing under functional description</li> </ul>
	9.3.9 Enquire Intra-day Payment Mapping	<ul style="list-style-type: none"> <li>▪ "including Margin Refund and SCC utilisation" is added after "Refund of Overpaid Cash Prepayment"</li> </ul>
	9.4.1 Enquire Collateral Account Balance (CCMS Terminal User Guide Section 8.2.2)	<ul style="list-style-type: none"> <li>▪ Revised the sample screens for HKSCC participants</li> <li>▪ Added new field descriptions for free specific cash and on-hold specific cash related fields</li> </ul>
	9.4.7 Enquire Specific Cash Collateral Movement (CCMS Terminal User Guide Section 8.2.8)	<ul style="list-style-type: none"> <li>▪ Added a new CCMS enquiry service for specific cash collateral movement</li> </ul>
May 2012	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Added upload of multi-counter transfer instructions under the depository service</li> <li>▪ Added inter-counter transfer/conversion instructions for stock under parallel trading arrangement</li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Revised the list of CCASS functions to include the newly added upload and authorise upload of multi-counter transfer instructions</li> <li>▪ Revised the function name from multi-counter transfer instruction to inter-counter transfer/conversion instruction</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Added new reports, TSF Exception Handling Fee Report (CSETF13) and Multi-counter Transfer Instruction Batch Input Control Report (CCVTF03) and revised exiting report name, Inter-counter Transfer/Conversion Instruction Activities Report (CCVTF01) to the list</li> </ul>
	4.3 Report Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	SI Batch Input Control Report (CCLEI01)	<ul style="list-style-type: none"> <li>▪ Added new fields, "Settlement Currency" and "Processing Reference"</li> </ul>
	SI Status Report (CCLSI01)	<ul style="list-style-type: none"> <li>▪ Added a new field "Processing Reference"</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	SI Activity Report (CCLSI02)	<ul style="list-style-type: none"> <li>▪ Added a new field "Processing Reference"</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	Unmatched SI Report (CCLUS01)	<ul style="list-style-type: none"> <li>▪ Added a new field "Processing Reference"</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> <li>▪ Added "A" to the "Unmatched Reason Codes" for showing settlement currency unmatched</li> </ul>
	Intra-day ISI/SI Full List (CSESI02)	<ul style="list-style-type: none"> <li>▪ Added a new field "Processing Reference" to the SI section</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>

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	Next Settlement Day Due/Overdue Position Report (CSEOP01)	<ul style="list-style-type: none"> <li>▪ Added a new field "Settlement Currency" and the relevant positions will be grouped by "Settlement Currency" with sub-totals.</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	Settled Position Report (CSESP01)	<ul style="list-style-type: none"> <li>▪ Added a new field "Settlement Currency" and the relevant positions will be grouped by "Settlement Currency" with sub-totals.</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	Intra-day Settled Position Report (CSESP04)	<ul style="list-style-type: none"> <li>▪ Added a new field "Settlement Currency" and the relevant positions will be grouped by "Settlement Currency" with sub-totals.</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	Settlement Report (CSESE01) and	<ul style="list-style-type: none"> <li>▪ Added a new field "Settlement Currency" and the relevant positions will be grouped by "Settlement Currency" with sub-totals.</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	GEM Settlement Information Report (CSEOP09)	<ul style="list-style-type: none"> <li>▪ Added a new field "Settlement Currency" and the relevant positions will be grouped by "Settlement Currency" with sub-totals.</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	TSF Exception Handling Fee Report (CSETF13)	<ul style="list-style-type: none"> <li>▪ Added the new report description for calculation of TSF exception handling fee incurred by Participants</li> </ul>
	Inter-counter Transfer/ Conversion Instruction Activities Report (CCVTF01)	<ul style="list-style-type: none"> <li>▪ Revised the report name to incorporated activities related to the processing of Multi-counter Transfer Instructions submitted via file transfer and conversion instructions</li> </ul>
