



香港交易所
HKEx

DCASS Training Course Series

Objectives

The course is designed to provide participants the knowledge of the clearing operations of the derivatives clearing houses. The daily clearing activities and collateral management of futures and options contracts will also be included.

Course Content

Course 1 – Understanding of Derivatives Clearing (2 CPT hours)

- The Structure of Clearing Houses
- Clearing and Settlement Systems
- Clearing Accounts
- DCASS Trade Management
- DCASS Position Management
- Collateral Management
- PRiME & Margin Calculation

Course 2 – DCASS Terminal Training (3 CPT hours)

- Introduction
- DCASS Operation
 - Logon & logoff
 - Database Monitoring
 - Trade Management
 - Position Management
 - Stock Options Related
 - Report Explanation
 - Report Download
 - Margin Related
 - Post-trade Transaction On-Behalf Input

Course 3 – CCMS Training (2 CPT hours)

- CCMS Operation
 - Logon & logoff
 - Delegated Management System
 - Collateral Management
 - Stock Options Related
 - Report Explanation
 - Report Download
 - Back-up Center
- Communication Channel
- Hotline Service

Course Instructor(s)

Course 1 :

Ms May Mak has over 7 years and 3 years experience in securities and derivatives service industry respectively. She is responsible for training up a team in providing customer support and helpdesk services to clearing houses participants.

Mr Hill Ng is the Manager of Derivatives Clearing Risk Management. With more than 8 years experience, Mr. Ng is responsible for the risk monitoring and assessment for the HKFE Clearing Corporation (HKCC).

Course 2 :

Mr. Willy So has over 3 years experience in derivatives service industry. He is currently responsible for providing customer support and helpdesk services to clearing houses participants

Course 3 :

Ms Tanya Lam has over 3 years experience in derivatives service industry. She is responsible for training up a team in providing customer support and helpdesk services to clearing houses participants.

Who Should Attend

Responsible officers, operations staff (in particular back office settlement staff), sales staff and account executives of brokerage firms.

Program Details

	Course 1	Course 2	Course 3
Course Code	TDSX021010701	TDSX022010701	TDSX023010701
Date	3 Dec 2007 (Monday)	7 Dec 2007 (Friday)	7 Dec 2007 (Friday)
Language	Cantonese (supplement with English materials)		
Time	5:15pm – 7:15pm	9:30am – 12:30pm	2:30pm – 4:30pm
Venue	Training Room, UG/F. V-Heun Building, 128-140 Queen's Road Central, Hong Kong		
HKSI's Member or Exchange Participant	HK\$220	HK\$330	HK\$220
Non-member	HK\$290	HK\$435	HK\$290
	Package Fee: HK\$700 if Courses 1, 2 & 3 are enrolled.		
	Package Fee: HK\$910 if Courses 1, 2 & 3 are enrolled.		
CPT hour(s)	2 hours	3 hours	2 hours

Remarks:

- Priority will be given to Exchange Participants of HKEx and those applying to attend all courses.
- Participants who attend Course 1 later than 5:35pm or leave before the end of the Q & A session will not be granted the CPT hours.
- No CPT hour will be granted if participants who arrive at the training venue after the course commencement time for Courses 2 & 3
- If any course(s) is/are cancelled due to inadequate enrollment, the participant can choose to transfer to the next intake or a refund. The refund amount shall base on the package fee on pro-rata basis.

衍生產品結算及交收系統課程系列

課程目的

此課程為參與者講解衍生產品結算所之結算及交收程序的運作，與及期貨和期權合約每日結算活動及抵押品管理的資料。

課程內容

課程一：衍生產品結算 (2 小時持續培訓時數)

- 結算所的結構
- 結算及交收系統
- 結算戶口
- DCASS 交易管理
- DCASS 持倉管理
- 抵押品管理
- PRiME 按金計算的概括

課程二：衍生產品及結算交收系統 (DCASS) 終端機培訓 (3 小時持續培訓時數)

- 簡介
- 衍生產品及結算交收系統 (DCASS) 的運作
 - 登入及離開
 - 資料庫監察
 - 交易管理
 - 持倉管理
 - 股票期權有關資料
 - 解說報表
 - 報表下載
 - 按金有關資料
 - 代參與者輸入衍生產品及結算交收系統 (DCASS) 的後交易

課程三：共同抵押品管理系統 (CCMS) 培訓 (2 小時持續培訓時數)

- 共同抵押品管理系統 (CCMS) 的運作
 - 登入及離開
 - 管理系統 (DMS)
 - 抵押品管理
 - 股票期權有關資料
 - 解說報表
 - 報表下載
 - 終端機後援中心
- 通訊渠道
- 熱線服務

