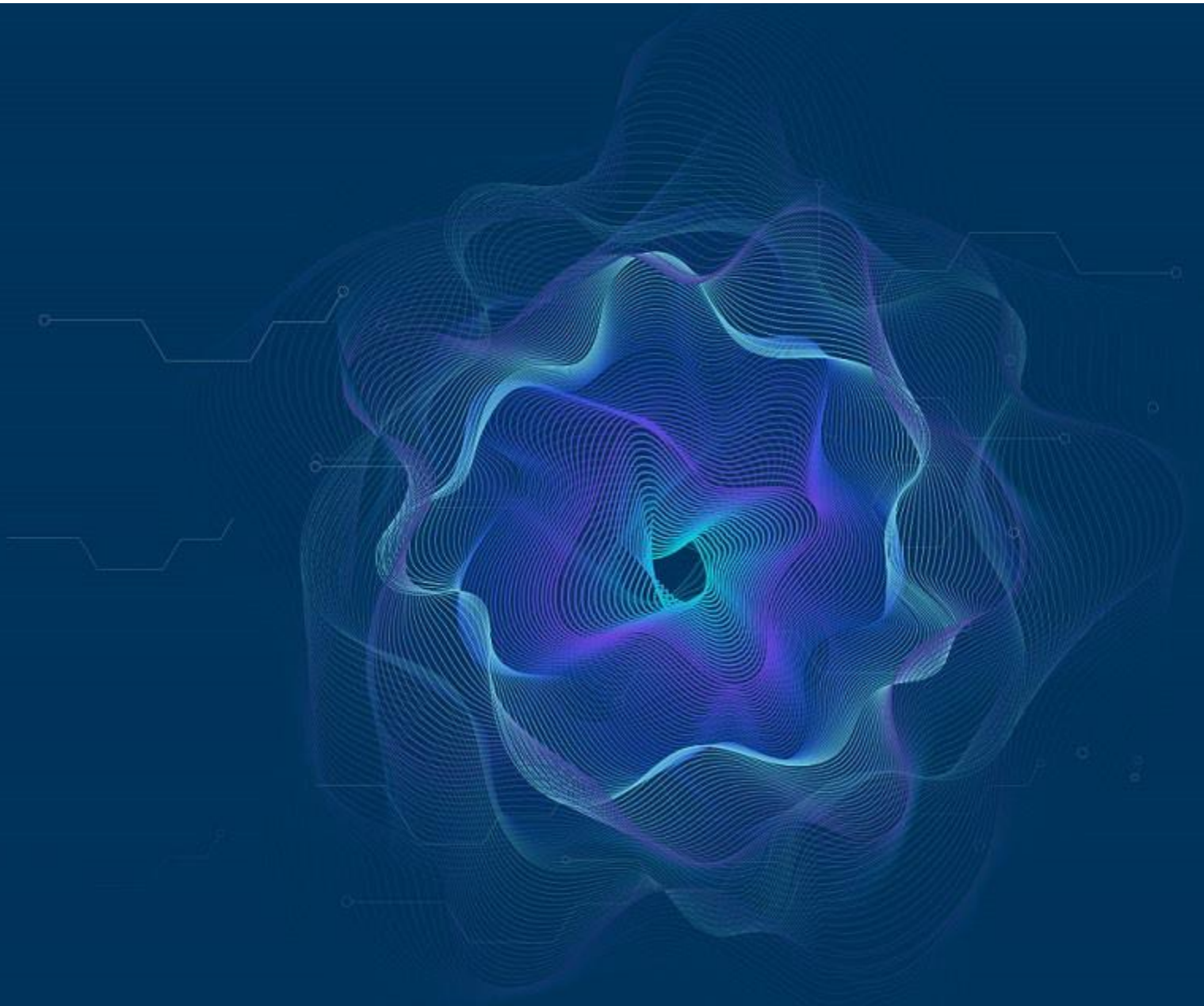


# HKEX Synapse

## User Guide



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## Versions

Publication Date	Version
08 Jun 2026 <b>[Current]</b>	Version 1.6 published <ul style="list-style-type: none"> <li>• Update Contact Information</li> </ul>
24 Feb 2025	Version 1.5 published <ul style="list-style-type: none"> <li>• Add section 10.1.3 Day-begin Master SPSA Sellable Balance Report (G29) to describe the display of the sellable balance report under Reports tab</li> </ul>
16 Sep 2024	Version 1.4 published <ul style="list-style-type: none"> <li>• Update section 4.3 Synapse Dashboard               <ul style="list-style-type: none"> <li>○ Remove the wording “No Further Processing” from the CCASS exceptions alert message</li> </ul> </li> <li>• Update section 5.1 Fund Onboarding               <ul style="list-style-type: none"> <li>○ Update the length size GC’s Account at LC to 15</li> </ul> </li> <li>• Update section 6.1 Account Onboarding               <ul style="list-style-type: none"> <li>○ Update the length size EP’s Account at CP to 15</li> </ul> </li> <li>• Update section 7.2.1.2 and 7.2.1.3 for the addition of new UI field “EP’s account at CP” in the KEY SETTLEMENT DETAILS tab under PARTICIPANT DETAILS</li> <li>• Update section 7.3.1.4 and 7.3.1.5 SI/STI Approvals and Rejection for GC and LC               <ul style="list-style-type: none"> <li>○ Describe the extraction logic of how EP’s account at CP is retrieved from the settlement notification from DTCC via SWIFT MT541 and MT543</li> <li>○ Provide background and a description of the new health check workflow that is triggered when the approval process starts. Specify the alert message will be promoted when any non-fatal error(s) is/are found in SI Health Check tab</li> <li>○ Direct Synapse users to reference to section 7.6 for recommendations regarding the failure reasons</li> </ul> </li> <li>• Update section 7.6 Health Check to add a new health check item: “EP’s account at CP”               <ul style="list-style-type: none"> <li>○ Describe the new business validation implemented to verify if EP’s account at CP is presented in the SN from DTCC and its resolution</li> <li>○ Add screenshots from “SI Health Check” that displays the failure reason</li> </ul> </li> </ul>

Publication Date	Version
05 Feb 2024	Version 1.3 published <ul style="list-style-type: none"> <li>• Remove scenarios of manual amendment notification under section 4.3 Synapse Dashboard</li> <li>• Remove the alternative approach to select individual AM when submit the SOH subscription request via system post system enhancement under section 10.2 Statement of Holding Report Subscriptions</li> <li>• Remove the note that reminder user not to approve cancelled SN for a SI/STI as cancelled SN will no longer available for approval under section 7.3 SI/STI Approvals and Rejections</li> </ul>
02 Dec 2023	Version 1.2 published <ul style="list-style-type: none"> <li>• Update the operation hours table under section 2 System Availability</li> <li>• Remove the description of exception scenarios post system enhancement on below user functions               <ul style="list-style-type: none"> <li>○ Account Onboarding</li> <li>○ Deactivate Account after account is activated</li> <li>○ DTCC send a cancelled SN for a SI/STI</li> <li>○ Audit Log retrieval</li> <li>○ Apply filter on reporting on Settlement Instruction List view</li> </ul> </li> </ul>
04 Oct 2023	Version 1.1 published <ul style="list-style-type: none"> <li>• Enriched the content of application behaviour of logging in to Synapse and refreshed the screen capture of HKEX Access Management Portal under section 4.1 Login to Synapse</li> <li>• Added the functional ID and role type in HKEX Access Management Portal under section 4.2 Synapse User Types and Role Types to provide reference for access and role management</li> </ul>
18 Sep 2023	First version published

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## 1. Introduction

Since its launch, Stock Connect, the landmark mutual market access programme linking the Hong Kong and Mainland China equity markets, has fundamentally changed capital markets in the region, pioneering greater accessibility and offering more investor choice, resulting in record trading volumes.

As international investors' access and participation in China's onshore market grows, so too do the post-trade complexities, due to different settlement requirements across markets. Market participants, including Asset Managers (AMs), Global Custodians (GCs), Local Custodians (LCs), Exchange Participants (EPs), and Clearing Participants (CPs), have been deploying tailored solutions to improve post-trade efficiencies. The lack of interoperability amongst these solutions, however, has in turn created additional operating processing and counterparty risks.

Hong Kong Exchanges and Clearing Limited (HKEX) is launching HKEX Synapse, a new integrated post-trade platform and workflow tool, generating a single source of truth for settlement instructions for its landmark Stock Connect programme. Synapse simultaneously generates settlement instructions and provides near instantaneous status updates to all parties along the settlement chain, facilitating concurrent processing, providing greater efficiency and transparency to Northbound Stock Connect's market participants, while connecting them to a more seamless post-trade workflow. Synapse will alleviate existing market challenges and standardise the current information and instruction transmission process in relation to transactions under the Northbound Stock Connect Programme. AMs, GCs, LCs, EPs and CPs will all benefit from the improved connectivity.

This Synapse User Guide aims to provide detailed Synapse Operational Procedures and other operational and connectivity details to Synapse Users. In addition to this user guide, Synapse Users should also refer to Synapse FAQ and other materials posted on HKEX Synapse website before using Synapse. Parties who are interested to join Synapse should also refer to the Synapse New Application Guidelines available on HKEX website.

## 2. System Availability

### 2.1 Operating Hours

Synapse will be operational from 7:00 AM to 12:00 Midnight (Hong Kong Time UTC+8), from Monday to Friday (which is also a business day when the Northbound Stock Connect is available for trading). Any further scheduled ad-hoc maintenance work will be communicated to all users in advance.

Synapse Users may contact general hotline via phone at +852 2979 7123 from HKT 9:00 AM – 6:00 PM or email at [clg@hkex.com.hk](mailto:clg@hkex.com.hk) for general enquiries.

For settlement related enquiries, please contact via email at [CDCO\\_Settlement@hkex.com.hk](mailto:CDCO_Settlement@hkex.com.hk)

For onboarding related enquiries, please contact via email at [CDCO\\_CAS@hkex.com.hk](mailto:CDCO_CAS@hkex.com.hk)

In normal circumstance, Synapse will operate in different modes in specified time during the Northbound trading day:

Hong Kong Time (UTC +8)		
From	To	Synapse Operating Mode
7:00 AM	7:14 AM	<ul style="list-style-type: none"><li>• Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li><li>• All other functions within Synapse will remain normal and available</li></ul>
7:15 AM	8:05 PM	<ul style="list-style-type: none"><li>• All functions (including interface with CCASS) will be available</li></ul>
8:06 PM	12:00 Midnight	<ul style="list-style-type: none"><li>• Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li><li>• All other functions within Synapse will remain normal and available</li></ul>
12:01 AM	6:59 AM	<ul style="list-style-type: none"><li>• Synapse will be in maintenance mode and none of its functions will be available</li></ul>



## 2.2 Severe Weather Arrangements

If a Typhoon Signal No 8 (or above) or Extreme Conditions or Black Rainstorm Warning are issued by the Hong Kong Observatory, the service arrangement of Synapse will be as below:

Scenarios	Synapse Operating Mode
Signal / Extreme Conditions / Warning issued before 9:00 AM and cancelled at or before 12:00 Noon	<ul style="list-style-type: none"> <li>• Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li> <li>• All other functions within Synapse will remain normal and available</li> <li>• Synapse will resume the interface with CCASS two hours following the discontinuation of the Signal / Extreme Conditions /Warning</li> </ul>
Signal / Extreme Conditions / Warning issued before 9:00 AM and cancelled after 12:00 Noon	<ul style="list-style-type: none"> <li>• Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li> <li>• All other functions within Synapse will remain normal and available</li> <li>• No Synapse service for the day in CCASS and that day will not be treated as a Settlement Day</li> </ul>
Signal / Extreme Conditions / Warning issued at or after 9:00 AM	<ul style="list-style-type: none"> <li>• Normal Synapse service will be available</li> </ul>

## 2.3 Data Retention Period in Synapse

Synapse online retention period is 31 calendar days for settlement instructions after such instructions have no further status update in Synapse, and for accounts / funds / statement of holding subscription requests that are pending approval by Synapse Users. Similarly, for inactivated funds / accounts, they will be retained in Synapse for 31 calendar days. Synapse Users are encouraged to keep record of all Synapse's data by their own for internal usage / reference if needed.

### 3. Synapse Pre-requisite and Workflow

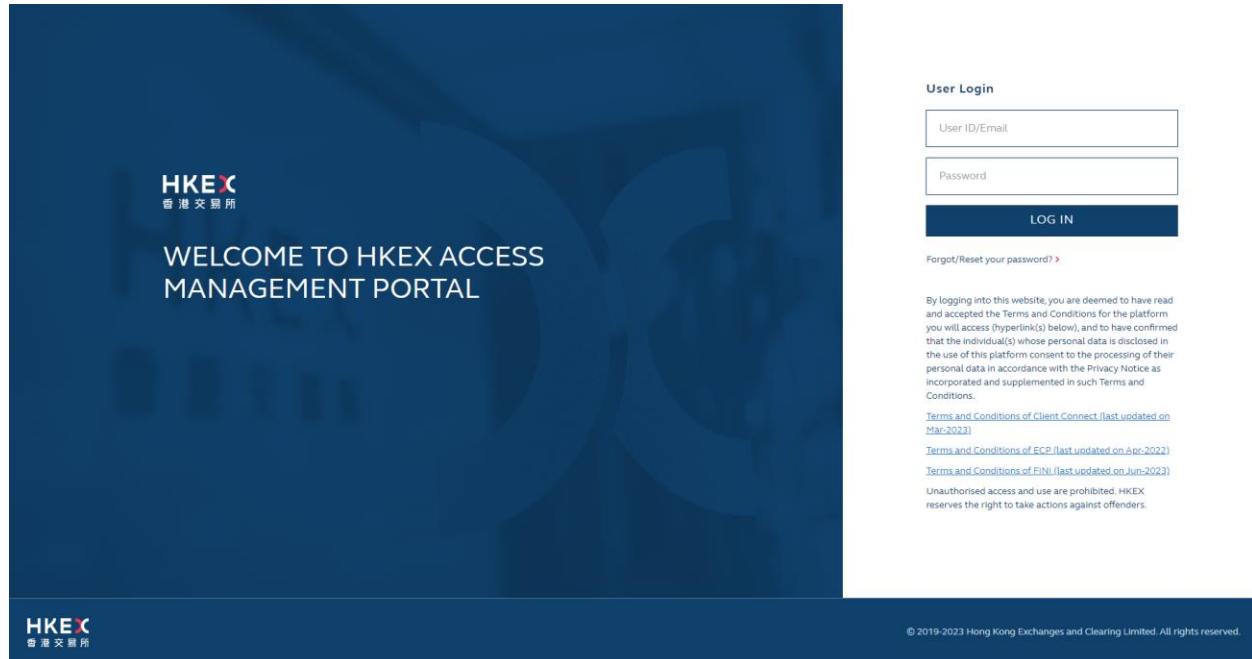
1. The AM and EP, are required to be connected to a matching platform provider eligible to send matched instructions to Synapse. Clients requiring further information on the eligible matching platform providers may contact HKEX Synapse Team.
2. The buy-side (i.e. AM, GC and LC) and sell-side (i.e. EP and CP) need to onboard as the Synapse Users. For AM, EP and CP, they may appoint outsourcing operators to perform Synapse operations on their behalf (i.e. Asset Manager Middle Office Outsourcing Operator (AMOO) for AM, Exchange Participant Middle Office Outsourcing Operator (EPOO) for EP and Account Operator (AO) for CP, collectively known as Designated Service Providers).
3. After Synapse Users are onboard to Synapse,
  - a. for buy-side chain users, they need to set-up their buy-side relationship by onboarding the fund and setting up data relevant to that fund. After the fund is onboarded in Synapse successfully, Synapse can start to consume the settlement instructions of the respective fund from the matching platform for further processing.
  - b. for sell-side chain users, they need to set-up their sell-side relationship by onboarding the account and setting up data relevant to that account. After the account is onboarded in Synapse successfully, Synapse can start to consume the settlement instructions of the respective account from the matching platform for further processing.
4. AM and EP perform block and allocation matching on the eligible matching platform provider side, with Standing Settlement Instruction (SSI) enrichment.
5. Synapse consumes the “match agreed” allocations from matching platform with SSI enrichment and then starts orchestrating the settlement instructions within Synapse, based on the fund and account onboarded via step 3. Please note if the newly listed China Connect Securities do not possess ISIN initially, these securities will not be applicable to Synapse.
6. Upon consumption of the “match agreed” allocations with SSI enrichment from the eligible matching platform provider, and thus generating the single source of truth, Synapse creates settlement instructions to GC, LC and CP. A single common reference, Unique Transaction Identifier (UTI), will be utilised across all instructions generated for all parties, on matching platform provider side, in Synapse and a truncated version of it in CCASS.
7. GC, LC and CP perform their internal checks. They are required to provide either an “Acknowledged Accepted” or a “Rejected” status with reason to Synapse.
8. Synapse will make available all “Acknowledged Accepted” and/or “Rejected” status with reason to all Synapse Users.
9. Synapse generates a settlement instruction (SI) to the HKEX Central Clearing and Settlement system (CCASS)
  - a. upon receiving “Acknowledged Accepted” from both GC and LC, Synapse

- generates an SI to CCASS on behalf of the LC.
- b. upon receiving “Acknowledged Accepted” from CP, Synapse generates an SI to CCASS on behalf of the CP.
10. CCASS performs its matching and settlement processing following the existing Northbound Stock Connect matching and settlement batches.
  11. Synapse consumes the settlement status from CCASS and disseminates it to AM, EP, GC, LC and CP via their selected communication channels.

Note: AM and EP may send matched and agreed cancellation on the trade allocation to Synapse through the matching platform. Once consumed such cancellation, Synapse will check the latest settlement status of the respective SI, and if such SI is not already cancelled or settled, Synapse will proceed with the cancellation accordingly without requiring the GC, LC or CP’s approval.

## 4. Getting Started

### 4.1 Login to Synapse



**HKEX**  
香港交易所

WELCOME TO HKEX ACCESS  
MANAGEMENT PORTAL

**User Login**

User ID/Email

Password

**LOG IN**

[Forgot/Reset your password? >](#)

By logging into this website, you are deemed to have read and accepted the Terms and Conditions for the platform you will access (hyperlink(s) below), and to have confirmed that the individual(s) whose personal data is disclosed in the use of this platform consent to the processing of their personal data in accordance with the Privacy Notice as incorporated and supplemented in such Terms and Conditions.

[Terms and Conditions of Client Connect \(last updated on Mar-2023\)](#)

[Terms and Conditions of ECP \(last updated on Apr-2022\)](#)

[Terms and Conditions of FINI \(last updated on Jun-2023\)](#)

Unauthorised access and use are prohibited. HKEX reserves the right to take actions against offenders.

**HKEX**  
香港交易所

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Synapse user could log into Synapse by entering this URL on the web browser: <https://synapse.hkex.com.hk/>.<sup>1</sup> This URL will direct user to HKEX Access Management Portal and the user will be required to enter log in detail (i.e. User ID/Email and Password). After successfully login, the user will be directed to Synapse Dashboard screen.

The upper right-hand side of the Dashboard screen has several functions:

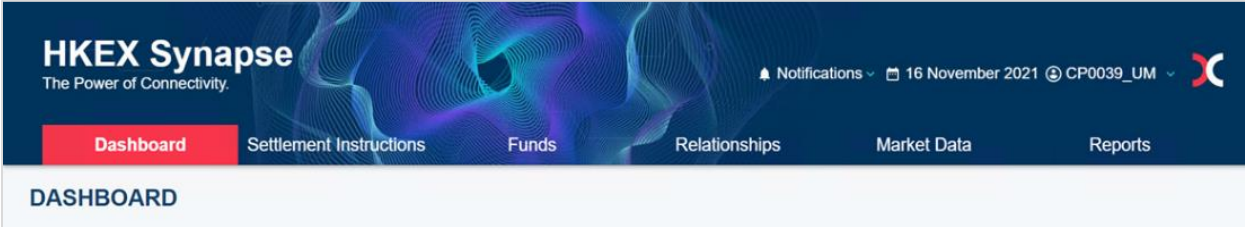
Functions	Description
Calendar View	Shows current date
Username	User can view its own Username
Synapse Menu Panel	Dashboard, Settlement Instructions, Funds (for buy side) / Accounts (for sell side), Relationships, Market Data, Reports

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<sup>1</sup> User could also login via <https://connect.hkex.com.hk>. However, user will be required to click the Synapse link on the navigation bar to enter Synapse Dashboard screen.

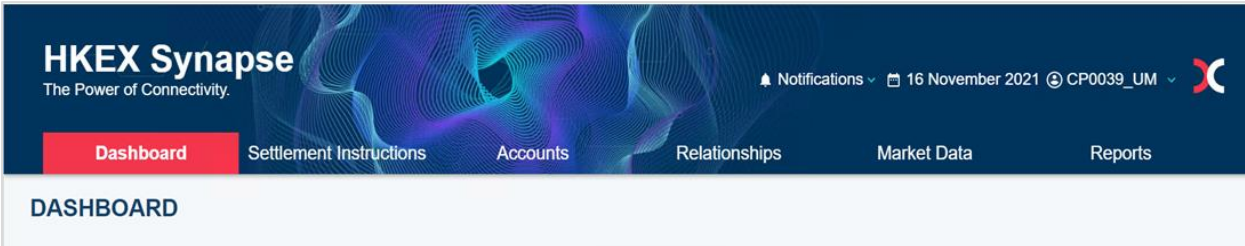
**Buy-side Dashboard:**

There are 6 main tabs on the Buy Side’s Dashboard screen navigation bar: Dashboard, Settlement Instructions, Funds, Relationships, Market Data, and Reports. Further details for each tab and its functionality will be provided throughout the user guide.



**Sell-side Dashboard:**

There are 6 main tabs on the Sell Side’s Dashboard screen navigation bar: Dashboard, Settlement Instructions, Accounts, Relationships, Market Data, and Reports. Further details for each tab and its functionality will be provided throughout the user guide.



## 4.2 Synapse User Types and Role Types

There are eight different types of Synapse Users or Designated Service Providers (DSPs):

1. Asset Managers (AM)
2. Global Custodians (GC)
3. Local Custodians (LC)
4. Exchange Participants (EP)
5. Clearing Participants (CP)
6. Asset Manager’s Middle Office Outsourcing Operators (AMOO)
7. Exchange Participant’s Middle Office Outsourcing Operators (EPOO)
8. Clearing Participant’s Account Operators (AO)

Synapse role types are assigned by the Delegated Administrators (DA) of the Synapse Users and are passed to the Synapse application when the user logs into the Synapse UI through HKEX Access Management Portal. Refer to Synapse New Application Guidelines for the steps and reference of user management (i.e. user creation and assign function).

Function ID & Role Type in HKEX Access Management Portal	Role Type	Description	Available Functions
EU_DataManager (maker role)	Data Manager Input Only User ('Maker')	<ul style="list-style-type: none"> <li>• User can input data and play the role of “maker”</li> <li>• User cannot authorize any data input</li> <li>• Users cannot input data outside of their Data Manager input only user role</li> </ul>	5 Funds 6 Accounts 8 Relationships 9 Market Data 10 Reports
EU_DataManager (checker role)	Data Manager Input Authorise User ('Maker' or 'Checker')	<ul style="list-style-type: none"> <li>• User can authorize data input by Data Manager input only user (maker)</li> <li>• User plays the role of “checker” on those functions which require the Data Manager maker-checker functionality</li> <li>• User can also input data as a “maker.” [Note: a different Data Manager input authorize user (i.e., checker) would have to authorize their input]</li> <li>• User cannot input or authorize data outside of their Data Manager input authorize user role</li> </ul>	5 Funds 6 Accounts 8 Relationships 9 Market Data 10 Reports

EU_Transaction Balances (maker role)	Transaction Balance Input Only User ('Maker')	<ul style="list-style-type: none"> <li>• User can input data and play the role of “maker”</li> <li>• User cannot authorize any data input</li> <li>• User cannot input data outside of their Transaction Balances User input only user role</li> </ul>	7 Instruction Processing 8 Relationships 9 Market Data 10 Reports
EU_Transaction Balances (checker role)	Transaction Balance Input Authorise User ('Maker' or 'Checker')	<ul style="list-style-type: none"> <li>• User can authorize data input by Transaction Balance input only user (maker)</li> <li>• User plays the role of “checker” on those functions which require the Transaction Balance maker-checker functionality</li> <li>• User can also input data as a “maker.” [Note: a different Transaction Balance input authorize user (i.e., “checker”) would have to authorize their input]</li> <li>• User cannot input or authorize data outside of their Transaction Balance input authorize user role</li> </ul>	7 Instruction Processing 8 Relationships 9 Market Data 10 Reports
EU_SYNUser (enquiry role)	Read Only User	<ul style="list-style-type: none"> <li>• User can only view / access data and information to which their firm is allowed access</li> <li>• User does not have ability to input or authorize changes</li> <li>• Note: user can also be a company that has presented an ISO message or API call that has been restricted due to read only policy</li> </ul>	5 Funds 6 Accounts 7 Instruction Processing 8 Relationships 9 Market Data 10 Reports

For AM, EP and CP (i.e. known as core users) who have appointed DSPs will become read-only users and will not able to perform any fund onboarding maintenance (applicable to AM) / account onboarding maintenance (applicable to EP and CP) / SI approval or rejection activities (applicable to CP). The DSP appointed will perform these activities on behalf of the core users.

**1. Buy Side**

Buy Side users include AMs, GCs, LCs and AMOOs. On the Dashboard screen, buy side users can view Settlement Instructions, Fund Profiles, and Notifications.

Sample dashboard screens of each type of buy side users can be seen below:

AM:

**HKEX Synapse**  
The Power of Connectivity.

23 August 2022 @ synuat011 synuat011

Organization: SynComp302

ACTING AS:  
Identity: Asset Manager

Function 1: SYM User  
Role Type: Input-Only

Function 2: Transaction-Balances  
Role Type: Input-Only

Function 3: Data Manager  
Role Type: Input-Only

Logout

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 0 Allocation Received
- 0 Processing in Synapse
- 0 Unmatched
- 0 Matched
- 0 Settled
- 0 Cancelled

**FUND PROFILES** + New Fund

- 0 Awaiting AM Checker Approval
- 0 Awaiting GC Approval
- 0 Awaiting LC Approval

**NOTIFICATIONS**

- Funds (0) PREVIEW
- Participants (0) PREVIEW
- Relationships (0) PREVIEW
- CCASS Exceptions (0) PREVIEW
- SIs (0) PREVIEW

GC:

**HKEX Synapse**  
The Power of Connectivity.

23 August 2022 @ synua1071 synua1071

Organization: SynComp511

ACTING AS:  
Identity: Global Custodian

Function 1: Transaction-Balances  
Role Type: Input-Only

Function 2: SYN User  
Role Type: Input-Only

Function 3: Data Manager  
Role Type: Input-Only

Logout

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 15 Allocation Received
- 3 Processing in Synapse
- 1 Unmatched
- 0 Matched
- 9 Settled
- 2 Cancelled

**FUND PROFILES**

- 0 Awaiting GC Maker Approval
- 0 Awaiting GC Checker Approval
- 0 Awaiting LC Approval

**NOTIFICATIONS**

- ▲ Funds (13) PREVIEW
- ▲ Participants (0) PREVIEW
- ▲ Relationships (0) PREVIEW
- ▲ CCASS Exceptions (0) PREVIEW
- ▲ SIs (153) PREVIEW

LC:

**HKEX Synapse**  
The Power of Connectivity.

23 August 2022 @ synua1141 synua1141

Organization: SynComp521

ACTING AS:  
Identity: Local Custodian

Function 1: Data Manager  
Role Type: Input-Only

Function 2: SYN User  
Role Type: Input-Only

Function 3: Transaction-Balances  
Role Type: Input-Only

Logout

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 15 Allocation Received
- 3 Processing in Synapse
- 1 Unmatched
- 0 Matched
- 9 Settled
- 2 Cancelled

**FUND PROFILES**

- 0 Awaiting LC Maker Approval
- 0 Awaiting LC Checker Approval

**NOTIFICATIONS**

- ▲ Funds (12) PREVIEW
- ▲ Participants (0) PREVIEW
- ▲ Relationships (0) PREVIEW
- ▲ CCASS Exceptions (0) PREVIEW
- ▲ SIs (153) PREVIEW

## AMOO:

**HKEX Synapse**  
The Power of Connectivity.

24 August 2022 Acting As: SynComp502 synuaal391 synuaal391

Organization: SynComp556  
ACTING AS:  
Identity: AM Outsourcing Operator  
Function 1: Data Manager Role Type: Input-Only  
Function 2: SYN User Role Type: Input-Only  
Logout

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 0 Allocation Received
- 0 Processing in Synapse
- 0 Unmatched
- 0 Matched
- 0 Settled
- 0 Cancelled

**FUND PROFILES** + New Fund

- 1 Awaiting AM Checker Approval
- 0 Awaiting GC Approval
- 0 Awaiting LC Approval

**NOTIFICATIONS**

- 0 Funds PREVIEW
- 0 Participants PREVIEW
- 0 Relationships PREVIEW
- 0 CCASS Exceptions PREVIEW
- 0 Sis PREVIEW

## 2. Sell Side

Sell Side users include EPs, CPs, EPOOs and AOs. On the Dashboard screen, sell side users can view Settlement Instructions, Accounts, and Notifications.

Sample dashboard screens of each type of sell side users can be seen below:

## EP:

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23 August 2022 synuaal211 synuaal211

Organization: SynComp531  
ACTING AS:  
Identity: Exchange Participant  
Function 1: SYN User Role Type: Input-Only  
Function 2: Transaction Balances Role Type: Input-Only  
Function 3: Data Manager Role Type: Input-Only  
Logout

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 15 Allocation Received
- 5 Processing in Synapse
- 1 Unmatched
- 0 Matched
- 8 Settled
- 1 Cancelled

**ACCOUNTS** + New Account

- 0 Awaiting EP Checker Approval
- 0 Awaiting CP Approval

**NOTIFICATIONS**

- 6 Accounts PREVIEW
- 0 Participants PREVIEW
- 0 Relationships PREVIEW
- 0 CCASS Exceptions PREVIEW
- 153 Sis PREVIEW

CP:

The screenshot shows the HKEX Synapse CP dashboard for user 'synuat281' on 23 August 2022. The dashboard is divided into three main sections: Settlement Instructions, Accounts, and Notifications. The Settlement Instructions section shows 15 Allocation Received, 5 Processing in Synapse, 1 Unmatched, 0 Matched, 8 Settled, and 1 Cancelled. The Accounts section shows 0 Awaiting CP Maker Approval and 0 Awaiting CP Checker Approval. The Notifications section lists 6 Accounts, 0 Participants, 0 Relationships, 0 CCASS Exceptions, and 153 SIs, each with a 'PREVIEW' link. A user profile dropdown menu is open on the right, showing the user's role as 'Clearing Participant' and three functions: 'SYN User', 'Transaction-Balances', and 'Data Manager'. The 'Dashboard' tab is highlighted in the top navigation bar.

EPOO:

The screenshot shows the HKEX Synapse EPOO dashboard for user 'synuat431' on 24 August 2022. The dashboard is divided into three main sections: Settlement Instructions, Accounts, and Notifications. The Settlement Instructions section shows 0 Allocation Received, 0 Processing in Synapse, 0 Unmatched, 0 Matched, 0 Settled, and 0 Cancelled. The Accounts section shows 0 Awaiting EP Checker Approval and 0 Awaiting CP Approval, with a '+ New Account' button. The Notifications section lists 0 Accounts, 0 Participants, 0 Relationships, 0 CCASS Exceptions, and 0 SIs, each with a 'PREVIEW' link. A user profile dropdown menu is open on the right, showing the user's role as 'EP Outsourcing Operator' and three functions: 'SYN User', 'Data Manager', and 'Transaction-Balances'. The 'Dashboard' tab is highlighted in the top navigation bar.

AO:

The screenshot displays the HKEX Synapse dashboard interface. At the top left, the logo 'HKEX Synapse' is accompanied by the tagline 'The Power of Connectivity'. The top right corner shows the date '24 August 2022', the user's acting role 'Acting As: SynComp542', and the user ID 'synuat351 synuat351'. A navigation menu includes 'Dashboard' (highlighted in red), 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. A user profile dropdown menu is open on the right, showing 'Organization: SynComp551', 'ACTING AS: Identity Account Operator', and three functions: 'Function 1: SYN User', 'Function 2: Data Manager', and 'Function 3: Transaction-Balances', all with 'Role Type: Input-Only'. A 'Logout' button is also visible.

**DASHBOARD**

- SETTLEMENT INSTRUCTIONS**
  - 0 Allocation Received
  - 0 Processing in Synapse
  - 0 Unmatched
  - 0 Matched
  - 0 Settled
  - 0 Cancelled
- ACCOUNTS**
  - 0 Awaiting CP Maker Approval
  - 0 Awaiting CP Checker Approval
- NOTIFICATIONS**
  - ▲ Accounts (0) PREVIEW
  - ▲ Participants (0) PREVIEW
  - ▲ Relationships (0) PREVIEW
  - ▲ CCASS Exceptions (0) PREVIEW
  - ▲ SIs (0) PREVIEW

## 4.3 Synapse Dashboard

Synapse Users can view the following sections on the dashboard 1) Settlement Instructions, 2) Fund Profiles (buy side users only), 3) Accounts (for sell side users only) and 4) Notifications.

### 4.3.1 Settlement Instructions

The Settlement Instructions section shows a summary of allocations received and Settlement Instructions statuses. By clicking on a Settlement Instruction status related fields (Allocations Received is not included), the application automatically jumps to the Settlement Instruction List View and highlights the quick filter result displayed on the Dashboard.

Section Sub-header	Description
Allocation Received	Shows the number of all matched allocations or matched cancelled allocations from CTM that passed business validation on current HKT business day which is the same as the creation date.
Processing	<p>Shows the total number of all Settlement Instructions pending approval or being rejected (please see below for list of Synapse rejection reasons) such that Settlement Instructions have not yet been submitted to CCASS, i.e., no CCASS Input Number has been received yet, on current HKT business day and within the past 31 calendar days.</p> <p>Transactions with the following Synapse status are included into that counter:</p> <ul style="list-style-type: none"> <li>• RJGC – rejected by Global Custodian – transaction is rejected by Global Custodian</li> <li>• RJLC – rejected by Local Custodian – transaction is rejected by Local Custodian</li> <li>• RJCP – rejected by Clearing Participant – transaction is rejected by Clearing Participant</li> <li>• RJCE – rejected by CCASS – transaction is rejected by CCASS as it carries information not recognized by CCASS, or due to system error.</li> </ul> <p>Note: If the SCV is with Synapse status = CTHP (Cancelled By Third Party) but with no CCASS status (i.e., the SN is cancelled before being approved by GC/LC/CP (before directed to CCASS)), it will show as "Processing" in the list view instead of "Cancelled". If such SCV is subsequently being approved by GC/ LC / CP then Synapse will send to CCASS and the unmatched / matched / settled counter will also be updated subsequently. Please refer to Section 7.5 for different CCASS</p>

	status.
Unmatched	<p>Shows the total number of Settlement Instructions (SI) with CCASS status “Unmatched” on current HKT business day and within the past 31 calendar days.</p> <p>Transactions with the following CCASS status are included into that counter:</p> <ul style="list-style-type: none"> <li>• NCRR – settlement currency unmatched</li> <li>• DSEC – stock code/ISIN unmatched</li> <li>• DQUA – quantity unmatched</li> <li>• CMIS – no possible matching SI found</li> <li>• OTHR – other</li> <li>• FRAP – payment instruction unmatched</li> <li>• PODU – possible matching SI but not earmarked as pairs</li> <li>• SAFE – client A/C no. unmatched</li> <li>• DMON – money value unmatched</li> <li>• DDAT – settlement date unmatched</li> <li>• DELN – transaction direction unmatched</li> </ul>
Matched	<p>Shows the total number of Settlement Instructions (SI and STI) with CCASS Status “Matched” on current HKT business day and within the past 31 calendar days.</p> <p>The CCASS statuses supported by Synapse are:</p> <ul style="list-style-type: none"> <li>• MTCH – matched</li> <li>• CYCL – matched – payment validated</li> <li>• CVAL – matched – RDP shares on hold</li> <li>• PREA – matched – matched on hold or counterparty instruction on hold</li> <li>• CAIS – pending for transfer (STI only)</li> </ul>
Settled	<p>Shows the total number of Settlement Instructions (SI and STI) with CCASS Status “Settled” for SI or “Transferred” for STI on current HKT business day. If the settlement instruction settled on current HKT business day is not created today (e.g. created previously on T-1), the “Settled” counter will not be reflected.</p> <p>The CCASS statuses supported by Synapse are:</p> <ul style="list-style-type: none"> <li>• SETD – settled</li> </ul>
Cancelled	<p>Shows the total number of all cancelled transaction of SI and STI (all end of lifecycle statuses) on current HKT business day which is the same as the creation date. Cancelled SI / STI before approval will not be</p>

	<p>reflected.</p> <p>The CCASS statuses supported by Synapse are:</p> <ul style="list-style-type: none"><li>• CSUB – cancelled – revoked SI by counterparty</li><li>• CANS – cancelled – SI/STI purged</li><li>• CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li></ul>
--	--

### 4.3.2 Fund Profiles (available to buy side users only)

The Fund Profiles section shows a summary of Fund onboarding's statuses.

Section Sub-header	Description
New Fund Quick Button	Navigate to New Fund creation page
Fund Profile Status	<p><u>AM View</u></p> <ul style="list-style-type: none"> <li>• Awaiting AM Data Manager Input Authorise User Approval – the count represents the number of funds that are pending AM Data Manager Input Authorise User approval</li> <li>• Awaiting GC Approval – the count represents the number of funds that are pending GC approval</li> <li>• Awaiting LC Approval – the count represents the number of funds that are pending LC approval</li> </ul> <p><u>GC View</u></p> <ul style="list-style-type: none"> <li>• Awaiting GC Data Manager Input Only User Approval – the count represents the number of funds that are pending GC Data Manager Input Only User approval</li> <li>• Awaiting GC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending GC Data Manager Input Authorise User approval</li> <li>• Awaiting LC Approval – the count represents the number of funds that are pending LC approval</li> </ul> <p><u>LC View</u></p> <ul style="list-style-type: none"> <li>• Awaiting LC Data Manager Input Only User Approval – the count represents the number of funds that are pending LC Data Manager Input Only User approval</li> <li>• Awaiting LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User approval</li> </ul>

### 4.3.3 Accounts (available to sell side users only)

The Accounts Profiles section shows a summary of Accounts' statuses.

Section Sub-header	Description
New Account Quick Button	Navigate to New Account creation page
Account Status	<p><u>EP View</u></p> <ul style="list-style-type: none"> <li>• Awaiting EP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending EP Data Manager Input Authorise User approval</li> <li>• Awaiting CP Approval – the count represents the number of accounts that are pending CP approval</li> </ul> <p><u>CP View</u></p> <ul style="list-style-type: none"> <li>• Awaiting CP Data Manager Input Only User Approval – the count represents the number of accounts that are pending CP Data Manager Input Only User approval</li> <li>• Awaiting CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval</li> </ul>

### 4.3.4 Notifications

The Notifications section shows a summary of notifications. Notifications are shown according to the pop-up sequence and the red dot on the left-hand side indicated new notifications not yet read by users. Notifications will be removed 14 calendar days following the effective date of the events.

Section Sub-header	Description
Funds	<p>(available to buy side users only)</p> <p>Fund notifications include:</p> <ul style="list-style-type: none"> <li>• Updated fund status and effective date <ul style="list-style-type: none"> <li>➢ Fund profile inactivation and effective date</li> <li>➢ LC re-appointment of a Fund and effective date</li> </ul> </li> </ul>
Accounts	<p>(available to sell side users only)</p> <p>Account notifications include:</p> <ul style="list-style-type: none"> <li>• EP updated account mapping status with CP and effective date</li> <li>• Account mapping inactivation and effective date</li> </ul>
Relationships	Reserved for future's use
Settlement Instructions	<p>Settlement Instructions notifications include:</p> <ul style="list-style-type: none"> <li>• Settlement Instruction detail is updated due to Corporate Action (CA) conversion in CCASS</li> </ul>

	<ul style="list-style-type: none"> <li>Settlement Instruction is pending cancellation</li> <li>Settlement Instruction is settled in CCASS, and no cancellation can be taken</li> </ul>
CCASS Exceptions (LC, CP, AO only)	<p>CCASS Exception notifications include:</p> <ul style="list-style-type: none"> <li>SI system error</li> <li>STI system error</li> <li>Manual SI field amendment by LC / CP in CCASS. <ul style="list-style-type: none"> <li>➤ Manual ISIN amendment</li> <li>➤ Manual quantity amendment</li> <li>➤ Manual settlement currency amendment</li> <li>➤ Manual securities movement type amendment</li> <li>➤ Manual UTI amendment</li> <li>➤ Manual counterparty amendment</li> <li>➤ Manual client account no. amendment</li> <li>➤ Manual payment type amendment</li> </ul> </li> </ul> <p>Please note Synapse will continue to update and reflect the status of the amended SI (but will not show the updated value of the fields). Manual amendment notifications will also be created under the following scenarios that are not related to the amendment of SI fields in CCASS:</p> <ol style="list-style-type: none"> <li>Field "97A SAFE" in the BUYR/SELL Block of the Sell-side SN prepared by EP exceed 15 characters (Limitation of CCASS for Client Account Number)</li> <li>CA conversion causing possible ISIN / quantity change of the SI</li> </ol>

**List of Notifications:**

Type	No	Display Tag	When Display	Applicable User Type
Funds	1	[AM] updated fund status of [FUND NAME]. Effective on [EFFECTIVE DATE].	After AM/ AMO Checker approves the fund status amendment.	AM, AMOO, GC, LC
	2	Fund profile inactivation will be effective on [EFFECTIVE DATE].	One business day before the effective date of a fund profile inactivation.	AM, AMOO, GC, LC
	3	LC re-appointment of [FUND NAME] is completed. Effective	After LC Checker approves the amended fund profile.	GC, LC

Type	No	Display Tag	When Display	Applicable User Type
		on [EFFECTIVE DATE].		
Accounts	1	[EP] updated account mapping status with [CP]. Effective on [EFFECTIVE DATE].	After EP/EPOO Checker approves the account mapping status.	EP, EPOO, CP, AO
	2	Account mapping inactivation will be effective on [EFFECTIVE DATE].	One business day before the effective date of the account mapping inactivation with [CP].	EP, EPOO, CP, AO
SIs	1	SI detail (Trade ID: XXXXXXXXXXXXXXXX ) is updated due to CA conversion in CCASS	After SI detail is updated due to CA conversion in CCASS at EOD.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
	2	Settlement Instruction (Trade ID: XXXXXXXXXXXXXXXX XXXXXX) is pending cancellation	After Synapse consumed the cancellation SN from CTM.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
	3	Settlement Instruction (Trade ID: XXXXXXXXXXXXXXXX XXXXXX) is settled in CCASS and no cancellation can be taken.	After Synapse checked the settlement status of this Settlement Instruction in CCASS and confirmed that the instruction is settled and no cancellation can be taken.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
CCASS Exceptions	1	Manual ISIN Amendment: [SI Number]	After the LC / CP amended the stock code of the unmatched / matched SI in CCASS.	LC, CP, AO
	2	Manual Quantity Amendment: [SI Number]	After the LC / CP amended the quantity of the unmatched / matched SI in CCASS.	LC, CP, AO
	3	Manual Settlement Currency	After the LC / CP amended the settlement currency of the	LC, CP, AO

Type	No	Display Tag	When Display	Applicable User Type
		Amendment: [SI Number]	unmatched / matched SI in CCASS.	
	4	Manual Securities Movement Type Amendment: [SI Number]	After the LC / CP amended the instruction type of the unmatched / matched SI in CCASS.	LC, CP, AO
	5	Manual UTI Amendment: [SI Number]	After the LC / CP amended the processing reference of the unmatched / matched SI in CCASS.	LC, CP, AO
	6	Manual Counterparty Amendment: [SI Number]	After the LC / CP amended the counterparty of the unmatched / matched SI in CCASS.	LC, CP, AO
	7	Manual Client Account No. Amendment: [SI Number]	After the LC / CP amended the client account number of the unmatched / matched SI in CCASS.	LC, CP, AO
	8	Manual Payment Type Amendment: [SI Number]	After the LC / CP amended the payment instruction of the unmatched / matched SI in CCASS.	LC, CP, AO
	9	SI System Error "Code" + "MESSAGE" : [SI Number]	When the following CCASS API error code is encountered:  2037: Counterparty invalid (cannot be the same participant as the created one)  2042: Settlement date must be before the delisted date of the stock  2044: Stock already delisted  2072: Settlement date must be on / after clearing admission date of stock	LC, CP, AO

Type	No	Display Tag	When Display	Applicable User Type
			2090: Stock is not eligible to CCASS (Stock not yet admit) 3017: Counterparty not found 3041: Stock code not found 3063: Stock account not found  Above just list out the most common CCASS API error code, please contact HKEX separately if you encounter any codes not within the above list	
	10	STI System Error "Code" + "MESSAGE" : [STI Number]	When the following CCASS API error code is encountered: 3041: Stock code not found 3072: Transfer from A/C not found 3073: Transfer to A/C not found  Above just list out the most common CCASS API error code, please contact HKEX separately if you encounter any codes not within the above list	LC, CP, AO

## 5. Funds

### 5.1 Fund Onboarding

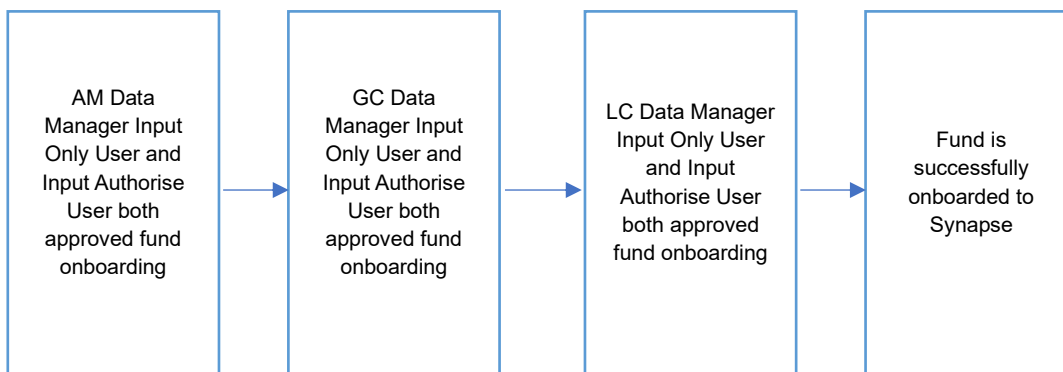
Fund Profile is required to be setup before Synapse creates the Settlement Instructions (“SIs”) or Stock Segregated Account Transfer Instruction (“STIs”) in CCASS of HKSCC. When a Fund is successfully onboarded, it will have one fund profile associated with it, and buy side users can create multiple Fund Profiles for a specific Fund onboarded in Synapse subject to its business needs.

To create a new Fund, AMs can start the self-service Fund onboarding process to onboard a single or multiple fund(s) by creating Fund Details and Fund Profile so Synapse can use it for creating the SIs or STIs in CCASS.

A Fund will be successfully onboarded when the AM, GC and LC have approved the fund submission. Each successfully onboarded fund automatically includes one fund profile. AMs can add additional fund profiles to each fund as needed.

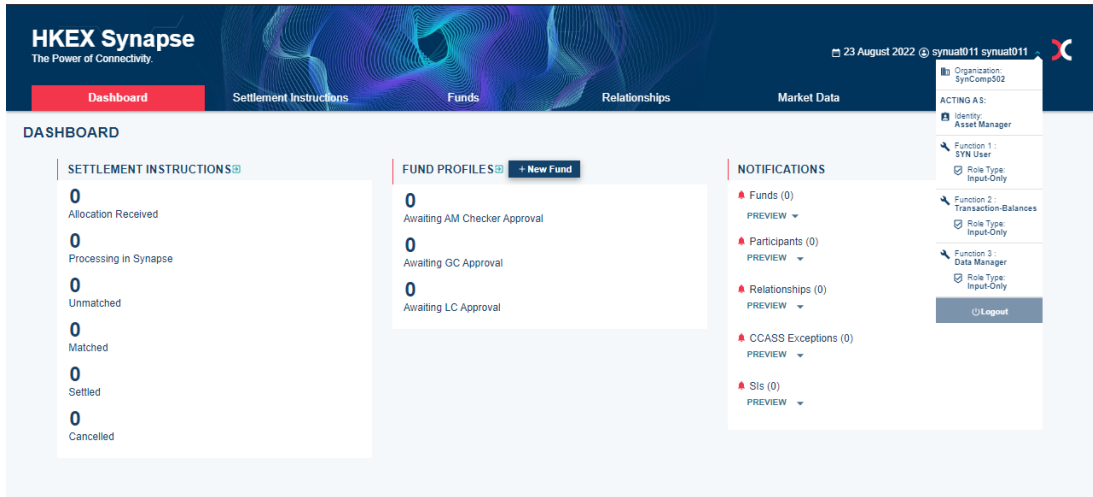
#### 5.1.1 Asset Managers (AM)

**Approval by AM Data Manager Input Only User;  
Approval by AM Data Manager Input Authorise User:**

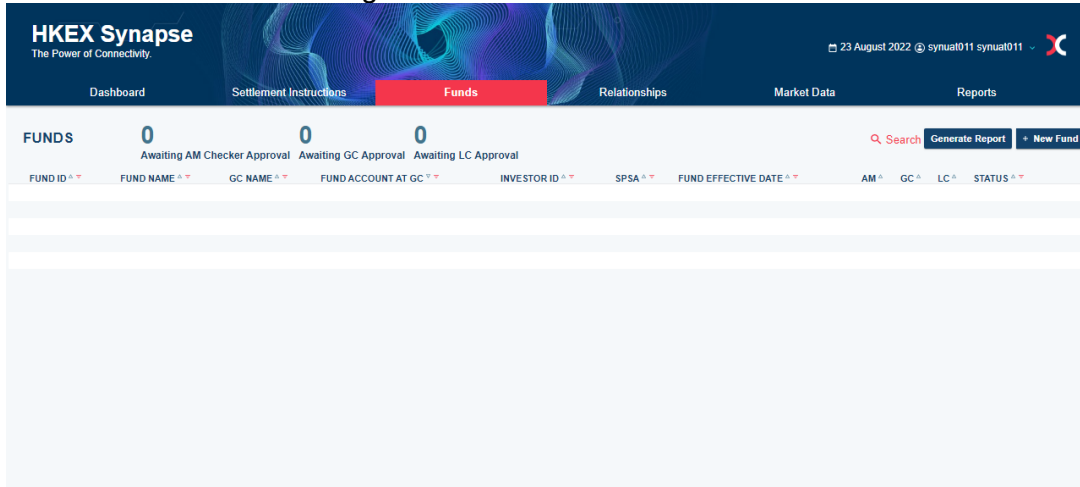


**Approval by AM Data Manager Input Only User:**

1. The AM Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.



2. On the Funds tab, the AM Data Manager Input Only User can see the Funds list view and can create a Fund using the “+ New Fund” button.



3. The AM Data Manager Input Only User will be asked to provide the Initial Fund Onboarding details. There will be 2 screens of information to submit. Then the AM Data Manager Input Only User will click “Submit”.

New Fund Cancel Next

Step 1/2 — Please provide the following Fund Information:

**FUND DETAILS**

* Fund Name :	Fidelity Asia Fund 2679
Fund LEI :	549300N66LYETIGSH369
Fund Umbrella :	Fidelity Global Fund
Fund Domicile :	HK
* Fund ID :	342679
Fund Alternate ID :	342668

**DEFAULT SETTLEMENT MODE :**

New Fund Cancel Next

Fund Domicile :	HK
* Fund ID :	342679
Fund Alternate ID :	342668

**DEFAULT SETTLEMENT MODE :**

* Settlement Mode - Buy Trade :	DVP
* Settlement Mode - Sell Trade :	FOP

**FUND PROFILE PROCESSING DETAILS :**

* Fund Effective Date :	2021-06-06
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New Fund Cancel Back Submit

Step 2/2 — Please provide the following information to create the fund's first Fund Profile:

**GLOBAL CUSTODIAN DETAILS:**

* GC BIC :	FVCGB21XXX
* Fund Account at GC :	9004859
GC Name :	SynComp511
GC LEI :	222200N66LBBAAGSH888
GC DN :	cn=invfunds.ou=00a.o=oreschzz

**LOCAL CUSTODIAN DETAILS:**

* Investor ID :	000000
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23 August 2022 | synua011 synua011

New Fund Cancel Back Submit

GC DN : cn=invfunds,ou=80a,o=creschzz

**LOCAL CUSTODIAN DETAILS:**

\* Investor ID : 300013

SPSA : 80000001

LC Name : SynComp521

LC CCASS ID : C00016

LC LEI : 621344ABC32JRTFGR421

LC BIC : JMPPM155XXX

LC DN : cn=invfunds,ou=80a,o=creschzz

Note: The fund to be onboarded must not exist in Synapse in which semantic validation will be performed in specific fields that are marked as “Y” in the Contract Key column of the below table, otherwise the following error message will be shown when clicking “Submit”. This is to ensure no duplicate fund can be created.

New Fund Cancel Back Submit

▲The record already exist.

Step 2/2 — Please provide the following information to create the fund's first Fund Profile:

**GLOBAL CUSTODIAN DETAILS:**

\* GC BIC : FIVCGB21XXX

\* Fund Account at GC : 542654

GC Name : SynComp511

GC LEI : 222200N66LBBAAAGSH888

GC DN : cn=invfunds,ou=80a,o=creschzz

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
Fund Name	The Legal Entity name of the Fund	String	70	M	N/A	Y – For Fund Data
Fund LEI	Legal Entity Identifier for the Fund	String	20	O	N/A	N
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	O	Max 50 characters	N
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1-alpha-2 code	String	2	O	2 characters	N

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	M	N/A	Y – For Fund Data
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	O	N/A	N
Fund Account at GC	Account No. for Fund at GC	String	20	M	N/A	Y – For Fund Profile
Global Custodian BIC	BIC Code of GC. AM can only select a GC that has been onboarded	String	11	M	Min 8 characters; max 11 characters	N
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	M	3 characters	N
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	M	3 characters	N
Fund Effective Date	The date from which the fund is active on the system. The date input must be a future date  Note: Actual Fund effective date depends on when the LC completes the fund's approval	Date	10	M	YYYY-MM-DD	N
Investor ID	Investor ID for the Fund. The field is a unique number assigned to each SPSA account by HKEX  Note: Synapse will populate the following fields based on the Investor ID: <ul style="list-style-type: none"> <li>SPSA Account #</li> </ul>	String	6	M	N/A	N

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
	<ul style="list-style-type: none"> <li>LC Name</li> <li>LC CCASS Participant ID</li> <li>LC LEI</li> <li>LC BIC</li> <li>LC DN</li> </ul> <p>Note: Investor ID is also known as "SPSA ID" in CCASS Rules</p>					

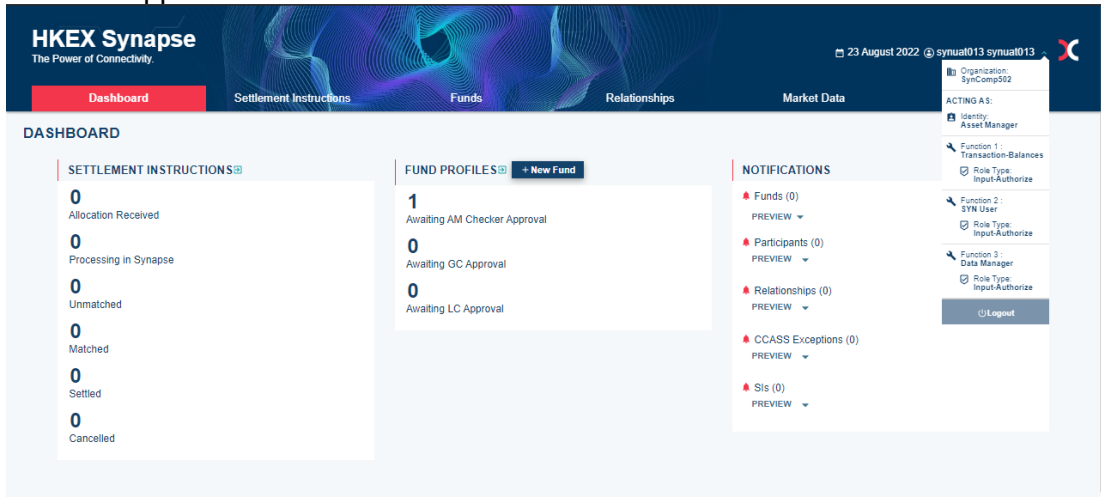
\*Note: Fields that are "Y" for the Contract Key column would be required for semantic validation. Synapse validates if the Contract Key value entered is not existing in Synapse onboarded fund, and the Contract Key fields would not be editable after submission (please refer to section 2.6 Edit Fund Details of an Active Fund for the fund edit descriptions). If there is more than one contract key field, the validation would be performed as a combination, i.e.:

- For Fund Data, the combination of Contract Keys (i.e. Fund Name + Fund ID) must not exist in the onboarded fund; and
  - For Fund Profile (Refer to Section 5.2), the Contract Key (i.e. Account No. for Fund at Global Custodian) must not exist in the onboarded fund profile.
4. Once the AM Data Manager Input Only User submits the Initial Fund Onboarding details, then the AM Data Manager Input Only User will be brought back to the Funds List view. Under the AM column, the 'O' represents that the AM Data Manager Input Only User has submitted the input and that it is pending the AM Data Manager Input Authorise User to approve.

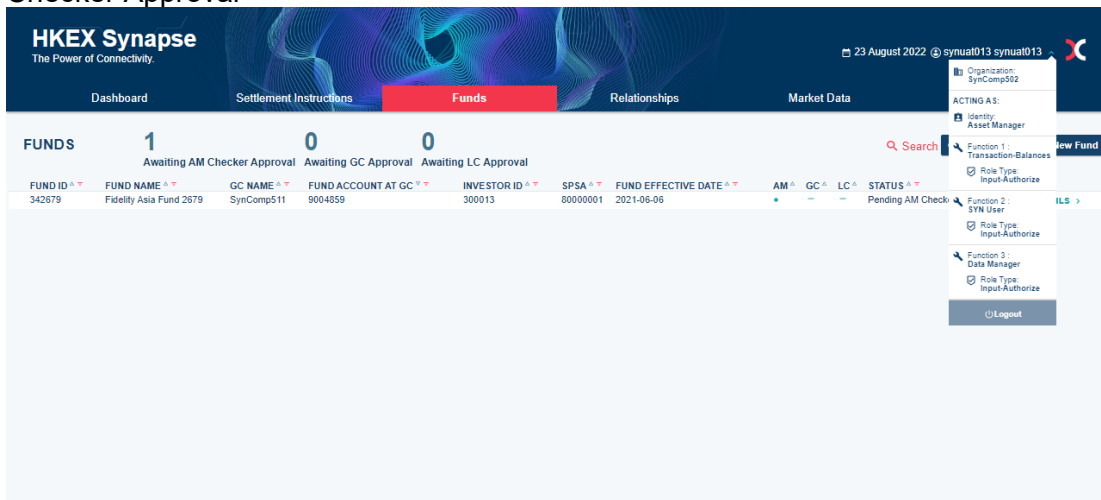
FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS
342679	Fidelity Asia Fund 2679	SynComp511	9004859	300013	80000001	2021-06-06	Pending AM Checker Approval	-	-	

5. The AM Data Manager Input Authorise User will be informed in two ways:

- a. Dashboard view: increased counter in the Fund Profiles section under “Awaiting AM Checker Approval”



- b. Funds List view: increased counter under “Awaiting AM Checker Approval”, changed icon from ‘—’ to ‘O’ in the AM column, and changed status to “Pending AM Checker Approval”



### Approval by AM Data Manager Input Authorise User:

1. The AM Data Manager Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. Once the AM Data Manager Input Only User has submitted the Initial Fund Onboarding details, the AM Data Manager Input Authorise User will be informed in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under “Awaiting AM Checker Approval”
  - b. Funds List view: increased counter under “Awaiting AM Checker Approval”, changed icon from ‘—’ to ‘O’ in the AM column, and changed status to “Pending AM Checker Approval”
3. The AM Data Manager Input Authorise User can navigate to the Fund Details view by clicking “Details” on the Funds List view.

- The AM Data Manager Input Authorise User can review the fund details and click “Approve”.

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23 August 2022 3 synuat013 synuat013

Initial Onboarding Details: FUND ID 342679

Onboarding Status:  
 AM Maker: Approved ✓    **▲ AM Checker: Pending Approval ...**    GC: Pending ...    LC: Pending ...    Status: Inactive

**FUND DETAILS**

<b>FUND DETAILS:</b>	
Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAAGSH888
GC BIC:	FIVGGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPM55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz
SPSA:	80000001

- The fund is now created for GC processing, and the status of AM Data Manager Input Authorise User will be shown as “Approved.” The fund will automatically have one initial fund profile associated with it.

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23 August 2022 3 synuat013 synuat013

Initial Onboarding Details: FUND ID 342679

Onboarding Status:  
 AM Maker: Approved ✓    **AM Checker: Approved ✓**    GC: Pending ...    LC: Pending ...    Status: Inactive

**FUND DETAILS**

<b>FUND DETAILS:</b>	
Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAAGSH888
GC BIC:	FIVGGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPM55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz
SPSA:	80000001

- The GC Data Manager Input Only User will be informed that a fund onboarding is ready for their review in two ways:
  - Dashboard view: increased counter in the Fund Profiles section under “Awaiting GC Maker Approval”
  - Funds List view: increased counter under “Awaiting GC Maker Approval”, Funds List view changed icon from ‘O’ to ‘✓’ in the AM column, and changed status to “AM Approved”

### Rejection by AM Data Manager Input Authorise User:

- When the AM Data Manager Input Authorise User wants to reject the fund details, they

must click “Reject”. A text box appears for the AM Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.

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Initial Onboarding Details: FUND ID 553182

Onboarding Status:  
AM Maker: Approved ✓

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	DVP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-05
----------------------	------------

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LBBAAGSH889
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMU55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz
SPSA:	80000001

Status: Inactive

2. Then the AM Data Manager Input Authorise User must provide the rejection reasons by clicking “Submit” and then reject the fund details by clicking “Reject”.

