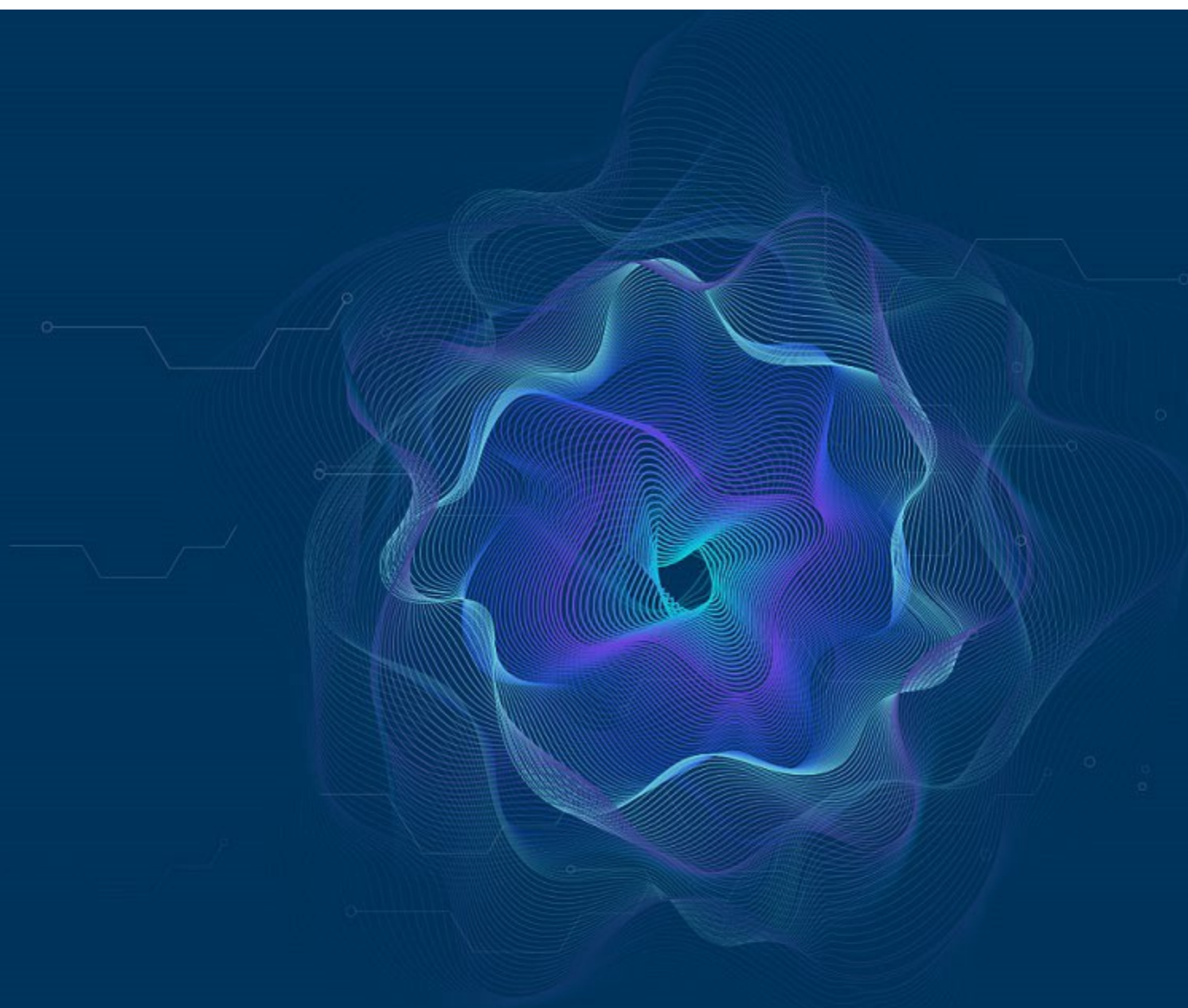


# HKEX Synapse

## User Guide



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## Versions

Publication Date	Version
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 [synapse\\_support@hkex.com.hk](mailto:synapse_support@hkex.com.hk) 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 style="list-style-type: none"><li>Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li><li>All other functions within Synapse will remain normal and available</li></ul>
7:15 AM	9:30 PM	<ul style="list-style-type: none"><li>All functions (including interface with CCASS) will be available</li></ul>
9:31 PM	12:00 Midnight	<ul style="list-style-type: none"><li>Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li><li>All other functions within Synapse will remain normal and available</li></ul>
12:01 AM	6:59 AM	<ul style="list-style-type: none"><li>Synapse will be in maintenance mode and none of its functions will be available</li></ul>

## 2.2 Severe Weather Arrangements

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

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

## 2.3 Data Retention Period in Synapse

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

### 3. Synapse Pre-requisite and Workflow

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

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

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

## 4. Getting Started

### 4.1 Login to Synapse

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CLOSE

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香港交易所

WELCOME TO HKEX CLIENT CONNECT

User Login

synust01@t

Required

Password

LOG IN

[Forgot/Reset your password?](#)

By logging into this website, you are deemed to have read and accepted the [Terms and Conditions for Client Connect](#) (last updated on 12-Mar-2019), and to confirm that the individual(s) whose personal data is disclosed in the use of this application consent to the processing of their personal data in accordance with the privacy policy statement as stated in the Terms and Conditions.

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

HKEX

香港交易所

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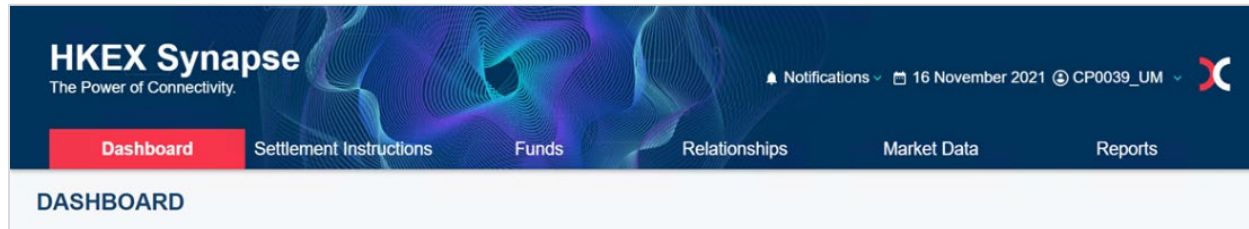
When a Synapse user logs into Synapse via HKEX Access Management Portal, the user will be directed to the Synapse Dashboard screen. The upper right-hand side of the Dashboard screen has several functions:

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

10

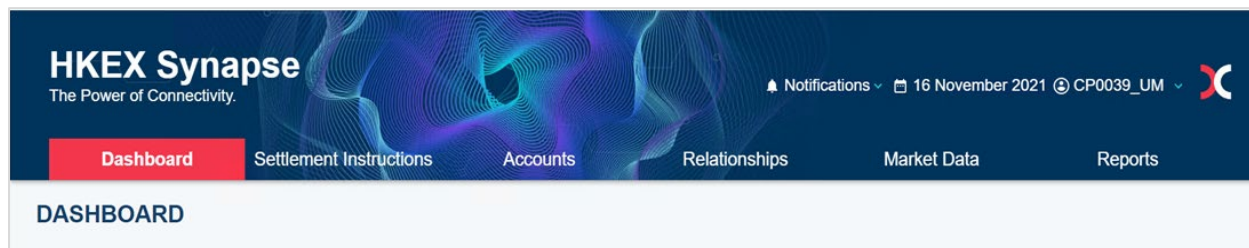
### Buy-side Dashboard:

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



### Sell-side Dashboard:

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





## 4.2 Synapse User Types and Role Types

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

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

Synapse role types are assigned in the HKEX Access Management Portal 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 Client Connect.

Role Type	Description	Available Functions
Data Manager Input Only User ('Maker')	<ul style="list-style-type: none"><li>• User can input data and play the role of "maker"</li><li>• User cannot authorize any data input</li><li>• Users cannot input data outside of their Data Manager input only user role</li></ul>	5 Funds 6 Accounts 8 Relationships 9 Market Data 10 Reports
Data Manager Input Authorise User ('Maker' or 'Checker')	<ul style="list-style-type: none"><li>• User can authorize data input by Data Manager input only user (maker)</li><li>• User plays the role of "checker" on those functions which require the Data Manager maker-checker functionality</li><li>• User can also input data as a "maker." [Note: a different Data Manager input authorize user (i.e., checker) would have to authorize their input]</li><li>• User cannot input or authorize data outside of their Data Manager input authorize user role</li></ul>	5 Funds 6 Accounts 8 Relationships 9 Market Data 10 Reports
Transaction Balance Input Only User ('Maker')	<ul style="list-style-type: none"><li>• User can input data and play the role of "maker"</li><li>• User cannot authorize any data input</li><li>• User cannot input data outside of their Transaction Balances User input only user role</li></ul>	7 Instruction Processing 8 Relationships 9 Market Data 10 Reports
Transaction Balance Input Authorise User ('Maker' or 'Checker')	<ul style="list-style-type: none"><li>• User can authorize data input by Transaction Balance input only user (maker)</li><li>• User plays the role of "checker" on those functions which require the Transaction Balance maker-checker functionality</li><li>• User can also input data as a "maker."</li></ul>	7 Instruction Processing 8 Relationships 9 Market Data 10 Reports

	<p>[Note: a different Transaction Balance input authorize user (i.e., “checker”) would have to authorize their input]</p> <ul style="list-style-type: none"> <li>User cannot input or authorize data outside of their Transaction Balance input authorize user role</li> </ul>	
Read Only User	<ul style="list-style-type: none"> <li>User can only view / access data and information to which their firm is allowed access</li> <li>User does not have ability to input or authorize changes</li> <li>Note: user can also be a company that has presented an ISO message or API call that has been restricted due to read only policy</li> </ul>	5 Funds 6 Accounts 7 Instruction Processing 8 Relationships 9 Market Data 10 Reports

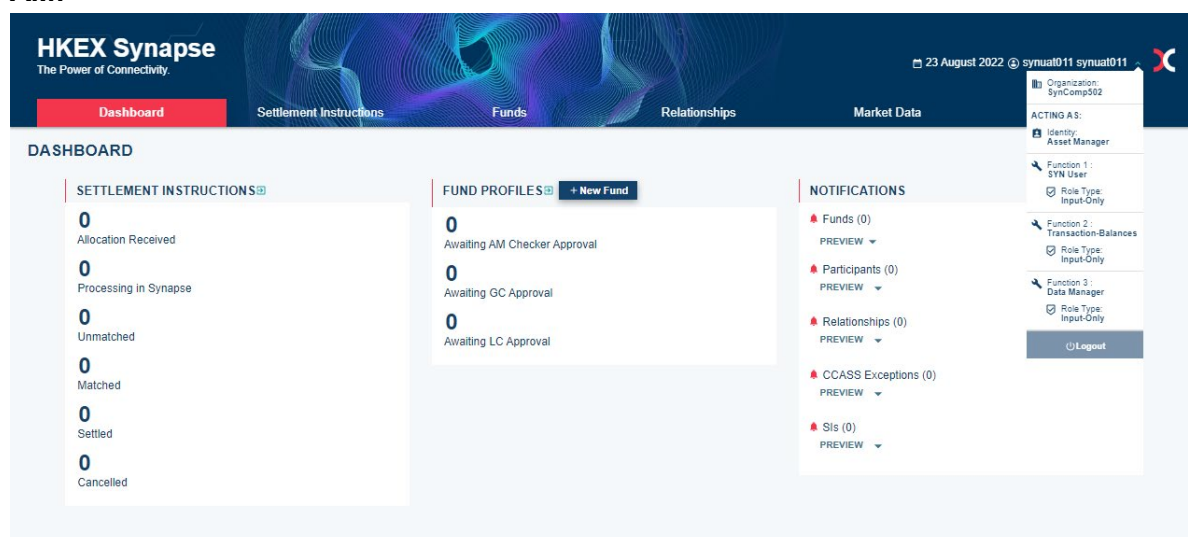
For AM, EP and CP (i.e. known as core users) who have appointed DSPs will become read-only users and will not able to perform any fund onboarding maintenance (applicable to AM) / account onboarding maintenance (applicable to EP and CP) / SI approval or rejection activities (applicable to CP). The DSP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

## 1. Buy Side

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

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

### AM:



GC:

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The Power of Connectivity.

23 August 2022 @ synuat071 synuat071

**Dashboard** Settlement Instructions Funds Relationships Market Data

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

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

**FUND PROFILES**

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

**NOTIFICATIONS**

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

**ACTING AS:**

- Identity: Global Custodian
- Function 1: Transaction-Balances Role Type: Input-Only
- Function 2: SYN User Role Type: Input-Only
- Function 3: Data Manager Role Type: Input-Only
- Logout

LC:

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The Power of Connectivity.

23 August 2022 @ synuat141 synuat141

**Dashboard** Settlement Instructions Funds Relationships Market Data

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

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

**FUND PROFILES**

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

**NOTIFICATIONS**

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

**ACTING AS:**

- Identity: Local Custodian
- Function 1: Data Manager Role Type: Input-Only
- Function 2: SYN User Role Type: Input-Only
- Function 3: Transaction-Balances Role Type: Input-Only
- Logout

## AMOO:

The screenshot shows the HKEX Synapse Dashboard for an AMO user. The top navigation bar includes 'Settlement Instructions', 'Funds', 'Relationships', and 'Market Data'. The main dashboard area is divided into three sections: 'SETTLEMENT INSTRUCTIONS', 'FUND PROFILES', and 'NOTIFICATIONS'. The 'SETTLEMENT INSTRUCTIONS' section shows counts for Allocation Received (0), Processing in Synapse (0), Unmatched (0), Matched (0), Settled (0), and Cancelled (0). The 'FUND PROFILES' section shows counts for Awaiting AM Checker Approval (1), Awaiting GC Approval (0), and Awaiting LC Approval (0). The 'NOTIFICATIONS' section shows counts for Funds (0), Participants (0), Relationships (0), CCASS Exceptions (0), and Sis (0). A user profile dropdown menu is visible on the right, showing the user's identity as 'AM Outsourcing Operator' and their role type as 'Input-Only'.

## 2. Sell Side

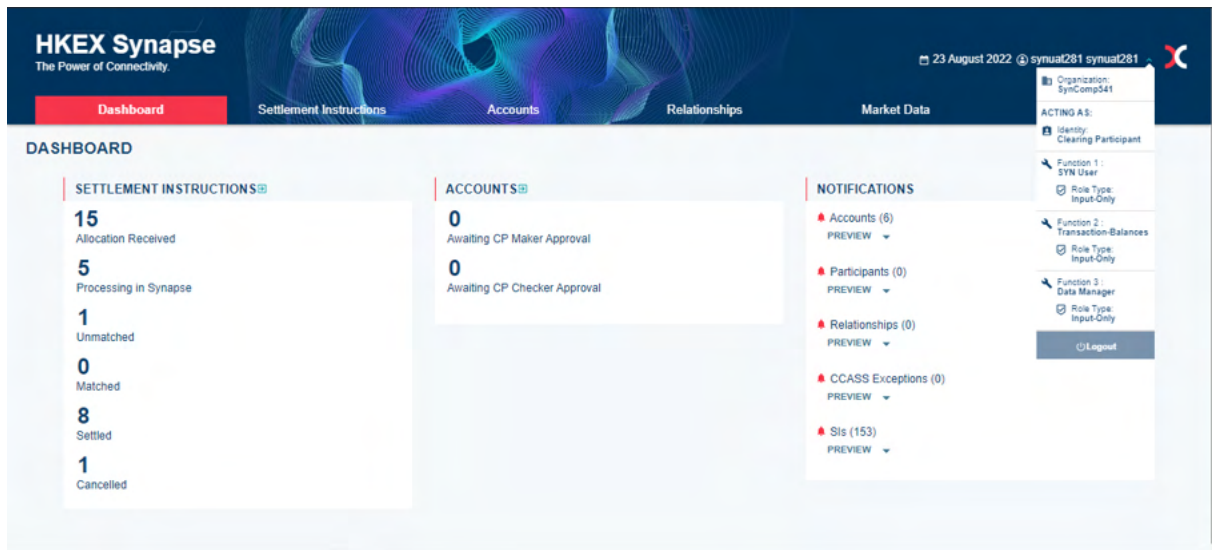
Sell Side users include EPs, CPs, EPOOs and AOs. On the Dashboard screen, sell side users can view Settlement Instructions, Accounts, and Notifications.

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

### EP:

The screenshot shows the HKEX Synapse Dashboard for an EP user. The top navigation bar includes 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. The main dashboard area is divided into three sections: 'SETTLEMENT INSTRUCTIONS', 'ACCOUNTS', and 'NOTIFICATIONS'. The 'SETTLEMENT INSTRUCTIONS' section shows counts for Allocation Received (15), Processing in Synapse (5), Unmatched (1), Matched (0), Settled (8), and Cancelled (1). The 'ACCOUNTS' section shows counts for Awaiting EP Checker Approval (0) and Awaiting CP Approval (0). The 'NOTIFICATIONS' section shows counts for Accounts (6), Participants (0), Relationships (0), CCASS Exceptions (0), and Sis (153). A user profile dropdown menu is visible on the right, showing the user's identity as 'Exchange Participant' and their role type as 'Input-Only'.

CP:



The screenshot shows the HKEX Synapse CP Dashboard. The header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '23 August 2022', the user 'synuat281 synuat281', and a red 'X' icon. The navigation bar has tabs for 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. The 'Dashboard' tab is active. The main content area is titled 'DASHBOARD' and is divided into three columns. The first column, 'SETTLEMENT INSTRUCTIONS', shows a summary of settlement instructions: 15 Allocation Received, 5 Processing in Synapse, 1 Unmatched, 0 Matched, 8 Settled, and 1 Cancelled. The second column, 'ACCOUNTS', shows a summary of accounts: 0 Awaiting CP Maker Approval and 0 Awaiting CP Checker Approval. The third column, 'NOTIFICATIONS', shows a list of notifications: Accounts (6), Participants (0), Relationships (0), CCASS Exceptions (0), and SIs (153). Each notification has a 'PREVIEW' link. On the right side, there is a user profile dropdown menu showing the user's organization 'SynComp541', their identity 'Clearing Participant', and their roles: 'Function 1: SYN User' and 'Function 2: Transaction-Balances'. A 'Logout' button is also visible.

**HKEX Synapse**  
The Power of Connectivity.

23 August 2022 | synuat281 synuat281

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

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

**ACCOUNTS**

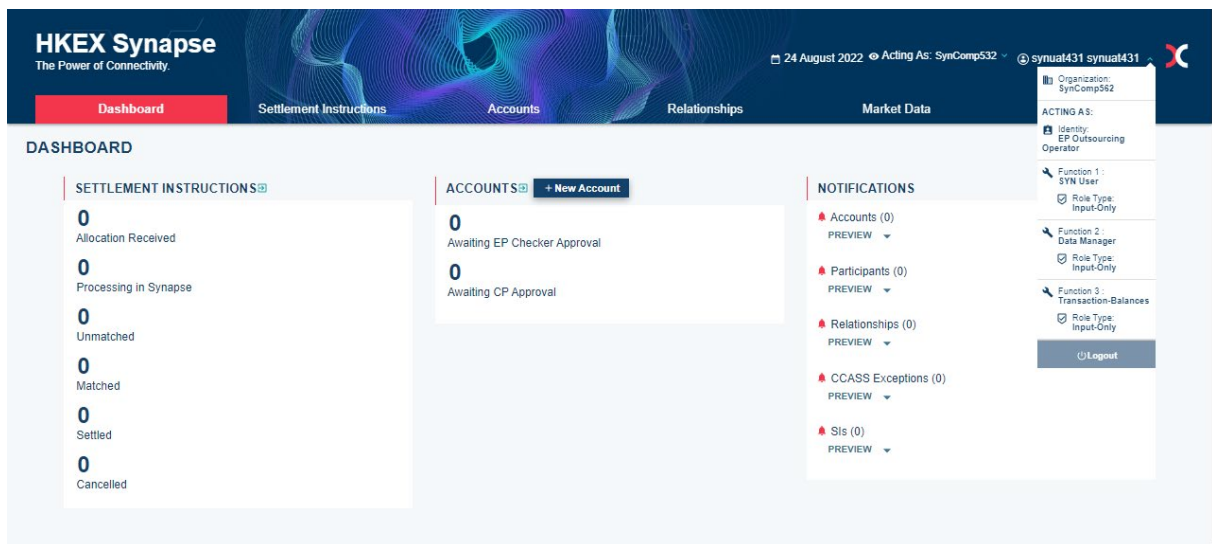
- 0 Awaiting CP Maker Approval
- 0 Awaiting CP Checker Approval

**NOTIFICATIONS**

- Accounts (6) [PREVIEW](#)
- Participants (0) [PREVIEW](#)
- Relationships (0) [PREVIEW](#)
- CCASS Exceptions (0) [PREVIEW](#)
- SIs (153) [PREVIEW](#)

Organization: SynComp541  
ACTING AS: Identity: Clearing Participant  
Function 1: SYN User  
Function 2: Transaction-Balances  
Role Type: Input-Only  
[Logout](#)

EPOO:



The screenshot shows the HKEX Synapse EPOO Dashboard. The header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '24 August 2022', the user 'Acting As: SynComp532', and the user 'synuat431 synuat431'. The navigation bar has tabs for 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. The 'Dashboard' tab is active. The main content area is titled 'DASHBOARD' and is divided into three columns. The first column, 'SETTLEMENT INSTRUCTIONS', shows a summary of settlement instructions: 0 Allocation Received, 0 Processing in Synapse, 0 Unmatched, 0 Matched, 0 Settled, and 0 Cancelled. The second column, 'ACCOUNTS', shows a summary of accounts: 0 Awaiting EP Checker Approval and 0 Awaiting CP Approval. There is a '+ New Account' button. The third column, 'NOTIFICATIONS', shows a list of notifications: Accounts (0), Participants (0), Relationships (0), CCASS Exceptions (0), and SIs (0). Each notification has a 'PREVIEW' link. On the right side, there is a user profile dropdown menu showing the user's organization 'SynComp532', their identity 'EP Outsourcing Operator', and their roles: 'Function 1: SYN User' and 'Function 2: Data Manager'. A 'Logout' button is also visible.

**HKEX Synapse**  
The Power of Connectivity.

24 August 2022 | Acting As: SynComp532 | synuat431 synuat431

**DASHBOARD**

**SETTLEMENT INSTRUCTIONS**

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

**ACCOUNTS** [+ New Account](#)

- 0 Awaiting EP Checker Approval
- 0 Awaiting CP Approval

**NOTIFICATIONS**

- Accounts (0) [PREVIEW](#)
- Participants (0) [PREVIEW](#)
- Relationships (0) [PREVIEW](#)
- CCASS Exceptions (0) [PREVIEW](#)
- SIs (0) [PREVIEW](#)

Organization: SynComp532  
ACTING AS: Identity: EP Outsourcing Operator  
Function 1: SYN User  
Function 2: Data Manager  
Role Type: Input-Only  
[Logout](#)

AO:

HKEX Synapse

The Power of Connectivity.

24 August 2022 • Acting As: SynComp542 • synuat351 synuat351

Dashboard

Settlement Instructions

Accounts

Relationships

Market Data

DASHBOARD

SETTLEMENT INSTRUCTIONS

0

Allocation Received

0

Processing in Synapse

0

Unmatched

0

Matched

0

Settled

0

Cancelled

ACCOUNTS

0

Awaiting CP Maker Approval

0

Awaiting CP Checker Approval

NOTIFICATIONS

Accounts (0)

PREVIEW

Participants (0)

PREVIEW

Relationships (0)

PREVIEW

CCASS Exceptions (0)

PREVIEW

Sis (0)

PREVIEW

Organization: SynComp551

ACTING AS:

Identity: Account Operator

Function 1: SYN User

Role Type: Input-Only

Function 2: Data Manager

Role Type: Input-Only

Function 3: Transaction-Balances

Role Type: Input-Only

Logout

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## 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.

### 1. Settlement Instructions

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

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



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

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

## 2. Fund Profiles (available to buy side users only)

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

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

### 3. Accounts (available to sell side users only)

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

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

### 4. Notifications

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

Section Sub-header	Description
Funds	(available to buy side users only) Fund notifications include: <ul style="list-style-type: none"><li>• Updated fund status and effective date<ul style="list-style-type: none"><li>➢ Fund profile inactivation and effective date</li><li>➢ LC re-appointment of a Fund and effective date</li></ul></li></ul>
Accounts	(available to sell side users only) Account notifications include: <ul style="list-style-type: none"><li>• EP updated account mapping status with CP and effective date</li><li>• Account mapping inactivation and effective date</li></ul>
Relationships	Reserved for future's use
Settlement Instructions	Settlement Instructions notifications include: <ul style="list-style-type: none"><li>• Settlement Instruction detail is updated due to Corporate Action (CA) conversion in CCASS</li><li>• Settlement Instruction is pending cancellation</li><li>• Settlement Instruction is settled in CCASS, and no cancellation can</li></ul>

	be taken
CCASS Exceptions (LC, CP, AO only)	<p>CCASS Exception notifications include:</p> <ul style="list-style-type: none"> <li>• SI system error</li> <li>• STI system error</li> <li>• Manual SI field amendment by LC / CP in CCASS. In case the LC / CP reverse the amended field to the original value the notification in Synapse will be cleaned up <ul style="list-style-type: none"> <li>➢ Manual ISIN amendment</li> <li>➢ Manual quantity amendment</li> <li>➢ Manual settlement currency amendment</li> <li>➢ Manual securities movement type amendment</li> <li>➢ Manual UTI amendment</li> <li>➢ Manual counterparty amendment</li> <li>➢ Manual client account no. amendment</li> <li>➢ Manual payment type amendment</li> </ul> </li> </ul> <p>Please note Synapse will continue to update and reflect the status of the amended SI (but will not show the updated value of the fields). Manual amendment notifications will also be created under the following scenarios that are not related to the amendment of SI fields in CCASS:</p> <ol style="list-style-type: none"> <li>1) GC's Account at LC exceed 15 characters (Limitation of CCASS for Client Account Number) during the fund onboarding process by GC in Synapse</li> <li>2) 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>3) CA conversion causing possible ISIN / quantity change of the SI</li> <li>4) FOP SI with USD / HKD as settlement currency (as CCASS will default assign CNY as the settlement currency)</li> </ol>

#### List of Notifications:

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

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

Type	No	Display Tag	When Display	Applicable User Type
	2	No Further Processing - Manual Quantity Amendment: [SI Number]	After the LC / CP amended the quantity of the unmatched / matched SI in CCASS.	LC, CP, AO
	3	No Further Processing - Manual Settlement Currency Amendment: [SI Number]	After the LC / CP amended the settlement currency of the unmatched / matched SI in CCASS.	LC, CP, AO
	4	No Further Processing - 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	No Further Processing - Manual UTI Amendment: [SI Number]	After the LC / CP amended the processing reference of the unmatched / matched SI in CCASS.	LC, CP, AO
	6	No Further Processing - Manual Counterparty Amendment: [SI Number]	After the LC / CP amended the counterparty of the unmatched / matched SI in CCASS.	LC, CP, AO
	7	No Further Processing - 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	No Further Processing - 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



Type	No	Display Tag	When Display	Applicable User Type
		"MESSAGE" : [SI Number]	<p>2037: Counterparty invalid (cannot be the same participant as the created one)</p> <p>2042: Settlement date must be before the delisted date of the stock</p> <p>2044: Stock already delisted</p> <p>2072: Settlement date must be on / after clearing admission date of stock</p> <p>2090: Stock is not eligible to CCASS (Stock not yet admit)</p> <p>3017: Counterparty not found</p> <p>3041: Stock code not found</p> <p>3063: Stock account not found</p> <p>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</p>	
	10	STI System Error "Code" + "MESSAGE" : [STI Number]	<p>When the following CCASS API error code is encountered:</p> <p>3041: Stock code not found</p> <p>3072: Transfer from A/C not found</p> <p>3073: Transfer to A/C not found</p> <p>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</p>	LC, CP, AO

## 5. Funds

### 5.1 Fund Onboarding

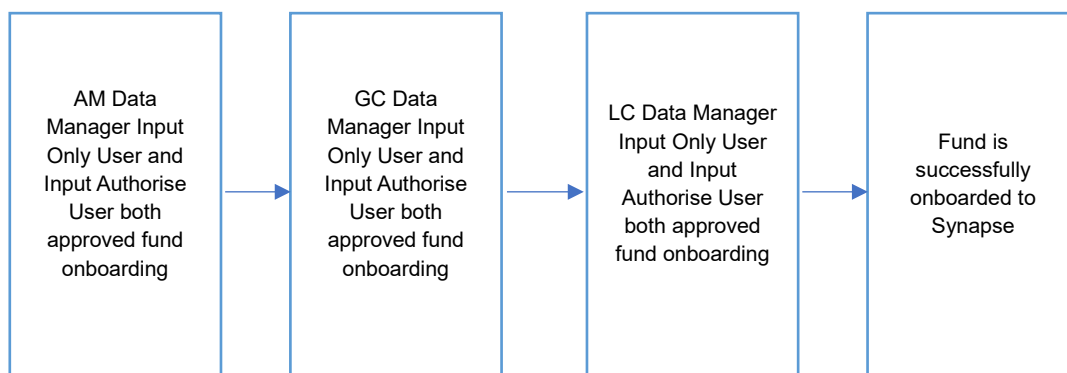
Fund Profile is required to be setup before Synapse creates the Settlement Instructions (“SIs”) or Stock Segregated Account Transfer Instruction (“STIs”) in CCASS of HKSCC. When a Fund is successfully onboarded, it will have one fund profile associated with it, and buy side users can create multiple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

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

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

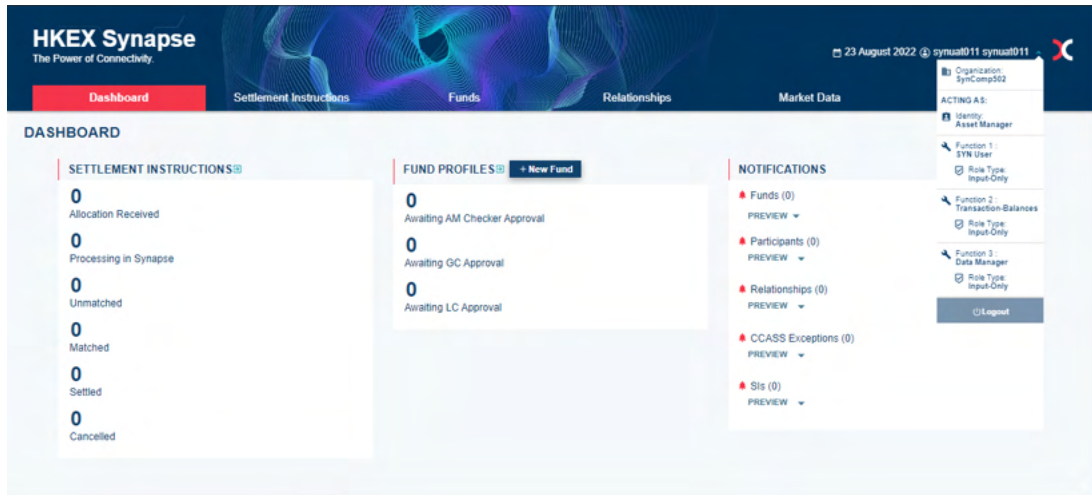
#### 1. Asset Managers (AM)

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

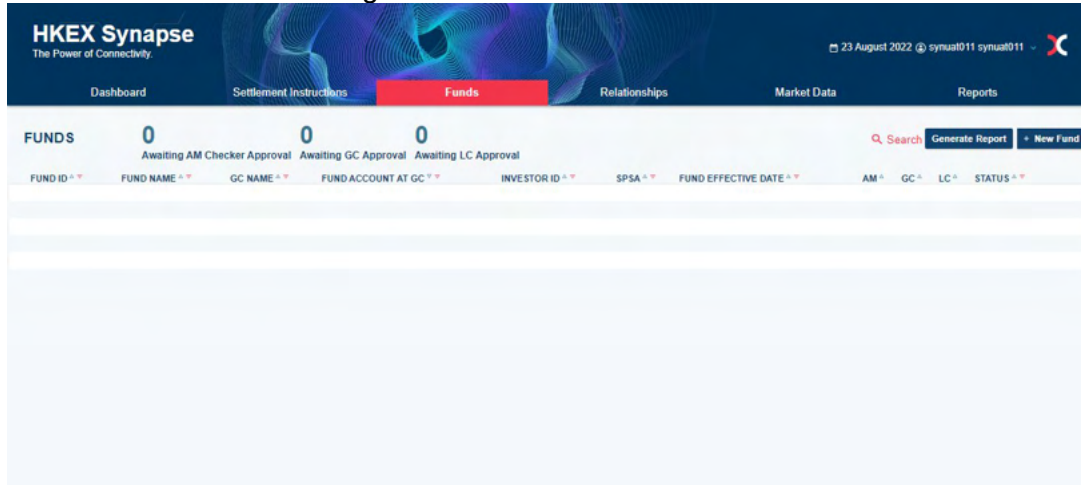


**Approval by AM Data Manager Input Only User:**

1. The AM Data Manager Input Only User logs in to Synapse via Client Connect and navigates to the Dashboard screen.



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



- HKEX Synapse  
The Power of Connectivity

23 August 2022 @ synua011 synua011 - X

New FundCancelNext

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

FUND DETAILS

\* Fund Name :Fidelity Asia Fund 2679

Fund LEI :549300N66LVETJQSH589

Fund Umbrella :Fidelity Global Fund

Fund Domicile :HK

\* Fund ID :342679

Fund Alternate ID :342668

DEFAULT SETTLEMENT MODE :

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23 August 2022 @ synua011 synua011 - X

New FundCancelNext

Fund Domicile :HK

\* Fund ID :342679

Fund Alternate ID :342668

DEFAULT SETTLEMENT MODE :

\* Settlement Mode - Buy Trade :DVP

\* Settlement Mode - Sell Trade :FOP

FUND PROFILE PROCESSING DETAILS :

\* Fund Effective Date :2021-06-06

HKEX Synapse  
The Power of Connectivity

23 August 2022 @ synua011 synua011 - X

New FundCancelBackSubmit

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

GLOBAL CUSTODIAN DETAILS:

\* GC BIC :FVVCGB21XXX

\* Fund Account at GC :9504559

GC Name :SynComp511

GC LEI :222200N66LBBAAGSH588

GC DN :cn=imfunds,ou=BOA,o=oresch22

LOCAL CUSTODIAN DETAILS:

\* Local Custodian IFU :SAGA449

**HKEX Synapse**  
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23 August 2022
synuat011 synuat011

New Fund
Cancel Back Submit

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

LOCAL CUSTODIAN DETAILS:

\* Investor ID : 300013  
SPSA: 80000001  
LC Name : SynComp521  
LC CCASS ID : C00016  
LC LEI : 621344ABC32JRTFGR421  
LC BIC : JPMPPMUSXXX  
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 — Please provide the following information to create the fund's first Fund Profile:

GLOBAL CUSTODIAN DETAILS:

\* GC BIC : FIVCGB21XXX  
\* Fund Account at GC : 542654  
GC Name : SynComp511  
GC LEI : 222200N66LBBAAGSH888  
GC DN : cn=invfunds,ou=80a,o=creschzz

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

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

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

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

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

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23 August 2022

synuat011 synuat011

Dashboard

Settlement Instructions

Funds

Relationships

Market Data

Reports

FUNDS

1

0

0

Awaiting AM Checker Approval

Awaiting GC Approval

Awaiting LC Approval

Search

Generate Report

New Fund

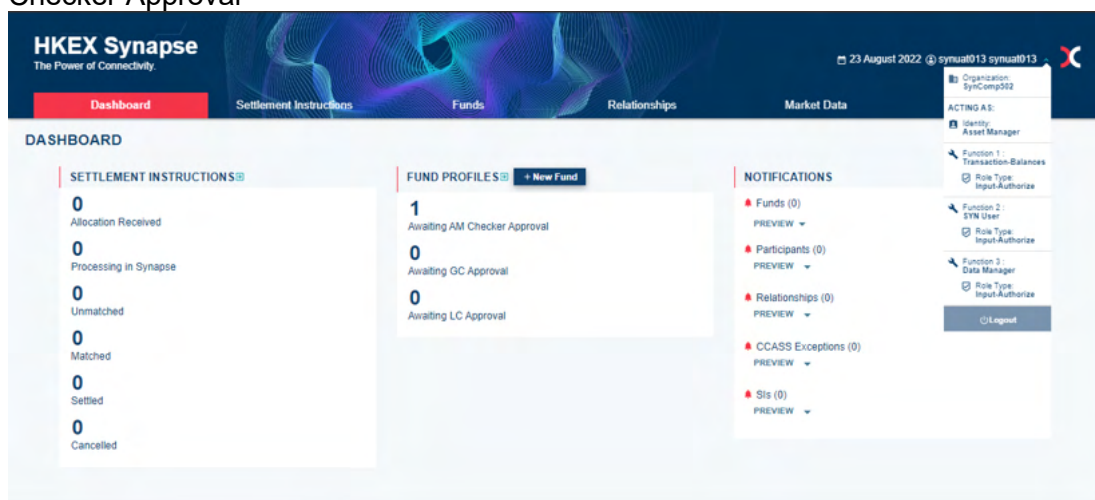
FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS
342679	Fidelity Asia Fund 2679	SynComp511	9004859	300013	80000001	2021-06-06				Pending AM Checker Approval

DETAILS

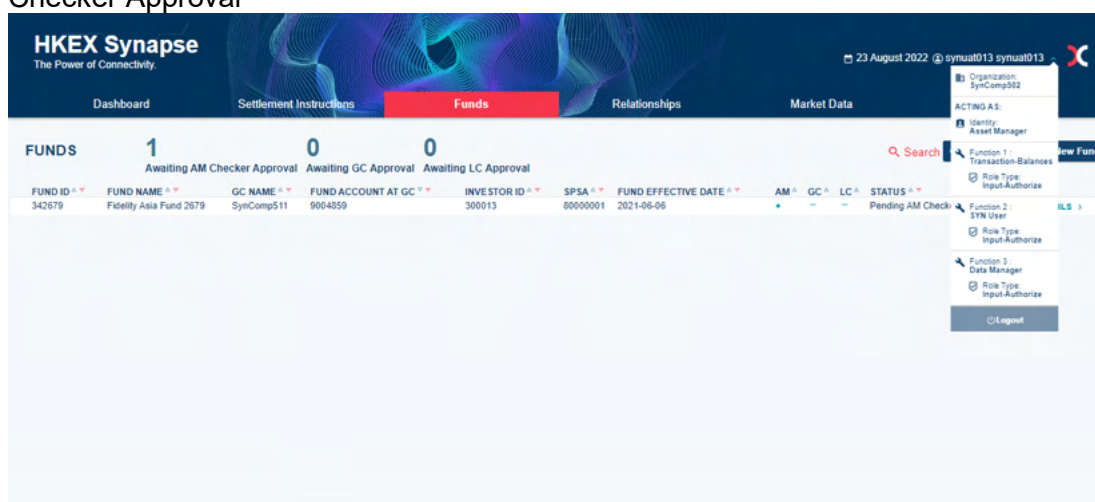
5. The AM Data Manager Input Authorise User will be informed in two ways:



- 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 ‘•’ 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 Client Connect 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 ‘•’ 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”.

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23 August 2022 @ synuat013 synuat013

Initial Onboarding Details: FUND ID 342679

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

**FUND DETAILS**

FUND DETAIL:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-06
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**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBAAAGSH088
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=00a.o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMA55XXX
LC DN:	cn=invfunds.ou=00a.o=creschzz
SPSA:	80000001

Buttons: Back to Fund List, Reject, Approve, Enable Fund Creation

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.

**HKEX Synapse**  
The Power of Connectivity.

23 August 2022 @ synuat013 synuat013

Initial Onboarding Details: FUND ID 342679

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

**FUND DETAILS**

FUND DETAIL:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBAAAGSH088
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=00a.o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMA55XXX
LC DN:	cn=invfunds.ou=00a.o=creschzz
SPSA:	80000001

Buttons: Back to Fund List, Enable Fund Profile

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 ‘•’ 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.

**HKEX Synapse**  
The Power of Connectivity.

Initial Onboarding Details: FUND ID 553182

Onboarding Status:  
AM Maker: Approved ✓

▲ AM Checker: Pending Approval ...

GC: Pending ...

LC: Pending ...

Status: Inactive

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300H6L6YETGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LBBAAGSH889
GC BIC:	FVCG821XXX
GC DN:	cn=invfunds,ou=80a,o=creschzz

LOCAL CUSTODIAN DETAILS:

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

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

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Initial Onboarding Details: FUND ID 553182

Onboarding Status:  
AM Maker: Approved ✓

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300H6L6YETGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

**FUND ONBOARDING REJECTION:**

Please provide a comment below:

Comment:

Cancel

**HKEX Synapse**  
The Power of Connectivity.

Initial Onboarding Details: FUND ID 553182

Onboarding Status:  
AM Maker: Approved ✓

**FUND DETAILS**

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300H6L6YETGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

**FUND ONBOARDING REJECTION:**

Please provide a comment below:

Reason to reject:

Cancel Submit

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

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26 August 2022 @ symuat001 symuat001

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

**FUNDS** 3 1 1

Awaiting AM Checker Approval Awaiting GC Approval Awaiting LC Approval

Search Generate Report New Fund

FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	—	—	Pending AM Checker Approval	DETAILS
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	•	LC Maker 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	DETAILS
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS

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

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26 August 2022 @ symuat001 symuat001

Initial Onboarding Details: FUND ID 553182

Back to Fund List

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

**FUND DETAILS**

FUND DETAILS:

Fund Name: Fidelity Asia Fund 3182  
Fund LEI: 549300H66LYETIGSH359  
Fund Umbrella: Fidelity Global Fund  
Fund Domicile: HK  
Fund ID: 553182  
Fund Alternative ID (Optional): 777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date: 2021-06-05

**FUND PROFILE 1 DETAILS**

GLOBAL CUSTODIAN DETAILS:

GC Name: SynComp511  
Fund Account at GC: 543182  
GC LEI: 222200H66LYETIGSH359  
GC BIC: FIVCGB21XXX  
GC DN: cn=infunds,ou=60a,o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC32JRTFGR421  
LC BIC: JPMPPJ55XXX  
LC DN: cn=infunds,ou=60a,o=creschzz  
SPSA: 80000001

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



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

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

Onboarding Status:  
AM Maker: Approved ✓ AM Checker: Pending Approval ... GC: Pending ... LC: Pending ... Status: inactive [Create Fund Creation](#)

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	549300H66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

**DEFAULT SETTLEMENT MODE:**

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

**FUND PROFILE PROCESSING DETAILS:**

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

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200H66LBBAAQSH889
GC BIC:	FIVCGB21XXX
GC DIN:	cn=imifunds.ou=00a.p=oresch22

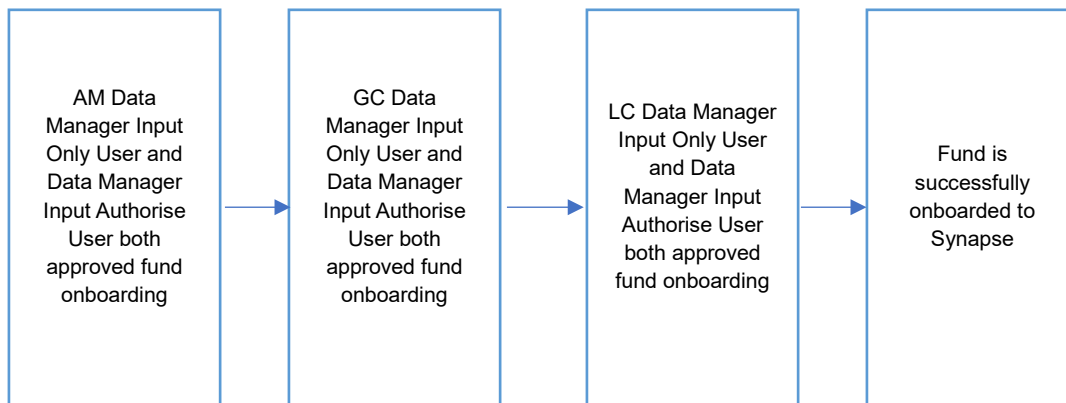
**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFFGR421
LC BIC:	JMPPMA55XXX
LC DIN:	cn=imifunds.ou=00a.p=oresch22
SPSA:	90000001

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

## 2. Global Custodians (GC)

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



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

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

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23 August 2022
synua071 synua071

Initial Onboarding Details: FUND ID 342679

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

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

GC Checker: Pending ...

LC: Pending ...

Status: Inactive

FUND DETAILS

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

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

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:	
GC Name:	SynComp511
Fund Account at GC:	9004059
GC LEI:	222200N66LBBAAAGSH888
GC BIC:	FFVCG821XXX
GC DN:	cn=in/funds_ou=00a.o=oreschzz
▲ GC's Account at LC:	To approve fund onboarding, provide the GC's account at the LC.

