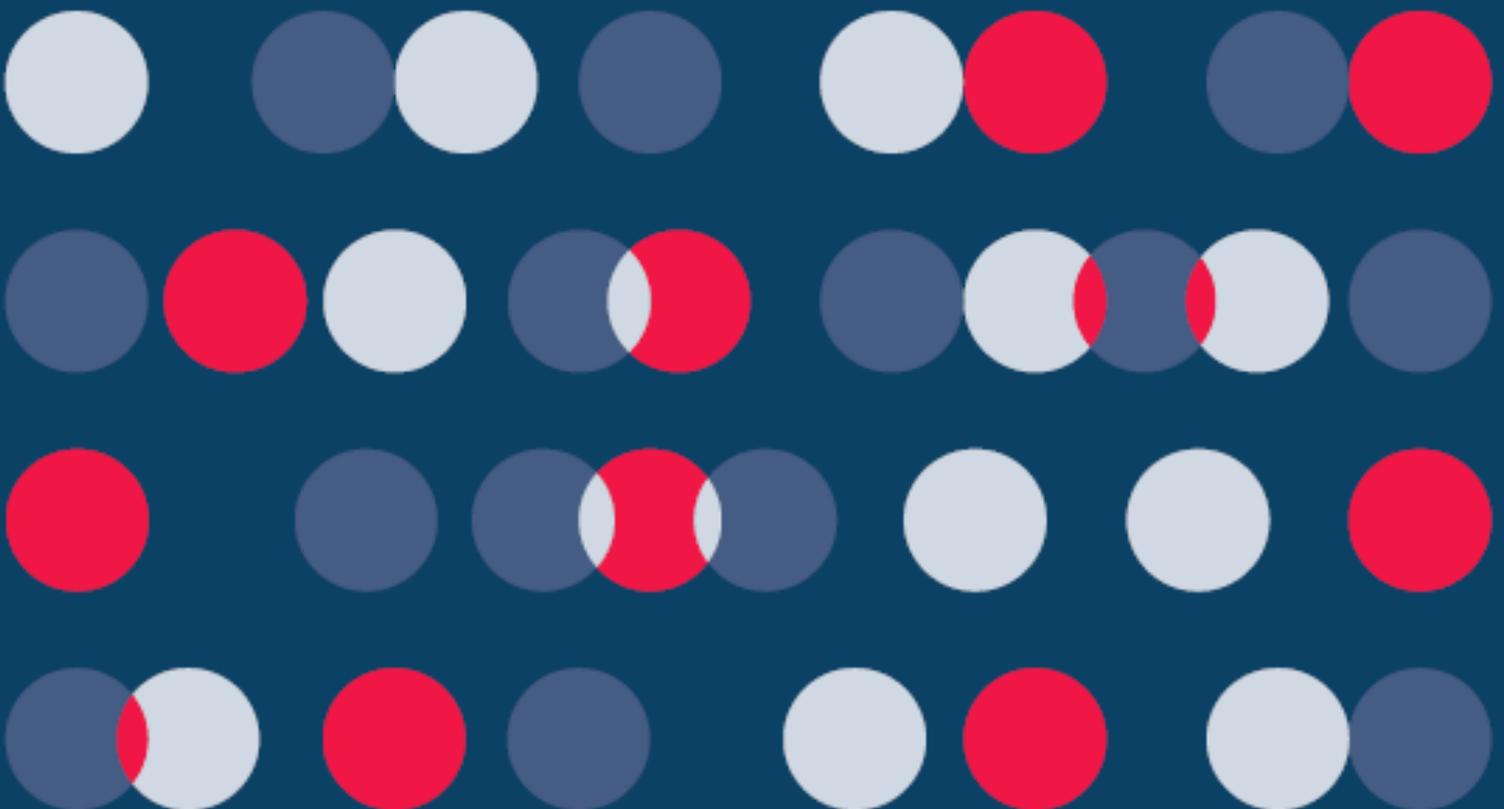


Sep 2023

OTC Clearing Hong Kong Limited

OTC ACCOUNT SERVICES INFORMATION SYSTEM ("OASIS) WEB PORTAL USER MANUAL PART III – OASIS COLLATERAL MANAGEMENT PORTAL



Disclaimer

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The information of this document serves for education, training and/or on-boarding purposes only. HKEx assumes no responsibility for any errors, omissions or conflicts with clearing house rules, procedures and other official notice/circulars. Also, all examples in this document are used for illustration purposes only, and should not be considered the results of actual market circumstances. All matters pertaining to specifications herein are made subject to further revision and are superseded by official HKEx rules.

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OASIS Web Portal User Manual
Part III OASIS Collateral Management Portal
Amendment Log

Updated Date	Document / Section	Description
May 2014	Part III	- Update the screenshots for Part III to reflect system upgrade/new features
April 2016		- Update the HKEx logo
Oct 2016	Part III, Section 1.3	- Update Home Page layout for new Access Group selfservice_limitenq” and “selfservice_loginonly”
Apr 2019	Part III, Section 2.4	- Update the function available time
Mar 2021		- Updated for OCASS system upgrade
Sep 2021	Part III, Section 2.5	- Updated withdrawal procedure for Opt-in Clearing Members - Update function available time
May 2023	Part III, Section 2.5	- Update Deposit/ Withdrawal for Participating Margin
Sep 2023	Part III, Section 2.5	- Update function available time

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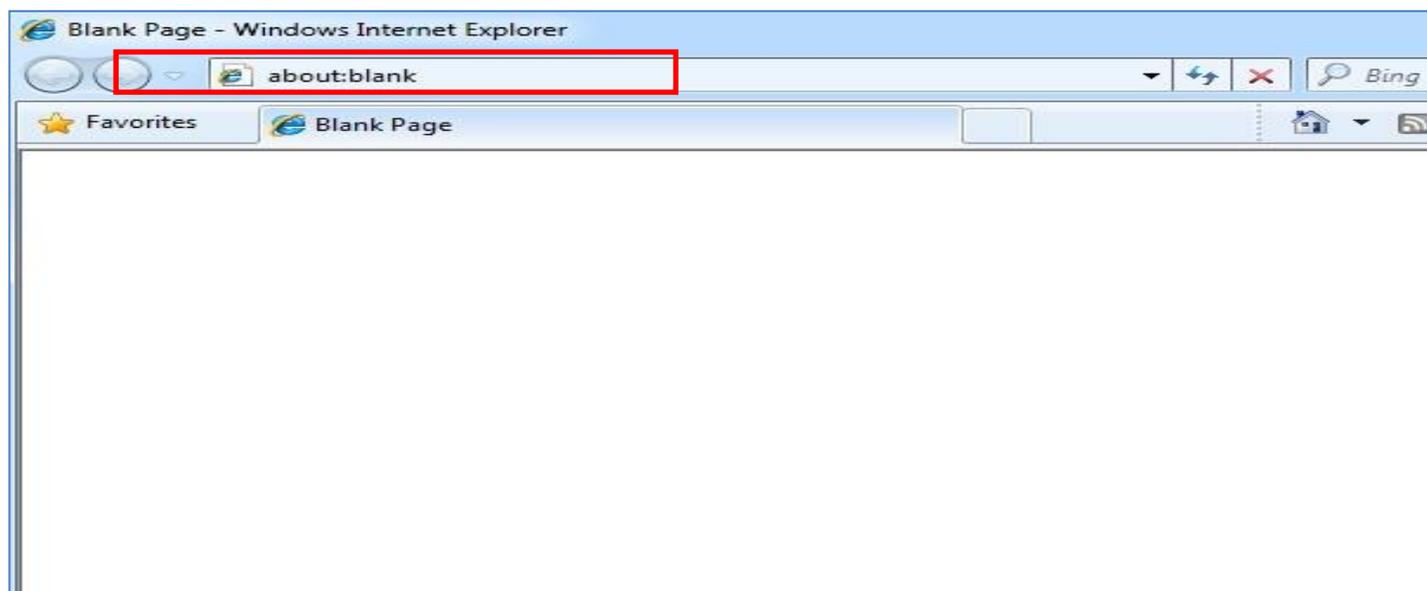
1. Getting Started

1.1. Logon and Logoff

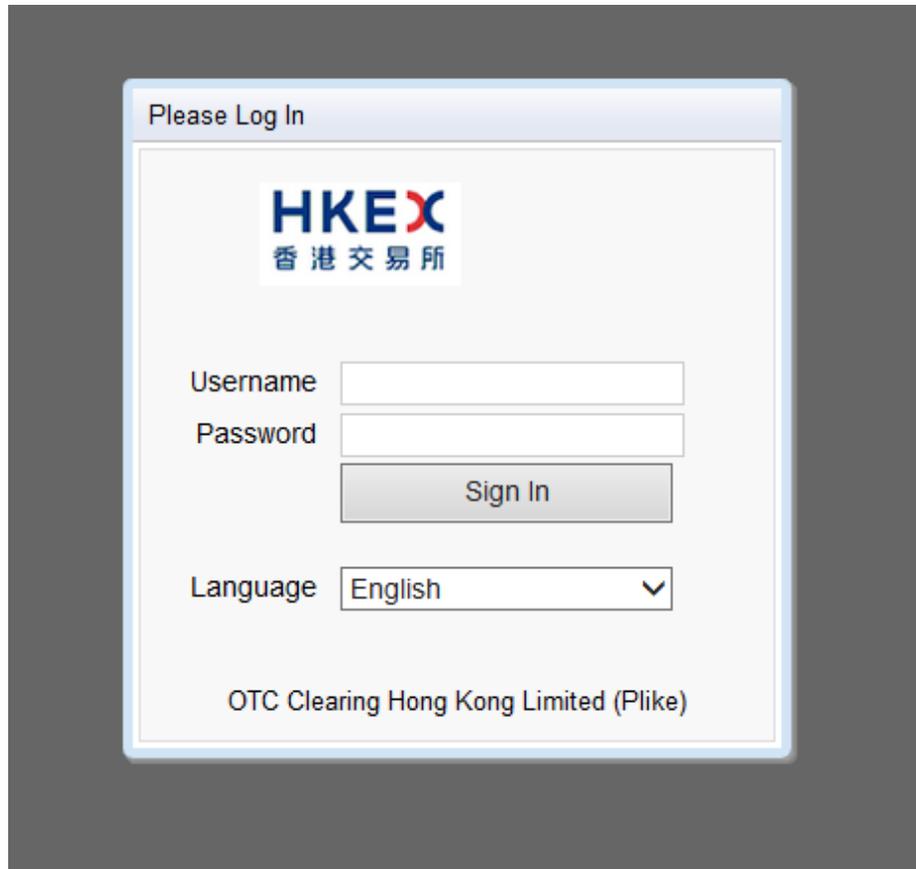
This section explains the procedures for connecting to and dis-connecting from Portal (i.e. **logon** and **logoff** the Web Portal).

1.1.1. Portal Logon

1. Launch Internet Explorer
2. Type Portal URL [<http://www.otcclearinghk.com/eSelfService>] into the box next to the address field and press Enter key in the keyboard



3. The following login screen will be displayed.

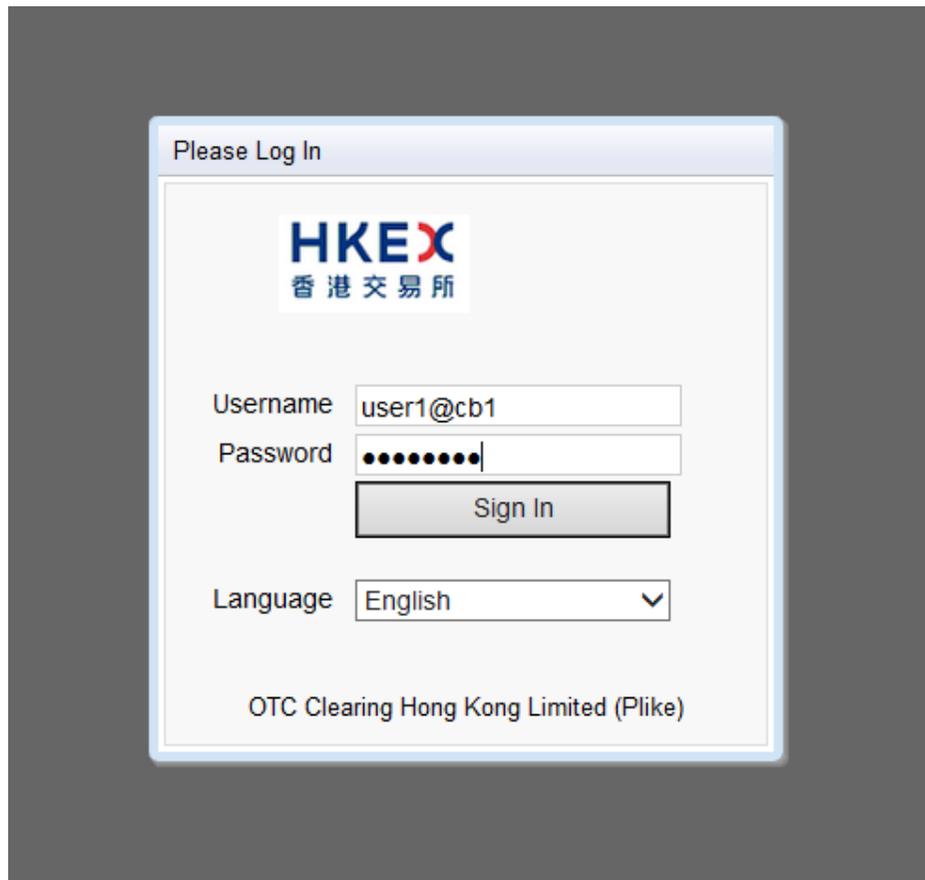


The screenshot shows a login window titled "Please Log In" with the HKEX logo and Chinese characters "香港交易所". It contains the following fields and controls:

- Username:
- Password:
- Sign In:
- Language: (with a dropdown arrow)

OTC Clearing Hong Kong Limited (P)ltd

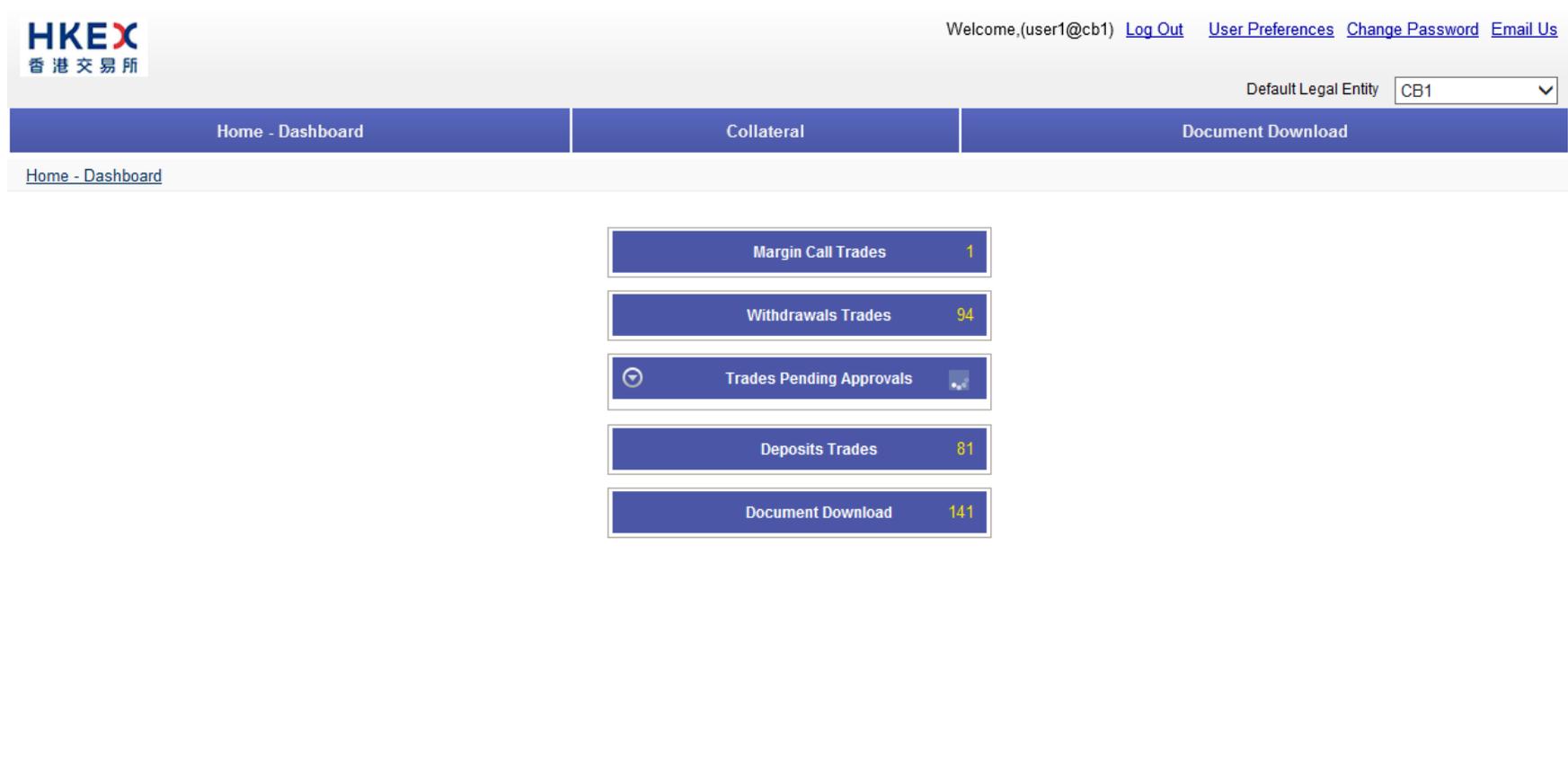
4. Input OASIS User login ID and password, then click **Sign in**



The screenshot shows a login window titled "Please Log In" with the HKEX logo and Chinese text "香港交易所". It contains a "Username" field with the value "user1@cb1", a "Password" field with masked characters, a "Sign In" button, and a "Language" dropdown menu set to "English". At the bottom, it reads "OTC Clearing Hong Kong Limited (Plike)".

Please note: username (i.e. login ID) must be in lowercase letters.

5. The following screen will be displayed when the logon is successful.



Welcome,(user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Default Legal Entity

Home - Dashboard Collateral Document Download

[Home - Dashboard](#)

Margin Call Trades	1
Withdrawals Trades	94
Trades Pending Approvals	
Deposits Trades	81
Document Download	141

1.1.2. Portal Logoff

Click the **Log Out** hyperlink at the top right hand corner.

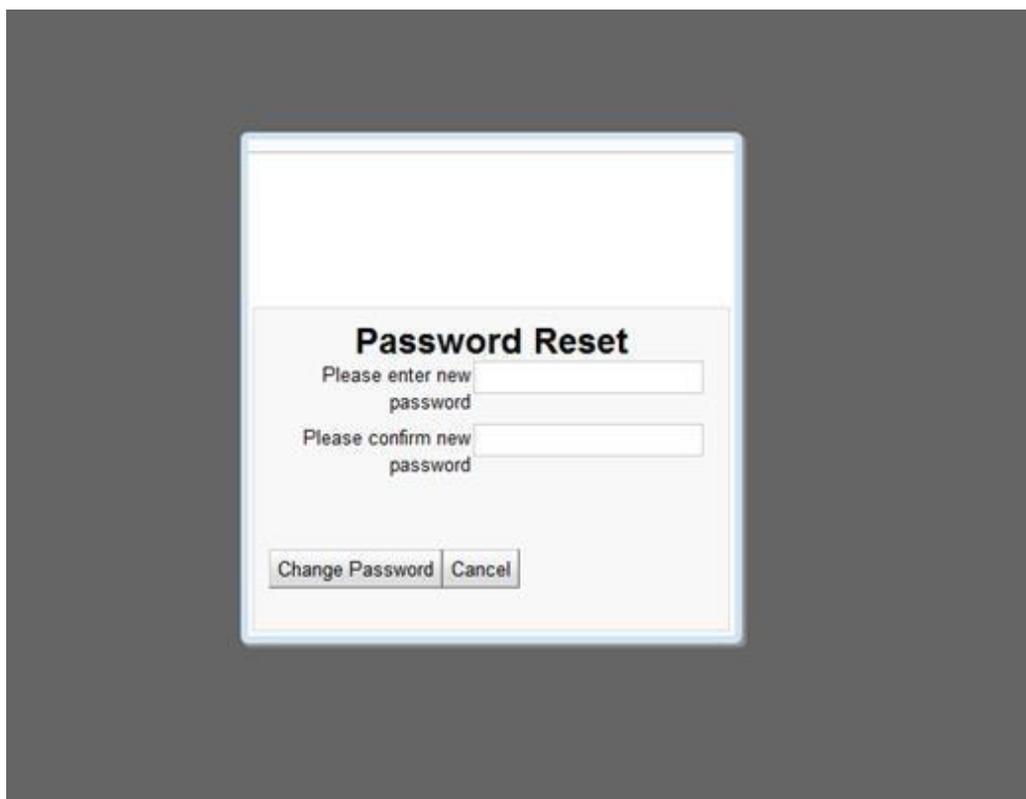
The screenshot displays the OASIS Web Portal interface. At the top left is the HKEX logo. The top right corner shows a user greeting 'Welcome,(user1@cb1)' followed by a 'Log Out' link highlighted with a red box, and other links: 'User Preferences', 'Change Password', and 'Email Us'. Below this is a 'Default Legal Entity' dropdown menu set to 'CB1'. A blue navigation bar contains 'Home - Dashboard', 'Collateral', and 'Document Download'. Below the navigation bar is a breadcrumb trail 'Home - Dashboard'. The main content area features a vertical list of five blue buttons with white text and yellow counts: 'Margin Call Trades' (1), 'Withdrawals Trades' (94), 'Trades Pending Approvals' (with a dropdown arrow icon), 'Deposits Trades' (81), and 'Document Download' (141).