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Initial Onboarding Details: FUND ID 553182

Onboarding Status:  
AM Maker: Approved ✓

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	DVP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-05
----------------------	------------

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LBBAAGSH889
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMU55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz
SPSA:	80000001

Status: Inactive

**FUND ONBOARDING REJECTION:**  
Please provide a comment below:

Comment

Cancel Submit

**HKEX Synapse**  
The Power of Connectivity.

Initial Onboarding Details: FUND ID 553182

Onboarding Status:  
AM Maker: Approved ✓

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	DVP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-05
----------------------	------------

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LBBAAGSH889
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMU55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz
SPSA:	80000001

Status: Inactive

**FUND ONBOARDING REJECTION:**  
Please provide a comment below:

Reason to reject

Cancel Submit

3. The AM Data Manager Input Only User will be informed that the AM Data Manager Input Authorise User has rejected the fund details in one way:
  - a. Funds List view: changed icon from 'O' to '—' in the AM column on the Funds List view and changed status to "AM Checker Rejected"

FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS
555555	Fidelity Asia Fund	SynComp511	552194	600002	8000002	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546272	600002	8000001	2021-06-05	—	—	—	Pending AM Checker Approval
555555	Fidelity Asia Fund	SynComp511	546271	300013	8000001	2021-06-05	—	—	—	Active
555555	Fidelity Asia Fund	SynComp511	546270	300013	8000001	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546270	300013	8000001	2021-06-05	✓	—	—	LC Maker Approved
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	8000001	2021-06-05	—	—	—	AM Checker Rejected
553181	Fidelity Asia Fund 3181	SynComp511	543181	300013	8000001	2021-06-05	—	—	—	Pending AM Checker Approval
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	8000001	2021-06-05	—	—	—	Pending AM Checker Approval
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	8000001	2021-06-05	✓	—	—	Active
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	8000001	2021-06-05	✓	—	—	AM Approved
555555	Fidelity Asia Fund	SynComp511	542194	300013	8000001	2021-06-05	✓	✓	✓	Active
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	8000001	2021-06-05	✓	✓	✓	Active
552014	Fidelity Asia Fund	SynComp511	542014	300013	8000001	2021-06-05	✓	✓	✓	Active

4. The AM Data Manager Input Only User can navigate to the Fund Details view by clicking "Details" on the Funds List view.

**Onboarding Status:**  
 ▲ AM Maker: Pending Amendment ... AM Checker: Rejected ● GC: Pending ... LC: Pending ... Status: Inactive

**FUND DETAILS:**

Fund Name: Fidelity Asia Fund 3182  
 Fund LEI: 549300N66LYETIGSH359  
 Fund Umbrella: Fidelity Global Fund  
 Fund Domicile: HK  
 Fund ID: 553182  
 Fund Alternative ID (Optional): 777777

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade: DVP  
 Settlement Mode - Sell Trade: DVP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date: 2021-06-05

**FUND PROFILE 1 DETAILS:**

**GLOBAL CUSTODIAN DETAILS:**

GC Name: SynComp511  
 Fund Account at GC: 543182  
 GC LEI: 222200N66LBBAAQSH809  
 GC BIC: FVFCB21XXX  
 GC DN: cn=inifunds,ou=90a,o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 300013  
 LC Name: SynComp521  
 LC CLASS ID: C00016  
 LC LEI: 621344ABC32JRTFR9421  
 LC BIC: JMPPM55XXX  
 LC DN: cn=inifunds,ou=90a,o=creschzz  
 SPSA: 80000001

5. The fund has been rejected by the AM Data Manager Input Authorise User, and the AM Data Manager Input Only User can click "Edit" to edit specific fields based on the AM Data Manager Input Authorise User's comments for re-submission.

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Initial Onboarding Details: FUND ID 553182 [Back to Fund List](#)

Onboarding Status: ▲ AM Maker: Pending Amendment ... AM Checker: Rejected ● GC: Pending ... LC: Pending ... Status: Inactive [Details Fund Creation](#)

**FUND DETAILS**

FUND DETAILS:

Fund Name: Fidelity Asia  
Fund LEI: 549300N66LYE  
Fund Umbrella: Fidelity Global Fund  
Fund Domicile: HK  
Fund ID: 553182  
Fund Alternative ID (Optional): 777777

Comment:  
Reason to reject

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade: DVP  
Settlement Mode - Sell Trade: DVP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date: 2021-06-05

**FUND PROFILE 1 DETAILS** [Edit](#)

**GLOBAL CUSTODIAN DETAILS:**

GC Name: SynComp511  
Fund Account at GC: 543182  
GC LEI: 222200N66LBAAQSH889  
GC BIC: FIVCGB21XXX  
GC DN: cn=invfunds,ou=80a,o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC32JRTFGR421  
LC BIC: JMPPMJ55XXX  
LC DN: cn=invfunds,ou=80a,o=creschzz  
SPSA: 80000001

6. After editing specific fields, the AM Data Manager Input Only User can re-submit the fund for the AM Data Manager Input Authorise User's review by clicking "Submit".

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Initial Onboarding Details: FUND ID 553182 [Cancel](#) [Next](#)

Fund Domicile :

\* Fund ID :

Fund Alternate ID :

**DEFAULT SETTLEMENT MODE :**

\* Settlement Mode - Buy Trade :

\* Settlement Mode - Sell Trade :

**FUND PROFILE PROCESSING DETAILS :**

\* Fund Effective Date :

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Initial Onboarding Details: FUND ID 553182 [Cancel](#) [Back](#) [Submit](#)

Step 2/2 — Please provide the following information to create the fund's first Fund Profile:

**GLOBAL CUSTODIAN DETAILS:**

\* GC BIC :

\* Fund Account at GC :

GC Name : SynComp511

GC LEI : 222200N66LBAAQSH889

GC DN : cn=invfunds,ou=80a,o=creschzz

**LOCAL CUSTODIAN DETAILS:**

\* Investor ID : 300013

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Initial Onboarding Details: FUND ID 553182 [Back to Fund List](#)

Onboarding Status:  
 AM Maker: Approved ✓      AM Checker: Pending Approval ...      GC: Pending ...      LC: Pending ...      Status: inactive

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-05
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LBBAAASH889
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=00a.o=creschzz

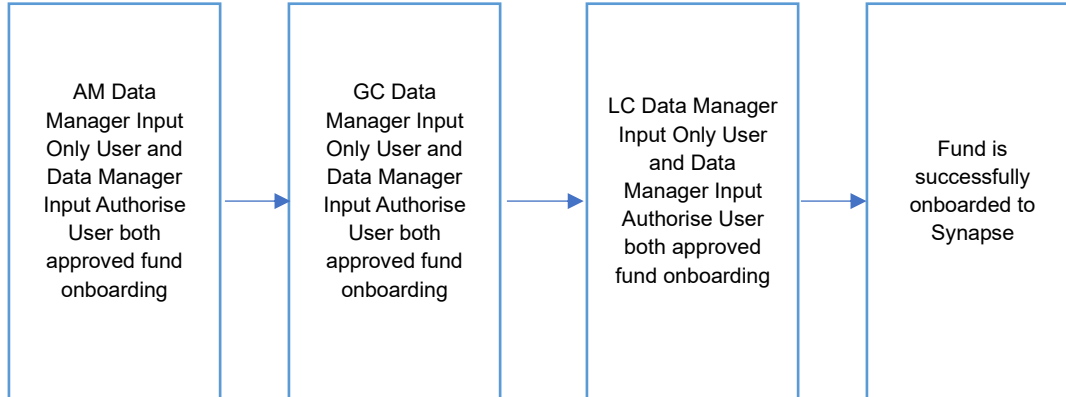
**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPM355XXX
LC DN:	cn=invfunds.ou=00a.o=creschzz
SPSA:	90000001

- The AM Data Manager Input Authorise User can confirm that the updated fields re-submitted by AM Data Manager Input Only User by looking at the Fund Details view and “Approve”.

### 5.1.2 Global Custodians (GC)

#### Approval by GC Data Manager Input Only User; Approval by GC Data Manager Input Authorise User:



#### Approval by GC Data Manager Input Only User:

- The GC Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The GC Data Manager Input Only User will be informed that the AM has successfully submitted a fund in two ways:
  - Dashboard view: increased counter in Fund Profiles section under “Awaiting GC Maker Approval”

- b. Funds List view: increased counter under “Awaiting GC Maker Approval”, changed icon from ‘—’ to ‘✓’ in the AM column, a ‘—’ icon in the GC column, and a changed status to “AM Approved”
3. The GC Data Manager Input Only User can navigate to the Fund Details view by clicking “Details” on the Funds List view.
4. On the GC Data Manager Input Only User’s Fund Details page view, they must enter the “GC’s Account at LC” field before hitting “Submit for Approval”.

**Onboarding Status:**

AM: Approved ✓ GC Maker: Approved ✓ ▲ GC Checker: Pending Approval ... LC: Pending ... Status: Inactive

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LEYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342688

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FGP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	9004959
GC LEI:	222200H66LBBAAASH689
GC BIC:	FIVCG821XXX
GC DN:	cn=invfunds.ou=09a.o=creschzz
GC's Account at LC:	752194

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPM55XXX
LC DN:	cn=invfunds.ou=09a.o=creschzz

Fields inputted by AM for GC's reference:

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund Profile Onboarding Status	Indicates the current status of the Fund Profile Onboarding Workflow	String	20	N/A	N/A
Fund Name	The Legal Entity name of the Fund	String	70	N/A	N/A
Fund LEI	Legal Entity Identifier for the Fund	String	20	N/A	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	N/A	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1-alpha-2 code	String	2	N/A	2 characters
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	N/A	3 characters
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	N/A	3 characters
Fund Effective Date	The date from which the fund is active on the system.  Note: An indicative date will be input by the AM, and the actual Fund effective date depends on when the LC completes the fund's approval	Date	20	N/A	YYYY-MM-DD
Global Custodian Name	The Legal Entity name of the GC	String	70	N/A	N/A
Fund Account at Global Custodian	Account No. for Fund at GC	String	20	N/A	N/A
Global Custodian LEI	Legal Entity Identifier for GC	String	20	N/A	N/A
Global Custodian BIC	BIC Code for GC	String	11	N/A	N/A
Global Custodian DN	DN Code for GC	String	52	N/A	Min 8 characters

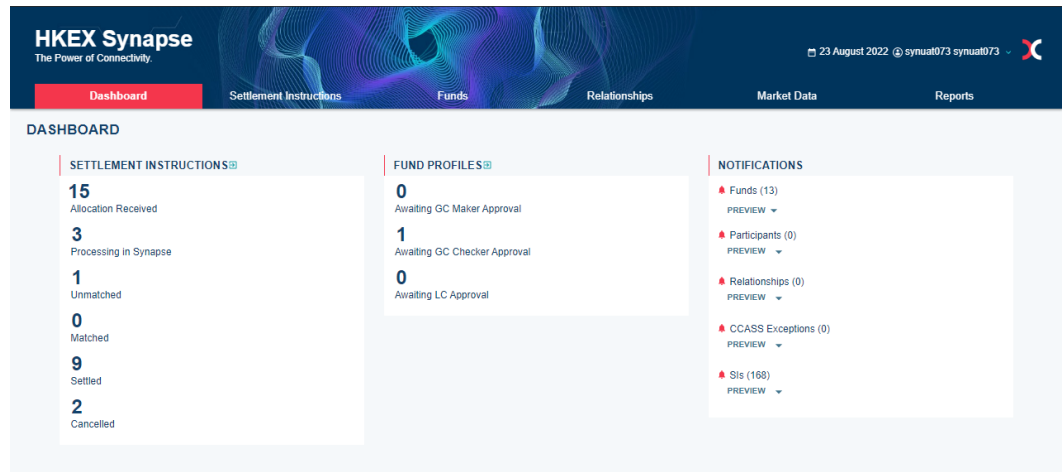
Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
Local Custodian Name	The Legal Entity name of LC	String	70	N/A	N/A
Local Custodian CCASS Participant ID	CCASS Participant ID of LC	String	6	N/A	6 characters
Local Custodian LEI	Legal Entity Identifier for LC	String	20	N/A	N/A
Local Custodian BIC	BIC Code for LC	String	11	N/A	N/A
Local Custodian DN	DN Code of LC	String	52	N/A	N/A
SPSA	SPSA Account No. for Investor ID	Integer	8	N/A	8 characters

**Field input by GC Data Manager Input Only User**

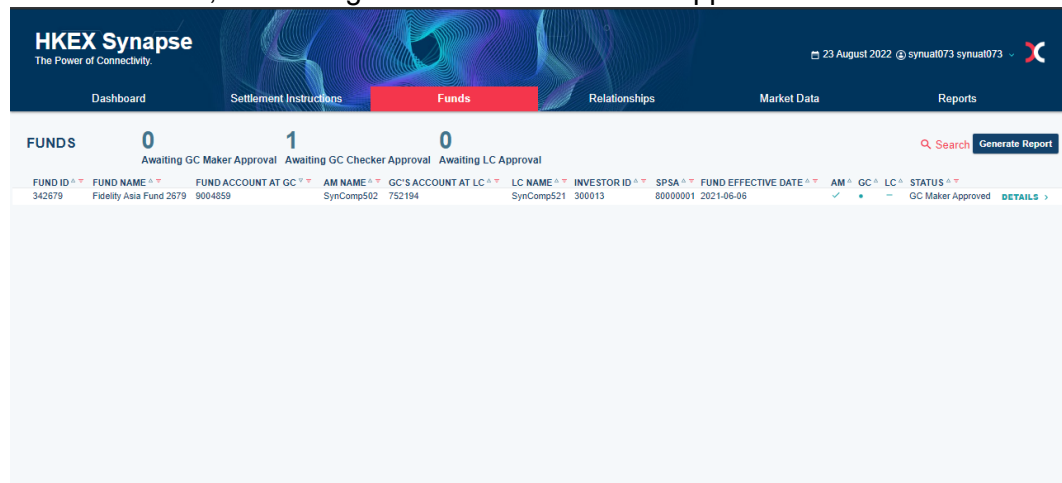
Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
GC's Account at LC	GC Account No. at LC for the Fund of the trade	String	15	M	N/A

**Approval by GC Data Manager Input Authorise User:**

1. The GC Data Manager Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The GC Data Manager Input Authorise User will be informed that the GC Data Manager Input Only User has successfully added the "GC's Account at LC" field in two ways:
  - a. Dashboard view: increased counter in Fund Profiles section under "Awaiting GC Checker Approval"



- b. Funds List view: increased counter under “Awaiting GC Checker Approval”, changed icon from ‘—’ to ‘✓’ in the AM column, changed icon from ‘—’ to ‘O’ in the GC column, and changed status to “GC Maker Approved”



- The GC Data Manager Input Authorise User can navigate to the Fund Details view by clicking “Details” on the Funds List view.
- On the GC Data Manager Input Authorise User’s Fund Details page view, they can review the details and approve the fund by clicking the “Approve” button.

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The Power of Connectivity

23 August 2022 @ synuat073 synuat073

Initial Onboarding Details: FUND ID 342679 [Back to Fund List](#) [Reject](#) [Approve](#)

Onboarding Status:  
AM: Approved ✓ GC Maker: Approved ✓ ▲ GC Checker: Pending Approval ... LC: Pending ... Status: Inactive

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH888
GC BIC:	FIVCG821XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPM55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

5. After GC Data Manager Input Authorise User clicks “Approve” button:

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23 August 2022 @ synuat073 synuat073

Initial Onboarding Details: FUND ID 342679 [Back to Fund List](#)

Onboarding Status:  
AM: Approved ✓ GC Maker: Approved ✓ GC Checker: Approved ✓ LC: Pending ... Status: Inactive

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

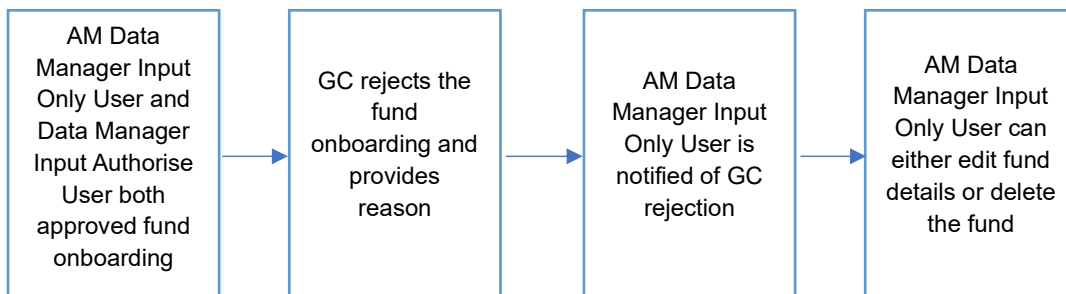
GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH888
GC BIC:	FIVCG821XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPM55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

**Rejection by GC Data Manager Input Only User;  
Rejection by GC Data Manager Input Authorise User Back to AM:**

For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the GC Data Manager Input Only User rejects the fund and the GC Data Manager Input Authorise User agrees with the GC Data Manager Input Only User’s rejection, the GC Data Manager Input Authorise User can reject back to the AM.



## Rejection by GC Data Manager Input Only User:

1. When the GC Data Manager Input Only User wants to reject the fund, they must click “Reject”. A text box appears for the GC Data Manager Input Only User to provide reason(s) for rejection in the form of freeform text.

**HKEX Synapse**  
The Power of Connectivity.

26 August 2022 @ synuat071 synuat071

Initial Onboarding Details: FUND ID 553182

Onboarding Status: AM: Approved ✓ **▲ GC Maker: Pending Submission ...** GC Checker: Pending ... LC: Pending ... Status: Inactive

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-05
----------------------	------------

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LBBAAAGSH889
GC BIC:	FIVCGB21XXX
GC DN:	cn=inifunds.ou=80a.o=creschzz

▲ GC's Account at LC: *To approve fund onboarding, provide the GC's account at the LC.*

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421

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The Power of Connectivity.

26 August 2022 @ synuat071 synuat071

Initial Onboarding Details: FUND ID 553182

Onboarding Status: AM: Approved ✓ **▲ GC Maker: Pending Submission ...** GC Checker: Pending ... LC: Pending ... Status: Inactive

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-05
----------------------	------------

**FUND ONBOARDING REJECTION:**

Please provide a comment below:

Change effective date

Cancel Submit

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LBBAAAGSH889
GC BIC:	FIVCGB21XXX
GC DN:	cn=inifunds.ou=80a.o=creschzz

▲ GC's Account at LC: *To approve fund onboarding, provide the GC's account at the LC.*

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421

2. Then the GC Data Manager Input Only User must provide the rejection reasons by clicking “Submit” and then reject the fund details by clicking “Reject”.

## Rejection by GC Data Manager Input Authorise User:

1. The GC Data Manager Input Authorise User receives a notification that the GC Data Manager Input Only User has rejected the fund via the Dashboard view or the Funds List view.

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26 August 2022 @ synuat073 synuat073

Dashboard Settlement Instructions **Funds** Relationships Market Data Reports

**FUNDS** 1 1 1  
Awaiting GC Maker Approval Awaiting GC Checker Approval Awaiting LC Approval

Q Search Generate Report

FUND ID	FUND NAME	FUND ACCOUNT AT GC	AM NAME	GC'S ACCOUNT AT LC	LC NAME	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	
555555	Fidelity Asia Fund	552194	SynComp501	752194	SynComp522	600002	80000002	2021-06-05	✓	✓	✓	Active	DETAILS >
555555	Fidelity Asia Fund	546272	SynComp501	762456	SynComp521	600002	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
555555	Fidelity Asia Fund	546270	SynComp501	123456789	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
555555	Fidelity Asia Fund	546270	SynComp501	762456	SynComp521	300013	80000001	2021-06-05	✓	✓	✗	LC Maker Approved	DETAILS >
553182	Fidelity Asia Fund 3182	543182	SynComp501		SynComp521	300013	80000001	2021-06-05	✓	✗	–	GC Maker Rejected	DETAILS >
553180	Fidelity Asia Fund 3100	543180	SynComp501		SynComp521	300013	80000001	2021-06-05	✓	–	–	AM Approved	DETAILS >
555555	Fidelity Asia Fund	542194	SynComp501	762194	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
552102	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
552014	Fidelity Asia Fund	542014	SynComp501	762014	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >

- On the Fund Details view, the GC Data Manager Input Authorise User clicks “Reject” and sees the “Reject back to Maker” and the “Reject back to AM” buttons. The “Approve” button is greyed out.

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26 August 2022 @ synuat073 synuat073

Initial Onboarding Details: FUND ID 553182

Back to Fund List Reject Approve

Onboarding Status:  
AM: Approved ✓ ▲ GC Maker: Rejected ✗ GC Checker: Pending ... LC: Pending ... Status: Inactive

Reject Back to Maker  
Reject Back To AM

**FUND DETAILS**

FUND DETAILS:

Fund Name: Fidelity Asia Fund 3182  
Fund LEI: 549300N68LYETIGSH359  
Fund Umbrella: Fidelity Global Fund  
Fund Domicile: HK  
Fund ID: 553182  
Fund Alternative ID (Optional): 777777

DEFAULT SETTLEMENT MODE:

Settlement Mode - Buy Trade: DVP  
Settlement Mode - Sell Trade: FOP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date: 2021-06-05

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name: SynComp511  
Fund Account at GC: 543182  
GC LEI: 222200N68LBAAAGSH889  
GC BIC: FIVCGB21XXX  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC:

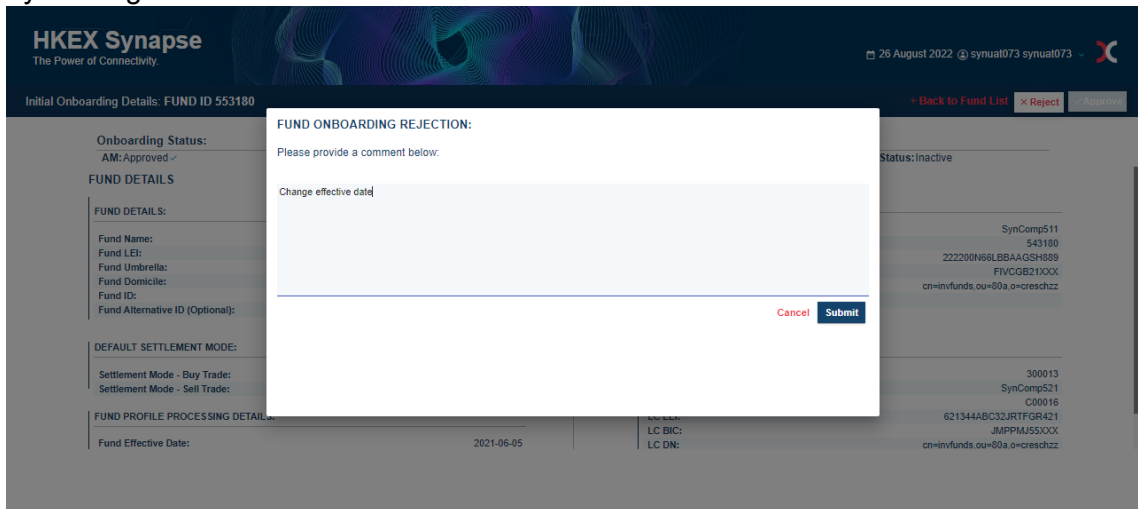
LOCAL CUSTODIAN DETAILS:

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC32JRTFGR421  
LC BIC: JMPPAU55XXX  
LC DN: cn=invfunds.ou=80a.o=creschzz

- The GC Data Manager Input Authorise will select “Reject Back to Maker” when the Input Authorise User disagrees with the Input Only User’s rejection.



- Then the GC Data Manager Input Authorise User must provide the rejection reason(s) by clicking “Submit”.



- Funds List view: increased counter under “Awaiting GC Maker Approval”, changed icon from ‘O’ to ‘—’ in the GC column, and changed status to “GC Checker Rejected”

### Approval by GC Data Manager Input Only User; Rejection by GC Data Manager Input Authorise User back to GC Data Manager Input Only User:

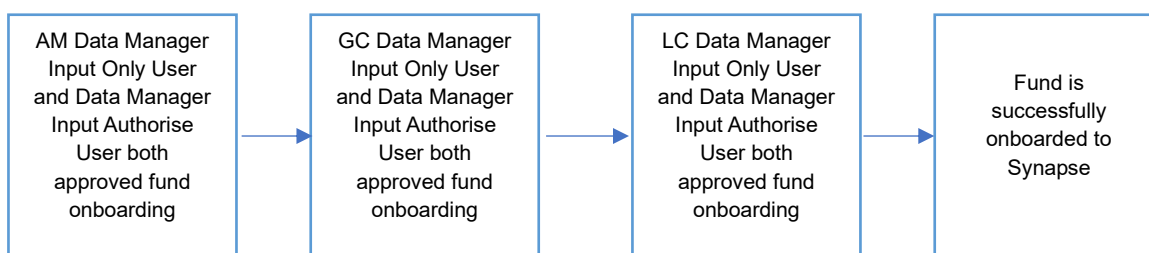
If the GC Data Manager Input Only User approves the fund and the GC Data Manager Input Authorise User disagrees with the GC Data Manager Input Only User’s approval/input, the GC Data Manager Input Authorise User must reject back to the GC Data Manager Input Only User. After that, the GC Data Manager Input Only User will need to either amend the GC’s Account at LC for re-approval by the GC Data Manager Input Authorise User or rejects the fund.

### Rejection by GC Data Manager Input Only User; Rejection by GC Data Manager Input Authorise User Back to GC Data Manager Input Only User:

If the GC Data Manager Input Only User rejects the fund and the GC Data Manager Input Authorise User disagrees with the GC Data Manager Input Only User's rejection, the GC Data Manager Input Authorise User must reject back to the GC Data Manager Input Only User. After that, the GC Data Manager Input Only User will need to restart the fund approval / rejection process again.

### 5.1.3 Local Custodians (LC)

#### Approval by LC Data Manager Input Only User; Approval by LC Data Manager Input Authorise User:



#### Approval by LC Data Manager Input Only User:

1. The LC Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The LC Data Manager Input Only User will be informed in two ways:
  - a. Dashboard view: increased counter in Fund Profiles section under "Awaiting LC Maker Approval"
  - b. Funds List view: increased counter under "Awaiting LC Maker Approval", changed icon from '—' to '✓' in the AM column, changed icon from '—' to '✓' in the GC column, and changed status to "GC Approved"
3. The LC Data Manager Input Only User can navigate to the Fund Details view by clicking "Details" on the Funds List view and see that the AM has successfully onboarded a fund that has been approved by the GC and can click through to the Fund Details page.
4. On the LC Data Manager Input Only User's Fund Details page view, they have to confirm the "GC's Account at LC" field before hitting "Submit For Approval".

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23 August 2022 @ synuat141 synuat141

Initial Onboarding Details: FUND ID 342679

[Back to Fund List](#)
[Reject](#)
[Submit For Approval](#)

**Onboarding Status:**  
 AM: Approved ✓ GC: Approved ✓ **LC Maker: Pending Submission ...** LC Checker: Pending ... Status: Inactive

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LVETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668
DEFAULT SETTLEMENT MODE:	
Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH888
GC BIC:	FIVGGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA SS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMJ55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

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23 August 2022 @ synuat141 synuat141

Initial Onboarding Details: FUND ID 342679

[Back to Fund List](#)

**Onboarding Status:**  
 AM: Approved ✓ GC: Approved ✓ LC Maker: Approved ✓ **LC Checker: Pending Approval ...** Status: Inactive

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LVETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668
DEFAULT SETTLEMENT MODE:	
Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH888
GC BIC:	FIVGGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA SS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMJ55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund Profile Onboarding Status	Indicates the current status of the Fund Profile Onboarding Workflow	String	20	N/A	N/A
Fund Name	The Legal Entity name of the Fund	String	70	N/A	N/A
Fund LEI	Legal Entity Identifier for the Fund	String	20	N/A	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	N/A	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1-alpha-2 code	String	2	N/A	2 characters
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g.,	String	20	N/A	N/A

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
	for integration into other systems				
Settlement Mode – Buy Trade	Default Settlement Mode for Fund	String	3	N/A	3 characters
Settlement Mode – Sell Trade	Default Settlement Mode for Fund	String	3	N/A	3 characters
Fund Effective date	The date from which the fund is active on the system  Note: An indicative date will be input by the AM, and the actual Fund effective date depends on when the LC completes the fund's approval	Date	20	N/A	YYYY-MM-DD
Global Custodian Name	The Legal Entity name of the Global Custodian	String	70	N/A	N/A
Fund Account at Global Custodian					N/A
Global Custodian LEI	Legal Entity Identifier for the Global Custodian	String	20	N/A	N/A
Global Custodian BIC	BIC Code for the Global Custodian	String	11	N/A	N/A
Global Custodian DN	DN Code representing the Global Custodian serving the fund	String	52	N/A	Min 8 characters
Global Custodian's Account at Local Custodian	Account No. for Global Custodian at Local Custodian	String	15	N/A	N/A
Local Custodian Name	The Legal Entity name of the participant	String	70	N/A	N/A
Local Custodian CCASS ID	CCASS Participant ID for the Local Custodian	String	6	N/A	6 characters
Local Custodian LEI	Legal Entity Identifier for the Local Custodian	String	20	N/A	N/A
Local Custodian BIC	BIC Code for the Global Custodian	String	11	N/A	N/A
Local Custodian DN	DN Code representing the Local Custodian serving the Global Custodian	String	52	N/A	N/A
SPSA	SPSA account No. for Investor ID	Integer	8	N/A	N/A

### Approval by LC Data Manager Input Authorise User:

1. The LC Data Manager Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

2. The LC Data Manager Input Authorise User will be informed that the LC Data Manager Input Only User confirmed the “GC’s Account at LC” field that the GC provided in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under “Awaiting LC Checker Approval”
  - b. Funds List view: increased counter under “Awaiting LC Checker Approval”, changed icon from ‘—’ to ‘O’ in the LC column, and changed status to “LC Maker Approved”
3. The LC Data Manager Input Authorise User can navigate to the Fund Details view by clicking “Details” on the Funds List view.
4. On the LC Data Manager Input Authorise User’s Fund Details page view, they can review the details and approve the fund by clicking “Approve”.

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23 August 2022 @ symua143 symua143

Initial Onboarding Details: FUND ID 342679 [Back to Fund List](#) [Reject](#) [Approve](#)

Onboarding Status: AM: Approved ✓ GC: Approved ✓ LC Maker: Approved ✓ **▲ LC Checker: Pending Approval ...** Status: Inactive

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668
DEFAULT SETTLEMENT MODE:	
Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAAGSH888
GC BIC:	FIVGGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTYFGR421
LC BIC:	JMPPMUJ55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

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23 August 2022 @ symua143 symua143

Initial Onboarding Details: FUND ID 342679 [Back to Fund List](#)

Onboarding Status: AM: Approved ✓ GC: Approved ✓ LC Maker: Approved ✓ **LC Checker: Approved ✓** Status: Inactive

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668
DEFAULT SETTLEMENT MODE:	
Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-06
----------------------	------------

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAAGSH888
GC BIC:	FIVGGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194

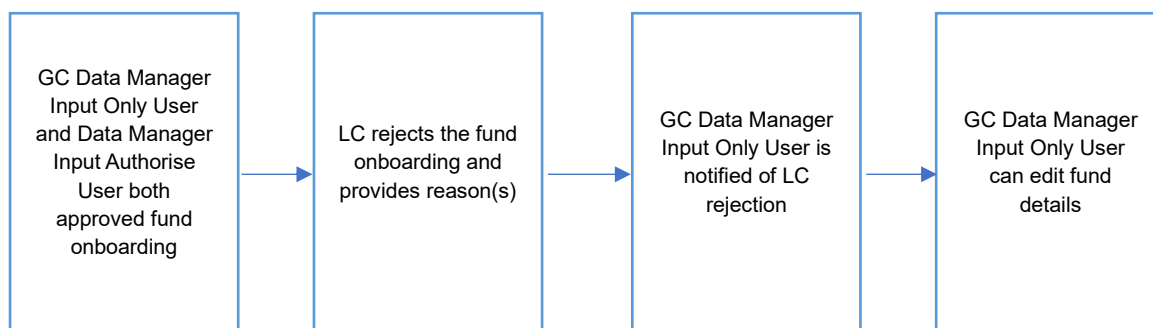
LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTYFGR421
LC BIC:	JMPPMUJ55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

### Rejection by LC Data Manager Input Only User; Rejection by LC Data Manager Input Authorise User Back to GC:

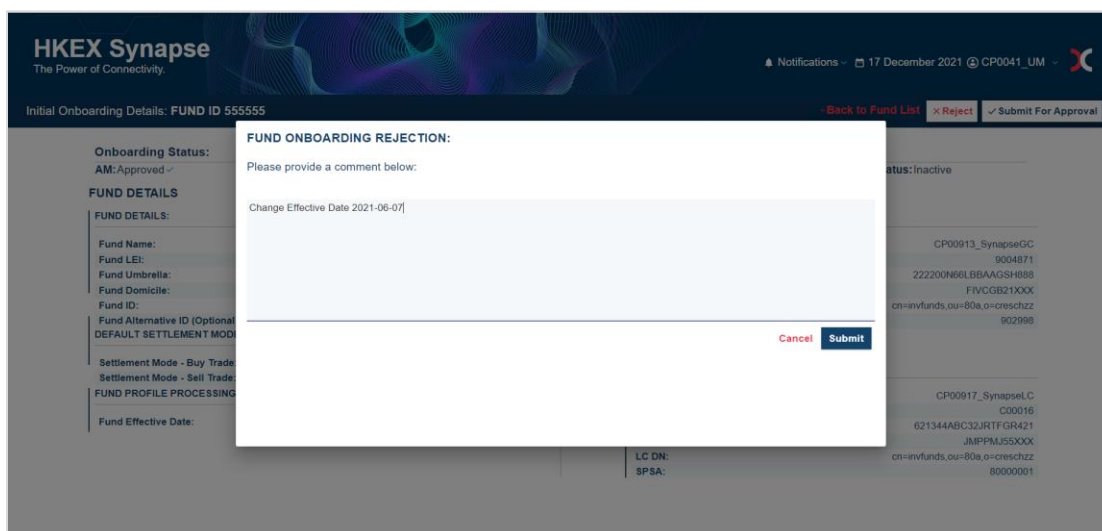
For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the LC Data Manager Input Only User rejects the fund and the LC Data

Manager Input Authorise User agrees with the LC Data Manager Input Only User's rejection, the LC Data Manager Input Authorise User must reject back to the GC.



### Rejection by LC Data Manager Input Only User:

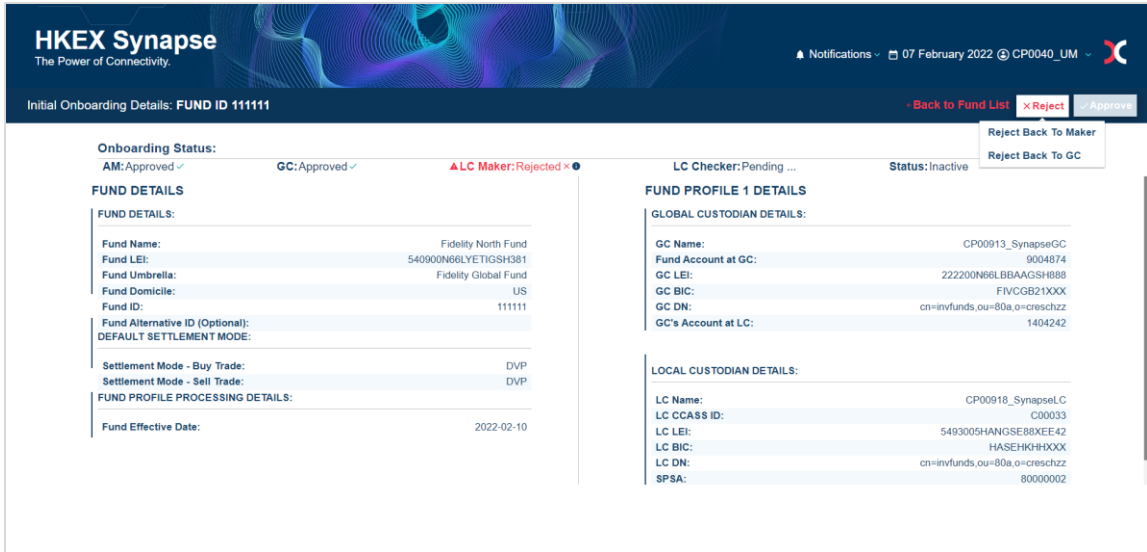
1. When the LC Data Manager Input Only User rejects the fund, a text box appears for the LC Data Manager Input Only User to provide reason(s) for rejection in the form of freeform text.



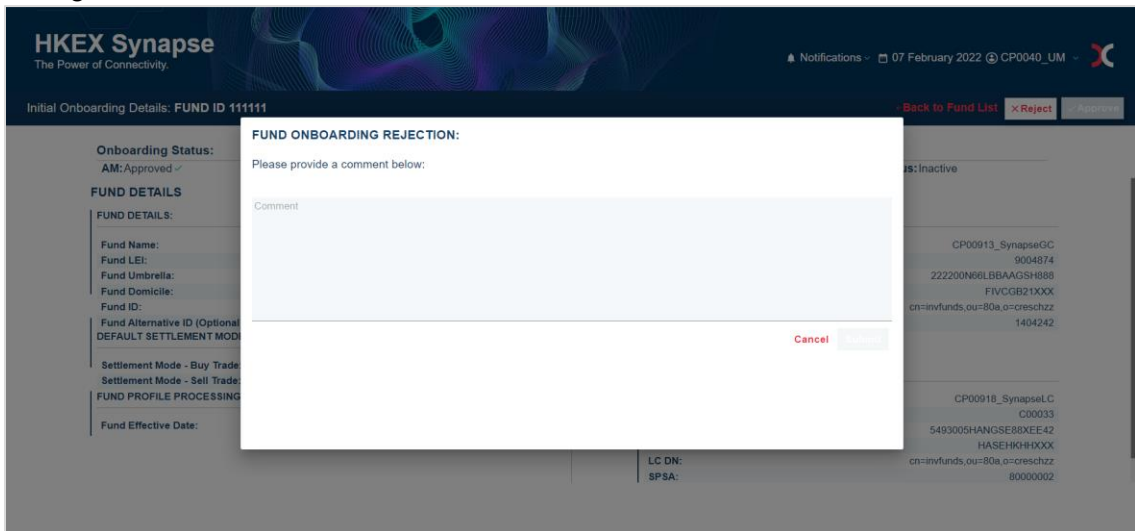
2. Then the LC Data Manager Input Only User must provide the rejection reasons by clicking "Submit" and then reject the fund details by clicking "Reject".

### Rejection by LC Data Manager Input Authorise User:

1. The LC Data Manager Input Authorise User receives a notification that the LC Data Manager Input Only User has rejected the fund via the Dashboard view or the Funds List view.
2. On the Fund Details view, the LC Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker" and the "Reject back to GC" buttons. The "Approve" button is greyed out.



3. The LC Data Manager Input Authorise will select “Reject back to GC” when the LC Data Manager Input Authorise User agrees with the LC Data Manager Input Only User’s rejection.
4. Then the LC Data Manager Input Authorise User must provide the rejection reason(s) by clicking “Submit”.

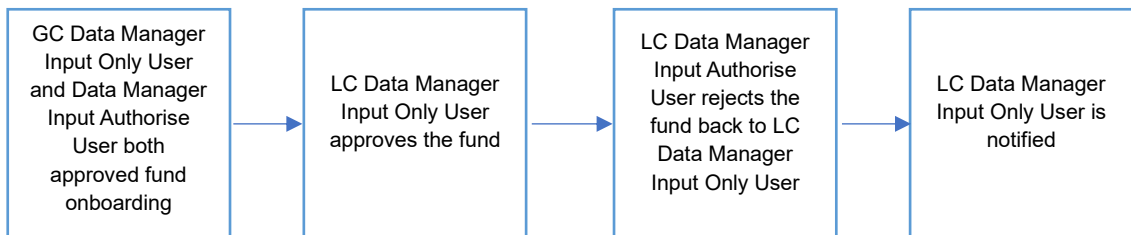


5. The GC Data Manager Input Only User will be informed in one way:
  - a. Funds List view: increased counter under “Awaiting GC Maker Approval”, change in icon from ‘✓’ to ‘X’ in the GC column, and changed status to “LC Rejected”
  - b. The LC Data Manager Input Only User and LC Data Manager Input Authorise User will see the row disappeared from the Funds List view.

FUND ID	FUND NAME	FUND ACCOUNT AT GC	AM NAME	GC'S ACCOUNT AT LC	LC NAME	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS
1111111	Fidelity Asia Fund 9004874	CP00910_SynapseAM 1404241	CP00910_SynapseAM 1404241	CP00917_SynapseLC 300013	CP00917_SynapseLC 300013	80000001	2022-02-14	✓	x	-	-	LC Rejected

**Approval by LC Data Manager Input Only User;  
Rejection by LC Data Manager Input Authorise User Back to LC Data Manager Input Only User:**

For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the LC Data Manager Input Only User approves the fund and the LC Data Manager Input Authorise User disagrees with the LC Data Manager Input Only User's approval/input, the LC Data Manager Input Authorise User must reject back to the LC Data Manager Input Only User.



**Rejection by LC Data Manager Input Authorise User:**

1. If the LC Data Manager Input Authorise User disagrees with the LC Data Manager Input Only User's approval/input, the LC Data Manager Input Authorise User must reject back to the LC Data Manager Input Only User.
2. On the Fund Details view, the LC Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker" button. The "Reject back to GC" button is greyed out.

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26 August 2022 @ synua143 synua143

Back Fund Details: FUND ID 555555

KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 **FUND PROFILE 3** FUND PROFILE 4

**FUND PROFILE STATUS:**

AM: APPROVED ✓ GC: APPROVED ✓ LC MAKER: APPROVED ✓ **▲ LC CHECKER: PENDING APPROVAL ...** STATUS: IN

REJECT APPROVE  
Reject Back To Maker  
Reject Back To GC

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVCGB21XXX  
Fund Account at GC: 546270  
GC Name: SynComp511  
GC LEI: 222200N66LBAAGSH888  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETHGSH384  
AM BIC: DTCCMEMORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC32JRTFGR421  
LC BIC: JMPPM55XXX  
LC DN: cn=invfunds.ou=80a.o=creschzz  
SPSA: 80000001

- The LC Data Manager Input Authorise User must provide reason(s) for rejection in the form of freeform text.

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Back Fund Details: FUND ID 555555

KEY FUND DETAILS FUND PROFILE 1

**FUND PROFILE STATUS:**

AM: APPROVED ✓ GC: APPROVED ✓ LC MAKER: APPROVED ✓ **▲ LC CHECKER: PENDING APPROVAL ...** STATUS: INACTIVE

REJECT APPROVE  
Reject Back To Maker  
Reject Back To GC

**FUND PROFILE DETAILS:**

Fund Effective Date:

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVCGB21XXX  
Fund Account at GC: 546270  
GC Name: SynComp511  
GC LEI: 222200N66LBAAGSH888  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETHGSH384  
AM BIC: DTCCMEMORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC32JRTFGR421  
LC BIC: JMPPM55XXX  
LC DN: cn=invfunds.ou=80a.o=creschzz  
SPSA: 80000001

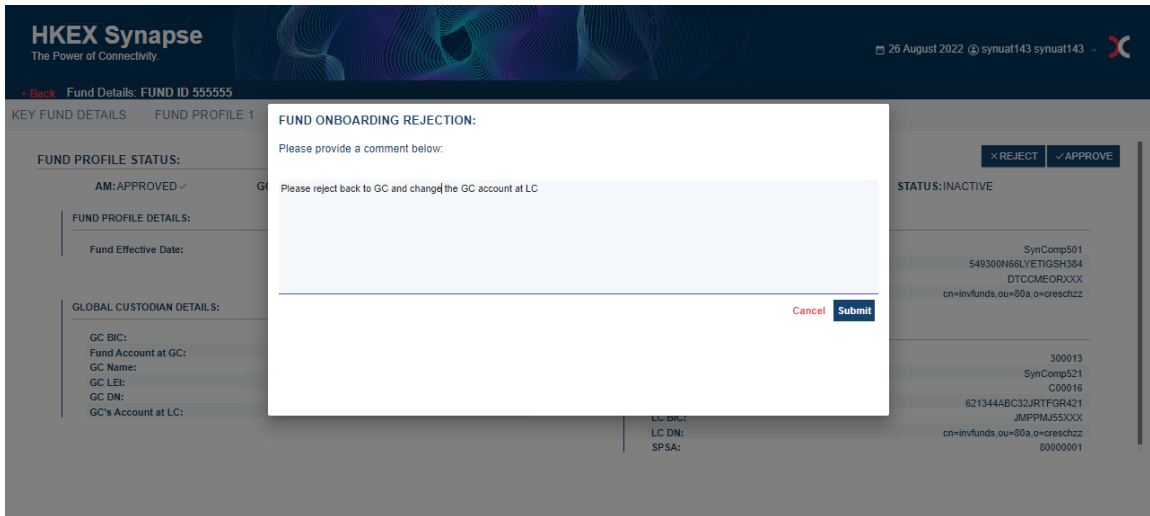
**FUND ONBOARDING REJECTION:**

Please provide a comment below:

Comment

Cancel

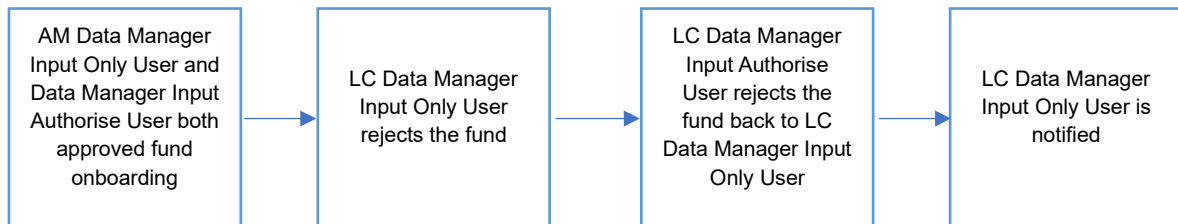
- Then the LC Data Manager Input Authorise User must provide the rejection reason(s) by clicking "Submit".



5. The LC Data Manager Input Only User is informed of this rejection in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under “Awaiting LC Maker Approval”
  - b. Funds List view: increased counter under “Awaiting LC Maker Approval”, changed icon from ‘O’ to ‘—’ in the LC column, and changed status to “LC Checker Rejected”

**Rejection by LC Data Manager Input Only User;  
Rejection by LC Data Manager Input Authorise User Back to LC Data Manager Input Only User:**

For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the LC Data Manager Input Only User rejects the fund and the LC Data Manager Input Authorise User disagrees with the LC Data Manager Input Only User’s rejection, the LC Data Manager Input Authorise User must reject back to the LC Data Manager Input Only User.



**Rejection by LC Data Manager Input Authorise User Back to LC Data Manager Input Only User:**

1. The LC Data Manager Input Authorise User can navigate to the Fund Details view by clicking “Details” on the Funds List view.

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← Back Fund Details: FUND ID 555555

KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 FUND PROFILE 3 **FUND PROFILE 4**

**FUND PROFILE STATUS:**

AM: APPROVED ✓ GC: APPROVED ✓ **▲ LC MAKER: REJECTED × ●** LC CHECKER: PENDING ... STATUS: INACTIVE

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVG821XXX  
Fund Account at GC: 546270  
GC Name: SynComp511  
GC LEI: 222200N66LBBAAAGSH888  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JMPPMJ55XXX  
LC DN: cn=invfunds.ou=80a.o=creschzz  
SPSA: 80000001

× REJECT ✓ APPROVE

2. If the LC Data Manager Input Authorise User disagrees with the LC Data Manager Input Only User's rejection, the LC Data Manager Input Authorise User must reject back to the LC Data Manager Input Only User.
3. On the Fund Details view, the LC Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker" and "Reject back to GC" buttons. The "Approve" button is greyed out.

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26 August 2022 @ synuat143 synuat143

← Back Fund Details: FUND ID 555555

KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 FUND PROFILE 3 **FUND PROFILE 4**

**FUND PROFILE STATUS:**

AM: APPROVED ✓ GC: APPROVED ✓ **▲ LC MAKER: REJECTED × ●** LC CHECKER: PENDING ... STATUS: INAC

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVG821XXX  
Fund Account at GC: 546270  
GC Name: SynComp511  
GC LEI: 222200N66LBBAAAGSH888  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

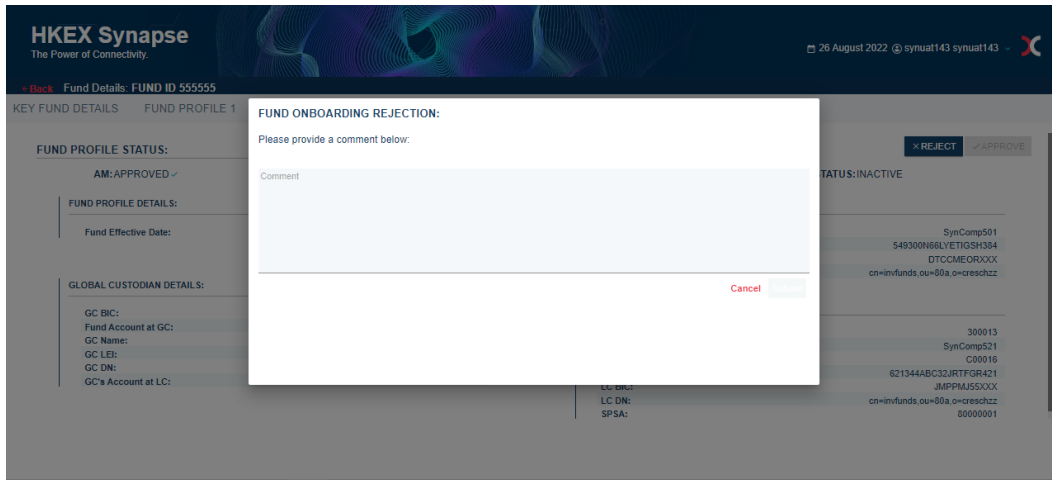
**LOCAL CUSTODIAN DETAILS:**

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JMPPMJ55XXX  
LC DN: cn=invfunds.ou=80a.o=creschzz  
SPSA: 80000001

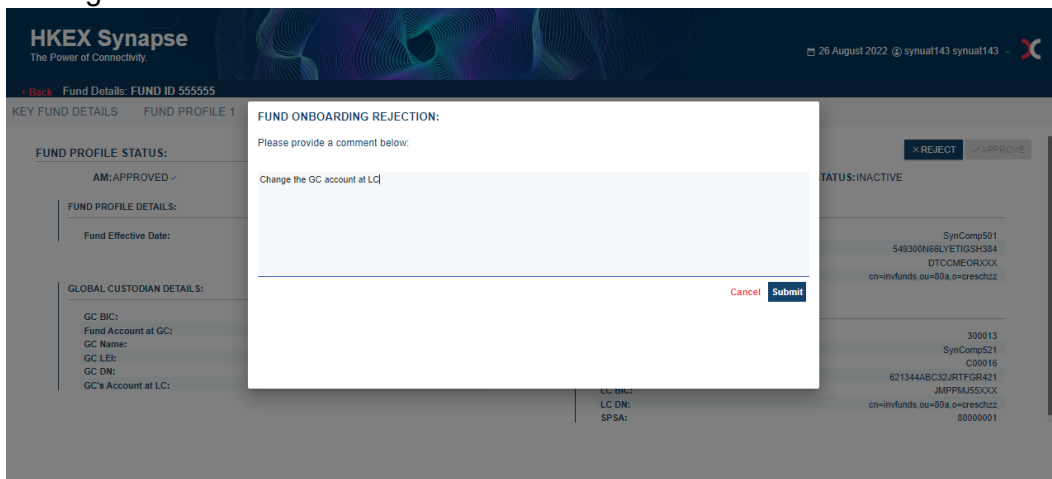
× REJECT ✓ APPROVE

Reject Back To Maker  
Reject Back To GC

4. The LC Data Manager Input Authorise User must provide reason(s) for rejection in the form of freeform text.



5. Then the LC Data Manager Input Authorise User must submit the rejection reason(s) by clicking “Submit”.



6. The LC Data Manager Input Only User will be informed in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under “Awaiting LC Maker Approval”
  - b. Funds List view: increased counter under “Awaiting LC Maker Approval”, changed icon from ‘O’ to ‘—’ in the LC column, and changed status to “LC Checker Rejected”

## 5.2 Fund Profile Creation

A pre-requisite for fund profile creation is that the fund has been successfully onboarded, i.e., approved by the AM, GC, and LC. Each fund must have at least one fund profile associated with it. The AM has the choice to whether onboarding further fund profile to the first fund onboarded or onboard another fund.

Fund Profile Creation follows the same flow for AMs / GCs / LCs as Fund Onboarding, where information can be found in Fund Onboarding section earlier.

The AM Data Manager Input Only User can navigate to the Funds List view and click on the particular fund to which they want to add a fund profile by clicking the “+ Add Fund Profile” button. After AM Data Manager Input Only User clicks the “+ Add Fund Profile” button, the AM Data Manager Input Only User will be brought to a fund profile information page on which to provide details. Fund profile information is displayed on one screen. The fund effective date inputted by the AM Data Manager Input Only User must be >=T+1.

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Back Fund Details: FUND ID 555555 + Add Fund Profile

KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 FUND PROFILE 3 FUND PROFILE 4 **FUND PROFILE 5** FUND PROFILE 6 FUND PROFILE 7 FUND PROFI >

**FUND PROFILE STATUS:**

AM MAKER: APPROVED ✓ AM CHECKER: APPROVED ✓ GC: APPROVED ✓ LC: APPROVED ✓ STATUS: ACTIVE **DEACTIVATE**

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVGB21XXX  
Fund Account at GC: 602194  
GC Name: SynComp511  
GC LEI: 222200NR6LBBAGSH888  
GC DN: cn=invfunds.ou=80a.o=creschz

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300NR6LBBAGSH888  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds.ou=80a.o=creschz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 600002  
LC Name: SynComp522  
LC CCASS ID: C00033  
LC LEI: 549300SHANGSE88XEE42  
LC BIC: HASEHKHHXXX  
LC DN: cn=invfunds.ou=80a.o=creschz

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New Fund Cancel Submit

\* Investor ID : 600002

SPSA: 80000002

LC Name : SynComp522

LC CCASS ID : C00033

LC LEI : 549300SHANGSE88XEE42

LC BIC : HASEHKHHXXX

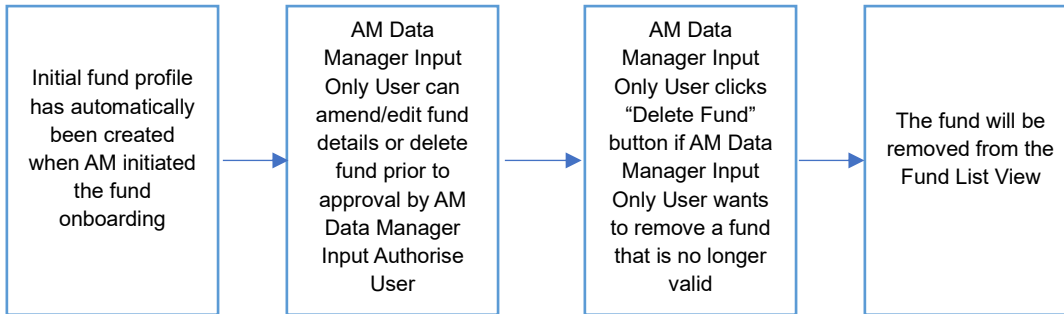
LC DN : cn=invfunds.ou=80a.o=creschz

**FUND PROFILE PROCESSING DETAILS :**

\* Fund Effective Date : 2022-08-12

## 5.3 Delete Fund Creation

If the AM Data Manager Input Only User wants to remove a fund (including the fund details and the fund profile associated) that is no longer valid, they can delete the fund and its initial fund profile prior to the AM Data Manager Input Authorise User's approval.



### 5.3.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

1. Once the fund has been created, one initial fund profile will automatically be created along with it.
2. If the fund created by the AM Data Manager Input Only User is pending approval by AM Data Manager Input Authorise User or was rejected by the AM Data Manager Input Authorise User then the AM Data Manager Input Only User can either amend/edit the fund details (for rejection scenario) or delete the fund prior to creation.
  - a. Fund is still pending approval by AM Data Manager Input Authorise User

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X

Initial Onboarding Details: FUND ID 553181
← Back to Fund List

**Onboarding Status:**  
 AM Maker: Approved ✓      AM Checker: Pending Approval ...      GC: Pending ...      LC: Pending ...      Status: Inactive

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 3181
Fund LEI:	549300N66LYETGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

**DEFAULT SETTLEMENT MODE:**

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	DVP

**FUND PROFILE PROCESSING DETAILS:**

Fund Effective Date:	2021-06-05
----------------------	------------

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200N66LBBAAQSH689
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=80a.o=crechz2

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JBPJPP155XXX
LC DN:	cn=invfunds.ou=80a.o=crechz2
SPSA:	80000001

b. Fund is rejected by AM Data Manager Input Authorise User

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Initial Onboarding Details: FUND ID 553181 [Back to Fund List](#)

**Onboarding Status:**  
AM Maker: Pending Amendment ... **▲ AM Checker: Rejected** x

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3181
Fund LEI:	549300N66LYETGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	DVP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-05
----------------------	------------

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200N66LBBAAAGSH889
GC BIC:	FVCGB21XXX
GC DN:	cn=invfunds.ou=80a.o=oreschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFFGR421
LC BIC:	JMPPIAJ55XXX
LC DN:	cn=invfunds.ou=80a.o=oreschzz
SPSA:	80000001

3. If the AM Data Manager Input Only User chooses to delete the fund creation, then they click “Delete Fund Creation” on the details view.

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26 August 2022 @ symuat001 symuat001 - X

Initial Onboarding Details: FUND ID 553181 [Back to Fund List](#)

**Onboarding Status:**  
▲ AM Maker: Pending Amendment ... AM Checker: Rejected x

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3181
Fund LEI:	549300N66LYETGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	DVP

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-05
----------------------	------------

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200N66LBBAAAGSH889
GC BIC:	FVCGB21XXX
GC DN:	cn=invfunds.ou=80a.o=oreschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFFGR421
LC BIC:	JMPPIAJ55XXX
LC DN:	cn=invfunds.ou=80a.o=oreschzz
SPSA:	80000001

4. Once that button is clicked, then the fund and the initial fund profile will be deleted. When the AM Data Manager Input Only User goes back to the Funds List view, then the fund will no longer be listed.

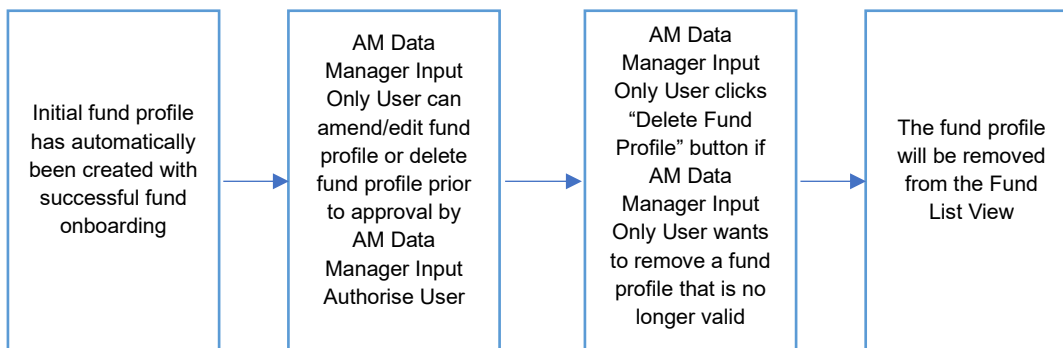
**FUNDS** 2 1 1 Q Search Generate Report + New Fund

Awaiting AM Checker Approval    Awaiting GC Approval    Awaiting LC Approval

FUND ID ^	FUND NAME ^	GC NAME ^	FUND ACCOUNT AT GC ^	INVESTOR ID ^	SPSA ^	FUND EFFECTIVE DATE ^	AM ^	GC ^	LC ^	STATUS ^	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	*	-	-	Pending AM Checker Approval	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	*	-	-	Pending AM Checker Approval	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	*	*	LC Maker Rejected	<a href="#">DETAILS &gt;</a>
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	x	-	-	GC Rejected	<a href="#">DETAILS &gt;</a>
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	x	-	-	GC Rejected	<a href="#">DETAILS &gt;</a>
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	✓	-	-	AM Approved	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>

## 5.4 Delete Fund Profile Prior to AM Data Manager Input Authorise User's Approval

When a fund is successfully onboarded, i.e., approved by all buy side participants, then one initial fund profile is automatically created. If the AM Data Manager Input Only User creates a fund profile that is no longer valid, they can delete the fund profile prior to the AM Data Manager Input Authorise User's approval or after the fund profile was rejected by the AM Data Manager Input Authorise User. To delete one fund profile, the fund must be active and have two fund profiles. A fund is considered active when it has at least one fund profile associated with it.



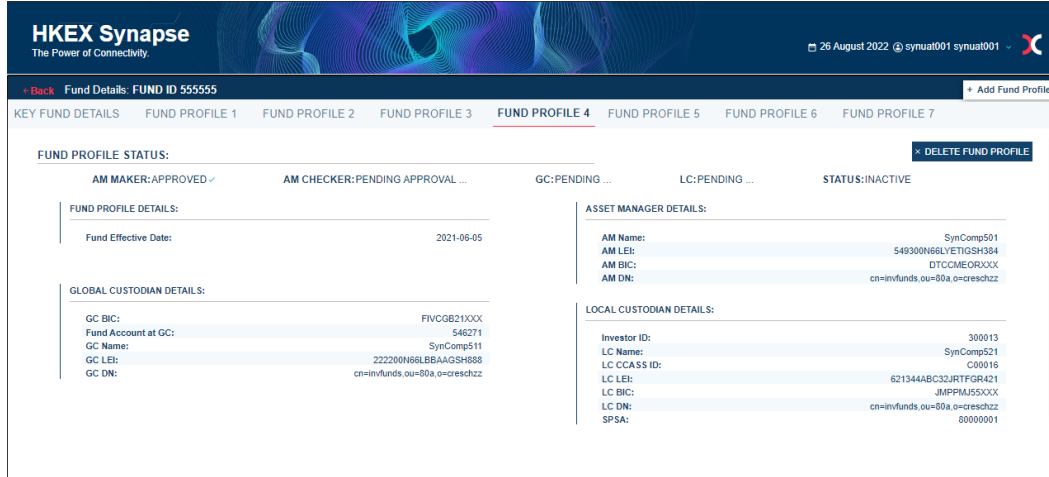
### 5.4.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

1. When the AM Data Manager Input Only User is on the Funds List view, they can click "Details" to go to the Fund Profile view of the fund profile that they would like to delete.

FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-06-12	•	—	—	Pending AM Checker Approval	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	—	—	Pending AM Checker Approval	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	•	LC Maker Rejected	<a href="#">DETAILS &gt;</a>
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	—	—	GC Rejected	<a href="#">DETAILS &gt;</a>
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	—	—	GC Rejected	<a href="#">DETAILS &gt;</a>
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	✓	—	—	AM Approved	<a href="#">DETAILS &gt;</a>
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS &gt;</a>

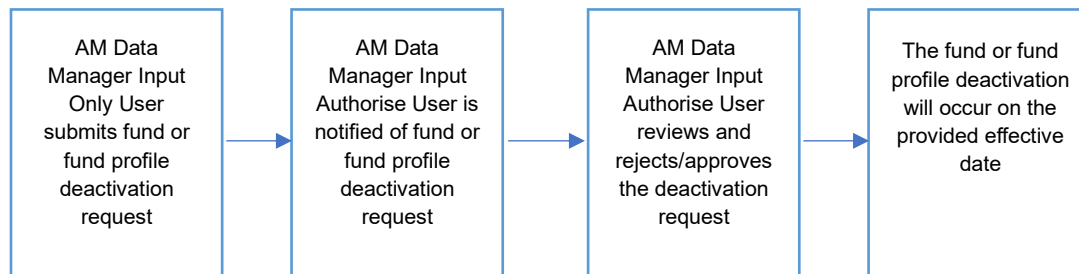
- The AM Data Manager Input Only User can click “Delete Fund Profile” on the Fund Profile view.



- The AM Data Manager Input Only User can delete a fund profile either prior to AM Data Manager Input Only Authorise User’s approval or after AM Data Manager Input Only Authorise User’s rejection.

## 5.5 Deactivation of an Active Fund or Fund Profile

A fund and its fund profile are considered active after the AM, GC, and LC have all approved the fund onboarding. The AM Data Manager Input Only User can choose to deactivate an active fund or fund profile. Please note the fund can only be deactivated after 31 days if it is created by LC re-appointment.



### 5.5.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

- The AM Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

- The AM Data Manager Input Only User can navigate to the Funds List view by clicking the “Funds” tab.

FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	DETAILS
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	✓	✓	✓	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-06-12	•	—	—	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	✓	✓	✓	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	—	—	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	•	LC Maker Rejected	DETAILS >
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	—	—	GC Rejected	DETAILS >
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	—	—	GC Rejected	DETAILS >
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	✓	—	—	AM Approved	DETAILS >
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS >

- The AM Data Manager Input Only User can select an active fund and navigate to the Fund Details view by clicking “Details” on the Funds List view.
- On the Fund Details view, the AM Data Manager Input Only User can click “Deactivate”.

FUND PROFILE STATUS:	
AM MAKER: APPROVED	AM CHECKER: APPROVED
GC: APPROVED	LC: APPROVED
STATUS: ACTIVE	<b>DEACTIVATE</b>

FUND PROFILE DETAILS:	
Fund Effective Date:	2021-06-05

GLOBAL CUSTODIAN DETAILS:	
GC BIC:	FVCGB21XXX
Fund Account at GC:	546270
GC Name:	SynComp511
GC LEI:	222200N96LBBAAQSH888
GC DN:	cn=invfunds.ou=80a.o=creschzz

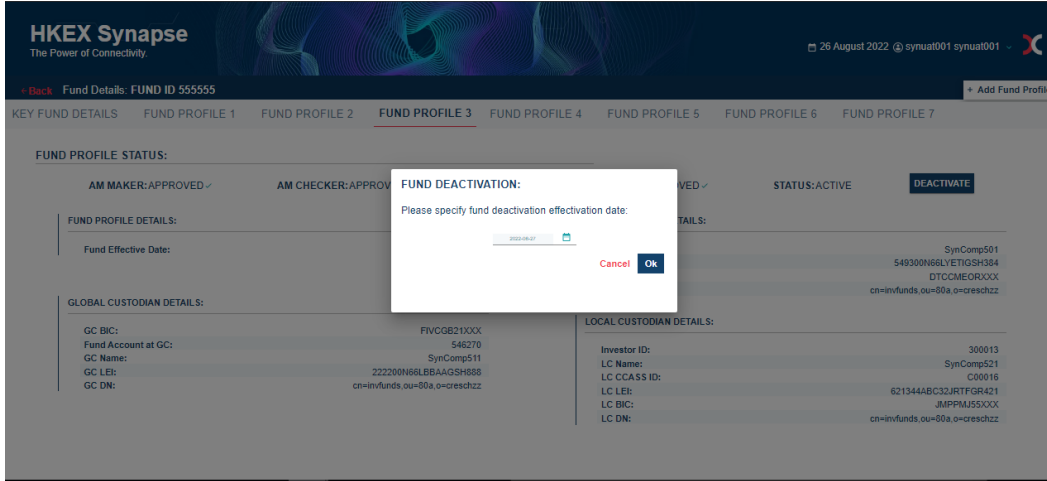
  

ASSET MANAGER DETAILS:	
AM Name:	SynComp501
AM LEI:	549300N96LBBAAQSH888
AM BIC:	DTCGMEOXXX
AM DN:	cn=invfunds.ou=80a.o=creschzz

LOCAL CUSTODIAN DETAILS:	
Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00019
LC LEI:	621344ABC3JRTFR421
LC BIC:	JMPPMJ55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

- A pop-up window requesting the fund deactivation effective date will appear. The effective date must be future date (i.e., 1 business day after the current date).



- The AM Data Manager Input Only User adds the fund deactivation effective date submits the fund status deactivation request by clicking “Deactivate”. The AM Data Manager Input Authorise User will be informed in one way:
  - Funds List view: the AM column will have a ‘O’ icon and the status column will show “Inactivation Pending Approval”

FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SP5A	FUND EFFECTIVE DATE	AM	GC	LC	STATUS
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	O	✓	✓	Pending AM Checker Approval
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-12	O	✓	✓	Inactivation Pending Approval
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	O	✓	✓	Pending AM Checker Approval
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	X	✓	✓	GC Rejected
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	X	✓	✓	GC Rejected
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	✓	✓	✓	Active
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	✓	✓	✓	AM Approved
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	✓	✓	✓	Active
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active

### AM Data Manager Input Authorise User:

- The AM Data Manager Input Authorise User will be informed the fund or fund profile deactivation in one way:
  - Funds List view: the AM column will have a ‘O’ icon and the status column will show “Inactivation Pending Approval”
- The AM Data Manager Input Authorise User can either reject or approve the deactivation request.
  - If the AM Data Manager Input Authorise User rejects the deactivation request by clicking “Reject”, then the process ends there. The icon will change from a ‘O’ to

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26 August 2022 | symat003 | symat003

Back Fund Details: FUND ID 555555 Pending Fund Deactivation Effective Date: 2021-06-12 Add Fund Profile

KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 FUND PROFILE 3 FUND PROFILE 4 FUND PROFILE 5 FUND PROFILE 6 **FUND PROFILE 7**

**FUND PROFILE STATUS:** REJECT APPROVE

AM MAKER: APPROVED ✓ AM CHECKER: FUND PROFILE DEACTIVATION PENDING APPROVAL GC: APPROVED ✓ LC: APPROVED ✓ STATUS: ACTIVE

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-12

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FVCGB21XXX  
Fund Account at GC: 52194  
GC Name: SynComp511  
GC LEI: 222200N68LBAAGSH888  
GC DN: cn=invfunds.ou=80a.o=creschzz

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N68LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 600002  
LC Name: SynComp522  
LC CCASS ID: C00033  
LC LEI: 549300SHANGSE88XEE42  
LC BIC: HASEHKHHXXX  
LC DN: cn=invfunds.ou=80a.o=creschzz  
SPSA: 80000002

- b. If the AM Data Manager Input Authorise User approves the deactivation request by clicking “Approve”, then the fund or fund profile will become deactivated on the effective date provided by the AM Data Manager Input Only User
3. The AM Data Manager Input Only User will be notified the fund or fund profile deactivation in one way:
  - a. Funds List view: changed status to “Inactivation Approved”
    1. Note: on the effective date, the status will change to “Inactive” on the Funds List view

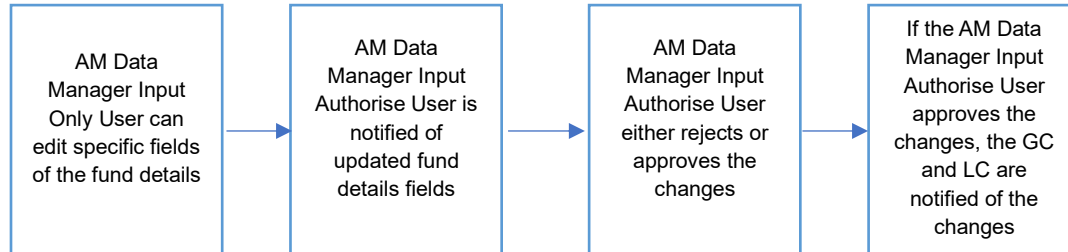
#### Notification for Global Custodian (GC) and Local Custodian (LC):

1. The GC Data Manager Input Only User, GC Data Manager Input Authorise User, and LC Data Manager Input Only User, LC Data Manager Input Authorise User will be informed of the fund profile deactivation and its effective date in two ways:
  - a. Funds List view: changed status to “Inactivation Approved”
 

Note: on the effective date, the status will change to “Inactive” on the Funds List view
  - b. UI Notification on Dashboard page under Funds

## 5.6 Edit Fund Details of an Active Fund

A fund and its fund profile are considered active after the AM, GC, and LC have all approved the fund onboarding. The AM Data Manager Input Only User can edit specific fund details and submit the edited fund details to the AM Data Manager Input Authorise User for approval.



### 5.6.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

1. The AM Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen. The AM Data Manager Input Only User can navigate to the Funds List view by clicking the “Funds” tab.

FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	—	—	Pending AM Checker Approval
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-12	•	✓	✓	Inactivation Pending Approval
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	—	—	Pending AM Checker Approval
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	•	LC Maker Rejected
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	—	—	GC Rejected
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	—	—	GC Rejected
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	✓	✓	✓	Active
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	✓	—	—	AM Approved
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	✓	✓	✓	Active
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active

2. The AM Data Manager Input Only User can select an active fund and navigate to the Fund Details view by clicking “Details” on the Funds List view.

KEY FUND DETAILS FUND PROFILE 1

FUND STATUS: AM MAKER/APPROVED - AM CHECKER/APPROVED - STATUS: ACTIVE DEACTIVATE

FUND DETAILS:

Fund Name: Fidelity Asia Fund  
Fund LEI: 549302169LYETIGS3481  
Fund Umbrella: Fidelity Global Fund  
Fund Domicile: US  
Fund ID: 523481  
Fund Alternative ID (Optional): 777777

DEFAULT SETTLEMENT MODE:  
Settlement Mode - Buy Trade: DVP  
Settlement Mode - Sell Trade: DVP

FUND PROCESSING DETAILS:  
Fund Effective Date: 2021-06-05

- The AM Data Manager Input Only User can click “Edit” to edit specific fields of the fund details and submit for approval to the AM Data Manager Input Authorise User.

Please provide the following Fund information:

FUND DETAILS

\* Fund Name : Fidelity Asia Fund

Fund LEI : 549302169LYETIGS3481

Fund Umbrella : Fidelity Global Fund

Fund Domicile : US

\* Fund ID : 523481

Fund Alternate ID : 777777

DEFAULT SETTLEMENT MODE :

\* Settlement Mode - Buy Trade : DVP

\* Settlement Mode - Sell Trade : DVP

FUND PROFILE PROCESSING DETAILS :

\* Fund Effective Date : 2021-06-05

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund LEI	Legal Entity Identifier for the Fund	String	20	O	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	O	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1-alpha-2 code	String	2	O	2 characters
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	O	N/A
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	M	#N/A
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	M	3 characters

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund Effective Date	The date from which the fund is active on the system	Date	20	M	YYYY-MM-DD

4. The AM Data Manager Input Authorise User will then be notified for their approval in one way:
  - a. Funds Details view: changed status to “Pending Amendment Approval”

### AM Data Manager Input Authorise User:

AM Data Manager Input Authorise User can either approve or reject the edition submitted by AM Data Manager Input Only User. If AM Data Manager Input Authorise User rejects, then the process ends there. If AM Data Manager Input Authorise User approves, then the fund details or fund profile is updated.

The screenshot shows the HKEX Synapse interface for a fund's details. At the top, it says 'HKEX Synapse The Power of Connectivity.' and shows the date '26 August 2022'. The breadcrumb trail is 'Fund Details: FUND ID AM\_User\_One'. Below this, there are tabs for 'KEY FUND DETAILS' and 'FUND PROFILE 1'. The main content area shows the 'FUND STATUS:' as 'AM MAKER: APPROVED' and 'AM CHECKER: PENDING APPROVAL'. There are 'REJECT' and 'APPROVE' buttons. The 'FUND DETAILS:' section includes: Fund Name: UBS Asia Fund, Fund LEI: 549300N66LYETIGSH430, Fund Umbrella: UBS Global Fund, Fund Domicile: US, Fund ID: AM\_User\_One, and Fund Alternative ID (Optional): AM\_User\_One. Below that is the 'DEFAULT SETTLEMENT MODE:' section with 'Settlement Mode - Buy Trade: DVP' and 'Settlement Mode - Sell Trade: RDP'. At the bottom, there is a 'FUND PROCESSING DETAILS:' section.

## 5.7 Funds List View for Buy Side Participants

The Funds List view provides an overview of the buy side participants' funds and specific details.

### 5.7.1 Asset Managers (AM)

Field Name	Description
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems
Fund Name	The Legal Entity name of the Fund
GC Name	Name of Global Custodian
Fund Account at GC	Fund account at GC per successful fund onboarding
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by CCASS
SPSA	Special Segregated Account

<b>Field Name</b>	<b>Description</b>
Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

## 5.7.2 Asset Manager Outsourcing Operator (AMOO)

Field Name	Description
AM Name	Name of Asset Manager
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems
Fund Name	The Legal Entity name of the Fund
GC Name	Name of Global Custodian
Fund Account at GC	Fund account at GC per successful fund onboarding
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by CCASS
SPSA	Special Segregated Account
Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

## 5.7.3 Global Custodians (GC)

Field Name	Description
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems
Fund Name	The Legal Entity name of the Fund
Fund Account at GC	Fund account at GC per successful fund onboarding
AM Name	Name of Asset Manager
GC's Account at LC	Account No. for Global Custodian at Local Custodian
LC Name	Name of Local Custodian
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by CCASS
SPSA	Special Segregated Account
Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

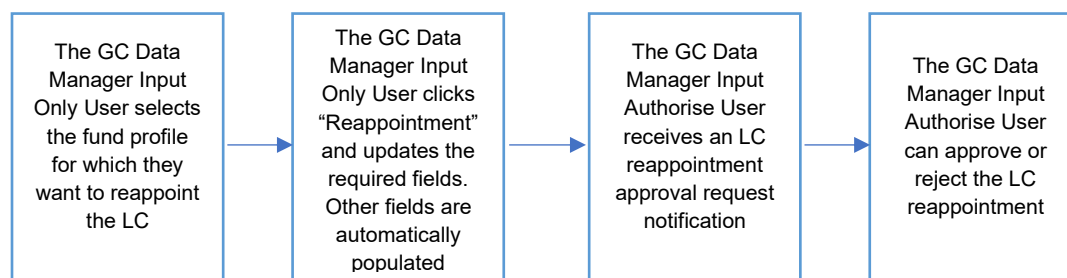
## 5.7.4 Local Custodians (LC)

Field Name	Description
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems
GC Name	Name of Global Custodian

Field Name	Description
GC's Account at LC	Account No. for Global Custodian at Local Custodian
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by CCASS
SPSA	Special Segregated Account
Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

## 5.8 LC Re-Appointment

The GC Data Manager Input Only User is the only participant who can initiate an LC re-appointment for a specific fund profile. Pre-requisites include that the fund has to be active and onboarded on Synapse, i.e., the fund has to be approved by the AM, GC, and LC. The purpose of LC re-appointment is for GC to appoint another LC. If the GC need to have a new fund profile with same LC but different Investor ID, the buy-side chain should use "Add New Fund Profile" function which should be initiated by AM.



### 5.8.1 Global Custodians (GC)

**Approval by GC Data Manager Input Only User;  
Approval by GC Data Manager Input Authorise User:**

**GC Data Manager Input Only User:**

1. The GC Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

- The GC Data Manager Input Only User can navigate to the Funds List view by clicking the “Funds” tab.

FUND ID	FUND NAME	FUND ACCOUNT AT GC	AM NAME	GC'S ACCOUNT AT LC	LC NAME	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	
555555	Fidelity Asia Fund	542194	SynComp501	762194	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
552014	Fidelity Asia Fund	542014	SynComp501	762014	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
552102	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	546270	SynComp501	123456789	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	546272	SynComp501	762456	SynComp521	600002	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
AM_User_One	UBS Asia Fund	8004872	SynComp501	123456789	SynComp521	300013	80000000	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	546270	SynComp501	762456	SynComp521	300013	80000001	2021-06-05	✓	✓	✗	LC Maker Rejected	DETAILS
AM_User_One	UBS Asia Fund	8004873	SynComp502	SynComp502	SynComp521	300013	80000000	2021-06-05	✓	✓	✓	AM Approved	DETAILS
555555	Fidelity Asia Fund	552194	SynComp501	752194	SynComp522	600002	80000002	2021-06-12	✗	✓	✓	Inactivation Pending Approval	DETAILS

- The GC Data Manager Input Only User can select an active fund for which they want to reappoint the LC and navigate to the Fund Details view by clicking “Details” on the Funds List view.
- The GC Data Manager Input Only User will then click “Fund Profiles” to go to the Fund Profiles page. In the LC Details section, they will see a “Reappoint” button.

FUND PROFILE STATUS:	
AM: APPROVED	GC MAKER: APPROVED
GC CHECKER: APPROVED	LC: APPROVED
STATUS: ACTIVE	

FUND PROFILE DETAILS:	
Fund Effective Date:	2021-06-05

GLOBAL CUSTODIAN DETAILS:	
GC BIC:	FIVGB21XXX
Fund Account at GC:	542194
GC Name:	SynComp511
GC LEI:	222200N86LBBAAJGSH888
GC DN:	cn=invfunds.ou=80a.o=oreschzz
GC's Account at LC:	762194

ASSET MANAGER DETAILS:	
AM Name:	SynComp501
AM LEI:	549300N68LYETIGSH304
AM BIC:	DTCMEORXXX
AM DN:	cn=invfunds.ou=80a.o=oreschzz

LOCAL CUSTODIAN DETAILS:	
Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00019
LC LEI:	621344ABC32JRTF9R421
LC BIC:	JMPPMJJ55XXX
LC DN:	cn=invfunds.ou=80a.o=oreschzz
SPSA:	80000001

- The GC Data Manager Input Only User is required to update 3 fields for the new LC that the GC Data Manager Input Only User would like to reappointment:
  - “Investor ID”
  - “GC’s Account at LC”
  - “Reappointment Effective Date”
  - Note:
    - Other fields like “LC Name”, “SPSA”, “LC CCASS ID”, “LC LEI”, “LC BIC”, and “LC DN” are automatically populated by Synapse.
    - GC can only reappoint to a new LC with different Investor ID with the reappointment function. If a new profile with the same LC but different investor ID is required, the

function “Add New Fund Profile” initiated by AM should be performed.

6. After updating the details, the GC Data Manager Input Only User can then click “Submit”.

### GC Data Manager Input Authorise User:

1. The GC Data Manager Input Authorise User will be informed that they have to approve the LC reappointment in one way:
  - a. Funds Details View

- The GC Data Manager Input Authorise User navigates from the Dashboard to the Funds tab, i.e., the Funds List view, and then the Fund Details view to approve.

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Back Fund Details: FUND ID 555555

KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 **FUND PROFILE 3** FUND PROFILE 4 FUND PROFILE 5

**FUND PROFILE STATUS:**

AM: APPROVED GC MAKER: APPROVED GC CHECKER: APPROVED LC: APPROVED STATUS: ACTIVE

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVGB21XXX  
Fund Account at GC: 546272  
GC Name: SynComp511  
GC LEI: 222200N66LBBAAAGSH688  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:** [Reject LC Reappointment](#) [Accept LC Reappointment](#)

Investor ID: 600002  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JMPPM355XXX  
LC DN: cn=invfunds.ou=80a.o=creschzz  
SPSA: 80000001

- If the GC Data Manager Input Authorise User clicks “Accept LC Reappointment”, then the LC Data Manager Input Only User at the newly appointed LC is informed of the reappointment in two ways:
  - Dashboard view: increased counter in Fund Profiles section under “Awaiting LC Maker Approval”
  - Funds List view: increased counter under “Awaiting LC Maker Approval”, changed icon from ‘—’ to ‘✓’ in the AM column, changed icon from ‘—’ to ‘✓’ in the GC column, and changed status to “GC Approved”

### Approval by GC Data Manager Input Only User; Rejection by GC Data Manager Input Authorise User:

### Rejection by GC Data Manager Input Authorise User:

- The GC Data Manager Input Authorise User navigates from the Dashboard to the Funds tab, i.e., the Funds List view, and then the Fund Details view to reject by clicking “Reject LC Reappointment”.

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Back Fund Details: FUND ID 555555

KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 **FUND PROFILE 3** FUND PROFILE 4 FUND PROFILE 5

**FUND PROFILE STATUS:**

AM: APPROVED GC MAKER: APPROVED GC CHECKER: APPROVED LC: APPROVED STATUS: ACTIVE

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVGB21XXX  
Fund Account at GC: 546272  
GC Name: SynComp511  
GC LEI: 222200N66LBBAAAGSH688  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:** [Reject LC Reappointment](#) [Accept LC Reappointment](#)

Investor ID: 600002  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JMPPM355XXX  
LC DN: cn=invfunds.ou=80a.o=creschzz  
SPSA: 80000001

- If the GC Data Manager Input Authorise User rejects the proposed LC reappointment, the process stops and no reappointment takes place.

The screenshot displays the HKEX Synapse interface for Fund Profile 3. The page includes a navigation bar with 'Fund Details: FUND ID 555555' and a breadcrumb trail: 'KEY FUND DETAILS > FUND PROFILE 1 > FUND PROFILE 2 > FUND PROFILE 3 > FUND PROFILE 4 > FUND PROFILE 5'. The 'FUND PROFILE STATUS' section shows 'AM: APPROVED', 'GC MAKER: APPROVED', 'GC CHECKER: APPROVED', 'LC: APPROVED', and 'STATUS: ACTIVE'. The 'FUND PROFILE DETAILS' section lists 'Fund Effective Date: 2021-06-05'. The 'GLOBAL CUSTODIAN DETAILS' section includes fields for GC BIC, Fund Account at GC, GC Name, GC LEI, GC DN, and GC's Account at LC. The 'ASSET MANAGER DETAILS' section lists AM Name, AM LEI, AM BIC, and AM DN. The 'LOCAL CUSTODIAN DETAILS' section includes Investor ID, LC Name, LC CCASS ID, LC LEI, LC BIC, LC DN, and SPSA. A 'Reappoint' button is visible next to the LOCAL CUSTODIAN DETAILS section.

## 5.8.2 Local Custodians (LC)

LC Data Manager Input Only User and LC Data Manager Input Authorise User can refer to the fund onboarding sections to approve / reject the proposed LC Reappointment.

## 6. Accounts

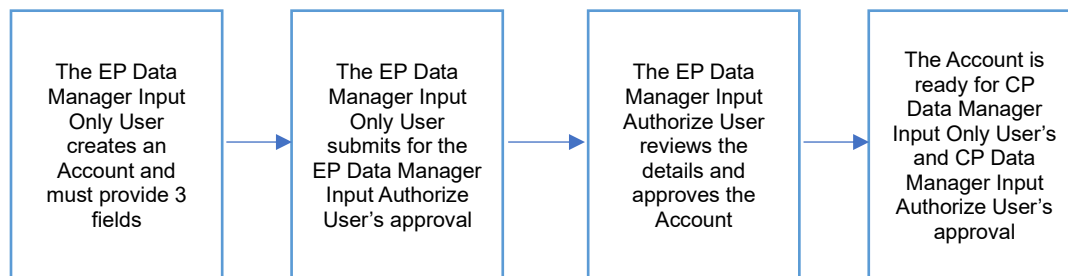
### 6.1 Account Onboarding

To create a new account, EPs can start the self-service account creation process to onboard an account by creating Account Details so Synapse can use it for creating the SIs or STIs in CCASS.

An Account will be successfully onboarded when the EP and CP have approved the account submission.

#### 6.1.1 Exchange Participant (EP)

**Approval by EP Data Manager Input Only User;  
Approval by EP Data Manager Input Authorise User:**



**Approval by EP Data Manager Input Only User:**

1. The EP Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Accounts tab, the EP Data Manager Input Only User can see the Accounts List view and can create an Account via the “+ New Account” button.

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS	DETAILS
SynComp541	812700N86LADRSERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900548	2021-06-05	✓	✓	Active	DETAILS >
SynComp541	812700N86LADRSERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900547	2021-06-05	✓	✓	Active	DETAILS >
SynComp541	812700N86LADRSERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900548	2021-06-05	✓	✓	Active	DETAILS >
SynComp541	812700N86LADRSERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900549	2021-06-05	✓	✓	Active	DETAILS >

3. The EP Data Manager Input Only User will be asked to provide new account details.

- a. The EP Data Manager Input Only User must provide 3 fields:
  - i. CP Name
  - ii. EP's Account at CP
  - iii. Account Effective Date

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New Account Cancel Submit

Please provide the following information:

**CP DETAILS:**

\* CP Name : SynComp541

CP LEI : 812700N66LADSESRH679

CP BIC : DTCCDEAGXXX

CP DN : cn=inv/funds.ou=80a.o=creschzz

CP CCASS ID : B01110

**ACCOUNT:**

\* EP's Account at CP : 900428

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25 August 2022 @ synua211 synua211

New Account Cancel Submit

CP LEI : 812700N66LADSESRH679

CP BIC : DTCCDEAGXXX

CP DN : cn=inv/funds.ou=80a.o=creschzz

CP CCASS ID : B01110

**ACCOUNT:**

\* EP's Account at CP : 900428

**ACCOUNT PROCESSING DETAILS :**

\* Account Effective Date : 2021-06-05

Note: The Account to be created must not exist in Synapse onboarded Accounts in which semantic validation will be performed in specific fields that are marked as "Y" in the Contract Key column, otherwise the following error message will be shown when clicking "Submit". This is to ensure no duplicate Account can be created.

New Account ▲ The record already exist. Cancel Submit

Please provide the following information:

**CP DETAILS:**

\* CP Name : SynComp208

CP LEI : KBKRBS1HACAR89U81MCS

CP BIC : SYNCOMP205X

CP DN : cn=inv/fundd.ou=80d.o=creschzd

CP CCASS ID : B01450

**ACCOUNT:**

\* EP's Account at CP : 903008

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
CP Name	The Legal Entity name of the CP	String	70	M	N/A	N
EP's Account at CP	Account No. for EP at CP	String	15	M	N/A	Y
Account Effective Date	The date from which the Sell side Account mapping is active on the system	Date	10	YYYY-MM-DD	N/A	N

\*Note: Fields that are “Y” for the Contract Key column would be required for semantic validation. For Accounts, Synapse validates if the EP's Account at CP is not existing in Synapse created accounts, and the EP's Account at CP would not be editable after submission.

- b. Once the EP Data Manager Input Only User has selected the Clearing Participant Name from a dropdown menu, 4 fields will be auto-populated by the Synapse application:
- i. CP LEI
  - ii. CP BIC
  - iii. CP DN
  - iv. CP CCASS ID

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
CP LEI	Legal Entity Identifier for the Clearing Participant	String	20	N/A	N/A
CP BIC	BIC Code of Clearing Participant	String	11	N/A	N/A
CP DN	DN Code of Clearing Participant	String	52	N/A	N/A
CP CCASS ID	CCASS Participant ID of Clearing Participant	String	6	N/A	N/A

4. The EP Data Manager Input Only User will click “Submit”, then the EP Data Manager Input Only User clicks “Back to Accounts” and will be brought back to the Accounts List view. Under the EP column, the ‘O’ represents that the EP Data Manager Input Only User has submitted the input and that it is pending the EP Data Manager Input Authorise

User to approve.

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LADSEERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSEERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900547	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSEERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900548	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSEERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900549	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSEERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900428	2021-06-05	•	—	Pending EP Checker Approval

5. The EP Data Manager Input Authorise User will be informed about the Account creation in two ways:
  - a. Dashboard view: increased counter in the Accounts section under “Awaiting EP Checker Approval”
  - b. Accounts List view: increased counter under “Awaiting EP Checker Approval”, changed icon from ‘—’ to ‘O’ in the EP column, and changed status to “Pending EP Checker Approval”

#### Approval by EP Data Manager Input Authorise User:

1. The EP Data Manager Input Authorise User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. Once the EP Data Manager Input Only User has submitted the Initial Account Creation details, the EP Data Manager Input Authorise User will be informed in two ways:
  - a. Dashboard view: increased counter in the Accounts section under “Awaiting EP Checker Approval”
  - b. Accounts List view: increased counter under “Awaiting EP Checker Approval”, a changed icon from ‘—’ to ‘O’ in the EP column, and changed status to “Pending EP Checker Approval”
3. The EP Data Manager Input Authorise User can navigate to the Accounts Details view by clicking “Details” on the Accounts List view.

4. The EP Data Manager Input Authorise User can review the Account details and click “Approve”.

**HKEX Synapse**  
The Power of Connectivity.

25 August 2022 @ symuat214 symuat214 X

Initial Account Details: SynComp541 [Back to Account List](#) [Reject](#) [Approve](#)

**Account Status:** [Delete Account Creation](#)

EP Maker: Approved ✓ EP Checker: Pending Approval ... CP: Pending ... Status: Inactive

**ACCOUNT DETAILS:**

**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

CP Name :	SynComp541
-----------	------------

5. The Account is now created for CP processing, and the status of EP Data Manager Input Authorise User will be shown as “Approved.”

**HKEX Synapse**  
The Power of Connectivity.

25 August 2022 @ symuat214 symuat214 X

Initial Account Details: SynComp541 [Back to Account List](#) [Delete Account Creation](#)

**Account Status:** [Delete Account Creation](#)

EP Maker: Approved ✓ EP Checker: Approved ✓ CP: Pending Approval ... Status: Inactive

**ACCOUNT DETAILS:**

**EP DETAILS:**

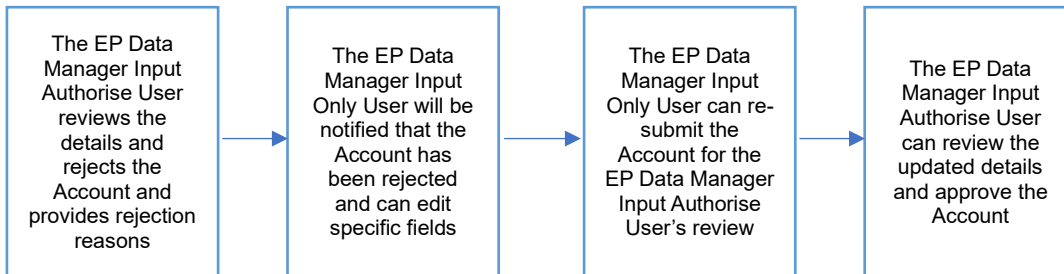
EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

CP Name :	SynComp541
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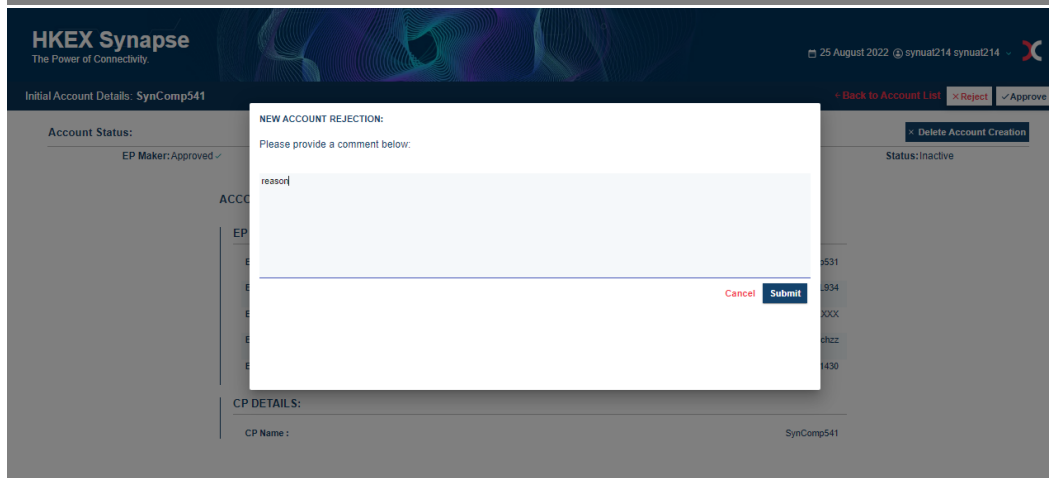
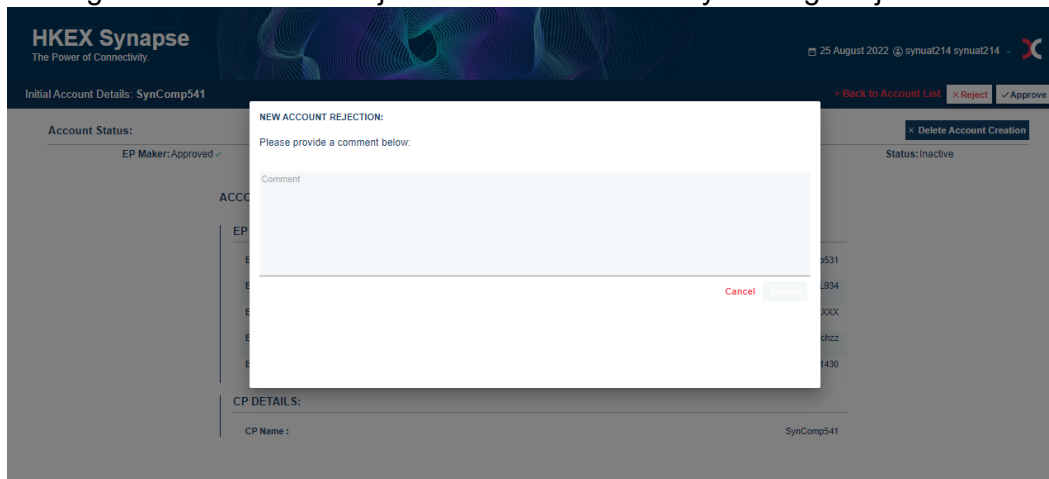
6. The CP Data Manager Input Only User will be informed that an account creation is ready for their review in two ways:
  - a. Dashboard view: increased counter in the Accounts section under “Awaiting CP Maker Approval”
  - b. Accounts List view: increased counter under “Awaiting CP Maker Approval”, Accounts List view changed icon from ‘O’ to ‘✓’ in the EP column, and changed status to “EP Approved”

## Approval by EP Data Manager Input Only User; Rejection by EP Data Manager Input Authorise User Back to EP Data Manager Input Only User:



## Rejection by EP Data Manager Input Authorise User Back to EP Data Manager Input Only User:

1. When the EP Data Manager Input Authorise User wants to reject the Account details, they must click “Reject”. A text box appears for the EP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.
2. Then the EP Data Manager Input Authorise User must provide the rejection reasons by clicking “Submit” and then reject the account details by clicking “Reject”.



3. The EP Data Manager Input Only User will be informed that the Account has been rejected in one way:
  - a. Accounts List view: changed icon from 'O' to '—' in the EP column and changed status to "EP Checker Rejected"
4. The EP Data Manager Input Only User can navigate to the Account Details view by clicking "Details" on the Accounts List view.
5. The account has been rejected by the EP Data Manager Input Authorise User, and the EP Data Manager Input Only User can click "Edit" to edit specific fields based on the EP Data Manager Input Authorise User's comments for resubmission.

**HKEX Synapse**  
The Power of Connectivity.

25 August 2022 @ synua211 synua211

Initial Account Details: SynComp541 ← Back to Account List

Account Status: EP Maker: Pending Amendment ... EP Checker: Rejected CP: Pending ... Status: Inactive Delete Account Creation

**ACCOUNT DETAILS:** ✎ Edit

**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500N68LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=inv/funds.ou=80a.o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

6. After editing specific fields, the EP Data Manager Input Only User can re-submit the Account for the EP Data Manager Input Authorise User's review by clicking "Resubmit".

**HKEX Synapse**  
The Power of Connectivity.

25 August 2022 @ synua211 synua211

Edit New Account Details Cancel Resubmit

CP BIC : DTCCDEAGXXX

CP DN : cn=inv/funds.ou=80a.o=creschzz

CP Participant ID : 801110

**ACCOUNT:**

\* EP's Account at CP : 900425

**ACCOUNT PROCESSING:**

\* Account Effective Date : 2021-06-05

Account Mapping Status : EP Checker Rejected

7. The EP Data Manager Input Authorise User can confirm that the fields re-submitted by going to the Account Details of the re-submitted record on Accounts List View and

“Approve”.

Initial Account Details: SynComp541

Account Status: EP Maker: Approved ✓ EP Checker: Pending Approval ... CP: Pending ... Status: inactive

ACCOUNT DETAILS:

EP DETAILS:

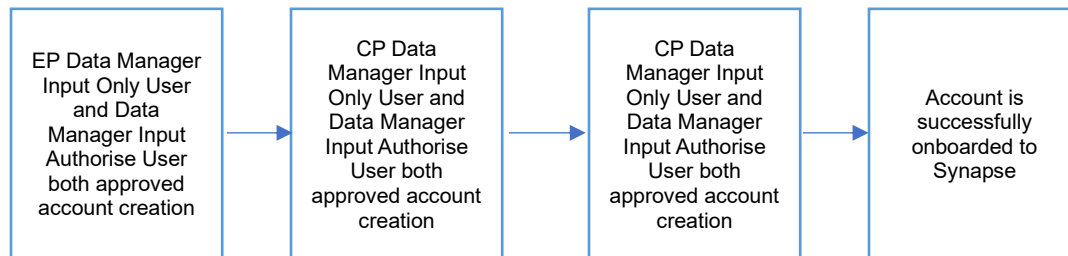
EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

CP DETAILS:

CP Name :	SynComp541
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### 6.1.2 Clearing Participant (CP)

**Approval by CP Data Manager Input Only User;  
Approval by CP Data Manager Input Authorise User:**



**Approval by CP Data Manager Input Only User:**

1. The CP Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The CP Data Manager Input Only User will be informed that the EP has successfully submitted an Account in two ways:
  - a. Dashboard view: increased counter in the Accounts section under “Awaiting CP Maker Approval”
  - b. Accounts List view: increased counter under “Awaiting CP Maker Approval”, changed icon from ‘—’ to ‘✓’ in the EP column, and changed status to “EP Approved”
3. The CP Data Manager Input Only User can navigate to the Account Details view by clicking “Details” on the Accounts List view.

- On the CP Data Manager Input Only User's Accounts Details page view, they must select the "CP's Account at CCASS" from drop-down menu and click "Submit for Approval" button.

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 @ synuat281 synuat281

Initial Account Details: SynComp541 ▲ To approve, provide the information indicated below. [← Back to Account List](#) [✖ Reject](#) [✔ Submit For Approval](#)

**Account Status:**  
EP: Approved ✓ ▲ CP Maker: Pending Approval ... CP Checker: Pending ... Status: Inactive

**ACCOUNT DETAILS:**

**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

CP Name :	SynComp541
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**HKEX Synapse**  
The Power of Connectivity

25 August 2022 @ synuat281 synuat281

Initial Account Details: SynComp541 ▲ To approve, provide the information indicated below. [← Back to Account List](#) [✖ Reject](#) [✔ Submit For Approval](#)

**Account Status:**  
EP: Approved ✓ ▲ CP Maker: Pending Approval ... CP Checker: Pending ... Status: Inactive

**CP DETAILS:**

CP Name :	SynComp541
CP LEI :	812700N66LADSESH679
CP BIC :	DTCCDEAGXXX
CP DN :	cn=invfunds,ou=80a,o=creschzz
CP CCASS ID :	B01110
▲ CP's Account at CCASS :	11 -

**ACCOUNT:**

EP's Account at CP :	900428
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**HKEX Synapse**  
The Power of Connectivity

25 August 2022 @ synuat281 synuat281

Initial Account Details: SynComp541 ▲ To approve, provide the information indicated below. [← Back to Account List](#) [✖ Reject](#) [✔ Submit For Approval](#)

**Account Status:**  
EP: Approved ✓ ▲ CP Maker: Pending Approval ... CP Checker: Pending ... Status: Inactive

CP DN :	cn=invfunds,ou=80a,o=creschzz
CP CCASS ID :	B01110
▲ CP's Account at CCASS :	11 -

**ACCOUNT:**

EP's Account at CP :	900428
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**ACCOUNT PROCESSING:**

Account Effective Date :	2021-06-05
Account Mapping Status :	EP Approved

Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
CP's Account at CCASS	Settlement Account No. at CCASS used by the CP for each of the Account No. for EP at CP	String	20	M	N/A

### Approval by CP Data Manager Input Authorise User:

1. The CP Data Manager Input Authorise User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The CP Data Manager Input Authorise User will be informed that the CP Data Manager Input Only User has submitted the Account for CP Data Manager Input Authorise User's approval in two ways:
  - a. Dashboard view: increased counter in the Accounts section under "Awaiting CP Checker Approval"
  - b. Accounts List view: increased counter under "Awaiting CP Checker Approval", changed icon from '—' to 'O' in the CP column, and changed status to "CP Maker Approved"
3. The CP Data Manager Input Authorise User can navigate to the Account Details view by clicking "Details" on the Accounts List view.
4. On the CP Data Manager Input Authorise User's Account details view, CP Data Manager Input Authorise User can confirm the Account details by clicking "Approve".

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 | synuat283 synuat283

Initial Account Details: SynComp541

Account Status: EP: Approved ✓ CP Maker: Approved ✓ ▲ CP Checker: Pending Approval ... Status: Inactive

ACCOUNT DETAILS:

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500N66LJYHJUL934

EP BIC : DTCCSELXXX

EP DN : cn=invfunds.ou=80a.o=creschzz

EP SEHK ID : 1430

CP DETAILS:

CP Name : SynComp541

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 | synuat283 synuat283

Initial Account Details: SynComp541 [Back to Account List](#)

Account Status: EP:Approved ✓ CP Maker:Approved ✓ CP Checker:Approved ✓ Status:Active

**ACCOUNT DETAILS:**

**EP DETAILS:**

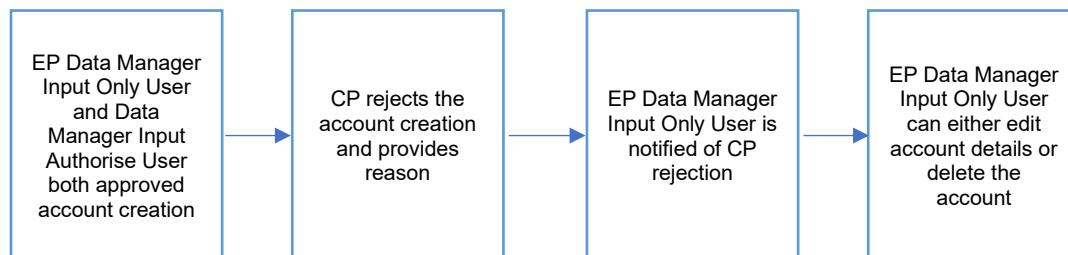
EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

CP Name :	SynComp541
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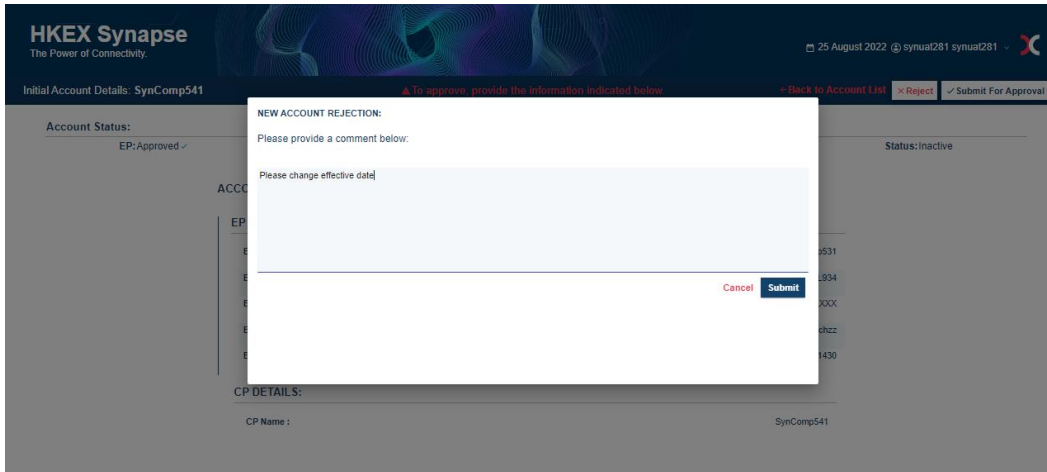
**Rejection by CP Data Manager Input Only User;  
Rejection by CP Data Manager Input Authorise User Back to EP Data Manager Input Only User:**

For an account to be onboarded successfully, CP needs to approve the account creation. If the CP Data Manager Input Only User rejects the account and the CP Data Manager Input Authorise User agrees with the CP Data Manager Input Only User’s rejection, the CP Data Manager Input Authorise User can reject back to the EP.



**Rejection by CP Data Manager Input Only User:**

1. When the CP Data Manager Input Only User rejects the Account creation, freeform text rejection reason(s) must be provided.



2. Then the CP Data Manager Input Only User must submit the rejection reasons by clicking “Submit” and then reject the account details by clicking “Reject”.
3. The CP Data Manager Input Authorise User will be informed that the Account has been rejected in two ways:
  - a. Dashboard view: increased counter in the Accounts section under “Awaiting CP Checker Approval”
  - b. Account List view: increased counter under “Awaiting CP Checker Approval”, changed icon from ‘—’ to ‘O’ in the CP column, and changed status to “CP Maker Rejected”

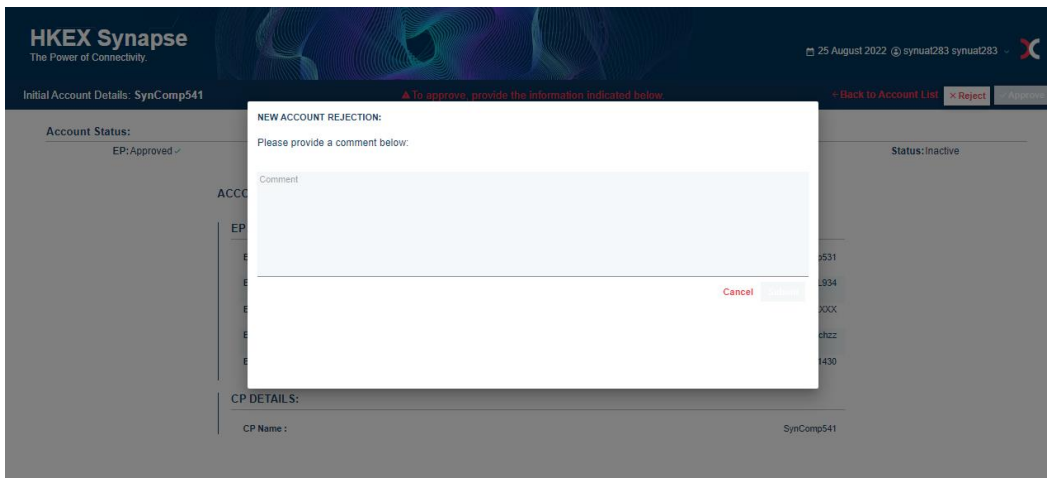
### Rejection by CP Data Manager Input Authorise User Back to EP Data Manager Input Only User:

1. The CP Data Manager Input Authorise User receives a notification that the CP Data Manager Input Only User has rejected the account via the Dashboard view or the Accounts List view.
2. On the Account Details view, the CP Data Manager Input Authorise User clicks “Reject” and sees the “Reject back to Maker” and the “Reject back to EP” buttons. The “Approve” button is greyed out.

button and then select “Reject Back to EP”:

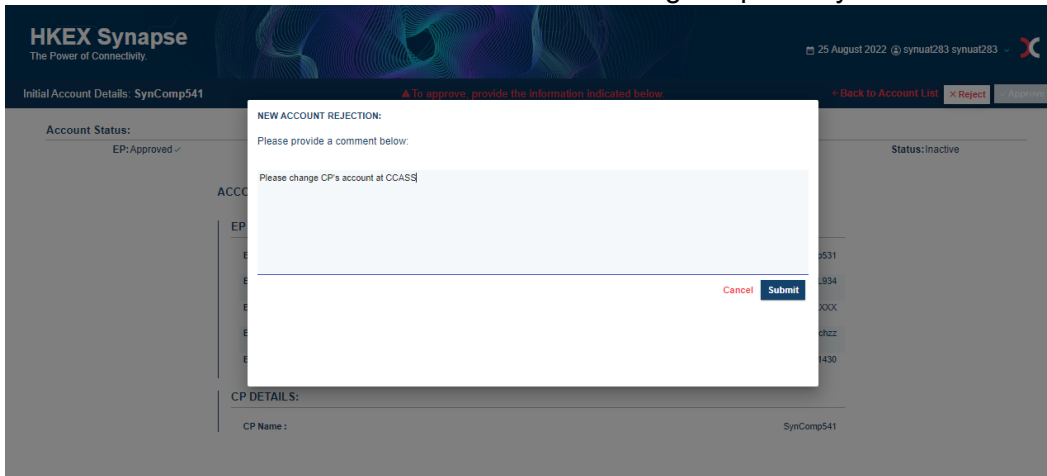


3. When the CP Data Manager Input Authorise User agrees with the CP Data Manager Input Only User's rejection, they can reject back to EP Data Manager Input Only User by clicking “Reject”
4. When the CP Data Manager Input Authorise User rejects the Account, a text box appears for the CP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.



5. The CP Data Manager Input Authorise User agrees with the CP Data Manager Input Only User's rejection and is required to provide freeform text rejection reason(s) to reject

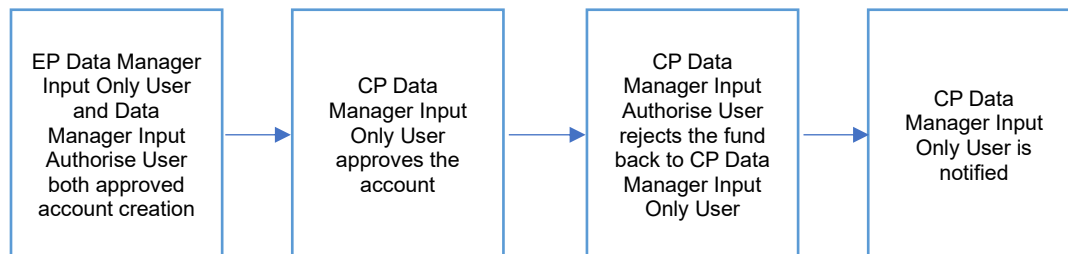
the Account submission back to the EP Data Manager Input Only User.



6. Then the EP Data Manager Input Only User is informed about the Account Creation rejection in one way:
  - a. Accounts List view: changed icon from '✓' to 'X' in EP column, and changed status to "CP Checker Rejected"
  - b. The CP Data Manager Input Only User and CP Data Manager Input Authorise User will see the row disappeared from the Accounts List view.

**Approval by CP Data Manager Input Only User;  
Rejection by CP Data Manager Input Authorise User Back to CP Data Manager Input Only User:**

For an account to be onboarded successfully, CP needs to approve the account creation. If the CP Data Manager Input Only User approves the account and the CP Data Manager Input Authorise User disagrees with the CP Data Manager Input Only User's approval/input, the CP Data Manager Input Authorise User will reject back to the CP Data Manager Input Only User.



## Rejection by CP Data Manager Input Authorise User Back to CP Data Manager Input Only User:

1. When the CP Data Manager Input Authorise User disagrees with the CP Data Manager Input Only User's approval, they can reject back to CP Data Manager Input Only User by clicking "Reject" button and select "Reject Back to Maker". The "Reject back to EP" button is greyed out.



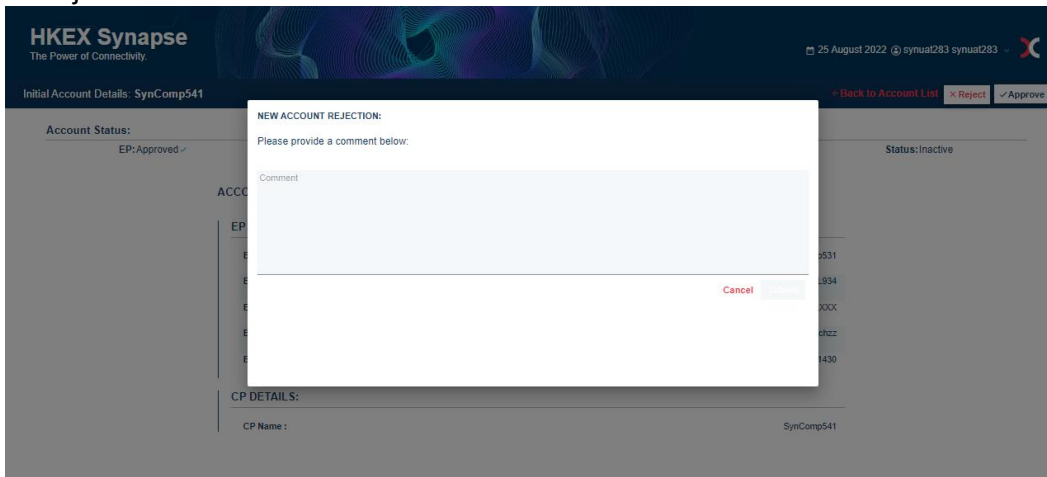
The screenshot shows the HKEX Synapse interface for account details. The header includes the logo and navigation options. The account status is displayed as: EP: Approved, CP Maker: Approved, CP Checker: Pending Approval, and Status: Inactive. A dropdown menu is open over the 'Status: Inactive' field, showing options: 'Reject Back To Maker' (selected), 'Reject Back To EP' (disabled), and 'Status: Inactive'. Below this, the 'ACCOUNT DETAILS' section is visible, containing 'EP DETAILS' and 'CP DETAILS'.

EP DETAILS:	
EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DCCCSELLXXX
EP DN :	cn=in/funds.ou=90a.o=creschzz
EP SEHK ID :	1430

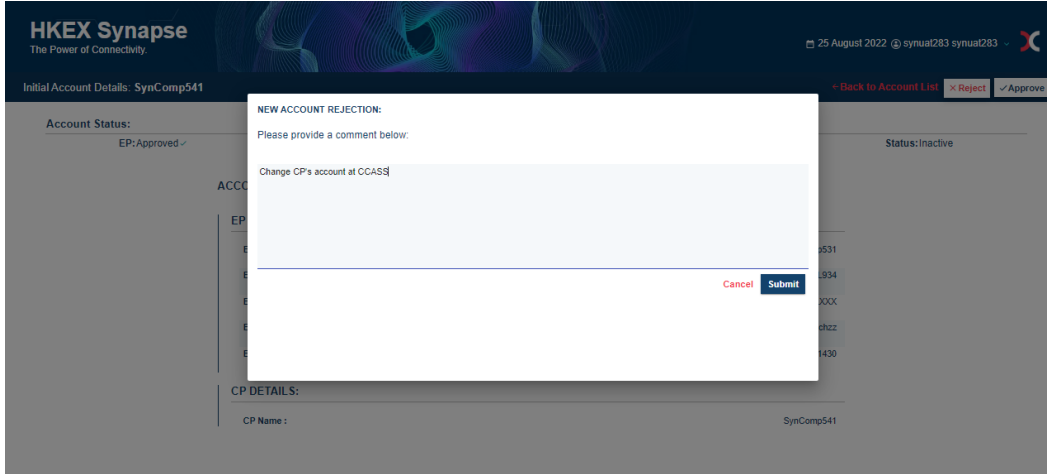
CP DETAILS:	
CP Name :	SynComp541

2. A text box appears for the CP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.

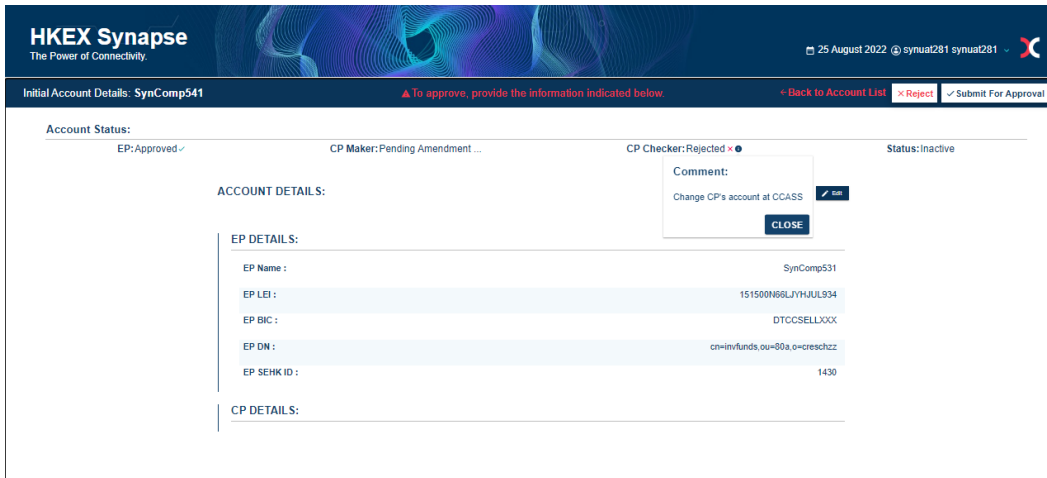


The screenshot shows the same HKEX Synapse account details page as above, but with a modal dialog box titled 'NEW ACCOUNT REJECTION' open in the center. The dialog contains the text 'Please provide a comment below:' followed by a large text input field labeled 'Comment'. At the bottom right of the dialog are 'Cancel' and 'Submit' buttons.

3. Then the CP Data Manager Input Authorise User must provide the rejection reason(s) by clicking “Submit”.

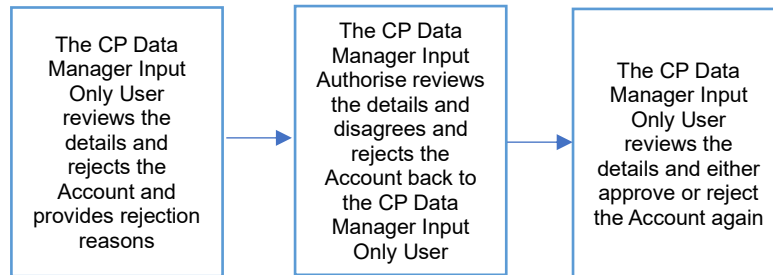


4. Then the CP Data Manager Input Only User is informed about the Account Creation rejection in one way:
  - a. Accounts List view: increased counter under “Awaiting CP Maker Approval”, changed status to “CP Checker Rejected”, and changed icon from ‘O’ to ‘—’ in the CP column



## Rejection by CP Data Manager Input Only User; Rejection by CP Data Manager Input Authorise User Back to CP Data Manager Input Only User:

For an account to be onboarded successfully, CP needs to approve the account creation. If the CP Data Manager Input Only User rejects the account and the CP Data Manager Input Authorise User disagrees with the CP Data Manager Input Only User's rejection, the CP Data Manager Input Authorise User will reject back to the CP Data Manager Input Only User.



## Rejection by CP Data Manager Input Authorise User Back to CP Data Manager Input Only User:

1. The CP Data Manager Input Authorise User receives a notification that the CP Data Manager Input Only User has rejected the account via the Accounts List view.
2. When the CP Data Manager Input Authorise User disagrees with the CP Data Manager Input Only User's rejection, they can reject back to CP Data Manager Input Only User by clicking "Reject" button and select "Reject Back to Maker". The "Approve" button is greyed out.

**HKEX Synapse**  
The Power of Connectivity

26 August 2022 | synuat283 synuat283

Initial Account Details: SynComp541

To approve, provide the information indicated below

Back to Account List | Reject | Approve

Account Status:

EP: Approved ✓ | CP Maker: Rejected ✗ | CP Checker: Rejection Pending Approval ...

