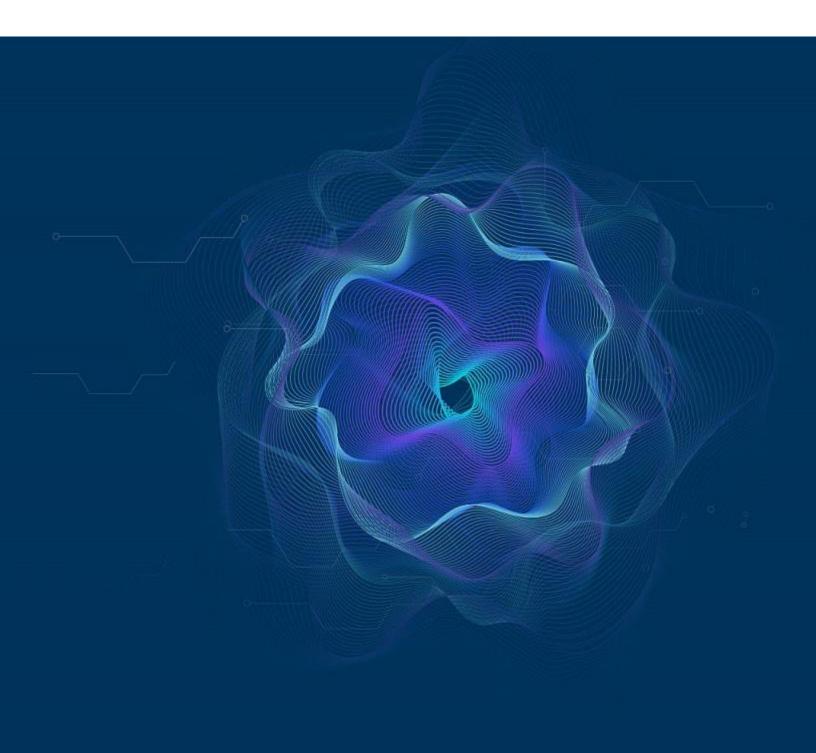


23 September 2024

# **HKEX Synapse** User Guide



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#### Versions

Publication Date	Version
23 Sep 2024	Version 1.4 published
[Current]	<ul> <li>Version 1.4 published</li> <li>Remove section 2.2 Severe Weather Arrangements</li> <li>Update section 4.3 Synapse Dashboard <ul> <li>Remove the wording "No Further Processing" from the CCASS exceptions alert message</li> </ul> </li> <li>Update section 5.1 Fund Onboarding <ul> <li>Update section 6.1 Account Onboarding</li> <li>Update the length size GC's Account at LC to 15</li> </ul> </li> <li>Update section 7.1.2 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</li> <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>Update section 7.6 Health Check to add a new health check item: "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>
05 Feb 2024	Version 1.3 published
001602024	<ul> <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> </ul>

Publication Date	Version
	<ul> <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	<ul> <li>Version 1.2 published</li> <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> <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	<ul> <li>Version 1.1 published</li> <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 HKEX Synapse Operations Team via phone at +852 2840-3048 from HKT 9:00 AM – 8:00 PM or email at <u>synapse\_support@hkex.com.hk</u> for general enquiries.

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> <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	All functions (including interface with CCASS) will be available		
8:06 PM	12:00 Midnight	<ul> <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	Synapse will be in maintenance mode and none of its functions will be available		

## 2.2 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

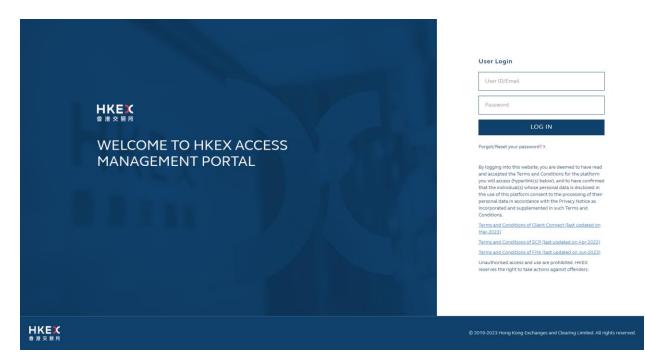
- 1. The AM and EP, are required to be connected to a matching platform provider eligible to send matched instructions to Synapse. Clients requiring further information on the eligible matching platform providers may contact HKEX Synapse Operations Team.
- The buy-side (i.e. AM, GC and LC) and sell-side (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



Synapse user could log into Synapse by entering this URL on the web browser: <u>https://synapse.hkex.com.hk/</u>.<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.

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

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

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

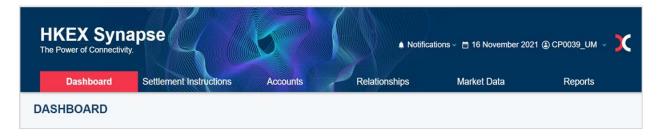
#### **Buy-side Dashboard:**

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.

HKEX Synapse The Power of Connectivity.		5	A Notificatio	ons 🐇 🛗 16 November 202	21 @ CP0039_UM 🗸 🚶	2
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
DASHBOARD						

#### 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> <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> <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> <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>	<ul><li>7 Instruction</li><li>Processing</li><li>8 Relationships</li><li>9 Market Data</li><li>10 Reports</li></ul>
EU_Transaction Balances (checker role)	Transaction Balance Input Authorise User ('Maker' or 'Checker')	<ul> <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> <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:

CEX Synapse ower of Connectivity.		🗎 23 August	2022 (a) synuat011 synuat011
Dashboard Settlement Inst	nuctions Funds Relations	hips Market Data	ACTING AS:
HBOARD			Identity: Asset Manager
SETTLEMENT INSTRUCTION S	FUND PROFILES + New Fund	NOTIFICATIONS	SYN User Role Type: Input-Only
O Allocation Received O Processing in Synapse O Unmatched O Matched O Settled	O Awaiting AM Checker Approval O Awaiting GC Approval O Awaiting LC Approval	<ul> <li>Funds (0)</li> <li>PREVIEW ~</li> <li>Participants (0)</li> <li>PREVIEW ~</li> <li>Relationships (0)</li> <li>PREVIEW ~</li> <li>CCASS Exceptions (0)</li> <li>PREVIEW ~</li> <li>Sis (0)</li> <li>PREVIEW ~</li> </ul>	Fundon 2: Transaction Balances     Ref Type Input Only     Function 3: Data Manager Ref Type: Input Only     Ulegeut
0 Cancelled			

	KEX Synapse		🗄 23 August 2022 🛞 synuat071 synuat071 🔒 🕽		
				Organization: SynComp511	
	Dashboard Settlement Instructions	Funds Relationships	Market Data	ACTING AS: dentity: Global Custodian	
DAS	HBOARD				
	SETTLEMENT INSTRUCTION SO	FUND PROFILES®	NOTIFICATIONS	Function 1 : Transaction-Balances Role Type: Input-Only	
	15 Allocation Received	O Awaiting GC Maker Approval	Funds (13)	SYN User	
	3	0	Participants (0)	Role Type: Input-Only	
	Processing in Synapse	Awaiting GC Checker Approval	PREVIEW -	Function 3 : Data Manager	
	1	0	Relationships (0)	Role Type: Input-Only	
	Unmatched	Awaiting LC Approval	PREVIEW 👻	்Logout	
	0 Matched		CCASS Exceptions (0)		
	9		PREVIEW 👻		
	Settled		SIS (153) PREVIEW		
	2				
	Cancelled				

# LC:

Dashboard         Settlement Instructions         Funds         Relationships         Market Data         ACTING As:           Least Description         Least Description         Least Description         Least Description	HKEX Synapse The Power of Connectivity.				🗎 23 August 2	2022 (3) synuat141 synuat141 🔨 🕽
SETLEMENT INSTRUCTIONS®       FUND PROFILES®       NOTIFICATIONS       Funds (12)	Dashboard	Settlement Instructions	Funds	Relationships	Market Data	dentity:
SETLEMENT INSTRUCTIONS®     FUND PROFILES®     NOTIFICATIONS       15 Allocation Received     0 Awaiting LC Maker Approval        • Funds (12) PREVIEW *         • Funds (12) PREVIEW *         • Funds (12) PREVIEW *        1 0 Awaiting LC Checker Approval        • Avaiting LC Checker Approval        • Funds (0) PREVIEW *         • Funds (0) PREVIEW *        1 0 Awaiting LC Checker Approval        • CcARS Exceptions (0) PREVIEW *         • funds (0) PREVIEW *        9 settled        • Stis (153) PREVIEW *         • Stis (153) PREVIEW *        2        • Cochest = Coche	DASHBOARD					Local Custodian
15 Allocation Received     0 Awaiting LC Maker Approval     + Funds (12) PREVIEW *     • Funds (12) PREVIEW *       3 Processing in Synapse     0 Awaiting LC Checker Approval     • Participants (0) PREVIEW *     • Participants (0) PREVIEW *       1 Unmatched     • Relationships (0) PREVIEW *     • CCASS Exceptions (0) PREVIEW *     • Classed       9 settled     • Sis (153) PREVIEW *     • Classed       2     • Sis (153) PREVIEW *     • Sis (153) PREVIEW *	SETTLEMENT INSTRUCTIO	NS®	FUND PROFILES®		NOTIFICATIONS	Data Manager
	Allocation Received 3 Processing in Synapse 1 Unmatched 0 Matched 9		Awaiting LC Maker Approval		PREVIEW   Participants (0) PREVIEW   Relationships (0) PREVIEW   CCASS Exceptions (0) PREVIEW   Sits (153)	<ul> <li>Function 2 : SYN User</li> <li>Rela Type: Input-Only</li> <li>Function 3: Transaction-Balances</li> <li>Role Type: Input-Only</li> </ul>

#### AMOO:

he Power of Connectivity.			☐ 24 August 2022	Synuat391 synuat391     Organization:     SynComp556
Dashboard	Settlement Instructions	Funds Relation	onships Market Data	ACTING AS:
ASHBOARD				AM Outsourcing Operator
SETTLEMENT INSTRUCTIO	NS ₪	FUND PROFILES + New Fund	NOTIFICATIONS	Function 1 : Data Manager
O Allocation Received		1 Awaiting AM Checker Approval	♣ Funds (0) PREVIEW ▼	Role Type: Input-Only
0 Processing in Synapse		O Awaiting GC Approval	Participants (0) PREVIEW	⊘ Role Type: Input-Only () Logout
0 Unmatched		O Awaiting LC Approval	▲ Relationships (0) PREVIEW	Cogour
0 Matched			CCASS Exceptions (0)	
0 Settled			▲ Sis (0) PREVIEW ▼	
0			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:

					🗎 23 August 2	1022 (i) synuat211 synuat211 🚊 🚶
_						Drganization: SynComp531
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
	HBOARD					Identity: Exchange Participant
DAU	IIBOARD					Function 1 : SYN User
	SETTLEMENT INSTRUCTION	N S 🖲	ACCOUNTS + New Account		NOTIFICATIONS	Role Type: Input-Only
	15		0		Accounts (6)	Function 2 : Transaction-Balances
	Allocation Received		Awaiting EP Checker Approval		PREVIEW 👻	
	5		0		Participants (0)	Role Type: Input-Only
	Processing in Synapse		Awaiting CP Approval		PREVIEW -	Function 3 : Data Manager
	1				Relationships (0)	Role Type: Input-Only
	Unmatched				PREVIEW -	()Logout
	0				CCASS Exceptions (0)	
	Matched				PREVIEW -	
	8					
	Settled				SIS (153) PREVIEW	
	1					
	Cancelled					

#### CP:

e Power of Connectivity.			2022 (a) synual281 synual281 Organization: SynComp541
Dashboard Settlem	ent Instructions Accounts Relation	iships Market Data	ACTING AS:
SHBOARD			Identity: Clearing Participant
SETTLEMENT INSTRUCTION S	ACCOUNTS®	NOTIFICATIONS	Function 1 : SYN User Role Type: Input-Only
15 Allocation Received	O Awaiting CP Maker Approval	Accounts (6)	Function 2 : Transaction-Balances
5 Processing in Synapse	O Awaiting CP Checker Approval	♣ Participants (0) PREVIEW ▼	Role Type: Input-Only
1 Unmatched		Relationships (0)	Role Type: Input-Only
0 Matched		CCASS Exceptions (0)	
8 Settled		♠ SIs (153)	
1 Cancelled		PREVIEW 👻	

## EPOO:

	<b>(EX Synapse</b> Power of Connectivity.				🗎 24 August 2022 👁 Acting As: SynComp532 🗸	synuat431 synuat431     Grganization:     SynComp552
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
DASI	HBOARD					EP Outsourcing Operator
	SETTLEMENT INSTRUCTION	IN S 🗉	ACCOUNTS + New Account		NOTIFICATIONS	Function 1: SYN User
	O Allocation Received		O Awaiting EP Checker Approval		Accounts (0) PREVIEW	Role Type: Input-Only
	O Processing in Synapse		O Awaiting CP Approval		Participants (0) PREVIEW ▼	Role Type: Input-Only
	0 Unmatched				▲ Relationships (0) PREVIEW	Role Type: Input-Only
	0 Matched				CCASS Exceptions (0)	()Logout
	0 Settled				🜲 Sis (0)	
	O Cancelled				PREVIEW 👻	

AO:

HKEX Synapse The Power of Connectivity.			<b>⊟</b> 24	August 2022 ⊗ Acting As: SynComp542 ∨	synual351 synual351     Grganization:     SynComp551
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
DASHBOARD					Account Operator
SETTLEMENT INSTRUCTIO	N S ®	ACCOUNTSE		NOTIFICATIONS	SYN User Role Type: Input-Only
0 Allocation Received		O Awaiting CP Maker Approval		Accounts (0) PREVIEW	Function 2 : Data Manager
O Processing in Synapse		O Awaiting CP Checker Approval		Participants (0) PREVIEW ▼	Role Type: Input-Only
0 Unmatched				Relationships (0)	Cole Type: Input-Only
0 Matched				CCASS Exceptions (0)	Contraction
0 Settled				A SIs (0)	
0 Cancelled				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-	Description
header	
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	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.
	Transactions with the following Synapse status are included into that counter:
	<ul> <li>RJGC – rejected by Global Custodian – transaction is rejected by Global Custodian</li> </ul>
	<ul> <li>RJLC – rejected by Local Custodian – transaction is rejected by Local Custodian</li> </ul>
	<ul> <li>RJCP – rejected by Clearing Participant – transaction is rejected by Clearing Participant</li> </ul>
	<ul> <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>
	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.
Unmatched	Shows the total number of Settlement Instructions (SI) with CCASS status "Unmatched" on current HKT business day and within the past 31 calendar days.
	Transactions with the following CCASS status are included into that counter:
	<ul> <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> </ul>
	DDAT – settlement date unmatched
Matched	DELN – transaction direction unmatched     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.     The CCASS statuses supported by Synapse are:
	<ul> <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	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. The CCASS statuses supported by Synapse are:
Cancelled	SETD – settled     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.	
The CCASS statuses supported by Synapse are:	
<ul> <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)

Section Sub-	Description
header	
New Fund Quick Button	Navigate to New Fund creation page
Fund Profile Status	<ul> <li>AM View</li> <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> <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 – the count represents the number of funds that are pending GC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending GC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending 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> <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 – the count represents the number of funds that are pending LC Data Manager Input Only User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Mana</li></ul>

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

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

Section Sub-	Description
header New Account Quick Button	Navigate to New Account creation page
Account Status	<ul> <li><u>EP View</u></li> <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> <li><u>CP View</u></li> <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 – the count represents the number of accounts that are pending CP Data Manager Input Only User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending 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>

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

#### 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-	Description
header	
Funds	(available to buy side users only)
	Fund notifications include:
	Updated fund status and effective date
	Fund profile inactivation and effective date
	LC re-appointment of a Fund and effective date
Accounts	(available to sell side users only)
	Account notifications include:
	EP updated account mapping status with CP and effective date
	Account mapping inactivation and effective date
Relationships	Reserved for future's use
Settlement	Settlement Instructions notifications include:
Instructions	Settlement Instruction detail is updated due to Corporate Action (CA)
	conversion in CCASS
	Settlement Instruction is pending cancellation

	• Settlement Instruction is settled in CCASS, and no cancellation can
	be taken
CCASS	CCASS Exception notifications include:
Exceptions	SI system error
(LC, CP, AO	STI system error
only)	Manual SI field amendment by LC / CP in CCASS.
	Manual ISIN amendment
	Manual quantity amendment
	Manual settlement currency amendment
	Manual securities movement type amendment
	Manual UTI amendment
	Manual counterparty amendment
	Manual client account no. amendment
	Manual payment type amendment
	<ul> <li>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:</li> <li>1) 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>2) CA conversion causing possible ISIN / quantity change of the SI</li> </ul>

### List of Notifications:

Туре	Νο	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 on [EFFECTIVE DATE].	After LC Checker approves the amended fund profile.	GC, LC

Туре	No	Display Tag	When Display	Applicable User Type
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: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	After Synapse consumed the cancellation SN from CTM.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
	3	Settlement Instruction (Trade ID: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	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 Amendment: [SI Number]	After the LC / CP amended the settlement currency of the unmatched / matched SI in CCASS.	LC, CP, AO

Туре	Νο	Display Tag	When Display	Applicable User Type
	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" +	When the following CCASS API error code is encountered:	LC, CP, AO
		"MESSAGE" : [SI Number]	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 by on / after clearing admission date of stock	
			2090: Stock is not eligible to CCASS (Stock not yet admit)	
			3017: Counterparty not found	

Туре	No	Display Tag	When Display	Applicable User Type
			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	LC, CP, AO
			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	

## 5. Funds

## 5.1 Fund Onboarding

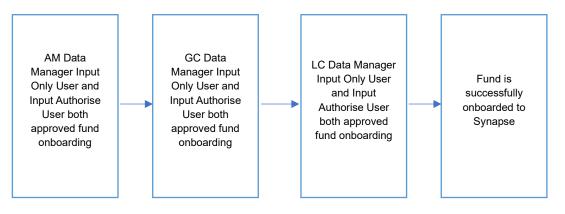
Fund Profile is required to be setup before Synapse creates the Settlement Instructions ("SIs") or Stock Segregated Account Transfer Instruction ("STIs") in CCASS of HKSCC. When a Fund is successfully onboarded, it will have one fund profile associated with it, and buy side users can create multiple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

HKEX Synapse te Power of Connectivity.		a 23 August 2	2022 (a) synuat011 synuat011
Dashboard Settlement Instructions	Funds Relationships	Market Data	ACTING AS:
SHBOARD			Identity: Asset Manager
SETTLEMENT IN STRUCTION S®	FUND PROFILES + New Fund	NOTIFICATIONS	<ul> <li>Function 1 : SYN User</li> <li>Role Type: Input-Only</li> </ul>
O Alocation Received O Processing in Synapse O Unmatched O Matched O Settled	O Awailing AM Checker Approval O Awailing GC Approval O Awailing LC Approval	<ul> <li>Funds (0)</li> <li>PREVIEW ~</li> <li>Participants (0)</li> <li>PREVIEW ~</li> <li>Relationships (0)</li> <li>PREVIEW ~</li> <li>CCASS Exceptions (0)</li> <li>PREVIEW ~</li> <li>\$ Sis (0)</li> </ul>	Sunction 2: transaction Balances     Gas Type Guput Christ Data Manager Data Manager Data Manager Mas Type noput Christ Utagout
O Cancelled		PREVIEW 👻	

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.

HKEX The Power of C	Synapse	<u> </u>	S		<b>=</b> 2:	3 August 2022 🕃 synuat011 synuat011 🗸 🚶
Da	ishboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
FUNDS	O Awaiting AM C	0 hecker Approval Awaiting GC App	O roval Awaiting LC Approva	1		Q Search Generate Report + New Fund
FUND ID A 🔻	FUND NAME A T	GC NAME A T FUND ACCOU	NT AT GC <sup>⊽</sup> ▼ INV	VESTOR ID A T SPSA A T	FUND EFFECTIVE DATE	

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".

HKEX Synapse The Power of Connectivity.		<b>2</b> 27	August 2022 @ synuat011 synuat011 🕤 🔀
New Fund			Cancel Next
Ste	p 1/2 — Please provide the following Fund information:		
	FUND DETAILS		
	* Fund Name :	Fidelity Asia Fund 2679	-
	Fund LEI :	549300N66LYETIGSH359	_
	Fund Umbrella :	Fidelity Global Fund	-
	Fund Domicile :		-
	* Fund ID :	342679	-
	Fund Alternate ID :	342668	-
	DEFAULT SETTLEMENT MODE :		
HKEX Synapse The Power of Connectivity.		<b>2</b> 27	August 2022 @ synuat011 synuat011 🤟 🂢
New Fund			Cancel Next
	Fund Domicile :	НК	-
	* Fund ID :	342679	_
	Fund Alternate ID :	342668	-
	DEFAULT SETTLEMENT MODE :		
	* Settlement Mode - Buy Trade :	DVP	<u>.</u>
	* Settlement Mode - Sell Trade :	FOP	
	FUND PROFILE PROCESSING DETAILS :		
	* Fund Effective Date :	2021-06-06 🗎	-
HKEX Synapse The Power of Connectwity. New Fund	p 2/2 — Please provide the following information to create the fund		August 2022 @ symuat011 symuat011 ~ X Cancel + Back Submit
Ste	p 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 :	9004859	
	GC Name :	SynComp51	
	GC LEI :	222200N66LBBAAGSH88	
	GC DN :	cn=invfunds,ou=80a,o=creschz	2
	LOCAL CUSTODIAN DETAILS:		
	* Investor ID •	200012	

HKEX Synapse The Power of Connectivity.		🖻 23 August 2022 @ symual011 symual	ni ~ 🗙
New Fund		Cancel (+ Ba	ick Subm
	GC DN :	cn=invfunds,ou=80a,o=creschzz	
	LOCAL CUSTODIAN DETAILS:		
	* Investor ID :	300013	
	SPSA:	8000001	
	LC Name :	SynComp521	
	LC CCASS ID :	C00016	
	LC LEI :	621344ABC32JRTFGR421	
	LC BIC :	JMPPMJ55XXX	
	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	▲The record already exist.	Cancel ← Back Submit	
Step 2	2/2 — Please provide the following information to create the f	und's first Fund Profile:	
	GLOBAL CUSTODIAN DETAILS:		
	* GC BIC :	FIVCGB21XXX	
	* Fund Account at GC :	542654	
	GC Name :	SynComp511	
	GC LEI :	222200N66LBBAAGSH888	
	GC DN :	cn=invfunds,ou=80a,o=creschzz	

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
Fund Name	The Legal Entity name of the Fund	String	70	М	N/A	Y – For Fund Data
Fund LEI	Legal Entity Identifier for the Fund	String	20	0	N/A	N
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	0	Max 50 characters	N
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1-alpha-2 code	String	2	0	2 characters	N

Field Name	Description	Туре	Size	Mandatory or Optional	Syntax Validation	Contract Key* (Y/N)
				(M/O)		
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	0	N/A	N
Fund Account at GC	Account No. for Fund at GC	String	20	М	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	М	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: • SPSA Account #	String	6	Μ	N/A	Ν

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
	LC Name     LC     CCASS     Participant     ID     LC LEI     LC BIC     LC DN					
	Note: Investor ID is also known as "SPSA ID" in CCASS Rules					

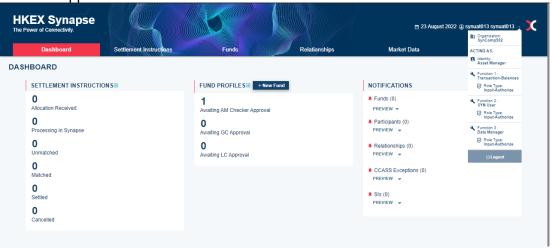
\*Note: Fields that are "Y" for the Contract Key column would be required for semantic validation. Synapse validates if the Contract Key value entered is not existing in Synapse onboarded fund, and the Contract Key fields would not be editable after submission (please refer to section 2.6 Edit Fund Details 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.:

- a. For Fund Data, the combination of Contract Keys (i.e. Fund Name + Fund ID) must not exist in the onboarded fund; and
- b. 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.

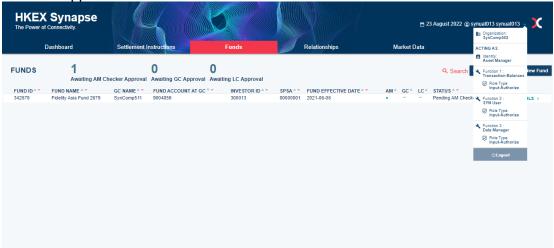
HKEX The Power of	Synapse				🗖 23 Augus	1 2022 🕃 synuat011 synuat011 🗸 💢
	Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
FUNDS	<b>1</b> Awaiting AM Ch	O ecker Approval Awaiting (	C Approval Awaiting LC Approval		م	Search Generate Report + New Fund
FUND ID 4 7	FUND NAME A T Fidelity Asia Fund 2679	GC NAME - FUND AC SynComp511 9004859	COUNT AT GC * • INVESTOR ID * • 300013	SPSA A T FUND EFFECTIVE DATE A T 80000001 2021-06-06	AM △ GC △ LC △ STATU • Pendin	S A T DETAILS >

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.

4. The AM Data Manager Input Authorise User can review the fund details and click "Approve".

barding Details: FUND ID 342679				← Back to Fund List × Reject
Onboarding Status:				× Dalete Fund Creation
AM Maker: Approved ~	AM Checker: Pending Approval	GC:Pending	LC: Pending	Status: Inactive
EUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 2679		Fund Account at GC:	9004859
Fund LEI:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH888
Fund Umbrella:	Fidelity Global Fund		GC BIC:	FIVCGB21XXX
Fund Domicile:	HK		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:	342679 342668			
Fund Alternative ID (Optional):	342000		l .	
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	300013
Anthenese Marker Breez Trades	DVP		LC Name:	SynComp521
Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	EOP		LC CCASS ID:	C00016
Settlement Mode - Sell Trade:	FOP		LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XXX
Tono Thomee Those sound between			LC DN:	cn=invfunds.ou=80a.o=creschzz
Fund Effective Date:	2021-06-06		SPSA:	80000001

5. 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.

rding Details: FUND ID 342679				←Bac
Onboarding Status:				× Delete Fund Profile
AM Maker: Approved ~	AM Checker: Approved ~	GC:Pending	LC:Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
			GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:			GLOBAL COSTODIAN DETAILS:	
Fund Name:	Fidelity Asia Fund 2679		GC Name:	SynComp51
Fund LEI:	549300N66LYETIGSH359		Fund Account at GC:	900485
Fund Umbrella:	Fidelity Global Fund		GC LEI:	222200N66LBBAAGSH88
Fund Domicile:	HK		GC BIC:	FIVCGB21X0
Fund ID:	342679		GC DN:	cn=invfunds,ou=80a,o=cresch:
Fund Alternative ID (Optional):	342668			
r una viternaure ib (optional)	012000		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	3000
Settlement Mode - Buy Trade:	DVP		LC Name:	SvnComp52
Settlement Mode - Sell Trade:	EOP		LC CCASS ID:	C000
Settlement mode - Sell Hade:	FUP		LC LEI:	621344ABC32JRTFGR42
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XX
			LC DN:	cn=invfunds,ou=80a,o=cresch:
Fund Effective Date:	2021-06-06		SPSA:	800000

- 6. The GC Data Manager Input Only User will be informed that a fund onboarding is ready for their review in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting GC Maker Approval"
  - b. 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:**

1. 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.

arding Details: FUND ID 553182				←Back to Fund List × Reje
Onboarding Status:				× Delete Fund Creation
AM Maker: Approved ~	AM Checker: Pending Approval	GC:Pending	LC: Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
I.			GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:			GEODAE COSTODIAN DETAILS.	
Fund Name:	Fidelity Asia Fund 3182		GC Name:	SynComp51
Fund Name: Fund LEI:	549300N66LYETIGSH359		Fund Account at GC:	54318
Fund Umbrella:	Fidelity Global Fund		GC LEI:	222200N66LBBAAGSH88
Fund Ombrena: Fund Domicile:	HK		GC BIC:	FIVCGB21XX
Fund ID:	553182		GC DN:	cn=invfunds,ou=80a,o=crescha
Fund Alternative ID (Optional):	777777			
runa vitamatre io (optional).				
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	30001
Settlement Mode - Buy Trade:	DVP		LC Name:	SynComp52
Settlement Mode - Sell Trade:	DVP		LC CCASS ID:	C0001
Settlement mode - Sell Haue;	DVP		LC LEI:	621344ABC32JRTFGR42
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XX
			LC DN:	cn=invfunds,ou=80a,o=creschz
Fund Effective Date:	2021-06-05		SPSA:	800000

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".

HKEX Synapse		☐ 26 August 2022 ③ synuat003 synuat003 → X
Initial Onboarding Details: FUND ID 553182		←Back to Fund List ×Reject ✓Approve
Onboarding Status: AM Maker: Approved ~ FUND DETAILS	FUND ONBOARDING REJECTION: Please provide a comment below: Comment	C Bran Find Creator
FUND DETAILS: Fund Name: Fund LEI: Fund Umbrella:		SynComp511 541122 2222001\66LBBAAGSH889 7222001\66LBBAAGSH889
Fund Domicile: Fund ID: Fund Alternative ID (Optional):	Cancel	cn=invfunds.ou=80a.o=creschzz
DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:		300013 SynComp521 C00016 621344ABC32JRTFGR421 JMPPMJSSCX
Fund Effective Date:	2021-06-05 SPSA:	cn=invfunds,ou=80a,o=creschzz 80000001
HKEX Synapse The Power of Connectivity. Initial Onboarding Details: FUND ID 553182		26 August 2022 @ synuat003 synuat003 → X +Back to Fund List ×Reject ✓Approve
Onboarding Status:	FUND ONBOARDING REJECTION: Please provide a comment below:	X Delate Pure Creation
FUND DETAILS	Reason to reject	
Fund Name: Fund LEI: Fund Umbrella: Fund Domicile: Fund ID:		SynComp511 543182 222200166LBBAAG5H889 FIVCGB2100X cn=invfunds.ou=80a.o=creschzz
Fund Alternative ID (Optional):	Cancel	Submit
Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:		300013 SynComp521 621344ABC320016 621344ABC3204TFGR421 JMPPMJSSCX
FUND PROFILE PROCESSING DETAI	2021-06-05 SPSA:	cn=invfunds;ou=80a,o=creschzz 80000001

- 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"

I	Dashboard	Settlement I	nstructions	I	Funds		Relationships	М	arket [	Data	Reports	
FUNDS	3 Awaiting AM C	hecker Approval	1 Awaiting GC Approval	<b>1</b> Awaitir	ng LC Approval						<b>Q</b> Search Generate Report	+ New Fund
FUND ID 🗠 🔻	FUND NAME A	GC NAME A T	FUND ACCOUNT AT GC	⊽ ₹	INVESTOR ID 4 7	SP SA 🌣 🔻	FUND EFFECTIVE DATE	AM ^	GC △	LC ≜	STATUS A T	
555555	Fidelity Asia Fund	SynComp511	552194		600002	80000002	2021-06-05	~	1	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546272		600002	80000001	2021-06-05	~	× .	$\checkmark$	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	~	1	•	LC Maker Approved	DETAILS >
553182	Fidelity Asia Fund 3182	SynComp511	543182		300013	80000001	2021-06-05	-	-	-	AM Checker Rejected	DETAILS >
553181	Fidelity Asia Fund 3181	SynComp511	543181		300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS
553180	Fidelity Asia Fund 3180	SynComp511	543180		300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	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	
552102	Fidelity Asia Fund 2102	SynComp511	542102		300013	80000001	2021-06-05	~	×	$\checkmark$	Active	
552014	Fidelity Asia Fund	SynComp511	542014		300013	80000001	2021-06-05	~	1	1	Active	DETAILS >

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

X Synapse of Connectivity.			🗎 26 August 2022 ④ synuat001 synuat0
arding Details: FUND ID 553182			←Back
Onboarding Status:			× Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected × •	GC:Pending LC:Pending	Status: Inactive
FUND DETAILS	Z Edi	FUND PROFILE 1 DETAILS	🖌 Edt
FUND DETAILS:		GLOBAL CUSTODIAN DETAILS:	
		GC Name:	SynComp511
Fund Name: Fund LEI:	Fidelity Asia Fund 3182 549300N66LYETIGSH359	Fund Account at GC:	543182
Fund LEI: Fund Umbrella:		GC LEI:	222200N66LBBAAGSH889
Fund Ombrella: Fund Domicile:	Fidelity Global Fund HK	GC BIC:	FIVCGB21XXX
Fund Domicile: Fund ID:	553182	GC DN:	cn=invfunds,ou=80a,o=creschzz
	777777		
Fund Alternative ID (Optional):	11111		
		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:	300013
Settlement Mode - Buy Trade:	DVP	LC Name:	SvnComp521
Settlement Mode - Sell Trade:	DVP	LC CCASS ID:	C00016
Settlement woue - Sen Hade.	DVF	LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:		LC BIC:	JMPPMJ55XXX
TOND THOME TROCESSING DETAILS.		LC DN:	cn=invfunds.ou=80a.o=creschzz
Fund Effective Date:	2021-06-05	SPSA:	8000001
Fund Effective Date:	2021-06-05	SPSA:	800000

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.

KEX Synapse Power of Connectivity.			🖶 26 August 2022 @ synuat001 synuat001 🗸
Onboarding Details: FUND ID 553182			←Back to Fun
Onboarding Status:			× Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected × •	GC:Pending LC:Pending	Status: Inactive
FUND DETAILS	Comment:	FUND PROFILE 1 DETAILS	🖌 Edt
FUND DETAILS:	Reason to reject	GLOBAL CUSTODIAN DETAILS:	
Fund Name:	Fidelity Asia CLOSE	GC Name:	SynComp511
Fund LEI:	549300N66LYE	Fund Account at GC:	543182
Fund Umbrella:	Fidelity Global Fund	GC LEI:	222200N66LBBAAGSH889
Fund Domicile:	HK	GC BIC:	FIVCGB21XXX
Fund ID:	553182	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):	777777		
		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:	300013
Settlement Mode - Buy Trade:	DVP	LC Name:	SynComp521
Settlement Mode - Sell Trade:	DVP	LC CCASS ID:	C00016
Gotternent mode - gell filder	DVP	LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:		LC BIC:	JMPPMJ55XXX
		LC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Effective Date:	2021-06-05	SP SA:	8000001

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".

HKEX Synapse The Power of Connectivity.		🗖 26 August 2022 (@ synuat001 synuat001 🧹 🂢	
Initial Onboarding Details: FUND ID 553	182	Cancel Next	
	Fund Domicile :	нк	
	* Fund ID :	553182	
	Fund Alternate ID :	777777	
	DEFAULT SETTLEMENT MODE :		Ĺ
	* Settlement Mode - Buy Trade :	DVP +	
	* Settlement Mode - Sell Trade :	DVP 🛫	
	FUND PROFILE PROCESSING DETAILS :		
	* Fund Effective Date :	2021-06-05 💼	

HKEX Synapse		🖹 26 Augu	st 2022 💿 synuat001 synuat001 🕤 🄀
Initial Onboarding Details: FUND ID 5	53182		Cancel
Ste	p 2/2 — Please provide the following information to create GLOBAL CUSTODIAN DETAILS:	the fund's first Fund Profile:	
	* GC BIC :	FIVCGB21XXX	
	* Fund Account at GC :	543181	
	GC Name :	SynComp511	
	GC LEI :	222200N66LBBAAGSH889	
	GC DN :	cn=invfunds,ou=80a,o=creschzz	
	LOCAL CUSTODIAN DETAILS:		
	* Investor ID +	200042	

arding Details: FUND ID 553182				
Onboarding Status:				× Delete Fund Creation
AM Maker: Approved ~	AM Checker: Pending Approval	GC:Pending	LC: Pending	Status: Inactive
FUND DETAILS	3 11		FUND PROFILE 1 DETAILS	
TOND DETAILS				
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp51
Fund Name:	Fidelity Asia Fund 3182		Fund Account at GC:	54318
Fund LEI: Fund Umbrella:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH88
Fund Umbrella: Fund Domicile:	Fidelity Global Fund		GC BIC:	FIVCGB21X0
Fund Domicile: Fund ID:	HK 553182		GC DN:	cn=invfunds,ou=80a,o=crescha
Fund Alternative ID (Optional):	777777			
Fund Alternative ID (Optional):	111111			
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	3000
Settlement Mode - Buy Trade:	DVP		LC Name:	SynComp52
Settlement Mode - Sell Trade:	EOP		LC CCASS ID:	C000
Jetternent mode - Jen Hude.	101		LC LEI:	621344ABC32JRTFGR4
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XX
			LC DN:	cn=invfunds,ou=80a,o=cresch
Fund Effective Date:	2021-06-05		SPSA:	800000

7. The AM Data Manager Input Authorise User can confirm that the updated fields resubmitted 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: AM Data GC Data LC Data Manager Manager Input Manager Input Input Only User Only User and Only User and Fund is and Data Data Manager Data Manager successfully Manager Input Input Authorise Input Authorise onboarded to Authorise User User both User both Synapse both approved approved fund approved fund fund onboarding onboarding onboarding

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

- 1. The GC Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The GC Data Manager Input Only User will be informed that the AM has successfully submitted a fund in two ways:
  - a. 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".

er of Connectivity.			
boarding Details: FUND ID 34267	9		←Back to Fund List ×Reject ✓Submit
Onboarding Status:			
AM: Approved </td <td>▲ GC Maker: Pending Submission 0</td> <td>GC Checker: Pending LC: Pe</td> <td>ending Status: Inactive</td>	▲ GC Maker: Pending Submission 0	GC Checker: Pending LC: Pe	ending Status: Inactive
FUND DETAILS		FUND PROFILE 1 DET	AILS
FUND DETAILS:		GLOBAL CUSTODIAN DET	AILS:
Fund Name:	Fidelity Asia Fund 2679	GC Name:	SynComp511
Fund LEI:	549300N66LYETIGSH359	Fund Account at GC:	9004859
Fund Umbrella:	Fidelity Global Fund	GC LEI:	222200N66LBBAAGSH888
Fund Domicile:	HK	GC BIC:	FIVCGB21XXX
Fund ID:	342679	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):	342668	A CONTRACTOR	To approve fund onboarding, provide the GC's account at the LC.
		▲ GC's Account at LC:	
DEFAULT SETTLEMENT MODE:		LOCAL CUSTODIAN DETA	
Settlement Mode - Buy Trade:	DVP	LOCAL CUSTODIAN DETA	1L-3.
Settlement Mode - Sell Trade:	FOP	Investor ID:	300013
		LC Name:	SynComp521
FUND PROFILE PROCESSING DET	AILS:	LC CCASS ID:	C00016
Fund Effective Date:	2021-06-06	LC LEI:	621344ABC32JRTFGR421
EX Synapse er of Connectivity.			📇 23 August 2022 @ synuat071 synuat0
EX Synapse er of Connectivity. soarding Details: FUND ID 342673			t 23 August 2022 ④ synuat071 synuat0 + Back to Fund List <mark>× Reject</mark> ✓ Submit
er of Connectivity.	9		
er of Connectivity. Dooarding Details: FUND ID 342679 Onboarding Status:		GC Checker Pendina	+ Back to Fund List × Reject × Submit
er of Connectivity. Doarding Details: FUND ID 342679 Onboarding Status: AM:Approved ~		GC Checker:Pending LC:Pe	←Back to Fund List × Reject ✓ Submit
er of Connectivity. Dooarding Details: FUND ID 342679 Onboarding Status:		GC Checker: Pending LC: Pe FUND PROFILE 1 DETA	←Back to Fund List × Reject ✓ Submit
er of Connectivity. Doarding Details: FUND ID 342679 Onboarding Status: AM:Approved ~			✓Back to Fund List × Reject ✓ Submit inding Status: Inactive AILS
er of Connectivity. coarding Details: FUND ID 342673 Onboarding Status: AM: Approved FUND DETAILS		FUND PROFILE 1 DETA	✓Back to Fund List × Reject ✓ Submit inding Status: Inactive AILS
er of Connectivity. coarding Details: FUND ID 342673 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS:	▲GC Maker:Pending Submission (	FUND PROFILE 1 DET	Hack to Fund List × Reject ✓ Submit inding Status:Inactive AILS AILS:
er of Connectivity. Doarding Details: FUND ID 342673 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund DETAILS: Fund Name:	▲ GC Maker:Pending Submission (	FUND PROFILE 1 DET	Back to Fund List × Reject ✓ Submit  Inding  AILS  AILS  SynComp511
er of Connectivity. Doarding Details: FUND ID 342679 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: FUND DETAILS: Fund Name: Fund Name: Fund Name: Fund Name:	▲GC Maker:Pending Submission ( Fidelty Asia Fund 2679 549300H6ELYETICSH359	FUND PROFILE 1 DET/ GLOBAL CUSTODIAN DET GC Name: Fund Account at GC:	← Back to Fund List × Reject ✓ Submit Inding Status:Inactive AILS AILS: SymComp511 9004559
er of Connectivity. Doarding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund DETAILS: Fund Name: Fund LEI: Fund LEI: Fund Umbrella:	▲ GC Maker:Pending Submission (0 Fidelity Asia Fund 2879 549300164L/TTIGS1399 Fidelity (Jobal Fund	FUND PROFILE 1 DET	Back to Fund List × Reject ✓ Submit  Inding Status:Inactive  AILS  AILS  SynComp511  S00459  222200166LBAAASI888  FIVCG821X0X  Generinfunds.oresebac
er of Connectivity. Doarding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Unbrella: Fund Domicile: Fund Domicile: Fund Domicile:	▲ GC Maker: Pending Submission ( Fidelty Asia Fund 2679 549300H68L/ETIGSH359 Fidelty Gioal Fund HK	FUND PROFILE 1 DET GLOBAL CUSTODIAN DET GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN:	  
er of Connectivity. Doarding Details: FUND ID 342675 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Umbrella: Fund Umbrella: Fund Umbrella:	▲ GC Maker:Pending Submission ( Fidelity Asia Fund 2679 549300164L/TTIGS1399 Fidelity Global Fund Hikk 342679	FUND PROFILE 1 DET GLOBAL CUSTODIAN DET GC Name: Fund Account at GC: GC LEI: GC BIC:	Back to Fund List × Reject ✓ Submit  Inding Status:Inactive  AILS  AILS  SynComp511  S00459  222200166LBAAASI888  FIVCG821X0X  Generinfunds.oresebac
er of Connectivity. Doarding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Unbrella: Fund Domicile: Fund Domicile: Fund Domicile:	▲ GC Maker:Pending Submission ( Fidelity Asia Fund 2679 549300164L/TTIGS1399 Fidelity Global Fund Hikk 342679	FUND PROFILE 1 DET GLOBAL CUSTODIAN DET GC Name: Fund Account at GC: GC LEI: GC BIC: GC DIC: GC DN: ▲ GC's Account at LC:	← Back to Find List × Reject ✓ Submit Inding Status: Inactive AILS AILS SynComp511 900459 222200166LBBAAG5H08 FFVCG8231XXX an-invLandg.ord80.acreash22 To approve fund onboarding, provide the GC's account at the LC. 752194
er of Connectivity. Doarding Details: FUND ID 342673 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Unbrella: Fund Unbrella: Fund Unbrella: Fund Unbrella: Fund Alternative ID (Optional): DEFAULT SETLEMENT MODE:	▲ GC Maker:Pending Submission ( Fidelity Asia Fund 2679 549300164L/TTIGS1399 Fidelity Global Fund Hikk 342679	FUND PROFILE 1 DET GLOBAL CUSTODIAN DET GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN:	← Back to Find List × Reject ✓ Submit Inding Status: Inactive AILS AILS SynComp511 900459 222200166LBBAAG5H08 FFVCG8231XXX an-invLandg.ord80.acreash22 To approve fund onboarding, provide the GC's account at the LC. 752194
er of Connectivity. Dosarding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Derbella: Fund Domielle: Fund Domielle: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade:	▲ GC Maker: Pending Submission ( Fidelty Asia Fund 2579 549300/i661/YETIGSH359 Fidelty Global Fund 342659 342668	FUND PROFILE 1 DET GLOBAL CUSTODIAN DET GC Name: Fund Account at GC: GC BIC: GC BIC: GC DN: GC 9 Account at LC: LOCAL CUSTODIAN DETA	Back to Find List X Reject Submit Inding Status: Inactive AILS AILS SynComp511 SynComp511 SynComp512 SynComp513 SynComp51
er of Connectivity. Doarding Details: FUND ID 342673 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Unbrella: Fund Unbrella: Fund Unbrella: Fund Unbrella: Fund Alternative ID (Optional): DEFAULT SETLEMENT MODE:	▲ GC Maker:Pending Submission ( Fidelity Asia Fund 2879 549300184L7TIGS139 Fidelity Giobal Fund HK 9342668 J42669	FUND PROFILE 1 DET GLOBAL CUSTODIAN DET GC Name: Fund Account at GC: GC LE: GC BIC: GC DN: ▲ GC's Account at LC: LOCAL CUSTODIAN DETAI Investor ID:	Back to Fund List X Reject V Submit  Inding Status:Inactive  AILS  AILS  SymComp511 S00459 222200406.084A0.SH888 FIVC0821XXX cm=im/unding.provide the GC's account at the LC. 752194 ILS:  300013
er of Connectivity. Dosarding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Derbella: Fund Domielle: Fund Domielle: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade:	▲ GC Maker:Pending Submission ( Fidelity Asia Fund 2879 549300184L7ETIGS1392 Fidelity Giobal Fund HK 9332688 J42668 DVP FOP	FUND PROFILE 1 DET GLOBAL CUSTODIAN DET GC Name: Fund Account at GC: GC BIC: GC BIC: GC DN: GC 9 Account at LC: LOCAL CUSTODIAN DETA Investor ID: LC Name:	
er of Connectivity. Docarding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Domicile: Fund Domicile: Fund Odmicile: Fund Atternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Sull Trade: Settlement Mode - Sell Trade:	▲ GC Maker:Pending Submission ( Fidelity Asia Fund 2879 549300184L7ETIGS139 Fidelity Giobal Fund HK 9342668 J42669 J42660 DVP FOP	FUND PROFILE 1 DET GLOBAL CUSTODIAN DET GC Name: Fund Account at GC: GC LE: GC BIC: GC DN: ▲ GC's Account at LC: LOCAL CUSTODIAN DETAI Investor ID:	Back to Fund List X Reject V Submit  Inding Status:Inactive  AILS  AILS  SymComp511 S00459 222200406.084A0.SH888 FIVC0821XXX cm=im/unding.provide the GC's account at the LC. 752194 ILS:  300013

( Synapse of Connectivity.				🖶 23 August 2022 🕃 synuat071 synuat
rding Details: FUND ID 342679				←Bac
Onboarding Status:				
AM: Approved -	GC Maker: Approved <	▲GC Checker: Pending Approval	. LC: Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
			GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:			GEODAE COSTODIAN DETAILS.	
Fund Name:		Fidelity Asia Fund 2679	GC Name:	SynComp51
Fund LEI:		549300N66LYETIGSH359	Fund Account at GC:	9004855
Fund Umbrella:		Fidelity Global Fund	GC LEI:	222200N66LBBAAGSH88
Fund Domicile:		HK	GC BIC:	FIVCGB21XX
Fund ID:		342679	GC DN:	cn=invfunds,ou=80a,o=creschz
Fund ID: Fund Alternative ID (Optional):		342679 342668	GC's Account at LC:	75219
DEFAULT SETTLEMENT MODE:		542000	LOCAL CUSTODIAN DETAILS:	
DEFAGET SETTLEMENT MODE.				
Settlement Mode - Buy Trade:		DVP	Investor ID:	30001
Settlement Mode - Sell Trade:		FOP	LC Name:	SynComp52
			LC CCASS ID:	C0001
FUND PROFILE PROCESSING DET/	MLS:		LC LEI:	621344ABC32JRTFGR42
			LC BIC:	JMPPMJ55XX
Fund Effective Date:		2021-06-06	LC DN:	cn=invfunds.ou=80a.o=creschz

### Fields inputted by AM for GC's reference:

Field	Description	Туре	Size	Mandatory	Syntax
Name		Type	0120	or Optional (M/O)	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	Туре	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	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
GC's	GC Account No.	String	15	Μ	N/A
Account at	at LC for the				
LC	Fund of the trade				

### 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>H</b> The F					🗎 23 August 20	022 🕃 synuat073 synuat073 🗸	X
	Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
DAS	HBOARD						
	SETTLEMENT INSTRUCTION	ONS®	FUND PROFILES®		NOTIFICATIONS		
	15 Allocation Received		O Awaiting GC Maker Approval		Funds (13) PREVIEW -		
	3 Processing in Synapse		1 Awaiting GC Checker Approv	ral	♠ Participants (0) PREVIEW		
	1 Unmatched		O Awaiting LC Approval		▲ Relationships (0) PREVIEW		
	0 Matched				CCASS Exceptions (0)		
	9 Settled				SIS (168)		
	2 Cancelled						

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"

HKEX S The Power of Conr Dash	ectivity.	Settlement Instruct		Funds	Relationships	⊟ : Market Data	23 August 2022 @ synuat073 synuat073 v
FUNDS	0	C Maker Approval Awaitin		0			Q Search Generate R
FUND 10 <sup>A</sup> <sup>A</sup> FUND 342679 Fidelit	NAME <sup>A</sup> ₹		AM NAME <sup>®™</sup> GC'S ACCA			PSA** FUND EFFECTIVE DATE**	AM GC LC STATUS * ✓ • – OC Maker Approved DETAIL

- 3. The GC Data Manager Input Authorise User can navigate to the Fund Details view by clicking "Details" on the Funds List view.
- 4. 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.

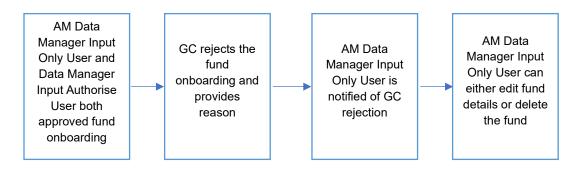
r of Connectivity.					🗎 23 August 2022 🕃 synuat073 synuat
parding Details: FUND ID 342679	9				← Back to Fund List × Reject
Onboarding Status:					
AM: Approved </td <td>GC Maker: Approved ~</td> <td>▲GC Checker: Pendir</td> <td>ng Approval</td> <td>LC:Pending</td> <td>Status: Inactive</td>	GC Maker: Approved ~	▲GC Checker: Pendir	ng Approval	LC:Pending	Status: Inactive
FUND DETAILS				FUND PROFILE 1 DETAILS	
1				GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:					
Fund Name:		Fidelity Asia Fund 2679		GC Name:	SynComp51
Fund LEI:		549300N66LYETIGSH359		Fund Account at GC:	900485
Fund Umbrella:		Fidelity Global Fund		GC LEI:	222200N66LBBAAGSH88
Fund Domicile:		HK		GC BIC:	FIVCGB21XX
Fund ID:		342679		GC DN:	cn=invfunds,ou=80a,o=cresch:
Fund Alternative ID (Optional):		342668		GC's Account at LC:	7521
DEFAULT SETTLEMENT MODE:				LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP		Investor ID:	30001
Settlement Mode - Sell Trade:		FOP		LC Name:	SynComp5
				LC CCASS ID:	C0001
FUND PROFILE PROCESSING DET	AILS:			LC LEI:	621344ABC32JRTFGR4
				LC BIC:	JMPPMJ55XX
Fund Effective Date:		2021-06-06		LC DN:	cn=invfunds,ou=80a,o=cresch;

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

poarding Details: FUND ID 342679					
Onboarding Status:					
	GC Maker: Approved -	GC Checker: App	oroved ~	LC: Pending	Status: Inactive
FUND DETAILS				FUND PROFILE 1 DETAILS	
FUND DETAILS:				GLOBAL CUSTODIAN DETAILS:	
				GC Name:	SynComp51
Fund Name:		Fidelity Asia Fund 2679		Fund Account at GC:	900485
Fund LEI:	5	49300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH88
Fund Umbrella:		Fidelity Global Fund		GC BIC:	FIVCGB21XX
Fund Domicile:		HK		GC DN:	cn=invfunds.ou=80a.o=creschz
Fund ID:		342679		GC's Account at LC:	75219
Fund Alternative ID (Optional):		342668			
DEFAULT SETTLEMENT MODE:				LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP		Investor ID:	30001
Settlement Mode - Sell Trade:		FOP		LC Name:	SynComp52
				LC CCASS ID:	C0001
FUND PROFILE PROCESSING DETAILS:				LC LEI:	621344ABC32JRTFGR42
				LC BIC:	JMPPMJ55XX
Fund Effective Date:		2021-06-06		LC DN:	cn=invfunds.ou=80a.o=creschz

#### 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			📇 26 August 2022 @ synual071 synual071 🗸 🚶
Initial Onboarding Details: FUND ID 553182			+ Back to Fund List × Reject Submit For Approval
FUND DETAILS	GC Maker: Pending Submission	FUND PROFILE 1 DET	
FUND DETAILS: Fund Name: Fund LEI: Fund Dimbrella: Fund Domicille: Fund Dib: Fund Alternative ID (Optional):	Fidelity Asia Fund 318: 549300460LVETIGSH355 Fidelity Global Fund Fidelity Asia Fidelity Fidelity Fidelity Fidelity Fidelity Fidelity Fidelity F	Fund Account at GC: GC LEI: GC BIC: GC DN:	TAILS: SynComp511 543182 222200468LBBAAG54889 FVCGB2100X Gri-MrMads.gut-98.g-creastur. To approve fund onbearding.provide the GC associat at the LC.
DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	DVF	GC's Account at LC:	
FUND PROFILE PROCESSING DETAILS Fund Effective Date:		LC Name: LC CCASS ID:	300013 SynComp521 C00018 621344ABC32JRTFGR421
HKEX Synapse The Power of Connectivity. Initial Onboarding Details: FUND ID 553182			☐ 26 August 2022 (); synuat071 synuat071 ∨ + Back to Fund 1.ist × Reject () synuat071 v Augustian
Onboarding Status:	FUND ONBOARDING REJECTION: Please provide a comment below:		Status: Inactive
FUND DETAILS	Change effective date		
Fund Hanne: Fund LEI: Fund Umbrella: Fund Domicile: Fund Alternative ID (Optional):			SynCarup511 543182 222200166LB8AAG54889 EVCGB213000 cn=invfunds.ou-80a.e-rceseturz triding. provide te GC's accessiturz triding. provide te GC's accessiturz time L.C.
DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Settl Trade: FUND PROFILE PROCESSING DETAIL		LC CCASS ID:	300013 SynComp521 C00016
Fund Effective Date:	2021-06-0	1015	C00016 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.