	Multi-counter Transfer Instruction Batch Input Control Report (CCVTF03)	<ul style="list-style-type: none"> <li>▪ Added new report description for the recording of processing results, errors detected and the relevant error messages on Participants' uploaded Multi-counter Transfer Instruction records</li> </ul>
	New Issues Entitlement Report (CEPBE01)	<ul style="list-style-type: none"> <li>▪ Revised the unsuccessful reason of the report sample</li> </ul>
	Statement of Money Ledger (CSEMA08 / CSEMS08)	<ul style="list-style-type: none"> <li>▪ Added 3 new money ledger transaction codes for TSF settlement fee and TSF exception handling fee</li> <li>▪ Revised 1 existing money ledger transaction code for TSF exception handling fee and 1 existing money ledger transaction code for evening MSI generation</li> </ul>
	TSF FX Transaction/Stk Rlse Activity / Status Report (CSETF03)	<ul style="list-style-type: none"> <li>▪ Revised field description of CNS O/S QTY</li> </ul>
4.4	Report Data File Layout	<ul style="list-style-type: none"> <li>▪</li> </ul>
	SI Status Report (CCLSI01)	<ul style="list-style-type: none"> <li>▪ Added a new data field "Processing Reference" in the data file</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	SI Activity Report (CCLSI02)	<ul style="list-style-type: none"> <li>▪ Added a new data field "Processing Reference" in the data file</li> <li>Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	Unmatched SI Report (CCLUS01)	<ul style="list-style-type: none"> <li>▪ Added a new data field "Processing Reference" in the data file</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul> <p>Added "A" to the "Unmatched Reason Codes" for showing settlement currency unmatched in the data file</p>
	Intra-day ISI/SI Full List (CSESI02)	<ul style="list-style-type: none"> <li>▪ Added a new data field "Processing Reference" in the data file</li> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>

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	Next Settlement Day Due/Overdue Position Report (CSEOP01)	<ul style="list-style-type: none"> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	Settled Position Report (CSESP01)	<ul style="list-style-type: none"> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	Intra-day Settled Position Report (CSESP04)	<ul style="list-style-type: none"> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	Settlement Report (CSESE01)	<ul style="list-style-type: none"> <li>▪ Revised the existing field "Currency" to represent "Settlement Currency"</li> </ul>
	New Issues Entitlement Report (CEPBE01)	<ul style="list-style-type: none"> <li>▪ Revised the unsuccessful reason code</li> </ul>
	5.2 SI Batch File Layout	<ul style="list-style-type: none"> <li>▪ Added 2 new data fields of "Settlement Currency" and "Processing Reference" to the batch file which resulting in extending the record length of the existing file from 226 bytes to 280 bytes. The maximum number of records per file decreases to 7,000</li> </ul>
	5.17 MCTI File Transfer	<ul style="list-style-type: none"> <li>▪ Added new description for Multi-counter Transfer Instruction File Transfer function</li> </ul>
	5.18 MCTI Batch File Layout	<ul style="list-style-type: none"> <li>▪ Added new batch file specification for Multi-counter Transfer Instruction batch file layout</li> </ul>
	6 Report Specification	<ul style="list-style-type: none"> <li>▪</li> </ul>
	SI Batch Input Control Report (CCLEI01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	SI Status Report (CCLSI01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	SI Activity Report (CCLSI02)	Updated the report specification according to changes in Section 4.3
	Unmatched SI Report (CCLUS01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Intra-day ISI/SI Full List (CSESI02)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Next Settlement Day Due/Overdue Position Report (CSEOP01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Settled Position Report (CSESP01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Intra-day Settled Position Report (CSESP04)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Settlement Report (CSESE01) and	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	GEM Settlement Information Report (CSEOP09)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	TSF Exception Handling Fee Report (CSETF13)	<ul style="list-style-type: none"> <li>▪ Added the new report specification for TSF exception handling fee calculation</li> </ul>
	Inter-counter Transfer/Conversion Instruction Activities Report (CCVTF01)	<ul style="list-style-type: none"> <li>▪ Updated the report specification according to changes in Section 4.3</li> </ul>
