

## 4.1 Settlement and Depository

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### SET 2 EARLY BUY-IN REQUEST TO HKSCC

#### WHEN TO USE:

- When a Clearing Participant foresees a short in CNS delivery on T+2, this participant can request HKSCC to perform buy-in earlier than normal date T+3.
- Available from 08:00 to 20:00 on CCASS business day.

#### ABOUT THIS eSERVICE:

- This eService is available to Business users granted with the access rights EU\_SecuritiesSettlement to apply for early buy-in.
- This eService is equivalent to “EARLY BUY-IN REQUEST FORM” (CCASS-Form 60).
- To support the application, maker must upload relevant supplementary document(s) using the **UPLOAD** function. File types supported are \*.pdf, \*.xls or \*.xlsx and maker can upload at most 5 files with file size less than or equal to 20Mb each.
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

## Section 4.1 (Set 2)

### Settlement and Depository – Early Buy-in Request to HKSCC

#### SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.

### SET 2 EARLY BUY-IN REQUEST TO HKSCC

Reference Number: ⊗ Expand

**COMPANY INFORMATION** –

**From**  
xyz

**As**  
 HKSCC Participant (XYZ123)

**POSITION TO BE BOUGHT-IN** –

**Stock Code**  
  
**Please enter a valid stock code.**

**Stock Name**  
  
**Please enter a valid stock name.**

**Share Quantity**  
  
**Share Quantity is missing**

**Trade Date**

**+ ANOTHER STOCK**

Please attach the Provisional Clearing Statement/Final Clearing Statement showing details of the short position for the request.

**UPLOAD**  
Upload Supplementary Document

We will not be able to deliver shares to settle the above position on T+2. We understand that pursuant to CCASS Rule, Hong Kong Securities Clearing Company Limited ("HKSCC") may execute Buy-in for the said position on T+3. In connection with the above, we hereby irrevocably request and authorize HKSCC to perform early Buy-in on our behalf in respect of the said position in accordance with the Operational Procedures in effect

**We confirm that we understand and accept the above**

**FIELDS HIGHLIGHTS:**

#	Field Name	Highlights	
<b>COMPANY INFORMATION</b>			
1	From	<ul style="list-style-type: none"> <li>- Display the company name on behalf of which the maker is acting.</li> <li>- Only applicable to HKSCC Participant.</li> </ul>	
2	As		
<b>POSITION TO BE BOUGHT-IN</b>			
3	Stock Code	<ul style="list-style-type: none"> <li>- Only applicable to Hong Kong Market.</li> <li>- The eService will suggest related Stock Name once maker enters the Stock code and vice versa.</li> <li>- All fields are mandatory.</li> <li>- Built-in validation: Supplementary document(s) must be uploaded; Record with same stock on same Trade Date will be treated as duplicate.</li> <li>- At most 30 stocks can be added in one submission.</li> <li>- At most 5 files with file size 20Mb each can be uploaded in one submission.</li> </ul>	
4	Stock Name		
5	Share Quantity		
7	Trade Date		
8	+ ANOTHER STOCK		
9	UPLOAD		
10	Declaration checkbox		
<b>CONTACT INFORMATION</b>			
11	Name of Contact Person		<ul style="list-style-type: none"> <li>- Auto-filled based on maker's profile and editable.</li> <li>- If group email is defined, fill in group email instead of maker's email.</li> <li>- Built-in validation: Only on the format of email address and telephone number but not on data correctness.</li> <li>- Maker can provide up to 5 contact information.</li> </ul>
12	Email Address		
13	Telephone Number		
14	+CONTACT PERSON		