	Dashboard	Settlement Instru	ctions	Funds		Relationships		Market Data				Reports	
FUNDS	<b>1</b> Awaiting G	C Maker Approval Awaiti	ng GC Checkei	1 r Approval Awaiting LC A	pproval							Q Search Gen	erate Repo
FUND ID 🗠 🔻	FUND NAME A V	FUND ACCOUNT AT GC V	AM NAME A 🔻	GC'S ACCOUNT AT LC 4 7	LC NAME 4 7		SPSA * TUND EF	FECTIVE DATE	AM ^	GC △	LC △	STATUS A 🔻	
555555	Fidelity Asia Fund	552194	SynComp501	752194	SynComp522	600002	80000002 2021-06-0	5	× .	× .	~	Active	DETAILS
555555	Fidelity Asia Fund	546272	SynComp501	762456	SynComp521	600002	80000001 2021-06-0	5	~	~	~	Active	DETAILS
555555	Fidelity Asia Fund	546270	SynComp501	123456789	SynComp521	300013	80000001 2021-06-0	5	~	~	~	Active	DETAILS
555555	Fidelity Asia Fund	546270	SynComp501	762456	SynComp521	300013	80000001 2021-06-0	5	~	~	•	LC Maker Approved	DETAILS
553182	Fidelity Asia Fund 3182	543182	SynComp501		SynComp521	300013	80000001 2021-06-0	5	$\sim$	•	-	GC Maker Rejected	DETAILS
553180	Fidelity Asia Fund 3180	543180	SynComp501		SynComp521	300013	80000001 2021-06-0	5	1	-	-	AM Approved	DETAILS
555555	Fidelity Asia Fund	542194	SynComp501	762194	SynComp521	300013	80000001 2021-06-0	5	× .	× .	× .	Active	DETAILS
552102	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	80000001 2021-06-0	5	× .	~	~	Active	DETAILS
552014	Fidelity Asia Fund	542014	SynComp501	762014	SynComp521	300013	80000001 2021-06-0	5	× .	~	~	Active	DETAILS
555555 552102 552014	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	80000001 2021-06-0	5	1		×.	Activ	e

2. 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.

<b>(EX Synapse</b>				🖻 26 August 2022 🕃 s	synuat073 synuat073 🗸 🗙
Onboarding Details: FUND ID 553182					nd 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 PROFILE 1 DETAILS		
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:		
Fund Name:	5.44	The Andre Transfer Database	GC Name:		SynComp511
Fund Name: Fund LEI:		ity Asia Fund 3182 N66LYETIGSH359	Fund Account at GC:		543182
Fund LEI: Fund Umbrella:			GC LEI:	222200	N66LBBAAGSH889
Fund Umbrella: Fund Domicile:	F	idelity Global Fund HK	GC BIC:		FIVCGB21XXX
Fund Domicile: Fund ID:		553182	GC DN:	cn=invfunds	ou=80a,o=creschzz
Fund Alternative ID (Optional):		777777	GC's Account at LC:		
DEFAULT SETTLEMENT MODE:			LOCAL CUSTODIAN DETAILS:		
Settlement Mode - Buy Trade:		DVP	Investor ID:		300013
Settlement Mode - Sell Trade:		FOP	LC Name:		SynComp521
			LC CCASS ID:		C00016
FUND PROFILE PROCESSING DETAI	LS:		LC LEI:	621344	ABC32JRTFGR421
			LC BIC:		JMPPMJ55XXX
Fund Effective Date:		2021-06-05	LC DN:	cn=invfunds	ou=80a,o=creschzz

3. 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.

of Connectivity.					🗎 26 August 2022 💿 synuat073 synuat0
arding Details: FUND ID 553180					← Back to Fund List × Reject
Onboarding Status:					
AM: Approved </td <td>▲GC Maker: Rejected × ●</td> <td>GC Checker: Per</td> <td>nding</td> <td>LC:Pending</td> <td>Status: Inactive</td>	▲GC Maker: Rejected × ●	GC Checker: Per	nding	LC:Pending	Status: Inactive
FUND DETAILS			FUND	PROFILE 1 DETAILS	
FUND DETAILS:			GLOB	AL CUSTODIAN DETAILS:	
			GC	ame:	SynComp511
Fund Name: Fund LEI:		Asia Fund 3180		Account at GC:	543180
Fund LEI: Fund Umbrella:		6LYETIGSH359	GC L		222200N66LBBAAGSH889
	Fide	lity Global Fund	GC E		FIVCGB21XXX
Fund Domicile:		HK	GC E	IN:	cn=invfunds,ou=80a,o=creschzz
Fund ID: Fund Alternative ID (Optional):		553180	GC's	Account at LC:	
DEFAULT SETTLEMENT MODE:			LOCA	L CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP	Inve	stor ID:	300013
Settlement Mode - Sell Trade:		DVP	LC N	ame:	SynComp521
			LCC	CASS ID:	C00016
FUND PROFILE PROCESSING DETA	ILS:		LC L	EI:	621344ABC32JRTFGR421
			LC B	IC:	JMPPMJ55XXX
Fund Effective Date:		2021-06-05	LC D	N:	cn=invfunds,ou=80a,o=creschzz

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

HKEX Synapse		🗂 26 August 2022 @ synuat073 synuat073 🤟 🂢
Initial Onboarding Details: FUND ID 553180		+Back to Fund List × Reject × Approve
	FUND ONBOARDING REJECTION:	
Onboarding Status: AM: Approved ~	Please provide a comment below:	Status: Inactive
FUND DETAILS	Change effective date	
FUND DETAILS:		
		SynComp511
Fund Name:		543180
Fund LEI:		222200N66LBBAAGSH889
Fund Umbrella:		FIVCGB21XXX
Fund Domicile:		cn=invfunds,ou=80a,o=creschzz
Fund ID:		
Fund Alternative ID (Optional):		Cancel Submit
DEFAULT SETTLEMENT MODE:		
Settlement Mode - Buy Trade:		300013
Settlement Mode - Sell Trade:		SynComp521
		C00016
FUND PROFILE PROCESSING DETAIL	3. LU LU.	621344ABC32JRTFGR421
	LC BIC:	JMPPMJ55XXX
Fund Effective Date:	2021-06-05 LC DN:	cn=invfunds,ou=80a,o=creschzz

5. 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:

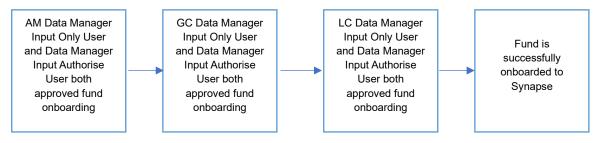
If the GC Data Manager Input Only User approves the fund and the GC Data Manager Input Authorise User disagrees with the GC Data Manager Input Only User's approval/input, the GC Data Manager Input Authorise User must reject back to the GC Data Manager Input Only User. After that, the GC Data Manager 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:
  - 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".

Onboarding Status:         AM: Approved -       GC: Approved -       ALC Maker: Pending Submission       LC Checker: Pending       Status: Inactive         FUND DETAILS       FUND DETAILS:       FUND PROFILE 1 DETAILS       GLOBAL CUSTODIAN DETAILS:         Fund Name:       Fidelity Asia Fund 2679       GLOBAL CUSTODIAN DETAILS:       GLOBAL CUSTODIAN DETAILS:         Fund Umbrelia:       Fidelity Global Fund       GC Name:       GC Name:       GC Cont         Fund ID:       342679       GC Cont:       cn-neinvlunds.cu-         DEFAULT SETTLEMENT MODE:       342679       GC Status:       GC ON:       cn-neinvlunds.cu-         Settlement Mode - Sell Trade:       DVP       GC Cont:       cn-neinvlunds.cu-         Fund Effective Date:       2021-06-06       Investor ID:       LC Name:       LC CASS ID:         LC Checker: Detail S:       Cont:       cn-neinvlunds.cu-         Fund Effective Date:       2021-06-06       CD N:       cn-neinvlunds.cu-
FUND DETAILS     FUND PROFILE 1 DETAILS       FUND DETAILS:     GLOBAL CUSTODIAN DETAILS:       Fund Name:     Fidelity Asia Fund 2879       Fund Lit:     549300/468/VFIDSH359       Fund Unbrella:     Fidelity Global Fund       Fund Diremative ID (Optional):     342879       Fund Alement Mode - Buy Trade:     DVP       Settlement Mode - Sell Trade:     DVP       Fund Effective Date:     2021-06-08
FUND DETAILS:         GLOBAL CUSTODIAN DETAILS:           Fund Name:         Fidelity Asia Fund 2679           Fund LEI:         5483000468/VETIGSH359           Fund Domicile:         Fidelity Global Fund           Fund Domicile:         Fidelity Global Fund           Fund Domicile:         HK           Fund Namestive ID (Optional):         342679           GC DBC:         CD IE           Evend Alternative ID (Optional):         342680           DEFAULT SETTLEMENT MODE:         GC Name:           Settlement Mode - Sell Trade:         DVP           FUND PROFILE PROCES SING DETAILS:         Investor ID:           FUND PROFILE PROCES SING DETAILS:         Investor ID:           Fund Effective Date:         2021-06-06
Fund Name:     Fidelity Asia Fund 2879       Fund LEI:     549300M66/VETIC35H359       Fund Dir:     Fidelity Global Fund       Fund Dir:     Fidelity Global Fund       Fund Dir:     St2579       Fund Nomeile:     HK       GC Dir:     Cr-minvfunds.our       GC Dir:     Cr-minvfunds.our       DEFAULT SETTLEMENT MODE:     GC Account at LC:       Settlement Mode - Sell Trade:     DVP       Fund Effective Date:     2021-06-06
Fund LEI:     \$49300/I60/VETIGSH359     Fund Account at GC:       Fund Umbrella:     Fidelity Global Fund     GC LEI:     22220166       Fund ID:     HK     GC DE:     22220166       Fund ID:     342679     GC DE:     0       DEFAULT SETTLEMENT MODE:     GC DE:     0     0       Settement Mode - Sell Trade:     DVP     LOCAL CUSTODIAN DETAILS:     0       FUND PROFILE PROCESSING DETAILS:     Investor ID:     1     1       Fund Effective Date:     2021-06-06     LC CAS DD:     0
Fund Umbrella:         Fidelity Global Fund         GC LEI:         22220062           Fund Din:         342679         GC DR:         22200102           Fund Din:         342679         GC DR:         Cn:           DEFAULT SETTLEMENT MODE:         GC SC:         Cn:         Cn:           Settement Mode - Sell Trade:         FVP         FV         CCAL CUSTODIAN DETAILS:         FV           Fund Effective Date:         2021-06-06         FV         CCAS ID:         CL Canne:         CL CL CUSTODIAN DETAILS:
Fund Domicile:     HK     GC BIC:       Fund DD:     342679       Fund Alternative ID (Optional):     342680       DEFAULT SETTLEMENT MODE:     GC BIC:       Settlement Mode - Buy Trade:     DVP       Settlement Mode - Sell Trade:     FVP       FUND PROFILE PROCESSING DETAILS:     LOCAL CUSTODIAN DETAILS:       Fund Effective Date:     2021-06-06       LC CAS ID:     LC CAS ID:       LC CEI:     621344ABI       LC EI:     621344ABI
Fund ID:     342679     GC DI:     cn-init/unds,out       DEFAULT SETTLEMENT MODE:     342689     GC's Account at LC:     GC's Account at LC:       Settlement Mode - Sury Trade:     DVP     LOCAL CUSTODIAN DETAILS:     Investor ID:       FUND PROFILE PROCESSING DETAILS:     Investor ID:     LC Name:     LC Cas DD:       Fund Effective Date:     2021-06-06     LC CES DD:     CS 144AB
Fund Alternative ID (Optional):     342668       DEFAULT SETTLEMENT MODE:       Settlement Mode - SetTrade:       DVP       Settlement Mode - SetTrade:       FUND PROFILE PROCESSING DETAILS:       Fund Effective Date:       2021-06-06
DEFAULT SETTLEMENT MODE:     DVP       Settlement Mode - Buy Trade:     DVP       FUND PROFILE PROCESSING DETAILS:     Investor ID:       Fund Effective Date:     2021-06-06       LCCAL CUSTODIAN DETAILS:     LCCAL CUSTODIAN DETAILS:       LCCAL CUSTODIAN DETAILS:     Investor ID:       LCCAL CUSTODIAN DETAILS:     LCCAL CUSTODIAN DETAILS:
Settlement Mode - Sell Trade:         FOP         LOCAL CUSTODIAN DETAILS:           FUND PROFILE PROCESSING DETAILS:         Investor ID:         LOCAL CUSTODIAN DETAILS:           Fund Effective Date:         2021-06-06         LC CAN:           LC CER:         621344ABI         LC EBI:           LC BL:         621344ABI
Settlement Mode - Sell Trade:         FOP         LOCAL CUSTODIAN DETAILS:           FUND PROFILE PROCESSING DETAILS:         Investor ID:         LOCAL CUSTODIAN DETAILS:           Fund Effective Date:         2021-06-06         LC CAN:           LC CER:         621344ABI         LC EBI:           LC BL:         621344ABI
FUND PROFILE PROCESSING DETAILS:         Investor ID:           Fund Effective Date:         2021-06-06         LC CCAS ID:           LC CCAS ID:         LC CCAS ID:         621344ABI           LC DEI:         LC BIC:         1000000000000000000000000000000000000
Fund Effective Date:         2021-06-06         LC Name:           LC CCASS ID:         LC LEI:         621344ABU           LC BIC:         621344ABU
LC LE: 621344ABI LC BIC:
LC BIC:
arding Details: FUND ID 342679
Onboarding Status: AM:Approved / GC:Approved / LC Maker:Approved / ALC Checker:Pending Approval Status:Inactive
FUND DETAILS FUND PROFILE 1 DETAILS
FUND DETAILS: GLOBAL CUSTODIAN DETAILS:
FUND DETAILS:         GLOBAL CUSTODIAN DETAILS:           Fund Name:         Fidelity Asia Fund 2679         GC Name:           Fund LE:         549300H06LYETIGSH359         Fund Account at GC:
FUND DETAILS:         GLOBAL CUSTODIAN DETAILS:           Fund Name:         Fidelity Asia Fund 2679         GC Name:           Fund LEh:         549300166LYETIGS1359         Fund Account at GC:           Fund Umbrelia:         Fidelity Global Fund         GC LEh:         222200166
FUND DETAILS:         GLOBAL CUSTODIAN DETAILS:           Fund Name:         Fidelity Asia Fund 2679         GC Name:           Fund LEI:         5493001/66L/YETIGSH359         Fund Account at GC:           Fund Dimbrilla:         Fidelity Global Fund         GC LEI:         2222001/66           Fund Domicile:         HK         GC BIC:         2222001/66
FUND DETAILS:         GLOBAL CUSTODIAN DETAILS:           Fund Name:         Fidelity Asia Fund 2679         GC Name:           Fund LEI:         5493001661/VETIGS1359         Fund Account at GC:           Fund Unbrela:         Fidelity Joinda Fund         GC BIC:         222200166           Fund Domicile:         142407         GC CBIC:         0           Fund ID:         323279         GC DN:         c-nein/funds.gur
FUND DETAILS:         GLOBAL CUSTODIAN DETAILS:           Fund Name:         Fidelity Asia Fund 2679         GC Name:           Fund LEI:         5493001/66L/YETIGSH359         Fund Account at GC:           Fund Dimbrilla:         Fidelity Global Fund         GC LEI:         2222001/66           Fund Domicile:         HK         GC BIC:         2222001/66
FUND DETAILS:         GLOBAL CUSTODIAN DETAILS:           Fund Name:         Fidelity Asia Fund 2679         GC Name:           Fund LEI:         5493000/661/VETIGSH399         Fund Account at GC:           Fund LEI:         Fidelity Global Fund         GC Dame:           Fund Domicilie:         Fidelity Global Fund         GC EIIC:         222200066           Fund Domicilie:         HK         GC BIC:         22200066           Fund Alternative ID (Optional):         342679         GC Di:         cm-im/fund sour           DEFAULT SETTLEMENT MODE:         GC's Account at LC:         C's Account at LC:         C's Account at LC:
FUND DETAILS:         GLOBAL CUSTODIAN DETAILS:           Fund Name:         Fidelity Asia Fund 2679         GC Name:           Fund LEI:         549300/i66U/CTIGSH359         Fund Account at GC:           Fund Diticiti:         Fidelity Global Fund         GC LEI:         222200/i66           Fund Diticiti:         HK         GC DBC:         Christry data (christry data)           Fund Account at UD:         326279         GC C DBC:         Christry data)           Fund Alternative ID (optional):         326268         GC's Account at LC:         Christry data)
FUND DETAILS:     GLOBAL CUSTODIAN DETAILS:       Fund Name:     Fidelity Asia Fund 2679       Fund LE:     549300//66/LYTTIGS1359       Fund Nameila:     Fidelity (Joinal Fund Nameila)       Fund Dimbriela:     Fidelity (Joinal Fund Nameila)       Fund Dimbriela:     Fidelity (Joinal Fund Nameila)       Fund Dimbriela:     Fidelity (Joinal Fund Nameila)       Fund Ithermative ID (Optional):     342689       GC Dit:     Converting Converted Converted Converted Converting Converted Converted Converted C
FUND DETAILS:     GLOBAL CUSTODIAN DETAILS:       Fund Name:     Fidelity Asia Fund 2679       Fund Name:     S49300/66/LVETIGS1359       Fund Lib:     S49300/66/LVETIGS1359       Fund Momelia:     Fidelity (Fidelity Asia Fund Account at GC:       Fund Ombrielia:     Fidelity (Fidelity Asia Fund Account at GC:       Fund Marenative ID (Optional):     GC BIC:       OEFAULT SETTLEMENT MODE:     GC DV:       Settlement Mode - Sell Trade:     DVP       FUND PROFILE PROCESSING DETAILS:     LOCAL CUSTODIAN DETAILS:
FUND DETAILS:     GLOBAL CUSTODIAN DETAILS:       Fund Name:     Fidelity Asia Fund 2879       Fund LEI:     5493001640/ETIGSH359       Fund LEI:     5493001640/ETIGSH359       Fund LEI:     5493001640/ETIGSH359       Fund Domicile:     Fund Account at GC:       Fund Domicile:     HK       Fund Domicile:     HK       Fund ID:     342679       GC DE:     CC DI:       GC S DIC:     CC Name:       Fund ID:     342679       GC S C ON:     CC Name:       Settement Mode - Buy Trade:     DVP       Settement Mode - Sell Trade:     FOP       FUND PROFILE PROCESSING DETAILS:     Investor ID:       Fund Effective Date:     2021-08-66
FUND DETAILS:     GLOBAL CUSTODIAN DETAILS:       Fund Name:     Fidelity Asia Fund 2679       Fund Lib:     549300/68/LVTTIGSH399       Fund Lib:     549300/68/LVTTIGSH399       Fund Account al CC:     C       Fund Domiclie:     Fidelity Global Fund       Fund Domiclie:     Fidelity Global Fund       Fund Itle:     S42879       GC Dic:     GC Dic:       Fund Alternative ID (Optional):     342689       DEFAULT SETTLEMENT MODE:     GC Name:       Settlement Mode - Seil Trade:     DVP       Settlement Mode - Seil Trade:     FOP       FUND PROFILE PROCESSING DETAILS:     LOCAL CUSTODIAN DETAILS:

Field Name	Description	гуре	Size	Optional (M/O)	Syntax vandation
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	Туре	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	Date	20	N/A	YYYY-MM-DD
	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				
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.

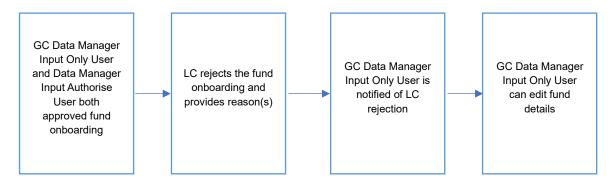
- The LC Data Manager Input Authorise User will be informed that the LC Data Manager Input Only User confirmed the "GC's Account at LC" field that the GC provided in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting LC Checker Approval"
  - b. Funds List 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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arding Details: FUND ID 34	2679			← Back to Fund List × Reje
Onboarding Status:				
AM: Approved </td <td>GC: Approved <!--</td--><td>LC Maker: Approved ~</td><td>▲LC Checker: Pending Approval</td><td>Status: Inactive</td></td>	GC: Approved </td <td>LC Maker: Approved ~</td> <td>▲LC Checker: Pending Approval</td> <td>Status: Inactive</td>	LC Maker: Approved ~	▲LC Checker: Pending Approval	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
Fund Name:		Fidelity Asia Fund 2679	GC Name:	SynComp5
Fund LEI:		549300N66LYETIGSH359	Fund Account at GC:	90048
Fund Umbrella:		Fidelity Global Fund	GC LEI:	222200N66LBBAAGSH8
Fund Domicile:		HK	GC BIC:	FIVCGB21X0
Fund ID:		342679	GC DN:	cn=invfunds,ou=80a,o=cresch
Fund Alternative ID (Optional DEFAULT SETTLEMENT MOD	l): E:	342668	GC's Account at LC:	7521
Settlement Mode - Buy Trade:		DVP		
Settlement Mode - Sell Trade:		FOP	LOCAL CUSTODIAN DETAILS:	
FUND PROFILE PROCESSING	DETAILS:		Investor ID:	3000
			LC Name:	SynComp5
Fund Effective Date:		2021-06-06	LC CCASS ID:	C000
			LC LEI:	621344ABC32JRTFGR4
			LC BIC:	JMPPMJ55X
Synapse				🖶 23 August 2022 🚇 synuat 143 synuat
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Connectivity. Sing Details: FUND ID 34: Onboarding Status: AM: Approved ~ JND DETAILS SUND DETAILS: Fund Name: Fund LB:		Fidelity Asia Fund 2679 549300N66LYETIGSH359	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC:	<ul> <li>Basic Status: Inactive</li> <li>SynComp: 9004</li> </ul>
Connectivity. Jing Details: FUND ID 34: Doboarding Status: AM: Approved / JND DETAILS UND DETAILS Fund Name: Fund Name: Fund Unit: Fund Unit:		Fidelity Asia Fund 2679 549300N66L/YETIGSH359 Fidelity Global Fund	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI:	<ul> <li>Bit Status: Inactive</li> <li>SynComp: 9904</li> <li>222200460LBBAAGSH</li> </ul>
Connectivity. ding Details: FUND ID 34: Onboarding Status: AM: Approved JND DETAILS UND DETAILS UND DETAILS: Fund Name: Fund EI: Fund Univerlia: Fund Denicle:		Fidelity Asia Fund 2679 549300N66LYETIGSH359 Fidelity Global Fund HK	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC:	<ul> <li>Status:Inactive</li> <li>SynComp: 9004</li> <li>222200H66LBBA435H</li> </ul>
Connectivity. ding Details: FUND ID 34: Onboarding Status: AM:Approved - UND DETAILS: UND DETAILS: Fund Name: Fund Name: Fund Mane: Fund Status: Fund Status: Fund Status: Fund Discussion: Fund Disc	GC:Approved ✓	Fidelity Asia Fund 2679 5493004/061/FETIG54559 Fidelity Global Fund HK 342679	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LE: GC BIC: GC DN:	Status: Inactive           Status: Inactive           SymComp5           9004           222200H68LBAAGSH8           FIVC082XX           cm+mfunda.go.cm28.go.cm284
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Connectivity. ding Details: FUND ID 34: Onboarding Status: AM: Approved UND DETAILS 	GC: Approved ~ P: E:	Fidelity Asia Fund 2679 543300H80LVETIGSH559 Fidelity Global Fund HK 342679 342686 DVP	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LE: GC BIC: GC DN:	<ul> <li>Bit Status: Inactive</li> <li>SynComp5 9004</li> <li>222200468: BBAAGSH0</li> <li>FIVC082XC</li> <li>cm+MutdlsQ-ue30, a-cread</li> </ul>
Connectivity. ding Details: FUND ID 34: Onboarding Status: AM: Approved - UND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS Fund Name: Fund LE: Fund Umbrells: Fund Denielie Fund DD: Fund Alternative ID (Optional) DEFAULT SETTLEMENT MOOD Settlement Mode - Sul Trade:	GC: Approved ~ ): E: :	Fidelity Asta Fund 2679 5493001494;YETIG5H359 Fidelity Global Fund HK 342679 34268	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN: GC'N Account at LC: LOCAL CUSTODIAN DETAILS:	Status: Inactive           Status: Inactive           SynComp5           222000466LBBAACSH0           Cn=imvfunds.cou=50.o=creach           7521
Connectivity. ding Details: FUND ID 34: Onboarding Status: AM: Approved - UND DETAILS UND DETAILS Fund Name: Fund LE: Fund Unbrells: Fund Denciels Fund Dinciels Fund JUN Settlement Mode - Sul Trade: Settlement Mode - Sul Trade:	GC: Approved ~ ): E: :	Fidelity Asia Fund 2679 543300H80LVETIGSH559 Fidelity Global Fund HK 342679 342686 DVP	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC DIC: GC DIC: GC DIC: GC'S Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID:	Status: Inactive           Status: Inactive           SynComp5           90048           222200N66LBAAAGSH8           FIVCG82XX           cn=imvfunds.ou=500.ovcread           7521           3000
Cennectivity. ding Details: FUND ID 34, Onboarding Status: AM:Approved ~ UND DETAILS UND DETAILS Fund Name: Fund Unbrella: Fund Unbrella: Fund Unbrella: Fund Jensentev ID (Optional) Settoment Mode - Buy Trade Settiment Mode - Sul Trade: 'UND PROFILE PROCESSING	GC: Approved ~ ): E: :	Fidelity Asia Fund 2679 5483001684;YETIGSH359 Fidelity Global Fund HK 342679 342685 DVP FOP	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC UE: GC UE: GC UE: GC ON: GC's Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name:	Status: Inactive           Status: Inactive           SynComp5           9048           22200466LBRAAGSH4           22P00466LBRAAGSH4           Cn=imvfunds.ou=00.0-creation           7521           30000           SynComp5
Connectivity. ding Details: FUND ID 34: Onboarding Status: AM: Approved UND DETAILS 	GC: Approved ~ ): E: :	Fidelity Asia Fund 2679 543300H80LVETIGSH559 Fidelity Global Fund HK 342679 342686 DVP	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC 0810: GC 0810: GC 910: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name: LC CASS ID:	Status:Inactive          Status:Inactive         SynComp5         222200N66LBAAGSH6         FIVC0821X0         cn=invfunds.ou=808.oreread         7521         3000         SynComp5         Con0         SynComp5         SynComp5         Con0
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Cennectivity. ding Details: FUND ID 34, Onboarding Status: AM:Approved ~ UND DETAILS UND DETAILS Fund Name: Fund Unbrella: Fund Unbrella: Fund Unbrella: Fund Jensentev ID (Optional) Settoment Mode - Buy Trade Settiment Mode - Sul Trade: 'UND PROFILE PROCESSING	GC: Approved ~ ): E: :	Fidelity Asia Fund 2679 5483001684;YETIGSH359 Fidelity Global Fund HK 342679 342685 DVP FOP	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC 0810: GC 0810: GC 910: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name: LC CASS ID:	23 August 2022 () synual143 synua + Ba Status:inactive Status:inactive SynComp5 222200K6LBBAAGSH8 EVICG8210 cm=imfunds.ou=08.a=creach 75211 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 3000 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 0004 SynComp5 SynCom5 SynComp5 SynComp5 SynComp5 Sy

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.

HKEX Synapse		▲ Notifications - 😑 17 December 2021 @ CP0041_UM - 🗙 🗙
Initial Onboarding Details: FUND ID 55	5555	Back to Fund List × Reject ✓ Submit For Approval
Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund LE:	FUND ONBOARDING REJECTION: Please provide a comment below: Change Effective Date 2021-06-07	atus:Inactive CP00913_SynapseGC 9004871
Fund Umbrella: Fund Domicile: Fund ID: Fund Alternative ID (Optional DEFAULT SETTLEMENT MOD) Settlement Mode - Buy Trade Settlement Mode - Sell Trade		222200N66LBBAAGSH888 FIVCGB21X00X cn=invfunds.cu=806.e=rosechz 902998 Cancel Submit
FUND PROFILE PROCESSING Fund Effective Date:	LC DN: SPSA:	CP00617_Synapsel.C C00016 621344A6/323RFC6R421 JMPPAJ55XXX cn=mvfunds.ou=800,o=creschzz 80000001

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:

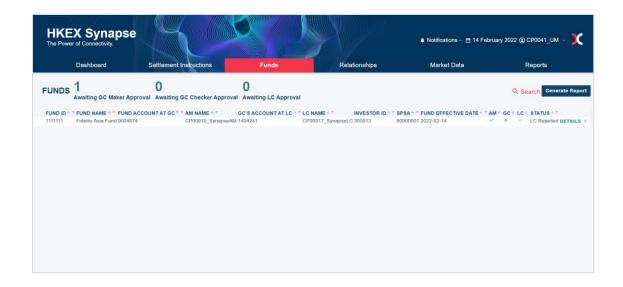
- The LC Data Manager Input Authorise User receives a notification that the LC Data Manager Input Only User has rejected the fund via the Dashboard view or the Funds List view.
- 2. On the Fund Details view, the LC Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker"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

ooarding Details: FUND ID 11111				+Back to Fund List	×Reject
Onboarding Status:				Reject	Back To Ma
AM: Approved ~	GC: Approved ~	▲LC Maker: Rejected × ●	LC Checker: Pending	Status: Inactive	Back To G
FUND DETAILS			FUND PROFILE 1 DETAILS		
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:		
Fund Name:		Fidelity North Fund	GC Name:	CP00913_S	ynapseGC
Fund LEI:		540900N66LYETIGSH381	Fund Account at GC:		9004874
Fund Umbrella:		Fidelity Global Fund	GC LEI:	222200N66LBBA	AGSH888
Fund Domicile:		US	GC BIC:	FIVC	GB21XXX
Fund ID:		111111	GC DN:	cn=invfunds,ou=80a,o	=creschzz
Fund Alternative ID (Optional):			GC's Account at LC:		1404242
DEFAULT SETTLEMENT MODE:					
Settlement Mode - Buy Trade:		DVP	LOCAL CUSTODIAN DETAILS:		
Settlement Mode - Sell Trade:		DVP			
FUND PROFILE PROCESSING DE	TAILS:		LC Name:	CP00918_S	ynapseLC
			LC CCASS ID:		C00033
Fund Effective Date:		2022-02-10	LC LEI:	5493005HANGSE	88XEE42
			LC BIC:	HASEF	HKHHXXX
			LC DN:	cn=invfunds,ou=80a,o	=creschzz
			SPSA:		80000002

- 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".

HKEX Synapse The Power of Connectivity.		▲ Notifications ~ 🗂	07 February 2022 (3) CP0040_UM 🗟 🂢
Initial Onboarding Details: FUND ID 11	1111		Back to Fund List × Reject Poprove
Onboarding Status: AM:Approved ~ FUND DETAILS	FUND ONBOARDING REJECTION: Please provide a comment below:		as:Inactive
FUND DETAILS: Fund Name: Fund LE: Fund Umbrella: Fund Domicile: Fund Alternative (D) (Optional DEFAULT SETTLEMENT MOD) Settlement Mode - Bill Trade Settlement Mode - Bill Trade	Comment	Cancel	CP00913_SynapseGC 9004974 222200N66LB8AAG39488 FIVCG821XXX cn=invlunds.ou=80a.o=creschzz 1404242
FUND PROFILE PROCESSING Fund Effective Date:		LC DN: SPSA:	CP00918_SynapseLC C00033 5489009rHANGSE80xEE42 HASEHKHH000X cn=invfunds.ou=80a.c=crvschzz a0x000002

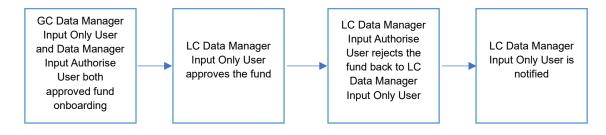
- 5. The GC Data Manager Input Only User will be informed in one way:
  - a. Funds List view: increased counter under "Awaiting GC Maker Approval", change in icon from '✓' to 'X ' in the GC column, and changed status to "LC Rejected"
  - b. The LC Data Manager Input Only User and LC Data Manager Input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



### 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.

HKEX Syr	rity. ¯				🖻 26 August 2022 🕃 synuat143 synuat143 🗸
FUND DETAILS	FUND PROFILE	1 FUND PROFILE 2	FUND PROFILE 3 FUND PI	ROFILE 4	
FUND PROFILE ST	ATUS:				×REJECT ✓APPROVE
AM:APPF	ROVED -	GC:APPROVED -	LC MAKER: APPROVED ~	LC CHECKER: PENDING APPROVAL	STATUS:IN Reject Back To Maker Reject Back To GC
FUND PROFILE	DETAILS:			ASSET MANAGER DETAILS:	
Fund Effect	ive Date:		2021-06-05	AM Name:	SynComp501
				AM LEI:	549300N66LYETIGSH384
				AM BIC:	DTCCMEORXXX
GLOBAL CUST	ODIAN DETAILS:			AM DN:	cn=invfunds,ou=80a,o=creschzz
GC BIC:			FIVCGB21XXX	LOCAL CUSTODIAN DETAILS:	
Fund Accou	int at GC:		546270	Investor ID:	300013
GC Name:			SynComp511	LC Name:	SynComp521
GC LEI:			222200N66LBBAAGSH888	LC CCASS ID:	C00016
GC DN:		cr	=invfunds,ou=80a,o=creschzz	LC LEI:	621344ABC32JRTFGR421
GC's Accou	nt at LC:		762456	LC EL.	JMPPMJ55XXX
				LC DN:	cn=invfunds.ou=80a.o=creschzz
				SPSA:	8000001

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

HKEX Synapse			26 August 2022 🛞 synuat 143 synuat 143 🗸 💢
Kenter State			
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:		
FUND PROFILE STATUS:	Please provide a comment below:		×REJECT ✓APPROVE
AM:APPROVED - G	Comment		STATU S:INACTIVE
FUND PROFILE DETAILS:			
Fund Effective Date:			SynComp501 549300N66LYETIGSH384
GLOBAL CUSTODIAN DETAILS:		Cancel Submit	DTCCMEORXX cn=invfunds.ou=80a.o=creschzz
GC BIC: Fund Account at GC:			
GC Name:			300013 SynComp521
GC LEI:			C00016
GC DN: GC's Account at LC:			621344ABC32JRTFGR421
1 OC & ACCOUNT AT LC.	LC BIC: LC DN:		JMPPMJ55XXX cn=invfunds.ou=80a.o=creschzz
	SPSA:		cn=invtunds,ou=80a,o=crescn2z 80000001

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

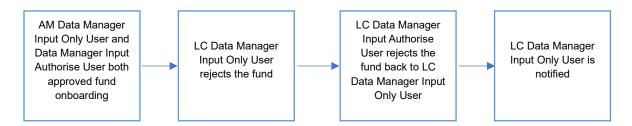
HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 @ symuat143 symuat143 🗸 💢
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:	
FUND PROFILE STATUS:	Please provide a comment below:	× REJECT ✓ APPROVE
AM:APPROVED - G	Please reject back to GC and change the GC account at LC	STATUS: INACTIVE
FUND PROFILE DETAILS: Fund Effective Date:		SynComp501 549300N66LYETIGSH334 DTCOMEORXXX
GLOBAL CUSTODIAN DETAILS: GC BIC: Fund Account at GC: GC Name:	Cancel Submit	- cn=invfunds,ou=80a,o=creschzz
GC LEI: GC DN: GC's Account at LC:		SynComp521 C00016 621344ABC32JRTFGR421
	LC DL: LC DH: SPSA:	cn+invluids.cu=80.a.o=resentizz 80000001

- 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.

	: FUND ID 555555					
EY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE	4	
FUND PROFILE	STATUS:					× REJECT × APPP
AM:A	PPROVED ~	GC:APPROVED -	LC MAKER: RE	JECTED×0	LC CHECKER: PENDING	STATUS: INACTIVE
FUND PROFI	LE DETAILS:			_	ASSET MANAGER DETAILS:	
Fund Effe	ective Date:		2021-06-05		AM Name:	SynComp501
					AM LEI:	549300N66LYETIGSH384
					AM BIC: AM DN:	DTCCMEORXXX cn=invfunds.ou=80a.o=creschzz
GLOBAL CU	STODIAN DETAILS:			1	AM DN:	ch=inviunds,ou=ooa,o=crescrizz
GC BIC:			FIVCGB21XXX		LOCAL CUSTODIAN DETAILS:	
Fund Acc	count at GC:		546270		Investor ID:	300013
GC Name			SynComp511		LC Name:	SynComp521
GC LEI:			222200N66LBBAAGSH888		LC CCASS ID:	C00016
GC DN:		cn	=invfunds,ou=80a,o=creschzz		LC LEI:	621344ABC32JRTEGR421
	ount at LC:		762456		LC BIC:	JMPPMJ55XXX
GC's Acc					LC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Acc						

- 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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← Back Fund Details:	FUND ID 555555					
KEY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE	4	
FUND PROFILE ST	TATUS:	GC:APPROVED ~	LC MAKER: RE	JECTED×●	LC CHECKER: PENDING	STATUS:INAC Reject Back To Maker
FUND PROFILE	DETAILS:			-	ASSET MANAGER DETAILS:	Reject Back To GC
Fund Effect			2021-06-05		AM Name: AM LEI: AM BIC: AM DN:	SynComp501 549300N6LVETIGSH384 DTCCMEORXXX cn=invfunds, ou=80a, o=creschzz
GLOBAL CUST	ODIAN DETAILS:		FIVCGB21XXX	-	LOCAL CUSTODIAN DETAILS:	
Fund Accor GC Name: GC LEI: GC DN:	unt at GC:	cn	546270 SynComp511 222200N66LBBAAGSH888 invfunds.ou=80a.o=creschzz		Investor ID: LC Name: LC CCASS ID:	300013 SynComp521 C00016
GC's Accou	unt at LC:	GI	762456		LC LEI: LC BIC: LC DN: SPSA:	621344ABC32JRTFGR421 JMPPMJ55XXX cn=invfunds,ou=80a,o=creschzz 80000001

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

HKEX Synapse The Power of Connectivity.		🗎 26 August 2022 (3) synuat143 synuat143 🤟 🂢	
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:		
FUND PROFILE STATUS:	Please provide a comment below:	× REJECT	i
AM: APPROVED ~	Comment	TATUS: INACTIVE	l
FUND PROFILE DETAILS:			l
Fund Effective Date:		SynComp501 549300N6LVETIGSH334 DTCCMEORXXX	l
GLOBAL CUSTODIAN DETAILS:		cn=invfunds,ou=80a,o=creschzz	l
GC BIC: Fund Account at GC:			l
GC Name:		300013 SynComp521	1
GC LEI:		C00016	1
GC DN: GC's Account at LC:		621344ABC32JRTFGR421	1
GC's Account at LC:	LU BIC:	JMPPMJ55XXX	1
	LC DN: SPSA:	cn=invfunds,ou=80a,o=creschzz 80000001	1
	j SP SR:	3000091	

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

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KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:		
FUND PROFILE STATUS:	Please provide a comment below:		× REJECT VAPPROVE
AM:APPROVED ->	Change the GC account at LC		TATUS:INACTIVE
FUND PROFILE DETAILS:			
Fund Effective Date:			SynComp501 549300N66LYETIGSH384 DTCCMEORXXX cn=invfunds ou=030,ac=reschzz
GLOBAL CUSTODIAN DETAILS:		Cancel Submit	cit-invitinus, ou-ova, o-crescrizz
GC BIC:			
Fund Account at GC: GC Name:			300013
GC Name: GC LEI:			SynComp521
GC DN:			C00016
GC's Account at LC:			621344ABC32JRTFGR421 JMPPMJ55XXX
	LC DN:		cn=invfunds.ou=80a.o=creschzz
	SPSA:		80000001

- 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.

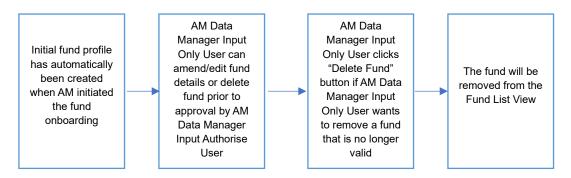
Fund Profile Creation follows the same flow for AMs / GCs / LCs as Fund Onboarding, where information can be found in Fund Onboarding section earlier.

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.

Back Fund Details: FUND ID 555555							Add Fund P
KEY FUND DETAILS FUND PROFI	LE 1 FUND PROFILE 2 FUND PROF	FILE 3 FUND PI	PROFILE 4	FUND PROFILE 5	FUND PROFILE 6	FUND PROFILE 7	FUND PR
FUND PROFILE STATUS:							
AM MAKER: APPROVED ~	AM CHECKER: APPROVED ~	GC:APPROVED	~	LC:APPROVED ~	STATUS: ACTIVE	DEACTIVATE	
FUND PROFILE DETAILS:			ASSET	MANAGER DETAILS:			
Fund Effective Date:	2021-	06-05		Name:			mp501
			AM			549300N66LYETIC	
			AM			DTCCME cn=invfunds.ou=80a.o=c	
GLOBAL CUSTODIAN DETAILS:						5mmunus,ou-508,0=C	000166
GC BIC:	FIVCGB2	1XXX	LOCAL	CUSTODIAN DETAILS:			
Fund Account at GC:	6	52194	Inve	stor ID:			600002
GC Name:	SynCor			lame:			mp522
GC LEI:	222200N66LBBAAG5			CASS ID:			200033
GC DN:	cn=invfunds,ou=80a,o=cre	schzz	LC L			5493005HANGSE88	
				BIC:		HASEHK	HHXXX
						cn=invfunds,ou=80a,o=c	
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The Power of Connectivity.					ლ 26 Aug	cn=invfunds,ou=80a,o=c	reschzz
The Power of Connectivity.	*Investor ID :				₫ 26 Aug 600002	cn=invfunds,ou=80a,o=c	eschzz uat001 ∽
The Power of Connectivity.	• Investor ID : SPSA:				<u>600002</u> 80000002	cn=invfunds,ou=80a,o=c	eschzz uat001 ∽
The Power of Connectivity.	SPSA: LC Name :				600002 80000002 SynComp522	cn=invfunds,ou=80a,o=c	eschzz uat001 ∽
The Power of Connectivity.	SPSA: LC Name : LC CCASS ID :			NR:	600002 80000002 SymComp522 C00033	cn=invfunds,ou=80a,o=c	eschzz uat001 ∽
The Power of Connectivity.	SPSA: LC Name : LC CCASS ID : LC LEI :			NR:	600002 80000002 SynComp522	cn=invfunds,ou=80a,o=c	eschzz uat001 ∽
The Power of Connectivity.	SPSA: LC Name : LC CCASS ID :			NR:	600002 80000002 SymComp522 C00033 5493005HANG5E88XEE42	cn=invfunds,ou=80a,o=c	eschzz uat001 ∽
HKEX Synapse The Power of Connectivity. w/ Fund	SPSA: LC Name : LC CCASSID : LC LEI : LC EIC :			NR:	600002 80000002 SymComp522 C00033 5493005HANGS688XEE42 HASEHKIHDXX	cn=invfunds,ou=80a,o=c	eschzz uat001 ∽
The Power of Connectivity.	SPSA: LC Name : LC CCASS ID : LC LEI : LC BIC : LC DI :			NR:	600002 80000002 SymComp522 C00033 5493005HANGS688XEE42 HASEHKIHDXX	cn=invfunds,ou=80a,o=c	uat001 ∨

### **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.
- 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.

EX Synapse wer of Connectivity.	4 8			🚍 26 August 2022 🛞 synuat001 synuat00
nboarding Details: FUND ID 553181				< Back t
Onboarding Status:				× Delete Fund Creation
AM Maker: Approved -	AM Checker: Pending Approval	GC:Pending	LC:Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
1			GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:			GEODAL COSTODIAN DETAILS.	
Fund Name:	Fidelity Asia Fund 3181		GC Name:	SynComp511
Fund LEI:	549300N66LYETIGSH359		Fund Account at GC:	543181
Fund Umbrella:	Fidelity Global Fund		GC LEI:	222200N66LBBAAGSH889
Fund Domicile:	HK		GC BIC:	FIVCGB21XXX
Fund ID:	553181		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):	777777			
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	300013
Settlement Mode - Buy Trade:	DVP		LC Name:	SvnComp521
Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	DVP		LC CCASS ID:	C00016
Settlement mode - Sen frade:	DVP		LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XXX
			LC DN:	cn=invfunds.ou=80a.o=creschzz
Fund Effective Date:	2021-06-05		SPSA:	8000001

a. Fund is still pending approval by AM Data Manager Input Authorise User

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

arding Details: FUND ID 553181				
Onboarding Status:				× Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected × •	GC: Pending	LC: Pending	Status: Inactive
FUND DETAILS	1 202	FUND PROF	ILE 1 DETAILS	
, ,				
FUND DETAILS:		GLOBAL CUS	TODIAN DETAILS:	
		GC Name:		SynComp51
Fund Name:	Fidelity Asia Fund 3181	Fund Account	nt at GC:	54318
Fund LEI:	549300N66LYETIGSH359	GC LEI:		222200N66LBBAAGSH88
Fund Umbrella:	Fidelity Global Fund	GC BIC:		FIVCGB21X0
Fund Domicile:	HK	GC DN:		cn=invfunds.ou=80a.o=cresch:
Fund ID:	553181			
Fund Alternative ID (Optional):	777777			
		LOCAL CUST	ODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:		3000
Settlement Mode - Buy Trade:	DVP	LC Name:		SynComp52
Settlement Mode - Sell Trade:	DVP	LC CCASS IE		C000
Jouroment mous - Jen Haue.	DVP	LC LEI:		621344ABC32JRTFGR4
FUND PROFILE PROCESSING DETAILS:		LC BIC:		JMPPMJ55X
		LC DN:		cn=invfunds.ou=80a.o=cresch
Fund Effective Date:	2021-06-05	SPSA:		800000

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.

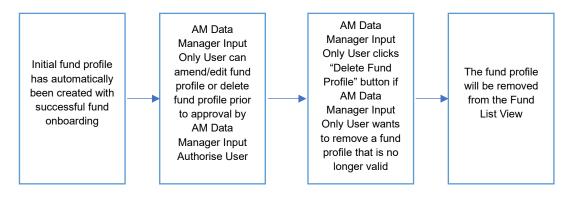
oarding Details: FUND ID 553181			
ourding becaus. I one is sos for			( Data
Onboarding Status:			× Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected ×	GC:Pending LC:Pending	. Status: Inactive
FUND DETAILS	✓ Eot	FUND PROFILE 1 DETAILS	/ Eot
1		GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:		GLOBAL CUSTODIAN DETAILS:	
		GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 3181	Fund Account at GC:	543181
Fund LEI:	549300N66LYETIGSH359	GC LEI:	222200N66LBBAAGSH889
Fund Umbrella:	Fidelity Global Fund	GC BIC:	FIVCGB21XXX
Fund Domicile:	HK	GC DN:	cn=invfunds.ou=80a.o=creschzz
Fund ID:	553181		
Fund Alternative ID (Optional):	777777		
		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:	300013
Settlement Mode - Buy Trade:	DVP	LC Name:	SynComp521
Settlement Mode - Sell Trade:	DVP	LC CCASS ID:	C00016
Settlement mode - Sen 11808:	DVP	LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:		LC BIC:	JMPPMJ55XXX
TOND FROMEE FROCESSING DETAILS:		LC DN:	cn=invfunds.ou=80a.o=creschzz
Fund Effective Date:	2021-06-05	SPSA:	80000001
Tuna Encoure bute.	2021-00-00		

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.

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Da	ashboard	Settlement In	structions	Funds		Relationships	Ma	irket C	ata	Reports			
FUNDS	2 Awaiting AM Che	ecker Approval	1 1 Awaiting GC Approval Aw	aiting LC Approval						Q Search Generate Report	+ New Fund		
FUND ID 4 7	FUND NAME 4 7	GC NAME A 7	FUND ACCOUNT AT GC 7 7	INVESTOR ID	SPSA A T	FUND EFFECTIVE DATE	AM ^	GC △	LC ≏	STATUS 🗠 🔻			
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	~	~	× .	Active	DETAILS >		
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12		-	-	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	~	1	1	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	~	1	1	Active	DETAILS >		
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	1	•	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	~	~	1	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	~	1	1	Active	DETAILS >		
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	1	~	Active	DETAILS >		

### 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.

HKEX The Power of C	Synapse		4	X						<b>E</b> 2	6 August 2022 ④ synuat001 synua	1001 - 🗙
Da	shboard	Settlement In	structions	Fur	ıds		Relationships	Ma	arket D	lata	Reports	
FUNDS	<b>2</b> Awaiting AM Ch	ecker Approval	1 Awaiting GC Appr	<b>1</b> oval Awaiting L	.C Approval						Q Search Generate Repor	+ New Fu
FUND ID ^ 🔻	FUND NAME A T	GC NAME A	FUND ACCOUNT	AT GC 🗸 👻 I		SPSA A T	FUND EFFECTIVE DATE	AM ^	GC △	LC ≏	STATUS A 🔻	
AM_User_One	UBS Asia Fund	SynComp511	8004872	:	00013	80000000	2021-06-05	~	× .	~	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	742194	:	00013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS
555555	Fidelity Asia Fund	SynComp511	552194		00002	80000002	2021-06-05	× .	~	× .	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546272	(	600002	80000001	2021-06-05	× .	1	1	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546271	:	00013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS :
555555	Fidelity Asia Fund	SynComp511	546270	:	00013	80000001	2021-06-05	× .	~	1	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546270	:	00013	80000001	2021-06-05	× .	~	•	LC Maker Rejected	DETAILS
553182	Fidelity Asia Fund 3182	SynComp511	543182	:	00013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS
553180	Fidelity Asia Fund 3180	SynComp511	543180	:	00013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS :
552781	Fidelity Asia Fund 2780	SynComp512	542781	;	12615	80000001	2021-06-05	~	1	1	Active	DETAILS :
552781	Fidelity Asia Fund 2781	SynComp225	542781		12615	80000001	2021-06-05	× .	-	-	AM Approved	DETAILS
555555	Fidelity Asia Fund	SynComp511	542194	:	00013	80000001	2021-06-05	× .	~	1	Active	DETAILS :
552102	Fidelity Asia Fund 2102	SynComp511	542102	1	00013	80000001	2021-06-05	× .	1	× .	Active	DETAILS
552014	Fidelity Asia Fund	SynComp511	542014	:	00013	80000001	2021-06-05	× .	~	1	Active	DETAILS

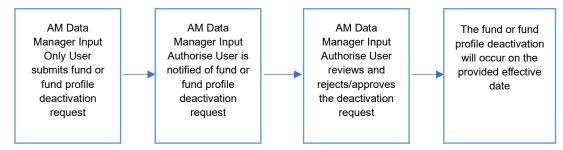
2. The AM Data Manager Input Only User can click "Delete Fund Profile" on the Fund Profile view.

