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## **Section 16**

### **Statements and Reports**

#### **16.1 STATEMENTS AND REPORTS AVAILABLE**

The various statements and reports that are to be made available by HKSCC to Participants and Designated Banks and the times at which those statements and reports are to be made available are set out in Section 16.6 and Section 16.7. Where a report is stated in Section 16.6 or 16.7 to be available “daily”, the report will be available on each Business Day or Mainland Business Day only and will not be available on a Saturday unless expressly stated otherwise. Further, full descriptions of the information contained in the reports for Participants other than Investor Participants and Designated Banks are set out in the CCASS Terminal User Guide for Participants and the CCASS Terminal User Guide for Designated Banks.

Participants other than Investor Participants and Designated Banks may retrieve such reports and statements through their CCASS Terminals or Participant Gateways (see Section 16.3) or download the data image of such reports and statements to the hard disk of their CCASS Terminals or Participant Gateways (see Section 16.4).

In the event that a Clearing Participant or a Custodian Participant authorises HKSCC to furnish statements and reports relating to SSA with Statement Service to SSA Statement Recipients, such statements and reports are to be made available by HKSCC as set out in Section 16.8.

Investor Participants will receive statements from HKSCC relating to activities and balances of their Stock Accounts as described in Section 16.6.2.

#### **16.2 ACCESS RIGHTS TO REPORT RETRIEVAL FUNCTIONS**

The rights of an Authorised User of a Participant other than an Investor Participant to retrieve reports through CCASS Terminals or Participant Gateways are discussed in Section 3.5.

#### **16.3 RETRIEVAL OF REPORTS THROUGH CCASS TERMINALS/PARTICIPANT GATEWAYS**

The procedures for retrieving reports and statements through CCASS Terminals are set out in the CCASS Terminal User Guide and the CCASS Terminal User Guide for Designated Banks.

Reports are available for printing via CCASS Terminals or Participant Gateways for a period of two Settlement Days from the date of issue of such reports by HKSCC.

#### **16.4 DOWNLOADING OF REPORT DATA IMAGE**

For internal processing, Participants other than Investor Participants and Designated Banks can, upon application to HKSCC, download the CCASS report data image of certain of the CCASS reports onto the hard disks of their CCASS Terminals or Participant Gateways. The procedures for downloading report data image onto the hard disk of CCASS Terminals and the layout of the report data files through CCASS Terminals are set out in the CCASS

Terminal User Guide for Participants and the CCASS Terminal User Guide for Designated Banks. HKSCC has the right to limit the number of Participants who are allowed to utilise the report data image download function.

## 16.5 REQUEST FOR RE-PRINTS

In relation to back copies of reports which are no longer available for printing via their CCASS Terminals or Participant Gateways, Participants other than Investors Participants may apply to HKSCC for re-prints of such reports. HKSCC may in its absolute discretion provide these re-prints in any form.

Re-prints of reports are subject to extra charges as outlined in HKSCC's current schedule of costs and expenses (see Section 21).

## 16.6 REPORTS AND STATEMENTS FOR PARTICIPANTS

### 16.6.1 Reports and Statements for Participants other than Investor Participants

Report ID	Report name	Frequency	Time available
CCLTN04	Provisional Clearing Statement	Twice daily	shortly after 5:00 p.m. (for current day's Exchange Trades); Shortly after 8:00 p.m. (for current day's Exchange Trades and Clearing Agency Transactions)
CCLTN05	Final Clearing Statement	Daily	shortly after 2:00 p.m. (for previous day's Exchange Trades and Clearing Agency Transactions)
		Daily	shortly after 4:00 p.m. (for current day's China Connect Securities Trades) upon completion of the clearing process for the China Connect Markets
CCLID01	Intra-day Trade File (available in data format file only)	Ten times a day	shortly after 9:45 a.m., 10:15 a.m., 10:45 a.m., 11:30 a.m., 12:00 noon, 1:15 p.m., 2:00 p.m., 2:45 p.m., 3:30 p.m. and 4:25 p.m. (for current day's Exchange Trades effected on or reported to the Exchange by the NCPs of a GCP)
		Eight times a day	shortly after 9:45 a.m., 10:15 a.m., 10:45 a.m., 11:45 a.m., 1:15 p.m., 2:00 p.m., 2:30 p.m. and 3:30 p.m. (for current day's China Connect Securities Trades effected via a Trading Link by the NCCCPs of a GCP)
CCLSI02	SI Activity Report	Daily	from the time when the report retrieval function is available (for previous day's SI activities)