The user will be return to the logon screen illustrated in **Part III, Section 1.1.1**.

1.2. Password Management

1.2.1. First Time Logon

After logging on using the temporary password, the system will require you to change the password before proceeding.



The image shows a 'Password Reset' dialog box with a white background and a light blue border. At the top, the title 'Password Reset' is displayed in bold. Below the title, there are two text input fields. The first field is preceded by the text 'Please enter new password' and the second by 'Please confirm new password'. At the bottom of the dialog, there are two buttons: 'Change Password' and 'Cancel'.

1.2.2. Voluntarily change of password

OASIS will force user to change password at least once every 90 days. Prior to the system's mandatory change of password, user can change his/her password voluntarily after logging into OASIS.

User can initiate a change of password by selecting **Change Password**.

HKEX 香港交易所

Welcome,(user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

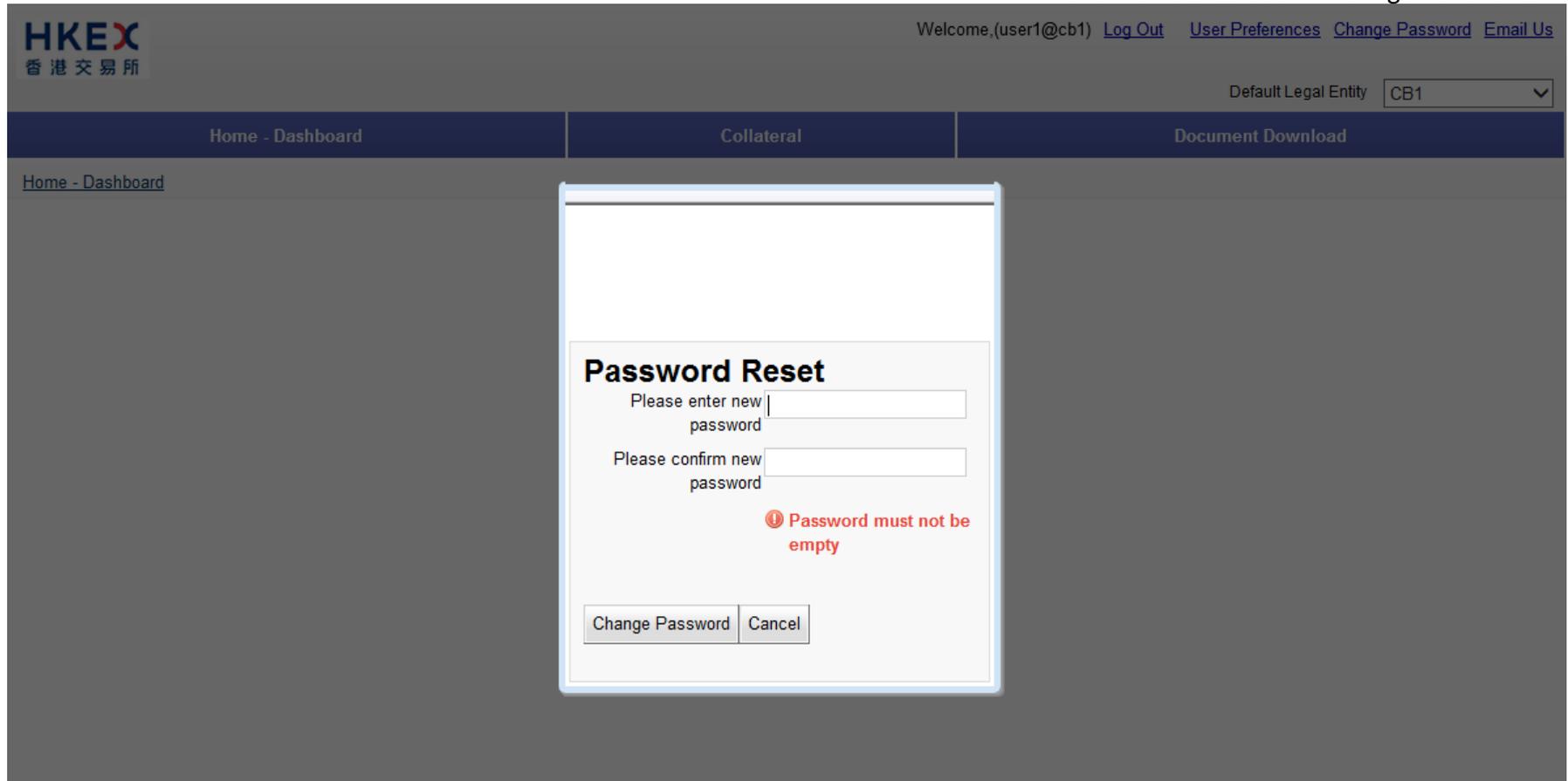
Default Legal Entity CB1

Home - Dashboard Collateral Document Download

[Home - Dashboard](#)

Margin Call Trades	1
Withdrawals Trades	94
Trades Pending Approvals	
Deposits Trades	81
Document Download	141

The below message box will be prompted after selecting the hyper link.

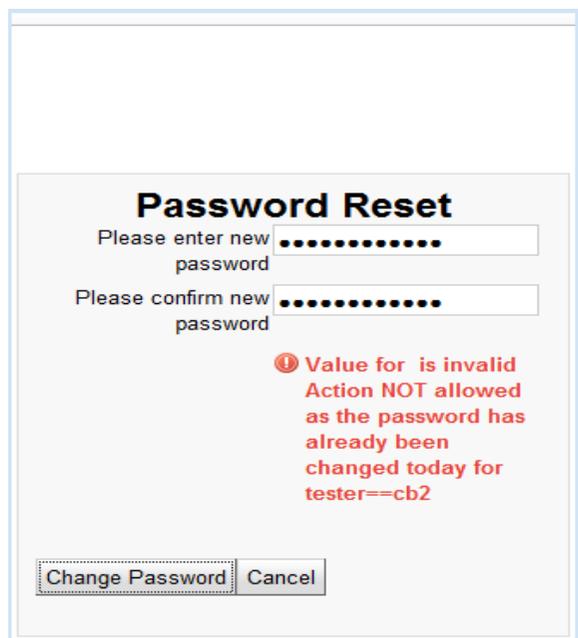


Please make reference to the below password guidelines when setting the password.

1. Password shall contain at least 10 characters;
2. Password shall contain a combination of letters (both upper & lower case) and numbers (0-9)

3. User account will be locked upon 6 consecutive unsuccessful login attempts
4. Password shall be changed at least every 90 days
5. Password will not be allowed to change on the same day upon completion of a password change

An error message will be prompted if user tried to input an invalid password. Below is an example of the error message when the password violated guideline #5).



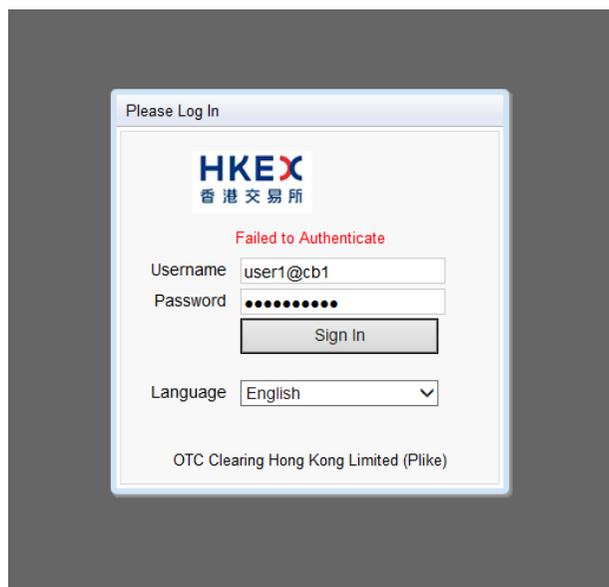
The screenshot shows a dialog box titled "Password Reset". It contains two input fields: "Please enter new password" and "Please confirm new password", both filled with dots. Below the fields is a red error message: "Value for is invalid Action NOT allowed as the password has already been changed today for tester==cb2". At the bottom of the dialog are two buttons: "Change Password" and "Cancel".

1.2.3. Common Reasons for Invalid Login

The error message “Failed to Authenticate” will be displayed in the Portal for invalid login. There are several scenarios that will trigger this message. The common reasons are:

1. The User ID provided does not exist or the password entered does not match with the corresponding User ID.
2. The User ID is locked by the system after more than 6 invalid login attempts.
3. The User logs in outside the operating hours.

User should contact User Account Administrator for further assistance.



1.3. Screen Layouts

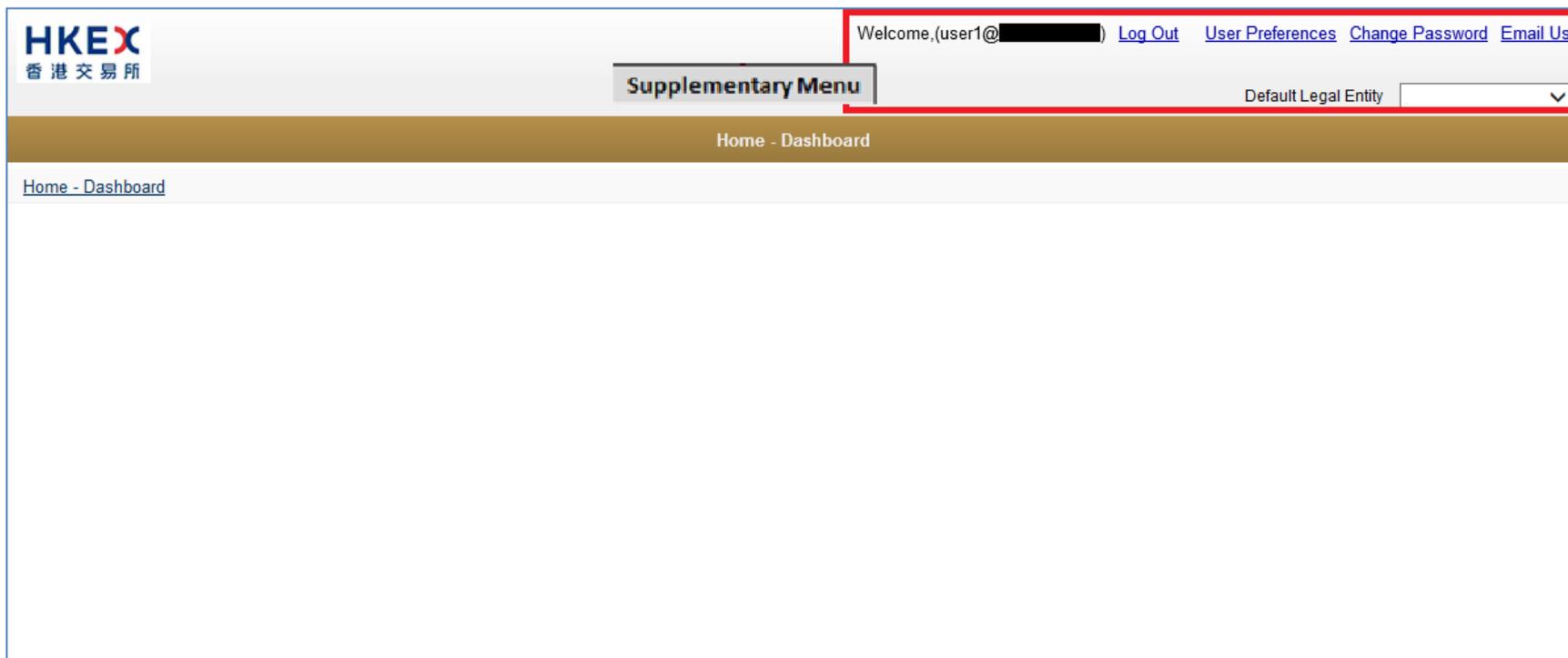
1.3.1. Home Page

The **Home Page** is divided into following sections as shown in the diagram.

The screenshot shows the HKEX OASIS Web Portal Home Page. The page is divided into several sections:

- Header:** HKEX 香港交易所 logo on the left. On the right, it says "Logged In As: (cb1_user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)". Below this is a "Default Legal Entity" dropdown menu set to "CB1".
- Main Menu:** A horizontal bar with four items: "Home - Dashboard" (highlighted), "Approvals", "Collateral", and "Document Download".
- Supplementary Menu:** A box labeled "Supplementary Menu" is positioned above the "Collateral" menu item.
- Current Location:** A box labeled "Current Location" is positioned above the "Home - Dashboard" menu item.
- Content Area:** A large yellow-bordered box labeled "Content Area" contains a dashboard with six data cards:
 - Margin Call Trades: 0
 - Deposits Trades: 67
 - Withdrawals Trades: 69
 - Document Download: 0
 - Trades Pending Approvals: 0
 - Collateral Deposits: 0
 - Collateral Withdrawals: 0
- Footer:** A small text at the bottom center: "For help and support, please contact OTC_Operations@hkex.com.hk".

For Access Groups “selfservice_limitenq” and “selfservice_loginonly”, user interface of **Home Page** consists of **SUPPLEMENTARY MENU ONLY**.



MAIN MENU: Locate at the upper section of the screen. It lists the core functions of the Collateral Management Portal.

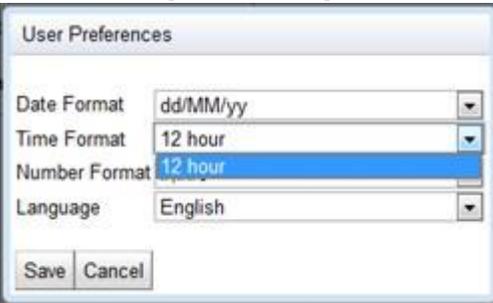
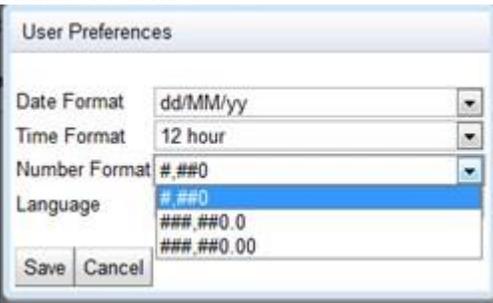
The following functions are available for access through the **Main Menu**.

Functions	Descriptions
-----------	--------------

<p>HOME</p> <p>Home - Dashboard</p>	<p>Return to the HOME page</p>
<p>APPROVALS</p> <p>Approvals</p>	<p>1) View and search outstanding approval requests; 2) Approved/rejected requests</p> <p>Only appear for user with Authorise functions. Please refer to Part III, Section 2.7 for details.</p>
<p>COLLATERAL</p> <p>Collateral</p>	<p>1) View and search outstanding or completed collateral movement requests 2) Submit/amend/cancel collateral movement requests</p> <p>Please refer to Part III, Section 2.3-6 for details.</p>
<p>DOCUMENT DOWNLOAD</p> <p>Document Download</p>	<p>Retrieve and download OASIS reports</p> <p>Please refer to Part III, Section 3 for details.</p>

SUPPLEMENTARY MENU: Locate at the upper right hand corner of the screen. It displays the account name used to log into OASIS and a dropdown box listing the Clearing Member ID available for the logged in user. Also, it lists the following features for user to select: (1) Log Out, (2) User Preference, (3) Change Password, and (4) Email Us.

Hyperlink	Descriptions
<p>Log Out</p>	<p>End the user login session and log off from the portal.</p>
<p>User Preference</p>	<p>A dialogue box will be prompted and allow user to personalize its OASIS setting on</p> <p>1) Date Format</p>

		
	<p>2) Time Format [not available]</p> 	
	<p>3) Number Format</p> 	

	<p>Please note this setting will affect the number displayed during submission of collateral request. Number will be rounded to the decimal placed elected.</p> <p>4) Language [not available]</p>  <p>The new preference will take effect at the next login.</p>
Change Password	<p>Initiate a change of password.</p> <p>Please refer to Part III, Section 1.2.2 for details.</p>
Email us	<p>Initiate an email to OTC Clear with the default email program.</p> <p>The email will be addressed to OTC_Operations@HKEX.COM.HK</p>

CURRENT LOCATION: Locate below the **Main Menu**. It displayed the current location of the user's login session.

CONTENT AREA: Locate below the **Current Location section**. It displayed the contents of the feature selected from the **Main Menu**. For the Home Page, it is defaulted to display the dashboard.

The *Dashboard* of the *HOME* page provides a quick overview of the total number of margin calls, collateral withdrawals, collateral deposits, reports and requests that are pending approval (i.e. 4-eye checks) to the OASIS users.



The figure displayed for “Margin Call Trades” represent the number of Margin Call triggered.

The figures displayed for “Deposits Trades” and “Withdrawals Trades” represent the number of requests that were created.

The figure displayed for “Document Download” represent the number of reports currently available for member to download.

The figures displayed for “Trades Pending Approvals” represent the number of requests that are pending approval.

Note: the Function / Figures displayed depend on the profile of the OASIS user.

1.3.2. Standard Screen Layout

After selecting a feature under the **Main Menu** (with the exception of HOME - Dashboard), the following will be displayed: a search panel will be located on the left of the screen (red box), the count of the search result listed below the **Main Menu** (orange box), the navigation tools below the **Main Menu** on the right side of the screen (green box) and the content of the search result (dark red box).

HKEX 香港交易所

Logged In As: (cb1_user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Default Legal Entity: CB1

Home - Dashboard Collateral Document Download

Home - Dashboard > Margin Activity

Filter

Margin Account: ALL

Currency: ALL

Value Date From:

Value Date To:

Search

Reset to Defaults

Search Panel

Create Deposit

Count of the Search Result

Showing 1 - 100 of 291

Navigation Tools

Rows 100

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description
	CANCELED	173545	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	168295	CB1 M/Intraday VM	deposit	14/05/2014	14/05/2014	CNH	500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171756	CB1 M/Intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171755	CB1 M/Intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	171749	CB1 GF	deposit	16/05/2014	16/05/2014	CNH	100,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	169186	CB1 M/Intraday VM	deposit	15/05/2014	16/05/2014	CNH	1,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	166830	CB1 M/Intraday VM	deposit	13/05/2014	14/05/2014	CNH	10,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
	CANCELED	177789	CB1 M/Intraday VM	deposit	22/05/2014	23/05/2014	CNH	1.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181749	CB1 M/Intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CHECK SDI WDL	181750	CB1 M/Intraday VM	withdrawal				2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	178266	CB1 M/Intraday VM	interaccount - with				2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	VERIFIED	182275	CB1 M/Intraday VM	deposit	29/05/2014	30/05/2014	CNH	20,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	177866	CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	11.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181251	CB1 GF	withdrawal	28/05/2014	29/05/2014	CNH	32,423.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	177803	CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	12.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181248	CB1 GF	deposit	28/05/2014	28/05/2014	CNH	200,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175286	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175285	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	1,500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173552	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	VERIFIED	174649	CB1 M/Intraday VM	interaccount - withdrawal	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173892	CB1 M/Intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175095	CB1 GF	withdrawal	20/05/2014	19/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173748	CB1 GF	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173738	CB1 M/Intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	176532	CB1 GF	withdrawal	21/05/2014	22/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	174590	CB1 M/Intraday VM	withdrawal	20/05/2014	21/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173612	CB1 M/Intraday VM	withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014

Search Result

For help and support, please contact OTC_Operations@hkex.com.hk

Search Panel: Locate at the left side of the screen. It allows the user to search result based on certain attributes.

The following functions are available with the Search Panel:

Functions	Descriptions
<p>ROW</p> 	<p>Set value for the attributes and the date range for the search. The value of the attributes will be different depending on the content being searched.</p>
<p>SEARCH</p> 	<p>Trigger the search based on the filters and date range selected.</p>
<p>RESETS TO DEFAULT</p> 	<p>Reset all the attributes and date range to default.</p>
<p>MINIMIZE</p> 	<p>Minimize the Search Panel.</p>

Navigation Tools: Locate at the right side of the screen above the Content Area. It allows the user to control the content being displayed in the Content Area.

The following functions are available with the Navigation Tools:

Functions	Descriptions
<p>ROWS</p> 	Set the number of maximum rows for the Content Area. The allowable value are 5, 15, 20, 25, 50, and 100
<p>FIRST PAGE</p> 	Icon appeared when the result exceeds the max row allowed. Displayed the first page of the result in the Content Area.
<p>LAST PAGE</p> 	Icon appeared when the result exceeds the max row allowed. Displayed the last page of the result in the Content Area.
<p>ONE PAGE BACKWARD</p> 	Icon appeared when the result exceeds the max row allowed. Allow user to move one page backward from the result displayed currently in the Content Area.
<p>ONE PAGE FORWARD</p> 	Icon appeared when the result exceeds the max row allowed. Allow user to move one page forward from the result displayed currently in the Content Area.
<p>SPECIFIC PAGE</p> 	Icon appeared when the result exceeds the max row allowed. Displayed the result of a specific page in the Content Area.