The Power of	(Synapse					•	26 August 2022 ④ synuat001 synuat001 🤟
←Back Fund	d Details: FUND ID 555555						+ Add Fund
EY FUND DE	TAILS FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	FUND PROFILE 5	FUND PROFILE 6	FUND PROFILE 7
FUND PR	OFILE STATUS:						× DELETE FUND PROFI
	AM MAKER: APPROVED ~	AM CHECKER: PE	ENDING APPROVAL	GC:PENDING	LC:I	PENDING	STATUS:INACTIVE
FUN	ID PROFILE DETAILS:			AS	SET MANAGER DETAIL	S:	
	Fund Effective Date:		2021-06-05		AM Name:		SynComp501
					AM LEI:		549300N66LYETIGSH384
					AM BIC:		DTCCMEORXXX
GLC	BAL CUSTODIAN DETAILS:			I	AM DN:		cn=invfunds,ou=80a,o=creschzz
	GC BIC:		FIVCGB21XXX	LO	CAL CUSTODIAN DETAI	LS:	
	Fund Account at GC:		546271		Investor ID:		300013
	GC Name:		SynComp511		LC Name:		SynComp521
	GC LEI:		222200N66LBBAAGSH888		LC CCASS ID:		C00016
	GC DN:	cn=	=invfunds,ou=80a,o=creschzz		LC LEI:		621344ABC32JRTFGR421
					LC BIC:		JMPPMJ55XXX
					LC DN:		cn=invfunds,ou=80a,o=creschzz
					SPSA:		80000001

3. 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:

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

Da	ashboard	Settlement In	structions	Funds		Relationships	Ма	irket E	lata	Reports	ports	
FUNDS	2 Awaiting AM Che	ecker Approval	1 1 Awaiting GC Approval Awai	iting LC Approval						<b>Q</b> Search Generate Report	+ New Fu	
FUND ID A T	FUND NAME A T	GC NAME 4 T	FUND ACCOUNT AT GC * *	INVESTOR ID 4 7	SPSA ^ =	FUND EFFECTIVE DATE	AM ^	GC ^	LC 4	STATUS 4 T		
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	1	1	1	Active	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	552194	600002	8000002	2021-06-05	~	× .	1	Active	DETAILS	
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	~	1	Active	DETAILS	
555555	Fidelity Asia Fund	SynComp511	546271	300013	8000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS	
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	~	1	Active	DETAILS	
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	1	× .	•	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	1	~	1	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	1	~	1	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	1	~	1	Active	DETAILS	

- 3. 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.
- 4. On the Fund Details view, the AM Data Manager Input Only User can click "Deactivate".

Back Fun	nd Details:	FUND ID 555555						+ Add Fund
Y FUND D	DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE	FUND PROFILE 5	FUND PROFILE 6 FUN	ID PROFILE 7
FUND PF	ROFILE S	TATUS:						
	AM MAK	ER: APPROVED -	AM CHECKER: AP	PROVED~	GC:APPROVED ~	LC: APPROVED -	STATUS: ACTIVE	DEACTIVATE
FU	JND PROFILI	E DETAILS:				ASSET MANAGER DETAILS:		
	Fund Effec	tive Date:		2021-06-0	5	AM Name:		SynComp501
						AM LEI:		549300N66LYETIGSH384
						AM BIC:		DTCCMEORXXX
GL	LOBAL CUST	TODIAN DETAILS:				AM DN:		cn=invfunds,ou=80a,o=creschzz
_	GC BIC:			FIVCGB21XX	Y	LOCAL CUSTODIAN DETAILS:		
	Fund Acco	unt at GC:		54627				
	GC Name:			SynComp51		Investor ID: LC Name:		300013
	GC LEI:			222200N66LBBAAGSH88	8	LC Name: LC CCASS ID:		SynComp521 C00016
	GC DN:		cn	=invfunds,ou=80a,o=creschz	z	LC LEI:		621344ABC32JRTFGR421
						LC BIC:		JMPPMJ55XXX
						LC DN:		cn=invfunds.ou=80a.o=creschzz

5. 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).

HKEX Synapse					ugust 2022 @ synuat001 synuat001 🗸 🗙
←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 PROFILE STATUS:					
AM MAKER: APPROVED -	AM CHECKER: APPROV FUND DEACT	IVATION:	VED ~	STATUS: ACTI	VE DEACTIVATE
FUND PROFILE DETAILS:	Please specify fu	und deactivation effectivatio	on date: TAILS:		
Fund Effective Date:		2222-08-27	Cancel Ok		SynComp501 549300N66LYETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:					cn=invfunds,ou=80a,o=creschzz
GC BIC:	FIVCGB21XX	X	CAL CUSTODIAN DETAILS		
Fund Account at GC: GC Name:	54627 SynComp51	11	Investor ID: LC Name:		300013 SynComp521
GC LEI: GC DN:	222200N66LBBAAGSH88 cn=invfunds.ou=80a.o=cresch2		LC CCASS ID:		C00016
1 0000	ch-invidids, ou-ora, o-crescila		LC LEI: LC BIC:		621344ABC32JRTFGR421 JMPPMJ55XXX
			LC DN:		cn=invfunds.ou=80a,o=creschzz

- 6. 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:
  - a. Funds List view: the AM column will have a 'O' icon and the status column will show "Inactivation Pending Approval"

The Power of C	Synapse		$\mathbf{k}$							<b>=</b> 26	6 August 2022 ④ synuat003 synuat	003 ~ 🗙
Da	ashboard	Settlement In	structions	Fu	nds	Jack I	Relationships	Ma	irket C	ata	Reports	
FUNDS	2 Awaiting AM Ch	ecker Approval	1 Awaiting GC Appro	1 val Awaiting	LC Approval						<b>Q</b> Search Generate Report	+ New Fun
FUND ID 4 T	FUND NAME A T	GC NAME A	FUND ACCOUNT A	T GC 🔍 🔻		SPSA A T	FUND EFFECTIVE DATE	AM ^	GC △	LC ≏	STATUS A 🔻	
AM_User_One	UBS Asia Fund	SynComp511	8004872		300013	80000000	2021-06-05	~	~	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194		300013	80000001	2022-08-12		-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194		600002	80000002	2021-06-12	•	~	1	Inactivation Pending Approval	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	~	1	~	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	~	1	1	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	~	1	1	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102		300013	80000001	2021-06-05	~	~	1	Active	DETAILS >
552014	Fidelity Asia Fund	SynComp511	542014		300013	80000001	2021-06-05	~	1	1	Active	

### AM Data Manager Input Authorise User:

- 1. The AM Data Manager Input Authorise User will be informed the fund or fund profile deactivation in one way:
  - a. Funds List view: the AM column will have a 'O' icon and the status column will show "Inactivation Pending Approval"
- 2. The AM Data Manager Input Authorise User can either reject or approve the deactivation request.
  - a. 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

#### '**√**' **HKEX Synapse** 🗄 26 August 2022 ④ synuat003 synuat003 ck Fund Details: FUND ID 555555 FUND PROFILE 7 KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 FUND PROFILE 3 FUND PROFILE 4 FUND PROFILE 5 FUND PROFILE 6 X REJECT ZAPE FUND PROFILE STATUS: AM MAKER: APPROVED ~ AM CHECKER: FUND PROFILE DEACTIVATION PENDING APPROVAL GC: APPROVED -LC:APPROVED -STATUS: ACTIVE FUND PROFILE DETAILS: ASSET MANAGER DETAILS AM Name: Fund Effective Date: 2021-06-12 549300N66 AM BIC: AM DN: GLOBAL CUSTODIAN DETAILS: LOCAL CUSTODIAN DETAILS FIVCGB21XXX Investor ID: LC Name: LC CCASS ID LC LEI: LC BIC: LC DN: SPSA: Fund Account at GC: 552194 GC Name GC LEI: GC DN: SynComp511 6LBBAAGSH888 vfunds.ou=80a.o=creschzz

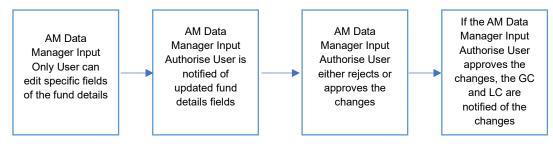
- b. If the AM Data Manager Input Authorise User approves the deactivation request by clicking "Approve", then the fund or fund profile will become deactivated on the effective date provided by the AM Data Manager Input Only User
- 3. The AM Data Manager Input Only User will be notified the fund or fund 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:
  - 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.

The Power of C	Synapse			2					₿ 26	🗎 26 August 2022 ④ synuat001 synuat001 🦂			
Da	ashboard	Settlement In	structions	Funds		Relationships	Ма	rket C	ata	Reports			
UNDS	2 Awaiting AM Che	ecker Approval	1 1 Awaiting GC Approval Await	ting LC Approval						Q Search Generate Repo	+ New Fi		
FUND ID 4 🔻	FUND NAME 4 T	GC NAME A T	FUND ACCOUNT AT GC 7 7		SPSA A T	FUND EFFECTIVE DATE	AM <sup>4</sup>	GC ≜	LC ≜	STATUS A T			
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	1	× .	1	Active	DETAILS		
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12		-	-	Pending AM Checker Approval	DETAILS		
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-12		1	1	Inactivation Pending Approval	DETAILS		
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	× -	1	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	1	1	•	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	~	1	1	Active	DETAILS		
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	× .	× .	Active	DETAILS		

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.



3. 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.

FUND DETAILS	
* Fund Name :	Fidelity Asia F
Fund LEI :	549302N66LYETIGS34
Fund Umbrella :	Fidelity Global Fu
Fund Domicile :	
* Fund ID :	52:
Fund Alternate ID :	
DEFAULT SETTLEMENT MODE :	
* Settlement Mode - Buy Trade :	D
* Settlement Mode - Sell Trade :	D\
FUND PROFILE PROCESSING DETAILS :	
* Fund Effective Date :	2021-06-05

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund LEI	Legal Entity Identifier for the Fund	String	20	0	N/A
Fund Umbrella	d Umbrella Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure		50	0	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1- alpha-2 code	String	2	0	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	0	N/A
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	М	#N/A
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	М	3 characters
Fund Effective Date	The date from which the fund is active on the system	Date	20	М	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.

HKEX Syl	napse				😑 26 August 2022 @ synuat003 synuat003 🤟 🗙
eBack Fund Details:	FUND ID AM_User_One				+ Add Fund Profile
KEY FUND DETAILS	FUND PROFILE 1				
FUND STAT					REJECT APPROVE
	AM MAKER: APPROVED ~	AM CHECKER: PEN	FUND DETAILS: FUND Name: Fund Name:	UBS Asia Fund 549300N66LYETIGSH430	STATUS: PENDING AMENDMENT APPROVAL
			Fund Umbrella: Fund Domicile: Fund ID:	UBS Global Fund US AM_User_One	
		I	Fund Alternative ID (Option		
			Settlement Mode - Bu Settlement Mode - Se	II Trade: RDP	
			FUND PROCESSING DE	2024 00 45	ļ

### 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.

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 b 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				

### 5.7.1 Asset Managers (AM)

# 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

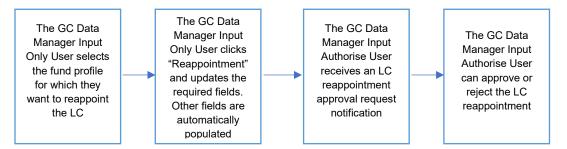
## 5.7.4 Local Custodians (LC)

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 reappointment 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.

2. The GC Data Manager Input Only User can navigate to the Funds List view by clicking the "Funds" tab.

C	Dashboard	Settlement Instru	ctions	Funds		Relations	hips	Market D	ata		Reports	5
UNDS	<b>1</b> Awaiting G	C Maker Approval Awaiti	ng GC Check	er Approval Awaiting LC	C Approval						Q Search	Generate Repo
FUND ID A 🔻	FUND NAME A T	FUND ACCOUNT AT GC	AM NAME A T	GC'S ACCOUNT AT LC	LC NAME 4 7		SPSA 4 7 FUND EFFECTIV	E DATE A 🔻 🖊	AM ^ C	GC≏ I	LC A STATUS A T	
555555	Fidelity Asia Fund	542194	SynComp501	762194	SynComp521	300013	80000001 2021-06-05		<ul> <li>.</li> </ul>	/ .	<ul> <li>Active</li> </ul>	DETAILS
552014	Fidelity Asia Fund	542014	SynComp501	762014	SynComp521	300013	80000001 2021-06-05		1 .	/ .	<ul> <li>Active</li> </ul>	DETAILS
552102	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	80000001 2021-06-05		/ .	/ .	<ul> <li>Active</li> </ul>	DETAILS
555555	Fidelity Asia Fund	546270	SynComp501	123456789	SynComp521	300013	80000001 2021-06-05		1 .	/ .	<ul> <li>Active</li> </ul>	DETAILS
555555	Fidelity Asia Fund	546272	SynComp501	762456	SynComp521	600002	80000001 2021-06-05		1.	/ .	<ul> <li>Active</li> </ul>	DETAILS
M_User_One	UBS Asia Fund	8004872	SynComp501	123456789	SynComp521	300013	80000000 2021-06-05		1 .	/	<ul> <li>Active</li> </ul>	DETAILS
55555	Fidelity Asia Fund	546270	SynComp501	762456	SynComp521	300013	80000001 2021-06-05		1.	/ •	LC Maker Rejected	DETAILS
M_User_One	UBS Asia Fund	8004873	SynComp502		SynComp521	300013	80000000 2021-06-05		1 .		<ul> <li>AM Approved</li> </ul>	DETAILS
55555	Fidelity Asia Fund	552194	SynComp501	752194	SynComp522	600002	80000002 2021-06-12			/ .	<ul> <li>Inactivation Pending App</li> </ul>	proval DETAILS

- 3. 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.
- 4. 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.

Back Fund Details:	FUND ID 555555				
FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4	FUND PROFILE 5	
FUND PROFILE S	STATUS:				
AM: AP	PROVED	GC MAKER: APPROVED - GC C	HECKER: APPROVED ~	LC: APPROVED -	STATUS: ACTIVE
FUND PROFIL	E DETAILS:		ASSE	T MANAGER DETAILS:	
Fund Effe	ctive Date:	2021-06-05		A Name:	SynComp501
				A LEI: A BIC:	549300N66LYETIGSH384 DTCCMEORXXX
				A DN:	cn=invfunds.ou=80a.o=creschzz
GLOBAL CUS	TODIAN DETAILS:				
GC BIC:		FIVCGB21XXX		L CUSTODIAN DETAILS:	Reappoint
	ount at GC:	542194		vestor ID:	300013
GC Name:		SynComp511		Name:	SynComp521
GC LEI:		222200N66LBBAAGSH888	10	CCASSID:	C00016
GC DN:		cn=invfunds,ou=80a,o=creschza	10	LEI:	621344ABC32JRTFGR421
GC's Acco	ount at LC:	762194	LC	BIC:	JMPPMJ55XXX
				DN:	cn=invfunds,ou=80a,o=creschzz
			SE	PSA:	80000001

- 5. 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:
  - a. "Investor ID"
  - b. "GC's Account at LC"
  - c. "Reappointment Effective Date"
  - d. Note:

(1) Other fields like "LC Name", "SPSA", "LC CCASS ID", "LC LEI", "LC BIC", and "LC DN" are automatically populated by Synapse.

(2) 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.

HKEX Synapse The Power of Connectivity.			岩 26 August 2022 🕃 synuat071 synuat071 🗸
Back Fund Details: FUND ID 555555			
FUND DETAILS FUND PROFILE 1	FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4 FUND PROFILE 5	
GC LEB: GC LEB: GC DN: GC's Account at LC:	SynCompSt1 222200168LEBJAGSH68E on-invlutids,ou=50a,o=creatizz 762456	LC Name: LC CCASS D: LC LE: LC BIC: LC BIC: LC DN: SPSA:	SynCompS21 C00016 62134ABC32JRTFGR421 JUPPMAS5002 cn=imfunds.ou=00.s-creative 8000001 300013 762466 2022-062 3976CompS21 8000001 62134ABC2JRTFGR421 C00016 62134ABC2JRTFGR421 C00016 62134ABC2JRTFGR421 C0016 62134ABC2 C0016 62134BC2 62134BC2 C0016 62134BC2 C0016 62134BC2 62134BC2 C0016 62134BC2 6216 62134BC2 62134BC2 6216 62134BC2 62134BC2 6216 6216 6216 62174BC2 6216 6216 6216 62174BC2 6216 62174BC2 6216 62174BC2 62174BC2 6216 62174BC2 62

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

HKEX Synapse The Power of Connectivity.			🗄 26 August 2022 🏵 synuat071 synuat071 🗸 💢
eBack Fund Details: FUND ID 555555			
KEY FUND DETAILS FUND PROFILE	1 FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4 FUND PROFILE 5	
GC Name:	SynComp511	LC Name:	SynComp521
GC LEI:	222200N66LBBAAGSH888	LC CCASS ID:	C00016
GC DN:	cn=invfunds,ou=80a,o=creschzz		621344ABC32JRTFGR421
GC's Account at LC:	762456	LC BIC:	JMPPMJ55XXX
		LC DN:	cn=invfunds,ou=80a,o=creschzz
		SPSA:	8000001
		*Investor ID: *GC's Account at LC *Reappointment Effe	/62436
		LC Name: SPSA:	SynComp521
		LC CCASS ID:	80000001
		LC LEI:	C00016
		LC BIC:	621344ABC32JRTFGR421
		LC DN:	JMPPMJ55XXX cn=invfunds,ou=80a,o=creschzz
			Cancel 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

2. 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.

HKEX Synapse The Power of Connectivity.			🖻 26 August 2022 @ synuat073 synuat073 🧹 🂢
KEY FUND DETAILS FUND PROFILE 1	FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4 FUND PROFILE 5	
FUND PROFILE STATUS:	GC MAKER: APPROVED - GC CHECK	ER:APPROVED - LC:APPROVED -	<b>STATUS:</b> ACTIVE
Fund Effective Date:	2021-06-05	AM Name: AM LEI: AM BIC: AM DN:	SynComp501 549300166L/ETIG5H384 DTCCMEORXXX on=invfunds.ou=60a.o=cresshzz
GLOBAL CUSTODIAN DETAILS:	FIVCGB21XXX	LOCAL CUSTODIAN DETAILS: Reject LC	Reappointment Accept LC Reappointment
Fund Account at GC: GC Name:	546272 SynComp511	Investor ID: LC Name:	600002 SynComp521
GC LEI: GC DN: GC's Account at LC:	222200N66LBBAAGSH888 cn=invfunds.ou=808.o=creschzz 762456	LC CCASS ID: LC LE: LC BIC: LC DN: SPSA:	C00016 621344ABC32JRTFGR421 JMPPMJ55XXX cn=invfunds.ou=80a,o=creschzz

- 3. 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:
  - 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"

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

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

1. 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".

HKEX Synapse The Power of Connectivity. Back Fund Details: FUND ID 555555			🖻 26 August 2022 💿 synuat073 synuat073 🗸
Y FUND DETAILS FUND PROFILE 1	FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4 FUND PROFILE 5	
FUND PROFILE STATUS:	GC MAKER: APPROVED - GC CHI	ECKER: APPROVED - LC: APPROVED -	STATUS: ACTIVE
Fund Effective Date:	2021-06-05	AM Name: AM LEI: AM BIC: AM DN:	SynComp501 549300No6L/ETIGSH384 DTCC/MEORXXX cn=invfunds,ou=80a,o=creschzz
GC BIC:	FIVCGB21XXX	LOCAL CUSTODIAN DETAILS: Reject LC F	Reappointment Accept LC Reappointment
Fund Account at GC:	546272	Investor ID:	600002
GC Name:	SynComp511	LC Name:	SynComp521
GC LEI:	222200N66LBBAAGSH888	LC CCASS ID:	C00016
GC DN:	cn=invfunds,ou=80a,o=creschzz	LC LEI:	621344ABC32JRTFGR421
GC's Account at LC:	762456	LC BIC:	JMPPMJ55XXX
		LC DN:	cn=invfunds,ou=80a,o=creschzz
		SPSA:	8000001

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

The Power of Connecti	napse <sup>ivity.</sup>						🖶 26 August 2022 🕃 synuat073 synuat073 🕚
←Back Fund Details:	FUND ID 555555						
EY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	FUND F	PROFILE 5	
FUND PROFILE S	TATUS:						
AM: APF	PROVED~	GC MAKER: APPROVED	GC CH	IECKER: APPROVED -	,	LC: APPROVED ~	STATUS: ACTIVE
FUND PROFILE	E DETAILS:			_	ASSET MANAG	GER DETAILS:	
Fund Effec	tive Date:		2021-06-05		AM Name:		SynComp501
					AM LEI:		549300N66LYETIGSH384
					AM BIC:		DTCCMEORXXX
GLOBAL CUST	TODIAN DETAILS:			1	AM DN:		cn=invfunds,ou=80a,o=creschzz
GC BIC:			FIVCGB21XXX		LOCAL CUSTO	DIAN DETAILS:	Reappoint
Fund Acco	unt at GC:		546272		Investor ID		600002
GC Name:			SynComp511		LC Name:		SynComp521
GC LEI:			222200N66LBBAAGSH888		LC Name:	ID:	C00016
GC DN:		cn=ir	vfunds,ou=80a,o=creschzz		LC LEI:		621344ABC32JRTFGR421
GC's Accor	unt at LC:		762456		LC BIC:		JMPPMJ55XXX
					LC DN:		cn=invfunds,ou=80a,o=creschzz
					SPSA:		8000001

## 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

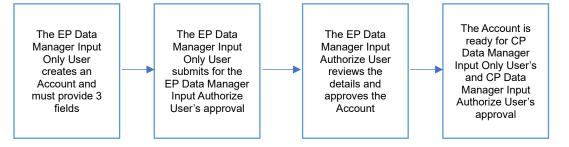
## 6.1 Account Onboarding

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:

- 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.

Da	shboard	ard Settlement Instructions		ts Relationships		Market Data	Reports			
ACCOUNTS		P Checker Approval	O Awaiting CP Approval			c	C Search	Gener	ate Report	+ New Accou
CP NAME * *	CP LEI * T	CP BIC 4 T	CP DN 4 T	CP CCASS ID 4 7	EP'S ACCOUNT AT CP 4 T	ACCOUNT EFFECTIVE DATE	EP ^	CP ≜	STATUS A T	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2021-06-05	× .	× .	Active	DETAILS
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900547	2021-06-05	× .	× .	Active	DETAILS
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900548	2021-06-05	~	1	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

HKEX Synapse			
w Account			Cancel S
Pl	ease provide the following information:		
	CP DETAILS:		
	* CP Name :	SynComp541 *	
	CP LEI :	812700N66LADSERSH679	
	CP BIC :	DTCCDEAGXXX	
	CP DN :	cn=invfunds,ou=80a,o=creschzz	
	CP CCASS ID :	B01110	
	ACCOUNT:		
	* FP's Account at CP :	000.478	
HKEX Synapse			22 @ synual211 synual211 ~
			-
	CPLEI:		-
		a 25 August 20	-
	CPLEI:	25 August 20	-
	CP LEI: CP BIC:	25 August 20 812700H88LADSER5H679 DTCCDEAQXXX	-
HKEX Synapse he Power of Connectivity. v Account	CP LEI: CP BIC : CP DN :	25 August 20 812700H68LADSERSH679 DTCCDEAQXXX cn=im/lunds.ou-60a.o=creschzz	-
	CP LEI: CP BIC: CP DN: CP CCASSID:	25 August 20 812700H68LADSERSH679 DTCCDEAQXXX cn=im/lunds.ou-60a.o=creschzz	-
	CP LEI : CP BIC : CP DN : CP CCASSID : CP CCASSID : CP CCASSID :	Cn=im/unds.ou=60a.o=cresch22 B0110	-

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 :	SynComp205 *	
	CP LEI :	KBKRB5THACAR89U8TMC5	
	CP BIC :	SYNCOMP205X	
	CP DN :	cn=invfundd,ou=80d,o=creschzd	
	CP CCASS ID :	B01450	
	ACCOUNT:		
	* EP's Account at CP :	903008	

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
CP Name	The Legal Entity name of the CP	String	70	М	N/A	Ν
EP's Account at CP	Account No. for EP at CP	String	15	М	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.

- 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	Туре	Size	Mandator y or Optional (M/O)	Syntax Validatio n
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.

Awaiting EP Checker Approval Awaiting CP Approval           CP MME <sup>®</sup> CP EI <sup>®</sup> CP DN <sup>®</sup> CP CASSID <sup>®</sup> ACCOUNT EPFECTIVE DATE <sup>®</sup> EP <sup>®</sup> CP <sup>®</sup> STATUS <sup>®</sup> SynComp541         812700H66LADSERSH079         DTCCDEAXXX         cn=iwindus ou=80a,o=creatotiz         B0110         900546         2021-06-05         ✓         Active         DETAILS           SynComp541         812700H66LADSERSH079         DTCCDEAXXXX         cn=iwindus ou=80a,o=creatotiz         B0110         900547         2021-06-05         ✓         Active         DETAILS           SynComp541         812700H66LADSERSH079         DTCCDEAXXXX         cn=iwindus ou=80a,o=creatotiz         B01110         900547         2021-06-05         ✓         Active         DETAILS           SynComp541         812700H66LADSERSH079         DTCCDEAXXXX         cn=iwindus ou=80a,o=creatotiz         B01110         900547         2021-06-05         ✓         Active         DETAILS           SynComp541         812700H66LADSERSH079         DTCCDEAXXXX         cn=iwindus ou=80a,o=creatotiz         B01110         900547         2021-06-05         ✓         Active         DETAILS	HKEX The Power of	Synapse		{				₿ 2	5 Aug	just 2022 🕃 synuat211 synual	211 - 🗙
Awaiting EP Checker Approval         CP DAME*         CP DAME*         CP CASE         CP CASEs         CP CASEs <thcp cases<="" th="">         CP CASEs         <thcp c<="" th=""><th></th><th>ashboard</th><th>Settlement In</th><th>structions</th><th>Accounts</th><th>Relationship</th><th>os Market I</th><th>Data</th><th></th><th>Reports</th><th></th></thcp></thcp>		ashboard	Settlement In	structions	Accounts	Relationship	os Market I	Data		Reports	
CP NAME**         CP EIE**         CP BIC**         CP DN **         CP CASSID**         EPS ACCOUNT AT CP**         ACCOUNT EFFECTIVE DATE**         EP*         CP*         STATUS**           SynComp541         812700N86LADSERSH979         DTCCDEAGXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900546         2021-06-05         ✓         ✓         Active         DETALLS           SynComp541         812700N86LADSERSH979         DTCCDEAGXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900547         2021-06-05         ✓         ✓         Active         DETALLS           SynComp541         812700N86LADSERSH979         DTCCDEAGXXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900547         2021-06-05         ✓         ✓         Active         DETALLS           SynComp541         812700N86LADSERSH979         DTCCDEAGXXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900549         2021-06-05         ✓         ✓         Active         DETALLS           SynComp541         812700N86LADSERSH979         DTCCDEAGXXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900549         2021-06-05         ✓         ✓         Active         DETALLS	ACCOUNT		ED Chasker Appr						۹	Search Generate Report	+ New Account
SynComp54         102700N86LADSERSH679         DTCCDEAGXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900545         2021-06-05         ✓         ✓         Active         DETALLS           SynComp54         812700N86LADSERSH679         DTCCDEAGXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900547         2021-06-05         ✓         ✓         Active         DETALLS           SynComp54         812700N86LADSERSH679         DTCCDEAGXXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900545         2021-06-05         ✓         ✓         Active         DETALLS           SynComp54         812700N86LADSERSH679         DTCCDEAGXXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900549         2021-06-05         ✓         ✓         Active         DETALLS           SynComp54         812700N86LADSERSH679         DTCCDEAGXXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900549         2021-06-05         ✓         ✓         Active         DETALLS		-			00.00400.004			50.4	cn		
SynComp541         812700W68LADSERSH679         DTCCDEAGXXXX         cm=im/lunds_ou=80a_o=creschzz         B01110         900548         2021-08-05         ✓         ✓         Active         DETAILS           SynComp541         812700W68LADSERSH679         DTCCDEAGXXXX         cm=im/lunds_ou=80a_o=creschzz         B01110         900549         2021-08-05         ✓         ✓         Active         DETAILS											
SynComp541 812700N66LADSERSH679 DTCCDEAQXXX cn=lm/lunds.ou=68a,o=creschzz B01110 900549 2021-06-05 🗸 🗸 Active DETAILS	SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900547	2021-06-05	~	~	Active	
	SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900548	2021-06-05	~	~	Active	DETAILS
SynComp541 812700N86LADSERSH679 DTCCDEAGXXX cn-invlunds,ou=80a,o=creschzz B01110 900428 2021-06-05 • - Pending EP Checker Approval DETALLS	SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900549	2021-06-05	~	1	Active	DETAILS
	SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900428	2021-06-05		-	Pending EP Checker Approval	DETAILS

- 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".

I Account Details: SynComp541		€Bi	ack to Account List ×Reject ✓App
Account Status:			× Delete Account Creation
EP Maker: Approved -/	EP Checker: Pending Approval	CP:Pending	Status: Inactive
ACCO	UNT DETAILS:		
EP	DETAILS:		
E	P Name :	SynComp531	
E	P LEI :	151500N66LJYHJUL934	
E	P BIC :	DTCCSELLXXX	
E	P DN :	cn=invfunds,ou=80a,o=creschzz	
E	P SEHK ID :	1430	
CP	DETAILS:		
	P Name :	SynComp541	

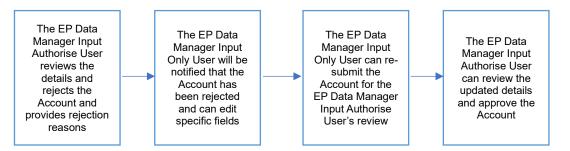
5. The Account is now created for CP processing, and the status of EP Data Manager Input Authorise User will be shown as "Approved."

Account Details: SynComp541			←Back to Accoun
Account Status:			× Delete Account Creation
EP Maker: Approved -	EP Checker: Approved ->	CP: Pending Approval	Status: Inactive
ACCOUN	T DETAILS:		
EP DE	TAILS:		
EP N	ime :	SynComp531	
EP LI	a:	151500N66LJYHJUL934	
EP B	C:	DTCCSELLXXX	
EP D	(:	cn=invfunds,ou=80a,o=creschzz	
EP SI	EHK ID :	1430	
CP DE	TAILS:		
CP N	ime :	SynComp541	

- 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".

HKEX Synapse The Power of Connectivity.			C
Initial Account Details: SynComp541		← Back to Account List ×Reject ✓App	rove
Account Status:	NEW ACCOUNT REJECTION: Please provide a comment below:	× Delete Account Creation	
EP Maker: Approved ~	Common de la common	Status: Inactive	
AC	Comment		
1	P		
		p531	
	E	Cancel Saturd XXX	
	E	chzz	
	£	1430	
	P DETAILS:		
	CP Name :	SynComp541	
HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 🏵 synuat214 synuat214 🖉 🔰	x
HKEX Synapse The Power of Connectivity. Initial Account Details: SynComp541			Kove
The Power of Connectivity. Initial Account Details: SynComp541	NEW ACCOUNT REJECTION:	<ul> <li>Back to Account List ≪Reject ✓App</li> </ul>	
The Power of Connectivity.	NEW ACCOUNT REJECTION: Please provide a comment below:		
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved.~	Please provide a comment below:		
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved ~ AC	Please provide a comment below: ressort		
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved ~ AC	Please provide a comment below:		
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved ~ AC	Please provide a comment below: ressort	Keisk to Account List × Reject × App     Status:Inactive	
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved ~ AC	Please provide a comment below: ressort		
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved ~ AC	Please provide a comment below: ressort		
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved ~ AC	Please provide a comment below: ressort	<ul> <li>Cancel Submit</li> <li>Cancel Submit</li> <li>Cancel Submit</li> <li>Cancel Submit</li> </ul>	
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker: Approved AC	Please provide a comment below: ressort		
The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker: Approved AC	Please provide a comment below:		

- 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.			<b>=</b> 2	5 August 2022 🕃 synuat211 synuat211 🗸 🔀
Initial Account Details: SynComp541				←Back to Account List
Account Status:				× Delete Account Creation
EP Maker: Pending Ar	mendment	EP Checker: Rejected ×	CP: Pending	Status: Inactive
	ACCOUNT DETAILS:			/ Ear
	EP DETAILS:			
	EP Name :		SynComp!	531
	EP LEI :		151500N66LJYHJULS	934
	EP BIC :		DTCCSELLX	xx
	EP DN :		cn=invfunds,ou=80a,o=cresci	hzz
	EP SEHK ID :		14	430
	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 @ synuat211 synuat211 🗸 🂢
Edit New Account Details	A	reason	Cancel Resubmit
	CP BIC :	DTCCDEAGXX	ĸ
	CP DN :	cn=invfunds,ou=80a,o=creschz	Z
	CP Participant ID :	B0111	D
	ACCOUNT:		
	* EP's Account at CP :	900425	_
	ACCOUNT PROCESSING:		
	* Account Effective Date :	2021-06-05	<u>)</u>
	Account Mapping Status :	EP Checker Rejected	d

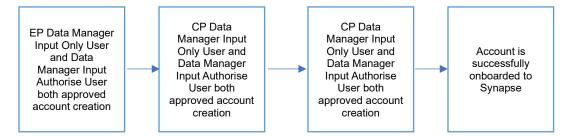
7. The EP Data Manager Input Authorise User can confirm that the fields re-submitted by going to the Account Details of the re-submitted record on Accounts List View and

#### "Approve".

HKEX Synapse			E 2	5 August 2022 @ synual214 synual214 🗸 💢
Initial Account Details: SynComp541				← Back to Account List × Reject ✓ Approve
Account Status:				$\times$ Delete Account Creation
EP Maker: Approved ~		EP Checker: Pending Approval	CP:Pending	Status: Inactive
Δ	CCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp	531
	EP LEI :		151500N66LJYHJUL	934
	EP BIC :		DTCCSELD	DOX
	EP DN :		cn=invfunds,ou=80a,o=cresc	hzz
	EP SEHK ID :		1	430
	CP DETAILS:			
	CP Name :		SynComp	541

## 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"
- The CP Data Manager Input Only User can navigate to the Account Details view by clicking "Details" on the Accounts List view.

4. 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 synuat	281 🗸 💢
Initial Account Details: SynComp541		▲To approve, provide the info	rmation indicated below.	←Back to Account List ×Reject ✓ Submi	it For Approval
Account Status:					
EP: Approved ~	▲CF	P Maker: Pending Approval	CP Checker: Pending	Status: Inactive	
	ACCOUNT DETAILS:				
	EP DETAILS:				
	EP Name :			SynComp531	
	EP LEI :		151500N	66LJYHJUL934	
	EP BIC :		[	DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=8	80a,o=creschzz	
	EP SEHK ID :			1430	
	CP DETAILS:				
	CP Name :			SynComp541	

Account Details: SynComp541	▲ To approve, provide the inform	mation indicated below.	unt List ×Reject ✓ Submit For A
Account Status:			
EP: Approved -/	CP Maker: Pending Approval	CP Checker: Pending	Status: Inactive
	CP DETAILS:		
	CP Name :	SynComp541	
	CP LEI :	812700N66LADSERSH679	
	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	

HKEX Synapse The Power of Connectivity.		± 25 A	ugust 2022 @ synuat281 synuat281 🗸 🚶
Initial Account Details: SynComp541	▲ To approve, provide the infor	mation indicated below.	count 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	
	ACCOUNT PROCESSING:		
	Account Effective Date :	2021-06-05	
	Account Mapping Status :	EP Approved	

Field Name	Description	Туре	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	Μ	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"
  - 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".

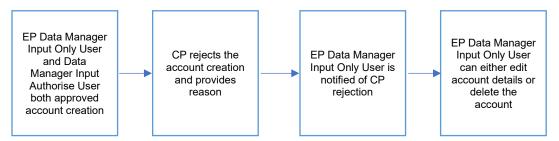
IKEX Synapse Power of Connectivity.		□ 25 Augu	st 2022 🕃 synual283 synual283 🗸
ial Account Details: SynComp541		<ba< th=""><th>ck to Account List × Reject </th></ba<>	ck to Account List × Reject
Account Status:			
EP: Approved ~	CP Maker: Approved ~	CP Checker: Pending Approval	Status: Inactive
A	CCOUNT DETAIL S:		
	EP DETAIL S:		
	EP Name :	SynComp531	
	EP LEI :	151500N66LJYHJUL934	
	EP BIC :	DTCCSELLXXX	
	EP DN :	cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :	1430	
i i	CP DETAILS:		
	CP Name :	SynComp541	

HKEX Synapse			Ē 25 A	sgust 2022 🕃 synual283 synual283 🗸 💢
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 :		151500N66LJYHJUL934	
	EP BIC :		DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			
	CP Name :		SynComp541	

#### 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.

HKEX Synapse	K B K	🖻 25 August 2022 🌒 synual281 synual281 🧹 🂢
Initial Account Details: SynComp541	▲To approve, provide the information indicated below.	Carter Submit For Approval
Account Status: EP:Approved ~	NEW ACCOUNT REJECTION: Please provide a comment below:	Status: inactive
		2531 Cancel Submit 2000 X000 thez
c	P DETAILS: CP Name :	1430 SynComp541

- 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.
- 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":

HKEX Synapse		-	25 August 2022 🕃 synual283 synual283 🗸 🂢
Initial Account Details: SynComp541			← Back to Account List × Reject
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 :	SynCom	np531
	EP LEI :	151500N66LJYHJU	11934
	EP BIC :	DTCCSEL	Doox
	EP DN :	cn=invfunds,ou=80a,o=cre	schzz
	EP SEHK ID :		1430
	CP DETAILS:		
	CP Name :	SynCom	np541

- 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.

HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 (i) synual283 synual283 🗟 🂢
Initial Account Details: SynComp541	To approve, provide the information indicated below.	+Back to Account List × Reject Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP: Approved	Please provide a comment below:	Status: Inactive
AC	Comment	
E	P	
		.934
	Cancel	XXX
	E	chzz
	ε	1430
	P DETAILS:	_
	CP Name :	SynComp541

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	FP Data	Manager Ir	nut Only	User
uic	Account	300111331011			manayer n	iput Oni	y 0301.

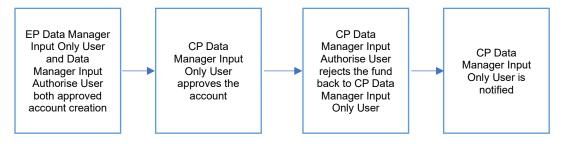
HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 @ synuat283 synuat283 🕤 🗙
Initial Account Details: SynComp541	▲ To approve, provide the information indicated below.	← Back to Account List × Reject ✓ Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP:Approved ~	Please provide a comment below:	Status:Inactive
4	Please change CP's account at CCASS	
	EP E E E E E	:031 234 200 duz 130
	CP DETAILS:	
	CP Name :	SynComp541

- 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.

HKEX Synapse The Power of Connectivity.		25 Augu	st 2022 💿 synual283 synual283 🗸 🂢
Initial Account Details: SynComp541			ck to Account List × Reject
Account Status: EP:Approved ~	CP Maker: Approved >	CP Checker:Pending Approval	Reject Back To Maker Reject Back To EP Status:Inactive
	ACCOUNT 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	

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.

HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 🕲 synuat283 synuat283 🗸 🂢
Initial Account Details: SynComp541		+Back to Account List × Reject ✓ Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP: Approved ~	Please provide a comment below:	Status: Inactive
	Comment	
	ACCC	
	EP	
	ε	9531
	Cancel	.934
	8	XXX
	E	chzz
	E	1430
	CP DETAILS:	
	CP Name : Sym	Comp541

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

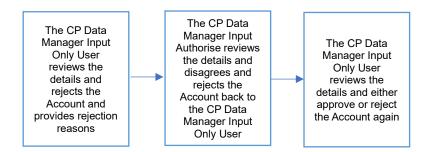
HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 🕘 synual283 synual283 🗸 🔀
Initial Account Details: SynComp541		←Back to Account List × Reject ✓ Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP:Approved ~	Please provide a comment below:	Status:Inactive
ACCC	Change CP's account at CCASS	
EP		
E		5531
E	Cancel Submit	_934 III
ŧ		chzz
E		1430
СР	DETAILS:	
c	CP Name : SynC	omp541

- 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

HKEX Synapse		■ 25 Aug	gust 2022 🌒 synuat281 synuat281 🗸 💢
Initial Account Details: SynComp541			ount List ×Reject ✓ Submit For Approval
Account Status:			
EP:Approved ~	CP Maker: Pending Amendment	CP Checker: Rejected × 0	Status: Inactive
		Comment:	
	ACCOUNT DETAILS:	Change CP's account at CCASS	I
	EP DETAILS:	CLOSE	
	EP Name :	SynComp531	
	EP LEI :	151500N66LJYHJUL934	
	EP BIC :	DTCCSELLXXX	
	EP DN :	cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :	1430	
	CP DETAILS:		
	1		

#### 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.
- 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		26 Au	just 2022 💿 synuat283 synuat283 🗟 🏹
Initial Account Details: SynComp541			ack to Account List × Reject × Approve
Account Status:	CP Maker: Rejected × ●	CP Checker: Rejection Pending Approval	Reject Back To Maker Reject Back To EP Status:Inactive
	ACCOUNT DETAILS: EP DETAILS: EP Name : EP LE : EP DIC : EP DIC : EP DIC : CP DETAILS: CP Name :	SynComp531 151500166L/1YHJUL934 DTCCSELLXXX cn=imfunds,ou=808,o=creschzz 1430 SynComp541	

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.

HKEX Synapse The Power of Connectivity.		🗄 26 August 2022 @ synual283 synual283 👳 🗙
Initial Account Details: SynComp541	ATo approve, provide the information indicated below.	Back to Account List × Reject      Control
Account Status: EP:Approved ~	NEW ACCOUNT REJECTION: Please provide a comment below: Comment	Status: Inactive
E	c cano c	2531 4
	P DETAIL S: CP Name :	SymComp541

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

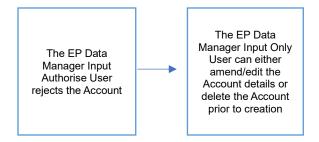
HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 🌒 synuat283 synuat283 🗸 💢
Initial Account Details: SynComp541	▲ To approve, provide the information indicated below.	← Back to Account List × Reject Approve</th
Account Status:	NEW ACCOUNT REJECTION:	
EP:Approved ~	Please provide a comment below:	Status: inactive
	Change CP's account at CCASS	
	EP E E Cancel Satural	XXX
	E	chuz 1430
	CP DETAILS:	
	CP Name : Syr	Comp541

- 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

ial Account Details: SynComp541	▲To approve, provide the info	mation indicated below.	←Back to Acco
Account Status:			
EP: Approved </th <th>CP Maker: Pending Amendment</th> <th>CP Checker: Rejected × •</th> <th>Status: Inactive</th>	CP Maker: Pending Amendment	CP Checker: Rejected × •	Status: Inactive
		Comment:	
	ACCOUNT DETAILS:	Change CP's account at CCASS	
		CLOSE	
	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:		

# 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.

HKEX Synapse	4			🖻 26 August 2022 🕃 synual211 synual211 🧹 💢
Initial Account Details: SynComp541				←Back to Account List
Account Status:				× Delete Account Creation
EP Maker: Pending Ar	nendment	EP Checker: Rejected × •	CP: Pending	Status: Inactive
	ACCOUNT DETAILS:			/ 54
	EP DETAILS:			
	EP Name :		Sj	/nComp531
	EP LEI :		151500N66L	JYHJUL934
	EP BIC :		DTC	CSELLXXX
	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".

Account Details: SynComp541			← Back to Accoun
Account Status:			× Delete Account Creation
EP Maker: Pending Amendment	EP Checker: Rejected ×	CP:Pending	Status: Inactive
ACCOUNT DET	AILS:		🖌 Eat
EP DETAILS:			
EP Name :		SynCo	mp531
EP LEI :		151500N66LJYHJ	UL934
EP BIC :		DTCCSE	LLXXX
EP DN :		cn=invfunds,ou=80a,o=cn	eschzz
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.

The Power of						26 August 2022 @ synual211 synual211 🧹 🏋
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	Reports
ACCOUN		EP Checker Approval Awa	iting CP Approval			Q Search Generate Report + New Account
CP NAME 4 7	CP LEI 4 T		CP CCASS II	DAT EP'S ACCOUNT AT CPAT ACC	COUNT EFFECTIVE DATE	CP STATUS
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX cn=invfund	s,ou=80a,o=creschzz B01110	900546 2021	1-06-05 🗸	Active DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX cn=invfund	s,ou=80a,o=creschzz B01110	900429 2021	1-06-05 🗸	<ul> <li>CP Checker Rejected</li> <li>DETAILS &gt;</li> </ul>
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX cn=invfund	s,ou=80a,o=creschzz B01115	900427 2021	1-06-05 •	<ul> <li>Pending EP Checker Approval DETAILS &gt;</li> </ul>

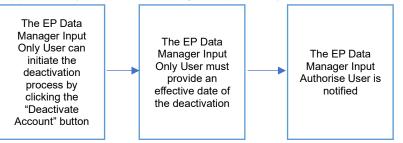
## 6.3 Deactivate Account After Account is Activated

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.

The Power of								!6 Aug	ust 2022 🕃 synuat211 synuat	211 🗸 🔀
ACCOUNT	Dashboard TS <b>1</b>	Settlement In	structions A	ccounts	Relationship	os Market E	)ata	Q	Reports Search Generate Report	+ New Account
			roval Awaiting CP Approval							
CP NAME 4 7		CP BIC A T	CP DN 4 T	CP CCASS ID A T	EP'S ACCOUNT AT CP 4 7	ACCOUNT EFFECTIVE DATE		CP	STATUS A T	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX		B01110	900546	2021-06-05 2021-06-05	~	~	Active CP Checker Rejected	DETAILS
SynComp541 SynComp542	812700N66LADSERSH679 948522R67AKFNEMM09	DTCCDEAGXXX	cn=invfunds.ou=80a,o=creschzz cn=invfunds.ou=80a,o=creschzz	B01110 B01115	900429 900427	2021-06-05	•		Pending EP Checker Approval	

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.

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

HKEX Synapse			<u> </u>	August 2022 🕃 synuat211 synuat211 🗸 🚶
Initial Account Details: SynComp541				Back to Account List      × Deactivate Account
Account Status:				
EP Maker: Approv	ed 🗸	EP Checker: Approved ~	CP: Approved ~	Status: Active
	ACCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp53	1
	EP LEI :		151500N66LJYHJUL93-	4
	EP BIC :		DTCCSELLXC	< Contract of the second s
	EP DN :		cn=invfunds,ou=80a,o=creschz	z
	EP SEHK ID :		143	0
	CP DETAILS:			
	CP Name :		SynComp54	1

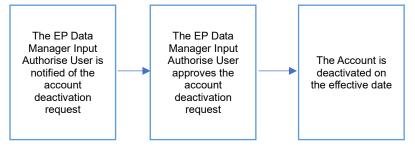
5. A pop-up window requesting the account deactivation effective date will appear. The effective date must be future date (i.e., at least one day after today's date).

HKEX Synapse	🖻 26 August	2022 🕃 synuat211 synuat211 🗸 💢
itial Account Details: SynComp541	←Bacl	to Account List × Deactivate Account
Account Status: EP Maker: Approved ~	ACCOUNT DEACTIVATION: Please specify account deactivation effective date:	Status: Active
ACCOUNT DETAILS:	2002 c0 35	
EP Name :	SynCor	mp531
EP LEI :	151500N66LJYHJ	UL934
EP BIC :	DTCCSE	LXXX
EP DN :	cn=invfunds,ou=80a,o=cre	eschzz
EP SEHK ID :		1430

- 6. 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:
  - a. Accounts List view: the EP column will have a 'O' icon and the status column will show "Inactivation Pending Approval"

	Dashboard	Settlement In	structions A	ccounts	Relationship	os Marke	t Data	Reports	
ACCOUNT		EP Checker App	O roval Awaiting CP Approval					Q Search Generate Report	+ New A
CP NAME 4 T		CP BIC 4 T		CP CCASS ID A T		ACCOUNT EFFECTIVE DATE		CP≜ STATUS≜▼	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546 900427	2022-08-27 2021-06-05	×	<ul> <li>Inactivation Pending Approval</li> <li>Pending EP Checker Approval</li> </ul>	DETA

## 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"

The Power of	Synapse Connectivity.	Settlement In		Accounts		s Market D		August 2022 (a) synual214 synuat	214 - 🗙
CCOUNT	rs 1		O roval Awaiting CP Approval	accounts	Relationship	S Market D		Reports	+ New Acco
CP NAME A T	CP LEI A T	CP BIC * *	CP DN * *	CP CCASS ID A T	EP'S ACCOUNT AT CP 4 T	ACCOUNT EFFECTIVE DATE	EP* (	CP STATUS	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2022-08-27	×	<ul> <li>Inactivation Pending Approval</li> </ul>	DETAILS

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

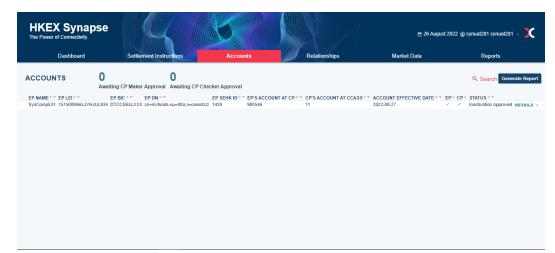
HKEX Synapse	<u> </u>		🗎 26 Augu	ist 2022 🕃 synuat214 synuat214 🗸 🔀
Initial Account Details: SynComp541		▲ Pending Account Deactivation Effective Date: 2022-08-27	←Back to Account List ×R	eject Deactivation <pre> ✓ Approve Deactivation </pre>
Account Status:				× Delete Account Creation
EP Maker: Approved <		EP Checker: Account Deactivation Pending Approval	CP: Approved <	Status: Active
	ACCOUNT DETAILS:			
	EP Name :		SynComp531	
	EP LEI :		151500N66LJYHJUL934	1
	EP BIC :		DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			
	CP Name :		SynComp541	

- 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"

HKEX Syna The Power of Connectivity	ipse						₿2	6 Augi	ust 2022 @ synual214 synual2	14 - 🗙
Dashboard		Settlement In	structions	Accounts	Relationship	s Market E	)ata		Reports	
ACCOUNTS	<b>1</b> Awaiting	EP Checker Appr	O roval Awaiting CP Approval					۹.	Search Generate Report	New Accoun
CP NAME AT CP LEI AT		CP BIC ^ T	CP DN * *	CP CCASS ID A T	EP'S ACCOUNT AT CP 4 T	ACCOUNT EFFECTIVE DATE	EP 4	CP	STATUS A T	
SynComp542 948522R67	AKFNEMM09	GOLDDDEAXXX	cn=invfunds,ou=80a,o=creschzz	B01115	900427	2021-06-05	•	-	Pending EP Checker Approval	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")



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"

Dashb	oard Sett	lement Instructions	s Accour	ıts	Relationships	Market Data	I		Reports	
ACCOUNTS	<b>1</b> Awaiting EP Che	1 ecker Approval Awa	aiting CP Approval				¢	Search Gener	te Report +	New Acco
CP NAME * *	CP LEI A 🔻	CP BIC A T CP	P DN A T	CP CCASS ID A T EP	SACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP≜	CP STATUS		
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX cn	n=invfunds,ou=80a,o=creschzz	B01110 90	0546	2022-08-31	× .	<ul> <li>Inactivation P</li> </ul>	ending Approval	DETAILS
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX cn	n=invfunds,ou=80a,o=creschzz	B01110 90	2658	2021-06-05	~	<ul> <li>Active</li> </ul>		DETAIL
CP01234_SynapseCP	LAKVM34512JDHRT84596	SYNCOMP326X cn	n=invfunds,ou=80a,o=creschzz	B01227 90	01961	2021-06-05	•	- Pending EP C	hecker Approval	DETAIL
CP01235_SynapseCP	XBCVDU47121234EDFED8	SYNCOMP327X cn	n=invfunds,ou=80a,o=creschzz	B01228 90	01962	2021-06-05	~	- EP Approved		DETAIL
SynComp319	9RZRI2GG23QS7M9MS0EG	SYNCOMP319X cn	n=invfunds,ou=80a,o=creschzz	B01213 90	01963	2021-06-05	× .	<ul> <li>Active</li> </ul>		DETAIL
SynComp283	Q69A8027GL2NPXTRPYQE	SYNCOMP283X cn	n=invfunds,ou=80a,o=creschzz	B01138 90	07962	2021-06-05	~	<ul> <li>Active</li> </ul>		DETAIL

2. 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.

