
Section 15

Enquiry Services

15.1 ENQUIRY SERVICES

Details of the enquiry services provided by CCASS, the operational steps for utilising these services and the descriptions of the enquiry screens, are set out in the CCASS Terminal User Guide.

Investor Participants may access the enquiry service of HKSCC via the CCASS Phone System or the CCASS Internet System or at the Customer Service Centre.

Upon authorization by a Clearing Participant or a Custodian Participant under Section 3.4A, HKSCC will allow the SSA Statement Recipient to access the enquiry functions in relation to the relevant SSA with Statement Service via the CCASS Phone System or the CCASS Internet System.

15.2 USE OF VARIOUS ENQUIRY FUNCTIONS AVAILABLE

The various enquiry functions that are available for access and the purpose of accessing each such function are set out below:

(i) Available to Participants other than Investor Participants:

- (a) “Enquire SI” function: to enquire about the details and status of SIs;
- (b) “Enquire Due/Overdue Positions” function: to enquire about the summary/details of an Eligible Security's due/overdue positions. This function helps prepare for settlement;
- (c) “Enquire Stock Account Balance” function: to enquire about the balances of all Eligible Securities in a Participants Stock Accounts. This function helps Participants check whether there is sufficient quantity of a particular Eligible Security in their Stock Accounts for settlement purposes;
- (d) “Enquire Stock Account Movement” function: to enquire about the movement activities for any Eligible Security occurring on the current Settlement Day and up to one calendar month ago;
- (e) “Enquire Settlement Activity” function: to enquire about the settlement activities for all stock positions which have been settled on the current Settlement Day;
- (f) “Enquire Money Position/Instruction” function: to enquire about the money positions due to or from HKSCC (in respect of CNS positions), due to or from other Participants (in respect of SI Transactions) or money positions in Eligible Securities other than China Connect Securities due to or from other Participants (in respect of ISI Transactions and Isolated Trades); or to enquire about the

money settlement instructions issued by HKSCC on the current Settlement Day or money settlement instructions due from SSA Statement Recipients to the Participants (in respect of STI Transfers) on the current Business Day. The money positions for China Connect Securities show the aggregate amounts of all the China Connect Markets. This function is designed to help Participants to plan their funding arrangements;

- (g) “Enquire Participant List” function: to enquire about a list of Participants IDs and short names (see the CCASS Terminal User Guide for details) and Participants’ Bank Identification Codes (BIC), if available. This function is of particular use when inputting data which requires another Participant's ID and name;
- (h) “Enquire Stock List” function: to enquire about a list of International Securities Identification Number (ISIN) Codes and stock codes for data entry and enquiry functions;
- (i) “Enquire Broadcast Message” function: to enquire about CCASS's broadcast messages which are released to all Participants and Designated Banks;
- (j) “Enquire Announcement Information” function: to enquire about the details of corporate actions for effecting nominee transactions in CCASS such as the subscription of rights shares, shares under open offers, warrant conversion, take-over offers;
- (k) “Enquire Election Instruction” function: to enquire about the details of instructions on election of option;
- (l) “Enquire Subscription Instruction” function: to enquire about the details of instructions on subscription of relevant Eligible Securities;
- (m) “Enquire Corporate Voting Instruction” function: to enquire about the details of voting instructions on relevant number of Eligible Securities to be voted at the relevant meetings;
- (n) “Enquire Login Withdrawal Order” function: to enquire about the details of withdrawal orders;
- (o) “Enquire Mass ATI/Mass STI” function: to enquire about the details of mass account transfer instruction and mass Stock Segregated Account Transfer Instruction;
- (p) “Enquire Unmatched SI Reason” function: to enquire about the details and reasons of unmatched SIs. This function helps Participants follow up with their counterparties;
- (q) Repealed