LOCAL CUSTODIAN DETAILS:	
Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC3ZJRTFGR421
- HKEX Synapse**  
The Power of Connectivity.

23 August 2022
synua071 synua071
- Initial Onboarding Details: FUND ID 342679
- [Back to Fund List](#)
[Reject](#)
[Submit For Approval](#)
- Onboarding Status:**  
AM: Approved ✓  
▲ GC Maker: Pending Submission ...

GC Checker: Pending ...

LC: Pending ...

Status: Inactive
- FUND DETAILS

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

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

FUND PROFILE PROCESSING DETAILS:	
Fund Effective Date:	2021-06-06
- FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:	
GC Name:	SynComp511
Fund Account at GC:	9004059
GC LEI:	222200N66LBBAAAGSH888
GC BIC:	FFVCG821XXX
GC DN:	cn=in/funds_ou=00a.o=oreschzz
▲ GC's Account at LC:	To approve fund onboarding, provide the GC's account at the LC. 752194

LOCAL CUSTODIAN DETAILS:	
Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC3ZJRTFGR421





Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
	integration into other systems				
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

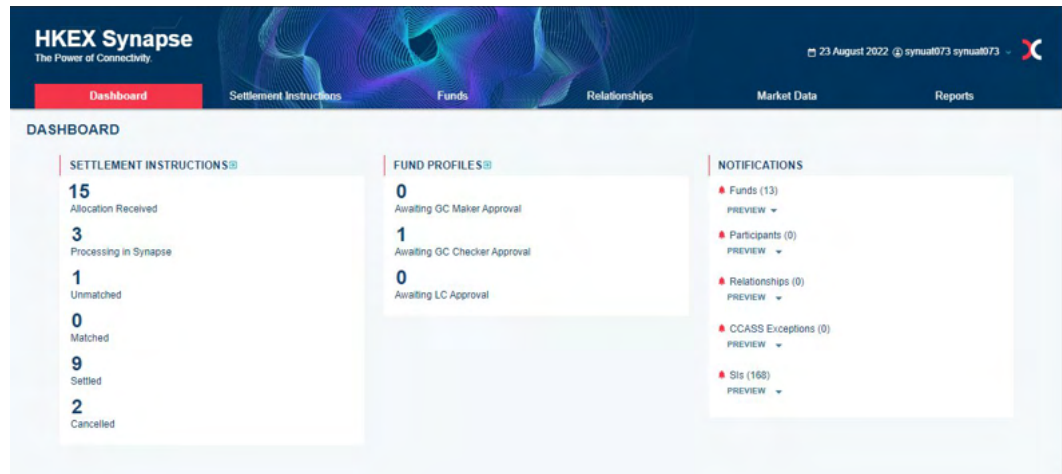
Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
Global Custodian BIC	BIC Code for GC	String	11	N/A	N/A
Global Custodian DN	DN Code for GC	String	52	N/A	Min 8 characters
Local Custodian Name	The Legal Entity name of LC	String	70	N/A	N/A
Local Custodian CCASS Participant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

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

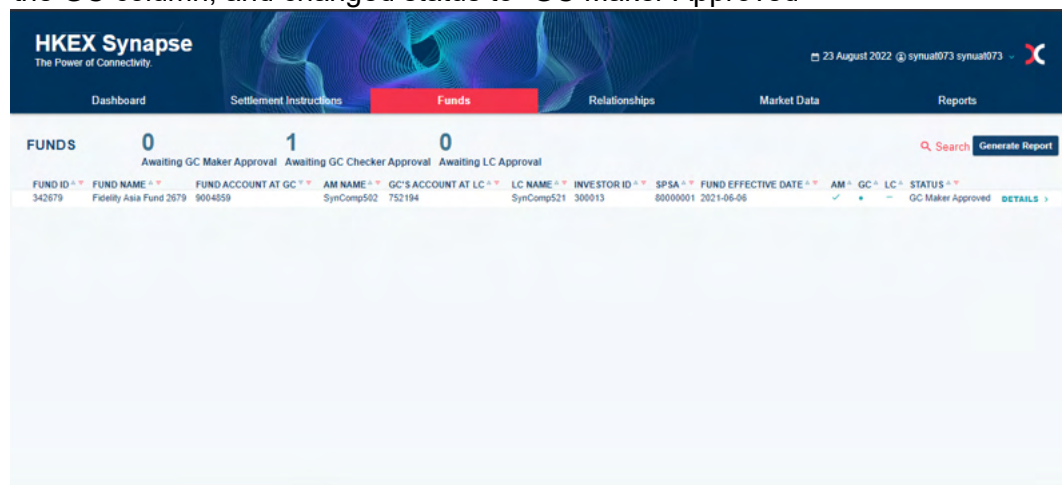
Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
GC's Account at LC	GC Account No. at LC for the Fund of the trade	String	20	M	N/A

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

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



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



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

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The Power of Connectivity

23 August 2022 @ synua073 synua073 X

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

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

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300H66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668

**DEFAULT SETTLEMENT MODE:**

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

**FUND PROFILE PROCESSING DETAILS:**

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

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200H66LBBAAQSH088
GC BIC:	FIVCG821XXX
GC DN:	cn=invfunds.ou=50a.o=creschzz
GC's Account at LC:	752194

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA55 ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMA55XXX
LC DN:	cn=invfunds.ou=50a.o=creschzz

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

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23 August 2022 @ synua073 synua073 X

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

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

**FUND DETAILS**

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300H66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668

**DEFAULT SETTLEMENT MODE:**

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

**FUND PROFILE PROCESSING DETAILS:**

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

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

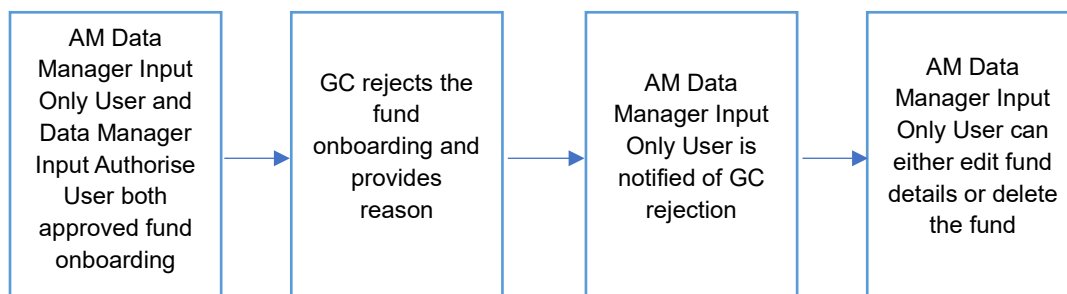
GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200H66LBBAAQSH088
GC BIC:	FIVCG821XXX
GC DN:	cn=invfunds.ou=50a.o=creschzz
GC's Account at LC:	752194

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA55 ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMA55XXX
LC DN:	cn=invfunds.ou=50a.o=creschzz

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

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



## Rejection by GC Data Manager Input Only User:

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

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26 August 2022 @ synuat071 synuat071

Initial Onboarding Details: FUND ID 553182

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

**FUND DETAILS**

**FUND DETAILS:**

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

**DEFAULT SETTLEMENT MODE:**

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

**FUND PROFILE PROCESSING DETAILS:**

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

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LYETIGSH359
GC BIC:	FVCG821XXX
GC DN:	cn=invfunds,ou=80a,o=creschzz
GC's Account at LC:	To approve fund onboarding, provide the GC's account at the LC.

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA55 ID:	C00016
LC LEI:	621344ABC32JRTFGR421

**HKEX Synapse**  
The Power of Connectivity.

26 August 2022 @ synuat071 synuat071

Initial Onboarding Details: FUND ID 553182

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

**FUND DETAILS**

**FUND DETAILS:**

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

**DEFAULT SETTLEMENT MODE:**

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

**FUND PROFILE PROCESSING DETAILS:**

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

**FUND ONBOARDING REJECTION:**

Please provide a comment below:

Change effective date

Cancel Submit

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	543182
GC LEI:	222200N66LYETIGSH359
GC BIC:	FVCG821XXX
GC DN:	cn=invfunds,ou=80a,o=creschzz
GC's Account at LC:	To approve fund onboarding, provide the GC's account at the LC.

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA55 ID:	C00016
LC LEI:	621344ABC32JRTFGR421

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

## Rejection by GC Data Manager Input Authorise User:

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

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26 August 2022

synuat073 synuat073

Dashboard

Settlement Instructions

Funds

Relationships

Market Data

Reports

FUNDS

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1

Awaiting GC Maker Approval

Awaiting GC Checker Approval

Awaiting LC Approval

Search

Generate Report

FUND ID ^	FUND NAME ^	FUND ACCOUNT AT GC ^	AM NAME ^	GC'S ACCOUNT AT LC ^	LC NAME ^	INVESTOR ID ^	SPSA ^	FUND EFFECTIVE DATE ^	AM ^	GC ^	LC ^	STATUS ^	
555555	Fidelity Asia Fund	552194	SynComp501	752194	SynComp522	600002	80000002	2021-06-05	✓	✓	✓	Active	DETAILS ^
555555	Fidelity Asia Fund	546272	SynComp501	762456	SynComp521	600002	80000001	2021-06-05	✓	✓	✓	Active	DETAILS ^
555555	Fidelity Asia Fund	546270	SynComp501	123456789	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS ^
555555	Fidelity Asia Fund	546270	SynComp501	762456	SynComp521	300013	80000001	2021-06-05	✓	✓	✗	LC Maker Approved	DETAILS ^
553182	Fidelity Asia Fund 3182	543182	SynComp501		SynComp521	300013	80000001	2021-06-05	✓	✗	✗	GC Maker Rejected	DETAILS ^
553180	Fidelity Asia Fund 3180	543180	SynComp501		SynComp521	300013	80000001	2021-06-05	✓	✗	✗	AM Approved	DETAILS ^
555555	Fidelity Asia Fund	542194	SynComp501	762194	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS ^
552102	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS ^
552014	Fidelity Asia Fund	542014	SynComp501	762014	SynComp521	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS ^

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

<div> <div> <div>HKEX Synapse</div> <div>The Power of Connectivity.</div> </div> <div> <div>26 August 2022</div> <div>synuat073 synuat073</div> <div></div> </div> </div>													
Initial Onboarding Details: FUND ID 553182													
<div> <div>Back to Fund List</div> <div>Reject</div> <div>Approve</div> </div>													
<div> <div>Onboarding Status:</div> <div> <div>AM: Approved ✓</div> <div>GC Maker: Rejected ✗</div> <div>GC Checker: Pending ...</div> <div>LC: Pending ...</div> <div>Status: Inactive</div> </div> </div>													
<div> <div>Reject Back To Maker</div> <div>Reject Back To AM</div> </div>													
<div> <div>FUND DETAILS</div> <div> <div>FUND DETAILS:</div> <div> <div>Fund Name:</div> <div>Fidelity Asia Fund 3182</div> </div> <div> <div>Fund LEI:</div> <div>549309N68LYETI0SH359</div> </div> <div> <div>Fund Umbrella:</div> <div>Fidelity Global Fund</div> </div> <div> <div>Fund Domicile:</div> <div>HK</div> </div> <div> <div>Fund ID:</div> <div>553182</div> </div> <div> <div>Fund Alternative ID (Optional):</div> <div>777777</div> </div> </div> <div> <div>DEFAULT SETTLEMENT MODE:</div> <div> <div>Settlement Mode - Buy Trade:</div> <div>DVP</div> </div> <div> <div>Settlement Mode - Sell Trade:</div> <div>FOP</div> </div> </div> <div> <div>FUND PROFILE PROCESSING DETAILS:</div> <div> <div>Fund Effective Date:</div> <div>2021-06-05</div> </div> </div> </div>													



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

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

- Funds List view: increased counter under “Awaiting GC Maker Approval”, changed icon from ‘●’ 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:

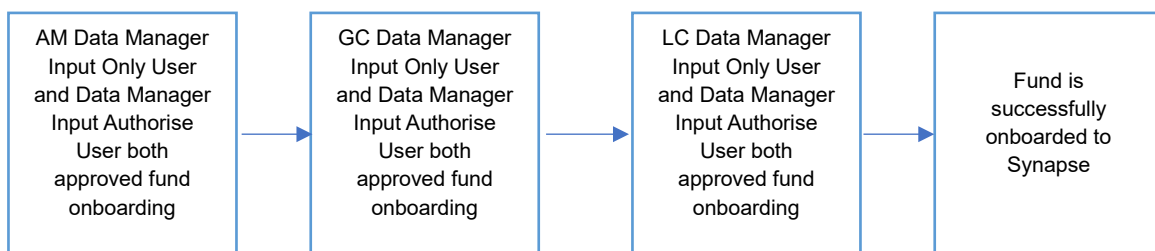
If the GC Data Manager Input Only User approves the fund and the GC Data Manager Input Authorise User disagrees with the GC Data Manager Input Only User’s approval/input, the GC Data Manager Input Authorise User must reject back to the GC Data Manager Input Only User. After that, the GC Data Manager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

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





	for integration into other systems				
Settlement Mode – Buy Trade	Default Settlement Mode for Fund	String	3	N/A	3 characters
Settlement Mode – Sell Trade	Default Settlement Mode for Fund	String	3	N/A	3 characters
Fund Effective date	The date from which the fund is active on the system  Note: An indicative date will be input by the AM, and the actual Fund effective date depends on when the LC completes the fund's approval	Date	20	N/A	YYYY-MM-DD
Global Custodian Name	The Legal Entity name of the Global Custodian	String	70	N/A	N/A
Fund Account at Global Custodian					N/A
Global Custodian LEI	Legal Entity Identifier for the Global Custodian	String	20	N/A	N/A
Global Custodian BIC	BIC Code for the Global Custodian	String	11	N/A	N/A
Global Custodian DN	DN Code representing the Global Custodian serving the fund	String	52	N/A	Min 8 characters
Global Custodian's Account at Local Custodian	Account No. for Global Custodian at Local Custodian	String	20	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 Client Connect and navigates to the Dashboard screen.

2. The LC Data Manager Input Authorise User will be informed that the LC Data Manager Input Only User confirmed the “GC’s Account at LC” field that the GC provided in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under “Awaiting LC Checker Approval”
  - b. Funds List view: increased counter under “Awaiting LC Checker Approval”, changed icon from ‘—’ to ‘•’ 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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Initial Onboarding Details: FUND ID 342679

Back to Fund List
Reject
Approve

Onboarding Status:  
AM: Approved ✓ GC: Approved ✓ LC Maker: Approved ✓

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668
DEFAULT SETTLEMENT MODE:	
Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP
FUND PROFILE PROCESSING DETAILS:	
Fund Effective Date:	2021-06-06

LC Checker: Pending Approval ...
Status: Inactive

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:	
GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH88
GC BIC:	FIVGGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194
LOCAL CUSTODIAN DETAILS:	
Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFOR421
LC BIC:	JMPPHJ55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

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Initial Onboarding Details: FUND ID 342679

Back to Fund List

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

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342668
DEFAULT SETTLEMENT MODE:	
Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	FOP
FUND PROFILE PROCESSING DETAILS:	
Fund Effective Date:	2021-06-06

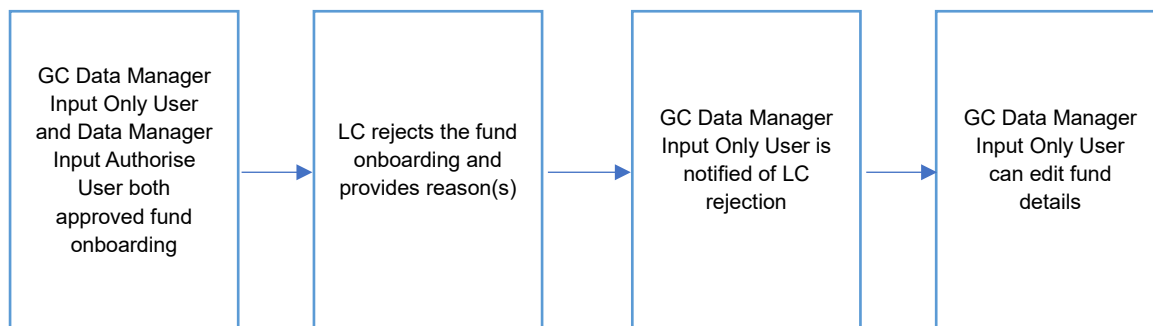
FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:	
GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH88
GC BIC:	FIVGGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194
LOCAL CUSTODIAN DETAILS:	
Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFOR421
LC BIC:	JMPPHJ55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

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

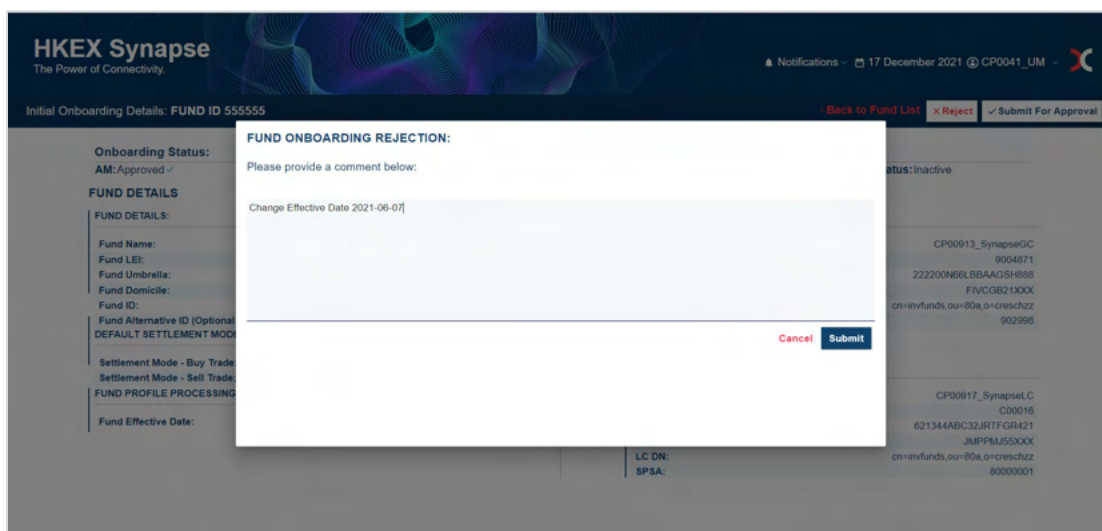
For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the LC Data Manager Input Only User rejects the fund and the LC Data

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



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

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



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

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

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

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Initial Onboarding Details: FUND ID 111111

Onboarding Status:  
AM: Approved ✓ GC: Approved ✓ **ALC Maker: Rejected ×**

LC Checker: Pending ... Status: Inactive

**FUND DETAILS:**

Fund Name:	Fidelity North Fund
Fund LEI:	540900N66LYETIGSH381
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	US
Fund ID:	111111
Fund Alternative ID (Optional):	
DEFAULT SETTLEMENT MODE:	
Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	DVP
FUND PROFILE PROCESSING DETAILS:	
Fund Effective Date:	2022-02-10

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	CP00913_SynapseGC
Fund Account at GC:	9004874
GC LEI:	222200N66LBBAAAGSH888
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds,ou=80a,o=creschzz
GC's Account at LC:	1404242

**LOCAL CUSTODIAN DETAILS:**

LC Name:	CP00918_SynapseLC
LC CCASS ID:	C00033
LC LEI:	5493005HANGSE8XEE42
LC BIC:	HASEH0HXXX
LC DN:	cn=invfunds,ou=80a,o=creschzz
SPSA:	80000002

Buttons: Back to Fund List, Reject, Approve, Reject Back To Maker, Reject Back To GC

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

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Initial Onboarding Details: FUND ID 111111

Onboarding Status:  
AM: Approved ✓ GC: Approved ✓ **ALC Maker: Rejected ×**

LC Checker: Pending ... Status: Inactive

**FUND DETAILS:**

Fund Name:	Fidelity North Fund
Fund LEI:	540900N66LYETIGSH381
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	US
Fund ID:	111111
Fund Alternative ID (Optional):	
DEFAULT SETTLEMENT MODE:	
Settlement Mode - Buy Trade:	DVP
Settlement Mode - Sell Trade:	DVP
FUND PROFILE PROCESSING DETAILS:	
Fund Effective Date:	2022-02-10

**FUND PROFILE 1 DETAILS**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	CP00913_SynapseGC
Fund Account at GC:	9004874
GC LEI:	222200N66LBBAAAGSH888
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds,ou=80a,o=creschzz
GC's Account at LC:	1404242

**LOCAL CUSTODIAN DETAILS:**

LC Name:	CP00918_SynapseLC
LC CCASS ID:	C00033
LC LEI:	5493005HANGSE8XEE42
LC BIC:	HASEH0HXXX
LC DN:	cn=invfunds,ou=80a,o=creschzz
SPSA:	80000002

**FUND ONBOARDING REJECTION:**

Please provide a comment below:

Comment

Buttons: Cancel, Submit

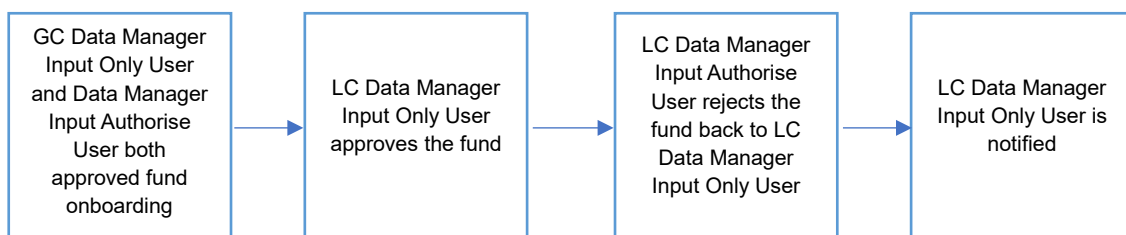
- The GC Data Manager Input Only User will be informed in one way:
  - Funds List view: increased counter under “Awaiting GC Maker Approval”, change in icon from ‘✓’ to ‘X’ in the GC column, and changed status to “LC Rejected”
  - The LC Data Manager Input Only User and LC Data Manager Input Authorise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

The screenshot shows the HKEX Synapse interface. At the top, there's a header with the logo and navigation tabs: Dashboard, Settlement Instructions, Funds (highlighted), Relationships, Market Data, and Reports. Below the header, there are three counters: FUNDS 1, 0, and 0, with subtext 'Awaiting GC Maker Approval', 'Awaiting GC Checker Approval', and 'Awaiting LC Approval' respectively. A search bar and 'Generate Report' button are on the right. The main table lists fund details:

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

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

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



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

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



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Back Fund Details: FUND ID 555555

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FVCG21XXX  
Fund Account at GC: 548270  
GC Name: SynComp511  
GC LEI: 222200N68LBBAAGSH888  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N68LYETGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:**

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

REJECT APPROVE  
Reject Back To Maker  
Reject Back To GC

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

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Back Fund Details: FUND ID 555555

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FVCG21XXX  
Fund Account at GC: 548270  
GC Name: SynComp511  
GC LEI: 222200N68LBBAAGSH888  
GC DN: cn=invfunds.ou=80a.o=creschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N68LYETGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds.ou=80a.o=creschzz

**LOCAL CUSTODIAN DETAILS:**

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

REJECT APPROVE  
Reject Back To Maker  
Reject Back To GC

**FUND ONBOARDING REJECTION:**

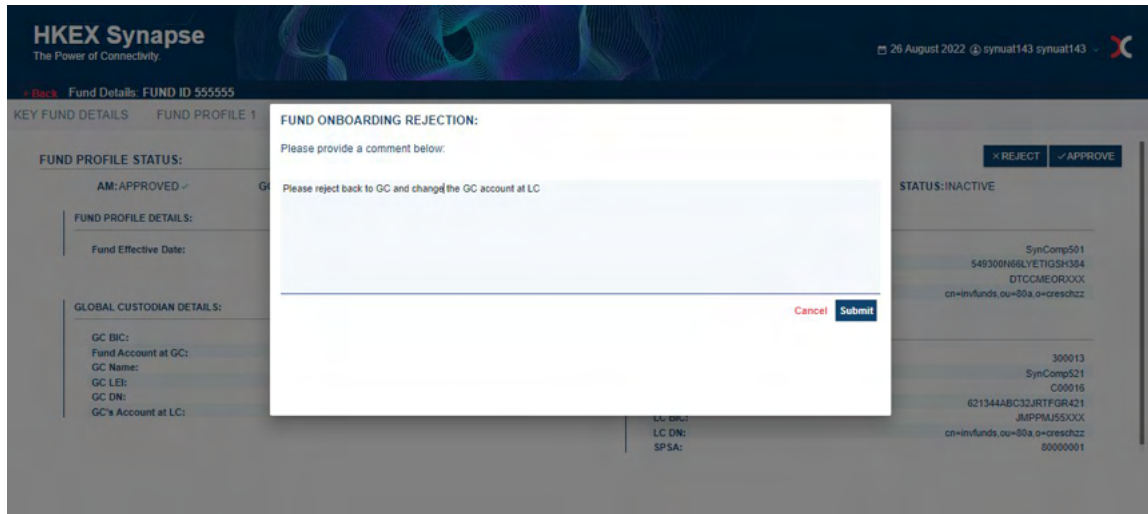
Please provide a comment below:

Comment

Cancel Submit

STATUS: INACTIVE

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

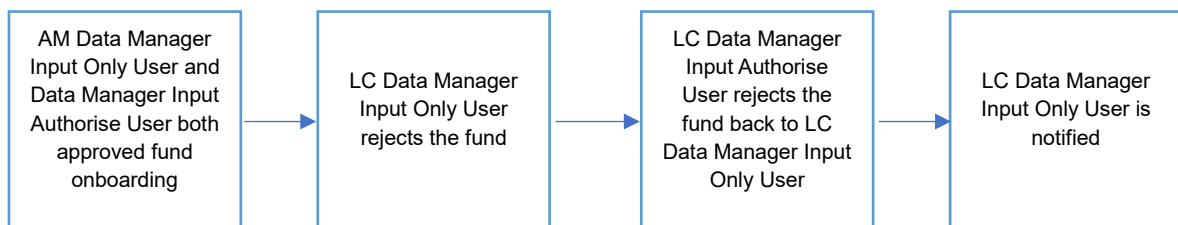


5. The LC Data Manager Input Only User is informed of this rejection in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under “Awaiting LC Maker Approval”
  - b. Funds List view: increased counter under “Awaiting LC Maker Approval”, changed icon from ‘●’ to ‘—’ in the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

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

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

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



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

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



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Back Fund Details: FUND ID 555555

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FVCG821XXX  
Fund Account at GC: 546270  
GC Name: SynComp511  
GC LEI: 222200N66LBBAAAGSH888  
GC DN: cn=infunds,ou=80a,o=oreschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=infunds,ou=80a,o=oreschzz

**LOCAL CUSTODIAN DETAILS:**

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

**Buttons:** [REJECT] [APPROVE]

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

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Back Fund Details: FUND ID 555555

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FVCG821XXX  
Fund Account at GC: 546270  
GC Name: SynComp511  
GC LEI: 222200N66LBBAAAGSH888  
GC DN: cn=infunds,ou=80a,o=oreschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=infunds,ou=80a,o=oreschzz

**LOCAL CUSTODIAN DETAILS:**

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

**Buttons:** [REJECT] [APPROVE] [Reject Back To Maker] [Reject Back To GC]

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

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Back Fund Details: FUND ID 555555

KEY FUND DETAILS FUND PROFILE 1

**FUND PROFILE STATUS:**

AM: APPROVED ✓

**FUND PROFILE DETAILS:**

Fund Effective Date:

**GLOBAL CUSTODIAN DETAILS:**

GC BIC:  
Fund Account at GC:  
GC Name:  
GC LEB:  
GC DN:  
GC's Account at LC:

**FUND ONBOARDING REJECTION:**

Please provide a comment below:

Comment

Cancel

**STATUS: INACTIVE**

SynComp501  
549300N6LYETHSH384  
DTCMEORXXX  
co=imfunds,ou=50a,o=cresch22

300013  
SynComp521  
C00016  
621344ABC32JRTTFR421  
JMPPIJ55XXX  
co=imfunds,ou=50a,o=cresch22  
80000001

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

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Back Fund Details: FUND ID 555555

KEY FUND DETAILS FUND PROFILE 1

**FUND PROFILE STATUS:**

AM: APPROVED ✓

**FUND PROFILE DETAILS:**

Fund Effective Date:

**GLOBAL CUSTODIAN DETAILS:**

GC BIC:  
Fund Account at GC:  
GC Name:  
GC LEB:  
GC DN:  
GC's Account at LC:

**FUND ONBOARDING REJECTION:**

Please provide a comment below:

Change the GC account at LC

Cancel Submit

**STATUS: INACTIVE**

SynComp501  
549300N6LYETHSH384  
DTCMEORXXX  
co=imfunds,ou=50a,o=cresch22

300013  
SynComp521  
C00016  
621344ABC32JRTTFR421  
JMPPIJ55XXX  
co=imfunds,ou=50a,o=cresch22  
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 ‘•’ 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.

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+ Back Fund Details: FUND ID 555555
+ Add Fund Profile

< KEY FUND DETAILS    FUND PROFILE 1    FUND PROFILE 2    FUND PROFILE 3    FUND PROFILE 4    **FUND PROFILE 5**    FUND PROFILE 6    FUND PROFILE 7    FUND PROFILE 8 >

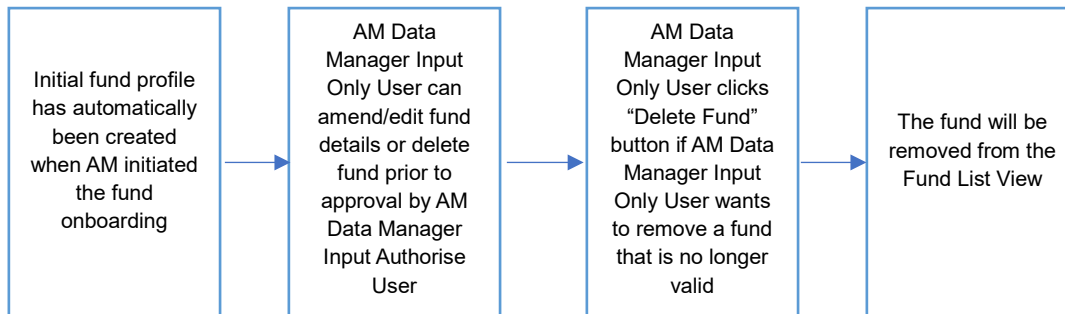
**FUND PROFILE STATUS:**

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	AM Name: SynComp501
	AM LEI: 549300N66LYETQ3H3B4
	AM BIC: DTCCMEORXXX
	AM DN: cn=inifunds.ou=00a.o=creschzz
GLOBAL CUSTODIAN DETAILS:	LOCAL CUSTODIAN DETAILS:
GC BIC: FIVCOB21XXX	Investor ID: 000002
Fund Account at GC: 662194	LC Name: SynComp522
GC Name: SynComp511	LC CCASS ID: C00033
GC LEI: 222200N66LEBAAGSH808	LC LEI: 549300SHANGSE88XEE42
GC DN: cn=inifunds.ou=00a.o=creschzz	LC BIC: HASEH9HXXX
	LC DN: cn=inifunds.ou=00a.o=creschzz

## 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.



### 1. Asset Managers (AM)

#### AM Data Manager Input Only User:

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

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26 August 2022 symul001 symul001 X

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

Onboarding Status: AM Maker: Approved AM Checker: Pending Approval GC: Pending LC: Pending Status: Inactive [Delete Fund Creation](#)

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 3181
Fund LEI:	549309H66L1ETDQSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

**DEFAULT SETTLEMENT MODE:**

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

**FUND PROFILE PROCESSING DETAILS:**

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

**FUND PROFILE 1 DETAILS:**

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200H66LBBAAQSH889
GC BIC:	FFVGGB21XXX
GC DN:	cn=invfunds,ou=80a,o=oresch22

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA55 ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPIA55XXX
LC DN:	cn=invfunds,ou=80a,o=oresch22
SPSA:	80000001

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

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

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

**FUND DETAILS** [Save](#)

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 3181
Fund LEI:	549309H6LVEYIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

**DEFAULT SETTLEMENT MODE:**

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

**FUND PROFILE PROCESSING DETAILS:**

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

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

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200H6LBBAAAGSH889
GC BIC:	FVCG821XXX
GC DN:	cn=invfunds,ou=80a,o=oreschz

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA55 ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPIA55XXX
LC DN:	cn=invfunds,ou=80a,o=oreschz
SPSA:	80000001

Status: Inactive

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

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

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

**FUND DETAILS** [Save](#)

**FUND DETAILS:**

Fund Name:	Fidelity Asia Fund 3181
Fund LEI:	549309H6LVEYIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

**DEFAULT SETTLEMENT MODE:**

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

**FUND PROFILE PROCESSING DETAILS:**

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

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

**GLOBAL CUSTODIAN DETAILS:**

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200H6LBBAAAGSH889
GC BIC:	FVCG821XXX
GC DN:	cn=invfunds,ou=80a,o=oreschz

**LOCAL CUSTODIAN DETAILS:**

Investor ID:	300013
LC Name:	SynComp521
LC CCA55 ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPIA55XXX
LC DN:	cn=invfunds,ou=80a,o=oreschz
SPSA:	80000001

Status: Inactive

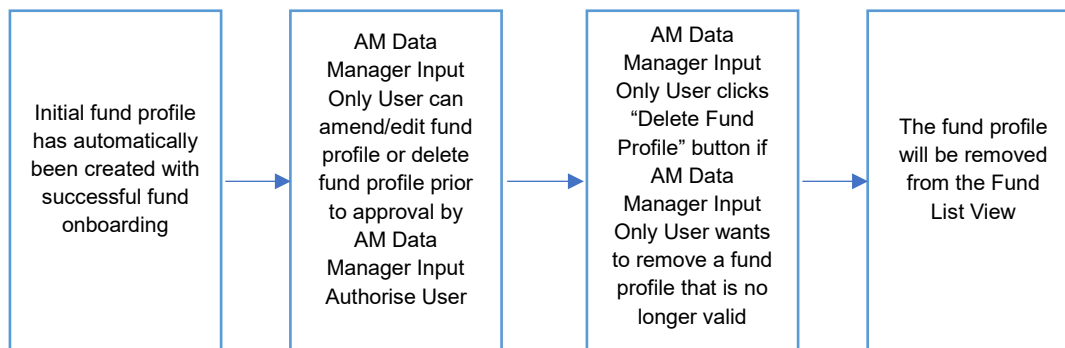
4. Once that button is clicked, then the fund and the initial fund profile will be deleted. When the AM Data Manager Input Only User goes back to the Funds List view, then the fund will no longer be listed.

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## 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.



### 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.

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Dashboard

Settlement Instructions

Funds

Relationships

Market Data

Reports

FUNDS

2

1

1

Awaiting AM Checker Approval

Awaiting GC Approval

Awaiting LC Approval

Q Search

Generate Report

New Fund

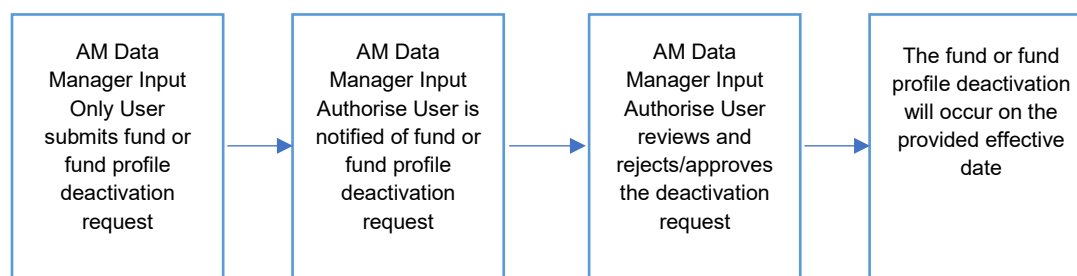
FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	DETAILS
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-06-12	✗	—	—	Pending AM Checker Approval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

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

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

## 5.5 Deactivation of an Active Fund or Fund Profile

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



### 1. Asset Managers (AM)

#### AM Data Manager Input Only User:

- The AM Data Manager Input Only User logs in to Synapse via Client Connect and navigates to the Dashboard screen.



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

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

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

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26 August 2022 | symul001 symul001

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: APPROVED ✓ GC: APPROVED ✓ LC: APPROVED ✓ STATUS: ACTIVE **DEACTIVATE**

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVCGB21XXX  
Fund Account at GC: 546270  
GC Name: SynComp511  
GC LEI: 222200N66LBBAAQSH88  
GC DIN: cn=infunds,ou=50a,o=creschzz

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549308H6ALVETISHS04  
AM BIC: DTCOMEORXXX  
AM DIN: cn=infunds,ou=50a,o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JPMFMJ55XXX  
LC DIN: cn=infunds,ou=50a,o=creschzz

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

The screenshot shows the 'FUND PROFILE 3' page in the HKEX Synapse system. A pop-up window titled 'FUND DEACTIVATION:' is displayed in the center, asking the user to 'Please specify fund deactivation effective date:'. The date '2022-08-01' is entered in the field. There are 'Cancel' and 'OK' buttons at the bottom of the pop-up. The background page shows various fund details including 'FUND PROFILE DETAILS', 'GLOBAL CUSTODIAN DETAILS', and 'LOCAL CUSTODIAN DETAILS'. The 'STATUS' is currently 'ACTIVE', and there is a 'DEACTIVATE' button.

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

The screenshot shows the 'Funds' tab in the HKEX Synapse system. It displays a table of fund profiles with columns for Fund ID, Fund Name, GC Name, Fund Account at GC, Investor ID, SP5A, Fund Effective Date, AM, GC, LC, and Status. The table is filtered to show funds with 'Awaiting AM Checker Approval' status. The 'AM' column contains a '•' icon for funds that are 'Inactivation Pending Approval'. The 'Status' column shows the current status of each fund, such as 'Active', 'Pending AM Checker Approval', 'Inactivation Pending Approval', 'AM Approved', 'GC Rejected', and 'LC Rejected'.

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

## AM Data Manager Input Authorise User:

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

✓

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26 August 2022 | symat003 | symat003 | X

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

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-12

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FVCG21XXX  
Fund Account at GC: 552194  
GC Name: SynComp511  
GC LEI: 222200N66LBBAGSH888  
GC DN: cn=infunds,ou=80a,o=creschzz

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300N66LYETGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=infunds,ou=80a,o=creschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 600002  
LC Name: SynComp522  
LC CCASS ID: C00033  
LC LEI: 549300SHANGSE88XEE42  
LC BIC: HASEKH99XXX  
LC DN: cn=infunds,ou=80a,o=creschzz  
SPSA: 80000002

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

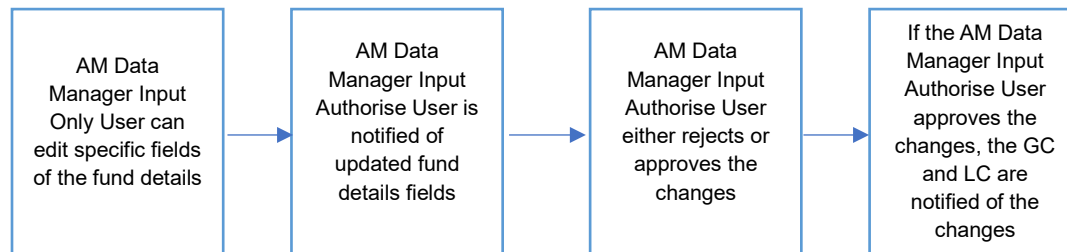
#### Notification for Global Custodian (GC) and Local Custodian (LC):

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

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

## 5.6 Edit Fund Details of an Active Fund

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



### 1. Asset Managers (AM)

#### AM Data Manager Input Only User:

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

FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SP5A	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS</a>
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-06-12	✗	—	—	Pending AM Checker Approval	<a href="#">DETAILS</a>
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-12	✗	✓	✓	Inactivation Pending Approval	<a href="#">DETAILS</a>
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS</a>
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	✗	—	—	Pending AM Checker Approval	<a href="#">DETAILS</a>
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS</a>
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✗	LC Maker Rejected	<a href="#">DETAILS</a>
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	✗	—	—	GC Rejected	<a href="#">DETAILS</a>
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	✗	—	—	GC Rejected	<a href="#">DETAILS</a>
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS</a>
552781	Fidelity Asia Fund 2781	SynComp525	542781	112615	80000001	2021-06-05	✓	—	—	AM Approved	<a href="#">DETAILS</a>
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS</a>
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS</a>
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active	<a href="#">DETAILS</a>

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

KEY FUND DETAILS	FUND PROFILE
<b>FUND STATUS:</b> AM MAKER: APPROVED ✓ AM CHECKER: APPROVED ✓ STATUS: ACTIVE REACTIVE	<b>FUND DETAILS:</b> Fund Name: Fidelity Asia Fund Fund LID: 5483268ALVTG033461 Fund Underlier: Fidelity Global Fund Fund Domestic: US Fund ID: 523461 Fund Alternative ID (Optional): 777777 <b>DEFAULT SETTLEMENT MODE:</b> Settlement Mode: Day Trade Settlement Mode: Sell Trade <b>FUND PROCESSING DETAILS:</b> Fund Effective Date: 2021-06-05

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.

Please provide the following Fund information:

FUND DETAILS	
* Fund Name :	Fidelity Asia Fund
Fund LEI :	549302H69LYETIGS3481
Fund Umbrella :	Fidelity Global Fund
Fund Domicile :	US
* Fund ID :	523481
Fund Alternate ID :	777777
DEFAULT SETTLEMENT MODE :	
* Settlement Mode - Buy Trade :	DVP
* Settlement Mode - Sell Trade :	DVP
FUND PROFILE PROCESSING DETAILS :	
* Fund Effective Date :	2021-05-05

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

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

#### AM Data Manager Input Authorise User:

AM Data Manager Input Authorise User can either approve or reject the edition submitted by AM Data Manager Input Only User. If AM Data Manager Input Authorise User rejects, then the

process ends there. If AM Data Manager Input Authorise User approves, then the fund details or fund profile is updated.

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26 August 2022 symua003 symua003

Back Fund Details: FUND ID AM\_User\_One Add Fund Profile

KEY FUND DETAILS FUND PROFILE 1

FUND STATUS:

AM MAKER: APPROVED ✓ AM CHECKER: PENDING APPROVAL ... STATUS: PENDING AMENDMENT APPROVAL

REJECT APPROVE

FUND DETAILS:

Fund Name: UBS Asia Fund  
Fund LEI: 549300N68LYETIGSH430  
Fund Umbrella: UBS Global Fund  
Fund Domicile: US  
Fund ID: AM\_User\_One  
Fund Alternative ID (Optional): AM\_User\_One

DEFAULT SETTLEMENT MODE:

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

FUND PROCESSING DETAILS:

## 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.

### 1. Asset Managers (AM)

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



## 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

## 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

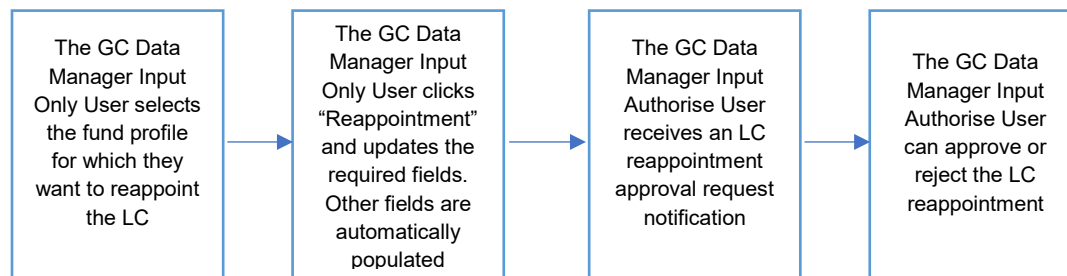
## 4. Local Custodians (LC)

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
GC's Account at LC	Account No. for Global Custodian at Local Custodian
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by CCASS
SPSA	Special Segregated Account

Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

## 5.8 LC Re-Appointment

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



### 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 Client Connect 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.

FUND ID	FUND NAME	FUND ACCOUNT AT GC	AM NAME	GC'S ACCOUNT AT LC	LC NAME	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	DETAILS
555555	Fidelity Asia Fund	542194	SynComp501	762194	SynComp521	300013	00000001	2021-06-05	✓	✓	✓	Active	DETAILS
552014	Fidelity Asia Fund	542014	SynComp501	762014	SynComp521	300013	00000001	2021-06-05	✓	✓	✓	Active	DETAILS
552102	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	00000001	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	54270	SynComp501	123456789	SynComp521	300013	00000001	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	54272	SynComp501	762456	SynComp521	600002	00000001	2021-06-05	✓	✓	✓	Active	DETAILS
AM_User_One	UBS Asia Fund	8004872	SynComp501	123456789	SynComp521	300013	00000000	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	54270	SynComp501	762456	SynComp521	300013	00000001	2021-06-05	✓	✓	✗	LC Maker Rejected	DETAILS
AM_User_One	UBS Asia Fund	8004873	SynComp502	752194	SynComp521	300013	00000000	2021-06-05	✓	✓	✓	AM Approved	DETAILS
555555	Fidelity Asia Fund	552194	SynComp501	752194	SynComp522	600002	00000002	2021-06-12	✗	✓	✓	Inactivation Pending Approval	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.