HKEX Synapse The Power of Connectivity.		🗎 26 Aug	ust 2022 @ synuat214 synuat214 🗸 🏋
Initial Account Details: SynComp541		← Back to Account List × R	eject Deactivation
Account Status:			$\times$ Delete Account Creation
EP Maker: Approved ~	EP Checker: Account Deactivation Pending Approval	CP: Approved </td <td>Status: Active</td>	Status: Active
ACCOUN	T DETAILS:		
EP DE	TAIL S:		
EP Na	ame :	SynComp531	
EP LE	Ð:	151500N66LJYHJUL934	
EP BI	C:	DTCCSELLXXX	
EP DI	N:	cn=invfunds,ou=80a,o=creschzz	
EP SE	EHK ID :	1430	
CP DE	TAILS:		
CP N	ame :	SynComp541	

3. The account will remain active, and the process stops there.

HKEX Synapse			₫ 26.	August 2022 🕃 synual214 synual214 🗸 💢
Initial Account Details: SynComp541				←Back to Account List
Account Status:				
EP Maker: Approved -/		EP Checker: Approved -/	CP: Approved <	Status: Active
AC	CCOUNT DETAIL S:			
	EP DETAIL S:			
	EP Name :		SynComp53	1
	EP LEI :		151500N66LJYHJUL93	4
	EP BIC :		DTCCSELLXX	x
	EP DN :		cn=invfunds,ou=80a,o=creschz	z
	EP SEHK ID :		143	0
	CP DETAILS:			
	CP Name :		SynComp54	1

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	Settlement Account No. at CCASS used by the CP for each of the Account
CCASS	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	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. Transactions with the following Synapse status are included into that
	<ul> <li>counter:</li> <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>
	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.
Unmatched	Shows the total number of Settlement Instructions (SI) with CCASS status "Unmatched" on current HKT business day and within the past 31 calendar days. Transactions with the following CCASS status are included into that counter:
	<ul> <li>NCRR – settlement currency unmatch</li> <li>DSEC – stock code/ISIN unmatch</li> </ul>

Section Sub-	Description
header	
	DQUA – quantity unmatch
	CMIS – no possible matching SI found
	OTHR – other
	FRAP – payment instruction unmatch
	<ul> <li>PODU – possible matching SI but not earmarked as pairs</li> <li>SAFE – client A/C no. unmatch</li> </ul>
	<ul> <li>DMON – money value unmatch</li> <li>DDAT – settlement date unmatch</li> </ul>
	<ul> <li>DELN – transaction direction unmatch</li> </ul>
Matched	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.
	The CCASS statuses supported by Synapse are:
	MTCH – matched
	CYCL – matched – payment validated
	CVAL – matched – RDP shares on hold
	PREA – matched – matched on hold or counterparty instruction on
	hold
	CAIS – pending for transfer (STI only)
Settled	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.
	The CCASS statuses supported by Synapse are:
	SETD – settled
Cancelled*	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.
	The CCASS statuses supported by Synapse are:
	CSUB – cancelled – revoked SI by counterparty
	CANS – cancelled – SI/STI purged
	CANI – cancelled or revoked SI OR unmatched SI deleted OR
	cancelled for STI

	Dashbo	ard Ca	ttlement Instru			Funds		Del	ationships	Market	t Data			Pe	norto	
ttleme	nt Instructio		tuement insu u			Punds		Ke	auoristiips	Maike				Re	ports	
	SETTLE		5	5	0	1	0							Q SI	earch Gen	erate Re
			Process	ing Unmatch	ed Matched	Settled	Cancelled							202	1-06-05	
S TYPE	• TEUND ID •															
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	882231	CNE100003089 29,625	CNY	CURRENCY	4,065,977.07	IT AMOUNT	DELI	DVP	542231	DTCCSELLXXX	2119994155771021	-	- -	- -		DETAI
	882231 882231	CNE100003059 29,625 CNE100003059 29,627	CNY CNY	CURRENCY	4,065,977.07	IT AMOUN1	DELI	DVP DVP	542231 542231	DTCCSELLXXX	2119994155771021 2962094155771021	-	- - -	- - -		DETAI
	882231 882231 882231	CNE100003089 29,625 CNE100003089 29,627 CNE100003089 29,627	CNY CNY CNY	CURRENCY	4,065,977.07 4,065,977.07 4,065,977.07	IT AMOUNT	DELI DELI DELI	DVP DVP DVP	542231 542231 542231	DTCCSELLXXX DTCCSELLXXX	2119994155771021 2962094155771021 2962094155771021		- - - -	-		DETAI DETAI DETAI
	882231 882231 882231 882231 882231	CNE100003089 29,625 CNE100003089 29,627 CNE100003089 29,627 CNE100003089 29,622	CNY CNY CNY CNY	CURRENCY	4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	TAMOUNT	DELI DELI DELI DELI	DVP DVP DVP DVP	542231 542231 542231 542231 542231	DTCCSELLXXX DTCCSELLXXX	2119994155771021 2962094155771021 2962094155771021 2119994155771021			-	Unmatched	DETAI DETAI DETAI DETAI
	882231 882231 882231 882231 882231 862231	CNE100003089 29,625 CNE100003089 29,627 CNE100003089 29,627 CNE100003089 29,622 CNE100003089 29,622	CNY CNY CNY CNY CNY	CURRENCY	4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	TAMOUNT	DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX DTCCSELLXXX	2119994155771021 2962094155771021 2962094155771021 2119994155771021 2119994155771021	1 1 2 2 2	~	-	Unmatched Unmatched	DETAI DETAI DETAI DETAI
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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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	Dashbo	ard	Settlem	ent Instruction	ns		Funds			Relationships	Marke	t Data			Reports	
ttlemer	nt Instructio	ns														
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				Processing	Unmatched	Matched	Settled	Cancelled						1	021-06-05	ŧ
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n	882231 882231 882231	CNE100003059 CNE100003059 CNE100003059	29,625 C 29,627 C 29,627 C 29,622 C	DNY DNY DNY	-	4,065,977.07 4,065,977.07 4,065,977.07		DELI DELI DELI	DVP DVP DVP	542231 542231 542231	DTCCSELLXXX	2119994155771021 2962094155771021 2962094155771021	-			DETAILS DETAILS DETAILS
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	882231 882231 882231 882231 882231 882231	CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059	29,625 C 29,627 C 29,627 C 29,622 C 29,621 C 29,621 C	ONY ONY ONY ONY		4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 1,065,977.07		DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2119994155771021 2962094155771021 2962094155771021 2119994155771021 2119994155771021			Unmatched Unmatched	DETAILS DETAILS DETAILS DETAILS DETAILS
	882231 882231 882231 882231 882231 882231 882231	CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059	29,625 C 29,627 C 29,627 C 29,622 C 29,621 C 29,624 C 29,624 C 29,623 C	ENY ENY ENY ENY ENY		4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 1,065,977.07 4,065,977.07		DELI DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2119994155771021 2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021			Unmatched Unmatched Unmatched	DETAILS DETAILS DETAILS
	882231 882231 882231 882231 882231 882231 882231 882231	CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059	29,625 C 29,627 C 29,627 C 29,622 C 29,621 C 29,624 C 29,624 C 29,623 C 29,626 C	ENY ENY ENY ENY ENY ENY	ء ء ء ء ء ء ء ء ء ء ء ء ء ء ء ء ء ء ء	4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07		DELI DELI DELI DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231 542231	DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX	2119994155771021 2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2219994155771021			Unmatched Unmatched Unmatched Unmatched Unmatched	DETAILS : DETAILS : DETAILS : DETAILS : DETAILS : DETAILS : DETAILS :
I TI I I I I I I I I I I I I I	882231 882231 882231 882231 882231 882231 882231 882231 882231	CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059 CNE100003059	29,626 C 29,627 C 29,627 C 29,622 C 29,622 C 29,624 C 29,624 C 29,624 C 29,625 C 29,626 C 2,231 C 22,312 C	ENY ENY ENY ENY ENY ENY ENY ENY		4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07		DELI DELI DELI DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231 542231 542231	DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX	2119994155771021 2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021			Unmatched Unmatched Unmatched Unmatched Unmatched	DETAILS : DETAILS : DETAILS : DETAILS : DETAILS : 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)

HKEX S		2				V							p		11 11 Ag	vili 2023 🤅	synuat003 synuat003     Synuat003     SynCampSol	2
	Dashboard		Se	ttlement Ins	ructions			Funds			Relationships	Ma	rket Data				Re ACTING AS:	
ottlement Instru	ructions																Asset Manager	
																	Function 1 : Transaction-Balan	1005
ETTLEMEN		TIONS		5	5	0	1	0									Role Type Input-Authorise	
				-	-		an same	d Cancelled									Function 2 : Data Manapar	
				Processii	g onnatche	u materie	in serve	Calcente									Role Type Input Authorite	
NS TYPE 1 T	FUND ID **	ISIN 1 T	QUANTITY - *	SETTLEME	NT CURRENCT	A <b>T</b>	SETT	LEMENT AMOUNT ^ *	TYPE * *	PAYMENT MODE **	FUND ACCOUNT AT GC 1 T	EP BIC ^ *	TRADE ID 1 T	GC ^ T	LC+T	CP ^ T	1 A Function 3 :	
94	882231	CNE100003059	29,625	CNY			4,065	977.07	DELI	DVP	542231		2119994155771021	-	-	-	SYN User	
STI .	882231	CNE100003059	29,627	CNY			4,065	977.07	DELI	DVP	542231	DTCCSELLXXX	2952094155771021	-	-	-	Rein Type Input Authorise	
STI .	882231	CNE100003059	29,627	ONY			4,065	,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		
31	882231	CNE100003059	29,622	CNY			4,065	,977.07	DELI	DVP	542231		2119994155771021	1	~	-	CLegout	
51	882231	CNE100003059	29,621	CNY			4,065	,977.07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched DCT	TAILS
31	882231	CNE100003059	29,624	CNY			4,065	,977.07	DELI	DVP	542231		2119994155771021	1	~	-	Unmatched DCT	TAILS
a l	882231	CNE100003059	29,623	CNY			4,065	,977.97	DELI	DVP	542231		2119994155771021	× .	×	-	Unmatched DET	TAILS
51	882231	CNE100003059	29,626	CNY			4,065	,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	1	~	-	Unmatched DET	TAILS
51	882231	CNE100003059	2,231	CNY			4,065	977.97	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	-	-	-	DE	TAILS
STI	882231	CNE100003059	22,312	CNY			4,065	977.97	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	DE	TAILS
	552775	CNE100003059	2,775	CNY				977.97	DELI	DVP	543000	DTCCSELLXXX	3008394155771021					

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
Туре	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
СР	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)



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
Туре	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
СР	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)

The P	EX Synap	se		4						🗖 16 Ma	ay 2023 🖲 sy	) synuat071 synuat071 👻 🂢		
	Dashboard		Settlement	Instruction	s	Fu	nds		Relationships	Market Data		Reports		
ttler	ment Instructions													
	SETTLEMENT							-				_		
	INSTRUCTIONS			4	0	0	0	0				Q Search Ge	nerate Repo	
	INSTRUCTIONS			-	0 Unmatched	~	•	•				Q Search Ge		
NS		ANTITY A T	SETTLEMENT	Processing	-	Matched	•	Cancelled	A ₹ FUND ACCOUNT AT	≜ ₹ EP BIC ≜ ₹ TRADE ID ≜ ₹				
NS		ANTITY A 7	SETTLEMENT	Processing	Unmatched	Matched	Settled	Cancelled		▲ 〒 EP BIC ▲ ▼ TRADE ID ▲ 〒 DTCCSELLXXX 6058788034052433	GC ≜ ∓ LC ≜	2021-06-05	( ∧ ∓	
NS TYPE	≜ ≂ ISIN ≜ ₹ QU	ANTITY ≏ <del>=</del> 200	SETTLEMENT	Processing	Unmatched SETTLEMEN AMOUNT	Matched	Settled	Cancelled PAYMENT MODE	GC		GC ▲ 〒 LC ▲ 3	2021-06-05 • CP = STATUS	∆∓ DETAILS	
NS FYPE SI SI	≜ ₹ ISIN ≜ ₹ QU CNE100003059 92,	ANTITY ≏ = 200 200	SETTLEMENT CURRENCY CNY	Processing	Unmatched SETTLEMEN AMOUNT 4,065,977.07	Matched	Settled	PAYMENT MODE DVP	GC 542548	DTCCSELLXXX 6058768034052433	GC ☆ ᆕ LC ☆ 3 3	2021-06-05 • CP = STATUS	DETAILS DETAILS 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
Туре	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
СР	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)

STI         CARTINGUELLS         CONT         44.64.377.67         OR1         OP         Paragram         Control         Balance         Distance         Distance <thdistance< th="">         Distance<!--</th--><th>2023 @ synuat143 synuat143</th><th>April 2023</th><th>0 11 4</th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th colspan="7">HKEX Synapse The Power of Connectivity.</th></thdistance<>	2023 @ synuat143 synuat143	April 2023	0 11 4												HKEX Synapse The Power of Connectivity.						
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Off.(NORMAR)         OP/L	Role Type Inget Authorise								Cancelle	d Settled	thed Matcheo	sing Unmatc	Processi								
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a)         CMEMONDAR         SN-SS         OV         4445.77.77         DEL         D/P         70.211         E1111         Month         2000MedST27161         -	GI Bris Ture	-	-																		
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B         Calculation         Delt         Op/F         72.21         Bit118         Designed         2019404157 7121         -V         -V         -V           MELENGODELIA         34.81         OVY         4465.17.87         DELL         D/P         74221         Bit118         B00001         2019404157 7121         -V         -V         -V           R         CALLENGODELIA         34.81         OVY         4465.17.87         DELL         D/P         74221         Bit118         B00001         2199404157 7121         -V         -V         -V           R         CALLENGODELIA         34.81         OVY         4465.17.87         DELL         D/P         73221         Bit188         B00001         2199404557 7121         -V         -V         -V           R         CALLENGODELIA         34.84         OVY         4465.17.87         DELL         D/P         73221         Bit188         B00001         2199404557 7121         -V         -V         -V           R         CALLENGODELIA         X-P         Y         V         L         D/P         73221         Bit188         B00001         2199404577321         -V         -V         -V           R         SALESA         D			-																		
S         Data (S002)         Stat         OHY         4465/7787         OEu         O/P         78221         E1111         800001         2999945577321         r/         r<         r<         r<         r<         r<         r<         r<	DETRIES /		-																		
R <u>CARE000028</u> 24 824 CNY 4.065.977.87 DEL DVP 782211 E01110 8000001 21199415577921 ✓ ✓ − R <u>CARE000028</u> 25 823 CNY 4.065.977.87 DEL DVP 782211 E01110 8000001 21199415577921 ✓ ✓ −	Uninfores DETAILS /	-	~	~																	
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N SALESSONSER 20.66 UT 4/0537707 DEL CVP 76201 E01110 0000001 2002011021 V V -	· Unmatched DETAILS > / Settled DETAILS >		~												CNE100003059						

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
Туре	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
СР	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)

HKEX	Synapse				N.						J.	0			🗎 11 April		ynuat214 synuat214	2
	Dashboard		Settlement	Instructions			Ac	counts		Relationships		Market Data				Re	ACTING AS:	
Settlement Ins	tructions																Exchange Participant	t
																	Function 1 : Transaction-Balances	
BETTLEME	NT INSTRUCT	ONS	9	0	0	1	1										input-Authorise	e R
			Proce	ssing Unmate	hed Matche	d Sottled	Cancelled										Function 2 : SYN User	
																	Role Type: Input-Authoriae	
INS TYPE - T	ISIN 4 T	QUANTITY 4 7	SETTLEMENT CURRE	NCY		ENT AMOUN	T + T	TYPE - T	PAYMENT MODE 4 T	EP'S ACCOUNT AT CP 1 T	AM BIC **	TRADE ID * *	CP * T	GC ^ T	LCAT	STATUS	Cunction 3 :	
STI	CNE100003059	22,312	CNY		4,065,977	07		RECE	DVP	900545	DTCCMEORXXXX	6555324624102231	-	-	-		Data Manager	1.2
SI	CNE100003059	2,231	CNY		4,065,977	07		RECE	DVP	900545	DTCCMEORXXXX	6855324624182231	-	-	-		Role Type: Input-Authorise	1.5
SSTI	CNE100003053	92,200	CNY		4,065,977	07		RECE	DVP	900545	DTCCMEORXXXX	000000557582035	~	-	-	Reject by		
STI	CNE100003053	29,627	CNY		4,065,977	07		RECE	DVP	900545	DTCCMEORXXXX	6855324624129627	-	-	-		CLogost	
STI	CNE100003059	29,627	CNY		4,065,977	07		RECE	DVP	900545	DTCCMEORXXX	6855324624129628	-	-	-		DETAIL	LS >
51	CNE100003059	92,000	HKD		5,892.16			RECE	DVP	902188	DTCCMEORXXXX	5000916261292188	-	-	-		DETAIL	15 >
SI	CNE1000030.59	92,000	HKD		5,892.16			RECE	DVP	922188	DTCCMEORXXX	5000916261222188	-	-	-		DETAN	LS >
SI	CNE1000030 59	92,000	CNY		4,065,977	07		RECE	DVP	902188	DTCCMEORXXX	5000916261232188	-	-	-		DETAIL	LS >
SI	CNE100003059	29,626	CNY		4,005,977	07		RECE	DVP	900545	DTCCMEORXXX	6855324624129626	-	~	~		DETAIL	45.5
SI	CNE1000030.59	2,862	CNY		4,005,977	.07		RECE	DVP	900951	SYNCOMP173X	6855324604252833	~	~	~	Cancelled	DETAIL	LS >
SI	CNE100003059	2,775	CNY		4.065.977			RECE	DVP	903003	DTCCMEORXXX	6855324604183088				Settled	DETAIL	

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
Туре	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
СР	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
Туре	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)

	nnectivity.	5												C 11 A	pril 2023 (	synual283 synual283	2
	Dashboard		Settlement	Instructions				Accounts		relationships	Mark	et Data				Re ACTING AS:	
ttlement Instru	ructions															Clearing Participant	_
		TIONS	6	0	0	0	0									Function 1 : Transaction Balance Biole Type: Input Authoritie	a Reg
			-	ssing Unmatche	-		· ·	4								Function 2 : Data Manager     Bole Type: Input-Kuthorise	
	ISIN 4 T	QUANTITY - *	SETTLEMENT CURRENCY 4		ENT AMOUN	T + T	TYPE	PAYMENT MODE * *	EP'S ACCOUNT AT CP + T	CP'S ACCOUNT AT CCASS * *	LC CCASS ID **	TRADE ID * *	CP - T	GC * *	LCAT	STA' & Function 3 : SYN User	
	CNE100003059	22,312	CNY	4,065,977			RECE	DVP	900546	11	801110	6855324624102231	-	-	-		LS
. ,	CNE100003059	2,231	CNY	4,065,977	07		RECE	DVP	900546	11	C00016	6855324624182231	-	-	-	Role Type: Input-Authorise	LS >
STI 9	CNE100003059	92,200	CNY	4,065,977	07		RECE	DVP	900546	11	801110	000000357582035	1	-	- 1	ieje	
n g	CNE100003059	29,627	CNY	4,065,977	07		RECE	DVP	900546	11	B01110	6855324624129627	-	-	-	()Logost	1.5
n 9	CNE100003059	29,627	CNV	4,065,977	07		RECE	DVP	900546	11	801110	6855324624129628	-	-	-	DET	AILS
	CNE100003059	29,626	CNV	4,065,977	07		RECE	DVb	900546	11	C00016	6855324624129626	-	1	1	DET	AILS

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
Туре	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
СР	Status of CP approval of the settlement instruction
Status	Unmatched, matched, or settled status of the settlement instruction

# Account Operator (AO)

HKEX The Power of C	Synaps	e													0 81	2 April 2023 ♦ Acting #	s: SynCi	mp651 ~		nual351 synual351 In Organization SvirConro331	, <b>X</b>
	Dashboard	đ		Settlement In	structions			/// A	ccounts			Relationship	• )		Market Data				Re	CTING AS:	
Settlement Ins	tructions																		_	B Identity: Account Operator	
SETTLEME		CTIONS		4	0	0	0	0												Function 1 : SYN User Role Type: Input Only	Rep
				-	ing Unmatche			•												Function 2 : Data Manager Role Type: Input-Only	
INS TYPE 4 7	CP BIC * *	ISIN 4 T	QUANTITY * *	SETTLEMENT			EMENT AI	ACUNT 4 T	TYPE	PAYMENT N		EP'S ACCOUNT AT CP 4 *	CP'S ACCOUNT AT	CCASS <sup>4</sup>	LC CCASSID <sup>®</sup>	TRADE ID	CP <sup>4</sup>	GC 4 T	LCA	Function 3	
SI	SYNCOMP388X	CNE10003059	92,000	HKD		5,892.1			RECE	DVP		902188	1		C00016	5000916261292188	-	-	-	Function 3: Transaction Balano	6 ILS (
SI	SYNCOMP204X	CNE10003039	92,000	HKD		5,892.1	6		RECE	DVP		922188	5		C00016	5000916261222188	-	-	-	Input-Only	ILS >
SI	SYNCOMP388X	CNE100003059	92,000	CNY		4,065,9	77.07		RECE	DVP		902188	1		C00016	5000916261232188	-	-	1.1		LS >
si	GOLDEDEAXXX	CNE100003059	2,102	CNY		4,065,9	07.07		RECE	DVP Prev	rious < > I	999991 Next	**		C00016	000000036341150	-	-		()Logent	<b></b>

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
Туре	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
СР	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)

HKEX Synapse The Power of Connectivity.					🗄 12 July 2024 🏵 synuat1154 synuat1154 🕤 🂢
+ Back Settlement Instruction Details Trade ID	D: 6171230310110020				
KEY SETTLEMENT DETAILS SETTLEMEN	NT STATUS SI HEALTH CHECK TRANSACTIO	IN REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	хнкснкн1хох	Trade Date	2023-09-0
Local Code	93966	Quantity	200,000	Type	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	D
		Settlement Currency	CNY	Deal Price Currency	Ch
		Settlement Amount	200,000.01	Deal Price	44.1
		Effective Settlement Date	2024-07-11	Currency To Buy	US
		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	SYNCOMP11
Name	Fund Profile 202406		SynComp173		SynComp1
Fund Account at GC	54202406	Investor ID	300013		800000
		GC BIC		Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 555
		GC Name		Counterparty - CP CCASS ID	C000
				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 Note: LC and CP must enter a value for this field when they approve the

Field	Description
	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
Туре	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: SPSA Account # LC Name LC CCASS Participant ID LC LEI LC BIC LC DN		
	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		
SPSA	Special Segregated Account		

Field	Description
Counterparty – EP	Counterparty details (EP) including Business Identification Code, Name, and
(BIC/Name/LEI)	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)

		SMANIN MUTALANA			🗖 09 July 2024 @ synual2069 synual2069 🗸 💢
Back Settlement Instruction Details Trade ID: 617123	0310110020				Reject Approv
KEY SETTLEMENT DETAILS SETTLEMENT STATU	IS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	хнкснкн1хох	Trade Date	2023-01
Local Code	93986	Quantity	200,000	Type	
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	
		Settlement Currency	CNY	Deal Price Currency	
		Settlement Amount	200,000.01	Deal Price	4
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
D	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynCom
Fund Account at GC	54202406	Investor ID	300013	SPSA	8000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 5
		GC Name	SynComp356	Counterparty - CP CCASS ID	C0
		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**

Description
Depository Business Identification Code
Trade quantity
Contractual settlement date of the trade
Contractual settlement currency of the trade
Contractual settlement amount of the trade
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 of the trade
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 Securities real-time gross settlement indicator of a trade:
- True - False

#### **Trade Details**

Field	Description		
Trade Date	Trade date		
Туре	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: • SPSA Account # • LC Name • LC CCASS Participant ID • LC LEI • LC BIC • LC DN		
	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		

Field	Description
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 @ symuat783 symuat783 👻 🂢
Back Settlement Instruction Details Trade ID: 61712	230310110020				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STAT	TUS SI HEALTH CHECK TRANSACTION	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHIRH130X	Trade Date	2023-09-0
Local Code	93906	Quantity	200,000	Type	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	Ch
		Settlement Amount	200,000.01	Deal Price	44.0
		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	SYNCOMP112
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp11
		Investor ID	300013	SPSA	800000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C0001
		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		
Real-Time Settlement Indicator	SSTI. This applies to SSTI only Securities real-time gross settlement indicator of a trade:		
	- True - False		

## **Trade Details**

Field	Description
Trade Date	Trade date
Туре	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	
	<ul> <li>Note: Synapse will populate the following fields based on the Investor ID:</li> <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 – CP CCASS ID	Counterparty details (EP) including Business Identification Code, Name, and Legal Entity Identifier 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	

# 7.2.2 Sell Side

# 7.2.2.1 Exchange Participant (EP)

Name         GIGADE/ICE SEMICONDUCTOR(BELINO) INC         Settlement Date         2021-06-14         Payment         DVF           Settlement Currency         CMV         Deal Price Currency         CMV         Deal Price         CMV           L         Effective Settlement Date         4.065.977         Deal Price         CMV         CMV           Effective Settlement Date         Settlement Date         Currency To Buy         Currency To Setl         USE	HKEX Syr	napse			t	g 19 August 2022 @ synual211 synual211 🗸 🚶
FINANCIAL INSTRUMENT DETAILS     SETTLEMENT DETAILS     TRADE DETAILS       ISIN     CNE1000050     Depository BIC     XHXCH1911000     Trade Date     2021-06-05       Local Code     59366     Quantify     59200     Type     DEl       Name     GIGADEVICE SEMICONDUCTORIBELINO) INC     Stettement Date     2021-06-05     Depository BIC     XHXCH1911000     Trade Date     2021-06-05       Name     GIGADEVICE SEMICONDUCTORIBELINO) INC     Stettement Date     2021-06-05     Depository BIC     DVF       Settement Amount     4.065.97707     Deal Price Currency     OVF     Deal Price Currency     DVF       Settement Date     Currency To Buy     Stetted Currency     Currency To Buy     DEET       PARTICIPANT DETAILS     Stetted Amount     0.00     FX Cancellation     ERTS       PARTICIPANT DETAILS     Stetted Amount     0.00     FX Cancellation     ERTS       P BIC     DTCCSELLX0X     SynComp531     EP 9 Account at CP     900546       CP BIC     DTCCSELLX0X     FX Cancellation     FX Cancellation     FX Cancellation	← Back Settlement Ins	struction Details Trade ID: 0000000056341120				
ISIN         CNE (Doors)         Depository BIC         XHKCHR(H) V/V         Tade Date         2021-004           Local Code         59986         Quantity         592.00         Type         Delet           Name         GIGADEVICE SEMICONDUCTOR,BELINO) INO, Settlement Date         2021-004.00         Payment         DPV           Settlement Date         2021-004.00         Payment         DPV           Settlement Date         Currency         DPV           Settlement Date         Currency To Buy         Settlement Date           Settlement Date         Currency To Buy         Settlement Date           Settlement Date         Currency To Buy         ERT           PARTICIPANT DETAILS         Settlement Indicator         Faile           P BIC         DTCCSELLXCX         Filter Settlement Indicator         Faile           EP ANCOUNT AT DETAILS         SynCompSati         Filter Settlement Date         Filter Settlement Date           CP BIC         DTCCSELLXCX         SynCompSati         Filter Settlement Date         Filter Settlement Date           CP PIG Control Code Anotic         SynCompSati         Filter Settlement Date         Filter Settlement Date           CP PIG Control Code Anotic         SynCompSati         Filter Settlement Date         Filter Settlement Date	KEY SETTLEMENT D	ETAILS SETTLEMENT STATUS SI HE	ALTH CHECK TRANSACTION RE	FERENCES AND LIFECYCL	E	
Local Code         \$9386         Quantity         \$22.00         Type         DELL           Name         GIGADEVICE SEMICONDUCTORUBELINO,INC         Stitement Date         2021-04-04         Payment         DVP           Stitement Currency         CM         Deal Price Currency         CM           Stitement Currency         CM         Deal Price Currency         CM           Stitement Currency         CM         Deal Price Currency         CM           Stitement Date         Currency To Buy         Currency To Buy         DELL           Stited Amount         0.00         FX Cancellation         DERTICIPANT DETAILS         EP BIC         DTCCSELLXXX           EP Alice         Strice Stitement Indicator         Faite         Strice Stitement Indicator         Faite           EP Alice         DTCCSELLXXX         Strice Stitement Indicator         Faite         Strice Stitement Indicator         Faite           EP Alice         DTCCSELLXXX         Strice Stitement Indicator         Faite         Strice Stitement Indicator         Faite           EP Alice Currency         DTCCSELXXX         Strice Stitement Indicator         Faite         Strice Stitement Indicator         Faite           EP Alice Currency         DTCCSELXXX         Stried Currency         Strice StitementIndica	FINANCIAL INSTRUM	MENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
Local Code         \$9386         Quantity         \$22.00         Type         DELL           Name         GIGADEVICE SEMICONDUCTORUBELINO,INC         Stitement Date         2021-04-04         Payment         DVP           Stitement Currency         CM         Deal Price Currency         CM           Stitement Currency         CM         Deal Price Currency         CM           Stitement Currency         CM         Deal Price Currency         CM           Stitement Date         Currency To Buy         Currency To Buy         DELL           Stited Amount         0.00         FX Cancellation         DERTICIPANT DETAILS         EP BIC         DTCCSELLXXX           EP Alice         Strice Stitement Indicator         Faite         Strice Stitement Indicator         Faite           EP Alice         DTCCSELLXXX         Strice Stitement Indicator         Faite         Strice Stitement Indicator         Faite           EP Alice         DTCCSELLXXX         Strice Stitement Indicator         Faite         Strice Stitement Indicator         Faite           EP Alice Currency         DTCCSELXXX         Strice Stitement Indicator         Faite         Strice Stitement Indicator         Faite           EP Alice Currency         DTCCSELXXX         Stried Currency         Strice StitementIndica	ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Name         GRAAEVICS SEMICONDUCTOR(BELINIO) INC.         Settlement Date         2020-60.4         Pagment         DVF           Settlement Amount         469.577.70         Deal Price Currency         CAIN         Settlement Amount         469.577.70         Deal Price         469.577.70         Deal Price Currency         CAIN           Settlement Amount         469.577.70         Deal Price Currency To Buy         Currency To Buy         Settlement Amount         Courrency To Buy         Settlement Amount         Courrency To Setlement Date         Settlement Amount         Courrency To Setlement Amount         Settlement Amount         Courrency To Setlement Amount         Settlement Amount         Courrency To Setlement Amount         Settlement Amount						DELI
PARTICIPANT DETAILS     Settiment Anount Addisory     Deal Price Currency Bear Price     CPR       PARTICIPANT DETAILS     Settiment Anount CPP Settiment CPP Settiment Anount CPP Settime	Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC				DVP
Effective Settlement Date         Currency To Buy           Settled Currency         Currency To Setl         USS           Settled Amount         00         FX Cancellation         RES           Real-Time Settlement Indicator         Fall         ETS           PARTICIPANT DETAILS         FX Pane         SynComp53           EP Succount at CP         90054         Currency To Settlement Amount         FX Pane           CP SIC         DTCCSELLOXX         FX Pane         SynComp53			Settlement Currency	CNY		CNY
Settled Currency         Currency To Settl         USE           Settled Amount         0.0         FX Cancellation         ERT           PARTICIPANT DETAILS         PR         DTCCSELLXXX         EP Name         SynCamp531           EP SAccount at CP         DTCCSELLXXX         DTCCDEAXXX         DTCCDEAXXX			Settlement Amount	4,065,977.07	Deal Price	44.06
Settled Amount         0.00         FX Cancellation         ERTS           Real-Time Settlement Indicator         False         False         False         False           PARTICIPANT DETAILS			Effective Settlement Date		Currency To Buy	
Real-Time Settlement Indicator         False           PARTICIPANT DETAILS            EP BIC         DTCCSELLXXX           EP Name         SynComp53           EP Secount at CP         90564           CP BIC         DTCCDEAGXXX			Settled Currency		Currency To Sell	USD
PARTICIPANT DETAILS EP Bic DTCCSELLXX EP Name SynComp531 EP's Account at CP 600000000000000000000000000000000000			Settled Amount	0.00	FX Cancellation	ERTS
EP BIC DTCCSELLXX EP Name SynComp531 EP's Account at CP 900546 CP BIC DTCCDEAGXXX			Real-Time Settlement Indicator	False		
EP Name         SymCompS1           EP's Account at CP         900546           CP BIC         DTCCDEADXXX	PARTICIPANT DETAIL	LS				
EP Name         SymCompS1           EP's Account at CP         900546           CP BIC         DTCCDEADXXX						
EPs Account at CP 900546 CP BIC DTCCDEAGXXX		DTCCSELLXXX				
CP BIC DTCCDEAGXXX						
CP Name SynComp541						
	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
Туре	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)

+Back Settlement Instruction	on Details Trade ID: 0000000056341120				Reject Approv
KEY SETTLEMENT DETAIL	S SETTLEMENT STATUS SI HE	ALTH CHECK TRANSACTION REI	FERENCES AND LIFECYCLE		
FINANCIAL INSTRUMENT	DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-
Local Code	93986	Quantity	92,200	Туре	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	D\
		Settlement Currency	CNY	Deal Price Currency	CI
		Settlement Amount	4,065,977.07	Deal Price	44.
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	US
		Settled Amount	0.00	FX Cancellation	ER
		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			
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade:			
	- True			
	- False			

## **Trade Details**

Field	Description
Trade Date	Trade date
Туре	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

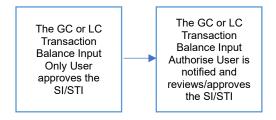
# 7.3 SI/STI Approvals and Rejections

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/REI1, DECU/RECU and BUYR/SELL block are sent via SWIFT MT54x and DEI1/REL1 block is identified	Retrieve 97A block from BUYR/SELL	:95P::REI1//[BIC] :97A::SAFE// <b>12345</b> :95Q::REI1//[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 DEI1/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 Rece	Buy Side instructing Receipt / Sell Side instructing Delivery												
	Broker's CCASS-ir	Broker's CCASS-intermediary's Broker's CCASS-intermediary											
	CCASS ID starting	with - B	CCASS ID starting with - C										
	Population of	Population of	Population of	Population of									
	Client account	Processing	Client account	Processing									
	number	reference	number	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									
Missing/Empty va	lue found												

Display Result in CCASS C3T	N/A, as the value is sourced from Synapse Fund Profile	sourced from ynapse Fund SYN-		SYN-						
Buy Side Delivering / Sell	Side Receiving									
Broker's CCASS-intermediary'sBroker's CCASS-intermediarCCASS ID starting with - BCCASS 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						
Missing/Empty va	lue found									
Display Result in CCASS C3T	N/A, as the value is sourced from Synapse Fund Profile	SYN-	<empty></empty>	N/A, as the value is sourced from Synapse Fund Profile.						

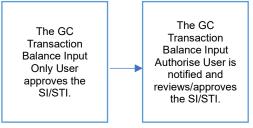
## 7.3.1.3 Asset Managers (AM)

AMs have view only rights to SI/STI processing.

HKEX Synapse The Power of Connectivity.					🖱 12 July 2024 @ synuat 1154 synuat 1154 🕤 🎽
Back Settlement Instruction Details Trade ID: 61712303101	10020	SHIMIN MUUTAAA			
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTIO	IN REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	30HKCHKH1000K	Trade Date	2023-09-01
Local Code	93906	Quantity	200,000	Type	DEU
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	44.06
		Effective Settlement Date	2024-07-11	Currency To Buy	USD
		Settled Currency		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
Fund Account at GC	54202406	Investor ID	300013	SPSA	80030001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane,NY, NY 55555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019

# 7.3.1.4 Global Custodian (GC)

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



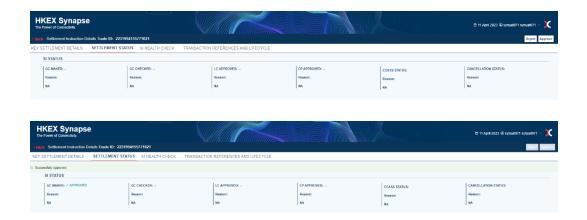
## Approval by GC Transaction Balance Input Only User:

- 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".

HKEX Synapse The Power of Connecturity														🗖 11 April 2023 🕀 symuat071 symuat071 🕤 🂢				
Dashboard			Settlement Instructions			Fu		Funds		Relationships		Market Data		Reports				
Settlement Inst	tructions																	
SETTLEME	NTINSTRUCTI	ONS	5	5	0	1	0								م	Search Generate Report		
			Proces	sing Unmatc	hed Match	d Settler	d Cancelled									2021-06-05 1		
INS TYPE 1 -	ISIN 4 T	QUANTITY .	SETTLEMENT CURRE	NCY 4 T	SETTL	EMENT AM	OUNT 6 T	TYPE	PAYMENT MODE * *	FUND ACCOUNT AT GC * *	EP EIC * T	TRADE ID * *	GC + T	LCOT	CP ** STATU			
iti -	CNE100003039	22,312	ONY		4,065,1	77.07		DELI	DVP	542231	DTOCSELLXXX	2231094155771021	-	-	-	DETAILS >		
a l	CNE100003059	2,231	CNY		4,065,1			DEU	DVP	542231	DTCCSELLXXX	2231994155771021	-	-	-	DETAILS >		
51	CNE1000030.59	29,625	CNY		4,065,1	77.07		DELI	DVP	542231		2119994155771021	-	-	-	DETAILS >		
TI	CNE100003059	29,627	CNY		4,065,1			DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	DETAILS >		
ETI	CNE1000030 S9	29,627	CNY		4,065,5			DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	DETAILS >		
1	CNE100003059	29,622	CNY		4,005,5	77.07		DELI	DVP	542231		2119394155771021	~	~	- Unmate	hed DETAILS >		
	CNE1000030 59	29,621	CNY		4,065,5			DELI	DVP	542231		2119994155771021	1	1	- Unmate	hed DETAILS >		
		29,624	CNY		4,065,5			DELI	DVP	542231		2119394155771021	~	~	- Unmat			
a	CNE100003859							DELL	DVP	542231		2119394155771021			- Unmate	hed DETAILS >		
54	CNE100003053	29,623	CNV		4,065,1													
51 51 51 51		29,623 29,626 2,775	CNV CNV CNV		4,065,1	77.07		DEU DEU	DVP	542231 542231 543008	DTGCSELLXXX	2962994155771021 3000994155771021	2	2	- Unmate			

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

HKEX Synapse The Power of Connectivity.					🗂 09 July 2024 @ synuat2009 synuat2069 🗸 💢
Back Settlement Instruction Details Trade ID: 61712	230310110020				Reject Approve
REV SETTLEMENT DETAILS SETTLEMENT STAT	TUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	хнкснюнтоох	Trade Date	2023-09-01
Local Code	93906	Quantity	200,000	Type	DEL
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVF
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	200,000.01	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	USC
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
UND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp11:
Fund Account at GC	54202406	Investor ID	300013	SPSA	800000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 5555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00011
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		



Approval by GC Transaction Balance Input Authorise User:

 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.

HKEX The Power of Co	Synapse														April 2023	l @ symuat073 s	ymuat073 👻 🕽	¢
	Dashboard		Settlement In	structions			F	unds		Relationships		Market Data				Reports		
Settlement Insi	tructions																	
SETTLEME	NT INSTRUCTI	ONS	5	5	0	1	0									Q, Searc	Generate Re	eport
			Processi	ng Unmatch	ed Matche	d Settler	d Cancelled											
																2021-0	5-05	
INS TYPE 4 T	ISIN - T	QUANTITY	SETTLEMENT CURREN	CY 4 T	SETTLE	MENT AM	IOUNT 4 T	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC 1 7	EP BIC * *	TRADE ID * *	GC * T	LCAT	CP + T		5.05	
	151N 4 T CNE10003059	QUANTITY * T 22,312	SETTLEMENT CURREN	τ¥ + τ	SETTLE 4,065,91		IOUNT ^ T	TYPE * T	PAYMENT MODE	FUND ACCOUNT AT GC * T 542231	EP BIC * * DTCCSELLXXX	TRADE ID * *	GC * T	LCAT	CP+T		DETAILS >	-
STI				<b>ΞΥ</b> ≜τ		77.07	IOUNT ^ 7						GC * T	LC**	CP * T			
STI SI	CNE100003059	22,312	CNY	CY A T	4,065,9	77.07 77.07	ROUNT 4 7	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	GC * *	-	-		DETAILS	
STI SI SI	CNE100003059 CNE100003059	22,312 2,231 29,625 29,627	CNY CNY CNY CNY	CY A T	4,065,9 4,065,9 4,065,9 4,065,9	77.07 77.07 77.07 77.07	IOUNT 4 7	DEU DEU DEU DEU	DVP DVP DVP DVP	542231 542231 542231 542231 542231	DTCCSELLXXX	2231094155771021 2231994155771021		LC * * - - -			DETAILS >	
STI SI STI	CNE100003059 CNE100003059 CNE100003059	22,312 2,231 29,625	CNY CNY CNY	CY A T	4,065,9 4,065,9 4,065,9	77.07 77.07 77.07 77.07	IQUINT A T	DELI DELI DELI	DVP DVP DVP	542231 542231 542231	DTCCSELLXXX DTCCSELLXXX	2231094155771021 2231994155771021 2119994155771021	-	-	-		DETAILS > DETAILS > DETAILS >	
511 51 51 511 511	CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059	22,312 2,231 29,625 29,627 29,627 29,627 29,622	CNY CNY CNY CNY CNY CNY	CY≜ T	4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9	17.07 17.07 17.07 17.07 17.07 17.07 17.07	IOUNT A T	DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231	DTCCSELLOOK DTCCSELLOOK DTCCSELLOOK	2231094155771021 2231994155771021 2119994155771021 2962094155771021 2962094155771021 2119994155771021	-	-	-		DETAILS > DETAILS > DETAILS > DETAILS >	
511 53 51 511 511 511 53 53	CNE10003058 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059	22,312 2,231 29,625 29,627 29,627 29,622 29,621	CNY CNY CNY CNY CNY CNY CNY	CY≜⊤	4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9	77.07 77.07 77.07 77.07 77.07 77.07 77.07	ICUNT A T	DELI DELI DELI DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231	DTCCSELLOOK DTCCSELLOOK DTCCSELLOOK	2231094155771021 2231994155771021 2119994155771021 2952094155771021 2952094155771021 2119994155771021 2119094155771021	-	-	-	STATUS * *	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >	
511 51 51 51 51 51 51 51 51	CNE10003058 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059	22,312 2,231 29,625 29,627 29,627 29,627 29,622 29,621 29,624	CNY CNY CNY CNY CNY CNY CNY CNY	CY 4 7	4,065,91 4,065,91 4,065,91 4,065,91 4,065,91 4,065,91 4,065,91 4,065,91	17.07 17.07 17.07 17.07 17.07 17.07 17.07 17.07 17.07	KOUNT A T	DELI DELI DELI DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP DVP DVP DVP DVP	54231 54231 54231 54231 54231 54231 54231 64231 54231	DTCCSELLOOK DTCCSELLOOK DTCCSELLOOK	2231094155771021 2231994155771021 2119994155771021 2962094155771021 2962094155771021 2119994155771021 2119994155771021	•	-	-	STATUS * *	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >	
511 51 51 51 51 51 51 51 51 51 51 51	CNE10000359 CNE1000359 CNE1000359 CNE1000359 CNE1000359 CNE1000359 CNE1000359 CNE1000359 CNE1000359 CNE1000359	22.312 2.231 29.625 29.627 29.627 29.622 29.621 29.624 29.623	CRY CRY CRY CRY CRY CRY CRY CRY CRY	CY 4 7	4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9	17.07 17.07 17.07 17.07 17.07 17.07 17.07 17.07 17.07	ROUNT A T	DELI DELI DELI DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP DVP DVP DVP	942231 942231 942231 942231 942231 942231 842231 842231 942231	DTCCSELLIOX DTCCSELLIOX DTCCSELLIOX DTCCSELLIOX	2231094155771021 2231994155771021 219994155771021 2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021	• • • • • • • •	-	-	STATUS **	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >	
INS TYPE *** STI SI SI STI STI SI SI SI SI SI SI SI SI SI SI	CNE10003058 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059	22,312 2,231 29,625 29,627 29,627 29,627 29,622 29,621 29,624	CNY CNY CNY CNY CNY CNY CNY CNY	CAv.	4,065,91 4,065,91 4,065,91 4,065,91 4,065,91 4,065,91 4,065,91 4,065,91	77.07 77.07 77.07 77.07 77.07 77.07 77.07 77.07 77.07 77.07 77.07	IOUNT A T	DELI DELI DELI DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP DVP DVP DVP DVP	54231 54231 54231 54231 54231 54231 54231 64231 54231	DTCCSELLOOK DTCCSELLOOK DTCCSELLOOK	2231094155771021 2231994155771021 2119994155771021 2962094155771021 2962094155771021 2119994155771021 2119994155771021	• • • • • • • •	-	-	STATUS * *	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >	

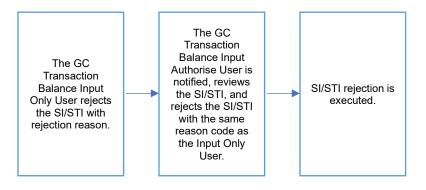
The GC Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Approve".

Back Settlement Instruction Details Trade ID: 6171					Reject Appr
EY SETTLEMENT DETAILS SETTLEMENT STA	ATUS SI HEALTH CHECK TRANSACTION	I REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
SIN	CNE100003059	Depository BIC	30HKCHRH13OOX	Trade Date	2923-1
ocal Code	93906	Quantity	200,000	Туре	
me	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	
		Settlement Currency	CNY	Deal Price Currency	
		Settlement Amount	200,000.01		
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
IND DETAILS		PARTICIPANT DETAILS			
	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOM
10 N	Fund Profile 202406	AM Name	SynComp173	LC Name	SynCi
nd Account at GC	54202406	Investor ID	300013	SPSA	800
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY
		GC Name		Counterparty - CP CCASS ID	c
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		
					🗂 11 April 2023 🛈 symual073 symual073 - 🔹
HKEX Synapse					🗆 11 April 2023 🐨 Symuator 3 Symuator 3 👻 🍟
he Power of Connectivity.	11994155771021				
he Power of Connectivity. ack Settlement Instruction Details Trade ID: 223		IN REFERENCES AND LIFECYCLE		•	
he Power of Connectivity. ack Settlement Instruction Details Trade ID: 223		IN REFERENCES AND LIFECYCLE			
he Power of Connectivity. ack Settlement Instruction Details Trade ID: 223 Y SETTLEMENT DETAILS SETTLEMENT ST		IN REFERENCES AND LIFECYCLE	CP APPROVED: -	CCASS STATUS:	
	TATUS SI HEALTH CHECK TRANSACTIO			CCASS STATUS: Reason:	Reject Appr

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.

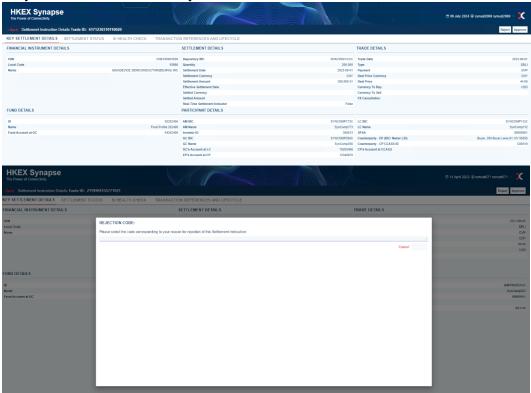
HKEX Synapse The Power of Connectivity.													🖱 11 April 2023 🏵 symuat073 symuat073 🗸 💢				
	Dashboard		Settlement	Instructions			FL	ands		Relationships		Market Data				Reports	
Settlement Inst	ructions																
ETTLEMEN	NT INSTRUCTI	ONS	5	5	0	1	0									Q. Searc	Generate Report
			Proces	ssing Unmatch	ned Matcher	Sottled	Cancelled									2021-0	6-05 (
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m	CNE100003059	22,312	CNY		4,065,97	7.07		DELI	DVP	542231	DTGCSELLXXX	2231034155771021	-	-	-		DETAILS >
	CNE100003059	2,231	CNY		4,065,97	7.07		DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	-	-		DETAILS
	CNE100003059	29,625	CNV		4,065,97	7.07		DEU	DVP	542231		2119994155771021	-	-	-		DETAILS
TI	CNE100003039	29,627	CNY		4,085,97	7.07		DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
TI	CNE100003039	29,627	CNY		4,065,97	7.07		DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS
31	CNE100003039	29,622	CNY		4,065,97	7.07		DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
1	CNE100003059	29,621	CNY		4,065,97	7.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
1	CNE1000030.59	29,624	CNY		4,065,97	7.07		DELI	DVP	542231		2119994155771021	×	~	-	Unmatched	DETAILS
	CNE100003059	29,623	CNY		4,065,97	7.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	29,626	CNY		4,065,97	7.07		DELI	DVP	542231	DTGCSELLXXX	2562934155771021	~	~	-	Unmatched	DETAILS >
1	CNE100003059	2,775	CNV		4,065,97	7.07		DELI	DVP	543008	DTCCSELLXXX	3008994155771021	1	1	1	Sottled	DETAILS
									Previous < > Next								

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.



Note that the second se	HEALTH CHECK TRANSPORT	FERENCES AND LIFECYCLE	1	709451 AG 2017
SETTLEMENT DETAILS SETTLEMENT STATUS ANCIAL INSTRUMENT DETAILS ANCIAL INSTRUMENT DETAILS ACCOMPANY ACCOMPA	HEALTH CHECK TRANSPORT	FERENCES AND LIFECYCLE		2011
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	ating (Hura) (alekeeping (INP5)			
	rade (PLCE)			
	Eatch Rejection [EATC]			
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Receiving	Delivering Depository (DEPT)			
	Delivering Party 1 (ICAG)			
	Delivering Party 2 [ICUS]			
	Delivering Party 3 [IEXE]			
	Rejection (REFE) ng Account Rejection (SAFE)			
	I Amount Currency Rejection (NCRR)			
	Amount Rejection (DMON)			
	Date Rejection (DDAT)			
	System Method Rejection (SETS)			
Settlemen	Transaction Rejection [SETR]			
	Rejection (TXST)			
Trade Date	e (DTRD)			

## **Rejection by GC Transaction Balance Input Authorise User:**

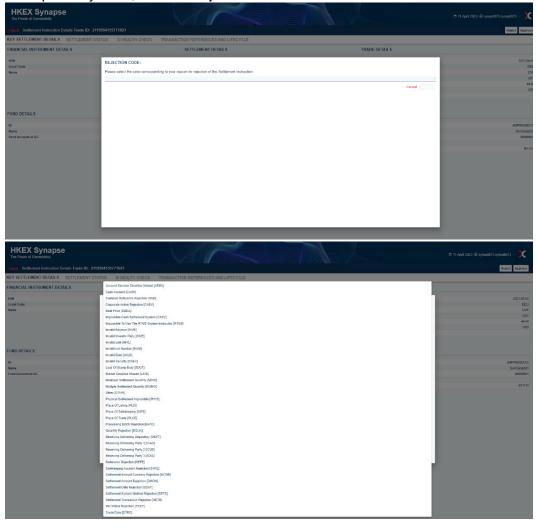
1. On the Settlement Instructions List view, the GC Transaction Balance Input Authorise User is informed that the GC Transaction Balance Input Only User has rejected an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the GC column.