2. Collateral Management

2.1. Margin Calls

The following section explains how Clearing Members can use OASIS to manage their collateral balance with OTC Clear. The below table lists out different scenarios with consequent actions to be taken by Clearing Members:

Scenarios	Descriptions	Actions required
<p>End-of-day Initial Margin Call</p> <p>– fulfilling the margin call in any eligible currency</p>	<p>If appropriate, the demand will be issued at 08:30 Hong Kong time on an OTC Clear Clearing Day via the Margin Calls function on OASIS.</p> <p>Clearing Member needs to fulfill the obligation in cash in any eligible currency¹.</p>	<ol style="list-style-type: none"> If member wants to settle the call in base currency (i.e. HKD): No action needs to be done on OASIS. The Clearing Member effect the payment through the RealTime Gross Settlement (RTGS) system to OTC Clear's designated bank account. If member wants to settle the call in non-base currencies: Follow the process described in Part V, Appendix 4. The Clearing Member effect the payment through the RealTime Gross Settlement (RTGS)

¹ Please note that this will be subject to further amendment once non-cash collateral is introduced.

Scenarios	Descriptions	Actions required										
		system to OTC Clear's designated bank account.										
<p>Routine Intra-day VM Call</p> <p>– fulfilling the margin call in the eligible currency (“Intra-day VM Currency”).</p>	<p>If appropriate, the demand will be issued at the Routine VM Call Time on an OTC Clear Business Day via the Margin Calls function on OASIS.</p> <p>Clearing Member needs to fulfill the obligation by depositing collateral in the eligible currency within an hour following the Routine Intra-day VM Call.</p> <p>Note: For intra-day VM calls, clearing members can use the column of “available collateral” and “used” in WEB ERSCollateral report published at 1:30 p.m (after portfolio novation is completed) to estimate the call amount.. Below are two examples to provide call details:</p> <p>Scenario 1 – no trade is cleared today. In this case the margin call fully reflects the change in collateralized variation margin (i.e. PnL movement during the day)</p> <table border="1" data-bbox="651 1043 1561 1203"> <thead> <tr> <th>Member's collateral balance</th> <th>Initial margin</th> <th>Collateralized variation margin</th> <th>Total margin requirement</th> <th>intra-day margin call amount²</th> </tr> </thead> <tbody> <tr> <td>300</td> <td>300</td> <td>100</td> <td>400</td> <td>100</td> </tr> </tbody> </table>	Member's collateral balance	Initial margin	Collateralized variation margin	Total margin requirement	intra-day margin call amount ²	300	300	100	400	100	<ol style="list-style-type: none"> If member wants to settle the call in base currency (i.e. HKD): No action needs to be done on OASIS. The Clearing Member effect the payment through the RealTime Gross Settlement (RTGS) system to OTC Clear's designated bank account. If member wants to settle the call in non-base currencies: Follow the process described in Part V, Appendix 4. The Clearing Member effect the payment through the RealTime Gross Settlement (RTGS)
Member's collateral balance	Initial margin	Collateralized variation margin	Total margin requirement	intra-day margin call amount ²								
300	300	100	400	100								

² Assuming no haircuts on collateral here.

Scenarios	Descriptions					Actions required																		
	<p>Scenario 2 – one trade is cleared today. In this case the intra-day margin call reflects majority of the change in collateralized variation margin (i.e. PnL movement during the day)</p> <table border="1" data-bbox="651 485 1561 938"> <thead> <tr> <th></th> <th>Member's collateral balance</th> <th>Initial margin</th> <th>Collateralized variation margin</th> <th>Total margin requirement</th> <th>intra-day margin call amount</th> </tr> </thead> <tbody> <tr> <td>Start of the day</td> <td>120</td> <td>100</td> <td>0</td> <td>100</td> <td>-</td> </tr> <tr> <td>With new trade cleared (IM increase by 10)</td> <td>120</td> <td>110</td> <td>100</td> <td>210</td> <td>90</td> </tr> </tbody> </table>						Member's collateral balance	Initial margin	Collateralized variation margin	Total margin requirement	intra-day margin call amount	Start of the day	120	100	0	100	-	With new trade cleared (IM increase by 10)	120	110	100	210	90	<p>system to OTC Clear's designated bank account.</p>
	Member's collateral balance	Initial margin	Collateralized variation margin	Total margin requirement	intra-day margin call amount																			
Start of the day	120	100	0	100	-																			
With new trade cleared (IM increase by 10)	120	110	100	210	90																			
<p>Ad hoc Intra-day VM Call – fulfilling the margin call with cash in the eligible Currency.</p>	<p>If appropriate, the demand will be issued via the Margin Calls function OASIS. The timeframe of triggering ad hoc vm call will be from 08:30 HK local time to 15:00 HK local time unless further notified by OTC Clear.</p> <p>Clearing Member need to fulfill the obligation by depositing collateral in eligible currency within an hour following the Margin Call.</p>					<p>No action needs to be done on OASIS.</p> <p>The Clearing Member effect the payment through the Real Time Gross Settlement (RTGS) system to OTC Clear's designated bank account</p>																		
<p>Holiday Margin Call</p>	<p>If appropriate, the demand will be issued at 08:30 Hong Kong time on the OTC Clear Business Day issued via Margin Calls function on OASIS.</p>					<p>The same as actions required for EOD IM Call.</p>																		

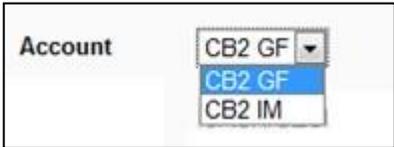
Scenarios	Descriptions	Actions required
<p>– fulfilling the margin call in any eligible currency</p>	<p>The Clearing Member need to fulfill the obligation by depositing collateral in the preferred currency within an hour following the Margin Call.</p>	<p>Note: The status of the margin call will be updated upon confirmation of the receipt of the payment</p>
<p>Guarantee Fund Call</p>	<p>If appropriate, the demand will be issued either at 08:30 Hong Kong time, 14:15 Hong Kong time or other time specified by OTC Clear via the Margin Calls function on OASIS.</p> <p>Note: pursuant to OTC Clearing Hong Kong Limited Clearing Procedures 7.5, OTC Clear may request a Clearing Member to post additional Collateral when the value recorded in the Rates and FX Contribution falls below the Rates and FX Liability (i.e. a drop in market value due to FX movements on a non-HKD collateral placed by a member). Such request will be in the form of a GF call which could be triggered at 8:30 a.m. or 2:15 p.m. In this case, the Clearing Member may see 2 margin calls at the same time on OASIS (one for IM account and one for GF account) and both calls have to be settled within 1 hour. Settlement methods for such GF call will be the same as routine Intra-day VM calls.</p>	<ol style="list-style-type: none"> <li data-bbox="1576 485 2022 799"> <p>If member wants to settle the call in base currency (i.e. HKD):</p> <p>No action needs to be done on OASIS.</p> <p>The Clearing Member effect the payment through the RealTime Gross Settlement (RTGS) system to OTC Clear's designated bank account</p> <li data-bbox="1576 799 2022 1272"> <p>If member wants to settle the call in non-base currencies:</p> <p>Follow the process described in Part V, Appendix 4.</p> <p>The Clearing Member effect the payment through the RealTime Gross Settlement (RTGS) system to OTC Clear's designated bank account.</p> <p>Note: The status of the margin call will be updated upon confirmation of the receipt of the payment</p>

Scenarios	Descriptions	Actions required
Voluntary Collateral Deposit	Clearing Member deposits and maintains excess collateral with OTC Clear.	Clearing Member submits collateral deposit request on OASIS. Please refer to Part III, section 2.4 for further details.
Voluntary Collateral Withdrawal	Clearing Member withdraws excess collateral from OTC Clear.	Clearing member submits voluntary withdrawal request via on OASIS. Please refer to Part III, section 2.5 for further details.
Participating/ICCP Margin Call – fulfilling the margin call in any eligible currency	If appropriate, the demand will be issued at 08:30 Hong Kong time on an OTC Clear Clearing Day via the Margin Calls function on OASIS. Clearing Member needs to fulfill the obligation in cash in any eligible currency ¹ .	<ol style="list-style-type: none"> If member wants to settle the call in base currency (i.e. HKD): No action needs to be done on OASIS. The Clearing Member effect the payment through the RealTime Gross Settlement (RTGS) system to OTC Clear's designated bank account. If member wants to settle the call in non-base currencies: Follow the process described in Part V, Appendix 4. The Clearing Member effect the payment through the RealTime Gross Settlement (RTGS) system to OTC Clear's

2.2. Common Components of a Collateral Movement Request

2.2.1. Information required when creating a collateral movement request

The following fields are main components of a collateral movement request:

Components	Descriptions
Common fields for all collateral movement request:	
<p>ACCOUNT</p> 	<p>The account involved in the collateral movement request.</p>

<p>COLLATERAL TYPE</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Collateral Type CASH ▼</p> <div style="border: 1px solid black; background-color: #e0e0e0; padding: 2px;"> <p>CASH</p> <p>SECURITY</p> </div> </div>	<p>The collateral type involved for the movement request.</p>																																																								
<p>Specific fields for cash collateral movement request:</p>																																																									
<p>SETTLE DATE</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Settle Date* <input type="text" value="05/29/2014"/></p> <table border="1" style="font-size: small; border-collapse: collapse; width: 100%;"> <thead> <tr> <th colspan="7">2014 May</th> </tr> <tr> <th>M</th> <th>T</th> <th>W</th> <th>T</th> <th>F</th> <th>S</th> <th>S</th> </tr> </thead> <tbody> <tr> <td>28</td> <td>29</td> <td>30</td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td>5</td> <td>6</td> <td>7</td> <td>8</td> <td>9</td> <td>10</td> <td>11</td> </tr> <tr> <td>12</td> <td>13</td> <td>14</td> <td>15</td> <td>16</td> <td>17</td> <td>18</td> </tr> <tr> <td>19</td> <td>20</td> <td>21</td> <td>22</td> <td>23</td> <td>24</td> <td>25</td> </tr> <tr> <td>26</td> <td>27</td> <td>28</td> <td style="background-color: #e0e0e0;">29</td> <td>30</td> <td>31</td> <td>1</td> </tr> <tr> <td>2</td> <td>3</td> <td>4</td> <td>5</td> <td>6</td> <td>7</td> <td>8</td> </tr> </tbody> </table> </div>	2014 May							M	T	W	T	F	S	S	28	29	30	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	<p>The settlement date of the cash collateral movement request.</p>
2014 May																																																									
M	T	W	T	F	S	S																																																			
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26	27	28	29	30	31	1																																																			
2	3	4	5	6	7	8																																																			
<p>CURRENCY</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Currency* USD ▼</p> </div>	<p>The currency of the cash collateral movement request</p>																																																								

<p>AMOUNT</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Amount* <input style="width: 100px; height: 15px;" type="text"/></p> </div>	<p>The amount of the collateral movement request</p>																																																								
<p>Specific fields for non-cash collateral movement request:</p>																																																									
<p>SECURITIES / SECURITY CODE</p> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 10px;"> <p>Security* <input style="width: 100px; height: 15px;" type="text"/></p> <p>Security Code <input style="width: 100px; height: 15px;" type="text"/></p> </div>	<p>The security involved in the non-cash collateral movement request</p>																																																								
<p>VALUE DATE</p> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 10px;"> <p>Value Date* <input style="width: 100px; height: 15px; border: 1px dashed gray;" type="text" value="05/29/2014"/></p> <table border="1" style="width: 100%; text-align: center; border-collapse: collapse;"> <thead> <tr> <th colspan="7">2014 May</th> </tr> <tr> <th>M</th> <th>T</th> <th>W</th> <th>T</th> <th>F</th> <th>S</th> <th>S</th> </tr> </thead> <tbody> <tr> <td>28</td> <td>29</td> <td>30</td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td>5</td> <td>6</td> <td>7</td> <td>8</td> <td>9</td> <td>10</td> <td>11</td> </tr> <tr> <td>12</td> <td>13</td> <td>14</td> <td>15</td> <td>16</td> <td>17</td> <td>18</td> </tr> <tr> <td>19</td> <td>20</td> <td>21</td> <td>22</td> <td>23</td> <td>24</td> <td>25</td> </tr> <tr> <td>26</td> <td>27</td> <td>28</td> <td style="background-color: #f0f0f0;">29</td> <td>30</td> <td>31</td> <td>1</td> </tr> <tr> <td>2</td> <td>3</td> <td>4</td> <td>5</td> <td>6</td> <td>7</td> <td>8</td> </tr> </tbody> </table> </div>	2014 May							M	T	W	T	F	S	S	28	29	30	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	<p>The value date of the non-cash collateral movement request.</p>
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26	27	28	29	30	31	1																																																			
2	3	4	5	6	7	8																																																			

<p>NOTIONAL</p> <div data-bbox="331 384 907 507"> <p>Notional* <input type="text" value="USD"/> <input type="text"/></p> </div>	<p>The notional amount of the non-cash collateral movement request</p>
<p>Specific fields for inter-account collateral transfer request:</p>	
<p>CHECKBOX ON INTER-ACCOUNT TRANSFER REQEUST</p> <div data-bbox="331 684 900 791"> <p>Move collateral from House Account <input checked="" type="checkbox"/></p> </div>	<p>The checkbox that initiate an inter-account collateral transfer request.</p>
<p>LINKED ACCOUNT</p> <div data-bbox="331 914 840 983"> <p>Linked Account <input type="text" value="CB1 GF"/></p> </div>	<p>The account where the collateral is transferred from.</p>

2.3. Enquiry Function on Collateral Movement Requests

2.3.1. Function Description

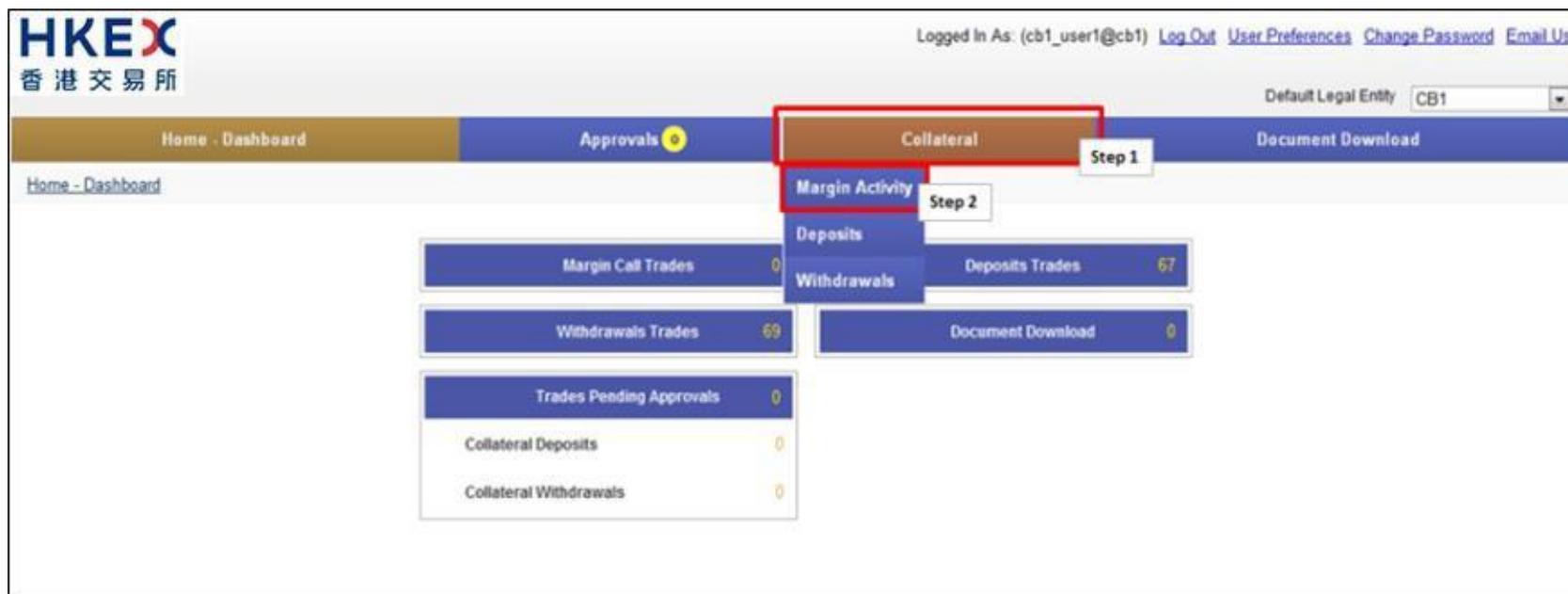
To retrieve the details and status of collateral movement requests created/submitted.

2.3.2. Function Available Time

7:00 a.m. to 1:00 a.m. every OTC Clear Clearing Day

2.3.3. How to Use (Step by Step)

- 1 On the **Main Menu**, select **Collateral**. The feature will be highlighted and a menu will appear. Select **Margin Activity**.

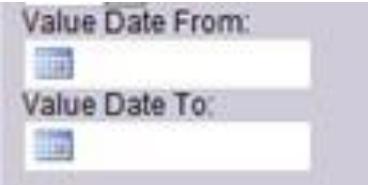


- 2 Current Location will be updated and the Content Area will display all the margin activities of the Clearing Member ID selected in the **Default Legal Entity** dropdown menu (located in the upper right hand corner above the **Main Menu**). For Clearing Member that provided Client Clearing Services, the dropdown menu will list out all the Clients associated with the Clearing Member. The user will need to select the appropriate Clearing Member ID to view historical collateral movement request or submit collateral movement request for the relevant accounts.

The screenshot displays the OASIS Web Portal interface for Collateral Management. The top navigation bar includes the HKEX logo, user information (Logged In As: cb1_user1@cb1), and links for Log Out, User Preferences, Change Password, and Email Us. A dropdown menu for 'Default Legal Entity' is open, showing options: CB1, CB1_OMN1, CB1_OMN2, CB1_CLA, and CB1_CLB. The main content area is titled 'Collateral' and shows a list of transactions. On the left, there is a 'Filter' panel with options for Margin Account (ALL), Currency (ALL), Value Date From, and Value Date To. Below the filter is a 'Search' button and a 'Reset to Defaults' button. The transaction list has columns for Actions, Status, Trade, Account, Type, Entered Date, Settle Date, Trade Currency, Amount, Code, and Description. The list shows various transactions with statuses like CANCELED, VERIFIED, and CHECK SDI WDL.

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description
⊖	CANCELED	173545	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
⊖	CANCELED	168295	CB1 M/Intraday VM	deposit	14/05/2014	14/05/2014	CNH	500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
⊖	CANCELED	171756	CB1 M/Intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
⊖	CANCELED	171755	CB1 M/Intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
⊖	CANCELED	171749	CB1 GF	deposit	16/05/2014	16/05/2014	CNH	100,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
⊖	CANCELED	169106	CB1 M/Intraday VM	deposit	15/05/2014	16/05/2014	CNH	1,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
⊖	CANCELED	166830	CB1 M/Intraday VM	deposit	13/05/2014	14/05/2014	CNH	10,000,000.00	HK0000171899	BondCGB 2.6% 22/11/2014
⊖	CANCELED	177789	CB1 M/Intraday VM	deposit	22/05/2014	23/05/2014	CNH	1.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	181749	CB1 M/Intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CHECK SDI WDL	181750	CB1 M/Intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	178266	CB1 M/Intraday VM	interaccount - withdrawal	23/05/2014	26/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	VERIFIED	182275	CB1 M/Intraday VM	deposit	29/05/2014	30/05/2014	CNH	20,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	177866	CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	11.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	181251	CB1 GF	withdrawal	26/05/2014	29/05/2014	CNH	32,423.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	177003	CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	12.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	181248	CB1 GF	deposit	28/05/2014	28/05/2014	CNH	200,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	175206	CB1 GF	deposit	26/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	175285	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	1,500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	173652	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	VERIFIED	174649	CB1 M/Intraday VM	interaccount - withdrawal	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	173892	CB1 M/Intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	175095	CB1 GF	withdrawal	20/05/2014	19/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	173748	CB1 GF	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	173738	CB1 M/Intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	176532	CB1 GF	withdrawal	21/05/2014	22/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	174590	CB1 M/Intraday VM	withdrawal	20/05/2014	21/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
⊖	CANCELED	173612	CB1 M/Intraday VM	withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014

3 User can refine the content by using the Search Panel. Below are the descriptions of the attributes available in the Search Panel.

Field name	Descriptions
<p>Margin Account</p> 	<p>Select the account involved in the collateral movement requests to be displayed. The accounts available depend on the Clearing Member ID.</p> <p>Each Clearing Member will have at least one GF (Guarantee Fund) account and one IM (Initial Margin) account. Depending on the membership, some Clearing Member might have more than one IM accounts</p>
<p>Currency</p> 	<p>Select the currency of the collateral movement requests to be displayed.</p>
<p>Value Date From Value Date To</p> 	<p>Set the date range to be displayed. The date is referring to the value date/settlement date of the request. User might key in the Date or use the calendar icon to select the date from the calendar prompted.</p>

- 4 The search result will be displayed in the Content Area, and can be sorted by the attributes (with the sort icon below the attribute heading). Below is the screen shot of a sample search result. The search resulted in 162 rows of records.

The screenshot displays the OASIS Web Portal interface. At the top, it shows the HKEX logo and the user is logged in as 'cb1_user1@cb1'. The main navigation bar includes 'Home - Dashboard', 'Collateral', and 'Document Download'. The current page is 'Margin Activity'. On the left, there is a 'Filter' section with 'Margin Account' set to 'ALL' and 'Currency' set to 'ALL'. A 'Search' button is highlighted with a red box and labeled 'Step 2'. Below the filter, there is a 'Reset to Defaults' button. The main content area shows a table of transactions. The table has the following columns: Actions, Status, Trade, Account, Type, Entered Date, Settle Date, Trade Currency, Amount, Code, and Description. The table contains 162 rows of records. A 'Refresh the Search Result' button is located above the table. The table shows various transactions with statuses like 'CANCELED' and 'VERIFIED', and types like 'withdrawal', 'deposit', and 'interaccount - withdrawal'. The amounts range from 11 to 20,000,000.00. The codes are all 'HK0000171907' and the descriptions are 'BondCGB 2.6% 22/11/2014' or 'BondCGB 3.09% 22/11/2014'.