CCLSI01	SI Status Report	Daily	from the time when the report retrieval function is available (for previous day's SI results)
CCLUS01	Unmatched SI Report	Nine times a day	around 9:45 a.m., 10:30 a.m., 12:00 noon, 2:00 p.m., 3:00 p.m., 3:30 p.m., 4:15 p.m., 5:30 p.m. and 6:30 p.m. (for unmatched SI results as of the completion of each SI matching run for Eligible Securities other than China Connect Securities)
		Nine times a day	around 12:00 noon, 2:00 p.m., 3:15 p.m., 5:00 p.m., 5:15 p.m., 5:45 p.m., 6:30 p.m., 7:15 p.m. and 8:00 p.m. (for unmatched SI results as of the completion of each SI matching run for China Connect Securities)
CSESP01	Settled Position Report	Daily	shortly after 6:00 p.m. (for accumulated settlement results for Eligible Securities other than China Connect Securities as of current day)
			Shortly after 8:00 p.m. (for accumulated settlement results for China Connect Securities of current day)
CSESP04	Intra-day Settled Position Report	Three times a day	around 11:30 a.m., 12:30 p.m. and 2:30 p.m. (for settlement results as of the completion of first, second and third Batch-settlement-runs for Eligible Securities other than China Connect Securities)
		Four times a day	around 5:15 p.m., 6:00 p.m., 6:45 p.m. and 7:30 p.m. (for CNS stock positions and SIs settlement results as of the completion of the first to fourth Batch-settlement-runs for China Connect Securities)
CSESE01	Settlement Report	Daily	from the time when the report retrieval function is available (for previous day's settlement results)
CSESB01	Daily Stock Balance Report	Daily	from the time when the report retrieval function is available (for previous day's stock balances and value in their account and total portfolio value)
CSESM01	Statement of Stock Movement (By Stock) Report	Daily	from the time when the report retrieval function is available (for previous day's stock movements sorted by stocks)

CSESM02	Statement of Stock Movement (By Account) Report	Daily		from the time when the report retrieval function is available (for previous day's stock movements sorted by accounts)
CSEMS08/ CSEMA08	Statement of Money Ledger	Daily		CSEMS08: from the time when the report retrieval function is available (for previous day's Money Ledger movements); and CSEMA08: around 4:30 p.m. (for current day's Money Ledger movements)
CSEMP02	CCASS Funding Projection for Participant	Four times a day		around 11:30 a.m., 12:30 p.m. and 2:30 p.m. (for funding projection as of the completion of each of the first three Batch-settlement-runs for Eligible Securities other than China Connect Securities) and around 3:30 p.m. (for funding projection as of the completion of the sixth SI matching for Eligible Securities other than China Connect Securities)
CCNPT06	Nominee Fees Refund Report	Daily		from the time when the report retrieval function is available (for refund of the over-charged nominee fees arising from multi-counter stocks, i.e. scrip fee and dividend collection fee)
CSEMS28/ CSEMA28/ CSEM28	DDI/DCI/EPI Summary for Participant	Daily		CSEMS28: from the time when the report retrieval function is available (for DDIs/DCIs/EPIs generated on the previous day); CSEMA28: around 4:05 p.m. (for DDIs/DCIs/EPIs generated on the current day for same day settlement); and CSEM28: around 8:15 p.m. (for EPIs generated on the current day for same day Night Settlement)
CSEMS29/ CSEMA29/ CSEM29	Settlement Related EPI Listing	Daily		CSEMS29: from the time when the report retrieval function is available (for EPIs generated on the previous day for settlement on the current day in relation to money obligations of Isolated Trades, SI Transactions and ISI Transactions on a DVP basis); CSEMA29: around 4:05 p.m. (for EPIs generated on the current day for same day settlement in relation to money obligations of Isolated Trades and SI Transactions on a DVP basis); and CSEM29: around 8:15 p.m. (for EPIs