The Power of Co	Synapse														4pril 2023 (	@ synuat073 sy	nuat073 ~ )
	Dashboard		Settlemen	Instructions				Funds		Relationships		Market Data				Reports	
Settlement Inst	tructions																
ETTLEMEN	NT INSTRUCTI	ONS	5	5	0	1	0									Q. Search	Generate Re
			Proce	issing Unmatc	hed Match	ed Settle	d Cancelled									2021-06	-05
INS TYPE * T	ISIN 4 T	QUANTITY - T	SETTLEMENT CURF	ENCY * T	SETTI	EMENT AN	AOUNT - T	TYPE 4 7	PAYMENT MODE * 7	FUND ACCOUNT AT GC 4 T	EP BIC * T	TRADE ID 4 7	GC 4 T	LCAT	CP • T	STATUS * *	
571	CNE100003059	22,312	CNY		4,065	977.07		DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-		DETAILS
a	CNE100003059	29,625	CNY		4,065			DELI	DVP	542231		2119994155771021		-	-		DETAILS
511	CNE100003059	29,627	CNY		4,065;			DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS
571	CNE100003059	29,627	CNY		4,065,			DELI	DVP	542231	DTCCSELLXXX	2952994155771021	-	-	-		DETAILS >
51	CNE100003059	29,622	CNY		4,065			DELI	DVP	542231		2119594155771021	~	~		Unmatched	DETAILS
51	CNE100003059	29,621	CNY		4,065,			DEU	DVP	542231		2119394155771021	~	~	-	Unmalched	DETAILS >
51	CNE100003059	29,624	ONY		4,065,			DEU	DVP	542231		2119994155771021	1	1	-	Unmatched	DETAILS
51	CNE100003059	29,623	ONY		4,065;			DEU	DVP	542231		2119194155771021	~	~		Unmatched	DETAILS >
51	CNE100003059	29,626	ONY		4,065			DELI	DVP	542231	DTCCSELLXXX	2952994155771021			-	Unmatched	DETAILS >
\$1	CNE100003059	2,775	CNY CNY		4,065			DEU	DVP	543008	DTCCSELLXXX	3008994155771021	~	1	~	Settled	DETAILS >
51	CNE100003059							DEU	DVP	542231	DTCCSELLXXX	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 @ symual2070 symual2070 🗸 💢
Back Settlement Instruction Details Trade ID: 6171230	310110020				Reject Approv
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHRH1X0X	Trade Date	2023-09-
Local Code	93906	Quantity	200,000	Type	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	D
		Settlement Currency	CNV	Deal Price Currency	c
		Settlement Amount	200,000.01	Deal Price	44
		Effective Settlement Date		Currency To Buy	U
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
UND DETAILS		PARTICIPANT DETAILS			
0	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP11
fame	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp1
Fund Account at GC	54202405	Investor ID	300013	SPSA	800000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 555
		GC Name	SymComp356	Counterparty - CP CCASS ID	C001
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

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



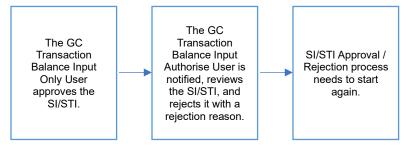
	ENT STATUS SI HEALTH CHECK TRAN				
IANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
N	REJECTION CODE:				2021-0
cal Code me		ur reason for rejection of this Settlement Instruction:			
	Invalid Rule (VALR)				-
				Cancel Subm	
DETAILS					
ocinica					
					JMPPAJS SymCor
Account at GC					800
				9	
IKEX Synapse Power of Connectivity.					🗂 11 April 2023 🏵 synuat073 synuat073 🗸
					Reject Ap
		SACTION REFERENCES AND LIFECYCLE			
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Settlement Instruction Details Trade SETTLEMENT DETAILS SETTLE	and alartog al HEALTH CHECK THOM				
SETTLEMENT DETAILS SETTLE cessfully Rejected SI STATUS					
SETTLEMENT DETAILS SETTLE cess/up/Rejected SI STATUS GC MAKER: × REJECTED	GC CHECKER: × REJECTED	LC APPROVED:	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
SETTLEMENT DETAILS SETTLE essuily Rejected SI STATUS		LC APPROVED: Reason: NA	CP APPROVED: Resson:	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Resson:

4. 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.

HKEX The Power of Ca	Synapse												J.			•	11 April 202	t3 @ synuat073 s	ynuat073 - 🗙
	Dashboard		Sottle	montins	tructions				Funds			Relationships		Markot Data				Reports	
Settlement Inst	tructions																		
SETTLEME		ONS		5	5	0	1	0										Q Searc	Generate Report
				Processir	ng Unmatch	ned Match	d Setti	ed Cance	lled									2021-0	16-05 🗂
INS TYPE * *	ISIN 4 7	QUANTITY **	SETTLEMENT	CURRENC	Y * *	SETTL		MOUNT ^ -	TYPE	* PAYMEN	T MODE * *	FUND ACCOUNT AT GC	EP BIC **	TRADE ID	GC		CP	STATUS * *	
STI	CNE100003059	22,312	ONY			4,065,1			DEU	OVP		542231	DTCCSELL				-		DETAILS >
51	CNE100003059	29,625	ONY			4,065,1			DEU	OVP		542231		21199941557		-	-		DETAILS >
STI	CNE100003039	29,627	CNY			4,065,1			DELI	DVP		542231	DTCCSELL			-	-		DETAILS >
STI	CNE1000030.59	29,627	CNY			4,065,8			DELI	OVP		542231	DTCCSELL			-	-		DETAILS >
SI	CNE100003059	29,622	CNY			4,065,9			DELI	DVP		542231		21199941557		~	-	Unmatched	DETAILS >
\$1	CNE100003059	29,621	CNY			4,065,1			DELI	OVP		542231		21199941557		~	-	Unmatched	DETAILS
SI	CNE100003059	29,624	CNY			4,065,9			DELI	DVP		542231		21199941557		~	-	Unmatched	DETAILS
51	CNE100003059	29,623	CNY			4,065,5			DELI	OVP		542231		21199941557		~	-	Unmatched	DETAILS
SI	CNE100003059	29,626	CNY			4,065,9			DELI	OVP		542231	DTCCSELL			~	-	Unmatched	DETAILS
\$1	CNE100003059	2,775	CNY			4,065,5			DELI	OVP		543008	DTCCSELL			~	~	Settled	DETAILS >
SI	CNE100003059	2,231	CNY			4,065,1	77.07		DEU	OVP		542231	DTCCSELL	LXXX 22319941557	71021 🗸	-	-		DETAILS >

- 5. 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.
- 6. 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:



- 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.

HKEX Synapse The Power of Connectivity.					🗂 11 April 2023 🛈 synuat073 synuat073 🗸
Back Settlement Instruction Details Trade ID: 2	62094155771021				Reject A
EV SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACT	TION REFERENCES AND LIFECYCLE			
Rejected to Maker					
SI STATUS					
GC MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	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.

HKEX S	Synapse															April 2023	l synuat073 s	ynuat0/73 - 💢
	Dashboard		Settler	nent Instr	uctions				Funds		Relationships		Market Data				Reports	
Settlement Inst	ructions																	
SETTLEME	NTINSTRUCT	ONS		5	5	0	1	0									Q Search	Generate Repor
			P	rocessing	Unmatch	ed Matche	d Settle	d Cancell	ed								2021-0	6-05 Č
INS TYPE 4 T	ISIN 6 T	QUANTITY * *	SETTLEMENT C	URRENCY		SETTL	MENT AN	KUNT * *	TYPE * *	PAYMENT MODE *	FUND ACCOUNT AT GC 4 T	EP BIC * *	TRADE ID **	GC * *	LC + T	CP * *	STATUS	
STI	CNE100003059	22,312	CNY			4,065,9	7.07		DEU	OVP	542231	DTCCSELLXXX	2231094155771021		-	-		DCTAILS >
n	CNE100003059	29,627	CNY			4,065,9			DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DCTAILS >
m	CNE100003059	28,627	CNY			4,065,9	7.07		DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
	CNE100003059	29,622	CNY			4,065,9	7.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
51	CNE100003059	29,621	CNY			4,065,9	7.07		DELI	DVP	542231		2119994155771021	~	1	-	Unmatched	DETAILS >
54	CNE100003059	29,624	CNY			4,065,9	7.07		DELI	OVP	542231		2119934155771021	~	~	-	Unmatched	DETAILS >
	CNE100003059	29,623	CNY			4,065,9	7.07		DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
	CNE100003059	29,628	CNY			4,065,9			DEU	DVP	542231	DTCCSELLXXX	2962994155771021	~	1	-	Unmatched	DETAILS >
8	CNE100003059	2,775	CNY			4,065,9			DELI	OVP	543018	DTCCSELLXXX	3008994155771021	~	~	~	Settled	OCTAILS >
84	CNE100003059	2,231	CNY			4,005,9			DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	-	-		DETAILS >
51	CNE100003059	29,625	CNY			4,065,9	70.77		DELI	OVP	542231		2119994155771021	×	-	-		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):

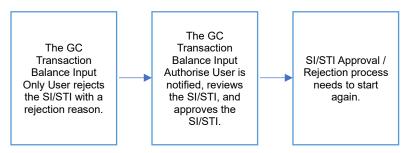
1. On SI List View, the icon will change from 'O' to '-' under GC column as the process needs to start again from GC Transaction Balance Input Only User. The GC Transaction

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.

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	Dashboard		Settlement	Instructions			Funds			Relationships		Market Data				Reports	
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ETTLEME	NT INSTRUCTI	ONS	5 Proces	5 Ising Unmatch	O ed Matcher	1 O Settled Can	celled										Generate Rep
NS TYPE ^ T	ISIN * *	QUANTITY .	SETTLEMENT CURRE	MCV A T		MENT AMOUNT		YPE	PAYMENT MODE	FUND ACCOUNT AT GC 1	EP BIC 17	TRADE ID **	GC ^ T	1047	CRAT	2021-06	-05
STI	CNE1000030.59	22,312	CNY		4,085,97			eu	DVP	542231	DTCCSELLXXX	2231004155771021	-	-	-	3100.03	DETAILS
		29.627	CNY		4,065.97	7.07	0	EU	DVP	542231	DTCCSELLXXX						DETAILS >
п	CNE100003059											2962094155771021	-				
	CNE100003059 CNE100003059	29,627	CNY		4,085.97			EU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS
n						7.07	D							ļ	2	Unmatched	DETAILS >
n I	CNE1000030.59	29,627	CNY		4,085,97	7.07 7.07	D	EU	DVP	542231		2962094155771021	-		-	Unmatched Unmatched	
n	CNE1000030.59 CNE1000030.59	29,627 29,622	CNY CNY		4,085,97	7.07 7.07 7.07	D	EU	DVP DVP DVP	542231 542231		2962094155771021 2119994155771021	Ţ		2		DETAILS
π π ι ι ι	CNE1020030.59 CNE1020030.59 CNE1020030.59 CNE1020030.59 CNE1020030.59 CNE1020030.59	29,827 29,822 29,821 29,824 29,824 29,823	CNY CNY CNY CNY CNY		4,085,97 4,085,97 4,085,97 4,085,97 4,085,97	7.07 7.07 7.07 7.07 7.07	D D D D	EU EU EU EU	0VP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXX	2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021	- > >		2	Unmatched	DETAILS >
	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29,827 29,822 29,821 29,824 29,824 29,823 29,825	CNY CNY CNY CNY CNY CNY		4,085,97 4,085,97 4,085,97 4,085,97 4,085,97 4,085,97	7.97 7.97 7.97 7.97 7.97 7.97	D D D D D	EU EU EU EU	D/P D/P D/P D/P	542231 542231 542231 542231 542231 542231 542231	DTCOSELLXXX	2982094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2962994155771021			2	Unmatched Unmatched Unmatched Unmatched	DETAILS > DETAILS > DETAILS >
	CNE102033058 CNE102033058 CNE102033058 CNE102033058 CNE102033058 CNE102033058 CNE102033058	29,827 29,822 29,821 29,824 29,823 29,825 2,775	CNY CNY CNY CNY CNY CNY CNY		4,085,97 4,085,97 4,085,97 4,085,97 4,085,97 4,085,97 4,085,97	7.07 7.07 7.07 7.07 7.07 7.07 7.07	0 0 0 0 0 0 0 0 0		0/P 0/P 0/P	542231 542231 542231 542231 542231 542231 542231 542231 542231 542231	DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX	2962994155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 3000994155771021			-	Unmatched Unmatched Unmatched	DETAILS > DETAILS > DETAILS > DETAILS >
Π 	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29,827 29,822 29,821 29,824 29,824 29,823 29,825	CNY CNY CNY CNY CNY CNY		4,085,97 4,085,97 4,085,97 4,085,97 4,085,97 4,085,97	7.07 7.07 7.07 7.07 7.07 7.07 7.07 7.07	D D D D D D D D D D D D D D D D D D D	EU EU EU EU	D/P D/P D/P D/P	542231 542231 542231 542231 542231 542231 542231	DTCOSELLXXX	2982094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2962994155771021		1 2 2 2 2 2 1	-	Unmatched Unmatched Unmatched Unmatched	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >

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



- 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.

EX Synapse wer of Connectivity.					🗂 11 April 2023 🏵 synuat073 synuat073
Settlement Instruction Details Trade ID: 22 TTLEMENT DETAILS SETTLEMENT 9		TON REFERENCES AND LIFECYCLE			Reject
lo Maker					
I STATUS					
GC MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Resson:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

 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.

The Power of C		_													③ synuat073 sy	
	Dashboard		Settlement	Instructions			Funds		Relationships		Market Data				Reports	
ettlement Ins	tructions															
ETTLEME	NTINSTRUCT	ONS	5	5 using Unmatche	•	10									Q Search	Generate
			Proces	using Unmatche	d Matched	ettied Cancelle	a								2021-05	-05
INS TYPE * *	ISIN * *	QUANTITY & *	SETTLEMENT CURRE	NCY A T		T AMOUNT 1 *	TYPE **	PAYMENT MODE **	FUND ACCOUNT AT GC 4 7	EP BIC **	TRADE ID **	GC ^ T	LCAT	CP * T	STATUS * *	
T	CNE100003059	22.312	CNY		4,085,977.0		DELL	DVP	542231	DTCCSELLXXX	2231004155771021					DETAILS
													-			
1	CNE1000030.59	29,827	CNY		4,065,977.0		DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAIL
	CNE1000030.59 CNE1000030.59	29,627 29,627	CNY CNY		4,065,977.0		DEU DEU	DVP DVP	542231 542231		2962004155771021 2962094155771021	-	÷.	-		
	CNE1000030.58 CNE1000030.58 CNE1000030.58	29,827 29,827 29,822	CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0		DEU DEU DEU	0/P D/P	542231 542231 542231	DTCCSELLXXX	2962004155771021 2962004155771021 2119994155771021		Ţ	2	Unmatched	DETAIL
	CNE100003059 CNE100003059 CNE100003059 CNE100003059	29,827 29,827 29,822 29,821	CNY CNY CNY CNY		4,065,977.0 4,065,977.0 4,065,977.0 4,065,977.0	- 	DEU DEU DEU DEU	DVP DVP DVP DVP	542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2962094155771021 2119994155771021 2119994155771021		- > >	-	Unmatched	DETAIL DETAIL DETAIL
	CNE1000130.59 CNE1000130.59 CNE1000130.59 CNE1000130.59 CNE1000130.59	29,827 29,827 29,822 29,821 29,824	CNY CNY CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0	- - -	DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021		Ţ	-	Unmatched Unmatched	DETAIL DETAIL DETAIL DETAIL
	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29.627 29.627 29.622 29.621 29.624 29.624 29.625	CNY CNY CNY CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0	• • •	DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021			-	Unmatched Unmatched Unmatched	DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL
	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29,627 29,627 29,622 29,621 29,624 29,623 29,625	CNY CNY CNY CNY CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0	• • •	DEU DEU DEU DEU DEU DEU DEU	0/16 0/16 0/16 0/16 0/16 0/16 0/16	542231 542231 542231 542231 542231 542231 542231 542231	DTCOSELLXXX DTCOSELLXXX DTCOSELLXXX	2962004155771021 2962004155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021			-	Unmatched Unmatched Unmatched Unmatched	DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL
	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29.627 29.627 29.622 29.621 29.624 29.624 29.625	CNY CNY CNY CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0		DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021			-	Unmatched Unmatched Unmatched	DETAIL

#### Health check findings in SI Health Check tab

#### Background

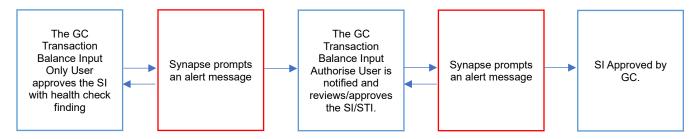
To reduce the risk of settlement failure, the health check provides additional business validation on the incoming settlement instruction from DTCC when Synapse users starts the approval workflow. Regardless of failure reasons, Synapse will trigger an alert message when the reason is detected.

#### **Workflow and Process**

For a buy-side instruction, an alert message will be prompted in the approval workflow to both <u>GC Transaction Balance Input Only User</u> and <u>GC Transaction Balance Input Authorise User</u> 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".

HKEX Synapse The Power of Connectivity.					🗖 10 July 2024 🖲 synuat2069 synuat2069 🗸 🂢
e Back Settlement Instruction Details Trade ID     KEY SETTLEMENT DETAILS SETTLEMEN		ANSACTION REFERENCES AND LIFECYCLE			Reject Approve
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE000000040	Depository BIC	XHKCHKH1XXX	Trade Date	2023-09-0
Local Code	70001	Quantity	340,000	Туре	REC
Name	PING AN BANK CO., LTD. (A #000001)	Settlement Date	2023-09-01	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	340,000.01	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	US
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202408	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112
Name	Fund Profile 202408		SynComp 173		SynComp 11
Fund Account at GC		Investor ID		SPSA	8000000
		GC BIC	SYNCOMP356X		Seller, 300 Seller Lane, NY, NY 6665
		GC Name	SynComp356		80113
		GC's Account at LC		CP's Account at CCASS	
		EP's Account at CP			

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.".

HKEX Synapse The Power of Connectivity.		150034				🖻 10 July 2024 (i) symuat2069 symuat2069 - 🗴
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCE	S AND LIFECYCLE		
SI HEALTH CH	ECK:					
CHECK		STAT	US	SUBMITTED VALUE	COUNTERPARTY VALUE	
✓ ISIN		Healt	h Check Passed	-	-	
<ul> <li>Settlement</li> </ul>	Date	Healt	h Check Passed	-	-	
Counterparty I	D				-	
A EP's accou	nt 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.

HKEX Synapse					🗂 10 July 2024 🕃 symuat2069 symuat2069 🕤 💢
← Back Settlement Instruction Details Trade ID:					Reject Approve
KEY SETTLEMENT DETAILS SETTLEMEN	NT STATUS SI HEALTH CHECK TRANS	SACTION REFERENCES AND LIFECYCLE			
SI STATUS					
GC MAKER:	GC CHECKER: -	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA
		Alert Message			
		Please go to "SI HEALTH CF chuck finding, Cick Advances Cick Advances Continue to confirm the appro-	oval process, or Click		

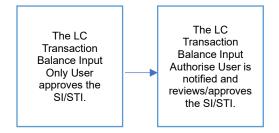
4. The GC Transaction Balance Input Only User clicked **Continue** to confirm the approval and the system message shows "Successfully Approved".

HKEX Synapse The Power of Connectivity.	8-1414 (1)				3 10 July 2024 🖲 synuat2069 synuat2069 🕤 🏌
eBack Settlement Instruction Details Trade ID: 6171	1230902150034				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT ST	TATUS SI HEALTH CHECK TRANS	ACTION REFERENCES AND LIFECYCLE			
© Successfully Approved					
SI STATUS					
GC MAKER: V APPROVED	GC CHECKER: -	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason: F	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

5. 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:

- 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".

HK The P	<b>EX Syn</b> ower of Connectiv	apse <sup>ity.</sup>							🗂 13 April :	2023 🖲 sy	nuat141 synuat1	41 ~ 💢
	Dashboard		Settlement Ins	tructions	Funds		Relations	hips	Market Data		Reports	
Settler	nent Instructio	15										
	SETTLEMEN		5 Pr	ocessing Unmat	O ched Matched	1 Settled	0 Cancelled				Q Search Ge	nerate Report
INS TYPE	≜ ▼ ISIN ≜ ▼		SETTLEMENT CURRENCY	A T SETTLEMEN AMOUNT	T A TYPE A	PAYMEN MODE	T GC ACCOUNT A AT LC	CP CCASS	A T SPSA TRADE ID A T	iC ^ ▼ LC ^	▼ CP ^ ▼ STATUS	
SI	CNE100003059	279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269 ~	< 1	✓ Settled	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190943 -		-	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944 -		-	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941 -		-	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942 -		-	DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	DELI	DVP Previou	123456789 is < > Next	B01110	80000001 0000000756190940 ~	· _	-	DETAILS >

					🗂 09 July 2024 🏵 synual/783 synual/783 🕤 🚶
Back Settlement Instruction Details Trade ID: 6171230	310110020				
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE10003059	Depository BIC	XHKCHKH1X00	Trade Date	2023-09
Local Code	93986	Quantity	200,000	Туре	
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01		
		Settlement Currency	CNY	Deal Price Currency	
		Settlement Amount	200,000.01	Deal Price	4
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
D	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynCom
		Investor ID	300013	SPSA	8000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane,NY, NY 55
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00
		GC's Account at LC	76202406	CP's 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 "Approve".

Sottlement Instruction D	tails Trade ID: 000000075619	0940			Reject A
ETTLEMENT DETAILS			ACTION REFERENCES	AND LIFECYCLE	Reject
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
EX Synaps				🗖 13 Ap	ril 2023 🕃 synuat141 synuat141 🗸
Power of Connectivity.			×/	🗖 13 Ар	ril 2023 ④ synuat141 synuat141 ~
Power of Connectivity.	etails Trade ID: 000000075619		SACTION REFERENCES		ril 2023 ④ synuat141 synuat141 ~ Relect
Power of Connectivity. Settlement Instruction D ETTLEMENT DETAILS	etails Trade ID: 000000075619		SACTION REFERENCES		ni 2023 () synuat141 synuat141 ~ Reject
Power of Connectivity. Settlement Instruction D ETTLEMENT DETAILS	etails Trade ID: 000000075619		SACTION REFERENCES		ni 2023 (E) synuat141 synuat141 ~ Reject
Power of Connectivity. Settlement Instruction D ETTLEMENT DETAILS ssfully Approved	etails Trade ID: 000000075619		SACTION REFERENCES		ni 2023 🕃 synuat141 synuat141 🗸 Reiec 🛛
SETTLEMENT DETAILS	etails Trade ID: 000000075619 SETTLEMENT STATUS	SI HEALTH CHECK TRANS		AND LIFECYCLE	

## 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.

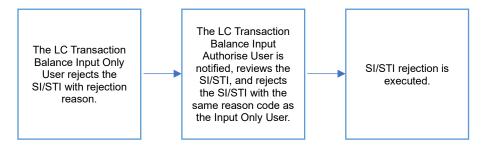
	EX Synapse							🖹 13 April 20	23 🖲 sy	vnuat143 synuat14	з - 🔀
	Dashboard	Settlement Inst	ructions	Funds		Relations	hips	Market Data		Reports	
ettleme	nt Instructions										
		5 Pro	<b>O</b> Decessing Unmatched	0 Matched	- C	0 Cancelled				Q Search Gen	erate Report
INS A TYPE		SETTLEMENT CURRENCY	A T SETTLEMENT AMOUNT	<sup>▲</sup> ▼ TYPE <sup>▲</sup> 7	PAYMENT MODE	A T LC	CP CCASS	≜ ₹ SPSA ≜ ₹ TRADE ID ≜ ₹ GC	^ ∓ LC ^	Ŧ CP △ Ŧ STATUS	x <del>≠</del>
si	CNE100003089 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269 🗸	~	<ul> <li>Settled</li> </ul>	DETAILS
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 000000756190943 -	-	-	DETAILS
51	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 000000756190944 -	-	-	DETAILS
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941 -	-	-	DETAILS
51	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 000000756190942 -	-	-	DETAILS
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP Previou	123456789 s < > Next	B01110	80000001 000000756190940 🗸	•	-	DETAILS

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

		SARTHATTIN MARKAN ANTATINA			
ck Settlement Instruction Details Trade ID: 617123					Rest. A
SETTLEMENT DETAILS SETTLEMENT STATU	S SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
ANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
	CNE100003059	Depository BIC	XHKCHKH10	CX Trade Date	212
al Code	93906			00 Type	
	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date Settlement Currency		01 Payment VY Deal Price Currency	
		Settlement Currency Settlement Amount		01 Deal Price Currency 01 Deal Price	
		Effective Settlement Date		01 Currency To Buy	
		Settled Currency		VY Currency To Sell	
		Settled Amount Real-Time Settlement Indicator	200,000/ Fal	01 FX Cancellation	
D DETAILS		PARTICIPANT DETAILS	10	se	
000000					
	55202406	THE DEP	SYNCOMP17		SYNCO
	Fund Profile 202406	AM Name Investor ID		73 LC Name 13 SPSA	Synt
		GC BIC		13 SPSA 6X Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane NV.
		GC Name	SynComp3	56 Counterparty - CP CCASS ID	
		GC's Account at LC EP's Account at CP	762024	06 CP's Account at CCASS	
Y SETTLEMENT DETAILS			ACTION REFERENCES AND	LIFECYCLE	Reject Approve
			ACTION REFERENCES AND	LIFECYCLE	Reject Approve
Y SETTLEMENT DETAILS			1	LIFECYCLE	Reject Approve
Y SETTLEMENT DETAILS	SETTLEMENT STATUS S	I HEALTH CHECK TRANS	CP APPROVED: -		
Y SETTLEMENT DETAILS	SETTLEMENT STATUS	I HEALTH CHECK TRANS	CP APPROVED: Reason:	CCASS STATUS:	CANCELLATION STATUS:
Y SETTLEMENT DETAILS SI STATUS LC MAKER: ~ APPROVED Reason:	SETTLEMENT STATUS S	I HEALTH CHECK TRANS	CP APPROVED: Reason:	CCASS STATUS: Reason:	CANCELLATION STATUS: Reason:
Y SETTLEMENT DETAILS  SI STATUS  LC MAKER: ~ APPROVED Reason: NA  HKEX Synapse	SETTLEMENT STATUS S	I HEALTH CHECK TRANS	CP APPROVED: Reason:	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason:
Y SETTLEMENT DETAILS SI STATUS LC MAKER: ~ APPROVED Resson: NA NA HKEX Synapse The Power of Connectivity.	SETTLEMENT STATUS S	I HEALTH CHECK TRANS	CP APPROVED: Reason:	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
Y SETTLEMENT DETAILS SI STATUS LC MAKER: ~ APPROVED Reason: NA NA HKEEX Synapse The Power of Connectivity. Back Settlement Instruction Def	SETTLEMENT STATUS S	I HEALTH CHECK TRANS	CP APPROVED: Reason:	CGASS STATUS: Reason: NA 13 April 20	CANCELLATION STATUS: Reason: NA
Y SETTLEMENT DETAILS SI STATUS LC MAKER: ~ APPROVED Reason: NA HKEX Synapse The Power of Connectivity. Back Settlement Instruction Def Y SETTLEMENT DETAILS	SETTLEMENT STATUS S LC CHECKER: Reason: NA	I HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CGASS STATUS: Reason: NA 13 April 20	CANCELLATION STATUS: Reason: NA
Y SETTLEMENT DETAILS  SI STATUS  LC MAKER: ~ APPROVED Reason: NA  HKEX Synapse The Power of Connectivity.  Back Settlement Instruction Def Y SETTLEMENT DETAILS	SETTLEMENT STATUS S LC CHECKER: Reason: NA	I HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CGASS STATUS: Reason: NA 13 April 20	CANCELLATION STATUS: Reason: NA
Y SETTLEMENT DETAILS  SI STATUS  LC MAKER: ~ APPROVED Reason: NA  HKEX Synapse The Power of Connectivity.  Back Settlement Instruction Det EY SETTLEMENT DETAILS Successfully Approved	SETTLEMENT STATUS S LC CHECKER: Reason: NA	I HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CGASS STATUS: Reason: NA 13 April 20	CANCELLATION STATUS: Reason: NA
Y SETTLEMENT DETAILS  SI STATUS  LC MAKER: ~ APPROVED Reason: NA  HKEX Synapse The Power of Connectivity.  Back Settlement Instruction Def SI STATUS LC MAKER: ~ APPROVED LC MAKER: ~ APPROVED	SETTLEMENT STATUS S LC CHECKER: - Reason: NA kalls Trade ID: 000000075619 SETTLEMENT STATUS S LC CHECKER: ~ APPROVED	I HEALTH CHECK TRANS	CP APPROVED: Reason: NA BACTION REFERENCES AND CP APPROVED:	CCASS STATUS: Reason: NA I 13 April 20 LIFECYCLE CCASS STATUS:	CANCELLATION STATUS: Reason: NA 23 🕲 synual143 synual143 🗸 X Refect Approve
SI STATUS LC MAKER: ~ APPROVED Reason: NA HKEX Synapse The Power of Connectivity. Back Settlement Instruction Def EY SETTLEMENT DETAILS Successfully Approved SI STATUS	SETTLEMENT STATUS S	I HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA 23 @ synuat143 synuat143 ~ X Reject Approve

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.
- 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.					🖻 09 July 2024 🕲 symual783 symual783 🗟 🍸
+ Back Settlement Instruction Details Trade ID: 617	1230310110020				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STA	ATUS SI HEALTH CHECK TRANSACTION	NREFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1000	Trade Date	2023-09-01
Local Code	93906	Quantity	200,000	Type	DEU
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVF
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	200,000.01	Deal Price	44.0
		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	SYNCOMP112
Name	Fund Profile 202406	AM Name	SvnComp173	LC Name	SviiComp11
		Investor ID	300013	SPSA	800000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 5555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C0001
		GC's Account at LC	76202406	CP's 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.

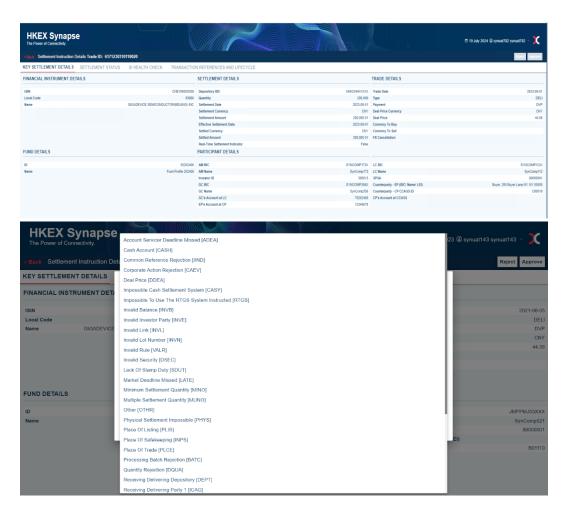
HKEX Synapse The Power of Connectivity.					3 🕄 synuat141 synuat141 🗸 💢
<b>eBack</b> Settlement Instruction Detection	etails Trade ID: 0000000756190	941			Reject Approve
KEY SETTLEMENT DETAILS	REJECTION CODE:				
FINANCIAL INSTRUMENT DET	Please select the code correspond	ding to your reason for rejection o	f this Settlement Instruction:		
ISIN				*	2021-06-05
Local Code Name GIGADEVICE				Cancel Submit	DELI
Name					CNY
					44.06
FUND DETAILS					
ID					JMPPMJ55XXX
Name					SynComp521 80000001
					EI)
		C Name C's Account at LC		Counterparty - CP CCASS ID CP's Account at CCASS	B01110
					B01110
					B01110
HKEX Synapse	c			CP's Account at CCASS	BOIIIO 3 @ synuat141 synuat141 ~ 🗙
HKEX Synapse The Power of Connectivity.		C's Account at LC		CP's Account at CCASS	
The Power of Connectivity.	tails Trade ID: 00000007561905	G's Account at LC		CP's Account at CCASS	
The Power of Connectivity.	tails Trade ID: 00000007561905	G's Account at LC	123456789	CP's Account at CCASS	
The Power of Connectivity.	tails Trade ID: 00000007561905	G's Account at LC	123456789	CP's Account at CCASS	
The Power of Connectivity.    Back Settlement Instruction De KEY SETTLEMENT DETAILS   Successfully Rejected	tails Trade ID: 00000007561905	G's Account at LC	123456789	CP's Account at CCASS	
The Power of Connectivity Back Settlement Instruction De KEY SETTLEMENT DETAILS © Successfully Rejected SI STATUS	talis Trade ID: 0000007561900 SETTLEMENT STATUS SI	C's Account at LC	123456789 ACTION REFERENCES AND	CP's Account at CCASS	3 @ synuat141 synuat141 ~ X Refett Reprove
The Power of Connectivity Back Settlement Instruction De KEY SETTLEMENT DETAILS © Successfully Rejected SI STATUS LC MAKER: × REJECTED	c talis Trade ID: 00000007561900 SETTLEMENT STATUS SI LC CHECKER:	C's Account at LC	123456789 ACTION REFERENCES AND CP APPROVED: -	CP's Account at CCASS	3 (2) synuat141 synuat141 ~ X Forest Acarone CANCELLATION STATUS:

# **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.

HK The Po	EX Syn	apse										🗖 13 Apri	l 2023 🕃 s	ynuat14	3 synuat143	- X
	Dashboard		Settlement Ins	structions		Funds			Relations	hips		Market Data		l	Reports	
ettlem	ent Instruction	ns														
	SETTLEMEN		4	L	1	0	1	0						Q Sea	Irch Gene	rate Repor
			P	rocessing	Unmatched	Matched	Settled	Cancelle	d					2021-	06-05	
INS <sup>4</sup> TYPE	Ŧ ISIN ≜ Ŧ	QUANTITY 4	SETTLEMENT CURRENCY			× ŦYPE ▲ ₹	PAYMEN MODE	T ≜∓GC ATI	ACCOUNT ^	CP CCASS	≜ ∓ SPSA ≜ ₹		GC ≜ ∓ LC 4	÷ CP ≜	Ŧ STATUS △	-
SI	CNE100003089	279,600	CNY	4,06	5,977.07	DELI	DVP	762	796	B01110	8000000	1 2796912176691269	<  <	~	Settled	DETAILS
SI	CNE100003059	2,102	CNY	4,06	5,977.07	DELI	DVP	123	456789	B01110	8000000	1 0000000756190943		-		DETAILS
SI	CNE100003059	2,102	CNY	4,06	5,977.07	DELI	DVP	123	456789	B01110	8000000	1 0000000756190944		-		DETAILS
SI	CNE100003059	2,102	CNY	4,06	5,977.07	DELI	DVP	123	456789	B01110	8000000	1 0000000756190941	- •	-		DETAILS
SI	CNE100003059	2,102	CNY	4,06	5,977.07	DELI	DVP	123	456789	B01110	8000000	1 0000000756190942		-		DETAILS
SI	CNE100003059	2,102	CNY	4,06	5,977.07	DELI	DVP Previou		456789 ext	B01110	8000000	1 0000000756190940	~ ~	-	Unmatched	DETAILS

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.		🗖 13 April 2023 🕲 synuat143 synuat143 🕤 🔀	
←Back Settlement Instruction De	tails Trade ID: 000000756190941	Reject Approv	е
KEY SETTLEMENT DETAILS	REJECTION CODE: Please select the code corresponding to your reason for rejection of this Settlement Instruction:		
ISIN Local Code	Account Servicer Deadline Missed (ADEA)	2021-06- Cancel Submit DE	ELI
Name GIGADEVICE		DX CN 44.1	NY
FUND DETAILS		UK26LMPPML	
Name		المراجعة: SynComp5 800000 El)	21
	GC Name SymComp51 GC's Account at LC 12345078	1 Counterparty - CP CCASS ID B011 9 CP's Account at CCASS	10

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

Power of Connectivity.			All States	🖾 13 Ap	ril 2023 🕃 synuat143 synuat143 👻
Settlement Instruction D	etails Trade ID: 000000075619	0941			Reject A
ETTLEMENT DETAILS	SETTLEMENT STATUS	I HEALTH CHECK	TRANSACTION REFERENCES	S AND LIFECYCLE	
ssfully Rejected					
SI STATUS					
LC MAKER: × REJECTED	LC CHECKER: X REJECTED	GC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
Account Servicer Deadline Missed [ADEA]	Account Servicer Deadline Missed [ADEA]	NA	NA	NA	NA
		NA	NA	NA	NA

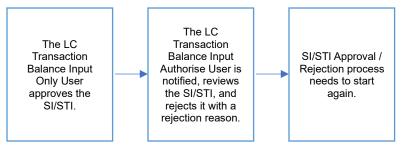
4. If the GC has not yet approved the SI/STI, then the GC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI that has been rejected by a 'X' in the LC column.

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.

	EX Syn wer of Connectiv									🗖 13 Apri	2023 🕃 s	ynuat14	3 synuat143	- 🗙
	Dashboard	s	Settlement Ir	structions		Funds	A	Relation	ships	Market Data			Reports	
ettlem	ent Instructio	ns												
				4	1	0	1	0				Q Sea	arch Gener	rate Repo
				Processing	Unmatche	ed Matched	Settled	Cancelled				2021-	06-05	
INS A	ISIN A T		SETTLEMENT			A TYPE A	MODE	GC ACCOUNT AT LC	CP CCASS	<sup>♠</sup> ▼ SPSA <sup>♠</sup> ▼ TRADE ID <sup>♠</sup> ▼	GC A 🔻 LC A	T CP 4	* STATUS * 1	
SI	CNE10000305	279,600	CNY	4,06	5,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	/ /	~	Settled	DETAIL
SI	CNE10000305	2,102	CNY	4,06	5,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190943		-		DETAIL
SI	CNE10000305	2,102	CNY	4,06	5,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944		-		DETAILS
SI	CNE10000305	2,102	CNY	4,06	5,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941	- ×	-		DETAIL
51	CNE10000305	2,102	CNY	4,06	5,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942				DETAILS
	CNE10000305				5,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190940	1 1		Unmatched	

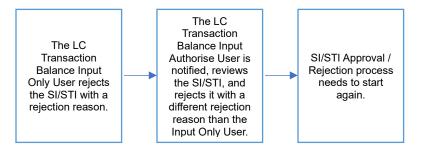
# Approval by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User):



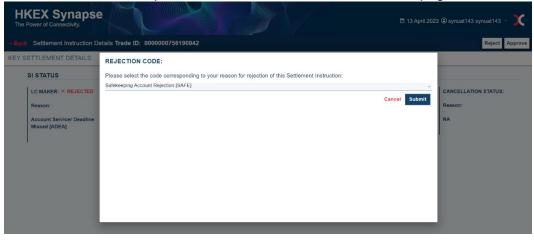
- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. LC Transaction Balance Input Only User can see the Approval is rejected by LC Transaction Balance Input Authorise Users 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. 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.



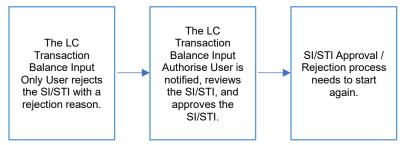
HKEX Synaps The Power of Connectivity.				🗖 13 Api	ril 2023 🕃 synuat143 synuat143 🕤 🚶
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS SI	HEALTH CHECK	TRANSACTION REFERENCES	AND LIFECYCLE	
LC MAKER: PENDING AMENDMENT Reason: NA	LC CHECKER: REJECTED TO MAKER Reason: NA	GC APPROVED: Reason: NA	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

 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.

	EX Synapse wer of Connectivity.							🗖 13 Apri	il 2023 🏵 syr	synuat143 synuat143 🗸 💢	
	Dashboard	Settlement Instru	uctions	Funds	A	Relations	hips	Market Data		Reports	
Settlem	ent Instructions										
	SETTLEMENT	4 Proc	1 cessing Unmatche	<b>O</b> d Matched	1 Settled	<b>O</b> Cancelled			c		erate Report
INS TYPE		SETTLEMENT CURRENCY	A T SETTLEMENT AMOUNT	≜ ₹ TYPE ≜ 3	MODE	T A GC ACCOUNT A AT LC	CP CCASS	△ ♥ SPSA △ ♥ TRADE ID △ ♥	GC 🌣 🔻 LC 🖄	2021-06-05 • CP • • • STATUS •	•
SI	CNE1000030S9 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	× ×	<ul> <li>Settled</li> </ul>	DETAILS >
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	CNE100003089 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		<ul> <li>Unmatched</li> </ul>	d DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP Previou	123456789 Is < > Next	B01110	80000001 0000000756190941	- ×	-	DETAILS >

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.
- 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. 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

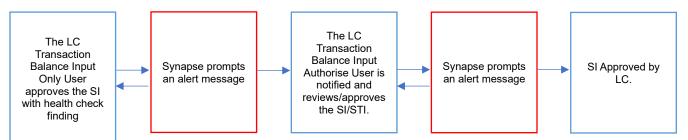
To reduce the risk of settlement failure, the health check provides additional business validation on the incoming settlement instruction from DTCC when Synapse users starts the approval workflow. Regardless of failure reasons, Synapse will trigger an alert message when the reason is detected.

#### **Workflow and Process**

For buy-side instruction, an alert message will be prompted up in the approval workflow to both <u>LC Transaction Balance Input Only User</u> and <u>LC Transaction Balance Input Authorise User</u> 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 LC Transaction Balance Input Only User views the details of an SI/STI and clicks "Approve".

					🗖 10 July 2024 🕲 synuat783 synuat783 🗸 🄾
Back Settlement Instruction Details Trade     KEY SETTLEMENT DETAILS SETTLEM		ANSACTION REFERENCES AND LIFECYCLE			Reject Appro
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE00000040	Depository BIC	XHKCHKHIXXX	Trade Date	2023-06
Local Code	70001	Quantity	340,000	Туре	R
Name	PING AN BANK CO., LTD. (A #000001)	Settlement Date	2023-09-01	Payment	
		Settlement Currency	CNY	Deal Price Currency	
		Settlement Amount	340,000.01	Deal Price	4
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
D	55202408	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynCorr
		Investor ID	300013	SPSA	8000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Seller, 300 Seller Lane, NY, NY 6
		GC Name	RunCome 268	Counterparty - CP CCASS ID	BC

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.".

HKEX Synapse The Power of Connectivity. • Back Settlement Instruction Details Trade ID: 61712309	02150034			🗂 10 July 2024 @ synuat783 synuat783 - 🗙
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION REFERENCES /	AND LIFECYCLE		
SI HEALTH CHECK:				
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	-	-	

 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.

HI The I	<b>EX Synapse</b>				•	🛱 10 July 2024 🛞 synuat783 synuat783 🕤 🗙
← Back						Reject Approve
KEY S	ETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANS	ACTION REFERENCES AND LIFECYCLE			
	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
			_			
			Alert Message			
			Please go to "SI HEALTH CH check finding.     Click Abort to stop the approv Continue to confirm the approv	al process, or Click		
				Continue Abort		

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

HKEX Synapse The Power of Connectivity.	9					🛱 10 July 2024 🕲 synuat783 synuat783 🗸 💢
Back Settlement Instruction D	etails Trade ID: 617123090	2150034				Reject Approv
EY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYC	DLE		
Successfully Approved						
SI STATUS						
LC MAKER: V APPROVED	LC CHEC	KER: -	GC APPROVED: ~ APPROVED	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:		Reason:	Reason:	Reason:	Reason:

5. 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)

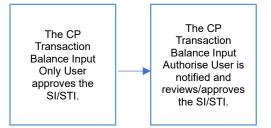
# EPs have view only rights to SI/STI processing.

The P	EX Syn	y.									🖬 13 Ap	oril 2023 🕃	synu	at211 synuat211	<u> </u>
							1						в	Organization: SynComp531	
	Dashboard	S	Settlement In	structions	-	Accounts			Relationships	3	Market Data		ACT	ING AS:	
əttler	nent Instruction	s												Identity: Exchange Participant	
													٩	Function 1 : SYN User	
	SETTLEMEN		(	60	(	0	1	0						Role Type: Input-Only	e R
			P	rocessing Un	matched M	latched	Settled	Cancel	led				٩	Function 2 : Transaction-Balances	
														Role Type: Input-Only	_
NS YPE	≜ <del>∓</del> ISIN ≜ <del>∓</del>		SETTLEMENT CURRENCY	A ₹ SETTL AMOU		≜ Ŧ TYPE	PAYM MODE		FEP'S ACCOUNT AT CP	≜ ∓ AM BIC ≜ ∓		CP ≜ ∓ GC	4	Function 3 :	
51	CNE100003059	2,102	CNY	4,085,9	977.07	RECE	DVP		999991	DTCCMEORXXX	00000005634115	3		Data Manager Role Type:	ETA
61	CNE100003059	279,600	CNY	4,065,9	977.07	RECE	DVP		900546	DTCCMEORXXX	(500091626129279	6 🗸 🗸		Input-Only	ETA
51	CNE100003059	2,102	CNY	4,065,9	077.07	RECE	DVP		999991	DTCCMEORXXX	000000056341152	2		() Logout	ЕТА
51	CNE100003089	2,102	CNY	4,065,9	977.07	RECE	DVP		999991	DTCCMEORXXX	000000056341154	4		U Logout	ETA
	CNE100003089	92,000	CNY	4,065,9	77.07	DELI	DVP		900546	DTCCMEORXXX	500091626122279	6		-	DETA
51	CNE100003089	2,102	CNY	4,065,9	977.07	RECE	DVP		999991	DTCCMEORXXX	000000056341150	v - 0	~	/	DETA
a a							DVP		999991		00000005634115		,		DETA

Back Settlement Instruction	n Details Trade ID: 0000000056	341154			
KEY SETTLEMENT DETAIL	S SETTLEMENT STATUS	SI HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	
FINANCIAL INSTRUMENT	DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-0
Local Code	93986	Quantity	2,102	Туре	REC
Name GIGADE	VICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	4,065,977.07	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	US
		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.
- 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".

HK The Po	EX Syna	pse								🗂 13 April 🕯	2023 @	) synuat	281 synuat28	31 ~ 🗙
	Dashboard		Settlement In	structions	Acc	ounts		Relationships		Market Data			Reports	
ettlen	nent Instructions													
			(	6 0	0	1	0					Qs	earch Ger	nerate Report
			P	rocessing Unma	atched Mate	ched Settled	Cancelled					202	1-06-05	ŧ
INS A	* ISIN ≜ * QU/		P SETTLEMENT CURRENCY	SETTLEMENT		PAYMENT A	Cancelled EP'S ACCOUNT AT CP	A T CP'S A ACCOUNT AT CCASS	LC CCASS ID	TRADE ID A T	P≜₹G		1-06-05	
TYPE	* ISIN * * QU/ CNE100003059 92,0		SETTLEMENT	A T SETTLEMENT		PAYMENT	EP'S ACCOUNT	ACCOUNTAT	CCASS	* TRADE ID * * C 5000916261222796 -				
TYPE SI		000	SETTLEMENT CURRENCY		<b>▲ ▼ TYPE</b> ▲	PAYMENT A MODE	EP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS			C ^ * LC		A <del>-</del>
TYPE SI SI	CNE100003059 92,0	000 9,600	SETTLEMENT CURRENCY CNY	A SETTLEMENT AMOUNT 4,065,977.07	A TYPE A	PAYMENT A MODE	EP'S ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	-	C ^ * LC	A T STATUS	DETAILS
SI SI SI	CNE100003059 92;0 CNE100003059 279	000 9,600 02	SETTLEMENT CURRENCY CNY CNY	A SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07	A TYPE A DELI RECE	PAYMENT A MODE DVP DVP	EP'S ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261292796 ~	-	C ^ * LC	A T STATUS	DETAILS DETAILS DETAILS
SI SI SI SI	CNE100003059 92,0 CNE100003059 279 CNE100003059 2,10	000 9,600 02 02	SETTLEMENT CURRENCY CNY CNY CNY	A SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07	A TYPE A DELI RECE RECE	PAYMENT A MODE DVP DVP DVP	EP'S ACCOUNT AT CP 900546 909546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -		C * * LC	A T STATUS	DETAILS
	CNE100003059 92,0 CNE100003059 279 CNE100003059 2,10 CNE100003059 2,10	000 9,600 02 02 02	SETTLEMENT CURRENCY CNY CNY CNY CNY	A T SETTLEMENT 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	A TYPE A DELI RECE RECE RECE	PAYMENT A MODE DVP DVP DVP DVP DVP	EP'S ACCOUNT AT CP 900546 900546 999991 999991	ACCOUNT AT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -		C * * LC	A T STATUS	DETAILS DETAILS DETAILS DETAILS

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

	nstruction Detai	s Trade ID: 00000000563	41150			Reject Approv
KEY SETTLEMENT	DETAILS SE	ETTLEMENT STATUS	SI HEALTH CHECK T	RANSACTION REFERENCES AND	DLIFECYCLE	
FINANCIAL INSTRU	MENT DETAIL	S	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN		CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-
Local Code		93986	Quantity	2,102	Туре	RE
Name	GIGADEVICE SEM	/ICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	D
			Settlement Currency	CNY	Deal Price Currency	CI
			Settlement Amount	4,065,977.07	Deal Price	44.
			Effective Settlement Date		Currency To Buy	
			Settled Currency		Currency To Sell	U
			Settled Amount		FX Cancellation	
			Real-Time Settlement Indicator	r False		
PARTICIPANT DETA	AILS					
EP BIC		DTCCSELLXXX				
EP Name		SynComp531				
EP's Account at CP		999991				
CP BIC		DTCCDEAGXXX				
CP Name		SynComp541				
CP's Account at CCASS		11				

Power of Connectivity.					
Settlement Instruction De	tails Trade ID: 000000005634	11150			Reject A
ETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK TRANS	SACTION REFERENCES AND	LIFECYCLE	
SI STATUS					
CP MAKER: -	CP CHECKER: -	GC APPROVED: ~ APPROVED	LC APPROVED: V APPROVED	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA
EX Synapso					
KEX Synapse				🛱 13 April 20	23 ④ synuat281 synuat281 ~
Power of Connectivity.	tails Trade ID: 00000005634	11150		🗖 13 April 20	23 🕃 synuat281 synuat281 🗸 Reject.
Power of Connectivity.	tails Trade ID: 00000005634		SACTION REFERENCES AND		23 (2) symuat281 symuat281 ~ Resect
Power of Connectivity.	tails Trade ID: 00000005634		SACTION REFERENCES AND		23 ④ synuat281 synuat281 ~ Atoms 7
Power of Connectivity. Settlement Instruction De ETTLEMENT DETAILS ssfully Approved	tails Trade ID: 00000005634		SACTION REFERENCES AND		23 ④ synual281 synual281 ~ Refect
Power of Connectivity.	tails Trade ID: 00000005634		SACTION REFERENCES AND		23 ④ synual281 synual281 ~ Reset
SETTLEMENT DETAILS	tails Trade ID: 00000005634 SETTLEMENT STATUS	SI HEALTH CHECK TRANS		DLIFECYCLE	Reject

#### Approval 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 approved an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

The Pov	EX Syn									🗎 13 April 2	023 🖲 s	synuat283	3 synuat28	з - 💢
	Dashboard		Settlement Inst	tructions	Acc	ounts		Relationships		Market Data		F	Reports	
ttleme	ent Instruction	ıs												
			6	0	0	1	0					Q Sea	irch Gen	erate Repo
			Pr	ocessing Unmate	ched Mate	ched Settled	Cancelled							
												2021-0	6-05	
NS A T	TISIN A T	QUANTITY ^	SETTLEMENT CURRENCY	A T SETTLEMENT AMOUNT	å <del>⊽</del> TYPE å	PAYMENT A	EP'S ACCOUNT AT CP	A T CP'S A ACCOUNT AT CCASS	LC CCASS	TRADE ID A T CF	P ≜ ∓ GC		* STATUS	Ŧ
	TISIN ▲ = 0				<sup>A</sup> <b>₹ TYPE</b> A DELI		ACCOUNT	ACCOUNT AT	CCASS	• • TRADE ID • • CF	• △ ∓ GC -			
YPE		92,000	CURRENCY	AMOUNT		MODE	ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS		P ≜ ∓ GC - √	≜ <del>▼</del> LC ≜ 3		DETAIL
YPE I	CNE100003059	92,000 279,600	CURRENCY	AMOUNT 4,065,977.07	DELI	MODE DVP	ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	= - - -	^ ▼ LC ^ 3	▼ STATUS A	DETAIL
YPE I I	CNE100003059	92,000 279,600 2,102	CURRENCY CNY CNY	AMOUNT 4,065,977.07 4,065,977.07	DELI	MODE DVP DVP	ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 ~	• ▲ ∓ GC - - - -	^ ▼ LC ^ 3	▼ STATUS A	DETAIL
(PE	CNE100003059 2 CNE100003059 2 CNE100003059 2	92,000 279,600 2,102 2,102	CURRENCY CNY CNY CNY	AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07	DELI RECE RECE	MODE DVP DVP DVP	ACCOUNT AT CP 900546 900546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 ✓ 0000000056341152 -	• 4 ∓ GC - - - -	^ ▼ LC ^ 3	▼ STATUS A	DETAIL DETAIL DETAIL DETAIL
YPE	CNE100003059 CNE100003059 CNE100003059 CNE100003059	92,000 279,600 2,102 2,102 2,102	CURRENCY CNY CNY CNY CNY	AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	DELI RECE RECE RECE	MODE DVP DVP DVP DVP	ACCOUNT AT CP 900546 9909546 999991 999991	ACCOUNT AT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 ~ 000000056341152 - 000000056341153 -	- GC - ✓ - − - ↓	^ ▼ LC ^ 3	▼ STATUS A	DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL

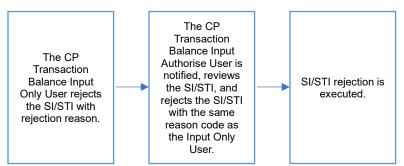
2. The CP Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Approve".

HKEX S	Synapse			🗖 13 April 2023 🤅	🕽 synuat283 synuat283 🕤 🔀
←Back Settlemer	nt Instruction Details Trade ID: 00000000563	841150			Reject Approve
KEY SETTLEMEN	NT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACT	TION REFERENCES AND	LIFECYCLE	
FINANCIAL INST	RUMENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Туре	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 DE	ETAILS				
EP BIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	999991				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				
CP's Account at CCA	ASS 11				
		//h. //////////////////////////////////			

HKEX Synapse	•			🗖 13 April 2023	3 🖲 synuat283 synuat283 🕤 💢
←Back Settlement Instruction D	etails Trade ID: 00000000563-	41150			Reject Approve
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	
SI STATUS					
CP MAKER: ✓ APPROVED	CP CHECKER: -	GC APPROVED: ~ APPROVED	LC APPROVED: V APPROVED	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

HKEX Synapse The Power of Connectivity.	e Details Trade ID: 000000056	341150		🗖 13 April 2023	3 🖲 synuat283 synuat283 🗸 🗙
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK TR	ANSACTION REFERENCES AND	LIFECYCLE	
Successfully Approved					
SI STATUS					
SI STATUS	CP CHECKER: ~ APPROVE	D GC APPROVED: ~ APPROV	ED LC APPROVED: V APPROVED	CCASS STATUS:	CANCELLATION STATUS:
	CP CHECKER: ✓ APPROVE Reason:	ED GC APPROVED: ✓ APPROV Reason:	/ED LC APPROVED: ~ APPROVED Reason:	CCASS STATUS: Reason:	CANCELLATION STATUS: Reason:

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.
- 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".