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description
	CANCELED	173545	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171907	BondCGB 2.6% 22/11/2014
	CANCELED	168295	CB1 M/Intraday VM	deposit	14/05/2014	14/05/2014	CNH	500,000.00	HK0000171907	BondCGB 2.6% 22/11/2014
	CANCELED	171756	CB1 M/Intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171907	BondCGB 2.6% 22/11/2014
	CANCELED	171755	CB1 M/Intraday VM	deposit	16/05/2014	20/05/2014	CNH	1,500,000.00	HK0000171907	BondCGB 2.6% 22/11/2014
	CANCELED	171749	CB1 GF	deposit	16/05/2014	16/05/2014	CNH	100,000,000.00	HK0000171907	BondCGB 2.6% 22/11/2014
	CANCELED	169186	CB1 M/Intraday VM	deposit	15/05/2014	16/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 2.6% 22/11/2014
	CANCELED	166830	CB1 M/Intraday VM	deposit	13/05/2014	14/05/2014	CNH	10,000,000.00	HK0000171907	BondCGB 2.6% 22/11/2014
	CANCELED	177789	CB1 M/Intraday VM	deposit	22/05/2014	23/05/2014	CNH	1.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181749	CB1 M/Intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CHECK SDI WDL	181750	CB1 M/Intraday VM	withdrawal	29/05/2014	30/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	178266	CB1 M/Intraday VM	interaccount - withdrawal	23/05/2014	26/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	VERIFIED	182275	CB1 M/Intraday VM	deposit	29/05/2014	30/05/2014	CNH	20,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	177966	CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	11.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181251	CB1 GF	withdrawal	28/05/2014	29/05/2014	CNH	32,423.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	177903	CB1 M/Intraday VM	deposit	22/05/2014	22/05/2014	CNH	12.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	181248	CB1 GF	deposit	28/05/2014	28/05/2014	CNH	200,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175286	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175285	CB1 GF	deposit	20/05/2014	21/05/2014	CNH	1,500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173552	CB1 GF	withdrawal	19/05/2014	20/05/2014	CNH	15,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	VERIFIED	174649	CB1 M/Intraday VM	interaccount - withdrawal	20/05/2014	21/05/2014	CNH	2,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173092	CB1 M/Intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	175095	CB1 GF	withdrawal	20/05/2014	19/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173746	CB1 GF	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173738	CB1 M/Intraday VM	interaccount - withdrawal	19/05/2014	20/05/2014	CNH	1,000,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	178532	CB1 GF	withdrawal	21/05/2014	22/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	174590	CB1 M/Intraday VM	withdrawal	20/05/2014	21/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014
	CANCELED	173612	CB1 M/Intraday VM	withdrawal	19/05/2014	20/05/2014	CNH	500,000.00	HK0000171907	BondCGB 3.09% 22/11/2014

5 The below table listed out the attributes in the order displayed.

Attribute	Descriptions	Sortable
Actions	Actions available for this request under the current processing status	N/A
Status	The processing status of the entry. For the full list of the processing status, please refer to Part V, Appendix 3	Yes
Trade ID	Reference ID of each Margin Call / Collateral Deposit Request / Collateral Withdrawal Request	Yes
Account	1) The "Margin Account" that the collateral movement requests were made on; or 2) The "Collateral/Margin Account" that the Margin Call was made against.	Yes
Type	Identify the nature of the entry: <i>marginCall</i> Demand issued by OTC Clear to the Clearing Member <i>deposit</i> Collateral Deposit Request <i>withdrawal</i> Collateral Withdrawal Request <i>Interaccount – deposit</i> Collateral Deposit Request resulting from an inter-account transfer request <i>Interaccount - withdrawal</i> Collateral Withdrawal Request resulting from an inter-account transfer request	No
Entered Date	The Entered Date of the Collateral Movement Request or the trigger date of the Margin Call	Yes
Settle Date	The Settle Date/Value Date of the Margin Call / Collateral Movement Request	Yes
Trade Currency	The currency of the Margin Call / Collateral Movement Request	Yes

Amount	The notional amount of the Margin Call / Collateral Movement Request	Yes
Code	The ISIN code of security involved in the non-cash Collateral Movement Request	Yes
Description of Collateral	The description of the Margin Call / Collateral Movement Request	Yes
Reject Reason	The reason for the cancellation/rejection of the request. For the full list of the reject reason, please refer to Table 3.2 in Part V, Appendix 3	Yes

2.4. Collateral Deposit Request

2.4.1. Function Descriptions

To submit collateral deposit request to increase the collateral balance.

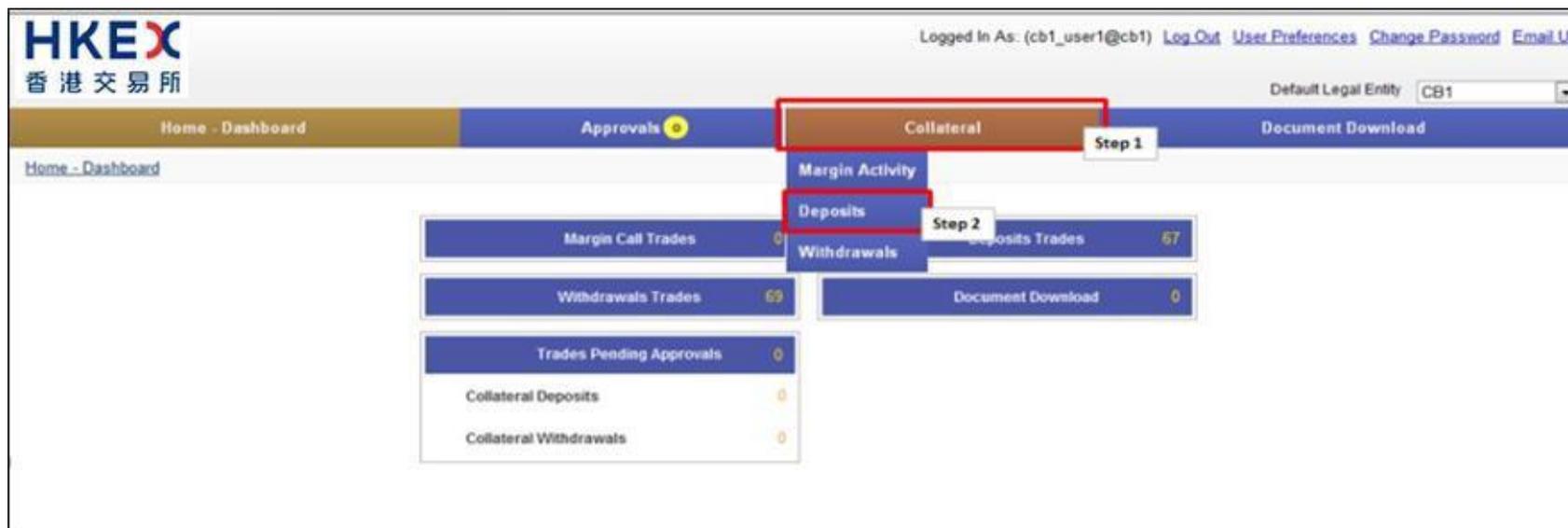
2.4.2. Function Available Time

8:00 a.m. to 5:00 p.m., every OTC Clear Clearing Day. The request will be cancelled automatically if the user submits the deposit request outside the function available time.

Note: user need to ensure the settlement time stated in section 3.9 of the Clearing Procedure can be fulfilled before submitting the request.

2.4.3. How to Use (Step by Step)

- 1 On the **Main Menu**, select **Collateral**. The feature will be highlighted and a menu will appear. Then select **Deposits**.



- 2 Current Location will be updated and the Content Area will display all the margin activities of the Clearing Member ID selected in the **Default Legal Entity** dropdown menu (located in the upper right hand corner above the **Main Menu**). For Clearing Member that provided Client Clearing Services, the dropdown menu will list out all the Clients associated with the Clearing Member. The user will need to select the appropriate Clearing Member ID to view historical collateral movement request or submit collateral movement request for the relevant accounts.

The screenshot displays the OASIS Web Portal interface for collateral management. The top navigation bar includes 'Home - Dashboard', 'Approvals', 'Collateral', and 'Document Download'. The user is logged in as 'cb1_user1@cb1'. The main content area is titled 'Home - Dashboard > Deposits' and features a 'Create Deposit' button. A filter sidebar on the left allows for searching by margin account, currency, and value date. The main table shows a list of 67 deposit records, each with columns for account, type, trade currency, amount, security, code, status, date, entered, and settle date. The table is currently showing records 1 through 67.

Account	Type	Trade Currency	Amount	Security	Code	Status	Date	Entered	Settle Date
GF	deposit	USD	23,423,423	Cash		CANCELED	16/05/2014	16/05/2014	16/05/2014
GF	deposit	USD	101	Cash		CANCELED	16/05/2014	16/05/2014	16/05/2014
GF	deposit	CNH	100,000,000	BondCOB 2.6% 22/11/2016 (SAJ/33M/22/11/2016/2.6%)	HK0000171899	CANCELED	16/05/2014	16/05/2014	16/05/2014
GF	deposit	USD	45,000	Cash		CANCELED	14/05/2014	14/05/2014	15/05/2014
GF	deposit	USD	350,000	BondUST Bonds 0.625% Jul16 (SAJ/30M/15/07/2016/0.625%)	US912828VL14	SEC_DEPOSIT_WAIT	13/05/2014	13/05/2014	14/05/2014
GF	deposit	USD	23,000	Cash		CANCELED	14/05/2014	14/05/2014	13/05/2014
GF	deposit	CNH	1,567,890	BondCOB 3.09% 22/11/2016 (SAJ/54M/22/11/2016/3.09%)	HK0000171907	CANCELED	13/05/2014	13/05/2014	14/05/2014
GF	deposit	USD	8,000	Cash		CANCELED	13/05/2014	13/05/2014	15/05/2014
GF	deposit	USD	9,000	BondUST Bonds 0.625% Jul16 (SAJ/30M/15/07/2016/0.625%)	US912828VL14	CANCELED	13/05/2014	13/05/2014	12/05/2014
GF	deposit	HKD	5,000	Cash		CANCELED	13/05/2014	13/05/2014	14/05/2014
GF	deposit	USD	8,000	BondUST Bonds 0.625% Jul16 (SAJ/30M/15/07/2016/0.625%)	US912828VL14	CANCELED	13/05/2014	13/05/2014	15/05/2014
GF	deposit	USD	9,000	Cash		CANCELED	13/05/2014	13/05/2014	12/05/2014
GF	deposit	USD	1,000	BondUST Bonds 0.625% Jul16 (SAJ/30M/15/07/2016/0.625%)	US912828VL14	CANCELED	12/05/2014	12/05/2014	13/05/2014
GF	deposit	CNH	500,000	BondCOB 3.09% 22/11/2016 (SAJ/54M/22/11/2016/3.09%)	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014
GF	deposit	CNH	500,000	BondCOB 3.09% 22/11/2016 (SAJ/54M/22/11/2016/3.09%)	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014
GF	deposit	CNH	8,000	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	234	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	234	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	1,000	Cash		CANCELED	12/05/2014	12/05/2014	13/05/2014
Bilateral VW	deposit	CNH	8,000,000	BondCOB 3.09% 22/11/2016 (SAJ/54M/22/11/2016/3.09%)	HK0000171907	CANCELED	16/05/2014	16/05/2014	19/05/2014
Bilateral VW	deposit	USD	5,000	BondUST Bonds 0.625% Jul16 (SAJ/30M/15/07/2016/0.625%)	US912828VL14	VERFED	16/05/2014	16/05/2014	19/05/2014
Bilateral VW	deposit	CNH	1,500,000	BondCOB 2.6% 22/11/2016 (SAJ/33M/22/11/2016/2.6%)	HK0000171899	CANCELED	16/05/2014	16/05/2014	20/05/2014

3 To submit new collateral deposit request, click **Create Deposit**.

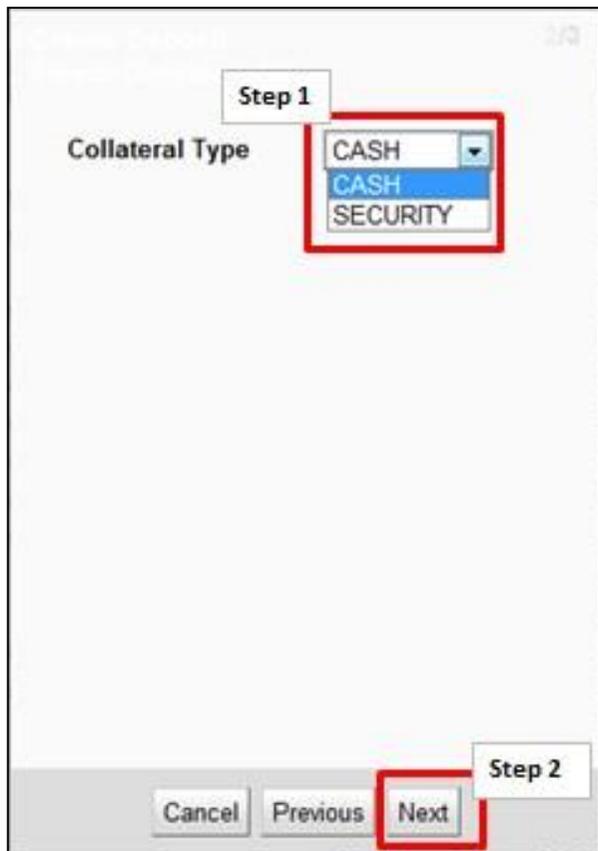
The screenshot displays the OASIS Web Portal interface for Collateral Management. The top navigation bar includes 'Home - Dashboard', 'Approvals', 'Collateral', and 'Document Download'. The user is logged in as 'cb1_user1@cb1'. A 'Default Legal Entity' dropdown is set to 'CB1'. The main content area is titled 'Home - Dashboard > Deposits'. On the left, there is a 'Filter' sidebar with options for Margin Account (ALL), Currency (ALL), Value Date From, and Value Date To. A 'Create Deposit' button is highlighted with a red box. The main table shows a list of deposits with columns for Account, Type, Trade Currency, Amount, Security, Code, Status, Date, Entered, and Settle Date. The table contains 67 rows of data, with the first row showing a deposit of 23,423,423 USD in Cash status, canceled on 16/05/2014. Other rows include various bond and cash deposits in USD, CNH, and HKD, with statuses ranging from CANCELED to SEC_DEPOSIT_WAIT and VERIFIED.

Account	Type	Trade Currency	Amount	Security	Code	Status	Date	Entered	Settle Date
GF	deposit	USD	23,423,423	Cash		CANCELED	16/05/2014	16/05/2014	16/05/2014
GF	deposit	USD	101	Cash		CANCELED	16/05/2014	16/05/2014	16/05/2014
GF	deposit	CNH	100,000,000	BondCOB 2.6% 22/11/2016 (SA)/33M/22/11/2016/2.6%	HK0000171899	CANCELED	16/05/2014	16/05/2014	16/05/2014
GF	deposit	USD	45,000	Cash		CANCELED	14/05/2014	14/05/2014	15/05/2014
GF	deposit	USD	350,000	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625%	US912828VL14	SEC_DEPOSIT_WAIT	13/05/2014	13/05/2014	14/05/2014
GF	deposit	USD	23,000	Cash		CANCELED	14/05/2014	14/05/2014	13/05/2014
GF	deposit	CNH	1,567,880	BondCOB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	13/05/2014	13/05/2014	14/05/2014
GF	deposit	USD	8,000	Cash		CANCELED	13/05/2014	13/05/2014	15/05/2014
GF	deposit	USD	9,000	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625%	US912828VL14	CANCELED	13/05/2014	13/05/2014	12/05/2014
GF	deposit	HKD	5,000	Cash		CANCELED	13/05/2014	13/05/2014	14/05/2014
GF	deposit	USD	8,000	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625%	US912828VL14	CANCELED	13/05/2014	13/05/2014	15/05/2014
GF	deposit	USD	9,000	Cash		CANCELED	13/05/2014	13/05/2014	12/05/2014
GF	deposit	USD	1,000	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625%	US912828VL14	CANCELED	12/05/2014	12/05/2014	13/05/2014
GF	deposit	CNH	500,000	BondCOB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014
GF	deposit	CNH	500,000	BondCOB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	15/05/2014	15/05/2014	16/05/2014
GF	deposit	CNH	8,000	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	234	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	234	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	123	Cash		CANCELED	15/05/2014	15/05/2014	15/05/2014
GF	deposit	USD	1,000	Cash		CANCELED	12/05/2014	12/05/2014	13/05/2014
M/Intraday VM	deposit	CNH	8,000,000	BondCOB 3.09% 22/11/2016 (SA)/54M/22/11/2016/3.09%	HK0000171907	CANCELED	16/05/2014	16/05/2014	16/05/2014
M/Intraday VM	deposit	USD	5,000	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/2016/0.625%	US912828VL14	VERIFIED	16/05/2014	16/05/2014	19/05/2014
M/Intraday VM	deposit	CNH	1,500,000	BondCOB 2.6% 22/11/2016 (SA)/33M/22/11/2016/2.6%	HK0000171899	CANCELED	16/05/2014	16/05/2014	20/05/2014

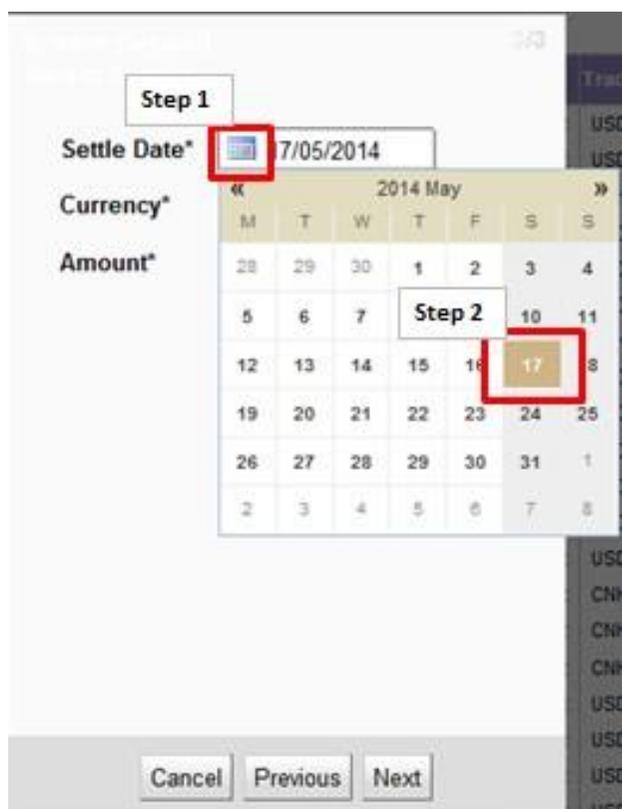
- 4 Choose the Account from the dropdown list and click **Next**. The letter GF is the abbreviation for Guarantee Fund while IM is Initial Margin, the letter [PM] is Participating Margin. In the example below, if user wants to make a deposit to the Guarantee Fund, “RMDUMMY1 GF” should be selected.

The screenshot shows a web form titled "Create Deposit" with a sub-header "Select Margin Account". The form has two main sections: "Account" and "Collateral Type". The "Account" field contains the text "RM". The "Collateral Type" dropdown menu is open, showing a list of options: "RMDUMMY1 GF", "RMDUMMY1 Settlement Limit USD", "RMDUMMY1 IM", "RMDUMMY1 Settlement Limit CNH", "RMDUMMY1 IM 2", "RMDUMMY1 Settlement Limit HKD", and "RMDUMMY1 PM". The option "RMDUMMY1 GF" is highlighted with a red box. At the bottom of the form, there are three buttons: "Cancel", "Previous", and "Next". The "Next" button is also highlighted with a red box.

- 5 Select the Collateral Type for the deposit request and click **Next**.



- 6 The Settle Date field is defaulted to the current day. The value can be change by selecting the calendar icon or type in the date directly into the input box. Please note OTC Clear **only accept** request for **cash** collateral with **current date as settle date**. Settle date for **non-cash** collateral will be accepted only if it is on the next available settlement date of such non-cash collateral, the following day of when the deposit/withdrawal request(s) is/are raised. For Opt-in¹ Clearing Members, withdrawal will be rejected by OTC Clear on the withdrawal day no matter the withdrawal amount is within or exceed excess collateral amount. If the withdrawal is within excess collateral amount, OTC Clear will transfer the requested amount to the Clearing Member's sub margin account, which is isolated from fulfillment of margin requirement or other clearing purposes. Such withdrawal amount will be released to the Opt-in Clearing Member



¹ OTC Clear allows Opt-in Clearing Members to use excess collateral to reduce their stress loss in condition that the excess collateral could only be withdrawn by giving a three day advance notice to OTC Clear.

7. For **cash collateral**, choose the currency from the dropdown list.

For avoidance of doubt, [PM] only accepts HKD, USD and CNH as collateral.

The screenshot shows a web form for collateral management. It includes the following elements:

- Settle Date***: A date picker showing 17/05/2014.
- Currency***: A dropdown menu with the following options: USD, HKD, EUR, USD (highlighted), and CNH.
- Amount***: An empty text input field.
- Navigation Buttons**: Cancel, Previous, and Next buttons at the bottom.