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			generated on the current day for same day Night Settlement)
CSEOP01	Next Settlement Day Due/Overdue Position Report	Daily	from the time when the report retrieval function is available (for current day's due/overdue positions)
CCLEI01	SI Batch Input Control Report	After each SI upload	shortly after each individual SI batch validation (for status of SI batch uploads)
CCMSS05	Collateral Security Batch Input Control Report	After each batch validation	shortly after completion of each Collateral Security batch validation run scheduled at around 10:00 a.m., 12:45 p.m., 5:00 p.m. and 6:00 p.m. (for status of Collateral Security batch file uploads)
CSEBA01	ATI Batch Input Control Report	After each batch validation	shortly after completion of each ATI batch validation run scheduled at around 7:30 a.m., 8:00 a.m., 9:15 a.m., 10:00 a.m., 11:30 a.m., 12:45 p.m., 3:15 p.m., 5:00 p.m., 5:30 p.m. and 8:00 p.m. (for status of ATI batch file uploads).
CCNPT02	Entitlement Statement	Daily	from the time when the report retrieval function is available (for previous day's entitlement updates)
CCNPT01	Nominee Functions Input Activities Report	Daily	from the time when the report retrieval function is available (for previous day's input activities of all nominee functions, Intra-day Payment Standing Instruction in relation to payments arising out of nominee services, Nominee Payment (Evening) Standing Instruction and also voting instructions input by SSA Statement Recipients)
CCNPT05	Elected Quantity Exception Report for Structured Products (Before Election End)	Daily	from the time when the report retrieval function is available (for potential exceptional election instructions for payments relating to Structured Products)
CCNAN05	Corporate Announcement Master Data File (available in data format file only)	Three times a day	around 1:00 p.m., 3:30 p.m. and 6:00 p.m. (for active Corporate Announcements as of the file generation time)
CCNAN06	Corporate Announcement Maintenance Activities Report	Three times a day	around 1:00 p.m., 3:30 p.m. and 6:00 p.m. (for current day's Corporate Announcements' update activities as of the report / file generation time)

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CCNDS04	Withdrawal Advice Report	Daily	from the time when the report retrieval function is available (for current day's lapsed/expired securities withdrawal)
	Overnight Report Distribution Summary Report	Daily (including Saturday)	printed overnight (for reports downloaded to the participants during the overnight report printing)
CCVTF01	Inter-counter Transfer/Conversion Instruction Activities Report	Daily	from the time when the report retrieval function is available (for previous day's processed Multi-counter Transfer Instructions and Parallel Trading Conversion Instructions)
CCVTF03	Multi-counter Transfer Instruction Batch Input Control Report	After each batch validation	shortly after completion of each batch validation run on uploaded files containing Multi-counter Transfer Instructions scheduled at around 9:15 a.m., 10:15 a.m., 12:30 p.m. and 2:30 p.m. (for status of Multi-counter Transfer Instruction batch uploads)
CCVTF05	Parallel Trading Conversion Instruction Batch Input Control Report	After each batch validation	shortly after completion of each batch validation run on uploaded files containing Parallel Trading Conversion Instructions scheduled at around 9:15 a.m., 10:15 a.m., 12:30 p.m. and 2:30 p.m. (for status of Parallel Trading Conversion Instruction batch uploads)
CCVWD04	Withdrawal Order Audit Trail Report	Daily	from the time when the report retrieval function is available (for previous day's withdrawal orders input activities)
CCVWD05	Withdrawal Order Status Report	Daily	from the time when the report retrieval function is available (withdrawal order status as at the end of the previous day)
CFIPM01	Marks and Collateral Collection Report	Daily	after day-end Marks processing (for current day's Marks obligation)
CFIMC01	Monthly Stock Balance Report	Monthly	from the time when the report retrieval function is available on the first Business Day of each month (for previous month's Stock Account balance)
CCDPC02	Monthly Portfolio Fee Collection Report of China Connect Markets	Monthly	from the time when the report retrieval function is available on the first Business Day of each month (for previous month's portfolio values of each calendar day for calculating portfolio fee of China Connect Securities with details of the portfolio)

			fee shown)
CRMIM01	Intra-day Marks and Collateral Collection Report	Daily/Ad hoc	upon completion of intra-day Marks processing
CRMMG01	Intra-day Margin Payable Report	Ad hoc	upon completion of intra-day Margin processing
CRMMG02	Margin Payable Report	Daily	after day-end Margin processing for current day's Margin requirement
CRMNP01	NCP Marks Projection Report	Daily / Ad hoc	upon completion of intra-day Marks processing
CRMNP02	NCP Marks Projection Report	Daily	upon completion of day-end Marks processing
CRMNP03	NCP Margin Projection Report	Ad hoc	upon completion of intra-day Margin processing
CRMNP04	NCP Margin Projection Report	Daily	after day-end Margin processing for current day's Margin requirement
CCJCC12	Corporate Communications Event List	Daily	from the time when the report retrieval function is available (for previous day's corporate communications event updated)
CCJCC15	Corporate Communications Recipient Batch Input Control Report	Daily	shortly after each scheduled corporate communications batch validation run (for status of batch file uploads)
CCJCC13	Recipient Master Maintenance Activity Report	Daily	from the time when the report retrieval function is available (for previous day's Recipient master maintenance activities)
CCJCC14	Corporate Communications Event Recipient List Activity Report	Daily	from the time when the report retrieval function is available (for previous day's corporate communications Recipient list maintenance activities)
CCJCC21	Monthly Recipient Master List	Monthly	from the time when the report retrieval function is available on the first Business Day of each month (for latest Recipient masters as at end of previous month)
CIPSI01	ISI Status Report	Daily	from the time when the report retrieval function is available (for previous day's ISI results)
CIPSI02	ISI Activity Report	Daily	from the time when the report retrieval