HKEX Syl				🗖 13 April 2023 🕃	synuat281 synuat281 🗸 🚶
←Back Settlement In:	struction Details Trade ID: 0000000	56341154			Reject Approv
KEY SETTLEMENT D	ETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSAC	TION REFERENCES AND	LIFECYCLE	
FINANCIAL INSTRUM	IENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030	59 Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-0
Local Code	939	86 Quantity	2,102	Туре	REC
Name 0	SIGADEVICE SEMICONDUCTOR(BEIJING) IN	IC Settlement Date	2021-06-06	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	4,065,977.07	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	US
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAI	LS				
EP BIC	DTCCSELLX	X			
EP Name	SynComp5	31			
EP's Account at CP	9999	91			
CP BIC	DTCCDEAGX	x			
CP Name	SynComp5	41			
		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.

HK The P	EX Synapse				🗂 13 April 2023	🖲 synuat281 synuat281 🕤 🔀
		ls Trade ID: 000000005634115	54			Reject Approve
KEY SE		EJECTION CODE:				
FINAN		lease select the code correspondi valid Rule [VALR]	ng to your reason for rejection of	this Settlement Instruction:		
ISIN Local C	ode				Cancel Submit	2021-06-05 RECE
Name	GIGADEVICE					DVP
						CNY 44.06
						44.00
						USD
PARTIC	CIPANT DETAILS					
EP BIC						
EP Nam	e					
EP's Ac	count at CP					
CP BIC	1e	SynComp541				
CP's Ac	count at CCASS	11				
HI	KEX Synapse					
The F	Power of Connectivity.				🗖 13 April 2023	🕲 synuat281 synuat281 🕤 🏹
		ils Trade ID: 00000000563411				Reject Approve
KEY SI	ETTLEMENT DETAILS	SETTLEMENT STATUS SI	HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	
Succes	ssfully Rejected					
	SI STATUS					
	CP MAKER: × REJECTED	CP CHECKER: -	GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	Invalid Rule [VALR]	NA	NA	NA	NA	NA
2						

# **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 SI/STI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

	EX Syn										🖹 13 April 202	23 🕃 synu	at283 synuat283	• • X
	Dashboard		Settlement In	struction	15	Acc	ounts		Relationships		Market Data		Reports	
ttleme	ent Instructior	ıs												
s	ETTLEMEN			5	1	0	1	0				۹	Search Gene	erate Repo
IN	STRUCTIO	NS		•		•								
IN	STRUCTIO	NS		Processin	g Unma	-	ched Sett	led Cancelled				2	021-06-05	
		NS QUANTITY ^ 1		Processin	LEMENT	tched Mat	PAYMENT MODE		△ = CP'S ACCOUNT AT CCASS	A ∓ LC A CCASS ID	▼ TRADE ID <sup>△</sup> ▼ CP <sup>△</sup>	-	021-06-05 LC ≜ ≑ STATUS ≜	Ŧ
NS A T		QUANTITY A 7	SETTLEMENT	Processin A = SETT AMO	LEMENT	tched Mat	• PAYMENT	≜ = EP'S ACCOUNT	ACCOUNT AT	CCASS	⊤ TRADE ID ▲ ∓ CP ▲     5000916261222796 -	-		Ŧ
NS A T	₹ ISIN ^ <del>-</del>	QUANTITY ^ 3 92,000	SETTLEMENT CURRENCY	A = SETT AMOI 4,065	LEMENT UNT	tched Mat	PAYMENT MODE	A T EP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS ID				₹ DETAIL
NS A T TYPE	FISIN ▲ Ŧ <u>CNE100003059</u>	QUANTITY △ 3 92,000 279,600	SETTLEMENT CURRENCY CNY	A = SETT AMOI 4,085	LEMENT UNT	tched Mate ▲ ∓ TYPE ▲ DELI	PAYMENT MODE	A = EP'S ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -		LC ≜ ₹ STATUS ≜	∓ DETAIL DETAIL
NS A TYPE	FISIN △ 〒 <u>CNE100003059</u> <u>CNE100003059</u>	QUANTITY A 3 92,000 279,600 2,102	SETTLEMENT CURRENCY CNY CNY	▲ = SETT AMOI 4,065 4,065 4,065	5,977.07 5,977.07	tched Mate	• PAYMENT MODE DVP DVP	<ul> <li>▲ ₹ EP'S ACCOUNT AT CP</li> <li>900546</li> <li>900546</li> </ul>	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 -		LC ≜ ₹ STATUS ≜	₹ DETAIL DETAIL DETAIL
NS A T	= ISIN △ = <u>CNE100003059</u> <u>CNE100003059</u> <u>CNE100003059</u>	QUANTITY A 7 92,000 279,600 2,102 2,102	SETTLEMENT CURRENCY CNY CNY CNY	▲ = SETT AMOI 4,065 4,065 4,065 4,065	5,977.07 5,977.07 5,977.07	A ₹ TYPE A DELI RECE RECE	PAYMENT MODE DVP DVP DVP	<ul> <li>▲ ₹ EP'S ACCOUNT AT CP</li> <li>900546</li> <li>999991</li> </ul>	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -		LC ≜ ₹ STATUS ≜	₹ DETAIL DETAIL DETAIL DETAIL
NS ^ = TYPE	EISIN A T CNE100003059 CNE100003059 CNE100003059 CNE100003059	QUANTITY A 7 92,000 279,600 2,102 2,102 2,102	SETTLEMENT CURRENCY CNY CNY CNY CNY	▲ ♥ SETT AMOI 4,085 4,085 4,085 4,085 4,085 4,085	5,977.07 5,977.07 5,977.07 5,977.07 5,977.07	tched Mate ▲ ▼ TYPE ▲ DELI RECE RECE RECE	<ul> <li>PAYMENT MODE</li> <li>DVP</li> <li>DVP</li> <li>DVP</li> <li>DVP</li> <li>DVP</li> </ul>	ACCOUNT ACCOUNT AT CP 900546 9999901 999991	ACCOUNT AT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -		LC ≜ ₹ STATUS ≜	

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.

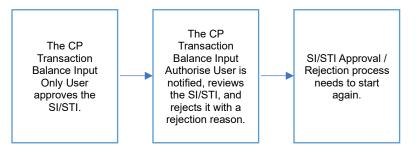
KEY SETTLEMENT DETAILS       Rejection CODE:       Image: Construction of this Settlement Instruction:       Construction         Image: CP MAKER: × REJECTED       Place select the code corresponding to your reason for rejection of this Settlement Instruction:       Cancel Lation Status:         Image: CP MAKER: × REJECTED       Place select the code corresponding to your reason for rejection of this Settlement Instruction:       Cancel Lation Status:         Image: Construction of the settlement Instruction:       Image: Construction of the settlement Instruction:       Cancel Lation Status:         Image: Construction of the settlement Instruction:       Image: Construction of the settlement Instruction:       Cancel Lation Status:         Image: Construction of the settlement Instruction:       Image: Construction of the settlement Instruction:       Cancel Lation Status:         Image: Construction of the settlement Instruction:       Image: Construction of the settlement Instruction:       Cancel Lation Status:         Image: Construction of the settlement Instruction:       Image: Construction of the settlement Instruction:       Cancel Lation Status:         Image: Construction of the settlement Instruction:       Image: Construction of the settlement Instruction:       Cancel Lation Status:         Image: Construction of the settlement Instruction:       Image: Construction of the settlement Instruction:       Cancel Lation of the settlement Instruction:         Image: Constructin of the settlement Instruction:       Image:	HKEX Synapse The Power of Connectivity.	talis Trade ID: 000000056341154	🗂 13 April 202	3 ③ synuat283 synuat283 🕤 🂢 Reject Approve
	SI STATUS CP MAKER: X REJECTED Reason:	Please select the code corresponding to your reason for rejection of this Settlement Instruction:	Cancel Submit	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 reapproved 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.

HKEX Synapse The Power of Connectivity.				🗖 13 Apri	il 2023 🕃 synuat283 synuat283 🕤 🏹
	SETTLEMENT STATUS SI	154 HEALTH CHECK	TRANSACTION REFERENCES	AND LIFECYCLE	Reject Approve
Successfully Rejected					
CP MAKER: × REJECTED Reason: Invalid Rule [VALR]	CP CHECKER: × REJECTED Reason: Invalid Rule [VALR]	GC APPROVED: Reason: NA	LC APPROVED: - Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

# 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. 2. CP Transaction Balance Input Only User can see the Approval is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

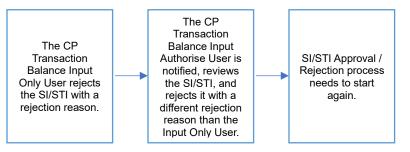
Settlement Instruction D	etails Trade ID: 0000000056341	152			Reject A
ETTLEMENT DETAILS	SETTLEMENT STATUS	I HEALTH CHECK	TRANSACTION REFERENCE	S AND LIFECYCLE	
SI STATUS	CP CHECKER: REJECTED TO	GC APPROVED: -	LC APPROVED:		CANCELLATION STATUS:
AMENDMENT Reason:	MAKER Reason:	Reason:	Reason:	CCASS STATUS: Reason: NA	Reason:
NA	NA				

3. 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.

HKEX Synapse The Power of Connectivity.						🗐 13 April 202	2023 🖲 synuat283 synuat283 🗸 💢					
	Dashboard	Settlement Ins	tructions	Acc	ounts	R	elationships		Market Data		Reports	S
ettlem	nent Instructions											
	SETTLEMENT	5	5 1	0	1	0					Q Search	Generate Repor
		Pr	ocessing Unmat	ched Mat	hed Settle	d Cancelled						
											2021-06-05	
INS A TYPE	TISIN A TO QUANTITY	SETTLEMENT CURRENCY	A SETTLEMENT AMOUNT	× ₹ TYPE ×	PAYMENT A		A T CP'S ACCOUNT AT CCASS	LC CCASS	TRADE ID A TO CP A	₹ GC Å	2021-06-05	( US ^ Ŧ
TYPE	TISIN * T QUANTITY	A * SETTLEMENT	* * SETTLEMENT		PAYMENT	EP'S	ACCOUNTAT	CCASS	• TRADE ID • • CP • 5000916261222796 -	▼ GC ≜ -		US 🌣 👻
		SETTLEMENT CURRENCY	* * SETTLEMENT AMOUNT	≜ <del>▼</del> TYPE ≜	PAYMENT MODE	EP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS		* GC ≜ - √	▼ LC <sup>▲</sup> ▼ STATI	US A 👻 DETAILS
FYPE SI SI	CNE100003059 92,000	SETTLEMENT CURRENCY CNY	* * SETTLEMENT AMOUNT 4,065,977.07	≜ <b>¥ TYPE</b> ≜ DELI	PAYMENT A	EP'S ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	-	▼ LC ^ ▼ STAT	DETAILS
TYPE SI SI SI	CNE1000030S9 92,000 CNE1000030S9 279,600	SETTLEMENT CURRENCY CNY CNY	<ul> <li>SETTLEMENT AMOUNT</li> <li>4,065,977.07</li> <li>4,065,977.07</li> </ul>	A V TYPE A DELI RECE	DVP	EP'S ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 ✓	-	▼ LC ^ ▼ STAT	DETAILS DETAILS DETAILS
TYPE SI	CNE1000030S9 92,000 CNE1000030S9 279,600 CNE1000030S9 2,102	SETTLEMENT CURRENCY CNY CNY CNY	A SETTLEMENT 4,065,977.07 4,065,977.07 4,065,977.07	DELI RECE RECE	DVP DVP DVP	* EP'S ACCOUNT AT CP 900546 900546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -	-	▼ LC ^ ▼ STAT	DETAILS DETAILS DETAILS DETAILS
TYPE SI SI SI SI	CNE1000030S9 92,000 CNE1000030S9 279,600 CNE1000030S9 2,102 CNE1000030S9 2,102	* SETTLEMENT CNY CNY CNY CNY CNY	* SETTLEMENT A,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	DELI DELI RECE RECE RECE	PAYMENT A MODE DVP DVP DVP DVP	EP'S ACCOUNT AT CP 900546 9909546 999991 999991	ACCOUNTAT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -		LC Settle	DETAILS DETAILS DETAILS DETAILS DETAILS DETAILS

# **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):



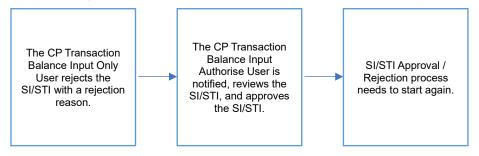
- 1. Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SI/STI process effectively starts over.
- 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance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

IKEX Synaps ne Power of Connectivity.				🗖 13 Ap	ril 2023 ④ synuat283 synuat283 👻
ck Settlement Instruction D	etails Trade ID: 00000005634	11152			Reject App
SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES	AND LIFECYCLE	
ted to Maker					
SI STATUS					
CP MAKER: PENDING	CP CHECKER: REJECTED TO	GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
		Reason:	Reason:	Reason:	Reason:
Reason:	Reason:	NA	NA	NA	NA
NA	NA			101000	
			1	1.0	

3. 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.

HKEX Synapse The Power of Connectivity.										🗖 13 April 2	023 🕃 sy	ynuat283 synu	at283 🗸 🚶
	Dashboard	Settlement I	nstruc	tions	Aco	ounts	F	Relationships		Market Data		Report	ts
ettlen	nent Instructions												
	SETTLEMENT		5	1	0	1	0					Q Search	Generate Repo
1	NSTRUCTIONS		•		-								
11	NSTRUCTIONS		- ·	sing Unma	tched Mate	ched Settle	ed Cancelled					2021 08 05	
			Proces									2021-06-05	
			Proces	SSING Unma		PAYMENT MODE		A CP'S ACCOUNTAT CCASS	LC CCASS ID	▼ TRADE ID <sup>▲</sup> ♥ CF	e ≜ ₹ GC ≜	2021-06-05	Us ^ 👻
NS YPE		SETTLEMENT	Proces	ETTLEMENT		PAYMENT	A TEP'S	ACCOUNTAT	CCASS	* TRADE ID * * CF 5000916261222796 -	• • • GC •		
NS <sup>4</sup> YPE	s ≠ ISIN s ▼ QUANTITY	SETTLEMENT CURRENCY	Proces		≜ ₹ ТҮРЕ ≜	PAYMENT MODE	A T EP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS		••• • GC • - ~		DETAIL
NS <sup>4</sup> YPE	CNE100003059 92,000	SETTLEMENT CURRENCY CNY	Proces	ETTLEMENT	▲ <b>▼ TYPE</b> ▲ DELI	PAYMENT MODE	A FEP'S ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	-	LC A T STAT	DETAIL d DETAIL
NS YPE	CNE100003059 92,000 CNE100003059 979,600	CNY CNY	Proces A S A 4 4 4	065,977.07	A TYPE A DELI RECE	PAYMENT MODE DVP DVP	COUNT ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 -	-	LC A T STAT	DETAIL DETAIL DETAIL
vs 4	CNE100003059 92,000 CNE100003059 279,600 CNE100003059 2,102	SETTLEMENT CURRENCY CNY CNY CNY	Proces A SA A 4 4 4 4 4 4	065,977.07 065,977.07	A TYPE A DELI RECE RECE	PAYMENT MODE DVP DVP DVP	COUNT ACCOUNT AT CP 900546 900546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -	-	LC A T STAT	DETAIL
NS YPE	CNE100003059 02,000 CNE100003059 02,000 CNE100003059 270,000 CNE100003059 2,102 CNE100003059 2,102	SETTLEMENT CURRENCY CNY CNY CNY CNY	Proces A A A A A A A A A A A A A A A A A A A	ETTLEMENT MOUNT ,065,977.07 ,065,977.07 ,065,977.07 ,065,977.07	A V TYPE A DELI RECE RECE RECE	PAYMENT MODE DVP DVP DVP DVP	COUNT ACCOUNT AT CP 900546 909991 999991	ACCOUNT AT CCASS 11 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -	-	- Settle	DETAIL DETAIL DETAIL DETAIL

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. 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

HKEX Synaps The Power of Connectivity.	e			🗖 13 A	pril 2023 🕃 synuat283 synuat283 🕤 🏓
Back Settlement Instruction E	SETTLEMENT STATUS	152 I HEALTH CHECK	TRANSACTION REFERENCES	AND LIFECYCLE	Reject App
Rejected to Maker SI STATUS					
CP MAKER: PENDING AMENDMENT Reason:	CP CHECKER: REJECTED TO MAKER Reason:	GC APPROVED: Reason:	LC APPROVED: Reason: NA	CCASS STATUS: Reason:	CANCELLATION STATUS: Reason: NA

3. 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.

he Po	EX Synapse wer of Connectivity.								🗖 13 April 20	23 🕃 sy	ynuat283 synuat	283 🗸 📈
	Dashboard	Settlement Ins	structions	Acc	ounts	F	Relationships		Market Data		Reports	
ettlem	ent Instructions											
	ETTLEMENT	Ę	5 1	0	1	0					Q Search	enerate Repo
			recessing Unmer	ched Mat	hed Settled	Cancelled						
		P	rocessing onna	ieneu mut							2021-06-05	
NS ^ ' TYPE	▼ ISIN <sup>A</sup> ▼ QUANTITY			Å ₹ TYPE Å			A T CP'S ACCOUNT AT CCASS	LC ASS	TRADE ID A T CP	≜ ₹ GC Å	2021-06-05	S ▲ <del>.</del>
	TISIN 4 7 QUANTITY	A SETTLEMENT	A . SETTLEMENT		PAYMENT	EP'S ACCOUNT	ACCOUNTAT	CCASS	• TRADE ID • • CP 5000916261222796 -	≜ <del>▼</del> GC ≜ _		0.0
YPE		SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	≜ <del>▼</del> TYPE ≜	PAYMENT A	EP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS			▼ LC A ▼ STATU	S A T
YPE I	CNE100003059 92,000	SETTLEMENT CURRENCY CNY	* SETTLEMENT AMOUNT 4,065,977.07	A TYPE A	PAYMENT A MODE	EP'S ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	-	▼ LC A ▼ STATU	S A T DETAIL DETAIL
YPE	CNE1000030S9 92,000 CNE1000030S9 279,600	SETTLEMENT CURRENCY CNY CNY	* SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07	A TYPE A DELI RECE	PAYMENT A MODE DVP DVP	EP'S ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 -	-	▼ LC A ▼ STATU	S A T DETAIL DETAIL DETAIL
YPE I I I	CNE1000030S9 92,000 CNE1000030S9 279,600 CNE1000030S9 2,102	SETTLEMENT CURRENCY CNY CNY CNY	* SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07	TYPE A DELI RECE RECE	DVP DVP DVP	EP'S ACCOUNT AT CP 900546 9909546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -	-	▼ LC A ▼ STATU	S A T
YPE I I I I	CNE1000030S9 92,000 CNE1000030S9 279,600 CNE1000030S9 2,102 CNE1000030S9 2,102	* SETTLEMENT CURRENCY CNY CNY CNY CNY	* SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	A TYPE A DELI RECE RECE RECE	DVP DVP DVP DVP DVP	EP'S ACCOUNT AT CP 900546 999901 999901	ACCOUNTAT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -		LC ▲ ♥ STATU     ✓ Settled     −     ×     ×	S A T DETAIL DETAIL DETAIL DETAIL

# 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.

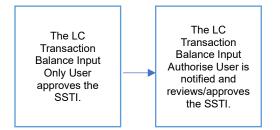
					🖻 10 July 2024 🖲 synplike1759 synplike1759 🕤 🏋
Back Settlement Instruction Details Trade ID:	6171230721133010				
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTIO	ON REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	3HKCHRH1XXX	Trade Date	2024-07-
Local Code	93906	Quantity	33,010	Туре	RE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	D
		Settlement Currency	CNY	Deal Price Currency	c
		Settlement Amount	3,301,000.10	Deal Price	44
		Effective Settlement Date	2024-07-10	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	u
		Settled Amount	3,301,000.10	FX Cancellation	
		Real-Time Settlement Indicator	False		
UND DETAILS		PARTICIPANT DETAILS			
D	881759	AM BIC	SYNCOMP294X	LC BIC	SYNCOMP10
fame	Fidelity China Fund 1759	AM Name	S-y n.Comp.(294).	LC Name	S-y n,Comp.(11
und Account at GC	541751	Investor ID	200276	SPSA	80000
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELL
		GC Name		Counterparty - CP CCASS ID	C00

# 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.
- 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".

The Power of C	Synapse							Carrie							0 12 A	onii 2023 (	l) synuat141 syn	nuat141 ~ 🕽
	Dashboard		Settlement In	structions				Funds		Relationships		M	arket Data				Reports	
ettlement ins	tructions																	
ETTLEME	NT INSTRUCT	IONS	14	5	0	2	0										Q Search	Generate R
			Processi	ng Unmato	hed Matcher	d Settled	Cancell	ed									2021-05	-05
NS TYPE A T	ISIN 4 T	QUANTITY	SETTLEMENT CURRENCY	4 <del>+</del>	SETTLEMEN	NT AMOUNT	t in t	TYPE	PAYMENT MODE 4 7	GC ACCOUNT AT LC 4 7	CP CCASS ID * *	SPSA * T	TRADE ID 6 T	GC * *	LCAT	CP * T	STATUS * *	
STI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80101031	000000075619081	-	-	-		DETAILS
n	CNE100003059	22,312	CNY		4,065,977.03			DELI	DVP	762231	C00016	80101031	2231094155771021	-	-	-		DETAILS
TI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619082	-	-	-		DETAILS
n	CNE100003059	2,102	CNY		4,065,977.01			DELI	DVP	444111	C00016	80101031	000000075619083	-	-	-		DETAILS
	CNE100003059	2,231	CNY		4,065,977.07			DELI	DVP	762231	B01110	80101031	2231994155771021	-	-	-		DETAILS
n	CNE1000030.59	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80101031	000000075619084	-	-	-		DETAILS
n	CNE1000030.59	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80101031	000000075619085	-	-	-		DETAILS
	CNE100003059	29,625	CNY		4,065,977.01			DELI	DVP	762231	B01110	80202031	2119994155771021	-	-	-		DETAIL
n n	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP DVP	762734 762734	C00016 C00016	80101031	2034100011076672	1	1	-	Setted	DETAILS
	CNE100003059 CNE100003059	92,200 29.627	CNY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034200011076672 2962094155771021	~	~	-	Setted	DETAILS
	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80101031	2962094155771021		-			DETAILS
	CNE100003059	2,102	CNY		4,005,977,07			DELI	DVP DVP	762251	601110	80101001	000000756190940		-			DETAILS
	CNE100003039	29.622	CNY		4.005.977.01			DELI	DVP	762436	D01110	80101001	2119994155771021	1	1	-	Unmatched	DETAILS
	CNE100003059	29.626	CNY		4.065.977.01			DELI	DVP	762231	BE1110	80101031	2952994155771021	-	1	-	Unmatched	DETAILS
	CNE100003059	29.623	CNY		4 065 977 07			DELI	DVP	762231	B01110	80101031	2119594155771021	1	2	-	Unmalched	DETAILS
	CNE100003059	29.621	CNY		4.065.977.07			DELL	DVP	762231	B01110	80000001	2119994155771021	-	1		Unmalphod	PETAIL
	CNE100003059	29.624	CNY		4 065 977 07			DELL	DVP	762231	B01110	80101001	2119994155771021	1	1	-	Unmalched	DETAILS
	CNE1000030 59	92.200	CNY		4.005.977.07			RECE	DVP	764743	801110	80303031	7438768034052118	~	-	-		DETAILS
	CNE1000030.59	22,312	CNY		4,065,977.01			DELI	DVP	762231	C00016	80101031	2231094155771021	-	-	-		DETAILS
	CNE1000030 59	2.231	CNY		4.065.977.07			DELL	DVP	762231	801110	80101031	2231994155771021					DETAIL

- 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)

HKEX Synapse The Power of Connectivity.					🗂 10 July 2024 🖗 symplike729 symplike729 🗸 🗙
Back Settlement Instruction Details Trade	ID: 6171230721133010				Reject Approve
KEY SETTLEMENT DETAILS SETTLEME	ENT STATUS SI HEALTH CHECK TRANSACTIO	IN REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	3048CH80413OC	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		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	3301000.1 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID .	881759	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).
		Investor ID	200276		8000025
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXXX
		GC Name	S-y n&Comp.(362).	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".

Back Settlement Instruction Details Trade ID:					Reject
KEY SETTLEMENT DETAILS SETTLEMENT		ON REFERENCES AND LIFECYCLE		TRADE DETAILS	
INANCIAL INSTROMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
an	CNE100003059	Depository BIC	2016/01/2007	Trade Date	2024-
cal Code		Quantity	33,010		
eme	GIGADEVICE SEMICONDUCTOR(BEUING) INC		2024-07-10		
		Settlement Currency		Deal Price Currency	
		Settlement Amount	3,301,000.10		
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
IND DETAILS		PARTICIPANT DETAILS			
	001759	AM DIC	SYNCOMP294X	LC BIC	SYNCOM
ame	Fidelity China Fund 1759	AM Name	S-y n.Comp.(294).	LC Name	S-y n Comp
		Investor ID	200276	SPSA	800
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSEL
		GC Name	S-y n&Comp.(362).	Counterparty - CP CCASS ID	c
		GC's Account at LC	761759	CP's Account at CCASS	
		EP's Account at CP	123456		
HKEX Synapse				•	🗂 12 April 2023 (i) synuatt41 synuatt41 🗸
The Power of Connectivity.					Sect. 24
The Power of Connectivity.	000000075619081				
ack Settlement Instruction Details Trade ID:	000000075619081 IT STATUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
ack Settlement Instruction Details Trade ID: Y SETTLEMENT DETAILS SETTLEMEN		ON REFERENCES AND LIFECYCLE			
ack Settlement Instruction Details Trade ID: Y SETTLEMENT DETAILS SETTLEMEN		ON REFERENCES AND LIFECYCLE			
Construction Details Trade ID: V SETTLEMENT DETAILS SETTLEMEN Construitly Approved		ON REFERENCES AND LIFECYCLE	CP APPROVED:	COASS STATUS	CANCELLATION STATUS:
Lack Settlement Instruction Defails Trade ID: Y SETTLEMENT DETAILS SETTLEMEN constituty Approved <u>SI STATUS</u>	IT STATUS SI HEALTH CHECK TRANSACTI		CP APPROVED:	CCASS STATUS:	CANCELLATION STATUS: Reason:

# Approval by LC Transaction Balance Input Authorise User:

1. 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 The Power of C	Synapse							aan							E 124	ıpril 2023	(i) synuat143 s	ynuat143 ~
	Dashboard		Settlement Ins	tructions				Funds		Relationships		M	larket Data				Reports	
ettlement Ins	structions																	
ETTLEME	NT INSTRUCT	IONS	11	8	0	6	6										Q Search	Generate
			Processin	ig Unmat	ched Matcheo	Settled	Cancelled										2021-0	6.05
NS TYPE ^ *	ISIN A T	QUANTITY	SETTLEMENT CURRENCY		SETTLEMEN			TYPE	PAYMENT MODE **	GC ACCOUNT AT LC 1	CP CCASS ID **	SPSA ^ *	TRADE ID * *				STATUS **	103
INS TYPE 17	CNE100003059	2,102	CNY		4.065.977.07	TAMOUN		DELI	DVP	444111	C00016	80000001	000000075619081	GC ^ *	LC ^ *	CP	STATUS	DETAILS
m	CNE100003059	22.312	CNY		4.065.977.07			DELI	DVP	762231	C00016	80000001	2231094155771021	-	-	-		DETAILS
sti	CNE100003059	2.102	CNY		4.005.977.07			DELI	DVP	444111	C00016	80000001	000000075619082	-	-	-		DETAILS
sn	CNE100003059	2.102	CNY		4.005.977.07			DELI	DVP	444111	C00016	80000001	000000075619083	-	-	-		DETAILS
1	CNE100003059	2.231	CNY		4.065.977.07			DELI	DVP	762231	801110	80000001	2231994155771021			-		DETAILS
5TI	CNE100003059	2.192	GNY		4 065 977 07			DELI	DVP	444111	C00016	80000001	000000075619084	-	-	-		DETAILS
sm	CNE100003059	2.102	CNY		4.065.977.07			DELI	DVP	444111	C00016	80000001	000000075619085	-	-	-		DETAILS
1	CNE100003059	29.625	CNY		4.065.977.07			DELI	OVP	762231	801110	80030301	2119994155771021	-	-	-		DETAILS
STI	CNE100003059	92.200	CNY		4.065.977.07			DELI	DVP	762734	C00016	80000001	2034100011076672	~	~	-	Settled	DETAILS
m	CNE100003059	29.627	CNY		4.065.977.07			DELI	OVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS
sn	CNE100003059	92,200	CNY		4,005,977.07			DELI	DVP	762734	C00016	80000001	2034200011076672	~	~	-	Settled	DETAILS
m	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80030301	2962094155771021	-	-	-		DETAILS
1	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	762455	B01110	80000001	000000756150940	-	-	-		DETAILS
	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	801110	80000001	2115934155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	29,626	ONY		4,065,977.07			DELI	OVP	762231	B01110	80000001	2952994155771021	1	1	-	Unmatched	DETAILS
	CNE100003059	29,623	CNY		4,065,977.07			DELI	OVP	762231	801110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	92,200	CNY		4,065,977.07			RECE	DVP	764743	B01110	80000001	7438768034052118	1	~	-	Unmatched	DETAILS
	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	801110	80000001	2113934155771021	~	~	-	Cancelled	DETAILS
	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	89000001	2119934155771021	1	1	-	Cancelled	DETAILS
	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS
	CNE100003059	29,623	ONY		4,065,977.07			DELI	DVP	762231	801110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS
	CNE100003059	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	1	~	1	Settled	DETAILS
n	CNE100003039	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	~	~	~	Cancelled	DETAILS
π	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	~	~	~	Cancelled	DETAILS
TI	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP Previous < >	762231	C00016	80000001	2231094155771021	1	~	~	Settled	DETAILS

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

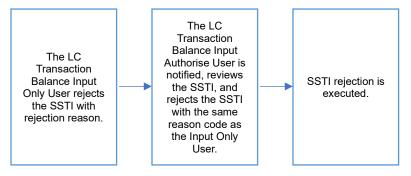
HKEX Synapse The Power of Connectivity.					🗖 10 July 2024 @ symplifie731 symplifie731 ~ 🂢
+ Back Settlement Instruction Details Trade ID: 6	171230721133010				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT :	STATUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	2018CH10113XX	Trade Date	2024-07-10
Local Code	93985	Quantity	33,010	Type	RECI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	3,301,000.10	Deal Price	44.0
		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			
0	851759	AM BIC	SVNCOMP294X	LC BIC	SYNCOMP 105
Name	Fidelity China Fund 1759	AM Name	5-y n.Comp.(294).	LC Name	5-y n.Comp.(105)
		Investor ID	200276	SPSA	800002
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLOO
		GC Name	S-y n&Comp.(362).	Counterparty - CP CCASS ID	C00011
		GC's Account at LC	761759	A CP's Account at CCASS	
		EP's Account at CP	123456		

HKEX Synapse					🗂 12 April 2023 🛈 synuat143 synuat143 -
Betk Settlement Instruction Details Trade ID: 0	00000075619081				
Y SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSAC	TION REFERENCES AND LIFECYCLE			
uccessfully Approved					
SI STATUS					
LC MAKER: V APPROVED	LC CHECKER: ~ APPROVED	GC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

3. 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.

HKEX The Power of C	Synapse													E 127	ørii 2023	() synuat143 :	synuat143 🛩
	Dashboard		Settlement	t Instruction:	5		Funds		Relationships		N	larket Data				Reports	
ettlement Ins	tructions																
ETTLEME		IONS	11	8	0	6	6									Q Searc	g Generate
			Proce	essing Unma	tched Matched	Settled	Cancelled									2021-0	36.05
INS TYPE	ISIN 17	QUANTITY - T	SETTLEMENT CURREN	NCY - T	SETTLEMEN	T AMOUNT -	TYPE	T PAYMENT MODE 4 T	GC ACCOUNT AT LC 1 T	CP CCASS ID 1 T	SD SA 4 T	TRADE ID 1 T	00.17	LCAT	CP 4 T	STATUS	
ISTI	CNE100003059	2,102	CNY		4,065,977.07		DELI	DVP	444111	C00016	80010101	000000075619061	-	1	-		DETAILS
п	CNE100003059	22,312	CNY		4,065,977.07		DELI	DVP	762231	C00016	00000001	2231094155771021	-	-	-		DETAILS
sti	CNE100003059	2,102	CNY		4,065,977.07		DELI	DVP	444111	C00016	80010001	000000075619082		-	-		DETAILS
STI	CNE100003050	2,102	CNY		4,065,977.07		DELI	DVP	444111	C00016	80000001	000000075619083	-	-	-		DETAILS
	CNE100003059	2,231	ONY		4,065,977.07		DEU	DVP	762231	B01110	80010001	2231994155771021	-	-	-		DETAILS
STI	CNE100033359	2,102	CNY		4,085,977.07		DEU	DVP	444111	C00016	80010101	000000075619084	-	-	-		DETAILS
STI	CNE10003039	2,102	ONY		4,065,977.07		DELI	DVP	444111	C00016	80010101	000000075619065	-	-	-		DETAILS
	CNE100003059	29,625	CNY		4,065,977.07		DELI	DVP	762231	B01110	80010301	2119994155771021	-	-	-		DETAILS
STI	CNE100003059	92,200	CNY		4,065,977.07		DELI	DVP	762734	C00016	80010001	2034100011076672	×	1	-	Settled	DETAILS
π	CNE100003059	29,627	CNY		4,065,977.07		DELI	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS
STI	CNE100003059	92,200	CNY		4,065,977.07		DELI	DVP	762734	C00016	80000001	2034200011076672	1	1	-	Settled	DETAILS
π	CNE100013152	29,627	CNY		4,065,977.07		DEU	DVP	762231	C00016	80010101	2962094155771021	-	-	-		DETAILS
	CNE10003059	2,102	ONY		4,065,977.07		DELI	DVP	762456	801110	80010101	000000756190940	-	-	-		DETAILS
	CNE10003059	29,622	CNY		4,065,977.07		DELI	DVP	762231	B01110	80000001	2119994155771021	1	1	-	Unmatched	DETAILS
	CNE1000030 S9	29,626	CNY		4,065,977.07		DELI	DVP	762231	B01110	80010101	2962994155771021	1	~	-	Unmatched	DETAILS
	CNE100003059	29,623	CNY		4,065,977.07		DELI	DVP	762231	B01110	80000001	2115994155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	29,621	CNY		4,065,977.07		DELI	DVP	762231	801110	00000001	2115994155771021	1	×	-	Unmatched	DETAILS
	CNE100013159	29,624	CNY		4,065,977.07		DEU	DVP	762231	B01110	80010001	2115994155771021	1	~	-	Unmatched	DETAILS
	CNE100030-59	92,200	ONY		4,085,977.07		RECE	DVP	764743	801110	80010101	7438785034052118	1	1	-	Unmatched	DETAILS
	CNE100013159	29,621	CNY		4,085,977.07		DELI	DVP	762231	B01110	80010301	2119994155771021	1	1	-	Cancelled	DETAILS
	CNE100003059	29,622	CNY		4,085,977.07		DELI	DVP	762231	B01110	80000001	2119994155771021	1	~	-	Cancelled	DETAILS
	CNE100003059	29,624	CNY		4,065,977.07		DELI	DVP	762231	B01110	80010101	2115994155771021	~	~	-	Cancelled	DETAILS
	CNE100003059	29,623	CNY		4,065,977.07		DELI	DVP	762231	801110	80000001	2119994155771021	×	~	-	Cancelled	DETAILS
	CNE100003059	29,626	CNY		4,065,977.07		DELI	DVP	762231	B01110	80010001	2962994155771021	×	1	1	Settled	DETAILS
n	CNE100003050	29,627	CNY		4,065,977.07		DEU	DVP	762231	C00016	80010001	2962094155771021	~	~	~	Cancelled	DETAILS
1	CNE100003059	29,627	ONY		4,065,977.07		DEU	DVP	762231	C00016	80010301	2962094155771021	1	1	1	Cancelled	DETAILS
TI CONTRACT	CNE100003059	22.312	CNY		4.085.977.07		DEU	DVP	762231	C00016	80010101	2231094155771021	1	~	~	Settled	DETAILS

#### 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".

HKEX Synapse The Power of Connectivity.	171230721133010				🗖 10 July 2024 @ synplike729 synplike729 - 🗙
KEY SETTLEMENT DETAILS SETTLEMENT S	STATUS SI HEALTH CHECK TRANSACTIO	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	3HKCHIRHDOX	Trade Date	2024-07-1
Local Code	93986	Quantity	33,010	Туре	REC
Name	GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date	2024-07-10	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	3,301,000.10	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		▲ Settled Amount	3301000.1 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID .	681759	AM EIC	SVINCOMP294X	LC BIC	SYNCOMP 105
Name	Fidelity China Fund 1759	AM Name	S-y n. Comp. (294).	LC Name	S-y n, Comp. (105)
		Investor ID	200276	SPSA	8000002
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXC
		GC Name	S-y näComp.(362).	Counterparty - CP CCASS ID	C6001
		GC's Account at LC	761759	A CP's Account at CCASS	
		EP's Account at CP	123456		

3. 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 @ symuat141 symuat141 🕤 🗶
					Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT S	TATUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	50	TTLEMENT DETAILS		TRADE DETAILS	
ISN Local Code Name	REJECTION CODE: Please select the code corresponding to your reason levens Law (Mrk.)	for rejuction of this Settlement Instruction:		Cancel Submit	2024-04-05 DELI DVP- CRIV 44:06
FUND OETAILS B None					
HKEX Synapse The Power of Connectivity				•	□ 12 April 2023 @ aynustil41 symustil41 - 🗙
Back Settlement Instruction Details Trade ID: 0					Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTION	I REFERENCES AND LIFECYCLE			
© Successfully Rejected					
	1	1	1	1	
LC MAKER: × REJECTED Reason:	LC CHECKER:	GC APPROVED:	CP APPROVED:	CCASS STATUS:	CANCELLATION STATUS: Reason:
Neason: Invalid Link (INVL)	Neason: NA	Neason: NA	Neason: NA	Reason: NA	Neason: NA

# **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 SSTI that is pending their approval by a change in icon from '---' to 'O' in the LC column.

The Power of C	Synapse														E 127	pril 2023	⊕ synuat143 s	ynuat143 ×
	Dashboard		Settlem	ent Instructi	anc			Funds		Relationships		М	arket Data				Reports	
ettlement Ins	structions																	
ETTLEME		IONS	1	1 7	0	6	7										Q Seard	Generate F
			Pr	ocessing Un	matched Match	d Settled	Cancelle	d										
																	2021-0	6-05
NS TYPE ^ *	ISIN * *	QUANTITY ^ *	SETTLEMENT CUR	RENCY	SETTLEME		T * *	TYPE * *	PAYMENT MODE **	GC ACCOUNT AT LC * *	CP CCASS ID ^ *	SPSA * *	TRADE ID ^ *	GC ^ *	LC ^ *	CP ^ *	STATUS ^ *	
TI	CNE100003059	22,312	CNY		4,065,977.0			DELI	DVP	762231	C00015	8000001	2231094155771021		-	-		DETAILS
STI	CNE100003059	2,102	CNY		4,065,977.0			DELI	DVP	444111	C00015	50000001	000000075613032	-	•	-		DETAILS
STI	CNE100003059	2,102	CNY		4,065,977.0			DEU	DVP	444111	C00016	50000001	000000075619033	-	-	-		DETAILS
	CNE100003059	2,231	CNY		4,065,977.0			DEU	DVP	762231	B01110	8000001	2231994155771021	-	-	-		DETAILS
1	CNE100003059	2,102	CNY		4,085,977.0			DEU	DVP	444111	C00015	50000001	000000075619034	-	-	-		DETAILS
TT .	CNE100003059	2,102	CNY		4,085,977.0			DEU	DVP	444111	C00018	8000001	000000075619035	-	-	-		DETAILS
	CNE100003059	29,625	CNY		4,085,977.0			DEU	DVP	762231	B01110	80000001	2119994155771021	-	-	-		DETAILS
ISTI	CNE100003059	\$2,200	CNY		4,085,977.0			DEU	DVP	762734	C00018	80000001	2034100011076672	~	~	-	Settled	BCTAILS
sti	CNE100003059	29,627	CNY		4,085,977.0			DEU	DVP	762231	C00018	80000001	2962094155771021	-	-	-		OCTAILS
STI	CNE100003059	\$2,200	CNY		4,085,977.0			DELI	DVP	762734	C00015	50000001	2034200011076672	~	~	-	Settled	BCTAILS
TI I	CNE100003059	29,627	CNY		4,085.977.0			DEU	DVP	762231	C00018	80000001	2962094155771021	-	-	-		OCTAILS
	CNE1000030.59	2,102 29.622	CNY		4,665,977.0			DELI	DVP	762456 762231	B01110 B01110	50000001 50000001	0000000756190940 2119994155771021	-	-	-	Unmatched	DETAILS
	CNE100003059				4,065,977.0				DVP		801110							BETAILS
	CNE100003059 CNE100003059	29,626 29.623	CNY		4,065,977.0			DELI	DVP	762231 762231	D01110	50000001 50000001	2962994155771021 2119394155771021	×			Unmatched	DETAILS
1	CNE100003059	29,623	CNY		4,005,977.0			DEU	OVP	762231	D01110	50505051	2119994155771021			-	Unmatched	
	CNE100003059	29,621	CNY		4,065,977.0			DEU	DVP	762231	B01110	50000001	2119994155771021		-		Unmatched	DETAILS
4	CNE100003059	92.200	CNY		4,005,977.0			RECE	DVP	764743	D01110	50000001	7435765034052115	~	2	-	Unmatched	DETAILS
	CNE100003059	29,621	CNY		4,055,977.0			DELL	DVP	762231	801110	50000001	2119994155771021	-	-	-	Cancelled	DETAILS
	CNE100003059	29,622	GNY		4,065,977.0			DEU	DVP	762231	B01110	50000001	2119394155771021	~	2	-	Cancelled	DETAILS
	CNE100003059	29,624	CNY		4,055,977.0			DEL	DVP	762231	B01110	50000001	2119394155771021	-	1	-	Cancelled	DETAILS
	CNE100003059	29.623	CNY		4,055,977.0			DELL	DVP	762231	B01110	5000001	2119394155771021	1	1	-	Cancelled	DETAILS
	CNE100003059	29,625	CNY		4,005,977.0			DELL	DVP	762231	001110	50000001	2952994155771021	-	-	~	Settled	PETAILS
1	CNE100003059	29.627	CNY		4,065,977.0			DEU	DVP	762231	C00015	30000001	2962094155771021	1	1	1	Cancelled	DETAILS
	CNE100003059	29,627	CNY		4,085.977.0			DEU	DVP	762231	C00015	50000001	2952094155771021	-	-	2	Cancelled	DETAILS
T	CNE100003059	22.312	CNY		4.065.977.0			DEU	DVP	782231	C00015	50000001	2231094155771021				Settled	DETAILS

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 @ symplike731 symplike731 🗸 🚶
Back Settlement Instruction Details Trade	e ID: 6171230721133010				Reject Approve
KEY SETTLEMENT DETAILS SETTLEN	IENT STATUS SI HEALTH CHECK TRANSACTION	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	3HKCHI0H1XXX	Trade Date	2024-07-10
Local Code	93986	Quantity	33,010	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNV	Deal Price Currency	CNY
		Settlement Amount	3,301,000.10	Deal Price	44.06
		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			
10	881750	AM BIC	SYNCOMP294X	LC BC	SYNCOMP105X
Name	Fidelity China Fund 1759		S-y n. Comp. (294).		S-y n,Comp.(105).
	,	Investor ID	200276		8000026
		GC BIC		Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXXX
		GC Name		Counterparty - CP CCASS ID	C00016
		GC's Account at LC		CP's Account at CCASS	
		EP's Account at CP	123456		

 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.

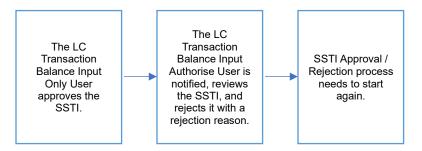


HKEX Synapse The Power of Connectivity.					🗅 12 April 2023 @ symuat 143 symuat 143 👻 🅽
Back Settlement Instruction Details Trade ID: 00000	00075619082				Reject Appr
Y SETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTIO	REFERENCES AND LIFECYCLE			
uccessfully Rejected					
SI STATUS					
LC MAKER: × REJECTED	LC CHECKER: × REJECTED	GC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
Invalid Link (INVL)	Invalid Link [INVL]	NA	ыл	NA	NA

4. 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.

HKEX he Power of C	Synapse							aaaa							₿ 12 <i>4</i>	4pm 2023	🕀 synuat143 s	synuat143 👻
	Dashboard	1	Settlement	Instructions				Funds		Relationships		́ м	larket Data				Reports	
ttlement Ins	tructions																	
ETTLEME	NT INSTRUCT	IONS	11	7	0	6	7										Q Searc	Generate
			Proces	ssing Unmat	ched Matcheo	5 Settled	Cancelleo										2021-4	16-05
IS TYPE ^ *	ISIN 6 T	QUANTITY	SETTLEMENT CURRENT	PM 6 7	SETTLEMEN	T AMOUNT		TYPE	PAYMENT MODE ^ *	GC ACCOUNT AT LC * *	CP CCASS ID **	SPSA ^ *	TRADE ID ^ *	GC ^ *	LC ^ T	CRAT	STATUS ^ *	
1	CNE100003059	22,312	CNY		4,065,977.07	- Planourar		DEU	DVP	762231	C00016	80000001	2231094155771021	-	-	-	314103	DETAILS
TI	CNE100003059	2,102	CNY		4.065.977.07			DEU	DVP	444111	C00016	80000001	000001075519052	-	×	-		DETAILS
n	CNE1000030.59	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619083		-	-		DETAILS
	CNE100003059	2,231	CNY		4.065.977.07			DEU	DVP	762231	801110	80000001	2231994155771021	-	-	-		OCTAILS
	CNE100003059	2.102	CNY		4.005.977.07			DEU	DVP	444111	C00016	80000001	000000075619084					DETAIL
	CNE100003059	2,102	CNY		4.005.977.07			DEU	DVP	444111	C00016	80000001	000000075819085	-	-	-		DETAIL
	CNE100003059	29.625	CNY		4.065.977.07			DEU	DVP	762231	B01110	80000001	2119994155771021			-		DETAIL
	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034101011076672	~	1	-	Setted	PETAIL
	CNE100003059	29,627	CNV		4,065,977.07			DELL	DVP	762231	C00016	80000001	2962094155771021	-		-		DETAIL
n	CNE100003059	92,200	CHY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034201011076672	~	~	-	Setted	DETAILS
	CNE100003059	29,627	CNY		4,065,977.07			DELL	DVP	762231	C00016	80000001	2962094155771021	-		-		DETAIL
	CNE100003059	2,102	CNY		4,065,977.07			DEU	DVP	762458	B01110	80000001	000000758190940	-	-	-		DETAIL
	CNE100003059	29,622	CNY		4,065,977.07			DEU	DVP	762231	801110	80000001	2119994155771021	~	~	-	Unmalched	DETAILS
	CNE100003059	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	~	1	-	Unmatched	DETAIL
	CNE100003059	29,623	CNY		4,065,977.07			DEU	DVP	762231	B01110	80000001	2119994155771021	~	1	-	Unmatched	DETAIL
	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	1	-	Unmatched	DETAIL
	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAIL
	CNE100003059	92,200	CNY		4,065,977.07			RECE	DVP	764743	B01110	80000001	7438768034052118	~	1	-	Unmatched	DETAILS
	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS
	CNE100003059	29,622	CNY		4,065,977.07			DEU	DVP	762231	B01110	80000001	2119994155771021	~	1	-	Cancelled	DETAIL
	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	1	-	Cancelled	DETAIL
	CNE100003059	29,623	CNY		4,065,977.07			DEU	DVP	762231	801110	80000001	2119994155771021	~	~	-	Cancelled	DETAIL
	CNE100003059	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	~	1	~	Settled	DETAIL
	CNE100003059	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00016	80000001	2962094155771021	~	1	~	Cancelled	DETAILS
	CNE100003059	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00016	80000001	2962694155771021	~	1	~	Cancelled	DETAILS
	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2231094155771021	~	~	~	Setted	DETAILS
	CNE100003059	29,625	CNY		4,065,977.07			DELI	DVP Previous < > N	762231	B01110	80000001	2119994155771021	~	1	-	Unmatched	DETAILS

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

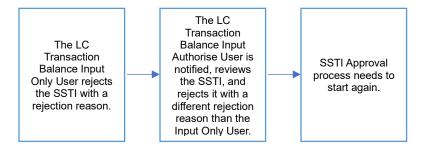


- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. LC Transaction Balance Input Only User can see the Approval is rejected by LC Transaction Balance Input Authorise Users 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. 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.

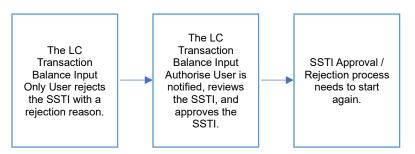
# **Rejection by LC Transaction Balance Input Only User;**

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:**



- 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

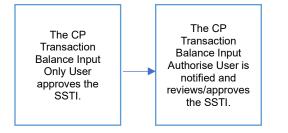
# 7.4.2.1 Exchange Participant (EP)

#### EPs have view only rights to SSTI processing.

HKEX Syl	livity.			🖶 22 Augus	t 2022 💿 synuat221 synuat221 🤟 💢
Back Settlement In	struction Details Trade ID: 000000005634117 DETAILS SETTLEMENT STATUS SIN		ERENCES AND LIFECYCLE		
INANCIAL INSTRUM	MENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
SIN	CNE10000305	9 Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-
Local Code	9398		92,200	Туре	DI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) IN	C Settlement Date	2021-06-04	Payment	D
		Settlement Currency	CNY	Deal Price Currency	c
		Settlement Amount	4,065,977.07	Deal Price	44
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	4,065,977.07	FX Cancellation	EF
		Real-Time Settlement Indicator	False		
ARTICIPANT DETAI	LS				
EP BIC	SGSEPAAAXX	c			
EP Name	SynComp53	2			
EP's Account at CP	90054	6			
CP BIC	DTCCDEAGXX	K			
CP Name	SynComp54	1			

# 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.
- 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.

The Power of C	Synapse	9												E 12A	ipril 202	3 @ synual281 synua	m1281 - 🗙
	Dashboard		Settlement Instr	ructions				Accounts		Relationships	Mark	et Data				Reports	
ttlement ins	tructions																
ETTLEME	INT INSTRUC	TIONS	11 Processing	0 Unmatched	0 Matchee	3 settled	2 Cancelle	sd								Q Search 2021-06-05	
IS TYPE - *	ISIN 4 T	QUANTITY	SETTLEMENT CURRENCY - *	SETTLEMEN	TAMOUNT		TYPE	PAYMENT MODE - *	EP'S ACCOUNT AT CP 17	CPIS ACCOUNT AT CCASS 4.7	LC CCASS ID **	TRADE ID - T	CDAT		1047	STATUS	
TI CONTRACTOR	CNE100003059	22.312	CNY	4,065.977.07	1 Anoon		RECE	DVP	900546	11	801110	6055324624102231	-	-	-	annioa	DETAILS >
1	CNE100003059	2,231	CNY	4,065,977.07			RECE	DVP	900546	11	C00015	6855324624182231	-	-	-		DETAILS
sti	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341183	-	-	-		DETAILS >
STI	CNE100003059	2,102	CHY	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341184	-	-	-		DETAILS >
\$TI	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341185	-	-	-		DETAILS
m	CNE100003059	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624129627	-	-	-		DETAILS >
m	CNE100003059	29,627	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624129628	-	-	-		DETAILS
STI	CNE1000030.59	92,200	CNY	4,665,977.07			RECE	DVP	900546	11	B01110	4000000557582035	~	-	-	Reject by CCASS	DETAILS
8	CNE100003059	29,626	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324624129526	-	~	~		DETAILS
8	CNE100003059	29,626	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324604129526	~	1	~	Settled	DETAILS
m	CNE100003059	29,627	CNY	4,065,977.07			RECE	DVP	900546	11	E01110	6855324604129527	~	~	~	Cancelled	DETAILS
TI .	CNE100003059	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604129528	1	1	~	Cancelled	DETAILS
m	CNE100003059	22,312	CNV	4,065,977.07			RECE	DVP	900546	11	801110	6855324604102231	~	~	× .	Settled	DETAILS
4	CNE100003059	2,231	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324604182231	~	~	~	Settled	DETAILS >
STI	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341182	-	-	×		DETAILS
STI	CNE100003059	2,102	CNY	4.065.977.07			RECE	DVP	2000001	900113	C00016	000000056341181	-	-	~		DETAILS >

3. The CP Transaction Balance Input Only User goes to the Settlement Instructions Details view by clicking "Details".

HKEX Synapse The Power of Connectivity				🗇 12 April 2023 🏵 synual/281 synual/281 🗸 🄀
eBack Settlement Instruction Details Trade ID: 0000000056341183				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRAN	SACTION REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN CNE100	03059 Depository BIC	XHKOHKH1XXX	Trade Date	2021-06-05
Local Code	93936 Quantity	2,102	Type	RECE
Name GIGADEVICE SEMICONDUCTOR(BEUIN	G) INC Settlement Date	2021-06-06	Payment	DVF
	Settlement Currency	CNY	Deal Price Currency	CN
	Settlement Amount	4,065,977.07	Deal Price	44.00
	Effective Settlement Date		Currency To Buy	
	Settled Currency		Currency To Sell	USE
	Settled Amount	4065977.07 HKD	FX Cancellation	
	Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS				
EP BIC DTCCSE	LLXXX			
EP Name SynCo	mp531			
EP's Account at CP 2	00001			
CP BIC DTCCDE/	COOK COOK			
CP Name SynCo	mp541			
CP's Account at CCASS	00113			
Counterparty - AM (BIC/ Name/ LEI)				
Counterparty - LC CCASS ID	00016			
LC's Account at CCASS				
GC's account at LC	40002			

- 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)

Dack Settlement Instruction Details Trade ID:	000000056341183				Reject Volume
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
SIN	CNE100003059	Depository BIC	XHICHINHXXX	Trade Date	2021-06
.ocal Code	93956	Quantity	2,102	Type	RE
lame	GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date	2021-06-05	Payment	
		Settlement Currency	CNV	Deal Price Currency	
		Settlement Amount	4,065,077.07	Deal Price	4
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNV	Currency To Sell	
		▲ Settled Amount	4065977.07 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
ARTICIPANT DETAILS					
P BIC	DTCCSELLXXX				
P Name	SynComp531				
P's Account at CP	2101001				
CP BIC	DTOODEAGXXX				
CP Name	SynComp541				
P's Account at CCASS	900113				
ounterparty - AM (BIC/ Name/ LEI)					
ounterparty - LC CCASS ID	C03016				
LC's Account at CCASS					
C's account at LC	14092				

5. After entering in those two fields, then the CP Transaction Balance Input Only User can approve the SSTI by clicking "Approve".