	Multi-counter Transfer Instruction Batch Input Control Report (CCVTF03)	<ul style="list-style-type: none"> <li>▪ Added the new report specification for recording Multi-counter Transfer Instruction Batch Input activities</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Revised the function name from Multi-counter transfer instruction to Inter-counter transfer/conversion instruction</li> <li>▪ Added and revised the CCASS daily schedule to incorporate Multi-counter Transfer Instruction upload file validation and Transfer Run of Inter-counter Transfer/Conversion Instruction</li> </ul>

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	8.1.1 SI Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the status of un-matched SI position in relation to TSF accounts from “Frozen” to “Revoked”</li> <li>▪ Added new data field “Settlement Currency” to allow Participant to select eligible currency for SI settlement</li> <li>▪ Added new data field “Processing Reference” for Participant to input remark for internal process</li> <li>▪ Added the detail of trimming the non-alphanumeric in the client account number before matching</li> </ul>
	8.1.1a Change Hold Match SI	<ul style="list-style-type: none"> <li>▪ Added settlement currency next to the actual settlement amount and settlement amount</li> <li>▪ Added new data field “Processing Reference” which shows the input of Participant for internal process</li> </ul>
	8.1.1b Change Matched/Settled SI	<ul style="list-style-type: none"> <li>▪ Added settlement currency next to the actual settlement amount and settlement amount</li> <li>▪ Added new data field “Processing Reference” which shows the input of Participant for internal process</li> </ul>
	8.1.5 Change DI Requirement	<ul style="list-style-type: none"> <li>▪ Added new data field “Processing Reference” which shows the input of Participant for internal process</li> </ul>
	8.1.6 Input DI	<ul style="list-style-type: none"> <li>▪ Added new data field “Processing Reference” which shows the input of Participant for internal process</li> </ul>
	8.2.13 Inter-counter Transfer/Conversion Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function name from Multi-counter Instruction Maintenance to Inter-counter Transfer/Conversion Instruction Maintenance</li> <li>▪ Added description of new transfer function in relation to stock under parallel trading arrangement</li> <li>▪ Added descriptions of 3 new status of Inter-counter Transfer/Conversion Instruction</li> </ul>
	9.1.3 Enquire Due/Overdue Positions	<ul style="list-style-type: none"> <li>▪ Revised description of currency to settlement currency</li> <li>▪ Added new data field “Processing Reference” which shows the input of Participant for internal process</li> </ul>
	9.1.4 Enquire Settlement Activities	<ul style="list-style-type: none"> <li>▪ Revised description of currency to settlement currency</li> <li>▪ Added new data field “Processing Reference” which shows the input of Participant for internal process</li> </ul>
	9.1.6 Enquire Unmatched SI Reason	<ul style="list-style-type: none"> <li>▪ Added a new unmatched SI reason</li> <li>▪ Added new data field “Processing Reference” which shows the input of Participant for internal process</li> </ul>
November 2011	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Added inter-counter of shares under the depository service</li> </ul>
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Revised the list of CCASS functions to include the newly added Multi-counter Transfer Instruction maintenance functions</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Added new report, Daily Multi-counter Eligible Securities Transfer Report (CCVTF01), to the list</li> </ul>
	4.3 Report Description	
	Statement of Money Ledger (CSEMS08)	Revised to add the money ledger transaction type “TR”
	Statement of Stock Movement (By Stock) Report (CSESM01)	Revised to add the stock movement type “TR”
	Statement of Stock Movement (By Account) Report (CSESM02)	Revised to add the stock movement type “TR”
	Daily Multi-counter Eligible Securities Transfer Report (CCVTF01)	<ul style="list-style-type: none"> <li>▪ Added the new report description for recording Multi-counter Transfer Instruction maintenance activities</li> </ul>
	Report Specifications	
	Daily Multi-counter Eligible Securities Transfer Report (CCVTF01)	<ul style="list-style-type: none"> <li>▪ Added the new report specification for recording Multi-counter Transfer Instruction maintenance activities</li> </ul>

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Revised Date	<u>Section / Page</u>	Description