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Back Fund Details: FUND ID 555555

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FVCG21XXX  
Fund Account at GC: 542194  
GC Name: SynComp511  
GC LEI: 222200N66LBBAAQSH88  
GC DN: cni=infunds.ou=50a.o=reschzz  
GC's Account at LC: 762194

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549308H6LVETQSH354  
AM BIC: DTCCMEORXXX  
AM DN: cni=infunds.ou=50a.o=reschzz

**LOCAL CUSTODIAN DETAILS:**

Investor ID: 300013  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC32JRTFGR421  
LC BIC: JPMFMJ55XXX  
LC DN: cni=infunds.ou=50a.o=reschzz  
SPSA: 80000001

**Reappoint**

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.

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Back Fund Details: FUND ID 555555

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

GC Name: SynComp511  
GC LEI: 222200N66LBBAGSH888  
GC DN: cn=invfunds,ou=80a,o=crechzz  
GC's Account at LC: 762456

LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JPMJPM55XXX  
LC DN: cn=invfunds,ou=80a,o=crechzz  
SP5A: 80000001

**NEW LOCAL CUSTODIAN DETAILS: To reappoint the LC, provide the following information:**

\*Investor ID: 300013  
\*GC's Account at LC: 762456  
\*Reappointment Effective Date: 2022-08-26  
LC Name: SynComp521  
SP5A: 80000001  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JPMJPM55XXX  
LC DN: cn=invfunds,ou=80a,o=crechzz

Cancel Submit

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

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Back Fund Details: FUND ID 555555

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

GC Name: SynComp511  
GC LEI: 222200N66LBBAGSH888  
GC DN: cn=invfunds,ou=80a,o=crechzz  
GC's Account at LC: 762456

LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JPMJPM55XXX  
LC DN: cn=invfunds,ou=80a,o=crechzz  
SP5A: 80000001

**NEW LOCAL CUSTODIAN DETAILS: To reappoint the LC, provide the following information:**

\*Investor ID: 300013  
\*GC's Account at LC: 762456  
\*Reappointment Effective Date: 2022-08-26  
LC Name: SynComp521  
SP5A: 80000001  
LC CCASS ID: C00016  
LC LEI: 621344ABC3JRTFGR421  
LC BIC: JPMJPM55XXX  
LC DN: cn=invfunds,ou=80a,o=crechzz

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

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

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26 August 2022 8:07:33 synua073 - X

Back Fund Details: **FUND ID 555555**

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVCGE21XXX  
Fund Account at GC: 548272  
GC Name: SynComp511  
GC LEI: 222208H6LBBAAQSH888  
GC DN: cn=invfunds,ou=50a,o=oreschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300H6LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds,ou=50a,o=oreschzz

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

Investor ID: 600002  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC32JRTYFGR421  
LC BIC: JPMJPJ55XXX  
LC DN: cn=invfunds,ou=50a,o=oreschzz  
SPSA: 80000001

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

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

## Rejection by GC Data Manager Input Authorise User:

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

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Back Fund Details: **FUND ID 555555**

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FIVCGE21XXX  
Fund Account at GC: 548272  
GC Name: SynComp511  
GC LEI: 222208H6LBBAAQSH888  
GC DN: cn=invfunds,ou=50a,o=oreschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 549300H6LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=invfunds,ou=50a,o=oreschzz

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

Investor ID: 600002  
LC Name: SynComp521  
LC CCASS ID: C00016  
LC LEI: 621344ABC32JRTYFGR421  
LC BIC: JPMJPJ55XXX  
LC DN: cn=invfunds,ou=50a,o=oreschzz  
SPSA: 80000001

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

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26 August 2022 4 symu073 symu073

> Back Fund Details: FUND ID 555555

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

**FUND PROFILE STATUS:**

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

**FUND PROFILE DETAILS:**

Fund Effective Date: 2021-06-05

**GLOBAL CUSTODIAN DETAILS:**

GC BIC: FVOCGB21XXX  
Fund Account at GC: 548272  
GC Name: SynComp511  
GC LEI: 22220H66LBBAAQSH88  
GC DN: cn=infunds,ou=80a,o=oreschzz  
GC's Account at LC: 762456

**ASSET MANAGER DETAILS:**

AM Name: SynComp501  
AM LEI: 548300H66LYETIGSH384  
AM BIC: DTCCMEORXXX  
AM DN: cn=infunds,ou=80a,o=oreschzz

**LOCAL CUSTODIAN DETAILS:**

**Reappoint**

Investor ID: 600002  
LC Name: SynComp521  
LC CCASS ID: C00916  
LC LEI: 621344ABC32JRTFQR421  
LC BIC: JPMPPM55XXX  
LC DN: cn=infunds,ou=80a,o=oreschzz  
SPSA: 80000001

## 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

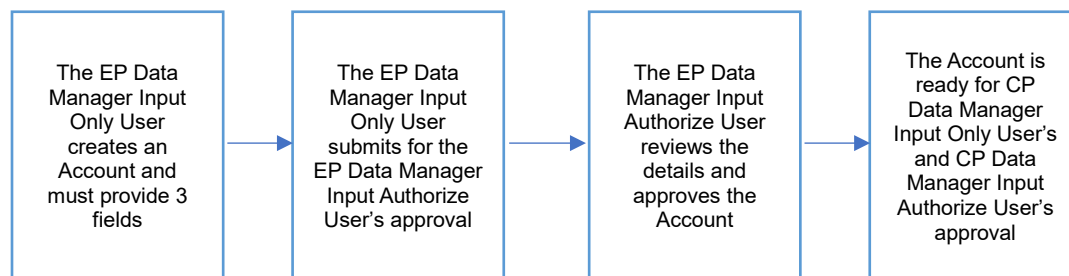
### 6.1 Account Onboarding

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.

#### 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 Client Connect 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.

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

**ACCOUNTS** 0 Awaiting EP Checker Approval 0 Awaiting CP Approval

Q Search Generate Report + New Account

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01110	900546	2021-06-05	✓	✓	Active	<a href="#">DETAILS</a>
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01110	900547	2021-06-05	✓	✓	Active	<a href="#">DETAILS</a>
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01110	900548	2021-06-05	✓	✓	Active	<a href="#">DETAILS</a>
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01110	900549	2021-06-05	✓	✓	Active	<a href="#">DETAILS</a>

3. The EP Data Manager Input Only User will be asked to provide new account details.
  - a. The EP Data Manager Input Only User must provide 3 fields:

- i. CP Name
- ii. EP's Account at CP
- iii. Account Effective Date

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New Account

Please provide the following information:

**CP DETAILS:**

\* CP Name :

SynComp541

CP LEI :

812700H68LADSRSH679

CP BIC :

DTCCDEAGXXX

CP DN :

cm-investments-ou-80a-o-cresch22

CP CCASS ID :

B01110

**ACCOUNT:**

\* EP's Account at CP :

800428

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New Account

CP LEI :
812700H68LADSRSH679

CP BIC :
DTCCDEAGXXX

CP DN :
cm-investments-ou-80a-o-cresch22

CP CCASS ID :
B01110

**ACCOUNT:**

\* EP's Account at CP :

800428

**ACCOUNT PROCESSING DETAILS :**

\* Account Effective Date :

2021-06-05

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

New Account

The record already exist.

Cancel
Submit

Please provide the following information:

**CP DETAILS:**

\* CP Name :

SynComp205

CP LEI :

KKKRSTHACANBWAU1MCS

CP BIC :

SYNCOMP205X

CP DN :

cm-investments-ou-80a-o-cresch22

CP CCASS ID :

B01450

**ACCOUNT:**

\* EP's Account at CP :

B01008



Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
CP Name	The Legal Entity name of the CP	String	70	M	N/A	N
EP's Account at CP	Account No. for EP at CP	String	20	M	N/A	Y
Account Effective Date	The date from which the Sell side Account mapping is active on the system	Date	10	YYYY-MM-DD	N/A	N

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

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

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

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



to approve.

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LADSRSH579	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	900546	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSRSH579	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	900547	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSRSH579	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	900548	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSRSH579	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	900549	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSRSH579	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	900428	2021-06-05	✗	✗	Pending EP Checker Approval

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

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25 August 2022 @ symat214 symat214 X

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

**Account Status:**  
 EP Maker: Approved ✓ EP Checker: Pending Approval ... CP: Pending ... Status: Inactive [Delete Account Creation](#)

**ACCOUNT DETAILS:**

**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500H66LJYHUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=imfunds,ou=80a,o=oreschzz
EP SEHK ID :	1430

**CP DETAILS:**

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

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

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25 August 2022 @ symat214 symat214 X

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

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

**ACCOUNT DETAILS:**

**EP DETAILS:**

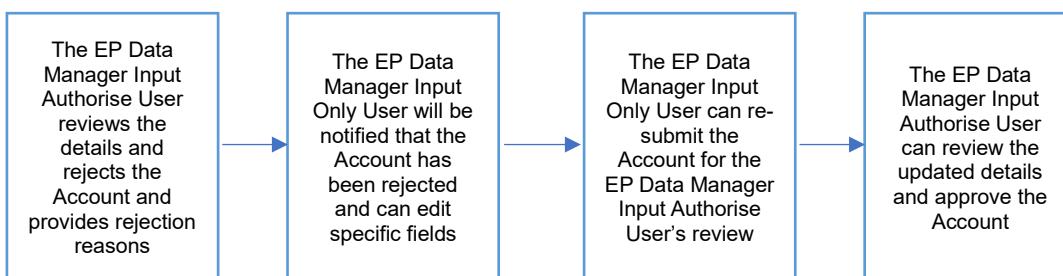
EP Name :	SynComp531
EP LEI :	151500H66LJYHUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=imfunds,ou=80a,o=oreschzz
EP SEHK ID :	1430

**CP DETAILS:**

CP Name :	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 ‘●’ 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".

The first screenshot shows the 'NEW ACCOUNT REJECTION' dialog box with a 'Comment' field and 'Cancel' and 'Submit' buttons. The second screenshot shows the same dialog box with the word 'reason' entered in the 'Comment' field, and the 'Submit' button is now highlighted in blue.

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 ‘•’ to ‘—’ in the EP column and changed status to “EP Checker Rejected”
4. The EP Data Manager Input Only User can navigate to the Account Details view by clicking “Details” on the Accounts List view.
5. The account has been rejected by the EP Data Manager Input Authorise User, and the EP Data Manager Input Only User can click “Edit” to edit specific fields based on the EP Data Manager Input Authorise User’s comments for resubmission.

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 | synua211 synua211 | X

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

Account Status:  
 EP Maker: Pending Amendment ... EP Checker: Rejected • CP: Pending ... Status: Inactive [Delete Account Creation](#)

ACCOUNT DETAILS: [Edit](#)

EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500H66LJYHUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=inifunds,ou=00a,o=creschzz
EP SEHK ID :	1430

CP DETAILS:

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

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 | synua211 synua211 | X

Edit New Account Details [Reason](#) [Cancel](#) [Resubmit](#)

CP BIC : DTCCDEAGXXX

CP DN : cn=inifunds,ou=00a,o=creschzz

CP Participant ID : B01110

ACCOUNT:

\* EP's Account at CP : 900425

ACCOUNT PROCESSING:

\* Account Effective Date : 2021-06-05 [Calendar](#)

Account Mapping Status : EP Checker Rejected

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

“Approve”.

HKEX Synapse  
The Power of Connectivity

25 August 2022 symua214 symua214

Initial Account Details: SynComp541

Back to Account List Reject Approve Delete Account Creation

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

ACCOUNT DETAILS:

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500H66JYHUL934

EP BIC : DTCCSELLXXX

EP DN : ccm-in-funds.ou=80a.ou=oreschzz

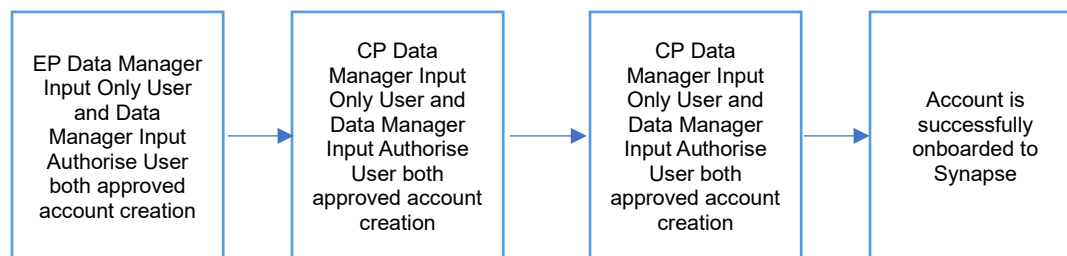
EP SEHK ID : 1430

CP DETAILS:

CP Name : SynComp541

## 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 Client Connect and navigates to the Dashboard screen.
2. The CP Data Manager Input Only User will be informed that the EP has successfully submitted an Account in two ways:
  - a. Dashboard view: increased counter in the Accounts section under “Awaiting CP Maker Approval”
  - b. Accounts List view: increased counter under “Awaiting CP Maker Approval”, changed icon from ‘—’ to ‘✓’ in the EP column, and changed status to “EP Approved”
3. The CP Data Manager Input Only User can navigate to the Account Details view by clicking “Details” on the Accounts List view.
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 symua281 symua281 X

Initial Account Details: SynComp541▲ To approve, provide the information indicated below+ Back to Account ListX Reject✓ Submit For Approval

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

ACCOUNT DETAILS:

EP DETAILS:  
EP Name : SynComp531  
EP LEI : 151500H66LJYHUL934  
EP BIC : DTCCSELLXXX  
EP DN : cn=im/funds,ou=00a,o=creschzz  
EP SEHK ID : 1430  
CP DETAILS:  
CP Name : SynComp541

HKEX Synapse  
The Power of Connectivity.

25 August 2022 symua281 symua281 X

Initial Account Details: SynComp541▲ To approve, provide the information indicated below+ Back to Account ListX Reject✓ Submit For Approval

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

CP DETAILS:  
CP Name : SynComp541  
CP LEI : 812700H66LADSESH679  
CP BIC : DTCCDEAGXXX  
CP DN : cn=im/funds,ou=00a,o=creschzz  
CP CCASS ID : B01110  
▲ CP's Account at CCASS : 11 -  
ACCOUNT:  
EP's Account at CP : 900420

HKEX Synapse  
The Power of Connectivity.

25 August 2022 symua281 symua281 X

Initial Account Details: SynComp541▲ To approve, provide the information indicated below+ Back to Account ListX Reject✓ Submit For Approval

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

CP DN : cn=im/funds,ou=00a,o=creschzz  
CP CCASS ID : B01110  
▲ CP's Account at CCASS : 11 -  
ACCOUNT:  
EP's Account at CP : 900420  
ACCOUNT PROCESSING:  
Account Effective Date : 2021-06-05  
Account Mapping Status : EP Approved

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

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

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

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 | synuat283 synuat283

Initial Account Details: SynComp541

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

ACCOUNT DETAILS:

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500H66LJYHUL934

EP BIC : DTCCSELLXXX

EP DN : cn=imifunds,ou=00a,c=oreschzz

EP SEHK ID : 1430

CP DETAILS:

CP Name : SynComp541

Buttons: Back to Account List, Reject, Approve



**HKEX Synapse**  
The Power of Connectivity

25 August 2022 2:23 PM synua283 synua283 X

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

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

**ACCOUNT DETAILS:**

**EP DETAILS:**

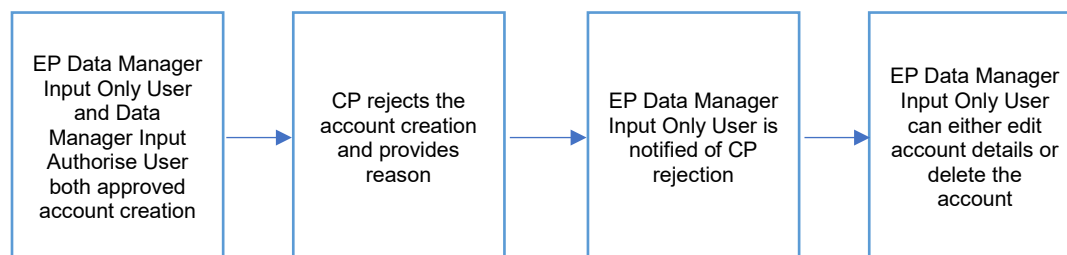
EP Name :	SynComp531
EP LEI :	151500H66LJYHUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=inifunds,ou=80a,o=creschzz
EP SEHK ID :	1430

**CP DETAILS:**

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

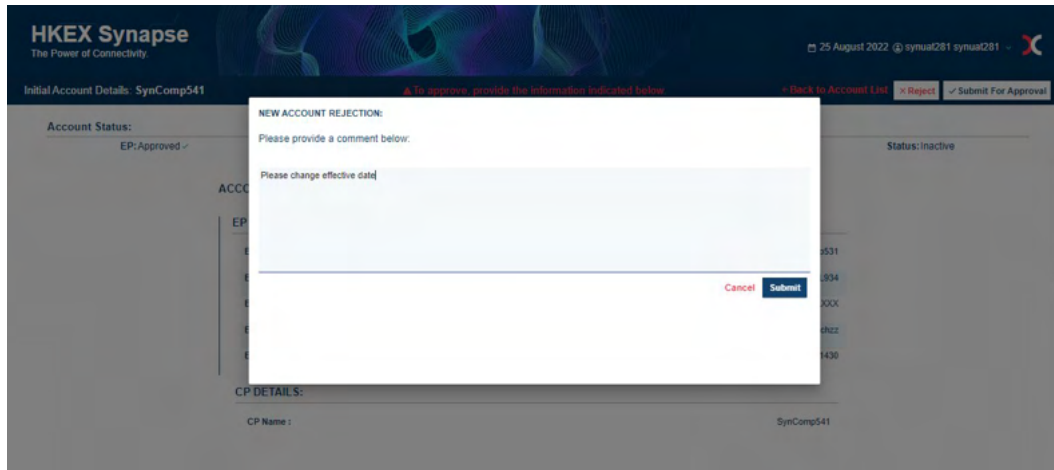
### Rejection by CP Data Manager Input Only User; Rejection by CP Data Manager Input Authorise User Back to EP Data Manager Input Only User:

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.



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 ‘•’ in the CP column, and changed status to “CP Maker Rejected”

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

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

button and then select “Reject Back to EP”:

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25 August 2022 symat283 symat283 X

Initial Account Details: SynComp541

▲ To approve, provide the information indicated below

+ Back to Account List + Reject + Approve

Account Status:  
EP: Approved ✓ CP Maker: Rejected × ● ▲ CP Checker: Rejection Pending Approval ...

Reject Back To Maker  
Reject Back To EP  
Status: inactive

ACCOUNT DETAILS:

EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500866JYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=imifunds,ou=00a,o=creachzz
EP SEHK ID :	1430

CP DETAILS:

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

- 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”
- 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 symat283 symat283 X

Initial Account Details: SynComp541

▲ To approve, provide the information indicated below

+ Back to Account List + Reject + Approve

Account Status:  
EP: Approved ✓

NEW ACCOUNT REJECTION:  
Please provide a comment below:

Comment

Cancel

ACCOUNT DETAILS:

EP DETAILS:

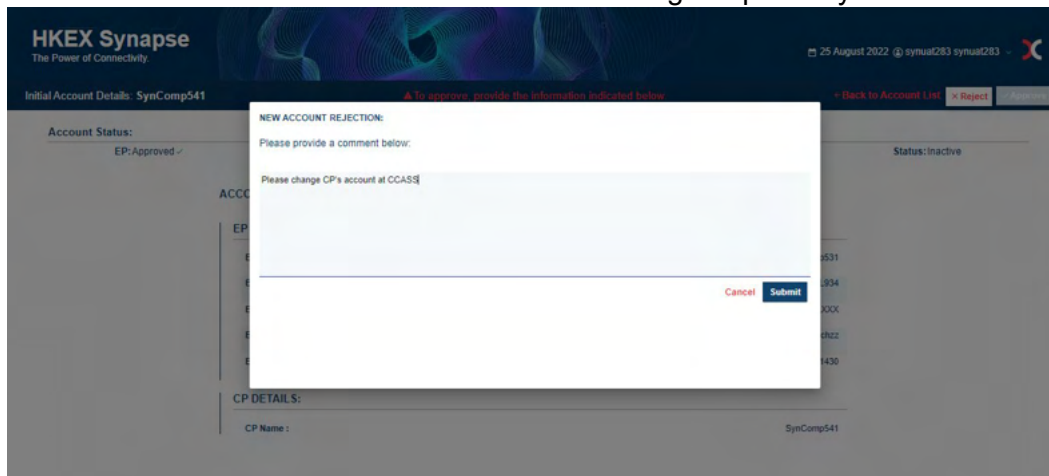
EP Name :	SynComp531
EP LEI :	151500866JYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=imifunds,ou=00a,o=creachzz
EP SEHK ID :	1430

CP DETAILS:

CP Name :	SynComp541
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- The CP Data Manager Input Authorise User agrees with the CP Data Manager Input Only User's rejection and is required to provide freeform text rejection reason(s) to reject

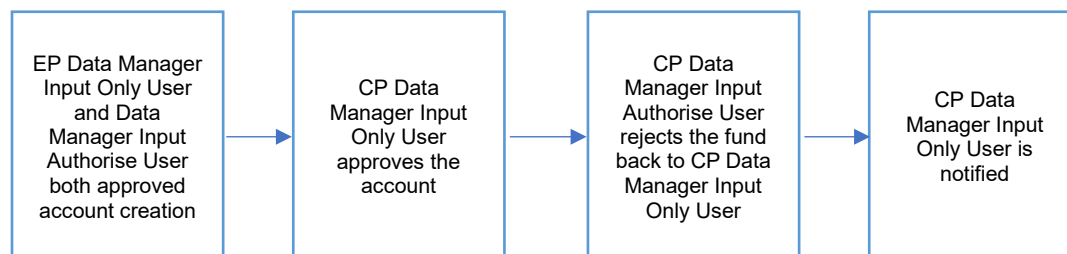
the Account submission back to the EP Data Manager Input Only User.



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

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

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



Please note if the CP has appointed an AO, after the AO Data Manager Input Only User approves the account but then rejected by the AO Data Manager Input Authorise User, the AO Data Manager Input Only User should reject the account for the AO Data Manager Input Authorise User to reject the Account submission back to the EP Data Manager Input Only User, since the AO Data Manager Input Only User is not able to edit the "CP's Account at CCASS" after the AO Data Manager Input Authorise User rejected the Account.

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

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

The screenshot shows the HKEX Synapse interface for account details. The top header includes the HKEX Synapse logo, the tagline "The Power of Connectivity", the date "25 August 2022", and user information "symua283 symua283". The initial account details are for "SynComp541". The account status is "EP: Approved", "CP Maker: Approved", and "CP Checker: Pending Approval ...". The status is "Inactive". The account details are as follows:

ACCOUNT DETAILS:	
EP DETAILS:	
EP Name :	SynComp531
EP LBI :	151500866JYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=infunds,ou=80a,o=oreschzz
EP SEHK ID :	1430
CP DETAILS:	
CP Name :	SynComp541

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

The screenshot shows the same HKEX Synapse interface as the previous one, but with a "NEW ACCOUNT REJECTION" dialog box open. The dialog box contains the text "Please provide a comment below:" and a text input field labeled "Comment". There is a "Cancel" button at the bottom right of the dialog box. The background is dimmed, showing the same account details as before.

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

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The Power of Connectivity

25 August 2022 symul283 symul283

Initial Account Details: SynComp541

Account Status: EP: Approved ✓

NEW ACCOUNT REJECTION:  
Please provide a comment below:  
Change CP's account at CCASS

Cancel Submit

CP DETAILS:  
CP Name: SynComp541

Status: Inactive

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 ‘•’ to ‘—’ in the CP column

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 symul281 symul281

Initial Account Details: SynComp541

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

ACCOUNT DETAILS:

EP DETAILS:

EP Name: SynComp531

EP LEI: 151500868LJYHUL934

EP BIC: DTCCSELLXXX

EP DN: cn=imfunds,ou=00a,c=oreschzz

EP SEHKID: 1430

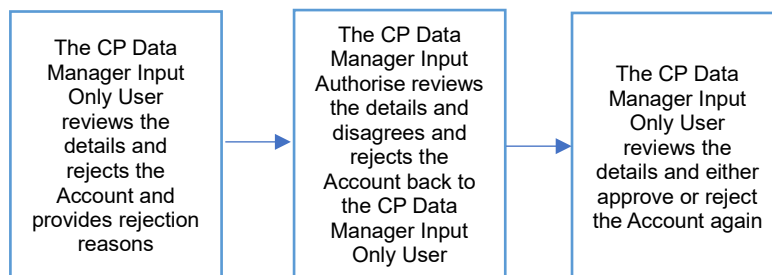
CP DETAILS:

Comment:  
Change CP's account at CCASS

CLOSE

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

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



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

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

The screenshot shows the 'Initial Account Details' page for 'SynComp541'. The page header includes the HKEX Synapse logo and a date of 26 August 2022. The account status is 'EP:Approved', 'CP Maker:Rejected', and 'CP Checker:Rejection Pending Approval'. The account details are as follows:

ACCOUNT DETAILS:	
<strong>EP DETAILS:</strong>	
EP Name :	SynComp531
EP LEI :	151500H66LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DIN :	cn=infunds,ou=80a,c=oreschzz
EP SEHK ID :	1430
<strong>CP DETAILS:</strong>	
CP Name :	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.

The screenshot shows the HKEX Synapse interface. A modal dialog titled "NEW ACCOUNT REJECTION" is displayed in the center. The dialog contains the text "Please provide a comment below:" followed by a large, empty text input area. At the bottom right of the dialog are "Cancel" and "Submit" buttons. The background interface shows account details for "SynComp541" with a status of "Inactive".

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

This screenshot is similar to the previous one, but the text input area in the "NEW ACCOUNT REJECTION" dialog now contains the text "Change CP's account at CCASS". The "Submit" button is highlighted in blue, indicating it is the active button.

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 '•' to '—' in the CP column

**HKEX Synapse**  
The Power of Connectivity

26 August 2022 symat283 symat283

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

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

Comment:  
Change CP's account at CCASS ☒ **CLOSE**

**ACCOUNT DETAILS:**

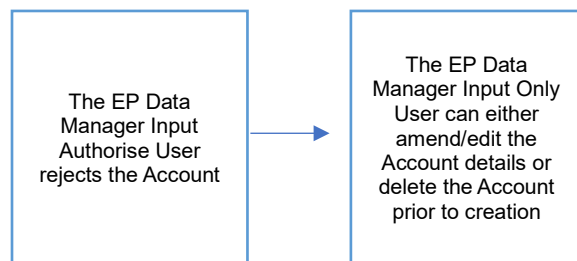
**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	czi-in/funds.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.



### 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.

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The Power of Connectivity

26 August 2022 | synua211 synua211

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

Account Status: EP Maker: Pending Amendment ... EP Checker: Rejected • CP: Pending ... Status: Inactive [Delete Account Creation](#)

ACCOUNT DETAILS: [Print](#)

EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500N66LJYHUL934
EP BIC :	DTCCEXXX
EP DN :	cn=invfunds.ou=80a.o=oreschzz
EP SEHK ID :	1430

CP DETAILS:

- 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”.

**HKEX Synapse**  
The Power of Connectivity

26 August 2022 | synua211 synua211

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

Account Status: EP Maker: Pending Amendment ... EP Checker: Rejected • CP: Pending ... Status: Inactive [Delete Account Creation](#)

ACCOUNT DETAILS: [Print](#)

EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500N66LJYHUL934
EP BIC :	DTCCEXXX
EP DN :	cn=invfunds.ou=80a.o=oreschzz
EP SEHK ID :	1430

CP DETAILS:

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

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26 August 2022 | synua211 synua211

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

ACCOUNTS 1 Awaiting EP Checker Approval 0 Awaiting CP Approval [Search](#) [Generate Report](#) [New Account](#)

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS	
SynComp541	812700N66LADSR3H679	DTCCEAGXXX	cn=invfunds.ou=80a.o=oreschzz	B01110	900546	2021-06-05	✓	✓	Active	<a href="#">DETAILS</a>
SynComp541	812700N66LADSR3H679	DTCCEAGXXX	cn=invfunds.ou=80a.o=oreschzz	B01110	900429	2021-06-05	✓	—	CP Checker Rejected	<a href="#">DETAILS</a>
SynComp542	948522R67AKFNEMM09	GOLDDEAGXXX	cn=invfunds.ou=80a.o=oreschzz	B01115	900427	2021-06-05	•	—	Pending EP Checker Approval	<a href="#">DETAILS</a>

## 6.3 Deactivate Account After Account is Activated

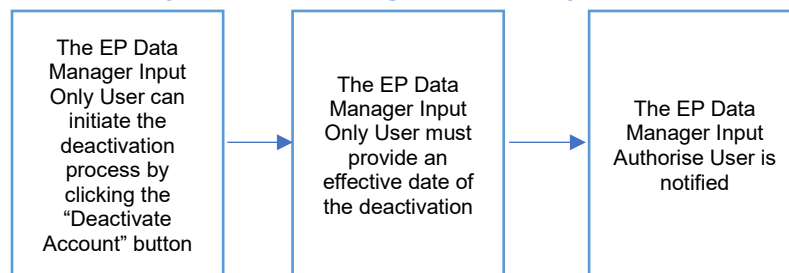
Accounts can be deactivated only by EP Data Manager Input Only User. Account deactivation occurs when the EP Data Manager Input Only User initiates the deactivation and the EP Data Manager Input Authorise User approves the deactivation. Account will then be deactivated on the effective date input by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

After the EP Data Manager Input Only User initiates the account deactivation and pending for EP Data Manager Input Authorise User's approval, it is not recommended for the EP Data Manager Input Only User to click the "Delete Account Creation" button, as after the EP Data Manager Input Only User click the "Delete Account Creation" button, then the account deactivation process will be reversed and the EP Data Manager Input Only User need to deactivate the account to start the whole account deactivation process again.

### 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 Client Connect and navigates to the Dashboard screen.
2. The EP Data Manager Input Only user can navigate to the Accounts List view by clicking the "Accounts" tab.

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01110	900546	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01110	900429	2021-06-05	✓	✗	CP Checker Rejected
SynComp542	948522R67AKFNEMM09	GOLDDDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01115	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**  
The Power of Connectivity

26 August 2022 @ synua211 synua211 X

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

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

**ACCOUNT DETAILS:**

**EP DETAILS:**

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

**CP DETAILS:**

CP Name :	SynComp541
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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**  
The Power of Connectivity

26 August 2022 @ synua211 synua211 X

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

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

**ACCOUNT DETAILS:**

**EP DETAILS:**

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

**CP DETAILS:**

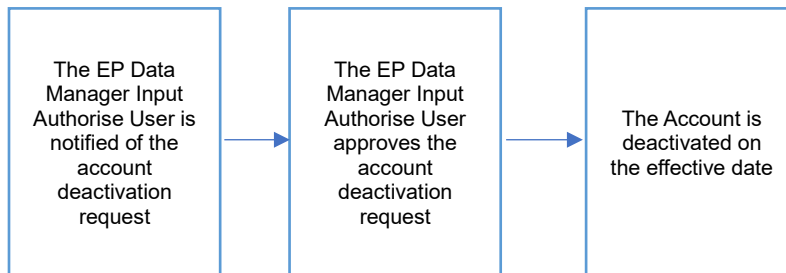
CP Name :	SynComp541
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**ACCOUNT DEACTIVATION:**  
Please specify account deactivation effective date:  
2022-08-26   
[Cancel](#) [Ok](#)

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 ‘•’ icon and the status column will show “Inactivation Pending Approval”

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LAD5ERSH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	900546	2022-08-27	✓	✓	Inactivation Pending Approval
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=infunds.ou=80a.o=creschzz	801115	900427	2021-06-05	+	-	Pending EP Checker Approval

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



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

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LAD5ERSH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	900546	2022-08-27	✓	✓	Inactivation Pending Approval
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=infunds.ou=80a.o=creschzz	801115	900427	2021-06-05	+	-	Pending EP Checker Approval

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



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

Account Status: [Delete Account Creation](#)

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

**ACCOUNT DETAILS:**

**EP DETAILS:**

EP Name :	SynComp531
EP LEI :	151500H66LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=in/funds.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”

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

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

Awaiting EP Checker Approval Awaiting CP Approval

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS	
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=in/funds.ou=80a.o=creschzz	B01115	900427	2021-06-05	+	-	Pending EP Checker Approval	<a href="#">DETAILS</a>
SynComp541	812700H66LADSESRHS79	DTCCDEAGXXX	cn=in/funds.ou=80a.o=creschzz	B01110	900546	2022-08-27	✓	✓	Inactivation Approved	<a href="#">DETAILS</a>

### Notification for Clearing Participant (CP):

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



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26 August 2022 @ symua281 symua281

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

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

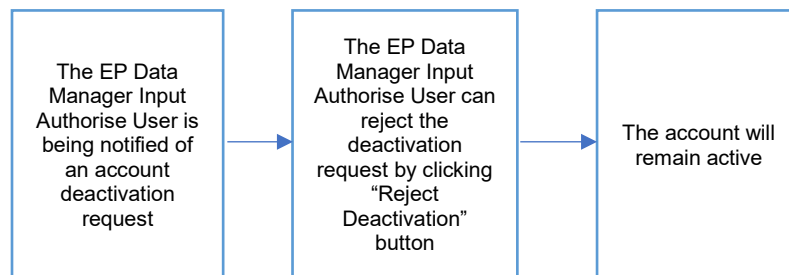
Search Generate Report

EP NAME	EP LEI	EP BIC	EP DN	EP SEHK ID	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	ACCOUNT EFFECTIVE DATE	EP'S CP STATUS
SynComp531	151500N66LJVHJUL934	DTCCSELLXXX	cn=infunds.ou=80a.o=creschzz	1430	900546	11	2022-08-27	Inactivation Approved

b. UI Notification on Dashboard page under Accounts

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

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



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

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26 August 2022 @ symua214 symua214

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

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

Search Generate Report New Account

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP'S CP STATUS
SynComp541	812700N66LADSESRH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	900546	2022-08-31	Inactivation Pending Approval
SynComp541	812700N66LADSESRH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	801110	902858	2021-06-05	Active
CP01234_SynapseCP	LAKVM34512JHRT84596	SYNCOMP326X	cn=infunds.ou=80a.o=creschzz	801227	9001961	2021-06-05	Pending EP Checker Approval
CP01235_SynapseCP	XBCVDU47121234EDFED8	SYNCOMP327X	cn=infunds.ou=80a.o=creschzz	801228	9001962	2021-06-05	EP Approved
SynComp319	9R2R2G2G2G2G2G2G2G2G	SYNCOMP318X	cn=infunds.ou=80a.o=creschzz	801213	9001963	2021-06-05	Active
SynComp283	Q69A3027GL2NFXTRPYOE	SYNCOMP283X	cn=infunds.ou=80a.o=creschzz	801138	9007962	2021-06-05	Active

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

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Initial Account Details: SynComp541

▲ Pending Account Deactivation Effective Date: 2022-08-31

Back to Account List

Reject Deactivation

Approve Deactivation

Account Status:

EP Maker: Approved ✓

EP Checker: Account Deactivation Pending Approval ...

CP: Approved ✓

Status: Active

Delete Account Creation

ACCOUNT DETAILS:

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500H66LJYHJUL934

EP BIC : DTCCSELLXXX

EP DN : cr=invfunds,ou=80a,c=oreschzz

EP SEHK ID : 1430

CP DETAILS:

CP Name : SynComp541

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

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26 August 2022 | symua214 | symua214

Initial Account Details: SynComp541

Back to Account List

Account Status:

EP Maker: Approved ✓

EP Checker: Approved ✓

CP: Approved ✓

Status: Active

ACCOUNT DETAILS:

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500H66LJYHJUL934

EP BIC : DTCCSELLXXX

EP DN : cr=invfunds,ou=80a,c=oreschzz

EP SEHK ID : 1430

CP DETAILS:

CP Name : SynComp541

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.

### 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

### 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

### 3. Clearing Participant (CP)

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

### 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

Synapse creates different types of Settlement Instructions. Settlement Instructions (SIs), Stock Segregated Account Transfer Instruction (STIs), and Special STIs (SSTIs) on behalf of its participants in CCASS after getting relevant participants' approval. SIs occur when the buy side and sell side are different entity (i.e., different CCASS participants). STIs occur when both the buy side (LC) and sell side (CP) are the same entity (i.e., same CCASS participant). SSTIs occur when both buy side and sell side are the same entity (i.e., same CCASS participant) but only one side is on Synapse. CCASS does not differentiate between SSTI and STI and both STI and SSTI will follow the standard CCASS STI mechanism.

### 7.1 Settlement Instructions List View

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

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

	<p>"Processing" in the list view instead of "Cancelled". If such SCV is subsequently being approved by GC/ LC / CP, then Synapse will send to CCASS and the unmatched / matched / settled counter will also be updated subsequently. Please refer to Section 7.5 for different CCASS status.</p>
Unmatched	<p>Shows the total number of Settlement Instructions (SI) with CCASS status "Unmatched" on current HKT business day and within the past 31 calendar days.</p> <p>Transactions with the following CCASS status are included into that counter:</p> <ul style="list-style-type: none"> <li>• NCRR – settlement currency unmatched</li> <li>• DSEC – stock code/ISIN unmatched</li> <li>• DQUA – quantity unmatched</li> <li>• CMIS – no possible matching SI found</li> <li>• OTHR – other</li> <li>• FRAP – payment instruction unmatched</li> <li>• PODU – possible matching SI but not earmarked as pairs</li> <li>• SAFE – client A/C no. unmatched</li> <li>• DMON – money value unmatched</li> <li>• DDAT – settlement date unmatched</li> <li>• DELN – transaction direction unmatched</li> </ul>
Matched	<p>Shows the total number of Settlement Instructions (SI and STI) with CCASS Status "Matched" on current HKT business day and within the past 31 calendar days.</p> <p>The CCASS statuses supported by Synapse are:</p> <ul style="list-style-type: none"> <li>• MTCH – matched</li> <li>• CYCL – matched – payment validated</li> <li>• CVAL – matched – RDP shares on hold</li> <li>• PREA – matched – matched on hold or counterparty instruction on hold</li> <li>• CAIS – pending for transfer (STI only)</li> </ul>
Settled	<p>Shows the total number of Settlement Instructions (SI and STI) with CCASS Status "Settled" for SI or "Transferred" for STI on current HKT business day. If the settlement instruction settled on current HKT business day is not created today (e.g. created previously on T-1), the "Settled" counter will not be reflected.</p> <p>The CCASS statuses supported by Synapse are:</p>

	<ul style="list-style-type: none"> <li>• SETD – settled</li> </ul>
Cancelled*	<p>Shows the total number of all cancelled transaction of SI and STI (all end of lifecycle statuses) on current HKT business day which is the same as the creation date. Cancelled SI / STI before approval will not be reflected.</p> <p>The CCASS statuses supported by Synapse are:</p> <ul style="list-style-type: none"> <li>• CSUB – cancelled – revoked SI by counterparty</li> <li>• CANS – cancelled – SI/STI purged</li> <li>• CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> </ul>

\*Please note if the buy-side and sell-side are onboarded to Synapse and the SI of both sides are approved in Synapse and sent to CCASS and became “Matched”, if there is a pair of cancellation SN sent to Synapse where one side (e.g. buy-side) of cancellation SN arrived first, Synapse will trigger SI regeneration for the other sell (e.g. sell-side), but the regenerated SI will eventually be cancelled in the next SI enquiry run which occur every 5 minutes.

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Dashboard

Settlement Instructions

Funds

Relationships

Market Data

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11 April 2023

synapse001 synapse001

Settlement Instructions

SETTLEMENT INSTRUCTIONS

55010

ProcessingUnmatchedMatchedSettledCancelled

INS TYPE

FUND ID

ISIN

QUANTITY

SETTLEMENT CURRENCY

SETTLEMENT AMOUNT

TYPE

PAYMENT MODE

FUND ACCOUNT AT GC

SP BIC

TRADE ID

GC

LC

CP

STATUS

SI

802231

CNE100000088

29.626

CNY

4,065,977.01

DELI

DVP

542231

DTCCSELLXXX

2119994155771021

—

—

—

DETAILS

STI

802231

CNE100000088

29.627

CNY

4,065,977.01

DELI

DVP

542231

DTCCSELLXXX

2962094155771021

—

—

—

DETAILS

SI

802231

CNE100000088

29.622

CNY

4,065,977.01

DELI

DVP

542231

DTCCSELLXXX

2962094155771021

—

—

—

DETAILS

SI

802231

CNE100000088

29.621

CNY

4,065,977.01

DELI

DVP

542231

2119994155771021

✓

✓

—

UnmatchedDETAILS

SI

802231

CNE100000088

29.624

CNY

4,065,977.01

DELI

DVP

542231

2119994155771021

✓

✓

—

UnmatchedDETAILS

SI

802231

CNE100000088

29.623

CNY

4,065,977.01

DELI

DVP

542231

2119994155771021

✓

✓

—

UnmatchedDETAILS

SI

802231

CNE100000088

29.626

CNY

4,065,977.01

DELI

DVP

542231

DTCCSELLXXX

2962094155771021

✓

✓

—

UnmatchedDETAILS

SI

802231

CNE100000088

2.231

CNY

4,065,977.01

DELI

DVP

542231

DTCCSELLXXX

2231094155771021

—

—

—

DETAILS

STI

802231

CNE100000088

22.312

CNY

4,065,977.01

DELI

DVP

542231

DTCCSELLXXX

2231094155771021

—

—

—

DETAILS

SI

002775

CNE100000088

2.775

CNY

4,065,977.01

DELI

DVP

543068

DTCCSELLXXX

3008994155771021

✓

✓

Settled

DETAILS

Previous

<

>

Next

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. The SI creation date will always show current date no matter which page is clicked by Synapse Users by pressing “Previous” or Next” at the bottom. 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 ‘—’



- ' '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

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP SIC	TRADE ID	GC	LC	CP	STATUS	Details
SI	862231	CNE100003038	29.626	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	-	-	-	Unmatched	Details
STI	862231	CNE100003038	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	Unmatched	Details
SI	862231	CNE100003038	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	Unmatched	Details
SI	862231	CNE100003038	29.622	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	29.621	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	29.624	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	29.623	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	29.626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	2.231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	Unmatched	Details
STI	862231	CNE100003038	22.312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	Unmatched	Details
SI	862775	CNE100003038	2.775	CNY	4,065,977.07	DELI	DVP	543068	DTCCSELLXXX	3068994155771021	✓	✓	✓	Settled	Details

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

## 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.

## Asset Managers (AM)

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP SIC	TRADE ID	GC	LC	CP	STATUS	Details
SI	862231	CNE100003038	29.626	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	-	-	-	Unmatched	Details
STI	862231	CNE100003038	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	Unmatched	Details
SI	862231	CNE100003038	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	Unmatched	Details
SI	862231	CNE100003038	29.622	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	29.621	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	29.624	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	29.623	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	29.626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	✓	✓	-	Unmatched	Details
SI	862231	CNE100003038	2.231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	Unmatched	Details
STI	862231	CNE100003038	22.312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-	Unmatched	Details
SI	862775	CNE100003038	2.775	CNY	4,065,977.07	DELI	DVP	543068	DTCCSELLXXX	3068994155771021	✓	✓	✓	Settled	Details

Field	Description
INS TYPE	Indicating the settlement instruction type, (i.e., SI, STI, SSTI)
Fund ID	Fund ID of the Fund onboarded in Synapse
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade

Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 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
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## Global Custodians (GC)

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16 May 2023

synuat071 synuat071

Dashboard

Settlement Instructions

Funds

Relationships

Market Data

Reports

Settlement Instructions

SETTLEMENT INSTRUCTIONS

40000

ProcessingUnmatchedMatchedSettledCancelled

Search

Generate Report

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS	
SI	CNE100003059	92.200	CNY	4,065,977.07	DELI	DVP	542548	DTCCSELLXXX	6058768034052433	-	-	-	-	DETAILS >
SI	CNE100003059	92.200	CNY	4,065,977.07	DELI	DVP	542548	DTCCSELLXXX	6058768034252433	-	-	-	-	DETAILS >
SI	CNE100003059	92.200	CNY	4,065,977.07	RECE	DVP	542695		9968768034052118	-	-	-	-	DETAILS >
SSTI	CNE100003059	92.200	CNY	4,065,977.07	DELI	DVP	542030		2030930122176672	-	-	-	-	DETAILS >

Previous

> Next

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: <ul style="list-style-type: none"> <li>- RDP (Real time Deliver versus Payment)</li> <li>- DVP (Deliver versus Payment)</li> <li>- FOP (Free of Payment)</li> </ul>
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

The screenshot displays the 'Settlement Instructions' page in the HKEX Synapse system. The top navigation bar includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', and a date of 11 April 2023. The main header shows 'Settlement Instructions' with a count of 5 unmatched, 5 matched, 10 settled, and 0 canceled instructions. The table below lists individual settlement instructions with various fields including instruction type, ISM, quantity, currency, amount, type, payment mode, GC account, cash ID, SPFA, trace ID, GC, LC, CP, and status. The table is filtered for 'Settlement Instructions' and shows a mix of 'Unmatched' and 'Settled' instructions.