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- (r) “Enquire Collateral Effective Haircut and Valuation Price” function: to enquire about the haircut ratio and valuation price of each collateral instrument in effect from time to time;
 - (ra) “Enquire Exchange Rate and Haircut” function: to enquire about the currency exchange rate and haircut ratio used in valuation of Collateral from time to time;
 - (rb) “Enquire Collateral Account Balance” function: to enquire about the detailed information about each collateral instrument in selected CCMS Collateral Account;
 - (rc) “Enquire Collateral Account Movement” function: to enquire about the movements of each collateral instrument in selected CCMS Collateral Account on the current day and the past 30 days;
 - (rd) “Enquire Collateral Inventory” function: to enquire about the total quantity or value of each collateral instrument in CCMS;
 - (re) “Enquire Interest Calculation Result/Accommodation Fee” function: to enquire about daily accrued interest amount posted to each CCMS Collateral Account on the current day and the past 30 days;
 - (rf) “Enquire Preferred Single Settlement Currency” function: to enquire about the Eligible Currency selected by a Participant for the settlement of Marks, Margin and Collateral;
 - (rg) “Enquire Specific Cash Collateral” function: to enquire about the details of the Specific Cash Collateral instruction input by a Participant;
 - (rh) “Enquire Specific Cash Collateral Movement” function: to enquire about the movement of the Specific Cash Collateral;
 - (s) “Enquire Corporate Communications Event” function: to enquire about the details of corporate communications events;
 - (t) “Enquire Recipient Master” function: to enquire about the details of Recipients maintained by a Participant in CCASS;
 - (u) “Enquire Event Recipient List” function: to enquire about the list of Recipients designated by a Participant for a corporate communications event;
 - (v) “Enquire ISI” function: to enquire about the details and status of ISIs;
 - (w) “Enquire Payment Instruction” function: to enquire about the details of CPIs generated in CCASS for money obligations to be settled via CPIs, e.g. CNS money obligations for China Connect Securities, SI / ISI Transactions to be

settled on a RDP basis. This function allows the paying Participant to obtain the bank account details of the beneficiary, e.g. the delivering Participant for SI / ISI Transactions, in the event that the paying Participant wishes to instruct a bank other than its Designated Bank to effect payment of a CPI;

- (x) “Enquire Reported Lost Certificate” function: to enquire about the details of the share certificates which were reported to have been lost since CCASS commenced operations. The information is for reference only. HKSCC, the Exchange, and a recognized exchange controller which is the controller of HKSCC do not warrant the accuracy or completeness of the information made available and accepts no liabilities (whether in tort or contract or otherwise) for any loss, direct or indirect, arising to any person relying upon the information;
- (y) “Enquire Lending Position” function: to enquire about the details of outstanding Compulsory Stock Borrowing Transactions;
- (z) “Enquire Stock Borrowing Information” function: to enquire about the summary of new and outstanding stock loans made in CCASS and total holdings Eligible Securities available for borrowing in CCASS;
- (aa) “Enquire Authorised EIPO Announcement” function: to enquire about the details of New Issue Shares in respect of which Electronic Application Instructions for New Issue Shares may be given;
- (ab) “Enquire EIPO Application” function: to enquire about details of both authorized and pending Electronic Application Instructions for New Issue Shares inputted by a Participant for making applications;
- (ac) “Enquire Allotment Result” function: to enquire about the details of allocation results received from the relevant registrar and refund information;
- (ad) “Enquire Authorised Tender Announcement” function: to enquire about the details of Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments in respect of which Tender Instructions may be given;
- (ae) “Enquire Tender Instruction” function: to enquire about the details of Tender Instructions input by a Participant;
- (af) “Enquire Tender Result” function: to enquire about the results of tenders for Exchange Fund Notes or Specified Instruments or the results of applications for Government Bonds or CMU Instruments and about refunds;
- (ag) “Enquire Corporate Representative/Proxy” function: to enquire about the details and status of corporate representative/proxy instructions input by a Participant;
- (ah) “Enquire Cash Prepayment / TSF Payment Standing Instruction” function: to

enquire about the status and details of any Cash Prepayment Standing Instruction and/or TSF Payment Standing Instruction input by a Participant;