PLANS Settlement Instruction Details Trade ID KEY SETTLEMENT DETAILS SETTLEMEN FINANCIAL INSTRUMENT DETAILS HIM ISIN Konne	TO DE TRA SECONDE CARAN	ON REFERENCES AND LIFECYCLE SETTLEMENT DETAILS			Reject Approv
EY SETTLEMENT DETAILS SETTLEMEN INANCIAL INSTRUMENT DETAILS ISIN Local Code	NT STATUS SI HEALTH CHECK TRANSACT				index ableor
NANCIAL INSTRUMENT DETAILS	CNE100003059				
IN scal Code				TRADE DETAILS	
ocal Code					
			XHIKCHINHDOX		2021-00
me			2.102		R
	GIGADEVICE SEMICONDUCTOR(BEIJING) INC		2621-06-06		
		Settlement Currency		Deal Price Currency	1
		Settlement Amount	4,065.977.07		4
		Effective Settlement Date		Currency To Buy	
		Settled Carrency		Currency To Sell	,
		A Settled Amount	4065977.07 HKD	FX Cancallation	
		Real-Time Settlement Indicator	Falso		
RTICIPANT DETAILS					
BIC	DTCCSELLIXX				
Name	SunCompS31				
's Account at CP	200001				
BC	DTCCDEAGXXX				
Name	SunComp541				
"s Account at CCASS	500113				
surferparty - AM (BIC/ Name/ LEI)	300113				
surferparty - LC CCASS ID	00015				
LC's Account at CCASS	Cours				
Co account at LC	140002				
HKEX Synapse				0	🗂 12 April 2023 🛈 synuat/281 synuat/281 🗸 🌖
Back Settlement Instruction Details Trade ID	: 000000056341183				
		ON REFERENCES AND LIFECYCLE			
rccessfully Approved					
SI STATUS					
CP MAKER: ~ APPROVED	CP CHECKER: -	GC APPROVED: -	LC APPROVED: -	CCASS STATUS	CANCELLATION STATUS:
				CLASS STATUS:	
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

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

1. 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.

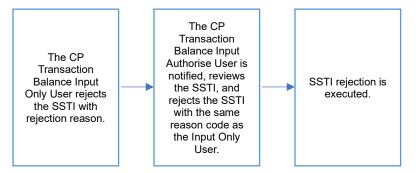
HKEX The Power of		9												E 12A	lpril 202	3 @ symuat283 symu	a1283 - 🗙
	Dashboard		Settlement Instr	ructions				Accounts		Relationships	Mark	set Data				Reports	
Settlement In	structions																
SETTLEM	ENT INSTRUC	CTIONS	11	0	0	3	2									Q Search	Generate Report
			Processing	Unmatched	Matche	d Settle	d Cancell	ed								2021-06-05	s e
INS TYPE 1 T	ISIN 6 T	QUANTITY * *	SETTLEMENT CURRENCY 1 T	SETTLEME	NT AMOUN	T + =	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP 1 T	CP'S ACCOUNT AT CCASS * *	LC CCASSID 17	TRADE ID A T	CP 1 T	GC 1 T	LC 1 T	STATUS * *	
STI	CNE1000030 S9	22,312	CNY	4,085,977.0	7		RECE	DVP	900546	11	B01110	6855324624102231	-	-	-		DETAILS >
SI	CNE100003039	2,231	CNY	4,085,977.0			RECE	DVP	900546	11	C00016	6855324624182231	-	-	-		DETAILS >
SSTI	CNE1000030 S9	2,102	CNY	4,065,977.0	7		RECE	DVP	2000001	900113	C00016	000000056341183		-	-		DETAILS >
SSTI	CNE100063059	2,102	CNY	4,065,977.0	7		RECE	DVP	2000001	500113	C00016	0000000056341184	-	-	-		DETAILS >
SSTI	CNE100000059	2,102	CNY	4,065,977.0	7		RECE	DVP	2000001	900113	C00016	000000056341185	-	-	-		DETAILS >
STI	CNE100003059	29,627	CNY	4,065,977.0	7		RECE	DVP	900546	11	B01110	6855324624129527	-	-	-		DETAILS >
STI	CNE100003059	29,627	CNV	4,055,977.0	7		RECE	DVP	900546	11	B01110	6855324624129628	-	-	-		DETAILS >
SSTI	CNE100003059	92,200	CNY	4,065,977.0			RECE	DVP	900546	11	B01110	40100005575B2035	~	-	-	Reject by CCASS	DETAILS >
\$1	CNE100003059	29,626	CNY	4,085,977.0	7		RECE	DVP	900546	11	C00016	6855324624129626	-	~	~		DETAILS >
SI	CNE1000030 SP	29,626	CNY	4,085,977.0	7		RECE	DVP	900546	11	C00016	6855324604129626	~	~	1	Settled	DETAILS >
STI	CNE100063059	29,627	CNY	4,085,977.0	7		RECE	DVP	900546	11	B01110	6855324604129627	~	~	~	Cancelled	DETAILS >
STI	CNE100003039	29,627	CNY	4,085,977.0	7		RECE	DVP	900546	11	B01110	6855324604129628	~	~	1	Cancelled	DETAILS >
STI	CNE100003059	22,312	CNY	4,065,977.0	7		RECE	DVP	900546	11	B01110	6855324604102231	~	~	1	Settled	DETAILS >
SI	CNE100003059	2,231	CNY	4,065,977.0	7		RECE	DVP	900546	11	C00016	6855324604182231	~	~	~	Settled	DETAILS >
SSTI	CNE100003059	2,102	CNY	4,055,977.0	7		RECE	DVP	2000001	500113	C00016	000000056341182	-	-	×		DETAILS >
SSTI	CNE100003059	2,102	CNV	4,065,977.0	7		RECE	DVP	2000001	500113	C00016	000000056341181	-	-	~		DETAILS
								P	revious < > Next								

2. The CP Transaction Balance Input Authorise User clicks "Details" to view the details of the SSTI and approves it by clicking "Approve".

Buck Sottlement Instruction Details Trade I     EY SETTLEMENT DETAILS SETTLEME		ION REFERENCES AND LIFECYCLE			Reject Appr
INANCIAL INSTRUMENT DETAILS	INT STATUS SI HEALTH CHECK TRANSACT	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	C161/00/0000	Depository BIC	XHIKCHIKHIDOXX	Tendo Data	20214
Local Code	93965	Quantity		Туре	EN IS
Same	GIGADEVICE SEMICONDUCTOR(BEIJING) INC			Payment	
ione -		Settlement Currency		Deal Price Currency	
		Settlement Amount		Deal Price	
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency to Sell	
		A Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
ARTICIPANT DETAILS			1.000		
CATCINANT DETAILS					
PBIC	DTOCSELLIXX				
P Name	SynComp531				
Ps Account at CP	200001				
PBIC	DTCCDEAGXXX				
* Dru	SynCompi41				
Ps Account at CCASS	500113				
ounterparty - AM (BIC/ Name/ LEI)	100113				
ounterparty - LC CCASS ID	00015				
LC's Account at CCASS	1				
C's account at LC	140002				
HKEX Synapse he Power of Connectivity.	000000055341183			•	🗖 12 April 2023 @ symuel283 symuel283 v 🌖
SETTLEMENT DETAILS SETTLEMEN	T STATUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
essfully Approved					
essfully Approved SI STATUS					
	CP CHECKER: ~ APPROVED	GC APPROVED:	LC APPROVED:	CCASS STATUS:	CANCELLATION STATUS:
SI STATUS	CP CHECKER: ~ APPROVED	GC APPROVED:	-	CCASS STATUS: Reason:	CANCELLATION STATUS: Reason:

#### 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".

HKEX Synapse The Power of Connectivity.					🗖 12 April 2023 🏵 synuat281 synuat281 🕤 🎽
Back Settlement Instruction Details Trade ID: 00	0000056341184				Reject Auston
KEY SETTLEMENT DETAILS SETTLEMENT S	TATUS SI HEALTH CHECK TRANSACT	ION REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE106063659	Depository BIC	306KCH6H13OCK	Trade Date	2021-05-0
Local Code	93905	Quantity	2,102	Type	REC
fame	GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date	2021-06-05	Payment	DA
		Settlement Currency	CNY	Deal Price Currency	CA
		Settlement Amount	4,065,977.07	Deal Price	441
		Effective Settlement Date		Currency To Bay	
		Settled Currency	CNY	Currency To Sell	US
		A Settled Amount	4065977.07 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
EP DIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	2030001				
CP BIC	DTCODEABXXX				
P Name	SynComp541				
P's Account at CCASS	900113				
Counterparty - AM (BIC/ Name/ LEI)					
Counterparty - LC CCASS ID	C00016				
LC's Account at CCASS					
GC's account at LC	140002				

3. 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.

HKEX Synapse the Power of Connectivity.			3 🛈 synual281 synual281 👻 💢
			Reject Approx
SETTLEMENT DETAILS SETTLEMENT STAT	US SEHEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE		
ANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS	
•	REJECTION CODE:		2021-05
al Code ne	Please select the code corresponding to your reason for rejection of this Settlement Instruction: Invalid Investor Party (INVE)		RE C
		Cancel Setmit	44
			u
RTICIPANT DETAILS			
nic			
Name			
s Account at CP RIC			
None			
s Account at CCASS			
anterparty - AM (BIC/ Nome/ LEI)			
interparty - LC CCASS ID C's Account at CCASS			
's account at LC			
s account at LC			

HKEX Synapse The Power of Connectivity.	- 000000056341184				🗂 12 April 2023 🕀 symual281 symual281 - 💢
	and the second second	RANSACTION REFERENCES AND LIFECYCL	E		
© Successfully Rejocted SI STATUS					
CP MAKER: X REJECTED Research Invatid Investor Party (INVE)	CP CHECKER:	GC APPROVED:	LC APPROVED:	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Relean: NA
		Ţ			7

#### **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 SSTI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

	Synapse													E 12/	April 202	3 @ synual283 synu	a1283 - 💢
	Dashboard		Settlement Ins	tructions				Accounts		Relationships	Mark	et Data				Reports	
ttlement Inst	aructions																
ETTLEME	NTINSTRUC	TIONS	11	0	0	3	2									Q. Search	Generate Repo
			Processin	g Unmatche	d Matche	Settle	d Cancell	ed								2021-06-05	
	ISIN 6 T	QUANTITY **	SETTLEMENT CURRENCY **		ENT AMOUN		TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP **	CP'S ACCOUNT AT CCASS® *	LC CCASS ID * *	TRADE ID * *	CP	GC **	LC++	STATUS **	
ті	CNE100003059	22,312	CNV	4,065,977.			RECE	DVP	900546	11	B01110	6855324624102231	-	=	-		OCTAILS )
	CNE100003039	2.231	CRY	4,065,977.			RECE	DVP	900546	11	C80016	6855324624182231	-	-	-		DETAILS >
STI	CNE100003059	2,102	Chrv	4,065,977.			RECE	DVP	2000001	900113	C00016	000000056341154		-	-		DETAILS
	CNE100003059	2,192	CNY	4,065,977			RECE	DVP	2000001	900113	C00016	000000056341105	-	-	-		DETAILS
	CNE100003059	29,627	CRY	4,065,977			RECE	DVP	900546	11	B01110	6855324624129627	-	-	-		DETAILS
П	CNE100003059	29,827	CIVY	4,065,977			RECE	DVP	909546	11	B01110	6855324624129628	-	-	-		DETAILS >
	CNE100003059	92.200	CNY	4,065,977			RECE	DVP	900546	11	B01110	40000005575B2035	1	5	7	Reject by CCASS	DETAILS
	CNE100003059	29,626	CRY	4,065,977.			RECE	DVP	900546	11	C00016	6855324624129626	-	4	4		DETAILS >
	CNE100003059	29.626	CNY	4,065,977.			RECE	DVP	900546	11	C00016	6855324604129626	*	4	Y .	Settled	DETAILS >
	CNE100003059	29,627	CNY	4,065,977			RECE	DVP	900546	11	B01110	6855324604129627	1	1	1	Cancelled	DETAILS >
TI	CNE100003059	29,827	CRV	4,065,977			RECE	DVP	900546	11	B01110	6855324604129628	~	~	~	Cancelled	DETAILS >
TI .	CNE100003059	22,312	CNV	4,065,977			RECE	DVP	900546	11	B01110	6855324604102231	1	4	1	Settled	DETAILS )
	CNE100003038	2,231	CNY	4,065,977			RECE	DVP	900546	11	C00016	6855324604182231	~	1	~	Settled	OCTAILS >
STI	CNE100003059	2,102	CNY	4,065,977.			RECE	DVP	2000001	900113	C00016	6060605056341162	-	-	×		DETAILS >
STI	CNE100003059	2,102	CRV	4.065.977	07		RECE	DVP	2000001	900113	C00016	0000000056341181	-	-	4		DETAILS >

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.

HKEX Synapse The Power of Connectivity:			🖞 12 April 2023 @ synuat283 synuat283 🕤 💢
• Back Settlement Instruction Details Trade ID: 0000			Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE		
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS	
ISIN Local Code	REJECTION CODE:		2021-06-05 RECE
Name	Please select the code corresponding to your reason for rejection of this Settlement Instruction. Invalid investor Party (INVE)		- CNY
		Cancel Seb	
		_	USD
PARTICIPANT DETAILS			
EP BIC EP Name			
EP's Account at CP			
CP BIC			
CP Name			
CP's Account at CCASS Counterparty - AM (BIC/ Name/ LEI)			
Counterparty - LC CCASS ID			
A LC's Account at CCASS			
GC's account at LC			
	i		

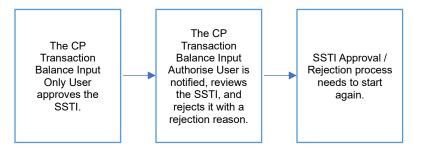
 The CP Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, and the rejection is executed. This SSTI can be re-approved by CP Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved.

The re-approval process is the same as approval.

	KEX Synapse Power of Connectivity.				•	🗂 12 April 2023 🏵 synuat283 synuat283 🕤 💢
	Settlement Instruction Details Trade ID: 0000	000056341184				Reject Approve
KEY S	ETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
© Succe	safully Rejected					
	SI STATUS					
	CP MAKER: × REJECTED	CP CHECKER: × REJECTED	GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reserve	Reason:
	Invalid Investor Party [INVE]	Invalid Investor Party [INVE]	NA	NA	NA	NA
			1			l

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):



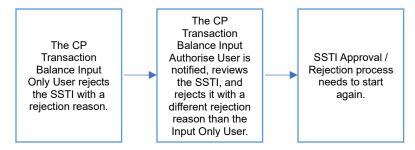
- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. CP Transaction Balance Input Only User can see the Approval is rejected by CP Transaction Balance Input Authorise Users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

	KEX Synapse Power of Connectivity.					🗅 12 April 2023 🏵 symual283 symual283 👻 💢
* Back	Settlement Instruction Details Trade ID: 00000	00056341182				Reject Approve
KEY SI	ETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
© Rejecti	ed to Maker					
	SI STATUS					
	CP MAKER: PENDING AMENDMENT	CP CHECKER: REJECTED TO MAKER	GC APPROVED: -	LC APPROVED: × REJECTED	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	Invalid Link (INVL)	NA	NA
				I		

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):

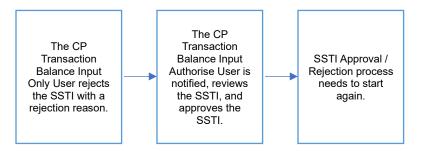


- 1. Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
- 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance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

HKEX Synapse The Power of Connectivity:					🗂 12 April 2023 🏵 synual283 synual283 🗸
Back Settlement Instruction Details Trade ID:	000000056341182				Reject App
Y SETTLEMENT DETAILS SETTLEMEN	I STATUS SI HEALTH CHECK TRANSAC	TION REFERENCES AND LIFECYCLE			
ejected to Maker					
SI STATUS					
CP MAKER: PENDING AMENDMENT	CP CHECKER: REJECTED TO MAKER	GC APPROVED: -	LC APPROVED: × REJECTED	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	Invalid Link (INVL)	NA	NA

3. 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.
- 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.
- 3. 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)

	KEX Synapse Power of Connectivity.				•	🗄 12 April 2023 🕲 symuat001 symuat001 🕤	¢
+ Back	Settlement Instruction Details Trade ID: 22319	94155771021					
KEY SI	ETTLEMENT DETAILS SETTLEMENT STAT	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE				_
	SI STATUS						
	GC APPROVED: ~ APPROVED	LC APPROVED: ~ APPROVED	CP APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:		
	Reason:	Reason:	Reason:	Reason:	Reason:		
	NA	NA	NA	NA	NA		

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		
СР	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 unmatch - DSEC – unmatched – stock code/ISIN unmatch - DQUA – unmatched – quantity unmatch - CMIS – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – other - FRAP – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatch - DMON – unmatched – money value unmatch - DDAT – unmatched – settlement date unmatch - DELN – unmatched – transaction direction unmatch - DELN – unmatched – transaction direction unmatch - SETD – Settled		
Reason	Indicated reason for CCASS unmatched status: - NCRR – settlement currency unmatch + description - DSEC – stock code/ISIN unmatch + description - DQUA – quantity unmatch + description - CMIS – no possible matching SI found + description - OTHR – other + description - FRAP – payment instruction unmatch + description - PODU – possible matching SI but not earmarked as pairs + description - SAFE – client A/C no. unmatch + description - DMON – money value unmatch + description		

#### **Settlement Status Indicator**

Field	Description
	<ul> <li>DDAT – settlement date unmatch + description</li> <li>DELN – transaction direction unmatch + description</li> </ul>
	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)

HKEX Synapse The Power of Connectivity.				•	🖻 12 April 2023 @synuat071 synuat071 - 🗙 🗙
+Back Settlement Instruction Details Trade ID	2962994155771021				Reset Aspen
KEY SETTLEMENT DETAILS SETTLEME	NT STATUS SI HEALTH CHECK TRANS/	CTION REFERENCES AND LIFECYCLE			
SI STATUS					
GC MAKER: APPROVED</td <td>GC CHECKER: ~ APPROVED</td> <td>LC APPROVED: ~ APPROVED</td> <td>CP APPROVED: &lt; APPROVED</td> <td>CCASS STATUS: SETTLED</td> <td>CANCELLATION STATUS:</td>	GC CHECKER: ~ APPROVED	LC APPROVED: ~ APPROVED	CP APPROVED: < APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

# **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	<ul> <li>Indicated reason for CCASS status:</li> <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>NCRR – unmatched – settlement currency unmatch</li> <li>DSEC – unmatched – quantity unmatch</li> <li>CMIS – unmatched – no possible matching SI found</li> <li>OTHR – unmatched – other</li> <li>FRAP – unmatched – payment instruction unmatch</li> <li>PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>SAFE – unmatched – client A/C no. unmatch</li> <li>DMON – unmatched – money value unmatch</li> </ul>		

- DELN – unmatched – t - SETD - Settled Reason Indicated reason for CC. - NCRR – settlement cu - DSEC – stock code/ISI - DQUA – quantity unma - CMIS – no possible ma - CMIS – no possible ma - OTHR – other + descri - FRAP – payment instru - PODU – possible mato - SAFE – client A/C no. - DMON – money value - DDAT – settlement dat - DELN – transaction dir Note: "Description" next counterparty.	Description
	- DDAT – unmatched – settlement date unmatch
	- DELN – unmatched – transaction direction unmatch
	- SETD - Settled
- DD. - DE - SE Reason Indic - NC - DS - DQ - CM - OT - FR/ - PO - SAI - DM - DD, - DE - DM - DD, - DE	Indicated reason for CCASS unmatched status:
<ul> <li>DDAT – unmatched – settlement date unmatch</li> <li>DELN – unmatched – transaction direction unma</li> <li>SETD - Settled</li> <li>Reason</li> <li>Indicated reason for CCASS unmatched status:         <ul> <li>NCRR – settlement currency unmatch + description</li> <li>DSEC – stock code/ISIN unmatch + description</li> <li>DQUA – quantity unmatch + description</li> <li>CMIS – no possible matching SI found + description</li> <li>OTHR – other + description</li> <li>FRAP – payment instruction unmatch + description</li> <li>SAFE – client A/C no. unmatch + description</li> <li>DMON – money value unmatch + description</li> <li>DDAT – settlement date unmatch + description</li> <li>DELN – transaction direction unmatch + description</li> </ul> </li> </ul>	- NCRR – settlement currency unmatch + description
	<ul> <li>DSEC – stock code/ISIN unmatch + description</li> </ul>
	- DQUA – quantity unmatch + description
	- CMIS – no possible matching SI found + description
	- OTHR – other + description
	- FRAP – payment instruction unmatch + description
	- PODU – possible matching SI but not earmarked as pairs + description
	- SAFE – client A/C no. unmatch + description
	- DMON – money value unmatch + description
	- DDAT – settlement date unmatch + description
	- DELN – transaction direction unmatch + 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)

HKEX Synapse The Power of Connectivity.	2						🗂 12 April 2023 🏵 synuat141 synuat141 🗸 🌖
Back Settlement Instruction De	stails Trade ID: 296299	4155771021					Basel Ann
EY SETTLEMENT DETAILS	SETTLEMENT STAT	US SI HEALTH CHECK	TRANSACTION	REFERENCES AND LIFECYCLE			
SI STATUS							
LC MAKER: ~ APPROVED		LC CHECKER: V APPROVED		GC APPROVED: ~ APPROVED	CP APPROVED: < APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
Reason:		Reason:		Reason:	Reason:	Reason:	Reason:
NA		NA		NA	NA	NA	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 In or rejected the instruction or the instruction Transaction Balance Input Only User for         Reason       Reason for LC rejection input by LC Transaction User	Indication that LC Transaction Balance Input Authorise User has approved
	or rejected the instruction or the instruction is rejected back to LC
Trans       Reason       LC Checker       Indica or reju- Trans       Reason       Reason       Reason	Transaction Balance Input Only User for amendment
	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
СР	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

Field	Description
	- 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 unmatch
	- DSEC – unmatched – stock code/ISIN unmatch
	- DQUA – unmatched – quantity unmatch
	- CMIS – unmatched – no possible matching SI found
	- OTHR – unmatched – other
	- FRAP – unmatched – payment instruction unmatch
	- PODU – unmatched – possible matching SI but not earmarked as pairs
	- SAFE – unmatched – client A/C no. unmatch
	- DMON – unmatched – money value unmatch
	<ul> <li>DDAT – unmatched – settlement date unmatch</li> </ul>
	- DELN – unmatched – transaction direction unmatch
	- SETD - Settled
Reason	Indicated reason for CCASS unmatched status:
	<ul> <li>NCRR – settlement currency unmatch + description</li> </ul>
	- DSEC – stock code/ISIN unmatch + description
	- DQUA – quantity unmatch + description
	<ul> <li>CMIS – no possible matching SI found + description</li> </ul>
	- OTHR – other + description
	- FRAP – payment instruction unmatch + description
	- PODU – possible matching SI but not earmarked as pairs + description
	- SAFE – client A/C no. unmatch + description
	- DMON – money value unmatch + description
	<ul> <li>DDAT – settlement date unmatch + description</li> </ul>
	- DELN – transaction direction unmatch + 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

## 7.5.2 Sell Side

# 7.5.2.1 Exchange Participant (EP)

HKEX Synapse The Power of Connectivity					🗂 12 April 2023 @ synuat211 synuat211 🗸 🔀
Back Settlement Instruction Details Trade ID: 68553	24604182231				
KEY SETTLEMENT DETAILS SETTLEMENT STAT	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
SI STATUS					
CP APPROVED: APPROVED</th <td>GC APPROVED: ~ APPROVED</td> <td>LC APPROVED: ~ APPROVED</td> <td>CCASS STATUS: SETTLED</td> <td>CANCELLATION STATUS:</td> <td></td>	GC APPROVED: ~ APPROVED	LC APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:	
Reason:	Reason:	Reason:	Reason:	Reason:	
IN France Connection  IN France Control Contro					

## **Settlement Status Indicator**

Field	Description
СР	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection

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
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 unmatch
	- DSEC – unmatched – stock code/ISIN unmatch
	- DQUA – unmatched – quantity unmatch
	- CMIS – unmatched – no possible matching SI found - OTHR – unmatched – other
	- FRAP – unmatched – payment instruction unmatch
	- PODU – unmatched – possible matching SI but not earmarked as pairs
	- SAFE – unmatched – client A/C no. unmatch
	- DMON – unmatched – money value unmatch
	- DDAT – unmatched – settlement date unmatch
	- DELN – unmatched – transaction direction unmatch
	- SETD - Settled
Reason	Indicated reason for CCASS unmatched status:
	- NCRR – settlement currency unmatch + description
	<ul> <li>DSEC – stock code/ISIN unmatch + description</li> <li>DQUA – quantity unmatch + description</li> </ul>
	- CMIS – no possible matching SI found + description
	- OTHR – other + description
	- FRAP – payment instruction unmatch + description
	- PODU – possible matching SI but not earmarked as pairs + description
	- SAFE – client A/C no. unmatch + description
	- DMON – money value unmatch + description
	- DDAT – settlement date unmatch + description
	- DELN – transaction direction unmatch + 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)
	Not Applicable

# 7.5.2.2 Clearing Participant (CP)

HKEX Synapse The Power of Connectivity.					🗇 12 April 2023 🏵 synual281 synual281 🕤
Back Settlement Instruction Details Trade ID	6855324604102231				8665 86
EY SETTLEMENT DETAILS SETTLEME	NT STATUS SI HEALTH CHECK TRANSA	CTION REFERENCES AND LIFECYCLE			
SI STATUS					
CP MAKER: ~ APPROVED	CP CHECKER: ~ APPROVED	GC APPROVED: ~ APPROVED	LC APPROVED: V APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Research	Reason:
NA	NA	NA	NA	NA	NA

# Settlement Status Indicator

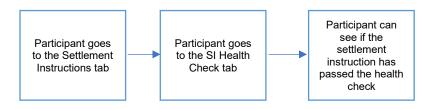
Field	Description
CP Maker	Indication that CP Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by CP Transaction Balance Input Only User
Reason	Reason for CP rejection input by CP Transaction Balance Input Only User
CP Checker	Indication 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: - 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 unmatch - DSEC – unmatched – stock code/ISIN unmatch - DQUA – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatch - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatch - DMON – unmatched – money value unmatch
Reason	<ul> <li>DDAT – unmatched – settlement date unmatch</li> <li>DELN – unmatched – transaction direction unmatch</li> <li>SETD - Settled</li> <li>Indicated reason for CCASS unmatched status:</li> <li>NCRR – settlement currency unmatch + description</li> <li>DSEC – stock code/ISIN unmatch + description</li> <li>DQUA – quantity unmatch + description</li> <li>CMIS – no possible matching SI found + description</li> <li>OTHR – other + description</li> </ul>

	Description
	- FRAP – payment instruction unmatch + description
	- PODU – possible matching SI but not earmarked as pairs + description
	<ul> <li>SAFE – client A/C no. unmatch + description</li> </ul>
	<ul> <li>DMON – money value unmatch + description</li> </ul>
	- DDAT – settlement date unmatch + description
	- DELN – transaction direction unmatch + 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

# 7.6 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 202	2 🛞 synuat003 synuat003 🗸 🔰
Dashboard Settlement Instructions	Funds Relationships	Market Data	Reports
DASHBOARD			
SETTLEMENT INSTRUCTIONS®	FUND PROFILES + New Fund	NOTIFICATIONS	
5 Allocation Received	O Awaiting AM Checker Approval	Funds (6) PREVIEW -	
3 Processing in Synapse	O Awaiting GC Approval	Participants (0) PREVIEW	
1 Unmatched	O Awaiting LC Approval	Relationships (0) PREVIEW	
0 Matched		CCASS Exceptions (0) PREVIEW -	
1 Settled		SIS (132)	
0 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 Power of C	Synaps	e														12 April 2	1023 (8 synuat00)	synuat001 👻	X
	Dashboar		5	ettlement in	structions			Punc			Relationships		Market Data				Reports		
ettlement Ins	tructions																		
ETTLEME	NT INSTRU	CTIONS		10	6	0	7	7									Q, See	arch Generate	e Re
				Processi	ing Unmatch	ed Matche	d Settled	Cancelled									2021	-06-05	
NS TYPE - T	FUND ID 4 7	ISIN * *	QUANTITY	SETTI EME	NT CURRENCY		SETTI EM	ENT AMOUNT - *	TYPE - *	PAYMENT MODE - *	FUND ACCOUNT AT GC 1 7	EP BIC 1 T	TRADE ID * *	GC * T	10**	CRAT	STATUS 4 7		
n	882231	CNE1000030.59	22,312	CNY			4,055.977		DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-		DETAILS	5
	882231	CNE100003059	2,231	CNY			4,055,977	07	DELI	DVP	542231	DTCCSELLXXX	2231594155771021	-	-	-		DETAILS	
m	111444	CNE100003059	2,102	ONY			4,055,977	97	DELI	DVP	140001		000000075619035	-	-	-		DETAILS	5
	882231	CNE100003059	29,625	CNY			4,055,977	07	DELI	DVP	542231		2119994155771021	-	-	-		DETAILS	5
п	552734	CNE100003059	92,200	ONY			4.085.977	07	DEU	DVP	542734		2034100011076672	~	~	-	Sotted	DETAILS 1	5
	882231	CNE1000030 59	29,627	CNY			4,085,977	07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS	
	882231	CNE100003039	29.627	CNY			4.085.977	97	DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS	5
STI	552734	CNE100003059	92,230	CNY			4,055,977	07	DELI	DVP	542734		2034206011076672	~	~	-	Settled	DETAILS	
	662231	CNE100003059	29.622	CNY			4.055.977	97	DELI	DVP	542231		2119994155771021	~	× .	-	Unmatched	DETAILS 1	5
	882231	CNE100003059	29,626	CNY			4,055,977	07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	1	1	-	Unmatched	DETAILS	5
	882231	CNE100003059	29.623	ONY			4.055.977	07	DELL	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS 1	5
	882231	CNE100003059	29,621	CNY			4,055,977	07	DELI	DVP	542231		2119994155771021	1	1	-	Unmatched	DETAILS	5
	882231	CNE100003059	29.624	ONY			4.085.977	97	DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS I	5
	882231	CNE100003059	29,621	CNY			4,055,977	07	DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS	
	882231	CNE100003059	29.622	CNY			4.055.977	97	DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS	5
	882231	CNE100003059	29,624	CNY			4,055,977	07	DELI	DVP	542231		2119994155771021	1	1	-	Cancelled	DETAILS	
	882231	CNE100003059	29,623	ONY			4,055,977	07	DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS 1	5
	882231	CNE100003059	29,626	CNY			4,055,977	07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	1	1	1	Settled	DETAILS	5
n	882231	CNE100003059	29,627	ONY			4,055,977	07	DEU	OVP	542231	DTCCSELLXXX	2962094155771021	~	~	1	Cancelled	DETAILS	5
п	882231	CNE100003059	29,627	CNY			4,055,977	07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS	5
1	882231	CNE1000030.59	22,312	CNY			4,085,977	07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	1	~	1	Settled	DETAILS	5
	882231	CNE100003059	29,625	CNY			4,055,977	97	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS	
	662231	CNE100003059	2,231	CNY			4,055,977	97	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	×	×	Setted	DETAILS	5
	552775	CNE100003059	2,775	CNY			4,055,977	97	DELI	DVP	543008	DTCCSELLXXX	3008994155771021	1	1	~	Settled	DETAILS	5
m	111444	CNE100003059	2,102	ONY			4,055,977	07	DEU	DVP	140001	DTCCSELLXXX	000000075519031	-	~	-		DETAILS	5
	555559	CNE1000030 59	2,765	CNY			4,055,977	07	DELI	DVP	6995557		9360000044076693	1	4	-	Cancelled	DETAILS	5
STI	111444	CNE100003059	2.102	CNY			4.065.977	07	DELL	DVP	140001	DTCCSELLXXX	000000075519032		× .			DETAILS	

- 3. The display table will show if the settlement instruction passed or failed the health check.
  - a. (i) For AM

If the settlement instruction passes the health check, then the AM participant will see "Health Check Passed".

HKEX Synapse The Power of Connectivity.						🗂 12 April 2023 (i) symuet001 symuet001 -	x
Back Settlement Instruction De	tails Trade ID: 3008994155771	1021					
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE				
SI HEALTH C	HECK:						
CHECK			STATUS	SUDMITTED VALUE	COUNTERPARTY VALUE		
15IN			Health Check Passed				
- Settlerror	t Date		Health Check Passed				
Counterp	arty 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".

HKEX Synapse The Pawe of Correctivity • Brox - Settlement Instruction Details Trade ID: 617123031013				🛱 67 August 2024 @ synust074 synust074 = 🗙 🗙
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION REFERENCES AN	D LIFECYCLE		
SI HEALTH CHECK:				
CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE	
<18IN	Health Chica: Passed			
Settlement Date	Health Check Passed			
Counterparty ID				
EP's account at CP	Health Check Passed			

b. (i) For AM

If the settlement instruction fails the health check, then the AM participant will see the specific reason.



(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".

HKEX Synapse The Bower of Connectivity: • Base. Settlement Instruction Details Trade ID: 617123090	
KEY SETTLEMENT DETAILS SI HEALTY CHECK: CHECK Sistement Data Contraport 0 A BP3 account of 0 <sup>9</sup>	BI HEALTH CHECK     TAUNISACTION REFERENCES AND LIFECYCLE     STATUS     KRMITTED VALUE     COUNTERFARTY VALUE     Value Scale yeard     -     -     -
Field Name ISIN	Failure Reason Example 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	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": <u>Setup for this pair of SN joint by the same UTI</u> Synapse LC user's CCASS Participant ID = C00040 Synapse CP user's CCSAS Participant ID = C00016 <b>Submitted value quoted on the buy side SN in the REAG/DEAG</b> block = C55555 The CCASS participant ID of the relevant Clearing Participant (CP) of the sell side SN jointed by the same UTI = C00016
	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.
EP's account at CP	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.
	<ul> <li>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:</li> <li>Client Account Number: "" OR</li> <li>Processing Reference: ""SYN-</li> </ul>
	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.

Field Name	Failure Reason Example
	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.

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

SETTLEMENT DETAIL	S SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE				
TRANSACTION REFE	RENCES		TRANSACTION LIFECYCLE				
UTI	549300TXA3WBLB9JHZ882565768034	0723298158503940392565	STATUS 🗠	TIME STAMP *	USER A	PARTY	REFERENCE
BUY-SIDE TRADE ID	010000110110200012002000100001	2565768034072329	Global Custodian Approved	2022-08-18 21:28:11		SynComp511	
SELL-SIDE TRADE ID		8158503940392565	Allocation Received and Settlement Instruction Initiated (Buy side)	2022-08-18 21:28:04		HKEX	
			Global Custodian Approved	2022-08-18 20:51:46		SynComp511	
			Allocation Received and Settlement Instruction Initiated (Buy side)	2022-08-18 20:51:40		HKEX	

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 References**

### **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: - Allocation Received and Settlement Instruction Initiated (Buy side) - Allocation Received and Settlement Instruction Initiated (Sell side) - Global Custodian Approved - Global Custodian Rejected - Local Custodian Approved

Field	Description
	- Local Custodian Rejected
	- Clearing Participant Approved
	- Clearing Participant Rejected
	- Cancelled
	- Corporate Action – Conversion
	- Manual Amendment
	- Pending Cancellation
	- Cancelled (Revoked CP SI)
	- Cancelled (SI/STI Purged)
	- Cancelled (SI/STI Revoked or SI Deleted)
	- Matched
	- Unmatched (Settlement currency unmatched)
	- Unmatched (Stock code/ISIN unmatched)
	- Unmatched (Quantity unmatched)
	- Unmatched (No possible matching SI found)
	- Unmatched (Without any unmatched reason code)
	- Unmatched (Without any unmatched reason code)
	- Unmatched (Payment Instruction Unmatched)
	- Unmatched (Possible Matching SI but not earmarked as pairs)
	- Unmatched (Client A/C No. Unmatched)
	- Unmatched (Money Value Unmatched)
	- Unmatched (Money Value Unmatched)
	- Unmatched (Settlement Date Unmatched)
	- Unmatched (Instruction Type Unmatched)
	- Matched (RDP Payment Validated)
	- Pending for Transfer (Stock Segregated Account Transfer Instructions)
	- Matched (On-hold by Counterparty)
	- Matched (RDP Shares On-hold)
	- Matched (On-hold)
	- Settled
	- CCASS Rejection (Buy side)
	- CCASS Rejection (Sell side)
Timestamp	The date and time of each transaction activity
	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).
User	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.
Party	Party of the approver of each activity.
	Participants will be able to see what actions are taken by HKEX
Reference	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.
	<b>o - - - -</b>

# 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.

HKEX Synapse	_ <u> </u>		2	Notification	ns - 🗂 06 April 2022 @ Synual39 User - 🂢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
DASHBOARD					
SETTLEMENT INSTRUCTIONS®		FUND PROFILES + New Fund		NOTIFICATIONS	
5 Allocation Received		O Awaiting AM Checker Approval		Funds (2)     PREVIEW	
2 Processing in Synapse		O Awaiting GC Approval		Participants (0) PREVIEW ~	
1 Unmatched		1 Awaiting LC Approval		Relationships (0)	
0 Matched				CCASS Exceptions (0)	
2 Settled				SIS (33)	
O Cancelled					

2. On the Relationships tab, the participant can view their relationships between their related participants

		🗄 14 June 2022 🕃 synuat001 synuat001 🗸 💢			
Dashboard	Settlement Instructions	Funds Rela	ationships	Market Data	Reports
	NAGER MIDDLE JTSOURCING R				
GLOBAL C	USTODIANS:	LOCAL CUSTODIAN	IS:		
SynComp51	2 DETAILS	SynComp522	DETAILS		
SynComp51	1 DETAILS -	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		

3. The participant can click on 'Details' to see additional entity details:



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 Syna The Power of Connectivit		6		🖻 14 June 2022 🕃 syn	uuat001 symuat001 🗸 🏌
Dashboard	Settlement Instructions	Funds	ationships	Market Data	Reports
	NAGER MIDDLE UTSOURCING R				
GLOBAL	USTODIANS:	LOCAL CUSTODIA	NS:		
SynComp51	2 DETAILS	SynComp522	DETAILS		
SynComp51	DETAILS	SynComp521	DETAILS		
SynComp51	DETAILS	SynComp521	DETAILS		
SynComp51	DETAILS -	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynCompSt	DETAILS	SynComp621	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.

wer of Connectivity					
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
	NAGER MIDDLE UTSOURCING R				
SynComp55	6 DETAILS				
GLOBAL C	USTODIANS:	LOCAL CUST	DDIANS:		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp522	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp522	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
		1 shugemper.	DETAILU		

## 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.

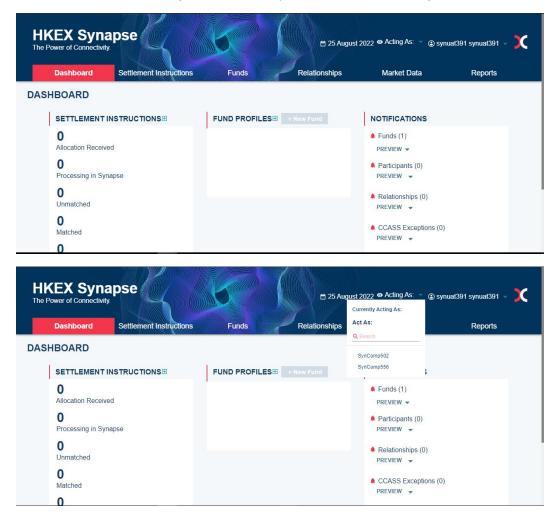
The AMOO can click the participant dropdown in the top right corner and then click "Act as Different Identity" to change which AM they act as. They can choose to act as any AM that has appointed them or as themselves as AMOO.

When the AMOO is acting as themselves, they will see the below page.

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	SynComp556
ASSET MA			USTODIANS:	LOCAL	dentity: AM Outsourcing
SynComp502	DETAILS	SynComp511	DETAILS	SynComp521	<ul> <li>Function 1: Data Manager</li> <li>Role Type: Input.Only</li> <li>Function 2: SYN User</li> <li>Role Type: Input.Only</li> <li>User</li> <li>Colory</li> </ul>

HKEX Synapse The Power of Connectivity.	25 August 20	)22	💿 synuat391 synuat391 🗸 🔀
Dashboard Settlement Instructions	Funds Relations		Reports
ASSET MANAGERS: SynComp502 DETAILS	GLOBAL CUSTODIANS:	Q. Search       SynComp502       ✓ SynComp556	L CUSTODIANS: DETAILS

When the AMOO is acting as an AM, they will see the below page.



EX Syna			🖹 25 August 2022 👁 Acti	ng As: SynComp502 🌾 🕥 Sy	ynuat391 synuat391 🗸 💢	
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
	NAGER MIDDLE JTSOURCING R					
SynComp556	DETAILS					
ASSET MA	NAGERS:	GLOBAL C	USTODIANS:	LOCAL CU	JSTODIANS:	
SynComp50	2 DETAILS	SynComp511	DETAILS	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 Syna The Power of Connectivity.	pse	🖶 14 June 2022 🕃 sy	nuat071 synuat071 🗸 💢		
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
ASSET MAI	AGERS:	LOCAL CUSTO	DIANS:		
SynComp502	DETAILS	SynComp521	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		
SynComp502	DETAILS	SynComp521	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		
SynComp502	DETAILS	SynComp522	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		

## Local Custodian (LC)

On the Relationships tab, the LC participant can view the relationships between buy side participants, e.g., AM and GC.

HKEX Syna The Power of Connectivity.	pse	🛱 14 June 2022 🏵 sy	vnuat141 synuat141 🗸 🚶		
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
ASSET MAN	IAGERS:	GLOBAL CUST	ODIANS:		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS -	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		

# 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

					Organization: SynComp531
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
Lawrences					Exchange Participa
MIDDLE	SE PARTICIPANT				Function 1 : Transaction-Balance
OUTSOU	RCING OPERATOR				Role Type:
EXCHANC	E PARTICIPANTS:	CLEARING	PARTICIPANTS:		Function 2 :
SynComp5	31 DETAILS -	SynComp54	1 DETAILS		SYN User
SynComp5	31 DETAILS -	SynComp17	9 DETAILS		Role Type: Input-Authorize
			ULTAILS		Function 3 : Data Manager
SynComp5	31 DETAILS -	SynComp33	3 DETAILS		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.

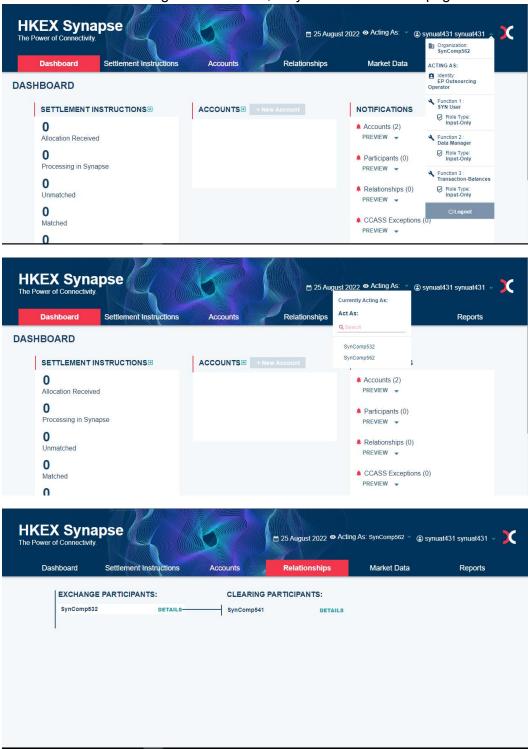
<b>H</b> I The		apse			🗎 25 August 2022 🕃 sy	muat221 synuat221 🗸 💢
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	Reports
	MIDDLE O	E PARTICIPANT FFICE CING OPERATOR				
	SynComp56	2 DETAILS				
	EXCHANG	E PARTICIPANTS:	CLEARING F	PARTICIPANTS:		
	SynComp53	2 DETAILS	SynComp541	DETAILS		
			Inbox - Outlool	c Data File - Outlook		

#### Exchange Participant Middle Office Outsourcing Operator (EPOO)

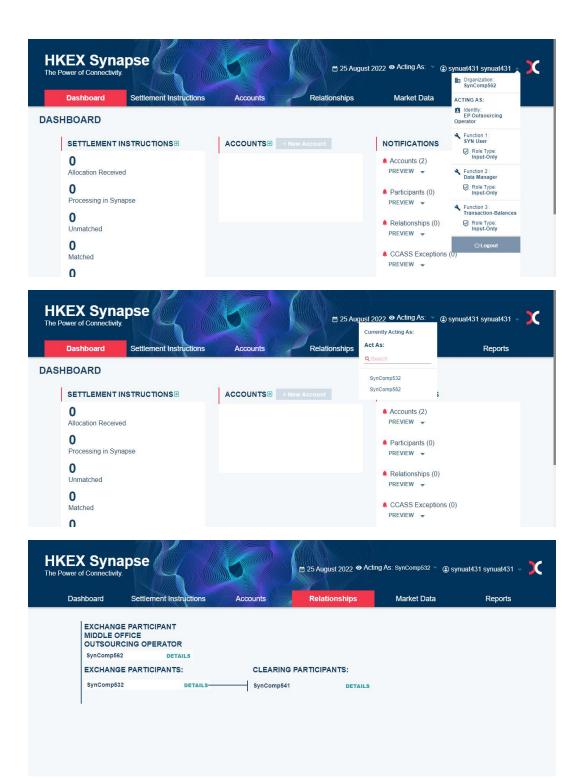
If the EP has appointed an EPOO, then the EPOO chooses which EP to act as and sees the same as what the relevant EP would see.

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.



When the EPOO is acting as an EP, they will see the below page.



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.

ashboard	Settlement Instructions	Accounts	Relationships	Market Data	SynComp541
Jashboard	Settement insuccions	Accounts	Relationships	Market Data	ACTING AS:
ACCOUN	TOPERATOR				Clearing Participant
CLEARIN	G PARTICIPANTS:	EXCHAN	SE PARTICIPANTS:		Transaction-Balance
SynComp5	41 DETAILS -	SynComp	531 DETAILS		Input-Authorize
					Function 2 : Data Manager
					Role Type: Input-Authorize
					Function 3 : SYN User
					Role Type:

# Clearing Participant (CP) – who appoints AO

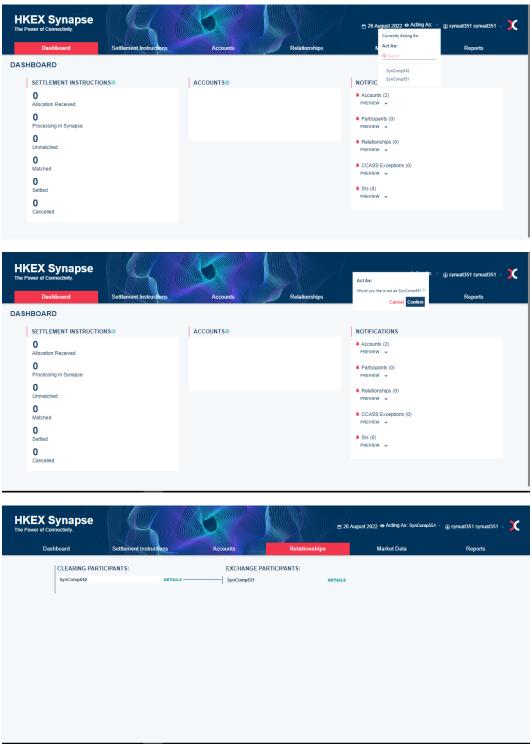
On the Relationships tab, the CP participant can view the relationships between sell side participants, e.g., EP, CP, and AO if an AO has been appointed by the CP.

HKEX S	ynapse				🖶 26 August 20	022 @ synuat291 synuat291 🔒 🔀
						In Organization: SynComp542
Dasl	hboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
	ACCOUNT OPERA	TOP				Identity: Clearing Participant
	SynComp551	DETAILS				<ul> <li>Function 1 : SYN User</li> </ul>
	CLEARING PARTI	CIPANTS:	EXCHANGE P	ARTICIPANTS:		Role Type: Input-Only
	SynComp542	DETAILS				Function 2 : Transaction-Balances
						Role Type: Input-Only
						Function 3 : Data Manager
						Role Type: Input-Only
						()Logout

### 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



When the AO is acting as an CP, they will see the below page.