INST TYPE	ISM	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CASH ID	SPFA	TRACE ID	GC	LC	CP	STATUS
SI	CNE330000000	23.321	CNY	4,685,377.97	DELI	DVP	762031	000000	2351604165771024	✓	✓	✓	✓	Settled
SI	CNE330000000	2,751	CNY	4,685,377.97	DELI	DVP	762031	000110	0000000	2351604165771024	✓	✓	✓	Settled
SI	CNE330000000	25.826	CNY	4,685,377.97	DELI	DVP	762031	001110	0000000	2351604165771024	✓	✓	✓	Settled
SI	CNE330000000	28.607	CNY	4,685,377.97	DELI	DVP	762031	000110	0000000	2362084165771024	✓	✓	✓	Settled
SI	CNE330000000	28.607	CNY	4,685,377.97	DELI	DVP	762031	000110	0000000	2362084165771024	✓	✓	✓	Settled
SI	CNE330000000	28.607	CNY	4,685,377.97	DELI	DVP	762031	000110	0000000	2362084165771024	✓	✓	✓	Settled
SI	CNE330000000	28.621	CNY	4,685,377.97	DELI	DVP	762031	001110	0000000	2369944165771024	✓	✓	✓	Settled
SI	CNE330000000	28.621	CNY	4,685,377.97	DELI	DVP	762031	001110	0000000	2369944165771024	✓	✓	✓	Settled
SI	CNE330000000	28.623	CNY	4,685,377.97	DELI	DVP	762031	001110	0000000	23719944165771024	✓	✓	✓	Settled
SI	CNE330000000	28.626	CNY	4,685,377.97	DELI	DVP	762031	001110	0000000	2362084165771024	✓	✓	✓	Settled
SI	CNE330000000	2,775	CNY	4,685,377.97	DELI	DVP	762060	001005	0000000	2369944165771024	✓	✓	✓	Settled

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## 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.

## Exchange Participant (EP)

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	AM BIC	TRADE ID	CP	GC	LC	STATUS
SI	CNE000000000	22.302	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing
STI	CNE000000000	2.239	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing
STI	CNE000000000	10.394	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing
STI	CNE000000000	76.407	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing
SI	CNE000000000	92.889	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing
SI	CNE000000000	92.889	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing
SI	CNE000000000	29.426	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing
SI	CNE000000000	2.692	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing
SI	CNE000000000	2.176	CNY	4,066,977.07	RECE	DVP	989546	ETCCNOR00XXX	888320M04702291	-	-	-	Processing

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: <ul style="list-style-type: none"> <li>- RDP (Real time Deliver versus Payment)</li> <li>- DVP (Deliver versus Payment)</li> <li>- FOP (Free of Payment)</li> </ul>
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

## Exchange Participant Middle Outsourcing Operator (EPOO)

Field	Description
INST TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
EP BIC	EP Business Identification Code
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: <ul style="list-style-type: none"> <li>- RDP (Real time Deliver versus Payment)</li> <li>- DVP (Deliver versus Payment)</li> <li>- FOP (Free of Payment)</li> </ul>
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

## Clearing Participant (CP)

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







## 7.2 Settlement Instruction Details View

### Key Settlement Instruction Details

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

#### 1. Buy Side

#### Asset Managers (AM)

HKEX Synapse The Power of Connectivity					
19 August 2022 symul003 symul003 X					
Back Settlement Instruction Details Trade ID: 0000000756190930					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCH9H1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	92.200	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.87	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount	0.00	FX Cancellation	ABCD
		Real Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	342679	AM BIC	DTCCMEORXXX	LC BIC	JMPPMJ55XXX
Name	Fidelity Asia Fund 2679	AM Name	SynComp501	LC Name	SynComp521
Fund Account at GC	542245	Investor ID	300013	SPSA	80000001
		GC BIC	FIVCGB21XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	B01110

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 SSTI. This applies to SSTI only
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade:

	- True - False
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### Trade Details

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

### Fund Details

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

### Participant Details

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

CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This applies to SSTI only
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## Global Custodian (GC)

<b>HKEX Synapse</b> The Power of Connectivity.					
19 August 2022 symul071 symul071					
Back Settlement Instruction Details Trade ID: 0000000756190930					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93906	Quantity	92,200	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount	0.00	FX Cancellation	ABCD
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	342679	AM BIC	DTCCMEORXXX	LC BIC	JMPPM255XXX
Name	Fidelity Asia Fund 2679	AM Name	SynComp501	LC Name	SynComp521
Fund Account at GC	542245	Investor ID	300013	SPSA	80000001
		GC BIC	FIVGGB21XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	B01110

## Financial Instrument Details

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

## Settlement Details

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

## Trade Details

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

## Fund Details

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

## Participant Details

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

**HKEX Synapse**  
The Power of Connectivity

19 August 2022 @ symua1141 symua1141

Back Settlement Instruction Details Trade ID: 0000000756190930 Reject Approve

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100003059	Depository BIC	X98CH9H1XXX	Trade Date	2021-06-05
Local Code	93906	Quantity	92,200	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount	0.00	FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS

FUND DETAILS		PARTICIPANT DETAILS	
ID	342679	AM BIC	DTCMEORXXX
Name	Fidelity Asia Fund 2679	AM Name	SynComp501
		Investor ID	300013
		GC BIC	FIVCGB21XXX
		GC Name	SynComp511

## Financial Instrument Details

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

## Settlement Details

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

## Trade Details

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

## Fund Details

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

## Participant Details

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

## 2. Sell Side

### Exchange Participant (EP)

<div> <div> <b>HKEX Synapse</b>  The Power of Connectivity. </div> <div> 19 August 2022 synua211 synua211 </div> </div>					
<a href="#">Back</a> Settlement Instruction Details Trade ID: 000000056341120					
<div> KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE </div>					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCH9H1XXX	Trade Date	2021-06-05
Local Code	93906	Quantity	92,200	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount	0.00	FX Cancellation	ERTS
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
EP BIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	900546				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				

### Financial Instrument Details

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

### Settlement Details

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



## Trade Details

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

## Participant Details

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

## Clearing Participant (CP)

<b>HKEX Synapse</b> <small>The Power of Connectivity</small>		19 August 2022 symul281 symul281	
<a href="#">Back</a> Settlement Instruction Details Trade ID: 0000000056341120		Reject Approve	
<b>KEY SETTLEMENT DETAILS</b>		SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE	
<b>FINANCIAL INSTRUMENT DETAILS</b>		<b>SETTLEMENT DETAILS</b>	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX
Local Code	93968	Quantity	92,200
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04
		Settlement Currency	CNY
		Settlement Amount	4,065,977.07
		Effective Settlement Date	
		Settled Currency	
		Settled Amount	
		Real-Time Settlement Indicator	False
<b>TRADE DETAILS</b>		Trade Date	
		Type	
		Payment	
		Deal Price Currency	
		Deal Price	
		Currency To Buy	
		Currency To Sell	
		FX Cancellation	
		USD	
		ERTS	
<b>PARTICIPANT DETAILS</b>			
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
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.

## Participant Details

Field	Description
EP BIC	EP Business Identification Code
EP Name	EP Name
EP's Account at CP	EP's Account No. at CP for the Account of the trade
CP BIC	CP Business Identification Code

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

## 7.3 SI/STI Approvals and Rejections

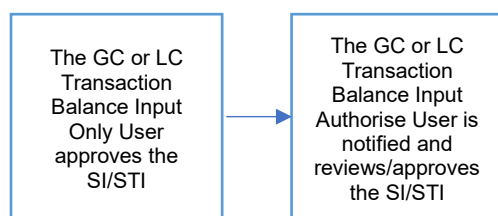
SIs and STIs can be approved or rejected on the Settlement Instruction Details view. Only users belonging to the same Participant Entity can see the internal approval status of Transaction Balance Input Only User and Transaction Balance Input Authorise User. Other Participants involved in the transaction 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.

Note: If DTCC send a cancellation SN for a SI/STI, the Synapse Status will become “CTHP” (i.e. Cancelled by Third Party). The GCs, LCs, and CPs would be able to view the status in the Settlement Status Tab and should not approve the SI/STI if the status is “CTHP”.

### 1. Buy Side



## Asset Managers (AM)

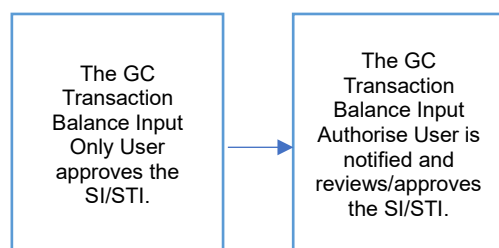
AMs have view only rights to SI/STI processing.

HKEX Synapse					
The Power of Connectivity.					
19 August 2022 symul003 symul003					
Back Settlement Instruction Details Trade ID: 0000000756190930					
KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK	
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100000009	Depository BIC	XHKCHH100X	Trade Date	2021-06-05
Local Code	93986	Quantity	82.200	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.87	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount	0.00	FX Cancellation	ABCD
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	342679	AM BIC	DTCCMEORXXX	LC BIC	JMPPM255XXX
Name	Fidelity Asia Fund 2679	AM Name	SynComp501	LC Name	SynComp521
Fund Account at GC	542245	Investor ID	300013	SPSA	80000001
		GC BIC	FIVCGB21XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	B01110

## 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 Client Connect 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 Connectivity.											
11 April 2023 symul011 symul011											
Dashboard Settlement Instructions Funds Relationships Market Data Reports											
Settlement Instructions											
SETTLEMENT INSTRUCTIONS											
Processing Unmatched Matched Settled Cancelled											
SI TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC
SI	CNE100000009	22,312	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	233188488771821	✓	✓
SI	CNE100000009	2,234	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	233188488771821	✓	✓
SI	CNE100000009	29,625	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	218894155771821	✓	✓
SI	CNE100000009	29,627	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	296288488771821	✓	✓
SI	CNE100000009	29,627	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	296288488771821	✓	✓
SI	CNE100000009	29,622	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	218894155771821	✓	✓
SI	CNE100000009	29,621	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	218894155771821	✓	✓
SI	CNE100000009	29,624	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	218894155771821	✓	✓
SI	CNE100000009	29,623	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	218894155771821	✓	✓
SI	CNE100000009	29,626	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	296288488771821	✓	✓
SI	CNE100000009	2,275	CNY	4,988,977.87	DEU	DVP	542231	DTCCBELLXXX	300884188771821	✓	✓

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

HKEX Synapse

The Power of Connectivity

11 April 2023 @ synapse71 synapse71

Back

Settlement Instruction Details Trade ID: 223199415571821

Report

Approval

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

CNC100000399

Depository BIC

BTCCDE33XXX

Trade Date

2023-04-05

Local Code

93990

Quantity

2.231

Type

DEU

Name

GLOBALVOC SERVICES/CONDUCTOR/DELLUX/ INC

Settlement Date

2023-04-06

Payment

CNP

Settlement Currency

CNP

Deal Price Currency

CNP

Settlement Amount

4,969,977.07

Deal Price

46.36

Effective Settlement Date

Currency To Buy

USD

Settled Currency

Currency To Sell

Settled Amount

FX Calculation

Real Time Settlement Indicator

False

FUND DETAILS

PARTICIPANT DETAILS

ID

802231

AM BIC

BTCCDE33XXX

LC BIC

BTCCDE33XXX

Name

Family Asia Fund 2231

AM Name

SynComp901

LC Name

SynComp901

Fund Account at GC

542231

Investor ID

300113

SFSA

30000001

GC BIC

BTCCDE33XXX

Counterparty - EP (BIC Name) (R)

GC Name

SynComp901

Counterparty - CP (BIC Name) (R)

801000

GC Account at LC

782231

CPA Account at CCASS

HKEX Synapse

The Power of Connectivity

11 APR 2023

@ synapse71 synapse71

Back

Settlement Instruction Details Trade ID: 223199415571821

Report

Agreement

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

GC MAKERS : -

Reason:

NA

GC CHECKER : -

Reason:

NA

LC APPROVED : -

Reason:

NA

CP APPROVED : -

Reason:

NA

CCASS STATUS:

Reason:

NA

CANCELLATION STATUS:

Reason:

NA

HKEX Synapse

The Power of Connectivity

Back

Settlement Instruction Details

Trade ID: 223199415571821

11 April 2023 @ synapse71

synapse71

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

GC MAKERS : APPROVED

Reason:

NA

GC CHECKER: --

Reason:

NA

LC APPROVER: --

Reason:

NA

CP APPROVER: --

Reason:

NA

CCASS STATUS:

Reason:

NA

CANCELLATION STATUS:

Reason:

NA

## 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 '•' in the GC column.

HKEX Synapse

The Power of Connectivity

11 April 2023 @ synapse71 synapse71

Dashboard

Settlement Instructions

Funds

Relationships

Market Data

Reports

Settlement Instructions

55010

ProcessingUnmatchedMatchedSettledCancelled

SearchGenerate Report

2021-05-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	CNC100000039	22.352	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	223199415571821	-	-	-	DETAILS
SI	CNC100000039	2.231	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	223199415571821	•	-	-	DETAILS
SI	CNC100000039	29.626	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	21999415571821	-	-	-	DETAILS
SI	CNC100000039	29.627	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	26239415571821	-	-	-	DETAILS
SI	CNC100000039	29.627	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	26239415571821	-	-	-	DETAILS
SI	CNC100000039	29.627	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	21999415571821	✓	✓	-	UnmatchedDETAILS
SI	CNC100000039	29.626	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	21999415571821	✓	✓	-	UnmatchedDETAILS
SI	CNC100000039	29.624	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	21999415571821	✓	✓	-	UnmatchedDETAILS
SI	CNC100000039	29.623	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	21999415571821	✓	✓	-	UnmatchedDETAILS
SI	CNC100000039	29.626	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	26239415571821	✓	✓	-	UnmatchedDETAILS
SI	CNC100000039	2.176	CNP	4,969,977.07	DEU	DUP	542231	BTCCDE33XXX	20099415571821	✓	✓	✓	SettledDETAILS

Previous

>Next

The GC 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

11 April 2023 10:58:073 synapse73 synapse73

Settlement Instruction Details Trade ID: 22319945577821

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100003059	Depository BIC	JPMCHD33XXX	Trade Date	2023-04-05
Local Code	92860	Quantity	2,228	Type	DEBT
Name	GRANDVIEW SEMICONDUCTOR BIDDING INC	Settlement Date	2023-04-05	Payment	DEBT
		Settlement Currency	CHF	Deal Price Currency	CHF
		Settlement Amount	4,045,977.87	Deal Price	44.06
		Effective Settlement Date		Currency To Sell	USD
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS	
ISIN	IE00311	AM BIC	BTCCMB00XXX
Name	Parity Asia Fund 2011	AM Name	SynComp001
Parent Account at GC	IE00311	Investor ID	300010
		GC BIC	BTCCMB00XXX
		GC Name	SynComp011
		GC's Account at LC	762221
		Counterparty - EP (BIC) Name (LTS)	BTCCMB00XXX
		Counterparty - CP CCASS ID	30000001
		CP's Account at CCASS	301118

**HKEX Synapse**  
The Power of Connectivity

11 April 2023 10:58:073 synapse73 synapse73

Settlement Instruction Details Trade ID: 22319945577821

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

SI STATUS

GC MAKER'S APPROVED	GC CHECKER'S APPROVED	LC APPROVED	CP APPROVED	CCASS STATUS	CANCELLATION STATUS
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

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 10:58:073 synapse73 synapse73

Settlement Instructions

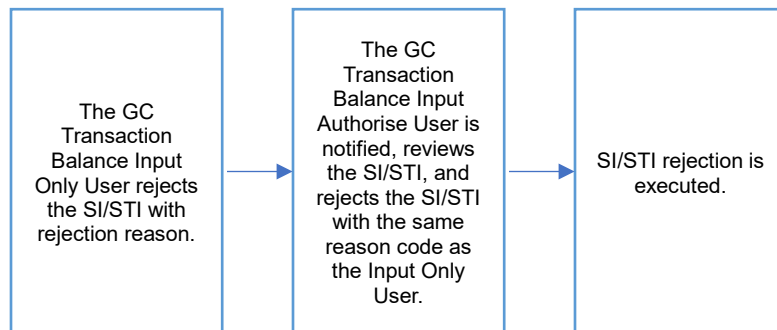
SETTLEMENT INSTRUCTIONS

5 5 0 1 0  
Processing Unmatched Matched Settled Cancelled

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	CHE100003059	2,228	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	22319945577821	✓	—	—	DETAILS
SI	CHE100003059	2,228	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	22319945577821	✓	—	—	DETAILS
SI	CHE100003059	26,428	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	21999415577821	✓	—	—	DETAILS
SI	CHE100003059	26,427	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	21999415577821	✓	—	—	DETAILS
SI	CHE100003059	26,422	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	21999415577821	✓	—	—	Unmatched DETAILS
SI	CHE100003059	26,421	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	21999415577821	✓	—	—	Unmatched DETAILS
SI	CHE100003059	26,424	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	21999415577821	✓	—	—	Unmatched DETAILS
SI	CHE100003059	26,423	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	21999415577821	✓	—	—	Unmatched DETAILS
SI	CHE100003059	26,426	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	21999415577821	✓	—	—	Unmatched DETAILS
SI	CHE100003059	2,776	CHF	4,045,977.87	DEBT	DVP	IE00311	BTCCMB00XXX	30000415577821	✓	✓	✓	Settled 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.

**HKEX Synapse**  
The Power of Connectivity

11 April 2023 11:00:07:11 synapse071 synapse071

Reject Approve

Settlement Instruction Details Trade ID: 2110954155771021

KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK		TRANSACTION REFERENCES AND LIFECYCLE	
<b>FINANCIAL INSTRUMENT DETAILS</b>		<b>SETTLEMENT DETAILS</b>		<b>TRADE DETAILS</b>			
ISIN	CNP00001100	Depository BIC	2100000000	Trade Date	2021-06-08		
Local Code	000001	Quantity	28.675	Type	DELI		
Name	GAO-GENE SEMICONDUCTOR (US) INC	Settlement Date	2021-06-08	Payment	DELI		
		Settlement Currency	CNY	Deal Price Currency	CNY		
		Settlement Amount	4,985,877.07	Deal Price	44.36		
		Effective Settlement Date		Currency To Buy	USD		
		Settled Currency		Currency To Sell			
		Settled Amount		FX Conversion			
		Real-Time Settlement Indicator	False				
<b>FUND DETAILS</b>		<b>PARTICIPANT DETAILS</b>					
ID	90231	AM BIC	0700000000	LC BIC	0700000000		
Name	Prudential Asia Fund 2021	AM Name	SynComp001	LC Name	SynComp001		
Fund Account at GC	54731	Investor ID	300113	SPSA	30000001		
		GC BIC	0700000000	Counterparty - PP BIC Name (P)			
		GC Name	SynComp001	Counterparty - CP CCASS ID	801000		
		GC's Account at LC	76231	CP's Account at CCASS			

**HKEX Synapse**  
The Power of Connectivity

11 April 2023 11:00:07:11 synapse071 synapse071

Reject Approve

Settlement Instruction Details Trade ID: 2110954155771021

KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK		TRANSACTION REFERENCES AND LIFECYCLE	
<b>FINANCIAL INSTRUMENT DETAILS</b>		<b>SETTLEMENT DETAILS</b>		<b>TRADE DETAILS</b>			
ISIN	CNP00001100	Depository BIC	2100000000	Trade Date	2021-06-08		
Local Code	000001	Quantity	28.675	Type	DELI		
Name	GAO-GENE SEMICONDUCTOR (US) INC	Settlement Date	2021-06-08	Payment	DELI		
		Settlement Currency	CNY	Deal Price Currency	CNY		
		Settlement Amount	4,985,877.07	Deal Price	44.36		
		Effective Settlement Date		Currency To Buy	USD		
		Settled Currency		Currency To Sell			
		Settled Amount		FX Conversion			
		Real-Time Settlement Indicator	False				
<b>FUND DETAILS</b>		<b>PARTICIPANT DETAILS</b>					
ID	90231	AM BIC	0700000000	LC BIC	0700000000		
Name	Prudential Asia Fund 2021	AM Name	SynComp001	LC Name	SynComp001		
Fund Account at GC	54731	Investor ID	300113	SPSA	30000001		
		GC BIC	0700000000	Counterparty - PP BIC Name (P)			
		GC Name	SynComp001	Counterparty - CP CCASS ID	801000		
		GC's Account at LC	76231	CP's Account at CCASS			

**REJECTION CODE:**

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

Cancel

**HKEX Synapse**  
The Power of Connectivity

11 April 2023 11:00:07:11 synapse071 synapse071

Reject Approve

Settlement Instruction Details Trade ID: 2110954155771021

KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK		TRANSACTION REFERENCES AND LIFECYCLE	
<b>FINANCIAL INSTRUMENT DETAILS</b>		<b>SETTLEMENT DETAILS</b>		<b>TRADE DETAILS</b>			
ISIN	CNP00001100	Depository BIC	2100000000	Trade Date	2021-06-08		
Local Code	000001	Quantity	28.675	Type	DELI		
Name	GAO-GENE SEMICONDUCTOR (US) INC	Settlement Date	2021-06-08	Payment	DELI		
		Settlement Currency	CNY	Deal Price Currency	CNY		
		Settlement Amount	4,985,877.07	Deal Price	44.36		
		Effective Settlement Date		Currency To Buy	USD		
		Settled Currency		Currency To Sell			
		Settled Amount		FX Conversion			
		Real-Time Settlement Indicator	False				
<b>FUND DETAILS</b>		<b>PARTICIPANT DETAILS</b>					
ID	90231	AM BIC	0700000000	LC BIC	0700000000		
Name	Prudential Asia Fund 2021	AM Name	SynComp001	LC Name	SynComp001		
Fund Account at GC	54731	Investor ID	300113	SPSA	30000001		
		GC BIC	0700000000	Counterparty - PP BIC Name (P)			
		GC Name	SynComp001	Counterparty - CP CCASS ID	801000		
		GC's Account at LC	76231	CP's Account at CCASS			

Account Service Decline Reason (ACDR)

Cash Account (CASH)

Common Reference Rejection (RRR)

Corporate Action Rejection (CAR)

Deal Price (DELP)

Impossible Cash Settlement System (ICSS)

Impossible To Use The RTGS System Indicated (RTGS)

Invalid Balance (IBAL)

Invalid Investor Party (IPRT)

Invalid Link (ILNK)

Invalid Lot Number (ILNR)

Invalid Rate (ILNR)

Invalid Security (ISSEC)

Link Of Stamp Date (SLSD)

Market Decline Reason (MADR)

Minimum Settlement Quantity (MSQC)

Multiple Settlement Quantity (MSQC)

Other (OTHR)

Physical Settlement Impossible (PSHI)

Place Of Listing (PLCS)

Place Of Settlement (PSPL)

Place Of Trade (PLCS)

Processing Batch Rejection (BART)

Quantity Reason (SQUR)

Receiving Delivering Degeneracy (DEPT)

Receiving Delivering Party 1 (RCAG)

Receiving Delivering Party 2 (RCAT)

Receiving Delivering Party 3 (RCAT)

Reference Rejection (RRR)

Settlement Account Rejection (SARE)

Settlement Amount Currency Rejection (SARC)

Settlement Amount Rejection (SARC)

Settlement Date Rejection (SDAT)

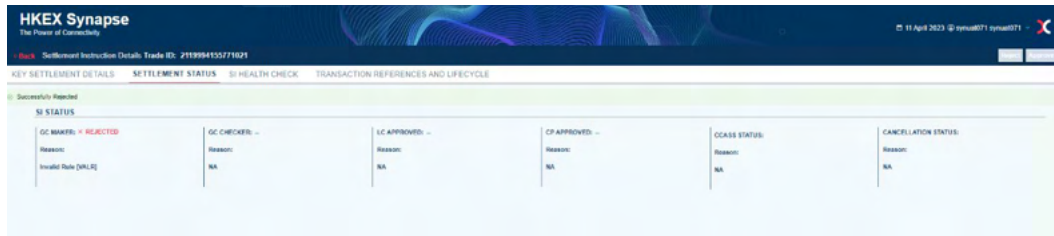
Settlement System Method Rejection (SETR)

Settlement Transaction Rejection (SETR)

Tax Status Rejection (TSRT)

Trade Date (TRDT)





## 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 '•' in the GC column.

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
ST	CNE100000000	22.312	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2211994155/71821	—	—	—	BETAUL •
ST	CNE100000000	29.426	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2188941867/7821	•	—	—	BETAUL •
ST	CNE100000000	29.427	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2622941867/7821	—	—	—	BETAUL •
ST	CNE100000000	29.427	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2622941867/7821	—	—	—	BETAUL •
SI	CNE100000000	29.429	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2188941867/7821	✓	✓	—	Unmatched BETAUL •
SI	CNE100000000	29.431	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2188941867/7821	✓	✓	—	Unmatched BETAUL •
SI	CNE100000000	29.424	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2188941867/7821	✓	✓	—	Unmatched BETAUL •
SI	CNE100000000	29.425	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2188941867/7821	✓	✓	—	Unmatched BETAUL •
SI	CNE100000000	29.428	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2622941867/7821	✓	✓	—	Unmatched BETAUL •
SI	CNE100000000	2.778	CNY	4,985,977.87	DEU	DVP	540888	OTCCBLXXX	3888941867/7821	✓	✓	✓	Settled BETAUL •
SI	CNE100000000	2.231	CNY	4,985,977.87	DEU	DVP	542231	OTCCBLXXX	2211994155/71821	✓	—	—	BETAUL •

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.

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100000000	Quantity	29.426	Trade Date	2021-04-05
Local Code	90996	Settlement Date	2021-04-06	Type	DEU
Name	GLOBAL SERVICE FINANCIAL INSTITUTIONS BIC	Settlement Currency	CNY	Deal Price Currency	DEU
		Settlement Amount	4,985,977.87	Deal Price	44.08
		Effective Settlement Date		Currency To Sell	USD
		Settled Amount		Currency To Sell	USD
		Real Time Settlement Indicator	False	FX Cancellation	
FUND DETAILS		PARTICIPANT DETAILS			
ID	542231	AM BIC	OTCCBLXXX	LC BIC	JAPFAUSXXX
Name	Fidelity Asia Fund 2231	AM Name	SynCamp01	LC Name	SynCamp021
Fund Account at GC	542231	Investor ID	308103	SPIN	600000001
		GC BIC	FVUGGB21XXX	Counterparty - EP (BIC) Name (LEI)	
		GC Name	SynCamp01	Counterparty - CP (CCASS ID)	880110
		GCN Account at LC	762231	CPN Account at CCASS	

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

HKEX Synapse

The Power of Connectivity

11 April 2023

synapse@73 synapse@73

Home

Settlement Instruction Details Trade ID: 2119994155/71621

Report

Approval

KEY SETTLEMENT DETAILS

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FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

Local Code

Name

FUND DETAILS

ID

Name

Fund Account at GC

REJECTION CODE:

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

Cancel

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TRADE DETAILS

ISIN

Local Code

Name

FUND DETAILS

ID

Name

Fund Account at GC

Account Service Deadline Missed (JDRM)

Cash Payment (CASH)

Corporate Instruction Rejection (CIRI)

Corporate Action Rejection (CIAR)

Deal Price (DPR)

Impossible Cash Settlement System (ICSS)

Impossible To Use The RTGS System Induced (RTGS)

Invalid Balance (IBAL)

Invalid Investor Party (IIPR)

Invalid Lot (INLT)

Invalid Lot Number (ILNR)

Invalid Rule (IRUL)

Invalid Security (ISER)

Lack Of Stamp Duty (LSDU)

Market Deadline Missed (LATE)

Minimum Settlement Quantity (MSQ)

Multiple Settlement Quantity (MSQ)

Other (OTHR)

Physical Settlement Impossible (PSI)

Place Of Listing (PLIS)

Place Of Settlement (PSPE)

Place Of Trade (PLCE)

Processing Batch Rejection (BRT)

Quantity Rejection (QDQR)

Receiving Delisting Depository (DLPT)

Receiving Delisting Party 1 (DCD1)

Receiving Delisting Party 2 (DCD2)

Receiving Delisting Party 3 (DCD3)

Reference Rejection (RRPT)

Settlement Account Rejection (SAR)

Settlement Account Currency Rejection (SACR)

Settlement Account Rejection (SAR)

Settlement Date Rejection (SDAT)

Settlement System Invalid Rejection (SSIR)

Settlement Transaction Rejection (STR)

No Trade Rejection (NTR)

Trade Date (TRSD)

HKEX Synapse

The Power of Connectivity

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Settlement Instruction Details Trade ID: 2119994155/71621

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KEY SETTLEMENT DETAILS

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FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

Local Code

Name

FUND DETAILS

ID

Name

Fund Account at GC

REJECTION CODE:

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

Invalid Rule (IRUL)

Cancel

Submit

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11 April 2023 @ syna0073 syna0073

Back Settlement Instructions Details Trade ID: 211994155/71621

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

SI STATUS

GC REASON: X REJECTED	GC CHECKER: X REJECTED	LC APPROVED: --	CP APPROVED: --	CCLASS STATUS:	CANCELLATION STATUS:
Reason: Invalid Rule (D/L/R)	Reason: Invalid Rule (D/L/R)	Reason: NA	Reason: NA	Reason: NA	Reason: NA

- 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 Synapse**  
The Power of Connectivity

11 April 2023 @ syna0073 syna0073

Dashboard Settlement Instructions Funds Market Data Reports

Settlement Instructions

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

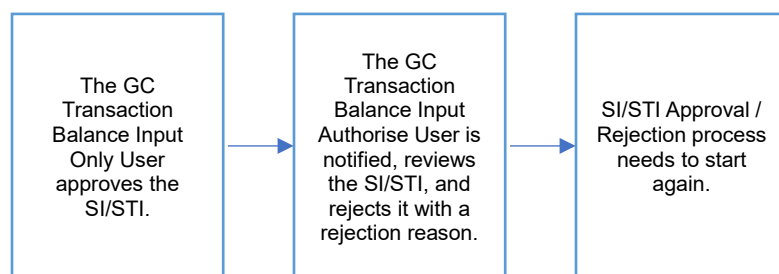
2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP (BC)	TRADE ID	GC	LC	CP	STATUS
STI	CNC120000330	27.342	CHF	4,865,977.07	DSB	DUP	542753	DTCCRELLXXX	233484195771621	--	--	--	RETAIL
SI	CNC120000330	29.626	CHF	4,865,977.07	DSB	DUP	542753	DTCCRELLXXX	211994155/71621	X	--	--	RETAIL
STI	CNC120000330	29.627	CHF	4,865,977.07	DSB	DUP	542231	DTCCRELLXXX	2862084155/71621	--	--	--	RETAIL
SI	CNC120000330	29.627	CHF	4,865,977.07	DSB	DUP	542231	DTCCRELLXXX	2862084155/71621	--	--	--	RETAIL
SI	CNC120000330	29.622	CHF	4,865,977.07	DSB	DUP	542231	DTCCRELLXXX	211994155/71621	✓	✓	--	Unmatched RETAIL
SI	CNC120000330	29.621	CHF	4,865,977.07	DSB	DUP	542231	DTCCRELLXXX	211994155/71621	✓	✓	--	Unmatched RETAIL
SI	CNC120000330	29.624	CHF	4,865,977.07	DSB	DUP	542231	DTCCRELLXXX	211994155/71621	✓	✓	--	Unmatched RETAIL
SI	CNC120000330	29.623	CHF	4,865,977.07	DSB	DUP	542231	DTCCRELLXXX	211994155/71621	✓	✓	--	Unmatched RETAIL
SI	CNC120000330	29.626	CHF	4,865,977.07	DSB	DUP	542753	DTCCRELLXXX	2862084155/71621	✓	✓	--	Unmatched RETAIL
SI	CNC120000330	2.716	CHF	4,865,977.07	DSB	DUP	542686	DTCCRELLXXX	388084155/71621	✓	✓	✓	Settled RETAIL
SI	CNC120000330	2.731	CHF	4,865,977.07	DSB	DUP	542753	DTCCRELLXXX	233484195771621	✓	--	--	RETAIL

Previous 1 > Total

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

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



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

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

3. On SI List View, the icon will change from '•' 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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INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	CP INC	TRADE ID	GC	LC	CP	STATUS
SI	CNE100000000	20 312	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	20 827	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	20 827	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	20 822	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	20 821	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	20 824	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	20 823	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	20 826	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	2 775	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	2 221	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled
SI	CNE100000000	20 825	CNY	4,995,977.67	DSJ	DUP	542231	DTCCRELLXXX	23198445877921	✓	✓	✓	Settled

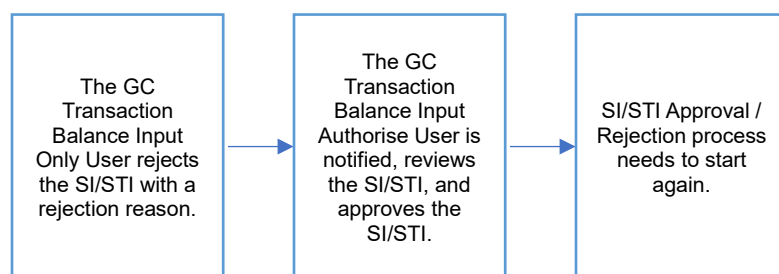
## Rejection by GC Transaction Balance Input Only User; Rejection by GC Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):

1. On SI List View, the icon will change from '•' 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.

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



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

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

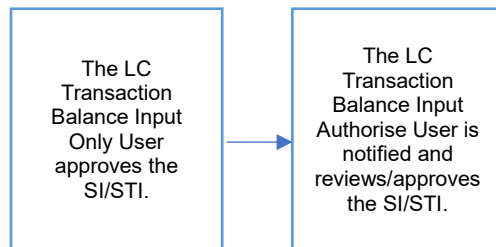
The re-approval process is the same as approval, while the re-reject process is the same as rejection.



INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	CP BIC	TRADE ID	GC	LC	CP	STATUS
SI	CNE100003059	20,510	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23338445577021	-	-	-	Settled
SI	CNE100003059	20,827	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled
SI	CNE100003059	20,827	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled
SI	CNE100003059	20,827	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled
SI	CNE100003059	20,824	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled
SI	CNE100003059	20,825	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled
SI	CNE100003059	20,826	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled
SI	CNE100003059	2,775	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled
SI	CNE100003059	2,231	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled
SI	CNE100003059	20,825	CNY	4,085,977.07	DELI	DVP	842234	ETCCDELLXXX	23620445577021	-	-	-	Settled

## 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 Client Connect 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".

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS
SI	CNE100003059	270,600	CNY	4,085,977.07	DELI	DVP	762796	B01110	80000001	2706012176691269	-	-	-	Settled
SI	CNE100003059	2,102	CNY	4,085,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190943	-	-	-	Settled
SI	CNE100003059	2,102	CNY	4,085,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190944	-	-	-	Settled
SI	CNE100003059	2,102	CNY	4,085,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190941	-	-	-	Settled
SI	CNE100003059	2,102	CNY	4,085,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190942	-	-	-	Settled
SI	CNE100003059	2,102	CNY	4,085,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190940	-	-	-	Settled

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Settlement Instruction Details Trade ID: 0000000756190940

Reject Approve

KEY SETTLEMENT DETAILS

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FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN	CNE1000030S9	Depository BIC	JHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Type	DELI
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	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS

ID	555777	AM BIC	DTCCMEGRXXX	LC BIC	JMPPMU55XXX
Name	Fidelity Asia Fund 777	AM Name	SynComp501	LC Name	SynComp521
		Investor ID	300013	SPSA	800000001
		GC BIC	FVVCGB21XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	001110
		GC's Account at LC	123456789	CP's Account at CCASS	

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

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Settlement Instruction Details Trade ID: 0000000756190940

Reject Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

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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

Successfully Approved

SI STATUS

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

## Approval by LC Transaction Balance Input Authorise User:

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



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SETTLEMENT INSTRUCTIONS

50010

Processing Unmatched Matched Settled Cancelled

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2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS	
SI	CNE100003059	279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001	2796012170691269	✓	✓	✓	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	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190940	✓	•	—		DETAILS >

Previous <

> Next

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

HKEX Synapse

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Settlement Instruction Details Trade ID: 0000000756190940

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN	CNE100003059	Depository BIC	XHKC2H01XXXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Type	DELI
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	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS

PARTICIPANT DETAILS

ID	505777	AM BIC	DTCOMEORXXX	LC BIC	JMPFIMUSXXX
Name	Fidelity Asia Fund 777	AM Name	SynComp501	LC Name	SynComp521
		Investor ID	300013	SPSA	80000001
		GC BIC	FIVCGB21XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	B01110
		GC's Account at LC	123456789	CP's Account at CCASS	

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Settlement Instruction Details Trade ID: 0000000756190940

Reject

Approve

KEY SETTLEMENT DETAILS

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Settlement Instruction Details Trade ID: 0000000756190940

Reject

Approve

KEY SETTLEMENT DETAILS

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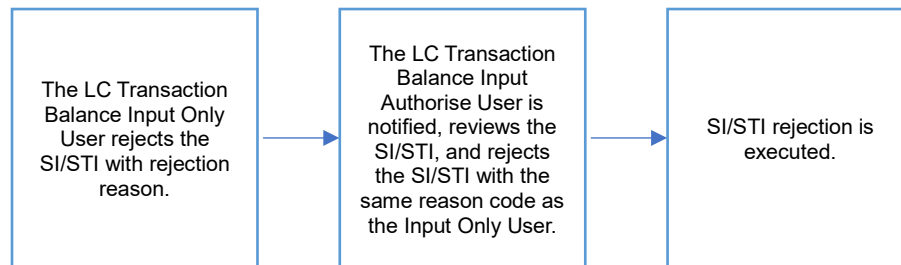
Successfully Approved

SI STATUS

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

- If the GC has not yet approved the SI/STI, then the GC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI 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:

- The LC Transaction Balance Input Only User logs in to Synapse via Client Connect 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.					
13 April 2023 14:11 synuat141 synuat141					
Back Settlement Instruction Details Trade ID: 0000000756190941					
Reject Approve					
KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK	
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHRH1XXX	Trade Date	2021-06-05
Local Code	93086	Quantity	2,102	Type	DELI
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	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	555777	AM BIC	DTCCMEORXXX	LC BIC	JMPPMU55XXX
Name	Fidelity Asia Fund 777	AM Name	SynComp501	LC Name	SynComp521
		Investor ID	300013	SPSA	80000001
		GC BIC	FVCCGB21XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	B01110
		GC's Account at LC	123456789	CP's Account at CCASS	

- 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.

13 April 2023 synuat141 synuat141

Back Settlement Instruction Details Trade ID: 0000000756190941

Reject Approve

**KEY SETTLEMENT DETAILS**

**FINANCIAL INSTRUMENT DETAILS**

ISIN  
Local Code  
Name  
GROADEVICE

**FUND DETAILS**

ID  
Name

**REJECTION CODE:**

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

Cancel

2021-06-05  
DELI  
DVP  
CNY  
44.06

JMPPM5500K  
SynComp521  
80000001

GC Name  
GC's Account at LC

SynComp511  
123456789

Counterparty - CP CCASS ID  
CP's Account at CCASS

B01110

**HKEX Synapse**  
The Power of Connectivity.

13 April 2023 synuat141 synuat141

Back Settlement Instruction Details Trade ID: 0000000756190941

Reject Approve

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

Successfully Rejected

**SI STATUS**

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

## Rejection by LC Transaction Balance Input Authorise User:

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

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13 April 2023 synuat143 synuat143

Dashboard Settlement Instructions Funds Relationships Market Data Reports

**Settlement Instructions**

**SETTLEMENT INSTRUCTIONS**

4 1 0 1 0  
Processing Unmatched Matched Settled Cancelled

Search Generate Report

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS
SI	CNE100003089	279.600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001	2796912176691269	✓	✓	✓	Settled
SI	CNE100003089	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190943	—	—	—	DETAILS
SI	CNE100003089	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	0000000756190941	—	•	—	DETAILS
SI	CNE100003089	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	123456789	B01110	80000001	0000000756190940	✓	✓	—	Unmatched

Previous Next

- 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 Details

Trade ID: 0000000756190941

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN	CNE1000030S9	Depository BIC	XH9KCHGH1XXX	Trade Date	2021-06-05
Local Code	93906	Quantity	2,102	Type	DELI
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	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS

PARTICIPANT DETAILS

ID	555777	AM BIC	DTCCMEORXXX	LC BIC	JMPPMJ55XXX
Name	Fidelity Asia Fund 777	AM Name	SynComp501	LC Name	SynComp521
		Investor ID	300013	SPSA	80000001
		GC BIC	FVCG021XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	B01110
		GC's Account at LC	123456789	CP's Account at CCASS	

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The Power of Connectivity.

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Back

Settlement Instruction Details

Trade ID: 0000000756190941

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN	CNE1000030S9	Depository BIC	XH9KCHGH1XXX	Trade Date	2021-06-05
Local Code	93906	Quantity	2,102	Type	DELI
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	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS

PARTICIPANT DETAILS

ID	555777	AM BIC	DTCCMEORXXX	LC BIC	JMPPMJ55XXX
Name	Fidelity Asia Fund 777	AM Name	SynComp501	LC Name	SynComp521
		Investor ID	300013	SPSA	80000001
		GC BIC	FVCG021XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	B01110
		GC's Account at LC	123456789	CP's Account at CCASS	

Account Servicer Deadline Missed [ADEA]

Cash Account [CASH]

Common Reference Rejection [IIND]

Corporate Action Rejection [CAEV]

Deal Price [DOEA]

Impossible Cash Settlement System [CASY]

Impossible To Use The RTGS System Instructed [RTGS]

Invalid Balance [INVB]

Invalid Investor Party [INVE]

Invalid Link [INVL]

Invalid Lot Number [INVN]

Invalid Rule [VALR]

Invalid Security [DSEC]

Lack Of Stamp Duty [SDUT]

Market Deadline Missed [LATE]

Minimum Settlement Quantity [MINQ]

Multiple Settlement Quantity [MUNQ]

Other [OTHR]

Physical Settlement Impossible [PHYS]

Place Of Listing [PLIS]

Place Of Safekeeping [INPS]

Place Of Trade [PLCE]

Processing Batch Rejection [BATC]

Quantity Rejection [DQUA]

Receiving Delivering Depository [DEPT]

Receiving Delivering Party 1 [ICAG]

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13 April 2023

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Back

Settlement Instruction Details

Trade ID: 0000000756190941

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN	CNE1000030S9	Depository BIC	XH9KCHGH1XXX	Trade Date	2021-06-05
Local Code	93906	Quantity	2,102	Type	DELI
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	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS

PARTICIPANT DETAILS

ID	555777	AM BIC	DTCCMEORXXX	LC BIC	JMPPMJ55XXX
Name	Fidelity Asia Fund 777	AM Name	SynComp501	LC Name	SynComp521
		Investor ID	300013	SPSA	80000001
		GC BIC	FVCG021XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	B01110
		GC's Account at LC	123456789	CP's Account at CCASS	

REJECTION CODE:

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

Account Servicer Deadline Missed [ADEA]

Cancel

Submit

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



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Back Settlement Instruction Details Trade ID: 0000000756190941

Reject Approve

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

Successfully Rejected

**SI STATUS**

LC MAKER: <span style="color: red;">X REJECTED</span>	LC CHECKER: <span style="color: red;">X REJECTED</span>	GC APPROVED: --	CP APPROVED: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: Account Servicer Deadline Missed [ADEA]	Reason: Account Servicer Deadline Missed [ADEA]	Reason: NA	Reason: NA	Reason: NA	Reason: NA

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

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Dashboard

Settlement Instructions

Funds

Relationships

Market Data

Reports

Settlement Instructions

SETTLEMENT INSTRUCTIONS

41010

ProcessingUnmatchedMatchedSettledCancelled

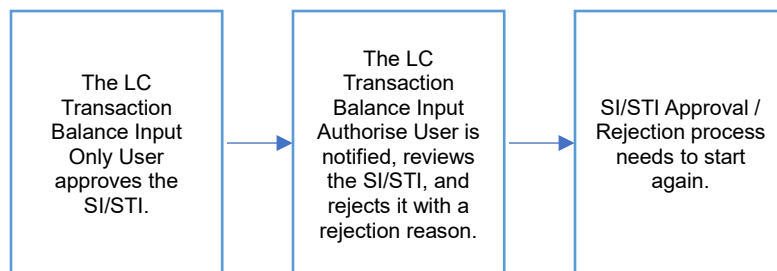
Search

Generate Report

2021-06-05

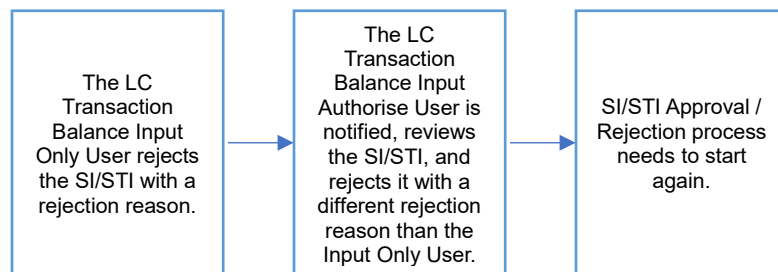
INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS	
SI	CNE1000030S9	279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	✓	✓	✓		Settled	DETAILS
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789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

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



1. Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. LC Transaction Balance Input Only User can see the Approval is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
3. On SI List View, the icon will change from '•' 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.