			function is available (for previous day's ISI activities)
CSEPI01	Payment Instruction Daily Input Activity Report		from the time when the report retrieval function is available (for previous day's payment instruction on-line activities)
CSESI02	Intra-day ISI/SI Full List	Eight times a day	around 11:30 a.m., 12:30 p.m., 2:30 p.m. and 4:15 p.m. (for settlement results as of the completion of each Batch-settlement-run for Eligible Securities other than China Connect Securities) and around 3:00 p.m., 3:30 p.m., 5:30 p.m. and 6:30 p.m. (for matched SI results as of the completion of the fifth, sixth, eighth and final SI matching runs for Eligible Securities other than China Connect Securities)
		Nine times a day	around 5:00 p.m., 5:45 p.m., 6:30 p.m., 7:15 p.m. and 8:00 p.m. (for settlement results as of the completion of each Batch-settlement-run for settlement of SI stock positions in China Connect Securities) and around 12:00 noon, 2:00 p.m., 3:15 p.m., and 5:15 p.m. (for matched SI results as of the completion of the first, second, third and fifth SI matching runs for China Connect Securities)
CIPCL03	Monthly ISI Counterparty List	Monthly	from the time when the report retrieval function is available on the first Business Day of each month (for the latest ISI counterparty list as at end of previous month)
CIPEI01	ISI Batch Input Control Report	After each ISI upload	Shortly after each individual ISI batch validation (for status of ISI batch uploads)
CBLBR01	Stock Borrowing/Lending Activity Report	Daily	from the time when the report retrieval function is available (for previous day's stock loan activities)
CBLBP01	Stock Borrowing/Lending Position Status Report	Daily	from the time when the report retrieval function is available (stock loan status as at the end of the previous day)
CEPAA01	New Issues Application Input Activity Report	Daily (including Saturday)	from the time when the report retrieval function is available (for previous day's EIPO application instruction and Tender Instruction maintenance activities)
CEPAB01	New Issues	Daily	shortly after 11:30 a.m. (for current

	Application Input Activity Report	(including Saturday)	day's EIPO application instruction and Tender Instruction maintenance activities as of the report generation time)
CEPBE01	New Issues Entitlement Report	Daily (including Saturday)	from the time when the report retrieval function is available (for previous day's entitlement updates of EIPO application instructions and Tender Instructions)
CEPSA01	Yellow Form Share Allotment Report	Daily (including Saturday)	from the time when the report retrieval function is available (for allotment results of applications for New Issue Shares using yellow application forms)
CEPBV01	EIPO Batch Input Control Report	After each scheduled validation	shortly after each scheduled batch validation run (for status of EIPO application instructions batch file uploads)
CEPBV02	EIPO Confirmation Batch Input Control Report	After each batch validation	shortly after each scheduled batch validation run (for status of EIPO Confirmation batch file uploads)
CEFUV01	Tender Instructions Batch Input Control Report	After each scheduled validation	shortly after each scheduled batch validation run (for status of Tender Instructions batch file uploads)
CCNVT08	CRP Batch Input Control Report	After daily batch validation	from the time when the report retrieval function is available for each Business Day and Saturday, except public holiday (for status of previous day's CRP batch file uploads)
CCNPT03	Participant Voted Quantity Exception Report - On Voting Deadline	Daily	shortly after the 4:15 p.m. voting validation run (for voting instructions being scaled down or cancelled)
CSEMP04	CCASS Funding Projection Report (Night Settlement) for Participant	Five times a day	around 5:00 p.m., 5:45 p.m., 6:30 p.m., 7:15 p.m. and 8:00 p.m. (for funding projection as of the completion of each Batch-settlement-run for China Connect Securities)
CCNPT04	Participant Voted Quantity Exception Report - Before Voting Deadline	Daily	normally around 8:45 p.m. (for potential exceptional voting instructions of Eligible Securities other than China Connect Securities)
		Daily	normally around 8:45 p.m. for SSE Market and 9:15 p.m. for SZSE Market (for potential exceptional voting instructions of China Connect Securities)