For **non-cash** collateral, choose the security from the dropdown list.

Security*	<input type="text"/>			
Security Code	HK0000171899	CNH	BondCGB 2.6%	22/11/2016 (SA)/0D/22/11/2016/2.6%
Value Date*	HK0000171907	CNH	BondCGB 3.09%	22/11/2018 (SA)/0D/15/12/2014/3.09%
	HK0000121852	HKD	BondHKEFN Aug27 (dummy coupon)	/0D/17/12/2014/0.8%
	US912828NP10	USD	BondUST Bonds Jul15 (Dummy coupon)	/0D/31/07/2015/1.75%
	US912828D564	USD	BondUST Bonds 2.375%/10Y/15/08/2024	/2.375%
	US912828G385	USD	BondUST Bonds 2.25%/10Y/15/11/2024	/2.25%
	US912828UN88	USD	BondUST Bonds 2.00%/10Y/15/02/2023	/2%
	HK0000171238	HKD	BondHKEFN 0.3%/2Y/18/11/2015	/0.3%
	HK0000223955	HKD	BondHKEFB 0%/91D/18/02/2015	/0%
	US912828QS22	USD	BondUST Bonds (Dummy) 18Jun2015	/0D/18/06/2015/0.75%

- 8 For **cash** collateral input the desired amount and click **Next** to complete the input. An error message will be prompted if the entered value is invalid.

The screenshot shows a web form with the following fields and elements:

- Settle Date***: A date picker set to 17/05/2014.
- Currency***: A dropdown menu set to USD.
- Amount***: An empty text input field with a red border. Below it is a message box that says "Please set a valid amount".
- Step 1**: A label pointing to the Amount field.
- Step 2**: A label pointing to the Next button.
- Buttons**: Cancel, Previous, and Next buttons at the bottom. The Next button is highlighted with a red box.

For **non-cash** collateral input the desired amount and click **Next** to complete the input. An error message will be prompted if the entered value is invalid.

Security* BondCGB 2.6% 22/11/20

Security Code HK0000171899

Value Date* 12/12/2014

Notional* CNH 2,000,000

Step 1

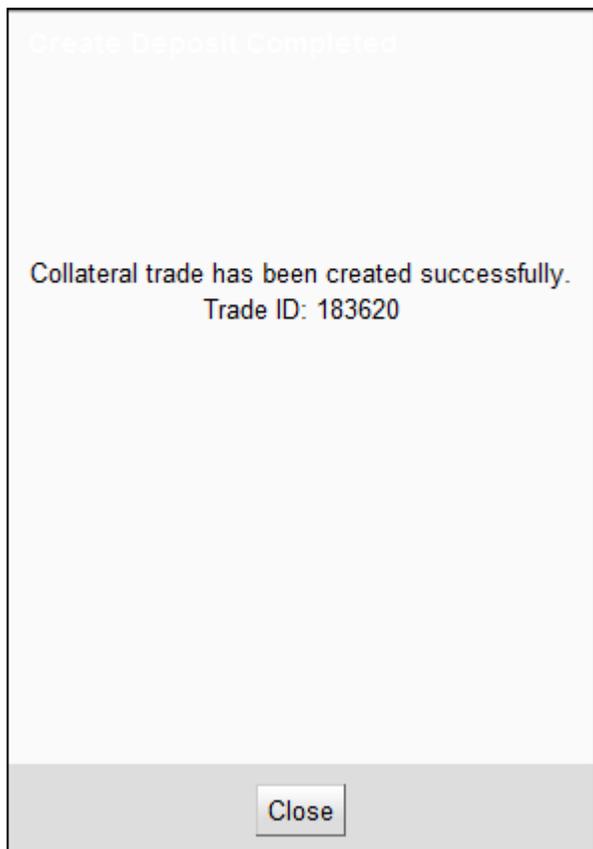
Step 2

Cancel Previous Next

Note: If the deposit is for a client margin account, the OASIS user can indicate whether the deposit is from the house margin account and initiate an inter-account transfer. For the detail workflow, please refer to step 11.

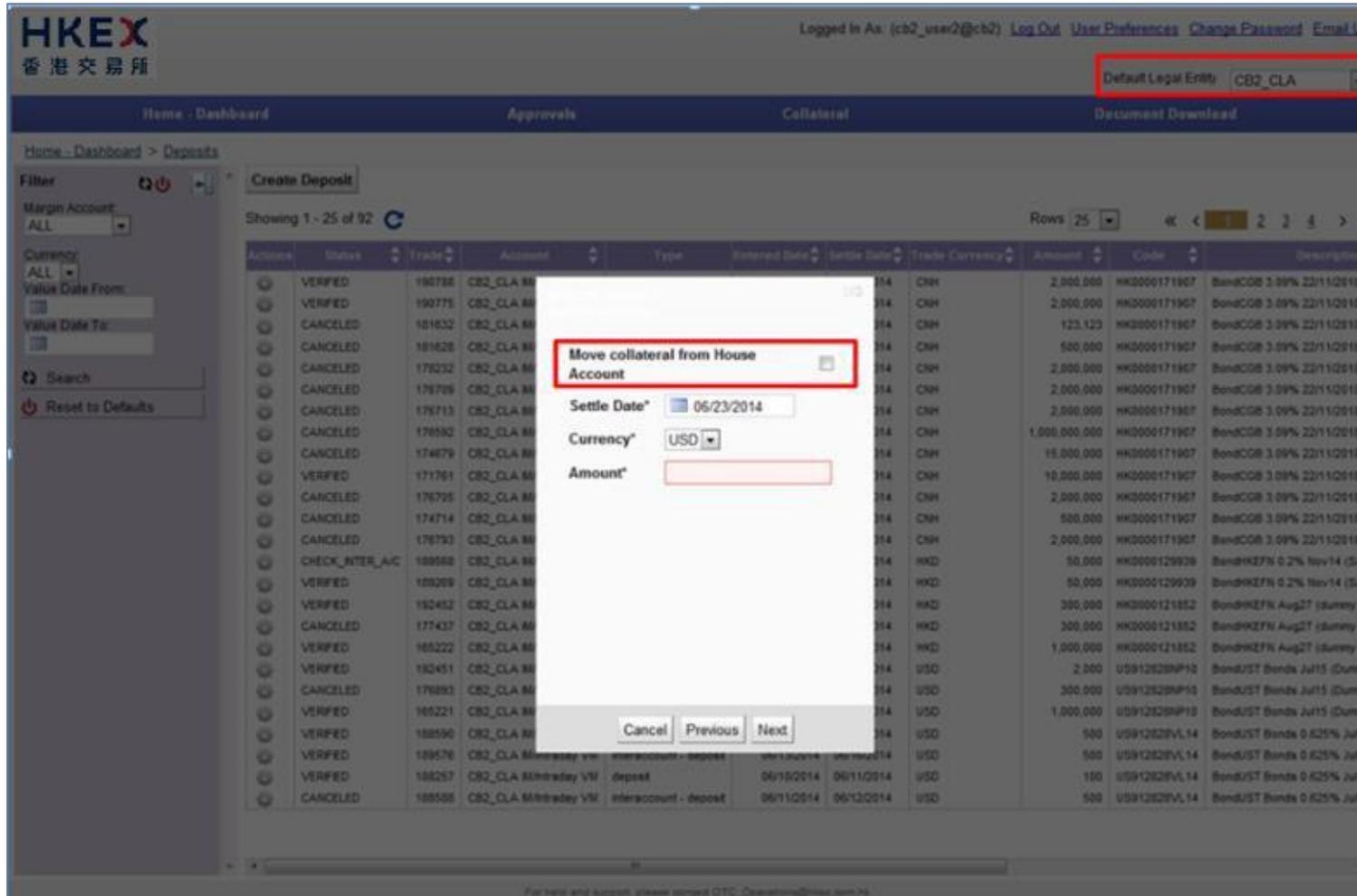
- 9 The detail of the request will be displayed for final review. If the details are correct, Click **Finish**; otherwise, click **Previous** for amendment or **Cancel** to cancel the submission.

- 10 After clicking **Finish**, the confirmation screen will be displayed. A unique reference ID will be assigned to each created request (i.e. “Trade Id”). User can leave the confirmation screen and continue using other functions of OASIS by clicking **Close**.



Note: The newly created request should be in “4EYES” status pending for approval. To ensure the request is successfully created, user should refresh the Content Area to confirm the request status. Prior to being approved by user with authorize access, the request can be cancel. Please refer to **Part III, Section 2.6** for the cancellation procedure and **Part III, Section 2.7** for the approval procedure.

- 11 If the collateral deposit is for a client margin account, the OASIS user can indicate whether the deposited fund is from the house margin account, i.e. an inter-account collateral transfer request, by selecting the red-boxed tick box “Move collateral from House Account”.



- 12 Once selected, the “Link Account” dropdown box will appear. User can indicated which account the fund will be debited from.

Create Deposit 3/3
Select Details

Move collateral from House Account

Linked Account CB2 GF ▾
CB2 GF
CB2 IM

Settle Date*

Currency* USD ▾

Amount*

Move collateral from House Account

Linked Account CB2 GF

Security*

Security Code

Value Date* 12/12/2014

Cancel Previous Next

- 13 User is required to populate the remaining fields similar to a normal deposit request. After user populated the fields, the system will display the full detail of the request for user to reconfirm.

Create Deposit 3/3
Review

Margin Account CB2_CLA IM/Intraday VM

Move collateral from House Account

Linked Account CB2 IM ▾

Settle Date*

Currency* USD ▾

Amount* 1,111,123

The screenshot shows a web form with the following fields and values:

- Margin Account:** CB2 CLA IM/Intraday VM
- Move collateral from House Account:**
- Linked Account:** CB2 IM
- Security:** BondCGB 3.09% 22/11/2018 (SA)/0D/1
- Security Code:** HK0000171907
- Value Date:** 12/12/2014
- Notional:** CNH, 2,000,000

At the bottom of the form are three buttons: Cancel, Previous, and Finish.

- 14 Please note once confirmed, this entry will generate two requests: 1. “interaccount – deposit” [for the Client Account] 2. “interaccount – withdrawal” [for the House Account]. Both requests must be approved by the approver and submitted to the Clearing House to enable the inter-account collateral transfer request. And this transfer request is accepted only when **both** requests are at “**VERIFIED**” status.

As it involved withdrawal from the House account, the available time of the inter-account collateral transfer follows that of the collateral withdraw request, i.e. between 8:00 a.m. to 12:00 noon, every OTC Clear Clearing Day.

2.5. Collateral Withdrawal Request

2.5.1. Function Descriptions

To submit collateral withdrawal request for withdrawing excess collaterals.

2.5.2. Function Available Time

8:00 a.m. to 12:00 noon, every OTC Clear Clearing Day. The request will be cancelled automatically if the user submits the request outside the function available time.

2.5.3. How to Use (Step by Step)

- 1 On the **Main Menu**, select **Collateral**. The feature will be highlighted and a menu will appear. Then select **Withdrawals**.



- 2 Current Location will be updated and the Content Area will display all the margin activities of the Clearing Member ID selected in the **Default Legal Entity** dropdown menu (located in the upper right hand corner above the **Main Menu**). For Clearing Member that provided Client Clearing Services, the dropdown menu will list out all the Clients associated with the Clearing Member. The user will need to select the appropriate Clearing Member ID to view historical collateral movement request or submit collateral movement request for the relevant accounts.

The screenshot displays the OASIS Web Portal interface for Collateral Management. The top navigation bar includes 'Home - Dashboard', 'Collateral', and 'Document Download'. A 'Create Withdrawal' button is visible in the top left area. The main content area shows a table of withdrawal requests with columns for Actions, Trade, Reject Reason, Account, Type, Trade Currency, Amount, and Sec. A filter sidebar on the left allows for filtering by Margin Account, Currency, and Value Date. The table lists various withdrawal requests, many with 'Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade' as the reject reason.

Actions	Trade	Reject Reason	Account	Type	Trade Currency	Amount	Sec
	165230	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	400.00	Cash
	165252	Outside Business Hours	CB1 M/Intraday VM	interaccount - withdrawal	USD	3,000.00	Cash
	165258	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	interaccount - withdrawal	USD	5,000.00	Cash
	165260	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	interaccount - withdrawal	USD	6,000.00	Cash
	165338	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	1,000.00	BondUST Bonds Jul15 (Dumr
	165340	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul1
	165342	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul1
	165344	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul1
	165516	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	250,000.00	BondUST Bonds 0.625% Jul1
	165518	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	300,000.00	BondUST Bonds 0.625% Jul1
	167815		CB1 M/Intraday VM	withdrawal	USD	800,000.00	Cash
	167816		CB1 M/Intraday VM	withdrawal	USD	800,000.00	BondUST Bonds 0.625% Jul1
	167847	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	USD	10,000.00	Cash
	167854	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	USD	10,000.00	Cash
	167871	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	CNH	500,000.00	BondCOB 3.09% 22/11/2018
	167872	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	CNH	500,000.00	BondCOB 3.09% 22/11/2018
	167911	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	HKD	80,000.00	Cash
	167919	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	HKD	80,000.00	Cash
	167921	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	HKD	100,000.00	BondHKEFN 0.2% Nov14 (SA
	167923		CB1 M/Intraday VM	withdrawal	USD	1,000.00	Cash
	167924	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	HKD	100,000.00	BondHKEFN 0.2% Nov14 (SA
	167928		CB1 M/Intraday VM	withdrawal	USD	1,000.00	Cash
	167930	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	USD	1,000.00	Cash
	167948	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	CNH	123,123,123,112.00	BondCOB 3.09% 22/11/2018
	167950	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/Intraday VM	withdrawal	CNH	12,323,524,242.00	BondCOB 3.09% 22/11/2018
	167953	Auto Cancel	CB1 M/Intraday VM	withdrawal	HKD	1,000.00	Cash
	167964	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	USD	3,245,345.00	BondUST Bonds 0.625% Jul1

3 To submit new collateral withdrawal request, click **Create Withdrawal**.

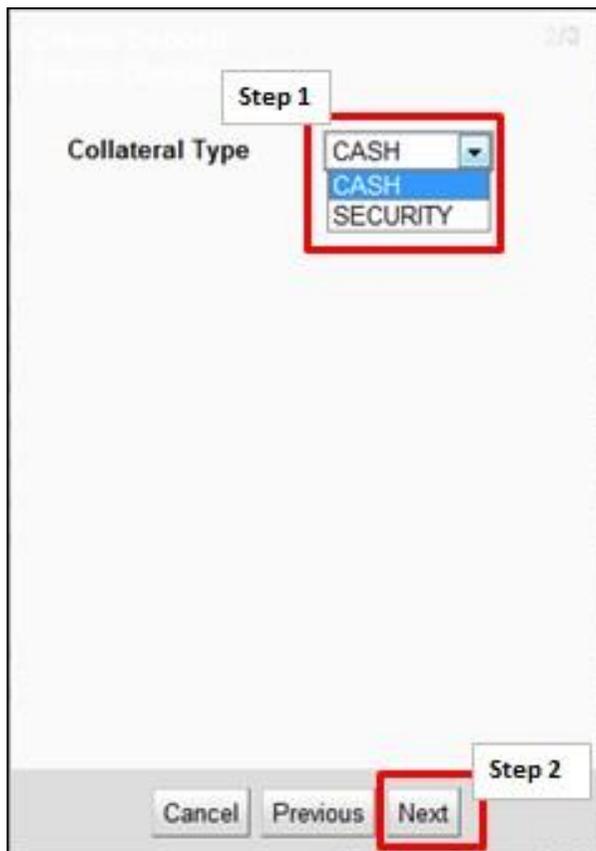
The screenshot displays the OASIS Web Portal interface for Collateral Management. The top navigation bar includes 'Home - Dashboard', 'Collateral', and 'Document Download'. The user is logged in as 'cb1_user1@cb1'. A 'Default Legal Entity' dropdown is set to 'CB1'. The main content area shows a 'Withdrawals' page with a 'Create Withdrawal' button highlighted in a red box. Below the button, a table lists 30 withdrawal transactions. The table columns are: Actions, Trade, Reject Reason, Account, Type, Trade Currency, Amount, and Sec. The transactions include various reasons such as 'Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade', 'Outside Business Hours', and 'Auto Cancel'. The amounts range from 1,000.00 to 123,123,123.112.00. The bottom of the page contains the text: 'For help and support, please contact OTC_Operations@hkex.com.hk'.

Actions	Trade	Reject Reason	Account	Type	Trade Currency	Amount	Sec
	165230	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	400.00	Cash
	165252	Outside Business Hours	CB1 M/intraday VM	interaccount - withdrawal	USD	3,000.00	Cash
	165258	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/intraday VM	interaccount - withdrawal	USD	5,000.00	Cash
	165260	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/intraday VM	interaccount - withdrawal	USD	6,000.00	Cash
	165338	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	1,000.00	BondUST Bonds Jul15 (Dum
	165340	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul1
	165342	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul1
	165344	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	500,000.00	BondUST Bonds 0.625% Jul1
	165516	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	250,000.00	BondUST Bonds 0.625% Jul1
	165518	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	interaccount - withdrawal	USD	300,000.00	BondUST Bonds 0.625% Jul1
	167815		CB1 M/intraday VM	withdrawal	USD	800,000.00	Cash
	167816		CB1 M/intraday VM	withdrawal	USD	800,000.00	BondUST Bonds 0.625% Jul1
	167847	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	USD	10,000.00	Cash
	167854	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/intraday VM	withdrawal	USD	10,000.00	Cash
	167871	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	CNH	500,000.00	BondCGB 3.09% 22/11/2018
	167872	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/intraday VM	withdrawal	CNH	500,000.00	BondCGB 3.09% 22/11/2018
	167911	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	HKD	80,000.00	Cash
	167919	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/intraday VM	withdrawal	HKD	80,000.00	Cash
	167921	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	HKD	100,000.00	BondHKEFN 0.2% Nov14 (SA
	167923		CB1 M/intraday VM	withdrawal	USD	1,000.00	Cash
	167924	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/intraday VM	withdrawal	HKD	100,000.00	BondHKEFN 0.2% Nov14 (SA
	167928		CB1 M/intraday VM	withdrawal	USD	1,000.00	Cash
	167930	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/intraday VM	withdrawal	USD	1,000.00	Cash
	167948	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	CNH	123,123,123,112.00	BondCGB 3.09% 22/11/2018
	167950	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 M/intraday VM	withdrawal	CNH	12,323,524,242.00	BondCGB 3.09% 22/11/2018
	167953	Auto Cancel	CB1 M/intraday VM	withdrawal	HKD	1,000.00	Cash
	167964	Invalid Settle Date/Time to Cash Flow/Quantity/Inter Account Trade	CB1 GF	withdrawal	USD	3,245,345.00	BondUST Bonds 0.625% Jul1

- 4 Choose the Account from the dropdown list and click **Next**. The letter GF is the abbreviation for Guarantee Fund while IM is Initial Margin. In the example below, if user wants to withdrawal collateral from Guarantee Fund, “RMDUMMY1 GF” should be selected.

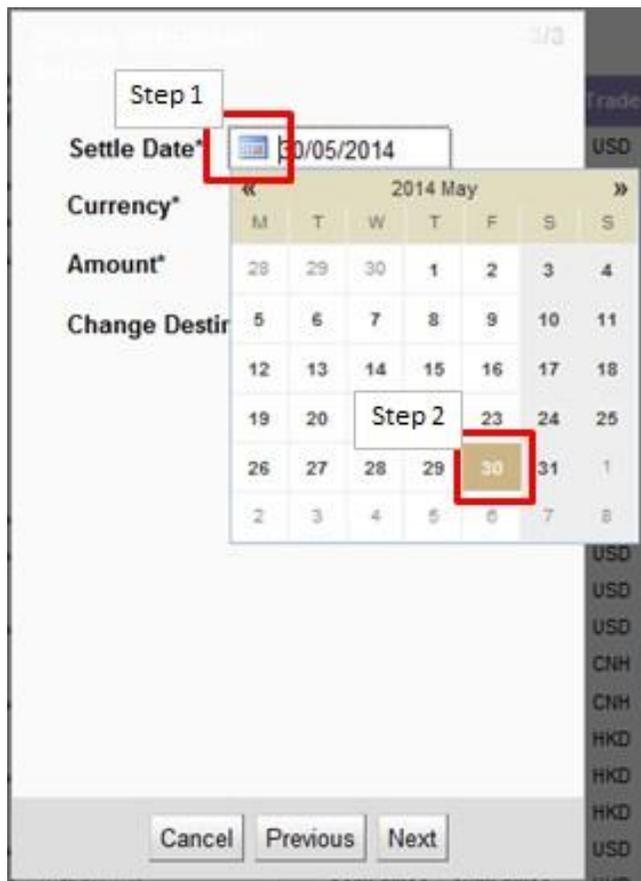
The screenshot displays the 'Create Withdrawal' process in the OASIS Web Portal. It is divided into two main sections. The left section contains two dropdown menus: 'Account' and 'Collateral Type', both of which are currently set to 'RMDUMMY1 GF'. The right section, titled 'Create Withdrawal Select Margin Account', features a dropdown menu with the following options: 'RMDUMMY1 GF', 'RMDUMMY1 Settlement Limit USD' (highlighted in yellow), 'RMDUMMY1 IM', 'RMDUMMY1 Settlement Limit CNH', 'RMDUMMY1 IM 2', 'RMDUMMY1 Settlement Limit HKD', and 'RMDUMMY1 PM'. At the bottom of each section, there are three buttons: 'Cancel', 'Previous', and 'Next'. The 'Next' button in both sections is highlighted with a red box, indicating the next step in the process.