The screenshot shows the HKEX Synapse interface. At the top, it says "HKEX Synapse The Power of Connectivity." and "13 April 2023". Below this, there's a "Settlement Instruction Details" section with "Trade ID: 0000000756190942". A "REJECTION CODE:" dialog box is open, asking the user to select a code for rejection. The selected code is "Safekeeping Account Rejection [SAFE]". There are "Cancel" and "Submit" buttons. On the left, under "SI STATUS", it says "LC MAKER: X REJECTED" and "Reason: Account Servicer Deadline Missed [ADEA]". On the right, under "CANCELLATION STATUS:", it says "Reason: NA".

**HKEX Synapse**  
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13 April 2023 ④ synuat143 synuat143

Back Settlement Instruction Details Trade ID: 0000000756190942 Reject Approve

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

Rejected to Maker

**SI STATUS**

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 '•' 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.

**HKEX Synapse**  
The Power of Connectivity.

13 April 2023 ④ synuat143 synuat143

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

Settlement Instructions

**SETTLEMENT INSTRUCTIONS**

4 1 0 1 0  
Processing Unmatched Matched Settled Cancelled

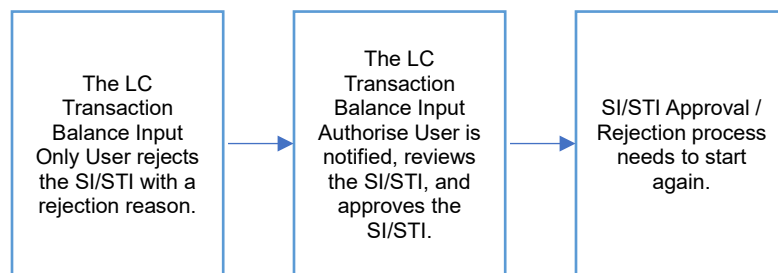
Search Generate Report

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS
SI	CNE1000030S9	279,609	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001	2796912176691269	✓	✓	✓	Settled
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190943	—	—	—	DETAILS
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190944	—	—	—	DETAILS
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190942	—	—	—	DETAILS
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190940	✓	✓	—	Unmatched
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190941	—	✗	—	DETAILS

Previous < > Next

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



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



- On SI List View, the icon will change from '•' 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.

## 2. Sell Side

### Exchange Participant (EP)

EPs have view only rights to SI/STI processing.

HKEX Synapse													
The Power of Connectivity.													
13 April 2023 synuat211 synuat211													
Dashboard Settlement Instructions Accounts Relationships Market Data													
Settlement Instructions													
SETTLEMENT INSTRUCTIONS													
6 0 0 1 0													
Processing Unmatched Matched Settled Cancelled													
INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	AM BIC	TRADE ID	CP	GC		
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341153	✓	✓		
SI	CNE100003059	279,600	CNY	4,065,977.07	RECE	DVP	900546	DTCCMEORXXX	5000916261292796	✓	✓		
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341152	✓	✓		
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341154	✓	✓		
SI	CNE100003059	92,000	CNY	4,065,977.07	DELI	DVP	900546	DTCCMEORXXX	5000916261222796	✓	✓		
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341150	✓	✓		
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	000000056341151	✓	✓		
Previous < > Next													

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The Power of Connectivity.

13 April 2023

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Settlement Instruction Details

Trade ID: 000000056341154

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

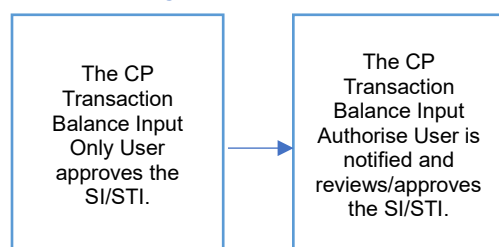
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHQ11XXX	Trade Date	2021-06-05
Local Code	93966	Quantity	2,102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS

EP BIC	DTCCSELLXXX
EP Name	SynComp531
EP's Account at CP	999991
CP BIC	DTCCDEAGXXX
CP Name	SynComp541
CP's Account at CCASS	11

## 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 Client Connect and navigates to the Dashboard screen.
2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003059	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	✓	✓	✓	Settled
SI	CNE100003059	279,000	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341152	✓	✓	✓	Settled
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341153	✓	✓	✓	Settled
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341154	✓	✓	✓	Settled
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341155	✓	✓	✓	Settled
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341151	✓	✓	✓	Settled

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

HKEX Synapse

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13 April 2023

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Back

Settlement Instruction Details

Trade ID: 0000000056341150

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

CNE100003059

Depository BIC

XHKCHH1XXX

Trade Date

2021-06-05

Local Code

93986

Quantity

2,102

Type

RECE

Name

GIGADEVICE SEMICONDUCTOR(BEIJING) INC

Settlement Date

2021-06-06

Payment

DVP

Settlement Currency

CNY

Deal Price Currency

CNY

Settlement Amount

4,065,977.07

Deal Price

44.06

Effective Settlement Date

Currency To Buy

Settled Currency

Currency To Sell

USD

Settled Amount

FX Cancellation

Real-Time Settlement Indicator

False

PARTICIPANT DETAILS

EP BIC

DTCCSELLXXX

EP Name

SynComp531

EP's Account at CP

909991

CP BIC

DTCCDEAGXXX

CP Name

SynComp541

CP's Account at CCA55

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HKEX Synapse

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13 April 2023

synuat281 synuat281

Back

Settlement Instruction Details

Trade ID: 0000000056341150

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

CP MAKER: —

CP CHECKER: —

GC APPROVED: ✓ APPROVED

LC APPROVED: ✓ APPROVED

CCASS STATUS:

CANCELLATION STATUS:

Reason:

Reason:

Reason:

Reason:

Reason:

Reason:

NA

NA

NA

NA

NA

NA

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Back

Settlement Instruction Details

Trade ID: 0000000056341150

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

CP MAKER: ✓ APPROVED

CP CHECKER: —

GC APPROVED: ✓ APPROVED

LC APPROVED: ✓ APPROVED

CCASS STATUS:

CANCELLATION STATUS:

Reason:

Reason:

Reason:

Reason:

Reason:

Reason:

NA

NA

NA

NA

NA

NA

## Approval by CP Transaction Balance Input Authorise User:

- 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 '•' in the CP column.

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13 April 2023 synuat283 synuat283

Back Settlement Instruction Details Trade ID: 0000000056341150

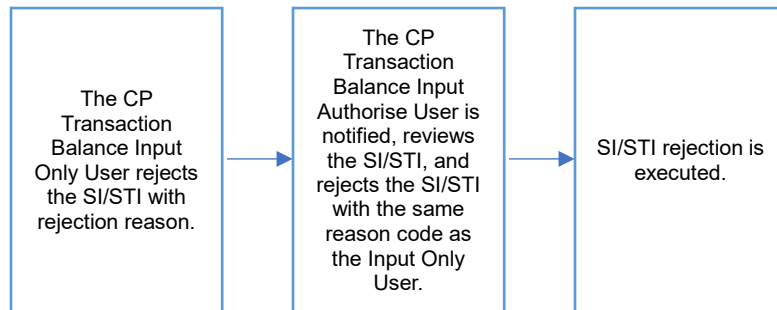
KEY SETTLEMENT DETAILS **SETTLEMENT STATUS** SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

**SI STATUS**

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

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



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

1. The CP Transaction Balance Input Only User logs in to Synapse via Client Connect and navigates to the Dashboard screen.
2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

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Back Settlement Instruction Details Trade ID: 0000000056341154

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	X09KCH9H1XXX	Trade Date	2021-06-05
Local Code	93808	Quantity	2.102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,005,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

**PARTICIPANT DETAILS**

EP BIC	DTCCSELLXXX
EP Name	SynComp531
EP's Account at CP	999991
CP BIC	DTCCDEAGXXX
CP Name	SynComp541
CP's Account at CCASS	11

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

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Back Settlement Instruction Details Trade ID: 000000056341154

Reject Approve

**KEY SETTLEMENT DETAILS**

**FINANCIAL INSTRUMENT DETAILS**

ISIN

Local Code

Name

GIGADEVICE

**PARTICIPANT DETAILS**

EP BIC

EP Name

EP's Account at CP

CP BIC

CP Name

CP's Account at CCASS

**REJECTION CODE:**

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

Invalid Rule [VALR]

Cancel Submit

2021-06-05

RECE

DVP

CNY

44.06

USD

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13 April 2023 synuat281 synuat281

Back Settlement Instruction Details Trade ID: 000000056341154

Reject Approve

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

Successfully Rejected

**SI STATUS**

CP MAKER: <b>REJECTED</b>	CP CHECKER: —	GC APPROVED: —	LC APPROVED: —	CCASS STATUS:	CANCELLATION STATUS:
Reason: Invalid Rule [VALR]	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

## Rejection by CP Transaction Balance Input Authorise User:

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

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13 April 2023 synuat283 synuat283

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

Settlement Instructions

**SETTLEMENT INSTRUCTIONS**

5 1 0 1 0

Processing Unmatched Matched Settled Cancelled

Search Generate Report

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003039	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	—	—	—	DETAILS
SI	CNE100003039	279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled DETAILS
SI	CNE100003039	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341152	—	—	—	DETAILS
SI	CNE100003039	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341153	—	—	—	DETAILS
SI	CNE100003039	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341154	•	—	—	DETAILS
SI	CNE100003039	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341151	—	—	✗	DETAILS
SI	CNE100003039	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341150	✓	✓	✓	Unmatched DETAILS

Previous Next

- 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.



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13 April 2023 synuat283 synuat283

Back Settlement Instruction Details Trade ID: 000000056341154

Reject Approve

**KEY SETTLEMENT DETAILS**

**SI STATUS**

CP MAKER: **REJECTED**

Reason:  
Invalid Rule [VALR]

**REJECTION CODE:**

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

Invalid Rule [VALR]

Cancel Submit

**CANCELLATION STATUS:**

Reason:  
NA

- The CP Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, and the rejection is executed. This settlement instruction can be re-approved by CP Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved.  
The re-approval process is the same as approval, while the settlement instruction can also be re-rejected by CP Transaction Balance Input Only and Input Authoriser Users again if the rejection reason is needed to update. The re-rejection process is the same as rejection.

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13 April 2023 synuat283 synuat283

Back Settlement Instruction Details Trade ID: 000000056341154

Reject Approve

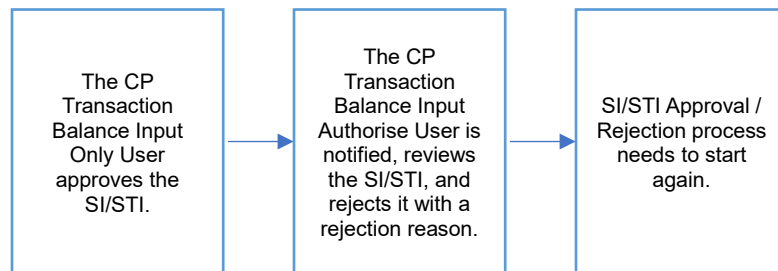
**KEY SETTLEMENT DETAILS** **SETTLEMENT STATUS** SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

Successfully Rejected

**SI STATUS**

CP MAKER: <b>REJECTED</b>	CP CHECKER: <b>REJECTED</b>	GC APPROVED: --	LC APPROVED: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: Invalid Rule [VALR]	Reason: Invalid Rule [VALR]	Reason: NA	Reason: NA	Reason: NA	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.

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

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13 April 2023 synuat283 synuat283

Back Settlement Instruction Details Trade ID: 000000056341152 Reject Approve

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

Rejected to Maker

**SI STATUS**

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

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

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13 April 2023 synuat283 synuat283

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

Settlement Instructions

**SETTLEMENT INSTRUCTIONS**

5 1 0 1 0  
Processing Unmatched Matched Settled Cancelled

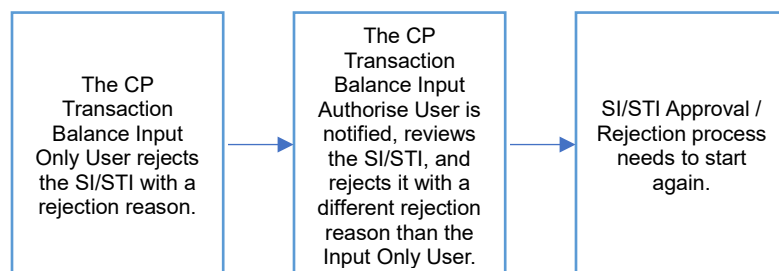
Search Generate Report

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003089	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	-	-	-	DETAILS >
SI	CNE100003089	279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341152	-	-	-	DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341153	-	-	-	DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341151	-	-	✗	DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341150	✓	✓	✓	Unmatched DETAILS >
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341154	✗	-	-	DETAILS >

Previous < > Next

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



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

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The Power of Connectivity.

13 April 2023 ④ synuat283 synuat283

+ Back Settlement Instruction Details Trade ID: 0000000056341152

Reject Approve

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

Rejected to Maker

**SI STATUS**

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

- On SI List View, the icon will change from '•' 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.

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13 April 2023 ④ synuat283 synuat283

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

Settlement Instructions

**SETTLEMENT INSTRUCTIONS**

5 1 0 1 0  
Processing Unmatched Matched Settled Cancelled

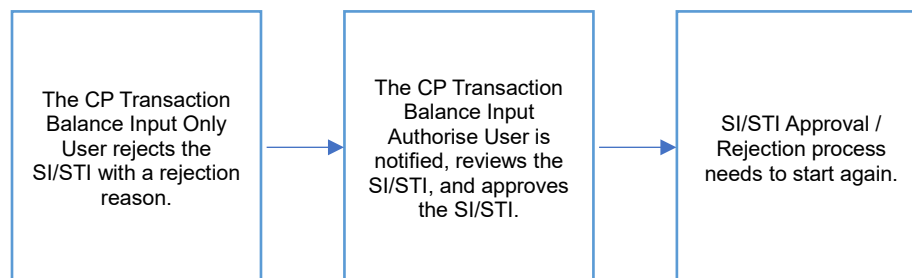
Search Generate Report

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS	
SI	CNE100003059 92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	--	--	--	--		DETAILS >
SI	CNE100003059 279,000	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	✓	Settled	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341152	--	--	--	--		DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341153	--	--	--	--		DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341151	--	--	--	✗		DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341150	✓	✓	✓	✓	Unmatched	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341154	✗	--	--	--		DETAILS >

Previous < > Next

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



- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.

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

**HKEX Synapse**  
The Power of Connectivity.

13 April 2023 ④ synuat283 synuat283

Back Settlement Instruction Details Trade ID: 000000056341152 Reject Approve

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

Rejected to Maker

**SI STATUS**

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

- On SI List View, the icon will change from '●' 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 2023 ④ synuat283 synuat283

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

Settlement Instructions

**SETTLEMENT INSTRUCTIONS**

5 1 0 1 0  
Processing Unmatched Matched Settled Cancelled

Search Generate Report

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003059 92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	--	--	--	--	DETAILS
SI	CNE100003059 279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled	DETAILS
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341152	--	--	--	--	DETAILS
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341153	--	--	--	--	DETAILS
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341151	--	--	✗	--	DETAILS
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341150	✓	✓	✓	Unmatched	DETAILS
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	909991	11	C00016	0000000056341154	✗	--	--	--	DETAILS

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## 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.

## 1. Buy Side

### Asset Managers (AM)

AMs have view only rights to SSTI processing.

HKEX Synapse The Power of Connectivity					
22 August 2022 @ symua011 symua011					
Back Settlement Instruction Details Trade ID: 0000000756190983					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	92.200	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	4,065,977.07	FX Cancellation	ABCD
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	342679	AM BIC	UBSOCCDXXX	LC BIC	JMPPM255XXX
Name	Fidelity Asia Fund 2679	AM Name	SynComp502	LC Name	SynComp521
Fund Account at GC	548267	Investor ID	300013	SPSA	80000001
		GC BIC	FIVCGB21XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	C00016

HKEX Synapse The Power of Connectivity					
22 August 2022 @ symua011 symua011					
Back Settlement Instruction Details Trade ID: 0000000756190983					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	92.200	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	4,065,977.07	FX Cancellation	ABCD
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	342679	AM BIC	UBSOCCDXXX	LC BIC	JMPPM255XXX
Name	Fidelity Asia Fund 2679	AM Name	SynComp502	LC Name	SynComp521
Fund Account at GC	548267	Investor ID	300013	SPSA	80000001
		GC BIC	FIVCGB21XXX	Counterparty - EP (BIC/ Name/ LEI)	
		GC Name	SynComp511	Counterparty - CP CCASS ID	C00016
				CP's Account at CCASS	

### Global Custodian (GC)

SSTI processing for GCs is the same process as for SI/STIs.

```
graph LR; A["The LC Transaction Balance Input Only User approves the SSTI."] --> B["The LC Transaction Balance Input Authorise User is notified and reviews/approves the SSTI."]
```

1. The LC Transaction Balance Input Only User logs in to Synapse via Client Connect 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"

The screenshot displays the 'Settlement Instructions' page on the HKEX Synapse platform. The page features a top navigation bar with links to 'Dashboard', 'Settlement Instructions', 'Family', 'Relationships', 'Market Data', and 'Reports'. The date '12 April 2023' is shown in the top right corner. Below the navigation bar, there is a section for 'Settlement Instructions' with a sub-header 'Processing Unmatched Matched Settled Cancelled'. The main content area contains a table with columns for 'ISIN TYPE', 'ISIN', 'QUANTITY', 'SETTLEMENT CURRENCY', 'SETTLEMENT AMOUNT', 'TYPE', 'PAYMENT MODE', 'GC ACCOUNT AT LC', 'CP CODES', 'SPFA', 'TRADE ID', 'GC', 'LC', 'CP', and 'STATUS'. The table lists various securities and their settlement details, including ISIN numbers, quantities, currencies, settlement amounts, types, payment modes, GC accounts, CP codes, SPFA codes, trade IDs, GC and LC codes, CP codes, and status indicators (e.g., 'Settled', 'Unsettled', 'Cancelled').

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)

<b>HKEX Synapse</b> The Power of Connectivity		<span>12 April 2023 @ 1pm+HKT   updated 14:11</span>	
<a href="#">Home</a> <a href="#">Settlement Instruction Details</a> Trade ID: 000000075619081		<a href="#">Health Check</a> <a href="#">Transaction Referrals and Lifecycle</a>	
KEY SETTLEMENT DETAILS		FINANCIAL INSTRUMENT DETAILS	
SETTLEMENT STATUS		SETTLEMENT DETAILS	
ISIN		CNF-000003350	Depository RIC
Local Code		00000	Quantity
Name		GIGACHEVCE SEMICONDUCTOR(BEIJING).INC	Settlement Date
			Settlement Currency
			Settlement Amount
			Effective Settlement Date
			Settle Currency
			Settle Amount
			Real-Time Settlement Indication
FUND DETAILS		PARTICIPANT DETAILS	
ID	111444	AM RIC	ETOCSEMR01X3
Name	Fidelity Asia Fund	AM Name	SynComp11
		Investor ID	30010
		GP RIC	PHGGBR01X0
		GC Name	SynComp11
		GC's Account at LC	444111
		LC RIC	ETOCSEMR01X3
		LC Name	SynComp11
		Counterparty - RP (BIC Name) LRI	PHGGBR01X0
		Counterparty - CP CCASS B	444111
		CP's Account at CCASS	444111



HKEX Synapse

The Power of Connectivity

12 April 2023

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HKEX Synapse

The Power of Connectivity

12 April 2023

@synapi11

- After adding those details, the LC Transaction Balance Input Only User can approve the SSTI by clicking "Approve".

Settlement Instruction Details Trade ID: 000000075619001

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

CHE1000000000

Depository BIC

308000000000

Trade Date

2021-04-05

Local Code

55555

Quantity

2.102

Type

DRU

Name

QIGADIVOF SEMICONDUCTOR(BUJING) INC

Settlement Date

2021-04-06

Payment

EUR

Settlement Currency

CNY

Deal Price Currency

CNY

Settlement Amount

4,585,977.87

Deal Price

44.58

Effective Settlement Date

Currency To Buy

Settled Currency

CNY

Currency To Sell

Settled Amount

4,585,977.87

FX Cancellation

Real Time Settlement Indicator

False

FUND DETAILS

PARTICIPANT DETAILS

ID

110144

AM BIC

DTCC00000000

LC BIC

JSTP00000000

Name

Fidelity Asia Fund

AM Name

SynComp001

LC Name

SynComp001

Investor ID

300013

SPSA

000000001

GC BIC

FVVG00000000

Counterparty - CP (BIC) Name/LES

GC Name

SynComp001

Counterparty - CP CCASS ID

C00019

GC's Account at LC

444101

CP's Account at CCASS

HKEX Synapse

The Power of Connectivity

12 April 2023 11:41 AM

12 April 2023 11:41 AM

12 April 2023 11:41 AM

Settlement Instruction Details Trade ID: 000000075619001

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

LC MAKER: APPROVED

LC CHECKER: -

GC APPROVED: -

CP APPROVED: -

CCASS STATUS:

CANCELLATION STATUS:

Reason:

Reason:

Reason:

Reason:

NA

NA

NA


NA




## Approval by LC Transaction Balance Input Authorise User:

- The LC Transaction Balance Input Authorise User will be notified that there is an SSTI pending their approval by a changed icon from '—' to '•' in the LC column for a

[illegible]

- |  |                                    |                   |                                |  |              |  |                                     |   |             |  |  |
|--|------------------------------------|-------------------|--------------------------------|--|--------------|--|-------------------------------------|---|-------------|--|--|
| <div> <div>HKEX Synapse</div> <div>The Power of Connectivity</div> </div>  |                                    |                   |                                | <div> <div>12 April 2023</div> <div> </div> </div> |              | <div> <div>signal strength icon</div> <div>signal strength icon</div> </div> |                                     | <div> <div>Report</div> <div>Refresh</div> </div> |             |  |  |
| <div> <div>Dashboard</div> <div>Instructions</div> <div>Details</div> <div>Trade ID: 0000000274615001</div> </div> |                                    |                   |                                |  |              |  |                                     |   |             |  |  |
| KEY SETTLEMENT DETAILS   |                                    | SETTLEMENT STATUS |                                | SI HEALTH CHECK                                    |              | TRANSACTION REFERENCES AND LIFECYCLE   |                                     |   |             |  |  |
| FINANCIAL INSTRUMENT DETAILS   |                                    |                   | SETTLEMENT DETAILS             |  |              | TRADE DETAILS  |                                     |   |             |  |  |
| ISIN<br>Local Code<br>Name   | CHF000000005                       |                   | Depository RIC                 |  | 104XCH001000 |  | Trade Date                          |   | 2021-06-05  |  |  |
|  | 00000                              |                   | Quantity                       |  | 2.102        |  | Type                                |   | DELI        |  |  |
|  | GSH-GEVISE SEMICONDUCTORS BURG INC |                   | Settlement Date                |  | 2021-06-05   |  | Payment                             |   | DELT        |  |  |
|  |                                    |                   | Settlement Currency            |  | CHF          |  | Deal Price Currency                 |   | CHF         |  |  |
|  |                                    |                   | Settlement Amount              |  | 4,985,977.97 |  | Deal Price                          |   | 44.80       |  |  |
|  |                                    |                   | Effective Settlement Date      |  |              |  | Currency To Buy                     |   |             |  |  |
|  |                                    |                   | Settled Currency               |  | CHF          |  | Currency To Sell                    |   |             |  |  |
|  |                                    |                   | Settled Amount                 |  | 4,985,977.97 |  | FX Cancellation                     |   |             |  |  |
|  |                                    |                   | Real Time Settlement Indicator |  | False        |  |                                     |   |             |  |  |
| FUND DETAILS   |                                    |                   | PARTICIPANT DETAILS            |  |              |  |                                     |   |             |  |  |
| ID<br>Name   | 101644                             |                   | AM RIC                         |  | DTCCOMGROXX  |  | LC RIC                              |   | JPMPPA0000X |  |  |
|  | Fidelity Asia Fund                 |                   | AM Name                        |  | SynCorp001   |  | LC Name                             |   | SynCorp001  |  |  |
|  |                                    |                   | Investor ID                    |  | 1000013      |  | SPIN                                |   | 00000001    |  |  |
|  |                                    |                   | GC RIC                         |  | FVUGBC100X   |  | Counterparty - RP (RIC: Netnet LBS) |   |             |  |  |
|  |                                    |                   | GC Name                        |  | SynCorp001   |  | Counterparty - CP CCASS ID          |   | C00816      |  |  |
|  |                                    |                   | GC's Account at LG             |  | 444011       |  | CP's Account at CCASS               |   |             |  |  |

- 
**HXEK Synapse**  
The Power of Connectivity

 12 April 2023
  cymru@143.com@143
 

[Home](#)
[Settlement Instruction Details](#)
[Trade ID: 0000000675019081](#)

[KEY SETTLEMENT DETAILS](#)
[SETTLEMENT STATUS](#)
[SI HEALTH CHECK](#)
[TRANSACTION REFERENCES AND LIFECYCLE](#)

[Reconcilably Approved](#)

**SI STATUS**

LC MARKER - APPROVED	LC CHECKER - APPROVED	GC APPROVER -	CP APPROVER -	CCASS STATUS	CANCELLATION STATUS
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

[illegible]

```

graph LR
    A["The LC Transaction Balance Input  
Only User rejects the SSTI with rejection reason."] --> B["The LC Transaction Balance Input  
Authorise User is notified, reviews the SSTI, and rejects the SSTI with the same reason code as the Input Only User."]
    B --> C["SSTI rejection is executed."]
  
```

1. The LC Transaction Balance Input Only User logs in to Synapse via Client Connect 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

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📅 12 April 2023 | 🔍 input141 input141

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[Home](#) | 
 [Settlement Instructions Details Trade ID: 0000000076150602](#)

**KEY SETTLEMENT DETAILS**
SETTLEMENT STATUS
B HEALTH CHECK
TRANSACTION REFERENCES AND LIFESTYLE

### FINANCIAL INSTRUMENT DETAILS

ISIN	CN1100031039	Depository SRC	010RCHNYXXXX	Trade Date	2023-04-11
Local Code	33090	Quantity	2.102	Type	DEL
Name	GIGADENFORCE SEMICONDUCTOR(BEIJING) P.C.	Settlement Date	2023-04-26	Payment	ZWP
		Settlement Currency	CNY	Real Price Currency	CHF
		Settlement Amount	4,065,577.37	Dual Price	40.30
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		▲ Settled Amount	805277.87	FX Cancellation	
		Real-Time Settlement Indicator	False		

### TRADE DETAILS

ID	AM SRC	STOCORDERXXX	LC BIC	JANPPHUSXXXX
Name	Fidelity Asia Fund	BuyComp101	LC Name	BuyComp101
	Innovation ID	300073	SFSA	0000000000
	GC BIC	FHSO2202XXXX	Counterparty - CP (BIC Name / LEI)	
	GC Name	BuyComp101	Counterparty - CP CCASS ID	GBM0000000000
	GC's Account at LC	444111	▲ CP's Account at CCASS	

- 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.

## Rejection by LC Transaction Balance Input Authorise User:

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

- 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

12 April 2023 @ synapt43 synapt43

Back Settlement Instruction Details Trade ID: 000000075619602

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

FINANCIAL INSTRUMENT DETAILS

ISIN	CNE100001029	Depository BIC	2082CH010000	Trade Date	2023-04-05
Local Code	90999	Quantity	2.162	Type	DEU
Name	SHANGHAI SEMICONDUCTOR DEPOSITARY BIC	Settlement Date	2023-04-06	Payment	GBP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,585,977.87	Deal Price	44.26
		Effective Settlement Date		Currency To Buy	
		Settled Amount		Currency To Sell	
		Real Time Settlement Indicator	4,585,977.87	FX Cancellation	
			False		

FUND DETAILS

ID	011444	AM BIC	01100000000000	LC BIC	JAPN00000000
Name	Fidelity Asia Fund	AM Name	SynComp001	LC Name	SynComp001
		Investor ID	900013	SPIN	00000001
		GC BIC	PHV0871000	Counterparty - PP (BIC Name: LR)	
		GC Name	SynComp011	Counterparty - CP (CLASS ID)	000016
		GC's Account at LC	440101	CP's Account at GC's	

- 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 @ synapt43 synapt43

Back Settlement Instruction Details Trade ID: 000000075619602

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

FINANCIAL INSTRUMENT DETAILS

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

Invalid Link (0001)

Cancel Submit

FUND DETAILS

SI STATUS

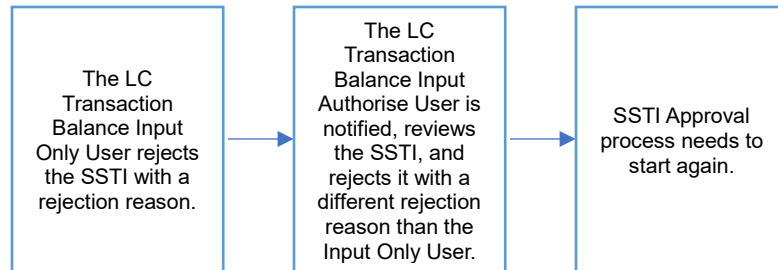
LC STATUS: <b>REJECTED</b>	LC CHECKER: <b>REJECTED</b>	GC APPROVED: --	CP APPROVED: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: Invalid Link (0001)	Reason: Invalid Link (0001)	Reason: NA	Reason: NA	Reason: NA	Reason: NA

- 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.



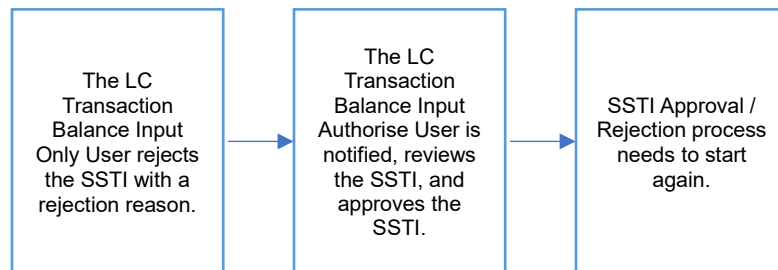


**Rejection by LC Transaction Balance Input Only User;  
Rejection by LC Transaction Balance Input Authorise User (different rejection reason(s)  
between Input Only User and Input Authorise User):**



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 '•' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

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



1. Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
3. On SI List View, the icon will change from '•' 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.

## 2. Sell Side

### Exchange Participant (EP)

EPs have view only rights to SSTI processing.

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	92.200	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	4,065,977.07	FX Cancellation	ERTS
		Real-Time Settlement Indicator	False		

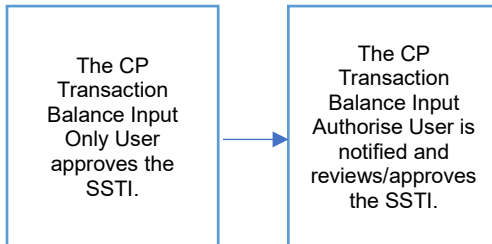
  

PARTICIPANT DETAILS	
EP BIC	SGSEFAAAXXX
EP Name	SynComp532
EP's Account at CP	900546
CP BIC	DTCCDEAGXXX
CP Name	SynComp541

### 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 Client Connect and navigates to the Dashboard screen.
2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and is informed that there is an SSTI pending their approval by a '—' in the CP column.

**HKEX Synapse**  
The Power of Connectivity

12 April 2023 @ synapse01 synapse01

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

**SETTLEMENT INSTRUCTIONS**

Processing Unmatched Matched Settled Cancelled

11 0 0 3 2

Search Generate Report

2021-06-05

INST TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SSTI	CNE100000000	22,312	CNY	4,065,977.97	RECE	ENP	900546	10	80110	800000000000000000	—	—	—	DETAILS
SSTI	CNE100000000	2,231	CNY	4,065,977.97	RECE	ENP	900546	10	C00016	800000000000000000	—	—	—	DETAILS
SSTI	CNE100000000	2,162	CNY	4,065,977.97	RECE	ENP	2000001	900113	C00016	800000000000000000	—	—	—	DETAILS
SSTI	CNE100000000	2,162	CNY	4,065,977.97	RECE	ENP	2000001	900113	C00016	800000000000000000	—	—	—	DETAILS
SSTI	CNE100000000	26,627	CNY	4,065,977.97	RECE	ENP	900546	10	80110	800000000000000000	—	—	—	DETAILS
SSTI	CNE100000000	26,627	CNY	4,065,977.97	RECE	ENP	900546	10	80110	800000000000000000	—	—	—	DETAILS
SSTI	CNE100000000	102,200	CNY	4,065,977.97	RECE	ENP	900546	10	80110	800000000000000000	—	—	—	Handled by CCASS
SSTI	CNE100000000	26,626	CNY	4,065,977.97	RECE	ENP	900546	10	C00016	800000000000000000	—	—	—	Settled
SSTI	CNE100000000	26,627	CNY	4,065,977.97	RECE	ENP	900546	10	80110	800000000000000000	—	—	—	Cancelled
SSTI	CNE100000000	26,627	CNY	4,065,977.97	RECE	ENP	900546	10	80110	800000000000000000	—	—	—	Cancelled
SSTI	CNE100000000	22,312	CNY	4,065,977.97	RECE	ENP	900546	10	80110	800000000000000000	—	—	—	Settled
SSTI	CNE100000000	2,231	CNY	4,065,977.97	RECE	ENP	900546	10	C00016	800000000000000000	—	—	—	Settled
SSTI	CNE100000000	2,162	CNY	4,065,977.97	RECE	ENP	2000001	900113	C00016	800000000000000000	—	—	—	Settled
SSTI	CNE100000000	2,162	CNY	4,065,977.97	RECE	ENP	2000001	900113	C00016	800000000000000000	—	—	—	Settled

Previous 1 100

- 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 @ synapse01 synapse01

Settlement Instruction Details Trade ID: 00000005341183

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

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

ISIN	Quantity	Trade Date
CNE100000000	2,162	2021-06-05

Local Code: 93986

Name: GIGADEVICE SEMICONDUCTOR (BEIJING) INC

Settlement Date: 2021-06-06

Settlement Currency: CNY

Settlement Amount: 4,065,977.97

Effective Settlement Date: 2021-06-06

Settled Currency: CNY

Settled Amount: 4,065,977.97

Business Settlement Indicator: False

PARTICIPANT DETAILS

EP SIC	EP Name	EP's Account at CP	CP SIC	CP Name	CP's Account at CCASS	Counterparty - AM (BIC Name: LSI)	Counterparty - LC CCASS ID	GC's Account at CCASS	GC's Account at LC
0700000000	SynComp001	2000001	0700000000	SynComp001	900113	C00016	—	—	—

- The CP Transaction Balance Input Only User views the details of an SSTI. When approving SSTIs, the CP to enter two fields:
  - Settled Amount (optional)
  - LC'S Account at CCASS (mandatory)

**HKEX Synapse**  
The Power of Connectivity

12 April 2023 @ synapse01 synapse01

Settlement Instruction Details Trade ID: 00000005341183

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

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

ISIN	Quantity	Trade Date
CNE100000000	2,162	2021-06-05

Local Code: 93986

Name: GIGADEVICE SEMICONDUCTOR (BEIJING) INC

Settlement Date: 2021-06-06

Settlement Currency: CNY

Settlement Amount: 4,065,977.97

Effective Settlement Date: 2021-06-06

Settled Currency: CNY

Settled Amount: 4,065,977.97

Business Settlement Indicator: False

PARTICIPANT DETAILS

EP SIC	EP Name	EP's Account at CP	CP SIC	CP Name	CP's Account at CCASS	Counterparty - AM (BIC Name: LSI)	Counterparty - LC CCASS ID	GC's Account at CCASS	GC's Account at LC
0700000000	SynComp001	2000001	0700000000	SynComp001	900113	C00016	—	—	—

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



**HKEX Synapse**  
The Power of Connectivity

12 April 2021 @ synapse3 synapse3

Settlement Instructions Details Trade ID: 00000000341183

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100000000	Debiting BIC	0000000000	Trade Date	2021-04-01
Local Code	000000	Quantity	2.100	Type	BTCE
Name	QIGADVICE SEMICONDUCTOR (HONG KONG) BIC	Settlement Date	2021-04-01	Payment	QIGP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,895,917.07	Deal Price	44.80
		Effective Settlement Date		Currency To Buy	
		Settle Currency	CNY	Currency To Sell	USD
		Deal Time Settlement Indicator	False	FX Cancellation	

PARTICIPANT DETAILS

EP BIC	0000000000
EP Name	Synapse3
EP's Account at CP	200001
CP BIC	0000000000
CP Name	Synapse3
CP's Account at CCASS	000103
Counterparty - AM (BIC Name L3)	
Counterparty - LC CCASS ID	C00010
LC's Account at CCASS	1
GC's Account at LC	140002

**HKEX Synapse**  
The Power of Connectivity

12 April 2021 @ synapse3 synapse3

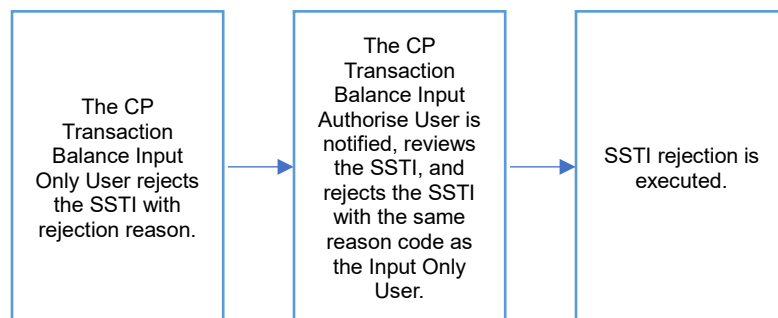
Settlement Instructions Details Trade ID: 00000000341183

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

SI STATUS

CP WORKING / APPROVED	CP CHECKING / APPROVED	GC APPROVED	LC APPROVED	CCASS STATUS	CANCELLATION STATUS
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

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



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

1. The CP Transaction Balance Input Only User logs in to Synapse via Client Connect 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

Back Settlement Instruction Details Trade ID: 0000000056341104

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

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

ISIN: CHE1000010109 Secondary ISIN: 00000000000000000000 Trade Date: 2023-04-05  
Local Code: 000000 Quantity: 2.102 Type: REUSE  
Name: GRADUENCE SEAMCONDUCTOR(BELUX) PAC Settlement Date: 2023-04-05 Payment: DUT  
Settlement Currency: CNY Deal Price Currency: CNY  
Settlement Amount: 4,565,877.07 Deal Price: 44.06  
Effective Settlement Date: CNY Currency To Buy: CNY  
Settlement Currency: CNY Currency To Sell: CNY  
Settlement Amount: 400,000.00 FX Cancellation: USD  
Real Time Settlement Indicator: False

PARTICIPANT DETAILS

CP ISIN: 07000000000000000000  
CP Name: SynComp001  
CP's Account at CP: 2000001  
CP ISIN: 07000000000000000000  
CP Name: SynComp001  
CP's Account at CCASS: 000113  
Counterparty - AM (PNC) Name: LFI  
Counterparty - LC CCASS ID: C0014  
LC's Account at CCASS: 00014  
GC's account at LC: 140002

- The CP Transaction Balance Input Only User views the details of an SSTI and clicks “Reject” and must select a rejection reason. It is not required to fill in the fields “Settled Amount” and “LC’s Account at CCASS” when performing the rejection.

HKEX Synapse  
The Power of Connectivity

Back Settlement Instruction Details Trade ID: 0000000056341104

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

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

ISIN: CHE1000010109 Secondary ISIN: 00000000000000000000 Trade Date: 2023-04-05  
Local Code: 000000 Quantity: 2.102 Type: REUSE  
Name: GRADUENCE SEAMCONDUCTOR(BELUX) PAC Settlement Date: 2023-04-05 Payment: DUT  
Settlement Currency: CNY Deal Price Currency: CNY  
Settlement Amount: 4,565,877.07 Deal Price: 44.06  
Effective Settlement Date: CNY Currency To Buy: CNY  
Settlement Currency: CNY Currency To Sell: CNY  
Settlement Amount: 400,000.00 FX Cancellation: USD  
Real Time Settlement Indicator: False

PARTICIPANT DETAILS

CP ISIN: 07000000000000000000  
CP Name: SynComp001  
CP's Account at CP: 2000001  
CP ISIN: 07000000000000000000  
CP Name: SynComp001  
CP's Account at CCASS: 000113  
Counterparty - AM (PNC) Name: LFI  
Counterparty - LC CCASS ID: C0014  
LC's Account at CCASS: 00014  
GC's account at LC: 140002

REJECTION CODE:  
Please select the code corresponding to your reason for rejection of this Settlement instruction  
Invalid Investor Party (INV)

Cancel Reject

HKEX Synapse  
The Power of Connectivity

Back Settlement Instruction Details Trade ID: 0000000056341104

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

Settlement Rejected

SI STATUS

CP MAKER: REJECTED  
Reason: Invalid Investor Party (INV)

CP CHECKER: NA  
Reason: NA

GC APPROVED: NA  
Reason: NA

LC APPROVED: NA  
Reason: NA

CCASS STATUS: NA  
Reason: NA

CANCELLATION STATUS: NA  
Reason: NA

## Rejection by CP Transaction Balance Input Authorise User:

- On the Settlement Instructions List view, the CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has rejected an SSTI that is pending their approval by a change in icon from ‘—’ to ‘•’ in the CP column.



**HKEX Synapse**  
The Power of Connectivity

17 April 2023 @ synapse03 synapse03

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

**SETTLEMENT INSTRUCTIONS** 11 0 0 3 2  
Processing Unmatched Matched Settled Cancelled

2023-06-06

INVTYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EPS ACCOUNT AT CP	CP ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
875	CNE100000000	22,312	CNY	4,665,977.87	RECE	DUP	900546	15	B01193	8851324024102231	✓	✓	✓	Settled
91	CNE100000000	2,231	CNY	4,665,977.87	RECE	DUP	900546	15	C00016	8851324024102231	✓	✓	✓	Settled
1075	CNE100000000	2,162	CNY	4,665,977.87	RECE	DUP	2000001	900113	C00016	8851324024102231	✓	✓	✓	Settled
1075	CNE100000000	2,162	CNY	4,665,977.87	RECE	DUP	2000001	900113	C00016	8851324024102231	✓	✓	✓	Settled
875	CNE100000000	28,837	CNY	4,665,977.87	RECE	DUP	900546	15	B01193	8851324024102231	✓	✓	✓	Settled
1075	CNE100000000	42,390	CNY	4,665,977.87	RECE	DUP	900546	15	B01193	8851324024102231	✓	✓	✓	Settled
91	CNE100000000	28,837	CNY	4,665,977.87	RECE	DUP	900546	15	C00016	8851324024102231	✓	✓	✓	Settled
91	CNE100000000	28,837	CNY	4,665,977.87	RECE	DUP	900546	15	C00016	8851324024102231	✓	✓	✓	Settled
875	CNE100000000	28,837	CNY	4,665,977.87	RECE	DUP	900546	15	B01193	8851324024102231	✓	✓	✓	Settled
875	CNE100000000	22,312	CNY	4,665,977.87	RECE	DUP	900546	15	B01193	8851324024102231	✓	✓	✓	Settled
91	CNE100000000	2,231	CNY	4,665,977.87	RECE	DUP	900546	15	C00016	8851324024102231	✓	✓	✓	Settled
1075	CNE100000000	2,162	CNY	4,665,977.87	RECE	DUP	2000001	900113	C00016	8851324024102231	✓	✓	✓	Settled
1075	CNE100000000	2,162	CNY	4,665,977.87	RECE	DUP	2000001	900113	C00016	8851324024102231	✓	✓	✓	Settled

Previous 1 2 Next

- 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

17 April 2023 @ synapse03 synapse03

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

**SETTLEMENT INSTRUCTIONS DETAILS** Trade ID: 000000056341104

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

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

ISIN: CNE100000000  
Local Code: 000000056341104  
Name: CNE100000000

REJECTION CODE:  
Please select the code corresponding to your reason for rejection of this Settlement Instruction.  
Invalid Investor Party (INVLP)

Cancel Submit

2023-06-06  
RECE  
DUP  
CNY  
42,390  
USD

PARTICIPANT DETAILS

EP INC  
EP Name  
EP's Account at CP  
CP INC  
CP Name  
CP's Account at CCASS  
Counterparty: ARM (INC) Name: LEO  
Counterparty: LC CCASS ID  
Counterparty: LC CCASS ID  
CP's Account at CCASS  
CP's Account at CCASS

- 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.