Reject Back To Maker | Reject Back To EP | Status: inactive

ACCOUNT DETAILS:

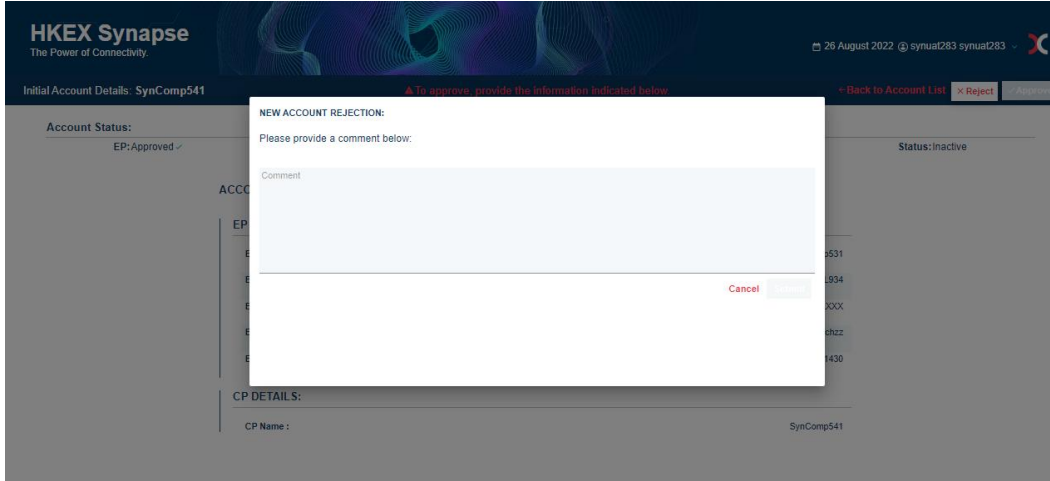
EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500N66LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=inifunds.ou=80a.o=creschzz
EP SEHK ID :	1430

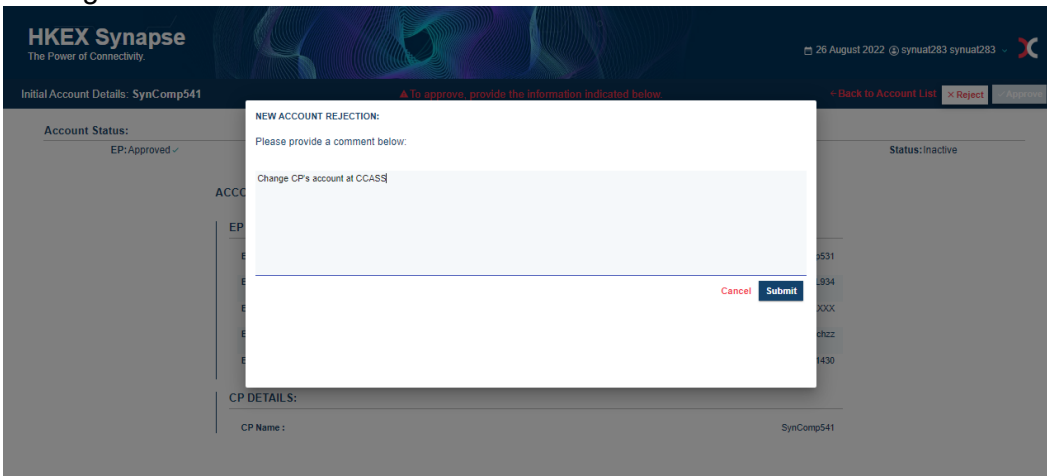
CP DETAILS:

CP Name :	SynComp541
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3. A text box appears for the CP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.



4. Then the CP Data Manager Input Authorise User must provide the rejection reason(s) by clicking “Submit”.



5. Then the CP Data Manager Input Only User is informed about the Account Creation rejection in one way:
  - a. Accounts List view: increased counter under “Awaiting CP Maker Approval”, changed status to “CP Checker Rejected”, and changed icon from ‘O’ to ‘—’ in the CP column

**HKEX Synapse**  
The Power of Connectivity

26 August 2022 | synuat283 synuat283

Initial Account Details: SynComp541 | To approve, provide the information indicated below | Back to Account List

Account Status: EP: Approved | CP Maker: Pending Amendment ... | CP Checker: Rejected | Status: Inactive

Comment:  
Change CP's account at CCASS [edit]  
CLOSE

ACCOUNT DETAILS:

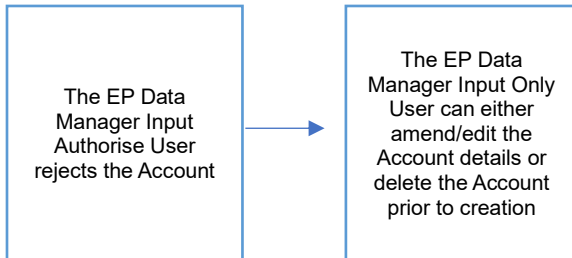
EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=inv/lands,ou=80a,o=creschzz
EP SEHK ID :	1430

CP DETAILS:

## 6.2 Delete Account Creation Prior to EP's Approval

Accounts can be deleted only by EP Data Manager Input Only User prior to receiving EP Data Manager Input Authorise User's approval.



### 6.2.1 Exchange Participant (EP)

#### EP Data Manager Input Only User:

1. If the Account created by the EP Data Manager Input Only User was rejected by the EP Data Manager Input Authorise User, then the EP Data Manager Input Only User can either amend/edit the Account details or delete the Account prior to creation.

Initial Account Details: SynComp541 ← Back to Account List

Account Status: Delete Account Creation

EP Maker: Pending Amendment ... EP Checker: Rejected ● CP: Pending ... Status: Inactive

ACCOUNT DETAILS: ✔ edit

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500N66LJYHJUL934

EP BIC : DTCCSELXXX

EP DN : cn=invfunds.ou=80a.o=creschzz

EP SEHK ID : 1430

CP DETAILS:

2. If the EP Data Manager Input Only User chooses to delete the Account, then they can navigate to the Account Details view and click “Delete Account”.

Initial Account Details: SynComp541 ← Back to Account List

Account Status: Delete Account Creation

EP Maker: Pending Amendment ... EP Checker: Rejected ● CP: Pending ... Status: Inactive

ACCOUNT DETAILS: ✔ edit

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500N66LJYHJUL934

EP BIC : DTCCSELXXX

EP DN : cn=invfunds.ou=80a.o=creschzz

EP SEHK ID : 1430

CP DETAILS:

3. Once that button is clicked, the Account will be deleted.
4. When the EP Data Manager Input Only User goes back to the Accounts list view, the Account will no longer be listed.

Initial Account Details: SynComp541 ← Back to Account List

Account Status: Delete Account Creation

EP Maker: Pending Amendment ... EP Checker: Rejected ● CP: Pending ... Status: Inactive

ACCOUNT DETAILS: ✔ edit

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500N66LJYHJUL934

EP BIC : DTCCSELXXX

EP DN : cn=invfunds.ou=80a.o=creschzz

EP SEHK ID : 1430

CP DETAILS:

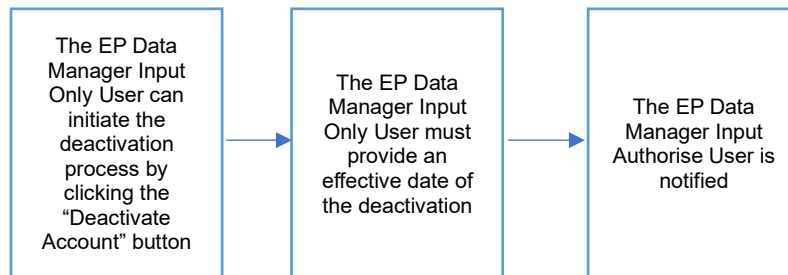
## 6.3 Deactivate Account After Account is Activated

Accounts can be deactivated only by EP Data Manager Input Only User. Account deactivation occurs when the EP Data Manager Input Only User initiates the deactivation and the EP Data Manager Input Authorise User approves the deactivation. Account will then be deactivated on the effective date input by EP.

### 6.3.1 Exchange Participant (EP)

Approval by EP Data Manager Input Only User;  
Approval by EP Data Manager Input Authorise User:

Approval by EP Data Manager Input Only User:

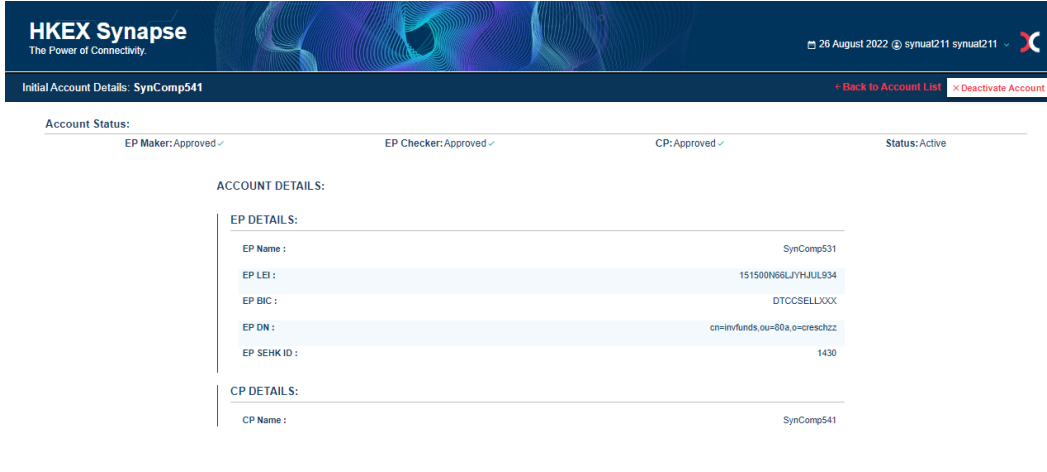


1. The EP Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The EP Data Manager Input Only user can navigate to the Accounts List view by clicking the "Accounts" tab.

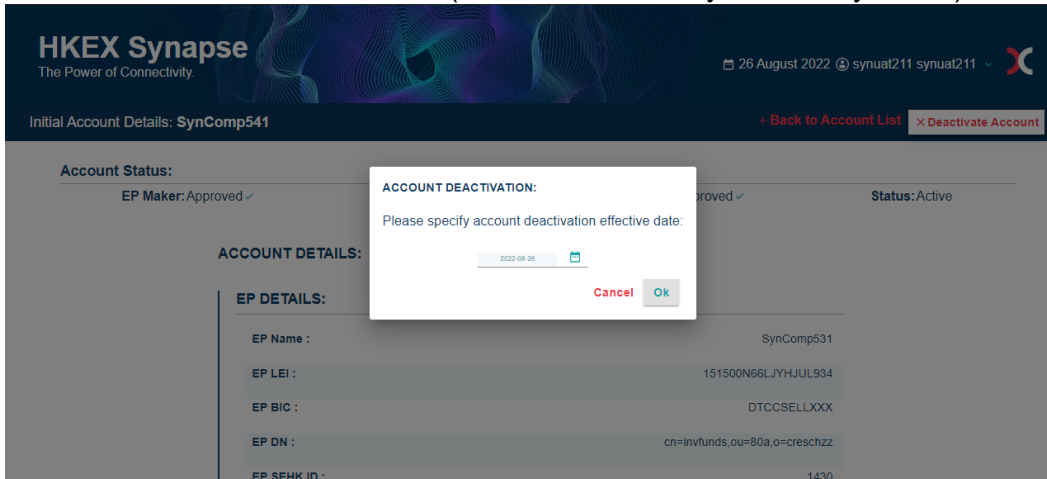
CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS	
SynComp541	812700N66LADSESRH679	DTCCDEAGXXX	cn=invfunds.ou=86a.o=creschzz	B01110	900546	2021-06-05	✓	✓	Active	DETAILS >
SynComp541	812700N66LADSESRH679	DTCCDEAGXXX	cn=invfunds.ou=86a.o=creschzz	B01110	900429	2021-06-05	✓	—	CP Checker Rejected	DETAILS >
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds.ou=86a.o=creschzz	B01115	900427	2021-06-05	•	—	Pending EP Checker Approval	DETAILS >

3. The EP Data Manager Input Only User can select an active account and navigate to the Account Details view by clicking "Details" on the Accounts List view.

- On the Accounts Details view, the EP Data Manager Input Only User can initiate the deactivation process by clicking “Deactivate Account”.



- A pop-up window requesting the account deactivation effective date will appear. The effective date must be future date (i.e., at least one day after today's date).



- The EP Data Manager Input Only User enters the account deactivation effective date and clicks “Deactivate Account”, and the EP Data Manager Input Authorise User is informed in one way:
  - Accounts List view: the EP column will have a ‘O’ icon and the status column will show “Inactivation Pending Approval”

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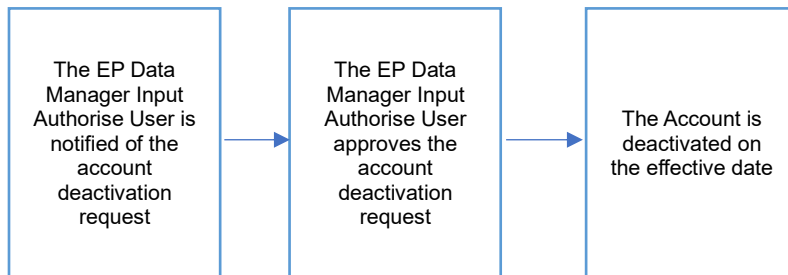
Dashboard Settlement Instructions **Accounts** Relationships Market Data Reports

ACCOUNTS 1 0  
Awaiting EP Checker Approval Awaiting CP Approval

Search Generate Report + New Account

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LADSESRH679	DTCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2022-08-27	✓	✓	Inactivation Pending Approval
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds.ou=80a.o=creschzz	B01115	900427	2021-06-05	•	-	Pending EP Checker Approval

### Approval by EP Data Manager Input Authorise User:



1. The EP Data Manager Input Authorise User is informed that there is an account deactivation request in one way:
  - a. Account List view: the status column will show “Inactivation Pending Approval”

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Dashboard Settlement Instructions **Accounts** Relationships Market Data Reports

ACCOUNTS 1 0  
Awaiting EP Checker Approval Awaiting CP Approval

Search Generate Report + New Account

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LADSESRH679	DTCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2022-08-27	✓	✓	Inactivation Pending Approval
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds.ou=80a.o=creschzz	B01115	900427	2021-06-05	•	-	Pending EP Checker Approval

2. The EP Data Manager Input Authorise User can approve the deactivation request by clicking “Approve Deactivation”

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Initial Account Details: SynComp541 ▲ Pending Account Deactivation Effective Date: 2022-08-27 [← Back to Account List](#) [× Reject Deactivation](#) [✓ Approve Deactivation](#)

Account Status: × Delete Account Creation

EP Maker: Approved ✓ EP Checker: Account Deactivation Pending Approval ... CP: Approved ✓ Status: Active

**ACCOUNT DETAILS:**

**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500N66LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=invfunds.ou=80a.o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

CP Name :	SynComp541
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3. The EP Data Manager Input Only User will be informed of the account deactivation and its effective date in one way:
  - a. Account List view: changed status to “Inactivation Approved”
    - i. Note: the account will then be deactivated on the effective date, and the status will change to “Inactive”

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Dashboard Settlement Instructions **Accounts** Relationships Market Data Reports

**ACCOUNTS** 1 0 Search Generate Report New Account

Awaiting EP Checker Approval Awaiting CP Approval

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS	
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds.ou=80a.o=creschzz	B01115	900427	2021-06-05	✓	✓	Pending EP Checker Approval	DETAILS >
SynComp541	812700N66LADSESRH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2022-08-27	✓	✓	Inactivation Approved	DETAILS >

### Notification for Clearing Participant (CP):

1. Both the CP Data Manager Input Only User and CP Data Manager Input Authorise User will be informed of the account deactivation and its effective date in two ways:
  - a. Account List view: changed status to “Inactivation Approved” (Note: the account will then be deactivated on the effective date, and the status will change to “Inactive”)

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Dashboard Settlement Instructions **Accounts** Relationships Market Data Reports

**ACCOUNTS** 0 0  
Awaiting CP Maker Approval Awaiting CP Checker Approval

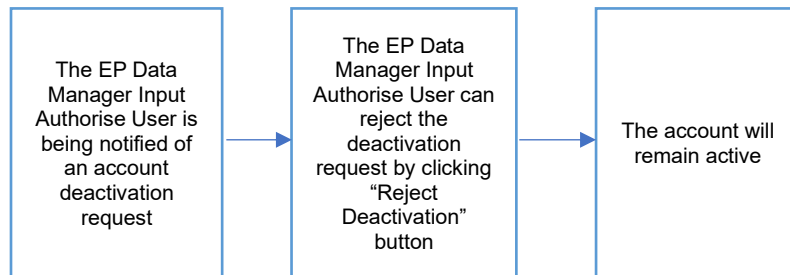
Search Generate Report

EP NAME	EP LEI	EP BIC	EP DN	EP SEHK ID	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	ACCOUNT EFFECTIVE DATE	EP STATUS
SynComp531	151500N68LJVHJUL934	DTCCSELLXXX	cn=invfunds.ou=80a.o=creschz	1430	900546	11	2022-08-27	Inactivation Approved

b. UI Notification on Dashboard page under Accounts

**Approval by EP Data Manager Input Only User;  
Rejection by EP Data Manager Input Authorise User:**

**Rejection by EP Data Manager Input Authorise User:**



1. The EP Data Manager Input Authorise User is informed that there is an account deactivation request in one way:

a. Account List view: the status column will show "Inactivation Pending Approval"

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Dashboard Settlement Instructions **Accounts** Relationships Market Data Reports

**ACCOUNTS** 1 1  
Awaiting EP Checker Approval Awaiting CP Approval

Search Generate Report + New Account

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP STATUS
SynComp541	812700N68LADSESRH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschz	B01110	900546	2022-08-31	Inactivation Pending Approval
SynComp541	812700N68LADSESRH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschz	B01110	902858	2021-06-05	Active
CP01234_SynapseCP	LAKVM34512JHRTG4596	SYNCOMP326X	cn=invfunds.ou=80a.o=creschz	B01227	9001961	2021-06-05	Pending EP Checker Approval
CP01235_SynapseCP	XBCVDU47121234EDFED8	SYNCOMP327X	cn=invfunds.ou=80a.o=creschz	B01228	9001962	2021-06-05	EP Approved
SynComp319	9R2R2G2G23G57M9MS0EG	SYNCOMP319X	cn=invfunds.ou=80a.o=creschz	B01213	9001963	2021-06-05	Active
SynComp283	Q69A8027GLZNPXTRPYOE	SYNCOMP283X	cn=invfunds.ou=80a.o=creschz	B01138	9007962	2021-06-05	Active

- On the Accounts tab, the EP Data Manager Input Authorise User can go to the Accounts Details page and reject the deactivation request by clicking “Reject Deactivation” button.

The screenshot shows the HKEX Synapse interface for account details. At the top, it says "Initial Account Details: SynComp541". A red warning banner indicates "Pending Account Deactivation Effective Date: 2022-08-31". Navigation buttons include "< Back to Account List", "> Reject Deactivation", and "✓ Approve Deactivation". A "Delete Account Creation" button is also visible.

**Account Status:**  
 EP Maker: Approved ✓      EP Checker: Account Deactivation Pending Approval ...      CP: Approved ✓      Status: Active

**ACCOUNT DETAILS:**

**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

CP Name :	SynComp541
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- The account will remain active, and the process stops there.

The screenshot shows the HKEX Synapse interface for account details. At the top, it says "Initial Account Details: SynComp541". A red banner indicates "< Back to Account List".

**Account Status:**  
 EP Maker: Approved ✓      EP Checker: Approved ✓      CP: Approved ✓      Status: Active

**ACCOUNT DETAILS:**

**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

CP Name :	SynComp541
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Note: the CP Data Manager Input Only User and CP Data Manager Input Authorise User only receive notification of an account deactivation after the EP Data Manager Input Authorise User approves the account deactivation. If the EP Data Manager Input Authorise User rejects the account deactivation request, then the process ends and no notification will be sent to any participants.

## 6.4 Accounts List View for Sell Side Participants

The Accounts List View provides an overview of the sell side participants' accounts and specific details.

### 6.4.1 Exchange Participant (EP)

Field Name	Description
CP Name	The Legal Entity name of the CP
CP LEI	Legal Entity Identifier for the Clearing Participant
CP BIC	BIC Code of Clearing Participant
CP DN	DN Code of Clearing Participant
CP CCASS ID	CCASS Participant ID of Clearing Participant
EP's Account at CP	Account No. for EP at CP
Account Effective Date	The date from which the Sell side Account mapping is active on the system
EP Status	Status of EP
CP Status	Status of CP
Status	Overall Status of the Account

### 6.4.2 Exchange Participant Outsourcing Operator (EPOO)

Field Name	Description
EP Name	The Legal Entity Name of the EP
CP Name	The Legal Entity name of the CP
CP LEI	Legal Entity Identifier for the Clearing Participant
CP BIC	BIC Code of Clearing Participant
CP DN	DN Code of Clearing Participant
CP CCASS ID	CCASS Participant ID of Clearing Participant
EP's Account at CP	Account No. for EP at CP
Account Effective Date	The date from which the Sell side Account mapping is active on the system
EP Status	Status of EP
CP Status	Status of CP
Status	Overall Status of the Account

### 6.4.3 Clearing Participant (CP)

Field Name	Description
EP Name	The Legal Entity Name of the EP
EP LEI	Legal Entity Identifier for the Exchange Participant
EP BIC	BIC Code of Exchange Participant
EP DN	DN Code of Clearing Participant
EP SEHK ID	Identification number for EP at Stock Exchange of Hong Kong
EP's Account at CP	Account No. for EP at CP
CP's Account at CCASS	Settlement Account No. at CCASS used by the CP for each of the Account No. for EP at CP
Account Effective Date	The date from which the Sell side Account mapping is active on the system
EP Status	Status of EP
CP Status	Status of CP
Status	Overall Status of the Account

### 6.4.4 Account Operator (AO)

Field Name	Description
CP Name	The Legal Entity Name of the CP
EP Name	The Legal Entity Name of the EP
EP LEI	Legal Entity Identifier for the Exchange Participant
EP BIC	BIC Code of Exchange Participant
EP DN	DN Code of Clearing Participant
EP SEHK ID	Identification number for EP at Stock Exchange of Hong Kong
EP's Account at CP	Account No. for EP at CP
CP's Account at CCASS	Settlement Account No. at CCASS used by the CP for each of the Account No. for EP at CP
Account Effective Date	The date from which the Sell side Account mapping is active on the system
EP Status	Status of EP
CP Status	Status of CP
Status	Overall Status of the Account

## 7. Instruction Processing

After receiving the SN from DTCC, Synapse will create the settlement instructions and user could locate the instruction in the “Settlement Instruction List View”, and also access the underlying settlement detail in the “Settlement Instruction Detail view”.

Synapse creates different types of Settlement Instructions. Settlement Instructions (SIs), Stock Segregated Account Transfer Instruction (STIs), and Special STIs (SSTIs) on behalf of its participants in CCASS after getting relevant participants’ approval.

- SIs occur when the buy side and sell side are different entity (i.e., different CCASS participants)
- STIs occur when both the buy side (LC) and sell side (CP) are the same entity (i.e., same CCASS participant)
- SSTIs occur when both buy side and sell side are the same entity (i.e., same CCASS participant) but only one side is on Synapse

CCASS does not differentiate between SSTI and STI and both STI and SSTI will follow the standard CCASS STI mechanism.

## 7.1 Settlement Instructions List View

The Settlement Instructions List View provides an overview of what actions need to be taken for SIs, STIs, and SSTIs by the instruction creation date. The ribbon provides an overview of instructions' statuses.

Section Sub-header	Description
Processing	<p>Shows the total number of all Settlement Instructions pending approval or being rejected (please see below for list of Synapse rejection reasons) such that Settlement Instructions have not yet been submitted to CCASS, i.e., no CCASS Input Number has been received yet, on current HKT business day and within the past 31 calendar days.</p> <p>Transactions with the following Synapse status are included into that counter:</p> <ul style="list-style-type: none"> <li>• RJGC – rejected by Global Custodian – transaction is rejected by Global Custodian</li> <li>• RJLC – rejected by Local Custodian – transaction is rejected by Local Custodian</li> <li>• RJCP – rejected by Clearing Participant – transaction is rejected by Clearing Participant</li> <li>• RJCE – rejected by CCASS – transaction is rejected by CCASS as it carries information not recognized by CCASS, or due to system error</li> </ul> <p>Note: If the SCV is with Synapse status = CTHP (Cancelled by Third Party) but with no CCASS status (i.e., the SN is cancelled before being approved by GC/LC/CP (before directed to CCASS)), it will show as "Processing" in the list view instead of "Cancelled". If such SCV is subsequently being approved by GC/ LC / CP, then Synapse will send to CCASS and the unmatched / matched / settled counter will also be updated subsequently. Please refer to Section 7.5 for different CCASS status.</p>
Unmatched	<p>Shows the total number of Settlement Instructions (SI) with CCASS status "Unmatched" on current HKT business day and within the past 31 calendar days.</p> <p>Transactions with the following CCASS status are included into that counter:</p> <ul style="list-style-type: none"> <li>• NCRR – settlement currency mismatch</li> </ul>

Section Sub-header	Description
	<ul style="list-style-type: none"> <li>• DSEC – stock code/ISIN unmatched</li> <li>• DQUA – quantity unmatched</li> <li>• CMIS – no possible matching SI found</li> <li>• OTHR – other</li> <li>• FRAP – payment instruction unmatched</li> <li>• PODU – possible matching SI but not earmarked as pairs</li> <li>• SAFE – client A/C no. unmatched</li> <li>• DMON – money value unmatched</li> <li>• DDAT – settlement date unmatched</li> <li>• DELN – transaction direction unmatched</li> </ul>
Matched	<p>Shows the total number of Settlement Instructions (SI and STI) with CCASS Status “Matched” on current HKT business day and within the past 31 calendar days.</p> <p>The CCASS statuses supported by Synapse are:</p> <ul style="list-style-type: none"> <li>• MTCH – matched</li> <li>• CYCL – matched – payment validated</li> <li>• CVAL – matched – RDP shares on hold</li> <li>• PREA – matched – matched on hold or counterparty instruction on hold</li> <li>• CAIS – pending for transfer (STI only)</li> </ul>
Settled	<p>Shows the total number of Settlement Instructions (SI and STI) with CCASS Status “Settled” for SI or “Transferred” for STI on current HKT business day. If the settlement instruction settled on current HKT business day is not created today (e.g. created previously on T-1), the “Settled” counter will not be reflected.</p> <p>The CCASS statuses supported by Synapse are:</p> <ul style="list-style-type: none"> <li>• SETD – settled</li> </ul>
Cancelled*	<p>Shows the total number of all cancelled transaction of SI and STI (all end of lifecycle statuses) on current HKT business day which is the same as the creation date. Cancelled SI / STI before approval will not be reflected.</p> <p>The CCASS statuses supported by Synapse are:</p> <ul style="list-style-type: none"> <li>• CSUB – cancelled – revoked SI by counterparty</li> <li>• CANS – cancelled – SI/STI purged</li> <li>• CANI – cancelled or revoked SI OR unmatched SI deleted OR</li> </ul>

Section Sub-header	Description
	cancelled for STI

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

Settlement Instructions

SETTLEMENT INSTRUCTIONS 5 5 0 1 0  
Processing Unmatched Matched Settled Cancelled

2021-05-05

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	882231	CNE100003088	29.626	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	-	-	-	DETAILS >
STI	882231	CNE100003088	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	DETAILS >
SI	882231	CNE100003088	29.622	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	29.621	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	29.624	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	29.623	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	29.626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	2.231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	DETAILS >
STI	882231	CNE100003088	22.312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	DETAILS >
SI	502775	CNE100003088	2.775	CNY	4,065,977.07	DELI	DVP	543008	DTCCSELLXXX	3008984155771021	✓	✓	✓	Settled DETAILS >

The type of instruction is indicated in the Instruction Type column 'INS TYPE' on the left. The date shown on the top right-hand corner of the SI List View is the SI creation date, the settlement instructions are shown by the creation date in the SI List View. A label reflects the date applied to the list view is next to the calendar date picker of SI creation date. Remaining column headers on each participants' views are unique and outlined further below.

The following shapes indicate what actions has been taken or need to be taken:

- '—'no action has been taken yet by the participant. This means that either the Transaction Balances Input Only User for the relevant participant needs to take action, or that participant is not on Synapse and no action will ever be taken, e.g. for a buy-side chain whose sell-side is not onboarded to Synapse, the CP column will always show '—'
- 'O' there is a Transaction Balances Input Only User proposal that is pending Transaction Balances Input Authorise User to review and accept/reject within the same participant entity.
- '✓' the instruction has been approved by that Transaction Balances Input Only User and Transaction Balances Input Authorise User
- 'X' the instruction has been rejected by that Transaction Balances Input Only User and Transaction Balances Input Authorise User

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

Settlement Instructions

SETTLEMENT INSTRUCTIONS 5 5 0 1 0  
Processing Unmatched Matched Settled Cancelled

2021-05-05

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	882231	CNE100003088	29.626	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	-	-	-	DETAILS >
STI	882231	CNE100003088	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	DETAILS >
SI	882231	CNE100003088	29.622	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	29.621	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	29.624	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	29.623	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	29.626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	✓	✓	-	Unmatched DETAILS >
SI	882231	CNE100003088	2.231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	DETAILS >
STI	882231	CNE100003088	22.312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	DETAILS >
SI	502775	CNE100003088	2.775	CNY	4,065,977.07	DELI	DVP	543008	DTCCSELLXXX	3008984155771021	✓	✓	✓	Settled DETAILS >

Each participant can click into the 'Details' button and be brought to the Settlement Instructions Details View where further action can be taken.

### 7.1.1 Buy Side

Buy side participants can view new SIs, STIs, and SSTIs on the Settlement Instructions List View screen to know which instructions are pending for their actions.

Settlement Instructions Status Bar mapping can be found in 1 Dashboard / 1.1 Buy Side / Settlement Instructions.

#### 7.1.1.1 Asset Managers (AM)

Field	Description
INS TYPE	Indicating the settlement instruction type, (i.e., SI, STI, SSTI)
Fund ID	Fund ID of the Fund onboarded in Synapse
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.1.2 Asset Manager Middle Outsourcing Operator (AMOO)

INS TYPE	AM BIC	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	Status
SI	UBS000000000	55277	CNEL30000359	2.152	CNY	4,965,917.51	DELI	DVP	100777	5055PFAA000X	000000751009940				Processing

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
AM BIC	AM Business Identification Code
Fund ID	Fund ID of the Fund onboarded in Synapse
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

### 7.1.1.3 Global Custodians (GC)

**SETTLEMENT INSTRUCTIONS**

4 0 0 0 0  
Processing Unmatched Matched Settled Cancelled

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	CNE100003089	92,200	CNY	4,065,977.07	DELI	DVP	542548	DTCCSELLXXX6058768034052433		-	-	-	DETAILS >
SI	CNE100003089	92,200	CNY	4,065,977.07	DELI	DVP	542548	DTCCSELLXXX6058768034252433		-	-	-	DETAILS >
SI	CNE100003089	92,200	CNY	4,065,977.07	RECE	DVP	542695		9968768034052118	-	-	-	DETAILS >
SSTI	CNE100003089	92,200	CNY	4,065,977.07	DELI	DVP	542030		2030930122176672	-	-	-	DETAILS >

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.1.4 Local Custodians (LC)

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	Status
STI	CNE100000833	23.92	CHF	4,965,977.07	DELI	DVP	782231	C00104	80000001	2310994155777021	-	-	-	Unmatched
SI	CNE100000833	2.231	CHF	4,965,977.07	DELI	DVP	782231	B01110	80000001	2310994155777021	-	-	-	Unmatched
SI	CNE100000833	29.626	CHF	4,965,977.07	DELI	DVP	782231	B01110	80000001	2119994155777021	-	-	-	Unmatched
STI	CNE100000833	29.607	CHF	4,965,977.07	DELI	DVP	782231	C00104	80000001	2962094155777021	-	-	-	Unmatched
STI	CNE100000833	29.607	CHF	4,965,977.07	DELI	DVP	782231	C00104	80000001	2962094155777021	-	-	-	Unmatched
SI	CNE100000833	29.622	CHF	4,965,977.07	DELI	DVP	782231	B01110	80000001	2119994155777021	✓	✓	-	Settled
SI	CNE100000833	29.621	CHF	4,965,977.07	DELI	DVP	782231	B01110	80000001	2119994155777021	✓	✓	-	Settled
SI	CNE100000833	29.624	CHF	4,965,977.07	DELI	DVP	782231	B01110	80000001	2119994155777021	✓	✓	-	Settled
SI	CNE100000833	29.623	CHF	4,965,977.07	DELI	DVP	782231	B01110	80000001	2119994155777021	✓	✓	-	Settled
SI	CNE100000833	29.629	CHF	4,965,977.07	DELI	DVP	782231	B01110	80000001	2962094155777021	✓	✓	-	Settled
SI	CNE100000833	2.175	CHF	4,965,977.07	DELI	DVP	782231	B01110	80000001	2962094155777021	✓	✓	-	Settled

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
GC Account at LC	GC Account at LC for the Fund of the trade
CP CCASS ID	CP's CCASS Participant ID
SPSA	Special Segregated Account
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.2 Sell Side

Sell side participants are able to view new SIs, STIs, and Special STIs on the Settlement Instruction List View screen to know which instructions need processing.

Settlement Instructions Status Bar mapping can be found in 1 Dashboard / 1.2 Sell Side / Settlement Instructions.

### 7.1.2.1 Exchange Participant (EP)

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	AM BIC	TRADE ID	GC	LC	CP	STATUS
SI	CNE100003838	22,312	CNY	4,065,977.07	RECE	DVP	980548	DTCCMEOR0000	8055324624102231	-	-	-	Processing
SSTI	CNE100003838	2,231	CNY	4,065,977.07	RECE	DVP	980548	DTCCMEOR0000	8055324624102231	-	-	-	Processing
SSTI	CNE100003838	62,386	CNY	4,065,977.07	RECE	DVP	980548	DTCCMEOR0000	800000057182836	-	-	-	Processing
STI	CNE100003838	29,627	CNY	4,065,977.07	RECE	DVP	980548	DTCCMEOR0000	8855324624139827	-	-	-	Processing
STI	CNE100003838	29,627	CNY	4,065,977.07	RECE	DVP	980548	DTCCMEOR0000	8855324624139828	-	-	-	Processing
SI	CNE100003838	62,000	HKD	5,392.18	RECE	DVP	982188	DTCCMEOR0000	8000940261020188	-	-	-	Processing
SI	CNE100003838	62,000	HKD	5,392.18	RECE	DVP	982188	DTCCMEOR0000	8000940261022188	-	-	-	Processing
SI	CNE100003838	62,000	CNY	4,065,977.07	RECE	DVP	982188	DTCCMEOR0000	8000940261023188	-	-	-	Processing
SI	CNE100003838	29,626	CNY	4,065,977.07	RECE	DVP	980548	DTCCMEOR0000	8055324624102628	-	-	-	Processing
SI	CNE100003838	2,362	CNY	4,065,977.07	RECE	DVP	980551	DTCCMEOR0000	8055324624102333	-	-	-	Cancelled
SI	CNE100003838	2,775	CNY	4,065,977.07	RECE	DVP	983008	DTCCMEOR0000	8055324624103088	-	-	-	Settled

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
EP's Account at CP	EP's Account No. at CP for the Account of the trade
AM BIC	AM Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.2.2 Exchange Participant Middle Outsourcing Operator (EPOO)

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
EP BIC	EP Business Identification Code
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
EP's Account at CP	EP's Account No. at CP for the Account of the trade
AM BIC	AM Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, matched, or settled status of the settlement instruction

## 7.1.2.3 Clearing Participant (CP)

Field	Description
INST TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity

Field	Description
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
EP's Account at CP	EP's Account No. at CP for the Account of the trade
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade
LC CCASS ID	LC's CCASS Participant ID
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, matched, or settled status of the settlement instruction

## Account Operator (AO)

The screenshot displays the HKEX Synapse Account Operator (AO) interface. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. The 'Settlement Instructions' section is active, showing a summary of 4 processing instructions, 0 unmatched, 0 matched, and 0 settled. Below this is a table of settlement instructions with columns for INS TYPE, CP BIC, ISIN, QUANTITY, SETTLEMENT CURRENCY, SETTLEMENT AMOUNT, TYPE, PAYMENT MODE, EP'S ACCOUNT AT CP, CP'S ACCOUNT AT CCASS, LC CCASS ID, TRADE ID, CP, GC, and LC. The table contains four rows of data for different securities and currencies (HKD, CHF).

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
CP BIC	Clearing Participant Business Identification Code
ISIN	Identification of Security. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either receive or deliver
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
EP's Account at CP	Exchange Participant's Account at Clearing Participant
CP's Account at CCASS	Clearing Participant's Account at CCASS
LC CCASS ID	Local Custodian's CCASS ID
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC, approval
LC	Status of LC approval
CP	Status of CP approval

Field	Description
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.2 Settlement Instruction Details View

### Key Settlement Instruction Details

Each participant sees different Settlement Instruction Details and the details are outlined below.

#### 7.2.1 Buy Side

##### 7.2.1.1 Asset Managers (AM)

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE10003059	Depository BIC	XHKCH0H1XXX	Trade Date	2023-09-01
Local Code	93986	Quantity	200.000	Type	DELJ
Name	DIGIDEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CHF	Deal Price Currency	CHF
		Settlement Amount	200.000.01	Deal Price	44.06
		Effective Settlement Date	2023-07-11	Currency To Buy	USD
		Settled Currency	CHF	Currency To Sell	
		Settled Amount	200.000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	52320406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP173X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp173
Fund Account at GC	54202406	Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC Name: LEI)	Buyer: 200 Buyer Lane, NY, NY 55555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
				CP's Account at CCASS	

AMs can view the following:

### Financial Instrument Details

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

### Settlement Details

Field	Description
Depository BIC	Depository Business Identification Code
Quantity	Trade quantity
Settlement Date	Contractual settlement date of the trade
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade
Settled Currency	Settled currency of the trade
Settled Amount	Before the instruction is settled, this field reflects the latest amount in CCASS. Once the instruction is settled, it will become the settled amount of the trade

Field	Description
	Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade: - True - False

### Trade Details

Field	Description
Trade Date	Trade date
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.

### Fund Details

Field	Description
ID	Fund ID of the Fund onboarded in Synapse
Name	Financial instrument name
Fund Account at GC	Fund account No. at GC for the Fund of the trade

### Participant Details

Field	Description
AM BIC	AM Business Identification Code
AM Name	AM Name
Investor ID	Investor ID for the Fund. The field is a unique number assigned to each SPSA account by HKEX  Note: Synapse will populate the following fields based on the Investor ID: <ul style="list-style-type: none"> <li>• SPSA Account #</li> <li>• LC Name</li> <li>• LC CCASS Participant ID</li> <li>• LC LEI</li> <li>• LC BIC</li> <li>• LC DN</li> </ul> Investor ID is also known as "SPSA ID" in CCASS
GC BIC	GC Business Identification Code
GC Name	GC Name
LC BIC	LC Business Identification Code
LC Name	LC Name

Field	Description
SPSA	Special Segregated Account
Counterparty – EP (BIC/Name/LEI)	Counterparty details (EP) including Business Identification Code, Name, and Legal Entity Identifier
Counterparty – CP CCASS ID	Counterparty details (CP) CCASS Participant ID
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This applies to SSTI only

## 7.2.1.2 Global Custodian (GC)

**HKEY Synapse**  
The Power of Connectivity

09 July 2024 | synuid2069 | synuid2909

Back Settlement Instruction Details Trade ID: 6171235310110029

Reset Approve

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100000059	Depository BIC	XHCHCNH1XXX	Trade Date	2023-09-01
Local Code	93956	Quantity	200.000	Type	DELI
Name	GGADVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DHP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS	
ID	55202406	AM BIC	SYNCOMP173X
Name	Fund Profile 202406	AM Name	SyncComp173
Fund Account at GC	54202406	Investor ID	300913
		GC BIC	SYNCOMP356X
		GC Name	Counterparty - EP (BIC) Name (LEI)
		GC's Account at LC	76202406
		EP's Account at CP	12345678

## Financial Instrument Details

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

## Settlement Details

Field	Description
Depository BIC	Depository Business Identification Code
Quantity	Trade quantity
Settlement Date	Contractual settlement date of the trade
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade
Settled Currency	Settled currency of the trade
Settled Amount	Before the instruction is settled, this field reflects the latest amount in CCASS. Once the instruction is settled, it will become the settled amount of the trade Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade: - True

Field	Description
	- False

### Trade Details

Field	Description
Trade Date	Trade date
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.

### Fund Details

Field	Description
ID	Fund ID of the Fund onboarded in Synapse
Name	Financial instrument name
Fund Account at GC	Fund account No. at GC for the Fund of the trade

### Participant Details

Field	Description
AM BIC	AM Business Identification Code
AM Name	AM Name
Investor ID	Investor ID for the Fund. The field is a unique number assigned to each SPSA account by HKEX  Note: Synapse will populate the following fields based on the Investor ID: <ul style="list-style-type: none"> <li>• SPSA Account #</li> <li>• LC Name</li> <li>• LC CCASS Participant ID</li> <li>• LC LEI</li> <li>• LC BIC</li> <li>• LC DN</li> </ul> Investor ID is also known as "SPSA ID" in CCASS
GC BIC	GC Business Identification Code
GC Name	GC Name
GC's Account at LC	GC Account No. at LC for the Fund of the trade
LC BIC	LC Business Identification Code
LC Name	LC Name
SPSA	Special Segregated Account
Counterparty – EP (BIC/Name/LEI)	Counterparty details (EP) including Business Identification Code, Name, and Legal Entity Identifier

Field	Description
Counterparty – CP CCASS ID	Counterparty details (CP) CCASS Participant ID
EP's Account at CP	EP Account No. at CP, sourced from DTCC's SN
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This applies to SSTI only

### 7.2.1.3 Local Custodian (LC)

**HKEX Synapse**  
The Power of Connectivity

09 July 2024 © synus783 synus783

Home Settlement Instruction Details Trade ID: 6171230310110028

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2023-09-01
Local Code	9096	Quantity	200.000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) RIC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	80000011
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC) Name (E8)	Buyer: 200 Buyer Lane, NY, NY 10055
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

### Financial Instrument Details

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

### Settlement Details

Field	Description
Depository BIC	Depository Business Identification Code
Quantity	Trade quantity
Settlement Date	Contractual settlement date of the trade
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade
Settled Currency	Settled currency of the trade
Settled Amount	Before the instruction is settled, this field reflects the latest settlement amount in CCASS. Once the instruction is settled, it will become the actual settlement amount of the trade Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade: - True - False

## Trade Details

Field	Description
Trade Date	Trade date
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.

## Fund Details

Field	Description
ID	Fund ID of the Fund onboarded in Synapse
Name	Financial instrument name

## Participant Details

Field	Description
AM BIC	AM Business Identification Code
AM Name	AM Name
Investor ID	Investor ID for the Fund. The field is a unique number assigned to each SPSA account by HKEX  Note: Synapse will populate the following fields based on the Investor ID: <ul style="list-style-type: none"> <li>• SPSA Account #</li> <li>• LC Name</li> <li>• LC CCASS Participant ID</li> <li>• LC LEI</li> <li>• LC BIC</li> <li>• LC DN</li> </ul> Investor ID is also known as "SPSA ID" in CCASS
GC BIC	GC Business Identification Code
GC Name	GC Name
GC's Account at LC	GC Account No. at LC for the Fund of the trade
LC BIC	LC Business Identification Code
LC Name	LC Name
SPSA	Special Segregated Account
Counterparty – EP (BIC/Name/LEI)	Counterparty details (EP) including Business Identification Code, Name, and Legal Entity Identifier
Counterparty – CP CCASS ID	Counterparty details (CP) CCASS Participant ID
EP's Account at CP	EP Account No. at CP, sourced from DTCC's SN
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This

Field	Description
	applies to SSTI only

## 7.2.2 Sell Side

### 7.2.2.1 Exchange Participant (EP)

**HKEX Synapse**  
The Power of Connectivity

19 August 2022 @ symal211 symal211 X

Back Settlement Instruction Details Trade ID: 000000056341120

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	92.200	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount	0.00	FX Cancellation	ERTS
		Real-Time Settlement Indicator	False		

**PARTICIPANT DETAILS**

EP BIC	DTCCSELLXXX
EP Name	SynComp531
EP's Account at CP	900546
CP BIC	DTCCDEAGXXX
CP Name	SynComp541

### Financial Instrument Details

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

### Settlement Details

Field	Description
Depository BIC	Depository Business Identification Code
Quantity	Trade quantity
Settlement Date	Contractual settlement date of the trade
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade
Settled Currency	Settled currency of the trade
Settled Amount	Before the instruction is settled, this field reflects the latest settlement amount in CCASS. Once the instruction is settled, it will become the actual settlement amount of the trade Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only

Field	Description
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade: - True - False

### Trade Details

Field	Description
Trade Date	Trade date
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.

### Participant Details

Field	Description
EP BIC	EP Business Identification Code
EP Name	EP Name
EP's Account at CP	EP's Account No. at CP for the Account of the trade
CP BIC	CP Business Identification Code
CP Name	CP Name
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This applies to SSTI only
Counterparty – AM (BIC/Name/LEI)	Counterparty details (AM) including Business Identification Code, Name, and Legal Entity Identifier
Counterparty – LC CCASS ID	Counterparty details (LC) CCASS Participant ID
LC's Account at CCASS	LC's Account No. at CCASS Note: CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
GC's Account at LC	GC Account No. at LC for the Fund of the trade

## 7.2.2.2 Clearing Participant (CP)

HKEX Synapse
19 August 2022 @ symuat281 symuat281
X

The Power of Connectivity.

Back Settlement Instruction Details Trade ID: 000000056341120 Reject Approve

KEY SETTLEMENT DETAILS		SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE	
<b>FINANCIAL INSTRUMENT DETAILS</b>		<b>SETTLEMENT DETAILS</b>		<b>TRADE DETAILS</b>	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93966	Quantity	92,200	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount	0.00	FX Cancellation	ERTS
		Real-Time Settlement Indicator	False		
<b>PARTICIPANT DETAILS</b>					
EP BIC	DTCCSELLXX				
EP Name	SynComp531				
EP's Account at CP	900546				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				

### Financial Instrument Details

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

### Settlement Details

Field	Description
Depository BIC	Depository Business Identification Code
Quantity	Trade quantity
Settlement Date	Contractual settlement date of the trade
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade
Settled Currency	Settled currency of the trade
Settled Amount	Before the instruction is settled, this field reflects the latest settlement amount in CCASS. Once the instruction is settled, it will become the actual settlement amount of the trade Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade: - True - False

### Trade Details

Field	Description
Trade Date	Trade date
Type	Securities movement type. It could be either "Receive" or "Deliver"

Field	Description
Payment	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.

### Participant Details

Field	Description
EP BIC	EP Business Identification Code
EP Name	EP Name
EP's Account at CP	EP's Account No. at CP for the Account of the trade
CP BIC	CP Business Identification Code
CP Name	CP Name
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This applies to SSTI only
Counterparty – AM (BIC/Name/LEI)	Counterparty details (AM) including Business Identification Code, Name, and Legal Entity Identifier
Counterparty – LC CCASS ID	Counterparty details (LC) CCASS Participant ID
LC's Account at CCASS	LC's Account No. at CCASS Note: CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
GC's Account at LC	GC Account No. at LC for the Fund of the trade

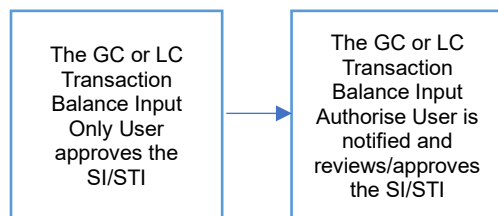
## 7.3 SI/STI Approvals and Rejections

SIs and STIs can be approved or rejected on the Settlement Instruction Details view. Only users belonging to the same Participant Entity can see the internal approval status of Transaction Balance Input Only User and Transaction Balance Input Authorise User. Other Participants involved in the transaction can only see approvals from the entity level. E.g. if the GC maker has approved but the GC checker not yet approve, other entity (e.g. AM / LC) will not know it (they will not know the internal approval process), until the GC checker also approved, other entity will see a tick under GC column in the SI list view.

GCs, LCs, and CPs are the only participants required to approve an SI/STI. AMs and EPs can only view the Settlement Instruction Details.

Approval or rejections of the SIs and STIs by the GC, LC, or CP do not need to be done in a specific order. For example, an SI does not require a specific buy side participant to approve before the other, and the SI does not require the sell side participant to approve before the buy-side.

### 7.3.1 Buy Side



#### 7.3.1.1 Content of DTCC's SN containing Investment Manager counterparty data

The fields that store EP's account at CP and relevant information in Synapse contain the investment manager counterparty account information, of the broker itself or another intermediary used, at the level of the CCASS participant servicing the broker's custody chain.

As such, these fields might contain account information received by Synapse from matching platform provider DTCC via SWIFT MT541 and MT543 in:

- BUYR/SELL block, i.e. the broker's account at the level of the CCASS participant servicing the broker.
- DECU/RECU block, i.e. the broker's custodian's account at the level of the CCASS participant servicing the broker.
- DEI1/REI1 block, i.e. the broker-custodian's intermediary's account at the level of the CCASS participant servicing the broker.

To determine the block to be utilized for retrieving the EP's account at CP, Synapse will determine the level of clearing from the settlement notification from DTCC via SWIFT MT541 and MT543. Below table documents the extraction logic that drives the retrieval of EP's account at CP retrieval from settlement notification and execution sequence starts from 3-Level of Clearing to 1-Level of Clearing.

### Extraction Logic of EP's account at CP

Level of Clearing	Conditions	Execute the retrieval logic if the condition is true	Examples
3-Level of Clearing	DEL1/RE11, DECU/RECU and BUYR/SELL block are sent via SWIFT MT54x and DE11/REL1 block is identified	Retrieve 97A block from BUYR/SELL	:95P::RE11//[BIC] :97A::SAFE// <b>12345</b>
			:95Q::RE11//[Name and Address] :97A::SAFE// <b>23456</b>
2-Level of Clearing	DECU/RECU and BUYR/SELL blocks are sent via SWIFT MT54x and DECU/RECU block is identified	Retrieve 97A block from DECU/RECU	:95P::RECU//[BIC] :97A::SAFE// <b>12345</b>
			:95Q::RECU//[Name and Address] :97A::SAFE// <b>23456</b>
1-Level of Clearing	BUYR/SELL block is sent via SWIFT MT54x and BUYR/SELL block is identified	Retrieve 97A block from DE11/REL1	:95P::BUYR//[BIC] :97A::SAFE// <b>12345</b>
			:95Q::BUYR//[Name and Address] :97A::SAFE// <b>23456</b>

#### 7.3.1.2 Input the Client Account Number and Processing Reference in CCASS SI

After successfully loading the investment manager counterparty data into Synapse, Synapse will display the EP's account at CP, under KEY SETTLEMENT DETAILS tab under Participants section. Synapse users will be able to see the field during the review of settlement details.

Also, the EP's account at CP will be populated in either CCASS field Client Account Number or Processing Reference and sent to CCASS from Synapse. Whether Client Account Number and Processing Reference are populated is depending on whether the broker's CCASS-intermediary's CCASS ID is beginning with "- B" or "- C". The following table shows how these 2 fields will be populated by Synapse in a CCASS SI:

Buy Side instructing Receipt / Sell Side instructing Delivery				
	Broker's CCASS-intermediary's CCASS ID starting with - B		Broker's CCASS-intermediary's CCASS ID starting with - C	
	Population of Client account number	Population of Processing reference	Population of Client account number	Population of Processing reference
Investment Manager's CCASS-intermediary's CCASS ID starting with - C	GC's account at LC	"" + SYN-EP's account at CP	GC's account at LC	"" + SYN-EP's account at CP
<ul style="list-style-type: none"> <li>Missing/Empty value found</li> </ul>				

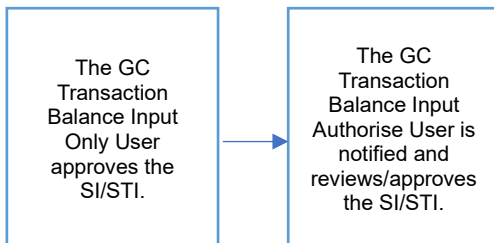
Display Result in CCASS C3T	N/A, as the value is sourced from Synapse Fund Profile	SYN-	N/A, as the value is sourced from Synapse Fund Profile	SYN-
<b>Buy Side Delivering / Sell Side Receiving</b>				
	Broker's CCASS-intermediary's CCASS ID starting with - B		Broker's CCASS-intermediary's CCASS ID starting with - C	
	Population of Client account number	Population of Processing reference	Population of Client account number	Population of Processing reference
Investment Manager's CCASS-intermediary's CCASS ID starting with - C	GC's account at LC	"" + SYN-EP's account at CP	EP's account at CP	"" + SYN-GC's account at LC
<ul style="list-style-type: none"> <li>Missing/Empty value found</li> </ul>				
Display Result in CCASS C3T	N/A, as the value is sourced from Synapse Fund Profile	SYN-	<EMPTY>	N/A, as the value is sourced from Synapse Fund Profile.

### 7.3.1.3 Asset Managers (AM)

AMs have view only rights to SI/STI processing.

### 7.3.1.4 Global Custodian (GC)

Approval by GC Transaction Balance Input Only User;  
Approval by GC Transaction Balance Input Authorise User:



## Approval by GC Transaction Balance Input Only User:

1. The GC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The GC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

ISIN TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
STI	CNE100002838	22.312	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	2231944155771021	✓	✓	✓	Settled
SI	CNE100002838	2.291	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	2231944155771021	✓	✓	✓	Settled
SI	CNE100002838	29.625	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	219994155771021	✓	✓	✓	Settled
STI	CNE100002838	29.927	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	2962094155771021	✓	✓	✓	Settled
STI	CNE100002838	29.927	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	2962094155771021	✓	✓	✓	Settled
SI	CNE100002838	29.922	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	219994155771021	✓	✓	✓	Unmatched
SI	CNE100002838	29.621	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	219994155771021	✓	✓	✓	Unmatched
SI	CNE100002838	29.624	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	219994155771021	✓	✓	✓	Unmatched
SI	CNE100002838	29.623	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	219994155771021	✓	✓	✓	Unmatched
SI	CNE100002838	29.626	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	2962094155771021	✓	✓	✓	Unmatched
SI	CNE100002838	2.775	CNY	4,966,977.07	DELI	DVP	542231	DTCCSELXXX	3000044155771021	✓	✓	✓	Settled

3. The GC Transaction Balance Input Only User views the details of an SI/STI and clicks "Approve".

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100002838	Depository BIC	ZHXCCH21XXX	Trade Date	2023-09-01
Local Code	03066	Quantity	288,000	Type	DELI
Name	OSGADVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	288,000.01	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	53202406	AM BIC	SYNCCOMP173X	LC BIC	SYNCCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
Fund Account at GC	54202406	Investor ID	300913	SPSA	80000001
		GC BIC	SYNCCOMP156X	Counterparty - EP (BIC) Name/LEI	Buyer: 200 Buyer LAMB.NY 101 55555
		GC Name	SynComp156	Counterparty - CP CCASS ID	C09019
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

GC MAKERS	GC CHECKERS	LC APPROVED	CP APPROVED	CCASS STATUS	CANCELLATION STATUS
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

GC MAKERS	GC CHECKERS	LC APPROVED	CP APPROVED	CCASS STATUS	CANCELLATION STATUS
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

## Approval by GC Transaction Balance Input Authorise User:

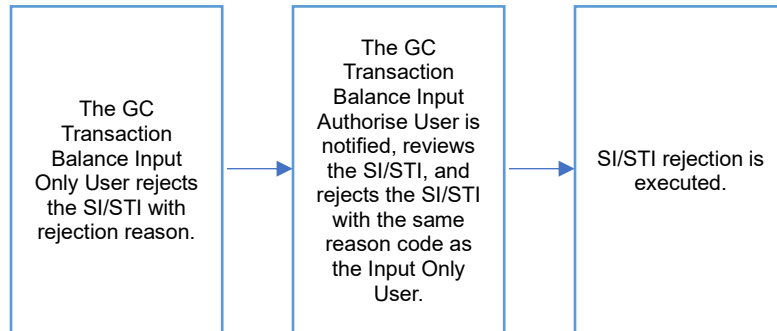
1. On the Settlement Instructions List view, the GC Transaction Balance Input Authorise User is informed that the GC Transaction Balance Input Only User has approved an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the GC column.

The GC Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Approve”.

2. If the LC has not yet approved the SI/STI, then the LC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI pending their approval by a '✓' in the GC column and a '—' in the LC column.

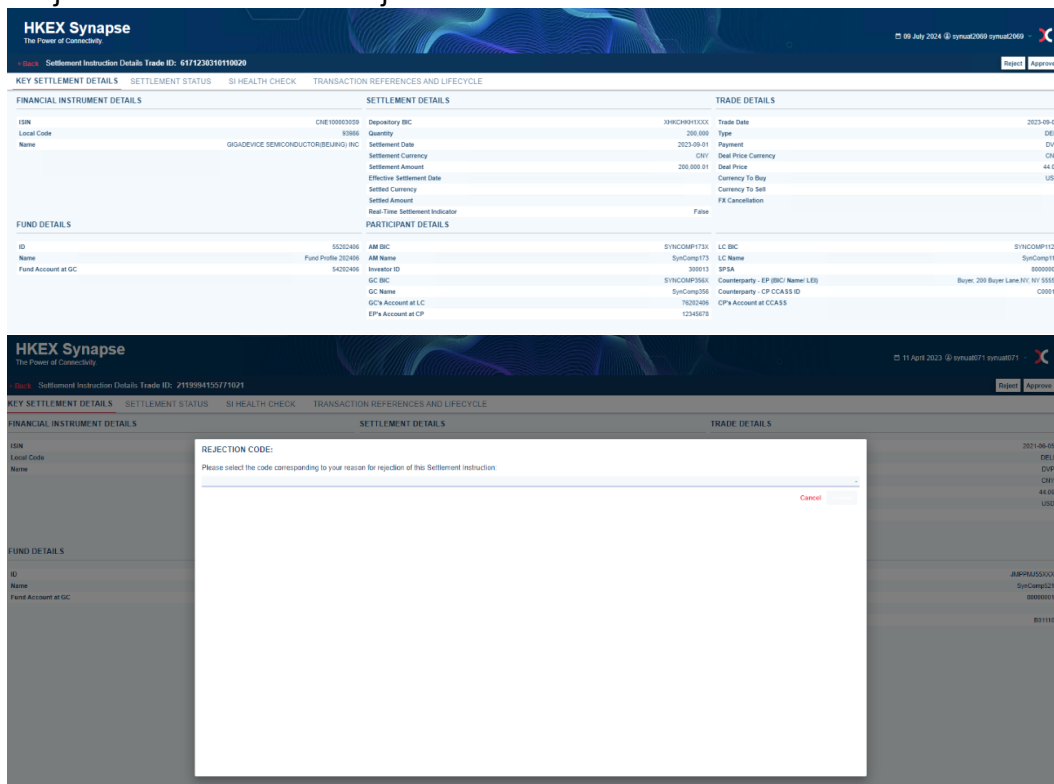


**Rejection by GC Transaction Balance Input Only User;  
 Rejection by GC Transaction Balance Input Authorise User (same rejection reason(s)  
 between Input Only User and Input Authorise User):**



**Rejection by GC Transaction Balance Input Only User:**

1. The GC Transaction Balance Input Only User views the details of an SI/STI and clicks “Reject” and must select a rejection reason.



**Invalid Date [DMLQ]**

- Account Service Deadline Missed [ADEM]
- Cash Account [CASH]
- Common Reference Rejection [RHRQ]
- Corporate Action Rejection [CARV]
- Deal Price [DDEA]
- Impossible Cash Settlement System [CASH]
- Impossible To Clear The RTGS System Included [RTGS]
- Invalid Balance [INVL]
- Invalid Investor Party [INVE]
- Invalid Lot [INVL]
- Invalid Lot Number [INVLN]
- Invalid Rate [DMLQ]
- Invalid Security [DSEC]
- Lack Of Stamp Duty [SDUT]
- Market Deadline Missed [LATE]
- Minimum Settlement Quantity [MNOQ]
- Multiple Settlement Quantity [MNAQ]
- Other [OTHR]
- Physical Settlement Impossible [PHYS]
- Place Of Listing [PLIS]
- Place Of Sublisting [PLRS]
- Place Of Trade [PLCE]
- Processing Batch Rejection [BATC]
- Quantity Rejection [DQUA]
- Receiving Clearing Depository [DEPT]
- Receiving Delivering Party 1 [DCA1]
- Receiving Delivering Party 2 [DCA2]
- Receiving Delivering Party 3 [DCA3]
- Reference Rejection [RERE]
- Settlement Account Rejection [SAFR]
- Settlement Amount Currency Rejection [NCRN]
- Settlement Amount Fraction [NAXN]
- Settlement Date Rejection [DCA4]
- Settlement System Method Rejection [DSETS]
- Settlement Transaction Rejection [SETR]
- Tax Status Rejection [TAXS]
- Trade Date [DTRD]

**SI STATUS**

- GC MARKET:** REJECTED  
Reason: Invalid Date [DMLQ]
- GC CHECKER:** NA  
Reason: NA
- LC APPROVED:** NA  
Reason: NA
- CP APPROVED:** NA  
Reason: NA
- CCASS STATUS:** NA  
Reason: NA
- CANCELLATION STATUS:** NA  
Reason: NA

## Rejection by GC Transaction Balance Input Authorise User:

1. On the Settlement Instructions List view, the GC Transaction Balance Input Authorise User is informed that the GC Transaction Balance Input Only User has rejected an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the GC column.

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
STI	CNE180000339	22,312	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2231994155771021	—	—	—	Details
SI	CNE180000339	29,825	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2199394155771021	O	—	—	Details
STI	CNE180000339	29,827	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2922094155771021	—	—	—	Details
SI	CNE180000339	29,822	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2199394155771021	—	—	—	Details
SI	CNE180000339	29,821	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2199394155771021	—	—	—	Details
SI	CNE180000339	29,824	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2199394155771021	—	—	—	Details
SI	CNE180000339	29,823	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2199394155771021	—	—	—	Details
SI	CNE180000339	29,826	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2922094155771021	—	—	—	Details
SI	CNE180000339	2,775	CNY	4,893,977.07	DELU	DVP	541988	DTCCSELXXX	1099394155771021	—	—	—	Details
SI	CNE180000339	2,231	CNY	4,893,977.07	DELU	DVP	542231	DTCCSELXXX	2231994155771021	—	—	—	Details

2. The GC Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Reject” and must select a rejection reason.

**HKEX Synapse**  
The Power of Connectivity

09 July 2024 | syna2078 | syna2079 | X

Check Settlement Instruction Details Trade ID: 611220310119029

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100003059	Depository BIC	XHCHRH1XXX	Trade Date	2023-08-01
Local Code	93980	Quantity	200.000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEURG) INC	Settlement Date	2023-08-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200.000.01	Deal Price	44.08
		Effective Settlement Date		Currency To Buy	USD
		Settled Amount		Currency To Sell	
		Real Time Settlement Indicator	False	FX Cancellation	
FUND DETAILS		PARTICIPANT DETAILS			
ID	54202408	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP123X
Name	Fund Profile 202408	AM Name	SynComp173	LC Name	SynComp112
Fund Account at GC	54202409	Investor ID	300013	SPSA	00000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC Name LBI)	Buyer_200 Buyer Lane NY NY 10005
		GC Name	SynComp356	Counterparty - CP CCASS ID	000001
		GC's Account at LC	7020496	CPA Account at CCASS	
		EP's Account at CP	1246678		

- The GC Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, then the rejection is executed.