- 5 Select the Collateral Type for the withdrawal request and click **Next**.



- 6 The Settle Date field is defaulted to the current day. The value can be change by selecting the calendar icon or type in the date directly into the input box. Please note OTC Clear **only accepts**³ request for **cash** collateral with **current date as settle date** or **non-cash** collateral with settle date on the next available settlement date of such non-cash collateral, the following day of when the deposit/withdrawal request(s) is/are raised.

³ OTC Clear allows Opt-in Clearing Members to use excess collateral to reduce their stress loss in condition that the excess collateral could only be withdrawn by giving three days advance notice to OTC Clear. Such accepted withdrawal amount will be released to the Opt-in Clearing Member after the notice period (i.e. three days).



7. For **cash collateral**, choose the currency from the dropdown list.

The screenshot shows a web form for collateral management. It includes the following fields and controls:

- Settle Date***: A date picker set to 30/05/2014.
- Currency***: A dropdown menu currently showing USD.
- Amount***: A text input field with a red border, currently empty.
- Change Destination**: A dropdown menu showing CNH, with a checkbox to its right.

At the bottom of the form, there are three buttons: **Cancel**, **Previous**, and **Next**.

For **non-cash** collateral, choose the security from the dropdown list.

Security*	Amount	Code	De
Security Code			
Value Date*			
HK0000171899	CNH	BondCGB 2.6% 22/11/2016 (SA)/0D/22/11/2016/2.6%	
HK0000121852	HKD	BondHKEFN Aug27 (dummy coupon)/0D/17/12/2014/0.8%	
US912828NP10	USD	BondUST Bonds Jul15 (Dummy coupon)/0D/31/07/2015/1.75%	
US912828D564	USD	BondUST Bonds 2.375%/10Y/15/08/2024/2.375%	
US912828G385	USD	BondUST Bonds 2.25%/10Y/15/11/2024/2.25%	
US912828UN88	USD	BondUST Bonds 2.00%/10Y/15/02/2023/2%	
HK0000171238	HKD	BondHKEFN 0.3%/2Y/18/11/2015/0.3%	
HK0000223955	HKD	BondHKEFB 0%/91D/18/02/2015/0%	
US912828QS22	USD	BondUST Bonds (Dummy) 18Jun2015/0D/18/06/2015/0.75%	
	456,456	US912828NP10	BondUST Bonds Jul
	4,500	US912796CM97	BondUSTBills 1Y 23
	400,000		Cash
	200,000		Cash
	300,000		Cash
	100,000		Cash
	3,000,000	HK0000171899	BondCGB 2.6% 22/
	8,000	US912828NP10	BondUST Bonds Jul

- 8 For cash collateral input the desired amount and click **Next** to complete the input. An error message will be prompted if the entered value is invalid.

3/3

Settle Date* 17/05/2014

Currency* USD

Amount* Please set a valid amount

Step 1

Cancel Previous **Next** Step 2

Security* BondCGB 2.6% 22/11/20

Security Code HK0000171899

Value Date* 12/12/2014

Notional* CNH 2,000,000

Step 1

Cancel Previous Next

Step 2

- 9 To complete the creation of the request, click **Next**.

If user wants the withdrawal credits to a bank account registered with OTC Clear other than the default bank account, check the **Change Destination Account** checkbox before click **Next**. *[Function not applicable in current phase, can be ignored]*

3/3

Margin Account CB1 GF

Settle Date* 30/05/2014

Currency* USD

Amount* 111

Destination SWIFT/AGENT_CB1/1223373

Step 1

Step 2

Cancel Previous Next

- 11 The detail of the request will be displayed for final review. If the details are correct, click **Finish**; otherwise, click **Previous** for amendment or **Cancel** to cancel the submission.

If **Change Destination Account** checkbox **wasn't** checked:

Create Withdrawal 3/3
Review

Margin Account CB1 GF

Settle Date* 30/05/2014

Currency* USD

Amount* 111

Destination Default Destination Account

Cancel Previous Finish

If **Change Destination Account** checkbox was checked:

Create Withdrawal 3/3
Review

Margin Account

Settle Date*

Currency*

Amount*

Destination

- 12 After clicking **Finish**, the confirmation screen will be displayed. A unique reference ID will be assigned to each created request (i.e. “Trade Id”). User can leave the confirmation screen and continue using other functions of OASIS by clicking **Close**.



Note: The newly created request should be in “4EYES” status pending for approval. To ensure the request is successfully created, user should refresh the Content Area to confirm the request status. Prior to being approved by user with authorize access, the request can be cancel. Please refer to **Part III, Section 2.6** for the cancellation procedure and **Part III, Section 2.7** for the approval procedure.

2.6. Cancellation of Request Prior to Approval

2.6.1. Function Descriptions

To cancel the collateral movement request prior to approval (i.e. in 4EYES status)

2.6.2. Function Available Time

Correspond to the function available time of the request type. Please refer to **Part III, Section 2.4** for deposit and **Part III, Section 2.5** for withdrawal.

2.6.3. How to Use (Step by Step)

- 1 On the **Main Menu**, select **Collateral**. Then select **Deposits** or **Withdrawals** depending on the request type.



- 2 Refine the search result by using the Search Panel. After locating the request, select the request by right click on the specific row. The request will be highlighted when selected. Example, Trade ID 183403 is selected.

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Logged In As: (cb1_user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Default Legal Entity: CB1

Home - Dashboard Collateral Document Download

Home - Dashboard > Deposits

Filter

Margin Account: CB1 GF

Currency: USD

Value Date From:

Value Date To:

Showing 1 - 31 of 31

Rows: 100

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description of Collateral
<input type="button" value="Refresh"/>	VERIFIED	163768	CB1 GF	deposit	09/05/2014	09/05/2014	USD	999,999,999.99		Cash
<input type="button" value="Refresh"/>	VERIFIED	163493	CB1 GF	deposit	30/05/2014	30/05/2014	USD	234,234.00		Cash
<input type="button" value="Refresh"/>	VERIFIED	169229	CB1 GF	deposit	15/05/2014	16/05/2014	USD	100,000.00	US912796DD89	BondUSTBills 19Jun14/6M/19/06/2014/0%
<input type="button" value="Refresh"/>	VERIFIED	169227	CB1 GF	deposit	15/05/2014	16/05/2014	USD	100,000.00	US912628VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
<input type="button" value="Refresh"/>	VERIFIED	166857	CB1 GF	deposit	13/05/2014	14/05/2014	USD	5,000.00	US912628VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
<input type="button" value="Refresh"/>	VERIFIED	166841	CB1 GF	deposit	13/05/2014	13/05/2014	USD	801.00		Cash
<input type="button" value="Refresh"/>	VERIFIED	166739	CB1 GF	deposit	13/05/2014	13/05/2014	USD	900,000.00		Cash
<input type="button" value="Refresh"/>	VERIFIED	165207	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00	US912628NP10	BondUST Bonds Jul15 (Dummy coupon)/54M/31/0
<input type="button" value="Refresh"/>	VERIFIED	164378	CB1 GF	deposit	12/05/2014	12/05/2014	USD	8,000.00		Cash
<input type="button" value="Refresh"/>	SEC_DEPOSIT_WAIT	166584	CB1 GF	deposit	13/05/2014	14/05/2014	USD	350,000.00	US912628VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
<input type="button" value="Refresh"/>	CANCELED	164391	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00	US912628VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
<input type="button" value="Refresh"/>	CANCELED	165227	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00		Cash
<input type="button" value="Refresh"/>	CANCELED	166260	CB1 GF	deposit	13/05/2014	12/05/2014	USD	9,000.00		Cash
<input type="button" value="Refresh"/>	CANCELED	166261	CB1 GF	deposit	13/05/2014	12/05/2014	USD	9,000.00	US912628VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
<input type="button" value="Refresh"/>	CANCELED	166286	CB1 GF	deposit	13/05/2014	15/05/2014	USD	8,000.00		Cash
<input type="button" value="Refresh"/>	CANCELED	166287	CB1 GF	deposit	13/05/2014	15/05/2014	USD	8,000.00	US912628VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
<input type="button" value="Refresh"/>	CANCELED	166208	CB1 GF	deposit	14/05/2014	15/05/2014	USD	45,000.00		Cash
<input type="button" value="Refresh"/>	CANCELED	166209	CB1 GF	deposit	14/05/2014	13/05/2014	USD	23,000.00		Cash
<input type="button" value="Refresh"/>	CANCELED	169173	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
<input type="button" value="Refresh"/>	CANCELED	169174	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
<input type="button" value="Refresh"/>	CANCELED	169175	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
<input type="button" value="Refresh"/>	CANCELED	169176	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
<input type="button" value="Refresh"/>	CANCELED	169177	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
<input type="button" value="Refresh"/>	CANCELED	169178	CB1 GF	deposit	15/05/2014	15/05/2014	USD	234.00		Cash
<input type="button" value="Refresh"/>	CANCELED	169179	CB1 GF	deposit	15/05/2014	15/05/2014	USD	234.00		Cash
<input type="button" value="Refresh"/>	CANCELED	173015	CB1 GF	deposit	16/05/2014	16/05/2014	USD	23,423,423.34		Cash
<input type="button" value="Refresh"/>	CANCELED	173016	CB1 GF	deposit	16/05/2014	16/05/2014	USD	100.67		Cash

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- 3 Click on the **Action icon** next to the selected request, a menu will appear. The action **Amend** and **Cancel** will be displayed. Click **Cancel**.

Note: Amend feature is not applicable to collateral movement request.

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Logged In As: (cb1_user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Default Legal Entity: CB1

Home - Dashboard | Collateral | Document Download

Home - Dashboard > Deposits

Filter: Margin Account: CB1 GF, Currency: USD, Value Date From: , Value Date To: , Search, Reset to Defaults

Create Deposit

Showing 1 - 31 of 31

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description of Collateral
	VERFED	163768	CB1 GF	deposit	09/05/2014	09/05/2014	USD	999,999,999.99		Cash
	VERFED	163403	CB1 GF	deposit	30/05/2014	30/05/2014	USD	234,234.00		Cash
Amend	IFIED	169229	CB1 GF	deposit	15/05/2014	16/05/2014	USD	100,000.00	US912796DD89	BondUSTBills 19Jun14/6M/19/06/2014/0%
Cancel	IFIED	169227	CB1 GF	deposit	15/05/2014	16/05/2014	USD	100,000.00	US912826VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	IFIED	166857	CB1 GF	deposit	13/05/2014	14/05/2014	USD	5,000.00	US912826VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	VERFED	166841	CB1 GF	deposit	13/05/2014	13/05/2014	USD	801.00		Cash
	VERFED	166739	CB1 GF	deposit	13/05/2014	13/05/2014	USD	900,000.00		Cash
	VERFED	165207	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00	US912826HP10	BondUST Bonds Jul15 (Dummy coupon)/54M/31/0
	VERFED	164378	CB1 GF	deposit	12/05/2014	12/05/2014	USD	8,000.00		Cash
	SEC_DEPOSIT_WAIT	168584	CB1 GF	deposit	13/05/2014	14/05/2014	USD	350,000.00	US912826VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	CANCELED	164391	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00	US912826VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	CANCELED	165227	CB1 GF	deposit	12/05/2014	13/05/2014	USD	1,000.00		Cash
	CANCELED	166260	CB1 GF	deposit	13/05/2014	12/05/2014	USD	9,000.00		Cash
	CANCELED	166261	CB1 GF	deposit	13/05/2014	12/05/2014	USD	9,000.00	US912826VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	CANCELED	166286	CB1 GF	deposit	13/05/2014	15/05/2014	USD	8,000.00		Cash
	CANCELED	166287	CB1 GF	deposit	13/05/2014	15/05/2014	USD	8,000.00	US912826VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/07/20
	CANCELED	168208	CB1 GF	deposit	14/05/2014	15/05/2014	USD	45,000.00		Cash
	CANCELED	168209	CB1 GF	deposit	14/05/2014	13/05/2014	USD	23,000.00		Cash
	CANCELED	169173	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169174	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169175	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169176	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169177	CB1 GF	deposit	15/05/2014	15/05/2014	USD	123.00		Cash
	CANCELED	169178	CB1 GF	deposit	15/05/2014	15/05/2014	USD	234.00		Cash
	CANCELED	169179	CB1 GF	deposit	15/05/2014	15/05/2014	USD	234.00		Cash
	CANCELED	173015	CB1 GF	deposit	16/05/2014	16/05/2014	USD	23,423,423.34		Cash
	CANCELED	173016	CB1 GF	deposit	16/05/2014	16/05/2014	USD	100.67		Cash

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- 4 A message will be prompted for confirming the cancellation. If the details are correct and confirm the cancellation, click **Finish**; otherwise, click **Cancel** to abort the cancellation.

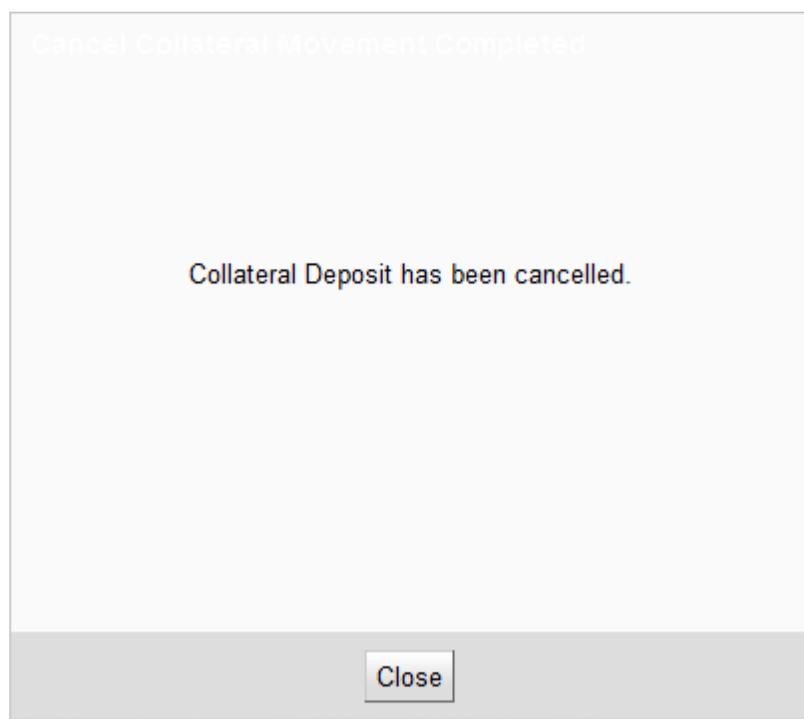
Cancel Collateral Movement

Please confirm that you want to cancel this transaction.

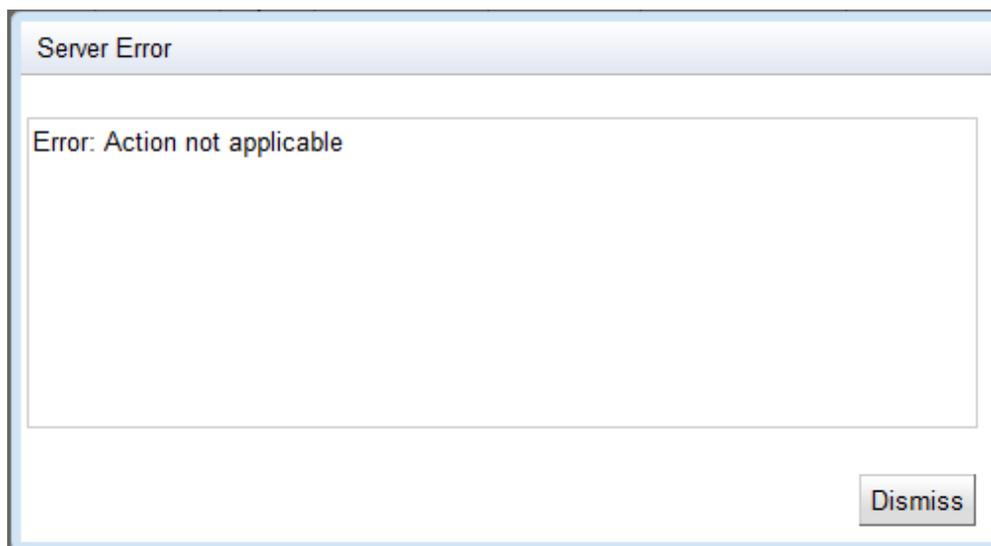
Trade Id	183403
Margin Account	CB1 GF
Collateral	Cash
Amount	USD 234,234.00

- 5 After clicking **Finish**, the confirmation screen will be displayed. User can leave the confirmation screen and continue using other functions of OASIS by clicking **Close**.

The request should be in “CANCELLED” status. To ensure the request is successfully created, user should refresh the Content Area to confirm the request status.



- 6 If cancellation is applied to a request with status other than “4EYES”, no action will be applied to the request and/or the following warning message will appear. Subsequent to any cancellation, it is recommended for user to retrieve the latest details of the request by using the Enquiry Function detailed in **Part III, Section 2.3**.



2.7. Approval of Request

2.7.1. Function Descriptions

OASIS Collateral Management Portal employs a maker-checker mechanism. All Collateral Movement Request is required to be created by the maker and approved by a user with Authorize access prior to submitting to OTC Clear. OTC Clear will only process approved requests.

2.7.2. Function Available Time

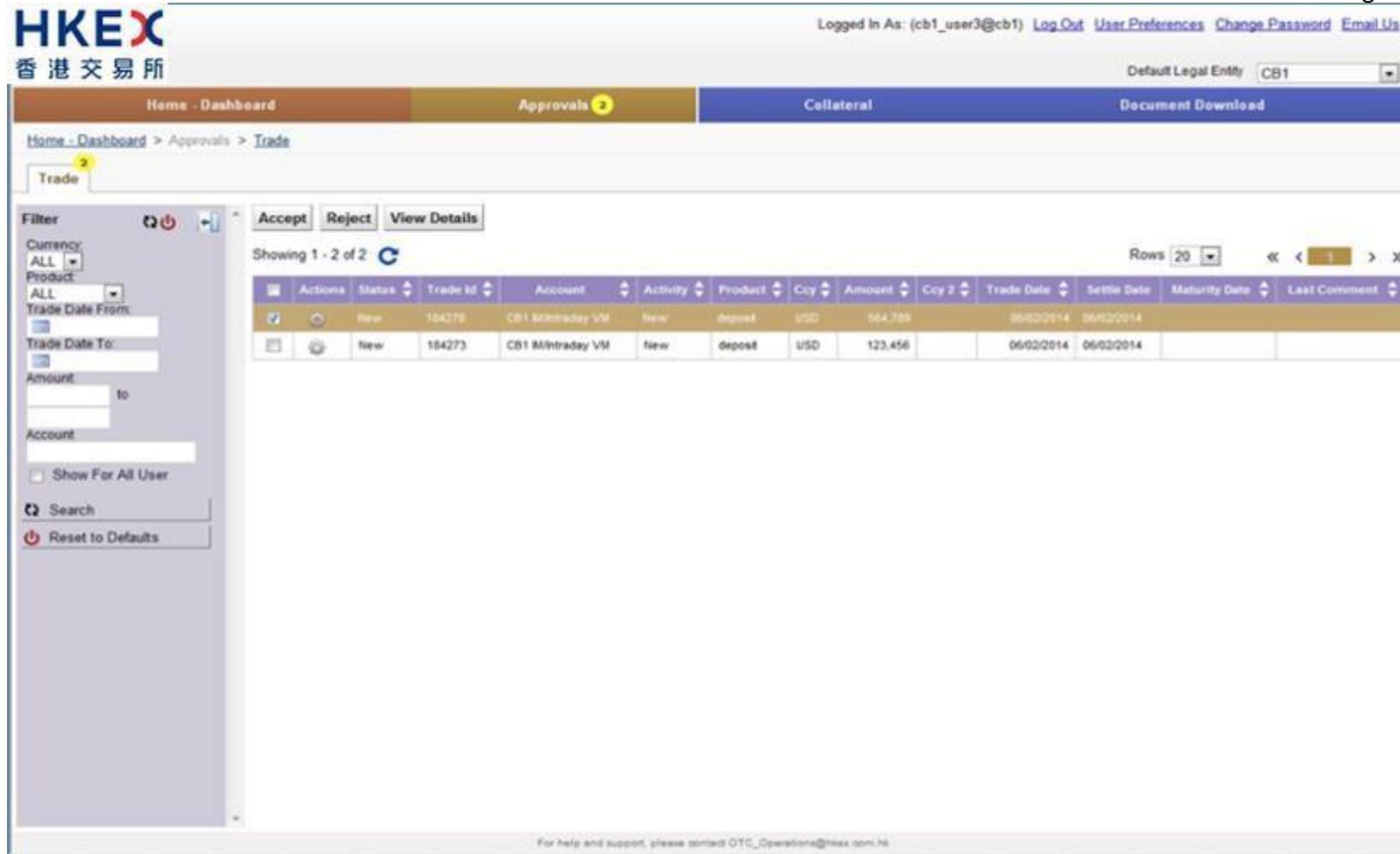
Correspond to the function available time of the request type. Please refer to **Part III, Section 2.4** for deposit and **Part III, Section 2.5** for withdrawal.

2.7.3. How to Use (Step by Step)

- 1 On the **Main Menu**, select **Approvals**. Note: the dashboard will highlight the number of requests pending approval.



- 2 Refine the search result by using the Search Panel. After locating the request, select the request by checking the checkbox located at the first column of each row. The request will be highlighted. Example, Trade ID 184270 is selected.



- 3 User can choose **View Details** to view the detail of the request. A message box will be prompted for confirming the request.