**HKEX Synapse**  
The Power of Connectivity

17 April 2023 @ synapse03 synapse03

Dashboard Settlement Instructions Accounts Relationships Market Data Reports

**SETTLEMENT INSTRUCTIONS DETAILS** Trade ID: 000000056341104

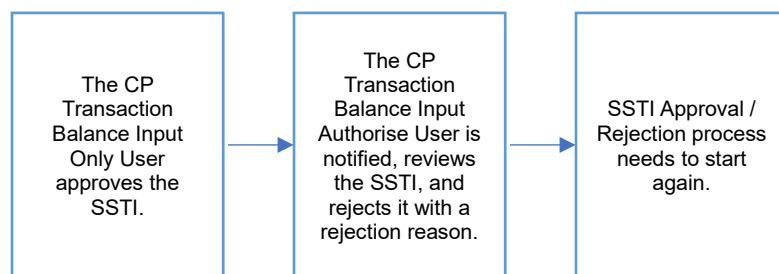
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

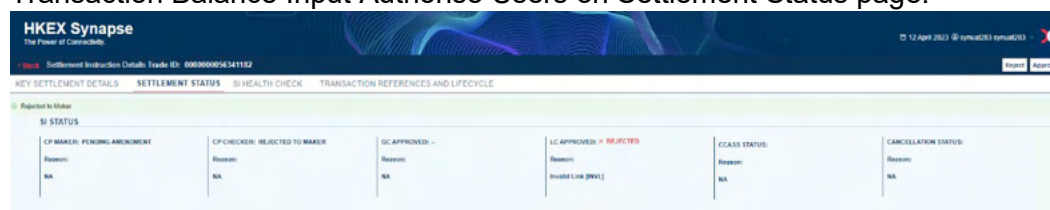
CP MAKER: <span style="color: red;">X</span> REJECTED	CP CHECKER: <span style="color: red;">X</span> REJECTED	GC APPROVED: <span style="color: green;">✓</span>	LC APPROVED: <span style="color: green;">✓</span>	CCASS STATUS: <span style="color: green;">✓</span>	CANCELLATION STATUS: <span style="color: green;">✓</span>
Reason: Invalid Investor Party (INVLP)	Reason: Invalid Investor Party (INVLP)	Reason: NA	Reason: NA	Reason: NA	Reason: NA

- If the CP has not yet approved the SSTI, then the CP Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SSTI that has been rejected by a ‘X’ in the CP column.

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

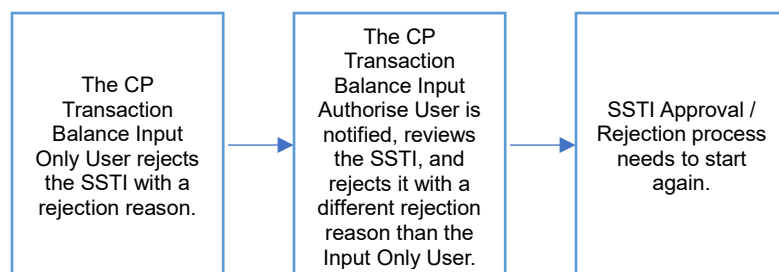


1. Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. CP Transaction Balance Input Only User can see the Approval is rejected by CP Transaction Balance Input Authorise Users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



4. On SI List View, the icon will change from '●' 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):

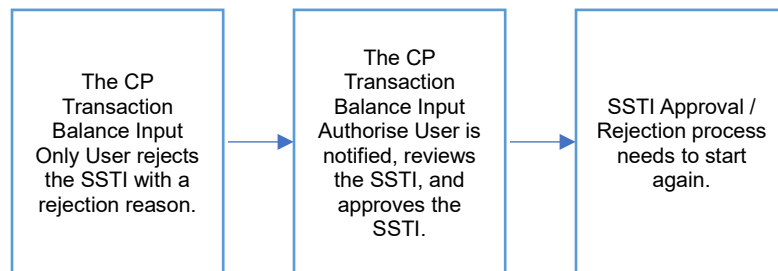


1. Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input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

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<div> <div> <div>Home</div> <div>Settlement Instructions Details</div> <div>Trade ID: 000000056341182</div> </div> <div> <div>Reopen</div> <div>Reopen</div> </div> </div>					
<div> <div>KEY SETTLEMENT DETAILS</div> <div>SETTLEMENT STATUS</div> <div>SI HEALTH CHECK</div> <div>TRANSACTION REFERENCES AND LIFECYCLE</div> </div>					
<div> <div>Rejected to Status</div> <div>SI STATUS</div> </div>					
<div> <div>CP MAKER: PENDING AMENDMENT</div> <div>Reason:</div> <div>NA</div> </div>		<div> <div>CP CHECKER: REJECTED TO MAKER</div> <div>Reason:</div> <div>NA</div> </div>		<div> <div>LC APPROVED: <b>REJECTED</b></div> <div>Reason:</div> <div>Invalid LOR (DRA)</div> </div>	
<div> <div>CCASS STATUS:</div> <div>Reason:</div> <div>NA</div> </div>		<div> <div>CANCELLATION STATUS:</div> <div>Reason:</div> <div>NA</div> </div>			

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

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



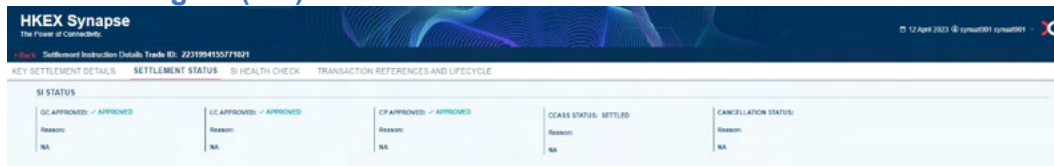
- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
- CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.
- On SI List View, the icon will change from '●' 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.

### 1. Buy Side

#### Asset Managers (AM)



#### Settlement Status Indicator

Field	Description
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status: <ul style="list-style-type: none"> <li>- CSUB – cancelled – revoked SI by counterparty</li> <li>- CANS – cancelled – SI/STI purged</li> <li>- CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> <li>- MTCH – matched</li> <li>- CYCL – matched – payment validated</li> <li>- CAIS – pending for transfer</li> <li>- CVAL – matched – RDP shares on hold</li> <li>- PREA – matched – matched on hold or counterparty instruction on hold</li> <li>- NCRR – unmatched – settlement currency unmatched</li> <li>- DSEC – unmatched – stock code/ISIN unmatched</li> <li>- DQUA – unmatched – quantity unmatched</li> <li>- CMIS – unmatched – no possible matching SI found</li> <li>- OTHR – unmatched – other</li> <li>- FRAP – unmatched – payment instruction unmatched</li> <li>- PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>- SAFE – unmatched – client A/C no. unmatched</li> <li>- DMON – unmatched – money value unmatched</li> <li>- DDAT – unmatched – settlement date unmatched</li> <li>- DELN – unmatched – transaction direction unmatched</li> <li>- SETD – Settled</li> </ul>
Reason	Indicated reason for CCASS unmatched status: <ul style="list-style-type: none"> <li>- NCRR – settlement currency unmatched + description</li> <li>- DSEC – stock code/ISIN unmatched + description</li> <li>- DQUA – quantity unmatched + description</li> <li>- CMIS – no possible matching SI found + description</li> <li>- OTHR – other + description</li> <li>- FRAP – payment instruction unmatched + description</li> <li>- PODU – possible matching SI but not earmarked as pairs + description</li> <li>- SAFE – client A/C no. unmatched + description</li> <li>- DMON – money value unmatched + description</li> <li>- DDAT – settlement date unmatched + description</li> <li>- DELN – transaction direction unmatched + description</li> </ul>

	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

## Global Custodian (GC)

<b>HKEX Synapse</b> <small>The Power of Connectivity</small> <small>12 April 2023 12:00:00 PM</small>					
<small>Back</small> Settlement Instruction Details Trade ID: 296299415577921					
<small>KEY SETTLEMENT DETAILS</small> <b>SETTLEMENT STATUS</b> <small>SI HEALTH CHECK</small> <small>TRANSACTION REFERENCES AND LIFECYCLE</small>					
SI STATUS					
GC MAKER: APPROVED	GC CHECKER: APPROVED	LC APPROVED: APPROVED	CP APPROVED: APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: 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	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 unmatched - DSEC – unmatched – stock code/ISIN unmatched - DQUA – unmatched – quantity unmatched - CMIS – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatched - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatched - DMON – unmatched – money value unmatched - DDAT – unmatched – settlement date unmatched - DELN – unmatched – transaction direction unmatched - SETD - Settled
Reason	Indicated reason for CCASS unmatched status:

	<ul style="list-style-type: none"> <li>- NCRR – settlement currency unmatched + description</li> <li>- DSEC – stock code/ISIN unmatched + description</li> <li>- DQUA – quantity unmatched + description</li> <li>- CMIS – no possible matching SI found + description</li> <li>- OTHR – other + description</li> <li>- FRAP – payment instruction unmatched + description</li> <li>- PODU – possible matching SI but not earmarked as pairs + description</li> <li>- SAFE – client A/C no. unmatched + description</li> <li>- DMON – money value unmatched + description</li> <li>- DDAT – settlement date unmatched + description</li> <li>- DELN – transaction direction unmatched + description</li> </ul> <p>Note: "Description" next to unmatched status refers to the value provided by counterparty.</p>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

## Local Custodian (LC)

## Settlement Status Indicator

Field	Description
LC Maker	Indication that LC Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by LC Transaction Balance Input Only User
Reason	Reason for GC rejection input by LC Transaction Balance Input Only User
LC Checker	Indication that LC Transaction Balance Input Authorise User has approved or rejected the instruction or the instruction is rejected back to LC Transaction Balance Input Only User for amendment
Reason	Reason for LC rejection input by LC Transaction Balance Input Authorise User
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	<p>Indicated reason for CCASS status:</p> <ul style="list-style-type: none"> <li>- CSUB – cancelled – revoked SI by counterparty</li> <li>- CANS – cancelled – SI/STI purged</li> <li>- CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> <li>- MTCH – matched</li> <li>- CYCL – matched – payment validated</li> <li>- CAIS – pending for transfer</li> <li>- CVAL – matched – RDP shares on hold</li> <li>- PREA – matched – matched on hold or counterparty instruction on hold</li> <li>- NCRR – unmatched – settlement currency unmatched</li> <li>- DSEC – unmatched – stock code/ISIN unmatched</li> </ul>



	<ul style="list-style-type: none"> <li>- DQUA – unmatched – quantity unmatched</li> <li>- CMIS – unmatched – no possible matching SI found</li> <li>- OTHR – unmatched – other</li> <li>- FRAP – unmatched – payment instruction unmatched</li> <li>- PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>- SAFE – unmatched – client A/C no. unmatched</li> <li>- DMON – unmatched – money value unmatched</li> <li>- DDAT – unmatched – settlement date unmatched</li> <li>- DELN – unmatched – transaction direction unmatched</li> <li>- SETD - Settled</li> </ul>
Reason	<p>Indicated reason for CCASS unmatched status:</p> <ul style="list-style-type: none"> <li>- NCRR – settlement currency unmatched + description</li> <li>- DSEC – stock code/ISIN unmatched + description</li> <li>- DQUA – quantity unmatched + description</li> <li>- CMIS – no possible matching SI found + description</li> <li>- OTHR – other + description</li> <li>- FRAP – payment instruction unmatched + description</li> <li>- PODU – possible matching SI but not earmarked as pairs + description</li> <li>- SAFE – client A/C no. unmatched + description</li> <li>- DMON – money value unmatched + description</li> <li>- DDAT – settlement date unmatched + description</li> <li>- DELN – transaction direction unmatched + description</li> </ul> <p>Note: "Description" next to unmatched status refers to the value provided by counterparty.</p>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

## 2. Sell Side

### Exchange Participant (EP)

### Settlement Status Indicator

Field	Description
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CCASS Status	<p>Indicated reason for CCASS status:</p> <ul style="list-style-type: none"> <li>- CSUB – cancelled – revoked SI by counterparty</li> <li>- CANS – cancelled – SI/STI purged</li> <li>- CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled</li> </ul>

	<p>for STI</p> <ul style="list-style-type: none"> <li>- MTCH – matched</li> <li>- CYCL – matched – payment validated</li> <li>- CAIS – pending for transfer</li> <li>- CVAL – matched – RDP shares on hold</li> <li>- PREA – matched – matched on hold or counterparty instruction on hold</li> <li>- NCRR – unmatched – settlement currency unmatched</li> <li>- DSEC – unmatched – stock code/ISIN unmatched</li> <li>- DQUA – unmatched – quantity unmatched</li> <li>- CMIS – unmatched – no possible matching SI found</li> <li>- OTHR – unmatched – other</li> <li>- FRAP – unmatched – payment instruction unmatched</li> <li>- PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>- SAFE – unmatched – client A/C no. unmatched</li> <li>- DMON – unmatched – money value unmatched</li> <li>- DDAT – unmatched – settlement date unmatched</li> <li>- DELN – unmatched – transaction direction unmatched</li> <li>- SETD - Settled</li> </ul>
Reason	<p>Indicated reason for CCASS unmatched status:</p> <ul style="list-style-type: none"> <li>- NCRR – settlement currency unmatched + description</li> <li>- DSEC – stock code/ISIN unmatched + description</li> <li>- DQUA – quantity unmatched + description</li> <li>- CMIS – no possible matching SI found + description</li> <li>- OTHR – other + description</li> <li>- FRAP – payment instruction unmatched + description</li> <li>- PODU – possible matching SI but not earmarked as pairs + description</li> <li>- SAFE – client A/C no. unmatched + description</li> <li>- DMON – money value unmatched + description</li> <li>- DDAT – settlement date unmatched + description</li> <li>- DELN – transaction direction unmatched + description</li> </ul> <p>Note: "Description" next to unmatched status refers to the value provided by counterparty.</p>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

## Clearing Participant (CP)

HKEX Synapse The Power of Connectivity					
Trade ID: 68532460416221					
KEY SETTLEMENT DETAILS   SETTLEMENT STATUS   SI HEALTH CHECK   TRANSACTION REFERENCES AND LIFECYCLE					
SI STATUS					
CP MAKER: ✓ APPROVED	CP CHECKER: ✓ APPROVED	GC APPROVED: ✓ APPROVED	LC APPROVED: ✓ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

## Settlement Status Indicator

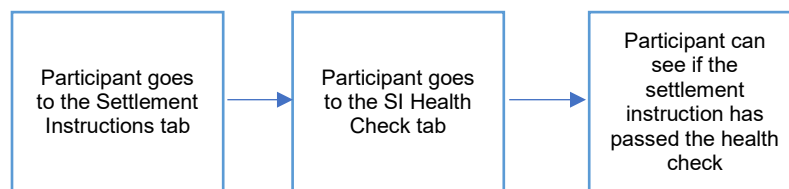
Field	Description
CP Maker	Indication that CP Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by CP Transaction Balance Input Only User
Reason	Reason for CP rejection input by CP Transaction Balance Input Only User
CP Checker	Indication 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	<p>Indicated reason for CCASS status:</p> <ul style="list-style-type: none"> <li>- CSUB – cancelled – revoked SI by counterparty</li> <li>- CANS – cancelled – SI/STI purged</li> <li>- CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> <li>- MTCH – matched</li> <li>- CYCL – matched – payment validated</li> <li>- CAIS – pending for transfer</li> <li>- CVAL – matched – RDP shares on hold</li> <li>- PREA – matched – matched on hold or counterparty instruction on hold</li> <li>- NCRR – unmatched – settlement currency unmatched</li> <li>- DSEC – unmatched – stock code/ISIN unmatched</li> <li>- DQUA – unmatched – quantity unmatched</li> <li>- CMIS – unmatched – no possible matching SI found</li> <li>- OTHR – unmatched – other</li> <li>- FRAP – unmatched – payment instruction unmatched</li> <li>- PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>- SAFE – unmatched – client A/C no. unmatched</li> <li>- DMON – unmatched – money value unmatched</li> <li>- DDAT – unmatched – settlement date unmatched</li> <li>- DELN – unmatched – transaction direction unmatched</li> <li>- SETD - Settled</li> </ul>
Reason	<p>Indicated reason for CCASS unmatched status:</p> <ul style="list-style-type: none"> <li>- NCRR – settlement currency unmatched + description</li> <li>- DSEC – stock code/ISIN unmatched + description</li> <li>- DQUA – quantity unmatched + description</li> <li>- CMIS – no possible matching SI found + description</li> <li>- OTHR – other + description</li> <li>- FRAP – payment instruction unmatched + description</li> <li>- PODU – possible matching SI but not earmarked as pairs + description</li> <li>- SAFE – client A/C no. unmatched + description</li> <li>- DMON – money value unmatched + description</li> <li>- DDAT – settlement date unmatched + description</li> <li>- DELN – transaction direction unmatched + description</li> </ul> <p>Note: “Description” next to unmatched status refers to the value provided by counterparty.</p>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

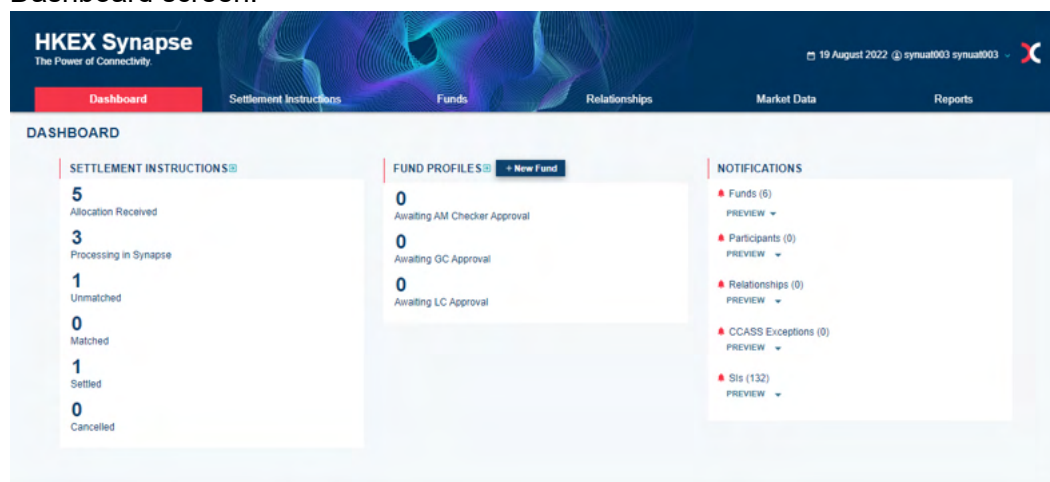
## 7.6 Health Check

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 the Asset Manager participant.



1. The AM participant logs in to Synapse via Client Connect and navigates to the Dashboard screen.



- On the Settlement Instructions tab, the AM participant can go to a specific settlement instruction's detail view and go to the SI Health Check tab.

The screenshot shows the 'Settlement Instructions' tab in the HKEX Synapse system. The table displays various settlement instructions with columns for ISIN, Quantity, Settlement Amount, Type, Payment Mode, Fund Account, and Status. The status column shows different states like 'Processing', 'Unmatched', 'Matched', 'Settled', and 'Cancelled'.

- The display table will show if the settlement instruction passed or failed the health check.
  - If the settlement instruction passes the health check, then the AM participant will see "Health Check Passed".

The screenshot shows the 'SI Health Check' tab for a specific settlement instruction. The table displays the results of the health check, including columns for Check, Status, Submitted Value, and Counterparty Value. The status column shows 'Health Check Passed'.

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

The screenshot shows the 'SI Health Check' tab for a specific settlement instruction. The table displays the results of the health check, including columns for Check, Status, Submitted Value, and Counterparty Value. The status column shows 'Health Check Failed' with a specific reason.

Field Name	Failure Reason Example
ISIN	ISIN started with CN but the rest of the ISIN is 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 jointed 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":  <b>Setup for this pair of SN joint by the same UTI</b> Synapse LC user's CCASS Participant ID = C00040

	<p>Synapse CP user's CCSAS Participant ID = C00016</p> <p><b>Submitted value quoted on the buy side SN in the REAG/DEAG block = C55555</b></p> <p><b>The CCASS participant ID of the relevant Clearing Participant (CP) of the sell side SN jointed by the same UTI = C00016</b></p> <p>Under this scenario, by referring to the account stated on the sell side SN jointed by the same UTI, the buy side should be facing C00016 as the Clearing Participant (CP) for this particular pair of settlement instruction. However, in the buy side SN REAG/DEAG block, it is quoted as facing C55555 as counterparty at CCASS level. In this situation, health check warning message will be triggered.</p>
--	--

4. Even if the settlement instruction does not pass the health check, the settlement instruction can still be approved.



## 7.7 Transaction References and Lifecycle

Transaction References and Lifecycle shows the major events of an instruction. Timestamp is provided

The screenshot displays the HKEX Synapse web application. At the top, the header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', and a navigation bar with links for 'Back', 'Settlement Instruction Details', and 'Trade ID: 2565768034072329'. Below the header, there are tabs for 'KEY SETTLEMENT DETAILS', 'SETTLEMENT STATUS', 'SI HEALTH CHECK', and 'TRANSACTION REFERENCES AND LIFECYCLE'. The 'TRANSACTION REFERENCES AND LIFECYCLE' tab is active, showing two sub-sections: 'TRANSACTION REFERENCES' and 'TRANSACTION LIFECYCLE'. The 'TRANSACTION REFERENCES' section lists three fields: UTI (549300TXA3WBLB9JH2802565768034072329), BUY-SIDE TRADE ID (2565768034072329), and SELL-SIDE TRADE ID (8158503940392565). The 'TRANSACTION LIFECYCLE' section is a table with columns: STATUS, TIMESTAMP, USER, PARTY, and REFERENCE. It contains four rows of data: 'Global Custodian Approved' (2022-08-18 21:28:11, SynComp511), '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), and 'Allocation Received and Settlement Instruction Initiated (Buy side)' (2022-08-18 20:51:40, HKEX).

TRANSACTION REFERENCES		TRANSACTION LIFECYCLE				
UTI	549300TXA3WBLB9JH2802565768034072329	STATUS	TIMESTAMP	USER	PARTY	REFERENCE
BUY-SIDE TRADE ID	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	

### Transaction References

Field	Description
UTI	Universal Trade Identifier associated with a unique pair of matched allocation
Buy-side Trade ID	Buy-side assigned trade ID created from DTCC
Sell-side Trade ID	Sell-side assigned trade ID created from DTCC

### Transaction Lifecycle

Once the instruction arrives Synapse, the transaction lifecycle will show “Allocation Received and Settlement Instruction Initiated (Buy / Sell side). Subsequently, it will show the approval / rejection status of different Synapse Users of the buy or sell side to reflect the approval / rejection activity. Once the complete buy / sell side have approved the instruction and the instruction has transmitted to CCASS, it will show “Unmatched (without any unmatched reason code)” immediately, and Synapse will enquire any unmatched reason from CCASS regularly for displaying in the transaction lifecycle. Finally, Matched and Settled status will also be shown here.

Prior to “Settled” status, the instruction can also be cancelled subsequently via different ways, such as cancellation SN sent from DTCC by AM / EP, cancelled / revoked by CP / LC in CCASS. The cancellation activity will be reflected in the transaction lifecycle.

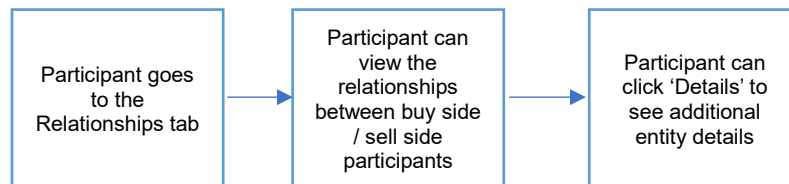
Field	Description
Status	<p>Descriptive status of where the instruction is in processing. Examples include:</p> <ul style="list-style-type: none"><li>- Allocation Received and Settlement Instruction Initiated (Buy side)</li><li>- Allocation Received and Settlement Instruction Initiated (Sell side)</li><li>- Global Custodian Approved</li><li>- Global Custodian Rejected</li><li>- Local Custodian Approved</li></ul>

	<ul style="list-style-type: none"> <li>- Local Custodian Rejected</li> <li>- Clearing Participant Approved</li> <li>- Clearing Participant Rejected</li> <li>- Cancelled</li> <li>- Corporate Action – Conversion</li> <li>- No Further Processing (Manual Amendment)</li> <li>- Pending Cancellation</li> <li>- Cancelled (Revoked CP SI)</li> <li>- Cancelled (SI/STI Purged)</li> <li>- Cancelled (SI/STI Revoked or SI Deleted)</li> <li>- Matched</li> <li>- Unmatched (Settlement currency unmatched)</li> <li>- Unmatched (Stock code/ISIN unmatched)</li> <li>- Unmatched (Quantity unmatched)</li> <li>- Unmatched (No possible matching SI found)</li> <li>- Unmatched (Without any unmatched reason code)</li> <li>- Unmatched (Without any unmatched reason code)</li> <li>- Unmatched (Payment Instruction Unmatched)</li> <li>- Unmatched (Possible Matching SI but not earmarked as pairs)</li> <li>- Unmatched (Client A/C No. Unmatched)</li> <li>- Unmatched (Money Value Unmatched)</li> <li>- Unmatched (Money Value Unmatched)</li> <li>- Unmatched (Settlement Date Unmatched)</li> <li>- Unmatched (Instruction Type Unmatched)</li> <li>- Matched (RDP Payment Validated)</li> <li>- Pending for Transfer (Stock Segregated Account Transfer Instructions)</li> <li>- Matched (On-hold by Counterparty)</li> <li>- Matched (RDP Shares On-hold)</li> <li>- Matched (On-hold)</li> <li>- Settled</li> <li>- CCASS Rejection (Buy side)</li> <li>- CCASS Rejection (Sell side)</li> </ul>
Timestamp	<p>The date and time of each transaction activity</p> <p>Note: The timestamp shown on UI is indicating the Hong Kong Time (UTC+8); while the API fetching result is indicating the Universal Time (UTC+0).</p>
User	<p>System UID of the approver of each activity. Visibility of this field is dependent on the acting participant, e.g., a GC participant will only be able to see the approval/rejection actions taken by a GC and cannot see any actions taken by other participants, e.g., AM, LC, etc.</p>
Party	<p>Party of the approver of each activity.</p> <p>Participants will be able to see what actions are taken by HKEX</p>
Reference	<p>Always blank and reserved for the future use to show unique message reference for ISO20022 message generated (this information is only available to ISO message users). Visibility of this field is dependent on the acting participant, e.g., a GC participant will only be able to see the approval/rejection actions taken by a GC and cannot see any actions taken by other participants, e.g., AM, LC, etc. Synapse Users using GUI / API can ignore this field.</p>

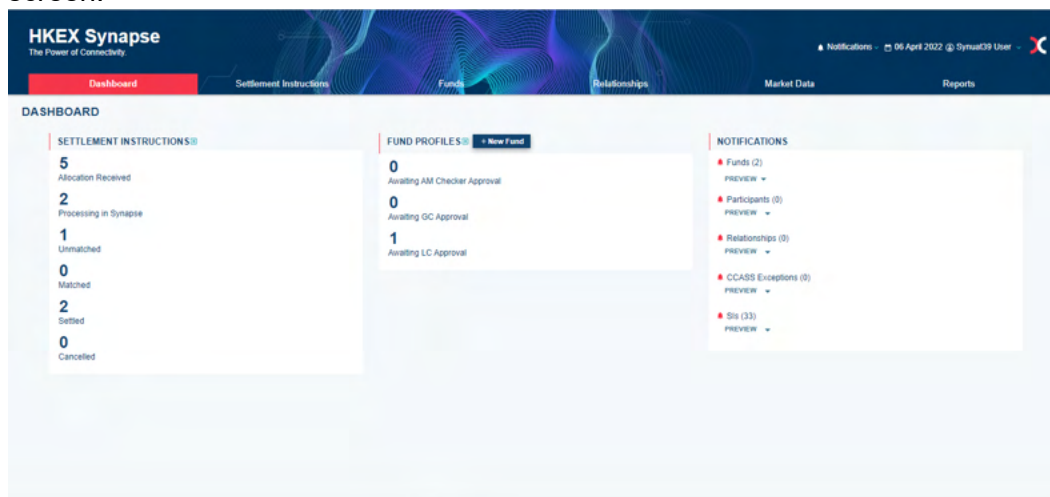
## 8. Relationships

The Relationships tab shows how participants relate to one another and provides additional entity details.

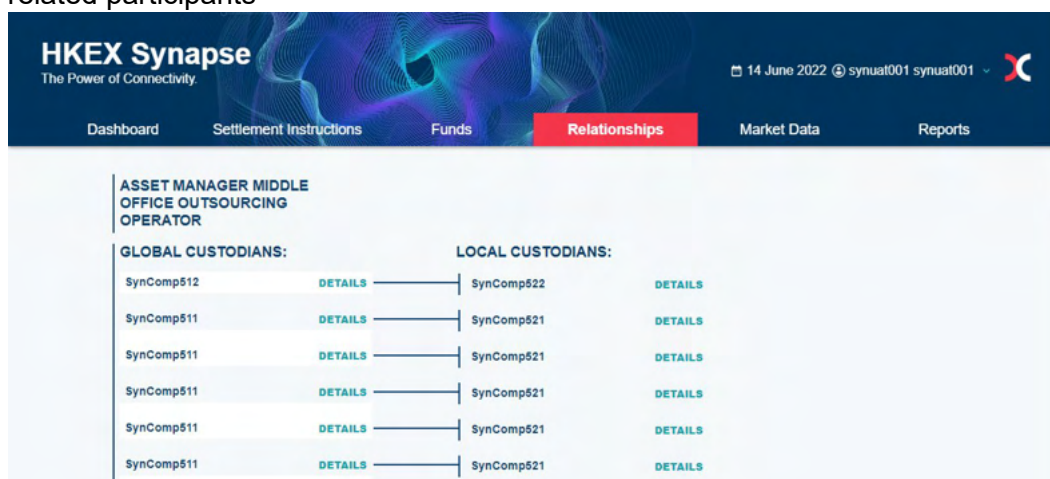
Participants can see how they relate to one another and view additional entity details. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The participant logs in to Synapse via Client Connect and navigates to the Dashboard screen.



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



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

**HKEX Synapse**  
The Power of Connectivity.

13 June 2023 synuat003 synuat003

← Back Entity Details: SynComp521

**ENTITY DETAILS**

Name : SynComp521  
 Role Type : Local Custodian  
 LEI : 621344ABC32JRTFGR421  
 BIC : JMPPM55XXX  
 DN : cn=invfunds,ou=80a,o=creschzz

Field Name	Description
Name	The Legal Entity name of the entity
Role Type	Role of the entity
LEI	Legal Entity Identifier for the entity
BIC	Depository Business Identification Code
DN	Distinguished Name Code for the entity

Below are the relationship screens for each participant type.

## 8.1 Buy Side

### Asset Manager (AM) – who does not appoint AMOO

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

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The Power of Connectivity.

14 June 2022 synuat001 synuat001

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

**ASSET MANAGER MIDDLE OFFICE OUTSOURCING OPERATOR**

GLOBAL CUSTODIANS:	LOCAL CUSTODIANS:
SynComp512 <a href="#">DETAILS</a>	SynComp522 <a href="#">DETAILS</a>
SynComp511 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp511 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp511 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp511 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>
SynComp511 <a href="#">DETAILS</a>	SynComp521 <a href="#">DETAILS</a>

## Asset Manager (AM) – who appoints AMOO

On the Relationships tab, the AM participant can view the relationships between buy side participants, e.g., GC, LC, and AMOO if an AMOO has been appointed by the AM.

The screenshot shows the HKEX Synapse interface with the 'Relationships' tab selected. The header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '15 June 2022', and the user 'synuat011 synuat011'. The navigation bar contains 'Dashboard', 'Settlement Instructions', 'Funds', 'Relationships' (highlighted), 'Market Data', and 'Reports'.

The main content area displays the 'ASSET MANAGER MIDDLE OFFICE OUTSOURCING OPERATOR' for 'SynComp556'. Below this, there are two columns: 'GLOBAL CUSTODIANS' and 'LOCAL CUSTODIANS'. Each column lists participants with 'DETAILS' links. Lines connect the AMOO to the custodians.

GLOBAL CUSTODIANS:	LOCAL CUSTODIANS:
SynComp511	SynComp521
SynComp511	SynComp522
SynComp511	SynComp521
SynComp511	SynComp522
SynComp511	SynComp521
SynComp511	SynComp521

## Asset Manager Middle Office Outsourcing Operator (AMOO)

If the AMOO is being has appointed by multiple AM, then the AMOO can choose which AM to act as and sees the same as what the relevant AM would see.

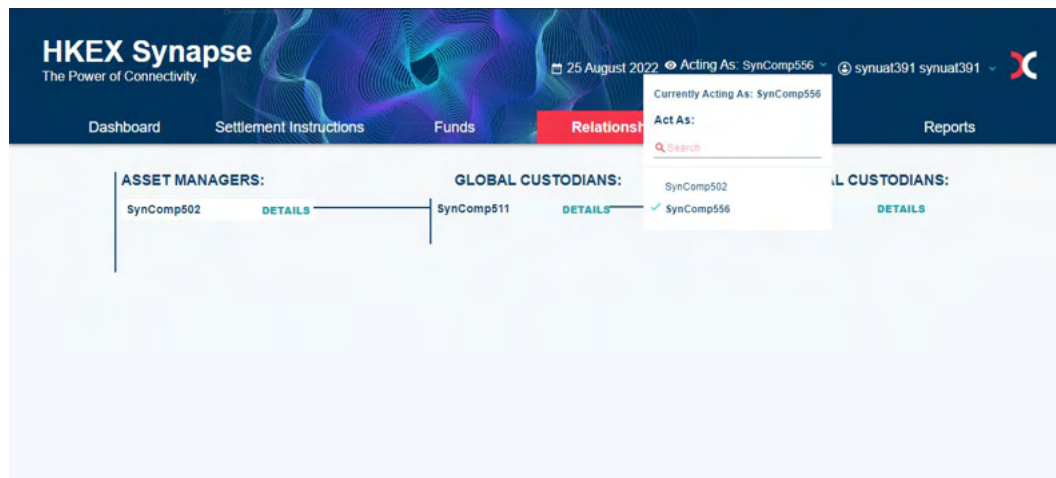
The AMOO can click the participant dropdown in the top right corner and then click “Act as Different Identity” to change which AM they act as. They can choose to act as any AM that has appointed them or as themselves as AMOO.

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

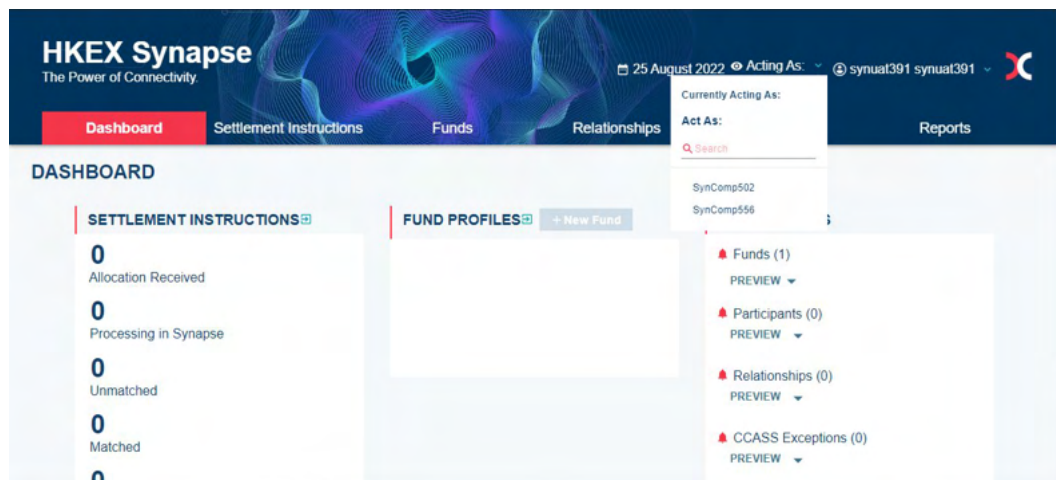
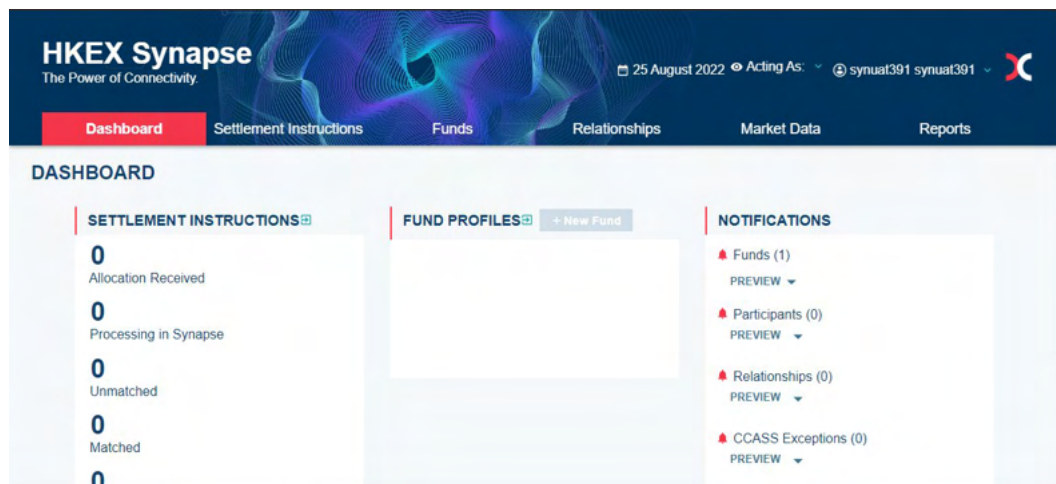
The screenshot shows the HKEX Synapse interface with the 'Relationships' tab selected. The header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '25 August 2022', and the user 'Acting As: SynComp556'. The navigation bar contains 'Dashboard', 'Settlement Instructions', 'Funds', 'Relationships' (highlighted), 'Market Data', and 'Reports'.

The main content area displays the 'ASSET MANAGERS', 'GLOBAL CUSTODIANS', and 'LOCAL CUSTODIANS' sections. A dropdown menu is open on the right, showing the 'ACTING AS' options: 'Identity: AM Outsourcing Operator', 'Function 1: Data Manager', 'Role Type: Input-Only', 'Function 2: SYN User', and 'Role Type: Input-Only'. A 'Logout' button is also visible.

ASSET MANAGERS:	GLOBAL CUSTODIANS:	LOCAL CUSTODIANS:
SynComp502	SynComp511	SynComp521



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







## 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

The screenshot shows the HKEX Synapse interface for an Exchange Participant (EP) user. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships' (highlighted), and 'Market Data'. The user is logged in as 'synuat214 synuat214' on '15 June 2022'. A dropdown menu is open, showing 'Organization: SynComp531' and 'ACTING AS: Exchange Participant'. The main content area displays 'EXCHANGE PARTICIPANT MIDDLE OFFICE OUTSOURCING OPERATOR' and lists 'EXCHANGE PARTICIPANTS' (SynComp531) and 'CLEARING PARTICIPANTS' (SynComp541, SynComp179, SynComp333). Each participant has a 'DETAILS' link.

### 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.

The screenshot shows the HKEX Synapse interface for an Exchange Participant (EP) user. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships' (highlighted), 'Market Data', and 'Reports'. The user is logged in as 'synuat221 synuat221' on '25 August 2022'. The main content area displays 'EXCHANGE PARTICIPANT MIDDLE OFFICE OUTSOURCING OPERATOR' and lists 'EXCHANGE PARTICIPANTS' (SynComp562) and 'CLEARING PARTICIPANTS' (SynComp541). Each participant has a 'DETAILS' link. A breadcrumb trail at the bottom reads 'Inbox - Outlook 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.

The screenshot shows the HKEX Synapse dashboard with the user acting as 'synuat431 synuat431'. The dashboard includes a navigation bar with 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. The main content area is divided into three sections: 'SETTLEMENT INSTRUCTIONS' with counts for Allocation Received, Processing in Synapse, Unmatched, and Matched; 'ACCOUNTS' with a '+ New Account' button; and 'NOTIFICATIONS' with links to Accounts (2), Participants (0), Relationships (0), and CCASS Exceptions (0), each with a 'PREVIEW' button. A dropdown menu on the right shows the user's identity as 'EP Outsourcing Operator' and lists three functions: 'Function 1: SYN User', 'Function 2: Data Manager', and 'Function 3: Transaction-Balances', all with 'Role Type: Input-Only'. A 'Logout' button is also present.

This screenshot shows the same HKEX Synapse dashboard, but with the 'Act As' dropdown menu open. The dropdown lists 'SynComp532' and 'SynComp562'. The 'Accounts' section in the notifications is expanded, showing 'Accounts (2)' with a 'PREVIEW' button. The 'Relationships' section also shows 'Relationships (0)' with a 'PREVIEW' button. The 'CCASS Exceptions (0)' section is also visible with a 'PREVIEW' button.

The screenshot shows the 'Relationships' page in the HKEX Synapse system. The navigation bar includes 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships' (highlighted), 'Market Data', and 'Reports'. The main content area is divided into two sections: 'EXCHANGE PARTICIPANTS' and 'CLEARING PARTICIPANTS'. Under 'EXCHANGE PARTICIPANTS', there is a list with 'SynComp532' and a 'DETAILS' link. Under 'CLEARING PARTICIPANTS', there is a list with 'SynComp541' and a 'DETAILS' link.

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

HKEX Synapse

The Power of Connectivity

25 August 2022

Acting As: synuat431 synuat431

Dashboard

Settlement Instructions

Accounts

Relationships

Market Data

DASHBOARD

SETTLEMENT INSTRUCTIONS

0

Allocation Received

0

Processing in Synapse

0

Unmatched

0

Matched

0

ACCOUNTS

+ New Account

NOTIFICATIONS

Accounts (2)

PREVIEW

Participants (0)

PREVIEW

Relationships (0)

PREVIEW

CCASS Exceptions (0)

PREVIEW

Organization: SynComp562

ACTING AS:

Identity: EP Outsourcing Operator

Function 1: SYN User

Role Type: Input-Only

Function 2: Data Manager

Role Type: Input-Only

Function 3: Transaction-Balances

Role Type: Input-Only

Logout

HKEX Synapse

The Power of Connectivity

25 August 2022

Acting As: synuat431 synuat431

Dashboard

Settlement Instructions

Accounts

Relationships

Reports

DASHBOARD

SETTLEMENT INSTRUCTIONS

0

Allocation Received

0

Processing in Synapse

0

Unmatched

0

Matched

0

ACCOUNTS

+ New Account

Currently Acting As:

Act As:

Search

SynComp532

SynComp562

Accounts (2)

PREVIEW

Participants (0)

PREVIEW

Relationships (0)

PREVIEW

CCASS Exceptions (0)

PREVIEW

HKEX Synapse

The Power of Connectivity

25 August 2022

Acting As: SynComp532

synuat431 synuat431

Dashboard

Settlement Instructions

Accounts

Relationships

Market Data

Reports

EXCHANGE PARTICIPANT

MIDDLE OFFICE

OUTSOURCING OPERATOR

SynComp562

DETAILS

EXCHANGE PARTICIPANTS:

SynComp532

DETAILS

CLEARING PARTICIPANTS:

SynComp541

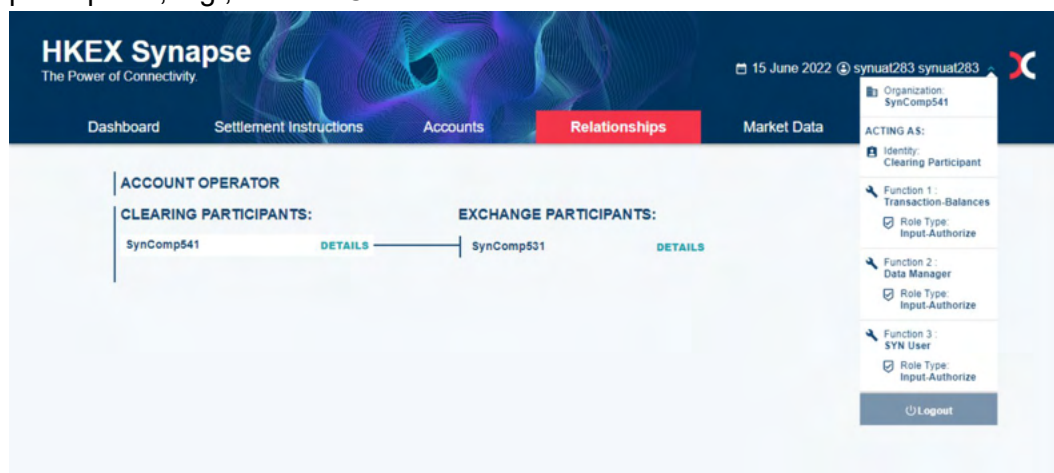
DETAILS

188



### Clearing Participant (CP) – who does not appoint AO

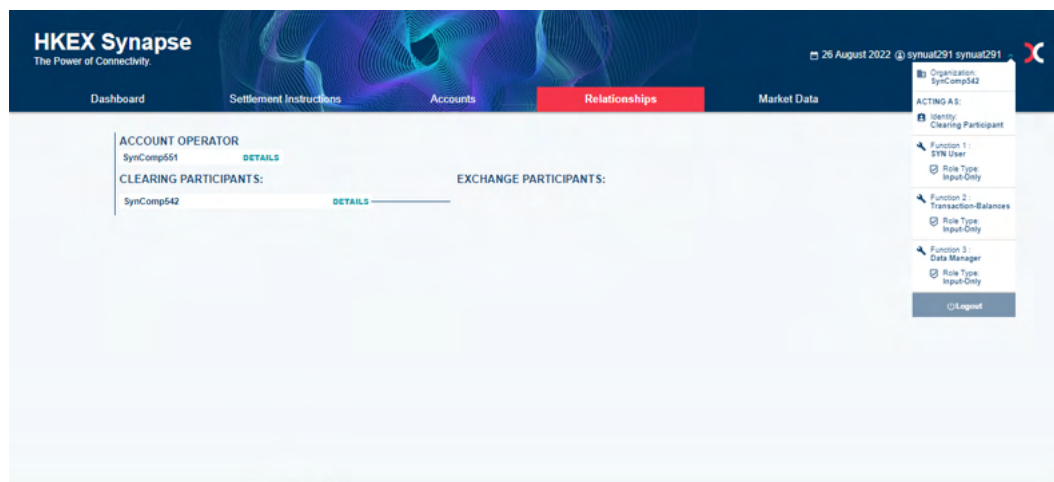
On the Relationships tab, the CP participant can view the relationships between sell side participants, e.g., EP and CP.