**HKEX Synapse**  
The Power of Connectivity

11 April 2023 | syna2073 | syna2073 | X

Check Settlement Instruction Details Trade ID: 2119994150771021

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN		REJECTION CODE:			2023-08-01
Local Code		Please select the code corresponding to your reason for rejection of this Settlement Instruction.			DEL
Name		<input type="text"/> <span>Cancel</span>			CNY
					CNY
					44.08
					USD
FUND DETAILS					
ID					JMPPM25000
Name					SynComp356
Fund Account at GC					00000001
					00000001

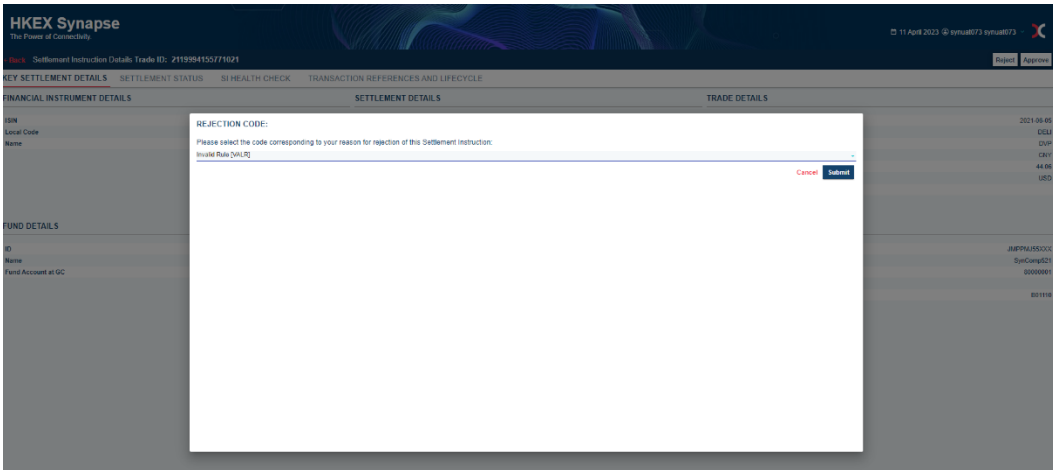
**HKEX Synapse**  
The Power of Connectivity

11 April 2023 | syna2073 | syna2073 | X

Check Settlement Instruction Details Trade ID: 2119994150771021

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN		Account Expiry Deadline Missed (ADP4)			2023-08-01
Local Code		Cash Account (CASH)			DEL
Name		Common Reference Rejection (HRE)			DVP
		Corporate Action Rejection (CAE4)			CNY
		Deal Price (SDCA)			44.08
		Impossible Cash Settlement System (CASV)			USD
		Impossible To Use The RTGS System Instructed (RTGS)			
		Invalid Bidder (IBID)			
		Invalid Investor Party (INVP)			
		Invalid Lot (INVL)			
		Invalid Lot Number (INLN)			
		Invalid Rule (INVL)			
		Invalid Security (ISSC)			
		Lack Of Stamp Duty (SDUT)			
		Market Deadline Missed (LATE)			
		Minimum Settlement Quantity (MREQ)			
		Multiple Settlement Quantity (MURQ)			
		Other (OTHR)			
		Physical Settlement Impossible (PHYS)			
		Place Of Listing (PLIS)			
		Place Of Takeaway (NPTS)			
		Place Of Trade (PLCT)			
		Precedence Error Rejection (BIAT)			
		Quantity Rejection (EQQA)			
		Receiving Delivering Depository (DEPT)			
		Receiving Delivering Party 1 (RCAC)			
		Receiving Delivering Party 2 (RCDC)			
		Receiving Delivering Party 3 (RCDE)			
		Reference Rejection (REFR)			
		Settlement Account Rejection (SAAC)			
		Settlement Amount Currency Rejection (NCRB)			
		Settlement Amount Rejection (SARQ)			
		Settlement Date Rejection (SDAL)			
		Settlement System Method Rejection (SRTS)			
		Settlement Transaction Rejection (SCTR)			
		The Status Rejection (TXST)			
		Trade Date (TRTD)			

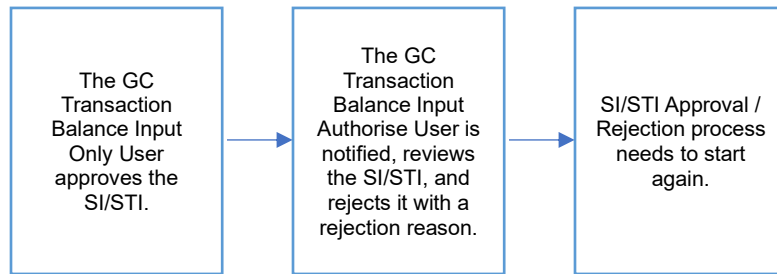


- If the LC has not yet approved the SI/STI, then the LC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI that has been rejected by a 'X' in the GC column.

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP INC	TRADE ID	GC	LC	CP	STATUS
SI	CNE109900039	29.810	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2393594195771821	✓	✓	✓	Settled
SI	CNE109900039	29.625	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2199949155771821	X	✓	✓	Unmatched
STI	CNE109900039	29.627	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2862919155771821	✓	✓	✓	Unmatched
SI	CNE109900039	29.627	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2862919155771821	✓	✓	✓	Unmatched
SI	CNE109900039	29.622	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2199949155771821	✓	✓	✓	Unmatched
SI	CNE109900039	29.621	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2199949155771821	✓	✓	✓	Unmatched
SI	CNE109900039	29.624	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2199949155771821	✓	✓	✓	Unmatched
SI	CNE109900039	29.623	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2199949155771821	✓	✓	✓	Unmatched
SI	CNE109900039	29.626	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2862919155771821	✓	✓	✓	Unmatched
SI	CNE109900039	3.779	CNY	4,865,977.97	DELI	DVP	543088	DTCCSELXXX	3882919155771821	✓	✓	✓	Settled
SI	CNE109900039	2.731	CNY	4,865,977.97	DELI	DVP	542391	DTCCSELXXX	2393594195771821	✓	✓	✓	Settled

- This settlement instruction can be re-approved by GC Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved. The re-approval process is the same as approval.
- The settlement instruction can also be re-rejected by GC Transaction Balance Input Only and Input Authoriser Users again if the rejection reason needs to be updated. The re-rejection process is the same as rejection.

## Approval by GC Transaction Balance Input Only User; Rejection by GC Transaction Balance Input Authorise User:



1. Since the decisions between the GC Transaction Balance Input Only and the GC Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. GC Transaction Balance Input Only User can see the Approval is rejected by GC Transaction Balance Input Authorise Users on Settlement Status page.

GC MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: -	CP APPROVED: -	CLASS STATUS:	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

3. On SI List View, the icon will change from 'O' to '-' under GC column as the process needs to start again from GC Transaction Balance Input Only User. The GC Transaction Balance Input Only User can then re-approve or re-reject the rejected settlement instruction. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP/IBC	TRADE ID	GC	LC	CP	STATUS
STI	CNE100000039	29.312	CNY	4,085,977.07	ORLI	DVP	542331	DTFCRELLXXX	2331964155771921	-	-	-	Details
STI	CNE100000039	29.827	CNY	4,095,977.07	ORLI	DVP	542231	DTFCRELLXXX	296294155771921	-	-	-	Details
STI	CNE100000039	29.827	CNY	4,095,977.07	UGLU	DVP	542231	DTFCRELLXXX	296294155771921	-	-	-	Details
SI	CNE100000039	29.822	CNY	4,095,977.07	UGLU	DVP	542231	2119984155771921	2119984155771921	✓	✓	-	Unmatched Details
SI	CNE100000039	29.821	CNY	4,095,977.07	ORLI	DVP	542231	2119984155771921	2119984155771921	✓	✓	-	Unmatched Details
SI	CNE100000039	29.824	CNY	4,095,977.07	ORLI	DVP	542331	2119984155771921	2119984155771921	✓	✓	-	Unmatched Details
SI	CNE100000039	29.813	CNY	4,085,977.07	ORLI	DVP	542331	2119984155771921	2119984155771921	✓	✓	-	Unmatched Details
SI	CNE100000039	29.828	CNY	4,085,977.07	ORLI	DVP	542331	DTFCRELLXXX	296294155771921	✓	✓	-	Unmatched Details
SI	CNE100000039	2.775	CNY	4,095,977.07	UGLU	DVP	542088	DTFCRELLXXX	308084155771921	✓	✓	✓	Settled Details
SI	CNE100000039	2.231	CNY	4,095,977.07	UGLU	DVP	542231	DTFCRELLXXX	2331964155771921	✓	✓	-	Details
SI	CNE100000039	29.825	CNY	4,095,977.07	UGLU	DVP	542231	2119984155771921	2119984155771921	✗	-	-	Details

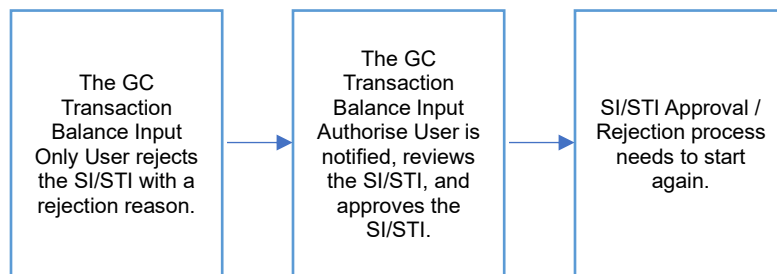
## Rejection by GC Transaction Balance Input Only User; Rejection by GC Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):

1. On SI List View, the icon will change from 'O' to '-' under GC column as the process needs to start again from GC Transaction Balance Input Only User. The GC Transaction

Balance Input Only User can then re-approve or re-reject the rejected settlement instruction.  
 The re-approval process is the same as approval, while the re-reject process is the same as rejection.

SI TYPE	SI#	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	SP BIC	TRADE ID	GC	LC	CP	STATUS
STI	CNE100002038	25,312	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2331044155771021	-	-	-	Details
STI	CNE100002038	29,827	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2982094955771021	-	-	-	Details
SI	CNE100002038	29,822	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2982094955771021	✓	✓	-	Unmatched Details
SI	CNE100002038	29,821	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2119994155771021	✓	✓	-	Unmatched Details
SI	CNE100002038	29,824	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2119994155771021	✓	✓	-	Unmatched Details
SI	CNE100002038	29,823	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2119994155771021	✓	✓	-	Unmatched Details
SI	CNE100002038	29,826	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2982094955771021	✓	✓	-	Unmatched Details
SI	CNE100002038	2,775	CNY	4,055,977.07	DELI	DVP	542300	ETCCSELXXX	3000949155771021	✓	✓	✓	Settled Details
SI	CNE100002038	2,231	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2231044155771021	✓	-	-	Details
SI	CNE100002038	29,825	CNY	4,055,977.07	DELI	DVP	542351	ETCCSELXXX	2119994155771021	✗	-	-	Details

### Rejection by GC Transaction Balance Input Only User; Approval by GC Transaction Balance Input Authorise User:



1. Since the decisions between the GC Transaction Balance Input Only and the GC Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. GC Transaction Balance Input Only User can see the Rejection is rejected by GC Transaction Balance Input Authorise Users on Settlement Status page.

GC MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

3. On SI List View, the icon will change from 'O' to '-' under GC column as the process needs to start again from GC Transaction Balance Input Only User. The GC Transaction Balance Input Only User can then re-approve or re-reject the rejected settlement instruction.  
 The re-approval process is the same as approval, while the re-reject process is the same as rejection.

## Health check findings in SI Health Check tab

### Background

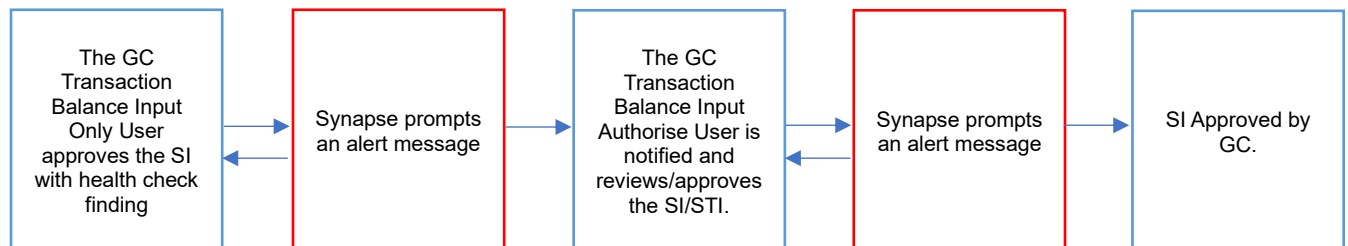
To reduce the risk of settlement failure, the health check provides additional business validation on the incoming settlement instruction from DTCC when Synapse users starts the approval workflow. Regardless of failure reasons, Synapse will trigger an alert message when the reason is detected.

### Workflow and Process

For a buy-side instruction, an alert message will be prompted in the approval workflow to both GC Transaction Balance Input Only User and GC Transaction Balance Input Authorise User when failure reason(s) is/are displayed in the SI Health Check tab.

### Recommendation

Refer to the chapter 7.6 for business validations of settlement instruction and recommendations on resolving health check findings.



1. The GC Transaction Balance Input Only User views the details of an SI/STI and clicks “Approve”.

The screenshot shows the 'Settlement Instruction Details' page for Trade ID: 6171230902150034. The page is divided into several sections:

- FINANCIAL INSTRUMENT DETAILS:** Includes ISIN (CNE000000040), Local Code (70001), Name (PING AN BANK CO., LTD. (A#000001)), and Settlement Date (2023.09.01).
- SETTLEMENT DETAILS:** Includes Depository BIC (XHHC961100X), Quantity (340,000), Settlement Date (2023.09.01), Settlement Currency (CNY), Settlement Amount (340,000.01), Effective Settlement Date, Settled Currency, Settled Amount, and Real-Time Settlement Indicator (False).
- TRADE DETAILS:** Includes Trade Date (2023.09.01), Type (RECE), Payment (DVP), Deal Price Currency (CNY), Deal Price (44.09), Currency To Buy, Currency To Sell (USD), and FX Cancellation.
- FUND DETAILS:** Includes ID (55202405), Name (Fund Profile 202405), and Fund Account at GC (54202405).
- PARTICIPANT DETAILS:** Includes AM BIC (SYNCOMP173X), AM Name (SynComp173), Investor ID (300013), GC BIC (SYNCOMP250X), GC Name (SynComp250), GC's Account at LC (70202409), EP's Account at CP, LC BIC (SYNCOMP112X), LC Name (SynComp112), SPSA (80000001), Counterparty - EP (BIC/Name/LEI) (Seller: 300 Seller Lane, NY NY 99999), Counterparty - CP (CCASS ID) (B01130), and CP's Account at CCASS.

2. If a settlement instruction fails the health check, an alert message will be prompted up “Please go to “SI HEALTH CHECK”. There is a health check finding.”.

The screenshot shows the 'SI HEALTH CHECK' page. It contains a table with the following data:

CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE
✓ ISIN	Health Check Passed	--	--
✓ Settlement Date	Health Check Passed	--	--
Counterparty ID	--	--	--
▲ EP's account at CP	EP's account at CP is empty	--	--

3. The GC Transaction Balance Input Only User could either click **Continue** to confirm the approval or **Abort** to stop the approval process and check the exception found in the tab “SI Health Check”. The GC Transaction Balance Input Only User can restart the approval process after identifying the exception category.

The screenshot shows the 'SI STATUS' page with an alert message. The status for GC MAKER, GC CHECKER, LC APPROVED, CP APPROVED, CCASS STATUS, and CANCELLATION STATUS is 'NA'. The alert message reads:

**Alert Message**

- Please go to “SI HEALTH CHECK”. There is a health check finding.
- Click Abort to stop the approval process, or Click Continue to confirm the approval.

Buttons: Continue Abort

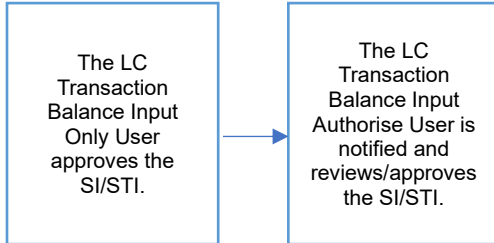
4. The GC Transaction Balance Input Only User clicked **Continue** to confirm the approval and the system message shows “Successfully Approved”.

The screenshot shows the 'SI STATUS' page after successful approval. The status for GC MAKER, GC CHECKER, LC APPROVED, CP APPROVED, CCASS STATUS, and CANCELLATION STATUS is 'APPROVED'. The message 'Successfully Approved' is displayed at the top.

- The same approval process will be applied to the GC Transaction Balance Input Authorise User.

### 7.3.1.5 Local Custodian (LC)

Approval by LC Transaction Balance Input Only User; Approval by LC Transaction Balance Input Authorise User



#### Approval by LC Transaction Balance Input Only User:

- The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The LC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking “Details”.

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS
SI	CNE100030399	279,800	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001	2796912176691269	✓	✓	✓	Settled
SI	CNE100030399	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190943	-	-	-	DETAILS
SI	CNE100030399	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190944	-	-	-	DETAILS
SI	CNE100030399	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190941	-	-	-	DETAILS
SI	CNE100030399	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190942	-	-	-	DETAILS
SI	CNE100030399	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190940	✓	-	-	DETAILS

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE190003059	Depository BIC	39XCH0H1XXX	Trade Date	2023-09-01
Local Code	93998	Quantity	200.000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.98
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	00000001
		GC BIC	SYNCOMP173X	Counterparty - EP (BIC Name: LEB)	Buyer: 200 Buyer Lane NY, NY 10005
		GC Name	SynComp155	Counterparty - CP (CCASS ID)	00010
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

- The LC Transaction Balance Input Only User views the details of an SI/STI and clicks “Approve”.

SI STATUS					
LC MAKER: —	LC CHECKER: —	GC APPROVED: ✓ APPROVED	CP APPROVED: —	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

SI STATUS					
LC MAKER: ✓ APPROVED	LC CHECKER: —	GC APPROVED: ✓ APPROVED	CP APPROVED: —	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

### Approval by LC Transaction Balance Input Authorise User:

- On the Settlement Instructions List view, the LC Transaction Balance Input Authorise User is informed that the LC Transaction Balance Input Only User has approved an SI/STI that is pending their approval by a change in icon from ‘—’ to ‘O’ in the LC column.

**SETTLEMENT INSTRUCTIONS**

5 0 0 1 0  
Processing Unmatched Matched Settled Cancelled

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS
SI	CNE100003089	279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001	2796912176691269	✓	✓	✓	Settled
SI	CNE100003089	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190943	—	—	—	Processing
SI	CNE100003089	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190944	—	—	—	Processing
SI	CNE100003089	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190941	—	—	—	Processing
SI	CNE100003089	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190942	—	—	—	Processing
SI	CNE100003089	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190940	✓	—	—	Processing

2. The LC Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Approve”.

**HKEX Synapse**

13 July 2024 @ synuat143 synuat143

Back Settlement Instruction Details Trade ID: 6171230319119029

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

ISIN	Quantity	Depository BIC	Trade Date
CNE100003089	3088	3088	2023-08-01

FUND DETAILS PARTICIPANT DETAILS

ID	AM BIC	LC BIC	SYNCOMP112X
55202496	55202496	55202496	55202496

**HKEX Synapse**

13 April 2023 @ synuat143 synuat143

Back Settlement Instruction Details Trade ID: 0000000756190940

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

LC MAKER	LC CHECKER	GC APPROVED	CP APPROVED	CCASS STATUS	CANCELLATION STATUS
✓ APPROVED	—	✓ APPROVED	—	—	—
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

**HKEX Synapse**

13 April 2023 @ synuat143 synuat143

Back Settlement Instruction Details Trade ID: 0000000756190940

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

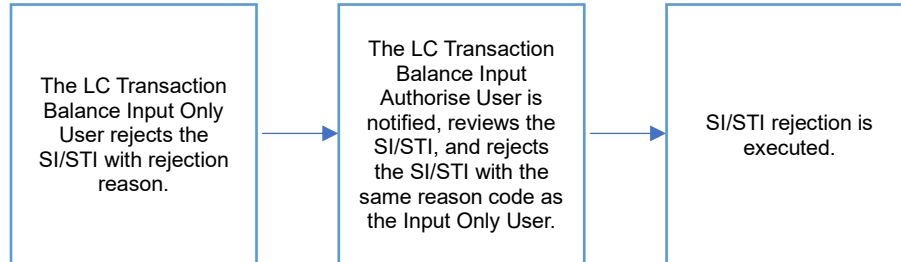
Successfully Approved

SI STATUS

LC MAKER	LC CHECKER	GC APPROVED	CP APPROVED	CCASS STATUS	CANCELLATION STATUS
✓ APPROVED	✓ APPROVED	✓ APPROVED	—	—	—
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

3. If the GC has not yet approved the SI/STI, then the GC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI pending their approval by a ‘✓’ in the LC column and a ‘—’ in the GC column.

## Rejection by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User (same rejection reason(s) between Input Only User and Input Authorise User):

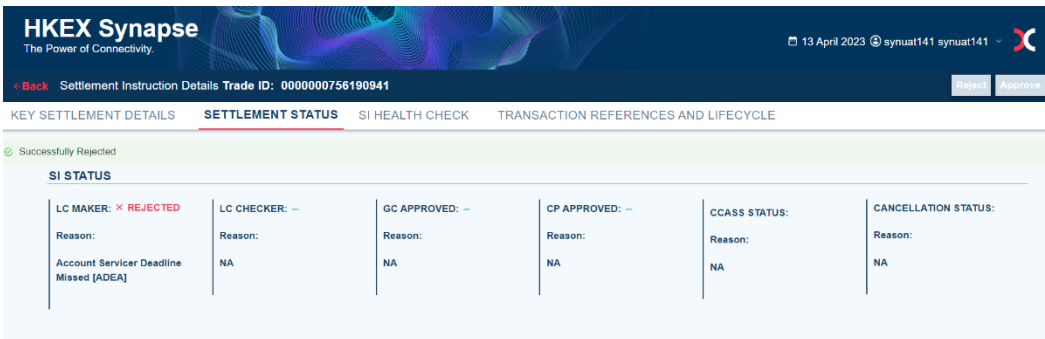
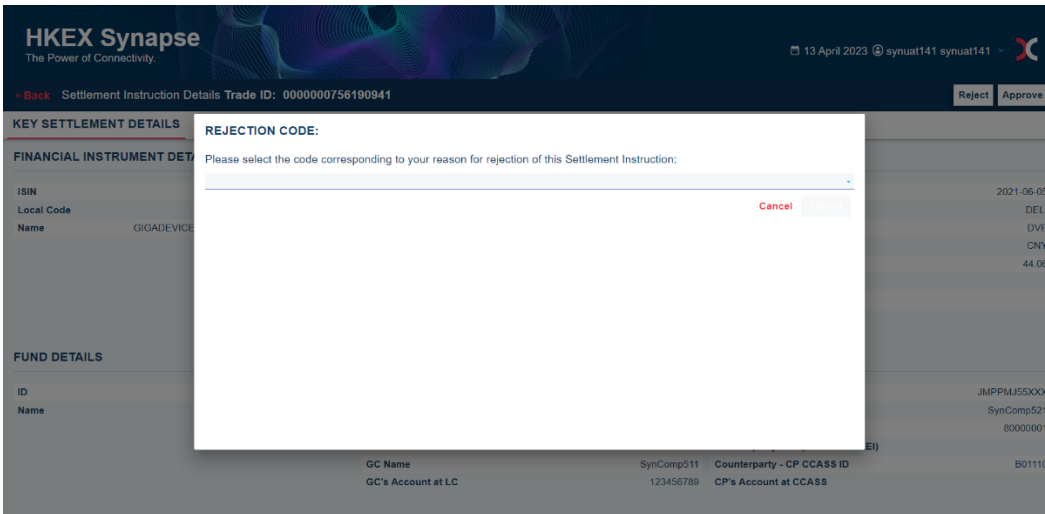


### Rejection by LC Transaction Balance Input Only User:

1. The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The LC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking “Details”.

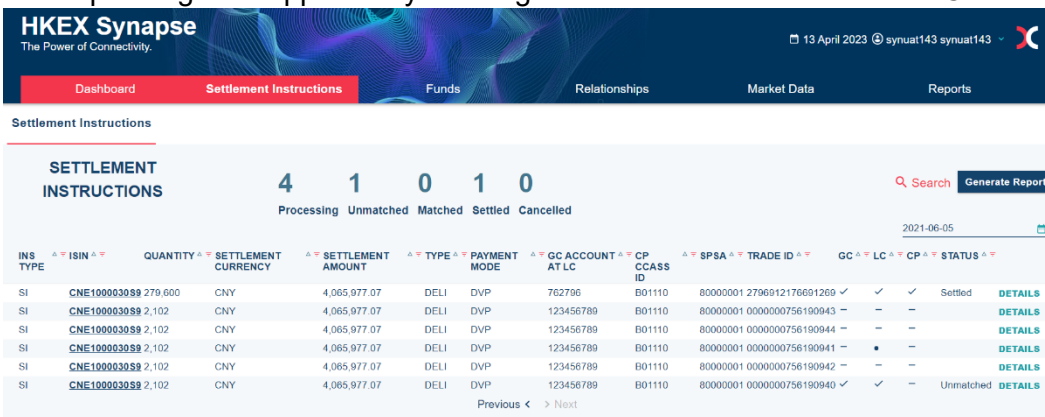
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE10003059	Depository BIC	ZKRCR01XXX	Trade Date	2023-08-01
Local Code	93986	Quantity	200.000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-08-01	Payment	DSF
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200.000.01	Deal Price	44.96
		Effective Settlement Date	2023-08-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200.000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC Name/LEI)	Buyer, 200 Buyer Lane St, NY 10055
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
		GC's Account at LC	70202406	CPA Account at CCASS	
		EP's Account at CP	12345678		

3. The LC Transaction Balance Input Only User views the details of an SI/STI and clicks “Reject” and must select a rejection reason.



### Rejection by LC Transaction Balance Input Authorise User:

1. On the Settlement Instructions List view, the LC Transaction Balance Input Authorise User is informed that the LC Transaction Balance Input Only User has rejected an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the LC column.



2. The LC Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Reject” and must select a rejection reason.

**HKEX Synapse**  
The Power of Connectivity.

10 July 2024 @ synuat142 synuat142

Back Settlement Instruction Details Trade ID: 617123031010020

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE10003059	Depository BIC	XPHCH01000	Trade Date	2023-09-01
Local Code	93068	Quantity	200,000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR/BEIJING, INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.56
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP123X	LC BIC	SYNCOMP123X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP123X	Counterparty - EP (BIC Name L3)	Buyer, 200 Buyer Link NY, NY 85855
		GC Name	SynComp126	Counterparty - CP CCASS ID	Coor19
		GC's Account at LC	7020268	CP's Account at CCASS	
		EP's Account at CP	12345678		

**HKEX Synapse**  
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23 @ synuat143 synuat143

Back Settlement Instruction Details Trade ID: 0000000756190941

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE10003059	Depository BIC	XPHCH01000	Trade Date	2021-06-05
Local Code	93068	Quantity	200,000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR/BEIJING, INC	Settlement Date	2021-06-05	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06

FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP123X	LC BIC	SYNCOMP123X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP123X	Counterparty - EP (BIC Name L3)	Buyer, 200 Buyer Link NY, NY 85855
		GC Name	SynComp126	Counterparty - CP CCASS ID	Coor19
		GC's Account at LC	7020268	CP's Account at CCASS	
		EP's Account at CP	12345678		

Account Servicer Deadline Missed [ADEA]

Cash Account [CASH]

Common Reference Rejection [IIND]

Corporate Action Rejection [CAEV]

Deal Price [DDEA]

Impossible Cash Settlement System [CASV]

Impossible To Use The RTGS System Instructed [RTGS]

Invalid Balance [INVB]

Invalid Investor Party [INVE]

Invalid Link [INVL]

Invalid Lot Number [INVN]

Invalid Rule [VALR]

Invalid Security [DSEC]

Lack Of Stamp Duty [SDUT]

Market Deadline Missed [LATE]

Minimum Settlement Quantity [MINQ]

Multiple Settlement Quantity [MUNQ]

Other [OTHR]

Physical Settlement Impossible [PHYS]

Place Of Listing [PLIS]

Place Of Safekeeping [INPS]

Place Of Trade [PLCE]

Processing Batch Rejection [BATC]

Quantity Rejection [DQUA]

Receiving Delivering Depository [DEPT]

Receiving Delivering Party 1 [ICAG]

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Back Settlement Instruction Details Trade ID: 0000000756190941

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE10003059	Depository BIC	XPHCH01000	Trade Date	2021-06-05
Local Code	93068	Quantity	200,000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR/BEIJING, INC	Settlement Date	2021-06-05	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06

FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP123X	LC BIC	SYNCOMP123X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP123X	Counterparty - EP (BIC Name L3)	Buyer, 200 Buyer Link NY, NY 85855
		GC Name	SynComp126	Counterparty - CP CCASS ID	Coor19
		GC's Account at LC	7020268	CP's Account at CCASS	
		EP's Account at CP	12345678		

**REJECTION CODE:**

Please select the code corresponding to your reason for rejection of this Settlement Instruction:

Account Servicer Deadline Missed [ADEA]

Cancel Submit

- Since LC Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, then the rejection is executed.

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Back Settlement Instruction Details Trade ID: 000000756190941

Reject Approve

KEY SETTLEMENT DETAILS **SETTLEMENT STATUS** SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

Successfully Rejected

**SI STATUS**

LC MAKER: <b>REJECTED</b> Reason: Account Servicer Deadline Missed [ADEA]	LC CHECKER: <b>REJECTED</b> Reason: Account Servicer Deadline Missed [ADEA]	GC APPROVED: -- Reason: NA	CP APPROVED: -- Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
---	---	----------------------------------	----------------------------------	--------------------------------	---------------------------------------

- If the GC has not yet approved the SI/STI, then the GC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI that has been rejected by a 'X' in the LC column. This settlement instruction can be re-approved by LC Transaction Balance Input Only and Input Authorise Users again once the issues have been resolved. The re-approval process is the same as approval. The settlement instruction can also be re-rejected by LC Transaction Balance Input Only and Input Authoriser Users again if the rejection reason needs to be updated. The re-rejection process is the same as rejection.

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Dashboard **Settlement Instructions** Funds Relationships Market Data Reports

Settlement Instructions

**SETTLEMENT INSTRUCTIONS**

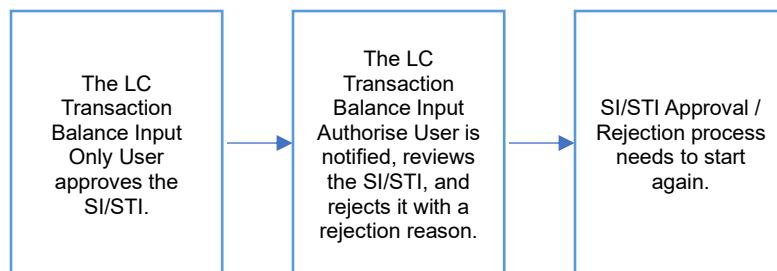
4 1 0 1 0  
Processing Unmatched Matched Settled Cancelled

Search Generate Report

2021-06-05

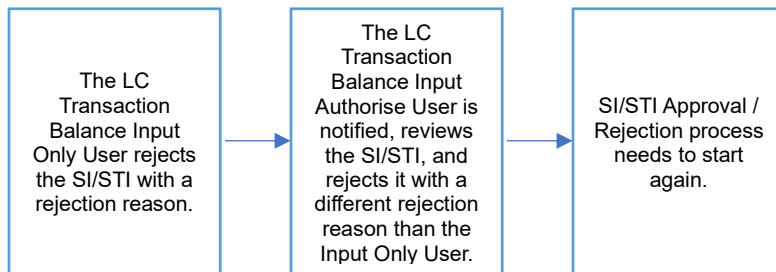
INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SP5A	TRADE ID	GC	LC	CP	STATUS
SI	CNE1000030S9	279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001	2796912176691269	✓	✓	✓	Settled
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190943	-	-	-	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190944	-	-	-	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190941	-	X	-	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190942	-	-	-	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190940	✓	✓	-	Unmatched

### Approval by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User):

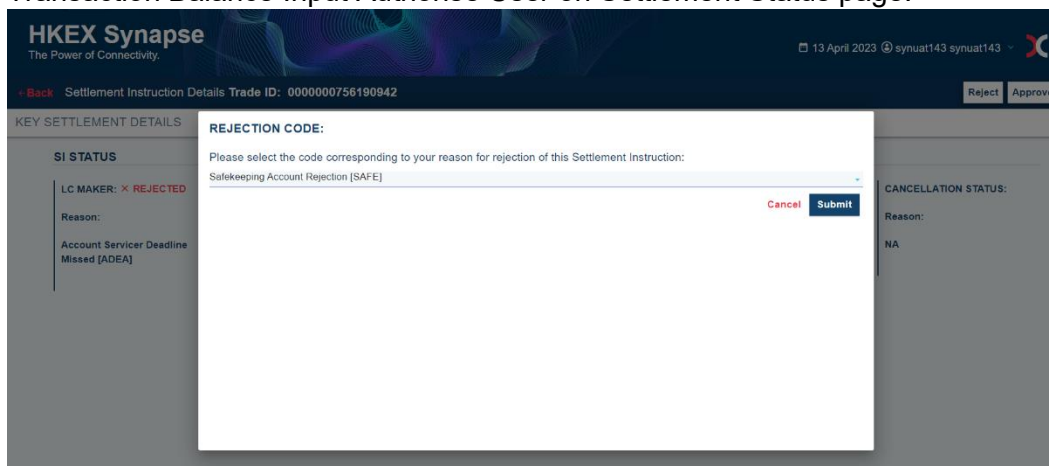


1. Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. LC Transaction Balance Input Only User can see the Approval is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
3. On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. This settlement instruction can then be re-approved or re-reject by LC Transaction Balance Input Only and Input Authorise Users.  
The re-approval process is the same as approval, while the re-rejection process is the same as rejection.

**Rejection by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):**

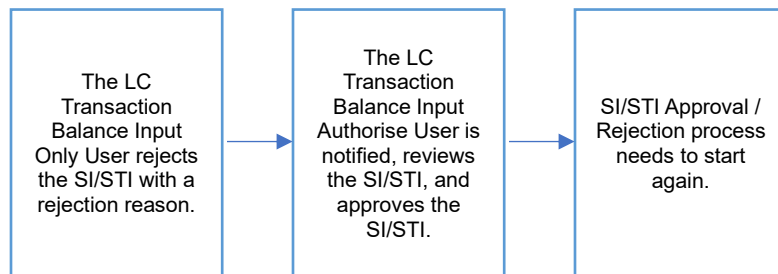


1. Since the LC Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SI/STI process effectively starts over.
2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise User on Settlement Status page.



- On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. This settlement instruction can then be re-approved or re-reject by LC Transaction Balance Input Only and Input Authorise Users. The re-approval process is the same as approval, while the re-rejection process is the same as rejection.

**Rejection by LC Transaction Balance Input Only User; Approval by LC Transaction Balance Input Authorise User):**



- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.

- On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. This settlement instruction can then be re-approved or re-reject by LC Transaction Balance Input Only and Input Authorise Users.  
The re-approval process is the same as approval, while the re-rejection process is the same as rejection.

## Health check findings in SI Health Check tab

### Background

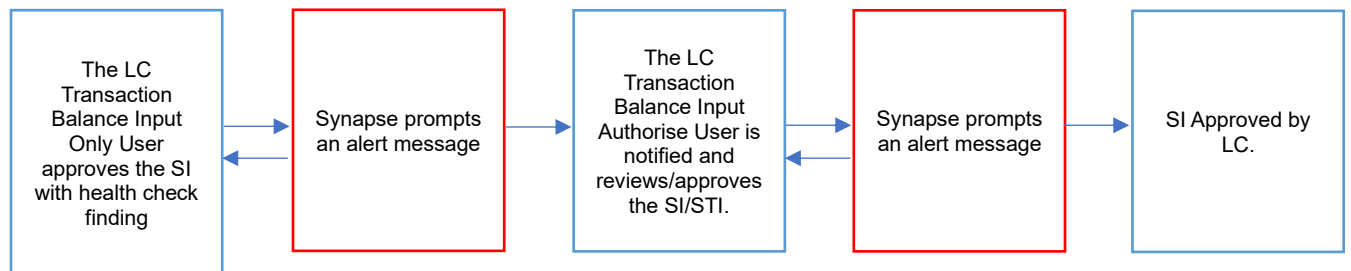
To reduce the risk of settlement failure, the health check provides additional business validation on the incoming settlement instruction from DTCC when Synapse users starts the approval workflow. Regardless of failure reasons, Synapse will trigger an alert message when the reason is detected.

### Workflow and Process

For buy-side instruction, an alert message will be prompted up in the approval workflow to both LC Transaction Balance Input Only User and LC Transaction Balance Input Authorise User when failure reason(s) is/are displayed in the SI Health Check tab.

### Recommendation

Refer to the chapter 7.6 for business validations of settlement instruction and recommendations on resolving health check findings.



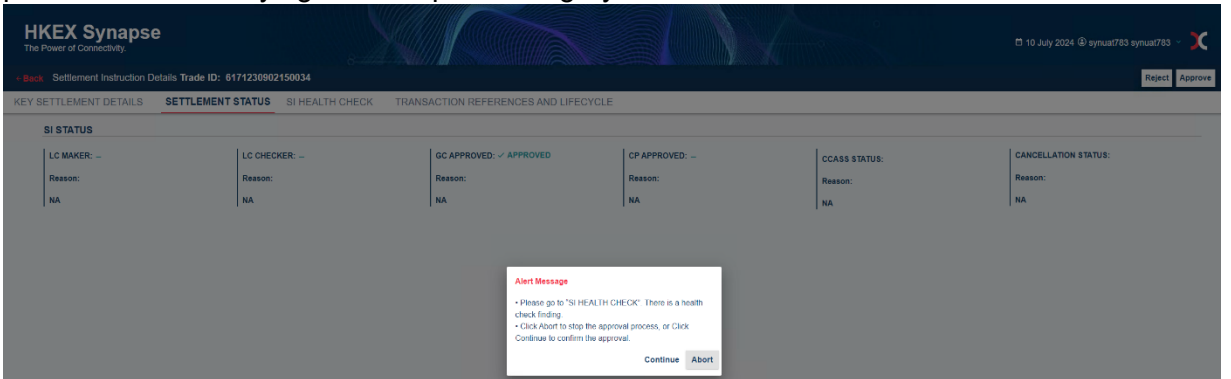
- The LC Transaction Balance Input Only User views the details of an SI/STI and clicks "Approve".

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE000000040	Depository BIC	XIHCJRG1HXXX	Trade Date	2023-09-01
Local Code	70001	Quantity	340,000	Type	RECE
Name	PING AN BANK CO., LTD. (A4000001)	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	340,000.01	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	F850		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP172X	LC BIC	SYNCOMP112X
Name	Fund Profile: 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP156X	Counterparty - EP (BIC/Name/LEI)	Seller: 300 Seller Lane, NY, NY 10066
		GC Name	SynComp356	Counterparty - CP CASS ID	801130
		GC's Account at LC	70202406	CP's Account at CCASS	
		EP's Account at CP			

- If a settlement instruction fails the health check, an alert message will be prompted up “Please go to “SI HEALTH CHECK”. There is a health check finding.”.



- The LC Transaction Balance Input Only User could either click **Continue** to confirm the approval or **Abort** to stop the approval process and check the exception found in the tab “SI Health Check”. The LC Transaction Balance Input Only User can restart the approval process after identifying the exception category.



- The LC Transaction Balance Input Only User clicked **Continue** to confirm the approval and the system message shows “Successfully Approved”.



- The same approval process will be applied to the LC Transaction Balance Input Authorise User.

## 7.3.2 Sell Side

### 7.3.2.1 Exchange Participant (EP)

EPs have view only rights to SI/STI processing.

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Dashboard **Settlement Instructions** Accounts Relationships Market Data

ACTING AS: Organization: SynComp531  
Identity: Exchange Participant

Function 1: SYN User  
Role Type: Input-Only **Report**

Function 2: Transaction-Balances  
Role Type: Input-Only

Function 3: Data Manager  
Role Type: Input-Only

Logout

**SETTLEMENT INSTRUCTIONS**

6 0 0 1 0  
Processing Unmatched Matched Settled Cancelled

INST TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	AM BIC	TRADE ID	CP	GC	
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341153	-	-	<a href="#">DETAILS &gt;</a>
SI	CNE1000030S9	279,600	CNY	4,065,977.07	RECE	DVP	900546	DTCCMEORXXX	5000916261222796	-	-	<a href="#">DETAILS &gt;</a>
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341152	-	-	<a href="#">DETAILS &gt;</a>
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341154	-	-	<a href="#">DETAILS &gt;</a>
SI	CNE1000030S9	92,000	CNY	4,065,977.07	DELI	DVP	900546	DTCCMEORXXX	5000916261222796	-	-	<a href="#">DETAILS &gt;</a>
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341150	-	-	<a href="#">DETAILS &gt;</a>
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341151	-	-	<a href="#">DETAILS &gt;</a>

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Back Settlement Instruction Details Trade ID: 000000056341154

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

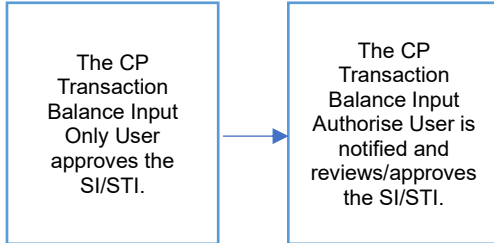
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

**PARTICIPANT DETAILS**

EP BIC	DTCCSELLXXX
EP Name	SynComp531
EP's Account at CP	999991
CP BIC	DTCCDEAGXXX
CP Name	SynComp541
CP's Account at CCASS	11

### 7.3.2.2 Clearing Participant (CP)

#### Approval by CP Transaction Balance Input Only User; Approval by CP Transaction Balance Input Authorise User:



#### Approval by CP Transaction Balance Input Only User:

1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking “Details”.

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003059	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	-	-	-	
SI	CNE100003059	279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152	-	-	-	
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153	-	-	-	
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341154	-	-	-	
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150	✓	✓	✓	
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341151	-	-	✗	

3. The CP Transaction Balance Input Only User views the details of an SI/STI and clicks “Approve”.

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< Back Settlement Instruction Details Trade ID: 000000056341150 [Reject] [Approve]

KEY SETTLEMENT DETAILS | SETTLEMENT STATUS | SI HEALTH CHECK | TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Amount		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

**PARTICIPANT DETAILS**

EP BIC	DTCCSELLXXX
EP Name	SynComp531
EP's Account at CP	909991
CP BIC	DTCCDEAGXXX
CP Name	SynComp541
CP's Account at CCASS	11

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< Back Settlement Instruction Details Trade ID: 000000056341150 [Reject] [Approve]

KEY SETTLEMENT DETAILS | **SETTLEMENT STATUS** | SI HEALTH CHECK | TRANSACTION REFERENCES AND LIFECYCLE

**SI STATUS**

CP MAKER: —	CP CHECKER: —	GC APPROVED: ✓ APPROVED	LC APPROVED: ✓ APPROVED	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

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< Back Settlement Instruction Details Trade ID: 000000056341150 [Reject] [Approve]

KEY SETTLEMENT DETAILS | **SETTLEMENT STATUS** | SI HEALTH CHECK | TRANSACTION REFERENCES AND LIFECYCLE

✓ Successfully Approved

**SI STATUS**

CP MAKER: ✓ APPROVED	CP CHECKER: —	GC APPROVED: ✓ APPROVED	LC APPROVED: ✓ APPROVED	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

### Approval by CP Transaction Balance Input Authorise User:

1. On the Settlement Instructions List view, The CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has approved an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

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Dashboard | **Settlement Instructions** | Accounts | Relationships | Market Data | Reports

**SETTLEMENT INSTRUCTIONS**      6 0 0 1 0  
Processing Unmatched Matched Settled Cancelled

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	SI TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE1000030S9	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	-	-	-	
SI	CNE1000030S9	279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152	-	-	-	
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153	-	-	-	
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341154	-	-	-	
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150	✓	✓	✓	
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341151	-	-	✗	

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2. The CP Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Approve”.

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< Back | Settlement Instruction Details Trade ID: 000000056341150 | Reject Approve

KEY SETTLEMENT DETAILS | SETTLEMENT STATUS | SI HEALTH CHECK | TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

**PARTICIPANT DETAILS**

EP BIC	DTCCSELLXXX
EP Name	SynComp531
EP's Account at CP	999991
CP BIC	DTCCDEAGXXX
CP Name	SynComp541
CP's Account at CCASS	11

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13 April 2023 | synuat283 synuat283

< Back | Settlement Instruction Details Trade ID: 000000056341150 | Reject Approve

KEY SETTLEMENT DETAILS | **SETTLEMENT STATUS** | SI HEALTH CHECK | TRANSACTION REFERENCES AND LIFECYCLE

**SI STATUS**

CP MAKER: ✓ APPROVED	CP CHECKER: -	GC APPROVED: ✓ APPROVED	LC APPROVED: ✓ APPROVED	CCASS STATUS:	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

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13 April 2023 | synuat283 synuat283

Back Settlement Instruction Details Trade ID: 000000056341150

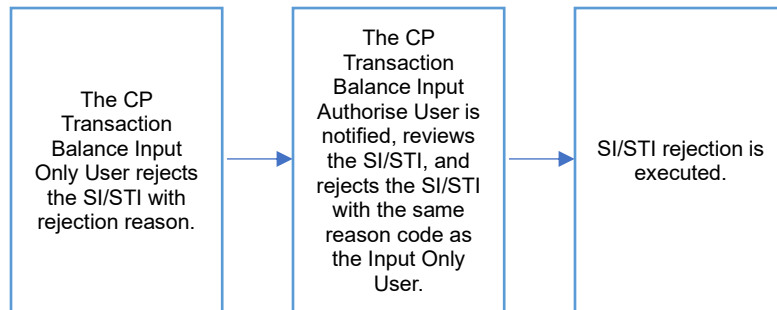
KEY SETTLEMENT DETAILS | **SETTLEMENT STATUS** | SI HEALTH CHECK | TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

CP MAKER: ✓ APPROVED Reason: NA	CP CHECKER: ✓ APPROVED Reason: NA	GC APPROVED: ✓ APPROVED Reason: NA	LC APPROVED: ✓ APPROVED Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
------------------------------------	--------------------------------------	---------------------------------------	---------------------------------------	-----------------------------	------------------------------------

**Rejection by CP Transaction Balance Input Only User;  
Rejection by CP Transaction Balance Input Authorise User (same rejection reason(s)  
between Input Only User and Input Authorise User):**



**Rejection by CP Transaction Balance Input Only User:**

1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

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13 April 2023 | synuat281 synuat281

Back Settlement Instruction Details Trade ID: 000000056341154

KEY SETTLEMENT DETAILS | SETTLEMENT STATUS | SI HEALTH CHECK | TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2.102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,005,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS	
EP BIC	DTCCSELLXXX
EP Name	SynComp531
EP's Account at CP	999991
CP BIC	DTCCDEAGXXX
CP Name	SynComp541
CP's Account at CCASS	11

3. The CP Transaction Balance Input Only User views the details of an SI/STI and clicks "Reject" and must select a rejection reason.

**REJECTION CODE:**  
Please select the code corresponding to your reason for rejection of this Settlement Instruction:  
Invalid Rule [VALR]

Buttons: Cancel, Submit

**SI STATUS**

<b>CP MAKER:</b> X <b>REJECTED</b>	<b>CP CHECKER:</b> --	<b>GC APPROVED:</b> --	<b>LC APPROVED:</b> --	<b>CCASS STATUS:</b>	<b>CANCELLATION STATUS:</b>
<b>Reason:</b> Invalid Rule [VALR]	<b>Reason:</b> NA	<b>Reason:</b> NA	<b>Reason:</b> NA	<b>Reason:</b> NA	<b>Reason:</b> NA

## Rejection by CP Transaction Balance Input Authorise User:

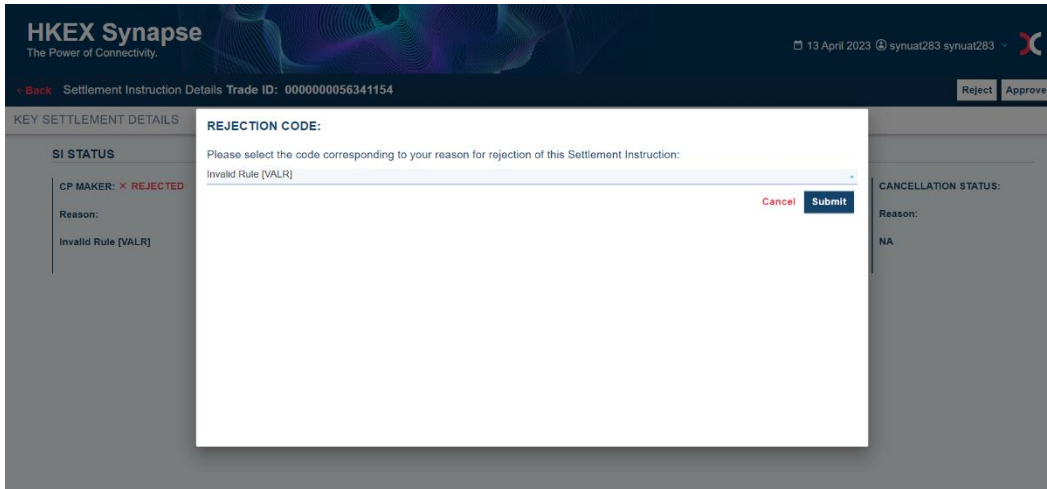
1. On the Settlement Instructions List view, the CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has rejected an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

**SETTLEMENT INSTRUCTIONS**

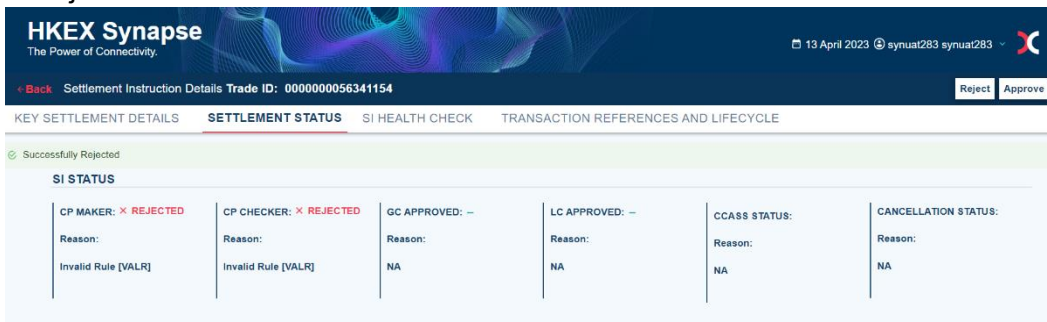
5 1 0 1 0  
Processing Unmatched Matched Settled Cancelled

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003089	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	—	—	—	
SI	CNE100003089	279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152	—	—	—	
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153	—	—	—	
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341154	—	—	—	
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341151	—	—	—	X
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150	✓	✓	✓	Unmatched

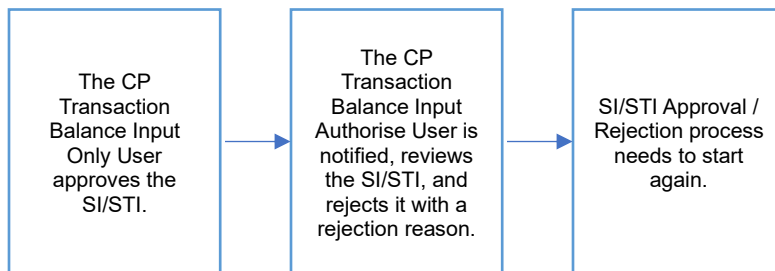
2. The CP Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Reject” and must select a rejection reason.



- The CP Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, and the rejection is executed. This settlement instruction can be re-approved by CP Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved. The re-approval process is the same as approval, while the settlement instruction can also be re-rejected by CP Transaction Balance Input Only and Input Authoriser Users again if the rejection reason is needed to update. The re-rejection process is the same as rejection.



### Approval by CP Transaction Balance Input Only User; Rejection by CP Transaction Balance Input Authorise User



- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.

- CP Transaction Balance Input Only User can see the Approval is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

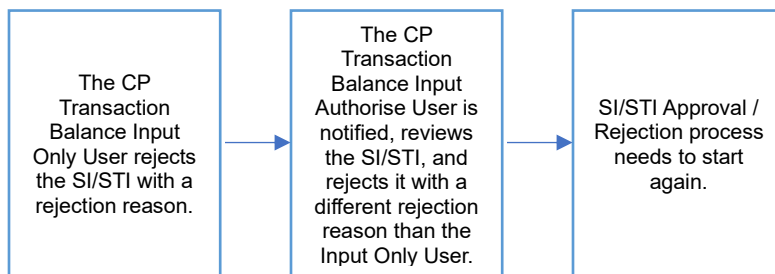
The screenshot shows the HKEX Synapse interface for Settlement Status. The page title is 'Rejected to Maker'. Below the title, there are six columns of status information:

CP MAKER: PENDING AMENDMENT	CP CHECKER: REJECTED TO MAKER	GC APPROVED: --	LC APPROVED: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

- On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User.

The screenshot shows the HKEX Synapse Settlement Instructions list view. At the top, there are statistics: 5 Processing, 1 Unmatched, 0 Matched, 1 Settled, and 0 Cancelled. Below this is a table with the following columns: INS TYPE, ISIN, QUANTITY, SETTLEMENT CURRENCY, SETTLEMENT AMOUNT, TYPE, PAYMENT MODE, EP'S ACCOUNT AT CP, CP'S ACCOUNT AT CCASS, LC CCASS ID, TRADE ID, CP, GC, LC, and STATUS. The table contains several rows of data, with the last row showing a 'Details' link.

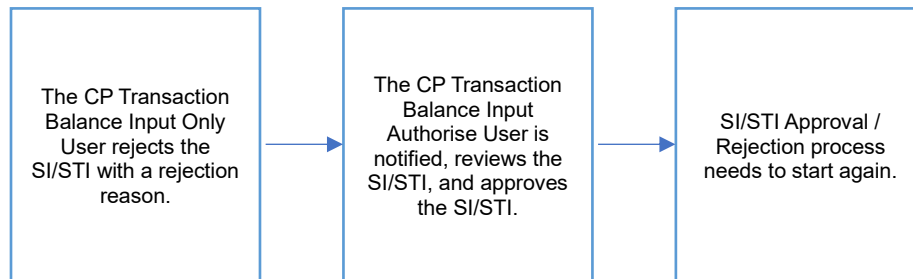
**Rejection by CP Transaction Balance Input Only User;  
Rejection by CP Transaction Balance Input Authorise User (different rejection reason(s)  
between Input Only User and Input Authorise User):**



- Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SI/STI process effectively starts over.
- CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

- On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the settlement instruction. The re-approval process is the same with the approval, while the re-rejection process is the same with the rejection.

**Rejection by CP Transaction Balance Input Only User;  
Approval by CP Transaction Balance Input Authorise User):**



- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.

- CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

The screenshot shows the HKEX Synapse interface for Settlement Instruction Details. The page title is 'Settlement Instruction Details Trade ID: 000000056341152'. The 'SI STATUS' section is highlighted, showing a 'Rejected to Maker' status. The status is broken down into several categories, all with a reason of 'NA':

CP MAKER: PENDING AMENDMENT	CP CHECKER: REJECTED TO MAKER	GC APPROVED: --	LC APPROVED: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

- On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the settlement instruction. The re-approval process is the same with the approval, while the re-rejection process is the same with the rejection.

The screenshot shows the HKEX Synapse Settlement Instructions list view. The page title is 'Settlement Instructions'. The summary shows 5 Processing, 1 Unmatched, 0 Matched, 1 Settled, and 0 Cancelled instructions. The table below shows the details of the instructions:

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003089	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	-	-	-	DETAILS >
SI	CNE100003089	279,000	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152	-	-	-	DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153	-	-	-	DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341151	-	-	X	DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150	✓	✓	✓	Unmatched
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341154	X	-	-	DETAILS >

## 7.4 Special STI (SSTI) Approvals and Rejections

Special STIs (SSTIs) can be approved or rejected on the Settlement Instruction Details view. Only Users belonging to the same Participant Entity can see the internal approval status of Transaction Balance Input Only User and Transaction Balance Input Authorise User. Other Participants involved in the transaction can only see entity level approvals. E.g. Only GC can see its internal approval status (e.g. GC maker have already approved), but the other entity (e.g. AM / LC) cannot see such detail until both GC maker and checker have approved.

AM / EP are obliged to ensure their reference data setup in DTCC is correct and that any transaction is not "matched" in DTCC side, i.e. remains single sided and DTCC only send one SN for such transaction.

GCs, LCs and CPs are the only participants required to approve or reject an SSTI. AMs and EPs can only view the Settlement Instructions details.

Approvals or rejections of SSTIs by the GC, LC, or CP do not need to be done in a specific order. For example, an SSTI does not require a specific buy side participant to approve or reject before the other.

## 7.4.1 Buy Side

### 7.4.1.1 Asset Managers (AM)

AMs have view only rights to SSTI processing.

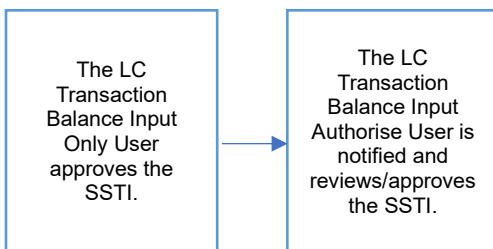
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	JOHCHH01XXXX	Trade Date	2024-07-10
Local Code	93906	Quantity	33.010	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR/BEIJING, INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNY	Deal Price-Currency	CNY
		Settlement Amount	3,301,000.10	Deal Price	44.06
		Effective Settlement Date	2024-07-10	Currency To Buy	USD
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	3,301,000.10	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	051759	AM BIC	SYNCOMP294X	LC BIC	SYNCOMP105X
Name	Fidelity China Fund 1759	AM Name	S-y n Comp (294)	LC Name	S-y n Comp (105)
Fund Account at GC	541751	Investor ID	205279	SPSA	80000026
		GC BIC	SYNCOMP294X	Counterparty - EP (BIC) Name (LEI)	DTCSELL03X
		GC Name	S-y nComp (294)	Counterparty - CP CCASS ID	C00016
				CP's Account at CCASS	1

### 7.4.1.2 Global Custodian (GC)

SSTI processing for GCs is the same process as for SI/STIs.

### 7.4.1.3 Local Custodian (LC)

**Approval by LC Transaction Balance Input Only User;**  
**Approval by LC Transaction Balance Input Authorise User:**



**Approval by LC Transaction Balance Input Only User:**

1. The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The LC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

Settlement Instructions

SETTLEMENT INSTRUCTIONS 14 5 0 2 0  
Processing Unmatched Matched Settled Cancelled

2023-08-05

IS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CLASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS
SSTI	CNE100003039	2,162	CNY	4,995,977.07	DELI	DVP	444111	C00010	80000001	000000007619001	-	-	-	Settled
SSTI	CNE100003039	22,312	CNY	4,995,977.07	DELI	DVP	762231	C00016	80000001	223199415577821	-	-	-	Settled
SSTI	CNE100003039	2,162	CNY	4,995,977.07	DELI	DVP	444111	C00016	80000001	000000007619002	-	-	-	Settled
SSTI	CNE100003039	2,162	CNY	4,995,977.07	DELI	DVP	444111	C00016	80000001	000000007619003	-	-	-	Settled
SI	CNE100003039	2,231	CNY	4,995,977.07	DELI	DVP	762231	B01110	80000001	223199415577821	-	-	-	Settled
SSTI	CNE100003039	2,162	CNY	4,995,977.07	DELI	DVP	444111	C00016	80000001	000000007619004	-	-	-	Settled
SSTI	CNE100003039	2,162	CNY	4,995,977.07	DELI	DVP	444111	C00016	80000001	000000007619005	-	-	-	Settled
SI	CNE100003039	29,625	CNY	4,995,977.07	DELI	DVP	762231	B01110	80000001	219998415577821	-	-	-	Settled
SSTI	CNE100003039	82,208	CNY	4,995,977.07	DELI	DVP	762734	C00016	80000001	203420001916822	✓	✓	-	Settled
SSTI	CNE100003039	82,208	CNY	4,995,977.07	DELI	DVP	762734	C00016	80000001	203420001916822	✓	✓	-	Settled
SSTI	CNE100003039	39,637	CNY	4,995,977.07	DELI	DVP	762231	C00016	80000001	296299415577821	-	-	-	Settled
SI	CNE100003039	2,162	CNY	4,995,977.07	DELI	DVP	762656	B01110	80000001	000000007619006	-	-	-	Unmatched
SI	CNE100003039	29,622	CNY	4,995,977.07	DELI	DVP	762231	B01110	80000001	219998415577821	✓	✓	-	Unmatched
SI	CNE100003039	29,626	CNY	4,995,977.07	DELI	DVP	762231	B01110	80000001	296299415577821	✓	✓	-	Unmatched
SI	CNE100003039	29,623	CNY	4,995,977.07	DELI	DVP	762231	B01110	80000001	219998415577821	✓	✓	-	Unmatched
SI	CNE100003039	29,624	CNY	4,995,977.07	DELI	DVP	762231	B01110	80000001	219998415577821	✓	✓	-	Unmatched
SI	CNE100003039	39,624	CNY	4,995,977.07	DELI	DVP	762231	B01110	80000001	219998415577821	✓	✓	-	Unmatched
SI	CNE100003039	82,209	CNY	4,995,977.07	RECE	DVP	764143	B01110	80000001	743070004021919	✓	-	-	Settled
SSTI	CNE100003039	22,312	CNY	4,995,977.07	DELI	DVP	762231	C00016	80000001	223199415577821	-	-	-	Settled
SI	CNE100003039	2,231	CNY	4,995,977.07	DELI	DVP	762231	B01110	80000001	223199415577821	-	-	-	Settled

3. The LC Transaction Balance Input Only User views the details of an SSTI and to provide the following details:
  - a. Settled Amount (optional)
  - b. CP's Account at CCASS (mandatory)

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10 July 2024 © synphk729 synphk729

Back Settlement Instruction Details Trade ID: 6171236721133010

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003039	Depository BIC	39388	Trade Date	2024-07-10
Local Code	93988	Quantity	33,810	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	3,381,060.10	Deal Price	44.68
		Effective Settlement Date	762231	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		▲ Settled Amount	3301000.1	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	811759	AM BIC	SYNCCMP294	LC BIC	SYNCCMP185X
Name	Fidelity China Fund 1759	AM Name	S-y n Comp (294)	LC Name	S-y n Comp (185)
		Investor ID	290276	SPSA	80000028
		GC BIC	SYNCCMP292X	Counterparty - EP (BIC Name) LEB	DTCCSELLOC
		GC Name	S-y nComp (382)	Counterparty - CP CCASS ID	C00016
		GC's Account at LC	761759	▲ CP's Account at CCASS	
		EP's Account at CP	123456		

4. After adding those details, the LC Transaction Balance Input Only User can approve the SSTI by clicking "Approve".

**HKEX Synapse**  
The Power of Connectivity

10 July 2024 @ synplke729 synplke729

Back Settlement Instruction Details Trade ID: 617123072133010

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

**FINANCIAL INSTRUMENT DETAILS**

ISIN: CNE190003939 Depository BIC: 30KCHN33XXXX Trade Date: 2024-07-19  
 Local Code: 93936 Quantity: 23,312 DEBIT EWP RECD  
 Name: GIGADEVICE SEMICONDUCTOR(BEIJING) INC Settlement Date: 2024-07-19 Payment  
 Settlement Currency: CHY Deal Price Currency: CHY  
 Settlement Amount: 3,301,000.10 Deal Price: 44.06  
 Effective Settlement Date: Settlement Currency: CHY Currency To Buy  
 Settled Amount: 3,301,000.10 Currency To Sell  
 Real-Time Settlement Indicator: FX Cancellation: None

**FUND DETAILS**

ID: 011719 AM BIC: SYNCMP294X LC BIC: SYNCMP105X  
 Name: Fidelity China Fund 1719 AM Name: S-y n Comp (294) LC Name: S-y n Comp (105)  
 Investor ID: 200276 SP5A  
 GC BIC: SYNCMP292X Counterparty - EP (BIC Name) LEB: DTCCSELXXX  
 GC Name: S-y n Comp (292) Counterparty - CP CCASS ID: C00016  
 GCN Account at LC: 781759 CP Account at CCASS: C00016  
 EPA Account at CP: 123456

## Approval by LC Transaction Balance Input Authorise User:

- The LC Transaction Balance Input Authorise User will be notified that there is an SSTI pending their approval by a changed icon from '—' to 'O' in the LC column for a specific SSTI on the Settlement Instructions List view.