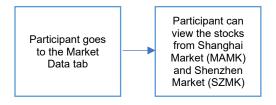
HKEX Synapse The Power of Connectivity: Dashboard Settlement Instructions	Accounts	Relationships	는 26 August 2022 @ Acting As: · Market Data	Organization: SynCompSS1 ACTING AS:
DASHBOARD				Identity: Account Operator     Syn User
SETTLEMENT INSTRUCTIONS	ACCOUNTS®		NOTIFICATIONS	SYN User Role Type: Input-Only
O Alocation Received O Processing in Synapse			Accounts (2) PREVIEW Participants (0) PREVIEW	Function 2 : Data Manager     Pole Type: Input-Only     Function 3 : Transaction-Balances
0 Unmatched			▲ Relationships (0) PREVIEW	Color Role Type: Input-Only
O Matched O			CCASS Exceptions (0) PREVIEW	
Settled O Cancelled			SIS (0) PREVIEW V	
HKEX Synapse The Power of Connectivity. Dashboard DASHBOARD SETTLEMENT INSTRUCTIONS®	Accounts	Relationships	26 August 2022	∑ @synuat351 synuat351 ↓ 🕽 Reports
O Allocation Received O Processing in Synapse O			Accounts (2) PREVIEW  PREVIEW  PREVIEW  ARelationships (0)	
Unmatched O Matched O Settled O			CCASS Exceptions (0) PREVIEW  SIs (0) PREVIEW	
Cancelled  HKEX Synapse The Power of Connectivity.  Dashboard  Settlement Instructions	Accounts	Relationships	Act As: Would you like to act as SymComp542 ? Cancel Confirm	<ul> <li>( ) synual361 synual361 ~ )</li> <li>Reports</li> </ul>
DASHBOARD				
SETTLEMENT INSTRUCTION S® O Allocation Received O Processing in Synapse O	ACCOUNTS®		NOTIFICATIONS     Accounts (2)     PREVIEW      PREVIEW      Participants (0)     PREVIEW      Relationships (0)	
Unmatched O Matched O Settled			CCASS Exceptions (0) PREVIEW  SIG(0) PREVIEW SIG(0) PREVIEW  SIG(0) PREVIEW	
0 Cancelled				

Hł The F	<b>(EX Synapse</b> Power of Connectivity.				☐ 26 August 2022	* 🕘 synual351 synual351 🗸 💢
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	Reports
DAS	HBOARD					
	SETTLEMENT IN STRUCTION	ON S 🗉	ACCOUNTS®		NOTIFICATIONS	
	O Allocation Received		O Awaiting CP Maker Approval		Accounts (4)	
	0		0		Participants (0)	
	Processing in Synapse		Awaiting CP Checker Approval		PREVIEW 👻	
	Unmatched				♠ Relationships (0) PREVIEW	
	0 Matched				CCASS Exceptions (0)	
	0 Settled				▲ Sis (0)	
	0				PREVIEW 👻	
	Cancelled					
					AAAAA	
H					🗎 26 August 2022 👁 Acting As: SynComp542	🕆 🕘 synuat351 synuat351 🗸 🂢
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	Reports
			ACCODINS	Relationships	MdiKet Data	Repons
	ACCOUNT OPER SynComp551	DETAILS				
	CLEARING PART SynComp542	ICIPANTS:	EXCHANGE P			
	Sync ompose	DETAILS	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).

Dashboard	Settlement Instr	uctions	Funds	Relationships	Market Data	Reports
	ar: Download in PDF F	ormat from HKEX we	ebsite	Securities 1	for Stock Connect Northbound Mar	ket 🕜 Export
rch	Shanghai Market	(MAMK)			Shenzhen Market (SZMK)	
STOCK NAME & GIGADEVICE	ISIN A	STOCK CODE &		STOCK A ISIN A	STOCK CODE =	
SEMICONDUCTOR(BEI)	JING) CNE100003059	93966	×	SHANGHAI PUDONG DEVELOPMENT CNE000000	WM5 70825	
SHANGHAI PUDONG DEVELOPMENT BANK	CO. CNE100000RJ0	91288	×	BANK CO.,		
				TENCENT HOLDINGS CNE000000	9N6 70028	

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 (Funds, Accounts, Settlement Instruction and Market Data) in CSV format.

# **10.1 Synapse Reports**

KEX Synapse Power of Connectivity.					
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
PORTS					
NAPSE REPORTS					
Daily Audit Trails					2021 08-05 😁 + EXPORT TO CSV
EStatement of Holdings					* FILTER & EXPORT
ATEMENT OF HOLDING REPORT SUBSCRIP	PTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE		STATUS =
EPORT TEMPLATES					
E Template SCV with RDP Payment Mode				VIEW FILTE	R DELETE + EXPORT TO CSV
Template Funds with Fund Domicile HK				VIEW FILTE	R DELETE + EXPORT TO CSV

#### **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.

HKEX Synapse he Power of Connectivity.			2	No	tifications 📇 06 April 2022 @ Synual39 User 🌖
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
EPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails					2021-06-05 🗎 + EXPORT TO CSV
E Statement of Holdings					Sat, Jun 5
					<ul> <li>June 2021</li> <li>Su Mo Tu We Th Fr Sa</li> </ul>
STATEMENT OF HOLDING REPORT SUBSCI	RIPTIONS				
PARTICIPANT NAME	INVESTOR ID A 🔻	SPSA ACCOUNT A	SUBSCRIPTION DATE	E A Y	8 7 8 9 19 11 12 12 14 15 19 17 12 13 US.∧
REPORT TEMPLATES					27 28 29 80
Template SCV with RDP Payment Mode				ê VIEW	FILTER DELETE + EXPORT TO CSV
Template Funds with Fund Domicile HK				VIEW	FILTER DELETE + EXPORT TO CSV
				-	

a. Note: 31 calendar days' worth of audit trail reports are available for selection

# 2. The participant will click "Export to CSV" to download.

HKEX Synapse The Power of Connectivity.			2	Notifications	- 🗄 06 April 2022 @ Synual39 User 🗸 🔰
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
■ Daily Audit Trails				2021-08	65 😁 + EXPORT TO CSV
≡ Statement of Holdings					▼ FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTION	15				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT ≜ ▼	SUBSCRIPTION DATE		STATUS =
REPORT TEMPLATES					
Template SCV with RDP Payment Mode				VIEW FILTER	DELETE + EXPORT TO CSV
III Template Funds with Fund Domicile HK				VIEW FILTER	DELETE + EXPORT TO CSV
AuditLogs (8).csv					Show all

Column	Description
Timestamp	Date/time when the transaction was recorded (in HKT)
	Information to be displayed for different type of records:
	For SN - maps to CTM Transaction Identification
Identification	For SCV - maps to UTI
Identification	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
	Indicated the sub-categories of the record
	For Settlement Processing
	- 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)
Message Type	- 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
	- Unmatched - DQUA (Buy Side)
	- Unmatched - DQUA (Sell Side)
	- Unmatched - DMON (Buy Side)
	- Unmatched - DMON (Sell Side)
	- Unmatched - DDAT (Buy Side)
	- Unmatched - DDAT (Sell Side)
	- Unmatched - DCUR (Buy Side)
	- Unmatched - DCUR (Sell Side)
	- Unmatched - NPOS (Buy Side)
	- Unmatched - NPOS (Sell Side)
	- Unmatched - PMNE (Buy Side)
	- Unmatched - PMNE (Sell Side)
	- Unmatched - URNA (Buy Side)
	- Unmatched - URNA (Sell Side)
	- Matched - MTCH (Buy Side)
	- Matched - MTCH (Sell Side)
	- Settled - SETD (Buy Side)
	- Settled - SETD (Sell Side)
	- Cancelled - CANI (Buy Side)
	- Cancelled- CANI (Sell Side)
	- Cancelled (CP) - CSUB (Buy Side)
	- Cancelled (CP) - CSUB (Sell Side)
	- Shares on Hold - CVAL (Buy Side)
	- Shares on Hold - CVAL (Sell Side)
	- Payment Validated - CYCL (Buy Side)
	- Payment Validated - CYCL (Sell Side)
	- Matched On-Hold - PREA (Buy Side)
	- Matched On-Hold - PREA (Sell Side)
	- Pending for Transfer - CAIS (Buy Side)
	- Pending for Transfer - CAIS (Sell Side)
	- Counter Party Instruction On-Hold - PRCY (Buy Side)
	- Counter Party Instruction On-Hold - PRCY (Sell Side)
	- Cancelled - CANS (Buy Side)
	- Cancelled - CANS (Sell Side)
	For Participant Onboarding
	- New Active GC Entity
	- New Active LC Entity
	- New Active AM Entity
	- New Active EP Entity
	- New Active CP Entity
	- New Active AMOO Entity
	- New Active EPOO Entity
	- New Active AO Entity
	- Entity Details Amended
	- Entity Status Amended
	For Fund Onboarding
	- New Fund Created
	- New Fund Profile Approved by GC
	- New Fund Profile Approved by LC
	- New Fund Profile Rejected by GC
	- New Fund Profile Rejected by LC
	- LC-Reappointment Approved by GC
	- LC-Reappointment Approved by LC

Column	Description					
	- LC-Reappointment Rejected by GC					
	- LC-Reappointment Rejected by LC					
	- Fund Details Amended					
	- Fund Status Changed					
	- Fund Profile Status Changed					
	For Account Onboarding					
	- New Account Created					
	- New Account Approved by CP					
	- New Account Rejected by CP					
	- Account Status Changed					
	Description of the record. Please note for message types related to					
	Fund / Account Onboarding, both maker ID and checker ID will be					
Details	shown. For message type related to Settlement Processing, only entity					
	ID will be shown.					
	Indicated the categories of the record					
	- Settlement Processing					
Category	- Participant Onboarding					
	- Fund Onboarding					
	- Account Onboarding					
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.

HKEX Synapse The Power of Connectivity.					22 March 2022 (a) Synual40 User 👻 💢
	Settlement Instructions	Funds	Relationships		
REPORTS					
SYNAPSE REPORTS					
Daily Audit Trails     Statement of Holdings	FILTER TO CREATE REPORT: Statement of Holdin	ng		Clear Filters and Close	
STATEMENT OF HOLDING REPORT SL PARTICIPANT NAME = 7 CP00009_SympoeAM-12208706e0582	Date:				+ NEW SUBSCRIPTION Edit Unsubscribe
REPORT TEMPLATES					

- 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.

HKEX Synapse					22 March 2022 @ Synual40 User — 🂢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
en Deity Audit Trails = Statement of Holdings	FILTER TO CREATE REPORT: Statement of Hold	ling		Class Filters and Close Cost	+ EXPORT TO CSV • FILTER & EXPORT
STATEMENT OF HOLDING REPORT SU PARTICIPANT NAME * * CP00008_SynapseAM: 12208775658883	Date: 2011 - 66 0 Invester Dat: tenter or search all tel - Appy: 0 - N 300013				• NEW SUBSCRIPTION
REPORT TEMPLATES					

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
	Indicated the stock market:
	- HKMK – Hong Kong Market
	- SZMK – Shenzhen Market
marketCode	- MAMK – Shanghai Market
stockAccountCode	Stock account code
	Investor ID for the Fund. The field Is a unique number assigned to each
	SPSA account by HKEX
investorId	Investor ID is also known as "SPSA ID" in CCASS
	Indicate the currency used:
	- HKD – Hong Kong Dollar
	- CNY – Chinese Yuan
currencyCode	- USD – United States Dollar
exchangeRate	Exchange rate
	International Securities Identification Number. It can be used as a
iSIN	unique identifier for a stock
	Indicated the stock balance is positive or negative:
	- Blank = 0 or positive balance
signOfStockBalance	- '*' = negative balance
	Indicated the stock value is positive or negative:
	- Blank = 0 or positive balance
signOfStockValue	- '*' = negative balance
stockAccountBalance	Balance of stock account
stockAccountValue	Value of stock account
stockCode	Stock Code
stockReferencePrice	Reference price of the stock
	Indicated whether the stock is with CA conversion:
	- Blank = Stock without CA conversion at day end
stockWithCAConversion	- '*' = Stock with CA conversion at day end
	Indicated whether the stock is with CA conversion:
	- Blank = Stock without CA conversion at day end
stockWithCAConversion2	- '*' = 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

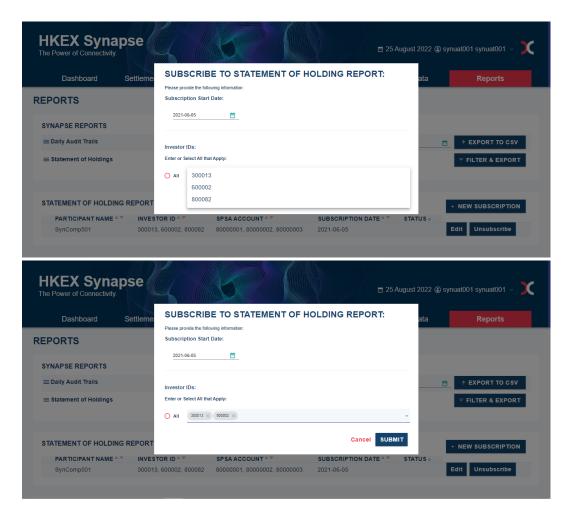
1. On the Reports tab, the Buy Side Data Manager Input Only User clicks "+ New Subscription" and adds the date from which the subscription would begin and select investor ID(s).

HKEX Synapse The Power of Connectivity.	$\rightarrow 2$		25		ans - 🖻 22 March 2022 @ Synual40 User - 🗙
	it Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
es Daily Audit Trails	SUBSCRIBE TO STA Passe provide the following information Subscription Start Date:	ATEMENT OF HOLDING REPORT:			PILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTIONS PARTICIPART RAME * * CP00006_SynappeA3. 122007NedNe35c401c1485684H922a039	2027-06-05				NEW SUBSCRIPTION  SATUS  Edit Unsubscribe
REPORT TEMPLATES				Cancel BURMIT	

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.

HKEX Synapse The Power of Connectivity.						en 22 March 2022 @ Synual40 User 🗸 🂢
Dashboard Settlement	Instructions	Funds	Relationships	Market Data		Reports
REPORTS						
SYNAPSE REPORTS						
≡ Daily Audit Trails				_	2021-00	+ EXPORT TO CSV
E Statement of Holdings	SUBSCRIBE TO STA Please provide the following information: Subscription Start Date:	TEMENT OF HOLDING REPORT:				V FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTIONS PARTICIPANT NAME * " CP09999_SymapseAM: 12208786489829491c148884949922a030	2021 06:05				STATU	NEW SUBSCRIPTION  Edit Unsubscribe
REPORT TEMPLATES	O AN 300013			Cancel SUBMIT		

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".

HKEX Synaps	ie Carl	🖹 14 June 2022 ③ synuat003 synuat003 🗸 🂢			
Dashboard Se	ttlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV
$\equiv$ Statement of Holdings					₹ FILTER & EXPORT
STATEMENT OF HOLDING RE		DNS			+ NEW SUBSCRIPTION
		SPSA ACCOUNT 4 7		STATUS A	
SynComp501	300013	80000001	2021-06-05	Pending Approval × Re	eject 🗸 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.

HKEX Synapse he Power of Connectivity.				🗎 15 June 2022 🕲 synuat003 synuat003 🗸 🍃			
Dashboard S	Settlement Instructions	Funds	Relationships	Market Data	Reports		
PORTS							
SYNAPSE REPORTS							
≡ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV		
$\equiv$ Statement of Holdings					₹ FILTER & EXPORT		
STATEMENT OF HOLDING I	REPORT SUBSCRIPTION	s			NEW SUBSCRIPTION		
PARTICIPANT NAME		SP SA ACCOUNT A	SUBSCRIPTION DATE	STATUS 🗠			
SynComp501	300013	80000001	2021-06-05	Edit	Unsubscribe		

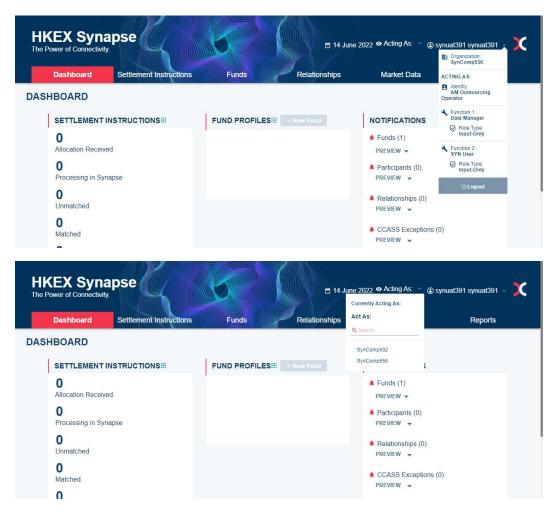
b. If Buy Side Data Manager Input Authorise User clicks "Reject", then the subscription process will be ended.

### 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.



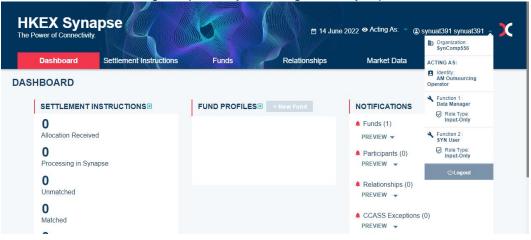
AMOO can proceed with the above process to subscribe to Statement of Holding report.

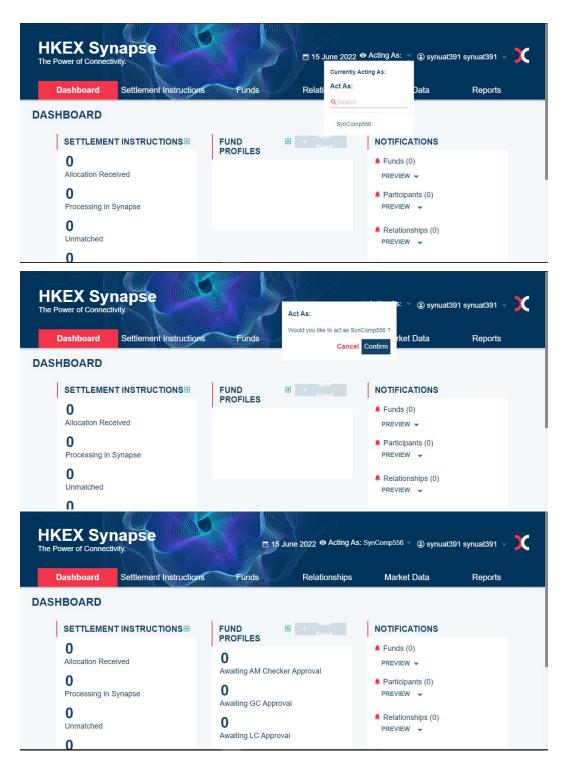
## AMOO Acting as AMOO

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.





- 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.

				2				
HKEX Synapse						15 June 2022 👁 🗛	ting As: SynComp556 ~	🐵 synuat391 synuat391 🗸 🚶
The Power of Connectivity.								
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REFORTS								
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≡ Daily Audit Trails							2021-06-05	
								▼ FILTER & EXPORT
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REPORT TEMPLATES								
84								
HKEX Synapse								🐵 synuat391 synuat391 🗸 🚶
	It Instructions	Fun	ds					
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REPORTS	Please provide the following information:							
SYNAPSE REPORTS	Subscription Start Date:							
E Daily Audit Trails	2021-06-05						2021-06-05	🗎 🔶 EXPORT TO CSV
								FILTER & EXPORT
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REPORTS	SUBSCRIBE TO STAT	TEMENT	OF HOLDING REPO	DRT:				
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SYNAPSE REPORTS	2021-06-05							
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Statement of Holdings	Select identity:		Asset Manager					FILTER & EXPORT
			SynComp502					
STATEMENT OF HOLDING REPORT SUBSCRIPTIONS	Investor IDs:							+ NEW SUBSCRIPTION
PARTICIPANT NAME 4 *	Enter or Select All that Apply:							STATUS &
	O All () Between O Specific Inves	ator ida						
	From : 300000 To :							
	To : 700000							
					Cancel	SUBMIT		
		_						
REPORT TEMPLATES								

- 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.

HKEX Synapse The Power of Connectivity.											
Dashboard Set	ttlement Instructions	Funds	Relationships	Market Data	Reports						
EPORTS											
SYNAPSE REPORTS											
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$\equiv$ Statement of Holdings					₹ FILTER & EXPORT						
		NS SPSA ACCOUNT △ ₹	SUBSCRIPTION DATE	STATUS &	+ NEW SUBSCRIPTION						
SynComp501	300013	80000001	2021-06-05		eject 🗸 Approve						

## 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

HKEX Synap	se			🗎 25 August 2022 🕃 sy	rnuat011 synuat011 🗸 💢
Dashboard S	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
$\equiv$ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV
<b>≡</b> Statement of Holdings					₹ FILTER & EXPORT
				_	
STATEMENT OF HOLDING F	REPORT SUBSCRIPTIONS	3			+ NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT A 7	SUBSCRIPTION DATE	STATUS A	
SynComp502	300013	8000001	2021-06-05	Edit	Unsubscribe

2. 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 Synaps	se	🗄 25 August 2022 ④ synuat011 synuat011 🗸					
Dashboard S	ettlement Instruction	s Funds	Relationships	Market Data	Reports		
EPORTS							
SYNAPSE REPORTS							
≡ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV		
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STATEMENT OF HOLDING R		ONS		+			
		SPSA ACCOUNT A 7		STATUS 🗠			
SynComp502	300013	80000001	2021-06-05	Pending Approval (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.											
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports						
REPORTS											
SYNAPSE REPORTS											
$\equiv$ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV						
≡ Statement of Holding	]S				<b>▼ FILTER &amp; EXPORT</b>						
	DING REPORT SUBSCRIPTIONS				+ NEW SUBSCRIPTION						
SynComp501	IE <sup>▲</sup> ♥ INVESTOR ID <sup>▲</sup> ♥ SPSA A 300013, 300008, 600002 800000	CCOUNT <sup>A</sup> 7 01, BO1451, 8000000	SUBSCRIPTION DATE A 7 2 2021-06-05	STATUS A Pending Approval (Unsubscribe)	× Reject V 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.

Dashboard	Settlement Instructions	Funds	Relationships Market Data	Reports
PORTS				
NAPSE REPORTS				
Daily Audit Trails				201060 EXPORT TO CSV
Statement of Holdings				• FILTER & EXPORT
ATEMENT OF HOLDING REPORT SUBSCRII	PTIONS			+ NEW SUBSCRIPTION
PARTICIPANT NAME **	INVESTOR ID **	SPSA ACCOUNT **	SUBSCRIPTION DATE **	STATUS +
PORT TEMPLATES				

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).

HKEX Synapse The Power of Connectivity.				😁 26 August 2022 @ synuat001 synuat001 🗸						
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports					
REPORTS										
SYNAPSE REPORTS										
■ Daily Audit Trails				2021-08-05	EXPORT TO CSV					
E Statement of Holdings					<b>₹ FILTER &amp; EXPORT</b>					
STATEMENT OF HOLDING REPORT	T SUBSCRIPTIONS				+ NEW SUBSCRIPTION					
PARTICIPANT NAME	INVESTOR ID 4 T	SPSA ACCOUNT A T	SUBSCRIPTION DATE A T	STATUS △						
SynComp501	300013, 600002	80000001, 80000002	2021-06-05	Ear	Unsubscribe					
REPORT TEMPLATES										

2. The Buy Side Data Manager Input Only User clicks "Submit".

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	Settlement Instructions Funds Relationships	Market Data Reports
REPORTS	SUBSCRIBE TO STATEMENT OF HOLDING REPORT:	
SYNAPSE REPORTS	Plane provide the full half performance: Subscription Start Date:	2021-05-05 C + EXPORT TO CSV FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUB PARTICIPANT NAME * * SynComp501	NV 0 AR 20013 × 00002 ×	+ NEW SUBSCRIPTION
REPORT TEMPLATES		
HKEX Synapse The Power of Connectivity. Dashboard	Settlement Instructions Funds Relationships	🖻 26 August 2022 @ synual001 synual001 ~ 🗙
	SUBSCRIBE TO STATEMENT OF HOLDING REPORT: Prese provide for Manage Internation: Subscription Start Date: 2010 06 05	
The Power of Connectivity. Dashboard REPORTS SYNAPSE REPORTS EDaly Audit Traits	SUBSCRIBE TO STATEMENT OF HOLDING REPORT: Prese provide for Manage Internation: Subscription Start Date: Present Of Dis: Enter or sine and and had page: SCRIPTING 0 4 2000	Market Data Reports

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)".

HKEX Synapse The Power of Connectivity.				🗎 26 August 2	1022 @ synuat001 synuat001 🗸 💢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				2021-08-05	
					▼ FILTER & EXPORT
STATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID A 7	SPSA ACCOUNT A T	SUBSCRIPTION DATE	STATU S 🗠	
SynComp501	300013	80000001	2021-06-05	Pending Approval (Amend)	Unsubscribe
REPORT TEMPLATES					

## 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 (Amend)".

HKEX Synapse				🖻 26 Augus	t 2022 @ synuat003 synuat003 🗸 🚶
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				2021-05-05	EXPORT TO CSV
					♥ FILTER & EXPORT
STATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT A T	SUBSCRIPTION DATE	STATUS &	
SynComp501	300013	80000001	2021-06-05	Pending Approval (Amend) × F	teject / Approve
REPORT TEMPLATES					

- 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.

IKEX Synaps				🖂 15 June 2022 🕃	synuat013 synuat013 v
Dashboard Se	ttlement Instructions	Funds	Relationships	Market Data	Reports
PORTS					
YNAPSE REPORTS					
≡ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV
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TATEMENT OF HOLDING R		DNS			+ NEW SUBSCRIPTION
		SPSA ACCOUNT A 7		STATUS 🗠	
	INVESTOR ID				

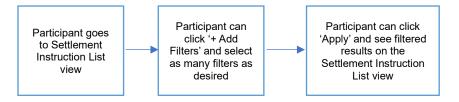
b. If Buy Side Data Manager Input Authorise User clicks "Reject", then the amendment process will be ended.

# **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.

HKEX The Power of C	Synaps	e				V							0	3	■ 17 A	wii 2023 (	3) symuat001 sy	nusi001 - 💢
	Dashboard		Se	ttlement ir	nstructions			Fund			Relationships	M	arket Data				Reports	
Settlement In	structions																	
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SI	552795	CNE1000030.59	279,600	CNY			4,865,9	77.07	DEU	DVP	542796	DTCCSELLXXX	2796912176691269	~	1	~	Setted	DETAILS >
51	882231	CNE100003059	29,622	CNY			4,065,5	77.07	DELL	DVP	542231		2119994155771021	*	4	-	Cancelled	DETAILS
SI	882231	CNE100003059	29,621	CNY			4,065,9	77 07	DEU	DVP	542231		2119994155771021	1	1	-	Cancelled	DETAILS >
51	882231	CNE1000030.59	29.623	CNY			4,065,5	77 07	DELI	OVP	542231		2119934155771021	~	~	-	Cancelled	DETAILS +
SI	882231	CNE10003059	29.624	CNY			4,065,0	77.07	DEU	DVP	542231		2119994155771021	~	~	100	Canoalled	DETAILS >
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STI	682231	CNE100003059	29.627	CNY			4,065,9	77.07	DEU	DVP	542231	DTCCSELLXXX	2962094155771521	~	4	4	Cancelled	DETAILS >
STI	882231	CNE1020030.59	29.627	CNY			4,065,9	77.07	DEU	DVP	542231	DTCCSELLXXX	2962094155771021	4	~	4	Cancelled	DETAILS >
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SI	882231	CNE100003059	2.231	CNY			4,065,9	77.07	DEU	DVP	542231	DTOCSELLOOX	2231994155771021	1	1	1	Setted	DETAILS >
STI	882226	CNE1000030.59	2,225	CNY			4,065,5	77.07	DEU	OVP	542228	DTOCSELLOOX	2226000044076592	~	~	1	Settled	DETAILS >
STI	552227	CNE1000030.59	2,227	CNY			4,065,9	77.07	DEU	DVP	542227	DTCCSELLOOK	2227000044076592	4	4	× .	Sotted	DETAILS >
STI	882245	CNE1000030.59	22,451	CNY			4,065,9	77.07	DEU	DVP	542245	DTCCSELLXXX	2245200044076892	~	4	~	Settled	OCTAILS >
STI	682245	CNE1000030.59	22,453	CHY			4,065,9	77.07	DEU	DVP	542245	DTCCSELLXXX	2245400044076892	1	4	4	Settled	OCTAILS >
\$1	222763	CNE100003059	92,290	CNY			4,065.9	77.07	DEU	DVP	522763	DTCCSELLXXX	2763494155771021	4	-	-		DETAILS >
STI	882245	CNE100000059	22,450	CNY			4,065,5	77.07	DEU	DVP	542245	DTCCSELLXXX	2245000044076592	1	1	1	Setted	DETAILS >
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LTER RESUL	(19 Rows)						Operators:								
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8	882231	CNE100003059	29,622	CNY	4,065,977.07	DELI							Clear APPLY		
1	882231	CNE100003053	29,621	ONY	4,065,977.07	DELI									
	882231	CNE1000030.59	29,623	ONY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAIL	
	882231	CNE100003050	29,624	ONY	4,065,977.07	DEU	OVP	542231		2119994155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAIL	
	882231	CNE100003059	29,626	ONY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	1	1	<ul> <li>Settled</li> </ul>	DETAIL	
1	882231	CNE1000030.59	29,627	ONY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAIL	
1	882231	CNE1000030.59	29,627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2952094155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAIL	
n	882231	CNE100003059	22,312	ONY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	~	<ul> <li>Settled</li> </ul>	DETAIL	
	882231	CNE1000030.59	29,625	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	~	<ul> <li>Unmatched</li> </ul>	DETAIL	
	882231	CNE100003059	2,231	ONY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	<ul> <li>Settled</li> </ul>	DETAIL	
		CNE100003059	2,226	CNY	4,065,977.07	DELI	DVP	542226	DTCCSELLXXX	2226000044076692	~	~	<ul> <li>Settled</li> </ul>	DETAIL	
	882228	CNE1000030 S9	2,227	CNY	4.065,977.07	DELI	DVP	542227	DTCCSELLXXX	2227000044076692	~	~	<ul> <li>Settled</li> </ul>	DETAIL	
n	552227		22.451	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245200044076692	~	~	<ul> <li>Settled</li> </ul>	DETAIL	
1		CNE100003059					DVP	542245	DTCCSELLXXX	2245400044076692	1	~	<ul> <li>Settled</li> </ul>	DETAILS	
n n	552227	CNE1000030.59 CNE1000030.59	22,453	CNY	4,065,977.07	DELI								DETAIL	
n n n	552227 882245			CNY CNY	4,065,977.07 4,065,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-		
81 671 671 671 671 8	552227 882245 882245	CNE100003059	22,453						DTCCSELLXXX	2763484155771021 2245000044076692	2 2	-	- ✓ Settled	DETAILS	
81 51 511 511 511 511 511 511 511 511	552227 882245 882245 222763	CNE1000030.59 CNE1000030.59	22,453 92,200	CNY	4,065,977.07	DELI	DVP	522763						DETAIL	

- 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

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	Dashboard		Se	ttlement Instruc	tions	Funds			Relationships	M	arket Dala				Reports	
ettlement Ins	tructions							and the second second	Soccost Control States							
ETTLEME	NTINSTRU	CTIONS		1	1 0	11 6								Cancel	Reve Report as Tangle	is Experi Report
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FILTERS APPL	IED :													0.0	lear All Filters	+ ADD FILTER
LTER RESULT:	6 (40 Dama)							+ Filter on PAYMENT	MODE -							Close
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INS TYPE 4 T	FUND ID 4 * 552796	ISIN	QUANTITY * * 279,600	SETTLEMENT C	CURRENCY - T	SETTLEMENT AMOUNT 4 7 4.065.977.07	TYPE * *	OVP O RDP	O FOP							
1	882231	CNE100003059	29.622	CNY		4.065.977.07	DEU							Clear	APPLY	
31	882231	CNE100003059	29,022	CNY		4,005,977.07	DELI							Critar		
я	882231 882231	CNE100003059 CNE100003059	29,621 29,623	CNY CNY		4.005.977.07	DELI DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS
51 51	862231 862231 862231	CNE100003039 CNE100003039 CNE100003039	29,621 29,623 29,624	CNY CNY CNY		4.065.977.07 4.065.977.07	DELI DELI DELI	DVP	542231		2119994155771021	5	¥ 4	-	Cancelled Cancelled	DETAILS >
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51 51 51 511 511 511	882231 882231 882231 882231 882231 882231 882231 882231	CNE190003059 CNE190003059 CNE190003059 CNE190003059 CNE190003059 CNE190003059 CNE190003059	29,621 29,623 29,624 29,626 29,627 29,627 29,627 22,312	CNY CNY CNY CNY CNY CNY CNY		4.065,977.07 4.065,977.07 4.065,977.07 4.065,977.07 4.065,977.07 4.065,977.07	DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2119994155771021 2962994155771021 2962094155771021 2962094155771021 2962094155771021 2231094155771021		* * *		Cancelled Cancelled Settled Cancelled Cancelled Settled	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >
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51 51 51 51 51 51 51 51 51 51 51 51 51 5	882231 882231 882231 882231 882231 882231 882231 882231 882231 882231	CNE10003339 CNE10003339 CNE10003339 CNE10003339 CNE10003339 CNE10003339 CNE10003359 CNE10003359 CNE10003359 CNE10003359	29, 621 29, 623 29, 624 29, 626 29, 627 22, 312 22, 312 29, 625 2, 231	CNY CNY CNY CNY CNY CNY CNY CNY		4,060,977,07 4,060,977,07 4,060,977,07 4,060,977,07 4,060,977,07 4,060,977,07 4,060,977,07 4,060,977,07	DELI DELI DELI DELI DELI DELI DELI DELI	טעי טעי טעי טעי טעי טעי טעי	542231 542231 542231 542231 542231 542231 542231	DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX	2119994155771021 2962904155771021 2962094155771021 2962094155771021 2231094155771021 2119994155771021 2231094155771021		* * * * *		Cancelled Cancelled Settled Cancelled Cancelled Settled Unmatched Settled	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >
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51 51 51 51 51 51 51 51 51 51 51 51	002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002223 002225 002227 00226	CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039 CNE10002039	29,621 29,623 29,624 29,624 29,627 29,627 29,627 22,312 29,625 2,231 2,226 2,227 2,226			4.005.977.07 4.005.977.07 4.005.977.07 4.005.977.07 4.005.977.07 4.005.977.07 4.005.977.07 4.005.977.07 4.005.977.07 4.005.977.07 4.005.977.07	DEU DEU DEU DEU DEU DEU DEU DEU DEU DEU	קורם קורם קורם קורם קורם קורם קורם קורם	54221 54221 54221 54221 54221 54221 54221 54221 54221 54227 54227 54245	DTCCSELLOX DTCCSELLOX DTCCSELLOX DTCCSELLOX DTCCSELLOX DTCCSELLOX	2119994153771021 2962094153771021 2962094153771021 2962094153771021 2210094153771021 221094153771021 221094153771021 222100044676592 2227000044076592		* * * * *		Cancelled Cancelled Settied Cancelled Cancelled Settied Unmatched Settied Settied Settied Settied Settied	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >
51 51 51 51 51 51 51 51 51 51 51 51 51 5	062231 062231 062231 062231 062231 062231 062231 062231 062231 062231 062231 062231 062235 062245	CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029	29.021 29.023 29.026 29.026 29.027 29.027 29.027 29.027 29.025 2.231 2.226 2.221 2.226 2.225 2.2451 22.453			4 005 977 07 4 005 977 07	DEU DEU DEU DEU DEU DEU DEU DEU DEU DEU	41/0 41/0 91/0 91/0 91/0 91/0 91/0 91/0 91/0 9	54221 54221 54221 54221 54221 54221 54221 54221 54228 54228 54227 54228 54225	DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX	2115994153771021 2962094153771921 2962094153771921 2962094153771921 221094155771921 221094155771921 222500044075171921 2225000044076592 2227000044076592 2245000044076592		* * * * * *		Canceled Canceled Setted Canceled Canceled Setted Unrealched Setted Setted Setted Setted Setted	DETAILS > DETAILS >
50 50 51 51 51 51 51 51 51 51 51 51 51 51 51	002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002231 002226 002245 002245 002245	CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029 CNE19002029	29,021 29,023 29,026 29,026 29,027 29,027 22,312 22,312 22,312 22,025 2,227 2,226 2,227 2,2451 22,245 22,245			4 045 977 07 4 045 977 07	DEU DEU DEU DEU DEU DEU DEU DEU DEU DEU	4//0 4//0 4//0 4//0 4//0 4//0 4//0 4//0	54221 54221 54221 54221 54221 54221 54221 54221 54221 54225 54245 54245 54245 54245	DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX DTCOSELLOX	2119994153771021 2962094153771021 2962094153771021 2952094153771021 2952094153771021 2231094155771021 2231094155771021 222500044076802 227500044076802 2245500044076802 2245500044076802		* * * * * * * * *	1 5 5 5 1 5 5 5 1 1	Canceled Canceled Setted Canceled Canceled Setted Unreakthed Setted Setted Setted Setted Setted Setted	DETAILS > DETAILS >
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b. Date filter wherein specific date(s) can be selected, e.g. today, range, or the last (n) calendar days (April 4, 1900)

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	Dashboard		Set	tlement Instr	uctions			Fund	ls		Relati	onships		Ma	arket Data				Reports	
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51 51	552796 882231	CNE100003059 CNE100003059	279,600 29.622	CNY			4,065,97		DELI											
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a .	882231	CNE1000030.59	29,624	ONY			4,065,97	7.07	DEU	OVP	5	42231			2119994155771021	~	~	-	Cancelled	DETAILS
1	882231	CNE1000030.53	29,626	ONY			4,065,97	7.07	DELI	OVP	5	42231	DTG	COSELLXXX	2962994155771021	1	~	~	Settled	DETAILS
m	882231	CNE1000030.59	29,627	ONY			4,065,97	7.07	DEU	OVP	5	42231	DT	COSELLXXX	2952094155771021	1	1	1	Cancelled	DETAILS
n	882231	CNE1000030.59	29,627	ONY			4,065,97	7.07	DELI	OVP	5	42231	DTO	COSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS
m	882231	CNE100003039	22,312	CNY			4,065,97	7.07	DELI	DVP	5	42231	DT	COSELLXXX	2231094155771021	~	~	~	Settled	DETAILS
	882231	CNE1000030.59	29,625	CNY			4,065,97	7.07	DELI	OVP		42231			2119994155771021	~	~	-	Unmatched	DETAILS
9	882231	CNE1000030.59	2,231	CNY			4,065,97		DELI	DVP		42231		COSELLXXX	2231994155771021	~	~	~	Settled	DETAILS
m	882228	CNE100003059	2,226	CNY			4,065,97		DELI	DVP		42226		COSELLXXX	2226000044076692	~		~	Settled	DETAILS
m	552227	CNE1000030.59	2,227	CNY			4,065,97		DELI	DVP		42227		COSELLXXX	2227000044076692	× .	~	~	Settled	DETAILS
m	882245	CNE100003059	22,451	CNY			4,065,97		DELI	DVP		42245		COSELLXXX	2245200044076692	~	~	~	Settled	DETAILS
п	882245	CNE100003059	22,453	CNY			4,065,97		DELI	DVP		42245		COSELLXXX	2245400044076592	~	~	~	Settled	DETAILS
	222763	CNE100003059	92,200	CNY			4,065,97		DELI	DVP		22763		COSELLXXX	2763494155771021	1	-	-		DETAILS
m	882245	CNE100003059	22,450	CNY			4,065,97		DELI	DVP		42245		COSELLXXX	2245000044076692	~	~	~	Settled	DETAILS
m	882245 882245	CNE100003052	22,452	CNY			4,065,97		DELI	OVP		42245		COSELLXXX	2245300044076592	1	~	~	Settled	DETAILS
m		CNE100003059	22.455	CNY			4.065.97		DELL	DVP		47245		COSELLXXX	2245500044076692				Settled	DETAILS

When the user selects "Today"

# When the user selects "Range", please note the from date and to date are exclusive

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8	682231	CNE100003059	29.622	CNY		4.065.977.07	DEU	FROM		то 🛛						
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FTI .	882228	CNE1000030.59	2,228	CNY		4,065,977.07	DEU	DVP	542226	DTCCSELLXXX	2226000044076692	~	~			OCTAILS
п	552227	CNE100003059	2,227	CNY		4,065,977.07	DELI	DVP	542227	DTCCSELLXXX	2227606044876692	~	~			DETAILS
п	882245	CNE100003059	22,451	CNY		4,095,977.07	DEU	DVP	542245	DTCCSELLXXX	2245206044076692	~	~			DETAILS
n	882245	CNE100003059	22,453	CNY		4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245400044076692	~	~			DETAILS
	222763	CNE100003059	92,200	CNV		4,065,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-		DETAILS
TI	882245	CNE100003059	22,450	CNY		4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245000044076692	~	~			DETAILS
m	882245	CNE100003059	22,452	CNY		4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245300044076692	~	~			DETAILS
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# When the user selects "Last (n) calendar days"

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571	882231	CNE100003059	29,627	CNY		4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	~ 1	Cancelled	DETAILS
m	682231	CNE100003059	22,312	CNY		4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	× .	1		Settled	DETAILS
a -	882231	CNE100003059	29,625	CNY		4,085,977.07	DEU	DVP	542231		2119994155771021	~			Urmatched	DETAILS
31	882231	CNE100003059	2,231	CNY		4,085,977.07	DEU	DVP	542231	DTCCSELLXXX	2231994155771021	~	~		Settled	DETAILS
3TI	882226	CNE100003059	2,226	CNY		4,065,977.07	DELI	DVP	542228	DTCCSELLXXX	2226001044978692	~			Settled	DETAILS
5TI	552227	CNE100003059	2,227	CNY		4,065,977.07	DEU	DVP	542227	DTCCSELLXXX	2227001044976692	1	~		Settled	DETAILS
571	882245	CNE100003059	22,451	CNY		4,065,977.07	DELI	DVP	542245	DTGCSELLXXX	2245201044976692	~	~		Settled	DETAILS
171	882245	CNE100003059	22,453	CNY		4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245401044976692	1	1		Settled	DETAILS
51	222763	CNE100003059	92,200	CNY		4,065,977.07	DEU	DVP	522763	DTCCSELLXXX	2763494155771021	· ·	-	-		DETAILS
STI	882245	CNE100003059	22,450	CNY		4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245001044976692	1	~		Settled	DETAILS
			22.452	CNY		4.085.977.07	DELI	DVP	542245	DTCCSELLXXX	2245301044976692				Settled	DETAILS
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c. String filter wherein the participant can enter a string of text on which to filter, e.g. Fund Umbrella name

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	882231	CNE100003059	29.621	CNV	4.065.977.07	DELL	Enter							
1	882231	CNE1000030.59	29.623	CNY	4.065.977.07	DEU							Clear APPLY	
	882231	CNE1000030.59	29.624	CNV	4.065.977.07	DEU		010001		\$11000Theat11051			VIIIO	NC INITS
	882231	CNE10003059	29.626	CNV	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	1	1	✓ Settled	OCTAILS
n	882231	CNE100033359	29,627	CNY	4,065,977.07	DEU	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancelled</li> </ul>	OCTAILS
1	882231	CNE10003059	29,627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAILS
1	882231	CNE1000030.59	22,312	CNY	4,005,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	~	<ul> <li>Setted</li> </ul>	DETAILS
	882231	CNE100003059	29,625	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	~	- Unmatche	d DETAILS
	882231	CNE100003059	2,231	CNV	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	<ul> <li>Setted</li> </ul>	DETAILS
n	882225	CNE100003059	2,225	CNV	4,065,977.07	DELI	DVP	542225	DTCCSELLXXX	2226000044076692	1	1	✓ Setted	DETAILS
п	552227	CNE100003059	2,227	CNV	4,065,977.07	DEU	DVP	542227	DTCCSELLXXX	2227000044076692	~	~	<ul> <li>Setted</li> </ul>	DETAILS
TI	882245	CNE100003059	22,451	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245200044076692	~	~	<ul> <li>Setted</li> </ul>	DETAILS
n	882245	CNE1010130.59	22,453	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245400044078692	~	~	<ul> <li>Setted</li> </ul>	DETAILS
	222763	CNE10003059	92,200	CNY	4,065,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-	DETAILS
n	882245	CNE100003059	22,450	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245000044078692	~	~	<ul> <li>Setted</li> </ul>	OCTAILS
	882245	CNE100003059	22.452	CNY	4.065.977.07	DEU	DVP	542245	DTCCSELLXXX	2245300044078092	~	~	<ul> <li>Settled</li> </ul>	DETAILS
an En	882245		22.455	CNY	4.065.977.07	DELL	DVP	542245	DTCCSELLXXX	2245500044076692				

d. Numerical filter wherein the participant can enter an integer on which to filter, e.g. Settlement Amount

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- 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 Settlement Instruction List view will show the filtered results.

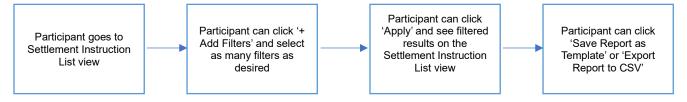
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Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
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INS TYPE ** FUND ID ** ISIN ** SI 222763 <u>CNE10003039</u>	QUANTITY ** SETTLEMENT CURRENCY ** 92,200 CNY	SETTLEMENT AMOUNT - *         TYPE - *         PAYM           4,005,977.07         DELI         DVP           Previous < >         >	522763 D	P BIC ** TRADE ID ** TCCSELLXXX 2763494155771021	GC+T LC+T CP+T STATUS+T

# **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.

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51															

- 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.

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	Dashboard	d	Settlen	nent Instruction	าร		Funds			Relation	nships	Marke	t Data			Repor	rts	
ttlement I	Instructions	5																
	ETTLEME			<b>4</b> Processing	2 Unmatched	0 Matched	·	0 Cancelle	ıd					Cancel	Same I	Report as Tem	wlate Expo	irt Report to
ILTERS AF	PLIED : XII	NS TYP : SI ×	Quantity : (Eq	-											Clear	All Filters	+ ADD	FILTERS
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 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

	Dashboard					Func	is		Relations	hips		Market Data				Reports	
ettleme	nt Instructions																
	SETTLEMENT		4	2	0	0	0							Cancel	Save files	ort as Template	xport Report to 1
			Processin	g Unmatcl	hed Match	ed Settle	d Cancelle	d									
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	SULTS (4 Rows)		Confirm	ing will save t	this filtered lis	t as a report	template, whi	h will be viewa	ole in the Reports	tab.							
LIERRE	SUL15 (4 KOWS)		Filters	Applied													
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31 31	552509 <u>CNE100003059</u> 552509 <u>CNE100003059</u>			ity :(Equals) 9	92,200								79132021		y - y -		
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SI	882561 CNE100003059		SI Instr	uction Type w	m 92200 Qu	antity						10000000					DETAILS
											Cancel SAV						

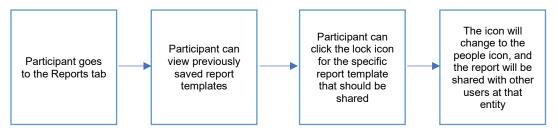
b. Once the report template is successfully saved, the report template record is shown under the 'Report Templates' section under 'Reports' tab with a lock icon by default. The lock icon indicates that the report template has not yet been shared to anyone.

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Dashboard	Settlement Instructions	Funds	Relationships	Market Data		Reports
REPORTS						
SYNAPSE REPORTS						
≡ Daily Audit Trails					2021-06-05	T EXPORT TO CSV
≡ Statement of Holdings						<b>∓ FILTER &amp; EXPORT</b>
STATEMENT OF HOLDING REPORT SUBSC	RIPTIONS					+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID A T	SP SA ACCOUNT 6		SUBSCRIPTION DATE		STATUS A
REPORT TEMPLATES						
$\equiv$ SI instruction Type with 92200 Quantity				ê VIEW FI	ILTER DELETE	↑ EXPORT TO CSV

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

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Dashboard	Settlement Instructions	Funds Relation	ships Market Data	Reports
STATEMENT OF HOLDING REPOR	TSUBSCRIPTIONS			+ NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT A 7		STATUS
REPORT TEMPLATES				
	Ry		VIEW FILTER	DELETE
REPORT TEMPLATES Instruction Type with 92,200 Quanti SSTI Instruction Type	try		VIEW FILTER     VIEW FILTER	DELETE         + EXPORT TO CSV           DELETE         + EXPORT TO CSV

b. People icon – these are saved report templates created and shared with multiple people within same entity

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
NAPSE REPORTS					
Daily Audit Trails				2022-01-07	T EXPORT TO CSV
Statement of Holdings					
ATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A 7		SPSA ACCOUNT A 👻	5	SUBSCRIPTION DATE	STATUS 🗠
PORT TEMPLATES					
SSTI Instruction Type				VIEW FILTER	DELETE
SI Instruction Type with 92,200 Quantity	у			X VIEW FILTER	
STI Instruction Type				A VIEW FILTER	DELETE

- 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

Dashboard	Settlement Instructions	Funds Relativ	onships Market Data	Reports
TATEMENT OF HOLDING REP	DRT SUBSCRIPTIONS			+ NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT A 7	SUBSCRIPTION DATE	STATUS o
REPORT TEMPLATES				
SI Instruction Type with 92,200 Qu	antity		VIEW FILTER	DELETE
SSTI Instruction Type			VIEW FILTER	DELETE
STI Instruction Type			VIEW FILTER	DELETE
			_	

b. People icon – these are saved report templates created and shared with multiple people within the entity

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
YNAPSE REPORTS					
≡Daily Audit Trails				2022-01-	07 📩 🕆 EXPORT TO CSV
≡ Statement of Holdings					FILTER & EXPORT
TATEMENT OF HOLDING REPORT		SPSA ACCOUNT A			+ NEW SUBSCRIPTION
	INVECTOR ID				0.000
EPORT TEMPLATES					
SSTI Instruction Type				VIEW FILTER	DELETE
■ SI Instruction Type with 92,200 Quantity	/			A VIEW FILTER	DELETE
STI Instruction Type				& VIEW FILTER	DELETE

3. The AM participant can click 'Delete' on the row of the specific report template that should be deleted.

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
NAPSE REPORTS					
Daily Audit Trails				2022-01-07	T EXPORT TO CSV
Statement of Holdings					₹ FILTER & EXPOR
ATEMENT OF HOLDING REPOR	T SUBSCRIPTIONS				+ NEW SUBSCRIPTIO
PARTICIPANT NAME A 👻		SPSA ACCOUNT A 🔻	SUBSCRIP	TION DATE A 👻	STATUS 🛦
PORT TEMPLATES					
SSTI Instruction Type			ê	VIEW FILTER DELET	E
SI Instruction Type with 92,200 Quan	tity			VIEW FILTER DELET	E ↑ EXPORT TO CSV
STI Instruction Type				VIEW FILTER DELET	E

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Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
≡ Statement of Holdings					▼ FILTER & EXPORT
STATEMENT OF HOLDING REPO	RT SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID A 7	SPSA ACCOUNT A 🔻	SUBSCRI	PTION DATE A 🔻	STATUS a
REPORT TEMPLATES					
≡ SI Instruction Type with 92,200 Qua	intity		2	VIEW FILTER DELET	↑ EXPORT TO CSV
≡ STI Instruction Type			2	VIEW FILTER DELET	↑ 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 Support. Further details can be referred in the table below.

Error ID	Categories	Error Message	Use Case	Business rules
1	Unexpected status upon checker	No action required by your end	1.1	This error id is encountered due to: - Unexpected status Account Profile
	approval/rejection	[Category 1]		Proposal upon checker approval/rejection
			1.2	This error id is encountered due to:
				<ul> <li>Unexpected status Fund Proposal upon checker approval/rejection</li> </ul>
			1.3	This error id is encountered due to:
				- Unexpected status Fund Data Proposal
				upon checker approval/rejection
			1.4	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon LC Checker approval/rejection
			1.5	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon GC Checker approval/rejection
			1.6	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon GC Reappointment approval/rejection
			1.7	This error id is encountered due to:
			1.7	- Unexpected status Fund Profile Proposal
				upon checker approval/rejection
			1.8	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon inactivation approval/rejection
			1.9	This error id is encountered due to:
				- Rejecting Fund Profile Proposal not in
				pending approval while status is GC Maker
				Approved or GC Rejected
			1.10	This error id is encountered due to:

Error	Categories	Error Message	Use	Business rules
ID			Case	Dejecting Fund Profile Proposal not in
				<ul> <li>Rejecting Fund Profile Proposal not in pending approval while status is LC Maker</li> </ul>
				Approved or LC Rejected
			1.11	This error id is encountered due to:
			1.11	- Rejecting Fund Profile Proposal not in
				pending approval or GC Rejected
			1.12	This error id is encountered due to:
				- Unexpected status Variable Fee Proposal
				upon checker approval/rejection
			1.13	This error id is encountered due to:
				- Unexpected status SOH Subscription
				Proposal upon checker approval/rejection
			1.14	This error id is encountered due to:
				- Unexpected status Broadcast Message
				Proposal upon checker approval/rejection
2	Unexpected status	No action required	2.1	This error id is encountered due to:
	upon checker	by your end		- Unexpected status Fund Profile Proposal
	amendment	[Category 2]		upon checker amendment
			2.2	This error id is encountered due to:
				- Unexpected status Fund Proposal upon
				checker amendment
			2.3	This error id is encountered due to:
				- Unexpected status Standard Fee
				Proposal upon checker amendment
3	Not Active	No action required	3.1	This error id is encountered due to:
		by your end		- Billing Fee is not Active during
		[Category 3]		amendment
			3.2	This error id is encountered due to:
				- Fund Data is not Active during
			2.2	inactivation
			3.3	This error id is encountered due to:
				<ul> <li>Fund Data is not Active during amendment</li> </ul>
4	System busy	System busy.	4.1	This error id is encountered due to:
4	System busy	Please try again	4.1	- System busy. Participant should wait and
		later.		resubmit the request later.
5	Unexpected error	Unexpected error	5.1	This error id is encountered due to:
Ŭ	encountered	encountered.		- Unexpected backend error. Participant
		Please contact		should capture the Trace ID and contact
		support. Error		the Synapse Support Team
		reference: [Trace		
		ID].		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 HKEX Synapse Operations Team at <a href="mailto:synapse\_support@hkex.com.hk">synapse\_support@hkex.com.hk</a> 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.

# **13.2 How to access ISO Specification via Swift's MyStandards**

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.