

4.1 Settlement and Depository

SET 4 BUY-IN REQUEST TO HKSCC FOR CCASS ISOLATED TRADES ONLY

WHEN TO USE:

- Triggered by long Clearing Participant (CP) to request HKSCC to follow up with short CP on overdue Isolated Trade (IT) positions.
- Available from 08:00 to 20:00 on CCASS business day.

ABOUT THIS eSERVICE:

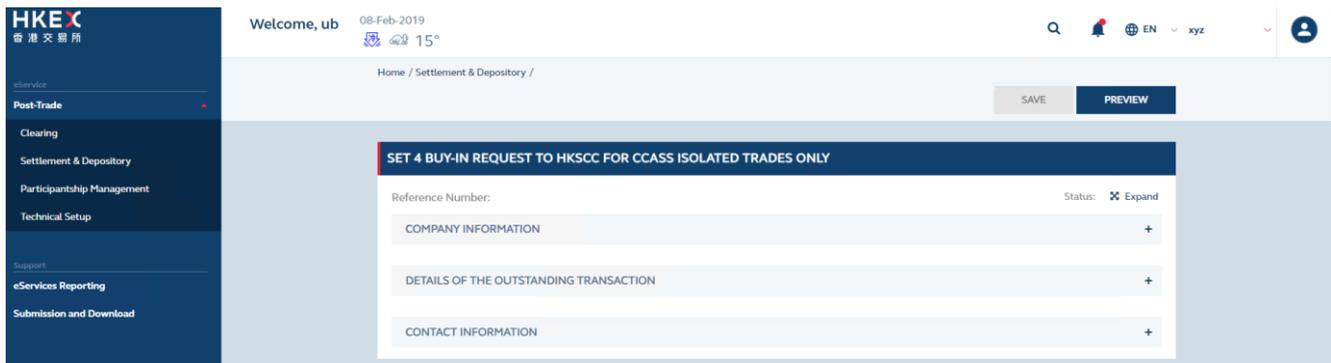
- This eService is available to Business users granted with the access rights EU_SecuritiesSettlement to apply for early buy-in.
- This eService is equivalent to “BUY-IN REQUEST FORM (FOR CCASS ISOLATED TRADES ONLY)” (CCASS-Form 61) and “WITHDRAWAL OF BUY-IN REQUEST FORM (FOR CCASS ISOLATED TRADES)” (CCASS-Form 62).
- The CP may withdraw the request before it is completed. However, HKSCC will not accept further request on the same IT positions once the request is withdrawn.
- Email and Dashboard notifications will be sent to both maker and checker once there is change relating to eService status.

Section 4.1 (Set 4)

Settlement and Depository – Buy-in Request to HKSCC for CCASS Isolated Trades only

SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.

DETAILS OF THE OUTSTANDING TRANSACTION

The following transaction is still outstanding as at the date of this request. Please instruct the delivering Participant to buy back the shares required for completion of settlement.
We understand and acknowledge that our request and instructions will only be effected or accepted by HKSCC subject to the General Rules of CCASS and the CCASS Operational Procedures as are in force from time to time.

We confirm that we understand and accept the above terms and conditions.

You must check this before you can proceed.

Delivery Participant (DP) CCASS ID

Type your answer here...

Delivery Participant (DP) CCASS ID is missing.

Delivery Participant (DP) Name

Type your answer here...

Delivery Participant (DP) Name is missing.

Settlement Pos No.

P12345678

Type your answer here...

Settlement Pos No. is missing

Transaction Date

cannot be greater than current date

dd-mmm-yyyy

Transaction Date is missing

Stock Code

Type your answer here...

Stock Code is missing

Stock Name

Type your answer here...

Stock Name is missing

O/S position quantity

must be an integer and greater than zero

Type your answer here...

O/S position quantity is missing

O/S position amount

must be greater than zero

Type your answer here...

O/S position amount is missing

FIELDS HIGHLIGHTS:

#	Field Name	Highlights	
COMPANY INFORMATION			
1	From	<ul style="list-style-type: none"> - Display the company name on behalf of which the maker is acting. - Only applicable to HKSCC Participant. 	
2	As		
DETAILS OF OUTSTANDING TRANSACTION			
3	Declaration checkbox	<ul style="list-style-type: none"> - Only applicable to Hong Kong Market. - The eService will suggest related DP name once maker enters the DP CCASS ID and vice versa. - The eService will suggest related Stock Name once maker enters the Stock code and vice versa. - All fields are mandatory. - Built-in validation: Previous submission with same Settlement Pos No. will be treated as duplicate. 	
4	Delivery Participant (DP) CCASS ID		
5	Delivery Participant (DP) Name		
6	Settlement Pos No.		
7	Transaction Date		
8	Stock Code		
9	Stock Name		
10	O/S position quantity		
11	O/S position amount		
CONTACT INFORMATION			
12	Name of Contact Person		<ul style="list-style-type: none"> - Auto-filled based on maker's profile and editable. - If group email is defined, fill in group email instead of maker's email. - Built-in validation: Only on the format of email address and telephone number but not on data correctness. - Maker can provide up to 5 contact information.
13	Email Address		
14	Telephone Number		