**HKEX Synapse**  
The Power of Connectivity

12 April 2023 @ synmat141 synmat141

Dashboard Settlement Instructions Funds Relationships Market Data Reports

Settlement Instructions

11 8 0 6 6  
Processing Unmatched Matched Settled Cancelled

2023-06-05

INST TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SP5A	TRADE ID	GC	LC	CP	STATUS
SSTI	CNE190003939	2,192	CHY	4,095,977.07	DEBIT	EWP	444119	C00016	00000001	000000075610018	—	—	—	Details
SSTI	CNE190003939	22,312	CHY	4,095,977.07	DEBIT	EWP	762231	C00016	00000001	2231094155771021	—	—	—	Details
SSTI	CNE190003939	2,192	CHY	4,095,977.07	DEBIT	EWP	444119	C00016	00000001	000000075610018	—	—	—	Details
SSTI	CNE190003939	2,192	CHY	4,095,977.07	DEBIT	EWP	444119	C00016	00000001	000000075610018	—	—	—	Details
SSTI	CNE190003939	2,231	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	2231094155771021	—	—	—	Details
SSTI	CNE190003939	2,192	CHY	4,095,977.07	DEBIT	EWP	444119	C00016	00000001	000000075610018	—	—	—	Details
SSTI	CNE190003939	2,192	CHY	4,095,977.07	DEBIT	EWP	444119	C00016	00000001	000000075610018	—	—	—	Details
SI	CNE190003939	39,826	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	218994455771021	—	—	—	Details
SSTI	CNE190003939	82,290	CHY	4,095,977.07	DEBIT	EWP	762231	C00016	00000001	203410001676072	✓	✓	—	Settled Details
SSTI	CNE190003939	29,827	CHY	4,095,977.07	DEBIT	EWP	762231	C00016	00000001	2962094155771021	✓	✓	—	Cancelled Details
SSTI	CNE190003939	82,290	CHY	4,095,977.07	DEBIT	EWP	762231	C00016	00000001	203420001676072	✓	✓	—	Settled Details
SSTI	CNE190003939	29,827	CHY	4,095,977.07	DEBIT	EWP	762231	C00016	00000001	2962094155771021	✓	✓	—	Cancelled Details
SI	CNE190003939	2,192	CHY	4,095,977.07	DEBIT	EWP	762465	001110	00000001	000000075610040	—	—	—	Details
SI	CNE190003939	39,826	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	218994455771021	✓	✓	—	Unmatched Details
SI	CNE190003939	39,826	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	218994455771021	✓	✓	—	Unmatched Details
SI	CNE190003939	39,826	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	218994455771021	✓	✓	—	Unmatched Details
SI	CNE190003939	29,827	CHY	4,095,977.07	RECD	EWP	764143	001110	00000001	742813003402119	✓	✓	—	Unmatched Details
SI	CNE190003939	39,826	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	218994455771021	✓	✓	—	Cancelled Details
SI	CNE190003939	39,826	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	218994455771021	✓	✓	—	Cancelled Details
SI	CNE190003939	39,826	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	218994455771021	✓	✓	—	Cancelled Details
SI	CNE190003939	39,826	CHY	4,095,977.07	DEBIT	EWP	762231	001110	00000001	218994455771021	✓	✓	—	Cancelled Details
SI	CNE190003939	29,827	CHY	4,095,977.07	DEBIT	EWP	762231	C00016	00000001	2962094155771021	✓	✓	—	Cancelled Details
SI	CNE190003939	29,827	CHY	4,095,977.07	DEBIT	EWP	762231	C00016	00000001	2962094155771021	✓	✓	—	Cancelled Details
SI	CNE190003939	22,312	CHY	4,095,977.07	DEBIT	EWP	762231	C00016	00000001	2231094155771021	✓	✓	—	Settled Details

- The LC Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Approve”.

**HKEX Synapse**  
The Power of Connectivity

10 July 2024 @ synplke731 synplke731

Back Settlement Instruction Details Trade ID: 617123072133010

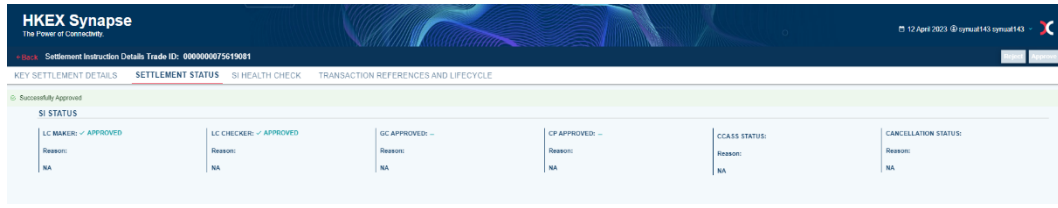
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

**FINANCIAL INSTRUMENT DETAILS**

ISIN: CNE190003939 Depository BIC: 30KCHN33XXXX Trade Date: 2024-07-19  
 Local Code: 93936 Quantity: 23,312 DEBIT EWP RECD  
 Name: GIGADEVICE SEMICONDUCTOR(BEIJING) INC Settlement Date: 2024-07-19 Payment  
 Settlement Currency: CHY Deal Price Currency: CHY  
 Settlement Amount: 3,301,000.10 Deal Price: 44.06  
 Effective Settlement Date: Settlement Currency: CHY Currency To Buy  
 Settled Amount: 3,301,000.10 Currency To Sell  
 Real-Time Settlement Indicator: FX Cancellation: None

**FUND DETAILS**

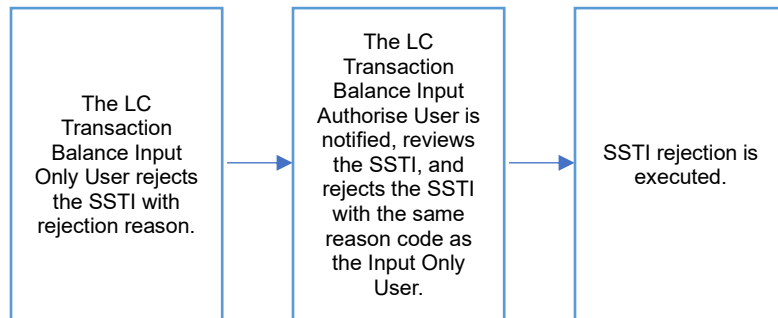
ID: 011719 AM BIC: SYNCMP294X LC BIC: SYNCMP105X  
 Name: Fidelity China Fund 1719 AM Name: S-y n Comp (294) LC Name: S-y n Comp (105)  
 Investor ID: 200276 SP5A  
 GC BIC: SYNCMP292X Counterparty - EP (BIC Name) LEB: DTCCSELXXX  
 GC Name: S-y n Comp (292) Counterparty - CP CCASS ID: C00016  
 GCN Account at LC: 781759 CP Account at CCASS: C00016  
 EPA Account at CP: 123456



- If the GC has not yet approved the SSTI, then the GC Transaction Balance Input Only User will be notified that there is an SSTI pending their approval by a '✓' in the LC column and a '—' in the GC column.

WS TYPE	ISM	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPISA	TRADE ID	GC	LC	CP	STATUS
SSTI	CNE1990030359	2.162	CNY	4.055.977.07	DELI	DVP	444111	C00016	00000001	000000075619001	✓	✓	✓	Settled
SI	CNE1990030359	22.312	CNY	4.055.977.07	DELI	DVP	702231	C00016	00000001	2231094155771021	✓	✓	✓	Settled
SSTI	CNE1990030359	2.162	CNY	4.055.977.07	DELI	DVP	444111	C00016	00000001	000000075619002	✓	✓	✓	Settled
SSTI	CNE1990030359	2.162	CNY	4.055.977.07	DELI	DVP	444111	C00016	00000001	000000075619003	✓	✓	✓	Settled
SI	CNE1990030359	2.331	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2231094155771021	✓	✓	✓	Settled
SSTI	CNE1990030359	2.162	CNY	4.055.977.07	DELI	DVP	444111	C00016	00000001	000000075619004	✓	✓	✓	Settled
SSTI	CNE1990030359	2.162	CNY	4.055.977.07	DELI	DVP	444111	C00016	00000001	000000075619005	✓	✓	✓	Settled
SI	CNE1990030359	29.625	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2189944155771021	✓	✓	✓	Cancelled
SSTI	CNE1990030359	92.200	CNY	4.055.977.07	DELI	DVP	702231	C00016	00000001	2024190018170072	✓	✓	✓	Cancelled
SI	CNE1990030359	29.624	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2062944155771021	✓	✓	✓	Cancelled
SSTI	CNE1990030359	10.200	CNY	4.055.977.07	DELI	DVP	702231	C00016	00000001	2054300016700073	✓	✓	✓	Cancelled
SI	CNE1990030359	29.627	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2062944155771021	✓	✓	✓	Cancelled
SI	CNE1990030359	2.162	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	000000075619006	✓	✓	✓	Cancelled
SI	CNE1990030359	29.622	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2189944155771021	✓	✓	✓	Unmatched
SI	CNE1990030359	29.625	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2062944155771021	✓	✓	✓	Unmatched
SI	CNE1990030359	29.623	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2189944155771021	✓	✓	✓	Unmatched
SI	CNE1990030359	29.624	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2189944155771021	✓	✓	✓	Unmatched
SI	CNE1990030359	92.200	CNY	4.055.977.07	RECE	DVP	702231	B01110	00000001	7435700054052118	✓	✓	✓	Unmatched
SI	CNE1990030359	29.621	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2189944155771021	✓	✓	✓	Cancelled
SI	CNE1990030359	29.622	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2189944155771021	✓	✓	✓	Cancelled
SI	CNE1990030359	29.624	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2189944155771021	✓	✓	✓	Cancelled
SI	CNE1990030359	29.623	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2189944155771021	✓	✓	✓	Cancelled
SI	CNE1990030359	29.626	CNY	4.055.977.07	DELI	DVP	702231	B01110	00000001	2062944155771021	✓	✓	✓	Cancelled
SI	CNE1990030359	29.627	CNY	4.055.977.07	DELI	DVP	702231	C00016	00000001	2062944155771021	✓	✓	✓	Cancelled
SI	CNE1990030359	22.312	CNY	4.055.977.07	DELI	DVP	702231	C00016	00000001	2231094155771021	✓	✓	✓	Cancelled

### Rejection by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User (same market rejection reason(s) between Input Only User and Input Authorise User):



### Rejection by LC Transaction Balance Input Only User:

- The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The LC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

HKEX Synapse  
The Power of Connectivity

10 July 2024 @ synsmt4728 synsmt4728

Back Settlement Instruction Details Trade ID: 6171230721133019

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

ISIN: CNE10003059 Depository BIC: JONKCH01XXXX Trade Date: 2024-07-10  
 Local Code: 03900 Quantity: 35.910 Type: RECE  
 Name: QIS4DEVICE SEMICONDUCTOR/BEIJING INC Settlement Date: 2024-07-10 Payment: DVP  
 Settlement Currency: CNY Deal Price Currency: CNY  
 Settlement Amount: 3,301,800.10 Deal Price: 44.86  
 Effective Settlement Date: Currency To Buy: CNY  
 Settled Currency: CNY Currency To Sell: CNY  
 Settled Amount: 3301800.1 HKD FX Cancellation: False  
 Real Time Settlement Indicator: False

FUND DETAILS PARTICIPANT DETAILS

ID: 881759 AM BIC: SVINCOM294X LC BIC: SVINCOM188X  
 Name: Fidelity China Fund 1759 AM Name: S y n Comp (294) LC Name: S y n Comp (188)  
 Investor ID: 202176 SPFA: 00000020  
 GC BIC: SVINCOM188X Counterparty - EP (BIC Name) LEI: DTCCSELXXXX  
 GC Name: S y n Comp (382) Counterparty - CP CCASS ID: C00016  
 GC's Account at LC: 791759 CP's Account at CCASS: C23468  
 EP's Account at CP: C23468

- The LC Transaction Balance Input Only User views the details of an SSTI and clicks “Reject” and must select a rejection reason. It is not required to fill in the fields “Settled Amount” and “CP’s Account at CCASS” when performing the rejection.

HKEX Synapse  
The Power of Connectivity

12 April 2023 @ synsmt41 synsmt41

Back Settlement Instruction Details Trade ID: 800000075019062

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

ISIN: 332146050  
 Local Code: CBU  
 Name: CVP  
 Settlement Currency: CNY  
 Deal Price Currency: CNY  
 Deal Price: 44.00

FUND DETAILS PARTICIPANT DETAILS

ID: JMBPJA185100  
 Name: S y n Comp (21)  
 Investor ID: 00000001  
 Counterparty - EP (BIC Name) LEI: C00016

REJECTION CODE:  
 Please select the code corresponding to your reason for rejection of this Settlement Instruction.  
 Invalid Link [INV]

Cancel Submit

SI STATUS

LC MAKER: **REJECTED**  
 Reason: Invalid Link [INV]

LC CHECKER: NA  
 Reason: NA

GC APPROVED: NA  
 Reason: NA

CP APPROVED: NA  
 Reason: NA

CCASS STATUS: NA  
 Reason: NA

CANCELLATION STATUS: NA  
 Reason: NA

## Rejection by LC Transaction Balance Input Authorise User:

- On the Settlement Instructions List view, the LC Transaction Balance Input Authorise User is informed that the LC Transaction Balance Input Only User has rejected an SSTI that is pending their approval by a change in icon from ‘—’ to ‘O’ in the LC column.

HKEX Synapse  
The Power of Connectivity

12 April 2023 @ synsui143 synsui143

Dashboard Settlement Instructions Funds Relationships Market Data Reports

Settlement Instructions

11 7 0 6 7  
Processing Unmatched Matched Settled Cancelled

Search Generate Report

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CLASS ID	SPBA	TRADE ID	GC	LC	CP	STATUS
STI	CNE180000039	22,312	CNY	4,685,977.07	DELI	DVP	782231	C00016	00000001	2231094185771821	✓	✓	✓	Cancelled
STI	CNE180000039	2,102	CNY	4,685,977.07	DELI	DVP	444111	C00016	00000001	0000000076810032	✓	✓	✓	Cancelled
STI	CNE180000039	2,102	CNY	4,685,977.07	DELI	DVP	444111	C00016	00000001	0000000076810033	✓	✓	✓	Cancelled
SI	CNE180000039	2,231	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	2231094185771821	✓	✓	✓	Cancelled
STI	CNE180000039	2,102	CNY	4,685,977.07	DELI	DVP	444111	C00016	00000001	0000000076810048	✓	✓	✓	Cancelled
STI	CNE180000039	2,102	CNY	4,685,977.07	DELI	DVP	444111	C00016	00000001	0000000076810058	✓	✓	✓	Cancelled
SI	CNE180000039	29,828	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Cancelled
STI	CNE180000039	82,203	CNY	4,685,977.07	DELI	DVP	782231	C00016	00000001	2034200019176072	✓	✓	✓	Settled
STI	CNE180000039	29,827	CNY	4,685,977.07	DELI	DVP	782231	C00016	00000001	2982994185771821	✓	✓	✓	Cancelled
SI	CNE180000039	29,827	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	0000000076810048	✓	✓	✓	Cancelled
SI	CNE180000039	29,822	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,828	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	2982994185771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,822	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,824	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,823	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,821	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,824	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,823	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,824	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,823	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
SI	CNE180000039	29,824	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched
STI	CNE180000039	29,827	CNY	4,685,977.07	DELI	DVP	782231	C00016	00000001	2982994185771821	✓	✓	✓	Cancelled
STI	CNE180000039	22,312	CNY	4,685,977.07	DELI	DVP	782231	C00016	00000001	2231094185771821	✓	✓	✓	Cancelled
SI	CNE180000039	29,825	CNY	4,685,977.07	DELI	DVP	782231	801118	00000001	218994155771821	✓	✓	✓	Unmatched

2. The LC Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Reject” and must select a rejection reason.

HKEX Synapse  
The Power of Connectivity

10 July 2024 @ synsui731 synsui731

Settlement Instruction Details Trade ID: 611232071133010

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE180000039	Depository (BIC)	39WCH01XXXX	Trade Date	2024-07-10
Local Code	93856	Quantity	33,010	Type	RECE
Name	GIQADVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	3,301,000.10	Deal Price	44.96
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	3,301,000.10	FX Cancellation	
		Real Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS	
ID	851759	AM BIC	SYNCOMP294X
Name	Fidelity China Fund 1759	Investor ID	200276
		GC BIC	SYNCOMP362X
		GC Name	S-y nAComp (362)
		GC's Account at LC	781759
		EP's Account at CP	125456
		LC BIC	SYNCOMP185X
		LC Name	S-y n Comp (185)
		Counterparty - EP (BIC) Name (LEI)	DTCCSELLXXX
		Counterparty - CP CCASS ID	C00016

3. The LC Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, and the rejection is executed. This SSTI can be re-approved by LC Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved.

The re-approval process is the same as approval.

HKEX Synapse  
The Power of Connectivity

12 April 2023 @ synsui143 synsui143

Settlement Instruction Details Trade ID: 0000000075619882

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE180000039	Depository (BIC)	39WCH01XXXX	Trade Date	2024-04-26
Local Code	93856	Quantity	33,010	Type	DELI
Name	GIQADVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-04-26	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	3,301,000.10	Deal Price	44.96
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	3,301,000.10	FX Cancellation	
		Real Time Settlement Indicator	False		

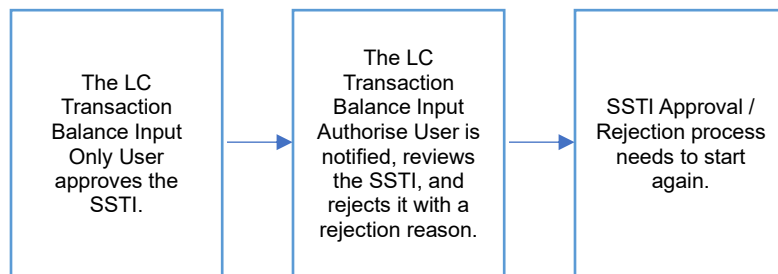
FUND DETAILS		PARTICIPANT DETAILS	
ID	851759	AM BIC	SYNCOMP294X
Name	Fidelity China Fund 1759	Investor ID	200276
		GC BIC	SYNCOMP362X
		GC Name	S-y nAComp (362)
		GC's Account at LC	781759
		EP's Account at CP	125456
		LC BIC	SYNCOMP185X
		LC Name	S-y n Comp (185)
		Counterparty - EP (BIC) Name (LEI)	DTCCSELLXXX
		Counterparty - CP CCASS ID	C00016

REJECTION CODE:  
Please select the code corresponding to your reason for rejection of this Settlement Instruction:  
Invest Line (RMK)

Cancel Submit

- If the GC has not yet approved the SSTI, then the GC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SSTI that has been rejected by a 'X' in the LC column.

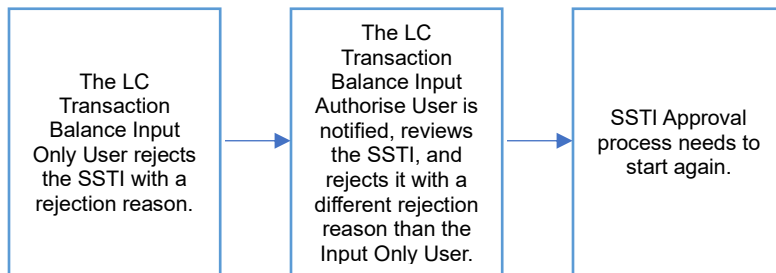
### Approval by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User):



- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- LC Transaction Balance Input Only User can see the Approval is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
- On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI.

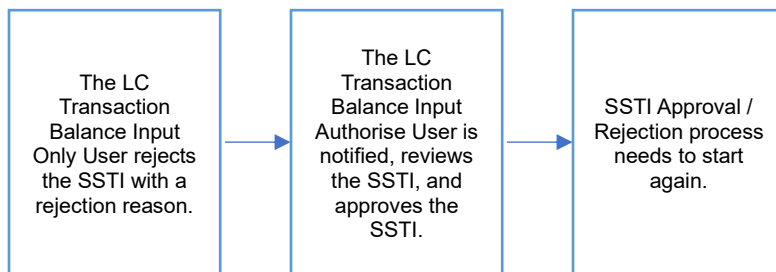
The re-approval process is the same as approval, while the re-reject process is the same as rejection.

**Rejection by LC Transaction Balance Input Only User;  
Rejection by LC Transaction Balance Input Authorise User (different rejection reason(s)  
between Input Only User and Input Authorise User):**



1. Since the LC Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
3. On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

**Rejection by LC Transaction Balance Input Only User;  
Approval by LC Transaction Balance Input Authorise User:**



1. Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
3. On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

## 7.4.2 Sell Side

### 7.4.2.1 Exchange Participant (EP)

EPs have view only rights to SSTI processing.

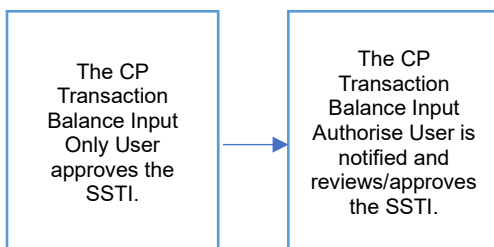
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	92.200	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	4,065,977.07	FX Cancellation	ERTS
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS	
EP BIC	SOSEPAAXXXX
EP Name	SynComp532
EP's Account at CP	960546
CP BIC	DTCCDEAGXXX
CP Name	SynComp541

### 7.4.2.2 Clearing Participant (CP)

**Approval by CP Transaction Balance Input Only User;**  
**Approval by CP Transaction Balance Input Authorise User:**



**Approval by CP Transaction Balance Input Only User:**

1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and is informed that there is an SSTI pending their approval by a '—' in the CP column.

3. The CP Transaction Balance Input Only User goes to the Settlement Instructions Details view by clicking "Details".

4. The CP Transaction Balance Input Only User views the details of an SSTI. When approving SSTIs, the CP to enter two fields:
  - a. Settled Amount (optional)
  - b. LC'S Account at CCASS (mandatory)

- After entering in those two fields, then the CP Transaction Balance Input Only User can approve the SSTI by clicking “Approve”.

**HKEX Synapse**  
The Power of Connectivity

12 April 2023 @ synuid031 synuid031

1003 Settlement Instruction Details Trade ID: 000000056341183

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

EPN CHE10000399 Depository BIC 3019010150XX Trade Date 2021-06-05  
Local Code 92866 Quantity 2.192 Type RECE  
Name 05045VICE 05045CONDUCTOR05045RHO #00 Settlement Date 2021-06-06 Payment DVP  
CP BIC DTC03300000 Settlement Currency CNY Deal Price Currency CNY  
Settlement Amount 4,065,977.07 Deal Price 44.06  
Effective Settlement Date CNY Currency To Sell  
Settled Currency CNY Currency To Sell  
Settled Amount 4992877.07 FXO FXO Cancellation USD  
Real Time Settlement Indicator False

PARTICIPANT DETAILS

EP BIC DTC03300000  
EP Name SynComp531  
EP's Account at CP 2000001  
CP BIC DTC03300000  
CP Name SynComp541  
CP's Account at CCASS 900113  
Counterparty - AM (BIC) Name I BR  
Counterparty - LC CCASS ID C00104  
LC's Account at CCASS  
GC's Account at LC 140002

**HKEX Synapse**  
The Power of Connectivity

12 April 2023 @ synuid031 synuid031

1003 Settlement Instruction Details Trade ID: 000000056341183

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

CP MAKER: APPROVED Reason: NA  
CP CHECKER: Reason: NA  
GC APPROVED: Reason: NA  
LC APPROVED: Reason: NA  
CCASS STATUS: Reason: NA  
CANCELLATION STATUS: Reason: NA

## Approval by CP Transaction Balance Input Authorise User:

- The CP Transaction Balance Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

On the Settlement Instructions List view, the CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has approved an SSTI that is pending their approval by a change in icon from ‘—’ to ‘O’ in the CP column.

**HKEX Synapse**  
The Power of Connectivity

12 April 2023 @ synuid031 synuid031

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

SETTLEMENT INSTRUCTIONS 11 0 0 3 2  
Processing Unmatched Matched Settled Cancelled

INS TYPE	ISM	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
STI	CNE10000399	22,312	CNY	4,065,977.07	RECE	DVP	900546	11	B01110	0000000563410231	—	—	—	DETAILS
STI	CNE10000399	2,251	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	0000000563410231	—	—	—	DETAILS
SS7H	CNE10000399	2,192	CNY	4,065,977.07	RECE	DVP	2000001	900113	C00016	000000056341102	—	—	—	DETAILS
SS7H	CNE10000399	2,192	CNY	4,065,977.07	RECE	DVP	2000001	900113	C00016	000000056341104	—	—	—	DETAILS
SS7H	CNE10000399	2,192	CNY	4,065,977.07	RECE	DVP	2000001	900113	C00016	000000056341105	—	—	—	DETAILS
STI	CNE10000399	29,627	CNY	4,065,977.07	RECE	DVP	900546	11	B01110	0000000563412967	—	—	—	DETAILS
STI	CNE10000399	29,627	CNY	4,065,977.07	RECE	DVP	900546	11	B01110	0000000563412968	—	—	—	DETAILS
STI	CNE10000399	29,627	CNY	4,065,977.07	RECE	DVP	900546	11	B01110	0000000563412969	—	—	—	DETAILS
STI	CNE10000399	29,627	CNY	4,065,977.07	RECE	DVP	900546	11	B01110	0000000563412970	—	—	—	DETAILS
STI	CNE10000399	29,627	CNY	4,065,977.07	RECE	DVP	900546	11	B01110	0000000563412971	—	—	—	DETAILS
STI	CNE10000399	22,312	CNY	4,065,977.07	RECE	DVP	900546	11	B01110	0000000563412972	—	—	—	DETAILS
STI	CNE10000399	2,251	CNY	4,065,977.07	RECE	DVP	900546	11	B01110	0000000563412973	—	—	—	DETAILS
SS7H	CNE10000399	2,192	CNY	4,065,977.07	RECE	DVP	2000001	900113	C00016	000000056341102	—	—	—	DETAILS
SS7H	CNE10000399	2,192	CNY	4,065,977.07	RECE	DVP	2000001	900113	C00016	000000056341101	—	—	—	DETAILS

- The CP Transaction Balance Input Authorise User clicks “Details” to view the details of the SSTI and approves it by clicking “Approve”.

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Back Settlement Instruction Details Trade ID: 000000056341183

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE10001M83	Depository BIC	30KCHH33XXX	Trade Date	2023-04-05
Local Code	03088	Quantity	2.102	Type	BESE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) BIC	Settlement Date	2023-08-30	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,895,977.21	Deal Price	44.66
		Effective Settlement Date		Currency To Buy	
		Settle Currency	CNY	Currency To Sell	USD
		Settle Amount	4,895,977.21	FX Cancellation	
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS

EP BIC	DTCCBELL33X
EP Name	SynCorp531
EP's Account at CP	2000011
CP BIC	DTCCBELL33X
CP Name	SynCorp541
CP's Account at CCASS	800113
Counterparty - AM (BIC Name) L31	
Counterparty - LC CCASS ID	C00016
LC's Account at CCASS	1
GC's account at LC	14002

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Back Settlement Instruction Details Trade ID: 000000056341183

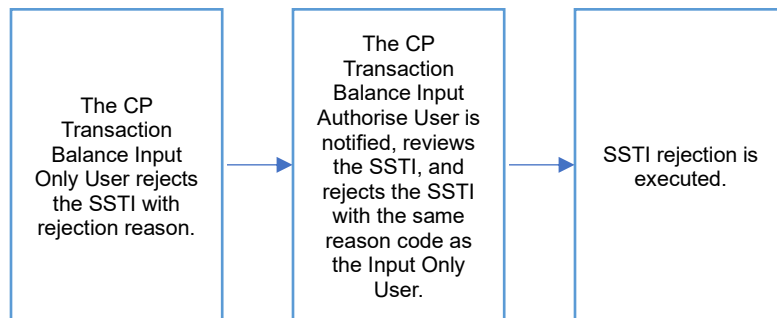
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

CP MAKER: ✓ APPROVED	CP CHECKER: ✓ APPROVED	GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

**Rejection by CP Transaction Balance Input Only User;  
Rejection by CP Transaction Balance Input Authorise User (same rejection reason(s)  
between Input Only User and Input Authorise User):**



**Rejection by CP Transaction Balance Input Only User:**

1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

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Back Settlement Instruction Details Trade ID: 000000056341184

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100003359	Depository BIC	33RCHR03XXXX	Trade Date	2023-04-05
Local Code	93965	Quantity	2.102	Type	RECE
Name	GRADUATE SEMICONDUCTOR(BELIUNO) BVC	Settlement Date	2023-04-05	Payment	DVP
		Settlement Currency	CHF	Deal Price Currency	CHF
		Settlement Amount	4,965,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CHF	Currency To Sell	USD
		Settled Amount	4955877.87	FX Cancellation	
		Real Time Settlement Indicator	False		

**PARTICIPANT DETAILS**

EP BIC	DTCCBELLXXX
EP Name	SynComp031
EP's Account at CP	2039091
CP BIC	DTCCGRASXXX
CP Name	SynComp041
CP's Account at CCASS	900113
Counterparty - AM (BIC Name) (EP)	
Counterparty - LC (CCASS ID)	C0016
LC's Account at CCASS	
GC's account at LC	140002

- The CP Transaction Balance Input Only User views the details of an SSTI and clicks "Reject" and must select a rejection reason. It is not required to fill in the fields "Settled Amount" and "LC's Account at CCASS" when performing the rejection.

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Back Settlement Instruction Details Trade ID: 000000056341184

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100003359	Depository BIC	33RCHR03XXXX	Trade Date	2023-04-05
Local Code	93965	Quantity	2.102	Type	RECE
Name	GRADUATE SEMICONDUCTOR(BELIUNO) BVC	Settlement Date	2023-04-05	Payment	DVP
		Settlement Currency	CHF	Deal Price Currency	CHF
		Settlement Amount	4,965,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CHF	Currency To Sell	USD
		Settled Amount	4955877.87	FX Cancellation	
		Real Time Settlement Indicator	False		

**PARTICIPANT DETAILS**

EP BIC	DTCCBELLXXX
EP Name	SynComp031
EP's Account at CP	2039091
CP BIC	DTCCGRASXXX
CP Name	SynComp041
CP's Account at CCASS	900113
Counterparty - AM (BIC Name) (EP)	
Counterparty - LC (CCASS ID)	C0016
LC's Account at CCASS	
GC's account at LC	140002

**REJECTION CODE:**  
Please select the code corresponding to your reason for rejection of this Settlement instruction.  
Invalid Investor Party (INVP)

Cancel Submit

**HKEX Synapse**  
The Power of Connectivity

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Back Settlement Instruction Details Trade ID: 000000056341184

KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

Successfully Reported

**SI STATUS**

CP MAKER: <b>REJECTED</b>	CP CHECKER: --	GC APPROVED: --	LC APPROVED: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: Invalid Investor Party (INVP)	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

## Rejection by CP Transaction Balance Input Authorise User:

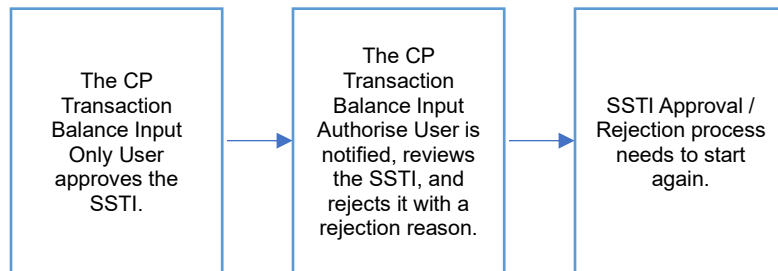
- On the Settlement Instructions List view, the CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has rejected an SSTI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

2. The CP Transaction Balance Input Authorise User clicks “Details” to view the details of the settlement instruction and then clicks “Reject” and must select a rejection reason.

3. The CP Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, and the rejection is executed. This SSTI can be re-approved by CP Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved. The re-approval process is the same as approval.

4. If the CP has not yet approved the SSTI, then the CP Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SSTI that has been rejected by a ‘X’ in the CP column.

**Approval by CP Transaction Balance Input Only User;  
Rejection by CP Transaction Balance Input Authorise User):**

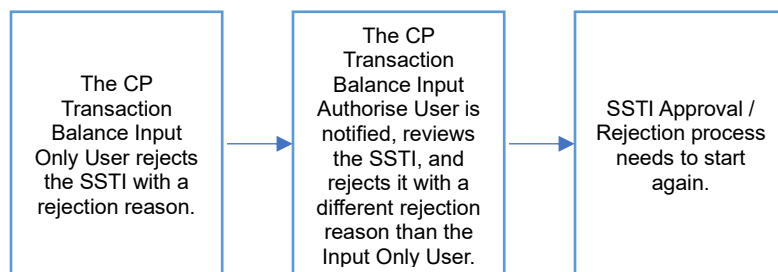


1. Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. CP Transaction Balance Input Only User can see the Approval is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.



4. On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

**Rejection by CP Transaction Balance Input Only User;  
Rejection by CP Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):**

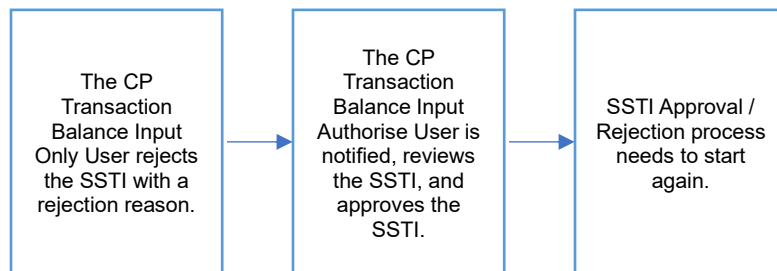


1. Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

CP MAKER: PENDING AMENDMENT	CP CHECKER: REJECTED TO MAKER	GC APPROVED: -	LC APPROVED: <b>REJECTED</b>	CLASS STATUS:	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: Invalid Link (INVL)	Reason: NA	Reason: NA

- On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

### Rejection by CP Transaction Balance Input Only User; Approval by CP Transaction Balance Input Authorise User:



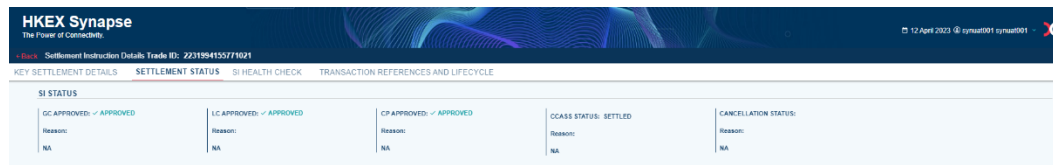
- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
- CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.
- On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

## 7.5 Settlement Status

The Settlement Status tab within the Settlement Instruction Details View shows the status of where the instruction is across the various market participants.

### 7.5.1 Buy Side

#### 7.5.1.1 Asset Managers (AM)

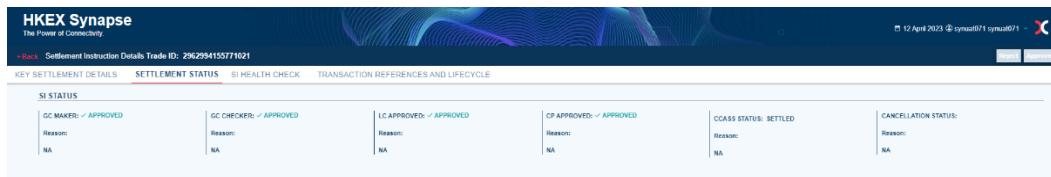


### Settlement Status Indicator

Field	Description
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI - MTCH – matched - CYCL – matched – payment validated - CAIS – pending for transfer - CVAL – matched – RDP shares on hold - PREA – matched – matched on hold or counterparty instruction on hold - NCRR – unmatched – settlement currency mismatch - DSEC – unmatched – stock code/ISIN mismatch - DQUA – unmatched – quantity mismatch - CMIS – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction mismatch - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. mismatch - DMON – unmatched – money value mismatch - DDAT – unmatched – settlement date mismatch - DELN – unmatched – transaction direction mismatch - SETD – Settled
Reason	Indicated reason for CCASS unmatched status: - NCRR – settlement currency mismatch + description - DSEC – stock code/ISIN mismatch + description - DQUA – quantity mismatch + description - CMIS – no possible matching SI found + description - OTHR – other + description - FRAP – payment instruction mismatch + description - PODU – possible matching SI but not earmarked as pairs + description - SAFE – client A/C no. mismatch + description - DMON – money value mismatch + description

Field	Description
	- DDAT – settlement date unmatched + description - DELN – transaction direction unmatched + description  Note: “Description” next to unmatched status refers to the value provided by counterparty.
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

### 7.5.1.2 Global Custodian (GC)



### Settlement Status Indicator

Field	Description
GC Maker	Indication that GC Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by GC Transaction Balance Input Only User
Reason	Reason for GC rejection input by GC Transaction Balance Input Only User
GC Checker	Indication that GC Transaction Balance Input Authorise User has approved or rejected the instruction or the instruction is rejected back to GC Transaction Balance Input Only User for amendment
Reason	Reason for GC rejection input by GC Transaction Balance Input Authorise User
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI - MTCH – matched - CYCL – matched – payment validated - CAIS – pending for transfer - CVAL – matched – RDP shares on hold - PREA – matched – matched on hold or counterparty instruction on hold - NCCR – unmatched – settlement currency unmatched - DSEC – unmatched – stock code/ISIN unmatched - DQUA – unmatched – quantity unmatched - CMIS – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatched - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatched - DMON – unmatched – money value unmatched

Field	Description
	- DDAT – unmatched – settlement date unmatched - DELN – unmatched – transaction direction unmatched - SETD - Settled
Reason	Indicated reason for CCASS unmatched status: - NCRR – settlement currency unmatched + description - DSEC – stock code/ISIN unmatched + description - DQUA – quantity unmatched + description - CMIS – no possible matching SI found + description - OTHR – other + description - FRAP – payment instruction unmatched + description - PODU – possible matching SI but not earmarked as pairs + description - SAFE – client A/C no. unmatched + description - DMON – money value unmatched + description - DDAT – settlement date unmatched + description - DELN – transaction direction unmatched + description  Note: “Description” next to unmatched status refers to the value provided by counterparty.
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

### 7.5.1.3 Local Custodian (LC)

The screenshot shows the HKEX Synapse interface for Settlement Instruction Details. The 'SI STATUS' section contains the following indicators:

- LC MAKER: APPROVED (Reason: NA)
- LC CHECKER: APPROVED (Reason: NA)
- GC APPROVED: APPROVED (Reason: NA)
- CP APPROVED: APPROVED (Reason: NA)
- CCASS STATUS: SETTLED (Reason: NA)
- CANCELLATION STATUS: (Reason: NA)

### Settlement Status Indicator

Field	Description
LC Maker	Indication that LC Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by LC Transaction Balance Input Only User
Reason	Reason for GC rejection input by LC Transaction Balance Input Only User
LC Checker	Indication that LC Transaction Balance Input Authorise User has approved or rejected the instruction or the instruction is rejected back to LC Transaction Balance Input Only User for amendment
Reason	Reason for LC rejection input by LC Transaction Balance Input Authorise User
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI

Field	Description
	<ul style="list-style-type: none"> <li>- MTCH – matched</li> <li>- CYCL – matched – payment validated</li> <li>- CAIS – pending for transfer</li> <li>- CVAL – matched – RDP shares on hold</li> <li>- PREA – matched – matched on hold or counterparty instruction on hold</li> <li>- NCRR – unmatched – settlement currency unmatched</li> <li>- DSEC – unmatched – stock code/ISIN unmatched</li> <li>- DQUA – unmatched – quantity unmatched</li> <li>- CMIS – unmatched – no possible matching SI found</li> <li>- OTHR – unmatched – other</li> <li>- FRAP – unmatched – payment instruction unmatched</li> <li>- PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>- SAFE – unmatched – client A/C no. unmatched</li> <li>- DMON – unmatched – money value unmatched</li> <li>- DDAT – unmatched – settlement date unmatched</li> <li>- DELN – unmatched – transaction direction unmatched</li> <li>- SETD - Settled</li> </ul>
Reason	<p>Indicated reason for CCASS unmatched status:</p> <ul style="list-style-type: none"> <li>- NCRR – settlement currency unmatched + description</li> <li>- DSEC – stock code/ISIN unmatched + description</li> <li>- DQUA – quantity unmatched + description</li> <li>- CMIS – no possible matching SI found + description</li> <li>- OTHR – other + description</li> <li>- FRAP – payment instruction unmatched + description</li> <li>- PODU – possible matching SI but not earmarked as pairs + description</li> <li>- SAFE – client A/C no. unmatched + description</li> <li>- DMON – money value unmatched + description</li> <li>- DDAT – settlement date unmatched + description</li> <li>- DELN – transaction direction unmatched + description</li> </ul> <p>Note: “Description” next to unmatched status refers to the value provided by counterparty.</p>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

## 7.5.2 Sell Side

### 7.5.2.1 Exchange Participant (EP)

The screenshot displays the HKEX Synapse interface for Settlement Status Indicator. The header includes the HKEX Synapse logo and the tagline 'The Power of Connectivity'. Below the header, there are navigation tabs: 'KEY SETTLEMENT DETAILS', 'SETTLEMENT STATUS', 'SI HEALTH CHECK', and 'TRANSACTION REFERENCES AND LIFECYCLE'. The main content area is titled 'SI STATUS' and contains five columns of status indicators:

- CP APPROVED:** APPROVED (Reason: NA)
- GC APPROVED:** APPROVED (Reason: NA)
- LC APPROVED:** APPROVED (Reason: NA)
- CCASS STATUS:** SETTLED (Reason: NA)
- CANCELLATION STATUS:** (Reason: NA)

### Settlement Status Indicator

Field	Description
CP	Indication that CP has approved or rejected the instruction

Field	Description
Reason	Reason for CP rejection
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CCASS Status	<p>Indicated reason for CCASS status:</p> <ul style="list-style-type: none"> <li>- CSUB – cancelled – revoked SI by counterparty</li> <li>- CANS – cancelled – SI/STI purged</li> <li>- CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> <li>- MTCH – matched</li> <li>- CYCL – matched – payment validated</li> <li>- CAIS – pending for transfer</li> <li>- CVAL – matched – RDP shares on hold</li> <li>- PREA – matched – matched on hold or counterparty instruction on hold</li> <li>- NCCR – unmatched – settlement currency unmatched</li> <li>- DSEC – unmatched – stock code/ISIN unmatched</li> <li>- DQUA – unmatched – quantity unmatched</li> <li>- CMIS – unmatched – no possible matching SI found</li> <li>- OTHR – unmatched – other</li> <li>- FRAP – unmatched – payment instruction unmatched</li> <li>- PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>- SAFE – unmatched – client A/C no. unmatched</li> <li>- DMON – unmatched – money value unmatched</li> <li>- DDAT – unmatched – settlement date unmatched</li> <li>- DELN – unmatched – transaction direction unmatched</li> <li>- SETD - Settled</li> </ul>
Reason	<p>Indicated reason for CCASS unmatched status:</p> <ul style="list-style-type: none"> <li>- NCCR – settlement currency unmatched + description</li> <li>- DSEC – stock code/ISIN unmatched + description</li> <li>- DQUA – quantity unmatched + description</li> <li>- CMIS – no possible matching SI found + description</li> <li>- OTHR – other + description</li> <li>- FRAP – payment instruction unmatched + description</li> <li>- PODU – possible matching SI but not earmarked as pairs + description</li> <li>- SAFE – client A/C no. unmatched + description</li> <li>- DMON – money value unmatched + description</li> <li>- DDAT – settlement date unmatched + description</li> <li>- DELN – transaction direction unmatched + description</li> </ul> <p>Note: “Description” next to unmatched status refers to the value provided by counterparty.</p>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

## 7.5.2.2 Clearing Participant (CP)

### Settlement Status Indicator

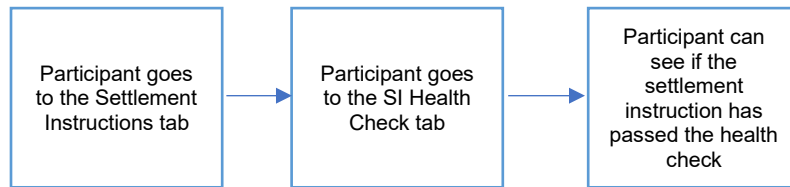
Field	Description
CP Maker	Indication that CP Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by CP Transaction Balance Input Only User
Reason	Reason for CP rejection input by CP Transaction Balance Input Only User
CP Checker	Indication that CP Transaction Balance Input Authorise User has approved or rejected the instruction or the instruction is rejected back to CP Transaction Balance Input Only User for amendment
Reason	Reason for CP rejection input by CP Transaction Balance Input Authorise User
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CCASS Status	Indicated reason for CCASS status: <ul style="list-style-type: none"> <li>- CSUB – cancelled – revoked SI by counterparty</li> <li>- CANS – cancelled – SI/STI purged</li> <li>- CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> <li>- MTCH – matched</li> <li>- CYCL – matched – payment validated</li> <li>- CAIS – pending for transfer</li> <li>- CVAL – matched – RDP shares on hold</li> <li>- PREA – matched – matched on hold or counterparty instruction on hold</li> <li>- NCCR – unmatched – settlement currency unmatched</li> <li>- DSEC – unmatched – stock code/ISIN unmatched</li> <li>- DQUA – unmatched – quantity unmatched</li> <li>- CMIS – unmatched – no possible matching SI found</li> <li>- OTHR – unmatched – other</li> <li>- FRAP – unmatched – payment instruction unmatched</li> <li>- PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>- SAFE – unmatched – client A/C no. unmatched</li> <li>- DMON – unmatched – money value unmatched</li> <li>- DDAT – unmatched – settlement date unmatched</li> <li>- DELN – unmatched – transaction direction unmatched</li> <li>- SETD - Settled</li> </ul>
Reason	Indicated reason for CCASS unmatched status: <ul style="list-style-type: none"> <li>- NCCR – settlement currency unmatched + description</li> <li>- DSEC – stock code/ISIN unmatched + description</li> <li>- DQUA – quantity unmatched + description</li> <li>- CMIS – no possible matching SI found + description</li> <li>- OTHR – other + description</li> </ul>

Field	Description
	<ul style="list-style-type: none"> <li>- FRAP – payment instruction unmatched + description</li> <li>- PODU – possible matching SI but not earmarked as pairs + description</li> <li>- SAFE – client A/C no. unmatched + description</li> <li>- DMON – money value unmatched + description</li> <li>- DDAT – settlement date unmatched + description</li> <li>- DELN – transaction direction unmatched + description</li> </ul> <p>Note: "Description" next to unmatched status refers to the value provided by counterparty.</p>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

## 7.6 Health Check

Health Check is an additional business validation of settlement instructions that Synapse performs after receiving the settlement instruction (e.g., SI, STI, and SSTI) from DTCC. If the business validation results in non-fatal error(s), then Health Check will display the failure reason, but settlement instruction processing can still continue.

Health Check functionality is the same for both buy side and sell side participants. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from buy side participants.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

**HKEX Synapse**  
The Power of Connectivity

19 August 2022 @ synusl003 synusl003

Dashboard | Settlement Instructions | Funds | Relationships | Market Data | Reports

**DASHBOARD**

SETTLEMENT INSTRUCTIONS	FUND PROFILES	NOTIFICATIONS
<b>5</b> Allocation Received	<b>0</b> Awaiting AM Checker Approval	<b>Funds (6)</b> PREVIEW
<b>3</b> Processing in Synapse	<b>0</b> Awaiting GC Approval	<b>Participants (0)</b> PREVIEW
<b>1</b> Unmatched	<b>0</b> Awaiting LC Approval	<b>Relationships (0)</b> PREVIEW
<b>0</b> Matched		<b>CCASS Exceptions (0)</b> PREVIEW
<b>1</b> Settled		<b>Slis (132)</b> PREVIEW
<b>0</b> Cancelled		

2. On the Settlement Instructions tab, the AM participant can go to a specific settlement instruction's detail view and go to the SI Health Check tab.

The screenshot shows a table of settlement instructions with columns: INS TYPE, FUND ID, ISIN, QUANTITY, SETTLEMENT CURRENCY, SETTLEMENT AMOUNT, TYPE, PAYMENT MODE, FUND ACCOUNT AT GC, EP INC, TRADE ID, GC, LC, CP, and STATUS. The table contains multiple rows of data, including entries for various funds and currencies like CNY and USD.

3. The display table will show if the settlement instruction passed or failed the health check.
- (i) For AM

If the settlement instruction passes the health check, then the AM participant will see “Health Check Passed”.

The screenshot shows the 'SI HEALTH CHECK' tab for an AM participant. It displays a table with columns: CHECK, STATUS, SUBMITTED VALUE, and COUNTERPARTY VALUE. The checks listed are: ISIN (Health Check Passed), Settlement Date (Health Check Passed), and Counterparty ID (Health Check Passed).

- (ii) For GC and LC

Health check provides additional business validation on EP's account at CP. If the settlement instruction passes this health check, then the GC and LC participant will see “Health Check Passed”.

The screenshot shows the 'SI HEALTH CHECK' tab for GC and LC participants. It displays a table with columns: CHECK, STATUS, SUBMITTED VALUE, and COUNTERPARTY VALUE. The checks listed are: ISIN (Health Check Passed), Settlement Date (Health Check Passed), Counterparty ID (Health Check Passed), and EP's account at CP (Health Check Passed).

- (i) For AM

If the settlement instruction fails the health check, then the AM participant will see the specific reason.

The screenshot shows the 'SI HEALTH CHECK' tab for an AM participant where a check has failed. The table has columns: CHECK, STATUS, SUBMITTED VALUE, and COUNTERPARTY VALUE. The checks listed are: ISIN (Health Check Passed), Settlement Date (Settlement Date Invalid), and Counterparty ID (Potential Counterparty Mismatched).

- (ii) For GC and LC

Health check provides additional business validation on EP's account at CP. If the settlement instruction fails this health check, then the GC and LC participant will see "EP's account at CP is empty".

CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE
✓ ISIN	Health Check Passed	--	--
✓ Settlement Date	Health Check Passed	--	--
Counterparty ID	--	--	--
▲ EP's account at CP	CP's account at CP is empty	--	--

Field Name	Failure Reason Example
ISIN	ISIN started with CN but the rest of the ISIN cannot be recognized by CCASS
Settlement Date	Settlement Date of the SN is < admission date of the ISIN or >= delisted date of the ISIN
Counterparty	<p>It is only applicable when both buy and sell sides are onboarded to Synapse. I.e. when Synapse receives a pair of SN from buy side and sell side, which are joined by the same UTI. The purpose of this counterparty ID health check is to provide an early alert to Synapse users that such pair of settlement instruction may not be possible to match in CCASS. Using below as an example to illustrate the scenario that will trigger the health check warning message "Potential Counterparty Misaligned":</p> <p><b>Setup for this pair of SN joint by the same UTI</b>            Synapse LC user's CCASS Participant ID = C00040            Synapse CP user's CCSAS Participant ID = C00016</p> <p><b>Submitted value quoted on the buy side SN in the REAG/DEAG block = C55555</b>  <b>The CCASS participant ID of the relevant Clearing Participant (CP) of the sell side SN jointed by the same UTI = C00016</b></p> <p>Under this scenario, by referring to the account stated on the sell side SN joined by the same UTI, the buy side should be facing C00016 as the Clearing Participant (CP) for this particular pair of settlement instruction. However, in the buy side SN REAG/DEAG block, it is quoted as facing C55555 as counterparty at CCASS level. In this situation, health check warning message will be triggered.</p>
EP's account at CP	<p>It is only applicable to buy-side instruction when investment manager counterparty data (i.e., EP's Account at CP) is not present in the SN.</p> <p>Under this scenario, Synapse will still create the SI with empty client account number or processing reference sending to CCASS for matching and settlement processing. These 2 CCASS fields in C3T will be shown as below in C3T:</p> <ul style="list-style-type: none"> <li>• Client Account Number: "" OR</li> <li>• Processing Reference: ""SYN-</li> </ul> <p>The LC could update the "Client Account Number" and "Processing Reference" in C3T if needed. It is recommended to input these missing fields for operational efficiency.</p>

Field Name	Failure Reason Example
	<p>Before matching Northbound Stock Connect transactions with an EP/broker for the first time, investment managers should ensure with their EP/broker that the EP/broker maintains correct and up to date Standing Settlement Instruction (SSI) data in DTCC systems. Having correct EP/broker SSI maintained in DTCC systems is precondition for a smooth and efficient settlement experience in Synapse and CCASS. Investment Managers facing EP/broker who are not sure on whether their SSI data is setup correctly, should ask their EP/broker to contact DTCC to investigate.</p>

4. Even if the settlement instruction does not pass the health check, the settlement instruction can still be approved.

## 7.7 Transaction References and Lifecycle

Transaction References and Lifecycle shows the major events of an instruction. Timestamp is provided

The screenshot shows the HKEX Synapse interface. At the top, it displays 'HKEX Synapse The Power of Connectivity' and the date '19 August 2022'. Below the header, there are navigation tabs: 'KEY SETTLEMENT DETAILS', 'SETTLEMENT STATUS', 'SI HEALTH CHECK', and 'TRANSACTION REFERENCES AND LIFECYCLE'. The 'TRANSACTION REFERENCES AND LIFECYCLE' tab is active. It is divided into two sections: 'TRANSACTION REFERENCES' and 'TRANSACTION LIFECYCLE'. The 'TRANSACTION REFERENCES' section shows a table with columns for UTI, BUY-SIDE TRADE ID, and SELL-SIDE TRADE ID. The 'TRANSACTION LIFECYCLE' section shows a table with columns for STATUS, TIMESTAMP, USER, PARTY, and REFERENCE. The lifecycle events listed are: Global Custodian Approved (2022-08-18 21:28:11), Allocation Received and Settlement Instruction Initiated (Buy side) (2022-08-18 21:28:04), Global Custodian Approved (2022-08-18 20:51:46), and Allocation Received and Settlement Instruction Initiated (Buy side) (2022-08-18 20:51:40).

### Transaction References

Field	Description
UTI	Universal Trade Identifier associated with a unique pair of matched allocation
Buy-side Trade ID	Buy-side assigned trade ID created from DTCC
Sell-side Trade ID	Sell-side assigned trade ID created from DTCC

### Transaction Lifecycle

Once the instruction arrives Synapse, the transaction lifecycle will show “Allocation Received and Settlement Instruction Initiated (Buy / Sell side). Subsequently, it will show the approval / rejection status of different Synapse Users of the buy or sell side to reflect the approval / rejection activity. Once the complete buy / sell side have approved the instruction and the instruction has transmitted to CCASS, it will show “Unmatched (without any unmatched reason code)” immediately, and Synapse will enquire any unmatched reason from CCASS regularly for displaying in the transaction lifecycle. Finally, Matched and Settled status will also be shown here.

Prior to “Settled” status, the instruction can also be cancelled subsequently via different ways, such as cancellation SN sent from DTCC by AM / EP, cancelled / revoked by CP / LC in CCASS. The cancellation activity will be reflected in the transaction lifecycle.

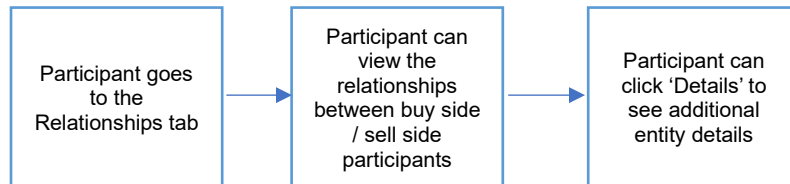
Field	Description
Status	Descriptive status of where the instruction is in processing. Examples include: <ul style="list-style-type: none"> <li>- Allocation Received and Settlement Instruction Initiated (Buy side)</li> <li>- Allocation Received and Settlement Instruction Initiated (Sell side)</li> <li>- Global Custodian Approved</li> <li>- Global Custodian Rejected</li> <li>- Local Custodian Approved</li> </ul>

Field	Description
	<ul style="list-style-type: none"> <li>- Local Custodian Rejected</li> <li>- Clearing Participant Approved</li> <li>- Clearing Participant Rejected</li> <li>- Cancelled</li> <li>- Corporate Action – Conversion</li> <li>- Manual Amendment</li> <li>- Pending Cancellation</li> <li>- Cancelled (Revoked CP SI)</li> <li>- Cancelled (SI/STI Purged)</li> <li>- Cancelled (SI/STI Revoked or SI Deleted)</li> <li>- Matched</li> <li>- Unmatched (Settlement currency unmatched)</li> <li>- Unmatched (Stock code/ISIN unmatched)</li> <li>- Unmatched (Quantity unmatched)</li> <li>- Unmatched (No possible matching SI found)</li> <li>- Unmatched (Without any unmatched reason code)</li> <li>- Unmatched (Without any unmatched reason code)</li> <li>- Unmatched (Payment Instruction Unmatched)</li> <li>- Unmatched (Possible Matching SI but not earmarked as pairs)</li> <li>- Unmatched (Client A/C No. Unmatched)</li> <li>- Unmatched (Money Value Unmatched)</li> <li>- Unmatched (Money Value Unmatched)</li> <li>- Unmatched (Settlement Date Unmatched)</li> <li>- Unmatched (Instruction Type Unmatched)</li> <li>- Matched (RDP Payment Validated)</li> <li>- Pending for Transfer (Stock Segregated Account Transfer Instructions)</li> <li>- Matched (On-hold by Counterparty)</li> <li>- Matched (RDP Shares On-hold)</li> <li>- Matched (On-hold)</li> <li>- Settled</li> <li>- CCASS Rejection (Buy side)</li> <li>- CCASS Rejection (Sell side)</li> </ul>
Timestamp	<p>The date and time of each transaction activity</p> <p>Note: The timestamp shown on UI is indicating the Hong Kong Time (UTC+8); while the API fetching result is indicating the Universal Time (UTC+0).</p>
User	<p>System UID of the approver of each activity. Visibility of this field is dependent on the acting participant, e.g., a GC participant will only be able to see the approval/rejection actions taken by a GC and cannot see any actions taken by other participants, e.g., AM, LC, etc.</p>
Party	<p>Party of the approver of each activity.</p> <p>Participants will be able to see what actions are taken by HKEX</p>
Reference	<p>Always blank and reserved for the future use to show unique message reference for ISO20022 message generated (this information is only available to ISO message users). Visibility of this field is dependent on the acting participant, e.g., a GC participant will only be able to see the approval/rejection actions taken by a GC and cannot see any actions taken by other participants, e.g., AM, LC, etc. Synapse Users using GUI / API can ignore this field.</p>

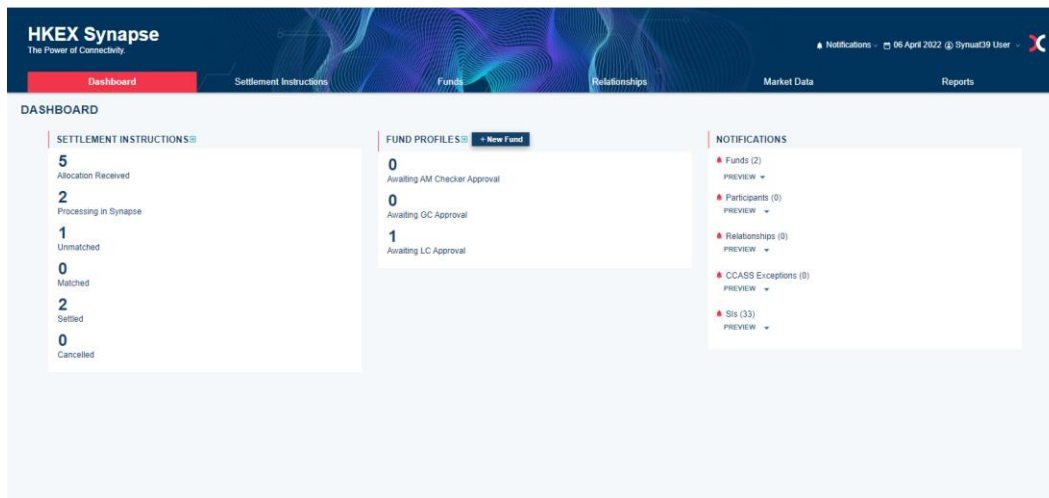
## 8. Relationships

The Relationships tab shows how participants relate to one another and provides additional entity details.