CSEOP09	GEM Settlement Information Report	Daily		from the time when the report retrieval function is available (for previous day's settlement results in relation to transactions in securities listed on the Growth Enterprise Market of the Exchange)
CSECP03	Cash Prepayment / TSF Payment / Intra-day Payment Instruction Maintenance A/T Report	Daily		from the time when the report retrieval function is available (for previous day's maintenance activities of Cash Prepayment, TSF Payment and Intra-day Payment Standing Instruction)
CCSSG01	Stock Segregated Account with Statement Service Master Listing	Daily		from the time when the report retrieval function is available (for the previous day's latest master information of SSA with Statement Service)
CCSSG02	Stock Segregated Account with Statement Service Maintenance Activity Report	Daily		from the time when the report retrieval function is available (for previous day's maintenance activities of SSA with Statement Service)
CCSSU01	SSA Batch Input Control Report	Daily		shortly after the SSA batch input file validation run (for status of SSA batch uploads)
CSEAT02	STI Activity Report	Six times a day		shortly after completion of each STI batch transfer run scheduled at around 9:15 a.m., 10:00 a.m., 12:45 p.m., 3:30 p.m., 5:00 p.m. and 8:00 p.m. (for accumulated STI activities as of the report generation time for Eligible Securities other than China Connect Securities)
			Eleven times a day	shortly after completion of each STI batch transfer run scheduled at around 8:00 a.m., 9:15 a.m., 10:00 a.m., 12:45 p.m., 3:30 p.m., 5:00 p.m., 5:30 p.m., 6:15 p.m., 7:00 p.m., 7:30 p.m. and 8:00 p.m. (for accumulated STI activities as of the report generation time for China Connect Securities)
CSEAT01	STI Batch Input Control Report	After batch validation	each	shortly after completion of each STI batch validation run scheduled at around 7:30 a.m., 8:00 a.m., 9:15 a.m., 10:00 a.m., 12:45 p.m., 3:30 p.m., 5:00 p.m., 5:30 p.m., 7:30 p.m. and 8:00 p.m. (for status of STI batch uploads)

CRMAC04	China Connect Additional Cash Collateral Payable Report	Daily	after the completion of additional cash collateral processing for Clearing Agency Participant which is a China Connect Clearing House
CCNPT07	Participant Shareholding Category Disclosure Activity Report	Daily	from the time when the report retrieval function is available (for previous day's Shareholding Category Disclosure maintenance activities)
CCNPT08	Participant Shareholding Category Disclosure Exception Report - On Voting Deadline	Daily	shortly after 4:15 p.m. voting validation run (for Shareholding Category Disclosure instructions being cancelled)
CCNPT09	Participant Shareholding Category Disclosure Exception Report - Before Voting Deadline	Daily	normally around 8:45 p.m. for SSE Market and 9:15 p.m. for SZSE Market (for Shareholding Category Disclosure instructions to be cancelled)
CSEAT03	STI Status Report	Daily	from the time when the report retrieval function is available (for previous day's STI results)
CFIBI01	Buy-in Notification Report	Daily	after 5:00 p.m. (for Buy-in of Eligible Securities other than China Connect Securities to be executed by HKSCC on the following Trading day and those executed on previous Trading day)  after 7:15 p.m. (for Buy-in of China Connect Securities to be executed by HKSCC on the following Trading day and those executed on current Trading day for each China Connect Market)
CCMIA14	Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shenzhen)	Quarterly	from the time when the report retrieval function is available on the first Business Day of each quarter (for previous quarter's interest)

CRMGF03	Mainland Security Deposit Payable Report (Shenzhen)	Monthly	from the time when the report retrieval function is available on the first Business Day of each month
CRMSD04	Mainland Settlement Deposit Payable Report (Shenzhen)	Daily	after calculation for current day's Mainland Settlement Deposit requirement
CRMSD09	Intra-day Mainland Settlement Deposit Payable Report (Shenzhen)	Daily	after calculation of intra-day Mainland Settlement Deposit requirement
CCLTA01	Trade File of Special Segregated Accounts (available in data format file only)	Daily	Around 4:15 p.m. (for current day's China Connect Securities Trades effected via a Trading Link by a China Connect Exchange Participant for Special Segregated Accounts)
CRMSD07	Intra-day Mainland Settlement Deposit Payable Report (Shanghai)	Daily	after calculation of intra-day Mainland Settlement Deposit requirement
CSEAS05	A-share Sellable Balance Adjustment Report	Twice daily	from the time when the report retrieval function is available (for previous day's sellable balance adjustment) and around 8:15 a.m. (for current day's sellable balance adjustment)
CSEAS07	A-share Sellable Balance Adjustment Audit Trail Report	Daily	from the time when the report retrieval function is available
CSETF03	TSF FX Transaction / Stock Release Activity / Status Report	Daily	from the time when the report retrieval function is available (for previous Trading day's (i) Stock Release Request maintenance activities; and (ii) settlement status of TSF FX Transactions and Stock Release FX Transactions)
CSETF07	TSF Confirmation Report	Daily	around 6:00 p.m. (for (i) current Trading day's TSF FX Transactions and Stock Release Requests; (ii) the preceding Trading day's TSF FX Positions and Stock Release FX Transactions; (iii) a summary of the quantity of TSF Stocks to be earmarked and de-earmarked and money positions