The screenshot shows the HKEX Synapse interface with the 'Relationships' tab selected. The header includes the HKEX Synapse logo, navigation tabs (Dashboard, Settlement Instructions, Accounts, Relationships, Market Data), and a user profile dropdown for 'synuat283 synuat283' dated 15 June 2022. The main content area displays 'ACCOUNT OPERATOR' as 'SynComp541' and 'CLEARING PARTICIPANTS' as 'SynComp541'. A 'DETAILS' link is visible next to the clearing participant. The 'EXCHANGE PARTICIPANTS' section is empty. The user profile dropdown menu is open, showing 'Organization: SynComp541', 'ACTING AS: Identity: Clearing Participant', and three functions: 'Function 1: Transaction-Balances', 'Function 2: Data Manager', and 'Function 3: SYN User', each with a 'Role Type: Input-Authorize' checkbox. A 'Logout' button is at the bottom of the menu.

### Clearing Participant (CP) – who appoints AO

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

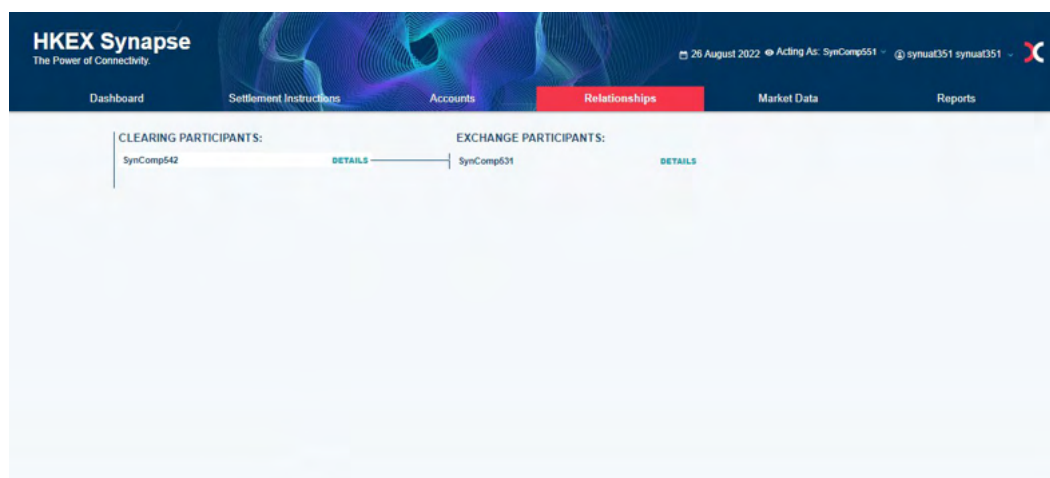
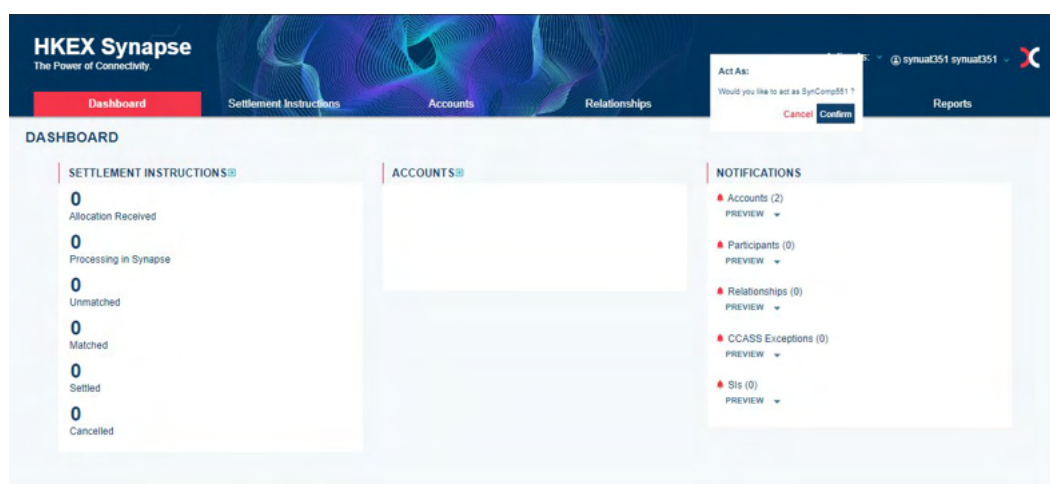
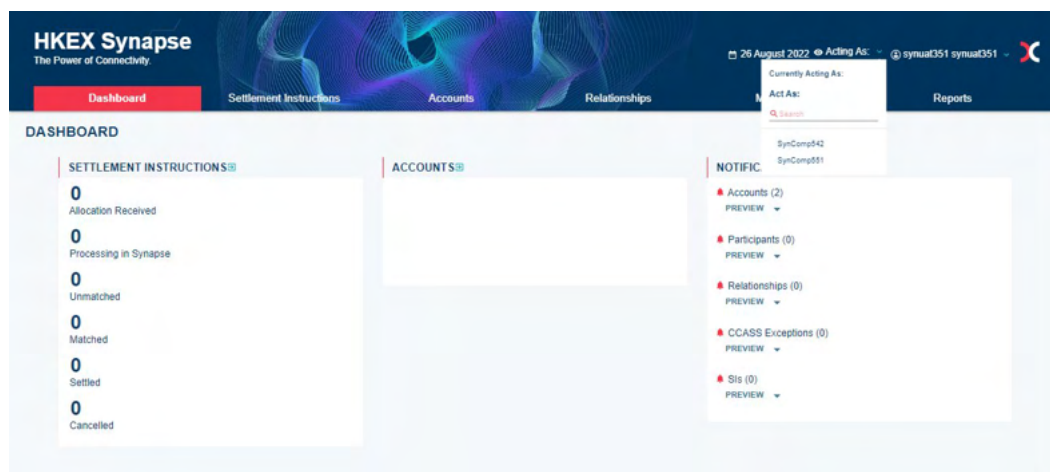


The screenshot shows the HKEX Synapse interface with the 'Relationships' tab selected. The header includes the HKEX Synapse logo, navigation tabs (Dashboard, Settlement Instructions, Accounts, Relationships, Market Data), and a user profile dropdown for 'synuat291 synuat291' dated 26 August 2022. The main content area displays 'ACCOUNT OPERATOR' as 'SynComp551' and 'CLEARING PARTICIPANTS' as 'SynComp542'. A 'DETAILS' link is visible next to the clearing participant. The 'EXCHANGE PARTICIPANTS' section is empty. The user profile dropdown menu is open, showing 'Organization: SynComp542', 'ACTING AS: Identity: Clearing Participant', and three functions: 'Function 1: SYN User', 'Function 2: Transaction-Balances', and 'Function 3: Data Manager', each with a 'Role Type: Input-Only' checkbox. A 'Logout' button is at the bottom of the menu.

## Account Operator (AO)

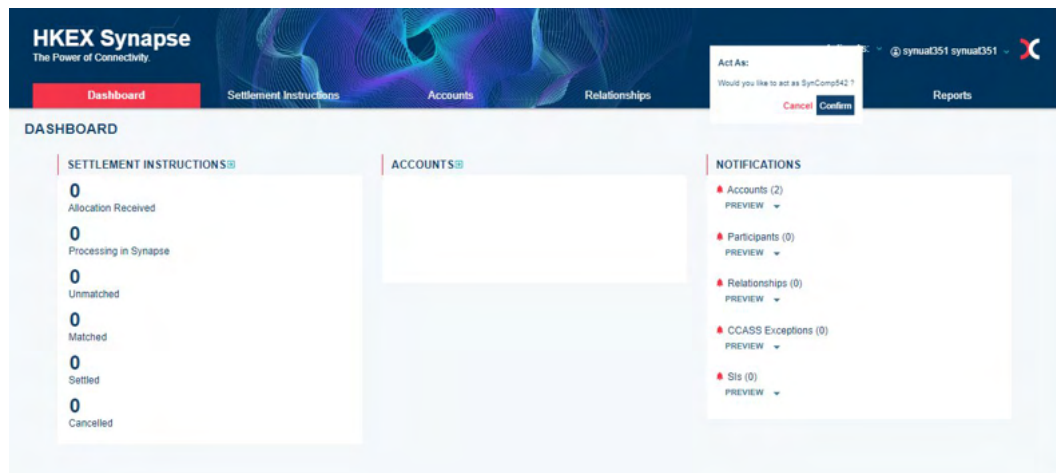
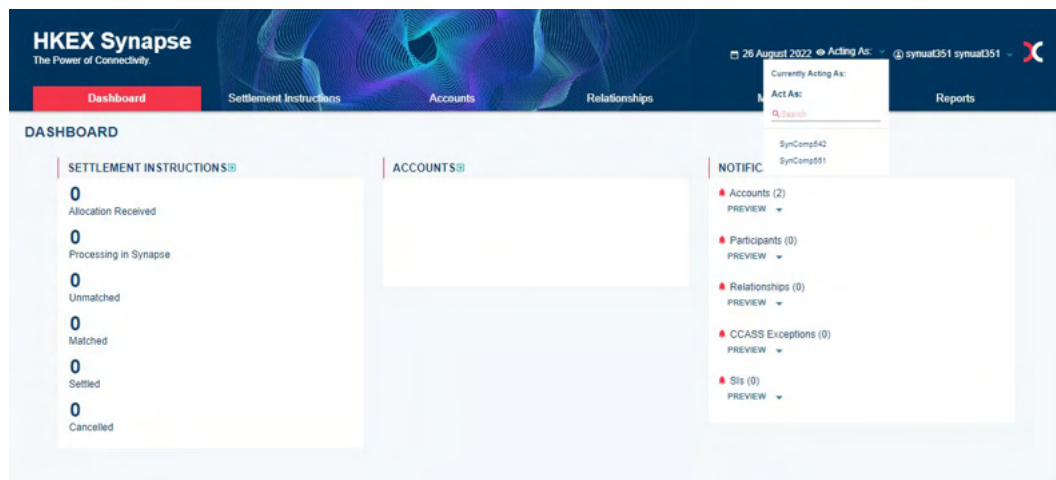
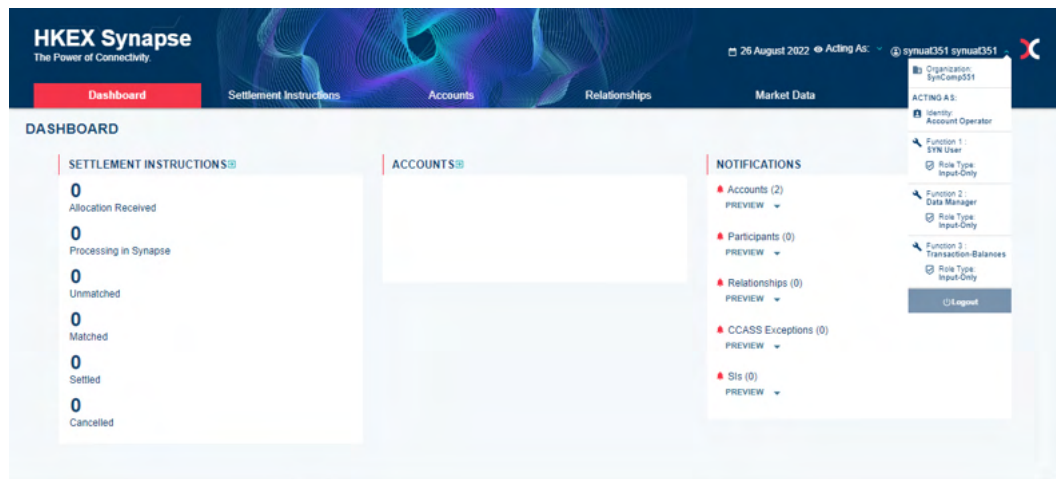
If the CP has appointed an AO, then the AO chooses which CP to act as and sees the same as what the relevant CP would see.

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

26 August 2022

Acting As: SynComp542

synuat351

synuat351

Dashboard

Settlement Instructions

Accounts

Relationships

Market Data

Reports

DASHBOARD

SETTLEMENT INSTRUCTIONS

0

Allocation Received

0

Processing in Synapse

0

Unmatched

0

Matched

0

Settled

0

Cancelled

ACCOUNTS

0

Awaiting CP Maker Approval

0

Awaiting CP Checker Approval

NOTIFICATIONS

Accounts (4)

PREVIEW

Participants (0)

PREVIEW

Relationships (0)

PREVIEW

CCASS Exceptions (0)

PREVIEW

SIs (0)

PREVIEW

HKEX Synapse

The Power of Connectivity

26 August 2022

Acting As: SynComp542

synuat351

synuat351

Dashboard

Settlement Instructions

Accounts

Relationships

Market Data

Reports

ACCOUNT OPERATOR

SynComp551

DETAILS

CLEARING PARTICIPANTS:

SynComp542

DETAILS

EXCHANGE PARTICIPANTS:

SynComp531

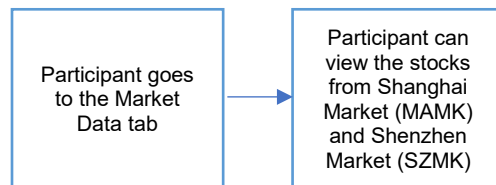
DETAILS

192

## 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 Client Connect 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).

HKEX Synapse  
The Power of Connectivity.

Notifications 06 January 2022 CP0040\_UM

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

Market Calendar: Download in PDF Format from HKEX website Securities for Stock Connect Northbound Market **Export**

Search

Shanghai Market (MAMK)		
STOCK NAME	ISIN	STOCK CODE
QIGADVICE SEMICONDUCTOR(BEIJING) INC	CNE1000030S9	93085
SHANGHAI PUDONG DEVELOPMENT BANK CO., LTD.	CNE100000RJ0	91288

Shenzhen Market (SZMK)		
STOCK NAME	ISIN	STOCK CODE
SHANGHAI PUDONG DEVELOPMENT BANK CO., LTD.	CNE000000WM5	70825
TENCENT HOLDINGS	CNE000000GN6	70028

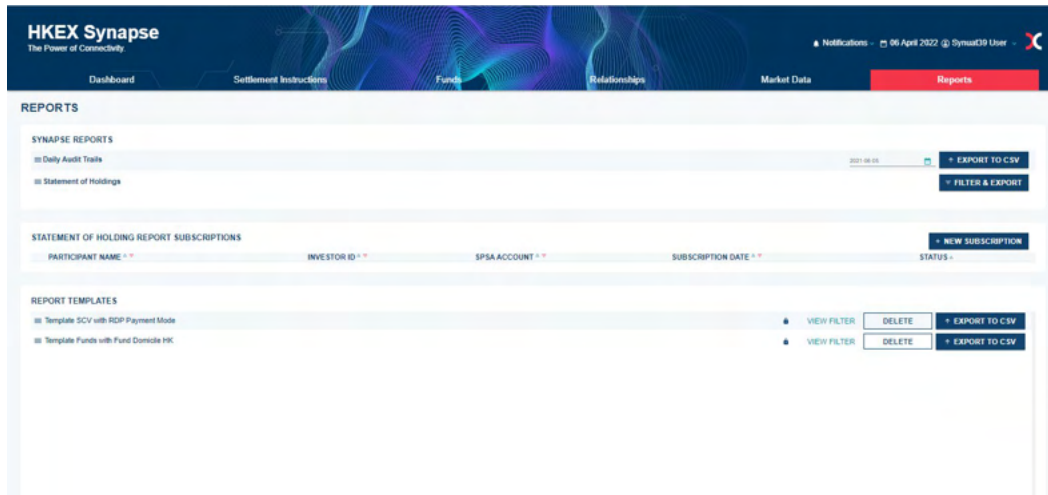
3. The AM participant can export the Stock List to CSV format by clicking the “Export” button.

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.

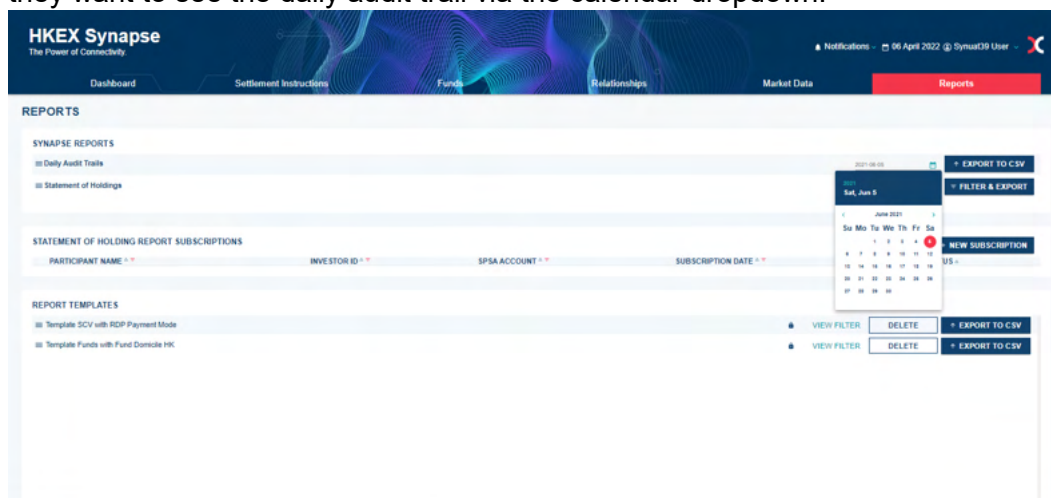
### 10.1 Synapse Reports



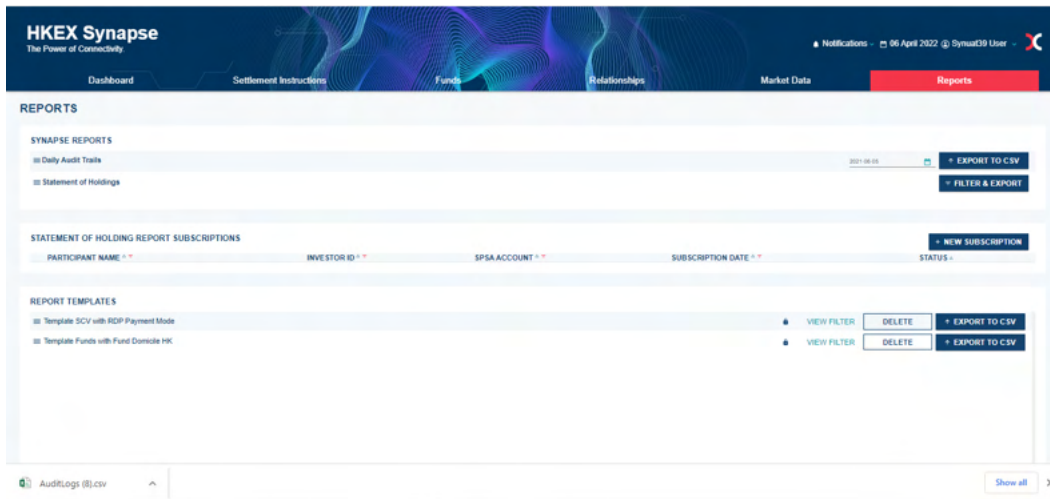
#### Daily Audit Trail

On the Reports tab, Synapse users can access a daily audit trail for all activities related to them (Funds, Accounts, and Settlement Instructions) in the form of a CSV. The daily audit trail report will be made available at the start of the day to show the previous day's system and user activities. Please note activities related to report download (e.g. SOH subscription / report template creation) and the mapping of outsourcing service provider will not be captured in the Daily Audit Trail.

1. On the Reports tab, the buy side and sell side participant can select a date for which they want to see the daily audit trail via the calendar dropdown.



- a. Note: 31 calendar days' worth of audit trail reports are available for selection
2. The participant will click "Export to CSV" to download.



Column	Description
Timestamp	Date/time when the transaction was recorded (in HKT)
Identification	Information to be displayed for different type of records: For SN - maps to CTM Transaction Identification For SCV - maps to UTI For Entity - maps to BIC/PID For Fund - maps to Fund ID and Fund Account at GC For Account - maps to Acct EP at CP
Message Type	Indicated the sub-categories of the record <b>For Settlement Processing</b> <ul style="list-style-type: none"> <li>- Settlement Notification Received (Buy side)</li> <li>- Settlement Notification Received (Sell side)</li> <li>- SCV Created (Buy Side) SCV Created (Sell Side)</li> <li>- GC Approved</li> <li>- LC Approved</li> <li>- CP Approved</li> <li>- GC Rejected</li> <li>- LC Rejected</li> <li>- CP Rejected</li> <li>- Synapse Rejected (Buy Side)</li> <li>- Synapse Rejected (Sell Side)</li> <li>- SCV Cancelled (Buy Side)</li> <li>- SCV Cancelled (Sell Side)</li> <li>- Input SI Request (Buy Side)</li> <li>- Input SI Request (Sell Side)</li> <li>- Unmatched - OTHR (Buy Side)</li> <li>- Unmatched - OTHR (Sell Side)</li> <li>- Unmatched - SAFE (Buy Side)</li> <li>- Unmatched - SAFE (Sell Side)</li> <li>- Unmatched - DSEC (Buy Side)</li> <li>- Unmatched - DSEC (Sell Side)</li> <li>- Unmatched - DELN (Buy Side)</li> <li>- Unmatched - DELN (Sell Side)</li> <li>- Unmatched - FRAP (Buy Side)</li> <li>- Unmatched - FRAP (Sell Side)</li> <li>- Unmatched - DQUA (Buy Side)</li> <li>- Unmatched - DQUA (Sell Side)</li> </ul>

	<ul style="list-style-type: none"> <li>- Unmatched - DMON (Buy Side)</li> <li>- Unmatched - DMON (Sell Side)</li> <li>- Unmatched - DDAT (Buy Side)</li> <li>- Unmatched - DDAT (Sell Side)</li> <li>- Unmatched - DCUR (Buy Side)</li> <li>- Unmatched - DCUR (Sell Side)</li> <li>- Unmatched - NPOS (Buy Side)</li> <li>- Unmatched - NPOS (Sell Side)</li> <li>- Unmatched - PMNE (Buy Side)</li> <li>- Unmatched - PMNE (Sell Side)</li> <li>- Unmatched - URNA (Buy Side)</li> <li>- Unmatched - URNA (Sell Side)</li> <li>- Matched - MTCH (Buy Side)</li> <li>- Matched - MTCH (Sell Side)</li> <li>- Settled - SETD (Buy Side)</li> <li>- Settled - SETD (Sell Side)</li> <li>- Cancelled - CANI (Buy Side)</li> <li>- Cancelled - CANI (Sell Side)</li> <li>- Cancelled (CP) - CSUB (Buy Side)</li> <li>- Cancelled (CP) - CSUB (Sell Side)</li> <li>- Shares on Hold - CVAL (Buy Side)</li> <li>- Shares on Hold - CVAL (Sell Side)</li> <li>- Payment Validated - CYCL (Buy Side)</li> <li>- Payment Validated - CYCL (Sell Side)</li> <li>- Matched On-Hold - PREA (Buy Side)</li> <li>- Matched On-Hold - PREA (Sell Side)</li> <li>- Pending for Transfer - CAIS (Buy Side)</li> <li>- Pending for Transfer - CAIS (Sell Side)</li> <li>- Counter Party Instruction On-Hold - PRCY (Buy Side)</li> <li>- Counter Party Instruction On-Hold - PRCY (Sell Side)</li> <li>- Cancelled - CANS (Buy Side)</li> <li>- Cancelled - CANS (Sell Side)</li> </ul> <p><b>For Participant Onboarding</b></p> <ul style="list-style-type: none"> <li>- New Active GC Entity</li> <li>- New Active LC Entity</li> <li>- New Active AM Entity</li> <li>- New Active EP Entity</li> <li>- New Active CP Entity</li> <li>- New Active AMOO Entity</li> <li>- New Active EPOO Entity</li> <li>- New Active AO Entity</li> <li>- Entity Details Amended</li> <li>- Entity Status Amended</li> </ul> <p><b>For Fund Onboarding</b></p> <ul style="list-style-type: none"> <li>- New Fund Created</li> <li>- New Fund Profile Approved by GC</li> <li>- New Fund Profile Approved by LC</li> <li>- New Fund Profile Rejected by GC</li> <li>- New Fund Profile Rejected by LC</li> <li>- LC-Reappointment Approved by GC</li> <li>- LC-Reappointment Approved by LC</li> <li>- LC-Reappointment Rejected by GC</li> <li>- LC-Reappointment Rejected by LC</li> <li>- Fund Details Amended</li> </ul>
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	<ul style="list-style-type: none"> <li>- Fund Status Changed</li> <li>- Fund Profile Status Changed</li> </ul> <b>For Account Onboarding</b> <ul style="list-style-type: none"> <li>- New Account Created</li> <li>- New Account Approved by CP</li> <li>- New Account Rejected by CP</li> <li>- Account Status Changed</li> </ul>
Details	Description of the record. Please note for message types related to Fund / Account Onboarding, both maker ID and checker ID will be shown. For message type related to Settlement Processing, only entity ID will be shown.
Category	Indicated the categories of the record <ul style="list-style-type: none"> <li>- Settlement Processing</li> <li>- Participant Onboarding</li> <li>- Fund Onboarding</li> <li>- Account Onboarding</li> </ul>
Party	The company name of the entity who triggered the record
Audit Log Date	Date of the audit log generated

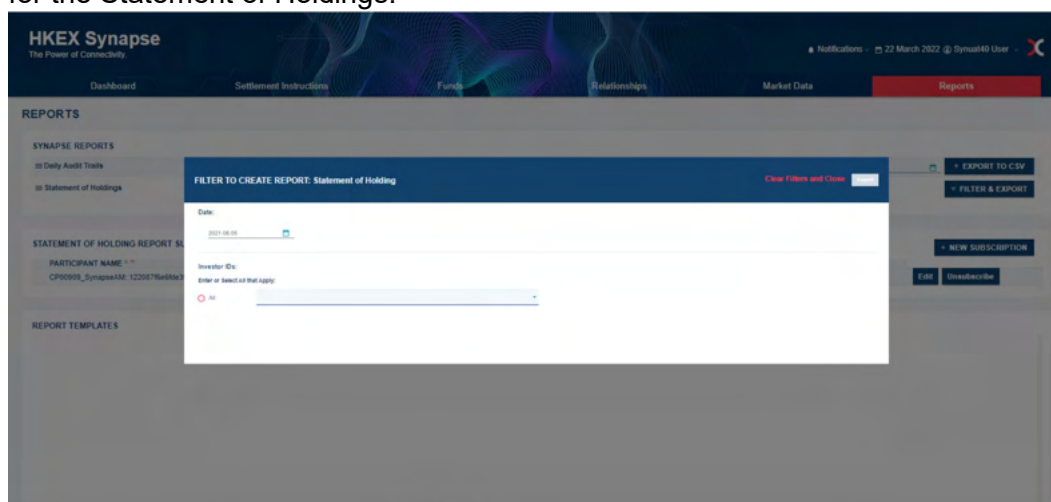
For outsourcing service providers (AMOO, EPOO, AO), when they login Synapse to retrieve the Daily Audit Trail, the Daily Audit Trail will always show the activities of all their core user(s) (i.e. AM, EP or CP) that have appointed them as the outsourcing service providers, no matter such outsourcing service providers is acting as itself or anyone of the core user(s) that have appointed them as the outsourcing service provider when such outsourcing service providers are retrieving the Daily Audit Trail.

## Statement of Holdings

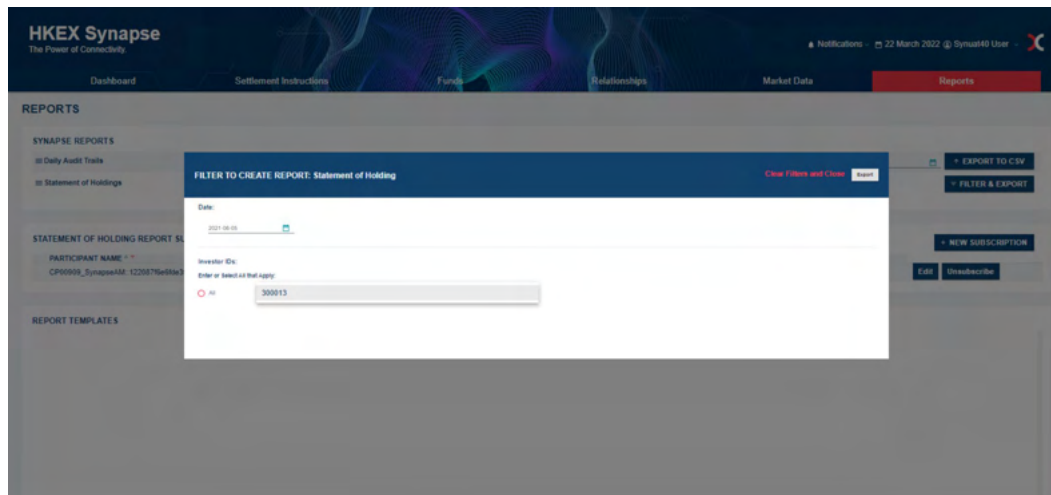
On the Reports tab, only buy side participants can download the Statement of Holdings in the form of CSV file. By on-boarding a fund onto Synapse, the relevant LC is taken to have authorized that (1) the Statement of Holdings in relation to the fund on-boarded onto Synapse in accordance with instructions 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.



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.



3. If the incorrect date or incorrect investor ID(s) were selected, then the buy side participant can click “Clear Filters and Close” to remove any selections.

4. When the correct date and investor ID(s) have been selected, the buy side participant then clicks “Export” to download the Statement of Holdings into CSV file.

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

## 10.2 Statement of Holding Report Subscriptions

### 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).

The screenshot shows the HKEX Synapse interface with the 'Reports' tab selected. A modal dialog titled 'SUBSCRIBE TO STATEMENT OF HOLDING REPORT:' is open. It asks the user to 'Please provide the following information:' and includes a 'Subscription Start Date' field with a calendar icon. Below this is an 'Investor ID(s)' field with a dropdown arrow and a red 'X' icon, indicating a search or selection function. The background interface shows the 'REPORTS' section with options like 'Daily Audit Trails', 'Statement of Holdings', and 'Export to CSV'.

- 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.

This screenshot is similar to the previous one, but the 'Investor ID(s)' dropdown menu is open, showing a list of investor IDs. The user has selected '300013'. The background interface remains the same, showing the 'Reports' tab and various report options.

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.

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 synuat001 synuat001

Dashboard Settlements Data Reports

**REPORTS**

SYNAPSE REPORTS

- Daily Audit Trails
- Statement of Holdings

**STATEMENT OF HOLDING REPORT**

Please provide the following information:

Subscription Start Date:

2021-06-05

Investor IDs:

Enter or Select All that Apply:

☐ All ☐ 300013 ☐ 600002 ☐ 800062

**STATEMENT OF HOLDING REPORT**

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS
SynComp501	300013, 600002, 800062	80000001, 80000002, 80000003	2021-06-05	

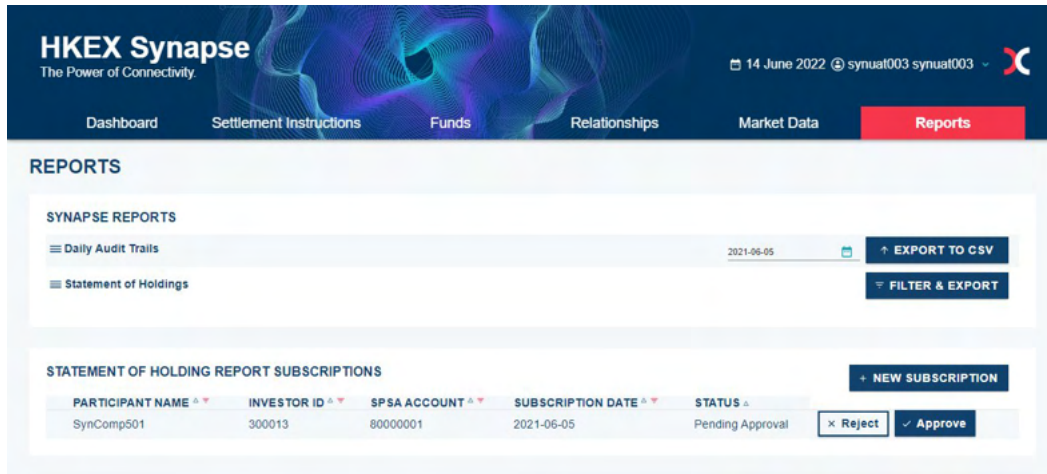
**EXPORT TO CSV** **FILTER & EXPORT** **NEW SUBSCRIPTION** **Edit** **Unsubscribe**

**Cancel** **SUBMIT**

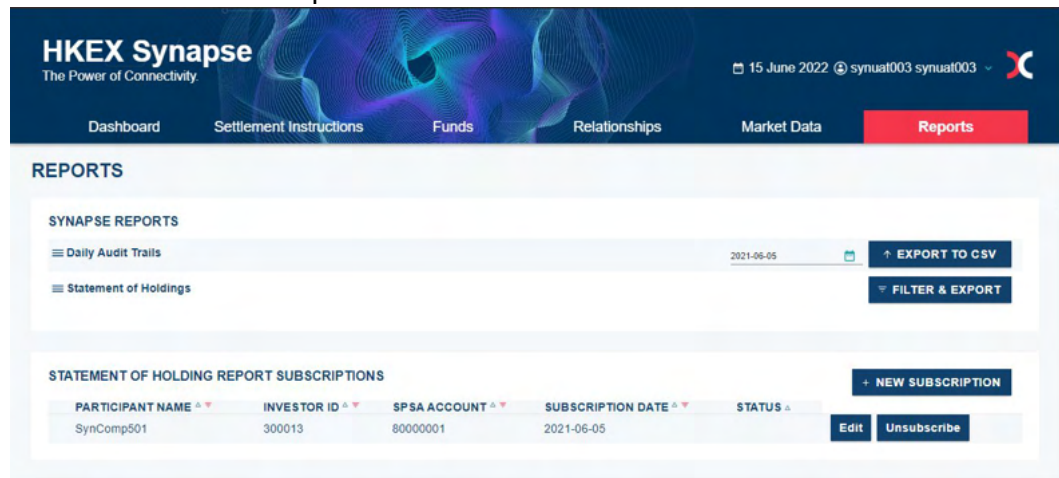
2. The Buy Side Data Manager Input Only User clicks “Submit”.
3. A new row is created in the Statement of Holding Report Subscriptions table with the status “Pending approval”.

### 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”.



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.



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

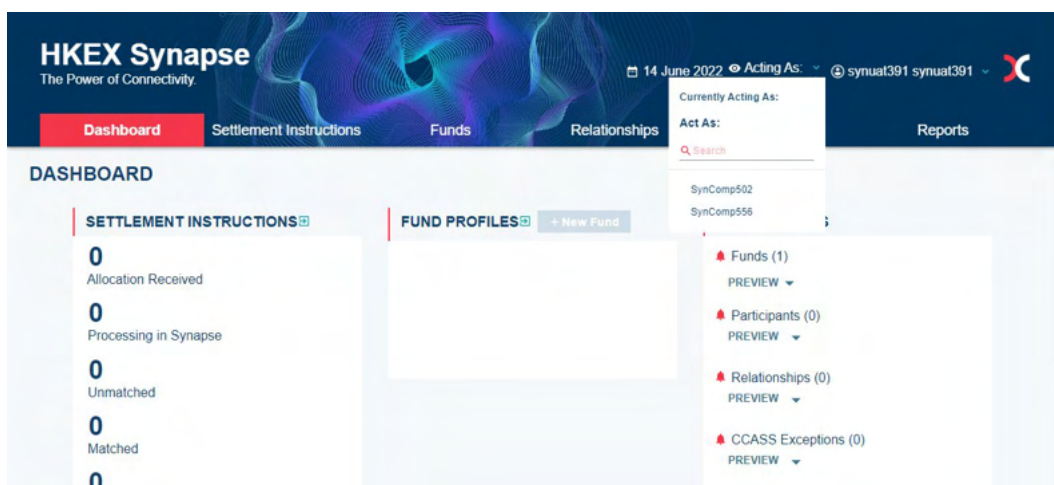
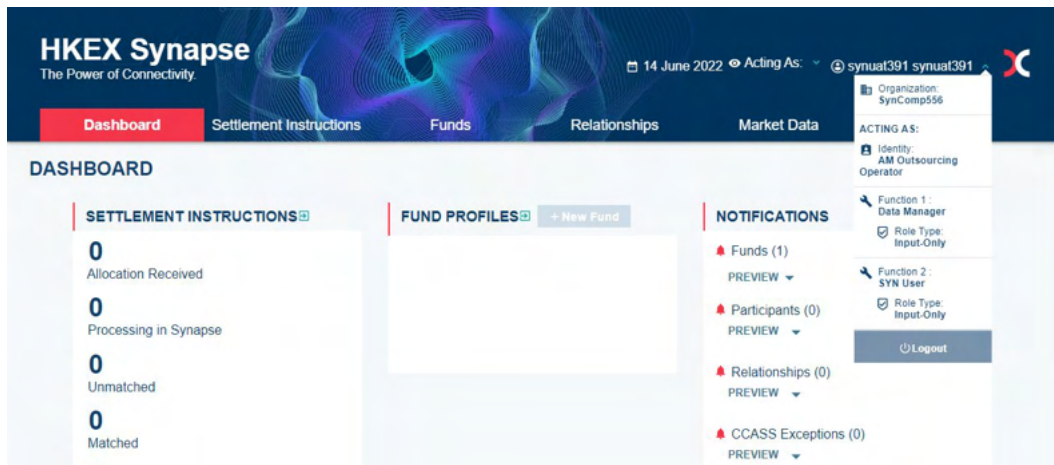
### Asset Manager Middle Office Outsourcing Operator (AMOO)

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 Client Connect and select to act as an AM from the participant dropdown in the top right corner.





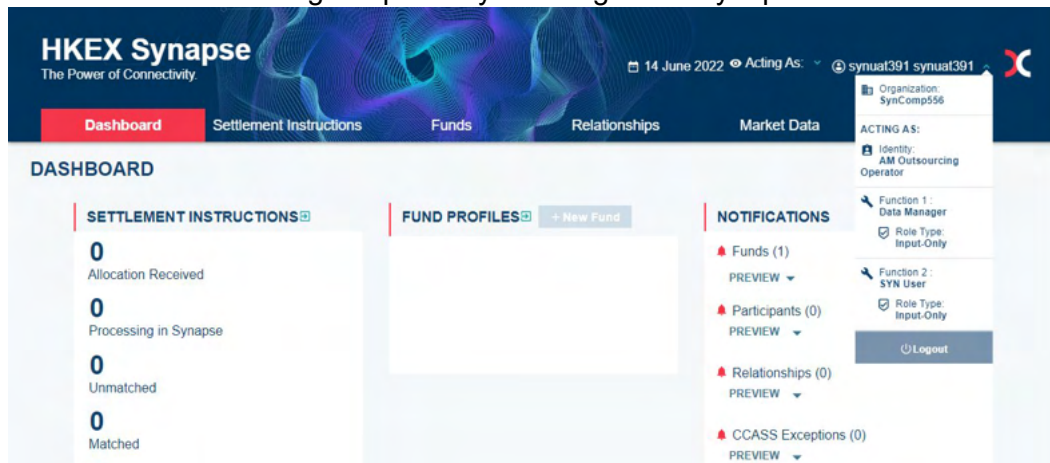
AMOO can proceed with the above process to subscribe to Statement of Holding report.

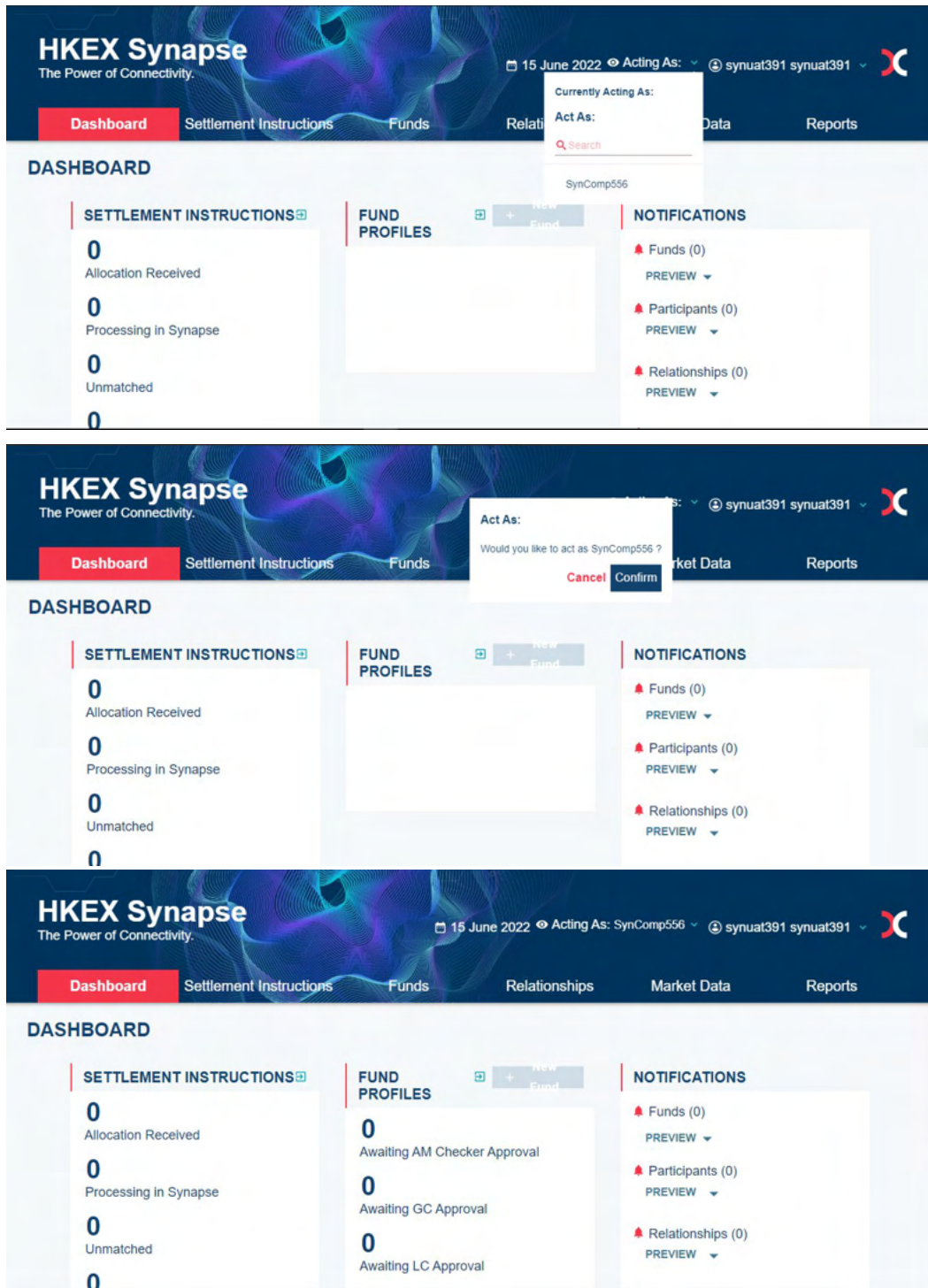
### AMOO Acting as AMOO

The AMOO can also choose to act as themselves for subscription of Statement of Holding Report.