- 4 If the details are correct, approve the request by clicking **Accept**; otherwise, click **Reject** to reject the request or **Cancel** to go back to the approval menu. User can input the reason for rejection at the comment box after clicking **Reject**.

The screenshot displays the HKEX OASIS Collateral Management Portal interface. At the top, the HKEX logo and '香港交易所' are visible on the left, and the user is logged in as '(cb1_user3@cb1)' with links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us' on the right. A navigation bar includes 'Home - Dashboard', 'Approvals 1', 'Collateral', and 'Document Download'. The breadcrumb trail shows 'Home - Dashboard > Approvals > Trade'. A 'Trade' button is highlighted with a yellow circle. Below this, there are 'Accept', 'Reject', and 'View Details' buttons. A table shows one trade record with columns: Actions, Status, Trade Id, Account, Activity, Product, Ccy, Amount, Ccy 2, Trade Date, Settle Date, Maturity Date, and Last Comment. The trade details are: Status: New, Trade Id: 194273, Account: CB1 B/Wtradey VM, Activity: New, Product: deposit, Ccy: USD, Amount: 123,456, Trade Date: 09/02/2014, Settle Date: 30/02/2014. A modal dialog titled 'Enter Reject Reason' is open, containing a 'Your Comment' text area and 'Cancel' and 'Submit' buttons. The footer includes a help email 'OTC_Operations@hkex.com.hk', 'Local intranet | Protected Mode: Off', and a zoom level of 100%.

- Once the request is approved (or rejected), it will disappear from the list of requests pending approval.

The screenshot displays the HKEX OASIS Web Portal interface. At the top, the HKEX logo and '香港交易所' are visible on the left, and the user is logged in as 'cb1_user3@cb1' with links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us' on the right. The 'Default Legal Entity' is set to 'CB1'. The main navigation bar includes 'Home - Dashboard', 'Approvals' (highlighted with a yellow circle), 'Collateral', and 'Document Download'. The breadcrumb trail shows 'Home - Dashboard > Approvals > Trade'. A 'Trade' button with a yellow circle and the number '2' is present. On the left, a 'Filter' sidebar allows for searching by Currency (ALL), Product (ALL), Trade Date (From/To), Amount, and Account. A 'Show For All User' checkbox is also present. The main content area features 'Accept', 'Reject', and 'View Details' buttons. Below these, it indicates 'Showing 1 - 1 of 1' and 'Rows 20'. A table with one row is displayed:

Actions	Status	Trade Id	Account	Activity	Product	Ccy	Amount	Ccy 2	Trade Date	Settle Date	Maturity Date	Last Comment
	New	184273	CB1 M/Intraday VM	New	deposit	USD	123,456		06/02/2014	06/02/2014		

At the bottom of the page, a footer note reads: 'For help and support, please contact OTC_Operations@hkex.com.hk'.

- 6 Subsequent to any approval, it is recommended for user to retrieve the latest status of the request by using the Enquiry Function detailed in **Part III, Section 2.3**. Example, request ID#184273 was rejected and request ID#184270 was approved.

Logged In As: (cb1_user3@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Default Legal Entity: CB1

Home - Dashboard | Approvals 1 | Collateral | Document Download

Home - Dashboard > Margin Activity

Filter: Margin Account: ALL, Currency: ALL, Value Date From: , Value Date To: , Search, Reset to Defaults

Create Deposit

Showing 1 - 20 of 296

Actions	Status	Trade	Account	Type	Entered Date	Settle Date	Trade Currency	Amount	Code	Description of Collateral
	CANCELED	184273	CB1 M/Intraday VM	deposit	06/02/2014	06/02/2014	USD	123,456		Cash
	4EYES	184272	CB1 M/Intraday VM	deposit	06/02/2014	06/02/2014	EUR	789,456		Cash
	4EYES	184271	CB1 GF	deposit	06/02/2014	06/02/2014	EUR	93,126		Cash
	VERFED	184270	CB1 M/Intraday VM	deposit	06/02/2014	06/02/2014	USD	564,789		Cash
	CANCELED	183772	CB1 GF	withdrawal	05/30/2014	05/30/2014	USD	111		Cash
	CANCELED	183622	CB1 GF	deposit	05/30/2014	05/30/2014	USD	6		Cash
	CANCELED	183621	CB1 GF	deposit	05/30/2014	05/30/2014	USD	5		Cash
	CANCELED	183620	CB1 GF	deposit	05/30/2014	05/17/2014	USD	1,111		Cash
	CANCELED	183605	CB1 GF	deposit	05/30/2014	05/17/2014	USD	1,111		Cash
	CANCELED	183550	CB1 M/Intraday VM	deposit	05/30/2014	05/30/2014	USD	500		Cash
	CANCELED	183417	CB1 M/Intraday VM	withdrawal	05/30/2014	06/02/2014	USD	100,000	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/0
	CANCELED	183414	CB1 M/Intraday VM	withdrawal	05/30/2014	05/30/2014	USD	200,000		Cash
	VERFED	183409	CB1 M/Intraday VM	deposit	05/30/2014	06/02/2014	USD	500,000	US912828VL14	BondUST Bonds 0.625% Jul16 (SA)/30M/15/0
	VERFED	183403	CB1 GF	deposit	05/30/2014	05/30/2014	USD	234,234		Cash
	VERFED	182275	CB1 M/Intraday VM	deposit	05/29/2014	05/30/2014	CNH	20,000,000	HK0000171907	BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/1
	CHECK SDI WDL	181750	CB1 M/Intraday VM	withdrawal	05/29/2014	05/30/2014	CNH	2,000,000	HK0000171907	BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/1
	CANCELED	181749	CB1 M/Intraday VM	withdrawal	05/29/2014	05/30/2014	CNH	1,000,000	HK0000171907	BondCGB 3.09% 22/11/2018 (SA)/54M/22/11/1
	VERFED	181748	CB1 M/Intraday VM	withdrawal	05/29/2014	05/30/2014	HKD	1,000,000	HK0000190667	BondHKEFB 10Jun14/CO/18/06/2014/0%
	VERFED	181670	CB1 M/Intraday VM	deposit	05/29/2014	05/29/2014	EUR	9,999,999,999,999		Cash
	CANCELED	181264	CB1 M/Intraday VM	deposit	05/28/2014	05/28/2014	USD	100		Cash

For help and support, please contact DTC_Operations@hkex.com.hk

7. For inter-account collateral transfer, both requests will get approved/rejected when the approver approve/reject one of the two requests. Please refer to **Part III, Section 2.4 Step 11 to 14** for greater details.

3. Report Functions

3.1. *Searching the Reports*

3.1.1. *Function Descriptions*

To locate a specific report published on a particular day/time. The following types of reports are published by OTC Clear on OASIS:

- Trade reports
- Settlement reports
- Margin reports
- Market Data reports

For the full list of OASIS reports, please refer to the Report Usage Guide.

3.1.2. *Function Available Time*

7:00 a.m. to 1:00 a.m. every OTC Clear Clearing Day. Different reports have different publish time; please refer to the Report Usage Guide for details

3.1.3. *How to Use (Step by Step)*

- 1 On the Main **Menu**, select **Document Download**. Please note the dashboard shows the number of reports published for the day.



Part III OASIS Collateral Management Portal

HKEX 香港交易所

Logged In As: (cb1_user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Default Legal Entity: CB1

Home - Dashboard Collateral Document Download

Home - Dashboard

Margin Call Trades	0	Deposits Trades	155
Withdrawals Trades	141	Document Download	110
Trades Pending Approvals	0		

For help and support, please contact OTC_Operations@hkex.com.hk

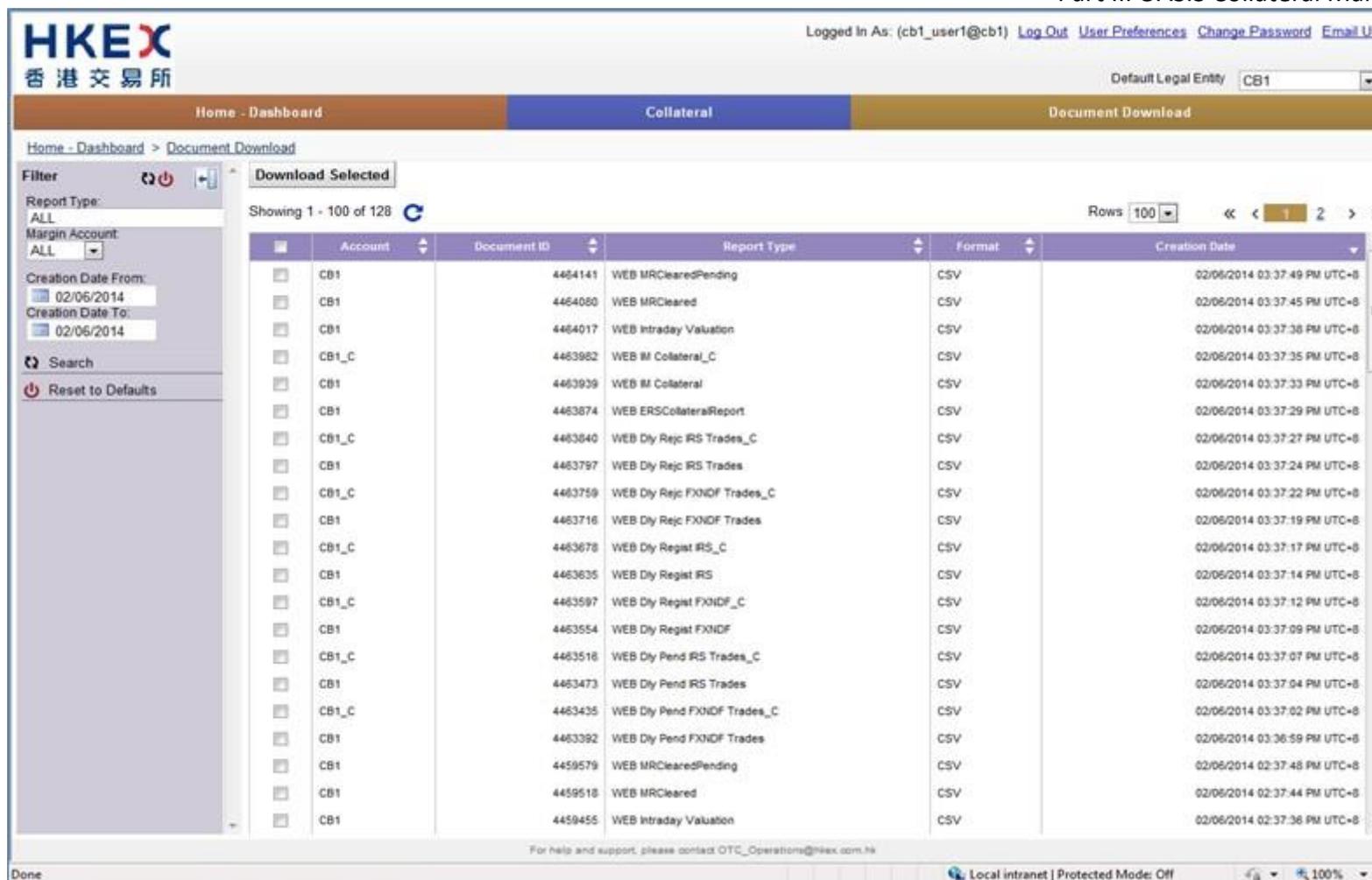
Local intranet | Protected Mode: Off



Part III OASIS Collateral Management Portal

Note: the Default Legal Entity must be the Clearing Member to view both reports for House Business and Client Clearing Services.

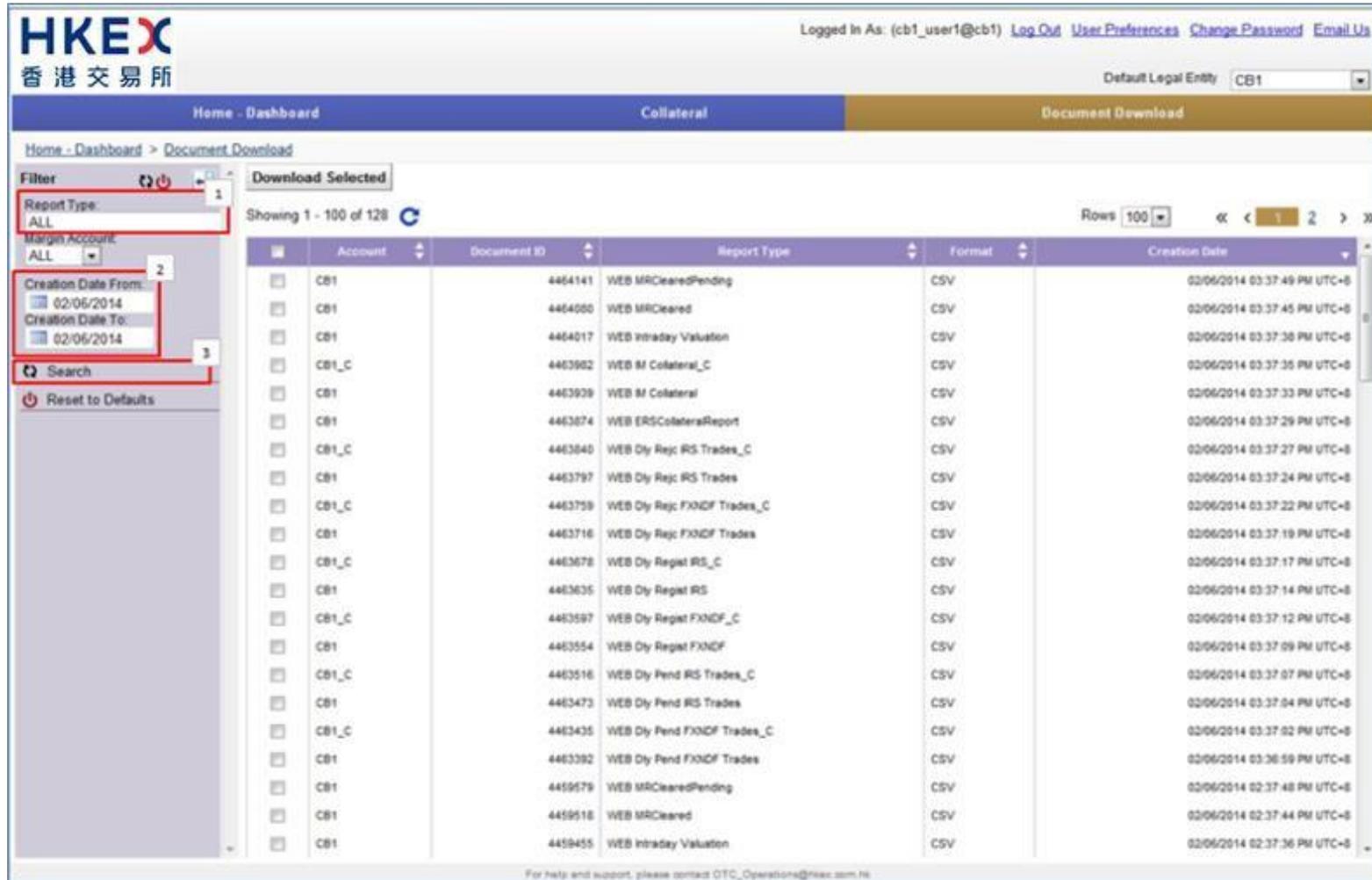
- 2 By default, the Content Area will display all the reports published on the login day.



The screenshot displays the OASIS Collateral Management Portal interface. At the top, the HKEX logo and '香港交易所' are visible on the left, and the user is logged in as 'cb1_user1@cb1'. The navigation bar includes 'Home - Dashboard', 'Collateral', and 'Document Download'. The breadcrumb trail shows 'Home - Dashboard > Document Download'. On the left, a 'Filter' panel allows users to refine reports by 'Report Type' (set to ALL), 'Margin Account' (set to ALL), and 'Creation Date' (From: 02/06/2014, To: 02/06/2014). A 'Download Selected' button is present above the table. The main table, titled 'Showing 1 - 100 of 128', lists reports with columns for Account, Document ID, Report Type, Format, and Creation Date. The table contains 100 rows of data, all with a creation date of 02/06/2014. A 'Rows' dropdown is set to 100. At the bottom, there is a footer with contact information and a status bar showing 'Local intranet | Protected Mode: Off'.

Account	Document ID	Report Type	Format	Creation Date
CB1	4464141	WEB MRClearedPending	CSV	02/06/2014 03:37:49 PM UTC-8
CB1	4464080	WEB MRCleared	CSV	02/06/2014 03:37:45 PM UTC-8
CB1	4464017	WEB Intraday Valuation	CSV	02/06/2014 03:37:38 PM UTC-8
CB1_C	4463982	WEB M Collateral_C	CSV	02/06/2014 03:37:35 PM UTC-8
CB1	4463939	WEB M Collateral	CSV	02/06/2014 03:37:33 PM UTC-8
CB1	4463874	WEB ERSCollateralReport	CSV	02/06/2014 03:37:29 PM UTC-8
CB1_C	4463840	WEB Dly Rejc IRS Trades_C	CSV	02/06/2014 03:37:27 PM UTC-8
CB1	4463797	WEB Dly Rejc IRS Trades	CSV	02/06/2014 03:37:24 PM UTC-8
CB1_C	4463759	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 03:37:22 PM UTC-8
CB1	4463716	WEB Dly Rejc FXNDF Trades	CSV	02/06/2014 03:37:19 PM UTC-8
CB1_C	4463678	WEB Dly Regist RS_C	CSV	02/06/2014 03:37:17 PM UTC-8
CB1	4463635	WEB Dly Regist RS	CSV	02/06/2014 03:37:14 PM UTC-8
CB1_C	4463597	WEB Dly Regist FXNDF_C	CSV	02/06/2014 03:37:12 PM UTC-8
CB1	4463554	WEB Dly Regist FXNDF	CSV	02/06/2014 03:37:09 PM UTC-8
CB1_C	4463516	WEB Dly Pend RS Trades_C	CSV	02/06/2014 03:37:07 PM UTC-8
CB1	4463473	WEB Dly Pend RS Trades	CSV	02/06/2014 03:37:04 PM UTC-8
CB1_C	4463435	WEB Dly Pend FXNDF Trades_C	CSV	02/06/2014 03:37:02 PM UTC-8
CB1	4463392	WEB Dly Pend FXNDF Trades	CSV	02/06/2014 03:36:59 PM UTC-8
CB1	4459579	WEB MRClearedPending	CSV	02/06/2014 02:37:48 PM UTC-8
CB1	4459518	WEB MRCleared	CSV	02/06/2014 02:37:44 PM UTC-8
CB1	4459455	WEB Intraday Valuation	CSV	02/06/2014 02:37:36 PM UTC-8

3 User can refine the reports displayed in the Content Area by using the search panel.



The screenshot displays the OASIS Collateral Management Portal interface. At the top, the HKEX logo and name are visible on the left, and the user is logged in as 'cb1_user1@cb1'. Navigation tabs include 'Home - Dashboard', 'Collateral', and 'Document Download'. The current view is 'Document Download', showing a list of reports with columns for Account, Document ID, Report Type, Format, and Creation Date. A filter sidebar on the left allows for filtering by Report Type (set to ALL), Margin Account (set to ALL), and Creation Date (From: 02/06/2014, To: 02/06/2014). The table shows 128 reports, with the first few rows highlighted. A 'Download Selected' button is present above the table.

Account	Document ID	Report Type	Format	Creation Date
CB1	4464141	WEB MRClearedPending	CSV	02/06/2014 03:37:49 PM UTC+8
CB1	4464080	WEB MRCleared	CSV	02/06/2014 03:37:45 PM UTC+8
CB1	4464017	WEB Intraday Valuation	CSV	02/06/2014 03:37:38 PM UTC+8
CB1_C	4463982	WEB M Collateral_C	CSV	02/06/2014 03:37:35 PM UTC+8
CB1	4463929	WEB M Collateral	CSV	02/06/2014 03:37:33 PM UTC+8
CB1	4463874	WEB ERSCollateraReport	CSV	02/06/2014 03:37:29 PM UTC+8
CB1_C	4463840	WEB Dly Rejc RS Trades_C	CSV	02/06/2014 03:37:27 PM UTC+8
CB1	4463797	WEB Dly Rejc RS Trades	CSV	02/06/2014 03:37:24 PM UTC+8
CB1_C	4463759	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 03:37:22 PM UTC+8
CB1	4463716	WEB Dly Rejc FXNDF Trades	CSV	02/06/2014 03:37:19 PM UTC+8
CB1_C	4463678	WEB Dly Regat RS_C	CSV	02/06/2014 03:37:17 PM UTC+8
CB1	4463635	WEB Dly Regat RS	CSV	02/06/2014 03:37:14 PM UTC+8
CB1_C	4463597	WEB Dly Regat FXNDF_C	CSV	02/06/2014 03:37:12 PM UTC+8
CB1	4463554	WEB Dly Regat FXNDF	CSV	02/06/2014 03:37:09 PM UTC+8
CB1_C	4463516	WEB Dly Pend RS Trades_C	CSV	02/06/2014 03:37:07 PM UTC+8
CB1	4463473	WEB Dly Pend RS Trades	CSV	02/06/2014 03:37:04 PM UTC+8
CB1_C	4463435	WEB Dly Pend FXNDF Trades_C	CSV	02/06/2014 03:37:02 PM UTC+8
CB1	4463392	WEB Dly Pend FXNDF Trades	CSV	02/06/2014 03:36:59 PM UTC+8
CB1	4459579	WEB MRClearedPending	CSV	02/06/2014 02:37:48 PM UTC+8
CB1	4459518	WEB MRCleared	CSV	02/06/2014 02:37:44 PM UTC+8
CB1	4459455	WEB Intraday Valuation	CSV	02/06/2014 02:37:36 PM UTC+8

4 User can refer to the below table for the attributes in the order displayed.

Column	Descriptions
Select Box	Check box for Clearing Members to select the reports to be downloaded
Account	Collateral/Margin Account
Report ID	A unique identification number of the report
Report Name	Name of the report
Format	File format of the report [CSV: Comma Separated Values]
Creation Date	Date and time when the report is generated [Format: DD/MM/YYYY HH:MM:SS AM/PM UTC+8]

3.2. Downloading Reports

3.2.1. Function Descriptions

User can retrieve the following types of reports published by OTC Clear on OASIS:

- Trade reports
- Settlement reports
- Margin reports
- Market Data reports

For the full list of OASIS reports, please refer to the Report Usage Guide.