			of the TSF CCASS Participants; and (iv) the applicable FX rates)
CSETF13	TSF Exception Handling Fee Report	Daily	from the time when the report retrieval function is available (for previous day's TSF exception handling fee)
CCMPY01	Posting/ Collateralisation Result Report	Each marks batch run	before the completion of scheduled intra-day marks batch processing runs, or ad-hoc marks batch processing run (if any)
CCMPY02	Posting/ Collateralisation Result Report	Daily	After the completion of day-end marks batch processing runs
CCMSU04	Special-Use Collateral Balance Report	Daily (including Saturday)	from the time when the report retrieval function is available on each Business Day and Saturday (for previous day's special-use collateral balance)
CCMCA02	Collateral Account Balance Report	Daily (including Saturday)	from the time when the report retrieval function is available on each Business Day and Saturday (for previous day's collateral balance)
CCMMV01	Participant Collateral Account Movement Report	Daily (including Saturday)	from the time when the report retrieval function is available on each Business Day and Saturday (for previous day's collateral movements)
CCMIA02	Monthly Interest & Accommodation Fee Report – Detail	Monthly	from the time when the report retrieval function is available on the first Business Day of each month (for previous month's interest and accommodation fee)
CCMIR02	Collateral Parameters Information List	Daily (including Saturday)	from the time when the report retrieval function is available on each Business Day and Saturday (previous day's interest rates, retention rates, accommodation fee rate, exchange rate and exchange haircut)
CCMDS01	Statement of Collateral Account	Daily (including Saturday)	from the time when the report retrieval function is available on each Business Day and Saturday (for previous day's collateral account activities)

CCMSC01	Specific Cash Collateral Instruction Activity Report	Daily (including Saturday)	from the time when the report retrieval function is available on each Business Day and Saturday (for previous day's Specific Cash Collateral instruction activities)
CCMPS01	Maintain Preferred Single Settlement Currency Activity Report	Daily (including Saturday)	from the time when the report retrieval function is available on each Business Day and Saturday (for previous day's activities in relation to Preferred Single Settlement Currency)
CCMIA12	Quarterly Interest Report for Mainland Settlement Deposit and Mainland Security Deposit (Shanghai)	Quarterly	from the time when the report retrieval function is available on the first Business Day of each quarter (for previous quarter's interest)
CRMGF01	Mainland Security Deposit Payable Report (Shanghai)	Monthly	from the time when the report retrieval function is available on the first Business Day of each month
CRMSD01	Mainland Settlement Deposit Payable Report (Shanghai)	Daily	after calculation for current day's Mainland Settlement Deposit requirement
DMSDA01	Disabled User Listing	Daily (including Saturday)	Ad hoc
DMSDA02	SRN Listing	Daily (including Saturday)	Ad hoc
DMSDA03	User Group Listing (with Accessible Functions)	Daily (including Saturday)	Ad hoc
DMSDA04	User Profile Listing	Daily (including Saturday)	Ad hoc
DMSDA05	User Profile Maintenance Report	Daily (including Saturday)	Ad hoc
CETMB02	Broadcast Message Listing	Daily (including Saturday)	from the time when the report retrieval function is available (for previous day's broadcast messages)

GFR608	Statement of Guarantee Fund Contributions	Monthly/Ad hoc	around 12:00 noon after completion of the Guarantee Fund review processing
GFR616	NCP(s) Guarantee Fund Contributions Projection By Position	Monthly/Ad hoc	around 12:00 noon after completion of the Guarantee Fund review processing
CRMAC01	Additional Cash Collateral Payable Report	Daily	after the completion of additional cash collateral processing
CSECC03	Handling Fee Collection Report for the Early Release of Securities-on-hold for China Connect Markets	Daily	from the time when the report retrieval function is available (for previous day's handling fee)

The allotment results in the Yellow Form Share Allotment Report and the allotment results of EIPO application instructions in the New Issues Entitlement Report are based on the relevant allotment information provided by the Issuer or its agent. Where the relevant allotment information is not provided to or received by HKSCC soon enough, HKSCC shall not be required to make the Yellow Form Share Allotment Report and/or the allotment results of EIPO application instructions in the New Issues Entitlement Report available to the Participants as stated in this Section 16.6.1 and the Participants may receive the allotment results of applications for New Issue Shares using yellow application forms and/or EIPO application instructions from the Issuer or its agent.

