4.2 Participantship Management

DEP 3 TRANSFER INSTRUCTION (CMU) TO HKSCC

WHEN TO USE:

- When a HKSCC Participant wishes to submit Transfer Instruction for Exchange Fund Notes, Government Bonds, Specified Instruments and CMU Instruments to HKSCC through Client Connect of below types:-
 - Receive "Delivery Versus Payment" Instruction
 - Receive "Free of Payment" Instruction
 - > Deliver "Delivery Versus Payment" Instruction
 - > Receive "Free of Payment" Instruction
 - Cancel Receive "Delivery Versus Payment" Instruction
 - Cancel Receive "Free of Payment" Instruction
- This eService is available at any time.

ABOUT THIS eSERVICE:

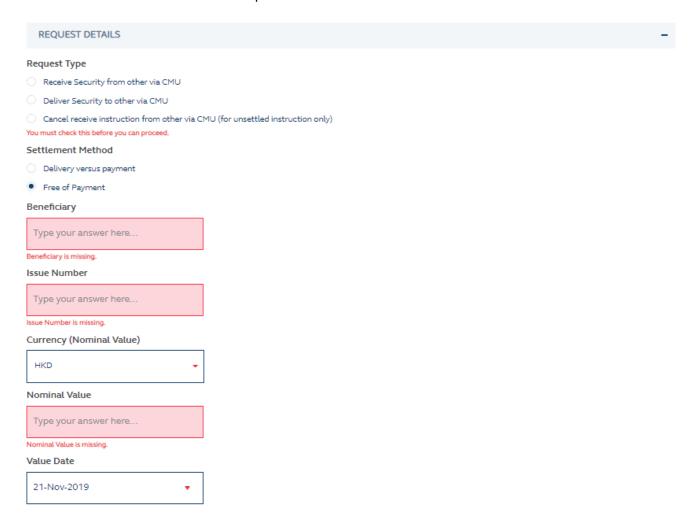
- > This eService is available to Business users of HKSCC Participant granted with the access rights EU_CommonNomineeService.
- > The eService supports to one single online submission for each Request type.
- Email and Dashboard notifications will be sent to both maker and checker when there is change related to eService status.
- > PDF report which contains the claim request information will be available to Participant after the workflow on the claim request is ended.

SAMPLE UX:

Users can expand all sections to view all the fields.



There is built-in validation on the data input.



FIELDS HIGHLIGHTS:

| # | Field Name | Highlights | | | |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|
| COM | COMPANY INFORMATION | | | | |
| 1 | From | - Display the Company name of the Participant | | | |
| 2 | As | - Display the role of the Participant | | | |
| REQ | UEST DETAILS | | | | |
| 3 | Request Type Output Receive Security from other via CMU Deliver Security to other via CMU Cancel receive Instruction from other via CMU (for unsettled instruction only) | Field format: Radio button Field number 5 to 19 varies depending on selection | | | |
| 4 | Settlement Method o Delivery versus payment o Free of Payment | Field format: Radio button Field number 5 to 19 varies depending on selection | | | |
| 5 | DEBIT Counterparty (Account Code) | Field format: Alphanumeric Field available when "Receive Security from other via CMU" or "Cancel receive Instruction from other via CMU (for unsettled instruction only)" is selected in field number 3 | | | |
| 6 | CREDIT Counterparty (Account Code) | Field format: Alphanumeric Field available when "Deliver Security to other via CMU" is selected in field number 3 | | | |
| 7 | Beneficiary | - Field format: Alphanumeric | | | |
| 8 | Issue Number | - Field format: Alphanumeric | | | |
| 9 | Currency (Nominal Value) | - Field format: Dropdown box | | | |
| 10 | Nominal Value | - Field format: Positive integer | | | |
| 11 | Settlement Currency | Field format: Dropdown box Field available when "Delivery versus payment" is selected in field number 4 | | | |
| 12 | Settlement Amount | Field format: Positive integer Field available when "Delivery versus payment" is selected in field number 4 | | | |
| 13 | Value Date | - Field format: Calendar picker | | | |
| 14 | Receive Instruction Reference Number | Field format: Alphanumeric Field available when "Cancel receive instruction from other via CMU (for unsettled instruction only)" is selected in field number 3 | | | |
| 15 | Receive Instruction Submission Date | Field format: Calendar picker Field available when "Cancel receive instruction from other via CMU (for unsettled instruction only)" is selected in field number 3 | | | |
| 16 | CCASS Stock Account Number | Field format: Positive integer Field available when "Receive Security from other via CMU" or "Deliver Security to other via CMU" is selected in field number 3 | | | |
| 17 | Stock Code | Field format: Positive integer Field available when "Receive Security from other via CMU" or "Deliver Security to other via CMU" is selected in field number 3 | | | |
| 18 | Stock Name | Field format: Positive integer Field available when "Receive Security from other via CMU" or "Deliver Security to other via CMU" is selected in field number 3 Auto populated based on input of field number 17 | | | |
| 19 | Number of Units | Field format: Positive integer Field available when "Receive Security from other via CMU" or "Deliver Security to other via | | | |

| # | Field Name | Highlights |
|-----|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | CMU" is selected in field number 3 |
| 20 | Declaration Checkbox | - Mandatory checkbox |
| CON | TACT INFORMATION | |
| 21 | Name of Contact Person | Field format: Alphanumeric Auto-filled based on maker's profile and content is editable. |
| 22 | Email Address | Field format: Alphanumeric Auto-filled based on maker's profile and content is editable. |
| 23 | Telephone Number | Field format: Numeric Auto-filled based on maker's profile and content is editable. |
| 24 | + CONTACT PERSON | Provide additional contract information by clicking the button Participant can optionally provide up to 5 contact information. |