- (ai) “Enquire Cash Prepayment Instruction” function: to enquire about the details of any Cash Prepayment Instruction input by a Clearing Participant or a Clearing Agency Participant or generated by HKSCC on behalf of a Clearing Participant or a Clearing Agency Participant;
- (aj) “Enquire Buy-in Confirmation” function: to enquire about the details of Buy-in executed by HKSCC;
- (ak) “Enquire User Profile” function: to enquire about the access rights to CCASS of each Authorised User and the Administration Rights of each Delegated Administrator of a Participant;
- (al) “Get Authorisation Code” function: for Delegated Administrator of a Participant who is acting as a checker to enquire about the Authorisation Code assigned to him;
- (am) “Enquire ISI (with affirmation) Counterparty List” function: which allows the Participant to enquire counterparty records in the ISI (with affirmation) Counterparty List;
- (an) “Enquire ISI (without affirmation) Counterparty List” function: which allows the Participant to enquire counterparty records in the ISI (without affirmation) Counterparty List;
- (ao) “Enquire Hide Unmatched SI Content Counterparty List” function: to enquire about the status and details of the SI counterparties maintained through the "Hide Unmatched SI Content Counterparty List" function;
- (ap) “Enquire EIPO Total Application Quantity and Money Obligation” function: to enquire about the total number of authorized and pending Electronic Application Instructions for New Issues Shares input by a Participant, and the aggregate application quantities and the aggregate application moneys in respect of such Electronic Application Instructions;
- (aq) “Enquire Stock Segregated Account” function: to enquire about the account information of an SSA with Statement Service or a Special Segregated Account;
- (ar) “Enquire Intra-day Payment Standing Instruction” function: to enquire about the status and details of any Intra-day Payment Standing Instruction of a Participant;
- (as) “Enquire Intra-Day Payment Summary” function: to enquire about the details of Intra-day Payment Instruction issued by HKSCC on the current day;
- (at) “Enquire STI” function: to enquire about the details and status of STIs;

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- (au) “Enquire Issuer Announcement” function: to enquire the information about announcements of listed issuers published on HKEX website;
 - (av) “Enquire GCP/NCP Mapping” function: to enquire about the details of the GCP designated by any NCCCP in accordance with the relevant CCASS Rules and the Clearing Agreement entered into between the GCP and an NCCCP;
 - (aw) “Enquire Deleted SI” function: to enquire about the details of current day deleted SIs;
 - (ax) “Enquire Nominee Payment (Evening) Standing Instruction” function: to enquire about the status and details of any Nominee Payment (Evening) Standing Instruction of a Participant;
 - (ay) “Enquire Inter-counter Transfer/Conversion Instruction” function: to enquire about the status and details of any Multi-counter Transfer / Parallel Trading Conversion Instruction maintained on current day;
 - (az) “Enquire Confirmed EIPO Application” function: to enquire about the status and details of any Electronic Application Instruction for New Issue Shares input by a Participant for making application confirmation;
 - (ba) “Enquire Sellable Balance Adjustment Request” function: to enquire about the details of any sellable balance adjustment request due to SPSA Delivery Failure input by a China Connect Clearing Participant on current day; and
 - (bb) “Enquire Shareholding Category Disclosure” function: to enquire about the details of any Shareholding Category Disclosure made in respect of China Connect Securities.

(ia) Available to TSF CCASS Participants:

- (a) “Enquire Stock Release Request” function: to enquire about the details of Stock Release Requests (including information concerning the corresponding Stock Release FX Transactions) in respect of the current Business Days and the preceding Business Day; and
- (b) “Enquire TSF Payment Instruction” function: to enquire about the details of a TSF CCASS Participant’s TSF payment instruction as referred to in Section 12A.4.1.

(ii) Available to Investor Participants via the CCASS Phone System:

- (a) "Stock Balance Enquiry": to enquire about the current ledger and available stock balance;
- (b) "ISI Activities Done on Current Day Enquiry": to enquire about the details of ISIs and settlement activities done on current day;
- (c) "Nominees Instruction Done on Current Day Enquiry": to enquire about the

details of subscription, dividend election and voting instructions done on current day;