#### **16.6.2 Statements for Investor Participants**

An activity statement will be posted on and available to Investor Participants via the CCASS Internet System. The activity statement will also be sent to an Investor Participant who has elected to receive the activity statement by mail on the Business Day after (a) input of any instructions by the Investor Participant relating to nominees and settlement activities, or (b) receipt of benefit distribution, or (c) there is any movement in the Eligible Securities under the Stock Account of the Investor Participant. The following sections are included in the activity statement :

- (i) Stock Movement Section : Stock movements on the Stock Account are listed.
- (ii) Payment Summary Section: DDIs, DCIs, CPIs and EPIs effected are listed with the details of the payment.
- (iii) Activity Section : Settlement, entitlement distribution, subscription, entitlement election, corporate voting and ISI counterparty list activities are listed.
- (iv) Electronic Initial Public Offering Section : EIPO application details, allotment

results, confirmed EIPO application details and refund arrangement for unconfirmed EIPO application details are shown.

- (v) Tendering Section : Tender Application details and allotment results are shown.
- (vi) Reminder Section : Reminders on corporate actions are shown.

In addition, a monthly statement will be posted on and available to Investor Participant via the CCASS Internet System. The monthly statement will also be sent to an Investor Participant who has elected to receive the monthly statement by mail. The monthly statement will contain details of the money ledger and stock account movements of the Investor Participant for the past month, the billing details and balances of all the stocks in the Stock Accounts of the Investor Participant, and include the following sections:

- (i) Fee Summary Section : The total fees to be debited from the Investor Participant's designated bank account and the calculation of minimum usage fee shortfall are shown.
- (ii) Stock Balance Section : The stock balances, reference value of the stocks and calculation of custody fee are shown.
- (iii) Stock Movement Section : The movement of stock during the past month are listed.
- (iv) Money Ledger Section : The money ledger movements on settlement account, entitlement account, billing account and miscellaneous account are listed.
- (v) Scrip Fee Calculation Section : Detail calculation of scrip fee is shown.
- (vi) SMS Message Summary Section : List the number of messages sent by message type.
- (vii) Reminder Section : Reminders on corporate actions are shown.

Investor Participants may apply to the Customer Service Centre for re-prints of previous activity statements and monthly statements at a fee specified by HKSCC from time to time.

The hardcopies of the activity and monthly statements will not be sent to an Investor Participant who has not elected to receive the statements by mail. However, Investor Participants should enquire the details of such statements through the CCASS Internet System.

## 16.7 REPORTS AND STATEMENTS FOR DESIGNATED BANKS

Report ID	Report name	Frequency	Time available
CSEMS03	DDI/DCI/EPI Listing for Designated Bank	Three times a day	from the time when the report retrieval function is available (for

			DDIs/DCIs/EPIs generated on the previous day for settlement on the current day), after 4:05 p.m. (for DDIs/DCIs/EPIs generated on the current day for same day settlement) and after 8:05 p.m. (for EPIs generated on the current day for same day Night Settlement)
CSEMS05	DDI/DCI/EPI Rejection Listing	Four times a day	<p>after 9:30 a.m. (for payment confirmation of previous day's DDIs/DCIs/EPIs);</p> <p>after 5:45 p.m. (for payment confirmation of current day's DDIs/DCIs/EPIs inputted in the first session for same day settlement, as referred to in Section 6.3);</p> <p>after 8:00 p.m. (for payment confirmation of current day's DDIs inputted in the second session, as referred to in Section 6.3); and</p> <p>after 9:20 p.m. (for payment confirmation of current day's EPIs inputted in the session for same day Night Settlement, as referred to in Section 6.3)</p>
CSEMP01	CCASS Funding Projection Report for Designated Bank	Four times a day	around 11:30 a.m., 12:30 p.m. and 2:30 p.m. (for funding projection as of the completion of each of the first three Batch-settlement-runs for Eligible Securities other than China Connect Securities) and around 3:30 p.m. (for funding projection as of the completion of the sixth SI matching run for Eligible Securities other than China Connect Securities)
CSEMX01	DDI/DCI/EPI Exception Report	Twice daily	after 4:20 p.m. (for DDIs / DCIs / EPIs that have been excluded from same day money settlement by the Clearing House of HKAB)