主講

課程〈一〉

麥月媚小姐有超過七年及三年在股票及衍生產品服務行業的經驗，負責培訓結算所參與者客戶支援及服務熱線工作隊伍。

吳崇山先生為香港交易所衍生產品風險管理經理。有超過八年經驗。吳先生負責香港期貨交易結算所的風險監控及評估工作。

課程〈二〉

蘇志華先生有超過三年衍生產品服務行業，負責為結算所參與者提供客戶支援及熱線服務的工作。

課程〈三〉

林梓瑩小姐有超過三年在衍生產品服務行業的經驗，負責培訓結算所參與者客戶支援及服務熱線工作隊伍。

報讀人士

經紀商的負責高級人員、後勤操作人員（特別是負責後勤交收）、銷售人員及客戶代表。

課程安排

	課程〈一〉	課程〈二〉	課程〈三〉
課程編號	TDSX021010701	TDSX022010701	TDSX023010701
日期	2007年12月3日 (星期一)	2007年12月7日 (星期五)	2007年12月7日 (星期五)
授課語言	粵語〈輔以英文教材〉		
時間	下午5時15分至 下午7時15分	上午9時30分至 下午12時30分	下午2時30分至 下午4時30分
上課地點	香港皇后大道中128-140號，威亨大廈高層地下的培訓室		
HKSI會員或團體會員	HK\$220	HK\$330	HK\$220
職員或交易所參與者	組合課程費：HK\$700 如同時參加課程一，二及三。		
非會員	HK\$290	HK\$435	HK\$290
	組合課程費：HK\$910 如同時參加課程一，二及三。		
持續培訓時數	2小時	3小時	2小時
備註：	<ul style="list-style-type: none">交易所參與者或同時參加三個課程者將會被優先取錄。課程一之參加者於下午5時35分後入場或問答環節前提早離場，將不會獲發持續培訓時數。課程二及三之參加者必須於課堂指定開課時間到達上課地點，否則將不獲發任何持續培訓時數。報讀組合課程之參加者如組合中任何一個課程因人數不足而取消，參加者可選擇將該課程轉到下一次之班別或選擇退回該課程之學費。但退回之學費將以組合課程費按比例計算後退回。		

Notes (申請須知)

- For enrolment, please submit one enrolment form for each course. Please send your completed enrolment form together with the appropriate course fee to the HKSI by post or in person before the closing date. Applicants who wish to enjoy Corporate/Ordinary/Affiliate Member Fee must provide relevant information at the time of application. Otherwise, Non-member Fee shall be charged and fee difference will not be refunded.
- Enrolment will only be confirmed upon receipt of payment. Any enrolment forms without appropriate payments will be rejected by the HKSI. Application indicating payment by cheque will not be processed without attachment of a cheque.
- Applicants paying by company cheques should ensure that they have affixed the company chop.
- Applicants should note that cash should not be sent through post and post dated cheques will not be accepted.
- The admission confirmation letter and training courses regulations will be issued five (5) business days before the commencement of the course. Applicants who are rejected will receive telephone notification. Applicants who do not receive notifications in any form should contact the Institute at 3120 6200.
- Applicants must read training courses regulations and agree to abide by them before submitting enrolment form.
- Refund/Substitutions :
 - Refund is not considered.
 - Once accepted to the enrolled course, participant cannot transfer to another course.
 - Participant can **request a substitute to replace his/her enrolment in writing once at least five (5) business days** prior to the commencement of the enrolled course. Any course fee discrepancies will be borne by the participant.
 - The HKSI reserves the right to make any necessary arrangements with regard to the substitution.
- Personal data supplied in this enrollment form will be used only for purposes relating to enrolling / and attending the HKSI professional training courses. HKSI reserves the right to inspect personal identity of attendees.
- Seats are limited and enrolments will be processed on a first-come-first-served basis.
- HKSI reserves the right to cancel or reallocate the course.
- 每一項課程，請遞交一份報名表格。請將填妥的報名表格連同適當的課程學費，於課程截止報名日期前親自或郵寄致香港證券專業學會。申請人如欲享有團體會員/會員/附屬會員課程學費之優惠，在申請時必須提供有關資料，否則本會將收取非會員課程學費之金額。課程費用之差額將概不退還。
- 報名表格必須連同適當學費遞交，學會才會確認該申請。其餘申請，學會一概不會接受。如欲以支票繳付學費者，報名表格必須連同支票一併遞交，否則其課程申請將不獲受理。
- 如申請人以公司支票付款，申請人必須在報名表格的適當位置蓋上公司印鑑。
- 申請人切勿郵寄現金致本學會付款。此外，本學會概不接受期票。
- 申請者將於開課前五個工作天收到學會通知及課程守則。學會將透過電話通知課程不獲接納之申請人。申請人如在期間尚未收到通知，請致電 3120 6200 與學會聯絡。
- 申請者在遞交報名表格前，必須細閱課程守則，並同意及遵守其規條。
- 退還課程費用/學額轉讓
 - 課程費用概不退還。
 - 一經取錄，學員不得轉讀其他課程。
 - 學員可於開課前五個工作天透過書面向學會申請學額轉讓他人一次。申請一經批准，學員須繳付課程費用之差額。
 - 學會將保留有關學額轉讓事宜的一切權利。
- 本申請表上提供的個人資料，僅供作處理有關報讀/及出席本學會課程事宜之用。本學會保留檢查出席課程人士之身份證明之一切權利。
- 由於名額有限，報名以先到先得方式進行。
- 本學會保留取消及重新安排課程之一切權利。

Applicant's Declaration 申請人聲明

I hereby declare that the information I provided in this application form is complete and correct. I have read the general notes above and agree to abide by the notes mentioned.

本人謹此聲明在本申請表格中所填報之資料均屬正確無訛。本人已閱讀『申請須知』，並完全同意及遵守有關事項。

Signature of Applicant : _____
申請人簽署

Date : _____
日期

How to Contact Us (如有查詢，請與學會聯絡)

Address : 24th Floor, Wing On Centre, 111 Connaught Road Central, Hong Kong 地址 : 香港干諾道中 111 號永安中心 24 樓 2403 - 08 室

Enquiries 查詢 : Tel 電話: 3120 6200 (Training Hotline 課程熱線) Fax 傳真: 2899 2611

Website 網址 : www.hksi.org

E-mail 電子郵件 : training@hksi.org

Opening Hours 辦公時間 : 9:00am - 5:30pm (Mon- Fri 星期一至星期五) ; 9:00am - 12:00noon (Sat 星期六)