	7.2 CCASS Processing and Service Schedule	Revised the availability schedule to incorporate Multi-counter Transfer Instruction Batch Transfer Runs
	6 8.2.13 Multi-counter Transfer Instruction maintenance	<ul style="list-style-type: none"> <li>▪ Added the function description Multi-counter Transfer Instruction Maintenance</li> </ul>
	9.1.2 Enquire Stock Account Movement	Revised to add the stock movement type "TR"
October 2011	2 CCASS System Overview	<ul style="list-style-type: none"> <li>▪ Revised to incorporate TSF related features</li> <li>▪</li> </ul>
	3.1 Access Control	Revised the list of CCASS functions to include the newly added TSF related functions
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Revised the report name of Cash Prepayment / TSF Payment / Intra-day Payment Report (CSECP03)</li> <li>▪ Added the following new TSF related reports to the list: <ul style="list-style-type: none"> <li>- TSF FX Transaction / Stk Rise Activity / Status Report (CSETF03)</li> <li>- TSF Confirmation Report (CSETF07)</li> </ul> </li> <li>▪</li> </ul>
	4.3 Report Description	
	Intra-day Trade File (CCLID01)	<ul style="list-style-type: none"> <li>▪ Revised the field description to incorporate the new field "TSF Indicator"</li> <li>▪</li> </ul>
	Cash Prepayment / TSF Payment / Intra-day Payment Report (CSECP03)	<ul style="list-style-type: none"> <li>▪ Revised the report name and description to incorporate activities in relation to TSF payment standing instruction</li> </ul>
	TSF FX Transaction / Stk Rise Activity / Status Report (CSETF03)	<ul style="list-style-type: none"> <li>▪ Added the new report description for TSF report: providing details of stock release maintenance activities, TSF FX Transaction and Stock Release Requests settlement statuses</li> </ul>
	TSF Confirmation Report (CSETF07)	<ul style="list-style-type: none"> <li>▪ Added the new report description for TSF report : providing details of TSF FX Transactions and Stock Release Requests executed on current and previous days with projected payment obligation on settlement day</li> </ul>
	Statement of Money Ledger (CSEMA08 / CSEMS08)	<ul style="list-style-type: none"> <li>▪ Revised the report description to incorporate the new money ledger transaction codes</li> </ul>
	Statement of Stock Movement (by Stock) Report (CSESM01)	<ul style="list-style-type: none"> <li>▪ Revised the report description to incorporate the new stock movement type "TF"</li> </ul>
	Statement of Stock Movement (by Account) Report (CSESM02)	<ul style="list-style-type: none"> <li>▪ Revised the report description to incorporate the new stock movement type "TF" in relation to TSF</li> </ul>
	4.4 Report Data Files Layout	
	Intra-day Trade File (CCLID01)	<ul style="list-style-type: none"> <li>▪ Revised the data file layout to incorporate the new field "TSF Indicator"</li> </ul>
	TSF FX Transaction / Stk Rise Activity / Status Report (CSETF03)	<ul style="list-style-type: none"> <li>▪ Added the new data file layout for TSF report</li> </ul>

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	TSF Confirmation Report (CSETF07)	<ul style="list-style-type: none"> <li>▪ Added the new data file layout for TSF report</li> </ul>
	7 Report Specifications Cash Prepayment / TSF Payment / Intra-day Payment Report (CSECP03)	<ul style="list-style-type: none"> <li>▪ Revised the report name and specification to incorporate the TSF related standing instruction</li> </ul>
	TSF FX Transaction / Stk Rise Activity / Status Report (CSETF03)	<ul style="list-style-type: none"> <li>▪ Added the new report specification for the TSF report</li> </ul>
	TSF Confirmation Report (CSETF07)	<ul style="list-style-type: none"> <li>▪ Added the new report specification for the TSF report</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Revised the availability schedule to incorporate TSF related activities</li> </ul>
July 2011	8.1.1 SI Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description to incorporate TSF related features</li> </ul>
	8.1.3 ISI Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to ISI Maintenance</li> </ul>
	8.1.6 Input DI	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to Input DI</li> </ul>
	8.1.7 Input ATI	<ul style="list-style-type: none"> <li>▪ Revised the function description to incorporate TSF related features</li> </ul>
	8.1.8 Mass ATI/STI	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to Mass ATI/STI</li> </ul>
	8.1.9a Cash Prepayment / TSF Payment Standing Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description to incorporate TSF related features</li> </ul>