			for the relevant Eligible Currency) and after 8:20 p.m. (for EPIs that have been excluded from same day Night Settlement)
CSEMP03	CCASS Funding Projection Report (Night Settlement) for Designated Bank	Five times a day	around 5:00 p.m., 5:45 p.m., 6:30 p.m., 7:15 p.m. and 8:00 p.m. (for funding projection as of the completion of each Batch-settlement-run for China Connect Securities)
CSEPI03	Electronic CHATS Payment Instruction Report	Nine times a day	after 9:30 a.m. (for CPIs generated, including CPIs for money settlement between HKSCC and Participants which shall be settled by a specified time on the current day), after 10:30 a.m. (for CPIs generated after the completion of the first Batch-settlement-run), 11:00 a.m. (for CPIs generated upon report generation), after 12:00 noon and 2:00 p.m. (for CPIs generated after the completion of the second and third Batch-settlement-runs for Eligible Securities other than China Connect Securities), after 4:45 p.m., 5:30 p.m., 6:15 p.m. and 7:00 p.m. (for CPIs generated after the completion of the first, second, third and fourth Batch-settlement-runs for China Connect Securities)
CIPMS03	DDI/DCI/EPI Listing for IP Related Transactions	Daily	from the time when the report retrieval function is available (for DDIs/DCIs/EPIs relating to Investor Participants generated on the previous day)
CIPMS05	Investor Confirmation Report	Daily	after 2:30 p.m. (for payment confirmation of current day's DDIs/debit EPIs relating to Investor Participants)

CIPDE01	Rejected DDI/EPI Batch Input Control Report	Daily	shortly after the validation of rejected DDI/EPI batch input file, i.e. around 2:00 p.m. (for status of rejected DDI/EPI uploaded on current day)
CETMB02	Broadcast Message Listing	Daily (including Saturday)	from the time when the report retrieval function is available (for previous day's broadcast messages)
DMSDA01	Disabled User Listing	Daily (including Saturday)	Ad hoc
DMSDA02	SRN Listing	Daily (including Saturday)	Ad hoc
DMSDA03	User Group Listing (with Accessible Functions)	Daily (including Saturday)	Ad hoc
DMSDA04	User Profile Listing	Daily (including Saturday)	Ad hoc
DMSDA05	User Profile Maintenance Report	Daily (including Saturday)	Ad hoc
CSEID05	Intra-day Payment Instruction Listing	Daily	around 3:00 p.m. (for Intra-day Payment Instructions issued on the current day)

## 16.8 REPORTS AND STATEMENTS FOR SSA STATEMENT RECIPIENTS RELATING TO SSA WITH STATEMENT SERVICE

Upon authorization by a Clearing Participant or a Custodian Participant under Section 3.4A, HKSCC shall furnish the SSA Statement Recipient with the following advices, statements and reports relating to the relevant SSA with Statement Service:

- (i) if there are movements in Eligible Securities during the day in the relevant SSA with Statement Service, a Stock Segregated Account Activity Statement containing information of movements in Eligible Securities during the day in that account. If there are any stock movements in Eligible Securities on a Saturday in the SSA with Statement Service, these will be reflected in the statement generated on the first Business Day in the following week. Where there is no movement in Eligible Securities during the day in the SSA with Statement Service, no statement will be issued.

The following sections are included in the Activity Statement:

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- (a) Stock Movement Section: Stock movements in the SSA with Statement Service are listed;
  - (b) Payment Summary Section: EPIs effected are listed with the details of the payment;
  - (c) Affirm STI Activity Section: Detail activity of affirmed STIs are listed;
  - (d) Voting Section: Details of voting instructions, meeting attendance and corporate representative/proxy appointments are shown; and
  - (e) Reminder Section: Reminders on corporate actions are shown to all SSA Statement Recipients.

and

- (ii) a Stock Segregated Account Monthly Balance Statement containing statement date balance of Eligible Securities in the SSA with Statement Service. This statement will be generated even for zero-balance accounts.

The Stock Segregated Account Activity Statement and the Stock Segregated Account Monthly Balance Statement in respect of a SSA with Statement Service will also be posted on and available to the SSA Statement Recipient in respect of that SSA with Statement Service via the CCASS Internet System. Either or both of the statements will not be sent by post to the SSA Statement Recipient that have elected, through the Participant, not to receive either or both of them by mail.

In addition to the Stock Segregated Account Activity Statement and the Stock Segregated Account Monthly Balance Statement, HKSCC is also authorised by the Clearing Participant or Custodian Participant under Section 3.4A to send or cause to send to the SSA Statement Recipient messages relating to the change in the details of SSA Statement Recipient and the movements, STI Transfers, voting activities in Eligible Securities in the relevant SSA with Statement Service via the E-mail, SMS at such time, in such form and manner and on such terms and conditions as HKSCC may from time to time prescribe.

## **16.9 ERRORS**

Participants other than Investor Participants and Designated Banks should report immediately to HKSCC in respect of any errors found in CCASS reports and statements specified in this section. Investor Participants should report immediately to HKSCC in respect of any errors found in any CCASS statements.

For the avoidance of doubt, HKSCC will not entertain any notification of error or omission in any advice, statement or report or any request to rectify any error or omission in any advice, statement or report from any person other than a Participant or a Designated Bank.