- (d) "Corporate Action Deadline Enquiry": to enquire about the details of subscription, dividend election and voting deadlines in effect;
- (e) "ISI Money Obligation Enquiry": to enquire about the settled and unsettled ISI money obligations to be settled in CCASS on a DVP basis;
- (f) "EIPO Announcement Enquiry": to enquire about the details of New Issue Shares in respect of which Electronic Application Instructions for New Issue Shares may be given;
- (g) "EIPO Instruction Done Enquiry": to enquire about the details of both authorized and pending Electronic Application Instructions for New Issue Shares inputted;
- (h) "EIPO Allotment Result Enquiry": to enquire about the details of allocation results received from the relevant registrar and refund information;
- (i) "Tender Announcement Enquiry": to enquire about the details of Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments in respect of which Tender Instructions may be given;
- (j) "Tender Instruction Done Enquiry": to enquire about the details of Tender Instructions input by an Investor Participant;
- (k) "Tender Result Enquiry": to enquire about the details of results of tenders for Exchange Fund Notes, Specified Instruments or results of applications for Government Bonds or CMU Instruments and about refunds; and
- (l) "Confirmed EIPO Application Done Enquiry": to enquire about the details of any Electronic Application Instructions for New Issues input by an Investor Participant for making application confirmations.

(iii) Available to Investor Participants via the CCASS Internet System:

- (a) "Enquire Stock Balance": to enquire about the current ledger and available stock balance;
- (b) "Enquire ISI Done": to enquire about the details of ISIs and settlement activities done on current day and the past 10 settlement days;
- (c) "Enquire Subscription Instruction": to enquire about the details of subscription instructions done on current day and the past 31 calendar days;
- (d) "Enquire Dividend Election Instruction": to enquire about the details of dividend

election instructions done on current day and the past 31 calendar days;

- (e) "Enquire Voting Instruction": to enquire about the details of voting instructions done on current day and the past 31 calendar days;
- (f) "Enquire Corporate Activities": to enquire about the details of various corporate activities such as subscription, dividend election, voting, etc.;
- (g) "Enquire ISI Money Obligation": to enquire about the settled and unsettled ISI money obligations to be settled in CCASS on a DVP or RDP basis;
- (h) "Enquire EIPO Announcement": to enquire about the details of New Issue Shares in respect of which Electronic Application Instructions for New Issue Shares may be given;
- (i) "Enquire EIPO Application Instruction": to enquire about the details of both authorized and pending Electronic Application Instructions for New Issue Shares input on current day and the past 31 calendar days for making applications. When information is received from the relevant registrar, the allocation results and any refund information will also be provided via this function;
- (j) "Enquire Tender Announcement": to enquire about the details of Exchange Fund Notes, Government Bonds, Specified Instruments or CMU Instruments in respect of which Tender Instructions may be given;
- (k) "Enquire Tender Instruction" function: to enquire about the details of Tender Instructions input by an Investor Participant on current day and the past 31 calendar days. When information is received from the issuer, the results of tenders for Exchange Fund Notes or Specified Instruments, the results of applications for Government Bonds or CMU Instruments and any refund information will also be provided via this function;
- (l) "Enquire IP Statement" function: to enquire about the details of the activity statements generated in the past 31 calendar days and the monthly statements generated in the past two months;
- (m) "Enquire ISI Counterparty List" function: to enquire the details of the ISI (without affirmation) Counterparty List and the ISI (with affirmation) Counterparty List, if applicable, maintained with CCASS by the Investor Participants;
- (n) "Enquire Issuer Announcement" function: to enquire the information about announcements of listed issuers published on HKEX website;
- (o) "Enquire Internet Account Profile" function: to enquire the internet account details of the Investor Participants; and

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- (p) “Enquire Confirmed EIPO Application” function: to enquire about the status and details of any Electronic Application Instructions for New Issue Shares input by an Investor Participant on current day and the past 31 calendar days for making application confirmation.

(iv) Available to Designated Banks:

- (a) "Enquire Payment Instruction" function: to enquire about the details of CPIs generated in CCASS for money obligations to be settled via CPIs. This function allows the Designated Banks to enquire about the payment details (e.g. the latest image of a CPI status and its corresponding information) of their clients (paying Participants);
- (b) “Enquire User Profile” function: to enquire about the access rights to CCASS of each Authorised User and the Administration Rights of each Delegated Administrator of a Designated Bank;
- (c) “Get Authorisation Code” function: for Delegated Administrator of a Designated Bank who is acting as a checker to enquire about the Authorisation Code assigned to him;
- (d) “Enquire Broadcast Message” function: to enquire about CCASS's broadcast messages which are released to all Participants and Designated Banks;
- (e) “Enquire SSA Bank Account” function: to enquire about the bank account details of SSA Statement Recipients;
- (f) “Enquire Cash Projection” function: to enquire about the projected total money obligations of a Clearing Participant or a Clearing Agency Participant for its CNS positions in Eligible Securities other than China Connect Securities on T+2 day; and
- (g) “Enquire DDI/DCI/EPI Rejection” function: to enquire the status and details of DDI/DCI/EPI payment confirmation (i) made by the Designated Bank itself before and after authorization by the Designated Bank; or (ii) made by the counterparty Designated Bank after authorization by the counterparty Designated Bank.