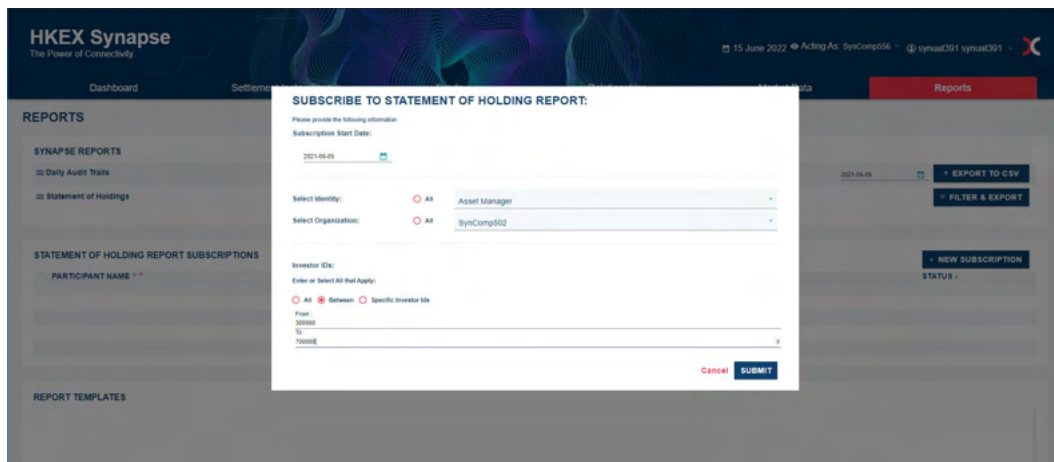
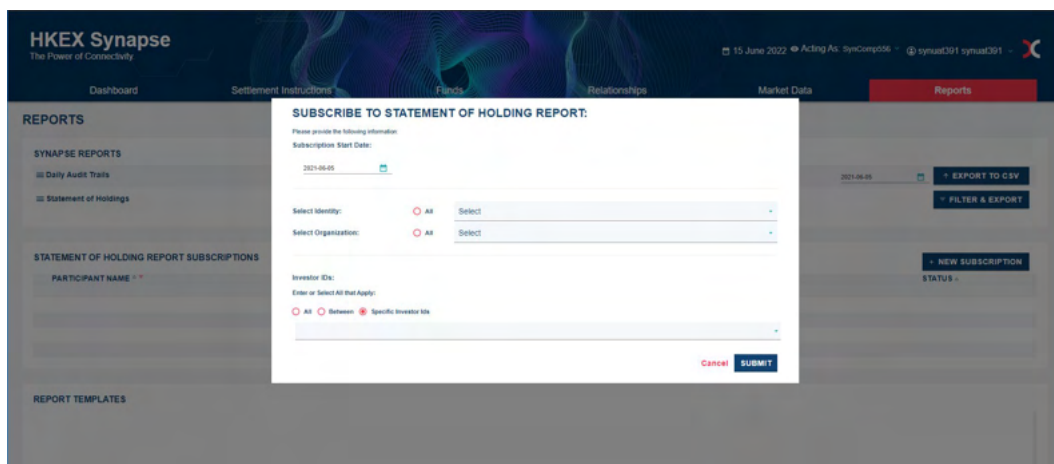
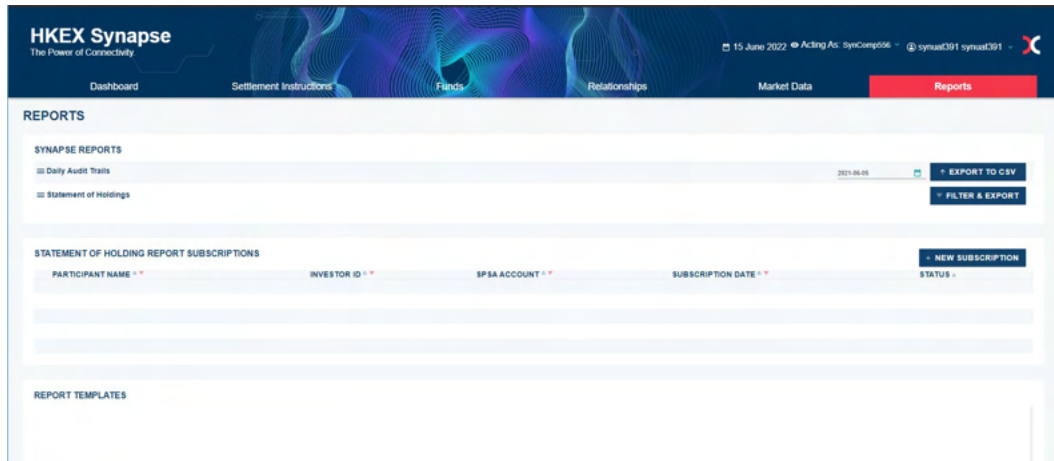
### AMOO Data Manager Input Only User

1. The AMOO Data Manager Input Only User logs in to Synapse as themselves.





2. 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. AMOO should always select “Asset Manager” in the identity selection. The AMOO Data Manager Input Only User can select individual AM or all of the AMs.
  - a. Note: selecting all of the AMs means that the AMOO wants to subscribe to the statements of holding for all of the organizations for which they are acting as.

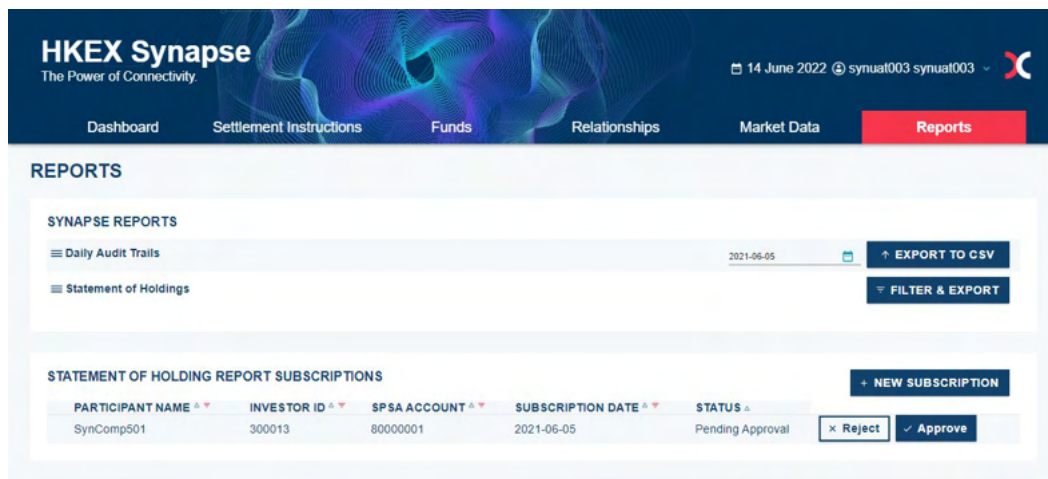


3. The AMOO Data Manager Input Only User can select all investor IDs related to them by choosing 1 out of the 3 radio buttons:
  - a. All – Selecting “All” to apply to all investor IDs related to them.
  - b. Between – Selecting “between” and providing x and y parameters means that the investors between x and y, inclusive, will be selected.
  - c. Specific Investor IDs – Selecting “Specific Investor IDs” to select one or multiple investor IDs.

4. The AMOO Data Manager Input Only User clicks “Submit”.
5. A new row is created in the Statement of Holding Report Subscriptions table with the status “Pending approval”.

#### AMOO Data Manager Input Authorise User

1. On the Reports tab, the AMOO Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending approval”.
2. AMOO Data Manager Input Authorise User can either click “Reject” or “Approve”.
  - a. If AMOO Data Manager Input Authorise User clicks “Approve”, then the Statement of Holding Report subscription is approved and will start on the date provided by the Input Only User. The Statement of Holding Report will be distributed to AMOO since the subscription date through the channel AMOO connected to Synapse, such as ISO. In any cases, AMOO can also download the Statement of Holding report via UI since the subscription date as well.
  - b. If AMOO Data Manager Input Authorise User clicks “Reject”, then the subscription process will be ended.



#### 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 Synapse**  
The Power of Connectivity

25 August 2022 @ synuat011 synuat011

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

### REPORTS

**SYNAPSE REPORTS**

- Daily Audit Trails 2021-06-05 [↑ EXPORT TO CSV](#)
- Statement of Holdings [↓ FILTER & EXPORT](#)

**STATEMENT OF HOLDING REPORT SUBSCRIPTIONS** [+ NEW SUBSCRIPTION](#)

PARTICIPANT NAME ▲▼	INVESTOR ID ▲▼	SPSA ACCOUNT ▲▼	SUBSCRIPTION DATE ▲▼	STATUS ▲	
SynComp502	300013	80000001	2021-06-05	Pending Approval (Unsubscribe)	<a href="#">Edit</a> <a href="#">Unsubscribe</a>

- The Buy Side Data Manager Input Only User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending Approval (Unsubscribe)”

**HKEX Synapse**  
The Power of Connectivity

25 August 2022 @ synuat011 synuat011

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

### REPORTS

**SYNAPSE REPORTS**

- Daily Audit Trails 2021-06-05 [↑ EXPORT TO CSV](#)
- Statement of Holdings [↓ FILTER & EXPORT](#)

**STATEMENT OF HOLDING REPORT SUBSCRIPTIONS** [+ NEW SUBSCRIPTION](#)

PARTICIPANT NAME ▲▼	INVESTOR ID ▲▼	SPSA ACCOUNT ▲▼	SUBSCRIPTION DATE ▲▼	STATUS ▲	
SynComp502	300013	80000001	2021-06-05	Pending Approval (Unsubscribe)	<a href="#">Unsubscribe</a>

## Buy Side Data Manager Input Authorise User

- On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending Approval (Unsubscribe)”

**HKEX Synapse**  
The Power of Connectivity

15 June 2022 @ synuat003 synuat003

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

### REPORTS

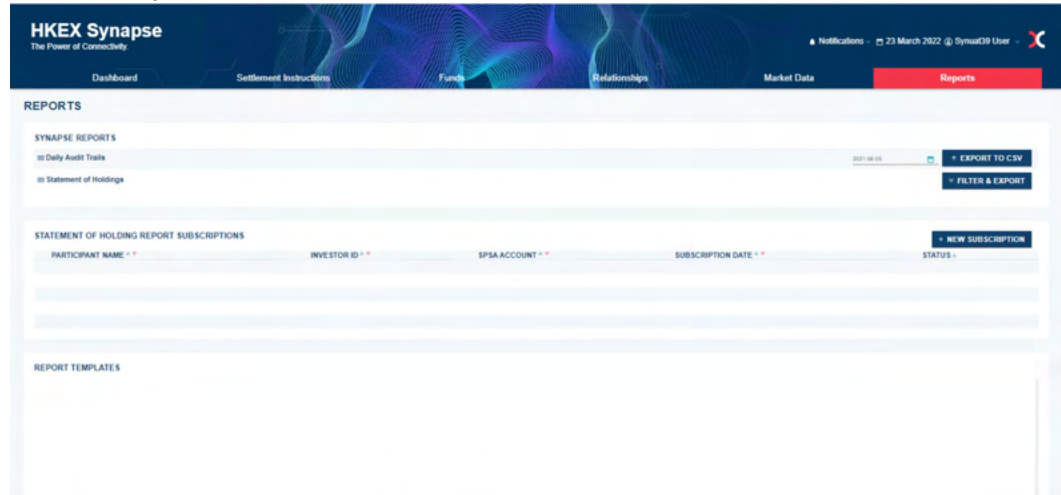
**SYNAPSE REPORTS**

- Daily Audit Trails 2021-06-05 [↑ EXPORT TO CSV](#)
- Statement of Holdings [↓ FILTER & EXPORT](#)

**STATEMENT OF HOLDING REPORT SUBSCRIPTIONS** [+ NEW SUBSCRIPTION](#)

PARTICIPANT NAME ▲▼	INVESTOR ID ▲▼	SPSA ACCOUNT ▲▼	SUBSCRIPTION DATE ▲▼	STATUS ▲	
SynComp501	300013, 300008, 600002	80000001, BO1451, 80000002	2021-06-05	Pending Approval (Unsubscribe)	<a href="#">x Reject</a> <a href="#">✓ Approve</a>

2. Buy Side Data Manager Input Authorise User can either click “Reject” or “Approve”.
  - a. If Buy Side Data Manager Input Authorise User clicks “Approve”, then the Statement of Holding Report unsubscription is approved, the previous subscription record will be removed from the list and the unsubscription will be immediately effective.



- b. If Buy Side Data Manager Input Authorise User clicks “Reject”, then the unsubscription process will be ended.

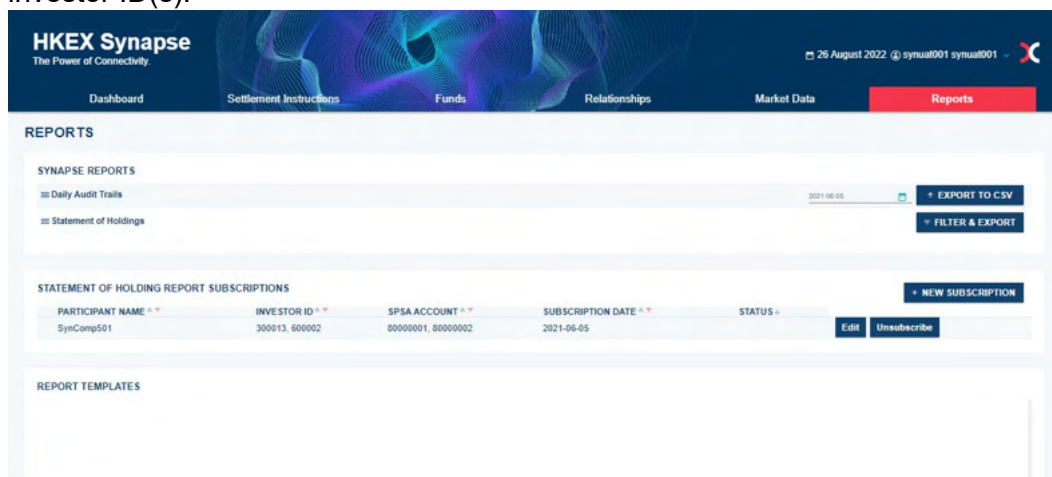
### Amend the Subscription to the Statement of Holding Report

If a buy side participant wants to amend a Statement of Holding subscription, then they can update the selection of the Investor IDs. They can select “All” investor ID, select / add new investor ID or remove existing investor ID.

### Buy Side

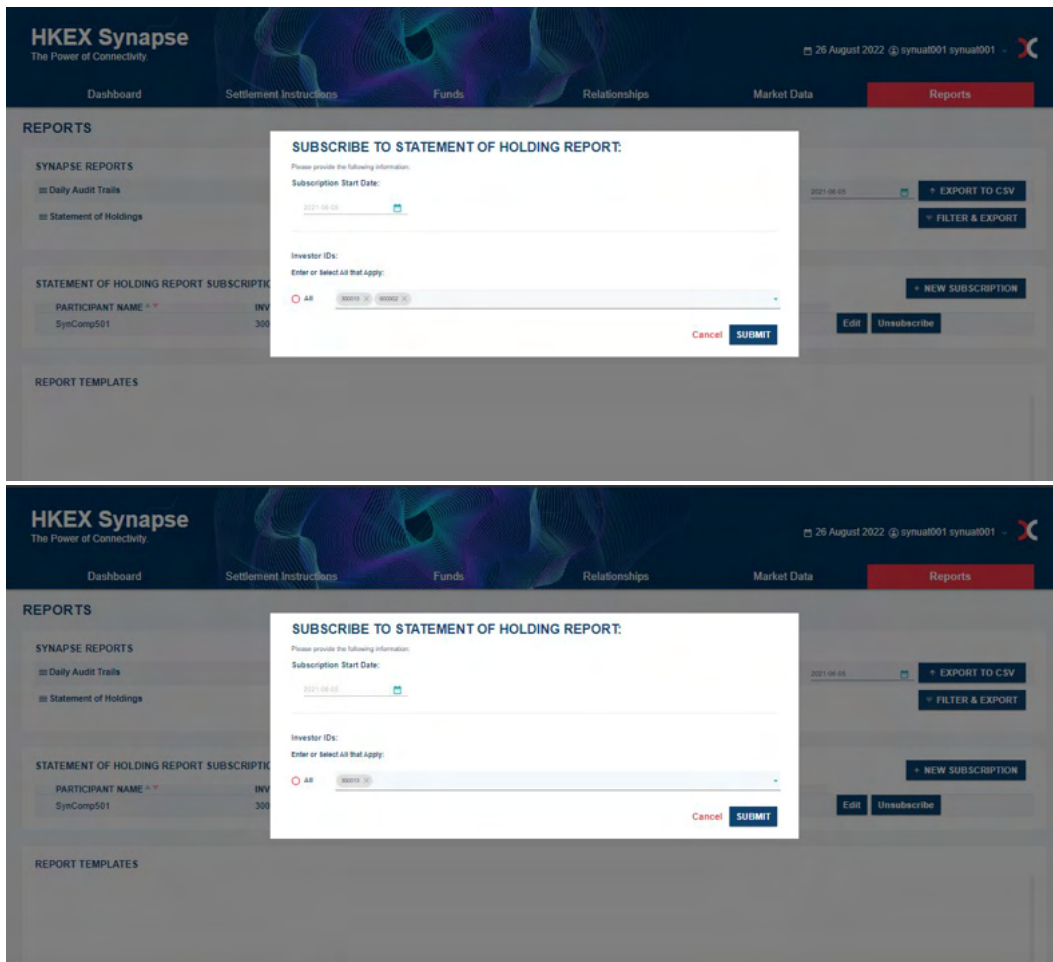
#### Buy Side Data Manager Input Only User

1. On the Reports tab, the Buy Side Data Manager Input Only User clicks “Edit” and select investor ID(s).



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



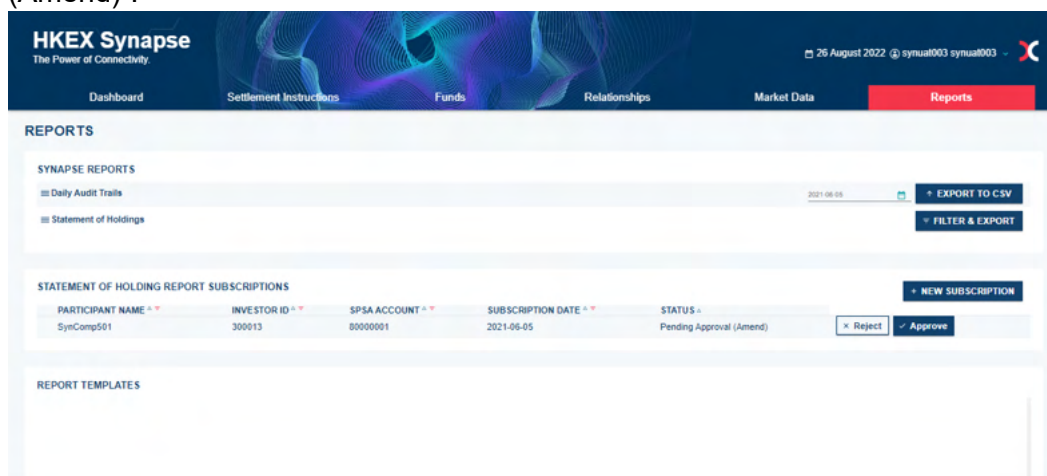


- The row related to that Statement of Holding subscription in the Statement of Holding Report Subscriptions table is updated with the status "Pending Approval (Amend)".

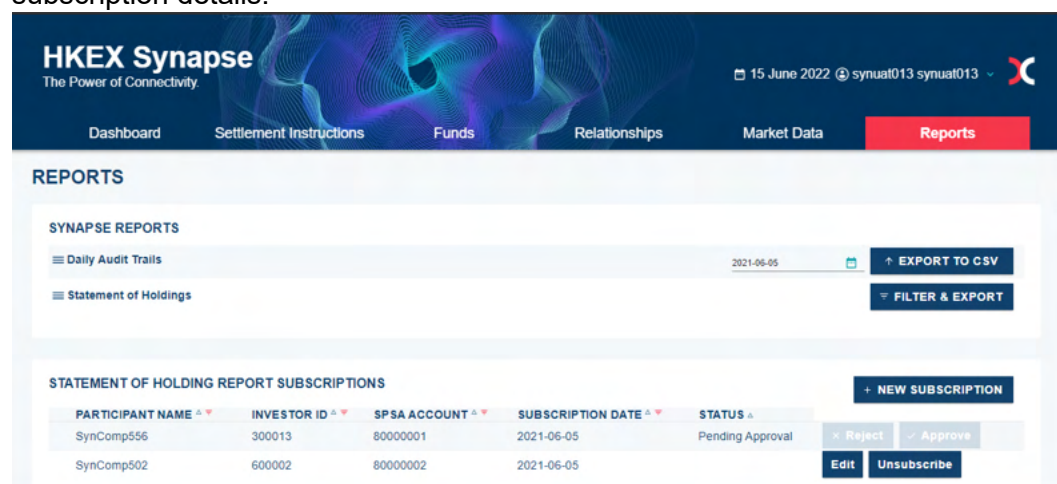
HKEX Synapse The Power of Connectivity.				
26 August 2022 @ synua001 synua001				
Dashboard	Settlement Instructions	Funds	Relationships	Market Data
Reports				
REPORTS				
SYNAPSE REPORTS				
Daily Audit Trails				
Statement of Holdings				
STATEMENT OF HOLDING REPORT SUBSCRIPTIONS				
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS
SynComp501	300013	80000001	2021-06-05	Pending Approval (Amend)
REPORT TEMPLATES				

## Buy Side Data Manager Input Authorise User

1. On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending approval (Amend)”.



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.



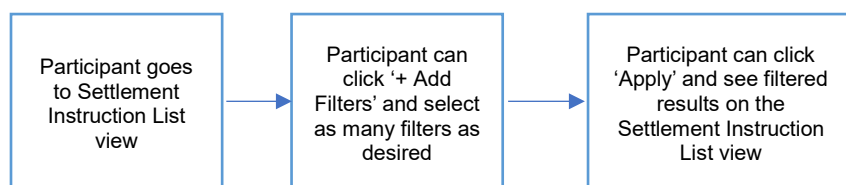
- b. If Buy Side Data Manager Input Authorise User clicks “Reject”, then the amendment process will be ended.

## 10.3 Report Templates

### 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 Client Connect 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 Synapse  
The Power of Connectivity

17 April 2023 @ synaps@1 synaps@1

DashboardSettlement InstructionsFundsRelationshipsMarket DataReports

Settlement Instructions

110116  
ProcessingUnmatchedMatchedSettledCancelled

2021-05-05

SETTLEMENT INSTRUCTIONS

SI TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP INC	TRADE ID	GC	LC	CP	STATUS
SI	552796	CNE1000000000	279.800	CNY	4,965,977.07	DELI	DVP	542796	DTCCBELLXXX	27980217683289	✓	✓	✓	Settled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
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SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI	DVP	542231	DTCCBELLXXX	21899418771021	✓	✓	✓	Cancelled
SI	802231	CNE1000000000	29.420	CNY	4,965,977.07	DELI								

- a. Radial button to select a specific type, e.g. Payment Mode type

[illegible]

- b. Date filter wherein specific date(s) can be selected, e.g. today, range, or the last (n) calendar days (April 4, 1900)

## When the user selects “Today”

[illegible]

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



**HKEX Synapse**  
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17 April 2023 @ syna001 syna001

Dashboard Settlement Instructions Funds Relationships Market Data Reports

**SETTLEMENT INSTRUCTIONS** 1 1 0 11 6  
Processing Unmatched Matched Settled Cancelled

FILTERS APPLIED:

**FILTER RESULTS (19 Rows)**

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	STATUS	DETAILS
SI	802796	CNE309000000	29.800	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.822	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.821	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.823	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.824	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.826	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS

When the user selects “Last (n) calendar days”

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The Power of Connectivity

17 April 2023 @ syna001 syna001

Dashboard Settlement Instructions Funds Relationships Market Data Reports

**SETTLEMENT INSTRUCTIONS** 1 1 0 11 6  
Processing Unmatched Matched Settled Cancelled

FILTERS APPLIED:

**FILTER RESULTS (19 Rows)**

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	STATUS	DETAILS
SI	802796	CNE309000000	29.800	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.822	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.821	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.823	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.824	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.826	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS

- c. String filter wherein the participant can enter a string of text on which to filter, e.g. Fund Umbrella name

**HKEX Synapse**  
The Power of Connectivity

17 April 2023 @ syna001 syna001

Dashboard Settlement Instructions Funds Relationships Market Data Reports

**SETTLEMENT INSTRUCTIONS** 1 1 0 11 6  
Processing Unmatched Matched Settled Cancelled

FILTERS APPLIED:

**FILTER RESULTS (19 Rows)**

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	STATUS	DETAILS
SI	802796	CNE309000000	29.800	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.822	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.821	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.823	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.824	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.826	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS
SI	802231	CNE309000000	29.827	CNY	4,985,977.87	DEU	Unsettled	DETAILS

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

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

SETTLEMENT INSTRUCTIONS 1 1 0 11 6  
Processing Unmatched Matched Settled Cancelled

FILTERS APPLIED: 1 1 0 11 6

FILTER RESULTS (1 Rows)

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	STATUS	DETAILS
IS	502704	CNLC1800000000	279,300	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	29,822	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	29,821	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	29,820	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	29,824	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	29,826	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	29,827	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	29,827	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	22,312	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	29,825	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	2,231	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862231	CNLC1800000000	2,226	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	502227	CNLC1800000000	2,227	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862245	CNLC1800000000	22,451	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862245	CNLC1800000000	22,452	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	222763	CNLC1800000000	92,268	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862748	CNLC1800000000	22,450	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862748	CNLC1800000000	22,452	CNY	4,960,977.87	DEU	Settled	DETAILS
IS	862748	CNLC1800000000	22,458	CNY	4,960,977.87	DEU	Settled	DETAILS

- After the AM participant adds all of the desired filters, they click 'Apply'.
- All of the desired filters will show on the top of the screen, and the Settlement Instruction List view will show the filtered results.

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

SETTLEMENT INSTRUCTIONS 1 1 0 11 6  
Processing Unmatched Matched Settled Cancelled

FILTERS APPLIED: 1 1 0 11 6

FILTER RESULTS (1 Rows)

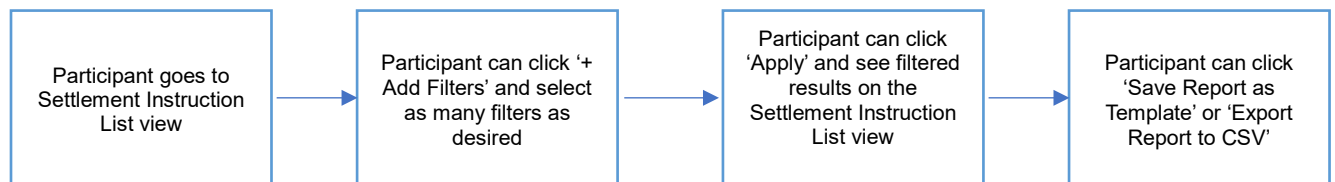
INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP REC	TRADE ID	GC	LC	CP	STATUS	DETAILS
IS	222763	CNLC1800000000	92,268	CNY	4,960,977.87	DEU	DUP	502704	OTCC0000000000	27930404077821	✓	✓	✓	Settled	DETAILS

## 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 Client Connect and navigates to the Dashboard screen.
2. On the Settlement Instructions, the AM participant can generate a report from either the Settlement Instruction List view.

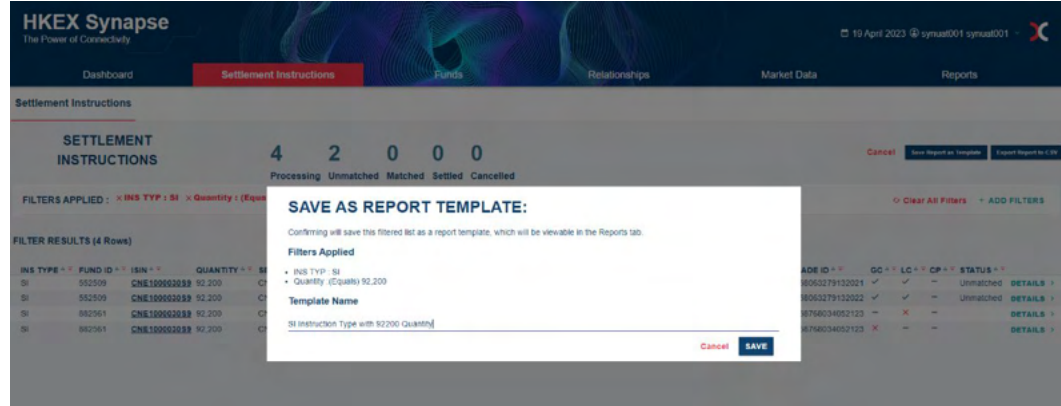
INS TYPE	FUND ID	IBIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	552509	CNE100002058	52,200	CNY	4,965,977.07	RECE	DVP	542509		1558063279132021	✓	✓	—	Unmatched
SI	552509	CNE100002058	52,200	CNY	4,965,977.07	RECE	DVP	542509		1558063279132022	✓	✓	—	Unmatched
SI	862561	CNE100002058	52,200	CNY	4,965,977.07	RECE	DVP	542561		5058768034052123	✓	✓	—	Unmatched
SI	862561	CNE100002058	52,200	CNY	4,965,977.07	RECE	DVP	542561		4458768034052123	✓	✓	—	Unmatched
SI	862511	CNE100002058	2,511	CNY	4,965,977.07	DELI	DVP	542511		2513384155771022	—	—	—	Unmatched
SI	552568	CNE100002058	693	CNY	4,965,977.07	DELI	DVP	542568		1839994155771021	—	—	—	Unmatched

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.

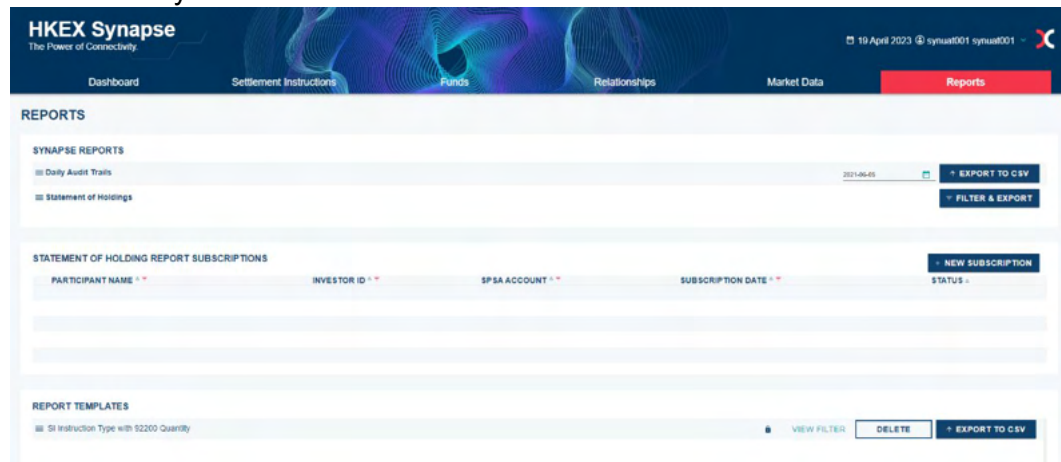
INS TYPE	FUND ID	IBIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	552509	CNE100002058	92,200	CNY	4,965,977.07	RECE	DVP	542509		1558063279132021	✓	✓	—	Unmatched
SI	552509	CNE100002058	92,200	CNY	4,965,977.07	RECE	DVP	542509		1558063279132022	✓	✓	—	Unmatched
SI	862561	CNE100002058	92,200	CNY	4,965,977.07	RECE	DVP	542561		5058768034052123	✓	✓	—	Unmatched
SI	862561	CNE100002058	92,200	CNY	4,965,977.07	RECE	DVP	542561		4458768034052123	✓	✓	—	Unmatched

6. The AM participant can select 'Export Report to CSV' to export the filtered results into CSV format. The generated report will show the filtered results and have all of the fields that the AM participant is allowed to see.
7. The AM participant can select 'Save Report as Template' to create the report template

- a. 'Save Report as Template' will require the AM participant to add a name to the template prior to saving. Then the AM participant clicks 'Save' button



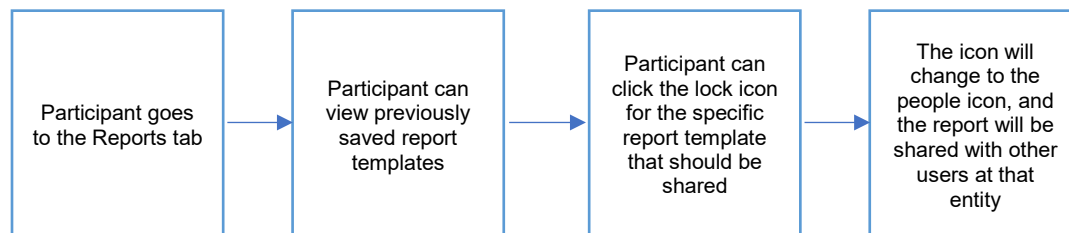
- b. Once the report template is successfully saved, the report template record is shown under the 'Report Templates' section under 'Reports' tab with a lock icon by default. The lock icon indicates that the report template has not yet been shared to anyone.



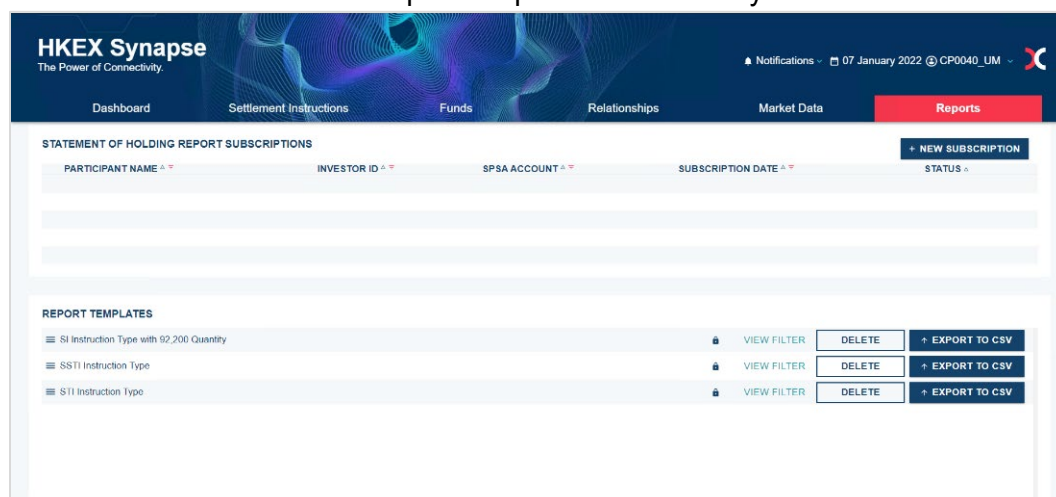
On the 'Report Templates' section under 'Reports' tab, the AM participant can click 'Export to CSV' button to export the filtered results based on the report template into CSV. Once click 'Export to CSV' button, the generated report will show the filtered results and have all of the fields that the AM participant is allowed to see. The report content is based on the latest system records as of the time of report generation.

## Share Report Templates

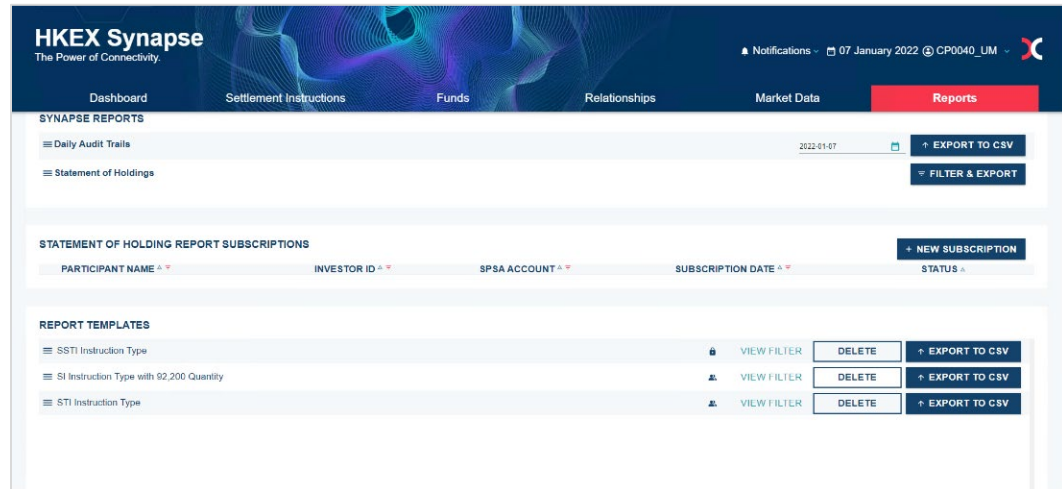
Synapse offers participants the ability to share report templates to other users within the same entity. Share report templates functionality is limited to the reports that buy side and sell side participants are allowed to see. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The AM participant logs in to Synapse via Client Connect and navigates to the Dashboard screen.
2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:
  - a. Lock icon – these are saved report templates accessed by an individual



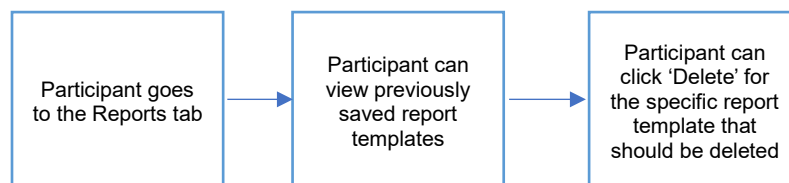
- b. People icon – these are saved report templates created and shared with multiple people within same entity



3. To share a report template with other users at the entity, the AM participant can click that report's lock icon, which will change to a people icon. The report template will automatically be shared with all other users within the entity, where an additional row will immediately appear in the Report Template section for the rest of the users within that entity.
  - a. Note: If the AM participant does not want to share the report template with other users, the AM participant can click the people icon, which will change back to a lock icon. The report template will not be shared with other users immediately.

### 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 Client Connect and navigates to the Dashboard screen.
2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:

- a. Lock icon – these are saved report templates accessed by an individual

The screenshot shows the HKEX Synapse interface with the 'Reports' tab selected. Under 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS', there are search filters for PARTICIPANT NAME, INVESTOR ID, SPSA ACCOUNT, SUBSCRIPTION DATE, and STATUS, along with a '+ NEW SUBSCRIPTION' button. Below this, the 'REPORT TEMPLATES' section lists three templates, each with a lock icon, a 'VIEW FILTER' button, a 'DELETE' button, and an 'EXPORT TO CSV' button:

REPORT TEMPLATES	Lock Icon	VIEW FILTER	DELETE	EXPORT TO CSV
SI Instruction Type with 92,200 Quantity	🔒	VIEW FILTER	DELETE	EXPORT TO CSV
SSTI Instruction Type	🔒	VIEW FILTER	DELETE	EXPORT TO CSV
STI Instruction Type	🔒	VIEW FILTER	DELETE	EXPORT TO CSV

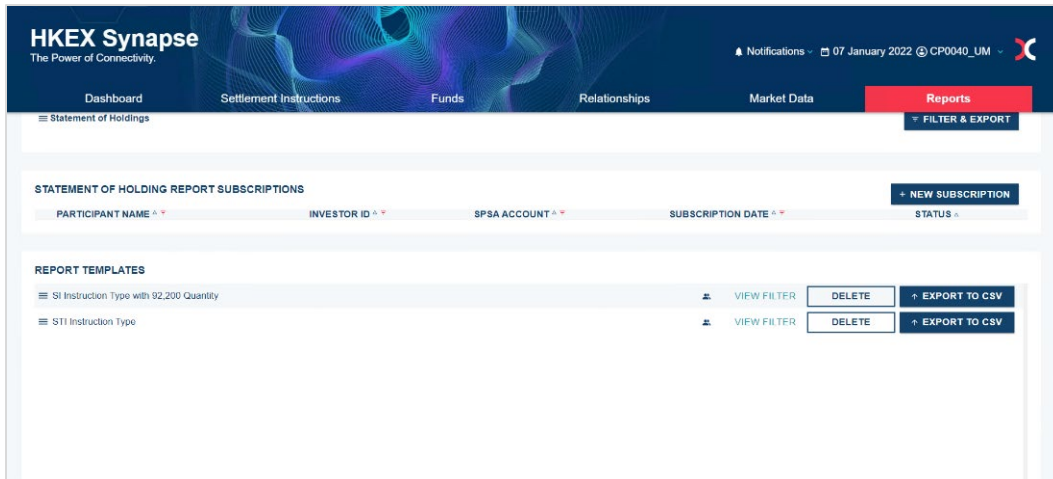
- b. People icon – these are saved report templates created and shared with multiple people within the entity

This screenshot shows the same HKEX Synapse interface. In the 'SYNAPSE REPORTS' section, 'Daily Audit Trails' and 'Statement of Holdings' are listed with a date of 2022-01-07 and buttons for 'EXPORT TO CSV' and 'FILTER & EXPORT'. The 'REPORT TEMPLATES' section now shows three templates, each with a people icon (three small figures) instead of a lock icon:

REPORT TEMPLATES	People Icon	VIEW FILTER	DELETE	EXPORT TO CSV
SSTI Instruction Type	👤	VIEW FILTER	DELETE	EXPORT TO CSV
SI Instruction Type with 92,200 Quantity	👤	VIEW FILTER	DELETE	EXPORT TO CSV
STI Instruction Type	👤	VIEW FILTER	DELETE	EXPORT TO CSV

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

This screenshot is identical to the previous one, showing the 'REPORT TEMPLATES' section with three templates and people icons. The 'DELETE' button for the 'SI Instruction Type with 92,200 Quantity' row is highlighted with a red border, indicating the action to be taken.



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

				- Rejecting Fund Profile Proposal not in pending approval while status is LC Maker Approved or LC Rejected
			1.11	<b>This error id is encountered due to:</b> - Rejecting Fund Profile Proposal not in pending approval or GC Rejected
			1.12	<b>This error id is encountered due to:</b> - Unexpected status Variable Fee Proposal upon checker approval/rejection
			1.13	<b>This error id is encountered due to:</b> - Unexpected status SOH Subscription Proposal upon checker approval/rejection
			1.14	<b>This error id is encountered due to:</b> - Unexpected status Broadcast Message Proposal upon checker approval/rejection
2	Unexpected status upon checker amendment	No action required by your end <b>[Category 2]</b>	2.1	<b>This error id is encountered due to:</b> - Unexpected status Fund Profile Proposal upon checker amendment
			2.2	<b>This error id is encountered due to:</b> - Unexpected status Fund Proposal upon checker amendment
			2.3	<b>This error id is encountered due to:</b> - Unexpected status Standard Fee Proposal upon checker amendment
3	Not Active	No action required by your end <b>[Category 3]</b>	3.1	<b>This error id is encountered due to:</b> - Billing Fee is not Active during amendment
			3.2	<b>This error id is encountered due to:</b> - Fund Data is not Active during inactivation
			3.3	<b>This error id is encountered due to:</b> - Fund Data is not Active during amendment
4	System busy	System busy. Please try again later.	4.1	<b>This error id is encountered due to:</b> - System busy. Participant should wait and resubmit the request later.
5	Unexpected error encountered	Unexpected error encountered. Please contact support. Error reference: <b>[Trace ID]</b> .	5.1	<b>This error id is encountered due to:</b> - Unexpected backend error. Participant should capture the Trace ID and contact the Synapse Support Team  Note: The participant must provide the Trace ID from the error message when requesting Synapse Support.

## 12. API Connectivity

### 12.1 API Specification Documentation

Synapse applicants / Existing Synapse users who will access Synapse via API are required to develop their system according to the following documentation.

Document	Description
API Specification and Programming Guide – Functional Drop 4 (Sep 2023)	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 4 (Sep 2023)	Detail description of each SCV field and corresponding visibility matrix.

Synapse applicants / Existing Synapse users can reach out to HKEX Synapse Operations Team at [synapse\\_support@hkex.com.hk](mailto:synapse_support@hkex.com.hk) for accessing the above API documentation.

## **13. ISO Connectivity**

### **13.1 How to submit CUG request in MySwift**

Please refer to “SWIFT Connectivity Setup Guide” available on HKEX Synapse website.

### **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.