	8.1.11 Recall Request Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to Recall Request Maintenance</li> </ul>
	8.1.13 Stock Release Request Maintenance	<ul style="list-style-type: none"> <li>▪ Added the new TSF maintenance functions</li> </ul>
	8.2.1 Login Withdrawal Order Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to Login Withdrawal Order Maintenance</li> </ul>
	8.2.3 Subscription Instruction Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to Subscription Instruction Maintenance</li> </ul>
	8.2.10 Cash Creation Order Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to Cash Creation Order Maintenance</li> </ul>
8.2.11 In Kind Creation Order Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to In Kind Creation Order Maintenance</li> </ul>	

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	8.2.12 Redemption Order Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function description that TSF Accounts are not applicable to Redemption Order Maintenance</li> </ul>
	9.1.2 Enquire Stock Account Movement	<ul style="list-style-type: none"> <li>▪ Revised the function description to incorporate the new stock movement type "TF"</li> </ul>
	9.1.7 Enquire Payment Instruction	<ul style="list-style-type: none"> <li>▪ Revised the function description to incorporate TSF related CHATS payment instructions</li> </ul>
	9.1.9 Enquire TSF Payment Instruction	Added the new TSF payment instruction enquiry function
	2 CCASS System Overview	Revised the money settlement mechanism in relation to T+2 Finality arrangement
	3.1 Access Control	<ul style="list-style-type: none"> <li>▪ Add access information for Nominee Payment (Evening) Standing Instruction maintenance functions</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Revised the report availability schedule for Statement of Money Ledger (CSEMA08 / CSEMS08)</li> <li>▪ Add the report availability schedules for the following new reports: <ul style="list-style-type: none"> <li>- CCASS Funding Projection Report for Participant (CSEMP02)</li> <li>- DDI/DCI/EPI Summary for Participant (CSEMA28 / CSEMS28)</li> </ul> </li> </ul> Settlement Related EPI Listing (CSEMA29 / CSEMS29)
	4.3 Report Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	Statement of Money Ledger (CSEMA08 / CSEMS08)	<ul style="list-style-type: none"> <li>▪ Revised the report availability from once daily to twice daily</li> <li>▪ Added new Report ID CSEMA08 for report available at around 4:30 pm</li> </ul>
	Nominee Functions Input Activities Report (CCNPT01)	<ul style="list-style-type: none"> <li>▪ Added new section for listing activities related to Nominee Payment (Evening) Standing Instruction maintenance functions</li> </ul>
	Entitlement Statement (CCNPT02)	Added a remark '#' for showing nominee related payments distributed via the evening interbank bulk settlement run
	CCASS Funding Projection Report for Participant (CSEMP02)	Added new report for funding preparation of Participant
	DDI/DCI/EPI Summary for Participant (CSEMA28 / CSEMS28)	<ul style="list-style-type: none"> <li>▪ Added new report for providing DDI/DCI/EPI list in the respective interbank bulk settlement runs</li> </ul>
	Settlement Related EPI Listing (CSEMA29 / CSEMS29)	<ul style="list-style-type: none"> <li>▪ Added new report for providing a list of EPI payments generated for the purpose of money settlement</li> </ul>
	4.4 Report Data Files Layout	<ul style="list-style-type: none"> <li>▪</li> </ul>
	Statement of Money Ledger (CSEMA08 / CSEMS08)	<ul style="list-style-type: none"> <li>▪ Added new Report ID CSEMA08 for data file available at around 4:30 pm</li> </ul>
	Settlement Related EPI Listing (CSEMA29 / CSEMS29)	<ul style="list-style-type: none"> <li>▪ Added new data file for providing a list of EPI payments generated for the purpose of money settlement</li> </ul>
	7.2 CCASS Processing And Service Schedule	<ul style="list-style-type: none"> <li>▪ Revised the CCASS service schedule for the additional payment confirmation sessions by designated banks</li> <li>▪ Added availability schedule for Nominee Payment (Evening) Standing Instruction maintenance functions</li> </ul>
	8.5.4 Nominee Payment (Evening) Standing Instruction	Added new maintenance functions for choosing to receive nominees related cash payments via evening money settlement

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	9.1.5 Enquire Money Position / Instruction	<ul style="list-style-type: none"> <li>▪ Renamed the function from “Enquire Money Position” to “Enquire Money Position/ Instruction”</li> <li>▪ Renamed the sections</li> <li>▪ Added new sections for showing CHATS payments and payments to be settled via the evening interbank bulk settlement run</li> </ul>