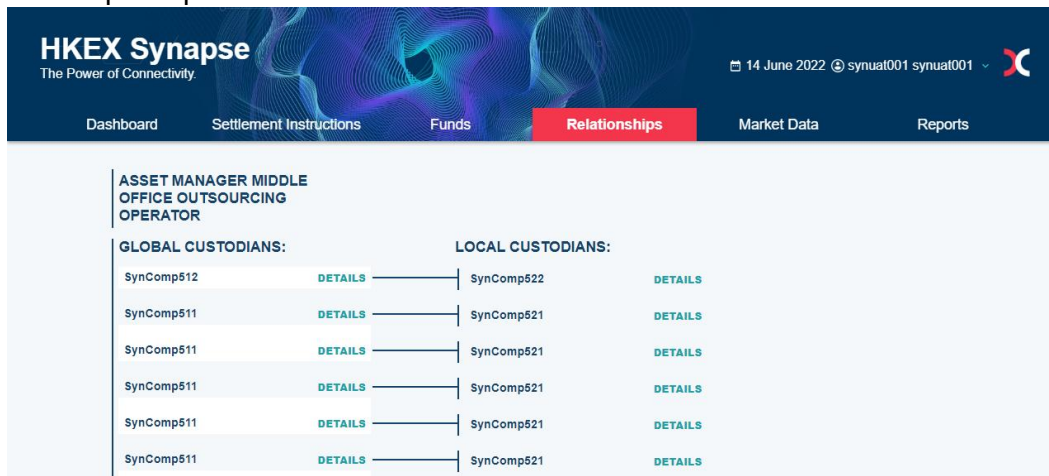
Participants can see how they relate to one another and view additional entity details. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.



2. On the Relationships tab, the participant can view their relationships between their related participants



- The participant can click on 'Details' to see additional entity details:

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The Power of Connectivity.

13 June 2023 synuat003 synuat003

Back Entity Details: SynComp521

ENTITY DETAILS

Name : SynComp521  
 Role Type : Local Custodian  
 LEI : 621344ABC32JRTFGR421  
 BIC : JMPPMU55XXX  
 DN : cn=invfunds,ou=80a,o=creschzz

Field Name	Description
Name	The Legal Entity name of the entity
Role Type	Role of the entity
LEI	Legal Entity Identifier for the entity
BIC	Depository Business Identification Code
DN	Distinguished Name Code for the entity

Below are the relationship screens for each participant type.

## 8.1 Buy Side

### Asset Manager (AM) – who does not appoint AMOO

On the Relationships tab, the AM participant can view the relationships between buy side participants, e.g., GC and LC.

HKEX Synapse  
The Power of Connectivity.

14 June 2022 synuat001 synuat001

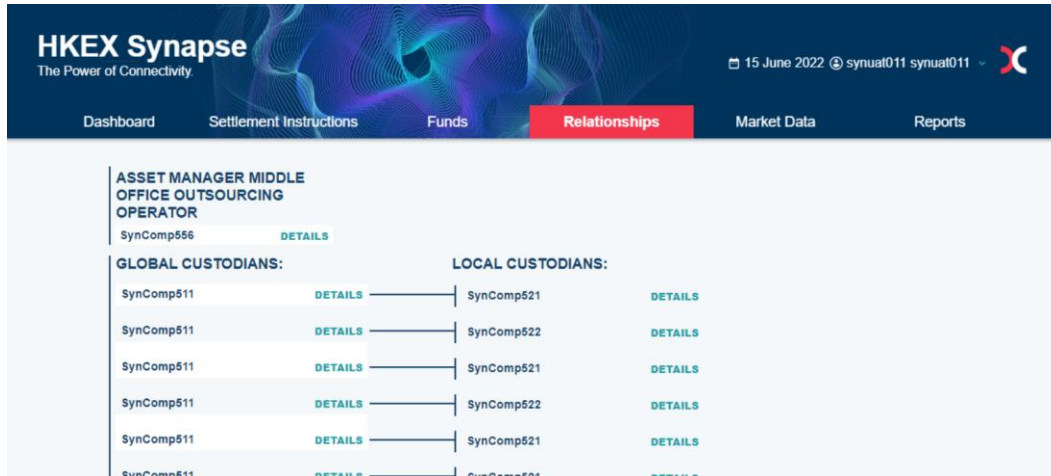
Dashboard Settlement Instructions Funds Relationships Market Data Reports

ASSET MANAGER MIDDLE  
OFFICE OUTSOURCING  
OPERATOR

GLOBAL CUSTODIANS:		LOCAL CUSTODIANS:	
SynComp512	DETAILS	SynComp522	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS

## Asset Manager (AM) – who appoints AMOO

On the Relationships tab, the AM participant can view the relationships between buy side participants, e.g., GC, LC, and AMOO if an AMOO has been appointed by the AM.



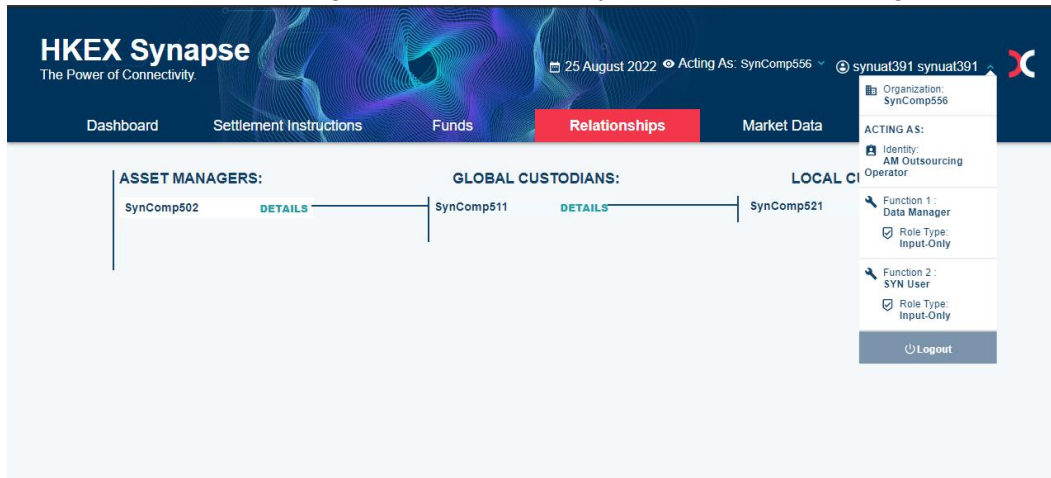
The screenshot shows the HKEX Synapse interface. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Funds', 'Relationships' (highlighted), 'Market Data', and 'Reports'. The main content area displays the 'ASSET MANAGER MIDDLE OFFICE OUTSOURCING OPERATOR' for 'SynComp556'. Below this, there are two columns: 'GLOBAL CUSTODIANS' and 'LOCAL CUSTODIANS'. The GLOBAL CUSTODIANS column lists five entries of 'SynComp511', each with a 'DETAILS' link. The LOCAL CUSTODIANS column lists three entries: 'SynComp521' and 'SynComp522', each with a 'DETAILS' link. Lines connect the GLOBAL CUSTODIANS to the LOCAL CUSTODIANS, indicating relationships.

## Asset Manager Middle Office Outsourcing Operator (AMOO)

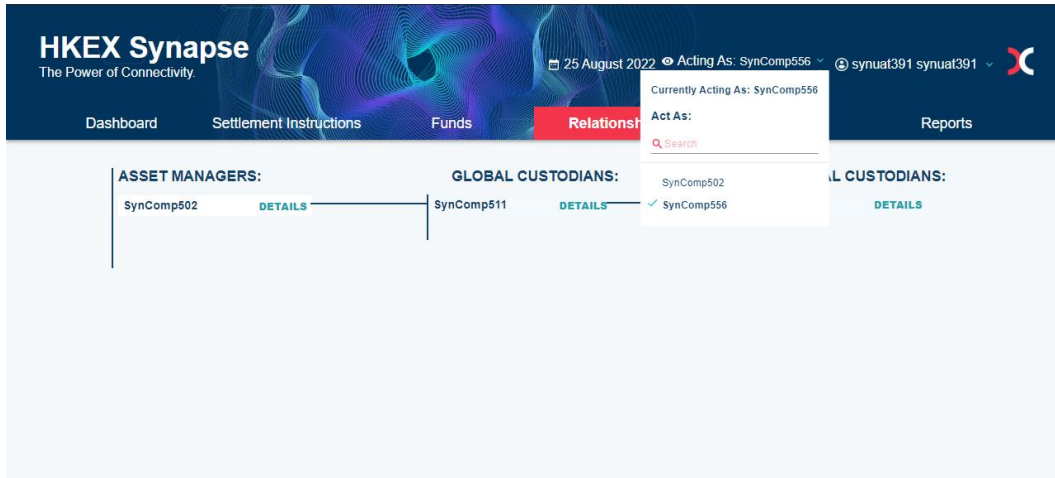
If the AMOO is being has appointed by multiple AM, then the AMOO can choose which AM to act as and sees the same as what the relevant AM would see.

The AMOO can click the participant dropdown in the top right corner and then click “Act as Different Identity” to change which AM they act as. They can choose to act as any AM that has appointed them or as themselves as AMOO.

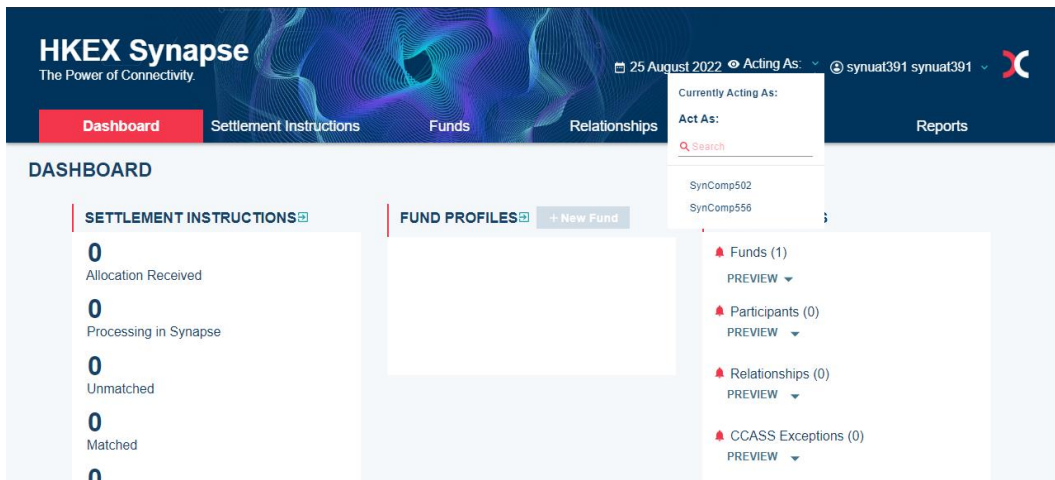
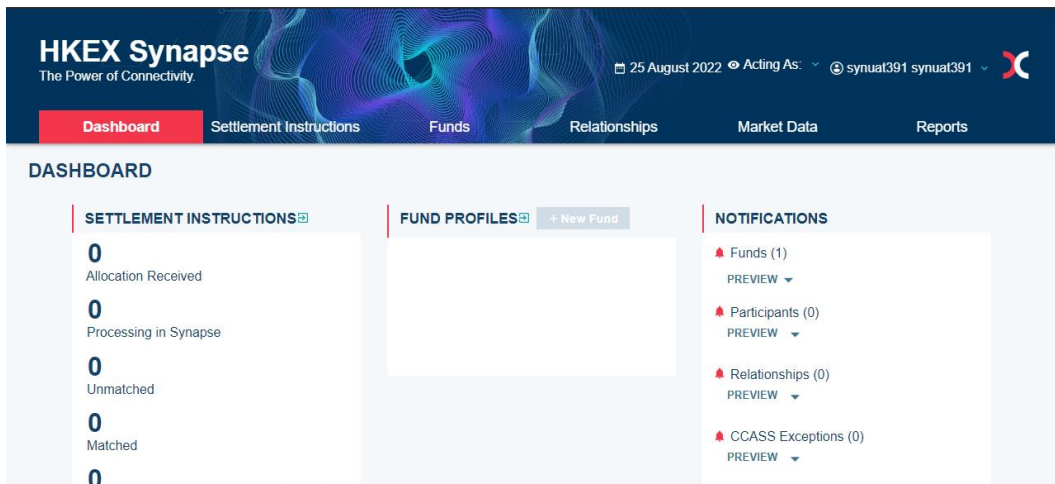
When the AMOO is acting as themselves, they will see the below page.



The screenshot shows the HKEX Synapse interface. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Funds', 'Relationships' (highlighted), 'Market Data', and 'Reports'. The main content area displays the 'ASSET MANAGERS' section with 'SynComp502' and a 'DETAILS' link. Below this, there are two columns: 'GLOBAL CUSTODIANS' and 'LOCAL CUSTODIANS'. The GLOBAL CUSTODIANS column lists 'SynComp511' with a 'DETAILS' link. The LOCAL CUSTODIANS column lists 'SynComp521'. Lines connect the ASSET MANAGERS to the GLOBAL CUSTODIANS, and the GLOBAL CUSTODIANS to the LOCAL CUSTODIANS, indicating relationships. A dropdown menu is open in the top right corner, showing 'Organization: SynComp556' and 'ACTING AS: Identity: AM Outsourcing Operator'. Below this, there are two function options: 'Function 1: Data Manager' and 'Function 2: SYN User', each with a 'Role Type: Input-Only' checkbox. A 'Logout' button is at the bottom of the dropdown.



When the AMOO is acting as an AM, they will see the below page.



**HKEX Synapse**  
The Power of Connectivity

25 August 2022 Acting As: SynComp502 synuat391 synuat391

Dashboard Settlement Instructions Funds **Relationships** Market Data Reports

**ASSET MANAGER MIDDLE OFFICE OUTSOURCING OPERATOR**  
SynComp556 [DETAILS](#)

**ASSET MANAGERS:** SynComp502 [DETAILS](#) | **GLOBAL CUSTODIANS:** SynComp511 [DETAILS](#) | **LOCAL CUSTODIANS:** SynComp521 [DETAILS](#)

### Global Custodian (GC)

On the Relationships tab, the GC participant can view the relationships between buy side participants, e.g., AM and LC.

**HKEX Synapse**  
The Power of Connectivity

14 June 2022 synuat071 synuat071

Dashboard Settlement Instructions Funds **Relationships** Market Data Reports

ASSET MANAGERS:	LOCAL CUSTODIANS:
SynComp502 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp501 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp501 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp501 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp502 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp501 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp502 <a href="#">DETAILS</a>	SynComp522 <a href="#">DETAILS</a>
SynComp501 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>

### Local Custodian (LC)

On the Relationships tab, the LC participant can view the relationships between buy side participants, e.g., AM and GC.

**ASSET MANAGERS:**

SynComp501	<a href="#">DETAILS</a>
SynComp501	<a href="#">DETAILS</a>
SynComp501	<a href="#">DETAILS</a>
SynComp501	<a href="#">DETAILS</a>
SynComp501	<a href="#">DETAILS</a>
SynComp501	<a href="#">DETAILS</a>
SynComp501	<a href="#">DETAILS</a>
SynComp501	<a href="#">DETAILS</a>

**GLOBAL CUSTODIANS:**

SynComp511	<a href="#">DETAILS</a>
SynComp511	<a href="#">DETAILS</a>
SynComp511	<a href="#">DETAILS</a>
SynComp511	<a href="#">DETAILS</a>
SynComp511	<a href="#">DETAILS</a>
SynComp511	<a href="#">DETAILS</a>
SynComp511	<a href="#">DETAILS</a>
SynComp511	<a href="#">DETAILS</a>

## 8.2 Sell Side

### Exchange Participant (EP) – who does not appoint EPOO

On the Relationships tab, the EP participant can view the relationships between sell side participants, e.g., CP and EP

**EXCHANGE PARTICIPANT MIDDLE OFFICE OUTSOURCING OPERATOR**

**EXCHANGE PARTICIPANTS:**

SynComp531	<a href="#">DETAILS</a>
SynComp531	<a href="#">DETAILS</a>
SynComp531	<a href="#">DETAILS</a>

**CLEARING PARTICIPANTS:**

SynComp541	<a href="#">DETAILS</a>
SynComp179	<a href="#">DETAILS</a>
SynComp333	<a href="#">DETAILS</a>

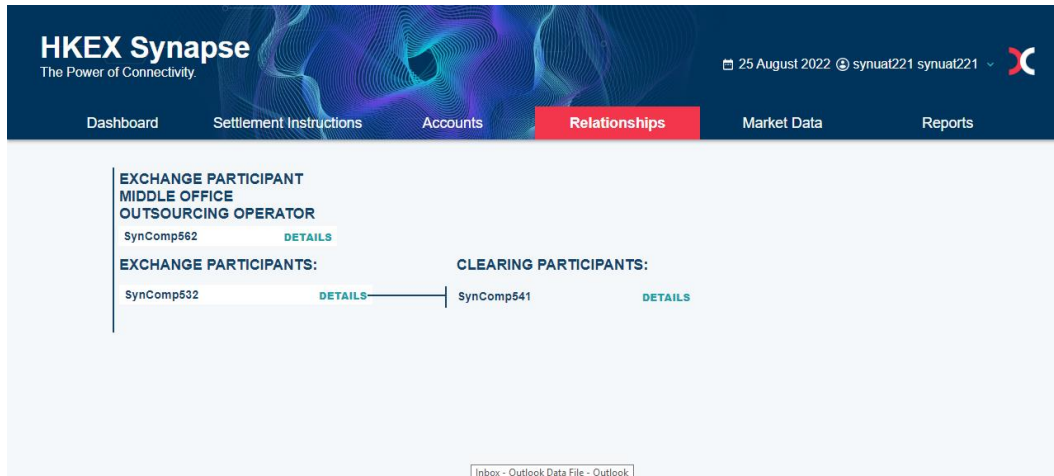
**ACTING AS:**

- Organization: SynComp531
- Identity: Exchange Participant
- Function 1: Transaction-Balances
  - Role Type: Input-Authorize
- Function 2: SYN User
  - Role Type: Input-Authorize
- Function 3: Data Manager
  - Role Type: Input-Authorize

[Logout](#)

### Exchange Participant (EP) – who appoints EPOO

On the Relationships tab, the EP participant can view the relationships between sell side participants, e.g., CP, EP, and EPOO if an EPOO has been appointed by the EP.

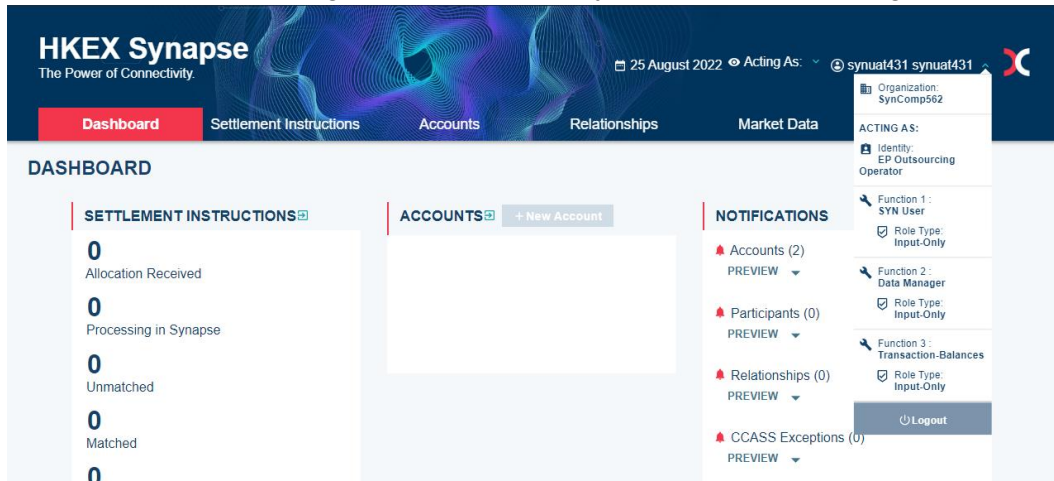


### Exchange Participant Middle Office Outsourcing Operator (EPOO)

If the EP has appointed an EPOO, then the EPOO chooses which EP to act as and sees the same as what the relevant EP would see.

The EPOO can click the participant dropdown in the top right corner and then click “Act as Different Identity” to change which EP they act as. They can choose to act as any EP that has appointed them or as themselves as EPOO.

When the EPOO is acting as themselves, they will see the below page.



**HKEX Synapse**  
The Power of Connectivity

25 August 2022 Acting As: synuat431 synuat431

Dashboard Settlement Instructions Accounts Relationships Reports

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 0 Allocation Received
- 0 Processing in Synapse
- 0 Unmatched
- 0 Matched
- 0

**ACCOUNTS** + New Account

Currently Acting As:  
Act As:  
Search

SynComp532  
SynComp562

Accounts (2) PREVIEW  
Participants (0) PREVIEW  
Relationships (0) PREVIEW  
CCASS Exceptions (0) PREVIEW

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 Acting As: SynComp562 synuat431 synuat431

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

**EXCHANGE PARTICIPANTS:** SynComp532 DETAILS

**CLEARING PARTICIPANTS:** SynComp541 DETAILS

When the EPOO is acting as an EP, they will see the below page.

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 Acting As: synuat431 synuat431

Dashboard Settlement Instructions Accounts Relationships Market Data

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 0 Allocation Received
- 0 Processing in Synapse
- 0 Unmatched
- 0 Matched
- 0

**ACCOUNTS** + New Account

**NOTIFICATIONS**

- Accounts (2) PREVIEW
- Participants (0) PREVIEW
- Relationships (0) PREVIEW
- CCASS Exceptions (0) PREVIEW

Organization: SynComp562  
ACTING AS:  
Identity: EP Outsourcing Operator  
Function 1: SYN User Role Type: Input-Only  
Function 2: Data Manager Role Type: Input-Only  
Function 3: Transaction-Balances Role Type: Input-Only  
Logout

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 Acting As: synuat431 synuat431

Dashboard Settlement Instructions Accounts Relationships Reports

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 0 Allocation Received
- 0 Processing in Synapse
- 0 Unmatched
- 0 Matched
- 0

**ACCOUNTS** + New Account

Currently Acting As:  
Act As:  
Search

- SynComp532
- SynComp562

- Accounts (2) PREVIEW
- Participants (0) PREVIEW
- Relationships (0) PREVIEW
- CCASS Exceptions (0) PREVIEW

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 Acting As: SynComp532 synuat431 synuat431

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

**EXCHANGE PARTICIPANT**  
MIDDLE OFFICE  
OUTSOURCING OPERATOR  
SynComp562 DETAILS

**EXCHANGE PARTICIPANTS:** SynComp532 DETAILS

**CLEARING PARTICIPANTS:** SynComp541 DETAILS

## Clearing Participant (CP) – who does not appoint AO

On the Relationships tab, the CP participant can view the relationships between sell side participants, e.g., EP and CP.

The screenshot shows the HKEX Synapse interface. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships' (highlighted in red), and 'Market Data'. The main content area is titled 'ACCOUNT OPERATOR' and 'CLEARING PARTICIPANTS:'. Under 'CLEARING PARTICIPANTS', 'SynComp541' is listed with a 'DETAILS' link. A horizontal line connects 'SynComp541' to 'EXCHANGE PARTICIPANTS: SynComp531', which also has a 'DETAILS' link. On the right, a user profile dropdown is open, showing 'Organization: SynComp541' and 'ACTING AS: Clearing Participant'. Below this, three functions are listed: 'Function 1: Transaction-Balances' (Role Type: Input-Authorize), 'Function 2: Data Manager' (Role Type: Input-Authorize), and 'Function 3: SYN User' (Role Type: Input-Authorize). A 'Logout' button is at the bottom of the dropdown. The top right corner shows the date '15 June 2022' and user 'synuat283 synuat283'.

## Clearing Participant (CP) – who appoints AO

On the Relationships tab, the CP participant can view the relationships between sell side participants, e.g., EP, CP, and AO if an AO has been appointed by the CP.

The screenshot shows the HKEX Synapse interface. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships' (highlighted in red), and 'Market Data'. The main content area is titled 'ACCOUNT OPERATOR' and 'CLEARING PARTICIPANTS:'. Under 'ACCOUNT OPERATOR', 'SynComp551' is listed with a 'DETAILS' link. Under 'CLEARING PARTICIPANTS', 'SynComp542' is listed with a 'DETAILS' link. A horizontal line connects 'SynComp542' to 'EXCHANGE PARTICIPANTS: SynComp531', which also has a 'DETAILS' link. On the right, a user profile dropdown is open, showing 'Organization: SynComp542' and 'ACTING AS: Clearing Participant'. Below this, three functions are listed: 'Function 1: SYN User' (Role Type: Input-Only), 'Function 2: Transaction-Balances' (Role Type: Input-Only), and 'Function 3: Data Manager' (Role Type: Input-Only). A 'Logout' button is at the bottom of the dropdown. The top right corner shows the date '26 August 2022' and user 'synuat291 synuat291'.

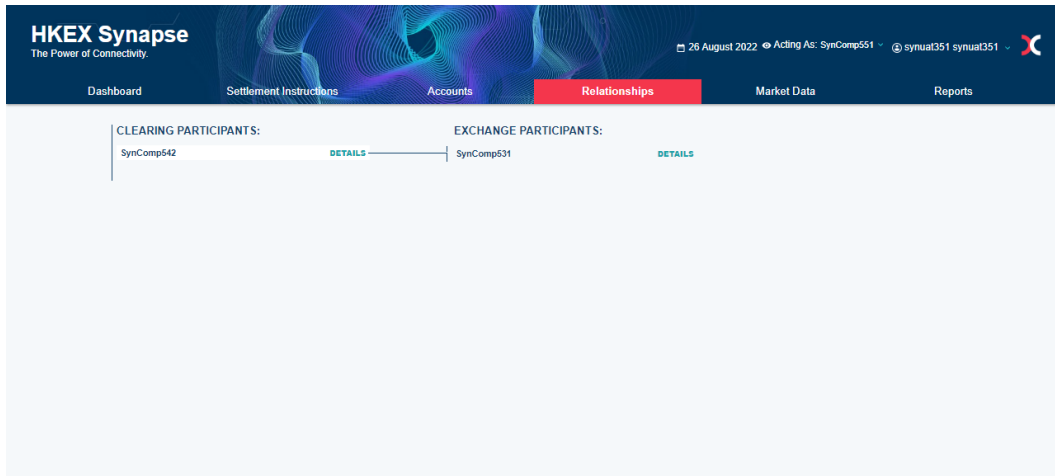
## Account Operator (AO)

If the CP has appointed an AO, then the AO chooses which CP to act as and sees the same as what the relevant CP would see.

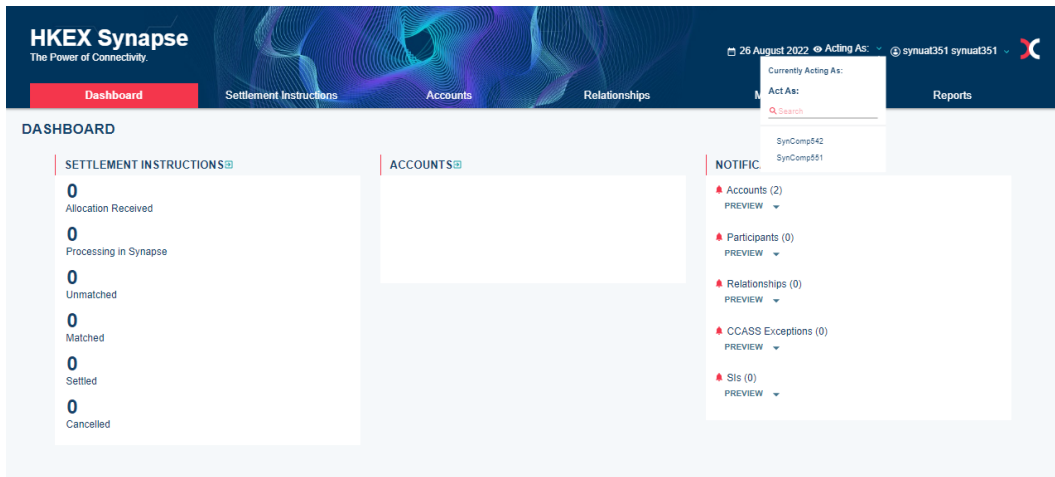
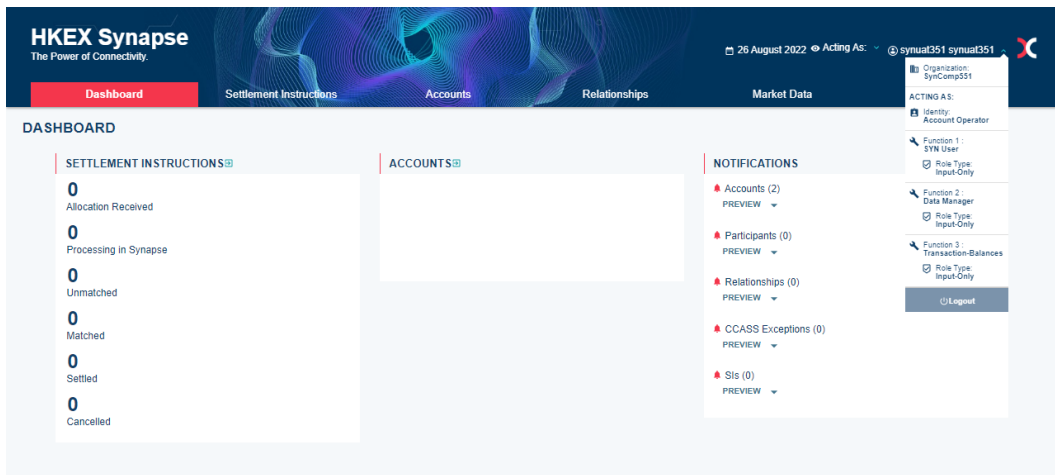
The AO can click the participant dropdown in the top right corner and then click “Act as Different Identity” to change which CP they act as. They can choose to act as any CP that has appointed them or as themselves as AO

The screenshot shows the HKEX Synapse dashboard interface. The top navigation bar includes the logo 'HKEX Synapse - The Power of Connectivity', the date '26 August 2022', and the current user 'Acting As: synuaal351 synuaal351'. A dropdown menu is open, showing 'Currently Acting As:' and a search bar. Below the search bar, two search results are listed: 'SynComp542' and 'SynComp551'. The dashboard content is divided into three main sections: 'SETTLEMENT INSTRUCTIONS', 'ACCOUNTS', and 'NOTIFICATIONS'. The 'SETTLEMENT INSTRUCTIONS' section shows a vertical list of counts: 0 Allocation Received, 0 Processing in Synapse, 0 Unmatched, 0 Matched, 0 Settled, and 0 Cancelled. The 'ACCOUNTS' section is currently empty. The 'NOTIFICATIONS' section lists several categories with counts and 'PREVIEW' links: Accounts (2), Participants (0), Relationships (0), CCASS Exceptions (0), and SIs (0).

This screenshot is similar to the one above, but the 'Act As' dropdown menu is now a confirmation dialog box. The dialog asks 'Would you like to act as SynComp551?' and provides 'Cancel' and 'Confirm' buttons. The dashboard content remains the same as in the previous screenshot, with the same navigation bar, settlement instructions, accounts, and notifications sections.



When the AO is acting as an CP, they will see the below page.



**HKEX Synapse**  
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Act As: Would you like to act as SynComp542?  
[Cancel](#) [Confirm](#)

synuat351 synuat351

Dashboard Settlement Instructions Accounts Relationships Reports

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 0 Allocation Received
- 0 Processing in Synapse
- 0 Unmatched
- 0 Matched
- 0 Settled
- 0 Cancelled

**ACCOUNTS**

**NOTIFICATIONS**

- ▲ Accounts (2) [PREVIEW](#)
- ▲ Participants (0) [PREVIEW](#)
- ▲ Relationships (0) [PREVIEW](#)
- ▲ CCASS Exceptions (0) [PREVIEW](#)
- ▲ SIs (0) [PREVIEW](#)

**HKEX Synapse**  
The Power of Connectivity.

26 August 2022 Acting As: SynComp542 synuat351 synuat351

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

- 0 Allocation Received
- 0 Processing in Synapse
- 0 Unmatched
- 0 Matched
- 0 Settled
- 0 Cancelled

**ACCOUNTS**

- 0 Awaiting CP Maker Approval
- 0 Awaiting CP Checker Approval

**NOTIFICATIONS**

- ▲ Accounts (4) [PREVIEW](#)
- ▲ Participants (0) [PREVIEW](#)
- ▲ Relationships (0) [PREVIEW](#)
- ▲ CCASS Exceptions (0) [PREVIEW](#)
- ▲ SIs (0) [PREVIEW](#)

**HKEX Synapse**  
The Power of Connectivity.

26 August 2022 Acting As: SynComp542 synuat351 synuat351

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

**ACCOUNT OPERATOR**  
SynComp551 [DETAILS](#)

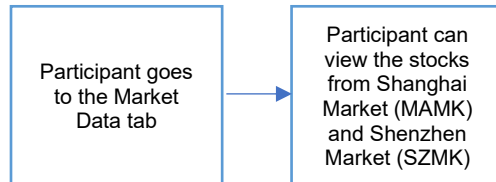
**CLEARING PARTICIPANTS:** SynComp542 [DETAILS](#)

**EXCHANGE PARTICIPANTS:** SynComp531 [DETAILS](#)

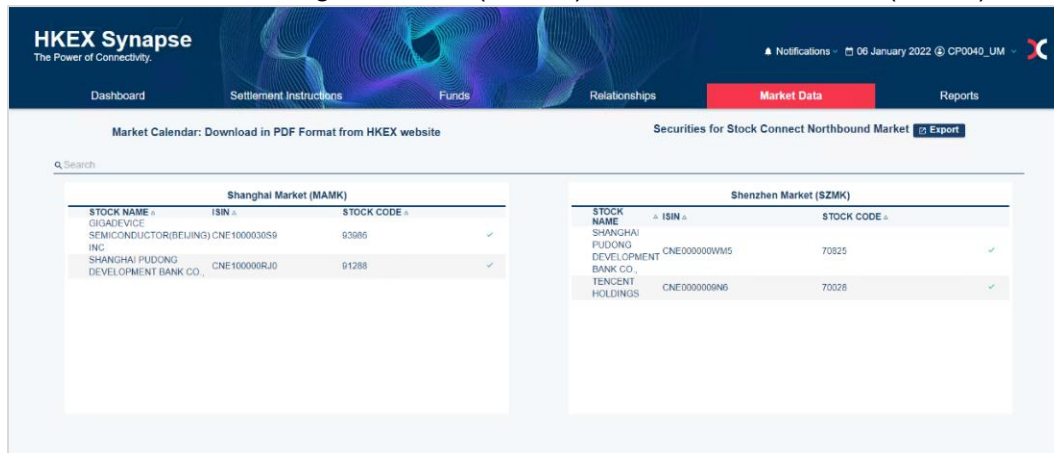
## 9. Market Data

Market Data allows buy side and sell side participants to see the eligible Northbound securities from two markets: Shanghai Market (MAMK) and Shenzhen Market (SZMK). There is the functionality to export the stock list to CSV format.

Market Data functionality is the same for both buy side and sell side participants. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Market Data tab, the AM participant can view the eligible Northbound securities from two markets: Shanghai Market (MAMK) and Shenzhen Market (SZMK).



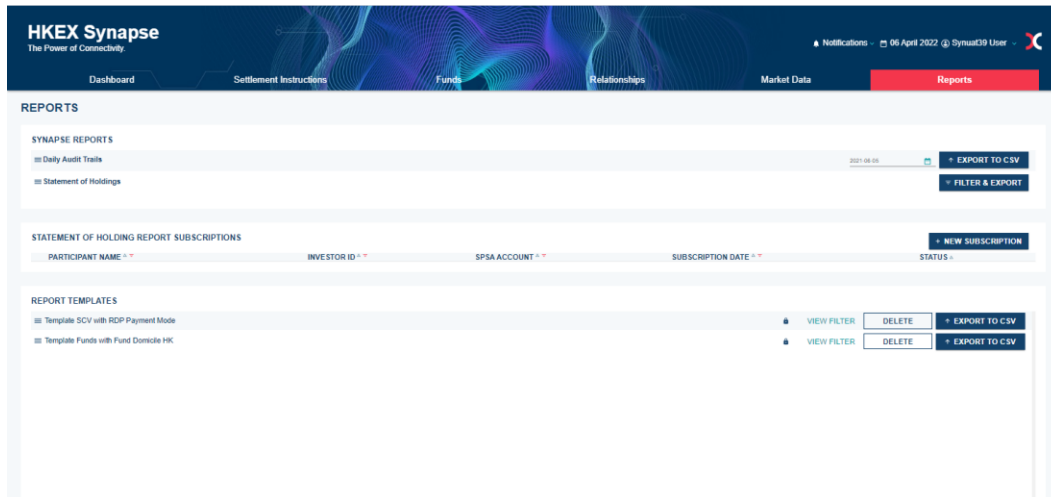
3. The AM participant can export the Stock List to CSV format by clicking the “Export” button.

Column	Description
stockCode	Stock code
isinCode	ISIN code; ISIN is the International Securities Identification Number. It can be used as a unique identifier for a stock
stockShortName	Short form of the stock name
marketCode	Indicated the stock market: - SZMK – Shenzhen Market - MAMK – Shanghai Market
listedDate	The date that the stock is listed
delistedDate	The date that the stock is delisted

## 10. Reports

Synapse offers participants the ability to export all its accessible data (e.g. Funds, Accounts, Settlement Instruction and Market Data) in CSV format.

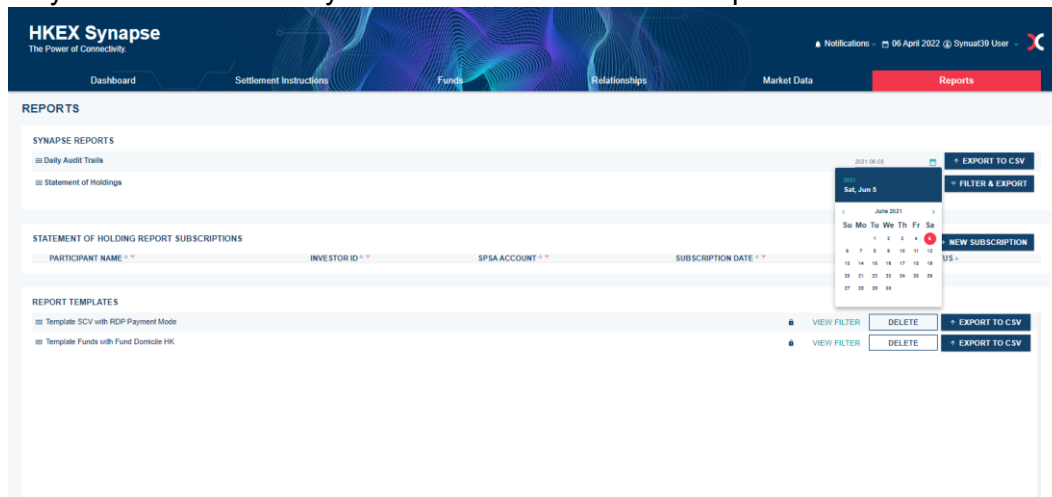
### 10.1 Synapse Reports



#### 10.1.1 Daily Audit Trail

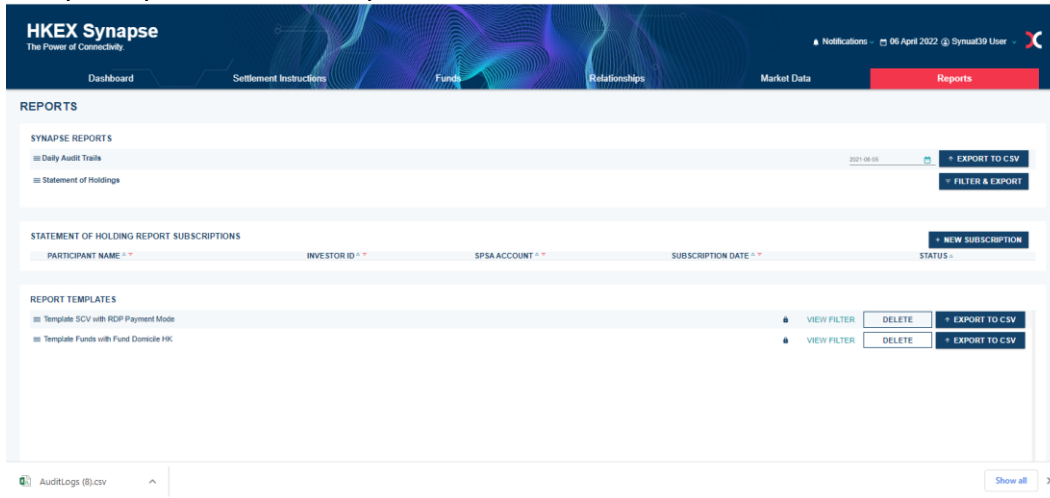
On the Reports tab, Synapse users can access a daily audit trail for all activities related to them (Funds, Accounts, and Settlement Instructions) in the form of a CSV. The daily audit trail report will be made available at the start of the day to show the previous day's system and user activities. Please note activities related to report download (e.g. SOH subscription / report template creation) and the mapping of outsourcing service provider will not be captured in the Daily Audit Trail.

1. On the Reports tab, the buy side and sell side participant can select a date for which they want to see the daily audit trail via the calendar dropdown.



- a. Note: 31 calendar days' worth of audit trail reports are available for selection

2. The participant will click “Export to CSV” to download.



Column	Description
Timestamp	Date/time when the transaction was recorded (in HKT)
Identification	Information to be displayed for different type of records: For SN - maps to CTM Transaction Identification For SCV - maps to UTI For Entity - maps to BIC/PID For Fund - maps to Fund ID and Fund Account at GC For Account - maps to Acct EP at CP
Message Type	Indicated the sub-categories of the record <b>For Settlement Processing</b> - Settlement Notification Received (Buy side) - Settlement Notification Received (Sell side) - SCV Created (Buy Side) SCV Created (Sell Side) - GC Approved - LC Approved - CP Approved - GC Rejected - LC Rejected - CP Rejected - Synapse Rejected (Buy Side) - Synapse Rejected (Sell Side) - SCV Cancelled (Buy Side) - SCV Cancelled (Sell Side) - Input SI Request (Buy Side) - Input SI Request (Sell Side) - Unmatched - OTHR (Buy Side) - Unmatched - OTHR (Sell Side) - Unmatched - SAFE (Buy Side) - Unmatched - SAFE (Sell Side) - Unmatched - DSEC (Buy Side) - Unmatched - DSEC (Sell Side) - Unmatched - DELN (Buy Side) - Unmatched - DELN (Sell Side) - Unmatched - FRAP (Buy Side) - Unmatched - FRAP (Sell Side)

Column	Description
	<ul style="list-style-type: none"> <li>- Unmatched - DQUA (Buy Side)</li> <li>- Unmatched - DQUA (Sell Side)</li> <li>- Unmatched - DMON (Buy Side)</li> <li>- Unmatched - DMON (Sell Side)</li> <li>- Unmatched - DDAT (Buy Side)</li> <li>- Unmatched - DDAT (Sell Side)</li> <li>- Unmatched - DCUR (Buy Side)</li> <li>- Unmatched - DCUR (Sell Side)</li> <li>- Unmatched - NPOS (Buy Side)</li> <li>- Unmatched - NPOS (Sell Side)</li> <li>- Unmatched - PMNE (Buy Side)</li> <li>- Unmatched - PMNE (Sell Side)</li> <li>- Unmatched - URNA (Buy Side)</li> <li>- Unmatched - URNA (Sell Side)</li> <li>- Matched - MTCH (Buy Side)</li> <li>- Matched - MTCH (Sell Side)</li> <li>- Settled - SETD (Buy Side)</li> <li>- Settled - SETD (Sell Side)</li> <li>- Cancelled - CANI (Buy Side)</li> <li>- Cancelled- CANI (Sell Side)</li> <li>- Cancelled (CP) - CSUB (Buy Side)</li> <li>- Cancelled (CP) - CSUB (Sell Side)</li> <li>- Shares on Hold - CVAL (Buy Side)</li> <li>- Shares on Hold - CVAL (Sell Side)</li> <li>- Payment Validated - CYCL (Buy Side)</li> <li>- Payment Validated - CYCL (Sell Side)</li> <li>- Matched On-Hold - PREA (Buy Side)</li> <li>- Matched On-Hold - PREA (Sell Side)</li> <li>- Pending for Transfer - CAIS (Buy Side)</li> <li>- Pending for Transfer - CAIS (Sell Side)</li> <li>- Counter Party Instruction On-Hold - PRCY (Buy Side)</li> <li>- Counter Party Instruction On-Hold - PRCY (Sell Side)</li> <li>- Cancelled - CANS (Buy Side)</li> <li>- Cancelled - CANS (Sell Side)</li> <li><b>For Participant Onboarding</b></li> <li>- New Active GC Entity</li> <li>- New Active LC Entity</li> <li>- New Active AM Entity</li> <li>- New Active EP Entity</li> <li>- New Active CP Entity</li> <li>- New Active AMOO Entity</li> <li>- New Active EPOO Entity</li> <li>- New Active AO Entity</li> <li>- Entity Details Amended</li> <li>- Entity Status Amended</li> <li><b>For Fund Onboarding</b></li> <li>- New Fund Created</li> <li>- New Fund Profile Approved by GC</li> <li>- New Fund Profile Approved by LC</li> <li>- New Fund Profile Rejected by GC</li> <li>- New Fund Profile Rejected by LC</li> <li>- LC-Reappointment Approved by GC</li> <li>- LC-Reappointment Approved by LC</li> </ul>

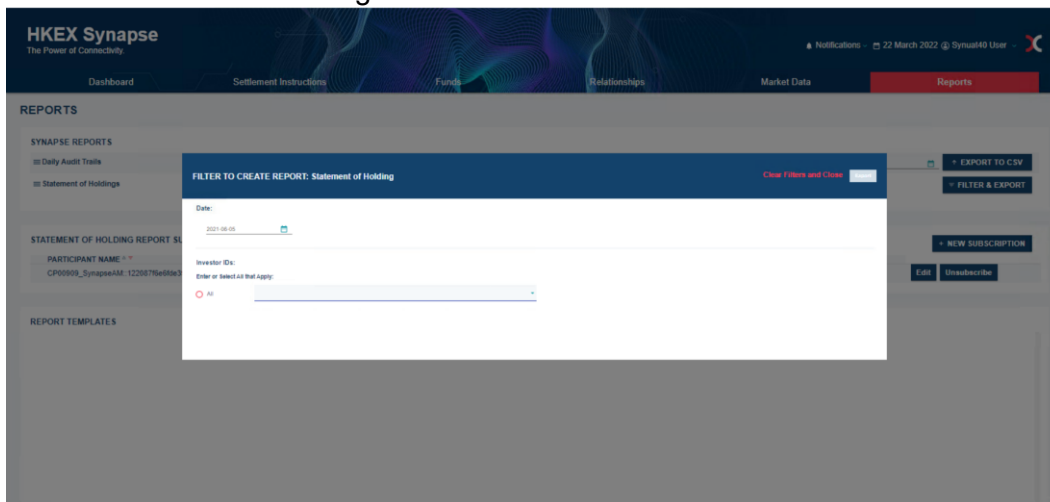
Column	Description
	<ul style="list-style-type: none"> <li>- LC-Reappointment Rejected by GC</li> <li>- LC-Reappointment Rejected by LC</li> <li>- Fund Details Amended</li> <li>- Fund Status Changed</li> <li>- Fund Profile Status Changed</li> <li><b>For Account Onboarding</b></li> <li>- New Account Created</li> <li>- New Account Approved by CP</li> <li>- New Account Rejected by CP</li> <li>- Account Status Changed</li> </ul>
Details	Description of the record. Please note for message types related to Fund / Account Onboarding, both maker ID and checker ID will be shown. For message type related to Settlement Processing, only entity ID will be shown.
Category	Indicated the categories of the record <ul style="list-style-type: none"> <li>- Settlement Processing</li> <li>- Participant Onboarding</li> <li>- Fund Onboarding</li> <li>- Account Onboarding</li> </ul>
Party	The company name of the entity who triggered the record
Audit Log Date	Date of the audit log generated

## 10.1.2 Statement of Holdings

On the Reports tab, only buy side participants can download the Statement of Holdings in the form of CSV file. By on-boarding a fund onto Synapse, the relevant LC is taken to have authorized that (1) the Statement of Holdings in relation to the fund on-boarded onto Synapse in accordance with instructions from the relevant AM and GC can be provided to or through Synapse from time to time; and (2) the relevant LC, AM and GC can download such Statement of Holdings from Synapse following the steps set out in this section.

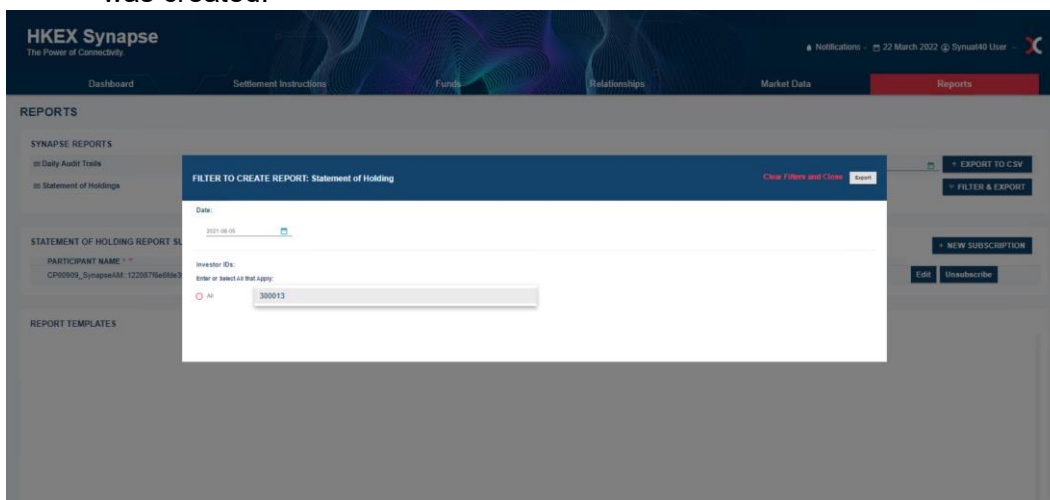
### Buy Side

1. On the Reports tab, the buy side participant can click “Filter & Export” to create a filter for the Statement of Holdings.



The screenshot shows the HKEX Synapse interface with the 'Reports' tab selected. A modal dialog titled 'FILTER TO CREATE REPORT: Statement of Holding' is open. The dialog contains a 'Date' field with a calendar icon, currently showing '2021-03-08'. Below the date is an 'Investor ID(s)' field with a dropdown menu. The dropdown is currently set to 'All'. To the right of the dialog, there are buttons for '+ EXPORT TO CSV', 'FILTER & EXPORT', '+ NEW SUBSCRIPTION', 'Edit', and 'Unsubscribe'. A 'Clear Filters and Close' button is located at the top right of the dialog.

2. The buy side participant will select a date via the calendar dropdown and the investor ID(s) they want to select.
  - a. Note: 31 calendar days are available for selection
  - b. Note: the Investor ID list is based on the Statement of Holdings subscription that was created.



This screenshot is similar to the previous one, but the 'Investor ID(s)' dropdown menu is now open, showing a list of investor IDs. The ID '300013' is selected and highlighted in the dropdown. The 'Date' field remains '2021-03-08'. The 'Clear Filters and Close' button is now visible at the top right of the dialog.

3. If the incorrect date or incorrect investor ID(s) were selected, then the buy side participant can click “Clear Filters and Close” to remove any selections.

4. When the correct date and investor ID(s) have been selected, the buy side participant then clicks “Export” to download the Statement of Holdings into CSV file.

Column	Description
partId	Participant ID
marketCode	Indicated the stock market: - HKMK – Hong Kong Market - SZMK – Shenzhen Market - MAMK – Shanghai Market
stockAccountCode	Stock account code
investorId	Investor ID for the Fund. The field is a unique number assigned to each SPSA account by HKEX Investor ID is also known as “SPSA ID” in CCASS
currencyCode	Indicate the currency used: - HKD – Hong Kong Dollar - CNY – Chinese Yuan - USD – United States Dollar
exchangeRate	Exchange rate
iSIN	International Securities Identification Number. It can be used as a unique identifier for a stock
signOfStockBalance	Indicated the stock balance is positive or negative: - Blank = 0 or positive balance - ‘*’ = negative balance
signOfStockValue	Indicated the stock value is positive or negative: - Blank = 0 or positive balance - ‘*’ = negative balance
stockAccountBalance	Balance of stock account
stockAccountValue	Value of stock account
stockCode	Stock Code
stockReferencePrice	Reference price of the stock
stockWithCAConversion	Indicated whether the stock is with CA conversion: - Blank = Stock without CA conversion at day end - ‘*’ = Stock with CA conversion at day end
stockWithCAConversion2	Indicated whether the stock is with CA conversion: - Blank = Stock without CA conversion at day end - ‘*’ = Stock with CA conversion at day end

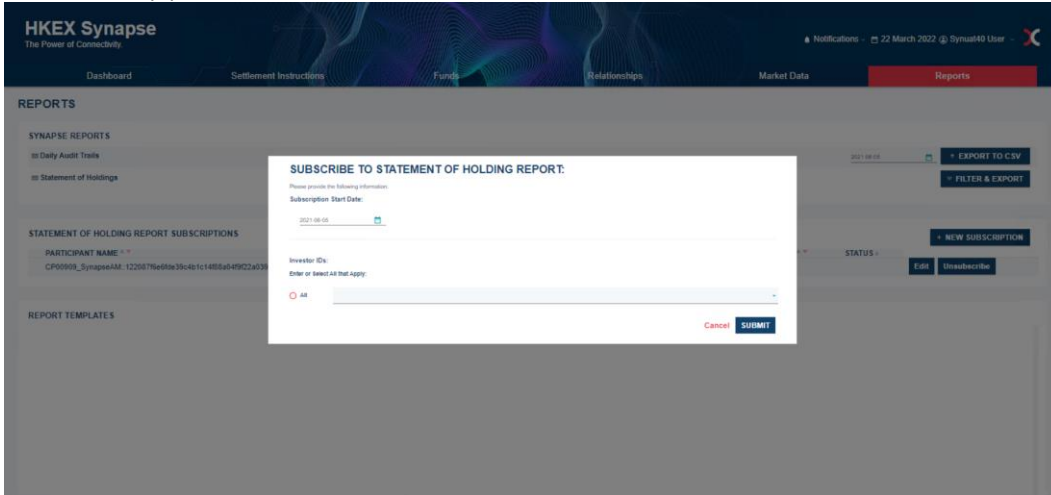
### 10.1.2.1 Subscribe to Statement of Holding Report

Only buy side participants, e.g., AM, AMOO, GC, and LC, can create a Statement of Holding report subscription. If the AMOO is performing SOH subscription for a specific AM, both AMOO and that specific AM (provided that the AM has also opted for ISO connectivity channel) will receive the SOH via ISO connectivity channel.

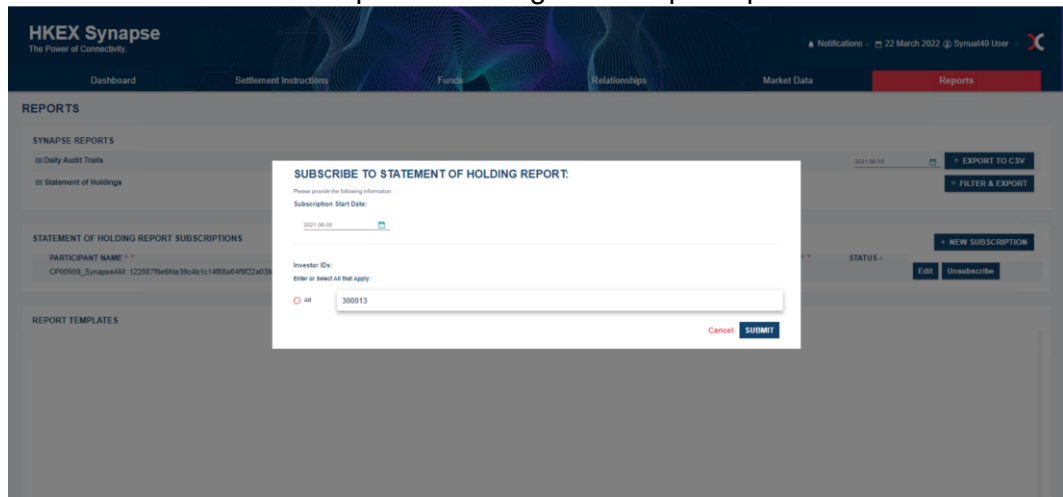
#### Buy Side

#### Buy Side Data Manager Input Only User

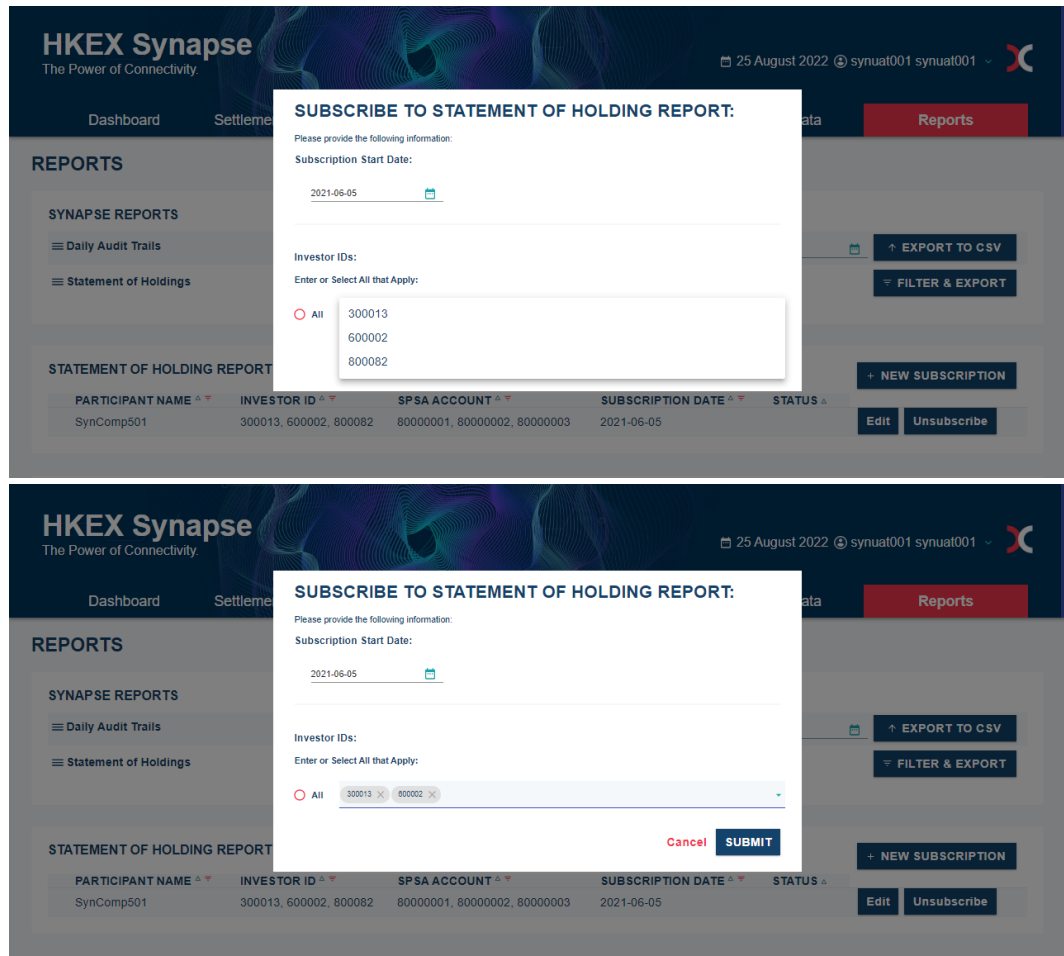
1. On the Reports tab, the Buy Side Data Manager Input Only User clicks “+ New Subscription” and adds the date from which the subscription would begin and select investor ID(s).



- a. Note: participants will only see investor IDs that are relevant to themselves, i.e. Investor IDs of active fund profiles belonged to the participants.



When the participant click the drop down, the participant will see a list of investor IDs that are relevant to themselves. They can select which investor IDs in particular they want to subscribe the Statement of Holding Report.



2. The Buy Side Data Manager Input Only User clicks “Submit”.
3. A new row is created in the Statement of Holding Report Subscriptions table with the status “Pending approval”.

### Buy Side Data Manager Input Authorise User

1. On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending approval”.

The screenshot shows the HKEX Synapse interface. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Funds', 'Relationships', 'Market Data', and 'Reports'. The 'Reports' section is active. Under 'SYNAPSE REPORTS', there are options for 'Daily Audit Trails' and 'Statement of Holdings'. The 'Statement of Holdings' is selected, showing a date of 2021-06-05 and buttons for 'EXPORT TO CSV' and 'FILTER & EXPORT'. Below this, the 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS' section features a '+ NEW SUBSCRIPTION' button and a table with the following data:

PARTICIPANT NAME ▲▼	INVESTOR ID ▲▼	SPSA ACCOUNT ▲▼	SUBSCRIPTION DATE ▲▼	STATUS ▲	
SynComp501	300013	80000001	2021-06-05	Pending Approval	<input type="button" value="Reject"/> <input type="button" value="Approve"/>

2. They can either click “Reject” or “Approve”.
  - a. If Buy Side Data Manager Input Authorise User clicks “Approve”, then the Statement of Holding report subscription is approved and will start on the date provided by the Input Only User. The Statement of Holding report will be distributed to the Buy Side participants since the subscription date through the channel(s) the participant connected to Synapse such as ISO and/or API. In any cases, Buy Side participants can also download the Statement of Holding report via UI since the subscription date as well.