(v) Available to SSA Statement Recipients in relation to the SSA with Statement Service via the CCASS Phone System:

- (a) “Stock Balance Enquiry”: to enquire about the current ledger and available stock balance on the current day;
- (b) "Stock Account Movement Enquiry": to enquire about the movements in any Eligible Security on the current day;
- (c) "STI Activities Done on Current Day Enquiry": to enquire about the details of STI activities done on the current day;
- (d) "Voting Instruction Done on Current Day Enquiry": to enquire about the details of and voting instructions done on the current day; and

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- (e) "Corporate Action Deadline Enquiry": to enquire about the details of voting deadlines in effect.

(vi) Available to SSA Statement Recipients in relation to the SSA with Statement Service via the CCASS Internet System:

- (a) "Enquire Stock Balance" function: to enquire about the current ledger and available stock balance on the current day;
- (b) "Enquire Stock Account Movement" function: to enquire about the movements in any Eligible Security on the current day and the past 14 calendar days;
- (c) "Enquire Stock Segregated Account Statement" function: to enquire about the details of the activity statements generated in the past 31 calendar days and the monthly statements generated in the past two months;
- (d) "Enquire STI" function: to enquire about the details of STIs done on the current day and the past 31 calendar days;
- (e) "Enquire Voting Instruction" function: to enquire about the details of voting instructions done on the current day and the past 31 calendar days;
- (f) "Enquire Corporate Activities" function: to enquire about the details of various corporate voting activities;
- (g) "Enquire Stock Segregated Account Profile" function: to enquire about the profile details of the SSA with Statement Service; and
- (h) "Enquire Issuer Announcement" function: to enquire the information about announcements of listed issuers published on HKEX website.

15.3 HOURS WHEN SERVICES ARE AVAILABLE

The enquiry services provided by CCASS for Participants other than Investor Participants are usually available for use by such Participants between the hours of 7:15 a.m. and 8:00 p.m., Monday to Friday (except public holiday), except for the CCMS enquiry function which closes at approximately 8:30 p.m., Enquire Sellable Balance Adjustment Request function which closes at approximately 9:00 p.m., and the report retrieval and Enquire Broadcast Message functions which close at approximately 9:30 p.m., and also between the hours of 8:00 a.m. and 1:00 p.m. on Saturday (except public holiday). These services hours are subject to change as HKSCC may from time to time specify. Enquiry services may be limited when each Batch-settlement-run is in process (see the daily CCASS processing and service schedule set out in Section 6.2).

The enquiry services provided by CCASS for Investor Participants at the Customer Service Centre are usually available between the hours of 9:00 a.m. and 6:00 p.m., Monday to Friday (except public holiday). These services hours are subject to change as HKSCC may from time to time specify.

The enquiry services provided by CCASS for Investor Participants and the access to

enquiry functions by SSA Statement Recipients via the CCASS Phone System and the CCASS Internet System are usually available on a 24-hour basis. The services hours are subject to change as HKSCC may from time to time specify. Enquiry services and the access to enquiry functions may be limited when each Batch-settlement-run is in process (see the daily CCASS processing and service schedule set out in Section 6.2).

The enquiry services provided by CCASS for Designated Banks are usually available between the hours of 8:30 a.m. and 8:00 p.m., Monday to Friday (except public holiday), except for the report retrieval and Enquire Broadcast Message functions which close at approximately 9:30 p.m., and also between the hours of 8:30 a.m. and 1:00 p.m. on Saturday (except public holiday). These service hours are subject to change as HKSCC may from time to time specify.

15.4 ACCESS RIGHTS TO ENQUIRY SERVICES

The rights of an Authorised User of a Participant other than an Investor Participant to access specific enquiry services are set out in Section 3.5.