	9.2.1 Enquire Announcement Information	<ul style="list-style-type: none"> <li>▪ Added new filtering criteria “Benefit Entitlement with Election” to select BE announcements with Option Indicator</li> </ul>
	7.1 CCASS Terminal Requirements	<ul style="list-style-type: none"> <li>▪ Added “Prohibited Actions on CCASS System” section</li> </ul>
June 2011	1 Introduction	<ul style="list-style-type: none"> <li>▪ Revised the services start time for deposit / collection of securities from 10:00 a.m. to 9:30 a.m.</li> </ul>
March 2011	2 Overview	<ul style="list-style-type: none"> <li>▪ Revised the schedules of Intra-day Trade File from six to ten times a day</li> </ul>
	4.2 List of Reports and Availability Schedule	<ul style="list-style-type: none"> <li>▪ Revised the report availability schedules for the following reports: <ul style="list-style-type: none"> <li>- Intra-day Trade File (CCLID01)</li> <li>- Unmatched SI Report (CCLUS01)</li> <li>- ATI Batch Input Control Report (CSEBA01)</li> <li>- Intra-day ISI/SI Full List (CSESI02)</li> <li>- STI Activity Report (CSEAT02)</li> </ul> </li> <li>▪ STI Batch Input Control Report (CSEAT01)</li> </ul>
	4.3 Report Description	<ul style="list-style-type: none"> <li>▪</li> </ul>
	<i>Intra-day Trade File (CCLID01)</i>	<ul style="list-style-type: none"> <li>▪ Revised the report availability schedules from six to ten times a day</li> </ul>
	<i>Unmatched SI Report (CCLUS01)</i>	<ul style="list-style-type: none"> <li>▪ Revised the report availability schedules from eight to nine times a day</li> </ul>
	<i>Intra-Day ISI/SI Full List (CSESI02)</i>	<ul style="list-style-type: none"> <li>- Revised the report availability schedules</li> </ul>
	<i>Statement of Money Ledger (CSEMS08)</i>	Revised the money transaction codes and descriptions to incorporate transaction codes : AF, AG, AH and AI
	<i>ATI Batch Input Control Report (CSEBA01)</i>	<ul style="list-style-type: none"> <li>▪ Revised the report availability schedules from six to seven times a day</li> </ul>
	<i>STI Batch Input Control Report (CSEAT01)</i>	<ul style="list-style-type: none"> <li>▪ Revised the report availability schedules from five to six times a day</li> </ul>
	<i>STI Activity Report (CSEAT02)</i>	<ul style="list-style-type: none"> <li>▪ Revised the report availability schedules from five to six times a day</li> </ul>
	5.5 ATI File Transfer	<ul style="list-style-type: none"> <li>▪ Add a new ATI file validation run at 9:15 a.m.</li> </ul>
	5.6a STI File Transfer	<ul style="list-style-type: none"> <li>▪ Add a new STI file validation run at 9:15 a.m.</li> </ul>
	7.2 CCASS Processing and Service Schedule	<ul style="list-style-type: none"> <li>▪ Revised CCASS processing and services schedule to reflect the latest CCASS processing and availability of functions</li> </ul>
	8.1.1 SI Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the number of SI matching runs from eight to nine time per day and updated the SI matching schedule</li> </ul>
	8.1.6 Input DI	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	8.1.7a STI Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the number of STI batch transfer runs from five to six time per day and updated the STI batch transfer runs schedule</li> </ul>
	8.1.10 Stock Borrowing Request Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	8.1.11 Input Recall Request	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	8.1.12 Cash Compensation Indicator Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	8.2.1 Login Withdrawal Order Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	8.3.1 CCASS-To-CCMS Stock Transfer Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	8.3.2 CCMS-To-CCASS Stock Transfer Maintenance	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>



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	8.3.3 General to Specific Collateral Maintenance Stock	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	8.3.4 Specific to General Collateral Maintenance Stock	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	8.3.5 CCMS-To-CCASS Transfer Maintenance Cash	<ul style="list-style-type: none"> <li>▪ Revised the function start time from 10:00 a.m. to 9:30 a.m.</li> </ul>
	1 Introduction	<ul style="list-style-type: none"> <li>▪ Change the name of office building from “Vicwood Plaza” to “Infinitus Plaza”</li> </ul>
		<ul style="list-style-type: none"> <li>▪</li> </ul>
		<ul style="list-style-type: none"> <li>▪</li> </ul>
		<ul style="list-style-type: none"> <li>▪</li> </ul>