This screenshot is similar to the first one but shows the 'Statement of Holding Report Subscriptions' table after the subscription has been approved. The status is no longer 'Pending Approval'. The table data is as follows:

PARTICIPANT NAME ▲▼	INVESTOR ID ▲▼	SPSA ACCOUNT ▲▼	SUBSCRIPTION DATE ▲▼	STATUS ▲	
SynComp501	300013	80000001	2021-06-05		<input type="button" value="Edit"/> <input type="button" value="Unsubscribe"/>

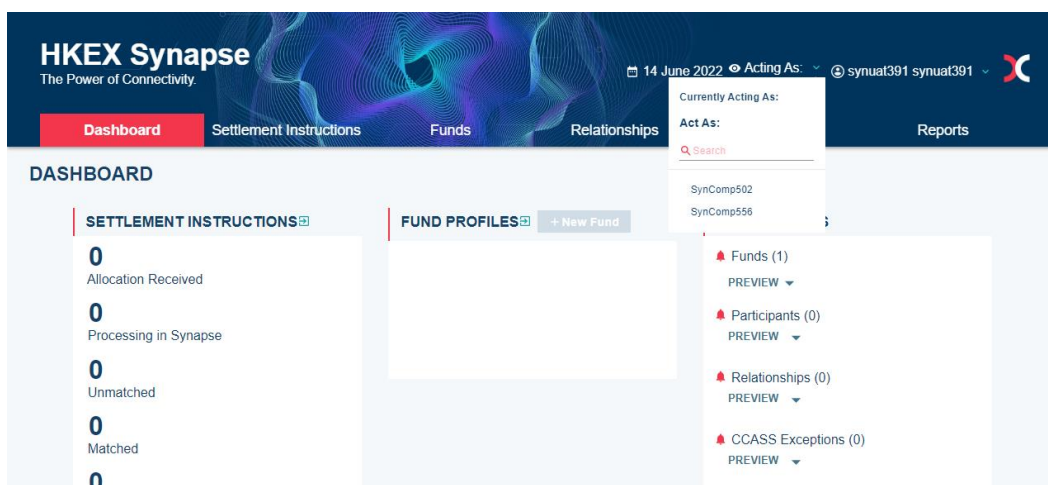
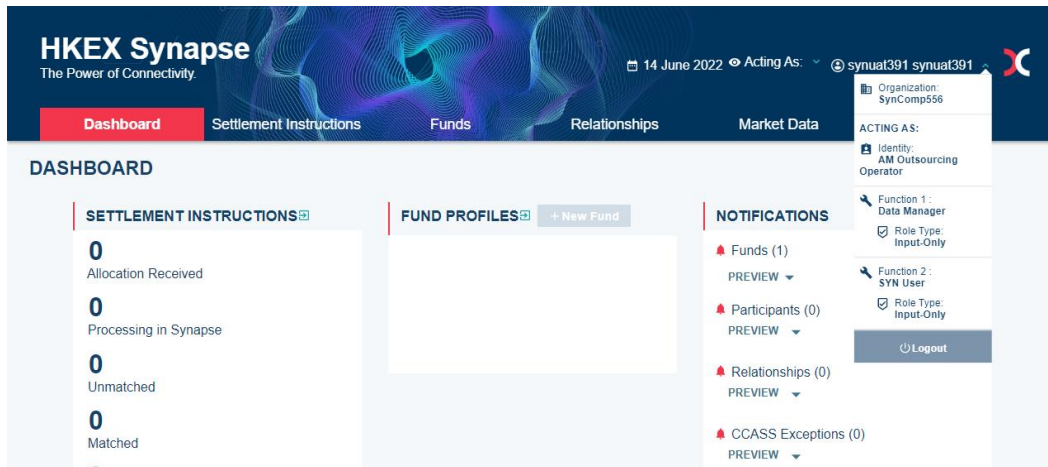
- b. If Buy Side Data Manager Input Authorise User clicks “Reject”, then the subscription process will be ended.

### Asset Manager Middle Office Outsourcing Operator (AMOO)

AMOOs can either act as AM or as themselves when perform Statement of Holding report subscription.

#### AMOO Acting as AM

AMOO can choose to act as AM. The AMOO Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and select to act as an AM from the participant dropdown in the top right corner.



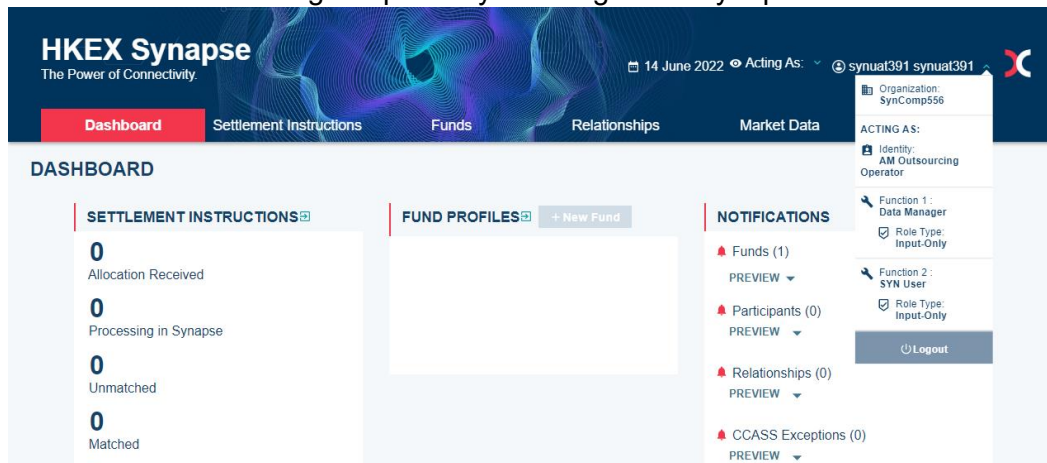
AMOO can proceed with the above process to subscribe to Statement of Holding report.

### AMOO Acting as AMOO

The AMOO can also choose to act as themselves for subscription of Statement of Holding Report.

### AMOO Data Manager Input Only User

1. The AMOO Data Manager Input Only User logs in to Synapse as themselves.



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15 June 2022 Acting As: synuat391 synuat391

Currently Acting As:  
Act As:  
Search

SynComp556

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

0 Allocation Received  
0 Processing in Synapse  
0 Unmatched  
0

**FUND PROFILES**

+ New Fund

**NOTIFICATIONS**

Funds (0) PREVIEW  
Participants (0) PREVIEW  
Relationships (0) PREVIEW

HKEX Synapse  
The Power of Connectivity.

15 June 2022 Acting As: synuat391 synuat391

Act As:  
Would you like to act as SynComp556?  
Cancel Confirm

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

0 Allocation Received  
0 Processing in Synapse  
0 Unmatched  
0

**FUND PROFILES**

+ New Fund

**NOTIFICATIONS**

Funds (0) PREVIEW  
Participants (0) PREVIEW  
Relationships (0) PREVIEW

HKEX Synapse  
The Power of Connectivity.

15 June 2022 Acting As: SynComp556 synuat391 synuat391

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

0 Allocation Received  
0 Processing in Synapse  
0 Unmatched  
0

**FUND PROFILES**

+ New Fund

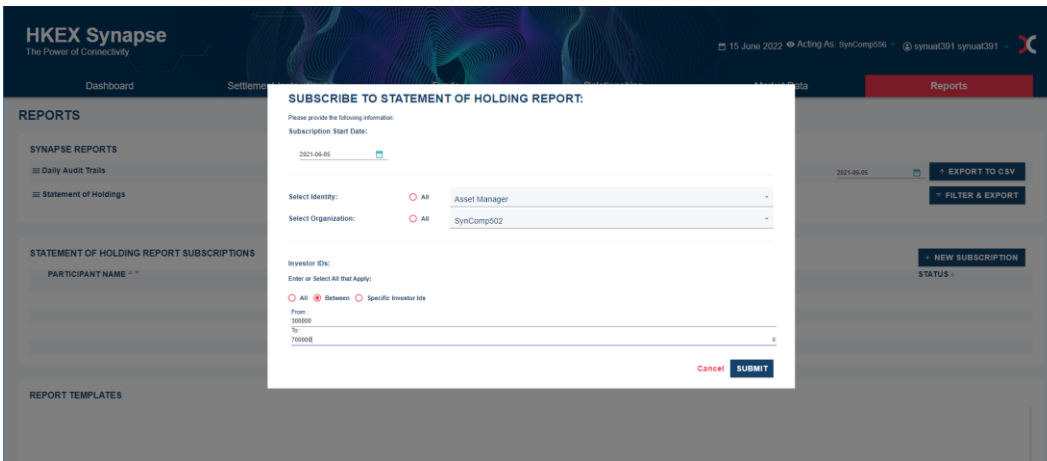
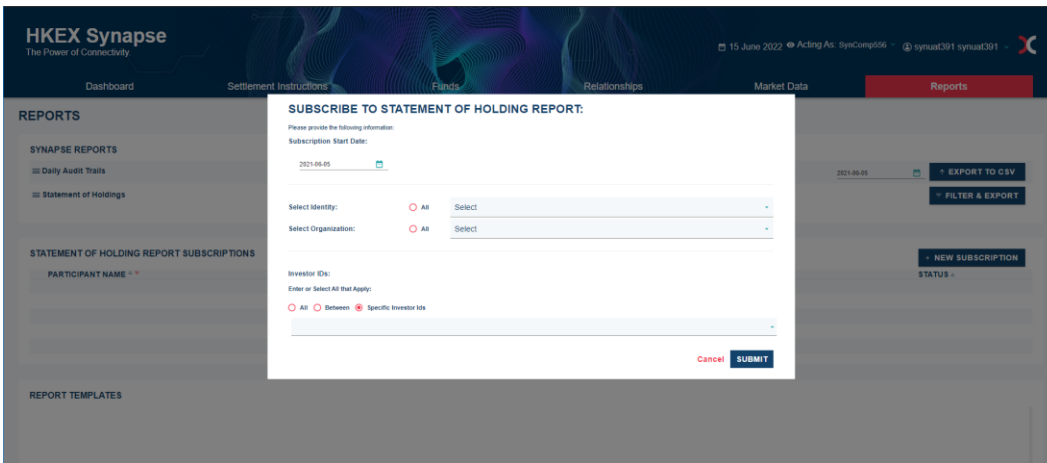
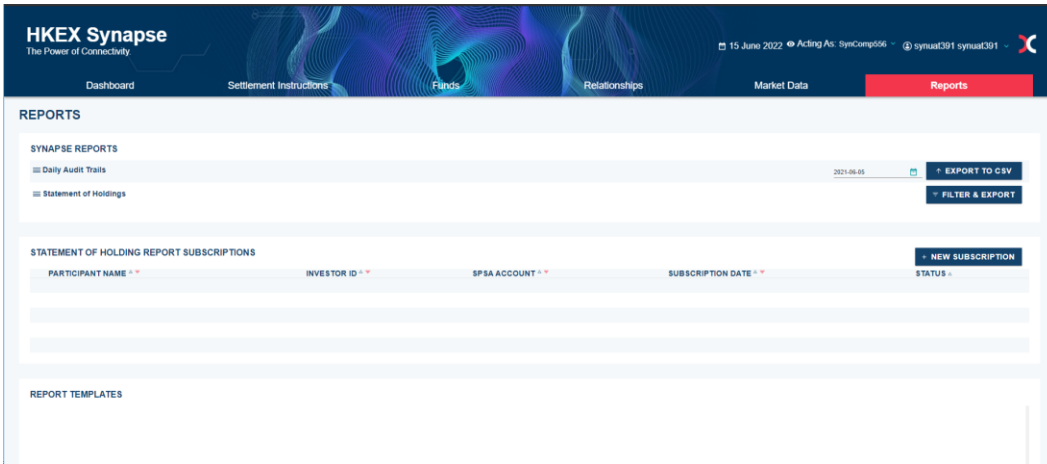
0 Awaiting AM Checker Approval  
0 Awaiting GC Approval  
0 Awaiting LC Approval

**NOTIFICATIONS**

Funds (0) PREVIEW  
Participants (0) PREVIEW  
Relationships (0) PREVIEW

- On the Reports tab, the AMOO Data Manager Input Only User will select the subscription start date and choose the identity, e.g., "Asset Manager", and the participant name. The AMOO Data Manager Input Only User can select individual AM or all of the AMs.

- a. Note: selecting all of the AMs means that the AMOO wants to subscribe to the statements of holding for all of the organizations for which they are acting as.

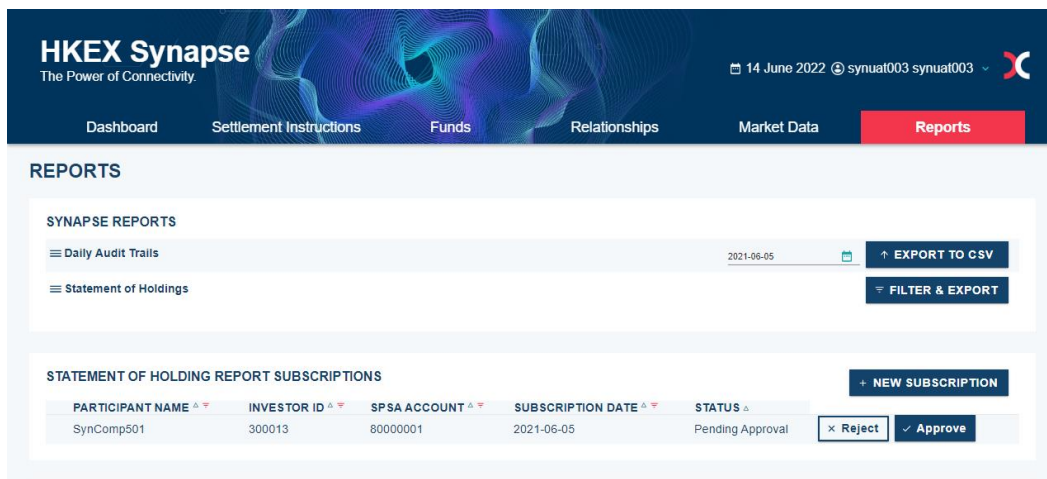


- 3. The AMOO Data Manager Input Only User can select all investor IDs related to them by choosing 1 out of the 3 radio buttons:
  - a. All – Selecting “All” to apply to all investor IDs related to them.

- b. Between – Selecting “between” and providing x and y parameters means that the investors between x and y, inclusive, will be selected.
  - c. Specific Investor IDs – Selecting “Specific Investor IDs” to select one or multiple investor IDs.
4. The AMOO Data Manager Input Only User clicks “Submit”.
5. A new row is created in the Statement of Holding Report Subscriptions table with the status “Pending approval”.

### AMOO Data Manager Input Authorise User

1. On the Reports tab, the AMOO Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending approval”.
2. AMOO Data Manager Input Authorise User can either click “Reject” or “Approve”.
  - a. If AMOO Data Manager Input Authorise User clicks “Approve”, then the Statement of Holding Report subscription is approved and will start on the date provided by the Input Only User. The Statement of Holding Report will be distributed to AMOO since the subscription date through the channel AMOO connected to Synapse, such as ISO. In any cases, AMOO can also download the Statement of Holding report via UI since the subscription date as well.
  - b. If AMOO Data Manager Input Authorise User clicks “Reject”, then the subscription process will be ended.



### 10.1.2.2 Unsubscribe from Statement of Holding Report

Buy side participants can choose to unsubscribe the Statement of Holding Report if consider the information is not necessary.

#### Buy Side

#### Buy Side Data Manager Input Only User

1. On the Reports tab, the Buy Side Data Manager Input Only User clicks “Unsubscribe” in the relevant row in the Statement of Holding Report subscription table

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25 August 2022 | synuat011 | synuat011

Dashboard | Settlement Instructions | Funds | Relationships | Market Data | **Reports**

**REPORTS**

**SYNAPSE REPORTS**

- Daily Audit Trails (2021-06-05) [EXPORT TO CSV]
- Statement of Holdings [FILTER & EXPORT]

**STATEMENT OF HOLDING REPORT SUBSCRIPTIONS** [NEW SUBSCRIPTION]

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS	
SynComp502	300013	80000001	2021-06-05	Pending Approval (Unsubscribe)	Edit Unsubscribe

- The Buy Side Data Manager Input Only User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending Approval (Unsubscribe)”

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 | synuat011 | synuat011

Dashboard | Settlement Instructions | Funds | Relationships | Market Data | **Reports**

**REPORTS**

**SYNAPSE REPORTS**

- Daily Audit Trails (2021-06-05) [EXPORT TO CSV]
- Statement of Holdings [FILTER & EXPORT]

**STATEMENT OF HOLDING REPORT SUBSCRIPTIONS** [NEW SUBSCRIPTION]

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS	
SynComp502	300013	80000001	2021-06-05	Pending Approval (Unsubscribe)	Unsubscribe

### Buy Side Data Manager Input Authorise User

- On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending Approval (Unsubscribe)”

**HKEX Synapse**  
The Power of Connectivity

15 June 2022 | synuat003 | synuat003

Dashboard | Settlement Instructions | Funds | Relationships | Market Data | **Reports**

**REPORTS**

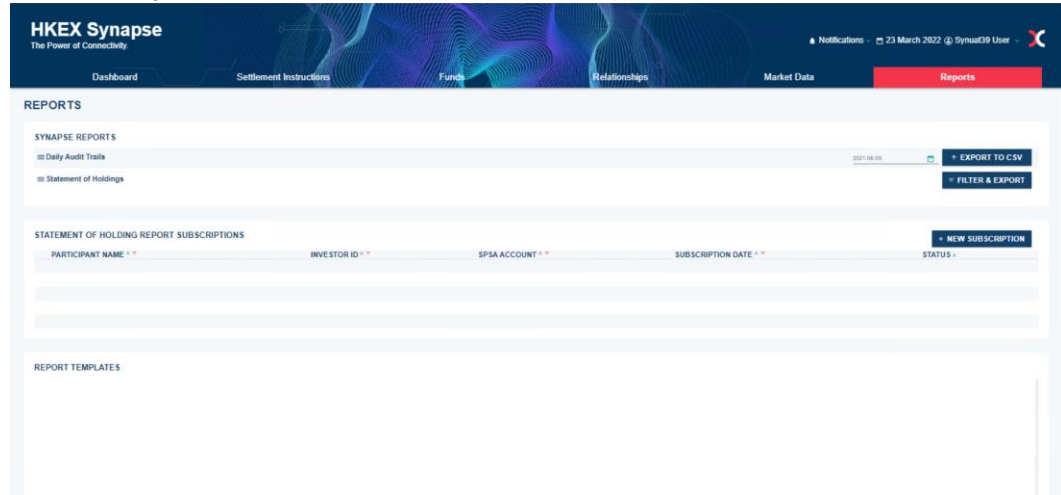
**SYNAPSE REPORTS**

- Daily Audit Trails (2021-06-05) [EXPORT TO CSV]
- Statement of Holdings [FILTER & EXPORT]

**STATEMENT OF HOLDING REPORT SUBSCRIPTIONS** [NEW SUBSCRIPTION]

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS	
SynComp501	300013, 300008, 600002	80000001, BO1451, 80000002	2021-06-05	Pending Approval (Unsubscribe)	Reject Approve

2. Buy Side Data Manager Input Authorise User can either click “Reject” or “Approve”.
  - a. If Buy Side Data Manager Input Authorise User clicks “Approve”, then the Statement of Holding Report unsubscription is approved, the previous subscription record will be removed from the list and the unsubscription will be immediately effective.



- b. If Buy Side Data Manager Input Authorise User clicks “Reject”, then the unsubscription process will be ended.

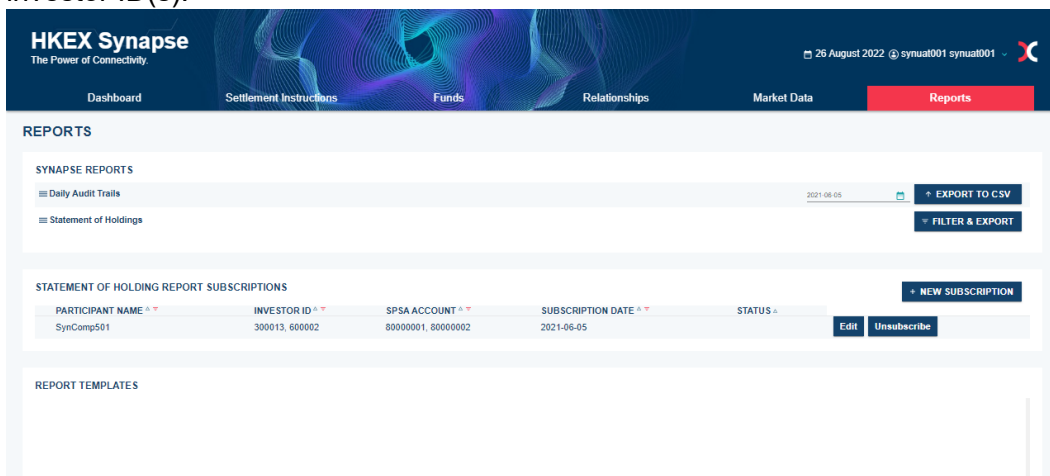
### 10.1.2.3 Amend the Subscription to the Statement of Holding Report

If a buy side participant wants to amend a Statement of Holding subscription, then they can update the selection of the Investor IDs. They can select “All” investor ID, select / add new investor ID or remove existing investor ID.

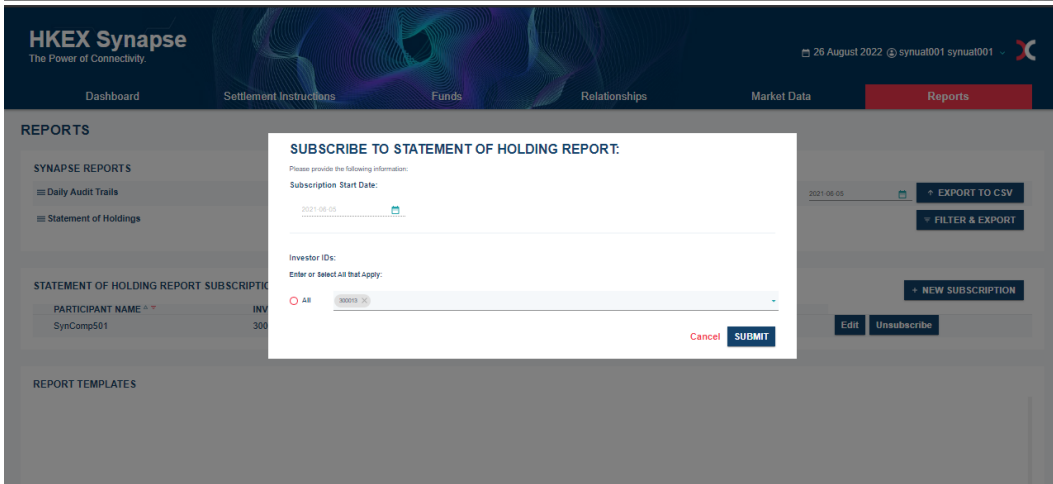
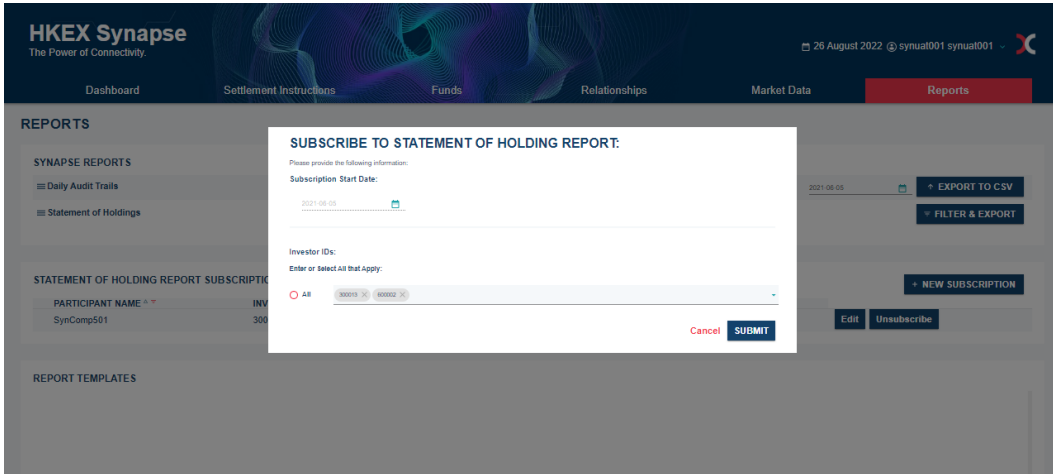
## Buy Side

### Buy Side Data Manager Input Only User

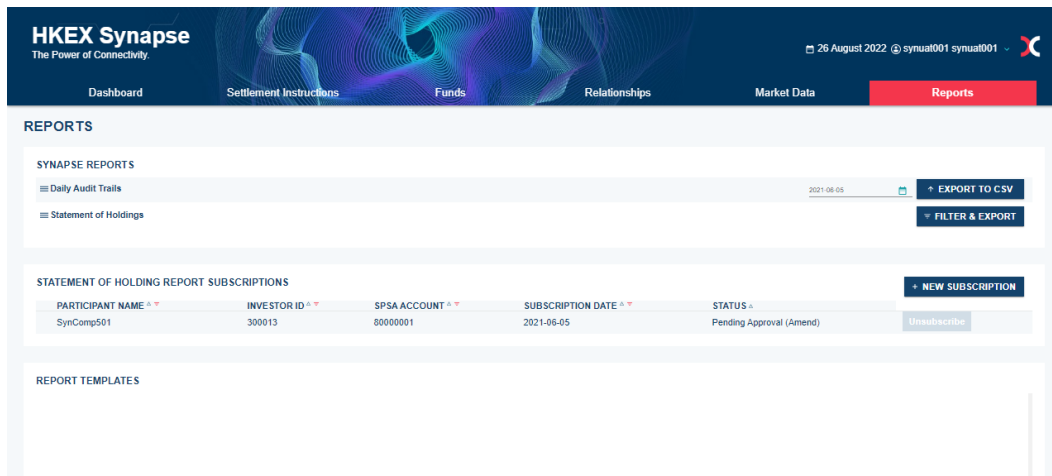
1. On the Reports tab, the Buy Side Data Manager Input Only User clicks “Edit” and select investor ID(s).



2. The Buy Side Data Manager Input Only User clicks “Submit”.



3. The row related to that Statement of Holding subscription in the Statement of Holding Report Subscriptions table is updated with the status “Pending Approval (Amend)”.



## Buy Side Data Manager Input Authorise User

1. On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending approval (Amend)”.

The screenshot shows the HKEX Synapse interface. The top navigation bar includes Dashboard, Settlement Instructions, Funds, Relationships, Market Data, and Reports (highlighted in red). The main content area is titled 'REPORTS' and contains sections for 'SYNAPSE REPORTS' (with sub-items 'Daily Audit Trails' and 'Statement of Holdings'), 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS', and 'REPORT TEMPLATES'. The 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS' section features a table with the following data:

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS	
SynComp501	300013	80000001	2021-06-05	Pending Approval (Amend)	<input type="button" value="Reject"/> <input type="button" value="Approve"/>

2. Buy Side Data Manager Input Authorise User can either click “Reject” or “Approve”.
  - a. If Buy Side Data Manager Input Authorise User clicks “Approve”, then the amendment of Statement of Holding Report subscription is approved and will start on the date provided by the Input Only User. That means the previous subscription details will be replaced by the new subscription and the participant will no longer receive the Statement of Holding Report based on previous subscription details.

The screenshot shows the HKEX Synapse interface. The top navigation bar includes Dashboard, Settlement Instructions, Funds, Relationships, Market Data, and Reports (highlighted in red). The main content area is titled 'REPORTS' and contains sections for 'SYNAPSE REPORTS' (with sub-items 'Daily Audit Trails' and 'Statement of Holdings'), 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS', and 'REPORT TEMPLATES'. The 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS' section features a table with the following data:

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS	
SynComp556	300013	80000001	2021-06-05	Pending Approval	<input type="button" value="Reject"/> <input type="button" value="Approve"/>
SynComp502	600002	80000002	2021-06-05		<input type="button" value="Edit"/> <input type="button" value="Unsubscribe"/>

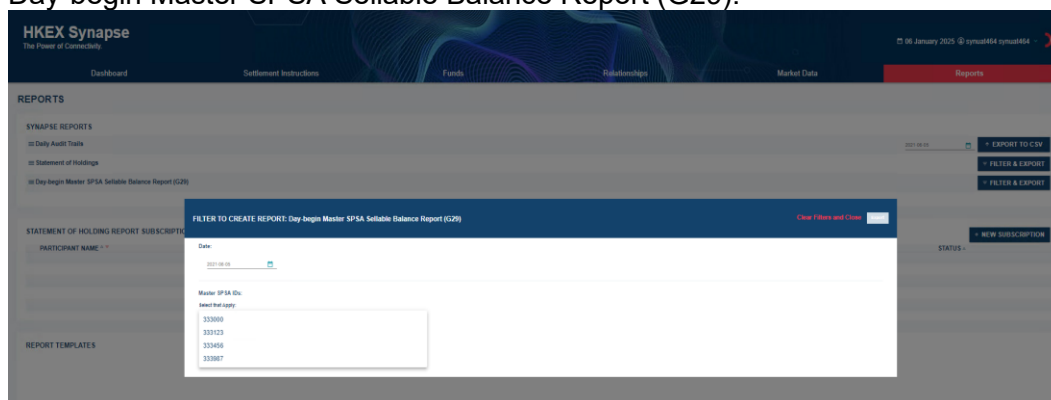
- b. If Buy Side Data Manager Input Authorise User clicks “Reject”, then the amendment process will be ended.

### 10.1.3 Day-begin Master SPSA Sellable Balance Report (G29)

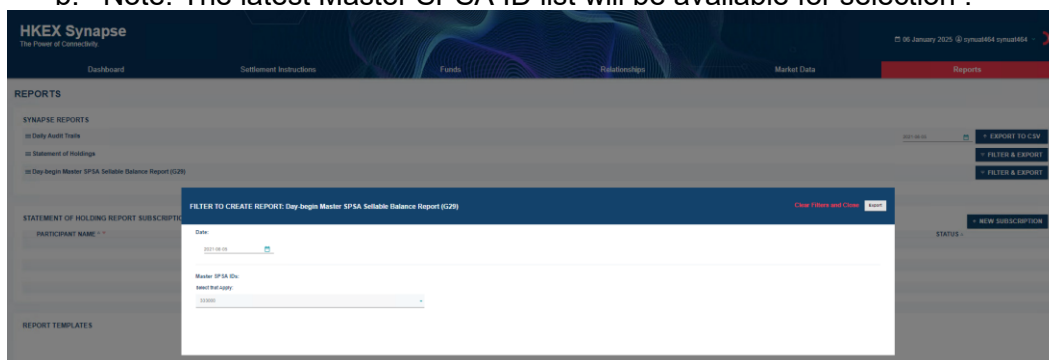
On the Reports tab, Asset Managers can download the Day-begin Master SPSA Sellable Balance Report (G29) in the form of CSV file. The sellable balance report will be made available at the start of the day and the relevant AM can download such report from Synapse following the steps set out in this section. Please note the report will be available for retrieval for 31 calendar days.

#### Asset Manager

1. On the Reports tab, Asset Manager can click “Filter & Export” to create a filter for the Day-begin Master SPSA Sellable Balance Report (G29).



2. Asset Manager can select a date via the calendar dropdown and the Master SPSA ID they want to select via the Master SPSA IDs dropdown list.
  - a. Note: 31 calendar days are available for selection
  - b. Note: The latest Master SPSA ID list will be available for selection .



3. When the correct date and Master SPSA ID have been selected, the Asset Manager then clicks “Export” to download the Day-begin Master SPSA Sellable Balance Report into CSV file.

Column	Field Length (Max)	Remark
Master SPSA ID	6	Numeric value
Market Code	4	“ASHR” for Shanghai or “ASZR” for Shenzhen
CSC Stock Code	6	Numeric value
CCASS Stock Code	5	Numeric value
Master SPSA ID Sellable Balance	18	Numeric value
SPSA ID	6	Numeric value

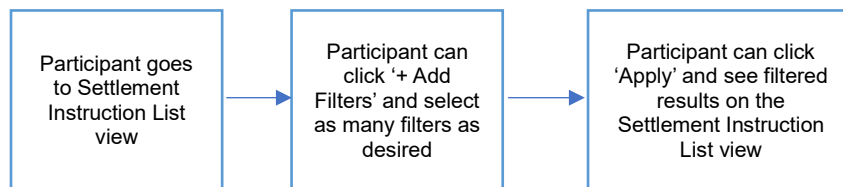
SPSA ID Sellable Balance	15	Numeric value
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## 10.2 Report Templates

### 10.2.1 Filters

Synapse offers participants the ability to filter on list view results.

Buy side and sell side participants can apply filtering function on the Settlement Instruction List view. The filters applied can be applied against all fields on the list view and details view. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from the Asset Manager participant on the Settlement Instruction List View.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Settlement Instruction List view, for example, the AM participant can click on the red downward triangle. Clicking the red triangle will create a 'Filters Applied:' box at the top of the screen. Please note the filtering function is applying on top of the SI creation date shown on the SI List View on the top right-hand corner.

INST TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	802196	CNE190003039	279,980	CNY	4,065,977.07	DELI	DVP	542799	DTCCBELLXXX	27990217003039	✓	✓	✓	Settled
SI	802231	CNE190003039	29,822	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	219994155778121	✓	✓	✓	Cancelled
SI	802231	CNE190003039	29,821	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	219994155778121	✓	✓	✓	Cancelled
SI	802231	CNE190003039	29,823	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	219994155778121	✓	✓	✓	Cancelled
SI	802231	CNE190003039	29,824	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	219994155778121	✓	✓	✓	Cancelled
SI	802231	CNE190003039	29,826	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	2962094155778121	✓	✓	✓	Settled
SI	802231	CNE190003039	29,827	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	2962094155778121	✓	✓	✓	Cancelled
SI	802231	CNE190003039	29,827	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	2962094155778121	✓	✓	✓	Cancelled
SI	802231	CNE190003039	22,312	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	2231094155778121	✓	✓	✓	Settled
SI	802231	CNE190003039	29,826	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	219994155778121	✓	✓	✓	Unmatched
SI	802231	CNE190003039	2,331	CNY	4,065,977.07	DELI	DVP	542231	DTCCBELLXXX	2331094155778121	✓	✓	✓	Settled
SI	802296	CNE190003039	2,326	CNY	4,065,977.07	DELI	DVP	542296	DTCCBELLXXX	2326000044078882	✓	✓	✓	Settled
SI	802297	CNE190003039	2,327	CNY	4,065,977.07	DELI	DVP	542297	DTCCBELLXXX	2327000044078882	✓	✓	✓	Settled
SI	802245	CNE190003039	22,451	CNY	4,065,977.07	DELI	DVP	542245	DTCCBELLXXX	2245000044078882	✓	✓	✓	Settled
SI	802245	CNE190003039	22,452	CNY	4,065,977.07	DELI	DVP	542245	DTCCBELLXXX	2245000044078882	✓	✓	✓	Settled
SI	222782	CNE190003039	82,200	CNY	4,065,977.07	DELI	DVP	522782	DTCCBELLXXX	2252484155778121	✓	✓	✓	Settled
SI	802245	CNE190003039	22,450	CNY	4,065,977.07	DELI	DVP	542245	DTCCBELLXXX	2245000044078882	✓	✓	✓	Settled
SI	802245	CNE190003039	22,452	CNY	4,065,977.07	DELI	DVP	542245	DTCCBELLXXX	2245000044078882	✓	✓	✓	Settled

The screenshot shows the 'Settlement Instructions' page in HKEX Synapse. The 'FILTERS APPLIED' section shows 'INS TYP.' with a dropdown menu open, displaying options: 'SI', 'STI', and 'ST'. The main table lists settlement instructions with columns for 'INS TYPE', 'FUND ID', 'ISIN', 'QUANTITY', 'SETTLEMENT CURRENCY', 'SETTLEMENT AMOUNT', and 'TYPE'. The table shows a mix of 'SI' and 'STI' instructions.

3. The AM participant can click '+ Add Filters'. Then the AM participant will see a module with a dropdown of all fields that the Settlement Instruction List view can be filtered on. There is no maximum number of filters that can be added. There are four types of filters:
  - a. Radial button to select a specific type, e.g. Payment Mode type

The screenshot shows the 'Settlement Instructions' page with the 'PAYMENT MODE' filter applied. The dropdown menu is open, showing options: 'DVP', 'RDP', and 'POP'. The table below shows that all instructions are now of type 'DVP'.

- b. Date filter wherein specific date(s) can be selected, e.g. today, range, or the last (n) calendar days (April 4, 1900)

When the user selects "Today"

The screenshot shows the 'Settlement Instructions' page with the 'SETTLEMENT DATE' filter applied. The dropdown menu is open, and 'Today' is selected. The table below shows that all instructions are now of type 'Today'.

When the user selects “Range”, please note the from date and to date are exclusive

The screenshot shows the 'SETTLEMENT INSTRUCTIONS' page with the 'SETTLEMENT DATE' filter set to 'Range'. The filter is applied to the table of instructions. The table columns include INST TYPE, FUND ID, ISIN, QUANTITY, SETTLEMENT CURRENCY, SETTLEMENT AMOUNT, and TYPE. The 'Range' filter is active, and the 'Apply' button is visible.

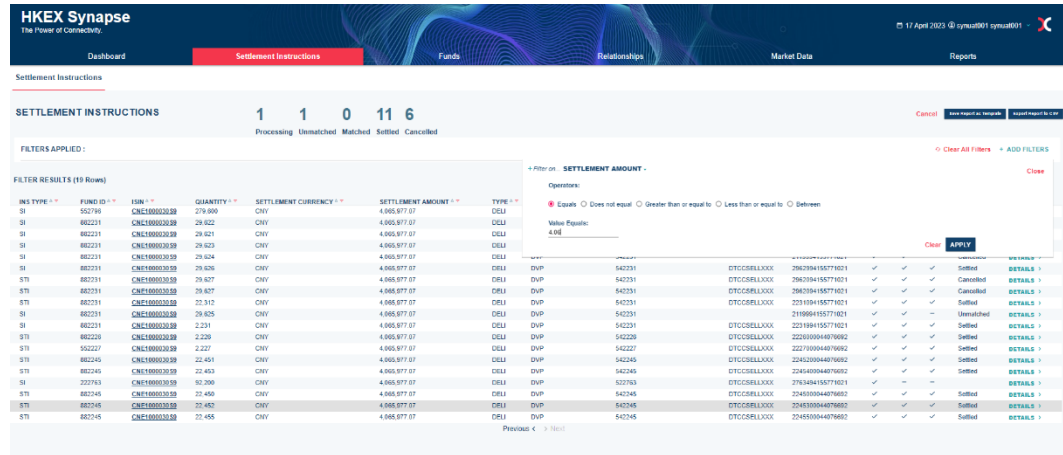
When the user selects “Last (n) calendar days”

The screenshot shows the 'SETTLEMENT INSTRUCTIONS' page with the 'SETTLEMENT DATE' filter set to 'Last (n) calendar days'. The filter is applied to the table of instructions. The table columns include INST TYPE, FUND ID, ISIN, QUANTITY, SETTLEMENT CURRENCY, SETTLEMENT AMOUNT, and TYPE. The 'Last (n) calendar days' filter is active, and the 'Apply' button is visible.

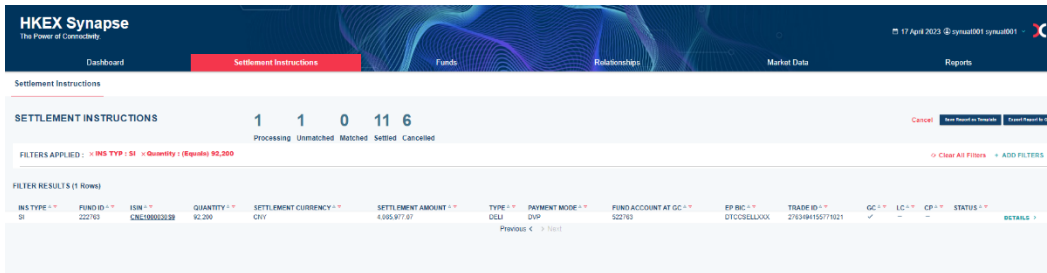
- c. String filter the participant can enter a string of text on which to filter, e.g. Fund Umbrella name

The screenshot shows the 'SETTLEMENT INSTRUCTIONS' page with the 'FUND NAME' filter. The filter is applied to the table of instructions. The table columns include INST TYPE, FUND ID, ISIN, QUANTITY, SETTLEMENT CURRENCY, SETTLEMENT AMOUNT, and TYPE. The 'FUND NAME' filter is active, and the 'Apply' button is visible.

- d. Numerical filter wherein the participant can enter an integer on which to filter, e.g. Settlement Amount



- After the AM participant adds all of the desired filters, they click 'Apply'.
- All of the desired filters will show on the top of the screen, and the Settlement Instruction List view will show the filtered results.

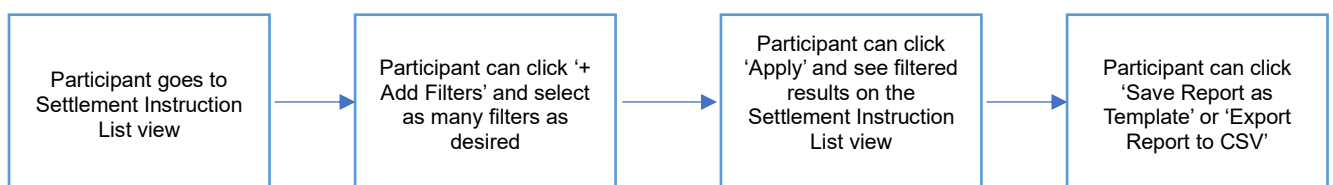


## 10.2.2 Create Report Templates

Both buy side and sell side participants can create report templates for individual use or for sharing with others.

Create report templates functionality for both buy side and sell side participants is on the Report Feature on the Settlement Instruction List view. The filters applied from the create report template functionality can be applied against all fields on the list view and details view. There is no difference in functionality for either Input Only Users or Input Authorise Users.

The sample screens below are illustrative and are from the Asset Manager participant on the Settlement Instruction List View.

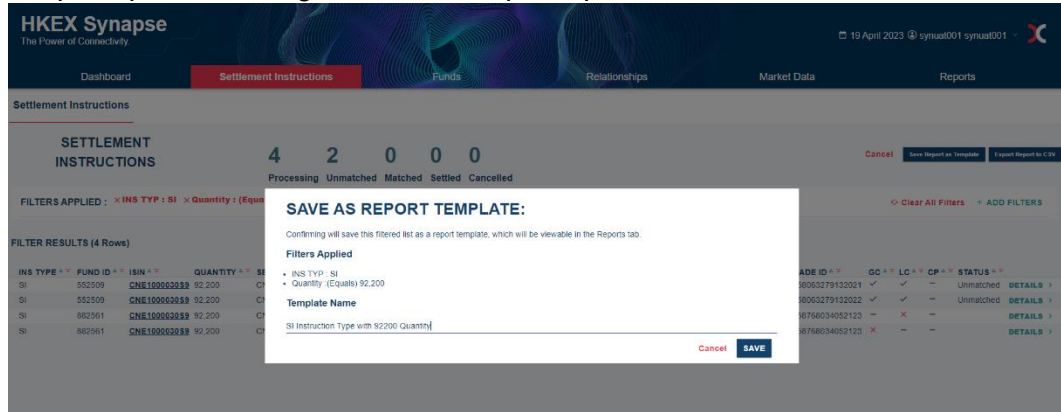


1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Settlement Instructions, the AM participant can generate a report from the Settlement Instruction List view.

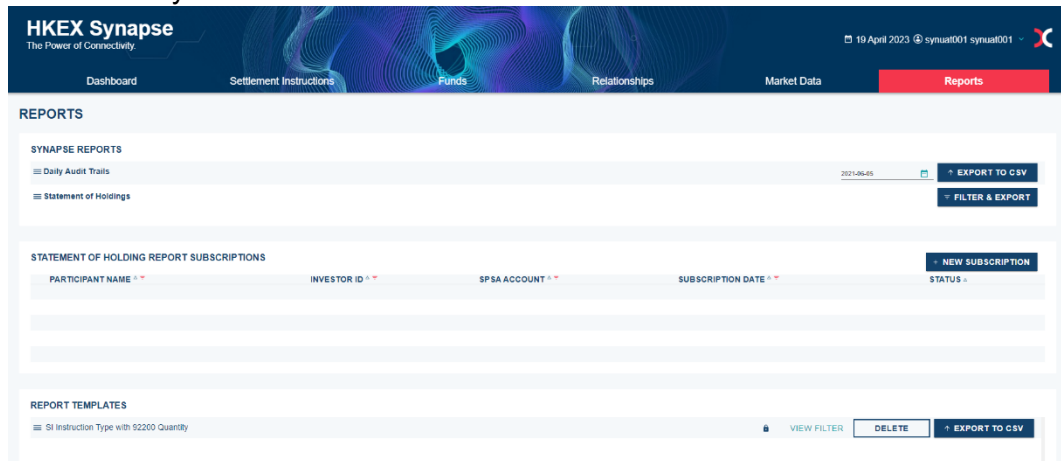
3. The AM participant can click 'Generate Report' from the Settlement Instruction List view, for example, and clicks '+ Add Filters'. Then the AM participant will see a module with a dropdown of all fields that the List view can be filtered on. There is no maximum number of filters that can be added. There are four types of filters:
  - a. Radial button to select a specific type, e.g., Payment Mode type to
  - b. Date filter wherein specific date(s) can be selected, e.g., today, range, or the last (n) calendar days
  - c. String filter wherein the participant can enter a string of text on which to filter, e.g., Fund Umbrella name
  - d. Numerical filter wherein the participant can enter an integer on which to filter, e.g., Settlement Amount
4. After the AM participant adds all of the desired filters, they click 'Apply'.
5. All of the desired filters will show on the top of the screen, and the List view will show the filtered results.

6. The AM participant can select 'Export Report to CSV' to export the filtered results into CSV format. The generated report will show the filtered results and have all of the fields that the AM participant is allowed to see.

7. The AM participant can select 'Save Report as Template' to create the report template
  - a. 'Save Report as Template' will require the AM participant to add a name to the template prior to saving. Then the AM participant clicks 'Save' button



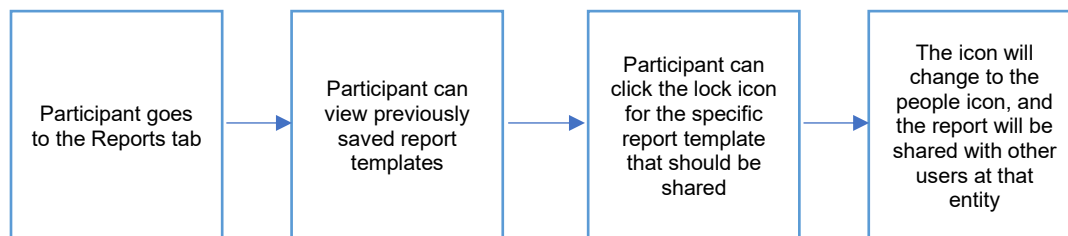
- b. Once the report template is successfully saved, the report template record is shown under the 'Report Templates' section under 'Reports' tab with a lock icon by default. The lock icon indicates that the report template has not yet been shared to anyone.



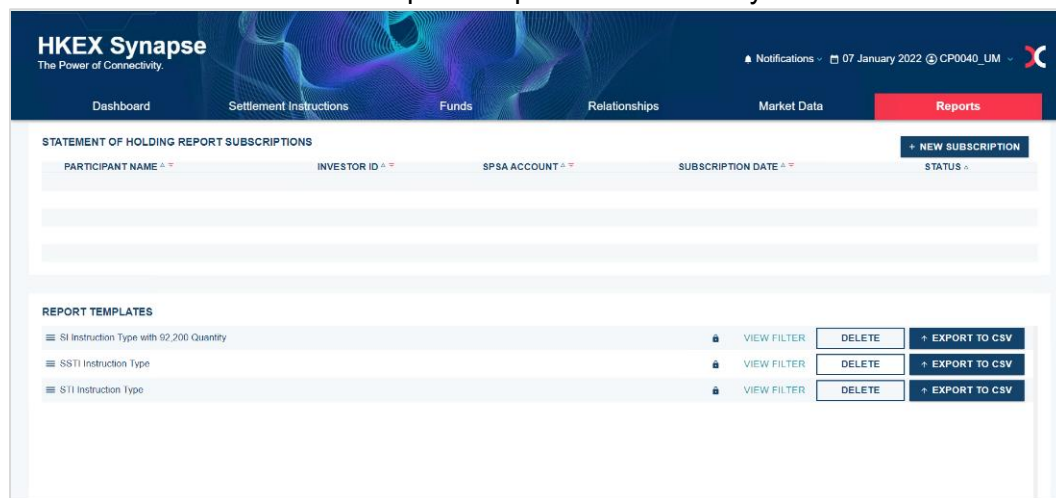
On the 'Report Templates' section under 'Reports' tab, the AM participant can click 'Export to CSV' button to export the filtered results based on the report template into CSV. Once click 'Export to CSV' button, the generated report will show the filtered results and have all of the fields that the AM participant is allowed to see. The report content is based on the latest system records as of the time of report generation.

### 10.2.3 Share Report Templates

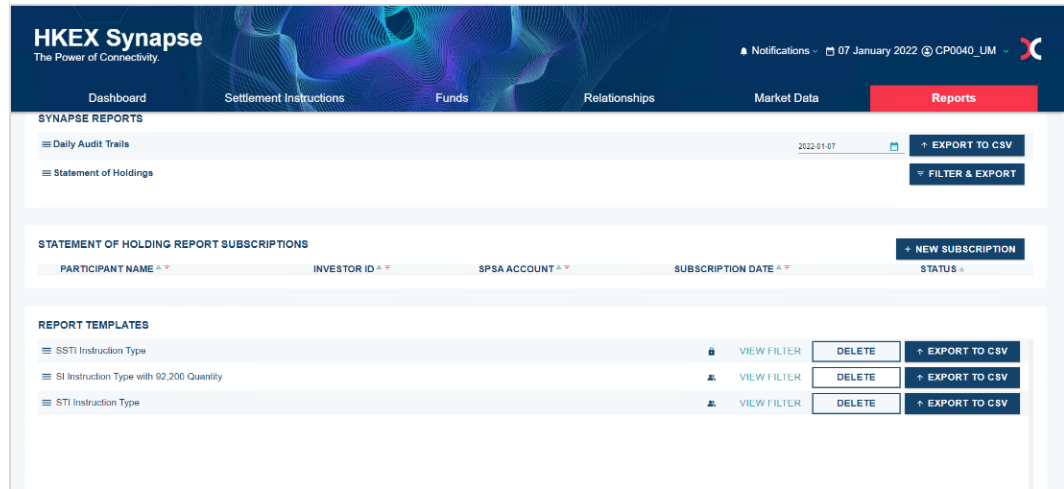
Synapse offers participants the ability to share report templates to other users within the same entity. Share report templates functionality is limited to the reports that buy side and sell side participants are allowed to see. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:
  - a. Lock icon – these are saved report templates accessed by an individual



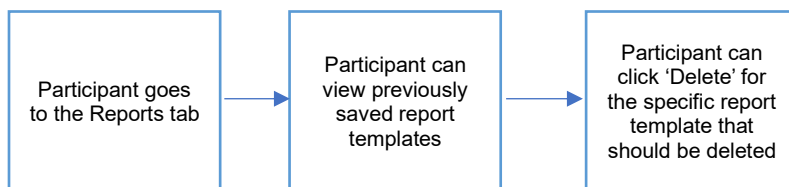
- b. People icon – these are saved report templates created and shared with multiple people within same entity



- 3. To share a report template with other users at the entity, the AM participant can click that report’s lock icon, which will change to a people icon. The report template will automatically be shared with all other users within the entity, where an additional row will immediately appear in the Report Template section for the rest of the users within that entity.
  - a. Note: If the AM participant does not want to share the report template with other users, the AM participant can click the people icon, which will change back to a lock icon. The report template will not be shared with other users immediately.

### 10.2.4 Delete Report Templates

Synapse offers participants the ability to delete previously created report templates. Delete report templates functionality is limited to the reports that buy side and sell side participants are allowed to see. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from the Asset Manager participant.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:

- a. Lock icon – these are saved report templates accessed by an individual

The screenshot shows the HKEX Synapse interface. At the top, there's a navigation bar with 'Reports' highlighted. Below it, there's a section for 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS' with search filters for PARTICIPANT NAME, INVESTOR ID, SPSA ACCOUNT, and SUBSCRIPTION DATE. A '+ NEW SUBSCRIPTION' button is on the right. Below this is a 'REPORT TEMPLATES' section with three rows:

Report Template	Lock Icon	View Filter	Delete	Export to CSV
SI Instruction Type with 92,200 Quantity	🔒	VIEW FILTER	DELETE	EXPORT TO CSV
SSTI Instruction Type	🔒	VIEW FILTER	DELETE	EXPORT TO CSV
STI Instruction Type	🔒	VIEW FILTER	DELETE	EXPORT TO CSV

- b. People icon – these are saved report templates created and shared with multiple people within the entity

The screenshot shows the HKEX Synapse interface. At the top, there's a navigation bar with 'Reports' highlighted. Below it, there's a section for 'SYNAPSE REPORTS' with two rows:

Report Template	People Icon	View Filter	Delete	Export to CSV
Daily Audit Trails	👤	VIEW FILTER	DELETE	EXPORT TO CSV
Statement of Holdings	👤	VIEW FILTER	DELETE	EXPORT TO CSV

Below this is a section for 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS' with search filters and a '+ NEW SUBSCRIPTION' button. Below that is another 'REPORT TEMPLATES' section with three rows:

Report Template	People Icon	View Filter	Delete	Export to CSV
SSTI Instruction Type	👤	VIEW FILTER	DELETE	EXPORT TO CSV
SI Instruction Type with 92,200 Quantity	👤	VIEW FILTER	DELETE	EXPORT TO CSV
STI Instruction Type	👤	VIEW FILTER	DELETE	EXPORT TO CSV

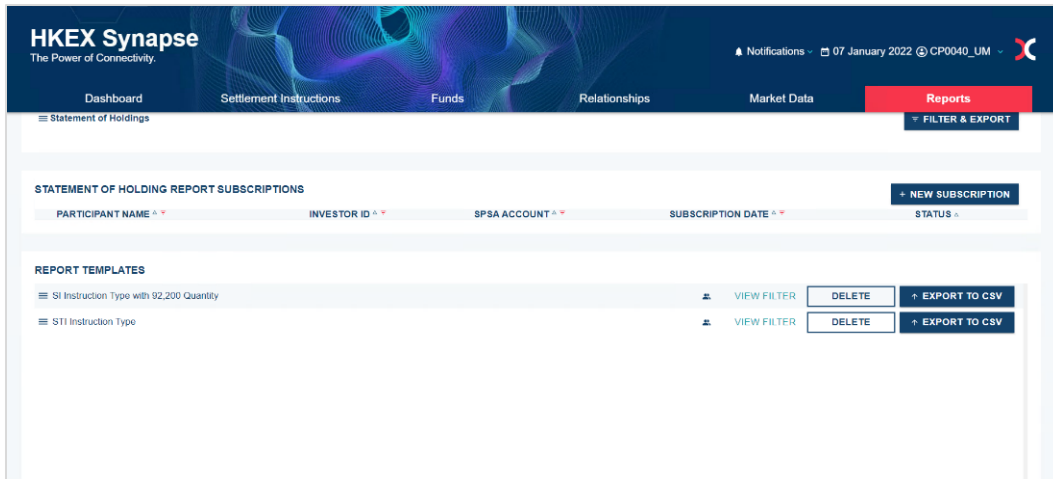
3. The AM participant can click 'Delete' on the row of the specific report template that should be deleted.

The screenshot shows the HKEX Synapse interface. At the top, there's a navigation bar with 'Reports' highlighted. Below it, there's a section for 'SYNAPSE REPORTS' with two rows:

Report Template	People Icon	View Filter	Delete	Export to CSV
Daily Audit Trails	👤	VIEW FILTER	DELETE	EXPORT TO CSV
Statement of Holdings	👤	VIEW FILTER	DELETE	EXPORT TO CSV

Below this is a section for 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS' with search filters and a '+ NEW SUBSCRIPTION' button. Below that is another 'REPORT TEMPLATES' section with three rows:

Report Template	People Icon	View Filter	Delete	Export to CSV
SSTI Instruction Type	👤	VIEW FILTER	DELETE	EXPORT TO CSV
SI Instruction Type with 92,200 Quantity	👤	VIEW FILTER	DELETE	EXPORT TO CSV
STI Instruction Type	👤	VIEW FILTER	DELETE	EXPORT TO CSV



Note: the report template will be deleted even if it is shared with multiple people within an entity, and such record under the Report Template section will also be removed for all users within that entity upon the deletion. The individuals with who the report is shared will not receive a notification for the deletion of the report template.

## 11. Error Message

In this section, we document the error messages built into Synapse and its business rules, and provide suggestions for catering the message. For examples,

1. When encountering the error message “*No action required by your end [Category (number)]*”, the participant could refer to the table below to indicate their corresponding use case/scenario for further communication with the checker.
2. When encountering the error message “*System busy. Please try again later.*”, the participant should wait and resubmit the request later.
3. When encountering the error message “*Unexpected error encountered. Please contact support. Error reference: [Trace ID].*”, the participant should capture the Trace ID shown in the error and contact Synapse Team. Further details can be referred in the table below.

Error ID	Categories	Error Message	Use Case	Business rules
1	Unexpected status upon checker approval/rejection	No action required by your end <b>[Category 1]</b>	1.1	<b>This error id is encountered due to:</b> - Unexpected status Account Profile Proposal upon checker approval/rejection
			1.2	<b>This error id is encountered due to:</b> - Unexpected status Fund Proposal upon checker approval/rejection
			1.3	<b>This error id is encountered due to:</b> - Unexpected status Fund Data Proposal upon checker approval/rejection
			1.4	<b>This error id is encountered due to:</b> - Unexpected status Fund Profile Proposal upon LC Checker approval/rejection
			1.5	<b>This error id is encountered due to:</b> - Unexpected status Fund Profile Proposal upon GC Checker approval/rejection
			1.6	<b>This error id is encountered due to:</b> - Unexpected status Fund Profile Proposal upon GC Reappointment approval/rejection
			1.7	<b>This error id is encountered due to:</b> - Unexpected status Fund Profile Proposal upon checker approval/rejection
			1.8	<b>This error id is encountered due to:</b> - Unexpected status Fund Profile Proposal upon inactivation approval/rejection
			1.9	<b>This error id is encountered due to:</b> - Rejecting Fund Profile Proposal not in pending approval while status is GC Maker Approved or GC Rejected
			1.10	<b>This error id is encountered due to:</b>

Error ID	Categories	Error Message	Use Case	Business rules
				- Rejecting Fund Profile Proposal not in pending approval while status is LC Maker Approved or LC Rejected
			1.11	<b>This error id is encountered due to:</b> - Rejecting Fund Profile Proposal not in pending approval or GC Rejected
			1.12	<b>This error id is encountered due to:</b> - Unexpected status Variable Fee Proposal upon checker approval/rejection
			1.13	<b>This error id is encountered due to:</b> - Unexpected status SOH Subscription Proposal upon checker approval/rejection
			1.14	<b>This error id is encountered due to:</b> - Unexpected status Broadcast Message Proposal upon checker approval/rejection
2	Unexpected status upon checker amendment	No action required by your end <b>[Category 2]</b>	2.1	<b>This error id is encountered due to:</b> - Unexpected status Fund Profile Proposal upon checker amendment
			2.2	<b>This error id is encountered due to:</b> - Unexpected status Fund Proposal upon checker amendment
			2.3	<b>This error id is encountered due to:</b> - Unexpected status Standard Fee Proposal upon checker amendment
3	Not Active	No action required by your end <b>[Category 3]</b>	3.1	<b>This error id is encountered due to:</b> - Billing Fee is not Active during amendment
			3.2	<b>This error id is encountered due to:</b> - Fund Data is not Active during inactivation
			3.3	<b>This error id is encountered due to:</b> - Fund Data is not Active during amendment
4	System busy	System busy. Please try again later.	4.1	<b>This error id is encountered due to:</b> - System busy. Participant should wait and resubmit the request later.
5	Unexpected error encountered	Unexpected error encountered. Please contact support. Error reference: <b>[Trace ID]</b> .	5.1	<b>This error id is encountered due to:</b> - Unexpected backend error. Participant should capture the Trace ID and contact the Synapse Team  Note: The participant must provide the Trace ID from the error message when requesting Synapse Support.

## 12. API Connectivity

### 12.1 API Specification Documentation

Synapse applicants / Existing Synapse users who will access Synapse via API are required to develop their system according to the following documentation.

Document	Description
API Specification and Programming Guide – Functional Drop 6 (Jan 2024)	Functionality of the API and the recommended programming guidelines for participants.
API Specification - Java and JavaScript sample codes	Sample program to illustrate how to execute different Synapse API functionalities.
OpenAPI and AsyncAPI Specification	OpenAPI and AsyncAPI Specifications that cover features described in the API Specification and Programming Guide.
Sample Requests and Responses for Core Functionality	Sample requests and responses to the core functionalities described in the API Specification and Programming Guide.
Single Combined View (SCV) Business Description – Functional Drop 6 (Jan 2024)	Detail description of each SCV field and corresponding visibility matrix.

Synapse applicants / Existing Synapse users can reach out to [CDCO\\_CAS@hkex.com.hk](mailto:CDCO_CAS@hkex.com.hk) for accessing the above API documentation.

## **13. ISO Connectivity**

### **13.1 How to submit CUG request in MySwift**

Please refer to “SWIFT Connectivity Setup Guide” available on HKEX Synapse website.

## **14. Billing of Synapse Fees**

Synapse Fees are waived until further notice. Upon Hong Kong Securities Clearing Company Limited (“HKSCC”) decides to end that fee waiver, this section will describe the billing process for Synapse related fees.