

Introduction

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'CCASS' stands for Central Clearing and Settlement System which is a computerised securities clearing and settlement system developed and operated by Hong Kong Securities Clearing Company Limited (HKSCC).

All instructions and activities in CCASS are subject to the General Rules of CCASS and CCASS Operational Procedures.

SCOPE:

The CCASS Terminal User Guide - For Participants (The Guide) is written to enable different CCASS Participants, namely, Direct Clearing Participants, General Clearing Participants, Custodian Participants, Clearing Agency Participants, Stock Lender Participants and Stock Pledgee Participants, to make full and efficient use of CCASS by providing instructions for operating the system's functions (input, enquiry and report distribution) through a CCASS terminal. Not all sections of this Guide are relevant to all types of Participants. Participants should only refer to the sections relevant to themselves.

The Guide is focused on CCASS terminal operations. Although an overview on CCASS operations is given in section 2, it is not intended to be comprehensive. Participants should also refer to the General Rules of CCASS and CCASS Operational Procedures for other CCASS related issues such as their rights, obligations, and procedures for using CCASS services.

The term "CCASS Participants" used throughout the Guide normally refers to Participants other than Investor Participants, unless specified otherwise.

CONTENTS:

The Guide covers all CCASS functions and reports related to Participants. It is divided into two main parts. Part I covers general information of CCASS and systems related information such as reporting, file transfer, technical requirements, data file format etc. Part II contains operations of all CCASS functions available through the terminal. This part is further divided into 2 sections, representing terminal operations and special enquiry functions respectively. Please refer to section 7.2 for the list of CCASS processing and service schedule and the availability schedule of each on-line function.

Within each section, the structure is arranged as follows:

- when to use
- available functions
- available function time
- batch processing schedule (if applicable)
- functional description
- sample screens and description of each field

This Guide will be subject to further amendments and changes to cover the continuous expansion of CCASS's services.

For any suggestions and comments about the content of the Guide, please contact:

Hong Kong Securities Clearing Company Limited
30/F One Exchange Square
8 Connaught Place, Central
Hong Kong

Hotline : 2979 7111
Fax : 2579 0085

HOTLINES:

HKSCC supports three hotlines to answer Participants' enquiries on any matters related to CCASS operations, as follows:

Technical enquiries : CCASS Technical Hotline

Tel. no. : 2211 6606
Service hours : 7:15 a.m. to 8:00 p.m. Monday to Friday
(except public holiday)

General enquiries : CCASS Hotline

Tel. no. : 2979 7111
Service hours : 9:00 a.m. to 6:00 p.m. Monday to Friday
(except public holiday)

China Connect Hotline

Tel. no. : 2979 7123
Service hours : 9:00 a.m. to 8:00 p.m. Monday to Friday
(except public holiday)

CCASS DEPOSITORY SERVICES:

HKSCC currently operates a CCASS Depository for handling the deposit and withdrawal of Eligible Securities by Participants, with following details:

CCASS Depository Location : 1/F One & Two Exchange Square
8 Connaught Place, Central
Hong Kong
Tel. no. : 2211 6212
Fax no. : 2543 7910
Service hours : Monday to Friday (except public holiday)
For deposit of securities : 9:30 a.m. to 3:45 p.m.
For collection of securities : 9:30 a.m. to 5:00 p.m.