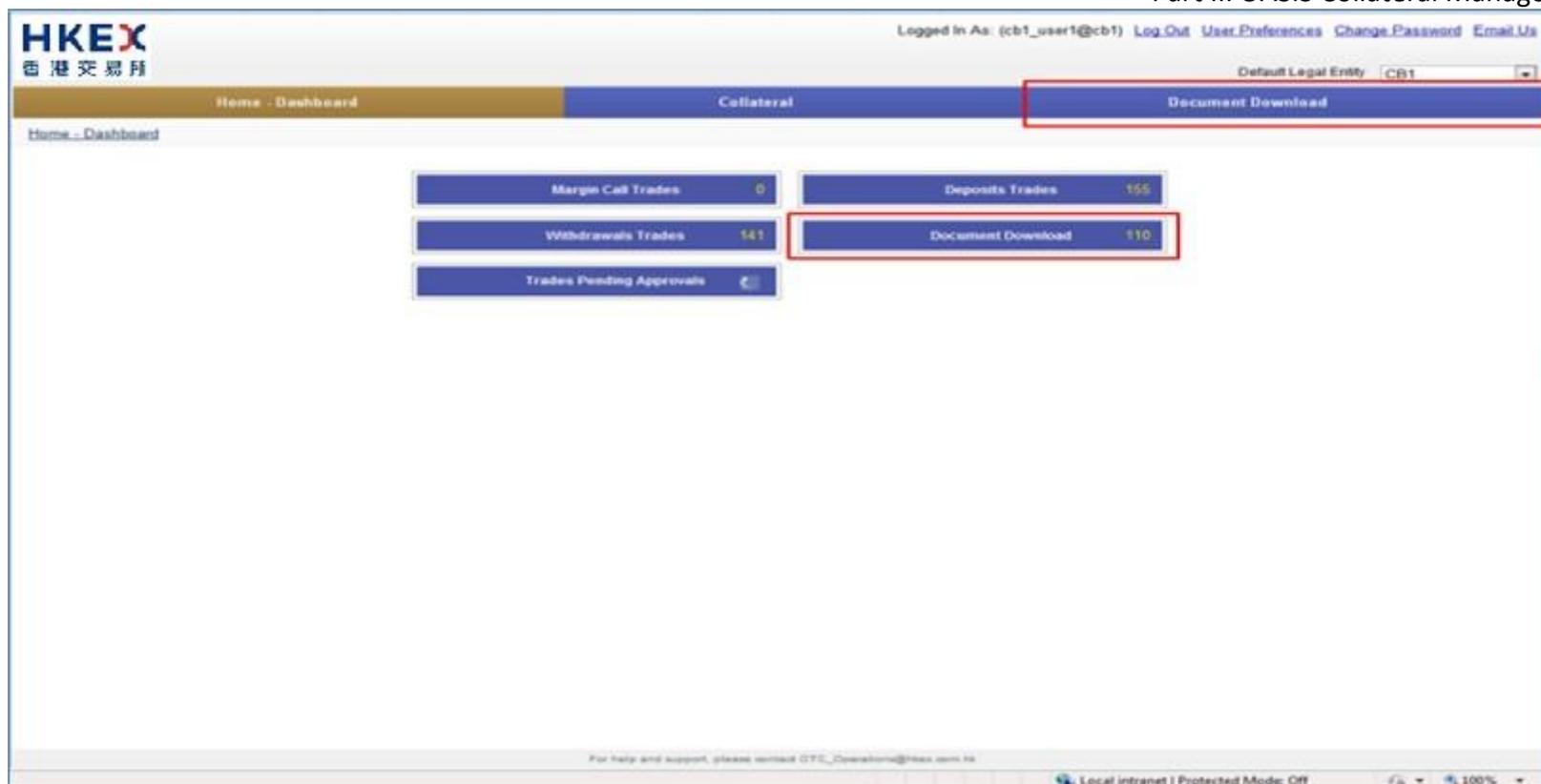
3.2.2. *Function Available Time*

7:00 a.m. to 1:00 a.m. every OTC Clear Clearing Day. Different reports have different publish time; please refer to the Report Usage Guide for details.

3.2.3. *How to Use (Step by Step)*

- 1 On the Main **Menu**, select **Document Download**.

Part III OASIS Collateral Management Portal



- 2 User can refine the reports displayed by using the Search Panel. After locating the report, select the report by checking the checkbox located at the first column of each row. The report will be highlighted.



Part III OASIS Collateral Management Portal

The screenshot shows the OASIS Collateral Management Portal interface. At the top, it displays the HKEX logo and the text '香港交易所'. The user is logged in as 'cb1_user1@cb1'. The interface has three main tabs: 'Home - Dashboard', 'Collateral', and 'Document Download'. The 'Document Download' tab is active. On the left, there is a 'Filter' section with options for 'Report Type' (ALL), 'Margin Account' (ALL), and 'Creation Date' (From: 02/06/2014, To: 02/06/2014). A 'Download Selected' button is highlighted in the top left of the table area. The table itself has columns for 'Account', 'Document ID', 'Report Type', 'Format', and 'Creation Date'. Several rows are highlighted in yellow, indicating they are selected. The table shows various report types such as 'WEB MRClearedPending', 'WEB MRCleared', 'WEB Intraday Valuation', 'WEB M Collateral_C', 'WEB M Collateral', 'WEB ERSCollateraReport', 'WEB Dly Rejc IRS Trades_C', 'WEB Dly Rejc IRS Trades', 'WEB Dly Rejc FXNDF Trades_C', 'WEB Dly Rejc FXNDF Trades', 'WEB Dly Regist IRS_C', 'WEB Dly Regist IRS', 'WEB Dly Regist FXNDF_C', 'WEB Dly Regist FXNDF', 'WEB Dly Pend IRS Trades_C', 'WEB Dly Pend IRS Trades', 'WEB Dly Pend FXNDF Trades_C', 'WEB Dly Pend FXNDF Trades', 'WEB MRClearedPending', 'WEB MRCleared', and 'WEB ERSCollateraReport'. The 'Format' column for all selected rows is 'CSV'. The 'Creation Date' column shows dates from 02/06/2014. At the bottom of the page, there is a footer that reads 'For help and support, please contact OTC_Operations@hkex.com.hk'.

3 User can then save the selected reports by clicking **Download Selected**.



Part III OASIS Collateral Management Portal

HKEX 香港交易所

Logged In As: (cb1_user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Default Legal Entity: CB1

Home - Dashboard Collateral Document Download

Home - Dashboard > Document Download

Filter

Report Type: ALL

Margin Account: ALL

Creation Date From: 02/06/2014

Creation Date To: 02/06/2014

Download Selected

Showing 1 - 100 of 110

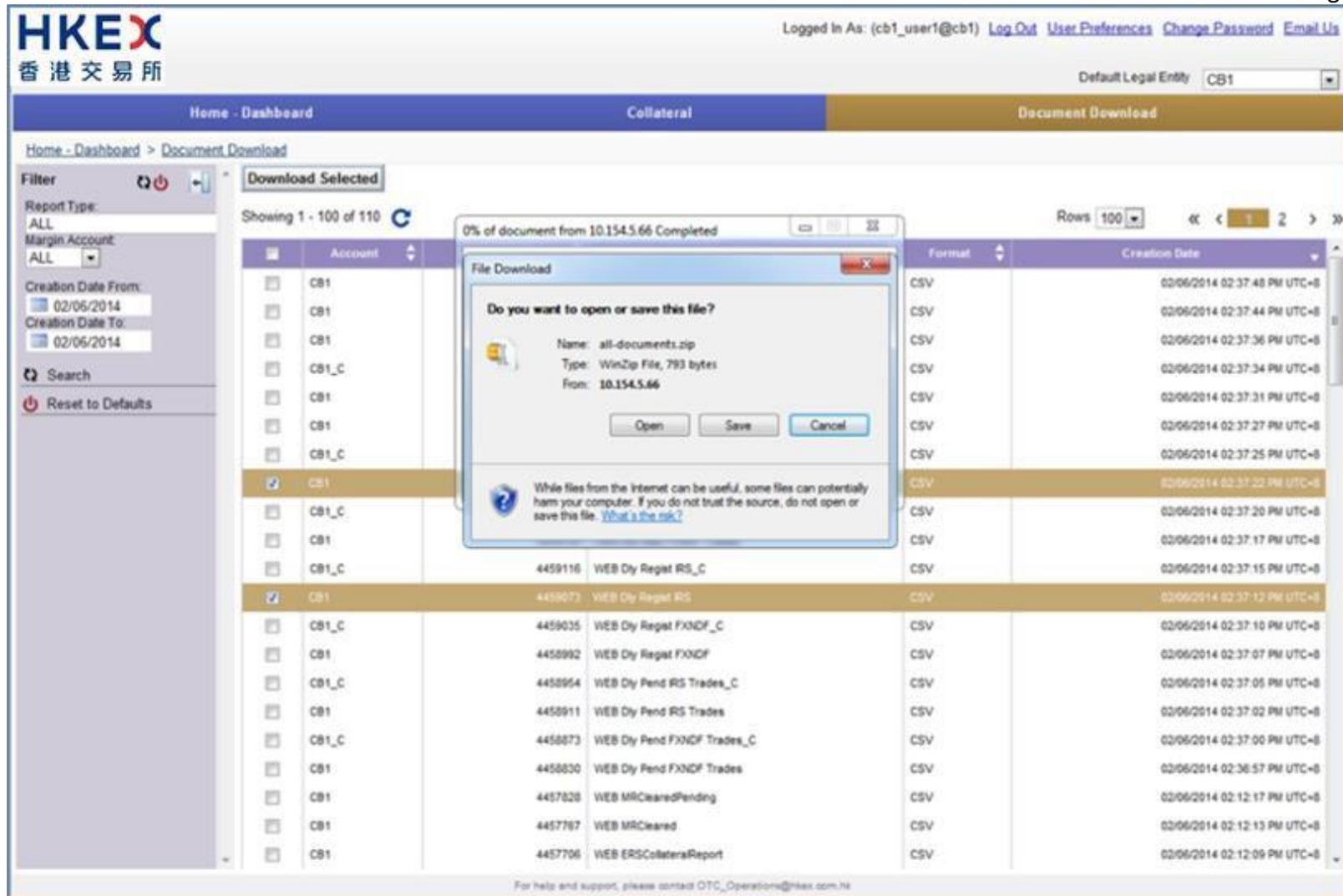
Rows: 100 << < 1 2 >>

<input type="checkbox"/>	Account	Document ID	Report Type	Format	Creation Date
<input type="checkbox"/>	CB1	4459579	WEB MR_ClearedPending	CSV	02/06/2014 02:37:48 PM UTC-8
<input type="checkbox"/>	CB1	4459518	WEB MR_Cleared	CSV	02/06/2014 02:37:44 PM UTC-8
<input type="checkbox"/>	CB1	4459455	WEB Intraday Valuation	CSV	02/06/2014 02:37:36 PM UTC-8
<input type="checkbox"/>	CB1_C	4459420	WEB BI Collateral_C	CSV	02/06/2014 02:37:34 PM UTC-8
<input type="checkbox"/>	CB1	4459377	WEB BI Collateral	CSV	02/06/2014 02:37:31 PM UTC-8
<input type="checkbox"/>	CB1	4459312	WEB ERSCollateraReport	CSV	02/06/2014 02:37:27 PM UTC-8
<input type="checkbox"/>	CB1_C	4459278	WEB Dly Rejc RS Trades_C	CSV	02/06/2014 02:37:25 PM UTC-8
<input checked="" type="checkbox"/>	CB1	4459235	WEB Dly Rejc RS Trades	CSV	02/06/2014 02:37:22 PM UTC-8
<input type="checkbox"/>	CB1_C	4459197	WEB Dly Rejc FXNDF Trades_C	CSV	02/06/2014 02:37:20 PM UTC-8
<input type="checkbox"/>	CB1	4459154	WEB Dly Rejc FXNDF Trades	CSV	02/06/2014 02:37:17 PM UTC-8
<input type="checkbox"/>	CB1_C	4459116	WEB Dly Regist RS_C	CSV	02/06/2014 02:37:15 PM UTC-8
<input checked="" type="checkbox"/>	CB1	4459073	WEB Dly Regist RS	CSV	02/06/2014 02:37:12 PM UTC-8
<input type="checkbox"/>	CB1_C	4459035	WEB Dly Regist FXNDF_C	CSV	02/06/2014 02:37:10 PM UTC-8
<input type="checkbox"/>	CB1	4458992	WEB Dly Regist FXNDF	CSV	02/06/2014 02:37:07 PM UTC-8
<input type="checkbox"/>	CB1_C	4458954	WEB Dly Pend RS Trades_C	CSV	02/06/2014 02:37:05 PM UTC-8
<input type="checkbox"/>	CB1	4458911	WEB Dly Pend RS Trades	CSV	02/06/2014 02:37:02 PM UTC-8
<input type="checkbox"/>	CB1_C	4458873	WEB Dly Pend FXNDF Trades_C	CSV	02/06/2014 02:37:00 PM UTC-8
<input type="checkbox"/>	CB1	4458830	WEB Dly Pend FXNDF Trades	CSV	02/06/2014 02:36:57 PM UTC-8
<input type="checkbox"/>	CB1	4457828	WEB MR_ClearedPending	CSV	02/06/2014 02:12:17 PM UTC-8
<input type="checkbox"/>	CB1	4457767	WEB MR_Cleared	CSV	02/06/2014 02:12:13 PM UTC-8
<input type="checkbox"/>	CB1	4457706	WEB ERSCollateraReport	CSV	02/06/2014 02:12:09 PM UTC-8

For help and support, please contact OTC_Operations@hkex.com.hk



- 4 The reports will be compressed in a zip file format and user can save it to a local folder.



The screenshot displays the OASIS Collateral Management Portal interface. At the top, the HKEX logo and '香港交易所' are visible on the left, and the user is logged in as 'cb1_user1@cb1' with links for 'Log Out', 'User Preferences', 'Change Password', and 'Email Us' on the right. The 'Default Legal Entity' is set to 'CB1'. The main navigation bar includes 'Home - Dashboard', 'Collateral', and 'Document Download'. The current page is 'Document Download', with a breadcrumb trail 'Home - Dashboard > Document Download'. On the left, there is a 'Filter' section with options for 'Report Type' (ALL), 'Margin Account' (ALL), and 'Creation Date' (From: 02/06/2014, To: 02/06/2014). A 'Download Selected' button is present. The main area shows a table of documents with columns for 'Account', 'Format', and 'Creation Date'. A modal dialog box titled 'File Download' is overlaid on the table, asking 'Do you want to open or save this file?' for a file named 'all-documents.zip' (793 bytes) from '10.154.5.66'. The dialog includes 'Open', 'Save', and 'Cancel' buttons, along with a warning about internet files.

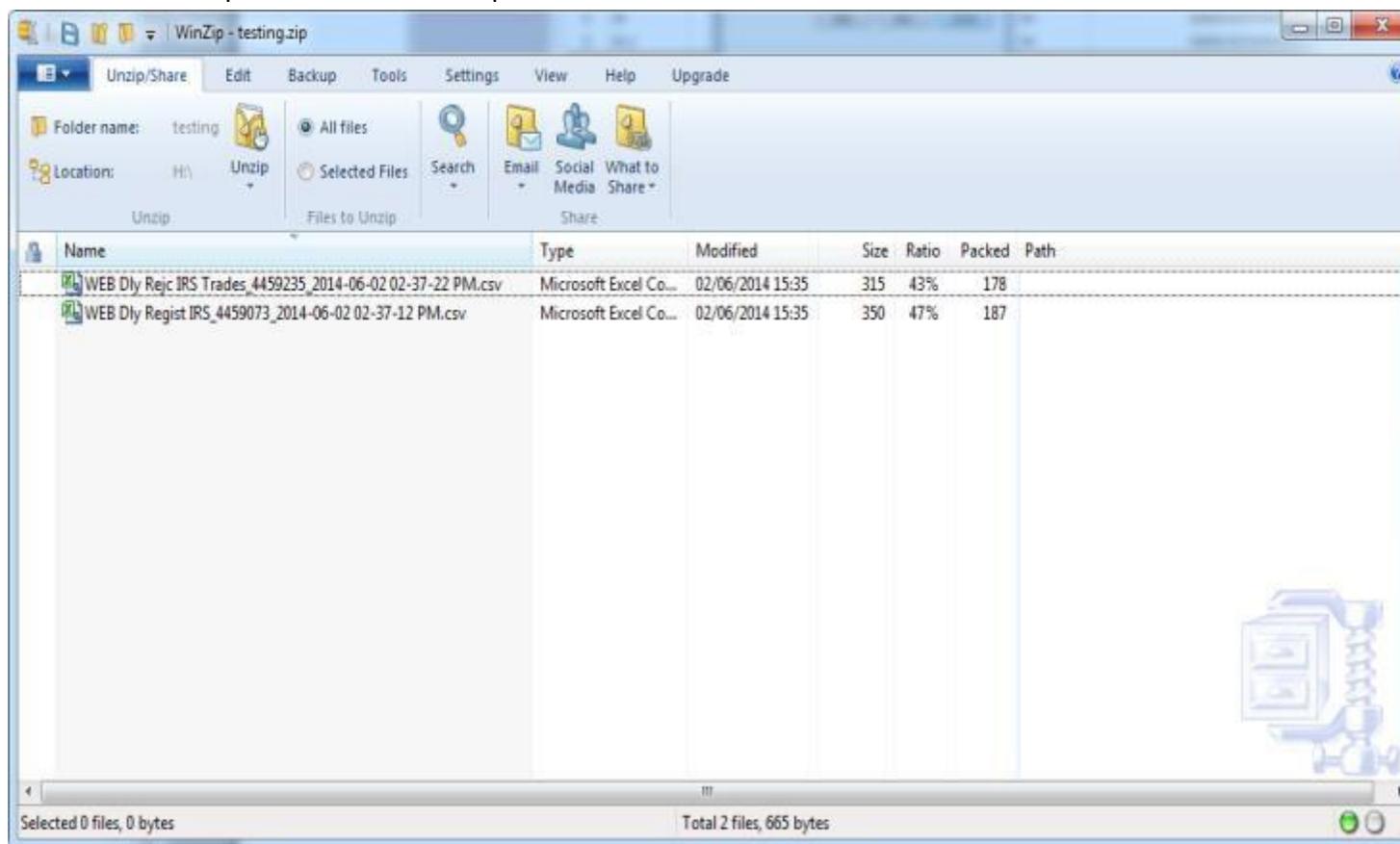
Account	Format	Creation Date
CB1	CSV	02/06/2014 02:37:48 PM UTC+8
CB1	CSV	02/06/2014 02:37:44 PM UTC+8
CB1	CSV	02/06/2014 02:37:36 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:34 PM UTC+8
CB1	CSV	02/06/2014 02:37:31 PM UTC+8
CB1	CSV	02/06/2014 02:37:27 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:25 PM UTC+8
CB1	CSV	02/06/2014 02:37:22 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:20 PM UTC+8
CB1	CSV	02/06/2014 02:37:17 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:15 PM UTC+8
CB1	CSV	02/06/2014 02:37:12 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:10 PM UTC+8
CB1	CSV	02/06/2014 02:37:07 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:05 PM UTC+8
CB1	CSV	02/06/2014 02:37:02 PM UTC+8
CB1_C	CSV	02/06/2014 02:37:00 PM UTC+8
CB1	CSV	02/06/2014 02:36:57 PM UTC+8
CB1	CSV	02/06/2014 02:12:17 PM UTC+8
CB1	CSV	02/06/2014 02:12:13 PM UTC+8
CB1	CSV	02/06/2014 02:12:09 PM UTC+8

For help and support, please contact OTC_Operations@hkex.com.hk

- 5 The reports downloaded are in csv format and the name of each report has the following syntax:

report name_document ID_date&time.csv.

Below is an example of downloaded reports.





- 6 The reports will remain available to OASIS users for **12 OTC Clear Clearing Days** from the date it is first made available on OASIS. For example, on 2 June 2014, the earliest available reports are those dated 16 May, 2014.



Part III OASIS Collateral Management Portal

HKEX 香港交易所

Logged In As: (cb1_user1@cb1) [Log Out](#) [User Preferences](#) [Change Password](#) [Email Us](#)

Default Legal Entity: CB1

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	Account	Document ID	Report Type	Format	Creation Date
<input type="checkbox"/>	CB1	3961919	WEB Settle Proj FXODF	CSV	16/05/2014 08:10:17 AM UTC+8
<input type="checkbox"/>	CB1_C	3961954	WEB Settle Proj FXODF_C	CSV	16/05/2014 08:10:20 AM UTC+8
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